

All Companies
STATEMENT
April 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>									
03/08/2018 #	SWAHN, CHRISTOPHER	NUTANIX INC CL A	45,820.00	0.00	95.0	0.00	0.00	0.00	0.00
03/19/2018 #	SWAHN, CHRISTOPHER	AMAZON.COM INC	38,863.25	0.00	95.0	0.00	0.00	0.00	0.00
03/19/2018 #	SWAHN, CHRISTOPHER	ARISTA NETWORKS INC COM	35,538.10	0.00	95.0	0.00	0.00	0.00	0.00
03/20/2018 #	SWAHN, CHRISTOPHER	FACEBOOK INC	50,100.00	0.00	95.0	0.00	0.00	0.00	0.00
03/23/2018 #	SWAHN, CHRISTOPHER	ADVANCED ENERGY INDUSTRIES INC	26,778.00	0.00	95.0	0.00	0.00	0.00	0.00
03/23/2018 #	SWAHN, CHRISTOPHER	PAYPAL HOLDINGS INC COM	38,500.00	0.00	95.0	0.00	0.00	0.00	0.00
03/27/2018 #	SWAHN, CHRISTOPHER	NUTANIX INC CL A	48,888.00	0.00	95.0	0.00	0.00	0.00	0.00
03/27/2018 #	SWAHN, CHRISTOPHER	NVIDIA CORP	46,000.00	0.00	95.0	0.00	0.00	0.00	0.00
* STOCKS SUBTOTAL *			\$330,487.35	\$0.00		\$0.00	\$0.00	\$0.00	\$0.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
02/08/0018 #E0631193	DATZ, HELEN	PRUDETIAL TRAILS	0.00	5.09	95.0	0.00	4.84	0.00	4.84
02/08/0018 #E0631193	DATZ, HELEN	PRUDETIAL TRAILS	0.00	20.37	95.0	0.00	19.35	0.00	19.35
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$25.46		\$0.00	\$24.19	\$0.00	\$24.19
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
03/01/2018 #00086651382	STUBBS, CARRIE	CAPITAL WORLD GROWTH AND INCOME-529	0.00	4.25	95.0	0.00	4.04	0.00	4.04
03/01/2018 #00086651395	STUBBS, CARRIE	CAPITAL WORLD GROWTH AND INCOME-529	0.00	2.74	95.0	0.00	2.60	0.00	2.60
03/01/2018 #00086651382	STUBBS, CARRIE	CAPITAL WORLD GROWTH AND INCOME-529	0.00	10.69	95.0	0.00	10.16	0.00	10.16
03/01/2018 #00086651395	STUBBS, CARRIE	CAPITAL WORLD GROWTH AND INCOME-529	0.00	9.66	95.0	0.00	9.18	0.00	9.18
03/01/2018 #00086651382	STUBBS, CARRIE	NEW PERSPECTIVE FUND-529A	0.00	4.46	95.0	0.00	4.24	0.00	4.24
03/01/2018 #00086651395	STUBBS, CARRIE	NEW PERSPECTIVE FUND-529A	0.00	2.88	95.0	0.00	2.74	0.00	2.74
03/01/2018 #00086651382	STUBBS, CARRIE	NEW PERSPECTIVE FUND-529C	0.00	10.06	95.0	0.00	9.56	0.00	9.56
03/01/2018 #00086651395	STUBBS, CARRIE	NEW PERSPECTIVE FUND-529C	0.00	10.06	95.0	0.00	9.56	0.00	9.56
03/01/2018 #00089360635		THE GROWTH FUND OF AMERICA-529C	0.00	0.07	95.0	0.00	0.07	0.00	0.07
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.33	95.0	0.00	1.26	0.00	1.26
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.30	95.0	0.00	0.29	0.00	0.29
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.45	95.0	0.00	1.38	0.00	1.38
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.79	95.0	0.00	0.75	0.00	0.75

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.60	95.0	0.00	0.57	0.00	0.57
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.82	95.0	0.00	0.78	0.00	0.78
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	2.40	95.0	0.00	2.28	0.00	2.28
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.45	95.0	0.00	0.43	0.00	0.43
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.08	95.0	0.00	1.03	0.00	1.03
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.49	95.0	0.00	0.47	0.00	0.47
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.25	95.0	0.00	0.24	0.00	0.24
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.60	95.0	0.00	0.57	0.00	0.57
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.36	95.0	0.00	1.29	0.00	1.29
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.34	95.0	0.00	1.27	0.00	1.27
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	2.56	95.0	0.00	2.43	0.00	2.43
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.11	95.0	0.00	0.10	0.00	0.10
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.69	95.0	0.00	0.66	0.00	0.66
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.15	95.0	0.00	1.09	0.00	1.09
03/09/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.43	95.0	0.00	0.41	0.00	0.41
03/09/2018 #	PRILL, DANNA	DAIN TRAILER	0.00	0.98	95.0	0.00	0.93	0.00	0.93
03/09/2018 #	TAYLOR, MELISSA	DAIN TRAILER	0.00	1.94	95.0	0.00	1.84	0.00	1.84
03/09/2018 #	TAYLOR, MELISSA	DAIN TRAILER	0.00	20.12	95.0	0.00	19.11	0.00	19.11
03/09/2018 #	MCCLOY, M JENNIFER	DAIN TRAILER	0.00	4.48	95.0	0.00	4.26	0.00	4.26
03/09/2018 #	MCCLOY, M JENNIFER	DAIN TRAILER	0.00	3.71	95.0	0.00	3.52	0.00	3.52
03/09/2018 #	ROSA, ANN MARIE	DAIN TRAILER	0.00	4.48	95.0	0.00	4.26	0.00	4.26
03/09/2018 #	ROSA, ANN MARIE	DAIN TRAILER	0.00	3.71	95.0	0.00	3.52	0.00	3.52
03/09/2018 #	JOHNSTON, JOHN	DAIN TRAILER	0.00	0.04	95.0	0.00	0.04	0.00	0.04
03/09/2018 #	JOHNSTON, JOHN	DAIN TRAILER	0.00	2.34	95.0	0.00	2.22	0.00	2.22
03/13/2018 #	PRILL, JOSEPH	DAIN TRAILER	1,225.00	0.00	95.0	0.00	0.00	0.00	0.00
03/13/2018 #	PRILL, JOSEPH	DAIN TRAILER	1,044.00	0.00	95.0	0.00	0.00	0.00	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$2,269.00	\$114.87		\$0.00	\$109.15	\$0.00	\$109.15
*** BROKER TRANSACTIONS TOTAL ***			\$332,756.35	\$140.33		\$0.00	\$133.34	\$0.00	\$133.34

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Override Transactions

GORMAN, MICHAEL			838.61						16.76
*** OVERRIDE TRANSACTIONS TOTAL ***				\$838.61					\$16.76

Adjustments

04/20/2018	ADMIN FEE: ADMIN FEE								-70.00
04/20/2018	E & O INSURANCE: E & O INSURANCE								-49.50
04/20/2018	CRD FEES: CRD FEES FINRA CE TRACKED								-55.00
	WEB FEE S201								
04/20/2018	POSTAGE: POSTAGE FEDEX								-21.44
*** ADJUSTMENTS TOTAL ***									\$-195.94

BROKER COMMISSION TOTALS

Broker Transactions	\$133.34
Split Transactions	\$0.00
Override Transactions	\$16.76
Adjustments	\$-195.94
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-57.13
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	\$-102.97
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