

# STATEMENT

## February 20, 2018

KEVIN BORAD  
9560 Topanga Canyon Blvd Suite  
SUITE 204  
Chatsworth, CA 91311

BROKER #: 128  
BRANCH:

### COMMISSION STATEMENT for KEVIN BORAD

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>									
01/02/0018	#81154080603	HUSSAIN COLLEGEBOUND	500.00	15.00	93.0	0.00	13.95	0.00	13.95
12/27/2017	#06020229735	VARIOUS BORAD DIVIDEND OPPORTUNITY FUND	800.00	8.00	93.0	0.00	7.44	0.00	7.44
12/27/2017	#00100061667	BILLIM, Z EMERGING MARKETS LOCAL DEBT CLASS C	1,600.00	16.00	93.0	0.00	14.88	0.00	14.88
12/27/2017	#08370814275	VARIOUS BORAD EQUITY INCOME FUND, INC. C	1,600.00	16.00	93.0	0.00	14.88	0.00	14.88
12/27/2017	#00100010132	BILLIM, Z INTERNATIONAL GROWTH AND INCOME FUN	1,600.00	16.00	93.0	0.00	14.88	0.00	14.88
12/27/2017	#00100012750	BILLIM, Z STEELPATH PANORAMIC FUND	800.00	8.00	93.0	0.00	7.44	0.00	7.44
12/27/2017	#03770549956	VARIOUS BORAD VALUE FUND CLASS C	1,600.00	16.00	93.0	0.00	14.88	0.00	14.88
12/31/2017	#81655712301	LUNAGARIA, AMAR COLLEGE BOUND 76222X471	0.00	25.77	93.0	0.00	23.97	0.00	23.97
12/31/2017	#81154080603	HUSSAIN COLLEGEBOUND	0.00	68.06	93.0	0.00	63.30	0.00	63.30
01/02/2018	#000000000603163	SHINDE, FRANKLIN TEMPLETON FUNDS CALIF TAX	2,000.00	20.00	93.0	0.00	18.60	0.00	18.60
01/02/2018	#07050089069	PATELANIKN PIMCO INCOME FUND CLASS C	100.00	1.00	93.0	0.00	0.93	0.00	0.93
01/02/2018	#07050089071	PATELAMARN PIMCO INCOME FUND CLASS C	100.00	1.00	93.0	0.00	0.93	0.00	0.93
01/09/2018	#07050079683	PIMCO INCOME FUND CLASS C	1,040.00	10.40	93.0	0.00	9.67	0.00	9.67
01/09/2018	#000000000154676	BRICKER, TEMPLETON INCOME TR GLOBAL TOTAL RE	949.82	9.50	93.0	0.00	8.84	0.00	8.84
01/09/2018	#000000000154676	BRICKER, TEMPLETON INCOME TR GLOBAL TOTAL RE	949.82	9.50	93.0	0.00	8.84	0.00	8.84
01/10/2018	#0000000000016117	FRANKLIN INDIA GROWTH FUND - CLASS	500.00	5.00	93.0	0.00	4.65	0.00	4.65
01/10/2018	#0000000000811745	FRKLN GOLD & PRECIOUS METALS FUND C	500.00	5.00	93.0	0.00	4.65	0.00	4.65
01/10/2018	#0000000000648788	MUTUAL FINANCIAL SERVICES FUND-CLAS	500.00	5.00	93.0	0.00	4.65	0.00	4.65
01/16/2018	#0000000000607349	DADHANIA, FRANKLIN TEMPLETON FUNDS CALIF TAX	150.00	1.50	93.0	0.00	1.40	0.00	1.40
01/16/2018	#07050093000	PATELAUDRL PIMCO INCOME FUND CLASS C	100.00	1.00	93.0	0.00	0.93	0.00	0.93
01/17/2018	#07050088361	PATEL, SUMIT PIMCO INCOME FUND CLASS C	5,500.00	55.00	93.0	0.00	51.15	0.00	51.15
01/17/2018	#07050088362	PIMCO INCOME FUND CLASS C	5,500.00	55.00	93.0	0.00	51.15	0.00	51.15
01/19/2018	#00082242287	SHIHORA, ARTH NEW PERSPECTIVE FUND-529A	67.00	2.51	93.0	0.00	2.33	0.00	2.33
01/19/2018	#00082242341	SHIHORA, ARTH NEW PERSPECTIVE FUND-529A	67.00	2.51	93.0	0.00	2.33	0.00	2.33
01/19/2018	#00082242287	SHIHORA, ARTH THE BOND FUND OF AMERICA-529A	66.00	1.98	93.0	0.00	1.84	0.00	1.84
01/19/2018	#00082242341	SHIHORA, ARTH THE BOND FUND OF AMERICA-529A	66.00	1.98	93.0	0.00	1.84	0.00	1.84
01/19/2018	#00082242287	SHIHORA, ARTH THE INVESTMENT COMPANY OF AMERICA-5	67.00	2.51	93.0	0.00	2.33	0.00	2.33
01/19/2018	#00082242341	SHIHORA, ARTH THE INVESTMENT COMPANY OF AMERICA-5	67.00	2.51	93.0	0.00	2.33	0.00	2.33

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>									
01/22/2018	#01485867731	VARIOUS BORAD	FA MEGA CAP STOCK FUND	900.00	22.50	93.0	0.00	20.93	20.93
01/22/2018	#01485867731	VARIOUS BORAD	FA MEGA CAP STOCK FUND	12,500.00	312.50	93.0	0.00	290.63	290.63
01/22/2018	#000000000017513	HUSSAMARV	FRANKLIN INDIA GROWTH FUND - CLASS	55.00	0.55	93.0	0.00	0.51	0.51
01/22/2018	#000000000017537	HUSSAMARV	FRANKLIN INDIA GROWTH FUND - CLASS	55.00	0.55	93.0	0.00	0.51	0.51
01/22/2018	#000000000654107	HUSSAMARV	FRANKLIN MUTUAL EUROPEAN FUND CLASS	275.00	2.75	93.0	0.00	2.56	2.56
01/22/2018	#000000000654133	HUSSAMARV	FRANKLIN MUTUAL EUROPEAN FUND CLASS	275.00	2.75	93.0	0.00	2.56	2.56
01/22/2018	#0000000001483674	HUSSAMARV	FRANKLIN RISING DIVS FD CL C	110.00	1.10	93.0	0.00	1.02	1.02
01/22/2018	#0000000001483813	HUSSAMARV	FRANKLIN RISING DIVS FD CL C	110.00	1.10	93.0	0.00	1.02	1.02
01/22/2018	#00035828101	KACHHADIA,	IVY LASALLE GBL RSKMGED REAL ESTATE	500.00	5.00	93.0	0.00	4.65	4.65
01/22/2018	#00035828101	KACHHADIA,	IVY LASALLE GBL RSKMGED REAL ESTATE	100.20	1.00	93.0	0.00	0.93	0.93
01/22/2018	#00035830927	BUTANI, BATUK	IVY LASALLE GBL RSKMGED REAL ESTATE	50.00	0.50	93.0	0.00	0.47	0.47
01/22/2018	#00035830927	BUTANI, BATUK	IVY LASALLE GBL RSKMGED REAL ESTATE	56.25	0.56	93.0	0.00	0.52	0.52
01/22/2018	#00035830928	BUTANI, KARSHAN	IVY LASALLE GBL RSKMGED REAL ESTATE	50.00	0.50	93.0	0.00	0.47	0.47
01/22/2018	#00035830928	BUTANI, KARSHAN	IVY LASALLE GBL RSKMGED REAL ESTATE	56.25	0.56	93.0	0.00	0.52	0.52
01/22/2018	#000000000104947	HUSSAMARV	TEM EMERGING MARKETS SMALL CAP FD C	110.00	1.10	93.0	0.00	1.02	1.02
01/22/2018	#000000000104974	HUSSAMARV	TEM EMERGING MARKETS SMALL CAP FD C	110.00	1.10	93.0	0.00	1.02	1.02
01/22/2018	#0000000001725100	HUSSAMARV	TEMPLETON DEV MRKTS TR FUND CLASS C	110.00	1.10	93.0	0.00	1.02	1.02
01/22/2018	#0000000001725124	HUSSAMARV	TEMPLETON DEV MRKTS TR FUND CLASS C	110.00	1.10	93.0	0.00	1.02	1.02
01/22/2018	#000000000134813	HUSSASEHA	TEMPLETON INCOME TR GLOBAL TOTAL RE	1,100.00	11.00	93.0	0.00	10.23	10.23
01/22/2018	#000000000153130	HUSSAMARV	TEMPLETON INCOME TR GLOBAL TOTAL RE	440.00	4.40	93.0	0.00	4.09	4.09
01/22/2018	#000000000153142	HUSSAMARV	TEMPLETON INCOME TR GLOBAL TOTAL RE	440.00	4.40	93.0	0.00	4.09	4.09
01/23/2018	#07050076150		PIMCO DIVIDEND AND INCOME BUILDER C	136.00	1.36	93.0	0.00	1.26	1.26
01/23/2018	#07050076150		PIMCO DIVIDEND AND INCOME BUILDER C	136.00	1.36	93.0	0.00	1.26	1.26
01/23/2018	#07050076150		PIMCO DIVIDEND AND INCOME BUILDER C	158.81	1.59	93.0	0.00	1.48	1.48
01/23/2018	#07050076154		PIMCO DIVIDEND AND INCOME BUILDER C	100.00	1.00	93.0	0.00	0.93	0.93
01/23/2018	#07050076154		PIMCO DIVIDEND AND INCOME BUILDER C	100.00	1.00	93.0	0.00	0.93	0.93
01/23/2018	#07050076154		PIMCO DIVIDEND AND INCOME BUILDER C	100.00	1.00	93.0	0.00	0.93	0.93
01/23/2018	#07050087106		PIMCO INCOME FUND CLASS C	200.00	2.00	93.0	0.00	1.86	1.86
01/23/2018	#07050087106		PIMCO INCOME FUND CLASS C	200.00	2.00	93.0	0.00	1.86	1.86
01/23/2018	#07050087106		PIMCO INCOME FUND CLASS C	200.00	2.00	93.0	0.00	1.86	1.86
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$45,633.15</b>	<b>\$771.16</b>		<b>\$0.00</b>	<b>\$717.17</b>	<b>\$0.00</b>	<b>\$717.17</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>									
01/23/2018	#1014537690		PERSP II 09/12	300.00	22.50	93.0	0.00	20.93	20.93
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$300.00</b>	<b>\$22.50</b>		<b>\$0.00</b>	<b>\$20.93</b>	<b>\$0.00</b>	<b>\$20.93</b>

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/31/2017	#06020228987	VARIOUS BORAD	DIVIDEND OPPORTUNITY FUND	0.00	0.00	93.0	0.00	0.00	0.00
12/31/2017	#06020229735	VARIOUS BORAD	DIVIDEND OPPORTUNITY FUND	0.00	0.00	93.0	0.00	0.00	0.00
12/31/2017	#00100061524	GUPTA, DEVENDRA	EMERGING MARKETS LOCAL DEBT CLASS C	0.00	0.00	93.0	0.00	0.00	0.00
12/31/2017	#00100061667	BILLIM, Z	EMERGING MARKETS LOCAL DEBT CLASS C	0.00	0.00	93.0	0.00	0.00	0.00
12/31/2017	#08370812031	VARIOUS BORAD	EQUITY INCOME FUND, INC. C	0.00	0.00	93.0	0.00	0.00	0.00
12/31/2017	#08370814275	VARIOUS BORAD	EQUITY INCOME FUND, INC. C	0.00	0.00	93.0	0.00	0.00	0.00
12/31/2017	#00100010099	GUPTA, DEVENDRA	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.00	93.0	0.00	0.00	0.00
12/31/2017	#00100010132	BILLIM, Z	INTERNATIONAL GROWTH AND INCOME FUN	0.00	0.00	93.0	0.00	0.00	0.00
12/31/2017	#08620283140	VARIOUS BORAD	LIMITED TERM MUNICIPAL FUND C	0.00	12.82	93.0	11.92	0.00	11.92
12/31/2017	#07313464648	VARIOUS BORAD	OPPENHEIMER MAIN STR SELECT FD CL A	0.00	2.60	93.0	2.42	0.00	2.42
12/31/2017	#05450837386	VARIOUS BORAD	PORTFOLIO SERIES: MODERATE INVESTOR	0.00	11.71	93.0	10.89	0.00	10.89
12/31/2017	#05451193445	VARIOUS BORAD	PORTFOLIO SERIES: MODERATE INVESTOR	0.00	6.68	93.0	6.21	0.00	6.21
12/31/2017	#00100012442	GUPTA, DEVENDRA	STEELPATH PANORAMIC FUND	0.00	0.00	93.0	0.00	0.00	0.00
12/31/2017	#00100012750	BILLIM, Z	STEELPATH PANORAMIC FUND	0.00	0.00	93.0	0.00	0.00	0.00
12/31/2017	#03770549296	VARIOUS BORAD	VALUE FUND CLASS C	0.00	0.00	93.0	0.00	0.00	0.00
12/31/2017	#03770549956	VARIOUS BORAD	VALUE FUND CLASS C	0.00	0.00	93.0	0.00	0.00	0.00
01/04/2018	#07050040688	BHAKTA,	PIMCO ALL ASSET AUTH CL C	0.00	72.57	93.0	67.49	0.00	67.49
01/04/2018	#07050040688	BHAKTA,	PIMCO ALL ASSET AUTH CL C	0.00	188.68	93.0	175.47	0.00	175.47
01/04/2018	#07050040689	BHAKTA,	PIMCO ALL ASSET AUTH CL C	0.00	14.53	93.0	13.51	0.00	13.51
01/04/2018	#07050040689	BHAKTA,	PIMCO ALL ASSET AUTH CL C	0.00	37.78	93.0	35.14	0.00	35.14
01/04/2018	#07050075745	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.13	93.0	3.84	0.00	3.84
01/04/2018	#07050075745	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	12.39	93.0	11.52	0.00	11.52
01/04/2018	#07050075820	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.68	93.0	4.35	0.00	4.35
01/04/2018	#07050075820	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	14.03	93.0	13.05	0.00	13.05
01/04/2018	#07050075821	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	5.44	93.0	5.06	0.00	5.06
01/04/2018	#07050075821	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	16.32	93.0	15.18	0.00	15.18
01/04/2018	#07050075822	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.45	93.0	4.14	0.00	4.14
01/04/2018	#07050075822	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	13.35	93.0	12.42	0.00	12.42
01/04/2018	#07050075823	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	2.97	93.0	2.76	0.00	2.76
01/04/2018	#07050075823	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	8.90	93.0	8.28	0.00	8.28
01/04/2018	#07050075825	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	2.84	93.0	2.64	0.00	2.64
01/04/2018	#07050075825	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	8.53	93.0	7.93	0.00	7.93
01/04/2018	#07050075826	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.02	93.0	2.81	0.00	2.81
01/04/2018	#07050075826	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	9.07	93.0	8.44	0.00	8.44
01/04/2018	#07050075832	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.28	93.0	3.05	0.00	3.05
01/04/2018	#07050075832	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	9.83	93.0	9.14	0.00	9.14

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
01/04/2018	#07050075833	LUNAGARIA, PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.92	93.0	0.00	3.65	0.00	3.65
01/04/2018	#07050075833	LUNAGARIA, PIMCO DIVIDEND AND INCOME BUILDER C	0.00	11.76	93.0	0.00	10.94	0.00	10.94
01/04/2018	#07050076150	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	6.78	93.0	0.00	6.31	0.00	6.31
01/04/2018	#07050076150	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	20.35	93.0	0.00	18.93	0.00	18.93
01/04/2018	#07050076154	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	7.52	93.0	0.00	6.99	0.00	6.99
01/04/2018	#07050076154	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	22.56	93.0	0.00	20.98	0.00	20.98
01/04/2018	#07050079683	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.66	93.0	0.00	3.40	0.00	3.40
01/04/2018	#07050079683	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	10.99	93.0	0.00	10.22	0.00	10.22
01/04/2018	#07050036770	ABID, HUSSA PIMCO DIVIDEND AND INCOME BUILDER C	0.00	11.88	93.0	0.00	11.05	0.00	11.05
01/04/2018	#07050036770	ABID, HUSSA PIMCO DIVIDEND AND INCOME BUILDER C	0.00	35.63	93.0	0.00	33.14	0.00	33.14
01/04/2018	#07050044353	KHURANA, DILDAR PIMCO DIVIDEND AND INCOME BUILDER C	0.00	1.01	93.0	0.00	0.94	0.00	0.94
01/04/2018	#07050044353	KHURANA, DILDAR PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.04	93.0	0.00	2.83	0.00	2.83
01/04/2018	#07050063375	PATEL, SMITA PIMCO DIVIDEND AND INCOME BUILDER C	0.00	7.21	93.0	0.00	6.71	0.00	6.71
01/04/2018	#07050063375	PATEL, SMITA PIMCO DIVIDEND AND INCOME BUILDER C	0.00	21.64	93.0	0.00	20.13	0.00	20.13
01/04/2018	#07050075313	ABID, HUSSA PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.37	93.0	0.00	3.13	0.00	3.13
01/04/2018	#07050075313	ABID, HUSSA PIMCO DIVIDEND AND INCOME BUILDER C	0.00	10.10	93.0	0.00	9.39	0.00	9.39
01/04/2018	#07050075318	ABID, HUSSA PIMCO DIVIDEND AND INCOME BUILDER C	0.00	9.29	93.0	0.00	8.64	0.00	8.64
01/04/2018	#07050075318	ABID, HUSSA PIMCO DIVIDEND AND INCOME BUILDER C	0.00	27.86	93.0	0.00	25.91	0.00	25.91
01/04/2018	#07050075326	ABID, HUSSA PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.70	93.0	0.00	4.37	0.00	4.37
01/04/2018	#07050075326	ABID, HUSSA PIMCO DIVIDEND AND INCOME BUILDER C	0.00	14.10	93.0	0.00	13.11	0.00	13.11
01/04/2018	#07050075739	LUNAGARIA, PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.64	93.0	0.00	4.32	0.00	4.32
01/04/2018	#07050075739	LUNAGARIA, PIMCO DIVIDEND AND INCOME BUILDER C	0.00	13.91	93.0	0.00	12.94	0.00	12.94
01/04/2018	#07050075824	LUNAGARIA, PIMCO DIVIDEND AND INCOME BUILDER C	0.00	1.89	93.0	0.00	1.76	0.00	1.76
01/04/2018	#07050075824	LUNAGARIA, PIMCO DIVIDEND AND INCOME BUILDER C	0.00	5.68	93.0	0.00	5.28	0.00	5.28
01/04/2018	#07050075828	LUNAGARIA, PIMCO DIVIDEND AND INCOME BUILDER C	0.00	5.27	93.0	0.00	4.90	0.00	4.90
01/04/2018	#07050075828	LUNAGARIA, PIMCO DIVIDEND AND INCOME BUILDER C	0.00	15.82	93.0	0.00	14.71	0.00	14.71
01/04/2018	#07050075829	LUNAGARIA, PIMCO DIVIDEND AND INCOME BUILDER C	0.00	12.75	93.0	0.00	11.86	0.00	11.86
01/04/2018	#07050075829	LUNAGARIA, PIMCO DIVIDEND AND INCOME BUILDER C	0.00	38.26	93.0	0.00	35.58	0.00	35.58
01/04/2018	#07050075834	LUNAGARIA, PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.65	93.0	0.00	4.32	0.00	4.32
01/04/2018	#07050075834	LUNAGARIA, PIMCO DIVIDEND AND INCOME BUILDER C	0.00	13.95	93.0	0.00	12.97	0.00	12.97
01/04/2018	#07050075835	LUNAGARIA, PIMCO DIVIDEND AND INCOME BUILDER C	0.00	2.23	93.0	0.00	2.07	0.00	2.07
01/04/2018	#07050075835	LUNAGARIA, PIMCO DIVIDEND AND INCOME BUILDER C	0.00	6.70	93.0	0.00	6.23	0.00	6.23
01/04/2018	#07050075961	PLAN, FIT PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.30	93.0	0.00	4.00	0.00	4.00
01/04/2018	#07050075961	PLAN, FIT PIMCO DIVIDEND AND INCOME BUILDER C	0.00	12.90	93.0	0.00	12.00	0.00	12.00
01/04/2018	#07050076156	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	1.50	93.0	0.00	1.40	0.00	1.40
01/04/2018	#07050076156	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.51	93.0	0.00	4.19	0.00	4.19

COMMISSION STATEMENT for KEVIN BORAD

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>									
01/04/2018	#07050076890	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	2.04	93.0	0.00	1.90	0.00	1.90
01/04/2018	#07050076890	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	6.11	93.0	0.00	5.68	0.00	5.68
01/04/2018	#07050079679	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	2.45	93.0	0.00	2.28	0.00	2.28
01/04/2018	#07050079679	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	7.35	93.0	0.00	6.84	0.00	6.84
01/04/2018	#07050087996 PATEL, VISHNU	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.28	93.0	0.00	3.98	0.00	3.98
01/04/2018	#07050087996 PATEL, VISHNU	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	12.85	93.0	0.00	11.95	0.00	11.95
01/04/2018	#07050010158 PATEL, VISHNU	PIMCO INCOME FUND CLASS C	0.00	164.34	93.0	0.00	152.84	0.00	152.84
01/04/2018	#07050010158 PATEL, VISHNU	PIMCO INCOME FUND CLASS C	0.00	427.28	93.0	0.00	397.37	0.00	397.37
01/04/2018	#07050063006 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
01/04/2018	#07050075745 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
01/04/2018	#07050075820 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
01/04/2018	#07050075821 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
01/04/2018	#07050075822 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
01/04/2018	#07050075823 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
01/04/2018	#07050075826 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
01/04/2018	#07050075832 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
01/04/2018	#07050075833 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
01/04/2018	#07050079683	PIMCO INCOME FUND CLASS C	0.00	0.32	93.0	0.00	0.30	0.00	0.30
01/04/2018	#07050079683	PIMCO INCOME FUND CLASS C	0.00	0.83	93.0	0.00	0.77	0.00	0.77
01/04/2018	#07050087106	PIMCO INCOME FUND CLASS C	0.00	3.99	93.0	0.00	3.71	0.00	3.71
01/04/2018	#07050087106	PIMCO INCOME FUND CLASS C	0.00	10.38	93.0	0.00	9.65	0.00	9.65
01/04/2018	#07050088361 PATEL, SUMIT	PIMCO INCOME FUND CLASS C	0.00	4.03	93.0	0.00	3.75	0.00	3.75
01/04/2018	#07050088361 PATEL, SUMIT	PIMCO INCOME FUND CLASS C	0.00	10.47	93.0	0.00	9.74	0.00	9.74
01/04/2018	#07050088362	PIMCO INCOME FUND CLASS C	0.00	4.03	93.0	0.00	3.75	0.00	3.75
01/04/2018	#07050088362	PIMCO INCOME FUND CLASS C	0.00	10.47	93.0	0.00	9.74	0.00	9.74
01/04/2018	#07050089069 PATELANIKN	PIMCO INCOME FUND CLASS C	0.00	7.36	93.0	0.00	6.84	0.00	6.84
01/04/2018	#07050089069 PATELANIKN	PIMCO INCOME FUND CLASS C	0.00	19.12	93.0	0.00	17.78	0.00	17.78
01/04/2018	#07050089071 PATELAMARN	PIMCO INCOME FUND CLASS C	0.00	7.36	93.0	0.00	6.84	0.00	6.84
01/04/2018	#07050089071 PATELAMARN	PIMCO INCOME FUND CLASS C	0.00	19.12	93.0	0.00	17.78	0.00	17.78
01/04/2018	#07050090248 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.79	93.0	0.00	0.73	0.00	0.73
01/04/2018	#07050090248 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	2.06	93.0	0.00	1.92	0.00	1.92
01/04/2018	#07050090249 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.67	93.0	0.00	0.62	0.00	0.62
01/04/2018	#07050090249 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	1.73	93.0	0.00	1.61	0.00	1.61
01/04/2018	#07050090251 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.68	93.0	0.00	0.63	0.00	0.63
01/04/2018	#07050090251 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	1.76	93.0	0.00	1.64	0.00	1.64
01/04/2018	#07050090254 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	16.40	93.0	0.00	15.25	0.00	15.25

COMMISSION STATEMENT for KEVIN BORAD

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>									
01/04/2018	#07050090254	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	42.64	93.0	0.00	39.66	0.00	39.66
01/04/2018	#07050090255	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	12.35	93.0	0.00	11.49	0.00	11.49
01/04/2018	#07050090255	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	32.10	93.0	0.00	29.85	0.00	29.85
01/04/2018	#07050093000	PATELAUDRL PIMCO INCOME FUND CLASS C	0.00	0.11	93.0	0.00	0.10	0.00	0.10
01/04/2018	#07050093000	PATELAUDRL PIMCO INCOME FUND CLASS C	0.00	0.29	93.0	0.00	0.27	0.00	0.27
01/04/2018	#07050036770	ABID, HUSSA PIMCO INCOME FUND CLASS C	0.00	3.19	93.0	0.00	2.97	0.00	2.97
01/04/2018	#07050036770	ABID, HUSSA PIMCO INCOME FUND CLASS C	0.00	8.30	93.0	0.00	7.72	0.00	7.72
01/04/2018	#07050040688	BHAKTA, PIMCO INCOME FUND CLASS C	0.00	4.92	93.0	0.00	4.58	0.00	4.58
01/04/2018	#07050040688	BHAKTA, PIMCO INCOME FUND CLASS C	0.00	12.78	93.0	0.00	11.89	0.00	11.89
01/04/2018	#07050040689	BHAKTA, PIMCO INCOME FUND CLASS C	0.00	0.10	93.0	0.00	0.09	0.00	0.09
01/04/2018	#07050040689	BHAKTA, PIMCO INCOME FUND CLASS C	0.00	0.25	93.0	0.00	0.23	0.00	0.23
01/04/2018	#07050075313	ABID, HUSSA PIMCO INCOME FUND CLASS C	0.00	1.16	93.0	0.00	1.08	0.00	1.08
01/04/2018	#07050075313	ABID, HUSSA PIMCO INCOME FUND CLASS C	0.00	3.02	93.0	0.00	2.81	0.00	2.81
01/04/2018	#07050075318	ABID, HUSSA PIMCO INCOME FUND CLASS C	0.00	4.56	93.0	0.00	4.24	0.00	4.24
01/04/2018	#07050075318	ABID, HUSSA PIMCO INCOME FUND CLASS C	0.00	11.87	93.0	0.00	11.04	0.00	11.04
01/04/2018	#07050075326	ABID, HUSSA PIMCO INCOME FUND CLASS C	0.00	1.79	93.0	0.00	1.66	0.00	1.66
01/04/2018	#07050075326	ABID, HUSSA PIMCO INCOME FUND CLASS C	0.00	4.66	93.0	0.00	4.33	0.00	4.33
01/04/2018	#07050077535	PIMCO INCOME FUND CLASS C	0.00	11.73	93.0	0.00	10.91	0.00	10.91
01/04/2018	#07050077535	PIMCO INCOME FUND CLASS C	0.00	30.51	93.0	0.00	28.37	0.00	28.37
01/04/2018	#07050077716	PIMCO INCOME FUND CLASS C	0.00	8.09	93.0	0.00	7.52	0.00	7.52
01/04/2018	#07050077716	PIMCO INCOME FUND CLASS C	0.00	21.03	93.0	0.00	19.56	0.00	19.56
01/04/2018	#07050078244	PATEL, ANKITA PIMCO INCOME FUND CLASS C	0.00	3.92	93.0	0.00	3.65	0.00	3.65
01/04/2018	#07050078244	PATEL, ANKITA PIMCO INCOME FUND CLASS C	0.00	10.20	93.0	0.00	9.49	0.00	9.49
01/04/2018	#07050078245	PATEL, PIMCO INCOME FUND CLASS C	0.00	3.92	93.0	0.00	3.65	0.00	3.65
01/04/2018	#07050078245	PATEL, PIMCO INCOME FUND CLASS C	0.00	10.20	93.0	0.00	9.49	0.00	9.49
01/04/2018	#07050081961	PIMCO INCOME FUND CLASS C	0.00	1.49	93.0	0.00	1.39	0.00	1.39
01/04/2018	#07050081961	PIMCO INCOME FUND CLASS C	0.00	3.88	93.0	0.00	3.61	0.00	3.61
01/04/2018	#07050081962	PIMCO INCOME FUND CLASS C	0.00	2.96	93.0	0.00	2.75	0.00	2.75
01/04/2018	#07050081962	PIMCO INCOME FUND CLASS C	0.00	7.69	93.0	0.00	7.15	0.00	7.15
01/04/2018	#07050082915	SHARMA, RAMESH PIMCO INCOME FUND CLASS C	0.00	66.51	93.0	0.00	61.85	0.00	61.85
01/04/2018	#07050082915	SHARMA, RAMESH PIMCO INCOME FUND CLASS C	0.00	172.92	93.0	0.00	160.82	0.00	160.82
01/04/2018	#07050083554	PIMCO INCOME FUND CLASS C	0.00	2.85	93.0	0.00	2.65	0.00	2.65
01/04/2018	#07050083554	PIMCO INCOME FUND CLASS C	0.00	7.41	93.0	0.00	6.89	0.00	6.89
01/04/2018	#07050085572	INDUCTIVO, PIMCO INCOME FUND CLASS C	0.00	0.92	93.0	0.00	0.86	0.00	0.86
01/04/2018	#07050085572	INDUCTIVO, PIMCO INCOME FUND CLASS C	0.00	2.40	93.0	0.00	2.23	0.00	2.23
01/04/2018	#07050085653	PIMCO INCOME FUND CLASS C	0.00	2.18	93.0	0.00	2.03	0.00	2.03

COMMISSION STATEMENT for KEVIN BORAD

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>									
01/04/2018	#07050085653	PIMCO INCOME FUND CLASS C	0.00	5.67	93.0	0.00	5.27	0.00	5.27
01/04/2018	#07050087774	PIMCO INCOME FUND CLASS C	0.00	0.73	93.0	0.00	0.68	0.00	0.68
01/04/2018	#07050087774	PIMCO INCOME FUND CLASS C	0.00	1.89	93.0	0.00	1.76	0.00	1.76
01/04/2018	#07050088562 ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	0.90	93.0	0.00	0.84	0.00	0.84
01/04/2018	#07050088562 ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	2.35	93.0	0.00	2.19	0.00	2.19
01/04/2018	#07050089369	PIMCO INCOME FUND CLASS C	0.00	3.11	93.0	0.00	2.89	0.00	2.89
01/04/2018	#07050089369	PIMCO INCOME FUND CLASS C	0.00	8.10	93.0	0.00	7.53	0.00	7.53
01/04/2018	#07050089372	PIMCO INCOME FUND CLASS C	0.00	1.95	93.0	0.00	1.81	0.00	1.81
01/04/2018	#07050089372	PIMCO INCOME FUND CLASS C	0.00	5.07	93.0	0.00	4.72	0.00	4.72
01/04/2018	#07050089420 BUTANI,	PIMCO INCOME FUND CLASS C	0.00	4.92	93.0	0.00	4.58	0.00	4.58
01/04/2018	#07050089420 BUTANI,	PIMCO INCOME FUND CLASS C	0.00	12.79	93.0	0.00	11.89	0.00	11.89
01/04/2018	#07050090252 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.67	93.0	0.00	0.62	0.00	0.62
01/04/2018	#07050090252 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	1.73	93.0	0.00	1.61	0.00	1.61
01/04/2018	#07050090253 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.67	93.0	0.00	0.62	0.00	0.62
01/04/2018	#07050090253 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	1.73	93.0	0.00	1.61	0.00	1.61
01/04/2018	#07050091216 KHULLSAVI	PIMCO INCOME FUND CLASS C	0.00	0.17	93.0	0.00	0.16	0.00	0.16
01/04/2018	#07050091216 KHULLSAVI	PIMCO INCOME FUND CLASS C	0.00	0.45	93.0	0.00	0.42	0.00	0.42
01/04/2018	#07050091331	PIMCO INCOME FUND CLASS C	0.00	0.04	93.0	0.00	0.04	0.00	0.04
01/04/2018	#07050091331	PIMCO INCOME FUND CLASS C	0.00	0.11	93.0	0.00	0.10	0.00	0.10
01/04/2018	#07050092315 SHARMA, RAMESH	PIMCO INCOME FUND CLASS C	0.00	0.10	93.0	0.00	0.09	0.00	0.09
01/04/2018	#07050092315 SHARMA, RAMESH	PIMCO INCOME FUND CLASS C	0.00	0.26	93.0	0.00	0.24	0.00	0.24
01/04/2018	#07050092316 SHARMA, NEELAM	PIMCO INCOME FUND CLASS C	0.00	0.10	93.0	0.00	0.09	0.00	0.09
01/04/2018	#07050092316 SHARMA, NEELAM	PIMCO INCOME FUND CLASS C	0.00	0.26	93.0	0.00	0.24	0.00	0.24
01/04/2018	#07050092919 PATEL, SMITA	PIMCO INCOME FUND CLASS C	0.00	1.39	93.0	0.00	1.29	0.00	1.29
01/04/2018	#07050092919 PATEL, SMITA	PIMCO INCOME FUND CLASS C	0.00	3.62	93.0	0.00	3.37	0.00	3.37
01/04/2018	#07050092928 SHINDE, ARUNA	PIMCO INCOME FUND CLASS C	0.00	0.20	93.0	0.00	0.19	0.00	0.19
01/04/2018	#07050092928 SHINDE, ARUNA	PIMCO INCOME FUND CLASS C	0.00	0.53	93.0	0.00	0.49	0.00	0.49
01/04/2018	#07050092957 HART CHARITIES	PIMCO INCOME FUND CLASS C	0.00	0.91	93.0	0.00	0.85	0.00	0.85
01/04/2018	#07050092957 HART CHARITIES	PIMCO INCOME FUND CLASS C	0.00	2.36	93.0	0.00	2.19	0.00	2.19
01/04/2018	#07050063006 LUNAGARIA,	PIMCO INVESTMENT GRADE CORP BOND C	0.00	0.73	93.0	0.00	0.68	0.00	0.68
01/04/2018	#07050063006 LUNAGARIA,	PIMCO INVESTMENT GRADE CORP BOND C	0.00	1.91	93.0	0.00	1.78	0.00	1.78
01/10/2018	# RAGHUWANSHI, NAISHADH	DAIN TRAILER	0.00	16.38	93.0	0.00	15.23	0.00	15.23
01/10/2018	# RAGHUWANSHI, DEVAL	DAIN TRAILER	0.00	0.02	93.0	0.00	0.02	0.00	0.02
01/10/2018	# RAGHUWANSHI, DEVAL	DAIN TRAILER	0.00	0.41	93.0	0.00	0.38	0.00	0.38
01/10/2018	# RAGHUWANSHI, DEVAL	DAIN TRAILER	0.00	16.42	93.0	0.00	15.27	0.00	15.27
01/10/2018	# PATEL, RAJU	DAIN TRAILER	0.00	23.56	93.0	0.00	21.91	0.00	21.91

COMMISSION STATEMENT for KEVIN BORAD

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	# PATEL, TARA	DAIN TRAILER	0.00	19.60	93.0	0.00	18.23	0.00	18.23
01/10/2018	# BHAKTA, CHHAGANBHAI	DAIN TRAILER	0.00	0.08	93.0	0.00	0.07	0.00	0.07
01/10/2018	# BHAKTA, CHHAGANBHAI	DAIN TRAILER	0.00	53.54	93.0	0.00	49.79	0.00	49.79
01/10/2018	# BHAKTA, CHHAGANBHAI	DAIN TRAILER	0.00	110.37	93.0	0.00	102.64	0.00	102.64
01/10/2018	# RAGHUWANSHI, NAISHADH	DAIN TRAILER	0.00	0.05	93.0	0.00	0.05	0.00	0.05
01/10/2018	# RAGHUWANSHI, NAISHADH	DAIN TRAILER	0.00	0.41	93.0	0.00	0.38	0.00	0.38
01/10/2018	# SEN, SANTOSH	DAIN TRAILER	0.00	194.22	93.0	0.00	180.62	0.00	180.62
01/11/2018	#00035826755 VARIOUS BORAD	IVY BALANCED FUND	0.00	175.91	93.0	0.00	163.60	0.00	163.60
01/11/2018	#00035869716 VARIOUS BORAD	IVY BALANCED FUND	0.00	67.05	93.0	0.00	62.36	0.00	62.36
01/11/2018	#00035828423 VARIOUS BORAD	IVY GLOBAL BOND C	0.00	98.60	93.0	0.00	91.70	0.00	91.70
01/11/2018	#00035829689 VARIOUS BORAD	IVY GLOBAL BOND C	0.00	145.09	93.0	0.00	134.93	0.00	134.93
01/11/2018	#00035829756 VARIOUS BORAD	IVY GLOBAL BOND C	0.00	73.01	93.0	0.00	67.90	0.00	67.90
01/11/2018	#00035830927 BUTANI, BATUK	IVY LASALLE GBL RSKMGED REAL ESTATE	0.00	17.32	93.0	0.00	16.11	0.00	16.11
01/11/2018	#00035830928 BUTANI, KARSHAN	IVY LASALLE GBL RSKMGED REAL ESTATE	0.00	17.32	93.0	0.00	16.11	0.00	16.11
01/26/2018	# SEN, SANTOSH	DAIN TRAILER	15,820.35	0.00	93.0	0.00	0.00	0.00	0.00
01/31/2018	#000000000699708 KACHHADIA,	FRANKLIN HIGH YIELD TF INC FD - CLA	0.00	25.70	93.0	0.00	23.90	0.00	23.90
01/31/2018	#000000008158406 BRICKER,	FRANKLIN INCOME FDS SER CL C	0.00	6.49	93.0	0.00	6.04	0.00	6.04
01/31/2018	#000000012112001 BOR VAR	FRANKLIN INCOME FDS SER CL C	0.00	110.64	93.0	0.00	102.90	0.00	102.90
01/31/2018	#000000000016117	FRANKLIN INDIA GROWTH FUND - CLASS	0.00	102.66	93.0	0.00	95.47	0.00	95.47
01/31/2018	#000000000017501 CHIANG,	FRANKLIN INDIA GROWTH FUND - CLASS	0.00	13.91	93.0	0.00	12.94	0.00	12.94
01/31/2018	#000000000017513 HUSSAMARV	FRANKLIN INDIA GROWTH FUND - CLASS	0.00	7.40	93.0	0.00	6.88	0.00	6.88
01/31/2018	#000000000017525 HUSSASEHA	FRANKLIN INDIA GROWTH FUND - CLASS	0.00	5.18	93.0	0.00	4.82	0.00	4.82
01/31/2018	#000000000017537 HUSSAMARV	FRANKLIN INDIA GROWTH FUND - CLASS	0.00	7.40	93.0	0.00	6.88	0.00	6.88
01/31/2018	#000000000017576 BRICKER,	FRANKLIN INDIA GROWTH FUND - CLASS	0.00	4.23	93.0	0.00	3.93	0.00	3.93
01/31/2018	#000000000654107 HUSSAMARV	FRANKLIN MUTUAL EUROPEAN FUND CLASS	0.00	8.96	93.0	0.00	8.33	0.00	8.33
01/31/2018	#000000000654133 HUSSAMARV	FRANKLIN MUTUAL EUROPEAN FUND CLASS	0.00	8.96	93.0	0.00	8.33	0.00	8.33
01/31/2018	#000000000654309 BRICKER,	FRANKLIN MUTUAL EUROPEAN FUND CLASS	0.00	15.25	93.0	0.00	14.18	0.00	14.18
01/31/2018	#000000001483674 HUSSAMARV	FRANKLIN RISING DIVS FD CL C	0.00	3.89	93.0	0.00	3.62	0.00	3.62
01/31/2018	#000000001483813 HUSSAMARV	FRANKLIN RISING DIVS FD CL C	0.00	3.89	93.0	0.00	3.62	0.00	3.62
01/31/2018	#000000001484765 BRICKER,	FRANKLIN RISING DIVS FD CL C	0.00	7.87	93.0	0.00	7.32	0.00	7.32
01/31/2018	#000000001528381 ARGADE,	FRANKLIN RISING DIVS FD CL C	0.00	54.01	93.0	0.00	50.23	0.00	50.23
01/31/2018	#000000001628003 KHURANA,	FRANKLIN RISING DIVS FD CL C	0.00	35.16	93.0	0.00	32.70	0.00	32.70
01/31/2018	#000000001634068 OZA,	FRANKLIN RISING DIVS FD CL C	0.00	121.08	93.0	0.00	112.60	0.00	112.60
01/31/2018	#000000001358946	FRANKLIN TEMPLETON FUND STRATEGIC S	0.00	34.42	93.0	0.00	32.01	0.00	32.01
01/31/2018	#000000000547101 EVANS,	FRANKLIN TEMPLETON FUNDS CALIF TAX	0.00	202.51	93.0	0.00	188.33	0.00	188.33
01/31/2018	#000000000580643 11/15/89,	FRANKLIN TEMPLETON FUNDS CALIF TAX	0.00	1,636.64	93.0	0.00	1,522.08	0.00	1,522.08



COMMISSION STATEMENT for KEVIN BORAD

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>									
01/31/2018	#000000000589251	FRANKLIN TEMPLETON FUNDS CALIF TAX	0.00	36.96	93.0	0.00	34.37	0.00	34.37
01/31/2018	#000000000596763	SHINDE, FRANKLIN TEMPLETON FUNDS CALIF TAX	0.00	3.55	93.0	0.00	3.30	0.00	3.30
01/31/2018	#000000000602704	BISWAS, FRANKLIN TEMPLETON FUNDS CALIF TAX	0.00	24.78	93.0	0.00	23.05	0.00	23.05
01/31/2018	#000000000603163	SHINDE, FRANKLIN TEMPLETON FUNDS CALIF TAX	0.00	26.95	93.0	0.00	25.06	0.00	25.06
01/31/2018	#000000000603365	SHARMA, FRANKLIN TEMPLETON FUNDS CALIF TAX	0.00	21.40	93.0	0.00	19.90	0.00	19.90
01/31/2018	#000000000607349	DADHANIA, FRANKLIN TEMPLETON FUNDS CALIF TAX	0.00	12.23	93.0	0.00	11.37	0.00	11.37
01/31/2018	#000000000611475	BHAKTA, FRANKLIN TEMPLETON FUNDS CALIF TAX	0.00	387.09	93.0	0.00	359.99	0.00	359.99
01/31/2018	#000000000618280	ARGADE, FRANKLIN TEMPLETON FUNDS CUST FDS I	0.00	53.35	93.0	0.00	49.62	0.00	49.62
01/31/2018	#000000000811745	FRKLN GOLD & PRECIOUS METALS FUND C	0.00	62.08	93.0	0.00	57.73	0.00	57.73
01/31/2018	#000000000854758	FRKLN GOLD & PRECIOUS METALS FUND C	0.00	11.64	93.0	0.00	10.83	0.00	10.83
01/31/2018	#000000000648788	MUTUAL FINANCIAL SERVICES FUND-CLAS	0.00	98.64	93.0	0.00	91.74	0.00	91.74
01/31/2018	#000000000648941	ARGADE, MUTUAL FINANCIAL SERVICES FUND-CLAS	0.00	100.36	93.0	0.00	93.33	0.00	93.33
01/31/2018	#000000000104947	HUSSAMARV TEM EMERGING MARKETS SMALL CAP FD C	0.00	13.25	93.0	0.00	12.32	0.00	12.32
01/31/2018	#000000000104962	HUSSASEHA TEM EMERGING MARKETS SMALL CAP FD C	0.00	7.19	93.0	0.00	6.69	0.00	6.69
01/31/2018	#000000000104974	HUSSAMARV TEM EMERGING MARKETS SMALL CAP FD C	0.00	13.25	93.0	0.00	12.32	0.00	12.32
01/31/2018	#000000000105066	BRICKER, TEM EMERGING MARKETS SMALL CAP FD C	0.00	7.03	93.0	0.00	6.54	0.00	6.54
01/31/2018	#000000000007070	MARTINEZ, TEM INTERNATIONAL BOND FUND - CLASS	0.00	48.97	93.0	0.00	45.54	0.00	45.54
01/31/2018	#0000000001725100	HUSSAMARV TEMPLETON DEV MRKTS TR FUND CLASS C	0.00	14.58	93.0	0.00	13.56	0.00	13.56
01/31/2018	#0000000001725112	HUSSASEHA TEMPLETON DEV MRKTS TR FUND CLASS C	0.00	4.06	93.0	0.00	3.78	0.00	3.78
01/31/2018	#0000000001725124	HUSSAMARV TEMPLETON DEV MRKTS TR FUND CLASS C	0.00	14.58	93.0	0.00	13.56	0.00	13.56
01/31/2018	#0000000001725148	BRICKER, TEMPLETON DEV MRKTS TR FUND CLASS C	0.00	7.38	93.0	0.00	6.86	0.00	6.86
01/31/2018	#000000000048203	ARGADE, TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	17.68	93.0	0.00	16.44	0.00	16.44
01/31/2018	#000000000095632	KHURANA, TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	5.23	93.0	0.00	4.86	0.00	4.86
01/31/2018	#000000000117388	CHATTERJEE, TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	95.71	93.0	0.00	89.01	0.00	89.01
01/31/2018	#000000000134813	HUSSASEHA TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	23.05	93.0	0.00	21.44	0.00	21.44
01/31/2018	#000000000153130	HUSSAMARV TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	9.20	93.0	0.00	8.56	0.00	8.56
01/31/2018	#000000000153142	HUSSAMARV TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	9.20	93.0	0.00	8.56	0.00	8.56
01/31/2018	#000000000154676	BRICKER, TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	0.36	93.0	0.00	0.33	0.00	0.33
02/07/2018	#01482511647	VARIOUS BORAD FA 529 INTERMED BOND PORT-CL A	0.00	0.06	93.0	0.00	0.06	0.00	0.06
02/07/2018	#01485867699	VARIOUS BORAD FA MEGA CAP STOCK FUND	0.00	13.60	93.0	0.00	12.65	0.00	12.65
02/07/2018	#01485867731	VARIOUS BORAD FA MEGA CAP STOCK FUND	0.00	15.70	93.0	0.00	14.60	0.00	14.60
02/07/2018	#01446367680	VARIOUS BORAD FA SMALL CAP GROWTH	0.00	27.53	93.0	0.00	25.60	0.00	25.60
02/07/2018	#01446368894	VARIOUS BORAD FA TELECOMMUNICATIONS FUND	0.00	0.51	93.0	0.00	0.47	0.00	0.47
02/07/2018	#01446368720	VARIOUS BORAD FA WORLD LARGE STOCK	0.00	5.96	93.0	0.00	5.54	0.00	5.54
02/07/2018	#01446368894	VARIOUS BORAD FIDELITY ADV CHINA REGION-CL C	0.00	5.13	93.0	0.00	4.77	0.00	4.77
02/07/2018	#01446368894	VARIOUS BORAD FIDELITY ADV COMM EQUIPMENT-CL C	0.00	9.53	93.0	0.00	8.86	0.00	8.86

COMMISSION STATEMENT for KEVIN BORAD

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>									
02/07/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV CONVERTIBLE SECURITIES	0.00	7.84	93.0	0.00	7.29	7.29
02/07/2018	#01488720515	VARIOUS BORAD	FIDELITY ADV DIVIDEND GROWTH FD-CL	0.00	0.21	93.0	0.00	0.20	0.20
02/07/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV EMERGING ASIA-CL C	0.00	4.29	93.0	0.00	3.99	3.99
02/07/2018	#00625301718	VARIOUS BORAD	FIDELITY ADV EMERGING MRKTS INC-CL	0.00	0.01	93.0	0.00	0.01	0.01
02/07/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV EMERGING MRKTS INC-CL	0.00	3.92	93.0	0.00	3.65	3.65
02/07/2018	#01457114138	VARIOUS BORAD	FIDELITY ADV FLOATING RATE HIGH INC	0.00	0.17	93.0	0.00	0.16	0.16
02/07/2018	#01475089957	VARIOUS BORAD	FIDELITY ADV FREEDOM 2050-CL C	0.00	1.45	93.0	0.00	1.35	1.35
02/07/2018	#01482544887	VARIOUS BORAD	FIDELITY ADV FREEDOM 2050-CL C	0.00	9.82	93.0	0.00	9.13	9.13
02/07/2018	#01446350454	VARIOUS BORAD	FIDELITY ADV FREEDOM 2050-CL C	0.00	35.61	93.0	0.00	33.12	33.12
02/07/2018	#01446369207	VARIOUS BORAD	FIDELITY ADV FREEDOM 2050-CL C	0.00	16.99	93.0	0.00	15.80	15.80
02/07/2018	#01446369256	VARIOUS BORAD	FIDELITY ADV FREEDOM 2050-CL C	0.00	7.22	93.0	0.00	6.71	6.71
02/07/2018	#01446368852	VARIOUS BORAD	FIDELITY ADV GLOBAL CAP APP-CL C	0.00	36.00	93.0	0.00	33.48	33.48
02/07/2018	#01467041008	VARIOUS BORAD	FIDELITY ADV GOLD-CL C	0.00	7.19	93.0	0.00	6.69	6.69
02/07/2018	#01477917494	VARIOUS BORAD	FIDELITY ADV GOLD-CL C	0.00	11.45	93.0	0.00	10.65	10.65
02/07/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV HIGH INCOME ADVANTAGE-	0.00	3.97	93.0	0.00	3.69	3.69
02/07/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV INDUSTRIALS-CL C	0.00	11.71	93.0	0.00	10.89	10.89
02/07/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV MID CAP-CL C	0.00	5.35	93.0	0.00	4.98	4.98
02/07/2018	#01446368720	VARIOUS BORAD	FIDELITY ADV NEW INSIGHTS-CL A	0.00	6.16	93.0	0.00	5.73	5.73
02/07/2018	#01446368720	VARIOUS BORAD	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	5.29	93.0	0.00	4.92	4.92
02/07/2018	#01439826940	VARIOUS BORAD	FIDELITY ADV STRATEGIC INCOME-CL C	0.00	8.10	93.0	0.00	7.53	7.53
02/07/2018	#01439826965	VARIOUS BORAD	FIDELITY ADV STRATEGIC INCOME-CL C	0.00	5.76	93.0	0.00	5.36	5.36
02/07/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV STRATEGIC INCOME-CL C	0.00	6.08	93.0	0.00	5.65	5.65
02/07/2018	#01457114138	VARIOUS BORAD	FIDELITY ADV TOTAL INTL EQUITY-CL C	0.00	2.98	93.0	0.00	2.77	2.77
02/07/2018	#01457114138	VARIOUS BORAD	FIDELITY ADV WORLDWIDE-CL C	0.00	9.33	93.0	0.00	8.68	8.68
02/07/2018	#01446368852	VARIOUS BORAD	FIDELITY ADVISOR DIVIDEND GROWTH	0.00	15.56	93.0	0.00	14.47	14.47
02/07/2018	#01446368720	VARIOUS BORAD	FIDELITY ADVISOR EMERGING MARKET FU	0.00	6.63	93.0	0.00	6.17	6.17
02/07/2018	#01446368852	VARIOUS BORAD	FIDELITY ADVISOR EMERGING MARKETS F	0.00	34.99	93.0	0.00	32.54	32.54
02/07/2018	#01446368894	VARIOUS BORAD	FIDELITY ADVISOR FOCUS FUNDS HEALTH	0.00	0.46	93.0	0.00	0.43	0.43
02/07/2018	#01446367680	VARIOUS BORAD	FIDELITY ADVISOR LARGE CAP	0.00	26.29	93.0	0.00	24.45	24.45
02/07/2018	#01446368894	VARIOUS BORAD	FIDELITY ADVISOR LATIN AMERICA FUND	0.00	3.19	93.0	0.00	2.97	2.97
02/07/2018	#01488720515	VARIOUS BORAD	FIDELITY ADVISOR SER I LEVERAGED CO	0.00	0.20	93.0	0.00	0.19	0.19
02/07/2018	#01446368894	VARIOUS BORAD	FIDELITY ADVISOR SER VII BIOTECHNOL	0.00	0.39	93.0	0.00	0.36	0.36
02/07/2018	#01446368894	VARIOUS BORAD	FIDELITY ADVISOR SER VII TECHNOLOGY	0.00	0.75	93.0	0.00	0.70	0.70
02/07/2018	#01457786992	VARIOUS BORAD	FIDELITY ADVISOR STRATEGIC INCOME F	0.00	0.31	93.0	0.00	0.29	0.29
02/07/2018	#01446367680	VARIOUS BORAD	FIDELITY MID CAP VALUE	0.00	23.57	93.0	0.00	21.92	21.92
02/07/2018	#01482544838	VARIOUS BORAD	FIDELITY TARGET DATE 2055	0.00	4.71	93.0	0.00	4.38	4.38

COMMISSION STATEMENT for KEVIN BORAD

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

02/07/2018	#01446368894	VARIOUS BORAD	TREASURY FUND ADVISOR-CL C	0.00	1.80	93.0	0.00	1.67	0.00	1.67
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$15,820.35	\$7,164.74		\$0.00	\$6,663.25	\$0.00	\$6,663.25
*** BROKER TRANSACTIONS TOTAL ***				\$61,753.50	\$7,958.40		\$0.00	\$7,401.35	\$0.00	\$7,401.35

ADJUSTMENTS

02/20/2018	ADMIN FEE: ADMIN FEE	-320.00
02/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
*** ADJUSTMENTS TOTAL ***		<hr/> \$-499.00

BROKER COMMISSION TOTALS

Broker Transactions	\$7,401.35
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-499.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$6,902.35
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