

COMMISSION STATEMENT

May 31, 2018

LOUIS CIAVARELLA
21 MILITIA HILL DRIVE

BROKER #: V22 A04
BRANCH: FULCRUM GROUP

CHESTERBROOK, PA 19087

COMMISSION STATEMENT for LOUIS CIAVARELLA

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

05/08/2018	75501758	BERGEN, MIMI		BLACKROCK SCIENCE & TECH OPPORTUNIT S	2,451.51	0.00	0.00	0.00	50.0	0.00
05/08/2018	75501758	BERGEN, MIMI		BLACKROCK EQUITY DIVIDEND FUND CL A S	2,415.22	0.00	0.00	0.00	50.0	0.00
05/08/2018	75501758	BERGEN, MIMI		BLACKROCK STRATEGIC INCOME OPPORTUN S	3,774.78	0.00	0.00	0.00	50.0	0.00
05/07/2018	75501760	BERGEN, MIMI		FEDERATED STRATEGIC INCOME FUND CLA S	210.00	0.00	0.00	0.00	50.0	0.00
				* MUTUAL FUNDS SUBTOTAL *	\$8,851.51	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

05/10/2018	75501740	GIOMMI MCDOWELL,		FIRST TRUST PREFERRED SECURITIES AN B	3,863.00	0.00	0.00	0.00	50.0	0.00
05/10/2018	75501740	GIOMMI MCDOWELL,		FIRST TRUST SENIOR LOAN FUND ETF B	4,816.50	0.00	0.00	0.00	50.0	0.00
05/10/2018	75501740	GIOMMI MCDOWELL,		HERBALIFE LTD COMMON STOCK B	5,578.00	0.00	0.00	0.00	50.0	0.00
05/11/2018	75501740	GIOMMI MCDOWELL,		MICRON TECHNOLOGY INC B	10,395.65	0.00	0.00	0.00	50.0	0.00
05/08/2018	75501758	BERGEN, MIMI		DUKE ENERGY CORPORATION HOLDING COM S	3,728.16	56.31	0.00	56.31	50.0	28.16
05/08/2018	75501758	BERGEN, MIMI		JOHNSON & JOHNSON S	2,930.70	55.94	0.00	55.94	50.0	27.97
05/08/2018	75501758	BERGEN, MIMI		PEPSICO INC S	2,516.35	50.42	0.00	50.42	50.0	25.21
05/08/2018	75501758	BERGEN, MIMI		PROSHARES S&P 500 DIVIDEND ARISTOCR S	2,448.40	50.80	0.00	50.80	50.0	25.40
05/14/2018	75501767	HALL, JAMES		SYNOPSYS INC B	18,200.00	75.00	0.00	75.00	50.0	37.50
04/27/2018	75502185	CARR, CHARLES		ALPHABET INC CLASS A COMMON STOCK B	15,424.20	0.00	0.00	0.00	50.0	0.00
04/27/2018	75502185	CARR, CHARLES		AMN HEALTHCARE SVCS INC B	10,005.00	0.00	0.00	0.00	50.0	0.00
04/27/2018	75502185	CARR, CHARLES		CLEARBRIDGE ENERGY MLP FD INC B	9,721.95	0.00	0.00	0.00	50.0	0.00
04/27/2018	75502185	CARR, CHARLES		FIRST TR ENERGY INFRASTRUCTURE FD B	9,496.20	0.00	0.00	0.00	50.0	0.00
05/03/2018	75502185	CARR, CHARLES		BOEING CO B	19,921.65	0.00	0.00	0.00	50.0	0.00
05/03/2018	75502185	CARR, CHARLES		DANA INC COM B	9,422.76	0.00	0.00	0.00	50.0	0.00
05/03/2018	75502185	CARR, CHARLES		ISHARES MSCI THAILAND CAPPED ETF B	19,641.18	0.00	0.00	0.00	50.0	0.00
05/03/2018	75502185	CARR, CHARLES		MICRON TECHNOLOGY INC B	18,678.00	0.00	0.00	0.00	50.0	0.00
05/04/2018	75502185	CARR, CHARLES		ABBVIE INC B	9,850.50	0.00	0.00	0.00	50.0	0.00
05/16/2018	75502185	CARR, CHARLES		AMN HEALTHCARE SVCS INC B	8,527.50	0.00	0.00	0.00	50.0	0.00
05/16/2018	75502185	CARR, CHARLES		CLEARBRIDGE ENERGY MLP FD INC B	14,880.00	0.00	0.00	0.00	50.0	0.00
05/16/2018	75502185	CARR, CHARLES		PROSPECT CAPITAL CORPORATION B	26,556.45	0.00	0.00	0.00	50.0	0.00
05/22/2018	75502185	CARR, CHARLES		LAMB WESTON HOLDINGS INC COMMON STO B	12,988.96	0.00	0.00	0.00	50.0	0.00
05/29/2018	75502185	CARR, CHARLES		WHIRLPOOL CORP B	14,785.65	0.00	0.00	0.00	50.0	0.00
				* STOCKS SUBTOTAL *	\$254,376.76	\$288.47	\$0.00	\$288.47		\$144.24

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: RIA</u>									
04/01/2018	75501737 HENDRIX, GREG	FAS FEES PT. II/III	B	-358.00	119.33	0.00	119.33	50.0	59.67
04/01/2018	75501740 GIOMMI MCDOWELL,	FAS FEES PT. II/III	B	-1,795.34	598.44	0.00	598.44	50.0	299.22
04/01/2018	75501741 GIOMMI MCDOWELL,	FAS FEES PT. II/III	B	-696.52	232.17	0.00	232.17	50.0	116.09
04/01/2018	75501742 CIAVARELLA, LOUIS	FAS FEES PT. II/III	B	-104.14	34.71	0.00	34.71	50.0	17.36
04/01/2018	75501749 CIAVARELLA, MELISSA	FAS FEES PT. II/III	B	-254.16	84.72	0.00	84.72	50.0	42.36
04/01/2018	75501752 CIAVARELLA, JAMES	FAS FEES PT. II/III	B	-51.32	17.10	0.00	17.10	50.0	8.55
04/01/2018	75501754 CIAVARELLA, JAMES	FAS FEES PT. II/III	B	-123.84	41.28	0.00	41.28	50.0	20.64
04/01/2018	75501755 MANFREDI, MICHAEL	FAS FEES PT. II/III	B	-880.60	293.53	0.00	293.53	50.0	146.77
04/01/2018	75501757 BERGEN, MIMI	FAS FEES PT. II/III	B	-157.53	52.51	0.00	52.51	50.0	26.26
04/25/2018	75502185 CARR, CHARLES	FAS FEES PT. II/III	B	-1,448.86	659.56	0.00	659.56	50.0	329.78
* RIA SUBTOTAL *				\$-5,870.31	\$2,133.35	\$0.00	\$2,133.35		\$1,066.70

PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS

05/08/2018	75501758 BERGEN, MIMI	UIT FT STONEBRIDGE PFD INCOME SER 1 S		2,538.34	0.00	0.00	0.00	50.0	0.00
05/08/2018	75501758 BERGEN, MIMI	UIT FT STRATEGIC INCOME SER 70 ADVA S		2,442.39	0.00	0.00	0.00	50.0	0.00
* UNIT INVESTMENT TRUSTS SUBTOTAL *				\$4,980.73	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

05/31/2018		FEE COUNT - 137		0.00	463.30	0.00	463.30	50.0	216.80
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$463.30	\$0.00	\$463.30		\$216.80
*** BROKER TRANSACTIONS TOTAL ***				\$262,338.69	\$2,885.12	\$0.00	\$2,885.12		\$1,427.74

ADJUSTMENTS

05/31/2018		LICENSING FEE - FINRA: FINRA CE TRA		0.00	0.00	0.00	0.00		-55.00
05/31/2018		OTHER: 2ND QTR -2/3 ADV CHARGES		0.00	0.00	0.00	0.00		-181.71
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-236.71

BROKER COMMISSION TOTALS

Broker Transactions	\$1,427.74
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-236.71
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-3.61
SIPC Assessment	\$-7.21

Check Amount	\$1,180.21
Year-to-date Earnings	\$9,771.18