

# STATEMENT

## January 20, 2018

MALVIN JOHNSON  
117 C Street  
SUITE 620  
Vallejo, CA 94950

BROKER #: 036  
BRANCH:

### COMMISSION STATEMENT for MALVIN JOHNSON

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>									
12/05/2017	#00082111667	EDWARDS, ELLEN EURO PACIFIC GROWTH FUND CLASS A	260.00	7.15	90.0	0.00	6.44	0.00	6.44
12/05/2017	#00082111667	EDWARDS, ELLEN FUNDAMENTAL INVESTORS INC CLASS A	220.00	6.05	90.0	0.00	5.45	0.00	5.45
12/05/2017	#00082111667	EDWARDS, ELLEN NEW PERSPECTIVE FUND INC CL A	220.00	6.05	90.0	0.00	5.45	0.00	5.45
* MUTUAL FUNDS SUBTOTAL *			<b>\$700.00</b>	<b>\$19.25</b>		<b>\$0.00</b>	<b>\$17.34</b>	<b>\$0.00</b>	<b>\$17.34</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
12/01/2017	#00088023811	GOLDFINCH, AMERICAN HIGH INCOME TR CL C	0.00	0.33	90.0	0.00	0.30	0.00	0.30
12/01/2017	#00088023811	GOLDFINCH, BOND FUND AMER INC CL C	0.00	0.62	90.0	0.00	0.56	0.00	0.56
12/01/2017	#00088023811	GOLDFINCH, CAPITAL WORLD BOND FUND-C	0.00	0.44	90.0	0.00	0.40	0.00	0.40
12/01/2017	#00089882702	GOLDFINCH, CAPITAL WORLD GROWTH & INCOME FUND	0.00	0.08	90.0	0.00	0.07	0.00	0.07
12/01/2017	#00088023811	GOLDFINCH, EURO PAC GROWTH FUND CL C	0.00	0.39	90.0	0.00	0.35	0.00	0.35
12/01/2017	#00082111667	EDWARDS, ELLEN EURO PACIFIC GROWTH FUND CLASS A	0.00	27.62	90.0	0.00	24.86	0.00	24.86
12/01/2017	#00089882702	GOLDFINCH, EURO PACIFIC GROWTH FUND CLASS A	0.00	0.16	90.0	0.00	0.14	0.00	0.14
12/01/2017	#00085617485	SANCHEZ, EURO PACIFIC GROWTH FUND CLASS A	0.00	6.18	90.0	0.00	5.56	0.00	5.56
12/01/2017	#00082111667	EDWARDS, ELLEN FUNDAMENTAL INVESTORS INC CLASS A	0.00	30.49	90.0	0.00	27.44	0.00	27.44
12/01/2017	#00089882702	GOLDFINCH, FUNDAMENTAL INVESTORS INC CLASS A	0.00	0.08	90.0	0.00	0.07	0.00	0.07
12/01/2017	#00088023811	GOLDFINCH, GROWTH FUND AMER INC CL C	0.00	0.64	90.0	0.00	0.58	0.00	0.58
12/01/2017	#00088023811	GOLDFINCH, INCOME FUND AMER INC CL C	0.00	0.38	90.0	0.00	0.34	0.00	0.34
12/01/2017	#00089882702	GOLDFINCH, INCOME FUND OF AMERICA INC CLASS A	0.00	0.08	90.0	0.00	0.07	0.00	0.07
12/01/2017	#00088023811	GOLDFINCH, INTERNATIONAL GROWTH AND INCOME-C	0.00	0.36	90.0	0.00	0.32	0.00	0.32
12/01/2017	#00088023811	GOLDFINCH, INVESTMENT CO AMER CL C	0.00	0.59	90.0	0.00	0.53	0.00	0.53
12/01/2017	#00089882702	GOLDFINCH, INVESTMENT CO AMER CLASS A	0.00	0.12	90.0	0.00	0.11	0.00	0.11
12/01/2017	#00089882702	GOLDFINCH, NEW ECONOMY FUND SBI CLASS A	0.00	0.12	90.0	0.00	0.11	0.00	0.11
12/01/2017	#00085617485	SANCHEZ, NEW ECONOMY FUND SBI CLASS A	0.00	5.07	90.0	0.00	4.56	0.00	4.56
12/01/2017	#00082111667	EDWARDS, ELLEN NEW PERSPECTIVE FUND INC CL A	0.00	28.06	90.0	0.00	25.25	0.00	25.25
12/01/2017	#00085617485	SANCHEZ, NEW PERSPECTIVE FUND INC CL A	0.00	6.23	90.0	0.00	5.61	0.00	5.61
12/01/2017	#00089882702	GOLDFINCH, SMALLCAP WORLD FUND INC CLASS A	0.00	0.08	90.0	0.00	0.07	0.00	0.07
12/01/2017	#00089882702	GOLDFINCH, WASHINGTON MUTUAL INVS FD CLASS A	0.00	0.08	90.0	0.00	0.07	0.00	0.07

COMMISSION STATEMENT for MALVIN JOHNSON

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017	#00085617485 SANCHEZ,	WASHINGTON MUTUAL INVS FD CLASS A	0.00	10.31	90.0	0.00	9.28	0.00	9.28
12/08/2017	# TAYLOR, PHILLIS	DAIN TRAILER	11,375.55	20.00	90.0	0.00	18.00	0.00	18.00
12/08/2017	# TAYLOR, PHILLIS	DAIN TRAILER	12,653.20	20.00	90.0	0.00	18.00	0.00	18.00
12/11/2017	# KEENE, JAMES	DAIN TRAILER	0.00	0.62	90.0	0.00	0.56	0.00	0.56
12/11/2017	# C PROP, NEW YORK CITY H	DAIN TRAILER	0.00	0.12	90.0	0.00	0.11	0.00	0.11
12/11/2017	# TAYLOR, PHILLIS	DAIN TRAILER	0.00	8.51	90.0	0.00	7.66	0.00	7.66
12/11/2017	# TAYLOR, PHILLIS	DAIN TRAILER	0.00	11.07	90.0	0.00	9.96	0.00	9.96
12/11/2017	# VENOSDEL, HELEN	DAIN TRAILER	0.00	0.32	90.0	0.00	0.29	0.00	0.29
12/11/2017	# VENOSDEL, HELEN	DAIN TRAILER	0.00	0.32	90.0	0.00	0.29	0.00	0.29
12/11/2017	# WARREN, JANICE	DAIN TRAILER	0.00	5.34	90.0	0.00	4.81	0.00	4.81
12/11/2017	# DWYER, TIMOTHY	DAIN TRAILER	0.00	12.79	90.0	0.00	11.51	0.00	11.51
12/11/2017	# WARREN, JANICE	DAIN TRAILER	0.00	5.14	90.0	0.00	4.63	0.00	4.63
12/11/2017	# WARREN, JANICE	DAIN TRAILER	0.00	7.47	90.0	0.00	6.72	0.00	6.72
12/11/2017	# WARREN, JANICE	DAIN TRAILER	0.00	2.12	90.0	0.00	1.91	0.00	1.91
12/11/2017	# WARREN, JANICE	DAIN TRAILER	0.00	4.88	90.0	0.00	4.39	0.00	4.39
12/11/2017	# WARREN, JANICE	DAIN TRAILER	0.00	9.47	90.0	0.00	8.52	0.00	8.52
12/11/2017	# WARREN, JANICE	DAIN TRAILER	0.00	4.32	90.0	0.00	3.89	0.00	3.89
12/11/2017	# WARREN, JANICE	DAIN TRAILER	0.00	8.30	90.0	0.00	7.47	0.00	7.47
12/11/2017	# WARREN, JANICE	DAIN TRAILER	0.00	11.53	90.0	0.00	10.38	0.00	10.38
12/11/2017	# YARDE, GRAHAM	DAIN TRAILER	0.00	3.99	90.0	0.00	3.59	0.00	3.59
12/11/2017	# YARDE, GRAHAM	DAIN TRAILER	0.00	6.40	90.0	0.00	5.76	0.00	5.76
12/11/2017	# BARROW, DIANA	DAIN TRAILER	0.00	0.24	90.0	0.00	0.22	0.00	0.22
12/11/2017	# PALMER, FRANCIS	DAIN TRAILER	0.00	4.75	90.0	0.00	4.28	0.00	4.28
12/11/2017	# PALMER, FRANCIS	DAIN TRAILER	0.00	4.73	90.0	0.00	4.26	0.00	4.26
12/11/2017	# PALMER, FRANCIS	DAIN TRAILER	0.00	2.50	90.0	0.00	2.25	0.00	2.25
12/11/2017	# BARROW, RITA	DAIN TRAILER	0.00	2.80	90.0	0.00	2.52	0.00	2.52
12/11/2017	# BARROW, RITA	DAIN TRAILER	0.00	1.17	90.0	0.00	1.05	0.00	1.05
12/11/2017	# BARROW, JOHN	DAIN TRAILER	0.00	1.29	90.0	0.00	1.16	0.00	1.16
12/11/2017	# BARROW, JOHN	DAIN TRAILER	0.00	1.34	90.0	0.00	1.21	0.00	1.21
12/11/2017	# BARROW, JOHN	DAIN TRAILER	0.00	1.79	90.0	0.00	1.61	0.00	1.61
12/11/2017	# GIBSON, VALITA	DAIN TRAILER	0.00	2.65	90.0	0.00	2.39	0.00	2.39
12/11/2017	# GIBSON, VALITA	DAIN TRAILER	0.00	1.32	90.0	0.00	1.19	0.00	1.19
12/11/2017	# GIBSON, VALITA	DAIN TRAILER	0.00	2.06	90.0	0.00	1.85	0.00	1.85
12/11/2017	# GIBSON, VALITA	DAIN TRAILER	0.00	2.45	90.0	0.00	2.21	0.00	2.21
12/11/2017	# BRIGGS, KENNETH	DAIN TRAILER	0.00	0.63	90.0	0.00	0.57	0.00	0.57
12/11/2017	# CLARK, FRANK	DAIN TRAILER	0.00	1.63	90.0	0.00	1.47	0.00	1.47

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
12/11/2017 #	CLARK, FRANK	DAIN TRAILER	0.00	2.45	90.0	0.00	2.21	0.00	2.21
12/11/2017 #	CLARK, FRANK	DAIN TRAILER	0.00	2.05	90.0	0.00	1.85	0.00	1.85
12/11/2017 #	DWYER, TIMOTHY	DAIN TRAILER	0.00	3.47	90.0	0.00	3.12	0.00	3.12
12/11/2017 #	DWYER, TIMOTHY	DAIN TRAILER	0.00	3.20	90.0	0.00	2.88	0.00	2.88
12/11/2017 #	DWYER-PALMER, GENELLE	DAIN TRAILER	0.00	18.45	90.0	0.00	16.61	0.00	16.61
12/11/2017 #	DWYER-PALMER, GENELLE	DAIN TRAILER	0.00	1.77	90.0	0.00	1.59	0.00	1.59
12/11/2017 #	DWYER-PALMER, GENELLE	DAIN TRAILER	0.00	6.05	90.0	0.00	5.45	0.00	5.45
12/11/2017 #	GIBSON, VALITA	DAIN TRAILER	0.00	4.55	90.0	0.00	4.10	0.00	4.10
12/11/2017 #	GIBSON, VALITA	DAIN TRAILER	0.00	9.75	90.0	0.00	8.78	0.00	8.78
12/11/2017 #	GIBSON, VALITA	DAIN TRAILER	0.00	3.44	90.0	0.00	3.10	0.00	3.10
12/11/2017 #	GIBSON, VALITA	DAIN TRAILER	0.00	5.35	90.0	0.00	4.82	0.00	4.82
12/11/2017 #	GIBSON, VALITA	DAIN TRAILER	0.00	8.47	90.0	0.00	7.62	0.00	7.62
12/11/2017 #	GIBSON, VALITA	DAIN TRAILER	0.00	0.65	90.0	0.00	0.59	0.00	0.59
12/11/2017 #	THE, FRANK BOLDEN AS	DAIN TRAILER	0.00	3.43	90.0	0.00	3.09	0.00	3.09
12/11/2017 #	THE, FRANK BOLDEN AS	DAIN TRAILER	0.00	8.05	90.0	0.00	7.25	0.00	7.25
12/11/2017 #	THE, FRANK BOLDEN AS	DAIN TRAILER	0.00	25.63	90.0	0.00	23.07	0.00	23.07
12/11/2017 #	THE, FRANK BOLDEN AS	DAIN TRAILER	0.00	27.17	90.0	0.00	24.45	0.00	24.45
12/11/2017 #	THE, FRANK BOLDEN AS	DAIN TRAILER	0.00	3.87	90.0	0.00	3.48	0.00	3.48
12/11/2017 #	THE, FRANK BOLDEN AS	DAIN TRAILER	0.00	7.29	90.0	0.00	6.56	0.00	6.56
12/11/2017 #	BRIGGS, MYRA	DAIN TRAILER	0.00	3.73	90.0	0.00	3.36	0.00	3.36
12/11/2017 #	BRIGGS, MYRA	DAIN TRAILER	0.00	2.88	90.0	0.00	2.59	0.00	2.59
12/11/2017 #	BRIGGS, MYRA	DAIN TRAILER	0.00	6.82	90.0	0.00	6.14	0.00	6.14
12/11/2017 #	BRIGGS, MYRA	DAIN TRAILER	0.00	10.14	90.0	0.00	9.13	0.00	9.13
12/11/2017 #	BRIGGS, MYRA	DAIN TRAILER	0.00	1.41	90.0	0.00	1.27	0.00	1.27
12/11/2017 #	TAYLOR, PHILLIS	DAIN TRAILER	0.00	3.19	90.0	0.00	2.87	0.00	2.87
12/22/2017 #	MONTGOMERY, KEVIN	DAIN TRAILER	0.00	0.32	90.0	0.00	0.29	0.00	0.29
12/26/2017 #	TAYLOR, PHILLIS	DAIN TRAILER	22,020.71	0.00	90.0	0.00	0.00	0.00	0.00
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$46,049.46</b>	<b>\$466.15</b>		<b>\$0.00</b>	<b>\$419.61</b>	<b>\$0.00</b>	<b>\$419.61</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$46,749.46</b>	<b>\$485.40</b>		<b>\$0.00</b>	<b>\$436.95</b>	<b>\$0.00</b>	<b>\$436.95</b>

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ADJUSTMENTS

01/20/2018		CIRCLEBLACK: CIRCLEBLACK							-175.00
		*** ADJUSTMENTS TOTAL ***							\$-175.00

BROKER COMMISSION TOTALS

Broker Transactions	\$436.95
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-175.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$261.95
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