

All Companies  
**STATEMENT**  
**June 20, 2018**

ERIK EXISTING DODDS

BROKER #: 055  
BRANCH: LA BRANCH

, CA

COMMISSION STATEMENT for ERIK EXISTING DODDS

| TRADE DATE                                   | CLIENT | INVESTMENT                            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | POSTAGE       | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------|---------------------------------------|-----|----------------------|---------------------|--------------------|---------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |        |                                       |     |                      |                     |                    |               |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |        |                                       |     |                      |                     |                    |               |                   |      |                      |
| 04/03/0018 #04000412108                      | MARSH  | AMERICAN FUNDS 24071706               | B   | 100.00               | 1.00                | 0.00               | 0.00          | 1.00              | 89.0 | 0.89                 |
| 04/03/0018 #00089192044                      | MARSH  | BALANCED PORTFOLIO-529C               | B   | 100.00               | 1.00                | 0.00               | 0.00          | 1.00              | 89.0 | 0.89                 |
| 04/03/0018 #00089192056                      | MARSH  | BALANCED PORTFOLIO-529C               | B   | 100.00               | 1.00                | 0.00               | 0.00          | 1.00              | 89.0 | 0.89                 |
| 04/03/0018 #00089610172                      | MARSH  | BALANCED PORTFOLIO-529C               | B   | 100.00               | 1.00                | 0.00               | 0.00          | 1.00              | 89.0 | 0.89                 |
| 05/01/2018 # RYAN, ERICA                     |        | EATON VANCE INCOME FD BOSTON INC IN S |     | 13,650.49            | 50.00               | 20.00              | 0.00          | 30.00             | 89.0 | 26.70                |
| 05/07/2018 # HARTMAN, JAMES                  |        | FIDELITY GNMA FUNDS 31617K105         | S   | 18,619.88            | 50.00               | 20.00              | 0.00          | 30.00             | 89.0 | 26.70                |
| 05/07/2018 #000000007583152                  | BOYKI  | FRANKLIN032                           | B   | 50.00                | 0.50                | 0.00               | 0.00          | 0.50              | 89.0 | 0.45                 |
| 05/10/2018 #00089601647                      | HARRIS | AMERICAN FUNDS 02630Y240              | B   | 60.00                | 0.60                | 0.00               | 0.00          | 0.60              | 89.0 | 0.53                 |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>             |        |                                       |     | <b>\$32,780.37</b>   | <b>\$105.10</b>     | <b>\$40.00</b>     | <b>\$0.00</b> | <b>\$65.10</b>    |      | <b>\$57.94</b>       |

**PRODUCT CATEGORY: STOCKS**

|                               |                                |   |          |      |      |      |      |      |      |
|-------------------------------|--------------------------------|---|----------|------|------|------|------|------|------|
| 04/27/2018 # MARIANO, RUSSELL | ***AXALTA COATING SYSTEMS LTD  | S | 248.66   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | ***ICON PLC                    | S | 235.76   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | ABSOLUTE SHARES TRUST          | S | 379.50   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | ABSOLUTE SHARES TRUST          | S | 890.96   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | ABSOLUTE SHARES TRUST          | S | 762.60   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | ABSOLUTE SHARES TRUST          | S | 1,029.60 | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | ABSOLUTE SHARES TRUST          | S | 802.48   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | ABSOLUTE SHARES TRUST          | S | 786.72   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | ABSOLUTE SHARES TRUST          | S | 1,114.13 | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | ABSOLUTE SHARES TRUST          | S | 1,031.56 | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | ABSOLUTE SHARES TRUST          | S | 1,114.08 | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | ABSOLUTE SHARES TRUST          | S | 531.20   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | APPLE INC                      | S | 324.38   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | ARISTA NETWORKS INC COM        | S | 522.30   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | BANK NEW YORK MELLON CORP      | S | 276.51   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | BANK OF AMERICA CORP           | S | 331.76   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | BANK OF THE OZARKS INC         | S | 380.34   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | BLACKROCK INC                  | S | 524.56   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | BORG WARNER AUTOMOTIVE INC     | S | 248.45   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |
| 04/27/2018 # MARIANO, RUSSELL | BROADRIDGE FINANCIAL SOLUTIONS | S | 321.93   | 0.00 | 0.00 | 0.00 | 0.00 | 89.0 | 0.00 |

COMMISSION STATEMENT for ERIK EXISTING DODDS

| TRADE DATE                      | CLIENT           | INVESTMENT                            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | POSTAGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------|------------------|---------------------------------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>      |                  |                                       |     |                      |                     |                    |         |                   |      |                      |
| <u>PRODUCT CATEGORY: STOCKS</u> |                  |                                       |     |                      |                     |                    |         |                   |      |                      |
| 04/27/2018 #                    | MARIANO, RUSSELL | CBRE GROUP INC                        | S   | 364.80               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | COCA COLA COMPANY (THE)               | S   | 216.41               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | COPART INC                            | S   | 360.94               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | CRANE CO                              | S   | 340.04               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | DOLBY LABORATORIES INC CL A           | S   | 301.36               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | DOMINOS PIZZA INC                     | S   | 247.86               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | DUNKIN BRANDS GROUP INC               | S   | 243.05               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | EAGLE MATERIALS INC                   | S   | 202.22               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | ECOLAB INC                            | S   | 293.96               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | EMCOR GROUP INC                       | S   | 225.12               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | ENTEGRIS INC                          | S   | 294.75               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | EVERCORE INC                          | S   | 200.50               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | FORTINET INC                          | S   | 331.22               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | GRACO INC                             | S   | 312.06               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | GRUBHUB INC                           | S   | 395.57               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | GUIDEWIRE SOFTWARE INC                | S   | 255.45               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | IAC / INTERACTIVECORP                 | S   | 316.71               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | ICU MEDICAL INC                       | S   | 255.88               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | JOHNSON & JOHNSON                     | S   | 256.21               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | LIVE NATION ENTERTAINMENT INC         | S   | 318.50               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | MASTERCARD INC                        | S   | 351.10               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | MCCORMICK & CO INC NON-VOTING         | S   | 212.91               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | MERCADOLIBRE INC                      | S   | 340.40               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | MERCK & CO INC                        | S   | 356.72               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | METLIFE INC                           | S   | 289.32               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | MICROSOFT CORP                        | S   | 380.86               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | MIDDLEBY CORP                         | S   | 256.08               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | NESTLE SA-SPONSORED ADR REPSTG REGD S | S   | 232.38               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | NEXTERA ENERGY INC                    | S   | 327.45               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | NORDSON CORP                          | S   | 261.49               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | NUTANIX INC CL A                      | S   | 493.83               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | OLD DOMINION FREIGHT LINES INC        | S   | 400.15               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | HARTMAN, MARILYN | PETMED EXPRESS INC                    | S   | 3,488.38             | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 04/27/2018 #                    | MARIANO, RUSSELL | PFIZER INC                            | S   | 295.96               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | PHILLIPS 66 COM                       | S   | 223.32               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | PPG INDUSTRIES INC                    | S   | 215.92               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | PULTEGROUP INC                        | S   | 406.80               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | RAYTHEON CO COM                       | S   | 203.55               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | REINSURANCE GROUP OF AMERICA          | S   | 307.86               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL | SCHLUMBERGER LTD                      | S   | 208.16               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |

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| TRADE DATE                      | CLIENT            | INVESTMENT                          | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | POSTAGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------|-------------------|-------------------------------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>      |                   |                                     |     |                      |                     |                    |         |                   |      |                      |
| <u>PRODUCT CATEGORY: STOCKS</u> |                   |                                     |     |                      |                     |                    |         |                   |      |                      |
| 04/27/2018 #                    | MARIANO, RUSSELL  | SPLUNK INC COM                      | S   | 406.48               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | SYSCO CORP                          | S   | 316.31               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | TERADATA CORP                       | S   | 286.25               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | TIME WARNER INC NEW                 | S   | 283.59               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | TOTAL SYSTEM SERVICES INC           | S   | 415.80               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | TRACTOR SUPPLY CO                   | S   | 205.00               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | TRIMBLE INC                         | S   | 280.24               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, DANIELLE | TTM TECHNOLOGIES INC                | S   | 1,019.70             | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | PLOEN, ALLISON    | TTM TECHNOLOGIES INC                | S   | 1,005.54             | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | ULTIMATE SOFTWARE GROUP INC         | S   | 241.15               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | UNITED RENTALS INC                  | S   | 467.82               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | UNITEDHEALTH GROUP INC              | S   | 239.77               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | US BANCORP DEL COM NEW              | S   | 256.36               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | VAIL RESORTS INC                    | S   | 228.72               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | VEEVA SYSTEMS INC                   | S   | 424.68               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | VISA INC                            | S   | 251.86               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | WEC ENERGY GROUP INC                | S   | 323.05               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | WESTERN ALLIANCE                    | S   | 237.93               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | WEYERHAEUSER CO                     | S   | 370.45               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | WYNDHAM WORLDWIDE CORPORATION       | S   | 231.31               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/27/2018 #                    | MARIANO, RUSSELL  | ZOETIS INC                          | S   | 338.29               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 04/30/2018 #                    | HARTMAN, MARILYN  | PPL CORPORATION                     | B   | 2,920.90             | 30.00               | 19.95              | 0.00    | 10.05             | 89.0 | 8.94                 |
| 05/01/2018 #                    | RYAN, ERICA       | BLACKROCK INC                       | S   | 514.59               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | BLACKSTONE GROUP L P                | S   | 495.52               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | FQF TR                              | S   | 930.55               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | FQF TR                              | S   | 405.51               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | GABELLI DIVIDEND & INCOME FUND      | S   | 10,963.00            | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | GENERAL MOTORS COMPANY              | S   | 3,615.25             | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | INDEXIQ ETF TR                      | S   | 521.93               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | INDEXIQ ETF TR                      | S   | 492.16               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | GAY, LEO          | ISHARES CORE S&P 500 ETF            | B   | 528.62               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/01/2018 #                    | RYAN, ERICA       | ISHARES GOLD TRUST                  | S   | 488.67               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | ISHARES INC                         | S   | 1,094.04             | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | ISHARES NASDAQ BIOTECHNOLOGY INDEX  | S   | 621.06               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    |                   | ISHARES RUSSELL 2000 VALUE ETF      | B   | 2,455.95             | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/01/2018 #                    |                   | ISHARES RUSSELL MID CAP VALUE       | S   | 2,750.16             | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/01/2018 #                    | RYAN, ERICA       | ISHARES TR                          | S   | 2,375.08             | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | ISHARES TR BARCLAYS TREAS INFLATION | S   | 3,132.15             | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | ISHARES TR FTSE NAREIT RESIDENTIAL  | S   | 821.56               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | ISHARES TR S&P MODERATE ALLOCATION  | S   | 3,738.01             | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |

COMMISSION STATEMENT for ERIK EXISTING DODDS

| TRADE DATE                      | CLIENT            | INVESTMENT                            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | POSTAGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------|-------------------|---------------------------------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>      |                   |                                       |     |                      |                     |                    |         |                   |      |                      |
| <u>PRODUCT CATEGORY: STOCKS</u> |                   |                                       |     |                      |                     |                    |         |                   |      |                      |
| 05/01/2018 #                    | RYAN, ERICA       | ISHARES TRUST ISHARES EDGE MSCI MIN S |     | 1,475.80             | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | ISHARES TRUST ISHARES EDGE MSCI MIN S |     | 517.93               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    |                   | ISHARES TRUST RUSSELL 2000 GROWTH I B |     | 1,135.67             | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/01/2018 #                    |                   | ISHARES TRUST S&P 500 VALUE INDEX F S |     | 2,282.91             | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/01/2018 #                    | RYAN, ERICA       | ISHARES TRUST S&P GLOBAL              | S   | 797.60               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | CHU, WILLIAM      | LIBERTY GLOBAL PLC CLASS C            | B   | 2,826.95             | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/01/2018 #                    |                   | LIBERTY GLOBAL PLC CLASS C            | B   | 1,599.08             | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/01/2018 #                    | RYAN, ERICA       | POWERSHARES EXCHANGE TRADED           | S   | 3,430.42             | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | POWERSHARES EXCHANGE TRADED FD        | S   | 542.08               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | POWERSHARES EXCHANGE-TRADED           | S   | 1,914.17             | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | POWERSHARES GLOBAL LISTED             | S   | 530.20               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | SCHWAB STRATEGIC TR                   | S   | 6,647.89             | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    |                   | SELECT SECTOR SPDR TRUST SHS BEN IN B |     | 1,304.28             | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/01/2018 #                    | RYAN, ERICA       | SPDR INDEX SHARES FUNDS               | S   | 524.10               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | SPDR INDEX SHS FDS                    | S   | 896.99               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | SPDR SERIES TRUST                     | S   | 8,989.20             | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | SPDR SPDR BLOOMBERG BARCLAYS INVSTM S |     | 30,735.02            | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | UNITED STS COMMODITY INDEX FD COMMO S |     | 482.68               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | UTS MOTORS LIQUIDATION COMPANY        | S   | 189.20               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | VANGUARD INDEX FUNDS                  | S   | 590.00               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | VANGUARD INDEX FUNDS VANGUARD HIGH S  |     | 3,284.50             | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | VANGUARD SECTOR INDEX FDS VANGUARD S  |     | 457.16               | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/01/2018 #                    | RYAN, ERICA       | WTS GENERAL MOTORS COMPANY            | S   | 1,432.60             | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/02/2018 #                    | MARIANO, DANIELLE | COMFORT SYSTEMS USA INC               | S   | 1,008.00             | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/02/2018 #                    | MARIANO, DANIELLE | METHODE ELECTRONICS INC               | S   | 1,252.40             | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/02/2018 #                    | MARIANO, DANIELLE | SPS COMM INC                          | B   | 357.79               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/03/2018 #                    | PLOEN, ALLISON    | HUBSPOT INC                           | B   | 636.00               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/03/2018 #                    | PLOEN, ALLISON    | METHODE ELECTRONICS INC               | S   | 907.35               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/03/2018 #                    | MARIANO, RUSSELL  | PENTAIR PLC SHS                       | S   | 221.51               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/03/2018 #                    | MARIANO, RUSSELL  | PNC FINANCIAL SVCS GROUP INC          | B   | 433.50               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/03/2018 #                    | PLOEN, ALLISON    | SPS COMM INC                          | B   | 428.09               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/03/2018 #                    | PLOEN, ALLISON    | TEXAS ROADHOUSE INC                   | B   | 500.14               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/03/2018 #                    | MARIANO, DANIELLE | TPI COMPOSITES INC                    | B   | 366.08               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/03/2018 #                    | PLOEN, ALLISON    | TPI COMPOSITES INC                    | B   | 343.20               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/04/2018 #                    | EDWARDS, HAROLD   | FIRST TR EXCHANGE-TRADED FD II CONS B |     | 564.76               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/04/2018 #                    | EDWARDS, HAROLD   | SPDR S&P 500 ETF TR                   | B   | 529.68               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/07/2018 #                    | HARTMAN, JAMES    | POWERSHARES EXCHANGE TRADED           | B   | 8,811.39             | 50.00               | 19.95              | 0.00    | 30.05             | 89.0 | 26.74                |
| 05/07/2018 #                    | CHU, WILLIAM      | POWERSHARES QQQ TRUST                 | B   | 24,468.00            | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/07/2018 #                    | CHU, WILLIAM      | POWERSHARES QQQ TRUST                 | B   | 12,483.68            | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/09/2018 #                    | MARIANO, DANIELLE | LYDALL INC                            | S   | 447.15               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |

COMMISSION STATEMENT for ERIK EXISTING DODDS

| TRADE DATE                      | CLIENT            | INVESTMENT                            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | POSTAGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------|-------------------|---------------------------------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>      |                   |                                       |     |                      |                     |                    |         |                   |      |                      |
| <u>PRODUCT CATEGORY: STOCKS</u> |                   |                                       |     |                      |                     |                    |         |                   |      |                      |
| 05/10/2018 #                    | MARIANO, DANIELLE | TPI COMPOSITES INC                    | B   | 308.22               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | MARIANO, DANIELLE | ***LIVANOVA PLC                       | S   | 341.56               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | PLOEN, ALLISON    | ***NOVANTA INC                        | B   | 504.40               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | MARIANO, DANIELLE | BIG LOTS INC COM                      | S   | 248.58               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | MARIANO, DANIELLE | COMFORT SYSTEMS USA INC               | B   | 681.00               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | MARIANO, DANIELLE | ENTEGRIS INC                          | S   | 675.45               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | MARIANO, DANIELLE | HILTON GRAND VACATIONS INC            | B   | 1,049.36             | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | PLOEN, ALLISON    | HILTON GRAND VACATIONS INC            | B   | 1,049.36             | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | MARIANO, DANIELLE | HOULIHAN LOKEY INC                    | S   | 297.24               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | PLOEN, ALLISON    | ICU MEDICAL INC                       | B   | 524.40               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | MARIANO, DANIELLE | INNERWORKINGS INC                     | S   | 279.08               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | MARIANO, DANIELLE | INSTALLED BUILDING PRODUCTS           | S   | 478.80               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | MARIANO, DANIELLE | LCI INDUSTRIES                        | S   | 533.40               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | PLOEN, ALLISON    | LCI INDUSTRIES                        | S   | 711.20               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | MARIANO, DANIELLE | META FINL GROUP INC                   | S   | 322.05               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | MARIANO, DANIELLE | NMI HOLDINGS INC                      | S   | 241.88               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | MARIANO, RUSSELL  | OLD DOMINION FREIGHT LINES INC        | S   | 591.01               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | PLOEN, ALLISON    | OLD DOMINION FREIGHT LINES INC        | S   | 440.65               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | CHU, WILLIAM      | POWERSHARES QQQ TRUST                 | S   | 140,345.53           | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | CHU, WILLIAM      | POWERSHARES QQQ TRUST                 | S   | 71,694.58            | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | CHU, WILLIAM      | PROSHARES ULTRA QQQ                   | B   | 140,309.35           | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | CHU, WILLIAM      | PROSHARES ULTRA QQQ                   | B   | 72,007.50            | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | MARIANO, DANIELLE | SAIA INC                              | S   | 769.00               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | PLOEN, ALLISON    | SCHNITZER STEEL INDUSTRIES INC CL A S |     | 727.26               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | MARIANO, DANIELLE | TEXAS ROADHOUSE INC                   | S   | 373.40               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | PLOEN, ALLISON    | TPI COMPOSITES INC                    | B   | 475.56               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/11/2018 #                    | PLOEN, ALLISON    | WINTRUST FINANCIAL CORP               | B   | 465.00               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/14/2018 #                    | PLOEN, ALLISON    | ***JAZZ PHARMACEUTICALS PLC           | B   | 498.11               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/14/2018 #                    | MARIANO, RUSSELL  | ***JAZZ PHARMACEUTICALS PLC           | B   | 332.08               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/14/2018 #                    | MARIANO, RUSSELL  | IAC / INTERACTIVECORP                 | S   | 588.57               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/14/2018 #                    | PLOEN, ALLISON    | IAC / INTERACTIVECORP                 | S   | 441.43               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/14/2018 #                    | MARIANO, RUSSELL  | OWENS CORNING                         | S   | 534.74               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/14/2018 #                    | PLOEN, ALLISON    | OWENS CORNING                         | S   | 467.90               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/14/2018 #                    | PLOEN, ALLISON    | PATRICK INDUSTRIES INC                | B   | 414.05               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/14/2018 #                    | MARIANO, RUSSELL  | PULTEGROUP INC                        | B   | 404.66               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/14/2018 #                    | PLOEN, ALLISON    | PULTEGROUP INC                        | B   | 622.55               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/14/2018 #                    | PLOEN, ALLISON    | SAGE THERAPEUTICS INC                 | B   | 508.95               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/15/2018 #                    |                   | ISHARES RUSSELL 2000 VALUE ETF        | B   | 514.63               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/15/2018 #                    |                   | SECTOR SPDR TRUST                     | B   | 520.24               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |
| 05/15/2018 #                    | NICHOLSON, JAMES  | SELECT SECTOR SPDR FUND SHS BEN INT B |     | 495.66               | 0.00                | 0.00               | 0.00    | 0.00              | 89.0 | 0.00                 |

COMMISSION STATEMENT for ERIK EXISTING DODDS

| TRADE DATE   | CLIENT                | INVESTMENT                            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | POSTAGE       | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-----------------------|---------------------------------------|-----|----------------------|---------------------|--------------------|---------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                  |                       |                                       |     |                      |                     |                    |               |                   |      |                      |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b>             |                       |                                       |     |                      |                     |                    |               |                   |      |                      |
| 05/15/2018 #                                       | NICHOLSON, JAMES      | VANGUARD INTL EQUITY IND FD FTSE AL B |     | 550.30               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/16/2018 #                                       | ALTMAN, CONNIE        | ISHARES IBOXX \$ HIGH YIELD           | B   | 512.76               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/16/2018 #                                       |                       | ISHARES TR                            | B   | 513.81               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/16/2018 #                                       |                       | SECTOR SPDR TRUST SHS BEN INT TECHN B |     | 623.61               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/17/2018 #                                       |                       | POWERSHARES EXCHANGE TRADED           | B   | 10,344.75            | 50.00               | 19.95              | 0.00          | 30.05             | 89.0 | 26.74                |
| 05/18/2018 #                                       | EDWARDS, HAROLD       | SELECT SECTOR SPDR TRUST THE REAL E B |     | 580.26               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/23/2018 #                                       | MARIANO, DANIELLE     | BIG LOTS INC COM                      | S   | 890.78               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/23/2018 #                                       | PLOEN, ALLISON        | BIG LOTS INC COM                      | S   | 931.27               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/23/2018 #                                       | MARIANO, DANIELLE     | CALLAWAY GOLF CO                      | S   | 204.82               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/23/2018 #                                       | MARIANO, DANIELLE     | CAVCO INDS INC DEL                    | B   | 1,087.20             | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/23/2018 #                                       | PLOEN, ALLISON        | CAVCO INDS INC DEL                    | B   | 906.00               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/23/2018 #                                       | PLOEN, ALLISON        | DELEK US HOLDINGS INC COMMON STOCK    | B   | 453.15               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/23/2018 #                                       | MARIANO, DANIELLE     | FLOTEK INDUSTRIES INC                 | S   | 722.10               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/23/2018 #                                       | PLOEN, ALLISON        | FLOTEK INDUSTRIES INC                 | S   | 314.68               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/23/2018 #                                       | MARIANO, DANIELLE     | MATADOR RESOURCES COMPANY             | B   | 312.00               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/23/2018 #                                       | PLOEN, ALLISON        | MATADOR RESOURCES COMPANY             | B   | 405.60               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/23/2018 #                                       | PICCIONE, CHRISTOPHER | POWERSHARES OPTIMUM YIELD             | B   | 2,775.23             | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/23/2018 #                                       |                       | POWERSHARES OPTIMUM YIELD             | B   | 708.16               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/23/2018 #                                       | PICCIONE, CHRISTOPHER | VANECK VECTORS ETF TR JR GOLD MINER S |     | 2,138.57             | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/23/2018 #                                       |                       | VANECK VECTORS ETF TR JR GOLD MINER S |     | 658.02               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| <b>* STOCKS SUBTOTAL *</b>                         |                       |                                       |     | <b>\$668,304.35</b>  | <b>\$1,830.00</b>   | <b>\$738.15</b>    | <b>\$0.00</b> | <b>\$1,091.85</b> |      | <b>\$971.58</b>      |
| <b><u>PRODUCT CATEGORY: BONDS</u></b>              |                       |                                       |     |                      |                     |                    |               |                   |      |                      |
| 05/01/2018 #                                       | RYAN, ERICA           | COCA COLA ENTERPRISES INC ZERO COUP S |     | 18,690.20            | 93.80               | 25.00              | 0.00          | 68.80             | 89.0 | 61.23                |
| 05/01/2018 #                                       | RYAN, ERICA           | MACK CALI REALTY CORP SR UNSECURED    | S   | 21,809.75            | 332.00              | 25.00              | 0.00          | 307.00            | 89.0 | 273.23               |
| 05/01/2018 #                                       | RYAN, ERICA           | MARATHON OIL CORP                     | S   | 23,630.25            | 298.50              | 25.00              | 0.00          | 273.50            | 89.0 | 243.42               |
| 05/01/2018 #                                       | RYAN, ERICA           | MURPHY OIL CORP SR UNSECURED          | S   | 24,194.25            | 305.75              | 25.00              | 0.00          | 280.75            | 89.0 | 249.87               |
| 05/01/2018 #                                       | RYAN, ERICA           | PLAINS ALL AMERN PIPELINE L P         | S   | 23,103.25            | 291.75              | 25.00              | 0.00          | 266.75            | 89.0 | 237.41               |
| 05/01/2018 #                                       | RYAN, ERICA           | VERIZON NEW YORK INC DEB SER A        | S   | 12,302.20            | 124.00              | 25.00              | 0.00          | 99.00             | 89.0 | 88.11                |
| 05/01/2018 #                                       | RYAN, ERICA           | WEYERHAEUSER CO DEB                   | S   | 12,063.60            | 121.40              | 25.00              | 0.00          | 96.40             | 89.0 | 85.80                |
| 05/02/2018 #                                       | RYAN, ERICA           | SARA LEE CORP NOTES                   | S   | 10,811.60            | 109.20              | 25.00              | 0.00          | 84.20             | 89.0 | 74.94                |
| <b>* BONDS SUBTOTAL *</b>                          |                       |                                       |     | <b>\$146,605.10</b>  | <b>\$1,676.40</b>   | <b>\$200.00</b>    | <b>\$0.00</b> | <b>\$1,476.40</b> |      | <b>\$1,314.01</b>    |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b> |                       |                                       |     |                      |                     |                    |               |                   |      |                      |
| 04/30/0201 #000392809                              | BONVICINI, THOMAS     | PRUDETIAL TRAILS                      | B   | 0.00                 | 0.56                | 0.00               | 0.00          | 0.56              | 89.0 | 0.50                 |
| 04/30/0201 #000392809                              | BONVICINI, THOMAS     | PRUDETIAL TRAILS                      | B   | 0.00                 | 0.56                | 0.00               | 0.00          | 0.56              | 89.0 | 0.50                 |
| 04/30/0201 #000301482                              | BONVICINI, THOMAS     | PRUDETIAL TRAILS                      | B   | 0.00                 | 0.38                | 0.00               | 0.00          | 0.38              | 89.0 | 0.34                 |
| 04/30/0201 #000301482                              | BONVICINI, THOMAS     | PRUDETIAL TRAILS                      | B   | 0.00                 | 0.38                | 0.00               | 0.00          | 0.38              | 89.0 | 0.34                 |
| 05/31/2018 #1019805162                             | FETT, HOLLY           | ELITE ACCESS L                        | B   | 20,057.52            | 16.71               | 0.00               | 0.00          | 16.71             | 89.0 | 14.87                |
| <b>* VARIABLE ANNUITIES SUBTOTAL *</b>             |                       |                                       |     | <b>\$20,057.52</b>   | <b>\$18.59</b>      | <b>\$0.00</b>      | <b>\$0.00</b> | <b>\$18.59</b>    |      | <b>\$16.55</b>       |

COMMISSION STATEMENT for ERIK EXISTING DODDS

| TRADE DATE  | CLIENT           | INVESTMENT                            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | POSTAGE       | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|------------------|---------------------------------------|-----|----------------------|---------------------|--------------------|---------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                  |                                       |     |                      |                     |                    |               |                   |      |                      |
| <b><u>PRODUCT CATEGORY: CERTIFICATES OF DEPOSIT</u></b> |                  |                                       |     |                      |                     |                    |               |                   |      |                      |
| 05/01/2018 #  | RYAN, ERICA      | JPMORGAN CHASE BK CD CLL C/D FDIC I S |     | 59,729.43            | 58.77               | 0.00               | 0.00          | 58.77             | 89.0 | 52.31                |
| 05/01/2018 #  | RYAN, ERICA      | WELLS FARGO BANK NATL ASSN CD C/D F S |     | 23,550.56            | 118.19              | 0.00               | 0.00          | 118.19            | 89.0 | 105.19               |
| 05/23/2018 #  |                  | HSBC BK USA N A MC LEAN VA 23         | B   | 14,000.00            | 350.00              | 0.00               | 0.00          | 350.00            | 89.0 | 311.50               |
| <b>* CERTIFICATES OF DEPOSIT SUBTOTAL *</b>             |                  |                                       |     | <b>\$97,279.99</b>   | <b>\$526.96</b>     | <b>\$0.00</b>      | <b>\$0.00</b> | <b>\$526.96</b>   |      | <b>\$469.00</b>      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                  |                                       |     |                      |                     |                    |               |                   |      |                      |
| 04/30/2018 #0000000001170861                            | FARLER,          | FRANKLIN 628380883                    | B   | 0.00                 | 16.25               | 0.00               | 0.00          | 16.25             | 89.0 | 14.46                |
| 04/30/2018 #000000000369443                             | FARLER,          | FRANKLIN INVS SECS TR TOTAL RETURN    | B   | 0.00                 | 57.58               | 0.00               | 0.00          | 57.58             | 89.0 | 51.25                |
| 04/30/2018 #0000000006817263                            | BOYKI            | FRANKLIN032                           | B   | 0.00                 | 8.71                | 0.00               | 0.00          | 8.71              | 89.0 | 7.75                 |
| 04/30/2018 #0000000007583152                            | BOYKI            | FRANKLIN032                           | B   | 0.00                 | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/01/2018 #  | RYAN, ERICA      | DAIN TRAILER                          | S   | 1,537.42             | 50.00               | 0.00               | 0.00          | 50.00             | 89.0 | 44.50                |
| 05/01/2018 #  | RYAN, ERICA      | DAIN TRAILER                          | S   | 222.08               | 50.00               | 0.00               | 0.00          | 50.00             | 89.0 | 44.50                |
| 05/01/2018 #  | GAY, LEO         | DAIN TRAILER                          | B   | 509.00               | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| 05/09/2018 #  | WEISER, MICHAEL  | DAIN TRAILER                          | B   | 0.00                 | 6.55                | 0.00               | 0.00          | 6.55              | 89.0 | 5.83                 |
| 05/09/2018 #  |                  | DAIN TRAILER                          | B   | 0.00                 | 0.08                | 0.00               | 0.00          | 0.08              | 89.0 | 0.07                 |
| 05/09/2018 #  |                  | DAIN TRAILER                          | B   | 0.00                 | 0.17                | 0.00               | 0.00          | 0.17              | 89.0 | 0.15                 |
| 05/09/2018 #  |                  | DAIN TRAILER                          | B   | 0.00                 | 0.08                | 0.00               | 0.00          | 0.08              | 89.0 | 0.07                 |
| 05/09/2018 #  |                  | DAIN TRAILER                          | B   | 0.00                 | 0.39                | 0.00               | 0.00          | 0.39              | 89.0 | 0.35                 |
| 05/09/2018 #  | CHU, WILLIAM     | DAIN TRAILER                          | B   | 0.00                 | 41.00               | 0.00               | 0.00          | 41.00             | 89.0 | 36.49                |
| 05/09/2018 #  | FARLER, JUDITH   | DAIN TRAILER                          | B   | 0.00                 | 9.76                | 0.00               | 0.00          | 9.76              | 89.0 | 8.69                 |
| 05/09/2018 #  | CHU, WILLIAM     | DAIN TRAILER                          | B   | 0.00                 | 4.19                | 0.00               | 0.00          | 4.19              | 89.0 | 3.73                 |
| 05/09/2018 #  | RYAN, ERICA      | DAIN TRAILER                          | B   | 0.00                 | 0.32                | 0.00               | 0.00          | 0.32              | 89.0 | 0.28                 |
| 05/09/2018 #  | RYAN, ERICA      | DAIN TRAILER                          | B   | 0.00                 | 0.05                | 0.00               | 0.00          | 0.05              | 89.0 | 0.04                 |
| 05/09/2018 #  | LIMB, JOHN       | DAIN TRAILER                          | B   | 0.00                 | 10.79               | 0.00               | 0.00          | 10.79             | 89.0 | 9.60                 |
| 05/09/2018 #  | LIMB, JOHN       | DAIN TRAILER                          | B   | 0.00                 | 2.41                | 0.00               | 0.00          | 2.41              | 89.0 | 2.14                 |
| 05/09/2018 #  | HARTMAN, MARILYN | DAIN TRAILER                          | B   | 0.00                 | 5.54                | 0.00               | 0.00          | 5.54              | 89.0 | 4.93                 |
| 05/09/2018 #  | HARTMAN, JAMES   | DAIN TRAILER                          | B   | 0.00                 | 1.61                | 0.00               | 0.00          | 1.61              | 89.0 | 1.43                 |
| 05/09/2018 #  |                  | DAIN TRAILER                          | B   | 0.00                 | 0.15                | 0.00               | 0.00          | 0.15              | 89.0 | 0.13                 |
| 05/09/2018 #  |                  | DAIN TRAILER                          | B   | 0.00                 | 0.13                | 0.00               | 0.00          | 0.13              | 89.0 | 0.12                 |
| 05/22/2018 #  | HARTMAN, JAMES   | DAIN TRAILER                          | B   | 0.00                 | 2.34                | 0.00               | 0.00          | 2.34              | 89.0 | 2.08                 |
| 05/30/2018 #  |                  | DAIN TRAILER                          | B   | 3,038.00             | 0.00                | 0.00               | 0.00          | 0.00              | 89.0 | 0.00                 |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>             |                  |                                       |     | <b>\$5,306.50</b>    | <b>\$268.10</b>     | <b>\$0.00</b>      | <b>\$0.00</b> | <b>\$268.10</b>   |      | <b>\$238.59</b>      |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                |                  |                                       |     | <b>\$970,333.83</b>  | <b>\$4,425.15</b>   | <b>\$978.15</b>    | <b>\$0.00</b> | <b>\$3,447.00</b> |      | <b>\$3,067.67</b>    |

COMMISSION STATEMENT for ERIK EXISTING DODDS

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | POSTAGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|

ADJUSTMENTS

|            |  |                                  |  |  |  |  |  |  |  |         |
|------------|--|----------------------------------|--|--|--|--|--|--|--|---------|
| 06/20/2018 |  | ADMIN FEE: ADMIN FEE             |  |  |  |  |  |  |  | -320.00 |
| 06/20/2018 |  | E & O INSURANCE: E & O INSURANCE |  |  |  |  |  |  |  | -179.00 |
| 06/20/2018 |  | DOCUSIGN: DOCUSIGN               |  |  |  |  |  |  |  | -51.00  |
| 06/20/2018 |  | ASSISTANT FEE: ASSISTANT FEE     |  |  |  |  |  |  |  | -59.00  |
| 06/20/2018 |  | OTHER: OTHER RBC WRITE OFF DEBIT |  |  |  |  |  |  |  | -500.00 |
|            |  | BALANCE                          |  |  |  |  |  |  |  |         |

\*\*\* ADJUSTMENTS TOTAL \*\*\*

\$-1,109.00

BROKER COMMISSION TOTALS

|                       |             |
|-----------------------|-------------|
| Broker Transactions   | \$3,067.67  |
| Split Transactions    | \$0.00      |
| Override Transactions | \$0.00      |
| Adjustments           | \$-1,109.00 |
| Payroll Draw          | \$0.00      |
| Base Salary           | \$0.00      |
| Prior Period Balance  | \$0.00      |
| FINRA Assessment      | \$0.00      |
| SIPC Assessment       | \$0.00      |

Check Amount \$1,958.67