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R.F. Lafferty & Co., Inc.

## **COMMISSION STATEMENT**

## February 28, 2018

BROKER #: 33

BRANCH: HOME OFFICE

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

## COMMISSION STATEMENT for IRENE SULLIVAN

02/20/2018 75500789 CAPIERO, RENEE DUKE ENERGY CORPORATION HOLDING COM B 26,533.00 1,878.00 25.00 1,883.00 80.0 1,02/20/2018 755010139 YAMARSDALE, GENERAL ELECTRIC CO 0 B 26,636.04 634.00 25.00 609.00 80.0 000 000 000 000 000 000 000 000	TRADE DATE	CLIENT	INVESTMENT B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
PRODUCT CATEGORY: STOCKS									
02/20/2018 75500750 GANGE, RICHARD DUKE ENERGY CORPORATION HOLDING COM B 37,490.00 873.00 25.00 848.00 80.0 10/20/2018 75500789 CAFIERO, RENEE DUKE ENERGY CORPORATION HOLDING COM B 82,533.00 1,878.00 25.00 1,833.00 80.0 1,000/20/2018 75501038 VANASSDALE, GENERAL EMECTRIC CO B 26,636.04 634.00 25.00 699.00 80.0 02/20/2018 75501041 DUFFY, TRENT DUKE ENERGY CORPORATION HOLDING COM B 41,250.00 961.00 25.00 699.00 80.0 02/20/2018 75501130 FALMER, JEANNE DUKE ENERGY CORPORATION HOLDING COM B 30,004.00 714.00 25.00 689.00 80.0 02/20/2018 75501130 FALMER, JEANNE DUKE ENERGY CORPORATION HOLDING COM B 37,480.00 874.00 25.00 689.00 80.0 02/20/2018 75501130 FALMER, JEANNE DUKE ENERGY CORPORATION HOLDING COM B 30,004.00 714.00 25.00 689.00 80.0 02/20/2018 75501130 FALMER, JEANNE DUKE ENERGY CORPORATION HOLDING COM B 30,004.00 714.00 25.00 689.00 80.0 02/20/2018 75501130 FALMER, JEANNE DUKE ENERGY CORPORATION HOLDING COM B 30,004.00 714.00 25.00 689.00 80.0 02/20/2018 75501130 FALMER, JEANNE DUKE ENERGY CORPORATION HOLDING COM B 30,004.00 714.00 25.00 689.00 80.0 02/20/2018 75500755 DENNENY, MICHAEL CAPITAL APPRECIATION A B 0.00 2.79 0.00 2.79 0.00 2.79 0.00 02.79 0.00 02/20/2018 75500755 DENNENY, MICHAEL EATON VANCE TAX MANAGED GROWTH FUND B 0.00 16.35 0.00 16.35 80.0 02/20/2018 75500755 DENNENY, MICHAEL SAMALCE TAX MANAGED VALUE FD CL B 0.00 8.51 0.00 8.51 80.0 02/20/2018 75500755 DENNENY, MICHAEL SAMALCAP WORLD FUND IN CL F1 B 0.00 7.61 0.00 7.61 80.0 02/20/2018 75500755 DENNENY, MICHAEL SAMALCAP WORLD FUND IN CL F1 B 0.00 7.61 0.00 7.61 80.0 02/20/2018 75500755 DENNENY, MICHAEL DAVIS SERIES INC FINANCIAL FUND CL B 0.00 8.85 0.00 8.85 80.0 02/20/2018 75500756 DENNENY, MICHAEL DAVIS SERIES INC FINANCIAL FUND CL B 0.00 8.85 0.00 8.85 80.0 02/20/2018 75500756 DENNENY, MICHAEL DAVIS SERIES INC FINANCIAL FUND CL B 0.00 8.85 80.0 02/20/2018 75500756 DENNENY, MICHAEL DAVIS SERIES INC FINANCIAL FUND CL B 0.00 8.85 80.0 02/20/2018 75500756 DENNENY, MICHAEL DAVIS SERIES INC FINANCIAL FUND CL B 0.00 8.85 80.0 02/20/2018 75500756 DEN			BROKER TRANS	SACTIONS					
02/20/2018 75500789 CAPIERO, RENEE DUKE ENERGY CORPORATION HOLDING COM B 26,036.04 634.00 25.00 609.00 80.0 02/20/2018 75501041 DUFFY, TENT DUKE ENERGY CORPORATION HOLDING COM B 12,636.04 634.00 25.00 936.00 80.0 02/20/2018 75501078 OFTITL, BRYAN DUKE ENERGY CORPORATION HOLDING COM B 30,004.00 714.00 25.00 689.00 80.0 02/20/2018 75501078 OFTITL, BRYAN DUKE ENERGY CORPORATION HOLDING COM B 30,004.00 714.00 25.00 689.00 80.0 02/20/2018 75501078 OFTITL, BRYAN DUKE ENERGY CORPORATION HOLDING COM B 37,480.00 874.00 25.00 849.00 80.0 02/20/2018 75501078 DAMER, JEANNE DUKE ENERGY CORPORATION HOLDING COM B 77,480.00 874.00 25.00 899.00 80.0 02/20/2018 7550178 DENNENY, MICHAEL CAPITAL S STOCKS SUBTOTAL * \$255,393.04 \$5,934.00 \$150.00 \$5,784.00 80.0 02/20/2018 75500755 DENNENY, MICHAEL EATON VANCE TAX MANAGED GROWTH FUND B 0.00 16.35 0.00 16.35 0.00 16.35 0.00 02/20/20/2018 75500755 DENNENY, MICHAEL GLOBAL FUND A B 0.00 16.35 0.00 16.35 0.00 16.35 0.00 02/20/20/2018 75500755 DENNENY, MICHAEL GLOBAL FUND A B 0.00 5.71 0.00 5.71 80.0 02/09/2018 75500755 DENNENY, MICHAEL SHOW VANCE TAX MANAGED VALUE FD LB 0.00 7.61 0.00 7.61 80.0 02/09/2018 75500755 DENNENY, MICHAEL SHOWLAND FUND INC CL F1 B 0.00 7.61 0.00 7.61 80.0 02/09/2018 75500755 DENNENY, MICHAEL SHOWLAND FUND INC CL F1 B 0.00 7.61 0.00 7.61 80.0 02/09/2018 75500755 DENNENY, MICHAEL SHOWLAND FUND INC CL F1 B 0.00 7.61 0.00 7.61 80.0 02/09/2018 75500755 DENNENY, MICHAEL SHOWLAND FUND INC CL F1 B 0.00 45.97 0.00 45.97 80.0 02/09/2018 75500755 DENNENY, MICHAEL SHOWLAND FUND INC CL F1 B 0.00 45.97 0.00 45.97 80.0 02/09/2018 75500755 DENNENY, MICHAEL SHOWLAND FUND INC CL F1 B 0.00 45.97 0.00 45.97 80.0 02/09/2018 75500755 DENNENY, MICHAEL SHOWLAND FUND INC CL F1 B 0.00 45.97 0.00 45.97 80.0 02/09/2018 75500755 DENNENY, MICHAEL SHOWLAND FUND INC CL F1 B 0.00 45.97 0.00 45.97 80.0 02/09/2018 75500756 DENNENY, MICHAEL SHOWLAND FUND INC CL F1 B 0.00 45.97 0.00 45.97 80.0 02/09/2018 75500756 DENNENY, MICHAEL SHOWLAND FUND FUND INC CL F1 B 0.00 45.97 0.00 45.97 80.0 02/09/2018 7	PRODUCT CA	TEGORY: STOCKS							
02/20/2018 75501038 VANARSDALE, GENERAL ELECTRIC CO B 26,636.04 634.00 25.00 609.00 80.0 02/20/2018 75501078 CTTL, BEXNAN DUKE ENERGY CORPORATION HOLDING COMB 11.250.00 961.00 25.00 639.00 80.0 02/20/2018 75501078 CTTL, BEXNAN DUKE ENERGY CORPORATION HOLDING COMB 30,004.00 714.00 25.00 639.00 80.0 02/20/2018 75501130 PALMER, JEANNE DUKE ENERGY CORPORATION HOLDING COMB 37,480.00 874.00 25.00 849.00 80.0 02/20/2018 75501750 DENNENY, MICHAEL CAPITAL APPRECIATION A B 0.00 2.79 80.00 16.35 80.0 16.35 80.0 02/99/2018 75500755 DENNENY, MICHAEL EATON VANCE TAX MANAGED GROWTH FUNDB 0.00 16.35 0.00 16.35 80.0 02/09/2018 75500755 DENNENY, MICHAEL EATON VANCE TAX MANAGED VALUE FD CLB 0.00 16.35 0.00 16.35 80.0 02/09/2018 75500755 DENNENY, MICHAEL EATON VANCE TAX MANAGED VALUE FD CLB 0.00 16.20 0.00 16.20 80.0 02/09/2018 75500755 DENNENY, MICHAEL EATON VANCE TAX MANAGED VALUE FD CLB 0.00 5.71 0.00 5.71 80.0 02/09/2018 75500755 DENNENY, MICHAEL GATON VANCE TAX MANAGED VALUE FD CLB 0.00 5.71 0.00 5.71 80.0 02/09/2018 75500755 DENNENY, MICHAEL SATON VANCE TAX MANAGED VALUE FD CLB 0.00 5.71 0.00 5.71 80.0 02/09/2018 75500755 DENNENY, MICHAEL SATON VANCE TAX MANAGED VALUE FD CLB 0.00 5.71 0.00 5.71 80.0 02/09/2018 75500755 DENNENY, MICHAEL SANALICAP WORLD FUND B 0.00 5.71 0.00 5.71 80.0 02/09/2018 75500755 DENNENY, MICHAEL SANALICAP WORLD FUND B 0.00 5.71 0.00 5.71 80.0 02/09/2018 75500755 DENNENY, MICHAEL SANALICAP WORLD FUND B 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0	02/20/2018 7	5500750 GANGE, RICHARD	DUKE ENERGY CORPORATION HOLDING COM B	37,490.00	873.00	25.00	848.00	80.0	678.40
02/20/2018 75501041 DUFFY, TRENT DUKE ENERGY CORPORATION HOLDING COM B 41,250.00 961.00 25.00 689.00 80.0 02/20/2018 75501030 PALMER, JEANNE DUKE ENERGY CORPORATION HOLDING COM B 30,004.00 714.00 25.00 689.00 80.0 80.0 02/20/2018 75501130 PALMER, JEANNE DUKE ENERGY CORPORATION HOLDING COM B 37,480.00 874.00 25.00 849.00 80.0 80.0 02/20/2018 75501130 PALMER, JEANNE DUKE ENERGY CORPORATION HOLDING COM B 37,480.00 874.00 55,784.00 55,784.00 \$5,7	02/20/2018 7	5500789 CAFIERO, RENEE	DUKE ENERGY CORPORATION HOLDING COM B	82,533.00	1,878.00	25.00	1,853.00	80.0	1,482.40
02/20/2018 7550178 OETTEL, BRYAN DUKE ENERGY CORPORATION HOLDING COM B 30,004.00 714.00 25.00 689.00 849.00 80.0 2/20/2018 75501130 PALMER, JEANNE DUKE ENERGY CORPORATION HOLDING COM B 37,480.00 874.00 25.00 849.00 80.0 849.00 80.0 849.00 80.0 849.00 80.0 849.00 80.0 849.00 80.0 849.00 80.0 849.00 80.0 849.00 80.0 849.00 80.0 849.00 80.0 849.00 80.0 849.00 80.0 849.00 80.0 849.00 80.0 85.784.0	02/20/2018 7	5501038 VANARSDALE,	GENERAL ELECTRIC CO B	26,636.04	634.00	25.00	609.00	80.0	487.20
#*************************************	02/20/2018 7	5501041 DUFFY, TRENT	DUKE ENERGY CORPORATION HOLDING COM B	41,250.00	961.00	25.00	936.00	80.0	748.80
**STOCKS SUBTOTAL * \$255,393.04 \$5,934.00 \$150.00 \$5,784.00 \$4.00  **STOCKS SUBTOTAL * \$255,393.04 \$5,934.00 \$150.00 \$5,784.00 \$4.00  **STOCKS SUBTOTAL * \$255,393.04 \$5,934.00 \$150.00 \$5,784.00 \$4.00  **PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS  02/09/2018 75500755 DENNENY, MICHAEL CAPITAL APPRECIATION A B 0.00 16.35 0.00 16.35 80.0 102/09/2018 75500755 DENNENY, MICHAEL EATON VANCE TAX MANAGED GROWTH FUND B 0.00 16.25 0.00 16.35 80.0 16.20 80.0 16.20 1	02/20/2018 7	5501078 OETTEL, BRYAN	DUKE ENERGY CORPORATION HOLDING COM B	30,004.00	714.00	25.00	689.00	80.0	551.20
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS  02/09/2018 75500755 DENNENY, MICHAEL CAPITAL APPRECIATION A B 0.00 2.79 0.00 2.79 80.0  02/09/2018 75500755 DENNENY, MICHAEL EATON VANCE TAX MANAGED GROWTH FUND B 0.00 16.35 0.00 16.35 80.0  02/09/2018 75500755 DENNENY, MICHAEL EATON VANCE TAX MANAGED VALUE FD CLB 0.00 16.20 0.00 16.35 80.0  02/09/2018 75500755 DENNENY, MICHAEL EATON VANCE TAX MANAGED VALUE FD CLB 0.00 8.51 0.00 8.51 80.0  02/09/2018 75500755 DENNENY, MICHAEL MAIN STREET FUND A B 0.00 5.71 0.00 5.71 80.0  02/09/2018 75500755 DENNENY, MICHAEL SMALLCAP WORLD FUND INC CL F1 B 0.00 7.61 0.00 7.61 80.0  02/09/2018 75500755 DENNENY, MICHAEL SMALLCAP WORLD FUND INC CL F1 B 0.00 45.97 0.00 45.97 80.0  02/09/2018 75500756 DENNENY, MICHAEL **TETON WESTWOOD MIGHTY MITES B 0.00 28.16 0.00 28.16 80.0  02/09/2018 75500756 DENNENY, MICHAEL DAYIS SERIES INC FINANCIAL FUND CL B 0.00 28.16 0.00 28.16 80.0  02/09/2018 75500756 DENNENY, MICHAEL JANUS INVY FD HENDERSON GLOBAL TECH B 0.00 33.06 0.00 33.06 80.0  02/09/2018 75500756 DENNENY, MICHAEL JANUS INVY FD HENDERSON GLOBAL TECH B 0.00 9.49 0.00 9.49 80.0  02/09/2018 75500756 DENNENY, MICHAEL JANUS INVY FD HENDERSON GLOBAL TECH B 0.00 1.51 0.00 1.51 80.0  02/09/2018 75500756 DENNENY, MICHAEL JANUS INVY FD HENDERSON GLOBAL TECH B 0.00 1.51 0.00 1.51 80.0  02/09/2018 75500756 DENNENY, MICHAEL JANUS INVY FD HENDERSON GLOBAL TECH B 0.00 1.51 0.00 1.51 80.0  02/09/2018 75500848 0'LEARY, JENNIFER ENV YORK MUNICIPALS A B 0.00 1.51 0.00 1.51 80.0  02/09/2018 75500848 0'LEARY, JENNIFER ENV YORK MUNICIPALS A B 0.00 1.51 0.00 1.51 80.0  02/09/2018 75500860 VAZ, CHRISTINE ENV 277902813 B 0.00 1.51 0.00 1.51 80.0  02/09/2018 75500880 VAZ, CHRISTINE ENV 277902813 B 0.00 1.74 0.00 1.74 80.0  02/09/2018 75500880 VAZ, CHRISTINE ENV 277902813 B 0.00 1.74 0.00 1.74 80.0  02/09/2018 75500880 VAZ, CHRISTINE ENV 277902813 B 0.00 1.74 0.00 1.74 80.0  02/09/2018 75500895 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 1.62 80.0  02/09/2018 75500105 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B	02/20/2018 7	5501130 PALMER, JEANNE	DUKE ENERGY CORPORATION HOLDING COM B	37,480.00	874.00	25.00	849.00	80.0	679.20
02/09/2018 75500755 DENNENY, MICHAEL CAPITAL APPRECIATION A B 0.00 2.79 0.00 2.79 80.0 02/09/2018 75500755 DENNENY, MICHAEL EATON VANCE TAX MANAGED GROWTH FUND B 0.00 16.35 0.00 16.35 80.0 02/09/2018 75500755 DENNENY, MICHAEL EATON VANCE TAX MANAGED VALUE FD CL B 0.00 16.20 0.00 16.20 80.0 02/09/2018 75500755 DENNENY, MICHAEL GLOBAL FUND A B 0.00 5.71 0.00 5.71 80.0 02/09/2018 75500755 DENNENY, MICHAEL MAIN STREET FUND A B 0.00 7.61 0.00 7.61 80.0 02/09/2018 75500755 DENNENY, MICHAEL SMALLCAP WORLD FUND INC CL F1 B 0.00 7.61 0.00 7.61 80.0 02/09/2018 75500755 DENNENY, MICHAEL SMALLCAP WORLD FUND INC CL F1 B 0.00 7.61 0.00 7.61 80.0 02/09/2018 75500756 DENNENY, MICHAEL SMALLCAP WORLD FUND INC CL F1 B 0.00 45.97 0.00 45.97 80.0 02/09/2018 75500756 DENNENY, MICHAEL SMALLCAP WORLD FUND INC CL F1 B 0.00 28.16 0.00 28.16 80.0 02/09/2018 75500756 DENNENY, MICHAEL DAVIS SERIES INC FINANCIAL FUND CL B 0.00 8.85 0.00 28.16 80.0 02/09/2018 75500756 DENNENY, MICHAEL DAVIS SERIES INC FINANCIAL FUND CL B 0.00 8.85 0.00 8.85 80.0 02/09/2018 75500756 DENNENY, MICHAEL JANUS INVT FD HENDERSON GLOBAL TECH B 0.00 33.06 0.00 33.06 80.0 02/09/2018 75500756 DENNENY, MICHAEL JANUS INVT FD HENDERSON GLOBAL TECH B 0.00 33.06 0.00 33.06 80.0 02/09/2018 75500758 CAFIERO, RENEE AMT-FREE NEW YORK MUNICIPALS A B 0.00 9.49 0.00 9.49 80.0 02/09/2018 75500848 O'LEARY, JENNIFER ENV 277902813 B 0.00 1.51 0.00 1.51 80.0 02/09/2018 75500848 O'LEARY, JENNIFER REGIONAL BANK A B 0.00 1.51 0.00 1.51 80.0 02/09/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS MUNDER B 0.00 1.25 0.00 1.25 80.0 02/09/2018 75500848 O'LEARY, JENNIFER FOLIOLIS MUNDER B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE ENV 277902813 B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 1.74 0.00 3.47 80.0 02/09/2018 75500880 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 1.168 80.0 02/09/2018 755000595 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 1.168 80.0 02/09/2018 755000595 KAUFMAN, DORIS CAPITAL INCOME			* STOCKS SUBTOTAL *	\$255,393.04	\$5,934.00	\$150.00	\$5,784.00		\$4,627.20
02/09/2018 75500755 DENNENY, MICHAEL EATON VANCE TAX MANAGED GROWTH FUND B 0.00 16.35 0.00 16.35 80.0 02/09/2018 75500755 DENNENY, MICHAEL EATON VANCE TAX MANAGED VALUE FD CL B 0.00 16.20 0.00 16.20 80.0 02/09/2018 75500755 DENNENY, MICHAEL GLOBAL FUND A B 0.00 5.71 0.00 5.71 80.0 02/09/2018 75500755 DENNENY, MICHAEL MAIN STREET FUND A B 0.00 7.61 0.00 7.61 80.0 02/09/2018 75500755 DENNENY, MICHAEL SMALLCAP WORLD FUND INC CL F1 B 0.00 7.61 0.00 7.61 80.0 02/09/2018 75500756 DENNENY, MICHAEL **TETON WESTWOOD MIGHTY MITES B 0.00 45.97 0.00 45.97 80.0 02/09/2018 75500756 DENNENY, MICHAEL DAVIS SERIES INC FINANCIAL FUND CL B 0.00 28.16 80.0 28.16 80.0 02/09/2018 75500756 DENNENY, MICHAEL DAVIS SERIES INC FINANCIAL FUND CL B 0.00 88.85 80.0 88.5 80.0 02/09/2018 75500756 DENNENY, MICHAEL JANUS INN'T FD HENDERSON GLOBAL TECH B 0.00 33.06 0.00 33.06 80.0 02/09/2018 75500756 DENNENY, MICHAEL JANUS INN'T FD HENDERSON GLOBAL TECH B 0.00 33.06 0.00 34.6 80.0 02/09/2018 75500758 DENNENY, MICHAEL JANUS INN'T FD HENDERSON GLOBAL TECH B 0.00 33.06 0.00 34.0 80.0 02/09/2018 75500758 CAFIERO, RENEE AMT-FREE NEW YORK MUNICIPALS A B 0.00 1.51 0.00 1.51 80.0 02/09/2018 75500848 O'LEARY, JENNIFER ENW YORK MUNICIPALS A B 0.00 1.51 0.00 1.51 80.0 02/209/2018 75500848 O'LEARY, JENNIFER REGIONAL BANK A B 0.00 1.51 0.00 1.51 80.0 02/206/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.25 0.00 1.25 80.0 02/206/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500890 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 1.168 0.00 1.168 80.0 02/09/2018 75500195 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 1.168 0.00 1.168 80.0 02/09/2018 75500195 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 1.168 0.00 1.168 0.00 1.168 80.0 02/09/2018 75500195 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 1.168 0.00 1.168 0.00 1.168 0.00 1.168 0.00 1.168 0.00 1.168 0.00 1.168 0.00 1.168 0.00 1.168 0.00 1.168 0.00 1.168 0	PRODUCT CA	TEGORY: MUTUAL FUND 12B1	TRAILS						
02/09/2018 75500755 DENNENY, MICHAEL GLOBAL FUND A B 0.00 8.51 0.00 8.51 80.0 02/09/2018 75500755 DENNENY, MICHAEL MAIN STREET FUND A B 0.00 5.71 0.00 5.71 80.0 02/09/2018 75500755 DENNENY, MICHAEL MAIN STREET FUND A B 0.00 7.61 0.00 7.61 80.0 02/09/2018 75500755 DENNENY, MICHAEL SMALLCAP WORLD FUND INC CL F1 B 0.00 7.61 0.00 7.61 80.0 02/09/2018 75500756 DENNENY, MICHAEL **TETON WESTWOOD MIGHTY MITES B 0.00 45.97 0.00 45.97 80.0 02/09/2018 75500756 DENNENY, MICHAEL DAVIS SERIES INC FINANCIAL FUND CL B 0.00 28.16 0.00 28.16 80.0 02/09/2018 75500756 DENNENY, MICHAEL DAVIS SERIES INC FINANCIAL FUND CL B 0.00 8.85 0.00 8.85 80.0 02/09/2018 75500756 DENNENY, MICHAEL JANUS INVT FD HENDERSON GLOBAL TECH B 0.00 33.06 0.00 33.06 80.0 02/09/2018 75500756 DENNENY, MICHAEL JANUS INVT FD HENDERSON GLOBAL TECH B 0.00 33.06 0.00 33.06 80.0 02/09/2018 75500758 CAFIERO, RENEE AMT-FREE NEW YORK MUNICIPALS A B 0.00 9.49 0.00 9.49 80.0 02/09/2018 75500848 O'LEARY, JENNIFER EV 277902813 B 0.00 1.51 0.00 1.51 80.0 02/09/2018 75500848 O'LEARY, JENNIFER REGIONAL BANK A B 0.00 1.51 0.00 1.01 80.0 02/266/2018 75500848 O'LEARY, JENNIFER REGIONAL BANK A B 0.00 1.01 0.00 1.01 80.0 02/266/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.25 0.00 1.25 80.0 02/09/2018 75500880 VAZ, CRRISTINE ENV 277902813 B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CRRISTINE ENV 277902813 B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CRRISTINE ENV 277902813 B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CRRISTINE ENV 277902813 B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CRRISTINE ENV 277902813 B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CRRISTINE ENDELTY ADVISOR (FOCUS) HEALTH CAR B 0.00 1.68 0.00 1.00 0.00 1.00 0.00 0.00 0.00 0.0	02/09/2018 7	5500755 DENNENY, MICHAEL	CAPITAL APPRECIATION A B	0.00	2.79	0.00	2.79	80.0	2.23
02/09/2018 75500755 DENNENY, MICHAEL GLOBAL FUND A B 0.00 5.71 0.00 5.71 80.0 02/09/2018 75500755 DENNENY, MICHAEL MAIN STREET FUND A B 0.00 5.71 0.00 7.61 80.0 02/09/2018 75500755 DENNENY, MICHAEL SMALLCAP WORLD FUND INC CL F1 B 0.00 7.61 0.00 7.61 80.0 02/09/2018 75500756 DENNENY, MICHAEL **TETON WESTWOOD MIGHTY MITES B 0.00 45.97 0.00 45.97 80.0 02/09/2018 75500756 DENNENY, MICHAEL DAVIS SERIES INC FINANCIAL FUND CL B 0.00 28.16 0.00 28.16 80.0 02/09/2018 75500756 DENNENY, MICHAEL EMV 277902813 B 0.00 33.06 0.00 33.06 80.0 02/09/2018 75500786 CAFIERO, RENEE AMT-FREE NEW YORK MUNICIPALS A B 0.00 9.49 0.00 9.49 80.0 02/09/2018 75500848 O'LEARY, JENNIFER EMV 277902813 B 0.00 1.51 0.00 1.51 80.0 02/09/2018 75500848 O'LEARY, JENNIFER REGIONAL BANK A B 0.00 1.01 0.00 1.01 80.0 02/26/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS MUNDER B 0.00 1.25 0.00 1.25 80.0 02/09/2018 75500840 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.25 0.00 1.25 80.0 02/09/2018 75500840 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500840 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500840 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500840 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500840 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500840 O'LEARY, JENNIFER FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 1.68 0.00 1.68 0.00 1.68 0.00 02/09/2018 75500959 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 11.68 0.00 11.68 0.00 02/09/2018 75501025 HARRISON, JUDITH EATON WANCE TAX MANAGED GROWTH FUND B 0.00 7.73 0.00 7.73 80.0	02/09/2018 7	5500755 DENNENY, MICHAEL	EATON VANCE TAX MANAGED GROWTH FUND B	0.00	16.35	0.00	16.35	80.0	13.08
02/09/2018 75500755 DENNENY, MICHAEL MAIN STREET FUND A B 0.00 5.71 0.00 5.71 80.0 02/09/2018 75500755 DENNENY, MICHAEL SMALLCAP WORLD FUND INC CL F1 B 0.00 7.61 0.00 7.61 80.0 02/09/2018 75500756 DENNENY, MICHAEL **TETON WESTWOOD MIGHTY MITES B 0.00 45.97 0.00 45.97 80.0 02/09/2018 75500756 DENNENY, MICHAEL DAVIS SERIES INC FINANCIAL FUND CL B 0.00 8.16 0.00 28.16 80.0 02/09/2018 75500756 DENNENY, MICHAEL ENV 277902813 B 0.00 8.85 0.00 8.85 80.0 02/09/2018 75500848 O'LEARY, JENNIFER ENV 277902813 B 0.00 9.49 80.0 02/09/2018 75500848 O'LEARY, JENNIFER REGIONAL BANK A B 0.00 1.51 0.00 1.51 80.0 02/09/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS MINDER B 0.00 1.25 0.00 1.25 80.0 02/09/2018 75500840 VAZ, CHRISTINE ENV 277902813 B 0.00 1.74 80.0 02/09/2018 75500840 VAZ, CHRISTINE ENV 277902813 B 0.00 1.74 0.00 1.25 80.0 02/09/2018 75500840 VAZ, CHRISTINE ENV 277902813 B 0.00 1.74 80.0 02/09/2018 75500840 VAZ, CHRISTINE FUNDER **VICTORY PORTFOLIOS B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 1.66 0.00 1.68 80.0 02/09/2018 75500059 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 1.68 80.0 02/09/2018 75501025 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B 0.00 7.73 0.00 7.73 80.0	02/09/2018 7	5500755 DENNENY, MICHAEL	EATON VANCE TAX MANAGED VALUE FD CL B	0.00	16.20	0.00	16.20	80.0	12.96
02/09/2018 75500755 DENNENY, MICHAEL	02/09/2018 7	5500755 DENNENY, MICHAEL	GLOBAL FUND A B	0.00	8.51	0.00	8.51	80.0	6.81
02/09/2018 75500756 DENNENY, MICHAEL **TETON WESTWOOD MIGHTY MITES B 0.00 45.97 0.00 45.97 80.0 02/09/2018 75500756 DENNENY, MICHAEL DAVIS SERIES INC FINANCIAL FUND CL B 0.00 28.16 0.00 28.16 80.0 02/09/2018 75500756 DENNENY, MICHAEL EHV 277902813 B 0.00 8.85 0.00 8.85 80.0 02/09/2018 75500756 DENNENY, MICHAEL JANUS INVT FD HENDERSON GLOBAL TECH B 0.00 33.06 0.00 33.06 80.0 02/09/2018 75500788 CAFIERO, RENEE AMT-FREE NEW YORK MUNICIPALS A B 0.00 9.49 0.00 9.49 80.0 02/09/2018 75500848 O'LEARY, JENNIFER EHV 277902813 B 0.00 1.51 0.00 1.51 80.0 02/20/2018 75500848 O'LEARY, JENNIFER REGIONAL BANK A B 0.00 1.01 0.00 1.01 80.0 02/20/2018 75500848 O'LEARY, JENNIFER *VUCTORY PORTFOLIOS MUNDER B 0.00 2.28 0.00 2.28 80.0 02/20/2018 75500848 O'LEARY, JENNIFER *VUCTORY PORTFOLIOS MUNDER B 0.00 1.25 0.00 1.25 80.0 02/09/2018 75500880 VAZ, CHRISTINE EHV 277902813 B 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE EHV 277902813 B 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE EHV 277902813 B 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE EHV 277902813 B 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 1.68 0.00 1.68 80.0 02/09/2018 75500959 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 11.68 0.00 11.68 80.0 02/09/2018 75501025 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B 0.00 7.73 0.00 7.73 80.0	02/09/2018 7	5500755 DENNENY, MICHAEL	MAIN STREET FUND A B	0.00	5.71	0.00	5.71	80.0	4.57
02/09/2018 75500756 DENNENY, MICHAEL DAVIS SERIES INC FINANCIAL FUND CL B 0.00 28.16 0.00 8.85 0.00 8.85 80.0 02/09/2018 75500756 DENNENY, MICHAEL EHV 277902813 B 0.00 33.06 0.00 33.06 80.0 02/09/2018 75500756 DENNENY, MICHAEL JANUS INVT FD HENDERSON GLOBAL TECH B 0.00 33.06 0.00 33.06 80.0 02/09/2018 75500788 CAFIERO, RENEE AMT-FREE NEW YORK MUNICIPALS A B 0.00 9.49 0.00 9.49 80.0 02/09/2018 75500848 O'LEARY, JENNIFER EHV 277902813 B 0.00 1.51 0.00 1.51 80.0 02/09/2018 75500848 O'LEARY, JENNIFER REGIONAL BANK A B 0.00 1.01 0.00 1.01 80.0 02/26/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS MUNDER B 0.00 1.25 0.00 1.25 80.0 02/26/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE EHV 277902813 B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE EHV 277902813 B 0.00 3.47 0.00 3.47 80.0 02/09/2018 75500880 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 3.47 0.00 3.47 80.0 02/09/2018 75500959 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 3.00 0.00 3.00 80.0 02/09/2018 75501025 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B 0.00 7.73 0.00 7.73 80.0 02/09/2018 75501025 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B 0.00 7.73 0.00 7.73 80.0	02/09/2018 7	5500755 DENNENY, MICHAEL	SMALLCAP WORLD FUND INC CL F1 B	0.00	7.61	0.00	7.61	80.0	6.09
02/09/2018 75500756 DENNENY, MICHAEL EHV 277902813 B 0.00 8.85 0.00 8.85 80.0 02/09/2018 75500756 DENNENY, MICHAEL JANUS INVT FD HENDERSON GLOBAL TECH B 0.00 33.06 0.00 33.06 80.0 02/09/2018 75500788 CAFIERO, RENEE AMT-FREE NEW YORK MUNICIPALS A B 0.00 9.49 0.00 9.49 80.0 02/09/2018 75500848 O'LEARY, JENNIFER EHV 277902813 B 0.00 1.51 0.00 1.51 80.0 02/09/2018 75500848 O'LEARY, JENNIFER REGIONAL BANK A B 0.00 1.01 0.00 1.01 80.0 02/266/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS MUNDER B 0.00 2.28 0.00 2.28 80.0 02/266/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.25 0.00 1.25 80.0 02/09/2018 75500880 VAZ, CHRISTINE EHV 277902813 B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 3.47 0.00 3.47 80.0 02/09/2018 75500959 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 11.68 0.00 11.68 80.0 02/09/2018 75501025 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B 0.00 7.73 0.00 7.73 80.0	02/09/2018 7	5500756 DENNENY, MICHAEL	**TETON WESTWOOD MIGHTY MITES B	0.00	45.97	0.00	45.97	80.0	36.78
02/09/2018 75500756 DENNENY, MICHAEL JANUS INVT FD HENDERSON GLOBAL TECH B 0.00 33.06 0.00 33.06 80.0 02/09/2018 75500788 CAFIERO, RENEE AMT-FREE NEW YORK MUNICIPALS A B 0.00 9.49 0.00 9.49 80.0 02/09/2018 75500848 O'LEARY, JENNIFER EHV 277902813 B 0.00 1.51 0.00 1.51 80.0 02/09/2018 75500848 O'LEARY, JENNIFER REGIONAL BANK A B 0.00 1.01 0.00 1.01 80.0 02/26/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS MUNDER B 0.00 2.28 0.00 2.28 80.0 02/26/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.25 0.00 1.25 80.0 02/09/2018 75500880 VAZ, CHRISTINE EHV 277902813 B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 3.47 0.00 3.47 80.0 02/09/2018 75500959 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 11.68 0.00 11.68 80.0 02/09/2018 75501025 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B 0.00 7.73 0.00 7.73 80.0	02/09/2018 7	5500756 DENNENY, MICHAEL	DAVIS SERIES INC FINANCIAL FUND CL B	0.00	28.16	0.00	28.16	80.0	22.53
02/09/2018 75500788 CAFIERO, RENEE AMT-FREE NEW YORK MUNICIPALS A B 0.00 9.49 0.00 9.49 80.0 02/09/2018 75500848 O'LEARY, JENNIFER REGIONAL BANK A B 0.00 1.51 0.00 1.51 80.0 02/26/2018 75500848 O'LEARY, JENNIFER REGIONAL BANK A B 0.00 1.01 0.00 1.01 80.0 02/26/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS MUNDER B 0.00 2.28 0.00 2.28 80.0 02/26/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS MUNDER B 0.00 1.25 0.00 1.25 80.0 02/26/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.25 0.00 1.25 80.0 02/09/2018 75500880 VAZ, CHRISTINE EHV 277902813 B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 3.47 0.00 3.47 80.0 02/09/2018 75500959 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 11.68 0.00 11.68 80.0 02/09/2018 75501025 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B 0.00 7.73 0.00 7.73 80.0	02/09/2018 7	5500756 DENNENY, MICHAEL	EHV 277902813 B	0.00	8.85	0.00	8.85	80.0	7.08
02/09/2018 75500848 O'LEARY, JENNIFER REGIONAL BANK A B 0.00 1.51 0.00 1.51 80.0 02/09/2018 75500848 O'LEARY, JENNIFER REGIONAL BANK A B 0.00 1.01 0.00 1.01 80.0 02/26/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS MUNDER B 0.00 2.28 0.00 2.28 80.0 02/26/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.25 0.00 1.25 80.0 02/09/2018 7550080 VAZ, CHRISTINE EHV 277902813 B 0.00 1.74 0.00 1.74 80.0 02/09/2018 7550080 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 3.47 0.00 3.47 80.0 02/09/2018 75500959 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 11.68 0.00 11.68 80.0 02/09/2018 75501025 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B 0.00 7.73 0.00 7.73 80.0 02/09/2018 75501074 ROSENFELD, CAROL **TETON WESTWOOD MIGHTY MITES B 0.00 7.73 0.00 7.73 80.0	02/09/2018 7	5500756 DENNENY, MICHAEL	JANUS INVT FD HENDERSON GLOBAL TECH B	0.00	33.06	0.00	33.06	80.0	26.45
02/09/2018 75500848 O'LEARY, JENNIFER REGIONAL BANK A B 0.00 1.01 0.00 1.01 80.0 02/26/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS MUNDER B 0.00 2.28 0.00 2.28 80.0 02/26/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.25 0.00 1.25 80.0 02/09/2018 75500880 VAZ, CHRISTINE EHV 277902813 B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 3.47 0.00 3.47 80.0 02/09/2018 75500959 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 11.68 0.00 11.68 80.0 02/09/2018 75501025 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B 0.00 7.73 0.00 7.73 80.0	02/09/2018 7	5500788 CAFIERO, RENEE	AMT-FREE NEW YORK MUNICIPALS A B	0.00	9.49	0.00	9.49	80.0	7.59
02/26/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS MUNDER B 0.00 2.28 0.00 2.28 80.0 02/26/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.25 0.00 1.25 80.0 02/09/2018 75500880 VAZ, CHRISTINE EHV 277902813 B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 3.47 0.00 3.47 80.0 02/09/2018 75500959 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 11.68 0.00 11.68 80.0 02/09/2018 75501025 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B 0.00 3.00 0.00 3.00 80.0 02/09/2018 75501074 ROSENFELD, CAROL **TETON WESTWOOD MIGHTY MITES B 0.00 7.73 0.00 7.73 80.0	02/09/2018 7	5500848 O'LEARY, JENNIFER	EHV 277902813 B	0.00	1.51	0.00	1.51	80.0	1.21
02/26/2018 75500848 O'LEARY, JENNIFER **VICTORY PORTFOLIOS B 0.00 1.25 0.00 1.25 80.0 02/09/2018 75500880 VAZ, CHRISTINE EHV 277902813 B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 3.47 0.00 3.47 80.0 02/09/2018 75500959 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 11.68 0.00 11.68 80.0 02/09/2018 75501025 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B 0.00 3.00 0.00 3.00 80.0 02/09/2018 75501074 ROSENFELD, CAROL **TETON WESTWOOD MIGHTY MITES B 0.00 7.73 0.00 7.73 80.0	02/09/2018 7	5500848 O'LEARY, JENNIFER	REGIONAL BANK A B	0.00	1.01	0.00	1.01	80.0	0.81
02/09/2018 75500880 VAZ, CHRISTINE EHV 277902813 B 0.00 1.74 0.00 1.74 80.0 02/09/2018 75500880 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 3.47 0.00 3.47 80.0 02/09/2018 75500959 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 11.68 0.00 11.68 80.0 02/09/2018 75501025 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B 0.00 3.00 0.00 3.00 80.0 02/09/2018 75501074 ROSENFELD, CAROL **TETON WESTWOOD MIGHTY MITES B 0.00 7.73 0.00 7.73 80.0	02/26/2018 7	5500848 O'LEARY, JENNIFER	**VICTORY PORTFOLIOS MUNDER B	0.00	2.28	0.00	2.28	80.0	1.82
02/09/2018 75500880 VAZ, CHRISTINE FIDELITY ADVISOR (FOCUS) HEALTH CAR B 0.00 3.47 0.00 3.47 80.0 02/09/2018 75500959 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 11.68 0.00 11.68 80.0 02/09/2018 75501025 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B 0.00 3.00 0.00 3.00 80.0 02/09/2018 75501074 ROSENFELD, CAROL **TETON WESTWOOD MIGHTY MITES B 0.00 7.73 0.00 7.73 80.0	02/26/2018 7	5500848 O'LEARY, JENNIFER	**VICTORY PORTFOLIOS B	0.00	1.25	0.00	1.25	80.0	1.00
02/09/2018 75500959 KAUFMAN, DORIS CAPITAL INCOME A B 0.00 11.68 0.00 11.68 80.0 02/09/2018 75501025 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B 0.00 3.00 0.00 3.00 80.0 02/09/2018 75501074 ROSENFELD, CAROL **TETON WESTWOOD MIGHTY MITES B 0.00 7.73 0.00 7.73 80.0	02/09/2018 7	5500880 VAZ, CHRISTINE	EHV 277902813 B	0.00	1.74	0.00	1.74	80.0	1.39
02/09/2018 75501025 HARRISON, JUDITH EATON VANCE TAX MANAGED GROWTH FUND B 0.00 3.00 0.00 3.00 80.0 02/09/2018 75501074 ROSENFELD, CAROL **TETON WESTWOOD MIGHTY MITES B 0.00 7.73 0.00 7.73 80.0	02/09/2018 7	5500880 VAZ, CHRISTINE	FIDELITY ADVISOR (FOCUS) HEALTH CAR B	0.00	3.47	0.00	3.47	80.0	2.78
02/09/2018 75501074 ROSENFELD, CAROL **TETON WESTWOOD MIGHTY MITES B 0.00 7.73 0.00 7.73 80.0	02/09/2018 7	5500959 KAUFMAN, DORIS	CAPITAL INCOME A B	0.00	11.68	0.00	11.68	80.0	9.34
	02/09/2018 7	5501025 HARRISON, JUDITH	EATON VANCE TAX MANAGED GROWTH FUND B	0.00	3.00	0.00	3.00	80.0	2.40
02/26/2018 75501079 OFTTET. RPVAN **VICTORY DOPTEGITOS MINDEP R 0.00 0.25 0.00 0.25 80.0	02/09/2018 7	5501074 ROSENFELD, CAROL	**TETON WESTWOOD MIGHTY MITES B	0.00	7.73	0.00	7.73	80.0	6.18
02/20/2010 /33010/9 OBITED, DRIAN VICTORI TORITODIOD MONDER D 0.00 0.25 0.00	02/26/2018 7	5501079 OETTEL, BRYAN	**VICTORY PORTFOLIOS MUNDER B	0.00	0.25	0.00	0.25	80.0	0.20
02/09/2018 75501088 SILBERMANN, SHARON **AMG MANAGERS ESSEX SMALL B 0.00 4.02 0.00 4.02 80.0	02/09/2018 7	5501088 SILBERMANN, SHARON	**AMG MANAGERS ESSEX SMALL B	0.00	4.02	0.00	4.02	80.0	3.22

03/27/2018  COMMISSION STATEMENT for IRENE SULLIVAN							Page No. 2
TRADE DATE CLIENT	INVESTMENT B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
	BROKER TRANS	ACTIONS					
PRODUCT CATEGORY: MUTUAL FUND 12B1	TRAILS						
02/09/2018 75501088 SILBERMANN, SHARON	**TETON WESTWOOD MIGHTY MITES B	0.00	24.13	0.00	24.13	80.0	19.30
02/09/2018 75501088 SILBERMANN, SHARON	BLACKROCK HEALTH SCIENCES OPPORTUNI B	0.00	16.09	0.00	16.09	80.0	12.87
02/09/2018 75501088 SILBERMANN, SHARON	DAVIS SERIES INC FINANCIAL FUND CL B	0.00	15.38	0.00	15.38	80.0	12.30
02/09/2018 75501088 SILBERMANN, SHARON	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	0.00	8.95	0.00	8.95	80.0	7.16
02/09/2018 75501088 SILBERMANN, SHARON	JANUS INVT FD HENDERSON GLOBAL TECH B	0.00	21.38	0.00	21.38	80.0	17.10
02/26/2018 75501088 SILBERMANN, SHARON	**VICTORY PORTFOLIOS MUNDER B	0.00	5.10	0.00	5.10	80.0	4.08
02/09/2018 75501167 FORTE, SUZETTE	EHV 277902813 B	0.00	1.47	0.00	1.47	80.0	1.18
02/16/2018 QGW028615 HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	0.00	12.66	0.00	12.66	80.0	10.13
02/16/2018 QGW028615 HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	0.00	2.59	0.00	2.59	80.0	2.07
02/16/2018 QGW028623 HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	0.00	10.58	0.00	10.58	80.0	8.46
02/16/2018 QGW028623 HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	0.00	2.23	0.00	2.23	80.0	1.78
02/16/2018 QGW028722 SOLE, ABIGAIL	DAVIS SERIES INC FINANCIAL FUND CL B	0.00	3.21	0.00	3.21	80.0	2.57
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$344.41	\$0.00	\$344.41		\$275.52
	*** BROKER TRANSACTIONS TOTAL ***	\$255,393.04	\$6,278.41	\$150.00	\$6,128.41		\$4,902.72

02/28/2018	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
02/28/2018	OTHER: OTHER-OFFICE SUPPLIES	0.00	0.00	0.00	0.00	-40.00
02/28/2018	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-8.00
02/28/2018	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

ADJUSTMENTS

## BROKER COMMISSION TOTALS \$4,902.72 Broker Transactions \$0.00 Split Transactions \$0.00 Override Transactions Adjustments \$-144.00 Payroll Draw \$0.00 \$0.00 Base Salary Prior Period Balance \$0.00 FINRA Assessment \$-7.85 \$-15.70 SIPC Assessment \$4,735.17 Check Amount \$20,435.51 Year-to-date Earnings