

STATEMENT

July 20, 2018

MICHAEL GORMAN
3030 River Birch

BROKER #: 278
BRANCH: LA BRANCH

Pearland, TX 77584-

COMMISSION STATEMENT for MICHAEL GORMAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
06/01/2018	#01448561397	TRINHCUN								
		FA 529 MID CAP PORT-CL A	B	100.00	2.00	0.00	0.00	2.00	92.0	1.84
06/01/2018	#01448531648	TRINHCUN								
		FA 529 MID CAP PORT-CL A	B	200.00	4.00	0.00	0.00	4.00	92.0	3.68
06/01/2018	#01448561397	TRINHCUN								
		FA 529 NEW INSIGHTS PORT-CL A	B	300.00	6.00	0.00	0.00	6.00	92.0	5.52
06/01/2018	#01448531648	TRINHCUN								
		FA 529 NEW INSIGHTS PORT-CL A	B	100.00	2.00	0.00	0.00	2.00	92.0	1.84
06/01/2018	#01448561397	TRINHCUN								
		FA 529 SMALL CAP PORT-CL A	B	100.00	2.00	0.00	0.00	2.00	92.0	1.84
06/01/2018	#01448531648	TRINHCUN								
		FIDELITY STRATIGIC	B	200.00	4.00	0.00	0.00	4.00	92.0	3.68
* MUTUAL FUNDS SUBTOTAL *				\$1,000.00	\$20.00	\$0.00	\$0.00	\$20.00		\$18.40
PRODUCT CATEGORY: STOCKS										
06/04/2018	#	TUNNEY, JAMES								
		APPLE INC	B	9,593.50	0.00	0.00	0.00	0.00	92.0	0.00
06/04/2018	#	TUNNEY, JAMES								
		ARK ETF TRUST ARK INNOVATION ETF	B	14,105.28	0.00	0.00	0.00	0.00	92.0	0.00
06/04/2018	#	TUNNEY, JAMES								
		GUGGENHEIM CHINA TECHNOLOGY ETF	B	13,914.77	0.00	0.00	0.00	0.00	92.0	0.00
06/04/2018	#	TUNNEY, JAMES								
		ISHARES CORE S&P 500 ETF	B	13,847.00	0.00	0.00	0.00	0.00	92.0	0.00
06/04/2018	#	TUNNEY, JAMES								
		MICRON TECHNOLOGY INC	B	9,995.67	0.00	0.00	0.00	0.00	92.0	0.00
06/04/2018	#	TUNNEY, JAMES								
		POWERSHARES QQQ TRUST	B	13,889.60	0.00	0.00	0.00	0.00	92.0	0.00
06/04/2018	#	TUNNEY, JAMES								
		PROSHARES TRUST	B	13,730.22	0.00	0.00	0.00	0.00	92.0	0.00
06/05/2018	#	NGUYEN, EDWARD								
		MICRON TECHNOLOGY INC	B	16,257.49	0.00	0.00	0.00	0.00	92.0	0.00
06/05/2018	#	DALTON, DAVID								
		MICRON TECHNOLOGY INC	B	11,837.98	0.00	0.00	0.00	0.00	92.0	0.00
06/05/2018	#	NGUYEN, EDWARD								
		NETFLIX COM INC	B	10,994.70	0.00	0.00	0.00	0.00	92.0	0.00
06/06/2018	#	PHAN, SCOTT								
		BANCO SANTANDER S A SPONSORED ADR	S	32,736.66	60.00	19.95	0.00	40.05	92.0	36.85
06/06/2018	#	NGUYEN, BINH								
		EXCHANGE LISTED FUNDS TRUST	B	28,014.80	60.00	19.95	0.00	40.05	92.0	36.85
06/06/2018	#	NGUYEN, BINH								
		EXCHANGE TRADED CONCEPTS TR EMQQ EM B	B	25,524.46	476.27	19.95	0.00	456.32	92.0	419.81
06/06/2018	#	PHAN, SCOTT								
		SNAP INC CLASS A COMMON STOCK	B	33,016.93	60.00	19.95	0.00	40.05	92.0	36.85
06/19/2018	#	NGUYEN, EDWARD								
		NETFLIX COM INC	B	9,732.25	0.00	0.00	0.00	0.00	92.0	0.00
06/19/2018	#	NGUYEN, EDWARD								
		TESLA INC COMMON STOCK	B	40,167.60	0.00	0.00	0.00	0.00	92.0	0.00
06/20/2018	#	HOLLINGSWORTH, SHARON								
		MASCO CORP	S	13,659.62	60.00	19.95	0.00	40.05	92.0	36.85
06/20/2018	#	HOLLINGSWORTH, SHARON								
		NETFLIX COM INC	B	13,382.08	60.00	19.95	0.00	40.05	92.0	36.85
06/27/2018	#	NGUYEN, EDWARD								
		WISDOMTREE TRUST EUROPE SMALLCAP DI S	B	3,891.60	0.00	0.00	0.00	0.00	92.0	0.00
* STOCKS SUBTOTAL *				\$328,292.21	\$776.27	\$119.70	\$0.00	\$656.57		\$604.06

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>										
05/01/0018	#10187490000 LA DENTAL II, `	JOHN HANCOCK ARA	B	370,071.17	123.13	0.00	0.00	123.13	92.0	113.28
04/09/2018	#UL10022466 NGUYEN	LINCOLN G	B	209.57	4.19	0.00	0.00	4.19	92.0	3.85
05/07/2018	#UL10022466 NGUYEN	LINCOLN G	B	209.57	4.19	0.00	0.00	4.19	92.0	3.85
06/07/2018	#UL10022466 NGUYEN	LINCOLN G	B	209.57	4.19	0.00	0.00	4.19	92.0	3.85
* VARIABLE ANNUITIES SUBTOTAL *				\$370,699.88	\$135.70	\$0.00	\$0.00	\$135.70		\$124.83
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
06/01/2018	#00075036161 NGUYEN, ASHLEY	AMCAP FUND-529A	B	0.00	1.57	0.00	0.00	1.57	92.0	1.44
06/07/2018	#01448531648 TRINHCUN	FA 529 MID CAP PORT-CL A	B	0.00	2.75	0.00	0.00	2.75	92.0	2.53
06/07/2018	#01448561397 TRINHCUN	FA 529 MID CAP PORT-CL A	B	0.00	5.04	0.00	0.00	5.04	92.0	4.64
06/07/2018	#01448531648 TRINHCUN	FA 529 NEW INSIGHTS PORT-CL A	B	0.00	6.11	0.00	0.00	6.11	92.0	5.62
06/07/2018	#01448561397 TRINHCUN	FA 529 NEW INSIGHTS PORT-CL A	B	0.00	12.58	0.00	0.00	12.58	92.0	11.57
06/07/2018	#01448561397 TRINHCUN	FA 529 SMALL CAP PORT-CL A	B	0.00	3.91	0.00	0.00	3.91	92.0	3.60
06/07/2018	#01448531648 TRINHCUN	FIDELITY STRATIGIC	B	0.00	1.40	0.00	0.00	1.40	92.0	1.29
06/11/2018	# HANSEN, ROBERT	DAIN TRAILER	B	0.00	5.65	0.00	0.00	5.65	92.0	5.20
06/11/2018	# HANSEN, LAURI	DAIN TRAILER	B	0.00	5.65	0.00	0.00	5.65	92.0	5.20
06/11/2018	# LONG, CHARLES	DAIN TRAILER	B	0.00	16.41	0.00	0.00	16.41	92.0	15.10
06/11/2018	# LONG, CHARLES	DAIN TRAILER	B	0.00	6.21	0.00	0.00	6.21	92.0	5.71
06/11/2018	# LONG, CHARLES	DAIN TRAILER	B	0.00	7.55	0.00	0.00	7.55	92.0	6.95
06/11/2018	# LONG, CHARLES	DAIN TRAILER	B	0.00	30.62	0.00	0.00	30.62	92.0	28.17
06/11/2018	# CLOPTON, DANIEL	DAIN TRAILER	B	0.00	2.56	0.00	0.00	2.56	92.0	2.36
06/11/2018	# NG, LISA	DAIN TRAILER	B	0.00	2.84	0.00	0.00	2.84	92.0	2.61
06/11/2018	# NGUYEN, ROSA	DAIN TRAILER	B	0.00	3.30	0.00	0.00	3.30	92.0	3.04
06/11/2018	# NGUYEN, ROSA	DAIN TRAILER	B	0.00	5.01	0.00	0.00	5.01	92.0	4.61
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$119.16	\$0.00	\$0.00	\$119.16		\$109.64
*** BROKER TRANSACTIONS TOTAL ***				\$699,992.09	\$1,051.13	\$119.70	\$0.00	\$931.43		\$856.93

ADJUSTMENTS

07/20/2018	ADMIN FEE: ADMIN FEE	-390.00
07/20/2018	E & O INSURANCE: E & O INSURANCE	-249.00
07/20/2018	CIRCLEBLACK: CIRCLEBLACK	-175.00
07/20/2018	MWWOD:MISCELLANEOUS: WRITE-OFF	-83.93
	DEBIT BALANCE	
*** ADJUSTMENTS TOTAL ***		\$-897.93

BROKER COMMISSION TOTALS

Broker Transactions	\$856.93
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-897.93
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-260.07
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	\$-301.07
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