

**COMMISSION STATEMENT****May 15, 2018**

HERBERT, A123 ALSTON
4200 Park Blvd
Suite 154
Oakland, CA 94602

BROKER #: A123
BRANCH: HERBERT ALSTON

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/02/2018	THEIN, CHRISTINE	JH GREATER CHINA OPP A	-8,000.00	0.00	0.00	0.00	75.0	0.00
		* MUTUAL FUNDS SUBTOTAL *	\$-8,000.00	\$0.00	\$0.00	\$0.00		\$0.00
		*** CLEARING TRANSACTIONS TOTAL ***	\$-8,000.00	\$0.00	\$0.00	\$0.00		\$0.00

<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</u>								
04/12/2018	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	5.39	0.00	5.39	75.0	4.04
04/12/2018	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.80	0.00	0.80	75.0	0.60
04/12/2018	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	3.29	0.00	3.29	75.0	2.47
04/27/2018	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.73	0.00	9.73	75.0	7.30
04/27/2018	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.82	0.00	4.82	75.0	3.62
04/27/2018	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.82	0.00	4.82	75.0	3.62
04/27/2018	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.73	0.00	2.73	75.0	2.05
04/27/2018	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.88	0.00	3.88	75.0	2.91
04/27/2018	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.29	0.00	1.29	75.0	0.97
04/27/2018	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.95	0.00	1.95	75.0	1.46
04/20/2018	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.85	0.00	0.85	75.0	0.64
04/20/2018	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	2.01	0.00	2.01	75.0	1.51
04/20/2018	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	7.93	0.00	7.93	75.0	5.95
04/24/2018	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.45	0.00	1.45	75.0	1.09
04/10/2018	COHEN, JOEL	WILLISTON BASIN/MID- NORTH AMERICA	0.00	5.04	0.00	5.04	75.0	3.78
04/10/2018	MCDONALD, MARY	WILLISTON BASIN/MID- NORTH AMERICA	0.00	3.86	0.00	3.86	75.0	2.90
		* A132 - HERB/FRED ALSTON/CHASALOW SUBTOTAL *	\$0.00	\$59.84	\$0.00	\$59.84		\$44.91
		*** SPLIT TRANSACTIONS TOTAL ***	\$0.00	\$59.84	\$0.00	\$59.84		\$44.91

NOTES: * - Indicates adjustment is not included in 1099 Earnings

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
05/15/2018		*AI INSIGHT: CURRENT MONTH	0.00					-7.00
05/15/2018		*CREDIT CARD PYT: CREDIT CARD PYT	0.00					546.53
05/15/2018		*DOCUSIGN: CURRENT MONTH	0.00					-18.00
05/15/2018		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
05/15/2018		*PERSHING: ETF PROSPECTUS MAILING	0.00					-1.55
05/15/2018		*PERSHING: FOREIGN SAFEKEEPING PNW012003	0.00					-8.00
05/15/2018		*PERSHING: FOREIGN SAFEKEEPING PNW012029	0.00					-8.00
05/15/2018		*PERSHING: FOREIGN SAFEKEEPING PNW012037	0.00					-8.00
05/15/2018		*PERSHING: FOREIGN SAFEKEEPING PNW012060	0.00					-8.00
05/15/2018		*PERSHING: BOOKS & RECORDS	0.00					-7.98
05/15/2018		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$0.00

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$44.91
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	\$44.91
Year-to-date Gross	\$11,368.19
Year-to-date Earnings	\$8,411.67

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