

**COMMISSION STATEMENT****October 31, 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 |
|-----------------------------------|----------------------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: RIA | | | | | | | | |
| 10/18/2017 | BARDELL, PAULA | SAWTOOTH | 0.00 | 515.01 | 0.00 | 515.01 | 90.0 | 463.51 |
| 10/18/2017 | BARRETT, MARYALYS | SAWTOOTH | 0.00 | 143.62 | 0.00 | 143.62 | 90.0 | 129.26 |
| 10/18/2017 | BHASKARAN, SURESH | SAWTOOTH | 0.00 | 188.54 | 0.00 | 188.54 | 90.0 | 169.69 |
| 10/18/2017 | BRENNAN, CHRISTOPHER | SAWTOOTH | 0.00 | 603.55 | 0.00 | 603.55 | 90.0 | 543.20 |
| 10/18/2017 | SALVADORI, DANIELA | SAWTOOTH | 0.00 | 148.07 | 0.00 | 148.07 | 90.0 | 133.26 |
| 10/18/2017 | DE LA ROSA, MARIA | SAWTOOTH | 0.00 | 245.83 | 0.00 | 245.83 | 90.0 | 221.25 |
| 10/18/2017 | DE LA ROSA, RAMON | SAWTOOTH | 0.00 | 147.64 | 0.00 | 147.64 | 90.0 | 132.88 |
| 10/18/2017 | CARPIO, IRMINA | SAWTOOTH | 0.00 | 84.44 | 0.00 | 84.44 | 90.0 | 76.00 |
| 10/18/2017 | CARPIO, IRMINA | SAWTOOTH | 0.00 | 1,166.56 | 0.00 | 1,166.56 | 90.0 | 1,049.90 |
| 10/18/2017 | CODY, SUZANNA | SAWTOOTH | 0.00 | 234.48 | 0.00 | 234.48 | 90.0 | 211.03 |
| 10/18/2017 | CONLIN, MARGARET | SAWTOOTH | 0.00 | 135.17 | 0.00 | 135.17 | 90.0 | 121.65 |
| 10/18/2017 | DEL ROSARIO, BYRON | SAWTOOTH | 0.00 | 106.74 | 0.00 | 106.74 | 90.0 | 96.07 |
| 10/18/2017 | DEMARTINI, ALLEN | SAWTOOTH | 0.00 | 305.80 | 0.00 | 305.80 | 90.0 | 275.22 |
| 10/18/2017 | HARE, CLAIRE | SAWTOOTH | 0.00 | 342.12 | 0.00 | 342.12 | 90.0 | 307.91 |
| 10/18/2017 | HAUWERT SR, GERARDUS | SAWTOOTH | 0.00 | 195.26 | 0.00 | 195.26 | 90.0 | 175.73 |
| 10/18/2017 | HEY, GEORGE MICHAEL | SAWTOOTH | 0.00 | 445.47 | 0.00 | 445.47 | 90.0 | 400.92 |
| 10/18/2017 | HEY, GEORGE MICHAEL | SAWTOOTH | 0.00 | 156.68 | 0.00 | 156.68 | 90.0 | 141.01 |
| 10/18/2017 | HEY, GEORGE MICHAEL | SAWTOOTH | 0.00 | 282.23 | 0.00 | 282.23 | 90.0 | 254.01 |
| 10/18/2017 | HEY, GEORGE MICHAEL | SAWTOOTH | 0.00 | 234.09 | 0.00 | 234.09 | 90.0 | 210.68 |
| 10/18/2017 | HEY, GEORGE MICHAEL | SAWTOOTH | 0.00 | 228.11 | 0.00 | 228.11 | 90.0 | 205.30 |
| 10/18/2017 | HEY, GEORGE MICHAEL | SAWTOOTH | 0.00 | 267.89 | 0.00 | 267.89 | 90.0 | 241.10 |
| 10/18/2017 | HEY, GEORGE MICHAEL | SAWTOOTH | 0.00 | 195.23 | 0.00 | 195.23 | 90.0 | 175.71 |
| 10/18/2017 | BDH CONSULTANTS | SAWTOOTH | 0.00 | 437.75 | 0.00 | 437.75 | 90.0 | 393.98 |
| 10/18/2017 | HURLEY, KENNETH | SAWTOOTH | 0.00 | 322.29 | 0.00 | 322.29 | 90.0 | 290.06 |
| 10/18/2017 | HURLEY, KENNETH | SAWTOOTH | 0.00 | 305.57 | 0.00 | 305.57 | 90.0 | 275.01 |
| 10/18/2017 | HURLEY, KENNETH | SAWTOOTH | 0.00 | 275.63 | 0.00 | 275.63 | 90.0 | 248.07 |

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>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: RIA</u> | | | | | | | | |
| 10/18/2017 | HURLEY, KENNETH | SAWTOOTH | 0.00 | 135.56 | 0.00 | 135.56 | 90.0 | 122.00 |
| 10/18/2017 | KACHULIS, CASSANDRA | SAWTOOTH | 0.00 | 93.52 | 0.00 | 93.52 | 90.0 | 84.17 |
| 10/18/2017 | KACHULIS, CASSANDRA | SAWTOOTH | 0.00 | 163.00 | 0.00 | 163.00 | 90.0 | 146.70 |
| 10/18/2017 | KACHULIS, CASSANDRA | SAWTOOTH | 0.00 | 384.10 | 0.00 | 384.10 | 90.0 | 345.69 |
| 10/18/2017 | KACHULIS, CASSANDRA | SAWTOOTH | 0.00 | 189.39 | 0.00 | 189.39 | 90.0 | 170.45 |
| 10/18/2017 | LAKE, DAVID | SAWTOOTH | 0.00 | 102.76 | 0.00 | 102.76 | 90.0 | 92.48 |
| 10/18/2017 | LIU, GRANT | SAWTOOTH | 0.00 | 89.18 | 0.00 | 89.18 | 90.0 | 80.26 |
| 10/18/2017 | MACKENZIE, MICHELLE | SAWTOOTH | 0.00 | 162.11 | 0.00 | 162.11 | 90.0 | 145.90 |
| 10/18/2017 | NEWMAN, PAUL | SAWTOOTH | 0.00 | 164.45 | 0.00 | 164.45 | 90.0 | 148.01 |
| 10/18/2017 | NEWMAN, PAUL | SAWTOOTH | 0.00 | 248.24 | 0.00 | 248.24 | 90.0 | 223.42 |
| 10/18/2017 | LODI, EDWARD | SAWTOOTH | 0.00 | 147.09 | 0.00 | 147.09 | 90.0 | 132.38 |
| 10/18/2017 | LODI, EDWARD | SAWTOOTH | 0.00 | 147.41 | 0.00 | 147.41 | 90.0 | 132.67 |
| 10/18/2017 | LODI, EDWARD | SAWTOOTH | 0.00 | 100.68 | 0.00 | 100.68 | 90.0 | 90.61 |
| 10/18/2017 | PRYLE, KIM | SAWTOOTH | 0.00 | 145.12 | 0.00 | 145.12 | 90.0 | 130.61 |
| 10/18/2017 | RODRIGUEZ, MARCOS | SAWTOOTH | 0.00 | 145.77 | 0.00 | 145.77 | 90.0 | 131.19 |
| 10/18/2017 | RODRIGUEZ, MARCOS | SAWTOOTH | 0.00 | 161.31 | 0.00 | 161.31 | 90.0 | 145.18 |
| 10/18/2017 | SANDHU, KAMINI SHARMA | SAWTOOTH | 0.00 | 345.95 | 0.00 | 345.95 | 90.0 | 311.36 |
| 10/18/2017 | SMART, THOMAS | SAWTOOTH | 0.00 | 156.45 | 0.00 | 156.45 | 90.0 | 140.81 |
| 10/18/2017 | TRAN, TRANG | SAWTOOTH | 0.00 | 101.58 | 0.00 | 101.58 | 90.0 | 91.42 |
| 10/18/2017 | TRAN, TRANG | SAWTOOTH | 0.00 | 83.48 | 0.00 | 83.48 | 90.0 | 75.13 |
| 10/18/2017 | VIZIR, VITALI | SAWTOOTH | 0.00 | 684.62 | 0.00 | 684.62 | 90.0 | 616.16 |
| 10/12/2017 | YEE, VINCENT | TD AMERITRADE | 3,004,038.18 | 7,571.82 | 0.00 | 7,571.82 | 90.0 | 6,814.64 |
| 10/12/2017 | YEE, VINCENT | TD AMERITRADE | 779,524.38 | 1,964.83 | 0.00 | 1,964.83 | 90.0 | 1,768.35 |
| * RIA SUBTOTAL * | | | \$3,783,562.56 | \$21,202.19 | \$0.00 | \$21,202.19 | | \$19,082.00 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$3,783,562.56 | \$21,202.19 | \$0.00 | \$21,202.19 | | \$19,082.00 |

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

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

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|---------------------------|--------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>ADJUSTMENTS</u> | | | | | | | | |
| 10/31/2017 | | *MANAGED FEE EXPENSE: SAWTOOTH ACCT | 0.00 | | | | | -255.58 |
| | | *** ADJUSTMENTS TOTAL *** | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-255.58 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-------------|
| Broker Transactions | \$19,082.00 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-255.58 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$-104.42 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|-----------------------|-------------|
| Check Amount | \$18,722.00 |
| Year-to-date Gross | \$82,744.77 |
| Year-to-date Earnings | \$74,470.35 |

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