

COMMISSION STATEMENT

October 31, 2018

LOUIS CIAVARELLA
21 MILITIA HILL DRIVE

CHESTERBROOK, PA 19087

BROKER #: V22 A04
BRANCH: FULCRUM GROUP

COMMISSION STATEMENT for LOUIS CIAVARELLA

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
10/25/2018	75501687	DALEY, BARBARA	FIDELITY ADVISOR GROWTH OPPORTUNITI	B	731.71	0.00	0.00	0.00	50.0	0.00
10/25/2018	75501687	DALEY, BARBARA	FIDELITY ADVISOR FUNDS 315918474	S	731.71	0.00	0.00	0.00	50.0	0.00
10/25/2018	75501687	DALEY, BARBARA	FRANKLIN INCOME FUND CLASS C	S	663.48	0.00	0.00	0.00	50.0	0.00
10/25/2018	75501687	DALEY, BARBARA	FRANKLIN/TEMPLETON 354713711	B	663.48	0.00	0.00	0.00	50.0	0.00
10/04/2018	75501737	HENDRIX, GREG	FA SEMICONDUCTORS FUND CLASS I	S	9,651.74	0.00	0.00	0.00	50.0	0.00
10/04/2018	75501737	HENDRIX, GREG	FA SEMICONDUCTORS FUND CLASS I	S	9,624.81	0.00	0.00	0.00	50.0	0.00
10/04/2018	75501737	HENDRIX, GREG	FIDELITY ADVISOR HEALTH CARE FUND C	B	9,624.81	0.00	0.00	0.00	50.0	0.00
10/04/2018	75501737	HENDRIX, GREG	FIDELITY ADVISOR GROWTH OPPORTUNITI	B	9,651.74	0.00	0.00	0.00	50.0	0.00
* MUTUAL FUNDS SUBTOTAL *					\$41,343.48	\$0.00	\$0.00	\$0.00		\$0.00
PRODUCT CATEGORY: STOCKS										
10/26/2018	75501549	ALEXANDER, RUTH	MICROSOFT CORP	B	6,408.60	105.00	0.00	105.00	50.0	52.50
10/01/2018	75501737	HENDRIX, GREG	AUTODESK INC	B	4,655.10	0.00	0.00	0.00	50.0	0.00
10/01/2018	75501737	HENDRIX, GREG	TENCENT HOLDINGS LIMITED UNSPONSORE	S	4,103.50	0.00	0.00	0.00	50.0	0.00
10/08/2018	75501742	CIAVARELLA, LOUIS	ALIBABA GROUP HOLDING LTD SPONSORED	S	3,775.27	0.00	0.00	0.00	50.0	0.00
10/08/2018	75501742	CIAVARELLA, LOUIS	TENCENT HOLDINGS LIMITED UNSPONSORE	S	5,733.30	0.00	0.00	0.00	50.0	0.00
10/10/2018	75501742	CIAVARELLA, LOUIS	MICROSOFT CORP	S	16,173.00	0.00	0.00	0.00	50.0	0.00
10/08/2018	75501749	CIAVARELLA, MELISSA	TENCENT HOLDINGS LIMITED UNSPONSORE	S	3,833.00	0.00	0.00	0.00	50.0	0.00
09/27/2018	75502185	CARR, CHARLES	SALESFORCE.COM INC	B	32,085.40	0.00	0.00	0.00	50.0	0.00
10/22/2018	75502207	GEYER, GEORGE	CANOPY GROWTH CORP COM ISIN# CA1380	B	4,100.00	0.00	0.00	0.00	50.0	0.00
10/24/2018	75502207	GEYER, GEORGE	LOGITECH INTERNATIONAL SA	S	7,079.34	0.00	0.00	0.00	50.0	0.00
10/24/2018	75502207	GEYER, GEORGE	MICRON TECHNOLOGY INC	S	3,725.54	0.00	0.00	0.00	50.0	0.00
* STOCKS SUBTOTAL *					\$91,672.05	\$105.00	\$0.00	\$105.00		\$52.50
PRODUCT CATEGORY: VARIABLE ANNUITIES										
10/10/2018	(None)	VARIOUS, CIAVARELLA	NATIONWIDE	B	0.00	193.09	0.00	193.09	50.0	96.55
10/11/2018	(None)	VARIOUS, CIAVARELLA	GENWORTH LIFE & ANNUNITY INS	B	0.00	33.30	0.00	33.30	50.0	16.65
* VARIABLE ANNUITIES SUBTOTAL *					\$0.00	\$226.39	\$0.00	\$226.39		\$113.20

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MISCELLANEOUS</u>									
10/22/2018	VARIOUS, CIAVARELLA	FIDELITY ADVISOR 401K	B	0.00	1,926.06	0.00	1,926.06	50.0	963.03
		* MISCELLANEOUS SUBTOTAL *		\$0.00	\$1,926.06	\$0.00	\$1,926.06		\$963.03
<u>PRODUCT CATEGORY: RIA</u>									
10/01/2018	75501737 HENDRIX, GREG	FAS FEES PT. I/III	B	-392.90	130.96	0.00	130.96	50.0	65.48
10/01/2018	75501742 CIAVARELLA, LOUIS	FAS FEES PT. I/III	B	-119.56	39.85	0.00	39.85	50.0	19.93
10/01/2018	75501749 CIAVARELLA, MELISSA	FAS FEES PT. I/III	B	-278.41	92.80	0.00	92.80	50.0	46.40
10/01/2018	75501752 CIAVARELLA, JAMES	FAS FEES PT. I/III	B	-54.30	18.10	0.00	18.10	50.0	9.05
10/01/2018	75501754 CIAVARELLA, JAMES	FAS FEES PT. I/III	B	-131.86	43.95	0.00	43.95	50.0	21.98
10/01/2018	75501755 MANFREDI, MICHAEL	FAS FEES PT. I/III	B	-1,002.05	334.01	0.00	334.01	50.0	167.01
10/01/2018	75501757 BERGEN, MIMI	FAS FEES PT. I/III	B	-209.85	69.95	0.00	69.95	50.0	34.98
10/01/2018	75502185 CARR, CHARLES	FAS FEES PT. I/III	B	-2,049.52	683.17	0.00	683.17	50.0	341.59
10/18/2018	75502185 CARR, CHARLES	FTCLD-FAS FEES	B	1,670.80	-1,670.80	0.00	-1,670.80	50.0	-835.40
10/01/2018	75502207 GEYER, GEORGE	FAS FEES PT. I/III	B	-253.44	84.48	0.00	84.48	50.0	42.24
		* RIA SUBTOTAL *		\$-2,821.09	\$-173.53	\$0.00	\$-173.53		\$-86.74
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
10/31/2018		FEE COUNT - 138		0.00	488.80	0.00	488.80	50.0	229.60
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$488.80	\$0.00	\$488.80		\$229.60
		*** BROKER TRANSACTIONS TOTAL ***		\$130,194.44	\$2,572.72	\$0.00	\$2,572.72		\$1,271.59
<u>ADJUSTMENTS</u>									
10/31/2018		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-75.00
10/31/2018		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-75.00
10/31/2018		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-75.00
10/31/2018		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-75.00
10/31/2018		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-75.00
10/31/2018		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-75.00
10/31/2018		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-101.64
10/31/2018		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-282.59
10/31/2018		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-75.00
10/31/2018		COMMISSION INCOME: ADV ADJ 75502182		0.00	0.00	0.00	0.00		683.18
10/31/2018		MISCELLANEOUS: DEUNC REV NOV & DEC		0.00	0.00	0.00	0.00		606.16
10/31/2018		MISCELLANEOUS: OCT REV TO ADD GRID		0.00	0.00	0.00	0.00		69.62
10/31/2018		MISCELLANEOUS: OCT FEE		0.00	0.00	0.00	0.00		-34.81
10/31/2018		MISCELLANEOUS: REV 75502185		0.00	0.00	0.00	0.00		-233.45
10/31/2018		MISCELLANEOUS: 75502185 ADD GRID		0.00	0.00	0.00	0.00		116.73

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ADJUSTMENTS

10/31/2018		DEUNC:UNBUNDLED NEW ACCT FEE (LPCM)		0.00	0.00	0.00	0.00		233.45
		*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00		\$531.65

BROKER COMMISSION TOTALS

Broker Transactions	\$1,271.59
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$531.65
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-0.81
SIPC Assessment	\$-1.62

Check Amount	\$1,800.81
Year-to-date Earnings	\$17,975.08