

COMMISSION STATEMENT

July 31, 2017

LOUIS CIAVARELLA
21 MILITIA HILL DRIVE

BROKER #: 47
BRANCH: HOME OFFICE

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
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
07/11/2017 (None)	VARIOUS, CIAVARELLA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	1,662.33	0.00	1,662.33	50.0	831.17
07/11/2017 (None)	VARIOUS, CIAVARELLA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	179.81	0.00	179.81	50.0	89.91
07/06/2017 75501746	CIAVARELLA, LOUIS	**VIRTUS STRATEGIC GROWTH FUND	B	1,145.41	0.00	0.00	0.00	50.0	0.00
07/06/2017 75501746	CIAVARELLA, LOUIS	VIRTUS QUALITY SMALL CAP	S	1,145.41	0.00	0.00	0.00	50.0	0.00
07/18/2017 75501746	CIAVARELLA, LOUIS	FIDELITY ADVISOR LARGE CAP STOCK CL S		10,705.44	0.00	0.00	0.00	50.0	0.00
07/18/2017 75501746	CIAVARELLA, LOUIS	FIDELITY ADVISOR (FOCUS) HEALTH CAR B		10,705.44	0.00	0.00	0.00	50.0	0.00
07/18/2017 75501746	CIAVARELLA, LOUIS	FIDELITY ADV EQUITY GROWTH CL A	B	10,489.55	0.00	0.00	0.00	50.0	0.00
07/18/2017 75501746	CIAVARELLA, LOUIS	FIDELITY ADVISOR INDUSTRIALS CL A	S	10,489.55	0.00	0.00	0.00	50.0	0.00
07/14/2017 75501764	HALL, JOAN	**GABELLI UTILITIES FUND	S	2,308.81	0.00	0.00	0.00	50.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$46,989.61	\$1,842.14	\$0.00	\$1,842.14		\$921.08

PRODUCT CATEGORY: STOCKS

07/12/2017 75501742	CIAVARELLA, LOUIS	TENCENT HOLDINGS LIMITED UNSPONSORE B		5,451.00	0.00	0.00	0.00	50.0	0.00
07/14/2017 75501742	CIAVARELLA, LOUIS	MYND ANALYTICS INC COMMON STOCK	B	2,992.85	0.00	0.00	0.00	50.0	0.00
07/14/2017 75501742	CIAVARELLA, LOUIS	WTS MYND ANALYTICS INC WARRANT	B	5.95	0.00	0.00	0.00	50.0	0.00
07/24/2017 75501742	CIAVARELLA, LOUIS	WTS MYND ANALYTICS INC WARRANT	B	2,700.00	0.00	0.00	0.00	50.0	0.00
07/21/2017 75501746	CIAVARELLA, LOUIS	CHIPOTLE MEXICAN GRILL INC COMMON S S		2,070.66	15.00	0.00	15.00	50.0	0.00
07/14/2017 75501755	MANFREDI, MICHAEL	MYND ANALYTICS INC COMMON STOCK	B	4,989.76	0.00	0.00	0.00	50.0	0.00
07/14/2017 75501755	MANFREDI, MICHAEL	WTS MYND ANALYTICS INC WARRANT	B	9.92	0.00	0.00	0.00	50.0	0.00
07/21/2017 75501755	MANFREDI, MICHAEL	WTS MYND ANALYTICS INC WARRANT	B	2,837.25	0.00	0.00	0.00	50.0	0.00
07/13/2017 75501762	HALL, JOAN	EXACT SCIENCES CORP	B	1,553.60	52.82	0.00	52.82	50.0	26.41
07/13/2017 75501762	HALL, JOAN	GOLDMAN SACHS GROUP INC	S	1,612.38	15.00	0.00	15.00	50.0	0.00
07/13/2017 75501763	HALL, JOAN	FACEBOOK INC CL A	B	1,273.36	50.00	0.00	50.00	50.0	25.00
07/13/2017 75501763	HALL, JOAN	WALT DISNEY CO	S	2,085.80	15.00	0.00	15.00	50.0	0.00
07/14/2017 75501763	HALL, JOAN	DOMINOS PIZZA INC	B	420.78	5.00	0.00	5.00	50.0	0.00
07/14/2017 75501764	HALL, JOAN	ALIBABA GROUP HOLDING LTD SPONSORED B		3,936.92	91.78	0.00	91.78	50.0	45.89
07/14/2017 75501764	HALL, JOAN	CONSTELLATION BRANDS INC CL A	B	1,979.20	61.36	0.00	61.36	50.0	30.68
07/14/2017 75501764	HALL, JOAN	EXACT SCIENCES CORP	B	1,942.00	60.62	0.00	60.62	50.0	30.31
07/14/2017 75501764	HALL, JOAN	EXXON MOBIL CORPORATION	S	4,540.76	15.00	0.00	15.00	50.0	0.00
07/14/2017 75501764	HALL, JOAN	GENERAL ELECTRIC CO	S	2,928.18	15.00	0.00	15.00	50.0	0.00
07/14/2017 75501764	HALL, JOAN	NIKE INC CL B	S	7,556.10	15.00	0.00	15.00	50.0	0.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
BROKER TRANSACTIONS											
PRODUCT CATEGORY: STOCKS											
07/14/2017	75501764	HALL, JOAN		SALESFORCE.COM INC	B	3,963.52	92.15	0.00	92.15	50.0	46.08
07/13/2017	75501767	HALL, JAMES		AT&T INC	S	7,254.02	15.00	0.00	15.00	50.0	0.00
07/11/2017	75501768	HALL, JAMES		VERIZON COMMUNICATIONS	S	16,856.00	15.00	0.00	15.00	50.0	0.00
07/14/2017	75501768	HALL, JAMES		ALIBABA GROUP HOLDING LTD SPONSORED B		15,188.20	105.00	0.00	105.00	50.0	52.50
				* STOCKS SUBTOTAL *		\$94,148.21	\$638.73	\$0.00	\$638.73		\$256.87
PRODUCT CATEGORY: RIA											
07/18/2017	75501737	HENDRIX, GREG		FAS FEES	B	-346.22	346.22	0.00	346.22	50.0	173.11
07/18/2017	75501740	GIOMMI MCDOWELL,		FAS FEES	B	-1,693.31	1,693.31	0.00	1,693.31	50.0	846.66
07/18/2017	75501741	GIOMMI MCDOWELL,		FAS FEES	B	-785.93	785.93	0.00	785.93	50.0	392.97
07/18/2017	75501742	CIAVARELLA, LOUIS		FAS FEES	B	-86.33	86.33	0.00	86.33	50.0	43.17
07/18/2017	75501749	CIAVARELLA, MELISSA		FAS FEES	B	-239.56	239.56	0.00	239.56	50.0	119.78
07/18/2017	75501752	CIAVARELLA, JAMES		FAS FEES	B	-47.38	47.38	0.00	47.38	50.0	23.69
07/18/2017	75501754	CIAVARELLA, JAMES		FAS FEES	B	-108.50	108.50	0.00	108.50	50.0	54.25
07/18/2017	75501755	MANFREDI, MICHAEL		FAS FEES	B	-803.26	803.26	0.00	803.26	50.0	401.63
07/18/2017	75501757	BERGEN, MIMI		FAS FEES	B	-144.86	144.86	0.00	144.86	50.0	72.43
				* RIA SUBTOTAL *		\$-4,255.35	\$4,255.35	\$0.00	\$4,255.35		\$2,127.69
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
07/12/2017	75501549	ALEXANDER, RUTH		**VIRTUS REAL ESTATE SEC FDS	B	0.00	1.33	0.00	1.33	50.0	0.67
07/12/2017	75501549	ALEXANDER, RUTH		**VIRTUS STRATEGIC GROWTH FUND	B	0.00	1.55	0.00	1.55	50.0	0.78
07/12/2017	75501549	ALEXANDER, RUTH		OPPENHEIMER ROCHEST PENNSYLVANIA MU B		0.00	3.03	0.00	3.03	50.0	1.52
07/12/2017	75501549	ALEXANDER, RUTH		ROCHESTER NATIONAL MUNICIPALS A	B	0.00	5.05	0.00	5.05	50.0	2.53
07/12/2017	75501665	PILKO, THOMAS		FEDERATED EQUITY FDS PRUDENT BEAR F B		0.00	8.48	0.00	8.48	50.0	4.24
07/12/2017	75501665	PILKO, THOMAS		SENTINEL GROUP FDS INC SHORT DURATI B		0.00	14.79	0.00	14.79	50.0	7.40
07/12/2017	75501666	CARR, CHARLES		FIDELITY ADVISOR MID CAP II FUND CL B		0.00	0.56	0.00	0.56	50.0	0.00
07/12/2017	75501666	CARR, CHARLES		FIDELITY INVT TR ADVISOR LATIN AMER B		0.00	0.69	0.00	0.69	50.0	0.00
07/12/2017	75501670	CARR, MARGARET		MFS PENNSYLVANIA MUNICIPAL BOND FUN B		0.00	0.78	0.00	0.78	50.0	0.00
07/12/2017	75501671	CARR, CHARLES		FIDELITY ADVISOR MUNICIPAL INCOME F B		0.00	1.31	0.00	1.31	50.0	0.66
07/12/2017	75501671	CARR, CHARLES		FIDELITY ADVISOR ENERGY CL A	B	0.00	1.99	0.00	1.99	50.0	1.00
07/12/2017	75501671	CARR, CHARLES		FIDELITY ADVISOR SMALL CAP GROWTH F B		0.00	3.36	0.00	3.36	50.0	1.68
07/12/2017	75501671	CARR, CHARLES		FIDELITY FINL TR ADVISOR CONV SECS	B	0.00	2.06	0.00	2.06	50.0	1.03
07/12/2017	75501671	CARR, CHARLES		FIDELITY SECS FD REAL ESTATE INCOME B		0.00	1.24	0.00	1.24	50.0	0.62
07/12/2017	75501673	CARR, MARGARET		FIDELITY ADVISOR LARGE CAP STOCK CL B		0.00	0.71	0.00	0.71	50.0	0.00
07/12/2017	75501673	CARR, MARGARET		FIDELITY ADVISOR SMALL CAP GROWTH F B		0.00	0.40	0.00	0.40	50.0	0.00
07/12/2017	75501673	CARR, MARGARET		FIDELITY ADVISOR GOLD FUND CL A	B	0.00	0.43	0.00	0.43	50.0	0.00
07/12/2017	75501674	CARR, MARGARET		**FIDELITYADVISOR SER VII	B	0.00	3.28	0.00	3.28	50.0	1.64
07/12/2017	75501674	CARR, MARGARET		BLACKROCK BALANCED CAP FD CL A	B	0.00	1.35	0.00	1.35	50.0	0.68
07/12/2017	75501674	CARR, MARGARET		EATON VANCE INCOME FUND OF BOSTON C B		0.00	6.34	0.00	6.34	50.0	3.17
07/12/2017	75501674	CARR, MARGARET		FIDELITY ADVISOR LARGE CAP FUND-CL	B	0.00	5.11	0.00	5.11	50.0	2.56

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
07/12/2017	75501674	CARR, MARGARET	FIDELITY ADV MID CAP II - CL T	B	0.00	4.83	0.00	4.83	50.0	2.42
07/12/2017	75501674	CARR, MARGARET	FIDELITY ADVISOR SER VII FA SEMICON B		0.00	1.88	0.00	1.88	50.0	0.94
07/12/2017	75501674	CARR, MARGARET	FIDELITY ADVISOR UTILITIES CL T	B	0.00	0.72	0.00	0.72	50.0	0.00
07/12/2017	75501674	CARR, MARGARET	FIDELITY ADV TECHNOLOGY CL T	B	0.00	4.61	0.00	4.61	50.0	2.31
07/12/2017	75501674	CARR, MARGARET	FIDELITY ADVISOR INDUSTRIALS CL T	B	0.00	1.09	0.00	1.09	50.0	0.55
07/12/2017	75501674	CARR, MARGARET	FIDELITY FINL TR STRATEGIC DIVID &	B	0.00	13.42	0.00	13.42	50.0	6.71
07/12/2017	75501676	REBER, WINCHELL	FIDELITY ADV STRATEGIC INCOME CL C	B	0.00	1.10	0.00	1.10	50.0	0.55
07/12/2017	75501676	REBER, WINCHELL	FIDELITY ADVISOR FOCUS FUNDS HEALTH B		0.00	1.02	0.00	1.02	50.0	0.51
07/12/2017	75501676	REBER, WINCHELL	FIDELITY ADVISOR CONSUMER STAPLES F B		0.00	0.91	0.00	0.91	50.0	0.00
07/12/2017	75501676	REBER, WINCHELL	FIDELITY SECS FD REAL ESTATE INCOME B		0.00	1.06	0.00	1.06	50.0	0.53
07/12/2017	75501676	REBER, WINCHELL	FRANKLIN INCOME FUND CLASS C	B	0.00	1.34	0.00	1.34	50.0	0.67
07/12/2017	75501676	REBER, WINCHELL	TEMPLETON GLOBAL BOND FUND CL C	B	0.00	0.91	0.00	0.91	50.0	0.00
07/12/2017	75501679	SOIGNOLI, ANTHONY	DELAWARE GROUP TAX FREE USA FUND-CL B		0.00	13.05	0.00	13.05	50.0	6.53
07/12/2017	75501679	SOIGNOLI, ANTHONY	FEDERATED STRATEGIC INCOME FUND	B	0.00	0.91	0.00	0.91	50.0	0.00
07/12/2017	75501679	SOIGNOLI, ANTHONY	FIDELITY ADVISOR MUNICIPAL INCOME F B		0.00	6.27	0.00	6.27	50.0	3.14
07/12/2017	75501679	SOIGNOLI, ANTHONY	FIDELITY ADV STRATEGIC DIV & INCOME B		0.00	7.80	0.00	7.80	50.0	3.90
07/12/2017	75501679	SOIGNOLI, ANTHONY	FRANKLIN INCOME FUND CLASS C	B	0.00	2.02	0.00	2.02	50.0	1.01
07/12/2017	75501680	REBER, WINCHELL	FIDELITY ADV STRATEGIC DIV & INCOME B		0.00	1.22	0.00	1.22	50.0	0.61
07/12/2017	75501680	REBER, WINCHELL	FRANKLIN INCOME FUND CLASS C	B	0.00	0.81	0.00	0.81	50.0	0.00
07/12/2017	75501680	REBER, WINCHELL	TEMPLETON GLOBAL BOND FUND CL C	B	0.00	0.31	0.00	0.31	50.0	0.00
07/12/2017	75501681	SOIGNOLI, ANTHONY	CAPITAL WORLD GROWTH & INCOME FUND B		0.00	1.39	0.00	1.39	50.0	0.70
07/12/2017	75501681	SOIGNOLI, ANTHONY	COLUMBIA GLOBAL STRATEGIC EQUITY FU B		0.00	1.64	0.00	1.64	50.0	0.82
07/12/2017	75501681	SOIGNOLI, ANTHONY	FEDERATED STRATEGIC INCOME FUND	B	0.00	3.63	0.00	3.63	50.0	1.82
07/12/2017	75501681	SOIGNOLI, ANTHONY	FIDELITY ADV STRATEGIC DIV & INCOME B		0.00	13.56	0.00	13.56	50.0	6.78
07/12/2017	75501681	SOIGNOLI, ANTHONY	FIDELITY ADVISOR MATERIALS FUND CL B		0.00	4.52	0.00	4.52	50.0	2.26
07/12/2017	75501681	SOIGNOLI, ANTHONY	FRANKLIN INCOME FUND CLASS C	B	0.00	3.37	0.00	3.37	50.0	1.69
07/12/2017	75501681	SOIGNOLI, ANTHONY	FRANKLIN TEMPLETON FUND REAL ESTATE B		0.00	3.48	0.00	3.48	50.0	1.74
07/12/2017	75501681	SOIGNOLI, ANTHONY	PIMCO EQUITY SER DIVIDEND AND INCOM B		0.00	6.62	0.00	6.62	50.0	3.31
07/12/2017	75501681	SOIGNOLI, ANTHONY	PIMCO INCOME FUND CLASS C	B	0.00	6.30	0.00	6.30	50.0	3.15
07/12/2017	75501682	REBER, WINCHELL	**CLEARBRIDGE APPRECIATION	B	0.00	5.02	0.00	5.02	50.0	2.51
07/12/2017	75501682	REBER, WINCHELL	**CLEARBRIDGE LARGE CAP GROWTH	B	0.00	4.51	0.00	4.51	50.0	2.26
07/12/2017	75501682	REBER, WINCHELL	FIDELITY SECS FD REAL ESTATE INCOME B		0.00	7.05	0.00	7.05	50.0	3.53
07/12/2017	75501682	REBER, WINCHELL	INVESCO AMERICAN VALUE FUND CLASS A B		0.00	5.88	0.00	5.88	50.0	2.94
07/12/2017	75501682	REBER, WINCHELL	PUTNAM 746792100	B	0.00	0.73	0.00	0.73	50.0	0.00
07/12/2017	75501682	REBER, WINCHELL	WESTERN ASSET SHORT DURATION MUNICI B		0.00	4.56	0.00	4.56	50.0	2.28
07/12/2017	75501683	GROSSO, MARK	IVY MID CAP GROWTH FUND CLASS A	B	0.00	1.62	0.00	1.62	50.0	0.81
07/12/2017	75501684	SOIGNOLI, LINDA	COLUMBIA GLOBAL STRATEGIC EQUITY FU B		0.00	2.74	0.00	2.74	50.0	1.37
07/12/2017	75501684	SOIGNOLI, LINDA	FIDELITY ADVISOR LIMITED TERM BOND B		0.00	1.24	0.00	1.24	50.0	0.62
07/12/2017	75501684	SOIGNOLI, LINDA	FIDELITY ADVISOR ELECTRONICS FUND C B		0.00	2.49	0.00	2.49	50.0	1.25
07/12/2017	75501684	SOIGNOLI, LINDA	FIDELITY ADV TECHNOLOGY CL A	B	0.00	2.59	0.00	2.59	50.0	1.30

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
07/12/2017	75501684	SOIGNOLI, LINDA	FIDELITY ADVISOR INDUSTRIALS CL A	B	0.00	1.06	0.00	1.06	50.0	0.53
07/12/2017	75501684	SOIGNOLI, LINDA	FIDELITY ADV NEW INSIGHTS-CL A	B	0.00	0.92	0.00	0.92	50.0	0.00
07/12/2017	75501684	SOIGNOLI, LINDA	FIDELITY ADVISOR FUNDS 316145408	B	0.00	2.01	0.00	2.01	50.0	1.01
07/12/2017	75501684	SOIGNOLI, LINDA	FIDELITY ADVISOR MATERIALS FUND CL	B	0.00	1.05	0.00	1.05	50.0	0.53
07/12/2017	75501684	SOIGNOLI, LINDA	FIDELITY ADVISOR CONSUMER STAPLES F	B	0.00	2.54	0.00	2.54	50.0	1.27
07/12/2017	75501685	REBER, CAROLYN	FIDELITY ADV STRATEGIC INCOME CL C	B	0.00	0.91	0.00	0.91	50.0	0.00
07/12/2017	75501685	REBER, CAROLYN	FIDELITY ADVISOR FOCUS FUNDS HEALTH	B	0.00	1.02	0.00	1.02	50.0	0.51
07/12/2017	75501685	REBER, CAROLYN	FIDELITY ADVISOR EMERGING MARKETS I	B	0.00	0.93	0.00	0.93	50.0	0.00
07/12/2017	75501685	REBER, CAROLYN	FIDELITY ADV STRATEGIC DIV & INCOME	B	0.00	1.19	0.00	1.19	50.0	0.60
07/12/2017	75501685	REBER, CAROLYN	FRANKLIN INCOME FUND CLASS C	B	0.00	1.34	0.00	1.34	50.0	0.67
07/12/2017	75501685	REBER, CAROLYN	TEMPLETON GLOBAL BOND FUND CL C	B	0.00	0.57	0.00	0.57	50.0	0.00
07/12/2017	75501686	REBER, CAROLYN	FIDELITY ADV STRATEGIC DIV & INCOME	B	0.00	1.66	0.00	1.66	50.0	0.83
07/12/2017	75501686	REBER, CAROLYN	FRANKLIN INCOME FUND CLASS C	B	0.00	0.94	0.00	0.94	50.0	0.00
07/12/2017	75501686	REBER, CAROLYN	TEMPLETON GLOBAL BOND FUND CL C	B	0.00	0.43	0.00	0.43	50.0	0.00
07/12/2017	75501687	DALEY, BARBARA	FIDELITY ADVISOR FUNDS 315918367	B	0.00	0.94	0.00	0.94	50.0	0.00
07/12/2017	75501687	DALEY, BARBARA	FIDELITY ADVISOR FUNDS 315918474	B	0.00	0.56	0.00	0.56	50.0	0.00
07/12/2017	75501687	DALEY, BARBARA	FIDELITY ADVISOR FOCUS FUNDS HEALTH	B	0.00	0.69	0.00	0.69	50.0	0.00
07/12/2017	75501687	DALEY, BARBARA	FIDELITY ADVISOR FUNDS 316071505	B	0.00	0.06	0.00	0.06	50.0	0.00
07/12/2017	75501687	DALEY, BARBARA	FIDELITY ADV STRATEGIC DIV & INCOME	B	0.00	0.01	0.00	0.01	50.0	0.00
07/12/2017	75501687	DALEY, BARBARA	FRANKLIN INCOME FUND CLASS C	B	0.00	0.70	0.00	0.70	50.0	0.00
07/12/2017	75501688	BERRY, THOMAS	FIDELITY ADVISOR TELECOMMUNICATIONS	B	0.00	0.91	0.00	0.91	50.0	0.00
07/12/2017	75501689	BERRY, THOMAS	**GAMCO GROWTH FD INC	B	0.00	1.75	0.00	1.75	50.0	0.88
07/12/2017	75501689	BERRY, THOMAS	IVY ASSET STRATEGY FUND CLASS A	B	0.00	1.04	0.00	1.04	50.0	0.52
07/12/2017	75501690	EBERSOLE, DWAYNE	EATON VANCE MUT FDS TR FLTG RATE AD	B	0.00	0.73	0.00	0.73	50.0	0.00
07/12/2017	75501691	BARGER, WILLIAM	**PRUDENTIAL HIGH YIELD FUND	B	0.00	2.60	0.00	2.60	50.0	1.30
07/12/2017	75501691	BARGER, WILLIAM	**VIRTUS OPPORTUNITIES TR	B	0.00	3.00	0.00	3.00	50.0	1.50
07/12/2017	75501691	BARGER, WILLIAM	BLACKROCK GLOBAL ALLOCATION FD INC	B	0.00	9.46	0.00	9.46	50.0	4.73
07/12/2017	75501691	BARGER, WILLIAM	EATON VANCE INCOME FUND BOSTON INC	B	0.00	2.69	0.00	2.69	50.0	1.35
07/12/2017	75501691	BARGER, WILLIAM	FIDELITY ADVISOR EMERGING MARKETS I	B	0.00	4.27	0.00	4.27	50.0	2.14
07/12/2017	75501691	BARGER, WILLIAM	LOOMIS SAYLES STRTEGC INC FD CL C	B	0.00	2.45	0.00	2.45	50.0	1.23
07/12/2017	75501691	BARGER, WILLIAM	THE NEW ECONOMY FUND-C	B	0.00	8.77	0.00	8.77	50.0	4.39
07/12/2017	75501691	BARGER, WILLIAM	WELLS FARGO FDS HIGH YIELD BD FD CL	B	0.00	1.68	0.00	1.68	50.0	0.84
07/12/2017	75501692	WARD, MARY	JOHN HANCOCK CLASSIC VALUE FUND CLA	B	0.00	1.97	0.00	1.97	50.0	0.99
07/12/2017	75501693	KRAUS, MICHELLE	**GABELLI SMALL CAP GROWTH	B	0.00	0.04	0.00	0.04	50.0	0.00
07/12/2017	75501693	KRAUS, MICHELLE	**GABELLI UTILITIES FUND	B	0.00	0.37	0.00	0.37	50.0	0.00
07/12/2017	75501693	KRAUS, MICHELLE	GABELLI VALUE 25 FD INC	B	0.00	0.03	0.00	0.03	50.0	0.00
07/12/2017	75501693	KRAUS, MICHELLE	GAMCO GOLD FD	B	0.00	0.02	0.00	0.02	50.0	0.00
07/12/2017	75501694	WARD, MARY	TAX-FREE BOND A	B	0.00	12.44	0.00	12.44	50.0	6.22
07/14/2017	75501695	WARD, EDMOND	TOCQUEVILLE GOLD FUND	B	0.00	1.21	0.00	1.21	50.0	0.61
07/12/2017	75501697	WARD, EDMOND	AMERICAN MUTUAL FUND-A	B	0.00	22.40	0.00	22.40	50.0	11.20

COMMISSION STATEMENT for LOUIS CIAVARELLA

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/12/2017	75501698	GROSSO, BETH ANN	FIDELITY ADVISOR LARGE CAP STOCK CL B	0.00	0.35	0.00	0.35	50.0	0.00
07/12/2017	75501698	GROSSO, BETH ANN	IVY MID CAP GROWTH FUND CLASS A B	0.00	1.11	0.00	1.11	50.0	0.56
07/12/2017	75501698	GROSSO, BETH ANN	NEW PERSPECTIVE FUND-A B	0.00	1.24	0.00	1.24	50.0	0.62
07/12/2017	75501698	GROSSO, BETH ANN	THE NEW ECONOMY FUND-A B	0.00	1.28	0.00	1.28	50.0	0.64
07/12/2017	75501699	WARD, EDMOND	AMERICAN MUTUAL FUND-C B	0.00	12.17	0.00	12.17	50.0	6.09
07/12/2017	75501699	WARD, EDMOND	EATON VANCE PENNSYLVANIA MUNICIPAL B	0.00	49.37	0.00	49.37	50.0	24.69
07/12/2017	75501699	WARD, EDMOND	FIDELITY ADVISOR FUNDS 315920850 B	0.00	1.21	0.00	1.21	50.0	0.61
07/12/2017	75501699	WARD, EDMOND	FIDELITY ADVISOR FUNDS 316145408 B	0.00	1.65	0.00	1.65	50.0	0.83
07/12/2017	75501701	RICKERT, RUSSELL	BLACKROCK GLOBAL ALLOCATION FD INC B	0.00	2.05	0.00	2.05	50.0	1.03
07/12/2017	75501701	RICKERT, RUSSELL	FIDELITY ADV SMALL CAP CL T B	0.00	2.27	0.00	2.27	50.0	1.14
07/12/2017	75501701	RICKERT, RUSSELL	FIDELITY ADV GROWTH & INCOME CL T B	0.00	0.15	0.00	0.15	50.0	0.00
07/12/2017	75501701	RICKERT, RUSSELL	FIDELITY ADV NEW INSIGHTS-CL T B	0.00	2.75	0.00	2.75	50.0	1.38
07/12/2017	75501701	RICKERT, RUSSELL	FIDELITY INVT TR ADVISOR CANADA FD B	0.00	1.58	0.00	1.58	50.0	0.79
07/12/2017	75501738	MCDOWELL, CARL	**GABELLI UTILITIES FUND B	0.00	0.93	0.00	0.93	50.0	0.00
07/12/2017	75501738	MCDOWELL, CARL	FIDELITY ADVISOR (FOCUS) HEALTH CAR B	0.00	0.48	0.00	0.48	50.0	0.00
07/12/2017	75501743	CIAVARELLA, LOUIS	FIDELITY ADVISOR FOCUS FUNDS FINANC B	0.00	0.03	0.00	0.03	50.0	0.00
07/12/2017	75501743	CIAVARELLA, LOUIS	FIDELITY ADVISOR SER VIII EMERGING B	0.00	0.20	0.00	0.20	50.0	0.00
07/12/2017	75501746	CIAVARELLA, LOUIS	**VIRTUS STRATEGIC GROWTH FUND B	0.00	0.24	0.00	0.24	50.0	0.00
07/12/2017	75501746	CIAVARELLA, LOUIS	AIM SMALL CAP GROWTH FUND - CLASS A B	0.00	4.08	0.00	4.08	50.0	2.04
07/12/2017	75501746	CIAVARELLA, LOUIS	BLACKROCK HEALTH SCIENCES FUND CLAS B	0.00	5.70	0.00	5.70	50.0	2.85
07/12/2017	75501746	CIAVARELLA, LOUIS	COLUMBIA CONTRARIAN CORE FD CL A B	0.00	2.85	0.00	2.85	50.0	1.43
07/12/2017	75501746	CIAVARELLA, LOUIS	DREYFUS PREMIER LARGE CAP GROWTH FU B	0.00	2.21	0.00	2.21	50.0	1.11
07/12/2017	75501746	CIAVARELLA, LOUIS	EATON VANCE GROWTH TR RICHRD BERNST B	0.00	1.98	0.00	1.98	50.0	0.99
07/12/2017	75501746	CIAVARELLA, LOUIS	FIDELITY ADVISOR LARGE CAP STOCK CL B	0.00	2.16	0.00	2.16	50.0	1.08
07/12/2017	75501746	CIAVARELLA, LOUIS	FIDELITY ADVISOR MID CAP STOCK CL A B	0.00	2.23	0.00	2.23	50.0	1.12
07/12/2017	75501746	CIAVARELLA, LOUIS	FIDELITY ADVISOR FUNDS 315807834 B	0.00	0.76	0.00	0.76	50.0	0.00
07/12/2017	75501746	CIAVARELLA, LOUIS	FIDELITY ADV TECHNOLOGY CL A B	0.00	2.81	0.00	2.81	50.0	1.41
07/12/2017	75501746	CIAVARELLA, LOUIS	FIDELITY ADVISOR INDUSTRIALS CL A B	0.00	2.14	0.00	2.14	50.0	1.07
07/12/2017	75501746	CIAVARELLA, LOUIS	FIDELITY ADVISOR SER VIII EMERGING B	0.00	2.08	0.00	2.08	50.0	1.04
07/12/2017	75501746	CIAVARELLA, LOUIS	FIDELITY ADVISOR SMALL CAP GROWTH F B	0.00	2.07	0.00	2.07	50.0	1.04
07/12/2017	75501746	CIAVARELLA, LOUIS	FIDELITY INVT TR FIDELITY ADV EUROP B	0.00	2.05	0.00	2.05	50.0	1.03
07/12/2017	75501746	CIAVARELLA, LOUIS	FRK SM CAP GRWTH FND II - CL A B	0.00	0.82	0.00	0.82	50.0	0.00
07/12/2017	75501746	CIAVARELLA, LOUIS	INVESCO MID CAP GROWTH FUND CLASS A B	0.00	2.75	0.00	2.75	50.0	1.38
07/12/2017	75501746	CIAVARELLA, LOUIS	THORNBURG GLOBAL OPPORTUNITIES FUND B	0.00	0.71	0.00	0.71	50.0	0.00
07/12/2017	75501746	CIAVARELLA, LOUIS	THORNBURG INVT TR BETTER WORLD INTL B	0.00	0.52	0.00	0.52	50.0	0.00
07/12/2017	75501746	CIAVARELLA, LOUIS	VIRTUS QUALITY SMALL CAP B	0.00	0.24	0.00	0.24	50.0	0.00
07/12/2017	75501756	MANFREDI, MICHAEL	**CLEARBRIDGE AGGRESSIVE B	0.00	0.56	0.00	0.56	50.0	0.00
07/12/2017	75501756	MANFREDI, MICHAEL	**CLEARBRIDGE DIVIDEND B	0.00	1.17	0.00	1.17	50.0	0.59
07/12/2017	75501758	BERGEN, MIMI	BLACKROCK EQUITY DIVIDEND FUND CL A B	0.00	0.46	0.00	0.46	50.0	0.00
07/12/2017	75501758	BERGEN, MIMI	BLACKROCK STRATEGIC INCOME OPPORTUN B	0.00	0.76	0.00	0.76	50.0	0.00

COMMISSION STATEMENT for LOUIS CIAVARELLA

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
BROKER TRANSACTIONS											
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
07/12/2017	75501758	BERGEN, MIMI		BLK 091928846	B	0.00	0.40	0.00	0.40	50.0	0.00
07/12/2017	75501760	BERGEN, MIMI		FEDERATED STRATEGIC INCOME FUND CLA B	B	0.00	2.90	0.00	2.90	50.0	1.45
07/12/2017	75501764	HALL, JOAN		**GABELLI UTILITIES FUND	B	0.00	1.92	0.00	1.92	50.0	0.96
07/12/2017	75501764	HALL, JOAN		FIDELITY ADVISOR FUNDS 315918367	B	0.00	5.27	0.00	5.27	50.0	2.64
07/12/2017	75501764	HALL, JOAN		FIDELITY ADVISOR FUNDS 315918524	B	0.00	9.03	0.00	9.03	50.0	4.52
07/12/2017	75501764	HALL, JOAN		FIDELITY ADV STRATEGIC DIV & INCOME B	B	0.00	5.12	0.00	5.12	50.0	2.56
07/12/2017	75501976	WARD, BRANDON		**HENDERSON INTERNATIONAL	B	0.00	0.28	0.00	0.28	50.0	0.00
07/12/2017	75501976	WARD, BRANDON		EATON VANCE GLOBAL MACRO ABSOLUTE R B	B	0.00	12.33	0.00	12.33	50.0	6.17
07/12/2017	75501976	WARD, BRANDON		JANUS INVT FD HENDERSON INTL OPPRTN B	B	0.00	8.00	0.00	8.00	50.0	4.00
07/12/2017	75501976	WARD, BRANDON		OPPENHEIMERFUNDS 68380E601	B	0.00	4.27	0.00	4.27	50.0	2.14
07/12/2017	75501976	WARD, BRANDON		OPPENHEIMER GOLD & SPECIAL MINERALS B	B	0.00	18.58	0.00	18.58	50.0	9.29
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *						\$0.00	\$497.69	\$0.00	\$497.69		\$235.84
*** BROKER TRANSACTIONS TOTAL ***						\$136,882.47	\$7,233.91	\$0.00	\$7,233.91		\$3,541.48

ADJUSTMENTS

07/31/2017		OTHER: OTHER-ADVISORY FEES		0.00	0.00	0.00	0.00		-1,418.45
07/31/2017		OTHER: OTHER-RBC FEES		0.00	0.00	0.00	0.00		-135.00
07/31/2017		OTHER: OTHER-ADVISORY FEES		0.00	0.00	0.00	0.00		0.00
				*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$-1,553.45

BROKER COMMISSION TOTALS

Broker Transactions	\$3,541.48
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,553.45
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-9.04
SIPC Assessment	\$-18.08

Check Amount	\$1,960.91
Year-to-date Earnings	\$2,339.71