

STATEMENT

January 20, 2018

DON BREWINGTON

BROKER #: 247

BRANCH: LA BRANCH

, CA

COMMISSION STATEMENT for DON BREWINGTON

DATE	CLIENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
12/01/2017 #	RIGSBY, BRIAN	MELINTA THERAPEUTICS INC	4,012.80	135.82	85.0	0.00	115.45	95.50
12/01/2017 #	RIGSBY, BRIAN	PARATEK PHARMACEUTICALS INC COM	3,740.00	112.23	85.0	0.00	95.40	75.45
12/04/2017 #	PISCHKE, PATRICK	ALIBABA GROUP HOLDING LTD SPONSORED	4,607.48	0.00	85.0	0.00	0.00	0.00
12/04/2017 #	FINNELL, FERGUS	ALIBABA GROUP HOLDING LTD SPONSORED	8,445.38	105.00	85.0	0.00	89.25	69.30
12/04/2017 #	FINNELL, FERGUS	BANK OF THE OZARKS INC	22,915.79	426.77	85.0	0.00	362.75	342.80
12/04/2017 #	PISCHKE, PATRICK	BIODELIVERY SCIENCES INTERNATIONAL	4,717.50	0.00	85.0	0.00	0.00	0.00
12/04/2017 #	FINNELL, FERGUS	LAM RESEARCH CORP	9,062.38	105.00	85.0	0.00	89.25	69.30
12/04/2017 #	FINNELL, FERGUS	PARATEK PHARMACEUTICALS INC COM	4,732.00	151.99	85.0	0.00	129.19	109.24
12/05/2017 #	FINNELL, FERGUS	WAL-MART DE MEXICO S A B DE C V SPO	47,161.80	695.44	85.0	0.00	591.12	571.17
12/05/2017 #	FINNELL, FERGUS	WAL-MART DE MEXICO S A B DE C V SPO	6,473.15	64.99	85.0	0.00	55.24	35.29
12/13/2017 #	HALLIGAN, PAT	HORIZON PHARMA PLC SHS	2,516.00	0.00	85.0	0.00	0.00	0.00
12/13/2017 #	HALLIGAN, PAT	UNDER ARMOUR INC CLASS C COMMON STO	3,718.98	0.00	85.0	0.00	0.00	0.00
12/18/2017 #	FINNELL, FERGUS	JD.COM INC SPONSORED ADR REPSTG COM	20,973.00	393.77	85.0	0.00	334.70	314.75
12/19/2017 #	FINNELL, FERGUS	BANK OF THE OZARKS INC	14,597.04	284.75	85.0	0.00	242.04	222.09
12/19/2017 #	MCGEE, TAMARA	MELINTA THERAPEUTICS INC	2,057.00	0.00	85.0	0.00	0.00	0.00
12/21/2017 #	FINNELL, FERGUS	CYBERARK SOFTWARE LTD ORDINARY SHAR	12,723.51	257.53	85.0	0.00	218.90	198.95
* STOCKS SUBTOTAL *			\$172,453.81	\$2,733.29		\$0.00	\$2,323.29	\$219.45
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/08/2017 #	FINNELL, FERGUS	DAIN TRAILER	0.00	1.94	90.0	0.00	1.75	1.75
12/11/2017 #	FINNELL, FERGUS	DAIN TRAILER	0.00	4.88	90.0	0.00	4.39	4.39
12/11/2017 #	FINNELL, FERGUS	DAIN TRAILER	0.00	4.19	90.0	0.00	3.77	3.77
12/11/2017 #	FINNELL, FERGUS	DAIN TRAILER	0.00	4.36	90.0	0.00	3.92	3.92
12/11/2017 #	FINNELL, FERGUS	DAIN TRAILER	0.00	1.94	90.0	0.00	1.75	1.75
12/11/2017 #	FINNELL, FERGUS	DAIN TRAILER	0.00	2.03	90.0	0.00	1.83	1.83
12/11/2017 #	FINNELL, FERGUS	DAIN TRAILER	0.00	1.95	90.0	0.00	1.76	1.76
12/11/2017 #	FINNELL, FERGUS	DAIN TRAILER	0.00	4.34	90.0	0.00	3.91	3.91
12/11/2017 #	FINNELL, FERGUS	DAIN TRAILER	0.00	3.92	90.0	0.00	3.53	3.53

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BROKER TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
12/11/2017	# FINNELL, FERGUS	DAIN TRAILER	0.00	3.92	90.0	0.00	3.53	0.00	3.53
12/11/2017	# FINNELL, FERGUS	DAIN TRAILER	0.00	1.90	90.0	0.00	1.71	0.00	1.71
12/11/2017	# PHARES, BECKY	DAIN TRAILER	0.00	4.88	90.0	0.00	4.39	0.00	4.39
12/11/2017	# PHARES, BECKY	DAIN TRAILER	0.00	4.27	90.0	0.00	3.84	0.00	3.84
12/11/2017	# PHARES, BECKY	DAIN TRAILER	0.00	3.25	90.0	0.00	2.93	0.00	2.93
12/11/2017	# PHARES, BECKY	DAIN TRAILER	0.00	4.15	90.0	0.00	3.74	0.00	3.74
12/11/2017	# PHARES, BECKY	DAIN TRAILER	0.00	4.20	90.0	0.00	3.78	0.00	3.78
12/11/2017	# PHARES, BECKY	DAIN TRAILER	0.00	4.45	90.0	0.00	4.01	0.00	4.01
12/11/2017	# PHARES, BECKY	DAIN TRAILER	0.00	3.64	90.0	0.00	3.28	0.00	3.28
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$64.21		\$0.00	\$57.82	\$0.00	\$57.82
*** BROKER TRANSACTIONS TOTAL ***			\$172,453.81	\$2,797.50		\$0.00	\$2,381.11	\$219.45	\$2,161.66

ADJUSTMENTS

01/20/2018	ADMIN FEE: ADMIN FEE	-320.00
01/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
*** ADJUSTMENTS TOTAL ***		\$-499.00

BROKER COMMISSION TOTALS

Broker Transactions	\$2,161.66
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-499.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,662.66
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