

COMMISSION STATEMENT

November 30, 2018

WILLIAM DIPENICE
110 SOUTH BUCKHOUT STREET

BROKER #: A08 W15
BRANCH: FULCRUM GROUP

IRVINGTON, NY 10533

COMMISSION STATEMENT for WILLIAM DIPENICE

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION | |
|-------------------------------------------|----------|-------------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|----------|----------------------|----------|
| BROKER TRANSACTIONS | | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | | | |
| 11/08/2018 | 75502052 | DIPENICE, WILLIAM | DREYFUS STRATEGIC VALUE FUND CL I | S | 1,000.00 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 11/08/2018 | 75502052 | DIPENICE, WILLIAM | MFS SER TR IX MID CAP VALUE FD CL I | S | 1,000.00 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 11/08/2018 | 75502052 | DIPENICE, WILLIAM | VANGUARD SPECIALIZED PORTFOLIOS MET S | | 2,488.36 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| * MUTUAL FUNDS SUBTOTAL * | | | | | \$4,488.36 | \$0.00 | \$0.00 | \$0.00 | | \$0.00 |
| PRODUCT CATEGORY: STOCKS | | | | | | | | | | |
| 11/12/2018 | 75502049 | MORRIS, MICHAEL | UNITEDHEALTH GROUP INC | S | 1,641.75 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 10/31/2018 | 75502050 | DIPENICE, WILLIAM | FACEBOOK INC CL A | B | 929.73 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 11/02/2018 | 75502050 | DIPENICE, WILLIAM | UNIVERSAL DISPLAY CORPORATION | B | 984.92 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 11/07/2018 | 75502050 | DIPENICE, WILLIAM | BLACKROCK INC | B | 1,273.23 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 11/15/2018 | 75502050 | DIPENICE, WILLIAM | CHENIERE ENERGY INC COM | B | 766.01 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 11/20/2018 | 75502050 | DIPENICE, WILLIAM | EQUIFAX INC | S | 2,106.53 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 11/21/2018 | 75502050 | DIPENICE, WILLIAM | AMERICAN TOWER CORPORATION REIT | S | 799.37 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| * STOCKS SUBTOTAL * | | | | | \$8,501.54 | \$0.00 | \$0.00 | \$0.00 | | \$0.00 |
| PRODUCT CATEGORY: RIA | | | | | | | | | | |
| 10/01/2018 | 75502048 | FERRUZZI, KENNETH | FAS FEES PT. II/III | B | -630.92 | 105.15 | 0.00 | 105.15 | 80.0 | 84.12 |
| 10/01/2018 | 75502049 | MORRIS, MICHAEL | FAS FEES PT. II/III | B | -699.63 | 146.83 | 0.00 | 146.83 | 80.0 | 117.46 |
| 10/01/2018 | 75502050 | DIPENICE, WILLIAM | FAS FEES PT. II/III | B | -408.76 | 68.12 | 0.00 | 68.12 | 80.0 | 54.50 |
| 10/01/2018 | 75502052 | DIPENICE, WILLIAM | FAS FEES PT. II/III | B | -116.19 | 29.04 | 0.00 | 29.04 | 80.0 | 23.23 |
| 10/01/2018 | 75502083 | MAISELL, ADRIANE | FAS FEES PT. II/III | B | -565.35 | 94.22 | 0.00 | 94.22 | 80.0 | 75.38 |
| * RIA SUBTOTAL * | | | | | \$-2,420.85 | \$443.36 | \$0.00 | \$443.36 | | \$354.69 |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | | | |
| 11/30/2018 | | | FEE COUNT - 1 | | 0.00 | 0.12 | 0.00 | 0.12 | 80.0 | 0.00 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | | \$0.00 | \$0.12 | \$0.00 | \$0.12 | | \$0.00 |
| *** BROKER TRANSACTIONS TOTAL *** | | | | | \$10,569.05 | \$443.48 | \$0.00 | \$443.48 | | \$354.69 |

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|---------------------------|--------|----------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| ADJUSTMENTS | | | | | | | | | |
| 11/30/2018 | | COMMISSION INCOME: RIA 75502051 | | 0.00 | 0.00 | 0.00 | 0.00 | | 172.66 |
| 11/30/2018 | | E & O INSURANCE: E & O INSURANCE | | 0.00 | 0.00 | 0.00 | 0.00 | | -250.00 |
| 11/30/2018 | | OTHER: 360 OFFICE | | 0.00 | 0.00 | 0.00 | 0.00 | | -8.00 |
| 11/30/2018 | | OTHER: COMPLIANCE AND TECHNOLOGY | | 0.00 | 0.00 | 0.00 | 0.00 | | -20.00 |
| 11/30/2018 | | OTHER: RBC- WEALTH STATION | | 0.00 | 0.00 | 0.00 | 0.00 | | -25.00 |
| *** ADJUSTMENTS TOTAL *** | | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-130.34 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-----------|
| Broker Transactions | \$354.69 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-130.34 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$-0.55 |
| SIPC Assessment | \$-1.11 |

| | |
|-----------------------|------------|
| Check Amount | \$222.69 |
| Year-to-date Earnings | \$2,251.88 |