

All Companies
STATEMENT
June 20, 2018

MICHAEL GORMAN
3030 River Birch

BROKER #: 278
BRANCH: LA BRANCH

Pearland, TX 77584-

COMMISSION STATEMENT for MICHAEL GORMAN

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 FUNDS</u>										
05/01/2018	#01448561397	TRINHCUN		FA 529 MID CAP PORT-CL A	B	100.00	2.75	0.00	0.00	2.75 92.0 2.53
05/01/2018	#01448531648	TRINHCUN		FA 529 MID CAP PORT-CL A	B	200.00	5.50	0.00	0.00	5.50 92.0 5.06
05/01/2018	#01448531648	TRINHCUN		FA 529 NEW INSIGHTS PORT-CL A	B	100.00	2.75	0.00	0.00	2.75 92.0 2.53
05/01/2018	#01448561397	TRINHCUN		FA 529 NEW INSIGHTS PORT-CL A	B	300.00	8.25	0.00	0.00	8.25 92.0 7.59
05/01/2018	#01448561397	TRINHCUN		FA 529 SMALL CAP PORT-CL A	B	100.00	2.75	0.00	0.00	2.75 92.0 2.53
05/01/2018	#01448531648	TRINHCUN		FIDELITY STRATIGIC	B	200.00	6.00	0.00	0.00	6.00 92.0 5.52
				* MUTUAL FUNDS SUBTOTAL *		\$1,000.00	\$28.00	\$0.00	\$0.00	\$28.00 \$25.76

<u>PRODUCT CATEGORY: STOCKS</u>										
04/30/2018	#	REMOND, MARIA DE LOURDE		APPLE INC	B	6,484.40	0.00	0.00	0.00	0.00 92.0 0.00
04/30/2018	#	REMOND, SANJAY		APPLE INC	B	40,987.45	0.00	0.00	0.00	0.00 92.0 0.00
04/30/2018	#	REMOND, MARIA DE LOURDE		ARK ETF TRUST ARK INNOVATION ETF	S	4,291.10	0.00	0.00	0.00	0.00 92.0 0.00
04/30/2018	#	REMOND, MARIA DE LOURDE		ETF MANAGERS TRUST ETFMG PRIME CYBE B	B	6,876.10	0.00	0.00	0.00	0.00 92.0 0.00
04/30/2018	#	REMOND, SANJAY		ETF MANAGERS TRUST ETFMG PRIME CYBE B	B	41,560.89	0.00	0.00	0.00	0.00 92.0 0.00
04/30/2018	#	REMOND, MARIA DE LOURDE		EXCHANGE TRADED CONCEPTS TR EMQQ EM B	B	2,235.00	0.00	0.00	0.00	0.00 92.0 0.00
04/30/2018	#	REMOND, SANJAY		EXCHANGE TRADED CONCEPTS TR EMQQ EM B	B	13,614.06	0.00	0.00	0.00	0.00 92.0 0.00
04/30/2018	#	REMOND, MARIA DE LOURDE		GLOBAL X FUNDS GLOBAL X SOCIAL MEDI B	B	2,345.00	0.00	0.00	0.00	0.00 92.0 0.00
04/30/2018	#	REMOND, SANJAY		GLOBAL X FUNDS GLOBAL X SOCIAL MEDI B	B	13,434.44	0.00	0.00	0.00	0.00 92.0 0.00
04/30/2018	#	REMOND, MARIA DE LOURDE		NETFLIX COM INC	B	4,360.16	0.00	0.00	0.00	0.00 92.0 0.00
04/30/2018	#	REMOND, SANJAY		NETFLIX COM INC	B	26,492.80	0.00	0.00	0.00	0.00 92.0 0.00
05/01/2018	#	REMOND, MARIA DE LOURDE		INNOVATOR ETFs TRUST INNOVATOR IBD	S	4,260.60	0.00	0.00	0.00	0.00 92.0 0.00
05/01/2018	#	REMOND, SANJAY		INNOVATOR ETFs TRUST INNOVATOR IBD	S	6,754.65	0.00	0.00	0.00	0.00 92.0 0.00
05/03/2018	#	DALTON, DAVID		CAMBRIA GLOBAL VALUE ETF	S	17,259.75	0.00	0.00	0.00	0.00 92.0 0.00
05/03/2018	#	NGUYEN, BINH		INNOVATOR ETFs TRUST INNOVATOR IBD	S	13,974.00	60.00	19.95	0.00	40.05 92.0 36.85
05/07/2018	#	DURHAM, PATRICIA		ISHARES TRUST MSCI EMERGING	S	3,225.60	0.00	0.00	0.00	0.00 92.0 0.00
05/21/2018	#	DALTON, DAVID		POWERSHARES QQQ TRUST	B	42,190.00	0.00	0.00	0.00	0.00 92.0 0.00
05/21/2018	#	DALTON, DAVID		SPDR S&P 500 ETF TR	B	68,247.50	0.00	0.00	0.00	0.00 92.0 0.00
05/22/2018	#	PEDERSON, TYLER		ISHARES TRUST DOW JONES US CONSUMER	S	4,598.00	60.00	19.95	0.00	40.05 92.0 36.85
05/22/2018	#	PEDERSON, TYLER		ISHARES U S UTILITIES ETF	S	4,633.51	60.00	19.95	0.00	40.05 92.0 36.85
05/22/2018	#	PEDERSON, TYLER		POWERSHARES GLOBAL EXCHANGE TRADED	S	2,960.10	60.00	19.95	0.00	40.05 92.0 36.85
05/24/2018	#	DURHAM, PATRICIA		CAMBRIA GLOBAL VALUE ETF	S	10,009.00	0.00	0.00	0.00	0.00 92.0 0.00

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: STOCKS</u>										
05/24/2018 #	NGUYEN, BINH	CAMBRIA GLOBAL VALUE ETF	S	18,765.00	60.00	19.95	0.00	40.05	92.0	36.85
05/24/2018 #	DALTON, DAVID	HORIZONS MARIJUANA LIFE SCIENCES IN B		8,482.00	0.00	0.00	0.00	0.00	92.0	0.00
05/29/2018 #	REMOND, MARIA DE LOURDE	ISHARES TRUST MSCI EMERGING	S	4,294.00	0.00	0.00	0.00	0.00	92.0	0.00
05/29/2018 #	REMOND, SANJAY	ISHARES TRUST MSCI EMERGING	S	6,780.00	0.00	0.00	0.00	0.00	92.0	0.00
05/29/2018 #	DALTON, DAVID	SPDR INDEX SHARES FUNDS SPDR EURO S S		16,562.25	0.00	0.00	0.00	0.00	92.0	0.00
* STOCKS SUBTOTAL *				\$395,677.36	\$300.00	\$99.75	\$0.00	\$200.25		\$184.25
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>										
04/30/0201 #108749000	LA DENTAL II, `	JOHN HANCOCK ARA	B	362,818.64	120.71	0.00	0.00	120.71	92.0	111.05
* VARIABLE ANNUITIES SUBTOTAL *				\$362,818.64	\$120.71	\$0.00	\$0.00	\$120.71		\$111.05
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
05/07/2018 #01448531648	TRINHCUON	FA 529 MID CAP PORT-CL A	B	0.00	2.55	0.00	0.00	2.55	92.0	2.35
05/07/2018 #01448561397	TRINHCUON	FA 529 MID CAP PORT-CL A	B	0.00	4.74	0.00	0.00	4.74	92.0	4.36
05/07/2018 #01448531648	TRINHCUON	FA 529 NEW INSIGHTS PORT-CL A	B	0.00	5.71	0.00	0.00	5.71	92.0	5.25
05/07/2018 #01448561397	TRINHCUON	FA 529 NEW INSIGHTS PORT-CL A	B	0.00	11.75	0.00	0.00	11.75	92.0	10.81
05/07/2018 #01448561397	TRINHCUON	FA 529 SMALL CAP PORT-CL A	B	0.00	3.73	0.00	0.00	3.73	92.0	3.43
05/07/2018 #01448531648	TRINHCUON	FIDELITY STRATIGIC	B	0.00	1.34	0.00	0.00	1.34	92.0	1.23
05/09/2018 #	NGUYEN, ROSA	DAIN TRAILER	B	0.00	3.09	0.00	0.00	3.09	92.0	2.84
05/09/2018 #	NGUYEN, ROSA	DAIN TRAILER	B	0.00	4.70	0.00	0.00	4.70	92.0	4.32
05/09/2018 #	CLOPTON, DANIEL	DAIN TRAILER	B	0.00	2.38	0.00	0.00	2.38	92.0	2.19
05/09/2018 #	LONG, CHARLES	DAIN TRAILER	B	0.00	15.15	0.00	0.00	15.15	92.0	13.94
05/09/2018 #	LONG, CHARLES	DAIN TRAILER	B	0.00	5.82	0.00	0.00	5.82	92.0	5.35
05/09/2018 #	LONG, CHARLES	DAIN TRAILER	B	0.00	7.04	0.00	0.00	7.04	92.0	6.48
05/09/2018 #	LONG, CHARLES	DAIN TRAILER	B	0.00	28.76	0.00	0.00	28.76	92.0	26.46
05/09/2018 #	HANSEN, LAURI	DAIN TRAILER	B	0.00	5.31	0.00	0.00	5.31	92.0	4.89
05/09/2018 #	NG, LISA	DAIN TRAILER	B	0.00	2.64	0.00	0.00	2.64	92.0	2.43
05/09/2018 #	HANSEN, ROBERT	DAIN TRAILER	B	0.00	5.31	0.00	0.00	5.31	92.0	4.89
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$110.02	\$0.00	\$0.00	\$110.02		\$101.22
*** BROKER TRANSACTIONS TOTAL ***				\$759,496.00	\$558.73	\$99.75	\$0.00	\$458.98		\$422.28

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ADJUSTMENTS

06/20/2018		ADMIN FEE: ADMIN FEE								-390.00
06/20/2018		E & O INSURANCE: E & O INSURANCE								-249.00
06/20/2018		CIRCLEBLACK: CIRCLEBLACK								-175.00
*** ADJUSTMENTS TOTAL ***										<u>\$-814.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$422.28
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-814.00
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	<u>\$-391.72</u>
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