

All Companies
STATEMENT
May 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
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>										
03/01/0018 #81852633901	PLOEN, ALLISON	COLLEGE BOUND 76220Y406	B	0.00	8.67	0.00	0.00	8.67	89.0	7.72
04/05/2018 #000000007583152	BOYKI	FRANKLIN032	B	50.00	0.50	0.00	0.00	0.50	89.0	0.45
04/10/2018 #00089601647	HARRIS	AMERICAN FUNDS 02630Y240	B	60.00	0.60	0.00	0.00	0.60	89.0	0.53
04/17/2018 #		ALLIANCEBERNSTEIN HIGH INC FD INC A B		12,495.00	0.00	0.00	0.00	0.00	89.0	0.00
04/17/2018 #		TRANSAMERICA HIGH YIELD BOND	B	3,332.00	0.00	0.00	0.00	0.00	89.0	0.00
04/20/2018 #		LEGG MASON GLB ASSET MGMT TR	S	521.39	0.00	0.00	0.00	0.00	89.0	0.00
04/20/2018 #		NEUBERGER BERMAN GENESIS FUND TRUST S	S	592.25	0.00	0.00	0.00	0.00	89.0	0.00
04/20/2018 #		TRUST FOR ADVISOR SOLUTIONS HTTRS A S	S	870.74	0.00	0.00	0.00	0.00	89.0	0.00
04/20/2018 #		VIRTUS ASSET TR	S	638.20	0.00	0.00	0.00	0.00	89.0	0.00
04/20/2018 #		VIRTUS ASSET TR 92837F458	S	359.16	0.00	0.00	0.00	0.00	89.0	0.00
04/20/2018 #		WESTERN ASSET CORE PLUS BOND FUND C S	S	2,565.21	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		VIRTUS ASSET TR SEIX U S GVT SECS U S	S	15,020.62	0.00	0.00	0.00	0.00	89.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$36,504.57	\$9.77	\$0.00	\$0.00	\$9.77		\$8.70

PRODUCT CATEGORY: STOCKS

03/28/2018 #	MARIANO, DANIELLE	FCB FINANCIAL HOLDINGS INC	S	302.40	0.00	0.00	0.00	0.00	89.0	0.00
03/28/2018 #	MARIANO, DANIELLE	NMI HOLDINGS INC	B	647.40	0.00	0.00	0.00	0.00	89.0	0.00
03/28/2018 #	PLOEN, ALLISON	NMI HOLDINGS INC	B	415.00	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		ISHARES IBOX \$ HIGH YIELD	B	5,310.15	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		ISHARES TRUST MSCI EMERGING	B	241.73	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		JPMORGAN CHASE & CO	B	219.32	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		SECTOR SPDR TRUST	B	522.18	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		SECTOR SPDR TRUST SHS BEN INT TECHN B	B	721.82	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		SELECT SECTOR SPDR FUND	B	506.64	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		SELECT SECTOR SPDR FUND SHS BEN INT B	B	571.60	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		SELECT SECTOR SPDR TRUST SHS BEN IN B	B	606.33	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		SPDR SER TR S&P BIOTECH ETF	B	443.40	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		SPDR SER TR S&P REGL BKG ETF	B	362.82	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		SPDR SERIES TRUST	B	876.16	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		SPDR SERIES TRUST BARCLAYS HIGH YIE B	B	4,448.61	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		VANGUARD INDEX FUNDS	B	438.12	0.00	0.00	0.00	0.00	89.0	0.00

COMMISSION STATEMENT for ERIK EXISTING DODDS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
03/29/2018 #		VANGUARD INDEX FUNDS SMALL-CAP VALU B		259.60	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		VANGUARD SECTOR INDEX FDS	B	624.87	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		VANGUARD SECTOR INDEX FDS VANGUARD	B	409.02	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		VANGUARD SECTOR INDEX FDS VANGUARD	B	686.31	0.00	0.00	0.00	0.00	89.0	0.00
03/29/2018 #		VANGUARD TAX-MANAGED FD MSCI EAFE E B		354.32	0.00	0.00	0.00	0.00	89.0	0.00
04/02/2018 #	CHU, WILLIAM	POWERSHARES QQQ TRUST	S	23,638.55	0.00	0.00	0.00	0.00	89.0	0.00
04/02/2018 #	CHU, WILLIAM	POWERSHARES QQQ TRUST	S	12,130.31	0.00	0.00	0.00	0.00	89.0	0.00
04/03/2018 #		APPLE INC	B	332.44	0.00	0.00	0.00	0.00	89.0	0.00
04/03/2018 #	MARIANO, DANIELLE	DAVE & BUSTERS ENTERTAINMENT	B	243.17	0.00	0.00	0.00	0.00	89.0	0.00
04/03/2018 #	GALLO, SEBASTIANO	SPDR SER TR S&P BIOTECH ETF	B	335.68	0.00	0.00	0.00	0.00	89.0	0.00
04/03/2018 #		SPDR SER TR S&P BIOTECH ETF	B	334.90	0.00	0.00	0.00	0.00	89.0	0.00
04/03/2018 #	UDVARDY, IMRE	SPDR SERIES TRUST BARCLAYS HIGH YIE B		605.20	0.00	0.00	0.00	0.00	89.0	0.00
04/03/2018 #	WALDRIP, DEBRA	SPDR SERIES TRUST BARCLAYS HIGH YIE B		320.40	0.00	0.00	0.00	0.00	89.0	0.00
04/03/2018 #		VANGUARD SECTOR INDEX FDS VANGUARD	B	332.96	0.00	0.00	0.00	0.00	89.0	0.00
04/04/2018 #	MARIANO, DANIELLE	***ORBOTECH LTD-ORD	S	1,421.17	0.00	0.00	0.00	0.00	89.0	0.00
04/04/2018 #	PLOEN, ALLISON	***ORBOTECH LTD-ORD	S	803.27	0.00	0.00	0.00	0.00	89.0	0.00
04/04/2018 #		22ND CENTURY GROUP INC	B	898.88	50.00	19.95	0.00	30.05	89.0	26.74
04/04/2018 #		CARA THERAPEUTICS INC	B	946.20	50.00	19.95	0.00	30.05	89.0	26.74
04/04/2018 #	MARIANO, DANIELLE	HUBSPOT INC	B	1,309.20	0.00	0.00	0.00	0.00	89.0	0.00
04/04/2018 #	PLOEN, ALLISON	HUBSPOT INC	B	872.80	0.00	0.00	0.00	0.00	89.0	0.00
04/04/2018 #	MARIANO, DANIELLE	METHODE ELECTRONICS INC	S	388.50	0.00	0.00	0.00	0.00	89.0	0.00
04/04/2018 #	CHU, WILLIAM	POWERSHARES QQQ TRUST	S	315.48	0.00	0.00	0.00	0.00	89.0	0.00
04/05/2018 #	MARIANO, RUSSELL	AFLAC INC	S	701.28	0.00	0.00	0.00	0.00	89.0	0.00
04/05/2018 #	MARIANO, RUSSELL	SUNCOR ENERGY INC	B	363.28	0.00	0.00	0.00	0.00	89.0	0.00
04/05/2018 #	MARIANO, RUSSELL	US BANCORP DEL COM NEW	B	409.98	0.00	0.00	0.00	0.00	89.0	0.00
04/06/2018 #	EDWARDS, HAROLD	FIRST TR EXCHANGE TRADED FD II	B	540.98	0.00	0.00	0.00	0.00	89.0	0.00
04/06/2018 #	EDWARDS, HAROLD	SELECT SECTOR SPDR FUND	B	508.64	0.00	0.00	0.00	0.00	89.0	0.00
04/09/2018 #	PLOEN, ALLISON	ACI WORLDWIDE INC	B	119.75	0.00	0.00	0.00	0.00	89.0	0.00
04/09/2018 #	PLOEN, ALLISON	ANIKA THERAPEUTICS INC	B	93.80	0.00	0.00	0.00	0.00	89.0	0.00
04/09/2018 #	PLOEN, ALLISON	BANK OF THE OZARKS INC	B	188.07	0.00	0.00	0.00	0.00	89.0	0.00
04/09/2018 #	PLOEN, ALLISON	BUILDERS FIRSTSOURCE INC	B	38.44	0.00	0.00	0.00	0.00	89.0	0.00
04/09/2018 #	PLOEN, ALLISON	CALLAWAY GOLF CO	B	50.19	0.00	0.00	0.00	0.00	89.0	0.00
04/09/2018 #	PLOEN, ALLISON	FLOTEK INDUSTRIES INC	B	188.79	0.00	0.00	0.00	0.00	89.0	0.00
04/09/2018 #	FRALEY, JACQUELINE	ISHARES IBOXX \$ HIGH YIELD	B	85.55	0.00	0.00	0.00	0.00	89.0	0.00
04/09/2018 #	FRALEY, JACQUELINE	SPDR SERIES TRUST	B	27.32	0.00	0.00	0.00	0.00	89.0	0.00
04/09/2018 #	FRALEY, JACQUELINE	SPDR SERIES TRUST BARCLAYS HIGH YIE B		107.58	0.00	0.00	0.00	0.00	89.0	0.00
04/09/2018 #	PLOEN, ALLISON	TEXAS ROADHOUSE INC	B	59.78	0.00	0.00	0.00	0.00	89.0	0.00
04/10/2018 #	IDEKER, CHRIS	GLOBAL X FUNDS GLOBAL X ROBOTICS &	B	1,880.00	50.00	19.95	0.00	30.05	89.0	26.74
04/10/2018 #	IDEKER, CHRIS	PROSHARES S&P 500 DIVIDEND	B	1,878.30	59.34	19.95	0.00	39.39	89.0	35.06
04/11/2018 #	MARIANO, RUSSELL	***ALKERMES PLC	S	691.08	0.00	0.00	0.00	0.00	89.0	0.00

COMMISSION STATEMENT for ERIK EXISTING DODDS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
04/11/2018 #	PLOEN, ALLISON	***ALKERMES PLC	S	647.89	0.00	0.00	0.00	0.00	89.0	0.00
04/11/2018 #	MARIANO, RUSSELL	***CHINA LODGING GROUP LTD	S	798.36	0.00	0.00	0.00	0.00	89.0	0.00
04/11/2018 #	PLOEN, ALLISON	***CHINA LODGING GROUP LTD	S	399.18	0.00	0.00	0.00	0.00	89.0	0.00
04/11/2018 #	MARIANO, RUSSELL	SAGE THERAPEUTICS INC	B	501.90	0.00	0.00	0.00	0.00	89.0	0.00
04/11/2018 #	PLOEN, ALLISON	SAGE THERAPEUTICS INC	B	501.90	0.00	0.00	0.00	0.00	89.0	0.00
04/11/2018 #	MARIANO, RUSSELL	TESARO INC	S	167.13	0.00	0.00	0.00	0.00	89.0	0.00
04/11/2018 #	PLOEN, ALLISON	TESARO INC	S	167.13	0.00	0.00	0.00	0.00	89.0	0.00
04/12/2018 #	MARIANO, RUSSELL	***JAZZ PHARMACEUTICALS PLC	B	779.89	0.00	0.00	0.00	0.00	89.0	0.00
04/12/2018 #	PLOEN, ALLISON	***JAZZ PHARMACEUTICALS PLC	B	779.89	0.00	0.00	0.00	0.00	89.0	0.00
04/12/2018 #	CROWTHER, TED	ABBVIE INC	B	9,271.66	50.00	19.95	0.00	30.05	89.0	26.74
04/12/2018 #	CROWTHER, TED	AT&T INC	B	7,037.00	50.00	19.95	0.00	30.05	89.0	26.74
04/12/2018 #	CROWTHER, TED	BLACKROCK CREDIT ALLOCATION INCOME	B	9,984.65	50.00	19.95	0.00	30.05	89.0	26.74
04/12/2018 #	CROWTHER, TED	INTEL CORP	B	10,549.32	50.00	19.95	0.00	30.05	89.0	26.74
04/12/2018 #	PLOEN, ALLISON	SCHNITZER STEEL INDUSTRIES INC CL A S		406.93	0.00	0.00	0.00	0.00	89.0	0.00
04/12/2018 #	CROWTHER, TED	SEASpan CORP	B	4,799.90	50.00	19.95	0.00	30.05	89.0	26.74
04/12/2018 #	CROWTHER, TED	STONECASTLE FINANCIAL	B	4,337.50	50.00	19.95	0.00	30.05	89.0	26.74
04/16/2018 #	MARIANO, DANIELLE	BUILDERS FIRSTSOURCE INC	B	216.81	0.00	0.00	0.00	0.00	89.0	0.00
04/16/2018 #	MARIANO, DANIELLE	CHILDRENS PLACE INC	S	264.40	0.00	0.00	0.00	0.00	89.0	0.00
04/16/2018 #	MARIANO, DANIELLE	HUBSPOT INC	B	446.00	0.00	0.00	0.00	0.00	89.0	0.00
04/16/2018 #	NICHOLSON, JAMES	ISHARES TR	B	509.00	0.00	0.00	0.00	0.00	89.0	0.00
04/16/2018 #		SECTOR SPDR TRUST	B	522.83	0.00	0.00	0.00	0.00	89.0	0.00
04/16/2018 #		SELECT SECTOR SPDR FUND	B	508.45	0.00	0.00	0.00	0.00	89.0	0.00
04/16/2018 #	MARIANO, DANIELLE	TELIGENT INC	S	224.23	0.00	0.00	0.00	0.00	89.0	0.00
04/16/2018 #	MARIANO, DANIELLE	TTM TECHNOLOGIES INC	S	423.90	0.00	0.00	0.00	0.00	89.0	0.00
04/16/2018 #	NICHOLSON, JAMES	VANGUARD INTL EQUITY IND FD FTSE AL B		548.00	0.00	0.00	0.00	0.00	89.0	0.00
04/19/2018 #	MARIANO, RUSSELL	DOMINOS PIZZA INC	B	238.62	0.00	0.00	0.00	0.00	89.0	0.00
04/19/2018 #	MARIANO, DANIELLE	FCB FINANCIAL HOLDINGS INC	S	560.00	0.00	0.00	0.00	0.00	89.0	0.00
04/19/2018 #	MARIANO, DANIELLE	KORN FERRY INTL	B	1,320.24	0.00	0.00	0.00	0.00	89.0	0.00
04/19/2018 #	PLOEN, ALLISON	KORN FERRY INTL	B	935.17	0.00	0.00	0.00	0.00	89.0	0.00
04/19/2018 #	MARIANO, RUSSELL	NUTANIX INC CL A	B	219.56	0.00	0.00	0.00	0.00	89.0	0.00
04/19/2018 #	MARIANO, DANIELLE	ON ASSIGNMENT INC	S	342.12	0.00	0.00	0.00	0.00	89.0	0.00
04/19/2018 #	MARIANO, RUSSELL	PENTAIR PLC SHS	S	282.92	0.00	0.00	0.00	0.00	89.0	0.00
04/19/2018 #	PICCIONE, CHRISTOPHER	SECTOR SPDR - FINANCIAL	S	9,413.64	0.00	0.00	0.00	0.00	89.0	0.00
04/19/2018 #		SECTOR SPDR - FINANCIAL	S	3,230.72	0.00	0.00	0.00	0.00	89.0	0.00
04/19/2018 #	PICCIONE, CHRISTOPHER	SECTOR SPDR TRUST	B	4,239.76	0.00	0.00	0.00	0.00	89.0	0.00
04/19/2018 #		SECTOR SPDR TRUST	B	1,438.49	0.00	0.00	0.00	0.00	89.0	0.00
04/19/2018 #	PICCIONE, CHRISTOPHER	SPDR SER TR S&P OIL & GAS EXPLORATI B		4,544.87	0.00	0.00	0.00	0.00	89.0	0.00
04/19/2018 #		SPDR SER TR S&P OIL & GAS EXPLORATI B		1,606.38	0.00	0.00	0.00	0.00	89.0	0.00
04/19/2018 #	MARIANO, RUSSELL	SPLUNK INC COM	B	212.20	0.00	0.00	0.00	0.00	89.0	0.00
04/19/2018 #	PLOEN, ALLISON	TELIGENT INC	S	228.06	0.00	0.00	0.00	0.00	89.0	0.00

COMMISSION STATEMENT for ERIK EXISTING DODDS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
04/19/2018 #	PLOEN, ALLISON	VEEVA SYSTEMS INC	B	448.14	0.00	0.00	0.00	0.00	89.0	0.00
04/20/2018 #	EDWARDS, HAROLD	SECTOR SPDR - FINANCIAL	B	556.60	0.00	0.00	0.00	0.00	89.0	0.00
04/20/2018 #	EDWARDS, HAROLD	SELECT SECTOR SPDR FUND SHS BEN INT B		574.77	0.00	0.00	0.00	0.00	89.0	0.00
04/24/2018 #	MARIANO, DANIELLE	CALLAWAY GOLF CO	B	474.25	0.00	0.00	0.00	0.00	89.0	0.00
04/24/2018 #		ISHARES IBOXX \$ HIGH YIELD	B	9,739.77	0.00	0.00	0.00	0.00	89.0	0.00
04/24/2018 #	MARIANO, DANIELLE	LCI INDUSTRIES	S	555.45	0.00	0.00	0.00	0.00	89.0	0.00
04/24/2018 #		SPDR SERIES TRUST	B	1,612.32	0.00	0.00	0.00	0.00	89.0	0.00
04/24/2018 #		SPDR SERIES TRUST BARCLAYS HIGH YIE B		8,083.46	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		***FAIRFAX FINANCIAL HOLDINGS	S	524.13	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		BLACKROCK INC	S	1,541.77	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		BLACKSTONE GROUP L P	S	1,430.66	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		CENTURYLINK INC	S	1,470.47	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		DANONE SPONSORED ADR	S	871.56	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		EXPRESS SCRIPTS HOLDING	S	1,288.13	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		FQF TR	S	1,722.61	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		FQF TR	S	364.09	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		GUGGENHEIM S&P GLOBAL WATER	S	204.08	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		INDEXIQ ETF TR	S	809.75	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		INDEXIQ ETF TR	S	459.64	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		ISHARES GOLD TRUST	S	177.42	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		ISHARES INC	S	1,886.12	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		ISHARES NASDAQ BIOTECHNOLOGY INDEX	S	310.75	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		ISHARES TR	S	326.15	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		ISHARES TR BARCLAYS TREAS INFLATION	S	335.71	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		ISHARES TR FTSE NAREIT RESIDENTIAL	S	449.62	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		ISHARES TRUST ISHARES EDGE MSCI MIN	S	826.76	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		ISHARES TRUST ISHARES EDGE MSCI MIN	S	2,127.22	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		ISHARES TRUST S&P GLOBAL	S	322.41	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		MICROSOFT CORP	S	1,738.55	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		POWERSHARES EXCHANGE TRADED	S	899.82	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		POWERSHARES EXCHANGE-TRADED	S	516.47	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		POWERSHARES GLOBAL LISTED	S	398.39	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		SCHWAB STRATEGIC TR	S	301.94	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		SELECT SECTOR SPDR TRUST SHS BEN IN	S	725.13	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		SPDR INDEX SHARES FUNDS	S	174.96	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		SPDR INDEX SHS FDS	S	1,146.31	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		SPDR SERIES TRUST	S	324.42	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		SPX FLOW INC	S	2,347.22	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		UNITED STS COMMODITY INDEX FD COMMO	S	743.79	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		VANGUARD INDEX FUNDS	S	444.37	0.00	0.00	0.00	0.00	89.0	0.00

COMMISSION STATEMENT for ERIK EXISTING DODDS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
04/25/2018 #		VANGUARD INDEX FUNDS VANGUARD HIGH	S	822.83	0.00	0.00	0.00	0.00	89.0	0.00
04/25/2018 #		VANGUARD SECTOR INDEX FDS VANGUARD	S	224.65	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	ALPS ETF TR	B	3,677.91	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	ALPS ETF TR	B	1,890.52	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	ALPS ETF TR	B	2,199.87	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	ALPS ETF TR	B	2,302.99	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	ALPS ETF TR	B	2,852.96	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		ALPS ETF TR	B	996.82	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		ALPS ETF TR	B	859.33	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	BARCLAYS PLC ADR	S	5,211.37	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	BARCLAYS PLC ADR	S	2,540.39	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	BARCLAYS PLC ADR	S	2,944.01	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	BARCLAYS PLC ADR	S	3,169.56	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	BARCLAYS PLC ADR	S	4,000.53	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		BARCLAYS PLC ADR	S	3,205.17	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		BARCLAYS PLC ADR	S	925.94	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		BERKSHIRE HATHAWAY INC DEL CL B NEW	B	1,576.38	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	EQUINIX INC COM PAR \$0.001 REIT	S	3,752.91	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	EQUINIX INC COM PAR \$0.001 REIT	S	2,084.95	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	EQUINIX INC COM PAR \$0.001 REIT	S	2,084.95	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	EQUINIX INC COM PAR \$0.001 REIT	S	2,084.95	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	EQUINIX INC COM PAR \$0.001 REIT	S	2,918.93	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		EQUINIX INC COM PAR \$0.001 REIT	S	2,918.93	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		EQUINIX INC COM PAR \$0.001 REIT	S	833.98	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		ISHARES IBOXX \$ HIGH YIELD	S	17,043.36	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		ISHARES RUSSELL MID CAP VALUE	B	2,788.40	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	ISHARES TR DOW JONES US	B	5,474.66	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	ISHARES TR DOW JONES US	B	2,836.27	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	ISHARES TR DOW JONES US	B	3,297.99	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	ISHARES TR DOW JONES US	B	3,429.90	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	ISHARES TR DOW JONES US	B	4,221.42	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		ISHARES TR DOW JONES US	B	1,451.11	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		ISHARES TR DOW JONES US	B	1,319.19	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		ISHARES TR RUSSELL MIDCAP	B	4,031.53	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	ISHARES TRUST MSCI EMERGING	B	3,785.54	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	ISHARES TRUST MSCI EMERGING	B	1,962.87	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	ISHARES TRUST MSCI EMERGING	B	2,290.02	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	ISHARES TRUST MSCI EMERGING	B	2,149.81	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	ISHARES TRUST MSCI EMERGING	B	3,131.25	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		ISHARES TRUST MSCI EMERGING	B	887.97	0.00	0.00	0.00	0.00	89.0	0.00

COMMISSION STATEMENT for ERIK EXISTING DODDS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
04/26/2018 #		ISHARES TRUST RUSSELL 2000 GROWTH I B		2,116.92	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		ISHARES TRUST S&P 500 GROWTH INDEX B		3,273.27	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		ISHARES TRUST S&P 500 VALUE INDEX F B		2,319.66	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	JOHNSON & JOHNSON	S	1,924.15	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	JOHNSON & JOHNSON	S	2,052.43	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	JOHNSON & JOHNSON	S	2,565.54	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		JOHNSON & JOHNSON	S	2,437.26	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		JOHNSON & JOHNSON	S	769.66	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	JOHNSON & JOHNSON	S	3,463.47	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	JOHNSON & JOHNSON	S	1,795.88	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	POWERSHARES EXCHANGE TRADED FD TR D B		1,869.12	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	POWERSHARES EXCHANGE TRADED FD TR D B		934.56	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	POWERSHARES EXCHANGE TRADED FD TR D B		1,090.32	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	POWERSHARES EXCHANGE TRADED FD TR D B		1,168.20	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	POWERSHARES EXCHANGE TRADED FD TR D B		1,401.84	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		POWERSHARES EXCHANGE TRADED FD TR D B		467.28	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		POWERSHARES EXCHANGE TRADED FD TR D B		467.28	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		SECTOR SPDR - FINANCIAL	B	1,713.68	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	SECTOR SPDR TRUST	S	5,322.50	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	SECTOR SPDR TRUST	S	2,843.53	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	SECTOR SPDR TRUST	S	2,989.35	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	SECTOR SPDR TRUST	S	3,353.91	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	SECTOR SPDR TRUST	S	3,937.19	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		SECTOR SPDR TRUST	S	5,759.97	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		SECTOR SPDR TRUST	S	1,239.49	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		SECTOR SPDR TRUST	B	2,916.60	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		SECTOR SPDR TRUST SHS BEN INT TECHN S		7,641.50	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		SECTOR SPDR TRUST SHS BEN INT TECHN B		2,701.49	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		SELECT SECTOR SPDR FUND	B	2,470.74	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		SELECT SECTOR SPDR FUND SHS BEN INT B		1,903.71	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	SELECT SECTOR SPDR TRUST SHS BEN IN S		6,016.85	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	SELECT SECTOR SPDR TRUST SHS BEN IN S		3,119.85	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	SELECT SECTOR SPDR TRUST SHS BEN IN S		3,342.69	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	SELECT SECTOR SPDR TRUST SHS BEN IN S		4,085.52	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	SELECT SECTOR SPDR TRUST SHS BEN IN S		5,051.18	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		SELECT SECTOR SPDR TRUST SHS BEN IN S		8,616.72	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		SELECT SECTOR SPDR TRUST SHS BEN IN S		1,708.49	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	SPDR SERIES TRUST	B	1,426.46	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		SPDR SERIES TRUST	B	499.26	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		SPDR SERIES TRUST	B	427.94	0.00	0.00	0.00	0.00	89.0	0.00

COMMISSION STATEMENT for ERIK EXISTING DODDS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
04/26/2018 #	CHU, WILLIAM	SPDR SERIES TRUST	B	1,854.40	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	SPDR SERIES TRUST	B	927.20	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	SPDR SERIES TRUST	B	1,069.85	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	SPDR SERIES TRUST	B	1,141.17	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		SPDR SERIES TRUST BARCLAYS HIGH YIE S		14,297.77	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	VANGUARD INDEX FUNDS	B	5,497.46	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	VANGUARD INDEX FUNDS	B	2,823.02	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	VANGUARD INDEX FUNDS	B	3,268.76	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	VANGUARD INDEX FUNDS	B	3,417.34	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	VANGUARD INDEX FUNDS	B	4,160.24	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		VANGUARD INDEX FUNDS	B	1,485.80	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		VANGUARD INDEX FUNDS	B	1,337.22	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	VANGUARD INDEX FUNDS	S	9,272.95	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	VANGUARD INDEX FUNDS	S	4,746.87	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	VANGUARD INDEX FUNDS	S	5,740.40	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	VANGUARD INDEX FUNDS	S	5,740.40	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	VANGUARD INDEX FUNDS	S	6,954.71	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		VANGUARD INDEX FUNDS	S	6,292.36	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		VANGUARD INDEX FUNDS	S	2,207.85	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	VANGUARD INDEX FUNDS SMALL-CAP VALU S		3,665.31	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	VANGUARD INDEX FUNDS SMALL-CAP VALU S		1,963.56	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	VANGUARD INDEX FUNDS SMALL-CAP VALU S		2,094.46	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	VANGUARD INDEX FUNDS SMALL-CAP VALU S		2,225.37	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	VANGUARD INDEX FUNDS SMALL-CAP VALU S		2,748.98	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		VANGUARD INDEX FUNDS SMALL-CAP VALU S		2,487.18	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		VANGUARD INDEX FUNDS SMALL-CAP VALU S		916.33	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	VANGUARD INDEX FUNDS VANGUARD MID-C B		9,112.49	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	VANGUARD INDEX FUNDS VANGUARD MID-C B		4,633.47	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	VANGUARD INDEX FUNDS VANGUARD MID-C B		5,405.72	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	VANGUARD INDEX FUNDS VANGUARD MID-C B		5,714.61	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	VANGUARD INDEX FUNDS VANGUARD MID-C B		7,104.65	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		VANGUARD INDEX FUNDS VANGUARD MID-C B		2,471.18	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		VANGUARD INDEX FUNDS VANGUARD MID-C B		2,162.29	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	VANGUARD INTL EQUITY INDEX	B	5,499.37	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	VANGUARD INTL EQUITY INDEX	B	2,749.69	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	VANGUARD INTL EQUITY INDEX	B	3,227.89	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	VANGUARD INTL EQUITY INDEX	B	3,347.44	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	VANGUARD INTL EQUITY INDEX	B	4,184.31	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		VANGUARD INTL EQUITY INDEX	B	1,434.62	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		VANGUARD INTL EQUITY INDEX	B	1,315.07	0.00	0.00	0.00	0.00	89.0	0.00

COMMISSION STATEMENT for ERIK EXISTING DODDS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
04/26/2018 #		VANGUARD SECTOR INDEX FDS	S	3,065.92	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	VANGUARD SECTOR INDEX FDS VANGUARD	S	8,659.75	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	CHU, WILLIAM	VANGUARD SECTOR INDEX FDS VANGUARD	S	4,461.08	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	MORRELL, BRIAN	VANGUARD SECTOR INDEX FDS VANGUARD	S	5,379.54	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	PLOEN, ALLISON	VANGUARD SECTOR INDEX FDS VANGUARD	S	5,248.33	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #	GALLO, SEBASTIANO	VANGUARD SECTOR INDEX FDS VANGUARD	S	6,822.83	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		VANGUARD SECTOR INDEX FDS VANGUARD	S	5,904.37	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		VANGUARD SECTOR INDEX FDS VANGUARD	S	2,099.33	0.00	0.00	0.00	0.00	89.0	0.00
04/26/2018 #		VODAFONE GROUP PLC SPONSORED ADR NO B		3,466.88	0.00	0.00	0.00	0.00	89.0	0.00
* STOCKS SUBTOTAL *				\$632,186.87	\$509.34	\$199.50	\$0.00	\$309.84		\$275.72
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>										
03/31/2018 #1019805162	FETT, HOLLY	ELITE ACCESS L	B	19,765.56	16.47	0.00	0.00	16.47	89.0	14.66
04/03/2018 #000392809	BONVICINI, THOMAS	PRUDETIAL TRAILS	B	0.00	0.56	0.00	0.00	0.56	89.0	0.50
04/03/2018 #000392809	BONVICINI, THOMAS	PRUDETIAL TRAILS	B	0.00	0.56	0.00	0.00	0.56	89.0	0.50
04/03/2018 #000301482	BONVICINI, THOMAS	PRUDETIAL TRAILS	B	0.00	0.38	0.00	0.00	0.38	89.0	0.34
04/03/2018 #000301482	BONVICINI, THOMAS	PRUDETIAL TRAILS	B	0.00	0.38	0.00	0.00	0.38	89.0	0.34
04/30/2018 #1019805162	FETT, HOLLY	ELITE ACCESS L	B	19,993.27	16.66	0.00	0.00	16.66	89.0	14.83
* VARIABLE ANNUITIES SUBTOTAL *				\$39,758.83	\$35.01	\$0.00	\$0.00	\$35.01		\$31.17
<u>PRODUCT CATEGORY: CERTIFICATES OF DEPOSIT</u>										
04/24/2018 #	CROWTHER, TED	BANK OF THE WEST INSTL CD 23	B	25,000.00	750.00	0.00	0.00	750.00	89.0	667.50
04/24/2018 #	CROWTHER, TED	HSBC BK USA N A MC LEAN VA	B	50,000.00	1,500.00	0.00	0.00	1,500.00	89.0	1,335.00
04/24/2018 #	CROWTHER, TED	HSBC BK USA N A MC LEAN VA	B	25,000.00	500.00	0.00	0.00	500.00	89.0	445.00
* CERTIFICATES OF DEPOSIT SUBTOTAL *				\$100,000.00	\$2,750.00	\$0.00	\$0.00	\$2,750.00		\$2,447.50
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
03/31/2018 #00100010737	FARLER, JUDITH	OPPENHEIMER 68385D202	B	0.00	13.53	0.00	0.00	13.53	89.0	12.04
03/31/2018 #02381186251	FARLER, JUDITH	OPPENHEIMER FLEXIBLE STRATEGIES FUN	B	0.00	12.90	0.00	0.00	12.90	89.0	11.48
03/31/2018 #02270826452	FARLER, JUDITH	RISING DIVIDENDS FUND C	B	0.00	0.62	0.00	0.00	0.62	89.0	0.55
04/02/2018 #	GAY, LEO	DAIN TRAILER	B	520.00	0.00	0.00	0.00	0.00	89.0	0.00
04/02/2018 #	GAY, LEO	DAIN TRAILER	B	525.00	0.00	0.00	0.00	0.00	89.0	0.00
04/10/2018 #	WEISER, MICHAEL	DAIN TRAILER	B	0.00	7.00	0.00	0.00	7.00	89.0	6.23
04/10/2018 #		DAIN TRAILER	B	0.00	0.13	0.00	0.00	0.13	89.0	0.12
04/10/2018 #		DAIN TRAILER	B	0.00	0.27	0.00	0.00	0.27	89.0	0.24
04/10/2018 #		DAIN TRAILER	B	0.00	0.11	0.00	0.00	0.11	89.0	0.10
04/10/2018 #		DAIN TRAILER	B	0.00	0.07	0.00	0.00	0.07	89.0	0.06
04/10/2018 #		DAIN TRAILER	B	0.00	0.33	0.00	0.00	0.33	89.0	0.29
04/10/2018 #		DAIN TRAILER	B	0.00	0.06	0.00	0.00	0.06	89.0	0.05
04/10/2018 #		DAIN TRAILER	B	0.00	0.38	0.00	0.00	0.38	89.0	0.34
04/10/2018 #		DAIN TRAILER	B	0.00	0.07	0.00	0.00	0.07	89.0	0.06

COMMISSION STATEMENT for ERIK EXISTING DODDS

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

BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

04/10/2018 #	DAIN TRAILER	B	0.00	0.35	0.00	0.00		0.35	89.0	0.31
04/10/2018 #	DAIN TRAILER	B	0.00	0.55	0.00	0.00		0.55	89.0	0.49
04/10/2018 # CHU, WILLIAM	DAIN TRAILER	B	0.00	43.07	0.00	0.00		43.07	89.0	38.33
04/10/2018 # FARLER, JUDITH	DAIN TRAILER	B	0.00	10.23	0.00	0.00		10.23	89.0	9.10
04/10/2018 # CHU, WILLIAM	DAIN TRAILER	B	0.00	4.53	0.00	0.00		4.53	89.0	4.03
04/10/2018 # RYAN, ERICA	DAIN TRAILER	B	0.00	0.33	0.00	0.00		0.33	89.0	0.29
04/10/2018 # RYAN, ERICA	DAIN TRAILER	B	0.00	0.05	0.00	0.00		0.05	89.0	0.04
04/10/2018 # LIMB, JOHN	DAIN TRAILER	B	0.00	11.29	0.00	0.00		11.29	89.0	10.05
04/10/2018 # LIMB, JOHN	DAIN TRAILER	B	0.00	2.49	0.00	0.00		2.49	89.0	2.22
04/10/2018 # HARTMAN, MARILYN	DAIN TRAILER	B	0.00	5.80	0.00	0.00		5.80	89.0	5.16
04/10/2018 # HARTMAN, JAMES	DAIN TRAILER	B	0.00	1.66	0.00	0.00		1.66	89.0	1.48
04/10/2018 # SCHNECK, LINDA	DAIN TRAILER	B	0.00	0.19	0.00	0.00		0.19	89.0	0.17
04/10/2018 # SCHNECK, LINDA	DAIN TRAILER	B	0.00	0.31	0.00	0.00		0.31	89.0	0.28
04/12/2018 #00035405275 VERMA, AKASH	INVESTED FIXED INCOME PORTFOLIO A	B	0.00	8.44	0.00	0.00		8.44	89.0	7.51
04/17/2018 #	DAIN TRAILER	B	8,330.00	0.00	0.00	0.00		0.00	89.0	0.00
04/18/2018 # CHU, WILLIAM	DAIN TRAILER	B	0.00	63.15	0.00	0.00		63.15	89.0	56.20
04/19/2018 #	DAIN TRAILER	B	12,487.00	0.00	0.00	0.00		0.00	89.0	0.00
04/20/2018 # HARTMAN, JAMES	DAIN TRAILER	B	0.00	2.41	0.00	0.00		2.41	89.0	2.14
04/20/2018 #	DAIN TRAILER	S	2,657.89	0.00	0.00	0.00		0.00	89.0	0.00
04/20/2018 #	DAIN TRAILER	S	596.95	0.00	0.00	0.00		0.00	89.0	0.00
04/20/2018 #	DAIN TRAILER	S	1,292.52	0.00	0.00	0.00		0.00	89.0	0.00
04/20/2018 #	DAIN TRAILER	S	1,111.15	0.00	0.00	0.00		0.00	89.0	0.00
04/20/2018 #	DAIN TRAILER	S	1,050.41	0.00	0.00	0.00		0.00	89.0	0.00
04/20/2018 #	DAIN TRAILER	S	1,223.72	0.00	0.00	0.00		0.00	89.0	0.00
04/20/2018 #	DAIN TRAILER	S	3,282.70	0.00	0.00	0.00		0.00	89.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$33,077.34	\$190.32	\$0.00	\$0.00	\$190.32		\$169.36
*** BROKER TRANSACTIONS TOTAL ***				\$841,527.61	\$3,494.44	\$199.50	\$0.00	\$3,294.94		\$2,932.45

ADJUSTMENTS

05/20/2018	ADMIN FEE: ADMIN FEE									-320.00
05/20/2018	E & O INSURANCE: E & O INSURANCE									-179.00
05/20/2018	DOCUSIGN: DOCUSIGN									-51.00
05/20/2018	ASSISTANT FEE: ASSISTANT FEE									-59.00
05/20/2018	MWWOD:MISCELLANEOUS: WRITE-OFF									-145.76
DEBIT BALANCE 87707078										

*** ADJUSTMENTS TOTAL ***

\$-754.76

BROKER COMMISSION TOTALS

Broker Transactions	\$2,932.45
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-754.76
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$2,177.69
---------------------	-------------------