

**COMMISSION STATEMENT****January 15, 2018**

DAMIAN DERING
 165 Culver Blvd
 Suite A
 Playa Del Rey, CA 90293

BROKER #: D127
BRANCH: DAMIAN DERING

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: 529 PLANS</u> | | | | | | | | |
| 12/26/2017 | PEARSON, ROBERT | AM FUNDS AMCAP 529C | 200.00 | 2.00 | 0.00 | 2.00 | 92.0 | 1.84 |
| 12/26/2017 | PEARSON, ROBERT | AM FUNDS AMCAP 529C | 200.00 | 2.00 | 0.00 | 2.00 | 92.0 | 1.84 |
| 12/26/2017 | PEARSON, ROBERT | AM FUNDS FUNDAMENTAL INVESTORS 529C | 200.00 | 2.00 | 0.00 | 2.00 | 92.0 | 1.84 |
| 12/26/2017 | PEARSON, ROBERT | AM FUNDS FUNDAMENTAL INVESTORS 529C | 200.00 | 2.00 | 0.00 | 2.00 | 92.0 | 1.84 |
| 12/26/2017 | PEARSON, ROBERT | AM FUNDS SMALLCAP WORLD-529C | 100.00 | 1.00 | 0.00 | 1.00 | 92.0 | 0.92 |
| 12/26/2017 | PEARSON, ROBERT | AM FUNDS SMALLCAP WORLD-529C | 100.00 | 1.00 | 0.00 | 1.00 | 92.0 | 0.92 |
| / / | MORALES, ERIC | J HANCOCK PORTFOLIO 2017-2020 C2 | 0.00 | 2.00 | 0.00 | 2.00 | 92.0 | 1.84 |
| / / | MORALES, ERIC | JH 529 PORT 2021-2024 A | 200.00 | 6.38 | 0.00 | 6.38 | 92.0 | 5.87 |
| 12/29/2017 | MORALES, ERIC | JH 529 PORT 2021-2024 A | 150.00 | 6.38 | 0.00 | 6.38 | 92.0 | 5.87 |
| * 529 PLANS SUBTOTAL * | | | \$1,350.00 | \$24.76 | \$0.00 | \$24.76 | | \$22.78 |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 01/05/2018 | ANDREWS, LISA | AM FUNDS GROWTH FUND OF AMERICA A | 500.00 | 18.75 | 0.00 | 18.75 | 92.0 | 17.25 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$500.00 | \$18.75 | \$0.00 | \$18.75 | | \$17.25 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 12/29/2017 | SCANE FAMILY TRUST | HARTFORD DIRECTOR OUTLOOK | 929.07 | 2.32 | 0.00 | 2.32 | 92.0 | 2.13 |
| 12/31/2017 | PUGH, CECILIA | JNL PERSPECTIVE L | 44,588.61 | 37.16 | 0.00 | 37.16 | 92.0 | 34.19 |
| 12/31/2017 | LAXER, JACK | JNL PERSPECTIVE L | 54,248.66 | 45.21 | 0.00 | 45.21 | 92.0 | 41.59 |
| 12/31/2017 | KUSUNOKI, JOYCE | JNL PERSPECTIVE L | 63,079.66 | 52.57 | 0.00 | 52.57 | 92.0 | 48.36 |
| 12/31/2017 | SCANE FAMILY TRUST | JOHN HANCOCK VENTURE III | 76,591.88 | 63.83 | 0.00 | 63.83 | 92.0 | 58.72 |
| 12/31/2017 | SCANE FAMILY TRUST | JOHN HANCOCK VENTURE III | 75,397.17 | 62.83 | 0.00 | 62.83 | 92.0 | 57.80 |
| 12/31/2017 | DERING, VARIOUS | LINCOLN BENEFIT TRAIL RENEWALS | 0.00 | 5,280.74 | 0.00 | 5,280.74 | 92.0 | 4,858.28 |
| 12/11/2017 | BAUTISTA, MARYANN | TRANSAMERICA LIBERTY | 196,493.40 | 163.74 | 0.00 | 163.74 | 92.0 | 150.64 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$511,328.45 | \$5,708.40 | \$0.00 | \$5,708.40 | | \$5,251.71 |

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

** - Indicates adjustment is not included in Totals or Commissions

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|----------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| 12/15/2017 | SUTZ, JACK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.20 | 0.00 | 5.20 | 92.0 | 4.78 |
| / / | MARTINEZ, ELSA | ASCENSUS NEA AGE-BASED GROWTH 6-10 | 0.00 | 12.36 | 0.00 | 12.36 | 92.0 | 11.37 |
| 12/15/2017 | SUTZ, JACK | FIDELITY DIVIDEND GROWTH A | 0.00 | 2.11 | 0.00 | 2.11 | 92.0 | 1.94 |
| / / | MORALES, ERIC | JH 529 PORT 2017-2020 A | 0.00 | 2.34 | 0.00 | 2.34 | 92.0 | 2.15 |
| / / | MORALES, ERIC | JH 529 PORT 2021-2024 A | 0.00 | 1.27 | 0.00 | 1.27 | 92.0 | 1.17 |
| / / | MORALES, ERIC | JH 529 PORT 2021-2024 A | 0.00 | 1.21 | 0.00 | 1.21 | 92.0 | 1.11 |
| / / | MITSCH, JAY | OPPENHEIMER CAPITAL APPRECIATION A | 0.00 | 5.60 | 0.00 | 5.60 | 92.0 | 5.15 |
| / / | MITSCH, JAY | OPPENHEIMER CAPITAL APPRECIATION C | 0.00 | 5.08 | 0.00 | 5.08 | 92.0 | 4.67 |
| / / | ANDREWS, LISA | OPPENHEIMER GLOBAL A | 0.00 | 17.97 | 0.00 | 17.97 | 92.0 | 16.53 |
| / / | MITSCH, JAY | OPPENHEIMER INTL GROWTH C | 0.00 | 4.85 | 0.00 | 4.85 | 92.0 | 4.46 |
| / / | MITSCH, JAY | OPPENHEIMER MAIN ST SMALL & MID CAP | 0.00 | 4.95 | 0.00 | 4.95 | 92.0 | 4.55 |
| 12/21/2017 | SUTZ, JACK | OPPENHEIMER MAIN STREET SMALLCAP A | 0.00 | 3.80 | 0.00 | 3.80 | 92.0 | 3.50 |
| / / | HAVENS, JACK | OPPENHEIMER PORTFOLIO SERIRES: MOD | 0.00 | 198.82 | 0.00 | 198.82 | 92.0 | 182.91 |
| / / | PON, AGNES | OPPENHEIMER PORTFOLIO SERIRES: MOD | 0.00 | 0.57 | 0.00 | 0.57 | 92.0 | 0.52 |
| / / | PON, AGNES | OPPENHEIMER PTF SERIES EQUITY INVES | 0.00 | 23.66 | 0.00 | 23.66 | 92.0 | 21.77 |
| / / | MITSCH, JAY | OPPENHEIMER RISING DIVIDENDS C | 0.00 | 5.08 | 0.00 | 5.08 | 92.0 | 4.67 |
| / / | MITSCH, JAY | OPPENHEIMER SMALL & MIDCAP GROWTH C | 0.00 | 5.52 | 0.00 | 5.52 | 92.0 | 5.08 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$300.39 | \$0.00 | \$300.39 | | \$276.33 |
| *** DIRECT TRANSACTIONS TOTAL *** | | | \$513,178.45 | \$6,052.30 | \$0.00 | \$6,052.30 | | \$5,568.07 |
| <u>ADJUSTMENTS</u> | | | | | | | | |
| 01/15/2018 | | *AI INSIGHT: AI INSIGHT | 0.00 | | | | | -7.00 |
| 01/15/2018 | | *CREDIT CARD PYT: CREDIT CARD PYT | 0.00 | | | | | 697.00 |
| 01/15/2018 | | *EO INSURANCE: CURRENT MONTH INS | 0.00 | | | | | -300.00 |
| 01/15/2018 | | *GLOBAL RELAY: WEBSITE | 0.00 | | | | | -15.00 |
| 01/15/2018 | | *TECHNOLOGY: ADMIN - CHRYSANTHA COS | 0.00 | | | | | -135.00 |
| 01/15/2018 | | *TECHNOLOGY: ADMIN - ELIZABETH | 0.00 | | | | | -60.00 |
| 01/15/2018 | | *TECHNOLOGY: CURRENT MONTH BASIC | 0.00 | | | | | -180.00 |
| *** ADJUSTMENTS TOTAL *** | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$0.00 |

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

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

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$5,568.07 |
| 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 | \$5,568.07 |
| Year-to-date Gross | \$6,052.30 |
| Year-to-date Earnings | \$5,568.07 |