

COMMISSION STATEMENT

November 30, 2018

LOUIS CIAVARELLA
21 MILITIA HILL DRIVE

BROKER #: V22 A04
BRANCH: FULCRUM GROUP

CHESTERBROOK, PA 19087

COMMISSION STATEMENT for LOUIS CIAVARELLA

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

11/13/2018	75501743	CIAVARELLA, LOUIS	FIDELITY ADVISOR (FOCUS) HEALTH CAR B		1,073.14	0.00	0.00	0.00	50.0	0.00
11/13/2018	75501743	CIAVARELLA, LOUIS	FIDELITY ADV TECHNOLOGY CL A	S	1,073.14	0.00	0.00	0.00	50.0	0.00
11/12/2018	75501746	CIAVARELLA, LOUIS	**VIRTUS STRATEGIC GROWTH FUND	S	5,180.19	0.00	0.00	0.00	50.0	0.00
11/12/2018	75501746	CIAVARELLA, LOUIS	BLACKROCK ASSET ALLOCATION PORTFOLI B		7,476.00	0.00	0.00	0.00	50.0	0.00
11/12/2018	75501746	CIAVARELLA, LOUIS	BLACKROCK SCIENCE & TECH OPPORTUNIT S		7,476.00	0.00	0.00	0.00	50.0	0.00
11/12/2018	75501746	CIAVARELLA, LOUIS	BLACKROCK BASIC VALUE FUND INC CLAS B		7,476.00	0.00	0.00	0.00	50.0	0.00
11/12/2018	75501746	CIAVARELLA, LOUIS	BLACKROCK SCIENCE & TECH OPPORTUNIT S		7,476.00	0.00	0.00	0.00	50.0	0.00
11/12/2018	75501746	CIAVARELLA, LOUIS	FIDELITY ADV TECHNOLOGY CL A	S	20,794.77	0.00	0.00	0.00	50.0	0.00
11/12/2018	75501746	CIAVARELLA, LOUIS	FIDELITY ADVISOR (FOCUS) HEALTH CAR B		20,794.77	0.00	0.00	0.00	50.0	0.00
11/15/2018	75501749	CIAVARELLA, MELISSA	FA SEMICONDUCTORS FUND CLASS I	S	4,939.23	0.00	0.00	0.00	50.0	0.00
11/15/2018	75501749	CIAVARELLA, MELISSA	FIDELITY ADVISOR TECHNOLOGY FUND CL S		5,308.36	0.00	0.00	0.00	50.0	0.00
11/15/2018	75501749	CIAVARELLA, MELISSA	FIDELITY ADVISOR HEALTH CARE FUND C B		4,939.23	0.00	0.00	0.00	50.0	0.00
11/15/2018	75501749	CIAVARELLA, MELISSA	FIDELITY ADVISOR HEALTH CARE FUND C B		5,308.36	0.00	0.00	0.00	50.0	0.00
11/15/2018	75501764	HALL, JOAN	FIDELITY ADVISOR FOCUS FUNDS HEALTH B		9,934.92	0.00	0.00	0.00	50.0	0.00
11/15/2018	75501764	HALL, JOAN	FIDELITY ADVISOR FOCUS FUNDS HEALTH B		15,514.25	0.00	0.00	0.00	50.0	0.00
11/15/2018	75501764	HALL, JOAN	FIDELITY ADVISOR FUNDS 315918367	S	9,934.92	0.00	0.00	0.00	50.0	0.00
11/15/2018	75501764	HALL, JOAN	FIDELITY ADVISOR FUNDS 315918524	S	15,514.25	0.00	0.00	0.00	50.0	0.00
* MUTUAL FUNDS SUBTOTAL *					\$150,213.53	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

11/09/2018	75501549	ALEXANDER, RUTH	STARWOOD PROPERTY TRUST INC	B	6,375.00	165.29	0.00	165.29	50.0	82.65
11/08/2018	75501742	CIAVARELLA, LOUIS	DOWDUPONT INC COMMON STOCK	B	5,930.47	0.00	0.00	0.00	50.0	0.00
11/12/2018	75501742	CIAVARELLA, LOUIS	ALTABA INC COM	S	5,978.26	0.00	0.00	0.00	50.0	0.00
11/15/2018	75501742	CIAVARELLA, LOUIS	ALLIANZGI CONV & INCOME FD II COM	B	2,700.00	0.00	0.00	0.00	50.0	0.00
11/15/2018	75501745	CIAVARELLA, LOUIS	CHEMOURS COMPANY (THE) COM	S	1,525.25	15.00	0.00	15.00	50.0	0.00
11/12/2018	75501749	CIAVARELLA, MELISSA	ALIBABA GROUP HOLDING LTD SPONSORED S		7,130.25	0.00	0.00	0.00	50.0	0.00
* STOCKS SUBTOTAL *					\$29,639.23	\$180.29	\$0.00	\$180.29		\$82.65

PRODUCT CATEGORY: VARIABLE ANNUITIES

11/30/2018	(None)	VARIOUS, CIAVARELLA	OHIO NATIONAL FINANCIAL	B	0.00	138.14	0.00	138.14	50.0	69.07
* VARIABLE ANNUITIES SUBTOTAL *					\$0.00	\$138.14	\$0.00	\$138.14		\$69.07

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
BROKER TRANSACTIONS											
PRODUCT CATEGORY: RIA											
10/01/2018	75501737	HENDRIX, GREG		FAS FEES PT. II/III	B	-392.90	130.96	0.00	130.96	50.0	65.48
10/01/2018	75501742	CIAVARELLA, LOUIS		FAS FEES PT. II/III	B	-119.56	39.85	0.00	39.85	50.0	19.93
10/01/2018	75501749	CIAVARELLA, MELISSA		FAS FEES PT. II/III	B	-278.41	92.80	0.00	92.80	50.0	46.40
10/01/2018	75501752	CIAVARELLA, JAMES		FAS FEES PT. II/III	B	-54.30	18.10	0.00	18.10	50.0	9.05
10/01/2018	75501754	CIAVARELLA, JAMES		FAS FEES PT. II/III	B	-131.86	43.95	0.00	43.95	50.0	21.98
10/01/2018	75501755	MANFREDI, MICHAEL		FAS FEES PT. II/III	B	-1,002.05	334.01	0.00	334.01	50.0	167.01
10/01/2018	75501757	BERGEN, MIMI		FAS FEES PT. II/III	B	-209.85	69.95	0.00	69.95	50.0	34.98
10/01/2018	75502185	CARR, CHARLES		FAS FEES PT. II/III	B	-2,049.52	683.17	0.00	683.17	50.0	341.59
10/01/2018	75502207	GEYER, GEORGE		FAS FEES PT. II/III	B	-253.44	84.48	0.00	84.48	50.0	42.24
				* RIA SUBTOTAL *		\$-4,491.89	\$1,497.27	\$0.00	\$1,497.27		\$748.66

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

11/30/2018		FEE COUNT - 113		0.00		403.59	0.00		403.59	50.0	189.88
				* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$403.59	\$0.00	\$403.59		\$189.88
				*** BROKER TRANSACTIONS TOTAL ***		\$175,360.87	\$2,219.29	\$0.00	\$2,219.29		\$1,090.26

ADJUSTMENTS

11/30/2018		MISCELLANEOUS: UNBUNDLED FEES 2/3		0.00		0.00	0.00		0.00		-151.54
				*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00		\$-151.54

BROKER COMMISSION TOTALS

Broker Transactions	\$1,090.26
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-151.54
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-2.77
SIPC Assessment	\$-5.55

Check Amount	\$930.40
Year-to-date Earnings	\$18,905.48