

**COMMISSION STATEMENT****April 15, 2018**

ROY, P123 PFLEGER II
 417 E. Main Street
 3rd Floor
 Port Jefferson, NY 11777

BROKER #: P123
 BRANCH: FORTITUDE INVESTMENT

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-----------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| 03/19/2018 | ABRAHAM, BLESSY | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 1.26 | 0.00 | 1.26 | 75.0 | 0.95 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$1.26 | \$0.00 | \$1.26 | | \$0.95 |
| *** DIRECT TRANSACTIONS TOTAL *** | | | \$0.00 | \$1.26 | \$0.00 | \$1.26 | | \$0.95 |

SPLIT TRANSACTIONS**BROKER: DAN/ROY/JEFF/JON FT-G3G NY RAUPP/PF #254**

| | | | | | | | | |
|---|--------------------|-------------------------------------|-------------------|----------------|----------------|---------------|------|---------------|
| 03/20/2018 | FENELON, DICKENS | FA 529 PORT 2030 T | 0.00 | 0.08 | 0.00 | 0.08 | 75.0 | 0.06 |
| 03/19/2018 | MCCLARNON, BRENDAN | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 0.20 | 0.00 | 0.20 | 75.0 | 0.15 |
| 03/19/2018 | DAVID, RUDOLPH | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 0.05 | 0.00 | 0.05 | 75.0 | 0.04 |
| 03/19/2018 | LALAMA, MARY | JP MORGAN EQUITY INCOME FUND CLASS | 0.00 | 0.57 | 0.00 | 0.57 | 75.0 | 0.43 |
| 03/19/2018 | CIMMINO, VICTORIA | JP MORGAN GROWTH ADV A | 0.00 | 0.47 | 0.00 | 0.47 | 75.0 | 0.35 |
| 03/19/2018 | KEYSER, LISA | JP MORGAN INVESTOR GROWTH FUND CLAS | 0.00 | 2.73 | 0.00 | 2.73 | 75.0 | 2.05 |
| 03/19/2018 | PLUME, KRISTA | JP MORGAN INVESTOR GROWTH FUND CLAS | 0.00 | 2.42 | 0.00 | 2.42 | 75.0 | 1.82 |
| 03/19/2018 | CIMMINO, VICTORIA | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.20 | 0.00 | 0.20 | 75.0 | 0.15 |
| 03/23/2018 | PFLEGER, CLIFFORD | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.13 | 0.00 | 0.13 | 75.0 | 0.10 |
| 03/12/2018 | LALAMA, MARY | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.33 | 0.00 | 0.33 | 75.0 | 0.25 |
| 03/12/2018 | KEYSER, LISA | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 1.46 | 0.00 | 1.46 | 75.0 | 1.10 |
| / / | MORROUN, STEVEN | OPPENHEIMER PORTFOLIO SERIES EQ INV | 0.00 | 0.14 | 0.00 | 0.14 | 75.0 | 0.11 |
| / / | MORROUN, STEVEN | OPPENHEIMER PORTFOLIO SERIES EQ INV | 0.00 | 0.19 | 0.00 | 0.19 | 75.0 | 0.14 |
| 03/22/2018 | BARRY, ROBERT | THE GABELLI UTILITIES FUND CLASS A | 0.00 | 0.63 | 0.00 | 0.63 | 75.0 | 0.47 |
| 04/06/2018 | BARRY, ROBERT | THE GABELLI UTILITIES FUND CLASS A | -9,319.47 | 7.70 | 7.70 | 0.00 | 75.0 | 0.00 |
| 04/06/2018 | BARRY, ROBERT | VANGUARD WORLD FD VANGUARD MEGA CAP | 11,476.02 | 0.00 | 7.88 | -7.88 | 75.0 | -5.91 |
| * DAN/ROY/JEFF/JON FT-G3G NY RAUPP/PF SUBTOTAL * | | | \$2,156.55 | \$17.30 | \$15.58 | \$1.72 | | \$1.31 |

NOTES: * - Indicates adjustment is not included in 1099 Earnings

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: DAN/ROY/JEFF/JP FT-R141 RAU/PFLEG/K #381 | | | | | | | | |
| 03/23/2018 | RASMUSSEN, MELANIE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.58 | 0.00 | 0.58 | 75.0 | 0.44 |
| 03/12/2018 | RASMUSSEN, MELANIE | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 1.58 | 0.00 | 1.58 | 75.0 | 1.19 |
| * DAN/ROY/JEFF/JP FT-R141 RAU/PFLEG/K SUBTOTAL * | | | \$0.00 | \$2.16 | \$0.00 | \$2.16 | | \$1.63 |
| *** SPLIT TRANSACTIONS TOTAL *** | | | \$2,156.55 | \$19.46 | \$15.58 | \$3.88 | | \$2.94 |

ADJUSTMENTS

| | | | | | | | | |
|------------|--|--|------|--|--|--|--|---------|
| 04/15/2018 | | *EO INS: CURRENT MONTH | 0.00 | | | | | -105.00 |
| 04/15/2018 | | *FINRA: AZ INDIVIDUAL REG. FEE | 0.00 | | | | | -45.00 |
| 04/15/2018 | | *MISC: OVERNIGHT FEE 4/15/18 | 0.00 | | | | | -10.00 |
| 04/15/2018 | | *PERSHING: PERSHING MARKUP | 0.00 | | | | | 21.00 |
| 04/15/2018 | | *PERSHING: R SPLIT NEW YORK REIT - BATTAGLIA | 0.00 | | | | | -3.50 |
| 04/15/2018 | | *PERSHING: R SPLIT NEW YORK REIT - BUZZETTA | 0.00 | | | | | -3.50 |
| 04/15/2018 | | *PERSHING: R SPLIT NEW YORK REIT - CALAMAS | 0.00 | | | | | -3.50 |
| 04/15/2018 | | *PERSHING: R SPLIT NEW YORK REIT - GALGANO | 0.00 | | | | | -3.50 |
| 04/15/2018 | | *PERSHING: R SPLIT NEW YORK REIT - HENNEFORTH | 0.00 | | | | | -3.50 |
| 04/15/2018 | | *PERSHING: R SPLIT NEW YORK REIT - JOHNSON | 0.00 | | | | | -3.50 |
| 04/15/2018 | | *PERSHING: R SPLIT NEW YORK REIT - PAVIS | 0.00 | | | | | -3.50 |
| 04/15/2018 | | *PERSHING: R SPLIT NEW YORK REIT - PLUME | 0.00 | | | | | -3.50 |
| 04/15/2018 | | *PERSHING: R SPLIT NEW YORK REIT - SHEA III | 0.00 | | | | | -3.50 |
| 04/15/2018 | | *PERSHING: R SPLIT NEW YORK REIT - SINISGALLI | 0.00 | | | | | -3.50 |
| 04/15/2018 | | *PERSHING: R SPLIT NEW YORK REIT - SKOLNICK | 0.00 | | | | | -3.50 |

NOTES: * - Indicates adjustment is not included in 1099 Earnings

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---------------------------|--------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>ADJUSTMENTS</u> | | | | | | | | |
| 04/15/2018 | | *PERSHING: BOOKS & RECORDS | 0.00 | | | | | -1.05 |
| 04/15/2018 | | *TECHNOLOGY: CURRENT MONTH | 0.00 | | | | | -96.25 |
| *** ADJUSTMENTS TOTAL *** | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-274.80 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-----------|
| Broker Transactions | \$0.95 |
| Split Transactions | \$2.94 |
| Override Transactions | \$0.00 |
| Adjustments | \$-274.80 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

| | |
|-----------------------|-------------|
| Balance Forward | \$-270.91 |
| Year-to-date Gross | \$85,610.97 |
| Year-to-date Earnings | \$64,179.27 |

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