BROKER

NET

All Companies

LIBERTY PARTNERS

## **STATEMENT** January 20, 2018

INVESTMENT

**JEFF JONES**1601 Mier St

Laredo, TX 78043-

BROKER #: 016

GROSS

BRANCH: LA BRANCH

CLEARING

## COMMISSION STATEMENT for JEFF JONES

|               |                            |                                  |        | INVESTMENT | GRUSS      | CLEARING |         | NET        |        | BRUKER     |
|---------------|----------------------------|----------------------------------|--------|------------|------------|----------|---------|------------|--------|------------|
| TRADE DATE    | CLIENT                     | INVESTMENT                       | B/S    | AMOUNT     | COMMISSION | CHARGE   | POSTAGE | COMMISSION | RATE   | COMMISSION |
|               |                            |                                  |        |            |            |          |         |            |        |            |
|               |                            | BROKER                           | TRANSA | CTIONS     |            |          |         |            |        |            |
| RODUCT CAT    | regory: MUTUAL FUNDS       |                                  |        |            |            |          |         |            |        |            |
| 1/16/2017 #0  | 00088848033 DELTORRER      | INTERMEDIATE BOND FUND OF AMERIC | A-A B  | 75.00      | 1.50       | 0.00     | 0.00    | 1.5        | 0 85.0 | 1.28       |
| 1/16/2017 #0  | 00089128773 VELACESARE     | INVESTMENT CO AMER CL C          | В      | 50.00      | 0.50       | 0.00     | 0.00    | 0.5        | 0 85.0 | 0.43       |
| .1/16/2017 #0 | 00089778964 MILLER, THOMAS | NEW PERSPECTIVE FUND INC CL C    | В      | 250.00     | 2.50       | 0.00     | 0.00    | 2.5        | 0 85.0 | 2.13       |
| .1/16/2017 #0 | 00089128773 VELACESARE     | NEW PERSPECTIVE FUND INC CL C    | В      | 20.00      | 0.20       | 0.00     | 0.00    | 0.2        | 0 85.0 | 0.17       |
| 1/16/2017 #0  | 00089128773 VELACESARE     | NEW WORLD FUND INC NEW CL C      | В      | 20.00      | 0.20       | 0.00     | 0.00    | 0.2        | 0 85.0 | 0.17       |
| 1/16/2017 #0  | 00088848033 DELTORRER      | NEW WORLD FUND INC NEW CL C      | В      | 30.00      | 0.30       | 0.00     | 0.00    | 0.3        | 0 85.0 | 0.26       |
| .1/16/2017 #0 | 00089128773 VELACESARE     | SMALLCAP WORLD FUND INC CL C     | В      | 10.00      | 0.10       | 0.00     | 0.00    | 0.1        | 0 85.0 | 0.09       |
| 1/16/2017 #0  | 00088848033 DELTORRER      | SMALLCAP WORLD FUND INC CL C     | В      | 15.00      | 0.15       | 0.00     | 0.00    | 0.1        | 5 85.0 | 0.13       |
| 1/16/2017 #0  | 00089778964 MILLER, THOMAS | THE NEW ECONOMY FUND-C           | В      | 250.00     | 2.50       | 0.00     | 0.00    | 2.5        | 0 85.0 | 2.13       |
| 1/16/2017 #0  | 00088848033 DELTORRER      | THE NEW ECONOMY FUND-C           | В      | 30.00      | 0.30       | 0.00     | 0.00    | 0.3        | 0 85.0 | 0.26       |
| 1/17/2017 #0  | 00074389206 HUMB, LAUREL   | EURO PAC GROWTH FUND CL C        | В      | 280.27     | 2.80       | 0.00     | 0.00    | 2.8        | 0 85.0 | 2.38       |
| 1/17/2017 #0  | 00074389206 HUMB, LAUREL   | EURO PAC GROWTH FUND CL C        | В      | 278.16     | 2.78       | 0.00     | 0.00    | 2.7        | 8 85.0 | 2.36       |
| 1/17/2017 #0  | 00089051015 VELACESARE     | INVESTMENT CO AMER CL C          | В      | 118.10     | 1.18       | 0.00     | 0.00    | 1.1        | 8 85.0 | 1.00       |
| 1/17/2017 #0  | 00089051015 VELACESARE     | INVESTMENT CO AMER CL C          | В      | 117.21     | 1.17       | 0.00     | 0.00    | 1.1        | 7 85.0 | 0.99       |
| 1/17/2017 #0  | 00088859005 REGALADO, JOSE | INVESTMENT CO AMER CL C          | В      | 103.88     | 1.04       | 0.00     | 0.00    | 1.0        | 4 85.0 | 0.88       |
| 1/17/2017 #0  | 00088859005 REGALADO, JOSE | INVESTMENT CO AMER CL C          | В      | 132.77     | 1.33       | 0.00     | 0.00    | 1.3        | 3 85.0 | 1.13       |
| 1/17/2017 #0  | 00089125404 KELLETJULI     | INVESTMENT CO AMER CLASS A       | В      | 94.29      | 4.71       | 0.00     | 0.00    | 4.7        | 1 85.0 | 4.00       |
| 1/17/2017 #0  | 00089125404 KELLETJULI     | NEW PERSPECTIVE FUND INC CL A    | В      | 37.71      | 1.89       | 0.00     | 0.00    | 1.8        | 9 85.0 | 1.61       |
| .1/17/2017 #0 | 00089051015 VELACESARE     | NEW PERSPECTIVE FUND INC CL C    | В      | 47.24      | 0.47       | 0.00     | 0.00    | 0.4        | 7 85.0 | 0.40       |
| 1/17/2017 #0  | 00089051015 VELACESARE     | NEW PERSPECTIVE FUND INC CL C    | В      | 46.88      | 0.47       | 0.00     | 0.00    | 0.4        | 7 85.0 | 0.40       |
| 1/17/2017 #0  | 00088859005 REGALADO, JOSE | NEW PERSPECTIVE FUND INC CL C    | В      | 41.55      | 0.42       | 0.00     | 0.00    | 0.4        | 2 85.0 | 0.36       |
| 1/17/2017 #0  | 00088859005 REGALADO, JOSE | NEW PERSPECTIVE FUND INC CL C    | В      | 53.11      | 0.53       | 0.00     | 0.00    | 0.5        | 3 85.0 | 0.45       |
| .1/17/2017 #0 | 00089125404 KELLETJULI     | NEW WORLD FUND INC NEW           | В      | 37.71      | 1.89       | 0.00     | 0.00    | 1.8        | 9 85.0 | 1.61       |
| .1/17/2017 #0 | 00089051015 VELACESARE     | NEW WORLD FUND INC NEW CL C      | В      | 47.24      | 0.47       | 0.00     | 0.00    | 0.4        | 7 85.0 | 0.40       |
| 1/17/2017 #0  | 00089051015 VELACESARE     | NEW WORLD FUND INC NEW CL C      | В      | 46.89      | 0.47       | 0.00     | 0.00    | 0.4        | 7 85.0 | 0.40       |
| 1/17/2017 #0  | 00088859005 REGALADO, JOSE | NEW WORLD FUND INC NEW CL C      | В      | 20.77      | 0.21       | 0.00     | 0.00    | 0.2        | 1 85.0 | 0.18       |
| 1/17/2017 #0  | 00088859005 REGALADO, JOSE | NEW WORLD FUND INC NEW CL C      | В      | 26.56      | 0.27       | 0.00     | 0.00    | 0.2        | 7 85.0 | 0.23       |
| 1/17/2017 #0  | 00089051015 VELACESARE     | SMALLCAP WORLD FUND INC CL C     | В      | 23.62      | 0.24       | 0.00     | 0.00    | 0.2        | 4 85.0 | 0.20       |
| 1/17/2017 #0  | 00089051015 VELACESARE     | SMALLCAP WORLD FUND INC CL C     | В      | 23.44      | 0.23       | 0.00     | 0.00    | 0.2        | 3 85.0 | 0.20       |
| 1/17/2017 #0  | 00088859005 REGALADO, JOSE | SMALLCAP WORLD FUND INC CL C     | В      | 41.55      | 0.42       | 0.00     | 0.00    | 0.4        | 2 85.0 | 0.36       |
| 1/17/2017 #0  | 00088859005 REGALADO, JOSE | SMALLCAP WORLD FUND INC CL C     | В      | 53.11      | 0.53       | 0.00     | 0.00    | 0.5        | 3 85.0 | 0.45       |

1/17/2018 Page No. 2

|                             |              | COMMISSION STATEMENT for JEFF JONES |       |            |            |          |         |                 |            |
|-----------------------------|--------------|-------------------------------------|-------|------------|------------|----------|---------|-----------------|------------|
|                             |              |                                     |       | INVESTMENT | GROSS      | CLEARING |         | NET             | BROKER     |
| TRADE DATE CLIENT           |              | INVESTMENT                          | B/S   | AMOUNT     | COMMISSION | CHARGE   | POSTAGE | COMMISSION RATE | COMMISSION |
|                             |              |                                     |       |            |            |          |         |                 |            |
|                             |              | BROKER T                            | 'RANS | ACTIONS    |            |          |         |                 |            |
| PRODUCT CATEGORY: MUTUA     | L FUNDS      |                                     |       |            |            |          |         |                 |            |
| 11/17/2017 #00089125404 KEI | LLETJULI     | SMALLCAP WORLD FUND INC CLASS A     | В     | 18.86      | 0.94       | 0.00     | 0.00    | 0.94 85.0       | 0.80       |
| 11/27/2017 #2000347795 PERI | ZZ, SELINA   | AGGRESSIVEC                         | В     | 0.00       | 0.50       | 0.00     | 0.00    | 0.50 85.0       | 0.43       |
| 11/27/2017 #2000347795 PERI | Z, SELINA    | CONSERVATIVE C                      | В     | 0.00       | 0.50       | 0.00     | 0.00    | 0.50 85.0       | 0.43       |
| 11/27/2017 #000000000026714 | RAMIRJESSB   | FRK GLOBAL REAL ESTATE FUND CLASS   | AB    | 50.00      | 2.50       | 0.00     | 0.00    | 2.50 85.0       | 2.13       |
| 11/30/2017 #00088848033 DEI | TORRER       | INTERMEDIATE BOND FUND OF AMERICA   | -A B  | 75.00      | 1.50       | 0.00     | 0.00    | 1.50 85.0       | 1.28       |
| 11/30/2017 #00089128773 VEI | LACESARE     | INVESTMENT CO AMER CL C             | В     | 50.00      | 0.50       | 0.00     | 0.00    | 0.50 85.0       | 0.43       |
| 11/30/2017 #00089778964 MII | LLER, THOMAS | NEW PERSPECTIVE FUND INC CL C       | В     | 250.00     | 2.50       | 0.00     | 0.00    | 2.50 85.0       | 2.13       |
| 11/30/2017 #00089128773 VEI | LACESARE     | NEW PERSPECTIVE FUND INC CL C       | В     | 20.00      | 0.20       | 0.00     | 0.00    | 0.20 85.0       | 0.17       |
| 11/30/2017 #00089128773 VEI | LACESARE     | NEW WORLD FUND INC NEW CL C         | В     | 20.00      | 0.20       | 0.00     | 0.00    | 0.20 85.0       | 0.17       |
| 11/30/2017 #00088848033 DEI | TORRER       | NEW WORLD FUND INC NEW CL C         | В     | 30.00      | 0.30       | 0.00     | 0.00    | 0.30 85.0       | 0.26       |
| 11/30/2017 #00089128773 VEI | LACESARE     | SMALLCAP WORLD FUND INC CL C        | В     | 10.00      | 0.10       | 0.00     | 0.00    | 0.10 85.0       | 0.09       |
| 11/30/2017 #00088848033 DEI | TORRER       | SMALLCAP WORLD FUND INC CL C        | В     | 15.00      | 0.15       | 0.00     | 0.00    | 0.15 85.0       | 0.13       |
| 11/30/2017 #00089778964 MII | LLER, THOMAS | THE NEW ECONOMY FUND-C              | В     | 250.00     | 2.50       | 0.00     | 0.00    | 2.50 85.0       | 2.13       |
| 11/30/2017 #00088848033 DEI | TORRER       | THE NEW ECONOMY FUND-C              | В     | 30.00      | 0.30       | 0.00     | 0.00    | 0.30 85.0       | 0.26       |
| 12/01/2017 #00074389206 HUN | MB, LAUREL   | EURO PAC GROWTH FUND CL C           | В     | 280.27     | 2.80       | 0.00     | 0.00    | 2.80 85.0       | 2.38       |
| 12/01/2017 #00074389206 HUN | MB, LAUREL   | EURO PAC GROWTH FUND CL C           | В     | 278.16     | 2.78       | 0.00     | 0.00    | 2.78 85.0       | 2.36       |
| 12/01/2017 #00089051015 VEI | LACESARE     | INVESTMENT CO AMER CL C             | В     | 118.10     | 1.18       | 0.00     | 0.00    | 1.18 85.0       | 1.00       |
| 12/01/2017 #00089051015 VEI | LACESARE     | INVESTMENT CO AMER CL C             | В     | 117.21     | 1.17       | 0.00     | 0.00    | 1.17 85.0       | 0.99       |
| 12/01/2017 #00088859005 REG | GALADO, JOSE | INVESTMENT CO AMER CL C             | В     | 103.88     | 1.04       | 0.00     | 0.00    | 1.04 85.0       | 0.88       |
| 12/01/2017 #00088859005 REG | GALADO, JOSE | INVESTMENT CO AMER CL C             | В     | 132.77     | 1.33       | 0.00     | 0.00    | 1.33 85.0       | 1.13       |
| 12/01/2017 #00089125404 KEI | LETJULI      | INVESTMENT CO AMER CLASS A          | В     | 90.65      | 4.53       | 0.00     | 0.00    | 4.53 85.0       | 3.85       |
| 12/01/2017 #00089125404 KEI | LETJULI      | NEW PERSPECTIVE FUND INC CL A       | В     | 36.26      | 1.81       | 0.00     | 0.00    | 1.81 85.0       | 1.54       |
| 12/01/2017 #00089051015 VEI | LACESARE     | NEW PERSPECTIVE FUND INC CL C       | В     | 47.24      | 0.47       | 0.00     | 0.00    | 0.47 85.0       | 0.40       |
| 12/01/2017 #00089051015 VEI | LACESARE     | NEW PERSPECTIVE FUND INC CL C       | В     | 46.88      | 0.47       | 0.00     | 0.00    | 0.47 85.0       | 0.40       |
| 12/01/2017 #00088859005 REG | GALADO, JOSE | NEW PERSPECTIVE FUND INC CL C       | В     | 41.55      | 0.42       | 0.00     | 0.00    | 0.42 85.0       | 0.36       |
| 12/01/2017 #00088859005 REG | GALADO, JOSE | NEW PERSPECTIVE FUND INC CL C       | В     | 53.11      | 0.53       | 0.00     | 0.00    | 0.53 85.0       | 0.45       |
| 12/01/2017 #00089125404 KEI | LETJULI      | NEW WORLD FUND INC NEW              | В     | 36.26      | 1.81       | 0.00     | 0.00    | 1.81 85.0       | 1.54       |
| 12/01/2017 #00089051015 VEI | LACESARE     | NEW WORLD FUND INC NEW CL C         | В     | 47.24      | 0.47       | 0.00     | 0.00    | 0.47 85.0       | 0.40       |
| 12/01/2017 #00089051015 VEI | LACESARE     | NEW WORLD FUND INC NEW CL C         | В     | 46.89      | 0.47       | 0.00     | 0.00    | 0.47 85.0       | 0.40       |
| 12/01/2017 #00088859005 REG | GALADO, JOSE | NEW WORLD FUND INC NEW CL C         | В     | 20.77      | 0.21       | 0.00     | 0.00    | 0.21 85.0       | 0.18       |
| 12/01/2017 #00088859005 REG | GALADO, JOSE | NEW WORLD FUND INC NEW CL C         | В     | 26.56      | 0.27       | 0.00     | 0.00    | 0.27 85.0       | 0.23       |
| 12/01/2017 #00089051015 VEI | LACESARE     | SMALLCAP WORLD FUND INC CL C        | В     | 23.62      | 0.24       | 0.00     | 0.00    | 0.24 85.0       | 0.20       |
| 12/01/2017 #00089051015 VEI | LACESARE     | SMALLCAP WORLD FUND INC CL C        | В     | 23.44      | 0.23       | 0.00     | 0.00    | 0.23 85.0       | 0.20       |
| 12/01/2017 #00088859005 REG | GALADO, JOSE | SMALLCAP WORLD FUND INC CL C        | В     | 41.55      | 0.42       | 0.00     | 0.00    | 0.42 85.0       | 0.36       |
| 12/01/2017 #00088859005 REG | GALADO, JOSE | SMALLCAP WORLD FUND INC CL C        | В     | 53.11      | 0.53       | 0.00     | 0.00    | 0.53 85.0       | 0.45       |
| 12/01/2017 #00089125404 KEI | LETJULI      | SMALLCAP WORLD FUND INC CLASS A     | В     | 18.13      | 0.91       | 0.00     | 0.00    | 0.91 85.0       | 0.77       |
| 12/15/2017 #00074389206 HUN | MB, LAUREL   | EURO PAC GROWTH FUND CL C           | В     | 297.94     | 2.98       | 0.00     | 0.00    | 2.98 85.0       | 2.53       |
| 12/15/2017 #00074389206 HUN | MB, LAUREL   | EURO PAC GROWTH FUND CL C           | В     | 300.20     | 3.00       | 0.00     | 0.00    | 3.00 85.0       | 2.55       |
| 12/15/2017 #00088859005 REG | GALADO, JOSE | INVESTMENT CO AMER CL C             | В     | 132.77     | 1.33       | 0.00     | 0.00    | 1.33 85.0       | 1.13       |

12/15/2017 #00088859005 REGALADO, JOSE INVESTMENT CO AMER CL C B 103.88 1.04 0.00 0.00 1.04 85.0 0.88

01/17/2018 Page No. 3

|             |  |   | THIRNT TOT CHIT CONED |                      |                     |                    |         |                        |                      |  |
|-------------|--|---|-----------------------|----------------------|---------------------|--------------------|---------|------------------------|----------------------|--|
| TRADE DATE  | CLIENT   | INVESTMENT  | B/S                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | POSTAGE | NET<br>COMMISSION RATE | BROKER<br>COMMISSION |  |
|             |  | BROKER T  | DANG                  | A CTT ONG            |                     |                    |         |                        |                      |  |
| DDODUGE GN  | TEGORY: MUTUAL FUNDS                                     | BROKER 1  | KANSI                 | ACTIONS              |                     |                    |         |                        |                      |  |
|             |  | THE COMPTE CO. AMED. CI. C.                                 | -                     | 117 01               | 1 17                | 0 00               | 0.00    | 1 17 05 0              | 0.0                  |  |
|             | 00089051015 VELACESARE                                   | INVESTMENT CO AMER CL C                                     | В                     | 117.21               | 1.17                | 0.00               | 0.00    | 1.17 85.0              | 0.9                  |  |
|             | 00089051015 VELACESARE                                   | INVESTMENT CO AMER CL C                                     | В                     | 118.10               | 1.18                | 0.00               | 0.00    | 1.18 85.0              | 1.0                  |  |
|             | 00089125404 KELLETJULI                                   | INVESTMENT CO AMER CLASS A                                  | B<br>B                | 90.65<br>36.26       | 4.53                | 0.00               | 0.00    | 4.53 85.0              | 3.8<br>1.5           |  |
|             | 00089125404 KELLETJULI                                   | NEW PERSPECTIVE FUND INC CL A                               | В                     | 53.11                | 1.81                | 0.00               | 0.00    | 1.81 85.0<br>0.53 85.0 | 0.4                  |  |
|             | 00088859005 REGALADO, JOSE<br>00088859005 REGALADO, JOSE | NEW PERSPECTIVE FUND INC CL C NEW PERSPECTIVE FUND INC CL C | В                     | 41.55                | 0.42                | 0.00               | 0.00    | 0.42 85.0              | 0.4                  |  |
|             |  |   |                       | 46.88                |                     |                    |         |                        | 0.3                  |  |
|             | 00089051015 VELACESARE                                   | NEW PERSPECTIVE FUND INC CL C                               | В                     |                      | 0.47                | 0.00               | 0.00    | 0.47 85.0<br>0.47 85.0 |                      |  |
|             | 00089051015 VELACESARE                                   | NEW HODER FUND INC CL C                                     | В                     | 47.24<br>36.26       | 0.47                | 0.00               | 0.00    |                        | 0.4                  |  |
|             | 00089125404 KELLETJULI                                   | NEW WORLD FUND INC NEW CL C                                 | В                     |                      | 1.81                | 0.00               | 0.00    | 1.81 85.0              |                      |  |
|             | 00088859005 REGALADO, JOSE                               | NEW WORLD FUND INC NEW CL C                                 | В                     | 26.56<br>20.77       | 0.27                | 0.00               | 0.00    | 0.27 85.0              | 0.2                  |  |
|             | 00088859005 REGALADO, JOSE                               | NEW WORLD FUND INC NEW CL C                                 | В                     |                      | 0.21                | 0.00               | 0.00    | 0.21 85.0              | 0.1                  |  |
|             | 00089051015 VELACESARE                                   | NEW WORLD FUND INC NEW CL C                                 | В                     | 46.89                | 0.47                | 0.00               | 0.00    | 0.47 85.0              | 0.4                  |  |
|             | 00089051015 VELACESARE                                   | NEW WORLD FUND INC NEW CL C                                 | В                     | 47.24                | 0.47                | 0.00               | 0.00    | 0.47 85.0              | 0.4                  |  |
|             | 00088859005 REGALADO, JOSE                               | SMALLCAP WORLD FUND INC CL C                                | В                     | 53.11                | 0.53                | 0.00               | 0.00    | 0.53 85.0              | 0.                   |  |
|             | 00088859005 REGALADO, JOSE                               | SMALLCAP WORLD FUND INC CL C                                | В                     | 41.55                | 0.42                | 0.00               | 0.00    | 0.42 85.0              | 0.                   |  |
|             | 00089051015 VELACESARE                                   | SMALLCAP WORLD FUND INC CL C                                | В                     | 23.44                | 0.23                | 0.00               | 0.00    | 0.23 85.0              | 0.                   |  |
|             | 00089051015 VELACESARE                                   | SMALLCAP WORLD FUND INC CL C                                | В                     | 23.62                | 0.24                | 0.00               | 0.00    | 0.24 85.0              | 0.                   |  |
|             | 00089125404 KELLETJULI                                   | SMALLCAP WORLD FUND INC CLASS A                             | В                     | 18.13                | 0.91                | 0.00               | 0.00    | 0.91 85.0              | 0.                   |  |
|             | 00088848033 DELTORRER                                    | INTERMEDIATE BOND FUND OF AMERICA                           |                       | 75.00                | 1.50                | 0.00               | 0.00    | 1.50 85.0              | 1.                   |  |
|             | 00089128773 VELACESARE                                   | INVESTMENT CO AMER CL C                                     | В                     | 50.00                | 0.50                | 0.00               | 0.00    | 0.50 85.0              | 0.                   |  |
|             | 00089128773 VELACESARE                                   | NEW PERSPECTIVE FUND INC CL C                               | В                     | 20.00                | 0.20                | 0.00               | 0.00    | 0.20 85.0              | 0.1                  |  |
|             | 00089778964 MILLER, THOMAS                               | NEW PERSPECTIVE FUND INC CL C                               | В                     | 250.00               | 2.50                | 0.00               | 0.00    | 2.50 85.0              | 2.                   |  |
|             | 00088848033 DELTORRER                                    | NEW WORLD FUND INC NEW CL C                                 | В                     | 30.00                | 0.30                | 0.00               | 0.00    | 0.30 85.0              | 0.2                  |  |
|             | 00089128773 VELACESARE                                   | NEW WORLD FUND INC NEW CL C                                 | В                     | 20.00                | 0.20                | 0.00               | 0.00    | 0.20 85.0              | 0.1                  |  |
|             | 00088848033 DELTORRER                                    | SMALLCAP WORLD FUND INC CL C                                | В                     | 15.00                | 0.15                | 0.00               | 0.00    | 0.15 85.0              | 0.1                  |  |
|             | 00089128773 VELACESARE                                   | SMALLCAP WORLD FUND INC CL C                                | В                     | 10.00                | 0.10                | 0.00               | 0.00    | 0.10 85.0              | 0.0                  |  |
|             | 00088848033 DELTORRER                                    | THE NEW ECONOMY FUND C                                      | В                     | 30.00                | 0.30                | 0.00               | 0.00    | 0.30 85.0              | 0.                   |  |
|             | 00089778964 MILLER, THOMAS                               | THE NEW ECONOMY FUND-C                                      | В                     | 250.00               | 2.50                | 0.00               | 0.00    | 2.50 85.0              | 2.                   |  |
|             | 00074389206 HUMB, LAUREL                                 | EURO PAC GROWTH FUND CL C                                   | В                     | 248.13               | 2.48                | 0.00               | 0.00    | 2.48 85.0              | 2.1                  |  |
|             | 00074389206 HUMB, LAUREL                                 | EURO PAC GROWTH FUND CL C                                   | В                     | 250.01               | 2.50                | 0.00               | 0.00    | 2.50 85.0              | 2.                   |  |
|             | 00088848033 DELTORRER                                    | INTERMEDIATE BOND FUND OF AMERICA                           |                       | 75.00                | 1.50                | 0.00               | 0.00    | 1.50 85.0              | 1.                   |  |
|             | 00088859005 REGALADO, JOSE                               | INVESTMENT CO AMER CL C                                     | В                     | 132.77               | 1.33                | 0.00               | 0.00    | 1.33 85.0              | 1.                   |  |
|             | 00088859005 REGALADO, JOSE                               | INVESTMENT CO AMER CL C                                     | В                     | 103.88               | 1.04                | 0.00               | 0.00    | 1.04 85.0              | 0.                   |  |
|             | 00089051015 VELACESARE                                   | INVESTMENT CO AMER CL C                                     | В                     | 117.21               | 1.17                | 0.00               | 0.00    | 1.17 85.0              | 0.                   |  |
|             | 00089051015 VELACESARE                                   | INVESTMENT CO AMER CL C                                     | В                     | 118.10               | 1.18                | 0.00               | 0.00    | 1.18 85.0              | 1.                   |  |
|             | 00089128773 VELACESARE                                   | INVESTMENT CO AMER CL C                                     | В                     | 50.00                | 0.50                | 0.00               | 0.00    | 0.50 85.0              | 0.4                  |  |
|             | 00089125404 KELLETJULI                                   | INVESTMENT CO AMER CLASS A                                  | В                     | 90.65                | 4.53                | 0.00               | 0.00    | 4.53 85.0              | 3.                   |  |
|             | 00089125404 KELLETJULI                                   | NEW PERSPECTIVE FUND INC CL A                               | В                     | 36.26                | 1.81                | 0.00               | 0.00    | 1.81 85.0              | 1.5                  |  |
|             | 00088859005 REGALADO, JOSE                               | NEW PERSPECTIVE FUND INC CL C                               | В                     | 53.11                | 0.53                | 0.00               | 0.00    | 0.53 85.0              | 0.                   |  |
| 2/20/2017 # | 00088859005 REGALADO, JOSE                               | NEW PERSPECTIVE FUND INC CL C                               | В                     | 41.55                | 0.42                | 0.00               | 0.00    | 0.42 85.0              | 0.                   |  |

COMMISSION STATEMENT for JEFF JONES

| TRADE DATE CLIENT                      | INVESTMENT                         | B/S  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | POSTAGE | NET<br>COMMISSION RATE | BROKER<br>COMMISSION |
|--|------------------------------------|------|----------------------|---------------------|--------------------|---------|------------------------|----------------------|
|  | BROKER TE                          | RANS | ACTIONS              |                     |                    |         |                        |                      |
| PRODUCT CATEGORY: MUTUAL FUNDS         |                                    |      |                      |                     |                    |         |                        |                      |
| 12/20/2017 #00089051015 VELACESARE     | NEW PERSPECTIVE FUND INC CL C      | В    | 46.88                | 0.47                | 0.00               | 0.00    | 0.47 85.0              | 0.40                 |
| 12/20/2017 #00089051015 VELACESARE     | NEW PERSPECTIVE FUND INC CL C      | В    | 47.24                | 0.47                | 0.00               | 0.00    | 0.47 85.0              | 0.40                 |
| 12/20/2017 #00089128773 VELACESARE     | NEW PERSPECTIVE FUND INC CL C      | В    | 20.00                | 0.20                | 0.00               | 0.00    | 0.20 85.0              | 0.17                 |
| 12/20/2017 #00089778964 MILLER, THOMAS | NEW PERSPECTIVE FUND INC CL C      | В    | 250.00               | 2.50                | 0.00               | 0.00    | 2.50 85.0              | 2.13                 |
| 12/20/2017 #00089125404 KELLETJULI     | NEW WORLD FUND INC NEW             | В    | 36.26                | 1.81                | 0.00               | 0.00    | 1.81 85.0              | 1.54                 |
| 12/20/2017 #00088848033 DELTORRER      | NEW WORLD FUND INC NEW CL C        | В    | 30.00                | 0.30                | 0.00               | 0.00    | 0.30 85.0              | 0.26                 |
| 12/20/2017 #00088859005 REGALADO, JOSE | NEW WORLD FUND INC NEW CL C        | В    | 26.56                | 0.27                | 0.00               | 0.00    | 0.27 85.0              | 0.23                 |
| 12/20/2017 #00088859005 REGALADO, JOSE | NEW WORLD FUND INC NEW CL C        | В    | 20.77                | 0.21                | 0.00               | 0.00    | 0.21 85.0              | 0.18                 |
| 12/20/2017 #00089051015 VELACESARE     | NEW WORLD FUND INC NEW CL C        | В    | 46.89                | 0.47                | 0.00               | 0.00    | 0.47 85.0              | 0.40                 |
| 12/20/2017 #00089051015 VELACESARE     | NEW WORLD FUND INC NEW CL C        | В    | 47.24                | 0.47                | 0.00               | 0.00    | 0.47 85.0              | 0.40                 |
| 12/20/2017 #00089128773 VELACESARE     | NEW WORLD FUND INC NEW CL C        | В    | 20.00                | 0.20                | 0.00               | 0.00    | 0.20 85.0              | 0.17                 |
| 12/20/2017 #00088848033 DELTORRER      | SMALLCAP WORLD FUND INC CL C       | В    | 15.00                | 0.15                | 0.00               | 0.00    | 0.15 85.0              | 0.13                 |
| 12/20/2017 #00088859005 REGALADO, JOSE | SMALLCAP WORLD FUND INC CL C       | В    | 53.11                | 0.53                | 0.00               | 0.00    | 0.53 85.0              | 0.45                 |
| 12/20/2017 #00088859005 REGALADO, JOSE | SMALLCAP WORLD FUND INC CL C       | В    | 41.55                | 0.42                | 0.00               | 0.00    | 0.42 85.0              | 0.36                 |
| 12/20/2017 #00089051015 VELACESARE     | SMALLCAP WORLD FUND INC CL C       | В    | 23.44                | 0.23                | 0.00               | 0.00    | 0.23 85.0              | 0.20                 |
| 12/20/2017 #00089051015 VELACESARE     | SMALLCAP WORLD FUND INC CL C       | В    | 23.62                | 0.24                | 0.00               | 0.00    | 0.24 85.0              | 0.20                 |
| 12/20/2017 #00089128773 VELACESARE     | SMALLCAP WORLD FUND INC CL C       | В    | 10.00                | 0.10                | 0.00               | 0.00    | 0.10 85.0              | 0.09                 |
| 12/20/2017 #00089125404 KELLETJULI     | SMALLCAP WORLD FUND INC CLASS A    | В    | 18.13                | 0.91                | 0.00               | 0.00    | 0.91 85.0              | 0.77                 |
| 12/20/2017 #00088848033 DELTORRER      | THE NEW ECONOMY FUND-C             | В    | 30.00                | 0.30                | 0.00               | 0.00    | 0.30 85.0              | 0.26                 |
| 12/20/2017 #00089778964 MILLER, THOMAS | THE NEW ECONOMY FUND-C             | В    | 250.00               | 2.50                | 0.00               | 0.00    | 2.50 85.0              | 2.13                 |
| 12/26/2017 #000000000026714 RAMIRJESSB | FRK GLOBAL REAL ESTATE FUND CLASS  | ΑВ   | 50.00                | 2.50                | 0.00               | 0.00    | 2.50 85.0              | 2.13                 |
|  | * MUTUAL FUNDS SUBTOTAL            | *    | \$9,821.29           | \$135.53            | \$0.00             | \$0.00  | \$135.53               | \$115.36             |
| PRODUCT CATEGORY: VARIABLE ANNUITI     | ES                                 |      |                      |                     |                    |         |                        |                      |
| 11/30/2017 #1098000000 DEL NORTE,      | JOHN HANCOCK ARA                   | В    | 0.00                 | 177.53              | 0.00               | 0.00    | 177.53 85.0            | 150.90               |
| 12/01/2017 #702155 BARRERA, ADRIANA    | JOHN HANCOCK LIFE-TRAILS           | В    | 0.00                 | 55.92               | 0.00               | 0.00    | 55.92 85.0             | 47.53                |
|  | * VARIABLE ANNUITIES SUBTOTAL      | *    | \$0.00               | \$233.45            | \$0.00             | \$0.00  | \$233.45               | \$198.43             |
| PRODUCT CATEGORY: MUTUAL FUND 12B1     | TRAILS                             |      |                      |                     |                    |         |                        |                      |
| 12/01/2017 #00089114280                | 2025 TARGET DATE RETIRMENT         | В    | 0.00                 | 45.87               | 0.00               | 0.00    | 45.87 85.0             | 38.99                |
| 12/01/2017 #00089114571                | AMCAP FUND INC CLASS A             | В    | 0.00                 | 6.84                | 0.00               | 0.00    | 6.84 85.0              | 5.81                 |
| 12/01/2017 #00062954437                | AMERICAN BALANCED FUND INC CLASS A | В    | 0.00                 | 37.63               | 0.00               | 0.00    | 37.63 85.0             | 31.99                |
| 12/01/2017 #00089114280                | AMERICAN BALANCED FUND INC CLASS A | В    | 0.00                 | 11.09               | 0.00               | 0.00    | 11.09 85.0             | 9.43                 |
| 12/01/2017 #00089114325                | AMERICAN BALANCED FUND INC CLASS A | В    | 0.00                 | 10.92               | 0.00               | 0.00    | 10.92 85.0             | 9.28                 |
| 12/01/2017 #00074389206 HUMB, LAUREL   | BOND FUND AMER INC CL C            | В    | 0.00                 | 17.10               | 0.00               | 0.00    | 17.10 85.0             | 14.54                |
| 12/01/2017 #00075088110                | BOND FUND AMER INC CL C            | В    | 0.00                 | 90.33               | 0.00               | 0.00    | 90.33 85.0             | 76.78                |
| 12/01/2017 #00074389206 HUMB, LAUREL   | BOND FUND AMER INC CL F1           | В    | 0.00                 | 4.56                | 0.00               | 0.00    | 4.56 85.0              | 3.88                 |
| 12/01/2017 #00075088110                | BOND FUND AMER INC CL F1           | В    | 0.00                 | 3.70                | 0.00               | 0.00    | 3.70 85.0              | 3.15                 |
| 12/01/2017 #00089114280                | BOND FUND OF AMERICA INC CL A      | В    | 0.00                 | 7.80                | 0.00               | 0.00    | 7.80 85.0              | 6.63                 |
| 12/01/2017 #00089114571                | BOND FUND OF AMERICA INC CL A      | В    | 0.00                 | 5.34                | 0.00               | 0.00    | 5.34 85.0              | 4.54                 |

Page No. 4

12/01/2017 #00067095603

Page No. 01/17/2018

|               |                             | COMMISSION STATEMENT for JEFF JONES |     |                      |                     |                    |         |                   |      |                      |
|---------------|-----------------------------|-------------------------------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
| TRADE DATE    | CLIENT                      | INVESTMENT                          | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | POSTAGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|               |                             |                                     |     |                      |                     |                    |         |                   |      |                      |
|               |                             | BROKER TR                           | ANS | ACTIONS              |                     |                    |         |                   |      |                      |
| PRODUCT CAT   | EGORY: MUTUAL FUND 12B1 T   | TRAILS                              |     |                      |                     |                    |         |                   |      |                      |
| 12/01/2017 #0 | 00058430593                 | CAPITAL WORLD GROWTH & INCOME FUND  | В   | 0.00                 | 7.76                | 0.00               | 0.00    | 7.76              | 85.0 | 6.60                 |
| 12/01/2017 #0 | 00062624441                 | CAPITAL WORLD GROWTH & INCOME FUND  | В   | 0.00                 | 28.30               | 0.00               | 0.00    | 28.30             | 85.0 | 24.06                |
| 12/01/2017 #0 | 00074389206 HUMB, LAUREL    | EURO PAC GROWTH FUND CL C           | В   | 0.00                 | 311.17              | 0.00               | 0.00    | 311.17            | 85.0 | 264.49               |
| 12/01/2017 #0 | 00074389206 HUMB, LAUREL    | EURO PAC GROWTH FUND CL F1          | В   | 0.00                 | 1.14                | 0.00               | 0.00    | 1.14              | 85.0 | 0.97                 |
| 12/01/2017 #0 | 00058337242 RAMIREZ, J      | EURO PACIFIC GROWTH FUND CLASS A    | В   | 0.00                 | 10.46               | 0.00               | 0.00    | 10.46             | 85.0 | 8.89                 |
| 12/01/2017 #0 | 00058698238                 | EURO PACIFIC GROWTH FUND CLASS A    | В   | 0.00                 | 169.14              | 0.00               | 0.00    | 169.14            | 85.0 | 143.77               |
| 12/01/2017 #0 | 00059045508                 | EURO PACIFIC GROWTH FUND CLASS A    | В   | 0.00                 | 14.58               | 0.00               | 0.00    | 14.58             | 85.0 | 12.39                |
| 12/01/2017 #0 | 00089114280                 | EURO PACIFIC GROWTH FUND CLASS A    | В   | 0.00                 | 6.76                | 0.00               | 0.00    | 6.76              | 85.0 | 5.75                 |
| 12/01/2017 #0 | 00089114571                 | EURO PACIFIC GROWTH FUND CLASS A    | В   | 0.00                 | 10.61               | 0.00               | 0.00    | 10.61             | 85.0 | 9.02                 |
| 12/01/2017 #0 | 00085834157                 | EURO PACIFIC GROWTH FUND CLASS A    | В   | 0.00                 | 4.96                | 0.00               | 0.00    | 4.96              | 85.0 | 4.22                 |
| 12/01/2017 #0 | 00089114325                 | FUNDAMENTAL INVESTORS INC CLASS A   | В   | 0.00                 | 6.68                | 0.00               | 0.00    | 6.68              | 85.0 | 5.68                 |
| 12/01/2017 #0 | 00085937930                 | FUNDAMENTAL INVESTORS INC CLASS A   | В   | 0.00                 | 16.45               | 0.00               | 0.00    | 16.45             | 85.0 | 13.98                |
| 12/01/2017 #0 | 00089813958                 | FUNDAMENTAL INVS INC CL C           | В   | 0.00                 | 10.22               | 0.00               | 0.00    | 10.22             | 85.0 | 8.69                 |
| 12/01/2017 #0 | 4000592877 ZUNIGA, FERNANDO | GROWTH FUND AMERICA INC CLASS A     | В   | 0.00                 | 0.27                | 0.00               | 0.00    | 0.27              | 85.0 | 0.23                 |
| 12/01/2017 #0 | 00058698238                 | GROWTH FUND AMERICA INC CLASS A     | В   | 0.00                 | 285.55              | 0.00               | 0.00    | 285.55            | 85.0 | 242.72               |
| 12/01/2017 #0 | 00089114280                 | GROWTH FUND AMERICA INC CLASS A     | В   | 0.00                 | 9.75                | 0.00               | 0.00    | 9.75              | 85.0 | 8.29                 |
| 12/01/2017 #0 | 00089114571                 | GROWTH FUND AMERICA INC CLASS A     | В   | 0.00                 | 23.62               | 0.00               | 0.00    | 23.62             | 85.0 | 20.08                |
| 12/01/2017 #0 | 00089114325                 | INCOME FUND OF AMERICA INC CLASS A  | В   | 0.00                 | 7.61                | 0.00               | 0.00    | 7.61              | 85.0 | 6.47                 |
| 12/01/2017 #0 | 00088848033 DELTORRER       | INTERMEDIATE BOND FUND OF AMERICA-  | AВ  | 0.00                 | 0.20                | 0.00               | 0.00    | 0.20              | 85.0 | 0.17                 |
| 12/01/2017 #0 | 00084419230 MELENDEZ, JA    | INTERNATIONAL GROWTH AND INCOME-A   | В   | 0.00                 | 3.34                | 0.00               | 0.00    | 3.34              | 85.0 | 2.84                 |
| 12/01/2017 #0 | 00074389206 HUMB, LAUREL    | INVESTMENT CO AMER CL C             | В   | 0.00                 | 33.42               | 0.00               | 0.00    | 33.42             | 85.0 | 28.41                |
| 12/01/2017 #0 | 00088859005 REGALADO, JOSE  | INVESTMENT CO AMER CL C             | В   | 0.00                 | 203.61              | 0.00               | 0.00    | 203.61            | 85.0 | 173.07               |
| 12/01/2017 #0 | 00089051015 VELACESARE      | INVESTMENT CO AMER CL C             | В   | 0.00                 | 132.37              | 0.00               | 0.00    | 132.37            | 85.0 | 112.51               |
| 12/01/2017 #0 | 00089128773 VELACESARE      | INVESTMENT CO AMER CL C             | В   | 0.00                 | 18.79               | 0.00               | 0.00    | 18.79             | 85.0 | 15.97                |
| 12/01/2017 #0 | 00075088110                 | INVESTMENT CO AMER CL C             | В   | 0.00                 | 142.27              | 0.00               | 0.00    | 142.27            | 85.0 | 120.93               |
| 12/01/2017 #0 | 00089125404 KELLETJULI      | INVESTMENT CO AMER CLASS A          | В   | 0.00                 | 1.67                | 0.00               | 0.00    | 1.67              | 85.0 | 1.42                 |
| 12/01/2017 #0 | 00058698238                 | INVESTMENT CO AMER CLASS A          | В   | 0.00                 | 206.03              | 0.00               | 0.00    | 206.03            | 85.0 | 175.13               |
| 12/01/2017 #0 | 00059045508                 | INVESTMENT CO AMER CLASS A          | В   | 0.00                 | 26.45               | 0.00               | 0.00    | 26.45             | 85.0 | 22.48                |
| 12/01/2017 #0 | 00089114280                 | INVESTMENT CO AMER CLASS A          | В   | 0.00                 | 29.08               | 0.00               | 0.00    | 29.08             | 85.0 | 24.72                |
| 12/01/2017 #0 | 00089114571                 | INVESTMENT CO AMER CLASS A          | В   | 0.00                 | 21.27               | 0.00               | 0.00    | 21.27             | 85.0 | 18.08                |
| 12/01/2017 #0 | 00085834157                 | INVESTMENT CO AMER CLASS A          | В   | 0.00                 | 11.69               | 0.00               | 0.00    | 11.69             | 85.0 | 9.94                 |
| 12/01/2017 #0 | 04000073403 ALEXANDERC      | NEW ECONOMY FUND SBI CLASS A        | В   | 0.00                 | 0.13                | 0.00               | 0.00    | 0.13              | 85.0 | 0.11                 |
| 12/01/2017 #0 | 00067095603                 | NEW ECONOMY FUND SBI CLASS A        | В   | 0.00                 | 5.54                | 0.00               | 0.00    | 5.54              | 85.0 | 4.71                 |
| 12/01/2017 #0 | 00087938001                 | NEW ECONOMY FUND SBI CLASS A        | В   | 0.00                 | 5.26                | 0.00               | 0.00    | 5.26              | 85.0 | 4.47                 |
| 12/01/2017 #0 | 00085834157                 | NEW ECONOMY FUND SBI CLASS A        | В   | 0.00                 | 7.26                | 0.00               | 0.00    | 7.26              | 85.0 | 6.17                 |
| 12/01/2017 #0 | 00074389206 HUMB, LAUREL    | NEW PERSPECTIVE FUND -F1            | В   | 0.00                 | 9.40                | 0.00               | 0.00    | 9.40              | 85.0 | 7.99                 |
| 12/01/2017 #0 | 00075088110                 | NEW PERSPECTIVE FUND -F1            | В   | 0.00                 | 6.02                | 0.00               | 0.00    | 6.02              | 85.0 | 5.12                 |
| 12/01/2017 #0 | 00089125404 KELLETJULI      | NEW PERSPECTIVE FUND INC CL A       | В   | 0.00                 | 0.69                | 0.00               | 0.00    | 0.69              | 85.0 | 0.59                 |
| 12/01/2017 #0 | 00058698238                 | NEW PERSPECTIVE FUND INC CL A       | В   | 0.00                 | 252.40              | 0.00               | 0.00    | 252.40            |      |                      |

В

NEW PERSPECTIVE FUND INC CL A

0.00

5.69

0.00

0.00

5.69 85.0

4.84

Page No. 01/17/2018

| TRADE DATE   | CLIENT                        | INVESTMENT                          | B/S  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | POSTAGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--------------|-------------------------------|-------------------------------------|------|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
|              |                               |                                     |      |                      |                     |                    |         |                   |      |                      |
|              |                               | BROKER TE                           | RANS | ACTIONS              |                     |                    |         |                   |      |                      |
| PRODUCT CA   | TEGORY: MUTUAL FUND 12B1 T    | TRAILS                              |      |                      |                     |                    |         |                   |      |                      |
| 12/01/2017 # | 00089114325                   | NEW PERSPECTIVE FUND INC CL A       | В    | 0.00                 | 14.10               | 0.00               | 0.00    | 14.10             | 85.0 | 11.99                |
| 12/01/2017 # | 00089114571                   | NEW PERSPECTIVE FUND INC CL A       | В    | 0.00                 | 8.87                | 0.00               | 0.00    | 8.87              | 85.0 | 7.54                 |
| 12/01/2017 # | 00085834157                   | NEW PERSPECTIVE FUND INC CL A       | В    | 0.00                 | 18.67               | 0.00               | 0.00    | 18.67             | 85.0 | 15.87                |
| 12/01/2017 # | 00082145523                   | NEW PERSPECTIVE FUND INC CL A       | В    | 0.00                 | 1.37                | 0.00               | 0.00    | 1.37              | 85.0 | 1.16                 |
| 12/01/2017 # | 00074389206 HUMB, LAUREL      | NEW PERSPECTIVE FUND INC CL C       | В    | 0.00                 | 33.80               | 0.00               | 0.00    | 33.80             | 85.0 | 28.73                |
| 12/01/2017 # | 00088859005 REGALADO, JOSE    | NEW PERSPECTIVE FUND INC CL C       | В    | 0.00                 | 82.00               | 0.00               | 0.00    | 82.00             | 85.0 | 69.70                |
| 12/01/2017 # | 00089051015 VELACESARE        | NEW PERSPECTIVE FUND INC CL C       | В    | 0.00                 | 52.92               | 0.00               | 0.00    | 52.92             | 85.0 | 44.98                |
| 12/01/2017 # | 00089128773 VELACESARE        | NEW PERSPECTIVE FUND INC CL C       | В    | 0.00                 | 7.55                | 0.00               | 0.00    | 7.55              | 85.0 | 6.42                 |
| 12/01/2017 # | 00089778964 MILLER, THOMAS    | NEW PERSPECTIVE FUND INC CL C       | В    | 0.00                 | 3.39                | 0.00               | 0.00    | 3.39              | 85.0 | 2.88                 |
| 12/01/2017 # | 00075088110                   | NEW PERSPECTIVE FUND INC CL C       | В    | 0.00                 | 143.32              | 0.00               | 0.00    | 143.32            | 85.0 | 121.82               |
| 12/01/2017 # | 00086852003 ZUNIGA, FERNANDO  | NEW PERSPECTIVE FUND-529A           | В    | 0.00                 | 2.07                | 0.00               | 0.00    | 2.07              | 85.0 | 1.76                 |
| 12/01/2017 # | 00089125404 KELLETJULI        | NEW WORLD FUND INC NEW              | В    | 0.00                 | 0.70                | 0.00               | 0.00    | 0.70              | 85.0 | 0.60                 |
| 12/01/2017 # | 00089114280                   | NEW WORLD FUND INC NEW              | В    | 0.00                 | 8.17                | 0.00               | 0.00    | 8.17              | 85.0 | 6.94                 |
| 12/01/2017 # | 00089114571                   | NEW WORLD FUND INC NEW              | В    | 0.00                 | 7.45                | 0.00               | 0.00    | 7.45              | 85.0 | 6.33                 |
| 12/01/2017 # | 00085834157                   | NEW WORLD FUND INC NEW              | В    | 0.00                 | 3.66                | 0.00               | 0.00    | 3.66              | 85.0 | 3.11                 |
| 12/01/2017 # | 00088848033 DELTORRER         | NEW WORLD FUND INC NEW CL C         | В    | 0.00                 | 27.23               | 0.00               | 0.00    | 27.23             | 85.0 | 23.15                |
| 12/01/2017 # | 00088859005 REGALADO, JOSE    | NEW WORLD FUND INC NEW CL C         | В    | 0.00                 | 78.72               | 0.00               | 0.00    | 78.72             | 85.0 | 66.91                |
| 12/01/2017 # | 00089051015 VELACESARE        | NEW WORLD FUND INC NEW CL C         | В    | 0.00                 | 54.15               | 0.00               | 0.00    | 54.15             | 85.0 | 46.03                |
| 12/01/2017 # | 00089128773 VELACESARE        | NEW WORLD FUND INC NEW CL C         | В    | 0.00                 | 7.74                | 0.00               | 0.00    | 7.74              | 85.0 | 6.58                 |
| 12/01/2017 # | 00088848033 DELTORRER         | SHORT-TERM BOND FUND OF AMERICA-C   | В    | 0.00                 | 67.73               | 0.00               | 0.00    | 67.73             | 85.0 | 57.57                |
| 12/01/2017 # | 00088848033 DELTORRER         | SMALLCAP WORLD FUND INC CL C        | В    | 0.00                 | 13.27               | 0.00               | 0.00    | 13.27             | 85.0 | 11.28                |
| 12/01/2017 # | 00088859005 REGALADO, JOSE    | SMALLCAP WORLD FUND INC CL C        | В    | 0.00                 | 38.32               | 0.00               | 0.00    | 38.32             | 85.0 | 32.57                |
| 12/01/2017 # | 00089051015 VELACESARE        | SMALLCAP WORLD FUND INC CL C        | В    | 0.00                 | 26.65               | 0.00               | 0.00    | 26.65             | 85.0 | 22.65                |
| 12/01/2017 # | 00089128773 VELACESARE        | SMALLCAP WORLD FUND INC CL C        | В    | 0.00                 | 3.81                | 0.00               | 0.00    | 3.81              | 85.0 | 3.24                 |
| 12/01/2017 # | 00089125404 KELLETJULI        | SMALLCAP WORLD FUND INC CLASS A     | В    | 0.00                 | 0.34                | 0.00               | 0.00    | 0.34              | 85.0 | 0.29                 |
| 12/01/2017 # | 00089114280                   | SMALLCAP WORLD FUND INC CLASS A     | В    | 0.00                 | 3.03                | 0.00               | 0.00    | 3.03              | 85.0 | 2.58                 |
| 12/01/2017 # | 00089114571                   | SMALLCAP WORLD FUND INC CLASS A     | В    | 0.00                 | 4.52                | 0.00               | 0.00    | 4.52              | 85.0 | 3.84                 |
| 12/01/2017 # | 00074389206 HUMB, LAUREL      | THE INVESTMENT COMPANY OF AMERICA   | FΒ   | 0.00                 | 8.78                | 0.00               | 0.00    | 8.78              | 85.0 | 7.46                 |
| 12/01/2017 # | 00075088110                   | THE INVESTMENT COMPANY OF AMERICA   | FΒ   | 0.00                 | 5.59                | 0.00               | 0.00    | 5.59              | 85.0 | 4.75                 |
| 12/01/2017 # | 00088848033 DELTORRER         | THE NEW ECONOMY FUND-C              | В    | 0.00                 | 28.47               | 0.00               | 0.00    | 28.47             | 85.0 | 24.20                |
| 12/01/2017 # | 00089778964 MILLER, THOMAS    | THE NEW ECONOMY FUND-C              | В    | 0.00                 | 3.58                | 0.00               | 0.00    | 3.58              | 85.0 | 3.04                 |
| 12/01/2017 # | 00089813971                   | THE NEW ECONOMY FUND-C              | В    | 0.00                 | 6.84                | 0.00               | 0.00    | 6.84              | 85.0 | 5.81                 |
| 12/01/2017 # | 00086722477 ZUNIGA, FERNANDO  | WASHINGTON MUTUAL INVESTORS FUND-5  | 2 B  | 0.00                 | 3.63                | 0.00               | 0.00    | 3.63              | 85.0 | 3.09                 |
| 12/01/2017 # | 00087948868 MARTINEZ, MARISSA | AWASHINGTON MUTUAL INVESTORS FUND-5 | 2 B  | 0.00                 | 0.83                | 0.00               | 0.00    | 0.83              | 85.0 | 0.71                 |
| 12/01/2017 # | 00088532798 MARTINEZ, MARISSA | AWASHINGTON MUTUAL INVESTORS FUND-5 | 2 B  | 0.00                 | 0.84                | 0.00               | 0.00    | 0.84              | 85.0 | 0.71                 |
| 12/01/2017 # | 00059045508                   | WASHINGTON MUTUAL INVS FD CLASS A   | В    | 0.00                 | 30.24               | 0.00               | 0.00    | 30.24             | 85.0 | 25.70                |
| 12/01/2017 # | 00065067787 RENNER, ERIC      | WASHINGTON MUTUAL INVS FD CLASS A   | В    | 0.00                 | 1.64                | 0.00               | 0.00    | 1.64              | 85.0 | 1.39                 |
| 12/01/2017 # | 00089114280                   | WASHINGTON MUTUAL INVS FD CLASS A   | В    | 0.00                 | 13.17               | 0.00               | 0.00    | 13.17             | 85.0 | 11.19                |
| 12/01/2017 # | 00089114325                   | WASHINGTON MUTUAL INVS FD CLASS A   | В    | 0.00                 | 6.87                | 0.00               | 0.00    | 6.87              | 85.0 | 5.84                 |
| 12/01/2017 # | 00089114571                   | WASHINGTON MUTUAL INVS FD CLASS A   | В    | 0.00                 | 20.72               | 0.00               | 0.00    | 20.72             | 85.0 | 17.61                |

INVESTMENT

TRADE DATE

CLIENT

B/S

INVESTMENT

AMOUNT

GROSS

COMMISSION

CLEARING

NET

CHARGE POSTAGE COMMISSION RATE COMMISSION

BROKER

|                                  | BROKER TE                          | ANSA | CTIONS      |            |        |        |            |            |
|----------------------------------|------------------------------------|------|-------------|------------|--------|--------|------------|------------|
| PRODUCT CATEGORY: MUTUAL FUND 12 | 2B1 TRAILS                         |      |             |            |        |        |            |            |
| 12/01/2017 #00082145523          | WASHINGTON MUTUAL INVS FD CLASS A  | В    | 0.00        | 22.62      | 0.00   | 0.00   | 22.62 85.0 | 19.23      |
| 12/06/2017 # ROSILLO, MARIA      | DAIN TRAILER                       | В    | 0.00        | 4.08       | 0.00   | 0.00   | 4.08 85.0  | 3.47       |
| 12/06/2017 # CANTU, VIDAL        | DAIN TRAILER                       | В    | 0.00        | 6.58       | 0.00   | 0.00   | 6.58 85.0  | 5.59       |
| 12/11/2017 # LAMKIN, DYANNE      | DAIN TRAILER                       | В    | 0.00        | 1.48       | 0.00   | 0.00   | 1.48 85.0  | 1.26       |
| 12/11/2017 # BARRERA, ADRIANA    | DAIN TRAILER                       | В    | 0.00        | 6.76       | 0.00   | 0.00   | 6.76 85.0  | 5.75       |
| 12/11/2017 # MARTINEZ, MARISSA   | DAIN TRAILER                       | В    | 0.00        | 0.23       | 0.00   | 0.00   | 0.23 85.0  | 0.20       |
| 12/11/2017 # PENA, DIANA         | DAIN TRAILER                       | В    | 0.00        | 1.04       | 0.00   | 0.00   | 1.04 85.0  | 0.88       |
| 12/11/2017 # PENA, DIANA         | DAIN TRAILER                       | В    | 0.00        | 7.37       | 0.00   | 0.00   | 7.37 85.0  | 6.26       |
| 12/11/2017 # PENA, DIANA         | DAIN TRAILER                       | В    | 0.00        | 0.74       | 0.00   | 0.00   | 0.74 85.0  | 0.63       |
| 12/11/2017 # PENA, DIANA         | DAIN TRAILER                       | В    | 0.00        | 2.43       | 0.00   | 0.00   | 2.43 85.0  | 2.07       |
| 12/11/2017 # PENA, DIANA         | DAIN TRAILER                       | В    | 0.00        | 1.01       | 0.00   | 0.00   | 1.01 85.0  | 0.86       |
| 12/11/2017 # PENA, DIANA         | DAIN TRAILER                       | В    | 0.00        | 8.06       | 0.00   | 0.00   | 8.06 85.0  | 6.85       |
| 12/11/2017 # PENA, DIANA         | DAIN TRAILER                       | В    | 0.00        | 3.47       | 0.00   | 0.00   | 3.47 85.0  | 2.95       |
| 12/11/2017 # PENA, DIANA         | DAIN TRAILER                       | В    | 0.00        | 6.08       | 0.00   | 0.00   | 6.08 85.0  | 5.17       |
| 12/11/2017 # PENA, DIANA         | DAIN TRAILER                       | В    | 0.00        | 15.26      | 0.00   | 0.00   | 15.26 85.0 | 12.97      |
| 12/11/2017 # PENA, DIANA         | DAIN TRAILER                       | В    | 0.00        | 13.96      | 0.00   | 0.00   | 13.96 85.0 | 11.87      |
| 12/11/2017 # PENA, DIANA         | DAIN TRAILER                       | В    | 0.00        | 7.92       | 0.00   | 0.00   | 7.92 85.0  | 6.73       |
| 12/11/2017 # PENA, DIANA         | DAIN TRAILER                       | В    | 0.00        | 4.47       | 0.00   | 0.00   | 4.47 85.0  | 3.80       |
| 12/11/2017 # PENA, DIANA         | DAIN TRAILER                       | В    | 0.00        | 0.06       | 0.00   | 0.00   | 0.06 85.0  | 0.05       |
| 12/11/2017 # PENA, DIANA         | DAIN TRAILER                       | В    | 0.00        | 1.56       | 0.00   | 0.00   | 1.56 85.0  | 1.33       |
| 12/11/2017 # GARCIA, YOLANDA     | DAIN TRAILER                       | В    | 0.00        | 6.88       | 0.00   | 0.00   | 6.88 85.0  | 5.85       |
| 12/11/2017 # RAMIREZ, J EDMUNDO  | DAIN TRAILER                       | В    | 0.00        | 2.66       | 0.00   | 0.00   | 2.66 85.0  | 2.26       |
| 12/11/2017 # LAMKIN, DYANNE      | DAIN TRAILER                       | S    | 3,000.00    | 0.00       | 0.00   | 0.00   | 0.00 85.0  | 0.00       |
|                                  | * MUTUAL FUND 12B1 TRAILS SUBTOTAL | *    | \$3,000.00  | \$3,258.26 | \$0.00 | \$0.00 | \$3,258.26 | \$2,769.58 |
|                                  | *** BROKER TRANSACTIONS TOTAL *    | **   | \$12,821.29 | \$3,627.24 | \$0.00 | \$0.00 | \$3,627.24 | \$3,083.37 |

ADJUSTMENTS

01/20/2018 ADMIN FEE: ADMIN FEE
01/20/2018 E & O INSURANCE: E & O INSURANCE
-320.00
-179.00

\*\*\* ADJUSTMENTS TOTAL \*\*\*

\$-499.00

## BROKER COMMISSION TOTALS \$3,083.37 Broker Transactions Split Transactions \$0.00 \$0.00 Override Transactions Adjustments \$-499.00 Payroll Draw \$0.00 Base Salary \$0.00 \$0.00 Prior Period Balance FINRA Assessment \$0.00 \$0.00 SIPC Assessment \$2,584.37 Check Amount