



# COMMISSION STATEMENT

## January 01, 2018

**RICHARD PASCALE**  
321 Grover Avenue North  
Massapequa Park, NY 11762

**BROKER #: 981**  
BRANCH #01033 - 33 - PASCALE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
12/11/2017	***-**-941I - NICOLOSI, GIOVAN	ALLIANZ OCC GROWTH FUND CLASS A	809.99	19.24	0.00	19.24	90.0	17.32
	ACCOUNT #: 01238084329	BUY 14 Units @56.5400						
12/11/2017	***-**-941I - NICOLOSI, GIOVAN	ALLIANZ OCC GROWTH FUND CLASS A	725.00	17.22	0.00	17.22	90.0	15.50
	ACCOUNT #: 01238084329	BUY 13 Units @56.5400						
12/21/2017	***-**-4645 - KALANTZOPOULOS,	FIDELITY ADV HEALTH CARE-CL A	3,268.27	12.50	9.00	3.50	90.0	3.15
	ACCOUNT #: LSR101427	SELL 77 Units @42.6600						
12/28/2017	***-**-28IR - MORMINO, STEVEN	LIVEWELL MUTUAL FUND	0.00	4.19	0.00	4.19	90.0	3.77
	ACCOUNT #: 7200004040	BUY 0 Units @0.0000						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$4,803.26</b>	<b>\$53.15</b>	<b>\$9.00</b>	<b>\$44.15</b>		<b>\$39.74</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
12/18/2017	***-**-0651 - NOSTRAMO, LORI	PACIFIC LIFE ABRB DTCC	102.00	1.02	0.00	1.02	90.0	0.92
	ACCOUNT #: VP71057790	BUY 0 Units @0.0000						
12/19/2017	***-**-6385 - MALONEY, DONNA	PACIFIC LIFE ABRB DTCC	51.00	0.39	0.00	0.39	90.0	0.35
	ACCOUNT #: VP71053550	BUY 0 Units @0.0000						
12/19/2017	***-**-6385 - MALONEY, DONNA	PACIFIC LIFE ABRB DTCC	51.00	0.39	0.00	0.39	90.0	0.35
	ACCOUNT #: VP71053550	BUY 0 Units @0.0000						
12/18/2017	***-**-8166 - GANZ, CARY	PACIFIC LIFE VA DTCC RENEWALS	1,600.00	8.00	0.00	8.00	90.0	7.20
	ACCOUNT #: VP71031550	BUY 0 Units @0.0000						
12/18/2017	***-**-8166 - GANZ, CARY	PACIFIC LIFE VA DTCC RENEWALS	1,600.00	8.00	0.00	8.00	90.0	7.20
	ACCOUNT #: VP71031550	BUY 0 Units @0.0000						
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$3,404.00</b>	<b>\$17.80</b>	<b>\$0.00</b>	<b>\$17.80</b>		<b>\$16.02</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/26/2017	***-**-01I2 - PASCALE, ROBERT	MFS UTILITIES FUND-A	0.00	9.00	0.00	9.00	90.0	8.10
	ACCOUNT #: LSR003794	BUY 1 Units @0.0000						
12/26/2017	***-**-71IN - PASCALE, LYNNE	MFS UTILITIES FUND-A	0.00	19.19	0.00	19.19	90.0	17.27
	ACCOUNT #: LSR003816	BUY 1 Units @0.0000						
12/26/2017	***-**-9101 - PASCALE, DEBRA	PUTNAM ASSET ALLOCATION BALANCED PO	0.00	1.00	0.00	1.00	90.0	0.90
	ACCOUNT #: LSR107220	BUY 1 Units @0.0000						
12/28/2017	***-**-693I - PONTURO, ANTHONY	VICTORY TRAILS	0.00	0.40	0.00	0.40	90.0	0.36
	ACCOUNT #: 5007479198	BUY 0 Units @0.0000						



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b>								
12/28/2017	***-**-723I - PONTURO, ACCOUNT #: 5007536658	VICTORY TRAILS BUY 0 Units @0.0000	0.00	0.48	0.00	0.48	90.0	0.43
12/28/2017	***-**-693I - PONTURO, ANTHONY	VICTORY TRAILS BUY 0 Units @0.0000	0.00	0.31	0.00	0.31	90.0	0.28
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$30.38</b>	<b>\$0.00</b>	<b>\$30.38</b>		<b>\$27.34</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
12/18/2017	***-**-875I - QUEZADA, RITA ACCOUNT #: VP71049780	PACIFIC LIFE VA DTCC RENEWALS BUY 0 Units @0.0000	0.00	3.28	0.00	3.28	90.0	2.95
12/18/2017	***-**-875I - QUEZADA, RITA ACCOUNT #: VP71049780	PACIFIC LIFE VA DTCC RENEWALS BUY 0 Units @0.0000	0.00	1.64	0.00	1.64	90.0	1.48
12/18/2017	***-**-875I - QUEZADA, RITA ACCOUNT #: VP71049780	PACIFIC LIFE VA DTCC RENEWALS BUY 0 Units @0.0000	0.00	1.64	0.00	1.64	90.0	1.48
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$6.56</b>	<b>\$0.00</b>	<b>\$6.56</b>		<b>\$5.91</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$8,207.26</b>	<b>\$107.89</b>	<b>\$9.00</b>	<b>\$98.89</b>		<b>\$89.01</b>

### SPLIT TRANSACTIONS

**BROKER: JEFFREY MORRISON**

12/15/2017	***-**-965P - GUERREIRO, MARIA ACCOUNT #: 01489789329	FA 529 PORT 2034 BUY 15 Units @13.7400	200.00	5.00	0.00	5.00	90.0	4.50
12/22/2017	***-**-85IN - YANKILEVICH, ACCOUNT #: LSR010898	FIDELITY ADV GROWTH & INCOME CL C BUY 9 Units @29.1400	249.99	1.25	1.50	-0.25	100.0	-0.25
12/22/2017	***-**-85IN - YANKILEVICH, ACCOUNT #: LSR010898	FIDELITY ADV HEALTH CARE CL C BUY 7 Units @34.3700	250.01	1.25	1.50	-0.25	100.0	-0.25
12/26/2017	***-**-7863 - MARK, ROBERT ACCOUNT #: LSR100102	FIRST EAGLE GLOBAL FUND CLASS C BUY 1 Units @0.0000	0.00	13.92	0.00	13.92	90.0	12.53
12/26/2017	***-**-2838 - WATSON ACCOUNT #: LSR106100	GLOBAL FUND A BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	90.0	0.31
12/26/2017	***-**-9481 - WATSON ACCOUNT #: LSR106135	GLOBAL FUND A BUY 1 Units @0.0000	0.00	1.02	0.00	1.02	90.0	0.92



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<b><u>SPLIT TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: JEFFREY MORRISON (continued)</u></b>								
12/26/2017	***-**-5165 - WATSON	GLOBAL FUND A	0.00	0.61	0.00	0.61	90.0	0.55
	ACCOUNT #: LSR106151	BUY 1 Units @0.0000						
12/28/2017	***-**-75IN - WATSON, SANDRA	GRIFFIN INSTITUTIONAL ACCESS RE FUN	0.00	1.12	0.00	1.12	90.0	1.01
	ACCOUNT #: 091119296	BUY 0 Units @0.0000						
12/28/2017	***-**-24IN - BONGORT,	GRIFFIN INSTITUTIONAL ACCESS RE FUN	0.00	1.68	0.00	1.68	90.0	1.51
	ACCOUNT #: 91119450	BUY 0 Units @0.0000						
12/26/2017	***-**-00IR - WHITFIELD, FBO	MASSACHUSETTS INVESTORS TRUST CLASS	0.00	3.16	0.00	3.16	90.0	2.84
	ACCOUNT #: LSR103080	BUY 1 Units @0.0000						
12/26/2017	***-**-2838 - WATSON	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.30	0.00	0.30	90.0	0.27
	ACCOUNT #: LSR106100	BUY 1 Units @0.0000						
12/26/2017	***-**-9481 - WATSON	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.63	0.00	0.63	90.0	0.57
	ACCOUNT #: LSR106135	BUY 1 Units @0.0000						
12/26/2017	***-**-5165 - WATSON	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.70	0.00	0.70	90.0	0.63
	ACCOUNT #: LSR106151	BUY 1 Units @0.0000						
12/26/2017	***-**-1182 - WATSON	OPPENHEIMER DISCOVERY CLASS A	0.00	0.44	0.00	0.44	90.0	0.40
	ACCOUNT #: LSR106160	BUY 1 Units @0.0000						
12/26/2017	***-**-00IR - WHITFIELD, FBO	OPPENHEIMER GLOBAL CLASS C	0.00	5.03	0.00	5.03	90.0	4.53
	ACCOUNT #: LSR103080	BUY 1 Units @0.0000						
12/18/2017	***-**-6017 - DILL, ROWAN	PACIFIC LIFE 694474693-NFS	210.00	1.05	0.00	1.05	90.0	0.95
	ACCOUNT #: VP65524490	BUY 0 Units @0.0000						
12/18/2017	***-**-6017 - DILL, ROWAN	PACIFIC LIFE 694474693-NFS	210.00	1.05	0.00	1.05	90.0	0.95
	ACCOUNT #: VP65524490	BUY 0 Units @0.0000						
12/19/2017	***-**-1409 - GRANAT, STEVEN	PACIFIC LIFE ABRB DTCC	0.00	36.29	0.00	36.29	90.0	32.66
	ACCOUNT #: VP71063370	BUY 0 Units @0.0000						
12/19/2017	***-**-1409 - GRANAT, STEVEN	PACIFIC LIFE ABRB DTCC	0.00	9.07	0.00	9.07	90.0	8.16
	ACCOUNT #: VP71063370	BUY 0 Units @0.0000						
12/21/2017	***-**-7642 - HARRISON, DANIEL	PACIFIC LIFE SE5-NYB DTCC	500.00	7.50	0.00	7.50	90.0	6.75
	ACCOUNT #: VP71028600	BUY 0 Units @0.0000						
12/26/2017	***-**-00IR - WHITFIELD, FBO	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	5.90	0.00	5.90	90.0	5.31
	ACCOUNT #: LSR103080	BUY 1 Units @0.0000						
12/26/2017	***-**-4673 - PEPE, JOANN	QUEST BALANCED A	0.00	1.24	0.00	1.24	90.0	1.12
	ACCOUNT #: LSR105562	BUY 1 Units @0.0000						
<b>* JEFFREY MORRISON SUBTOTAL *</b>			<b>\$1,620.00</b>	<b>\$98.55</b>	<b>\$3.00</b>	<b>\$95.55</b>		<b>\$85.97</b>



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*** SPLIT TRANSACTIONS TOTAL ***			\$1,620.00	\$98.55	\$3.00	\$95.55		\$85.97

## VERRIDE TRANSACTIONS

### BROKER: ALAN FISHMAN

12/11/2017	***--19IN - BLUMEN, IAN ACCOUNT #: 05066338392	AIM SMALL CAP GROWTH FUND - CLASS A BUY 1 Units @42.7000	25.00	1.25	0.00	1.25	7.5	0.09
12/28/2017	***--17IN - QUARANTO, JAMES ACCOUNT #: 00000159287	VICTORY TRAILS BUY 0 Units @0.0000	0.00	0.47	0.00	0.47	7.5	0.04
12/28/2017	***--067J - SOMMO, WILLIAM	VICTORY TRAILS BUY 0 Units @0.0000	0.00	0.15	0.00	0.15	7.5	0.01
12/28/2017	***--17IN - QUARANTO, JAMES ACCOUNT #: 00000159287	VICTORY TRAILS BUY 0 Units @0.0000	0.00	1.24	0.00	1.24	7.5	0.09
12/28/2017	***--955P - VICARI,	VICTORY TRAILS BUY 0 Units @0.0000	0.00	1.29	0.00	1.29	7.5	0.10
12/28/2017	***--9623 - SELKIN, ARTHUR ACCOUNT #: 00000164390	VICTORY TRAILS BUY 0 Units @0.0000	0.00	0.73	0.00	0.73	7.5	0.05
12/28/2017	***--690I - LEIFER, JONATHAN	VICTORY TRAILS BUY 0 Units @0.0000	0.00	64.31	0.00	64.31	7.5	4.82
12/28/2017	***--17IN - QUARANTO, JAMES	VICTORY TRAILS BUY 0 Units @0.0000	0.00	1.18	0.00	1.18	7.5	0.09
* ALAN FISHMAN SUBTOTAL *			\$25.00	\$70.62	\$0.00	\$70.62		\$5.29
*** OVERRIDE TRANSACTIONS TOTAL ***			\$25.00	\$70.62	\$0.00	\$70.62		\$5.29



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				INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div>BROKER COMMISSION TOTALS</div>									
							Broker Transactions		\$89.01
							Split Transactions		\$85.97
							Override Transactions		\$5.29
							Adjustments		\$0.00
							Payroll Draw		\$0.00
							Base Salary		\$0.00
							Prior Period Balance		\$0.00
							FINRA Assessment		\$0.00
							SIPC Assessment		\$0.00
							Net Commission Earned		\$180.27
							Year-to-date Earnings		\$180.27