

STATEMENT

February 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>									
01/02/2018	#00777147840	YONANSAMER	INVESCO BALANCED-RISK ALLOCATION FD	34.61	0.35	93.0	0.00	0.33	0.33
01/02/2018	#00777147840	YONANSAMER	INVESCO CHARTER FUND - CLASS C	103.84	1.04	93.0	0.00	0.97	0.97
01/02/2018	#00777131002	MALKASMK	INVESCO CORE	387.66	3.88	93.0	0.00	3.61	3.61
01/02/2018	#00777131003	SHAH, BHARAT	INVESCO CORE	387.66	3.88	93.0	0.00	3.61	3.61
01/02/2018	#00777131005	PIATTTHERR	INVESCO CORE	250.00	2.50	93.0	0.00	2.33	2.33
01/02/2018	#00777147840	YONANSAMER	INVESCO ENERGY FUND CLASS C	69.23	0.69	93.0	0.00	0.64	0.64
01/02/2018	#00777131002	MALKASMK	INVESCO GLOBAL HEALTH CARE FUND CL	147.68	1.48	93.0	0.00	1.38	1.38
01/02/2018	#00777131003	SHAH, BHARAT	INVESCO GLOBAL HEALTH CARE FUND CL	147.68	1.48	93.0	0.00	1.38	1.38
01/02/2018	#00777147840	YONANSAMER	INVESCO GLOBAL HEALTH CARE FUND CL	69.23	0.69	93.0	0.00	0.64	0.64
01/02/2018	#00777147840	YONANSAMER	INVESCO INCOME ALLOCATION	69.23	0.69	93.0	0.00	0.64	0.64
01/02/2018	#00777147840	YONANSAMER	INVESCO INTERNATIONAL	103.84	1.04	93.0	0.00	0.97	0.97
01/02/2018	#00777131002	MALKASMK	INVESCO MLP CLASS C	258.44	2.58	93.0	0.00	2.40	2.40
01/02/2018	#00777131003	SHAH, BHARAT	INVESCO MLP CLASS C	258.44	2.58	93.0	0.00	2.40	2.40
01/02/2018	#00777153356	MITCHCYNTHA	INVESCO MONEY MARKET FUND - CLASS C	29.68	0.30	93.0	0.00	0.28	0.28
01/02/2018	#00777131002	MALKASMK	INVESCO MULTI ASSET CLASS C	129.22	1.29	93.0	0.00	1.20	1.20
01/02/2018	#00777131003	SHAH, BHARAT	INVESCO MULTI ASSET CLASS C	129.22	1.29	93.0	0.00	1.20	1.20
01/02/2018	#00777147840	YONANSAMER	INVESCO MULTI ASSET CLASS C	69.20	0.69	93.0	0.00	0.64	0.64
01/02/2018	#00777147840	YONANSAMER	INVESCO VAN KAMPEN COMSTOCK FUND CL	69.23	0.69	93.0	0.00	0.64	0.64
01/02/2018	#00777147840	YONANSAMER	INVESTCO ASIA PACIFIC GROWTH	103.84	1.04	93.0	0.00	0.97	0.97
01/03/2018	#000000000356752		FRANKLIN STRATEGIC SER NAT RES FD C	312.01	3.12	93.0	0.00	2.90	2.90
01/03/2018	#000000000356752		FRANKLIN STRATEGIC SER NAT RES FD C	322.83	3.23	93.0	0.00	3.00	3.00
01/03/2018	#000000000869786	ELANCHENNY,	FRKLN GOLD & PRECIOUS METALS FUND C	2,000.00	20.00	93.0	0.00	18.60	18.60
01/03/2018	#000000000869786	ELANCHENNY,	FRKLN GOLD & PRECIOUS METALS FUND C	500.00	5.00	93.0	0.00	4.65	4.65
01/03/2018	#000000000645010		MUTUAL FINANCIAL SERVICES FUND-CLAS	322.83	3.23	93.0	0.00	3.00	3.00
01/03/2018	#000000000645010		MUTUAL FINANCIAL SERVICES FUND-CLAS	312.01	3.12	93.0	0.00	2.90	2.90
01/04/2018	#	PATEL, PRAVIN	FIDELITY ADVISOR FOCUS FUNDS HEALTH	100,000.00	0.00	93.0	0.00	0.00	-20.00
01/04/2018	#	PATEL, PRAVIN	FIDELITY ADVISOR SER VII FINANCIAL	100,000.00	0.00	93.0	0.00	0.00	-20.00
01/08/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV EUROPE FUND CLASS C	48.08	0.48	93.0	0.00	0.45	0.45

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
01/08/2018	#03900189779 SAINI, VIPUL	FIDELITY ADV FREEDOM 2020-CL C	96.16	0.96	93.0	0.00	0.89	0.00	0.89
01/08/2018	#03900189779 SAINI, VIPUL	FIDELITY ADV FREEDOM 2025 CL C	96.15	0.96	93.0	0.00	0.89	0.00	0.89
01/08/2018	#01484642127	FIDELITY ADV GLOBAL CAP APP-CL C	14.14	0.14	93.0	0.00	0.13	0.00	0.13
01/08/2018	#01484642077 MENGEWENDE	FIDELITY ADV GLOBAL CAP APP-CL C	5.15	0.05	93.0	0.00	0.05	0.00	0.05
01/08/2018	#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
01/08/2018	#01484642051 HERSHLORR	FIDELITY ADVISOR FOCUS FUNDS HEALTH	60.99	0.61	93.0	0.00	0.57	0.00	0.57
01/08/2018	#03900189779 SAINI, VIPUL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	96.15	0.96	93.0	0.00	0.89	0.00	0.89
01/08/2018	#01484642077 MENGEWENDE	FIDELITY ADVISOR FOCUS FUNDS HEALTH	10.29	0.10	93.0	0.00	0.09	0.00	0.09
01/08/2018	#01484642077 MENGEWENDE	FIDELITY ADVISOR SER VII BIOTECHNOL	7.72	0.08	93.0	0.00	0.07	0.00	0.07
01/08/2018	#01484642051 HERSHLORR	FIDELITY ADVISOR SER VII BIOTECHNOL	60.99	0.61	93.0	0.00	0.57	0.00	0.57
01/08/2018	#01484642051 HERSHLORR	FIDELITY ADVISOR SER VIII GLOBAL EQ	60.98	0.61	93.0	0.00	0.57	0.00	0.57
01/08/2018	#01484642077 MENGEWENDE	FIDELITY ADVISOR SER VIII GLOBAL EQ	5.15	0.05	93.0	0.00	0.05	0.00	0.05
01/08/2018	#01484642077 MENGEWENDE	FIDELITY MID CAP VALUE	10.29	0.10	93.0	0.00	0.09	0.00	0.09
01/08/2018	#01484642127	FIDELITY MID CAP VALUE	8.48	0.08	93.0	0.00	0.07	0.00	0.07
01/08/2018	#01484642127	FIDELITY SMALL CAP BLEND	5.65	0.06	93.0	0.00	0.06	0.00	0.06
01/08/2018	#01484642077 MENGEWENDE	FIDELITY SMALL CAP BLEND	7.72	0.08	93.0	0.00	0.07	0.00	0.07
01/08/2018	#01484642127	FIDELITY VALUE FUND	17.67	0.18	93.0	0.00	0.17	0.00	0.17
01/08/2018	#01484642077 MENGEWENDE	FIDELITY VALUE FUND	5.15	0.05	93.0	0.00	0.05	0.00	0.05
01/08/2018	#01484642051 HERSHLORR	FIDELITY VALUE FUND	60.99	0.61	93.0	0.00	0.57	0.00	0.57
01/08/2018	#01484642051 HERSHLORR	FIDLEITY INTERMEDIATE	60.99	0.61	93.0	0.00	0.57	0.00	0.57
01/08/2018	#01484642127	FIDLEITY INTERMEDIATE	24.74	0.25	93.0	0.00	0.23	0.00	0.23
01/08/2018	#03900189779 SAINI, VIPUL	FIDLEITY INTERMEDIATE	48.08	0.48	93.0	0.00	0.45	0.00	0.45
01/16/2018	#00777147840 YONANSAMER	INVESCO BALANCED-RISK ALLOCATION FD	35.58	0.36	93.0	0.00	0.33	0.00	0.33
01/16/2018	#00777147840 YONANSAMER	INVESCO CHARTER FUND - CLASS C	106.74	1.07	93.0	0.00	1.00	0.00	1.00
01/16/2018	#00777131002 MALKASKM	INVESCO CORE	395.80	3.96	93.0	0.00	3.68	0.00	3.68
01/16/2018	#00777131003 SHAH, BHARAT	INVESCO CORE	395.80	3.96	93.0	0.00	3.68	0.00	3.68
01/16/2018	#00777131005 PIATTTHERR	INVESCO CORE	250.00	2.50	93.0	0.00	2.33	0.00	2.33
01/16/2018	#00777147840 YONANSAMER	INVESCO ENERGY FUND CLASS C	71.16	0.71	93.0	0.00	0.66	0.00	0.66
01/16/2018	#00777131002 MALKASKM	INVESCO GLOBAL HEALTH CARE FUND CL	150.78	1.51	93.0	0.00	1.40	0.00	1.40
01/16/2018	#00777131003 SHAH, BHARAT	INVESCO GLOBAL HEALTH CARE FUND CL	150.78	1.51	93.0	0.00	1.40	0.00	1.40
01/16/2018	#00777147840 YONANSAMER	INVESCO GLOBAL HEALTH CARE FUND CL	71.16	0.71	93.0	0.00	0.66	0.00	0.66
01/16/2018	#00777147840 YONANSAMER	INVESCO INCOME ALLOCATION	71.16	0.71	93.0	0.00	0.66	0.00	0.66
01/16/2018	#00777147840 YONANSAMER	INVESCO INTERNATION	106.74	1.07	93.0	0.00	1.00	0.00	1.00
01/16/2018	#00777131002 MALKASKM	INVESCO MLP CLASS C	263.86	2.64	93.0	0.00	2.46	0.00	2.46
01/16/2018	#00777131003 SHAH, BHARAT	INVESCO MLP CLASS C	263.86	2.64	93.0	0.00	2.46	0.00	2.46
01/16/2018	#00777153356 MITCHCYNTHA	INVESCO MONEY MARKET FUND - CLASS C	29.68	0.30	93.0	0.00	0.28	0.00	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>									
01/16/2018	#00777131002	MALKASMK	INVESCO MULTI ASSET CLASS C	131.93	1.32	93.0	0.00	1.23	1.23
01/16/2018	#00777131003	SHAH, BHARAT	INVESCO MULTI ASSET CLASS C	131.93	1.32	93.0	0.00	1.23	1.23
01/16/2018	#00777147840	YONANSAMER	INVESCO MULTI ASSET CLASS C	71.14	0.71	93.0	0.00	0.66	0.66
01/16/2018	#00777147840	YONANSAMER	INVESCO VAN KAMPEN COMSTOCK FUND CL	71.16	0.71	93.0	0.00	0.66	0.66
01/16/2018	#00777147840	YONANSAMER	INVESTCO ASIA PACIFIC GROWTH	106.74	1.07	93.0	0.00	1.00	1.00
01/17/2018	#000000000356752		FRANKLIN STRATEGIC SER NAT RES FD C	322.83	3.23	93.0	0.00	3.00	3.00
01/17/2018	#000000000869786	ELANCHENNY,	FRKLN GOLD & PRECIOUS METALS FUND C	500.00	5.00	93.0	0.00	4.65	4.65
01/17/2018	#000000000645010		MUTUAL FINANCIAL SERVICES FUND-CLAS	322.83	3.23	93.0	0.00	3.00	3.00
01/24/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV EUROPE FUND CLASS C	48.08	0.48	93.0	0.00	0.45	0.45
01/24/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV FREEDOM 2020-CL C	96.16	0.96	93.0	0.00	0.89	0.89
01/24/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV FREEDOM 2025 CL C	96.15	0.96	93.0	0.00	0.89	0.89
01/24/2018	#01484642077	MENGWEWENDE	FIDELITY ADV GLOBAL CAP APP-CL C	11.57	0.12	93.0	0.00	0.11	0.11
01/24/2018	#01484642127		FIDELITY ADV GLOBAL CAP APP-CL C	22.05	0.22	93.0	0.00	0.20	0.20
01/24/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV INT'L CAPITAL APP CL C	96.15	0.96	93.0	0.00	0.89	0.89
01/24/2018	#01484641962	FILOPDIANL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	27.95	0.28	93.0	0.00	0.26	0.26
01/24/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR FOCUS FUNDS HEALTH	93.83	0.94	93.0	0.00	0.87	0.87
01/24/2018	#01484642077	MENGWEWENDE	FIDELITY ADVISOR FOCUS FUNDS HEALTH	23.13	0.23	93.0	0.00	0.21	0.21
01/24/2018	#03900189779	SAINI, VIPUL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	96.15	0.96	93.0	0.00	0.89	0.89
01/24/2018	#01484641962	FILOPDIANL	FIDELITY ADVISOR SER VII BIOTECHNOL	27.95	0.28	93.0	0.00	0.26	0.26
01/24/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VII BIOTECHNOL	93.83	0.94	93.0	0.00	0.87	0.87
01/24/2018	#01484642077	MENGWEWENDE	FIDELITY ADVISOR SER VII BIOTECHNOL	17.35	0.17	93.0	0.00	0.16	0.16
01/24/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VIII GLOBAL EQ	93.83	0.94	93.0	0.00	0.87	0.87
01/24/2018	#01484642077	MENGWEWENDE	FIDELITY ADVISOR SER VIII GLOBAL EQ	11.57	0.12	93.0	0.00	0.11	0.11
01/24/2018	#01484642077	MENGWEWENDE	FIDELITY MID CAP VALUE	23.13	0.23	93.0	0.00	0.21	0.21
01/24/2018	#01484642127		FIDELITY MID CAP VALUE	13.23	0.13	93.0	0.00	0.12	0.12
01/24/2018	#01484642077	MENGWEWENDE	FIDELITY SMALL CAP BLEND	17.35	0.17	93.0	0.00	0.16	0.16
01/24/2018	#01484642127		FIDELITY SMALL CAP BLEND	8.82	0.09	93.0	0.00	0.08	0.08
01/24/2018	#01484641962	FILOPDIANL	FIDELITY VALUE FUND	27.95	0.28	93.0	0.00	0.26	0.26
01/24/2018	#01484642051	HERSHLORR	FIDELITY VALUE FUND	93.83	0.94	93.0	0.00	0.87	0.87
01/24/2018	#01484642077	MENGWEWENDE	FIDELITY VALUE FUND	11.57	0.12	93.0	0.00	0.11	0.11
01/24/2018	#01484642127		FIDELITY VALUE FUND	27.56	0.28	93.0	0.00	0.26	0.26
01/24/2018	#01484641962	FILOPDIANL	FIDLEITY INTERMEDIATE	27.93	0.28	93.0	0.00	0.26	0.26
01/24/2018	#01484642051	HERSHLORR	FIDLEITY INTERMEDIATE	93.83	0.94	93.0	0.00	0.87	0.87
01/24/2018	#01484642127		FIDLEITY INTERMEDIATE	38.58	0.39	93.0	0.00	0.36	0.36
01/24/2018	#03900189779	SAINI, VIPUL	FIDLEITY INTERMEDIATE	48.08	0.48	93.0	0.00	0.45	0.45

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
* MUTUAL FUNDS SUBTOTAL *			\$212,804.74	\$128.08		\$0.00	\$119.09	\$40.00	\$79.09
<u>PRODUCT CATEGORY: STOCKS</u>									
12/29/2017 #	PATEL, PRAVIN	SOUTHWEST AIRLINES CO	32,963.00	75.00	85.0	0.00	63.75	19.95	43.80
01/03/2018 #	ELANCHENNY, VYTHILINGAM	ARCELORMITTAL NEW YORK REGISTRY SHA	34,825.00	248.01	85.0	0.00	210.81	19.95	190.86
01/03/2018 #	BHARAT C SHAH TTEE	BROADCOM LIMITED SHS	53,819.20	60.00	85.0	0.00	51.00	19.95	31.05
01/03/2018 #	BHARAT C SHAH TTEE	LOWES COMPANIES INC	64,252.30	356.09	85.0	0.00	302.68	19.95	282.73
01/04/2018 #	PATEL, PRAVIN	INTEL CORP	21,648.50	60.00	85.0	0.00	51.00	19.95	31.05
01/04/2018 #	PATEL, PRAVIN	UNITED CONTINENTAL HLDGS INC	34,186.00	70.00	85.0	0.00	59.50	19.95	39.55
01/05/2018 #	BHARAT C SHAH TTEE	ALLIANZ SE SPONSORED ADR REPSTG 1/1	23,979.70	212.11	85.0	0.00	180.29	19.95	160.34
01/05/2018 #	BHARAT C SHAH TTEE	MORGAN STANLEY	26,466.50	223.50	85.0	0.00	189.98	19.95	170.03
01/05/2018 #	BHARAT C SHAH TTEE	USG CORP NEW	20,428.50	155.40	85.0	0.00	132.09	19.95	112.14
01/08/2018 #	SHARMA, MADHU	ARENA PHARMACEUTICALS INC COMMON ST	391.90	0.00	85.0	0.00	0.00	19.95	-19.95
01/08/2018 #	SHARMA, MADHU	CHEMOURS COMPANY (THE) COM	4,082.20	5.00	85.0	0.00	4.25	19.95	-15.70
01/08/2018 #	SHARMA, MADHU	FRONTIER COMMUNICATIONS CORPORATION	73.05	0.00	85.0	0.00	0.00	19.95	-19.95
01/11/2018 #	SHAH, VASTUPAL	BANCO SANTANDER S A SPONSORED ADR	14,280.00	0.00	85.0	0.00	0.00	19.95	-19.95
01/11/2018 #	BHARAT C SHAH TTEE	CELGENE CORP	73,516.10	60.00	85.0	0.00	51.00	19.95	31.05
01/11/2018 #	BHARAT C SHAH TTEE	KKR & CO L P DEL COM UNITS	22,957.00	207.65	85.0	0.00	176.50	19.95	156.55
01/11/2018 #	SHAH, VASTUPAL	PHILIP MORRIS INTERNATIONAL INC	35,107.05	0.00	85.0	0.00	0.00	19.95	-19.95
01/11/2018 #	BHARAT C SHAH TTEE	PNC FINANCIAL SVCS GROUP INC	75,497.15	157.50	85.0	0.00	133.88	19.95	113.93
01/11/2018 #	SHAH, VASTUPAL	WIPRO LTD SPONSORED ADR REPSTG 1 SH	17,220.00	0.00	85.0	0.00	0.00	19.95	-19.95
01/11/2018 #	BHARAT C SHAH TTEE	WISDOMTREE TR INDIA EARNINGS FD ETF	28,733.00	232.83	85.0	0.00	197.91	19.95	177.96
01/16/2018 #	WYNN, MARY	CELGENE CORP	10,551.34	105.00	85.0	0.00	89.25	19.95	69.30
01/16/2018 #	WYNN, MARY	CVS CAREMARK CORPORATION	15,941.32	126.00	85.0	0.00	107.10	19.95	87.15
01/17/2018 #	BHARAT C SHAH TTEE	GENERAL ELECTRIC CO	25,972.50	65.00	85.0	0.00	55.25	19.95	35.30
01/19/2018 #	BHARAT C SHAH TTEE	CANADIAN SOLAR INC	7,920.05	30.00	85.0	0.00	25.50	19.95	5.55
01/19/2018 #	BHARAT C SHAH TTEE	FREEMPORT MCMORAN COPPER & GOLD	40,040.00	357.19	85.0	0.00	303.61	19.95	283.66
01/22/2018 #	ELANCHENNY, VYTHILINGAM	ALLIANZ SE SPONSORED ADR REPSTG 1/1	24,530.90	242.02	85.0	0.00	205.72	19.95	185.77
01/26/2018 #	BHARAT C SHAH TTEE	ALIBABA GROUP HOLDING LTD SPONSORED	40,707.20	147.00	85.0	0.00	124.95	19.95	105.00
01/26/2018 #	BHARAT C SHAH TTEE	LOWES COMPANIES INC	53,361.20	262.50	85.0	0.00	223.13	19.95	203.18
* STOCKS SUBTOTAL *			\$803,450.66	\$3,457.80		\$0.00	\$2,939.15	\$538.65	\$2,400.50

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/31/2017 #07970869825	MOSKAITIS, JOHN	OPPENHEIMER ROCHESTER NATL MUNICIPA	0.00	2.93	93.0	0.00	2.72	0.00	2.72
01/01/2018 #00777069535	VARIOUS SHAH	INVESCO AMERICAN VALUE CLASS C	0.00	4.84	93.0	0.00	4.50	0.00	4.50
01/01/2018 #00777089941	VARIOUS SHAH	INVESCO AMERICAN VALUE CLASS C	0.00	1.11	93.0	0.00	1.03	0.00	1.03
01/01/2018 #00777113413	VARIOUS SHAH	INVESCO AMERICAN VALUE CLASS C	0.00	4.29	93.0	0.00	3.99	0.00	3.99
01/01/2018 #00777113416	VARIOUS SHAH	INVESCO AMERICAN VALUE CLASS C	0.00	12.57	93.0	0.00	11.69	0.00	11.69
01/01/2018 #00777113422	VARIOUS SHAH	INVESCO AMERICAN VALUE CLASS C	0.00	17.84	93.0	0.00	16.59	0.00	16.59
01/01/2018 #00777113520	VARIOUS SHAH	INVESCO AMERICAN VALUE CLASS C	0.00	4.42	93.0	0.00	4.11	0.00	4.11

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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 FUND 12B1 TRAILS</u>									
01/01/2018	#00777137145	VARIOUS SHAH	INVESCO AMERICAN VALUE CLASS C	0.00	48.24	93.0	0.00	44.86	44.86
01/01/2018	#00777137143	VARIOUS SHAH	INVESCO BALANCED-RISK ALLOCATION FD	0.00	15.63	93.0	0.00	14.54	14.54
01/01/2018	#00777147840	YONANSAMER	INVESCO BALANCED-RISK ALLOCATION FD	0.00	16.22	93.0	0.00	15.08	15.08
01/01/2018	#00777089941	VARIOUS SHAH	INVESCO CASH RESERVE SHARES	0.00	2.63	93.0	0.00	2.45	2.45
01/01/2018	#00777158813	VARIOUS SHAH	INVESCO CASH RESERVE SHARES	0.00	19.33	93.0	0.00	17.98	17.98
01/01/2018	#01000132459	VARIOUS SHAH	INVESCO CASH RESERVE SHARES	0.00	0.01	93.0	0.00	0.01	0.01
01/01/2018	#00777069535	VARIOUS SHAH	INVESCO CHARTER FUND - CLASS C	0.00	4.70	93.0	0.00	4.37	4.37
01/01/2018	#00777089941	VARIOUS SHAH	INVESCO CHARTER FUND - CLASS C	0.00	0.84	93.0	0.00	0.78	0.78
01/01/2018	#00777113413	VARIOUS SHAH	INVESCO CHARTER FUND - CLASS C	0.00	33.03	93.0	0.00	30.72	30.72
01/01/2018	#00777113422	VARIOUS SHAH	INVESCO CHARTER FUND - CLASS C	0.00	15.32	93.0	0.00	14.25	14.25
01/01/2018	#00777113520	VARIOUS SHAH	INVESCO CHARTER FUND - CLASS C	0.00	2.50	93.0	0.00	2.33	2.33
01/01/2018	#00777131002	MALKASMK	INVESCO CHARTER FUND - CLASS C	0.00	164.27	93.0	0.00	152.77	152.77
01/01/2018	#00777147840	YONANSAMER	INVESCO CHARTER FUND - CLASS C	0.00	33.80	93.0	0.00	31.43	31.43
01/01/2018	#05071945173	VARIOUS SHAH	INVESCO CHARTER FUND CL A	0.00	7.39	93.0	0.00	6.87	6.87
01/01/2018	#05071945173	VARIOUS SHAH	INVESCO CONSERVATIVE ALLOCATION FD	0.00	19.79	93.0	0.00	18.40	18.40
01/01/2018	#00777113416	VARIOUS SHAH	INVESCO CONSERVATIVE ALLOCATION FD	0.00	9.40	93.0	0.00	8.74	8.74
01/01/2018	#00777113413	VARIOUS SHAH	INVESCO CORE	0.00	9.93	93.0	0.00	9.23	9.23
01/01/2018	#00777131002	MALKASMK	INVESCO CORE	0.00	63.44	93.0	0.00	59.00	59.00
01/01/2018	#00777131003	SHAH, BHARAT	INVESCO CORE	0.00	245.43	93.0	0.00	228.25	228.25
01/01/2018	#00777131005	PIATTTHERR	INVESCO CORE	0.00	99.78	93.0	0.00	92.80	92.80
01/01/2018	#00777158813	VARIOUS SHAH	INVESCO CORE BOND	0.00	23.47	93.0	0.00	21.83	21.83
01/01/2018	#05071945173	VARIOUS SHAH	INVESCO CORE BOND	0.00	12.02	93.0	0.00	11.18	11.18
01/01/2018	#00777069535	VARIOUS SHAH	INVESCO DEVELOPING MARKETS	0.00	2.08	93.0	0.00	1.93	1.93
01/01/2018	#00777089941	VARIOUS SHAH	INVESCO DEVELOPING MARKETS	0.00	0.43	93.0	0.00	0.40	0.40
01/01/2018	#00777113416	VARIOUS SHAH	INVESCO DEVELOPING MARKETS	0.00	6.08	93.0	0.00	5.65	5.65
01/01/2018	#00777113422	VARIOUS SHAH	INVESCO DEVELOPING MARKETS	0.00	6.87	93.0	0.00	6.39	6.39
01/01/2018	#00777113520	VARIOUS SHAH	INVESCO DEVELOPING MARKETS	0.00	3.88	93.0	0.00	3.61	3.61
01/01/2018	#05071945173	VARIOUS SHAH	INVESCO DEVELOPING MARKETS FUND CL	0.00	15.34	93.0	0.00	14.27	14.27
01/01/2018	#00777069535	VARIOUS SHAH	INVESCO DIVERSIFIED DIVIDEND FD -CL	0.00	5.25	93.0	0.00	4.88	4.88
01/01/2018	#00777089941	VARIOUS SHAH	INVESCO DIVERSIFIED DIVIDEND FD -CL	0.00	1.12	93.0	0.00	1.04	1.04
01/01/2018	#00777113413	VARIOUS SHAH	INVESCO DIVERSIFIED DIVIDEND FD -CL	0.00	7.53	93.0	0.00	7.00	7.00
01/01/2018	#00777113416	VARIOUS SHAH	INVESCO DIVERSIFIED DIVIDEND FD -CL	0.00	5.20	93.0	0.00	4.84	4.84
01/01/2018	#00777113422	VARIOUS SHAH	INVESCO DIVERSIFIED DIVIDEND FD -CL	0.00	18.34	93.0	0.00	17.06	17.06
01/01/2018	#00777113520	VARIOUS SHAH	INVESCO DIVERSIFIED DIVIDEND FD -CL	0.00	4.84	93.0	0.00	4.50	4.50
01/01/2018	#05071945173	VARIOUS SHAH	INVESCO DIVERSIFIED DIVIDEND FD CL	0.00	8.41	93.0	0.00	7.82	7.82
01/01/2018	#00777131005	PIATTTHERR	INVESCO ENERGY FUND CLASS C	0.00	19.61	93.0	0.00	18.24	18.24

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>									
01/01/2018	#00777147840	YONANSAMER	INVESCO ENERGY FUND CLASS C	0.00	14.08	93.0	0.00	13.09	13.09
01/01/2018	#00777113520	VARIOUS SHAH	INVESCO EUROPEAN GROWTH FUND -CLASS	0.00	3.47	93.0	0.00	3.23	3.23
01/01/2018	#05071945173	VARIOUS SHAH	INVESCO EUROPEAN GROWTH FUND CL A	0.00	13.58	93.0	0.00	12.63	12.63
01/01/2018	#00777069535	VARIOUS SHAH	INVESCO FLOATING RATE R	0.00	5.92	93.0	0.00	5.51	5.51
01/01/2018	#00777089941	VARIOUS SHAH	INVESCO FLOATING RATE R	0.00	1.11	93.0	0.00	1.03	1.03
01/01/2018	#00777113422	VARIOUS SHAH	INVESCO FLOATING RATE R	0.00	19.40	93.0	0.00	18.04	18.04
01/01/2018	#00777113520	VARIOUS SHAH	INVESCO FLOATING RATE R	0.00	4.29	93.0	0.00	3.99	3.99
01/01/2018	#00777069535	VARIOUS SHAH	INVESCO GLOBAL CORE	0.00	4.64	93.0	0.00	4.32	4.32
01/01/2018	#00777089941	VARIOUS SHAH	INVESCO GLOBAL CORE	0.00	0.69	93.0	0.00	0.64	0.64
01/01/2018	#00777113422	VARIOUS SHAH	INVESCO GLOBAL CORE	0.00	14.36	93.0	0.00	13.35	13.35
01/01/2018	#00777113520	VARIOUS SHAH	INVESCO GLOBAL CORE	0.00	4.36	93.0	0.00	4.05	4.05
01/01/2018	#00777158813	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FD-CL A	0.00	0.74	93.0	0.00	0.69	0.69
01/01/2018	#05071945173	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FD-CL A	0.00	55.97	93.0	0.00	52.05	52.05
01/01/2018	#00777069535	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	5.15	93.0	0.00	4.79	4.79
01/01/2018	#00777089941	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	1.24	93.0	0.00	1.15	1.15
01/01/2018	#00777113413	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	32.28	93.0	0.00	30.02	30.02
01/01/2018	#00777113422	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	18.30	93.0	0.00	17.02	17.02
01/01/2018	#00777113520	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	4.72	93.0	0.00	4.39	4.39
01/01/2018	#00777131002	MALKASMK	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	151.97	93.0	0.00	141.33	141.33
01/01/2018	#00777131003	SHAH, BHARAT	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	83.86	93.0	0.00	77.99	77.99
01/01/2018	#00777147840	YONANSAMER	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	41.86	93.0	0.00	38.93	38.93
01/01/2018	#00777159886	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	3.00	93.0	0.00	2.79	2.79
01/01/2018	#00777159889	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	3.66	93.0	0.00	3.40	3.40
01/01/2018	#00777165490	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	4.31	93.0	0.00	4.01	4.01
01/01/2018	#00777165492	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	3.22	93.0	0.00	2.99	2.99
01/01/2018	#00777165562	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	5.45	93.0	0.00	5.07	5.07
01/01/2018	#00777165563	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	4.74	93.0	0.00	4.41	4.41
01/01/2018	#00777165565	VARIOUS SHAH	INVESCO GLOBAL HEALTH CARE FUND CL	0.00	4.34	93.0	0.00	4.04	4.04
01/01/2018	#00777165488		INVESCO GLOBAL HEALTH CARE FUND CL	0.00	0.02	93.0	0.00	0.02	0.02
01/01/2018	#00777165490	VARIOUS SHAH	INVESCO GLOBAL MARKET NEUTRAL FUND	0.00	4.12	93.0	0.00	3.83	3.83
01/01/2018	#00777165492	VARIOUS SHAH	INVESCO GLOBAL MARKET NEUTRAL FUND	0.00	3.07	93.0	0.00	2.86	2.86
01/01/2018	#00777165563	VARIOUS SHAH	INVESCO GLOBAL MARKET NEUTRAL FUND	0.00	4.53	93.0	0.00	4.21	4.21
01/01/2018	#00777165565	VARIOUS SHAH	INVESCO GLOBAL MARKET NEUTRAL FUND	0.00	4.15	93.0	0.00	3.86	3.86
01/01/2018	#00777165488		INVESCO GLOBAL MARKET NEUTRAL FUND	0.00	0.01	93.0	0.00	0.01	0.01
01/01/2018	#05071945173	VARIOUS SHAH	INVESCO GROWTH ALLOCATION FD CL A	0.00	45.08	93.0	0.00	41.92	41.92
01/01/2018	#00777113416	VARIOUS SHAH	INVESCO GROWTH ALLOCATION FUND - CL	0.00	10.90	93.0	0.00	10.14	10.14

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>									
01/01/2018	#00777137143	VARIOUS SHAH	INVESCO GROWTH ALLOCATION FUND - CL	0.00	16.93	93.0	0.00	15.74	15.74
01/01/2018	#00777137145	VARIOUS SHAH	INVESCO GROWTH ALLOCATION FUND - CL	0.00	60.04	93.0	0.00	55.84	55.84
01/01/2018	#00777147840	YONANSAMER	INVESCO INCOME ALLOCATION	0.00	22.19	93.0	0.00	20.64	20.64
01/01/2018	#00777147840	YONANSAMER	INVESCO INTERNATION	0.00	32.98	93.0	0.00	30.67	30.67
01/01/2018	#00777113413	VARIOUS SHAH	INVESCO MLP CLASS C	0.00	0.08	93.0	0.00	0.07	0.07
01/01/2018	#00777131002	MALKASMK	INVESCO MLP CLASS C	0.00	1.71	93.0	0.00	1.59	1.59
01/01/2018	#00777131003	SHAH, BHARAT	INVESCO MLP CLASS C	0.00	125.05	93.0	0.00	116.30	116.30
01/01/2018	#00777158813	VARIOUS SHAH	INVESCO MLP FUND A	0.00	9.15	93.0	0.00	8.51	8.51
01/01/2018	#05071945173	VARIOUS SHAH	INVESCO MLP FUND A	0.00	6.48	93.0	0.00	6.03	6.03
01/01/2018	#00777089941	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS B	0.00	0.65	93.0	0.00	0.60	0.60
01/01/2018	#00777089941	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	9.06	93.0	0.00	8.43	8.43
01/01/2018	#00777113413	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	1.52	93.0	0.00	1.41	1.41
01/01/2018	#00777131002	MALKASMK	INVESCO MONEY MARKET FUND - CLASS C	0.00	34.25	93.0	0.00	31.85	31.85
01/01/2018	#00777131004	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	0.33	93.0	0.00	0.31	0.31
01/01/2018	#00777131005	PIATTTHERR	INVESCO MONEY MARKET FUND - CLASS C	0.00	11.47	93.0	0.00	10.67	10.67
01/01/2018	#00777131007	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	9.62	93.0	0.00	8.95	8.95
01/01/2018	#00777131010	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	1.56	93.0	0.00	1.45	1.45
01/01/2018	#00777137139	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	0.56	93.0	0.00	0.52	0.52
01/01/2018	#00777141832	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	5.84	93.0	0.00	5.43	5.43
01/01/2018	#00777141833	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	11.24	93.0	0.00	10.45	10.45
01/01/2018	#00777141834	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	0.03	93.0	0.00	0.03	0.03
01/01/2018	#00777153355	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	2.37	93.0	0.00	2.20	2.20
01/01/2018	#00777153356	MITCHCYNTHA	INVESCO MONEY MARKET FUND - CLASS C	0.00	2.74	93.0	0.00	2.55	2.55
01/01/2018	#00777159886	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	1.83	93.0	0.00	1.70	1.70
01/01/2018	#00777159889	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	2.25	93.0	0.00	2.09	2.09
01/01/2018	#01000132459	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	3.14	93.0	0.00	2.92	2.92
01/01/2018	#05071945173	VARIOUS SHAH	INVESCO MONEY MARKET FUND - CLASS C	0.00	54.35	93.0	0.00	50.55	50.55
01/01/2018	#00777113413	VARIOUS SHAH	INVESCO MULTI ASSET CLASS C	0.00	10.56	93.0	0.00	9.82	9.82
01/01/2018	#00777131002	MALKASMK	INVESCO MULTI ASSET CLASS C	0.00	65.82	93.0	0.00	61.21	61.21
01/01/2018	#00777131003	SHAH, BHARAT	INVESCO MULTI ASSET CLASS C	0.00	84.82	93.0	0.00	78.88	78.88
01/01/2018	#00777147840	YONANSAMER	INVESCO MULTI ASSET CLASS C	0.00	23.32	93.0	0.00	21.69	21.69
01/01/2018	#00777158813	VARIOUS SHAH	INVESCO MULTI ASSET INCOME FUND	0.00	12.16	93.0	0.00	11.31	11.31
01/01/2018	#05071945173	VARIOUS SHAH	INVESCO MULTI ASSET INCOME FUND	0.00	4.10	93.0	0.00	3.81	3.81
01/01/2018	#00777147840	YONANSAMER	INVESCO VAN KAMPEN COMSTOCK FUND CL	0.00	25.08	93.0	0.00	23.32	23.32
01/01/2018	#05002646338	VARIOUS SHAH	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	14.32	93.0	0.00	13.32	13.32
01/01/2018	#00777159886	VARIOUS SHAH	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	3.44	93.0	0.00	3.20	3.20

COMMISSION STATEMENT for VASTU SHAH

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
01/01/2018	#00777159889	VARIOUS SHAH	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	4.19	93.0	0.00	3.90	3.90
01/01/2018	#05002646338	VARIOUS SHAH	INVESCO VAN KAMPEN MID CAP GROWTH F	0.00	35.61	93.0	0.00	33.12	33.12
01/01/2018	#00777069535	VARIOUS SHAH	INVESCO WORLD BOND FUND	0.00	8.78	93.0	0.00	8.17	8.17
01/01/2018	#00777089941	VARIOUS SHAH	INVESCO WORLD BOND FUND	0.00	1.75	93.0	0.00	1.63	1.63
01/01/2018	#00777113422	VARIOUS SHAH	INVESCO WORLD BOND FUND	0.00	27.51	93.0	0.00	25.58	25.58
01/01/2018	#00777113520	VARIOUS SHAH	INVESCO WORLD BOND FUND	0.00	6.10	93.0	0.00	5.67	5.67
01/01/2018	#00777147840	YONANSAMER	INVESTCO ASIA PACIFIC GROWTH	0.00	36.73	93.0	0.00	34.16	34.16
01/01/2018	#05071945173	VARIOUS SHAH	IVK AMERICAN VALUE FUND - CLASS A	0.00	7.50	93.0	0.00	6.98	6.98
01/10/2018	#	VENKATESWARA CHODAPANEEDI	DAIN TRAILER	0.00	47.44	93.0	0.00	44.12	44.12
01/10/2018	#	SHARMA, MADHU	DAIN TRAILER	0.00	1.99	93.0	0.00	1.85	1.85
01/10/2018	#	SHARMA, MADHU	DAIN TRAILER	0.00	1.40	93.0	0.00	1.30	1.30
01/10/2018	#	SHARMA, MADHU	DAIN TRAILER	0.00	4.62	93.0	0.00	4.30	4.30
01/10/2018	#	SHARMA, RAJ	DAIN TRAILER	0.00	16.28	93.0	0.00	15.14	15.14
01/10/2018	#	SHARMA, RAJ	DAIN TRAILER	0.00	0.90	93.0	0.00	0.84	0.84
01/10/2018	#	SHARMA, RAJ	DAIN TRAILER	0.00	2.27	93.0	0.00	2.11	2.11
01/10/2018	#	SHARMA, RAJ	DAIN TRAILER	0.00	1.40	93.0	0.00	1.30	1.30
01/10/2018	#	SHARMA, RAJ	DAIN TRAILER	0.00	5.54	93.0	0.00	5.15	5.15
01/10/2018	#	SHARMA, RAJ	DAIN TRAILER	0.00	16.57	93.0	0.00	15.41	15.41
01/10/2018	#	SHARMA, RAJ	DAIN TRAILER	0.00	11.78	93.0	0.00	10.96	10.96
01/10/2018	#	DESAI, KIRIT	DAIN TRAILER	0.00	38.51	93.0	0.00	35.81	35.81
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	50.44	93.0	0.00	46.91	46.91
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	16.31	93.0	0.00	15.17	15.17
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	14.79	93.0	0.00	13.75	13.75
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	6.69	93.0	0.00	6.22	6.22
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	7.70	93.0	0.00	7.16	7.16
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	8.65	93.0	0.00	8.04	8.04
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	26.87	93.0	0.00	24.99	24.99
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	14.37	93.0	0.00	13.36	13.36
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	23.91	93.0	0.00	22.24	22.24
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	13.51	93.0	0.00	12.56	12.56
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	28.84	93.0	0.00	26.82	26.82
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	266.26	93.0	0.00	247.62	247.62
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	70.95	93.0	0.00	65.98	65.98
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	9.06	93.0	0.00	8.43	8.43
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	15.59	93.0	0.00	14.50	14.50
01/10/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	7.22	93.0	0.00	6.71	6.71

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>									
01/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	6.78	93.0	0.00	6.31	0.00	6.31
01/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	22.45	93.0	0.00	20.88	0.00	20.88
01/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	9.32	93.0	0.00	8.67	0.00	8.67
01/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	3.71	93.0	0.00	3.45	0.00	3.45
01/10/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	4.54	93.0	0.00	4.22	0.00	4.22
01/10/2018	# ELANCHENNY, VYTHILINGAM	DAIN TRAILER	0.00	7.24	93.0	0.00	6.73	0.00	6.73
01/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	6.51	93.0	0.00	6.05	0.00	6.05
01/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	4.01	93.0	0.00	3.73	0.00	3.73
01/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	11.67	93.0	0.00	10.85	0.00	10.85
01/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	51.01	93.0	0.00	47.44	0.00	47.44
01/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	3.23	93.0	0.00	3.00	0.00	3.00
01/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	18.21	93.0	0.00	16.94	0.00	16.94
01/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	33.62	93.0	0.00	31.27	0.00	31.27
01/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	47.53	93.0	0.00	44.20	0.00	44.20
01/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	52.91	93.0	0.00	49.21	0.00	49.21
01/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	9.24	93.0	0.00	8.59	0.00	8.59
01/10/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	7.94	93.0	0.00	7.38	0.00	7.38
01/10/2018	# GOSRANI, VENA	DAIN TRAILER	0.00	2.40	93.0	0.00	2.23	0.00	2.23
01/10/2018	# PEER, MEETA	DAIN TRAILER	0.00	5.71	93.0	0.00	5.31	0.00	5.31
01/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	3.99	93.0	0.00	3.71	0.00	3.71
01/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	1.00	93.0	0.00	0.93	0.00	0.93
01/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	0.98	93.0	0.00	0.91	0.00	0.91
01/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	0.33	93.0	0.00	0.31	0.00	0.31
01/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	0.13	93.0	0.00	0.12	0.00	0.12
01/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	0.56	93.0	0.00	0.52	0.00	0.52
01/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	9.67	93.0	0.00	8.99	0.00	8.99
01/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	9.69	93.0	0.00	9.01	0.00	9.01
01/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	10.04	93.0	0.00	9.34	0.00	9.34
01/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	10.48	93.0	0.00	9.75	0.00	9.75
01/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	10.05	93.0	0.00	9.35	0.00	9.35
01/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	10.19	93.0	0.00	9.48	0.00	9.48
01/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	25.86	93.0	0.00	24.05	0.00	24.05
01/10/2018	# VORA, VASANT	DAIN TRAILER	0.00	22.82	93.0	0.00	21.22	0.00	21.22
01/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	9.67	93.0	0.00	8.99	0.00	8.99
01/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	9.69	93.0	0.00	9.01	0.00	9.01
01/10/2018	# VORA, SHAILA	DAIN TRAILER	0.00	10.04	93.0	0.00	9.34	0.00	9.34

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>									
01/10/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	10.48	93.0	0.00	9.75	0.00	9.75
01/10/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	10.19	93.0	0.00	9.48	0.00	9.48
01/10/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	14.75	93.0	0.00	13.72	0.00	13.72
01/10/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	15.51	93.0	0.00	14.42	0.00	14.42
01/10/2018 #	WYNN, MARY	DAIN TRAILER	0.00	0.21	93.0	0.00	0.20	0.00	0.20
01/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	15.03	93.0	0.00	13.98	0.00	13.98
01/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	7.04	93.0	0.00	6.55	0.00	6.55
01/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	33.04	93.0	0.00	30.73	0.00	30.73
01/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	3.67	93.0	0.00	3.41	0.00	3.41
01/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	6.91	93.0	0.00	6.43	0.00	6.43
01/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	14.61	93.0	0.00	13.59	0.00	13.59
01/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	3.69	93.0	0.00	3.43	0.00	3.43
01/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	1.47	93.0	0.00	1.37	0.00	1.37
01/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	2.25	93.0	0.00	2.09	0.00	2.09
01/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	0.38	93.0	0.00	0.35	0.00	0.35
01/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	17.83	93.0	0.00	16.58	0.00	16.58
01/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	41.28	93.0	0.00	38.39	0.00	38.39
01/10/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	9.06	93.0	0.00	8.43	0.00	8.43
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	9.13	93.0	0.00	8.49	0.00	8.49
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	15.14	93.0	0.00	14.08	0.00	14.08
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	6.04	93.0	0.00	5.62	0.00	5.62
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	18.18	93.0	0.00	16.91	0.00	16.91
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	2.92	93.0	0.00	2.72	0.00	2.72
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	2.33	93.0	0.00	2.17	0.00	2.17
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	2.20	93.0	0.00	2.05	0.00	2.05
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	7.87	93.0	0.00	7.32	0.00	7.32
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	6.98	93.0	0.00	6.49	0.00	6.49
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	40.35	93.0	0.00	37.53	0.00	37.53
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	2.84	93.0	0.00	2.64	0.00	2.64
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	4.68	93.0	0.00	4.35	0.00	4.35
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	0.65	93.0	0.00	0.60	0.00	0.60
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	2.96	93.0	0.00	2.75	0.00	2.75
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	4.60	93.0	0.00	4.28	0.00	4.28
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	28.20	93.0	0.00	26.23	0.00	26.23
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	9.86	93.0	0.00	9.17	0.00	9.17
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	3.44	93.0	0.00	3.20	0.00	3.20

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>									
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	1.42	93.0	0.00	1.32	0.00	1.32
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	1.22	93.0	0.00	1.13	0.00	1.13
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	3.79	93.0	0.00	3.52	0.00	3.52
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	7.92	93.0	0.00	7.37	0.00	7.37
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	14.73	93.0	0.00	13.70	0.00	13.70
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	0.26	93.0	0.00	0.24	0.00	0.24
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	0.48	93.0	0.00	0.45	0.00	0.45
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	34.86	93.0	0.00	32.42	0.00	32.42
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	64.28	93.0	0.00	59.78	0.00	59.78
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	15.64	93.0	0.00	14.55	0.00	14.55
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	24.13	93.0	0.00	22.44	0.00	22.44
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	8.94	93.0	0.00	8.31	0.00	8.31
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	4.34	93.0	0.00	4.04	0.00	4.04
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	1.34	93.0	0.00	1.25	0.00	1.25
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	23.02	93.0	0.00	21.41	0.00	21.41
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	7.63	93.0	0.00	7.10	0.00	7.10
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	7.36	93.0	0.00	6.84	0.00	6.84
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	3.70	93.0	0.00	3.44	0.00	3.44
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	8.96	93.0	0.00	8.33	0.00	8.33
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	6.50	93.0	0.00	6.05	0.00	6.05
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	4.00	93.0	0.00	3.72	0.00	3.72
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	6.20	93.0	0.00	5.77	0.00	5.77
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	4.12	93.0	0.00	3.83	0.00	3.83
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	12.79	93.0	0.00	11.89	0.00	11.89
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	4.08	93.0	0.00	3.79	0.00	3.79
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	22.60	93.0	0.00	21.02	0.00	21.02
01/10/2018 #	PEER, MEETA	DAIN TRAILER	0.00	6.91	93.0	0.00	6.43	0.00	6.43
01/10/2018 #	PEER, MEETA	DAIN TRAILER	0.00	4.69	93.0	0.00	4.36	0.00	4.36
01/10/2018 #	ROBERT PAPA TTEE	DAIN TRAILER	0.00	3.65	93.0	0.00	3.39	0.00	3.39
01/10/2018 #	ROBERT PAPA TTEE	DAIN TRAILER	0.00	3.08	93.0	0.00	2.86	0.00	2.86
01/10/2018 #	ROBERT PAPA TTEE	DAIN TRAILER	0.00	1.78	93.0	0.00	1.66	0.00	1.66
01/10/2018 #	ROBERT PAPA TTEE	DAIN TRAILER	0.00	2.38	93.0	0.00	2.21	0.00	2.21
01/10/2018 #	PATEL, GRISHMA	DAIN TRAILER	0.00	0.40	93.0	0.00	0.37	0.00	0.37
01/10/2018 #	PATEL, GRISHMA	DAIN TRAILER	0.00	0.68	93.0	0.00	0.63	0.00	0.63
01/10/2018 #	PATEL, GRISHMA	DAIN TRAILER	0.00	4.12	93.0	0.00	3.83	0.00	3.83
01/10/2018 #	PATEL, GRISHMA	DAIN TRAILER	0.00	2.13	93.0	0.00	1.98	0.00	1.98

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>									
01/10/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	32.91	93.0	0.00	30.61	0.00	30.61
01/10/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	32.83	93.0	0.00	30.53	0.00	30.53
01/10/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	28.57	93.0	0.00	26.57	0.00	26.57
01/10/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	8.24	93.0	0.00	7.66	0.00	7.66
01/10/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	0.60	93.0	0.00	0.56	0.00	0.56
01/10/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	0.98	93.0	0.00	0.91	0.00	0.91
01/10/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	27.14	93.0	0.00	25.24	0.00	25.24
01/10/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	32.64	93.0	0.00	30.36	0.00	30.36
01/10/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	59.31	93.0	0.00	55.16	0.00	55.16
01/10/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	1.40	93.0	0.00	1.30	0.00	1.30
01/10/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	49.38	93.0	0.00	45.92	0.00	45.92
01/10/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	19.02	93.0	0.00	17.69	0.00	17.69
01/10/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	10.38	93.0	0.00	9.65	0.00	9.65
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	0.01	93.0	0.00	0.01	0.00	0.01
01/10/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	35.58	93.0	0.00	33.09	0.00	33.09
01/10/2018 #	SHARMA, STEVEN	DAIN TRAILER	0.00	38.52	93.0	0.00	35.82	0.00	35.82
01/10/2018 #	SHARMA, STEVEN	DAIN TRAILER	0.00	1.90	93.0	0.00	1.77	0.00	1.77
01/10/2018 #	SHARMA, STEVEN	DAIN TRAILER	0.00	1.28	93.0	0.00	1.19	0.00	1.19
01/10/2018 #	SHARMA, STEVEN	DAIN TRAILER	0.00	1.50	93.0	0.00	1.40	0.00	1.40
01/10/2018 #	SHARMA, STEVEN	DAIN TRAILER	0.00	0.59	93.0	0.00	0.55	0.00	0.55
01/10/2018 #	PATEL, URMILA	DAIN TRAILER	0.00	53.03	93.0	0.00	49.32	0.00	49.32
01/10/2018 #	BHARAT C SHAH TTEE	DAIN TRAILER	0.00	2.86	93.0	0.00	2.66	0.00	2.66
01/10/2018 #	BHARAT C SHAH TTEE	DAIN TRAILER	0.00	37.38	93.0	0.00	34.76	0.00	34.76
01/10/2018 #	PATEL, PRAVIN	DAIN TRAILER	0.00	36.48	93.0	0.00	33.93	0.00	33.93
01/10/2018 #	PATEL, PRAVIN	DAIN TRAILER	0.00	43.54	93.0	0.00	40.49	0.00	40.49
01/10/2018 #	PATEL, PRAVIN	DAIN TRAILER	0.00	168.06	93.0	0.00	156.30	0.00	156.30
01/10/2018 #	PATEL, PRAVIN	DAIN TRAILER	0.00	72.32	93.0	0.00	67.26	0.00	67.26
01/10/2018 #	BHATT, VARSHA	DAIN TRAILER	0.00	3.43	93.0	0.00	3.19	0.00	3.19
01/10/2018 #	BHATT, VARSHA	DAIN TRAILER	0.00	3.28	93.0	0.00	3.05	0.00	3.05
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	8.35	93.0	0.00	7.77	0.00	7.77
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	22.61	93.0	0.00	21.03	0.00	21.03
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	22.92	93.0	0.00	21.32	0.00	21.32
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	14.05	93.0	0.00	13.07	0.00	13.07
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	1.08	93.0	0.00	1.00	0.00	1.00
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	19.77	93.0	0.00	18.39	0.00	18.39
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	4.01	93.0	0.00	3.73	0.00	3.73

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>									
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	32.66	93.0	0.00	30.37	0.00	30.37
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	0.03	93.0	0.00	0.03	0.00	0.03
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	3.82	93.0	0.00	3.55	0.00	3.55
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	13.17	93.0	0.00	12.25	0.00	12.25
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	1.85	93.0	0.00	1.72	0.00	1.72
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	0.80	93.0	0.00	0.74	0.00	0.74
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	1.58	93.0	0.00	1.47	0.00	1.47
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	7.58	93.0	0.00	7.05	0.00	7.05
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	20.53	93.0	0.00	19.09	0.00	19.09
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	1.85	93.0	0.00	1.72	0.00	1.72
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	3.07	93.0	0.00	2.86	0.00	2.86
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	2.76	93.0	0.00	2.57	0.00	2.57
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	10.80	93.0	0.00	10.04	0.00	10.04
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	9.43	93.0	0.00	8.77	0.00	8.77
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	3.47	93.0	0.00	3.23	0.00	3.23
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	0.51	93.0	0.00	0.47	0.00	0.47
01/10/2018 #	VORA, VASANT	DAIN TRAILER	0.00	3.64	93.0	0.00	3.39	0.00	3.39
01/16/2018 #00777302175	VARIOUS SHAH	JOHN HANCOCK FDS III STRATEGIC GROW	0.00	2.91	93.0	0.00	2.71	0.00	2.71
01/16/2018 #00777302124	VARIOUS SHAH	JOHN HANCOCK HIGH YIELD FUND CL A	0.00	2.10	93.0	0.00	1.95	0.00	1.95
01/16/2018 #00777185294	VARIOUS SHAH	JOHN HANCOCK REGIONAL BANK FUND-CL	0.00	17.66	93.0	0.00	16.42	0.00	16.42
01/18/2018 #	VORA, VASANT	DAIN TRAILER	0.00	17.30	93.0	0.00	16.09	0.00	16.09
01/26/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	2.70	93.0	0.00	2.51	0.00	2.51
01/26/2018 #	AMBANI, NARENDRA	DAIN TRAILER	0.00	5.79	93.0	0.00	5.38	0.00	5.38
01/26/2018 #	GOSRANI, KANTILAL	DAIN TRAILER	0.00	4.92	93.0	0.00	4.58	0.00	4.58
01/26/2018 #	PEER, MEETA	DAIN TRAILER	0.00	7.40	93.0	0.00	6.88	0.00	6.88
01/26/2018 #	GOSRANI, VENA	DAIN TRAILER	0.00	1.40	93.0	0.00	1.30	0.00	1.30
01/31/2018 #0000000002480150		**MUTUAL GLOBAL DISCOVERY FUND	0.00	6.00	93.0	0.00	5.58	0.00	5.58
01/31/2018 #0000000002483865		**MUTUAL GLOBAL DISCOVERY FUND	0.00	13.91	93.0	0.00	12.94	0.00	12.94
01/31/2018 #0000000002528279		**MUTUAL GLOBAL DISCOVERY FUND	0.00	16.49	93.0	0.00	15.34	0.00	15.34
01/31/2018 #0000000002528293		**MUTUAL GLOBAL DISCOVERY FUND	0.00	7.40	93.0	0.00	6.88	0.00	6.88
01/31/2018 #0000000004217081		**MUTUAL GLOBAL DISCOVERY FUND	0.00	19.35	93.0	0.00	18.00	0.00	18.00
01/31/2018 #0000000004238806		**MUTUAL GLOBAL DISCOVERY FUND	0.00	15.96	93.0	0.00	14.84	0.00	14.84
01/31/2018 #0000000004238844		**MUTUAL GLOBAL DISCOVERY FUND	0.00	15.96	93.0	0.00	14.84	0.00	14.84
01/31/2018 #0000000004301875	SUZUKI,	**MUTUAL GLOBAL DISCOVERY FUND	0.00	63.85	93.0	0.00	59.38	0.00	59.38
01/31/2018 #0000000004340636		**MUTUAL GLOBAL DISCOVERY FUND	0.00	85.31	93.0	0.00	79.34	0.00	79.34
01/31/2018 #0000000004357531	VORA,	**MUTUAL GLOBAL DISCOVERY FUND	0.00	13.56	93.0	0.00	12.61	0.00	12.61

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>									
01/31/2018	#0000000004357570	**MUTUAL GLOBAL DISCOVERY FUND	0.00	3.66	93.0	0.00	3.40	0.00	3.40
01/31/2018	#000000000377655	FRANKLIN 34572P604	0.00	19.05	93.0	0.00	17.72	0.00	17.72
01/31/2018	#000000000380523	FRANKLIN 34572P604	0.00	208.82	93.0	0.00	194.20	0.00	194.20
01/31/2018	#000000000435343	FRANKLIN 34572P604	0.00	4.50	93.0	0.00	4.19	0.00	4.19
01/31/2018	#0000000000000479	FRANKLIN 35241W856	0.00	0.40	93.0	0.00	0.37	0.00	0.37
01/31/2018	#0000000000569564	FRANKLIN 353496706	0.00	11.16	93.0	0.00	10.38	0.00	10.38
01/31/2018	#0000000000569588	FRANKLIN 353496706	0.00	11.16	93.0	0.00	10.38	0.00	10.38
01/31/2018	#0000000000570301	FRANKLIN 353496706	0.00	2.99	93.0	0.00	2.78	0.00	2.78
01/31/2018	#0000000000618557	FRANKLIN 353496706	0.00	13.59	93.0	0.00	12.64	0.00	12.64
01/31/2018	#0000000000622264	FRANKLIN 353496706	0.00	3.32	93.0	0.00	3.09	0.00	3.09
01/31/2018	#0000000000724575	FRANKLIN 353496706	0.00	35.91	93.0	0.00	33.40	0.00	33.40
01/31/2018	#0000000000724599	FRANKLIN 353496706	0.00	35.26	93.0	0.00	32.79	0.00	32.79
01/31/2018	#0000000000248308	FRANKLIN 353612880	0.00	11.65	93.0	0.00	10.83	0.00	10.83
01/31/2018	#0000000000248310	FRANKLIN 353612880	0.00	0.06	93.0	0.00	0.06	0.00	0.06
01/31/2018	#0000000000311237	FRANKLIN 353612880	0.00	1.85	93.0	0.00	1.72	0.00	1.72
01/31/2018	#0000000000313383	FRANKLIN 353612880	0.00	3.66	93.0	0.00	3.40	0.00	3.40
01/31/2018	#0000000000313395	FRANKLIN 353612880	0.00	3.66	93.0	0.00	3.40	0.00	3.40
01/31/2018	#0000000000388684	FRANKLIN 353612880	0.00	1.89	93.0	0.00	1.76	0.00	1.76
01/31/2018	#0000000000408245	FRANKLIN 353612880	0.00	101.36	93.0	0.00	94.26	0.00	94.26
01/31/2018	#0000000000410985	FRANKLIN 353612880	0.00	40.68	93.0	0.00	37.83	0.00	37.83
01/31/2018	#0000000000424729	FRANKLIN 353612880	0.00	12.74	93.0	0.00	11.85	0.00	11.85
01/31/2018	#0000000000424731	FRANKLIN 353612880	0.00	6.85	93.0	0.00	6.37	0.00	6.37
01/31/2018	#0000000000436485	FRANKLIN 353612880	0.00	1.80	93.0	0.00	1.67	0.00	1.67
01/31/2018	#0000000000012031	FRANKLIN 354713240	0.00	6.67	93.0	0.00	6.20	0.00	6.20
01/31/2018	#0000000000012738	FRANKLIN 354713240	0.00	16.22	93.0	0.00	15.08	0.00	15.08
01/31/2018	#0000000000014807	FRANKLIN 354713240	0.00	157.39	93.0	0.00	146.37	0.00	146.37
01/31/2018	#0000000000014819	FRANKLIN 354713240	0.00	89.95	93.0	0.00	83.65	0.00	83.65
01/31/2018	#0000000000021232	FRANKLIN 354713240	0.00	19.70	93.0	0.00	18.32	0.00	18.32
01/31/2018	#0000000000021244	FRANKLIN 354713240	0.00	6.60	93.0	0.00	6.14	0.00	6.14
01/31/2018	#0000000000021257	FRANKLIN 354713240	0.00	6.60	93.0	0.00	6.14	0.00	6.14
01/31/2018	#0000000000028668	FRANKLIN 354713240	0.00	18.77	93.0	0.00	17.46	0.00	17.46
01/31/2018	#0000000003284128	FRANKLIN 35472P828	0.00	9.50	93.0	0.00	8.84	0.00	8.84
01/31/2018	#0000000003284130	FRANKLIN 35472P828	0.00	9.50	93.0	0.00	8.84	0.00	8.84
01/31/2018	#0000000000749061	FRANKLIN 628380883	0.00	4.03	93.0	0.00	3.75	0.00	3.75
01/31/2018	#0000000000749073	FRANKLIN 628380883	0.00	0.12	93.0	0.00	0.11	0.00	0.11
01/31/2018	#0000000001125879	FRANKLIN 628380883	0.00	2.07	93.0	0.00	1.93	0.00	1.93

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>									
01/31/2018	#000000003383585	FRANKLIN BIOTECHNOLOGY DISCOVERY FU	0.00	148.14	93.0	0.00	137.77	0.00	137.77
01/31/2018	#000050117772912 SHAVAR	FRANKLIN HIGH INCOME FUND A	0.00	0.61	93.0	0.00	0.57	0.00	0.57
01/31/2018	#000050117772924 SHAVAR	FRANKLIN HIGH INCOME FUND A	0.00	0.61	93.0	0.00	0.57	0.00	0.57
01/31/2018	#000000001259009	FRANKLIN HIGH INCOME FUND C	0.00	0.96	93.0	0.00	0.89	0.00	0.89
01/31/2018	#000000001260734	FRANKLIN HIGH INCOME FUND C	0.00	1.14	93.0	0.00	1.06	0.00	1.06
01/31/2018	#000000001260746	FRANKLIN HIGH INCOME FUND C	0.00	1.14	93.0	0.00	1.06	0.00	1.06
01/31/2018	#000000003423807	FRANKLIN INCOME FDS SER CL C	0.00	7.91	93.0	0.00	7.36	0.00	7.36
01/31/2018	#000000003423833	FRANKLIN INCOME FDS SER CL C	0.00	0.10	93.0	0.00	0.09	0.00	0.09
01/31/2018	#000000003804628	FRANKLIN INCOME FDS SER CL C	0.00	9.23	93.0	0.00	8.58	0.00	8.58
01/31/2018	#000000003804630	FRANKLIN INCOME FDS SER CL C	0.00	5.58	93.0	0.00	5.19	0.00	5.19
01/31/2018	#000000003818806	FRANKLIN INCOME FDS SER CL C	0.00	11.17	93.0	0.00	10.39	0.00	10.39
01/31/2018	#000000003818818	FRANKLIN INCOME FDS SER CL C	0.00	4.11	93.0	0.00	3.82	0.00	3.82
01/31/2018	#000000010548396 SHAVAR	FRANKLIN INCOME FDS SER CL C	0.00	92.44	93.0	0.00	85.97	0.00	85.97
01/31/2018	#000000011726496 SHAVAR	FRANKLIN INCOME FDS SER CL C	0.00	15.39	93.0	0.00	14.31	0.00	14.31
01/31/2018	#000000011726609 SHAVAR	FRANKLIN INCOME FDS SER CL C	0.00	13.38	93.0	0.00	12.44	0.00	12.44
01/31/2018	#000000012217992 SHAVAR	FRANKLIN INCOME FDS SER CL C	0.00	1.02	93.0	0.00	0.95	0.00	0.95
01/31/2018	#000000012746792 SHAVAR	FRANKLIN INCOME FDS SER CL C	0.00	8.66	93.0	0.00	8.05	0.00	8.05
01/31/2018	#000090239276683 PATEL,	FRANKLIN INCOME SERIES CL A	0.00	32.85	93.0	0.00	30.55	0.00	30.55
01/31/2018	#000000000641631	FRANKLIN MUTUAL EUROPEAN FUND CLASS	0.00	3.74	93.0	0.00	3.48	0.00	3.48
01/31/2018	#000000000652519	FRANKLIN MUTUAL EUROPEAN FUND CLASS	0.00	177.31	93.0	0.00	164.90	0.00	164.90
01/31/2018	#000000000658714	FRANKLIN MUTUAL EUROPEAN FUND CLASS	0.00	73.33	93.0	0.00	68.20	0.00	68.20
01/31/2018	#000000000662623	FRANKLIN MUTUAL EUROPEAN FUND CLASS	0.00	11.70	93.0	0.00	10.88	0.00	10.88
01/31/2018	#000000000662647	FRANKLIN MUTUAL EUROPEAN FUND CLASS	0.00	3.29	93.0	0.00	3.06	0.00	3.06
01/31/2018	#000000000664995	FRANKLIN MUTUAL EUROPEAN FUND CLASS	0.00	4.97	93.0	0.00	4.62	0.00	4.62
01/31/2018	#000000000665772	FRANKLIN MUTUAL EUROPEAN FUND CLASS	0.00	1.76	93.0	0.00	1.64	0.00	1.64
01/31/2018	#000000000700462	FRANKLIN MUTUAL EUROPEAN FUND CLASS	0.00	97.94	93.0	0.00	91.08	0.00	91.08
01/31/2018	#000019413005974 SHAVAR	FRANKLIN STRATEGIC INCOME FUND - CL	0.00	1.28	93.0	0.00	1.19	0.00	1.19
01/31/2018	#000019413005986 SHAVAR	FRANKLIN STRATEGIC INCOME FUND - CL	0.00	1.28	93.0	0.00	1.19	0.00	1.19
01/31/2018	#000000000153306	FRANKLIN STRATEGIC SER NAT RES FD C	0.00	7.52	93.0	0.00	6.99	0.00	6.99
01/31/2018	#000000000153344	FRANKLIN STRATEGIC SER NAT RES FD C	0.00	7.52	93.0	0.00	6.99	0.00	6.99
01/31/2018	#000000000322711	FRANKLIN STRATEGIC SER NAT RES FD C	0.00	28.55	93.0	0.00	26.55	0.00	26.55
01/31/2018	#000000000322723	FRANKLIN STRATEGIC SER NAT RES FD C	0.00	2.29	93.0	0.00	2.13	0.00	2.13
01/31/2018	#000000000323562	FRANKLIN STRATEGIC SER NAT RES FD C	0.00	0.96	93.0	0.00	0.89	0.00	0.89
01/31/2018	#000000000324107	FRANKLIN STRATEGIC SER NAT RES FD C	0.00	1.15	93.0	0.00	1.07	0.00	1.07
01/31/2018	#000000000324119	FRANKLIN STRATEGIC SER NAT RES FD C	0.00	1.15	93.0	0.00	1.07	0.00	1.07
01/31/2018	#000000000356749	FRANKLIN STRATEGIC SER NAT RES FD C	0.00	73.71	93.0	0.00	68.55	0.00	68.55

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>									
01/31/2018	#000000000356752	FRANKLIN STRATEGIC SER NAT RES FD C	0.00	0.81	93.0	0.00	0.75	0.00	0.75
01/31/2018	#000000000356764	FRANKLIN STRATEGIC SER NAT RES FD C	0.00	8.27	93.0	0.00	7.69	0.00	7.69
01/31/2018	#000000000356790	FRANKLIN STRATEGIC SER NAT RES FD C	0.00	32.73	93.0	0.00	30.44	0.00	30.44
01/31/2018	#000000000285041 ELANCHENNY,	FRANKLIN TEMPLETON CONSERVATIVE ALL	0.00	8.84	93.0	0.00	8.22	0.00	8.22
01/31/2018	#000000000299331	FRANKLIN TEMPLETON CONSERVATIVE ALL	0.00	8.61	93.0	0.00	8.01	0.00	8.01
01/31/2018	#000000000299356 PATEL,	FRANKLIN TEMPLETON CONSERVATIVE ALL	0.00	8.57	93.0	0.00	7.97	0.00	7.97
01/31/2018	#000000000240960	FRANKLIN TEMPLETON FUND STRATEGIC S	0.00	2.10	93.0	0.00	1.95	0.00	1.95
01/31/2018	#000000000240972	FRANKLIN TEMPLETON FUND STRATEGIC S	0.00	0.03	93.0	0.00	0.03	0.00	0.03
01/31/2018	#000000000261040	FRANKLIN TEMPLETON FUND STRATEGIC S	0.00	5.80	93.0	0.00	5.39	0.00	5.39
01/31/2018	#000000000261053	FRANKLIN TEMPLETON FUND STRATEGIC S	0.00	3.98	93.0	0.00	3.70	0.00	3.70
01/31/2018	#000000000261812	FRANKLIN TEMPLETON FUND STRATEGIC S	0.00	2.21	93.0	0.00	2.06	0.00	2.06
01/31/2018	#0000000001225630	FRANKLIN TEMPLETON FUND STRATEGIC S	0.00	7.52	93.0	0.00	6.99	0.00	6.99
01/31/2018	#0000000001225667	FRANKLIN TEMPLETON FUND STRATEGIC S	0.00	7.89	93.0	0.00	7.34	0.00	7.34
01/31/2018	#0000000001450055	FRANKLIN TEMPLETON FUND STRATEGIC S	0.00	7.28	93.0	0.00	6.77	0.00	6.77
01/31/2018	#0000000001450067	FRANKLIN TEMPLETON FUND STRATEGIC S	0.00	95.34	93.0	0.00	88.67	0.00	88.67
01/31/2018	#0000000001450079	FRANKLIN TEMPLETON FUND STRATEGIC S	0.00	68.94	93.0	0.00	64.11	0.00	64.11
01/31/2018	#0000000001450081	FRANKLIN TEMPLETON FUND STRATEGIC S	0.00	68.94	93.0	0.00	64.11	0.00	64.11
01/31/2018	#0000000001450093	FRANKLIN TEMPLETON FUND STRATEGIC S	0.00	90.96	93.0	0.00	84.59	0.00	84.59
01/31/2018	#000000000442107	FRANKLIN TEMPLETON FUNDS CUST FDS I	0.00	47.13	93.0	0.00	43.83	0.00	43.83
01/31/2018	#000000000442119	FRANKLIN TEMPLETON FUNDS CUST FDS I	0.00	0.15	93.0	0.00	0.14	0.00	0.14
01/31/2018	#000000000449645	FRANKLIN TEMPLETON FUNDS CUST FDS I	0.00	15.38	93.0	0.00	14.30	0.00	14.30
01/31/2018	#000000000450039	FRANKLIN TEMPLETON FUNDS CUST FDS I	0.00	5.68	93.0	0.00	5.28	0.00	5.28
01/31/2018	#000000000450458	FRANKLIN TEMPLETON FUNDS CUST FDS I	0.00	40.90	93.0	0.00	38.04	0.00	38.04
01/31/2018	#000000000450460	FRANKLIN TEMPLETON FUNDS CUST FDS I	0.00	20.59	93.0	0.00	19.15	0.00	19.15
01/31/2018	#000000000456816	FRANKLIN TEMPLETON FUNDS CUST FDS I	0.00	47.61	93.0	0.00	44.28	0.00	44.28
01/31/2018	#000000000468429	FRANKLIN TEMPLETON FUNDS CUST FDS I	0.00	108.93	93.0	0.00	101.30	0.00	101.30
01/31/2018	#000000000572026	FRANKLIN TEMPLETON FUNDS CUST FDS I	0.00	63.71	93.0	0.00	59.25	0.00	59.25
01/31/2018	#000000000572038	FRANKLIN TEMPLETON FUNDS CUST FDS I	0.00	64.68	93.0	0.00	60.15	0.00	60.15
01/31/2018	#000000000587396	FRANKLIN TEMPLETON FUNDS CUST FDS I	0.00	92.04	93.0	0.00	85.60	0.00	85.60
01/31/2018	#000000000587408	FRANKLIN TEMPLETON FUNDS CUST FDS I	0.00	25.58	93.0	0.00	23.79	0.00	23.79
01/31/2018	#000000000664348	FRANKLIN TEMPLETON FUNDS CUST FDS I	0.00	252.99	93.0	0.00	235.28	0.00	235.28
01/31/2018	#000000000664603	FRANKLIN TEMPLETON FUNDS CUST FDS I	0.00	35.72	93.0	0.00	33.22	0.00	33.22
01/31/2018	#000080192953834 PATEL,	FRANKLIN TEMPLETON FUNDS DYNATECH S	0.00	3.78	93.0	0.00	3.52	0.00	3.52
01/31/2018	#000080192953846 PATEL,	FRANKLIN TEMPLETON FUNDS DYNATECH S	0.00	3.78	93.0	0.00	3.52	0.00	3.52
01/31/2018	#000080193229158 PATEL,	FRANKLIN TEMPLETON FUNDS DYNATECH S	0.00	27.12	93.0	0.00	25.22	0.00	25.22
01/31/2018	#000000000542542 SUZUKI,	FRANKLIN TEMPLETON FUNDS EQUITY INC	0.00	0.05	93.0	0.00	0.05	0.00	0.05

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>									
01/31/2018	#0000000001078928	FRANKLIN TEMPLETON FUNDS MUTUAL FIN	0.00	1.03	93.0	0.00	0.96	0.00	0.96
01/31/2018	#0000000001078930	FRANKLIN TEMPLETON FUNDS MUTUAL FIN	0.00	1.03	93.0	0.00	0.96	0.00	0.96
01/31/2018	#0000000001162864	FRANKLIN TEMPLETON FUNDS MUTUAL FIN	0.00	24.05	93.0	0.00	22.37	0.00	22.37
01/31/2018	#0000000001162876	FRANKLIN TEMPLETON FUNDS MUTUAL FIN	0.00	41.98	93.0	0.00	39.04	0.00	39.04
01/31/2018	#000020312401098 SHAVAR	FRANKLIN TEMPLETON FUNDS NATURAL RE	0.00	88.69	93.0	0.00	82.48	0.00	82.48
01/31/2018	#000020312425861 SHAVAR	FRANKLIN TEMPLETON FUNDS NATURAL RE	0.00	23.86	93.0	0.00	22.19	0.00	22.19
01/31/2018	#000020312445293 SHAVAR	FRANKLIN TEMPLETON FUNDS NATURAL RE	0.00	6.43	93.0	0.00	5.98	0.00	5.98
01/31/2018	#000011516899544 SHAVAR	FRANKLIN TEMPLETON FUNDS NEW YORK T	0.00	2.64	93.0	0.00	2.46	0.00	2.46
01/31/2018	#000070187608279 SHAVAR	FRANKLIN TEMPLETON FUNDS UTILITIES	0.00	3.59	93.0	0.00	3.34	0.00	3.34
01/31/2018	#000070187608281 SHAVAR	FRANKLIN TEMPLETON FUNDS UTILITIES	0.00	3.60	93.0	0.00	3.35	0.00	3.35
01/31/2018	#000070187928341 SHAVAR	FRANKLIN TEMPLETON FUNDS UTILITIES	0.00	1.04	93.0	0.00	0.97	0.00	0.97
01/31/2018	#0000000001587714	FRANKLIN US GOVT SEC FUND - CLASS C	0.00	3.32	93.0	0.00	3.09	0.00	3.09
01/31/2018	#0000000001587740	FRANKLIN US GOVT SEC FUND - CLASS C	0.00	3.31	93.0	0.00	3.08	0.00	3.08
01/31/2018	#0000000001590189	FRANKLIN US GOVT SEC FUND - CLASS C	0.00	0.72	93.0	0.00	0.67	0.00	0.67
01/31/2018	#0000000000799458	FRKLN GOLD & PRECIOUS METALS FUND C	0.00	0.00	93.0	0.00	0.00	0.00	0.00
01/31/2018	#0000000000824627	FRKLN GOLD & PRECIOUS METALS FUND C	0.00	12.20	93.0	0.00	11.35	0.00	11.35
01/31/2018	#0000000000829871	FRKLN GOLD & PRECIOUS METALS FUND C	0.00	0.66	93.0	0.00	0.61	0.00	0.61
01/31/2018	#0000000000869786 ELANCHENNY,	FRKLN GOLD & PRECIOUS METALS FUND C	0.00	0.00	93.0	0.00	0.00	0.00	0.00
01/31/2018	#0000000000364986	FT MODERATE ALLOC FUND - CLASS C	0.00	9.94	93.0	0.00	9.24	0.00	9.24
01/31/2018	#0000000000390169	FT MODERATE ALLOC FUND - CLASS C	0.00	13.60	93.0	0.00	12.65	0.00	12.65
01/31/2018	#0000000000390195	FT MODERATE ALLOC FUND - CLASS C	0.00	9.57	93.0	0.00	8.90	0.00	8.90
01/31/2018	#0000000000575605	MUTUAL FINANCIAL SERVICES FUND-CLAS	0.00	22.99	93.0	0.00	21.38	0.00	21.38
01/31/2018	#0000000000575617	MUTUAL FINANCIAL SERVICES FUND-CLAS	0.00	18.99	93.0	0.00	17.66	0.00	17.66
01/31/2018	#0000000000642330 VORA,	MUTUAL FINANCIAL SERVICES FUND-CLAS	0.00	132.83	93.0	0.00	123.53	0.00	123.53
01/31/2018	#0000000000643027	MUTUAL FINANCIAL SERVICES FUND-CLAS	0.00	420.82	93.0	0.00	391.36	0.00	391.36
01/31/2018	#0000000000645010	MUTUAL FINANCIAL SERVICES FUND-CLAS	0.00	127.59	93.0	0.00	118.66	0.00	118.66
01/31/2018	#0000000000652558	MUTUAL FINANCIAL SERVICES FUND-CLAS	0.00	4.52	93.0	0.00	4.20	0.00	4.20
01/31/2018	#0000000000652560 RICHMAN,	MUTUAL FINANCIAL SERVICES FUND-CLAS	0.00	4.52	93.0	0.00	4.20	0.00	4.20
01/31/2018	#0000000000657852 SHARMA,	MUTUAL FINANCIAL SERVICES FUND-CLAS	0.00	56.47	93.0	0.00	52.52	0.00	52.52
01/31/2018	#0000000000658500	MUTUAL FINANCIAL SERVICES FUND-CLAS	0.00	4.27	93.0	0.00	3.97	0.00	3.97
01/31/2018	#0000000000678452 ELANCHENNY,	MUTUAL FINANCIAL SERVICES FUND-CLAS	0.00	148.22	93.0	0.00	137.84	0.00	137.84
01/31/2018	#0000000008170110	MUTUAL GLOBAL DISCOVERY FUND CL A	0.00	50.43	93.0	0.00	46.90	0.00	46.90
01/31/2018	#0000000000018224	TEM INTERNATIONAL BOND FUND - CLASS	0.00	1.32	93.0	0.00	1.23	0.00	1.23
01/31/2018	#0000000000018248	TEM INTERNATIONAL BOND FUND - CLASS	0.00	1.56	93.0	0.00	1.45	0.00	1.45
01/31/2018	#0000000000018251	TEM INTERNATIONAL BOND FUND - CLASS	0.00	1.56	93.0	0.00	1.45	0.00	1.45
01/31/2018	#0000000001646393	TEMPLETON DEV MRKTS TR FUND CLASS C	0.00	36.04	93.0	0.00	33.52	0.00	33.52

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>									
01/31/2018	#000000001651569	TEMPLETON DEV MRKTS TR FUND CLASS C	0.00	179.24	93.0	0.00	166.69	0.00	166.69
01/31/2018	#000000001654680	TEMPLETON DEV MRKTS TR FUND CLASS C	0.00	5.54	93.0	0.00	5.15	0.00	5.15
01/31/2018	#000000003201389	TEMPLETON FUNDS INC FOREIGN FUND CL	0.00	191.01	93.0	0.00	177.64	0.00	177.64
01/31/2018	#000000003204385	TEMPLETON FUNDS INC FOREIGN FUND CL	0.00	6.90	93.0	0.00	6.42	0.00	6.42
01/31/2018	#000002974334528 SHAVAR	TEMPLETON FUNDS INC WORLD FUND CL A	0.00	20.11	93.0	0.00	18.70	0.00	18.70
01/31/2018	#000002974334579 SHAVAR	TEMPLETON FUNDS INC WORLD FUND CL A	0.00	12.63	93.0	0.00	11.75	0.00	11.75
01/31/2018	#000006985875264 SHAVAR	TEMPLETON GLOBAL BOND FD CL A	0.00	294.10	93.0	0.00	273.51	0.00	273.51
01/31/2018	#000000000276129	TEMPLETON GLOBAL BOND FUND CL C	0.00	3.53	93.0	0.00	3.28	0.00	3.28
01/31/2018	#000000000276143	TEMPLETON GLOBAL BOND FUND CL C	0.00	2.81	93.0	0.00	2.61	0.00	2.61
01/31/2018	#000000000277121	TEMPLETON GLOBAL BOND FUND CL C	0.00	13.22	93.0	0.00	12.29	0.00	12.29
01/31/2018	#000000000277133	TEMPLETON GLOBAL BOND FUND CL C	0.00	5.95	93.0	0.00	5.53	0.00	5.53
01/31/2018	#000000000425951	TEMPLETON GLOBAL BOND FUND CL C	0.00	8.93	93.0	0.00	8.30	0.00	8.30
01/31/2018	#000000000425963	TEMPLETON GLOBAL BOND FUND CL C	0.00	3.72	93.0	0.00	3.46	0.00	3.46
01/31/2018	#000000002010318	TEMPLETON GLOBAL BOND FUND CL C	0.00	15.51	93.0	0.00	14.42	0.00	14.42
01/31/2018	#000000002010371	TEMPLETON GLOBAL BOND FUND CL C	0.00	15.68	93.0	0.00	14.58	0.00	14.58
01/31/2018	#000000003907490	TEMPLETON GLOBAL BOND FUND CL C	0.00	0.72	93.0	0.00	0.67	0.00	0.67
01/31/2018	#000001981060880 SHAVAR	TEMPLETON GROWTH FUND INC CL A	0.00	9.78	93.0	0.00	9.10	0.00	9.10
01/31/2018	#000001981061072 SHAVAR	TEMPLETON GROWTH FUND INC CL A	0.00	11.23	93.0	0.00	10.44	0.00	10.44
01/31/2018	#000000002593960	TEMPLETON GROWTH FUND INC CL C	0.00	7.42	93.0	0.00	6.90	0.00	6.90
01/31/2018	#000000002593972	TEMPLETON GROWTH FUND INC CL C	0.00	0.13	93.0	0.00	0.12	0.00	0.12
01/31/2018	#000000002726293	TEMPLETON GROWTH FUND INC CL C	0.00	3.44	93.0	0.00	3.20	0.00	3.20
01/31/2018	#000000002726317	TEMPLETON GROWTH FUND INC CL C	0.00	3.32	93.0	0.00	3.09	0.00	3.09
01/31/2018	#000000002732028	TEMPLETON GROWTH FUND INC CL C	0.00	20.62	93.0	0.00	19.18	0.00	19.18
01/31/2018	#000000002732042 PATEL,	TEMPLETON GROWTH FUND INC CL C	0.00	18.66	93.0	0.00	17.35	0.00	17.35
01/31/2018	#000000003305669	TEMPLETON GROWTH FUND INC CL C	0.00	1.40	93.0	0.00	1.30	0.00	1.30
01/31/2018	#000000003952696	TEMPLETON GROWTH FUND INC CL C	0.00	6.49	93.0	0.00	6.04	0.00	6.04
01/31/2018	#000000003952708 RICHMAN,	TEMPLETON GROWTH FUND INC CL C	0.00	6.71	93.0	0.00	6.24	0.00	6.24
01/31/2018	#000000000071567	TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	4.55	93.0	0.00	4.23	0.00	4.23
01/31/2018	#000000000074613 VORA,	TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	48.73	93.0	0.00	45.32	0.00	45.32
01/31/2018	#000000000118719	TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	1.84	93.0	0.00	1.71	0.00	1.71
01/31/2018	#000000000124507	TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	4.62	93.0	0.00	4.30	0.00	4.30
01/31/2018	#000000000124519	TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	4.62	93.0	0.00	4.30	0.00	4.30
01/31/2018	#000000000168649	TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	1.41	93.0	0.00	1.31	0.00	1.31
01/31/2018	#000000000200725	TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	0.18	93.0	0.00	0.17	0.00	0.17
02/07/2018	#03900189779 SAINI, VIPUL	FIDELITY ADV FREEDOM 2020-CL C	0.00	0.08	93.0	0.00	0.07	0.00	0.07
02/07/2018	#03900189786 SHAH-SAINI,	FIDELITY ADV FREEDOM 2020-CL C	0.00	0.08	93.0	0.00	0.07	0.00	0.07

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
02/07/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV FREEDOM 2025 CL C	0.00	0.07	93.0	0.00	0.07	0.07
02/07/2018	#03900189786	SHAH-SAINI,	FIDELITY ADV FREEDOM 2025 CL C	0.00	0.07	93.0	0.00	0.07	0.07
02/07/2018	#01484642077	MENGEWENDE	FIDELITY ADV GLOBAL CAP APP-CL C	0.00	0.40	93.0	0.00	0.37	0.37
02/07/2018	#01484642127		FIDELITY ADV GLOBAL CAP APP-CL C	0.00	0.96	93.0	0.00	0.89	0.89
02/07/2018	#01489645067	REDDY, PANNALA	FIDELITY ADV STRATEGIC INCOME-CL C	0.00	0.18	93.0	0.00	0.17	0.17
02/07/2018	#01484641962	FILOPDIANL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	0.00	0.66	93.0	0.00	0.61	0.61
02/07/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR FOCUS FUNDS HEALTH	0.00	2.78	93.0	0.00	2.59	2.59
02/07/2018	#01484642077	MENGEWENDE	FIDELITY ADVISOR FOCUS FUNDS HEALTH	0.00	0.66	93.0	0.00	0.61	0.61
02/07/2018	#01484641962	FILOPDIANL	FIDELITY ADVISOR SER VII BIOTECHNOL	0.00	0.66	93.0	0.00	0.61	0.61
02/07/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VII BIOTECHNOL	0.00	2.77	93.0	0.00	2.58	2.58
02/07/2018	#01484642077	MENGEWENDE	FIDELITY ADVISOR SER VII BIOTECHNOL	0.00	0.43	93.0	0.00	0.40	0.40
02/07/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VIII GLOBAL EQ	0.00	2.86	93.0	0.00	2.66	2.66
02/07/2018	#01484642077	MENGEWENDE	FIDELITY ADVISOR SER VIII GLOBAL EQ	0.00	0.34	93.0	0.00	0.32	0.32
02/07/2018	#01484642077	MENGEWENDE	FIDELITY MID CAP VALUE	0.00	0.71	93.0	0.00	0.66	0.66
02/07/2018	#01484642127		FIDELITY MID CAP VALUE	0.00	0.52	93.0	0.00	0.48	0.48
02/07/2018	#01484642077	MENGEWENDE	FIDELITY SMALL CAP BLEND	0.00	0.55	93.0	0.00	0.51	0.51
02/07/2018	#01484642127		FIDELITY SMALL CAP BLEND	0.00	0.35	93.0	0.00	0.33	0.33
02/07/2018	#01484641962	FILOPDIANL	FIDELITY VALUE FUND	0.00	0.68	93.0	0.00	0.63	0.63
02/07/2018	#01484642051	HERSHLORR	FIDELITY VALUE FUND	0.00	2.86	93.0	0.00	2.66	2.66
02/07/2018	#01484642077	MENGEWENDE	FIDELITY VALUE FUND	0.00	0.34	93.0	0.00	0.32	0.32
02/07/2018	#01484642127		FIDELITY VALUE FUND	0.00	1.02	93.0	0.00	0.95	0.95
02/07/2018	#01484641962	FILOPDIANL	FIDLEITY INTERMEDIATE	0.00	0.51	93.0	0.00	0.47	0.47
02/07/2018	#01484642051	HERSHLORR	FIDLEITY INTERMEDIATE	0.00	2.27	93.0	0.00	2.11	2.11
02/07/2018	#01484642127		FIDLEITY INTERMEDIATE	0.00	1.11	93.0	0.00	1.03	1.03
02/07/2018	#01489645067	REDDY, PANNALA	FIDLEITY INTERMEDIATE	0.00	0.11	93.0	0.00	0.10	0.10
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$10,862.24		\$0.00	\$10,101.85	\$0.00	\$10,101.85
*** BROKER TRANSACTIONS TOTAL ***			\$1,016,255.40	\$14,448.12		\$0.00	\$13,160.09	\$578.65	\$12,581.44

COMMISSION STATEMENT for VASTU SHAH

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

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

BROKER COMMISSION TOTALS

Broker Transactions	\$12,581.44
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	\$12,082.44
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