

# STATEMENT

## January 20, 2018

CYNTHIA HERRON  
2321 Travis Lane  
#608  
Overland Park, KS 66209-

BROKER #: 227  
BRANCH: LA BRANCH

### COMMISSION STATEMENT for CYNTHIA HERRON

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>									
11/13/2017	#00088046313	BAUCOMKARA	AMCAP FUND INC CLASS A	153.80	6.54	92.0	0.00	6.02	6.02
11/13/2017	#00088046313	BAUCOMKARA	AMCAP FUND INC CLASS A	46.20	1.96	92.0	0.00	1.80	1.80
11/13/2017	#00088046313	BAUCOMKARA	AMERICAN FUNDS 2015 TARGET DATE-A	96.12	4.09	92.0	0.00	3.76	3.76
11/13/2017	#00088046313	BAUCOMKARA	AMERICAN FUNDS 2015 TARGET DATE-A	28.88	1.23	92.0	0.00	1.13	1.13
11/13/2017	#00088046313	BAUCOMKARA	AMERICAN MUTUAL FUND INC CLASS A	40.42	1.72	92.0	0.00	1.58	1.58
11/13/2017	#00088046313	BAUCOMKARA	AMERICAN MUTUAL FUND INC CLASS A	134.58	5.72	92.0	0.00	5.26	5.26
12/01/2017	#00088576061	DAKEMICHEL	2055 TARGET DATE RETIREMENT FUND	49.17	0.98	92.0	0.00	0.90	0.90
12/01/2017	#00088576061	DAKEMICHEL	2055 TARGET DATE RETIREMENT FUND	31.21	0.62	92.0	0.00	0.57	0.57
12/01/2017	#00085613691	LISHER, GINA	AMERICAN BALANCED FUND-529A	75.00	3.75	92.0	0.00	3.45	3.45
12/01/2017	#00087552633	TALBERTLUC	AMERICAN FUNDS 2010 TARGET DATE-A	462.21	9.24	92.0	0.00	8.50	8.50
12/01/2017	#00087552633	TALBERTLUC	AMERICAN FUNDS 2010 TARGET DATE-A	86.66	1.73	92.0	0.00	1.59	1.59
12/01/2017	#00086985099	LOWNANCYEL	AMERICAN FUNDS 2010 TARGET DATE-A	388.00	7.76	92.0	0.00	7.14	7.14
12/01/2017	#00086985099	LOWNANCYEL	AMERICAN FUNDS 2010 TARGET DATE-A	93.12	1.86	92.0	0.00	1.71	1.71
12/01/2017	#04000101439	GIBBONSHEA	AMERICAN FUNDS 2015 TARGET DATE-A	55.68	1.11	92.0	0.00	1.02	1.02
12/01/2017	#04000101439	GIBBONSHEA	AMERICAN FUNDS 2015 TARGET DATE-A	55.68	1.11	92.0	0.00	1.02	1.02
12/01/2017	#04000101422	MCGINNISMI	AMERICAN FUNDS 2015 TARGET DATE-A	57.70	1.15	92.0	0.00	1.06	1.06
12/01/2017	#04000101422	MCGINNISMI	AMERICAN FUNDS 2015 TARGET DATE-A	57.70	1.15	92.0	0.00	1.06	1.06
12/01/2017	#00087708562	JONES-WISN	AMERICAN FUNDS 2015 TARGET DATE-A	59.42	1.19	92.0	0.00	1.09	1.09
12/01/2017	#00087708562	JONES-WISN	AMERICAN FUNDS 2015 TARGET DATE-A	59.42	1.19	92.0	0.00	1.09	1.09
12/01/2017	#00086986934	KUNKELGRET	AMERICAN FUNDS 2035 TARGET DATE-A	298.07	5.96	92.0	0.00	5.48	5.48
12/01/2017	#00086986934	KUNKELGRET	AMERICAN FUNDS 2035 TARGET DATE-A	62.01	1.24	92.0	0.00	1.14	1.14
12/01/2017	#00088576061	DAKEMICHEL	BOND FUND OF AMERICA INC CL A	6.24	0.12	92.0	0.00	0.11	0.11
12/01/2017	#00088576061	DAKEMICHEL	BOND FUND OF AMERICA INC CL A	9.83	0.20	92.0	0.00	0.18	0.18
12/01/2017	#00088727323	RUSSELL, JOHN	COLLEGE 2024 FUND 529A	100.00	3.50	92.0	0.00	3.22	3.22
12/01/2017	#00086986934	KUNKELGRET	GROWTH AND INCOME PORTFOLIO-A	298.08	5.96	92.0	0.00	5.48	5.48
12/01/2017	#00086986934	KUNKELGRET	GROWTH AND INCOME PORTFOLIO-A	62.02	1.24	92.0	0.00	1.14	1.14
12/01/2017	#04000101795	BEDDINGFIE	INVESTMENT CO AMER CLASS A	85.97	1.72	92.0	0.00	1.58	1.58
12/01/2017	#04000101795	BEDDINGFIE	INVESTMENT CO AMER CLASS A	85.97	1.72	92.0	0.00	1.58	1.58

COMMISSION STATEMENT for CYNTHIA HERRON

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>									
12/01/2017	#00088576061 DAKEMICHEL	SMALLCAP WORLD FUND INC CLASS A	39.33	0.79	92.0	0.00	0.73	0.00	0.73
12/01/2017	#00088576061 DAKEMICHEL	SMALLCAP WORLD FUND INC CLASS A	24.97	0.50	92.0	0.00	0.46	0.00	0.46
12/05/2017	#00085515885 GUITY, NIQUICHE	COLLEGE 2024 FUND-529C	50.00	0.50	92.0	0.00	0.46	0.00	0.46
12/05/2017	#00085515930 GUITYORBIL	COLLEGE 2027 FUND-529C	50.00	0.50	92.0	0.00	0.46	0.00	0.46
12/05/2017	#00088467617 GUITY, NIQUICHE	COLLEGE 2030 FUND-529A	50.00	1.75	92.0	0.00	1.61	0.00	1.61
12/05/2017	# HALL, ERIN	MFS EQUITY OPPORTUNITIES FD CL A	65.00	3.25	92.0	0.00	2.99	20.00	-17.01
12/05/2017	#00085978086 RARDIN, JOHN	THE BOND FUND OF AMERICA-529A	50.00	1.50	92.0	0.00	1.38	0.00	1.38
12/06/2017	#00088046313 BAUCOMKARA	AMCAP FUND INC CLASS A	46.20	1.96	92.0	0.00	1.80	0.00	1.80
12/06/2017	#00088046313 BAUCOMKARA	AMCAP FUND INC CLASS A	153.80	6.54	92.0	0.00	6.02	0.00	6.02
12/06/2017	#00088046313 BAUCOMKARA	AMERICAN FUNDS 2015 TARGET DATE-A	96.12	4.09	92.0	0.00	3.76	0.00	3.76
12/06/2017	#00088046313 BAUCOMKARA	AMERICAN FUNDS 2015 TARGET DATE-A	28.88	1.23	92.0	0.00	1.13	0.00	1.13
12/06/2017	#00088046313 BAUCOMKARA	AMERICAN MUTUAL FUND INC CLASS A	40.42	1.72	92.0	0.00	1.58	0.00	1.58
12/06/2017	#00088046313 BAUCOMKARA	AMERICAN MUTUAL FUND INC CLASS A	134.58	5.72	92.0	0.00	5.26	0.00	5.26
12/06/2017	#005226561946 FREY, RUTH	JOHN HANCOCK FRE	0.00	30.56	92.0	0.00	28.12	0.00	28.12
12/06/2017	#005226562026 FREY, RUTH	JOHN HANCOCK FRE	0.00	25.80	92.0	0.00	23.74	0.00	23.74
12/11/2017	#00088576061 DAKEMICHEL	2055 TARGET DATE RETIREMENT FUND	49.17	0.98	92.0	0.00	0.90	0.00	0.90
12/11/2017	#00088576061 DAKEMICHEL	2055 TARGET DATE RETIREMENT FUND	31.21	0.62	92.0	0.00	0.57	0.00	0.57
12/11/2017	#00086985099 LOWNANCYEL	AMERICAN FUNDS 2010 TARGET DATE-A	388.00	7.76	92.0	0.00	7.14	0.00	7.14
12/11/2017	#00086985099 LOWNANCYEL	AMERICAN FUNDS 2010 TARGET DATE-A	93.12	1.86	92.0	0.00	1.71	0.00	1.71
12/11/2017	#00087552633 TALBERTLUC	AMERICAN FUNDS 2010 TARGET DATE-A	462.21	9.24	92.0	0.00	8.50	0.00	8.50
12/11/2017	#00087552633 TALBERTLUC	AMERICAN FUNDS 2010 TARGET DATE-A	86.66	1.73	92.0	0.00	1.59	0.00	1.59
12/11/2017	#00087708562 JONES-WISN	AMERICAN FUNDS 2015 TARGET DATE-A	59.42	1.19	92.0	0.00	1.09	0.00	1.09
12/11/2017	#00087708562 JONES-WISN	AMERICAN FUNDS 2015 TARGET DATE-A	59.42	1.19	92.0	0.00	1.09	0.00	1.09
12/11/2017	#04000101422 MCGINNISMI	AMERICAN FUNDS 2015 TARGET DATE-A	57.70	1.15	92.0	0.00	1.06	0.00	1.06
12/11/2017	#04000101422 MCGINNISMI	AMERICAN FUNDS 2015 TARGET DATE-A	57.70	1.15	92.0	0.00	1.06	0.00	1.06
12/11/2017	#04000101439 GIBBONSHEA	AMERICAN FUNDS 2015 TARGET DATE-A	55.68	1.11	92.0	0.00	1.02	0.00	1.02
12/11/2017	#04000101439 GIBBONSHEA	AMERICAN FUNDS 2015 TARGET DATE-A	55.68	1.11	92.0	0.00	1.02	0.00	1.02
12/11/2017	#00086986934 KUNKELGRET	AMERICAN FUNDS 2035 TARGET DATE-A	62.01	1.24	92.0	0.00	1.14	0.00	1.14
12/11/2017	#00086986934 KUNKELGRET	AMERICAN FUNDS 2035 TARGET DATE-A	298.07	5.96	92.0	0.00	5.48	0.00	5.48
12/11/2017	#00088576061 DAKEMICHEL	BOND FUND OF AMERICA INC CL A	9.83	0.20	92.0	0.00	0.18	0.00	0.18
12/11/2017	#00088576061 DAKEMICHEL	BOND FUND OF AMERICA INC CL A	6.24	0.12	92.0	0.00	0.11	0.00	0.11
12/11/2017	#00086986934 KUNKELGRET	GROWTH AND INCOME PORTFOLIO-A	62.02	1.24	92.0	0.00	1.14	0.00	1.14
12/11/2017	#00086986934 KUNKELGRET	GROWTH AND INCOME PORTFOLIO-A	298.08	5.96	92.0	0.00	5.48	0.00	5.48
12/11/2017	#04000101795 BEDDINGFIE	INVESTMENT CO AMER CLASS A	85.97	1.72	92.0	0.00	1.58	0.00	1.58
12/11/2017	#04000101795 BEDDINGFIE	INVESTMENT CO AMER CLASS A	85.97	1.72	92.0	0.00	1.58	0.00	1.58
12/11/2017	# RUSSELL, JOHN	MFS EQUITY OPPORTUNITIES FD CL A	100.00	5.00	92.0	0.00	4.60	20.00	-15.40

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>									
12/11/2017	#00088576061	DAKEMICHEL	SMALLCAP WORLD FUND INC CLASS A	39.33	0.79	92.0	0.00	0.73	0.73
12/11/2017	#00088576061	DAKEMICHEL	SMALLCAP WORLD FUND INC CLASS A	24.97	0.50	92.0	0.00	0.46	0.46
12/22/2017	#00088576061	DAKEMICHEL	2055 TARGET DATE RETIREMENT FUND	31.21	0.62	92.0	0.00	0.57	0.57
12/22/2017	#00088576061	DAKEMICHEL	2055 TARGET DATE RETIREMENT FUND	49.17	0.98	92.0	0.00	0.90	0.90
12/22/2017	#00086985099	LOWNANCYEL	AMERICAN FUNDS 2010 TARGET DATE-A	93.12	1.86	92.0	0.00	1.71	1.71
12/22/2017	#00086985099	LOWNANCYEL	AMERICAN FUNDS 2010 TARGET DATE-A	388.00	7.76	92.0	0.00	7.14	7.14
12/22/2017	#00087552633	TALBERTLUC	AMERICAN FUNDS 2010 TARGET DATE-A	86.66	1.73	92.0	0.00	1.59	1.59
12/22/2017	#00087552633	TALBERTLUC	AMERICAN FUNDS 2010 TARGET DATE-A	462.21	9.24	92.0	0.00	8.50	8.50
12/22/2017	#00087708562	JONES-WISN	AMERICAN FUNDS 2015 TARGET DATE-A	59.42	1.19	92.0	0.00	1.09	1.09
12/22/2017	#00087708562	JONES-WISN	AMERICAN FUNDS 2015 TARGET DATE-A	59.42	1.19	92.0	0.00	1.09	1.09
12/22/2017	#04000101422	MCGINNISMI	AMERICAN FUNDS 2015 TARGET DATE-A	57.70	1.15	92.0	0.00	1.06	1.06
12/22/2017	#04000101422	MCGINNISMI	AMERICAN FUNDS 2015 TARGET DATE-A	57.70	1.15	92.0	0.00	1.06	1.06
12/22/2017	#04000101439	GIBBONSHEA	AMERICAN FUNDS 2015 TARGET DATE-A	55.68	1.11	92.0	0.00	1.02	1.02
12/22/2017	#04000101439	GIBBONSHEA	AMERICAN FUNDS 2015 TARGET DATE-A	55.68	1.11	92.0	0.00	1.02	1.02
12/22/2017	#00086986934	KUNKELGRET	AMERICAN FUNDS 2035 TARGET DATE-A	62.01	1.24	92.0	0.00	1.14	1.14
12/22/2017	#00086986934	KUNKELGRET	AMERICAN FUNDS 2035 TARGET DATE-A	298.07	5.96	92.0	0.00	5.48	5.48
12/22/2017	#00088576061	DAKEMICHEL	BOND FUND OF AMERICA INC CL A	6.24	0.12	92.0	0.00	0.11	0.11
12/22/2017	#00088576061	DAKEMICHEL	BOND FUND OF AMERICA INC CL A	9.83	0.20	92.0	0.00	0.18	0.18
12/22/2017	#00086986934	KUNKELGRET	GROWTH AND INCOME PORTFOLIO-A	62.02	1.24	92.0	0.00	1.14	1.14
12/22/2017	#00086986934	KUNKELGRET	GROWTH AND INCOME PORTFOLIO-A	298.08	5.96	92.0	0.00	5.48	5.48
12/22/2017	#04000101795	BEDDINGFIE	INVESTMENT CO AMER CLASS A	85.97	1.72	92.0	0.00	1.58	1.58
12/22/2017	#04000101795	BEDDINGFIE	INVESTMENT CO AMER CLASS A	85.97	1.72	92.0	0.00	1.58	1.58
12/22/2017	#00088576061	DAKEMICHEL	SMALLCAP WORLD FUND INC CLASS A	24.97	0.50	92.0	0.00	0.46	0.46
12/22/2017	#00088576061	DAKEMICHEL	SMALLCAP WORLD FUND INC CLASS A	39.33	0.79	92.0	0.00	0.73	0.73
12/26/2017	#04000652154	GRAHAM, TAMMY	AMERICAN FUNDS 2015 TARGET DATE-A	8,632.95	323.74	92.0	0.00	297.84	297.84
12/26/2017	#04000652154	GRAHAM, TAMMY	AMERICAN FUNDS 2015 TARGET DATE-A	8,340.16	312.76	92.0	0.00	287.74	287.74
12/26/2017	#04000652163	PRICE B J	AMERICAN FUNDS 2015 TARGET DATE-A	9,070.86	340.16	92.0	0.00	312.95	312.95
12/26/2017	#04000652154	GRAHAM, TAMMY	AMERICAN FUNDS 2015 TARGET DATE-A	22,439.59	841.48	92.0	0.00	774.16	774.16
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$57,308.94</b>	<b>\$2,082.39</b>		<b>\$0.00</b>	<b>\$1,915.71</b>	<b>\$40.00</b>	<b>\$1,875.71</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>									
11/29/2017	#E1869430	WATSON, WILLIE	OHIO NATIONAL	0.00	28.60	92.0	0.00	26.31	26.31
11/29/2017	#E1873046	KIRSE, JENNIFER	OHIO NATIONAL	0.00	42.70	92.0	0.00	39.28	39.28
11/29/2017	#E1889379	MARCO, JUSTIN	OHIO NATIONAL	0.00	10.32	92.0	0.00	9.49	9.49
11/29/2017	#E1900790	BERG, ERIK	OHIO NATIONAL	0.00	4.26	92.0	0.00	3.92	3.92
11/30/2017	#575320000	LANE HEALTH,	JOHN HANCOCK ARA	0.00	94.56	92.0	0.00	87.00	87.00

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>									
11/30/2017	#1226040000	PRESTRESSED JOHN HANCOCK ARA	0.00	112.10	92.0	0.00	103.13	0.00	103.13
11/30/2017	#1615500000	SOLUTIONS, JOHN HANCOCK ARA	0.00	31.55	92.0	0.00	29.03	0.00	29.03
12/06/2017	#E1906419	PAGSIAT, ARVIN OHIO NATIONAL	0.00	8.54	92.0	0.00	7.86	0.00	7.86
12/06/2017	#E1868410	CANTRELL, MARGIE OHIO NATIONAL	0.00	31.88	92.0	0.00	29.33	0.00	29.33
12/13/2017	#E1853484	CANTRELL, MARGIE OHIO NATIONAL	0.00	201.35	92.0	0.00	185.24	0.00	185.24
12/20/2017	#E1851074	NELSON, MIKE OHIO NATIONAL	0.00	198.89	92.0	0.00	182.98	0.00	182.98
12/20/2017	#E1856397	LARKIN, RUTH OHIO NATIONAL	0.00	5.07	92.0	0.00	4.66	0.00	4.66
12/20/2017	#E1859180	DAVIDSON, JANEL OHIO NATIONAL	0.00	47.14	92.0	0.00	43.37	0.00	43.37
12/20/2017	#1013722249	OLIVER, HAROLD PERSP II 09/12	150.00	11.25	92.0	0.00	10.35	0.00	10.35
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$150.00</b>	<b>\$828.21</b>		<b>\$0.00</b>	<b>\$761.95</b>	<b>\$0.00</b>	<b>\$761.95</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
12/01/2017	#00088576061	DAKEMICHEL 2055 TARGET DATE RETIREMENT FUND	0.00	2.91	92.0	0.00	2.68	0.00	2.68
12/01/2017	#04000515434	LEE, CHRISTINA 2055 TARGET DATE RETIREMENT FUND	0.00	0.05	92.0	0.00	0.05	0.00	0.05
12/01/2017	#04000539467	KELLY, STEVEN 2055 TARGET DATE RETIREMENT FUND	0.00	0.73	92.0	0.00	0.67	0.00	0.67
12/01/2017	#00088046313	BAUCOMKARA AMCAP FUND INC CLASS A	0.00	4.14	92.0	0.00	3.81	0.00	3.81
12/01/2017	#00085613691	LISHER, GINA AMERICAN BALANCED FUND-529A	0.00	5.54	92.0	0.00	5.10	0.00	5.10
12/01/2017	#00085978086	RARDIN, JOHN AMERICAN BALANCED FUND-529A	0.00	3.81	92.0	0.00	3.51	0.00	3.51
12/01/2017	#00085978095	RARDIN, JOHN AMERICAN BALANCED FUND-529A	0.00	2.12	92.0	0.00	1.95	0.00	1.95
12/01/2017	#00085789570	NYANG, LAMIN AMERICAN BALANCED FUND-529A	0.00	1.13	92.0	0.00	1.04	0.00	1.04
12/01/2017	#00089560144	AMERICAN FUNDS 02629M58	0.00	0.26	92.0	0.00	0.24	0.00	0.24
12/01/2017	#00089601023	AMERICAN FUNDS 02629M58	0.00	0.18	92.0	0.00	0.17	0.00	0.17
12/01/2017	#00086985099	LOWNANCYEL AMERICAN FUNDS 2010 TARGET DATE-A	0.00	13.61	92.0	0.00	12.52	0.00	12.52
12/01/2017	#00087552633	TALBERTLUC AMERICAN FUNDS 2010 TARGET DATE-A	0.00	2.99	92.0	0.00	2.75	0.00	2.75
12/01/2017	#00088050835	AMERICAN FUNDS 2010 TARGET DATE-A	0.00	0.42	92.0	0.00	0.39	0.00	0.39
12/01/2017	#00086984142	AMERICAN FUNDS 2010 TARGET DATE-A	0.00	2.70	92.0	0.00	2.48	0.00	2.48
12/01/2017	#00087708562	JONES-WISN AMERICAN FUNDS 2015 TARGET DATE-A	0.00	1.22	92.0	0.00	1.12	0.00	1.12
12/01/2017	#00088046313	BAUCOMKARA AMERICAN FUNDS 2015 TARGET DATE-A	0.00	4.11	92.0	0.00	3.78	0.00	3.78
12/01/2017	#04000101422	MCGINNISMI AMERICAN FUNDS 2015 TARGET DATE-A	0.00	0.32	92.0	0.00	0.29	0.00	0.29
12/01/2017	#04000101425	SHIPLEYSAR AMERICAN FUNDS 2015 TARGET DATE-A	0.00	0.41	92.0	0.00	0.38	0.00	0.38
12/01/2017	#04000101439	GIBBONSHEA AMERICAN FUNDS 2015 TARGET DATE-A	0.00	0.31	92.0	0.00	0.29	0.00	0.29
12/01/2017	#04000515434	LEE, CHRISTINA AMERICAN FUNDS 2015 TARGET DATE-A	0.00	0.13	92.0	0.00	0.12	0.00	0.12
12/01/2017	#04000539467	KELLY, STEVEN AMERICAN FUNDS 2015 TARGET DATE-A	0.00	1.18	92.0	0.00	1.09	0.00	1.09
12/01/2017	#00087664135	AMERICAN FUNDS 2015 TARGET DATE-A	0.00	0.14	92.0	0.00	0.13	0.00	0.13
12/01/2017	#00088167164	AMERICAN FUNDS 2015 TARGET DATE-A	0.00	0.96	92.0	0.00	0.88	0.00	0.88
12/01/2017	#04000101404	AMERICAN FUNDS 2015 TARGET DATE-A	0.00	0.03	92.0	0.00	0.03	0.00	0.03

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017	#00087552633	TALBERTLUC	AMERICAN FUNDS 2020 TARGET DATE-A	0.00	3.79	92.0	0.00	3.49	3.49
12/01/2017	#00088050835		AMERICAN FUNDS 2025 TARGET DATE-A	0.00	0.45	92.0	0.00	0.41	0.41
12/01/2017	#00089031414		AMERICAN FUNDS 2030 TARGET DATE-A	0.00	1.43	92.0	0.00	1.32	1.32
12/01/2017	#00086984142		AMERICAN FUNDS 2030 TARGET DATE-A	0.00	14.65	92.0	0.00	13.48	13.48
12/01/2017	#00086986934	KUNKELGRET	AMERICAN FUNDS 2035 TARGET DATE-A	0.00	27.79	92.0	0.00	25.57	25.57
12/01/2017	#00087552633	TALBERTLUC	AMERICAN FUNDS 2035 TARGET DATE-A	0.00	8.25	92.0	0.00	7.59	7.59
12/01/2017	#04000539467	KELLY, STEVEN	AMERICAN FUNDS 2035 TARGET DATE-A	0.00	0.73	92.0	0.00	0.67	0.67
12/01/2017	#04000515434	LEE, CHRISTINA	AMERICAN FUNDS 2040 TARGET DATE-A	0.00	0.05	92.0	0.00	0.05	0.05
12/01/2017	#00088050835		AMERICAN HIGH INCOME TR SH BEN INT	0.00	0.41	92.0	0.00	0.38	0.38
12/01/2017	#00088046313	BAUCOMKARA	AMERICAN MUTUAL FUND INC CLASS A	0.00	3.59	92.0	0.00	3.30	3.30
12/01/2017	#00085613691	LISHER, GINA	AMERICAN MUTUAL FUND-529A	0.00	1.44	92.0	0.00	1.32	1.32
12/01/2017	#00085789570	NYANG, LAMIN	AMERICAN MUTUAL FUND-529A	0.00	1.59	92.0	0.00	1.46	1.46
12/01/2017	#00088576061	DAKEMICHEL	BOND FUND OF AMERICA INC CL A	0.00	0.25	92.0	0.00	0.23	0.23
12/01/2017	#00085978086	RARDIN, JOHN	CAPITAL WORLD GROWTH AND INCOME-529	0.00	2.19	92.0	0.00	2.01	2.01
12/01/2017	#00085789570	NYANG, LAMIN	CAPITAL WORLD GROWTH AND INCOME-529	0.00	1.11	92.0	0.00	1.02	1.02
12/01/2017	#00088727323	RUSSELL, JOHN	COLLEGE 2024 FUND 529A	0.00	1.54	92.0	0.00	1.42	1.42
12/01/2017	#00085515885	GUITY, NIQUICHE	COLLEGE 2024 FUND-529C	0.00	37.32	92.0	0.00	34.33	34.33
12/01/2017	#00085515930	GUITYORBIL	COLLEGE 2027 FUND-529C	0.00	15.85	92.0	0.00	14.58	14.58
12/01/2017	#00088467617	GUITY, NIQUICHE	COLLEGE 2030 FUND-529A	0.00	5.73	92.0	0.00	5.27	5.27
12/01/2017	#00089144766		COLLEGE 2030 FUND-529A	0.00	2.43	92.0	0.00	2.24	2.24
12/01/2017	#00085613691	LISHER, GINA	FUNDAMENTAL INVESTORS-529A	0.00	1.58	92.0	0.00	1.45	1.45
12/01/2017	#00086986934	KUNKELGRET	GROWTH AND INCOME PORTFOLIO-A	0.00	27.05	92.0	0.00	24.89	24.89
12/01/2017	#00087708562	JONES-WISN	GROWTH FUND AMERICA INC CLASS A	0.00	3.22	92.0	0.00	2.96	2.96
12/01/2017	#00087708562	JONES-WISN	INVESTMENT CO AMER CLASS A	0.00	1.79	92.0	0.00	1.65	1.65
12/01/2017	#04000101795	BEDDINGFIE	INVESTMENT CO AMER CLASS A	0.00	0.37	92.0	0.00	0.34	0.34
12/01/2017	#00088050835		INVESTMENT CO AMER CLASS A	0.00	0.49	92.0	0.00	0.45	0.45
12/01/2017	#00088050835		NEW ECONOMY FUND SBI CLASS A	0.00	1.32	92.0	0.00	1.21	1.21
12/01/2017	#00085978086	RARDIN, JOHN	NEW PERSPECTIVE FUND-529A	0.00	3.22	92.0	0.00	2.96	2.96
12/01/2017	#00085978095	RARDIN, JOHN	NEW PERSPECTIVE FUND-529A	0.00	1.36	92.0	0.00	1.25	1.25
12/01/2017	#00088050835		NEW WORLD FUND INC NEW	0.00	1.12	92.0	0.00	1.03	1.03
12/01/2017	#00088576061	DAKEMICHEL	SMALLCAP WORLD FUND INC CLASS A	0.00	2.37	92.0	0.00	2.18	2.18
12/01/2017	#00085978086	RARDIN, JOHN	THE BOND FUND OF AMERICA-529A	0.00	4.50	92.0	0.00	4.14	4.14
12/01/2017	#00085978086	RARDIN, JOHN	WASHINGTON MUTUAL INVESTORS FUND-52	0.00	2.56	92.0	0.00	2.36	2.36
12/01/2017	#00085978095	RARDIN, JOHN	WASHINGTON MUTUAL INVESTORS FUND-52	0.00	0.76	92.0	0.00	0.70	0.70
12/01/2017	#00088050835		WASHINGTON MUTUAL INVS FD CLASS A	0.00	0.47	92.0	0.00	0.43	0.43
12/04/2017	#	RUSSELL, MEREDITH	DAIN TRAILER	135.00	6.75	92.0	0.00	6.21	6.21

COMMISSION STATEMENT for CYNTHIA HERRON

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/04/2017	# RUSSELL, MEREDITH	DAIN TRAILER	145.00	5.80	92.0	0.00	5.34	0.00	5.34
12/05/2017	# HALL, ERIN	DAIN TRAILER	65.00	3.25	92.0	0.00	2.99	0.00	2.99
12/05/2017	# HALL, ERIN	DAIN TRAILER	65.00	2.60	92.0	0.00	2.39	0.00	2.39
12/08/2017	# GALVAN, DAMIAN	DAIN TRAILER	0.00	3.22	92.0	0.00	2.96	0.00	2.96
12/08/2017	# AREY, GARRISON	DAIN TRAILER	0.00	0.07	92.0	0.00	0.06	0.00	0.06
12/08/2017	# WILKERSON, BARBARA	DAIN TRAILER	0.00	0.05	92.0	0.00	0.05	0.00	0.05
12/08/2017	# WILKERSON, BARBARA	DAIN TRAILER	0.00	0.05	92.0	0.00	0.05	0.00	0.05
12/08/2017	# HARRIMAN, DARELL	DAIN TRAILER	0.00	0.19	92.0	0.00	0.17	0.00	0.17
12/08/2017	# RUSSELL, MEREDITH	DAIN TRAILER	0.00	1.96	92.0	0.00	1.80	0.00	1.80
12/08/2017	# ALBIN, JANETTE	DAIN TRAILER	0.00	0.81	92.0	0.00	0.75	0.00	0.75
12/08/2017	# MCNARY, JALEESA	DAIN TRAILER	0.00	0.12	92.0	0.00	0.11	0.00	0.11
12/08/2017	# BERG, ERIK	DAIN TRAILER	0.00	1.14	92.0	0.00	1.05	0.00	1.05
12/11/2017	# GALVAN, DAMIAN	DAIN TRAILER	0.00	0.92	92.0	0.00	0.85	0.00	0.85
12/11/2017	# GALVAN, DAMIAN	DAIN TRAILER	0.00	0.84	92.0	0.00	0.77	0.00	0.77
12/11/2017	# BAUM, HARRY	DAIN TRAILER	0.00	4.45	92.0	0.00	4.09	0.00	4.09
12/11/2017	# BAUM, HARRY	DAIN TRAILER	0.00	1.23	92.0	0.00	1.13	0.00	1.13
12/11/2017	# BAUM, HARRY	DAIN TRAILER	0.00	7.53	92.0	0.00	6.93	0.00	6.93
12/11/2017	# BAUM, HARRY	DAIN TRAILER	0.00	6.56	92.0	0.00	6.04	0.00	6.04
12/11/2017	# DAVIDSON, JANEL	DAIN TRAILER	0.00	0.49	92.0	0.00	0.45	0.00	0.45
12/11/2017	# DAVIDSON, JANEL	DAIN TRAILER	0.00	0.36	92.0	0.00	0.33	0.00	0.33
12/11/2017	# DAVIDSON, JANEL	DAIN TRAILER	0.00	0.79	92.0	0.00	0.73	0.00	0.73
12/11/2017	# KIRSE, JOHN	DAIN TRAILER	0.00	6.20	92.0	0.00	5.70	0.00	5.70
12/11/2017	# KIRSE, JOHN	DAIN TRAILER	0.00	3.87	92.0	0.00	3.56	0.00	3.56
12/11/2017	# KIRSE, JENNIFER	DAIN TRAILER	0.00	1.65	92.0	0.00	1.52	0.00	1.52
12/11/2017	# KIRSE, JENNIFER	DAIN TRAILER	0.00	2.69	92.0	0.00	2.47	0.00	2.47
12/11/2017	# KIRSE, JENNIFER	DAIN TRAILER	0.00	4.81	92.0	0.00	4.43	0.00	4.43
12/11/2017	# KIRSE, JENNIFER	DAIN TRAILER	0.00	0.83	92.0	0.00	0.76	0.00	0.76
12/11/2017	# KIRSE, JENNIFER	DAIN TRAILER	0.00	4.41	92.0	0.00	4.06	0.00	4.06
12/11/2017	# MAGARGEE, RAY	DAIN TRAILER	0.00	0.14	92.0	0.00	0.13	0.00	0.13
12/11/2017	# MAGARGEE, RAY	DAIN TRAILER	0.00	2.60	92.0	0.00	2.39	0.00	2.39
12/11/2017	# MAGARGEE, RAY	DAIN TRAILER	0.00	0.10	92.0	0.00	0.09	0.00	0.09
12/11/2017	# MAGARGEE, RAY	DAIN TRAILER	0.00	2.72	92.0	0.00	2.50	0.00	2.50
12/11/2017	# MAGARGEE, RAY	DAIN TRAILER	0.00	1.21	92.0	0.00	1.11	0.00	1.11
12/11/2017	# MAGARGEE, RAY	DAIN TRAILER	0.00	0.26	92.0	0.00	0.24	0.00	0.24
12/11/2017	# AREY, GARRISON	DAIN TRAILER	0.00	0.20	92.0	0.00	0.18	0.00	0.18
12/11/2017	# AREY, GARRISON	DAIN TRAILER	0.00	0.26	92.0	0.00	0.24	0.00	0.24

COMMISSION STATEMENT for CYNTHIA HERRON

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/11/2017	# AREY, GARRISON	DAIN TRAILER	0.00	0.42	92.0	0.00	0.39	0.00	0.39
12/11/2017	# AREY, GARRISON	DAIN TRAILER	0.00	0.04	92.0	0.00	0.04	0.00	0.04
12/11/2017	# AREY, GARRISON	DAIN TRAILER	0.00	0.06	92.0	0.00	0.06	0.00	0.06
12/11/2017	# AREY, GARRISON	DAIN TRAILER	0.00	0.07	92.0	0.00	0.06	0.00	0.06
12/11/2017	# LANE, JAMES	DAIN TRAILER	0.00	1.69	92.0	0.00	1.55	0.00	1.55
12/11/2017	# LANE, JAMES	DAIN TRAILER	0.00	0.64	92.0	0.00	0.59	0.00	0.59
12/11/2017	# LANE, JAMES	DAIN TRAILER	0.00	2.75	92.0	0.00	2.53	0.00	2.53
12/11/2017	# LANE, JAMES	DAIN TRAILER	0.00	1.60	92.0	0.00	1.47	0.00	1.47
12/11/2017	# LANE, JAMES	DAIN TRAILER	0.00	0.24	92.0	0.00	0.22	0.00	0.22
12/11/2017	# LANE, JAMES	DAIN TRAILER	0.00	1.33	92.0	0.00	1.22	0.00	1.22
12/11/2017	# LANE, JAMES	DAIN TRAILER	0.00	0.23	92.0	0.00	0.21	0.00	0.21
12/11/2017	# LANE, JAMES	DAIN TRAILER	0.00	3.45	92.0	0.00	3.17	0.00	3.17
12/11/2017	# HARDY, PATRICIA	DAIN TRAILER	0.00	0.95	92.0	0.00	0.87	0.00	0.87
12/11/2017	# HARDY, PATRICIA	DAIN TRAILER	0.00	0.66	92.0	0.00	0.61	0.00	0.61
12/11/2017	# LISHER, GINA	DAIN TRAILER	0.00	0.31	92.0	0.00	0.29	0.00	0.29
12/11/2017	# LISHER, GINA	DAIN TRAILER	0.00	1.35	92.0	0.00	1.24	0.00	1.24
12/11/2017	# LISHER, GINA	DAIN TRAILER	0.00	1.21	92.0	0.00	1.11	0.00	1.11
12/11/2017	# LISHER, GINA	DAIN TRAILER	0.00	1.12	92.0	0.00	1.03	0.00	1.03
12/11/2017	# WARD-MARCUM, KATHLEEN	DAIN TRAILER	0.00	5.95	92.0	0.00	5.47	0.00	5.47
12/11/2017	# WARD-MARCUM, KATHLEEN	DAIN TRAILER	0.00	6.77	92.0	0.00	6.23	0.00	6.23
12/11/2017	# WARD-MARCUM, KATHLEEN	DAIN TRAILER	0.00	6.68	92.0	0.00	6.15	0.00	6.15
12/11/2017	# WARD-MARCUM, KATHLEEN	DAIN TRAILER	0.00	6.41	92.0	0.00	5.90	0.00	5.90
12/11/2017	# WARD-MARCUM, KATHLEEN	DAIN TRAILER	0.00	0.20	92.0	0.00	0.18	0.00	0.18
12/11/2017	# WILKERSON, BARBARA	DAIN TRAILER	0.00	0.02	92.0	0.00	0.02	0.00	0.02
12/11/2017	# WILKERSON, BARBARA	DAIN TRAILER	0.00	0.53	92.0	0.00	0.49	0.00	0.49
12/11/2017	# GALVAS, MARIE	DAIN TRAILER	0.00	0.94	92.0	0.00	0.86	0.00	0.86
12/11/2017	# GALVAS, MARIE	DAIN TRAILER	0.00	0.44	92.0	0.00	0.40	0.00	0.40
12/11/2017	# OLSON, SALLY	DAIN TRAILER	0.00	1.48	92.0	0.00	1.36	0.00	1.36
12/11/2017	# OLSON, SALLY	DAIN TRAILER	0.00	4.18	92.0	0.00	3.85	0.00	3.85
12/11/2017	# ELL, MICHAEL	DAIN TRAILER	0.00	0.04	92.0	0.00	0.04	0.00	0.04
12/11/2017	# ELL, MICHAEL	DAIN TRAILER	0.00	0.07	92.0	0.00	0.06	0.00	0.06
12/11/2017	# WILLIAMS, DARRELL	DAIN TRAILER	0.00	0.36	92.0	0.00	0.33	0.00	0.33
12/11/2017	# RANSOM, REBA	DAIN TRAILER	0.00	0.34	92.0	0.00	0.31	0.00	0.31
12/11/2017	# RANSOM, REBA	DAIN TRAILER	0.00	0.70	92.0	0.00	0.64	0.00	0.64
12/11/2017	# RANSOM, HERMAN	DAIN TRAILER	0.00	0.10	92.0	0.00	0.09	0.00	0.09
12/11/2017	# RANSOM, HERMAN	DAIN TRAILER	0.00	0.06	92.0	0.00	0.06	0.00	0.06

COMMISSION STATEMENT for CYNTHIA HERRON

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/11/2017	# RANSOM, HERMAN	DAIN TRAILER	0.00	0.10	92.0	0.00	0.09	0.00	0.09
12/11/2017	# RANSOM, HERMAN	DAIN TRAILER	0.00	0.16	92.0	0.00	0.15	0.00	0.15
12/11/2017	# HARRIMAN, DARELL	DAIN TRAILER	0.00	2.58	92.0	0.00	2.37	0.00	2.37
12/11/2017	# MARCUM, MICHAEL	DAIN TRAILER	0.00	6.63	92.0	0.00	6.10	0.00	6.10
12/11/2017	# MARCUM, MICHAEL	DAIN TRAILER	0.00	0.71	92.0	0.00	0.65	0.00	0.65
12/11/2017	# WEEKS, RICHARD LOREN	DAIN TRAILER	0.00	1.59	92.0	0.00	1.46	0.00	1.46
12/11/2017	# WEEKS, RICHARD LOREN	DAIN TRAILER	0.00	1.37	92.0	0.00	1.26	0.00	1.26
12/11/2017	# WEEKS, RICHARD LOREN	DAIN TRAILER	0.00	0.78	92.0	0.00	0.72	0.00	0.72
12/11/2017	# WEEKS, RICHARD LOREN	DAIN TRAILER	0.00	5.13	92.0	0.00	4.72	0.00	4.72
12/11/2017	# WEEKS, RICHARD LOREN	DAIN TRAILER	0.00	1.38	92.0	0.00	1.27	0.00	1.27
12/11/2017	# WATSON, ROSEZENA	DAIN TRAILER	0.00	0.05	92.0	0.00	0.05	0.00	0.05
12/11/2017	# WATSON, ROSEZENA	DAIN TRAILER	0.00	0.03	92.0	0.00	0.03	0.00	0.03
12/11/2017	# WATSON, ROSEZENA	DAIN TRAILER	0.00	0.02	92.0	0.00	0.02	0.00	0.02
12/11/2017	# WATSON, ROSEZENA	DAIN TRAILER	0.00	0.25	92.0	0.00	0.23	0.00	0.23
12/11/2017	# RUSSELL, JOHN	DAIN TRAILER	0.00	2.57	92.0	0.00	2.36	0.00	2.36
12/11/2017	# RUSSELL, JOHN	DAIN TRAILER	0.00	2.96	92.0	0.00	2.72	0.00	2.72
12/11/2017	# RUSSELL, JOHN	DAIN TRAILER	0.00	1.38	92.0	0.00	1.27	0.00	1.27
12/11/2017	# RUSSELL, JOHN	DAIN TRAILER	0.00	3.86	92.0	0.00	3.55	0.00	3.55
12/11/2017	# HARDY, JAMES WILLIAM	DAIN TRAILER	0.00	2.38	92.0	0.00	2.19	0.00	2.19
12/11/2017	# HARDY, JAMES WILLIAM	DAIN TRAILER	0.00	1.31	92.0	0.00	1.21	0.00	1.21
12/11/2017	# RUSSELL, MEREDITH	DAIN TRAILER	0.00	2.74	92.0	0.00	2.52	0.00	2.52
12/11/2017	# RUSSELL, MEREDITH	DAIN TRAILER	0.00	1.83	92.0	0.00	1.68	0.00	1.68
12/11/2017	# NELSON, MIKE	DAIN TRAILER	0.00	0.47	92.0	0.00	0.43	0.00	0.43
12/11/2017	# NYANG, LAMIN	DAIN TRAILER	0.00	0.07	92.0	0.00	0.06	0.00	0.06
12/11/2017	# LEWANDOWSKI, KIM	DAIN TRAILER	0.00	0.86	92.0	0.00	0.79	0.00	0.79
12/11/2017	# LEWANDOWSKI, KIM	DAIN TRAILER	0.00	0.36	92.0	0.00	0.33	0.00	0.33
12/11/2017	# LEWANDOWSKI, KIM	DAIN TRAILER	0.00	2.38	92.0	0.00	2.19	0.00	2.19
12/11/2017	# NYANG, LAMIN	DAIN TRAILER	0.00	0.12	92.0	0.00	0.11	0.00	0.11
12/11/2017	# NYANG, LAMIN	DAIN TRAILER	0.00	0.06	92.0	0.00	0.06	0.00	0.06
12/11/2017	# MOOT, PEGGY	DAIN TRAILER	0.00	1.08	92.0	0.00	0.99	0.00	0.99
12/11/2017	# MOOT, PEGGY	DAIN TRAILER	0.00	1.43	92.0	0.00	1.32	0.00	1.32
12/11/2017	# MOOT, PEGGY	DAIN TRAILER	0.00	0.29	92.0	0.00	0.27	0.00	0.27
12/11/2017	# MOOT, PEGGY	DAIN TRAILER	0.00	0.51	92.0	0.00	0.47	0.00	0.47
12/11/2017	# ARVIN, PEGGY	DAIN TRAILER	0.00	0.23	92.0	0.00	0.21	0.00	0.21
12/11/2017	# ARVIN, PEGGY	DAIN TRAILER	0.00	0.39	92.0	0.00	0.36	0.00	0.36
12/11/2017	# ARVIN, PEGGY	DAIN TRAILER	0.00	2.17	92.0	0.00	2.00	0.00	2.00



COMMISSION STATEMENT for CYNTHIA HERRON

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/11/2017 #	ALBIN, JANETTE	DAIN TRAILER	0.00	2.27	92.0	0.00	2.09	0.00	2.09
12/11/2017 #	ALBIN, JANETTE	DAIN TRAILER	0.00	0.27	92.0	0.00	0.25	0.00	0.25
12/11/2017 #	ALBIN, JANETTE	DAIN TRAILER	0.00	0.60	92.0	0.00	0.55	0.00	0.55
12/11/2017 #	RUSSELL, JOHN	DAIN TRAILER	100.00	5.00	92.0	0.00	4.60	0.00	4.60
12/11/2017 #	GUITY, NIQUICHE	DAIN TRAILER	0.00	2.93	92.0	0.00	2.70	0.00	2.70
12/11/2017 #	GUITY, NIQUICHE	DAIN TRAILER	0.00	0.27	92.0	0.00	0.25	0.00	0.25
12/11/2017 #	GUITY, NIQUICHE	DAIN TRAILER	0.00	0.26	92.0	0.00	0.24	0.00	0.24
12/11/2017 #	PENDER, PENNY	DAIN TRAILER	0.00	0.01	92.0	0.00	0.01	0.00	0.01
12/11/2017 #	SMITH, MATT	DAIN TRAILER	0.00	0.96	92.0	0.00	0.88	0.00	0.88
12/11/2017 #	SMITH, MATT	DAIN TRAILER	0.00	1.11	92.0	0.00	1.02	0.00	1.02
12/11/2017 #	SMITH, MATT	DAIN TRAILER	0.00	0.79	92.0	0.00	0.73	0.00	0.73
12/11/2017 #	HALL, ERIN	DAIN TRAILER	0.00	0.60	92.0	0.00	0.55	0.00	0.55
12/11/2017 #	HALL, ERIN	DAIN TRAILER	0.00	0.63	92.0	0.00	0.58	0.00	0.58
12/11/2017 #	HALL, ERIN	DAIN TRAILER	0.00	0.57	92.0	0.00	0.52	0.00	0.52
12/11/2017 #	PAGSIAT, ARVIN	DAIN TRAILER	0.00	0.59	92.0	0.00	0.54	0.00	0.54
12/11/2017 #	PAGSIAT, ARVIN	DAIN TRAILER	0.00	0.65	92.0	0.00	0.60	0.00	0.60
12/11/2017 #	PAGSIAT, ARVIN	DAIN TRAILER	0.00	0.53	92.0	0.00	0.49	0.00	0.49
12/11/2017 #	WILKERSON, BARBARA	DAIN TRAILER	0.00	6.77	92.0	0.00	6.23	0.00	6.23
12/11/2017 #	WILKERSON, BARBARA	DAIN TRAILER	0.00	5.86	92.0	0.00	5.39	0.00	5.39
12/11/2017 #	WILKERSON, BARBARA	DAIN TRAILER	0.00	5.86	92.0	0.00	5.39	0.00	5.39
12/11/2017 #	WILKERSON, BARBARA	DAIN TRAILER	0.00	1.29	92.0	0.00	1.19	0.00	1.19
12/11/2017 #	WILKERSON, BARBARA	DAIN TRAILER	0.00	1.14	92.0	0.00	1.05	0.00	1.05
12/11/2017 #	EUBANKS, WILLONE	DAIN TRAILER	0.00	0.49	92.0	0.00	0.45	0.00	0.45
12/11/2017 #	EUBANKS, WILLONE	DAIN TRAILER	0.00	0.23	92.0	0.00	0.21	0.00	0.21
12/11/2017 #	EUBANKS, WILLONE	DAIN TRAILER	0.00	0.23	92.0	0.00	0.21	0.00	0.21
12/11/2017 #	MYERS, DAVE	DAIN TRAILER	0.00	1.04	92.0	0.00	0.96	0.00	0.96
12/11/2017 #	MYERS, DAVE	DAIN TRAILER	0.00	4.35	92.0	0.00	4.00	0.00	4.00
12/11/2017 #	NELSON, MIKE	DAIN TRAILER	0.00	0.41	92.0	0.00	0.38	0.00	0.38
12/11/2017 #	NELSON, MIKE	DAIN TRAILER	0.00	0.51	92.0	0.00	0.47	0.00	0.47
12/11/2017 #	NELSON, MIKE	DAIN TRAILER	0.00	0.65	92.0	0.00	0.60	0.00	0.60
12/11/2017 #	NELSON, MIKE	DAIN TRAILER	0.00	2.56	92.0	0.00	2.36	0.00	2.36
12/11/2017 #	NELSON, MIKE	DAIN TRAILER	0.00	0.25	92.0	0.00	0.23	0.00	0.23
12/11/2017 #	HILTE, MONTY	DAIN TRAILER	0.00	0.06	92.0	0.00	0.06	0.00	0.06
12/11/2017 #	HILTE, MONTY	DAIN TRAILER	0.00	0.05	92.0	0.00	0.05	0.00	0.05
12/11/2017 #	HILTE, MONTY	DAIN TRAILER	0.00	0.79	92.0	0.00	0.73	0.00	0.73
12/11/2017 #	PEKAREK, MARJAN	DAIN TRAILER	0.00	1.20	92.0	0.00	1.10	0.00	1.10

COMMISSION STATEMENT for CYNTHIA HERRON

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/11/2017	# PEKAREK, MARJAN	DAIN TRAILER	0.00	0.71	92.0	0.00	0.65	0.00	0.65
12/11/2017	# PEKAREK, MARJAN	DAIN TRAILER	0.00	2.17	92.0	0.00	2.00	0.00	2.00
12/11/2017	# SHANDY, RONNITA	DAIN TRAILER	0.00	0.30	92.0	0.00	0.28	0.00	0.28
12/11/2017	# SHANDY, RONNITA	DAIN TRAILER	0.00	0.22	92.0	0.00	0.20	0.00	0.20
12/11/2017	# SHANDY, RONNITA	DAIN TRAILER	0.00	0.50	92.0	0.00	0.46	0.00	0.46
12/11/2017	# RARDIN, JOHN	DAIN TRAILER	0.00	1.47	92.0	0.00	1.35	0.00	1.35
12/11/2017	# RARDIN, JOHN	DAIN TRAILER	0.00	0.20	92.0	0.00	0.18	0.00	0.18
12/11/2017	# RARDIN, JOHN	DAIN TRAILER	0.00	1.04	92.0	0.00	0.96	0.00	0.96
12/11/2017	# RARDIN, JOHN	DAIN TRAILER	0.00	1.64	92.0	0.00	1.51	0.00	1.51
12/11/2017	# MCNARY, JALEESA	DAIN TRAILER	0.00	0.10	92.0	0.00	0.09	0.00	0.09
12/11/2017	# STOUT, KYLE	DAIN TRAILER	0.00	4.72	92.0	0.00	4.34	0.00	4.34
12/11/2017	# STOUT, KYLE	DAIN TRAILER	0.00	6.73	92.0	0.00	6.19	0.00	6.19
12/11/2017	# STOUT, KYLE	DAIN TRAILER	0.00	3.59	92.0	0.00	3.30	0.00	3.30
12/11/2017	# BERG, ERIK	DAIN TRAILER	0.00	1.12	92.0	0.00	1.03	0.00	1.03
12/11/2017	# BERG, ERIK	DAIN TRAILER	0.00	0.71	92.0	0.00	0.65	0.00	0.65
12/11/2017	# KELLY, STEVEN	DAIN TRAILER	0.00	3.38	92.0	0.00	3.11	0.00	3.11
12/11/2017	# KELLY, STEVEN	DAIN TRAILER	0.00	1.00	92.0	0.00	0.92	0.00	0.92
12/11/2017	# KELLY, STEVEN	DAIN TRAILER	0.00	1.69	92.0	0.00	1.55	0.00	1.55
12/11/2017	# WILLIAMS, DARRELL	DAIN TRAILER	0.00	0.30	92.0	0.00	0.28	0.00	0.28
12/11/2017	# WILLIAMS, DARRELL	DAIN TRAILER	0.00	0.22	92.0	0.00	0.20	0.00	0.20
12/11/2017	# BOWEN, CHRISTINA	DAIN TRAILER	0.00	0.62	92.0	0.00	0.57	0.00	0.57
12/11/2017	# BOWEN, CHRISTINA	DAIN TRAILER	0.00	0.27	92.0	0.00	0.25	0.00	0.25
12/11/2017	# BOWEN, CHRISTINA	DAIN TRAILER	0.00	0.49	92.0	0.00	0.45	0.00	0.45
12/11/2017	# WILLIAMS, KERSTIN	DAIN TRAILER	0.00	0.38	92.0	0.00	0.35	0.00	0.35
12/11/2017	# WILLIAMS, KERSTIN	DAIN TRAILER	0.00	0.20	92.0	0.00	0.18	0.00	0.18
12/11/2017	# RUSSELL, MEREDITH	DAIN TRAILER	100.00	5.00	92.0	0.00	4.60	0.00	4.60
12/11/2017	# RANSOM, HERMAN	DAIN TRAILER	25.00	1.25	92.0	0.00	1.15	0.00	1.15
12/11/2017	# RUSSELL, JOHN	DAIN TRAILER	100.00	4.75	92.0	0.00	4.37	0.00	4.37
12/11/2017	# RUSSELL, JOHN	DAIN TRAILER	115.00	4.60	92.0	0.00	4.23	0.00	4.23
12/11/2017	# RANSOM, HERMAN	DAIN TRAILER	25.00	1.25	92.0	0.00	1.15	0.00	1.15
12/14/2017	# SMITH, MATT	DAIN TRAILER	0.00	4.40	92.0	0.00	4.05	0.00	4.05
12/15/2017	# LISHER, GINA	DAIN TRAILER	200.00	10.00	92.0	0.00	9.20	0.00	9.20
12/20/2017	# KIRSE, JOHN	DAIN TRAILER	0.00	2.78	92.0	0.00	2.56	0.00	2.56
12/26/2017	# HARRIMAN, DARELL	DAIN TRAILER	6,000.00	285.00	92.0	0.00	262.20	0.00	262.20
12/26/2017	# WEEKS, RICHARD LOREN	DAIN TRAILER	18,400.00	874.00	92.0	0.00	804.08	0.00	804.08
12/26/2017	# PEKAREK, MARJAN	DAIN TRAILER	5,000.00	237.50	92.0	0.00	218.50	0.00	218.50

COMMISSION STATEMENT for CYNTHIA HERRON

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
BROKER TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
12/26/2017	# OLSON, SALLY	DAIN TRAILER	15,000.00	712.50	92.0	0.00	655.50	0.00	655.50
12/26/2017	# WEEKS, RICHARD LOREN	DAIN TRAILER	3,837.72	0.00	92.0	0.00	0.00	0.00	0.00
12/26/2017	# HARRIMAN, DARELL	DAIN TRAILER	6,400.00	0.00	92.0	0.00	0.00	0.00	0.00
12/26/2017	# WEEKS, RICHARD LOREN	DAIN TRAILER	15,600.00	0.00	92.0	0.00	0.00	0.00	0.00
12/26/2017	# PEKAREK, MARJAN	DAIN TRAILER	5,300.00	0.00	92.0	0.00	0.00	0.00	0.00
12/26/2017	# OLSON, SALLY	DAIN TRAILER	15,600.00	0.00	92.0	0.00	0.00	0.00	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$92,212.72	\$2,645.50		\$0.00	\$2,433.85	\$0.00	\$2,433.85
*** BROKER TRANSACTIONS TOTAL ***			\$149,671.66	\$5,556.10		\$0.00	\$5,111.51	\$40.00	\$5,071.51
ADJUSTMENTS									
01/20/2018	ADMIN FEE: ADMIN FEE								-390.00
01/20/2018	E & O INSURANCE: E & O INSURANCE								-179.00
01/20/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBIT BALANCE								-35.00
01/20/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBIT BALANCE								-35.00
01/20/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DEBIT BALANCE								-35.00
*** ADJUSTMENTS TOTAL ***								\$-674.00	
BROKER COMMISSION TOTALS									
Broker Transactions								\$5,071.51	
Split Transactions								\$0.00	
Override Transactions								\$0.00	
Adjustments								\$-674.00	
Payroll Draw								\$0.00	
Base Salary								\$0.00	
Prior Period Balance								\$0.00	
FINRA Assessment								\$0.00	
SIPC Assessment								\$0.00	
Check Amount								\$4,397.51	