

All Companies
STATEMENT
June 20, 2018

ERIK NEW DODDS

BROKER #: 067
BRANCH: LA BRANCH

, CA

COMMISSION STATEMENT for ERIK NEW DODDS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>										
05/10/2018 #		FIDELITY ADV CONSUMER STAPLES	S	11,292.71	30.00	20.00	0.00	10.00	45.0	4.50
05/10/2018 #		FLOATING-RATE ADVANTAGE FUND C	S	29,231.21	30.00	20.00	0.00	10.00	45.0	4.50
05/10/2018 #		JOHN HANCOCK BOND C	S	27,696.22	30.00	20.00	0.00	10.00	45.0	4.50
05/10/2018 #		NORTHERN LTS FD	S	45,332.69	30.00	20.00	0.00	10.00	45.0	4.50
* MUTUAL FUNDS SUBTOTAL *				\$113,552.83	\$120.00	\$80.00	\$0.00	\$40.00		\$18.00

PRODUCT CATEGORY: STOCKS

05/08/2018 #	MILLER, DANIEL	BARCLAYS PLC ADR	S	11.35	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	ALPS ETF TR	B	2,180.53	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	APPLE INC	B	2,613.80	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	ISHARES IBOXX \$ HIGH YIELD	B	25,810.73	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	ISHARES TR DOW JONES US	B	3,265.92	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	ISHARES TRUST DOW JONES US AEROSPAC B	B	2,176.79	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	ISHARES TRUST MSCI EMERGING	B	5,387.62	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	JPMORGAN CHASE & CO	B	2,155.12	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	POWERSHARES EXCHANGE TRADED FD TR D B	B	1,134.70	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	SECTOR SPDR TRUST	B	3,263.04	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	SECTOR SPDR TRUST SHS BEN INT TECHN B	B	10,832.44	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	SELECT SECTOR SPDR FUND	B	6,459.63	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	SELECT SECTOR SPDR FUND SHS BEN INT B	B	7,529.28	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	SELECT SECTOR SPDR TRUST SHS BEN IN B	B	5,338.19	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	SPDR SER TR S&P BIOTECH ETF	B	4,402.16	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	SPDR SER TR S&P REGL BKG ETF	B	7,606.08	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	SPDR SERIES TRUST	B	1,105.35	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	SPDR SERIES TRUST	B	4,293.51	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	SPDR SERIES TRUST BARCLAYS HIGH YIE B	B	21,542.78	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	VANGUARD INDEX FUNDS	B	3,200.77	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	VANGUARD INDEX FUNDS VANGUARD MID-C B	B	5,488.35	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	VANGUARD INTL EQUITY INDEX	B	3,248.10	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	VANGUARD SECTOR INDEX FDS	B	10,844.29	0.00	0.00	0.00	0.00	45.0	0.00
05/09/2018 #	MILLER, DANIEL	VANGUARD SECTOR INDEX FDS VANGUARD B	B	8,702.28	0.00	0.00	0.00	0.00	45.0	0.00

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
05/09/2018 #	MILLER, DANIEL	VANGUARD TAX-MANAGED FD MSCI EAFE E B		5,367.97	0.00	0.00	0.00	0.00	45.0	0.00
05/11/2018 #	ALI, ASAD	POWERSHARES QQQ TRUST	S	39,229.11	0.00	0.00	0.00	0.00	45.0	0.00
05/11/2018 #	ALI, ASAD	PROSHARES ULTRA QQQ	B	39,077.76	0.00	0.00	0.00	0.00	45.0	0.00
05/14/2018 #	MILLER, DANIEL	ISHARES TR DOW JONES US	B	544.56	0.00	0.00	0.00	0.00	45.0	0.00
05/14/2018 #	MILLER, DANIEL	ISHARES TRUST MSCI EMERGING	B	810.73	0.00	0.00	0.00	0.00	45.0	0.00
05/14/2018 #	MILLER, DANIEL	VANGUARD INDEX FUNDS	B	613.36	0.00	0.00	0.00	0.00	45.0	0.00
05/14/2018 #	MILLER, DANIEL	VANGUARD INDEX FUNDS VANGUARD MID-C B		789.20	0.00	0.00	0.00	0.00	45.0	0.00
05/14/2018 #	MILLER, DANIEL	VANGUARD INTL EQUITY INDEX	B	487.68	0.00	0.00	0.00	0.00	45.0	0.00
05/23/2018 #	SANDERS, LORI	POWERSHARES OPTIMUM YIELD	B	899.56	0.00	0.00	0.00	0.00	45.0	0.00
05/23/2018 #	SANDERS, LORI	VANECK VECTORS ETF TR JR GOLD MINER S		690.92	0.00	0.00	0.00	0.00	45.0	0.00
* STOCKS SUBTOTAL *				\$237,103.66	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
05/08/2018 #	ALI, PADMAPRIYA	DAIN TRAILER	B	0.00	1.91	0.00	0.00	1.91	45.0	0.86
05/08/2018 #	DAVENPORT, BLAKE	DAIN TRAILER	B	0.00	0.57	0.00	0.00	0.57	45.0	0.26
05/09/2018 #	DAVENPORT, BLAKE	DAIN TRAILER	B	0.00	0.55	0.00	0.00	0.55	45.0	0.25
05/09/2018 #		DAIN TRAILER	B	0.00	1.27	0.00	0.00	1.27	45.0	0.57
05/09/2018 #		DAIN TRAILER	B	0.00	4.59	0.00	0.00	4.59	45.0	2.07
05/09/2018 #		DAIN TRAILER	B	0.00	3.91	0.00	0.00	3.91	45.0	1.76
05/09/2018 #		DAIN TRAILER	B	0.00	6.83	0.00	0.00	6.83	45.0	3.07
05/09/2018 #		DAIN TRAILER	B	0.00	27.86	0.00	0.00	27.86	45.0	12.54
05/09/2018 #		DAIN TRAILER	B	0.00	5.60	0.00	0.00	5.60	45.0	2.52
05/10/2018 #		DAIN TRAILER	S	42,119.89	30.00	0.00	0.00	30.00	45.0	13.50
05/10/2018 #		DAIN TRAILER	S	9,585.06	30.00	0.00	0.00	30.00	45.0	13.50
05/10/2018 #		DAIN TRAILER	S	46,605.38	30.00	0.00	0.00	30.00	45.0	13.50
05/10/2018 #		DAIN TRAILER	S	71,921.04	30.00	0.00	0.00	30.00	45.0	13.50
05/10/2018 #		DAIN TRAILER	S	31,974.89	30.00	0.00	0.00	30.00	45.0	13.50
05/30/2018 #	DAVENPORT, BLAKE	DAIN TRAILER	B	0.00	0.54	0.00	0.00	0.54	45.0	0.24
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$202,206.26	\$203.63	\$0.00	\$0.00	\$203.63		\$91.64
*** BROKER TRANSACTIONS TOTAL ***				\$552,862.75	\$323.63	\$80.00	\$0.00	\$243.63		\$109.64

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ADJUSTMENTS

06/20/2018		MWOD:MISCELLANEOUS: WRITE-OFF								-200.00
		DEBIT BALANCE								
06/20/2018		MWOD:MISCELLANEOUS: WRITE-OFF								-400.00
		DEBIT BALANCE								
*** ADJUSTMENTS TOTAL ***										\$-600.00

BROKER COMMISSION TOTALS

Broker Transactions	\$109.64
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-600.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward \$-490.36