

STATEMENT

May 20, 2018

ERIK NEW DODDS

BROKER #: 067

BRANCH: LA BRANCH

, CA

COMMISSION STATEMENT for ERIK NEW DODDS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: STOCKS

04/02/2018 #	ALI, ASAD	ISHARES IBOXX \$ HIGH YIELD	S	6,634.88	0.00	0.00	0.00	0.00	45.0	0.00
04/02/2018 #	ALI, ASAD	POWERSHARES QQQ TRUST	S	36,701.96	0.00	0.00	0.00	0.00	45.0	0.00
04/02/2018 #	ALI, ASAD	SECTOR SPDR TRUST	S	3,765.45	0.00	0.00	0.00	0.00	45.0	0.00
04/02/2018 #	ALI, ASAD	SECTOR SPDR TRUST SHS BEN INT TECHN S	S	6,123.84	0.00	0.00	0.00	0.00	45.0	0.00
04/02/2018 #	ALI, ASAD	SELECT SECTOR SPDR FUND	S	1,179.75	0.00	0.00	0.00	0.00	45.0	0.00
04/02/2018 #	ALI, ASAD	SELECT SECTOR SPDR FUND SHS BEN INT S	S	4,378.14	0.00	0.00	0.00	0.00	45.0	0.00
04/02/2018 #	ALI, ASAD	SELECT SECTOR SPDR TRUST SHS BEN IN S	S	4,713.84	0.00	0.00	0.00	0.00	45.0	0.00
04/02/2018 #	ALI, ASAD	SPDR SER TR S&P REGL BKG ETF	S	4,315.04	0.00	0.00	0.00	0.00	45.0	0.00
04/02/2018 #	ALI, ASAD	SPDR SERIES TRUST BARCLAYS HIGH YIE S	S	5,452.11	0.00	0.00	0.00	0.00	45.0	0.00
04/02/2018 #	ALI, ASAD	VANGUARD SECTOR INDEX FDS	S	6,088.51	0.00	0.00	0.00	0.00	45.0	0.00
04/02/2018 #	ALI, ASAD	VANGUARD SECTOR INDEX FDS VANGUARD S	S	4,834.37	0.00	0.00	0.00	0.00	45.0	0.00
04/03/2018 #	ALI, ASAD	POWERSHARES QQQ TRUST	B	6,702.41	0.00	0.00	0.00	0.00	45.0	0.00
04/04/2018 #	ALI, ASAD	POWERSHARES QQQ TRUST	S	6,782.82	0.00	0.00	0.00	0.00	45.0	0.00
04/09/2018 #	ALI, ASAD	POWERSHARES QQQ TRUST	B	6,746.88	0.00	0.00	0.00	0.00	45.0	0.00
04/09/2018 #	ALI, ASAD	VANGUARD TAX-MANAGED FD MSCI EAFE E S	S	624.96	0.00	0.00	0.00	0.00	45.0	0.00
04/19/2018 #	SANDERS, LORI	SECTOR SPDR - FINANCIAL	S	3,230.72	0.00	0.00	0.00	0.00	45.0	0.00
04/19/2018 #	SANDERS, LORI	SECTOR SPDR TRUST	B	1,514.20	0.00	0.00	0.00	0.00	45.0	0.00
04/19/2018 #	SANDERS, LORI	SPDR SER TR S&P OIL & GAS EXPLORATI B	B	1,528.02	0.00	0.00	0.00	0.00	45.0	0.00
04/26/2018 #	ALI, ASAD	ALPS ETF TR	B	1,512.41	0.00	0.00	0.00	0.00	45.0	0.00
04/26/2018 #	ALI, ASAD	BARCLAYS PLC ADR	S	2,765.94	0.00	0.00	0.00	0.00	45.0	0.00
04/26/2018 #	ALI, ASAD	EQUINIX INC COM PAR \$0.001 REIT	S	2,501.94	0.00	0.00	0.00	0.00	45.0	0.00
04/26/2018 #	ALI, ASAD	ISHARES TR DOW JONES US	B	2,242.63	0.00	0.00	0.00	0.00	45.0	0.00
04/26/2018 #	ALI, ASAD	ISHARES TRUST MSCI EMERGING	B	514.09	0.00	0.00	0.00	0.00	45.0	0.00
04/26/2018 #	ALI, ASAD	JOHNSON & JOHNSON	S	2,180.71	0.00	0.00	0.00	0.00	45.0	0.00
04/26/2018 #	ALI, ASAD	POWERSHARES EXCHANGE TRADED FD TR D B	B	778.80	0.00	0.00	0.00	0.00	45.0	0.00
04/26/2018 #	ALI, ASAD	SECTOR SPDR TRUST	S	874.93	0.00	0.00	0.00	0.00	45.0	0.00
04/26/2018 #	ALI, ASAD	SELECT SECTOR SPDR TRUST SHS BEN IN S	S	965.67	0.00	0.00	0.00	0.00	45.0	0.00
04/26/2018 #	ALI, ASAD	SPDR SERIES TRUST	B	784.55	0.00	0.00	0.00	0.00	45.0	0.00
04/26/2018 #	ALI, ASAD	VANGUARD INDEX FUNDS	B	2,228.70	0.00	0.00	0.00	0.00	45.0	0.00
04/26/2018 #	ALI, ASAD	VANGUARD INDEX FUNDS	S	5,961.18	0.00	0.00	0.00	0.00	45.0	0.00
04/26/2018 #	ALI, ASAD	VANGUARD INDEX FUNDS SMALL-CAP VALU S	S	2,225.37	0.00	0.00	0.00	0.00	45.0	0.00

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BROKER TRANSACTIONS

PRODUCT CATEGORY: STOCKS

04/26/2018 #	ALI, ASAD	VANGUARD INDEX FUNDS	VANGUARD MID-C	B	3,706.78	0.00	0.00	0.00	0.00	45.0	0.00
04/26/2018 #	ALI, ASAD	VANGUARD INTL EQUITY INDEX		B	2,271.48	0.00	0.00	0.00	0.00	45.0	0.00
04/26/2018 #	ALI, ASAD	VANGUARD SECTOR INDEX FDS	VANGUARD	S	5,904.37	0.00	0.00	0.00	0.00	45.0	0.00
* STOCKS SUBTOTAL *					\$148,737.45	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

04/10/2018 #		DAIN TRAILER		B	0.00	0.89	0.00	0.00	0.89	45.0	0.40
04/10/2018 #		DAIN TRAILER		B	0.00	1.81	0.00	0.00	1.81	45.0	0.81
04/10/2018 #		DAIN TRAILER		B	0.00	0.27	0.00	0.00	0.27	45.0	0.12
04/10/2018 #		DAIN TRAILER		B	0.00	2.66	0.00	0.00	2.66	45.0	1.20
04/10/2018 #	DAVENPORT, BLAKE	DAIN TRAILER		B	0.00	0.56	0.00	0.00	0.56	45.0	0.25
04/10/2018 #	DAVENPORT, BLAKE	DAIN TRAILER		B	0.00	0.62	0.00	0.00	0.62	45.0	0.28
04/20/2018 #	DAVENPORT, BLAKE	DAIN TRAILER		B	0.00	0.57	0.00	0.00	0.57	45.0	0.26
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$7.38	\$0.00	\$0.00	\$7.38		\$3.32
*** BROKER TRANSACTIONS TOTAL ***					\$148,737.45	\$7.38	\$0.00	\$0.00	\$7.38		\$3.32

BROKER COMMISSION TOTALS

Broker Transactions	\$3.32
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$3.32
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