

# STATEMENT

March 20, 2018

**BRYAN DUCKETT**  
11761 Connecticut Dr

**BROKER #: 009**  
BRANCH: LA BRANCH

Rancho Cucamonga, CA 91730-

## COMMISSION STATEMENT for BRYAN DUCKETT

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS</b>										
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>										
01/06/0018 #81984090101	HOPSON, ERNEST	COLLEGE BOUND 76220Y679	B	50.00	0.20	0.00	0.00	0.20	88.0	0.18
01/06/0018 #81984090102	HOPSON, ERNEST	COLLEGE BOUND 76220Y877	B	50.00	0.20	0.00	0.00	0.20	88.0	0.18
02/03/0018 #81984090101	HOPSON, ERNEST	COLLEGE BOUND 76220Y679	B	50.00	0.20	0.00	0.00	0.20	88.0	0.18
02/03/0018 #81984090102	HOPSON, ERNEST	COLLEGE BOUND 76220Y877	B	50.00	0.20	0.00	0.00	0.20	88.0	0.18
02/20/2018 #00089506143	UHLSSCOTT	AMERICAN FUNDS 02629M58	B	100.00	3.50	0.00	0.00	3.50	88.0	3.08
<b>* MUTUAL FUNDS SUBTOTAL *</b>				<b>\$300.00</b>	<b>\$4.30</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$4.30</b>		<b>\$3.80</b>

## PRODUCT CATEGORY: STOCKS

01/30/2018 #	HOPSON, ERNEST	GUGGENHEIM S&P MIDCAP 400 PURE GROW S		2,121.76	0.00	9.95	0.00	-9.95	88.0	-8.76
01/30/2018 #	HOPSON, ERNEST	ISHARES MORNINGSTAR SMALL CAP ETF S		1,960.78	0.00	9.95	0.00	-9.95	88.0	-8.76
01/30/2018 #	HOPSON, ERNEST	ISHARES NASDAQ BIOTECHNOLOGY INDEX S		350.53	0.00	9.95	0.00	-9.95	88.0	-8.76
01/30/2018 #	HOPSON, ERNEST	POWERSHARES QQQ TRUST S		3,544.64	0.00	9.95	0.00	-9.95	88.0	-8.76
01/30/2018 #	HOPSON, ERNEST	SECTOR SPDR - FINANCIAL S		805.21	0.00	9.95	0.00	-9.95	88.0	-8.76
01/30/2018 #	HOPSON, ERNEST	SECTOR SPDR TRUST S		1,272.52	0.00	9.95	0.00	-9.95	88.0	-8.76
01/30/2018 #	HOPSON, ERNEST	SELECT SECTOR SPDR FUND S		864.50	0.00	9.95	0.00	-9.95	88.0	-8.76
01/30/2018 #	HOPSON, ERNEST	SELECT SECTOR SPDR TRUST SHS BEN IN S		750.63	0.00	9.95	0.00	-9.95	88.0	-8.76
01/30/2018 #	HOPSON, ERNEST	VANGUARD INDEX FUNDS VANGUARD TOTAL S		3,037.28	0.00	9.95	0.00	-9.95	88.0	-8.76
01/30/2018 #	HOPSON, ERNEST	VANGUARD INTERMEDIATE TERM BOND ETF S		1,484.87	0.00	9.95	0.00	-9.95	88.0	-8.76
01/30/2018 #	HOPSON, ERNEST	VANGUARD LONG TERM BOND ETF S		1,109.67	0.00	9.95	0.00	-9.95	88.0	-8.76
01/30/2018 #	HOPSON, ERNEST	VANGUARD SCOTTSDALE FUNDS VANGUARD S		1,296.31	0.00	9.95	0.00	-9.95	88.0	-8.76
01/30/2018 #	HOPSON, ERNEST	VANGUARD SHORT TERM BOND ETF S		2,204.79	0.00	9.95	0.00	-9.95	88.0	-8.76
01/30/2018 #	HOPSON, ERNEST	VANGUARD TAX-MANAGED FD MSCI EAFE E S		753.32	0.00	9.95	0.00	-9.95	88.0	-8.76
01/30/2018 #	HOPSON, ERNEST	VANGUARD TOTAL INTERNATIONAL BOND E S		2,217.79	0.00	9.95	0.00	-9.95	88.0	-8.76
02/02/2018 #	EILEFSON, KYLE	GUGGENHEIM S&P MIDCAP 400 PURE GROW B		1,607.10	0.00	9.95	0.00	-9.95	88.0	-8.76
02/02/2018 #	EILEFSON, KYLE	ISHARES MORNINGSTAR SMALL CAP ETF B		1,576.17	0.00	9.95	0.00	-9.95	88.0	-8.76
02/02/2018 #	EILEFSON, KYLE	POWERSHARES QQQ TRUST B		2,310.25	0.00	9.95	0.00	-9.95	88.0	-8.76
02/02/2018 #	EILEFSON, KYLE	SECTOR SPDR - FINANCIAL B		942.72	0.00	9.95	0.00	-9.95	88.0	-8.76
02/02/2018 #	EILEFSON, KYLE	SECTOR SPDR TRUST B		1,330.38	0.00	9.95	0.00	-9.95	88.0	-8.76
02/02/2018 #	EILEFSON, KYLE	SELECT SECTOR SPDR FUND B		953.71	0.00	9.95	0.00	-9.95	88.0	-8.76
02/02/2018 #	EILEFSON, KYLE	SELECT SECTOR SPDR TRUST SHS BEN IN B		939.06	0.00	9.95	0.00	-9.95	88.0	-8.76
02/02/2018 #	EILEFSON, KYLE	SPDR SER TR S&P RETAIL ETF B		959.02	0.00	9.95	0.00	-9.95	88.0	-8.76

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
02/02/2018 #	EILEFSON, KYLE	VANGUARD INDEX FUNDS VANGUARD TOTAL B		2,549.84	0.00	9.95	0.00	-9.95	88.0	-8.76
02/02/2018 #	EILEFSON, KYLE	VANGUARD INTERMEDIATE TERM BOND ETF B		572.88	0.00	9.95	0.00	-9.95	88.0	-8.76
02/02/2018 #	EILEFSON, KYLE	VANGUARD LONG TERM BOND ETF B		1,185.73	0.00	9.95	0.00	-9.95	88.0	-8.76
02/02/2018 #	EILEFSON, KYLE	VANGUARD SCOTTSDALE FUNDS VANGUARD B		927.36	0.00	9.95	0.00	-9.95	88.0	-8.76
02/02/2018 #	EILEFSON, KYLE	VANGUARD SHORT TERM BOND ETF B		1,335.18	0.00	9.95	0.00	-9.95	88.0	-8.76
02/02/2018 #	EILEFSON, KYLE	VANGUARD TAX-MANAGED FD MSCI EAFE E B		553.86	0.00	9.95	0.00	-9.95	88.0	-8.76
02/02/2018 #	EILEFSON, KYLE	VANGUARD TOTAL INTERNATIONAL BOND E B		1,131.90	0.00	9.95	0.00	-9.95	88.0	-8.76
02/05/2018 #	TREVIZO, JAN-MICHAEL	ADVANCED MICRO DEVICES INC S		1,179.50	50.00	19.95	0.00	30.05	88.0	26.44
02/05/2018 #	HOPSON, TUNYA	ISHARES NASDAQ BIOTECHNOLOGY INDEX S		996.86	0.00	9.95	0.00	-9.95	88.0	-8.76
02/05/2018 #	TREVIZO, JAN-MICHAEL	NVIDIA CORP S		3,799.54	50.00	19.95	0.00	30.05	88.0	26.44
02/05/2018 #	HOPSON, TUNYA	SPDR SER TR S&P RETAIL ETF B		3,636.60	0.00	9.95	0.00	-9.95	88.0	-8.76
02/05/2018 #	HOPSON, TUNYA	VANGUARD INTERMEDIATE TERM BOND ETF S		981.84	0.00	9.95	0.00	-9.95	88.0	-8.76
02/05/2018 #	HOPSON, TUNYA	VANGUARD TOTAL INTERNATIONAL BOND E S		862.88	0.00	9.95	0.00	-9.95	88.0	-8.76
02/06/2018 #	CARTMEL, GLORIA	VANGUARD SHORT TERM BOND ETF S		2,751.35	0.00	9.95	0.00	-9.95	88.0	-8.76
02/09/2018 #	SINGLETON, SEAN	GUGGENHEIM S&P MIDCAP 400 PURE GROW B		2,448.16	0.00	9.95	0.00	-9.95	88.0	-8.76
02/09/2018 #	SINGLETON, SEAN	ISHARES MORNINGSTAR SMALL CAP ETF B		2,858.89	0.00	9.95	0.00	-9.95	88.0	-8.76
02/09/2018 #	SINGLETON, SEAN	POWERSHARES QQQ TRUST B		4,863.82	0.00	9.95	0.00	-9.95	88.0	-8.76
02/09/2018 #	SINGLETON, SEAN	SECTOR SPDR - FINANCIAL B		2,449.92	0.00	9.95	0.00	-9.95	88.0	-8.76
02/09/2018 #	SINGLETON, SEAN	SECTOR SPDR TRUST B		2,006.57	0.00	9.95	0.00	-9.95	88.0	-8.76
02/09/2018 #	SINGLETON, SEAN	SELECT SECTOR SPDR FUND B		2,435.22	0.00	9.95	0.00	-9.95	88.0	-8.76
02/09/2018 #	SINGLETON, SEAN	SELECT SECTOR SPDR TRUST SHS BEN IN B		1,206.72	0.00	9.95	0.00	-9.95	88.0	-8.76
02/09/2018 #	SINGLETON, SEAN	SPDR SER TR S&P RETAIL ETF B		1,217.09	0.00	9.95	0.00	-9.95	88.0	-8.76
02/09/2018 #	SINGLETON, SEAN	VANGUARD INDEX FUNDS VANGUARD TOTAL B		3,644.66	0.00	9.95	0.00	-9.95	88.0	-8.76
02/09/2018 #	SINGLETON, SEAN	VANGUARD INTERMEDIATE TERM BOND ETF B		2,448.60	0.00	9.95	0.00	-9.95	88.0	-8.76
02/09/2018 #	SINGLETON, SEAN	VANGUARD LONG TERM BOND ETF B		4,826.51	0.00	9.95	0.00	-9.95	88.0	-8.76
02/09/2018 #	SINGLETON, SEAN	VANGUARD SCOTTSDALE FUNDS VANGUARD B		2,006.55	0.00	9.95	0.00	-9.95	88.0	-8.76
02/09/2018 #	SINGLETON, SEAN	VANGUARD SHORT TERM BOND ETF B		2,436.29	0.00	9.95	0.00	-9.95	88.0	-8.76
02/09/2018 #	SINGLETON, SEAN	VANGUARD TAX-MANAGED FD MSCI EAFE E B		1,225.56	0.00	9.95	0.00	-9.95	88.0	-8.76
02/09/2018 #	SINGLETON, SEAN	VANGUARD TOTAL INTERNATIONAL BOND E B		3,618.67	0.00	9.95	0.00	-9.95	88.0	-8.76
02/13/2018 #	TREVIZO, DIDIER	ISHARES MORNINGSTAR SMALL CAP ETF S		4,211.00	0.00	9.95	0.00	-9.95	88.0	-8.76
02/13/2018 #	TREVIZO, DIDIER	SECTOR SPDR TRUST S		902.43	0.00	9.95	0.00	-9.95	88.0	-8.76
02/20/2018 #	NEIMAN, JOHN	POWERSHARES QQQ TRUST S		4,945.88	30.00	19.95	0.00	10.05	88.0	8.84
* STOCKS SUBTOTAL *				\$106,610.87	\$130.00	\$577.25	\$0.00	\$-447.25		\$-393.80
<u>PRODUCT CATEGORY: BONDS</u>										
01/24/2018 #	MILLER, DAVID	MARICOPA CNTY ARIZ UN HIGH B		36,150.60	0.00	25.00	0.00	-25.00	88.0	-22.00
01/31/2018 #	MILLER, DAVID	ARIZONA BRD REGENTS UNIV ARIZ B		34,756.20	0.00	25.00	0.00	-25.00	88.0	-22.00
02/14/2018 #	MILLER, DAVID	CREDIT SUISSE NEW YORK BRANCH SR ID S		420,750.00	3,000.00	25.00	0.00	2,975.00	88.0	2,618.00
* BONDS SUBTOTAL *				\$491,656.80	\$3,000.00	\$75.00	\$0.00	\$2,925.00		\$2,574.00

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<b><u>BROKER TRANSACTIONS</u></b>										
<b><u>PRODUCT CATEGORY: OPTIONS</u></b>										
02/08/2018 #	LING, TOM	CALL OLED	03/16/18	140	B	5,840.00	127.31	27.75	0.00	99.56 88.0 87.61
02/08/2018 #	TREVIZO, DIDIER	PUT NVDA	02/09/18	225	B	950.00	0.00	12.95	0.00	-12.95 88.0 -11.40
02/09/2018 #	TREVIZO, DIDIER	PUT NVDA	02/09/18	225	S	50.00	0.00	12.95	0.00	-12.95 88.0 -11.40
02/14/2018 #	LING, TOM	CALL OLED	03/16/18	140	S	10,600.00	182.64	27.75	0.00	154.89 88.0 136.30
02/27/2018 #	TREVIZO, DIDIER	CALL EA	06/15/18	125	B	5,400.00	0.00	12.95	0.00	-12.95 88.0 -11.40
02/27/2018 #	LING, TOM	CALL EA	06/15/18	125	B	4,500.00	114.30	29.70	0.00	84.60 88.0 74.45
<b>* OPTIONS SUBTOTAL *</b>						<b>\$27,340.00</b>	<b>\$424.25</b>	<b>\$124.05</b>	<b>\$0.00</b>	<b>\$300.20</b> <b>\$264.16</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>										
01/01/0018 #E0343217	HERRON, BERNIECE	PRUDETIAL TRAILS			B	0.00	4.65	0.00	0.00	4.65 88.0 4.09
01/01/0018 #E0343217	HERRON, BERNIECE	PRUDETIAL TRAILS			B	0.00	18.58	0.00	0.00	18.58 88.0 16.35
01/08/0018 #40004629	TAL LUTZ, TONI LYNN	TRANS LIFE FTLB06			B	81,178.72	67.65	0.00	0.00	67.65 88.0 59.53
02/28/2018 #1005560841	LUTZ, CAROL	L SERIES			B	214,123.29	178.44	0.00	0.00	178.44 88.0 157.03
02/28/2018 #1018268538	ZAROFF, MICHAEL	PERSP II 04/14			B	83,164.10	17.33	0.00	0.00	17.33 88.0 15.25
02/28/2018 #1012046576	CANIGILA, KENNITH	PERSP L 08/11			B	148,322.68	123.60	0.00	0.00	123.60 88.0 108.77
02/28/2018 #1017957305	HOLCOMB, TIM	PERSP L 08/11			B	183,217.20	152.68	0.00	0.00	152.68 88.0 134.36
02/28/2018 #1010427467	HOLCOMB, TIM	PERSP L 08/11			B	219,918.01	183.27	0.00	0.00	183.27 88.0 161.28
02/28/2018 #1012917429	MILLER, DAVID	PERSP L 08/11			B	1,434,052.20	1,195.04	0.00	0.00	1,195.04 88.0 1,051.64
02/28/2018 #1015021990	MONTGOMERY, BERT	PERSP L 08/11			B	196,437.66	163.70	0.00	0.00	163.70 88.0 144.06
02/28/2018 #1011249104	MUOLO, HELYN	PERSP L 08/11			B	275,696.13	229.75	0.00	0.00	229.75 88.0 202.18
02/28/2018 #1018477897	SINGLETON, SEAN	PERSP L 08/11			B	714,182.89	595.15	0.00	0.00	595.15 88.0 523.73
02/28/2018 #1014022941	SMITH, RANDY	PERSP L 08/11			B	460,207.68	383.51	0.00	0.00	383.51 88.0 337.49
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>						<b>\$4,010,500.56</b>	<b>\$3,313.35</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$3,313.35</b> <b>\$2,915.76</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>										
02/09/2018 #	SCAFFIDE, SAM	DAIN TRAILER			B	0.00	4.32	0.00	0.00	4.32 88.0 3.80
02/09/2018 #	SCAFFIDE, SAM	DAIN TRAILER			B	0.00	0.13	0.00	0.00	0.13 88.0 0.11
02/09/2018 #	MILLER, DAVID	DAIN TRAILER			B	0.00	12.55	0.00	0.00	12.55 88.0 11.04
02/09/2018 #	SCAFFIDE, SAM	DAIN TRAILER			B	0.00	0.91	0.00	0.00	0.91 88.0 0.80
02/09/2018 #	SCAFFIDE, SAM	DAIN TRAILER			B	0.00	1.57	0.00	0.00	1.57 88.0 1.38
02/09/2018 #	SCAFFIDE, SAM	DAIN TRAILER			B	0.00	0.27	0.00	0.00	0.27 88.0 0.24
02/09/2018 #	SCAFFIDE, SAM	DAIN TRAILER			B	0.00	0.46	0.00	0.00	0.46 88.0 0.40
02/09/2018 #	MANASHOWITZ, STEVEN	DAIN TRAILER			B	0.00	0.84	0.00	0.00	0.84 88.0 0.74
02/09/2018 #	MANASHOWITZ, STEVEN	DAIN TRAILER			B	0.00	2.42	0.00	0.00	2.42 88.0 2.13
02/09/2018 #	MORGA, MARIA	DAIN TRAILER			B	0.00	59.24	0.00	0.00	59.24 88.0 52.13
02/09/2018 #	NEIMAN, JOHN	DAIN TRAILER			B	0.00	3.57	0.00	0.00	3.57 88.0 3.14
02/20/2018 #	NEIMAN, JOHN	DAIN TRAILER			S	4,900.00	0.00	0.00	0.00	0.00 88.0 0.00
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>						<b>\$4,900.00</b>	<b>\$86.28</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$86.28</b> <b>\$75.91</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>						<b>\$4,641,308.23</b>	<b>\$6,958.18</b>	<b>\$776.30</b>	<b>\$0.00</b>	<b>\$6,181.88</b> <b>\$5,439.83</b>

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ADJUSTMENTS

03/20/2018		CIRCLEBLACK: CIRCLEBLACK								-175.00
03/20/2018		ADJ MANAGMENT FEE: ADJ MANAGMENT								-341.35
		FEE								
03/20/2018		ADJ MANAGMENT FEE: ADJ MANAGMENT								-243.39
		FEE								
03/20/2018		ADJ MANAGMENT FEE: ADJ MANAGMENT								-117.93
		FEE								
03/20/2018		ADJ MANAGMENT FEE: ADJ MANAGMENT								-173.58
		FEE								
03/20/2018		ADJ MANAGMENT FEE: ADJ MANAGMENT								-146.16
		FEE								
03/20/2018		ADJ MANAGMENT FEE: ADJ MANAGMENT								-135.87
		FEE								
03/20/2018		ADJ MANAGMENT FEE: ADJ MANAGMENT								-19.23
		FEE								
*** ADJUSTMENTS TOTAL ***										\$-1,352.51

BROKER COMMISSION TOTALS

Broker Transactions	\$5,439.83
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,352.51
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$4,087.32
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