

STATEMENT

March 20, 2018

DON BREWINGTON

BROKER #: 247

BRANCH: LA BRANCH

, CA

COMMISSION STATEMENT for DON BREWINGTON

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
02/06/2018	# FINNELL, FERGUS	***MASONITE INTL CORP NEW	6,725.00	105.00	85.0	0.00	89.25	19.95	69.30
02/06/2018	# RIGSBY, BRIAN	MELINTA THERAPEUTICS INC	2,440.00	93.79	85.0	0.00	79.72	19.95	59.77
02/06/2018	# FINNELL, FERGUS	MERCK & CO INC	6,442.65	143.49	85.0	0.00	121.97	19.95	102.02
02/06/2018	# RIGSBY, BRIAN	PARATEK PHARMACEUTICALS INC COM	2,184.00	90.19	85.0	0.00	76.66	19.95	56.71
02/06/2018	# FINNELL, FERGUS	UNDER ARMOUR INC CLASS C COMMON STO	11,582.60	308.79	85.0	0.00	262.47	19.95	242.52
02/07/2018	# FINNELL, FERGUS	AMERICAN TOWER CORPORATION NEW REIT	7,049.17	105.00	85.0	0.00	89.25	19.95	69.30
02/07/2018	# FINNELL, FERGUS	GOLDMAN SACHS GROUP INC	3,878.85	90.98	85.0	0.00	77.33	19.95	57.38
02/08/2018	# HALLIGAN, PAT	BIODELIVERY SCIENCES INTERNATIONAL	667.50	0.00	85.0	0.00	0.00	0.00	0.00
02/08/2018	# HALLIGAN, PAT	CYBERARK SOFTWARE LTD ORDINARY SHAR	4,891.84	0.00	85.0	0.00	0.00	0.00	0.00
02/08/2018	# HALLIGAN, PAT	MELINTA THERAPEUTICS INC	3,727.50	0.00	85.0	0.00	0.00	0.00	0.00
02/08/2018	# HALLIGAN, PAT	MELINTA THERAPEUTICS INC	3,720.00	0.00	85.0	0.00	0.00	0.00	0.00
02/08/2018	# HALLIGAN, PAT	PARATEK PHARMACEUTICALS INC COM	4,902.50	0.00	85.0	0.00	0.00	0.00	0.00
02/09/2018	# FINNELL, FERGUS	ALIBABA GROUP HOLDING LTD SPONSORED	8,785.13	105.00	85.0	0.00	89.25	19.95	69.30
02/09/2018	# HALLIGAN, PAT	PARATEK PHARMACEUTICALS INC COM	10,664.00	0.00	85.0	0.00	0.00	0.00	0.00
02/09/2018	# FINNELL, FERGUS	PARATEK PHARMACEUTICALS INC COM	8,262.00	235.00	85.0	0.00	199.75	19.95	179.80
02/15/2018	# MCGEE, TAMARA	TETRAPHASE PHARMACEUTICALS INC COM	1,415.46	0.00	85.0	0.00	0.00	0.00	0.00
02/20/2018	# HALLIGAN, PAT	BANK OF THE OZARKS INC	5,141.02	0.00	85.0	0.00	0.00	0.00	0.00
02/20/2018	# HALLIGAN, TRACEY	BIODELIVERY SCIENCES INTERNATIONAL	690.63	50.00	85.0	0.00	42.50	19.95	22.55
02/20/2018	# HALLIGAN, TRACEY	MELINTA THERAPEUTICS INC	522.00	50.00	85.0	0.00	42.50	19.95	22.55
02/20/2018	# HALLIGAN, TRACEY	MELINTA THERAPEUTICS INC	2,531.70	96.52	85.0	0.00	82.04	19.95	62.09
02/20/2018	# HALLIGAN, PAT	MELINTA THERAPEUTICS INC	2,262.00	91.75	85.0	0.00	77.99	19.95	58.04
02/20/2018	# HALLIGAN, TRACEY	TETRAPHASE PHARMACEUTICALS INC COM	430.20	50.00	85.0	0.00	42.50	19.95	22.55
02/20/2018	# HALLIGAN, PAT	TETRAPHASE PHARMACEUTICALS INC COM	1,302.60	0.00	85.0	0.00	0.00	0.00	0.00
02/20/2018	# HALLIGAN, TRACEY	TETRAPHASE PHARMACEUTICALS INC COM	1,075.50	53.78	85.0	0.00	45.71	19.95	25.76
02/20/2018	# HALLIGAN, PAT	TETRAPHASE PHARMACEUTICALS INC COM	1,065.50	53.28	85.0	0.00	45.29	19.95	25.34
02/20/2018	# HALLIGAN, PAT	UNDER ARMOUR INC CLASS C COMMON STO	4,779.12	0.00	85.0	0.00	0.00	0.00	0.00
02/21/2018	# RIGSBY, BRIAN	PARATEK PHARMACEUTICALS INC COM	2,055.00	76.33	85.0	0.00	64.88	19.95	44.93
02/21/2018	# MCGEE, TAMARA	TETRAPHASE PHARMACEUTICALS INC COM	2,565.95	0.00	85.0	0.00	0.00	0.00	0.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
02/21/2018 #	RIGSBY, BRIAN	TETRAPHASE PHARMACEUTICALS INC COM	2,231.00	111.55	85.0	0.00	94.82	19.95	74.87
02/26/2018 #	FINNELL, FERGUS	GOLDMAN SACHS GROUP INC	13,257.44	105.00	85.0	0.00	89.25	19.95	69.30
02/26/2018 #	FINNELL, FERGUS	PARATEK PHARMACEUTICALS INC COM	11,868.00	311.26	85.0	0.00	264.57	19.95	244.62
02/26/2018 #	FINNELL, FERGUS	SOUTHWEST AIRLINES CO	7,695.56	162.28	85.0	0.00	137.94	19.95	117.99
02/26/2018 #	FINNELL, FERGUS	TETRAPHASE PHARMACEUTICALS INC COM	7,533.00	376.65	85.0	0.00	320.15	19.95	300.20
02/26/2018 #	FINNELL, FERGUS	TETRAPHASE PHARMACEUTICALS INC COM	6,454.05	266.05	85.0	0.00	226.14	19.95	206.19
* STOCKS SUBTOTAL *			\$160,798.47	\$3,131.69		\$0.00	\$2,661.93	\$458.85	\$2,203.08
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
02/09/2018 #	FINNELL, FERGUS	DAIN TRAILER	0.00	2.13	90.0	0.00	1.92	0.00	1.92
02/09/2018 #	FINNELL, FERGUS	DAIN TRAILER	0.00	2.20	90.0	0.00	1.98	0.00	1.98
02/09/2018 #	FINNELL, FERGUS	DAIN TRAILER	0.00	2.10	90.0	0.00	1.89	0.00	1.89
02/09/2018 #	FINNELL, FERGUS	DAIN TRAILER	0.00	2.23	90.0	0.00	2.01	0.00	2.01
02/09/2018 #	FINNELL, FERGUS	DAIN TRAILER	0.00	4.87	90.0	0.00	4.38	0.00	4.38
02/09/2018 #	FINNELL, FERGUS	DAIN TRAILER	0.00	4.38	90.0	0.00	3.94	0.00	3.94
02/09/2018 #	FINNELL, FERGUS	DAIN TRAILER	0.00	4.36	90.0	0.00	3.92	0.00	3.92
02/09/2018 #	FINNELL, FERGUS	DAIN TRAILER	0.00	2.21	90.0	0.00	1.99	0.00	1.99
02/09/2018 #	FINNELL, FERGUS	DAIN TRAILER	0.00	5.38	90.0	0.00	4.84	0.00	4.84
02/09/2018 #	FINNELL, FERGUS	DAIN TRAILER	0.00	4.67	90.0	0.00	4.20	0.00	4.20
02/09/2018 #	FINNELL, FERGUS	DAIN TRAILER	0.00	4.85	90.0	0.00	4.37	0.00	4.37
02/09/2018 #	PHARES, BECKY	DAIN TRAILER	0.00	5.08	90.0	0.00	4.57	0.00	4.57
02/09/2018 #	PHARES, BECKY	DAIN TRAILER	0.00	4.71	90.0	0.00	4.24	0.00	4.24
02/09/2018 #	PHARES, BECKY	DAIN TRAILER	0.00	3.62	90.0	0.00	3.26	0.00	3.26
02/09/2018 #	PHARES, BECKY	DAIN TRAILER	0.00	4.50	90.0	0.00	4.05	0.00	4.05
02/09/2018 #	PHARES, BECKY	DAIN TRAILER	0.00	4.51	90.0	0.00	4.06	0.00	4.06
02/09/2018 #	PHARES, BECKY	DAIN TRAILER	0.00	4.94	90.0	0.00	4.45	0.00	4.45
02/09/2018 #	PHARES, BECKY	DAIN TRAILER	0.00	3.99	90.0	0.00	3.59	0.00	3.59
02/12/2018 #	FINNELL, FERGUS	DAIN TRAILER	3,000.00	0.00	90.0	0.00	0.00	0.00	0.00
02/12/2018 #	FINNELL, FERGUS	DAIN TRAILER	10,000.00	0.00	90.0	0.00	0.00	0.00	0.00
02/12/2018 #	FINNELL, FERGUS	DAIN TRAILER	7,000.00	0.00	90.0	0.00	0.00	0.00	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$20,000.00	\$70.73		\$0.00	\$63.66	\$0.00	\$63.66
*** BROKER TRANSACTIONS TOTAL ***			\$180,798.47	\$3,202.42		\$0.00	\$2,725.59	\$458.85	\$2,266.74

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ADJUSTMENTS

03/20/2018		ADMIN FEE: ADMIN FEE							-320.00
03/20/2018		E & O INSURANCE: E & O INSURANCE							-179.00
*** ADJUSTMENTS TOTAL ***									<u>\$-499.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$2,266.74
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-499.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,767.74
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