

STATEMENT

February 20, 2018

KATIE PEPIN
1990 Main Street #750

BROKER #: 150
BRANCH:

Sarasota, FL 34236

COMMISSION STATEMENT for KATIE PEPIN

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>									
11/01/0017	#2000273790 BENSON, LISA	AGES 18 AND OVER A	0.00	0.36	93.0	0.00	0.33	0.00	0.33
11/01/0017	#2000334549 PEPIN, THOMAS	C - GLOBAL OPPORTUNITIES PORT	0.00	4.67	93.0	0.00	4.34	0.00	4.34
12/01/0017	#2000273790 BENSON, LISA	AGES 18 AND OVER A	0.00	0.35	93.0	0.00	0.33	0.00	0.33
12/01/0017	#2000334549 PEPIN, THOMAS	C - GLOBAL OPPORTUNITIES PORT	0.00	4.88	93.0	0.00	4.54	0.00	4.54
12/01/2017	#04220290191 PEPIN, KATIE	MAIN STREET FUND C	250.61	2.51	93.0	0.00	2.33	0.00	2.33
12/01/2017	#04220290191 PEPIN, KATIE	MAIN STREET FUND C	292.25	2.92	93.0	0.00	2.72	0.00	2.72
12/01/2017	#04220427306 PENNIN, S	MAIN STREET FUND C	123.41	1.23	93.0	0.00	1.14	0.00	1.14
12/15/2017	#04220424622 PENNIN, S	MAIN STREET FUND C	100.00	1.00	93.0	0.00	0.93	0.00	0.93
01/02/2018	#2000273790 BENSON, LISA	AGES 18 AND OVER A	0.00	0.36	93.0	0.00	0.33	0.00	0.33
01/02/2018	#2000334549 PEPIN, THOMAS	C - GLOBAL OPPORTUNITIES PORT	50.00	0.50	93.0	0.00	0.47	0.00	0.47
01/02/2018	#2000334549 PEPIN, THOMAS	C - GLOBAL OPPORTUNITIES PORT	0.00	5.30	93.0	0.00	4.93	0.00	4.93
01/02/2018	#04220290191 PEPIN, KATIE	MAIN STREET FUND C	250.61	2.51	93.0	0.00	2.33	0.00	2.33
01/02/2018	#04220290191 PEPIN, KATIE	MAIN STREET FUND C	292.25	2.92	93.0	0.00	2.72	0.00	2.72
01/02/2018	#04220427306 PENNIN, S	MAIN STREET FUND C	123.41	1.23	93.0	0.00	1.14	0.00	1.14
* MUTUAL FUNDS SUBTOTAL *			\$1,482.54	\$30.74		\$0.00	\$28.58	\$0.00	\$28.58

PRODUCT CATEGORY: VARIABLE ANNUITIES

/ /	#2721574 FOUT, JEAN	JOHN HANCOCK LIFE TRAILS	0.00	35.17	93.0	0.00	32.71	0.00	32.71
01/07/0018	#N101466130 FOUT, JEAN	NATIONWIDE 620	0.00	11.47	93.0	0.00	10.67	0.00	10.67
01/07/0018	#N101514030 FOUT, JEAN	NATIONWIDE 620	0.00	3.68	93.0	0.00	3.42	0.00	3.42
12/30/2017	#016217567 REXINGER, JANE	NATIONWIDE 620	0.00	795.65	93.0	0.00	739.95	0.00	739.95
12/30/2017	#016217576 REXINGER, JANE	NATIONWIDE 620	0.00	66.78	93.0	0.00	62.11	0.00	62.11
12/30/2017	#016321146 SMITH, NACY	NATIONWIDE 620	0.00	25.54	93.0	0.00	23.75	0.00	23.75
12/30/2017	#016150757 RUSSELL, SUZANNE	NATIONWIDE 620	0.00	104.94	93.0	0.00	97.59	0.00	97.59
12/30/2017	#016211151 DOUGLAS, GAIL	NATIONWIDE 620	0.00	154.33	93.0	0.00	143.53	0.00	143.53
12/30/2017	#016234081 PEYTON, FORREST	NATIONWIDE 620	0.00	792.67	93.0	0.00	737.18	0.00	737.18
12/30/2017	#016265919 KING, EILEEN	NATIONWIDE 620	0.00	691.19	93.0	0.00	642.81	0.00	642.81
12/30/2017	#016292965 PEYTON, FORREST	NATIONWIDE 620	0.00	957.35	93.0	0.00	890.34	0.00	890.34

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BROKER TRANSACTIONS									
PRODUCT CATEGORY: VARIABLE ANNUITIES									
12/30/2017	#016323825	LITTLE, DALLAS	NATIONWIDE 620	0.00	142.32	93.0	0.00	132.36	132.36
12/30/2017	#016249720	BLUES, IRMA KAY	NATIONWIDE 620	0.00	91.42	93.0	0.00	85.02	85.02
12/31/2017	#E1075717	KING, ROBERT	PRUDETIAL TRAILS	0.00	98.60	93.0	0.00	91.70	91.70
12/31/2017	#E1059724	GREEN	PRUDETIAL TRAILS	0.00	18.17	93.0	0.00	16.90	16.90
12/31/2017	#E1774734		PRUDETIAL TRAILS	0.00	8.19	93.0	0.00	7.62	7.62
12/31/2017	#E0495602	KING, EILEEN	PRUDETIAL TRAILS	0.00	22.99	93.0	0.00	21.38	21.38
12/31/2017	#E0495602	KING, EILEEN	PRUDETIAL TRAILS	0.00	5.75	93.0	0.00	5.35	5.35
12/31/2017	#E0495401	KING, EILEEN	PRUDETIAL TRAILS	0.00	123.11	93.0	0.00	114.49	114.49
12/31/2017	#E0495401	KING, EILEEN	PRUDETIAL TRAILS	0.00	30.78	93.0	0.00	28.63	28.63
12/31/2017	#E0484442	SANDERS REV TRUST,	PRUDETIAL TRAILS	0.00	2.43	93.0	0.00	2.26	2.26
12/31/2017	#E0501203	KING, EILEEN	PRUDETIAL TRAILS	0.00	123.91	93.0	0.00	115.24	115.24
12/31/2017	#E0501203	KING, EILEEN	PRUDETIAL TRAILS	0.00	30.98	93.0	0.00	28.81	28.81
12/31/2017	#E0484442	SANDERS REV TRUST,	PRUDETIAL TRAILS	0.00	7.30	93.0	0.00	6.79	6.79
12/31/2017	#E0355069	PITTS, VIRGINIA	PRUDETIAL TRAILS	0.00	15.78	93.0	0.00	14.68	14.68
12/31/2017	#E0355069	PITTS, VIRGINIA	PRUDETIAL TRAILS	0.00	3.95	93.0	0.00	3.67	3.67
12/31/2017	#1014526117	TONCOLA,	PERSP L 08/11	118,069.19	98.39	93.0	0.00	91.50	91.50
01/31/2018	#1014526117	TONCOLA,	PERSP L 08/11	122,949.04	102.46	93.0	0.00	95.29	95.29
* VARIABLE ANNUITIES SUBTOTAL *				\$241,018.23	\$4,565.30	\$0.00	\$4,245.75	\$0.00	\$4,245.75
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
12/31/2017	#04220290191	PEPIN, KATIE	MAIN STREET FUND C	0.00	75.92	93.0	0.00	70.61	70.61
12/31/2017	#04220424622	PENNIN, S	MAIN STREET FUND C	0.00	7.12	93.0	0.00	6.62	6.62
12/31/2017	#04220427306	PENNIN, S	MAIN STREET FUND C	0.00	23.73	93.0	0.00	22.07	22.07
12/31/2017	#02171504250	PEPIN, KATIE	OPPENHEIMER GLOBAL OPPORTUNITIES FD	0.00	15.71	93.0	0.00	14.61	14.61
12/31/2017	#02171730630	BRANDO J M	OPPENHEIMER GLOBAL OPPORTUNITIES FD	0.00	99.60	93.0	0.00	92.63	92.63
01/03/2018	#00621315594		PIONEER FUND INC-CL A	0.00	9.94	93.0	0.00	9.24	9.24
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$232.02	\$0.00	\$215.78	\$0.00	\$215.78
*** BROKER TRANSACTIONS TOTAL ***				\$242,500.77	\$4,828.06	\$0.00	\$4,490.11	\$0.00	\$4,490.11

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ADJUSTMENTS

02/20/2018		BETA BACK OFFICE: ADMIN FEE							-320.00
02/20/2018		E & O INSURANCE: E & O INSURANCE							-179.00
*** ADJUSTMENTS TOTAL ***									<u>\$-499.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$4,490.11
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-499.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-244.94
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	<u>\$3,746.17</u>
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