

All Companies
STATEMENT
August 20, 2018

STEPHEN PLOUCHER

BROKER #: 038
BRANCH: LA BRANCH

, CA

COMMISSION STATEMENT for STEPHEN PLOUCHER

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | POSTAGE | NET COMMISSION | RATE | BROKER COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|

BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

| | | | | | | | | | | |
|---------------------------|------------------|----------------------------------|---|--------------|----------|--------|--------|----------|------|----------|
| 07/10/2018 # | DERUNG, KAREN | FIDELITY 315920843 | S | 9,509.21 | 0.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 07/10/2018 # | DERUNG, DALE | FIDELITY 315920843 | S | 9,509.21 | 0.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 07/10/2018 # | DERUNG, KAREN | FIDELITY ADV STOCK SELECT SM CAP | B | 9,509.21 | 0.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 07/10/2018 # | DERUNG, DALE | FIDELITY ADV STOCK SELECT SM CAP | B | 9,509.21 | 0.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 07/10/2018 # | SOMMERS, LESTER | MFS GROWTH FUND CL A | S | 47,055.74 | 0.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 07/10/2018 # | SOMMERS, LESTER | MFS RESEARCH FUND-CL A | S | 25,794.38 | 0.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 07/16/2018 # | DERUNG, KAREN | FIDELITY ADV BIOTECHNOLOGY-CL A | S | 2,851.00 | 0.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 07/16/2018 # | DERUNG, KAREN | FIDELITY ADV BIOTECHNOLOGY-CL A | S | 100.00 | 0.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 07/16/2018 # | DERUNG, KAREN | FIDELITY ADV STOCK SELECT SM CAP | B | 2,851.00 | 0.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 07/16/2018 # | SOMMERS, LESTER | MFS RESEARCH FUND-CL A | S | 3,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 07/20/2018 # | BACKMAN, MELANIE | OAKMARK INTERNATIONAL FUND | S | 23,046.32 | 0.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 07/24/2018 # | BACKMAN, MELANIE | FIDELITY ADV GROWTH OPPORT-CL A | B | 16,000.00 | 440.00 | 0.00 | 0.00 | 440.00 | 90.0 | 396.00 |
| 07/25/2018 # | DERUNG, DALE | FIDELITY ADV HEALTH CARE-CL A | B | 3,000.00 | 82.50 | 0.00 | 0.00 | 82.50 | 90.0 | 74.25 |
| 07/25/2018 # | DERUNG, DALE | FIDELITY ADV STOCK SELECT SM CAP | B | 2,700.00 | 74.25 | 0.00 | 0.00 | 74.25 | 90.0 | 66.83 |
| * MUTUAL FUNDS SUBTOTAL * | | | | \$164,435.28 | \$596.75 | \$0.00 | \$0.00 | \$596.75 | | \$537.08 |

PRODUCT CATEGORY: STOCKS

| | | | | | | | | | | |
|---------------------|-----------------|-----------------------|---|-------------|---------|--------|--------|---------|------|---------|
| 07/11/2018 # | SOMMERS, LESTER | MICRON TECHNOLOGY INC | B | 10,811.50 | 10.00 | 0.00 | 0.00 | 10.00 | 90.0 | 9.00 |
| 07/25/2018 # | SOMMERS, LESTER | TWITTER INC | B | 4,408.50 | 10.00 | 0.00 | 0.00 | 10.00 | 90.0 | 9.00 |
| * STOCKS SUBTOTAL * | | | | \$15,220.00 | \$20.00 | \$0.00 | \$0.00 | \$20.00 | | \$18.00 |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | | | |
|--------------|-----------------|--------------|---|------|-------|------|------|-------|------|-------|
| 07/11/2018 # | SMITH, ROGER | DAIN TRAILER | B | 0.00 | 3.51 | 0.00 | 0.00 | 3.51 | 90.0 | 3.16 |
| 07/11/2018 # | SMITH, ROGER | DAIN TRAILER | B | 0.00 | 7.54 | 0.00 | 0.00 | 7.54 | 90.0 | 6.79 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 1.32 | 0.00 | 0.00 | 1.32 | 90.0 | 1.19 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 5.21 | 0.00 | 0.00 | 5.21 | 90.0 | 4.69 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 9.52 | 0.00 | 0.00 | 9.52 | 90.0 | 8.57 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 32.56 | 0.00 | 0.00 | 32.56 | 90.0 | 29.30 |
| 07/11/2018 # | SMITH, ROGER | DAIN TRAILER | B | 0.00 | 4.62 | 0.00 | 0.00 | 4.62 | 90.0 | 4.16 |
| 07/11/2018 # | SMITH, ROGER | DAIN TRAILER | B | 0.00 | 3.93 | 0.00 | 0.00 | 3.93 | 90.0 | 3.54 |
| 07/11/2018 # | GRAFF, MARILYN | DAIN TRAILER | B | 0.00 | 11.78 | 0.00 | 0.00 | 11.78 | 90.0 | 10.60 |
| 07/11/2018 # | GRAFF, MARILYN | DAIN TRAILER | B | 0.00 | 27.57 | 0.00 | 0.00 | 27.57 | 90.0 | 24.81 |

COMMISSION STATEMENT for STEPHEN PLOUCHER

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|--|------------------|--------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | | |
| 07/11/2018 # | GRAFF, MARILYN | DAIN TRAILER | B | 0.00 | 6.12 | 0.00 | 0.00 | 6.12 | 90.0 | 5.51 |
| 07/11/2018 # | GRAFF, MARILYN | DAIN TRAILER | B | 0.00 | 13.76 | 0.00 | 0.00 | 13.76 | 90.0 | 12.38 |
| 07/11/2018 # | GRAFF, MARILYN | DAIN TRAILER | B | 0.00 | 3.50 | 0.00 | 0.00 | 3.50 | 90.0 | 3.15 |
| 07/11/2018 # | GRAFF, MARILYN | DAIN TRAILER | B | 0.00 | 6.77 | 0.00 | 0.00 | 6.77 | 90.0 | 6.09 |
| 07/11/2018 # | GRAFF, MARILYN | DAIN TRAILER | B | 0.00 | 0.87 | 0.00 | 0.00 | 0.87 | 90.0 | 0.78 |
| 07/11/2018 # | GRAFF, MARILYN | DAIN TRAILER | B | 0.00 | 1.14 | 0.00 | 0.00 | 1.14 | 90.0 | 1.03 |
| 07/11/2018 # | DERUNG, KAREN | DAIN TRAILER | B | 0.00 | 0.94 | 0.00 | 0.00 | 0.94 | 90.0 | 0.85 |
| 07/11/2018 # | DERUNG, KAREN | DAIN TRAILER | B | 0.00 | 1.13 | 0.00 | 0.00 | 1.13 | 90.0 | 1.02 |
| 07/11/2018 # | DERUNG, DALE | DAIN TRAILER | B | 0.00 | 0.58 | 0.00 | 0.00 | 0.58 | 90.0 | 0.52 |
| 07/11/2018 # | DERUNG, DALE | DAIN TRAILER | B | 0.00 | 0.09 | 0.00 | 0.00 | 0.09 | 90.0 | 0.08 |
| 07/11/2018 # | DERUNG, DALE | DAIN TRAILER | B | 0.00 | 0.78 | 0.00 | 0.00 | 0.78 | 90.0 | 0.70 |
| 07/11/2018 # | DERUNG, DALE | DAIN TRAILER | B | 0.00 | 1.34 | 0.00 | 0.00 | 1.34 | 90.0 | 1.21 |
| 07/11/2018 # | DERUNG, DALE | DAIN TRAILER | B | 0.00 | 1.00 | 0.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| 07/11/2018 # | SMITH, ROBERT | DAIN TRAILER | B | 0.00 | 0.41 | 0.00 | 0.00 | 0.41 | 90.0 | 0.37 |
| 07/11/2018 # | BACKMAN, MELANIE | DAIN TRAILER | B | 0.00 | 18.75 | 0.00 | 0.00 | 18.75 | 90.0 | 16.88 |
| 07/11/2018 # | BACKMAN, MELANIE | DAIN TRAILER | B | 0.00 | 12.35 | 0.00 | 0.00 | 12.35 | 90.0 | 11.12 |
| 07/11/2018 # | BACKMAN, MELANIE | DAIN TRAILER | B | 0.00 | 8.31 | 0.00 | 0.00 | 8.31 | 90.0 | 7.48 |
| 07/11/2018 # | BACKMAN, MELANIE | DAIN TRAILER | B | 0.00 | 4.23 | 0.00 | 0.00 | 4.23 | 90.0 | 3.81 |
| 07/11/2018 # | BACKMAN, MELANIE | DAIN TRAILER | B | 0.00 | 5.85 | 0.00 | 0.00 | 5.85 | 90.0 | 5.27 |
| 07/11/2018 # | BACKMAN, MELANIE | DAIN TRAILER | B | 0.00 | 2.64 | 0.00 | 0.00 | 2.64 | 90.0 | 2.38 |
| 07/11/2018 # | BACKMAN, MELANIE | DAIN TRAILER | B | 0.00 | 5.79 | 0.00 | 0.00 | 5.79 | 90.0 | 5.21 |
| 07/11/2018 # | BACKMAN, MELANIE | DAIN TRAILER | B | 0.00 | 2.21 | 0.00 | 0.00 | 2.21 | 90.0 | 1.99 |
| 07/11/2018 # | BACKMAN, MELANIE | DAIN TRAILER | B | 0.00 | 1.66 | 0.00 | 0.00 | 1.66 | 90.0 | 1.49 |
| 07/11/2018 # | BACKMAN, MELANIE | DAIN TRAILER | B | 0.00 | 2.00 | 0.00 | 0.00 | 2.00 | 90.0 | 1.80 |
| 07/11/2018 # | BACKMAN, MELANIE | DAIN TRAILER | B | 0.00 | 26.92 | 0.00 | 0.00 | 26.92 | 90.0 | 24.23 |
| 07/11/2018 # | BACKMAN, MELANIE | DAIN TRAILER | B | 0.00 | 9.59 | 0.00 | 0.00 | 9.59 | 90.0 | 8.63 |
| 07/11/2018 # | BACKMAN, MELANIE | DAIN TRAILER | B | 0.00 | 8.97 | 0.00 | 0.00 | 8.97 | 90.0 | 8.07 |
| 07/11/2018 # | BACKMAN, MELANIE | DAIN TRAILER | B | 0.00 | 4.46 | 0.00 | 0.00 | 4.46 | 90.0 | 4.01 |
| 07/11/2018 # | BACKMAN, MELANIE | DAIN TRAILER | B | 0.00 | 4.56 | 0.00 | 0.00 | 4.56 | 90.0 | 4.10 |
| 07/11/2018 # | DERUNG, KAREN | DAIN TRAILER | B | 0.00 | 2.32 | 0.00 | 0.00 | 2.32 | 90.0 | 2.09 |
| 07/11/2018 # | DERUNG, KAREN | DAIN TRAILER | B | 0.00 | 2.02 | 0.00 | 0.00 | 2.02 | 90.0 | 1.82 |
| 07/11/2018 # | DERUNG, KAREN | DAIN TRAILER | B | 0.00 | 2.24 | 0.00 | 0.00 | 2.24 | 90.0 | 2.02 |
| 07/11/2018 # | DERUNG, KAREN | DAIN TRAILER | B | 0.00 | 2.28 | 0.00 | 0.00 | 2.28 | 90.0 | 2.05 |
| 07/11/2018 # | DERUNG, KAREN | DAIN TRAILER | B | 0.00 | 1.96 | 0.00 | 0.00 | 1.96 | 90.0 | 1.76 |
| 07/11/2018 # | DERUNG, DALE | DAIN TRAILER | B | 0.00 | 2.32 | 0.00 | 0.00 | 2.32 | 90.0 | 2.09 |
| 07/11/2018 # | DERUNG, DALE | DAIN TRAILER | B | 0.00 | 2.02 | 0.00 | 0.00 | 2.02 | 90.0 | 1.82 |
| 07/11/2018 # | DERUNG, DALE | DAIN TRAILER | B | 0.00 | 2.24 | 0.00 | 0.00 | 2.24 | 90.0 | 2.02 |
| 07/11/2018 # | DERUNG, DALE | DAIN TRAILER | B | 0.00 | 2.28 | 0.00 | 0.00 | 2.28 | 90.0 | 2.05 |
| 07/11/2018 # | DERUNG, DALE | DAIN TRAILER | B | 0.00 | 1.96 | 0.00 | 0.00 | 1.96 | 90.0 | 1.76 |
| 07/11/2018 # | LIUDAHL, LESLIE | DAIN TRAILER | B | 0.00 | 5.20 | 0.00 | 0.00 | 5.20 | 90.0 | 4.68 |

COMMISSION STATEMENT for STEPHEN PLOUCHER

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|--|-----------------|--------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | | |
| 07/11/2018 # | LIUDAHL, LESLIE | DAIN TRAILER | B | 0.00 | 5.10 | 0.00 | 0.00 | 5.10 | 90.0 | 4.59 |
| 07/11/2018 # | LIUDAHL, LESLIE | DAIN TRAILER | B | 0.00 | 0.23 | 0.00 | 0.00 | 0.23 | 90.0 | 0.21 |
| 07/11/2018 # | LIUDAHL, LESLIE | DAIN TRAILER | B | 0.00 | 4.53 | 0.00 | 0.00 | 4.53 | 90.0 | 4.08 |
| 07/11/2018 # | LIUDAHL, LESLIE | DAIN TRAILER | B | 0.00 | 12.36 | 0.00 | 0.00 | 12.36 | 90.0 | 11.12 |
| 07/11/2018 # | LIUDAHL, LESLIE | DAIN TRAILER | B | 0.00 | 5.48 | 0.00 | 0.00 | 5.48 | 90.0 | 4.93 |
| 07/11/2018 # | LIUDAHL, LESLIE | DAIN TRAILER | B | 0.00 | 9.10 | 0.00 | 0.00 | 9.10 | 90.0 | 8.19 |
| 07/11/2018 # | LIUDAHL, LESLIE | DAIN TRAILER | B | 0.00 | 4.85 | 0.00 | 0.00 | 4.85 | 90.0 | 4.37 |
| 07/11/2018 # | LIUDAHL, LESLIE | DAIN TRAILER | B | 0.00 | 6.43 | 0.00 | 0.00 | 6.43 | 90.0 | 5.79 |
| 07/11/2018 # | LIUDAHL, LESLIE | DAIN TRAILER | B | 0.00 | 8.73 | 0.00 | 0.00 | 8.73 | 90.0 | 7.86 |
| 07/11/2018 # | LIUDAHL, JUDITH | DAIN TRAILER | B | 0.00 | 0.89 | 0.00 | 0.00 | 0.89 | 90.0 | 0.80 |
| 07/11/2018 # | LIUDAHL, JUDITH | DAIN TRAILER | B | 0.00 | 0.85 | 0.00 | 0.00 | 0.85 | 90.0 | 0.77 |
| 07/11/2018 # | LIUDAHL, JUDITH | DAIN TRAILER | B | 0.00 | 0.90 | 0.00 | 0.00 | 0.90 | 90.0 | 0.81 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 7.79 | 0.00 | 0.00 | 7.79 | 90.0 | 7.01 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 2.69 | 0.00 | 0.00 | 2.69 | 90.0 | 2.42 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 4.67 | 0.00 | 0.00 | 4.67 | 90.0 | 4.20 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 1.92 | 0.00 | 0.00 | 1.92 | 90.0 | 1.73 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 5.16 | 0.00 | 0.00 | 5.16 | 90.0 | 4.64 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 2.91 | 0.00 | 0.00 | 2.91 | 90.0 | 2.62 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 1.90 | 0.00 | 0.00 | 1.90 | 90.0 | 1.71 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 4.64 | 0.00 | 0.00 | 4.64 | 90.0 | 4.18 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 2.57 | 0.00 | 0.00 | 2.57 | 90.0 | 2.31 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 8.89 | 0.00 | 0.00 | 8.89 | 90.0 | 8.00 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 2.57 | 0.00 | 0.00 | 2.57 | 90.0 | 2.31 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 2.79 | 0.00 | 0.00 | 2.79 | 90.0 | 2.51 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 6.81 | 0.00 | 0.00 | 6.81 | 90.0 | 6.13 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 9.02 | 0.00 | 0.00 | 9.02 | 90.0 | 8.12 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 45.26 | 0.00 | 0.00 | 45.26 | 90.0 | 40.73 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 19.02 | 0.00 | 0.00 | 19.02 | 90.0 | 17.12 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 8.64 | 0.00 | 0.00 | 8.64 | 90.0 | 7.78 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 6.04 | 0.00 | 0.00 | 6.04 | 90.0 | 5.44 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 25.53 | 0.00 | 0.00 | 25.53 | 90.0 | 22.98 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 21.38 | 0.00 | 0.00 | 21.38 | 90.0 | 19.24 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 9.44 | 0.00 | 0.00 | 9.44 | 90.0 | 8.50 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 17.92 | 0.00 | 0.00 | 17.92 | 90.0 | 16.13 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 12.43 | 0.00 | 0.00 | 12.43 | 90.0 | 11.19 |
| 07/11/2018 # | SOMMERS, LESTER | DAIN TRAILER | B | 0.00 | 2.47 | 0.00 | 0.00 | 2.47 | 90.0 | 2.22 |
| 07/11/2018 # | LIUDAHL, SCOTT | DAIN TRAILER | B | 0.00 | 2.07 | 0.00 | 0.00 | 2.07 | 90.0 | 1.86 |
| 07/11/2018 # | LIUDAHL, SCOTT | DAIN TRAILER | B | 0.00 | 2.63 | 0.00 | 0.00 | 2.63 | 90.0 | 2.37 |
| 07/11/2018 # | LIUDAHL, SCOTT | DAIN TRAILER | B | 0.00 | 1.79 | 0.00 | 0.00 | 1.79 | 90.0 | 1.61 |
| 07/11/2018 # | LIUDAHL, STEVEN | DAIN TRAILER | B | 0.00 | 2.07 | 0.00 | 0.00 | 2.07 | 90.0 | 1.86 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$2,945.11 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-604.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|---------------------|-------------------|
| Check Amount | \$2,341.11 |
|---------------------|-------------------|