

**COMMISSION STATEMENT****January 15, 2018**

JIM LUND
2060 Huntington Drive
Suite 1
San Marino, CA 91108

BROKER #: L119 Terminated 10/30/2015
BRANCH: TWEED FINANCIAL

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
/ /	SOLORIO, ROSE	FA 529 PORT 2016 C	125.00	0.80	0.00	0.80	0.0	0.00
01/02/2018	BARBOUR, ELEANOR	FA 529 PORT 2016 C	125.00	1.45	0.00	1.45	0.0	0.00
/ /	STEINER, DANIEL	FA 529 PORT 2025 A	0.00	1.54	0.00	1.54	0.0	0.00
/ /	STEINER, DANIEL	FA 529 PORT 2025 A	0.00	1.54	0.00	1.54	0.0	0.00
/ /	STEINER, DANIEL	FA 529 PORT 2025 A	0.00	5.00	0.00	5.00	0.0	0.00
01/03/2018	STEINER, DANIEL	FA 529 PORT 2025 A	100.00	5.00	0.00	5.00	0.0	0.00
/ /	BRYAN, TRICIA	FA 529 PORT 2028 A	50.00	3.77	0.00	3.77	0.0	0.00
/ /	BRYAN, TRICIA	FA 529 PORT 2028 A	50.00	6.00	0.00	6.00	0.0	0.00
/ /	LENGNING, DUSTIN	FA 529 PORT 2028 C	120.00	13.85	0.00	13.85	0.0	0.00
/ /	SANTANA, NICOLE	FA 529 PORT 2031 A	0.00	0.67	0.00	0.67	0.0	0.00
/ /	SANTANA, NICOLE	FA 529 PORT 2031 A	0.00	2.50	0.00	2.50	0.0	0.00
/ /	BARBOUR, ELEANOR	FIDELITY ADVISOR 529 COLLEGE PORT C	0.00	1.78	0.00	1.78	0.0	0.00
/ /	SOLORIO, ROSE	FIDELITY ADVISOR 529 COLLEGE PORT C	0.00	0.97	0.00	0.97	0.0	0.00
/ /	SOLORIO, ROSE	FIDELITY ADVISOR 529 COLLEGE PORT C	0.00	6.25	0.00	6.25	0.0	0.00
* 529 PLANS SUBTOTAL *			\$570.00	\$51.12	\$0.00	\$51.12		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/05/2018	COX, DEBORAH	AM FUNDS SMALLCAP WORLD A	75.00	3.75	0.00	3.75	0.0	0.00
12/18/2017	CRAIG, JAMIE	FT MODERATE ALLOCATION FUND C	120.00	1.20	0.00	1.20	0.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$195.00	\$4.95	\$0.00	\$4.95		\$0.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/29/2017	DOBBINS, BARBARA	AXA RETIREMENT CORNERSTONE 13 B	109,549.32	68.47	0.00	68.47	0.0	0.00
12/29/2017	HAIGH, PEGGY	AXA RETIREMENT CORNERSTONE 13 B	96,445.40	60.28	0.00	60.28	0.0	0.00
* VARIABLE ANNUITIES SUBTOTAL *			\$205,994.72	\$128.75	\$0.00	\$128.75		\$0.00

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>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	ELLSWORTH, CAROL	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	15.32	0.00	15.32	0.0	0.00
/ /	HOLZINGER, DIANE	OPPENHEIMER MAIN STREET A	0.00	30.78	0.00	30.78	0.0	0.00
/ /	YUGE, SEAN	OPPENHEIMER PORT SERIES ACTIVE ALLO	0.00	9.57	0.00	9.57	0.0	0.00
/ /	CIESLIK, CHAD	OPPENHEIMER QUEST OPP VALUE A	0.00	16.38	0.00	16.38	0.0	0.00
/ /	CIESLIK, CHAD	OPPENHEIMER QUEST OPP VALUE A	0.00	1.73	0.00	1.73	0.0	0.00
/ /	CIESLIK, CHAD	OPPENHEIMER SMALL MID CAP VALUE A	0.00	8.53	0.00	8.53	0.0	0.00
/ /	CIESLIK, CHAD	OPPENHEIMER SMALL MID CAP VALUE A	0.00	0.59	0.00	0.59	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$82.90	\$0.00	\$82.90		\$0.00
*** DIRECT TRANSACTIONS TOTAL ***			\$206,759.72	\$267.72	\$0.00	\$267.72		\$0.00

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

Balance Forward	\$0.00
Year-to-date Gross	\$267.72
Year-to-date Earnings	\$0.00

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