

**COMMISSION STATEMENT****October 31, 2018****BARRY POMP**

21 HANCOCK COURT

EAST BRUNSWICK, NJ 08816

**BROKER #: P9B**

BRANCH: HOME OFFICE

**COMMISSION STATEMENT for BARRY POMP**

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

**BROKER TRANSACTIONS****PRODUCT CATEGORY: STOCKS**

|            |          |                |  |  |   |                     |                 |               |                 |      |                 |
|------------|----------|----------------|--|--|---|---------------------|-----------------|---------------|-----------------|------|-----------------|
| 09/28/2018 | 75500367 | HALSTEAD, MARK |  | WELLS FARGO & CO                         | B | 26,392.50           | 125.00          | 0.00          | 125.00          | 50.0 | 62.50           |
| 10/04/2018 | 75500367 | HALSTEAD, MARK |  | DYNEX CAP INC COM NEW                    | B | 12,160.00           | 100.00          | 0.00          | 100.00          | 50.0 | 50.00           |
| 10/05/2018 | 75500367 | HALSTEAD, MARK |  | DYNEX CAP INC COM NEW                    | B | 12,040.00           | 100.00          | 0.00          | 100.00          | 50.0 | 50.00           |
| 10/08/2018 | 75500367 | HALSTEAD, MARK |  | ALIBABA GROUP HOLDING LTD SPONSORED B    |   | 29,800.00           | 125.00          | 0.00          | 125.00          | 50.0 | 62.50           |
| 10/26/2018 | 75500367 | HALSTEAD, MARK |  | GABELLI DIVIDEND & INCOME FUND           | B | 20,560.00           | 125.00          | 0.00          | 125.00          | 50.0 | 62.50           |
|            |          |                |  | <b>* STOCKS SUBTOTAL *</b>               |   | <b>\$100,952.50</b> | <b>\$575.00</b> | <b>\$0.00</b> | <b>\$575.00</b> |      | <b>\$287.50</b> |
|            |          |                |  | <b>*** BROKER TRANSACTIONS TOTAL ***</b> |   | <b>\$100,952.50</b> | <b>\$575.00</b> | <b>\$0.00</b> | <b>\$575.00</b> |      | <b>\$287.50</b> |

**ADJUSTMENTS**

|                           |                                  |        |        |        |        |           |
|---------------------------|----------------------------------|--------|--------|--------|--------|-----------|
| 10/31/2018                | OTHER: 360 OFFICE                | 0.00   | 0.00   | 0.00   | 0.00   | -8.00     |
| 10/31/2018                | OTHER: BLOOMBERG                 | 0.00   | 0.00   | 0.00   | 0.00   | -952.50   |
| 10/31/2018                | OTHER: COMPLIANCE AND TECHNOLOGY | 0.00   | 0.00   | 0.00   | 0.00   | -20.00    |
| *** ADJUSTMENTS TOTAL *** |                                  | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$-980.50 |

**BROKER COMMISSION TOTALS**

|                       |             |
|-----------------------|-------------|
| Broker Transactions   | \$287.50    |
| Split Transactions    | \$0.00      |
| Override Transactions | \$0.00      |
| Adjustments           | \$-980.50   |
| Payroll Draw          | \$0.00      |
| Base Salary           | \$0.00      |
| Prior Period Balance  | \$-7,753.75 |
| FINRA Assessment      | \$-0.72     |
| SIPC Assessment       | \$-1.44     |

Please Retain for Your Records  
THERE WILL BE NO CHECK THIS PERIOD

|                              |                    |
|------------------------------|--------------------|
| <b>Balance Forward</b>       | <b>\$-8,448.91</b> |
| <b>Year-to-date Earnings</b> | <b>\$-8,448.91</b> |