

COMMISSION STATEMENT

September 29, 2017

COLIN GLENNON
711 ELLINGTON ROADBROKER #: 17
BRANCH: HOME OFFICE

RIDGEWOOD, NJ 07450

COMMISSION STATEMENT for COLIN GLENNON

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

| | | | | | | | | | | |
|---------------------|----------|------------------|------------------------------------|---|---------------------|-----------------|---------------|-----------------|------|-----------------|
| 09/19/2017 | 75501365 | DUFFY, MONICA | FLUSHING FINANCIAL CORP | S | 2,780.45 | 79.15 | 0.00 | 79.15 | 50.0 | 39.58 |
| 09/21/2017 | 75501382 | LEVIS, ANGELA | CALGON CARBON CORP | S | 83,366.40 | 234.00 | 0.00 | 234.00 | 50.0 | 117.00 |
| 09/21/2017 | 75501383 | LEVIS, ANGELA | CALGON CARBON CORP | S | 83,366.40 | 234.00 | 0.00 | 234.00 | 50.0 | 117.00 |
| 09/21/2017 | 75501388 | LEVIS, ANGELA | CALGON CARBON CORP | S | 40,144.13 | 112.68 | 0.00 | 112.68 | 50.0 | 56.34 |
| 09/11/2017 | 75501429 | COMACK, KATHLEEN | NUVEEN ENHANCED AMT FREE MUNICIPAL | S | 3,202.00 | 75.00 | 0.00 | 75.00 | 50.0 | 37.50 |
| 09/08/2017 | 75502131 | JENNEE, AUSTIN | NVIDIA CORP | B | 4,907.70 | 40.00 | 0.00 | 40.00 | 50.0 | 20.00 |
| 09/15/2017 | 75502131 | JENNEE, AUSTIN | NVIDIA CORP | S | 5,382.00 | 40.00 | 0.00 | 40.00 | 50.0 | 20.00 |
| * STOCKS SUBTOTAL * | | | | | <u>\$223,149.08</u> | <u>\$814.83</u> | <u>\$0.00</u> | <u>\$814.83</u> | | <u>\$407.42</u> |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | | | |
|--------------------------------------|----------|------------------|---------------------------------------|---|---------------------|-----------------|---------------|-----------------|------|-----------------|
| 09/12/2017 | 75501429 | COMACK, KATHLEEN | FRANKLIN U.S. GOVERNMENT SECURITIES | B | 0.00 | 6.57 | 0.00 | 6.57 | 50.0 | 3.29 |
| 09/12/2017 | 75501609 | BUCHNER, LORETTA | GOLDMAN SACHS U S EQUITY INSIGHTS F B | | 0.00 | 3.92 | 0.00 | 3.92 | 50.0 | 1.96 |
| 09/12/2017 | 75501609 | BUCHNER, LORETTA | GOLDMAN SACHS TOLLKEEPER FUND CLASS B | | 0.00 | 16.45 | 0.00 | 16.45 | 50.0 | 8.23 |
| 09/12/2017 | 75501609 | BUCHNER, LORETTA | JOHN HANCOCK FDS III STRATEGIC GROW B | | 0.00 | 2.18 | 0.00 | 2.18 | 50.0 | 1.09 |
| 09/12/2017 | 75501668 | PARKER, FRANCINE | FRK SM CAP GRWTH FND II - CL A | B | 0.00 | 5.26 | 0.00 | 5.26 | 50.0 | 2.63 |
| 09/12/2017 | 75501668 | PARKER, FRANCINE | GLOBAL OPPORTUNITIES A | B | 0.00 | 8.08 | 0.00 | 8.08 | 50.0 | 4.04 |
| 09/12/2017 | 75501669 | PARKER, JAMES | FRANKLIN U.S. GOVERNMENT SECURITIES | B | 0.00 | 0.27 | 0.00 | 0.27 | 50.0 | 0.14 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | | <u>\$0.00</u> | <u>\$42.73</u> | <u>\$0.00</u> | <u>\$42.73</u> | | <u>\$21.38</u> |
| *** BROKER TRANSACTIONS TOTAL *** | | | | | <u>\$223,149.08</u> | <u>\$857.56</u> | <u>\$0.00</u> | <u>\$857.56</u> | | <u>\$428.80</u> |

BROKER COMMISSION TOTALS

| | |
|-----------------------|----------|
| Broker Transactions | \$428.80 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$-1.07 |
| SIPC Assessment | \$-2.14 |

| | |
|------------------------------|-----------------|
| Check Amount | \$425.59 |
| Year-to-date Earnings | \$601.10 |