

**COMMISSION STATEMENT****August 15, 2018**

HERBERT, A123 ALSTON  
4200 Park Blvd  
Suite 154  
Oakland, CA 94602

BROKER #: A123  
BRANCH: HERBERT ALSTON

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: 1031 EXCHANGES</u></b>								
07/19/2018	DIORENZO TRUST, JOANN	BC EXCHANGE VASCO DST	75,000.00	3,750.00	0.00	3,750.00	75.0	2,812.50
		* 1031 EXCHANGES SUBTOTAL *	\$75,000.00	\$3,750.00	\$0.00	\$3,750.00		\$2,812.50
<b><u>PRODUCT CATEGORY: NON-TRADED BDC</u></b>								
08/02/2018	BULKIN, CARLETON	FS INVESTMENT CORP IV CLASS T	0.00	199.03	0.00	199.03	75.0	149.27
		* NON-TRADED BDC SUBTOTAL *	\$0.00	\$199.03	\$0.00	\$199.03		\$149.27
		*** DIRECT TRANSACTIONS TOTAL ***	\$75,000.00	\$3,949.03	\$0.00	\$3,949.03		\$2,961.77

**SPLIT TRANSACTIONS****BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413**

07/16/2018	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	5.18	0.00	5.18	75.0	3.89
07/16/2018	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.77	0.00	0.77	75.0	0.58
07/16/2018	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	3.14	0.00	3.14	75.0	2.36
07/02/2018	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.88	0.00	9.88	75.0	7.41
07/02/2018	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.90	0.00	4.90	75.0	3.68
07/02/2018	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.90	0.00	4.90	75.0	3.68
07/02/2018	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.78	0.00	2.78	75.0	2.09
07/02/2018	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.94	0.00	3.94	75.0	2.96
07/02/2018	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.31	0.00	1.31	75.0	0.98
07/02/2018	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.99	0.00	1.99	75.0	1.49
07/16/2018	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.64	0.00	9.64	75.0	7.23
07/16/2018	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.78	0.00	4.78	75.0	3.59
07/16/2018	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.78	0.00	4.78	75.0	3.59
07/16/2018	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.71	0.00	2.71	75.0	2.03
07/16/2018	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.85	0.00	3.85	75.0	2.89
07/16/2018	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.29	0.00	1.29	75.0	0.97

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</b>								
07/16/2018	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.93	0.00	1.93	75.0	1.45
07/17/2018	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.83	0.00	0.83	75.0	0.62
07/13/2018	COHEN, JOYCE	JH GREATER CHINA OPP A	0.00	1.87	0.00	1.87	75.0	1.40
07/13/2018	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	0.77	0.00	0.77	75.0	0.58
07/09/2018	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.39	0.00	1.39	75.0	1.04
07/20/2018	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.33	0.00	1.33	75.0	1.00
07/11/2018	MCDONALD, MARY	WILLISTON BASIN/MID- NORTH AMERICA	0.00	4.04	0.00	4.04	75.0	3.03
<b>* A132 - HERB/FRED ALSTON/CHASALOW SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$78.00</b>	<b>\$0.00</b>	<b>\$78.00</b>		<b>\$58.54</b>
<b>*** SPLIT TRANSACTIONS TOTAL ***</b>			<b>\$0.00</b>	<b>\$78.00</b>	<b>\$0.00</b>	<b>\$78.00</b>		<b>\$58.54</b>

**ADJUSTMENTS**

08/15/2018	*AI INSIGHT: CURRENT MONTH	0.00	-7.00
08/15/2018	*CREDIT CARD PYT: CREDIT CARD PYT	0.00	738.88
08/15/2018	*DOCUSIGN: CURRENT MONTH	0.00	-18.00
08/15/2018	*E & O INSURANCE: CURRENT MONTH INS	0.00	-300.00
08/15/2018	*FINRA: AL INDIVIDUAL REG. FEE	0.00	-70.00
08/15/2018	*FINRA: TN INDIVIDUAL REG. FEE	0.00	-50.00
08/15/2018	*PERSHING: FOREIGN CUSTODY FEE	0.00	-32.00
08/15/2018	*PERSHING: MANDATORY REORG MERGER PNW012177	0.00	-10.00
08/15/2018	*PERSHING: MANDATORY REORG MERGER PNW013191	0.00	-10.00
08/15/2018	*PERSHING: MANDATORY REORG MERGER PNW013191	0.00	-10.00
08/15/2018	*PERSHING: MANDATORY REORG MERGER PNW016996	0.00	-10.00
08/15/2018	*PERSHING: MANDATORY REORG MERGER PNW016996	0.00	-10.00
08/15/2018	*PERSHING: MANDATORY REORG MERGER PNW019255	0.00	-10.00
08/15/2018	*PERSHING: MANDATORY REORG MERGER PNW019255	0.00	-10.00

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>ADJUSTMENTS</u></b>								
08/15/2018		*PERSHING: BOOKS & RECORDS	0.00					-11.88
08/15/2018		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$2,961.77
Split Transactions	\$58.54
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

Check Amount	<b>\$3,020.31</b>
Year-to-date Gross	<b>\$34,560.85</b>
Year-to-date Earnings	<b>\$25,732.00</b>

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