

COMMISSION STATEMENT

July 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: STOCKS

06/30/2017 75502048	FERRUZZI, KENNETH	DANAHER CORPORATION	S	1,262.72	0.00	0.00	0.00	80.0	0.00
06/30/2017 75502048	FERRUZZI, KENNETH	STRYKER CORP	B	2,092.41	0.00	0.00	0.00	80.0	0.00
07/19/2017 75502048	FERRUZZI, KENNETH	ABIOMED INC	B	1,018.70	0.00	0.00	0.00	80.0	0.00
07/19/2017 75502048	FERRUZZI, KENNETH	ACCELERON PHARMA INC	S	753.01	0.00	0.00	0.00	80.0	0.00
07/19/2017 75502048	FERRUZZI, KENNETH	AKORN INC	S	2,590.93	0.00	0.00	0.00	80.0	0.00
07/19/2017 75502048	FERRUZZI, KENNETH	BROADCOM LIMITED SHS	B	1,515.09	0.00	0.00	0.00	80.0	0.00
07/19/2017 75502048	FERRUZZI, KENNETH	DEPOMED INC	S	420.80	0.00	0.00	0.00	80.0	0.00
07/19/2017 75502048	FERRUZZI, KENNETH	GLOBUS MEDICAL INC	B	719.12	0.00	0.00	0.00	80.0	0.00
07/19/2017 75502048	FERRUZZI, KENNETH	INTEL CORP	S	1,416.75	0.00	0.00	0.00	80.0	0.00
07/19/2017 75502048	FERRUZZI, KENNETH	LIGAND PHARMACEUTICALS INC	B	1,076.59	0.00	0.00	0.00	80.0	0.00
07/19/2017 75502048	FERRUZZI, KENNETH	PACIRA PHARMACEUTICALS INC	B	693.56	0.00	0.00	0.00	80.0	0.00
07/19/2017 75502048	FERRUZZI, KENNETH	SALESFORCE.COM INC	B	1,801.63	0.00	0.00	0.00	80.0	0.00
07/10/2017 75502049	MORRIS, MICHAEL	FLUOR CORP NEW	S	2,908.96	0.00	0.00	0.00	80.0	0.00
07/10/2017 75502049	MORRIS, MICHAEL	FREEMPORT MCMORAN INC	S	3,131.25	0.00	0.00	0.00	80.0	0.00
07/10/2017 75502049	MORRIS, MICHAEL	L3 TECHNOLOGIES INC COM	S	2,382.56	0.00	0.00	0.00	80.0	0.00
07/12/2017 75502049	MORRIS, MICHAEL	UNITEDHEALTH GROUP INC	B	2,992.19	0.00	0.00	0.00	80.0	0.00
07/17/2017 75502049	MORRIS, MICHAEL	AUTODESK INC	B	1,926.90	0.00	0.00	0.00	80.0	0.00
07/17/2017 75502049	MORRIS, MICHAEL	BROADCOM LIMITED SHS	B	4,246.94	0.00	0.00	0.00	80.0	0.00
07/17/2017 75502049	MORRIS, MICHAEL	COMCAST CORP CL A	B	2,274.75	0.00	0.00	0.00	80.0	0.00
07/17/2017 75502049	MORRIS, MICHAEL	NATIONAL-OILWELL VARCO INC	S	2,346.01	0.00	0.00	0.00	80.0	0.00
07/17/2017 75502049	MORRIS, MICHAEL	NUCOR CORP	S	4,207.71	0.00	0.00	0.00	80.0	0.00
07/17/2017 75502049	MORRIS, MICHAEL	WEATHERFORD INTERNATIONAL PLC USD0.	S	4,409.66	0.00	0.00	0.00	80.0	0.00
06/28/2017 75502050	DIPENICE, WILLIAM	ADOBE SYSTEMS INC	S	2,563.38	0.00	0.00	0.00	80.0	0.00
06/30/2017 75502050	DIPENICE, WILLIAM	APPLE INC	S	288.42	0.00	0.00	0.00	80.0	0.00
06/30/2017 75502050	DIPENICE, WILLIAM	PHILLIPS 66 COM	B	1,078.60	0.00	0.00	0.00	80.0	0.00
07/14/2017 75502050	DIPENICE, WILLIAM	STARBUCKS CORP	B	818.28	0.00	0.00	0.00	80.0	0.00
06/30/2017 75502051	DIPENICE, NINA	DANAHER CORPORATION	S	2,609.62	0.00	0.00	0.00	80.0	0.00
06/30/2017 75502051	DIPENICE, NINA	STRYKER CORP	B	4,045.33	0.00	0.00	0.00	80.0	0.00
07/19/2017 75502051	DIPENICE, NINA	ABIOMED INC	B	2,037.40	0.00	0.00	0.00	80.0	0.00
07/19/2017 75502051	DIPENICE, NINA	ACCELERON PHARMA INC	S	1,566.26	0.00	0.00	0.00	80.0	0.00
07/19/2017 75502051	DIPENICE, NINA	AKORN INC	S	5,080.91	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	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
07/19/2017	75502051	DIPENICE, NINA	BROADCOM LIMITED SHS	B	2,777.67	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502051	DIPENICE, NINA	DEPOMED INC	S	915.24	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502051	DIPENICE, NINA	GLOBUS MEDICAL INC	B	1,405.55	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502051	DIPENICE, NINA	INTEL CORP	S	2,833.50	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502051	DIPENICE, NINA	LIGAND PHARMACEUTICALS INC	B	2,153.18	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502051	DIPENICE, NINA	PACIRA PHARMACEUTICALS INC	B	1,387.13	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502051	DIPENICE, NINA	SALESFORCE.COM INC	B	3,513.17	0.00	0.00	0.00	80.0	0.00
06/30/2017	75502083	MAISELL, ADRIANE	DANAHER CORPORATION	S	1,178.54	0.00	0.00	0.00	80.0	0.00
06/30/2017	75502083	MAISELL, ADRIANE	STRYKER CORP	B	1,813.42	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502083	MAISELL, ADRIANE	ABIOMED INC	B	873.17	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502083	MAISELL, ADRIANE	ACCELERON PHARMA INC	S	692.77	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502083	MAISELL, ADRIANE	AKORN INC	S	2,254.44	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502083	MAISELL, ADRIANE	BROADCOM LIMITED SHS	B	1,262.58	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502083	MAISELL, ADRIANE	DEPOMED INC	S	399.76	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502083	MAISELL, ADRIANE	GLOBUS MEDICAL INC	B	621.06	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502083	MAISELL, ADRIANE	INTEL CORP	S	1,278.53	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502083	MAISELL, ADRIANE	LIGAND PHARMACEUTICALS INC	B	956.97	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502083	MAISELL, ADRIANE	PACIRA PHARMACEUTICALS INC	B	644.02	0.00	0.00	0.00	80.0	0.00
07/19/2017	75502083	MAISELL, ADRIANE	SALESFORCE.COM INC	B	1,531.38	0.00	0.00	0.00	80.0	0.00
* STOCKS SUBTOTAL *					\$94,768.52	\$0.00	\$0.00	\$0.00		\$0.00
PRODUCT CATEGORY: RIA										
07/18/2017	75502048	FERRUZZI, KENNETH	FAS FEES	B	-528.99	264.50	0.00	264.50	80.0	211.60
07/18/2017	75502049	MORRIS, MICHAEL	FAS FEES	B	-675.39	375.22	0.00	375.22	80.0	300.18
07/18/2017	75502050	DIPENICE, WILLIAM	FAS FEES	B	-448.98	224.49	0.00	224.49	80.0	179.59
07/18/2017	75502051	DIPENICE, NINA	FAS FEES	B	-1,033.34	564.89	0.00	564.89	80.0	451.91
07/18/2017	75502052	DIPENICE, WILLIAM	FAS FEES	B	-115.11	86.33	0.00	86.33	80.0	69.06
07/18/2017	75502083	MAISELL, ADRIANE	FAS FEES	B	-456.97	228.49	0.00	228.49	80.0	182.79
* RIA SUBTOTAL *					\$-3,258.78	\$1,743.92	\$0.00	\$1,743.92		\$1,395.13
*** BROKER TRANSACTIONS TOTAL ***					\$91,509.74	\$1,743.92	\$0.00	\$1,743.92		\$1,395.13

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
07/31/2017		E & O INSURANCE: E & O INSURANCE		0.00	0.00	0.00	0.00		-250.00
07/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
07/31/2017		OTHER: OTHER-WEALTH MANAGEMENT		0.00	0.00	0.00	0.00		-25.00
07/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
07/31/2017		OTHER: OTHER-ADVISOR INCOME		0.00	0.00	0.00	0.00		-930.13
07/31/2017		OTHER: OTHER-RBC EXPENSES		0.00	0.00	0.00	0.00		-116.27
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-1,349.40

BROKER COMMISSION TOTALS

Broker Transactions	\$1,395.13
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,349.40
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-2.18
SIPC Assessment	\$-4.36

Check Amount	\$39.19
Year-to-date Earnings	\$39.19