

**COMMISSION STATEMENT****February 28, 2018**

DAMIAN, D127 DERING
165 Culver Blvd
Suite A
Playa Del Rey, CA 90293

BROKER #: D127
BRANCH: DAMIAN DERING

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u>								
01/29/2018	DERING, DAMIAN	BOURNE SENIORS HOUSING III	43,010.75	0.00	0.00	0.00	92.0	0.00
02/05/2018	AMIN FOUNDATION	TRILINC GLOBAL IMPACT FUND C	0.00	21.13	0.00	21.13	92.0	19.44
* PRIVATE PLACEMENT SUBTOTAL *			\$43,010.75	\$21.13	\$0.00	\$21.13		\$19.44
<u>PRODUCT CATEGORY: 529 PLANS</u>								
/ /	MORALES, ERIC	J HANCOCK PORTFOLIO 2017-2020 C2	0.00	2.00	0.00	2.00	92.0	1.84
02/15/2018	MORALES, ERIC	JH 529 PORT 2021-2024 A	150.00	6.38	0.00	6.38	92.0	5.87
02/15/2018	MORALES, ERIC	JH 529 PORT 2021-2024 A	150.00	6.38	0.00	6.38	92.0	5.87
02/13/2018	MARTINEZ, ELSA	NEA AGE-BASED GROWTH 6-10 A	500.00	15.00	0.00	15.00	92.0	13.80
* 529 PLANS SUBTOTAL *			\$800.00	\$29.76	\$0.00	\$29.76		\$27.38
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/05/2018	ANDREWS, LISA	AM FUNDS GROWTH FUND OF AMERICA A	500.00	18.75	0.00	18.75	92.0	17.25
02/09/2018	ANDREWS, LISA	OPPENHEIMER GLOBAL A	1,000.00	47.50	0.00	47.50	92.0	43.70
02/05/2018	HAVENS, JACK	OPPENHEIMER PORTFOLIO SERIRES: MOD	500.00	5.00	0.00	5.00	92.0	4.60
* MUTUAL FUNDS SUBTOTAL *			\$2,000.00	\$71.25	\$0.00	\$71.25		\$65.55
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
01/11/2018	BAUTISTA, MARYANN	TRANSAMERICA LIBERTY	199,352.55	166.13	0.00	166.13	92.0	152.84
* VARIABLE ANNUITIES SUBTOTAL *			\$199,352.55	\$166.13	\$0.00	\$166.13		\$152.84
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/16/2016	SUTZ, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.98	0.00	3.98	92.0	3.66
03/15/2016	SUTZ, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.59	0.00	3.59	92.0	3.30
04/20/2016	SUTZ, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.09	0.00	4.09	92.0	3.76
05/16/2016	SUTZ, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.09	0.00	4.09	92.0	3.76
06/15/2016	SUTZ, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.23	0.00	4.23	92.0	3.89
07/18/2016	SUTZ, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.15	0.00	4.15	92.0	3.82

NOTES: * - Indicates adjustment is not included in 1099 Earnings

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/15/2016	SUTZ, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.40	0.00	4.40	92.0	4.05
09/16/2016	SUTZ, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.52	0.00	4.52	92.0	4.16
10/17/2016	SUTZ, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.36	0.00	4.36	92.0	4.01
11/18/2016	SUTZ, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.53	0.00	4.53	92.0	4.17
12/15/2016	SUTZ, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.39	0.00	4.39	92.0	4.04
02/12/2016	SUTZ, JACK	FIDELITY DIVIDEND GROWTH A	0.00	3.24	0.00	3.24	92.0	2.98
03/17/2016	SUTZ, JACK	FIDELITY DIVIDEND GROWTH A	0.00	2.99	0.00	2.99	92.0	2.75
04/19/2016	SUTZ, JACK	FIDELITY DIVIDEND GROWTH A	0.00	3.38	0.00	3.38	92.0	3.11
05/24/2016	SUTZ, JACK	FIDELITY DIVIDEND GROWTH A	0.00	3.33	0.00	3.33	92.0	3.06
06/15/2016	SUTZ, JACK	FIDELITY DIVIDEND GROWTH A	0.00	3.42	0.00	3.42	92.0	3.15
07/19/2016	SUTZ, JACK	FIDELITY DIVIDEND GROWTH A	0.00	3.32	0.00	3.32	92.0	3.05
08/16/2016	SUTZ, JACK	FIDELITY DIVIDEND GROWTH A	0.00	3.53	0.00	3.53	92.0	3.25
09/19/2016	SUTZ, JACK	FIDELITY DIVIDEND GROWTH A	0.00	3.59	0.00	3.59	92.0	3.30
10/19/2016	SUTZ, JACK	FIDELITY DIVIDEND GROWTH A	0.00	3.45	0.00	3.45	92.0	3.17
11/18/2016	SUTZ, JACK	FIDELITY DIVIDEND GROWTH A	0.00	3.55	0.00	3.55	92.0	3.27
12/16/2016	SUTZ, JACK	FIDELITY DIVIDEND GROWTH A	0.00	3.46	0.00	3.46	92.0	3.18
02/22/2016	SUTZ, JACK	OPPENHEIMER GLOBAL A	0.00	1.61	0.00	1.61	92.0	1.48
03/17/2016	SUTZ, JACK	OPPENHEIMER GLOBAL A	0.00	1.42	0.00	1.42	92.0	1.31
04/21/2016	SUTZ, JACK	OPPENHEIMER GLOBAL A	0.00	1.62	0.00	1.62	92.0	1.49
05/19/2016	SUTZ, JACK	OPPENHEIMER GLOBAL A	0.00	1.60	0.00	1.60	92.0	1.47
06/30/2016	SUTZ, JACK	OPPENHEIMER GLOBAL A	0.00	1.64	0.00	1.64	92.0	1.51
07/18/2016	SUTZ, JACK	OPPENHEIMER GLOBAL A	0.00	1.57	0.00	1.57	92.0	1.44
08/24/2016	SUTZ, JACK	OPPENHEIMER GLOBAL A	0.00	1.65	0.00	1.65	92.0	1.52
09/22/2016	SUTZ, JACK	OPPENHEIMER GLOBAL A	0.00	1.73	0.00	1.73	92.0	1.59
10/21/2016	SUTZ, JACK	OPPENHEIMER GLOBAL A	0.00	1.68	0.00	1.68	92.0	1.55
11/21/2016	SUTZ, JACK	OPPENHEIMER GLOBAL A	0.00	1.73	0.00	1.73	92.0	1.59
12/19/2016	SUTZ, JACK	OPPENHEIMER GLOBAL A	0.00	1.67	0.00	1.67	92.0	1.54
02/22/2016	SUTZ, JACK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	3.04	0.00	3.04	92.0	2.80
03/17/2016	SUTZ, JACK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	2.82	0.00	2.82	92.0	2.59
04/21/2016	SUTZ, JACK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	3.24	0.00	3.24	92.0	2.98
05/19/2016	SUTZ, JACK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	3.23	0.00	3.23	92.0	2.97
06/30/2016	SUTZ, JACK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	3.35	0.00	3.35	92.0	3.08
07/18/2016	SUTZ, JACK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	3.30	0.00	3.30	92.0	3.04

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
08/24/2016	SUTZ, JACK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	3.51	0.00	3.51	92.0	3.23
09/22/2016	SUTZ, JACK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	3.53	0.00	3.53	92.0	3.25
10/21/2016	SUTZ, JACK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	3.43	0.00	3.43	92.0	3.16
11/21/2016	SUTZ, JACK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	3.53	0.00	3.53	92.0	3.25
12/19/2016	SUTZ, JACK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	3.46	0.00	3.46	92.0	3.18
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$137.95	\$0.00	\$137.95		\$126.91
*** DIRECT TRANSACTIONS TOTAL ***			\$245,163.30	\$426.22	\$0.00	\$426.22		\$392.12

BROKER COMMISSION TOTALS

Broker Transactions	\$392.12
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

Check Amount	\$392.12
Year-to-date Gross	\$19,677.92
Year-to-date Earnings	\$18,018.14

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