

STATEMENT

February 20, 2018

CYNTHIA HERRON
2321 Travis Lane
#608
Overland Park, KS 66209-

BROKER #: 227
BRANCH: LA BRANCH

COMMISSION STATEMENT for CYNTHIA HERRON

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---------------------------------------|---------------|-----------------|-----------------------------------|---------------------|--------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | | |
| 01/02/2018 | #00085613691 | LISHER, GINA | AMERICAN BALANCED FUND-529A | 75.00 | 3.75 | 92.0 | 0.00 | 3.45 | 3.45 |
| 01/02/2018 | #04000672757 | SHANNON, | AMERICAN FUNDS 2015 TARGET DATE-A | 8,688.69 | 325.83 | 92.0 | 0.00 | 299.76 | 299.76 |
| 01/02/2018 | #00088727323 | RUSSELL, JOHN | COLLEGE 2024 FUND 529A | 100.00 | 3.50 | 92.0 | 0.00 | 3.22 | 3.22 |
| 01/05/2018 | #00085515885 | GUITY, NIQUICHE | COLLEGE 2024 FUND-529C | 50.00 | 0.50 | 92.0 | 0.00 | 0.46 | 0.46 |
| 01/05/2018 | #00085515930 | GUITYORBIL | COLLEGE 2027 FUND-529C | 50.00 | 0.50 | 92.0 | 0.00 | 0.46 | 0.46 |
| 01/05/2018 | #00088467617 | GUITY, NIQUICHE | COLLEGE 2030 FUND-529A | 50.00 | 1.75 | 92.0 | 0.00 | 1.61 | 1.61 |
| 01/05/2018 | #005226561946 | FREY, RUTH | JOHN HANCOCK FRE | 0.00 | 31.77 | 92.0 | 0.00 | 29.23 | 29.23 |
| 01/05/2018 | #005228562026 | FREY, RUTH | JOHN HANCOCK FRE | 0.00 | 26.82 | 92.0 | 0.00 | 24.67 | 24.67 |
| 01/05/2018 | # | HALL, ERIN | MFS EQUITY OPPORTUNITIES FD CL A | 65.00 | 3.25 | 92.0 | 0.00 | 2.99 | 20.00 -17.01 |
| 01/05/2018 | #00085978086 | RARDIN, JOHN | THE BOND FUND OF AMERICA-529A | 50.00 | 1.50 | 92.0 | 0.00 | 1.38 | 0.00 1.38 |
| 01/10/2018 | #00088046313 | BAUCOMKARA | AMCAP FUND INC CLASS A | 46.20 | 1.96 | 92.0 | 0.00 | 1.80 | 0.00 1.80 |
| 01/10/2018 | #00088046313 | BAUCOMKARA | AMCAP FUND INC CLASS A | 153.80 | 6.54 | 92.0 | 0.00 | 6.02 | 0.00 6.02 |
| 01/10/2018 | #00088046313 | BAUCOMKARA | AMERICAN FUNDS 2015 TARGET DATE-A | 28.88 | 1.23 | 92.0 | 0.00 | 1.13 | 0.00 1.13 |
| 01/10/2018 | #00088046313 | BAUCOMKARA | AMERICAN FUNDS 2015 TARGET DATE-A | 96.12 | 4.09 | 92.0 | 0.00 | 3.76 | 0.00 3.76 |
| 01/10/2018 | #00088046313 | BAUCOMKARA | AMERICAN MUTUAL FUND INC CLASS A | 40.42 | 1.72 | 92.0 | 0.00 | 1.58 | 0.00 1.58 |
| 01/10/2018 | #00088046313 | BAUCOMKARA | AMERICAN MUTUAL FUND INC CLASS A | 134.58 | 5.72 | 92.0 | 0.00 | 5.26 | 0.00 5.26 |
| 01/10/2018 | # | RUSSELL, JOHN | MFS EQUITY OPPORTUNITIES FD CL A | 100.00 | 5.00 | 92.0 | 0.00 | 4.60 | 20.00 -15.40 |
| 01/12/2018 | #00088576061 | DAKEMICHEL | 2055 TARGET DATE RETIREMENT FUND | 31.21 | 0.62 | 92.0 | 0.00 | 0.57 | 0.00 0.57 |
| 01/12/2018 | #00088576061 | DAKEMICHEL | 2055 TARGET DATE RETIREMENT FUND | 49.17 | 0.98 | 92.0 | 0.00 | 0.90 | 0.00 0.90 |
| 01/12/2018 | #00086985099 | LOWNANCYEL | AMERICAN FUNDS 2010 TARGET DATE-A | 388.00 | 7.76 | 92.0 | 0.00 | 7.14 | 0.00 7.14 |
| 01/12/2018 | #00086985099 | LOWNANCYEL | AMERICAN FUNDS 2010 TARGET DATE-A | 93.12 | 1.86 | 92.0 | 0.00 | 1.71 | 0.00 1.71 |
| 01/12/2018 | #00087552633 | TALBERTLUC | AMERICAN FUNDS 2010 TARGET DATE-A | 462.21 | 9.24 | 92.0 | 0.00 | 8.50 | 0.00 8.50 |
| 01/12/2018 | #00087552633 | TALBERTLUC | AMERICAN FUNDS 2010 TARGET DATE-A | 86.66 | 1.73 | 92.0 | 0.00 | 1.59 | 0.00 1.59 |
| 01/12/2018 | #00087708562 | JONES-WISN | AMERICAN FUNDS 2015 TARGET DATE-A | 59.42 | 1.19 | 92.0 | 0.00 | 1.09 | 0.00 1.09 |
| 01/12/2018 | #00087708562 | JONES-WISN | AMERICAN FUNDS 2015 TARGET DATE-A | 59.42 | 1.19 | 92.0 | 0.00 | 1.09 | 0.00 1.09 |
| 01/12/2018 | #04000101422 | MCGINNISMI | AMERICAN FUNDS 2015 TARGET DATE-A | 57.70 | 1.15 | 92.0 | 0.00 | 1.06 | 0.00 1.06 |
| 01/12/2018 | #04000101422 | MCGINNISMI | AMERICAN FUNDS 2015 TARGET DATE-A | 57.70 | 1.15 | 92.0 | 0.00 | 1.06 | 0.00 1.06 |
| 01/12/2018 | #04000101439 | GIBBONSHEA | AMERICAN FUNDS 2015 TARGET DATE-A | 55.68 | 1.11 | 92.0 | 0.00 | 1.02 | 0.00 1.02 |

COMMISSION STATEMENT for CYNTHIA HERRON

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---------------------------------------|--------------|---------------|-----------------------------------|---------------------|--------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | | |
| 01/12/2018 | #04000101439 | GIBBONSHEA | AMERICAN FUNDS 2015 TARGET DATE-A | 55.68 | 1.11 | 92.0 | 0.00 | 1.02 | 1.02 |
| 01/12/2018 | #04000652154 | GRAHAM, TAMMY | AMERICAN FUNDS 2015 TARGET DATE-A | 3,816.44 | 143.12 | 92.0 | 0.00 | 131.67 | 131.67 |
| 01/12/2018 | #04000672757 | SHANNON, | AMERICAN FUNDS 2015 TARGET DATE-A | 1,186.30 | 44.49 | 92.0 | 0.00 | 40.93 | 40.93 |
| 01/12/2018 | #04000672757 | SHANNON, | AMERICAN FUNDS 2015 TARGET DATE-A | 2,001.25 | 75.05 | 92.0 | 0.00 | 69.05 | 69.05 |
| 01/12/2018 | #00086986934 | KUNKELGRET | AMERICAN FUNDS 2035 TARGET DATE-A | 298.07 | 5.96 | 92.0 | 0.00 | 5.48 | 5.48 |
| 01/12/2018 | #00086986934 | KUNKELGRET | AMERICAN FUNDS 2035 TARGET DATE-A | 62.01 | 1.24 | 92.0 | 0.00 | 1.14 | 1.14 |
| 01/12/2018 | #00088576061 | DAKEMICHEL | BOND FUND OF AMERICA INC CL A | 6.24 | 0.12 | 92.0 | 0.00 | 0.11 | 0.11 |
| 01/12/2018 | #00088576061 | DAKEMICHEL | BOND FUND OF AMERICA INC CL A | 9.83 | 0.20 | 92.0 | 0.00 | 0.18 | 0.18 |
| 01/12/2018 | #00086986934 | KUNKELGRET | GROWTH AND INCOME PORTFOLIO-A | 298.08 | 5.96 | 92.0 | 0.00 | 5.48 | 5.48 |
| 01/12/2018 | #00086986934 | KUNKELGRET | GROWTH AND INCOME PORTFOLIO-A | 62.02 | 1.24 | 92.0 | 0.00 | 1.14 | 1.14 |
| 01/12/2018 | #04000101795 | BEDDINGFIE | INVESTMENT CO AMER CLASS A | 85.97 | 1.72 | 92.0 | 0.00 | 1.58 | 1.58 |
| 01/12/2018 | #04000101795 | BEDDINGFIE | INVESTMENT CO AMER CLASS A | 85.97 | 1.72 | 92.0 | 0.00 | 1.58 | 1.58 |
| 01/12/2018 | #00088576061 | DAKEMICHEL | SMALLCAP WORLD FUND INC CLASS A | 24.97 | 0.50 | 92.0 | 0.00 | 0.46 | 0.46 |
| 01/12/2018 | #00088576061 | DAKEMICHEL | SMALLCAP WORLD FUND INC CLASS A | 39.33 | 0.79 | 92.0 | 0.00 | 0.73 | 0.73 |
| 01/19/2018 | #00088576061 | DAKEMICHEL | 2055 TARGET DATE RETIREMENT FUND | 49.17 | 0.98 | 92.0 | 0.00 | 0.90 | 0.90 |
| 01/19/2018 | #00088576061 | DAKEMICHEL | 2055 TARGET DATE RETIREMENT FUND | 31.21 | 0.62 | 92.0 | 0.00 | 0.57 | 0.57 |
| 01/19/2018 | #00086985099 | LOWNANCYEL | AMERICAN FUNDS 2010 TARGET DATE-A | 388.00 | 7.76 | 92.0 | 0.00 | 7.14 | 7.14 |
| 01/19/2018 | #00086985099 | LOWNANCYEL | AMERICAN FUNDS 2010 TARGET DATE-A | 93.12 | 1.86 | 92.0 | 0.00 | 1.71 | 1.71 |
| 01/19/2018 | #00087552633 | TALBERTLUC | AMERICAN FUNDS 2010 TARGET DATE-A | 86.66 | 1.73 | 92.0 | 0.00 | 1.59 | 1.59 |
| 01/19/2018 | #00087552633 | TALBERTLUC | AMERICAN FUNDS 2010 TARGET DATE-A | 462.21 | 9.24 | 92.0 | 0.00 | 8.50 | 8.50 |
| 01/19/2018 | #00087708562 | JONES-WISN | AMERICAN FUNDS 2015 TARGET DATE-A | 59.42 | 1.19 | 92.0 | 0.00 | 1.09 | 1.09 |
| 01/19/2018 | #00087708562 | JONES-WISN | AMERICAN FUNDS 2015 TARGET DATE-A | 59.42 | 1.19 | 92.0 | 0.00 | 1.09 | 1.09 |
| 01/19/2018 | #04000101422 | MCGINNISMI | AMERICAN FUNDS 2015 TARGET DATE-A | 57.70 | 1.15 | 92.0 | 0.00 | 1.06 | 1.06 |
| 01/19/2018 | #04000101422 | MCGINNISMI | AMERICAN FUNDS 2015 TARGET DATE-A | 57.70 | 1.15 | 92.0 | 0.00 | 1.06 | 1.06 |
| 01/19/2018 | #04000101439 | GIBBONSHEA | AMERICAN FUNDS 2015 TARGET DATE-A | 55.68 | 1.11 | 92.0 | 0.00 | 1.02 | 1.02 |
| 01/19/2018 | #04000101439 | GIBBONSHEA | AMERICAN FUNDS 2015 TARGET DATE-A | 55.68 | 1.11 | 92.0 | 0.00 | 1.02 | 1.02 |
| 01/19/2018 | #00086986934 | KUNKELGRET | AMERICAN FUNDS 2035 TARGET DATE-A | 62.01 | 1.24 | 92.0 | 0.00 | 1.14 | 1.14 |
| 01/19/2018 | #00086986934 | KUNKELGRET | AMERICAN FUNDS 2035 TARGET DATE-A | 298.07 | 5.96 | 92.0 | 0.00 | 5.48 | 5.48 |
| 01/19/2018 | #00088576061 | DAKEMICHEL | BOND FUND OF AMERICA INC CL A | 9.83 | 0.20 | 92.0 | 0.00 | 0.18 | 0.18 |
| 01/19/2018 | #00088576061 | DAKEMICHEL | BOND FUND OF AMERICA INC CL A | 6.24 | 0.12 | 92.0 | 0.00 | 0.11 | 0.11 |
| 01/19/2018 | #00086986934 | KUNKELGRET | GROWTH AND INCOME PORTFOLIO-A | 62.02 | 1.24 | 92.0 | 0.00 | 1.14 | 1.14 |
| 01/19/2018 | #00086986934 | KUNKELGRET | GROWTH AND INCOME PORTFOLIO-A | 298.08 | 5.96 | 92.0 | 0.00 | 5.48 | 5.48 |
| 01/19/2018 | #04000101795 | BEDDINGFIE | INVESTMENT CO AMER CLASS A | 85.97 | 1.72 | 92.0 | 0.00 | 1.58 | 1.58 |
| 01/19/2018 | #04000101795 | BEDDINGFIE | INVESTMENT CO AMER CLASS A | 85.97 | 1.72 | 92.0 | 0.00 | 1.58 | 1.58 |
| 01/19/2018 | #00088576061 | DAKEMICHEL | SMALLCAP WORLD FUND INC CLASS A | 39.33 | 0.79 | 92.0 | 0.00 | 0.73 | 0.73 |
| 01/19/2018 | #00088576061 | DAKEMICHEL | SMALLCAP WORLD FUND INC CLASS A | 24.97 | 0.50 | 92.0 | 0.00 | 0.46 | 0.46 |

COMMISSION STATEMENT for CYNTHIA HERRON

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|---------------------------------------|------------------------------|-------------------------------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | | |
| 01/24/2018 | # BOWEN, CHRISTINA | JANUS INVT FD HENDERSON EURPEAN FCU | 1,000.00 | 0.00 | 92.0 | 0.00 | 0.00 | 20.00 | -20.00 |
| 01/30/2018 | #04000672747 LISHER, GINA | 2055 TARGET DATE RETIREMENT FUND | 9.60 | 0.36 | 92.0 | 0.00 | 0.33 | 0.00 | 0.33 |
| 01/30/2018 | #04000672747 LISHER, GINA | 2055 TARGET DATE RETIREMENT FUND | 22.00 | 0.83 | 92.0 | 0.00 | 0.76 | 0.00 | 0.76 |
| 01/30/2018 | #04000748210 RALEIGH, GRAHAM | 2055 TARGET DATE RETIREMENT FUND | 7.92 | 0.30 | 92.0 | 0.00 | 0.28 | 0.00 | 0.28 |
| 01/30/2018 | #04000748210 RALEIGH, GRAHAM | 2055 TARGET DATE RETIREMENT FUND | 12.00 | 0.45 | 92.0 | 0.00 | 0.41 | 0.00 | 0.41 |
| 01/30/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FDS PORTFOLIO SER GROWTH F | 15.00 | 0.56 | 92.0 | 0.00 | 0.52 | 0.00 | 0.52 |
| 01/30/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FDS PORTFOLIO SER GROWTH F | 30.00 | 1.13 | 92.0 | 0.00 | 1.04 | 0.00 | 1.04 |
| 01/30/2018 | #04000652163 PRICE B J | AMERICAN FDS PORTFOLIO SER GROWTH F | 9.71 | 0.36 | 92.0 | 0.00 | 0.33 | 0.00 | 0.33 |
| 01/30/2018 | #04000652163 PRICE B J | AMERICAN FDS PORTFOLIO SER GROWTH F | 16.18 | 0.61 | 92.0 | 0.00 | 0.56 | 0.00 | 0.56 |
| 01/30/2018 | #04000652169 WATKINS, | AMERICAN FDS PORTFOLIO SER GROWTH F | 15.00 | 0.56 | 92.0 | 0.00 | 0.52 | 0.00 | 0.52 |
| 01/30/2018 | #04000652169 WATKINS, | AMERICAN FDS PORTFOLIO SER GROWTH F | 15.00 | 0.56 | 92.0 | 0.00 | 0.52 | 0.00 | 0.52 |
| 01/30/2018 | #04000672747 LISHER, GINA | AMERICAN FDS PORTFOLIO SER GROWTH F | 14.40 | 0.54 | 92.0 | 0.00 | 0.50 | 0.00 | 0.50 |
| 01/30/2018 | #04000672747 LISHER, GINA | AMERICAN FDS PORTFOLIO SER GROWTH F | 33.00 | 1.24 | 92.0 | 0.00 | 1.14 | 0.00 | 1.14 |
| 01/30/2018 | #04000672757 SHANNON, | AMERICAN FDS PORTFOLIO SER GROWTH F | 9.21 | 0.35 | 92.0 | 0.00 | 0.32 | 0.00 | 0.32 |
| 01/30/2018 | #04000672757 SHANNON, | AMERICAN FDS PORTFOLIO SER GROWTH F | 9.21 | 0.35 | 92.0 | 0.00 | 0.32 | 0.00 | 0.32 |
| 01/30/2018 | #04000748210 RALEIGH, GRAHAM | AMERICAN FDS PORTFOLIO SER GROWTH F | 11.88 | 0.45 | 92.0 | 0.00 | 0.41 | 0.00 | 0.41 |
| 01/30/2018 | #04000748210 RALEIGH, GRAHAM | AMERICAN FDS PORTFOLIO SER GROWTH F | 18.00 | 0.68 | 92.0 | 0.00 | 0.63 | 0.00 | 0.63 |
| 01/30/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FUNDS 2030 TARGET DATE-A | 22.50 | 0.84 | 92.0 | 0.00 | 0.77 | 0.00 | 0.77 |
| 01/30/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FUNDS 2030 TARGET DATE-A | 45.00 | 1.69 | 92.0 | 0.00 | 1.55 | 0.00 | 1.55 |
| 01/30/2018 | #04000652163 PRICE B J | AMERICAN FUNDS 2030 TARGET DATE-A | 14.57 | 0.55 | 92.0 | 0.00 | 0.51 | 0.00 | 0.51 |
| 01/30/2018 | #04000652163 PRICE B J | AMERICAN FUNDS 2030 TARGET DATE-A | 24.28 | 0.91 | 92.0 | 0.00 | 0.84 | 0.00 | 0.84 |
| 01/30/2018 | #04000652169 WATKINS, | AMERICAN FUNDS 2030 TARGET DATE-A | 22.50 | 0.84 | 92.0 | 0.00 | 0.77 | 0.00 | 0.77 |
| 01/30/2018 | #04000652169 WATKINS, | AMERICAN FUNDS 2030 TARGET DATE-A | 22.50 | 0.84 | 92.0 | 0.00 | 0.77 | 0.00 | 0.77 |
| 01/30/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2030 TARGET DATE-A | 13.82 | 0.52 | 92.0 | 0.00 | 0.48 | 0.00 | 0.48 |
| 01/30/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2030 TARGET DATE-A | 13.82 | 0.52 | 92.0 | 0.00 | 0.48 | 0.00 | 0.48 |
| 01/30/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FUNDS 2045 TARGET DATE-A | 11.25 | 0.42 | 92.0 | 0.00 | 0.39 | 0.00 | 0.39 |
| 01/30/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FUNDS 2045 TARGET DATE-A | 22.50 | 0.84 | 92.0 | 0.00 | 0.77 | 0.00 | 0.77 |
| 01/30/2018 | #04000652163 PRICE B J | AMERICAN FUNDS 2045 TARGET DATE-A | 7.28 | 0.27 | 92.0 | 0.00 | 0.25 | 0.00 | 0.25 |
| 01/30/2018 | #04000652163 PRICE B J | AMERICAN FUNDS 2045 TARGET DATE-A | 12.14 | 0.46 | 92.0 | 0.00 | 0.42 | 0.00 | 0.42 |
| 01/30/2018 | #04000652169 WATKINS, | AMERICAN FUNDS 2045 TARGET DATE-A | 11.25 | 0.42 | 92.0 | 0.00 | 0.39 | 0.00 | 0.39 |
| 01/30/2018 | #04000652169 WATKINS, | AMERICAN FUNDS 2045 TARGET DATE-A | 11.25 | 0.42 | 92.0 | 0.00 | 0.39 | 0.00 | 0.39 |
| 01/30/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2045 TARGET DATE-A | 6.91 | 0.26 | 92.0 | 0.00 | 0.24 | 0.00 | 0.24 |
| 01/30/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2045 TARGET DATE-A | 6.91 | 0.26 | 92.0 | 0.00 | 0.24 | 0.00 | 0.24 |
| 01/30/2018 | #04000672747 LISHER, GINA | AMERICAN FUNDS TARGET DATE RETIREME | 9.60 | 0.36 | 92.0 | 0.00 | 0.33 | 0.00 | 0.33 |
| 01/30/2018 | #04000672747 LISHER, GINA | AMERICAN FUNDS TARGET DATE RETIREME | 22.00 | 0.83 | 92.0 | 0.00 | 0.76 | 0.00 | 0.76 |
| 01/30/2018 | #04000748210 RALEIGH, GRAHAM | AMERICAN FUNDS TARGET DATE RETIREME | 7.92 | 0.30 | 92.0 | 0.00 | 0.28 | 0.00 | 0.28 |

COMMISSION STATEMENT for CYNTHIA HERRON

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---------------------------------------|--------------|-----------------|-------------------------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | | |
| 01/30/2018 | #04000748210 | RALEIGH, GRAHAM | AMERICAN FUNDS TARGET DATE RETIREME | 12.00 | 0.45 | 92.0 | 0.00 | 0.41 | 0.41 |
| 01/30/2018 | #04000672747 | LISHER, GINA | GLOBAL GROWTH PORTFOLIO-A | 14.40 | 0.54 | 92.0 | 0.00 | 0.50 | 0.50 |
| 01/30/2018 | #04000672747 | LISHER, GINA | GLOBAL GROWTH PORTFOLIO-A | 33.00 | 1.24 | 92.0 | 0.00 | 1.14 | 1.14 |
| 01/30/2018 | #04000748210 | RALEIGH, GRAHAM | GLOBAL GROWTH PORTFOLIO-A | 11.88 | 0.45 | 92.0 | 0.00 | 0.41 | 0.41 |
| 01/30/2018 | #04000748210 | RALEIGH, GRAHAM | GLOBAL GROWTH PORTFOLIO-A | 18.00 | 0.68 | 92.0 | 0.00 | 0.63 | 0.63 |
| 01/30/2018 | #04000652154 | GRAHAM, TAMMY | GROWTH AND INCOME PORTFOLIO-A | 26.25 | 0.98 | 92.0 | 0.00 | 0.90 | 0.90 |
| 01/30/2018 | #04000652154 | GRAHAM, TAMMY | GROWTH AND INCOME PORTFOLIO-A | 52.50 | 1.97 | 92.0 | 0.00 | 1.81 | 1.81 |
| 01/30/2018 | #04000652163 | PRICE B J | GROWTH AND INCOME PORTFOLIO-A | 16.99 | 0.64 | 92.0 | 0.00 | 0.59 | 0.59 |
| 01/30/2018 | #04000652163 | PRICE B J | GROWTH AND INCOME PORTFOLIO-A | 28.32 | 1.06 | 92.0 | 0.00 | 0.98 | 0.98 |
| 01/30/2018 | #04000652169 | WATKINS, | GROWTH AND INCOME PORTFOLIO-A | 26.25 | 0.98 | 92.0 | 0.00 | 0.90 | 0.90 |
| 01/30/2018 | #04000652169 | WATKINS, | GROWTH AND INCOME PORTFOLIO-A | 26.25 | 0.98 | 92.0 | 0.00 | 0.90 | 0.90 |
| 01/30/2018 | #04000672757 | SHANNON, | GROWTH AND INCOME PORTFOLIO-A | 16.12 | 0.60 | 92.0 | 0.00 | 0.55 | 0.55 |
| 01/30/2018 | #04000672757 | SHANNON, | GROWTH AND INCOME PORTFOLIO-A | 16.12 | 0.60 | 92.0 | 0.00 | 0.55 | 0.55 |
| 01/31/2018 | #04000672747 | LISHER, GINA | 2055 TARGET DATE RETIREMENT FUND | 9.60 | 0.36 | 92.0 | 0.00 | 0.33 | 0.33 |
| 01/31/2018 | #04000672747 | LISHER, GINA | 2055 TARGET DATE RETIREMENT FUND | 22.00 | 0.83 | 92.0 | 0.00 | 0.76 | 0.76 |
| 01/31/2018 | #04000748210 | RALEIGH, GRAHAM | 2055 TARGET DATE RETIREMENT FUND | 7.92 | 0.30 | 92.0 | 0.00 | 0.28 | 0.28 |
| 01/31/2018 | #04000748210 | RALEIGH, GRAHAM | 2055 TARGET DATE RETIREMENT FUND | 12.00 | 0.45 | 92.0 | 0.00 | 0.41 | 0.41 |
| 01/31/2018 | #04000652154 | GRAHAM, TAMMY | AMERICAN FDS PORTFOLIO SER GROWTH F | 15.00 | 0.56 | 92.0 | 0.00 | 0.52 | 0.52 |
| 01/31/2018 | #04000652154 | GRAHAM, TAMMY | AMERICAN FDS PORTFOLIO SER GROWTH F | 30.00 | 1.13 | 92.0 | 0.00 | 1.04 | 1.04 |
| 01/31/2018 | #04000652163 | PRICE B J | AMERICAN FDS PORTFOLIO SER GROWTH F | 9.71 | 0.36 | 92.0 | 0.00 | 0.33 | 0.33 |
| 01/31/2018 | #04000652163 | PRICE B J | AMERICAN FDS PORTFOLIO SER GROWTH F | 16.18 | 0.61 | 92.0 | 0.00 | 0.56 | 0.56 |
| 01/31/2018 | #04000652169 | WATKINS, | AMERICAN FDS PORTFOLIO SER GROWTH F | 15.00 | 0.56 | 92.0 | 0.00 | 0.52 | 0.52 |
| 01/31/2018 | #04000652169 | WATKINS, | AMERICAN FDS PORTFOLIO SER GROWTH F | 15.00 | 0.56 | 92.0 | 0.00 | 0.52 | 0.52 |
| 01/31/2018 | #04000672747 | LISHER, GINA | AMERICAN FDS PORTFOLIO SER GROWTH F | 14.40 | 0.54 | 92.0 | 0.00 | 0.50 | 0.50 |
| 01/31/2018 | #04000672747 | LISHER, GINA | AMERICAN FDS PORTFOLIO SER GROWTH F | 33.00 | 1.24 | 92.0 | 0.00 | 1.14 | 1.14 |
| 01/31/2018 | #04000672757 | SHANNON, | AMERICAN FDS PORTFOLIO SER GROWTH F | 9.55 | 0.36 | 92.0 | 0.00 | 0.33 | 0.33 |
| 01/31/2018 | #04000672757 | SHANNON, | AMERICAN FDS PORTFOLIO SER GROWTH F | 9.55 | 0.36 | 92.0 | 0.00 | 0.33 | 0.33 |
| 01/31/2018 | #04000748210 | RALEIGH, GRAHAM | AMERICAN FDS PORTFOLIO SER GROWTH F | 11.88 | 0.45 | 92.0 | 0.00 | 0.41 | 0.41 |
| 01/31/2018 | #04000748210 | RALEIGH, GRAHAM | AMERICAN FDS PORTFOLIO SER GROWTH F | 18.00 | 0.68 | 92.0 | 0.00 | 0.63 | 0.63 |
| 01/31/2018 | #04000652154 | GRAHAM, TAMMY | AMERICAN FUNDS 2030 TARGET DATE-A | 22.50 | 0.84 | 92.0 | 0.00 | 0.77 | 0.77 |
| 01/31/2018 | #04000652154 | GRAHAM, TAMMY | AMERICAN FUNDS 2030 TARGET DATE-A | 45.00 | 1.69 | 92.0 | 0.00 | 1.55 | 1.55 |
| 01/31/2018 | #04000652163 | PRICE B J | AMERICAN FUNDS 2030 TARGET DATE-A | 14.57 | 0.55 | 92.0 | 0.00 | 0.51 | 0.51 |
| 01/31/2018 | #04000652163 | PRICE B J | AMERICAN FUNDS 2030 TARGET DATE-A | 24.28 | 0.91 | 92.0 | 0.00 | 0.84 | 0.84 |
| 01/31/2018 | #04000652169 | WATKINS, | AMERICAN FUNDS 2030 TARGET DATE-A | 22.50 | 0.84 | 92.0 | 0.00 | 0.77 | 0.77 |
| 01/31/2018 | #04000652169 | WATKINS, | AMERICAN FUNDS 2030 TARGET DATE-A | 22.50 | 0.84 | 92.0 | 0.00 | 0.77 | 0.77 |
| 01/31/2018 | #04000672757 | SHANNON, | AMERICAN FUNDS 2030 TARGET DATE-A | 14.33 | 0.54 | 92.0 | 0.00 | 0.50 | 0.50 |

COMMISSION STATEMENT for CYNTHIA HERRON

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---------------------------------------|------------------------------|-------------------------------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | | |
| 01/31/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2030 TARGET DATE-A | 14.33 | 0.54 | 92.0 | 0.00 | 0.50 | 0.00 | 0.50 |
| 01/31/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FUNDS 2045 TARGET DATE-A | 11.25 | 0.42 | 92.0 | 0.00 | 0.39 | 0.00 | 0.39 |
| 01/31/2018 | #04000652154 GRAHAM, TAMMY | AMERICAN FUNDS 2045 TARGET DATE-A | 22.50 | 0.84 | 92.0 | 0.00 | 0.77 | 0.00 | 0.77 |
| 01/31/2018 | #04000652163 PRICE B J | AMERICAN FUNDS 2045 TARGET DATE-A | 7.28 | 0.27 | 92.0 | 0.00 | 0.25 | 0.00 | 0.25 |
| 01/31/2018 | #04000652163 PRICE B J | AMERICAN FUNDS 2045 TARGET DATE-A | 12.14 | 0.46 | 92.0 | 0.00 | 0.42 | 0.00 | 0.42 |
| 01/31/2018 | #04000652169 WATKINS, | AMERICAN FUNDS 2045 TARGET DATE-A | 11.25 | 0.42 | 92.0 | 0.00 | 0.39 | 0.00 | 0.39 |
| 01/31/2018 | #04000652169 WATKINS, | AMERICAN FUNDS 2045 TARGET DATE-A | 11.25 | 0.42 | 92.0 | 0.00 | 0.39 | 0.00 | 0.39 |
| 01/31/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2045 TARGET DATE-A | 7.17 | 0.27 | 92.0 | 0.00 | 0.25 | 0.00 | 0.25 |
| 01/31/2018 | #04000672757 SHANNON, | AMERICAN FUNDS 2045 TARGET DATE-A | 7.17 | 0.27 | 92.0 | 0.00 | 0.25 | 0.00 | 0.25 |
| 01/31/2018 | #04000672747 LISHER, GINA | AMERICAN FUNDS TARGET DATE RETIREME | 9.60 | 0.36 | 92.0 | 0.00 | 0.33 | 0.00 | 0.33 |
| 01/31/2018 | #04000672747 LISHER, GINA | AMERICAN FUNDS TARGET DATE RETIREME | 22.00 | 0.83 | 92.0 | 0.00 | 0.76 | 0.00 | 0.76 |
| 01/31/2018 | #04000748210 RALEIGH, GRAHAM | AMERICAN FUNDS TARGET DATE RETIREME | 7.92 | 0.30 | 92.0 | 0.00 | 0.28 | 0.00 | 0.28 |
| 01/31/2018 | #04000748210 RALEIGH, GRAHAM | AMERICAN FUNDS TARGET DATE RETIREME | 12.00 | 0.45 | 92.0 | 0.00 | 0.41 | 0.00 | 0.41 |
| 01/31/2018 | #04000672747 LISHER, GINA | GLOBAL GROWTH PORTFOLIO-A | 14.40 | 0.54 | 92.0 | 0.00 | 0.50 | 0.00 | 0.50 |
| 01/31/2018 | #04000672747 LISHER, GINA | GLOBAL GROWTH PORTFOLIO-A | 33.00 | 1.24 | 92.0 | 0.00 | 1.14 | 0.00 | 1.14 |
| 01/31/2018 | #04000748210 RALEIGH, GRAHAM | GLOBAL GROWTH PORTFOLIO-A | 11.88 | 0.45 | 92.0 | 0.00 | 0.41 | 0.00 | 0.41 |
| 01/31/2018 | #04000748210 RALEIGH, GRAHAM | GLOBAL GROWTH PORTFOLIO-A | 18.00 | 0.68 | 92.0 | 0.00 | 0.63 | 0.00 | 0.63 |
| 01/31/2018 | #04000652154 GRAHAM, TAMMY | GROWTH AND INCOME PORTFOLIO-A | 26.25 | 0.98 | 92.0 | 0.00 | 0.90 | 0.00 | 0.90 |
| 01/31/2018 | #04000652154 GRAHAM, TAMMY | GROWTH AND INCOME PORTFOLIO-A | 52.50 | 1.97 | 92.0 | 0.00 | 1.81 | 0.00 | 1.81 |
| 01/31/2018 | #04000652163 PRICE B J | GROWTH AND INCOME PORTFOLIO-A | 16.99 | 0.64 | 92.0 | 0.00 | 0.59 | 0.00 | 0.59 |
| 01/31/2018 | #04000652163 PRICE B J | GROWTH AND INCOME PORTFOLIO-A | 28.32 | 1.06 | 92.0 | 0.00 | 0.98 | 0.00 | 0.98 |
| 01/31/2018 | #04000652169 WATKINS, | GROWTH AND INCOME PORTFOLIO-A | 26.25 | 0.98 | 92.0 | 0.00 | 0.90 | 0.00 | 0.90 |
| 01/31/2018 | #04000652169 WATKINS, | GROWTH AND INCOME PORTFOLIO-A | 26.25 | 0.98 | 92.0 | 0.00 | 0.90 | 0.00 | 0.90 |
| 01/31/2018 | #04000672757 SHANNON, | GROWTH AND INCOME PORTFOLIO-A | 16.72 | 0.63 | 92.0 | 0.00 | 0.58 | 0.00 | 0.58 |
| 01/31/2018 | #04000672757 SHANNON, | GROWTH AND INCOME PORTFOLIO-A | 16.72 | 0.63 | 92.0 | 0.00 | 0.58 | 0.00 | 0.58 |
| 02/01/2018 | #00085613691 LISHER, GINA | AMERICAN BALANCED FUND-529A | 75.00 | 3.75 | 92.0 | 0.00 | 3.45 | 0.00 | 3.45 |
| 02/01/2018 | #00088727323 RUSSELL, JOHN | COLLEGE 2024 FUND 529A | 100.00 | 3.50 | 92.0 | 0.00 | 3.22 | 0.00 | 3.22 |
| 02/02/2018 | #00088046313 BAUCOMKARA | AMCAP FUND INC CLASS A | 46.20 | 1.96 | 92.0 | 0.00 | 1.80 | 0.00 | 1.80 |
| 02/02/2018 | #00088046313 BAUCOMKARA | AMCAP FUND INC CLASS A | 153.80 | 6.54 | 92.0 | 0.00 | 6.02 | 0.00 | 6.02 |
| 02/02/2018 | #00088046313 BAUCOMKARA | AMERICAN FUNDS 2015 TARGET DATE-A | 28.88 | 1.23 | 92.0 | 0.00 | 1.13 | 0.00 | 1.13 |
| 02/02/2018 | #00088046313 BAUCOMKARA | AMERICAN FUNDS 2015 TARGET DATE-A | 96.12 | 4.09 | 92.0 | 0.00 | 3.76 | 0.00 | 3.76 |
| 02/02/2018 | #00088046313 BAUCOMKARA | AMERICAN MUTUAL FUND INC CLASS A | 40.42 | 1.72 | 92.0 | 0.00 | 1.58 | 0.00 | 1.58 |
| 02/02/2018 | #00088046313 BAUCOMKARA | AMERICAN MUTUAL FUND INC CLASS A | 134.58 | 5.72 | 92.0 | 0.00 | 5.26 | 0.00 | 5.26 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$24,976.40 | \$877.92 | | \$0.00 | \$807.63 | \$60.00 | \$747.63 |

COMMISSION STATEMENT for CYNTHIA HERRON

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---|---------|------------------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | | |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.17 | 92.0 | 0.00 | 0.16 | 0.00 | 0.16 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.46 | 92.0 | 0.00 | 0.42 | 0.00 | 0.42 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.06 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.37 | 92.0 | 0.00 | 0.34 | 0.00 | 0.34 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 1.17 | 92.0 | 0.00 | 1.08 | 0.00 | 1.08 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.06 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.34 | 92.0 | 0.00 | 0.31 | 0.00 | 0.31 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 1.99 | 92.0 | 0.00 | 1.83 | 0.00 | 1.83 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 1.78 | 92.0 | 0.00 | 1.64 | 0.00 | 1.64 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.10 | 92.0 | 0.00 | 0.09 | 0.00 | 0.09 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.47 | 92.0 | 0.00 | 0.43 | 0.00 | 0.43 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 18.97 | 92.0 | 0.00 | 17.45 | 0.00 | 17.45 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 8.26 | 92.0 | 0.00 | 7.60 | 0.00 | 7.60 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 1.27 | 92.0 | 0.00 | 1.17 | 0.00 | 1.17 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 5.80 | 92.0 | 0.00 | 5.34 | 0.00 | 5.34 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.17 | 92.0 | 0.00 | 0.16 | 0.00 | 0.16 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 3.27 | 92.0 | 0.00 | 3.01 | 0.00 | 3.01 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 1.65 | 92.0 | 0.00 | 1.52 | 0.00 | 1.52 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.19 | 92.0 | 0.00 | 0.17 | 0.00 | 0.17 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.51 | 92.0 | 0.00 | 0.47 | 0.00 | 0.47 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.07 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.45 | 92.0 | 0.00 | 0.41 | 0.00 | 0.41 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 1.20 | 92.0 | 0.00 | 1.10 | 0.00 | 1.10 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.07 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.37 | 92.0 | 0.00 | 0.34 | 0.00 | 0.34 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 1.95 | 92.0 | 0.00 | 1.79 | 0.00 | 1.79 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 1.76 | 92.0 | 0.00 | 1.62 | 0.00 | 1.62 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.12 | 92.0 | 0.00 | 0.11 | 0.00 | 0.11 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.54 | 92.0 | 0.00 | 0.50 | 0.00 | 0.50 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 18.94 | 92.0 | 0.00 | 17.42 | 0.00 | 17.42 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 8.22 | 92.0 | 0.00 | 7.56 | 0.00 | 7.56 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 1.32 | 92.0 | 0.00 | 1.21 | 0.00 | 1.21 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 5.86 | 92.0 | 0.00 | 5.39 | 0.00 | 5.39 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 0.18 | 92.0 | 0.00 | 0.17 | 0.00 | 0.17 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 3.19 | 92.0 | 0.00 | 2.93 | 0.00 | 2.93 |
| / / | #685765 | ANTELLA CONSULTING ADP | 0.00 | 1.62 | 92.0 | 0.00 | 1.49 | 0.00 | 1.49 |

COMMISSION STATEMENT for CYNTHIA HERRON

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---|------------------------------|--------------------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | | |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 0.22 | 92.0 | 0.00 | 0.20 | 0.00 | 0.20 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 0.60 | 92.0 | 0.00 | 0.55 | 0.00 | 0.55 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 0.09 | 92.0 | 0.00 | 0.08 | 0.00 | 0.08 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 0.56 | 92.0 | 0.00 | 0.52 | 0.00 | 0.52 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 1.35 | 92.0 | 0.00 | 1.24 | 0.00 | 1.24 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 0.09 | 92.0 | 0.00 | 0.08 | 0.00 | 0.08 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 0.42 | 92.0 | 0.00 | 0.39 | 0.00 | 0.39 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 2.04 | 92.0 | 0.00 | 1.88 | 0.00 | 1.88 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 1.87 | 92.0 | 0.00 | 1.72 | 0.00 | 1.72 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 0.14 | 92.0 | 0.00 | 0.13 | 0.00 | 0.13 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 0.64 | 92.0 | 0.00 | 0.59 | 0.00 | 0.59 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 21.06 | 92.0 | 0.00 | 19.38 | 0.00 | 19.38 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 9.17 | 92.0 | 0.00 | 8.44 | 0.00 | 8.44 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 1.44 | 92.0 | 0.00 | 1.32 | 0.00 | 1.32 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 6.57 | 92.0 | 0.00 | 6.04 | 0.00 | 6.04 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 0.21 | 92.0 | 0.00 | 0.19 | 0.00 | 0.19 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 3.55 | 92.0 | 0.00 | 3.27 | 0.00 | 3.27 |
| / / | #685765 ANTELLA CONSULTING | ADP | 0.00 | 1.85 | 92.0 | 0.00 | 1.70 | 0.00 | 1.70 |
| 01/03/0018 | #11855750X HONDERICK, EDWINA | VOYA FINANCIAL | 0.00 | 4.86 | 92.0 | 0.00 | 4.47 | 0.00 | 4.47 |
| 01/04/0018 | #E1849324 GUY, STANLEY | OHIO NATIONAL | 0.00 | 29.65 | 92.0 | 0.00 | 27.28 | 0.00 | 27.28 |
| 01/04/0018 | #E1849424 DRAKE, SARA | OHIO NATIONAL | 0.00 | 85.22 | 92.0 | 0.00 | 78.40 | 0.00 | 78.40 |
| 01/07/0018 | #E1849229 WARD-MARCUM, | OHIO NATIONAL | 0.00 | 99.55 | 92.0 | 0.00 | 91.59 | 0.00 | 91.59 |
| 01/07/0018 | #E1849309 GUY, CHERYL | OHIO NATIONAL | 0.00 | 38.36 | 92.0 | 0.00 | 35.29 | 0.00 | 35.29 |
| 01/07/0018 | #E1871314 WARD-MARCUM, | OHIO NATIONAL | 0.00 | 98.74 | 92.0 | 0.00 | 90.84 | 0.00 | 90.84 |
| 01/07/0018 | #E1888475 WALKER, MARY BETH | OHIO NATIONAL | 0.00 | 16.41 | 92.0 | 0.00 | 15.10 | 0.00 | 15.10 |
| 01/10/0201 | #E1848897 GARRISON | OHIO | 0.00 | 99.29 | 92.0 | 0.00 | 91.35 | 0.00 | 91.35 |
| 01/10/0201 | #E1848897 GARRISON | OHIO | 0.00 | 64.77 | 92.0 | 0.00 | 59.59 | 0.00 | 59.59 |
| 01/10/0201 | #E1849011 MCCURRY, DONNA | OHIO NATIONAL | 0.00 | 70.21 | 92.0 | 0.00 | 64.59 | 0.00 | 64.59 |
| 01/10/0201 | #E1851750 RARDIN, JOHN | OHIO NATIONAL | 0.00 | 24.79 | 92.0 | 0.00 | 22.81 | 0.00 | 22.81 |
| 01/10/0201 | #E1866843 HANKINS, DEBRA | OHIO NATIONAL | 0.00 | 23.65 | 92.0 | 0.00 | 21.76 | 0.00 | 21.76 |
| 12/31/2017 | #575320000 LANE HEALTH, | JOHN HANCOCK LIFE TRAILS | 0.00 | 96.16 | 92.0 | 0.00 | 88.47 | 0.00 | 88.47 |
| 12/31/2017 | #1315500000 SOLUTIONS, | JOHN HANCOCK LIFE TRAILS | 0.00 | 32.52 | 92.0 | 0.00 | 29.92 | 0.00 | 29.92 |
| 12/31/2017 | #1226040000 PRESTRESSED | JOHN HANCOCK LIFE TRAILS | 0.00 | 117.87 | 92.0 | 0.00 | 108.44 | 0.00 | 108.44 |
| 12/31/2017 | #1018781901 COLFER, THOMAS | PERSP II 04/14 | 33,993.16 | 14.16 | 92.0 | 0.00 | 13.03 | 0.00 | 13.03 |
| 12/31/2017 | #1016423285 DUDLEY, PAMELA | PERSP II 04/14 | 299,905.09 | 124.96 | 92.0 | 0.00 | 114.96 | 0.00 | 114.96 |
| 12/31/2017 | #1018282220 GALVAS, MARIE | PERSP II 04/14 | 102,640.49 | 42.77 | 92.0 | 0.00 | 39.35 | 0.00 | 39.35 |

COMMISSION STATEMENT for CYNTHIA HERRON

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---|-------------|------------------|----------------------|---------------------|--------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | | |
| 12/31/2017 | #1018331701 | STRACHAN, GRACE | PERSP II 04/14 | 33,300.45 | 13.88 | 92.0 | 0.00 | 12.77 | 12.77 |
| 12/31/2017 | #1017097110 | MAHER, WILLIAM | PERSP II 04/14 | 31,460.26 | 13.11 | 92.0 | 0.00 | 12.06 | 12.06 |
| 12/31/2017 | #1016423315 | MOOT, PEGGY | PERSP II 04/14 | 82,158.15 | 34.23 | 92.0 | 0.00 | 31.49 | 31.49 |
| 12/31/2017 | #1017975869 | RARDIN, JOHN | PERSP II 04/14 | 54,905.15 | 22.88 | 92.0 | 0.00 | 21.05 | 21.05 |
| 12/31/2017 | #1017913227 | STRACHAN, GRACE | PERSP II 04/14 | 134,241.69 | 55.93 | 92.0 | 0.00 | 51.46 | 51.46 |
| 12/31/2017 | #1016035579 | TAYLOR, R | PERSP II 04/14 | 47,323.71 | 19.72 | 92.0 | 0.00 | 18.14 | 18.14 |
| 12/31/2017 | #1015862358 | WHEATON, RICK | PERSP II 04/14 | 95,856.56 | 39.94 | 92.0 | 0.00 | 36.74 | 36.74 |
| 12/31/2017 | #1018781774 | WILKERSON, TERRY | PERSP II 04/14 | 40,949.50 | 17.06 | 92.0 | 0.00 | 15.70 | 15.70 |
| 12/31/2017 | #1018743570 | WILLIAMS, | PERSP II 04/14 | 6,992.14 | 2.91 | 92.0 | 0.00 | 2.68 | 2.68 |
| 12/31/2017 | #1018865714 | MOON, MELISSA | PERSP II 04/14 | 69,310.41 | 28.88 | 92.0 | 0.00 | 26.57 | 26.57 |
| 12/31/2017 | #1015043497 | ALBIN, CHARLES | PERSP II 09/12 | 17,009.52 | 7.09 | 92.0 | 0.00 | 6.52 | 6.52 |
| 12/31/2017 | #1014026084 | KELLY, MARY | PERSP II 09/12 | 23,775.22 | 9.91 | 92.0 | 0.00 | 9.12 | 9.12 |
| 12/31/2017 | #1014027650 | KELLY, STEVEN | PERSP II 09/12 | 70,648.86 | 29.44 | 92.0 | 0.00 | 27.08 | 27.08 |
| 12/31/2017 | #1013061951 | WATSON, ROSEZENA | PERSP II 09/12 | 9,266.70 | 3.86 | 92.0 | 0.00 | 3.55 | 3.55 |
| 12/31/2017 | #1014134537 | WITHEROW, | PERSP II 09/12 | 39,516.97 | 16.47 | 92.0 | 0.00 | 15.15 | 15.15 |
| 12/31/2017 | #1013027893 | LEWANDOWSKI, KIM | PERSP L 08/11 | 59,442.79 | 49.54 | 92.0 | 0.00 | 45.58 | 45.58 |
| 12/31/2017 | #1014025991 | STOUT, KYLE | PERSP L 08/11 | 67,975.82 | 56.65 | 92.0 | 0.00 | 52.12 | 52.12 |
| 01/03/2018 | #E1849229 | WARD-MARCUM, | OHIO NATIONAL | 0.00 | 365.48 | 92.0 | 0.00 | 336.24 | 336.24 |
| 01/03/2018 | #E1856568 | LEWANDOWSKI, KIM | OHIO NATIONAL | 0.00 | 162.94 | 92.0 | 0.00 | 149.90 | 149.90 |
| 01/03/2018 | #E1860662 | MYERS, DAVE | OHIO NATIONAL | 0.00 | 34.19 | 92.0 | 0.00 | 31.45 | 31.45 |
| 01/03/2018 | #E1870875 | SANTOS, MONICA | OHIO NATIONAL | 0.00 | 47.33 | 92.0 | 0.00 | 43.54 | 43.54 |
| 01/22/2018 | #1013722249 | OLIVER, HAROLD | PERSP II 09/12 | 150.00 | 11.25 | 92.0 | 0.00 | 10.35 | 10.35 |
| 01/31/2018 | #1018781901 | COLFER, THOMAS | PERSP II 04/14 | 35,073.20 | 14.61 | 92.0 | 0.00 | 13.44 | 13.44 |
| 01/31/2018 | #1016423285 | DUDLEY, PAMELA | PERSP II 04/14 | 311,609.33 | 129.84 | 92.0 | 0.00 | 119.45 | 119.45 |
| 01/31/2018 | #1018282220 | GALVAS, MARIE | PERSP II 04/14 | 109,117.47 | 45.47 | 92.0 | 0.00 | 41.83 | 41.83 |
| 01/31/2018 | #1018331701 | STRACHAN, GRACE | PERSP II 04/14 | 34,271.37 | 14.28 | 92.0 | 0.00 | 13.14 | 13.14 |
| 01/31/2018 | #1017097110 | MAHER, WILLIAM | PERSP II 04/14 | 32,543.21 | 13.56 | 92.0 | 0.00 | 12.48 | 12.48 |
| 01/31/2018 | #1018865714 | MOON, MELISSA | PERSP II 04/14 | 71,853.49 | 29.94 | 92.0 | 0.00 | 27.54 | 27.54 |
| 01/31/2018 | #1016423315 | MOOT, PEGGY | PERSP II 04/14 | 85,343.27 | 35.56 | 92.0 | 0.00 | 32.72 | 32.72 |
| 01/31/2018 | #1017975869 | RARDIN, JOHN | PERSP II 04/14 | 56,597.54 | 23.58 | 92.0 | 0.00 | 21.69 | 21.69 |
| 01/31/2018 | #1017913227 | STRACHAN, GRACE | PERSP II 04/14 | 139,155.82 | 57.98 | 92.0 | 0.00 | 53.34 | 53.34 |
| 01/31/2018 | #1016035579 | TAYLOR, R | PERSP II 04/14 | 49,085.81 | 20.45 | 92.0 | 0.00 | 18.81 | 18.81 |
| 01/31/2018 | #1015862358 | WHEATON, RICK | PERSP II 04/14 | 99,410.98 | 41.42 | 92.0 | 0.00 | 38.11 | 38.11 |
| 01/31/2018 | #1018781774 | WILKERSON, TERRY | PERSP II 04/14 | 42,339.33 | 17.64 | 92.0 | 0.00 | 16.23 | 16.23 |
| 01/31/2018 | #1018743570 | WILLIAMS, | PERSP II 04/14 | 7,245.77 | 3.02 | 92.0 | 0.00 | 2.78 | 2.78 |
| 01/31/2018 | #1015043497 | ALBIN, CHARLES | PERSP II 09/12 | 17,633.22 | 7.35 | 92.0 | 0.00 | 6.76 | 6.76 |

COMMISSION STATEMENT for CYNTHIA HERRON

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---|------------------------------|----------------|-----------------------|---------------------|------|---------------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | | |
| 01/31/2018 | #1014026084 KELLY, MARY | PERSP II 09/12 | 24,685.96 | 10.29 | 92.0 | 0.00 | 9.47 | 0.00 | 9.47 |
| 01/31/2018 | #1014027650 KELLY, STEVEN | PERSP II 09/12 | 73,354.98 | 30.56 | 92.0 | 0.00 | 28.12 | 0.00 | 28.12 |
| 01/31/2018 | #1013061951 WATSON, ROSEZENA | PERSP II 09/12 | 9,712.54 | 4.05 | 92.0 | 0.00 | 3.73 | 0.00 | 3.73 |
| 01/31/2018 | #1014134537 WITHEROW, | PERSP II 09/12 | 41,030.36 | 17.10 | 92.0 | 0.00 | 15.73 | 0.00 | 15.73 |
| 01/31/2018 | #1013027893 LEWANDOWSKI, KIM | PERSP L 08/11 | 61,752.85 | 51.46 | 92.0 | 0.00 | 47.34 | 0.00 | 47.34 |
| 01/31/2018 | #1014025991 STOUT, KYLE | PERSP L 08/11 | 70,562.23 | 58.80 | 92.0 | 0.00 | 54.10 | 0.00 | 54.10 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$2,693,201.37 | \$2,898.38 | | \$0.00 | \$2,666.50 | \$0.00 | \$2,666.50 |
| <u>PRODUCT CATEGORY: RIA</u> | | | | | | | | | |
| 01/09/2018 | #452034 JONES, ERIC | HORIZON | 0.00 | 0.92 | 92.0 | 0.00 | 0.85 | 0.00 | 0.85 |
| 01/09/2018 | #467653 KIRSE, JOHN & | HORIZON | 0.00 | 67.95 | 92.0 | 0.00 | 62.51 | 0.00 | 62.51 |
| * RIA SUBTOTAL * | | | \$0.00 | \$68.87 | | \$0.00 | \$63.36 | \$0.00 | \$63.36 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 01/03/2018 | # ARVIN, PEGGY | DAIN TRAILER | 5,000.00 | 237.50 | 92.0 | 0.00 | 218.50 | 0.00 | 218.50 |
| 01/03/2018 | # ARVIN, PEGGY | DAIN TRAILER | 5,300.00 | 0.00 | 92.0 | 0.00 | 0.00 | 0.00 | 0.00 |
| 01/03/2018 | # RUSSELL, MEREDITH | DAIN TRAILER | 135.00 | 6.75 | 92.0 | 0.00 | 6.21 | 0.00 | 6.21 |
| 01/03/2018 | # RUSSELL, MEREDITH | DAIN TRAILER | 145.00 | 5.80 | 92.0 | 0.00 | 5.34 | 0.00 | 5.34 |
| 01/05/2018 | # HALL, ERIN | DAIN TRAILER | 65.00 | 3.25 | 92.0 | 0.00 | 2.99 | 0.00 | 2.99 |
| 01/05/2018 | # HALL, ERIN | DAIN TRAILER | 65.00 | 2.60 | 92.0 | 0.00 | 2.39 | 0.00 | 2.39 |
| 01/08/2018 | # MOON, MELISSA | DAIN TRAILER | 11,300.00 | 536.75 | 92.0 | 0.00 | 493.81 | 0.00 | 493.81 |
| 01/08/2018 | # MOON, MELISSA | DAIN TRAILER | 7,400.00 | 370.00 | 92.0 | 0.00 | 340.40 | 0.00 | 340.40 |
| 01/10/2018 | # WARD-MARCUM, KATHLEEN | DAIN TRAILER | 0.00 | 6.78 | 92.0 | 0.00 | 6.24 | 0.00 | 6.24 |
| 01/10/2018 | # WARD-MARCUM, KATHLEEN | DAIN TRAILER | 0.00 | 6.59 | 92.0 | 0.00 | 6.06 | 0.00 | 6.06 |
| 01/10/2018 | # WARD-MARCUM, KATHLEEN | DAIN TRAILER | 0.00 | 0.22 | 92.0 | 0.00 | 0.20 | 0.00 | 0.20 |
| 01/10/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 0.02 | 92.0 | 0.00 | 0.02 | 0.00 | 0.02 |
| 01/10/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 0.57 | 92.0 | 0.00 | 0.52 | 0.00 | 0.52 |
| 01/10/2018 | # GALVAN, DAMIAN | DAIN TRAILER | 0.00 | 0.94 | 92.0 | 0.00 | 0.86 | 0.00 | 0.86 |
| 01/10/2018 | # GALVAN, DAMIAN | DAIN TRAILER | 0.00 | 0.89 | 92.0 | 0.00 | 0.82 | 0.00 | 0.82 |
| 01/10/2018 | # BAUM, HARRY | DAIN TRAILER | 0.00 | 4.51 | 92.0 | 0.00 | 4.15 | 0.00 | 4.15 |
| 01/10/2018 | # BAUM, HARRY | DAIN TRAILER | 0.00 | 1.28 | 92.0 | 0.00 | 1.18 | 0.00 | 1.18 |
| 01/10/2018 | # BAUM, HARRY | DAIN TRAILER | 0.00 | 7.82 | 92.0 | 0.00 | 7.19 | 0.00 | 7.19 |
| 01/10/2018 | # BAUM, HARRY | DAIN TRAILER | 0.00 | 6.66 | 92.0 | 0.00 | 6.13 | 0.00 | 6.13 |
| 01/10/2018 | # DAVIDSON, JANEL | DAIN TRAILER | 0.00 | 0.51 | 92.0 | 0.00 | 0.47 | 0.00 | 0.47 |
| 01/10/2018 | # DAVIDSON, JANEL | DAIN TRAILER | 0.00 | 0.37 | 92.0 | 0.00 | 0.34 | 0.00 | 0.34 |
| 01/10/2018 | # DAVIDSON, JANEL | DAIN TRAILER | 0.00 | 0.84 | 92.0 | 0.00 | 0.77 | 0.00 | 0.77 |

COMMISSION STATEMENT for CYNTHIA HERRON

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|------------------|--------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 01/10/2018 # | KIRSE, JOHN | DAIN TRAILER | 0.00 | 6.50 | 92.0 | 0.00 | 5.98 | 0.00 | 5.98 |
| 01/10/2018 # | KIRSE, JOHN | DAIN TRAILER | 0.00 | 3.93 | 92.0 | 0.00 | 3.62 | 0.00 | 3.62 |
| 01/10/2018 # | KIRSE, JENNIFER | DAIN TRAILER | 0.00 | 1.72 | 92.0 | 0.00 | 1.58 | 0.00 | 1.58 |
| 01/10/2018 # | KIRSE, JENNIFER | DAIN TRAILER | 0.00 | 2.91 | 92.0 | 0.00 | 2.68 | 0.00 | 2.68 |
| 01/10/2018 # | KIRSE, JENNIFER | DAIN TRAILER | 0.00 | 4.87 | 92.0 | 0.00 | 4.48 | 0.00 | 4.48 |
| 01/10/2018 # | KIRSE, JENNIFER | DAIN TRAILER | 0.00 | 0.87 | 92.0 | 0.00 | 0.80 | 0.00 | 0.80 |
| 01/10/2018 # | KIRSE, JENNIFER | DAIN TRAILER | 0.00 | 4.59 | 92.0 | 0.00 | 4.22 | 0.00 | 4.22 |
| 01/10/2018 # | MAGARGEE, RAY | DAIN TRAILER | 0.00 | 0.15 | 92.0 | 0.00 | 0.14 | 0.00 | 0.14 |
| 01/10/2018 # | MAGARGEE, RAY | DAIN TRAILER | 0.00 | 2.71 | 92.0 | 0.00 | 2.49 | 0.00 | 2.49 |
| 01/10/2018 # | MAGARGEE, RAY | DAIN TRAILER | 0.00 | 0.10 | 92.0 | 0.00 | 0.09 | 0.00 | 0.09 |
| 01/10/2018 # | MAGARGEE, RAY | DAIN TRAILER | 0.00 | 2.91 | 92.0 | 0.00 | 2.68 | 0.00 | 2.68 |
| 01/10/2018 # | MAGARGEE, RAY | DAIN TRAILER | 0.00 | 1.22 | 92.0 | 0.00 | 1.12 | 0.00 | 1.12 |
| 01/10/2018 # | MAGARGEE, RAY | DAIN TRAILER | 0.00 | 0.26 | 92.0 | 0.00 | 0.24 | 0.00 | 0.24 |
| 01/10/2018 # | AREY, GARRISON | DAIN TRAILER | 0.00 | 0.21 | 92.0 | 0.00 | 0.19 | 0.00 | 0.19 |
| 01/10/2018 # | AREY, GARRISON | DAIN TRAILER | 0.00 | 0.27 | 92.0 | 0.00 | 0.25 | 0.00 | 0.25 |
| 01/10/2018 # | AREY, GARRISON | DAIN TRAILER | 0.00 | 0.44 | 92.0 | 0.00 | 0.40 | 0.00 | 0.40 |
| 01/10/2018 # | AREY, GARRISON | DAIN TRAILER | 0.00 | 0.04 | 92.0 | 0.00 | 0.04 | 0.00 | 0.04 |
| 01/10/2018 # | AREY, GARRISON | DAIN TRAILER | 0.00 | 0.07 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 01/10/2018 # | AREY, GARRISON | DAIN TRAILER | 0.00 | 0.07 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 01/10/2018 # | LANE, JAMES | DAIN TRAILER | 0.00 | 1.78 | 92.0 | 0.00 | 1.64 | 0.00 | 1.64 |
| 01/10/2018 # | LANE, JAMES | DAIN TRAILER | 0.00 | 0.67 | 92.0 | 0.00 | 0.62 | 0.00 | 0.62 |
| 01/10/2018 # | LANE, JAMES | DAIN TRAILER | 0.00 | 2.88 | 92.0 | 0.00 | 2.65 | 0.00 | 2.65 |
| 01/10/2018 # | LANE, JAMES | DAIN TRAILER | 0.00 | 1.70 | 92.0 | 0.00 | 1.56 | 0.00 | 1.56 |
| 01/10/2018 # | LANE, JAMES | DAIN TRAILER | 0.00 | 0.24 | 92.0 | 0.00 | 0.22 | 0.00 | 0.22 |
| 01/10/2018 # | LANE, JAMES | DAIN TRAILER | 0.00 | 1.34 | 92.0 | 0.00 | 1.23 | 0.00 | 1.23 |
| 01/10/2018 # | LANE, JAMES | DAIN TRAILER | 0.00 | 0.25 | 92.0 | 0.00 | 0.23 | 0.00 | 0.23 |
| 01/10/2018 # | LANE, JAMES | DAIN TRAILER | 0.00 | 3.69 | 92.0 | 0.00 | 3.39 | 0.00 | 3.39 |
| 01/10/2018 # | RANSOM, REBA | DAIN TRAILER | 0.00 | 0.35 | 92.0 | 0.00 | 0.32 | 0.00 | 0.32 |
| 01/10/2018 # | RANSOM, REBA | DAIN TRAILER | 0.00 | 0.75 | 92.0 | 0.00 | 0.69 | 0.00 | 0.69 |
| 01/10/2018 # | RANSOM, HERMAN | DAIN TRAILER | 0.00 | 0.12 | 92.0 | 0.00 | 0.11 | 0.00 | 0.11 |
| 01/10/2018 # | RANSOM, HERMAN | DAIN TRAILER | 0.00 | 0.07 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 01/10/2018 # | RANSOM, HERMAN | DAIN TRAILER | 0.00 | 0.10 | 92.0 | 0.00 | 0.09 | 0.00 | 0.09 |
| 01/10/2018 # | RANSOM, HERMAN | DAIN TRAILER | 0.00 | 0.18 | 92.0 | 0.00 | 0.17 | 0.00 | 0.17 |
| 01/10/2018 # | HARRIMAN, DARELL | DAIN TRAILER | 0.00 | 0.23 | 92.0 | 0.00 | 0.21 | 0.00 | 0.21 |
| 01/10/2018 # | HARRIMAN, DARELL | DAIN TRAILER | 0.00 | 2.54 | 92.0 | 0.00 | 2.34 | 0.00 | 2.34 |
| 01/10/2018 # | MARCUM, MICHAEL | DAIN TRAILER | 0.00 | 6.88 | 92.0 | 0.00 | 6.33 | 0.00 | 6.33 |

COMMISSION STATEMENT for CYNTHIA HERRON

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|-------------------------|--------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 01/10/2018 | # MARCUM, MICHAEL | DAIN TRAILER | 0.00 | 1.59 | 92.0 | 0.00 | 1.46 | 0.00 | 1.46 |
| 01/10/2018 | # WEEKS, RICHARD LOREN | DAIN TRAILER | 0.00 | 1.69 | 92.0 | 0.00 | 1.55 | 0.00 | 1.55 |
| 01/10/2018 | # WEEKS, RICHARD LOREN | DAIN TRAILER | 0.00 | 0.72 | 92.0 | 0.00 | 0.66 | 0.00 | 0.66 |
| 01/10/2018 | # WEEKS, RICHARD LOREN | DAIN TRAILER | 0.00 | 1.39 | 92.0 | 0.00 | 1.28 | 0.00 | 1.28 |
| 01/10/2018 | # WEEKS, RICHARD LOREN | DAIN TRAILER | 0.00 | 0.65 | 92.0 | 0.00 | 0.60 | 0.00 | 0.60 |
| 01/10/2018 | # WEEKS, RICHARD LOREN | DAIN TRAILER | 0.00 | 4.95 | 92.0 | 0.00 | 4.55 | 0.00 | 4.55 |
| 01/10/2018 | # WEEKS, RICHARD LOREN | DAIN TRAILER | 0.00 | 1.45 | 92.0 | 0.00 | 1.33 | 0.00 | 1.33 |
| 01/10/2018 | # WATSON, ROSEZENA | DAIN TRAILER | 0.00 | 0.05 | 92.0 | 0.00 | 0.05 | 0.00 | 0.05 |
| 01/10/2018 | # WATSON, ROSEZENA | DAIN TRAILER | 0.00 | 0.03 | 92.0 | 0.00 | 0.03 | 0.00 | 0.03 |
| 01/10/2018 | # WATSON, ROSEZENA | DAIN TRAILER | 0.00 | 0.02 | 92.0 | 0.00 | 0.02 | 0.00 | 0.02 |
| 01/10/2018 | # WATSON, ROSEZENA | DAIN TRAILER | 0.00 | 0.26 | 92.0 | 0.00 | 0.24 | 0.00 | 0.24 |
| 01/10/2018 | # RUSSELL, JOHN | DAIN TRAILER | 0.00 | 2.69 | 92.0 | 0.00 | 2.47 | 0.00 | 2.47 |
| 01/10/2018 | # RUSSELL, JOHN | DAIN TRAILER | 0.00 | 3.15 | 92.0 | 0.00 | 2.90 | 0.00 | 2.90 |
| 01/10/2018 | # RUSSELL, JOHN | DAIN TRAILER | 0.00 | 1.41 | 92.0 | 0.00 | 1.30 | 0.00 | 1.30 |
| 01/10/2018 | # RUSSELL, JOHN | DAIN TRAILER | 0.00 | 4.13 | 92.0 | 0.00 | 3.80 | 0.00 | 3.80 |
| 01/10/2018 | # HARDY, JAMES WILLIAM | DAIN TRAILER | 0.00 | 2.49 | 92.0 | 0.00 | 2.29 | 0.00 | 2.29 |
| 01/10/2018 | # KELLY, STEVEN | DAIN TRAILER | 0.00 | 3.51 | 92.0 | 0.00 | 3.23 | 0.00 | 3.23 |
| 01/10/2018 | # KELLY, STEVEN | DAIN TRAILER | 0.00 | 1.04 | 92.0 | 0.00 | 0.96 | 0.00 | 0.96 |
| 01/10/2018 | # KELLY, STEVEN | DAIN TRAILER | 0.00 | 1.71 | 92.0 | 0.00 | 1.57 | 0.00 | 1.57 |
| 01/10/2018 | # HALL, ERIN | DAIN TRAILER | 0.00 | 0.65 | 92.0 | 0.00 | 0.60 | 0.00 | 0.60 |
| 01/10/2018 | # HALL, ERIN | DAIN TRAILER | 0.00 | 0.68 | 92.0 | 0.00 | 0.63 | 0.00 | 0.63 |
| 01/10/2018 | # HALL, ERIN | DAIN TRAILER | 0.00 | 0.62 | 92.0 | 0.00 | 0.57 | 0.00 | 0.57 |
| 01/10/2018 | # EUBANKS, WILLONE | DAIN TRAILER | 0.00 | 0.51 | 92.0 | 0.00 | 0.47 | 0.00 | 0.47 |
| 01/10/2018 | # EUBANKS, WILLONE | DAIN TRAILER | 0.00 | 0.24 | 92.0 | 0.00 | 0.22 | 0.00 | 0.22 |
| 01/10/2018 | # EUBANKS, WILLONE | DAIN TRAILER | 0.00 | 0.24 | 92.0 | 0.00 | 0.22 | 0.00 | 0.22 |
| 01/10/2018 | # LISHER, GINA | DAIN TRAILER | 0.00 | 0.33 | 92.0 | 0.00 | 0.30 | 0.00 | 0.30 |
| 01/10/2018 | # LISHER, GINA | DAIN TRAILER | 0.00 | 1.42 | 92.0 | 0.00 | 1.31 | 0.00 | 1.31 |
| 01/10/2018 | # LISHER, GINA | DAIN TRAILER | 0.00 | 1.30 | 92.0 | 0.00 | 1.20 | 0.00 | 1.20 |
| 01/10/2018 | # LISHER, GINA | DAIN TRAILER | 0.00 | 1.24 | 92.0 | 0.00 | 1.14 | 0.00 | 1.14 |
| 01/10/2018 | # WARD-MARCUM, KATHLEEN | DAIN TRAILER | 0.00 | 2.26 | 92.0 | 0.00 | 2.08 | 0.00 | 2.08 |
| 01/10/2018 | # WARD-MARCUM, KATHLEEN | DAIN TRAILER | 0.00 | 6.18 | 92.0 | 0.00 | 5.69 | 0.00 | 5.69 |
| 01/10/2018 | # WARD-MARCUM, KATHLEEN | DAIN TRAILER | 0.00 | 6.88 | 92.0 | 0.00 | 6.33 | 0.00 | 6.33 |
| 01/10/2018 | # NELSON, MIKE | DAIN TRAILER | 0.00 | 0.44 | 92.0 | 0.00 | 0.40 | 0.00 | 0.40 |
| 01/10/2018 | # NELSON, MIKE | DAIN TRAILER | 0.00 | 0.53 | 92.0 | 0.00 | 0.49 | 0.00 | 0.49 |
| 01/10/2018 | # NELSON, MIKE | DAIN TRAILER | 0.00 | 0.69 | 92.0 | 0.00 | 0.63 | 0.00 | 0.63 |
| 01/10/2018 | # NELSON, MIKE | DAIN TRAILER | 0.00 | 2.73 | 92.0 | 0.00 | 2.51 | 0.00 | 2.51 |

COMMISSION STATEMENT for CYNTHIA HERRON

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|------------------------|--------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 01/10/2018 | # NELSON, MIKE | DAIN TRAILER | 0.00 | 0.26 | 92.0 | 0.00 | 0.24 | 0.00 | 0.24 |
| 01/10/2018 | # HILTE, MONTY | DAIN TRAILER | 0.00 | 0.06 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 01/10/2018 | # HILTE, MONTY | DAIN TRAILER | 0.00 | 0.05 | 92.0 | 0.00 | 0.05 | 0.00 | 0.05 |
| 01/10/2018 | # HILTE, MONTY | DAIN TRAILER | 0.00 | 0.84 | 92.0 | 0.00 | 0.77 | 0.00 | 0.77 |
| 01/10/2018 | # HARDY, JAMES WILLIAM | DAIN TRAILER | 0.00 | 1.37 | 92.0 | 0.00 | 1.26 | 0.00 | 1.26 |
| 01/10/2018 | # RUSSELL, MEREDITH | DAIN TRAILER | 0.00 | 2.80 | 92.0 | 0.00 | 2.58 | 0.00 | 2.58 |
| 01/10/2018 | # RUSSELL, MEREDITH | DAIN TRAILER | 0.00 | 1.94 | 92.0 | 0.00 | 1.78 | 0.00 | 1.78 |
| 01/10/2018 | # NELSON, MIKE | DAIN TRAILER | 0.00 | 0.48 | 92.0 | 0.00 | 0.44 | 0.00 | 0.44 |
| 01/10/2018 | # NYANG, LAMIN | DAIN TRAILER | 0.00 | 0.08 | 92.0 | 0.00 | 0.07 | 0.00 | 0.07 |
| 01/10/2018 | # PEKAREK, MARJAN | DAIN TRAILER | 0.00 | 0.20 | 92.0 | 0.00 | 0.18 | 0.00 | 0.18 |
| 01/10/2018 | # PEKAREK, MARJAN | DAIN TRAILER | 0.00 | 1.26 | 92.0 | 0.00 | 1.16 | 0.00 | 1.16 |
| 01/10/2018 | # PEKAREK, MARJAN | DAIN TRAILER | 0.00 | 0.72 | 92.0 | 0.00 | 0.66 | 0.00 | 0.66 |
| 01/10/2018 | # PEKAREK, MARJAN | DAIN TRAILER | 0.00 | 2.14 | 92.0 | 0.00 | 1.97 | 0.00 | 1.97 |
| 01/10/2018 | # SHANDY, RONNITA | DAIN TRAILER | 0.00 | 0.31 | 92.0 | 0.00 | 0.29 | 0.00 | 0.29 |
| 01/10/2018 | # SHANDY, RONNITA | DAIN TRAILER | 0.00 | 0.23 | 92.0 | 0.00 | 0.21 | 0.00 | 0.21 |
| 01/10/2018 | # SHANDY, RONNITA | DAIN TRAILER | 0.00 | 0.54 | 92.0 | 0.00 | 0.50 | 0.00 | 0.50 |
| 01/10/2018 | # RARDIN, JOHN | DAIN TRAILER | 0.00 | 1.53 | 92.0 | 0.00 | 1.41 | 0.00 | 1.41 |
| 01/10/2018 | # RARDIN, JOHN | DAIN TRAILER | 0.00 | 0.21 | 92.0 | 0.00 | 0.19 | 0.00 | 0.19 |
| 01/10/2018 | # RARDIN, JOHN | DAIN TRAILER | 0.00 | 1.05 | 92.0 | 0.00 | 0.97 | 0.00 | 0.97 |
| 01/10/2018 | # RARDIN, JOHN | DAIN TRAILER | 0.00 | 1.75 | 92.0 | 0.00 | 1.61 | 0.00 | 1.61 |
| 01/10/2018 | # MCNARY, JALEESA | DAIN TRAILER | 0.00 | 0.10 | 92.0 | 0.00 | 0.09 | 0.00 | 0.09 |
| 01/10/2018 | # STOUT, KYLE | DAIN TRAILER | 0.00 | 4.93 | 92.0 | 0.00 | 4.54 | 0.00 | 4.54 |
| 01/10/2018 | # STOUT, KYLE | DAIN TRAILER | 0.00 | 7.07 | 92.0 | 0.00 | 6.50 | 0.00 | 6.50 |
| 01/10/2018 | # STOUT, KYLE | DAIN TRAILER | 0.00 | 3.77 | 92.0 | 0.00 | 3.47 | 0.00 | 3.47 |
| 01/10/2018 | # GUILTY, NIQUICHE | DAIN TRAILER | 0.00 | 3.04 | 92.0 | 0.00 | 2.80 | 0.00 | 2.80 |
| 01/10/2018 | # GUILTY, NIQUICHE | DAIN TRAILER | 0.00 | 0.28 | 92.0 | 0.00 | 0.26 | 0.00 | 0.26 |
| 01/10/2018 | # GUILTY, NIQUICHE | DAIN TRAILER | 0.00 | 0.27 | 92.0 | 0.00 | 0.25 | 0.00 | 0.25 |
| 01/10/2018 | # PENDER, PENNY | DAIN TRAILER | 0.00 | 0.01 | 92.0 | 0.00 | 0.01 | 0.00 | 0.01 |
| 01/10/2018 | # BERG, ERIK | DAIN TRAILER | 0.00 | 1.17 | 92.0 | 0.00 | 1.08 | 0.00 | 1.08 |
| 01/10/2018 | # BERG, ERIK | DAIN TRAILER | 0.00 | 0.72 | 92.0 | 0.00 | 0.66 | 0.00 | 0.66 |
| 01/10/2018 | # OLSON, SALLY | DAIN TRAILER | 0.00 | 0.59 | 92.0 | 0.00 | 0.54 | 0.00 | 0.54 |
| 01/10/2018 | # OLSON, SALLY | DAIN TRAILER | 0.00 | 1.50 | 92.0 | 0.00 | 1.38 | 0.00 | 1.38 |
| 01/10/2018 | # OLSON, SALLY | DAIN TRAILER | 0.00 | 3.93 | 92.0 | 0.00 | 3.62 | 0.00 | 3.62 |
| 01/10/2018 | # ELL, MICHAEL | DAIN TRAILER | 0.00 | 0.04 | 92.0 | 0.00 | 0.04 | 0.00 | 0.04 |
| 01/10/2018 | # ELL, MICHAEL | DAIN TRAILER | 0.00 | 0.07 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 01/10/2018 | # WILLIAMS, DARRELL | DAIN TRAILER | 0.00 | 0.36 | 92.0 | 0.00 | 0.33 | 0.00 | 0.33 |

COMMISSION STATEMENT for CYNTHIA HERRON

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|----------------------|--------------|----------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 01/10/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 7.03 | 92.0 | 0.00 | 6.47 | 0.00 | 6.47 |
| 01/10/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 5.95 | 92.0 | 0.00 | 5.47 | 0.00 | 5.47 |
| 01/10/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 6.16 | 92.0 | 0.00 | 5.67 | 0.00 | 5.67 |
| 01/10/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 1.33 | 92.0 | 0.00 | 1.22 | 0.00 | 1.22 |
| 01/10/2018 | # WILKERSON, BARBARA | DAIN TRAILER | 0.00 | 1.19 | 92.0 | 0.00 | 1.09 | 0.00 | 1.09 |
| 01/10/2018 | # LEWANDOWSKI, KIM | DAIN TRAILER | 0.00 | 0.90 | 92.0 | 0.00 | 0.83 | 0.00 | 0.83 |
| 01/10/2018 | # LEWANDOWSKI, KIM | DAIN TRAILER | 0.00 | 0.37 | 92.0 | 0.00 | 0.34 | 0.00 | 0.34 |
| 01/10/2018 | # LEWANDOWSKI, KIM | DAIN TRAILER | 0.00 | 2.54 | 92.0 | 0.00 | 2.34 | 0.00 | 2.34 |
| 01/10/2018 | # NYANG, LAMIN | DAIN TRAILER | 0.00 | 0.13 | 92.0 | 0.00 | 0.12 | 0.00 | 0.12 |
| 01/10/2018 | # NYANG, LAMIN | DAIN TRAILER | 0.00 | 0.06 | 92.0 | 0.00 | 0.06 | 0.00 | 0.06 |
| 01/10/2018 | # MOOT, PEGGY | DAIN TRAILER | 0.00 | 1.13 | 92.0 | 0.00 | 1.04 | 0.00 | 1.04 |
| 01/10/2018 | # MOOT, PEGGY | DAIN TRAILER | 0.00 | 1.50 | 92.0 | 0.00 | 1.38 | 0.00 | 1.38 |
| 01/10/2018 | # MOOT, PEGGY | DAIN TRAILER | 0.00 | 0.30 | 92.0 | 0.00 | 0.28 | 0.00 | 0.28 |
| 01/10/2018 | # MOOT, PEGGY | DAIN TRAILER | 0.00 | 0.53 | 92.0 | 0.00 | 0.49 | 0.00 | 0.49 |
| 01/10/2018 | # ARVIN, PEGGY | DAIN TRAILER | 0.00 | 0.24 | 92.0 | 0.00 | 0.22 | 0.00 | 0.22 |
| 01/10/2018 | # ARVIN, PEGGY | DAIN TRAILER | 0.00 | 0.39 | 92.0 | 0.00 | 0.36 | 0.00 | 0.36 |
| 01/10/2018 | # ARVIN, PEGGY | DAIN TRAILER | 0.00 | 2.32 | 92.0 | 0.00 | 2.13 | 0.00 | 2.13 |
| 01/10/2018 | # MYERS, DAVE | DAIN TRAILER | 0.00 | 1.06 | 92.0 | 0.00 | 0.98 | 0.00 | 0.98 |
| 01/10/2018 | # MYERS, DAVE | DAIN TRAILER | 0.00 | 4.65 | 92.0 | 0.00 | 4.28 | 0.00 | 4.28 |
| 01/10/2018 | # ALBIN, JANETTE | DAIN TRAILER | 0.00 | 2.37 | 92.0 | 0.00 | 2.18 | 0.00 | 2.18 |
| 01/10/2018 | # ALBIN, JANETTE | DAIN TRAILER | 0.00 | 0.27 | 92.0 | 0.00 | 0.25 | 0.00 | 0.25 |
| 01/10/2018 | # ALBIN, JANETTE | DAIN TRAILER | 0.00 | 0.63 | 92.0 | 0.00 | 0.58 | 0.00 | 0.58 |
| 01/10/2018 | # GALVAS, MARIE | DAIN TRAILER | 0.00 | 0.98 | 92.0 | 0.00 | 0.90 | 0.00 | 0.90 |
| 01/10/2018 | # GALVAS, MARIE | DAIN TRAILER | 0.00 | 0.46 | 92.0 | 0.00 | 0.42 | 0.00 | 0.42 |
| 01/10/2018 | # RANSOM, HERMAN | DAIN TRAILER | 25.00 | 1.25 | 92.0 | 0.00 | 1.15 | 0.00 | 1.15 |
| 01/10/2018 | # RUSSELL, JOHN | DAIN TRAILER | 100.00 | 5.00 | 92.0 | 0.00 | 4.60 | 0.00 | 4.60 |
| 01/10/2018 | # SMITH, MATT | DAIN TRAILER | 0.00 | 1.00 | 92.0 | 0.00 | 0.92 | 0.00 | 0.92 |
| 01/10/2018 | # SMITH, MATT | DAIN TRAILER | 0.00 | 1.12 | 92.0 | 0.00 | 1.03 | 0.00 | 1.03 |
| 01/10/2018 | # SMITH, MATT | DAIN TRAILER | 0.00 | 0.83 | 92.0 | 0.00 | 0.76 | 0.00 | 0.76 |
| 01/10/2018 | # HARDY, PATRICIA | DAIN TRAILER | 0.00 | 0.96 | 92.0 | 0.00 | 0.88 | 0.00 | 0.88 |
| 01/10/2018 | # HARDY, PATRICIA | DAIN TRAILER | 0.00 | 0.69 | 92.0 | 0.00 | 0.63 | 0.00 | 0.63 |
| 01/10/2018 | # WILLIAMS, DARRELL | DAIN TRAILER | 0.00 | 0.31 | 92.0 | 0.00 | 0.29 | 0.00 | 0.29 |
| 01/10/2018 | # WILLIAMS, DARRELL | DAIN TRAILER | 0.00 | 0.23 | 92.0 | 0.00 | 0.21 | 0.00 | 0.21 |
| 01/10/2018 | # BOWEN, CHRISTINA | DAIN TRAILER | 0.00 | 0.64 | 92.0 | 0.00 | 0.59 | 0.00 | 0.59 |
| 01/10/2018 | # BOWEN, CHRISTINA | DAIN TRAILER | 0.00 | 0.27 | 92.0 | 0.00 | 0.25 | 0.00 | 0.25 |
| 01/10/2018 | # BOWEN, CHRISTINA | DAIN TRAILER | 0.00 | 0.51 | 92.0 | 0.00 | 0.47 | 0.00 | 0.47 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$5,320.74 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-569.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|---------------------|-------------------|
| Check Amount | \$4,751.74 |
|---------------------|-------------------|