BROKER



## **COMMISSION STATEMENT**

August 31, 2018

INVESTMENT

RANDY STOLTZ

14617 N. 45th Place

Phoenix, AZ 85032-

BROKER #: S149

GROSS

BRANCH: RANDY STOLTZ

CLEARING

NET

DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
		CLEARING TRANS	ACTIONS					
PRODUCT CA	TEGORY: MUTUAL FUNDS							
08/20/2018	MCGAHIE, ROBERT	OPPENHEIMER STEELPATH MLP ALPHA PLU	975.00	0.00	0.00	0.00	90.0	0.00
		* MUTUAL FUNDS SUBTOTAL *	\$975.00	\$0.00	\$0.00	\$0.00		\$0.00
		*** CLEARING TRANSACTIONS TOTAL ***	\$975.00	\$0.00	\$0.00	\$0.00		\$0.00
		DIRECT TRANSA	CTIONS					
PRODUCT CA	TEGORY: PRIVATE PLACEMEN	<u>T</u>						
08/07/2018	GIBBONS, CHRISTIA	TRILINC GLOBAL IMPACT FUND C	0.00	59.75	0.00	59.75	90.0	53.78
08/07/2018	HIGGINS, DINA	TRILINC GLOBAL IMPACT FUND C	0.00	21.08	0.00	21.08	90.0	18.97
08/07/2018	BOWLIN, STACY	TRILINC GLOBAL IMPACT FUND C	0.00	21.07	0.00	21.07	90.0	18.96
08/07/2018	MILLER, CRAIG & PAULA	TRILINC GLOBAL IMPACT FUND C	0.00	12.28	0.00	12.28	90.0	11.05
08/07/2018	EVERROAD, ANDREW	TRILINC GLOBAL IMPACT FUND C	0.00	29.88	0.00	29.88	90.0	26.89
08/07/2018	KASSMAN, STEVEN	TRILINC GLOBAL IMPACT FUND C	0.00	17.01	0.00	17.01	90.0	15.31
08/07/2018	KIDDER, TINA	TRILINC GLOBAL IMPACT FUND C	0.00	45.90	0.00	45.90	90.0	41.31
		* PRIVATE PLACEMENT SUBTOTAL *	\$0.00	\$206.97	\$0.00	\$206.97		\$186.27
PRODUCT CA	TEGORY: REIT							
08/10/2018	ALBER, TIMOTHY	CW MULTIFAMILY OPPORTUNITY FUND	10,000.00	600.00	0.00	600.00	90.0	540.00
		* REIT SUBTOTAL *	\$10,000.00	\$600.00	\$0.00	\$600.00		\$540.00
PRODUCT CA	TEGORY: MUTUAL FUNDS							
08/15/2018	PERSON, DEETTE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	90.0	2.25
08/15/2018	PERSON, DEETTE	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	90.0	2.25
08/15/2018	PERSON, DEETTE	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.75	0.00	3.75	90.0	3.38
08/15/2018	PERSON, DEETTE	AM FUNDS NEW ECONOMY A	75.00	3.75	0.00	3.75	90.0	3.38
08/15/2018	PERSON DEETTE D PERSON, LA	ARRY FIDELITY ADV NEW INSIGHTS C	150.00	1.25	0.00	1.25	90.0	1.13
08/13/2018	PERSON DEETTE D PERSON, LA	ARRY FIDELITY STRATEGIC DIV & INCOME C	350.00	3.50	0.00	3.50	90.0	3.15

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

 $<sup>\</sup>ensuremath{^{**}}$  - Indicates adjustment is not included in Totals or Commissions

<sup>^</sup>Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		DIRECT TRANS	SACTIONS					
PRODUCT CA	TEGORY: MUTUAL FUNDS							
08/15/2018	PERSON DEETTE D PERSON, LARF	RY FIDELITY STRATEGIC DIV & INCOME C	125.00	1.25	0.00	1.25	90.0	1.13
08/06/2018	SEPICH, WENDY	HARTFORD GROWTH OPP A	75.00	14.25	0.00	14.25	90.0	12.83
		* MUTUAL FUNDS SUBTOTAL *	\$950.00	\$32.75	\$0.00	\$32.75		\$29.50
PRODUCT CA	TEGORY: VARIABLE ANNUITY 1	2B1 TRAILS						
07/28/2018	TRAYNOR FOR CIARA M TRAYN,	TRANSAMERICA 89354G554	0.00	7.99	0.00	7.99	90.0	7.19
07/05/2018	WATMORE, RICHARD	TRANSAMERICA LIBERTY	0.00	41.33	0.00	41.33	90.0	37.20
07/24/2018	VAN KLEUNEN, JACK	TRANSAMERICA LIBERTY	0.00	21.38	0.00	21.38	90.0	19.24
07/26/2018	ABREGO, CAROL	TRANSAMERICA LIBERTY	0.00	111.53	0.00	111.53	90.0	100.38
	* VAR	IABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$182.23	\$0.00	\$182.23		\$164.01
		*** DIRECT TRANSACTIONS TOTAL ***	\$10,950.00	\$1,021.95	\$0.00	\$1,021.95		\$919.78

BROKER COMMISSION	TOTALS		
Broker Transactions	\$919.78		
Split Transactions	\$0.00		
Override Transactions	\$0.00		
Adjustments	\$0.00		
Payroll Draw	\$0.00		
Base Salary	\$0.00		
Prior Period Balance	\$0.00		
FINRA Assessment	\$0.00		
SIPC Assessment	\$0.00		
Check Amount	\$919.78		
Year-to-date Gross	\$144,899.21		
Year-to-date Earnings	\$129,563.70		

<sup>\*\* -</sup> Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed