

All Companies  
**STATEMENT**  
April 20, 2018

JOHN DAVENPORT  
800 Connecticut Ave  
Suite E401  
Norwalk, CT 06854

BROKER #: 030  
BRANCH: LA BRANCH

COMMISSION STATEMENT for JOHN DAVENPORT

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

03/01/2018 #	**NUVEEN INVT TR V	S	20,848.68	0.00	20.00	0.00	-20.00	89.0	-17.80
	* MUTUAL FUNDS SUBTOTAL *		\$20,848.68	\$0.00	\$20.00	\$0.00	\$-20.00		\$-17.80

PRODUCT CATEGORY: STOCKS

03/01/2018 #	***LYONDELLBASELL INDUSTRIES	S	13,203.44	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	ABBVIE INC	S	11,371.97	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	AEGON NV NY REGISTRY SHS	S	9,705.71	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	AES CORP	S	6,876.86	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	BANK OF MONTREAL	S	8,980.42	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	BB&T CORP	S	19,083.66	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	BCE INC COM NEW	S	10,140.39	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	CISCO SYSTEMS INC	S	11,563.92	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	CME GROUP INC	S	11,429.61	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	COVANTA HOLDING CORPORATION	S	1,772.95	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	CROWN CASTLE INTERNATIONAL	S	7,971.01	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	CYPRESS SEMICONDUCTOR CORP	S	12,182.68	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	DIGITAL REALTY TRUST INC	S	9,749.77	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	EATON CORPORATION PLC	S	12,474.22	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	ENBRIDGE INC	S	9,898.12	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	HOSPITALITY PROPERTIES TRUST	S	6,174.20	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	HP INC COM	S	10,571.27	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	HSBC HOLDINGS PLC SPONSORED ADR NEW	S	9,963.57	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	HUNTINGTON BANCSHARES INC	S	9,278.42	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	INTERNATIONAL PAPER CO	S	11,847.81	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	ISHARES IBONDS SEP 2018 TERM	S	44,618.04	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	ISHARES IBONDS SEP 2019 TERM	S	44,425.46	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	ISHARES IBONDS SEP 2020	S	44,260.77	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	ISHARES TRUST	S	44,135.39	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	ISHARES TRUST	S	43,900.51	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	KLA-TENCOR CORP	S	9,089.09	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #	LAMAR ADVERTISING COMPANY	S	9,833.55	0.00	19.95	0.00	-19.95	89.0	-17.76

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<b><u>BROKER TRANSACTIONS</u></b>										
<b><u>PRODUCT CATEGORY: STOCKS</u></b>										
03/01/2018 #		MERCK & CO INC	S	11,318.33	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		NATIONAL GRID PLC AMERICAN DEPOSITA	S	5,776.98	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		OLD REPUBLIC INTL CORP	S	6,890.45	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		ONEOK INC NEW	S	10,338.37	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		PACWEST BANCORP	S	5,578.66	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		PEMBINA PIPELINE CORP	S	3,534.53	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		PFIZER INC	S	11,484.18	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		QUALCOMM INC	S	9,668.52	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		SABRE CORPORATION	S	10,373.05	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		SYSCO CORP	S	8,896.02	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		TAIWAN SEMICONDUCTOR MFG CO LTD-SPO	S	11,329.50	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		TAPESTRY INC COMMON STOCK	S	12,791.02	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		TARGET CORP	S	12,906.27	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		TEXAS INSTRUMENTS INCORPORATED	S	10,005.60	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		TORONTO-DOMINION BANK	S	10,402.59	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		TOTAL S.A. 1 ADR REPRESENTING 1 ORD	S	8,035.91	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		UNITED PARCEL SVC INC CL B	S	7,023.06	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		VERIZON COMMUNICATIONS	S	12,007.63	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		VODAFONE GROUP PLC SPONSORED ADR NO	S	14,053.03	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		WESTERN DIGITAL CORP	S	12,180.03	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		WEYERHAEUSER CO	S	9,299.37	0.00	19.95	0.00	-19.95	89.0	-17.76
03/01/2018 #		WILLIAMS COMPANIES INC	S	7,791.09	0.00	19.95	0.00	-19.95	89.0	-17.76
03/15/2018 #	CAROLE R ARTMAN	SPDR INDEX SHARES FUNDS SPDR S&P IN	S	4,458.32	0.00	19.95	0.00	-19.95	89.0	-17.76
* STOCKS SUBTOTAL *				\$660,645.32	\$0.00	\$997.50	\$0.00	\$-997.50		\$-888.00
<b><u>PRODUCT CATEGORY: BONDS</u></b>										
03/01/2018 #		METROPOLITAN TRANSN AUTH N Y	S	87,420.75	0.00	25.00	0.00	-25.00	89.0	-22.25
03/01/2018 #		N Y TRANSITIONAL FINANCE AUTH	S	52,536.00	0.00	25.00	0.00	-25.00	89.0	-22.25
03/01/2018 #		NEW YORK N Y CITY	S	92,109.60	0.00	25.00	0.00	-25.00	89.0	-22.25
03/01/2018 #		NEW YORK N Y GO BDS	S	223,548.00	0.00	25.00	0.00	-25.00	89.0	-22.25
03/01/2018 #		NEW YORK ST DORM AUTH REVS	S	242,992.20	0.00	25.00	0.00	-25.00	89.0	-22.25
03/01/2018 #		NEW YORK ST DORM AUTH REVS	S	100,944.00	0.00	25.00	0.00	-25.00	89.0	-22.25
03/01/2018 #		NEW YORK ST DORM AUTH REVS COU	S	132,034.10	0.00	25.00	0.00	-25.00	89.0	-22.25
03/01/2018 #		NEW YORK ST DORM AUTH REVS NON	S	187,689.25	0.00	25.00	0.00	-25.00	89.0	-22.25
03/01/2018 #		WISCONSIN ST TRANSN REV REV	S	190,955.90	0.00	25.00	0.00	-25.00	89.0	-22.25
* BONDS SUBTOTAL *				\$1,310,229.80	\$0.00	\$225.00	\$0.00	\$-225.00		\$-200.25

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<b><u>BROKER TRANSACTIONS</u></b>										
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>										
02/08/0018	#922353382 JENSEN, NEIL	LINCOLN	B	0.00	3,500.00	0.00	0.00	3,500.00	89.0	3,115.00
03/04/0018	#922354532 ZIMMERMAN, ALICE	LINCOLN CPP	B	1,337,000.00	93,590.00	0.00	0.00	93,590.00	89.0	83,295.10
03/04/0018	#922354532 ZIMMERMAN, ALICE	LINCOLN CPP	B	443,100.00	31,017.00	0.00	0.00	31,017.00	89.0	27,605.13
03/05/0018	#922354532 ZIMMERMAN, ALICE	LINCOLN CPP	B	219,900.00	15,393.00	0.00	0.00	15,393.00	89.0	13,699.77
03/05/0018	#922354532 ZIMMERMAN, ALICE	LINCOLN CPP	B	164,200.00	5,747.00	0.00	0.00	5,747.00	89.0	5,114.83
03/06/0018	#922354532 ZIMMERMAN, ALICE	LINCOLN CPP	B	-4,000,000.00	-280,000.00	0.00	0.00	-280,000.00	89.0	-249,200.00
03/06/0018	#922354532 ZIMMERMAN, ALICE	LINCOLN CPP	B	2,000,000.00	140,000.00	0.00	0.00	140,000.00	89.0	124,600.00
03/06/0018	#922354532 ZIMMERMAN, ALICE	LINCOLN CPP	B	-328,400.00	-11,494.00	0.00	0.00	-11,494.00	89.0	-10,229.66
03/06/0018	#922354532 ZIMMERMAN, ALICE	LINCOLN CPP	B	164,200.00	5,747.00	0.00	0.00	5,747.00	89.0	5,114.83
02/28/2018	#1200275344 CASSELS,	PERSP REWARDS	B	564,041.60	117.51	0.00	0.00	117.51	89.0	104.58
02/28/2018	#1200434590 GOLDSMITH, PETER	PERSP REWARDS	B	237,860.38	49.55	0.00	0.00	49.55	89.0	44.10
02/28/2018	#1200286079 SIEGEL, NURIT	PERSP REWARDS	B	327,268.47	68.18	0.00	0.00	68.18	89.0	60.68
02/28/2018	#029017881A FRAIR, JULE	PRPS II (0505)	B	139,774.71	58.24	0.00	0.00	58.24	89.0	51.83
02/28/2018	#029017936A FRAIR, JULE	PRPS II 0505 RP	B	17,011.22	7.09	0.00	0.00	7.09	89.0	6.31
03/15/2018	#1021136014 SHAMES, LINDA	PERSP II 01/16	B	1,569,337.90	109,853.66	0.00	0.00	109,853.66	89.0	97,769.76
03/16/2018	#1020965580	PERSP II 01/16	B	9,979.94	698.60	0.00	0.00	698.60	89.0	621.75
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>				<b>\$2,865,274.22</b>	<b>\$114,352.83</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$114,352.83</b>		<b>\$101,774.01</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>										
03/01/2018	#	DAIN TRAILER	S	72,588.59	0.00	0.00	0.00	0.00	89.0	0.00
03/01/2018	#	DAIN TRAILER	B	-72,588.60	0.00	10.00	0.00	-10.00	89.0	-8.90
03/01/2018	#	DAIN TRAILER	S	72,443.27	0.00	0.00	0.00	0.00	89.0	0.00
03/01/2018	#	DAIN TRAILER	S	29,457.09	0.00	0.00	0.00	0.00	89.0	0.00
03/01/2018	#	DAIN TRAILER	S	30,853.08	0.00	0.00	0.00	0.00	89.0	0.00
03/09/2018	# ANTON, KLEANTHES	DAIN TRAILER	B	0.00	0.58	0.00	0.00	0.58	89.0	0.52
03/09/2018	# DAVENPORT, ANDEW	DAIN TRAILER	B	0.00	2.43	0.00	0.00	2.43	89.0	2.16
03/15/2018	# CAROLE R ARTMAN	DAIN TRAILER	B	0.00	6.19	0.00	0.00	6.19	89.0	5.51
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$132,753.43</b>	<b>\$9.20</b>	<b>\$10.00</b>	<b>\$0.00</b>	<b>\$-0.80</b>		<b>\$-0.71</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>				<b>\$4,989,751.45</b>	<b>\$114,362.03</b>	<b>\$1,252.50</b>	<b>\$0.00</b>	<b>\$113,109.53</b>		<b>\$100,667.25</b>

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS										
04/20/2018		CIRCLEBLACK: CIRCLEBLACK								-175.00
04/20/2018		ADMIN FEE: ADMIN FEE								-320.00
04/20/2018		E & O INSURANCE: E & O INSURANCE								-179.00
04/20/2018		POSTAGE: POSTAGE FEDEX								-11.07
04/20/2018		POSTAGE: POSTAGE FEDEX								-16.04
04/20/2018		POSTAGE: POSTAGE FEDEX								-16.04
04/20/2018		POSTAGE: POSTAGE FEDEX								-6.62
04/20/2018		POSTAGE: POSTAGE FEDEX								-7.21
04/20/2018		POSTAGE: POSTAGE FEDEX								-12.45
04/20/2018		POSTAGE: POSTAGE FEDEX								-14.62
04/20/2018		POSTAGE: POSTAGE FEDEX								-6.74
04/20/2018		POSTAGE: POSTAGE FEDEX								-6.65
04/20/2018		POSTAGE: POSTAGE FEDEX								-11.12
04/20/2018		POSTAGE: POSTAGE FEDEX								-11.12
04/20/2018		POSTAGE: POSTAGE FEDEX								-11.12
04/20/2018		POSTAGE: POSTAGE FEDEX								-10.24
04/20/2018		POSTAGE: POSTAGE FEDEX								-7.24
04/20/2018		POSTAGE: POSTAGE FEDEX								-11.12
04/20/2018		POSTAGE: POSTAGE FEDEX								-10.24
04/20/2018		POSTAGE: POSTAGE FEDEX								-10.74
04/20/2018		POSTAGE: POSTAGE FEDEX								-6.73
04/20/2018		POSTAGE: POSTAGE FEDEX								-12.48
04/20/2018		POSTAGE: POSTAGE FEDEX								-12.48
04/20/2018		POSTAGE: POSTAGE FEDEX								-6.63
04/20/2018		POSTAGE: POSTAGE FEDEX								-11.00
04/20/2018		ADVANCE: ADVANCE								-816.32
04/20/2018		ADVANCE: ADVANCE ATTORNEY FEE								-10,000.00
04/20/2018		ADVANCE: ADVANCE ESCROW FEE								-45,062.50
04/20/2018		ADVANCE: ADVANCE WIRE AMOUNT TO JOHN								-45,062.50
04/20/2018		FINRA: FINRA ANNUAL ASSESMENT FEE								-215.00
04/20/2018		TICKET CHARGES: TICKET CHARGES								-136.45
*** ADJUSTMENTS TOTAL ***										\$-102,196.47

**BROKER COMMISSION TOTALS**

Broker Transactions	\$100,667.25
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-102,196.47
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-530.67
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Please Retain for Your Records  
THERE WILL BE NO CHECK THIS PERIOD

<b>Balance Forward</b>	<b>\$-2,059.89</b>
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