All Companies

LIBERTY PARTNERS

STATEMENT January 20, 2018

MICHAEL GORMAN

3030 River Birch

Pearland, TX 77584-

BROKER #: 278

BRANCH: LA BRANCH

COMMISSION STATEMENT for MICHAEL GORMAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION RATE	BROKER COMMISSION
		BROKER '	<u> </u>	ACTIONS					
PRODUCT CATE	GORY: MUTUAL FUNDS								
12/01/2017 #01	1448531648 TRINHCUON	FA 529 MID CAP PORT-CL A	В	200.00	5.50	0.00	0.00	5.50 92.0	5.06
12/01/2017 #01	1448561397 TRINHCUON	FA 529 MID CAP PORT-CL A	В	100.00	2.75	0.00	0.00	2.75 92.0	2.53
12/01/2017 #01	1448531648 TRINHCUON	FA 529 NEW INSIGHTS PORT-CL A	В	100.00	2.75	0.00	0.00	2.75 92.0	2.53
12/01/2017 #01	1448561397 TRINHCUON	FA 529 NEW INSIGHTS PORT-CL A	В	300.00	8.25	0.00	0.00	8.25 92.0	7.59
12/01/2017 #01	1448561397 TRINHCUON	FA 529 SMALL CAP PORT-CL A	В	100.00	2.75	0.00	0.00	2.75 92.0	2.53
12/01/2017 #01	1448531648 TRINHCUON	FIDELITY STRATIGIC	В	200.00	6.00	0.00	0.00	6.00 92.0	5.52
		* MUTUAL FUNDS SUBTOTA	AL *	\$1,000.00	\$28.00	\$0.00	\$0.00	\$28.00	\$25.76
PRODUCT CATE	EGORY: STOCKS								
11/29/2017 # [DALTON, DAVID	EXCHANGE TRADED CONCEPTS TR EMQQ	EM S	11,796.75	0.00	0.00	0.00	0.00 92.0	0.00
12/05/2017 # H	HANSEN, ROBERT	EXCHANGE TRADED CONCEPTS TR EMQQ	EM S	23,766.00	0.00	0.00	0.00	0.00 92.0	0.00
12/06/2017 # F	REMOND, MARIA DE LOURDE	EXCHANGE TRADED CONCEPTS TR EMQQ	EM S	5,189.55	0.00	0.00	0.00	0.00 92.0	0.00
12/06/2017 # F	REMOND, SANJAY	EXCHANGE TRADED CONCEPTS TR EMQQ	EM S	16,102.54	0.00	0.00	0.00	0.00 92.0	0.00
12/06/2017 # N	NGUYEN, BINH	EXCHANGE TRADED CONCEPTS TR EMQQ	EM S	4,294.16	60.00	19.95	0.00	40.05 92.0	36.85
12/07/2017 # [DURHAM, PATRICIA	GUGGENHEIM CHINA TECHNOLOGY ETF	S	2,320.40	0.00	0.00	0.00	0.00 92.0	0.00
12/15/2017 # [DURHAM, PATRICIA	SPDR SERIES TRUST SPDR RUSSELL 1	000 S	24,192.00	0.00	0.00	0.00	0.00 92.0	0.00
12/22/2017 # 6	GORMAN, MICHAEL	***EMERALD HEALTH THERAPEUTICS	В	1,755.00	0.00	19.95	0.00	-19.95 92.0	-18.35
12/22/2017 # 6	GORMAN, MICHAEL	AUSCANN GROUP HLDGS LTD ORDINARY	SH B	1,147.50	0.00	19.95	0.00	-19.95 92.0	-18.35
12/22/2017 # 6	GORMAN, MICHAEL	NAMASTE TECHNOLOGIES INC COM	S	2,050.00	0.00	19.95	0.00	-19.95 92.0	-18.35
12/22/2017 # 6	GORMAN, MICHAEL	OWC PHARMACEUTICAL RESEARCH CORP	CO S	1,095.00	0.00	19.95	0.00	-19.95 92.0	-18.35
12/27/2017 # N	NGUYEN, BINH	ARK ETF TRUST ARK INNOVATION ETF	В	4,886.27	60.00	19.95	0.00	40.05 92.0	36.85
		* STOCKS SUBTOTA	AL *	\$98,595.17	\$120.00	\$119.70	\$0.00	\$0.30	\$0.30
PRODUCT CATE	GORY: VARIABLE ANNUITIE	<u>s</u>							
11/07/2017 #UL10022466 NGUYEN LINCOLN G		LINCOLN G	В	0.00	4.19	0.00	0.00	4.19 92.0	3.85
11/30/2017 #1087490000 LA DENTAL II, ` JOHN HANCOCK ARA		В	0.00	206.61	0.00	0.00	206.61 92.0	190.08	
12/07/2017 #UI	110022466 NGUYEN	LINCOLN G	В	0.00	4.19	0.00	0.00	4.19 92.0	3.85
		* VARIABLE ANNUITIES SUBTOTA	AL *	\$0.00	\$214.99	\$0.00	\$0.00	\$214.99	\$197.78

COMMISSION STATEMENT for MICHAEL GORMAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION R	ATE	BROKER COMMISSION
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		BROKER	TRANSA	ACTIONS						
PRODUCT CA	TEGORY: MUTUAL FUND 12B1	TRAILS								
	00075036161 NGUYEN, ASHLEY	AMCAP FUND-529A	В	0.00	2.54	0.00	0.00	2.54	92.0	2.34
12/11/2017 #	NG, LISA	DAIN TRAILER	В	0.00	2.65	0.00	0.00	2.65	92.0	2.44
12/11/2017 #	NGUYEN, ROSA	DAIN TRAILER	В	0.00	2.95	0.00	0.00	2.95	92.0	2.71
12/11/2017 #	NGUYEN, ROSA	DAIN TRAILER	В	0.00	4.47	0.00	0.00	4.47	92.0	4.11
12/11/2017 #	HANSEN, ROBERT	DAIN TRAILER	В	0.00	5.04	0.00	0.00	5.04	92.0	4.64
12/11/2017 #	HANSEN, LAURI	DAIN TRAILER	В	0.00	5.04	0.00	0.00	5.04	92.0	4.64
12/11/2017 #	CLOPTON, DANIEL	DAIN TRAILER	В	0.00	2.38	0.00	0.00	2.38	92.0	2.19
12/11/2017 #	LONG, CHARLES	DAIN TRAILER	В	0.00	14.34	0.00	0.00	14.34	92.0	13.19
12/11/2017 #	LONG, CHARLES	DAIN TRAILER	В	0.00	5.56	0.00	0.00	5.56	92.0	5.12
12/11/2017 #	LONG, CHARLES	DAIN TRAILER	В	0.00	6.55	0.00	0.00	6.55	92.0	6.03
12/11/2017 #	LONG, CHARLES	DAIN TRAILER	В	0.00	27.35	0.00	0.00	27.35	92.0	25.16
12/11/2017 #	TUNNEY, JAMES	DAIN TRAILER	В	0.00	12.31	0.00	0.00	12.31	92.0	11.33
12/11/2017 #	TUNNEY, JAMES	DAIN TRAILER	В	0.00	44.91	0.00	0.00	44.91	92.0	41.32
12/11/2017 #	TUNNEY, JAMES	DAIN TRAILER	В	0.00	11.82	0.00	0.00	11.82	92.0	10.87
12/11/2017 #	TUNNEY, JAMES	DAIN TRAILER	В	0.00	14.60	0.00	0.00	14.60	92.0	13.43
01/08/2018 #	01448531648 TRINHCUON	FA 529 MID CAP PORT-CL A	В	0.00	2.43	0.00	0.00	2.43	92.0	2.24
01/08/2018 #	01448561397 TRINHCUON	FA 529 MID CAP PORT-CL A	В	0.00	4.72	0.00	0.00	4.72	92.0	4.34
01/08/2018 #	01448531648 TRINHCUON	FA 529 NEW INSIGHTS PORT-CL A	В	0.00	5.62	0.00	0.00	5.62	92.0	5.17
01/08/2018 #	01448561397 TRINHCUON	FA 529 NEW INSIGHTS PORT-CL A	В	0.00	11.49	0.00	0.00	11.49	92.0	10.57
01/08/2018 #	01448561397 TRINHCUON	FA 529 SMALL CAP PORT-CL A	В	0.00	3.77	0.00	0.00	3.77	92.0	3.47
01/08/2018 #	01448531648 TRINHCUON	FIDELITY STRATIGIC	В	0.00	1.29	0.00	0.00	1.29	92.0	1.19
		* MUTUAL FUND 12B1 TRAILS SUBTO	TAL *	\$0.00	\$191.83	\$0.00	\$0.00	\$191.83		\$176.50
		*** BROKER TRANSACTIONS TOTA	L ***	\$99,595.17	\$554.82	\$119.70	\$0.00	\$435.12	•	\$400.34
		<u>AD.</u>	JUSTMEN	ITS						
01/20/2018		ADMIN FEE: ADMIN FEE								-326.00
01/20/2018		E & O INSURANCE: E & O INSURANC	!E							-249.00
01/20/2018		MWWOD:MISCELLANEOUS: WRITE-OFF								-35.00
		DEBIT BALANCE								
01/20/2018		MWWOD:MISCELLANEOUS: WRITE-OFF								-35.00
		DEBIT BALANCE								
01/20/2018		CIRCLEBLACK: CIRCLEBLACK								-175.00
		*** ADJUSTMENTS TOTA	L ***						•	\$-820.00

BROKER COMMISSION TOTALS

Broker Transactions	\$400.34
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-820.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-534.11
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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