

All Companies
STATEMENT
August 20, 2018

KEVIN BORAD
9560 Topanga Canyon Blvd Suite
SUITE 204
Chatsworth, CA 91311

BROKER #: 128
BRANCH:

COMMISSION STATEMENT for KEVIN BORAD

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
07/03/0018	#81154080603	HUSSAIN COLLEGE BOUND 76220Y778	500.00	15.00	93.0	0.00	13.95	0.00	13.95
06/30/0201	#81154080603	HUSSAIN COLLEGE BOUND 76220Y778	0.00	49.99	93.0	0.00	46.49	0.00	46.49
06/30/0201	#81655712301	LUNAGARIA, AMAR COLLEGE BOUND 76222X471	0.00	25.67	93.0	0.00	23.87	0.00	23.87
06/30/0201	#81154080603	HUSSAIN COLLEGEBOUND	0.00	19.76	93.0	0.00	18.38	0.00	18.38
07/02/2018	#000000000603163	SHINDE, FRANKLIN TEMPLETON FUNDS CALIF TAX	2,000.00	20.00	93.0	0.00	18.60	0.00	18.60
07/02/2018	#07050089069	PATELANIKN PIMCO INCOME FUND CLASS C	100.00	1.00	93.0	0.00	0.93	0.00	0.93
07/02/2018	#07050089071	PATELAMARN PIMCO INCOME FUND CLASS C	100.00	1.00	93.0	0.00	0.93	0.00	0.93
07/03/2018	#5296157570	LUNAGBHARR BLCKRCK	0.00	5.26	93.0	0.00	4.89	0.00	4.89
07/03/2018	#07050076150	PIMCO DIVIDEND AND INCOME BUILDER C	143.65	1.44	93.0	0.00	1.34	0.00	1.34
07/03/2018	#07050076154	PIMCO DIVIDEND AND INCOME BUILDER C	100.00	1.00	93.0	0.00	0.93	0.00	0.93
07/03/2018	#07050087106	PIMCO INCOME FUND CLASS C	200.00	2.00	93.0	0.00	1.86	0.00	1.86
07/03/2018	#07050096938	PIMCO INCOME FUND CLASS C	1,500.00	15.00	93.0	0.00	13.95	0.00	13.95
07/06/2018	#01446367680	VARIOUS BORAD FA SMALL CAP GROWTH	90.24	0.90	93.0	0.00	0.84	0.00	0.84
07/06/2018	#01446367680	VARIOUS BORAD FA SMALL CAP GROWTH	782.00	7.82	93.0	0.00	7.27	0.00	7.27
07/06/2018	#01446368720	VARIOUS BORAD FA WORLD LARGE STOCK	77.88	1.36	93.0	0.00	1.26	0.00	1.26
07/06/2018	#01446368720	VARIOUS BORAD FA WORLD LARGE STOCK	84.36	1.48	93.0	0.00	1.38	0.00	1.38
07/06/2018	#01446368894	VARIOUS BORAD FIDELITY ADV CHINA REGION-CL C	13.73	0.14	93.0	0.00	0.13	0.00	0.13
07/06/2018	#01446368894	VARIOUS BORAD FIDELITY ADV CHINA REGION-CL C	28.00	0.28	93.0	0.00	0.26	0.00	0.26
07/06/2018	#01446368894	VARIOUS BORAD FIDELITY ADV COMM EQUIPMENT-CL C	29.42	0.29	93.0	0.00	0.27	0.00	0.27
07/06/2018	#01446368894	VARIOUS BORAD FIDELITY ADV COMM EQUIPMENT-CL C	60.00	0.60	93.0	0.00	0.56	0.00	0.56
07/06/2018	#01446368894	VARIOUS BORAD FIDELITY ADV CONVERTIBLE SECURITIES	29.42	0.29	93.0	0.00	0.27	0.00	0.27
07/06/2018	#01446368894	VARIOUS BORAD FIDELITY ADV CONVERTIBLE SECURITIES	60.00	0.60	93.0	0.00	0.56	0.00	0.56
07/06/2018	#01446368894	VARIOUS BORAD FIDELITY ADV EMERGING ASIA-CL C	13.73	0.14	93.0	0.00	0.13	0.00	0.13
07/06/2018	#01446368894	VARIOUS BORAD FIDELITY ADV EMERGING ASIA-CL C	28.00	0.28	93.0	0.00	0.26	0.00	0.26
07/06/2018	#01446368894	VARIOUS BORAD FIDELITY ADV EMERGING MRKTS INC-CL	15.69	0.16	93.0	0.00	0.15	0.00	0.15
07/06/2018	#01446368894	VARIOUS BORAD FIDELITY ADV EMERGING MRKTS INC-CL	32.00	0.32	93.0	0.00	0.30	0.00	0.30
07/06/2018	#01482544887	VARIOUS BORAD FIDELITY ADV FREEDOM 2050-CL C	184.60	1.85	93.0	0.00	1.72	0.00	1.72
07/06/2018	#01482544887	VARIOUS BORAD FIDELITY ADV FREEDOM 2050-CL C	307.68	3.08	93.0	0.00	2.86	0.00	2.86

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
07/06/2018	#01446350454	VARIOUS BORAD	FIDELITY ADV FREEDOM 2050-CL C	207.68	2.08	93.0	0.00	1.93	1.93
07/06/2018	#01446350454	VARIOUS BORAD	FIDELITY ADV FREEDOM 2050-CL C	346.16	3.46	93.0	0.00	3.22	3.22
07/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV HIGH INCOME ADVANTAGE-	15.69	0.16	93.0	0.00	0.15	0.15
07/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV HIGH INCOME ADVANTAGE-	32.00	0.32	93.0	0.00	0.30	0.30
07/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV INDUSTRIALS-CL C	29.42	0.29	93.0	0.00	0.27	0.27
07/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV INDUSTRIALS-CL C	60.00	0.60	93.0	0.00	0.56	0.56
07/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV MID CAP-CL C	7.85	0.08	93.0	0.00	0.07	0.07
07/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV MID CAP-CL C	16.00	0.16	93.0	0.00	0.15	0.15
07/06/2018	#01446368720	VARIOUS BORAD	FIDELITY ADV NEW INSIGHTS-CL A	77.88	1.36	93.0	0.00	1.26	1.26
07/06/2018	#01446368720	VARIOUS BORAD	FIDELITY ADV NEW INSIGHTS-CL A	84.38	1.48	93.0	0.00	1.38	1.38
07/06/2018	#01446368720	VARIOUS BORAD	FIDELITY ADV STRATEGIC DIV & INCOME	77.88	1.36	93.0	0.00	1.26	1.26
07/06/2018	#01446368720	VARIOUS BORAD	FIDELITY ADV STRATEGIC DIV & INCOME	84.38	1.48	93.0	0.00	1.38	1.38
07/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV STRATEGIC INCOME-CL C	17.65	0.18	93.0	0.00	0.17	0.17
07/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV STRATEGIC INCOME-CL C	36.00	0.36	93.0	0.00	0.33	0.33
07/06/2018	#01446368720	VARIOUS BORAD	FIDELITY ADVISOR EMERGING MARKET FU	77.88	1.36	93.0	0.00	1.26	1.26
07/06/2018	#01446368720	VARIOUS BORAD	FIDELITY ADVISOR EMERGING MARKET FU	84.38	1.48	93.0	0.00	1.38	1.38
07/06/2018	#01446367680	VARIOUS BORAD	FIDELITY ADVISOR LARGE CAP	87.58	0.88	93.0	0.00	0.82	0.82
07/06/2018	#01446367680	VARIOUS BORAD	FIDELITY ADVISOR LARGE CAP	759.00	7.59	93.0	0.00	7.06	7.06
07/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADVISOR LATIN AMERICA FUND	13.75	0.14	93.0	0.00	0.13	0.13
07/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADVISOR LATIN AMERICA FUND	28.00	0.28	93.0	0.00	0.26	0.26
07/06/2018	#01446367680	VARIOUS BORAD	FIDELITY MID CAP VALUE	87.58	0.88	93.0	0.00	0.82	0.82
07/06/2018	#01446367680	VARIOUS BORAD	FIDELITY MID CAP VALUE	759.00	7.59	93.0	0.00	7.06	7.06
07/06/2018	#01446368894	VARIOUS BORAD	TREASURY FUND ADVISOR-CL C	9.81	0.10	93.0	0.00	0.09	0.09
07/06/2018	#01446368894	VARIOUS BORAD	TREASURY FUND ADVISOR-CL C	20.00	0.20	93.0	0.00	0.19	0.19
07/09/2018	#00035828101	KACHHADIA,	IVY LASALLE GBL RSKMGED REAL ESTATE	500.00	5.00	93.0	0.00	4.65	4.65
07/09/2018	#00035828101	KACHHADIA,	IVY LASALLE GBL RSKMGED REAL ESTATE	100.20	1.00	93.0	0.00	0.93	0.93
07/09/2018	#00035830927	BUTANI, BATUK	IVY LASALLE GBL RSKMGED REAL ESTATE	50.00	0.50	93.0	0.00	0.47	0.47
07/09/2018	#00035830927	BUTANI, BATUK	IVY LASALLE GBL RSKMGED REAL ESTATE	56.25	0.56	93.0	0.00	0.52	0.52
07/09/2018	#00035830928	BUTANI, KARSHAN	IVY LASALLE GBL RSKMGED REAL ESTATE	50.00	0.50	93.0	0.00	0.47	0.47
07/09/2018	#00035830928	BUTANI, KARSHAN	IVY LASALLE GBL RSKMGED REAL ESTATE	56.25	0.56	93.0	0.00	0.52	0.52
07/16/2018	#000000000607349	DADHANIA,	FRANKLIN TEMPLETON FUNDS CALIF TAX	150.00	1.50	93.0	0.00	1.40	1.40
07/16/2018	#07050093000	PATELAUDRL	PIMCO INCOME FUND CLASS C	100.00	1.00	93.0	0.00	0.93	0.93
07/20/2018	#000000000134813	HUSSASEHA	TEMPLETON INCOME TR GLOBAL TOTAL RE	1,100.00	11.00	93.0	0.00	10.23	10.23
07/20/2018	#000000000153130	HUSSAMARV	TEMPLETON INCOME TR GLOBAL TOTAL RE	1,100.00	11.00	93.0	0.00	10.23	10.23
07/20/2018	#000000000153142	HUSSAMARV	TEMPLETON INCOME TR GLOBAL TOTAL RE	1,100.00	11.00	93.0	0.00	10.23	10.23

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* MUTUAL FUNDS SUBTOTAL *			\$13,863.05	\$254.20		\$0.00	\$236.42	\$0.00	\$236.42
<u>PRODUCT CATEGORY: STOCKS</u>									
07/09/2018 #		PIMCO CORPORATE & INCOME OPPORTUNIT	65,231.25	1,378.00	85.0	0.00	1,171.30	19.95	1,151.35
07/09/2018 #		PIMCO CORPORATE & INCOME STRATEGY F	65,261.72	1,378.00	85.0	0.00	1,171.30	19.95	1,151.35
07/09/2018 #		PIMCO DYNAMIC INCOME FUND	65,955.25	1,378.00	85.0	0.00	1,171.30	19.95	1,151.35
* STOCKS SUBTOTAL *			\$196,448.22	\$4,134.00		\$0.00	\$3,513.90	\$59.85	\$3,454.05
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
07/26/2018 #1014537690		PERSP II 09/12	300.00	22.50	93.0	0.00	20.93	0.00	20.93
* VARIABLE ANNUITIES SUBTOTAL *			\$300.00	\$22.50		\$0.00	\$20.93	\$0.00	\$20.93
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
06/30/2018 #06020228987	VARIOUS BORAD	DIVIDEND OPPORTUNITY FUND	0.00	14.15	93.0	0.00	13.16	0.00	13.16
06/30/2018 #06020229735	VARIOUS BORAD	DIVIDEND OPPORTUNITY FUND	0.00	7.22	93.0	0.00	6.71	0.00	6.71
06/30/2018 #00100061524	GUPTA, DEVENDRA	EMERGING MARKETS LOCAL DEBT CLASS C	0.00	14.08	93.0	0.00	13.09	0.00	13.09
06/30/2018 #00100061667	BILLIM, Z	EMERGING MARKETS LOCAL DEBT CLASS C	0.00	14.07	93.0	0.00	13.09	0.00	13.09
06/30/2018 #08370812031	VARIOUS BORAD	EQUITY INCOME FUND, INC. C	0.00	13.72	93.0	0.00	12.76	0.00	12.76
06/30/2018 #08370814275	VARIOUS BORAD	EQUITY INCOME FUND, INC. C	0.00	13.98	93.0	0.00	13.00	0.00	13.00
06/30/2018 #00100010099	GUPTA, DEVENDRA	INTERNATIONAL GROWTH AND INCOME FUN	0.00	13.98	93.0	0.00	13.00	0.00	13.00
06/30/2018 #00100010132	BILLIM, Z	INTERNATIONAL GROWTH AND INCOME FUN	0.00	14.16	93.0	0.00	13.17	0.00	13.17
06/30/2018 #08620283140	VARIOUS BORAD	LIMITED TERM MUNICIPAL FUND C	0.00	13.37	93.0	0.00	12.43	0.00	12.43
06/30/2018 #07313464648	VARIOUS BORAD	OPPENHEIMER MAIN STR SELECT FD CL A	0.00	2.65	93.0	0.00	2.46	0.00	2.46
06/30/2018 #05450837386	VARIOUS BORAD	PORTFOLIO SERIES: MODERATE INVESTOR	0.00	11.81	93.0	0.00	10.98	0.00	10.98
06/30/2018 #05451193445	VARIOUS BORAD	PORTFOLIO SERIES: MODERATE INVESTOR	0.00	6.74	93.0	0.00	6.27	0.00	6.27
06/30/2018 #00100012442	GUPTA, DEVENDRA	STEELPATH PANORAMIC FUND	0.00	5.71	93.0	0.00	5.31	0.00	5.31
06/30/2018 #00100012750	BILLIM, Z	STEELPATH PANORAMIC FUND	0.00	5.98	93.0	0.00	5.56	0.00	5.56
06/30/2018 #03770549296	VARIOUS BORAD	VALUE FUND CLASS C	0.00	7.15	93.0	0.00	6.65	0.00	6.65
06/30/2018 #03770549956	VARIOUS BORAD	VALUE FUND CLASS C	0.00	14.57	93.0	0.00	13.55	0.00	13.55
07/01/2018 #00060232989		MFS GROWTH FUND CL A	0.00	11.89	93.0	0.00	11.06	0.00	11.06
07/01/2018 #08191308832		MFS GROWTH FUND CL C	0.00	20.71	93.0	0.00	19.26	0.00	19.26
07/05/2018 #07050040688	BHAKTA,	PIMCO ALL ASSET AUTH CL C	0.00	1.55	93.0	0.00	1.44	0.00	1.44
07/05/2018 #07050040688	BHAKTA,	PIMCO ALL ASSET AUTH CL C	0.00	4.03	93.0	0.00	3.75	0.00	3.75
07/05/2018 #07050040689	BHAKTA,	PIMCO ALL ASSET AUTH CL C	0.00	0.48	93.0	0.00	0.45	0.00	0.45
07/05/2018 #07050040689	BHAKTA,	PIMCO ALL ASSET AUTH CL C	0.00	1.25	93.0	0.00	1.16	0.00	1.16
07/05/2018 #07050036770	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	11.93	93.0	0.00	11.09	0.00	11.09
07/05/2018 #07050036770	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	35.80	93.0	0.00	33.29	0.00	33.29
07/05/2018 #07050044353	KHURANA, DILDAR	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	1.02	93.0	0.00	0.95	0.00	0.95
07/05/2018 #07050044353	KHURANA, DILDAR	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.06	93.0	0.00	2.85	0.00	2.85
07/05/2018 #07050063375	PATEL, SMITA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	7.25	93.0	0.00	6.74	0.00	6.74
07/05/2018 #07050063375	PATEL, SMITA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	21.74	93.0	0.00	20.22	0.00	20.22

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/05/2018	#07050075313	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.38	93.0	0.00	3.14	3.14
07/05/2018	#07050075313	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	10.15	93.0	0.00	9.44	9.44
07/05/2018	#07050075318	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	9.33	93.0	0.00	8.68	8.68
07/05/2018	#07050075318	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	27.99	93.0	0.00	26.03	26.03
07/05/2018	#07050075326	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	5.14	93.0	0.00	4.78	4.78
07/05/2018	#07050075326	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	15.42	93.0	0.00	14.34	14.34
07/05/2018	#07050075739	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.66	93.0	0.00	4.33	4.33
07/05/2018	#07050075739	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	13.98	93.0	0.00	13.00	13.00
07/05/2018	#07050075745	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.17	93.0	0.00	3.88	3.88
07/05/2018	#07050075745	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	12.52	93.0	0.00	11.64	11.64
07/05/2018	#07050075820	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.73	93.0	0.00	4.40	4.40
07/05/2018	#07050075820	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	14.18	93.0	0.00	13.19	13.19
07/05/2018	#07050075821	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	5.50	93.0	0.00	5.12	5.12
07/05/2018	#07050075821	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	16.49	93.0	0.00	15.34	15.34
07/05/2018	#07050075822	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.50	93.0	0.00	4.19	4.19
07/05/2018	#07050075822	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	13.49	93.0	0.00	12.55	12.55
07/05/2018	#07050075823	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.00	93.0	0.00	2.79	2.79
07/05/2018	#07050075823	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	8.99	93.0	0.00	8.36	8.36
07/05/2018	#07050075824	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	1.90	93.0	0.00	1.77	1.77
07/05/2018	#07050075824	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	5.71	93.0	0.00	5.31	5.31
07/05/2018	#07050075825	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	2.88	93.0	0.00	2.68	2.68
07/05/2018	#07050075825	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	8.63	93.0	0.00	8.03	8.03
07/05/2018	#07050075826	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.06	93.0	0.00	2.85	2.85
07/05/2018	#07050075826	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	9.17	93.0	0.00	8.53	8.53
07/05/2018	#07050075828	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	5.30	93.0	0.00	4.93	4.93
07/05/2018	#07050075828	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	15.89	93.0	0.00	14.78	14.78
07/05/2018	#07050075829	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	12.81	93.0	0.00	11.91	11.91
07/05/2018	#07050075829	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	38.44	93.0	0.00	35.75	35.75
07/05/2018	#07050075832	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.31	93.0	0.00	3.08	3.08
07/05/2018	#07050075832	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	9.93	93.0	0.00	9.23	9.23
07/05/2018	#07050075833	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.96	93.0	0.00	3.68	3.68
07/05/2018	#07050075833	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	11.89	93.0	0.00	11.06	11.06
07/05/2018	#07050075834	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.67	93.0	0.00	4.34	4.34
07/05/2018	#07050075834	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	14.01	93.0	0.00	13.03	13.03
07/05/2018	#07050075835	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	2.25	93.0	0.00	2.09	2.09
07/05/2018	#07050075835	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	6.74	93.0	0.00	6.27	6.27

COMMISSION STATEMENT for KEVIN BORAD

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/05/2018	#07050075961	PLAN, FIT	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.32	93.0	0.00	4.02	4.02
07/05/2018	#07050075961	PLAN, FIT	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	12.96	93.0	0.00	12.05	12.05
07/05/2018	#07050076150		PIMCO DIVIDEND AND INCOME BUILDER C	0.00	7.86	93.0	0.00	7.31	7.31
07/05/2018	#07050076150		PIMCO DIVIDEND AND INCOME BUILDER C	0.00	23.58	93.0	0.00	21.93	21.93
07/05/2018	#07050076154		PIMCO DIVIDEND AND INCOME BUILDER C	0.00	8.41	93.0	0.00	7.82	7.82
07/05/2018	#07050076154		PIMCO DIVIDEND AND INCOME BUILDER C	0.00	25.24	93.0	0.00	23.47	23.47
07/05/2018	#07050076156		PIMCO DIVIDEND AND INCOME BUILDER C	0.00	1.51	93.0	0.00	1.40	1.40
07/05/2018	#07050076156		PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.53	93.0	0.00	4.21	4.21
07/05/2018	#07050076890		PIMCO DIVIDEND AND INCOME BUILDER C	0.00	2.05	93.0	0.00	1.91	1.91
07/05/2018	#07050076890		PIMCO DIVIDEND AND INCOME BUILDER C	0.00	6.14	93.0	0.00	5.71	5.71
07/05/2018	#07050079679		PIMCO DIVIDEND AND INCOME BUILDER C	0.00	2.46	93.0	0.00	2.29	2.29
07/05/2018	#07050079679		PIMCO DIVIDEND AND INCOME BUILDER C	0.00	7.38	93.0	0.00	6.86	6.86
07/05/2018	#07050079683		PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.68	93.0	0.00	3.42	3.42
07/05/2018	#07050079683		PIMCO DIVIDEND AND INCOME BUILDER C	0.00	11.04	93.0	0.00	10.27	10.27
07/05/2018	#07050087996	PATEL, VISHNU	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.30	93.0	0.00	4.00	4.00
07/05/2018	#07050087996	PATEL, VISHNU	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	12.91	93.0	0.00	12.01	12.01
07/05/2018	#07050095759		PIMCO INCOME FUND CLASS A	0.00	1.86	93.0	0.00	1.73	1.73
07/05/2018	#07050010158	PATEL, VISHNU	PIMCO INCOME FUND CLASS C	0.00	177.93	93.0	0.00	165.47	165.47
07/05/2018	#07050010158	PATEL, VISHNU	PIMCO INCOME FUND CLASS C	0.00	462.61	93.0	0.00	430.23	430.23
07/05/2018	#07050036770	ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	4.88	93.0	0.00	4.54	4.54
07/05/2018	#07050036770	ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	12.68	93.0	0.00	11.79	11.79
07/05/2018	#07050040688	BHAKTA,	PIMCO INCOME FUND CLASS C	0.00	0.11	93.0	0.00	0.10	0.10
07/05/2018	#07050040688	BHAKTA,	PIMCO INCOME FUND CLASS C	0.00	0.28	93.0	0.00	0.26	0.26
07/05/2018	#07050040689	BHAKTA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.01
07/05/2018	#07050040689	BHAKTA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.01
07/05/2018	#07050063006	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.03	93.0	0.00	0.03	0.03
07/05/2018	#07050063006	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.09	93.0	0.00	0.08	0.08
07/05/2018	#07050075313	ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	1.87	93.0	0.00	1.74	1.74
07/05/2018	#07050075313	ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	4.87	93.0	0.00	4.53	4.53
07/05/2018	#07050075318	ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	7.77	93.0	0.00	7.23	7.23
07/05/2018	#07050075318	ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	20.20	93.0	0.00	18.79	18.79
07/05/2018	#07050075326	ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	2.95	93.0	0.00	2.74	2.74
07/05/2018	#07050075326	ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	7.68	93.0	0.00	7.14	7.14
07/05/2018	#07050075745	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.02	93.0	0.00	0.02	0.02
07/05/2018	#07050075745	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.06	93.0	0.00	0.06	0.06
07/05/2018	#07050075820	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.03	93.0	0.00	0.03	0.03

COMMISSION STATEMENT for KEVIN BORAD

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/05/2018	#07050075820	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	0.07	93.0	0.00	0.07	0.00	0.07
07/05/2018	#07050075821	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	0.03	93.0	0.00	0.03	0.00	0.03
07/05/2018	#07050075821	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	0.07	93.0	0.00	0.07	0.00	0.07
07/05/2018	#07050075822	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	0.02	93.0	0.00	0.02	0.00	0.02
07/05/2018	#07050075822	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	0.06	93.0	0.00	0.06	0.00	0.06
07/05/2018	#07050075823	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	0.02	93.0	0.00	0.02	0.00	0.02
07/05/2018	#07050075823	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	0.04	93.0	0.00	0.04	0.00	0.04
07/05/2018	#07050075826	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	0.02	93.0	0.00	0.02	0.00	0.02
07/05/2018	#07050075826	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	0.05	93.0	0.00	0.05	0.00	0.05
07/05/2018	#07050075832	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	0.02	93.0	0.00	0.02	0.00	0.02
07/05/2018	#07050075832	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	0.05	93.0	0.00	0.05	0.00	0.05
07/05/2018	#07050075833	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	0.02	93.0	0.00	0.02	0.00	0.02
07/05/2018	#07050075833	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	0.06	93.0	0.00	0.06	0.00	0.06
07/05/2018	#07050077535	PIMCO INCOME FUND CLASS C	0.00	10.96	93.0	0.00	10.19	0.00	10.19
07/05/2018	#07050077535	PIMCO INCOME FUND CLASS C	0.00	28.49	93.0	0.00	26.50	0.00	26.50
07/05/2018	#07050077716	PIMCO INCOME FUND CLASS C	0.00	7.92	93.0	0.00	7.37	0.00	7.37
07/05/2018	#07050077716	PIMCO INCOME FUND CLASS C	0.00	20.60	93.0	0.00	19.16	0.00	19.16
07/05/2018	#07050078244	PATEL, ANKITA PIMCO INCOME FUND CLASS C	0.00	3.84	93.0	0.00	3.57	0.00	3.57
07/05/2018	#07050078244	PATEL, ANKITA PIMCO INCOME FUND CLASS C	0.00	9.99	93.0	0.00	9.29	0.00	9.29
07/05/2018	#07050078245	PATEL, PIMCO INCOME FUND CLASS C	0.00	3.84	93.0	0.00	3.57	0.00	3.57
07/05/2018	#07050078245	PATEL, PIMCO INCOME FUND CLASS C	0.00	9.99	93.0	0.00	9.29	0.00	9.29
07/05/2018	#07050079683	PIMCO INCOME FUND CLASS C	0.00	1.39	93.0	0.00	1.29	0.00	1.29
07/05/2018	#07050079683	PIMCO INCOME FUND CLASS C	0.00	3.62	93.0	0.00	3.37	0.00	3.37
07/05/2018	#07050081961	PIMCO INCOME FUND CLASS C	0.00	1.46	93.0	0.00	1.36	0.00	1.36
07/05/2018	#07050081961	PIMCO INCOME FUND CLASS C	0.00	3.81	93.0	0.00	3.54	0.00	3.54
07/05/2018	#07050081962	PIMCO INCOME FUND CLASS C	0.00	2.90	93.0	0.00	2.70	0.00	2.70
07/05/2018	#07050081962	PIMCO INCOME FUND CLASS C	0.00	7.53	93.0	0.00	7.00	0.00	7.00
07/05/2018	#07050082915	SHARMA, RAMESH PIMCO INCOME FUND CLASS C	0.00	84.12	93.0	0.00	78.23	0.00	78.23
07/05/2018	#07050082915	SHARMA, RAMESH PIMCO INCOME FUND CLASS C	0.00	218.71	93.0	0.00	203.40	0.00	203.40
07/05/2018	#07050083554	PIMCO INCOME FUND CLASS C	0.00	2.79	93.0	0.00	2.59	0.00	2.59
07/05/2018	#07050083554	PIMCO INCOME FUND CLASS C	0.00	7.26	93.0	0.00	6.75	0.00	6.75
07/05/2018	#07050085572	INDUCTIVO, PIMCO INCOME FUND CLASS C	0.00	0.91	93.0	0.00	0.85	0.00	0.85
07/05/2018	#07050085572	INDUCTIVO, PIMCO INCOME FUND CLASS C	0.00	2.36	93.0	0.00	2.19	0.00	2.19
07/05/2018	#07050085653	PIMCO INCOME FUND CLASS C	0.00	2.14	93.0	0.00	1.99	0.00	1.99
07/05/2018	#07050085653	PIMCO INCOME FUND CLASS C	0.00	5.58	93.0	0.00	5.19	0.00	5.19
07/05/2018	#07050087106	PIMCO INCOME FUND CLASS C	0.00	5.62	93.0	0.00	5.23	0.00	5.23

COMMISSION STATEMENT for KEVIN BORAD

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/05/2018	#07050087106	PIMCO INCOME FUND CLASS C	0.00	14.60	93.0	0.00	13.58	0.00	13.58
07/05/2018	#07050087774	PIMCO INCOME FUND CLASS C	0.00	0.71	93.0	0.00	0.66	0.00	0.66
07/05/2018	#07050087774	PIMCO INCOME FUND CLASS C	0.00	1.85	93.0	0.00	1.72	0.00	1.72
07/05/2018	#07050088361 PATEL, SUMIT	PIMCO INCOME FUND CLASS C	0.00	7.47	93.0	0.00	6.95	0.00	6.95
07/05/2018	#07050088361 PATEL, SUMIT	PIMCO INCOME FUND CLASS C	0.00	19.42	93.0	0.00	18.06	0.00	18.06
07/05/2018	#07050088362	PIMCO INCOME FUND CLASS C	0.00	7.47	93.0	0.00	6.95	0.00	6.95
07/05/2018	#07050088362	PIMCO INCOME FUND CLASS C	0.00	19.42	93.0	0.00	18.06	0.00	18.06
07/05/2018	#07050089069 PATELANIKN	PIMCO INCOME FUND CLASS C	0.00	7.60	93.0	0.00	7.07	0.00	7.07
07/05/2018	#07050089069 PATELANIKN	PIMCO INCOME FUND CLASS C	0.00	19.75	93.0	0.00	18.37	0.00	18.37
07/05/2018	#07050089071 PATELAMARN	PIMCO INCOME FUND CLASS C	0.00	7.60	93.0	0.00	7.07	0.00	7.07
07/05/2018	#07050089071 PATELAMARN	PIMCO INCOME FUND CLASS C	0.00	19.75	93.0	0.00	18.37	0.00	18.37
07/05/2018	#07050089369	PIMCO INCOME FUND CLASS C	0.00	3.05	93.0	0.00	2.84	0.00	2.84
07/05/2018	#07050089369	PIMCO INCOME FUND CLASS C	0.00	7.93	93.0	0.00	7.37	0.00	7.37
07/05/2018	#07050089372	PIMCO INCOME FUND CLASS C	0.00	1.91	93.0	0.00	1.78	0.00	1.78
07/05/2018	#07050089372	PIMCO INCOME FUND CLASS C	0.00	4.97	93.0	0.00	4.62	0.00	4.62
07/05/2018	#07050089420 BUTANI,	PIMCO INCOME FUND CLASS C	0.00	4.82	93.0	0.00	4.48	0.00	4.48
07/05/2018	#07050089420 BUTANI,	PIMCO INCOME FUND CLASS C	0.00	12.53	93.0	0.00	11.65	0.00	11.65
07/05/2018	#07050090248 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.81	93.0	0.00	0.75	0.00	0.75
07/05/2018	#07050090248 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	2.10	93.0	0.00	1.95	0.00	1.95
07/05/2018	#07050090249 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.67	93.0	0.00	0.62	0.00	0.62
07/05/2018	#07050090249 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	1.75	93.0	0.00	1.63	0.00	1.63
07/05/2018	#07050090251 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.69	93.0	0.00	0.64	0.00	0.64
07/05/2018	#07050090251 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	1.80	93.0	0.00	1.67	0.00	1.67
07/05/2018	#07050090252 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.67	93.0	0.00	0.62	0.00	0.62
07/05/2018	#07050090252 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	1.73	93.0	0.00	1.61	0.00	1.61
07/05/2018	#07050090253 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.67	93.0	0.00	0.62	0.00	0.62
07/05/2018	#07050090253 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	1.73	93.0	0.00	1.61	0.00	1.61
07/05/2018	#07050090254 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	16.58	93.0	0.00	15.42	0.00	15.42
07/05/2018	#07050090254 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	43.10	93.0	0.00	40.08	0.00	40.08
07/05/2018	#07050090255 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.28	93.0	0.00	0.26	0.00	0.26
07/05/2018	#07050090255 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.72	93.0	0.00	0.67	0.00	0.67
07/05/2018	#07050091216 KHULLSAVI	PIMCO INCOME FUND CLASS C	0.00	4.99	93.0	0.00	4.64	0.00	4.64
07/05/2018	#07050091216 KHULLSAVI	PIMCO INCOME FUND CLASS C	0.00	12.99	93.0	0.00	12.08	0.00	12.08
07/05/2018	#07050091331	PIMCO INCOME FUND CLASS C	0.00	1.32	93.0	0.00	1.23	0.00	1.23
07/05/2018	#07050091331	PIMCO INCOME FUND CLASS C	0.00	3.42	93.0	0.00	3.18	0.00	3.18
07/05/2018	#07050092315 SHARMA, RAMESH	PIMCO INCOME FUND CLASS C	0.00	3.73	93.0	0.00	3.47	0.00	3.47

COMMISSION STATEMENT for KEVIN BORAD

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/05/2018	#07050092315	SHARMA, RAMESH	PIMCO INCOME FUND CLASS C	0.00	9.70	93.0	0.00	9.02	9.02
07/05/2018	#07050092316	SHARMA, NEELAM	PIMCO INCOME FUND CLASS C	0.00	3.73	93.0	0.00	3.47	3.47
07/05/2018	#07050092316	SHARMA, NEELAM	PIMCO INCOME FUND CLASS C	0.00	9.70	93.0	0.00	9.02	9.02
07/05/2018	#07050092919	PATEL, SMITA	PIMCO INCOME FUND CLASS C	0.00	28.76	93.0	0.00	26.75	26.75
07/05/2018	#07050092919	PATEL, SMITA	PIMCO INCOME FUND CLASS C	0.00	74.78	93.0	0.00	69.55	69.55
07/05/2018	#07050092928	SHINDE, ARUNA	PIMCO INCOME FUND CLASS C	0.00	0.82	93.0	0.00	0.76	0.76
07/05/2018	#07050092928	SHINDE, ARUNA	PIMCO INCOME FUND CLASS C	0.00	2.14	93.0	0.00	1.99	1.99
07/05/2018	#07050092957	HART CHARITIES	PIMCO INCOME FUND CLASS C	0.00	17.95	93.0	0.00	16.69	16.69
07/05/2018	#07050092957	HART CHARITIES	PIMCO INCOME FUND CLASS C	0.00	46.66	93.0	0.00	43.39	43.39
07/05/2018	#07050093000	PATELAUDRL	PIMCO INCOME FUND CLASS C	0.00	1.99	93.0	0.00	1.85	1.85
07/05/2018	#07050093000	PATELAUDRL	PIMCO INCOME FUND CLASS C	0.00	5.17	93.0	0.00	4.81	4.81
07/05/2018	#07050096402	HADDIS, ZENE	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.01
07/05/2018	#07050096402	HADDIS, ZENE	PIMCO INCOME FUND CLASS C	0.00	0.03	93.0	0.00	0.03	0.03
07/05/2018	#07050096407	DEJESMARI	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.01
07/05/2018	#07050096407	DEJESMARI	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.01
07/05/2018	#07050096727	PATEL, ANKITA	PIMCO INCOME FUND CLASS C	0.00	0.08	93.0	0.00	0.07	0.07
07/05/2018	#07050096727	PATEL, ANKITA	PIMCO INCOME FUND CLASS C	0.00	0.20	93.0	0.00	0.19	0.19
07/05/2018	#07050063006	LUNAGARIA,	PIMCO INVESTMENT GRADE CORP BOND C	0.00	0.71	93.0	0.00	0.66	0.66
07/05/2018	#07050063006	LUNAGARIA,	PIMCO INVESTMENT GRADE CORP BOND C	0.00	1.84	93.0	0.00	1.71	1.71
07/09/2018	#01482511647	VARIOUS BORAD	FA 529 INTERMED BOND PORT-CL A	0.00	0.05	93.0	0.00	0.05	0.05
07/09/2018	#01485867699	VARIOUS BORAD	FA MEGA CAP STOCK FUND	0.00	12.73	93.0	0.00	11.84	11.84
07/09/2018	#01485867731	VARIOUS BORAD	FA MEGA CAP STOCK FUND	0.00	18.10	93.0	0.00	16.83	16.83
07/09/2018	#01446367680	VARIOUS BORAD	FA SMALL CAP GROWTH	0.00	33.16	93.0	0.00	30.84	30.84
07/09/2018	#01446368894	VARIOUS BORAD	FA TELECOMMUNICATIONS FUND	0.00	0.47	93.0	0.00	0.44	0.44
07/09/2018	#01446368720	VARIOUS BORAD	FA WORLD LARGE STOCK	0.00	6.27	93.0	0.00	5.83	5.83
07/09/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV CHINA REGION-CL C	0.00	5.05	93.0	0.00	4.70	4.70
07/09/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV COMM EQUIPMENT-CL C	0.00	10.32	93.0	0.00	9.60	9.60
07/09/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV CONVERTIBLE SECURITIES	0.00	8.21	93.0	0.00	7.64	7.64
07/09/2018	#01488720515	VARIOUS BORAD	FIDELITY ADV DIVIDEND GROWTH FD-CL	0.00	0.19	93.0	0.00	0.18	0.18
07/09/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV EMERGING ASIA-CL C	0.00	4.15	93.0	0.00	3.86	3.86
07/09/2018	#00625301718	VARIOUS BORAD	FIDELITY ADV EMERGING MRKTS INC-CL	0.00	0.01	93.0	0.00	0.01	0.01
07/09/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV EMERGING MRKTS INC-CL	0.00	3.76	93.0	0.00	3.50	3.50
07/09/2018	#01475089957	VARIOUS BORAD	FIDELITY ADV FREEDOM 2050-CL C	0.00	1.37	93.0	0.00	1.27	1.27
07/09/2018	#01482544887	VARIOUS BORAD	FIDELITY ADV FREEDOM 2050-CL C	0.00	11.85	93.0	0.00	11.02	11.02
07/09/2018	#01446350454	VARIOUS BORAD	FIDELITY ADV FREEDOM 2050-CL C	0.00	33.83	93.0	0.00	31.46	31.46
07/09/2018	#01446369207	VARIOUS BORAD	FIDELITY ADV FREEDOM 2050-CL C	0.00	16.10	93.0	0.00	14.97	14.97

COMMISSION STATEMENT for KEVIN BORAD

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/09/2018	#01446369256	VARIOUS BORAD FIDELITY ADV FREEDOM 2050-CL C	0.00	6.84	93.0	0.00	6.36	0.00	6.36
07/09/2018	#01446368852	VARIOUS BORAD FIDELITY ADV GLOBAL CAP APP-CL C	0.00	34.03	93.0	0.00	31.65	0.00	31.65
07/09/2018	#01467041008	VARIOUS BORAD FIDELITY ADV GOLD-CL C	0.00	6.26	93.0	0.00	5.82	0.00	5.82
07/09/2018	#01477917494	VARIOUS BORAD FIDELITY ADV GOLD-CL C	0.00	9.97	93.0	0.00	9.27	0.00	9.27
07/09/2018	#01446368894	VARIOUS BORAD FIDELITY ADV HIGH INCOME ADVANTAGE-	0.00	4.05	93.0	0.00	3.77	0.00	3.77
07/09/2018	#01446368894	VARIOUS BORAD FIDELITY ADV INDUSTRIALS-CL C	0.00	11.21	93.0	0.00	10.43	0.00	10.43
07/09/2018	#01446368894	VARIOUS BORAD FIDELITY ADV MID CAP-CL C	0.00	5.42	93.0	0.00	5.04	0.00	5.04
07/09/2018	#01446368720	VARIOUS BORAD FIDELITY ADV NEW INSIGHTS-CL A	0.00	6.56	93.0	0.00	6.10	0.00	6.10
07/09/2018	#01446368720	VARIOUS BORAD FIDELITY ADV STRATEGIC DIV & INCOME	0.00	5.42	93.0	0.00	5.04	0.00	5.04
07/09/2018	#01439826940	VARIOUS BORAD FIDELITY ADV STRATEGIC INCOME-CL C	0.00	7.71	93.0	0.00	7.17	0.00	7.17
07/09/2018	#01439826965	VARIOUS BORAD FIDELITY ADV STRATEGIC INCOME-CL C	0.00	5.48	93.0	0.00	5.10	0.00	5.10
07/09/2018	#01446368894	VARIOUS BORAD FIDELITY ADV STRATEGIC INCOME-CL C	0.00	6.04	93.0	0.00	5.62	0.00	5.62
07/09/2018	#01446368852	VARIOUS BORAD FIDELITY ADVISOR DIVIDEND GROWTH	0.00	14.41	93.0	0.00	13.40	0.00	13.40
07/09/2018	#01446368720	VARIOUS BORAD FIDELITY ADVISOR EMERGING MARKET FU	0.00	6.26	93.0	0.00	5.82	0.00	5.82
07/09/2018	#01446368852	VARIOUS BORAD FIDELITY ADVISOR EMERGING MARKETS F	0.00	31.03	93.0	0.00	28.86	0.00	28.86
07/09/2018	#01446368894	VARIOUS BORAD FIDELITY ADVISOR FOCUS FUNDS HEALTH	0.00	0.48	93.0	0.00	0.45	0.00	0.45
07/09/2018	#01446367680	VARIOUS BORAD FIDELITY ADVISOR LARGE CAP	0.00	27.69	93.0	0.00	25.75	0.00	25.75
07/09/2018	#01446368894	VARIOUS BORAD FIDELITY ADVISOR LATIN AMERICA FUND	0.00	2.67	93.0	0.00	2.48	0.00	2.48
07/09/2018	#01488720515	VARIOUS BORAD FIDELITY ADVISOR SER I LEVERAGED CO	0.00	0.19	93.0	0.00	0.18	0.00	0.18
07/09/2018	#01446368894	VARIOUS BORAD FIDELITY ADVISOR SER VII BIOTECHNOL	0.00	0.39	93.0	0.00	0.36	0.00	0.36
07/09/2018	#01446368894	VARIOUS BORAD FIDELITY ADVISOR SER VII TECHNOLOGY	0.00	0.78	93.0	0.00	0.73	0.00	0.73
07/09/2018	#01457786992	VARIOUS BORAD FIDELITY ADVISOR STRATEGIC INCOME F	0.00	0.30	93.0	0.00	0.28	0.00	0.28
07/09/2018	#01446367680	VARIOUS BORAD FIDELITY MID CAP VALUE	0.00	24.59	93.0	0.00	22.87	0.00	22.87
07/09/2018	#01482544838	VARIOUS BORAD FIDELITY TARGET DATE 2055	0.00	4.46	93.0	0.00	4.15	0.00	4.15
07/09/2018	#01446368894	VARIOUS BORAD TREASURY FUND ADVISOR-CL C	0.00	2.03	93.0	0.00	1.89	0.00	1.89
07/11/2018	#	DAIN TRAILER	0.00	17.63	93.0	0.00	16.40	0.00	16.40
07/11/2018	# BHAKTA, CHHAGANBHAI	DAIN TRAILER	0.00	106.02	93.0	0.00	98.60	0.00	98.60
07/11/2018	# RAGHUWANSHI, NAISHADH	DAIN TRAILER	0.00	0.05	93.0	0.00	0.05	0.00	0.05
07/11/2018	# RAGHUWANSHI, NAISHADH	DAIN TRAILER	0.00	6.92	93.0	0.00	6.44	0.00	6.44
07/11/2018	# RAGHUWANSHI, NAISHADH	DAIN TRAILER	0.00	16.45	93.0	0.00	15.30	0.00	15.30
07/11/2018	# RAGHUWANSHI, DEVAL	DAIN TRAILER	0.00	0.02	93.0	0.00	0.02	0.00	0.02
07/11/2018	# RAGHUWANSHI, DEVAL	DAIN TRAILER	0.00	6.92	93.0	0.00	6.44	0.00	6.44
07/11/2018	# RAGHUWANSHI, DEVAL	DAIN TRAILER	0.00	16.50	93.0	0.00	15.35	0.00	15.35
07/11/2018	# PATEL, RAJU	DAIN TRAILER	0.00	31.57	93.0	0.00	29.36	0.00	29.36
07/11/2018	# PATEL, TARA	DAIN TRAILER	0.00	26.27	93.0	0.00	24.43	0.00	24.43
07/11/2018	# BHAKTA, CHHAGANBHAI	DAIN TRAILER	0.00	0.08	93.0	0.00	0.07	0.00	0.07

COMMISSION STATEMENT for KEVIN BORAD

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
07/11/2018	# BHAKTA, CHHAGANBHAI	DAIN TRAILER	0.00	53.80	93.0	0.00	50.03	0.00	50.03
07/11/2018	# BHAKTA, CHHAGANBHAI	DAIN TRAILER	0.00	4.64	93.0	0.00	4.32	0.00	4.32
07/11/2018	# SEN, SANTOSH	DAIN TRAILER	0.00	181.26	93.0	0.00	168.57	0.00	168.57
07/13/2018	#00035826755 VARIOUS BORAD	IVY BALANCED FUND	0.00	172.47	93.0	0.00	160.40	0.00	160.40
07/13/2018	#00035869716 VARIOUS BORAD	IVY BALANCED FUND	0.00	68.16	93.0	0.00	63.39	0.00	63.39
07/13/2018	#00035828423 VARIOUS BORAD	IVY GLOBAL BOND C	0.00	68.85	93.0	0.00	64.03	0.00	64.03
07/13/2018	#00035829689 VARIOUS BORAD	IVY GLOBAL BOND C	0.00	141.68	93.0	0.00	131.76	0.00	131.76
07/13/2018	#00035829756 VARIOUS BORAD	IVY GLOBAL BOND C	0.00	71.27	93.0	0.00	66.28	0.00	66.28
07/13/2018	#00035828101 KACHHADIA,	IVY LASALLE GBL RSKMGED REAL ESTATE	0.00	5.40	93.0	0.00	5.02	0.00	5.02
07/13/2018	#00035830927 BUTANI, BATUK	IVY LASALLE GBL RSKMGED REAL ESTATE	0.00	20.19	93.0	0.00	18.78	0.00	18.78
07/13/2018	#00035830928 BUTANI, KARSHAN	IVY LASALLE GBL RSKMGED REAL ESTATE	0.00	20.19	93.0	0.00	18.78	0.00	18.78
07/13/2018	#00035828423 VARIOUS BORAD	IVY MONEY MARKET C	0.00	15.85	93.0	0.00	14.74	0.00	14.74
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$3,829.86		\$0.00	\$3,561.86	\$0.00	\$3,561.86
*** BROKER TRANSACTIONS TOTAL ***			\$210,611.27	\$8,240.56		\$0.00	\$7,333.11	\$59.85	\$7,273.26

ADJUSTMENTS

08/20/2018	ADMIN FEE: ADMIN FEE	-390.00
08/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
08/20/2018	DEMNL:MANUAL PROCESS FEE (LPFS): MANUAL PROCESS FEE	-25.00
08/20/2018	DEMNL:MANUAL PROCESS FEE (LPFS): MANUAL PROCESS FEE	-25.00
08/20/2018	DEMNL:MANUAL PROCESS FEE (LPFS): MANUAL PROCESS FEE	-25.00
*** ADJUSTMENTS TOTAL ***		\$-644.00

BROKER COMMISSION TOTALS

Broker Transactions	\$7,273.26
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-644.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$6,629.26
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