

**COMMISSION STATEMENT****January 31, 2018****DANIEL RAUPP**

417 E. Main Street

3rd Floor

Port Jefferson, NY 11777

BROKER #: R132

BRANCH: FORTITUDE INVESTMENT

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
01/12/2018	DORSO, FRANK	GENERAL CANNABIS CORP COM	-7,253.00	0.00	23.50	-23.50	100.0	-23.50
01/16/2018	DORSO, FRANK	GENERAL CANNABIS CORP COM	4,070.00	0.00	22.75	-22.75	100.0	-22.75
01/16/2018	DORSO, FRANK	GROWGENERATION CORP COM	4,340.00	0.00	22.75	-22.75	100.0	-22.75
* STOCKS SUBTOTAL *			\$1,157.00	\$0.00	\$69.00	\$-69.00		\$-69.00
*** CLEARING TRANSACTIONS TOTAL ***			\$1,157.00	\$0.00	\$69.00	\$-69.00		\$-69.00
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/24/2018	RAUPP, VARIOUS	AMERICAN FUNDS PERSHING	0.00	7.84	0.00	7.84	100.0	7.84
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$7.84	\$0.00	\$7.84		\$7.84
*** DIRECT TRANSACTIONS TOTAL ***			\$0.00	\$7.84	\$0.00	\$7.84		\$7.84
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE #251</u>								
01/24/2018	FORT 1AF, VARIOUS	PERSHING	0.00	46.98	0.00	46.98	100.0	46.98
* 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$0.00	\$46.98	\$0.00	\$46.98		\$46.98
<u>BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252</u>								
01/24/2018	FORT 1JR, VARIOUS	AMERICAN FUNDS PERSHING	0.00	13.61	0.00	13.61	100.0	13.61
12/29/2017	MAKRIDES, MARIE	GPB WASTE MANAGEMENT LP	54,000.00	1,890.00	0.00	1,890.00	100.0	1,890.00
* 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS SUBTOTAL *			\$54,000.00	\$1,903.61	\$0.00	\$1,903.61		\$1,903.61

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u>								
01/04/2018	LOHRER, THOMAS	GPB AUTOMOTIVE	50,000.00	875.00	0.00	875.00	100.0	875.00
12/29/2017	RABETZ, WILLIAM	GPB WASTE MANAGEMENT LP	60,000.00	1,050.00	0.00	1,050.00	100.0	1,050.00
01/24/2018	FORT BUM, VARIOUS	PERSHING	0.00	41.08	0.00	41.08	100.0	41.08
* BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU SUBTOTAL *			\$110,000.00	\$1,966.08	\$0.00	\$1,966.08		\$1,966.08
<u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u>								
01/24/2018	FORT G3G, VARIOUS	AMERICAN FUNDS PERSHING	0.00	30.75	0.00	30.75	100.0	30.75
12/31/2017	SHEA III, JOHN	GRIFFIN AMERICAN HEALTHCARE REIT IV	3,000.00	2.65	0.00	2.65	100.0	2.65
* G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF SUBTOTAL *			\$3,000.00	\$33.40	\$0.00	\$33.40		\$33.40
<u>BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255</u>								
01/24/2018	TRAINOR, EDWARD	AMARIN CORP PLC SPONS ADR NEW ISIN#	-30,940.70	232.05	13.50	218.55	100.0	218.55
01/17/2018	PICCIRILLO, ALEXANDER	CHESAPEAKE UTILS CORP COM	-12,211.98	0.00	11.25	-11.25	100.0	-11.25
01/24/2018	TRAINOR, EDWARD	IMRIS INC COM ISIN#CA45322N1050	-8.00	0.00	13.50	-13.50	100.0	-13.50
12/29/2017	BROOKHAVEN 401K	LINCOLN LIFE	347,258.53	173.63	0.00	173.63	100.0	173.63
01/24/2018	TRAINOR, EDWARD	LOCAL CORP COM	-13.00	0.00	13.50	-13.50	100.0	-13.50
01/24/2018	FORT J1D, VARIOUS	PERSHING	0.00	391.29	0.00	391.29	100.0	391.29
01/24/2018	TRAINOR, EDWARD	TOWN SPORTS INTL HLDGS INC COM	-11,802.00	88.51	12.50	76.01	100.0	76.01
01/17/2018	PICCIRILLO, ALEXANDER	UNITED PARCEL SVC INC CL B	13,412.52	0.00	11.25	-11.25	100.0	-11.25
* J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL SUBTOTAL *			\$305,695.37	\$885.48	\$75.50	\$809.98		\$809.98
<u>BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256</u>								
01/24/2018	FORT G0B, VARIOUS	PERSHING	0.00	152.38	0.00	152.38	100.0	152.38
* G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$0.00	\$152.38	\$0.00	\$152.38		\$152.38
<u>BROKER: G0D-JON P/DAN/JEFF FT-FL CIREL/RAUP #258</u>								
01/24/2018	FORT G0D, VARIOUS	PERSHING	0.00	4.11	0.00	4.11	100.0	4.11
01/24/2018	FORT G0D, VARIOUS	PERSHING	0.00	56.13	0.00	56.13	100.0	56.13
* G0D-JON P/DAN/JEFF FT-FL CIREL/RAUP SUBTOTAL *			\$0.00	\$60.24	\$0.00	\$60.24		\$60.24
<u>BROKER: G0E-DAN/JON P/JEFF FT-NY RAUPP/CIRE #259</u>								
01/24/2018	FORT G0E, VARIOUS	PERSHING	0.00	2.15	0.00	2.15	100.0	2.15
* G0E-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$0.00	\$2.15	\$0.00	\$2.15		\$2.15

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI #272</u>								
01/24/2018	FORT R134, VARIOUS	AMERICAN FUNDS PERSHING	0.00	1.35	0.00	1.35	100.0	1.35
* R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI SUBTOTAL *			\$0.00	\$1.35	\$0.00	\$1.35		\$1.35
<u>BROKER: P124-JONP/MARC/DAN/J FT-FL JUNO CIR #273</u>								
12/31/2017	MORONEY JR, JOHN	GRIFFIN CAPITAL ESSENTIAL ASSET II	42,298.70	15.99	0.00	15.99	100.0	15.99
12/31/2017	FLAHERTY, PATRICIA	GRIFFIN CAPITAL ESSENTIAL ASSET II	38,021.30	14.37	0.00	14.37	100.0	14.37
12/31/2017	MORONEY JR, JOHN	GRIFFIN CAPITAL ESSENTIAL ASSET II	2,376.33	0.90	0.00	0.90	100.0	0.90
12/31/2017	FLAHERTY, STEPHEN	GRIFFIN CAPITAL ESSENTIAL ASSET II	95,053.26	35.94	0.00	35.94	100.0	35.94
01/24/2018	FORT P124, VARIOUS	PERSHING	0.00	20.79	0.00	20.79	100.0	20.79
* P124-JONP/MARC/DAN/J FT-FL JUNO CIR SUBTOTAL *			\$177,749.59	\$87.99	\$0.00	\$87.99		\$87.99
<u>BROKER: R138 DAN/JON PAUL FT-RAUPP/CIRELLI #350</u>								
01/11/2018	TRINKLEIN, FRITZ	VANGUARD EMERGING MARKETS GOVERNMEN	64,384.00	0.00	16.50	-16.50	100.0	-16.50
01/11/2018	TRINKLEIN, JOYCE	VANGUARD EMERGING MARKETS GOVERNMEN	11,669.60	0.00	16.50	-16.50	100.0	-16.50
* R138 DAN/JON PAUL FT-RAUPP/CIRELLI SUBTOTAL *			\$76,053.60	\$0.00	\$33.00	\$-33.00		\$-33.00
*** SPLIT TRANSACTIONS TOTAL ***			\$726,498.56	\$5,139.66	\$108.50	\$5,031.16		\$5,031.16
<u>OVERRIDE TRANSACTIONS</u>								
<u>BROKER: MARC LINSKY #10</u>								
01/16/2018	BENDICK, ETHEL	AM FUNDS AMCAP 529A	400.00	20.00	0.00	20.00	90.0	0.34
01/16/2018	BENDICK, ETHEL	AM FUNDS BOND FUND OF AMERICA 529A	300.00	9.00	0.00	9.00	90.0	0.15
01/16/2018	BENDICK, ETHEL	AM FUNDS CAPITAL INCOME BUILDER 529	300.00	15.00	0.00	15.00	90.0	0.26
* MARC LINSKY SUBTOTAL *			\$1,000.00	\$44.00	\$0.00	\$44.00		\$0.75
<u>BROKER: JEFFREY KIESNOSKI #243</u>								
01/24/2018	KIESNOSKI, VARIOUS	AMERICAN FUNDS PERSHING	0.00	52.27	0.00	52.27	94.0	3.14
* JEFFREY KIESNOSKI SUBTOTAL *			\$0.00	\$52.27	\$0.00	\$52.27		\$3.14
<u>BROKER: ROY PFLEGER II #244</u>								
01/24/2018	PFLEGER, VARIOUS	AMERICAN FUNDS PERSHING	0.00	1.35	0.00	1.35	75.0	0.17
* ROY PFLEGER II SUBTOTAL *			\$0.00	\$1.35	\$0.00	\$1.35		\$0.17

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JON PAUL CIRELLI #246</u>								
01/24/2018	CIRELLI, VARIOUS	AMERICAN BEACON FUNDS	0.00	193.70	0.00	193.70	95.0	9.69
01/08/2018	CIRELLI, VARIOUS	AMERICAN FUNDS 8504AFRKD	0.00	258.13	0.00	258.13	95.0	12.91
12/31/2017	JARDIN, DEAN	GRIFFIN CAPITAL ESSENTIAL ASSET II	95,053.26	239.59	0.00	239.59	95.0	11.98
* JON PAUL CIRELLI SUBTOTAL *			\$95,053.26	\$691.42	\$0.00	\$691.42		\$34.58
<u>BROKER: ALAN LICHTENSTEIN #249</u>								
01/24/2018	LICHTENSTEIN, VARIOUS	AMERICAN FUNDS PERSHING	0.00	61.36	0.00	61.36	75.0	7.67
12/31/2017	RUSSO REV TR, EUGENIE	GRIFFIN AMERICAN HEALTHCARE REIT IV	10,000.00	25.21	0.00	25.21	75.0	3.15
* ALAN LICHTENSTEIN SUBTOTAL *			\$10,000.00	\$86.57	\$0.00	\$86.57		\$10.82
<u>BROKER: JOHN KLETT #250</u>								
01/19/2018	EGAN, SUSAN	JPMORGAN LARGE-CAP GROWTH FUND CLAS	6,000.00	60.00	22.00	38.00	75.0	4.75
01/22/2018	SANDUSKY, JOHN	JPMORGAN LARGE-CAP GROWTH FUND CLAS	14,500.00	145.00	22.00	123.00	75.0	15.38
* JOHN KLETT SUBTOTAL *			\$20,500.00	\$205.00	\$44.00	\$161.00		\$20.13
<u>BROKER: MARC LINSKY #263</u>								
01/17/2018	LINSKY, VARIOUS	TRANSAMERICA	735.00	3.68	0.00	3.68	90.0	0.06
01/08/2018	KROSNOWSKI SR, THOMAS	ALLIANCEBERNSTEIN BALANCED SHARES A	0.00	0.36	0.00	0.36	90.0	0.01
01/16/2018	BENFER, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	225.00	11.25	0.00	11.25	90.0	0.19
01/24/2018	LINSKY, VARIOUS	AMERICAN FUNDS PERSHING	0.00	8,681.98	0.00	8,681.98	90.0	147.59
01/24/2018	LINSKY, VARIOUS	AMERICAN FUNDS PERSHING	0.00	144.39	0.00	144.39	90.0	2.45
01/02/2018	LINSKY, MARC	BRIGHTHOUSE	37,181.64	92.95	0.00	92.95	90.0	1.58
01/02/2018	FLYNN, JOHN	BRIGHTHOUSE	116,303.08	290.76	0.00	290.76	90.0	4.94
01/02/2018	OTT, THOMAS	COTTONWOOD RESIDENTIAL 2016 PREFR'D	25,000.00	1,750.00	0.00	1,750.00	90.0	29.75
01/11/2018	FARBMAN, ERIC	COTTONWOOD RESIDENTIAL 2016 PREFR'D	100,000.00	7,000.00	0.00	7,000.00	90.0	119.00
01/05/2018	KROSNOWSKI, LISA	ING PREMIUM PLUS	36,686.80	68.79	0.00	68.79	90.0	1.17
01/03/2018	PISANI, CARLA	LINCOLN LIFE	541.00	25.70	0.00	25.70	90.0	0.44
01/03/2018	PISANI, NICHOLAS	LINCOLN LIFE	250.00	10.00	0.00	10.00	90.0	0.17
01/02/2018	CARROLLTON, STEVE	MET LIFE 10922M105	67,231.87	84.04	0.00	84.04	90.0	1.43
01/02/2018	GARAFOLA, MICHAEL	MET LIFE 10922M303	275,358.22	344.20	0.00	344.20	90.0	5.85
01/09/2018	FARBMAN, ERIC	METLIFE SHIELD LEVEL SELECT 6 YR	100,000.00	6,000.00	0.00	6,000.00	90.0	102.00
01/25/2018	PRATOLA, PRESTON	NUSTAR ENERGY L P COM UNITS REPSTG	17,555.20	22.00	22.75	-0.75	90.0	-0.01
01/03/2018	HAMMOND, HAROLD	PAC LIFE INNOVATIVE SELECT	0.00	84.55	0.00	84.55	90.0	1.44
01/10/2018	MORTON, MARTHA	PAC LIFE INNOVATIVE SELECT	0.00	56.85	0.00	56.85	90.0	0.97
01/12/2018	HALL, GLORIA	PAC LIFE INNOVATIVE SELECT	0.00	223.33	0.00	223.33	90.0	3.80

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC LINSKY #263</u>								
01/25/2018	PRATOLA, PRESTON	PPL CORPORATION	15,993.30	22.00	22.75	-0.75	90.0	-0.01
01/02/2018	TRICHON, DOROTHY	PUTNAM AMERICAN GOVT INCOME-A	0.00	4.06	0.00	4.06	90.0	0.07
01/02/2018	TRICHON, DOROTHY	PUTNAM AMERICAN GOVT INCOME-A	0.00	6.24	0.00	6.24	90.0	0.11
01/25/2018	PRATOLA, PRESTON	WINDSTREAM HLDGS INC COM NEW	3,459.00	22.00	25.00	-3.00	90.0	-0.05
* MARC LINSKY SUBTOTAL *			\$796,520.11	\$24,949.13	\$70.50	\$24,878.63		\$422.95
<u>BROKER: ANDREW (ANDREAS) ZIGOURAS #282</u>								
01/16/2018	CHEN, KENG	AVID TECHNOLOGY INC	-16,800.00	500.60	26.20	474.40	90.0	16.13
* ANDREW (ANDREAS) ZIGOURAS SUBTOTAL *			\$-16,800.00	\$500.60	\$26.20	\$474.40		\$16.13
<u>BROKER: DANIEL CHARLEY #338</u>								
12/31/2017	PREMIER IMMEDIATE ME	VOYA RETIREMENT & ANNUITY	0.00	20.60	0.00	20.60	90.0	0.35
* DANIEL CHARLEY SUBTOTAL *			\$0.00	\$20.60	\$0.00	\$20.60		\$0.35
*** OVERRIDE TRANSACTIONS TOTAL ***			\$906,273.37	\$26,550.94	\$140.70	\$26,410.24		\$509.02

ADJUSTMENTS

01/31/2018	*FEDERAL EXPRESS: 6-058-91957 1/17/	0.00	-17.62
01/31/2018	*MISC: 1/15/18 OVERNIGHT FEE	0.00	-10.00
01/31/2018	*MISC: C FULMER, A LEEDS K141	0.00	540.00
01/31/2018	*MISC: C FULMER, A LEEDS C141	0.00	540.00
01/31/2018	*MISC: MISC ROY, AFLAC, 1031DST	0.00	1,326.00
01/31/2018	*MISC: ROY AFLAC 1031DST	0.00	1,126.00
01/31/2018	*PERSHING: PERSHING MARKUP	0.00	90.00
01/31/2018	*PERSHING: PERSHING MARKUP	0.00	90.00
01/31/2018	*PERSHING: PERSHING MARKUP	0.00	45.00
01/31/2018	*SPLIT PAYOUT/OVERRIDE: BRANCH OVER	0.00	82.11
01/31/2018	*SPLIT PAYOUT/OVERRIDE: BRANCH OVER	0.00	14.95
01/31/2018	*SPLIT PAYOUT/OVERRIDE: OVERRIDES A	0.00	10.31
01/31/2018	*SPLIT PAYOUT/OVERRIDE: OVERRIDES A	0.00	4.03
01/31/2018	*SPLIT PAYOUT/OVERRIDE: OVERRIDES A	0.00	0.35
01/31/2018	*SPLIT PAYOUT/OVERRIDE: OVERRIDES A	0.00	3.52
01/31/2018	*SPLIT PAYOUT/OVERRIDE: OVERRIDES A	0.00	4.21

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<u>ADJUSTMENTS</u>								
01/31/2018		*SPLIT PAYOUT/OVERRIDE: OVERRIDES P	0.00					485.38
01/31/2018		*SPLIT PAYOUT/OVERRIDE: OVERRIDES P	0.00					4.05
01/31/2018		*SPLIT PAYOUT/OVERRIDE: OVERRIDES P	0.00					63.18
01/31/2018		*SPLIT PAYOUT/OVERRIDE: OVERRIDES P	0.00					6.00
01/31/2018		*SPLIT PAYOUT/OVERRIDE: OVERRIDES P	0.00					4.18
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$4,411.65

BROKER COMMISSION TOTALS

Broker Transactions	\$-61.16
Split Transactions	\$5,031.16
Override Transactions	\$509.02
Adjustments	\$4,411.65
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$9,890.67
Year-to-date Gross	\$58,988.07
Year-to-date Earnings	\$60,778.65

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