03/15/2018

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LIBERTY PARTNERS

STATEMENT March 20, 2018

RICHARD KLEIN

24 Aster Court

Commack, NY 11725-

BROKER #: 292

BRANCH: LA BRANCH

COMMISSION STATEMENT for RICHARD KLEIN

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | POSTAGE | NET COMMISSION RATE | BROKER COMMISSION |
|----------------|-------------------|----------------------------------|--------|----------------------|---------------------|--------------------|---------|------------------------|----------------------|
| | | | | | | | | | |
| | | BROKER | TRANS | ACTIONS | | | | | |
| PRODUCT CAT | EGORY: STOCKS | | | | | | | | |
| 01/30/2018 # 3 | LINNEHAN, RICHARD | ***EMERALD HEALTH THERAPEUTICS | В | 2,924.00 | 90.00 | 19.95 | 0.00 | 70.05 85.0 | 59.54 |
| 01/30/2018 # 1 | BRACE, STEPHEN | ***EMERALD HEALTH THERAPEUTICS | В | 5,800.00 | 148.00 | 19.95 | 0.00 | 128.05 85.0 | 108.84 |
| 02/01/2018 # 3 | LINNEHAN, RICHARD | CANNABIS SCIENCE INC | В | 723.00 | 50.00 | 19.95 | 0.00 | 30.05 85.0 | 25.54 |
| 02/05/2018 # 1 | KLEIN, DANIELLE | SNAP INC CLASS A COMMON STOCK | S | 1,384.00 | 20.00 | 19.95 | 0.00 | 0.05 85.0 | 0.04 |
| 02/16/2018 # 1 | KLEIN, DANIELLE | NATIONAL CINEMEDIA INC | S | 3,575.00 | 6.67 | 19.95 | 0.00 | -13.28 85.0 | -11.29 |
| 02/20/2018 # 1 | KLEIN, DANIELLE | NATIONAL CINEMEDIA INC | S | 3,560.00 | 20.00 | 19.95 | 0.00 | 0.05 85.0 | 0.04 |
| 02/21/2018 # | JOHNSON, DAVID | PROSPECT CAPITAL CORPORATION | S | 6,753.00 | 238.61 | 19.95 | 0.00 | 218.66 85.0 | 185.86 |
| 02/21/2018 # | JOHNSON, JULIE | WESTERN ASSET MORTGAGE CAPITAL C | CORP S | 5,401.37 | 182.91 | 19.95 | 0.00 | 162.96 85.0 | 138.52 |
| 02/21/2018 # | JOHNSON, EMILY | WESTERN ASSET MORTGAGE CAPITAL C | CORP S | 2,517.05 | 108.38 | 19.95 | 0.00 | 88.43 85.0 | 75.17 |
| 02/21/2018 # | JOHNSON, JULIE | WESTERN ASSET MORTGAGE CAPITAL C | CORP S | 9,311.14 | 275.78 | 19.95 | 0.00 | 255.83 85.0 | 217.46 |
| 02/21/2018 # | JOHNSON, DAVID | WESTERN ASSET MORTGAGE CAPITAL (| CORP S | 5,581.62 | 182.83 | 19.95 | 0.00 | 162.88 85.0 | 138.45 |
| 02/21/2018 # | JOHNSON, DAVID | WESTERN ASSET MORTGAGE CAPITAL (| CORP S | 930.55 | 50.00 | 19.95 | 0.00 | 30.05 85.0 | 25.54 |
| 02/26/2018 # 3 | LINNEHAN, RICHARD | NATIONAL CINEMEDIA INC | S | 11,209.50 | 335.66 | 19.95 | 0.00 | 315.71 85.0 | 268.35 |
| 02/26/2018 # 1 | KLEIN, DANIELLE | NATIONAL CINEMEDIA INC | S | 3,743.00 | 20.00 | 19.95 | 0.00 | 0.05 85.0 | 0.04 |
| | | * STOCKS SUBTOT | 'AL * | \$63,413.23 | \$1,728.84 | \$279.30 | \$0.00 | \$1,449.54 | \$1,232.10 |
| | | *** BROKER TRANSACTIONS TOTAL | . *** | \$63,413.23 | \$1,728.84 | \$279.30 | \$0.00 | \$1,449.54 | \$1,232.10 |

ADJUSTMENTS

| 03/20/2018 | ADMIN FEE: ADMIN FEE | -289.00 |
|------------|----------------------------------|---------|
| 03/20/2018 | DEMNL:MANUAL PROCESS FEE (LPFS): | -25.00 |
| | MANUIAL DROCESS FFF | |

*** ADJUSTMENTS TOTAL *** \$-314.00

BROKER COMMISSION TOTALS \$1,232.10 Broker Transactions Split Transactions \$0.00 \$0.00 Override Transactions \$-314.00 Adjustments Payroll Draw \$0.00 Base Salary \$0.00 \$0.00 Prior Period Balance FINRA Assessment \$0.00

SIPC Assessment

Check Amount \$918.10

\$0.00