



# COMMISSION STATEMENT

## September 24, 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
09/15/2018	***-**-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						
09/15/2018	***-**-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						
09/15/2018	***-**-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						
09/15/2018	***-**-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						
09/18/2018	***-**-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						
09/19/2018	***-**-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						
09/19/2018	***-**-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						
09/15/2018	***-**-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						
09/15/2018	***-**-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						
09/15/2018	***-**-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						
09/17/2018	***-**-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						
09/17/2018	***-**-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						
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$4,453.08</b>	<b>\$25.32</b>	<b>\$0.00</b>	<b>\$25.32</b>		<b>\$22.79</b>
<b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b>								
09/24/2018	***-**-64CL - PASCALE, CLIENTS	PENN LIFE VUL	0.00	47.66	0.00	47.66	90.0	42.89
		BUY 1 Units @0.0000						
<b>* VARIABLE UNIVERSAL LIFE SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$47.66</b>	<b>\$0.00</b>	<b>\$47.66</b>		<b>\$42.89</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
09/24/2018	***-**-815P - WILSON, JOHN	NY 529 ADDITIONAL DEPOSIT	100.00	2.03	0.00	2.03	90.0	1.83
	ACCOUNT #: 77651113402	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$100.00	\$2.03	\$0.00	\$2.03		\$1.83
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/10/2018	***-**-5389 - POWER, KATHLEEN	FA 529 COLLEGE PORT-CL A	0.00	0.06	0.00	0.06	90.0	0.05
	ACCOUNT #: 01467261812	BUY 0 Units @0.0000						
09/10/2018	***-**-5389 - POWER, KATHLEEN	FA 529 PORT 2019-CL A	0.00	2.51	0.00	2.51	90.0	2.26
	ACCOUNT #: 01467261812	BUY 0 Units @0.0000						
09/10/2018	***-**-5723 - PONTURO,	FA 529 PORT 2022-CL A	0.00	0.81	0.00	0.81	90.0	0.73
	ACCOUNT #: 00701164063	BUY 0 Units @0.0000						
09/10/2018	***-**-5723 - PONTURO,	FA 529 PORT 2022-CL A	0.00	0.81	0.00	0.81	90.0	0.73
	ACCOUNT #: 00701164071	BUY 0 Units @0.0000						
09/10/2018	***-**-513I - KESSEL, SHAI	FIDELITY 31618H580	0.00	1.38	0.00	1.38	90.0	1.24
	ACCOUNT #: 01429599580	BUY 0 Units @0.0000						
09/10/2018	***-**-513I - KESSEL, SHAI	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	2.47	0.00	2.47	90.0	2.22
	ACCOUNT #: 01429599580	BUY 0 Units @0.0000						
09/10/2018	***-**-9173 - GORDON, DANIEL	FIDELITY ADV EQUITY INCOME CL A	0.00	0.20	0.00	0.20	90.0	0.18
	ACCOUNT #: 00535143713	BUY 0 Units @0.0000						
09/10/2018	***-**-885I - TOMASIEWICZ,	FIDELITY ADV EQUITY VALUE CL A	0.00	1.64	0.00	1.64	90.0	1.48
	ACCOUNT #: 00700995913	BUY 0 Units @0.0000						
09/10/2018	***-**-04IR - DEVECCHIS, ROSE	FIDELITY ADV FREEDOM 2035-CL A	0.00	0.54	0.00	0.54	90.0	0.49
	ACCOUNT #: 01438976696	BUY 0 Units @0.0000						
09/10/2018	***-**-513I - KESSEL, SHAI	FIDELITY ADV INTL REAL ESTATE-CL A	0.00	1.57	0.00	1.57	90.0	1.41
	ACCOUNT #: 01429599580	BUY 0 Units @0.0000						
09/10/2018	***-**-9173 - GORDON, DANIEL	FIDELITY ADV INVESTMENT GRADE BOND-	0.00	0.23	0.00	0.23	90.0	0.21
	ACCOUNT #: 00535143713	BUY 0 Units @0.0000						
09/10/2018	***-**-513I - KESSEL, SHAI	FIDELITY ADVISOR REAL ESTATE FUND C	0.00	1.59	0.00	1.59	90.0	1.43
	ACCOUNT #: 01429599580	BUY 0 Units @0.0000						
09/10/2018	***-**-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						
09/24/2018	***-**-5723 - PONTURO,	NEW YORK 529 TRAILS	0.00	3.97	0.00	3.97	90.0	3.57
	ACCOUNT #: 77161355101	BUY 0 Units @0.0000						



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b>								
09/24/2018	***-**-545P - FELLIN, DIANE	NEW YORK 529 TRAILS	0.00	0.12	0.00	0.12	90.0	0.11
	ACCOUNT #: 77169971001	BUY 0 Units @0.0000						
09/24/2018	***-**-465P - KALANTZOPOULOS,	NEW YORK 529 TRAILS	0.00	1.23	0.00	1.23	90.0	1.11
	ACCOUNT #: 77280070001	BUY 0 Units @0.0000						
09/24/2018	***-**-623I - LEIBOWITZ, IRWIN	NEW YORK 529 TRAILS	0.00	0.41	0.00	0.41	90.0	0.37
	ACCOUNT #: 77287712601	BUY 0 Units @0.0000						
09/24/2018	***-**-895P - POWER, KATHLEEN	NEW YORK 529 TRAILS	0.00	0.27	0.00	0.27	90.0	0.24
	ACCOUNT #: 77321173601	BUY 0 Units @0.0000						
09/24/2018	***-**-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						
09/24/2018	***-**-515P - PASSARO, MARY	NEW YORK 529 TRAILS	0.00	0.53	0.00	0.53	90.0	0.48
	ACCOUNT #: 77507742202	BUY 0 Units @0.0000						
09/24/2018	***-**-815P - WILSON, JOHN	NEW YORK 529 TRAILS	0.00	1.13	0.00	1.13	90.0	1.02
		BUY 0 Units @0.0000						
09/05/2018	***-**-971I - MEEHAN, JULIE	SUNAMERICA FOCUSED ALPHA GROWTH CL	0.00	0.70	0.00	0.70	90.0	0.63
	ACCOUNT #: 00009175998	BUY 0 Units @0.0000						
	<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$22.59</b>	<b>\$0.00</b>	<b>\$22.59</b>		<b>\$20.34</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
09/20/2018	***-**-5089 - LEVINSON, ROBERT	PACIFIC LIFE ABRB DTCC	0.00	2.63	0.00	2.63	90.0	2.37
	ACCOUNT #: VP71058060	BUY 0 Units @0.0000						
	<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$2.63</b>	<b>\$0.00</b>	<b>\$2.63</b>		<b>\$2.37</b>
	<b>*** BROKER TRANSACTIONS TOTAL ***</b>		<b>\$4,553.08</b>	<b>\$100.23</b>	<b>\$0.00</b>	<b>\$100.23</b>		<b>\$90.22</b>

### SPLIT TRANSACTIONS

#### **BROKER: JEFFREY MORRISON**

09/10/2018	***-**-8240 - CHOWDHURY, NAHID	FA 529 DIVIDEND GROWTH PORT-CL A	0.00	1.77	0.00	1.77	90.0	1.59
	ACCOUNT #: 01438110361	BUY 0 Units @0.0000						
09/10/2018	***-**-8240 - CHOWDHURY, NAHID	FA 529 DIVIDEND GROWTH PORT-CL A	0.00	1.92	0.00	1.92	90.0	1.73
	ACCOUNT #: 01438110379	BUY 0 Units @0.0000						



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<b><u>SPLIT TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: JEFFREY MORRISON (continued)</u></b>								
09/10/2018	***-**-8240 - CHOWDHURY, NAHID	FA 529 INTERMED BOND PORT-CL A	0.00	0.55	0.00	0.55	90.0	0.50
	ACCOUNT #: 01438110361	BUY 0 Units @0.0000						
09/10/2018	***-**-8240 - CHOWDHURY, NAHID	FA 529 INTERMED BOND PORT-CL A	0.00	0.68	0.00	0.68	90.0	0.61
	ACCOUNT #: 01438110379	BUY 0 Units @0.0000						
09/10/2018	***-**-8240 - CHOWDHURY, NAHID	FA 529 NEW INSIGHTS PORT-CL A	0.00	2.09	0.00	2.09	90.0	1.88
	ACCOUNT #: 01438110361	BUY 0 Units @0.0000						
09/10/2018	***-**-8240 - CHOWDHURY, NAHID	FA 529 NEW INSIGHTS PORT-CL A	0.00	2.25	0.00	2.25	90.0	2.03
	ACCOUNT #: 01438110379	BUY 0 Units @0.0000						
09/10/2018	***-**-915P - WOO, BENE	FA 529 PORT 2019-CL A	0.00	0.28	0.00	0.28	90.0	0.25
	ACCOUNT #: 01446854794	BUY 0 Units @0.0000						
09/10/2018	***-**-6154 - TURPAN, PETER	FA 529 PORT 2019-OLD CL A	0.00	10.77	0.00	10.77	90.0	9.69
	ACCOUNT #: 00702446014	BUY 0 Units @0.0000						
09/10/2018	***-**-9976 - GANZ, BARBARA	FA 529 PORT 2022-CL A	0.00	3.01	0.00	3.01	90.0	2.71
	ACCOUNT #: 00700773088	BUY 0 Units @0.0000						
09/10/2018	***-**-545P - TURPAN, PETER	FA 529 PORT 2022-CL A	0.00	5.82	0.00	5.82	90.0	5.24
	ACCOUNT #: 00704633189	BUY 0 Units @0.0000						
09/10/2018	***-**-645P - KUMAR, SURESH	FA 529 PORT 2028-CL A	0.00	0.78	0.00	0.78	90.0	0.70
	ACCOUNT #: 01453731182	BUY 0 Units @0.0000						
09/10/2018	***-**-645P - KUMAR, SURESH	FA 529 PORT 2028-CL C	0.00	2.31	0.00	2.31	90.0	2.08
	ACCOUNT #: 01453731182	BUY 0 Units @0.0000						
09/10/2018	***-**-965P - GUERREIRO, MARIA	FA 529 PORT 2034	0.00	0.36	0.00	0.36	90.0	0.32
	ACCOUNT #: 01489789329	BUY 0 Units @0.0000						
09/10/2018	***-**-8240 - CHOWDHURY, NAHID	FA 529 VALUE STRATEGIES PORT-CL A	0.00	1.75	0.00	1.75	90.0	1.58
	ACCOUNT #: 01438110361	BUY 0 Units @0.0000						
09/10/2018	***-**-8240 - CHOWDHURY, NAHID	FA 529 VALUE STRATEGIES PORT-CL A	0.00	1.89	0.00	1.89	90.0	1.70
	ACCOUNT #: 01438110379	BUY 0 Units @0.0000						
09/10/2018	***-**-809I - YANKILEVICH,	FIDELITY 31618H580	0.00	1.88	0.00	1.88	90.0	1.69
	ACCOUNT #: 01429599556	BUY 0 Units @0.0000						
09/10/2018	***-**-485I - YANKILEVICH,	FIDELITY 31618H580	0.00	0.84	0.00	0.84	90.0	0.76
	ACCOUNT #: 01429599564	BUY 0 Units @0.0000						
09/10/2018	***-**-095P - DHANDAPANI,	FIDELITY ADV BIOTECHNOLOGY-CL A	0.00	2.53	0.00	2.53	90.0	2.28
	ACCOUNT #: 00536397284	BUY 0 Units @0.0000						



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<b><u>SPLIT TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: JEFFREY MORRISON (continued)</u></b>								
09/10/2018	***-**-809I - YANKILEVICH, ACCOUNT #: 01429599556	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 0 Units @0.0000	0.00	3.38	0.00	3.38	90.0	3.04
09/10/2018	***-**-485I - YANKILEVICH, ACCOUNT #: 01429599564	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 0 Units @0.0000	0.00	1.48	0.00	1.48	90.0	1.33
09/10/2018	***-**-311I - ACCOUNT #: 01425465406	FIDELITY ADV BIOTECHNOLOGY-CL A BUY 0 Units @0.0000	0.00	0.89	0.00	0.89	90.0	0.80
09/10/2018	***-**-375I - WATSON, SANDRA ACCOUNT #: 01443935083	FIDELITY ADV DIVIDEND GROWTH FD CL BUY 0 Units @0.0000	0.00	2.16	0.00	2.16	90.0	1.94
09/12/2018	***-**-375I - WATSON, SANDRA ACCOUNT #: 01443935083	FIDELITY ADV DIVIDEND GROWTH FD CL BUY 8 Units @18.9900	150.00	2.07	0.00	2.07	90.0	1.86
09/12/2018	***-**-375I - WATSON, SANDRA ACCOUNT #: 01443935083	FIDELITY ADV DIVIDEND GROWTH FD CL BUY 2 Units @18.9900	36.00	0.50	0.00	0.50	90.0	0.45
09/10/2018	***-**-727I - PELL, ANDREA ACCOUNT #: 01435251887	FIDELITY ADV EMERGING MKTS CL A BUY 0 Units @0.0000	0.00	0.54	0.00	0.54	90.0	0.49
09/10/2018	***-**-375I - WATSON, SANDRA ACCOUNT #: 01443935083	FIDELITY ADV EMERGING MKTS CL A BUY 0 Units @0.0000	0.00	1.76	0.00	1.76	90.0	1.58
09/12/2018	***-**-375I - WATSON, SANDRA ACCOUNT #: 01443935083	FIDELITY ADV EMERGING MKTS CL A BUY 5 Units @27.4000	150.00	2.07	0.00	2.07	90.0	1.86
09/12/2018	***-**-375I - WATSON, SANDRA ACCOUNT #: 01443935083	FIDELITY ADV EMERGING MKTS CL A BUY 1 Units @27.4000	36.00	0.50	0.00	0.50	90.0	0.45
09/10/2018	***-**-375I - WATSON, SANDRA ACCOUNT #: 01443935083	FIDELITY ADV ENERGY-CL A BUY 0 Units @0.0000	0.00	1.60	0.00	1.60	90.0	1.44
09/12/2018	***-**-375I - WATSON, SANDRA ACCOUNT #: 01443935083	FIDELITY ADV ENERGY-CL A BUY 4 Units @36.8000	150.00	2.07	0.00	2.07	90.0	1.86
09/12/2018	***-**-375I - WATSON, SANDRA ACCOUNT #: 01443935083	FIDELITY ADV ENERGY-CL A BUY 1 Units @36.8000	36.00	0.50	0.00	0.50	90.0	0.45
09/10/2018	***-**-8240 - CHOWDHURY, NAHID ACCOUNT #: 00525061339	FIDELITY ADV FREEDOM 2025-CL A BUY 0 Units @0.0000	0.00	9.21	0.00	9.21	90.0	8.29
09/10/2018	***-**-54IR - SAVARESE-DILL, ACCOUNT #: 00525061420	FIDELITY ADV FREEDOM 2025-CL A BUY 0 Units @0.0000	0.00	9.24	0.00	9.24	90.0	8.32
09/10/2018	***-**-335I - BLASCO, LAURIE ACCOUNT #: 01443905136	FIDELITY ADV FREEDOM 2025-CL A BUY 0 Units @0.0000	0.00	2.87	0.00	2.87	90.0	2.58



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<b><u>SPLIT TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: JEFFREY MORRISON (continued)</u></b>								
09/12/2018	***-**-54IR - SAVARESE-DILL, ACCOUNT #: 00525061420	FIDELITY ADV FREEDOM 2025-CL A BUY 21 Units @14.0600	300.00	4.13	0.00	4.13	90.0	3.72
09/12/2018	***-**-54IR - SAVARESE-DILL, ACCOUNT #: 00525061420	FIDELITY ADV FREEDOM 2025-CL A BUY 14 Units @14.0600	200.00	2.75	0.00	2.75	90.0	2.48
09/12/2018	***-**-8240 - CHOWDHURY, NAHID ACCOUNT #: 00525061339	FIDELITY ADV FREEDOM 2025-CL A BUY 21 Units @14.0600	300.00	4.13	0.00	4.13	90.0	3.72
09/12/2018	***-**-8240 - CHOWDHURY, NAHID ACCOUNT #: 00525061339	FIDELITY ADV FREEDOM 2025-CL A BUY 14 Units @14.0600	200.00	2.75	0.00	2.75	90.0	2.48
09/12/2018	***-**-335I - BLASCO, LAURIE ACCOUNT #: 01443905136	FIDELITY ADV FREEDOM 2025-CL A BUY 8 Units @14.0600	110.19	1.52	0.00	1.52	90.0	1.37
09/12/2018	***-**-335I - BLASCO, LAURIE ACCOUNT #: 01443905136	FIDELITY ADV FREEDOM 2025-CL A BUY 8 Units @14.0600	110.20	1.52	0.00	1.52	90.0	1.37
09/10/2018	***-**-879I - DELAURA, ACCOUNT #: 01488339027	FIDELITY ADV FREEDOM 2055 BUY 0 Units @0.0000	0.00	0.36	0.00	0.36	90.0	0.32
09/12/2018	***-**-879I - DELAURA, ACCOUNT #: 01488339027	FIDELITY ADV FREEDOM 2055 BUY 6 Units @13.8500	86.73	1.20	0.00	1.20	90.0	1.08
09/12/2018	***-**-879I - DELAURA, ACCOUNT #: 01488339027	FIDELITY ADV FREEDOM 2055 BUY 6 Units @13.8500	82.72	1.14	0.00	1.14	90.0	1.03
09/10/2018	***-**-809I - YANKILEVICH, ACCOUNT #: 01429599556	FIDELITY ADV INTL REAL ESTATE-CL A BUY 0 Units @0.0000	0.00	2.14	0.00	2.14	90.0	1.93
09/10/2018	***-**-485I - YANKILEVICH, ACCOUNT #: 01429599564	FIDELITY ADV INTL REAL ESTATE-CL A BUY 0 Units @0.0000	0.00	0.95	0.00	0.95	90.0	0.86
09/10/2018	***-**-727I - PELL, ANDREA ACCOUNT #: 01435251887	FIDELITY ADV INVESTMENT GRADE BOND- BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	90.0	0.33
09/10/2018	***-**-5870 - BRUNO, KIM ACCOUNT #: 00510642531	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	1.64	0.00	1.64	90.0	1.48
09/10/2018	***-**-727I - PELL, ANDREA ACCOUNT #: 01435251887	FIDELITY ADV MID CAP VALUE-CL A BUY 0 Units @0.0000	0.00	0.78	0.00	0.78	90.0	0.70
09/10/2018	***-**-375I - WATSON, SANDRA ACCOUNT #: 01443935083	FIDELITY ADV SMALL CAP VALUE-CL A BUY 0 Units @0.0000	0.00	2.22	0.00	2.22	90.0	2.00
09/12/2018	***-**-375I - WATSON, SANDRA ACCOUNT #: 01443935083	FIDELITY ADV SMALL CAP VALUE-CL A BUY 2 Units @17.5100	36.00	0.50	0.00	0.50	90.0	0.45



# COMMISSION STATEMENT

## September 24, 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
<b><u>SPLIT TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: JEFFREY MORRISON (continued)</u></b>								
09/12/2018	***-**-375I - WATSON, SANDRA	FIDELITY ADV SMALL CAP VALUE-CL A	150.00	2.07	0.00	2.07	90.0	1.86
	ACCOUNT #: 01443935083	BUY 9 Units @17.5100						
09/10/2018	***-**-375I - WATSON, SANDRA	FIDELITY ADV STRATEGIC REAL RETURN-	0.00	1.52	0.00	1.52	90.0	1.37
	ACCOUNT #: 01443935083	BUY 0 Units @0.0000						
09/12/2018	***-**-375I - WATSON, SANDRA	FIDELITY ADV STRATEGIC REAL RETURN-	36.00	0.50	0.00	0.50	90.0	0.45
	ACCOUNT #: 01443935083	BUY 4 Units @9.1200						
09/12/2018	***-**-375I - WATSON, SANDRA	FIDELITY ADV STRATEGIC REAL RETURN-	150.00	2.07	0.00	2.07	90.0	1.86
	ACCOUNT #: 01443935083	BUY 16 Units @9.1200						
09/10/2018	***-**-871I - MURPHY, DENISE	FIDELITY ADVISOR FREEDOM 2040	0.00	2.91	0.00	2.91	90.0	2.62
	ACCOUNT #: 01443905094	BUY 0 Units @0.0000						
09/10/2018	***-**-535I - RIOLO, DOROTHEA	FIDELITY ADVISOR FREEDOM 2040	0.00	1.26	0.00	1.26	90.0	1.13
	ACCOUNT #: 01443938483	BUY 0 Units @0.0000						
09/12/2018	***-**-871I - MURPHY, DENISE	FIDELITY ADVISOR FREEDOM 2040	99.93	1.38	0.00	1.38	90.0	1.24
	ACCOUNT #: 01443905094	BUY 6 Units @16.1600						
09/12/2018	***-**-871I - MURPHY, DENISE	FIDELITY ADVISOR FREEDOM 2040	192.48	2.65	0.00	2.65	90.0	2.39
	ACCOUNT #: 01443905094	BUY 12 Units @16.1600						
09/10/2018	***-**-375I - WATSON, SANDRA	FIDELITY ADVISOR GOLD FUND CLASS A	0.00	0.75	0.00	0.75	90.0	0.68
	ACCOUNT #: 01443935083	BUY 0 Units @0.0000						
09/12/2018	***-**-375I - WATSON, SANDRA	FIDELITY ADVISOR GOLD FUND CLASS A	100.00	1.38	0.00	1.38	90.0	1.24
	ACCOUNT #: 01443935083	BUY 6 Units @15.9500						
09/12/2018	***-**-375I - WATSON, SANDRA	FIDELITY ADVISOR GOLD FUND CLASS A	24.00	0.33	0.00	0.33	90.0	0.30
	ACCOUNT #: 01443935083	BUY 2 Units @15.9500						
09/10/2018	***-**-809I - YANKILEVICH,	FIDELITY ADVISOR REAL ESTATE FUND C	0.00	2.17	0.00	2.17	90.0	1.95
	ACCOUNT #: 01429599556	BUY 0 Units @0.0000						
09/10/2018	***-**-485I - YANKILEVICH,	FIDELITY ADVISOR REAL ESTATE FUND C	0.00	0.97	0.00	0.97	90.0	0.87
	ACCOUNT #: 01429599564	BUY 0 Units @0.0000						
09/10/2018	***-**-375I - WATSON, SANDRA	FIDELITY ADVISOR REAL ESTATE FUND C	0.00	1.88	0.00	1.88	90.0	1.69
	ACCOUNT #: 01443935083	BUY 0 Units @0.0000						
09/12/2018	***-**-375I - WATSON, SANDRA	FIDELITY ADVISOR REAL ESTATE FUND C	150.00	2.07	0.00	2.07	90.0	1.86
	ACCOUNT #: 01443935083	BUY 6 Units @23.1500						
09/12/2018	***-**-375I - WATSON, SANDRA	FIDELITY ADVISOR REAL ESTATE FUND C	36.00	0.50	0.00	0.50	90.0	0.45
	ACCOUNT #: 01443935083	BUY 2 Units @23.1500						



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## September 24, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: JEFFREY MORRISON (continued)</u></b>								
09/10/2018	***-**-727I - PELL, ANDREA ACCOUNT #: 01435251887	FIDELITY ADVISOR STK SELECTOR ALL C BUY 0 Units @0.0000	0.00	1.10	0.00	1.10	90.0	0.99
09/24/2018	***-**-24iO - BONGORT,	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	1.82	0.00	1.82	90.0	1.64
09/24/2018	***-**-375O - WATSON	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	1.22	0.00	1.22	90.0	1.10
09/24/2018	***-**-60TR - BRILL FAMILY	GWG L-BOND 2 YR RENEWAL BUY 0 Units @0.0000	70,000.00	1,400.00	0.00	1,400.00	90.0	1,260.00
09/24/2018	***-**-60TR - BRILL FAMILY	GWG L-BOND 2 YR RENEWAL BUY 0 Units @0.0000	15,000.00	300.00	0.00	300.00	90.0	270.00
09/24/2018	***-**-9385 - JOSEPH, BRIAN ACCOUNT #: 77094508001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.01	0.00	3.01	90.0	2.71
09/24/2018	***-**-7673 - MORRISON, ACCOUNT #: 77152277401	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	8.49	0.00	8.49	90.0	7.64
09/24/2018	***-**-446J - RUBIN ACCOUNT #: 77334416801	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.89	0.00	3.89	90.0	3.50
09/24/2018	***-**-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
09/24/2018	***-**-18iN - WATSON ACCOUNT #: 77398834701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.51	0.00	0.51	90.0	0.46
09/24/2018	***-**-165P - BRILL, AMY	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	14.22	0.00	14.22	90.0	12.80
09/24/2018	***-**-405P - KITOGRAD, JAY ACCOUNT #: 77739941101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.68	0.00	1.68	90.0	1.51
09/15/2018	***-**-8599 - COHEN, STUART ACCOUNT #: VP65920220	PACIFIC LIFE EXCE 5A DTCC BUY 0 Units @0.0000	500.00	5.00	0.00	5.00	90.0	4.50
09/15/2018	***-**-9012 - GIUFFRE, RICHARD ACCOUNT #: VP65345830	PACIFIC LIFE EXEC II DTCC BUY 0 Units @0.0000	250.00	1.25	0.00	1.25	90.0	1.13
09/15/2018	***-**-9012 - GIUFFRE, RICHARD ACCOUNT #: VP65345830	PACIFIC LIFE EXEC II DTCC BUY 0 Units @0.0000	250.00	1.25	0.00	1.25	90.0	1.13
09/16/2018	***-**-6017 - DILL, ROWAN ACCOUNT #: VP65524490	PACIFIC LIFE EXEC II DTCC BUY 0 Units @0.0000	210.00	1.05	0.00	1.05	90.0	0.95





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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: JEFFREY MORRISON (continued)</u></b>								
09/16/2018	***-**-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						
09/21/2018	***-**-7642 - HARRISON, DANIEL	PACIFIC LIFE SE5-NYB DTCC	500.00	7.50	0.00	7.50	90.0	6.75
	ACCOUNT #: VP71028600	BUY 0 Units @0.0000						
09/17/2018	***-**-9275 - NIEMEIJER,	PACIFIC LIFE VA TRAILS DTCC	3,000.00	30.00	0.00	30.00	90.0	27.00
	ACCOUNT #: VP65752600	BUY 0 Units @0.0000						
09/24/2018	***-**-85IN - YANKILEVICH,	UNDERWRITER COMM	0.00	127.65	0.00	127.65	90.0	114.89
	ACCOUNT #: 20001400	BUY 0 Units @0.0000						
* JEFFREY MORRISON SUBTOTAL *			\$92,842.25	\$2,048.32	\$0.00	\$2,048.32		\$1,843.53
*** SPLIT TRANSACTIONS TOTAL ***			\$92,842.25	\$2,048.32	\$0.00	\$2,048.32		\$1,843.53
<b><u>OVERRIDE TRANSACTIONS</u></b>								
<b><u>BROKER: ALAN FISHMAN</u></b>								
09/10/2018	***-**-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 @45.8400						
* ALAN FISHMAN SUBTOTAL *			\$25.00	\$1.25	\$0.00	\$1.25		\$0.09
*** OVERRIDE TRANSACTIONS TOTAL ***			\$25.00	\$1.25	\$0.00	\$1.25		\$0.09



BROKER #: 981  
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			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div></div>								
BROKER COMMISSION TOTALS								
Broker Transactions\$90.22								
Split Transactions\$1,843.53								
Override Transactions\$0.09								
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\$1,933.84								
Year-to-date Earnings\$50,558.97								