

All Companies
STATEMENT
August 20, 2018

KATIE PEPIN
1990 Main Street #750

BROKER #: 150
BRANCH:

Sarasota, FL 34236

COMMISSION STATEMENT for KATIE PEPIN

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
05/01/0018	#2000273790 BENSON, LISA	AGES 18 AND OVER A	0.00	0.36	93.0	0.00	0.33	0.00	0.33
05/01/0018	#2000334549 PEPIN, THOMAS	C - GLOBAL OPPORTUNITIES PORT	0.00	6.02	93.0	0.00	5.60	0.00	5.60
04/30/0201	#2000273790 BENSON, LISA	AGES 18 AND OVER A	0.00	0.35	93.0	0.00	0.33	0.00	0.33
04/30/0201	#2000334549 PEPIN, THOMAS	C - GLOBAL OPPORTUNITIES PORT	0.00	5.78	93.0	0.00	5.38	0.00	5.38
06/30/0201	#2000273790 BENSON, LISA	AGES 18 AND OVER A	0.00	0.35	93.0	0.00	0.33	0.00	0.33
06/30/0201	#2000334549 PEPIN, THOMAS	C - GLOBAL OPPORTUNITIES PORT	0.00	5.83	93.0	0.00	5.42	0.00	5.42
06/25/2018	#04220290191 PEPIN, KATIE	MAIN STREET FUND C	300.00	3.00	93.0	0.00	2.79	0.00	2.79
06/25/2018	#07330736461 PEPIN, KATIE	OPPENHEIMER MAIN STR SELECT FD CL C	100.00	1.00	93.0	0.00	0.93	0.00	0.93
07/02/2018	#2000334549 PEPIN, THOMAS	C - GLOBAL OPPORTUNITIES PORT	50.00	0.50	93.0	0.00	0.47	0.00	0.47
07/02/2018	#04220290191 PEPIN, KATIE	MAIN STREET FUND C	250.61	2.51	93.0	0.00	2.33	0.00	2.33
07/02/2018	#04220290191 PEPIN, KATIE	MAIN STREET FUND C	292.25	2.92	93.0	0.00	2.72	0.00	2.72
07/02/2018	#04220427306 PENNIN, S	MAIN STREET FUND C	123.41	1.23	93.0	0.00	1.14	0.00	1.14
* MUTUAL FUNDS SUBTOTAL *			\$1,116.27	\$29.85		\$0.00	\$27.77	\$0.00	\$27.77

PRODUCT CATEGORY: VARIABLE ANNUITIES

05/01/0018	#E1059724 GREEN	PRUDETIAL TRAILS	0.00	18.04	93.0	0.00	16.78	0.00	16.78
05/01/0018	#E1075717 KING, ROBERT	PRUDETIAL TRAILS	0.00	94.89	93.0	0.00	88.25	0.00	88.25
05/01/0018	#E0484442 SANDERS REV TRUST,	PRUDETIAL TRAILS	0.00	2.43	93.0	0.00	2.26	0.00	2.26
05/01/0018	#E0484442 SANDERS REV TRUST,	PRUDETIAL TRAILS	0.00	7.30	93.0	0.00	6.79	0.00	6.79
05/01/0018	#E0501203 KING, EILEEN	PRUDETIAL TRAILS	0.00	29.43	93.0	0.00	27.37	0.00	27.37
05/01/0018	#E0355069 PITTS, VIRGINIA	PRUDETIAL TRAILS	0.00	4.05	93.0	0.00	3.77	0.00	3.77
05/01/0018	#E0355069 PITTS, VIRGINIA	PRUDETIAL TRAILS	0.00	16.22	93.0	0.00	15.08	0.00	15.08
05/01/0018	#E0495602 KING, EILEEN	PRUDETIAL TRAILS	0.00	5.55	93.0	0.00	5.16	0.00	5.16
05/01/0018	#E0495602 KING, EILEEN	PRUDETIAL TRAILS	0.00	22.22	93.0	0.00	20.66	0.00	20.66
05/01/0018	#E0501203 KING, EILEEN	PRUDETIAL TRAILS	0.00	117.72	93.0	0.00	109.48	0.00	109.48
05/01/0018	#E1774734	PRUDETIAL TRAILS	0.00	8.29	93.0	0.00	7.71	0.00	7.71
05/01/0018	#E0495401 KING, EILEEN	PRUDETIAL TRAILS	0.00	29.89	93.0	0.00	27.80	0.00	27.80
05/01/0018	#E0495401 KING, EILEEN	PRUDETIAL TRAILS	0.00	119.57	93.0	0.00	111.20	0.00	111.20

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
07/07/0018	#N101466130	FOUT, JEAN	NATIONWIDE RENEWAL	573.54	11.47	93.0	0.00	10.67	10.67
07/07/0018	#N101514030	FOUT, JEAN	NATIONWIDE RENEWAL	183.00	3.66	93.0	0.00	3.40	3.40
06/30/0201	#016217567	REXINGER, JANE	NATIONWIDE DESTINATION LS	0.00	743.33	93.0	0.00	691.30	691.30
06/30/0201	#016217576	REXINGER, JANE	NATIONWIDE DESTINATION LS	0.00	66.19	93.0	0.00	61.56	61.56
06/30/0201	#016321146	SMITH, NACY	NATIONWIDE DESTINATION LS	0.00	25.76	93.0	0.00	23.96	23.96
06/30/0201	#016150757	RUSSELL, SUZANNE	NATIONWIDE DESTINATION LS	0.00	105.82	93.0	0.00	98.41	98.41
06/30/0201	#016211151	DOUGLAS, GAIL	NATIONWIDE DESTINATION LS	0.00	153.22	93.0	0.00	142.49	142.49
06/30/0201	#016234081	PEYTON, FORREST	NATIONWIDE DESTINATION LS	0.00	798.50	93.0	0.00	742.61	742.61
06/30/0201	#016265919	KING, EILEEN	NATIONWIDE DESTINATION LS	0.00	675.12	93.0	0.00	627.86	627.86
06/30/0201	#016292965	PEYTON, FORREST	NATIONWIDE DESTINATION LS	0.00	965.38	93.0	0.00	897.80	897.80
06/30/0201	#016323825	LITTLE, DALLAS	NATIONWIDE DESTINATION LS	0.00	143.37	93.0	0.00	133.33	133.33
06/30/0201	#016249720	BLUES, IRMA KAY	NATIONWIDE DESTINATION LS	0.00	90.85	93.0	0.00	84.49	84.49
07/06/2018	#2721574	FOUT, JEAN	JOHN HANCOCK LIFE TRAILS	0.00	34.56	93.0	0.00	32.14	32.14
07/31/2018	#1014526117	TONCOLA,	PERSP L 08/11	120,180.31	100.15	93.0	0.00	93.14	93.14
* VARIABLE ANNUITIES SUBTOTAL *			\$120,936.85	\$4,392.98		\$0.00	\$4,085.47	\$0.00	\$4,085.47
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
06/30/2018	#04220290191	PEPIN, KATIE	MAIN STREET FUND C	0.00	48.34	93.0	0.00	44.96	44.96
06/30/2018	#04220424622	PENNIN, S	MAIN STREET FUND C	0.00	8.72	93.0	0.00	8.11	8.11
06/30/2018	#04220427306	PENNIN, S	MAIN STREET FUND C	0.00	25.54	93.0	0.00	23.75	23.75
06/30/2018	#02171504250	PEPIN, KATIE	OPPENHEIMER GLOBAL OPPORTUNITIES FD	0.00	61.57	93.0	0.00	57.26	57.26
06/30/2018	#02171730630	BRANDO J M	OPPENHEIMER GLOBAL OPPORTUNITIES FD	0.00	96.98	93.0	0.00	90.19	90.19
06/30/2018	#07330736461	PEPIN, KATIE	OPPENHEIMER MAIN STR SELECT FD CL C	0.00	0.00	93.0	0.00	0.00	0.00
07/03/2018	#00621315594		PIONEER FUND INC-CL A	0.00	10.32	93.0	0.00	9.60	9.60
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$251.47		\$0.00	\$233.87	\$0.00	\$233.87
*** BROKER TRANSACTIONS TOTAL ***			\$122,053.12	\$4,674.30		\$0.00	\$4,347.11	\$0.00	\$4,347.11

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ADJUSTMENTS

08/20/2018		BETA BACK OFFICE: ADMIN FEE							-390.00
08/20/2018		E & O INSURANCE: E & O INSURANCE							-179.00
*** ADJUSTMENTS TOTAL ***									<u>\$-569.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$4,347.11
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-569.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$3,778.11
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