

All Companies
STATEMENT
August 20, 2018

JOHN PINEMAN
9348 Newport Lane
SUITE 620
Highlands Ranch, CO 80130

BROKER #: 189
BRANCH: LA BRANCH

COMMISSION STATEMENT for JOHN PINEMAN

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>									
07/24/2018 #	PRILL, DANNA	JPMORGAN SMALL CAP VALUE FD CL I	1,884.00	0.00	95.0	0.00	0.00	9.95	-9.95
* MUTUAL FUNDS SUBTOTAL *			\$1,884.00	\$0.00		\$0.00	\$0.00	\$9.95	\$-9.95
<u>PRODUCT CATEGORY: STOCKS</u>									
07/17/2018 #	SWAHN, CHRISTOPHER	ABERDEEN ASIA PACIFIC INCOME FUND I	13,086.00	0.00	95.0	0.00	0.00	0.00	0.00
07/17/2018 #	SWAHN, CHRISTOPHER	ARISTA NETWORKS INC COM	35,633.13	0.00	95.0	0.00	0.00	0.00	0.00
07/17/2018 #	SWAHN, CHRISTOPHER	DOUBLELINE INCOME SOLUTIONS FD	20,231.00	0.00	95.0	0.00	0.00	0.00	0.00
07/17/2018 #	SWAHN, CHRISTOPHER	NETFLIX COM INC	37,986.00	0.00	95.0	0.00	0.00	0.00	0.00
07/17/2018 #	SWAHN, CHRISTOPHER	NUTANIX INC CL A	29,020.50	0.00	95.0	0.00	0.00	0.00	0.00
* STOCKS SUBTOTAL *			\$135,956.63	\$0.00		\$0.00	\$0.00	\$0.00	\$0.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
05/01/0018 #E0631193	DATZ, HELEN	PRUDETIAL TRAILS	0.00	4.95	95.0	0.00	4.70	0.00	4.70
05/01/0018 #E0631193	DATZ, HELEN	PRUDETIAL TRAILS	0.00	19.78	95.0	0.00	18.79	0.00	18.79
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$24.73		\$0.00	\$23.49	\$0.00	\$23.49
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/06/2018 #	PRILL, DANNA	DAIN TRAILER	562.00	0.00	95.0	0.00	0.00	0.00	0.00
07/06/2018 #	PRILL, DANNA	DAIN TRAILER	2,007.00	0.00	95.0	0.00	0.00	0.00	0.00
07/06/2018 #	PRILL, DANNA	DAIN TRAILER	820.00	0.00	95.0	0.00	0.00	0.00	0.00
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.45	95.0	0.00	1.38	0.00	1.38
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	2.75	95.0	0.00	2.61	0.00	2.61
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.02	95.0	0.00	0.02	0.00	0.02
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.72	95.0	0.00	0.68	0.00	0.68
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.13	95.0	0.00	0.12	0.00	0.12
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.33	95.0	0.00	1.26	0.00	1.26
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.49	95.0	0.00	0.47	0.00	0.47
07/11/2018 #	PRILL, DANNA	DAIN TRAILER	0.00	1.05	95.0	0.00	1.00	0.00	1.00
07/11/2018 #	TAYLOR, MELISSA	DAIN TRAILER	0.00	2.17	95.0	0.00	2.06	0.00	2.06

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<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/11/2018 #	TAYLOR, MELISSA	DAIN TRAILER	0.00	21.74	95.0	0.00	20.65	0.00	20.65
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.01	95.0	0.00	0.01	0.00	0.01
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.31	95.0	0.00	0.29	0.00	0.29
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.38	95.0	0.00	1.31	0.00	1.31
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.81	95.0	0.00	0.77	0.00	0.77
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.59	95.0	0.00	0.56	0.00	0.56
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.85	95.0	0.00	0.81	0.00	0.81
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	2.61	95.0	0.00	2.48	0.00	2.48
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.52	95.0	0.00	0.49	0.00	0.49
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	1.16	95.0	0.00	1.10	0.00	1.10
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.54	95.0	0.00	0.51	0.00	0.51
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	0.58	95.0	0.00	0.55	0.00	0.55
07/11/2018 #	PRILL, JOSEPH	DAIN TRAILER	0.00	3.17	95.0	0.00	3.01	0.00	3.01
07/11/2018 #	MCCLOY, M JENNIFER	DAIN TRAILER	0.00	5.34	95.0	0.00	5.07	0.00	5.07
07/11/2018 #	MCCLOY, M JENNIFER	DAIN TRAILER	0.00	4.15	95.0	0.00	3.94	0.00	3.94
07/11/2018 #	ROSA, ANN MARIE	DAIN TRAILER	0.00	5.34	95.0	0.00	5.07	0.00	5.07
07/11/2018 #	ROSA, ANN MARIE	DAIN TRAILER	0.00	4.15	95.0	0.00	3.94	0.00	3.94
07/11/2018 #	JOHNSTON, JOHN	DAIN TRAILER	0.00	0.04	95.0	0.00	0.04	0.00	0.04
07/11/2018 #	JOHNSTON, JOHN	DAIN TRAILER	0.00	2.62	95.0	0.00	2.49	0.00	2.49
07/24/2018 #	PRILL, DANNA	DAIN TRAILER	1,273.00	0.00	95.0	0.00	0.00	0.00	0.00
07/24/2018 #	PRILL, DANNA	DAIN TRAILER	650.00	0.00	95.0	0.00	0.00	0.00	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$5,312.00	\$66.02		\$0.00	\$62.69	\$0.00	\$62.69
*** BROKER TRANSACTIONS TOTAL ***			\$143,152.63	\$90.75		\$0.00	\$86.18	\$9.95	\$76.23

VERRIDE TRANSACTIONS

GORMAN, MICHAEL	680.04	13.60
*** OVERRIDE TRANSACTIONS TOTAL ***	\$680.04	\$13.60

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ADJUSTMENTS

08/20/2018		ADMIN FEE: ADMIN FEE							-70.00
08/20/2018		E & O INSURANCE: E & O INSURANCE							-49.50
*** ADJUSTMENTS TOTAL ***									\$-119.50

BROKER COMMISSION TOTALS

Broker Transactions	\$76.23
Split Transactions	\$0.00
Override Transactions	\$13.60
Adjustments	\$-119.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-801.16
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

Balance Forward	\$-830.83
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