

# STATEMENT

January 20, 2018

ERIK EXISTING DODDS

BROKER #: 055

BRANCH: LA BRANCH

, CA

## COMMISSION STATEMENT for ERIK EXISTING DODDS

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

12/01/2017 #00074284781 GAY, LEO	BALANCED PORTFOLIO-A	B	0.00	0.86	0.00	0.00	0.86	89.0	0.77
12/11/2017 # CHU, WILLIAM	DAIN TRAILER	B	0.00	19.35	0.00	0.00	19.35	89.0	17.22
12/11/2017 # MILLER, PEGGY	DAIN TRAILER	B	0.00	0.78	0.00	0.00	0.78	89.0	0.69
12/11/2017 # MILLER, PEGGY	DAIN TRAILER	B	0.00	0.82	0.00	0.00	0.82	89.0	0.73
12/11/2017 # MILLER, DANIEL	DAIN TRAILER	B	0.00	5.91	0.00	0.00	5.91	89.0	5.26
12/11/2017 # MILLER, DANIEL	DAIN TRAILER	B	0.00	7.98	0.00	0.00	7.98	89.0	7.10
12/11/2017 # MILLER, DANIEL	DAIN TRAILER	B	0.00	9.94	0.00	0.00	9.94	89.0	8.85
12/11/2017 # MILLER, DANIEL	DAIN TRAILER	B	0.00	8.85	0.00	0.00	8.85	89.0	7.88
12/11/2017 # MILLER, DANIEL	DAIN TRAILER	B	0.00	5.75	0.00	0.00	5.75	89.0	5.12
12/11/2017 # MILLER, DANIEL	DAIN TRAILER	B	0.00	9.29	0.00	0.00	9.29	89.0	8.27
12/11/2017 # HOKAMA, WAYSON	DAIN TRAILER	B	0.00	0.23	0.00	0.00	0.23	89.0	0.20
12/11/2017 # FARLER, JUDITH	DAIN TRAILER	B	0.00	2.83	0.00	0.00	2.83	89.0	2.52
12/21/2017 # MILLER, DANIEL	DAIN TRAILER	S	6,948.53	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MILLER, DANIEL	DAIN TRAILER	S	30,258.97	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MILLER, PEGGY	DAIN TRAILER	S	8,442.83	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # GAY, LEO	DAIN TRAILER	B	706.00	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # GAY, LEO	DAIN TRAILER	B	2,131.00	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # GAY, LEO	DAIN TRAILER	B	859.00	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MILLER, PEGGY	DAIN TRAILER	S	8,651.39	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MILLER, DANIEL	DAIN TRAILER	S	84,465.95	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MILLER, DANIEL	DAIN TRAILER	S	62,529.08	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MILLER, DANIEL	DAIN TRAILER	S	106,944.19	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MILLER, DANIEL	DAIN TRAILER	S	94,259.43	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MILLER, DANIEL	DAIN TRAILER	S	24,738.43	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MILLER, DANIEL	DAIN TRAILER	S	9,092.01	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MILLER, DANIEL	DAIN TRAILER	S	62,268.04	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MILLER, DANIEL	DAIN TRAILER	S	91,680.38	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # GAY, LEO	DAIN TRAILER	B	1,412.00	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # GAY, LEO	DAIN TRAILER	B	1,987.00	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # GAY, LEO	DAIN TRAILER	B	706.00	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # GAY, LEO	DAIN TRAILER	B	282.00	0.00	0.00	0.00	0.00	89.0	0.00

COMMISSION STATEMENT for ERIK EXISTING DODDS

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

BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/21/2017 # GAY, LEO	DAIN TRAILER	B	423.00	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MORRELL, BRIAN	DAIN TRAILER	S	7,444.09	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MORRELL, BRIAN	DAIN TRAILER	S	1,249.73	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MORRELL, BRIAN	DAIN TRAILER	S	1,166.11	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MORRELL, BRIAN	DAIN TRAILER	S	6,482.09	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MORRELL, BRIAN	DAIN TRAILER	S	1,751.12	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MORRELL, BRIAN	DAIN TRAILER	S	11,759.28	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MORRELL, BRIAN	DAIN TRAILER	S	1,311.05	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MORRELL, BRIAN	DAIN TRAILER	S	3,813.56	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MORRELL, BRIAN	DAIN TRAILER	S	7,744.49	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MORRELL, BRIAN	DAIN TRAILER	S	1,197.97	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MORRELL, BRIAN	DAIN TRAILER	S	3,723.66	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MORRELL, BRIAN	DAIN TRAILER	S	5,499.75	0.00	0.00	0.00	0.00	89.0	0.00
12/21/2017 # MORRELL, BRIAN	DAIN TRAILER	S	449.01	0.00	0.00	0.00	0.00	89.0	0.00
12/22/2017 # HOKAMA, WAYSON	DAIN TRAILER	B	1,257.00	0.00	0.00	0.00	0.00	89.0	0.00
12/22/2017 # HOKAMA, WAYSON	DAIN TRAILER	B	4,381.00	0.00	0.00	0.00	0.00	89.0	0.00
12/22/2017 # HOKAMA, WAYSON	DAIN TRAILER	B	1,885.00	0.00	0.00	0.00	0.00	89.0	0.00
12/22/2017 # HOKAMA, WAYSON	DAIN TRAILER	B	1,676.00	0.00	0.00	0.00	0.00	89.0	0.00
12/22/2017 # HOKAMA, WAYSON	DAIN TRAILER	B	1,257.00	0.00	0.00	0.00	0.00	89.0	0.00
12/22/2017 # HOKAMA, WAYSON	DAIN TRAILER	B	1,466.00	0.00	0.00	0.00	0.00	89.0	0.00
12/22/2017 # HOKAMA, WAYSON	DAIN TRAILER	B	628.00	0.00	0.00	0.00	0.00	89.0	0.00
12/22/2017 # HOKAMA, WAYSON	DAIN TRAILER	B	1,047.00	0.00	0.00	0.00	0.00	89.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$665,974.14	\$72.59	\$0.00	\$0.00	\$72.59		\$64.61
*** BROKER TRANSACTIONS TOTAL ***			\$665,974.14	\$72.59	\$0.00	\$0.00	\$72.59		\$64.61

ADJUSTMENTS

01/20/2018	ADMIN FEE: ADMIN FEE	-390.00
01/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
01/20/2018	DOCUSIGN: DOCUSIGN CREDIT BACK	380.00
*** ADJUSTMENTS TOTAL ***		\$-189.00

**BROKER COMMISSION TOTALS**

Broker Transactions	\$64.61
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-189.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

<b>Balance Forward</b>	<b>\$-124.39</b>
------------------------	------------------