

STATEMENT

January 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

12/15/2017 # LIUDAH, SCOTT	FIDELITY ADV BIOTECHNOLOGY-CL A	S	2,280.94	0.00	0.00	0.00	0.00	90.0	0.00
12/15/2017 # LIUDAH, STEVEN	FIDELITY ADV BIOTECHNOLOGY-CL A	S	2,280.94	0.00	0.00	0.00	0.00	90.0	0.00
12/15/2017 # LIUDAH, LESLIE	FIDELITY ADV GROWTH OPPORT-CL A	B	21,298.49	20.00	0.00	0.00	20.00	90.0	18.00
12/15/2017 # LIUDAH, LESLIE	FIDELITY ADV GROWTH OPPORT-CL A	B	15,645.35	20.00	0.00	0.00	20.00	90.0	18.00
12/15/2017 # LIUDAH, SCOTT	FIDELITY ADVISOR EQUITY GROWTH FUND B		2,280.94	20.00	0.00	0.00	20.00	90.0	18.00
12/15/2017 # LIUDAH, SCOTT	FIDELITY ADVISOR EQUITY GROWTH FUND B		6,759.78	20.00	0.00	0.00	20.00	90.0	18.00
12/15/2017 # LIUDAH, STEVEN	FIDELITY ADVISOR EQUITY GROWTH FUND B		2,280.94	20.00	0.00	0.00	20.00	90.0	18.00
12/15/2017 # LIUDAH, STEVEN	FIDELITY ADVISOR EQUITY GROWTH FUND B		6,759.78	20.00	0.00	0.00	20.00	90.0	18.00
12/15/2017 # LIUDAH, LESLIE	FIDELITY ADVISOR SER VII ADVISOR RE S		21,298.49	0.00	0.00	0.00	0.00	90.0	0.00
12/15/2017 # LIUDAH, LESLIE	FIDELITY ADVISOR SER VII ADVISOR RE S		15,645.35	0.00	0.00	0.00	0.00	90.0	0.00
12/15/2017 # LIUDAH, SCOTT	FIDELITY ADVISOR SER VII ADVISOR RE S		6,759.78	0.00	0.00	0.00	0.00	90.0	0.00
12/15/2017 # LIUDAH, STEVEN	FIDELITY ADVISOR SER VII ADVISOR RE S		6,759.78	0.00	0.00	0.00	0.00	90.0	0.00
12/20/2017 # BACKMAN, MELANIE	FIDELITY ADV TECHNOLOGY-CL A	B	13,000.00	357.50	0.00	0.00	357.50	90.0	321.75
12/20/2017 # SOMMERS, LESTER	MFS GROWTH FUND CL A	B	10,000.00	300.00	0.00	0.00	300.00	90.0	270.00
* MUTUAL FUNDS SUBTOTAL *				\$133,050.56	\$777.50	\$0.00	\$0.00	\$777.50	\$699.75

PRODUCT CATEGORY: STOCKS

12/20/2017 # SOMMERS, LESTER	COSTCO WHOLESALE CORP-NEW	B	18,663.90	10.00	0.00	0.00	10.00	90.0	9.00
12/20/2017 # SOMMERS, LESTER	FACEBOOK INC	B	17,804.00	10.00	0.00	0.00	10.00	90.0	9.00
12/20/2017 # SOMMERS, LESTER	LOCKHEED MARTIN CORP	S	63,600.96	10.00	0.00	0.00	10.00	90.0	9.00
12/20/2017 # SOMMERS, LESTER	TWITTER INC	B	5,043.32	10.00	0.00	0.00	10.00	90.0	9.00
* STOCKS SUBTOTAL *				\$105,112.18	\$40.00	\$0.00	\$0.00	\$40.00	\$36.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/08/2017 # SMITH, ROGER	DAIN TRAILER	B	0.00	11.83	0.00	0.00	11.83	90.0	10.65
12/11/2017 # LIUDAH, LESLIE	DAIN TRAILER	B	0.00	4.63	0.00	0.00	4.63	90.0	4.17
12/11/2017 # LIUDAH, LESLIE	DAIN TRAILER	B	0.00	4.58	0.00	0.00	4.58	90.0	4.12
12/11/2017 # LIUDAH, LESLIE	DAIN TRAILER	B	0.00	0.20	0.00	0.00	0.20	90.0	0.18
12/11/2017 # LIUDAH, LESLIE	DAIN TRAILER	B	0.00	4.05	0.00	0.00	4.05	90.0	3.65
12/11/2017 # LIUDAH, LESLIE	DAIN TRAILER	B	0.00	10.71	0.00	0.00	10.71	90.0	9.64
12/11/2017 # LIUDAH, LESLIE	DAIN TRAILER	B	0.00	4.88	0.00	0.00	4.88	90.0	4.39
12/11/2017 # LIUDAH, LESLIE	DAIN TRAILER	B	0.00	4.50	0.00	0.00	4.50	90.0	4.05

COMMISSION STATEMENT for STEPHEN PLOUCHER

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>										
12/11/2017 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	3.36	0.00	0.00	3.36	90.0	3.02
12/11/2017 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	4.20	0.00	0.00	4.20	90.0	3.78
12/11/2017 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	5.75	0.00	0.00	5.75	90.0	5.18
12/11/2017 #	LIUDAHL, LESLIE	DAIN TRAILER	B	0.00	7.56	0.00	0.00	7.56	90.0	6.80
12/11/2017 #	LIUDAHL, JUDITH	DAIN TRAILER	B	0.00	0.76	0.00	0.00	0.76	90.0	0.68
12/11/2017 #	LIUDAHL, JUDITH	DAIN TRAILER	B	0.00	0.76	0.00	0.00	0.76	90.0	0.68
12/11/2017 #	LIUDAHL, JUDITH	DAIN TRAILER	B	0.00	0.78	0.00	0.00	0.78	90.0	0.70
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.40	0.00	0.00	2.40	90.0	2.16
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.15	0.00	0.00	2.15	90.0	1.94
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	1.71	0.00	0.00	1.71	90.0	1.54
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	4.61	0.00	0.00	4.61	90.0	4.15
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.52	0.00	0.00	2.52	90.0	2.27
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	1.77	0.00	0.00	1.77	90.0	1.59
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.10	0.00	0.00	2.10	90.0	1.89
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.33	0.00	0.00	2.33	90.0	2.10
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.25	0.00	0.00	2.25	90.0	2.03
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.53	0.00	0.00	2.53	90.0	2.28
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	18.20	0.00	0.00	18.20	90.0	16.38
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	18.62	0.00	0.00	18.62	90.0	16.76
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	4.50	0.00	0.00	4.50	90.0	4.05
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	8.36	0.00	0.00	8.36	90.0	7.52
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	12.53	0.00	0.00	12.53	90.0	11.28
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	2.14	0.00	0.00	2.14	90.0	1.93
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	18.89	0.00	0.00	18.89	90.0	17.00
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	25.84	0.00	0.00	25.84	90.0	23.26
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	4.16	0.00	0.00	4.16	90.0	3.74
12/11/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	0.00	4.21	0.00	0.00	4.21	90.0	3.79
12/11/2017 #	SMITH, ROGER	DAIN TRAILER	B	0.00	4.13	0.00	0.00	4.13	90.0	3.72
12/11/2017 #	SMITH, ROGER	DAIN TRAILER	B	0.00	3.41	0.00	0.00	3.41	90.0	3.07
12/11/2017 #	SMITH, ROGER	DAIN TRAILER	B	0.00	3.11	0.00	0.00	3.11	90.0	2.80
12/11/2017 #	SMITH, ROGER	DAIN TRAILER	B	0.00	5.26	0.00	0.00	5.26	90.0	4.73
12/11/2017 #	GRAFF, MARILYN	DAIN TRAILER	B	0.00	2.95	0.00	0.00	2.95	90.0	2.66
12/11/2017 #	GRAFF, MARILYN	DAIN TRAILER	B	0.00	11.92	0.00	0.00	11.92	90.0	10.73
12/11/2017 #	GRAFF, MARILYN	DAIN TRAILER	B	0.00	3.25	0.00	0.00	3.25	90.0	2.93
12/11/2017 #	GRAFF, MARILYN	DAIN TRAILER	B	0.00	4.76	0.00	0.00	4.76	90.0	4.28
12/11/2017 #	GRAFF, MARILYN	DAIN TRAILER	B	0.00	0.81	0.00	0.00	0.81	90.0	0.73
12/11/2017 #	GRAFF, MARILYN	DAIN TRAILER	B	0.00	0.99	0.00	0.00	0.99	90.0	0.89
12/11/2017 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	0.84	0.00	0.00	0.84	90.0	0.76
12/11/2017 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	0.98	0.00	0.00	0.98	90.0	0.88
12/11/2017 #	DERUNG, DALE	DAIN TRAILER	B	0.00	0.52	0.00	0.00	0.52	90.0	0.47

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
12/11/2017 #	DERUNG, DALE	DAIN TRAILER	B	0.00	0.08	0.00	0.00	0.08	90.0	0.07
12/11/2017 #	DERUNG, DALE	DAIN TRAILER	B	0.00	0.45	0.00	0.00	0.45	90.0	0.41
12/11/2017 #	DERUNG, DALE	DAIN TRAILER	B	0.00	0.26	0.00	0.00	0.26	90.0	0.23
12/11/2017 #	DERUNG, DALE	DAIN TRAILER	B	0.00	1.16	0.00	0.00	1.16	90.0	1.04
12/11/2017 #	DERUNG, DALE	DAIN TRAILER	B	0.00	0.98	0.00	0.00	0.98	90.0	0.88
12/11/2017 #	SMITH, ROBERT	DAIN TRAILER	B	0.00	3.01	0.00	0.00	3.01	90.0	2.71
12/11/2017 #	SMITH, ROBERT	DAIN TRAILER	B	0.00	3.18	0.00	0.00	3.18	90.0	2.86
12/11/2017 #	SMITH, ROBERT	DAIN TRAILER	B	0.00	0.41	0.00	0.00	0.41	90.0	0.37
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	3.68	0.00	0.00	3.68	90.0	3.31
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	3.68	0.00	0.00	3.68	90.0	3.31
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.56	0.00	0.00	4.56	90.0	4.10
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.26	0.00	0.00	4.26	90.0	3.83
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.14	0.00	0.00	4.14	90.0	3.73
12/11/2017 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	2.07	0.00	0.00	2.07	90.0	1.86
12/11/2017 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	2.00	0.00	0.00	2.00	90.0	1.80
12/11/2017 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	1.61	0.00	0.00	1.61	90.0	1.45
12/11/2017 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	1.58	0.00	0.00	1.58	90.0	1.42
12/11/2017 #	DERUNG, KAREN	DAIN TRAILER	B	0.00	1.52	0.00	0.00	1.52	90.0	1.37
12/11/2017 #	DERUNG, DALE	DAIN TRAILER	B	0.00	2.07	0.00	0.00	2.07	90.0	1.86
12/11/2017 #	DERUNG, DALE	DAIN TRAILER	B	0.00	2.00	0.00	0.00	2.00	90.0	1.80
12/11/2017 #	DERUNG, DALE	DAIN TRAILER	B	0.00	1.61	0.00	0.00	1.61	90.0	1.45
12/11/2017 #	DERUNG, DALE	DAIN TRAILER	B	0.00	1.58	0.00	0.00	1.58	90.0	1.42
12/11/2017 #	DERUNG, DALE	DAIN TRAILER	B	0.00	1.52	0.00	0.00	1.52	90.0	1.37
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.92	0.00	0.00	4.92	90.0	4.43
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	2.36	0.00	0.00	2.36	90.0	2.12
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	3.27	0.00	0.00	3.27	90.0	2.94
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	5.19	0.00	0.00	5.19	90.0	4.67
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	8.57	0.00	0.00	8.57	90.0	7.71
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	8.60	0.00	0.00	8.60	90.0	7.74
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.72	0.00	0.00	4.72	90.0	4.25
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	0.40	0.00	0.00	0.40	90.0	0.36
12/11/2017 #	LIUDAHL, SCOTT	DAIN TRAILER	B	0.00	2.21	0.00	0.00	2.21	90.0	1.99
12/11/2017 #	LIUDAHL, SCOTT	DAIN TRAILER	B	0.00	1.45	0.00	0.00	1.45	90.0	1.31
12/11/2017 #	LIUDAHL, SCOTT	DAIN TRAILER	B	0.00	0.46	0.00	0.00	0.46	90.0	0.41
12/11/2017 #	LIUDAHL, SCOTT	DAIN TRAILER	B	0.00	1.55	0.00	0.00	1.55	90.0	1.40
12/11/2017 #	LIUDAHL, STEVEN	DAIN TRAILER	B	0.00	2.21	0.00	0.00	2.21	90.0	1.99
12/11/2017 #	LIUDAHL, STEVEN	DAIN TRAILER	B	0.00	1.45	0.00	0.00	1.45	90.0	1.31
12/11/2017 #	LIUDAHL, STEVEN	DAIN TRAILER	B	0.00	0.46	0.00	0.00	0.46	90.0	0.41
12/11/2017 #	LIUDAHL, STEVEN	DAIN TRAILER	B	0.00	1.55	0.00	0.00	1.55	90.0	1.40
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.19	0.00	0.00	4.19	90.0	3.77

COMMISSION STATEMENT for STEPHEN PLOUCHER

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.19	0.00	0.00	4.19	90.0	3.77
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.26	0.00	0.00	4.26	90.0	3.83
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	2.25	0.00	0.00	2.25	90.0	2.03
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.19	0.00	0.00	4.19	90.0	3.77
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.56	0.00	0.00	4.56	90.0	4.10
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.26	0.00	0.00	4.26	90.0	3.83
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.14	0.00	0.00	4.14	90.0	3.73
12/11/2017 #	BACKMAN, MELANIE	DAIN TRAILER	B	0.00	4.19	0.00	0.00	4.19	90.0	3.77
12/18/2017 #	GRAFF, MARILYN	DAIN TRAILER	S	6,446.22	0.00	0.00	0.00	0.00	90.0	0.00
12/20/2017 #	SOMMERS, LESTER	DAIN TRAILER	S	20,170.15	0.00	0.00	0.00	0.00	90.0	0.00
12/20/2017 #	SOMMERS, LESTER	DAIN TRAILER	B	10,000.00	300.00	0.00	0.00	300.00	90.0	270.00
12/20/2017 #	SOMMERS, LESTER	DAIN TRAILER	S	29,430.93	0.00	0.00	0.00	0.00	90.0	0.00
12/20/2017 #	SOMMERS, LESTER	DAIN TRAILER	S	20,744.82	0.00	0.00	0.00	0.00	90.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$86,792.12	\$686.31	\$0.00	\$0.00	\$686.31		\$617.69
*** BROKER TRANSACTIONS TOTAL ***				\$324,954.86	\$1,503.81	\$0.00	\$0.00	\$1,503.81		\$1,353.44

ADJUSTMENTS

01/20/2018	OTHER: RBC COMMISSION MISSED	4,884.84
	NOVEMBER 2017	
*** ADJUSTMENTS TOTAL ***		\$4,884.84

BROKER COMMISSION TOTALS

Broker Transactions	\$1,353.44
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$4,884.84
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$6,238.28
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