

COMMISSION STATEMENT

September 29, 2017

IRENE SULLIVAN
303 BEVERLEY ROAD
APT 9C
BROOKLYN, NY 11218

BROKER #: 33
BRANCH: HOME OFFICE

COMMISSION STATEMENT for IRENE SULLIVAN

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

09/11/2017	75501041	DUFFY, TRENT	AMERICAN EXPRESS COMPANY (N.Y)	B	12,873.00	317.00	25.00	292.00	80.0	233.60
* STOCKS SUBTOTAL *					\$12,873.00	\$317.00	\$25.00	\$292.00		\$233.60

PRODUCT CATEGORY: OPTIONS

09/11/2017	75500750	GANGE, RICHARD	CALL GM	11/17/17	39	S	603.00	28.00	25.00	3.00	80.0	2.40
09/11/2017	75500751	GANGE, RICHARD	CALL AXP	10/20/17	87.50	S	339.00	28.00	25.00	3.00	80.0	2.40
09/11/2017	75500789	CAFIERO, RENEE	CALL AXP	10/20/17	87.50	S	1,356.00	28.00	25.00	3.00	80.0	2.40
09/11/2017	75500789	CAFIERO, RENEE	CALL GM	11/17/17	39	S	1,675.00	28.00	25.00	3.00	80.0	2.40
09/11/2017	75500846	YELLAND, MARGARET	CALL GM	11/17/17	39	S	1,072.00	28.00	25.00	3.00	80.0	2.40
09/11/2017	75501041	DUFFY, TRENT	CALL AXP	10/20/17	87.50	S	678.00	28.00	25.00	3.00	80.0	2.40
09/11/2017	75501041	DUFFY, TRENT	CALL GM	11/17/17	39	S	804.00	28.00	25.00	3.00	80.0	2.40
09/11/2017	75501100	KINNEY, SAMUEL	CALL GM	11/17/17	39	S	1,005.00	28.00	25.00	3.00	80.0	2.40
09/11/2017	75501129	PALMER, JEANNE	CALL GM	11/17/17	39	S	737.00	28.00	25.00	3.00	80.0	2.40
09/11/2017	75501279	GELBERT,	CALL GM	11/17/17	39	S	335.00	28.00	25.00	3.00	80.0	2.40
* OPTIONS SUBTOTAL *							\$8,604.00	\$280.00	\$250.00	\$30.00		\$24.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/12/2017	75500755	DENNENY, MICHAEL	CAPITAL APPRECIATION A	B	0.00	2.67	0.00	2.67	80.0	2.14
09/12/2017	75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED GROWTH FUND B	B	0.00	14.14	0.00	14.14	80.0	11.31
09/12/2017	75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED VALUE FD CL B	B	0.00	14.18	0.00	14.18	80.0	11.34
09/12/2017	75500755	DENNENY, MICHAEL	GLOBAL FUND A	B	0.00	7.70	0.00	7.70	80.0	6.16
09/12/2017	75500755	DENNENY, MICHAEL	MAIN STREET FUND A	B	0.00	5.60	0.00	5.60	80.0	4.48
09/12/2017	75500755	DENNENY, MICHAEL	SMALLCAP WORLD FUND-C	B	0.00	27.94	0.00	27.94	80.0	22.35
09/12/2017	75500756	DENNENY, MICHAEL	**TETON WESTWOOD MIGHTY MITES	B	0.00	44.30	0.00	44.30	80.0	35.44
09/12/2017	75500756	DENNENY, MICHAEL	DAVIS SERIES INC FINANCIAL FUND CL B	B	0.00	25.79	0.00	25.79	80.0	20.63
09/12/2017	75500756	DENNENY, MICHAEL	EHV 277902813	B	0.00	8.53	0.00	8.53	80.0	6.82
09/12/2017	75500756	DENNENY, MICHAEL	JANUS INVT FD HENDERSON GLOBAL TECH B	B	0.00	29.03	0.00	29.03	80.0	23.22
09/12/2017	75500788	CAFIERO, RENEE	AMT-FREE NEW YORK MUNICIPALS A	B	0.00	9.98	0.00	9.98	80.0	7.98
09/12/2017	75500848	O'LEARY, JENNIFER	EHV 277902813	B	0.00	1.46	0.00	1.46	80.0	1.17
09/12/2017	75500848	O'LEARY, JENNIFER	REGIONAL BANK A	B	0.00	0.88	0.00	0.88	80.0	0.70
09/26/2017	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS MUNDER	B	0.00	2.00	0.00	2.00	80.0	1.60
09/26/2017	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS	B	0.00	1.19	0.00	1.19	80.0	0.95

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BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/12/2017	75500880	VAZ, CHRISTINE	EHV 277902813	B	0.00	1.68	0.00	1.68	80.0	1.34
09/12/2017	75500880	VAZ, CHRISTINE	FIDELITY ADVISOR (FOCUS) HEALTH CAR B		0.00	3.17	0.00	3.17	80.0	2.54
09/12/2017	75500959	KAUFMAN, DORIS	CAPITAL INCOME A	B	0.00	11.76	0.00	11.76	80.0	9.41
09/12/2017	75501025	HARRISON, JUDITH	EATON VANCE TAX MANAGED GROWTH FUND B		0.00	2.60	0.00	2.60	80.0	2.08
09/12/2017	75501074	ROSENFELD, CAROL	**TETON WESTWOOD MIGHTY MITES	B	0.00	7.45	0.00	7.45	80.0	5.96
09/26/2017	75501079	OETTEL, BRYAN	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.22	0.00	0.22	80.0	0.18
09/12/2017	75501088	SILBERMANN, SHARON	**AMG MANAGERS ESSEX SMALL	B	0.00	3.84	0.00	3.84	80.0	3.07
09/12/2017	75501088	SILBERMANN, SHARON	**TETON WESTWOOD MIGHTY MITES	B	0.00	23.25	0.00	23.25	80.0	18.60
09/12/2017	75501088	SILBERMANN, SHARON	BLACKROCK HEALTH SCIENCES OPPORTUNI B		0.00	15.08	0.00	15.08	80.0	12.06
09/12/2017	75501088	SILBERMANN, SHARON	DAVIS SERIES INC FINANCIAL FUND CL B		0.00	14.08	0.00	14.08	80.0	11.26
09/12/2017	75501088	SILBERMANN, SHARON	GOLDMAN SACHS TOLLKEEPER FUND CLASS B		0.00	8.27	0.00	8.27	80.0	6.62
09/12/2017	75501088	SILBERMANN, SHARON	JANUS INVT FD HENDERSON GLOBAL TECH B		0.00	18.78	0.00	18.78	80.0	15.02
09/26/2017	75501088	SILBERMANN, SHARON	**VICTORY PORTFOLIOS MUNDER	B	0.00	4.47	0.00	4.47	80.0	3.58
09/12/2017	75501167	FORTE, SUZETTE	EHV 277902813	B	0.00	1.42	0.00	1.42	80.0	1.14
09/15/2017	QGW028615	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B		0.00	10.85	0.00	10.85	80.0	8.68
09/15/2017	QGW028615	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B		0.00	2.44	0.00	2.44	80.0	1.95
09/15/2017	QGW028623	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B		0.00	9.07	0.00	9.07	80.0	7.26
09/15/2017	QGW028623	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B		0.00	2.10	0.00	2.10	80.0	1.68
09/11/2017	QGW028722	SOLE, ABIGAIL	DAVIS SERIES INC FINANCIAL FUND CL B		0.00	2.94	0.00	2.94	80.0	2.35

* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$338.86	\$0.00	\$338.86	\$271.07
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*** BROKER TRANSACTIONS TOTAL ***	\$21,477.00	\$935.86	\$275.00	\$660.86	\$528.67
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ADJUSTMENTS

09/29/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
09/29/2017	OTHER: OTHER-OFFICE SUPPLIES	0.00	0.00	0.00	0.00	-40.00
09/29/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-8.00
09/29/2017	OTHER: OTHER-RBC	0.00	0.00	0.00	0.00	-76.00

*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00	\$-144.00
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BROKER COMMISSION TOTALS

Broker Transactions	\$528.67
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-144.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-1.17
SIPC Assessment	\$-2.34

Check Amount	\$381.16
Year-to-date Earnings	\$44,493.31