

## COMMISSION STATEMENT

November 30, 2017

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
<b>BROKER TRANSACTIONS</b>									
<b>PRODUCT CATEGORY: STOCKS</b>									
11/17/2017 75500750	GANGE, RICHARD	GENERAL MOTORS COMPANY	S	35,100.00	543.23	25.00	518.23	80.0	414.58
11/28/2017 75500750	GANGE, RICHARD	GENERAL ELECTRIC CO	B	18,340.00	448.00	25.00	423.00	80.0	338.40
11/28/2017 75500751	GANGE, RICHARD	AGNC INVESTMENT CORP COMMON STOCK	S	6,093.00	100.00	25.00	75.00	80.0	60.00
11/28/2017 75500751	GANGE, RICHARD	GOODYEAR TIRE & RUBBER CO	B	31,740.00	747.00	25.00	722.00	80.0	577.60
10/31/2017 75500754	HARRISON, LISA	COTY INC COM CL A	S	1,537.00	28.00	25.00	3.00	80.0	2.40
11/16/2017 75500789	CAFIERO, RENEE	GENERAL MOTORS COMPANY	S	19,500.00	375.38	25.00	350.38	80.0	280.30
11/17/2017 75500789	CAFIERO, RENEE	GENERAL MOTORS COMPANY	S	78,000.00	894.65	25.00	869.65	80.0	695.72
11/28/2017 75500789	CAFIERO, RENEE	GENERAL ELECTRIC CO	B	45,850.00	1,076.00	25.00	1,051.00	80.0	840.80
11/28/2017 75500789	CAFIERO, RENEE	GOODYEAR TIRE & RUBBER CO	B	79,424.50	1,817.00	25.00	1,792.00	80.0	1,433.60
11/17/2017 75500846	YELLAND, MARGARET	GENERAL MOTORS COMPANY	S	62,400.00	768.03	25.00	743.03	80.0	594.42
11/28/2017 75500847	YELLAND, MARGARET	GENERAL ELECTRIC CO	B	46,046.50	1,061.00	25.00	1,036.00	80.0	828.80
11/28/2017 75500847	YELLAND, MARGARET	GOODYEAR TIRE & RUBBER CO	B	31,767.10	747.00	25.00	722.00	80.0	577.60
11/09/2017 75501037	VANARSDALE,	CBS CORP CLASS B	S	1,222.41	50.00	25.00	25.00	80.0	20.00
11/09/2017 75501037	VANARSDALE,	VIACOM INC CLASS B	S	527.94	50.00	25.00	25.00	80.0	20.00
11/17/2017 75501041	DUFFY, TRENT	GENERAL MOTORS COMPANY	S	46,800.00	641.42	25.00	616.42	80.0	493.14
11/28/2017 75501041	DUFFY, TRENT	GOODYEAR TIRE & RUBBER CO	B	38,100.00	887.00	25.00	862.00	80.0	689.60
11/28/2017 75501078	OETTEL, BRYAN	GENERAL ELECTRIC CO	B	18,340.00	448.00	25.00	423.00	80.0	338.40
11/28/2017 75501078	OETTEL, BRYAN	GOODYEAR TIRE & RUBBER CO	B	31,760.00	747.00	25.00	722.00	80.0	577.60
11/10/2017 75501086	CHARLES & MARK	SHAKE SHACK INC CL A	S	56,977.50	1,314.00	25.00	1,289.00	80.0	1,031.20
11/15/2017 75501100	KINNEY, SAMUEL	GENERAL MOTORS COMPANY	S	19,500.00	375.38	25.00	350.38	80.0	280.30
11/17/2017 75501100	KINNEY, SAMUEL	GENERAL MOTORS COMPANY	S	39,000.00	578.11	25.00	553.11	80.0	442.49
11/28/2017 75501101	KINNEY, SAMUEL	GENERAL ELECTRIC CO	B	18,420.00	448.00	25.00	423.00	80.0	338.40
11/17/2017 75501129	PALMER, JEANNE	GENERAL MOTORS COMPANY	S	42,900.00	609.76	25.00	584.76	80.0	467.81
11/28/2017 75501129	PALMER, JEANNE	GENERAL ELECTRIC CO	B	18,420.00	448.00	25.00	423.00	80.0	338.40
11/28/2017 75501129	PALMER, JEANNE	GOODYEAR TIRE & RUBBER CO	B	22,236.27	531.00	25.00	506.00	80.0	404.80
11/28/2017 75501130	PALMER, JEANNE	AGNC INVESTMENT CORP COMMON STOCK	S	10,155.00	200.00	25.00	175.00	80.0	140.00
11/28/2017 75501131	CAMPOS, CHRISTOPHER	AGNC INVESTMENT CORP COMMON STOCK	S	10,160.00	200.00	25.00	175.00	80.0	140.00
11/28/2017 75501131	CAMPOS, CHRISTOPHER	GENERAL ELECTRIC CO	B	18,419.00	448.00	25.00	423.00	80.0	338.40
11/17/2017 75501279	GELBERT,	GENERAL MOTORS COMPANY	S	19,500.00	375.38	25.00	350.38	80.0	280.30
* STOCKS SUBTOTAL *				\$868,236.22	\$16,956.34	\$725.00	\$16,231.34		\$12,985.06

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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: MUTUAL FUND 12B1 TRAILS											
11/09/2017	75500755	DENNENY, MICHAEL		CAPITAL APPRECIATION A	B	0.00	2.77	0.00	2.77	80.0	2.22
11/09/2017	75500755	DENNENY, MICHAEL		EATON VANCE TAX MANAGED GROWTH FUND B	B	0.00	14.82	0.00	14.82	80.0	11.86
11/09/2017	75500755	DENNENY, MICHAEL		EATON VANCE TAX MANAGED VALUE FD CL B	B	0.00	14.85	0.00	14.85	80.0	11.88
11/09/2017	75500755	DENNENY, MICHAEL		GLOBAL FUND A	B	0.00	8.12	0.00	8.12	80.0	6.50
11/09/2017	75500755	DENNENY, MICHAEL		MAIN STREET FUND A	B	0.00	5.79	0.00	5.79	80.0	4.63
11/09/2017	75500755	DENNENY, MICHAEL		SMALLCAP WORLD FUND-C	B	0.00	29.52	0.00	29.52	80.0	23.62
11/09/2017	75500756	DENNENY, MICHAEL		**TETON WESTWOOD MIGHTY MITES	B	0.00	48.35	0.00	48.35	80.0	38.68
11/09/2017	75500756	DENNENY, MICHAEL		DAVIS SERIES INC FINANCIAL FUND CL B	B	0.00	26.72	0.00	26.72	80.0	21.38
11/09/2017	75500756	DENNENY, MICHAEL		EHV 277902813	B	0.00	8.81	0.00	8.81	80.0	7.05
11/09/2017	75500756	DENNENY, MICHAEL		JANUS INVT FD HENDERSON GLOBAL TECH B	B	0.00	31.13	0.00	31.13	80.0	24.90
11/09/2017	75500788	CAFIERO, RENEE		AMT-FREE NEW YORK MUNICIPALS A	B	0.00	9.58	0.00	9.58	80.0	7.66
11/09/2017	75500848	O'LEARY, JENNIFER		EHV 277902813	B	0.00	1.50	0.00	1.50	80.0	1.20
11/09/2017	75500848	O'LEARY, JENNIFER		REGIONAL BANK A	B	0.00	0.95	0.00	0.95	80.0	0.76
11/24/2017	75500848	O'LEARY, JENNIFER		**VICTORY PORTFOLIOS MUNDER	B	0.00	2.14	0.00	2.14	80.0	1.71
11/24/2017	75500848	O'LEARY, JENNIFER		**VICTORY PORTFOLIOS	B	0.00	1.33	0.00	1.33	80.0	1.06
11/09/2017	75500880	VAZ, CHRISTINE		EHV 277902813	B	0.00	1.73	0.00	1.73	80.0	1.38
11/09/2017	75500880	VAZ, CHRISTINE		FIDELITY ADVISOR (FOCUS) HEALTH CAR B	B	0.00	3.31	0.00	3.31	80.0	2.65
11/09/2017	75500959	KAUFMAN, DORIS		CAPITAL INCOME A	B	0.00	11.84	0.00	11.84	80.0	9.47
11/09/2017	75501025	HARRISON, JUDITH		EATON VANCE TAX MANAGED GROWTH FUND B	B	0.00	2.72	0.00	2.72	80.0	2.18
11/09/2017	75501074	ROSENFELD, CAROL		**TETON WESTWOOD MIGHTY MITES	B	0.00	8.13	0.00	8.13	80.0	6.50
11/24/2017	75501079	OETTEL, BRYAN		**VICTORY PORTFOLIOS MUNDER	B	0.00	0.24	0.00	0.24	80.0	0.19
11/09/2017	75501088	SILBERMANN, SHARON		**AMG MANAGERS ESSEX SMALL	B	0.00	4.27	0.00	4.27	80.0	3.42
11/09/2017	75501088	SILBERMANN, SHARON		**TETON WESTWOOD MIGHTY MITES	B	0.00	25.37	0.00	25.37	80.0	20.30
11/09/2017	75501088	SILBERMANN, SHARON		BLACKROCK HEALTH SCIENCES OPPORTUNI B	B	0.00	15.77	0.00	15.77	80.0	12.62
11/09/2017	75501088	SILBERMANN, SHARON		DAVIS SERIES INC FINANCIAL FUND CL B	B	0.00	14.59	0.00	14.59	80.0	11.67
11/09/2017	75501088	SILBERMANN, SHARON		GOLDMAN SACHS TOLLKEEPER FUND CLASS B	B	0.00	8.77	0.00	8.77	80.0	7.02
11/09/2017	75501088	SILBERMANN, SHARON		JANUS INVT FD HENDERSON GLOBAL TECH B	B	0.00	20.14	0.00	20.14	80.0	16.11
11/24/2017	75501088	SILBERMANN, SHARON		**VICTORY PORTFOLIOS MUNDER	B	0.00	4.79	0.00	4.79	80.0	3.83
11/09/2017	75501167	FORTE, SUZETTE		EHV 277902813	B	0.00	1.47	0.00	1.47	80.0	1.18
11/22/2017	QGW028615	HARRISON, LISA		GOLDMAN SACHS TOLLKEEPER FUND CLASS B	B	0.00	11.51	0.00	11.51	80.0	9.21
11/22/2017	QGW028615	HARRISON, LISA		GOLDMAN SACHS TOLLKEEPER FUND CLASS B	B	0.00	2.58	0.00	2.58	80.0	2.06
11/22/2017	QGW028623	HARRISON, LISA		GOLDMAN SACHS TOLLKEEPER FUND CLASS B	B	0.00	9.62	0.00	9.62	80.0	7.70
11/22/2017	QGW028623	HARRISON, LISA		GOLDMAN SACHS TOLLKEEPER FUND CLASS B	B	0.00	2.22	0.00	2.22	80.0	1.78
11/13/2017	QGW028722	SOLE, ABIGAIL		DAVIS SERIES INC FINANCIAL FUND CL B	B	0.00	3.04	0.00	3.04	80.0	2.43
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *						\$0.00	\$358.49	\$0.00	\$358.49		\$286.81
*** BROKER TRANSACTIONS TOTAL ***						\$868,236.22	\$17,314.83	\$725.00	\$16,589.83		\$13,271.87

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS

11/30/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
11/30/2017		OTHER: OTHER-OFFICE SUPPLIES		0.00	0.00	0.00	0.00		-40.00
11/30/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
11/30/2017		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	\$13,271.87
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	\$-21.64
SIPC Assessment	\$-43.29

Check Amount	\$13,062.94
Year-to-date Earnings	\$70,482.08