

All Companies
STATEMENT
April 20, 2018

STEPHEN PLOUCHER

BROKER #: 038
BRANCH: LA BRANCH

, CA

COMMISSION STATEMENT for STEPHEN PLOUCHER

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

02/28/2018 #	SOMMERS, LESTER	FIDELITY ADV TECHNOLOGY-CL A	B	20,000.00	550.00	0.00	0.00	550.00	90.0	495.00
03/27/2018 #	SOMMERS, LESTER	FIDELITY ADVISOR CONSUMER DISCRETIO	B	15,000.00	412.50	0.00	0.00	412.50	90.0	371.25
03/27/2018 #	SOMMERS, LESTER	MFS GROWTH FUND CL A	B	25,000.00	750.00	0.00	0.00	750.00	90.0	675.00
03/27/2018 #	SOMMERS, LESTER	MFS RESEARCH FUND-CL A	B	25,000.00	750.00	0.00	0.00	750.00	90.0	675.00
* MUTUAL FUNDS SUBTOTAL *				\$85,000.00	\$2,462.50	\$0.00	\$0.00	\$2,462.50		\$2,216.25

PRODUCT CATEGORY: STOCKS

03/23/2018 #	SOMMERS, LESTER	FACEBOOK INC	S	40,077.55	10.00	0.00	0.00	10.00	90.0	9.00
03/23/2018 #	SOMMERS, LESTER	FACEBOOK INC	S	40,022.70	10.00	0.00	0.00	10.00	90.0	9.00
03/23/2018 #	SOMMERS, LESTER	TWITTER INC	B	9,317.97	10.00	0.00	0.00	10.00	90.0	9.00
* STOCKS SUBTOTAL *				\$89,418.22	\$30.00	\$0.00	\$0.00	\$30.00		\$27.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/09/2018 #	SMITH, ROBERT	DAIN TRAILER	B	0.00	0.37	0.00	0.00	0.37	90.0	0.33
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	7.31	0.00	0.00	7.31	90.0	6.58
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	3.65	0.00	0.00	3.65	90.0	3.29
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.87	0.00	0.00	4.87	90.0	4.38
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	2.28	0.00	0.00	2.28	90.0	2.05
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	3.23	0.00	0.00	3.23	90.0	2.91
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	5.11	0.00	0.00	5.11	90.0	4.60
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	8.43	0.00	0.00	8.43	90.0	7.59
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	8.52	0.00	0.00	8.52	90.0	7.67
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	7.07	0.00	0.00	7.07	90.0	6.36
03/09/2018 #	LIUDAHL, SCOTT	DAIN TRAILER	B	0.00	1.81	0.00	0.00	1.81	90.0	1.63
03/09/2018 #	LIUDAHL, SCOTT	DAIN TRAILER	B	0.00	2.19	0.00	0.00	2.19	90.0	1.97
03/09/2018 #	LIUDAHL, SCOTT	DAIN TRAILER	B	0.00	1.53	0.00	0.00	1.53	90.0	1.38
03/09/2018 #	LIUDAHL, STEVEN	DAIN TRAILER	B	0.00	1.81	0.00	0.00	1.81	90.0	1.63
03/09/2018 #	LIUDAHL, STEVEN	DAIN TRAILER	B	0.00	2.19	0.00	0.00	2.19	90.0	1.97
03/09/2018 #	LIUDAHL, STEVEN	DAIN TRAILER	B	0.00	1.53	0.00	0.00	1.53	90.0	1.38
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.15	0.00	0.00	4.15	90.0	3.74
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.04	0.00	0.00	4.04	90.0	3.64
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.09	0.00	0.00	4.09	90.0	3.68

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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 FUND 12B1 TRAILS</u>										
03/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	0.21	0.00	0.00	0.21	90.0	0.19
03/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	3.90	0.00	0.00	3.90	90.0	3.51
03/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	10.54	0.00	0.00	10.54	90.0	9.49
03/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	4.79	0.00	0.00	4.79	90.0	4.31
03/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	7.57	0.00	0.00	7.57	90.0	6.81
03/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	4.13	0.00	0.00	4.13	90.0	3.72
03/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	5.55	0.00	0.00	5.55	90.0	5.00
03/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	7.44	0.00	0.00	7.44	90.0	6.70
03/09/2018 #	LIUDAHL, JUDITH	DAIN TRAILER	B	0.00	0.79	0.00	0.00	0.79	90.0	0.71
03/09/2018 #	LIUDAHL, JUDITH	DAIN TRAILER	B	0.00	0.73	0.00	0.00	0.73	90.0	0.66
03/09/2018 #	LIUDAHL, JUDITH	DAIN TRAILER	B	0.00	0.77	0.00	0.00	0.77	90.0	0.69
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.36	0.00	0.00	2.36	90.0	2.12
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	4.03	0.00	0.00	4.03	90.0	3.63
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	1.67	0.00	0.00	1.67	90.0	1.50
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	4.45	0.00	0.00	4.45	90.0	4.01
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.48	0.00	0.00	2.48	90.0	2.23
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	1.73	0.00	0.00	1.73	90.0	1.56
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	4.04	0.00	0.00	4.04	90.0	3.64
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.32	0.00	0.00	2.32	90.0	2.09
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.21	0.00	0.00	2.21	90.0	1.99
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.51	0.00	0.00	2.51	90.0	2.26
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	22.46	0.00	0.00	22.46	90.0	20.21
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	18.44	0.00	0.00	18.44	90.0	16.60
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	8.58	0.00	0.00	8.58	90.0	7.72
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	13.05	0.00	0.00	13.05	90.0	11.75
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	0.92	0.00	0.00	0.92	90.0	0.83
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.10	0.00	0.00	2.10	90.0	1.89
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	18.15	0.00	0.00	18.15	90.0	16.34
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	25.64	0.00	0.00	25.64	90.0	23.08
03/09/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	4.22	0.00	0.00	4.22	90.0	3.80
03/09/2018 #	SMITH, ROGER	DAIN TRAILER	B	0.00	3.98	0.00	0.00	3.98	90.0	3.58
03/09/2018 #	SMITH, ROGER	DAIN TRAILER	B	0.00	3.35	0.00	0.00	3.35	90.0	3.02
03/09/2018 #	GRAFF, MARILYN	DAIN TRAILER	B	0.00	5.38	0.00	0.00	5.38	90.0	4.84
03/09/2018 #	GRAFF, MARILYN	DAIN TRAILER	B	0.00	11.73	0.00	0.00	11.73	90.0	10.56
03/09/2018 #	GRAFF, MARILYN	DAIN TRAILER	B	0.00	3.18	0.00	0.00	3.18	90.0	2.86
03/09/2018 #	GRAFF, MARILYN	DAIN TRAILER	B	0.00	5.90	0.00	0.00	5.90	90.0	5.31
03/09/2018 #	GRAFF, MARILYN	DAIN TRAILER	B	0.00	0.83	0.00	0.00	0.83	90.0	0.75
03/09/2018 #	GRAFF, MARILYN	DAIN TRAILER	B	0.00	0.97	0.00	0.00	0.97	90.0	0.87
03/09/2018 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	0.86	0.00	0.00	0.86	90.0	0.77
03/09/2018 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	0.96	0.00	0.00	0.96	90.0	0.86

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
03/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	0.51	0.00	0.00	0.51	90.0	0.46
03/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	0.08	0.00	0.00	0.08	90.0	0.07
03/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	0.67	0.00	0.00	0.67	90.0	0.60
03/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	1.14	0.00	0.00	1.14	90.0	1.03
03/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	0.93	0.00	0.00	0.93	90.0	0.84
03/09/2018 #	SMITH, ROBERT	DAIN TRAILER	B	0.00	2.55	0.00	0.00	2.55	90.0	2.30
03/09/2018 #	SMITH, ROBERT	DAIN TRAILER	B	0.00	3.13	0.00	0.00	3.13	90.0	2.82
03/09/2018 #	SMITH, ROGER	DAIN TRAILER	B	0.00	11.44	0.00	0.00	11.44	90.0	10.30
03/09/2018 #	SMITH, ROGER	DAIN TRAILER	B	0.00	3.19	0.00	0.00	3.19	90.0	2.87
03/09/2018 #	SMITH, ROGER	DAIN TRAILER	B	0.00	5.77	0.00	0.00	5.77	90.0	5.19
03/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	4.55	0.00	0.00	4.55	90.0	4.10
03/09/2018 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	4.24	0.00	0.00	4.24	90.0	3.82
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	2.23	0.00	0.00	2.23	90.0	2.01
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.15	0.00	0.00	4.15	90.0	3.74
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.80	0.00	0.00	4.80	90.0	4.32
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.09	0.00	0.00	4.09	90.0	3.68
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.11	0.00	0.00	4.11	90.0	3.70
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.15	0.00	0.00	4.15	90.0	3.74
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.80	0.00	0.00	4.80	90.0	4.32
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.09	0.00	0.00	4.09	90.0	3.68
03/09/2018 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.11	0.00	0.00	4.11	90.0	3.70
03/09/2018 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	2.03	0.00	0.00	2.03	90.0	1.83
03/09/2018 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	1.75	0.00	0.00	1.75	90.0	1.58
03/09/2018 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	1.93	0.00	0.00	1.93	90.0	1.74
03/09/2018 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	1.94	0.00	0.00	1.94	90.0	1.75
03/09/2018 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	1.83	0.00	0.00	1.83	90.0	1.65
03/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	2.03	0.00	0.00	2.03	90.0	1.83
03/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	1.75	0.00	0.00	1.75	90.0	1.58
03/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	1.93	0.00	0.00	1.93	90.0	1.74
03/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	1.94	0.00	0.00	1.94	90.0	1.75
03/09/2018 #	DERUNG, DALE	DAIN TRAILER	B	0.00	1.83	0.00	0.00	1.83	90.0	1.65
03/23/2018 #	SOMMERS, LESTER	DAIN TRAILER	S	21,438.28	0.00	0.00	0.00	0.00	90.0	0.00
03/27/2018 #	SOMMERS, LESTER	DAIN TRAILER	B	30,000.00	975.00	0.00	0.00	975.00	90.0	877.50
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$51,438.28	\$1,367.79	\$0.00	\$0.00	\$1,367.79		\$1,231.13
*** BROKER TRANSACTIONS TOTAL ***				\$225,856.50	\$3,860.29	\$0.00	\$0.00	\$3,860.29		\$3,474.38

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS

04/20/2018		ADMIN FEE: ADMIN FEE								-390.00
04/20/2018		E & O INSURANCE: E & O INSURANCE								-179.00
04/20/2018		FINRA: FINRA ANNUAL ASSESMENT FEE								-215.00
*** ADJUSTMENTS TOTAL ***										<u>\$-784.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$3,474.38
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-784.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	<u>\$2,690.38</u>
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