

STATEMENT

March 20, 2018

ERIK NEW DODDS

BROKER #: 067

BRANCH: LA BRANCH

, CA

COMMISSION STATEMENT for ERIK NEW 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										
02/14/2018 #	ALI, ASAD	EATON VANCE HIGH INCOME OPPORTUNITI S		4,645.60	0.00	0.00	0.00	0.00	89.0	0.00
02/14/2018 #	ALI, ASAD	JANUS INVT FD TRITON FD CL I	S	6,790.66	0.00	0.00	0.00	0.00	89.0	0.00
02/14/2018 #	ALI, ASAD	MFS SER TR X INTL VALUE FD CL I	S	37,354.49	0.00	0.00	0.00	0.00	89.0	0.00
02/14/2018 #	ALI, ASAD	NATIXIS FDS LOOMIS SAYLES SR FLTG R S		8,313.56	0.00	0.00	0.00	0.00	89.0	0.00
02/14/2018 #	ALI, ASAD	PARNASSUS MID CAP FD	S	32,169.97	0.00	0.00	0.00	0.00	89.0	0.00
02/27/2018 #	DAVENPORT, BLAKE	FIDELITY ADV BALANCED CL C	S	4,569.56	40.00	20.00	0.00	20.00	89.0	17.80
* MUTUAL FUNDS SUBTOTAL *				\$93,843.84	\$40.00	\$20.00	\$0.00	\$20.00		\$17.80

PRODUCT CATEGORY: STOCKS

01/30/2018 #		FIRST TR EXCHANGE TRADED FD II	B	364.22	0.00	0.00	0.00	0.00	0.0	0.00
01/30/2018 #		FIRST TR EXCHANGE TRADED FD II	B	1,341.36	0.00	0.00	0.00	0.00	0.0	0.00
01/30/2018 #		FIRST TR EXCHANGE TRADED FD II	B	3,444.57	0.00	0.00	0.00	0.00	0.0	0.00
01/30/2018 #		FIRST TR EXCHANGE-TRADED FD II CONS B		976.09	0.00	0.00	0.00	0.00	0.0	0.00
01/30/2018 #		ISHARES TRUST ISHARES FLOATING RATE B		765.11	0.00	0.00	0.00	0.00	0.0	0.00
01/30/2018 #		ISHARES TRUST RUSSELL 2000 INDEX FD B		2,523.96	0.00	0.00	0.00	0.00	0.0	0.00
01/30/2018 #		SECTOR SPDR - FINANCIAL	B	2,980.66	0.00	0.00	0.00	0.00	0.0	0.00
01/30/2018 #		SECTOR SPDR TRUST SBI CONSUMER	B	989.70	0.00	0.00	0.00	0.00	0.0	0.00
01/30/2018 #		SELECT SCTOR SPDR TR SBI UTILS SELE B		504.98	0.00	0.00	0.00	0.00	0.0	0.00
01/30/2018 #		SELECT SECTOR SPDR FUND	B	1,191.71	0.00	0.00	0.00	0.00	0.0	0.00
01/30/2018 #		SELECT SECTOR SPDR FUND SHS BEN INT B		2,693.63	0.00	0.00	0.00	0.00	0.0	0.00
01/30/2018 #		SELECT SECTOR SPDR TRUST SHS BEN IN B		374.89	0.00	0.00	0.00	0.00	0.0	0.00
01/30/2018 #		SELECT SECTOR SPDR TRUST THE REAL E B		727.66	0.00	0.00	0.00	0.00	0.0	0.00
01/30/2018 #		SPDR S&P 500 ETF TR	B	2,540.50	0.00	0.00	0.00	0.00	0.0	0.00
01/30/2018 #		STANDARD & POORS MIDCAP 400 SPDR S& B		2,495.13	0.00	0.00	0.00	0.00	0.0	0.00
02/05/2018 #	MILLER, DANIEL	JOHNSON & JOHNSON	B	2,629.35	0.00	0.00	0.00	0.00	0.0	0.00
02/05/2018 #	MILLER, DANIEL	VANGUARD INDEX FUNDS	B	6,523.62	0.00	0.00	0.00	0.00	0.0	0.00
02/12/2018 #	MILLER, DANIEL	VANGUARD INDEX FUNDS	B	5,804.55	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	ALPHABET INC CLASS A COMMON STOCK	S	48,151.35	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	ALPHABET INC CLASS C CAPITAL STOCK	S	47,933.55	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	ISHARES INC	S	3,822.31	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	ISHARES TR S&P SMALLCAP 600 VALUE I S		6,021.60	0.00	0.00	0.00	0.00	0.0	0.00

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
02/14/2018 #	ALI, ASAD	ISHARES TRUST DOW JONES U S FINANCI S		2,397.80	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	ISHARES TRUST ISHARES EDGE MSCI MIN S		15,596.34	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	ISHARES TRUST ISHARES FLOATING RATE S		2,649.93	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	POWERSHARES GLOBAL EXCHANGE TRADED S		5,955.80	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	SPDR DOW JONES MID CAP GROWTH ETF S		5,772.00	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	SPDR SER TR S&P 600 SMALL CAP GROWT S		2,731.32	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	SPDR SER TR S&P 600 SMALL CAP VALUE S		2,708.42	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	SPDR SER TR S&P DIVIDEND ETF S		15,511.97	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	SPDR SERIES TRUST SPDR PORTFOLIO S& S		12,871.63	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	VANGUARD INTERMEDIATE TERM BOND ETF S		1,707.30	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	VANGUARD INTERMEDIATE TERM CORPORAT S		7,706.15	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	VANGUARD SCOTTSDALE FUNDS VANGUARD S		6,672.71	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	VANGUARD SHORT TERM BOND ETF S		2,586.87	0.00	0.00	0.00	0.00	0.0	0.00
02/14/2018 #	ALI, ASAD	WISDOMTREE TRUST WISDOMTREE U S MID S		9,284.44	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	APPLE INC	B	4,360.50	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	BARCLAYS PLC ADR	B	4,258.78	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	EQUINIX INC COM PAR \$0.001 REIT	B	3,207.60	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	ISHARES IBOXX \$ HIGH YIELD	B	14,665.32	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	ISHARES TRUST DOW JONES US AEROSPAC B		3,460.52	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	ISHARES TRUST MSCI EMERGING	B	5,131.98	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	JOHNSON & JOHNSON	B	3,473.54	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	JPMORGAN CHASE & CO	B	3,345.08	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	POWERSHARES QQQ TRUST	B	63,309.47	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	SECTOR SPDR TRUST	B	10,265.19	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	SECTOR SPDR TRUST SHS BEN INT TECHN B		17,112.67	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	SELECT SECTOR SPDR FUND	B	10,214.83	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	SELECT SECTOR SPDR FUND SHS BEN INT B		11,977.92	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	SELECT SECTOR SPDR TRUST SHS BEN IN B		13,632.50	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	SPDR SER TR S&P BIOTECH ETF	B	6,803.59	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	SPDR SER TR S&P REGL BKG ETF	B	11,973.29	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	SPDR SERIES TRUST	B	2,724.47	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	SPDR SERIES TRUST BARCLAYS HIGH YIE B		13,657.77	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	VANGUARD INDEX FUNDS	B	8,564.43	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	VANGUARD INDEX FUNDS SMALL-CAP VALU B		3,431.68	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	VANGUARD SECTOR INDEX FDS	B	17,016.48	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	VANGUARD SECTOR INDEX FDS VANGUARD B		11,054.45	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	VANGUARD SECTOR INDEX FDS VANGUARD B		8,576.39	0.00	0.00	0.00	0.00	0.0	0.00
02/16/2018 #	ALI, ASAD	VANGUARD TAX-MANAGED FD MSCI EAFE E B		8,553.30	0.00	0.00	0.00	0.00	0.0	0.00
02/22/2018 #	ALI, ASAD	POWERSHARES QQQ TRUST	S	63,163.48	0.00	0.00	0.00	0.00	0.0	0.00
02/22/2018 #	ALI, ASAD	PROSHARES ULTRA QQQ	B	62,339.71	0.00	0.00	0.00	0.00	0.0	0.00

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* STOCKS SUBTOTAL *				\$625,228.12	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
02/08/2018 #	DAVENPORT, BLAKE	DAIN TRAILER	B	0.00	0.15	0.00	0.00	0.15	89.0	0.13
02/09/2018 #	DAVENPORT, BLAKE	DAIN TRAILER	B	0.00	0.15	0.00	0.00	0.15	89.0	0.13
02/09/2018 #	DAVENPORT, BLAKE	DAIN TRAILER	B	0.00	0.78	0.00	0.00	0.78	89.0	0.69
02/14/2018 #	ALI, ASAD	DAIN TRAILER	S	20,208.11	0.00	0.00	0.00	0.00	89.0	0.00
02/14/2018 #	ALI, ASAD	DAIN TRAILER	S	9,049.45	0.00	0.00	0.00	0.00	89.0	0.00
02/14/2018 #	ALI, ASAD	DAIN TRAILER	S	13,657.24	0.00	0.00	0.00	0.00	89.0	0.00
02/20/2018 #	DAVENPORT, BLAKE	DAIN TRAILER	B	0.00	0.15	0.00	0.00	0.15	89.0	0.13
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$42,914.80	\$1.23	\$0.00	\$0.00	\$1.23		\$1.08
*** BROKER TRANSACTIONS TOTAL ***				\$761,986.76	\$41.23	\$20.00	\$0.00	\$21.23		\$18.88

BROKER COMMISSION TOTALS

Broker Transactions	\$18.88
Split Transactions	\$0.00
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

Check Amount	\$18.88
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