

COMMISSION STATEMENT**September 29, 2017**ARTHUR KITTELSTAD
3316 N FRONTAGE ROADBROKER #: 6
BRANCH: HOME OFFICE

PLANT CITY, FL 33565

COMMISSION STATEMENT for ARTHUR KITTELSTAD

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
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BROKER TRANSACTIONS**PRODUCT CATEGORY: STOCKS**

| | | | | | | | | | | |
|------------|-----------|---------------------|---------------------------------------|---|------------|--------|-------|--------|------|--------|
| 08/30/2017 | QGW001307 | SMALL, WAYNE | GUESS INC | S | -4,804.32 | 125.00 | 11.50 | 113.50 | 85.0 | 94.75 |
| 09/13/2017 | QGW001307 | SMALL, WAYNE | VERIFONE SYS INC COM | S | -5,317.78 | 138.00 | 11.25 | 126.75 | 85.0 | 106.05 |
| 09/18/2017 | QGW001307 | SMALL, WAYNE | SYMANTEC CORPORATION | S | -6,671.00 | 173.00 | 11.00 | 162.00 | 85.0 | 136.05 |
| 09/06/2017 | QGW001323 | KNUDSON, BENJAMIN | G-III APPAREL GROUP LTD | S | -6,084.00 | 158.00 | 11.00 | 147.00 | 85.0 | 123.30 |
| 09/06/2017 | QGW001323 | KNUDSON, BENJAMIN | INTERNATIONAL BUSINESS MACHINES COR B | | 5,760.33 | 167.00 | 10.20 | 156.80 | 85.0 | 131.75 |
| 09/06/2017 | QGW001323 | KNUDSON, BENJAMIN | YRC WORLDWIDE INC | B | 5,354.00 | 155.00 | 12.00 | 143.00 | 85.0 | 119.75 |
| 08/29/2017 | QGW018095 | GRAMPP, RAYMOND | CELESTICA INC | B | 4,546.80 | 135.00 | 12.00 | 123.00 | 85.0 | 102.75 |
| 09/18/2017 | QGW018095 | GRAMPP, RAYMOND | SYMANTEC CORPORATION | S | -6,710.68 | 176.00 | 11.00 | 165.00 | 85.0 | 138.60 |
| 09/18/2017 | QGW018483 | KNUDSON, BENJAMIN | SYMANTEC CORPORATION | S | -6,676.20 | 173.00 | 11.00 | 162.00 | 85.0 | 136.05 |
| 09/05/2017 | QGW018491 | HOBGOOD, ROBIN | DINEEQUITY INC | B | 7,958.00 | 198.00 | 11.00 | 187.00 | 85.0 | 157.30 |
| 09/05/2017 | QGW018491 | HOBGOOD, ROBIN | NEW YORK COMMUNITY BANCORP INC | B | 5,954.20 | 148.00 | 12.50 | 135.50 | 85.0 | 113.30 |
| 09/06/2017 | QGW018525 | WAYMEL, RAYMOND | DINEEQUITY INC | B | 5,905.20 | 171.00 | 10.75 | 160.25 | 85.0 | 134.60 |
| 09/06/2017 | QGW018525 | WAYMEL, RAYMOND | YRC WORLDWIDE INC | B | 9,432.50 | 273.00 | 13.50 | 259.50 | 85.0 | 218.55 |
| 09/07/2017 | QGW018541 | LUNCEFORD, WENDELL | DINEEQUITY INC | B | 5,692.49 | 164.00 | 10.75 | 153.25 | 85.0 | 128.65 |
| 09/07/2017 | QGW018541 | LUNCEFORD, WENDELL | YRC WORLDWIDE INC | B | 6,699.95 | 194.00 | 12.50 | 181.50 | 85.0 | 152.40 |
| 09/18/2017 | QGW018541 | LUNCEFORD, WENDELL | SYMANTEC CORPORATION | S | -10,009.50 | 260.00 | 11.50 | 248.50 | 85.0 | 209.50 |
| 09/11/2017 | QGW018590 | NEWTON, ROBERT | CELESTICA INC | B | 3,680.43 | 98.00 | 11.50 | 86.50 | 85.0 | 71.80 |
| 08/29/2017 | QGW018624 | BRYANT, RONALD | INTERNATIONAL BUSINESS MACHINES COR B | | 7,161.41 | 207.00 | 10.25 | 196.75 | 85.0 | 165.70 |
| 09/19/2017 | QGW018624 | BRYANT, RONALD | DINEEQUITY INC | B | 3,938.99 | 114.00 | 10.50 | 103.50 | 85.0 | 86.40 |
| 09/19/2017 | QGW018624 | BRYANT, RONALD | TEVA PHARMACEUTICAL INDUSTRIES LIM B | | 1,715.90 | 75.00 | 10.50 | 64.50 | 85.0 | 53.25 |
| 09/14/2017 | QGW018632 | ROHDE, JEFFREY | VERIFONE SYS INC COM | S | -5,205.88 | 135.00 | 11.25 | 123.75 | 85.0 | 103.50 |
| 09/07/2017 | QGW018657 | KNAUF, STEPHEN | NEW YORK COMMUNITY BANCORP INC | B | 2,359.30 | 75.00 | 11.00 | 64.00 | 85.0 | 52.75 |
| 09/20/2017 | QGW018657 | KNAUF, STEPHEN | SYMANTEC CORPORATION | S | -6,752.68 | 175.00 | 11.00 | 164.00 | 85.0 | 137.75 |
| 09/06/2017 | QGW018756 | YEM, ALEX | AT&T INC | B | 5,343.25 | 154.00 | 10.73 | 143.27 | 85.0 | 120.17 |
| 08/30/2017 | QGW018798 | SENTZ, ROBERT | GLOBAL X FDS GLOBAL X SUPERDIVIDEND B | | 5,038.56 | 100.00 | 11.00 | 89.00 | 85.0 | 74.00 |
| 09/20/2017 | QGW018798 | SENTZ, ROBERT | DINEEQUITY INC | B | 3,996.34 | 80.00 | 10.50 | 69.50 | 85.0 | 57.50 |
| 09/18/2017 | QGW018830 | PENNINGTON, CHARLES | SYMANTEC CORPORATION | S | -5,003.25 | 130.00 | 10.75 | 119.25 | 85.0 | 99.75 |
| 09/06/2017 | QGW018947 | BAIN, STEVEN | NEW YORK COMMUNITY BANCORP INC | B | 4,209.28 | 121.00 | 11.75 | 109.25 | 85.0 | 91.10 |
| 09/05/2017 | QGW018954 | EGGLESTON, LYNN | DINEEQUITY INC | B | 2,984.99 | 88.00 | 10.38 | 77.62 | 85.0 | 64.42 |
| 09/06/2017 | QGW018954 | EGGLESTON, LYNN | G-III APPAREL GROUP LTD | S | -6,098.40 | 158.00 | 11.00 | 147.00 | 85.0 | 123.30 |
| 09/05/2017 | QGW018962 | EGGLESTON, NICHOLAS | INTERNATIONAL BUSINESS MACHINES COR B | | 1,430.88 | 60.00 | 10.05 | 49.95 | 85.0 | 40.95 |

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|---|-----------|---------------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|-------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | | |
| 09/06/2017 | QGW019119 | HAECKER, GREG | DINEEQUITY INC | B | 5,902.53 | 173.00 | 10.75 | 162.25 | 85.0 136.30 |
| 09/06/2017 | QGW019119 | HAECKER, GREG | G-III APPAREL GROUP LTD | S | -6,092.00 | 158.00 | 11.00 | 147.00 | 85.0 123.30 |
| 09/06/2017 | QGW019119 | HAECKER, GREG | GLOBAL X FDS GLOBAL X SUPERDIVIDEND B | | 5,025.54 | 145.00 | 11.00 | 134.00 | 85.0 112.25 |
| 09/06/2017 | QGW019119 | HAECKER, GREG | NEW YORK COMMUNITY BANCORP INC | B | 4,795.96 | 139.00 | 12.00 | 127.00 | 85.0 106.15 |
| 09/13/2017 | QGW019119 | HAECKER, GREG | VERIFONE SYS INC COM | S | -5,267.78 | 137.00 | 11.25 | 125.75 | 85.0 105.20 |
| 09/26/2017 | QGW019119 | HAECKER, GREG | QUALCOMM INC | B | 6,111.18 | 177.00 | 10.60 | 166.40 | 85.0 139.85 |
| 09/26/2017 | QGW019119 | HAECKER, GREG | TEVA PHARMACEUTICAL INDUSTRIES LIM B | | 5,176.95 | 150.00 | 11.50 | 138.50 | 85.0 116.00 |
| 09/26/2017 | QGW019119 | HAECKER, GREG | TUTOR PERINI CORPORATION | B | 5,609.80 | 162.00 | 11.00 | 151.00 | 85.0 126.70 |
| 09/26/2017 | QGW019119 | HAECKER, GREG | YRC WORLDWIDE INC | B | 6,572.50 | 191.00 | 12.50 | 178.50 | 85.0 149.85 |
| 08/29/2017 | QGW019218 | POTI, NORMAN | VERIFONE SYS INC COM | S | -5,773.05 | 150.00 | 11.50 | 138.50 | 85.0 116.00 |
| 09/19/2017 | QGW019218 | POTI, NORMAN | TEVA PHARMACEUTICAL INDUSTRIES LIM B | | 5,153.97 | 149.00 | 11.50 | 137.50 | 85.0 115.15 |
| 09/19/2017 | QGW019218 | POTI, NORMAN | YRC WORLDWIDE INC | B | 5,071.56 | 146.00 | 12.00 | 134.00 | 85.0 112.10 |
| 09/05/2017 | QGW019234 | RF LAFFERTY & CO | CATERPILLAR INC | S | -5,918.85 | 153.00 | 10.25 | 142.75 | 85.0 119.80 |
| 09/05/2017 | QGW019234 | RF LAFFERTY & CO | GILEAD SCIENCES INC | S | -7,907.18 | 204.00 | 10.48 | 193.52 | 85.0 162.92 |
| 09/13/2017 | QGW019440 | DOMB, CARALINE | VERIFONE SYS INC COM | S | -3,184.05 | 77.00 | 10.75 | 66.25 | 85.0 54.70 |
| 09/08/2017 | QGW024747 | WAYMEL, RAYMOND | SUNTRUST BANKS INC | B | 10,501.30 | 298.00 | 11.00 | 287.00 | 85.0 242.30 |
| 09/18/2017 | QGW024747 | WAYMEL, RAYMOND | SYMANTEC CORPORATION | S | -16,771.15 | 435.00 | 12.50 | 422.50 | 85.0 357.25 |
| 09/12/2017 | QGW024812 | PAGLIA, JAMES | GILEAD SCIENCES INC | S | -2,359.00 | 75.00 | 10.14 | 64.86 | 85.0 53.61 |
| 09/06/2017 | QGW024853 | LEO P LEBEL, SEP | G-III APPAREL GROUP LTD | S | -6,072.12 | 158.00 | 11.00 | 147.00 | 85.0 123.30 |
| 09/18/2017 | QGW024960 | ABLES, BRIAN | SYMANTEC CORPORATION | S | -3,346.01 | 86.00 | 10.50 | 75.50 | 85.0 62.60 |
| 09/19/2017 | QGW025454 | HOFFMAN, PATRICIA | LAS VEGAS SANDS CORP | S | -6,483.35 | 167.00 | 10.50 | 156.50 | 85.0 131.45 |
| 09/25/2017 | QGW025942 | MCEVOY JT TEN, | TEVA PHARMACEUTICAL INDUSTRIES LIM B | | 5,147.76 | 149.00 | 11.50 | 137.50 | 85.0 115.15 |
| 09/20/2017 | QGW028979 | DEKKER, KATHIE | TEVA PHARMACEUTICAL INDUSTRIES LIM B | | 3,411.84 | 98.00 | 11.00 | 87.00 | 85.0 72.30 |
| 09/06/2017 | QGW029597 | M. PESSETTI JT TEN, | G-III APPAREL GROUP LTD | S | -3,042.11 | 79.00 | 10.50 | 68.50 | 85.0 56.65 |
| 09/06/2017 | QGW030686 | LUNCEFORD, JOHN | DINEEQUITY INC | B | 2,998.12 | 86.00 | 10.38 | 75.62 | 85.0 62.72 |
| 09/11/2017 | QGW031189 | JOHNSON, KENNETH | INTERNATIONAL BUSINESS MACHINES COR B | | 5,745.25 | 165.00 | 10.20 | 154.80 | 85.0 130.05 |
| 09/06/2017 | QGW031692 | BARFIELD, BARBARA | DINEEQUITY INC | B | 4,008.62 | 119.00 | 10.50 | 108.50 | 85.0 90.65 |
| 09/19/2017 | QGW031700 | BARFIELD, BARBARA | LAS VEGAS SANDS CORP | S | -6,459.01 | 169.00 | 10.50 | 158.50 | 85.0 133.15 |
| * STOCKS SUBTOTAL * | | | | | \$32,386.33 | \$8,973.00 | \$653.91 | \$8,319.09 | \$6,973.14 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 09/15/2017 | QGW018491 | HOBGOOD, ROBIN | BOND A | B | 0.00 | 3.10 | 0.00 | 3.10 | 85.0 2.64 |
| 09/15/2017 | QGW018574 | STEPANEK, CATHERINE | JOHN HANCOCK FDS II NEW OPPORTUNITI B | | 0.00 | 5.67 | 0.00 | 5.67 | 85.0 4.82 |
| 09/15/2017 | QGW018798 | SENTZ, ROBERT | LARGE CAP EQUITY A | B | 0.00 | 0.13 | 0.00 | 0.13 | 85.0 0.11 |
| 09/15/2017 | QGW019150 | RICHARDSON, MARY | JOHN HANCOCK FDS III STRATEGIC GROW B | | 0.00 | 0.08 | 0.00 | 0.08 | 85.0 0.07 |
| 09/14/2017 | QGW024838 | STEPANEK, DENNIS | JP MORGAN LIMITED DURATION BOND FUN B | | 0.00 | 19.93 | 0.00 | 19.93 | 85.0 16.94 |
| 09/15/2017 | QGW024879 | DERTOUZOS, JAMES | JOHN HANCOCK FDS II NEW OPPORTUNITI B | | 0.00 | 2.58 | 0.00 | 2.58 | 85.0 2.19 |
| 09/15/2017 | QGW024879 | DERTOUZOS, JAMES | REGIONAL BANK A | B | 0.00 | 2.18 | 0.00 | 2.18 | 85.0 1.85 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | | \$0.00 | \$33.67 | \$0.00 | \$33.67 | \$28.62 |

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|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

ADJUSTMENTS

| | | | | | |
|-----------------------------------|-------------|------------|----------|------------|------------|
| *** BROKER TRANSACTIONS TOTAL *** | \$32,386.33 | \$9,006.67 | \$653.91 | \$8,352.76 | \$7,001.76 |
|-----------------------------------|-------------|------------|----------|------------|------------|

ADJUSTMENTS

| | | | | | | |
|---------------------------|-------------------------------------|--------|--------|--------|--------|---------|
| 09/29/2017 | OTHER: COMPLIANCE AND TECHNOLOGY | 0.00 | 0.00 | 0.00 | 0.00 | -20.00 |
| 09/29/2017 | OTHER: OTHER-360 OFFICE | 0.00 | 0.00 | 0.00 | 0.00 | -15.00 |
| 09/29/2017 | OTHER: OTHER-ADJUSTMENT TO TICKET C | 0.00 | 0.00 | 0.00 | 0.00 | 55.12 |
| *** ADJUSTMENTS TOTAL *** | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$20.12 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$7,001.76 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$20.12 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$-11.26 |
| SIPC Assessment | \$-22.52 |

| | |
|-----------------------|-------------|
| Check Amount | \$6,988.10 |
| Year-to-date Earnings | \$22,587.27 |