

COMMISSION STATEMENT**January 25, 2018**

MARLI SMYTHE
3200 N. CENTRAL AVE STE 200
PHOENIX, AZ 85012

BROKER #: 73690
BRANCH: 04-#70A11 HOME OFFIC

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | BROKER COMMISSION |
|------|--------|------------|----------------------|---------------------|--------------------|-------------------|----------------------|
|------|--------|------------|----------------------|---------------------|--------------------|-------------------|----------------------|

Company: Securities America**BROKER TRANSACTIONS****PRODUCT CATEGORY: RIA**

| | | | | | | | |
|------------------|-----------------------|-------------------------------|---------------|----------------|---------------|----------------|----------------|
| 01/25/2018 | SMYTHE (73690), MARLI | SAI ADVISORY INCOME (CUE RIA) | 0.00 | 103.33 | 0.00 | 103.33 | 31.00 |
| 01/25/2018 | SMYTHE (73690), MARLI | SAI ADVISORY INCOME (CUE RIA) | 0.00 | -4.13 | 0.00 | -4.13 | -1.24 |
| * RIA SUBTOTAL * | | | <u>\$0.00</u> | <u>\$99.20</u> | <u>\$0.00</u> | <u>\$99.20</u> | <u>\$29.76</u> |

PRODUCT CATEGORY: TRAILERS

| | | | | | | | |
|-----------------------------------|-----------------------|------------|---------------|-----------------|---------------|-----------------|----------------|
| 01/25/2018 | SMYTHE (73690), MARLI | SAI.TRAILS | 0.00 | 4.34 | 0.00 | 4.34 | 1.30 |
| * TRAILERS SUBTOTAL * | | | <u>\$0.00</u> | <u>\$4.34</u> | <u>\$0.00</u> | <u>\$4.34</u> | <u>\$1.30</u> |
| *** BROKER TRANSACTIONS TOTAL *** | | | <u>\$0.00</u> | <u>\$103.54</u> | <u>\$0.00</u> | <u>\$103.54</u> | <u>\$31.06</u> |

SPLIT TRANSACTIONS**BROKER: MELBY/SMYTHE #73916**

| | | | | | | | |
|----------------------------------|----------------------|-------------------------------|---------------|-------------------|---------------|-------------------|-----------------|
| 01/25/2018 | MELBY/SMYTHE (73916) | SAI ADVISORY INCOME (CUE RIA) | 0.00 | 4,783.48 | 0.00 | 1,913.39 | 574.02 |
| 01/25/2018 | MELBY/SMYTHE (73916) | SAI ADVISORY INCOME (CUE RIA) | 0.00 | -228.44 | 0.00 | -91.38 | -27.41 |
| 01/25/2018 | MELBY/SMYTHE (73916) | SAI SECURITES INCOME | 0.00 | 2.75 | 0.00 | 1.10 | 0.33 |
| * MELBY/SMYTHE SUBTOTAL * | | | <u>\$0.00</u> | <u>\$4,557.79</u> | <u>\$0.00</u> | <u>\$1,823.11</u> | <u>\$546.94</u> |
| *** SPLIT TRANSACTIONS TOTAL *** | | | <u>\$0.00</u> | <u>\$4,557.79</u> | <u>\$0.00</u> | <u>\$1,823.11</u> | <u>\$546.94</u> |

COMMISSION STATEMENT for MARLI SMYTHE

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | BROKER COMMISSION |
|------|--------|------------|----------------------|---------------------|--------------------|-------------------|----------------------|
|------|--------|------------|----------------------|---------------------|--------------------|-------------------|----------------------|

Company: Securities America (continued)

ADJUSTMENTS

| | | | | | | | |
|---------------------------|--|--|--------|--------|--------|--------|---------|
| 27. SAI SIPC PE 1/12/18 | | | | | | | -0.09 |
| *** ADJUSTMENTS TOTAL *** | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$-0.09 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|----------|
| Broker Transactions | \$31.06 |
| Split Transactions | \$546.94 |
| Override Transactions | \$0.00 |
| Adjustments | \$-0.09 |
| Prior Period Balance | \$0.00 |
| NASD Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|-----------------------|----------|
| Check Amount | \$577.91 |
| Year-to-date Earnings | \$666.62 |