

COMMISSION STATEMENT July 23, 2018

GARRETT MORETZ

181 North Main Street, Ste 208 Mooresville, NC 28115 BROKER #: B09

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
		BDOKED TDA	NSACTTONS						
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
	L8 ***-**-94IR - RUSSELL, LYNN ACCOUNT #: LSR011980	AB ALL MARKET TOTAL RETURN PORT CLA BUY 1 Units @0.0000	0.00	1.71	0.00	1.71	82.0	1.40	
07/23/201	18 ***-**-071X - HENDRIX, NSPS ACCOUNT #: LSR012263	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	82.0	0.30	
07/23/201	18 ***-**-468I - REYNOLDS, ACCOUNT #: LSR011988	DIAMOND HILL CORP CREDIT CL A BUY 1 Units @0.0000	0.00	0.05	0.00	0.05	82.0	0.04	
07/23/201	18 ***-**-938I - WILKES, HAROLD ACCOUNT #: LSR012334	DIAMOND HILL CORP CREDIT CL A BUY 1 Units @0.0000	0.00	0.14	0.00	0.14	82.0	0.11	
07/23/201	18 ***-**-3631 - WILKES, DONNA ACCOUNT #: LSR012335	DIAMOND HILL CORP CREDIT CL A BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	82.0	0.15	
07/23/201	18 ***-**-029K - ANTHONY, APRIL ACCOUNT #: LSR012402	DIAMOND HILL CORP CREDIT CL A BUY 1 Units @0.0000	0.00	0.08	0.00	0.08	82.0	0.07	
07/23/201	L8 ***-**-706I - HOLLAR, DIANE ACCOUNT #: LSR012563	DIAMOND HILL CORP CREDIT CL A BUY 1 Units @0.0000	0.00	0.07	0.00	0.07	82.0	0.06	
07/23/201	18 ***-**-972I - GRIFFIN, OTIS ACCOUNT #: LSR011960	EATON VANCE INCOME FUND OF BOSTON C BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	82.0	0.71	
07/23/201	18 ***-**-10IR - CLINGON, BILLY ACCOUNT #: LSR012010	EATON VANCE MULTI SECTOR INCOME CL BUY 1 Units @0.0000	0.00	3.71	0.00	3.71	82.0	3.04	
07/23/201	18 ***-**-7260 - FARZALO, STEVE ACCOUNT #: LSR011965	EATON VANCE NATIONAL MUNICIPAL FUND BUY 1 Units @0.0000	0.00	7.86	0.00	7.86	82.0	6.45	
07/23/201	18 ***-**-671I - BEDDOW, DONALD ACCOUNT #: 00091150349	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	95.64	0.00	95.64	82.0	78.42	
07/23/201	18 ***-**-71IR - HENDRIX, DONNA ACCOUNT #: LSR012260	GROWTH FUND OF AMERICA CLASS F BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	82.0	0.32	
07/23/201	18 ***-**-071X - HENDRIX, NSPS ACCOUNT #: LSR012263	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	0.79	0.00	0.79	82.0	0.65	
07/17/201	18 ***-**-10IR - CLINGON, BILLY ACCOUNT #: LSR012010	IVY ASSET STRATEGY CL C BUY 1 Units @0.0000	0.00	10.62	0.00	10.62	82.0	8.71	
07/17/201	8 ***-**-501I - DAGENHART, JAME: ACCOUNT #: LSR012101	S IVY HIGH INCOME CL A BUY 1 Units @0.0000	0.00	2.63	0.00	2.63	82.0	2.16	
07/17/201	L8 ***-**-6771 - LAIL, DWIGHT ACCOUNT #: LSR012166	IVY HIGH INCOME CL A BUY 1 Units @0.0000	0.00	4.59	0.00	4.59	82.0	3.76	

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BROKER #: B09

							COMMISSION
	BROKER TRANSACT	TIONS (contin	ued)				
ATEGORY: MUTUAL FUND 12B1 T	RAILS (continued)						
***-**-3631 - WILKES, DONNA ACCOUNT #: LSR012335	IVY HIGH INCOME CL A BUY 1 Units @0.0000	0.00	0.55	0.00	0.55	82.0	0.45
***-**-4401 - BOHNAKER, ANGELA ACCOUNT #: LSR012403	IVY HIGH INCOME CL A BUY 1 Units @0.0000	0.00	3.54	0.00	3.54	82.0	2.90
***-**-06IR - KULIKOWSKI, ACCOUNT #: LSR012423	IVY HIGH INCOME CL A BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	82.0	0.58
***-**-27IR - KULIKOWSKI, SARA ACCOUNT #: LSR012424	IVY HIGH INCOME CL A BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	82.0	0.58
***-**-972I - GRIFFIN, OTIS ACCOUNT #: LSR011960	JANUS HENDERSON HIGH YIELD A-NFS BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	82.0	0.71
***-**-50IR - JONES, MICHAEL ACCOUNT #: LSR012331	JPMORGAN GROWTH ADVANTAGE FUND CL A BUY 1 Units @0.0000	0.00	0.59	0.00	0.59	82.0	0.48
***-**-440I - BOHNAKER, ANGELA ACCOUNT #: LSR012403	JPMORGAN GROWTH ADVANTAGE FUND CL A BUY 1 Units @0.0000	0.00	1.77	0.00	1.77	82.0	1.45
***-**-4400 - BOHNAKER, ANGELA ACCOUNT #: LSR012409	JPMORGAN GROWTH ADVANTAGE FUND CL A BUY 1 Units @0.0000	0.00	3.56	0.00	3.56	82.0	2.92
***-**-06IR - KULIKOWSKI, ACCOUNT #: LSR012423	JPMORGAN GROWTH ADVANTAGE FUND CL A BUY 1 Units @0.0000	0.00	0.46	0.00	0.46	82.0	0.38
***-**-271R - KULIKOWSKI, SARA ACCOUNT #: LSR012424	JPMORGAN GROWTH ADVANTAGE FUND CL A BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	82.0	0.39
***-**-10IR - CLINGON, BILLY ACCOUNT #: LSR012010	MFS AGGRESSIVE GROWTH ALLOC CL C BUY 1 Units @0.0000	0.00	4.33	0.00	4.33	82.0	3.55
***-**-468I - REYNOLDS, ACCOUNT #: LSR011988	MORGAN STANLEY GROWTH PORT A-NFS BUY 1 Units @0.0000	0.00	0.05	0.00	0.05	82.0	0.04
***-**-110I - CLINGON, BILLY ACCOUNT #: LSR012015	MORGAN STANLEY GROWTH PORT A-NFS BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	82.0	0.22
***-**-501I - DAGENHART, JAMES ACCOUNT #: LSR012101	MORGAN STANLEY GROWTH PORT A-NFS BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	82.0	0.57
***-**-938I - WILKES, HAROLD ACCOUNT #: LSR012334	MORGAN STANLEY GROWTH PORT A-NFS BUY 1 Units @0.0000	0.00	0.14	0.00	0.14	82.0	0.11
***-**-3631 - WILKES, DONNA ACCOUNT #: LSR012335	MORGAN STANLEY GROWTH PORT A-NFS BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	82.0	0.15
	-**-363I - WILKES, DONNA ACCOUNT #: LSR012335 ***-**-440I - BOHNAKER, ANGELA ACCOUNT #: LSR012403 ***-**-06IR - KULIKOWSKI, ACCOUNT #: LSR012423 ***-**-27IR - KULIKOWSKI, SARA ACCOUNT #: LSR012424 ***-**-972I - GRIFFIN, OTIS ACCOUNT #: LSR011960 ***-**-50IR - JONES, MICHAEL ACCOUNT #: LSR012331 ***-**-440I - BOHNAKER, ANGELA ACCOUNT #: LSR012403 ***-**-4400 - BOHNAKER, ANGELA ACCOUNT #: LSR012409 ***-**-06IR - KULIKOWSKI, ACCOUNT #: LSR012424 ***-**-01IR - KULIKOWSKI, ACCOUNT #: LSR012424 ***-**-27IR - KULIKOWSKI, SARA ACCOUNT #: LSR012424 ***-**-10IR - CLINGON, BILLY ACCOUNT #: LSR012010 ***-**-468I - REYNOLDS, ACCOUNT #: LSR011988 ***-**-10II - CLINGON, BILLY ACCOUNT #: LSR012015 ***-**-501I - DAGENHART, JAMES ACCOUNT #: LSR012101 ***-**-938I - WILKES, HAROLD ACCOUNT #: LSR012334 ***-**-363I - WILKES, DONNA	ATEGORY: MUTUAL FUND 12B1 TRAILS (continued) ***-**-3631 - WILKES, DONNA IVY HIGH INCOME CL A ACCOUNT #: LSR012335 BUY 1 Units @0.0000 ***-**-4401 - BOHNAKER, ANGELA IVY HIGH INCOME CL A ACCOUNT #: LSR012403 BUY 1 Units @0.0000 ***-**-06IR - KULIKOWSKI, IVY HIGH INCOME CL A ACCOUNT #: LSR012423 BUY 1 Units @0.0000 ***-**-972I - GRIFFIN, OTIS JANUS HENDERSON HIGH YIELD A-NFS ACCOUNT #: LSR012960 BUY 1 Units @0.0000 ***-**-50IR - JONES, MICHAEL JPMORGAN GROWTH ADVANTAGE FUND CL A ACCOUNT #: LSR012331 BUY 1 Units @0.0000 ***-**-4400 - BOHNAKER, ANGELA JPMORGAN GROWTH ADVANTAGE FUND CL A ACCOUNT #: LSR012409 BUY 1 Units @0.0000 ***-**-406IR - KULIKOWSKI, SARA JPMORGAN GROWTH ADVANTAGE FUND CL A ACCOUNT #: LSR012423 BUY 1 Units @0.0000 ***-**-06IR - KULIKOWSKI, SARA JPMORGAN GROWTH ADVANTAGE FUND CL A ACCOUNT #: LSR012423 BUY 1 Units @0.0000 ***-**-27IR - KULIKOWSKI, SARA JPMORGAN GROWTH ADVANTAGE FUND CL A ACCOUNT #: LSR012424 BUY 1 Units @0.0000 ***-**-06IR - KULIKOWSKI, SARA JPMORGAN GROWTH ADVANTAGE FUND CL A ACCOUNT #: LSR012424 BUY 1 Units @0.0000 ***-**-27IR - KULIKOWSKI, SARA JPMORGAN GROWTH ADVANTAGE FUND CL A BUY 1 Units @0.0000 ***-**-10IR - CLINGON, BILLY MFS AGGRESSIVE GROWTH ALOC CL C BUY 1 Units @0.0000 ***-**-10IR - CLINGON, BILLY MORGAN STANLEY GROWTH PORT A-NFS ACCOUNT #: LSR012015 BUY 1 Units @0.0000 ***-*-*-501I - DAGENHART, JAMES MORGAN STANLEY GROWTH PORT A-NFS ACCOUNT #: LSR012101 BUY 1 Units @0.0000 ***-**-*-938I - WILKES, HAROLD MORGAN STANLEY GROWTH PORT A-NFS ACCOUNT #: LSR012334 BUY 1 Units @0.0000 ***-*-*-363I - WILKES, DONNA MORGAN STANLEY GROWTH PORT A-NFS BUY 1 Units @0.0000	######################################	***-**-363I - WILKES, DONNA IVY HIGH INCOME CL A 0.00 0.55 ACCOUNT #: LSR012335 BUY 1 Units @0.0000 ***-**-440I - BOHNAKER, ANGELA IVY HIGH INCOME CL A 0.00 3.54 ACCOUNT #: LSR012403 BUY 1 Units @0.0000 ***-**-06IR - KULIKOWSKI, IVY HIGH INCOME CL A 0.00 0.71 ACCOUNT #: LSR012423 BUY 1 Units @0.0000 ***-**-27IR - KULIKOWSKI, SARA IVY HIGH INCOME CL A 0.00 0.71 ACCOUNT #: LSR012424 BUY 1 Units @0.0000 ***-**-972I - GRIFFIN, OTIS JANUS HENDERSON HIGH YIELD A-NFS 0.00 0.86 ACCOUNT #: LSR011960 BUY 1 Units @0.0000 ***-**-50IR - JONES, MICHAEL JPMORGAN GROWTH ADVANTAGE FUND CL A 0.00 0.59 ACCOUNT #: LSR012403 BUY 1 Units @0.0000 ***-**-440I - BOHNAKER, ANGELA JPMORGAN GROWTH ADVANTAGE FUND CL A 0.00 1.77 ACCOUNT #: LSR012409 BUY 1 Units @0.0000 ***-**-016IR - KULIKOWSKI, JPMORGAN GROWTH ADVANTAGE FUND CL A 0.00 3.56 ACCOUNT #: LSR012409 BUY 1 Units @0.0000 ***-**-06IR - KULIKOWSKI, JPMORGAN GROWTH ADVANTAGE FUND CL A 0.00 0.46 ACCOUNT #: LSR012409 BUY 1 Units @0.0000 ***-**-016IR - KULIKOWSKI, JPMORGAN GROWTH ADVANTAGE FUND CL A 0.00 0.46 ACCOUNT #: LSR012409 BUY 1 Units @0.0000 ***-**-016IR - KULIKOWSKI, JPMORGAN GROWTH ADVANTAGE FUND CL A 0.00 0.46 ACCOUNT #: LSR012409 BUY 1 Units @0.0000 ***-**-016IR - KULIKOWSKI, SARA JPMORGAN GROWTH ADVANTAGE FUND CL A 0.00 0.46 ACCOUNT #: LSR012409 BUY 1 Units @0.0000 ***-**-*-1017 - CLINGON, BILLY MFS AGGRESSIVE GROWTH ADVANTAGE FUND CL A 0.00 0.48 ACCOUNT #: LSR012105 BUY 1 Units @0.0000 ***-**-1017 - CLINGON, BILLY MORGAN STANLEY GROWTH PORT A-NFS 0.00 0.05 ACCOUNT #: LSR012015 BUY 1 Units @0.0000 ***-**-1017 - CLINGON, BILLY MORGAN STANLEY GROWTH PORT A-NFS 0.00 0.70 ACCOUNT #: LSR012015 BUY 1 Units @0.0000 ***-**-5011 - DAGENHART, JAMES MORGAN STANLEY GROWTH PORT A-NFS 0.00 0.70 ACCOUNT #: LSR01201 BUY 1 Units @0.0000 ***-**-5011 - DAGENHART, JAMES MORGAN STANLEY GROWTH PORT A-NFS 0.00 0.70 ACCOUNT #: LSR012334 BUY 1 Units @0.0000 ***-**-3631 - WILKES, DONNA MORGAN STANLEY GROWTH PORT A-NFS 0.00 0.01	***-**-3631 - WILKES, DONNA IVY HIGH INCOME CL A 0.00 0.55 0.00 account #: LSR012335 EUY 1 Units @0.0000	***********************************	********5631 - WILKES, DONNA IVY HIGH INCOME CL A 0.00 0.55 0.00 0.55 82.0 ACCOUNT #: ISRO12335 BIY 1 Units 00.0000



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT C	GROSS OMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TRANSACTI	ONS (continue	<u>d)</u>				
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/201	8 ***-**-029K - ANTHONY, APRIL ACCOUNT #: LSR012402	MORGAN STANLEY GROWTH PORT A-NFS BUY 1 Units @0.0000	0.00	0.08	0.00	0.08	82.0	0.07
07/23/201	8 ***-**-518X - SMITH, JONATHAN ACCOUNT #: LSR012501	MORGAN STANLEY GROWTH PORT A-NFS BUY 1 Units @0.0000	0.00	0.37	0.00	0.37	82.0	0.30
07/23/201	8 ***-**-706I - HOLLAR, DIANE ACCOUNT #: LSR012563	MORGAN STANLEY GROWTH PORT A-NFS BUY 1 Units @0.0000	0.00	0.07	0.00	0.07	82.0	0.06
07/23/201	8 ***-**-211I - BEDDOW, GLENDA ACCOUNT #: LSR012626	MORGAN STANLEY GROWTH PORT A-NFS BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	82.0	0.08
07/17/201	8 ***-**-06IR - KULIKOWSKI, ACCOUNT #: LSR012423	PACIFIC ADVISORS SMALL CAP A BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	82.0	0.50
07/17/201	8 ***-**-27IR - KULIKOWSKI, SARA ACCOUNT #: LSR012424	A PACIFIC ADVISORS SMALL CAP A BUY 1 Units @0.0000	0.00	0.64	0.00	0.64	82.0	0.52
07/23/201	8 ***-**-03IR - HINES, WALTER ACCOUNT #: LSR012153	PRINCIPAL INVESTOR HIGH YIELD II CL BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	82.0	0.78
07/17/201	8 ***-**-440I - BOHNAKER, ANGELA ACCOUNT #: LSR012403	A PRUDENTIAL JENNISON SMALL COMPANY C BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	82.0	0.71
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$152.26	\$0.00	\$152.26		\$124.85
		*** BROKER TRANSACTIONS TOTAL ***	\$0.00	\$152.26	\$0.00	\$152.26		\$124.85



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
						BROKER COMM	ISSION	TOTALS
					Broke	er Transactions	3	\$124.85
					Spl	it Transactions	3	\$0.00
					Overrio	de Transactions	5	\$0.00
						Adjustments	5	\$0.00
						Payroll Draw	I	\$0.00
						Base Salary	7	\$0.00
					Prior	Period Balance	2	\$0.00
					F	INRA Assessment	:	\$0.00
					5	SIPC Assessment	:	\$0.00
							_	
					Net Cor	mmission Earned	l	\$124.85
					Year-to	o-date Earnings	5	\$52,703.88