

**COMMISSION STATEMENT****January 25, 2018**

SYLVIA LUM  
209 Broadway Avenue  
Millbrae, CA 94030

BROKER #: 73896  
BRANCH: 04-#70A11 HOME OFFIC

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
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**Company: Securities America****BROKER TRANSACTIONS****PRODUCT CATEGORY: MUTUAL FUNDS**

01/25/2018	LUM (73896), SYLVIA	SAI SECURITES INCOME	0.00	3.00	1.02	0.00	1.02
* MUTUAL FUNDS SUBTOTAL *			<u>\$0.00</u>	<u>\$3.00</u>	<u>\$1.02</u>	<u>\$0.00</u>	<u>\$1.02</u>

**PRODUCT CATEGORY: TRAILERS**

01/25/2018	LUM (73896), SYLVIA	SAI.TRAILS	0.00	7.06	2.40	0.00	2.40
01/25/2018	LUM (73896), SYLVIA	SAI.TRAILS	0.00	15.11	5.14	0.00	5.14
* TRAILERS SUBTOTAL *			<u>\$0.00</u>	<u>\$22.17</u>	<u>\$7.54</u>	<u>\$0.00</u>	<u>\$7.54</u>
*** BROKER TRANSACTIONS TOTAL ***			<u>\$0.00</u>	<u>\$25.17</u>	<u>\$8.56</u>	<u>\$0.00</u>	<u>\$8.56</u>

**ADJUSTMENTS**

21. SAI SIPC PE 1/12/18							-0.99
*** ADJUSTMENTS TOTAL ***			<u>\$0.00</u>	<u>\$0.00</u>	<u>\$-0.99</u>	<u>\$0.00</u>	<u>\$-0.99</u>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$8.56
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-0.99
Prior Period Balance	\$0.00
NASD Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$7.57
Year-to-date Earnings	\$279.46