

# STATEMENT

## July 20, 2018

KRISTIN FRENCH  
9431 Coppertop Loop NE Suite 2  
SUITE 620  
Bainbridge Island, WA 98110

BROKER #: 125  
BRANCH:

### COMMISSION STATEMENT for KRISTIN FRENCH

| DATE   | CLIENT                       | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | RATE | POSTAGE       | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|--|------------------------------|------------------------------------|----------------------|---------------------|------|---------------|-------------------|--------------------|----------------------|
| <b>BROKER TRANSACTIONS</b>                       |                              |                                    |                      |                     |      |               |                   |                    |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS</b>            |                              |                                    |                      |                     |      |               |                   |                    |                      |
| 06/04/2018                                       | #00085024996 DOWNS,          | CAPITAL INCOME BUILDER FD CL A     | 50.00                | 2.13                | 90.0 | 0.00          | 1.92              | 0.00               | 1.92                 |
| 06/04/2018                                       | #00085024996 DOWNS,          | CAPITAL WORLD GROWTH & INCOME FUND | 50.00                | 2.13                | 90.0 | 0.00          | 1.92              | 0.00               | 1.92                 |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                 |                              |                                    | <b>\$100.00</b>      | <b>\$4.26</b>       |      | <b>\$0.00</b> | <b>\$3.84</b>     | <b>\$0.00</b>      | <b>\$3.84</b>        |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>      |                              |                                    |                      |                     |      |               |                   |                    |                      |
| 06/30/2021                                       | #E0737443 KIRKREIT, JUDY     | PRUDETIAL TRAILS                   | 0.00                 | 32.82               | 90.0 | 0.00          | 29.54             | 0.00               | 29.54                |
| 07/02/2018                                       | #1021300280 GIBSON, JOEL     | PERSP II 01/16                     | 80,000.00            | 5,600.00            | 90.0 | 0.00          | 5,040.00          | 0.00               | 5,040.00             |
| <b>* VARIABLE ANNUITIES SUBTOTAL *</b>           |                              |                                    | <b>\$80,000.00</b>   | <b>\$5,632.82</b>   |      | <b>\$0.00</b> | <b>\$5,069.54</b> | <b>\$0.00</b>      | <b>\$5,069.54</b>    |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b> |                              |                                    |                      |                     |      |               |                   |                    |                      |
| 06/01/2018                                       | #00086116791 LOGEMANN, PAM   | AMERICAN BALANCED FUND-R3          | 0.00                 | 122.09              | 90.0 | 0.00          | 109.88            | 0.00               | 109.88               |
| 06/01/2018                                       | #00086116791 LOGEMANN, PAM   | AMERICAN FUNDS 2015 TARGET DATE-R3 | 0.00                 | 0.22                | 90.0 | 0.00          | 0.20              | 0.00               | 0.20                 |
| 06/01/2018                                       | #00086116791 LOGEMANN, PAM   | AMERICAN FUNDS 2025 TARGET DATE-R3 | 0.00                 | 1.46                | 90.0 | 0.00          | 1.31              | 0.00               | 1.31                 |
| 06/01/2018                                       | #00086116791 LOGEMANN, PAM   | AMERICAN FUNDS 2040 TARGET DATE-R3 | 0.00                 | 0.74                | 90.0 | 0.00          | 0.67              | 0.00               | 0.67                 |
| 06/01/2018                                       | #00086116791 LOGEMANN, PAM   | AMERICAN FUNDS 2045 TARGET DATE-R3 | 0.00                 | 19.06               | 90.0 | 0.00          | 17.15             | 0.00               | 17.15                |
| 06/01/2018                                       | #00086116791 LOGEMANN, PAM   | AMERICAN FUNDS 2050 TARGET DATE-R3 | 0.00                 | 35.02               | 90.0 | 0.00          | 31.52             | 0.00               | 31.52                |
| 06/01/2018                                       | #00086116791 LOGEMANN, PAM   | AMERICAN FUNDS 2055 TARGET DATE-R3 | 0.00                 | 1.84                | 90.0 | 0.00          | 1.66              | 0.00               | 1.66                 |
| 06/01/2018                                       | #00084643698 SCOTT, BLAINE   | CAPITAL INCOME BUILDER FD CL A     | 0.00                 | 0.30                | 90.0 | 0.00          | 0.27              | 0.00               | 0.27                 |
| 06/01/2018                                       | #00085024996 DOWNS,          | CAPITAL INCOME BUILDER FD CL A     | 0.00                 | 9.30                | 90.0 | 0.00          | 8.37              | 0.00               | 8.37                 |
| 06/01/2018                                       | #00085025213 POPACH, OLGA    | CAPITAL INCOME BUILDER FD CL A     | 0.00                 | 6.69                | 90.0 | 0.00          | 6.02              | 0.00               | 6.02                 |
| 06/01/2018                                       | #00081788492 SELLERS, CARRIE | CAPITAL WORLD GROWTH & INCOME FUND | 0.00                 | 6.76                | 90.0 | 0.00          | 6.08              | 0.00               | 6.08                 |
| 06/01/2018                                       | #00081788832 SELLERS, DAVID  | CAPITAL WORLD GROWTH & INCOME FUND | 0.00                 | 4.11                | 90.0 | 0.00          | 3.70              | 0.00               | 3.70                 |
| 06/01/2018                                       | #00084643698 SCOTT, BLAINE   | CAPITAL WORLD GROWTH & INCOME FUND | 0.00                 | 0.46                | 90.0 | 0.00          | 0.41              | 0.00               | 0.41                 |
| 06/01/2018                                       | #00085024996 DOWNS,          | CAPITAL WORLD GROWTH & INCOME FUND | 0.00                 | 10.26               | 90.0 | 0.00          | 9.23              | 0.00               | 9.23                 |
| 06/01/2018                                       | #00085025213 POPACH, OLGA    | CAPITAL WORLD GROWTH & INCOME FUND | 0.00                 | 8.10                | 90.0 | 0.00          | 7.29              | 0.00               | 7.29                 |
| 06/01/2018                                       | #00086116791 LOGEMANN, PAM   | CAPITAL WORLD GROWTH AND INCOME-R3 | 0.00                 | 84.73               | 90.0 | 0.00          | 76.26             | 0.00               | 76.26                |
| 06/01/2018                                       | #00081788492 SELLERS, CARRIE | EURO PACIFIC GROWTH FUND CLASS A   | 0.00                 | 5.88                | 90.0 | 0.00          | 5.29              | 0.00               | 5.29                 |
| 06/01/2018                                       | #00081788832 SELLERS, DAVID  | EURO PACIFIC GROWTH FUND CLASS A   | 0.00                 | 8.61                | 90.0 | 0.00          | 7.75              | 0.00               | 7.75                 |
| 06/01/2018                                       | #00081788492 SELLERS, CARRIE | GROWTH FUND AMERICA INC CLASS A    | 0.00                 | 11.04               | 90.0 | 0.00          | 9.94              | 0.00               | 9.94                 |

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|--|------------------------------|-------------------------------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u>                       |                              |                                     |                      |                     |      |         |                   |                    |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> |                              |                                     |                      |                     |      |         |                   |                    |                      |
| 06/01/2018                                       | #00081788832 SELLERS, DAVID  | GROWTH FUND AMERICA INC CLASS A     | 0.00                 | 21.57               | 90.0 | 0.00    | 19.41             | 0.00               | 19.41                |
| 06/01/2018                                       | #00086116791 LOGEMANN, PAM   | INTERMEDIATE BOND FUND OF AMERICA-R | 0.00                 | 25.89               | 90.0 | 0.00    | 23.30             | 0.00               | 23.30                |
| 06/01/2018                                       | #00081788492 SELLERS, CARRIE | INVESTMENT CO AMER CLASS A          | 0.00                 | 11.13               | 90.0 | 0.00    | 10.02             | 0.00               | 10.02                |
| 06/01/2018                                       | #00081788832 SELLERS, DAVID  | INVESTMENT CO AMER CLASS A          | 0.00                 | 13.07               | 90.0 | 0.00    | 11.76             | 0.00               | 11.76                |
| 06/01/2018                                       | #00081788492 SELLERS, CARRIE | NEW PERSPECTIVE FUND INC CL A       | 0.00                 | 8.38                | 90.0 | 0.00    | 7.54              | 0.00               | 7.54                 |
| 06/01/2018                                       | #00081788832 SELLERS, DAVID  | NEW PERSPECTIVE FUND INC CL A       | 0.00                 | 11.29               | 90.0 | 0.00    | 10.16             | 0.00               | 10.16                |
| 06/01/2018                                       | #00086116791 LOGEMANN, PAM   | NEW PERSPECTIVE FUND-R3             | 0.00                 | 74.21               | 90.0 | 0.00    | 66.79             | 0.00               | 66.79                |
| 06/01/2018                                       | #00086116791 LOGEMANN, PAM   | THE GROWTH FUND OF AMERICA-R3       | 0.00                 | 0.50                | 90.0 | 0.00    | 0.45              | 0.00               | 0.45                 |
| 06/01/2018                                       | #00081788492 SELLERS, CARRIE | WASHINGTON MUTUAL INVS FD CLASS A   | 0.00                 | 9.39                | 90.0 | 0.00    | 8.45              | 0.00               | 8.45                 |
| 06/01/2018                                       | #00081788832 SELLERS, DAVID  | WASHINGTON MUTUAL INVS FD CLASS A   | 0.00                 | 12.04               | 90.0 | 0.00    | 10.84             | 0.00               | 10.84                |
| 06/11/2018                                       | # COATES, MATTHEW            | DAIN TRAILER                        | 0.00                 | 2.62                | 90.0 | 0.00    | 2.36              | 0.00               | 2.36                 |
| 06/11/2018                                       | # INC, STARGAZER MANAG       | DAIN TRAILER                        | 0.00                 | 5.45                | 90.0 | 0.00    | 4.91              | 0.00               | 4.91                 |
| 06/11/2018                                       | # TAYLOR AND ALASKA IN       | DAIN TRAILER                        | 0.00                 | 4.72                | 90.0 | 0.00    | 4.25              | 0.00               | 4.25                 |
| 06/11/2018                                       | # TAYLOR AND ALASKA IN       | DAIN TRAILER                        | 0.00                 | 5.55                | 90.0 | 0.00    | 5.00              | 0.00               | 5.00                 |
| 06/11/2018                                       | # TAYLOR AND ALASKA IN       | DAIN TRAILER                        | 0.00                 | 5.21                | 90.0 | 0.00    | 4.69              | 0.00               | 4.69                 |
| 06/11/2018                                       | # TAYLOR AND ALASKA IN       | DAIN TRAILER                        | 0.00                 | 2.27                | 90.0 | 0.00    | 2.04              | 0.00               | 2.04                 |
| 06/11/2018                                       | # TAYLOR AND ALASKA IN       | DAIN TRAILER                        | 0.00                 | 3.66                | 90.0 | 0.00    | 3.29              | 0.00               | 3.29                 |
| 06/11/2018                                       | # TAYLOR AND ALASKA IN       | DAIN TRAILER                        | 0.00                 | 7.65                | 90.0 | 0.00    | 6.89              | 0.00               | 6.89                 |
| 06/11/2018                                       | # TAYLOR AND ALASKA IN       | DAIN TRAILER                        | 0.00                 | 5.26                | 90.0 | 0.00    | 4.73              | 0.00               | 4.73                 |
| 06/11/2018                                       | # ARCANDIER INC              | DAIN TRAILER                        | 0.00                 | 28.22               | 90.0 | 0.00    | 25.40             | 0.00               | 25.40                |
| 06/11/2018                                       | # ARCANDIER INC              | DAIN TRAILER                        | 0.00                 | 23.55               | 90.0 | 0.00    | 21.20             | 0.00               | 21.20                |
| 06/11/2018                                       | # ARCANDIER INC              | DAIN TRAILER                        | 0.00                 | 9.85                | 90.0 | 0.00    | 8.87              | 0.00               | 8.87                 |
| 06/11/2018                                       | # ARCANDIER INC              | DAIN TRAILER                        | 0.00                 | 11.48               | 90.0 | 0.00    | 10.33             | 0.00               | 10.33                |
| 06/11/2018                                       | # ARCANDIER INC              | DAIN TRAILER                        | 0.00                 | 7.94                | 90.0 | 0.00    | 7.15              | 0.00               | 7.15                 |
| 06/11/2018                                       | # S INC, SAGE MEDICAL SO     | DAIN TRAILER                        | 0.00                 | 9.66                | 90.0 | 0.00    | 8.69              | 0.00               | 8.69                 |
| 06/11/2018                                       | # BRESKE, THOMAS             | DAIN TRAILER                        | 0.00                 | 3.26                | 90.0 | 0.00    | 2.93              | 0.00               | 2.93                 |
| 06/11/2018                                       | # BRESKE, THOMAS             | DAIN TRAILER                        | 0.00                 | 3.59                | 90.0 | 0.00    | 3.23              | 0.00               | 3.23                 |
| 06/11/2018                                       | # S INC, SAGE MEDICAL SO     | DAIN TRAILER                        | 0.00                 | 8.33                | 90.0 | 0.00    | 7.50              | 0.00               | 7.50                 |
| 06/11/2018                                       | # S INC, SAGE MEDICAL SO     | DAIN TRAILER                        | 0.00                 | 2.73                | 90.0 | 0.00    | 2.46              | 0.00               | 2.46                 |
| 06/11/2018                                       | # S INC, SAGE MEDICAL SO     | DAIN TRAILER                        | 0.00                 | 10.90               | 90.0 | 0.00    | 9.81              | 0.00               | 9.81                 |
| 06/11/2018                                       | # S INC, SAGE MEDICAL SO     | DAIN TRAILER                        | 0.00                 | 4.06                | 90.0 | 0.00    | 3.65              | 0.00               | 3.65                 |
| 06/11/2018                                       | # BRESKE, PAMELA             | DAIN TRAILER                        | 0.00                 | 22.09               | 90.0 | 0.00    | 19.88             | 0.00               | 19.88                |
| 06/11/2018                                       | # BRESKE, PAMELA             | DAIN TRAILER                        | 0.00                 | 23.86               | 90.0 | 0.00    | 21.47             | 0.00               | 21.47                |
| 06/11/2018                                       | # BRESKE, PAMELA             | DAIN TRAILER                        | 0.00                 | 19.96               | 90.0 | 0.00    | 17.96             | 0.00               | 17.96                |
| 06/11/2018                                       | # BRESKE, PAMELA             | DAIN TRAILER                        | 0.00                 | 2.06                | 90.0 | 0.00    | 1.85              | 0.00               | 1.85                 |
| 06/11/2018                                       | # BRESKE, PAMELA             | DAIN TRAILER                        | 0.00                 | 15.83               | 90.0 | 0.00    | 14.25             | 0.00               | 14.25                |

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|--|----------------------|--------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u>                       |                      |              |                      |                     |      |         |                   |                    |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> |                      |              |                      |                     |      |         |                   |                    |                      |
| 06/11/2018 #                                     | BRESKE, PAMELA       | DAIN TRAILER | 0.00                 | 8.32                | 90.0 | 0.00    | 7.49              | 0.00               | 7.49                 |
| 06/11/2018 #                                     | BRESKE, PAMELA       | DAIN TRAILER | 0.00                 | 10.90               | 90.0 | 0.00    | 9.81              | 0.00               | 9.81                 |
| 06/11/2018 #                                     | BRESKE, PAMELA       | DAIN TRAILER | 0.00                 | 16.56               | 90.0 | 0.00    | 14.90             | 0.00               | 14.90                |
| 06/11/2018 #                                     | BRESKE, PAMELA       | DAIN TRAILER | 0.00                 | 8.64                | 90.0 | 0.00    | 7.78              | 0.00               | 7.78                 |
| 06/11/2018 #                                     | BRESKE, PAMELA       | DAIN TRAILER | 0.00                 | 5.40                | 90.0 | 0.00    | 4.86              | 0.00               | 4.86                 |
| 06/11/2018 #                                     | BRESKE, PAMELA       | DAIN TRAILER | 0.00                 | 5.07                | 90.0 | 0.00    | 4.56              | 0.00               | 4.56                 |
| 06/11/2018 #                                     | BRESKE, PAMELA       | DAIN TRAILER | 0.00                 | 10.81               | 90.0 | 0.00    | 9.73              | 0.00               | 9.73                 |
| 06/11/2018 #                                     | BRESKE, PAMELA       | DAIN TRAILER | 0.00                 | 6.32                | 90.0 | 0.00    | 5.69              | 0.00               | 5.69                 |
| 06/11/2018 #                                     | BRESKE, PAMELA       | DAIN TRAILER | 0.00                 | 2.76                | 90.0 | 0.00    | 2.48              | 0.00               | 2.48                 |
| 06/11/2018 #                                     | BRESKE, PAMELA       | DAIN TRAILER | 0.00                 | 17.43               | 90.0 | 0.00    | 15.69             | 0.00               | 15.69                |
| 06/11/2018 #                                     | BRESKE, PAMELA       | DAIN TRAILER | 0.00                 | 4.62                | 90.0 | 0.00    | 4.16              | 0.00               | 4.16                 |
| 06/11/2018 #                                     | ION, JIM FOGARTY CON | DAIN TRAILER | 0.00                 | 5.45                | 90.0 | 0.00    | 4.91              | 0.00               | 4.91                 |
| 06/11/2018 #                                     | ION, JIM FOGARTY CON | DAIN TRAILER | 0.00                 | 36.24               | 90.0 | 0.00    | 32.62             | 0.00               | 32.62                |
| 06/11/2018 #                                     | ION, JIM FOGARTY CON | DAIN TRAILER | 0.00                 | 19.62               | 90.0 | 0.00    | 17.66             | 0.00               | 17.66                |
| 06/11/2018 #                                     | ION, JIM FOGARTY CON | DAIN TRAILER | 0.00                 | 41.90               | 90.0 | 0.00    | 37.71             | 0.00               | 37.71                |
| 06/11/2018 #                                     | ION, JIM FOGARTY CON | DAIN TRAILER | 0.00                 | 45.55               | 90.0 | 0.00    | 41.00             | 0.00               | 41.00                |
| 06/11/2018 #                                     | JADILE LLC           | DAIN TRAILER | 0.00                 | 19.42               | 90.0 | 0.00    | 17.48             | 0.00               | 17.48                |
| 06/11/2018 #                                     | JADILE LLC           | DAIN TRAILER | 0.00                 | 8.26                | 90.0 | 0.00    | 7.43              | 0.00               | 7.43                 |
| 06/11/2018 #                                     | JADILE LLC           | DAIN TRAILER | 0.00                 | 15.85               | 90.0 | 0.00    | 14.27             | 0.00               | 14.27                |
| 06/11/2018 #                                     | JADILE LLC           | DAIN TRAILER | 0.00                 | 14.97               | 90.0 | 0.00    | 13.47             | 0.00               | 13.47                |
| 06/11/2018 #                                     | JADILE LLC           | DAIN TRAILER | 0.00                 | 8.04                | 90.0 | 0.00    | 7.24              | 0.00               | 7.24                 |
| 06/11/2018 #                                     | JADILE LLC           | DAIN TRAILER | 0.00                 | 8.16                | 90.0 | 0.00    | 7.34              | 0.00               | 7.34                 |
| 06/11/2018 #                                     | JOHNSON, MARGARET    | DAIN TRAILER | 0.00                 | 69.26               | 90.0 | 0.00    | 62.33             | 0.00               | 62.33                |
| 06/11/2018 #                                     | JOHNSON, MARGARET    | DAIN TRAILER | 0.00                 | 84.17               | 90.0 | 0.00    | 75.75             | 0.00               | 75.75                |
| 06/11/2018 #                                     | JOHNSON, MARGARET    | DAIN TRAILER | 0.00                 | 20.97               | 90.0 | 0.00    | 18.87             | 0.00               | 18.87                |
| 06/11/2018 #                                     | JOHNSON, ROGER       | DAIN TRAILER | 0.00                 | 38.38               | 90.0 | 0.00    | 34.54             | 0.00               | 34.54                |
| 06/11/2018 #                                     | MATTHEW D DUBIN TTEE | DAIN TRAILER | 0.00                 | 3.92                | 90.0 | 0.00    | 3.53              | 0.00               | 3.53                 |
| 06/11/2018 #                                     | MATTHEW D DUBIN TTEE | DAIN TRAILER | 0.00                 | 1.78                | 90.0 | 0.00    | 1.60              | 0.00               | 1.60                 |
| 06/11/2018 #                                     | MATTHEW D DUBIN TTEE | DAIN TRAILER | 0.00                 | 1.98                | 90.0 | 0.00    | 1.78              | 0.00               | 1.78                 |
| 06/11/2018 #                                     | MATTHEW D DUBIN TTEE | DAIN TRAILER | 0.00                 | 2.89                | 90.0 | 0.00    | 2.60              | 0.00               | 2.60                 |
| 06/11/2018 #                                     | MATTHEW D DUBIN TTEE | DAIN TRAILER | 0.00                 | 5.88                | 90.0 | 0.00    | 5.29              | 0.00               | 5.29                 |
| 06/11/2018 #                                     | MATTHEW D DUBIN TTEE | DAIN TRAILER | 0.00                 | 2.09                | 90.0 | 0.00    | 1.88              | 0.00               | 1.88                 |
| 06/11/2018 #                                     | MATTHEW D DUBIN TTEE | DAIN TRAILER | 0.00                 | 0.85                | 90.0 | 0.00    | 0.77              | 0.00               | 0.77                 |
| 06/11/2018 #                                     | MATTHEW D DUBIN TTEE | DAIN TRAILER | 0.00                 | 1.09                | 90.0 | 0.00    | 0.98              | 0.00               | 0.98                 |
| 06/11/2018 #                                     | BRADEN, GAIL         | DAIN TRAILER | 0.00                 | 1.16                | 90.0 | 0.00    | 1.04              | 0.00               | 1.04                 |
| 06/11/2018 #                                     | BRADEN, GAIL         | DAIN TRAILER | 0.00                 | 3.84                | 90.0 | 0.00    | 3.46              | 0.00               | 3.46                 |

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|--|-----------------------------|--------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u>                       |                             |              |                      |                     |      |         |                   |                    |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> |                             |              |                      |                     |      |         |                   |                    |                      |
| 06/11/2018                                       | # BRADEN, GAIL              | DAIN TRAILER | 0.00                 | 4.23                | 90.0 | 0.00    | 3.81              | 0.00               | 3.81                 |
| 06/11/2018                                       | # SAISRIDHAR BODDUPALLI TTE | DAIN TRAILER | 0.00                 | 1.43                | 90.0 | 0.00    | 1.29              | 0.00               | 1.29                 |
| 06/11/2018                                       | # SAISRIDHAR BODDUPALLI TTE | DAIN TRAILER | 0.00                 | 3.03                | 90.0 | 0.00    | 2.73              | 0.00               | 2.73                 |
| 06/11/2018                                       | # SAISRIDHAR BODDUPALLI TTE | DAIN TRAILER | 0.00                 | 3.29                | 90.0 | 0.00    | 2.96              | 0.00               | 2.96                 |
| 06/11/2018                                       | # SAISRIDHAR BODDUPALLI TTE | DAIN TRAILER | 0.00                 | 7.38                | 90.0 | 0.00    | 6.64              | 0.00               | 6.64                 |
| 06/11/2018                                       | # SAISRIDHAR BODDUPALLI TTE | DAIN TRAILER | 0.00                 | 4.94                | 90.0 | 0.00    | 4.45              | 0.00               | 4.45                 |
| 06/11/2018                                       | # SAISRIDHAR BODDUPALLI TTE | DAIN TRAILER | 0.00                 | 3.06                | 90.0 | 0.00    | 2.75              | 0.00               | 2.75                 |
| 06/11/2018                                       | # SAISRIDHAR BODDUPALLI TTE | DAIN TRAILER | 0.00                 | 2.40                | 90.0 | 0.00    | 2.16              | 0.00               | 2.16                 |
| 06/11/2018                                       | # SAISRIDHAR BODDUPALLI TTE | DAIN TRAILER | 0.00                 | 2.82                | 90.0 | 0.00    | 2.54              | 0.00               | 2.54                 |
| 06/11/2018                                       | # LLC, WINIFRED ENTERP      | DAIN TRAILER | 0.00                 | 3.16                | 90.0 | 0.00    | 2.84              | 0.00               | 2.84                 |
| 06/11/2018                                       | # LLC, WINIFRED ENTERP      | DAIN TRAILER | 0.00                 | 4.43                | 90.0 | 0.00    | 3.99              | 0.00               | 3.99                 |
| 06/11/2018                                       | # LLC, WINIFRED ENTERP      | DAIN TRAILER | 0.00                 | 5.93                | 90.0 | 0.00    | 5.34              | 0.00               | 5.34                 |
| 06/11/2018                                       | # LLC, WINIFRED ENTERP      | DAIN TRAILER | 0.00                 | 2.24                | 90.0 | 0.00    | 2.02              | 0.00               | 2.02                 |
| 06/11/2018                                       | # ANN CURRY TTEE            | DAIN TRAILER | 0.00                 | 0.74                | 90.0 | 0.00    | 0.67              | 0.00               | 0.67                 |
| 06/11/2018                                       | # ANN CURRY TTEE            | DAIN TRAILER | 0.00                 | 1.42                | 90.0 | 0.00    | 1.28              | 0.00               | 1.28                 |
| 06/11/2018                                       | # ANN CURRY TTEE            | DAIN TRAILER | 0.00                 | 0.53                | 90.0 | 0.00    | 0.48              | 0.00               | 0.48                 |
| 06/11/2018                                       | # DR JOHN MCLAIRN JR TTEE   | DAIN TRAILER | 0.00                 | 0.13                | 90.0 | 0.00    | 0.12              | 0.00               | 0.12                 |
| 06/11/2018                                       | # DR JOHN MCLAIRN JR TTEE   | DAIN TRAILER | 0.00                 | 0.14                | 90.0 | 0.00    | 0.13              | 0.00               | 0.13                 |
| 06/11/2018                                       | # DR JOHN MCLAIRN JR TTEE   | DAIN TRAILER | 0.00                 | 0.32                | 90.0 | 0.00    | 0.29              | 0.00               | 0.29                 |
| 06/11/2018                                       | # DR JOHN MCLAIRN JR TTEE   | DAIN TRAILER | 0.00                 | 0.21                | 90.0 | 0.00    | 0.19              | 0.00               | 0.19                 |
| 06/11/2018                                       | # COATES DESIGN INC         | DAIN TRAILER | 0.00                 | 0.85                | 90.0 | 0.00    | 0.77              | 0.00               | 0.77                 |
| 06/11/2018                                       | # COATES DESIGN INC         | DAIN TRAILER | 0.00                 | 1.37                | 90.0 | 0.00    | 1.23              | 0.00               | 1.23                 |
| 06/11/2018                                       | # TAYLOR AND ALASKA IN      | DAIN TRAILER | 0.00                 | 1.86                | 90.0 | 0.00    | 1.67              | 0.00               | 1.67                 |
| 06/11/2018                                       | # TAYLOR AND ALASKA IN      | DAIN TRAILER | 0.00                 | 2.99                | 90.0 | 0.00    | 2.69              | 0.00               | 2.69                 |
| 06/11/2018                                       | # TAYLOR AND ALASKA IN      | DAIN TRAILER | 0.00                 | 1.53                | 90.0 | 0.00    | 1.38              | 0.00               | 1.38                 |
| 06/11/2018                                       | # TAYLOR AND ALASKA IN      | DAIN TRAILER | 0.00                 | 2.90                | 90.0 | 0.00    | 2.61              | 0.00               | 2.61                 |
| 06/11/2018                                       | # TAYLOR AND ALASKA IN      | DAIN TRAILER | 0.00                 | 5.38                | 90.0 | 0.00    | 4.84              | 0.00               | 4.84                 |
| 06/11/2018                                       | # TAYLOR AND ALASKA IN      | DAIN TRAILER | 0.00                 | 1.80                | 90.0 | 0.00    | 1.62              | 0.00               | 1.62                 |
| 06/11/2018                                       | # TAYLOR AND ALASKA IN      | DAIN TRAILER | 0.00                 | 2.80                | 90.0 | 0.00    | 2.52              | 0.00               | 2.52                 |
| 06/11/2018                                       | # DAHLEM, DARCY             | DAIN TRAILER | 0.00                 | 2.47                | 90.0 | 0.00    | 2.22              | 0.00               | 2.22                 |
| 06/11/2018                                       | # DAHLEM, DARCY             | DAIN TRAILER | 0.00                 | 8.22                | 90.0 | 0.00    | 7.40              | 0.00               | 7.40                 |
| 06/11/2018                                       | # COATES, MATTHEW           | DAIN TRAILER | 0.00                 | 6.19                | 90.0 | 0.00    | 5.57              | 0.00               | 5.57                 |
| 06/11/2018                                       | # COATES, MATTHEW           | DAIN TRAILER | 0.00                 | 1.96                | 90.0 | 0.00    | 1.76              | 0.00               | 1.76                 |
| 06/11/2018                                       | # COATES, MATTHEW           | DAIN TRAILER | 0.00                 | 1.76                | 90.0 | 0.00    | 1.58              | 0.00               | 1.58                 |
| 06/11/2018                                       | # COATES, MATTHEW           | DAIN TRAILER | 0.00                 | 2.63                | 90.0 | 0.00    | 2.37              | 0.00               | 2.37                 |
| 06/11/2018                                       | # VELOSYS LLC               | DAIN TRAILER | 0.00                 | 1.57                | 90.0 | 0.00    | 1.41              | 0.00               | 1.41                 |

COMMISSION STATEMENT for KRISTIN FRENCH

| DATE   | CLIENT             | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | RATE | POSTAGE | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|--|--------------------|--------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u>                       |                    |              |                      |                     |      |         |                   |                    |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> |                    |              |                      |                     |      |         |                   |                    |                      |
| 06/11/2018 #                                     | VELOSYS LLC        | DAIN TRAILER | 0.00                 | 18.22               | 90.0 | 0.00    | 16.40             | 0.00               | 16.40                |
| 06/11/2018 #                                     | VELOSYS LLC        | DAIN TRAILER | 0.00                 | 4.01                | 90.0 | 0.00    | 3.61              | 0.00               | 3.61                 |
| 06/11/2018 #                                     | VELOSYS LLC        | DAIN TRAILER | 0.00                 | 12.57               | 90.0 | 0.00    | 11.31             | 0.00               | 11.31                |
| 06/11/2018 #                                     | VELOSYS LLC        | DAIN TRAILER | 0.00                 | 34.23               | 90.0 | 0.00    | 30.81             | 0.00               | 30.81                |
| 06/11/2018 #                                     | VELOSYS LLC        | DAIN TRAILER | 0.00                 | 9.91                | 90.0 | 0.00    | 8.92              | 0.00               | 8.92                 |
| 06/11/2018 #                                     | VELOSYS LLC        | DAIN TRAILER | 0.00                 | 6.90                | 90.0 | 0.00    | 6.21              | 0.00               | 6.21                 |
| 06/11/2018 #                                     | VELOSYS LLC        | DAIN TRAILER | 0.00                 | 9.85                | 90.0 | 0.00    | 8.87              | 0.00               | 8.87                 |
| 06/11/2018 #                                     | VELOSYS LLC        | DAIN TRAILER | 0.00                 | 13.02               | 90.0 | 0.00    | 11.72             | 0.00               | 11.72                |
| 06/11/2018 #                                     | VELOSYS LLC        | DAIN TRAILER | 0.00                 | 54.54               | 90.0 | 0.00    | 49.09             | 0.00               | 49.09                |
| 06/11/2018 #                                     | A, DENNIS L YOUNGB | DAIN TRAILER | 0.00                 | 10.21               | 90.0 | 0.00    | 9.19              | 0.00               | 9.19                 |
| 06/11/2018 #                                     | A, DENNIS L YOUNGB | DAIN TRAILER | 0.00                 | 52.86               | 90.0 | 0.00    | 47.57             | 0.00               | 47.57                |
| 06/11/2018 #                                     | A, DENNIS L YOUNGB | DAIN TRAILER | 0.00                 | 48.91               | 90.0 | 0.00    | 44.02             | 0.00               | 44.02                |
| 06/11/2018 #                                     | A, DENNIS L YOUNGB | DAIN TRAILER | 0.00                 | 30.13               | 90.0 | 0.00    | 27.12             | 0.00               | 27.12                |
| 06/11/2018 #                                     | A, DENNIS L YOUNGB | DAIN TRAILER | 0.00                 | 16.00               | 90.0 | 0.00    | 14.40             | 0.00               | 14.40                |
| 06/11/2018 #                                     | A, DENNIS L YOUNGB | DAIN TRAILER | 0.00                 | 38.11               | 90.0 | 0.00    | 34.30             | 0.00               | 34.30                |
| 06/11/2018 #                                     | A, DENNIS L YOUNGB | DAIN TRAILER | 0.00                 | 23.39               | 90.0 | 0.00    | 21.05             | 0.00               | 21.05                |
| 06/11/2018 #                                     | GERMAN, BONNIE     | DAIN TRAILER | 0.00                 | 2.26                | 90.0 | 0.00    | 2.03              | 0.00               | 2.03                 |
| 06/11/2018 #                                     | GERMAN, BONNIE     | DAIN TRAILER | 0.00                 | 2.01                | 90.0 | 0.00    | 1.81              | 0.00               | 1.81                 |
| 06/11/2018 #                                     | GERMAN, BONNIE     | DAIN TRAILER | 0.00                 | 3.95                | 90.0 | 0.00    | 3.56              | 0.00               | 3.56                 |
| 06/11/2018 #                                     | HOLMQUIST, ANN     | DAIN TRAILER | 0.00                 | 3.03                | 90.0 | 0.00    | 2.73              | 0.00               | 2.73                 |
| 06/11/2018 #                                     | HOLMQUIST, JON     | DAIN TRAILER | 0.00                 | 6.86                | 90.0 | 0.00    | 6.17              | 0.00               | 6.17                 |
| 06/11/2018 #                                     | HOLMQUIST, JON     | DAIN TRAILER | 0.00                 | 15.27               | 90.0 | 0.00    | 13.74             | 0.00               | 13.74                |
| 06/11/2018 #                                     | HOLMQUIST, JON     | DAIN TRAILER | 0.00                 | 2.99                | 90.0 | 0.00    | 2.69              | 0.00               | 2.69                 |
| 06/11/2018 #                                     | HOLMQUIST, JON     | DAIN TRAILER | 0.00                 | 3.47                | 90.0 | 0.00    | 3.12              | 0.00               | 3.12                 |
| 06/11/2018 #                                     | HOLMQUIST, JON     | DAIN TRAILER | 0.00                 | 3.24                | 90.0 | 0.00    | 2.92              | 0.00               | 2.92                 |
| 06/11/2018 #                                     | HOLMQUIST, JON     | DAIN TRAILER | 0.00                 | 7.41                | 90.0 | 0.00    | 6.67              | 0.00               | 6.67                 |
| 06/11/2018 #                                     | HOLMQUIST, JON     | DAIN TRAILER | 0.00                 | 6.39                | 90.0 | 0.00    | 5.75              | 0.00               | 5.75                 |
| 06/11/2018 #                                     | WALPOLE, WILLIAM   | DAIN TRAILER | 0.00                 | 1.91                | 90.0 | 0.00    | 1.72              | 0.00               | 1.72                 |
| 06/11/2018 #                                     | SORENSEN, LORI     | DAIN TRAILER | 0.00                 | 0.21                | 90.0 | 0.00    | 0.19              | 0.00               | 0.19                 |
| 06/11/2018 #                                     | SORENSEN, LORI     | DAIN TRAILER | 0.00                 | 2.81                | 90.0 | 0.00    | 2.53              | 0.00               | 2.53                 |
| 06/11/2018 #                                     | SORENSEN, LORI     | DAIN TRAILER | 0.00                 | 5.78                | 90.0 | 0.00    | 5.20              | 0.00               | 5.20                 |
| 06/11/2018 #                                     | HOLMQUIST, JON     | DAIN TRAILER | 0.00                 | 2.75                | 90.0 | 0.00    | 2.48              | 0.00               | 2.48                 |
| 06/11/2018 #                                     | HOLMQUIST, JON     | DAIN TRAILER | 0.00                 | 2.80                | 90.0 | 0.00    | 2.52              | 0.00               | 2.52                 |
| 06/11/2018 #                                     | EUGENE PFLUM TTEE  | DAIN TRAILER | 0.00                 | 2.73                | 90.0 | 0.00    | 2.46              | 0.00               | 2.46                 |
| 06/11/2018 #                                     | EUGENE PFLUM TTEE  | DAIN TRAILER | 0.00                 | 4.09                | 90.0 | 0.00    | 3.68              | 0.00               | 3.68                 |
| 06/11/2018 #                                     | EUGENE PFLUM TTEE  | DAIN TRAILER | 0.00                 | 5.89                | 90.0 | 0.00    | 5.30              | 0.00               | 5.30                 |

COMMISSION STATEMENT for KRISTIN FRENCH

| DATE   | CLIENT                    | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | RATE | POSTAGE | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|--|---------------------------|--------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u>                       |                           |              |                      |                     |      |         |                   |                    |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> |                           |              |                      |                     |      |         |                   |                    |                      |
| 06/11/2018 #                                     | EUGENE PFLUM TTEE         | DAIN TRAILER | 0.00                 | 16.76               | 90.0 | 0.00    | 15.08             | 0.00               | 15.08                |
| 06/11/2018 #                                     | EUGENE PFLUM TTEE         | DAIN TRAILER | 0.00                 | 2.85                | 90.0 | 0.00    | 2.57              | 0.00               | 2.57                 |
| 06/11/2018 #                                     | EUGENE PFLUM TTEE         | DAIN TRAILER | 0.00                 | 21.83               | 90.0 | 0.00    | 19.65             | 0.00               | 19.65                |
| 06/11/2018 #                                     | EUGENE PFLUM TTEE         | DAIN TRAILER | 0.00                 | 10.32               | 90.0 | 0.00    | 9.29              | 0.00               | 9.29                 |
| 06/11/2018 #                                     | JADILE LLC                | DAIN TRAILER | 0.00                 | 10.79               | 90.0 | 0.00    | 9.71              | 0.00               | 9.71                 |
| 06/11/2018 #                                     | JADILE LLC                | DAIN TRAILER | 0.00                 | 6.11                | 90.0 | 0.00    | 5.50              | 0.00               | 5.50                 |
| 06/11/2018 #                                     | JADILE LLC                | DAIN TRAILER | 0.00                 | 16.54               | 90.0 | 0.00    | 14.89             | 0.00               | 14.89                |
| 06/11/2018 #                                     | JADILE LLC                | DAIN TRAILER | 0.00                 | 3.94                | 90.0 | 0.00    | 3.55              | 0.00               | 3.55                 |
| 06/11/2018 #                                     | SARDINIA, SANDHYA         | DAIN TRAILER | 0.00                 | 0.68                | 90.0 | 0.00    | 0.61              | 0.00               | 0.61                 |
| 06/11/2018 #                                     | MATTHEW D DUBIN TTEE      | DAIN TRAILER | 0.00                 | 2.35                | 90.0 | 0.00    | 2.12              | 0.00               | 2.12                 |
| 06/11/2018 #                                     | HOLMQUIST HOLMQUIST TTEES | DAIN TRAILER | 0.00                 | 4.18                | 90.0 | 0.00    | 3.76              | 0.00               | 3.76                 |
| 06/11/2018 #                                     | HOLMQUIST HOLMQUIST TTEES | DAIN TRAILER | 0.00                 | 2.61                | 90.0 | 0.00    | 2.35              | 0.00               | 2.35                 |
| 06/11/2018 #                                     | HOLMQUIST HOLMQUIST TTEES | DAIN TRAILER | 0.00                 | 4.26                | 90.0 | 0.00    | 3.83              | 0.00               | 3.83                 |
| 06/11/2018 #                                     | WALLS, ALICE              | DAIN TRAILER | 0.00                 | 0.11                | 90.0 | 0.00    | 0.10              | 0.00               | 0.10                 |
| 06/11/2018 #                                     | WALLS, ALICE              | DAIN TRAILER | 0.00                 | 0.11                | 90.0 | 0.00    | 0.10              | 0.00               | 0.10                 |
| 06/11/2018 #                                     | WALLS, ALICE              | DAIN TRAILER | 0.00                 | 0.48                | 90.0 | 0.00    | 0.43              | 0.00               | 0.43                 |
| 06/11/2018 #                                     | WALLS, ALICE              | DAIN TRAILER | 0.00                 | 1.19                | 90.0 | 0.00    | 1.07              | 0.00               | 1.07                 |
| 06/11/2018 #                                     | WALLS, ALICE              | DAIN TRAILER | 0.00                 | 1.26                | 90.0 | 0.00    | 1.13              | 0.00               | 1.13                 |
| 06/11/2018 #                                     | WALLS, ALICE              | DAIN TRAILER | 0.00                 | 7.19                | 90.0 | 0.00    | 6.47              | 0.00               | 6.47                 |
| 06/11/2018 #                                     | WALLS, ALICE              | DAIN TRAILER | 0.00                 | 0.21                | 90.0 | 0.00    | 0.19              | 0.00               | 0.19                 |
| 06/11/2018 #                                     | WALLS, ALICE              | DAIN TRAILER | 0.00                 | 2.34                | 90.0 | 0.00    | 2.11              | 0.00               | 2.11                 |
| 06/11/2018 #                                     | COATES DESIGN INC         | DAIN TRAILER | 0.00                 | 2.82                | 90.0 | 0.00    | 2.54              | 0.00               | 2.54                 |
| 06/11/2018 #                                     | COATES DESIGN INC         | DAIN TRAILER | 0.00                 | 7.90                | 90.0 | 0.00    | 7.11              | 0.00               | 7.11                 |
| 06/11/2018 #                                     | COATES DESIGN INC         | DAIN TRAILER | 0.00                 | 2.55                | 90.0 | 0.00    | 2.30              | 0.00               | 2.30                 |
| 06/11/2018 #                                     | TODD ALTOM TTEE           | DAIN TRAILER | 0.00                 | 2.28                | 90.0 | 0.00    | 2.05              | 0.00               | 2.05                 |
| 06/11/2018 #                                     | TODD ALTOM TTEE           | DAIN TRAILER | 0.00                 | 1.19                | 90.0 | 0.00    | 1.07              | 0.00               | 1.07                 |
| 06/11/2018 #                                     | TODD ALTOM TTEE           | DAIN TRAILER | 0.00                 | 4.02                | 90.0 | 0.00    | 3.62              | 0.00               | 3.62                 |
| 06/11/2018 #                                     | TODD ALTOM TTEE           | DAIN TRAILER | 0.00                 | 3.99                | 90.0 | 0.00    | 3.59              | 0.00               | 3.59                 |
| 06/11/2018 #                                     | PAUL MCQUIRTER TTEE       | DAIN TRAILER | 0.00                 | 3.20                | 90.0 | 0.00    | 2.88              | 0.00               | 2.88                 |
| 06/11/2018 #                                     | PAUL MCQUIRTER TTEE       | DAIN TRAILER | 0.00                 | 3.49                | 90.0 | 0.00    | 3.14              | 0.00               | 3.14                 |
| 06/11/2018 #                                     | PAUL MCQUIRTER TTEE       | DAIN TRAILER | 0.00                 | 11.18               | 90.0 | 0.00    | 10.06             | 0.00               | 10.06                |
| 06/11/2018 #                                     | PAUL MCQUIRTER TTEE       | DAIN TRAILER | 0.00                 | 5.91                | 90.0 | 0.00    | 5.32              | 0.00               | 5.32                 |
| 06/11/2018 #                                     | PAUL MCQUIRTER TTEE       | DAIN TRAILER | 0.00                 | 9.87                | 90.0 | 0.00    | 8.88              | 0.00               | 8.88                 |
| 06/11/2018 #                                     | PAUL MCQUIRTER TTEE       | DAIN TRAILER | 0.00                 | 25.17               | 90.0 | 0.00    | 22.65             | 0.00               | 22.65                |
| 06/11/2018 #                                     | PAUL MCQUIRTER TTEE       | DAIN TRAILER | 0.00                 | 11.80               | 90.0 | 0.00    | 10.62             | 0.00               | 10.62                |
| 06/11/2018 #                                     | MATTHEW D DUBIN TTEE      | DAIN TRAILER | 0.00                 | 3.64                | 90.0 | 0.00    | 3.28              | 0.00               | 3.28                 |

COMMISSION STATEMENT for KRISTIN FRENCH

| DATE   | CLIENT                 | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | RATE | POSTAGE       | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|--|------------------------|--------------|----------------------|---------------------|------|---------------|-------------------|--------------------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                |                        |              |                      |                     |      |               |                   |                    |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b> |                        |              |                      |                     |      |               |                   |                    |                      |
| 06/11/2018 #                                     | MATTHEW D DUBIN TTEE   | DAIN TRAILER | 0.00                 | 4.42                | 90.0 | 0.00          | 3.98              | 0.00               | 3.98                 |
| 06/11/2018 #                                     | MATTHEW D DUBIN TTEE   | DAIN TRAILER | 0.00                 | 4.14                | 90.0 | 0.00          | 3.73              | 0.00               | 3.73                 |
| 06/11/2018 #                                     | MATTHEW D DUBIN TTEE   | DAIN TRAILER | 0.00                 | 12.80               | 90.0 | 0.00          | 11.52             | 0.00               | 11.52                |
| 06/11/2018 #                                     | REBECCA LALIBERTE TTEE | DAIN TRAILER | 0.00                 | 10.82               | 90.0 | 0.00          | 9.74              | 0.00               | 9.74                 |
| 06/11/2018 #                                     | BRADEN, GAIL           | DAIN TRAILER | 0.00                 | 1.16                | 90.0 | 0.00          | 1.04              | 0.00               | 1.04                 |
| 06/11/2018 #                                     | BRADEN, GAIL           | DAIN TRAILER | 0.00                 | 3.84                | 90.0 | 0.00          | 3.46              | 0.00               | 3.46                 |
| 06/11/2018 #                                     | BRADEN, GAIL           | DAIN TRAILER | 0.00                 | 2.82                | 90.0 | 0.00          | 2.54              | 0.00               | 2.54                 |
| 06/11/2018 #                                     | BRADEN, GAIL           | DAIN TRAILER | 0.00                 | 1.41                | 90.0 | 0.00          | 1.27              | 0.00               | 1.27                 |
| 06/11/2018 #                                     | BRADEN, GAIL           | DAIN TRAILER | 0.00                 | 3.13                | 90.0 | 0.00          | 2.82              | 0.00               | 2.82                 |
| 06/11/2018 #                                     | BRADEN, RANDALL        | DAIN TRAILER | 0.00                 | 4.98                | 90.0 | 0.00          | 4.48              | 0.00               | 4.48                 |
| 06/11/2018 #                                     | BRADEN, RANDALL        | DAIN TRAILER | 0.00                 | 5.16                | 90.0 | 0.00          | 4.64              | 0.00               | 4.64                 |
| 06/11/2018 #                                     | BRADEN, RANDALL        | DAIN TRAILER | 0.00                 | 3.70                | 90.0 | 0.00          | 3.33              | 0.00               | 3.33                 |
| 06/11/2018 #                                     | BRADEN, RANDALL        | DAIN TRAILER | 0.00                 | 1.85                | 90.0 | 0.00          | 1.67              | 0.00               | 1.67                 |
| 06/11/2018 #                                     | JOHNSON, JACK          | DAIN TRAILER | 0.00                 | 2.87                | 90.0 | 0.00          | 2.58              | 0.00               | 2.58                 |
| 06/11/2018 #                                     | JOHNSON, JACK          | DAIN TRAILER | 0.00                 | 2.19                | 90.0 | 0.00          | 1.97              | 0.00               | 1.97                 |
| 06/11/2018 #                                     | JOHNSON, JACK          | DAIN TRAILER | 0.00                 | 1.19                | 90.0 | 0.00          | 1.07              | 0.00               | 1.07                 |
| 06/11/2018 #                                     | JOHNSON, JACK          | DAIN TRAILER | 0.00                 | 1.58                | 90.0 | 0.00          | 1.42              | 0.00               | 1.42                 |
| 06/11/2018 #                                     | JOHNSON, JACK          | DAIN TRAILER | 0.00                 | 0.90                | 90.0 | 0.00          | 0.81              | 0.00               | 0.81                 |
| 06/11/2018 #                                     | JOHNSON, JACK          | DAIN TRAILER | 0.00                 | 2.46                | 90.0 | 0.00          | 2.21              | 0.00               | 2.21                 |
| 06/11/2018 #                                     | JOHNSON, JACK          | DAIN TRAILER | 0.00                 | 0.58                | 90.0 | 0.00          | 0.52              | 0.00               | 0.52                 |
| 06/22/2018 #                                     | BRADEN, GAIL           | DAIN TRAILER | 5,480.86             | 0.00                | 90.0 | 0.00          | 0.00              | 0.00               | 0.00                 |
| 06/22/2018 #                                     | BRADEN, GAIL           | DAIN TRAILER | 18,220.87            | 0.00                | 90.0 | 0.00          | 0.00              | 0.00               | 0.00                 |
| 06/22/2018 #                                     | BRADEN, GAIL           | DAIN TRAILER | 20,498.71            | 0.00                | 90.0 | 0.00          | 0.00              | 0.00               | 0.00                 |
| 06/27/2018 #                                     | HOLMQUIST, ANN         | DAIN TRAILER | 4,225.36             | 0.00                | 90.0 | 0.00          | 0.00              | 0.00               | 0.00                 |
| 06/27/2018 #                                     | HOLMQUIST, ANN         | DAIN TRAILER | 13,686.17            | 0.00                | 90.0 | 0.00          | 0.00              | 0.00               | 0.00                 |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>      |                        |              | <b>\$62,111.97</b>   | <b>\$2,186.39</b>   |      | <b>\$0.00</b> | <b>\$1,967.81</b> | <b>\$0.00</b>      | <b>\$1,967.81</b>    |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>         |                        |              | <b>\$142,211.97</b>  | <b>\$7,823.47</b>   |      | <b>\$0.00</b> | <b>\$7,041.19</b> | <b>\$0.00</b>      | <b>\$7,041.19</b>    |

COMMISSION STATEMENT for KRISTIN FRENCH

| DATE                      | CLIENT | INVESTMENT                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | RATE | POSTAGE | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|---------------------------|--------|----------------------------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| ADJUSTMENTS               |        |                                  |                      |                     |      |         |                   |                    |                      |
| 07/20/2018                |        | BETA BACK OFFICE: ADMIN FEE      |                      |                     |      |         |                   |                    | -320.00              |
| 07/20/2018                |        | E & O INSURANCE: E & O INSURANCE |                      |                     |      |         |                   |                    | -179.00              |
| 07/20/2018                |        | CRD FEES: CRD FEES - FINRA CE    |                      |                     |      |         |                   |                    | -55.00               |
|                           |        | TRACKED WEB FEE                  |                      |                     |      |         |                   |                    |                      |
| 07/20/2018                |        | ASSISTANT FEE: ASSISTANT FEE     |                      |                     |      |         |                   |                    | -59.00               |
| 07/20/2018                |        | ASSISTANT FEE: ASSISTANT FEE     |                      |                     |      |         |                   |                    | -59.00               |
| *** ADJUSTMENTS TOTAL *** |        |                                  |                      |                     |      |         |                   |                    | \$-672.00            |

BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$7,041.19 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$-672.00  |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

|              |            |
|--------------|------------|
| Check Amount | \$6,369.19 |
|--------------|------------|