

COMMISSION STATEMENT

October 31, 2017

WILLIAM DIPENICE
110 SOUTH BUCKHOUT STREET

BROKER #: 74
BRANCH: HOME OFFICE

IRVINGTON, NY 10533

COMMISSION STATEMENT for WILLIAM DIPENICE

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

10/25/2017	75502052	DIPENICE, WILLIAM	FRANKLIN CUSTODIAN FUNDS INC GROWTH S	500.00	0.00	0.00	0.00	80.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$500.00	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

09/28/2017	75502048	FERRUZZI, KENNETH	ALLIANCE DATA SYSTEM CORP	S	1,533.77	0.00	0.00	0.00	80.0	0.00
09/28/2017	75502048	FERRUZZI, KENNETH	FIDELITY NATIONAL INFORMATION SERVI B		1,397.97	0.00	0.00	0.00	80.0	0.00
10/20/2017	75502048	FERRUZZI, KENNETH	AETNA INC NEW	B	1,434.18	0.00	0.00	0.00	80.0	0.00
10/20/2017	75502048	FERRUZZI, KENNETH	CELGENE CORP	S	977.59	0.00	0.00	0.00	80.0	0.00
10/26/2017	75502048	FERRUZZI, KENNETH	CELGENE CORP	S	1,729.90	0.00	0.00	0.00	80.0	0.00
10/27/2017	75502048	FERRUZZI, KENNETH	CARDINAL HEALTH INC	S	1,123.96	0.00	0.00	0.00	80.0	0.00
10/27/2017	75502048	FERRUZZI, KENNETH	STRYKER CORP	B	1,104.25	0.00	0.00	0.00	80.0	0.00
10/25/2017	75502049	MORRIS, MICHAEL	BIOMERIE INC	S	944.55	0.00	0.00	0.00	80.0	0.00
10/25/2017	75502049	MORRIS, MICHAEL	IMMUNOGEN INC	S	1,308.17	0.00	0.00	0.00	80.0	0.00
09/29/2017	75502050	DIPENICE, WILLIAM	SIEMENS AG AMERICAN DEPOSITARY SHAR B		3,225.35	0.00	0.00	0.00	80.0	0.00
09/29/2017	75502050	DIPENICE, WILLIAM	SIEMENS AG AMERICAN DEPOSITARY SHAR B		493.85	0.00	0.00	0.00	80.0	0.00
10/04/2017	75502050	DIPENICE, WILLIAM	ZOETIS INC CL A	S	3,696.04	0.00	0.00	0.00	80.0	0.00
10/05/2017	75502050	DIPENICE, WILLIAM	WEX INC	B	1,832.64	0.00	0.00	0.00	80.0	0.00
10/13/2017	75502050	DIPENICE, WILLIAM	COMCAST CORP CL A	S	2,739.81	0.00	0.00	0.00	80.0	0.00
10/19/2017	75502050	DIPENICE, WILLIAM	DOWDUPONT INC COMMON STOCK	B	3,756.10	0.00	0.00	0.00	80.0	0.00
09/28/2017	75502051	DIPENICE, NINA	ALLIANCE DATA SYSTEM CORP	S	3,286.65	0.00	0.00	0.00	80.0	0.00
09/28/2017	75502051	DIPENICE, NINA	FIDELITY NATIONAL INFORMATION SERVI B		2,795.94	0.00	0.00	0.00	80.0	0.00
10/20/2017	75502051	DIPENICE, NINA	AETNA INC NEW	B	2,868.36	0.00	0.00	0.00	80.0	0.00
10/20/2017	75502051	DIPENICE, NINA	CELGENE CORP	S	2,199.57	0.00	0.00	0.00	80.0	0.00
10/26/2017	75502051	DIPENICE, NINA	CELGENE CORP	S	3,267.60	0.00	0.00	0.00	80.0	0.00
10/27/2017	75502051	DIPENICE, NINA	CARDINAL HEALTH INC	S	2,247.92	0.00	0.00	0.00	80.0	0.00
10/27/2017	75502051	DIPENICE, NINA	STRYKER CORP	B	2,208.50	0.00	0.00	0.00	80.0	0.00
09/28/2017	75502083	MAISELL, ADRIANE	ALLIANCE DATA SYSTEM CORP	S	1,314.66	0.00	0.00	0.00	80.0	0.00
09/28/2017	75502083	MAISELL, ADRIANE	FIDELITY NATIONAL INFORMATION SERVI B		1,211.57	0.00	0.00	0.00	80.0	0.00
10/20/2017	75502083	MAISELL, ADRIANE	AETNA INC NEW	B	1,274.83	0.00	0.00	0.00	80.0	0.00
10/20/2017	75502083	MAISELL, ADRIANE	CELGENE CORP	S	977.59	0.00	0.00	0.00	80.0	0.00
10/26/2017	75502083	MAISELL, ADRIANE	CELGENE CORP	S	1,441.59	0.00	0.00	0.00	80.0	0.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
10/27/2017	75502083 MAISELL, ADRIANE	CARDINAL HEALTH INC	S	999.07	0.00	0.00	0.00	80.0	0.00
10/27/2017	75502083 MAISELL, ADRIANE	STRYKER CORP	B	946.50	0.00	0.00	0.00	80.0	0.00
* STOCKS SUBTOTAL *				\$54,338.48	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: MISCELLANEOUS</u>									
10/31/2017	VARIOUS, DIPENICE	ADVISORY INCOME	B	0.00	-1,181.32	0.00	-1,181.32	80.0	-945.06
* MISCELLANEOUS SUBTOTAL *				\$0.00	\$-1,181.32	\$0.00	\$-1,181.32		\$-945.06
<u>PRODUCT CATEGORY: RIA</u>									
10/16/2017	75502048 FERRUZZI, KENNETH	FAS FEES	B	-540.49	270.25	0.00	270.25	80.0	216.20
10/16/2017	75502049 MORRIS, MICHAEL	FAS FEES	B	-658.49	365.83	0.00	365.83	80.0	292.66
10/16/2017	75502050 DIPENICE, WILLIAM	FAS FEES	B	-470.10	235.05	0.00	235.05	80.0	188.04
10/16/2017	75502051 DIPENICE, NINA	FAS FEES	B	-1,056.53	577.57	0.00	577.57	80.0	462.06
10/16/2017	75502052 DIPENICE, WILLIAM	FAS FEES	B	-119.75	89.81	0.00	89.81	80.0	71.85
10/16/2017	75502083 MAISELL, ADRIANE	FAS FEES	B	-466.95	233.48	0.00	233.48	80.0	186.78
* RIA SUBTOTAL *				\$-3,312.31	\$1,771.99	\$0.00	\$1,771.99		\$1,417.59
*** BROKER TRANSACTIONS TOTAL ***				\$51,526.17	\$590.67	\$0.00	\$590.67		\$472.53

ADJUSTMENTS

10/31/2017	E & O INSURANCE: E & O INSURANCE	0.00	0.00	0.00	0.00	-250.00
10/31/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
10/31/2017	OTHER: OTHER-WEALTH MANAGEMENT	0.00	0.00	0.00	0.00	-25.00
10/31/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-8.00
*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-303.00

BROKER COMMISSION TOTALS

Broker Transactions	\$472.53
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-303.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-2.21
SIPC Assessment	\$-4.43

Check Amount	\$162.89
Year-to-date Earnings	\$411.20