

STATEMENT

January 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>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
11/13/2017	#01484642077	MENGWEWENDE	FIDELITY ADV GLOBAL CAP APP-CL C	11.30	0.11	93.0	0.00	0.10	0.10
11/13/2017	#01484642127		FIDELITY ADV GLOBAL CAP APP-CL C	17.41	0.17	93.0	0.00	0.16	0.16
11/13/2017	#01484641962	FILOPDIANL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	32.85	0.33	93.0	0.00	0.31	0.31
11/13/2017	#01484642051	HERSHLORR	FIDELITY ADVISOR FOCUS FUNDS HEALTH	73.36	0.73	93.0	0.00	0.68	0.68
11/13/2017	#01484642077	MENGWEWENDE	FIDELITY ADVISOR FOCUS FUNDS HEALTH	22.60	0.23	93.0	0.00	0.21	0.21
11/13/2017	#01484641962	FILOPDIANL	FIDELITY ADVISOR SER VII BIOTECHNOL	32.85	0.33	93.0	0.00	0.31	0.31
11/13/2017	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VII BIOTECHNOL	73.36	0.73	93.0	0.00	0.68	0.68
11/13/2017	#01484642077	MENGWEWENDE	FIDELITY ADVISOR SER VII BIOTECHNOL	16.95	0.17	93.0	0.00	0.16	0.16
11/13/2017	#01484642077	MENGWEWENDE	FIDELITY ADVISOR SER VIII GLOBAL EQ	11.32	0.11	93.0	0.00	0.10	0.10
11/13/2017	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VIII GLOBAL EQ	73.35	0.73	93.0	0.00	0.68	0.68
11/13/2017	#01484642127		FIDELITY MID CAP VALUE	10.44	0.10	93.0	0.00	0.09	0.09
11/13/2017	#01484642077	MENGWEWENDE	FIDELITY MID CAP VALUE	22.60	0.23	93.0	0.00	0.21	0.21
11/13/2017	#01484642077	MENGWEWENDE	FIDELITY SMALL CAP BLEND	16.95	0.17	93.0	0.00	0.16	0.16
11/13/2017	#01484642127		FIDELITY SMALL CAP BLEND	6.96	0.07	93.0	0.00	0.07	0.07
11/13/2017	#01484641962	FILOPDIANL	FIDELITY VALUE FUND	32.85	0.33	93.0	0.00	0.31	0.31
11/13/2017	#01484642127		FIDELITY VALUE FUND	21.76	0.22	93.0	0.00	0.20	0.20
11/13/2017	#01484642077	MENGWEWENDE	FIDELITY VALUE FUND	11.30	0.11	93.0	0.00	0.10	0.10
11/13/2017	#01484642051	HERSHLORR	FIDELITY VALUE FUND	73.36	0.73	93.0	0.00	0.68	0.68
11/13/2017	#01484641962	FILOPDIANL	FIDLEITY INTERMEDIATE	32.85	0.33	93.0	0.00	0.31	0.31
11/13/2017	#01484642127		FIDLEITY INTERMEDIATE	30.46	0.30	93.0	0.00	0.28	0.28
11/13/2017	#01484642051	HERSHLORR	FIDLEITY INTERMEDIATE	73.36	0.73	93.0	0.00	0.68	0.68
11/20/2017	#000000000356752		FRANKLIN STRATEGIC SER NAT RES FD C	322.83	3.23	93.0	0.00	3.00	3.00
11/20/2017	#000000000869786	ELANCHENNY,	FRKLN GOLD & PRECIOUS METALS FUND C	500.00	5.00	93.0	0.00	4.65	4.65
11/20/2017	#00777147840	YONANSAMER	INVESCO BALANCED-RISK ALLOCATION FD	34.62	0.35	93.0	0.00	0.33	0.33
11/20/2017	#00777147840	YONANSAMER	INVESCO CHARTER FUND - CLASS C	103.85	1.04	93.0	0.00	0.97	0.97
11/20/2017	#00777131002	MALKASKM	INVESCO CORE	387.69	3.88	93.0	0.00	3.61	3.61
11/20/2017	#00777131003	SHAH, BHARAT	INVESCO CORE	387.69	3.88	93.0	0.00	3.61	3.61
11/20/2017	#00777131005	PIATTHER	INVESCO CORE	250.00	2.50	93.0	0.00	2.33	2.33

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									
11/20/2017	#00777147840	YONANSAMER	INVESCO ENERGY FUND CLASS C	69.23	0.69	93.0	0.00	0.64	0.64
11/20/2017	#00777131002	MALKASMK	INVESCO GLOBAL HEALTH CARE FUND CL	147.69	1.48	93.0	0.00	1.38	1.38
11/20/2017	#00777131003	SHAH, BHARAT	INVESCO GLOBAL HEALTH CARE FUND CL	147.69	1.48	93.0	0.00	1.38	1.38
11/20/2017	#00777147840	YONANSAMER	INVESCO GLOBAL HEALTH CARE FUND CL	69.23	0.69	93.0	0.00	0.64	0.64
11/20/2017	#00777147840	YONANSAMER	INVESCO INCOME ALLOCATION	69.23	0.69	93.0	0.00	0.64	0.64
11/20/2017	#00777147840	YONANSAMER	INVESCO INTERNATION	103.85	1.04	93.0	0.00	0.97	0.97
11/20/2017	#00777131002	MALKASMK	INVESCO MLP CLASS C	258.47	2.58	93.0	0.00	2.40	2.40
11/20/2017	#00777131003	SHAH, BHARAT	INVESCO MLP CLASS C	258.47	2.58	93.0	0.00	2.40	2.40
11/20/2017	#00777153356	MITCHCYNTHA	INVESCO MONEY MARKET FUND - CLASS C	29.68	0.30	93.0	0.00	0.28	0.28
11/20/2017	#00777131002	MALKASMK	INVESCO MULTI ASSET CLASS C	129.23	1.29	93.0	0.00	1.20	1.20
11/20/2017	#00777131003	SHAH, BHARAT	INVESCO MULTI ASSET CLASS C	129.23	1.29	93.0	0.00	1.20	1.20
11/20/2017	#00777147840	YONANSAMER	INVESCO MULTI ASSET CLASS C	69.22	0.69	93.0	0.00	0.64	0.64
11/20/2017	#00777147840	YONANSAMER	INVESCO VAN KAMPEN COMSTOCK FUND CL	69.23	0.69	93.0	0.00	0.64	0.64
11/20/2017	#00777147840	YONANSAMER	INVESTCO ASIA PACIFIC GROWTH	103.85	1.04	93.0	0.00	0.97	0.97
11/20/2017	#000000000645010		MUTUAL FINANCIAL SERVICES FUND-CLAS	322.83	3.23	93.0	0.00	3.00	3.00
11/27/2017	#01484642077	MENGWEWENDE	FIDELITY ADV GLOBAL CAP APP-CL C	9.02	0.09	93.0	0.00	0.08	0.08
11/27/2017	#01484642127		FIDELITY ADV GLOBAL CAP APP-CL C	17.09	0.17	93.0	0.00	0.16	0.16
11/27/2017	#01484641962	FILOPDIANL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	29.14	0.29	93.0	0.00	0.27	0.27
11/27/2017	#01484642051	HERSHLORR	FIDELITY ADVISOR FOCUS FUNDS HEALTH	56.72	0.57	93.0	0.00	0.53	0.53
11/27/2017	#01484642077	MENGWEWENDE	FIDELITY ADVISOR FOCUS FUNDS HEALTH	18.04	0.18	93.0	0.00	0.17	0.17
11/27/2017	#01484641962	FILOPDIANL	FIDELITY ADVISOR SER VII BIOTECHNOL	29.14	0.29	93.0	0.00	0.27	0.27
11/27/2017	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VII BIOTECHNOL	56.72	0.57	93.0	0.00	0.53	0.53
11/27/2017	#01484642077	MENGWEWENDE	FIDELITY ADVISOR SER VII BIOTECHNOL	13.53	0.14	93.0	0.00	0.13	0.13
11/27/2017	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VIII GLOBAL EQ	56.74	0.57	93.0	0.00	0.53	0.53
11/27/2017	#01484642077	MENGWEWENDE	FIDELITY ADVISOR SER VIII GLOBAL EQ	9.02	0.09	93.0	0.00	0.08	0.08
11/27/2017	#01484642077	MENGWEWENDE	FIDELITY MID CAP VALUE	18.04	0.18	93.0	0.00	0.17	0.17
11/27/2017	#01484642127		FIDELITY MID CAP VALUE	10.25	0.10	93.0	0.00	0.09	0.09
11/27/2017	#01484642077	MENGWEWENDE	FIDELITY SMALL CAP BLEND	13.53	0.14	93.0	0.00	0.13	0.13
11/27/2017	#01484642127		FIDELITY SMALL CAP BLEND	6.84	0.07	93.0	0.00	0.07	0.07
11/27/2017	#01484641962	FILOPDIANL	FIDELITY VALUE FUND	29.14	0.29	93.0	0.00	0.27	0.27
11/27/2017	#01484642051	HERSHLORR	FIDELITY VALUE FUND	56.72	0.57	93.0	0.00	0.53	0.53
11/27/2017	#01484642077	MENGWEWENDE	FIDELITY VALUE FUND	9.02	0.09	93.0	0.00	0.08	0.08
11/27/2017	#01484642127		FIDELITY VALUE FUND	21.36	0.21	93.0	0.00	0.20	0.20
11/27/2017	#01484641962	FILOPDIANL	FIDLEITY INTERMEDIATE	29.13	0.29	93.0	0.00	0.27	0.27
11/27/2017	#01484642051	HERSHLORR	FIDLEITY INTERMEDIATE	56.72	0.57	93.0	0.00	0.53	0.53
11/27/2017	#01484642127		FIDLEITY INTERMEDIATE	29.91	0.30	93.0	0.00	0.28	0.28

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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>									
12/04/2017	#000000000356752	FRANKLIN STRATEGIC SER NAT RES FD C	312.01	3.12	93.0	0.00	2.90	0.00	2.90
12/04/2017	#000000000356752	FRANKLIN STRATEGIC SER NAT RES FD C	322.83	3.23	93.0	0.00	3.00	0.00	3.00
12/04/2017	#000000000869786	ELANCHENNY, FRKLN GOLD & PRECIOUS METALS FUND C	2,000.00	20.00	93.0	0.00	18.60	0.00	18.60
12/04/2017	#000000000869786	ELANCHENNY, FRKLN GOLD & PRECIOUS METALS FUND C	500.00	5.00	93.0	0.00	4.65	0.00	4.65
12/04/2017	#00777147840	YONANSAMER INVESCO BALANCED-RISK ALLOCATION FD	34.62	0.35	93.0	0.00	0.33	0.00	0.33
12/04/2017	#00777147840	YONANSAMER INVESCO CHARTER FUND - CLASS C	103.85	1.04	93.0	0.00	0.97	0.00	0.97
12/04/2017	#00777131002	MALKASMK INVESCO CORE	387.69	3.88	93.0	0.00	3.61	0.00	3.61
12/04/2017	#00777131003	SHAH, BHARAT INVESCO CORE	387.69	3.88	93.0	0.00	3.61	0.00	3.61
12/04/2017	#00777131005	PIATTTHER INVESCO CORE	250.00	2.50	93.0	0.00	2.33	0.00	2.33
12/04/2017	#00777147840	YONANSAMER INVESCO ENERGY FUND CLASS C	69.23	0.69	93.0	0.00	0.64	0.00	0.64
12/04/2017	#00777131002	MALKASMK INVESCO GLOBAL HEALTH CARE FUND CL	147.69	1.48	93.0	0.00	1.38	0.00	1.38
12/04/2017	#00777131003	SHAH, BHARAT INVESCO GLOBAL HEALTH CARE FUND CL	147.69	1.48	93.0	0.00	1.38	0.00	1.38
12/04/2017	#00777147840	YONANSAMER INVESCO GLOBAL HEALTH CARE FUND CL	69.23	0.69	93.0	0.00	0.64	0.00	0.64
12/04/2017	#00777147840	YONANSAMER INVESCO INCOME ALLOCATION	69.23	0.69	93.0	0.00	0.64	0.00	0.64
12/04/2017	#00777147840	YONANSAMER INVESCO INTERNATION	103.85	1.04	93.0	0.00	0.97	0.00	0.97
12/04/2017	#00777131002	MALKASMK INVESCO MLP CLASS C	258.47	2.58	93.0	0.00	2.40	0.00	2.40
12/04/2017	#00777131003	SHAH, BHARAT INVESCO MLP CLASS C	258.47	2.58	93.0	0.00	2.40	0.00	2.40
12/04/2017	#00777153356	MITCHCYNTHA INVESCO MONEY MARKET FUND - CLASS C	29.68	0.30	93.0	0.00	0.28	0.00	0.28
12/04/2017	#00777131002	MALKASMK INVESCO MULTI ASSET CLASS C	129.23	1.29	93.0	0.00	1.20	0.00	1.20
12/04/2017	#00777131003	SHAH, BHARAT INVESCO MULTI ASSET CLASS C	129.23	1.29	93.0	0.00	1.20	0.00	1.20
12/04/2017	#00777147840	YONANSAMER INVESCO MULTI ASSET CLASS C	69.22	0.69	93.0	0.00	0.64	0.00	0.64
12/04/2017	#00777147840	YONANSAMER INVESCO VAN KAMPEN COMSTOCK FUND CL	69.23	0.69	93.0	0.00	0.64	0.00	0.64
12/04/2017	#00777147840	YONANSAMER INVESTCO ASIA PACIFIC GROWTH	103.85	1.04	93.0	0.00	0.97	0.00	0.97
12/04/2017	#000000000645010	MUTUAL FINANCIAL SERVICES FUND-CLAS	322.83	3.23	93.0	0.00	3.00	0.00	3.00
12/04/2017	#000000000645010	MUTUAL FINANCIAL SERVICES FUND-CLAS	312.01	3.12	93.0	0.00	2.90	0.00	2.90
12/11/2017	#01484642127	FIDELITY ADV GLOBAL CAP APP-CL C	22.26	0.22	93.0	0.00	0.20	0.00	0.20
12/11/2017	#01484642077	MENGEWENDE FIDELITY ADV GLOBAL CAP APP-CL C	7.91	0.08	93.0	0.00	0.07	0.00	0.07
12/11/2017	#01484641962	FILOPDIANL FIDELITY ADVISOR FOCUS FUNDS HEALTH	35.91	0.36	93.0	0.00	0.33	0.00	0.33
12/11/2017	#01484642077	MENGEWENDE FIDELITY ADVISOR FOCUS FUNDS HEALTH	15.81	0.16	93.0	0.00	0.15	0.00	0.15
12/11/2017	#01484642051	HERSHLORR FIDELITY ADVISOR FOCUS FUNDS HEALTH	85.73	0.86	93.0	0.00	0.80	0.00	0.80
12/11/2017	#01484642077	MENGEWENDE FIDELITY ADVISOR SER VII BIOTECHNOL	11.86	0.12	93.0	0.00	0.11	0.00	0.11
12/11/2017	#01484642051	HERSHLORR FIDELITY ADVISOR SER VII BIOTECHNOL	85.73	0.86	93.0	0.00	0.80	0.00	0.80
12/11/2017	#01484641962	FILOPDIANL FIDELITY ADVISOR SER VII BIOTECHNOL	35.91	0.36	93.0	0.00	0.33	0.00	0.33
12/11/2017	#01484642077	MENGEWENDE FIDELITY ADVISOR SER VIII GLOBAL EQ	7.90	0.08	93.0	0.00	0.07	0.00	0.07
12/11/2017	#01484642051	HERSHLORR FIDELITY ADVISOR SER VIII GLOBAL EQ	85.71	0.86	93.0	0.00	0.80	0.00	0.80
12/11/2017	#01484642077	MENGEWENDE FIDELITY MID CAP VALUE	15.81	0.16	93.0	0.00	0.15	0.00	0.15

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>									
12/11/2017	#01484642127	FIDELITY MID CAP VALUE	13.35	0.13	93.0	0.00	0.12	0.00	0.12
12/11/2017	#01484642127	FIDELITY SMALL CAP BLEND	8.90	0.09	93.0	0.00	0.08	0.00	0.08
12/11/2017	#01484642077 MENGEWENDE	FIDELITY SMALL CAP BLEND	11.86	0.12	93.0	0.00	0.11	0.00	0.11
12/11/2017	#01484642127	FIDELITY VALUE FUND	27.83	0.28	93.0	0.00	0.26	0.00	0.26
12/11/2017	#01484642077 MENGEWENDE	FIDELITY VALUE FUND	7.91	0.08	93.0	0.00	0.07	0.00	0.07
12/11/2017	#01484642051 HERSHLORR	FIDELITY VALUE FUND	85.73	0.86	93.0	0.00	0.80	0.00	0.80
12/11/2017	#01484641962 FILOPDIANL	FIDELITY VALUE FUND	35.91	0.36	93.0	0.00	0.33	0.00	0.33
12/11/2017	#01484642127	FIDLEITY INTERMEDIATE	38.96	0.39	93.0	0.00	0.36	0.00	0.36
12/11/2017	#01484642051 HERSHLORR	FIDLEITY INTERMEDIATE	85.73	0.86	93.0	0.00	0.80	0.00	0.80
12/11/2017	#01484641962 FILOPDIANL	FIDLEITY INTERMEDIATE	35.91	0.36	93.0	0.00	0.33	0.00	0.33
12/18/2017	#03900189779 SAINI, VIPUL	FIDELITY ADV EUROPE FUND CLASS C	1,250.00	12.50	93.0	0.00	11.63	0.00	11.63
12/18/2017	#03900189786 SHAH-SAINI,	FIDELITY ADV EUROPE FUND CLASS C	1,250.00	12.50	93.0	0.00	11.63	0.00	11.63
12/18/2017	#03900189779 SAINI, VIPUL	FIDELITY ADV FREEDOM 2020-CL C	2,500.00	25.00	93.0	0.00	23.25	0.00	23.25
12/18/2017	#03900189786 SHAH-SAINI,	FIDELITY ADV FREEDOM 2020-CL C	2,500.00	25.00	93.0	0.00	23.25	0.00	23.25
12/18/2017	#03900189779 SAINI, VIPUL	FIDELITY ADV FREEDOM 2025 CL C	2,500.00	25.00	93.0	0.00	23.25	0.00	23.25
12/18/2017	#03900189786 SHAH-SAINI,	FIDELITY ADV FREEDOM 2025 CL C	2,500.00	25.00	93.0	0.00	23.25	0.00	23.25
12/18/2017	#03900189779 SAINI, VIPUL	FIDELITY ADV INT'L CAPITAL APP CL C	2,500.00	25.00	93.0	0.00	23.25	0.00	23.25
12/18/2017	#03900189786 SHAH-SAINI,	FIDELITY ADV INT'L CAPITAL APP CL C	2,500.00	25.00	93.0	0.00	23.25	0.00	23.25
12/18/2017	#03900189779 SAINI, VIPUL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	2,500.00	25.00	93.0	0.00	23.25	0.00	23.25
12/18/2017	#03900189786 SHAH-SAINI,	FIDELITY ADVISOR FOCUS FUNDS HEALTH	2,500.00	25.00	93.0	0.00	23.25	0.00	23.25
12/18/2017	#03900189779 SAINI, VIPUL	FIDLEITY INTERMEDIATE	1,250.00	12.50	93.0	0.00	11.63	0.00	11.63
12/18/2017	#03900189786 SHAH-SAINI,	FIDLEITY INTERMEDIATE	1,250.00	12.50	93.0	0.00	11.63	0.00	11.63
12/18/2017	#00777147840 YONANSAMER	INVESCO BALANCED-RISK ALLOCATION FD	34.62	0.35	93.0	0.00	0.33	0.00	0.33
12/18/2017	#00777147840 YONANSAMER	INVESCO CHARTER FUND - CLASS C	103.85	1.04	93.0	0.00	0.97	0.00	0.97
12/18/2017	#00777131002 MALKASKM	INVESCO CORE	387.69	3.88	93.0	0.00	3.61	0.00	3.61
12/18/2017	#00777131003 SHAH, BHARAT	INVESCO CORE	387.69	3.88	93.0	0.00	3.61	0.00	3.61
12/18/2017	#00777131005 PIATTTHERR	INVESCO CORE	250.00	2.50	93.0	0.00	2.33	0.00	2.33
12/18/2017	#00777147840 YONANSAMER	INVESCO ENERGY FUND CLASS C	69.23	0.69	93.0	0.00	0.64	0.00	0.64
12/18/2017	#00777131002 MALKASKM	INVESCO GLOBAL HEALTH CARE FUND CL	147.69	1.48	93.0	0.00	1.38	0.00	1.38
12/18/2017	#00777131003 SHAH, BHARAT	INVESCO GLOBAL HEALTH CARE FUND CL	147.69	1.48	93.0	0.00	1.38	0.00	1.38
12/18/2017	#00777147840 YONANSAMER	INVESCO GLOBAL HEALTH CARE FUND CL	69.23	0.69	93.0	0.00	0.64	0.00	0.64
12/18/2017	#00777147840 YONANSAMER	INVESCO INCOME ALLOCATION	69.23	0.69	93.0	0.00	0.64	0.00	0.64
12/18/2017	#00777147840 YONANSAMER	INVESCO INTERNATIONAL	103.85	1.04	93.0	0.00	0.97	0.00	0.97
12/18/2017	#00777131002 MALKASKM	INVESCO MLP CLASS C	258.47	2.58	93.0	0.00	2.40	0.00	2.40
12/18/2017	#00777131003 SHAH, BHARAT	INVESCO MLP CLASS C	258.47	2.58	93.0	0.00	2.40	0.00	2.40
12/18/2017	#00777153356 MITCHCYNTHA	INVESCO MONEY MARKET FUND - CLASS C	29.68	0.30	93.0	0.00	0.28	0.00	0.28

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>									
12/18/2017	#00777131002	MALKASMK	INVESCO MULTI ASSET CLASS C	129.23	1.29	93.0	0.00	1.20	1.20
12/18/2017	#00777131003	SHAH, BHARAT	INVESCO MULTI ASSET CLASS C	129.23	1.29	93.0	0.00	1.20	1.20
12/18/2017	#00777147840	YONANSAMER	INVESCO MULTI ASSET CLASS C	69.22	0.69	93.0	0.00	0.64	0.64
12/18/2017	#00777147840	YONANSAMER	INVESCO VAN KAMPEN COMSTOCK FUND CL	69.23	0.69	93.0	0.00	0.64	0.64
12/18/2017	#00777147840	YONANSAMER	INVESTCO ASIA PACIFIC GROWTH	103.85	1.04	93.0	0.00	0.97	0.97
12/19/2017	#000000000356752		FRANKLIN STRATEGIC SER NAT RES FD C	312.01	3.12	93.0	0.00	2.90	2.90
12/19/2017	#000000000356752		FRANKLIN STRATEGIC SER NAT RES FD C	322.83	3.23	93.0	0.00	3.00	3.00
12/19/2017	#000000000869786	ELANCHENNY,	FRKLN GOLD & PRECIOUS METALS FUND C	500.00	5.00	93.0	0.00	4.65	4.65
12/19/2017	#000000000869786	ELANCHENNY,	FRKLN GOLD & PRECIOUS METALS FUND C	2,000.00	20.00	93.0	0.00	18.60	18.60
12/19/2017	#000000000645010		MUTUAL FINANCIAL SERVICES FUND-CLAS	322.83	3.23	93.0	0.00	3.00	3.00
12/19/2017	#000000000645010		MUTUAL FINANCIAL SERVICES FUND-CLAS	312.01	3.12	93.0	0.00	2.90	2.90
* MUTUAL FUNDS SUBTOTAL *			\$44,176.16	\$441.78		\$0.00	\$410.88	\$0.00	\$410.88
<u>PRODUCT CATEGORY: STOCKS</u>									
12/04/2017	#	BHARAT C SHAH TTEE	APPLIED MATERIALS INC	29,845.20	25.00	85.0	0.00	21.25	1.30
12/06/2017	#	SHAH, VASTUPAL	PHILIP MORRIS INTERNATIONAL INC	35,182.95	5.00	85.0	0.00	4.25	-15.70
12/07/2017	#	PATEL, PRAVIN	EXPEDIA INC	23,750.56	30.00	85.0	0.00	25.50	5.55
12/13/2017	#	BHARAT C SHAH TTEE	ANTHEM INC COM	46,418.00	105.00	85.0	0.00	89.25	69.30
12/18/2017	#	ELANCHENNY, VYTHILINGAM	CREDIT SUISSE GROUP SPONSORED ADR	12,473.01	190.22	85.0	0.00	161.69	141.74
12/18/2017	#	ELANCHENNY, VYTHILINGAM	DEUTSCHE BANK AG	20,047.00	303.28	85.0	0.00	257.79	237.84
12/18/2017	#	SHARMA, MADHU	FACEBOOK INC	18,032.62	5.00	85.0	0.00	4.25	-15.70
12/20/2017	#	ELANCHENNY, VYTHILINGAM	***MANULIFE FINANCIAL CORP	20,863.00	220.58	85.0	0.00	187.49	167.54
12/20/2017	#	SHARMA, MADHU	BARCLAYS BANK PLC IPATH S&P 500 VIX	27.60	5.00	85.0	0.00	4.25	-15.70
12/20/2017	#	SHARMA, MADHU	DIREXION SHS ETF TR DAILY ENERGY BE	652.25	5.00	85.0	0.00	4.25	-15.70
12/20/2017	#	SHARMA, MADHU	DXC TECHNOLOGY COMPANY COMMON STOCK	3,374.35	5.00	85.0	0.00	4.25	-15.70
12/20/2017	#	ELANCHENNY, VYTHILINGAM	MACOM TECHNOLOGY SOLUTIONS HOLDINGS	904.23	50.00	85.0	0.00	42.50	22.55
12/20/2017	#	ELANCHENNY, VYTHILINGAM	VALE S A SPONSORED ADR	21,486.60	249.44	85.0	0.00	212.02	192.07
12/26/2017	#	PATEL, PRAVIN	SQUARE INC	17,528.85	40.00	85.0	0.00	34.00	14.05
12/27/2017	#	ELANCHENNY, VYTHILINGAM	KLA-TENCOR CORP	59,828.16	75.00	85.0	0.00	63.75	43.80
* STOCKS SUBTOTAL *			\$310,414.38	\$1,313.52		\$0.00	\$1,116.49	\$299.25	\$817.24
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
12/22/2017	#225776435	VORA, V	BRIGHTHOUSE FINANCIAL 31SA16	0.00	2,120.51	93.0	0.00	1,972.07	1,972.07
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$2,120.51		\$0.00	\$1,972.07	\$0.00	\$1,972.07

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>									
12/01/2017	#00082574591	AMCAP FUND INC CLASS A	0.00	7.63	93.0	0.00	7.10	0.00	7.10
12/01/2017	#00073593614 RICHMAN, BARRY	AMERICAN BALANCED FUND INC CL C	0.00	21.09	93.0	0.00	19.61	0.00	19.61
12/01/2017	#00073594160	AMERICAN BALANCED FUND INC CL C	0.00	21.09	93.0	0.00	19.61	0.00	19.61
12/01/2017	#00073593614 RICHMAN, BARRY	AMERICAN BALANCED FUND INC CLASS A	0.00	15.74	93.0	0.00	14.64	0.00	14.64
12/01/2017	#00073594160	AMERICAN BALANCED FUND INC CLASS A	0.00	15.96	93.0	0.00	14.84	0.00	14.84
12/01/2017	#00073593614 RICHMAN, BARRY	AMERICAN HIGH INCOME TR CL C	0.00	10.22	93.0	0.00	9.50	0.00	9.50
12/01/2017	#00073594160	AMERICAN HIGH INCOME TR CL C	0.00	10.22	93.0	0.00	9.50	0.00	9.50
12/01/2017	#00073593614 RICHMAN, BARRY	AMERICAN MUTUAL FUND INC CL C	0.00	4.75	93.0	0.00	4.42	0.00	4.42
12/01/2017	#00073594160	AMERICAN MUTUAL FUND INC CL C	0.00	4.75	93.0	0.00	4.42	0.00	4.42
12/01/2017	#00073594160	AMERICAN MUTUAL FUND INC CLASS A	0.00	13.51	93.0	0.00	12.56	0.00	12.56
12/01/2017	#00087151642	AMERICAN MUTUAL FUND INC CLASS A	0.00	15.80	93.0	0.00	14.69	0.00	14.69
12/01/2017	#00087151662	AMERICAN MUTUAL FUND INC CLASS A	0.00	3.12	93.0	0.00	2.90	0.00	2.90
12/01/2017	#00082574591	AMERICAN MUTUAL FUND INC CLASS A	0.00	12.68	93.0	0.00	11.79	0.00	11.79
12/01/2017	#00073593614 RICHMAN, BARRY	BOND FUND AMER INC CL C	0.00	5.47	93.0	0.00	5.09	0.00	5.09
12/01/2017	#00073594160	BOND FUND AMER INC CL C	0.00	5.47	93.0	0.00	5.09	0.00	5.09
12/01/2017	#00073593614 RICHMAN, BARRY	CAPITAL INCOME BLDR FUND CL C	0.00	26.68	93.0	0.00	24.81	0.00	24.81
12/01/2017	#00073594160	CAPITAL INCOME BLDR FUND CL C	0.00	26.68	93.0	0.00	24.81	0.00	24.81
12/01/2017	#00073593614 RICHMAN, BARRY	CAPITAL INCOME BUILDER FD CL F-1	0.00	1.61	93.0	0.00	1.50	0.00	1.50
12/01/2017	#00073594160	CAPITAL INCOME BUILDER FD CL F-1	0.00	1.61	93.0	0.00	1.50	0.00	1.50
12/01/2017	#00073593614 RICHMAN, BARRY	CAPITAL WORLD BOND FUND-C	0.00	13.53	93.0	0.00	12.58	0.00	12.58
12/01/2017	#00073594160	CAPITAL WORLD BOND FUND-C	0.00	13.53	93.0	0.00	12.58	0.00	12.58
12/01/2017	#00073593614 RICHMAN, BARRY	CAPITAL WORLD GROWTH & INCOME FUND	0.00	14.98	93.0	0.00	13.93	0.00	13.93
12/01/2017	#00073594160	CAPITAL WORLD GROWTH & INCOME FUND	0.00	14.98	93.0	0.00	13.93	0.00	13.93
12/01/2017	#00073593614 RICHMAN, BARRY	CAPITAL WORLD GROWTH & INCOME FUND	0.00	18.10	93.0	0.00	16.83	0.00	16.83
12/01/2017	#00073594160	CAPITAL WORLD GROWTH & INCOME FUND	0.00	18.10	93.0	0.00	16.83	0.00	16.83
12/01/2017	#00087151642	CAPITAL WORLD GROWTH & INCOME FUND	0.00	41.24	93.0	0.00	38.35	0.00	38.35
12/01/2017	#00087151662	CAPITAL WORLD GROWTH & INCOME FUND	0.00	8.18	93.0	0.00	7.61	0.00	7.61
12/01/2017	#00073593614 RICHMAN, BARRY	EURO PAC GROWTH FUND CL C	0.00	22.50	93.0	0.00	20.93	0.00	20.93
12/01/2017	#00073594160	EURO PAC GROWTH FUND CL C	0.00	22.50	93.0	0.00	20.93	0.00	20.93
12/01/2017	#00073593614 RICHMAN, BARRY	EURO PAC GROWTH FUND CL F1	0.00	1.89	93.0	0.00	1.76	0.00	1.76
12/01/2017	#00073594160	EURO PAC GROWTH FUND CL F1	0.00	1.89	93.0	0.00	1.76	0.00	1.76
12/01/2017	#00058617349	EURO PACIFIC GROWTH FUND CLASS A	0.00	0.76	93.0	0.00	0.71	0.00	0.71
12/01/2017	#00058617350	EURO PACIFIC GROWTH FUND CLASS A	0.00	0.76	93.0	0.00	0.71	0.00	0.71
12/01/2017	#00087151642	EURO PACIFIC GROWTH FUND CLASS A	0.00	45.46	93.0	0.00	42.28	0.00	42.28
12/01/2017	#00087151662	EURO PACIFIC GROWTH FUND CLASS A	0.00	9.01	93.0	0.00	8.38	0.00	8.38
12/01/2017	#00073593614 RICHMAN, BARRY	FUNDAMENTAL INVS INC CL C	0.00	10.01	93.0	0.00	9.31	0.00	9.31

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>									
12/01/2017	#00073594160	FUNDAMENTAL INVS INC CL C	0.00	10.01	93.0	0.00	9.31	0.00	9.31
12/01/2017	#00073593614 RICHMAN, BARRY	FUNDAMENTAL INVS INC CL F1	0.00	2.35	93.0	0.00	2.19	0.00	2.19
12/01/2017	#00073594160	FUNDAMENTAL INVS INC CL F1	0.00	2.35	93.0	0.00	2.19	0.00	2.19
12/01/2017	#00087151642	GLOBAL BALANCED FUND-A	0.00	11.85	93.0	0.00	11.02	0.00	11.02
12/01/2017	#00087151662	GLOBAL BALANCED FUND-A	0.00	2.35	93.0	0.00	2.19	0.00	2.19
12/01/2017	#00073593614 RICHMAN, BARRY	GLOBAL BALANCED FUND-C	0.00	3.54	93.0	0.00	3.29	0.00	3.29
12/01/2017	#00073594160	GLOBAL BALANCED FUND-C	0.00	3.54	93.0	0.00	3.29	0.00	3.29
12/01/2017	#00073593614 RICHMAN, BARRY	INCOME FUND AMER INC CL F1	0.00	8.55	93.0	0.00	7.95	0.00	7.95
12/01/2017	#00073594160	INCOME FUND AMER INC CL F1	0.00	8.55	93.0	0.00	7.95	0.00	7.95
12/01/2017	#00058617349	INCOME FUND OF AMERICA INC CLASS A	0.00	3.39	93.0	0.00	3.15	0.00	3.15
12/01/2017	#00058617350	INCOME FUND OF AMERICA INC CLASS A	0.00	3.39	93.0	0.00	3.15	0.00	3.15
12/01/2017	#00087151642	INTERNATIONAL GROWTH AND INCOME-A	0.00	8.06	93.0	0.00	7.50	0.00	7.50
12/01/2017	#00087151662	INTERNATIONAL GROWTH AND INCOME-A	0.00	1.60	93.0	0.00	1.49	0.00	1.49
12/01/2017	#00073593614 RICHMAN, BARRY	INTERNATIONAL GROWTH AND INCOME-C	0.00	2.41	93.0	0.00	2.24	0.00	2.24
12/01/2017	#00073594160	INTERNATIONAL GROWTH AND INCOME-C	0.00	2.41	93.0	0.00	2.24	0.00	2.24
12/01/2017	#00073593614 RICHMAN, BARRY	INVESTMENT CO AMER CL C	0.00	3.69	93.0	0.00	3.43	0.00	3.43
12/01/2017	#00073594160	INVESTMENT CO AMER CL C	0.00	3.69	93.0	0.00	3.43	0.00	3.43
12/01/2017	#00073593614 RICHMAN, BARRY	INVESTMENT CO AMER CLASS A	0.00	13.70	93.0	0.00	12.74	0.00	12.74
12/01/2017	#00058617349	INVESTMENT CO AMER CLASS A	0.00	33.06	93.0	0.00	30.75	0.00	30.75
12/01/2017	#00058617350	INVESTMENT CO AMER CLASS A	0.00	22.71	93.0	0.00	21.12	0.00	21.12
12/01/2017	#00063750181	INVESTMENT CO AMER CLASS A	0.00	22.01	93.0	0.00	20.47	0.00	20.47
12/01/2017	#00063751738	INVESTMENT CO AMER CLASS A	0.00	22.04	93.0	0.00	20.50	0.00	20.50
12/01/2017	#00087151642	INVESTMENT CO AMER CLASS A	0.00	12.09	93.0	0.00	11.24	0.00	11.24
12/01/2017	#00087151662	INVESTMENT CO AMER CLASS A	0.00	2.40	93.0	0.00	2.23	0.00	2.23
12/01/2017	#00082574591	NEW ECONOMY FUND SBI CLASS A	0.00	5.23	93.0	0.00	4.86	0.00	4.86
12/01/2017	#00087151642	NEW WORLD FUND INC NEW	0.00	44.31	93.0	0.00	41.21	0.00	41.21
12/01/2017	#00087151662	NEW WORLD FUND INC NEW	0.00	8.78	93.0	0.00	8.17	0.00	8.17
12/01/2017	#00073593614 RICHMAN, BARRY	NEW WORLD FUND INC NEW CL C	0.00	2.36	93.0	0.00	2.19	0.00	2.19
12/01/2017	#00073594160	NEW WORLD FUND INC NEW CL C	0.00	2.36	93.0	0.00	2.19	0.00	2.19
12/01/2017	#00073593614 RICHMAN, BARRY	WASHINGTON MUTUAL INVESTORS FUND-F1	0.00	2.17	93.0	0.00	2.02	0.00	2.02
12/01/2017	#00073594160	WASHINGTON MUTUAL INVESTORS FUND-F1	0.00	2.17	93.0	0.00	2.02	0.00	2.02
12/01/2017	#00058617349	WASHINGTON MUTUAL INVS FD CLASS A	0.00	0.81	93.0	0.00	0.75	0.00	0.75
12/01/2017	#00058617350	WASHINGTON MUTUAL INVS FD CLASS A	0.00	0.79	93.0	0.00	0.73	0.00	0.73
12/01/2017	#00082574591	WASHINGTON MUTUAL INVS FD CLASS A	0.00	25.45	93.0	0.00	23.67	0.00	23.67
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	9.69	93.0	0.00	9.01	0.00	9.01
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	9.92	93.0	0.00	9.23	0.00	9.23

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>									
12/11/2017 #	VORA, VASANT	DAIN TRAILER	0.00	24.80	93.0	0.00	23.06	0.00	23.06
12/11/2017 #	VORA, VASANT	DAIN TRAILER	0.00	22.03	93.0	0.00	20.49	0.00	20.49
12/11/2017 #	VORA, SHAILA	DAIN TRAILER	0.00	9.20	93.0	0.00	8.56	0.00	8.56
12/11/2017 #	VORA, SHAILA	DAIN TRAILER	0.00	9.32	93.0	0.00	8.67	0.00	8.67
12/11/2017 #	VORA, SHAILA	DAIN TRAILER	0.00	9.52	93.0	0.00	8.85	0.00	8.85
12/11/2017 #	VORA, SHAILA	DAIN TRAILER	0.00	9.99	93.0	0.00	9.29	0.00	9.29
12/11/2017 #	VORA, SHAILA	DAIN TRAILER	0.00	9.92	93.0	0.00	9.23	0.00	9.23
12/11/2017 #	VORA, SHAILA	DAIN TRAILER	0.00	14.21	93.0	0.00	13.22	0.00	13.22
12/11/2017 #	VORA, SHAILA	DAIN TRAILER	0.00	14.88	93.0	0.00	13.84	0.00	13.84
12/11/2017 #	WYNN, MARY	DAIN TRAILER	0.00	0.20	93.0	0.00	0.19	0.00	0.19
12/11/2017 #	SHARMA, RAJ	DAIN TRAILER	0.00	31.71	93.0	0.00	29.49	0.00	29.49
12/11/2017 #	SHARMA, RAJ	DAIN TRAILER	0.00	31.49	93.0	0.00	29.29	0.00	29.29
12/11/2017 #	SHARMA, RAJ	DAIN TRAILER	0.00	27.58	93.0	0.00	25.65	0.00	25.65
12/11/2017 #	SHARMA, RAJ	DAIN TRAILER	0.00	8.09	93.0	0.00	7.52	0.00	7.52
12/11/2017 #	SHARMA, RAJ	DAIN TRAILER	0.00	0.57	93.0	0.00	0.53	0.00	0.53
12/11/2017 #	SHARMA, RAJ	DAIN TRAILER	0.00	0.97	93.0	0.00	0.90	0.00	0.90
12/11/2017 #	SHARMA, RAJ	DAIN TRAILER	0.00	25.61	93.0	0.00	23.82	0.00	23.82
12/11/2017 #	SHARMA, RAJ	DAIN TRAILER	0.00	31.58	93.0	0.00	29.37	0.00	29.37
12/11/2017 #	SHARMA, RAJ	DAIN TRAILER	0.00	57.22	93.0	0.00	53.21	0.00	53.21
12/11/2017 #	SHARMA, RAJ	DAIN TRAILER	0.00	1.35	93.0	0.00	1.26	0.00	1.26
12/11/2017 #	SHARMA, RAJ	DAIN TRAILER	0.00	47.75	93.0	0.00	44.41	0.00	44.41
12/11/2017 #	SHARMA, RAJ	DAIN TRAILER	0.00	18.14	93.0	0.00	16.87	0.00	16.87
12/11/2017 #	SHARMA, RAJ	DAIN TRAILER	0.00	10.06	93.0	0.00	9.36	0.00	9.36
12/11/2017 #	SHAH, BHARAT	DAIN TRAILER	0.00	0.01	93.0	0.00	0.01	0.00	0.01
12/11/2017 #	SHAH, BHARAT	DAIN TRAILER	0.00	34.48	93.0	0.00	32.07	0.00	32.07
12/11/2017 #	SHARMA, MADHU	DAIN TRAILER	0.00	3.45	93.0	0.00	3.21	0.00	3.21
12/11/2017 #	SHARMA, MADHU	DAIN TRAILER	0.00	6.62	93.0	0.00	6.16	0.00	6.16
12/11/2017 #	SHARMA, MADHU	DAIN TRAILER	0.00	14.01	93.0	0.00	13.03	0.00	13.03
12/11/2017 #	SHARMA, MADHU	DAIN TRAILER	0.00	3.62	93.0	0.00	3.37	0.00	3.37
12/11/2017 #	SHARMA, MADHU	DAIN TRAILER	0.00	2.17	93.0	0.00	2.02	0.00	2.02
12/11/2017 #	SHARMA, MADHU	DAIN TRAILER	0.00	17.10	93.0	0.00	15.90	0.00	15.90
12/11/2017 #	SHARMA, MADHU	DAIN TRAILER	0.00	40.27	93.0	0.00	37.45	0.00	37.45
12/11/2017 #	SHARMA, MADHU	DAIN TRAILER	0.00	8.55	93.0	0.00	7.95	0.00	7.95
12/11/2017 #	SHARMA, MADHU	DAIN TRAILER	0.00	1.88	93.0	0.00	1.75	0.00	1.75
12/11/2017 #	SHARMA, MADHU	DAIN TRAILER	0.00	1.29	93.0	0.00	1.20	0.00	1.20
12/11/2017 #	SHARMA, MADHU	DAIN TRAILER	0.00	4.45	93.0	0.00	4.14	0.00	4.14

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>									
12/11/2017	# SHARMA, RAJ	DAIN TRAILER	0.00	15.36	93.0	0.00	14.28	0.00	14.28
12/11/2017	# SHARMA, RAJ	DAIN TRAILER	0.00	0.85	93.0	0.00	0.79	0.00	0.79
12/11/2017	# SHARMA, RAJ	DAIN TRAILER	0.00	2.14	93.0	0.00	1.99	0.00	1.99
12/11/2017	# SHARMA, RAJ	DAIN TRAILER	0.00	1.29	93.0	0.00	1.20	0.00	1.20
12/11/2017	# SHARMA, RAJ	DAIN TRAILER	0.00	5.33	93.0	0.00	4.96	0.00	4.96
12/11/2017	# SHARMA, RAJ	DAIN TRAILER	0.00	16.09	93.0	0.00	14.96	0.00	14.96
12/11/2017	# SHARMA, RAJ	DAIN TRAILER	0.00	11.41	93.0	0.00	10.61	0.00	10.61
12/11/2017	# DESAI, KIRIT	DAIN TRAILER	0.00	37.22	93.0	0.00	34.61	0.00	34.61
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	6.28	93.0	0.00	5.84	0.00	5.84
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	7.27	93.0	0.00	6.76	0.00	6.76
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	8.19	93.0	0.00	7.62	0.00	7.62
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	25.90	93.0	0.00	24.09	0.00	24.09
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	13.79	93.0	0.00	12.82	0.00	12.82
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	22.98	93.0	0.00	21.37	0.00	21.37
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	13.03	93.0	0.00	12.12	0.00	12.12
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	28.45	93.0	0.00	26.46	0.00	26.46
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	259.74	93.0	0.00	241.56	0.00	241.56
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	66.94	93.0	0.00	62.25	0.00	62.25
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	8.37	93.0	0.00	7.78	0.00	7.78
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	15.10	93.0	0.00	14.04	0.00	14.04
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	6.93	93.0	0.00	6.44	0.00	6.44
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	6.54	93.0	0.00	6.08	0.00	6.08
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	22.15	93.0	0.00	20.60	0.00	20.60
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	8.99	93.0	0.00	8.36	0.00	8.36
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	3.57	93.0	0.00	3.32	0.00	3.32
12/11/2017	# AMBANI, NARENDRA	DAIN TRAILER	0.00	4.38	93.0	0.00	4.07	0.00	4.07
12/11/2017	# ELANCHENNY, VYTHILINGAM	DAIN TRAILER	0.00	7.47	93.0	0.00	6.95	0.00	6.95
12/11/2017	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	3.86	93.0	0.00	3.59	0.00	3.59
12/11/2017	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	11.67	93.0	0.00	10.85	0.00	10.85
12/11/2017	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	49.77	93.0	0.00	46.29	0.00	46.29
12/11/2017	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	3.15	93.0	0.00	2.93	0.00	2.93
12/11/2017	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	45.75	93.0	0.00	42.55	0.00	42.55
12/11/2017	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	51.12	93.0	0.00	47.54	0.00	47.54
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	2.07	93.0	0.00	1.93	0.00	1.93
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	7.41	93.0	0.00	6.89	0.00	6.89
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	4.43	93.0	0.00	4.12	0.00	4.12

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>									
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	0.63	93.0	0.00	0.59	0.00	0.59
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	2.83	93.0	0.00	2.63	0.00	2.63
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	4.36	93.0	0.00	4.05	0.00	4.05
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	3.28	93.0	0.00	3.05	0.00	3.05
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	1.32	93.0	0.00	1.23	0.00	1.23
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	1.18	93.0	0.00	1.10	0.00	1.10
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	3.60	93.0	0.00	3.35	0.00	3.35
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	7.58	93.0	0.00	7.05	0.00	7.05
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	13.72	93.0	0.00	12.76	0.00	12.76
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	0.25	93.0	0.00	0.23	0.00	0.23
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	0.47	93.0	0.00	0.44	0.00	0.44
12/11/2017	# SHAH, BHARAT	DAIN TRAILER	0.00	8.42	93.0	0.00	7.83	0.00	7.83
12/11/2017	# SHAH, BHARAT	DAIN TRAILER	0.00	9.47	93.0	0.00	8.81	0.00	8.81
12/11/2017	# SHAH, BHARAT	DAIN TRAILER	0.00	22.44	93.0	0.00	20.87	0.00	20.87
12/11/2017	# SHAH, BHARAT	DAIN TRAILER	0.00	7.53	93.0	0.00	7.00	0.00	7.00
12/11/2017	# SHAH, BHARAT	DAIN TRAILER	0.00	6.94	93.0	0.00	6.45	0.00	6.45
12/11/2017	# SHAH, BHARAT	DAIN TRAILER	0.00	3.52	93.0	0.00	3.27	0.00	3.27
12/11/2017	# SHAH, BHARAT	DAIN TRAILER	0.00	8.37	93.0	0.00	7.78	0.00	7.78
12/11/2017	# SHAH, BHARAT	DAIN TRAILER	0.00	6.18	93.0	0.00	5.75	0.00	5.75
12/11/2017	# SHAH, BHARAT	DAIN TRAILER	0.00	3.85	93.0	0.00	3.58	0.00	3.58
12/11/2017	# SHAH, BHARAT	DAIN TRAILER	0.00	5.89	93.0	0.00	5.48	0.00	5.48
12/11/2017	# SHAH, BHARAT	DAIN TRAILER	0.00	4.17	93.0	0.00	3.88	0.00	3.88
12/11/2017	# SHAH, BHARAT	DAIN TRAILER	0.00	12.00	93.0	0.00	11.16	0.00	11.16
12/11/2017	# SHAH, BHARAT	DAIN TRAILER	0.00	3.86	93.0	0.00	3.59	0.00	3.59
12/11/2017	# SHAH, BHARAT	DAIN TRAILER	0.00	21.93	93.0	0.00	20.39	0.00	20.39
12/11/2017	# PEER, MEETA	DAIN TRAILER	0.00	6.62	93.0	0.00	6.16	0.00	6.16
12/11/2017	# PEER, MEETA	DAIN TRAILER	0.00	4.66	93.0	0.00	4.33	0.00	4.33
12/11/2017	# PEER, MEETA	DAIN TRAILER	0.00	5.67	93.0	0.00	5.27	0.00	5.27
12/11/2017	# VORA, SHAILA	DAIN TRAILER	0.00	0.94	93.0	0.00	0.87	0.00	0.87
12/11/2017	# VORA, SHAILA	DAIN TRAILER	0.00	0.31	93.0	0.00	0.29	0.00	0.29
12/11/2017	# VORA, SHAILA	DAIN TRAILER	0.00	0.12	93.0	0.00	0.11	0.00	0.11
12/11/2017	# VORA, SHAILA	DAIN TRAILER	0.00	0.55	93.0	0.00	0.51	0.00	0.51
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	9.20	93.0	0.00	8.56	0.00	8.56
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	9.32	93.0	0.00	8.67	0.00	8.67
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	9.52	93.0	0.00	8.85	0.00	8.85
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	9.99	93.0	0.00	9.29	0.00	9.29

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>									
12/11/2017	# VENKATESWARA CHODAPANEEDI	DAIN TRAILER	0.00	45.63	93.0	0.00	42.44	0.00	42.44
12/11/2017	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	8.95	93.0	0.00	8.32	0.00	8.32
12/11/2017	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	7.61	93.0	0.00	7.08	0.00	7.08
12/11/2017	# SHARMA, STEVEN	DAIN TRAILER	0.00	1.79	93.0	0.00	1.66	0.00	1.66
12/11/2017	# SHARMA, STEVEN	DAIN TRAILER	0.00	1.20	93.0	0.00	1.12	0.00	1.12
12/11/2017	# SHARMA, STEVEN	DAIN TRAILER	0.00	1.45	93.0	0.00	1.35	0.00	1.35
12/11/2017	# SHARMA, STEVEN	DAIN TRAILER	0.00	0.57	93.0	0.00	0.53	0.00	0.53
12/11/2017	# PATEL, URMILA	DAIN TRAILER	0.00	49.79	93.0	0.00	46.30	0.00	46.30
12/11/2017	# BHARAT C SHAH TTEE	DAIN TRAILER	0.00	35.85	93.0	0.00	33.34	0.00	33.34
12/11/2017	# PATEL, PRAVIN	DAIN TRAILER	0.00	34.70	93.0	0.00	32.27	0.00	32.27
12/11/2017	# PATEL, PRAVIN	DAIN TRAILER	0.00	43.06	93.0	0.00	40.05	0.00	40.05
12/11/2017	# PATEL, PRAVIN	DAIN TRAILER	0.00	161.64	93.0	0.00	150.33	0.00	150.33
12/11/2017	# PATEL, PRAVIN	DAIN TRAILER	0.00	70.92	93.0	0.00	65.96	0.00	65.96
12/11/2017	# BHATT, VARSHA	DAIN TRAILER	0.00	3.29	93.0	0.00	3.06	0.00	3.06
12/11/2017	# BHATT, VARSHA	DAIN TRAILER	0.00	3.16	93.0	0.00	2.94	0.00	2.94
12/11/2017	# PAPA, NORMA	DAIN TRAILER	0.00	0.82	93.0	0.00	0.76	0.00	0.76
12/11/2017	# PAPA, NORMA	DAIN TRAILER	0.00	0.68	93.0	0.00	0.63	0.00	0.63
12/11/2017	# PAPA, NORMA	DAIN TRAILER	0.00	0.39	93.0	0.00	0.36	0.00	0.36
12/11/2017	# PAPA, NORMA	DAIN TRAILER	0.00	0.54	93.0	0.00	0.50	0.00	0.50
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	0.03	93.0	0.00	0.03	0.00	0.03
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	1.75	93.0	0.00	1.63	0.00	1.63
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	0.77	93.0	0.00	0.72	0.00	0.72
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	1.56	93.0	0.00	1.45	0.00	1.45
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	7.38	93.0	0.00	6.86	0.00	6.86
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	19.58	93.0	0.00	18.21	0.00	18.21
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	1.77	93.0	0.00	1.65	0.00	1.65
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	2.74	93.0	0.00	2.55	0.00	2.55
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	2.61	93.0	0.00	2.43	0.00	2.43
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	10.05	93.0	0.00	9.35	0.00	9.35
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	9.10	93.0	0.00	8.46	0.00	8.46
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	3.35	93.0	0.00	3.12	0.00	3.12
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	0.49	93.0	0.00	0.46	0.00	0.46
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	3.40	93.0	0.00	3.16	0.00	3.16
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	8.62	93.0	0.00	8.02	0.00	8.02
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	14.51	93.0	0.00	13.49	0.00	13.49
12/11/2017	# VORA, VASANT	DAIN TRAILER	0.00	5.79	93.0	0.00	5.38	0.00	5.38

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>									
12/11/2017 #	VORA, VASANT	DAIN TRAILER	0.00	16.94	93.0	0.00	15.75	0.00	15.75
12/11/2017 #	VORA, VASANT	DAIN TRAILER	0.00	2.80	93.0	0.00	2.60	0.00	2.60
12/11/2017 #	VORA, VASANT	DAIN TRAILER	0.00	2.28	93.0	0.00	2.12	0.00	2.12
12/11/2017 #	ROBERT PAPA TTEE	DAIN TRAILER	0.00	2.68	93.0	0.00	2.49	0.00	2.49
12/11/2017 #	ROBERT PAPA TTEE	DAIN TRAILER	0.00	2.23	93.0	0.00	2.07	0.00	2.07
12/11/2017 #	ROBERT PAPA TTEE	DAIN TRAILER	0.00	1.29	93.0	0.00	1.20	0.00	1.20
12/11/2017 #	ROBERT PAPA TTEE	DAIN TRAILER	0.00	1.76	93.0	0.00	1.64	0.00	1.64
12/14/2017 #00777302175	VARIOUS SHAH	JOHN HANCOCK FDS III STRATEGIC GROW	0.00	2.77	93.0	0.00	2.58	0.00	2.58
12/14/2017 #00777302124	VARIOUS SHAH	JOHN HANCOCK HIGH YIELD FUND CL A	0.00	2.02	93.0	0.00	1.88	0.00	1.88
12/14/2017 #00777185294	VARIOUS SHAH	JOHN HANCOCK REGIONAL BANK FUND-CL	0.00	16.32	93.0	0.00	15.18	0.00	15.18
12/20/2017 #	VORA, VASANT	DAIN TRAILER	0.00	16.57	93.0	0.00	15.41	0.00	15.41
12/22/2017 #	SHARMA, MADHU	DAIN TRAILER	0.00	2.52	93.0	0.00	2.34	0.00	2.34
12/22/2017 #	AMBANI, NARENDRA	DAIN TRAILER	0.00	5.40	93.0	0.00	5.02	0.00	5.02
12/22/2017 #	PEER, MEETA	DAIN TRAILER	0.00	6.88	93.0	0.00	6.40	0.00	6.40
12/22/2017 #	GOSRANI, KANTILAL	DAIN TRAILER	0.00	4.58	93.0	0.00	4.26	0.00	4.26
12/22/2017 #	GOSRANI, VENA	DAIN TRAILER	0.00	1.30	93.0	0.00	1.21	0.00	1.21
01/02/2018 #00181052904		PUTNAM 746778406	0.00	83.93	93.0	0.00	78.05	0.00	78.05
01/08/2018 #03900189779	SAINI, VIPUL	FIDELITY ADV FREEDOM 2020-CL C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
01/08/2018 #03900189786	SHAH-SAINI,	FIDELITY ADV FREEDOM 2020-CL C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
01/08/2018 #03900189779	SAINI, VIPUL	FIDELITY ADV FREEDOM 2025 CL C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
01/08/2018 #03900189786	SHAH-SAINI,	FIDELITY ADV FREEDOM 2025 CL C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
01/08/2018 #01484642077	MENGWEWENDE	FIDELITY ADV GLOBAL CAP APP-CL C	0.00	0.35	93.0	0.00	0.33	0.00	0.33
01/08/2018 #01484642127		FIDELITY ADV GLOBAL CAP APP-CL C	0.00	0.84	93.0	0.00	0.78	0.00	0.78
01/08/2018 #01489645067	REDDY, PANNALA	FIDELITY ADV STRATEGIC INCOME-CL C	0.00	0.11	93.0	0.00	0.10	0.00	0.10
01/08/2018 #01484641962	FILOPDIANL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	0.00	0.53	93.0	0.00	0.49	0.00	0.49
01/08/2018 #01484642051	HERSHLORR	FIDELITY ADVISOR FOCUS FUNDS HEALTH	0.00	2.47	93.0	0.00	2.30	0.00	2.30
01/08/2018 #01484642077	MENGWEWENDE	FIDELITY ADVISOR FOCUS FUNDS HEALTH	0.00	0.59	93.0	0.00	0.55	0.00	0.55
01/08/2018 #01484641962	FILOPDIANL	FIDELITY ADVISOR SER VII BIOTECHNOL	0.00	0.53	93.0	0.00	0.49	0.00	0.49
01/08/2018 #01484642051	HERSHLORR	FIDELITY ADVISOR SER VII BIOTECHNOL	0.00	2.43	93.0	0.00	2.26	0.00	2.26
01/08/2018 #01484642077	MENGWEWENDE	FIDELITY ADVISOR SER VII BIOTECHNOL	0.00	0.38	93.0	0.00	0.35	0.00	0.35
01/08/2018 #01484642051	HERSHLORR	FIDELITY ADVISOR SER VIII GLOBAL EQ	0.00	2.60	93.0	0.00	2.42	0.00	2.42
01/08/2018 #01484642077	MENGWEWENDE	FIDELITY ADVISOR SER VIII GLOBAL EQ	0.00	0.31	93.0	0.00	0.29	0.00	0.29
01/08/2018 #01484642077	MENGWEWENDE	FIDELITY MID CAP VALUE	0.00	0.66	93.0	0.00	0.61	0.00	0.61
01/08/2018 #01484642127		FIDELITY MID CAP VALUE	0.00	0.47	93.0	0.00	0.44	0.00	0.44
01/08/2018 #01484642077	MENGWEWENDE	FIDELITY SMALL CAP BLEND	0.00	0.47	93.0	0.00	0.44	0.00	0.44
01/08/2018 #01484642127		FIDELITY SMALL CAP BLEND	0.00	0.30	93.0	0.00	0.28	0.00	0.28

COMMISSION STATEMENT for VASTU SHAH

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

01/08/2018	#01484641962	FILOPDIANL	FIDELITY VALUE FUND	0.00	0.57	93.0	0.00	0.53	0.00	0.53
01/08/2018	#01484642051	HERSHLORR	FIDELITY VALUE FUND	0.00	2.62	93.0	0.00	2.44	0.00	2.44
01/08/2018	#01484642077	MENGWEWENDE	FIDELITY VALUE FUND	0.00	0.31	93.0	0.00	0.29	0.00	0.29
01/08/2018	#01484642127		FIDELITY VALUE FUND	0.00	0.93	93.0	0.00	0.86	0.00	0.86
01/08/2018	#01484641962	FILOPDIANL	FIDLEITY INTERMEDIATE	0.00	0.43	93.0	0.00	0.40	0.00	0.40
01/08/2018	#01484642051	HERSHLORR	FIDLEITY INTERMEDIATE	0.00	2.15	93.0	0.00	2.00	0.00	2.00
01/08/2018	#01484642127		FIDLEITY INTERMEDIATE	0.00	1.04	93.0	0.00	0.97	0.00	0.97
01/08/2018	#01489645067	REDDY, PANNALA	FIDLEITY INTERMEDIATE	0.00	0.09	93.0	0.00	0.08	0.00	0.08
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$3,144.08		\$0.00	\$2,924.00	\$0.00	\$2,924.00
*** BROKER TRANSACTIONS TOTAL ***				\$354,590.54	\$7,019.89		\$0.00	\$6,423.44	\$299.25	\$6,124.19

ADJUSTMENTS

01/20/2018	ADMIN FEE: ADMIN FEE									-320.00
01/20/2018	E & O INSURANCE: E & O INSURANCE									-179.00
*** ADJUSTMENTS TOTAL ***										\$-499.00

BROKER COMMISSION TOTALS

Broker Transactions	\$6,124.19
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	\$5,625.19
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