

COMMISSION STATEMENT

July 31, 2017

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
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUNDS									
/ /	(None) VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	0.00	0.00	0.00	80.0	0.00
/ /	(None) VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	0.00	0.00	0.00	80.0	0.00
/ /	(None) VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	0.00	0.00	0.00	80.0	0.00
/ /	(None) VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	0.00	0.00	0.00	80.0	0.00
07/01/2017	(None) VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	15,846.64	0.00	15,846.64	80.0	12,677.31
07/01/2017	(None) VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	18,305.80	0.00	18,305.80	80.0	14,644.64
07/01/2017	(None) VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	13,992.34	0.00	13,992.34	80.0	11,193.87
07/01/2017	(None) VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	390.16	0.00	390.16	80.0	312.13
07/10/2017	(None) VARIOUS, BAROLOTTA	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	53.00	0.00	53.00	80.0	42.40
* MUTUAL FUNDS SUBTOTAL *				\$0.00	\$48,587.94	\$0.00	\$48,587.94		\$38,870.35

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

07/12/2017	75501422	FROUXIDES, MENELAOS	AIM ENERGY FUND - CLASS A	B	0.00	2.18	0.00	2.18	80.0	1.74
07/12/2017	75501422	FROUXIDES, MENELAOS	AMERICAN BALANCED FUND INC CL F1	B	0.00	4.81	0.00	4.81	80.0	3.85
07/12/2017	75501422	FROUXIDES, MENELAOS	BLACKROCK EQUITY DIVIDEND FUND SVC	B	0.00	2.59	0.00	2.59	80.0	2.07
07/12/2017	75501422	FROUXIDES, MENELAOS	BOND FUND AMER INC CL F1	B	0.00	0.86	0.00	0.86	80.0	0.00
07/12/2017	75501422	FROUXIDES, MENELAOS	LORD ABBETT SHORT DURATION INCOME F B		0.00	0.58	0.00	0.58	80.0	0.00
07/12/2017	75501422	FROUXIDES, MENELAOS	LORD ABBETT HIGH YIELD FUND CL-A	B	0.00	0.37	0.00	0.37	80.0	0.00
07/12/2017	75501422	FROUXIDES, MENELAOS	OPPENHEIMER SENIOR FLOATING RATE FUB		0.00	1.06	0.00	1.06	80.0	0.00
07/12/2017	75501422	FROUXIDES, MENELAOS	PIMCO INCOME FUND CLASS D	B	0.00	3.65	0.00	3.65	80.0	2.92
07/12/2017	75501426	FROUXIDES, NATIA	INCOME FUND AMER INC CL F1	B	0.00	2.82	0.00	2.82	80.0	2.26
07/12/2017	75501426	FROUXIDES, NATIA	LORD ABBETT SHORT DURATION INCOME F B		0.00	0.48	0.00	0.48	80.0	0.00
07/12/2017	75501426	FROUXIDES, NATIA	OPPENHEIMER STRATEGIC INCOME FD CL B		0.00	0.96	0.00	0.96	80.0	0.00
07/14/2017	75501426	FROUXIDES, NATIA	**ABERDEEN GLOBAL HIGH INCOME	B	0.00	0.58	0.00	0.58	80.0	0.00
07/17/2017	75501426	FROUXIDES, NATIA	**IVA FIDUCIARY TR	B	0.00	3.23	0.00	3.23	80.0	2.58
07/12/2017	75501427	FROUXIDES, MENELAOS	BLACKROCK HEALTH SCIENCES FUND CLAS B		0.00	2.97	0.00	2.97	80.0	2.38
07/12/2017	75501427	FROUXIDES, MENELAOS	CAPITAL INCOME BUILDER FD CL F-1	B	0.00	6.56	0.00	6.56	80.0	5.25
07/12/2017	75501427	FROUXIDES, MENELAOS	CAPITAL WORLD BOND FUND CL F1	B	0.00	2.36	0.00	2.36	80.0	1.89
07/12/2017	75501427	FROUXIDES, MENELAOS	FIDELITY ADVISOR ENERGY CL A	B	0.00	1.57	0.00	1.57	80.0	1.26
07/12/2017	75501427	FROUXIDES, MENELAOS	FIRST EAGLE OVERSEAS FUND CLASS A	B	0.00	5.74	0.00	5.74	80.0	4.59
07/12/2017	75501427	FROUXIDES, MENELAOS	OPPENHEIMER STRATEGIC INCOME FD CL B		0.00	4.23	0.00	4.23	80.0	3.38

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<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
07/12/2017	75501427	FROUXIDES, MENELAOS	OPPENHEIMER STEELPATH MLP ALPHA FUN B	0.00	0.82	0.00	0.82	80.0	0.00
07/14/2017	75501427	FROUXIDES, MENELAOS	**ABERDEEN TOTAL RETURNBOND B	0.00	4.91	0.00	4.91	80.0	3.93
07/14/2017	75501427	FROUXIDES, MENELAOS	**ABERDEEN GLOBAL HIGH INCOME B	0.00	3.46	0.00	3.46	80.0	2.77
07/12/2017	75501428	FROUXIDES, NATIA	BLACKROCK NAT RES TR CL A B	0.00	1.34	0.00	1.34	80.0	1.07
07/12/2017	75501428	FROUXIDES, NATIA	DREYFUS INVT FDS STANDISH GLOBAL FI B	0.00	3.73	0.00	3.73	80.0	2.98
07/12/2017	75501428	FROUXIDES, NATIA	DREYFUS NY TAX EXEMPT BOND FUND INC B	0.00	2.60	0.00	2.60	80.0	2.08
07/12/2017	75501428	FROUXIDES, NATIA	FIRST EAGLE GLOBAL FUND CLASS A B	0.00	7.34	0.00	7.34	80.0	5.87
07/12/2017	75501428	FROUXIDES, NATIA	INCOME FUND AMER INC CL F1 B	0.00	11.78	0.00	11.78	80.0	9.42
07/12/2017	75501428	FROUXIDES, NATIA	LOOMIS SAYLES BOND FUND RETAIL CLAS B	0.00	6.11	0.00	6.11	80.0	4.89
07/12/2017	75501428	FROUXIDES, NATIA	OPPENHEIMER SENIOR FLOATING RATE FU B	0.00	5.10	0.00	5.10	80.0	4.08
07/12/2017	75501428	FROUXIDES, NATIA	OPPENHEIMER STEELPATH MLP INCOME FU B	0.00	1.08	0.00	1.08	80.0	0.00
07/12/2017	75501428	FROUXIDES, NATIA	US GOVT FUND CLASS A B	0.00	1.47	0.00	1.47	80.0	1.18
07/12/2017	75501428	FROUXIDES, NATIA	WESTERN ASSET SHORT DURATION HIGH I B	0.00	1.34	0.00	1.34	80.0	1.07
07/12/2017	75501430	D'AGOSTINO, NICHOLAS	AMERICAN FUNDS 2025 TARGET DATE-A B	0.00	2.37	0.00	2.37	80.0	1.90
07/12/2017	75501565	GIANNIZZERO, THOMAS	PUTNAM 746444108 B	0.00	8.81	0.00	8.81	80.0	7.05
07/12/2017	75501566	GIANNIZZERO, LAURE	MFS TOTAL RETURN FUND-A B	0.00	7.64	0.00	7.64	80.0	6.11
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$117.50	\$0.00	\$117.50		\$88.57
*** BROKER TRANSACTIONS TOTAL ***				\$0.00	\$48,705.44	\$0.00	\$48,705.44		\$38,958.92

ADJUSTMENTS

07/31/2017	:		0.00	0.00	0.00	0.00	0.00		0.00
07/31/2017	ADVANCE: ADVANCE		0.00	0.00	0.00	0.00	0.00		-38,144.64
07/31/2017	E & O INSURANCE: E & O INSURANCE		0.00	0.00	0.00	0.00	0.00		-200.00
07/31/2017	OTHER: COMPLIANCE AND TECHNOLOGY		0.00	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	0.00		-25.00
07/31/2017	OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00	0.00		-8.00
07/31/2017	OTHER: OTHER-FINRA		0.00	0.00	0.00	0.00	0.00		-50.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-38,447.64

BROKER COMMISSION TOTALS

Broker Transactions	\$38,958.92
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-38,447.64
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-60.88
SIPC Assessment	\$-121.76

Check Amount	\$328.64
Year-to-date Earnings	\$13,633.56