

**COMMISSION STATEMENT****November 15, 2017****BARRY LEMAY**2242 Camden Ave  
Suite 102  
San Jose, CA 95124**BROKER #: L122**

BRANCH: AMBAR FINANCIAL

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>CLEARING TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
11/02/2017	PRYLE, KIM	APPLE INC COM	49,594.37	247.97	22.50	225.47	90.0	202.92
11/09/2017	PRYLE, KIM	APPLE INC COM	14,880.65	148.81	22.50	126.31	90.0	113.68
11/01/2017	SARMIENTO, MARIA	EXTREME NETWORKS INC COM	59,350.00	296.75	27.00	269.75	90.0	242.78
11/02/2017	PRYLE, KIM	HEALTHCARE TR AMER INC CL A NEW	-8,171.37	40.86	22.50	18.36	90.0	16.52
11/02/2017	PRYLE, KIM	REALTY INCOME CORP COM	-6,734.55	33.67	22.50	11.17	90.0	10.05
* STOCKS SUBTOTAL *			<b>\$108,919.10</b>	<b>\$768.06</b>	<b>\$117.00</b>	<b>\$651.06</b>		<b>\$585.95</b>
*** CLEARING TRANSACTIONS TOTAL ***			<b>\$108,919.10</b>	<b>\$768.06</b>	<b>\$117.00</b>	<b>\$651.06</b>		<b>\$585.95</b>
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u></b>								
11/09/2017	DINAPOLI SURVIVOR TR, BENNY	HPI FUND V	26,000.00	1,560.00	0.00	1,560.00	90.0	1,404.00
* PRIVATE PLACEMENT SUBTOTAL *			<b>\$26,000.00</b>	<b>\$1,560.00</b>	<b>\$0.00</b>	<b>\$1,560.00</b>		<b>\$1,404.00</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/30/2017	MACKENZIE, MICHELLE	BLK GLOBAL ALLOCATION C	0.00	14.35	0.00	14.35	90.0	12.92
09/30/2017	MACKENZIE, MICHELLE	BLK GLOBAL ALLOCATION C	0.00	4.78	0.00	4.78	90.0	4.30
* MUTUAL FUNDS SUBTOTAL *			<b>\$0.00</b>	<b>\$19.13</b>	<b>\$0.00</b>	<b>\$19.13</b>		<b>\$17.22</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
10/24/2017	LEMA, MONIQUE	ALTEGRIS WINSTON FUTURES	0.00	15.71	0.00	15.71	90.0	14.14
10/24/2017	VIZIR, VITALI	ALTEGRIS WINSTON FUTURES	0.00	78.57	0.00	78.57	90.0	70.71
10/24/2017	BARDELL, PAULA	ALTEGRIS WINSTON FUTURES	0.00	19.22	0.00	19.22	90.0	17.30
10/13/2017	BARDELL, PAULA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.65	0.00	10.65	90.0	9.59
10/13/2017	KACHULIS, CASSANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.04	0.00	1.04	90.0	0.94
10/18/2017	DINAPOLI TRUST, BENNY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.00	0.00	1.00	90.0	0.90
10/30/2017	HAYTON, KEN	INVESCO HIGH YIELD MUNICIPAL A	0.00	1.16	0.00	1.16	90.0	1.04

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

\*\* - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount &amp; Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
10/16/2017	KACHULIS, CASSANDRA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.63	0.00	1.63	90.0	1.47
		<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$128.98</b>	<b>\$0.00</b>	<b>\$128.98</b>		<b>\$116.09</b>
		<b>*** DIRECT TRANSACTIONS TOTAL ***</b>	<b>\$26,000.00</b>	<b>\$1,708.11</b>	<b>\$0.00</b>	<b>\$1,708.11</b>		<b>\$1,537.31</b>

**ADJUSTMENTS**

11/15/2017		*CONCIERGE SVC: 202293 DINAPOLI	0.00					-50.00
11/15/2017		*EO INSURANCE: CURRENT MONTH INS	0.00					-300.00
11/15/2017		*PERSHING: BOOKS AND RECORDS	0.00					-5.94
11/15/2017		*PERSHING: MF PROSPECTUS	0.00					-2.62
11/15/2017		*TECHNOLOGY: ALBRIDGE FULL	0.00					-100.00
11/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
		<b>*** ADJUSTMENTS TOTAL ***</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$-733.56</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$2,123.26
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-733.56
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$22.69
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

<b>Check Amount</b>	<b>\$1,412.39</b>
<b>Year-to-date Gross</b>	<b>\$184,627.39</b>
<b>Year-to-date Earnings</b>	<b>\$165,506.88</b>

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