

COMMISSION STATEMENT

January 31, 2018

IRENE SULLIVAN
303 BEVERLEY ROAD
APT 9C
BROOKLYN, NY 11218

BROKER #: 33
BRANCH: HOME OFFICE

COMMISSION STATEMENT for IRENE SULLIVAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
01/29/2018 75500750	GANGE, RICHARD	BRISTOL MYERS SQUIBB CO	S	19,446.00	516.00	25.00	491.00	80.0	392.80
01/26/2018 75500751	GANGE, RICHARD	WELLS FARGO & CO	S	14,805.00	364.00	25.00	339.00	80.0	271.20
01/26/2018 75500789	CAFIERO, RENEE	XEROX CORPORATION COMMON STOCK	S	65,460.00	1,494.00	25.00	1,469.00	80.0	1,175.20
01/26/2018 75500846	YELLAND, MARGARET	WELLS FARGO & CO	S	72,380.00	1,657.00	25.00	1,632.00	80.0	1,305.60
01/29/2018 75500846	YELLAND, MARGARET	BRISTOL MYERS SQUIBB CO	S	64,820.00	1,488.00	25.00	1,463.00	80.0	1,170.40
01/29/2018 75500846	YELLAND, MARGARET	DUKE ENERGY CORPORATION HOLDING COM B		54,047.00	1,246.00	25.00	1,221.00	80.0	976.80
01/29/2018 75501026	HARRISON, JUDITH	DUKE ENERGY CORPORATION HOLDING COM B		27,100.50	638.00	25.00	613.00	80.0	490.40
01/26/2018 75501038	VANARSDALE,	XEROX CORPORATION COMMON STOCK	S	17,188.50	419.00	25.00	394.00	80.0	315.20
01/26/2018 75501041	DUFFY, TRENT	US BANCORP DEL	S	34,764.00	821.00	25.00	796.00	80.0	636.80
01/26/2018 75501041	DUFFY, TRENT	WELLS FARGO & CO	S	32,910.00	768.00	25.00	743.00	80.0	594.40
01/26/2018 75501043	DUFFY, TRENT	XEROX CORPORATION COMMON STOCK	S	18,399.88	448.00	25.00	423.00	80.0	338.40
01/26/2018 75501078	OETTEL, BRYAN	XEROX CORPORATION COMMON STOCK	S	13,914.50	346.00	25.00	321.00	80.0	256.80
01/26/2018 75501086	CHARLES & MARK	WELLS FARGO & CO	S	72,358.00	1,657.00	25.00	1,632.00	80.0	1,305.60
01/26/2018 75501086	CHARLES & MARK	XEROX CORPORATION COMMON STOCK	S	49,095.00	1,139.00	25.00	1,114.00	80.0	891.20
01/29/2018 75501086	CHARLES & MARK	BRISTOL MYERS SQUIBB CO	S	64,820.00	1,488.00	25.00	1,463.00	80.0	1,170.40
01/29/2018 75501086	CHARLES & MARK	DUKE ENERGY CORPORATION HOLDING COM B		61,760.00	1,434.00	25.00	1,409.00	80.0	1,127.20
01/29/2018 75501100	KINNEY, SAMUEL	DUKE ENERGY CORPORATION HOLDING COM B		46,332.00	1,073.00	25.00	1,048.00	80.0	838.40
01/26/2018 75501130	PALMER, JEANNE	WELLS FARGO & CO	S	39,480.00	918.00	25.00	893.00	80.0	714.40
01/26/2018 75501130	PALMER, JEANNE	XEROX CORPORATION COMMON STOCK	S	24,555.00	584.00	25.00	559.00	80.0	447.20
01/26/2018 75501131	CAMPOS, CHRISTOPHER	WELLS FARGO & CO	S	26,321.00	626.00	25.00	601.00	80.0	480.80
01/29/2018 75502149	VANARSDALE,	DUKE ENERGY CORPORATION HOLDING COM B		23,220.00	556.00	25.00	531.00	80.0	424.80
* STOCKS SUBTOTAL *				\$843,176.38	\$19,680.00	\$525.00	\$19,155.00		\$15,324.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

01/10/2018 75500755	DENNENY, MICHAEL	CAPITAL APPRECIATION A	B	0.00	2.75	0.00	2.75	80.0	2.20
01/10/2018 75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED GROWTH FUND B		0.00	15.54	0.00	15.54	80.0	12.43
01/10/2018 75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED VALUE FD CL B		0.00	15.59	0.00	15.59	80.0	12.47
01/10/2018 75500755	DENNENY, MICHAEL	GLOBAL FUND A	B	0.00	8.10	0.00	8.10	80.0	6.48
01/10/2018 75500755	DENNENY, MICHAEL	MAIN STREET FUND A	B	0.00	5.58	0.00	5.58	80.0	4.46
01/10/2018 75500755	DENNENY, MICHAEL	MIDCAP GROWTH - CLASS C	B	0.00	83.52	0.00	83.52	80.0	66.82
01/10/2018 75500755	DENNENY, MICHAEL	SMALLCAP WORLD FUND-C	B	0.00	9.68	0.00	9.68	80.0	7.74

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
01/10/2018	75500755	DENNENY, MICHAEL	SMALLCAP WORLD FUND INC CL F1	B	0.00	5.01	0.00	5.01	80.0	4.01
01/10/2018	75500756	DENNENY, MICHAEL	**TETON WESTWOOD MIGHTY MITES	B	0.00	45.08	0.00	45.08	80.0	36.06
01/10/2018	75500756	DENNENY, MICHAEL	AIM EUROPEAN GROWTH FUND - CLASS A	B	0.00	24.58	0.00	24.58	80.0	19.66
01/10/2018	75500756	DENNENY, MICHAEL	AIM INTERNATIONAL GROWTH FUND - CL	B	0.00	73.65	0.00	73.65	80.0	58.92
01/10/2018	75500756	DENNENY, MICHAEL	AIM TECHNOLOGY FUND - CLASS A	B	0.00	15.89	0.00	15.89	80.0	12.71
01/10/2018	75500756	DENNENY, MICHAEL	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	27.31	0.00	27.31	80.0	21.85
01/10/2018	75500756	DENNENY, MICHAEL	EHV 277902813	B	0.00	8.62	0.00	8.62	80.0	6.90
01/10/2018	75500756	DENNENY, MICHAEL	JANUS INVT FD HENDERSON GLOBAL TECH	B	0.00	31.84	0.00	31.84	80.0	25.47
01/19/2018	75500756	DENNENY, MICHAEL	**FINANCIAL INVS TR	B	0.00	30.76	0.00	30.76	80.0	24.61
01/19/2018	75500756	DENNENY, MICHAEL	**FINANCIAL INVS TR	B	0.00	92.29	0.00	92.29	80.0	73.83
01/10/2018	75500788	CAFIERO, RENEE	AMT-FREE NEW YORK MUNICIPALS A	B	0.00	9.47	0.00	9.47	80.0	7.58
01/10/2018	75500848	O'LEARY, JENNIFER	EHV 277902813	B	0.00	1.47	0.00	1.47	80.0	1.18
01/10/2018	75500848	O'LEARY, JENNIFER	REGIONAL BANK A	B	0.00	0.98	0.00	0.98	80.0	0.78
01/26/2018	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS MUNDER	B	0.00	2.25	0.00	2.25	80.0	1.80
01/26/2018	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS	B	0.00	1.31	0.00	1.31	80.0	1.05
01/10/2018	75500880	VAZ, CHRISTINE	EHV 277902813	B	0.00	1.70	0.00	1.70	80.0	1.36
01/10/2018	75500880	VAZ, CHRISTINE	FIDELITY ADVISOR (FOCUS) HEALTH CAR	B	0.00	3.27	0.00	3.27	80.0	2.62
01/10/2018	75500959	KAUFMAN, DORIS	CAPITAL INCOME A	B	0.00	11.72	0.00	11.72	80.0	9.38
01/10/2018	75501025	HARRISON, JUDITH	EATON VANCE TAX MANAGED GROWTH FUND	B	0.00	2.86	0.00	2.86	80.0	2.29
01/10/2018	75501074	ROSENFELD, CAROL	**TETON WESTWOOD MIGHTY MITES	B	0.00	7.58	0.00	7.58	80.0	6.06
01/26/2018	75501079	OETTEL, BRYAN	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.25	0.00	0.25	80.0	0.20
01/10/2018	75501088	SILBERMANN, SHARON	**AMG MANAGERS ESSEX SMALL	B	0.00	4.23	0.00	4.23	80.0	3.38
01/10/2018	75501088	SILBERMANN, SHARON	**TETON WESTWOOD MIGHTY MITES	B	0.00	23.66	0.00	23.66	80.0	18.93
01/10/2018	75501088	SILBERMANN, SHARON	BLACKROCK HEALTH SCIENCES OPPORTUNI	B	0.00	15.35	0.00	15.35	80.0	12.28
01/10/2018	75501088	SILBERMANN, SHARON	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	14.91	0.00	14.91	80.0	11.93
01/10/2018	75501088	SILBERMANN, SHARON	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	8.66	0.00	8.66	80.0	6.93
01/10/2018	75501088	SILBERMANN, SHARON	JANUS INVT FD HENDERSON GLOBAL TECH	B	0.00	20.60	0.00	20.60	80.0	16.48
01/19/2018	75501088	SILBERMANN, SHARON	**FINANCIAL INVS TR	B	0.00	20.98	0.00	20.98	80.0	16.78
01/19/2018	75501088	SILBERMANN, SHARON	**FINANCIAL INVS TR	B	0.00	62.94	0.00	62.94	80.0	50.35
01/26/2018	75501088	SILBERMANN, SHARON	**VICTORY PORTFOLIOS MUNDER	B	0.00	5.03	0.00	5.03	80.0	4.02
01/10/2018	75501167	FORTE, SUZETTE	EHV 277902813	B	0.00	1.43	0.00	1.43	80.0	1.14
01/23/2018	QGW028615	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	11.95	0.00	11.95	80.0	9.56
01/23/2018	QGW028615	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	2.52	0.00	2.52	80.0	2.02
01/23/2018	QGW028623	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	9.99	0.00	9.99	80.0	7.99
01/23/2018	QGW028623	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	2.17	0.00	2.17	80.0	1.74
01/16/2018	QGW028722	SOLE, ABIGAIL	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	3.11	0.00	3.11	80.0	2.49
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$746.18	\$0.00	\$746.18		\$596.94
*** BROKER TRANSACTIONS TOTAL ***					\$843,176.38	\$20,426.18	\$525.00	\$19,901.18		\$15,920.94

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
01/31/2018		:		0.00	0.00	0.00	0.00		0.00
01/31/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
01/31/2018		OTHER: OTHER-OFFICE SUPPLIES		0.00	0.00	0.00	0.00		-40.00
01/31/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
01/31/2018		OTHER: OTHER-RBC		0.00	0.00	0.00	0.00		-76.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-144.00

BROKER COMMISSION TOTALS

Broker Transactions	\$15,920.94
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-144.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-25.53
SIPC Assessment	\$-51.07

Check Amount	\$15,700.34
Year-to-date Earnings	\$15,700.34