

All Companies  
**STATEMENT**  
**June 20, 2018**

STEPHEN PLOUCHER

BROKER #: 038  
BRANCH: LA BRANCH

, CA

COMMISSION STATEMENT for STEPHEN PLOUCHER

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

04/30/2018 # SMITH, ROGER	FIDELITY ADV TECHNOLOGY-CL A	B	4,000.00	150.00	0.00	0.00	150.00	90.0	135.00
05/09/2018 # SOMMERS, LESTER	FIDELITY ADV HEALTH CARE-CL A	S	100.00	0.00	0.00	0.00	0.00	90.0	0.00
05/10/2018 # GRAFF, MARILYN	FIDELITY ADV BIOTECHNOLOGY-CL A	S	200.00	0.00	0.00	0.00	0.00	90.0	0.00
05/10/2018 # SMITH, ROGER	FIDELITY ADV BIOTECHNOLOGY-CL A	S	15,952.14	0.00	0.00	0.00	0.00	90.0	0.00
05/10/2018 # SMITH, ROGER	FIDELITY ADVISOR CONSUMER DISCRETIO B		15,952.14	0.00	0.00	0.00	0.00	90.0	0.00
05/10/2018 # BACKMAN, MELANIE	VALIC 89154Q299	S	17,007.96	0.00	0.00	0.00	0.00	90.0	0.00
05/22/2018 # BACKMAN, MELANIE	FIDELITY ADVISOR CONSUMER DISCRETIO B		8,000.00	220.00	0.00	0.00	220.00	90.0	198.00
05/22/2018 # SOMMERS, LESTER	MASSACHUSETTS INVESTORS GROWTH STOC B		20,000.00	450.00	0.00	0.00	450.00	90.0	405.00
05/22/2018 # BACKMAN, MELANIE	MASSACHUSETTS INVESTORS GROWTH STOC B		29,000.00	1,160.00	0.00	0.00	1,160.00	90.0	1,044.00
05/22/2018 # BACKMAN, MELANIE	MASSACHUSETTS INVESTORS GROWTH STOC B		10,000.00	400.00	0.00	0.00	400.00	90.0	360.00
05/22/2018 # SOMMERS, LESTER	MFS GROWTH FUND CL A	B	20,000.00	450.00	0.00	0.00	450.00	90.0	405.00
<b>* MUTUAL FUNDS SUBTOTAL *</b>				<b>\$140,212.24</b>	<b>\$2,830.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$2,830.00</b>	<b>\$2,547.00</b>

PRODUCT CATEGORY: STOCKS

05/10/2018 # SOMMERS, LESTER	PEPSICO INC	S	68,000.10	10.00	0.00	0.00	10.00	90.0	9.00
<b>* STOCKS SUBTOTAL *</b>				<b>\$68,000.10</b>	<b>\$10.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$10.00</b>	<b>\$9.00</b>

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

04/30/2018 # SOMMERS, LESTER	DAIN TRAILER	B	20,000.00	650.00	0.00	0.00	650.00	90.0	585.00
04/30/2018 # SOMMERS, LESTER	DAIN TRAILER	B	20,000.00	650.00	0.00	0.00	650.00	90.0	585.00
04/30/2018 # SOMMERS, LESTER	DAIN TRAILER	B	15,000.00	487.50	0.00	0.00	487.50	90.0	438.75
04/30/2018 # SOMMERS, LESTER	DAIN TRAILER	B	20,000.00	650.00	0.00	0.00	650.00	90.0	585.00
05/09/2018 # GRAFF, MARILYN	DAIN TRAILER	B	0.00	3.36	0.00	0.00	3.36	90.0	3.02
05/09/2018 # GRAFF, MARILYN	DAIN TRAILER	B	0.00	6.31	0.00	0.00	6.31	90.0	5.68
05/09/2018 # GRAFF, MARILYN	DAIN TRAILER	B	0.00	0.84	0.00	0.00	0.84	90.0	0.76
05/09/2018 # GRAFF, MARILYN	DAIN TRAILER	B	0.00	1.06	0.00	0.00	1.06	90.0	0.95
05/09/2018 # DERUNG, KAREN	DAIN TRAILER	B	0.00	0.87	0.00	0.00	0.87	90.0	0.78
05/09/2018 # DERUNG, KAREN	DAIN TRAILER	B	0.00	1.05	0.00	0.00	1.05	90.0	0.95
05/09/2018 # LIUDAHL, SCOTT	DAIN TRAILER	B	0.00	1.93	0.00	0.00	1.93	90.0	1.74
05/09/2018 # LIUDAHL, SCOTT	DAIN TRAILER	B	0.00	2.34	0.00	0.00	2.34	90.0	2.11
05/09/2018 # LIUDAHL, SCOTT	DAIN TRAILER	B	0.00	1.67	0.00	0.00	1.67	90.0	1.50
05/09/2018 # LIUDAHL, STEVEN	DAIN TRAILER	B	0.00	1.93	0.00	0.00	1.93	90.0	1.74

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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: MUTUAL FUND 12B1 TRAILS</u>										
05/09/2018 #	LIUDAH, STEVEN	DAIN TRAILER	B	0.00	2.34	0.00	0.00	2.34	90.0	2.11
05/09/2018 #	LIUDAH, STEVEN	DAIN TRAILER	B	0.00	1.67	0.00	0.00	1.67	90.0	1.50
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.48	0.00	0.00	4.48	90.0	4.03
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.34	0.00	0.00	4.34	90.0	3.91
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.30	0.00	0.00	4.30	90.0	3.87
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	2.38	0.00	0.00	2.38	90.0	2.14
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.48	0.00	0.00	4.48	90.0	4.03
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	5.15	0.00	0.00	5.15	90.0	4.64
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.30	0.00	0.00	4.30	90.0	3.87
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.37	0.00	0.00	4.37	90.0	3.93
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.48	0.00	0.00	4.48	90.0	4.03
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	5.15	0.00	0.00	5.15	90.0	4.64
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.30	0.00	0.00	4.30	90.0	3.87
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.37	0.00	0.00	4.37	90.0	3.93
05/09/2018 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	2.16	0.00	0.00	2.16	90.0	1.94
05/09/2018 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	1.97	0.00	0.00	1.97	90.0	1.77
05/09/2018 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	2.07	0.00	0.00	2.07	90.0	1.86
05/09/2018 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	2.12	0.00	0.00	2.12	90.0	1.91
05/09/2018 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	1.94	0.00	0.00	1.94	90.0	1.75
05/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	2.16	0.00	0.00	2.16	90.0	1.94
05/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	1.97	0.00	0.00	1.97	90.0	1.77
05/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	2.07	0.00	0.00	2.07	90.0	1.86
05/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	2.12	0.00	0.00	2.12	90.0	1.91
05/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	1.94	0.00	0.00	1.94	90.0	1.75
05/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	0.54	0.00	0.00	0.54	90.0	0.49
05/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	0.08	0.00	0.00	0.08	90.0	0.07
05/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	0.72	0.00	0.00	0.72	90.0	0.65
05/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	1.25	0.00	0.00	1.25	90.0	1.13
05/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	0.99	0.00	0.00	0.99	90.0	0.89
05/09/2018 #	SMITH, ROBERT	DAIN TRAILER	B	0.00	2.78	0.00	0.00	2.78	90.0	2.50
05/09/2018 #	SMITH, ROBERT	DAIN TRAILER	B	0.00	3.41	0.00	0.00	3.41	90.0	3.07
05/09/2018 #	SMITH, ROBERT	DAIN TRAILER	B	0.00	0.40	0.00	0.00	0.40	90.0	0.36
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	7.76	0.00	0.00	7.76	90.0	6.98
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	3.94	0.00	0.00	3.94	90.0	3.55
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	5.20	0.00	0.00	5.20	90.0	4.68
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	2.44	0.00	0.00	2.44	90.0	2.20
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	3.41	0.00	0.00	3.41	90.0	3.07
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	5.42	0.00	0.00	5.42	90.0	4.88
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	8.96	0.00	0.00	8.96	90.0	8.06
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	9.20	0.00	0.00	9.20	90.0	8.28

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	7.59	0.00	0.00	7.59	90.0	6.83
05/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	4.85	0.00	0.00	4.85	90.0	4.37
05/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	4.53	0.00	0.00	4.53	90.0	4.08
05/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	0.22	0.00	0.00	0.22	90.0	0.20
05/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	4.19	0.00	0.00	4.19	90.0	3.77
05/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	11.50	0.00	0.00	11.50	90.0	10.35
05/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	5.11	0.00	0.00	5.11	90.0	4.60
05/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	8.09	0.00	0.00	8.09	90.0	7.28
05/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	4.51	0.00	0.00	4.51	90.0	4.06
05/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	5.95	0.00	0.00	5.95	90.0	5.36
05/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	8.12	0.00	0.00	8.12	90.0	7.31
05/09/2018 #	LIUDAHL, JUDITH	DAIN TRAILER	B	0.00	0.83	0.00	0.00	0.83	90.0	0.75
05/09/2018 #	LIUDAHL, JUDITH	DAIN TRAILER	B	0.00	0.79	0.00	0.00	0.79	90.0	0.71
05/09/2018 #	LIUDAHL, JUDITH	DAIN TRAILER	B	0.00	0.84	0.00	0.00	0.84	90.0	0.76
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.51	0.00	0.00	2.51	90.0	2.26
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	4.35	0.00	0.00	4.35	90.0	3.92
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	1.78	0.00	0.00	1.78	90.0	1.60
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	4.78	0.00	0.00	4.78	90.0	4.30
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.71	0.00	0.00	2.71	90.0	2.44
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	1.83	0.00	0.00	1.83	90.0	1.65
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	4.32	0.00	0.00	4.32	90.0	3.89
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.46	0.00	0.00	2.46	90.0	2.21
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.42	0.00	0.00	2.42	90.0	2.18
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.68	0.00	0.00	2.68	90.0	2.41
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	23.85	0.00	0.00	23.85	90.0	21.47
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	19.91	0.00	0.00	19.91	90.0	17.92
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	8.75	0.00	0.00	8.75	90.0	7.88
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	16.74	0.00	0.00	16.74	90.0	15.07
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	11.50	0.00	0.00	11.50	90.0	10.35
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.29	0.00	0.00	2.29	90.0	2.06
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	12.02	0.00	0.00	12.02	90.0	10.82
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	5.01	0.00	0.00	5.01	90.0	4.51
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	5.02	0.00	0.00	5.02	90.0	4.52
05/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	27.28	0.00	0.00	27.28	90.0	24.55
05/09/2018 #	SMITH, ROGER	DAIN TRAILER	B	0.00	4.27	0.00	0.00	4.27	90.0	3.84
05/09/2018 #	SMITH, ROGER	DAIN TRAILER	B	0.00	3.66	0.00	0.00	3.66	90.0	3.29
05/09/2018 #	GRAFF, MARILYN	DAIN TRAILER	B	0.00	5.71	0.00	0.00	5.71	90.0	5.14
05/09/2018 #	GRAFF, MARILYN	DAIN TRAILER	B	0.00	12.80	0.00	0.00	12.80	90.0	11.52
05/09/2018 #	SMITH, ROGER	DAIN TRAILER	B	0.00	3.26	0.00	0.00	3.26	90.0	2.93
05/09/2018 #	SMITH, ROGER	DAIN TRAILER	B	0.00	6.22	0.00	0.00	6.22	90.0	5.60

COMMISSION STATEMENT for STEPHEN PLOUCHER

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
05/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	S	26,860.15	0.00	0.00	0.00	0.00	90.0	0.00
05/10/2018 #	BACKMAN, MELANIE	DAIN TRAILER	S	7,500.85	0.00	0.00	0.00	0.00	90.0	0.00
05/10/2018 #	BACKMAN, MELANIE	DAIN TRAILER	S	4,625.09	0.00	0.00	0.00	0.00	90.0	0.00
05/11/2018 #	SMITH, ROGER	DAIN TRAILER	B	0.00	12.19	0.00	0.00	12.19	90.0	10.97
05/22/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	8,000.00	260.00	0.00	0.00	260.00	90.0	234.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$121,986.09	\$3,129.43	\$0.00	\$0.00	\$3,129.43		\$2,816.53
*** BROKER TRANSACTIONS TOTAL ***				\$330,198.43	\$5,969.43	\$0.00	\$0.00	\$5,969.43		\$5,372.53

ADJUSTMENTS

06/20/2018	ADMIN FEE: ADMIN FEE	-390.00
06/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
*** ADJUSTMENTS TOTAL ***		\$-569.00

BROKER COMMISSION TOTALS

Broker Transactions	\$5,372.53
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-569.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-10.87
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$4,792.66
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