

# STATEMENT

## February 20, 2018

JOHN PINEMAN  
9348 Newport Lane  
SUITE 620  
Highlands Ranch, CO 80130

BROKER #: 189  
BRANCH: LA BRANCH

### COMMISSION STATEMENT for JOHN PINEMAN

| DATE  | CLIENT             | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | RATE | POSTAGE       | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|---|--------------------|-------------------------------------|----------------------|---------------------|------|---------------|-------------------|--------------------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                    |                                     |                      |                     |      |               |                   |                    |                      |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b>                  |                    |                                     |                      |                     |      |               |                   |                    |                      |
| 01/11/2018 #  | BAUERSFELD, KEVIN  | APPIAN CORPORATION                  | 5,173.50             | 144.34              | 95.0 | 0.00          | 137.12            | 19.95              | 117.17               |
| 01/16/2018 #  | SWAHN, CHRISTOPHER | ABERDEEN ASIA PACIFIC INCOME FUND I | 15,000.00            | 0.00                | 95.0 | 0.00          | 0.00              | 0.00               | 0.00                 |
| 01/16/2018 #  | SWAHN, GERI        | ABERDEEN ASIA PACIFIC INCOME FUND I | 4,997.00             | 0.00                | 95.0 | 0.00          | 0.00              | 0.00               | 0.00                 |
| 01/16/2018 #  | SWAHN, CHRISTOPHER | AMAZON.COM INC                      | 65,958.00            | 0.00                | 95.0 | 0.00          | 0.00              | 0.00               | 0.00                 |
| 01/16/2018 #  | SWAHN, GERI        | AMAZON.COM INC                      | 26,395.40            | 0.00                | 95.0 | 0.00          | 0.00              | 0.00               | 0.00                 |
| 01/16/2018 #  | SWAHN, CHRISTOPHER | AMAZON.COM INC                      | 31,645.92            | 0.00                | 95.0 | 0.00          | 0.00              | 0.00               | 0.00                 |
| 01/16/2018 #  | SWAHN, CHRISTOPHER | DOUBLELINE INCOME SOLUTIONS FD      | 20,828.40            | 0.00                | 95.0 | 0.00          | 0.00              | 0.00               | 0.00                 |
| 01/16/2018 #  | SWAHN, GERI        | DOUBLELINE INCOME SOLUTIONS FD      | 15,620.10            | 0.00                | 95.0 | 0.00          | 0.00              | 0.00               | 0.00                 |
| 01/16/2018 #  | SWAHN, CHRISTOPHER | PIMCO DYNAMIC CREDIT AND            | 15,641.50            | 0.00                | 95.0 | 0.00          | 0.00              | 0.00               | 0.00                 |
| 01/16/2018 #  | SWAHN, CHRISTOPHER | RAILAMERICA INC                     | 16,644.88            | 0.00                | 95.0 | 0.00          | 0.00              | 0.00               | 0.00                 |
| 01/24/2018 #  | SWAHN, CHRISTOPHER | NETFLIX COM INC                     | 25,088.00            | 0.00                | 95.0 | 0.00          | 0.00              | 0.00               | 0.00                 |
| * STOCKS SUBTOTAL *                                     |                    |                                     | <b>\$242,992.70</b>  | <b>\$144.34</b>     |      | <b>\$0.00</b> | <b>\$137.12</b>   | <b>\$19.95</b>     | <b>\$117.17</b>      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>      |                    |                                     |                      |                     |      |               |                   |                    |                      |
| 12/31/2017 #E0631193                                    | DATZ, HELEN        | PRUDETIAL TRAILS                    | 0.00                 | 5.11                | 95.0 | 0.00          | 4.85              | 0.00               | 4.85                 |
| 12/31/2017 #E0631193                                    | DATZ, HELEN        | PRUDETIAL TRAILS                    | 0.00                 | 20.45               | 95.0 | 0.00          | 19.43             | 0.00               | 19.43                |
| * VARIABLE ANNUITIES SUBTOTAL *                         |                    |                                     | <b>\$0.00</b>        | <b>\$25.56</b>      |      | <b>\$0.00</b> | <b>\$24.28</b>    | <b>\$0.00</b>      | <b>\$24.28</b>       |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                    |                                     |                      |                     |      |               |                   |                    |                      |
| 01/10/2018 #  | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 2.89                | 95.0 | 0.00          | 2.75              | 0.00               | 2.75                 |
| 01/10/2018 #  | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 0.29                | 95.0 | 0.00          | 0.28              | 0.00               | 0.28                 |
| 01/10/2018 #  | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 0.75                | 95.0 | 0.00          | 0.71              | 0.00               | 0.71                 |
| 01/10/2018 #  | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 1.22                | 95.0 | 0.00          | 1.16              | 0.00               | 1.16                 |
| 01/10/2018 #  | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 0.52                | 95.0 | 0.00          | 0.49              | 0.00               | 0.49                 |
| 01/10/2018 #  | PRILL, DANNA       | DAIN TRAILER                        | 0.00                 | 1.10                | 95.0 | 0.00          | 1.05              | 0.00               | 1.05                 |
| 01/10/2018 #  | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 1.50                | 95.0 | 0.00          | 1.43              | 0.00               | 1.43                 |
| 01/10/2018 #  | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 0.33                | 95.0 | 0.00          | 0.31              | 0.00               | 0.31                 |
| 01/10/2018 #  | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 1.56                | 95.0 | 0.00          | 1.48              | 0.00               | 1.48                 |
| 01/10/2018 #  | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 0.85                | 95.0 | 0.00          | 0.81              | 0.00               | 0.81                 |

COMMISSION STATEMENT for JOHN PINEMAN

| DATE   | CLIENT             | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | RATE | POSTAGE | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|--|--------------------|-------------------------------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u>                       |                    |                                     |                      |                     |      |         |                   |                    |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> |                    |                                     |                      |                     |      |         |                   |                    |                      |
| 01/10/2018 #                                     | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 0.63                | 95.0 | 0.00    | 0.60              | 0.00               | 0.60                 |
| 01/10/2018 #                                     | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 0.89                | 95.0 | 0.00    | 0.85              | 0.00               | 0.85                 |
| 01/10/2018 #                                     | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 2.60                | 95.0 | 0.00    | 2.47              | 0.00               | 2.47                 |
| 01/10/2018 #                                     | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 0.50                | 95.0 | 0.00    | 0.48              | 0.00               | 0.48                 |
| 01/10/2018 #                                     | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 1.19                | 95.0 | 0.00    | 1.13              | 0.00               | 1.13                 |
| 01/10/2018 #                                     | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 0.53                | 95.0 | 0.00    | 0.50              | 0.00               | 0.50                 |
| 01/10/2018 #                                     | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 0.28                | 95.0 | 0.00    | 0.27              | 0.00               | 0.27                 |
| 01/10/2018 #                                     | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 0.63                | 95.0 | 0.00    | 0.60              | 0.00               | 0.60                 |
| 01/10/2018 #                                     | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 1.53                | 95.0 | 0.00    | 1.45              | 0.00               | 1.45                 |
| 01/10/2018 #                                     | PRILL, JOSEPH      | DAIN TRAILER                        | 0.00                 | 1.49                | 95.0 | 0.00    | 1.42              | 0.00               | 1.42                 |
| 01/10/2018 #                                     | MCCLOY, M JENNIFER | DAIN TRAILER                        | 0.00                 | 4.00                | 95.0 | 0.00    | 3.80              | 0.00               | 3.80                 |
| 01/10/2018 #                                     | ROSA, ANN MARIE    | DAIN TRAILER                        | 0.00                 | 4.74                | 95.0 | 0.00    | 4.50              | 0.00               | 4.50                 |
| 01/10/2018 #                                     | ROSA, ANN MARIE    | DAIN TRAILER                        | 0.00                 | 4.00                | 95.0 | 0.00    | 3.80              | 0.00               | 3.80                 |
| 01/10/2018 #                                     | JOHNSTON, JOHN     | DAIN TRAILER                        | 0.00                 | 0.05                | 95.0 | 0.00    | 0.05              | 0.00               | 0.05                 |
| 01/10/2018 #                                     | JOHNSTON, JOHN     | DAIN TRAILER                        | 0.00                 | 2.63                | 95.0 | 0.00    | 2.50              | 0.00               | 2.50                 |
| 01/10/2018 #                                     | TAYLOR, MELISSA    | DAIN TRAILER                        | 0.00                 | 2.10                | 95.0 | 0.00    | 2.00              | 0.00               | 2.00                 |
| 01/10/2018 #                                     | TAYLOR, MELISSA    | DAIN TRAILER                        | 0.00                 | 25.28               | 95.0 | 0.00    | 24.02             | 0.00               | 24.02                |
| 01/10/2018 #                                     | MCCLOY, M JENNIFER | DAIN TRAILER                        | 0.00                 | 4.74                | 95.0 | 0.00    | 4.50              | 0.00               | 4.50                 |
| 01/18/2018 #                                     | TADICH, MICHAEL    | DAIN TRAILER                        | 40,000.00            | 0.00                | 95.0 | 0.00    | 0.00              | 0.00               | 0.00                 |
| 01/31/2018 #                                     | 000000000586812    | FRANKLIN TEMPLETON GROWTH ALLOCATIO | 0.00                 | 6.17                | 95.0 | 0.00    | 5.86              | 0.00               | 5.86                 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *             |                    |                                     | \$40,000.00          | \$74.99             |      | \$0.00  | \$71.27           | \$0.00             | \$71.27              |
| *** BROKER TRANSACTIONS TOTAL ***                |                    |                                     | \$282,992.70         | \$244.89            |      | \$0.00  | \$232.67          | \$19.95            | \$212.72             |

OVERRIDE TRANSACTIONS

|                                     |          |         |
|-------------------------------------|----------|---------|
| GORMAN, MICHAEL                     | 811.16   | 16.24   |
| *** OVERRIDE TRANSACTIONS TOTAL *** | \$811.16 | \$16.24 |

COMMISSION STATEMENT for JOHN PINEMAN

| DATE | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | RATE | POSTAGE | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|------|--------|------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
|------|--------|------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|

ADJUSTMENTS

|                           |  |                                  |  |  |  |  |  |  |                  |
|---------------------------|--|----------------------------------|--|--|--|--|--|--|------------------|
| 02/20/2018                |  | ADMIN FEE: ADMIN FEE             |  |  |  |  |  |  | -70.00           |
| 02/20/2018                |  | E & O INSURANCE: E & O INSURANCE |  |  |  |  |  |  | -49.50           |
| *** ADJUSTMENTS TOTAL *** |  |                                  |  |  |  |  |  |  | <u>\$-119.50</u> |

BROKER COMMISSION TOTALS

|                       |           |
|-----------------------|-----------|
| Broker Transactions   | \$212.72  |
| Split Transactions    | \$0.00    |
| Override Transactions | \$16.24   |
| Adjustments           | \$-119.50 |
| Payroll Draw          | \$0.00    |
| Base Salary           | \$0.00    |
| Prior Period Balance  | \$0.00    |
| FINRA Assessment      | \$0.00    |
| SIPC Assessment       | \$0.00    |

|              |          |
|--------------|----------|
| Check Amount | \$109.46 |
|--------------|----------|