

# STATEMENT

July 20, 2018

DWAIN BLAKE

BROKER #: 049

BRANCH: LA BRANCH

, CA

## COMMISSION STATEMENT for DWAIN BLAKE

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

### PRODUCT CATEGORY: STOCKS

05/30/2018 #	SHERIDAN, SCOTT	ARK ETF TRUST ARK INNOVATION ETF	B	2,611.80	0.00	0.00	0.00	0.00	75.0	0.00
05/30/2018 #	SALMI, ROBERT	FIRST TR EXCHANGE TRADED FD VI	B	3,980.72	0.00	0.00	0.00	0.00	75.0	0.00
05/30/2018 #	SALMI, ROBERT	FIRST TRUST EXCHANGE TRADED	B	5,893.36	0.00	0.00	0.00	0.00	75.0	0.00
05/30/2018 #	SALMI, ROBERT	ISHARES TRUST BARCLAYS U S AGGR BON B	B	1,916.46	0.00	0.00	0.00	0.00	75.0	0.00
05/30/2018 #	SALMI, ROBERT	ISHARES TRUST ISHARES 3 TO 7 YEAR T B	B	3,606.23	0.00	0.00	0.00	0.00	75.0	0.00
05/30/2018 #	SHERIDAN, SCOTT	POWERSHARES EXCHANGE TRADED FD	B	6,684.69	0.00	0.00	0.00	0.00	75.0	0.00
05/30/2018 #		SPDR S&P 1500 MOMENTUM	B	10,846.80	0.00	0.00	0.00	0.00	75.0	0.00
05/30/2018 #		SPDR S&P 1500 VALUE	B	5,117.00	0.00	0.00	0.00	0.00	75.0	0.00
05/30/2018 #		SPDR SERIES TRUST	B	10,082.85	0.00	0.00	0.00	0.00	75.0	0.00
05/30/2018 #		SPDR SERIES TRUST S&P AEROSPACE & D B	B	10,771.97	0.00	0.00	0.00	0.00	75.0	0.00
05/30/2018 #	SHERIDAN, SCOTT	VANGUARD SECTOR INDEX FDS VANGUARD	B	3,973.90	0.00	0.00	0.00	0.00	75.0	0.00
06/04/2018 #		SPDR S&P 600 SMALL CAP ETF	B	9,437.34	0.00	0.00	0.00	0.00	75.0	0.00
06/04/2018 #		SPDR SER TR S&P 600 SMALL CAP GROWT B	B	9,852.57	0.00	0.00	0.00	0.00	75.0	0.00
06/04/2018 #		SPDR SERIES TRUST	B	9,960.03	0.00	0.00	0.00	0.00	75.0	0.00
06/04/2018 #		SPDR SERIES TRUST	B	9,922.68	0.00	0.00	0.00	0.00	75.0	0.00
06/04/2018 #		SPDR SERIES TRUST S&P AEROSPACE & D B	B	9,958.80	0.00	0.00	0.00	0.00	75.0	0.00
06/04/2018 #		SSGA ACTIVE TRUST	B	1,550.68	0.00	0.00	0.00	0.00	75.0	0.00
06/06/2018 #	SINGLETON, AUDREY	ARK ETF TRUST ARK INNOVATION ETF	B	14,961.72	0.00	0.00	0.00	0.00	75.0	0.00
06/06/2018 #	SINGLETON, AUDREY	POWERSHARES ACTIVELY MANAGED EXCHAN B	B	15,928.02	0.00	0.00	0.00	0.00	75.0	0.00
06/06/2018 #	SINGLETON, AUDREY	WISDOMTREE JAPAN HEDGED	B	14,960.43	0.00	0.00	0.00	0.00	75.0	0.00
06/08/2018 #	BLAKE, DWAIN	SOUTHWEST AIRLINES CO	S	252.31	0.00	19.95	0.00	-19.95	75.0	-14.96
06/15/2018 #		SPDR S&P 1500 MOMENTUM	B	12,314.00	0.00	0.00	0.00	0.00	75.0	0.00
06/15/2018 #		SPDR S&P 600 SMALL CAP ETF	B	22,178.61	0.00	0.00	0.00	0.00	75.0	0.00
06/15/2018 #		SPDR SER TR	B	28,396.53	0.00	0.00	0.00	0.00	75.0	0.00
06/15/2018 #		SPDR SER TR S&P 600 SMALL CAP GROWT B	B	35,316.00	0.00	0.00	0.00	0.00	75.0	0.00
06/15/2018 #		SPDR SER TR S&P 600 SMALL CAP VALUE B	B	2,043.00	0.00	0.00	0.00	0.00	75.0	0.00
06/15/2018 #		SPDR SERIES TRUST	B	23,979.11	0.00	0.00	0.00	0.00	75.0	0.00
06/15/2018 #		SPDR SERIES TRUST	B	19,022.33	0.00	0.00	0.00	0.00	75.0	0.00
06/15/2018 #		SPDR SERIES TRUST	B	20,142.53	0.00	0.00	0.00	0.00	75.0	0.00
06/15/2018 #		SPDR SERIES TRUST	B	15,704.25	0.00	0.00	0.00	0.00	75.0	0.00
06/15/2018 #		SPDR SERIES TRUST	B	35,724.58	0.00	0.00	0.00	0.00	75.0	0.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>										
<b><u>PRODUCT CATEGORY: STOCKS</u></b>										
06/15/2018 #		SPDR SERIES TRUST S&P AEROSPACE & D B		35,437.16	0.00	0.00	0.00	0.00	75.0	0.00
06/15/2018 #		SPDR SERIES TRUST S&P AEROSPACE & D B		24,014.64	0.00	0.00	0.00	0.00	75.0	0.00
<b>* STOCKS SUBTOTAL *</b>				<b>\$436,543.10</b>	<b>\$0.00</b>	<b>\$19.95</b>	<b>\$0.00</b>	<b>\$-19.95</b>		<b>\$-14.96</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>										
06/01/2018 #04000053852	NAGLE, MAEVE	CAPITAL INCOME BUILDER-529A	B	0.00	0.18	0.00	0.00	0.18	75.0	0.14
06/01/2018 #04000978095	SINGLETON, AUDREY	CAPITAL INCOME BUILDER-529A	B	0.00	0.98	0.00	0.00	0.98	75.0	0.74
06/01/2018 #00083367483	NAGLE, MAEVE	CAPITAL INCOME BUILDER-529A	B	0.00	0.75	0.00	0.00	0.75	75.0	0.56
06/01/2018 #00083367483	NAGLE, MAEVE	CAPITAL WORLD GROWTH AND INCOME-529	B	0.00	0.44	0.00	0.00	0.44	75.0	0.33
06/01/2018 #04000053852	NAGLE, MAEVE	FUNDAMENTAL INVESTORS-529A	B	0.00	0.20	0.00	0.00	0.20	75.0	0.15
06/01/2018 #00083367483	NAGLE, MAEVE	FUNDAMENTAL INVESTORS-529A	B	0.00	0.77	0.00	0.00	0.77	75.0	0.58
06/01/2018 #00083367483	NAGLE, MAEVE	NEW PERSPECTIVE FUND-529A	B	0.00	0.04	0.00	0.00	0.04	75.0	0.03
06/01/2018 #00083367483	NAGLE, MAEVE	SMALLCAP WORLD FUND-529A	B	0.00	0.04	0.00	0.00	0.04	75.0	0.03
06/01/2018 #04000053852	NAGLE, MAEVE	THE GROWTH FUND OF AMERICA-529A	B	0.00	0.21	0.00	0.00	0.21	75.0	0.16
06/01/2018 #00083367483	NAGLE, MAEVE	THE GROWTH FUND OF AMERICA-529A	B	0.00	1.52	0.00	0.00	1.52	75.0	1.14
06/01/2018 #04000053852	NAGLE, MAEVE	WASHINGTON MUTUAL INVESTORS FUND-52	B	0.00	0.19	0.00	0.00	0.19	75.0	0.14
06/01/2018 #00083367483	NAGLE, MAEVE	WASHINGTON MUTUAL INVESTORS FUND-52	B	0.00	0.95	0.00	0.00	0.95	75.0	0.71
06/06/2018 #		DAIN TRAILER	S	58,652.49	0.00	0.00	0.00	0.00	75.0	0.00
06/06/2018 #		DAIN TRAILER	S	40,538.52	0.00	0.00	0.00	0.00	75.0	0.00
06/06/2018 #		DAIN TRAILER	S	25,396.50	0.00	0.00	0.00	0.00	75.0	0.00
06/06/2018 #		DAIN TRAILER	S	28,135.75	0.00	0.00	0.00	0.00	75.0	0.00
06/06/2018 #		DAIN TRAILER	S	24,374.51	0.00	0.00	0.00	0.00	75.0	0.00
06/08/2018 #		DAIN TRAILER	S	5,177.49	0.00	0.00	0.00	0.00	75.0	0.00
06/11/2018 #		DAIN TRAILER	B	0.00	5.64	0.00	0.00	5.64	75.0	4.23
06/11/2018 #		DAIN TRAILER	B	0.00	1.57	0.00	0.00	1.57	75.0	1.18
06/11/2018 #		DAIN TRAILER	B	0.00	26.92	0.00	0.00	26.92	75.0	20.19
06/11/2018 #		DAIN TRAILER	B	0.00	2.74	0.00	0.00	2.74	75.0	2.06
06/11/2018 #		DAIN TRAILER	B	0.00	1.61	0.00	0.00	1.61	75.0	1.21
06/11/2018 #		DAIN TRAILER	B	0.00	4.36	0.00	0.00	4.36	75.0	3.27
06/11/2018 #		DAIN TRAILER	B	0.00	8.62	0.00	0.00	8.62	75.0	6.47
06/11/2018 #		DAIN TRAILER	S	36,079.90	0.00	0.00	0.00	0.00	75.0	0.00
06/11/2018 #		DAIN TRAILER	S	10,573.30	0.00	0.00	0.00	0.00	75.0	0.00
06/11/2018 #		DAIN TRAILER	S	22,629.64	0.00	0.00	0.00	0.00	75.0	0.00
06/11/2018 #		DAIN TRAILER	S	21,312.72	0.00	0.00	0.00	0.00	75.0	0.00
06/11/2018 #		DAIN TRAILER	B	0.00	4.30	0.00	0.00	4.30	75.0	3.23
06/11/2018 #		DAIN TRAILER	B	0.00	6.21	0.00	0.00	6.21	75.0	4.66
06/11/2018 #		DAIN TRAILER	B	0.00	2.05	0.00	0.00	2.05	75.0	1.54
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$272,870.82</b>	<b>\$70.29</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$70.29</b>		<b>\$52.75</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>				<b>\$709,413.92</b>	<b>\$70.29</b>	<b>\$19.95</b>	<b>\$0.00</b>	<b>\$50.34</b>		<b>\$37.79</b>

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ADJUSTMENTS

07/20/2018		ADMIN FEE: ADMIN FEE								-390.00
07/20/2018		ASSISTANT FEE: ASSISTANT FEE								-219.00
07/20/2018		CIRCLEBLACK: CIRCLEBLACK								-175.00
07/20/2018		DOCUSIGN: DOCUSIGN								-51.00
07/20/2018		E & O INSURANCE: E & O INSURANCE								-179.00
*** ADJUSTMENTS TOTAL ***										\$-1,014.00

BROKER COMMISSION TOTALS

Broker Transactions	\$37.79
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,014.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-6,531.22
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward \$-7,507.43