

STATEMENT

March 20, 2018

MICHAEL GORMAN
3030 River Birch

BROKER #: 278
BRANCH: LA BRANCH

Pearland, TX 77584-

COMMISSION STATEMENT for MICHAEL GORMAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
02/01/2018	#01448531648	TRINHCUN	FA 529 MID CAP PORT-CL A	B	200.00	5.50	0.00	0.00	5.50 92.0	5.06
02/01/2018	#01448561397	TRINHCUN	FA 529 MID CAP PORT-CL A	B	100.00	2.75	0.00	0.00	2.75 92.0	2.53
02/01/2018	#01448531648	TRINHCUN	FA 529 NEW INSIGHTS PORT-CL A	B	100.00	2.75	0.00	0.00	2.75 92.0	2.53
02/01/2018	#01448561397	TRINHCUN	FA 529 NEW INSIGHTS PORT-CL A	B	300.00	8.25	0.00	0.00	8.25 92.0	7.59
02/01/2018	#01448561397	TRINHCUN	FA 529 SMALL CAP PORT-CL A	B	100.00	2.75	0.00	0.00	2.75 92.0	2.53
02/01/2018	#01448531648	TRINHCUN	FIDELITY STRATIGIC	B	200.00	6.00	0.00	0.00	6.00 92.0	5.52
* MUTUAL FUNDS SUBTOTAL *					\$1,000.00	\$28.00	\$0.00	\$0.00	\$28.00	\$25.76

PRODUCT CATEGORY: STOCKS

01/30/2018	#	TUNNEY, JAMES	HORIZONS MARIJUANA LIFE SCIENCES IN S		23,540.40	0.00	0.00	0.00	0.00 92.0	0.00
01/30/2018	#	HOLLINGSWORTH, SHARON	HORIZONS MARIJUANA LIFE SCIENCES IN S		8,839.48	0.00	9.95	0.00	-9.95 92.0	-9.15
01/31/2018	#	TUNNEY, JAMES	HORIZONS MARIJUANA LIFE SCIENCES IN B		25,138.09	0.00	0.00	0.00	0.00 92.0	0.00
01/31/2018	#	TUNNEY, JAMES	SELECT SECTOR SPDR FUND SHS BEN INT S		54,360.58	0.00	0.00	0.00	0.00 92.0	0.00
01/31/2018	#	TUNNEY, JAMES	VANECK VECTORS ETF TR PHARMACEUTICA S		40,036.36	0.00	0.00	0.00	0.00 92.0	0.00
02/01/2018	#	TUNNEY, JAMES	ARK ETF TRUST ARK INNOVATION ETF S		51,816.40	0.00	0.00	0.00	0.00 92.0	0.00
02/01/2018	#	TUNNEY, JAMES	EXCHANGE TRADED CONCEPTS TR EMQQ EM S		51,662.50	0.00	0.00	0.00	0.00 92.0	0.00
02/01/2018	#	TUNNEY, JAMES	HORIZONS MARIJUANA LIFE SCIENCES IN S		23,844.00	0.00	0.00	0.00	0.00 92.0	0.00
02/02/2018	#	REMOND, MARIA DE LOURDE	APPLE INC	S	5,635.00	0.00	0.00	0.00	0.00 92.0	0.00
02/02/2018	#	REMOND, SANJAY	APPLE INC	S	12,075.00	0.00	0.00	0.00	0.00 92.0	0.00
02/02/2018	#	TUNNEY, JAMES	ARK ETF TR	S	51,959.83	0.00	0.00	0.00	0.00 92.0	0.00
02/02/2018	#	HANSEN, ROBERT	COLUMBIA ETF TRUST II COLUMBIA INDI S		14,100.00	0.00	0.00	0.00	0.00 92.0	0.00
02/02/2018	#	TUNNEY, JAMES	GLOBAL X FUNDS GLOBAL X LITHIUM & B S		29,104.00	0.00	0.00	0.00	0.00 92.0	0.00
02/02/2018	#	TUNNEY, JAMES	INNOVATOR ETFs TRUST INNOVATOR IBD S		51,959.59	0.00	0.00	0.00	0.00 92.0	0.00
02/02/2018	#	DALTON, DAVID	INNOVATOR ETFs TRUST INNOVATOR IBD S		9,525.00	0.00	0.00	0.00	0.00 92.0	0.00
02/02/2018	#	HOLLINGSWORTH, SHARON	MASCO CORP	S	1,293.60	60.00	19.95	0.00	40.05 92.0	36.85
02/05/2018	#	HOLLINGSWORTH, SHARON	APPLE INC	S	8,690.00	0.00	9.95	0.00	-9.95 92.0	-9.15
02/05/2018	#	HOLLINGSWORTH, SHARON	BANK OF AMERICA CORP	S	2,963.00	60.00	19.95	0.00	40.05 92.0	36.85
02/05/2018	#	DALTON, DAVID	BARCLAYS BK PLC BARCLAYS ETN SHILLE S		22,121.70	0.00	0.00	0.00	0.00 92.0	0.00
02/05/2018	#	HOLLINGSWORTH, JOHN	BOEING CO	S	48,992.97	0.00	9.95	0.00	-9.95 92.0	-9.15
02/05/2018	#	HANSEN, ROBERT	CLAYMORE EXCHANGE TRADED FUND TRUST S		20,341.60	0.00	0.00	0.00	0.00 92.0	0.00
02/05/2018	#	HOLLINGSWORTH, SHARON	CLAYMORE EXCHANGE TRADED FUND TRUST S		19,234.25	0.00	9.95	0.00	-9.95 92.0	-9.15

COMMISSION STATEMENT for MICHAEL GORMAN

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>										
02/05/2018 #	TUNNEY, JAMES	ETF MANAGERS TRUST ETFMG PRIME MOBI S		51,078.00	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	HOLLINGSWORTH, JOHN	ETF MANAGERS TRUST ETFMG PRIME MOBI S		10,771.00	0.00	9.95	0.00	-9.95	92.0	-9.15
02/05/2018 #	HOLLINGSWORTH, JOHN	EXCHANGE TRADED CONCEPTS TR EMQQ EM S		10,620.45	0.00	9.95	0.00	-9.95	92.0	-9.15
02/05/2018 #	HANSEN, LAURI	FIRST TRUST EXCHANGE TRADED FUND TR S		21,052.50	60.00	19.95	0.00	40.05	92.0	36.85
02/05/2018 #	HOLLINGSWORTH, JOHN	FIRST TRUST EXCHANGE TRADED FUND TR S		10,425.20	0.00	9.95	0.00	-9.95	92.0	-9.15
02/05/2018 #	HOLLINGSWORTH, JOHN	ISHARES TRUST DOW JONES U S FINANCI S		23,340.00	0.00	9.95	0.00	-9.95	92.0	-9.15
02/05/2018 #	HANSEN, ROBERT	ISHARES TRUST DOW JONES US AEROSPAC S		36,622.95	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	REMOND, MARIA DE LOURDE	ISHARES TRUST DOW JONES US AEROSPAC S		5,667.60	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	REMOND, SANJAY	ISHARES TRUST DOW JONES US AEROSPAC S		17,949.30	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	HOLLINGSWORTH, JOHN	ISHARES TRUST DOW JONES US AEROSPAC S		10,456.05	0.00	9.95	0.00	-9.95	92.0	-9.15
02/05/2018 #	HOLLINGSWORTH, SHARON	ISHARES TRUST DOW JONES US AEROSPAC S		25,354.35	0.00	9.95	0.00	-9.95	92.0	-9.15
02/05/2018 #	REMOND, SANJAY	ISHARES TRUST ISHARES U S INDUSTRIA S		10,360.00	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	DALTON, DAVID	ISHARES TRUST MSCI EMERGING S		17,928.75	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	HANSEN, ROBERT	ISHARES TRUST S&P 500 GROWTH INDEX S		3,218.04	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	HANSEN, ROBERT	ISHARES TRUST S&P 500 VALUE INDEX F S		2,910.70	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	REMOND, SANJAY	ISHARES U S BASIC MATERIALS ETF S		10,103.00	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	DALTON, DAVID	ISHARES U S TECHNOLOGY ETF S		39,424.80	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	HOLLINGSWORTH, SHARON	OWENS CORNING S		15,910.00	0.00	9.95	0.00	-9.95	92.0	-9.15
02/05/2018 #	DALTON, DAVID	SECTOR SPDR - FINANCIAL S		22,368.00	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	NGUYEN, BINH	SECTOR SPDR - FINANCIAL S		11,181.50	60.00	19.95	0.00	40.05	92.0	36.85
02/05/2018 #	DALTON, DAVID	SELECT SECTOR SPDR FUND SHS BEN INT S		10,460.00	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	HANSEN, ROBERT	SPDR DOW JONES INDL AVERAGE ETF TR S		3,454.64	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	NIEMAN, LAURA	SPDR DOW JONES MID CAP VALUE ETF S		13,555.35	60.00	19.95	0.00	40.05	92.0	36.85
02/05/2018 #	DALTON, DAVID	SPDR INDEX SHARES FUNDS SPDR EURO S S		10,705.00	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	REMOND, MARIA DE LOURDE	SPDR INDEX SHS FDS S&P GLOBAL NAT R S		4,655.00	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	REMOND, SANJAY	SPDR INDEX SHS FDS S&P GLOBAL NAT R S		9,800.00	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	DALTON, DAVID	SPDR S&P 500 ETF TR S		9,275.35	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	NGUYEN, BINH	SPDR S&P 500 ETF TR S		47,813.40	60.00	19.95	0.00	40.05	92.0	36.85
02/05/2018 #	TUNNEY, JAMES	SPDR S&P 500 ETF TR S		51,946.00	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	HANSEN, ROBERT	SPDR S&P 500 ETF TR S		3,180.18	0.00	0.00	0.00	0.00	92.0	0.00
02/05/2018 #	NIEMAN, LAURA	SPDR SERIES TRUST SPDR PORTFOLIO LA S		14,880.00	60.00	19.95	0.00	40.05	92.0	36.85
02/06/2018 #	HANSEN, ROBERT	ARK ETF TR S		52,566.50	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	REMOND, MARIA DE LOURDE	ARK ETF TR S		5,485.20	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	REMOND, SANJAY	ARK ETF TR S		17,598.35	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	HANSEN, ROBERT	ARK ETF TRUST ARK INNOVATION ETF S		21,160.00	60.00	19.95	0.00	40.05	92.0	36.85
02/06/2018 #	REMOND, MARIA DE LOURDE	ARK ETF TRUST ARK INNOVATION ETF S		5,888.00	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	REMOND, SANJAY	ARK ETF TRUST ARK INNOVATION ETF S		18,400.00	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	HOLLINGSWORTH, JOHN	ARK ETF TRUST ARK INNOVATION ETF S		11,040.00	0.00	9.95	0.00	-9.95	92.0	-9.15
02/06/2018 #	NGUYEN, BINH	ARK ETF TRUST ARK INNOVATION ETF S		4,995.25	0.00	19.95	0.00	-19.95	92.0	-18.35
02/06/2018 #	NGUYEN, BINH	ARK ETF TRUST ARK INNOVATION ETF S		12,184.25	60.00	19.95	0.00	40.05	92.0	36.85

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
02/06/2018 #	NGUYEN, BINH	CAMBRIA GLOBAL VALUE ETF	S	17,509.80	60.00	19.95	0.00	40.05	92.0	36.85
02/06/2018 #	HANSEN, LAURI	CONSOLIDATED EDISON INC	S	13,177.50	60.00	19.95	0.00	40.05	92.0	36.85
02/06/2018 #	HANSEN, ROBERT	ETF MANAGERS TRUST ETFMG PRIME CYBE S	S	35,943.60	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	REMOND, MARIA DE LOURDE	ETF MANAGERS TRUST ETFMG PRIME MOBI S	S	5,529.60	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	REMOND, SANJAY	ETF MANAGERS TRUST ETFMG PRIME MOBI S	S	17,287.00	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	HANSEN, ROBERT	EXCHANGE LISTED FUNDS TRUST	S	49,063.12	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	REMOND, MARIA DE LOURDE	EXCHANGE LISTED FUNDS TRUST	S	5,559.00	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	REMOND, SANJAY	EXCHANGE LISTED FUNDS TRUST	S	17,171.62	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	SALEEM, HASHIR	INDIA FUND INC	S	2,578.00	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	HANSEN, ROBERT	INNOVATOR ETFs TRUST INNOVATOR IBD S	S	17,917.50	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	HOLLINGSWORTH, SHARON	INNOVATOR ETFs TRUST INNOVATOR IBD S	S	9,556.00	0.00	9.95	0.00	-9.95	92.0	-9.15
02/06/2018 #	HOLLINGSWORTH, JOHN	ISHARES TRUST DOW JONES US	S	22,314.50	60.00	19.95	0.00	40.05	92.0	36.85
02/06/2018 #	HOLLINGSWORTH, JOHN	ISHARES TRUST MSCI EMERGING	S	10,387.31	0.00	9.95	0.00	-9.95	92.0	-9.15
02/06/2018 #	SALEEM, HASHIR	ISHARES TRUST MSCI EMERGING	S	5,674.80	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	SALEEM, HASHIR	ISHARES U S TECHNOLOGY ETF	S	11,211.20	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	SALEEM, HASHIR	POWERSHARES PREFERRED PORTFOLIO	S	11,346.39	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	HANSEN, ROBERT	POWERSHARES QQQ TRUST	S	3,419.90	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	SALEEM, HASHIR	SPDR DOW JONES INDL AVERAGE ETF TR S	S	4,995.90	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	SALEEM, HASHIR	SPDR INDEX SHARES FUNDS SPDR EURO S S	S	5,083.75	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	SALEEM, HASHIR	SPDR SER TR S&P BIOTECH ETF	S	3,910.50	0.00	0.00	0.00	0.00	92.0	0.00
02/06/2018 #	NGUYEN, BINH	SPDR SERIES TRUST SPDR BLOOMBERG BA S	S	15,066.00	60.00	19.95	0.00	40.05	92.0	36.85
02/06/2018 #	HANSEN, LAURI	TORONTO-DOMINION BANK	S	774.06	20.00	19.95	0.00	0.05	92.0	0.05
02/06/2018 #	HOLLINGSWORTH, SHARON	VISA INC	S	10,215.90	0.00	9.95	0.00	-9.95	92.0	-9.15
02/06/2018 #	SALEEM, HASHIR	WAL-MART STORES INC	S	12,685.40	0.00	0.00	0.00	0.00	92.0	0.00
02/07/2018 #	HOLLINGSWORTH, SHARON	APPLE INC	B	9,703.19	0.00	9.95	0.00	-9.95	92.0	-9.15
02/07/2018 #	HOLLINGSWORTH, JOHN	BOEING CO	B	20,867.85	0.00	9.95	0.00	-9.95	92.0	-9.15
02/07/2018 #	HOLLINGSWORTH, SHARON	OWENS CORNING	B	10,090.38	0.00	9.95	0.00	-9.95	92.0	-9.15
02/07/2018 #	HOLLINGSWORTH, SHARON	VISA INC	B	10,283.65	0.00	9.95	0.00	-9.95	92.0	-9.15
02/08/2018 #	HOLLINGSWORTH, SHARON	ALPHABET INC CLASS A COMMON STOCK	S	15,180.15	0.00	9.95	0.00	-9.95	92.0	-9.15
02/08/2018 #	HOLLINGSWORTH, SHARON	ALPHABET INC CLASS C CAPITAL STOCK	S	15,170.59	0.00	9.95	0.00	-9.95	92.0	-9.15
02/08/2018 #	NGUYEN, EDWARD	APPLE INC	B	3,206.00	0.00	0.00	0.00	0.00	92.0	0.00
02/08/2018 #	NGUYEN, EDWARD	ARK ETF TRUST ARK INNOVATION ETF	B	3,011.99	0.00	0.00	0.00	0.00	92.0	0.00
02/08/2018 #	NGUYEN, EDWARD	ARK ETF TRUST ARK INNOVATION ETF	S	14,317.50	0.00	0.00	0.00	0.00	92.0	0.00
02/08/2018 #	DALTON, DAVID	CAMBRIA GLOBAL VALUE ETF	S	10,949.40	0.00	0.00	0.00	0.00	92.0	0.00
02/08/2018 #	NGUYEN, EDWARD	GLOBAL X FUNDS GLOBAL X SOCIAL MEDI S	S	5,953.50	0.00	0.00	0.00	0.00	92.0	0.00
02/08/2018 #	NGUYEN, EDWARD	INNOVATOR ETFs TRUST INNOVATOR IBD B	B	2,948.69	0.00	0.00	0.00	0.00	92.0	0.00
02/08/2018 #	NGUYEN, EDWARD	ISHARES TRUST DOW JONES US AEROSPAC B	B	2,929.65	0.00	0.00	0.00	0.00	92.0	0.00
02/08/2018 #	REMOND, MARIA DE LOURDE	ISHARES TRUST MSCI EMERGING	S	5,640.00	0.00	0.00	0.00	0.00	92.0	0.00
02/08/2018 #	REMOND, SANJAY	ISHARES TRUST MSCI EMERGING	S	17,390.00	0.00	0.00	0.00	0.00	92.0	0.00
02/08/2018 #	NGUYEN, EDWARD	SPDR GOLD TR	S	31,203.75	0.00	0.00	0.00	0.00	92.0	0.00

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
02/08/2018 #	MEWIS, TAMARA	SPDR S&P 500 ETF TR	S	54,180.50	60.00	19.95	0.00	40.05	92.0	36.85
02/08/2018 #	DVORAK, STEVEN	SPDR S&P 500 ETF TR	S	51,601.00	0.00	0.00	0.00	0.00	92.0	0.00
02/08/2018 #	DVORAK, STEVEN	SPDR S&P 500 ETF TR	S	30,961.20	0.00	0.00	0.00	0.00	92.0	0.00
02/08/2018 #	DVORAK, STEVEN	SPDR S&P 500 ETF TR	S	19,350.00	60.00	19.95	0.00	40.05	92.0	36.85
02/08/2018 #	DVORAK, STEVEN	SPDR S&P 500 ETF TR	S	51,601.00	60.00	19.95	0.00	40.05	92.0	36.85
02/08/2018 #	DVORAK, STEVEN	SPDR S&P 500 ETF TR	S	46,441.80	0.00	19.95	0.00	-19.95	92.0	-18.35
02/08/2018 #	REMOND, MARIA DE LOURDE	SPDR SERIES TRUST SPDR BLOOMBERG BA S	S	4,489.20	0.00	0.00	0.00	0.00	92.0	0.00
02/08/2018 #	REMOND, SANJAY	SPDR SERIES TRUST SPDR BLOOMBERG BA S	S	13,216.03	0.00	0.00	0.00	0.00	92.0	0.00
02/08/2018 #	DALTON, DAVID	SPDR SERIES TRUST SPDR BLOOMBERG BA S	S	23,401.30	0.00	0.00	0.00	0.00	92.0	0.00
02/08/2018 #	HOLLINGSWORTH, SHARON	VISA INC	S	9,754.60	0.00	9.95	0.00	-9.95	92.0	-9.15
02/08/2018 #	NGUYEN, EDWARD	WISDOMTREE TRUST EUROPE SMALLCAP DI B	B	4,212.60	0.00	0.00	0.00	0.00	92.0	0.00
02/09/2018 #	HOLLINGSWORTH, SHARON	APPLE INC	S	9,168.00	0.00	9.95	0.00	-9.95	92.0	-9.15
02/09/2018 #	HOLLINGSWORTH, JOHN	BOEING CO	S	19,656.00	0.00	9.95	0.00	-9.95	92.0	-9.15
02/09/2018 #	NGUYEN, EDWARD	ETF MANAGERS TRUST ETFMG PRIME MOBI S	S	5,290.15	0.00	0.00	0.00	0.00	92.0	0.00
02/09/2018 #	NGUYEN, EDWARD	INNOVATOR ETFs TRUST INNOVATOR IBD S	S	12,152.40	0.00	0.00	0.00	0.00	92.0	0.00
02/09/2018 #	HOLLINGSWORTH, SHARON	OWENS CORNING	S	9,573.95	0.00	9.95	0.00	-9.95	92.0	-9.15
02/09/2018 #	DURHAM, PATRICIA	SPDR S&P 500 ETF TR	S	5,076.20	0.00	0.00	0.00	0.00	92.0	0.00
02/09/2018 #	DURHAM, PATRICIA	SPDR SERIES TRUST SPDR PORTFOLIO LA S	S	26,955.00	0.00	0.00	0.00	0.00	92.0	0.00
02/09/2018 #	HANSEN, ROBERT	SPDR SERIES TRUST SPDR RUSSELL 1000 S	S	18,331.60	0.00	0.00	0.00	0.00	92.0	0.00
02/13/2018 #	DALTON, DAVID	POWERSHARES GLOBAL EXCHANGE TRADED S	S	9,866.50	0.00	0.00	0.00	0.00	92.0	0.00
02/14/2018 #	PHAN, SCOTT	APPLE INC	B	13,226.80	60.00	19.95	0.00	40.05	92.0	36.85
02/14/2018 #	NGUYEN, BINH	ARK ETF TRUST ARK INNOVATION ETF	B	14,842.80	60.00	19.95	0.00	40.05	92.0	36.85
02/14/2018 #	NGUYEN, BINH	CAMBRIA GLOBAL VALUE ETF	B	19,747.50	60.00	19.95	0.00	40.05	92.0	36.85
02/14/2018 #	PHAN, SCOTT	CHESAPEAKE ENERGY CORP	B	28,500.00	60.00	19.95	0.00	40.05	92.0	36.85
02/14/2018 #	NGUYEN, BINH	INNOVATOR ETFs TRUST INNOVATOR IBD B	B	14,796.00	60.00	19.95	0.00	40.05	92.0	36.85
02/14/2018 #	PHAN, SCOTT	NGL ENERGY PARTNERS LP COM UNIT REP S	S	13,425.00	60.00	19.95	0.00	40.05	92.0	36.85
02/14/2018 #	NGUYEN, BINH	SECTOR SPDR - FINANCIAL	B	19,719.00	60.00	19.95	0.00	40.05	92.0	36.85
02/14/2018 #	NGUYEN, BINH	SPDR S&P 500 ETF TR	B	29,084.00	60.00	19.95	0.00	40.05	92.0	36.85
02/15/2018 #	TUNNEY, JAMES	GENERAL ELECTRIC CO	S	133.38	0.00	0.00	0.00	0.00	92.0	0.00
02/15/2018 #	TUNNEY, JAMES	WISDOMTREE TRUST EUROPE SMALLCAP DI S	S	499.94	0.00	0.00	0.00	0.00	92.0	0.00
02/21/2018 #	DALTON, DAVID	APPLE INC	B	17,304.87	0.00	0.00	0.00	0.00	92.0	0.00
02/21/2018 #	DALTON, DAVID	ARK ETF TRUST ARK INNOVATION ETF	B	16,475.68	0.00	0.00	0.00	0.00	92.0	0.00
02/21/2018 #	DALTON, DAVID	CAMBRIA GLOBAL VALUE ETF	B	18,185.49	0.00	0.00	0.00	0.00	92.0	0.00
02/21/2018 #	DALTON, DAVID	INNOVATOR ETFs TRUST INNOVATOR IBD B	B	17,966.06	0.00	0.00	0.00	0.00	92.0	0.00
02/21/2018 #	DALTON, DAVID	ISHARES TRUST MSCI EMERGING	B	18,026.99	0.00	0.00	0.00	0.00	92.0	0.00
02/21/2018 #	DALTON, DAVID	ISHARES U S TECHNOLOGY ETF	B	17,318.85	0.00	0.00	0.00	0.00	92.0	0.00
02/21/2018 #	DALTON, DAVID	SECTOR SPDR - FINANCIAL	B	18,004.80	0.00	0.00	0.00	0.00	92.0	0.00
02/21/2018 #	DALTON, DAVID	SELECT SECTOR SPDR FUND SHS BEN INT B	B	19,092.74	0.00	0.00	0.00	0.00	92.0	0.00
02/21/2018 #	DALTON, DAVID	SPDR INDEX SHARES FUNDS SPDR EURO S B	B	17,473.88	0.00	0.00	0.00	0.00	92.0	0.00
02/21/2018 #	DALTON, DAVID	SPDR S&P 500 ETF TR	B	17,731.35	0.00	0.00	0.00	0.00	92.0	0.00

COMMISSION STATEMENT for MICHAEL GORMAN

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>										
02/22/2018 # PHAN, SCOTT		ALLERGAN PLC	B	7,221.33	105.00	19.95	0.00	85.05	92.0	78.25
02/22/2018 # PHAN, SCOTT		APPLE INC	B	12,092.49	105.00	19.95	0.00	85.05	92.0	78.25
02/22/2018 # TUNNEY, JAMES		ARK ETF TR	B	14,120.25	0.00	0.00	0.00	0.00	92.0	0.00
02/22/2018 # PHAN, SCOTT		CHESAPEAKE ENERGY CORP	B	17,031.30	678.65	19.95	0.00	658.70	92.0	606.00
02/22/2018 # TUNNEY, JAMES		GLOBAL X FUNDS GLOBAL X LITHIUM & B B		6,197.27	0.00	0.00	0.00	0.00	92.0	0.00
02/22/2018 # TUNNEY, JAMES		GUGGENHEIM CHINA TECHNOLOGY ETF	B	13,937.97	0.00	0.00	0.00	0.00	92.0	0.00
02/22/2018 # TUNNEY, JAMES		ISHARES CORE S&P 500 ETF	B	13,703.50	0.00	0.00	0.00	0.00	92.0	0.00
02/22/2018 # TUNNEY, JAMES		ISHARES TRUST MSCI EMERGING	B	7,377.75	0.00	0.00	0.00	0.00	92.0	0.00
02/22/2018 # TUNNEY, JAMES		POWERSHARES QQQ TRUST	B	14,116.59	0.00	0.00	0.00	0.00	92.0	0.00
02/22/2018 # TUNNEY, JAMES		PROSHARES TRUST	B	13,804.50	0.00	0.00	0.00	0.00	92.0	0.00
02/22/2018 # PHAN, SCOTT		SNAP INC CLASS A COMMON STOCK	S	57,517.97	60.00	19.95	0.00	40.05	92.0	36.85
02/22/2018 # TUNNEY, JAMES		SPDR INDEX SHARES FUNDS SPDR EURO S B		6,963.18	0.00	0.00	0.00	0.00	92.0	0.00
* STOCKS SUBTOTAL *				\$2,691,160.91	\$2,408.65	\$867.20	\$0.00	\$1,541.45		\$1,418.35
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>										
01/01/0018 #1087490000 LA DENTAL II, `		JOHN HANCOCK LIFE TRAILS	B	0.00	223.91	0.00	0.00	223.91	92.0	206.00
* VARIABLE ANNUITIES SUBTOTAL *				\$0.00	\$223.91	\$0.00	\$0.00	\$223.91		\$206.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
02/09/2018 # CLOPTON, DANIEL		DAIN TRAILER	B	0.00	2.55	0.00	0.00	2.55	92.0	2.35
02/09/2018 # LONG, CHARLES		DAIN TRAILER	B	0.00	15.90	0.00	0.00	15.90	92.0	14.63
02/09/2018 # LONG, CHARLES		DAIN TRAILER	B	0.00	6.29	0.00	0.00	6.29	92.0	5.79
02/09/2018 # LONG, CHARLES		DAIN TRAILER	B	0.00	7.23	0.00	0.00	7.23	92.0	6.65
02/09/2018 # LONG, CHARLES		DAIN TRAILER	B	0.00	30.41	0.00	0.00	30.41	92.0	27.98
02/09/2018 # HANSEN, ROBERT		DAIN TRAILER	B	0.00	5.61	0.00	0.00	5.61	92.0	5.16
02/09/2018 # HANSEN, LAURI		DAIN TRAILER	B	0.00	5.61	0.00	0.00	5.61	92.0	5.16
02/09/2018 # NG, LISA		DAIN TRAILER	B	0.00	2.83	0.00	0.00	2.83	92.0	2.60
02/09/2018 # NGUYEN, ROSA		DAIN TRAILER	B	0.00	3.34	0.00	0.00	3.34	92.0	3.07
02/09/2018 # NGUYEN, ROSA		DAIN TRAILER	B	0.00	4.97	0.00	0.00	4.97	92.0	4.57
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$84.74	\$0.00	\$0.00	\$84.74		\$77.96
*** BROKER TRANSACTIONS TOTAL ***				\$2,692,160.91	\$2,745.30	\$867.20	\$0.00	\$1,878.10		\$1,728.07

COMMISSION STATEMENT for MICHAEL GORMAN

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

03/20/2018		ADMIN FEE: ADMIN FEE								-326.00
03/20/2018		E & O INSURANCE: E & O INSURANCE								-249.00
03/20/2018		CIRCLEBLACK: CIRCLEBLACK								-175.00
03/20/2018		DEMNL:MANUAL PROCESS FEE (LPFS):								-25.00
		MANUAL PROCESS FEE								
03/20/2018		DEMNL:MANUAL PROCESS FEE (LPFS):								-25.00
		MANUAL PROCESS FEE								
03/20/2018		DEMNL:MANUAL PROCESS FEE (LPFS):								-25.00
		MANUAL PROCESS FEE								
*** ADJUSTMENTS TOTAL ***										\$-825.00

BROKER COMMISSION TOTALS

Broker Transactions	\$1,728.07
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-825.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-1,049.18
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward \$-146.11