



COMMISSION STATEMENT

April 23, 2018

RICK SOWERS

BROKER #: STPBR

BRANCH #01002 - 02 - SOWERS

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: CHRISTOPHER MILGROOM</u> | | | | | | | | |
| 04/23/2018 | ***-**-109I - PASCH, ROBERT | AMERICAN CENTURY TRAILS | 0.00 | 3.98 | 0.00 | 3.98 | 15.0 | 0.60 |
| | ACCOUNT #: 7107500645 | BUY 0 Units @0.0000 | | | | | | |
| 04/13/2018 | ***-**-1982 - HOHNECKER, LAURA | AMERICAN MUTUAL FUND-A | 50.00 | 2.50 | 0.00 | 2.50 | 15.0 | 0.38 |
| | ACCOUNT #: 00086976260 | BUY 1 Units @42.3700 | | | | | | |
| 04/03/2018 | ***-**-1584 - CAMPBELL, COLIN | CALVERT LONG-TERM INCOME FUND | 0.00 | 0.17 | 0.00 | 0.17 | 15.0 | 0.03 |
| | ACCOUNT #: 00929501828 | BUY 0 Units @0.0000 | | | | | | |
| 04/04/2018 | ***-**-84IN - CAMPBELL, COLIN | CAPITAL APPRECIATION INST - CLASS R | 0.00 | 0.29 | 0.00 | 0.29 | 15.0 | 0.04 |
| | ACCOUNT #: 00456000642 | BUY 0 Units @0.0000 | | | | | | |
| 04/13/2018 | ***-**-1982 - HOHNECKER, LAURA | CAPITAL WORLD BOND FUND-A | 50.00 | 1.50 | 0.00 | 1.50 | 15.0 | 0.23 |
| | ACCOUNT #: 00086976260 | BUY 2 Units @21.0600 | | | | | | |
| 04/13/2018 | ***-**-1982 - HOHNECKER, LAURA | CAPITAL WORLD GROWTH AND INCOME FUN | 50.00 | 2.50 | 0.00 | 2.50 | 15.0 | 0.38 |
| | ACCOUNT #: 00086976260 | BUY 1 Units @54.8600 | | | | | | |
| 04/02/2018 | ***-**-97IR - CRAWFORD, JAMES | GLOBAL FUND A | 50.00 | 2.38 | 0.00 | 2.38 | 15.0 | 0.36 |
| | ACCOUNT #: 03305198767 | BUY 0 Units @0.0000 | | | | | | |
| 04/16/2018 | ***-**-67CL - MILGROOM, | ING ADVANTAGE SELECT | 0.00 | 13.29 | 0.00 | 13.29 | 15.0 | 1.99 |
| | ACCOUNT #: R074824-ZS | BUY 0 Units @0.0000 | | | | | | |
| 04/16/2018 | ***-**-3178 - IONESCU, MIHAELA | ING ADVANTAGE SELECT | 0.00 | 4.02 | 0.00 | 4.02 | 15.0 | 0.60 |
| | ACCOUNT #: R081736-ZS | BUY 0 Units @0.0000 | | | | | | |
| 04/17/2018 | ***-**-843I - FANO, OKSANA | ING ADVANTAGE SELECT | 0.00 | 7.68 | 0.00 | 7.68 | 15.0 | 1.15 |
| | ACCOUNT #: R110836-ZS | BUY 0 Units @0.0000 | | | | | | |
| 04/20/2018 | ***-**-894I - GARCIA, MARIANO | ING ADVANTAGE SELECT | 0.00 | 5.68 | 0.00 | 5.68 | 15.0 | 0.85 |
| | ACCOUNT #: R109394-ZS | BUY 0 Units @0.0000 | | | | | | |
| 04/20/2018 | ***-**-337I - GARCIA, SHELLEY | ING ADVANTAGE SELECT | 0.00 | 5.21 | 0.00 | 5.21 | 15.0 | 0.78 |
| | ACCOUNT #: R109397-ZS | BUY 0 Units @0.0000 | | | | | | |
| 04/02/2018 | ***-**-97IR - CRAWFORD, JAMES | INTERNATIONAL BOND A | 50.00 | 2.00 | 0.00 | 2.00 | 15.0 | 0.30 |
| | ACCOUNT #: 08806519546 | BUY 0 Units @0.0000 | | | | | | |
| 04/10/2018 | ***-**-67CL - MILGROOM, | INVESCO GLOBAL REAL ESTATE FUND -CL | 129.22 | 0.97 | 0.00 | 0.97 | 15.0 | 0.15 |
| | ACCOUNT #: 07123000494 | BUY 10 Units @13.1700 | | | | | | |
| 04/23/2018 | ***-**-1584 - CAMPBELL, COLIN | PIMCO TRAILS | 0.00 | 2.88 | 0.00 | 2.88 | 15.0 | 0.43 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-67CL - MILGROOM, | PIMCO TRAILS | 0.00 | 58.66 | 0.00 | 58.66 | 15.0 | 8.80 |
| | | BUY 0 Units @0.0000 | | | | | | |



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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: CHRISTOPHER MILGROOM (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-9109 - PASCH, ROBERT | PIMCO TRAILS BUY 0 Units @0.0000 | 0.00 | 1.68 | 0.00 | 1.68 | 15.0 | 0.25 |
| 04/23/2018 | ***-**-8780 - PALM BEACH | PIMCO TRAILS BUY 0 Units @0.0000 | 0.00 | 5.44 | 0.00 | 5.44 | 15.0 | 0.82 |
| 04/23/2018 | ***-**-2111 - SPECTRUM TOURS | PIMCO TRAILS BUY 0 Units @0.0000 | 0.00 | 0.14 | 0.00 | 0.14 | 15.0 | 0.02 |
| 04/23/2018 | ***-**-7574 - G-MEN CORP | PIMCO TRAILS BUY 0 Units @0.0000 | 0.00 | 0.16 | 0.00 | 0.16 | 15.0 | 0.02 |
| 04/23/2018 | ***-**-7574 - G-MEN CORP | PIMCO TRAILS BUY 0 Units @0.0000 | 0.00 | -0.10 | 0.00 | -0.10 | 15.0 | -0.02 |
| 04/18/2018 | ***-**-9109 - PASCH, ROBERT ACCOUNT #: 9927000799 | T ROWE TRAILS BUY 0 Units @0.0000 | 0.00 | 6.00 | 0.00 | 6.00 | 15.0 | 0.90 |
| 04/18/2018 | ***-**-8780 - PALM BEACH ACCOUNT #: 9927000872 | T ROWE TRAILS BUY 0 Units @0.0000 | 0.00 | 24.98 | 0.00 | 24.98 | 15.0 | 3.75 |
| 04/18/2018 | ***-**-2111 - SPECTRUM TOURS | T ROWE TRAILS BUY 0 Units @0.0000 | 0.00 | 0.46 | 0.00 | 0.46 | 15.0 | 0.07 |
| 04/18/2018 | ***-**-67CL - MILGROOM, | T ROWE TRAILS BUY 0 Units @0.0000 | 0.00 | 37.02 | 0.00 | 37.02 | 15.0 | 5.55 |
| 04/18/2018 | ***-**-7574 - G-MEN CORP | T ROWE TRAILS BUY 0 Units @0.0000 | 0.00 | 0.42 | 0.00 | 0.42 | 15.0 | 0.06 |
| 04/18/2018 | ***-**-67CL - MILGROOM, | T ROWE TRAILS BUY 0 Units @0.0000 | 0.00 | 4.62 | 0.00 | 4.62 | 15.0 | 0.69 |
| 04/13/2018 | ***-**-775P - KING, GREGORY ACCOUNT #: 00082438825 | THE GROWTH FUND OF AMERICA-A BUY 122 Units @53.2700 | 6,500.00 | 178.75 | 0.00 | 178.75 | 15.0 | 26.81 |
| 04/13/2018 | ***-**-1982 - HOHNECKER, LAURA ACCOUNT #: 00086976260 | THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5500 | 50.00 | 2.50 | 0.00 | 2.50 | 15.0 | 0.38 |
| 04/06/2018 | ***-**-6647 - CABLE, ROBERT ACCOUNT #: 08551051344 | WELLS FARGO SPECIAL MID CAP CL C BUY 0 Units @0.0000 | 0.00 | 0.55 | 0.00 | 0.55 | 15.0 | 0.08 |
| 04/06/2018 | ***-**-6647 - CABLE, ROBERT ACCOUNT #: 08551051344 | WELLS FARGO SPECIAL MID CAP CL C BUY 0 Units @0.0000 | 0.00 | 1.64 | 0.00 | 1.64 | 15.0 | 0.25 |
| * CHRISTOPHER MILGROOM SUBTOTAL * | | | \$6,929.22 | \$377.97 | \$0.00 | \$377.97 | | \$56.70 |
| *** OVERRIDE TRANSACTIONS TOTAL *** | | | \$6,929.22 | \$377.97 | \$0.00 | \$377.97 | | \$56.70 |



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| BROKER COMMISSION TOTALS | | | | | | | | |
| | | | | | | Broker Transactions | | \$0.00 |
| | | | | | | Split Transactions | | \$0.00 |
| | | | | | | Override Transactions | | \$56.70 |
| | | | | | | Adjustments | | \$0.00 |
| | | | | | | Payroll Draw | | \$0.00 |
| | | | | | | Base Salary | | \$0.00 |
| | | | | | | Prior Period Balance | | \$0.00 |
| | | | | | | FINRA Assessment | | \$0.00 |
| | | | | | | SIPC Assessment | | \$0.00 |
| Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD | | | | | | | | |
| Balance Forward | | | | | | | | \$56.70 |
| Year-to-date Earnings | | | | | | | | \$1,437.14 |