

# STATEMENT

February 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
<b>BROKER TRANSACTIONS</b>										
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>										
01/02/2018	#01448531648	TRINHCUN								
		FA 529 MID CAP PORT-CL A	B	200.00	5.50	0.00	0.00	5.50	92.0	5.06
01/02/2018	#01448561397	TRINHCUN								
		FA 529 MID CAP PORT-CL A	B	100.00	2.75	0.00	0.00	2.75	92.0	2.53
01/02/2018	#01448561397	TRINHCUN								
		FA 529 NEW INSIGHTS PORT-CL A	B	300.00	8.25	0.00	0.00	8.25	92.0	7.59
01/02/2018	#01448531648	TRINHCUN								
		FA 529 NEW INSIGHTS PORT-CL A	B	100.00	2.75	0.00	0.00	2.75	92.0	2.53
01/02/2018	#01448561397	TRINHCUN								
		FA 529 SMALL CAP PORT-CL A	B	100.00	2.75	0.00	0.00	2.75	92.0	2.53
01/02/2018	#01448531648	TRINHCUN								
		FIDELITY STRATIGIC	B	200.00	6.00	0.00	0.00	6.00	92.0	5.52
<b>* MUTUAL FUNDS SUBTOTAL *</b>				<b>\$1,000.00</b>	<b>\$28.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$28.00</b>		<b>\$25.76</b>

## PRODUCT CATEGORY: STOCKS

12/28/2017	#	NGUYEN, EDWARD								
		FMC CORP NEW	B	9,500.54	0.00	0.00	0.00	0.00	92.0	0.00
12/28/2017	#	NGUYEN, EDWARD								
		GLOBAL X FUNDS GLOBAL X LITHIUM & B B	B	19,384.15	0.00	0.00	0.00	0.00	92.0	0.00
12/28/2017	#	NGUYEN, EDWARD								
		INNOVATOR ETFs TRUST INNOVATOR IBD	B	10,230.00	0.00	0.00	0.00	0.00	92.0	0.00
12/28/2017	#	NGUYEN, EDWARD								
		SPDR SER TR S&P 600 SMALL CAP VALUE S	S	20,177.49	0.00	0.00	0.00	0.00	92.0	0.00
12/28/2017	#	NGUYEN, EDWARD								
		SPDR SERIES TRUST SPDR RUSSELL 1000 S	S	19,550.22	0.00	0.00	0.00	0.00	92.0	0.00
01/02/2018	#	MEWIS, TAMARA								
		SPDR S&P 500 ETF TR	B	56,419.86	60.00	19.95	0.00	40.05	92.0	36.85
01/02/2018	#	DVORAK, STEVEN								
		SPDR S&P 500 ETF TR	B	53,695.20	0.00	0.00	0.00	0.00	92.0	0.00
01/02/2018	#	DVORAK, STEVEN								
		SPDR S&P 500 ETF TR	B	32,221.92	0.00	0.00	0.00	0.00	92.0	0.00
01/02/2018	#	DVORAK, STEVEN								
		SPDR S&P 500 ETF TR	B	20,145.38	60.00	19.95	0.00	40.05	92.0	36.85
01/02/2018	#	DVORAK, STEVEN								
		SPDR S&P 500 ETF TR	B	53,713.20	60.00	19.95	0.00	40.05	92.0	36.85
01/02/2018	#	DVORAK, STEVEN								
		SPDR S&P 500 ETF TR	B	48,352.68	0.00	19.95	0.00	-19.95	92.0	-18.35
01/03/2018	#	GORMAN, MICHAEL								
		CANNABIX TECHNOLOGIES INC COM	B	510.60	0.00	19.95	0.00	-19.95	92.0	-18.35
01/03/2018	#	GORMAN, KELLI								
		CANNABIX TECHNOLOGIES INC COM	B	982.44	0.00	19.95	0.00	-19.95	92.0	-18.35
01/03/2018	#	GORMAN, KELLI								
		LIFELOC TECHNOLOGIES INC COM	B	810.00	0.00	19.95	0.00	-19.95	92.0	-18.35
01/12/2018	#	HANSEN, ROBERT								
		ISHARES TRUST DOW JONES US REAL EST S	S	2,478.08	0.00	0.00	0.00	0.00	92.0	0.00
01/16/2018	#	NIEMAN, LAURA								
		SPDR SERIES TRUST SPDR RUSSELL 1000 S	S	13,490.00	60.00	19.95	0.00	40.05	92.0	36.85
01/17/2018	#	HANSEN, ROBERT								
		INNOVATOR ETFs TRUST INNOVATOR IBD	B	20,189.63	0.00	0.00	0.00	0.00	92.0	0.00
01/19/2018	#	DALTON, DAVID								
		INNOVATOR ETFs TRUST INNOVATOR IBD	B	10,045.24	0.00	0.00	0.00	0.00	92.0	0.00
01/19/2018	#	DALTON, DAVID								
		SPDR S&P 500 ETF TR	B	9,790.90	0.00	0.00	0.00	0.00	92.0	0.00
01/19/2018	#	DALTON, DAVID								
		VANECK VECTORS ETF TR HIGH YIELD MU S	S	10,144.88	0.00	0.00	0.00	0.00	92.0	0.00
01/23/2018	#	PHAN, SCOTT								
		ETF MANAGERS TRUST ETFMG ALTERNATIV B	B	38,620.00	60.00	19.95	0.00	40.05	92.0	36.85
01/23/2018	#	PHAN, SCOTT								
		FACEBOOK INC	S	42,327.18	60.00	19.95	0.00	40.05	92.0	36.85

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<b><u>BROKER TRANSACTIONS</u></b>										
<b><u>PRODUCT CATEGORY: STOCKS</u></b>										
01/23/2018 #	HOLLINGSWORTH, SHARON	HORIZONS MARIJUANA LIFE SCIENCES IN B		10,003.01	0.00	9.95	0.00	-9.95	92.0	-9.15
01/23/2018 #	HOLLINGSWORTH, SHARON	INNOVATOR ETFS TRUST INNOVATOR IBD B		10,799.92	0.00	9.95	0.00	-9.95	92.0	-9.15
01/29/2018 #	TUNNEY, JAMES	ARK ETF TR	B	54,203.75	0.00	0.00	0.00	0.00	92.0	0.00
01/29/2018 #	TUNNEY, JAMES	ARK ETF TRUST ARK INNOVATION ETF	B	54,128.64	0.00	0.00	0.00	0.00	92.0	0.00
01/29/2018 #	HANSEN, ROBERT	BLACKROCK MUNIASSETS FD INC	S	5,913.75	60.00	19.95	0.00	40.05	92.0	36.85
01/29/2018 #	TUNNEY, JAMES	ETF MANAGERS TRUST ETFMG PRIME CYBE B		53,894.40	0.00	0.00	0.00	0.00	92.0	0.00
01/29/2018 #	TUNNEY, JAMES	ETF MANAGERS TRUST ETFMG PRIME MOBI B		53,700.60	0.00	0.00	0.00	0.00	92.0	0.00
01/29/2018 #	TUNNEY, JAMES	EXCHANGE TRADED CONCEPTS TR EMQQ EM B		53,905.25	0.00	0.00	0.00	0.00	92.0	0.00
01/29/2018 #	TUNNEY, JAMES	GLOBAL X FUNDS GLOBAL X LITHIUM & B B		30,639.12	0.00	0.00	0.00	0.00	92.0	0.00
01/29/2018 #	TUNNEY, JAMES	HORIZONS MARIJUANA LIFE SCIENCES IN B		25,433.60	0.00	0.00	0.00	0.00	92.0	0.00
01/29/2018 #	TUNNEY, JAMES	INNOVATOR ETFS TRUST INNOVATOR IBD B		54,032.60	0.00	0.00	0.00	0.00	92.0	0.00
01/29/2018 #	TUNNEY, JAMES	SPDR S&P 500 ETF TR	B	54,288.51	0.00	0.00	0.00	0.00	92.0	0.00
<b>* STOCKS SUBTOTAL *</b>				<b>\$953,722.74</b>	<b>\$420.00</b>	<b>\$239.35</b>	<b>\$0.00</b>	<b>\$180.65</b>		<b>\$166.25</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>										
12/31/2017 #1087490000	LA DENTAL II, `	JOHN HANCOCK LIFE TRAILS	B	0.00	212.02	0.00	0.00	212.02	92.0	195.06
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$212.02</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$212.02</b>		<b>\$195.06</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>										
01/10/2018 #	TUNNEY, JAMES	DAIN TRAILER	B	0.00	12.94	0.00	0.00	12.94	92.0	11.90
01/10/2018 #	TUNNEY, JAMES	DAIN TRAILER	B	0.00	47.13	0.00	0.00	47.13	92.0	43.36
01/10/2018 #	TUNNEY, JAMES	DAIN TRAILER	B	0.00	37.75	0.00	0.00	37.75	92.0	34.73
01/10/2018 #	TUNNEY, JAMES	DAIN TRAILER	B	0.00	12.24	0.00	0.00	12.24	92.0	11.26
01/10/2018 #	TUNNEY, JAMES	DAIN TRAILER	B	0.00	14.77	0.00	0.00	14.77	92.0	13.59
01/10/2018 #	NG, LISA	DAIN TRAILER	B	0.00	2.68	0.00	0.00	2.68	92.0	2.47
01/10/2018 #	NGUYEN, ROSA	DAIN TRAILER	B	0.00	3.10	0.00	0.00	3.10	92.0	2.85
01/10/2018 #	NGUYEN, ROSA	DAIN TRAILER	B	0.00	4.69	0.00	0.00	4.69	92.0	4.31
01/10/2018 #	CLOPTON, DANIEL	DAIN TRAILER	B	0.00	3.18	0.00	0.00	3.18	92.0	2.93
01/10/2018 #	CLOPTON, DANIEL	DAIN TRAILER	B	0.00	2.41	0.00	0.00	2.41	92.0	2.22
01/10/2018 #	LONG, CHARLES	DAIN TRAILER	B	0.00	15.03	0.00	0.00	15.03	92.0	13.83
01/10/2018 #	LONG, CHARLES	DAIN TRAILER	B	0.00	5.84	0.00	0.00	5.84	92.0	5.37
01/10/2018 #	LONG, CHARLES	DAIN TRAILER	B	0.00	6.82	0.00	0.00	6.82	92.0	6.27
01/10/2018 #	LONG, CHARLES	DAIN TRAILER	B	0.00	28.70	0.00	0.00	28.70	92.0	26.40
01/10/2018 #	LONG, CHARLES	DAIN TRAILER	B	0.00	20.49	0.00	0.00	20.49	92.0	18.85
01/10/2018 #	LONG, CHARLES	DAIN TRAILER	B	0.00	14.28	0.00	0.00	14.28	92.0	13.14
01/10/2018 #	HANSEN, ROBERT	DAIN TRAILER	B	0.00	5.29	0.00	0.00	5.29	92.0	4.87
01/10/2018 #	HANSEN, ROBERT	DAIN TRAILER	B	0.00	17.18	0.00	0.00	17.18	92.0	15.81
01/10/2018 #	HANSEN, LAURI	DAIN TRAILER	B	0.00	5.29	0.00	0.00	5.29	92.0	4.87
02/07/2018 #01448531648	TRINHCUON	FA 529 MID CAP PORT-CL A	B	0.00	2.57	0.00	0.00	2.57	92.0	2.36
02/07/2018 #01448561397	TRINHCUON	FA 529 MID CAP PORT-CL A	B	0.00	4.94	0.00	0.00	4.94	92.0	4.54

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

02/07/2018	#01448531648	TRINHCUON	FA 529 NEW INSIGHTS PORT-CL A	B	0.00	5.98	0.00	0.00	5.98	92.0	5.50
02/07/2018	#01448561397	TRINHCUON	FA 529 NEW INSIGHTS PORT-CL A	B	0.00	12.24	0.00	0.00	12.24	92.0	11.26
02/07/2018	#01448561397	TRINHCUON	FA 529 SMALL CAP PORT-CL A	B	0.00	3.92	0.00	0.00	3.92	92.0	3.61
02/07/2018	#01448531648	TRINHCUON	FIDELITY STRATIGIC	B	0.00	1.33	0.00	0.00	1.33	92.0	1.22
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$290.79	\$0.00	\$0.00	\$290.79		\$267.52
*** BROKER TRANSACTIONS TOTAL ***					\$954,722.74	\$950.81	\$239.35	\$0.00	\$711.46		\$654.59

ADJUSTMENTS

02/20/2018	ADMIN FEE: ADMIN FEE	-326.00
02/20/2018	E & O INSURANCE: E & O INSURANCE	-249.00
02/20/2018	CIRCLEBLACK: CIRCLEBLACK	-175.00
*** ADJUSTMENTS TOTAL ***		<hr/> \$-750.00

BROKER COMMISSION TOTALS

Broker Transactions	\$654.59
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-750.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-953.77
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward \$-1,049.18