

All Companies  
**STATEMENT**  
April 20, 2018

MICHAEL GORMAN  
3030 River Birch

BROKER #: 278  
BRANCH: LA BRANCH

Pearland, TX 77584-

COMMISSION STATEMENT for MICHAEL GORMAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>										
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>										
03/01/2018	#01448531648	TRINHCUN		FA 529 MID CAP PORT-CL A	B	200.00	5.50	0.00	0.00	5.50 92.0 5.06
03/01/2018	#01448561397	TRINHCUN		FA 529 MID CAP PORT-CL A	B	100.00	2.75	0.00	0.00	2.75 92.0 2.53
03/01/2018	#01448531648	TRINHCUN		FA 529 NEW INSIGHTS PORT-CL A	B	100.00	2.75	0.00	0.00	2.75 92.0 2.53
03/01/2018	#01448561397	TRINHCUN		FA 529 NEW INSIGHTS PORT-CL A	B	300.00	8.25	0.00	0.00	8.25 92.0 7.59
03/01/2018	#01448561397	TRINHCUN		FA 529 SMALL CAP PORT-CL A	B	100.00	2.75	0.00	0.00	2.75 92.0 2.53
03/01/2018	#01448531648	TRINHCUN		FIDELITY STRATIGIC	B	200.00	6.00	0.00	0.00	6.00 92.0 5.52
				<b>* MUTUAL FUNDS SUBTOTAL *</b>		<b>\$1,000.00</b>	<b>\$28.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$28.00 \$25.76</b>

**PRODUCT CATEGORY: STOCKS**

02/27/2018	#	HOLLINGSWORTH, SHARON		NVIDIA CORP	B	9,883.50	0.00	9.95	0.00	-9.95 92.0 -9.15
02/27/2018	#	HOLLINGSWORTH, SHARON		VANGUARD INDEX FUNDS VANGUARD TOTAL B		9,916.03	0.00	9.95	0.00	-9.95 92.0 -9.15
02/28/2018	#	NGUYEN, EDWARD		FMC CORP NEW	S	7,958.00	0.00	0.00	0.00	0.00 92.0 0.00
03/01/2018	#	NGUYEN, EDWARD		GLOBAL X FUNDS GLOBAL X LITHIUM & B S		16,720.00	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, MARIA DE LOURDE		APPLE INC	B	4,377.00	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, SANJAY		APPLE INC	B	6,998.80	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, MARIA DE LOURDE		ARK ETF TR	B	4,654.79	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, SANJAY		ARK ETF TR	B	7,250.95	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, MARIA DE LOURDE		ARK ETF TRUST ARK INNOVATION ETF	B	4,569.82	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, SANJAY		ARK ETF TRUST ARK INNOVATION ETF	B	7,073.63	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, MARIA DE LOURDE		ETF MANAGERS TRUST ETFMG PRIME MOBI B		4,560.09	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, SANJAY		ETF MANAGERS TRUST ETFMG PRIME MOBI B		7,295.00	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, MARIA DE LOURDE		EXCHANGE LISTED FUNDS TRUST	B	4,358.77	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, SANJAY		EXCHANGE LISTED FUNDS TRUST	B	7,041.20	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, MARIA DE LOURDE		INNOVATOR ETFs TRUST INNOVATOR IBD B		4,505.71	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, SANJAY		INNOVATOR ETFs TRUST INNOVATOR IBD B		7,135.09	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, MARIA DE LOURDE		ISHARES TRUST DOW JONES US AEROSPAC B		3,954.60	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, SANJAY		ISHARES TRUST DOW JONES US AEROSPAC B		6,914.95	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, MARIA DE LOURDE		ISHARES TRUST MSCI EMERGING	B	4,528.65	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, SANJAY		ISHARES TRUST MSCI EMERGING	B	7,139.25	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, MARIA DE LOURDE		KRANESHARES TRUST	B	2,389.90	0.00	0.00	0.00	0.00 92.0 0.00
03/05/2018	#	REMOND, SANJAY		KRANESHARES TRUST	B	3,588.00	0.00	0.00	0.00	0.00 92.0 0.00

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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>										
03/05/2018 #	REMOND, MARIA DE LOURDE	POWERSHARES QQQ TRUST	B	2,476.01	0.00	0.00	0.00	0.00	92.0	0.00
03/05/2018 #	REMOND, SANJAY	POWERSHARES QQQ TRUST	B	3,303.15	0.00	0.00	0.00	0.00	92.0	0.00
03/05/2018 #	REMOND, MARIA DE LOURDE	SECTOR SPDR - FINANCIAL	B	4,516.64	0.00	0.00	0.00	0.00	92.0	0.00
03/05/2018 #	REMOND, SANJAY	SECTOR SPDR - FINANCIAL	B	7,075.00	0.00	0.00	0.00	0.00	92.0	0.00
03/05/2018 #	REMOND, MARIA DE LOURDE	SECTOR SPDR TRUST SHS BEN INT TECHN B	B	4,377.75	0.00	0.00	0.00	0.00	92.0	0.00
03/05/2018 #	REMOND, SANJAY	SECTOR SPDR TRUST SHS BEN INT TECHN B	B	6,740.50	0.00	0.00	0.00	0.00	92.0	0.00
03/05/2018 #	REMOND, MARIA DE LOURDE	SPDR INDEX SHS FDS S&P GLOBAL NAT R B	B	4,329.68	0.00	0.00	0.00	0.00	92.0	0.00
03/05/2018 #	REMOND, SANJAY	SPDR INDEX SHS FDS S&P GLOBAL NAT R B	B	6,974.41	0.00	0.00	0.00	0.00	92.0	0.00
03/08/2018 #	HANSEN, ROBERT	ARK ETF TR	B	49,803.85	0.00	0.00	0.00	0.00	92.0	0.00
03/08/2018 #	HANSEN, ROBERT	ARK ETF TRUST ARK INNOVATION ETF	B	25,070.64	0.00	0.00	0.00	0.00	92.0	0.00
03/08/2018 #	HANSEN, ROBERT	ARK ETF TRUST ARK INNOVATION ETF	B	19,830.00	60.00	19.95	0.00	40.05	92.0	36.85
03/08/2018 #	HANSEN, ROBERT	BLACKROCK MUNIASSETS FD INC	B	5,069.00	60.00	19.95	0.00	40.05	92.0	36.85
03/08/2018 #	HANSEN, ROBERT	CLAYMORE EXCHANGE TRADED FUND TRUST B	B	20,390.81	0.00	0.00	0.00	0.00	92.0	0.00
03/08/2018 #	HANSEN, ROBERT	COLUMBIA ETF TRUST II COLUMBIA INDI B	B	14,869.47	0.00	0.00	0.00	0.00	92.0	0.00
03/08/2018 #	HANSEN, LAURI	ETF SER SOLUTIONS	B	14,923.79	60.00	19.95	0.00	40.05	92.0	36.85
03/08/2018 #	HANSEN, ROBERT	EXCHANGE LISTED FUNDS TRUST	B	24,880.92	0.00	0.00	0.00	0.00	92.0	0.00
03/08/2018 #	HANSEN, LAURI	FIRST TRUST EXCHANGE TRADED FUND TR B	B	15,113.24	60.00	19.95	0.00	40.05	92.0	36.85
03/08/2018 #	HANSEN, ROBERT	ISHARES TRUST ISHARES FLOATING RATE B	B	15,025.83	0.00	0.00	0.00	0.00	92.0	0.00
03/08/2018 #	HANSEN, ROBERT	MANAGED PORTFOLIO SER	B	14,768.43	0.00	0.00	0.00	0.00	92.0	0.00
03/08/2018 #	HANSEN, ROBERT	POWERSHARES EXCHANGE TRADED	B	19,668.24	0.00	0.00	0.00	0.00	92.0	0.00
03/08/2018 #	HANSEN, ROBERT	ROBO GLOBAL ROBOTICS AND AUTOMATION B	B	4,950.75	0.00	0.00	0.00	0.00	92.0	0.00
03/08/2018 #	HANSEN, ROBERT	SECTOR SPDR - FINANCIAL	B	10,131.10	0.00	0.00	0.00	0.00	92.0	0.00
03/19/2018 #	HANSEN, ROBERT	POWERSHARES INDIA EXCHANGE TRADED F S	S	12,435.00	0.00	0.00	0.00	0.00	92.0	0.00
03/20/2018 #	HOLLINGSWORTH, SHARON	FACEBOOK INC	S	41,871.00	60.00	19.95	0.00	40.05	92.0	36.85
03/20/2018 #	HOLLINGSWORTH, SHARON	FACEBOOK INC	S	16,701.00	0.00	9.95	0.00	-9.95	92.0	-9.15
03/21/2018 #	HOLLINGSWORTH, JOHN	BOEING CO	B	34,116.60	60.00	19.95	0.00	40.05	92.0	36.85
03/22/2018 #	HANSEN, ROBERT	ARK ETF TRUST ARK INNOVATION ETF	S	23,786.92	0.00	0.00	0.00	0.00	92.0	0.00
03/22/2018 #	HANSEN, ROBERT	ARK ETF TRUST ARK INNOVATION ETF	S	18,778.50	60.00	19.95	0.00	40.05	92.0	36.85
03/23/2018 #	HANSEN, ROBERT	ARK ETF TR	S	47,267.50	0.00	0.00	0.00	0.00	92.0	0.00
03/23/2018 #	DALTON, DAVID	INNOVATOR ETFS TRUST INNOVATOR IBD	S	17,045.00	0.00	0.00	0.00	0.00	92.0	0.00
03/23/2018 #	DALTON, DAVID	ISHARES TRUST MSCI EMERGING	S	17,125.80	0.00	0.00	0.00	0.00	92.0	0.00
03/23/2018 #	HANSEN, ROBERT	ROBO GLOBAL ROBOTICS AND AUTOMATION S	S	4,701.20	0.00	0.00	0.00	0.00	92.0	0.00
03/23/2018 #	HANSEN, ROBERT	SECTOR SPDR - FINANCIAL	S	9,583.00	0.00	0.00	0.00	0.00	92.0	0.00
03/23/2018 #	REMOND, MARIA DE LOURDE	SECTOR SPDR - FINANCIAL	S	4,292.80	0.00	0.00	0.00	0.00	92.0	0.00
03/23/2018 #	REMOND, SANJAY	SECTOR SPDR - FINANCIAL	S	6,707.50	0.00	0.00	0.00	0.00	92.0	0.00
03/23/2018 #	DALTON, DAVID	SECTOR SPDR - FINANCIAL	S	17,031.40	0.00	0.00	0.00	0.00	92.0	0.00
03/23/2018 #	DALTON, DAVID	SELECT SECTOR SPDR FUND SHS BEN INT S	S	18,060.75	0.00	0.00	0.00	0.00	92.0	0.00
03/26/2018 #	DALTON, DAVID	APPLE INC	B	5,042.10	0.00	0.00	0.00	0.00	92.0	0.00
03/26/2018 #	HANSEN, ROBERT	ARK ETF TR	B	52,301.10	0.00	0.00	0.00	0.00	92.0	0.00
03/26/2018 #	HANSEN, ROBERT	ARK ETF TRUST ARK INNOVATION ETF	B	24,791.35	0.00	0.00	0.00	0.00	92.0	0.00

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<b><u>BROKER TRANSACTIONS</u></b>										
<b><u>PRODUCT CATEGORY: STOCKS</u></b>										
03/26/2018 #	HANSEN, ROBERT	ARK ETF TRUST ARK INNOVATION ETF	B	20,669.65	60.00	19.95	0.00	40.05	92.0	36.85
03/26/2018 #	WEST, KRISTINA	ARK ETF TRUST ARK INNOVATION ETF	B	5,569.78	60.00	19.95	0.00	40.05	92.0	36.85
03/26/2018 #	WEST, KRISTINA	EXCHANGE LISTED FUNDS TRUST	B	5,537.45	60.00	19.95	0.00	40.05	92.0	36.85
03/26/2018 #	REMOND, MARIA DE LOURDE	GLOBAL X FUNDS GLOBAL X SOCIAL MEDI S	S	5,296.50	0.00	0.00	0.00	0.00	92.0	0.00
03/26/2018 #	WEST, KRISTINA	ISHARES TRUST MSCI EMERGING	B	4,805.90	60.00	19.95	0.00	40.05	92.0	36.85
03/26/2018 #	WEST, KRISTINA	SPDR S&P 500 ETF TR	B	14,430.90	60.00	19.95	0.00	40.05	92.0	36.85
03/27/2018 #	REMOND, SANJAY	ARK ETF TRUST ARK INNOVATION ETF	S	6,747.30	0.00	0.00	0.00	0.00	92.0	0.00
03/27/2018 #	REMOND, SANJAY	GLOBAL X FUNDS GLOBAL X SOCIAL MEDI S	S	11,142.40	0.00	0.00	0.00	0.00	92.0	0.00
03/27/2018 #	HANSEN, ROBERT	POWERSHARES EXCHANGE TRADED	S	18,628.00	0.00	0.00	0.00	0.00	92.0	0.00
<b>* STOCKS SUBTOTAL *</b>				<b>\$901,569.34</b>	<b>\$720.00</b>	<b>\$269.25</b>	<b>\$0.00</b>	<b>\$450.75</b>		<b>\$414.75</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>										
02/08/0018 #1087490000	LA DENTAL II, `	JOHN HANCOCK LIFE-TRAILS	B	0.00	211.91	0.00	0.00	211.91	92.0	194.96
01/08/2018 #UL10022466	NGUYEN	LINCOLN G	B	0.00	4.19	0.00	0.00	4.19	92.0	3.85
02/07/2018 #UL10022466	NGUYEN	LINCOLN G	B	0.00	4.19	0.00	0.00	4.19	92.0	3.85
03/07/2018 #UL10022466	NGUYEN	LINCOLN G	B	0.00	4.19	0.00	0.00	4.19	92.0	3.85
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$224.48</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$224.48</b>		<b>\$206.51</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>										
03/01/2018 #00075036161	NGUYEN, ASHLEY	AMCAP FUND-529A	B	0.00	2.20	0.00	0.00	2.20	92.0	2.02
03/07/2018 #01448531648	TRINHCUON	FA 529 MID CAP PORT-CL A	B	0.00	2.29	0.00	0.00	2.29	92.0	2.11
03/07/2018 #01448561397	TRINHCUON	FA 529 MID CAP PORT-CL A	B	0.00	4.36	0.00	0.00	4.36	92.0	4.01
03/07/2018 #01448531648	TRINHCUON	FA 529 NEW INSIGHTS PORT-CL A	B	0.00	5.35	0.00	0.00	5.35	92.0	4.92
03/07/2018 #01448561397	TRINHCUON	FA 529 NEW INSIGHTS PORT-CL A	B	0.00	10.98	0.00	0.00	10.98	92.0	10.10
03/07/2018 #01448561397	TRINHCUON	FA 529 SMALL CAP PORT-CL A	B	0.00	3.46	0.00	0.00	3.46	92.0	3.18
03/07/2018 #01448531648	TRINHCUON	FIDELITY STRATIGIC	B	0.00	1.21	0.00	0.00	1.21	92.0	1.11
03/09/2018 #	CLOPTON, DANIEL	DAIN TRAILER	B	0.00	2.23	0.00	0.00	2.23	92.0	2.05
03/09/2018 #	LONG, CHARLES	DAIN TRAILER	B	0.00	14.19	0.00	0.00	14.19	92.0	13.05
03/09/2018 #	LONG, CHARLES	DAIN TRAILER	B	0.00	5.70	0.00	0.00	5.70	92.0	5.24
03/09/2018 #	LONG, CHARLES	DAIN TRAILER	B	0.00	6.45	0.00	0.00	6.45	92.0	5.93
03/09/2018 #	LONG, CHARLES	DAIN TRAILER	B	0.00	27.14	0.00	0.00	27.14	92.0	24.97
03/09/2018 #	NG, LISA	DAIN TRAILER	B	0.00	2.48	0.00	0.00	2.48	92.0	2.28
03/09/2018 #	NGUYEN, ROSA	DAIN TRAILER	B	0.00	3.03	0.00	0.00	3.03	92.0	2.79
03/09/2018 #	NGUYEN, ROSA	DAIN TRAILER	B	0.00	4.44	0.00	0.00	4.44	92.0	4.08
03/09/2018 #	HANSEN, ROBERT	DAIN TRAILER	B	0.00	5.01	0.00	0.00	5.01	92.0	4.61
03/09/2018 #	HANSEN, LAURI	DAIN TRAILER	B	0.00	5.01	0.00	0.00	5.01	92.0	4.61
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$105.53</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$105.53</b>		<b>\$97.06</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>				<b>\$902,569.34</b>	<b>\$1,078.01</b>	<b>\$269.25</b>	<b>\$0.00</b>	<b>\$808.76</b>		<b>\$744.08</b>

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

04/20/2018		ADMIN FEE: ADMIN FEE								-390.00
04/20/2018		E & O INSURANCE: E & O INSURANCE								-249.00
04/20/2018		CIRCLEBLACK: CIRCLEBLACK								-175.00
04/20/2018		MWWOD:MISCELLANEOUS: WRITE-OFF								-15.10
		DEBIT BALANCE								
04/20/2018		FINRA: FINRA ANNUAL ASSESMENT FEE								-215.00
*** ADJUSTMENTS TOTAL ***										<u>\$-1,044.10</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$744.08
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,044.10
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$3,552.93
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	<u>\$3,252.91</u>
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