

STATEMENT

July 20, 2018

JOHN PINEMAN
9348 Newport Lane
SUITE 620
Highlands Ranch, CO 80130

BROKER #: 189
BRANCH: LA BRANCH

COMMISSION STATEMENT for JOHN PINEMAN

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
06/06/2018 #	AMENT, LAURA	HARTFORD GLOBAL HEALTH FUND CL I	7,162.08	0.00	95.0	0.00	0.00	0.00	0.00
* MUTUAL FUNDS SUBTOTAL *			\$7,162.08	\$0.00		\$0.00	\$0.00	\$0.00	\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>									
06/06/2018 #	SWAHN, CHRISTOPHER	AMAZON.COM INC	127,217.99	0.00	95.0	0.00	0.00	0.00	0.00
06/06/2018 #	SWAHN, CHRISTOPHER	AMAZON.COM INC	127,097.24	0.00	95.0	0.00	0.00	0.00	0.00
06/06/2018 #	SWAHN, CHRISTOPHER	FACEBOOK INC	42,806.25	0.00	95.0	0.00	0.00	0.00	0.00
06/06/2018 #	SWAHN, CHRISTOPHER	FACEBOOK INC	42,832.80	0.00	95.0	0.00	0.00	0.00	0.00
06/15/2018 #	SWAHN, CHRISTOPHER	NETFLIX COM INC	48,855.00	0.00	95.0	0.00	0.00	0.00	0.00
06/21/2018 #	SWAHN, CHRISTOPHER	AMAZON.COM INC	44,075.00	0.00	95.0	0.00	0.00	0.00	0.00
06/21/2018 #	SWAHN, CHRISTOPHER	NETFLIX COM INC	42,122.00	0.00	95.0	0.00	0.00	0.00	0.00
06/21/2018 #	SWAHN, CHRISTOPHER	NUTANIX INC CL A	36,090.00	0.00	95.0	0.00	0.00	0.00	0.00
* STOCKS SUBTOTAL *			\$511,096.28	\$0.00		\$0.00	\$0.00	\$0.00	\$0.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
06/30/0201 #E0631193	DATZ, HELEN	PRUDETIAL TRAILS	0.00	19.87	95.0	0.00	18.88	0.00	18.88
06/30/0201 #E0631193	DATZ, HELEN	PRUDETIAL TRAILS	0.00	4.97	95.0	0.00	4.72	0.00	4.72
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$24.84		\$0.00	\$23.60	\$0.00	\$23.60
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
06/01/2018 #00086651382	STUBBS, CARRIE	CAPITAL WORLD GROWTH AND INCOME-529	0.00	4.15	95.0	0.00	3.94	0.00	3.94
06/01/2018 #00086651395	STUBBS, CARRIE	CAPITAL WORLD GROWTH AND INCOME-529	0.00	1.76	95.0	0.00	1.67	0.00	1.67
06/01/2018 #00086651382	STUBBS, CARRIE	CAPITAL WORLD GROWTH AND INCOME-529	0.00	7.08	95.0	0.00	6.73	0.00	6.73
06/01/2018 #00086651395	STUBBS, CARRIE	CAPITAL WORLD GROWTH AND INCOME-529	0.00	6.70	95.0	0.00	6.37	0.00	6.37
06/01/2018 #00086651382	STUBBS, CARRIE	NEW PERSPECTIVE FUND-529A	0.00	4.42	95.0	0.00	4.20	0.00	4.20
06/01/2018 #00086651395	STUBBS, CARRIE	NEW PERSPECTIVE FUND-529A	0.00	1.95	95.0	0.00	1.85	0.00	1.85
06/01/2018 #00086651382	STUBBS, CARRIE	NEW PERSPECTIVE FUND-529C	0.00	7.15	95.0	0.00	6.79	0.00	6.79
06/01/2018 #00086651395	STUBBS, CARRIE	NEW PERSPECTIVE FUND-529C	0.00	7.15	95.0	0.00	6.79	0.00	6.79
06/11/2018 #	TAYLOR, MELISSA	DAIN TRAILER	0.00	2.18	95.0	0.00	2.07	0.00	2.07

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
06/11/2018 #	TAYLOR, MELISSA	DAIN TRAILER	0.00	22.19	95.0	0.00	21.08	0.00	21.08
06/11/2018 #	MCCLOY, M JENNIFER	DAIN TRAILER	0.00	5.19	95.0	0.00	4.93	0.00	4.93
06/11/2018 #	MCCLOY, M JENNIFER	DAIN TRAILER	0.00	4.15	95.0	0.00	3.94	0.00	3.94
06/11/2018 #	ROSA, ANN MARIE	DAIN TRAILER	0.00	5.19	95.0	0.00	4.93	0.00	4.93
06/11/2018 #	ROSA, ANN MARIE	DAIN TRAILER	0.00	4.15	95.0	0.00	3.94	0.00	3.94
06/11/2018 #	JOHNSTON, JOHN	DAIN TRAILER	0.00	0.05	95.0	0.00	0.05	0.00	0.05
06/11/2018 #	JOHNSTON, JOHN	DAIN TRAILER	0.00	2.63	95.0	0.00	2.50	0.00	2.50
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.49	95.0	0.00	0.47	0.00	0.47
06/11/2018 #	PRILL, DANNA	DAIN TRAILER	0.00	1.08	95.0	0.00	1.03	0.00	1.03
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.32	95.0	0.00	0.30	0.00	0.30
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.40	95.0	0.00	1.33	0.00	1.33
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.86	95.0	0.00	0.82	0.00	0.82
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.62	95.0	0.00	0.59	0.00	0.59
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.90	95.0	0.00	0.86	0.00	0.86
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	2.65	95.0	0.00	2.52	0.00	2.52
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.52	95.0	0.00	0.49	0.00	0.49
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.17	95.0	0.00	1.11	0.00	1.11
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.54	95.0	0.00	0.51	0.00	0.51
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.11	95.0	0.00	0.10	0.00	0.10
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.62	95.0	0.00	0.59	0.00	0.59
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	3.26	95.0	0.00	3.10	0.00	3.10
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.49	95.0	0.00	1.42	0.00	1.42
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	2.83	95.0	0.00	2.69	0.00	2.69
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.02	95.0	0.00	0.02	0.00	0.02
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.76	95.0	0.00	0.72	0.00	0.72
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.08	95.0	0.00	0.08	0.00	0.08
06/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.33	95.0	0.00	1.26	0.00	1.26
06/18/2018 #	PRILL, JOSEPH	DAIN TRAILER	154.31	0.00	95.0	0.00	0.00	0.00	0.00
06/18/2018 #	PRILL, JOSEPH	DAIN TRAILER	150.00	0.00	95.0	0.00	0.00	0.00	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$304.31	\$107.14		\$0.00	\$101.79	\$0.00	\$101.79
*** BROKER TRANSACTIONS TOTAL ***			\$518,562.67	\$131.98		\$0.00	\$125.39	\$0.00	\$125.39

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Override Transactions

GORMAN, MICHAEL			931.43						18.61
*** OVERRIDE TRANSACTIONS TOTAL ***				\$931.43					\$18.61

Adjustments

07/20/2018	ADMIN FEE: ADMIN FEE								-70.00
07/20/2018	E & O INSURANCE: E & O INSURANCE								-49.50
07/20/2018	FEDEX: FEDEX - KELLY GROVES								-76.81
07/20/2018	MWWOD:MISCELLANEOUS: WRITE-OFF								-478.30
	DEBIT BALANCE								
	*** ADJUSTMENTS TOTAL ***								\$-674.61

BROKER COMMISSION TOTALS

Broker Transactions	\$125.39
Split Transactions	\$0.00
Override Transactions	\$18.61
Adjustments	\$-674.61
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-402.57
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	\$-933.18
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