



COMMISSION STATEMENT

October 15, 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: MUTUAL FUNDS</u> | | | | | | | | |
| 10/05/2018 | ***-**-7975 - VAGLIO, JOSEPH | FA 529 COLLEGE PORT-CL C | 250.00 | 1.25 | 0.00 | 1.25 | 90.0 | 1.13 |
| | ACCOUNT #: 00701694614 | BUY 16 Units @15.2100 | | | | | | |
| | | * MUTUAL FUNDS SUBTOTAL * | \$250.00 | \$1.25 | \$0.00 | \$1.25 | | \$1.13 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 10/15/2018 | ***-**-1994 - ATA FREIGHT LINE | JOHN HANCOCK VA TRAILS | 0.00 | 13.08 | 0.00 | 13.08 | 90.0 | 11.77 |
| | | BUY 1 Units @0.0000 | | | | | | |
| 10/08/2018 | ***-**-0205 - RESK, 10 | PACIFIC LIFE ABRB DTCC | 9.00 | 0.09 | 0.00 | 0.09 | 90.0 | 0.08 |
| | ACCOUNT #: VP71054550 | BUY 0 Units @0.0000 | | | | | | |
| 10/08/2018 | ***-**-0205 - RESK, 10 | PACIFIC LIFE ABRB DTCC | 91.00 | 0.91 | 0.00 | 0.91 | 90.0 | 0.82 |
| | ACCOUNT #: VP71054550 | BUY 0 Units @0.0000 | | | | | | |
| 10/11/2018 | ***-**-285P - MORMINO, STEVE | PACIFIC LIFE ABRB DTCC | 181.67 | 1.82 | 0.00 | 1.82 | 90.0 | 1.64 |
| | ACCOUNT #: VP71053490 | BUY 0 Units @0.0000 | | | | | | |
| 10/12/2018 | ***-**-1539 - SPADARO, VICTOR | PACIFIC LIFE ABRB DTCC | 400.00 | 2.00 | 0.00 | 2.00 | 90.0 | 1.80 |
| | ACCOUNT #: VP71039250 | BUY 0 Units @0.0000 | | | | | | |
| 10/06/2018 | ***-**-0286 - STRAUDEL, | PACIFIC LIFE SE5-NYB DTCC | 250.00 | 3.75 | 0.00 | 3.75 | 90.0 | 3.38 |
| | ACCOUNT #: VP71067620 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3981 - HALL, WAYNE | PACIFIC LIFE VA DTCC RENEWALS | 75.00 | 0.38 | 0.00 | 0.38 | 90.0 | 0.34 |
| | ACCOUNT #: VP71050690 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3981 - HALL, WAYNE | PACIFIC LIFE VA DTCC RENEWALS | 75.00 | 0.38 | 0.00 | 0.38 | 90.0 | 0.34 |
| | ACCOUNT #: VP71050690 | BUY 0 Units @0.0000 | | | | | | |
| 10/02/2018 | ***-**-7948 - GEOGHEGAN, JOHN | PACIFIC LIFE VA DTCC RENEWALS | 200.00 | 1.50 | 0.00 | 1.50 | 90.0 | 1.35 |
| | ACCOUNT #: VP71049160 | BUY 0 Units @0.0000 | | | | | | |
| 10/02/2018 | ***-**-7948 - GEOGHEGAN, JOHN | PACIFIC LIFE VA DTCC RENEWALS | 200.00 | 1.13 | 0.00 | 1.13 | 90.0 | 1.02 |
| | ACCOUNT #: VP71049160 | BUY 0 Units @0.0000 | | | | | | |
| 10/02/2018 | ***-**-7948 - GEOGHEGAN, JOHN | PACIFIC LIFE VA DTCC RENEWALS | 200.00 | 0.38 | 0.00 | 0.38 | 90.0 | 0.34 |
| | ACCOUNT #: VP71049160 | BUY 0 Units @0.0000 | | | | | | |
| | | * VARIABLE ANNUITIES SUBTOTAL * | \$1,681.67 | \$25.42 | \$0.00 | \$25.42 | | \$22.88 |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS (continued)</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: 529 PLAN</u> | | | | | | | | |
| 10/15/2018 | ***-**-5723 - PONTURO, ACCOUNT #: 77161355101 | NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000 | 189.50 | 4.76 | 0.00 | 4.76 | 90.0 | 4.28 |
| 10/15/2018 | ***-**-815P - WILSON, JOHN | NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000 | 95.47 | 2.03 | 0.00 | 2.03 | 90.0 | 1.83 |
| * 529 PLAN SUBTOTAL * | | | \$284.97 | \$6.79 | \$0.00 | \$6.79 | | \$6.11 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 10/02/2018 | ***-**-723I - PONTURO, ACCOUNT #: 01228023865 | ALLIANZ NFJ DIVIDEND VALUE FUND CLA BUY 0 Units @0.0000 | 0.00 | 5.40 | 0.00 | 5.40 | 90.0 | 4.86 |
| 10/02/2018 | ***-**-205I - CHOPRA, ANUBHAN ACCOUNT #: 01239692757 | ALLIANZ NFJ INTERNATIONAL FUND CLAS BUY 0 Units @0.0000 | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.69 |
| 10/02/2018 | ***-**-556I - MAHMOOD, FAIZA ACCOUNT #: 01243609219 | ALLIANZ NFJ INTERNATIONAL FUND CLAS BUY 0 Units @0.0000 | 0.00 | 1.38 | 0.00 | 1.38 | 90.0 | 1.24 |
| 10/02/2018 | ***-**-355I - DURAS, EDWARD ACCOUNT #: 01220369696 | ALLIANZ NFJ LARGE CAP VALUE FUND CL BUY 0 Units @0.0000 | 0.00 | 3.02 | 0.00 | 3.02 | 90.0 | 2.72 |
| 10/02/2018 | ***-**-355I - DURAS, EDWARD ACCOUNT #: 01220369696 | ALLIANZ OCC GROWTH FUND CLASS A BUY 0 Units @0.0000 | 0.00 | 7.40 | 0.00 | 7.40 | 90.0 | 6.66 |
| 10/02/2018 | ***-**-941I - NICOLOSI, GIOVAN ACCOUNT #: 01238084329 | ALLIANZ OCC GROWTH FUND CLASS A BUY 0 Units @0.0000 | 0.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.95 |
| 10/02/2018 | ***-**-205I - CHOPRA, ANUBHAN ACCOUNT #: 01239692757 | ALLIANZ OCC GROWTH FUND CLASS A BUY 0 Units @0.0000 | 0.00 | 2.53 | 0.00 | 2.53 | 90.0 | 2.28 |
| 10/02/2018 | ***-**-355I - DURAS, EDWARD ACCOUNT #: 01220369696 | ALLIANZ RCM GLOBAL SMALL-CAP FUND C BUY 0 Units @0.0000 | 0.00 | 6.71 | 0.00 | 6.71 | 90.0 | 6.04 |
| 10/02/2018 | ***-**-723I - PONTURO, ACCOUNT #: 01228023865 | ALLIANZ RCM GLOBAL SMALL-CAP FUND C BUY 0 Units @0.0000 | 0.00 | 6.25 | 0.00 | 6.25 | 90.0 | 5.63 |
| 10/05/2018 | ***-**-5389 - POWER, KATHLEEN ACCOUNT #: 01467261812 | FA 529 COLLEGE PORT-CL A BUY 0 Units @0.0000 | 0.00 | 0.06 | 0.00 | 0.06 | 90.0 | 0.05 |
| 10/05/2018 | ***-**-5389 - POWER, KATHLEEN ACCOUNT #: 01467261812 | FA 529 PORT 2019-CL A BUY 0 Units @0.0000 | 0.00 | 2.43 | 0.00 | 2.43 | 90.0 | 2.19 |
| 10/05/2018 | ***-**-5723 - PONTURO, ACCOUNT #: 00701164063 | FA 529 PORT 2022-CL A BUY 0 Units @0.0000 | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.70 |
| 10/05/2018 | ***-**-5723 - PONTURO, ACCOUNT #: 00701164071 | FA 529 PORT 2022-CL A BUY 0 Units @0.0000 | 0.00 | 0.79 | 0.00 | 0.79 | 90.0 | 0.71 |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/05/2018 | ***-**-513I - KESSEL, SHAI | FIDELITY 31618H580 | 0.00 | 1.30 | 0.00 | 1.30 | 90.0 | 1.17 |
| | ACCOUNT #: 01429599580 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-513I - KESSEL, SHAI | FIDELITY ADV BIOTECHNOLOGY-CL A | 0.00 | 2.42 | 0.00 | 2.42 | 90.0 | 2.18 |
| | ACCOUNT #: 01429599580 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-9173 - GORDON, DANIEL | FIDELITY ADV EQUITY INCOME CL A | 0.00 | 0.19 | 0.00 | 0.19 | 90.0 | 0.17 |
| | ACCOUNT #: 00535143713 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-885I - TOMASIEWICZ, | FIDELITY ADV EQUITY VALUE CL A | 0.00 | 1.60 | 0.00 | 1.60 | 90.0 | 1.44 |
| | ACCOUNT #: 00700995913 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-04IR - DEVECCHIS, ROSE | FIDELITY ADV FREEDOM 2035-CL A | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.47 |
| | ACCOUNT #: 01438976696 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-513I - KESSEL, SHAI | FIDELITY ADV INTL REAL ESTATE-CL A | 0.00 | 1.52 | 0.00 | 1.52 | 90.0 | 1.37 |
| | ACCOUNT #: 01429599580 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-9173 - GORDON, DANIEL | FIDELITY ADV INVESTMENT GRADE BOND- | 0.00 | 0.22 | 0.00 | 0.22 | 90.0 | 0.20 |
| | ACCOUNT #: 00535143713 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-513I - KESSEL, SHAI | FIDELITY ADVISOR REAL ESTATE FUND C | 0.00 | 1.54 | 0.00 | 1.54 | 90.0 | 1.39 |
| | ACCOUNT #: 01429599580 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-9173 - GORDON, DANIEL | FIDELITY ADVISOR STK SELECTOR ALL C | 0.00 | 0.12 | 0.00 | 0.12 | 90.0 | 0.11 |
| | ACCOUNT #: 00535143713 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-5723 - PONTURO, | NEW YORK 529 TRAILS | 0.00 | 3.88 | 0.00 | 3.88 | 90.0 | 3.49 |
| | ACCOUNT #: 77161355101 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-545P - FELLIN, DIANE | NEW YORK 529 TRAILS | 0.00 | 0.13 | 0.00 | 0.13 | 90.0 | 0.12 |
| | ACCOUNT #: 77169971001 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-465P - KALANTZOPOULOS, | NEW YORK 529 TRAILS | 0.00 | 1.20 | 0.00 | 1.20 | 90.0 | 1.08 |
| | ACCOUNT #: 77280070001 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-623I - LEIBOWITZ, IRWIN | NEW YORK 529 TRAILS | 0.00 | 0.40 | 0.00 | 0.40 | 90.0 | 0.36 |
| | ACCOUNT #: 77287712601 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-895P - POWER, KATHLEEN | NEW YORK 529 TRAILS | 0.00 | 0.26 | 0.00 | 0.26 | 90.0 | 0.23 |
| | ACCOUNT #: 77321173601 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-775P - RHODES, EDWARD | NEW YORK 529 TRAILS | 0.00 | 0.30 | 0.00 | 0.30 | 90.0 | 0.27 |
| | ACCOUNT #: 77426669701 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-515P - PASSARO, MARY | NEW YORK 529 TRAILS | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.47 |
| | ACCOUNT #: 77507742202 | BUY 0 Units @0.0000 | | | | | | |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/15/2018 | ***-**-815P - WILSON, JOHN | NEW YORK 529 TRAILS BUY 0 Units @0.0000 | 0.00 | 0.99 | 0.00 | 0.99 | 90.0 | 0.89 |
| 10/02/2018 | ***-**-205I - CHOPRA, ANUBHAN ACCOUNT #: 01239692757 | PIM 018919704 BUY 0 Units @0.0000 | 0.00 | 1.77 | 0.00 | 1.77 | 90.0 | 1.59 |
| 10/02/2018 | ***-**-941I - NICOLOSI, GIOVAN ACCOUNT #: 01238084329 | PIMCO 01880B454 BUY 0 Units @0.0000 | 0.00 | 0.25 | 0.00 | 0.25 | 90.0 | 0.23 |
| 10/02/2018 | ***-**-941I - NICOLOSI, GIOVAN ACCOUNT #: 01238084329 | PIMCO 01880B603 BUY 0 Units @0.0000 | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.48 |
| 10/02/2018 | ***-**-205I - CHOPRA, ANUBHAN ACCOUNT #: 01239692757 | PIMCO 01880B603 BUY 0 Units @0.0000 | 0.00 | 0.20 | 0.00 | 0.20 | 90.0 | 0.18 |
| 10/02/2018 | ***-**-941I - NICOLOSI, GIOVAN ACCOUNT #: 01238084329 | PIMCO 01900C615 BUY 0 Units @0.0000 | 0.00 | 0.25 | 0.00 | 0.25 | 90.0 | 0.23 |
| 10/02/2018 | ***-**-205I - CHOPRA, ANUBHAN ACCOUNT #: 01239692757 | PIMCO NACM EMERGING MARKETS OPPORTU BUY 0 Units @0.0000 | 0.00 | 0.82 | 0.00 | 0.82 | 90.0 | 0.74 |
| 10/02/2018 | ***-**-971I - MEEHAN, JULIE ACCOUNT #: 00009175998 | SUNAMERICA FOCUSED ALPHA GROWTH CL BUY 0 Units @0.0000 | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.61 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$60.19 | \$0.00 | \$60.19 | | \$54.19 |
| PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS | | | | | | | | |
| 09/29/2018 | ***-**-94SI - BECKERMAN, ACCOUNT #: 016222557 | NATIONWIDE CUSIP 638660100-NSCC BUY 0 Units @0.0000 | 0.00 | 40.36 | 0.00 | 40.36 | 90.0 | 36.32 |
| 09/29/2018 | ***-**-59IN - COSMA, EILEEN ACCOUNT #: 016331062 | NATIONWIDE CUSIP 638660100-NSCC BUY 0 Units @0.0000 | 0.00 | 4.21 | 0.00 | 4.21 | 90.0 | 3.79 |
| 09/29/2018 | ***-**-49IN - PARMAR, GURPREET ACCOUNT #: 016331063 | NATIONWIDE CUSIP 638660100-NSCC BUY 0 Units @0.0000 | 0.00 | 4.19 | 0.00 | 4.19 | 90.0 | 3.77 |
| 09/29/2018 | ***-**-51IN - SINGH, ACCOUNT #: 016331211 | NATIONWIDE CUSIP 638660100-NSCC BUY 0 Units @0.0000 | 0.00 | 5.28 | 0.00 | 5.28 | 90.0 | 4.75 |
| 09/29/2018 | ***-**-3485 - GOKER, MERT ACCOUNT #: 016352765 | NATIONWIDE CUSIP 638660100-NSCC BUY 0 Units @0.0000 | 0.00 | 4.37 | 0.00 | 4.37 | 90.0 | 3.93 |
| 10/02/2018 | ***-**-3981 - HALL, WAYNE ACCOUNT #: VP71050690 | PACIFIC LIFE VA DTCC RENEWALS BUY 0 Units @0.0000 | 0.00 | 4.61 | 0.00 | 4.61 | 90.0 | 4.15 |
| 10/02/2018 | ***-**-3981 - HALL, WAYNE ACCOUNT #: VP71050690 | PACIFIC LIFE VA DTCC RENEWALS BUY 0 Units @0.0000 | 0.00 | 4.61 | 0.00 | 4.61 | 90.0 | 4.15 |



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| <u>SPLIT TRANSACTIONS (continued)</u> | | | | | | | | |
| <u>BROKER: JEFFREY MORRISON (continued)</u> | | | | | | | | |
| | | * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | \$0.00 | \$67.63 | \$0.00 | \$67.63 | | \$60.86 |
| | | *** BROKER TRANSACTIONS TOTAL *** | \$2,216.64 | \$161.28 | \$0.00 | \$161.28 | | \$145.17 |
| <u>BROKER: JEFFREY MORRISON</u> | | | | | | | | |
| 10/05/2018 | ***-**-8240 - CHOWDHURY, NAHID | FA 529 DIVIDEND GROWTH PORT-CL A | 0.00 | 1.74 | 0.00 | 1.74 | 90.0 | 1.57 |
| | ACCOUNT #: 01438110361 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-8240 - CHOWDHURY, NAHID | FA 529 DIVIDEND GROWTH PORT-CL A | 0.00 | 1.89 | 0.00 | 1.89 | 90.0 | 1.70 |
| | ACCOUNT #: 01438110379 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-8240 - CHOWDHURY, NAHID | FA 529 INTERMED BOND PORT-CL A | 0.00 | 0.54 | 0.00 | 0.54 | 90.0 | 0.49 |
| | ACCOUNT #: 01438110361 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-8240 - CHOWDHURY, NAHID | FA 529 INTERMED BOND PORT-CL A | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |
| | ACCOUNT #: 01438110379 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-8240 - CHOWDHURY, NAHID | FA 529 NEW INSIGHTS PORT-CL A | 0.00 | 2.05 | 0.00 | 2.05 | 90.0 | 1.85 |
| | ACCOUNT #: 01438110361 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-8240 - CHOWDHURY, NAHID | FA 529 NEW INSIGHTS PORT-CL A | 0.00 | 2.21 | 0.00 | 2.21 | 90.0 | 1.99 |
| | ACCOUNT #: 01438110379 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-915P - WOO, BENE | FA 529 PORT 2019-CL A | 0.00 | 0.27 | 0.00 | 0.27 | 90.0 | 0.24 |
| | ACCOUNT #: 01446854794 | BUY 0 Units @0.0000 | | | | | | |
| 09/24/2018 | ***-**-6154 - TURPAN, PETER | FA 529 PORT 2019-OLD CL A | 500.00 | 5.00 | 0.00 | 5.00 | 90.0 | 4.50 |
| | ACCOUNT #: 00702446014 | BUY 24 Units @21.1000 | | | | | | |
| 10/05/2018 | ***-**-6154 - TURPAN, PETER | FA 529 PORT 2019-OLD CL A | 0.00 | 10.46 | 0.00 | 10.46 | 90.0 | 9.41 |
| | ACCOUNT #: 00702446014 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-9976 - GANZ, BARBARA | FA 529 PORT 2022-CL A | 0.00 | 2.96 | 0.00 | 2.96 | 90.0 | 2.66 |
| | ACCOUNT #: 00700773088 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-545P - TURPAN, PETER | FA 529 PORT 2022-CL A | 0.00 | 5.69 | 0.00 | 5.69 | 90.0 | 5.12 |
| | ACCOUNT #: 00704633189 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-645P - KUMAR, SURESH | FA 529 PORT 2028-CL A | 0.00 | 0.79 | 0.00 | 0.79 | 90.0 | 0.71 |
| | ACCOUNT #: 01453731182 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-645P - KUMAR, SURESH | FA 529 PORT 2028-CL C | 0.00 | 2.11 | 0.00 | 2.11 | 90.0 | 1.90 |
| | ACCOUNT #: 01453731182 | BUY 0 Units @0.0000 | | | | | | |



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| <u>SPLIT TRANSACTIONS (continued)</u> | | | | | | | | |
| <u>BROKER: JEFFREY MORRISON (continued)</u> | | | | | | | | |
| 10/05/2018 | ***-**-965P - GUERREIRO, MARIA | FA 529 PORT 2034 | 0.00 | 0.37 | 0.00 | 0.37 | 90.0 | 0.33 |
| | ACCOUNT #: 01489789329 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-8240 - CHOWDHURY, NAHID | FA 529 VALUE STRATEGIES PORT-CL A | 0.00 | 1.70 | 0.00 | 1.70 | 90.0 | 1.53 |
| | ACCOUNT #: 01438110361 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-8240 - CHOWDHURY, NAHID | FA 529 VALUE STRATEGIES PORT-CL A | 0.00 | 1.83 | 0.00 | 1.83 | 90.0 | 1.65 |
| | ACCOUNT #: 01438110379 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-809I - YANKILEVICH, | FIDELITY 31618H580 | 0.00 | 1.78 | 0.00 | 1.78 | 90.0 | 1.60 |
| | ACCOUNT #: 01429599556 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-485I - YANKILEVICH, | FIDELITY 31618H580 | 0.00 | 0.79 | 0.00 | 0.79 | 90.0 | 0.71 |
| | ACCOUNT #: 01429599564 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-095P - DHANDAPANI, | FIDELITY ADV BIOTECHNOLOGY-CL A | 0.00 | 2.48 | 0.00 | 2.48 | 90.0 | 2.23 |
| | ACCOUNT #: 00536397284 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-809I - YANKILEVICH, | FIDELITY ADV BIOTECHNOLOGY-CL A | 0.00 | 3.31 | 0.00 | 3.31 | 90.0 | 2.98 |
| | ACCOUNT #: 01429599556 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-485I - YANKILEVICH, | FIDELITY ADV BIOTECHNOLOGY-CL A | 0.00 | 1.45 | 0.00 | 1.45 | 90.0 | 1.31 |
| | ACCOUNT #: 01429599564 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-311I - | FIDELITY ADV BIOTECHNOLOGY-CL A | 0.00 | 0.87 | 0.00 | 0.87 | 90.0 | 0.78 |
| | ACCOUNT #: 01425465406 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-375I - WATSON, SANDRA | FIDELITY ADV DIVIDEND GROWTH FD CL | 0.00 | 2.14 | 0.00 | 2.14 | 90.0 | 1.93 |
| | ACCOUNT #: 01443935083 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-727I - PELL, ANDREA | FIDELITY ADV EMERGING MKTS CL A | 0.00 | 0.51 | 0.00 | 0.51 | 90.0 | 0.46 |
| | ACCOUNT #: 01435251887 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-375I - WATSON, SANDRA | FIDELITY ADV EMERGING MKTS CL A | 0.00 | 1.68 | 0.00 | 1.68 | 90.0 | 1.51 |
| | ACCOUNT #: 01443935083 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-375I - WATSON, SANDRA | FIDELITY ADV ENERGY-CL A | 0.00 | 1.56 | 0.00 | 1.56 | 90.0 | 1.40 |
| | ACCOUNT #: 01443935083 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-8240 - CHOWDHURY, NAHID | FIDELITY ADV FREEDOM 2025-CL A | 0.00 | 8.98 | 0.00 | 8.98 | 90.0 | 8.08 |
| | ACCOUNT #: 00525061339 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-54IR - SAVARESE-DILL, | FIDELITY ADV FREEDOM 2025-CL A | 0.00 | 9.02 | 0.00 | 9.02 | 90.0 | 8.12 |
| | ACCOUNT #: 00525061420 | BUY 0 Units @0.0000 | | | | | | |
| 10/05/2018 | ***-**-335I - BLASCO, LAURIE | FIDELITY ADV FREEDOM 2025-CL A | 0.00 | 2.81 | 0.00 | 2.81 | 90.0 | 2.53 |
| | ACCOUNT #: 01443905136 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

October 15, 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>SPLIT TRANSACTIONS (continued)</u> | | | | | | | | |
| <u>BROKER: JEFFREY MORRISON (continued)</u> | | | | | | | | |
| 10/05/2018 | ***-**-879I - DELAURA, ACCOUNT #: 01488339027 | FIDELITY ADV FREEDOM 2055 BUY 0 Units @0.0000 | 0.00 | 0.37 | 0.00 | 0.37 | 90.0 | 0.33 |
| 10/05/2018 | ***-**-809I - YANKILEVICH, ACCOUNT #: 01429599556 | FIDELITY ADV INTL REAL ESTATE-CL A BUY 0 Units @0.0000 | 0.00 | 2.07 | 0.00 | 2.07 | 90.0 | 1.86 |
| 10/05/2018 | ***-**-485I - YANKILEVICH, ACCOUNT #: 01429599564 | FIDELITY ADV INTL REAL ESTATE-CL A BUY 0 Units @0.0000 | 0.00 | 0.92 | 0.00 | 0.92 | 90.0 | 0.83 |
| 10/05/2018 | ***-**-727I - PELL, ANDREA ACCOUNT #: 01435251887 | FIDELITY ADV INVESTMENT GRADE BOND- BUY 0 Units @0.0000 | 0.00 | 0.35 | 0.00 | 0.35 | 90.0 | 0.32 |
| 10/05/2018 | ***-**-5870 - BRUNO, KIM ACCOUNT #: 00510642531 | FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000 | 0.00 | 1.60 | 0.00 | 1.60 | 90.0 | 1.44 |
| 10/05/2018 | ***-**-727I - PELL, ANDREA ACCOUNT #: 01435251887 | FIDELITY ADV MID CAP VALUE-CL A BUY 0 Units @0.0000 | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.68 |
| 10/05/2018 | ***-**-375I - WATSON, SANDRA ACCOUNT #: 01443935083 | FIDELITY ADV SMALL CAP VALUE-CL A BUY 0 Units @0.0000 | 0.00 | 2.17 | 0.00 | 2.17 | 90.0 | 1.95 |
| 10/05/2018 | ***-**-375I - WATSON, SANDRA ACCOUNT #: 01443935083 | FIDELITY ADV STRATEGIC REAL RETURN- BUY 0 Units @0.0000 | 0.00 | 1.49 | 0.00 | 1.49 | 90.0 | 1.34 |
| 10/05/2018 | ***-**-871I - MURPHY, DENISE ACCOUNT #: 01443905094 | FIDELITY ADVISOR FREEDOM 2040 BUY 0 Units @0.0000 | 0.00 | 2.87 | 0.00 | 2.87 | 90.0 | 2.58 |
| 10/05/2018 | ***-**-535I - RIOLO, DOROTHEA ACCOUNT #: 01443938483 | FIDELITY ADVISOR FREEDOM 2040 BUY 0 Units @0.0000 | 0.00 | 1.23 | 0.00 | 1.23 | 90.0 | 1.11 |
| 10/05/2018 | ***-**-375I - WATSON, SANDRA ACCOUNT #: 01443935083 | FIDELITY ADVISOR GOLD FUND CLASS A BUY 0 Units @0.0000 | 0.00 | 0.70 | 0.00 | 0.70 | 90.0 | 0.63 |
| 10/05/2018 | ***-**-809I - YANKILEVICH, ACCOUNT #: 01429599556 | FIDELITY ADVISOR REAL ESTATE FUND C BUY 0 Units @0.0000 | 0.00 | 2.10 | 0.00 | 2.10 | 90.0 | 1.89 |
| 10/05/2018 | ***-**-485I - YANKILEVICH, ACCOUNT #: 01429599564 | FIDELITY ADVISOR REAL ESTATE FUND C BUY 0 Units @0.0000 | 0.00 | 0.93 | 0.00 | 0.93 | 90.0 | 0.84 |
| 10/05/2018 | ***-**-375I - WATSON, SANDRA ACCOUNT #: 01443935083 | FIDELITY ADVISOR REAL ESTATE FUND C BUY 0 Units @0.0000 | 0.00 | 1.84 | 0.00 | 1.84 | 90.0 | 1.66 |
| 10/05/2018 | ***-**-727I - PELL, ANDREA ACCOUNT #: 01435251887 | FIDELITY ADVISOR STK SELECTOR ALL C BUY 0 Units @0.0000 | 0.00 | 1.08 | 0.00 | 1.08 | 90.0 | 0.97 |
| 10/15/2018 | ***-**-06IN - MARK, SCOTT | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 63.33 | 0.00 | 63.33 | 90.0 | 57.00 |



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RICHARD PASCALE
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BROKER #: 981
BRANCH #01033 - 33 - PASCALE

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS (continued)</u> | | | | | | | | |
| <u>BROKER: JEFFREY MORRISON (continued)</u> | | | | | | | | |
| 10/15/2018 | ***-**-446I - RUBIN, BARRY | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 20.61 | 0.00 | 20.61 | 90.0 | 18.55 |
| 10/15/2018 | ***-**-446I - RUBIN, BARRY | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 13.65 | 0.00 | 13.65 | 90.0 | 12.29 |
| 10/15/2018 | ***-**-24IO - REICH COHEN, ACCOUNT #: 00091133517 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 15.20 | 0.00 | 15.20 | 90.0 | 13.68 |
| 10/15/2018 | ***-**-017J - MORRISON, ACCOUNT #: 091144667 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 63.33 | 0.00 | 63.33 | 90.0 | 57.00 |
| 10/15/2018 | ***-**-450I - ROSENBLATT, MARK ACCOUNT #: 091151606 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 19.00 | 0.00 | 19.00 | 90.0 | 17.10 |
| 10/15/2018 | ***-**-619J - GINSBERG, SETH ACCOUNT #: 091153660 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 31.67 | 0.00 | 31.67 | 90.0 | 28.50 |
| 10/15/2018 | ***-**-05IN - SREEKUMAR, | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 12.67 | 0.00 | 12.67 | 90.0 | 11.40 |
| 10/15/2018 | ***-**-24IO - PIZZA, MARIANNE | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 17.39 | 0.00 | 17.39 | 90.0 | 15.65 |
| 10/15/2018 | ***-**-99IO - COHEN | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 18.45 | 0.00 | 18.45 | 90.0 | 16.61 |
| 10/15/2018 | ***-**-485X - MAYER, RUSSELL | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 17.07 | 0.00 | 17.07 | 90.0 | 15.36 |
| 10/15/2018 | ***-**-58UT - PLATEIS UTMA NY, ACCOUNT #: 091138762 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 3.17 | 0.00 | 3.17 | 90.0 | 2.85 |
| 10/15/2018 | ***-**-628O - KESSLER, LEWIS | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 76.00 | 0.00 | 76.00 | 90.0 | 68.40 |
| 10/15/2018 | ***-**-18IR - VENA, JOANNE | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 3.15 | 0.00 | 3.15 | 90.0 | 2.84 |
| 10/15/2018 | ***-**-24IO - PIZZA, MARIANNE | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 84.23 | 0.00 | 84.23 | 90.0 | 75.81 |
| 10/15/2018 | ***-**-959J - OLLECH | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 19.00 | 0.00 | 19.00 | 90.0 | 17.10 |
| 10/10/2018 | ***-**-08TR - WEITMAN TTEE, ACCOUNT #: 4892820 | LINCOLN FIN VA 533786166 BUY 0 Units @0.0000 | 1,611.99 | 80.60 | 0.00 | 80.60 | 90.0 | 72.54 |



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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS (continued)</u> | | | | | | | | |
| <u>BROKER: JEFFREY MORRISON (continued)</u> | | | | | | | | |
| 10/10/2018 | ***-**-08TR - WEITMAN TTEE, ACCOUNT #: 4892820 | LINCOLN FIN VA 533786166 BUY 0 Units @0.0000 | 1,611.99 | 80.60 | 0.00 | 80.60 | 90.0 | 72.54 |
| 09/29/2018 | ***-**-2790 - RONAN, WILLIAM ACCOUNT #: 015852602 | NATIONWIDE CUSIP 638662247-NSCC BUY 0 Units @0.0000 | 0.00 | 8.80 | 0.00 | 8.80 | 90.0 | 7.92 |
| 10/15/2018 | ***-**-9385 - JOSEPH, BRIAN ACCOUNT #: 77094508001 | NEW YORK 529 TRAILS BUY 0 Units @0.0000 | 0.00 | 2.96 | 0.00 | 2.96 | 90.0 | 2.66 |
| 10/15/2018 | ***-**-7673 - MORRISON, ACCOUNT #: 77152277401 | NEW YORK 529 TRAILS BUY 0 Units @0.0000 | 0.00 | 8.25 | 0.00 | 8.25 | 90.0 | 7.43 |
| 10/15/2018 | ***-**-446J - RUBIN ACCOUNT #: 77334416801 | NEW YORK 529 TRAILS BUY 0 Units @0.0000 | 0.00 | 3.78 | 0.00 | 3.78 | 90.0 | 3.40 |
| 10/15/2018 | ***-**-7724 - NANDAA, NEIL ACCOUNT #: 77348040901 | NEW YORK 529 TRAILS BUY 0 Units @0.0000 | 0.00 | 2.80 | 0.00 | 2.80 | 90.0 | 2.52 |
| 10/15/2018 | ***-**-18IN - WATSON ACCOUNT #: 77398834701 | NEW YORK 529 TRAILS BUY 0 Units @0.0000 | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |
| 10/15/2018 | ***-**-165P - BRILL, AMY | NEW YORK 529 TRAILS BUY 0 Units @0.0000 | 0.00 | 13.82 | 0.00 | 13.82 | 90.0 | 12.44 |
| 10/15/2018 | ***-**-405P - KITOGRAD, JAY ACCOUNT #: 77739941101 | NEW YORK 529 TRAILS BUY 0 Units @0.0000 | 0.00 | 1.63 | 0.00 | 1.63 | 90.0 | 1.47 |
| 10/12/2018 | ***-**-809I - YANKILEVICH, ACCOUNT #: VP65924490 | PACIFIC LIFE EXCE 5A DTCC BUY 0 Units @0.0000 | 350.00 | 3.50 | 0.00 | 3.50 | 90.0 | 3.15 |
| 10/07/2018 | ***-**-8240 - CHOWDHURY, NAHID ACCOUNT #: VP65523640 | PACIFIC LIFE EXEC II DTCC BUY 0 Units @0.0000 | 350.00 | 1.75 | 0.00 | 1.75 | 90.0 | 1.58 |
| 10/07/2018 | ***-**-8240 - CHOWDHURY, NAHID ACCOUNT #: VP65523640 | PACIFIC LIFE EXEC II DTCC BUY 0 Units @0.0000 | 350.00 | 1.75 | 0.00 | 1.75 | 90.0 | 1.58 |
| 10/04/2018 | ***-**-5634 - BLOCH, RAMNIT ACCOUNT #: VP71073350 | PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000 | 50.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.68 |
| 10/06/2018 | ***-**-7728 - BALBONA, ADRIANA ACCOUNT #: VP71061840 | PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000 | 135.00 | 2.03 | 0.00 | 2.03 | 90.0 | 1.83 |
| 10/09/2018 | ***-**-5634 - BLOCH, RAMNIT ACCOUNT #: VP71073350 | PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000 | 0.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 10/01/2018 | ***-**-0944 - GEOGHEGAN, TRACY ACCOUNT #: VP71050220 | PACIFIC LIFE VA DTCC RENEWALS BUY 0 Units @0.0000 | 100.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS (continued)</u> | | | | | | | | |
| <u>BROKER: JEFFREY MORRISON (continued)</u> | | | | | | | | |
| 10/01/2018 | ***-**-0944 - GEOGHEGAN, TRACY | PACIFIC LIFE VA DTCC RENEWALS | 100.00 | 0.38 | 0.00 | 0.38 | 90.0 | 0.34 |
| | ACCOUNT #: VP71050220 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-0944 - GEOGHEGAN, TRACY | PACIFIC LIFE VA DTCC RENEWALS | 100.00 | 0.13 | 0.00 | 0.13 | 90.0 | 0.12 |
| | ACCOUNT #: VP71050220 | BUY 0 Units @0.0000 | | | | | | |
| 10/03/2018 | ***-**-8062 - MANEL, GIOVANNA | PACIFIC LIFE VA DTCC RENEWALS | 350.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |
| | ACCOUNT #: VP71049720 | BUY 0 Units @0.0000 | | | | | | |
| 10/03/2018 | ***-**-8062 - MANEL, GIOVANNA | PACIFIC LIFE VA DTCC RENEWALS | 350.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |
| | ACCOUNT #: VP71049720 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-485I - YANKILEVICH, | PACIFIC LIFE VA RENEWAL DTCC | 250.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| | ACCOUNT #: VP65871480 | BUY 0 Units @0.0000 | | | | | | |
| 10/02/2018 | ***-**-73IR - MORRISON, | PIMCO 01880B603 | 0.00 | 0.35 | 0.00 | 0.35 | 90.0 | 0.32 |
| | ACCOUNT #: 02049021252 | BUY 0 Units @0.0000 | | | | | | |
| 10/02/2018 | ***-**-73IR - MORRISON, | PIMCO NACM EMERGING MARKETS OPPORTU | 0.00 | 0.97 | 0.00 | 0.97 | 90.0 | 0.87 |
| | ACCOUNT #: 02049021252 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-36IR - KOUNOUKLOS, | SAMMONS MF TRAILS | 0.00 | 2.51 | 0.00 | 2.51 | 90.0 | 2.26 |
| | ACCOUNT #: 7200011202 | BUY 0 Units @0.0000 | | | | | | |
| * JEFFREY MORRISON SUBTOTAL * | | | \$6,208.98 | \$799.41 | \$0.00 | \$799.41 | | \$719.50 |
| *** SPLIT TRANSACTIONS TOTAL *** | | | \$6,208.98 | \$799.41 | \$0.00 | \$799.41 | | \$719.50 |



BROKER #: 981
BRANCH #01033 - 33 - PASCALE

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|-------------------------------------|--------|------------|----------------------|---------------------|--------------------|-----------------------|------|----------------------|
| <div>BROKER COMMISSION TOTALS</div> | | | | | | | | |
| | | | | | | Broker Transactions | | \$145.17 |
| | | | | | | Split Transactions | | \$719.50 |
| | | | | | | Override Transactions | | \$0.00 |
| | | | | | | 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 | | \$864.67 |
| | | | | | | Year-to-date Earnings | | \$56,167.79 |