

All Companies
STATEMENT
July 20, 2018

VASTU SHAH
1725 Burgoyne Ct
SUITE 620
Chesterbrook, PA 19087

BROKER #: 216
BRANCH: LA BRANCH

COMMISSION STATEMENT for VASTU SHAH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---------------------------------------|--------------|--------------|-------------------------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | | |
| 05/30/2018 | #03900189779 | SAINI, VIPUL | FIDELITY ADV EUROPE FUND CLASS C | 48.08 | 0.48 | 93.0 | 0.00 | 0.45 | 0.45 |
| 05/30/2018 | #03900189779 | SAINI, VIPUL | FIDELITY ADV FREEDOM 2020-CL C | 96.16 | 0.96 | 93.0 | 0.00 | 0.89 | 0.89 |
| 05/30/2018 | #03900189779 | SAINI, VIPUL | FIDELITY ADV FREEDOM 2025 CL C | 96.15 | 0.96 | 93.0 | 0.00 | 0.89 | 0.89 |
| 05/30/2018 | #01484642127 | | FIDELITY ADV GLOBAL CAP APP-CL C | 17.30 | 0.17 | 93.0 | 0.00 | 0.16 | 0.16 |
| 05/30/2018 | #01484642077 | MENGWEWENDE | FIDELITY ADV GLOBAL CAP APP-CL C | 10.67 | 0.11 | 93.0 | 0.00 | 0.10 | 0.10 |
| 05/30/2018 | #03900189779 | SAINI, VIPUL | FIDELITY ADV INT'L CAPITAL APP CL C | 96.15 | 0.96 | 93.0 | 0.00 | 0.89 | 0.89 |
| 05/30/2018 | #01484642051 | HERSHLORR | FIDELITY ADVISOR FOCUS FUNDS HEALTH | 81.89 | 0.82 | 93.0 | 0.00 | 0.76 | 0.76 |
| 05/30/2018 | #01484641962 | FILOPDIANL | FIDELITY ADVISOR FOCUS FUNDS HEALTH | 61.20 | 0.61 | 93.0 | 0.00 | 0.57 | 0.57 |
| 05/30/2018 | #03900189779 | SAINI, VIPUL | FIDELITY ADVISOR FOCUS FUNDS HEALTH | 96.15 | 0.96 | 93.0 | 0.00 | 0.89 | 0.89 |
| 05/30/2018 | #01484642077 | MENGWEWENDE | FIDELITY ADVISOR FOCUS FUNDS HEALTH | 21.33 | 0.21 | 93.0 | 0.00 | 0.20 | 0.20 |
| 05/30/2018 | #01484642051 | HERSHLORR | FIDELITY ADVISOR SER VII BIOTECHNOL | 81.89 | 0.82 | 93.0 | 0.00 | 0.76 | 0.76 |
| 05/30/2018 | #01484641962 | FILOPDIANL | FIDELITY ADVISOR SER VII BIOTECHNOL | 61.20 | 0.61 | 93.0 | 0.00 | 0.57 | 0.57 |
| 05/30/2018 | #01484642077 | MENGWEWENDE | FIDELITY ADVISOR SER VII BIOTECHNOL | 16.00 | 0.16 | 93.0 | 0.00 | 0.15 | 0.15 |
| 05/30/2018 | #01484642077 | MENGWEWENDE | FIDELITY ADVISOR SER VIII GLOBAL EQ | 10.65 | 0.11 | 93.0 | 0.00 | 0.10 | 0.10 |
| 05/30/2018 | #01484642051 | HERSHLORR | FIDELITY ADVISOR SER VIII GLOBAL EQ | 81.88 | 0.82 | 93.0 | 0.00 | 0.76 | 0.76 |
| 05/30/2018 | #01484642127 | | FIDELITY MID CAP VALUE | 10.38 | 0.10 | 93.0 | 0.00 | 0.09 | 0.09 |
| 05/30/2018 | #01484642077 | MENGWEWENDE | FIDELITY MID CAP VALUE | 21.33 | 0.21 | 93.0 | 0.00 | 0.20 | 0.20 |
| 05/30/2018 | #01484642127 | | FIDELITY SMALL CAP BLEND | 6.92 | 0.07 | 93.0 | 0.00 | 0.07 | 0.07 |
| 05/30/2018 | #01484642077 | MENGWEWENDE | FIDELITY SMALL CAP BLEND | 16.00 | 0.16 | 93.0 | 0.00 | 0.15 | 0.15 |
| 05/30/2018 | #01484642051 | HERSHLORR | FIDELITY VALUE FUND | 81.89 | 0.82 | 93.0 | 0.00 | 0.76 | 0.76 |
| 05/30/2018 | #01484641962 | FILOPDIANL | FIDELITY VALUE FUND | 61.20 | 0.61 | 93.0 | 0.00 | 0.57 | 0.57 |
| 05/30/2018 | #01484642127 | | FIDELITY VALUE FUND | 21.63 | 0.22 | 93.0 | 0.00 | 0.20 | 0.20 |
| 05/30/2018 | #01484642077 | MENGWEWENDE | FIDELITY VALUE FUND | 10.67 | 0.11 | 93.0 | 0.00 | 0.10 | 0.10 |
| 05/30/2018 | #03900189779 | SAINI, VIPUL | FIDLEITY INTERMEDIATE | 48.08 | 0.48 | 93.0 | 0.00 | 0.45 | 0.45 |
| 05/30/2018 | #01484642127 | | FIDLEITY INTERMEDIATE | 30.28 | 0.30 | 93.0 | 0.00 | 0.28 | 0.28 |
| 05/30/2018 | #01484642051 | HERSHLORR | FIDLEITY INTERMEDIATE | 81.89 | 0.82 | 93.0 | 0.00 | 0.76 | 0.76 |
| 05/30/2018 | #01484641962 | FILOPDIANL | FIDLEITY INTERMEDIATE | 61.20 | 0.61 | 93.0 | 0.00 | 0.57 | 0.57 |
| 06/04/2018 | # | VORA, VASANT | FIDELITY PURITAN FUND | 116,103.87 | 0.00 | 93.0 | 0.00 | 0.00 | -20.00 |

COMMISSION STATEMENT for VASTU SHAH

| 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> | | | | | | | | | |
| 06/04/2018 | #000000000356752 | FRANKLIN STRATEGIC SER NAT RES FD C | 322.83 | 3.23 | 93.0 | 0.00 | 3.00 | 0.00 | 3.00 |
| 06/04/2018 | #000000000869786 | ELANCHENNY, FRKLN GOLD & PRECIOUS METALS FUND C | 500.00 | 5.00 | 93.0 | 0.00 | 4.65 | 0.00 | 4.65 |
| 06/04/2018 | # VORA, VASANT | HEARTLAND VALUE FUND INC | 85,564.17 | 0.00 | 93.0 | 0.00 | 0.00 | 20.00 | -20.00 |
| 06/04/2018 | #000000000645010 | MUTUAL FINANCIAL SERVICES FUND-CLAS | 322.83 | 3.23 | 93.0 | 0.00 | 3.00 | 0.00 | 3.00 |
| 06/06/2018 | # VORA, VASANT | MORGAN STANLEY 61760X414 | 58,100.00 | 581.00 | 93.0 | 0.00 | 540.33 | 20.00 | 520.33 |
| 06/06/2018 | # VORA, VASANT | MORGAN STANLEY 61762C202 | 58,000.00 | 580.00 | 93.0 | 0.00 | 539.40 | 20.00 | 519.40 |
| 06/11/2018 | #03900189779 | SAINI, VIPUL FIDELITY ADV EUROPE FUND CLASS C | 48.08 | 0.48 | 93.0 | 0.00 | 0.45 | 0.00 | 0.45 |
| 06/11/2018 | #03900189779 | SAINI, VIPUL FIDELITY ADV FREEDOM 2020-CL C | 96.16 | 0.96 | 93.0 | 0.00 | 0.89 | 0.00 | 0.89 |
| 06/11/2018 | #03900189779 | SAINI, VIPUL FIDELITY ADV FREEDOM 2025 CL C | 96.15 | 0.96 | 93.0 | 0.00 | 0.89 | 0.00 | 0.89 |
| 06/11/2018 | #01484642127 | FIDELITY ADV GLOBAL CAP APP-CL C | 16.67 | 0.17 | 93.0 | 0.00 | 0.16 | 0.00 | 0.16 |
| 06/11/2018 | #01484642077 | MENGWEWENDE FIDELITY ADV GLOBAL CAP APP-CL C | 6.69 | 0.07 | 93.0 | 0.00 | 0.07 | 0.00 | 0.07 |
| 06/11/2018 | #03900189779 | SAINI, VIPUL FIDELITY ADV INT'L CAPITAL APP CL C | 96.15 | 0.96 | 93.0 | 0.00 | 0.89 | 0.00 | 0.89 |
| 06/11/2018 | #03900189779 | SAINI, VIPUL FIDELITY ADVISOR FOCUS FUNDS HEALTH | 96.15 | 0.96 | 93.0 | 0.00 | 0.89 | 0.00 | 0.89 |
| 06/11/2018 | #01484642077 | MENGWEWENDE FIDELITY ADVISOR FOCUS FUNDS HEALTH | 13.37 | 0.13 | 93.0 | 0.00 | 0.12 | 0.00 | 0.12 |
| 06/11/2018 | #01484642051 | HERSHLORR FIDELITY ADVISOR FOCUS FUNDS HEALTH | 44.78 | 0.45 | 93.0 | 0.00 | 0.42 | 0.00 | 0.42 |
| 06/11/2018 | #01484641962 | FILOPDIANL FIDELITY ADVISOR FOCUS FUNDS HEALTH | 65.25 | 0.65 | 93.0 | 0.00 | 0.60 | 0.00 | 0.60 |
| 06/11/2018 | #01484642077 | MENGWEWENDE FIDELITY ADVISOR SER VII BIOTECHNOL | 10.03 | 0.10 | 93.0 | 0.00 | 0.09 | 0.00 | 0.09 |
| 06/11/2018 | #01484642051 | HERSHLORR FIDELITY ADVISOR SER VII BIOTECHNOL | 44.78 | 0.45 | 93.0 | 0.00 | 0.42 | 0.00 | 0.42 |
| 06/11/2018 | #01484641962 | FILOPDIANL FIDELITY ADVISOR SER VII BIOTECHNOL | 65.25 | 0.65 | 93.0 | 0.00 | 0.60 | 0.00 | 0.60 |
| 06/11/2018 | #01484642077 | MENGWEWENDE FIDELITY ADVISOR SER VIII GLOBAL EQ | 6.67 | 0.07 | 93.0 | 0.00 | 0.07 | 0.00 | 0.07 |
| 06/11/2018 | #01484642051 | HERSHLORR FIDELITY ADVISOR SER VIII GLOBAL EQ | 44.79 | 0.45 | 93.0 | 0.00 | 0.42 | 0.00 | 0.42 |
| 06/11/2018 | #01484642127 | FIDELITY MID CAP VALUE | 9.99 | 0.10 | 93.0 | 0.00 | 0.09 | 0.00 | 0.09 |
| 06/11/2018 | #01484642077 | MENGWEWENDE FIDELITY MID CAP VALUE | 13.37 | 0.13 | 93.0 | 0.00 | 0.12 | 0.00 | 0.12 |
| 06/11/2018 | #01484642127 | FIDELITY SMALL CAP BLEND | 6.67 | 0.07 | 93.0 | 0.00 | 0.07 | 0.00 | 0.07 |
| 06/11/2018 | #01484642077 | MENGWEWENDE FIDELITY SMALL CAP BLEND | 10.03 | 0.10 | 93.0 | 0.00 | 0.09 | 0.00 | 0.09 |
| 06/11/2018 | #01484642127 | FIDELITY VALUE FUND | 20.84 | 0.21 | 93.0 | 0.00 | 0.20 | 0.00 | 0.20 |
| 06/11/2018 | #01484642077 | MENGWEWENDE FIDELITY VALUE FUND | 6.69 | 0.07 | 93.0 | 0.00 | 0.07 | 0.00 | 0.07 |
| 06/11/2018 | #01484642051 | HERSHLORR FIDELITY VALUE FUND | 44.78 | 0.45 | 93.0 | 0.00 | 0.42 | 0.00 | 0.42 |
| 06/11/2018 | #01484641962 | FILOPDIANL FIDELITY VALUE FUND | 65.25 | 0.65 | 93.0 | 0.00 | 0.60 | 0.00 | 0.60 |
| 06/11/2018 | #01484642051 | HERSHLORR FIDLEITY INTERMEDIATE | 44.78 | 0.45 | 93.0 | 0.00 | 0.42 | 0.00 | 0.42 |
| 06/11/2018 | #01484641962 | FILOPDIANL FIDLEITY INTERMEDIATE | 65.25 | 0.65 | 93.0 | 0.00 | 0.60 | 0.00 | 0.60 |
| 06/11/2018 | #03900189779 | SAINI, VIPUL FIDLEITY INTERMEDIATE | 48.08 | 0.48 | 93.0 | 0.00 | 0.45 | 0.00 | 0.45 |
| 06/11/2018 | #01484642127 | FIDLEITY INTERMEDIATE | 29.17 | 0.29 | 93.0 | 0.00 | 0.27 | 0.00 | 0.27 |
| 06/19/2018 | #000000000356752 | FRANKLIN STRATEGIC SER NAT RES FD C | 322.83 | 3.23 | 93.0 | 0.00 | 3.00 | 0.00 | 3.00 |
| 06/19/2018 | #000000000869786 | ELANCHENNY, FRKLN GOLD & PRECIOUS METALS FUND C | 500.00 | 5.00 | 93.0 | 0.00 | 4.65 | 0.00 | 4.65 |
| 06/19/2018 | #000000000645010 | MUTUAL FINANCIAL SERVICES FUND-CLAS | 322.83 | 3.23 | 93.0 | 0.00 | 3.00 | 0.00 | 3.00 |

COMMISSION STATEMENT for VASTU SHAH

| 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> | | | | | | | | | |
| 06/25/2018 | #03900189779 SAINI, VIPUL | FIDELITY ADV EUROPE FUND CLASS C | 48.08 | 0.48 | 93.0 | 0.00 | 0.45 | 0.00 | 0.45 |
| 06/25/2018 | #03900189779 SAINI, VIPUL | FIDELITY ADV FREEDOM 2020-CL C | 96.16 | 0.96 | 93.0 | 0.00 | 0.89 | 0.00 | 0.89 |
| 06/25/2018 | #03900189779 SAINI, VIPUL | FIDELITY ADV FREEDOM 2025 CL C | 96.15 | 0.96 | 93.0 | 0.00 | 0.89 | 0.00 | 0.89 |
| 06/25/2018 | #01484642077 MENGEWENDE | FIDELITY ADV GLOBAL CAP APP-CL C | 12.10 | 0.12 | 93.0 | 0.00 | 0.11 | 0.00 | 0.11 |
| 06/25/2018 | #01484642127 | FIDELITY ADV GLOBAL CAP APP-CL C | 23.95 | 0.24 | 93.0 | 0.00 | 0.22 | 0.00 | 0.22 |
| 06/25/2018 | #03900189779 SAINI, VIPUL | FIDELITY ADV INT'L CAPITAL APP CL C | 96.15 | 0.96 | 93.0 | 0.00 | 0.89 | 0.00 | 0.89 |
| 06/25/2018 | #01484641962 FILOPDIANL | FIDELITY ADVISOR FOCUS FUNDS HEALTH | 72.00 | 0.72 | 93.0 | 0.00 | 0.67 | 0.00 | 0.67 |
| 06/25/2018 | #01484642051 HERSHLORR | FIDELITY ADVISOR FOCUS FUNDS HEALTH | 87.86 | 0.88 | 93.0 | 0.00 | 0.82 | 0.00 | 0.82 |
| 06/25/2018 | #01484642077 MENGEWENDE | FIDELITY ADVISOR FOCUS FUNDS HEALTH | 24.20 | 0.24 | 93.0 | 0.00 | 0.22 | 0.00 | 0.22 |
| 06/25/2018 | #03900189779 SAINI, VIPUL | FIDELITY ADVISOR FOCUS FUNDS HEALTH | 96.15 | 0.96 | 93.0 | 0.00 | 0.89 | 0.00 | 0.89 |
| 06/25/2018 | #01484641962 FILOPDIANL | FIDELITY ADVISOR SER VII BIOTECHNOL | 72.00 | 0.72 | 93.0 | 0.00 | 0.67 | 0.00 | 0.67 |
| 06/25/2018 | #01484642051 HERSHLORR | FIDELITY ADVISOR SER VII BIOTECHNOL | 87.86 | 0.88 | 93.0 | 0.00 | 0.82 | 0.00 | 0.82 |
| 06/25/2018 | #01484642077 MENGEWENDE | FIDELITY ADVISOR SER VII BIOTECHNOL | 18.15 | 0.18 | 93.0 | 0.00 | 0.17 | 0.00 | 0.17 |
| 06/25/2018 | #01484642051 HERSHLORR | FIDELITY ADVISOR SER VIII GLOBAL EQ | 87.85 | 0.88 | 93.0 | 0.00 | 0.82 | 0.00 | 0.82 |
| 06/25/2018 | #01484642077 MENGEWENDE | FIDELITY ADVISOR SER VIII GLOBAL EQ | 12.08 | 0.12 | 93.0 | 0.00 | 0.11 | 0.00 | 0.11 |
| 06/25/2018 | #01484642077 MENGEWENDE | FIDELITY MID CAP VALUE | 24.20 | 0.24 | 93.0 | 0.00 | 0.22 | 0.00 | 0.22 |
| 06/25/2018 | #01484642127 | FIDELITY MID CAP VALUE | 14.36 | 0.14 | 93.0 | 0.00 | 0.13 | 0.00 | 0.13 |
| 06/25/2018 | #01484642077 MENGEWENDE | FIDELITY SMALL CAP BLEND | 18.15 | 0.18 | 93.0 | 0.00 | 0.17 | 0.00 | 0.17 |
| 06/25/2018 | #01484642127 | FIDELITY SMALL CAP BLEND | 9.58 | 0.10 | 93.0 | 0.00 | 0.09 | 0.00 | 0.09 |
| 06/25/2018 | #01484641962 FILOPDIANL | FIDELITY VALUE FUND | 72.00 | 0.72 | 93.0 | 0.00 | 0.67 | 0.00 | 0.67 |
| 06/25/2018 | #01484642051 HERSHLORR | FIDELITY VALUE FUND | 87.86 | 0.88 | 93.0 | 0.00 | 0.82 | 0.00 | 0.82 |
| 06/25/2018 | #01484642077 MENGEWENDE | FIDELITY VALUE FUND | 12.10 | 0.12 | 93.0 | 0.00 | 0.11 | 0.00 | 0.11 |
| 06/25/2018 | #01484642127 | FIDELITY VALUE FUND | 29.94 | 0.30 | 93.0 | 0.00 | 0.28 | 0.00 | 0.28 |
| 06/25/2018 | #01484641962 FILOPDIANL | FIDLEITY INTERMEDIATE | 72.00 | 0.72 | 93.0 | 0.00 | 0.67 | 0.00 | 0.67 |
| 06/25/2018 | #01484642051 HERSHLORR | FIDLEITY INTERMEDIATE | 87.86 | 0.88 | 93.0 | 0.00 | 0.82 | 0.00 | 0.82 |
| 06/25/2018 | #01484642127 | FIDLEITY INTERMEDIATE | 41.91 | 0.42 | 93.0 | 0.00 | 0.39 | 0.00 | 0.39 |
| 06/25/2018 | #03900189779 SAINI, VIPUL | FIDLEITY INTERMEDIATE | 48.08 | 0.48 | 93.0 | 0.00 | 0.45 | 0.00 | 0.45 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$323,952.18 | \$1,222.83 | | \$0.00 | \$1,137.21 | \$80.00 | \$1,057.21 |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | | |
| 06/01/2018 | # PATEL, PRAVIN | TATA MOTORS LTD SPONSORED ADR | 21,407.00 | 50.00 | 85.0 | 0.00 | 42.50 | 19.95 | 22.55 |
| 06/13/2018 | # BHATT, UMA | AT&T INC | 3,228.99 | 10.00 | 85.0 | 0.00 | 8.50 | 19.95 | -11.45 |
| 06/13/2018 | # ELANCHENNY, VYTHILINGAM | VODAFONE GROUP PLC SPONSORED ADR NO | 5,879.55 | 10.00 | 85.0 | 0.00 | 8.50 | 19.95 | -11.45 |
| 06/14/2018 | # PATEL, PRAVIN | ARCELORMITTAL NEW YORK REGISTRY SHA | 11,175.51 | 10.00 | 85.0 | 0.00 | 8.50 | 19.95 | -11.45 |
| 06/14/2018 | # PATEL, PRAVIN | SPRINT CORPORATION COM SER 1 | 3,774.40 | 5.00 | 85.0 | 0.00 | 4.25 | 19.95 | -15.70 |
| 06/15/2018 | # PATEL, PRAVIN | COMCAST CORP NEW CL A | 17,023.50 | 20.00 | 85.0 | 0.00 | 17.00 | 19.95 | -2.95 |

COMMISSION STATEMENT for VASTU SHAH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---|-------------------------|------------------------------------|-----------------------|---------------------|------|---------------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | | |
| 06/18/2018 # | PATEL, PRAVIN | MICRON TECHNOLOGY INC | 28,484.31 | 15.00 | 85.0 | 0.00 | 12.75 | 19.95 | -7.20 |
| 06/20/2018 # | ELANCHENNY, VYTHILINGAM | KEYCORP NEW | 20,572.50 | 90.00 | 85.0 | 0.00 | 76.50 | 19.95 | 56.55 |
| * STOCKS SUBTOTAL * | | | \$111,545.76 | \$210.00 | | \$0.00 | \$178.50 | \$159.60 | \$18.90 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | | |
| 05/01/0018 #1326880000 | COMPREHENSIVE | JOHN HANCOCK ARA | 1,560,607.13 | 648.76 | 93.0 | 0.00 | 603.35 | 0.00 | 603.35 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$1,560,607.13 | \$648.76 | | \$0.00 | \$603.35 | \$0.00 | \$603.35 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 06/01/2018 #00082574591 | | AMCAP FUND INC CLASS A | 0.00 | 8.52 | 93.0 | 0.00 | 7.92 | 0.00 | 7.92 |
| 06/01/2018 #00073593614 | RICHMAN, BARRY | AMERICAN BALANCED FUND INC CL C | 0.00 | 18.04 | 93.0 | 0.00 | 16.78 | 0.00 | 16.78 |
| 06/01/2018 #00073594160 | RICHMAN, BARRY | AMERICAN BALANCED FUND INC CL C | 0.00 | 18.04 | 93.0 | 0.00 | 16.78 | 0.00 | 16.78 |
| 06/01/2018 #00073593614 | RICHMAN, BARRY | AMERICAN BALANCED FUND INC CLASS A | 0.00 | 16.44 | 93.0 | 0.00 | 15.29 | 0.00 | 15.29 |
| 06/01/2018 #00073594160 | RICHMAN, BARRY | AMERICAN BALANCED FUND INC CLASS A | 0.00 | 16.68 | 93.0 | 0.00 | 15.51 | 0.00 | 15.51 |
| 06/01/2018 #00073593614 | RICHMAN, BARRY | AMERICAN BALANCED FUND-F1 | 0.00 | 0.98 | 93.0 | 0.00 | 0.91 | 0.00 | 0.91 |
| 06/01/2018 #00073594160 | RICHMAN, BARRY | AMERICAN BALANCED FUND-F1 | 0.00 | 0.98 | 93.0 | 0.00 | 0.91 | 0.00 | 0.91 |
| 06/01/2018 #00073593614 | RICHMAN, BARRY | AMERICAN FUNDS 026547406 | 0.00 | 0.72 | 93.0 | 0.00 | 0.67 | 0.00 | 0.67 |
| 06/01/2018 #00073594160 | RICHMAN, BARRY | AMERICAN FUNDS 026547406 | 0.00 | 0.72 | 93.0 | 0.00 | 0.67 | 0.00 | 0.67 |
| 06/01/2018 #00073593614 | RICHMAN, BARRY | AMERICAN FUNDS 140541400 | 0.00 | 0.60 | 93.0 | 0.00 | 0.56 | 0.00 | 0.56 |
| 06/01/2018 #00073594160 | RICHMAN, BARRY | AMERICAN FUNDS 140541400 | 0.00 | 0.60 | 93.0 | 0.00 | 0.56 | 0.00 | 0.56 |
| 06/01/2018 #00073593614 | RICHMAN, BARRY | AMERICAN HIGH INCOME TR CL C | 0.00 | 7.45 | 93.0 | 0.00 | 6.93 | 0.00 | 6.93 |
| 06/01/2018 #00073594160 | RICHMAN, BARRY | AMERICAN HIGH INCOME TR CL C | 0.00 | 7.45 | 93.0 | 0.00 | 6.93 | 0.00 | 6.93 |
| 06/01/2018 #00073593614 | RICHMAN, BARRY | AMERICAN MUTUAL FUND INC CL C | 0.00 | 4.97 | 93.0 | 0.00 | 4.62 | 0.00 | 4.62 |
| 06/01/2018 #00073594160 | RICHMAN, BARRY | AMERICAN MUTUAL FUND INC CL C | 0.00 | 4.97 | 93.0 | 0.00 | 4.62 | 0.00 | 4.62 |
| 06/01/2018 #00073594160 | RICHMAN, BARRY | AMERICAN MUTUAL FUND INC CLASS A | 0.00 | 14.18 | 93.0 | 0.00 | 13.19 | 0.00 | 13.19 |
| 06/01/2018 #00082574591 | | AMERICAN MUTUAL FUND INC CLASS A | 0.00 | 13.31 | 93.0 | 0.00 | 12.38 | 0.00 | 12.38 |
| 06/01/2018 #00087151642 | | AMERICAN MUTUAL FUND INC CLASS A | 0.00 | 16.59 | 93.0 | 0.00 | 15.43 | 0.00 | 15.43 |
| 06/01/2018 #00087151662 | | AMERICAN MUTUAL FUND INC CLASS A | 0.00 | 3.28 | 93.0 | 0.00 | 3.05 | 0.00 | 3.05 |
| 06/01/2018 #00073593614 | RICHMAN, BARRY | BOND FUND AMER INC CL C | 0.00 | 5.39 | 93.0 | 0.00 | 5.01 | 0.00 | 5.01 |
| 06/01/2018 #00073594160 | RICHMAN, BARRY | BOND FUND AMER INC CL C | 0.00 | 5.39 | 93.0 | 0.00 | 5.01 | 0.00 | 5.01 |
| 06/01/2018 #00073593614 | RICHMAN, BARRY | CAPITAL INCOME BLDR FUND CL C | 0.00 | 23.88 | 93.0 | 0.00 | 22.21 | 0.00 | 22.21 |
| 06/01/2018 #00073594160 | RICHMAN, BARRY | CAPITAL INCOME BLDR FUND CL C | 0.00 | 23.88 | 93.0 | 0.00 | 22.21 | 0.00 | 22.21 |
| 06/01/2018 #00073593614 | RICHMAN, BARRY | CAPITAL INCOME BUILDER FD CL F-1 | 0.00 | 2.38 | 93.0 | 0.00 | 2.21 | 0.00 | 2.21 |
| 06/01/2018 #00073594160 | RICHMAN, BARRY | CAPITAL INCOME BUILDER FD CL F-1 | 0.00 | 2.38 | 93.0 | 0.00 | 2.21 | 0.00 | 2.21 |
| 06/01/2018 #00073593614 | RICHMAN, BARRY | CAPITAL WORLD BOND FUND-C | 0.00 | 11.33 | 93.0 | 0.00 | 10.54 | 0.00 | 10.54 |
| 06/01/2018 #00073594160 | RICHMAN, BARRY | CAPITAL WORLD BOND FUND-C | 0.00 | 11.33 | 93.0 | 0.00 | 10.54 | 0.00 | 10.54 |

COMMISSION STATEMENT for VASTU SHAH

| 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> | | | | | | | | | |
| 06/01/2018 | #00073593614 | RICHMAN, BARRY | CAPITAL WORLD GROWTH & INCOME FUND | 0.00 | 16.07 | 93.0 | 0.00 | 14.95 | 14.95 |
| 06/01/2018 | #00073594160 | RICHMAN, BARRY | CAPITAL WORLD GROWTH & INCOME FUND | 0.00 | 16.07 | 93.0 | 0.00 | 14.95 | 14.95 |
| 06/01/2018 | #00087151642 | | CAPITAL WORLD GROWTH & INCOME FUND | 0.00 | 44.24 | 93.0 | 0.00 | 41.14 | 41.14 |
| 06/01/2018 | #00087151662 | | CAPITAL WORLD GROWTH & INCOME FUND | 0.00 | 8.77 | 93.0 | 0.00 | 8.16 | 8.16 |
| 06/01/2018 | #00073593614 | RICHMAN, BARRY | CAPITAL WORLD GROWTH & INCOME FUND | 0.00 | 15.92 | 93.0 | 0.00 | 14.81 | 14.81 |
| 06/01/2018 | #00073594160 | RICHMAN, BARRY | CAPITAL WORLD GROWTH & INCOME FUND | 0.00 | 15.92 | 93.0 | 0.00 | 14.81 | 14.81 |
| 06/01/2018 | #00073593614 | RICHMAN, BARRY | CAPITAL WORLD GROWTH & INCOME FUND | 0.00 | 0.86 | 93.0 | 0.00 | 0.80 | 0.80 |
| 06/01/2018 | #00073594160 | RICHMAN, BARRY | CAPITAL WORLD GROWTH & INCOME FUND | 0.00 | 0.86 | 93.0 | 0.00 | 0.80 | 0.80 |
| 06/01/2018 | #00073593614 | RICHMAN, BARRY | DEVELOPING WORLD GROWTH & INCOME-C | 0.00 | 2.45 | 93.0 | 0.00 | 2.28 | 2.28 |
| 06/01/2018 | #00073594160 | RICHMAN, BARRY | DEVELOPING WORLD GROWTH & INCOME-C | 0.00 | 2.45 | 93.0 | 0.00 | 2.28 | 2.28 |
| 06/01/2018 | #00073593614 | RICHMAN, BARRY | EURO PAC GROWTH FUND CL C | 0.00 | 26.22 | 93.0 | 0.00 | 24.38 | 24.38 |
| 06/01/2018 | #00073594160 | RICHMAN, BARRY | EURO PAC GROWTH FUND CL C | 0.00 | 26.22 | 93.0 | 0.00 | 24.38 | 24.38 |
| 06/01/2018 | #00073593614 | RICHMAN, BARRY | EURO PAC GROWTH FUND CL F1 | 0.00 | 1.98 | 93.0 | 0.00 | 1.84 | 1.84 |
| 06/01/2018 | #00073594160 | RICHMAN, BARRY | EURO PAC GROWTH FUND CL F1 | 0.00 | 1.98 | 93.0 | 0.00 | 1.84 | 1.84 |
| 06/01/2018 | #00058617349 | | EURO PACIFIC GROWTH FUND CLASS A | 0.00 | 0.79 | 93.0 | 0.00 | 0.73 | 0.73 |
| 06/01/2018 | #00058617350 | | EURO PACIFIC GROWTH FUND CLASS A | 0.00 | 0.79 | 93.0 | 0.00 | 0.73 | 0.73 |
| 06/01/2018 | #00087151642 | | EURO PACIFIC GROWTH FUND CLASS A | 0.00 | 47.81 | 93.0 | 0.00 | 44.46 | 44.46 |
| 06/01/2018 | #00087151662 | | EURO PACIFIC GROWTH FUND CLASS A | 0.00 | 9.48 | 93.0 | 0.00 | 8.82 | 8.82 |
| 06/01/2018 | #00073593614 | RICHMAN, BARRY | FUNDAMENTAL INVS INC CL C | 0.00 | 10.74 | 93.0 | 0.00 | 9.99 | 9.99 |
| 06/01/2018 | #00073594160 | RICHMAN, BARRY | FUNDAMENTAL INVS INC CL C | 0.00 | 10.74 | 93.0 | 0.00 | 9.99 | 9.99 |
| 06/01/2018 | #00073593614 | RICHMAN, BARRY | FUNDAMENTAL INVS INC CL F1 | 0.00 | 2.53 | 93.0 | 0.00 | 2.35 | 2.35 |
| 06/01/2018 | #00073594160 | RICHMAN, BARRY | FUNDAMENTAL INVS INC CL F1 | 0.00 | 2.53 | 93.0 | 0.00 | 2.35 | 2.35 |
| 06/01/2018 | #00087151642 | | GLOBAL BALANCED FUND-A | 0.00 | 12.35 | 93.0 | 0.00 | 11.49 | 11.49 |
| 06/01/2018 | #00087151662 | | GLOBAL BALANCED FUND-A | 0.00 | 2.45 | 93.0 | 0.00 | 2.28 | 2.28 |
| 06/01/2018 | #00073593614 | RICHMAN, BARRY | GLOBAL BALANCED FUND-C | 0.00 | 3.67 | 93.0 | 0.00 | 3.41 | 3.41 |
| 06/01/2018 | #00073594160 | RICHMAN, BARRY | GLOBAL BALANCED FUND-C | 0.00 | 3.67 | 93.0 | 0.00 | 3.41 | 3.41 |
| 06/01/2018 | #00073593614 | RICHMAN, BARRY | INCOME FUND AMER INC CL F1 | 0.00 | 8.79 | 93.0 | 0.00 | 8.17 | 8.17 |
| 06/01/2018 | #00073594160 | RICHMAN, BARRY | INCOME FUND AMER INC CL F1 | 0.00 | 8.79 | 93.0 | 0.00 | 8.17 | 8.17 |
| 06/01/2018 | #00058617349 | | INCOME FUND OF AMERICA INC CLASS A | 0.00 | 3.49 | 93.0 | 0.00 | 3.25 | 3.25 |
| 06/01/2018 | #00058617350 | | INCOME FUND OF AMERICA INC CLASS A | 0.00 | 3.49 | 93.0 | 0.00 | 3.25 | 3.25 |
| 06/01/2018 | #00087151642 | | INTERNATIONAL GROWTH AND INCOME-A | 0.00 | 8.50 | 93.0 | 0.00 | 7.91 | 7.91 |
| 06/01/2018 | #00087151662 | | INTERNATIONAL GROWTH AND INCOME-A | 0.00 | 1.68 | 93.0 | 0.00 | 1.56 | 1.56 |
| 06/01/2018 | #00073593614 | RICHMAN, BARRY | INTERNATIONAL GROWTH AND INCOME-C | 0.00 | 5.11 | 93.0 | 0.00 | 4.75 | 4.75 |
| 06/01/2018 | #00073594160 | RICHMAN, BARRY | INTERNATIONAL GROWTH AND INCOME-C | 0.00 | 5.11 | 93.0 | 0.00 | 4.75 | 4.75 |
| 06/01/2018 | #00073593614 | RICHMAN, BARRY | INVESTMENT CO AMER CL C | 0.00 | 3.94 | 93.0 | 0.00 | 3.66 | 3.66 |
| 06/01/2018 | #00073594160 | RICHMAN, BARRY | INVESTMENT CO AMER CL C | 0.00 | 3.94 | 93.0 | 0.00 | 3.66 | 3.66 |

COMMISSION STATEMENT for VASTU SHAH

| 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> | | | | | | | | | |
| 06/01/2018 | #00058617349 | INVESTMENT CO AMER CLASS A | 0.00 | 35.45 | 93.0 | 0.00 | 32.97 | 0.00 | 32.97 |
| 06/01/2018 | #00058617350 | INVESTMENT CO AMER CLASS A | 0.00 | 24.34 | 93.0 | 0.00 | 22.64 | 0.00 | 22.64 |
| 06/01/2018 | #00063750181 | INVESTMENT CO AMER CLASS A | 0.00 | 23.59 | 93.0 | 0.00 | 21.94 | 0.00 | 21.94 |
| 06/01/2018 | #00063751738 | INVESTMENT CO AMER CLASS A | 0.00 | 23.62 | 93.0 | 0.00 | 21.97 | 0.00 | 21.97 |
| 06/01/2018 | #00073593614 RICHMAN, BARRY | INVESTMENT CO AMER CLASS A | 0.00 | 14.68 | 93.0 | 0.00 | 13.65 | 0.00 | 13.65 |
| 06/01/2018 | #00087151642 | INVESTMENT CO AMER CLASS A | 0.00 | 12.97 | 93.0 | 0.00 | 12.06 | 0.00 | 12.06 |
| 06/01/2018 | #00087151662 | INVESTMENT CO AMER CLASS A | 0.00 | 2.57 | 93.0 | 0.00 | 2.39 | 0.00 | 2.39 |
| 06/01/2018 | #00082574591 | NEW ECONOMY FUND SBI CLASS A | 0.00 | 5.90 | 93.0 | 0.00 | 5.49 | 0.00 | 5.49 |
| 06/01/2018 | #00087151642 | NEW WORLD FUND INC NEW | 0.00 | 47.10 | 93.0 | 0.00 | 43.80 | 0.00 | 43.80 |
| 06/01/2018 | #00087151662 | NEW WORLD FUND INC NEW | 0.00 | 9.34 | 93.0 | 0.00 | 8.69 | 0.00 | 8.69 |
| 06/01/2018 | #00073593614 RICHMAN, BARRY | NEW WORLD FUND INC NEW CL C | 0.00 | 2.49 | 93.0 | 0.00 | 2.32 | 0.00 | 2.32 |
| 06/01/2018 | #00073594160 RICHMAN, BARRY | NEW WORLD FUND INC NEW CL C | 0.00 | 2.49 | 93.0 | 0.00 | 2.32 | 0.00 | 2.32 |
| 06/01/2018 | #00073593614 RICHMAN, BARRY | WASHINGTON MUTUAL INVESTORS FUND-F1 | 0.00 | 2.32 | 93.0 | 0.00 | 2.16 | 0.00 | 2.16 |
| 06/01/2018 | #00073594160 RICHMAN, BARRY | WASHINGTON MUTUAL INVESTORS FUND-F1 | 0.00 | 2.32 | 93.0 | 0.00 | 2.16 | 0.00 | 2.16 |
| 06/01/2018 | #00058617349 | WASHINGTON MUTUAL INVS FD CLASS A | 0.00 | 0.86 | 93.0 | 0.00 | 0.80 | 0.00 | 0.80 |
| 06/01/2018 | #00058617350 | WASHINGTON MUTUAL INVS FD CLASS A | 0.00 | 0.84 | 93.0 | 0.00 | 0.78 | 0.00 | 0.78 |
| 06/01/2018 | #00082574591 | WASHINGTON MUTUAL INVS FD CLASS A | 0.00 | 27.31 | 93.0 | 0.00 | 25.40 | 0.00 | 25.40 |
| 06/06/2018 | # VORA, VASANT | DAIN TRAILER | 85,500.00 | 855.00 | 93.0 | 0.00 | 795.15 | 0.00 | 795.15 |
| 06/07/2018 | #03900189779 SAINI, VIPUL | FIDELITY ADV FREEDOM 2020-CL C | 0.00 | 0.14 | 93.0 | 0.00 | 0.13 | 0.00 | 0.13 |
| 06/07/2018 | #03900189786 SHAH-SAINI, | FIDELITY ADV FREEDOM 2020-CL C | 0.00 | 0.12 | 93.0 | 0.00 | 0.11 | 0.00 | 0.11 |
| 06/07/2018 | #03900189779 SAINI, VIPUL | FIDELITY ADV FREEDOM 2025 CL C | 0.00 | 0.13 | 93.0 | 0.00 | 0.12 | 0.00 | 0.12 |
| 06/07/2018 | #03900189786 SHAH-SAINI, | FIDELITY ADV FREEDOM 2025 CL C | 0.00 | 0.11 | 93.0 | 0.00 | 0.10 | 0.00 | 0.10 |
| 06/07/2018 | #01484642077 MENGEWENDE | FIDELITY ADV GLOBAL CAP APP-CL C | 0.00 | 0.45 | 93.0 | 0.00 | 0.42 | 0.00 | 0.42 |
| 06/07/2018 | #01484642127 | FIDELITY ADV GLOBAL CAP APP-CL C | 0.00 | 1.15 | 93.0 | 0.00 | 1.07 | 0.00 | 1.07 |
| 06/07/2018 | #01489645067 REDDY, PANNALA | FIDELITY ADV STRATEGIC INCOME-CL C | 0.00 | 6.95 | 93.0 | 0.00 | 6.46 | 0.00 | 6.46 |
| 06/07/2018 | #01484641962 FILOPDIANL | FIDELITY ADVISOR FOCUS FUNDS HEALTH | 0.00 | 1.46 | 93.0 | 0.00 | 1.36 | 0.00 | 1.36 |
| 06/07/2018 | #01484642051 HERSHLORR | FIDELITY ADVISOR FOCUS FUNDS HEALTH | 0.00 | 3.52 | 93.0 | 0.00 | 3.27 | 0.00 | 3.27 |
| 06/07/2018 | #01484642077 MENGEWENDE | FIDELITY ADVISOR FOCUS FUNDS HEALTH | 0.00 | 0.84 | 93.0 | 0.00 | 0.78 | 0.00 | 0.78 |
| 06/07/2018 | #01484641962 FILOPDIANL | FIDELITY ADVISOR SER VII BIOTECHNOL | 0.00 | 1.39 | 93.0 | 0.00 | 1.29 | 0.00 | 1.29 |
| 06/07/2018 | #01484642051 HERSHLORR | FIDELITY ADVISOR SER VII BIOTECHNOL | 0.00 | 3.33 | 93.0 | 0.00 | 3.10 | 0.00 | 3.10 |
| 06/07/2018 | #01484642077 MENGEWENDE | FIDELITY ADVISOR SER VII BIOTECHNOL | 0.00 | 0.53 | 93.0 | 0.00 | 0.49 | 0.00 | 0.49 |
| 06/07/2018 | #01484642051 HERSHLORR | FIDELITY ADVISOR SER VIII GLOBAL EQ | 0.00 | 3.29 | 93.0 | 0.00 | 3.06 | 0.00 | 3.06 |
| 06/07/2018 | #01484642077 MENGEWENDE | FIDELITY ADVISOR SER VIII GLOBAL EQ | 0.00 | 0.39 | 93.0 | 0.00 | 0.36 | 0.00 | 0.36 |
| 06/07/2018 | #01484642077 MENGEWENDE | FIDELITY MID CAP VALUE | 0.00 | 0.81 | 93.0 | 0.00 | 0.75 | 0.00 | 0.75 |
| 06/07/2018 | #01484642127 | FIDELITY MID CAP VALUE | 0.00 | 0.62 | 93.0 | 0.00 | 0.58 | 0.00 | 0.58 |
| 06/07/2018 | #01484642077 MENGEWENDE | FIDELITY SMALL CAP BLEND | 0.00 | 0.62 | 93.0 | 0.00 | 0.58 | 0.00 | 0.58 |

COMMISSION STATEMENT for VASTU SHAH

| 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> | | | | | | | | | |
| 06/07/2018 | #01484642127 | FIDELITY SMALL CAP BLEND | 0.00 | 0.42 | 93.0 | 0.00 | 0.39 | 0.00 | 0.39 |
| 06/07/2018 | #01484641962 | FILOPDIANL | 0.00 | 1.32 | 93.0 | 0.00 | 1.23 | 0.00 | 1.23 |
| 06/07/2018 | #01484642051 | HERSHLORR | 0.00 | 3.25 | 93.0 | 0.00 | 3.02 | 0.00 | 3.02 |
| 06/07/2018 | #01484642077 | MENGWENDE | 0.00 | 0.39 | 93.0 | 0.00 | 0.36 | 0.00 | 0.36 |
| 06/07/2018 | #01484642127 | FIDELITY VALUE FUND | 0.00 | 1.23 | 93.0 | 0.00 | 1.14 | 0.00 | 1.14 |
| 06/07/2018 | #01484641962 | FILOPDIANL | 0.00 | 1.13 | 93.0 | 0.00 | 1.05 | 0.00 | 1.05 |
| 06/07/2018 | #01484642051 | HERSHLORR | 0.00 | 2.73 | 93.0 | 0.00 | 2.54 | 0.00 | 2.54 |
| 06/07/2018 | #01484642127 | FIDLEITY INTERMEDIATE | 0.00 | 1.44 | 93.0 | 0.00 | 1.34 | 0.00 | 1.34 |
| 06/07/2018 | #01489645067 | REDDY, PANNALA | 0.00 | 6.72 | 93.0 | 0.00 | 6.25 | 0.00 | 6.25 |
| 06/07/2018 | #03900189779 | SAINI, VIPUL | 0.00 | 0.01 | 93.0 | 0.00 | 0.01 | 0.00 | 0.01 |
| 06/07/2018 | #03900189786 | SHAH-SAINI, | 0.00 | 0.01 | 93.0 | 0.00 | 0.01 | 0.00 | 0.01 |
| 06/11/2018 | # VORA, SHAILA | DAIN TRAILER | 0.00 | 10.07 | 93.0 | 0.00 | 9.37 | 0.00 | 9.37 |
| 06/11/2018 | # VORA, SHAILA | DAIN TRAILER | 0.00 | 14.77 | 93.0 | 0.00 | 13.74 | 0.00 | 13.74 |
| 06/11/2018 | # VORA, SHAILA | DAIN TRAILER | 0.00 | 15.61 | 93.0 | 0.00 | 14.52 | 0.00 | 14.52 |
| 06/11/2018 | # WYNN, MARY | DAIN TRAILER | 0.00 | 0.22 | 93.0 | 0.00 | 0.20 | 0.00 | 0.20 |
| 06/11/2018 | # ROBERT PAPA TTEE | DAIN TRAILER | 0.00 | 4.04 | 93.0 | 0.00 | 3.76 | 0.00 | 3.76 |
| 06/11/2018 | # ROBERT PAPA TTEE | DAIN TRAILER | 0.00 | 3.08 | 93.0 | 0.00 | 2.86 | 0.00 | 2.86 |
| 06/11/2018 | # ROBERT PAPA TTEE | DAIN TRAILER | 0.00 | 1.81 | 93.0 | 0.00 | 1.68 | 0.00 | 1.68 |
| 06/11/2018 | # ROBERT PAPA TTEE | DAIN TRAILER | 0.00 | 2.37 | 93.0 | 0.00 | 2.20 | 0.00 | 2.20 |
| 06/11/2018 | # PATEL, GRISHMA | DAIN TRAILER | 0.00 | 0.51 | 93.0 | 0.00 | 0.47 | 0.00 | 0.47 |
| 06/11/2018 | # PATEL, GRISHMA | DAIN TRAILER | 0.00 | 0.95 | 93.0 | 0.00 | 0.88 | 0.00 | 0.88 |
| 06/11/2018 | # SHARMA, MADHU | DAIN TRAILER | 0.00 | 3.58 | 93.0 | 0.00 | 3.33 | 0.00 | 3.33 |
| 06/11/2018 | # SHARMA, MADHU | DAIN TRAILER | 0.00 | 6.97 | 93.0 | 0.00 | 6.48 | 0.00 | 6.48 |
| 06/11/2018 | # SHARMA, MADHU | DAIN TRAILER | 0.00 | 14.69 | 93.0 | 0.00 | 13.66 | 0.00 | 13.66 |
| 06/11/2018 | # SHARMA, MADHU | DAIN TRAILER | 0.00 | 3.59 | 93.0 | 0.00 | 3.34 | 0.00 | 3.34 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 3.96 | 93.0 | 0.00 | 3.68 | 0.00 | 3.68 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 1.43 | 93.0 | 0.00 | 1.33 | 0.00 | 1.33 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 1.32 | 93.0 | 0.00 | 1.23 | 0.00 | 1.23 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 3.90 | 93.0 | 0.00 | 3.63 | 0.00 | 3.63 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 8.74 | 93.0 | 0.00 | 8.13 | 0.00 | 8.13 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 15.94 | 93.0 | 0.00 | 14.82 | 0.00 | 14.82 |
| 06/11/2018 | # SHARMA, STEVEN | DAIN TRAILER | 0.00 | 1.85 | 93.0 | 0.00 | 1.72 | 0.00 | 1.72 |
| 06/11/2018 | # SHARMA, STEVEN | DAIN TRAILER | 0.00 | 1.31 | 93.0 | 0.00 | 1.22 | 0.00 | 1.22 |
| 06/11/2018 | # SHARMA, STEVEN | DAIN TRAILER | 0.00 | 1.52 | 93.0 | 0.00 | 1.41 | 0.00 | 1.41 |
| 06/11/2018 | # SHARMA, STEVEN | DAIN TRAILER | 0.00 | 0.62 | 93.0 | 0.00 | 0.58 | 0.00 | 0.58 |
| 06/11/2018 | # PATEL, URMILA | DAIN TRAILER | 0.00 | 54.14 | 93.0 | 0.00 | 50.35 | 0.00 | 50.35 |

COMMISSION STATEMENT for VASTU SHAH

| 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> | | | | | | | | | |
| 06/11/2018 | # BHARAT C SHAH TTEE | DAIN TRAILER | 0.00 | 4.05 | 93.0 | 0.00 | 3.77 | 0.00 | 3.77 |
| 06/11/2018 | # BHARAT C SHAH TTEE | DAIN TRAILER | 0.00 | 37.60 | 93.0 | 0.00 | 34.97 | 0.00 | 34.97 |
| 06/11/2018 | # PATEL, PRAVIN | DAIN TRAILER | 0.00 | 38.65 | 93.0 | 0.00 | 35.94 | 0.00 | 35.94 |
| 06/11/2018 | # PATEL, PRAVIN | DAIN TRAILER | 0.00 | 47.90 | 93.0 | 0.00 | 44.55 | 0.00 | 44.55 |
| 06/11/2018 | # PATEL, PRAVIN | DAIN TRAILER | 0.00 | 93.59 | 93.0 | 0.00 | 87.04 | 0.00 | 87.04 |
| 06/11/2018 | # PATEL, PRAVIN | DAIN TRAILER | 0.00 | 83.59 | 93.0 | 0.00 | 77.74 | 0.00 | 77.74 |
| 06/11/2018 | # PATEL, PRAVIN | DAIN TRAILER | 0.00 | 70.29 | 93.0 | 0.00 | 65.37 | 0.00 | 65.37 |
| 06/11/2018 | # BHATT, VARSHA | DAIN TRAILER | 0.00 | 3.46 | 93.0 | 0.00 | 3.22 | 0.00 | 3.22 |
| 06/11/2018 | # BHATT, VARSHA | DAIN TRAILER | 0.00 | 3.26 | 93.0 | 0.00 | 3.03 | 0.00 | 3.03 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 0.03 | 93.0 | 0.00 | 0.03 | 0.00 | 0.03 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 1.95 | 93.0 | 0.00 | 1.81 | 0.00 | 1.81 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 0.82 | 93.0 | 0.00 | 0.76 | 0.00 | 0.76 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 1.81 | 93.0 | 0.00 | 1.68 | 0.00 | 1.68 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 8.35 | 93.0 | 0.00 | 7.77 | 0.00 | 7.77 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 20.42 | 93.0 | 0.00 | 18.99 | 0.00 | 18.99 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 2.06 | 93.0 | 0.00 | 1.92 | 0.00 | 1.92 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 3.19 | 93.0 | 0.00 | 2.97 | 0.00 | 2.97 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 2.57 | 93.0 | 0.00 | 2.39 | 0.00 | 2.39 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 10.83 | 93.0 | 0.00 | 10.07 | 0.00 | 10.07 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 10.17 | 93.0 | 0.00 | 9.46 | 0.00 | 9.46 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 3.75 | 93.0 | 0.00 | 3.49 | 0.00 | 3.49 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 0.52 | 93.0 | 0.00 | 0.48 | 0.00 | 0.48 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 3.64 | 93.0 | 0.00 | 3.39 | 0.00 | 3.39 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 9.39 | 93.0 | 0.00 | 8.73 | 0.00 | 8.73 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 14.95 | 93.0 | 0.00 | 13.90 | 0.00 | 13.90 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 6.68 | 93.0 | 0.00 | 6.21 | 0.00 | 6.21 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 19.67 | 93.0 | 0.00 | 18.29 | 0.00 | 18.29 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 3.14 | 93.0 | 0.00 | 2.92 | 0.00 | 2.92 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 2.35 | 93.0 | 0.00 | 2.19 | 0.00 | 2.19 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 2.17 | 93.0 | 0.00 | 2.02 | 0.00 | 2.02 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 7.75 | 93.0 | 0.00 | 7.21 | 0.00 | 7.21 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 4.94 | 93.0 | 0.00 | 4.59 | 0.00 | 4.59 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 0.66 | 93.0 | 0.00 | 0.61 | 0.00 | 0.61 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 3.30 | 93.0 | 0.00 | 3.07 | 0.00 | 3.07 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 4.67 | 93.0 | 0.00 | 4.34 | 0.00 | 4.34 |
| 06/11/2018 | # SHARMA, MADHU | DAIN TRAILER | 0.00 | 2.72 | 93.0 | 0.00 | 2.53 | 0.00 | 2.53 |

COMMISSION STATEMENT for VASTU SHAH

| 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> | | | | | | | | | |
| 06/11/2018 | # SHARMA, MADHU | DAIN TRAILER | 0.00 | 2.19 | 93.0 | 0.00 | 2.04 | 0.00 | 2.04 |
| 06/11/2018 | # SHARMA, MADHU | DAIN TRAILER | 0.00 | 17.94 | 93.0 | 0.00 | 16.68 | 0.00 | 16.68 |
| 06/11/2018 | # SHARMA, MADHU | DAIN TRAILER | 0.00 | 46.12 | 93.0 | 0.00 | 42.89 | 0.00 | 42.89 |
| 06/11/2018 | # SHARMA, MADHU | DAIN TRAILER | 0.00 | 10.10 | 93.0 | 0.00 | 9.39 | 0.00 | 9.39 |
| 06/11/2018 | # SHARMA, MADHU | DAIN TRAILER | 0.00 | 1.97 | 93.0 | 0.00 | 1.83 | 0.00 | 1.83 |
| 06/11/2018 | # SHARMA, MADHU | DAIN TRAILER | 0.00 | 1.48 | 93.0 | 0.00 | 1.38 | 0.00 | 1.38 |
| 06/11/2018 | # SHARMA, MADHU | DAIN TRAILER | 0.00 | 4.60 | 93.0 | 0.00 | 4.28 | 0.00 | 4.28 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 18.15 | 93.0 | 0.00 | 16.88 | 0.00 | 16.88 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 0.89 | 93.0 | 0.00 | 0.83 | 0.00 | 0.83 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 2.33 | 93.0 | 0.00 | 2.17 | 0.00 | 2.17 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 1.48 | 93.0 | 0.00 | 1.38 | 0.00 | 1.38 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 5.52 | 93.0 | 0.00 | 5.13 | 0.00 | 5.13 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 18.07 | 93.0 | 0.00 | 16.81 | 0.00 | 16.81 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 11.71 | 93.0 | 0.00 | 10.89 | 0.00 | 10.89 |
| 06/11/2018 | # DESAI, KIRIT | DAIN TRAILER | 0.00 | 38.30 | 93.0 | 0.00 | 35.62 | 0.00 | 35.62 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 7.51 | 93.0 | 0.00 | 6.98 | 0.00 | 6.98 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 8.27 | 93.0 | 0.00 | 7.69 | 0.00 | 7.69 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 8.95 | 93.0 | 0.00 | 8.32 | 0.00 | 8.32 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 26.82 | 93.0 | 0.00 | 24.94 | 0.00 | 24.94 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 14.51 | 93.0 | 0.00 | 13.49 | 0.00 | 13.49 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 26.47 | 93.0 | 0.00 | 24.62 | 0.00 | 24.62 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 13.42 | 93.0 | 0.00 | 12.48 | 0.00 | 12.48 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 27.09 | 93.0 | 0.00 | 25.19 | 0.00 | 25.19 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 297.46 | 93.0 | 0.00 | 276.64 | 0.00 | 276.64 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 71.09 | 93.0 | 0.00 | 66.11 | 0.00 | 66.11 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 9.58 | 93.0 | 0.00 | 8.91 | 0.00 | 8.91 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 15.83 | 93.0 | 0.00 | 14.72 | 0.00 | 14.72 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 7.29 | 93.0 | 0.00 | 6.78 | 0.00 | 6.78 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 6.74 | 93.0 | 0.00 | 6.27 | 0.00 | 6.27 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 21.10 | 93.0 | 0.00 | 19.62 | 0.00 | 19.62 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 9.32 | 93.0 | 0.00 | 8.67 | 0.00 | 8.67 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 3.68 | 93.0 | 0.00 | 3.42 | 0.00 | 3.42 |
| 06/11/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 4.51 | 93.0 | 0.00 | 4.19 | 0.00 | 4.19 |
| 06/11/2018 | # ELANCHENNY, VYTHILINGAM | DAIN TRAILER | 0.00 | 7.56 | 93.0 | 0.00 | 7.03 | 0.00 | 7.03 |
| 06/11/2018 | # GOSRANI, KANTILAL | DAIN TRAILER | 0.00 | 3.96 | 93.0 | 0.00 | 3.68 | 0.00 | 3.68 |
| 06/11/2018 | # GOSRANI, KANTILAL | DAIN TRAILER | 0.00 | 12.35 | 93.0 | 0.00 | 11.49 | 0.00 | 11.49 |

COMMISSION STATEMENT for VASTU SHAH

| 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> | | | | | | | | | |
| 06/11/2018 | # GOSRANI, KANTILAL | DAIN TRAILER | 0.00 | 56.99 | 93.0 | 0.00 | 53.00 | 0.00 | 53.00 |
| 06/11/2018 | # GOSRANI, KANTILAL | DAIN TRAILER | 0.00 | 3.23 | 93.0 | 0.00 | 3.00 | 0.00 | 3.00 |
| 06/11/2018 | # GOSRANI, KANTILAL | DAIN TRAILER | 0.00 | 47.30 | 93.0 | 0.00 | 43.99 | 0.00 | 43.99 |
| 06/11/2018 | # GOSRANI, KANTILAL | DAIN TRAILER | 0.00 | 51.88 | 93.0 | 0.00 | 48.25 | 0.00 | 48.25 |
| 06/11/2018 | # GOSRANI, KANTILAL | DAIN TRAILER | 0.00 | 9.38 | 93.0 | 0.00 | 8.72 | 0.00 | 8.72 |
| 06/11/2018 | # GOSRANI, KANTILAL | DAIN TRAILER | 0.00 | 8.54 | 93.0 | 0.00 | 7.94 | 0.00 | 7.94 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 0.28 | 93.0 | 0.00 | 0.26 | 0.00 | 0.26 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 0.48 | 93.0 | 0.00 | 0.45 | 0.00 | 0.45 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 9.21 | 93.0 | 0.00 | 8.57 | 0.00 | 8.57 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 2.71 | 93.0 | 0.00 | 2.52 | 0.00 | 2.52 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 25.80 | 93.0 | 0.00 | 23.99 | 0.00 | 23.99 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 7.17 | 93.0 | 0.00 | 6.67 | 0.00 | 6.67 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 7.37 | 93.0 | 0.00 | 6.85 | 0.00 | 6.85 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 3.98 | 93.0 | 0.00 | 3.70 | 0.00 | 3.70 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 8.73 | 93.0 | 0.00 | 8.12 | 0.00 | 8.12 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 6.67 | 93.0 | 0.00 | 6.20 | 0.00 | 6.20 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 4.01 | 93.0 | 0.00 | 3.73 | 0.00 | 3.73 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 6.39 | 93.0 | 0.00 | 5.94 | 0.00 | 5.94 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 4.32 | 93.0 | 0.00 | 4.02 | 0.00 | 4.02 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 12.96 | 93.0 | 0.00 | 12.05 | 0.00 | 12.05 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 4.11 | 93.0 | 0.00 | 3.82 | 0.00 | 3.82 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 22.34 | 93.0 | 0.00 | 20.78 | 0.00 | 20.78 |
| 06/11/2018 | # PEER, MEETA | DAIN TRAILER | 0.00 | 7.06 | 93.0 | 0.00 | 6.57 | 0.00 | 6.57 |
| 06/11/2018 | # PEER, MEETA | DAIN TRAILER | 0.00 | 4.67 | 93.0 | 0.00 | 4.34 | 0.00 | 4.34 |
| 06/11/2018 | # PEER, MEETA | DAIN TRAILER | 0.00 | 5.60 | 93.0 | 0.00 | 5.21 | 0.00 | 5.21 |
| 06/11/2018 | # VORA, SHAILA | DAIN TRAILER | 0.00 | 1.10 | 93.0 | 0.00 | 1.02 | 0.00 | 1.02 |
| 06/11/2018 | # VORA, SHAILA | DAIN TRAILER | 0.00 | 0.34 | 93.0 | 0.00 | 0.32 | 0.00 | 0.32 |
| 06/11/2018 | # VORA, SHAILA | DAIN TRAILER | 0.00 | 0.14 | 93.0 | 0.00 | 0.13 | 0.00 | 0.13 |
| 06/11/2018 | # VORA, SHAILA | DAIN TRAILER | 0.00 | 0.57 | 93.0 | 0.00 | 0.53 | 0.00 | 0.53 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 10.25 | 93.0 | 0.00 | 9.53 | 0.00 | 9.53 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 10.69 | 93.0 | 0.00 | 9.94 | 0.00 | 9.94 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 9.91 | 93.0 | 0.00 | 9.22 | 0.00 | 9.22 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 10.82 | 93.0 | 0.00 | 10.06 | 0.00 | 10.06 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 10.09 | 93.0 | 0.00 | 9.38 | 0.00 | 9.38 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 10.07 | 93.0 | 0.00 | 9.37 | 0.00 | 9.37 |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 26.01 | 93.0 | 0.00 | 24.19 | 0.00 | 24.19 |

COMMISSION STATEMENT for VASTU SHAH

| 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> | | | | | | | | | |
| 06/11/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 23.01 | 93.0 | 0.00 | 21.40 | 0.00 | 21.40 |
| 06/11/2018 | # VORA, SHAILA | DAIN TRAILER | 0.00 | 10.25 | 93.0 | 0.00 | 9.53 | 0.00 | 9.53 |
| 06/11/2018 | # VORA, SHAILA | DAIN TRAILER | 0.00 | 10.69 | 93.0 | 0.00 | 9.94 | 0.00 | 9.94 |
| 06/11/2018 | # VORA, SHAILA | DAIN TRAILER | 0.00 | 9.91 | 93.0 | 0.00 | 9.22 | 0.00 | 9.22 |
| 06/11/2018 | # VORA, SHAILA | DAIN TRAILER | 0.00 | 10.82 | 93.0 | 0.00 | 10.06 | 0.00 | 10.06 |
| 06/11/2018 | # VENKATESWARA CHODAPANEEDI | DAIN TRAILER | 0.00 | 52.35 | 93.0 | 0.00 | 48.69 | 0.00 | 48.69 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 32.95 | 93.0 | 0.00 | 30.64 | 0.00 | 30.64 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 33.03 | 93.0 | 0.00 | 30.72 | 0.00 | 30.72 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 28.82 | 93.0 | 0.00 | 26.80 | 0.00 | 26.80 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 8.03 | 93.0 | 0.00 | 7.47 | 0.00 | 7.47 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 0.59 | 93.0 | 0.00 | 0.55 | 0.00 | 0.55 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 0.92 | 93.0 | 0.00 | 0.86 | 0.00 | 0.86 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 30.26 | 93.0 | 0.00 | 28.14 | 0.00 | 28.14 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 32.11 | 93.0 | 0.00 | 29.86 | 0.00 | 29.86 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 24.74 | 93.0 | 0.00 | 23.01 | 0.00 | 23.01 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 9.95 | 93.0 | 0.00 | 9.25 | 0.00 | 9.25 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 7.01 | 93.0 | 0.00 | 6.52 | 0.00 | 6.52 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 20.39 | 93.0 | 0.00 | 18.96 | 0.00 | 18.96 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 2.98 | 93.0 | 0.00 | 2.77 | 0.00 | 2.77 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 8.42 | 93.0 | 0.00 | 7.83 | 0.00 | 7.83 |
| 06/11/2018 | # SHARMA, RAJ | DAIN TRAILER | 0.00 | 10.33 | 93.0 | 0.00 | 9.61 | 0.00 | 9.61 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 0.01 | 93.0 | 0.00 | 0.01 | 0.00 | 0.01 |
| 06/11/2018 | # SHAH, BHARAT | DAIN TRAILER | 0.00 | 37.62 | 93.0 | 0.00 | 34.99 | 0.00 | 34.99 |
| 06/11/2018 | # PATEL, GRISHMA | DAIN TRAILER | 0.00 | 5.19 | 93.0 | 0.00 | 4.83 | 0.00 | 4.83 |
| 06/11/2018 | # PATEL, GRISHMA | DAIN TRAILER | 0.00 | 2.75 | 93.0 | 0.00 | 2.56 | 0.00 | 2.56 |
| 06/14/2018 | #00777302175 VARIOUS SHAH | JOHN HANCOCK FDS III STRATEGIC GROW | 0.00 | 3.12 | 93.0 | 0.00 | 2.90 | 0.00 | 2.90 |
| 06/14/2018 | #00777302124 VARIOUS SHAH | JOHN HANCOCK HIGH YIELD FUND CL A | 0.00 | 2.09 | 93.0 | 0.00 | 1.94 | 0.00 | 1.94 |
| 06/14/2018 | #00777185294 VARIOUS SHAH | JOHN HANCOCK REGIONAL BANK FUND-CL | 0.00 | 18.68 | 93.0 | 0.00 | 17.37 | 0.00 | 17.37 |
| 06/19/2018 | # VORA, VASANT | DAIN TRAILER | 0.00 | 17.92 | 93.0 | 0.00 | 16.67 | 0.00 | 16.67 |
| 06/26/2018 | # SHARMA, MADHU | DAIN TRAILER | 0.00 | 2.75 | 93.0 | 0.00 | 2.56 | 0.00 | 2.56 |
| 06/26/2018 | # AMBANI, NARENDRA | DAIN TRAILER | 0.00 | 5.90 | 93.0 | 0.00 | 5.49 | 0.00 | 5.49 |
| 06/26/2018 | # GOSRANI, VENA | DAIN TRAILER | 0.00 | 1.39 | 93.0 | 0.00 | 1.29 | 0.00 | 1.29 |
| 06/26/2018 | # PEER, MEETA | DAIN TRAILER | 0.00 | 7.36 | 93.0 | 0.00 | 6.84 | 0.00 | 6.84 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$85,500.00 | \$4,098.32 | | \$0.00 | \$3,811.41 | \$0.00 | \$3,811.41 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$2,081,605.07 | \$6,179.91 | | \$0.00 | \$5,730.47 | \$239.60 | \$5,490.87 |

COMMISSION STATEMENT for VASTU SHAH

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

ADJUSTMENTS

| | | | | | | | | | |
|---------------------------|--|----------------------------------|--|--|--|--|--|--|------------------|
| 07/20/2018 | | ADMIN FEE: ADMIN FEE | | | | | | | -390.00 |
| 07/20/2018 | | E & O INSURANCE: E & O INSURANCE | | | | | | | -179.00 |
| *** ADJUSTMENTS TOTAL *** | | | | | | | | | <u>\$-569.00</u> |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$5,490.87 |
| 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 | <u>\$4,921.87</u> |
|--------------|-------------------|