

All Companies
STATEMENT
May 20, 2018

VASTU SHAH
1725 Burgoyne Ct
SUITE 620
Chesterbrook, PA 19087

BROKER #: 216
BRANCH: LA BRANCH

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUNDS									
04/02/2018	#03900189779 SAINI, VIPUL	FIDELITY ADV EUROPE FUND CLASS C	48.08	0.48	93.0	0.00	0.45	0.00	0.45
04/02/2018	#03900189779 SAINI, VIPUL	FIDELITY ADV FREEDOM 2020-CL C	96.16	0.96	93.0	0.00	0.89	0.00	0.89
04/02/2018	#03900189779 SAINI, VIPUL	FIDELITY ADV FREEDOM 2025 CL C	96.15	0.96	93.0	0.00	0.89	0.00	0.89
04/02/2018	#01484642077 MENGEWENDE	FIDELITY ADV GLOBAL CAP APP-CL C	7.06	0.07	93.0	0.00	0.07	0.00	0.07
04/02/2018	#01484642127	FIDELITY ADV GLOBAL CAP APP-CL C	18.25	0.18	93.0	0.00	0.17	0.00	0.17
04/02/2018	#03900189779 SAINI, VIPUL	FIDELITY ADV INT'L CAPITAL APP CL C	96.15	0.96	93.0	0.00	0.89	0.00	0.89
04/02/2018	#01484641962 FILOPDIANL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	37.13	0.37	93.0	0.00	0.34	0.00	0.34
04/02/2018	#01484642051 HERSHLORR	FIDELITY ADVISOR FOCUS FUNDS HEALTH	84.45	0.84	93.0	0.00	0.78	0.00	0.78
04/02/2018	#01484642077 MENGEWENDE	FIDELITY ADVISOR FOCUS FUNDS HEALTH	14.11	0.14	93.0	0.00	0.13	0.00	0.13
04/02/2018	#03900189779 SAINI, VIPUL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	96.15	0.96	93.0	0.00	0.89	0.00	0.89
04/02/2018	#01484641962 FILOPDIANL	FIDELITY ADVISOR SER VII BIOTECHNOL	37.13	0.37	93.0	0.00	0.34	0.00	0.34
04/02/2018	#01484642051 HERSHLORR	FIDELITY ADVISOR SER VII BIOTECHNOL	84.45	0.84	93.0	0.00	0.78	0.00	0.78
04/02/2018	#01484642077 MENGEWENDE	FIDELITY ADVISOR SER VII BIOTECHNOL	10.59	0.11	93.0	0.00	0.10	0.00	0.10
04/02/2018	#01484642051 HERSHLORR	FIDELITY ADVISOR SER VIII GLOBAL EQ	84.43	0.84	93.0	0.00	0.78	0.00	0.78
04/02/2018	#01484642077 MENGEWENDE	FIDELITY ADVISOR SER VIII GLOBAL EQ	7.05	0.07	93.0	0.00	0.07	0.00	0.07
04/02/2018	#01484642077 MENGEWENDE	FIDELITY MID CAP VALUE	14.11	0.14	93.0	0.00	0.13	0.00	0.13
04/02/2018	#01484642127	FIDELITY MID CAP VALUE	10.95	0.11	93.0	0.00	0.10	0.00	0.10
04/02/2018	#01484642077 MENGEWENDE	FIDELITY SMALL CAP BLEND	10.59	0.11	93.0	0.00	0.10	0.00	0.10
04/02/2018	#01484642127	FIDELITY SMALL CAP BLEND	7.30	0.07	93.0	0.00	0.07	0.00	0.07
04/02/2018	#01484641962 FILOPDIANL	FIDELITY VALUE FUND	37.13	0.37	93.0	0.00	0.34	0.00	0.34
04/02/2018	#01484642051 HERSHLORR	FIDELITY VALUE FUND	84.45	0.84	93.0	0.00	0.78	0.00	0.78
04/02/2018	#01484642077 MENGEWENDE	FIDELITY VALUE FUND	7.06	0.07	93.0	0.00	0.07	0.00	0.07
04/02/2018	#01484642127	FIDELITY VALUE FUND	22.81	0.23	93.0	0.00	0.21	0.00	0.21
04/02/2018	#01484641962 FILOPDIANL	FIDLEITY INTERMEDIATE	37.11	0.37	93.0	0.00	0.34	0.00	0.34
04/02/2018	#01484642051 HERSHLORR	FIDLEITY INTERMEDIATE	84.45	0.84	93.0	0.00	0.78	0.00	0.78
04/02/2018	#01484642127	FIDLEITY INTERMEDIATE	31.94	0.32	93.0	0.00	0.30	0.00	0.30
04/02/2018	#03900189779 SAINI, VIPUL	FIDLEITY INTERMEDIATE	48.08	0.48	93.0	0.00	0.45	0.00	0.45
04/03/2018	#000000000356752	FRANKLIN STRATEGIC SER NAT RES FD C	322.83	3.23	93.0	0.00	3.00	0.00	3.00

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<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUNDS									
04/03/2018	#000000000869786	ELANCHENNY, FRKLN GOLD & PRECIOUS METALS FUND C	500.00	5.00	93.0	0.00	4.65	0.00	4.65
04/03/2018	#000000000645010	MUTUAL FINANCIAL SERVICES FUND-CLAS	322.83	3.23	93.0	0.00	3.00	0.00	3.00
04/09/2018	#00073594160	RICHMAN, BARRY INCOME PORTFOLIO-C	5,500.00	55.00	93.0	0.00	51.15	0.00	51.15
04/09/2018	#00073593614	RICHMAN, BARRY INCOME PORTFOLIO-C	5,500.00	55.00	93.0	0.00	51.15	0.00	51.15
04/16/2018	#03900189779	SAINI, VIPUL FIDELITY ADV EUROPE FUND CLASS C	48.08	0.48	93.0	0.00	0.45	0.00	0.45
04/16/2018	#03900189779	SAINI, VIPUL FIDELITY ADV FREEDOM 2020-CL C	96.16	0.96	93.0	0.00	0.89	0.00	0.89
04/16/2018	#03900189779	SAINI, VIPUL FIDELITY ADV FREEDOM 2025 CL C	96.15	0.96	93.0	0.00	0.89	0.00	0.89
04/16/2018	#01484642077	MENGWEWENDE FIDELITY ADV GLOBAL CAP APP-CL C	10.72	0.11	93.0	0.00	0.10	0.00	0.10
04/16/2018	#01484642127	FIDELITY ADV GLOBAL CAP APP-CL C	20.89	0.21	93.0	0.00	0.20	0.00	0.20
04/16/2018	#03900189779	SAINI, VIPUL FIDELITY ADV INT'L CAPITAL APP CL C	96.15	0.96	93.0	0.00	0.89	0.00	0.89
04/16/2018	#01484641962	FILOPDIANL FIDELITY ADVISOR FOCUS FUNDS HEALTH	40.10	0.40	93.0	0.00	0.37	0.00	0.37
04/16/2018	#01484642051	HERSHLORR FIDELITY ADVISOR FOCUS FUNDS HEALTH	92.55	0.93	93.0	0.00	0.86	0.00	0.86
04/16/2018	#01484642077	MENGWEWENDE FIDELITY ADVISOR FOCUS FUNDS HEALTH	21.44	0.21	93.0	0.00	0.20	0.00	0.20
04/16/2018	#03900189779	SAINI, VIPUL FIDELITY ADVISOR FOCUS FUNDS HEALTH	96.15	0.96	93.0	0.00	0.89	0.00	0.89
04/16/2018	#01484641962	FILOPDIANL FIDELITY ADVISOR SER VII BIOTECHNOL	40.10	0.40	93.0	0.00	0.37	0.00	0.37
04/16/2018	#01484642051	HERSHLORR FIDELITY ADVISOR SER VII BIOTECHNOL	92.55	0.93	93.0	0.00	0.86	0.00	0.86
04/16/2018	#01484642077	MENGWEWENDE FIDELITY ADVISOR SER VII BIOTECHNOL	16.08	0.16	93.0	0.00	0.15	0.00	0.15
04/16/2018	#01484642051	HERSHLORR FIDELITY ADVISOR SER VIII GLOBAL EQ	92.55	0.93	93.0	0.00	0.86	0.00	0.86
04/16/2018	#01484642077	MENGWEWENDE FIDELITY ADVISOR SER VIII GLOBAL EQ	10.70	0.11	93.0	0.00	0.10	0.00	0.10
04/16/2018	#01484642077	MENGWEWENDE FIDELITY MID CAP VALUE	21.44	0.21	93.0	0.00	0.20	0.00	0.20
04/16/2018	#01484642127	FIDELITY MID CAP VALUE	12.53	0.13	93.0	0.00	0.12	0.00	0.12
04/16/2018	#01484642077	MENGWEWENDE FIDELITY SMALL CAP BLEND	16.08	0.16	93.0	0.00	0.15	0.00	0.15
04/16/2018	#01484642127	FIDELITY SMALL CAP BLEND	8.36	0.08	93.0	0.00	0.07	0.00	0.07
04/16/2018	#01484641962	FILOPDIANL FIDELITY VALUE FUND	40.10	0.40	93.0	0.00	0.37	0.00	0.37
04/16/2018	#01484642051	HERSHLORR FIDELITY VALUE FUND	92.55	0.93	93.0	0.00	0.86	0.00	0.86
04/16/2018	#01484642077	MENGWEWENDE FIDELITY VALUE FUND	10.72	0.11	93.0	0.00	0.10	0.00	0.10
04/16/2018	#01484642127	FIDELITY VALUE FUND	26.11	0.26	93.0	0.00	0.24	0.00	0.24
04/16/2018	#01484641962	FILOPDIANL FIDLEITY INTERMEDIATE	40.08	0.40	93.0	0.00	0.37	0.00	0.37
04/16/2018	#01484642051	HERSHLORR FIDLEITY INTERMEDIATE	92.55	0.93	93.0	0.00	0.86	0.00	0.86
04/16/2018	#01484642127	FIDLEITY INTERMEDIATE	36.55	0.37	93.0	0.00	0.34	0.00	0.34
04/16/2018	#03900189779	SAINI, VIPUL FIDLEITY INTERMEDIATE	48.08	0.48	93.0	0.00	0.45	0.00	0.45
04/17/2018	#000000000356752	FRANKLIN STRATEGIC SER NAT RES FD C	322.83	3.23	93.0	0.00	3.00	0.00	3.00
04/17/2018	#000000000869786	ELANCHENNY, FRKLN GOLD & PRECIOUS METALS FUND C	500.00	5.00	93.0	0.00	4.65	0.00	4.65
04/17/2018	#000000000645010	MUTUAL FINANCIAL SERVICES FUND-CLAS	322.83	3.23	93.0	0.00	3.00	0.00	3.00
* MUTUAL FUNDS SUBTOTAL *			\$15,820.16	\$158.19		\$0.00	\$147.05	\$0.00	\$147.05

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
04/02/2018	# SHARMA, MADHU	ALASKA AIR GROUP INC	6,167.00	5.00	85.0	0.00	4.25	19.95	-15.70
04/16/2018	# BHATT, BHARAT	CHEMOURS COMPANY (THE) COM	1,025.20	10.00	85.0	0.00	8.50	19.95	-11.45
04/24/2018	# PATEL, PRAVIN	FACEBOOK INC	47,670.00	15.00	85.0	0.00	12.75	19.95	-7.20
* STOCKS SUBTOTAL *			\$54,862.20	\$30.00		\$0.00	\$25.50	\$59.85	\$-34.35
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
03/01/0018	#1326880000 COMPREHENSIVE	JOHN HANCOCK ARA	1,535,043.10	638.14	93.0	0.00	593.47	0.00	593.47
* VARIABLE ANNUITIES SUBTOTAL *			\$1,535,043.10	\$638.14		\$0.00	\$593.47	\$0.00	\$593.47
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
03/31/2018	#07970869825 MOSKAITIS, JOHN	OPPENHEIMER ROCHESTER NATL MUNICIPA	0.00	2.89	93.0	0.00	2.69	0.00	2.69
04/01/2018	#00777069535 VARIOUS SHAH	INVESCO AMERICAN VALUE CLASS C	0.00	1.83	93.0	0.00	1.70	0.00	1.70
04/01/2018	#00777089941 VARIOUS SHAH	INVESCO AMERICAN VALUE CLASS C	0.00	0.41	93.0	0.00	0.38	0.00	0.38
04/01/2018	#00777113413 VARIOUS SHAH	INVESCO AMERICAN VALUE CLASS C	0.00	1.61	93.0	0.00	1.50	0.00	1.50
04/01/2018	#00777113416 VARIOUS SHAH	INVESCO AMERICAN VALUE CLASS C	0.00	4.74	93.0	0.00	4.41	0.00	4.41
04/01/2018	#00777113422 VARIOUS SHAH	INVESCO AMERICAN VALUE CLASS C	0.00	6.71	93.0	0.00	6.24	0.00	6.24
04/01/2018	#00777113520 VARIOUS SHAH	INVESCO AMERICAN VALUE CLASS C	0.00	1.67	93.0	0.00	1.55	0.00	1.55
04/01/2018	#00777137145 VARIOUS SHAH	INVESCO AMERICAN VALUE CLASS C	0.00	18.23	93.0	0.00	16.95	0.00	16.95
04/01/2018	#00777137143 VARIOUS SHAH	INVESCO BALANCED-RISK ALLOCATION FD	0.00	5.61	93.0	0.00	5.22	0.00	5.22
04/01/2018	#00777147840 YONANSAMER	INVESCO BALANCED-RISK ALLOCATION FD	0.00	5.95	93.0	0.00	5.53	0.00	5.53
04/01/2018	#00777089941 VARIOUS SHAH	INVESCO CASH RESERVE SHARES	0.00	0.96	93.0	0.00	0.89	0.00	0.89
04/01/2018	#00777158813 VARIOUS SHAH	INVESCO CASH RESERVE SHARES	0.00	6.73	93.0	0.00	6.26	0.00	6.26
04/01/2018	#00777069535 VARIOUS SHAH	INVESCO CHARTER FUND - CLASS C	0.00	1.73	93.0	0.00	1.61	0.00	1.61
04/01/2018	#00777089941 VARIOUS SHAH	INVESCO CHARTER FUND - CLASS C	0.00	0.31	93.0	0.00	0.29	0.00	0.29
04/01/2018	#00777113413 VARIOUS SHAH	INVESCO CHARTER FUND - CLASS C	0.00	12.14	93.0	0.00	11.29	0.00	11.29
04/01/2018	#00777113422 VARIOUS SHAH	INVESCO CHARTER FUND - CLASS C	0.00	5.64	93.0	0.00	5.25	0.00	5.25
04/01/2018	#00777113520 VARIOUS SHAH	INVESCO CHARTER FUND - CLASS C	0.00	0.92	93.0	0.00	0.86	0.00	0.86
04/01/2018	#00777131002 MALKASMK	INVESCO CHARTER FUND - CLASS C	0.00	60.36	93.0	0.00	56.13	0.00	56.13
04/01/2018	#00777147840 YONANSAMER	INVESCO CHARTER FUND - CLASS C	0.00	12.88	93.0	0.00	11.98	0.00	11.98
04/01/2018	#05071945173 VARIOUS SHAH	INVESCO CHARTER FUND CL A	0.00	2.72	93.0	0.00	2.53	0.00	2.53
04/01/2018	#05071945173 VARIOUS SHAH	INVESCO CONSERVATIVE ALLOCATION FD	0.00	7.02	93.0	0.00	6.53	0.00	6.53
04/01/2018	#00777113416 VARIOUS SHAH	INVESCO CONSERVATIVE ALLOCATION FD	0.00	3.33	93.0	0.00	3.10	0.00	3.10
04/01/2018	#00777113413 VARIOUS SHAH	INVESCO CORE	0.00	3.45	93.0	0.00	3.21	0.00	3.21
04/01/2018	#00777131002 MALKASMK	INVESCO CORE	0.00	23.19	93.0	0.00	21.57	0.00	21.57
04/01/2018	#00777131003 SHAH, BHARAT	INVESCO CORE	0.00	86.37	93.0	0.00	80.32	0.00	80.32
04/01/2018	#00777131005 PIATTTHER	INVESCO CORE	0.00	35.61	93.0	0.00	33.12	0.00	33.12

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/01/2018	#00777158813	VARIOUS SHAH	INVESCO CORE BOND	0.00	8.15	93.0	0.00	7.58	7.58
04/01/2018	#05071945173	VARIOUS SHAH	INVESCO CORE BOND	0.00	4.18	93.0	0.00	3.89	3.89
04/01/2018	#00777069535	VARIOUS SHAH	INVESCO DEVELOPING MARKETS	0.00	0.77	93.0	0.00	0.72	0.72
04/01/2018	#00777089941	VARIOUS SHAH	INVESCO DEVELOPING MARKETS	0.00	0.16	93.0	0.00	0.15	0.15
04/01/2018	#00777113416	VARIOUS SHAH	INVESCO DEVELOPING MARKETS	0.00	2.25	93.0	0.00	2.09	2.09
04/01/2018	#00777113422	VARIOUS SHAH	INVESCO DEVELOPING MARKETS	0.00	2.55	93.0	0.00	2.37	2.37
04/01/2018	#00777113520	VARIOUS SHAH	INVESCO DEVELOPING MARKETS	0.00	1.44	93.0	0.00	1.34	1.34
04/01/2018	#05071945173	VARIOUS SHAH	INVESCO DEVELOPING MARKETS FUND CL	0.00	5.69	93.0	0.00	5.29	5.29
04/01/2018	#00777069535	VARIOUS SHAH	INVESCO DIVERSIFIED DIVIDEND FD -CL	0.00	1.89	93.0	0.00	1.76	1.76
04/01/2018	#00777089941	VARIOUS SHAH	INVESCO DIVERSIFIED DIVIDEND FD -CL	0.00	0.40	93.0	0.00	0.37	0.37
04/01/2018	#00777113413	VARIOUS SHAH	INVESCO DIVERSIFIED DIVIDEND FD -CL	0.00	2.70	93.0	0.00	2.51	2.51
04/01/2018	#00777113416	VARIOUS SHAH	INVESCO DIVERSIFIED DIVIDEND FD -CL	0.00	1.87	93.0	0.00	1.74	1.74
04/01/2018	#00777113422	VARIOUS SHAH	INVESCO DIVERSIFIED DIVIDEND FD -CL	0.00	6.58	93.0	0.00	6.12	6.12
04/01/2018	#00777113520	VARIOUS SHAH	INVESCO DIVERSIFIED DIVIDEND FD -CL	0.00	1.74	93.0	0.00	1.62	1.62
04/01/2018	#05071945173	VARIOUS SHAH	INVESCO DIVERSIFIED DIVIDEND FD CL	0.00	3.02	93.0	0.00	2.81	2.81
04/01/2018	#00777131005	PIATTHER	INVESCO ENERGY FUND CLASS C	0.00	7.58	93.0	0.00	7.05	7.05
04/01/2018	#00777147840	YONANSAMER	INVESCO ENERGY FUND CLASS C	0.00	5.66	93.0	0.00	5.26	5.26
04/01/2018	#00777113520	VARIOUS SHAH	INVESCO EUROPEAN GROWTH FUND -CLASS	0.00	1.28	93.0	0.00	1.19	1.19
04/01/2018	#05071945173	VARIOUS SHAH	INVESCO EUROPEAN GROWTH FUND CL A	0.00	5.00	93.0	0.00	4.65	4.65
04/01/2018	#00777069535	VARIOUS SHAH	INVESCO FLOATING RATE R	0.00	2.08	93.0	0.00	1.93	1.93
04/01/2018	#00777089941	VARIOUS SHAH	INVESCO FLOATING RATE R	0.00	0.39	93.0	0.00	0.36	0.36
04/01/2018	#00777113422	VARIOUS SHAH	INVESCO FLOATING RATE R	0.00	6.82	93.0	0.00	6.34	6.34
04/01/2018	#00777113520	VARIOUS SHAH	INVESCO FLOATING RATE R	0.00	1.51	93.0	0.00	1.40	1.40
04/01/2018	#00777069535	VARIOUS SHAH	INVESCO GLOBAL CORE	0.00	1.73	93.0	0.00	1.61	1.61
04/01/2018	#00777089941	VARIOUS SHAH	INVESCO GLOBAL CORE	0.00	0.26	93.0	0.00	0.24	0.24
04/01/2018	#00777113422	VARIOUS SHAH	INVESCO GLOBAL CORE	0.00	5.36	93.0	0.00	4.98	4.98
04/01/2018	#00777113520	VARIOUS SHAH	INVESCO GLOBAL CORE	0.00	1.63	93.0	0.00	1.52	1.52
04/01/2018	#00777158813	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FD-CL A	0.00	0.27	93.0	0.00	0.25	0.25
04/01/2018	#05071945173	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FD-CL A	0.00	20.12	93.0	0.00	18.71	18.71
04/01/2018	#00777069535	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	1.85	93.0	0.00	1.72	1.72
04/01/2018	#00777089941	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	0.44	93.0	0.00	0.41	0.41
04/01/2018	#00777113413	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	11.66	93.0	0.00	10.84	10.84
04/01/2018	#00777113422	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	6.58	93.0	0.00	6.12	6.12
04/01/2018	#00777113520	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	1.70	93.0	0.00	1.58	1.58
04/01/2018	#00777131002	MALKASMK	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	55.29	93.0	0.00	51.42	51.42
04/01/2018	#00777131003	SHAH, BHARAT	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	30.85	93.0	0.00	28.69	28.69

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/01/2018	#00777147840	YONANSAMER	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	15.38	93.0	0.00	14.30	14.30
04/01/2018	#00777159886	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	1.08	93.0	0.00	1.00	1.00
04/01/2018	#00777159889	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	1.33	93.0	0.00	1.24	1.24
04/01/2018	#00777165488		INVESCO GLOBAL HEALTH CARE FUND CL	0.00	0.03	93.0	0.00	0.03	0.03
04/01/2018	#00777165490	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	1.57	93.0	0.00	1.46	1.46
04/01/2018	#00777165492	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	1.18	93.0	0.00	1.10	1.10
04/01/2018	#00777165562	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	2.01	93.0	0.00	1.87	1.87
04/01/2018	#00777165563	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	1.72	93.0	0.00	1.60	1.60
04/01/2018	#00777165565	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	1.58	93.0	0.00	1.47	1.47
04/01/2018	#00777165566	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	0.01	93.0	0.00	0.01	0.01
04/01/2018	#00777165488		INVESCO GLOBAL MARKET NEUTRAL FUND	0.00	0.02	93.0	0.00	0.02	0.02
04/01/2018	#00777165490	VARIOUS SHAH	INVESCO GLOBAL MARKET NEUTRAL FUND	0.00	1.46	93.0	0.00	1.36	1.36
04/01/2018	#00777165492	VARIOUS SHAH	INVESCO GLOBAL MARKET NEUTRAL FUND	0.00	1.10	93.0	0.00	1.02	1.02
04/01/2018	#00777165563	VARIOUS SHAH	INVESCO GLOBAL MARKET NEUTRAL FUND	0.00	1.61	93.0	0.00	1.50	1.50
04/01/2018	#00777165565	VARIOUS SHAH	INVESCO GLOBAL MARKET NEUTRAL FUND	0.00	1.47	93.0	0.00	1.37	1.37
04/01/2018	#05071945173	VARIOUS SHAH	INVESCO GROWTH ALLOCATION FD CL A	0.00	16.40	93.0	0.00	15.25	15.25
04/01/2018	#00777113416	VARIOUS SHAH	INVESCO GROWTH ALLOCATION FUND - CL	0.00	3.96	93.0	0.00	3.68	3.68
04/01/2018	#00777137143	VARIOUS SHAH	INVESCO GROWTH ALLOCATION FUND - CL	0.00	6.16	93.0	0.00	5.73	5.73
04/01/2018	#00777137145	VARIOUS SHAH	INVESCO GROWTH ALLOCATION FUND - CL	0.00	21.83	93.0	0.00	20.30	20.30
04/01/2018	#00777147840	YONANSAMER	INVESCO INCOME ALLOCATION	0.00	8.03	93.0	0.00	7.47	7.47
04/01/2018	#00777147840	YONANSAMER	INVESCO INTERNATIONAL	0.00	12.49	93.0	0.00	11.62	11.62
04/01/2018	#00777113413	VARIOUS SHAH	INVESCO MLP CLASS C	0.00	0.05	93.0	0.00	0.05	0.05
04/01/2018	#00777131002	MALKASMK	INVESCO MLP CLASS C	0.00	1.45	93.0	0.00	1.35	1.35
04/01/2018	#00777131003	SHAH, BHARAT	INVESCO MLP CLASS C	0.00	48.54	93.0	0.00	45.14	45.14
04/01/2018	#00777158813	VARIOUS SHAH	INVESCO MLP FUND A	0.00	3.50	93.0	0.00	3.26	3.26
04/01/2018	#05071945173	VARIOUS SHAH	INVESCO MLP FUND A	0.00	2.48	93.0	0.00	2.31	2.31
04/01/2018	#00777089941	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS B	0.00	0.18	93.0	0.00	0.17	0.17
04/01/2018	#00777089941	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	5.10	93.0	0.00	4.74	4.74
04/01/2018	#00777113413	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	0.86	93.0	0.00	0.80	0.80
04/01/2018	#00777131002	MALKASMK	INVESCO MONEY MARKET FUND - CLASS C	0.00	19.30	93.0	0.00	17.95	17.95
04/01/2018	#00777131004	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	0.19	93.0	0.00	0.18	0.18
04/01/2018	#00777131005	PIATTHER	INVESCO MONEY MARKET FUND - CLASS C	0.00	6.45	93.0	0.00	6.00	6.00
04/01/2018	#00777131007	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	5.41	93.0	0.00	5.03	5.03
04/01/2018	#00777131010	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	0.88	93.0	0.00	0.82	0.82
04/01/2018	#00777137139	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	0.32	93.0	0.00	0.30	0.30
04/01/2018	#00777141832	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	3.28	93.0	0.00	3.05	3.05

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/01/2018	#00777141833	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	6.32	93.0	0.00	5.88	5.88
04/01/2018	#00777153355	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	1.33	93.0	0.00	1.24	1.24
04/01/2018	#00777153356	MITCHCYNTHA	INVESCO MONEY MARKET FUND - CLASS C	0.00	1.54	93.0	0.00	1.43	1.43
04/01/2018	#00777159886	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	1.03	93.0	0.00	0.96	0.96
04/01/2018	#00777159889	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	1.26	93.0	0.00	1.17	1.17
04/01/2018	#01000132459	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	1.77	93.0	0.00	1.65	1.65
04/01/2018	#05071945173	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	30.56	93.0	0.00	28.42	28.42
04/01/2018	#00777113413	VARIOUS SHAH	INVESCO MULTI ASSET CLASS C	0.00	3.73	93.0	0.00	3.47	3.47
04/01/2018	#00777131002	MALKASMK	INVESCO MULTI ASSET CLASS C	0.00	23.61	93.0	0.00	21.96	21.96
04/01/2018	#00777131003	SHAH, BHARAT	INVESCO MULTI ASSET CLASS C	0.00	30.31	93.0	0.00	28.19	28.19
04/01/2018	#00777147840	YONANSAMER	INVESCO MULTI ASSET CLASS C	0.00	8.45	93.0	0.00	7.86	7.86
04/01/2018	#00777158813	VARIOUS SHAH	INVESCO MULTI ASSET INCOME FUND	0.00	4.28	93.0	0.00	3.98	3.98
04/01/2018	#05071945173	VARIOUS SHAH	INVESCO MULTI ASSET INCOME FUND	0.00	1.45	93.0	0.00	1.35	1.35
04/01/2018	#00777147840	YONANSAMER	INVESCO VAN KAMPEN COMSTOCK FUND CL	0.00	9.73	93.0	0.00	9.05	9.05
04/01/2018	#05002646338	VARIOUS SHAH	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	14.45	93.0	0.00	13.44	13.44
04/01/2018	#00777159886	VARIOUS SHAH	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	1.26	93.0	0.00	1.17	1.17
04/01/2018	#00777159889	VARIOUS SHAH	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	1.54	93.0	0.00	1.43	1.43
04/01/2018	#05002646338	VARIOUS SHAH	INVESCO VAN KAMPEN MID CAP GROWTH F	0.00	36.95	93.0	0.00	34.36	34.36
04/01/2018	#00777069535	VARIOUS SHAH	INVESCO WORLD BOND FUND	0.00	3.11	93.0	0.00	2.89	2.89
04/01/2018	#00777089941	VARIOUS SHAH	INVESCO WORLD BOND FUND	0.00	0.62	93.0	0.00	0.58	0.58
04/01/2018	#00777113422	VARIOUS SHAH	INVESCO WORLD BOND FUND	0.00	9.75	93.0	0.00	9.07	9.07
04/01/2018	#00777113520	VARIOUS SHAH	INVESCO WORLD BOND FUND	0.00	2.16	93.0	0.00	2.01	2.01
04/01/2018	#00777147840	YONANSAMER	INVESTCO ASIA PACIFIC GROWTH	0.00	14.00	93.0	0.00	13.02	13.02
04/01/2018	#05071945173	VARIOUS SHAH	IVK AMERICAN VALUE FUND - CLASS A	0.00	2.82	93.0	0.00	2.62	2.62
04/02/2018	#00181052904	BHATT, VARSHA	PUTNAM 746778406	0.00	83.97	93.0	0.00	78.09	78.09
04/06/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV FREEDOM 2020-CL C	0.00	0.07	93.0	0.00	0.07	0.07
04/06/2018	#03900189786	SHAH-SAINI,	FIDELITY ADV FREEDOM 2020-CL C	0.00	0.07	93.0	0.00	0.07	0.07
04/06/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV FREEDOM 2025 CL C	0.00	0.07	93.0	0.00	0.07	0.07
04/06/2018	#03900189786	SHAH-SAINI,	FIDELITY ADV FREEDOM 2025 CL C	0.00	0.07	93.0	0.00	0.07	0.07
04/06/2018	#01484642077	MENGWEWENDE	FIDELITY ADV GLOBAL CAP APP-CL C	0.00	0.41	93.0	0.00	0.38	0.38
04/06/2018	#01484642127		FIDELITY ADV GLOBAL CAP APP-CL C	0.00	1.03	93.0	0.00	0.96	0.96
04/06/2018	#01489645067	REDDY, PANNALA	FIDELITY ADV STRATEGIC INCOME-CL C	0.00	5.47	93.0	0.00	5.09	5.09
04/06/2018	#01484641962	FILOPDIANL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	0.00	1.10	93.0	0.00	1.02	1.02
04/06/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR FOCUS FUNDS HEALTH	0.00	3.12	93.0	0.00	2.90	2.90
04/06/2018	#01484642077	MENGWEWENDE	FIDELITY ADVISOR FOCUS FUNDS HEALTH	0.00	0.73	93.0	0.00	0.68	0.68
04/06/2018	#01484641962	FILOPDIANL	FIDELITY ADVISOR SER VII BIOTECHNOL	0.00	1.11	93.0	0.00	1.03	1.03

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/06/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VII BIOTECHNOL	0.00	3.14	93.0	0.00	2.92	2.92
04/06/2018	#01484642077	MENGWEWENDE	FIDELITY ADVISOR SER VII BIOTECHNOL	0.00	0.49	93.0	0.00	0.46	0.46
04/06/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VIII GLOBAL EQ	0.00	3.01	93.0	0.00	2.80	2.80
04/06/2018	#01484642077	MENGWEWENDE	FIDELITY ADVISOR SER VIII GLOBAL EQ	0.00	0.35	93.0	0.00	0.33	0.33
04/06/2018	#01484642077	MENGWEWENDE	FIDELITY MID CAP VALUE	0.00	0.74	93.0	0.00	0.69	0.69
04/06/2018	#01484642127		FIDELITY MID CAP VALUE	0.00	0.56	93.0	0.00	0.52	0.52
04/06/2018	#01484642077	MENGWEWENDE	FIDELITY SMALL CAP BLEND	0.00	0.58	93.0	0.00	0.54	0.54
04/06/2018	#01484642127		FIDELITY SMALL CAP BLEND	0.00	0.39	93.0	0.00	0.36	0.36
04/06/2018	#01484641962	FILOPDIANL	FIDELITY VALUE FUND	0.00	1.03	93.0	0.00	0.96	0.96
04/06/2018	#01484642051	HERSHLORR	FIDELITY VALUE FUND	0.00	3.00	93.0	0.00	2.79	2.79
04/06/2018	#01484642077	MENGWEWENDE	FIDELITY VALUE FUND	0.00	0.35	93.0	0.00	0.33	0.33
04/06/2018	#01484642127		FIDELITY VALUE FUND	0.00	1.11	93.0	0.00	1.03	1.03
04/06/2018	#01484641962	FILOPDIANL	FIDLEITY INTERMEDIATE	0.00	0.86	93.0	0.00	0.80	0.80
04/06/2018	#01484642051	HERSHLORR	FIDLEITY INTERMEDIATE	0.00	2.50	93.0	0.00	2.33	2.33
04/06/2018	#01484642127		FIDLEITY INTERMEDIATE	0.00	1.27	93.0	0.00	1.18	1.18
04/06/2018	#01489645067	REDDY, PANNALA	FIDLEITY INTERMEDIATE	0.00	5.26	93.0	0.00	4.89	4.89
04/06/2018	#03900189779	SAINI, VIPUL	FIDLEITY INTERMEDIATE	0.00	0.01	93.0	0.00	0.01	0.01
04/06/2018	#03900189786	SHAH-SAINI,	FIDLEITY INTERMEDIATE	0.00	0.01	93.0	0.00	0.01	0.01
04/10/2018	#	SHAH, BHARAT	DAIN TRAILER	0.00	24.77	93.0	0.00	23.04	23.04
04/10/2018	#	SHAH, BHARAT	DAIN TRAILER	0.00	9.07	93.0	0.00	8.44	8.44
04/10/2018	#	SHAH, BHARAT	DAIN TRAILER	0.00	2.71	93.0	0.00	2.52	2.52
04/10/2018	#	SHAH, BHARAT	DAIN TRAILER	0.00	25.37	93.0	0.00	23.59	23.59
04/10/2018	#	SHAH, BHARAT	DAIN TRAILER	0.00	7.00	93.0	0.00	6.51	6.51
04/10/2018	#	SHAH, BHARAT	DAIN TRAILER	0.00	7.26	93.0	0.00	6.75	6.75
04/10/2018	#	SHAH, BHARAT	DAIN TRAILER	0.00	3.93	93.0	0.00	3.65	3.65
04/10/2018	#	SHAH, BHARAT	DAIN TRAILER	0.00	8.89	93.0	0.00	8.27	8.27
04/10/2018	#	SHAH, BHARAT	DAIN TRAILER	0.00	6.55	93.0	0.00	6.09	6.09
04/10/2018	#	SHAH, BHARAT	DAIN TRAILER	0.00	4.02	93.0	0.00	3.74	3.74
04/10/2018	#	SHAH, BHARAT	DAIN TRAILER	0.00	6.36	93.0	0.00	5.91	5.91
04/10/2018	#	SHAH, BHARAT	DAIN TRAILER	0.00	4.27	93.0	0.00	3.97	3.97
04/10/2018	#	SHAH, BHARAT	DAIN TRAILER	0.00	12.83	93.0	0.00	11.93	11.93
04/10/2018	#	SHAH, BHARAT	DAIN TRAILER	0.00	4.02	93.0	0.00	3.74	3.74
04/10/2018	#	SHAH, BHARAT	DAIN TRAILER	0.00	22.12	93.0	0.00	20.57	20.57
04/10/2018	#	PEER, MEETA	DAIN TRAILER	0.00	7.06	93.0	0.00	6.57	6.57
04/10/2018	#	PEER, MEETA	DAIN TRAILER	0.00	4.60	93.0	0.00	4.28	4.28
04/10/2018	#	PEER, MEETA	DAIN TRAILER	0.00	5.64	93.0	0.00	5.25	5.25

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	4.04	93.0	0.00	3.76	0.00	3.76
04/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	1.01	93.0	0.00	0.94	0.00	0.94
04/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	1.08	93.0	0.00	1.00	0.00	1.00
04/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	0.35	93.0	0.00	0.33	0.00	0.33
04/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	0.13	93.0	0.00	0.12	0.00	0.12
04/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	0.56	93.0	0.00	0.52	0.00	0.52
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	10.57	93.0	0.00	9.83	0.00	9.83
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	10.37	93.0	0.00	9.64	0.00	9.64
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	9.89	93.0	0.00	9.20	0.00	9.20
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	10.71	93.0	0.00	9.96	0.00	9.96
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	10.04	93.0	0.00	9.34	0.00	9.34
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	10.62	93.0	0.00	9.88	0.00	9.88
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	25.81	93.0	0.00	24.00	0.00	24.00
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	22.84	93.0	0.00	21.24	0.00	21.24
04/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	10.57	93.0	0.00	9.83	0.00	9.83
04/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	10.37	93.0	0.00	9.64	0.00	9.64
04/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	9.89	93.0	0.00	9.20	0.00	9.20
04/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	10.71	93.0	0.00	9.96	0.00	9.96
04/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	10.62	93.0	0.00	9.88	0.00	9.88
04/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	14.73	93.0	0.00	13.70	0.00	13.70
04/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	15.49	93.0	0.00	14.41	0.00	14.41
04/10/2018	# WYNN, MARY	DAIN TRAILER	0.00	0.22	93.0	0.00	0.20	0.00	0.20
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	4.22	93.0	0.00	3.92	0.00	3.92
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	33.82	93.0	0.00	31.45	0.00	31.45
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	0.03	93.0	0.00	0.03	0.00	0.03
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	3.85	93.0	0.00	3.58	0.00	3.58
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	13.32	93.0	0.00	12.39	0.00	12.39
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	1.92	93.0	0.00	1.79	0.00	1.79
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	0.82	93.0	0.00	0.76	0.00	0.76
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	1.80	93.0	0.00	1.67	0.00	1.67
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	8.17	93.0	0.00	7.60	0.00	7.60
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	20.21	93.0	0.00	18.80	0.00	18.80
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	2.03	93.0	0.00	1.89	0.00	1.89
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	3.17	93.0	0.00	2.95	0.00	2.95
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	2.60	93.0	0.00	2.42	0.00	2.42
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	10.70	93.0	0.00	9.95	0.00	9.95

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	10.01	93.0	0.00	9.31	0.00	9.31
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	3.69	93.0	0.00	3.43	0.00	3.43
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	0.52	93.0	0.00	0.48	0.00	0.48
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	3.63	93.0	0.00	3.38	0.00	3.38
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	9.34	93.0	0.00	8.69	0.00	8.69
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	15.00	93.0	0.00	13.95	0.00	13.95
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	6.44	93.0	0.00	5.99	0.00	5.99
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	20.44	93.0	0.00	19.01	0.00	19.01
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	3.09	93.0	0.00	2.87	0.00	2.87
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	2.30	93.0	0.00	2.14	0.00	2.14
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	2.17	93.0	0.00	2.02	0.00	2.02
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	7.78	93.0	0.00	7.24	0.00	7.24
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	7.07	93.0	0.00	6.58	0.00	6.58
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	40.83	93.0	0.00	37.97	0.00	37.97
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	2.87	93.0	0.00	2.67	0.00	2.67
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	4.86	93.0	0.00	4.52	0.00	4.52
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	0.66	93.0	0.00	0.61	0.00	0.61
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	3.24	93.0	0.00	3.01	0.00	3.01
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	4.69	93.0	0.00	4.36	0.00	4.36
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	29.26	93.0	0.00	27.21	0.00	27.21
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	10.40	93.0	0.00	9.67	0.00	9.67
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	3.85	93.0	0.00	3.58	0.00	3.58
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	1.41	93.0	0.00	1.31	0.00	1.31
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	1.30	93.0	0.00	1.21	0.00	1.21
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	4.06	93.0	0.00	3.78	0.00	3.78
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	8.44	93.0	0.00	7.85	0.00	7.85
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	16.56	93.0	0.00	15.40	0.00	15.40
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	0.27	93.0	0.00	0.25	0.00	0.25
04/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	0.47	93.0	0.00	0.44	0.00	0.44
04/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	34.22	93.0	0.00	31.82	0.00	31.82
04/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	65.17	93.0	0.00	60.61	0.00	60.61
04/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	15.40	93.0	0.00	14.32	0.00	14.32
04/10/2018 #	VENKATESWARA CHODAPANEEDI	DAIN TRAILER	0.00	50.79	93.0	0.00	47.23	0.00	47.23
04/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	14.76	93.0	0.00	13.73	0.00	13.73
04/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	6.93	93.0	0.00	6.44	0.00	6.44
04/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	33.19	93.0	0.00	30.87	0.00	30.87

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/10/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	3.63	93.0	0.00	3.38	0.00	3.38
04/10/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	6.91	93.0	0.00	6.43	0.00	6.43
04/10/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	14.58	93.0	0.00	13.56	0.00	13.56
04/10/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	3.56	93.0	0.00	3.31	0.00	3.31
04/10/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	2.72	93.0	0.00	2.53	0.00	2.53
04/10/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	2.21	93.0	0.00	2.06	0.00	2.06
04/10/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	1.16	93.0	0.00	1.08	0.00	1.08
04/10/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	17.80	93.0	0.00	16.55	0.00	16.55
04/10/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	45.42	93.0	0.00	42.24	0.00	42.24
04/10/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	9.08	93.0	0.00	8.44	0.00	8.44
04/10/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	1.97	93.0	0.00	1.83	0.00	1.83
04/10/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	1.46	93.0	0.00	1.36	0.00	1.36
04/10/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	4.60	93.0	0.00	4.28	0.00	4.28
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	16.32	93.0	0.00	15.18	0.00	15.18
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	0.89	93.0	0.00	0.83	0.00	0.83
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	2.27	93.0	0.00	2.11	0.00	2.11
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	1.46	93.0	0.00	1.36	0.00	1.36
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	5.51	93.0	0.00	5.12	0.00	5.12
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	17.99	93.0	0.00	16.73	0.00	16.73
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	11.68	93.0	0.00	10.86	0.00	10.86
04/10/2018	# DESAI, KIRIT	DAIN TRAILER	0.00	38.22	93.0	0.00	35.54	0.00	35.54
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	49.52	93.0	0.00	46.05	0.00	46.05
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	16.05	93.0	0.00	14.93	0.00	14.93
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	14.86	93.0	0.00	13.82	0.00	13.82
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	7.27	93.0	0.00	6.76	0.00	6.76
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	8.14	93.0	0.00	7.57	0.00	7.57
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	9.04	93.0	0.00	8.41	0.00	8.41
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	26.74	93.0	0.00	24.87	0.00	24.87
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	14.39	93.0	0.00	13.38	0.00	13.38
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	25.64	93.0	0.00	23.85	0.00	23.85
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	13.51	93.0	0.00	12.56	0.00	12.56
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	26.43	93.0	0.00	24.58	0.00	24.58
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	292.93	93.0	0.00	272.42	0.00	272.42
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	70.88	93.0	0.00	65.92	0.00	65.92
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	9.46	93.0	0.00	8.80	0.00	8.80
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	15.88	93.0	0.00	14.77	0.00	14.77

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	7.23	93.0	0.00	6.72	0.00	6.72
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	6.78	93.0	0.00	6.31	0.00	6.31
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	20.58	93.0	0.00	19.14	0.00	19.14
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	32.88	93.0	0.00	30.58	0.00	30.58
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	32.78	93.0	0.00	30.49	0.00	30.49
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	28.60	93.0	0.00	26.60	0.00	26.60
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	7.95	93.0	0.00	7.39	0.00	7.39
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	0.59	93.0	0.00	0.55	0.00	0.55
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	0.90	93.0	0.00	0.84	0.00	0.84
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	27.20	93.0	0.00	25.30	0.00	25.30
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	32.24	93.0	0.00	29.98	0.00	29.98
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	58.99	93.0	0.00	54.86	0.00	54.86
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	1.39	93.0	0.00	1.29	0.00	1.29
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	49.00	93.0	0.00	45.57	0.00	45.57
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	20.09	93.0	0.00	18.68	0.00	18.68
04/10/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	10.30	93.0	0.00	9.58	0.00	9.58
04/10/2018	# ROBERT PAPA TTEE	DAIN TRAILER	0.00	3.91	93.0	0.00	3.64	0.00	3.64
04/10/2018	# ROBERT PAPA TTEE	DAIN TRAILER	0.00	3.04	93.0	0.00	2.83	0.00	2.83
04/10/2018	# ROBERT PAPA TTEE	DAIN TRAILER	0.00	1.76	93.0	0.00	1.64	0.00	1.64
04/10/2018	# ROBERT PAPA TTEE	DAIN TRAILER	0.00	2.37	93.0	0.00	2.20	0.00	2.20
04/10/2018	# PATEL, GRISHMA	DAIN TRAILER	0.00	0.52	93.0	0.00	0.48	0.00	0.48
04/10/2018	# PATEL, GRISHMA	DAIN TRAILER	0.00	0.94	93.0	0.00	0.87	0.00	0.87
04/10/2018	# PATEL, GRISHMA	DAIN TRAILER	0.00	5.23	93.0	0.00	4.86	0.00	4.86
04/10/2018	# PATEL, GRISHMA	DAIN TRAILER	0.00	2.75	93.0	0.00	2.56	0.00	2.56
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	9.25	93.0	0.00	8.60	0.00	8.60
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	3.72	93.0	0.00	3.46	0.00	3.46
04/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	4.49	93.0	0.00	4.18	0.00	4.18
04/10/2018	# ELANCHENNY, VYTHILINGAM	DAIN TRAILER	0.00	7.79	93.0	0.00	7.24	0.00	7.24
04/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	6.85	93.0	0.00	6.37	0.00	6.37
04/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	3.98	93.0	0.00	3.70	0.00	3.70
04/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	12.70	93.0	0.00	11.81	0.00	11.81
04/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	56.12	93.0	0.00	52.19	0.00	52.19
04/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	3.13	93.0	0.00	2.91	0.00	2.91
04/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	17.63	93.0	0.00	16.40	0.00	16.40
04/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	32.76	93.0	0.00	30.47	0.00	30.47
04/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	47.22	93.0	0.00	43.91	0.00	43.91

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	52.30	93.0	0.00	48.64	0.00	48.64
04/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	9.41	93.0	0.00	8.75	0.00	8.75
04/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	8.39	93.0	0.00	7.80	0.00	7.80
04/10/2018	# GOSRANI, VENA	DAIN TRAILER	0.00	2.43	93.0	0.00	2.26	0.00	2.26
04/10/2018	# SHARMA, STEVEN	DAIN TRAILER	0.00	38.71	93.0	0.00	36.00	0.00	36.00
04/10/2018	# SHARMA, STEVEN	DAIN TRAILER	0.00	1.88	93.0	0.00	1.75	0.00	1.75
04/10/2018	# SHARMA, STEVEN	DAIN TRAILER	0.00	1.31	93.0	0.00	1.22	0.00	1.22
04/10/2018	# SHARMA, STEVEN	DAIN TRAILER	0.00	1.52	93.0	0.00	1.41	0.00	1.41
04/10/2018	# SHARMA, STEVEN	DAIN TRAILER	0.00	0.61	93.0	0.00	0.57	0.00	0.57
04/10/2018	# PATEL, URMILA	DAIN TRAILER	0.00	54.07	93.0	0.00	50.29	0.00	50.29
04/10/2018	# BHARAT C SHAH TTEE	DAIN TRAILER	0.00	4.00	93.0	0.00	3.72	0.00	3.72
04/10/2018	# BHARAT C SHAH TTEE	DAIN TRAILER	0.00	37.32	93.0	0.00	34.71	0.00	34.71
04/10/2018	# PATEL, PRAVIN	DAIN TRAILER	0.00	39.87	93.0	0.00	37.08	0.00	37.08
04/10/2018	# PATEL, PRAVIN	DAIN TRAILER	0.00	47.34	93.0	0.00	44.03	0.00	44.03
04/10/2018	# PATEL, PRAVIN	DAIN TRAILER	0.00	90.79	93.0	0.00	84.43	0.00	84.43
04/10/2018	# PATEL, PRAVIN	DAIN TRAILER	0.00	85.14	93.0	0.00	79.18	0.00	79.18
04/10/2018	# PATEL, PRAVIN	DAIN TRAILER	0.00	68.96	93.0	0.00	64.13	0.00	64.13
04/10/2018	# BHATT, VARSHA	DAIN TRAILER	0.00	3.43	93.0	0.00	3.19	0.00	3.19
04/10/2018	# BHATT, VARSHA	DAIN TRAILER	0.00	3.28	93.0	0.00	3.05	0.00	3.05
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	8.18	93.0	0.00	7.61	0.00	7.61
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	22.92	93.0	0.00	21.32	0.00	21.32
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	23.20	93.0	0.00	21.58	0.00	21.58
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	13.58	93.0	0.00	12.63	0.00	12.63
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	1.13	93.0	0.00	1.05	0.00	1.05
04/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	20.74	93.0	0.00	19.29	0.00	19.29
04/10/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	0.01	93.0	0.00	0.01	0.00	0.01
04/10/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	36.22	93.0	0.00	33.68	0.00	33.68
04/13/2018	#00777302175 VARIOUS SHAH	JOHN HANCOCK FDS III STRATEGIC GROW	0.00	3.08	93.0	0.00	2.86	0.00	2.86
04/13/2018	#00777302124 VARIOUS SHAH	JOHN HANCOCK HIGH YIELD FUND CL A	0.00	2.09	93.0	0.00	1.94	0.00	1.94
04/13/2018	#00777185294 VARIOUS SHAH	JOHN HANCOCK REGIONAL BANK FUND-CL	0.00	18.45	93.0	0.00	17.16	0.00	17.16
04/19/2018	# VORA, VASANT	DAIN TRAILER	0.00	17.29	93.0	0.00	16.08	0.00	16.08
04/24/2018	# PEER, MEETA	DAIN TRAILER	0.00	7.43	93.0	0.00	6.91	0.00	6.91
04/24/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	2.74	93.0	0.00	2.55	0.00	2.55
04/24/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	5.88	93.0	0.00	5.47	0.00	5.47
04/24/2018	# GOSRANI, VENA	DAIN TRAILER	0.00	1.40	93.0	0.00	1.30	0.00	1.30

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$4,084.58		\$0.00	\$3,798.74	\$0.00	\$3,798.74
		*** BROKER TRANSACTIONS TOTAL ***	\$1,605,725.46	\$4,910.91		\$0.00	\$4,564.76	\$59.85	\$4,504.91

ADJUSTMENTS

05/20/2018	ADMIN FEE: ADMIN FEE	-390.00
05/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
	*** ADJUSTMENTS TOTAL ***	\$-569.00

BROKER COMMISSION TOTALS

Broker Transactions	\$4,504.91
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-569.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$3,935.91
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