

All Companies  
**STATEMENT**  
 April 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
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BROKER TRANSACTIONS

**PRODUCT CATEGORY: MUTUAL FUNDS**

03/02/2018	#000000000356752	FRANKLIN STRATEGIC SER NAT RES FD C	322.83	3.23	93.0	0.00	3.00	0.00	3.00
03/02/2018	#000000000869786	ELANCHENNY, FRKLN GOLD & PRECIOUS METALS FUND C	500.00	5.00	93.0	0.00	4.65	0.00	4.65
03/02/2018	#000000000645010	MUTUAL FINANCIAL SERVICES FUND-CLAS	322.83	3.23	93.0	0.00	3.00	0.00	3.00
03/05/2018	#03900189779	SAINI, VIPUL FIDELITY ADV EUROPE FUND CLASS C	48.08	0.48	93.0	0.00	0.45	0.00	0.45
03/05/2018	#03900189779	SAINI, VIPUL FIDELITY ADV FREEDOM 2020-CL C	96.16	0.96	93.0	0.00	0.89	0.00	0.89
03/05/2018	#03900189779	SAINI, VIPUL FIDELITY ADV FREEDOM 2025 CL C	96.15	0.96	93.0	0.00	0.89	0.00	0.89
03/05/2018	#01484642077	MENGWEWENDE FIDELITY ADV GLOBAL CAP APP-CL C	9.66	0.10	93.0	0.00	0.09	0.00	0.09
03/05/2018	#01484642127	FIDELITY ADV GLOBAL CAP APP-CL C	22.47	0.22	93.0	0.00	0.20	0.00	0.20
03/05/2018	#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
03/05/2018	#01484641962	FILOPDIANL FIDELITY ADVISOR FOCUS FUNDS HEALTH	41.99	0.42	93.0	0.00	0.39	0.00	0.39
03/05/2018	#01484642051	HERSHLORR FIDELITY ADVISOR FOCUS FUNDS HEALTH	34.55	0.35	93.0	0.00	0.33	0.00	0.33
03/05/2018	#01484642077	MENGWEWENDE FIDELITY ADVISOR FOCUS FUNDS HEALTH	19.31	0.19	93.0	0.00	0.18	0.00	0.18
03/05/2018	#03900189779	SAINI, VIPUL FIDELITY ADVISOR FOCUS FUNDS HEALTH	96.15	0.96	93.0	0.00	0.89	0.00	0.89
03/05/2018	#01484641962	FILOPDIANL FIDELITY ADVISOR SER VII BIOTECHNOL	41.99	0.42	93.0	0.00	0.39	0.00	0.39
03/05/2018	#01484642051	HERSHLORR FIDELITY ADVISOR SER VII BIOTECHNOL	34.55	0.35	93.0	0.00	0.33	0.00	0.33
03/05/2018	#01484642077	MENGWEWENDE FIDELITY ADVISOR SER VII BIOTECHNOL	14.49	0.14	93.0	0.00	0.13	0.00	0.13
03/05/2018	#01484642051	HERSHLORR FIDELITY ADVISOR SER VIII GLOBAL EQ	34.53	0.35	93.0	0.00	0.33	0.00	0.33
03/05/2018	#01484642077	MENGWEWENDE FIDELITY ADVISOR SER VIII GLOBAL EQ	9.65	0.10	93.0	0.00	0.09	0.00	0.09
03/05/2018	#01484642077	MENGWEWENDE FIDELITY MID CAP VALUE	19.31	0.19	93.0	0.00	0.18	0.00	0.18
03/05/2018	#01484642127	FIDELITY MID CAP VALUE	13.48	0.13	93.0	0.00	0.12	0.00	0.12
03/05/2018	#01484642077	MENGWEWENDE FIDELITY SMALL CAP BLEND	14.49	0.14	93.0	0.00	0.13	0.00	0.13
03/05/2018	#01484642127	FIDELITY SMALL CAP BLEND	8.99	0.09	93.0	0.00	0.08	0.00	0.08
03/05/2018	#01484641962	FILOPDIANL FIDELITY VALUE FUND	41.99	0.42	93.0	0.00	0.39	0.00	0.39
03/05/2018	#01484642051	HERSHLORR FIDELITY VALUE FUND	34.55	0.35	93.0	0.00	0.33	0.00	0.33
03/05/2018	#01484642077	MENGWEWENDE FIDELITY VALUE FUND	9.66	0.10	93.0	0.00	0.09	0.00	0.09
03/05/2018	#01484642127	FIDELITY VALUE FUND	28.09	0.28	93.0	0.00	0.26	0.00	0.26
03/05/2018	#01484641962	FILOPDIANL FIDLEITY INTERMEDIATE	41.97	0.42	93.0	0.00	0.39	0.00	0.39
03/05/2018	#01484642051	HERSHLORR FIDLEITY INTERMEDIATE	34.55	0.35	93.0	0.00	0.33	0.00	0.33

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>									
03/05/2018	#01484642127	FIDLEITY INTERMEDIATE	39.32	0.39	93.0	0.00	0.36	0.00	0.36
03/05/2018	#03900189779 SAINI, VIPUL	FIDLEITY INTERMEDIATE	48.08	0.48	93.0	0.00	0.45	0.00	0.45
03/19/2018	#000000000356752	FRANKLIN STRATEGIC SER NAT RES FD C	322.83	3.23	93.0	0.00	3.00	0.00	3.00
03/19/2018	#000000000869786 ELANCHENNY,	FRKLN GOLD & PRECIOUS METALS FUND C	500.00	5.00	93.0	0.00	4.65	0.00	4.65
03/19/2018	#000000000645010	MUTUAL FINANCIAL SERVICES FUND-CLAS	322.83	3.23	93.0	0.00	3.00	0.00	3.00
03/22/2018	#03900189779 SAINI, VIPUL	FIDELITY ADV EUROPE FUND CLASS C	48.08	0.48	93.0	0.00	0.45	0.00	0.45
03/22/2018	#03900189779 SAINI, VIPUL	FIDELITY ADV FREEDOM 2020-CL C	96.16	0.96	93.0	0.00	0.89	0.00	0.89
03/22/2018	#03900189779 SAINI, VIPUL	FIDELITY ADV FREEDOM 2025 CL C	96.15	0.96	93.0	0.00	0.89	0.00	0.89
03/22/2018	#01484642077 MENGEWENDE	FIDELITY ADV GLOBAL CAP APP-CL C	8.76	0.09	93.0	0.00	0.08	0.00	0.08
03/22/2018	#01484642127	FIDELITY ADV GLOBAL CAP APP-CL C	19.20	0.19	93.0	0.00	0.18	0.00	0.18
03/22/2018	#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
03/22/2018	#01484641962 FILOPDIANL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	36.05	0.36	93.0	0.00	0.33	0.00	0.33
03/22/2018	#01484642051 HERSHLORR	FIDELITY ADVISOR FOCUS FUNDS HEALTH	77.62	0.78	93.0	0.00	0.73	0.00	0.73
03/22/2018	#01484642077 MENGEWENDE	FIDELITY ADVISOR FOCUS FUNDS HEALTH	17.51	0.18	93.0	0.00	0.17	0.00	0.17
03/22/2018	#03900189779 SAINI, VIPUL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	96.15	0.96	93.0	0.00	0.89	0.00	0.89
03/22/2018	#01484641962 FILOPDIANL	FIDELITY ADVISOR SER VII BIOTECHNOL	36.05	0.36	93.0	0.00	0.33	0.00	0.33
03/22/2018	#01484642051 HERSHLORR	FIDELITY ADVISOR SER VII BIOTECHNOL	77.62	0.78	93.0	0.00	0.73	0.00	0.73
03/22/2018	#01484642077 MENGEWENDE	FIDELITY ADVISOR SER VII BIOTECHNOL	13.13	0.13	93.0	0.00	0.12	0.00	0.12
03/22/2018	#01484642051 HERSHLORR	FIDELITY ADVISOR SER VIII GLOBAL EQ	77.63	0.78	93.0	0.00	0.73	0.00	0.73
03/22/2018	#01484642077 MENGEWENDE	FIDELITY ADVISOR SER VIII GLOBAL EQ	8.75	0.09	93.0	0.00	0.08	0.00	0.08
03/22/2018	#01484642077 MENGEWENDE	FIDELITY MID CAP VALUE	17.51	0.18	93.0	0.00	0.17	0.00	0.17
03/22/2018	#01484642127	FIDELITY MID CAP VALUE	11.52	0.12	93.0	0.00	0.11	0.00	0.11
03/22/2018	#01484642077 MENGEWENDE	FIDELITY SMALL CAP BLEND	13.13	0.13	93.0	0.00	0.12	0.00	0.12
03/22/2018	#01484642127	FIDELITY SMALL CAP BLEND	7.68	0.08	93.0	0.00	0.07	0.00	0.07
03/22/2018	#01484641962 FILOPDIANL	FIDELITY VALUE FUND	36.05	0.36	93.0	0.00	0.33	0.00	0.33
03/22/2018	#01484642051 HERSHLORR	FIDELITY VALUE FUND	77.62	0.78	93.0	0.00	0.73	0.00	0.73
03/22/2018	#01484642077 MENGEWENDE	FIDELITY VALUE FUND	8.76	0.09	93.0	0.00	0.08	0.00	0.08
03/22/2018	#01484642127	FIDELITY VALUE FUND	24.00	0.24	93.0	0.00	0.22	0.00	0.22
03/22/2018	#01484641962 FILOPDIANL	FIDLEITY INTERMEDIATE	36.03	0.36	93.0	0.00	0.33	0.00	0.33
03/22/2018	#01484642051 HERSHLORR	FIDLEITY INTERMEDIATE	77.62	0.78	93.0	0.00	0.73	0.00	0.73
03/22/2018	#01484642127	FIDLEITY INTERMEDIATE	33.60	0.34	93.0	0.00	0.32	0.00	0.32
03/22/2018	#03900189779 SAINI, VIPUL	FIDLEITY INTERMEDIATE	48.08	0.48	93.0	0.00	0.45	0.00	0.45
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$4,518.29</b>	<b>\$45.22</b>		<b>\$0.00</b>	<b>\$42.03</b>	<b>\$0.00</b>	<b>\$42.03</b>

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: STOCKS</u></b>									
02/27/2018 #	SHARMA, RAJ	DELL TECHNOLOGIES INC CLASS V COMMO	1,604.08	5.00	85.0	0.00	4.25	19.95	-15.70
02/27/2018 #	SHARMA, MADHU	MICRO FOCUS INTERNATIONAL PLC AMERI	1,604.41	5.00	85.0	0.00	4.25	19.95	-15.70
02/27/2018 #	SHARMA, MADHU	VIVUS INC	227.50	5.00	85.0	0.00	4.25	19.95	-15.70
02/28/2018 #	SHARMA, MADHU	CONOCOPHILLIPS	11,000.00	5.00	85.0	0.00	4.25	19.95	-15.70
03/12/2018 #	BHARAT C SHAH TTEE	APPLE INC	36,378.00	52.50	85.0	0.00	44.63	19.95	24.68
03/12/2018 #	BHARAT C SHAH TTEE	MICRON TECHNOLOGY INC	29,939.95	240.33	85.0	0.00	204.28	19.95	184.33
03/12/2018 #	BHARAT C SHAH TTEE	POSCO SPONSORED ADR	41,149.00	105.00	85.0	0.00	89.25	19.95	69.30
03/15/2018 #	BHARAT C SHAH TTEE	TEMPLETON EMERGING MARKETS INCOME F	11,661.46	61.99	85.0	0.00	52.69	19.95	32.74
<b>* STOCKS SUBTOTAL *</b>			<b>\$133,564.40</b>	<b>\$479.82</b>		<b>\$0.00</b>	<b>\$407.85</b>	<b>\$159.60</b>	<b>\$248.25</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>									
02/08/0018 #1326880000	COMPREHENSIVE	JOHN HANCOCK LIFE-TRAILS	0.00	608.54	93.0	0.00	565.94	0.00	565.94
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$608.54</b>		<b>\$0.00</b>	<b>\$565.94</b>	<b>\$0.00</b>	<b>\$565.94</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
03/01/2018 #00082574591		AMCAP FUND INC CLASS A	0.00	8.13	93.0	0.00	7.56	0.00	7.56
03/01/2018 #00073593614	RICHMAN, BARRY	AMERICAN BALANCED FUND INC CL C	0.00	21.74	93.0	0.00	20.22	0.00	20.22
03/01/2018 #00073594160		AMERICAN BALANCED FUND INC CL C	0.00	21.74	93.0	0.00	20.22	0.00	20.22
03/01/2018 #00073593614	RICHMAN, BARRY	AMERICAN BALANCED FUND INC CLASS A	0.00	16.25	93.0	0.00	15.11	0.00	15.11
03/01/2018 #00073594160		AMERICAN BALANCED FUND INC CLASS A	0.00	16.48	93.0	0.00	15.33	0.00	15.33
03/01/2018 #00073593614	RICHMAN, BARRY	AMERICAN HIGH INCOME TR CL C	0.00	10.16	93.0	0.00	9.45	0.00	9.45
03/01/2018 #00073594160		AMERICAN HIGH INCOME TR CL C	0.00	10.16	93.0	0.00	9.45	0.00	9.45
03/01/2018 #00073593614	RICHMAN, BARRY	AMERICAN MUTUAL FUND INC CL C	0.00	4.97	93.0	0.00	4.62	0.00	4.62
03/01/2018 #00073594160		AMERICAN MUTUAL FUND INC CL C	0.00	4.97	93.0	0.00	4.62	0.00	4.62
03/01/2018 #00073594160		AMERICAN MUTUAL FUND INC CLASS A	0.00	14.14	93.0	0.00	13.15	0.00	13.15
03/01/2018 #00082574591		AMERICAN MUTUAL FUND INC CLASS A	0.00	13.28	93.0	0.00	12.35	0.00	12.35
03/01/2018 #00087151642		AMERICAN MUTUAL FUND INC CLASS A	0.00	16.55	93.0	0.00	15.39	0.00	15.39
03/01/2018 #00087151662		AMERICAN MUTUAL FUND INC CLASS A	0.00	3.27	93.0	0.00	3.04	0.00	3.04
03/01/2018 #00073593614	RICHMAN, BARRY	BOND FUND AMER INC CL C	0.00	5.35	93.0	0.00	4.98	0.00	4.98
03/01/2018 #00073594160		BOND FUND AMER INC CL C	0.00	5.35	93.0	0.00	4.98	0.00	4.98
03/01/2018 #00073593614	RICHMAN, BARRY	CAPITAL INCOME BLDR FUND CL C	0.00	27.01	93.0	0.00	25.12	0.00	25.12
03/01/2018 #00073594160		CAPITAL INCOME BLDR FUND CL C	0.00	27.01	93.0	0.00	25.12	0.00	25.12
03/01/2018 #00073593614	RICHMAN, BARRY	CAPITAL INCOME BUILDER FD CL F-1	0.00	1.63	93.0	0.00	1.52	0.00	1.52
03/01/2018 #00073594160		CAPITAL INCOME BUILDER FD CL F-1	0.00	1.63	93.0	0.00	1.52	0.00	1.52
03/01/2018 #00073593614	RICHMAN, BARRY	CAPITAL WORLD BOND FUND-C	0.00	13.46	93.0	0.00	12.52	0.00	12.52
03/01/2018 #00073594160		CAPITAL WORLD BOND FUND-C	0.00	13.46	93.0	0.00	12.52	0.00	12.52

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
03/01/2018	#00073593614	RICHMAN, BARRY	CAPITAL WORLD GROWTH & INCOME FUND	0.00	15.71	93.0	0.00	14.61	14.61
03/01/2018	#00073594160		CAPITAL WORLD GROWTH & INCOME FUND	0.00	15.71	93.0	0.00	14.61	14.61
03/01/2018	#00087151642		CAPITAL WORLD GROWTH & INCOME FUND	0.00	43.24	93.0	0.00	40.21	40.21
03/01/2018	#00087151662		CAPITAL WORLD GROWTH & INCOME FUND	0.00	8.57	93.0	0.00	7.97	7.97
03/01/2018	#00073593614	RICHMAN, BARRY	CAPITAL WORLD GROWTH & INCOME FUND	0.00	18.94	93.0	0.00	17.61	17.61
03/01/2018	#00073594160		CAPITAL WORLD GROWTH & INCOME FUND	0.00	18.94	93.0	0.00	17.61	17.61
03/01/2018	#00073593614	RICHMAN, BARRY	EURO PAC GROWTH FUND CL C	0.00	23.15	93.0	0.00	21.53	21.53
03/01/2018	#00073594160		EURO PAC GROWTH FUND CL C	0.00	23.15	93.0	0.00	21.53	21.53
03/01/2018	#00073593614	RICHMAN, BARRY	EURO PAC GROWTH FUND CL F1	0.00	1.94	93.0	0.00	1.80	1.80
03/01/2018	#00073594160		EURO PAC GROWTH FUND CL F1	0.00	1.94	93.0	0.00	1.80	1.80
03/01/2018	#00058617349		EURO PACIFIC GROWTH FUND CLASS A	0.00	0.78	93.0	0.00	0.73	0.73
03/01/2018	#00058617350		EURO PACIFIC GROWTH FUND CLASS A	0.00	0.78	93.0	0.00	0.73	0.73
03/01/2018	#00087151642		EURO PACIFIC GROWTH FUND CLASS A	0.00	46.87	93.0	0.00	43.59	43.59
03/01/2018	#00087151662		EURO PACIFIC GROWTH FUND CLASS A	0.00	9.29	93.0	0.00	8.64	8.64
03/01/2018	#00073593614	RICHMAN, BARRY	FUNDAMENTAL INVS INC CL C	0.00	10.61	93.0	0.00	9.87	9.87
03/01/2018	#00073594160		FUNDAMENTAL INVS INC CL C	0.00	10.61	93.0	0.00	9.87	9.87
03/01/2018	#00073593614	RICHMAN, BARRY	FUNDAMENTAL INVS INC CL F1	0.00	2.50	93.0	0.00	2.33	2.33
03/01/2018	#00073594160		FUNDAMENTAL INVS INC CL F1	0.00	2.50	93.0	0.00	2.33	2.33
03/01/2018	#00087151642		GLOBAL BALANCED FUND-A	0.00	12.12	93.0	0.00	11.27	11.27
03/01/2018	#00087151662		GLOBAL BALANCED FUND-A	0.00	2.40	93.0	0.00	2.23	2.23
03/01/2018	#00073593614	RICHMAN, BARRY	GLOBAL BALANCED FUND-C	0.00	3.61	93.0	0.00	3.36	3.36
03/01/2018	#00073594160		GLOBAL BALANCED FUND-C	0.00	3.61	93.0	0.00	3.36	3.36
03/01/2018	#00073593614	RICHMAN, BARRY	INCOME FUND AMER INC CL F1	0.00	8.76	93.0	0.00	8.15	8.15
03/01/2018	#00073594160		INCOME FUND AMER INC CL F1	0.00	8.76	93.0	0.00	8.15	8.15
03/01/2018	#00058617349		INCOME FUND OF AMERICA INC CLASS A	0.00	3.47	93.0	0.00	3.23	3.23
03/01/2018	#00058617350		INCOME FUND OF AMERICA INC CLASS A	0.00	3.47	93.0	0.00	3.23	3.23
03/01/2018	#00087151642		INTERNATIONAL GROWTH AND INCOME-A	0.00	8.37	93.0	0.00	7.78	7.78
03/01/2018	#00087151662		INTERNATIONAL GROWTH AND INCOME-A	0.00	1.66	93.0	0.00	1.54	1.54
03/01/2018	#00073593614	RICHMAN, BARRY	INTERNATIONAL GROWTH AND INCOME-C	0.00	2.50	93.0	0.00	2.33	2.33
03/01/2018	#00073594160		INTERNATIONAL GROWTH AND INCOME-C	0.00	2.50	93.0	0.00	2.33	2.33
03/01/2018	#00073593614	RICHMAN, BARRY	INVESTMENT CO AMER CL C	0.00	3.91	93.0	0.00	3.64	3.64
03/01/2018	#00073594160		INVESTMENT CO AMER CL C	0.00	3.91	93.0	0.00	3.64	3.64
03/01/2018	#00058617349		INVESTMENT CO AMER CLASS A	0.00	35.10	93.0	0.00	32.64	32.64
03/01/2018	#00058617350		INVESTMENT CO AMER CLASS A	0.00	24.11	93.0	0.00	22.42	22.42
03/01/2018	#00063750181		INVESTMENT CO AMER CLASS A	0.00	23.36	93.0	0.00	21.72	21.72
03/01/2018	#00063751738		INVESTMENT CO AMER CLASS A	0.00	23.39	93.0	0.00	21.75	21.75

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
03/01/2018	#00073593614	RICHMAN, BARRY	INVESTMENT CO AMER CLASS A	0.00	14.54	93.0	0.00	13.52	13.52
03/01/2018	#00087151642		INVESTMENT CO AMER CLASS A	0.00	12.84	93.0	0.00	11.94	11.94
03/01/2018	#00087151662		INVESTMENT CO AMER CLASS A	0.00	2.55	93.0	0.00	2.37	2.37
03/01/2018	#00082574591		NEW ECONOMY FUND SBI CLASS A	0.00	5.55	93.0	0.00	5.16	5.16
03/01/2018	#00087151642		NEW WORLD FUND INC NEW	0.00	46.15	93.0	0.00	42.92	42.92
03/01/2018	#00087151662		NEW WORLD FUND INC NEW	0.00	9.15	93.0	0.00	8.51	8.51
03/01/2018	#00073593614	RICHMAN, BARRY	NEW WORLD FUND INC NEW CL C	0.00	2.45	93.0	0.00	2.28	2.28
03/01/2018	#00073594160		NEW WORLD FUND INC NEW CL C	0.00	2.45	93.0	0.00	2.28	2.28
03/01/2018	#00073593614	RICHMAN, BARRY	WASHINGTON MUTUAL INVESTORS FUND-F1	0.00	2.30	93.0	0.00	2.14	2.14
03/01/2018	#00073594160		WASHINGTON MUTUAL INVESTORS FUND-F1	0.00	2.30	93.0	0.00	2.14	2.14
03/01/2018	#00058617349		WASHINGTON MUTUAL INVS FD CLASS A	0.00	0.86	93.0	0.00	0.80	0.80
03/01/2018	#00058617350		WASHINGTON MUTUAL INVS FD CLASS A	0.00	0.83	93.0	0.00	0.77	0.77
03/01/2018	#00082574591		WASHINGTON MUTUAL INVS FD CLASS A	0.00	27.03	93.0	0.00	25.14	25.14
03/07/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV FREEDOM 2020-CL C	0.00	0.07	93.0	0.00	0.07	0.07
03/07/2018	#03900189786	SHAH-SAINI,	FIDELITY ADV FREEDOM 2020-CL C	0.00	0.07	93.0	0.00	0.07	0.07
03/07/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV FREEDOM 2025 CL C	0.00	0.06	93.0	0.00	0.06	0.06
03/07/2018	#03900189786	SHAH-SAINI,	FIDELITY ADV FREEDOM 2025 CL C	0.00	0.06	93.0	0.00	0.06	0.06
03/07/2018	#01484642077	MENGWEWENDE	FIDELITY ADV GLOBAL CAP APP-CL C	0.00	0.36	93.0	0.00	0.33	0.33
03/07/2018	#01484642127		FIDELITY ADV GLOBAL CAP APP-CL C	0.00	0.89	93.0	0.00	0.83	0.83
03/07/2018	#01489645067	REDDY, PANNALA	FIDELITY ADV STRATEGIC INCOME-CL C	0.00	0.17	93.0	0.00	0.16	0.16
03/07/2018	#01484641962	FILOPDIANL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	0.00	0.80	93.0	0.00	0.74	0.74
03/07/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR FOCUS FUNDS HEALTH	0.00	2.65	93.0	0.00	2.46	2.46
03/07/2018	#01484642077	MENGWEWENDE	FIDELITY ADVISOR FOCUS FUNDS HEALTH	0.00	0.62	93.0	0.00	0.58	0.58
03/07/2018	#01484641962	FILOPDIANL	FIDELITY ADVISOR SER VII BIOTECHNOL	0.00	0.82	93.0	0.00	0.76	0.76
03/07/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VII BIOTECHNOL	0.00	2.69	93.0	0.00	2.50	2.50
03/07/2018	#01484642077	MENGWEWENDE	FIDELITY ADVISOR SER VII BIOTECHNOL	0.00	0.42	93.0	0.00	0.39	0.39
03/07/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VIII GLOBAL EQ	0.00	2.66	93.0	0.00	2.47	2.47
03/07/2018	#01484642077	MENGWEWENDE	FIDELITY ADVISOR SER VIII GLOBAL EQ	0.00	0.31	93.0	0.00	0.29	0.29
03/07/2018	#01484642077	MENGWEWENDE	FIDELITY MID CAP VALUE	0.00	0.64	93.0	0.00	0.60	0.60
03/07/2018	#01484642127		FIDELITY MID CAP VALUE	0.00	0.47	93.0	0.00	0.44	0.44
03/07/2018	#01484642077	MENGWEWENDE	FIDELITY SMALL CAP BLEND	0.00	0.50	93.0	0.00	0.47	0.47
03/07/2018	#01484642127		FIDELITY SMALL CAP BLEND	0.00	0.33	93.0	0.00	0.31	0.31
03/07/2018	#01484641962	FILOPDIANL	FIDELITY VALUE FUND	0.00	0.78	93.0	0.00	0.73	0.73
03/07/2018	#01484642051	HERSHLORR	FIDELITY VALUE FUND	0.00	2.65	93.0	0.00	2.46	2.46
03/07/2018	#01484642077	MENGWEWENDE	FIDELITY VALUE FUND	0.00	0.31	93.0	0.00	0.29	0.29
03/07/2018	#01484642127		FIDELITY VALUE FUND	0.00	0.95	93.0	0.00	0.88	0.88

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>									
03/07/2018	#01484641962 FILOPDIANL	FIDLEITY INTERMEDIATE	0.00	0.63	93.0	0.00	0.59	0.00	0.59
03/07/2018	#01484642051 HERSHLORR	FIDLEITY INTERMEDIATE	0.00	2.16	93.0	0.00	2.01	0.00	2.01
03/07/2018	#01484642127	FIDLEITY INTERMEDIATE	0.00	1.07	93.0	0.00	1.00	0.00	1.00
03/07/2018	#01489645067 REDDY, PANNALA	FIDLEITY INTERMEDIATE	0.00	0.11	93.0	0.00	0.10	0.00	0.10
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	7.14	93.0	0.00	6.64	0.00	6.64
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	4.36	93.0	0.00	4.05	0.00	4.05
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	0.60	93.0	0.00	0.56	0.00	0.56
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	2.86	93.0	0.00	2.66	0.00	2.66
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	4.25	93.0	0.00	3.95	0.00	3.95
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	3.32	93.0	0.00	3.09	0.00	3.09
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	1.29	93.0	0.00	1.20	0.00	1.20
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	1.16	93.0	0.00	1.08	0.00	1.08
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	3.62	93.0	0.00	3.37	0.00	3.37
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	7.38	93.0	0.00	6.86	0.00	6.86
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	14.45	93.0	0.00	13.44	0.00	13.44
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	0.24	93.0	0.00	0.22	0.00	0.22
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	0.42	93.0	0.00	0.39	0.00	0.39
03/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	8.28	93.0	0.00	7.70	0.00	7.70
03/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	2.35	93.0	0.00	2.19	0.00	2.19
03/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	22.14	93.0	0.00	20.59	0.00	20.59
03/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	6.28	93.0	0.00	5.84	0.00	5.84
03/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	6.63	93.0	0.00	6.17	0.00	6.17
03/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	3.51	93.0	0.00	3.26	0.00	3.26
03/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	8.16	93.0	0.00	7.59	0.00	7.59
03/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	5.92	93.0	0.00	5.51	0.00	5.51
03/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	3.65	93.0	0.00	3.39	0.00	3.39
03/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	5.78	93.0	0.00	5.38	0.00	5.38
03/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	3.79	93.0	0.00	3.52	0.00	3.52
03/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	11.74	93.0	0.00	10.92	0.00	10.92
03/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	3.69	93.0	0.00	3.43	0.00	3.43
03/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	19.95	93.0	0.00	18.55	0.00	18.55
03/09/2018	# PEER, MEETA	DAIN TRAILER	0.00	6.36	93.0	0.00	5.91	0.00	5.91
03/09/2018	# PEER, MEETA	DAIN TRAILER	0.00	4.10	93.0	0.00	3.81	0.00	3.81
03/09/2018	# PEER, MEETA	DAIN TRAILER	0.00	5.01	93.0	0.00	4.66	0.00	4.66
03/09/2018	# VORA, SHAILA	DAIN TRAILER	0.00	0.95	93.0	0.00	0.88	0.00	0.88
03/09/2018	# VORA, SHAILA	DAIN TRAILER	0.00	0.31	93.0	0.00	0.29	0.00	0.29

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>									
03/09/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	0.12	93.0	0.00	0.11	0.00	0.11
03/09/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	0.49	93.0	0.00	0.46	0.00	0.46
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	9.43	93.0	0.00	8.77	0.00	8.77
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	9.15	93.0	0.00	8.51	0.00	8.51
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	9.11	93.0	0.00	8.47	0.00	8.47
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	9.70	93.0	0.00	9.02	0.00	9.02
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	9.23	93.0	0.00	8.58	0.00	8.58
03/09/2018 #	VENKATESWARA CHODAPANEEDI	DAIN TRAILER	0.00	44.80	93.0	0.00	41.66	0.00	41.66
03/09/2018 #	GOSRANI, KANTILAL	DAIN TRAILER	0.00	47.37	93.0	0.00	44.05	0.00	44.05
03/09/2018 #	GOSRANI, KANTILAL	DAIN TRAILER	0.00	8.53	93.0	0.00	7.93	0.00	7.93
03/09/2018 #	GOSRANI, KANTILAL	DAIN TRAILER	0.00	7.48	93.0	0.00	6.96	0.00	6.96
03/09/2018 #	SHARMA, STEVEN	DAIN TRAILER	0.00	1.70	93.0	0.00	1.58	0.00	1.58
03/09/2018 #	SHARMA, STEVEN	DAIN TRAILER	0.00	1.19	93.0	0.00	1.11	0.00	1.11
03/09/2018 #	SHARMA, STEVEN	DAIN TRAILER	0.00	1.38	93.0	0.00	1.28	0.00	1.28
03/09/2018 #	SHARMA, STEVEN	DAIN TRAILER	0.00	0.55	93.0	0.00	0.51	0.00	0.51
03/09/2018 #	PATEL, URMILA	DAIN TRAILER	0.00	49.32	93.0	0.00	45.87	0.00	45.87
03/09/2018 #	BHARAT C SHAH TTEE	DAIN TRAILER	0.00	3.50	93.0	0.00	3.26	0.00	3.26
03/09/2018 #	BHARAT C SHAH TTEE	DAIN TRAILER	0.00	33.99	93.0	0.00	31.61	0.00	31.61
03/09/2018 #	PATEL, PRAVIN	DAIN TRAILER	0.00	35.56	93.0	0.00	33.07	0.00	33.07
03/09/2018 #	PATEL, PRAVIN	DAIN TRAILER	0.00	41.44	93.0	0.00	38.54	0.00	38.54
03/09/2018 #	PATEL, PRAVIN	DAIN TRAILER	0.00	80.08	93.0	0.00	74.47	0.00	74.47
03/09/2018 #	PATEL, PRAVIN	DAIN TRAILER	0.00	77.31	93.0	0.00	71.90	0.00	71.90
03/09/2018 #	PATEL, PRAVIN	DAIN TRAILER	0.00	64.38	93.0	0.00	59.87	0.00	59.87
03/09/2018 #	BHATT, VARSHA	DAIN TRAILER	0.00	3.11	93.0	0.00	2.89	0.00	2.89
03/09/2018 #	BHATT, VARSHA	DAIN TRAILER	0.00	2.96	93.0	0.00	2.75	0.00	2.75
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	0.03	93.0	0.00	0.03	0.00	0.03
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	1.72	93.0	0.00	1.60	0.00	1.60
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	0.74	93.0	0.00	0.69	0.00	0.69
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	1.52	93.0	0.00	1.41	0.00	1.41
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	7.14	93.0	0.00	6.64	0.00	6.64
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	18.39	93.0	0.00	17.10	0.00	17.10
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	1.79	93.0	0.00	1.66	0.00	1.66
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	2.88	93.0	0.00	2.68	0.00	2.68
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	2.41	93.0	0.00	2.24	0.00	2.24
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	9.84	93.0	0.00	9.15	0.00	9.15
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	8.91	93.0	0.00	8.29	0.00	8.29

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>									
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	3.28	93.0	0.00	3.05	0.00	3.05
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	0.47	93.0	0.00	0.44	0.00	0.44
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	3.33	93.0	0.00	3.10	0.00	3.10
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	8.48	93.0	0.00	7.89	0.00	7.89
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	13.61	93.0	0.00	12.66	0.00	12.66
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	5.63	93.0	0.00	5.24	0.00	5.24
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	17.83	93.0	0.00	16.58	0.00	16.58
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	2.75	93.0	0.00	2.56	0.00	2.56
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	2.05	93.0	0.00	1.91	0.00	1.91
03/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	1.99	93.0	0.00	1.85	0.00	1.85
03/09/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	3.29	93.0	0.00	3.06	0.00	3.06
03/09/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	6.29	93.0	0.00	5.85	0.00	5.85
03/09/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	13.28	93.0	0.00	12.35	0.00	12.35
03/09/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	3.30	93.0	0.00	3.07	0.00	3.07
03/09/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	2.47	93.0	0.00	2.30	0.00	2.30
03/09/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	2.00	93.0	0.00	1.86	0.00	1.86
03/09/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	16.22	93.0	0.00	15.08	0.00	15.08
03/09/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	39.66	93.0	0.00	36.88	0.00	36.88
03/09/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	8.29	93.0	0.00	7.71	0.00	7.71
03/09/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	1.79	93.0	0.00	1.66	0.00	1.66
03/09/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	1.31	93.0	0.00	1.22	0.00	1.22
03/09/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	4.16	93.0	0.00	3.87	0.00	3.87
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	14.91	93.0	0.00	13.87	0.00	13.87
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	0.81	93.0	0.00	0.75	0.00	0.75
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	2.02	93.0	0.00	1.88	0.00	1.88
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	1.31	93.0	0.00	1.22	0.00	1.22
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	4.99	93.0	0.00	4.64	0.00	4.64
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	16.10	93.0	0.00	14.97	0.00	14.97
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	10.61	93.0	0.00	9.87	0.00	9.87
03/09/2018 #	DESAI, KIRIT	DAIN TRAILER	0.00	34.52	93.0	0.00	32.10	0.00	32.10
03/09/2018 #	AMBANI, NARENDRA	DAIN TRAILER	0.00	6.31	93.0	0.00	5.87	0.00	5.87
03/09/2018 #	AMBANI, NARENDRA	DAIN TRAILER	0.00	7.20	93.0	0.00	6.70	0.00	6.70
03/09/2018 #	AMBANI, NARENDRA	DAIN TRAILER	0.00	7.95	93.0	0.00	7.39	0.00	7.39
03/09/2018 #	AMBANI, NARENDRA	DAIN TRAILER	0.00	24.20	93.0	0.00	22.51	0.00	22.51
03/09/2018 #	AMBANI, NARENDRA	DAIN TRAILER	0.00	13.04	93.0	0.00	12.13	0.00	12.13
03/09/2018 #	AMBANI, NARENDRA	DAIN TRAILER	0.00	22.60	93.0	0.00	21.02	0.00	21.02



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>									
03/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	12.20	93.0	0.00	11.35	0.00	11.35
03/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	23.74	93.0	0.00	22.08	0.00	22.08
03/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	255.78	93.0	0.00	237.88	0.00	237.88
03/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	64.99	93.0	0.00	60.44	0.00	60.44
03/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	8.48	93.0	0.00	7.89	0.00	7.89
03/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	14.40	93.0	0.00	13.39	0.00	13.39
03/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	6.55	93.0	0.00	6.09	0.00	6.09
03/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	6.12	93.0	0.00	5.69	0.00	5.69
03/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	18.48	93.0	0.00	17.19	0.00	17.19
03/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	8.35	93.0	0.00	7.77	0.00	7.77
03/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	3.37	93.0	0.00	3.13	0.00	3.13
03/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	4.05	93.0	0.00	3.77	0.00	3.77
03/09/2018	# ELANCHENNY, VYTHILINGAM	DAIN TRAILER	0.00	6.61	93.0	0.00	6.15	0.00	6.15
03/09/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	3.61	93.0	0.00	3.36	0.00	3.36
03/09/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	10.77	93.0	0.00	10.02	0.00	10.02
03/09/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	49.01	93.0	0.00	45.58	0.00	45.58
03/09/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	2.83	93.0	0.00	2.63	0.00	2.63
03/09/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	42.70	93.0	0.00	39.71	0.00	39.71
03/09/2018	# PATEL, GRISHMA	DAIN TRAILER	0.00	0.48	93.0	0.00	0.45	0.00	0.45
03/09/2018	# PATEL, GRISHMA	DAIN TRAILER	0.00	0.83	93.0	0.00	0.77	0.00	0.77
03/09/2018	# PATEL, GRISHMA	DAIN TRAILER	0.00	4.72	93.0	0.00	4.39	0.00	4.39
03/09/2018	# PATEL, GRISHMA	DAIN TRAILER	0.00	2.52	93.0	0.00	2.34	0.00	2.34
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	9.63	93.0	0.00	8.96	0.00	8.96
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	23.51	93.0	0.00	21.86	0.00	21.86
03/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	20.64	93.0	0.00	19.20	0.00	19.20
03/09/2018	# VORA, SHAILA	DAIN TRAILER	0.00	9.43	93.0	0.00	8.77	0.00	8.77
03/09/2018	# VORA, SHAILA	DAIN TRAILER	0.00	9.15	93.0	0.00	8.51	0.00	8.51
03/09/2018	# VORA, SHAILA	DAIN TRAILER	0.00	9.11	93.0	0.00	8.47	0.00	8.47
03/09/2018	# VORA, SHAILA	DAIN TRAILER	0.00	9.70	93.0	0.00	9.02	0.00	9.02
03/09/2018	# VORA, SHAILA	DAIN TRAILER	0.00	9.63	93.0	0.00	8.96	0.00	8.96
03/09/2018	# VORA, SHAILA	DAIN TRAILER	0.00	13.38	93.0	0.00	12.44	0.00	12.44
03/09/2018	# VORA, SHAILA	DAIN TRAILER	0.00	14.11	93.0	0.00	13.12	0.00	13.12
03/09/2018	# WYNN, MARY	DAIN TRAILER	0.00	0.20	93.0	0.00	0.19	0.00	0.19
03/09/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	29.85	93.0	0.00	27.76	0.00	27.76
03/09/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	29.86	93.0	0.00	27.77	0.00	27.77
03/09/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	25.84	93.0	0.00	24.03	0.00	24.03

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>									
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	7.36	93.0	0.00	6.84	0.00	6.84
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	0.53	93.0	0.00	0.49	0.00	0.49
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	0.81	93.0	0.00	0.75	0.00	0.75
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	24.85	93.0	0.00	23.11	0.00	23.11
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	29.21	93.0	0.00	27.17	0.00	27.17
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	53.46	93.0	0.00	49.72	0.00	49.72
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	1.26	93.0	0.00	1.17	0.00	1.17
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	44.36	93.0	0.00	41.25	0.00	41.25
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	18.04	93.0	0.00	16.78	0.00	16.78
03/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	9.35	93.0	0.00	8.70	0.00	8.70
03/09/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	0.01	93.0	0.00	0.01	0.00	0.01
03/09/2018 #	SHAH, BHARAT	DAIN TRAILER	0.00	32.37	93.0	0.00	30.10	0.00	30.10
03/09/2018 #	ROBERT PAPA TTEE	DAIN TRAILER	0.00	3.45	93.0	0.00	3.21	0.00	3.21
03/09/2018 #	ROBERT PAPA TTEE	DAIN TRAILER	0.00	2.78	93.0	0.00	2.59	0.00	2.59
03/09/2018 #	ROBERT PAPA TTEE	DAIN TRAILER	0.00	1.57	93.0	0.00	1.46	0.00	1.46
03/09/2018 #	ROBERT PAPA TTEE	DAIN TRAILER	0.00	2.15	93.0	0.00	2.00	0.00	2.00
03/13/2018 #	PATEL, GRISHMA	DAIN TRAILER	100.00	0.00	93.0	0.00	0.00	0.00	0.00
03/14/2018 #00777302175	VARIOUS SHAH	JOHN HANCOCK FDS III STRATEGIC GROW	0.00	2.76	93.0	0.00	2.57	0.00	2.57
03/14/2018 #00777302124	VARIOUS SHAH	JOHN HANCOCK HIGH YIELD FUND CL A	0.00	1.89	93.0	0.00	1.76	0.00	1.76
03/14/2018 #00777185294	VARIOUS SHAH	JOHN HANCOCK REGIONAL BANK FUND-CL	0.00	16.54	93.0	0.00	15.38	0.00	15.38
03/20/2018 #	VORA, VASANT	DAIN TRAILER	0.00	15.35	93.0	0.00	14.28	0.00	14.28
03/27/2018 #	PEER, MEETA	DAIN TRAILER	0.00	6.71	93.0	0.00	6.24	0.00	6.24
03/27/2018 #	GOSRANI, KANTILAL	DAIN TRAILER	0.00	0.96	93.0	0.00	0.89	0.00	0.89
03/27/2018 #	GOSRANI, VENA	DAIN TRAILER	0.00	1.27	93.0	0.00	1.18	0.00	1.18
03/27/2018 #	SHARMA, MADHU	DAIN TRAILER	0.00	2.47	93.0	0.00	2.30	0.00	2.30
03/27/2018 #	AMBANI, NARENDRA	DAIN TRAILER	0.00	5.29	93.0	0.00	4.92	0.00	4.92
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$100.00	\$3,003.65		\$0.00	\$2,793.48	\$0.00	\$2,793.48
*** BROKER TRANSACTIONS TOTAL ***			\$138,182.69	\$4,137.23		\$0.00	\$3,809.30	\$159.60	\$3,649.70

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

04/20/2018		ADMIN FEE: ADMIN FEE							-390.00
04/20/2018		E & O INSURANCE: E & O INSURANCE							-179.00
04/20/2018		FINRA: FINRA ANNUAL ASSESMENT FEE							-215.00
*** ADJUSTMENTS TOTAL ***									<u>\$-784.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$3,649.70
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-784.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	<u>\$2,865.70</u>
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