

All Companies
STATEMENT
April 20, 2018

LEE THOMAS
530 WESTOVER DR

BROKER #: 056
BRANCH: LA BRANCH

ROXBORO, NC 27573-

COMMISSION STATEMENT for LEE THOMAS

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: MUTUAL FUNDS</u>										
03/07/2018 #	LENNON, CYNTHIA	FIDELITY ADV BIOTECHNOLOGY-CL A	S	25,615.44	0.00	20.00	0.00	-20.00	75.0	-15.00
03/07/2018 #	LENNON, CYNTHIA	FIDELITY ADV TECHNOLOGY-CL A	S	14,085.65	0.00	20.00	0.00	-20.00	75.0	-15.00
03/07/2018 #	LENNON, CYNTHIA	JANUS INVT FD HENDERSON FORTY FD A	S	50,330.07	0.00	20.00	0.00	-20.00	75.0	-15.00
03/07/2018 #	LENNON, CYNTHIA	MUTUAL FD SER TR CTLYST MLLBRN HDG	S	14,976.26	0.00	20.00	0.00	-20.00	75.0	-15.00
03/07/2018 #	LENNON, CYNTHIA	PACIFIC FDS SER TR LARGE CAP VALUE	S	54,991.78	0.00	20.00	0.00	-20.00	75.0	-15.00
03/07/2018 #	LENNON, CYNTHIA	PACIFIC LIFE FDS PL PORTFOLI OPTIMI	S	18,611.95	0.00	20.00	0.00	-20.00	75.0	-15.00
03/15/2018 #04000777216	KELLEY, KENLEY	THE GROWTH FUND OF AMERICA-529A	B	50.00	2.50	0.00	0.00	2.50	75.0	1.88
03/19/2018 #	SMALL, CARL	JANUS INVT FD HENDERSON BALANCED FD	S	38,464.31	0.00	20.00	0.00	-20.00	75.0	-15.00
* MUTUAL FUNDS SUBTOTAL *				\$217,125.46	\$2.50	\$140.00	\$0.00	\$-137.50		\$-103.12
<u>PRODUCT CATEGORY: STOCKS</u>										
03/07/2018 #	LENNON, CYNTHIA	BIOCRYST PHARMACEUTICALS INC	S	5,311.20	25.00	19.95	0.00	5.05	75.0	3.79
03/07/2018 #	LENNON, CYNTHIA	BIOCRYST PHARMACEUTICALS INC	S	5,331.20	25.00	19.95	0.00	5.05	75.0	3.79
03/07/2018 #	LENNON, CYNTHIA	CHESAPEAKE ENERGY CORP	S	3,035.00	25.00	19.95	0.00	5.05	75.0	3.79
03/07/2018 #	LENNON, CYNTHIA	DIGITAL TURBINE INC COM NEW	S	2,331.20	25.00	19.95	0.00	5.05	75.0	3.79
03/07/2018 #	LENNON, CYNTHIA	FC GLOBAL REALTY INCORPORATED COMMO	S	895.83	25.00	19.95	0.00	5.05	75.0	3.79
03/07/2018 #	LENNON, CYNTHIA	NUSHARES ETF TR ESG LARGE CAP VALUE	S	5,744.20	25.00	19.95	0.00	5.05	75.0	3.79
03/07/2018 #	LENNON, CYNTHIA	SEADRILL PARTNERS LLC COM UNIT REPS	S	2,165.10	25.00	19.95	0.00	5.05	75.0	3.79
03/07/2018 #	LENNON, CYNTHIA	SECTOR SPDR TRUST	S	10,623.68	25.00	19.95	0.00	5.05	75.0	3.79
03/07/2018 #	LENNON, CYNTHIA	SELECT SECTOR SPDR FUND	S	5,996.27	25.00	19.95	0.00	5.05	75.0	3.79
03/07/2018 #	LENNON, CYNTHIA	SOUTHWESTERN ENERGY CO	S	4,163.00	25.00	19.95	0.00	5.05	75.0	3.79
03/07/2018 #	LENNON, CYNTHIA	TESLA INC COMMON STOCK	S	3,561.25	25.00	19.95	0.00	5.05	75.0	3.79
03/07/2018 #	LENNON, CYNTHIA	TWILIO INC CL A	S	15,546.72	25.00	19.95	0.00	5.05	75.0	3.79
03/07/2018 #	LENNON, CYNTHIA	VITAL THERAPIES INC	S	2,675.00	25.00	19.95	0.00	5.05	75.0	3.79
03/07/2018 #	LENNON, CYNTHIA	YUM CHINA HOLDINGS INC COM	S	4,180.55	25.00	19.95	0.00	5.05	75.0	3.79
03/19/2018 #	SMALL, CARL	CLOROX CO	S	9,271.62	25.00	19.95	0.00	5.05	75.0	3.79
* STOCKS SUBTOTAL *				\$80,831.82	\$375.00	\$299.25	\$0.00	\$75.75		\$56.85
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>										
03/06/0018 #922355090	SMALL, CARL	LINCOLN CPP	B	100,000.00	2,850.00	0.00	0.00	2,850.00	75.0	2,137.50
* VARIABLE ANNUITIES SUBTOTAL *				\$100,000.00	\$2,850.00	\$0.00	\$0.00	\$2,850.00		\$2,137.50

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
03/01/2018	#04000777216 KELLEY, KENLEY	THE GROWTH FUND OF AMERICA-529A	B	0.00	0.05	0.00	0.00	0.05	75.0	0.04
03/08/2018	# GLENN, JOHNATHAN	DAIN TRAILER	B	0.00	1.74	0.00	0.00	1.74	75.0	1.31
03/08/2018	# LENNON, CYNTHIA	DAIN TRAILER	B	0.00	2.87	0.00	0.00	2.87	75.0	2.15
03/09/2018	# NICHOLS, WILLIAM	DAIN TRAILER	B	0.00	3.92	0.00	0.00	3.92	75.0	2.94
03/09/2018	# THOMAS, BETTY	DAIN TRAILER	B	0.00	2.31	0.00	0.00	2.31	75.0	1.73
03/09/2018	# THOMAS, BETTY	DAIN TRAILER	B	0.00	1.56	0.00	0.00	1.56	75.0	1.17
03/09/2018	# GLENN, JOHNATHAN	DAIN TRAILER	B	0.00	2.65	0.00	0.00	2.65	75.0	1.99
03/09/2018	# JAMES, KELLY	DAIN TRAILER	B	0.00	1.69	0.00	0.00	1.69	75.0	1.27
03/09/2018	# LENNON, CYNTHIA	DAIN TRAILER	B	0.00	4.73	0.00	0.00	4.73	75.0	3.55
03/09/2018	# LENNON, CYNTHIA	DAIN TRAILER	B	0.00	2.58	0.00	0.00	2.58	75.0	1.94
03/09/2018	# LENNON, CYNTHIA	DAIN TRAILER	B	0.00	9.36	0.00	0.00	9.36	75.0	7.02
03/09/2018	# KNIGHT GIBSON, NANCY	DAIN TRAILER	B	0.00	2.11	0.00	0.00	2.11	75.0	1.58
03/09/2018	# GRAY, SUSAN	DAIN TRAILER	B	0.00	0.88	0.00	0.00	0.88	75.0	0.66
03/09/2018	# GRAY, SUSAN	DAIN TRAILER	B	0.00	3.99	0.00	0.00	3.99	75.0	2.99
03/09/2018	# WICKER, KEVIN	DAIN TRAILER	B	0.00	1.17	0.00	0.00	1.17	75.0	0.88
03/09/2018	# SMALL, CARL	DAIN TRAILER	B	0.00	7.36	0.00	0.00	7.36	75.0	5.52
03/09/2018	# HAWKINS, DORIS	DAIN TRAILER	B	0.00	3.43	0.00	0.00	3.43	75.0	2.57
03/09/2018	# NICHOLS, WILLIAM	DAIN TRAILER	B	0.00	7.37	0.00	0.00	7.37	75.0	5.53
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$59.77	\$0.00	\$0.00	\$59.77		\$44.84
*** BROKER TRANSACTIONS TOTAL ***				\$397,957.28	\$3,287.27	\$439.25	\$0.00	\$2,848.02		\$2,136.07

ADJUSTMENTS

04/20/2018	ADMIN FEE: ADMIN FEE	-390.00
04/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
04/20/2018	CRD FEES: CRD FEES FINRA CE TRACKED	-55.00
	WEB FEE S101	
04/20/2018	MWWOD:MISCELLANEOUS: WRITE-OFF	-5.28
	DEBIT BALANCE	
04/20/2018	MWWOD:MISCELLANEOUS: WRITE-OFF	-205.00
	DEBIT BALANCE	
04/20/2018	POSTAGE: POSTAGE FEDEX	-11.90
04/20/2018	FINRA: FINRA ANNUAL ASSESMENT FEE	-215.00
*** ADJUSTMENTS TOTAL ***		\$-1,061.18

BROKER COMMISSION TOTALS

Broker Transactions	\$2,136.07
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,061.18
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,074.89
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