



COMMISSION STATEMENT

October 22, 2018

RICHARD PASCALE
321 Grover Avenue North
Massapequa Park, NY 11762

BROKER #: 981
BRANCH #01033 - 33 - PASCALE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
10/14/2018	***-**-5089 - LEVINSON, ROBERT	PACIFIC LIFE ABRB DTCC	1,000.00	15.00	0.00	15.00	90.0	13.50
	ACCOUNT #: VP71054510	BUY 0 Units @0.0000						
10/15/2018	***-**-5089 - LEVINSON, ROBERT	PACIFIC LIFE ABRB DTCC	165.33	1.66	0.00	1.66	90.0	1.49
	ACCOUNT #: VP71058060	BUY 0 Units @0.0000						
10/15/2018	***-**-5089 - LEVINSON, ROBERT	PACIFIC LIFE ABRB DTCC	113.58	1.14	0.00	1.14	90.0	1.03
	ACCOUNT #: VP71058070	BUY 0 Units @0.0000						
10/15/2018	***-**-5089 - LEVINSON, ROBERT	PACIFIC LIFE ABRB DTCC	164.42	1.65	0.00	1.65	90.0	1.49
	ACCOUNT #: VP71058050	BUY 0 Units @0.0000						
10/15/2018	***-**-5089 - LEVINSON, ROBERT	PACIFIC LIFE ABRB DTCC	155.75	1.56	0.00	1.56	90.0	1.40
	ACCOUNT #: VP71058080	BUY 0 Units @0.0000						
10/18/2018	***-**-0651 - NOSTRAMO, LORI	PACIFIC LIFE ABRB DTCC	102.00	1.02	0.00	1.02	90.0	0.92
	ACCOUNT #: VP71057790	BUY 0 Units @0.0000						
10/19/2018	***-**-6385 - MALONEY, DONNA	PACIFIC LIFE ABRB DTCC	51.00	0.39	0.00	0.39	90.0	0.35
	ACCOUNT #: VP71053550	BUY 0 Units @0.0000						
10/19/2018	***-**-6385 - MALONEY, DONNA	PACIFIC LIFE ABRB DTCC	51.00	0.39	0.00	0.39	90.0	0.35
	ACCOUNT #: VP71053550	BUY 0 Units @0.0000						
10/15/2018	***-**-8751 - QUEZADA, RITA	PACIFIC LIFE VA DTCC RENEWALS	150.00	0.38	0.00	0.38	90.0	0.34
	ACCOUNT #: VP71049780	BUY 0 Units @0.0000						
10/15/2018	***-**-8751 - QUEZADA, RITA	PACIFIC LIFE VA DTCC RENEWALS	150.00	0.75	0.00	0.75	90.0	0.68
	ACCOUNT #: VP71049780	BUY 0 Units @0.0000						
10/15/2018	***-**-8751 - QUEZADA, RITA	PACIFIC LIFE VA DTCC RENEWALS	150.00	0.38	0.00	0.38	90.0	0.34
	ACCOUNT #: VP71049780	BUY 0 Units @0.0000						
10/17/2018	***-**-8166 - GANZ, CARY	PACIFIC LIFE VA DTCC RENEWALS	1,600.00	8.00	0.00	8.00	90.0	7.20
	ACCOUNT #: VP71031550	BUY 0 Units @0.0000						
10/17/2018	***-**-8166 - GANZ, CARY	PACIFIC LIFE VA DTCC RENEWALS	1,600.00	8.00	0.00	8.00	90.0	7.20
	ACCOUNT #: VP71031550	BUY 0 Units @0.0000						
10/14/2018	***-**-7172 - WINBURN, WILL	PACIFIC LIFE VA TRAILS DTCC	180.00	1.80	0.00	1.80	90.0	1.62
	ACCOUNT #: VP65806640	BUY 0 Units @0.0000						
10/14/2018	***-**-7172 - WINBURN, WILL	PACIFIC LIFE VA TRAILS DTCC	180.00	1.80	0.00	1.80	90.0	1.62
	ACCOUNT #: VP65806640	BUY 0 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$5,813.08	\$43.92	\$0.00	\$43.92		\$39.53



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/01/2018	***-**-728I - GOMES, FLORBELA	AIM MODERATE ALLOCATION - CLASS A	0.00	0.26	0.00	0.26	90.0	0.23
	ACCOUNT #: 02500057319	BUY 0 Units @0.0000						
10/22/2018	***-**-725P - KIM, JOHN	COLLEGEBOUND 529 TRAILS	0.00	0.05	0.00	0.05	90.0	0.05
		BUY 0 Units @0.0000						
10/22/2018	***-**-6754 - SCISCENTE,	COLLEGEBOUND 529 TRAILS	0.00	0.76	0.00	0.76	90.0	0.68
	ACCOUNT #: 81650090801	BUY 0 Units @0.0000						
10/01/2018	***-**-728I - GOMES, FLORBELA	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	0.22	0.00	0.22	90.0	0.20
	ACCOUNT #: 02500057319	BUY 0 Units @0.0000						
10/01/2018	***-**-728I - GOMES, FLORBELA	INVESCO INCOME ALLOCATION FUND - CL	0.00	0.28	0.00	0.28	90.0	0.25
	ACCOUNT #: 02500057319	BUY 0 Units @0.0000						
10/22/2018	***-**-1729 - PRICE, LOUIS	NATIXIS FUNDS TRAILS	0.00	5.12	0.00	5.12	90.0	4.61
		BUY 0 Units @0.0000						
10/22/2018	***-**-55IS - DURAS, EDWARD	PIMCO MF TRAILS	0.00	3.54	0.00	3.54	90.0	3.19
		BUY 0 Units @0.0000						
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$10.23	\$0.00	\$10.23		\$9.21
	*** BROKER TRANSACTIONS TOTAL ***		\$5,813.08	\$54.15	\$0.00	\$54.15		\$48.74

SPLIT TRANSACTIONS

BROKER: JEFFREY MORRISON

10/16/2018	***-**-450I - ROSENBLATT, MARK	AGNC INVT CORP COM UNSOLICITED ORDE	179.34	19.00	12.00	7.00	90.0	6.30
	ACCOUNT #: LSR012160	SELL 10 Units @17.9340						
10/16/2018	***-**-581R - HOVSEPIAN, ARDA	AURORA CANNABIS INC COM NPV ISIN #C	1,131.00	24.37	9.00	15.37	90.0	13.83
	ACCOUNT #: LSR009512	BUY 100 Units @11.3100						
10/22/2018	***-**-75IN - WATSON, SANDRA	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	1.18	0.00	1.18	90.0	1.06
		BUY 0 Units @0.0000						
10/22/2018	***-**-24IN - BONGORT,	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	1.76	0.00	1.76	90.0	1.58
	ACCOUNT #: 91119450	BUY 0 Units @0.0000						
10/01/2018	***-**-443P - SIEGEL, JILL	INVESCO STRUCTURED CORE FUND -CLASS	0.00	2.38	0.00	2.38	90.0	2.14
	ACCOUNT #: 05037382511	BUY 0 Units @0.0000						
10/15/2018	***-**-8599 - COHEN, STUART	PACIFIC LIFE EXCE 5A DTCC	500.00	5.00	0.00	5.00	90.0	4.50
	ACCOUNT #: VP65920220	BUY 0 Units @0.0000						



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<u>SPLIT TRANSACTIONS (continued)</u>								
<u>BROKER: JEFFREY MORRISON (continued)</u>								
10/15/2018	***-**-9012 - GIUFFRE, RICHARD	PACIFIC LIFE EXEC II DTCC	250.00	1.25	0.00	1.25	90.0	1.13
	ACCOUNT #: VP65345830	BUY 0 Units @0.0000						
10/15/2018	***-**-9012 - GIUFFRE, RICHARD	PACIFIC LIFE EXEC II DTCC	250.00	1.25	0.00	1.25	90.0	1.13
	ACCOUNT #: VP65345830	BUY 0 Units @0.0000						
10/16/2018	***-**-6017 - DILL, ROWAN	PACIFIC LIFE EXEC II DTCC	210.00	1.05	0.00	1.05	90.0	0.95
	ACCOUNT #: VP65524490	BUY 0 Units @0.0000						
10/16/2018	***-**-6017 - DILL, ROWAN	PACIFIC LIFE EXEC II DTCC	210.00	1.05	0.00	1.05	90.0	0.95
	ACCOUNT #: VP65524490	BUY 0 Units @0.0000						
* JEFFREY MORRISON SUBTOTAL *			\$2,730.34	\$58.29	\$21.00	\$37.29		\$33.57
*** SPLIT TRANSACTIONS TOTAL ***			\$2,730.34	\$58.29	\$21.00	\$37.29		\$33.57

<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ALAN FISHMAN</u>								
10/01/2018	***-**-305P - BLUMEN, ROBERT	AIM SMALL CAP GROWTH FUND - CLASS A	0.00	127.87	0.00	127.87	7.5	9.59
	ACCOUNT #: 05056135477	BUY 0 Units @0.0000						
10/01/2018	***-**-19IN - BLUMEN, IAN	AIM SMALL CAP GROWTH FUND - CLASS A	0.00	8.81	0.00	8.81	7.5	0.66
	ACCOUNT #: 05066338392	BUY 0 Units @0.0000						
10/10/2018	***-**-19IN - BLUMEN, IAN	AIM SMALL CAP GROWTH FUND - CLASS A	25.00	1.25	0.00	1.25	7.5	0.09
	ACCOUNT #: 05066338392	BUY 1 Units @41.3300						
10/01/2018	***-**-305P - BLUMEN, ROBERT	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	83.72	0.00	83.72	7.5	6.28
	ACCOUNT #: 05056135477	BUY 0 Units @0.0000						
10/01/2018	***-**-305P - BLUMEN, ROBERT	INVESCO VAN KAMPEN MID CAP GROWTH A	0.00	96.70	0.00	96.70	7.5	7.25
	ACCOUNT #: 05056135477	BUY 0 Units @0.0000						
* ALAN FISHMAN SUBTOTAL *			\$25.00	\$318.35	\$0.00	\$318.35		\$23.87
*** OVERRIDE TRANSACTIONS TOTAL ***			\$25.00	\$318.35	\$0.00	\$318.35		\$23.87

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				GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
BROKER COMMISSION TOTALS								
						Broker Transactions	\$48.74	
						Split Transactions	\$33.57	
						Override Transactions	\$23.87	
						Adjustments	\$0.00	
						Payroll Draw	\$0.00	
						Base Salary	\$0.00	
						Prior Period Balance	\$0.00	
						FINRA Assessment	\$0.00	
						SIPC Assessment	\$0.00	
						Net Commission Earned	\$106.18	
						Year-to-date Earnings	\$56,273.97	