

All Companies
STATEMENT
April 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 FUNDS

02/23/2018 #000000007583152	BOYKI	FRANKLIN032	B	50.00	0.50	0.00	0.00	0.50	89.0	0.45
03/05/2018 #000000007583152	BOYKI	FRANKLIN032	B	50.00	0.50	0.00	0.00	0.50	89.0	0.45
03/12/2018 #00089601647	HARRIS	AMERICAN FUNDS 02630Y240	B	60.00	0.60	0.00	0.00	0.60	89.0	0.53
* MUTUAL FUNDS SUBTOTAL *				\$160.00	\$1.60	\$0.00	\$0.00	\$1.60		\$1.43

PRODUCT CATEGORY: STOCKS

02/27/2018 #	MARILYN C HARTMAN TTEE	***APHRIA INC	B	945.00	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	MARILYN C HARTMAN TTEE	***AURORA CANNABIS INC	B	758.90	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	MARILYN C HARTMAN TTEE	***MEDRELEAF CORP	B	1,439.33	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	MARILYN C HARTMAN TTEE	CANOPY GROWTH CORPORATION COM	B	2,023.06	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	HARTMAN, MARILYN	CORBUS PHARMACEUTICALS	B	2,332.50	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	HARTMAN, JAMES	EQUITY RESIDENTIAL	B	5,685.32	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	HARTMAN, MARILYN	FQF TR	S	8,961.83	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	HARTMAN, MARILYN	FQF TR	S	1,016.40	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	HARTMAN, MARILYN	GLOBAL X FUNDS GLOBAL X ROBOTICS &	B	5,061.00	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	MARILYN C HARTMAN TTEE	GW PHARMACEUTICALS PLC ADS	B	5,871.88	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	PLOEN, ALLISON	HEALTHEQUITY INC	B	556.00	0.00	0.00	0.00	0.00	89.0	0.00
02/27/2018 #	MARILYN C HARTMAN TTEE	INTEL CORP	B	5,054.66	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	HARTMAN, MARILYN	PETMED EXPRESS INC	B	4,750.07	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	HARTMAN, MARILYN	POWERSHARES EXCHANGE TRADED	B	8,113.98	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	HARTMAN, MARILYN	POWERSHARES EXCHANGE-TRADED	S	1,516.91	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	HARTMAN, MARILYN	POWERSHARES GLOBAL LISTED	S	1,203.21	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	HARTMAN, JAMES	PROOFPOINT INC	B	5,470.00	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	MARILYN C HARTMAN TTEE	SCOTTS MIRACLE GRO CO	B	4,595.88	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	HARTMAN, MARILYN	SENIOR HSG PPTYS TR	B	3,131.62	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	HARTMAN, MARILYN	SPDR INDEX SHS FDS	S	5,833.12	50.00	19.95	0.00	30.05	89.0	26.74
02/27/2018 #	DITTMANN, TERESE	VANGUARD INDEX FUNDS VANGUARD TOTAL S	S	11,952.57	0.00	0.00	0.00	0.00	89.0	0.00
02/27/2018 #	DITTMANN, TERESE	VANGUARD STAR FD	S	7,661.28	0.00	0.00	0.00	0.00	89.0	0.00
02/27/2018 #	DITTMANN, TERESE	VANGUARD TOTAL BOND MARKET ETF	S	3,184.80	0.00	0.00	0.00	0.00	89.0	0.00
02/27/2018 #	DITTMANN, TERESE	VANGUARD TOTAL INTERNATIONAL BOND E S	S	1,407.38	0.00	0.00	0.00	0.00	89.0	0.00
02/28/2018 #	UDVARDY, IMRE	CLAYMORE EXCHANGE-TRADED FD TR	B	10,007.02	50.00	19.95	0.00	30.05	89.0	26.74

COMMISSION STATEMENT for ERIK EXISTING DODDS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
02/28/2018 #	UDVARDY, IMRE	GUGGENHEIM BULLETSHARES 2019	B	9,999.52	50.00	19.95	0.00	30.05	89.0	26.74
02/28/2018 #	UDVARDY, IMRE	GUGGENHEIM BULLETSHARES 2021	B	9,997.93	50.00	19.95	0.00	30.05	89.0	26.74
03/01/2018 #	GAY, LEO	ISHARES CORE S&P 500 ETF	B	546.50	0.00	0.00	0.00	0.00	89.0	0.00
03/01/2018 #	GAY, LEO	ISHARES TRUST BARCLAYS U S AGGR BON B	B	532.45	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		APPLE INC	B	3,188.70	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		BARCLAYS PLC ADR	B	3,125.52	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		EQUINIX INC COM PAR \$0.001 REIT	B	2,722.44	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		ISHARES IBOXX \$ HIGH YIELD	B	29,943.01	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		ISHARES TRUST DOW JONES US AEROSPAC B	B	2,392.08	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		ISHARES TRUST MSCI EMERGING	B	3,758.04	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		JOHNSON & JOHNSON	B	2,455.51	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		JPMORGAN CHASE & CO	B	2,520.71	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		SECTOR SPDR TRUST	B	7,462.37	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		SECTOR SPDR TRUST SHS BEN INT TECHN B	B	12,553.40	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		SELECT SECTOR SPDR FUND	B	7,584.45	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		SELECT SECTOR SPDR FUND SHS BEN INT B	B	8,738.77	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		SELECT SECTOR SPDR TRUST SHS BEN IN B	B	10,068.68	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		SPDR SER TR S&P BIOTECH ETF	B	5,031.71	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		SPDR SER TR S&P REGL BKG ETF	B	8,717.72	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		SPDR SERIES TRUST	B	4,988.15	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		SPDR SERIES TRUST BARCLAYS HIGH YIE B	B	24,945.23	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		VANGUARD INDEX FUNDS	B	6,339.53	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		VANGUARD INDEX FUNDS SMALL-CAP VALU B	B	2,484.77	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		VANGUARD SECTOR INDEX FDS	B	12,595.63	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		VANGUARD SECTOR INDEX FDS VANGUARD B	B	6,265.80	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		VANGUARD SECTOR INDEX FDS VANGUARD B	B	9,963.38	0.00	0.00	0.00	0.00	89.0	0.00
03/05/2018 #		VANGUARD TAX-MANAGED FD MSCI EAFE E B	B	6,239.96	0.00	0.00	0.00	0.00	89.0	0.00
03/08/2018 #	ISRAEL, PATRICIA	FQF TR	S	2,334.96	30.00	0.00	0.00	30.00	89.0	26.70
03/08/2018 #	ISRAEL, PATRICIA	FQF TR	S	486.98	30.00	0.00	0.00	30.00	89.0	26.70
03/08/2018 #		ISHARES CORE MSCI EMERGING MARKETS	S	526.97	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		***BAIDU INC	S	1,057.84	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		ALIBABA GROUP HOLDING LTD SPONSORED S	S	1,523.86	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		ALPHABET INC CLASS A COMMON STOCK	S	2,306.60	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		ALPHABET INC CLASS C CAPITAL STOCK	S	1,152.10	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		AMAZON.COM INC	S	3,144.26	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		AMERIPRISE FINL INC	S	807.50	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		AMPHENOL CORPORATION CLASS A COM	S	1,294.34	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		APPLE INC	S	1,617.03	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		ARISTA NETWORKS INC COM	S	1,472.70	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		BANK NEW YORK MELLON CORP	S	2,067.57	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
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
03/09/2018 #		BANK OF AMERICA CORP	S	1,930.78	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		BIOGEN IDEC INC	S	570.30	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		BLACKROCK INC	S	2,876.55	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		BLACKSTONE GROUP L P	S	3,369.97	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		BORG WARNER AUTOMOTIVE INC	S	767.40	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		CELGENE CORP	S	924.53	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		COSTCO WHOLESALE CORP-NEW	S	1,871.83	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		DIAMONDBACK ENERGY INC COM	S	770.90	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		EDWARDS LIFESCIENCES CORP	S	1,254.26	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		EOG RES INC	S	1,233.72	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		FACEBOOK INC	S	2,219.55	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		FEDEX CORP	S	1,230.55	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #	EDWARDS, HAROLD	FIRST TR EXCHANGE TRADED FD II	B	533.65	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		FQF TR	S	3,796.64	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		FQF TR	S	742.00	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		GILEAD SCIENCES INC	S	969.39	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		ILLUMINA INC	S	746.71	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		INDEXIQ ETF TR	S	1,695.50	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		INDEXIQ ETF TR	S	1,181.42	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #	MARIANO, DANIELLE	INSTALLED BUILDING PRODUCTS	B	732.60	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #	PLOEN, ALLISON	INSTALLED BUILDING PRODUCTS	B	488.40	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #	SCHNECK, LINDA	ISHARES IBOXX \$ HIGH YIELD	B	8,429.96	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		ISHARES INC	S	4,260.21	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		ISHARES TR	S	703.35	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		ISHARES TR BARCLAYS TREAS INFLATION	S	672.50	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		ISHARES TR FTSE NAREIT RESIDENTIAL	S	908.32	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		ISHARES TRUST ISHARES EDGE MSCI MIN	S	1,764.92	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		ISHARES TRUST ISHARES EDGE MSCI MIN	S	4,670.20	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #	EDWARDS, HAROLD	ISHARES TRUST RUSSELL 2000 INDEX FD B	S	633.15	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		JOHNSON & JOHNSON	S	400.99	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		JPMORGAN CHASE & CO	S	1,415.91	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		LIVE NATION ENTERTAINMENT INC	S	1,082.22	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		MICROSOFT CORP	S	3,949.53	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		MOODYS CORP	S	1,707.10	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		NESTLE SA-SPONSORED ADR REPSTG REGD	S	1,365.70	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		PAYPAL HOLDINGS INC COM	S	1,369.69	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		POWERSHARES EXCHANGE TRADED	S	2,005.02	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		POWERSHARES EXCHANGE-TRADED	S	2,842.95	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		POWERSHARES GLOBAL LISTED	S	818.56	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		PPG INDUSTRIES INC	S	941.12	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
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
03/09/2018 #		PROLOGIS INC	S	1,072.57	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		RAYTHEON CO COM	S	1,072.00	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		RED HAT INC	S	2,618.55	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		REGENERON PHARMACEUTICALS INC	S	1,030.65	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		ROCKWELL AUTOMATION INC	S	1,320.13	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		SCHWAB STRATEGIC TR	S	658.97	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		SPDR INDEX SHS FDS	S	2,486.71	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #	SCHNECK, LINDA	SPDR SERIES TRUST	B	1,400.46	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		SPDR SERIES TRUST	S	650.98	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #	SCHNECK, LINDA	SPDR SERIES TRUST BARCLAYS HIGH YIE B		7,071.48	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		STARBUCKS CORP	S	1,110.08	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		STRYKER CORP	S	1,503.54	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		TESLA INC COMMON STOCK	S	652.88	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		THERMO FISHER SCIENTIFIC INC	S	1,515.50	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		TWITTER INC	S	2,181.48	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		UNITED CONTINENTAL HLDGS INC	S	1,426.45	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		UNITED STS COMMODITY INDEX FD COMMO S		1,492.75	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		UNITEDHEALTH GROUP INC	S	2,037.08	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		VANGUARD INDEX FUNDS	S	914.82	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		VANGUARD INDEX FUNDS VANGUARD HIGH	S	10,925.89	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		VERISK ANALYTICS INC COM	S	1,160.86	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		VISA INC	S	2,992.32	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018 #		VMWARE INC CL A	S	1,877.49	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		BARCLAYS PLC ADR	B	923.52	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		EQUINIX INC COM PAR \$0.001 REIT	B	795.64	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #	MARIANO, DANIELLE	FLOTEK INDUSTRIES INC	B	713.22	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #	MARIANO, DANIELLE	IBERIABANK CORP	S	1,090.08	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #	MARIANO, DANIELLE	INNERWORKINGS INC	B	671.83	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		ISHARES IBOXX \$ HIGH YIELD	B	16,411.98	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		ISHARES TRUST DOW JONES US AEROSPAC B		808.80	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		ISHARES TRUST MSCI EMERGING	B	1,094.28	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #	PLOEN, ALLISON	PROOFPOINT INC	S	593.99	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #	CHU, WILLIAM	PROSHARES ULTRA QQQ	B	141,119.06	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #	CHU, WILLIAM	PROSHARES ULTRA QQQ	B	72,449.52	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #	MARIANO, DANIELLE	SAIA INC	B	229.80	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		SECTOR SPDR TRUST	B	2,174.69	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		SECTOR SPDR TRUST SHS BEN INT TECHN B		3,677.70	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		SELECT SECTOR SPDR FUND	B	2,239.60	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		SELECT SECTOR SPDR FUND SHS BEN INT B		2,589.53	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		SELECT SECTOR SPDR TRUST SHS BEN IN B		2,937.33	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
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
03/12/2018 #		SPDR SER TR S&P BIOTECH ETF	B	1,448.85	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		SPDR SER TR S&P REGL BKG ETF	B	2,595.20	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		SPDR SERIES TRUST	B	2,827.06	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		SPDR SERIES TRUST BARCLAYS HIGH YIE B	B	14,018.00	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		VANGUARD INDEX FUNDS	B	1,820.96	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		VANGUARD INDEX FUNDS SMALL-CAP VALU B	B	672.69	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		VANGUARD SECTOR INDEX FDS	B	3,714.00	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		VANGUARD SECTOR INDEX FDS VANGUARD B	B	1,829.75	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		VANGUARD SECTOR INDEX FDS VANGUARD B	B	2,957.56	0.00	0.00	0.00	0.00	89.0	0.00
03/12/2018 #		VANGUARD TAX-MANAGED FD MSCI EAFE E B	B	1,850.33	0.00	0.00	0.00	0.00	89.0	0.00
03/13/2018 #	MARIANO, DANIELLE	HOULIHAN LOKEY INC	B	1,656.20	0.00	0.00	0.00	0.00	89.0	0.00
03/13/2018 #	PLOEN, ALLISON	HOULIHAN LOKEY INC	B	709.80	0.00	0.00	0.00	0.00	89.0	0.00
03/13/2018 #	MARIANO, DANIELLE	META FINL GROUP INC	B	583.75	0.00	0.00	0.00	0.00	89.0	0.00
03/13/2018 #	MARIANO, DANIELLE	STEVEN MADDEN LTD	S	1,064.33	0.00	0.00	0.00	0.00	89.0	0.00
03/13/2018 #	MARIANO, DANIELLE	TEXAS ROADHOUSE INC	B	707.73	0.00	0.00	0.00	0.00	89.0	0.00
03/13/2018 #	MARIANO, DANIELLE	TTM TECHNOLOGIES INC	B	359.26	0.00	0.00	0.00	0.00	89.0	0.00
03/15/2018 #	MARIANO, DANIELLE	AMERICAN WOODMARK CORP	B	770.70	0.00	0.00	0.00	0.00	89.0	0.00
03/15/2018 #	MARIANO, RUSSELL	CSRA INC COM	S	1,952.40	0.00	0.00	0.00	0.00	89.0	0.00
03/15/2018 #	PLOEN, ALLISON	CSRA INC COM	S	1,911.73	0.00	0.00	0.00	0.00	89.0	0.00
03/15/2018 #	MARIANO, RUSSELL	GRUBHUB INC	S	442.29	0.00	0.00	0.00	0.00	89.0	0.00
03/15/2018 #	NICHOLSON, JAMES	ISHARES U S FINANCIAL SERVICES	B	552.20	0.00	0.00	0.00	0.00	89.0	0.00
03/15/2018 #	MARIANO, DANIELLE	PROOFPOINT INC	S	478.48	0.00	0.00	0.00	0.00	89.0	0.00
03/15/2018 #	NICHOLSON, JAMES	SECTOR SPDR TRUST SBI CONSUMER	B	538.08	0.00	0.00	0.00	0.00	89.0	0.00
03/15/2018 #	MARIANO, RUSSELL	TRIPADVISOR INC	B	654.45	0.00	0.00	0.00	0.00	89.0	0.00
03/15/2018 #	PLOEN, ALLISON	TRIPADVISOR INC	B	567.19	0.00	0.00	0.00	0.00	89.0	0.00
03/15/2018 #	MARIANO, RUSSELL	ULTIMATE SOFTWARE GROUP INC	B	496.12	0.00	0.00	0.00	0.00	89.0	0.00
03/15/2018 #	PLOEN, ALLISON	ULTIMATE SOFTWARE GROUP INC	B	496.12	0.00	0.00	0.00	0.00	89.0	0.00
03/15/2018 #	MARIANO, RUSSELL	VEEVA SYSTEMS INC	B	463.32	0.00	0.00	0.00	0.00	89.0	0.00
03/15/2018 #	MARIANO, RUSSELL	WAGeworks INC	S	272.40	0.00	0.00	0.00	0.00	89.0	0.00
03/15/2018 #	PLOEN, ALLISON	WAGeworks INC	S	227.00	0.00	0.00	0.00	0.00	89.0	0.00
03/16/2018 #	MARIANO, RUSSELL	DOLBY LABORATORIES INC CL A	B	470.10	0.00	0.00	0.00	0.00	89.0	0.00
03/16/2018 #	PLOEN, ALLISON	DOLBY LABORATORIES INC CL A	B	470.31	0.00	0.00	0.00	0.00	89.0	0.00
03/16/2018 #		ISHARES CORE MSCI EMERGING MARKETS	B	534.40	0.00	0.00	0.00	0.00	89.0	0.00
03/16/2018 #		SECTOR SPDR - FINANCIAL	B	581.00	0.00	0.00	0.00	0.00	89.0	0.00
03/16/2018 #	PLOEN, ALLISON	TERADATA CORP	B	505.29	0.00	0.00	0.00	0.00	89.0	0.00
03/19/2018 #	MARIANO, RUSSELL	ACI WORLDWIDE INC	B	280.94	0.00	0.00	0.00	0.00	89.0	0.00
03/19/2018 #		ISHARES IBOXX \$ HIGH YIELD	B	256.37	0.00	0.00	0.00	0.00	89.0	0.00
03/19/2018 #	MARIANO, DANIELLE	LCI INDUSTRIES	S	539.00	0.00	0.00	0.00	0.00	89.0	0.00
03/19/2018 #	PLOEN, ALLISON	LCI INDUSTRIES	S	539.00	0.00	0.00	0.00	0.00	89.0	0.00
03/19/2018 #	MARIANO, DANIELLE	MALIBU BOATS INC	B	638.97	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
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
03/19/2018 #	PLOEN, ALLISON	MALIBU BOATS INC	B	437.19	0.00	0.00	0.00	0.00	89.0	0.00
03/19/2018 #		SECTOR SPDR TRUST SHS BEN INT TECHN B		204.00	0.00	0.00	0.00	0.00	89.0	0.00
03/19/2018 #		SPDR SERIES TRUST BARCLAYS HIGH YIE B		501.86	0.00	0.00	0.00	0.00	89.0	0.00
03/19/2018 #		SPDR SERIES TRUST BARCLAYS HIGH YIE B		215.08	0.00	0.00	0.00	0.00	89.0	0.00
03/19/2018 #	MARIANO, RUSSELL	TERADATA CORP	B	422.18	0.00	0.00	0.00	0.00	89.0	0.00
03/20/2018 #	MARIANO, DANIELLE	***NOVANTA INC	B	392.35	0.00	0.00	0.00	0.00	89.0	0.00
03/20/2018 #	CHU, WILLIAM	BERKSHIRE HATHAWAY INC DEL CL B NEW S		2,661.91	0.00	0.00	0.00	0.00	89.0	0.00
03/20/2018 #	CHU, WILLIAM	EXPRESS SCRIPTS HOLDING	S	2,106.56	0.00	0.00	0.00	0.00	89.0	0.00
03/21/2018 #	MARIANO, DANIELLE	***WRIGHT MEDICAL GROUP N V	S	875.16	0.00	0.00	0.00	0.00	89.0	0.00
03/21/2018 #	DODDS, ERIK	AMAZON.COM INC	S	6,339.20	50.00	19.95	0.00	30.05	89.0	26.74
03/21/2018 #	DODDS, ERIK	COSTCO WHOLESALE CORP-NEW	S	935.51	50.00	19.95	0.00	30.05	89.0	26.74
03/21/2018 #	PICCIONE, CHRISTOPHER	ISHARES INC	S	8,859.94	0.00	0.00	0.00	0.00	89.0	0.00
03/21/2018 #		ISHARES INC	S	2,705.99	0.00	0.00	0.00	0.00	89.0	0.00
03/21/2018 #	MARIANO, RUSSELL	LEGG MASON INC	B	581.53	0.00	0.00	0.00	0.00	89.0	0.00
03/21/2018 #	PLOEN, ALLISON	LEGG MASON INC	B	582.37	0.00	0.00	0.00	0.00	89.0	0.00
03/21/2018 #	MARIANO, DANIELLE	MEDIDATA SOLUTIONS INC	B	802.08	0.00	0.00	0.00	0.00	89.0	0.00
03/21/2018 #	PLOEN, ALLISON	MEDIDATA SOLUTIONS INC	B	597.42	0.00	0.00	0.00	0.00	89.0	0.00
03/21/2018 #	MARIANO, RUSSELL	PRESTIGE BRANDS HLDGS INC	B	440.80	0.00	0.00	0.00	0.00	89.0	0.00
03/21/2018 #	PLOEN, ALLISON	PRESTIGE BRANDS HLDGS INC	B	507.11	0.00	0.00	0.00	0.00	89.0	0.00
03/21/2018 #	PICCIONE, CHRISTOPHER	SECTOR SPDR TRUST	B	7,340.79	0.00	0.00	0.00	0.00	89.0	0.00
03/21/2018 #		SECTOR SPDR TRUST	B	2,064.60	0.00	0.00	0.00	0.00	89.0	0.00
03/21/2018 #	MARIANO, DANIELLE	SPS COMM INC	B	634.38	0.00	0.00	0.00	0.00	89.0	0.00
03/21/2018 #	PLOEN, ALLISON	SPS COMM INC	B	443.43	0.00	0.00	0.00	0.00	89.0	0.00
03/21/2018 #	DODDS, ERIK	STARBUCKS CORP	S	1,180.00	50.00	19.95	0.00	30.05	89.0	26.74
03/22/2018 #	PLOEN, ALLISON	HEALTH EQUITY INC	S	405.00	0.00	0.00	0.00	0.00	89.0	0.00
03/22/2018 #	NICHOLSON, JAMES	ISHARES U S FINANCIAL SERVICES	S	534.44	0.00	0.00	0.00	0.00	89.0	0.00
03/22/2018 #	MARIANO, RUSSELL	MEDIDATA SOLUTIONS INC	S	864.63	0.00	0.00	0.00	0.00	89.0	0.00
03/22/2018 #	PLOEN, ALLISON	MEDIDATA SOLUTIONS INC	S	865.41	0.00	0.00	0.00	0.00	89.0	0.00
03/22/2018 #	NICHOLSON, JAMES	SELECT SECTOR SPDR FUND SHS BEN INT B		493.67	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #	CHU, WILLIAM	BOOKING HOLDINGS INC	S	8,379.04	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #	CHU, WILLIAM	BOOKING HOLDINGS INC	S	4,189.52	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #	MARIANO, RUSSELL	ENVESTNET INC	B	629.75	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #	HOKAMA, WAYSON	ISHARES IBOXX \$ HIGH YIELD	B	594.35	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #		ISHARES IBOXX \$ HIGH YIELD	B	509.45	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #	CHU, WILLIAM	MASTERCARD INC	S	3,638.04	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #	CHU, WILLIAM	NETFLIX COM INC	S	2,120.09	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #	CHU, WILLIAM	POWERSHARES QQQ TRUST	B	133,628.39	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #	CHU, WILLIAM	POWERSHARES QQQ TRUST	B	68,654.59	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #	CHU, WILLIAM	PROSHARES ULTRA QQQ	S	119,732.48	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #	CHU, WILLIAM	PROSHARES ULTRA QQQ	S	61,469.80	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
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
03/23/2018 #	EDWARDS, HAROLD	SECTOR SPDR TRUST SBI CONSUMER	B	569.11	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #		SECTOR SPDR TRUST SHS BEN INT TECHN	B	454.86	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #		SPDR SER TR S&P REGL BKG ETF	B	415.73	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #		SPDR SER TR S&P REGL BKG ETF	B	237.56	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #		VANGUARD SECTOR INDEX FDS	B	272.76	0.00	0.00	0.00	0.00	89.0	0.00
03/23/2018 #	GALLO, SEBASTIANO	VANGUARD SECTOR INDEX FDS VANGUARD	B	397.08	0.00	0.00	0.00	0.00	89.0	0.00
03/26/2018 #	PLOEN, ALLISON	***WRIGHT MEDICAL GROUP N V	S	776.00	0.00	0.00	0.00	0.00	89.0	0.00
03/26/2018 #	MARIANO, DANIELLE	ASPEN TECHNOLOGY INC	S	1,337.56	0.00	0.00	0.00	0.00	89.0	0.00
03/26/2018 #	PLOEN, ALLISON	ASPEN TECHNOLOGY INC	S	944.16	0.00	0.00	0.00	0.00	89.0	0.00
03/26/2018 #	MARIANO, DANIELLE	EAGLE BANCORP INC MD	S	2,057.45	0.00	0.00	0.00	0.00	89.0	0.00
03/26/2018 #	PLOEN, ALLISON	ENVESTNET INC	B	582.50	0.00	0.00	0.00	0.00	89.0	0.00
03/26/2018 #	MARIANO, DANIELLE	MALIBU BOATS INC	B	638.21	0.00	0.00	0.00	0.00	89.0	0.00
03/26/2018 #	PLOEN, ALLISON	MALIBU BOATS INC	B	436.67	0.00	0.00	0.00	0.00	89.0	0.00
03/26/2018 #	MARIANO, DANIELLE	NMI HOLDINGS INC	B	640.58	0.00	0.00	0.00	0.00	89.0	0.00
03/26/2018 #	PLOEN, ALLISON	NMI HOLDINGS INC	B	476.33	0.00	0.00	0.00	0.00	89.0	0.00
03/26/2018 #	MARIANO, DANIELLE	SPS COMM INC	B	629.48	0.00	0.00	0.00	0.00	89.0	0.00
03/26/2018 #	PLOEN, ALLISON	SPS COMM INC	B	440.63	0.00	0.00	0.00	0.00	89.0	0.00
03/26/2018 #	MARIANO, DANIELLE	UNITED COMMUNITY BANKS INC	B	1,254.40	0.00	0.00	0.00	0.00	89.0	0.00
03/26/2018 #	MARIANO, RUSSELL	US BANCORP DEL COM NEW	B	253.69	0.00	0.00	0.00	0.00	89.0	0.00
* STOCKS SUBTOTAL *				\$1,217,838.83	\$1,310.00	\$498.75	\$0.00	\$811.25		\$721.90
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>										
02/08/0018 #000301482	BONVICINI, THOMAS	PRUDETIAL TRAILS	B	0.00	0.39	0.00	0.00	0.39	89.0	0.35
02/08/0018 #000301482	BONVICINI, THOMAS	PRUDETIAL TRAILS	B	0.00	0.39	0.00	0.00	0.39	89.0	0.35
* VARIABLE ANNUITIES SUBTOTAL *				\$0.00	\$0.78	\$0.00	\$0.00	\$0.78		\$0.70
<u>PRODUCT CATEGORY: CERTIFICATES OF DEPOSIT</u>										
03/23/2018 #	HARTMAN, MARILYN	HSBC BK USA N A MC LEAN VA	B	7,000.00	175.00	0.00	0.00	175.00	89.0	155.75
03/23/2018 #		HSBC BK USA N A MC LEAN VA	B	20,000.00	600.00	0.00	0.00	600.00	89.0	534.00
03/26/2018 #		BMO HARRIS BK NATL ASSN	B	25,000.00	562.50	0.00	0.00	562.50	89.0	500.63
* CERTIFICATES OF DEPOSIT SUBTOTAL *				\$52,000.00	\$1,337.50	\$0.00	\$0.00	\$1,337.50		\$1,190.38
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
03/01/2018 #00089192044	MARSH	BALANCED PORTFOLIO-529C	B	0.00	0.74	0.00	0.00	0.74	89.0	0.66
03/01/2018 #00089192056	MARSH	BALANCED PORTFOLIO-529C	B	0.00	0.74	0.00	0.00	0.74	89.0	0.66
03/01/2018 #00089610172	MARSH	BALANCED PORTFOLIO-529C	B	0.00	0.73	0.00	0.00	0.73	89.0	0.65
03/01/2018 #00074284781	GAY, LEO	BALANCED PORTFOLIO-A	B	0.00	2.88	0.00	0.00	2.88	89.0	2.56
03/01/2018 #00088470759	GAMBOAJUAN	GROWTH PORTFOLIO C	B	0.00	24.60	0.00	0.00	24.60	89.0	21.89
03/01/2018 #00088473946	AZZAREL	GROWTH PORTFOLIO C	B	0.00	38.31	0.00	0.00	38.31	89.0	34.10
03/09/2018 #	CHU, WILLIAM	DAIN TRAILER	B	0.00	4.30	0.00	0.00	4.30	89.0	3.83
03/09/2018 #	RYAN, ERICA	DAIN TRAILER	B	0.00	0.30	0.00	0.00	0.30	89.0	0.27

BROKER COMMISSION TOTALS

Broker Transactions	\$2,047.05
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-824.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-39.41
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,183.64
---------------------	-------------------