

STATEMENT

January 20, 2018

LEE THOMAS
530 WESTOVER DR

BROKER #: 056
BRANCH: LA BRANCH

ROXBORO, NC 27573-

COMMISSION STATEMENT for LEE THOMAS

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: MUTUAL FUNDS

12/13/2017 #	GLENN, JOHNATHAN	FIDELITY ADV BIOTECHNOLOGY-CL A	S	12,274.01	0.00	20.00	0.00	-20.00	75.0	-15.00
12/13/2017 #	GLENN, JOHNATHAN	FIDELITY ADV TECHNOLOGY-CL A	S	10,941.63	0.00	20.00	0.00	-20.00	75.0	-15.00
12/13/2017 #	GLENN, JOHNATHAN	JANUS INVT FD HENDERSON FORTY FD A	S	35,725.18	0.00	20.00	0.00	-20.00	75.0	-15.00
12/13/2017 #	GLENN, JOHNATHAN	JOHN HANCOCK FDS III DISCIPLINED VA S	S	41,377.32	0.00	20.00	0.00	-20.00	75.0	-15.00
* MUTUAL FUNDS SUBTOTAL *				\$100,318.14	\$0.00	\$80.00	\$0.00	\$-80.00		\$-60.00

PRODUCT CATEGORY: STOCKS

12/13/2017 #	GLENN, JOHNATHAN	AMAZON.COM INC	S	11,631.90	25.00	19.95	0.00	5.05	75.0	3.79
12/13/2017 #	GLENN, JOHNATHAN	AT&T INC	S	15,244.76	25.00	19.95	0.00	5.05	75.0	3.79
12/13/2017 #	GLENN, JOHNATHAN	BIOCRIST PHARMACEUTICALS INC	S	5,011.00	25.00	19.95	0.00	5.05	75.0	3.79
12/13/2017 #	GLENN, JOHNATHAN	BIOCRIST PHARMACEUTICALS INC	S	4,991.00	25.00	19.95	0.00	5.05	75.0	3.79
12/13/2017 #	GLENN, JOHNATHAN	BIOCRIST PHARMACEUTICALS INC	S	4,991.00	25.00	19.95	0.00	5.05	75.0	3.79
12/13/2017 #	GLENN, JOHNATHAN	MSCI INC	S	10,193.61	25.00	19.95	0.00	5.05	75.0	3.79
12/13/2017 #	GLENN, JOHNATHAN	SECTOR SPDR - FINANCIAL	S	10,652.12	25.00	19.95	0.00	5.05	75.0	3.79
12/13/2017 #	GLENN, JOHNATHAN	SECTOR SPDR TRUST	S	11,255.25	25.00	19.95	0.00	5.05	75.0	3.79
12/13/2017 #	GLENN, JOHNATHAN	SECTOR SPDR TRUST SBI CONSUMER	S	10,256.58	25.00	19.95	0.00	5.05	75.0	3.79
12/13/2017 #	GLENN, JOHNATHAN	SELECT SCTOR SPDR TR SBI UTILS SELE S	S	9,981.18	25.00	19.95	0.00	5.05	75.0	3.79
12/13/2017 #	GLENN, JOHNATHAN	SELECT SECTOR SPDR TRUST SHS BEN IN S	S	10,428.75	25.00	19.95	0.00	5.05	75.0	3.79
12/13/2017 #	GLENN, JOHNATHAN	SPDR SERIES TRUST SPDR PORTFOLIO LA S	S	10,033.09	25.00	19.95	0.00	5.05	75.0	3.79
12/14/2017 #	GLENN, JOHNATHAN	SELECT SECTOR SPDR FUND	S	10,741.03	25.00	19.95	0.00	5.05	75.0	3.79
* STOCKS SUBTOTAL *				\$125,411.27	\$325.00	\$259.35	\$0.00	\$65.65		\$49.27

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/11/2017 #	HAWKINS, DORIS	DAIN TRAILER	B	0.00	1.23	0.00	0.00	1.23	75.0	0.92
12/11/2017 #	NICHOLS, WILLIAM	DAIN TRAILER	B	0.00	1.02	0.00	0.00	1.02	75.0	0.77
12/11/2017 #	NICHOLS, WILLIAM	DAIN TRAILER	B	0.00	0.55	0.00	0.00	0.55	75.0	0.41
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$2.80	\$0.00	\$0.00	\$2.80		\$2.10
*** BROKER TRANSACTIONS TOTAL ***				\$225,729.41	\$327.80	\$339.35	\$0.00	\$-11.55		\$-8.63

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ADJUSTMENTS

01/20/2018		ADMIN FEE: ADMIN FEE								-390.00
01/20/2018		E & O INSURANCE: E & O INSURANCE								-179.00
*** ADJUSTMENTS TOTAL ***										<u>\$-569.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$-8.63
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-569.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-1,584.66
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	<u>\$-2,162.29</u>
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