

All Companies  
**STATEMENT**  
**March 20, 2018**

**VASTU SHAH**  
1725 Burgoyne Ct  
SUITE 620  
Chesterbrook, PA 19087

**BROKER #: 216**  
BRANCH: LA BRANCH

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>									
01/29/2018	#00777147840	YONANSAMER	INVESCO BALANCED-RISK ALLOCATION FD	35.58	0.36	93.0	0.00	0.33	0.33
01/29/2018	#00777147840	YONANSAMER	INVESCO CHARTER FUND - CLASS C	106.73	1.07	93.0	0.00	1.00	1.00
01/29/2018	#00777131002	MALKASMK	INVESCO CORE	395.77	3.96	93.0	0.00	3.68	3.68
01/29/2018	#00777131003	SHAH, BHARAT	INVESCO CORE	395.77	3.96	93.0	0.00	3.68	3.68
01/29/2018	#00777131005	PIATTTHERR	INVESCO CORE	250.00	2.50	93.0	0.00	2.33	2.33
01/29/2018	#00777147840	YONANSAMER	INVESCO ENERGY FUND CLASS C	71.15	0.71	93.0	0.00	0.66	0.66
01/29/2018	#00777131002	MALKASMK	INVESCO GLOBAL HEALTH CARE FUND CL	150.77	1.51	93.0	0.00	1.40	1.40
01/29/2018	#00777131003	SHAH, BHARAT	INVESCO GLOBAL HEALTH CARE FUND CL	150.77	1.51	93.0	0.00	1.40	1.40
01/29/2018	#00777147840	YONANSAMER	INVESCO GLOBAL HEALTH CARE FUND CL	71.15	0.71	93.0	0.00	0.66	0.66
01/29/2018	#00777147840	YONANSAMER	INVESCO INCOME ALLOCATION	71.15	0.71	93.0	0.00	0.66	0.66
01/29/2018	#00777147840	YONANSAMER	INVESCO INTERNATIONAL	106.73	1.07	93.0	0.00	1.00	1.00
01/29/2018	#00777131002	MALKASMK	INVESCO MLP CLASS C	263.85	2.64	93.0	0.00	2.46	2.46
01/29/2018	#00777131003	SHAH, BHARAT	INVESCO MLP CLASS C	263.85	2.64	93.0	0.00	2.46	2.46
01/29/2018	#00777153356	MITCHCYNTHA	INVESCO MONEY MARKET FUND - CLASS C	29.68	0.30	93.0	0.00	0.28	0.28
01/29/2018	#00777131002	MALKASMK	INVESCO MULTI ASSET CLASS C	131.92	1.32	93.0	0.00	1.23	1.23
01/29/2018	#00777131003	SHAH, BHARAT	INVESCO MULTI ASSET CLASS C	131.92	1.32	93.0	0.00	1.23	1.23
01/29/2018	#00777147840	YONANSAMER	INVESCO MULTI ASSET CLASS C	71.17	0.71	93.0	0.00	0.66	0.66
01/29/2018	#00777147840	YONANSAMER	INVESCO VAN KAMPEN COMSTOCK FUND CL	71.15	0.71	93.0	0.00	0.66	0.66
01/29/2018	#00777147840	YONANSAMER	INVESTCO ASIA PACIFIC GROWTH	106.73	1.07	93.0	0.00	1.00	1.00
02/05/2018	#0000000000356752		FRANKLIN STRATEGIC SER NAT RES FD C	322.83	3.23	93.0	0.00	3.00	3.00
02/05/2018	#000000000869786	ELANCHENNY,	FRKLN GOLD & PRECIOUS METALS FUND C	500.00	5.00	93.0	0.00	4.65	4.65
02/05/2018	#000000000645010		MUTUAL FINANCIAL SERVICES FUND-CLAS	322.83	3.23	93.0	0.00	3.00	3.00
02/07/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV EUROPE FUND CLASS C	48.08	0.48	93.0	0.00	0.45	0.45
02/07/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV FREEDOM 2020-CL C	96.16	0.96	93.0	0.00	0.89	0.89
02/07/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV FREEDOM 2025 CL C	96.15	0.96	93.0	0.00	0.89	0.89
02/07/2018	#01484642077	MENGEWENDE	FIDELITY ADV GLOBAL CAP APP-CL C	9.66	0.10	93.0	0.00	0.09	0.09
02/07/2018	#01484642127		FIDELITY ADV GLOBAL CAP APP-CL C	22.79	0.23	93.0	0.00	0.21	0.21
02/07/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV INT'L CAPITAL APP CL C	96.15	0.96	93.0	0.00	0.89	0.89

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
02/07/2018	#01484641962	FILOPDIANL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	35.37	0.35	93.0	0.00	0.33	0.00	0.33
02/07/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR FOCUS FUNDS HEALTH	87.01	0.87	93.0	0.00	0.81	0.00	0.81
02/07/2018	#01484642077	MENGEWENDE	FIDELITY ADVISOR FOCUS FUNDS HEALTH	19.31	0.19	93.0	0.00	0.18	0.00	0.18
02/07/2018	#03900189779	SAINI, VIPUL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	96.15	0.96	93.0	0.00	0.89	0.00	0.89
02/07/2018	#01484641962	FILOPDIANL	FIDELITY ADVISOR SER VII BIOTECHNOL	35.37	0.35	93.0	0.00	0.33	0.00	0.33
02/07/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VII BIOTECHNOL	87.01	0.87	93.0	0.00	0.81	0.00	0.81
02/07/2018	#01484642077	MENGEWENDE	FIDELITY ADVISOR SER VII BIOTECHNOL	14.49	0.14	93.0	0.00	0.13	0.00	0.13
02/07/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VIII GLOBAL EQ	86.99	0.87	93.0	0.00	0.81	0.00	0.81
02/07/2018	#01484642077	MENGEWENDE	FIDELITY ADVISOR SER VIII GLOBAL EQ	9.65	0.10	93.0	0.00	0.09	0.00	0.09
02/07/2018	#01484642077	MENGEWENDE	FIDELITY MID CAP VALUE	19.31	0.19	93.0	0.00	0.18	0.00	0.18
02/07/2018	#01484642127		FIDELITY MID CAP VALUE	13.66	0.14	93.0	0.00	0.13	0.00	0.13
02/07/2018	#01484642077	MENGEWENDE	FIDELITY SMALL CAP BLEND	14.49	0.14	93.0	0.00	0.13	0.00	0.13
02/07/2018	#01484642127		FIDELITY SMALL CAP BLEND	9.12	0.09	93.0	0.00	0.08	0.00	0.08
02/07/2018	#01484641962	FILOPDIANL	FIDELITY VALUE FUND	35.37	0.35	93.0	0.00	0.33	0.00	0.33
02/07/2018	#01484642051	HERSHLORR	FIDELITY VALUE FUND	87.01	0.87	93.0	0.00	0.81	0.00	0.81
02/07/2018	#01484642077	MENGEWENDE	FIDELITY VALUE FUND	9.66	0.10	93.0	0.00	0.09	0.00	0.09
02/07/2018	#01484642127		FIDELITY VALUE FUND	28.49	0.28	93.0	0.00	0.26	0.00	0.26
02/07/2018	#01484641962	FILOPDIANL	FIDLEITY INTERMEDIATE	35.37	0.35	93.0	0.00	0.33	0.00	0.33
02/07/2018	#01484642051	HERSHLORR	FIDLEITY INTERMEDIATE	87.01	0.87	93.0	0.00	0.81	0.00	0.81
02/07/2018	#01484642127		FIDLEITY INTERMEDIATE	39.88	0.40	93.0	0.00	0.37	0.00	0.37
02/07/2018	#03900189779	SAINI, VIPUL	FIDLEITY INTERMEDIATE	48.08	0.48	93.0	0.00	0.45	0.00	0.45
02/07/2018	#	GOSRANI, KANTILAL	VICTORY PORTFOLIOS MUNDER MULTI CAP	22,959.27	0.00	93.0	0.00	0.00	20.00	-20.00
02/20/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV EUROPE FUND CLASS C	48.08	0.48	93.0	0.00	0.45	0.00	0.45
02/20/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV FREEDOM 2020-CL C	96.16	0.96	93.0	0.00	0.89	0.00	0.89
02/20/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV FREEDOM 2025 CL C	96.15	0.96	93.0	0.00	0.89	0.00	0.89
02/20/2018	#01484642127		FIDELITY ADV GLOBAL CAP APP-CL C	21.31	0.21	93.0	0.00	0.20	0.00	0.20
02/20/2018	#01484642077	MENGEWENDE	FIDELITY ADV GLOBAL CAP APP-CL C	7.48	0.07	93.0	0.00	0.07	0.00	0.07
02/20/2018	#03900189779	SAINI, VIPUL	FIDELITY ADV INT'L CAPITAL APP CL C	96.15	0.96	93.0	0.00	0.89	0.00	0.89
02/20/2018	#03900189779	SAINI, VIPUL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	96.15	0.96	93.0	0.00	0.89	0.00	0.89
02/20/2018	#01484642077	MENGEWENDE	FIDELITY ADVISOR FOCUS FUNDS HEALTH	14.96	0.15	93.0	0.00	0.14	0.00	0.14
02/20/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR FOCUS FUNDS HEALTH	92.98	0.93	93.0	0.00	0.86	0.00	0.86
02/20/2018	#01484641962	FILOPDIANL	FIDELITY ADVISOR FOCUS FUNDS HEALTH	37.40	0.37	93.0	0.00	0.34	0.00	0.34
02/20/2018	#01484642077	MENGEWENDE	FIDELITY ADVISOR SER VII BIOTECHNOL	11.22	0.11	93.0	0.00	0.10	0.00	0.10
02/20/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VII BIOTECHNOL	92.98	0.93	93.0	0.00	0.86	0.00	0.86
02/20/2018	#01484641962	FILOPDIANL	FIDELITY ADVISOR SER VII BIOTECHNOL	37.40	0.37	93.0	0.00	0.34	0.00	0.34
02/20/2018	#01484642077	MENGEWENDE	FIDELITY ADVISOR SER VIII GLOBAL EQ	7.49	0.07	93.0	0.00	0.07	0.00	0.07

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
02/20/2018	#01484642051	HERSHLORR	FIDELITY ADVISOR SER VIII GLOBAL EQ	92.96	0.93	93.0	0.00	0.86	0.00	0.86
02/20/2018	#01484642127		FIDELITY MID CAP VALUE	12.79	0.13	93.0	0.00	0.12	0.00	0.12
02/20/2018	#01484642077	MENGEWENDE	FIDELITY MID CAP VALUE	14.96	0.15	93.0	0.00	0.14	0.00	0.14
02/20/2018	#01484642127		FIDELITY SMALL CAP BLEND	8.52	0.09	93.0	0.00	0.08	0.00	0.08
02/20/2018	#01484642077	MENGEWENDE	FIDELITY SMALL CAP BLEND	11.22	0.11	93.0	0.00	0.10	0.00	0.10
02/20/2018	#01484642127		FIDELITY VALUE FUND	26.64	0.27	93.0	0.00	0.25	0.00	0.25
02/20/2018	#01484642077	MENGEWENDE	FIDELITY VALUE FUND	7.48	0.07	93.0	0.00	0.07	0.00	0.07
02/20/2018	#01484642051	HERSHLORR	FIDELITY VALUE FUND	92.98	0.93	93.0	0.00	0.86	0.00	0.86
02/20/2018	#01484641962	FILOPDIANL	FIDELITY VALUE FUND	37.40	0.37	93.0	0.00	0.34	0.00	0.34
02/20/2018	#01484642051	HERSHLORR	FIDLEITY INTERMEDIATE	92.98	0.93	93.0	0.00	0.86	0.00	0.86
02/20/2018	#01484641962	FILOPDIANL	FIDLEITY INTERMEDIATE	37.38	0.37	93.0	0.00	0.34	0.00	0.34
02/20/2018	#03900189779	SAINI, VIPUL	FIDLEITY INTERMEDIATE	48.08	0.48	93.0	0.00	0.45	0.00	0.45
02/20/2018	#01484642127		FIDLEITY INTERMEDIATE	37.29	0.37	93.0	0.00	0.34	0.00	0.34
02/20/2018	#0000000000000479		FRANKLIN 35241W856	21,870.00	218.70	93.0	0.00	203.39	0.00	203.39
02/20/2018	#00000000000356752		FRANKLIN STRATEGIC SER NAT RES FD C	322.83	3.23	93.0	0.00	3.00	0.00	3.00
02/20/2018	#0000000001450081		FRANKLIN TEMPLETON FUND STRATEGIC S	10,440.00	104.40	93.0	0.00	97.09	0.00	97.09
02/20/2018	#0000000000869786	ELANCHENNY,	FRKLN GOLD & PRECIOUS METALS FUND C	500.00	5.00	93.0	0.00	4.65	0.00	4.65
02/20/2018	#0000000000645010		MUTUAL FINANCIAL SERVICES FUND-CLAS	322.83	3.23	93.0	0.00	3.00	0.00	3.00
* MUTUAL FUNDS SUBTOTAL *				\$62,980.81	\$400.18		\$0.00	\$372.13	\$20.00	\$352.13
PRODUCT CATEGORY: STOCKS										
02/07/2018	#	PATEL, PRAVIN	JD.COM INC SPONSORED ADR REPSTG COM	22,125.00	75.00	85.0	0.00	63.75	19.95	43.80
02/08/2018	#	PATEL, PRAVIN	BANK OF AMERICA CORP	15,000.00	65.00	85.0	0.00	55.25	19.95	35.30
* STOCKS SUBTOTAL *				\$37,125.00	\$140.00		\$0.00	\$119.00	\$39.90	\$79.10
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
02/09/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	7.03	93.0	0.00	6.54	0.00	6.54
02/09/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	8.10	93.0	0.00	7.53	0.00	7.53
02/09/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	9.07	93.0	0.00	8.44	0.00	8.44
02/09/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	27.07	93.0	0.00	25.18	0.00	25.18
02/09/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	14.69	93.0	0.00	13.66	0.00	13.66
02/09/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	25.36	93.0	0.00	23.58	0.00	23.58
02/09/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	13.62	93.0	0.00	12.67	0.00	12.67
02/09/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	27.18	93.0	0.00	25.28	0.00	25.28
02/09/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	284.10	93.0	0.00	264.21	0.00	264.21
02/09/2018	#	AMBANI, NARENDRA	DAIN TRAILER	0.00	73.60	93.0	0.00	68.45	0.00	68.45

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
02/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	9.39	93.0	0.00	8.73	0.00	8.73
02/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	16.41	93.0	0.00	15.26	0.00	15.26
02/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	7.38	93.0	0.00	6.86	0.00	6.86
02/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	6.84	93.0	0.00	6.36	0.00	6.36
02/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	21.16	93.0	0.00	19.68	0.00	19.68
02/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	9.31	93.0	0.00	8.66	0.00	8.66
02/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	3.75	93.0	0.00	3.49	0.00	3.49
02/09/2018	# AMBANI, NARENDRA	DAIN TRAILER	0.00	4.53	93.0	0.00	4.21	0.00	4.21
02/09/2018	# ELANCHENNY, VYTHILINGAM	DAIN TRAILER	0.00	7.50	93.0	0.00	6.98	0.00	6.98
02/09/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	4.05	93.0	0.00	3.77	0.00	3.77
02/09/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	12.23	93.0	0.00	11.37	0.00	11.37
02/09/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	54.43	93.0	0.00	50.62	0.00	50.62
02/09/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	3.26	93.0	0.00	3.03	0.00	3.03
02/09/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	47.93	93.0	0.00	44.57	0.00	44.57
02/09/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	52.95	93.0	0.00	49.24	0.00	49.24
02/09/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	9.72	93.0	0.00	9.04	0.00	9.04
02/09/2018	# GOSRANI, KANTILAL	DAIN TRAILER	0.00	8.43	93.0	0.00	7.84	0.00	7.84
02/09/2018	# SHARMA, STEVEN	DAIN TRAILER	0.00	1.96	93.0	0.00	1.82	0.00	1.82
02/09/2018	# SHARMA, STEVEN	DAIN TRAILER	0.00	1.33	93.0	0.00	1.24	0.00	1.24
02/09/2018	# SHARMA, STEVEN	DAIN TRAILER	0.00	1.57	93.0	0.00	1.46	0.00	1.46
02/09/2018	# SHARMA, STEVEN	DAIN TRAILER	0.00	0.63	93.0	0.00	0.59	0.00	0.59
02/09/2018	# PATEL, URMILA	DAIN TRAILER	0.00	55.68	93.0	0.00	51.78	0.00	51.78
02/09/2018	# BHARAT C SHAH TTEE	DAIN TRAILER	0.00	3.91	93.0	0.00	3.64	0.00	3.64
02/09/2018	# BHARAT C SHAH TTEE	DAIN TRAILER	0.00	38.86	93.0	0.00	36.14	0.00	36.14
02/09/2018	# PATEL, PRAVIN	DAIN TRAILER	0.00	39.22	93.0	0.00	36.47	0.00	36.47
02/09/2018	# PATEL, PRAVIN	DAIN TRAILER	0.00	46.22	93.0	0.00	42.98	0.00	42.98
02/09/2018	# PATEL, PRAVIN	DAIN TRAILER	0.00	98.07	93.0	0.00	91.21	0.00	91.21
02/09/2018	# PATEL, PRAVIN	DAIN TRAILER	0.00	79.44	93.0	0.00	73.88	0.00	73.88
02/09/2018	# PATEL, PRAVIN	DAIN TRAILER	0.00	76.85	93.0	0.00	71.47	0.00	71.47
02/09/2018	# VENKATESWARA CHODAPANEEDI	DAIN TRAILER	0.00	50.30	93.0	0.00	46.78	0.00	46.78
02/09/2018	# BHATT, VARSHA	DAIN TRAILER	0.00	3.51	93.0	0.00	3.26	0.00	3.26
02/09/2018	# BHATT, VARSHA	DAIN TRAILER	0.00	3.30	93.0	0.00	3.07	0.00	3.07
02/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	0.03	93.0	0.00	0.03	0.00	0.03
02/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	1.94	93.0	0.00	1.80	0.00	1.80
02/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	0.84	93.0	0.00	0.78	0.00	0.78
02/09/2018	# VORA, VASANT	DAIN TRAILER	0.00	1.70	93.0	0.00	1.58	0.00	1.58

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	8.03	93.0	0.00	7.47	0.00	7.47
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	21.08	93.0	0.00	19.60	0.00	19.60
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	1.99	93.0	0.00	1.85	0.00	1.85
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	3.30	93.0	0.00	3.07	0.00	3.07
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	2.82	93.0	0.00	2.62	0.00	2.62
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	11.37	93.0	0.00	10.57	0.00	10.57
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	9.97	93.0	0.00	9.27	0.00	9.27
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	3.67	93.0	0.00	3.41	0.00	3.41
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	0.54	93.0	0.00	0.50	0.00	0.50
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	3.80	93.0	0.00	3.53	0.00	3.53
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	9.63	93.0	0.00	8.96	0.00	8.96
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	15.34	93.0	0.00	14.27	0.00	14.27
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	6.33	93.0	0.00	5.89	0.00	5.89
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	19.79	93.0	0.00	18.40	0.00	18.40
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	3.10	93.0	0.00	2.88	0.00	2.88
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	2.35	93.0	0.00	2.19	0.00	2.19
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	2.29	93.0	0.00	2.13	0.00	2.13
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	8.19	93.0	0.00	7.62	0.00	7.62
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	4.92	93.0	0.00	4.58	0.00	4.58
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	0.68	93.0	0.00	0.63	0.00	0.63
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	3.18	93.0	0.00	2.96	0.00	2.96
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	4.85	93.0	0.00	4.51	0.00	4.51
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	3.69	93.0	0.00	3.43	0.00	3.43
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	1.49	93.0	0.00	1.39	0.00	1.39
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	1.29	93.0	0.00	1.20	0.00	1.20
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	4.05	93.0	0.00	3.77	0.00	3.77
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	8.29	93.0	0.00	7.71	0.00	7.71
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	16.04	93.0	0.00	14.92	0.00	14.92
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	0.28	93.0	0.00	0.26	0.00	0.26
02/09/2018 # VORA, VASANT		DAIN TRAILER	0.00	0.48	93.0	0.00	0.45	0.00	0.45
02/09/2018 # SHAH, BHARAT		DAIN TRAILER	0.00	9.53	93.0	0.00	8.86	0.00	8.86
02/09/2018 # SHAH, BHARAT		DAIN TRAILER	0.00	2.61	93.0	0.00	2.43	0.00	2.43
02/09/2018 # SHAH, BHARAT		DAIN TRAILER	0.00	24.58	93.0	0.00	22.86	0.00	22.86
02/09/2018 # SHAH, BHARAT		DAIN TRAILER	0.00	7.19	93.0	0.00	6.69	0.00	6.69
02/09/2018 # SHAH, BHARAT		DAIN TRAILER	0.00	7.65	93.0	0.00	7.11	0.00	7.11
02/09/2018 # SHAH, BHARAT		DAIN TRAILER	0.00	3.93	93.0	0.00	3.65	0.00	3.65

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
02/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	9.33	93.0	0.00	8.68	0.00	8.68
02/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	6.72	93.0	0.00	6.25	0.00	6.25
02/09/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	3.79	93.0	0.00	3.52	0.00	3.52
02/09/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	7.19	93.0	0.00	6.69	0.00	6.69
02/09/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	15.19	93.0	0.00	14.13	0.00	14.13
02/09/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	3.89	93.0	0.00	3.62	0.00	3.62
02/09/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	2.77	93.0	0.00	2.58	0.00	2.58
02/09/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	2.25	93.0	0.00	2.09	0.00	2.09
02/09/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	18.54	93.0	0.00	17.24	0.00	17.24
02/09/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	44.05	93.0	0.00	40.97	0.00	40.97
02/09/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	10.02	93.0	0.00	9.32	0.00	9.32
02/09/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	2.07	93.0	0.00	1.93	0.00	1.93
02/09/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	1.45	93.0	0.00	1.35	0.00	1.35
02/09/2018	# SHARMA, MADHU	DAIN TRAILER	0.00	4.66	93.0	0.00	4.33	0.00	4.33
02/09/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	18.02	93.0	0.00	16.76	0.00	16.76
02/09/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	0.94	93.0	0.00	0.87	0.00	0.87
02/09/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	2.34	93.0	0.00	2.18	0.00	2.18
02/09/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	1.45	93.0	0.00	1.35	0.00	1.35
02/09/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	5.59	93.0	0.00	5.20	0.00	5.20
02/09/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	17.87	93.0	0.00	16.62	0.00	16.62
02/09/2018	# SHARMA, RAJ	DAIN TRAILER	0.00	11.81	93.0	0.00	10.98	0.00	10.98
02/09/2018	# DESAI, KIRIT	DAIN TRAILER	0.00	38.46	93.0	0.00	35.77	0.00	35.77
02/09/2018	# ROBERT PAPA TTEE	DAIN TRAILER	0.00	3.87	93.0	0.00	3.60	0.00	3.60
02/09/2018	# ROBERT PAPA TTEE	DAIN TRAILER	0.00	3.20	93.0	0.00	2.98	0.00	2.98
02/09/2018	# ROBERT PAPA TTEE	DAIN TRAILER	0.00	1.82	93.0	0.00	1.69	0.00	1.69
02/09/2018	# ROBERT PAPA TTEE	DAIN TRAILER	0.00	2.40	93.0	0.00	2.23	0.00	2.23
02/09/2018	# PATEL, GRISHMA	DAIN TRAILER	0.00	0.54	93.0	0.00	0.50	0.00	0.50
02/09/2018	# PATEL, GRISHMA	DAIN TRAILER	0.00	0.93	93.0	0.00	0.86	0.00	0.86
02/09/2018	# PATEL, GRISHMA	DAIN TRAILER	0.00	5.31	93.0	0.00	4.94	0.00	4.94
02/09/2018	# PATEL, GRISHMA	DAIN TRAILER	0.00	2.88	93.0	0.00	2.68	0.00	2.68
02/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	4.15	93.0	0.00	3.86	0.00	3.86
02/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	6.58	93.0	0.00	6.12	0.00	6.12
02/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	4.20	93.0	0.00	3.91	0.00	3.91
02/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	13.38	93.0	0.00	12.44	0.00	12.44
02/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	4.28	93.0	0.00	3.98	0.00	3.98
02/09/2018	# SHAH, BHARAT	DAIN TRAILER	0.00	22.83	93.0	0.00	21.23	0.00	21.23

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
02/09/2018 #	PEER, MEETA	DAIN TRAILER	0.00	7.20	93.0	0.00	6.70	0.00	6.70
02/09/2018 #	PEER, MEETA	DAIN TRAILER	0.00	4.69	93.0	0.00	4.36	0.00	4.36
02/09/2018 #	PEER, MEETA	DAIN TRAILER	0.00	5.70	93.0	0.00	5.30	0.00	5.30
02/09/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	1.05	93.0	0.00	0.98	0.00	0.98
02/09/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	0.35	93.0	0.00	0.33	0.00	0.33
02/09/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	0.13	93.0	0.00	0.12	0.00	0.12
02/09/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	0.57	93.0	0.00	0.53	0.00	0.53
02/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	10.40	93.0	0.00	9.67	0.00	9.67
02/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	10.27	93.0	0.00	9.55	0.00	9.55
02/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	10.43	93.0	0.00	9.70	0.00	9.70
02/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	11.14	93.0	0.00	10.36	0.00	10.36
02/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	10.58	93.0	0.00	9.84	0.00	9.84
02/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	10.85	93.0	0.00	10.09	0.00	10.09
02/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	26.88	93.0	0.00	25.00	0.00	25.00
02/09/2018 #	VORA, VASANT	DAIN TRAILER	0.00	22.99	93.0	0.00	21.38	0.00	21.38
02/09/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	10.40	93.0	0.00	9.67	0.00	9.67
02/09/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	10.27	93.0	0.00	9.55	0.00	9.55
02/09/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	10.43	93.0	0.00	9.70	0.00	9.70
02/09/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	11.14	93.0	0.00	10.36	0.00	10.36
02/09/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	10.85	93.0	0.00	10.09	0.00	10.09
02/09/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	15.18	93.0	0.00	14.12	0.00	14.12
02/09/2018 #	VORA, SHAILA	DAIN TRAILER	0.00	16.13	93.0	0.00	15.00	0.00	15.00
02/09/2018 #	WYNN, MARY	DAIN TRAILER	0.00	0.23	93.0	0.00	0.21	0.00	0.21
02/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	33.87	93.0	0.00	31.50	0.00	31.50
02/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	34.14	93.0	0.00	31.75	0.00	31.75
02/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	28.79	93.0	0.00	26.77	0.00	26.77
02/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	8.68	93.0	0.00	8.07	0.00	8.07
02/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	0.61	93.0	0.00	0.57	0.00	0.57
02/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	0.92	93.0	0.00	0.86	0.00	0.86
02/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	30.03	93.0	0.00	27.93	0.00	27.93
02/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	32.72	93.0	0.00	30.43	0.00	30.43
02/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	59.86	93.0	0.00	55.67	0.00	55.67
02/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	1.41	93.0	0.00	1.31	0.00	1.31
02/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	49.54	93.0	0.00	46.07	0.00	46.07
02/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	20.26	93.0	0.00	18.84	0.00	18.84
02/09/2018 #	SHARMA, RAJ	DAIN TRAILER	0.00	10.41	93.0	0.00	9.68	0.00	9.68

COMMISSION STATEMENT for VASTU SHAH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
02/09/2018 # SHAH, BHARAT		DAIN TRAILER	0.00	0.01	93.0	0.00	0.01	0.00	0.01
02/09/2018 # SHAH, BHARAT		DAIN TRAILER	0.00	35.84	93.0	0.00	33.33	0.00	33.33
02/14/2018 #00777302175 VARIOUS SHAH		JOHN HANCOCK FDS III STRATEGIC GROW	0.00	3.10	93.0	0.00	2.88	0.00	2.88
02/14/2018 #00777302124 VARIOUS SHAH		JOHN HANCOCK HIGH YIELD FUND CL A	0.00	2.12	93.0	0.00	1.97	0.00	1.97
02/14/2018 #00777185294 VARIOUS SHAH		JOHN HANCOCK REGIONAL BANK FUND-CL	0.00	18.32	93.0	0.00	17.04	0.00	17.04
02/21/2018 # VORA, VASANT		DAIN TRAILER	0.00	17.64	93.0	0.00	16.41	0.00	16.41
02/26/2018 # AMBANI, NARENDRA		DAIN TRAILER	0.00	6.06	93.0	0.00	5.64	0.00	5.64
02/26/2018 # GOSRANI, KANTILAL		DAIN TRAILER	0.00	5.15	93.0	0.00	4.79	0.00	4.79
02/26/2018 # GOSRANI, VENA		DAIN TRAILER	0.00	1.46	93.0	0.00	1.36	0.00	1.36
02/26/2018 # SHARMA, MADHU		DAIN TRAILER	0.00	2.83	93.0	0.00	2.63	0.00	2.63
02/26/2018 # PEER, MEETA		DAIN TRAILER	0.00	7.75	93.0	0.00	7.21	0.00	7.21
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$2,446.92</b>		<b>\$0.00</b>	<b>\$2,275.65</b>	<b>\$0.00</b>	<b>\$2,275.65</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$100,105.81</b>	<b>\$2,987.10</b>		<b>\$0.00</b>	<b>\$2,766.78</b>	<b>\$59.90</b>	<b>\$2,706.88</b>

**ADJUSTMENTS**

03/20/2018	ADMIN FEE: ADMIN FEE	-320.00
03/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
03/20/2018	MWWOD:MISCELLANEOUS: WRITE-OFF	-77.52
	DEBIT BALANCE	
<b>*** ADJUSTMENTS TOTAL ***</b>		<b>\$-576.52</b>



**BROKER COMMISSION TOTALS**

Broker Transactions	\$2,706.88
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-576.52
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

<b>Check Amount</b>	<b>\$2,130.36</b>
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