

All Companies
STATEMENT
June 20, 2018

MICHAEL DORN

BROKER #: 058
BRANCH: LA BRANCH

, CA

COMMISSION STATEMENT for MICHAEL DORN

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---|----------------|-------------------------------------|----------------------|---------------------|------|---------------|--------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | | |
| 05/02/2018 # | | HARTFORD SCHDRS INTL STOCK FD-I | 16,001.52 | 0.00 | 85.0 | 0.00 | 0.00 | 20.00 | -20.00 |
| 05/02/2018 # | | METROPOLITAN WEST FDS TOTAL RETURN | 21,169.39 | 0.00 | 85.0 | 0.00 | 0.00 | 20.00 | -20.00 |
| 05/02/2018 # | | MFS TOTAL RETURN FUND -I | 17,578.14 | 0.00 | 85.0 | 0.00 | 0.00 | 20.00 | -20.00 |
| 05/02/2018 # | | ROYCE SMALLER-COMPANIES GRWTH FD IV | 9,774.11 | 0.00 | 85.0 | 0.00 | 0.00 | 20.00 | -20.00 |
| 05/02/2018 # | | WESTERN ASSET CORE PLUS BOND FD CLA | 20,523.67 | 0.00 | 85.0 | 0.00 | 0.00 | 20.00 | -20.00 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$85,046.83 | \$0.00 | | \$0.00 | \$0.00 | \$100.00 | \$-100.00 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | | |
| 05/07/2018 #1021259884 | STICH, JOSEPH | PERSP II 01/16 | 125,700.72 | 6,285.04 | 85.0 | 0.00 | 5,342.28 | 0.00 | 5,342.28 |
| 05/10/2018 #1021259728 | SCHWARTZ, GAIL | PERSP II 01/16 | 213,629.65 | 10,681.48 | 85.0 | 0.00 | 9,079.26 | 0.00 | 9,079.26 |
| 05/14/2018 #1021250666 | LENZ, GERALYN | PERSP II 01/16 | 75,000.00 | 3,750.00 | 85.0 | 0.00 | 3,187.50 | 0.00 | 3,187.50 |
| 05/21/2018 #1021298235 | JOAN, TETZLOFF | PERSP II 01/16 | 125,000.00 | 6,250.00 | 85.0 | 0.00 | 5,312.50 | 0.00 | 5,312.50 |
| 05/29/2018 #1021326239 | GERALD, ROEPKE | PERSP II 01/16 | 14,172.30 | 708.62 | 85.0 | 0.00 | 602.33 | 0.00 | 602.33 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$553,502.67 | \$27,675.14 | | \$0.00 | \$23,523.87 | \$0.00 | \$23,523.87 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 05/02/2018 # | | DAIN TRAILER | 19,489.12 | 0.00 | 85.0 | 0.00 | 0.00 | 0.00 | 0.00 |
| 05/02/2018 # | | DAIN TRAILER | 16,070.89 | 0.00 | 85.0 | 0.00 | 0.00 | 0.00 | 0.00 |
| 05/02/2018 # | | DAIN TRAILER | 6,521.05 | 0.00 | 85.0 | 0.00 | 0.00 | 0.00 | 0.00 |
| 05/09/2018 # | | DAIN TRAILER | 0.00 | 0.47 | 85.0 | 0.00 | 0.40 | 0.00 | 0.40 |
| 05/09/2018 # | | DAIN TRAILER | 0.00 | 0.20 | 85.0 | 0.00 | 0.17 | 0.00 | 0.17 |
| 05/09/2018 # | | DAIN TRAILER | 0.00 | 0.12 | 85.0 | 0.00 | 0.10 | 0.00 | 0.10 |
| 05/09/2018 # | | DAIN TRAILER | 0.00 | 0.36 | 85.0 | 0.00 | 0.31 | 0.00 | 0.31 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$42,081.06 | \$1.15 | | \$0.00 | \$0.98 | \$0.00 | \$0.98 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$680,630.56 | \$27,676.29 | | \$0.00 | \$23,524.85 | \$100.00 | \$23,424.85 |

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|------|--------|------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
|------|--------|------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|

ADJUSTMENTS

| | | | | | | | | | |
|---------------------------|--|----------------------------------|--|--|--|--|--|--|---------------------|
| 06/20/2018 | | ADMIN FEE: ADMIN FEE | | | | | | | -320.00 |
| 06/20/2018 | | E & O INSURANCE: E & O INSURANCE | | | | | | | -179.00 |
| 06/20/2018 | | ADVANCE: ADVANCE | | | | | | | -14,894.89 |
| *** ADJUSTMENTS TOTAL *** | | | | | | | | | <u>\$-15,393.89</u> |

BROKER COMMISSION TOTALS

| | |
|-----------------------|--------------|
| Broker Transactions | \$23,424.85 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-15,393.89 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|--------------|-------------------|
| Check Amount | <u>\$8,030.96</u> |
|--------------|-------------------|