

COMMISSION STATEMENT

November 30, 2018

STEPHEN MOSS
1336 MARYLAND AVENUEBROKER #: V05 A05
BRANCH: FULCRUM GROUP

HAVERTOWN, PA 19082

COMMISSION STATEMENT for STEPHEN MOSS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
11/09/2018 (None)	VARIOUS, MOSS	MASS MUTUAL	B	0.00	17.44	0.00	17.44	50.0	8.72
11/13/2018 (None)	VARIOUS, MOSS	529 PLAN	B	0.00	3.50	0.00	3.50	50.0	1.75
* MUTUAL FUNDS SUBTOTAL *				\$0.00	\$20.94	\$0.00	\$20.94		\$10.47
<u>PRODUCT CATEGORY: STOCKS</u>									
11/01/2018 75501797	HERTEN, TIMOTHY	INVESCO EXCHANGE TRADED FD TR II IN B		-2,217.04	-90.84	0.00	-90.84	50.0	-45.42 C
11/01/2018 75501797	HERTEN, TIMOTHY	INVESCO EXCHANGE TRADED FD TR II IN S		2,217.04	0.00	0.00	0.00	50.0	0.00
11/01/2018 75501797	HERTEN, TIMOTHY	INVESCO EXCHANGE TRADED FD TR II IN S		2,217.04	90.84	0.00	90.84	50.0	45.42
11/01/2018 75501797	HERTEN, TIMOTHY	INVESCO QQQ TR UNIT SER 1	S	2,404.78	0.00	0.00	0.00	50.0	0.00
11/01/2018 75501797	HERTEN, TIMOTHY	INVESCO QQQ TR UNIT SER 1	S	2,404.78	69.91	0.00	69.91	50.0	34.96
11/01/2018 75501797	HERTEN, TIMOTHY	INVESCO QQQ TR UNIT SER 1	B	-2,404.78	-69.91	0.00	-69.91	50.0	-34.96 C
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES MSCI EMERGING MARKETS ETF	S	1,984.99	0.00	0.00	0.00	50.0	0.00
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES MSCI EMERGING MARKETS ETF	B	-1,984.99	-61.48	0.00	-61.48	50.0	-30.74 C
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES MSCI EMERGING MARKETS ETF	S	1,984.99	61.48	0.00	61.48	50.0	30.74
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES MSCI EAFE ETF	B	-1,893.75	-59.65	0.00	-59.65	50.0	-29.83 C
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES MSCI EAFE ETF	S	1,893.75	0.00	0.00	0.00	50.0	0.00
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES MSCI EAFE ETF	S	1,893.75	59.65	0.00	59.65	50.0	29.83
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES S&P500 GROWTH INDEX FD	S	2,303.00	67.86	0.00	67.86	50.0	33.93
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES S&P500 GROWTH INDEX FD	B	-2,303.00	-67.86	0.00	-67.86	50.0	-33.93 C
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES S&P500 GROWTH INDEX FD	S	2,303.00	0.00	0.00	0.00	50.0	0.00
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES TR S&P MIDCAP 400 GROWTH	B	-1,707.84	-55.91	0.00	-55.91	50.0	-27.96 C
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES TR S&P MIDCAP 400 GROWTH	S	1,707.84	0.00	0.00	0.00	50.0	0.00
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES TR S&P MIDCAP 400 GROWTH	S	1,707.84	55.91	0.00	55.91	50.0	27.96
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES U S INDUSTRIALS ETF	B	-3,827.52	-90.26	0.00	-90.26	50.0	-45.13 C
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES U S HEALTHCARE ETF	S	4,002.39	92.69	0.00	92.69	50.0	46.35
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES U S HEALTHCARE ETF	S	4,002.39	0.00	0.00	0.00	50.0	0.00
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES U S HEALTHCARE ETF	B	-4,002.39	-92.69	0.00	-92.69	50.0	-46.35 C
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES U S CONSUMER GOODS ETF	S	3,287.20	82.75	0.00	82.75	50.0	41.38
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES U S CONSUMER GOODS ETF	S	3,287.20	0.00	0.00	0.00	50.0	0.00
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES U S CONSUMER GOODS ETF	B	-3,287.20	-82.75	0.00	-82.75	50.0	-41.38 C
11/01/2018 75501797	HERTEN, TIMOTHY	ISHARES U S INDUSTRIALS ETF	S	3,827.52	90.26	0.00	90.26	50.0	45.13

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BROKER TRANSACTIONS									
PRODUCT CATEGORY: STOCKS									
11/01/2018	75501797	HERTEN, TIMOTHY		ISHARES U S INDUSTRIALS ETF	S	3,827.52	0.00	0.00	0.00
11/01/2018	75501797	HERTEN, TIMOTHY		ISHARES U S REAL ESTATE ETF	S	1,644.72	54.65	0.00	54.65
11/01/2018	75501797	HERTEN, TIMOTHY		ISHARES U S TECHNOLOGY ETF	S	5,018.44	0.00	0.00	0.00
11/01/2018	75501797	HERTEN, TIMOTHY		ISHARES U S REAL ESTATE ETF	B	-1,644.72	-54.65	0.00	-54.65
11/01/2018	75501797	HERTEN, TIMOTHY		ISHARES U S TECHNOLOGY ETF	B	-5,018.44	-105.00	0.00	-105.00
11/01/2018	75501797	HERTEN, TIMOTHY		ISHARES U S REAL ESTATE ETF	S	1,644.72	0.00	0.00	0.00
11/01/2018	75501797	HERTEN, TIMOTHY		ISHARES U S TECHNOLOGY ETF	S	5,018.44	105.00	0.00	105.00
11/01/2018	75501797	HERTEN, TIMOTHY		SPDR DOW JONES INDL AVERAGE ETF TR	S	2,530.50	72.23	0.00	72.23
11/01/2018	75501797	HERTEN, TIMOTHY		SPDR DOW JONES INDL AVERAGE ETF TR	B	-2,530.50	-72.23	0.00	-72.23
11/01/2018	75501797	HERTEN, TIMOTHY		SPDR DOW JONES INDL AVERAGE ETF TR	S	2,530.50	0.00	0.00	0.00
11/01/2018	75501797	HERTEN, TIMOTHY		SPDR S&P 500 ETF TRUST	S	2,184.64	65.49	0.00	65.49
11/01/2018	75501797	HERTEN, TIMOTHY		SPDR S&P 500 ETF TRUST	B	-2,184.64	-65.49	0.00	-65.49
11/01/2018	75501797	HERTEN, TIMOTHY		SPDR S&P 500 ETF TRUST	S	2,184.64	0.00	0.00	0.00
11/01/2018	75501797	HERTEN, TIMOTHY		SPDR SER TR BLOOMBERG BARCLAYS INTL B		-2,300.10	-67.81	0.00	-67.81
11/01/2018	75501797	HERTEN, TIMOTHY		SPDR SER TR BLOOMBERG BARCLAYS INTL S		2,300.10	0.00	0.00	0.00
11/01/2018	75501797	HERTEN, TIMOTHY		SPDR SER TR BLOOMBERG BARCLAYS INTL S		2,300.10	67.81	0.00	67.81
11/01/2018	75501797	HERTEN, TIMOTHY		SPDR SERIES TRUST SPDR BLOOMBERG BA B		-2,499.49	-71.81	0.00	-71.81
11/01/2018	75501797	HERTEN, TIMOTHY		SPDR SERIES TRUST SPDR BLOOMBERG BA S		2,499.49	71.81	0.00	71.81
11/01/2018	75501797	HERTEN, TIMOTHY		SPDR SERIES TRUST SPDR BLOOMBERG BA S		2,499.49	0.00	0.00	0.00
11/02/2018	75501797	HERTEN, TIMOTHY		SPDR INDEX SHARES FUNDS SPDR S&P EM B		383.76	0.00	0.00	0.00
11/02/2018	75501797	HERTEN, TIMOTHY		SPDR INDEX SHS FDS S&P WORLD EX-US B		8,373.12	0.00	0.00	0.00
11/02/2018	75501797	HERTEN, TIMOTHY		SPDR INDEX SHS FDS S&P EMERGING MAR B		3,179.65	0.00	0.00	0.00
11/02/2018	75501797	HERTEN, TIMOTHY		SPDR INDEX SHS FDS S&P INTERNATIONAL B		1,190.04	0.00	0.00	0.00
11/02/2018	75501797	HERTEN, TIMOTHY		SPDR INDEX SHS FDS DOW JONES GLOBAL B		2,009.92	0.00	0.00	0.00
11/02/2018	75501797	HERTEN, TIMOTHY		SPDR RUSSELL 2000 ETF	B	3,583.66	0.00	0.00	0.00
11/02/2018	75501797	HERTEN, TIMOTHY		SPDR RUSSELL 1000 ETF	B	11,154.78	0.00	0.00	0.00
11/02/2018	75501797	HERTEN, TIMOTHY		SPDR SERIES TRUST SPDR PORTFOLIO IN B		789.60	0.00	0.00	0.00
11/02/2018	75501797	HERTEN, TIMOTHY		SPDR SERIES TRUST SPDR BLOOMBERG BA B		808.50	0.00	0.00	0.00
11/02/2018	75501797	HERTEN, TIMOTHY		SPDR SERIES TRUST SPDR BLOOMBERG BA B		1,189.76	0.00	0.00	0.00
11/02/2018	75501797	HERTEN, TIMOTHY		SPDR SERIES TRUST SPDR BLOOMBERG BA B		5,973.48	0.00	0.00	0.00
11/02/2018	75501797	HERTEN, TIMOTHY		SPDR SERIES TRUST SPDR BLOOMBERG BA B		1,225.21	0.00	0.00	0.00
11/05/2018	75501797	HERTEN, TIMOTHY		SPDR INDEX SHS FDS S&P WORLD EX-US B		255.96	0.00	0.00	0.00
11/05/2018	75501797	HERTEN, TIMOTHY		SPDR INDEX SHARES FUNDS SPDR S&P EM B		42.69	0.00	0.00	0.00
11/05/2018	75501797	HERTEN, TIMOTHY		SPDR INDEX SHS FDS S&P EMERGING MAR B		100.44	0.00	0.00	0.00
11/05/2018	75501797	HERTEN, TIMOTHY		SPDR INDEX SHS FDS S&P INTERNATIONAL B		31.29	0.00	0.00	0.00
11/05/2018	75501797	HERTEN, TIMOTHY		SPDR INDEX SHS FDS DOW JONES GLOBAL B		46.28	0.00	0.00	0.00
11/05/2018	75501797	HERTEN, TIMOTHY		SPDR RUSSELL 1000 ETF	B	350.35	0.00	0.00	0.00
11/05/2018	75501797	HERTEN, TIMOTHY		SPDR RUSSELL 2000 ETF	B	120.80	0.00	0.00	0.00
11/05/2018	75501797	HERTEN, TIMOTHY		SPDR SERIES TRUST SPDR BLOOMBERG BA B		191.00	0.00	0.00	0.00
11/05/2018	75501797	HERTEN, TIMOTHY		SPDR SERIES TRUST SPDR BLOOMBERG BA B		54.08	0.00	0.00	0.00

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<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
11/05/2018	75501797	HERTEN, TIMOTHY							
		SPDR SERIES TRUST SPDR PORTFOLIO IN B		32.92	0.00	0.00	0.00	50.0	0.00
11/09/2018	75501797	HERTEN, TIMOTHY							
		SPDR INDEX SHS FDS S&P WORLD EX-US S		256.59	0.00	0.00	0.00	50.0	0.00
11/09/2018	75501797	HERTEN, TIMOTHY							
		SPDR INDEX SHS FDS S&P INTERNATIONAL S		31.29	0.00	0.00	0.00	50.0	0.00
11/09/2018	75501797	HERTEN, TIMOTHY							
		SPDR INDEX SHS FDS DOW JONES GLOBAL S		93.96	0.00	0.00	0.00	50.0	0.00
11/09/2018	75501797	HERTEN, TIMOTHY							
		SPDR RUSSELL 2000 ETF S		121.72	0.00	0.00	0.00	50.0	0.00
11/09/2018	75501797	HERTEN, TIMOTHY							
		SPDR RUSSELL 1000 ETF S		585.72	0.00	0.00	0.00	50.0	0.00
11/09/2018	75501797	HERTEN, TIMOTHY							
		SPDR SERIES TRUST SPDR BLOOMBERG BA S		54.10	0.00	0.00	0.00	50.0	0.00
11/09/2018	75501797	HERTEN, TIMOTHY							
		SPDR SERIES TRUST SPDR BLOOMBERG BA S		32.65	0.00	0.00	0.00	50.0	0.00
11/09/2018	75501797	HERTEN, TIMOTHY							
		SPDR SERIES TRUST SPDR BLOOMBERG BA S		190.82	0.00	0.00	0.00	50.0	0.00
11/01/2018	75501875	RALPH G BARTO TRUST							
		ISHARES U S CONSUMER SERVICES ETF S		18,258.32	0.00	0.00	0.00	50.0	0.00
11/01/2018	75501875	RALPH G BARTO TRUST							
		ISHARES U S UTILITIES ETF B		71,182.32	0.00	0.00	0.00	50.0	0.00
11/01/2018	75501875	RALPH G BARTO TRUST							
		ISHARES U S HEALTHCARE ETF S		17,736.96	0.00	0.00	0.00	50.0	0.00
11/01/2018	75501875	RALPH G BARTO TRUST							
		ISHARES U S TECHNOLOGY ETF S		18,087.89	0.00	0.00	0.00	50.0	0.00
11/01/2018	75501875	RALPH G BARTO TRUST							
		ISHARES U S INDUSTRIALS ETF S		17,157.07	0.00	0.00	0.00	50.0	0.00
11/01/2018	75501877	MORRIS WEISMAN TTEE							
		ISHARES U S UTILITIES ETF B		131,136.64	0.00	0.00	0.00	50.0	0.00
11/01/2018	75501877	MORRIS WEISMAN TTEE							
		ISHARES U S CONSUMER SERVICES ETF S		33,729.72	0.00	0.00	0.00	50.0	0.00
11/01/2018	75501877	MORRIS WEISMAN TTEE							
		ISHARES U S INDUSTRIALS ETF S		31,756.37	0.00	0.00	0.00	50.0	0.00
11/01/2018	75501877	MORRIS WEISMAN TTEE							
		ISHARES U S HEALTHCARE ETF S		32,600.79	0.00	0.00	0.00	50.0	0.00
11/01/2018	75501877	MORRIS WEISMAN TTEE							
		ISHARES U S TECHNOLOGY ETF S		33,150.06	0.00	0.00	0.00	50.0	0.00
11/01/2018	75501878	MORRIS WEISMAN TTEE							
		ISHARES U S UTILITIES ETF B		28,989.38	0.00	0.00	0.00	50.0	0.00
11/01/2018	75501878	MORRIS WEISMAN TTEE							
		ISHARES U S CONSUMER SERVICES ETF S		7,730.58	0.00	0.00	0.00	50.0	0.00
11/01/2018	75501878	MORRIS WEISMAN TTEE							
		ISHARES U S INDUSTRIALS ETF S		7,085.00	0.00	0.00	0.00	50.0	0.00
11/01/2018	75501878	MORRIS WEISMAN TTEE							
		ISHARES U S HEALTHCARE ETF S		7,242.80	0.00	0.00	0.00	50.0	0.00
11/01/2018	75501878	MORRIS WEISMAN TTEE							
		ISHARES U S TECHNOLOGY ETF S		7,526.40	0.00	0.00	0.00	50.0	0.00
11/08/2018	75501994	MCCOACH, MARY							
		SPDR INDEX SHS FDS S&P WORLD EX-US B		57.68	0.00	0.00	0.00	50.0	0.00
11/08/2018	75501994	MCCOACH, MARY							
		SPDR RUSSELL 2000 ETF B		31.08	0.00	0.00	0.00	50.0	0.00
11/01/2018	75502025	THIEU, MINH							
		ISHARES U S INDUSTRIALS ETF S		4,534.72	0.00	0.00	0.00	50.0	0.00
11/01/2018	75502025	THIEU, MINH							
		ISHARES U S HEALTHCARE ETF S		4,574.88	0.00	0.00	0.00	50.0	0.00
11/01/2018	75502025	THIEU, MINH							
		ISHARES U S UTILITIES ETF B		19,127.74	0.00	0.00	0.00	50.0	0.00
11/01/2018	75502025	THIEU, MINH							
		ISHARES U S TECHNOLOGY ETF S		4,656.34	0.00	0.00	0.00	50.0	0.00
11/01/2018	75502025	THIEU, MINH							
		ISHARES U S CONSUMER SERVICES ETF S		5,358.42	0.00	0.00	0.00	50.0	0.00
11/01/2018	75502095	VERBITSKI, THOMAS							
		ISHARES U S UTILITIES ETF B		85,484.76	0.00	0.00	0.00	50.0	0.00
11/01/2018	75502095	VERBITSKI, THOMAS							
		ISHARES U S CONSUMER SERVICES ETF S		22,214.67	0.00	0.00	0.00	50.0	0.00
11/01/2018	75502095	VERBITSKI, THOMAS							
		ISHARES U S INDUSTRIALS ETF S		20,591.88	0.00	0.00	0.00	50.0	0.00
11/01/2018	75502095	VERBITSKI, THOMAS							
		ISHARES U S HEALTHCARE ETF S		21,107.21	0.00	0.00	0.00	50.0	0.00
11/01/2018	75502095	VERBITSKI, THOMAS							
		ISHARES U S TECHNOLOGY ETF S		23,006.43	0.00	0.00	0.00	50.0	0.00
* STOCKS SUBTOTAL *				\$756,376.65	\$0.00	\$0.00	\$0.00		\$0.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
11/07/2018 (None)	VARIOUS, MOSS	JACKSON	B	0.00	15.25	0.00	15.25	50.0	7.63
11/13/2018 (None)	VARIOUS, MOSS	AM LEGACY III PLUS - AMERICAN FUNDS	B	0.00	262.57	0.00	262.57	50.0	131.29
11/26/2018 (None)	VARIOUS, MOSS	MASS MUTUAL	B	0.00	8.16	0.00	8.16	50.0	4.08
* VARIABLE ANNUITIES SUBTOTAL *				\$0.00	\$285.98	\$0.00	\$285.98		\$143.00
<u>PRODUCT CATEGORY: RIA</u>									
10/01/2018 75501796	MOSS, KATHLEEN	FAS FEES PT. II/III	B	-141.49	47.16	0.00	47.16	50.0	23.58
10/01/2018 75501799	HERTEN, TIMOTHY	FAS FEES PT. II/III	B	-117.82	39.27	0.00	39.27	50.0	19.64
10/01/2018 75501801	JOHN W SCHULTZ TTEE	FAS FEES PT. II/III	B	-299.59	99.86	0.00	99.86	50.0	49.93
10/01/2018 75501802	MCELREAVEY, DANIEL	FAS FEES PT. II/III	B	-200.47	66.82	0.00	66.82	50.0	33.41
10/01/2018 75501873	BESETH, DAVID	FAS FEES PT. II/III	B	-458.08	152.69	0.00	152.69	50.0	76.35
10/01/2018 75501875	RALPH G BARTO TRUST	FAS FEES PT. II/III	B	-633.40	211.13	0.00	211.13	50.0	105.57
10/01/2018 75501877	MORRIS WEISMAN TTEE	FAS FEES PT. II/III	B	-1,750.31	583.43	0.00	583.43	50.0	291.72
10/01/2018 75501878	MORRIS WEISMAN TTEE	FAS FEES PT. II/III	B	-225.49	75.16	0.00	75.16	50.0	37.58
10/01/2018 75501907	HESTON, EUGENE	FAS FEES PT. II/III	B	-400.03	133.34	0.00	133.34	50.0	66.67
10/01/2018 75501922	HAFENMAIER, HELEN	FAS FEES PT. II/III	B	-319.76	106.58	0.00	106.58	50.0	53.29
10/01/2018 75501924	CUNNINGHAM, WENDY	FAS FEES PT. II/III	B	-366.64	122.21	0.00	122.21	50.0	61.11
10/01/2018 75501937	BERG, ELIZABETH	FAS FEES PT. II/III	B	-295.10	98.36	0.00	98.36	50.0	49.18
10/01/2018 75501944	EDWARD W CUNICELLI	FAS FEES PT. II/III	B	-361.01	120.33	0.00	120.33	50.0	60.17
10/01/2018 75502025	THIEU, MINH	FAS FEES PT. II/III	B	-527.78	175.92	0.00	175.92	50.0	87.96
10/01/2018 75502026	DAVID DIEU TTEE	FAS FEES PT. II/III	B	-359.18	119.72	0.00	119.72	50.0	59.86
10/01/2018 75502095	VERBITSKI, THOMAS	FAS FEES PT. II/III	B	-1,083.05	361.01	0.00	361.01	50.0	180.51
10/01/2018 75502176	DENNIN, MARY	FAS FEES PT. II/III	B	-246.19	82.06	0.00	82.06	50.0	41.03
10/01/2018 75502191	LEIGH, JOHN	FAS FEES PT. II/III	B	-93.27	31.09	0.00	31.09	50.0	15.55
* RIA SUBTOTAL *				\$-7,878.66	\$2,626.14	\$0.00	\$2,626.14		\$1,313.11
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
11/30/2018		FEE COUNT - 7		0.00	3.40	0.00	3.40	50.0	0.62
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$3.40	\$0.00	\$3.40		\$0.62
*** BROKER TRANSACTIONS TOTAL ***				\$748,497.99	\$2,936.46	\$0.00	\$2,936.46		\$1,467.20

COMMISSION STATEMENT for STEPHEN MOSS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS

11/30/2018		MISCELLANEOUS: UNBUNDLED FEES 2/3		0.00	0.00	0.00	0.00		-258.28
11/30/2018		OTHER: OVERTRADING 75502026		0.00	0.00	0.00	0.00		-60.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-318.28

BROKER COMMISSION TOTALS

Broker Transactions	\$1,467.20
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-318.28
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-3.67
SIPC Assessment	\$-7.34

Check Amount	\$1,137.91
Year-to-date Earnings	\$16,646.71