

STATEMENT

January 20, 2018

DENNIS JORDAN

BROKER #: 272
BRANCH: LA BRANCH

, CA

COMMISSION STATEMENT for DENNIS JORDAN

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>									
11/20/2017	#00089580827	AKINS-ATEW	NEW WORLD FUND INC NEW	75.00	3.75	85.0	0.00	3.19	3.19
12/08/2017	#00088285586	MCNEILANDR	AMCAP FUND INC CLASS A	391.04	10.75	85.0	0.00	9.14	9.14
12/08/2017	#00088285586	MCNEILANDR	AMERICAN BALANCED FUND INC CLASS A	300.00	8.25	85.0	0.00	7.01	7.01
12/08/2017	#00088285586	MCNEILANDR	FUNDAMENTAL INVESTORS INC CLASS A	400.00	11.00	85.0	0.00	9.35	9.35
12/08/2017	#00088285586	MCNEILANDR	NEW PERSPECTIVE FUND INC CL A	300.00	8.25	85.0	0.00	7.01	7.01
12/11/2017	#00089576353	MARSWENDY	AMERICAN BALANCED FUND INC CLASS A	50.00	2.50	85.0	0.00	2.13	2.13
12/11/2017	#00089576353	MARSWENDY	FUNDAMENTAL INVESTORS INC CLASS A	50.00	2.50	85.0	0.00	2.13	2.13
12/20/2017	#00089580827	AKINS-ATEW	NEW WORLD FUND INC NEW	75.00	3.75	85.0	0.00	3.19	3.19
* MUTUAL FUNDS SUBTOTAL *			\$1,641.04	\$50.75		\$0.00	\$43.15	\$0.00	\$43.15
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017	#00088285586	MCNEILANDR	AMCAP FUND INC CLASS A	0.00	15.27	85.0	0.00	12.98	12.98
12/01/2017	#00088298368		AMCAP FUND INC CLASS A	0.00	25.18	85.0	0.00	21.40	21.40
12/01/2017	#00088531875		AMCAP FUND INC CLASS A	0.00	211.52	85.0	0.00	179.79	179.79
12/01/2017	#00087126553		AMERICAN BALANCED FUND INC CL C	0.00	5.31	85.0	0.00	4.51	4.51
12/01/2017	#00069047920	WHITEMANNO	AMERICAN BALANCED FUND INC CLASS A	0.00	21.14	85.0	0.00	17.97	17.97
12/01/2017	#00088285586	MCNEILANDR	AMERICAN BALANCED FUND INC CLASS A	0.00	12.75	85.0	0.00	10.84	10.84
12/01/2017	#00089576353	MARSWENDY	AMERICAN BALANCED FUND INC CLASS A	0.00	1.62	85.0	0.00	1.38	1.38
12/01/2017	#00088298368		AMERICAN BALANCED FUND INC CLASS A	0.00	24.88	85.0	0.00	21.15	21.15
12/01/2017	#00088531875		AMERICAN BALANCED FUND INC CLASS A	0.00	201.54	85.0	0.00	171.31	171.31
12/01/2017	#00084745921		AMERICAN BALANCED FUND INC CLASS A	0.00	11.46	85.0	0.00	9.74	9.74
12/01/2017	#00074222660		CAPITAL INCOME BUILDER FD CL A	0.00	1.30	85.0	0.00	1.11	1.11
12/01/2017	#00075012634		CAPITAL WORLD GROWTH & INCOME FUND	0.00	3.24	85.0	0.00	2.75	2.75
12/01/2017	#00082834272	JOSEPNANCI	CAPITAL WORLD GROWTH & INCOME FUND	0.00	0.13	85.0	0.00	0.11	0.11
12/01/2017	#00073921242	REECE, CARLISLE	EURO PAC GROWTH FUND CL C	0.00	19.53	85.0	0.00	16.60	16.60
12/01/2017	#00073921301	GRIFFITH-REECE,	EURO PAC GROWTH FUND CL C	0.00	20.65	85.0	0.00	17.55	17.55
12/01/2017	#00073921242	REECE, CARLISLE	EURO PAC GROWTH FUND CL F1	0.00	0.47	85.0	0.00	0.40	0.40
12/01/2017	#00073921301	GRIFFITH-REECE,	EURO PAC GROWTH FUND CL F1	0.00	0.54	85.0	0.00	0.46	0.46

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017	#00073159521	EURO PACIFIC GROWTH FUND CLASS A	0.00	10.93	85.0	0.00	9.29	0.00	9.29
12/01/2017	#00073921242 REECE, CARLISLE	EURO PACIFIC GROWTH FUND CLASS A	0.00	4.37	85.0	0.00	3.71	0.00	3.71
12/01/2017	#00073921301 GRIFFITH-REECE,	EURO PACIFIC GROWTH FUND CLASS A	0.00	4.55	85.0	0.00	3.87	0.00	3.87
12/01/2017	#00088285586 MCNEILANDR	FUNDAMENTAL INVESTORS INC CLASS A	0.00	15.96	85.0	0.00	13.57	0.00	13.57
12/01/2017	#00089576353 MARSWENDY	FUNDAMENTAL INVESTORS INC CLASS A	0.00	1.77	85.0	0.00	1.50	0.00	1.50
12/01/2017	#00073921242 REECE, CARLISLE	FUNDAMENTAL INVESTORS INC CLASS A	0.00	8.65	85.0	0.00	7.35	0.00	7.35
12/01/2017	#00073921301 GRIFFITH-REECE,	FUNDAMENTAL INVESTORS INC CLASS A	0.00	9.01	85.0	0.00	7.66	0.00	7.66
12/01/2017	#00073921324	FUNDAMENTAL INVESTORS INC CLASS A	0.00	1.97	85.0	0.00	1.67	0.00	1.67
12/01/2017	#00075012634	FUNDAMENTAL INVESTORS INC CLASS A	0.00	3.11	85.0	0.00	2.64	0.00	2.64
12/01/2017	#00089817761	FUNDAMENTAL INVESTORS INC CLASS A	0.00	1.08	85.0	0.00	0.92	0.00	0.92
12/01/2017	#00089952032	FUNDAMENTAL INVESTORS INC CLASS A	0.00	0.08	85.0	0.00	0.07	0.00	0.07
12/01/2017	#00088298368	FUNDAMENTAL INVESTORS INC CLASS A	0.00	26.53	85.0	0.00	22.55	0.00	22.55
12/01/2017	#00088531875	FUNDAMENTAL INVESTORS INC CLASS A	0.00	222.10	85.0	0.00	188.79	0.00	188.79
12/01/2017	#00084745921	FUNDAMENTAL INVESTORS INC CLASS A	0.00	12.55	85.0	0.00	10.67	0.00	10.67
12/01/2017	#00073921242 REECE, CARLISLE	FUNDAMENTAL INVS INC CL C	0.00	30.93	85.0	0.00	26.29	0.00	26.29
12/01/2017	#00073921301 GRIFFITH-REECE,	FUNDAMENTAL INVS INC CL C	0.00	45.25	85.0	0.00	38.46	0.00	38.46
12/01/2017	#00073921324	FUNDAMENTAL INVS INC CL C	0.00	7.62	85.0	0.00	6.48	0.00	6.48
12/01/2017	#00073921301 GRIFFITH-REECE,	FUNDAMENTAL INVS INC CL F1	0.00	1.21	85.0	0.00	1.03	0.00	1.03
12/01/2017	#00073921324	FUNDAMENTAL INVS INC CL F1	0.00	0.31	85.0	0.00	0.26	0.00	0.26
12/01/2017	#00073921301 GRIFFITH-REECE,	GROWTH FUND AMER INC CL C	0.00	46.17	85.0	0.00	39.24	0.00	39.24
12/01/2017	#00073921301 GRIFFITH-REECE,	GROWTH FUND AMER INC CL F1	0.00	1.25	85.0	0.00	1.06	0.00	1.06
12/01/2017	#00073921301 GRIFFITH-REECE,	GROWTH FUND AMERICA INC CLASS A	0.00	8.73	85.0	0.00	7.42	0.00	7.42
12/01/2017	#00074222660	GROWTH FUND AMERICA INC CLASS A	0.00	2.41	85.0	0.00	2.05	0.00	2.05
12/01/2017	#00073921242 REECE, CARLISLE	INCOME FUND AMER INC CL C	0.00	21.37	85.0	0.00	18.16	0.00	18.16
12/01/2017	#00073921301 GRIFFITH-REECE,	INCOME FUND AMER INC CL C	0.00	48.19	85.0	0.00	40.96	0.00	40.96
12/01/2017	#00073921301 GRIFFITH-REECE,	INCOME FUND AMER INC CL F1	0.00	1.26	85.0	0.00	1.07	0.00	1.07
12/01/2017	#00059389503	INCOME FUND OF AMERICA INC CLASS A	0.00	33.96	85.0	0.00	28.87	0.00	28.87
12/01/2017	#00073034236	INCOME FUND OF AMERICA INC CLASS A	0.00	4.28	85.0	0.00	3.64	0.00	3.64
12/01/2017	#00073159521	INCOME FUND OF AMERICA INC CLASS A	0.00	11.37	85.0	0.00	9.66	0.00	9.66
12/01/2017	#00073921242 REECE, CARLISLE	INCOME FUND OF AMERICA INC CLASS A	0.00	8.94	85.0	0.00	7.60	0.00	7.60
12/01/2017	#00073921301 GRIFFITH-REECE,	INCOME FUND OF AMERICA INC CLASS A	0.00	9.32	85.0	0.00	7.92	0.00	7.92
12/01/2017	#00073921242 REECE, CARLISLE	INVESTMENT CO AMER CL C	0.00	40.46	85.0	0.00	34.39	0.00	34.39
12/01/2017	#00069047920 WHITEMANNO	INVESTMENT CO AMER CLASS A	0.00	44.79	85.0	0.00	38.07	0.00	38.07
12/01/2017	#00073921242 REECE, CARLISLE	INVESTMENT CO AMER CLASS A	0.00	7.35	85.0	0.00	6.25	0.00	6.25
12/01/2017	#00059389503	NEW ECONOMY FUND SBI CLASS A	0.00	15.75	85.0	0.00	13.39	0.00	13.39
12/01/2017	#00073921242 REECE, CARLISLE	NEW ECONOMY FUND SBI CLASS A	0.00	9.48	85.0	0.00	8.06	0.00	8.06

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017	#00073921301	GRIFFITH-REECE, NEW PERSPECTIVE FUND -F1	0.00	1.78	85.0	0.00	1.51	0.00	1.51
12/01/2017	#00073921324	NEW PERSPECTIVE FUND -F1	0.00	0.41	85.0	0.00	0.35	0.00	0.35
12/01/2017	#00088285586	MCNEILANDR NEW PERSPECTIVE FUND INC CL A	0.00	13.03	85.0	0.00	11.08	0.00	11.08
12/01/2017	#00059389503	NEW PERSPECTIVE FUND INC CL A	0.00	34.97	85.0	0.00	29.72	0.00	29.72
12/01/2017	#00073159521	NEW PERSPECTIVE FUND INC CL A	0.00	16.86	85.0	0.00	14.33	0.00	14.33
12/01/2017	#00073921242	REECE, CARLISLE NEW PERSPECTIVE FUND INC CL A	0.00	13.77	85.0	0.00	11.70	0.00	11.70
12/01/2017	#00073921301	GRIFFITH-REECE, NEW PERSPECTIVE FUND INC CL A	0.00	14.36	85.0	0.00	12.21	0.00	12.21
12/01/2017	#00073921324	NEW PERSPECTIVE FUND INC CL A	0.00	2.67	85.0	0.00	2.27	0.00	2.27
12/01/2017	#00089817761	NEW PERSPECTIVE FUND INC CL A	0.00	1.09	85.0	0.00	0.93	0.00	0.93
12/01/2017	#00088531875	NEW PERSPECTIVE FUND INC CL A	0.00	219.28	85.0	0.00	186.39	0.00	186.39
12/01/2017	#00084745921	NEW PERSPECTIVE FUND INC CL A	0.00	14.24	85.0	0.00	12.10	0.00	12.10
12/01/2017	#00073921242	REECE, CARLISLE NEW PERSPECTIVE FUND INC CL C	0.00	35.34	85.0	0.00	30.04	0.00	30.04
12/01/2017	#00073921301	GRIFFITH-REECE, NEW PERSPECTIVE FUND INC CL C	0.00	67.73	85.0	0.00	57.57	0.00	57.57
12/01/2017	#00073921324	NEW PERSPECTIVE FUND INC CL C	0.00	10.31	85.0	0.00	8.76	0.00	8.76
12/01/2017	#00087126553	NEW PERSPECTIVE FUND INC CL C	0.00	10.41	85.0	0.00	8.85	0.00	8.85
12/01/2017	#00069261761	WHITEMANNO NEW PERSPECTIVE FUND-529A	0.00	1.70	85.0	0.00	1.45	0.00	1.45
12/01/2017	#00069261763	WHITEMANNO NEW PERSPECTIVE FUND-529A	0.00	0.16	85.0	0.00	0.14	0.00	0.14
12/01/2017	#00089580827	AKINS-ATEW NEW WORLD FUND INC NEW	0.00	0.44	85.0	0.00	0.37	0.00	0.37
12/01/2017	#00089952032	NEW WORLD FUND INC NEW	0.00	0.09	85.0	0.00	0.08	0.00	0.08
12/01/2017	#00069261761	WHITEMANNO THE GROWTH FUND OF AMERICA-529A	0.00	0.88	85.0	0.00	0.75	0.00	0.75
12/01/2017	#00069261763	WHITEMANNO THE GROWTH FUND OF AMERICA-529A	0.00	0.14	85.0	0.00	0.12	0.00	0.12
12/01/2017	#00073921242	REECE, CARLISLE THE INVESTMENT COMPANY OF AMERICA F	0.00	0.97	85.0	0.00	0.82	0.00	0.82
12/01/2017	#00069261761	WHITEMANNO THE INVESTMENT COMPANY OF AMERICA-5	0.00	1.52	85.0	0.00	1.29	0.00	1.29
12/01/2017	#00069261763	WHITEMANNO THE INVESTMENT COMPANY OF AMERICA-5	0.00	0.09	85.0	0.00	0.08	0.00	0.08
12/01/2017	#00073921242	REECE, CARLISLE THE NEW ECONOMY FUND-C	0.00	22.05	85.0	0.00	18.74	0.00	18.74
12/01/2017	#00073921301	GRIFFITH-REECE, WASHINGTON MUTUAL INVESTORS FUND-C	0.00	44.64	85.0	0.00	37.94	0.00	37.94
12/01/2017	#00073921301	GRIFFITH-REECE, WASHINGTON MUTUAL INVESTORS FUND-F1	0.00	1.09	85.0	0.00	0.93	0.00	0.93
12/01/2017	#00073034236	WASHINGTON MUTUAL INVS FD CLASS A	0.00	3.85	85.0	0.00	3.27	0.00	3.27
12/01/2017	#00073159521	WASHINGTON MUTUAL INVS FD CLASS A	0.00	9.35	85.0	0.00	7.95	0.00	7.95
12/01/2017	#00073921301	GRIFFITH-REECE, WASHINGTON MUTUAL INVS FD CLASS A	0.00	7.75	85.0	0.00	6.59	0.00	6.59
12/11/2017	# REECE, CARLISLE	DAIN TRAILER	0.00	1.68	85.0	0.00	1.43	0.00	1.43
12/11/2017	# REECE, CARLISLE	DAIN TRAILER	0.00	17.84	85.0	0.00	15.16	0.00	15.16
12/11/2017	# REECE, CARLISLE	DAIN TRAILER	0.00	24.85	85.0	0.00	21.12	0.00	21.12
12/11/2017	# REECE, CARLISLE	DAIN TRAILER	0.00	23.33	85.0	0.00	19.83	0.00	19.83
12/11/2017	# REECE, CARLISLE	DAIN TRAILER	0.00	9.29	85.0	0.00	7.90	0.00	7.90
12/11/2017	# REECE, CARLISLE	DAIN TRAILER	0.00	21.76	85.0	0.00	18.50	0.00	18.50

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/11/2017 #	GRIFFITH-REECE, WENDY	DAIN TRAILER	0.00	14.39	85.0	0.00	12.23	0.00	12.23
12/11/2017 #	GRIFFITH-REECE, WENDY	DAIN TRAILER	0.00	10.04	85.0	0.00	8.53	0.00	8.53
12/11/2017 #	GRIFFITH-REECE, WENDY	DAIN TRAILER	0.00	13.85	85.0	0.00	11.77	0.00	11.77
12/11/2017 #	GRIFFITH-REECE, WENDY	DAIN TRAILER	0.00	2.46	85.0	0.00	2.09	0.00	2.09
12/11/2017 #	GRIFFITH-REECE, WENDY	DAIN TRAILER	0.00	1.53	85.0	0.00	1.30	0.00	1.30
12/11/2017 #	GRIFFITH-REECE, WENDY	DAIN TRAILER	0.00	1.36	85.0	0.00	1.16	0.00	1.16
12/11/2017 #	JORDAN, EDWINA	DAIN TRAILER	0.00	0.73	85.0	0.00	0.62	0.00	0.62
12/11/2017 #	JORDAN, EDWINA	DAIN TRAILER	0.00	1.36	85.0	0.00	1.16	0.00	1.16
12/11/2017 #	JORDAN, EDWINA	DAIN TRAILER	0.00	2.12	85.0	0.00	1.80	0.00	1.80
12/11/2017 #	JORDAN, EDWINA	DAIN TRAILER	0.00	4.99	85.0	0.00	4.24	0.00	4.24
01/02/2018 #00511106330		PUTNAM EQUITY INCOME FUND NEW-CL A	0.00	35.92	85.0	0.00	30.53	0.00	30.53
01/02/2018 #00551408365	JOSEPNANCI	PUTNAM EQUITY INCOME FUND NEW-CL A	0.00	0.68	85.0	0.00	0.58	0.00	0.58
01/02/2018 #00551408365	JOSEPNANCI	PUTNAM GLOBAL EQUITY FUND INC-CL A	0.00	0.35	85.0	0.00	0.30	0.00	0.30
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,039.09		\$0.00	\$1,733.22	\$0.00	\$1,733.22
*** BROKER TRANSACTIONS TOTAL ***			\$1,641.04	\$2,089.84		\$0.00	\$1,776.37	\$0.00	\$1,776.37

ADJUSTMENTS

01/20/2018	ADMIN FEE: ADMIN FEE	-326.00
01/20/2018	E & O INSURANCE: E & O INSURANCE	-249.00
*** ADJUSTMENTS TOTAL ***		\$-575.00

BROKER COMMISSION TOTALS

Broker Transactions	\$1,776.37
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-575.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-410.71
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$790.66
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