

**COMMISSION STATEMENT****February 15, 2018**

A132 - HERB/FRED ALSTON/CHASALOW

BROKER #: A132

BRANCH: HERBERT ALSTON

, MI

| DATE   | CLIENT                 | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|--|------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                |                        |                                     |                      |                     |                    |                   |       |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b> |                        |                                     |                      |                     |                    |                   |       |                      |
| ^01/18/2018                                      | MISCHAK, RONALD        | ASP ARROW DWA BALANCED A            | 0.00                 | 7.95                | 0.00               | 7.95              | 100.0 | 0.00                 |
| ^01/18/2018                                      | GASPAR, NICHOLAS       | ASP ARROW DWA BALANCED A            | 0.00                 | 1.18                | 0.00               | 1.18              | 100.0 | 0.00                 |
| ^01/18/2018                                      | WEBER, PENNY           | ASP ARROW MAANGED FUTURES STRATEGY  | 0.00                 | 5.43                | 0.00               | 5.43              | 100.0 | 0.00                 |
| ^01/22/2018                                      | CHASALOW, SANDRA       | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 14.37               | 0.00               | 14.37             | 100.0 | 0.00                 |
| ^01/22/2018                                      | COHEN, JOYCE           | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 7.12                | 0.00               | 7.12              | 100.0 | 0.00                 |
| ^01/22/2018                                      | COHEN, JOEL            | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 7.12                | 0.00               | 7.12              | 100.0 | 0.00                 |
| ^01/22/2018                                      | KIM, SCARLET           | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 4.04                | 0.00               | 4.04              | 100.0 | 0.00                 |
| ^01/22/2018                                      | WEBER, PENNY           | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 5.74                | 0.00               | 5.74              | 100.0 | 0.00                 |
| ^01/22/2018                                      | FROST, CARRIE-ANN      | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 1.91                | 0.00               | 1.91              | 100.0 | 0.00                 |
| ^01/22/2018                                      | MCDONALD, MARY         | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 2.89                | 0.00               | 2.89              | 100.0 | 0.00                 |
| ^01/25/2018                                      | MCDONALD, MARY         | COHEN & STEERS INTERNATIONAL REALTY | 0.00                 | 1.24                | 0.00               | 1.24              | 100.0 | 0.00                 |
| ^01/19/2018                                      | THEIN, CHRISTINE       | JH GREATER CHINA OPP A              | 0.00                 | 2.79                | 0.00               | 2.79              | 100.0 | 0.00                 |
| ^01/19/2018                                      | COHEN, JOYCE           | JH GREATER CHINA OPP C              | 0.00                 | 11.00               | 0.00               | 11.00             | 100.0 | 0.00                 |
| ^01/16/2018                                      | MCKEE, MARY L KLANCHNI | RYDEX GUGG U.S. LONG SHORT MOMENTUM | 0.00                 | 2.22                | 0.00               | 2.22              | 100.0 | 0.00                 |
| ^01/09/2018                                      | COHEN, JOEL            | WILLISTON BASIN/MID- NORTH AMERICA  | 0.00                 | 11.15               | 0.00               | 11.15             | 100.0 | 0.00                 |
| ^01/09/2018                                      | MCDONALD, MARY         | WILLISTON BASIN/MID- NORTH AMERICA  | 0.00                 | 5.76                | 0.00               | 5.76              | 100.0 | 0.00                 |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>      |                        |                                     | <b>\$0.00</b>        | <b>\$91.91</b>      | <b>\$0.00</b>      | <b>\$91.91</b>    |       | <b>\$0.00</b>        |
| <b>*** DIRECT TRANSACTIONS TOTAL ***</b>         |                        |                                     | <b>\$0.00</b>        | <b>\$91.91</b>      | <b>\$0.00</b>      | <b>\$91.91</b>    |       | <b>\$0.00</b>        |

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

\*\* - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount &amp; Gross Commission displayed

**BROKER COMMISSION TOTALS**

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

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

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Gross</b>    | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |