

COMMISSION STATEMENT

August 31, 2017

MICHAEL BAROLOTTA
57 EISENHOWER DRIVEBROKER #: 50
BRANCH: HOME OFFICE

EAST QUOGUE, NY 11942

COMMISSION STATEMENT for MICHAEL BAROLOTTA

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

08/01/2017 (None)	VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	390.66	0.00	390.66	80.0	312.53
08/01/2017 (None)	VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	491.54	0.00	491.54	80.0	393.23
08/01/2017 (None)	VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	305.29	0.00	305.29	80.0	244.23
08/01/2017 (None)	VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	1,437.66	0.00	1,437.66	80.0	1,150.13
08/01/2017 (None)	VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	1,979.12	0.00	1,979.12	80.0	1,583.30
08/01/2017 (None)	VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	2,891.88	0.00	2,891.88	80.0	2,313.50
08/01/2017 (None)	VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	714.08	0.00	714.08	80.0	571.26
08/01/2017 (None)	VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	12,018.53	0.00	12,018.53	80.0	9,614.82
* MUTUAL FUNDS SUBTOTAL *				\$0.00	\$20,228.76	\$0.00	\$20,228.76		\$16,183.00

PRODUCT CATEGORY: STOCKS

07/31/2017 75501427	FROUXIDES, MENELAOS	PFIZER INCORPORATED	S	2,500.51	20.00	0.00	20.00	80.0	0.00
07/31/2017 75501428	FROUXIDES, NATIA	PFIZER INCORPORATED	S	3,333.00	20.00	0.00	20.00	80.0	0.00
* STOCKS SUBTOTAL *				\$5,833.51	\$40.00	\$0.00	\$40.00		\$0.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

08/09/2017 75501422	FROUXIDES, MENELAOS	AMERICAN BALANCED FUND INC CL F1	B	0.00	4.99	0.00	4.99	80.0	3.99
08/09/2017 75501422	FROUXIDES, MENELAOS	BLACKROCK EQUITY DIVIDEND FUND SVC	B	0.00	2.70	0.00	2.70	80.0	2.16
08/09/2017 75501422	FROUXIDES, MENELAOS	BOND FUND AMER INC CL F1	B	0.00	0.89	0.00	0.89	80.0	0.00
08/09/2017 75501422	FROUXIDES, MENELAOS	LORD ABBETT SHORT DURATION INCOME F B	B	0.00	0.60	0.00	0.60	80.0	0.00
08/09/2017 75501422	FROUXIDES, MENELAOS	LORD ABBETT HIGH YIELD FUND CL-A	B	0.00	0.39	0.00	0.39	80.0	0.00
08/09/2017 75501422	FROUXIDES, MENELAOS	OPPENHEIMER SENIOR FLOATING RATE FU B	B	0.00	1.10	0.00	1.10	80.0	0.88
08/09/2017 75501426	FROUXIDES, NATIA	INCOME FUND AMER INC CL F1	B	0.00	2.92	0.00	2.92	80.0	2.34
08/09/2017 75501426	FROUXIDES, NATIA	LORD ABBETT SHORT DURATION INCOME F B	B	0.00	0.50	0.00	0.50	80.0	0.00
08/09/2017 75501426	FROUXIDES, NATIA	OPPENHEIMER STRATEGIC INCOME FD CL B	B	0.00	0.99	0.00	0.99	80.0	0.00
08/11/2017 75501426	FROUXIDES, NATIA	**ABERDEEN GLOBAL HIGH INCOME	B	0.00	0.61	0.00	0.61	80.0	0.00
08/09/2017 75501427	FROUXIDES, MENELAOS	BLACKROCK HEALTH SCIENCES FUND CLAS B	B	0.00	3.13	0.00	3.13	80.0	2.50
08/09/2017 75501427	FROUXIDES, MENELAOS	CAPITAL INCOME BUILDER FD CL F-1	B	0.00	6.79	0.00	6.79	80.0	5.43
08/09/2017 75501427	FROUXIDES, MENELAOS	CAPITAL WORLD BOND FUND CL F1	B	0.00	2.45	0.00	2.45	80.0	1.96
08/09/2017 75501427	FROUXIDES, MENELAOS	FIDELITY ADVISOR ENERGY CL A	B	0.00	1.63	0.00	1.63	80.0	1.30
08/09/2017 75501427	FROUXIDES, MENELAOS	FIRST EAGLE OVERSEAS FUND CLASS A	B	0.00	5.92	0.00	5.92	80.0	4.74
08/09/2017 75501427	FROUXIDES, MENELAOS	OPPENHEIMER STRATEGIC INCOME FD CL B	B	0.00	4.39	0.00	4.39	80.0	3.51

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<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
08/09/2017	75501427	FROUXIDES, MENELAOS	OPPENHEIMER STEELPATH MLP ALPHA FUN B	0.00	0.87	0.00	0.87	80.0	0.00
08/11/2017	75501427	FROUXIDES, MENELAOS	**ABERDEEN TOTAL RETURNBOND B	0.00	5.07	0.00	5.07	80.0	4.06
08/11/2017	75501427	FROUXIDES, MENELAOS	**ABERDEEN GLOBAL HIGH INCOME B	0.00	3.59	0.00	3.59	80.0	2.87
08/09/2017	75501428	FROUXIDES, NATIA	BLACKROCK NAT RES TR CL A B	0.00	1.42	0.00	1.42	80.0	1.14
08/09/2017	75501428	FROUXIDES, NATIA	DREYFUS INVT FDS STANDISH GLOBAL FI B	0.00	3.83	0.00	3.83	80.0	3.06
08/09/2017	75501428	FROUXIDES, NATIA	DREYFUS NY TAX EXEMPT BOND FUND INC B	0.00	2.69	0.00	2.69	80.0	2.15
08/09/2017	75501428	FROUXIDES, NATIA	FIRST EAGLE GLOBAL FUND CLASS A B	0.00	7.59	0.00	7.59	80.0	6.07
08/09/2017	75501428	FROUXIDES, NATIA	INCOME FUND AMER INC CL F1 B	0.00	12.18	0.00	12.18	80.0	9.74
08/09/2017	75501428	FROUXIDES, NATIA	LOOMIS SAYLES BOND FUND RETAIL CLAS B	0.00	6.38	0.00	6.38	80.0	5.10
08/09/2017	75501428	FROUXIDES, NATIA	OPPENHEIMER SENIOR FLOATING RATE FU B	0.00	5.29	0.00	5.29	80.0	4.23
08/09/2017	75501428	FROUXIDES, NATIA	OPPENHEIMER STEELPATH MLP INCOME FU B	0.00	1.14	0.00	1.14	80.0	0.91
08/09/2017	75501428	FROUXIDES, NATIA	US GOVT FUND CLASS A B	0.00	1.52	0.00	1.52	80.0	1.22
08/09/2017	75501428	FROUXIDES, NATIA	WESTERN ASSET SHORT DURATION HIGH I B	0.00	1.39	0.00	1.39	80.0	1.11
08/09/2017	75501430	D'AGOSTINO, NICHOLAS	AMERICAN FUNDS 2025 TARGET DATE-A B	0.00	2.47	0.00	2.47	80.0	1.98
08/09/2017	75501565	GIANNIZZERO, THOMAS	PUTNAM 746444108 B	0.00	9.21	0.00	9.21	80.0	7.37
08/09/2017	75501566	GIANNIZZERO, LAURE	MFS TOTAL RETURN FUND-A B	0.00	7.95	0.00	7.95	80.0	6.36
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$112.59	\$0.00	\$112.59		\$86.18
*** BROKER TRANSACTIONS TOTAL ***				\$5,833.51	\$20,381.35	\$0.00	\$20,381.35		\$16,269.18

ADJUSTMENTS

08/31/2017	ADVANCE: ADVANCE	0.00	0.00	0.00	0.00	-15,000.00
08/31/2017	E & O INSURANCE: E & O INSURANCE	0.00	0.00	0.00	0.00	-200.00
08/31/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
08/31/2017	OTHER: OTHER-WEALTH MANAGEMENT	0.00	0.00	0.00	0.00	-25.00
08/31/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-8.00
08/31/2017	OTHER: OTHER-TICKETS	0.00	0.00	0.00	0.00	-20.00
*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-15,273.00

BROKER COMMISSION TOTALS

Broker Transactions	\$16,269.18
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-15,273.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-25.48
SIPC Assessment	\$-50.95

Check Amount	\$919.75
Year-to-date Earnings	\$14,553.31