

# STATEMENT

## January 20, 2018

JEFF HAGYARD  
5060 CALIFORNIA AVE  
SUITE 620  
BAKERSFIELD, CA 93309

BROKER #: 214  
BRANCH: LA BRANCH

### COMMISSION STATEMENT for JEFF HAGYARD

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<b>BROKER TRANSACTIONS</b>									
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>									
11/30/2017	#012470001601 HARY-MARG	487300840	0.00	2.26	75.0	0.00	1.70	0.00	1.70
* MUTUAL FUNDS SUBTOTAL *			\$0.00	\$2.26		\$0.00	\$1.70	\$0.00	\$1.70
<b>PRODUCT CATEGORY: STOCKS</b>									
12/26/2017	# HAGYARD, SHIRLEY	CLEAN DIESEL TECHNOLOGIES INC COM P	1,305.00	65.25	75.0	0.00	48.94	19.95	28.99
12/26/2017	# HAGYARD, SHIRLEY	CLEAN DIESEL TECHNOLOGIES INC COM P	10,005.00	500.25	75.0	0.00	375.19	19.95	355.24
12/26/2017	# HAGYARD, SHIRLEY	ENDRA LIFE SCIENCES INC	12,243.75	415.29	75.0	0.00	311.47	19.95	291.52
12/26/2017	# HAGYARD, SHIRLEY	GSI TECHNOLOGY	7,950.00	256.00	75.0	0.00	192.00	19.95	172.05
12/26/2017	# HAGYARD, SHIRLEY	INVITAE CORPORATION COM	9,150.00	273.44	75.0	0.00	205.08	19.95	185.13
12/26/2017	# HAGYARD, SHIRLEY	SIRIUS XM HOLDINGS INC COM	5,082.50	211.75	75.0	0.00	158.81	19.95	138.86
* STOCKS SUBTOTAL *			\$45,736.25	\$1,721.98		\$0.00	\$1,291.49	\$119.70	\$1,171.79
<b>PRODUCT CATEGORY: OPTIONS</b>									
12/08/2017	# HAGYARD, SHIRLEY	CALL NEM 12/08/17 35	380.00	50.00	75.0	0.00	37.50	39.45	-1.95
* OPTIONS SUBTOTAL *			\$380.00	\$50.00		\$0.00	\$37.50	\$39.45	\$-1.95
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>									
12/01/2017	#00068036692	AMERICAN BALANCED FUND-529A	0.00	9.15	75.0	0.00	6.86	0.00	6.86
12/01/2017	#00073012450	AMERICAN BALANCED FUND-529A	0.00	0.57	75.0	0.00	0.43	0.00	0.43
12/01/2017	#00086893142	AMERICAN BALANCED FUND-529A	0.00	8.03	75.0	0.00	6.02	0.00	6.02
12/01/2017	#00086893161	AMERICAN BALANCED FUND-529A	0.00	8.03	75.0	0.00	6.02	0.00	6.02
12/01/2017	#00086893167	AMERICAN BALANCED FUND-529A	0.00	8.03	75.0	0.00	6.02	0.00	6.02
12/01/2017	#00082019249 MAZZEO, ROBERT	AMERICAN BALANCED FUND-F1	0.00	7.46	75.0	0.00	5.60	0.00	5.60
12/01/2017	#00082019249 MAZZEO, ROBERT	CAPITAL WORLD GROWTH & INCOME FUND	0.00	6.55	75.0	0.00	4.91	0.00	4.91
12/01/2017	#00068036692	CAPITAL WORLD GROWTH AND INCOME-529	0.00	9.11	75.0	0.00	6.83	0.00	6.83
12/01/2017	#00073012450	CAPITAL WORLD GROWTH AND INCOME-529	0.00	0.56	75.0	0.00	0.42	0.00	0.42
12/01/2017	#00086893142	CAPITAL WORLD GROWTH AND INCOME-529	0.00	8.23	75.0	0.00	6.17	0.00	6.17
12/01/2017	#00086893161	CAPITAL WORLD GROWTH AND INCOME-529	0.00	8.23	75.0	0.00	6.17	0.00	6.17
12/01/2017	#00086893167	CAPITAL WORLD GROWTH AND INCOME-529	0.00	8.23	75.0	0.00	6.17	0.00	6.17

COMMISSION STATEMENT for JEFF HAGYARD

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
BROKER TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
12/01/2017	#00082019249	MAZZEO, ROBERT	GROWTH FUND AMER INC CL F1	0.00	8.33	75.0	0.00	6.25	6.25
12/01/2017	#00081170825	BULLOCK,	GROWTH FUND AMERICA INC CLASS A	0.00	20.85	75.0	0.00	15.64	15.64
12/01/2017	#00068036692		NEW PERSPECTIVE FUND-529A	0.00	9.97	75.0	0.00	7.48	7.48
12/01/2017	#00068036694		NEW PERSPECTIVE FUND-529A	0.00	4.20	75.0	0.00	3.15	3.15
12/01/2017	#00073012450		NEW PERSPECTIVE FUND-529A	0.00	0.66	75.0	0.00	0.50	0.50
12/01/2017	#00086893142		NEW PERSPECTIVE FUND-529A	0.00	8.97	75.0	0.00	6.73	6.73
12/01/2017	#00086893161		NEW PERSPECTIVE FUND-529A	0.00	8.97	75.0	0.00	6.73	6.73
12/01/2017	#00086893167		NEW PERSPECTIVE FUND-529A	0.00	8.97	75.0	0.00	6.73	6.73
12/01/2017	#00068036692		THE GROWTH FUND OF AMERICA-529A	0.00	33.72	75.0	0.00	25.29	25.29
12/01/2017	#00068036694		THE GROWTH FUND OF AMERICA-529A	0.00	31.09	75.0	0.00	23.32	23.32
12/01/2017	#00073012450		THE GROWTH FUND OF AMERICA-529A	0.00	0.97	75.0	0.00	0.73	0.73
12/01/2017	#00086893142		THE GROWTH FUND OF AMERICA-529A	0.00	10.10	75.0	0.00	7.58	7.58
12/01/2017	#00086893161		THE GROWTH FUND OF AMERICA-529A	0.00	10.10	75.0	0.00	7.58	7.58
12/01/2017	#00086893167		THE GROWTH FUND OF AMERICA-529A	0.00	10.10	75.0	0.00	7.58	7.58
12/01/2017	#00082019249	MAZZEO, ROBERT	THE INVESTMENT COMPANY OF AMERICA F	0.00	7.34	75.0	0.00	5.51	5.51
12/01/2017	#00068036692		WASHINGTON MUTUAL INVESTORS FUND-52	0.00	32.15	75.0	0.00	24.11	24.11
12/01/2017	#00068036694		WASHINGTON MUTUAL INVESTORS FUND-52	0.00	17.55	75.0	0.00	13.16	13.16
12/01/2017	#00073012450		WASHINGTON MUTUAL INVESTORS FUND-52	0.00	0.85	75.0	0.00	0.64	0.64
12/01/2017	#00086893142		WASHINGTON MUTUAL INVESTORS FUND-52	0.00	9.11	75.0	0.00	6.83	6.83
12/01/2017	#00086893161		WASHINGTON MUTUAL INVESTORS FUND-52	0.00	9.11	75.0	0.00	6.83	6.83
12/01/2017	#00086893167		WASHINGTON MUTUAL INVESTORS FUND-52	0.00	9.11	75.0	0.00	6.83	6.83
01/02/2018	#00494634023		PUTNAM 746802883	0.00	0.08	75.0	0.00	0.06	0.06
01/02/2018	#00267174425	HERBST, SUSAN	PUTNAM EQUITY INCOME FUND NEW-CL A	0.00	0.32	75.0	0.00	0.24	0.24
01/02/2018	#00271510259		PUTNAM EQUITY INCOME FUND NEW-CL A	0.00	2.82	75.0	0.00	2.12	2.12
01/02/2018	#00446421060	BENEGARY	PUTNAM EQUITY INCOME FUND NEW-CL A	0.00	0.14	75.0	0.00	0.11	0.11
01/02/2018	#00321634039	HERBST, SUSAN	PUTNAM FDS TR SMALL CAP GROWTH FD C	0.00	3.44	75.0	0.00	2.58	2.58
01/02/2018	#00321634039	HERBST, SUSAN	PUTNAM GROWTH OPPORTUNITIES FUND-CL	0.00	5.81	75.0	0.00	4.36	4.36
01/02/2018	#00517958094	HERBST, SUSAN	PUTNAM GROWTH OPPORTUNITIES FUND-CL	0.00	1.63	75.0	0.00	1.22	1.22
01/02/2018	#00267174425	HERBST, SUSAN	PUTNAM INVESTORS FUND INC CL A	0.00	2.79	75.0	0.00	2.09	2.09
01/02/2018	#00271510259		PUTNAM MULTI CAP GROWTH FUND CL A	0.00	1.26	75.0	0.00	0.95	0.95
01/02/2018	#00267174425	HERBST, SUSAN	PUTNAM MULTI-CAP VALUE FUND-A	0.00	7.64	75.0	0.00	5.73	5.73
01/02/2018	#00271510259		PUTNAM MULTI-CAP VALUE FUND-A	0.00	11.95	75.0	0.00	8.96	8.96
01/02/2018	#00446421060	BENEGARY	PUTNAM MULTI-CAP VALUE FUND-A	0.00	25.69	75.0	0.00	19.27	19.27
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$397.97	\$0.00	\$298.51	\$0.00	\$298.51
*** BROKER TRANSACTIONS TOTAL ***				\$46,116.25	\$2,172.21	\$0.00	\$1,629.20	\$159.15	\$1,470.05

COMMISSION STATEMENT for JEFF HAGYARD

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
------	--------	------------	----------------------	---------------------	------	---------	-------------------	--------------------	----------------------

ADJUSTMENTS

01/20/2018		ADMIN FEE: ADMIN FEE							-320.00
01/20/2018		E & O INSURANCE: E & O INSURANCE							-179.00
*** ADJUSTMENTS TOTAL ***									<u>\$-499.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$1,470.05
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-499.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$971.05
--------------	----------