

All Companies
STATEMENT
 April 20, 2018

CYNTHIA HERRON
 2321 Travis Lane
 #608
 Overland Park, KS 66209-

BROKER #: 227
 BRANCH: LA BRANCH

COMMISSION STATEMENT for CYNTHIA HERRON

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---------------------------------------|---------------|-----------------|-----------------------------------|---------------------|-------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | | |
| 03/01/2018 | #00085613691 | LISHER, GINA | AMERICAN BALANCED FUND-529A | 75.00 | 3.75 | 92.0 | 0.00 | 3.45 | 3.45 |
| 03/01/2018 | #00088727323 | RUSSELL, JOHN | COLLEGE 2024 FUND 529A | 100.00 | 3.50 | 92.0 | 0.00 | 3.22 | 3.22 |
| 03/02/2018 | #00088046313 | BAUCOMKARA | AMCAP FUND INC CLASS A | 46.20 | 1.96 | 92.0 | 0.00 | 1.80 | 1.80 |
| 03/02/2018 | #00088046313 | BAUCOMKARA | AMCAP FUND INC CLASS A | 153.80 | 6.54 | 92.0 | 0.00 | 6.02 | 6.02 |
| 03/02/2018 | #00088046313 | BAUCOMKARA | AMERICAN FUNDS 2015 TARGET DATE-A | 28.88 | 1.23 | 92.0 | 0.00 | 1.13 | 1.13 |
| 03/02/2018 | #00088046313 | BAUCOMKARA | AMERICAN FUNDS 2015 TARGET DATE-A | 96.12 | 4.09 | 92.0 | 0.00 | 3.76 | 3.76 |
| 03/02/2018 | #00088046313 | BAUCOMKARA | AMERICAN MUTUAL FUND INC CLASS A | 40.42 | 1.72 | 92.0 | 0.00 | 1.58 | 1.58 |
| 03/02/2018 | #00088046313 | BAUCOMKARA | AMERICAN MUTUAL FUND INC CLASS A | 134.58 | 5.72 | 92.0 | 0.00 | 5.26 | 5.26 |
| 03/05/2018 | #00085515885 | GUITY, NIQUICHE | COLLEGE 2024 FUND-529C | 50.00 | 0.50 | 92.0 | 0.00 | 0.46 | 0.46 |
| 03/05/2018 | #00085515930 | GUITYORBIL | COLLEGE 2027 FUND-529C | 50.00 | 0.50 | 92.0 | 0.00 | 0.46 | 0.46 |
| 03/05/2018 | #00088467617 | GUITY, NIQUICHE | COLLEGE 2030 FUND-529A | 50.00 | 1.75 | 92.0 | 0.00 | 1.61 | 1.61 |
| 03/05/2018 | # | HALL, ERIN | MFS EQUITY OPPORTUNITIES FD CL A | 65.00 | 3.25 | 92.0 | 0.00 | 2.99 | 20.00 -17.01 |
| 03/05/2018 | #00085978086 | RARDIN, JOHN | THE BOND FUND OF AMERICA-529A | 50.00 | 1.50 | 92.0 | 0.00 | 1.38 | 1.38 |
| 03/06/2018 | #005226561946 | FREY, RUTH | JOHN HANCOCK FRE | 0.00 | 28.82 | 92.0 | 0.00 | 26.51 | 26.51 |
| 03/06/2018 | #005226562026 | FREY, RUTH | JOHN HANCOCK FRE | 0.00 | 24.33 | 92.0 | 0.00 | 22.38 | 22.38 |
| 03/07/2018 | #00088576061 | DAKEMICHEL | 2055 TARGET DATE RETIREMENT FUND | 32.15 | 0.64 | 92.0 | 0.00 | 0.59 | 0.59 |
| 03/07/2018 | #00088576061 | DAKEMICHEL | 2055 TARGET DATE RETIREMENT FUND | 107.16 | 2.14 | 92.0 | 0.00 | 1.97 | 1.97 |
| 03/07/2018 | #00086985099 | LOWNANCYEL | AMERICAN FUNDS 2010 TARGET DATE-A | 395.70 | 7.91 | 92.0 | 0.00 | 7.28 | 7.28 |
| 03/07/2018 | #00086985099 | LOWNANCYEL | AMERICAN FUNDS 2010 TARGET DATE-A | 94.97 | 1.90 | 92.0 | 0.00 | 1.75 | 1.75 |
| 03/07/2018 | #00087552633 | TALBERTLUC | AMERICAN FUNDS 2010 TARGET DATE-A | 471.42 | 9.43 | 92.0 | 0.00 | 8.68 | 8.68 |
| 03/07/2018 | #00087552633 | TALBERTLUC | AMERICAN FUNDS 2010 TARGET DATE-A | 88.39 | 1.77 | 92.0 | 0.00 | 1.63 | 1.63 |
| 03/07/2018 | #00087708562 | JONES-WISN | AMERICAN FUNDS 2015 TARGET DATE-A | 76.51 | 1.53 | 92.0 | 0.00 | 1.41 | 1.41 |
| 03/07/2018 | #00087708562 | JONES-WISN | AMERICAN FUNDS 2015 TARGET DATE-A | 76.51 | 1.53 | 92.0 | 0.00 | 1.41 | 1.41 |
| 03/07/2018 | #04000101422 | MCGINNISMI | AMERICAN FUNDS 2015 TARGET DATE-A | 59.42 | 1.19 | 92.0 | 0.00 | 1.09 | 1.09 |
| 03/07/2018 | #04000101422 | MCGINNISMI | AMERICAN FUNDS 2015 TARGET DATE-A | 59.42 | 1.19 | 92.0 | 0.00 | 1.09 | 1.09 |
| 03/07/2018 | #04000101439 | GIBBONSHEA | AMERICAN FUNDS 2015 TARGET DATE-A | 57.35 | 1.15 | 92.0 | 0.00 | 1.06 | 1.06 |
| 03/07/2018 | #04000101439 | GIBBONSHEA | AMERICAN FUNDS 2015 TARGET DATE-A | 57.35 | 1.15 | 92.0 | 0.00 | 1.06 | 1.06 |
| 03/07/2018 | #04000790583 | | AMERICAN FUNDS 2015 TARGET DATE-A | 43.27 | 0.87 | 92.0 | 0.00 | 0.80 | 0.80 |

COMMISSION STATEMENT for CYNTHIA HERRON

| 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> | | | | | | | | | |
| 03/07/2018 | #04000790583 | AMERICAN FUNDS 2015 TARGET DATE-A | 43.27 | 0.87 | 92.0 | 0.00 | 0.80 | 0.00 | 0.80 |
| 03/07/2018 | #04000834615 | ERPELDING AMERICAN FUNDS 2015 TARGET DATE-A | 80.76 | 1.62 | 92.0 | 0.00 | 1.49 | 0.00 | 1.49 |
| 03/07/2018 | #04000834615 | ERPELDING AMERICAN FUNDS 2015 TARGET DATE-A | 107.68 | 2.15 | 92.0 | 0.00 | 1.98 | 0.00 | 1.98 |
| 03/07/2018 | #00086986934 | KUNKELGRET AMERICAN FUNDS 2035 TARGET DATE-A | 298.07 | 5.96 | 92.0 | 0.00 | 5.48 | 0.00 | 5.48 |
| 03/07/2018 | #00086986934 | KUNKELGRET AMERICAN FUNDS 2035 TARGET DATE-A | 63.26 | 1.27 | 92.0 | 0.00 | 1.17 | 0.00 | 1.17 |
| 03/07/2018 | #00088576061 | DAKEMICHEL BOND FUND OF AMERICA INC CL A | 6.43 | 0.13 | 92.0 | 0.00 | 0.12 | 0.00 | 0.12 |
| 03/07/2018 | #00088576061 | DAKEMICHEL BOND FUND OF AMERICA INC CL A | 21.43 | 0.43 | 92.0 | 0.00 | 0.40 | 0.00 | 0.40 |
| 03/07/2018 | #00086986934 | KUNKELGRET GROWTH AND INCOME PORTFOLIO-A | 298.08 | 5.96 | 92.0 | 0.00 | 5.48 | 0.00 | 5.48 |
| 03/07/2018 | #00086986934 | KUNKELGRET GROWTH AND INCOME PORTFOLIO-A | 63.27 | 1.27 | 92.0 | 0.00 | 1.17 | 0.00 | 1.17 |
| 03/07/2018 | #04000101795 | BEDDINGFIE INVESTMENT CO AMER CLASS A | 88.54 | 1.77 | 92.0 | 0.00 | 1.63 | 0.00 | 1.63 |
| 03/07/2018 | #04000101795 | BEDDINGFIE INVESTMENT CO AMER CLASS A | 88.54 | 1.77 | 92.0 | 0.00 | 1.63 | 0.00 | 1.63 |
| 03/07/2018 | #00088576061 | DAKEMICHEL SMALLCAP WORLD FUND INC CLASS A | 25.72 | 0.51 | 92.0 | 0.00 | 0.47 | 0.00 | 0.47 |
| 03/07/2018 | #00088576061 | DAKEMICHEL SMALLCAP WORLD FUND INC CLASS A | 85.73 | 1.71 | 92.0 | 0.00 | 1.57 | 0.00 | 1.57 |
| 03/12/2018 | #04000672747 | LISHER, GINA 2055 TARGET DATE RETIREMENT FUND | 10.06 | 0.38 | 92.0 | 0.00 | 0.35 | 0.00 | 0.35 |
| 03/12/2018 | #04000672747 | LISHER, GINA 2055 TARGET DATE RETIREMENT FUND | 40.00 | 1.50 | 92.0 | 0.00 | 1.38 | 0.00 | 1.38 |
| 03/12/2018 | #04000748210 | RALEIGH, GRAHAM 2055 TARGET DATE RETIREMENT FUND | 8.66 | 0.32 | 92.0 | 0.00 | 0.29 | 0.00 | 0.29 |
| 03/12/2018 | #04000748210 | RALEIGH, GRAHAM 2055 TARGET DATE RETIREMENT FUND | 12.00 | 0.45 | 92.0 | 0.00 | 0.41 | 0.00 | 0.41 |
| 03/12/2018 | #04000652154 | GRAHAM, TAMMY AMERICAN FDS PORTFOLIO SER GROWTH F | 13.44 | 0.50 | 92.0 | 0.00 | 0.46 | 0.00 | 0.46 |
| 03/12/2018 | #04000652154 | GRAHAM, TAMMY AMERICAN FDS PORTFOLIO SER GROWTH F | 40.00 | 1.50 | 92.0 | 0.00 | 1.38 | 0.00 | 1.38 |
| 03/12/2018 | #04000652163 | PRICE B J AMERICAN FDS PORTFOLIO SER GROWTH F | 10.17 | 0.38 | 92.0 | 0.00 | 0.35 | 0.00 | 0.35 |
| 03/12/2018 | #04000652163 | PRICE B J AMERICAN FDS PORTFOLIO SER GROWTH F | 16.95 | 0.64 | 92.0 | 0.00 | 0.59 | 0.00 | 0.59 |
| 03/12/2018 | #04000652169 | WATKINS, AMERICAN FDS PORTFOLIO SER GROWTH F | 15.00 | 0.56 | 92.0 | 0.00 | 0.52 | 0.00 | 0.52 |
| 03/12/2018 | #04000652169 | WATKINS, AMERICAN FDS PORTFOLIO SER GROWTH F | 15.00 | 0.56 | 92.0 | 0.00 | 0.52 | 0.00 | 0.52 |
| 03/12/2018 | #04000672747 | LISHER, GINA AMERICAN FDS PORTFOLIO SER GROWTH F | 15.09 | 0.57 | 92.0 | 0.00 | 0.52 | 0.00 | 0.52 |
| 03/12/2018 | #04000672747 | LISHER, GINA AMERICAN FDS PORTFOLIO SER GROWTH F | 60.00 | 2.25 | 92.0 | 0.00 | 2.07 | 0.00 | 2.07 |
| 03/12/2018 | #04000672757 | SHANNON, AMERICAN FDS PORTFOLIO SER GROWTH F | 10.43 | 0.39 | 92.0 | 0.00 | 0.36 | 0.00 | 0.36 |
| 03/12/2018 | #04000672757 | SHANNON, AMERICAN FDS PORTFOLIO SER GROWTH F | 10.43 | 0.39 | 92.0 | 0.00 | 0.36 | 0.00 | 0.36 |
| 03/12/2018 | #04000748210 | RALEIGH, GRAHAM AMERICAN FDS PORTFOLIO SER GROWTH F | 13.00 | 0.49 | 92.0 | 0.00 | 0.45 | 0.00 | 0.45 |
| 03/12/2018 | #04000748210 | RALEIGH, GRAHAM AMERICAN FDS PORTFOLIO SER GROWTH F | 18.00 | 0.68 | 92.0 | 0.00 | 0.63 | 0.00 | 0.63 |
| 03/12/2018 | #04000652154 | GRAHAM, TAMMY AMERICAN FUNDS 2030 TARGET DATE-A | 20.16 | 0.76 | 92.0 | 0.00 | 0.70 | 0.00 | 0.70 |
| 03/12/2018 | #04000652154 | GRAHAM, TAMMY AMERICAN FUNDS 2030 TARGET DATE-A | 60.00 | 2.25 | 92.0 | 0.00 | 2.07 | 0.00 | 2.07 |
| 03/12/2018 | #04000652163 | PRICE B J AMERICAN FUNDS 2030 TARGET DATE-A | 15.26 | 0.57 | 92.0 | 0.00 | 0.52 | 0.00 | 0.52 |
| 03/12/2018 | #04000652163 | PRICE B J AMERICAN FUNDS 2030 TARGET DATE-A | 25.43 | 0.95 | 92.0 | 0.00 | 0.87 | 0.00 | 0.87 |
| 03/12/2018 | #04000652169 | WATKINS, AMERICAN FUNDS 2030 TARGET DATE-A | 22.50 | 0.84 | 92.0 | 0.00 | 0.77 | 0.00 | 0.77 |
| 03/12/2018 | #04000652169 | WATKINS, AMERICAN FUNDS 2030 TARGET DATE-A | 22.50 | 0.84 | 92.0 | 0.00 | 0.77 | 0.00 | 0.77 |
| 03/12/2018 | #04000672757 | SHANNON, AMERICAN FUNDS 2030 TARGET DATE-A | 15.65 | 0.59 | 92.0 | 0.00 | 0.54 | 0.00 | 0.54 |

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|---------------------------------------|------------------------------|-------------------------------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | | |
| 03/12/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2030 TARGET DATE-A | 15.65 | 0.59 | 92.0 | 0.00 | 0.54 | 0.00 | 0.54 |
| 03/12/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FUNDS 2045 TARGET DATE-A | 10.08 | 0.38 | 92.0 | 0.00 | 0.35 | 0.00 | 0.35 |
| 03/12/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FUNDS 2045 TARGET DATE-A | 30.00 | 1.13 | 92.0 | 0.00 | 1.04 | 0.00 | 1.04 |
| 03/12/2018 | #04000652163 PRICE B J | AMERICAN FUNDS 2045 TARGET DATE-A | 7.63 | 0.29 | 92.0 | 0.00 | 0.27 | 0.00 | 0.27 |
| 03/12/2018 | #04000652163 PRICE B J | AMERICAN FUNDS 2045 TARGET DATE-A | 12.71 | 0.48 | 92.0 | 0.00 | 0.44 | 0.00 | 0.44 |
| 03/12/2018 | #04000652169 WATKINS, | AMERICAN FUNDS 2045 TARGET DATE-A | 11.25 | 0.42 | 92.0 | 0.00 | 0.39 | 0.00 | 0.39 |
| 03/12/2018 | #04000652169 WATKINS, | AMERICAN FUNDS 2045 TARGET DATE-A | 11.25 | 0.42 | 92.0 | 0.00 | 0.39 | 0.00 | 0.39 |
| 03/12/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2045 TARGET DATE-A | 7.83 | 0.29 | 92.0 | 0.00 | 0.27 | 0.00 | 0.27 |
| 03/12/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2045 TARGET DATE-A | 7.83 | 0.29 | 92.0 | 0.00 | 0.27 | 0.00 | 0.27 |
| 03/12/2018 | #04000672747 LISHER, GINA | AMERICAN FUNDS TARGET DATE RETIREME | 10.06 | 0.38 | 92.0 | 0.00 | 0.35 | 0.00 | 0.35 |
| 03/12/2018 | #04000672747 LISHER, GINA | AMERICAN FUNDS TARGET DATE RETIREME | 40.00 | 1.50 | 92.0 | 0.00 | 1.38 | 0.00 | 1.38 |
| 03/12/2018 | #04000748210 RALEIGH, GRAHAM | AMERICAN FUNDS TARGET DATE RETIREME | 8.66 | 0.32 | 92.0 | 0.00 | 0.29 | 0.00 | 0.29 |
| 03/12/2018 | #04000748210 RALEIGH, GRAHAM | AMERICAN FUNDS TARGET DATE RETIREME | 12.00 | 0.45 | 92.0 | 0.00 | 0.41 | 0.00 | 0.41 |
| 03/12/2018 | #04000672747 LISHER, GINA | GLOBAL GROWTH PORTFOLIO-A | 15.09 | 0.57 | 92.0 | 0.00 | 0.52 | 0.00 | 0.52 |
| 03/12/2018 | #04000672747 LISHER, GINA | GLOBAL GROWTH PORTFOLIO-A | 60.00 | 2.25 | 92.0 | 0.00 | 2.07 | 0.00 | 2.07 |
| 03/12/2018 | #04000748210 RALEIGH, GRAHAM | GLOBAL GROWTH PORTFOLIO-A | 12.99 | 0.49 | 92.0 | 0.00 | 0.45 | 0.00 | 0.45 |
| 03/12/2018 | #04000748210 RALEIGH, GRAHAM | GLOBAL GROWTH PORTFOLIO-A | 18.00 | 0.68 | 92.0 | 0.00 | 0.63 | 0.00 | 0.63 |
| 03/12/2018 | #04000652154 GRAHAM, TAMMY | GROWTH AND INCOME PORTFOLIO-A | 23.52 | 0.88 | 92.0 | 0.00 | 0.81 | 0.00 | 0.81 |
| 03/12/2018 | #04000652154 GRAHAM, TAMMY | GROWTH AND INCOME PORTFOLIO-A | 70.00 | 2.63 | 92.0 | 0.00 | 2.42 | 0.00 | 2.42 |
| 03/12/2018 | #04000652163 PRICE B J | GROWTH AND INCOME PORTFOLIO-A | 17.80 | 0.67 | 92.0 | 0.00 | 0.62 | 0.00 | 0.62 |
| 03/12/2018 | #04000652163 PRICE B J | GROWTH AND INCOME PORTFOLIO-A | 29.67 | 1.11 | 92.0 | 0.00 | 1.02 | 0.00 | 1.02 |
| 03/12/2018 | #04000652169 WATKINS, | GROWTH AND INCOME PORTFOLIO-A | 26.25 | 0.98 | 92.0 | 0.00 | 0.90 | 0.00 | 0.90 |
| 03/12/2018 | #04000652169 WATKINS, | GROWTH AND INCOME PORTFOLIO-A | 26.25 | 0.98 | 92.0 | 0.00 | 0.90 | 0.00 | 0.90 |
| 03/12/2018 | #04000672757 SHANNON, | GROWTH AND INCOME PORTFOLIO-A | 18.26 | 0.68 | 92.0 | 0.00 | 0.63 | 0.00 | 0.63 |
| 03/12/2018 | #04000672757 SHANNON, | GROWTH AND INCOME PORTFOLIO-A | 18.26 | 0.68 | 92.0 | 0.00 | 0.63 | 0.00 | 0.63 |
| 03/12/2018 | # RUSSELL, JOHN | MFS EQUITY OPPORTUNITIES FD CL A | 100.00 | 5.00 | 92.0 | 0.00 | 4.60 | 20.00 | -15.40 |
| 03/15/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FDS PORTFOLIO SER GROWTH F | 0.89 | 0.03 | 92.0 | 0.00 | 0.03 | 0.00 | 0.03 |
| 03/15/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FDS PORTFOLIO SER GROWTH F | 30.00 | 1.13 | 92.0 | 0.00 | 1.04 | 0.00 | 1.04 |
| 03/15/2018 | #04000652163 PRICE B J | AMERICAN FDS PORTFOLIO SER GROWTH F | 0.96 | 0.04 | 92.0 | 0.00 | 0.04 | 0.00 | 0.04 |
| 03/15/2018 | #04000652163 PRICE B J | AMERICAN FDS PORTFOLIO SER GROWTH F | 32.00 | 1.20 | 92.0 | 0.00 | 1.10 | 0.00 | 1.10 |
| 03/15/2018 | #04000672757 SHANNON, | AMERICAN FDS PORTFOLIO SER GROWTH F | 0.30 | 0.01 | 92.0 | 0.00 | 0.01 | 0.00 | 0.01 |
| 03/15/2018 | #04000672757 SHANNON, | AMERICAN FDS PORTFOLIO SER GROWTH F | 10.00 | 0.38 | 92.0 | 0.00 | 0.35 | 0.00 | 0.35 |
| 03/15/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FUNDS 2030 TARGET DATE-A | 1.35 | 0.05 | 92.0 | 0.00 | 0.05 | 0.00 | 0.05 |
| 03/15/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FUNDS 2030 TARGET DATE-A | 45.00 | 1.69 | 92.0 | 0.00 | 1.55 | 0.00 | 1.55 |
| 03/15/2018 | #04000652163 PRICE B J | AMERICAN FUNDS 2030 TARGET DATE-A | 1.44 | 0.05 | 92.0 | 0.00 | 0.05 | 0.00 | 0.05 |
| 03/15/2018 | #04000652163 PRICE B J | AMERICAN FUNDS 2030 TARGET DATE-A | 48.00 | 1.80 | 92.0 | 0.00 | 1.66 | 0.00 | 1.66 |

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|---------------------------------------|----------------------------|-------------------------------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | | |
| 03/15/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2030 TARGET DATE-A | 0.45 | 0.02 | 92.0 | 0.00 | 0.02 | 0.00 | 0.02 |
| 03/15/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2030 TARGET DATE-A | 15.00 | 0.56 | 92.0 | 0.00 | 0.52 | 0.00 | 0.52 |
| 03/15/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FUNDS 2045 TARGET DATE-A | 0.68 | 0.03 | 92.0 | 0.00 | 0.03 | 0.00 | 0.03 |
| 03/15/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FUNDS 2045 TARGET DATE-A | 22.50 | 0.84 | 92.0 | 0.00 | 0.77 | 0.00 | 0.77 |
| 03/15/2018 | #04000652163 PRICE B J | AMERICAN FUNDS 2045 TARGET DATE-A | 0.72 | 0.03 | 92.0 | 0.00 | 0.03 | 0.00 | 0.03 |
| 03/15/2018 | #04000652163 PRICE B J | AMERICAN FUNDS 2045 TARGET DATE-A | 24.00 | 0.90 | 92.0 | 0.00 | 0.83 | 0.00 | 0.83 |
| 03/15/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2045 TARGET DATE-A | 0.22 | 0.01 | 92.0 | 0.00 | 0.01 | 0.00 | 0.01 |
| 03/15/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2045 TARGET DATE-A | 7.50 | 0.28 | 92.0 | 0.00 | 0.26 | 0.00 | 0.26 |
| 03/15/2018 | #04000652154 GRAHAM, TAMMY | GROWTH AND INCOME PORTFOLIO-A | 1.58 | 0.06 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 03/15/2018 | #04000652154 GRAHAM, TAMMY | GROWTH AND INCOME PORTFOLIO-A | 52.50 | 1.97 | 92.0 | 0.00 | 1.81 | 0.00 | 1.81 |
| 03/15/2018 | #04000652163 PRICE B J | GROWTH AND INCOME PORTFOLIO-A | 56.00 | 2.10 | 92.0 | 0.00 | 1.93 | 0.00 | 1.93 |
| 03/15/2018 | #04000652163 PRICE B J | GROWTH AND INCOME PORTFOLIO-A | 1.68 | 0.06 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 03/15/2018 | #04000672757 SHANNON, | GROWTH AND INCOME PORTFOLIO-A | 0.53 | 0.02 | 92.0 | 0.00 | 0.02 | 0.00 | 0.02 |
| 03/15/2018 | #04000672757 SHANNON, | GROWTH AND INCOME PORTFOLIO-A | 17.50 | 0.66 | 92.0 | 0.00 | 0.61 | 0.00 | 0.61 |
| 03/19/2018 | #00088576061 DAKEMICHEL | 2055 TARGET DATE RETIREMENT FUND | 32.15 | 0.64 | 92.0 | 0.00 | 0.59 | 0.00 | 0.59 |
| 03/19/2018 | #00088576061 DAKEMICHEL | 2055 TARGET DATE RETIREMENT FUND | 107.16 | 2.14 | 92.0 | 0.00 | 1.97 | 0.00 | 1.97 |
| 03/19/2018 | #04000834615 ERPELDING | AMERICAN FDS PORTFOLIO SER GROWTH F | 21.54 | 0.43 | 92.0 | 0.00 | 0.40 | 0.00 | 0.40 |
| 03/19/2018 | #04000834615 ERPELDING | AMERICAN FDS PORTFOLIO SER GROWTH F | 16.15 | 0.32 | 92.0 | 0.00 | 0.29 | 0.00 | 0.29 |
| 03/19/2018 | #00086985099 LOWNANCYEL | AMERICAN FUNDS 2010 TARGET DATE-A | 395.70 | 7.91 | 92.0 | 0.00 | 7.28 | 0.00 | 7.28 |
| 03/19/2018 | #00086985099 LOWNANCYEL | AMERICAN FUNDS 2010 TARGET DATE-A | 94.97 | 1.90 | 92.0 | 0.00 | 1.75 | 0.00 | 1.75 |
| 03/19/2018 | #00087552633 TALBERTLUC | AMERICAN FUNDS 2010 TARGET DATE-A | 88.39 | 1.77 | 92.0 | 0.00 | 1.63 | 0.00 | 1.63 |
| 03/19/2018 | #00087552633 TALBERTLUC | AMERICAN FUNDS 2010 TARGET DATE-A | 626.11 | 12.52 | 92.0 | 0.00 | 11.52 | 0.00 | 11.52 |
| 03/19/2018 | #00087708562 JONES-WISN | AMERICAN FUNDS 2015 TARGET DATE-A | 76.51 | 1.53 | 92.0 | 0.00 | 1.41 | 0.00 | 1.41 |
| 03/19/2018 | #00087708562 JONES-WISN | AMERICAN FUNDS 2015 TARGET DATE-A | 76.51 | 1.53 | 92.0 | 0.00 | 1.41 | 0.00 | 1.41 |
| 03/19/2018 | #04000101422 MCGINNISMI | AMERICAN FUNDS 2015 TARGET DATE-A | 59.42 | 1.19 | 92.0 | 0.00 | 1.09 | 0.00 | 1.09 |
| 03/19/2018 | #04000101422 MCGINNISMI | AMERICAN FUNDS 2015 TARGET DATE-A | 59.42 | 1.19 | 92.0 | 0.00 | 1.09 | 0.00 | 1.09 |
| 03/19/2018 | #04000101439 GIBBONSHEA | AMERICAN FUNDS 2015 TARGET DATE-A | 57.35 | 1.15 | 92.0 | 0.00 | 1.06 | 0.00 | 1.06 |
| 03/19/2018 | #04000101439 GIBBONSHEA | AMERICAN FUNDS 2015 TARGET DATE-A | 57.35 | 1.15 | 92.0 | 0.00 | 1.06 | 0.00 | 1.06 |
| 03/19/2018 | #04000790583 | AMERICAN FUNDS 2015 TARGET DATE-A | 43.27 | 0.87 | 92.0 | 0.00 | 0.80 | 0.00 | 0.80 |
| 03/19/2018 | #04000790583 | AMERICAN FUNDS 2015 TARGET DATE-A | 43.27 | 0.87 | 92.0 | 0.00 | 0.80 | 0.00 | 0.80 |
| 03/19/2018 | #04000834615 ERPELDING | AMERICAN FUNDS 2030 TARGET DATE-A | 32.30 | 0.65 | 92.0 | 0.00 | 0.60 | 0.00 | 0.60 |
| 03/19/2018 | #04000834615 ERPELDING | AMERICAN FUNDS 2030 TARGET DATE-A | 24.23 | 0.48 | 92.0 | 0.00 | 0.44 | 0.00 | 0.44 |
| 03/19/2018 | #00086986934 KUNKELGRET | AMERICAN FUNDS 2035 TARGET DATE-A | 63.26 | 1.27 | 92.0 | 0.00 | 1.17 | 0.00 | 1.17 |
| 03/19/2018 | #00086986934 KUNKELGRET | AMERICAN FUNDS 2035 TARGET DATE-A | 298.07 | 5.96 | 92.0 | 0.00 | 5.48 | 0.00 | 5.48 |
| 03/19/2018 | #04000834615 ERPELDING | AMERICAN FUNDS 2045 TARGET DATE-A | 16.15 | 0.32 | 92.0 | 0.00 | 0.29 | 0.00 | 0.29 |
| 03/19/2018 | #04000834615 ERPELDING | AMERICAN FUNDS 2045 TARGET DATE-A | 12.11 | 0.24 | 92.0 | 0.00 | 0.22 | 0.00 | 0.22 |

COMMISSION STATEMENT for CYNTHIA HERRON

| 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> | | | | | | | | | |
| 03/19/2018 | #00088576061 | DAKEMICHEL | BOND FUND OF AMERICA INC CL A | 6.43 | 0.13 | 92.0 | 0.00 | 0.12 | 0.12 |
| 03/19/2018 | #00088576061 | DAKEMICHEL | BOND FUND OF AMERICA INC CL A | 21.43 | 0.43 | 92.0 | 0.00 | 0.40 | 0.40 |
| 03/19/2018 | #00086986934 | KUNKELGRET | GROWTH AND INCOME PORTFOLIO-A | 63.27 | 1.27 | 92.0 | 0.00 | 1.17 | 1.17 |
| 03/19/2018 | #00086986934 | KUNKELGRET | GROWTH AND INCOME PORTFOLIO-A | 298.08 | 5.96 | 92.0 | 0.00 | 5.48 | 5.48 |
| 03/19/2018 | #04000834615 | ERPELDING | GROWTH AND INCOME PORTFOLIO-A | 37.69 | 0.75 | 92.0 | 0.00 | 0.69 | 0.69 |
| 03/19/2018 | #04000834615 | ERPELDING | GROWTH AND INCOME PORTFOLIO-A | 28.27 | 0.57 | 92.0 | 0.00 | 0.52 | 0.52 |
| 03/19/2018 | #04000101795 | BEDDINGFIE | INVESTMENT CO AMER CLASS A | 88.54 | 1.77 | 92.0 | 0.00 | 1.63 | 1.63 |
| 03/19/2018 | #04000101795 | BEDDINGFIE | INVESTMENT CO AMER CLASS A | 88.54 | 1.77 | 92.0 | 0.00 | 1.63 | 1.63 |
| 03/19/2018 | #00088576061 | DAKEMICHEL | SMALLCAP WORLD FUND INC CLASS A | 25.72 | 0.51 | 92.0 | 0.00 | 0.47 | 0.47 |
| 03/19/2018 | #00088576061 | DAKEMICHEL | SMALLCAP WORLD FUND INC CLASS A | 85.73 | 1.71 | 92.0 | 0.00 | 1.57 | 1.57 |
| 03/23/2018 | #04000672747 | LISHER, GINA | 2055 TARGET DATE RETIREMENT FUND | 10.06 | 0.38 | 92.0 | 0.00 | 0.35 | 0.35 |
| 03/23/2018 | #04000672747 | LISHER, GINA | 2055 TARGET DATE RETIREMENT FUND | 40.00 | 1.50 | 92.0 | 0.00 | 1.38 | 1.38 |
| 03/23/2018 | #04000748210 | RALEIGH, GRAHAM | 2055 TARGET DATE RETIREMENT FUND | 8.72 | 0.33 | 92.0 | 0.00 | 0.30 | 0.30 |
| 03/23/2018 | #04000748210 | RALEIGH, GRAHAM | 2055 TARGET DATE RETIREMENT FUND | 12.00 | 0.45 | 92.0 | 0.00 | 0.41 | 0.41 |
| 03/23/2018 | #04000652154 | GRAHAM, TAMMY | AMERICAN FDS PORTFOLIO SER GROWTH F | 13.44 | 0.50 | 92.0 | 0.00 | 0.46 | 0.46 |
| 03/23/2018 | #04000652154 | GRAHAM, TAMMY | AMERICAN FDS PORTFOLIO SER GROWTH F | 40.00 | 1.50 | 92.0 | 0.00 | 1.38 | 1.38 |
| 03/23/2018 | #04000652163 | PRICE B J | AMERICAN FDS PORTFOLIO SER GROWTH F | 10.17 | 0.38 | 92.0 | 0.00 | 0.35 | 0.35 |
| 03/23/2018 | #04000652163 | PRICE B J | AMERICAN FDS PORTFOLIO SER GROWTH F | 16.95 | 0.64 | 92.0 | 0.00 | 0.59 | 0.59 |
| 03/23/2018 | #04000652169 | WATKINS, | AMERICAN FDS PORTFOLIO SER GROWTH F | 15.00 | 0.56 | 92.0 | 0.00 | 0.52 | 0.52 |
| 03/23/2018 | #04000652169 | WATKINS, | AMERICAN FDS PORTFOLIO SER GROWTH F | 15.00 | 0.56 | 92.0 | 0.00 | 0.52 | 0.52 |
| 03/23/2018 | #04000672747 | LISHER, GINA | AMERICAN FDS PORTFOLIO SER GROWTH F | 15.09 | 0.57 | 92.0 | 0.00 | 0.52 | 0.52 |
| 03/23/2018 | #04000672747 | LISHER, GINA | AMERICAN FDS PORTFOLIO SER GROWTH F | 60.00 | 2.25 | 92.0 | 0.00 | 2.07 | 2.07 |
| 03/23/2018 | #04000672757 | SHANNON, | AMERICAN FDS PORTFOLIO SER GROWTH F | 10.30 | 0.39 | 92.0 | 0.00 | 0.36 | 0.36 |
| 03/23/2018 | #04000672757 | SHANNON, | AMERICAN FDS PORTFOLIO SER GROWTH F | 10.30 | 0.39 | 92.0 | 0.00 | 0.36 | 0.36 |
| 03/23/2018 | #04000748210 | RALEIGH, GRAHAM | AMERICAN FDS PORTFOLIO SER GROWTH F | 18.00 | 0.68 | 92.0 | 0.00 | 0.63 | 0.63 |
| 03/23/2018 | #04000748210 | RALEIGH, GRAHAM | AMERICAN FDS PORTFOLIO SER GROWTH F | 13.07 | 0.49 | 92.0 | 0.00 | 0.45 | 0.45 |
| 03/23/2018 | #04000652154 | GRAHAM, TAMMY | AMERICAN FUNDS 2030 TARGET DATE-A | 20.16 | 0.76 | 92.0 | 0.00 | 0.70 | 0.70 |
| 03/23/2018 | #04000652154 | GRAHAM, TAMMY | AMERICAN FUNDS 2030 TARGET DATE-A | 60.00 | 2.25 | 92.0 | 0.00 | 2.07 | 2.07 |
| 03/23/2018 | #04000652163 | PRICE B J | AMERICAN FUNDS 2030 TARGET DATE-A | 15.26 | 0.57 | 92.0 | 0.00 | 0.52 | 0.52 |
| 03/23/2018 | #04000652163 | PRICE B J | AMERICAN FUNDS 2030 TARGET DATE-A | 25.43 | 0.95 | 92.0 | 0.00 | 0.87 | 0.87 |
| 03/23/2018 | #04000652169 | WATKINS, | AMERICAN FUNDS 2030 TARGET DATE-A | 22.50 | 0.84 | 92.0 | 0.00 | 0.77 | 0.77 |
| 03/23/2018 | #04000652169 | WATKINS, | AMERICAN FUNDS 2030 TARGET DATE-A | 22.50 | 0.84 | 92.0 | 0.00 | 0.77 | 0.77 |
| 03/23/2018 | #04000672757 | SHANNON, | AMERICAN FUNDS 2030 TARGET DATE-A | 15.46 | 0.58 | 92.0 | 0.00 | 0.53 | 0.53 |
| 03/23/2018 | #04000672757 | SHANNON, | AMERICAN FUNDS 2030 TARGET DATE-A | 15.46 | 0.58 | 92.0 | 0.00 | 0.53 | 0.53 |
| 03/23/2018 | #04000652154 | GRAHAM, TAMMY | AMERICAN FUNDS 2045 TARGET DATE-A | 10.08 | 0.38 | 92.0 | 0.00 | 0.35 | 0.35 |
| 03/23/2018 | #04000652154 | GRAHAM, TAMMY | AMERICAN FUNDS 2045 TARGET DATE-A | 30.00 | 1.13 | 92.0 | 0.00 | 1.04 | 1.04 |

COMMISSION STATEMENT for CYNTHIA HERRON

| 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> | | | | | | | | | |
| 03/23/2018 | #04000652163 PRICE B J | AMERICAN FUNDS 2045 TARGET DATE-A | 7.63 | 0.29 | 92.0 | 0.00 | 0.27 | 0.00 | 0.27 |
| 03/23/2018 | #04000652163 PRICE B J | AMERICAN FUNDS 2045 TARGET DATE-A | 12.71 | 0.48 | 92.0 | 0.00 | 0.44 | 0.00 | 0.44 |
| 03/23/2018 | #04000652169 WATKINS, | AMERICAN FUNDS 2045 TARGET DATE-A | 11.25 | 0.42 | 92.0 | 0.00 | 0.39 | 0.00 | 0.39 |
| 03/23/2018 | #04000652169 WATKINS, | AMERICAN FUNDS 2045 TARGET DATE-A | 11.25 | 0.42 | 92.0 | 0.00 | 0.39 | 0.00 | 0.39 |
| 03/23/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2045 TARGET DATE-A | 7.73 | 0.29 | 92.0 | 0.00 | 0.27 | 0.00 | 0.27 |
| 03/23/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2045 TARGET DATE-A | 7.73 | 0.29 | 92.0 | 0.00 | 0.27 | 0.00 | 0.27 |
| 03/23/2018 | #04000672747 LISHER, GINA | AMERICAN FUNDS TARGET DATE RETIREME | 10.06 | 0.38 | 92.0 | 0.00 | 0.35 | 0.00 | 0.35 |
| 03/23/2018 | #04000672747 LISHER, GINA | AMERICAN FUNDS TARGET DATE RETIREME | 40.00 | 1.50 | 92.0 | 0.00 | 1.38 | 0.00 | 1.38 |
| 03/23/2018 | #04000748210 RALEIGH, GRAHAM | AMERICAN FUNDS TARGET DATE RETIREME | 8.72 | 0.33 | 92.0 | 0.00 | 0.30 | 0.00 | 0.30 |
| 03/23/2018 | #04000748210 RALEIGH, GRAHAM | AMERICAN FUNDS TARGET DATE RETIREME | 12.00 | 0.45 | 92.0 | 0.00 | 0.41 | 0.00 | 0.41 |
| 03/23/2018 | #04000672747 LISHER, GINA | GLOBAL GROWTH PORTFOLIO-A | 15.09 | 0.57 | 92.0 | 0.00 | 0.52 | 0.00 | 0.52 |
| 03/23/2018 | #04000672747 LISHER, GINA | GLOBAL GROWTH PORTFOLIO-A | 60.00 | 2.25 | 92.0 | 0.00 | 2.07 | 0.00 | 2.07 |
| 03/23/2018 | #04000748210 RALEIGH, GRAHAM | GLOBAL GROWTH PORTFOLIO-A | 18.00 | 0.68 | 92.0 | 0.00 | 0.63 | 0.00 | 0.63 |
| 03/23/2018 | #04000748210 RALEIGH, GRAHAM | GLOBAL GROWTH PORTFOLIO-A | 13.07 | 0.49 | 92.0 | 0.00 | 0.45 | 0.00 | 0.45 |
| 03/23/2018 | #04000652154 GRAHAM, TAMMY | GROWTH AND INCOME PORTFOLIO-A | 23.52 | 0.88 | 92.0 | 0.00 | 0.81 | 0.00 | 0.81 |
| 03/23/2018 | #04000652154 GRAHAM, TAMMY | GROWTH AND INCOME PORTFOLIO-A | 70.00 | 2.63 | 92.0 | 0.00 | 2.42 | 0.00 | 2.42 |
| 03/23/2018 | #04000652163 PRICE B J | GROWTH AND INCOME PORTFOLIO-A | 17.80 | 0.67 | 92.0 | 0.00 | 0.62 | 0.00 | 0.62 |
| 03/23/2018 | #04000652163 PRICE B J | GROWTH AND INCOME PORTFOLIO-A | 29.67 | 1.11 | 92.0 | 0.00 | 1.02 | 0.00 | 1.02 |
| 03/23/2018 | #04000652169 WATKINS, | GROWTH AND INCOME PORTFOLIO-A | 26.25 | 0.98 | 92.0 | 0.00 | 0.90 | 0.00 | 0.90 |
| 03/23/2018 | #04000652169 WATKINS, | GROWTH AND INCOME PORTFOLIO-A | 26.25 | 0.98 | 92.0 | 0.00 | 0.90 | 0.00 | 0.90 |
| 03/23/2018 | #04000672757 SHANNON, | GROWTH AND INCOME PORTFOLIO-A | 18.03 | 0.68 | 92.0 | 0.00 | 0.63 | 0.00 | 0.63 |
| 03/23/2018 | #04000672757 SHANNON, | GROWTH AND INCOME PORTFOLIO-A | 18.03 | 0.68 | 92.0 | 0.00 | 0.63 | 0.00 | 0.63 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$9,366.80 | \$302.60 | | \$0.00 | \$278.43 | \$40.00 | \$238.43 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | | |
| 02/08/0018 | #575320000 LANE HEALTH, | JOHN HANCOCK LIFE-TRAILS | 0.00 | 100.07 | 92.0 | 0.00 | 92.06 | 0.00 | 92.06 |
| 02/08/0018 | #1315500000 SOLUTIONS, | JOHN HANCOCK LIFE-TRAILS | 0.00 | 33.41 | 92.0 | 0.00 | 30.74 | 0.00 | 30.74 |
| 02/08/0018 | #1226040000 PRESTRESSED | JOHN HANCOCK LIFE-TRAILS | 0.00 | 124.50 | 92.0 | 0.00 | 114.54 | 0.00 | 114.54 |
| 03/01/0018 | #E1851074 NELSON, MIKE | OHIO NATIONAL | 0.00 | 206.45 | 92.0 | 0.00 | 189.93 | 0.00 | 189.93 |
| 03/01/0018 | #E1856397 LARKIN, RUTH | OHIO NATIONAL | 0.00 | 3.49 | 92.0 | 0.00 | 3.21 | 0.00 | 3.21 |
| 03/01/0018 | #E1859180 DAVIDSON, JANEL | OHIO NATIONAL | 0.00 | 47.43 | 92.0 | 0.00 | 43.64 | 0.00 | 43.64 |
| 03/04/0018 | #E1853484 CANTRELL, MARGIE | OHIO NATIONAL | 0.00 | 209.07 | 92.0 | 0.00 | 192.34 | 0.00 | 192.34 |
| 03/05/2018 | #1016423315 MOOT, PEGGY | PERSP II 04/14 | 836.71 | 41.84 | 92.0 | 0.00 | 38.49 | 0.00 | 38.49 |
| 03/12/2018 | #1016423315 MOOT, PEGGY | PERSP II 04/14 | 0.69 | 0.03 | 92.0 | 0.00 | 0.03 | 0.00 | 0.03 |
| 03/19/2018 | #1014026084 KELLY, MARY | PERSP II 09/12 | 2,600.00 | 136.50 | 92.0 | 0.00 | 125.58 | 0.00 | 125.58 |
| 03/20/2018 | #1013722249 OLIVER, HAROLD | PERSP II 09/12 | 150.00 | 11.25 | 92.0 | 0.00 | 10.35 | 0.00 | 10.35 |

COMMISSION STATEMENT for CYNTHIA HERRON

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---|--------------|---|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$3,587.40 | \$914.04 | | \$0.00 | \$840.91 | \$0.00 | \$840.91 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 03/01/2018 | #00088576061 | DAKEMICHEL 2055 TARGET DATE RETIREMENT FUND | 0.00 | 3.71 | 92.0 | 0.00 | 3.41 | 0.00 | 3.41 |
| 03/01/2018 | #04000515434 | LEE, CHRISTINA 2055 TARGET DATE RETIREMENT FUND | 0.00 | 0.50 | 92.0 | 0.00 | 0.46 | 0.00 | 0.46 |
| 03/01/2018 | #04000539467 | KELLY, STEVEN 2055 TARGET DATE RETIREMENT FUND | 0.00 | 2.14 | 92.0 | 0.00 | 1.97 | 0.00 | 1.97 |
| 03/01/2018 | #04000672747 | LISHER, GINA 2055 TARGET DATE RETIREMENT FUND | 0.00 | 0.02 | 92.0 | 0.00 | 0.02 | 0.00 | 0.02 |
| 03/01/2018 | #04000748210 | RALEIGH, GRAHAM 2055 TARGET DATE RETIREMENT FUND | 0.00 | 0.01 | 92.0 | 0.00 | 0.01 | 0.00 | 0.01 |
| 03/01/2018 | #00088046313 | BAUCOMKARA AMCAP FUND INC CLASS A | 0.00 | 5.50 | 92.0 | 0.00 | 5.06 | 0.00 | 5.06 |
| 03/01/2018 | #00085613691 | LISHER, GINA AMERICAN BALANCED FUND-529A | 0.00 | 6.00 | 92.0 | 0.00 | 5.52 | 0.00 | 5.52 |
| 03/01/2018 | #00085789570 | NYANG, LAMIN AMERICAN BALANCED FUND-529A | 0.00 | 1.17 | 92.0 | 0.00 | 1.08 | 0.00 | 1.08 |
| 03/01/2018 | #00085978086 | RARDIN, JOHN AMERICAN BALANCED FUND-529A | 0.00 | 3.93 | 92.0 | 0.00 | 3.62 | 0.00 | 3.62 |
| 03/01/2018 | #00085978095 | RARDIN, JOHN AMERICAN BALANCED FUND-529A | 0.00 | 2.18 | 92.0 | 0.00 | 2.01 | 0.00 | 2.01 |
| 03/01/2018 | #04000652154 | GRAHAM, TAMMY AMERICAN FDS PORTFOLIO SER GROWTH F | 0.00 | 2.67 | 92.0 | 0.00 | 2.46 | 0.00 | 2.46 |
| 03/01/2018 | #04000652163 | PRICE B J AMERICAN FDS PORTFOLIO SER GROWTH F | 0.00 | 0.63 | 92.0 | 0.00 | 0.58 | 0.00 | 0.58 |
| 03/01/2018 | #04000652169 | WATKINS, AMERICAN FDS PORTFOLIO SER GROWTH F | 0.00 | 0.02 | 92.0 | 0.00 | 0.02 | 0.00 | 0.02 |
| 03/01/2018 | #04000672747 | LISHER, GINA AMERICAN FDS PORTFOLIO SER GROWTH F | 0.00 | 0.03 | 92.0 | 0.00 | 0.03 | 0.00 | 0.03 |
| 03/01/2018 | #04000672757 | SHANNON, AMERICAN FDS PORTFOLIO SER GROWTH F | 0.00 | 0.60 | 92.0 | 0.00 | 0.55 | 0.00 | 0.55 |
| 03/01/2018 | #04000748210 | RALEIGH, GRAHAM AMERICAN FDS PORTFOLIO SER GROWTH F | 0.00 | 0.02 | 92.0 | 0.00 | 0.02 | 0.00 | 0.02 |
| 03/01/2018 | #00089560144 | AMERICAN FUNDS 02629M58 | 0.00 | 0.27 | 92.0 | 0.00 | 0.25 | 0.00 | 0.25 |
| 03/01/2018 | #00089601023 | AMERICAN FUNDS 02629M58 | 0.00 | 0.32 | 92.0 | 0.00 | 0.29 | 0.00 | 0.29 |
| 03/01/2018 | #00086984142 | AMERICAN FUNDS 2010 TARGET DATE-A | 0.00 | 2.72 | 92.0 | 0.00 | 2.50 | 0.00 | 2.50 |
| 03/01/2018 | #00086985099 | LOWNANCYEL AMERICAN FUNDS 2010 TARGET DATE-A | 0.00 | 17.00 | 92.0 | 0.00 | 15.64 | 0.00 | 15.64 |
| 03/01/2018 | #00087552633 | TALBERTLUC AMERICAN FUNDS 2010 TARGET DATE-A | 0.00 | 5.25 | 92.0 | 0.00 | 4.83 | 0.00 | 4.83 |
| 03/01/2018 | #00088050835 | AMERICAN FUNDS 2010 TARGET DATE-A | 0.00 | 0.43 | 92.0 | 0.00 | 0.40 | 0.00 | 0.40 |
| 03/01/2018 | #00087708562 | JONES-WISN AMERICAN FUNDS 2015 TARGET DATE-A | 0.00 | 1.74 | 92.0 | 0.00 | 1.60 | 0.00 | 1.60 |
| 03/01/2018 | #00088046313 | BAUCOMKARA AMERICAN FUNDS 2015 TARGET DATE-A | 0.00 | 4.81 | 92.0 | 0.00 | 4.43 | 0.00 | 4.43 |
| 03/01/2018 | #00088167164 | AMERICAN FUNDS 2015 TARGET DATE-A | 0.00 | 0.97 | 92.0 | 0.00 | 0.89 | 0.00 | 0.89 |
| 03/01/2018 | #04000101404 | AMERICAN FUNDS 2015 TARGET DATE-A | 0.00 | 0.08 | 92.0 | 0.00 | 0.07 | 0.00 | 0.07 |
| 03/01/2018 | #04000101422 | MCGINNISMI AMERICAN FUNDS 2015 TARGET DATE-A | 0.00 | 0.84 | 92.0 | 0.00 | 0.77 | 0.00 | 0.77 |
| 03/01/2018 | #04000101425 | SHIPLEYSAR AMERICAN FUNDS 2015 TARGET DATE-A | 0.00 | 0.70 | 92.0 | 0.00 | 0.64 | 0.00 | 0.64 |
| 03/01/2018 | #04000101439 | GIBBONSHEA AMERICAN FUNDS 2015 TARGET DATE-A | 0.00 | 0.81 | 92.0 | 0.00 | 0.75 | 0.00 | 0.75 |
| 03/01/2018 | #04000652154 | GRAHAM, TAMMY AMERICAN FUNDS 2015 TARGET DATE-A | 0.00 | 5.08 | 92.0 | 0.00 | 4.67 | 0.00 | 4.67 |
| 03/01/2018 | #04000652163 | PRICE B J AMERICAN FUNDS 2015 TARGET DATE-A | 0.00 | 0.84 | 92.0 | 0.00 | 0.77 | 0.00 | 0.77 |
| 03/01/2018 | #04000672757 | SHANNON, AMERICAN FUNDS 2015 TARGET DATE-A | 0.00 | 1.39 | 92.0 | 0.00 | 1.28 | 0.00 | 1.28 |
| 03/01/2018 | #00087552633 | TALBERTLUC AMERICAN FUNDS 2020 TARGET DATE-A | 0.00 | 5.69 | 92.0 | 0.00 | 5.23 | 0.00 | 5.23 |
| 03/01/2018 | #00088050835 | AMERICAN FUNDS 2025 TARGET DATE-A | 0.00 | 0.46 | 92.0 | 0.00 | 0.42 | 0.00 | 0.42 |
| 03/01/2018 | #00086984142 | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00 | 15.15 | 92.0 | 0.00 | 13.94 | 0.00 | 13.94 |
| 03/01/2018 | #00089031414 | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00 | 1.47 | 92.0 | 0.00 | 1.35 | 0.00 | 1.35 |
| 03/01/2018 | #04000652154 | GRAHAM, TAMMY AMERICAN FUNDS 2030 TARGET DATE-A | 0.00 | 3.97 | 92.0 | 0.00 | 3.65 | 0.00 | 3.65 |

COMMISSION STATEMENT for CYNTHIA HERRON

| 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> | | | | | | | | | |
| 03/01/2018 | #04000652163 | PRICE B J | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00 | 0.94 | 92.0 | 0.00 | 0.86 | 0.86 |
| 03/01/2018 | #04000652169 | WATKINS, | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00 | 0.02 | 92.0 | 0.00 | 0.02 | 0.02 |
| 03/01/2018 | #04000672757 | SHANNON, | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00 | 0.89 | 92.0 | 0.00 | 0.82 | 0.82 |
| 03/01/2018 | #00086986934 | KUNKELGRET | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00 | 32.14 | 92.0 | 0.00 | 29.57 | 29.57 |
| 03/01/2018 | #00087552633 | TALBERTLUC | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00 | 8.59 | 92.0 | 0.00 | 7.90 | 7.90 |
| 03/01/2018 | #04000539467 | KELLY, STEVEN | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00 | 2.13 | 92.0 | 0.00 | 1.96 | 1.96 |
| 03/01/2018 | #04000515434 | LEE, CHRISTINA | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00 | 0.49 | 92.0 | 0.00 | 0.45 | 0.45 |
| 03/01/2018 | #04000652154 | GRAHAM, TAMMY | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00 | 1.99 | 92.0 | 0.00 | 1.83 | 1.83 |
| 03/01/2018 | #04000652163 | PRICE B J | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00 | 0.47 | 92.0 | 0.00 | 0.43 | 0.43 |
| 03/01/2018 | #04000652169 | WATKINS, | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00 | 0.01 | 92.0 | 0.00 | 0.01 | 0.01 |
| 03/01/2018 | #04000672757 | SHANNON, | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00 | 0.45 | 92.0 | 0.00 | 0.41 | 0.41 |
| 03/01/2018 | #04000672747 | LISHER, GINA | AMERICAN FUNDS TARGET DATE RETIREME | 0.00 | 0.02 | 92.0 | 0.00 | 0.02 | 0.02 |
| 03/01/2018 | #04000748210 | RALEIGH, GRAHAM | AMERICAN FUNDS TARGET DATE RETIREME | 0.00 | 0.01 | 92.0 | 0.00 | 0.01 | 0.01 |
| 03/01/2018 | #00088050835 | | AMERICAN HIGH INCOME TR SH BEN INT | 0.00 | 0.41 | 92.0 | 0.00 | 0.38 | 0.38 |
| 03/01/2018 | #00088046313 | BAUCOMKARA | AMERICAN MUTUAL FUND INC CLASS A | 0.00 | 4.70 | 92.0 | 0.00 | 4.32 | 4.32 |
| 03/01/2018 | #00085613691 | LISHER, GINA | AMERICAN MUTUAL FUND-529A | 0.00 | 1.51 | 92.0 | 0.00 | 1.39 | 1.39 |
| 03/01/2018 | #00085789570 | NYANG, LAMIN | AMERICAN MUTUAL FUND-529A | 0.00 | 1.67 | 92.0 | 0.00 | 1.54 | 1.54 |
| 03/01/2018 | #00088576061 | DAKEMICHEL | BOND FUND OF AMERICA INC CL A | 0.00 | 0.31 | 92.0 | 0.00 | 0.29 | 0.29 |
| 03/01/2018 | #00085789570 | NYANG, LAMIN | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00 | 1.17 | 92.0 | 0.00 | 1.08 | 1.08 |
| 03/01/2018 | #00085978086 | RARDIN, JOHN | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00 | 2.30 | 92.0 | 0.00 | 2.12 | 2.12 |
| 03/01/2018 | #00088727323 | RUSSELL, JOHN | COLLEGE 2024 FUND 529A | 0.00 | 1.90 | 92.0 | 0.00 | 1.75 | 1.75 |
| 03/01/2018 | #00085515885 | GUITY, NIQUICHE | COLLEGE 2024 FUND-529C | 0.00 | 37.71 | 92.0 | 0.00 | 34.69 | 34.69 |
| 03/01/2018 | #00085515930 | GUITYORBIL | COLLEGE 2027 FUND-529C | 0.00 | 16.45 | 92.0 | 0.00 | 15.13 | 15.13 |
| 03/01/2018 | #00088467617 | GUITY, NIQUICHE | COLLEGE 2030 FUND-529A | 0.00 | 6.07 | 92.0 | 0.00 | 5.58 | 5.58 |
| 03/01/2018 | #00089144766 | | COLLEGE 2030 FUND-529A | 0.00 | 2.49 | 92.0 | 0.00 | 2.29 | 2.29 |
| 03/01/2018 | #00085613691 | LISHER, GINA | FUNDAMENTAL INVESTORS-529A | 0.00 | 1.67 | 92.0 | 0.00 | 1.54 | 1.54 |
| 03/01/2018 | #04000672747 | LISHER, GINA | GLOBAL GROWTH PORTFOLIO-A | 0.00 | 0.03 | 92.0 | 0.00 | 0.03 | 0.03 |
| 03/01/2018 | #04000748210 | RALEIGH, GRAHAM | GLOBAL GROWTH PORTFOLIO-A | 0.00 | 0.02 | 92.0 | 0.00 | 0.02 | 0.02 |
| 03/01/2018 | #00086986934 | KUNKELGRET | GROWTH AND INCOME PORTFOLIO-A | 0.00 | 31.33 | 92.0 | 0.00 | 28.82 | 28.82 |
| 03/01/2018 | #04000652154 | GRAHAM, TAMMY | GROWTH AND INCOME PORTFOLIO-A | 0.00 | 4.64 | 92.0 | 0.00 | 4.27 | 4.27 |
| 03/01/2018 | #04000652163 | PRICE B J | GROWTH AND INCOME PORTFOLIO-A | 0.00 | 1.10 | 92.0 | 0.00 | 1.01 | 1.01 |
| 03/01/2018 | #04000652169 | WATKINS, | GROWTH AND INCOME PORTFOLIO-A | 0.00 | 0.03 | 92.0 | 0.00 | 0.03 | 0.03 |
| 03/01/2018 | #04000672757 | SHANNON, | GROWTH AND INCOME PORTFOLIO-A | 0.00 | 1.04 | 92.0 | 0.00 | 0.96 | 0.96 |
| 03/01/2018 | #00087708562 | JONES-WISN | GROWTH FUND AMERICA INC CLASS A | 0.00 | 3.58 | 92.0 | 0.00 | 3.29 | 3.29 |
| 03/01/2018 | #00087708562 | JONES-WISN | INVESTMENT CO AMER CLASS A | 0.00 | 2.28 | 92.0 | 0.00 | 2.10 | 2.10 |
| 03/01/2018 | #00088050835 | | INVESTMENT CO AMER CLASS A | 0.00 | 0.52 | 92.0 | 0.00 | 0.48 | 0.48 |

COMMISSION STATEMENT for CYNTHIA HERRON

| 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> | | | | | | | | | |
| 03/01/2018 | #04000101795 | BEDDINGFIE | INVESTMENT CO AMER CLASS A | 0.00 | 1.11 | 92.0 | 0.00 | 1.02 | 1.02 |
| 03/01/2018 | #00088050835 | | NEW ECONOMY FUND SBI CLASS A | 0.00 | 1.39 | 92.0 | 0.00 | 1.28 | 1.28 |
| 03/01/2018 | #00085978086 | RARDIN, JOHN | NEW PERSPECTIVE FUND-529A | 0.00 | 3.35 | 92.0 | 0.00 | 3.08 | 3.08 |
| 03/01/2018 | #00085978095 | RARDIN, JOHN | NEW PERSPECTIVE FUND-529A | 0.00 | 1.42 | 92.0 | 0.00 | 1.31 | 1.31 |
| 03/01/2018 | #00088050835 | | NEW WORLD FUND INC NEW | 0.00 | 1.16 | 92.0 | 0.00 | 1.07 | 1.07 |
| 03/01/2018 | #00088576061 | DAKEMICHEL | SMALLCAP WORLD FUND INC CLASS A | 0.00 | 3.08 | 92.0 | 0.00 | 2.83 | 2.83 |
| 03/01/2018 | #00085978086 | RARDIN, JOHN | THE BOND FUND OF AMERICA-529A | 0.00 | 4.59 | 92.0 | 0.00 | 4.22 | 4.22 |
| 03/01/2018 | #00085978086 | RARDIN, JOHN | WASHINGTON MUTUAL INVESTORS FUND-52 | 0.00 | 2.72 | 92.0 | 0.00 | 2.50 | 2.50 |
| 03/01/2018 | #00085978095 | RARDIN, JOHN | WASHINGTON MUTUAL INVESTORS FUND-52 | 0.00 | 0.81 | 92.0 | 0.00 | 0.75 | 0.75 |
| 03/01/2018 | #00088050835 | | WASHINGTON MUTUAL INVS FD CLASS A | 0.00 | 0.50 | 92.0 | 0.00 | 0.46 | 0.46 |
| 03/05/2018 | # | HALL, ERIN | DAIN TRAILER | 65.00 | 3.25 | 92.0 | 0.00 | 2.99 | 2.99 |
| 03/05/2018 | # | RUSSELL, MEREDITH | DAIN TRAILER | 145.00 | 5.80 | 92.0 | 0.00 | 5.34 | 5.34 |
| 03/05/2018 | # | HALL, ERIN | DAIN TRAILER | 65.00 | 2.60 | 92.0 | 0.00 | 2.39 | 2.39 |
| 03/09/2018 | # | BERG, ERIK | DAIN TRAILER | 0.00 | 1.09 | 92.0 | 0.00 | 1.00 | 1.00 |
| 03/09/2018 | # | BERG, ERIK | DAIN TRAILER | 0.00 | 1.10 | 92.0 | 0.00 | 1.01 | 1.01 |
| 03/09/2018 | # | BERG, ERIK | DAIN TRAILER | 0.00 | 0.59 | 92.0 | 0.00 | 0.54 | 0.54 |
| 03/09/2018 | # | HALL, ERIN | DAIN TRAILER | 0.00 | 0.62 | 92.0 | 0.00 | 0.57 | 0.57 |
| 03/09/2018 | # | HALL, ERIN | DAIN TRAILER | 0.00 | 0.64 | 92.0 | 0.00 | 0.59 | 0.59 |
| 03/09/2018 | # | HALL, ERIN | DAIN TRAILER | 0.00 | 0.60 | 92.0 | 0.00 | 0.55 | 0.55 |
| 03/09/2018 | # | WILLIAMS, DARRELL | DAIN TRAILER | 0.00 | 0.27 | 92.0 | 0.00 | 0.25 | 0.25 |
| 03/09/2018 | # | WILLIAMS, DARRELL | DAIN TRAILER | 0.00 | 0.21 | 92.0 | 0.00 | 0.19 | 0.19 |
| 03/09/2018 | # | BOWEN, CHRISTINA | DAIN TRAILER | 0.00 | 0.57 | 92.0 | 0.00 | 0.52 | 0.52 |
| 03/09/2018 | # | BOWEN, CHRISTINA | DAIN TRAILER | 0.00 | 0.24 | 92.0 | 0.00 | 0.22 | 0.22 |
| 03/09/2018 | # | BOWEN, CHRISTINA | DAIN TRAILER | 0.00 | 0.17 | 92.0 | 0.00 | 0.16 | 0.16 |
| 03/09/2018 | # | BOWEN, CHRISTINA | DAIN TRAILER | 0.00 | 0.28 | 92.0 | 0.00 | 0.26 | 0.26 |
| 03/09/2018 | # | WILLIAMS, KERSTIN | DAIN TRAILER | 0.00 | 0.35 | 92.0 | 0.00 | 0.32 | 0.32 |
| 03/09/2018 | # | WILLIAMS, KERSTIN | DAIN TRAILER | 0.00 | 0.19 | 92.0 | 0.00 | 0.17 | 0.17 |
| 03/09/2018 | # | ALBIN, JANETTE | DAIN TRAILER | 0.00 | 2.19 | 92.0 | 0.00 | 2.01 | 2.01 |
| 03/09/2018 | # | ALBIN, JANETTE | DAIN TRAILER | 0.00 | 0.79 | 92.0 | 0.00 | 0.73 | 0.73 |
| 03/09/2018 | # | ALBIN, JANETTE | DAIN TRAILER | 0.00 | 0.22 | 92.0 | 0.00 | 0.20 | 0.20 |
| 03/09/2018 | # | ALBIN, JANETTE | DAIN TRAILER | 0.00 | 0.55 | 92.0 | 0.00 | 0.51 | 0.51 |
| 03/09/2018 | # | GALVAN, DAMIAN | DAIN TRAILER | 0.00 | 3.12 | 92.0 | 0.00 | 2.87 | 2.87 |
| 03/09/2018 | # | GALVAN, DAMIAN | DAIN TRAILER | 0.00 | 0.77 | 92.0 | 0.00 | 0.71 | 0.71 |
| 03/09/2018 | # | GALVAN, DAMIAN | DAIN TRAILER | 0.00 | 0.81 | 92.0 | 0.00 | 0.75 | 0.75 |
| 03/09/2018 | # | BAUM, HARRY | DAIN TRAILER | 0.00 | 3.71 | 92.0 | 0.00 | 3.41 | 3.41 |
| 03/09/2018 | # | BAUM, HARRY | DAIN TRAILER | 0.00 | 1.15 | 92.0 | 0.00 | 1.06 | 1.06 |

COMMISSION STATEMENT for CYNTHIA HERRON

| 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> | | | | | | | | | |
| 03/09/2018 # BAUM, HARRY | | DAIN TRAILER | 0.00 | 6.92 | 92.0 | 0.00 | 6.37 | 0.00 | 6.37 |
| 03/09/2018 # BAUM, HARRY | | DAIN TRAILER | 0.00 | 6.33 | 92.0 | 0.00 | 5.82 | 0.00 | 5.82 |
| 03/09/2018 # DAVIDSON, JANEL | | DAIN TRAILER | 0.00 | 0.47 | 92.0 | 0.00 | 0.43 | 0.00 | 0.43 |
| 03/09/2018 # DAVIDSON, JANEL | | DAIN TRAILER | 0.00 | 0.30 | 92.0 | 0.00 | 0.28 | 0.00 | 0.28 |
| 03/09/2018 # DAVIDSON, JANEL | | DAIN TRAILER | 0.00 | 0.80 | 92.0 | 0.00 | 0.74 | 0.00 | 0.74 |
| 03/09/2018 # MAGARGEE, RAY | | DAIN TRAILER | 0.00 | 0.14 | 92.0 | 0.00 | 0.13 | 0.00 | 0.13 |
| 03/09/2018 # MAGARGEE, RAY | | DAIN TRAILER | 0.00 | 2.45 | 92.0 | 0.00 | 2.25 | 0.00 | 2.25 |
| 03/09/2018 # MAGARGEE, RAY | | DAIN TRAILER | 0.00 | 0.09 | 92.0 | 0.00 | 0.08 | 0.00 | 0.08 |
| 03/09/2018 # MAGARGEE, RAY | | DAIN TRAILER | 0.00 | 2.76 | 92.0 | 0.00 | 2.54 | 0.00 | 2.54 |
| 03/09/2018 # MAGARGEE, RAY | | DAIN TRAILER | 0.00 | 1.18 | 92.0 | 0.00 | 1.09 | 0.00 | 1.09 |
| 03/09/2018 # MAGARGEE, RAY | | DAIN TRAILER | 0.00 | 0.23 | 92.0 | 0.00 | 0.21 | 0.00 | 0.21 |
| 03/09/2018 # AREY, GARRISON | | DAIN TRAILER | 0.00 | 0.19 | 92.0 | 0.00 | 0.17 | 0.00 | 0.17 |
| 03/09/2018 # AREY, GARRISON | | DAIN TRAILER | 0.00 | 0.25 | 92.0 | 0.00 | 0.23 | 0.00 | 0.23 |
| 03/09/2018 # AREY, GARRISON | | DAIN TRAILER | 0.00 | 0.41 | 92.0 | 0.00 | 0.38 | 0.00 | 0.38 |
| 03/09/2018 # AREY, GARRISON | | DAIN TRAILER | 0.00 | 0.07 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 03/09/2018 # AREY, GARRISON | | DAIN TRAILER | 0.00 | 0.03 | 92.0 | 0.00 | 0.03 | 0.00 | 0.03 |
| 03/09/2018 # AREY, GARRISON | | DAIN TRAILER | 0.00 | 0.06 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 03/09/2018 # AREY, GARRISON | | DAIN TRAILER | 0.00 | 0.06 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 03/09/2018 # LANE, JAMES | | DAIN TRAILER | 0.00 | 1.62 | 92.0 | 0.00 | 1.49 | 0.00 | 1.49 |
| 03/09/2018 # LANE, JAMES | | DAIN TRAILER | 0.00 | 0.60 | 92.0 | 0.00 | 0.55 | 0.00 | 0.55 |
| 03/09/2018 # LANE, JAMES | | DAIN TRAILER | 0.00 | 2.67 | 92.0 | 0.00 | 2.46 | 0.00 | 2.46 |
| 03/09/2018 # LANE, JAMES | | DAIN TRAILER | 0.00 | 1.55 | 92.0 | 0.00 | 1.43 | 0.00 | 1.43 |
| 03/09/2018 # LANE, JAMES | | DAIN TRAILER | 0.00 | 0.23 | 92.0 | 0.00 | 0.21 | 0.00 | 0.21 |
| 03/09/2018 # LANE, JAMES | | DAIN TRAILER | 0.00 | 1.11 | 92.0 | 0.00 | 1.02 | 0.00 | 1.02 |
| 03/09/2018 # LANE, JAMES | | DAIN TRAILER | 0.00 | 0.22 | 92.0 | 0.00 | 0.20 | 0.00 | 0.20 |
| 03/09/2018 # LANE, JAMES | | DAIN TRAILER | 0.00 | 3.50 | 92.0 | 0.00 | 3.22 | 0.00 | 3.22 |
| 03/09/2018 # RANSOM, REBA | | DAIN TRAILER | 0.00 | 0.29 | 92.0 | 0.00 | 0.27 | 0.00 | 0.27 |
| 03/09/2018 # RANSOM, REBA | | DAIN TRAILER | 0.00 | 0.68 | 92.0 | 0.00 | 0.63 | 0.00 | 0.63 |
| 03/09/2018 # RANSOM, HERMAN | | DAIN TRAILER | 0.00 | 0.12 | 92.0 | 0.00 | 0.11 | 0.00 | 0.11 |
| 03/09/2018 # RANSOM, HERMAN | | DAIN TRAILER | 0.00 | 0.07 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 03/09/2018 # RANSOM, HERMAN | | DAIN TRAILER | 0.00 | 0.08 | 92.0 | 0.00 | 0.07 | 0.00 | 0.07 |
| 03/09/2018 # RANSOM, HERMAN | | DAIN TRAILER | 0.00 | 0.19 | 92.0 | 0.00 | 0.17 | 0.00 | 0.17 |
| 03/09/2018 # HARRIMAN, DARELL | | DAIN TRAILER | 0.00 | 1.06 | 92.0 | 0.00 | 0.98 | 0.00 | 0.98 |
| 03/09/2018 # HARRIMAN, DARELL | | DAIN TRAILER | 0.00 | 0.18 | 92.0 | 0.00 | 0.17 | 0.00 | 0.17 |
| 03/09/2018 # HARRIMAN, DARELL | | DAIN TRAILER | 0.00 | 1.35 | 92.0 | 0.00 | 1.24 | 0.00 | 1.24 |
| 03/09/2018 # MARCUM, MICHAEL | | DAIN TRAILER | 0.00 | 6.09 | 92.0 | 0.00 | 5.60 | 0.00 | 5.60 |

COMMISSION STATEMENT for CYNTHIA HERRON

| 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> | | | | | | | | | |
| 03/09/2018 | # PENDER, PENNY | DAIN TRAILER | 0.00 | 0.01 | 92.0 | 0.00 | 0.01 | 0.00 | 0.01 |
| 03/09/2018 | # SMITH, MATT | DAIN TRAILER | 0.00 | 0.93 | 92.0 | 0.00 | 0.86 | 0.00 | 0.86 |
| 03/09/2018 | # SMITH, MATT | DAIN TRAILER | 0.00 | 0.92 | 92.0 | 0.00 | 0.85 | 0.00 | 0.85 |
| 03/09/2018 | # SMITH, MATT | DAIN TRAILER | 0.00 | 0.78 | 92.0 | 0.00 | 0.72 | 0.00 | 0.72 |
| 03/09/2018 | # OLSON, SALLY | DAIN TRAILER | 0.00 | 2.66 | 92.0 | 0.00 | 2.45 | 0.00 | 2.45 |
| 03/09/2018 | # OLSON, SALLY | DAIN TRAILER | 0.00 | 1.24 | 92.0 | 0.00 | 1.14 | 0.00 | 1.14 |
| 03/09/2018 | # OLSON, SALLY | DAIN TRAILER | 0.00 | 1.14 | 92.0 | 0.00 | 1.05 | 0.00 | 1.05 |
| 03/09/2018 | # ELL, MICHAEL | DAIN TRAILER | 0.00 | 0.04 | 92.0 | 0.00 | 0.04 | 0.00 | 0.04 |
| 03/09/2018 | # ELL, MICHAEL | DAIN TRAILER | 0.00 | 0.07 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 03/09/2018 | # WILLIAMS, DARRELL | DAIN TRAILER | 0.00 | 0.30 | 92.0 | 0.00 | 0.28 | 0.00 | 0.28 |
| 03/09/2018 | # MOON, MELISSA | DAIN TRAILER | 0.00 | 1.97 | 92.0 | 0.00 | 1.81 | 0.00 | 1.81 |
| 03/09/2018 | # MOON, MELISSA | DAIN TRAILER | 0.00 | 1.32 | 92.0 | 0.00 | 1.21 | 0.00 | 1.21 |
| 03/09/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 6.23 | 92.0 | 0.00 | 5.73 | 0.00 | 5.73 |
| 03/09/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 5.66 | 92.0 | 0.00 | 5.21 | 0.00 | 5.21 |
| 03/09/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 5.87 | 92.0 | 0.00 | 5.40 | 0.00 | 5.40 |
| 03/09/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 1.29 | 92.0 | 0.00 | 1.19 | 0.00 | 1.19 |
| 03/09/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 1.02 | 92.0 | 0.00 | 0.94 | 0.00 | 0.94 |
| 03/09/2018 | # WILKERSON, TERRY | DAIN TRAILER | 0.00 | 0.86 | 92.0 | 0.00 | 0.79 | 0.00 | 0.79 |
| 03/09/2018 | # WILKERSON, TERRY | DAIN TRAILER | 0.00 | 0.43 | 92.0 | 0.00 | 0.40 | 0.00 | 0.40 |
| 03/09/2018 | # WILKERSON, TERRY | DAIN TRAILER | 0.00 | 0.42 | 92.0 | 0.00 | 0.39 | 0.00 | 0.39 |
| 03/09/2018 | # LISHER, GINA | DAIN TRAILER | 0.00 | 0.30 | 92.0 | 0.00 | 0.28 | 0.00 | 0.28 |
| 03/09/2018 | # LISHER, GINA | DAIN TRAILER | 0.00 | 1.32 | 92.0 | 0.00 | 1.21 | 0.00 | 1.21 |
| 03/09/2018 | # LISHER, GINA | DAIN TRAILER | 0.00 | 1.23 | 92.0 | 0.00 | 1.13 | 0.00 | 1.13 |
| 03/09/2018 | # LISHER, GINA | DAIN TRAILER | 0.00 | 1.25 | 92.0 | 0.00 | 1.15 | 0.00 | 1.15 |
| 03/09/2018 | # WARD-MARCUM, KATHLEEN | DAIN TRAILER | 0.00 | 5.47 | 92.0 | 0.00 | 5.03 | 0.00 | 5.03 |
| 03/09/2018 | # WARD-MARCUM, KATHLEEN | DAIN TRAILER | 0.00 | 6.55 | 92.0 | 0.00 | 6.03 | 0.00 | 6.03 |
| 03/09/2018 | # WARD-MARCUM, KATHLEEN | DAIN TRAILER | 0.00 | 5.58 | 92.0 | 0.00 | 5.13 | 0.00 | 5.13 |
| 03/09/2018 | # WARD-MARCUM, KATHLEEN | DAIN TRAILER | 0.00 | 6.36 | 92.0 | 0.00 | 5.85 | 0.00 | 5.85 |
| 03/09/2018 | # WARD-MARCUM, KATHLEEN | DAIN TRAILER | 0.00 | 0.20 | 92.0 | 0.00 | 0.18 | 0.00 | 0.18 |
| 03/09/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 0.05 | 92.0 | 0.00 | 0.05 | 0.00 | 0.05 |
| 03/09/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 0.05 | 92.0 | 0.00 | 0.05 | 0.00 | 0.05 |
| 03/09/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 0.02 | 92.0 | 0.00 | 0.02 | 0.00 | 0.02 |
| 03/09/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 0.54 | 92.0 | 0.00 | 0.50 | 0.00 | 0.50 |
| 03/09/2018 | # MYERS, DAVE | DAIN TRAILER | 0.00 | 0.87 | 92.0 | 0.00 | 0.80 | 0.00 | 0.80 |
| 03/09/2018 | # MYERS, DAVE | DAIN TRAILER | 0.00 | 4.42 | 92.0 | 0.00 | 4.07 | 0.00 | 4.07 |
| 03/09/2018 | # MARCUM, MICHAEL | DAIN TRAILER | 0.00 | 1.44 | 92.0 | 0.00 | 1.32 | 0.00 | 1.32 |

COMMISSION STATEMENT for CYNTHIA HERRON

| 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> | | | | | | | | | |
| 03/09/2018 | # WEEKS, RICHARD LOREN | DAIN TRAILER | 0.00 | 1.54 | 92.0 | 0.00 | 1.42 | 0.00 | 1.42 |
| 03/09/2018 | # WEEKS, RICHARD LOREN | DAIN TRAILER | 0.00 | 3.26 | 92.0 | 0.00 | 3.00 | 0.00 | 3.00 |
| 03/09/2018 | # WEEKS, RICHARD LOREN | DAIN TRAILER | 0.00 | 1.14 | 92.0 | 0.00 | 1.05 | 0.00 | 1.05 |
| 03/09/2018 | # WEEKS, RICHARD LOREN | DAIN TRAILER | 0.00 | 2.12 | 92.0 | 0.00 | 1.95 | 0.00 | 1.95 |
| 03/09/2018 | # WEEKS, RICHARD LOREN | DAIN TRAILER | 0.00 | 1.35 | 92.0 | 0.00 | 1.24 | 0.00 | 1.24 |
| 03/09/2018 | # WATSON, ROSEZENA | DAIN TRAILER | 0.00 | 0.05 | 92.0 | 0.00 | 0.05 | 0.00 | 0.05 |
| 03/09/2018 | # WATSON, ROSEZENA | DAIN TRAILER | 0.00 | 0.03 | 92.0 | 0.00 | 0.03 | 0.00 | 0.03 |
| 03/09/2018 | # WATSON, ROSEZENA | DAIN TRAILER | 0.00 | 0.02 | 92.0 | 0.00 | 0.02 | 0.00 | 0.02 |
| 03/09/2018 | # WATSON, ROSEZENA | DAIN TRAILER | 0.00 | 0.24 | 92.0 | 0.00 | 0.22 | 0.00 | 0.22 |
| 03/09/2018 | # RUSSELL, JOHN | DAIN TRAILER | 0.00 | 2.42 | 92.0 | 0.00 | 2.23 | 0.00 | 2.23 |
| 03/09/2018 | # RUSSELL, JOHN | DAIN TRAILER | 0.00 | 3.01 | 92.0 | 0.00 | 2.77 | 0.00 | 2.77 |
| 03/09/2018 | # RUSSELL, JOHN | DAIN TRAILER | 0.00 | 1.19 | 92.0 | 0.00 | 1.09 | 0.00 | 1.09 |
| 03/09/2018 | # RUSSELL, JOHN | DAIN TRAILER | 0.00 | 3.77 | 92.0 | 0.00 | 3.47 | 0.00 | 3.47 |
| 03/09/2018 | # HARDY, JAMES WILLIAM | DAIN TRAILER | 0.00 | 2.25 | 92.0 | 0.00 | 2.07 | 0.00 | 2.07 |
| 03/09/2018 | # HARDY, JAMES WILLIAM | DAIN TRAILER | 0.00 | 1.24 | 92.0 | 0.00 | 1.14 | 0.00 | 1.14 |
| 03/09/2018 | # RUSSELL, MEREDITH | DAIN TRAILER | 0.00 | 2.70 | 92.0 | 0.00 | 2.48 | 0.00 | 2.48 |
| 03/09/2018 | # RUSSELL, MEREDITH | DAIN TRAILER | 0.00 | 1.97 | 92.0 | 0.00 | 1.81 | 0.00 | 1.81 |
| 03/09/2018 | # RUSSELL, MEREDITH | DAIN TRAILER | 0.00 | 1.94 | 92.0 | 0.00 | 1.78 | 0.00 | 1.78 |
| 03/09/2018 | # NELSON, MIKE | DAIN TRAILER | 0.00 | 0.39 | 92.0 | 0.00 | 0.36 | 0.00 | 0.36 |
| 03/09/2018 | # NYANG, LAMIN | DAIN TRAILER | 0.00 | 0.07 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 03/09/2018 | # LEWANDOWSKI, KIM | DAIN TRAILER | 0.00 | 0.55 | 92.0 | 0.00 | 0.51 | 0.00 | 0.51 |
| 03/09/2018 | # LEWANDOWSKI, KIM | DAIN TRAILER | 0.00 | 0.83 | 92.0 | 0.00 | 0.76 | 0.00 | 0.76 |
| 03/09/2018 | # LEWANDOWSKI, KIM | DAIN TRAILER | 0.00 | 0.30 | 92.0 | 0.00 | 0.28 | 0.00 | 0.28 |
| 03/09/2018 | # LEWANDOWSKI, KIM | DAIN TRAILER | 0.00 | 2.02 | 92.0 | 0.00 | 1.86 | 0.00 | 1.86 |
| 03/09/2018 | # NYANG, LAMIN | DAIN TRAILER | 0.00 | 0.11 | 92.0 | 0.00 | 0.10 | 0.00 | 0.10 |
| 03/09/2018 | # NYANG, LAMIN | DAIN TRAILER | 0.00 | 0.06 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 03/09/2018 | # MOOT, PEGGY | DAIN TRAILER | 0.00 | 1.00 | 92.0 | 0.00 | 0.92 | 0.00 | 0.92 |
| 03/09/2018 | # MOOT, PEGGY | DAIN TRAILER | 0.00 | 1.35 | 92.0 | 0.00 | 1.24 | 0.00 | 1.24 |
| 03/09/2018 | # MOOT, PEGGY | DAIN TRAILER | 0.00 | 0.25 | 92.0 | 0.00 | 0.23 | 0.00 | 0.23 |
| 03/09/2018 | # MOOT, PEGGY | DAIN TRAILER | 0.00 | 0.49 | 92.0 | 0.00 | 0.45 | 0.00 | 0.45 |
| 03/09/2018 | # ARVIN, PEGGY | DAIN TRAILER | 0.00 | 0.88 | 92.0 | 0.00 | 0.81 | 0.00 | 0.81 |
| 03/09/2018 | # ARVIN, PEGGY | DAIN TRAILER | 0.00 | 0.22 | 92.0 | 0.00 | 0.20 | 0.00 | 0.20 |
| 03/09/2018 | # ARVIN, PEGGY | DAIN TRAILER | 0.00 | 0.32 | 92.0 | 0.00 | 0.29 | 0.00 | 0.29 |
| 03/09/2018 | # ARVIN, PEGGY | DAIN TRAILER | 0.00 | 1.19 | 92.0 | 0.00 | 1.09 | 0.00 | 1.09 |
| 03/09/2018 | # HARDY, PATRICIA | DAIN TRAILER | 0.00 | 0.92 | 92.0 | 0.00 | 0.85 | 0.00 | 0.85 |
| 03/09/2018 | # HARDY, PATRICIA | DAIN TRAILER | 0.00 | 0.61 | 92.0 | 0.00 | 0.56 | 0.00 | 0.56 |

COMMISSION STATEMENT for CYNTHIA HERRON

| 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> | | | | | | | | | |
| 03/09/2018 # | EUBANKS, WILLONE | DAIN TRAILER | 0.00 | 0.45 | 92.0 | 0.00 | 0.41 | 0.00 | 0.41 |
| 03/09/2018 # | EUBANKS, WILLONE | DAIN TRAILER | 0.00 | 0.22 | 92.0 | 0.00 | 0.20 | 0.00 | 0.20 |
| 03/09/2018 # | EUBANKS, WILLONE | DAIN TRAILER | 0.00 | 0.21 | 92.0 | 0.00 | 0.19 | 0.00 | 0.19 |
| 03/09/2018 # | NELSON, MIKE | DAIN TRAILER | 0.00 | 0.40 | 92.0 | 0.00 | 0.37 | 0.00 | 0.37 |
| 03/09/2018 # | NELSON, MIKE | DAIN TRAILER | 0.00 | 0.50 | 92.0 | 0.00 | 0.46 | 0.00 | 0.46 |
| 03/09/2018 # | NELSON, MIKE | DAIN TRAILER | 0.00 | 0.62 | 92.0 | 0.00 | 0.57 | 0.00 | 0.57 |
| 03/09/2018 # | NELSON, MIKE | DAIN TRAILER | 0.00 | 2.51 | 92.0 | 0.00 | 2.31 | 0.00 | 2.31 |
| 03/09/2018 # | NELSON, MIKE | DAIN TRAILER | 0.00 | 0.24 | 92.0 | 0.00 | 0.22 | 0.00 | 0.22 |
| 03/09/2018 # | HILTE, MONTY | DAIN TRAILER | 0.00 | 0.06 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 03/09/2018 # | HILTE, MONTY | DAIN TRAILER | 0.00 | 0.04 | 92.0 | 0.00 | 0.04 | 0.00 | 0.04 |
| 03/09/2018 # | HILTE, MONTY | DAIN TRAILER | 0.00 | 0.80 | 92.0 | 0.00 | 0.74 | 0.00 | 0.74 |
| 03/09/2018 # | PEKAREK, MARJAN | DAIN TRAILER | 0.00 | 0.89 | 92.0 | 0.00 | 0.82 | 0.00 | 0.82 |
| 03/09/2018 # | PEKAREK, MARJAN | DAIN TRAILER | 0.00 | 1.17 | 92.0 | 0.00 | 1.08 | 0.00 | 1.08 |
| 03/09/2018 # | PEKAREK, MARJAN | DAIN TRAILER | 0.00 | 0.59 | 92.0 | 0.00 | 0.54 | 0.00 | 0.54 |
| 03/09/2018 # | PEKAREK, MARJAN | DAIN TRAILER | 0.00 | 1.15 | 92.0 | 0.00 | 1.06 | 0.00 | 1.06 |
| 03/09/2018 # | SHANDY, RONNITA | DAIN TRAILER | 0.00 | 0.29 | 92.0 | 0.00 | 0.27 | 0.00 | 0.27 |
| 03/09/2018 # | SHANDY, RONNITA | DAIN TRAILER | 0.00 | 0.19 | 92.0 | 0.00 | 0.17 | 0.00 | 0.17 |
| 03/09/2018 # | SHANDY, RONNITA | DAIN TRAILER | 0.00 | 0.51 | 92.0 | 0.00 | 0.47 | 0.00 | 0.47 |
| 03/09/2018 # | RARDIN, JOHN | DAIN TRAILER | 0.00 | 1.36 | 92.0 | 0.00 | 1.25 | 0.00 | 1.25 |
| 03/09/2018 # | RARDIN, JOHN | DAIN TRAILER | 0.00 | 0.19 | 92.0 | 0.00 | 0.17 | 0.00 | 0.17 |
| 03/09/2018 # | RARDIN, JOHN | DAIN TRAILER | 0.00 | 0.87 | 92.0 | 0.00 | 0.80 | 0.00 | 0.80 |
| 03/09/2018 # | RARDIN, JOHN | DAIN TRAILER | 0.00 | 1.66 | 92.0 | 0.00 | 1.53 | 0.00 | 1.53 |
| 03/09/2018 # | STOUT, KYLE | DAIN TRAILER | 0.00 | 4.47 | 92.0 | 0.00 | 4.11 | 0.00 | 4.11 |
| 03/09/2018 # | STOUT, KYLE | DAIN TRAILER | 0.00 | 6.72 | 92.0 | 0.00 | 6.18 | 0.00 | 6.18 |
| 03/09/2018 # | STOUT, KYLE | DAIN TRAILER | 0.00 | 3.43 | 92.0 | 0.00 | 3.16 | 0.00 | 3.16 |
| 03/09/2018 # | GUITY, NIQUICHE | DAIN TRAILER | 0.00 | 2.69 | 92.0 | 0.00 | 2.47 | 0.00 | 2.47 |
| 03/09/2018 # | GUITY, NIQUICHE | DAIN TRAILER | 0.00 | 0.23 | 92.0 | 0.00 | 0.21 | 0.00 | 0.21 |
| 03/09/2018 # | GUITY, NIQUICHE | DAIN TRAILER | 0.00 | 0.25 | 92.0 | 0.00 | 0.23 | 0.00 | 0.23 |
| 03/09/2018 # | GALVAS, MARIE | DAIN TRAILER | 0.00 | 0.86 | 92.0 | 0.00 | 0.79 | 0.00 | 0.79 |
| 03/09/2018 # | GALVAS, MARIE | DAIN TRAILER | 0.00 | 0.41 | 92.0 | 0.00 | 0.38 | 0.00 | 0.38 |
| 03/12/2018 # | RUSSELL, JOHN | DAIN TRAILER | 100.00 | 4.75 | 92.0 | 0.00 | 4.37 | 0.00 | 4.37 |
| 03/12/2018 # | RUSSELL, MEREDITH | DAIN TRAILER | 100.00 | 5.00 | 92.0 | 0.00 | 4.60 | 0.00 | 4.60 |
| 03/12/2018 # | SMITH, MATT | DAIN TRAILER | 0.00 | 4.63 | 92.0 | 0.00 | 4.26 | 0.00 | 4.26 |
| 03/12/2018 # | RANSOM, HERMAN | DAIN TRAILER | 25.00 | 1.25 | 92.0 | 0.00 | 1.15 | 0.00 | 1.15 |
| 03/12/2018 # | RUSSELL, JOHN | DAIN TRAILER | 100.00 | 5.00 | 92.0 | 0.00 | 4.60 | 0.00 | 4.60 |
| 03/12/2018 # | RUSSELL, JOHN | DAIN TRAILER | 115.00 | 4.60 | 92.0 | 0.00 | 4.23 | 0.00 | 4.23 |

COMMISSION STATEMENT for CYNTHIA HERRON

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

BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | |
|--------------------------------------|--------------|-------------|------------|------|--------|------------|---------|------------|
| 03/12/2018 # RANSOM, HERMAN | DAIN TRAILER | 25.00 | 1.25 | 92.0 | 0.00 | 1.15 | 0.00 | 1.15 |
| 03/15/2018 # LISHER, GINA | DAIN TRAILER | 200.00 | 10.00 | 92.0 | 0.00 | 9.20 | 0.00 | 9.20 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | \$940.00 | \$547.63 | | \$0.00 | \$503.84 | \$0.00 | \$503.84 |
| *** BROKER TRANSACTIONS TOTAL *** | | \$13,894.20 | \$1,764.27 | | \$0.00 | \$1,623.18 | \$40.00 | \$1,583.18 |

ADJUSTMENTS

| | | | | | | | | |
|---------------------------|---|--|--|--|--|--|--|-----------|
| 04/20/2018 | ADMIN FEE: ADMIN FEE | | | | | | | -320.00 |
| 04/20/2018 | E & O INSURANCE: E & O INSURANCE | | | | | | | -179.00 |
| 04/20/2018 | MWWOD:MISCELLANEOUS: WRITE-OFF DEBIT BALANCE | | | | | | | -30.00 |
| 04/20/2018 | MWWOD:MISCELLANEOUS: WRITE-OFF DEBIT BALANCE | | | | | | | -35.00 |
| 04/20/2018 | POSTAGE: POSTAGE FEDEX | | | | | | | -10.56 |
| 04/20/2018 | FINRA: FINRA ANNUAL ASSESMENT FEE | | | | | | | -215.00 |
| 04/20/2018 | DOCUSIGN: DOCUSIGN | | | | | | | -51.00 |
| *** ADJUSTMENTS TOTAL *** | | | | | | | | \$-840.56 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$1,583.18 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-840.56 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|--------------|----------|
| Check Amount | \$742.62 |
|--------------|----------|