

STATEMENT

March 20, 2018

JOHN PINEMAN
9348 Newport Lane
SUITE 620
Highlands Ranch, CO 80130

BROKER #: 189
BRANCH: LA BRANCH

COMMISSION STATEMENT for JOHN PINEMAN

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
01/30/2018 #	SWAHN, CHRISTOPHER	NUTANIX INC CL A	18,834.00	0.00	95.0	0.00	0.00	0.00	0.00
02/08/2018 #	SWAHN, CHRISTOPHER	ALPHABET INC CLASS C CAPITAL STOCK	100,983.67	0.00	95.0	0.00	0.00	0.00	0.00
* STOCKS SUBTOTAL *			\$119,817.67	\$0.00		\$0.00	\$0.00	\$0.00	\$0.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
01/01/0018 #E0631193	DATZ, HELEN	PRUDETIAL TRAILS	0.00	5.28	95.0	0.00	5.02	0.00	5.02
01/01/0018 #E0631193	DATZ, HELEN	PRUDETIAL TRAILS	0.00	21.12	95.0	0.00	20.06	0.00	20.06
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$26.40		\$0.00	\$25.08	\$0.00	\$25.08
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.49	95.0	0.00	1.42	0.00	1.42
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.34	95.0	0.00	0.32	0.00	0.32
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.64	95.0	0.00	1.56	0.00	1.56
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.91	95.0	0.00	0.86	0.00	0.86
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.68	95.0	0.00	0.65	0.00	0.65
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.94	95.0	0.00	0.89	0.00	0.89
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	2.74	95.0	0.00	2.60	0.00	2.60
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.52	95.0	0.00	0.49	0.00	0.49
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.24	95.0	0.00	1.18	0.00	1.18
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.55	95.0	0.00	0.52	0.00	0.52
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.28	95.0	0.00	0.27	0.00	0.27
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.68	95.0	0.00	0.65	0.00	0.65
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.53	95.0	0.00	1.45	0.00	1.45
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.51	95.0	0.00	1.43	0.00	1.43
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	2.88	95.0	0.00	2.74	0.00	2.74
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.29	95.0	0.00	0.28	0.00	0.28
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.79	95.0	0.00	0.75	0.00	0.75
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.29	95.0	0.00	1.23	0.00	1.23
02/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.51	95.0	0.00	0.48	0.00	0.48

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
02/09/2018 #	PRILL, DANNA	DAIN TRAILER	0.00	1.11	95.0	0.00	1.05	0.00	1.05
02/09/2018 #	TAYLOR, MELISSA	DAIN TRAILER	0.00	2.21	95.0	0.00	2.10	0.00	2.10
02/09/2018 #	TAYLOR, MELISSA	DAIN TRAILER	0.00	23.03	95.0	0.00	21.88	0.00	21.88
02/09/2018 #	MCCLOY, M JENNIFER	DAIN TRAILER	0.00	5.01	95.0	0.00	4.76	0.00	4.76
02/09/2018 #	MCCLOY, M JENNIFER	DAIN TRAILER	0.00	4.23	95.0	0.00	4.02	0.00	4.02
02/09/2018 #	ROSA, ANN MARIE	DAIN TRAILER	0.00	5.01	95.0	0.00	4.76	0.00	4.76
02/09/2018 #	ROSA, ANN MARIE	DAIN TRAILER	0.00	4.23	95.0	0.00	4.02	0.00	4.02
02/09/2018 #	JOHNSTON, JOHN	DAIN TRAILER	0.00	0.05	95.0	0.00	0.05	0.00	0.05
02/09/2018 #	JOHNSTON, JOHN	DAIN TRAILER	0.00	2.73	95.0	0.00	2.59	0.00	2.59
02/13/2018 #	PRILL, JOSEPH	DAIN TRAILER	1,346.12	0.00	95.0	0.00	0.00	0.00	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$1,346.12	\$68.42		\$0.00	\$65.00	\$0.00	\$65.00
*** BROKER TRANSACTIONS TOTAL ***			\$121,163.79	\$94.82		\$0.00	\$90.08	\$0.00	\$90.08

VERRIDE TRANSACTIONS

GORMAN, MICHAEL	2,166.70	43.33
*** OVERRIDE TRANSACTIONS TOTAL ***	\$2,166.70	\$43.33

ADJUSTMENTS

03/20/2018	ADMIN FEE: ADMIN FEE	-70.00
03/20/2018	E & O INSURANCE: E & O INSURANCE	-49.50
03/20/2018	ANNUAL MINIMUM CUSTODY FEE: ANNUAL MINIMUM CUSTODY FEE ACCT #87706043	-21.04
03/20/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBIT BALANCE	-50.00
*** ADJUSTMENTS TOTAL ***		\$-190.54

BROKER COMMISSION TOTALS

Broker Transactions	\$90.08
Split Transactions	\$0.00
Override Transactions	\$43.33
Adjustments	\$-190.54
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	\$-57.13
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