

COMMISSION STATEMENT  
January 05, 2018

SYLVIA LUM  
3200 N. Central Ave.  
#200  
Phoenix, AZ 85012

BROKER #: 73610  
BRANCH: 04-#70A11 HOME OFFIC

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

Company: Securities America

BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

|                                   |                     |                      |        |        |        |        |        |
|-----------------------------------|---------------------|----------------------|--------|--------|--------|--------|--------|
| 01/05/2018                        | LUM (73610), SYLVIA | SAI SECURITES INCOME | 0.00   | 2.50   | 0.00   | 2.50   | 1.05   |
| * MUTUAL FUNDS SUBTOTAL *         |                     |                      | \$0.00 | \$2.50 | \$0.00 | \$2.50 | \$1.05 |
| *** BROKER TRANSACTIONS TOTAL *** |                     |                      | \$0.00 | \$2.50 | \$0.00 | \$2.50 | \$1.05 |

ADJUSTMENTS

|                                 |  |  |        |        |        |        |         |
|---------------------------------|--|--|--------|--------|--------|--------|---------|
| 16. SAI SIPC FOR P/E 12/28/2017 |  |  |        |        |        |        | -0.01   |
| *** ADJUSTMENTS TOTAL ***       |  |  | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$-0.01 |

BROKER COMMISSION TOTALS

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$1.05  |
| Split Transactions    | \$0.00  |
| Override Transactions | \$0.00  |
| Adjustments           | \$-0.01 |
| Prior Period Balance  | \$0.00  |
| NASD Assessment       | \$0.00  |
| SIPC Assessment       | \$0.00  |

|                       |        |
|-----------------------|--------|
| Check Amount          | \$1.04 |
| Year-to-date Earnings | \$1.04 |