

## **COMMISSION STATEMENT**

## **September 15, 2017**

ANTHONY GUGLIELME

605 Delafield Road

Pittsburgh, PA 15215

BROKER #: 117 Terminated 10/25/2016

BRANCH: ANTHONY GUGLIELME

| DATE                                      | CLIENT  | INVESTMENT                           | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE                   | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|---|---|--------------------------------------|----------------------|---------------------|--------------------------------------|-------------------|-------|----------------------|
| BROKER TRANSACTIONS                       |   |                                      |                      |                     |                                      |                   |       |                      |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS |   |                                      |                      |                     |                                      |                   |       |                      |
| 08/15/2017                                | BATTAGLINI, CHRIS   | AM FUNDS CAPITAL WORLD GRTH & INC C  | 0.00                 | 3.38                | 0.00                                 | 3.38              | 0.0   | 0.00                 |
| 08/15/2017                                | BATTAGLINI, CHRIS   | AM FUNDS GROWTH FUND OF AMERICA C    | 0.00                 | 2.07                | 0.00                                 | 2.07              | 0.0   | 0.00                 |
| 08/14/2017                                | BATTAGLINI, CHRIS   | FRANKLIN SMALL CAP VALUE C           | 0.00                 | 3.21                | 0.00                                 | 3.21              | 0.0   | 0.00                 |
| 08/17/2017                                | BATTAGLINI, CHRIS   | MFS UTILITIES C                      | 0.00                 | 1.27                | 0.00                                 | 1.27              | 0.0   | 0.00                 |
|   |   | * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | \$0.00               | \$9.93              | \$0.00                               | \$9.93            |       | \$0.00               |
|   |   | *** BROKER TRANSACTIONS TOTAL ***    | \$0.00               | \$9.93              | \$0.00                               | \$9.93            |       | \$0.00               |
|   |   |                                      |                      |                     | Ē                                    | ROKER COMMI       | SSION | TOTALS               |
|   |   |                                      |                      |                     | Broker Transactions                  |                   |       | \$0.00               |
|   |   |                                      |                      |                     | Split Transactions                   |                   |       | \$0.00               |
|   |   |                                      |                      |                     | Override Transactions<br>Adjustments |                   |       | \$0.00               |
|   |   |                                      |                      |                     |                                      |                   |       | \$0.00               |
|   |   |                                      |                      |                     |                                      | Payroll Draw      |       | \$0.00               |
|   |   |                                      |                      |                     |                                      | Base Salary       |       | \$0.00               |
|   |   |                                      |                      |                     | Prior 1                              | Period Balance    |       | \$0.00               |
|   |   |                                      |                      |                     | FI                                   | NRA Assessment    |       | \$0.00               |
|   |   |                                      |                      |                     | S                                    | IPC Assessment    |       | \$0.00               |
|   | Please Retain for Your Records THERE WILL BE NO CHECK THIS PERIOD |                                      |                      |                     | Balance Forward                      |                   |       | \$0.00               |
|   |   |                                      |                      |                     | Year                                 | r-to-date Gross   | 5     | \$1,132.81           |
|   |   |                                      |                      |                     | Year-to                              | o-date Earning:   | 5     | \$0.00               |