

## COMMISSION STATEMENT

January 31, 2018

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: STOCKS

01/25/2018	75502093 FIDER, LOURDES	VANGUARD S&P 500 ETF	S	521.58	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502093 FIDER, LOURDES	VANGUARD TOTAL INTERNATIONAL BOND E B		325.04	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD FTSE EMERGING MARKETS ETF S	S	858.84	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD FTSE EMERGING MARKETS ETF S	S	709.24	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD FTSE DEVELOPED MARKETS ETF S	S	1,669.15	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD FTSE DEVELOPED MARKETS ETF B	B	2,817.11	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD INTERMEDIATE TERM BOND ETF S	S	414.15	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD INDEX FUNDS VANGUARD EXTEN S	S	1,052.01	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD INDEX FUNDS VANGUARD EXTEN S	S	936.52	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD LONG TERM BOND ETF S	S	280.32	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD LONG TERM BOND ETF S	S	280.86	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD SCOTTSDALE FUNDS VANGUARD S	S	364.00	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD SCOTTSDALE FUNDS VANGUARD S	S	260.15	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD SHORT TERM BOND ETF S	S	709.38	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD SHORT TERM BOND ETF S	S	473.04	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD S&P 500 ETF S	S	3,126.00	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD S&P 500 ETF B	B	782.46	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD TOTAL INTERNATIONAL BOND E S	S	704.21	0.00	0.00	0.00	80.0	0.00
01/25/2018	75502101 CORSO, JOSEPH	VANGUARD TOTAL INTERNATIONAL BOND E S	S	487.71	0.00	0.00	0.00	80.0	0.00
* STOCKS SUBTOTAL *				\$16,771.77	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: MISCELLANEOUS

01/31/2018	VARIOUS, BAROLOTTA	ADP	B	0.00	22,190.52	0.00	22,190.52	80.0	17,752.42
01/31/2018	VARIOUS, BAROLOTTA	ADVISORY INCOME	B	0.00	793.66	0.00	793.66	80.0	634.93
* MISCELLANEOUS SUBTOTAL *				\$0.00	\$22,984.18	\$0.00	\$22,984.18		\$18,387.35

PRODUCT CATEGORY: RIA

01/17/2018	75502093 FIDER, LOURDES	FAS FEES PT. I/III	B	-16.50	8.25	0.00	8.25	80.0	6.60
01/17/2018	75502101 CORSO, JOSEPH	FAS FEES PT. I/III	B	-13.54	6.77	0.00	6.77	80.0	5.42
01/17/2018	75502127 HAUGHEY, LISA	FAS FEES PT. I/III	B	-615.08	615.08	0.00	615.08	80.0	492.06
01/17/2018	75502134 HAUGHEY, LISA	FAS FEES PT. I/III	B	-163.44	163.44	0.00	163.44	80.0	130.75

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
				* RIA SUBTOTAL *	\$-808.56	\$793.54	\$0.00	\$793.54	\$634.83	
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
01/10/2018	75501422	FROUXIDES, MENELAOS	AIM ENERGY FUND - CLASS A	B	0.00	2.24	0.00	2.24	80.0	1.79
01/10/2018	75501422	FROUXIDES, MENELAOS	AMERICAN BALANCED FUND INC CL F1	B	0.00	5.31	0.00	5.31	80.0	4.25
01/10/2018	75501422	FROUXIDES, MENELAOS	BLACKROCK EQUITY DIVIDEND FUND SVC	B	0.00	2.93	0.00	2.93	80.0	2.34
01/10/2018	75501422	FROUXIDES, MENELAOS	BOND FUND AMER INC CL F1	B	0.00	0.89	0.00	0.89	80.0	0.00
01/10/2018	75501422	FROUXIDES, MENELAOS	LORD ABBETT SHORT DURATION INCOME F B		0.00	0.61	0.00	0.61	80.0	0.00
01/10/2018	75501422	FROUXIDES, MENELAOS	LORD ABBETT HIGH YIELD FUND CL-A	B	0.00	0.40	0.00	0.40	80.0	0.00
01/10/2018	75501422	FROUXIDES, MENELAOS	OPPENHEIMER SENIOR FLOATING RATE FU B		0.00	1.12	0.00	1.12	80.0	0.90
01/10/2018	75501422	FROUXIDES, MENELAOS	PIMCO INCOME FUND CLASS D	B	0.00	3.82	0.00	3.82	80.0	3.06
01/10/2018	75501426	FROUXIDES, NATIA	INCOME FUND AMER INC CL F1	B	0.00	3.08	0.00	3.08	80.0	2.46
01/10/2018	75501426	FROUXIDES, NATIA	LORD ABBETT SHORT DURATION INCOME F B		0.00	0.50	0.00	0.50	80.0	0.00
01/10/2018	75501426	FROUXIDES, NATIA	OPPENHEIMER STRATEGIC INCOME FD CL	B	0.00	1.01	0.00	1.01	80.0	0.81
01/12/2018	75501426	FROUXIDES, NATIA	**ABERDEEN GLOBAL HIGH INCOME	B	0.00	0.62	0.00	0.62	80.0	0.00
01/16/2018	75501426	FROUXIDES, NATIA	**IVA FIDUCIARY TR	B	0.00	3.44	0.00	3.44	80.0	2.75
01/10/2018	75501427	FROUXIDES, MENELAOS	BLACKROCK HEALTH SCIENCES FUND CLAS B		0.00	3.25	0.00	3.25	80.0	2.60
01/10/2018	75501427	FROUXIDES, MENELAOS	CAPITAL WORLD BOND FUND CL F1	B	0.00	2.48	0.00	2.48	80.0	1.98
01/10/2018	75501427	FROUXIDES, MENELAOS	FIDELITY ADVISOR ENERGY CL A	B	0.00	1.81	0.00	1.81	80.0	1.45
01/10/2018	75501427	FROUXIDES, MENELAOS	FIRST EAGLE OVERSEAS FUND CLASS A	B	0.00	6.10	0.00	6.10	80.0	4.88
01/10/2018	75501427	FROUXIDES, MENELAOS	OPPENHEIMER STRATEGIC INCOME FD CL	B	0.00	4.45	0.00	4.45	80.0	3.56
01/10/2018	75501427	FROUXIDES, MENELAOS	OPPENHEIMER STEELPATH MLP ALPHA FUN B		0.00	0.82	0.00	0.82	80.0	0.00
01/12/2018	75501427	FROUXIDES, MENELAOS	**ABERDEEN TOTAL RETURNBOND	B	0.00	5.13	0.00	5.13	80.0	4.10
01/10/2018	75501428	FROUXIDES, NATIA	BLACKROCK NAT RES TR CL A	B	0.00	1.62	0.00	1.62	80.0	1.30
01/10/2018	75501428	FROUXIDES, NATIA	DREYFUS INVT FDS STANDISH GLOBAL FI B		0.00	3.88	0.00	3.88	80.0	3.10
01/10/2018	75501428	FROUXIDES, NATIA	DREYFUS NY TAX EXEMPT BOND FUND INC B		0.00	2.71	0.00	2.71	80.0	2.17
01/10/2018	75501428	FROUXIDES, NATIA	FIRST EAGLE GLOBAL FUND CLASS A	B	0.00	7.95	0.00	7.95	80.0	6.36
01/10/2018	75501428	FROUXIDES, NATIA	INCOME FUND AMER INC CL F1	B	0.00	12.88	0.00	12.88	80.0	10.30
01/10/2018	75501428	FROUXIDES, NATIA	LOOMIS SAYLES BOND FUND RETAIL CLAS B		0.00	6.41	0.00	6.41	80.0	5.13
01/10/2018	75501428	FROUXIDES, NATIA	OPPENHEIMER SENIOR FLOATING RATE FU B		0.00	5.37	0.00	5.37	80.0	4.30
01/10/2018	75501428	FROUXIDES, NATIA	OPPENHEIMER STEELPATH MLP INCOME FU B		0.00	1.08	0.00	1.08	80.0	0.86
01/10/2018	75501428	FROUXIDES, NATIA	US GOVT FUND CLASS A	B	0.00	1.56	0.00	1.56	80.0	1.25
01/10/2018	75501428	FROUXIDES, NATIA	WESTERN ASSET SHORT DURATION HIGH I B		0.00	1.42	0.00	1.42	80.0	1.14
01/10/2018	75501565	GIANNIZZERO, THOMAS	PUTNAM 746444108	B	0.00	9.99	0.00	9.99	80.0	7.99
01/10/2018	75501566	GIANNIZZERO, LAURE	MFS TOTAL RETURN FUND-A	B	0.00	8.32	0.00	8.32	80.0	6.66
			* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$113.20	\$0.00	\$113.20		\$87.49
			*** BROKER TRANSACTIONS TOTAL ***		\$15,963.21	\$23,890.92	\$0.00	\$23,890.92		\$19,109.67

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ADJUSTMENTS									
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-114.82
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-30.51
01/31/2018		ADVANCE: ADVANCE		0.00	0.00	0.00	0.00		-16,815.14
01/31/2018		E & O INSURANCE: E & O INSURANCE		0.00	0.00	0.00	0.00		-200.00
01/31/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
01/31/2018		OTHER: OTHER-WEALTH MANAGEMENT		0.00	0.00	0.00	0.00		-25.00
01/31/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
01/31/2018		OTHER: OTHER - FINRA AND SIPC		0.00	0.00	0.00	0.00		-86.19
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-17,299.66

BROKER COMMISSION TOTALS

Broker Transactions	\$19,109.67
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-17,299.66
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-465.13
FINRA Assessment	\$-1.13
SIPC Assessment	\$-2.27

Check Amount	\$1,341.48
Year-to-date Earnings	\$1,341.48