

**COMMISSION STATEMENT****July 15, 2018**

HERBERT, A123 ALSTON
 4200 Park Blvd
 Suite 154
 Oakland, CA 94602

BROKER #: A123
 BRANCH: HERBERT ALSTON

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
07/02/2018	CHASALOW, FRED	FREEDOM OIL AND GAS LTD SHS ISIN#AU	42.50	0.44	9.36	-8.92	75.0	-6.69
07/02/2018	CHASALOW, FRED	FREEDOM OIL AND GAS LTD SHS ISIN#AU	2,107.00	21.56	26.64	-5.08	75.0	-3.81
* STOCKS SUBTOTAL *			\$2,149.50	\$22.00	\$36.00	\$-14.00		\$-10.50
*** CLEARING TRANSACTIONS TOTAL ***			\$2,149.50	\$22.00	\$36.00	\$-14.00		\$-10.50

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: REIT</u>								
06/26/2018	LAYCOCK, VICKI	CARTER VALIDUS MC REIT II CLASS A	70,000.00	4,900.00	0.00	4,900.00	75.0	3,675.00
* REIT SUBTOTAL *			\$70,000.00	\$4,900.00	\$0.00	\$4,900.00		\$3,675.00
<u>PRODUCT CATEGORY: NON-TRADED BDC</u>								
07/03/2018	BULKIN, CARLETON	FS INVESTMENT CORP IV CLASS T	0.00	180.45	0.00	180.45	75.0	135.34
* NON-TRADED BDC SUBTOTAL *			\$0.00	\$180.45	\$0.00	\$180.45		\$135.34
*** DIRECT TRANSACTIONS TOTAL ***			\$70,000.00	\$5,080.45	\$0.00	\$5,080.45		\$3,810.34

<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</u>								
06/29/2018	CHASALOW, FRED	ALLIANZ ALTERITY OPTIONS	0.00	170.04	0.00	170.04	75.0	127.53
06/29/2018	CHASALOW, SANDRA	ALLIANZ ALTERITY OPTIONS	0.00	356.44	0.00	356.44	75.0	267.33
06/29/2018	MCKEE, MARY	ALLIANZ ALTERITY OPTIONS	0.00	420.98	0.00	420.98	75.0	315.74
06/29/2018	CHASALOW, SANDRA	ALLIANZ HIGH FIVE ENHANCED	0.00	79.70	0.00	79.70	75.0	59.78
06/15/2018	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	5.40	0.00	5.40	75.0	4.05
06/15/2018	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.80	0.00	0.80	75.0	0.60
06/15/2018	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	3.52	0.00	3.52	75.0	2.64
06/18/2018	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.86	0.00	0.86	75.0	0.65

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</u>								
06/15/2018	COHEN, JOYCE	JH GREATER CHINA OPP A	0.00	1.13	0.00	1.13	75.0	0.85
06/15/2018	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	0.83	0.00	0.83	75.0	0.62
06/15/2018	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	3.19	0.00	3.19	75.0	2.39
* A132 - HERB/FRED ALSTON/CHASALOW SUBTOTAL *			\$0.00	\$1,042.89	\$0.00	\$1,042.89		\$782.18
*** SPLIT TRANSACTIONS TOTAL ***			\$0.00	\$1,042.89	\$0.00	\$1,042.89		\$782.18
<u>ADJUSTMENTS</u>								
07/15/2018		*AI INSIGHT: CURRENT MONTH	0.00					-7.00
07/15/2018		*CONCIERGE SVC: 218420 DILORENZO, TTEE	0.00					-50.00
07/15/2018		*CONCIERGE SVC: 219614 DILORENZO, TTEE	0.00					-50.00
07/15/2018		*CREDIT CARD PYT: CREDIT CARD PYT	0.00					637.00
07/15/2018		*DOCUSIGN: CURRENT MONTH	0.00					-18.00
07/15/2018		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
07/15/2018		*PERSHING: FOREIGN SAFEKEEPING PNW012003	0.00					-8.00
07/15/2018		*PERSHING: FOREIGN SAFEKEEPING PNW012029	0.00					-8.00
07/15/2018		*PERSHING: FOREIGN SAFEKEEPING PNW012037	0.00					-8.00
07/15/2018		*PERSHING: FOREIGN SAFEKEEPING PNW012060	0.00					-8.00
07/15/2018		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$0.00

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BROKER COMMISSION TOTALS

Broker Transactions	\$3,799.84
Split Transactions	\$782.18
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$4,582.02
Year-to-date Gross	\$30,533.82
Year-to-date Earnings	\$22,711.69