

STATEMENT

February 20, 2018

ERIK EXISTING DODDS

BROKER #: 055

BRANCH: LA BRANCH

, CA

COMMISSION STATEMENT for ERIK EXISTING DODDS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

01/08/2018 # KOLM, DENISE	AB BD FD INC INCOME FD ADVISOR CL S	16,732.02	50.00	20.00	0.00	30.00	89.0	26.70
* MUTUAL FUNDS SUBTOTAL *		\$16,732.02	\$50.00	\$20.00	\$0.00	\$30.00		\$26.70

PRODUCT CATEGORY: STOCKS

01/02/2018 # MORRELL, LYNN	ENTERPRISE PRODUCTS PARTNERS LP B	2,684.66	50.00	19.95	0.00	30.05	89.0	26.74
01/02/2018 # MORRELL, LYNN	GENERAL ELECTRIC CO B	3,567.00	50.00	19.95	0.00	30.05	89.0	26.74
01/02/2018 # MORRELL, BRIAN	GLOBAL X FUNDS GLOBAL X ROBOTICS & B	2,393.90	50.00	19.95	0.00	30.05	89.0	26.74
01/02/2018 # MORRELL, LYNN	PFIZER INC B	3,643.50	90.79	19.95	0.00	70.84	89.0	63.05
01/02/2018 # MORRELL, LYNN	SELECT SECTOR SPDR TRUST SHS BEN IN B	2,550.10	50.00	19.95	0.00	30.05	89.0	26.74
01/02/2018 # MORRELL, LYNN	SENIOR HSG PPTYS TR B	5,786.97	50.00	19.95	0.00	30.05	89.0	26.74
01/08/2018 # KOLM, DENISE	BLACKROCK CREDIT ALLOCATION INCOME S	14,629.23	50.00	19.95	0.00	30.05	89.0	26.74
01/08/2018 # KOLM, DENISE	ISHARES TR BARCLAYS TREAS INFLATION S	88,287.85	50.00	19.95	0.00	30.05	89.0	26.74
01/08/2018 # KOLM, DENISE	PIMCO 1-5 YEAR U S TIPS INDEX EXCHA S	34,839.26	50.00	19.95	0.00	30.05	89.0	26.74
01/08/2018 # KOLM, DENISE	PUTNAM PREMIER INCOME TRUST SH BEN S	14,134.63	50.00	19.95	0.00	30.05	89.0	26.74
01/08/2018 # KOLM, DENISE	SPDR GOLD TR S	12,505.50	50.00	19.95	0.00	30.05	89.0	26.74
01/24/2018 # RATHKOPF, IRENE	ISHARES CORE MSCI EMERGING MARKETS B	3,083.50	50.00	19.95	0.00	30.05	89.0	26.74
01/24/2018 # RATHKOPF, IRENE	ISHARES CORE MSCI EMERGING MARKETS S	-3,083.50	-50.00	29.95	0.00	-79.95	89.0	-71.16
01/24/2018 # RATHKOPF, IRENE	ISHARES CORE MSCI EMERGING MARKETS B	3,083.50	44.50	29.95	0.00	14.55	89.0	12.95
01/24/2018 # RATHKOPF, IRENE	SENIOR HSG PPTYS TR B	2,683.20	50.00	19.95	0.00	30.05	89.0	26.74
01/24/2018 # RATHKOPF, IRENE	WISDOMTREE TRUST INTERNATIONAL HEDG B	3,246.50	50.00	19.95	0.00	30.05	89.0	26.74
01/25/2018 # GOLUBOFF, VICTORIA	BLACKSTONE GROUP L P S	1,411.80	50.00	19.95	0.00	30.05	89.0	26.74
01/25/2018 # GOLUBOFF, VICTORIA	FQF TR S	1,453.76	50.81	19.95	0.00	30.86	89.0	27.47
01/25/2018 #	INDEXIQ ETF TR S	223.03	0.00	0.00	0.00	0.00	89.0	0.00
01/25/2018 # GOLUBOFF, VICTORIA	SELECT SECTOR SPDR TRUST SHS BEN IN S	1,171.35	50.00	19.95	0.00	30.05	89.0	26.74
01/25/2018 # GOLUBOFF, VICTORIA	SPDR INDEX SHS FDS S	1,073.16	50.00	19.95	0.00	30.05	89.0	26.74
* STOCKS SUBTOTAL *		\$199,368.90	\$936.10	\$419.00	\$0.00	\$517.10		\$460.15
*** BROKER TRANSACTIONS TOTAL ***		\$216,100.92	\$986.10	\$439.00	\$0.00	\$547.10		\$486.85

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ADJUSTMENTS

02/20/2018		ADMIN FEE: ADMIN FEE								-390.00
02/20/2018		E & O INSURANCE: E & O INSURANCE								-179.00
02/20/2018		DOCUSIGN: DOCUSIGN \$51 FOR OCT, NOV AND DEC								-153.00
02/20/2018		DOCUSIGN: DOCUSIGN								-51.00
*** ADJUSTMENTS TOTAL ***										<u>\$-773.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$486.85
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-773.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-124.39
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	\$-410.54
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