

All Companies
STATEMENT
August 20, 2018

RONALD NALVEN - LPCM

BROKER #: 3028
BRANCH: LIBERTY PARTNERS CAP

, CA

COMMISSION STATEMENT for RONALD NALVEN - LPCM

| 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> | | | | | | | | | | |
| 07/03/2018 # | BOGUCHWAL, STEPHEN | IAFEES | B | -230.82 | 161.57 | 0.00 | 0.00 | 161.57 | 86.0 | 138.95 |
| 07/17/2018 # | BOGUCHWAL, JONATHAN | IAFEES | B | -214.02 | 112.64 | 0.00 | 0.00 | 112.64 | 86.0 | 96.87 |
| 07/17/2018 # | BOGUCHWAL, JONATHAN | IAFEES | B | -99.13 | 52.18 | 0.00 | 0.00 | 52.18 | 86.0 | 44.87 |
| 07/17/2018 # | BOGUCHWAL, SHERRY | IAFEES | B | -97.49 | 51.31 | 0.00 | 0.00 | 51.31 | 86.0 | 44.13 |
| 07/17/2018 # | BOGUCHWAL, STEPHEN | IAFEES | B | -394.25 | 299.09 | 0.00 | 0.00 | 299.09 | 86.0 | 257.22 |
| 07/17/2018 # | BOGUCHWAL, SCOTT | IAFEES | B | -97.08 | 51.09 | 0.00 | 0.00 | 51.09 | 86.0 | 43.94 |
| * MUTUAL FUNDS SUBTOTAL * | | | | \$-1,132.79 | \$727.88 | \$0.00 | \$0.00 | \$727.88 | | \$625.98 |

PRODUCT CATEGORY: RIA

| | | | | | | | | | | |
|--------------------|---------------------|----------|---|------|----------|------|------|----------|------|--------|
| 06/30/0201 #583266 | ADAMS, LINDSAY | SEI FEES | B | 0.00 | 121.06 | 0.00 | 0.00 | 121.06 | 86.0 | 104.11 |
| 06/30/0201 #645284 | ALBRECHT, CURT | SEI FEES | B | 0.00 | 317.42 | 0.00 | 0.00 | 317.42 | 86.0 | 272.98 |
| 06/30/0201 #559337 | BATES, JOHN | SEI FEES | B | 0.00 | 142.33 | 0.00 | 0.00 | 142.33 | 86.0 | 122.40 |
| 06/30/0201 #42765 | BERBERIAN, JOSEPH | SEI FEES | B | 0.00 | 210.43 | 0.00 | 0.00 | 210.43 | 86.0 | 180.97 |
| 06/30/0201 #523841 | BERBERIAN, JOSEPH | SEI FEES | B | 0.00 | 120.15 | 0.00 | 0.00 | 120.15 | 86.0 | 103.33 |
| 06/30/0201 #571286 | BOGUCHWAL, SHERRY | SEI FEES | B | 0.00 | 774.10 | 0.00 | 0.00 | 774.10 | 86.0 | 665.73 |
| 06/30/0201 #566028 | GIAGLIA, ANTHONY | SEI FEES | B | 0.00 | 207.38 | 0.00 | 0.00 | 207.38 | 86.0 | 178.35 |
| 06/30/0201 #566030 | GIAGLIA, MICHAEL | SEI FEES | B | 0.00 | 193.95 | 0.00 | 0.00 | 193.95 | 86.0 | 166.80 |
| 06/30/0201 #566032 | CIAGLIA, MARCELLINO | SEI FEES | B | 0.00 | 205.94 | 0.00 | 0.00 | 205.94 | 86.0 | 177.11 |
| 06/30/0201 #571189 | CIAGLIA, ANGELO | SEI FEES | B | 0.00 | 198.31 | 0.00 | 0.00 | 198.31 | 86.0 | 170.55 |
| 06/30/0201 #495278 | EHRLICH, DIANE | SEI FEES | B | 0.00 | 170.25 | 0.00 | 0.00 | 170.25 | 86.0 | 146.42 |
| 06/30/0201 #552099 | EHRLICH, HAROLD | SEI FEES | B | 0.00 | 440.26 | 0.00 | 0.00 | 440.26 | 86.0 | 378.62 |
| 06/30/0201 #495279 | EHRLICH, HAROLD | SEI FEES | B | 0.00 | 377.22 | 0.00 | 0.00 | 377.22 | 86.0 | 324.41 |
| 06/30/0201 #498757 | GARLICK, GORDON | SEI FEES | B | 0.00 | 119.20 | 0.00 | 0.00 | 119.20 | 86.0 | 102.51 |
| 06/30/0201 #546812 | GLICK, JESSE | SEI FEES | B | 0.00 | 3.74 | 0.00 | 0.00 | 3.74 | 86.0 | 3.22 |
| 06/30/0201 #583265 | HOPFEL, MARANDA | SEI FEES | B | 0.00 | 97.17 | 0.00 | 0.00 | 97.17 | 86.0 | 83.57 |
| 06/30/0201 #571265 | PANZA AND SONS | SEI FEES | B | 0.00 | 852.73 | 0.00 | 0.00 | 852.73 | 86.0 | 733.35 |
| 06/30/0201 #559149 | PEREZ, HECTOR | SEI FEES | B | 0.00 | 97.18 | 0.00 | 0.00 | 97.18 | 86.0 | 83.57 |
| 06/30/0201 #37369 | PORTER, CINDI | SEI FEES | B | 0.00 | 1,064.06 | 0.00 | 0.00 | 1,064.06 | 86.0 | 915.09 |
| 06/30/0201 #112928 | POWERS, MARY | SEI FEES | B | 0.00 | 642.78 | 0.00 | 0.00 | 642.78 | 86.0 | 552.79 |
| 06/30/0201 #583267 | WAAGNER, JESSICA | SEI FEES | B | 0.00 | 167.45 | 0.00 | 0.00 | 167.45 | 86.0 | 144.01 |
| 06/30/0201 #606563 | XIE, FENG | SEI FEES | B | 0.00 | 356.30 | 0.00 | 0.00 | 356.30 | 86.0 | 306.42 |

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|------------|--------|------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|

BROKER TRANSACTIONS

PRODUCT CATEGORY: RIA

| | | | | | | | | | | | |
|-----------------------------------|-----------|------------------|----------|---|-------------|------------|--------|--------|------------|------|------------|
| 06/30/0201 | #30530981 | RACHLIN, JUDYTHE | SEI FEES | B | 0.00 | 56.71 | 0.00 | 0.00 | 56.71 | 86.0 | 48.77 |
| 06/30/0201 | #30530977 | RACHLIN, JUDYTHE | SEI FEES | B | 0.00 | 43.15 | 0.00 | 0.00 | 43.15 | 86.0 | 37.11 |
| * RIA SUBTOTAL * | | | | | \$0.00 | \$6,979.27 | \$0.00 | \$0.00 | \$6,979.27 | | \$6,002.19 |
| *** BROKER TRANSACTIONS TOTAL *** | | | | | \$-1,132.79 | \$7,707.15 | \$0.00 | \$0.00 | \$7,707.15 | | \$6,628.17 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$6,628.17 |
| Split Transactions | \$0.00 |
| 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 | \$6,628.17 |
|--------------|------------|