

# STATEMENT

## January 20, 2018

**KYLE VAN OORT**  
5051 North Sabino Canyon Rd #2  
#2212  
Tuscon, AZ 85750

**BROKER #: 053**  
**BRANCH:**

### COMMISSION STATEMENT for KYLE VAN OORT

| DATE   | CLIENT        | INVESTMENT     | INVESTMENT<br>AMOUNT                | GROSS<br>COMMISSION | RATE  | POSTAGE | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|--|---------------|----------------|-------------------------------------|---------------------|-------|---------|-------------------|--------------------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |               |                |                                     |                     |       |         |                   |                    |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |               |                |                                     |                     |       |         |                   |                    |                      |
| 11/15/2017                                   | #00086479547  | ALEGRIAKIM     | AMERICAN BALANCED FUND INC CL C     | 62.37               | 0.62  | 93.0    | 0.00              | 0.58               | 0.58                 |
| 11/16/2017                                   | #00088605022  | NAVARRETTE     | GROWTH AND INCOME PORTFOLIO-A       | 24.18               | 0.66  | 93.0    | 0.00              | 0.61               | 0.61                 |
| 11/16/2017                                   | #00088605022  | NAVARRETTE     | GROWTH AND INCOME PORTFOLIO-A       | 24.18               | 0.66  | 93.0    | 0.00              | 0.61               | 0.61                 |
| 11/16/2017                                   | #00088605018  | BALL, DANIEL   | GROWTH AND INCOME PORTFOLIO-A       | 50.11               | 1.38  | 93.0    | 0.00              | 1.28               | 1.28                 |
| 11/16/2017                                   | #00088605018  | BALL, DANIEL   | GROWTH AND INCOME PORTFOLIO-A       | 21.48               | 0.59  | 93.0    | 0.00              | 0.55               | 0.55                 |
| 11/20/2017                                   | #00002098770  | LOTT, UNIKA    | LIFESTYLE GROWTH PORTFOLIO C        | 100.00              | 1.00  | 93.0    | 0.00              | 0.93               | 0.93                 |
| 11/21/2017                                   | #00088605018  | BALL, DANIEL   | GROWTH AND INCOME PORTFOLIO-A       | 56.45               | 1.55  | 93.0    | 0.00              | 1.44               | 1.44                 |
| 11/21/2017                                   | #00088605018  | BALL, DANIEL   | GROWTH AND INCOME PORTFOLIO-A       | 24.19               | 0.67  | 93.0    | 0.00              | 0.62               | 0.62                 |
| 11/22/2017                                   | #00086479547  | ALEGRIAKIM     | AMERICAN BALANCED FUND INC CL C     | 62.37               | 0.62  | 93.0    | 0.00              | 0.58               | 0.58                 |
| 12/01/2017                                   | #00088605018  | BALL, DANIEL   | GROWTH AND INCOME PORTFOLIO-A       | 62.79               | 1.73  | 93.0    | 0.00              | 1.61               | 1.61                 |
| 12/01/2017                                   | #00088605018  | BALL, DANIEL   | GROWTH AND INCOME PORTFOLIO-A       | 26.91               | 0.74  | 93.0    | 0.00              | 0.69               | 0.69                 |
| 12/01/2017                                   | #00088605022  | NAVARRETTE     | GROWTH AND INCOME PORTFOLIO-A       | 20.51               | 0.56  | 93.0    | 0.00              | 0.52               | 0.52                 |
| 12/01/2017                                   | #00088605022  | NAVARRETTE     | GROWTH AND INCOME PORTFOLIO-A       | 20.51               | 0.56  | 93.0    | 0.00              | 0.52               | 0.52                 |
| 12/01/2017                                   | #00002179564  | COELEROSSA     | LIFESTYLE GROWTH PORTFOLIO C        | 500.00              | 5.00  | 93.0    | 0.00              | 4.65               | 4.65                 |
| 12/01/2017                                   | #00002195815  | FITZNSIENM     | LIFESTYLE GROWTH PORTFOLIO C        | 50.00               | 0.50  | 93.0    | 0.00              | 0.47               | 0.47                 |
| 12/01/2017                                   | #07004635396  | BALESROBEA     | PORTFOLIO 2025-2028 C2              | 0.00                | 0.75  | 93.0    | 0.00              | 0.70               | 0.70                 |
| 12/01/2017                                   | #00052939434  | MEINDL, ROBERT | PORTFOLIO 2029-2032 C2              | 0.00                | 0.50  | 93.0    | 0.00              | 0.47               | 0.47                 |
| 12/01/2017                                   | #00053015272  | MEINDL, ROBERT | PORTFOLIO 2033-2036 A               | 0.00                | 2.13  | 93.0    | 0.00              | 1.98               | 1.98                 |
| 12/04/2017                                   | #00073663981  | FITZNER, SHAWN | AMERICAN BALANCED FUND-529C         | 50.00               | 0.50  | 93.0    | 0.00              | 0.47               | 0.47                 |
| 12/04/2017                                   | #00002164899  | BOYER, JOHN    | LIFESTYLE GROWTH PORTFOLIO C        | 250.00              | 2.50  | 93.0    | 0.00              | 2.33               | 2.33                 |
| 12/04/2017                                   | #00002170093  |                | LIFESTYLE GROWTH PORTFOLIO C        | 200.00              | 2.00  | 93.0    | 0.00              | 1.86               | 1.86                 |
| 12/05/2017                                   | #00001844081  | RONCO          | LIFESTYLE BALANCED PORTFOLIO C      | 600.00              | 6.00  | 93.0    | 0.00              | 5.58               | 5.58                 |
| 12/05/2017                                   | #00002401559  | THEBEANNAL     | LIFESTYLE GROWTH PORTFOLIO C        | 100.00              | 1.00  | 93.0    | 0.00              | 0.93               | 0.93                 |
| 12/05/2017                                   | #00009438579  | LOTT, UNIKA    | SUNAMERICA FOCUSED DIVIDEND STRAT C | 25.00               | 0.25  | 93.0    | 0.00              | 0.23               | 0.23                 |
| 12/06/2017                                   | #00068061257  | UPTON, JOAN    | BOND FUND OF AMERICA INC CL A       | 200.00              | 5.50  | 93.0    | 0.00              | 5.12               | 5.12                 |
| 12/06/2017                                   | #000529603425 | BUTLE, JANE    | COLLEGE PORTFOLIO C2                | 0.00                | 4.87  | 93.0    | 0.00              | 4.53               | 4.53                 |
| 12/06/2017                                   | #00068061257  | UPTON, JOAN    | GROWTH FUND AMERICA INC CLASS A     | 700.00              | 19.25 | 93.0    | 0.00              | 17.90              | 17.90                |
| 12/06/2017                                   | #00068061257  | UPTON, JOAN    | INCOME FUND OF AMERICA INC CLASS A  | 500.00              | 13.75 | 93.0    | 0.00              | 12.79              | 12.79                |

COMMISSION STATEMENT for KYLE VAN OORT

| DATE                                  | CLIENT                       | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | RATE | POSTAGE | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|---------------------------------------|------------------------------|---------------------------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u>            |                              |                                 |                      |                     |      |         |                   |                    |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> |                              |                                 |                      |                     |      |         |                   |                    |                      |
| 12/06/2017                            | #00068061257 UPTON, JOAN     | INVESTMENT CO AMER CLASS A      | 200.00               | 5.50                | 93.0 | 0.00    | 5.12              | 0.00               | 5.12                 |
| 12/06/2017                            | #000527878779 HIGHT, GARY    | JOHN HANCOCK FREE 58501V750     | 0.00                 | 9.75                | 93.0 | 0.00    | 9.07              | 0.00               | 9.07                 |
| 12/06/2017                            | #00068061257 UPTON, JOAN     | NEW PERSPECTIVE FUND INC CL A   | 200.00               | 5.50                | 93.0 | 0.00    | 5.12              | 0.00               | 5.12                 |
| 12/06/2017                            | #071501496252 HIGHT, GARY    | PORTFOLIO 2017-2020 A           | 0.00                 | 3.83                | 93.0 | 0.00    | 3.56              | 0.00               | 3.56                 |
| 12/06/2017                            | #071501496510 HIGHT, GARY    | PORTFOLIO 2017-2020 A           | 0.00                 | 3.33                | 93.0 | 0.00    | 3.10              | 0.00               | 3.10                 |
| 12/06/2017                            | #000527678737 HIGHT, GARY    | PORTFOLIO 2017-2020C2           | 0.00                 | 9.75                | 93.0 | 0.00    | 9.07              | 0.00               | 9.07                 |
| 12/06/2017                            | #071502389559 JACOBS, ANDREW | PORTFOLIO 2021-2024 C2          | 0.00                 | 12.48               | 93.0 | 0.00    | 11.61             | 0.00               | 11.61                |
| 12/06/2017                            | #070046353000 MEIND, JANIS   | PORTFOLIO 2021-2024 C2          | 0.00                 | 3.74                | 93.0 | 0.00    | 3.48              | 0.00               | 3.48                 |
| 12/06/2017                            | #070046353039 MEIND, JANIS   | PORTFOLIO 2021-2024 C2          | 0.00                 | 3.74                | 93.0 | 0.00    | 3.48              | 0.00               | 3.48                 |
| 12/06/2017                            | #000528026867 SILK, KYLE     | PORTFOLIO 2025-2028 C2          | 0.00                 | 25.83               | 93.0 | 0.00    | 24.02             | 0.00               | 24.02                |
| 12/06/2017                            | #000528056866 SURA, SCOT     | PORTFOLIO 2025-2028 C2          | 0.00                 | 5.11                | 93.0 | 0.00    | 4.75              | 0.00               | 4.75                 |
| 12/06/2017                            | #071502389546 JACOBS, ANDREW | PORTFOLIO 2025-2028 C2          | 0.00                 | 13.09               | 93.0 | 0.00    | 12.17             | 0.00               | 12.17                |
| 12/06/2017                            | #000527214201 GOODE, THOMK   | PORTFOLIO 2025-2028 C2          | 0.00                 | 2.39                | 93.0 | 0.00    | 2.22              | 0.00               | 2.22                 |
| 12/06/2017                            | #000529393081 BOUCHKARAA     | PORTFOLIO 2025-2028 C2          | 0.00                 | 1.90                | 93.0 | 0.00    | 1.77              | 0.00               | 1.77                 |
| 12/06/2017                            | #000529865137 DOLPHIN,       | PORTFOLIO 2025-2028 C2          | 0.00                 | 13.21               | 93.0 | 0.00    | 12.29             | 0.00               | 12.29                |
| 12/06/2017                            | #000528635591 ZOUCH, JENNA   | PORTFOLIO 2029-2032 C2          | 0.00                 | 11.01               | 93.0 | 0.00    | 10.24             | 0.00               | 10.24                |
| 12/06/2017                            | #000528889457 GOODE, THOMK   | PORTFOLIO 2029-2032 C2          | 0.00                 | 1.08                | 93.0 | 0.00    | 1.00              | 0.00               | 1.00                 |
| 12/06/2017                            | #000529221551 ZOUCH, JENNA   | PORTFOLIO 2029-2032 C2          | 0.00                 | 5.62                | 93.0 | 0.00    | 5.23              | 0.00               | 5.23                 |
| 12/06/2017                            | #000529393078 BOUCHKARAA     | PORTFOLIO 2029-2032 C2          | 0.00                 | 0.92                | 93.0 | 0.00    | 0.86              | 0.00               | 0.86                 |
| 12/06/2017                            | #000529394349 MEIND, JANIS   | PORTFOLIO 2029-2032 C2          | 0.00                 | 2.15                | 93.0 | 0.00    | 2.00              | 0.00               | 2.00                 |
| 12/06/2017                            | #000530152729 MEINDL, ROBERT | PORTFOLIO 2033-2036 A           | 0.00                 | 0.01                | 93.0 | 0.00    | 0.01              | 0.00               | 0.01                 |
| 12/06/2017                            | #00068061257 UPTON, JOAN     | SMALLCAP WORLD FUND INC CLASS A | 200.00               | 5.50                | 93.0 | 0.00    | 5.12              | 0.00               | 5.12                 |
| 12/08/2017                            | #00088605018 BALL, DANIEL    | GROWTH AND INCOME PORTFOLIO-A   | 48.30                | 1.33                | 93.0 | 0.00    | 1.24              | 0.00               | 1.24                 |
| 12/08/2017                            | #00088605018 BALL, DANIEL    | GROWTH AND INCOME PORTFOLIO-A   | 20.70                | 0.57                | 93.0 | 0.00    | 0.53              | 0.00               | 0.53                 |
| 12/08/2017                            | #07004635300 MEIND, JANIS    | PORTFOLIO 2021-2024 C2          | 0.00                 | 0.50                | 93.0 | 0.00    | 0.47              | 0.00               | 0.47                 |
| 12/08/2017                            | #07004635303 MEIND, JANIS    | PORTFOLIO 2021-2024 C2          | 0.00                 | 0.50                | 93.0 | 0.00    | 0.47              | 0.00               | 0.47                 |
| 12/08/2017                            | #00052939434 MEINDL, ROBERT  | PORTFOLIO 2029-2032 C2          | 0.00                 | 0.50                | 93.0 | 0.00    | 0.47              | 0.00               | 0.47                 |
| 12/11/2017                            | #00002404602 DAILE, JULIA    | LIFESTYLE GROWTH PORTFOLIO C    | 100.00               | 1.00                | 93.0 | 0.00    | 0.93              | 0.00               | 0.93                 |
| 12/11/2017                            | #00002133057 VAN OORT VAR    | LIFESTYLE MODERATE PORTFOLIO C  | 35,000.00            | 350.00              | 93.0 | 0.00    | 325.50            | 0.00               | 325.50               |
| 12/11/2017                            | #00002133057 VAN OORT VAR    | LIFESTYLE MODERATE PORTFOLIO C  | -35,000.00           | -350.00             | 93.0 | 0.00    | -325.50           | 0.00               | -325.50              |
| 12/11/2017                            | #00052767873 HIGHT, GARY     | PORTFOLIO 2017-2020C2           | 0.00                 | 1.00                | 93.0 | 0.00    | 0.93              | 0.00               | 0.93                 |
| 12/11/2017                            | #00052767877 HIGHT, GARY     | PORTFOLIO 2017-2020C2           | 0.00                 | 1.00                | 93.0 | 0.00    | 0.93              | 0.00               | 0.93                 |
| 12/15/2017                            | #00088605018 BALL, DANIEL    | GROWTH AND INCOME PORTFOLIO-A   | 23.03                | 0.63                | 93.0 | 0.00    | 0.59              | 0.00               | 0.59                 |
| 12/15/2017                            | #00088605018 BALL, DANIEL    | GROWTH AND INCOME PORTFOLIO-A   | 53.73                | 1.48                | 93.0 | 0.00    | 1.38              | 0.00               | 1.38                 |
| 12/15/2017                            | #00088605022 NAVARRETTE      | GROWTH AND INCOME PORTFOLIO-A   | 24.18                | 0.66                | 93.0 | 0.00    | 0.61              | 0.00               | 0.61                 |
| 12/15/2017                            | #00088605022 NAVARRETTE      | GROWTH AND INCOME PORTFOLIO-A   | 24.18                | 0.66                | 93.0 | 0.00    | 0.61              | 0.00               | 0.61                 |

COMMISSION STATEMENT for KYLE VAN OORT

| DATE  | CLIENT       | INVESTMENT        | INVESTMENT<br>AMOUNT               | GROSS<br>COMMISSION | RATE   | POSTAGE       | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|---|--------------|-------------------|------------------------------------|---------------------|--------|---------------|-------------------|--------------------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |              |                   |                                    |                     |        |               |                   |                    |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |              |                   |                                    |                     |        |               |                   |                    |                      |
| 12/15/2017  | #00002117933 | ROSS, NANCY       | LIFESTYLE BALANCED PORTFOLIO C     | 100.00              | 1.00   | 93.0          | 0.00              | 0.93               | 0.93                 |
| 12/15/2017  | #00002105876 | MEINDL, ROBERT    | LIFESTYLE GROWTH PORTFOLIO C       | 500.00              | 5.00   | 93.0          | 0.00              | 4.65               | 4.65                 |
| 12/15/2017  | #00002134391 | MEINDL, ROBERT    | LIFESTYLE GROWTH PORTFOLIO C       | 200.00              | 2.00   | 93.0          | 0.00              | 1.86               | 1.86                 |
| 12/15/2017  | #00002195815 | FITZNSIENM        | LIFESTYLE GROWTH PORTFOLIO C       | 50.00               | 0.50   | 93.0          | 0.00              | 0.47               | 0.47                 |
| 12/15/2017  | #07150238955 | ANDR, JACOB       | PORTFOLIO 2021-2024 C2             | 0.00                | 5.00   | 93.0          | 0.00              | 4.65               | 4.65                 |
| 12/15/2017  | #00052802686 | SILK, KYLE        | PORTFOLIO 2025-2028 C2             | 0.00                | 3.00   | 93.0          | 0.00              | 2.79               | 2.79                 |
| 12/15/2017  | #00052805686 | SURA, SCOT        | PORTFOLIO 2025-2028 C2             | 0.00                | 0.50   | 93.0          | 0.00              | 0.47               | 0.47                 |
| 12/15/2017  | #07150238954 | ANDR, JACOB       | PORTFOLIO 2025-2028 C2             | 0.00                | 5.00   | 93.0          | 0.00              | 4.65               | 4.65                 |
| 12/15/2017  | #00052863559 | ZOUCH, JENNA      | PORTFOLIO 2029-2032 C2             | 0.00                | 1.50   | 93.0          | 0.00              | 1.40               | 1.40                 |
| 12/15/2017  | #00052922155 | ZOUCH, JENNA      | PORTFOLIO 2029-2032 C2             | 0.00                | 1.50   | 93.0          | 0.00              | 1.40               | 1.40                 |
| 12/18/2017  | #00002016848 | TENNANT, NANCY    | LIFESTYLE BALANCED PORTFOLIO C     | 150.00              | 1.50   | 93.0          | 0.00              | 1.40               | 1.40                 |
| 12/18/2017  | #00002187190 | FITZNER, SHAWN    | LIFESTYLE BALANCED PORTFOLIO C     | 50.00               | 0.50   | 93.0          | 0.00              | 0.47               | 0.47                 |
| 12/18/2017  | #00002111491 | BOYER, JOHN       | LIFESTYLE GROWTH PORTFOLIO C       | 150.00              | 1.50   | 93.0          | 0.00              | 1.40               | 1.40                 |
| 12/19/2017  | #00002492486 | DOAIERZS          | LIFESTYLE BALANCED PORTFOLIO C     | 500.00              | 5.00   | 93.0          | 0.00              | 4.65               | 4.65                 |
| 12/20/2017  | #00086479547 | ALEGRIAKIM        | AMERICAN BALANCED FUND INC CL C    | 62.37               | 0.62   | 93.0          | 0.00              | 0.58               | 0.58                 |
| 12/20/2017  | #00002098770 | LOTT, UNIKA       | LIFESTYLE GROWTH PORTFOLIO C       | 100.00              | 1.00   | 93.0          | 0.00              | 0.93               | 0.93                 |
| 12/20/2017  | #00002404190 | NEVILJAMEM        | LIFESTYLE GROWTH PORTFOLIO C       | 40.00               | 0.40   | 93.0          | 0.00              | 0.37               | 0.37                 |
| 12/21/2017  | #00088605018 | BALL, DANIEL      | GROWTH AND INCOME PORTFOLIO-A      | 51.92               | 1.43   | 93.0          | 0.00              | 1.33               | 1.33                 |
| 12/21/2017  | #00088605018 | BALL, DANIEL      | GROWTH AND INCOME PORTFOLIO-A      | 22.25               | 0.61   | 93.0          | 0.00              | 0.57               | 0.57                 |
| 12/26/2017  | #00002133057 | VAN OORT VAR      | LIFESTYLE MODERATE PORTFOLIO C     | 35,000.00           | 350.00 | 93.0          | 0.00              | 325.50             | 325.50               |
| 12/29/2017  | #00088605022 | NAVARRETTE        | GROWTH AND INCOME PORTFOLIO-A      | 19.63               | 0.54   | 93.0          | 0.00              | 0.50               | 0.50                 |
| 12/29/2017  | #00088605022 | NAVARRETTE        | GROWTH AND INCOME PORTFOLIO-A      | 19.63               | 0.54   | 93.0          | 0.00              | 0.50               | 0.50                 |
| 12/29/2017  | #00088605018 | BALL, DANIEL      | GROWTH AND INCOME PORTFOLIO-A      | 22.25               | 0.61   | 93.0          | 0.00              | 0.57               | 0.57                 |
| 12/29/2017  | #00088605018 | BALL, DANIEL      | GROWTH AND INCOME PORTFOLIO-A      | 51.92               | 1.43   | 93.0          | 0.00              | 1.33               | 1.33                 |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                        |              |                   | <b>\$41,715.14</b>                 | <b>\$621.79</b>     |        | <b>\$0.00</b> | <b>\$578.37</b>   | <b>\$0.00</b>      | <b>\$578.37</b>      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>      |              |                   |                                    |                     |        |               |                   |                    |                      |
| 11/30/2017  | #000193827   | MCDONALD, MARYANN | PRUDETIAL TRAILS                   | 0.00                | 4.19   | 93.0          | 0.00              | 3.90               | 3.90                 |
| 12/15/2017  | #GAPC7CZ2F   | HAVEN, THE        | NATIONWIDE 620                     | 0.00                | 66.64  | 93.0          | 0.00              | 61.98              | 61.98                |
| <b>* VARIABLE ANNUITIES SUBTOTAL *</b>                  |              |                   | <b>\$0.00</b>                      | <b>\$70.83</b>      |        | <b>\$0.00</b> | <b>\$65.88</b>    | <b>\$0.00</b>      | <b>\$65.88</b>       |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |              |                   |                                    |                     |        |               |                   |                    |                      |
| 12/01/2017  | #00086479547 | ALEGRIAKIM        | AMERICAN BALANCED FUND INC CL C    | 0.00                | 38.00  | 93.0          | 0.00              | 35.34              | 35.34                |
| 12/01/2017  | #00067028003 | ARMIJO, CHARLES   | AMERICAN BALANCED FUND INC CLASS A | 0.00                | 9.78   | 93.0          | 0.00              | 9.10               | 9.10                 |
| 12/01/2017  | #00073663981 | FITZNER, SHAWN    | AMERICAN BALANCED FUND-529C        | 0.00                | 11.71  | 93.0          | 0.00              | 10.89              | 10.89                |
| 12/01/2017  | #00074932065 | DOLPHIN, ANDREW   | AMERICAN FUNDS 02630R500           | 0.00                | 28.72  | 93.0          | 0.00              | 26.71              | 26.71                |

COMMISSION STATEMENT for KYLE VAN OORT

| DATE   | CLIENT                       | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | RATE | POSTAGE | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|--|------------------------------|------------------------------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u>                       |                              |                                    |                      |                     |      |         |                   |                    |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> |                              |                                    |                      |                     |      |         |                   |                    |                      |
| 12/01/2017                                       | #00083164850 HONG, ANNA      | AMERICAN FUNDS 2020 TARGET DATE-A  | 0.00                 | 0.65                | 93.0 | 0.00    | 0.60              | 0.00               | 0.60                 |
| 12/01/2017                                       | #00068061257 UPTON, JOAN     | BOND FUND OF AMERICA INC CL A      | 0.00                 | 4.46                | 93.0 | 0.00    | 4.15              | 0.00               | 4.15                 |
| 12/01/2017                                       | #00082603126 MCDONALD, CRAIG | BOND FUND OF AMERICA INC CL A      | 0.00                 | 3.60                | 93.0 | 0.00    | 3.35              | 0.00               | 3.35                 |
| 12/01/2017                                       | #00082603126 MCDONALD, CRAIG | CAPITAL WORLD GROWTH & INCOME FUND | 0.00                 | 1.32                | 93.0 | 0.00    | 1.23              | 0.00               | 1.23                 |
| 12/01/2017                                       | #00075782126                 | GROWTH AND INCOME PORFOLIO         | 0.00                 | 4.52                | 93.0 | 0.00    | 4.20              | 0.00               | 4.20                 |
| 12/01/2017                                       | #00088605014                 | GROWTH AND INCOME PORTFOLIO-A      | 0.00                 | 0.36                | 93.0 | 0.00    | 0.33              | 0.00               | 0.33                 |
| 12/01/2017                                       | #00088605018 BALL, DANIEL    | GROWTH AND INCOME PORTFOLIO-A      | 0.00                 | 6.22                | 93.0 | 0.00    | 5.78              | 0.00               | 5.78                 |
| 12/01/2017                                       | #00088605022 NAVARRETTE      | GROWTH AND INCOME PORTFOLIO-A      | 0.00                 | 1.49                | 93.0 | 0.00    | 1.39              | 0.00               | 1.39                 |
| 12/01/2017                                       | #00083360916 DOLPHIN,        | GROWTH AND INCOME PORTFOLIO-A      | 0.00                 | 5.40                | 93.0 | 0.00    | 5.02              | 0.00               | 5.02                 |
| 12/01/2017                                       | #00088893557                 | GROWTH FUND AMER INC CL C          | 0.00                 | 1.57                | 93.0 | 0.00    | 1.46              | 0.00               | 1.46                 |
| 12/01/2017                                       | #00086007624 AZ/TOD          | GROWTH FUND AMER INC CL C          | 0.00                 | 14.48               | 93.0 | 0.00    | 13.47             | 0.00               | 13.47                |
| 12/01/2017                                       | #00086765413 UNTIL AGE 21,   | GROWTH FUND AMER INC CL C          | 0.00                 | 5.05                | 93.0 | 0.00    | 4.70              | 0.00               | 4.70                 |
| 12/01/2017                                       | #00087326387 ALEGRIAKIM      | GROWTH FUND AMER INC CL C          | 0.00                 | 28.22               | 93.0 | 0.00    | 26.24             | 0.00               | 26.24                |
| 12/01/2017                                       | #00088833924 AZ/TOD          | GROWTH FUND AMER INC CL C          | 0.00                 | 3.17                | 93.0 | 0.00    | 2.95              | 0.00               | 2.95                 |
| 12/01/2017                                       | #00068061257 UPTON, JOAN     | GROWTH FUND AMERICA INC CLASS A    | 0.00                 | 47.79               | 93.0 | 0.00    | 44.44             | 0.00               | 44.44                |
| 12/01/2017                                       | #00067266114 UPTON, JOAN     | GROWTH FUND AMERICA INC CLASS A    | 0.00                 | 1.12                | 93.0 | 0.00    | 1.04              | 0.00               | 1.04                 |
| 12/01/2017                                       | #00082603126 MCDONALD, CRAIG | GROWTH FUND AMERICA INC CLASS A    | 0.00                 | 7.35                | 93.0 | 0.00    | 6.84              | 0.00               | 6.84                 |
| 12/01/2017                                       | #00087326387 ALEGRIAKIM      | INCOME FUND AMER INC CL C          | 0.00                 | 24.73               | 93.0 | 0.00    | 23.00             | 0.00               | 23.00                |
| 12/01/2017                                       | #00068061257 UPTON, JOAN     | INCOME FUND OF AMERICA INC CLASS A | 0.00                 | 37.31               | 93.0 | 0.00    | 34.70             | 0.00               | 34.70                |
| 12/01/2017                                       | #00067266112 UPTON, JOAN     | INCOME FUND OF AMERICA INC CLASS A | 0.00                 | 5.78                | 93.0 | 0.00    | 5.38              | 0.00               | 5.38                 |
| 12/01/2017                                       | #00082603126 MCDONALD, CRAIG | INCOME FUND OF AMERICA INC CLASS A | 0.00                 | 20.84               | 93.0 | 0.00    | 19.38             | 0.00               | 19.38                |
| 12/01/2017                                       | #00068061257 UPTON, JOAN     | INVESTMENT CO AMER CLASS A         | 0.00                 | 7.29                | 93.0 | 0.00    | 6.78              | 0.00               | 6.78                 |
| 12/01/2017                                       | #00082603126 MCDONALD, CRAIG | INVESTMENT CO AMER CLASS A         | 0.00                 | 6.16                | 93.0 | 0.00    | 5.73              | 0.00               | 5.73                 |
| 12/01/2017                                       | #00068061257 UPTON, JOAN     | NEW PERSPECTIVE FUND INC CL A      | 0.00                 | 3.38                | 93.0 | 0.00    | 3.14              | 0.00               | 3.14                 |
| 12/01/2017                                       | #00082603126 MCDONALD, CRAIG | SHORT-TERM BOND FUND OF AMERICA-A  | 0.00                 | 2.40                | 93.0 | 0.00    | 2.23              | 0.00               | 2.23                 |
| 12/01/2017                                       | #00068061257 UPTON, JOAN     | SMALLCAP WORLD FUND INC CLASS A    | 0.00                 | 3.21                | 93.0 | 0.00    | 2.99              | 0.00               | 2.99                 |
| 12/01/2017                                       | #00082603126 MCDONALD, CRAIG | SMALLCAP WORLD FUND INC CLASS A    | 0.00                 | 1.19                | 93.0 | 0.00    | 1.11              | 0.00               | 1.11                 |
| 12/14/2017                                       | #00002043049 VAN OORT VAR    | ALTERNATIVE ASSET ALLOCATION C     | 0.00                 | 29.24               | 93.0 | 0.00    | 27.19             | 0.00               | 27.19                |
| 12/14/2017                                       | #00002043369 VAN OORT VAR    | ALTERNATIVE ASSET ALLOCATION C     | 0.00                 | 36.78               | 93.0 | 0.00    | 34.21             | 0.00               | 34.21                |
| 12/14/2017                                       | #00002043370 VAN OORT VAR    | ALTERNATIVE ASSET ALLOCATION C     | 0.00                 | 13.39               | 93.0 | 0.00    | 12.45             | 0.00               | 12.45                |
| 12/14/2017                                       | #00002043540 COELET, WALTER  | ALTERNATIVE ASSET ALLOCATION C     | 0.00                 | 36.50               | 93.0 | 0.00    | 33.95             | 0.00               | 33.95                |
| 12/14/2017                                       | #00002043586 VAN OORT VAR    | ALTERNATIVE ASSET ALLOCATION C     | 0.00                 | 13.14               | 93.0 | 0.00    | 12.22             | 0.00               | 12.22                |
| 12/14/2017                                       | #00002124057 VAN OORT VAR    | ALTERNATIVE ASSET ALLOCATION C     | 0.00                 | 12.79               | 93.0 | 0.00    | 11.89             | 0.00               | 11.89                |
| 12/14/2017                                       | #00002131339 VAN OORT VAR    | ALTERNATIVE ASSET ALLOCATION C     | 0.00                 | 38.83               | 93.0 | 0.00    | 36.11             | 0.00               | 36.11                |
| 12/14/2017                                       | #00002195006 VAN OORT VAR    | ALTERNATIVE ASSET ALLOCATION C     | 0.00                 | 0.84                | 93.0 | 0.00    | 0.78              | 0.00               | 0.78                 |
| 12/14/2017                                       | #00002328261 VAN OORT VAR    | ALTERNATIVE ASSET ALLOCATION C     | 0.00                 | 4.42                | 93.0 | 0.00    | 4.11              | 0.00               | 4.11                 |

COMMISSION STATEMENT for KYLE VAN OORT

| DATE   | CLIENT                     | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | RATE | POSTAGE | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|--|----------------------------|-------------------------------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u>                       |                            |                                     |                      |                     |      |         |                   |                    |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> |                            |                                     |                      |                     |      |         |                   |                    |                      |
| 12/14/2017                                       | #00001204768 VAN OORT VAR  | ALTERNATIVE ASSET ALLOCATION FUND A | 0.00                 | 4.37                | 93.0 | 0.00    | 4.06              | 0.00               | 4.06                 |
| 12/14/2017                                       | #00002117176 VAN OORT VAR  | ALTERNATIVE ASSET ALLOCATION FUND A | 0.00                 | 2.68                | 93.0 | 0.00    | 2.49              | 0.00               | 2.49                 |
| 12/14/2017                                       | #00002324317 VAN OORT VAR  | EMERGING MARKETS C                  | 0.00                 | 6.44                | 93.0 | 0.00    | 5.99              | 0.00               | 5.99                 |
| 12/14/2017                                       | #00002324316 VAN OORT VAR  | INTERNATIONAL VALUE EQUITY C        | 0.00                 | 5.82                | 93.0 | 0.00    | 5.41              | 0.00               | 5.41                 |
| 12/14/2017                                       | #00001723982 VAN OORT VAR  | JOHN HANCOCK - LIFESTYLE GROWTH A   | 0.00                 | 1.68                | 93.0 | 0.00    | 1.56              | 0.00               | 1.56                 |
| 12/14/2017                                       | #00001823419 VAN OORT VAR  | JOHN HANCOCK - LIFESTYLE GROWTH A   | 0.00                 | 18.35               | 93.0 | 0.00    | 17.07             | 0.00               | 17.07                |
| 12/14/2017                                       | #00001848312 VAN OORT VAR  | JOHN HANCOCK - LIFESTYLE GROWTH A   | 0.00                 | 14.87               | 93.0 | 0.00    | 13.83             | 0.00               | 13.83                |
| 12/14/2017                                       | #00001848320 VAN OORT VAR  | JOHN HANCOCK - LIFESTYLE GROWTH A   | 0.00                 | 14.87               | 93.0 | 0.00    | 13.83             | 0.00               | 13.83                |
| 12/14/2017                                       | #00002191441 VAN OORT VAR  | JOHN HANCOCK - LIFESTYLE GROWTH A   | 0.00                 | 1.27                | 93.0 | 0.00    | 1.18              | 0.00               | 1.18                 |
| 12/14/2017                                       | #00002191446 VAN OORT VAR  | JOHN HANCOCK - LIFESTYLE GROWTH A   | 0.00                 | 0.36                | 93.0 | 0.00    | 0.33              | 0.00               | 0.33                 |
| 12/14/2017                                       | #00002193985 VAN OORT VAR  | JOHN HANCOCK - LIFESTYLE GROWTH A   | 0.00                 | 1.51                | 93.0 | 0.00    | 1.40              | 0.00               | 1.40                 |
| 12/14/2017                                       | #00002192280 VAN OORT VAR  | JOHN HANCOCK INVT TR SOVEREIGN BALA | 0.00                 | 149.04              | 93.0 | 0.00    | 138.61            | 0.00               | 138.61               |
| 12/14/2017                                       | #00002324315 VAN OORT VAR  | JOHN HANCOCK INVT TR SOVEREIGN BALA | 0.00                 | 19.04               | 93.0 | 0.00    | 17.71             | 0.00               | 17.71                |
| 12/14/2017                                       | #00001823456 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO A      | 0.00                 | 40.31               | 93.0 | 0.00    | 37.49             | 0.00               | 37.49                |
| 12/14/2017                                       | #00006549081 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO A      | 0.00                 | 0.48                | 93.0 | 0.00    | 0.45              | 0.00               | 0.45                 |
| 12/14/2017                                       | #00006604847 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO A      | 0.00                 | 1.53                | 93.0 | 0.00    | 1.42              | 0.00               | 1.42                 |
| 12/14/2017                                       | #00003372763 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 17.26               | 93.0 | 0.00    | 16.05             | 0.00               | 16.05                |
| 12/14/2017                                       | #00001826696 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 191.61              | 93.0 | 0.00    | 178.20            | 0.00               | 178.20               |
| 12/14/2017                                       | #00001827540 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 55.58               | 93.0 | 0.00    | 51.69             | 0.00               | 51.69                |
| 12/14/2017                                       | #00001827541 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 30.23               | 93.0 | 0.00    | 28.11             | 0.00               | 28.11                |
| 12/14/2017                                       | #00001827544 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 55.73               | 93.0 | 0.00    | 51.83             | 0.00               | 51.83                |
| 12/14/2017                                       | #00001827545 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 126.51              | 93.0 | 0.00    | 117.65            | 0.00               | 117.65               |
| 12/14/2017                                       | #00001827546 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 114.14              | 93.0 | 0.00    | 106.15            | 0.00               | 106.15               |
| 12/14/2017                                       | #00001827549 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 52.22               | 93.0 | 0.00    | 48.56             | 0.00               | 48.56                |
| 12/14/2017                                       | #00001828040 ERIKSON, JANE | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 15.62               | 93.0 | 0.00    | 14.53             | 0.00               | 14.53                |
| 12/14/2017                                       | #00001828047 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 155.33              | 93.0 | 0.00    | 144.46            | 0.00               | 144.46               |
| 12/14/2017                                       | #00001844059 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 52.01               | 93.0 | 0.00    | 48.37             | 0.00               | 48.37                |
| 12/14/2017                                       | #00001844073 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 5.20                | 93.0 | 0.00    | 4.84              | 0.00               | 4.84                 |
| 12/14/2017                                       | #00001844077 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 98.74               | 93.0 | 0.00    | 91.83             | 0.00               | 91.83                |
| 12/14/2017                                       | #00001844081 RONCO         | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 76.58               | 93.0 | 0.00    | 71.22             | 0.00               | 71.22                |
| 12/14/2017                                       | #00001846001 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 28.00               | 93.0 | 0.00    | 26.04             | 0.00               | 26.04                |
| 12/14/2017                                       | #00001846003 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 5.94                | 93.0 | 0.00    | 5.52              | 0.00               | 5.52                 |
| 12/14/2017                                       | #00001849129 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 0.94                | 93.0 | 0.00    | 0.87              | 0.00               | 0.87                 |
| 12/14/2017                                       | #00001853740 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 41.94               | 93.0 | 0.00    | 39.00             | 0.00               | 39.00                |
| 12/14/2017                                       | #00001853745 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 0.67                | 93.0 | 0.00    | 0.62              | 0.00               | 0.62                 |
| 12/14/2017                                       | #00001853746 VAN OORT VAR  | LIFESTYLE BALANCED PORTFOLIO C      | 0.00                 | 0.50                | 93.0 | 0.00    | 0.47              | 0.00               | 0.47                 |

COMMISSION STATEMENT for KYLE VAN OORT

| DATE   | CLIENT       | INVESTMENT      | INVESTMENT<br>AMOUNT           | GROSS<br>COMMISSION | RATE   | POSTAGE | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|--|--------------|-----------------|--------------------------------|---------------------|--------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u>                       |              |                 |                                |                     |        |         |                   |                    |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> |              |                 |                                |                     |        |         |                   |                    |                      |
| 12/14/2017                                       | #00001854456 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 3.80   | 93.0    | 0.00              | 3.53               | 3.53                 |
| 12/14/2017                                       | #00001854646 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 28.94  | 93.0    | 0.00              | 26.91              | 26.91                |
| 12/14/2017                                       | #00001855394 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 52.08  | 93.0    | 0.00              | 48.43              | 48.43                |
| 12/14/2017                                       | #00001862151 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 77.38  | 93.0    | 0.00              | 71.96              | 71.96                |
| 12/14/2017                                       | #00001862155 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 2.14   | 93.0    | 0.00              | 1.99               | 1.99                 |
| 12/14/2017                                       | #00001862156 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 3.04   | 93.0    | 0.00              | 2.83               | 2.83                 |
| 12/14/2017                                       | #00001949826 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 203.04 | 93.0    | 0.00              | 188.83             | 188.83               |
| 12/14/2017                                       | #00001949829 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 203.09 | 93.0    | 0.00              | 188.87             | 188.87               |
| 12/14/2017                                       | #00001956843 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 138.45 | 93.0    | 0.00              | 128.76             | 128.76               |
| 12/14/2017                                       | #00001956844 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 107.31 | 93.0    | 0.00              | 99.80              | 99.80                |
| 12/14/2017                                       | #00001958760 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 11.91  | 93.0    | 0.00              | 11.08              | 11.08                |
| 12/14/2017                                       | #00001959942 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 13.13  | 93.0    | 0.00              | 12.21              | 12.21                |
| 12/14/2017                                       | #00001959943 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 166.85 | 93.0    | 0.00              | 155.17             | 155.17               |
| 12/14/2017                                       | #00001959945 | VARIOUS VANOORT | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 5.69   | 93.0    | 0.00              | 5.29               | 5.29                 |
| 12/14/2017                                       | #00002000799 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 204.48 | 93.0    | 0.00              | 190.17             | 190.17               |
| 12/14/2017                                       | #00002003571 | LAMPE, TINA     | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 214.36 | 93.0    | 0.00              | 199.35             | 199.35               |
| 12/14/2017                                       | #00002016848 | TENNANT, NANCY  | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 19.99  | 93.0    | 0.00              | 18.59              | 18.59                |
| 12/14/2017                                       | #00002018295 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 12.46  | 93.0    | 0.00              | 11.59              | 11.59                |
| 12/14/2017                                       | #00002018299 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 12.94  | 93.0    | 0.00              | 12.03              | 12.03                |
| 12/14/2017                                       | #00002019842 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 5.26   | 93.0    | 0.00              | 4.89               | 4.89                 |
| 12/14/2017                                       | #00002019850 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 17.23  | 93.0    | 0.00              | 16.02              | 16.02                |
| 12/14/2017                                       | #00002019851 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 39.06  | 93.0    | 0.00              | 36.33              | 36.33                |
| 12/14/2017                                       | #00002019852 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 33.97  | 93.0    | 0.00              | 31.59              | 31.59                |
| 12/14/2017                                       | #00002019854 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 8.86   | 93.0    | 0.00              | 8.24               | 8.24                 |
| 12/14/2017                                       | #00002032728 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 42.05  | 93.0    | 0.00              | 39.11              | 39.11                |
| 12/14/2017                                       | #00002032734 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 1.39   | 93.0    | 0.00              | 1.29               | 1.29                 |
| 12/14/2017                                       | #00002036211 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 38.22  | 93.0    | 0.00              | 35.54              | 35.54                |
| 12/14/2017                                       | #00002042083 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 48.43  | 93.0    | 0.00              | 45.04              | 45.04                |
| 12/14/2017                                       | #00002043174 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 100.57 | 93.0    | 0.00              | 93.53              | 93.53                |
| 12/14/2017                                       | #00002043539 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 17.64  | 93.0    | 0.00              | 16.41              | 16.41                |
| 12/14/2017                                       | #00002092232 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 24.54  | 93.0    | 0.00              | 22.82              | 22.82                |
| 12/14/2017                                       | #00002106091 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 218.85 | 93.0    | 0.00              | 203.53             | 203.53               |
| 12/14/2017                                       | #00002112762 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 23.04  | 93.0    | 0.00              | 21.43              | 21.43                |
| 12/14/2017                                       | #00002112765 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 13.71  | 93.0    | 0.00              | 12.75              | 12.75                |
| 12/14/2017                                       | #00002112767 | VARIOUS VANOORT | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 22.06  | 93.0    | 0.00              | 20.52              | 20.52                |
| 12/14/2017                                       | #00002123059 | VAN OORT VAR    | LIFESTYLE BALANCED PORTFOLIO C | 0.00                | 56.66  | 93.0    | 0.00              | 52.69              | 52.69                |

COMMISSION STATEMENT for KYLE VAN OORT

| DATE   | CLIENT       | INVESTMENT                                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | RATE | POSTAGE | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|--|--------------|---|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u>                       |              |   |                      |                     |      |         |                   |                    |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> |              |   |                      |                     |      |         |                   |                    |                      |
| 12/14/2017                                       | #00002129506 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 46.03               | 93.0 | 0.00    | 42.81             | 0.00               | 42.81                |
| 12/14/2017                                       | #00002133738 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 40.18               | 93.0 | 0.00    | 37.37             | 0.00               | 37.37                |
| 12/14/2017                                       | #00002158112 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 5.70                | 93.0 | 0.00    | 5.30              | 0.00               | 5.30                 |
| 12/14/2017                                       | #00002158196 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 28.92               | 93.0 | 0.00    | 26.90             | 0.00               | 26.90                |
| 12/14/2017                                       | #00002160232 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 35.90               | 93.0 | 0.00    | 33.39             | 0.00               | 33.39                |
| 12/14/2017                                       | #00002164411 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 5.35                | 93.0 | 0.00    | 4.98              | 0.00               | 4.98                 |
| 12/14/2017                                       | #00002164622 | TAYLOR, PAUL LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 65.93               | 93.0 | 0.00    | 61.31             | 0.00               | 61.31                |
| 12/14/2017                                       | #00002170084 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 58.11               | 93.0 | 0.00    | 54.04             | 0.00               | 54.04                |
| 12/14/2017                                       | #00002175276 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 466.13              | 93.0 | 0.00    | 433.50            | 0.00               | 433.50               |
| 12/14/2017                                       | #00002179219 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 79.08               | 93.0 | 0.00    | 73.54             | 0.00               | 73.54                |
| 12/14/2017                                       | #00002180400 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 188.49              | 93.0 | 0.00    | 175.30            | 0.00               | 175.30               |
| 12/14/2017                                       | #00002187190 | FITZNER, SHAWN LIFESTYLE BALANCED PORTFOLIO C   | 0.00                 | 99.85               | 93.0 | 0.00    | 92.86             | 0.00               | 92.86                |
| 12/14/2017                                       | #00002327664 | VARIOUS VANOORT LIFESTYLE BALANCED PORTFOLIO C  | 0.00                 | 3.79                | 93.0 | 0.00    | 3.52              | 0.00               | 3.52                 |
| 12/14/2017                                       | #00002337799 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 3.50                | 93.0 | 0.00    | 3.26              | 0.00               | 3.26                 |
| 12/14/2017                                       | #00002337800 | VARIOUS BARRONE LIFESTYLE BALANCED PORTFOLIO C  | 0.00                 | 9.35                | 93.0 | 0.00    | 8.70              | 0.00               | 8.70                 |
| 12/14/2017                                       | #00002389234 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 12.80               | 93.0 | 0.00    | 11.90             | 0.00               | 11.90                |
| 12/14/2017                                       | #00002401558 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 25.50               | 93.0 | 0.00    | 23.72             | 0.00               | 23.72                |
| 12/14/2017                                       | #00002402676 | JOLLY, LIFESTYLE BALANCED PORTFOLIO C           | 0.00                 | 1.15                | 93.0 | 0.00    | 1.07              | 0.00               | 1.07                 |
| 12/14/2017                                       | #00002404598 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 0.58                | 93.0 | 0.00    | 0.54              | 0.00               | 0.54                 |
| 12/14/2017                                       | #00002408810 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 0.02                | 93.0 | 0.00    | 0.02              | 0.00               | 0.02                 |
| 12/14/2017                                       | #00003372765 | VAN OORT VAR LIFESTYLE BALANCED PORTFOLIO C     | 0.00                 | 17.26               | 93.0 | 0.00    | 16.05             | 0.00               | 16.05                |
| 12/14/2017                                       | #00002402675 | JOLLY, LIFESTYLE BALANCED PORTFOLIO C           | 0.00                 | 1.23                | 93.0 | 0.00    | 1.14              | 0.00               | 1.14                 |
| 12/14/2017                                       | #00002015621 | VAN OORT VAR LIFESTYLE CONSERVATIVE PORTFOLIO C | 0.00                 | 18.36               | 93.0 | 0.00    | 17.07             | 0.00               | 17.07                |
| 12/14/2017                                       | #00002015624 | VAN OORT VAR LIFESTYLE CONSERVATIVE PORTFOLIO C | 0.00                 | 35.88               | 93.0 | 0.00    | 33.37             | 0.00               | 33.37                |
| 12/14/2017                                       | #00002394900 | VAN OORT VAR LIFESTYLE CONSERVATIVE PORTFOLIO C | 0.00                 | 0.57                | 93.0 | 0.00    | 0.53              | 0.00               | 0.53                 |
| 12/14/2017                                       | #00001203162 | VAN OORT VAR LIFESTYLE GROWTH PORTFOLIO C       | 0.00                 | 1.07                | 93.0 | 0.00    | 1.00              | 0.00               | 1.00                 |
| 12/14/2017                                       | #00001826692 | VAN OORT VAR LIFESTYLE GROWTH PORTFOLIO C       | 0.00                 | 99.79               | 93.0 | 0.00    | 92.80             | 0.00               | 92.80                |
| 12/14/2017                                       | #00001826694 | VAN OORT VAR LIFESTYLE GROWTH PORTFOLIO C       | 0.00                 | 86.52               | 93.0 | 0.00    | 80.46             | 0.00               | 80.46                |
| 12/14/2017                                       | #00001826697 | VAN OORT VAR LIFESTYLE GROWTH PORTFOLIO C       | 0.00                 | 104.83              | 93.0 | 0.00    | 97.49             | 0.00               | 97.49                |
| 12/14/2017                                       | #00001828049 | VAN OORT VAR LIFESTYLE GROWTH PORTFOLIO C       | 0.00                 | 294.06              | 93.0 | 0.00    | 273.48            | 0.00               | 273.48               |
| 12/14/2017                                       | #00001828050 | VAN OORT VAR LIFESTYLE GROWTH PORTFOLIO C       | 0.00                 | 27.47               | 93.0 | 0.00    | 25.55             | 0.00               | 25.55                |
| 12/14/2017                                       | #00001828053 | VAN OORT VAR LIFESTYLE GROWTH PORTFOLIO C       | 0.00                 | 23.09               | 93.0 | 0.00    | 21.47             | 0.00               | 21.47                |
| 12/14/2017                                       | #00001829819 | VAN OORT VAR LIFESTYLE GROWTH PORTFOLIO C       | 0.00                 | 4.98                | 93.0 | 0.00    | 4.63              | 0.00               | 4.63                 |
| 12/14/2017                                       | #00001844062 | VAN OORT VAR LIFESTYLE GROWTH PORTFOLIO C       | 0.00                 | 85.27               | 93.0 | 0.00    | 79.30             | 0.00               | 79.30                |
| 12/14/2017                                       | #00001844067 | VAN OORT VAR LIFESTYLE GROWTH PORTFOLIO C       | 0.00                 | 130.45              | 93.0 | 0.00    | 121.32            | 0.00               | 121.32               |
| 12/14/2017                                       | #00001844071 | VAN OORT VAR LIFESTYLE GROWTH PORTFOLIO C       | 0.00                 | 6.03                | 93.0 | 0.00    | 5.61              | 0.00               | 5.61                 |

COMMISSION STATEMENT for KYLE VAN OORT

| DATE   | CLIENT       | INVESTMENT     | INVESTMENT<br>AMOUNT         | GROSS<br>COMMISSION | RATE  | POSTAGE | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|--|--------------|----------------|------------------------------|---------------------|-------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u>                       |              |                |                              |                     |       |         |                   |                    |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> |              |                |                              |                     |       |         |                   |                    |                      |
| 12/14/2017                                       | #00001846371 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 2.28  | 93.0    | 0.00              | 2.12               | 2.12                 |
| 12/14/2017                                       | #00001846378 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 19.40 | 93.0    | 0.00              | 18.04              | 18.04                |
| 12/14/2017                                       | #00001846381 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 5.15  | 93.0    | 0.00              | 4.79               | 4.79                 |
| 12/14/2017                                       | #00001846385 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 39.75 | 93.0    | 0.00              | 36.97              | 36.97                |
| 12/14/2017                                       | #00002004314 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 23.39 | 93.0    | 0.00              | 21.75              | 21.75                |
| 12/14/2017                                       | #00002017919 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 6.55  | 93.0    | 0.00              | 6.09               | 6.09                 |
| 12/14/2017                                       | #00002020227 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 41.69 | 93.0    | 0.00              | 38.77              | 38.77                |
| 12/14/2017                                       | #00002043536 | COELET, MARY   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 69.85 | 93.0    | 0.00              | 64.96              | 64.96                |
| 12/14/2017                                       | #00002043537 | COELET, WALTER | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 82.30 | 93.0    | 0.00              | 76.54              | 76.54                |
| 12/14/2017                                       | #00002098770 | LOTT, UNIKA    | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 6.91  | 93.0    | 0.00              | 6.43               | 6.43                 |
| 12/14/2017                                       | #00002105876 | MEINDL, ROBERT | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 28.72 | 93.0    | 0.00              | 26.71              | 26.71                |
| 12/14/2017                                       | #00002111491 | BOYER, JOHN    | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 10.25 | 93.0    | 0.00              | 9.53               | 9.53                 |
| 12/14/2017                                       | #00002111492 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 17.20 | 93.0    | 0.00              | 16.00              | 16.00                |
| 12/14/2017                                       | #00002112769 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 12.89 | 93.0    | 0.00              | 11.99              | 11.99                |
| 12/14/2017                                       | #00002112770 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 6.72  | 93.0    | 0.00              | 6.25               | 6.25                 |
| 12/14/2017                                       | #00002124056 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 79.78 | 93.0    | 0.00              | 74.20              | 74.20                |
| 12/14/2017                                       | #00002130594 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 15.77 | 93.0    | 0.00              | 14.67              | 14.67                |
| 12/14/2017                                       | #00002134391 | MEINDL, ROBERT | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 13.63 | 93.0    | 0.00              | 12.68              | 12.68                |
| 12/14/2017                                       | #00002162742 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 11.85 | 93.0    | 0.00              | 11.02              | 11.02                |
| 12/14/2017                                       | #00002164899 | BOYER, JOHN    | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 11.63 | 93.0    | 0.00              | 10.82              | 10.82                |
| 12/14/2017                                       | #00002170093 |                | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 45.59 | 93.0    | 0.00              | 42.40              | 42.40                |
| 12/14/2017                                       | #00002179564 | COELEROSSA     | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 10.01 | 93.0    | 0.00              | 9.31               | 9.31                 |
| 12/14/2017                                       | #00002190043 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 3.79  | 93.0    | 0.00              | 3.52               | 3.52                 |
| 12/14/2017                                       | #00002192088 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 13.43 | 93.0    | 0.00              | 12.49              | 12.49                |
| 12/14/2017                                       | #00002192142 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 1.93  | 93.0    | 0.00              | 1.79               | 1.79                 |
| 12/14/2017                                       | #00002192963 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 3.75  | 93.0    | 0.00              | 3.49               | 3.49                 |
| 12/14/2017                                       | #00002193302 | HESS, TEREK    | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 1.36  | 93.0    | 0.00              | 1.26               | 1.26                 |
| 12/14/2017                                       | #00002195005 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 3.78  | 93.0    | 0.00              | 3.52               | 3.52                 |
| 12/14/2017                                       | #00002195815 | FITZNSIENM     | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 1.07  | 93.0    | 0.00              | 1.00               | 1.00                 |
| 12/14/2017                                       | #00002196011 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 40.24 | 93.0    | 0.00              | 37.42              | 37.42                |
| 12/14/2017                                       | #00002197358 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 8.90  | 93.0    | 0.00              | 8.28               | 8.28                 |
| 12/14/2017                                       | #00002327396 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 2.84  | 93.0    | 0.00              | 2.64               | 2.64                 |
| 12/14/2017                                       | #00002336243 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 9.95  | 93.0    | 0.00              | 9.25               | 9.25                 |
| 12/14/2017                                       | #00002401559 | THEBEANNAL     | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 1.04  | 93.0    | 0.00              | 0.97               | 0.97                 |
| 12/14/2017                                       | #00002404190 | NEVILJAMEM     | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 2.91  | 93.0    | 0.00              | 2.71               | 2.71                 |
| 12/14/2017                                       | #00002404601 | VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C | 0.00                | 1.82  | 93.0    | 0.00              | 1.69               | 1.69                 |



COMMISSION STATEMENT for KYLE VAN OORT

| DATE   | CLIENT                      | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | RATE | POSTAGE | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|--|-----------------------------|-------------------------------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u>                       |                             |                                     |                      |                     |      |         |                   |                    |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> |                             |                                     |                      |                     |      |         |                   |                    |                      |
| 12/14/2017                                       | #00002404602 DAILE, JULIA   | LIFESTYLE GROWTH PORTFOLIO C        | 0.00                 | 0.34                | 93.0 | 0.00    | 0.32              | 0.00               | 0.32                 |
| 12/14/2017                                       | #00002493090 VAN OORT VAR   | LIFESTYLE GROWTH PORTFOLIO C        | 0.00                 | 6.49                | 93.0 | 0.00    | 6.04              | 0.00               | 6.04                 |
| 12/14/2017                                       | #00001202629 VAN OORT VAR   | LIFESTYLE MODERATE PORTFOLIO C      | 0.00                 | 9.02                | 93.0 | 0.00    | 8.39              | 0.00               | 8.39                 |
| 12/14/2017                                       | #00001203274 VAN OORT VAR   | LIFESTYLE MODERATE PORTFOLIO C      | 0.00                 | 45.19               | 93.0 | 0.00    | 42.03             | 0.00               | 42.03                |
| 12/14/2017                                       | #00001849129 VAN OORT VAR   | LIFESTYLE MODERATE PORTFOLIO C      | 0.00                 | 3.16                | 93.0 | 0.00    | 2.94              | 0.00               | 2.94                 |
| 12/14/2017                                       | #00002000802 SANDS, SHIRLEY | LIFESTYLE MODERATE PORTFOLIO C      | 0.00                 | 3.48                | 93.0 | 0.00    | 3.24              | 0.00               | 3.24                 |
| 12/14/2017                                       | #00002012319 VAN OORT VAR   | LIFESTYLE MODERATE PORTFOLIO C      | 0.00                 | 24.08               | 93.0 | 0.00    | 22.39             | 0.00               | 22.39                |
| 12/14/2017                                       | #00002012322 VAN OORT VAR   | LIFESTYLE MODERATE PORTFOLIO C      | 0.00                 | 1.16                | 93.0 | 0.00    | 1.08              | 0.00               | 1.08                 |
| 12/14/2017                                       | #00002037352 VAN OORT VAR   | LIFESTYLE MODERATE PORTFOLIO C      | 0.00                 | 62.84               | 93.0 | 0.00    | 58.44             | 0.00               | 58.44                |
| 12/14/2017                                       | #00002039253                | LIFESTYLE MODERATE PORTFOLIO C      | 0.00                 | 70.12               | 93.0 | 0.00    | 65.21             | 0.00               | 65.21                |
| 12/14/2017                                       | #00002039254 TRUEBLOOD,     | LIFESTYLE MODERATE PORTFOLIO C      | 0.00                 | 15.28               | 93.0 | 0.00    | 14.21             | 0.00               | 14.21                |
| 12/14/2017                                       | #00002131338 VAN OORT VAR   | LIFESTYLE MODERATE PORTFOLIO C      | 0.00                 | 141.27              | 93.0 | 0.00    | 131.38            | 0.00               | 131.38               |
| 12/14/2017                                       | #00002133057 VAN OORT VAR   | LIFESTYLE MODERATE PORTFOLIO C      | 0.00                 | 93.31               | 93.0 | 0.00    | 86.78             | 0.00               | 86.78                |
| 12/14/2017                                       | #00002158130 VAN OORT VAR   | LIFESTYLE MODERATE PORTFOLIO C      | 0.00                 | 46.00               | 93.0 | 0.00    | 42.78             | 0.00               | 42.78                |
| 12/14/2017                                       | #00002160073 VAN OORT VAR   | LIFESTYLE MODERATE PORTFOLIO C      | 0.00                 | 125.09              | 93.0 | 0.00    | 116.33            | 0.00               | 116.33               |
| 12/14/2017                                       | #00002337794 NEVILJAMEM     | LIFESTYLE MODERATE PORTFOLIO C      | 0.00                 | 49.97               | 93.0 | 0.00    | 46.47             | 0.00               | 46.47                |
| 12/14/2017                                       | #00002493062 VAN OORT VAR   | LIFESTYLE MODERATE PORTFOLIO C      | 0.00                 | 0.02                | 93.0 | 0.00    | 0.02              | 0.00               | 0.02                 |
| 12/14/2017                                       | #00002005454 VAN OORT VAR   | RETIREMENT LIVING THROUGH 2030 PORT | 0.00                 | 10.91               | 93.0 | 0.00    | 10.15             | 0.00               | 10.15                |
| 12/14/2017                                       | #00002106006 VAN OORT VAR   | RETIREMENT LIVING THROUGH 2030 PORT | 0.00                 | 22.12               | 93.0 | 0.00    | 20.57             | 0.00               | 20.57                |
| 12/14/2017                                       | #00003372764 VAN OORT VAR   | TAX-FREE BOND C                     | 0.00                 | 5.31                | 93.0 | 0.00    | 4.94              | 0.00               | 4.94                 |
| 12/14/2017                                       | #00001855395 VAN OORT VAR   | TAX-FREE BOND C                     | 0.00                 | 7.72                | 93.0 | 0.00    | 7.18              | 0.00               | 7.18                 |
| 12/14/2017                                       | #00001949827 VAN OORT VAR   | TAX-FREE BOND C                     | 0.00                 | 24.41               | 93.0 | 0.00    | 22.70             | 0.00               | 22.70                |
| 12/14/2017                                       | #00001949830 VAN OORT VAR   | TAX-FREE BOND C                     | 0.00                 | 24.38               | 93.0 | 0.00    | 22.67             | 0.00               | 22.67                |
| 12/14/2017                                       | #00002039255 VAN OORT VAR   | TAX-FREE BOND C                     | 0.00                 | 1.06                | 93.0 | 0.00    | 0.99              | 0.00               | 0.99                 |
| 12/14/2017                                       | #00002117178 VAN OORT VAR   | TAX-FREE BOND C                     | 0.00                 | 27.03               | 93.0 | 0.00    | 25.14             | 0.00               | 25.14                |
| 12/14/2017                                       | #00002131264 VAN OORT VAR   | TAX-FREE BOND C                     | 0.00                 | 6.99                | 93.0 | 0.00    | 6.50              | 0.00               | 6.50                 |
| 12/14/2017                                       | #00002157273 VAN OORT VAR   | TAX-FREE BOND C                     | 0.00                 | 199.98              | 93.0 | 0.00    | 185.98            | 0.00               | 185.98               |
| 12/14/2017                                       | #00002172207 VAN OORT VAR   | TAX-FREE BOND C                     | 0.00                 | 203.65              | 93.0 | 0.00    | 189.39            | 0.00               | 189.39               |
| 12/14/2017                                       | #00003371840 VAN OORT VAR   | TAX-FREE BOND C                     | 0.00                 | 0.77                | 93.0 | 0.00    | 0.72              | 0.00               | 0.72                 |
| 12/14/2017                                       | #00003372766 VAN OORT VAR   | TAX-FREE BOND C                     | 0.00                 | 5.31                | 93.0 | 0.00    | 4.94              | 0.00               | 4.94                 |
| 12/14/2017                                       | #00002043173 COELET, MARY   | US GLOBAL LEADERS GROWTH C          | 0.00                 | 25.44               | 93.0 | 0.00    | 23.66             | 0.00               | 23.66                |
| 12/14/2017                                       | #00002131340 VAN OORT VAR   | US GLOBAL LEADERS GROWTH C          | 0.00                 | 22.44               | 93.0 | 0.00    | 20.87             | 0.00               | 20.87                |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *             |                             |                                     | \$0.00               | \$8,178.87          |      | \$0.00  | \$7,606.36        | \$0.00             | \$7,606.36           |
| *** BROKER TRANSACTIONS TOTAL ***                |                             |                                     | \$41,715.14          | \$8,871.49          |      | \$0.00  | \$8,250.61        | \$0.00             | \$8,250.61           |

COMMISSION STATEMENT for KYLE VAN OORT

| DATE | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | RATE | POSTAGE | NET<br>COMMISSION | CLEARING<br>CHARGE | BROKER<br>COMMISSION |
|------|--------|------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
|------|--------|------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|

ADJUSTMENTS

|                           |  |                                  |  |  |  |  |  |  |                  |
|---------------------------|--|----------------------------------|--|--|--|--|--|--|------------------|
| 01/20/2018                |  | BETA BACK OFFICE: ADMIN FEE      |  |  |  |  |  |  | -320.00          |
| 01/20/2018                |  | E & O INSURANCE: E & O INSURANCE |  |  |  |  |  |  | -179.00          |
| *** ADJUSTMENTS TOTAL *** |  |                                  |  |  |  |  |  |  | <u>\$-499.00</u> |

BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$8,250.61 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$-499.00  |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

|              |            |
|--------------|------------|
| Check Amount | \$7,751.61 |
|--------------|------------|