

STATEMENT

May 20, 2018

KEVIN BORAD
9560 Topanga Canyon Blvd Suite
SUITE 204
Chatsworth, CA 91311

BROKER #: 128
BRANCH:

COMMISSION STATEMENT for KEVIN BORAD

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>									
03/01/0018	#81655712301	LUNAGARIA, AMAR COLLEGE BOUND 76222X471	0.00	25.29	93.0	0.00	23.52	0.00	23.52
03/01/0018	#81154080603	HUSSAIN COLLEGEBOUND	0.00	68.99	93.0	0.00	64.16	0.00	64.16
04/03/0018	#81154080603	HUSSAIN COLLEGEBOUND	500.00	15.00	93.0	0.00	13.95	0.00	13.95
04/02/2018	#000000000603163	SHINDE, FRANKLIN TEMPLETON FUNDS CALIF TAX	2,000.00	20.00	93.0	0.00	18.60	0.00	18.60
04/02/2018	#07050089069	PATELANIKN PIMCO INCOME FUND CLASS C	100.00	1.00	93.0	0.00	0.93	0.00	0.93
04/02/2018	#07050089071	PATELAMARN PIMCO INCOME FUND CLASS C	100.00	1.00	93.0	0.00	0.93	0.00	0.93
04/03/2018	#5296157570	LUNAGBHARR BLCKRCK	0.00	5.36	93.0	0.00	4.98	0.00	4.98
04/03/2018	#01446367680	VARIOUS BORAD FA SMALL CAP GROWTH	90.24	0.90	93.0	0.00	0.84	0.00	0.84
04/03/2018	#01446367680	VARIOUS BORAD FA SMALL CAP GROWTH	476.00	4.76	93.0	0.00	4.43	0.00	4.43
04/03/2018	#01446368720	VARIOUS BORAD FA WORLD LARGE STOCK	77.88	1.36	93.0	0.00	1.26	0.00	1.26
04/03/2018	#01446368720	VARIOUS BORAD FA WORLD LARGE STOCK	126.55	2.21	93.0	0.00	2.06	0.00	2.06
04/03/2018	#01446368894	VARIOUS BORAD FIDELITY ADV CHINA REGION-CL C	13.73	0.14	93.0	0.00	0.13	0.00	0.13
04/03/2018	#01446368894	VARIOUS BORAD FIDELITY ADV CHINA REGION-CL C	28.00	0.28	93.0	0.00	0.26	0.00	0.26
04/03/2018	#01446368894	VARIOUS BORAD FIDELITY ADV COMM EQUIPMENT-CL C	29.42	0.29	93.0	0.00	0.27	0.00	0.27
04/03/2018	#01446368894	VARIOUS BORAD FIDELITY ADV COMM EQUIPMENT-CL C	60.00	0.60	93.0	0.00	0.56	0.00	0.56
04/03/2018	#01446368894	VARIOUS BORAD FIDELITY ADV CONVERTIBLE SECURITIES	29.42	0.29	93.0	0.00	0.27	0.00	0.27
04/03/2018	#01446368894	VARIOUS BORAD FIDELITY ADV CONVERTIBLE SECURITIES	60.00	0.60	93.0	0.00	0.56	0.00	0.56
04/03/2018	#01446368894	VARIOUS BORAD FIDELITY ADV EMERGING ASIA-CL C	13.73	0.14	93.0	0.00	0.13	0.00	0.13
04/03/2018	#01446368894	VARIOUS BORAD FIDELITY ADV EMERGING ASIA-CL C	28.00	0.28	93.0	0.00	0.26	0.00	0.26
04/03/2018	#01446368894	VARIOUS BORAD FIDELITY ADV EMERGING MRKTS INC-CL	15.69	0.16	93.0	0.00	0.15	0.00	0.15
04/03/2018	#01446368894	VARIOUS BORAD FIDELITY ADV EMERGING MRKTS INC-CL	32.00	0.32	93.0	0.00	0.30	0.00	0.30
04/03/2018	#01482544887	VARIOUS BORAD FIDELITY ADV FREEDOM 2050-CL C	184.60	1.85	93.0	0.00	1.72	0.00	1.72
04/03/2018	#01482544887	VARIOUS BORAD FIDELITY ADV FREEDOM 2050-CL C	307.68	3.08	93.0	0.00	2.86	0.00	2.86
04/03/2018	#01446350454	VARIOUS BORAD FIDELITY ADV FREEDOM 2050-CL C	207.68	2.08	93.0	0.00	1.93	0.00	1.93
04/03/2018	#01446350454	VARIOUS BORAD FIDELITY ADV FREEDOM 2050-CL C	346.16	3.46	93.0	0.00	3.22	0.00	3.22
04/03/2018	#01446368894	VARIOUS BORAD FIDELITY ADV HIGH INCOME ADVANTAGE-	15.69	0.16	93.0	0.00	0.15	0.00	0.15
04/03/2018	#01446368894	VARIOUS BORAD FIDELITY ADV HIGH INCOME ADVANTAGE-	32.00	0.32	93.0	0.00	0.30	0.00	0.30
04/03/2018	#01446368894	VARIOUS BORAD FIDELITY ADV INDUSTRIALS-CL C	29.42	0.29	93.0	0.00	0.27	0.00	0.27

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
04/03/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV INDUSTRIALS-CL C	60.00	0.60	93.0	0.00	0.56	0.56
04/03/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV MID CAP-CL C	7.85	0.08	93.0	0.00	0.07	0.07
04/03/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV MID CAP-CL C	16.00	0.16	93.0	0.00	0.15	0.15
04/03/2018	#01446368720	VARIOUS BORAD	FIDELITY ADV NEW INSIGHTS-CL A	77.88	1.36	93.0	0.00	1.26	1.26
04/03/2018	#01446368720	VARIOUS BORAD	FIDELITY ADV NEW INSIGHTS-CL A	126.57	2.21	93.0	0.00	2.06	2.06
04/03/2018	#01446368720	VARIOUS BORAD	FIDELITY ADV STRATEGIC DIV & INCOME	77.88	1.36	93.0	0.00	1.26	1.26
04/03/2018	#01446368720	VARIOUS BORAD	FIDELITY ADV STRATEGIC DIV & INCOME	126.57	2.21	93.0	0.00	2.06	2.06
04/03/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV STRATEGIC INCOME-CL C	17.65	0.18	93.0	0.00	0.17	0.17
04/03/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV STRATEGIC INCOME-CL C	36.00	0.36	93.0	0.00	0.33	0.33
04/03/2018	#01446368720	VARIOUS BORAD	FIDELITY ADVISOR EMERGING MARKET FU	77.88	1.36	93.0	0.00	1.26	1.26
04/03/2018	#01446368720	VARIOUS BORAD	FIDELITY ADVISOR EMERGING MARKET FU	126.57	2.21	93.0	0.00	2.06	2.06
04/03/2018	#01446367680	VARIOUS BORAD	FIDELITY ADVISOR LARGE CAP	87.58	0.88	93.0	0.00	0.82	0.82
04/03/2018	#01446367680	VARIOUS BORAD	FIDELITY ADVISOR LARGE CAP	462.00	4.62	93.0	0.00	4.30	4.30
04/03/2018	#01446368894	VARIOUS BORAD	FIDELITY ADVISOR LATIN AMERICA FUND	13.75	0.14	93.0	0.00	0.13	0.13
04/03/2018	#01446368894	VARIOUS BORAD	FIDELITY ADVISOR LATIN AMERICA FUND	28.00	0.28	93.0	0.00	0.26	0.26
04/03/2018	#01446367680	VARIOUS BORAD	FIDELITY MID CAP VALUE	87.58	0.88	93.0	0.00	0.82	0.82
04/03/2018	#01446367680	VARIOUS BORAD	FIDELITY MID CAP VALUE	462.00	4.62	93.0	0.00	4.30	4.30
04/03/2018	#01446368894	VARIOUS BORAD	TREASURY FUND ADVISOR-CL C	9.81	0.10	93.0	0.00	0.09	0.09
04/03/2018	#01446368894	VARIOUS BORAD	TREASURY FUND ADVISOR-CL C	20.00	0.20	93.0	0.00	0.19	0.19
04/09/2018	#07050076150		PIMCO DIVIDEND AND INCOME BUILDER C	154.29	1.54	93.0	0.00	1.43	1.43
04/09/2018	#07050076154		PIMCO DIVIDEND AND INCOME BUILDER C	100.00	1.00	93.0	0.00	0.93	0.93
04/09/2018	#07050087106		PIMCO INCOME FUND CLASS C	200.00	2.00	93.0	0.00	1.86	1.86
04/10/2018	#0000000000016117		FRANKLIN INDIA GROWTH FUND - CLASS	500.00	5.00	93.0	0.00	4.65	4.65
04/10/2018	#00000000000811745		FRKLN GOLD & PRECIOUS METALS FUND C	500.00	5.00	93.0	0.00	4.65	4.65
04/10/2018	#00000000000648788		MUTUAL FINANCIAL SERVICES FUND-CLAS	500.00	5.00	93.0	0.00	4.65	4.65
04/12/2018	#07050096402	HADDIS, ZENE	PIMCO INCOME FUND CLASS C	6,000.00	60.00	93.0	0.00	55.80	55.80
04/12/2018	#07050096407	DEJESMARI	PIMCO INCOME FUND CLASS C	3,000.00	30.00	93.0	0.00	27.90	27.90
04/16/2018	#00000000000607349	DADHANIA,	FRANKLIN TEMPLETON FUNDS CALIF TAX	150.00	1.50	93.0	0.00	1.40	1.40
04/16/2018	#00035828101	KACHHADIA,	IVY LASALLE GBL RSKMGED REAL ESTATE	100.20	1.00	93.0	0.00	0.93	0.93
04/16/2018	#00035828101	KACHHADIA,	IVY LASALLE GBL RSKMGED REAL ESTATE	500.00	5.00	93.0	0.00	4.65	4.65
04/16/2018	#00035830927	BUTANI, BATUK	IVY LASALLE GBL RSKMGED REAL ESTATE	50.00	0.50	93.0	0.00	0.47	0.47
04/16/2018	#00035830927	BUTANI, BATUK	IVY LASALLE GBL RSKMGED REAL ESTATE	56.25	0.56	93.0	0.00	0.52	0.52
04/16/2018	#00035830928	BUTANI, KARSHAN	IVY LASALLE GBL RSKMGED REAL ESTATE	50.00	0.50	93.0	0.00	0.47	0.47
04/16/2018	#00035830928	BUTANI, KARSHAN	IVY LASALLE GBL RSKMGED REAL ESTATE	56.25	0.56	93.0	0.00	0.52	0.52
04/16/2018	#07050093000	PATELAUDRL	PIMCO INCOME FUND CLASS C	100.00	1.00	93.0	0.00	0.93	0.93
04/18/2018	#07050076150		PIMCO DIVIDEND AND INCOME BUILDER C	158.66	1.59	93.0	0.00	1.48	1.48

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<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
04/18/2018	#07050076154	PIMCO DIVIDEND AND INCOME BUILDER C	100.00	1.00	93.0	0.00	0.93	0.00	0.93
04/18/2018	#07050087106	PIMCO INCOME FUND CLASS C	200.00	2.00	93.0	0.00	1.86	0.00	1.86
04/19/2018	#00082242287	SHIHORA, ARTH NEW PERSPECTIVE FUND-529A	67.00	2.51	93.0	0.00	2.33	0.00	2.33
04/19/2018	#00082242341	SHIHORA, ARTH NEW PERSPECTIVE FUND-529A	67.00	2.51	93.0	0.00	2.33	0.00	2.33
04/19/2018	#00082242287	SHIHORA, ARTH THE BOND FUND OF AMERICA-529A	66.00	1.98	93.0	0.00	1.84	0.00	1.84
04/19/2018	#00082242341	SHIHORA, ARTH THE BOND FUND OF AMERICA-529A	66.00	1.98	93.0	0.00	1.84	0.00	1.84
04/19/2018	#00082242287	SHIHORA, ARTH THE INVESTMENT COMPANY OF AMERICA-5	67.00	2.51	93.0	0.00	2.33	0.00	2.33
04/19/2018	#00082242341	SHIHORA, ARTH THE INVESTMENT COMPANY OF AMERICA-5	67.00	2.51	93.0	0.00	2.33	0.00	2.33
04/20/2018	#000000000017513	HUSSAMARV FRANKLIN INDIA GROWTH FUND - CLASS	55.00	0.55	93.0	0.00	0.51	0.00	0.51
04/20/2018	#000000000017537	HUSSAMARV FRANKLIN INDIA GROWTH FUND - CLASS	55.00	0.55	93.0	0.00	0.51	0.00	0.51
04/20/2018	#0000000000654107	HUSSAMARV FRANKLIN MUTUAL EUROPEAN FUND CLASS	275.00	2.75	93.0	0.00	2.56	0.00	2.56
04/20/2018	#0000000000654133	HUSSAMARV FRANKLIN MUTUAL EUROPEAN FUND CLASS	275.00	2.75	93.0	0.00	2.56	0.00	2.56
04/20/2018	#000000001483674	HUSSAMARV FRANKLIN RISING DIVS FD CL C	110.00	1.10	93.0	0.00	1.02	0.00	1.02
04/20/2018	#000000001483813	HUSSAMARV FRANKLIN RISING DIVS FD CL C	110.00	1.10	93.0	0.00	1.02	0.00	1.02
04/20/2018	#07050092957	HART CHARITIES PIMCO INCOME FUND CLASS C	45,000.00	450.00	93.0	0.00	418.50	0.00	418.50
04/20/2018	#000000000104947	HUSSAMARV TEM EMERGING MARKETS SMALL CAP FD C	110.00	1.10	93.0	0.00	1.02	0.00	1.02
04/20/2018	#000000000104974	HUSSAMARV TEM EMERGING MARKETS SMALL CAP FD C	110.00	1.10	93.0	0.00	1.02	0.00	1.02
04/20/2018	#000000001725100	HUSSAMARV TEMPLETON DEV MRKTS TR FUND CLASS C	110.00	1.10	93.0	0.00	1.02	0.00	1.02
04/20/2018	#000000001725124	HUSSAMARV TEMPLETON DEV MRKTS TR FUND CLASS C	110.00	1.10	93.0	0.00	1.02	0.00	1.02
04/20/2018	#000000000134813	HUSSASEHA TEMPLETON INCOME TR GLOBAL TOTAL RE	1,100.00	11.00	93.0	0.00	10.23	0.00	10.23
04/20/2018	#000000000153130	HUSSAMARV TEMPLETON INCOME TR GLOBAL TOTAL RE	440.00	4.40	93.0	0.00	4.09	0.00	4.09
04/20/2018	#000000000153142	HUSSAMARV TEMPLETON INCOME TR GLOBAL TOTAL RE	440.00	4.40	93.0	0.00	4.09	0.00	4.09
* MUTUAL FUNDS SUBTOTAL *			\$68,001.11	\$805.77		\$0.00	\$749.35	\$0.00	\$749.35

PRODUCT CATEGORY: STOCKS

04/05/2018	# SHARMA, NEELAM	GUGGENHEIM STRATEGIC OPPORTUNITIES	11,723.50	0.00	85.0	0.00	0.00	19.95	-19.95
04/05/2018	# SHARMA, NEELAM	PIMCO CORPORATE & INCOME STRATEGY F	12,199.40	0.00	85.0	0.00	0.00	19.95	-19.95
04/13/2018	# PATEL, ANKITA	ALLIANCEBERNSTEIN GLOBAL HIGH INCOM	18,363.40	368.00	85.0	0.00	312.80	19.95	292.85
04/13/2018	# PATEL, HEMANGINI	GUGGENHEIM STRATEGIC OPPORTUNITIES	19,264.50	385.00	85.0	0.00	327.25	19.95	307.30
04/13/2018	# PATEL, ANKITA	GUGGENHEIM STRATEGIC OPPORTUNITIES	59,365.08	1,187.00	85.0	0.00	1,008.95	19.95	989.00
04/13/2018	# PATEL, ANKITA	MFS INTERMEDIATE INCOME TRUST SH BE	18,162.10	361.00	85.0	0.00	306.85	19.95	286.90
04/13/2018	# PATEL, ANKITA	MFS MULTIMARKET INCOME TRUST SH BEN	18,377.45	368.00	85.0	0.00	312.80	19.95	292.85
04/13/2018	# PATEL, HEMANGINI	PIMCO CORPORATE & INCOME STRATEGY F	18,568.60	374.00	85.0	0.00	317.90	19.95	297.95
04/13/2018	# PATEL, ANKITA	PIMCO CORPORATE & INCOME STRATEGY F	18,578.16	374.00	85.0	0.00	317.90	19.95	297.95
04/13/2018	# PATEL, HEMANGINI	STONE HARBOR EMERGING MARKETS TOTAL	19,120.50	384.00	85.0	0.00	326.40	19.95	306.45
04/13/2018	# PATEL, ANKITA	STONE HARBOR EMERGING MARKETS TOTAL	19,166.91	385.00	85.0	0.00	327.25	19.95	307.30

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<u>PRODUCT CATEGORY: STOCKS</u>									
04/13/2018	# PATEL, ANKITA	TEMPLETON GLOBAL INCOME FUND	18,990.36	378.00	85.0	0.00	321.30	19.95	301.35
04/13/2018	# PATEL, HEMANGINI	VIRTUS GLOBAL MULTI SECTOR INCOME F	37,507.55	750.00	85.0	0.00	637.50	19.95	617.55
04/13/2018	# PATEL, ANKITA	VIRTUS GLOBAL MULTI SECTOR INCOME F	55,603.15	1,116.00	85.0	0.00	948.60	19.95	928.65
04/13/2018	# PATEL, ANKITA	WESTERN ASSET PREMIER BD FUND SHS B	18,376.71	369.00	85.0	0.00	313.65	19.95	293.70
* STOCKS SUBTOTAL *			\$363,367.37	\$6,799.00		\$0.00	\$5,779.15	\$299.25	\$5,479.90
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
04/09/2018	#1014537690	PERSP II 09/12	300.00	22.50	93.0	0.00	20.93	0.00	20.93
04/18/2018	#1014537690	PERSP II 09/12	300.00	22.50	93.0	0.00	20.93	0.00	20.93
* VARIABLE ANNUITIES SUBTOTAL *			\$600.00	\$45.00		\$0.00	\$41.86	\$0.00	\$41.86
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
03/31/2018	#06020228987	VARIOUS BORAD	DIVIDEND OPPORTUNITY FUND	0.00	12.37	93.0	0.00	11.50	11.50
03/31/2018	#06020229735	VARIOUS BORAD	DIVIDEND OPPORTUNITY FUND	0.00	4.40	93.0	0.00	4.09	4.09
03/31/2018	#00100061524	GUPTA, DEVENDRA	EMERGING MARKETS LOCAL DEBT CLASS C	0.00	12.91	93.0	0.00	12.01	12.01
03/31/2018	#00100061667	BILLIM, Z	EMERGING MARKETS LOCAL DEBT CLASS C	0.00	9.05	93.0	0.00	8.42	8.42
03/31/2018	#08370812031	VARIOUS BORAD	EQUITY INCOME FUND, INC. C	0.00	12.17	93.0	0.00	11.32	11.32
03/31/2018	#08370814275	VARIOUS BORAD	EQUITY INCOME FUND, INC. C	0.00	8.66	93.0	0.00	8.05	8.05
03/31/2018	#00100010099	GUPTA, DEVENDRA	INTERNATIONAL GROWTH AND INCOME FUN	0.00	12.60	93.0	0.00	11.72	11.72
03/31/2018	#00100010132	BILLIM, Z	INTERNATIONAL GROWTH AND INCOME FUN	0.00	8.90	93.0	0.00	8.28	8.28
03/31/2018	#08620283140	VARIOUS BORAD	LIMITED TERM MUNICIPAL FUND C	0.00	12.67	93.0	0.00	11.78	11.78
03/31/2018	#07313464648	VARIOUS BORAD	OPPENHEIMER MAIN STR SELECT FD CL A	0.00	2.63	93.0	0.00	2.45	2.45
03/31/2018	#05450837386	VARIOUS BORAD	PORTFOLIO SERIES: MODERATE INVESTOR	0.00	11.77	93.0	0.00	10.95	10.95
03/31/2018	#05451193445	VARIOUS BORAD	PORTFOLIO SERIES: MODERATE INVESTOR	0.00	6.72	93.0	0.00	6.25	6.25
03/31/2018	#00100012442	GUPTA, DEVENDRA	STEELPATH PANORAMIC FUND	0.00	4.73	93.0	0.00	4.40	4.40
03/31/2018	#00100012750	BILLIM, Z	STEELPATH PANORAMIC FUND	0.00	3.36	93.0	0.00	3.12	3.12
03/31/2018	#03770549296	VARIOUS BORAD	VALUE FUND CLASS C	0.00	6.31	93.0	0.00	5.87	5.87
03/31/2018	#03770549956	VARIOUS BORAD	VALUE FUND CLASS C	0.00	8.99	93.0	0.00	8.36	8.36
04/01/2018	#00060232989		MFS GROWTH FUND CL A	0.00	11.44	93.0	0.00	10.64	10.64
04/01/2018	#08191308832		MFS GROWTH FUND CL C	0.00	19.98	93.0	0.00	18.58	18.58
04/04/2018	#07050040688	BHAKTA,	PIMCO ALL ASSET AUTH CL C	0.00	69.87	93.0	0.00	64.98	64.98
04/04/2018	#07050040688	BHAKTA,	PIMCO ALL ASSET AUTH CL C	0.00	181.67	93.0	0.00	168.95	168.95
04/04/2018	#07050040689	BHAKTA,	PIMCO ALL ASSET AUTH CL C	0.00	14.42	93.0	0.00	13.41	13.41
04/04/2018	#07050040689	BHAKTA,	PIMCO ALL ASSET AUTH CL C	0.00	37.48	93.0	0.00	34.86	34.86
04/04/2018	#07050036770	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	12.01	93.0	0.00	11.17	11.17
04/04/2018	#07050036770	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	36.03	93.0	0.00	33.51	33.51

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/04/2018	#07050044353	KHURANA, DILDAR	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	1.03	93.0	0.00	0.96	0.96
04/04/2018	#07050044353	KHURANA, DILDAR	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.08	93.0	0.00	2.86	2.86
04/04/2018	#07050063375	PATEL, SMITA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	7.29	93.0	0.00	6.78	6.78
04/04/2018	#07050063375	PATEL, SMITA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	21.88	93.0	0.00	20.35	20.35
04/04/2018	#07050075313	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.40	93.0	0.00	3.16	3.16
04/04/2018	#07050075313	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	10.21	93.0	0.00	9.50	9.50
04/04/2018	#07050075318	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	9.39	93.0	0.00	8.73	8.73
04/04/2018	#07050075318	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	28.17	93.0	0.00	26.20	26.20
04/04/2018	#07050075326	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.95	93.0	0.00	4.60	4.60
04/04/2018	#07050075326	ABID, HUSSA	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	14.86	93.0	0.00	13.82	13.82
04/04/2018	#07050075739	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.69	93.0	0.00	4.36	4.36
04/04/2018	#07050075739	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	14.07	93.0	0.00	13.09	13.09
04/04/2018	#07050075745	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.20	93.0	0.00	3.91	3.91
04/04/2018	#07050075745	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	12.60	93.0	0.00	11.72	11.72
04/04/2018	#07050075820	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.76	93.0	0.00	4.43	4.43
04/04/2018	#07050075820	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	14.27	93.0	0.00	13.27	13.27
04/04/2018	#07050075821	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	5.53	93.0	0.00	5.14	5.14
04/04/2018	#07050075821	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	16.59	93.0	0.00	15.43	15.43
04/04/2018	#07050075822	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.53	93.0	0.00	4.21	4.21
04/04/2018	#07050075822	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	13.58	93.0	0.00	12.63	12.63
04/04/2018	#07050075823	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.02	93.0	0.00	2.81	2.81
04/04/2018	#07050075823	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	9.05	93.0	0.00	8.42	8.42
04/04/2018	#07050075824	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	1.91	93.0	0.00	1.78	1.78
04/04/2018	#07050075824	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	5.74	93.0	0.00	5.34	5.34
04/04/2018	#07050075825	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	2.89	93.0	0.00	2.69	2.69
04/04/2018	#07050075825	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	8.68	93.0	0.00	8.07	8.07
04/04/2018	#07050075826	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.08	93.0	0.00	2.86	2.86
04/04/2018	#07050075826	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	9.23	93.0	0.00	8.58	8.58
04/04/2018	#07050075828	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	5.33	93.0	0.00	4.96	4.96
04/04/2018	#07050075828	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	15.99	93.0	0.00	14.87	14.87
04/04/2018	#07050075829	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	12.90	93.0	0.00	12.00	12.00
04/04/2018	#07050075829	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	38.69	93.0	0.00	35.98	35.98
04/04/2018	#07050075832	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.33	93.0	0.00	3.10	3.10
04/04/2018	#07050075832	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	10.00	93.0	0.00	9.30	9.30
04/04/2018	#07050075833	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.99	93.0	0.00	3.71	3.71
04/04/2018	#07050075833	LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	11.96	93.0	0.00	11.12	11.12

COMMISSION STATEMENT for KEVIN BORAD

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>									
04/04/2018	#07050075834 LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.70	93.0	0.00	4.37	0.00	4.37
04/04/2018	#07050075834 LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	14.10	93.0	0.00	13.11	0.00	13.11
04/04/2018	#07050075835 LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	2.26	93.0	0.00	2.10	0.00	2.10
04/04/2018	#07050075835 LUNAGARIA,	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	6.78	93.0	0.00	6.31	0.00	6.31
04/04/2018	#07050075961 PLAN, FIT	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.35	93.0	0.00	4.05	0.00	4.05
04/04/2018	#07050075961 PLAN, FIT	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	13.04	93.0	0.00	12.13	0.00	12.13
04/04/2018	#07050076150	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	7.43	93.0	0.00	6.91	0.00	6.91
04/04/2018	#07050076150	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	22.29	93.0	0.00	20.73	0.00	20.73
04/04/2018	#07050076154	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	8.07	93.0	0.00	7.51	0.00	7.51
04/04/2018	#07050076154	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	24.20	93.0	0.00	22.51	0.00	22.51
04/04/2018	#07050076156	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	1.52	93.0	0.00	1.41	0.00	1.41
04/04/2018	#07050076156	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.56	93.0	0.00	4.24	0.00	4.24
04/04/2018	#07050076890	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	2.06	93.0	0.00	1.92	0.00	1.92
04/04/2018	#07050076890	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	6.18	93.0	0.00	5.75	0.00	5.75
04/04/2018	#07050079679	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	2.48	93.0	0.00	2.31	0.00	2.31
04/04/2018	#07050079679	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	7.43	93.0	0.00	6.91	0.00	6.91
04/04/2018	#07050079683	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	3.70	93.0	0.00	3.44	0.00	3.44
04/04/2018	#07050079683	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	11.11	93.0	0.00	10.33	0.00	10.33
04/04/2018	#07050087996 PATEL, VISHNU	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	4.33	93.0	0.00	4.03	0.00	4.03
04/04/2018	#07050087996 PATEL, VISHNU	PIMCO DIVIDEND AND INCOME BUILDER C	0.00	12.99	93.0	0.00	12.08	0.00	12.08
04/04/2018	#07050095759	PIMCO INCOME FUND CLASS A	0.00	0.97	93.0	0.00	0.90	0.00	0.90
04/04/2018	#07050010158 PATEL, VISHNU	PIMCO INCOME FUND CLASS C	0.00	176.56	93.0	0.00	164.20	0.00	164.20
04/04/2018	#07050010158 PATEL, VISHNU	PIMCO INCOME FUND CLASS C	0.00	459.06	93.0	0.00	426.93	0.00	426.93
04/04/2018	#07050036770 ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	3.14	93.0	0.00	2.92	0.00	2.92
04/04/2018	#07050036770 ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	8.16	93.0	0.00	7.59	0.00	7.59
04/04/2018	#07050040688 BHAKTA,	PIMCO INCOME FUND CLASS C	0.00	4.80	93.0	0.00	4.46	0.00	4.46
04/04/2018	#07050040688 BHAKTA,	PIMCO INCOME FUND CLASS C	0.00	12.47	93.0	0.00	11.60	0.00	11.60
04/04/2018	#07050040689 BHAKTA,	PIMCO INCOME FUND CLASS C	0.00	0.14	93.0	0.00	0.13	0.00	0.13
04/04/2018	#07050040689 BHAKTA,	PIMCO INCOME FUND CLASS C	0.00	0.35	93.0	0.00	0.33	0.00	0.33
04/04/2018	#07050063006 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.02	93.0	0.00	0.02	0.00	0.02
04/04/2018	#07050063006 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.05	93.0	0.00	0.05	0.00	0.05
04/04/2018	#07050075313 ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	1.14	93.0	0.00	1.06	0.00	1.06
04/04/2018	#07050075313 ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	2.98	93.0	0.00	2.77	0.00	2.77
04/04/2018	#07050075318 ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	4.68	93.0	0.00	4.35	0.00	4.35
04/04/2018	#07050075318 ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	12.17	93.0	0.00	11.32	0.00	11.32
04/04/2018	#07050075326 ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	1.77	93.0	0.00	1.65	0.00	1.65

COMMISSION STATEMENT for KEVIN BORAD

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>									
04/04/2018	#07050075326 ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	4.59	93.0	0.00	4.27	0.00	4.27
04/04/2018	#07050075745 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
04/04/2018	#07050075745 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.03	93.0	0.00	0.03	0.00	0.03
04/04/2018	#07050075820 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
04/04/2018	#07050075820 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.04	93.0	0.00	0.04	0.00	0.04
04/04/2018	#07050075821 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
04/04/2018	#07050075821 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.04	93.0	0.00	0.04	0.00	0.04
04/04/2018	#07050075822 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
04/04/2018	#07050075822 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.03	93.0	0.00	0.03	0.00	0.03
04/04/2018	#07050075823 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
04/04/2018	#07050075823 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.02	93.0	0.00	0.02	0.00	0.02
04/04/2018	#07050075826 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
04/04/2018	#07050075826 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.02	93.0	0.00	0.02	0.00	0.02
04/04/2018	#07050075832 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
04/04/2018	#07050075832 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.03	93.0	0.00	0.03	0.00	0.03
04/04/2018	#07050075833 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.01	93.0	0.00	0.01	0.00	0.01
04/04/2018	#07050075833 LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.03	93.0	0.00	0.03	0.00	0.03
04/04/2018	#07050077535	PIMCO INCOME FUND CLASS C	0.00	11.45	93.0	0.00	10.65	0.00	10.65
04/04/2018	#07050077535	PIMCO INCOME FUND CLASS C	0.00	29.77	93.0	0.00	27.69	0.00	27.69
04/04/2018	#07050077716	PIMCO INCOME FUND CLASS C	0.00	7.89	93.0	0.00	7.34	0.00	7.34
04/04/2018	#07050077716	PIMCO INCOME FUND CLASS C	0.00	20.52	93.0	0.00	19.08	0.00	19.08
04/04/2018	#07050078244 PATEL, ANKITA	PIMCO INCOME FUND CLASS C	0.00	3.83	93.0	0.00	3.56	0.00	3.56
04/04/2018	#07050078244 PATEL, ANKITA	PIMCO INCOME FUND CLASS C	0.00	9.95	93.0	0.00	9.25	0.00	9.25
04/04/2018	#07050078245 PATEL,	PIMCO INCOME FUND CLASS C	0.00	3.83	93.0	0.00	3.56	0.00	3.56
04/04/2018	#07050078245 PATEL,	PIMCO INCOME FUND CLASS C	0.00	9.95	93.0	0.00	9.25	0.00	9.25
04/04/2018	#07050079683	PIMCO INCOME FUND CLASS C	0.00	1.38	93.0	0.00	1.28	0.00	1.28
04/04/2018	#07050079683	PIMCO INCOME FUND CLASS C	0.00	3.58	93.0	0.00	3.33	0.00	3.33
04/04/2018	#07050081961	PIMCO INCOME FUND CLASS C	0.00	1.46	93.0	0.00	1.36	0.00	1.36
04/04/2018	#07050081961	PIMCO INCOME FUND CLASS C	0.00	3.79	93.0	0.00	3.52	0.00	3.52
04/04/2018	#07050081962	PIMCO INCOME FUND CLASS C	0.00	2.88	93.0	0.00	2.68	0.00	2.68
04/04/2018	#07050081962	PIMCO INCOME FUND CLASS C	0.00	7.50	93.0	0.00	6.98	0.00	6.98
04/04/2018	#07050082915 SHARMA, RAMESH	PIMCO INCOME FUND CLASS C	0.00	73.97	93.0	0.00	68.79	0.00	68.79
04/04/2018	#07050082915 SHARMA, RAMESH	PIMCO INCOME FUND CLASS C	0.00	192.31	93.0	0.00	178.85	0.00	178.85
04/04/2018	#07050083554	PIMCO INCOME FUND CLASS C	0.00	2.78	93.0	0.00	2.59	0.00	2.59
04/04/2018	#07050083554	PIMCO INCOME FUND CLASS C	0.00	7.24	93.0	0.00	6.73	0.00	6.73
04/04/2018	#07050085572 INDUCTIVO,	PIMCO INCOME FUND CLASS C	0.00	0.90	93.0	0.00	0.84	0.00	0.84

COMMISSION STATEMENT for KEVIN BORAD

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>									
04/04/2018	#07050085572	INDUCTIVO,	PIMCO INCOME FUND CLASS C	0.00	2.35	93.0	0.00	2.19	2.19
04/04/2018	#07050085653		PIMCO INCOME FUND CLASS C	0.00	2.13	93.0	0.00	1.98	1.98
04/04/2018	#07050085653		PIMCO INCOME FUND CLASS C	0.00	5.54	93.0	0.00	5.15	5.15
04/04/2018	#07050087106		PIMCO INCOME FUND CLASS C	0.00	4.84	93.0	0.00	4.50	4.50
04/04/2018	#07050087106		PIMCO INCOME FUND CLASS C	0.00	12.59	93.0	0.00	11.71	11.71
04/04/2018	#07050087774		PIMCO INCOME FUND CLASS C	0.00	0.71	93.0	0.00	0.66	0.66
04/04/2018	#07050087774		PIMCO INCOME FUND CLASS C	0.00	1.84	93.0	0.00	1.71	1.71
04/04/2018	#07050088361	PATEL, SUMIT	PIMCO INCOME FUND CLASS C	0.00	6.25	93.0	0.00	5.81	5.81
04/04/2018	#07050088361	PATEL, SUMIT	PIMCO INCOME FUND CLASS C	0.00	16.25	93.0	0.00	15.11	15.11
04/04/2018	#07050088362		PIMCO INCOME FUND CLASS C	0.00	6.25	93.0	0.00	5.81	5.81
04/04/2018	#07050088362		PIMCO INCOME FUND CLASS C	0.00	16.25	93.0	0.00	15.11	15.11
04/04/2018	#07050088562	ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	0.58	93.0	0.00	0.54	0.54
04/04/2018	#07050088562	ABID, HUSSA	PIMCO INCOME FUND CLASS C	0.00	1.52	93.0	0.00	1.41	1.41
04/04/2018	#07050089069	PATELANIKN	PIMCO INCOME FUND CLASS C	0.00	7.37	93.0	0.00	6.85	6.85
04/04/2018	#07050089069	PATELANIKN	PIMCO INCOME FUND CLASS C	0.00	19.17	93.0	0.00	17.83	17.83
04/04/2018	#07050089071	PATELAMARN	PIMCO INCOME FUND CLASS C	0.00	7.37	93.0	0.00	6.85	6.85
04/04/2018	#07050089071	PATELAMARN	PIMCO INCOME FUND CLASS C	0.00	19.17	93.0	0.00	17.83	17.83
04/04/2018	#07050089369		PIMCO INCOME FUND CLASS C	0.00	3.04	93.0	0.00	2.83	2.83
04/04/2018	#07050089369		PIMCO INCOME FUND CLASS C	0.00	7.90	93.0	0.00	7.35	7.35
04/04/2018	#07050089372		PIMCO INCOME FUND CLASS C	0.00	1.90	93.0	0.00	1.77	1.77
04/04/2018	#07050089372		PIMCO INCOME FUND CLASS C	0.00	4.95	93.0	0.00	4.60	4.60
04/04/2018	#07050089420	BUTANI,	PIMCO INCOME FUND CLASS C	0.00	4.80	93.0	0.00	4.46	4.46
04/04/2018	#07050089420	BUTANI,	PIMCO INCOME FUND CLASS C	0.00	12.48	93.0	0.00	11.61	11.61
04/04/2018	#07050090248	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.80	93.0	0.00	0.74	0.74
04/04/2018	#07050090248	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	2.07	93.0	0.00	1.93	1.93
04/04/2018	#07050090249	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.67	93.0	0.00	0.62	0.62
04/04/2018	#07050090249	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	1.73	93.0	0.00	1.61	1.61
04/04/2018	#07050090251	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.68	93.0	0.00	0.63	0.63
04/04/2018	#07050090251	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	1.77	93.0	0.00	1.65	1.65
04/04/2018	#07050090252	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.66	93.0	0.00	0.61	0.61
04/04/2018	#07050090252	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	1.73	93.0	0.00	1.61	1.61
04/04/2018	#07050090253	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	0.66	93.0	0.00	0.61	0.61
04/04/2018	#07050090253	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	1.73	93.0	0.00	1.61	1.61
04/04/2018	#07050090254	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	16.41	93.0	0.00	15.26	15.26
04/04/2018	#07050090254	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	42.68	93.0	0.00	39.69	39.69
04/04/2018	#07050090255	LUNAGARIA,	PIMCO INCOME FUND CLASS C	0.00	12.38	93.0	0.00	11.51	11.51

COMMISSION STATEMENT for KEVIN BORAD

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>									
04/04/2018	#07050090255	LUNAGARIA, PIMCO INCOME FUND CLASS C	0.00	32.20	93.0	0.00	29.95	0.00	29.95
04/04/2018	#07050091216	KHULLSAVI PIMCO INCOME FUND CLASS C	0.00	4.44	93.0	0.00	4.13	0.00	4.13
04/04/2018	#07050091216	KHULLSAVI PIMCO INCOME FUND CLASS C	0.00	11.54	93.0	0.00	10.73	0.00	10.73
04/04/2018	#07050091331	PIMCO INCOME FUND CLASS C	0.00	1.04	93.0	0.00	0.97	0.00	0.97
04/04/2018	#07050091331	PIMCO INCOME FUND CLASS C	0.00	2.71	93.0	0.00	2.52	0.00	2.52
04/04/2018	#07050092315	SHARMA, RAMESH PIMCO INCOME FUND CLASS C	0.00	0.14	93.0	0.00	0.13	0.00	0.13
04/04/2018	#07050092315	SHARMA, RAMESH PIMCO INCOME FUND CLASS C	0.00	0.36	93.0	0.00	0.33	0.00	0.33
04/04/2018	#07050092316	SHARMA, NEELAM PIMCO INCOME FUND CLASS C	0.00	0.14	93.0	0.00	0.13	0.00	0.13
04/04/2018	#07050092316	SHARMA, NEELAM PIMCO INCOME FUND CLASS C	0.00	0.36	93.0	0.00	0.33	0.00	0.33
04/04/2018	#07050092919	PATEL, SMITA PIMCO INCOME FUND CLASS C	0.00	2.14	93.0	0.00	1.99	0.00	1.99
04/04/2018	#07050092919	PATEL, SMITA PIMCO INCOME FUND CLASS C	0.00	5.58	93.0	0.00	5.19	0.00	5.19
04/04/2018	#07050092928	SHINDE, ARUNA PIMCO INCOME FUND CLASS C	0.00	0.51	93.0	0.00	0.47	0.00	0.47
04/04/2018	#07050092928	SHINDE, ARUNA PIMCO INCOME FUND CLASS C	0.00	1.32	93.0	0.00	1.23	0.00	1.23
04/04/2018	#07050092957	HART CHARITIES PIMCO INCOME FUND CLASS C	0.00	1.40	93.0	0.00	1.30	0.00	1.30
04/04/2018	#07050092957	HART CHARITIES PIMCO INCOME FUND CLASS C	0.00	3.65	93.0	0.00	3.39	0.00	3.39
04/04/2018	#07050093000	PATELAUDRL PIMCO INCOME FUND CLASS C	0.00	0.18	93.0	0.00	0.17	0.00	0.17
04/04/2018	#07050093000	PATELAUDRL PIMCO INCOME FUND CLASS C	0.00	0.47	93.0	0.00	0.44	0.00	0.44
04/04/2018	#07050063006	LUNAGARIA, PIMCO INVESTMENT GRADE CORP BOND C	0.00	0.71	93.0	0.00	0.66	0.00	0.66
04/04/2018	#07050063006	LUNAGARIA, PIMCO INVESTMENT GRADE CORP BOND C	0.00	1.85	93.0	0.00	1.72	0.00	1.72
04/06/2018	#01482511647	VARIOUS BORAD FA 529 INTERMED BOND PORT-CL A	0.00	0.06	93.0	0.00	0.06	0.00	0.06
04/06/2018	#01485867699	VARIOUS BORAD FA MEGA CAP STOCK FUND	0.00	12.83	93.0	0.00	11.93	0.00	11.93
04/06/2018	#01485867731	VARIOUS BORAD FA MEGA CAP STOCK FUND	0.00	18.24	93.0	0.00	16.96	0.00	16.96
04/06/2018	#01446367680	VARIOUS BORAD FA SMALL CAP GROWTH	0.00	29.75	93.0	0.00	27.67	0.00	27.67
04/06/2018	#01446368894	VARIOUS BORAD FA TELECOMMUNICATIONS FUND	0.00	0.48	93.0	0.00	0.45	0.00	0.45
04/06/2018	#01446368720	VARIOUS BORAD FA WORLD LARGE STOCK	0.00	6.13	93.0	0.00	5.70	0.00	5.70
04/06/2018	#01446368894	VARIOUS BORAD FIDELITY ADV CHINA REGION-CL C	0.00	5.16	93.0	0.00	4.80	0.00	4.80
04/06/2018	#01446368894	VARIOUS BORAD FIDELITY ADV COMM EQUIPMENT-CL C	0.00	10.19	93.0	0.00	9.48	0.00	9.48
04/06/2018	#01446368894	VARIOUS BORAD FIDELITY ADV CONVERTIBLE SECURITIES	0.00	7.94	93.0	0.00	7.38	0.00	7.38
04/06/2018	#01488720515	VARIOUS BORAD FIDELITY ADV DIVIDEND GROWTH FD-CL	0.00	0.20	93.0	0.00	0.19	0.00	0.19
04/06/2018	#01446368894	VARIOUS BORAD FIDELITY ADV EMERGING ASIA-CL C	0.00	4.26	93.0	0.00	3.96	0.00	3.96
04/06/2018	#00625301718	VARIOUS BORAD FIDELITY ADV EMERGING MRKTS INC-CL	0.00	0.01	93.0	0.00	0.01	0.00	0.01
04/06/2018	#01446368894	VARIOUS BORAD FIDELITY ADV EMERGING MRKTS INC-CL	0.00	3.93	93.0	0.00	3.65	0.00	3.65
04/06/2018	#01475089957	VARIOUS BORAD FIDELITY ADV FREEDOM 2050-CL C	0.00	1.41	93.0	0.00	1.31	0.00	1.31
04/06/2018	#01482544887	VARIOUS BORAD FIDELITY ADV FREEDOM 2050-CL C	0.00	10.54	93.0	0.00	9.80	0.00	9.80
04/06/2018	#01446350454	VARIOUS BORAD FIDELITY ADV FREEDOM 2050-CL C	0.00	34.54	93.0	0.00	32.12	0.00	32.12
04/06/2018	#01446369207	VARIOUS BORAD FIDELITY ADV FREEDOM 2050-CL C	0.00	16.48	93.0	0.00	15.33	0.00	15.33

COMMISSION STATEMENT for KEVIN BORAD

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>									
04/06/2018	#01446369256	VARIOUS BORAD	FIDELITY ADV FREEDOM 2050-CL C	0.00	7.00	93.0	0.00	6.51	6.51
04/06/2018	#01446368852	VARIOUS BORAD	FIDELITY ADV GLOBAL CAP APP-CL C	0.00	34.60	93.0	0.00	32.18	32.18
04/06/2018	#01467041008	VARIOUS BORAD	FIDELITY ADV GOLD-CL C	0.00	6.45	93.0	0.00	6.00	6.00
04/06/2018	#01477917494	VARIOUS BORAD	FIDELITY ADV GOLD-CL C	0.00	10.27	93.0	0.00	9.55	9.55
04/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV HIGH INCOME ADVANTAGE-	0.00	3.98	93.0	0.00	3.70	3.70
04/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV INDUSTRIALS-CL C	0.00	11.41	93.0	0.00	10.61	10.61
04/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV MID CAP-CL C	0.00	5.30	93.0	0.00	4.93	4.93
04/06/2018	#01446368720	VARIOUS BORAD	FIDELITY ADV NEW INSIGHTS-CL A	0.00	6.39	93.0	0.00	5.94	5.94
04/06/2018	#01446368720	VARIOUS BORAD	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	5.33	93.0	0.00	4.96	4.96
04/06/2018	#01439826940	VARIOUS BORAD	FIDELITY ADV STRATEGIC INCOME-CL C	0.00	8.03	93.0	0.00	7.47	7.47
04/06/2018	#01439826965	VARIOUS BORAD	FIDELITY ADV STRATEGIC INCOME-CL C	0.00	5.70	93.0	0.00	5.30	5.30
04/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADV STRATEGIC INCOME-CL C	0.00	6.13	93.0	0.00	5.70	5.70
04/06/2018	#01446368852	VARIOUS BORAD	FIDELITY ADVISOR DIVIDEND GROWTH	0.00	14.90	93.0	0.00	13.86	13.86
04/06/2018	#01446368720	VARIOUS BORAD	FIDELITY ADVISOR EMERGING MARKET FU	0.00	6.69	93.0	0.00	6.22	6.22
04/06/2018	#01446368852	VARIOUS BORAD	FIDELITY ADVISOR EMERGING MARKETS F	0.00	33.94	93.0	0.00	31.56	31.56
04/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADVISOR FOCUS FUNDS HEALTH	0.00	0.46	93.0	0.00	0.43	0.43
04/06/2018	#01446367680	VARIOUS BORAD	FIDELITY ADVISOR LARGE CAP	0.00	25.82	93.0	0.00	24.01	24.01
04/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADVISOR LATIN AMERICA FUND	0.00	3.41	93.0	0.00	3.17	3.17
04/06/2018	#01488720515	VARIOUS BORAD	FIDELITY ADVISOR SER I LEVERAGED CO	0.00	0.19	93.0	0.00	0.18	0.18
04/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADVISOR SER VII BIOTECHNOL	0.00	0.40	93.0	0.00	0.37	0.37
04/06/2018	#01446368894	VARIOUS BORAD	FIDELITY ADVISOR SER VII TECHNOLOGY	0.00	0.77	93.0	0.00	0.72	0.72
04/06/2018	#01457786992	VARIOUS BORAD	FIDELITY ADVISOR STRATEGIC INCOME F	0.00	0.31	93.0	0.00	0.29	0.29
04/06/2018	#01446367680	VARIOUS BORAD	FIDELITY MID CAP VALUE	0.00	23.42	93.0	0.00	21.78	21.78
04/06/2018	#01482544838	VARIOUS BORAD	FIDELITY TARGET DATE 2055	0.00	4.57	93.0	0.00	4.25	4.25
04/06/2018	#01446368894	VARIOUS BORAD	TREASURY FUND ADVISOR-CL C	0.00	2.01	93.0	0.00	1.87	1.87
04/10/2018	# SEN, SANTOSH	DAIN TRAILER		0.00	182.89	93.0	0.00	170.09	170.09
04/10/2018	# BHAKTA, CHHAGANBHAI	DAIN TRAILER		0.00	108.51	93.0	0.00	100.91	100.91
04/10/2018	# RAGHUWANSHI, NAISHADH	DAIN TRAILER		0.00	0.05	93.0	0.00	0.05	0.05
04/10/2018	# RAGHUWANSHI, NAISHADH	DAIN TRAILER		0.00	0.65	93.0	0.00	0.60	0.60
04/10/2018	# RAGHUWANSHI, NAISHADH	DAIN TRAILER		0.00	16.56	93.0	0.00	15.40	15.40
04/10/2018	# RAGHUWANSHI, DEVAL	DAIN TRAILER		0.00	0.02	93.0	0.00	0.02	0.02
04/10/2018	# RAGHUWANSHI, DEVAL	DAIN TRAILER		0.00	0.65	93.0	0.00	0.60	0.60
04/10/2018	# RAGHUWANSHI, DEVAL	DAIN TRAILER		0.00	16.61	93.0	0.00	15.45	15.45
04/10/2018	# PATEL, RAJU	DAIN TRAILER		0.00	31.45	93.0	0.00	29.25	29.25
04/10/2018	# PATEL, TARA	DAIN TRAILER		0.00	26.16	93.0	0.00	24.33	24.33
04/10/2018	# BHAKTA, CHHAGANBHAI	DAIN TRAILER		0.00	0.08	93.0	0.00	0.07	0.07

COMMISSION STATEMENT for KEVIN BORAD

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
BROKER TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
04/10/2018	# BHAKTA, CHHAGANBHAI	DAIN TRAILER	0.00	54.14	93.0	0.00	50.35	0.00	50.35
04/12/2018	#00035826755 VARIOUS BORAD	IVY BALANCED FUND	0.00	171.17	93.0	0.00	159.19	0.00	159.19
04/12/2018	#00035869716 VARIOUS BORAD	IVY BALANCED FUND	0.00	67.65	93.0	0.00	62.91	0.00	62.91
04/12/2018	#00035828423 VARIOUS BORAD	IVY GLOBAL BOND C	0.00	95.84	93.0	0.00	89.13	0.00	89.13
04/12/2018	#00035829689 VARIOUS BORAD	IVY GLOBAL BOND C	0.00	141.07	93.0	0.00	131.20	0.00	131.20
04/12/2018	#00035829756 VARIOUS BORAD	IVY GLOBAL BOND C	0.00	70.96	93.0	0.00	65.99	0.00	65.99
04/12/2018	#00035828101 KACHHADIA,	IVY LASALLE GBL RSKMGED REAL ESTATE	0.00	0.38	93.0	0.00	0.35	0.00	0.35
04/12/2018	#00035830927 BUTANI, BATUK	IVY LASALLE GBL RSKMGED REAL ESTATE	0.00	18.12	93.0	0.00	16.85	0.00	16.85
04/12/2018	#00035830928 BUTANI, KARSHAN	IVY LASALLE GBL RSKMGED REAL ESTATE	0.00	18.12	93.0	0.00	16.85	0.00	16.85
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$3,848.61		\$0.00	\$3,579.24	\$0.00	\$3,579.24
*** BROKER TRANSACTIONS TOTAL ***			\$431,968.48	\$11,498.38		\$0.00	\$10,149.60	\$299.25	\$9,850.35

ADJUSTMENTS

05/20/2018	ADMIN FEE: ADMIN FEE	-390.00
05/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
*** ADJUSTMENTS TOTAL ***		\$-569.00

BROKER COMMISSION TOTALS

Broker Transactions	\$9,850.35
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-569.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$9,281.35
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