All Companies

LIBERTY PARTNERS

STATEMENT

August 20, 2018

MICHAEL GORMAN

3030 River Birch

Pearland, TX 77584-

BROKER #: 278

BRANCH: LA BRANCH

COMMISSION STATEMENT for MICHAEL GORMAN

| TRADE DATE CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | POSTAGE | NET COMMISSION RATE | BROKER COMMISSION |
|--|------------------------------------|------|----------------------|---------------------|--------------------|---------|------------------------|----------------------|
| | BROKER TE | RANS | ACTIONS | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 07/02/2018 #01448561397 TRINHCUON | FA 529 MID CAP PORT-CL A | В | 100.00 | 2.00 | 0.00 | 0.00 | 2.00 92.0 | 1.84 |
| 07/02/2018 #01448531648 TRINHCUON | FA 529 MID CAP PORT-CL A | В | 200.00 | 4.00 | 0.00 | 0.00 | 4.00 92.0 | 3.68 |
| 07/02/2018 #01448561397 TRINHCUON | FA 529 NEW INSIGHTS PORT-CL A | В | 300.00 | 6.00 | 0.00 | 0.00 | 6.00 92.0 | 5.52 |
| 07/02/2018 #01448531648 TRINHCUON | FA 529 NEW INSIGHTS PORT-CL A | В | 100.00 | 2.00 | 0.00 | 0.00 | 2.00 92.0 | 1.84 |
| 07/02/2018 #01448561397 TRINHCUON | FA 529 SMALL CAP PORT-CL A | В | 100.00 | 2.00 | 0.00 | 0.00 | 2.00 92.0 | 1.84 |
| 07/02/2018 #01448531648 TRINHCUON | FIDELITY STRATIGIC | В | 200.00 | 4.00 | 0.00 | 0.00 | 4.00 92.0 | 3.68 |
| 07/18/2018 # HANSEN, ROBERT | DREYFUS EQUITY INCOME FUND-CLASS I | В | 25,000.00 | 0.00 | 0.00 | 0.00 | 0.00 92.0 | 0.00 |
| | * MUTUAL FUNDS SUBTOTAL | * | \$26,000.00 | \$20.00 | \$0.00 | \$0.00 | \$20.00 | \$18.40 |
| PRODUCT CATEGORY: STOCKS | | | | | | | | |
| 06/28/2018 # REMOND, MARIA DE LOURDE | KRANESHARES TRUST | S | 2,200.00 | 0.00 | 0.00 | 0.00 | 0.00 92.0 | 0.00 |
| 06/28/2018 # REMOND, SANJAY | KRANESHARES TRUST | S | 3,300.00 | 0.00 | 0.00 | 0.00 | 0.00 92.0 | 0.00 |
| 06/29/2018 # PHAN, SCOTT | BARCLAYS PLC ADR | S | 38,841.25 | 60.00 | 19.95 | 0.00 | 40.05 92.0 | 36.85 |
| 06/29/2018 # NGUYEN, BINH | EXCHANGE TRADED CONCEPTS TR EMQQ E | МВ | 2,206.20 | 60.00 | 19.95 | 0.00 | 40.05 92.0 | 36.85 |
| 06/29/2018 # NGUYEN, BINH | SECTOR SPDR - FINANCIAL | В | 2,142.40 | 60.00 | 19.95 | 0.00 | 40.05 92.0 | 36.85 |
| 06/29/2018 # PHAN, SCOTT | WELLS FARGO & CO | В | 39,105.50 | 60.00 | 19.95 | 0.00 | 40.05 92.0 | 36.85 |
| 07/16/2018 # HANSEN, ROBERT | ISHARES TRUST S&P SMALLCAP 600 | В | 30,017.75 | 0.00 | 0.00 | 0.00 | 0.00 92.0 | 0.00 |
| 07/19/2018 # HOLLINGSWORTH, SHARON | NETFLIX COM INC | В | 29,537.60 | 0.00 | 9.95 | 0.00 | -9.95 92.0 | -9.15 |
| | * STOCKS SUBTOTAL | * | \$147,350.70 | \$240.00 | \$89.75 | \$0.00 | \$150.25 | \$138.25 |
| PRODUCT CATEGORY: VARIABLE ANNUITI | ES | | | | | | | |
| 06/30/0201 #1087490000 LA DENTAL II, ` | JOHN HANCOCK ARA | В | 374,541.38 | 124.61 | 0.00 | 0.00 | 124.61 92.0 | 114.64 |
| | * VARIABLE ANNUITIES SUBTOTAL | * | \$374,541.38 | \$124.61 | \$0.00 | \$0.00 | \$124.61 | \$114.64 |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 | TRAILS | | | | | | | |
| 07/09/2018 #01448531648 TRINHCUON | FA 529 MID CAP PORT-CL A | В | 0.00 | 2.76 | 0.00 | 0.00 | 2.76 92.0 | 2.54 |
| 07/09/2018 #01448561397 TRINHCUON | FA 529 MID CAP PORT-CL A | В | 0.00 | 5.01 | 0.00 | 0.00 | 5.01 92.0 | 4.61 |
| 07/09/2018 #01448531648 TRINHCUON | FA 529 NEW INSIGHTS PORT-CL A | В | 0.00 | 6.07 | 0.00 | 0.00 | 6.07 92.0 | 5.58 |
| 07/09/2018 #01448561397 TRINHCUON | FA 529 NEW INSIGHTS PORT-CL A | В | 0.00 | 12.54 | 0.00 | 0.00 | 12.54 92.0 | 11.54 |
| 07/09/2018 #01448561397 TRINHCUON | FA 529 SMALL CAP PORT-CL A | В | 0.00 | 3.93 | 0.00 | 0.00 | 3.93 92.0 | 3.62 |
| 07/09/2018 #01448531648 TRINHCUON | FIDELITY STRATIGIC | В | 0.00 | 1.38 | 0.00 | 0.00 | 1.38 92.0 | 1.27 |
| 07/11/2018 # CLOPTON, DANIEL | DAIN TRAILER | В | 0.00 | 3.10 | 0.00 | 0.00 | 3.10 92.0 | 2.85 |

COMMISSION STATEMENT for MICHAEL GORMAN

| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILER | TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | POSTAGE | NET COMMISSION RAT | BROKER E COMMISSION |
|---|--------------|----------------|--------------------------------|---------|----------------------|---------------------|--------------------|---------|-----------------------|------------------------|
| ### PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS 07/11/2018 # CLOPTON, DANIEL DAIN TRAILER B 0.00 2.60 0.00 0.00 2.60 92.0 2.39 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 17.04 0.00 0.00 17.04 92.0 15.68 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 6.28 0.00 0.00 6.28 92.0 5.78 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 7.56 0.00 0.00 7.56 92.0 6.96 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 30.36 0.00 0.00 30.36 92.0 27.93 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 30.36 0.00 0.00 30.36 92.0 27.93 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 21.56 0.00 0.00 21.56 92.0 19.84 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 21.56 0.00 0.00 21.56 92.0 19.84 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 21.56 0.00 0.00 21.56 92.0 19.84 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 21.56 0.00 0.00 21.56 92.0 19.84 07/11/2018 # NG, LISA 07/11/2018 # NG, LISA 07/11/2018 # NG, LISA 07/11/2018 # NG, LISA 08/11/2018 # HANSEN, ROSA 08/11/2018 # HANSEN, ROSA 08/11/2018 # HANSEN, ROSA 08/11/2018 # HANSEN, ROSET 08/11/2018 # HANSEN, ROSET 08/11/2018 # HANSEN, ROBERT 08/11/2018 # HANSEN, ROBERT 08/11/2018 # HANSEN, LAURI 08/11/2018 # HANSEN, CHARLES 08/ | | | BROKEI | R TRANS | ACTIONS | | | | | |
| 07/11/2018 # CLOPTON, DANIEL DAIN TRAILER B 0.00 2.60 0.00 0.00 2.60 92.0 2.39 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 17.04 0.00 0.00 17.04 92.0 15.68 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 7.56 0.00 0.00 6.28 92.0 5.78 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 7.56 0.00 0.00 7.56 92.0 6.96 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 30.36 0.00 0.00 30.36 92.0 27.93 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 30.36 0.00 0.00 30.36 92.0 27.93 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 21.55 0.00 0.00 21.56 92.0 19.84 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 14.55 0.00 0.00 21.56 92.0 19.84 07/11/2018 # NG, LISA DAIN TRAILER B 0.00 14.55 0.00 0.00 21.56 92.0 13.39 07/11/2018 # NG, LISA DAIN TRAILER B 0.00 2.89 0.00 0.00 2.89 92.0 2.66 07/11/2018 # NGUYEN, ROSA DAIN TRAILER B 0.00 3.33 0.00 0.00 3.33 92.0 3.06 07/11/2018 # HOUYEN, ROSA DAIN TRAILER B 0.00 4.97 0.00 0.00 4.97 92.0 4.57 07/11/2018 # HANSEN, ROBERT DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/11/2018 # HANSEN, ROBERT DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/11/2018 # HANSEN, LAURI DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/11/2018 # HANSEN, LAURI DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/11/2018 # HANSEN, LAURI DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/11/2018 # HANSEN, LAURI DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/11/2018 # HANSEN, LAURI DAIN TRAILER B 0.00 5.61 0.00 0.00 0.00 92.0 10.00 07/11/2018 # HANSEN, LAURI DAIN TRAILER B 0.00 5.61 0.00 0.00 0.00 92.0 10.00 07/11/2018 # HANSEN, LAURI DAIN TRAILER B 0.00 5.61 0.00 0.00 0.00 92.0 10.00 07/11/2018 # HANSEN, LAURI DAIN TRAILER B 0.00 5.61 0.00 0.00 0.00 0.00 92.0 10.00 07/11/2018 # HANSEN, LAURI DAIN TRAILER B 0.00 5.61 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0 | | | | | | | | | | |
| 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 17.04 0.00 0.00 17.04 92.0 15.68 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 6.28 0.00 0.00 6.28 92.0 5.78 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 0.05 0.00 0.00 0.00 0.00 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 30.36 0.00 0.00 30.36 92.0 27.93 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 21.56 0.00 0.00 21.56 92.0 19.84 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 21.56 0.00 0.00 21.56 92.0 27.93 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 14.55 0.00 0.00 14.55 92.0 19.84 07/11/2018 # MORLES DAIN TRAILER B 0.00 2.89 0.00 0.00 2.89 92.0 2.66 07/11/2018 # NOTURN, ROSA DAIN TRAILER B 0.00 3.33 0.00 0.00 3.33 92.0 2.66 07/11/2018 # HANSEN, ROSA DAIN TRAILER B 0.00 3.33 0.00 0.00 4.97 92.0 4.57 07/11/2018 # HANSEN, ROBERT DAIN TRAILER B 0.00 5.61 0.00 0.00 4.97 92.0 4.57 07/11/2018 # HANSEN, ROBERT DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/11/2018 # HANSEN, ROBERT DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/11/2018 # HANSEN, ROBERT DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/11/2018 # HANSEN, ROBERT DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/11/2018 # HANSEN, ROBERT DAIN TRAILER B 20,000.00 0.00 0.00 0.00 92.0 0.00 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 20,000.00 3.375.23 30.00 3.375.23 3.45.22 **** BROKER TRANSACTIONS TOTAL *** \$45,000.00 \$375.24 \$89.75 \$0.00 \$670.09 \$610.51 **** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$610.51 **** BROKER TRANSACTIONS TOTAL *** \$45,000.00 \$759.84 \$89.75 \$0.00 \$600.00 \$600.00 \$600.00 \$600.00 \$600.00 \$600.00 \$600.00 \$600.00 \$600.00 \$600.00 \$600.00 \$60 | | | | | | | | | | |
| O7/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 7.56 0.00 0.00 6.28 92.0 5.78 | | • | | | | | | | | |
| O7/11/2018 # LONG, CHARLES DAIN TRAILER B O.00 O | | | DAIN TRAILER | | | | | | | |
| O7/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 30.36 0.00 0.00 30.36 92.0 27.93 O7/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 21.56 0.00 0.00 21.56 92.0 19.84 O7/11/2018 # NG, LISA DAIN TRAILER B 0.00 2.89 0.00 0.00 14.55 O7/11/2018 # NG, LISA DAIN TRAILER B 0.00 2.89 0.00 0.00 2.89 O7/11/2018 # NGUYEN, ROSA DAIN TRAILER B 0.00 3.33 0.00 0.00 3.33 92.0 3.06 O7/11/2018 # NGUYEN, ROSA DAIN TRAILER B 0.00 4.97 0.00 0.00 4.97 92.0 3.06 O7/11/2018 # HANSEN, ROBERT DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 O7/11/2018 # HANSEN, ROBERT DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 O7/11/2018 # HANSEN, LAURI DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 O7/18/2018 # HANSEN, LAURI DAIN TRAILER B 25.000.00 0.00 0.00 0.00 0.00 0.00 O7/18/2018 # HANSEN, LAURI DAIN TRAILER B 25.000.00 0.00 0.00 0.00 0.00 0.00 O7/18/2018 # HANSEN, LAURI DAIN TRAILER B 25.000.00 0.00 0.00 0.00 0.00 0.00 O7/18/2018 # HANSEN, LAURI DAIN TRAILER B 25.000.00 0.00 0.00 0.00 0.00 0.00 O7/18/2018 # HANSEN, LAURI DAIN TRAILER B 25.000.00 0.00 0.00 0.00 0.00 0.00 O7/18/2018 # HANSEN, LAURI DAIN TRAILER B 25.000.00 0.00 0.00 0.00 0.00 0.00 O7/18/2018 # HANSEN, LAURI DAIN TRAILER B 25.000.00 0.00 0.00 0.00 0.00 0.00 O7/18/2018 # HANSEN, LAURI DAIN TRAILER B 25.000.00 0.00 0.00 0.00 0.00 0.00 O7/18/2018 # HANSEN, LAURI DAIN TRAILER B 25.000.00 0.00 0.00 0.00 0.00 0.00 O7/18/2018 # HANSEN, LAURI DAIN TRAILER B 25.000.00 0.00 0.00 0.00 0.00 O7/18/2018 # HANSEN, LAURI DAIN TRAILER DAIN | | • | | В | | | | | | |
| 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 21.56 0.00 0.00 21.56 92.0 19.84 07/11/2018 # LONG, CHARLES DAIN TRAILER B 0.00 14.55 0.00 0.00 14.55 92.0 13.39 07/11/2018 # NG, LISA DAIN TRAILER B 0.00 2.89 0.00 0.00 2.89 92.0 2.66 07/11/2018 # NGUYEN, ROSA DAIN TRAILER B 0.00 3.33 0.00 0.00 3.33 92.0 3.06 07/11/2018 # NGUYEN, ROSA DAIN TRAILER B 0.00 4.97 0.00 0.00 4.97 92.0 4.57 07/11/2018 # HANSEN, ROSA DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/11/2018 # HANSEN, ROBERT DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/11/2018 # HANSEN, LAURI DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 0.00 5.61 0.00 0.00 0.00 0.00 0.00 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 25,000.00 0.00 0.00 0.00 0.00 92.0 0.00 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 20,000.00 0.00 0.00 0.00 0.00 0.00 0.00 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 20,000.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 20,000.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 20,000.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 20,000.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 20,000.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.00 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 20,000.00 0. | 07/11/2018 # | LONG, CHARLES | DAIN TRAILER | В | 0.00 | 7.56 | 0.00 | 0.00 | 7.56 92 | .0 6.96 |
| O7/11/2018 # LONG, CHARLES DAIN TRAILER B O.00 14.55 O.00 O.00 14.55 92.0 13.39 O7/11/2018 # NG, LISA DAIN TRAILER B O.00 2.89 O.00 O.00 0.00 2.89 92.0 2.66 O7/11/2018 # NGUYEN, ROSA DAIN TRAILER B O.00 O | 07/11/2018 # | LONG, CHARLES | DAIN TRAILER | В | 0.00 | 30.36 | 0.00 | 0.00 | 30.36 92 | .0 27.93 |
| O7/11/2018 # NG, LISA DAIN TRAILER B O.00 2.89 O.00 O.00 2.89 92.0 2.66 | 07/11/2018 # | LONG, CHARLES | DAIN TRAILER | В | 0.00 | 21.56 | 0.00 | 0.00 | 21.56 92 | .0 19.84 |
| 07/11/2018 # NGUYEN, ROSA DAIN TRAILER B 0.00 3.33 0.00 0.00 3.33 92.0 3.06 07/11/2018 # NGUYEN, ROSA DAIN TRAILER B 0.00 4.97 0.00 0.00 4.97 92.0 4.57 07/11/2018 # HANSEN, ROBERT DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/11/2018 # HANSEN, ROBERT DAIN TRAILER B 0.00 18.08 92.0 16.63 07/11/2018 # HANSEN, ROBERT DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/11/2018 # HANSEN, ROBERT DAIN TRAILER B 0.00 5.61 0.00 0.00 0.00 5.61 92.0 5.16 07/11/2018 # HANSEN, ROBERT DAIN TRAILER B 25,000.00 0.00 0.00 0.00 0.00 92.0 0.00 07/18/2018 # HANSEN, ROBERT DAIN TRAILER B 25,000.00 0.00 0.00 0.00 0.00 92.0 0.00 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 20,000.00 200.00 0.00 0.00 0.00 92.0 184.00 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 20,000.00 \$375.23 \$0.00 \$0.00 \$375.23 \$345.22 \$345.22 \$ | 07/11/2018 # | LONG, CHARLES | DAIN TRAILER | В | 0.00 | 14.55 | 0.00 | 0.00 | 14.55 92 | .0 13.39 |
| DAIN TRAILER B 0.00 4.97 0.00 0.00 4.97 92.0 4.57 | 07/11/2018 # | NG, LISA | DAIN TRAILER | В | 0.00 | 2.89 | 0.00 | 0.00 | 2.89 92 | .0 2.66 |
| DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.61 0.00 0.00 5.61 92.0 5.61 0.00 0. | 07/11/2018 # | NGUYEN, ROSA | DAIN TRAILER | В | 0.00 | 3.33 | 0.00 | 0.00 | 3.33 92 | .0 3.06 |
| 07/11/2018 # HANSEN, ROBERT DAIN TRAILER B 0.00 18.08 0.00 0.00 18.08 92.0 16.63 07/11/2018 # HANSEN, LAURI DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/18/2018 # HANSEN, ROBERT DAIN TRAILER B 25,000.00 0.00 0.00 0.00 0.00 0.00 0.00 92.0 0.00 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 20,000.00 200.00 0.00 0.00 0.00 0.00 92.0 184.00 **MUTUAL FUND 12B1 TRAILS SUBTOTAL ** \$45,000.00 \$375.23 \$0.00 \$0.00 \$375.23 \$345.22 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 \$0.00 | 07/11/2018 # | NGUYEN, ROSA | DAIN TRAILER | В | 0.00 | 4.97 | 0.00 | 0.00 | 4.97 92 | .0 4.57 |
| 07/11/2018 # HANSEN, LAURI DAIN TRAILER B 0.00 5.61 0.00 0.00 5.61 92.0 5.16 07/18/2018 # HANSEN, ROBERT DAIN TRAILER B 25,000.00 0.00 0.00 0.00 0.00 0.00 92.0 0.00 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 20,000.00 200.00 0.00 0.00 0.00 200.00 92.0 184.00 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$375.23 \$345.22 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$6670.09 \$616.51 *** ******************************** | 07/11/2018 # | HANSEN, ROBERT | DAIN TRAILER | В | 0.00 | 5.61 | 0.00 | 0.00 | 5.61 92 | .0 5.16 |
| 07/18/2018 # HANSEN, ROBERT DAIN TRAILER B 25,000.00 0.00 0.00 0.00 0.00 0.00 92.0 0.00 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 20,000.00 200.00 200.00 0.00 200.00 92.0 184.00 **MUTUAL FUND 12B1 TRAILS SUBTOTAL * \$45,000.00 \$375.23 \$0.00 \$0.00 \$375.23 \$345.22 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$670.09 \$616.51 *** *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$670.09 \$616.51 *** *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$670.09 \$616.51 *** *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$670.09 \$616.51 *** *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$670.09 \$616.51 *** *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$670.09 \$616.51 *** *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$670.09 \$616.51 *** *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$670.09 \$616.51 *** *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$0. | 07/11/2018 # | HANSEN, ROBERT | DAIN TRAILER | В | 0.00 | 18.08 | 0.00 | 0.00 | 18.08 92 | .0 16.63 |
| 07/18/2018 # HANSEN, LAURI DAIN TRAILER B 20,000.00 200.00 0.00 0.00 200.00 92.0 184.00 * MUTUAL FUND 12B1 TRAILS SUBTOTAL * \$45,000.00 \$375.23 \$0.00 \$0.00 \$375.23 \$345.22 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 | 07/11/2018 # | HANSEN, LAURI | DAIN TRAILER | В | 0.00 | 5.61 | 0.00 | 0.00 | 5.61 92 | .0 5.16 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * \$45,000.00 \$375.23 \$0.00 \$0.00 \$375.23 \$345.22 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 | 07/18/2018 # | HANSEN, ROBERT | DAIN TRAILER | В | 25,000.00 | 0.00 | 0.00 | 0.00 | 0.00 92 | .0 0.00 |
| *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 *** BROKER TRANSACTIONS TOTAL *** \$592,892.08 \$759.84 \$89.75 \$0.00 \$670.09 \$616.51 | 07/18/2018 # | HANSEN, LAURI | DAIN TRAILER | В | 20,000.00 | 200.00 | 0.00 | 0.00 | 200.00 92 | .0 184.00 |
| ADJUSTMENTS 08/20/2018 ADMIN FEE: ADMIN FEE 08/20/2018 E & O INSURANCE: E & O INSURANCE 08/20/2018 CIRCLEBLACK: CIRCLEBLACK 08/20/2018 DETLA:OTHER: TRADE OVER LIMIT FEES | | | * MUTUAL FUND 12B1 TRAILS SUBT | TOTAL * | \$45,000.00 | \$375.23 | \$0.00 | \$0.00 | \$375.23 | \$345.22 |
| 08/20/2018 ADMIN FEE: ADMIN FEE -390.00 08/20/2018 E & O INSURANCE: E & O INSURANCE -249.00 08/20/2018 CIRCLEBLACK: CIRCLEBLACK -175.00 08/20/2018 DETLA:OTHER: TRADE OVER LIMIT FEES -144.00 | | | *** BROKER TRANSACTIONS TOT | TAL *** | \$592,892.08 | \$759.84 | \$89.75 | \$0.00 | \$670.09 | \$616.51 |
| 08/20/2018 E & O INSURANCE: E & O INSURANCE -249.00 08/20/2018 CIRCLEBLACK: CIRCLEBLACK -175.00 08/20/2018 DETLA:OTHER: TRADE OVER LIMIT FEES -144.00 | | | AI | DJUSTME | NTS | | | | | |
| 08/20/2018 E & O INSURANCE: E & O INSURANCE -249.00 08/20/2018 CIRCLEBLACK: CIRCLEBLACK -175.00 08/20/2018 DETLA:OTHER: TRADE OVER LIMIT FEES -144.00 | 08/20/2018 | | ADMIN FEE: ADMIN FEE | | | | | | | -390.00 |
| 08/20/2018 CIRCLEBLACK: CIRCLEBLACK -175.00 08/20/2018 DETLA:OTHER: TRADE OVER LIMIT FEES -144.00 | | | | NCE | | | | | | |
| 08/20/2018 DETLA:OTHER: TRADE OVER LIMIT FEES -144.00 | | | | | | | | | | |
| | | | | FEES | | | | | | |
| | 11, 20, 2010 | | | | | | | | | 111.00 |

*** ADJUSTMENTS TOTAL ***

\$-958.00

BROKER COMMISSION TOTALS

| Broker Transactions | \$616.51 |
|-----------------------|-----------|
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-958.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$-292.26 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |
| - | _ |

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

| Balance | Forward | \$-633.75 |
|---------|---------|-----------|
| | | • |