

All Companies
STATEMENT
August 20, 2018

THOMAS SMITH
1340 Sproul Ave

BROKER #: 027
BRANCH: LA BRANCH

Napa, CA 94559-

COMMISSION STATEMENT for THOMAS SMITH

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

BROKER TRANSACTIONS

PRODUCT CATEGORY: STOCKS

| | | | | | | | | | | |
|--------------|----------------|---------------------------------------|---|----------------------------|--------------------|-------------------|-----------------|---------------|-------------------|-------------------|
| 07/05/2018 # | LITTLE, TERRY | OMEGA HEALTHCARE INVESTORS INC | S | 14,093.15 | 336.93 | 19.95 | 0.00 | 316.98 | 90.0 | 285.28 |
| 07/09/2018 # | SHAW, TIMOTHY | PROSPECT CAPITAL CORPORATION | S | 9,943.43 | 339.11 | 19.95 | 0.00 | 319.16 | 90.0 | 287.24 |
| 07/19/2018 # | MCCOLL, JOANNE | AGNC INVESTMENT CORP COMMON STOCK | S | 9,743.13 | 267.92 | 19.95 | 0.00 | 247.97 | 90.0 | 223.17 |
| 07/19/2018 # | FORMA, MICHAEL | AGNC INVESTMENT CORP COMMON STOCK | B | 3,519.46 | 133.37 | 19.95 | 0.00 | 113.42 | 90.0 | 102.08 |
| 07/19/2018 # | FORMA, MICHAEL | GLADSTONE CAPITAL CORP | S | 3,874.50 | 167.18 | 19.95 | 0.00 | 147.23 | 90.0 | 132.51 |
| 07/19/2018 # | FORMA, MICHAEL | LUTHER BURBANK CORPORATION | B | 2,058.41 | 107.68 | 19.95 | 0.00 | 87.73 | 90.0 | 78.96 |
| 07/19/2018 # | FORMA, MICHAEL | PEMBINA PIPELINE CORP | B | 2,066.77 | 83.07 | 19.95 | 0.00 | 63.12 | 90.0 | 56.81 |
| 07/19/2018 # | FORMA, MICHAEL | VANGUARD INTL EQUITY IND FD FTSE AL S | S | 1,779.90 | 77.35 | 19.95 | 0.00 | 57.40 | 90.0 | 51.66 |
| 07/19/2018 # | FORMA, MICHAEL | VANGUARD STAR FD | S | 1,796.52 | 77.69 | 19.95 | 0.00 | 57.74 | 90.0 | 51.97 |
| | | | | * STOCKS SUBTOTAL * | \$48,875.27 | \$1,590.30 | \$179.55 | \$0.00 | \$1,410.75 | \$1,269.68 |

PRODUCT CATEGORY: VARIABLE ANNUITIES

| | | | | | | | | | | |
|-----------------------------|---------|-------------------|---|--|---------------|----------------|---------------|---------------|----------------|----------------|
| 06/08/0018 #501201250091814 | HUNT, W | DELAWARE SLFMFX11 | B | 0.00 | 14.95 | 0.00 | 0.00 | 14.95 | 90.0 | 13.46 |
| | | | | * VARIABLE ANNUITIES SUBTOTAL * | \$0.00 | \$14.95 | \$0.00 | \$0.00 | \$14.95 | \$13.46 |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | | | |
|--------------|-----------------------|--------------|---|------|-------|------|------|-------|------|------|
| 07/11/2018 # | PARK, JUNG | DAIN TRAILER | B | 0.00 | 1.29 | 0.00 | 0.00 | 1.29 | 90.0 | 1.16 |
| 07/11/2018 # | PARK, JUNG | DAIN TRAILER | B | 0.00 | 3.71 | 0.00 | 0.00 | 3.71 | 90.0 | 3.34 |
| 07/11/2018 # | PARK, JUNG | DAIN TRAILER | B | 0.00 | 0.22 | 0.00 | 0.00 | 0.22 | 90.0 | 0.20 |
| 07/11/2018 # | PARK, JUNG | DAIN TRAILER | B | 0.00 | 0.05 | 0.00 | 0.00 | 0.05 | 90.0 | 0.05 |
| 07/11/2018 # | PARK, JUNG | DAIN TRAILER | B | 0.00 | 0.32 | 0.00 | 0.00 | 0.32 | 90.0 | 0.29 |
| 07/11/2018 # | PARK, JUNG | DAIN TRAILER | B | 0.00 | 0.22 | 0.00 | 0.00 | 0.22 | 90.0 | 0.20 |
| 07/11/2018 # | PARK, PAEK | DAIN TRAILER | B | 0.00 | 4.00 | 0.00 | 0.00 | 4.00 | 90.0 | 3.60 |
| 07/11/2018 # | PARK, PAEK | DAIN TRAILER | B | 0.00 | 6.46 | 0.00 | 0.00 | 6.46 | 90.0 | 5.81 |
| 07/11/2018 # | PARK, PAEK | DAIN TRAILER | B | 0.00 | 3.42 | 0.00 | 0.00 | 3.42 | 90.0 | 3.08 |
| 07/11/2018 # | PARK, PAEK | DAIN TRAILER | B | 0.00 | 2.66 | 0.00 | 0.00 | 2.66 | 90.0 | 2.39 |
| 07/11/2018 # | PARK, PAEK | DAIN TRAILER | B | 0.00 | 3.96 | 0.00 | 0.00 | 3.96 | 90.0 | 3.56 |
| 07/11/2018 # | PARK, PAEK | DAIN TRAILER | B | 0.00 | 3.72 | 0.00 | 0.00 | 3.72 | 90.0 | 3.35 |
| 07/11/2018 # | BRINKERHOFF, MARJORIE | DAIN TRAILER | B | 0.00 | 10.31 | 0.00 | 0.00 | 10.31 | 90.0 | 9.28 |
| 07/11/2018 # | SMITH, WESTIN | DAIN TRAILER | B | 0.00 | 0.21 | 0.00 | 0.00 | 0.21 | 90.0 | 0.19 |
| 07/11/2018 # | PARK, PAEK | DAIN TRAILER | B | 0.00 | 1.70 | 0.00 | 0.00 | 1.70 | 90.0 | 1.53 |
| 07/11/2018 # | ORIANTE, SEAN | DAIN TRAILER | B | 0.00 | 0.90 | 0.00 | 0.00 | 0.90 | 90.0 | 0.81 |

COMMISSION STATEMENT for THOMAS SMITH

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | POSTAGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-----------------------------|--------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | | |
| 07/11/2018 # | ORIANTE, SEAN | DAIN TRAILER | B | 0.00 | 0.35 | 0.00 | 0.00 | 0.35 | 90.0 | 0.32 |
| 07/11/2018 # | ORIANTE, SEAN | DAIN TRAILER | B | 0.00 | 0.42 | 0.00 | 0.00 | 0.42 | 90.0 | 0.38 |
| 07/11/2018 # | MOORE, KATHERINE | DAIN TRAILER | B | 0.00 | 0.77 | 0.00 | 0.00 | 0.77 | 90.0 | 0.69 |
| 07/11/2018 # | PARK, SUSAN | DAIN TRAILER | B | 0.00 | 4.44 | 0.00 | 0.00 | 4.44 | 90.0 | 4.00 |
| 07/11/2018 # | PARK, SUSAN | DAIN TRAILER | B | 0.00 | 0.69 | 0.00 | 0.00 | 0.69 | 90.0 | 0.62 |
| 07/11/2018 # | HIZA, STEVEN | DAIN TRAILER | B | 0.00 | 2.32 | 0.00 | 0.00 | 2.32 | 90.0 | 2.09 |
| 07/11/2018 # | HIZA, STEVEN | DAIN TRAILER | B | 0.00 | 1.42 | 0.00 | 0.00 | 1.42 | 90.0 | 1.28 |
| 07/11/2018 # | BILLS, BARBARA | DAIN TRAILER | B | 0.00 | 0.25 | 0.00 | 0.00 | 0.25 | 90.0 | 0.23 |
| 07/11/2018 # | BILLS, BARBARA | DAIN TRAILER | B | 0.00 | 0.48 | 0.00 | 0.00 | 0.48 | 90.0 | 0.43 |
| 07/11/2018 # | GILLGREN, JERRY | DAIN TRAILER | B | 0.00 | 0.29 | 0.00 | 0.00 | 0.29 | 90.0 | 0.26 |
| 07/11/2018 # | REED, CASEY | DAIN TRAILER | B | 0.00 | 6.37 | 0.00 | 0.00 | 6.37 | 90.0 | 5.73 |
| 07/11/2018 # | CROWELL-GILLGREN, CHRISTINA | DAIN TRAILER | B | 0.00 | 1.69 | 0.00 | 0.00 | 1.69 | 90.0 | 1.52 |
| 07/11/2018 # | CROWELL-GILLGREN, CHRISTINA | DAIN TRAILER | B | 0.00 | 13.16 | 0.00 | 0.00 | 13.16 | 90.0 | 11.84 |
| 07/11/2018 # | PONT, PRISCILLA | DAIN TRAILER | B | 0.00 | 2.35 | 0.00 | 0.00 | 2.35 | 90.0 | 2.12 |
| 07/11/2018 # | PONT, PRISCILLA | DAIN TRAILER | B | 0.00 | 2.32 | 0.00 | 0.00 | 2.32 | 90.0 | 2.09 |
| 07/11/2018 # | PONT, PRISCILLA | DAIN TRAILER | B | 0.00 | 2.45 | 0.00 | 0.00 | 2.45 | 90.0 | 2.21 |
| 07/11/2018 # | PONT, PRISCILLA | DAIN TRAILER | B | 0.00 | 3.96 | 0.00 | 0.00 | 3.96 | 90.0 | 3.56 |
| 07/11/2018 # | PONT, PRISCILLA | DAIN TRAILER | B | 0.00 | 2.24 | 0.00 | 0.00 | 2.24 | 90.0 | 2.02 |
| 07/11/2018 # | PONT, PRISCILLA | DAIN TRAILER | B | 0.00 | 2.43 | 0.00 | 0.00 | 2.43 | 90.0 | 2.19 |
| 07/11/2018 # | PONT, PRISCILLA | DAIN TRAILER | B | 0.00 | 2.37 | 0.00 | 0.00 | 2.37 | 90.0 | 2.13 |
| 07/11/2018 # | PONT, PRISCILLA | DAIN TRAILER | B | 0.00 | 1.30 | 0.00 | 0.00 | 1.30 | 90.0 | 1.17 |
| 07/11/2018 # | PONT, PRISCILLA | DAIN TRAILER | B | 0.00 | 2.51 | 0.00 | 0.00 | 2.51 | 90.0 | 2.26 |
| 07/11/2018 # | PONT, PRISCILLA | DAIN TRAILER | B | 0.00 | 2.28 | 0.00 | 0.00 | 2.28 | 90.0 | 2.05 |
| 07/11/2018 # | PONT, PRISCILLA | DAIN TRAILER | B | 0.00 | 1.34 | 0.00 | 0.00 | 1.34 | 90.0 | 1.21 |
| 07/11/2018 # | PONT, PRISCILLA | DAIN TRAILER | B | 0.00 | 2.83 | 0.00 | 0.00 | 2.83 | 90.0 | 2.55 |
| 07/11/2018 # | RUFFNER, EMMA | DAIN TRAILER | B | 0.00 | 1.31 | 0.00 | 0.00 | 1.31 | 90.0 | 1.18 |
| 07/11/2018 # | GILLGREN, JERRY | DAIN TRAILER | B | 0.00 | 1.43 | 0.00 | 0.00 | 1.43 | 90.0 | 1.29 |
| 07/11/2018 # | BOWLES, DRAKE | DAIN TRAILER | B | 0.00 | 1.09 | 0.00 | 0.00 | 1.09 | 90.0 | 0.98 |
| 07/11/2018 # | RAE, PETER | DAIN TRAILER | B | 0.00 | 1.60 | 0.00 | 0.00 | 1.60 | 90.0 | 1.44 |
| 07/11/2018 # | RAZZOUQ, FRANKO | DAIN TRAILER | B | 0.00 | 1.33 | 0.00 | 0.00 | 1.33 | 90.0 | 1.20 |
| 07/11/2018 # | RAZZOUQ, FRANKO | DAIN TRAILER | B | 0.00 | 2.92 | 0.00 | 0.00 | 2.92 | 90.0 | 2.63 |
| 07/11/2018 # | ROCK, ZACHARY | DAIN TRAILER | B | 0.00 | 0.93 | 0.00 | 0.00 | 0.93 | 90.0 | 0.84 |
| 07/11/2018 # | GAROUTTE, MICHAEL | DAIN TRAILER | B | 0.00 | 0.88 | 0.00 | 0.00 | 0.88 | 90.0 | 0.79 |
| 07/11/2018 # | REED, JAMES | DAIN TRAILER | B | 0.00 | 5.77 | 0.00 | 0.00 | 5.77 | 90.0 | 5.19 |
| 07/11/2018 # | REED, JAMES | DAIN TRAILER | B | 0.00 | 1.36 | 0.00 | 0.00 | 1.36 | 90.0 | 1.22 |
| 07/11/2018 # | REED, JAMES | DAIN TRAILER | B | 0.00 | 3.05 | 0.00 | 0.00 | 3.05 | 90.0 | 2.75 |
| 07/11/2018 # | REED, JAMES | DAIN TRAILER | B | 0.00 | 1.27 | 0.00 | 0.00 | 1.27 | 90.0 | 1.14 |
| 07/11/2018 # | KNIEF, LEWIS | DAIN TRAILER | B | 0.00 | 20.75 | 0.00 | 0.00 | 20.75 | 90.0 | 18.68 |
| 07/11/2018 # | KNIEF, LEWIS | DAIN TRAILER | B | 0.00 | 22.74 | 0.00 | 0.00 | 22.74 | 90.0 | 20.47 |
| 07/11/2018 # | STEWART, GARY | DAIN TRAILER | B | 0.00 | 2.80 | 0.00 | 0.00 | 2.80 | 90.0 | 2.52 |

COMMISSION STATEMENT for THOMAS SMITH

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | POSTAGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------------|--------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | | |
| 07/11/2018 # | MCDONALD, JOHN | DAIN TRAILER | B | 0.00 | 2.06 | 0.00 | 0.00 | 2.06 | 90.0 | 1.85 |
| 07/11/2018 # | MCDONALD, SHARON | DAIN TRAILER | B | 0.00 | 2.39 | 0.00 | 0.00 | 2.39 | 90.0 | 2.15 |
| 07/11/2018 # | MCDONALD, JOHN | DAIN TRAILER | B | 0.00 | 0.92 | 0.00 | 0.00 | 0.92 | 90.0 | 0.83 |
| 07/11/2018 # | PARK, JUNG | DAIN TRAILER | B | 0.00 | 1.25 | 0.00 | 0.00 | 1.25 | 90.0 | 1.13 |
| 07/11/2018 # | POWERS, DEBORAH | DAIN TRAILER | B | 0.00 | 0.70 | 0.00 | 0.00 | 0.70 | 90.0 | 0.63 |
| 07/11/2018 # | POWERS, RICHARD | DAIN TRAILER | B | 0.00 | 0.68 | 0.00 | 0.00 | 0.68 | 90.0 | 0.61 |
| 07/11/2018 # | ROCK, JUDITH | DAIN TRAILER | B | 0.00 | 0.62 | 0.00 | 0.00 | 0.62 | 90.0 | 0.56 |
| 07/11/2018 # | ROCK, JUDITH | DAIN TRAILER | B | 0.00 | 0.37 | 0.00 | 0.00 | 0.37 | 90.0 | 0.33 |
| 07/11/2018 # | ROCK, JUDITH | DAIN TRAILER | B | 0.00 | 2.10 | 0.00 | 0.00 | 2.10 | 90.0 | 1.89 |
| 07/11/2018 # | ROCK, JUDITH | DAIN TRAILER | B | 0.00 | 3.04 | 0.00 | 0.00 | 3.04 | 90.0 | 2.74 |
| 07/11/2018 # | ROCK, JUDITH | DAIN TRAILER | B | 0.00 | 3.16 | 0.00 | 0.00 | 3.16 | 90.0 | 2.84 |
| 07/11/2018 # | MCGREGOR, ROBERT | DAIN TRAILER | B | 0.00 | 0.58 | 0.00 | 0.00 | 0.58 | 90.0 | 0.52 |
| 07/11/2018 # | MCGREGOR, ROBERT | DAIN TRAILER | B | 0.00 | 0.83 | 0.00 | 0.00 | 0.83 | 90.0 | 0.75 |
| 07/11/2018 # | MCGREGOR, ROBERT | DAIN TRAILER | B | 0.00 | 1.55 | 0.00 | 0.00 | 1.55 | 90.0 | 1.40 |
| 07/11/2018 # | MCGREGOR, ROBERT | DAIN TRAILER | B | 0.00 | 0.45 | 0.00 | 0.00 | 0.45 | 90.0 | 0.41 |
| 07/11/2018 # | MCGREGOR, ROBERT | DAIN TRAILER | B | 0.00 | 0.67 | 0.00 | 0.00 | 0.67 | 90.0 | 0.60 |
| 07/11/2018 # | MCGREGOR, ROBERT | DAIN TRAILER | B | 0.00 | 1.43 | 0.00 | 0.00 | 1.43 | 90.0 | 1.29 |
| 07/11/2018 # | GAROUTTE, MICHAEL | DAIN TRAILER | B | 0.00 | 0.46 | 0.00 | 0.00 | 0.46 | 90.0 | 0.41 |
| 07/11/2018 # | HAMMOND, NORMA | DAIN TRAILER | B | 0.00 | 1.61 | 0.00 | 0.00 | 1.61 | 90.0 | 1.45 |
| 07/11/2018 # | ROCK, MATTHEW | DAIN TRAILER | B | 0.00 | 1.56 | 0.00 | 0.00 | 1.56 | 90.0 | 1.40 |
| 07/11/2018 # | WRIGHT, KAREN | DAIN TRAILER | B | 0.00 | 1.82 | 0.00 | 0.00 | 1.82 | 90.0 | 1.64 |
| 07/11/2018 # | WRIGHT, KAREN | DAIN TRAILER | B | 0.00 | 2.14 | 0.00 | 0.00 | 2.14 | 90.0 | 1.93 |
| 07/11/2018 # | SLAY, BYRON | DAIN TRAILER | B | 0.00 | 1.01 | 0.00 | 0.00 | 1.01 | 90.0 | 0.91 |
| 07/11/2018 # | HONEYCUTT-ARNOLD, BRENDA | DAIN TRAILER | B | 0.00 | 0.02 | 0.00 | 0.00 | 0.02 | 90.0 | 0.02 |
| 07/11/2018 # | HONEYCUTT-ARNOLD, BRENDA | DAIN TRAILER | B | 0.00 | 0.06 | 0.00 | 0.00 | 0.06 | 90.0 | 0.05 |
| 07/11/2018 # | HONEYCUTT-ARNOLD, BRENDA | DAIN TRAILER | B | 0.00 | 0.15 | 0.00 | 0.00 | 0.15 | 90.0 | 0.14 |
| 07/11/2018 # | LITLE, TERRY | DAIN TRAILER | B | 0.00 | 2.34 | 0.00 | 0.00 | 2.34 | 90.0 | 2.11 |
| 07/11/2018 # | LITLE, TERRY | DAIN TRAILER | B | 0.00 | 0.43 | 0.00 | 0.00 | 0.43 | 90.0 | 0.39 |
| 07/11/2018 # | LITLE, TERRY | DAIN TRAILER | B | 0.00 | 0.55 | 0.00 | 0.00 | 0.55 | 90.0 | 0.50 |
| 07/11/2018 # | LITLE, TERRY | DAIN TRAILER | B | 0.00 | 1.47 | 0.00 | 0.00 | 1.47 | 90.0 | 1.32 |
| 07/11/2018 # | LITLE, TERRY | DAIN TRAILER | B | 0.00 | 0.31 | 0.00 | 0.00 | 0.31 | 90.0 | 0.28 |
| 07/11/2018 # | LITLE, TERRY | DAIN TRAILER | B | 0.00 | 4.43 | 0.00 | 0.00 | 4.43 | 90.0 | 3.99 |
| 07/11/2018 # | LITLE, TERRY | DAIN TRAILER | B | 0.00 | 1.09 | 0.00 | 0.00 | 1.09 | 90.0 | 0.98 |
| 07/11/2018 # | LITLE, TERRY | DAIN TRAILER | B | 0.00 | 0.87 | 0.00 | 0.00 | 0.87 | 90.0 | 0.78 |
| 07/11/2018 # | LITLE, TERRY | DAIN TRAILER | B | 0.00 | 0.27 | 0.00 | 0.00 | 0.27 | 90.0 | 0.24 |
| 07/11/2018 # | LITLE, CATHI JO | DAIN TRAILER | B | 0.00 | 2.31 | 0.00 | 0.00 | 2.31 | 90.0 | 2.08 |
| 07/11/2018 # | LITLE, CATHI JO | DAIN TRAILER | B | 0.00 | 1.67 | 0.00 | 0.00 | 1.67 | 90.0 | 1.50 |
| 07/11/2018 # | BLACKMAN, CARROLL | DAIN TRAILER | B | 0.00 | 4.39 | 0.00 | 0.00 | 4.39 | 90.0 | 3.95 |
| 07/11/2018 # | BLACKMAN, CARROLL | DAIN TRAILER | B | 0.00 | 2.12 | 0.00 | 0.00 | 2.12 | 90.0 | 1.91 |
| 07/11/2018 # | BLACKMAN, CARROLL | DAIN TRAILER | B | 0.00 | 4.58 | 0.00 | 0.00 | 4.58 | 90.0 | 4.12 |

COMMISSION STATEMENT for THOMAS SMITH

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | POSTAGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-------------------|--------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
| BROKER TRANSACTIONS | | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | | | |
| 07/11/2018 # | BLACKMAN, CARROLL | DAIN TRAILER | B | 0.00 | 4.45 | 0.00 | 0.00 | 4.45 | 90.0 | 4.01 |
| 07/11/2018 # | BLACKMAN, CARROLL | DAIN TRAILER | B | 0.00 | 5.18 | 0.00 | 0.00 | 5.18 | 90.0 | 4.66 |
| 07/11/2018 # | BLACKMAN, CARROLL | DAIN TRAILER | B | 0.00 | 7.48 | 0.00 | 0.00 | 7.48 | 90.0 | 6.73 |
| 07/11/2018 # | WAGNER, JAMES | DAIN TRAILER | B | 0.00 | 2.12 | 0.00 | 0.00 | 2.12 | 90.0 | 1.91 |
| 07/11/2018 # | WAGNER, ANDRE | DAIN TRAILER | B | 0.00 | 2.73 | 0.00 | 0.00 | 2.73 | 90.0 | 2.46 |
| 07/11/2018 # | WAGNER, ANDRE | DAIN TRAILER | B | 0.00 | 1.29 | 0.00 | 0.00 | 1.29 | 90.0 | 1.16 |
| 07/11/2018 # | WAGNER, ANDRE | DAIN TRAILER | B | 0.00 | 1.23 | 0.00 | 0.00 | 1.23 | 90.0 | 1.11 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | \$0.00 | \$256.35 | \$0.00 | \$0.00 | \$256.35 | | \$230.78 |
| *** BROKER TRANSACTIONS TOTAL *** | | | | \$48,875.27 | \$1,861.60 | \$179.55 | \$0.00 | \$1,682.05 | | \$1,513.92 |

ADJUSTMENTS

| | | |
|---------------------------|----------------------------------|-----------|
| 08/20/2018 | ADMIN FEE: ADMIN FEE | -390.00 |
| 08/20/2018 | E & O INSURANCE: E & O INSURANCE | -179.00 |
| *** ADJUSTMENTS TOTAL *** | | \$-569.00 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$1,513.92 |
| 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 | \$944.92 |
|--------------|----------|