

STATEMENT

May 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: STOCKS</u> | | | | | | | | | |
| 03/28/2018 # | SWAHN, CHRISTOPHER | AMAZON.COM INC | 178,225.00 | 0.00 | 95.0 | 0.00 | 0.00 | 0.00 | 0.00 |
| 03/28/2018 # | SWAHN, CHRISTOPHER | AMAZON.COM INC | 178,225.00 | 0.00 | 95.0 | 0.00 | 0.00 | 0.00 | 0.00 |
| 03/28/2018 # | SWAHN, CHRISTOPHER | NETFLIX COM INC | 28,966.00 | 0.00 | 95.0 | 0.00 | 0.00 | 0.00 | 0.00 |
| * STOCKS SUBTOTAL * | | | \$385,416.00 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | | |
| 04/03/2018 #E0631193 | DATZ, HELEN | PRUDETIAL TRAILS | 0.00 | 20.12 | 95.0 | 0.00 | 19.11 | 0.00 | 19.11 |
| 04/03/2018 #E0631193 | DATZ, HELEN | PRUDETIAL TRAILS | 0.00 | 5.03 | 95.0 | 0.00 | 4.78 | 0.00 | 4.78 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$0.00 | \$25.15 | | \$0.00 | \$23.89 | \$0.00 | \$23.89 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 03/29/2018 # | PRILL, JOSEPH | DAIN TRAILER | 7,124.00 | 0.00 | 95.0 | 0.00 | 0.00 | 0.00 | 0.00 |
| 03/29/2018 # | PRILL, JOSEPH | DAIN TRAILER | 6,898.44 | 0.00 | 95.0 | 0.00 | 0.00 | 0.00 | 0.00 |
| 04/09/2018 # | GARLOW, CAROL | DAIN TRAILER | 1,000.00 | 0.00 | 95.0 | 0.00 | 0.00 | 0.00 | 0.00 |
| 04/09/2018 # | GARLOW, DONALD | DAIN TRAILER | 1,000.00 | 0.00 | 95.0 | 0.00 | 0.00 | 0.00 | 0.00 |
| 04/10/2018 # | MCCLOY, M JENNIFER | DAIN TRAILER | 0.00 | 5.10 | 95.0 | 0.00 | 4.85 | 0.00 | 4.85 |
| 04/10/2018 # | MCCLOY, M JENNIFER | DAIN TRAILER | 0.00 | 4.15 | 95.0 | 0.00 | 3.94 | 0.00 | 3.94 |
| 04/10/2018 # | ROSA, ANN MARIE | DAIN TRAILER | 0.00 | 5.10 | 95.0 | 0.00 | 4.85 | 0.00 | 4.85 |
| 04/10/2018 # | ROSA, ANN MARIE | DAIN TRAILER | 0.00 | 4.15 | 95.0 | 0.00 | 3.94 | 0.00 | 3.94 |
| 04/10/2018 # | JOHNSTON, JOHN | DAIN TRAILER | 0.00 | 0.04 | 95.0 | 0.00 | 0.04 | 0.00 | 0.04 |
| 04/10/2018 # | JOHNSTON, JOHN | DAIN TRAILER | 0.00 | 2.61 | 95.0 | 0.00 | 2.48 | 0.00 | 2.48 |
| 04/10/2018 # | TAYLOR, MELISSA | DAIN TRAILER | 0.00 | 2.17 | 95.0 | 0.00 | 2.06 | 0.00 | 2.06 |
| 04/10/2018 # | TAYLOR, MELISSA | DAIN TRAILER | 0.00 | 22.16 | 95.0 | 0.00 | 21.05 | 0.00 | 21.05 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 1.32 | 95.0 | 0.00 | 1.25 | 0.00 | 1.25 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 0.33 | 95.0 | 0.00 | 0.31 | 0.00 | 0.31 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 1.48 | 95.0 | 0.00 | 1.41 | 0.00 | 1.41 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 0.85 | 95.0 | 0.00 | 0.81 | 0.00 | 0.81 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 0.66 | 95.0 | 0.00 | 0.63 | 0.00 | 0.63 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 0.90 | 95.0 | 0.00 | 0.86 | 0.00 | 0.86 |

COMMISSION STATEMENT for JOHN PINEMAN

| 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 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 2.64 | 95.0 | 0.00 | 2.51 | 0.00 | 2.51 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 0.51 | 95.0 | 0.00 | 0.48 | 0.00 | 0.48 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 1.18 | 95.0 | 0.00 | 1.12 | 0.00 | 1.12 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 0.54 | 95.0 | 0.00 | 0.51 | 0.00 | 0.51 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 0.27 | 95.0 | 0.00 | 0.26 | 0.00 | 0.26 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 0.67 | 95.0 | 0.00 | 0.64 | 0.00 | 0.64 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 1.81 | 95.0 | 0.00 | 1.72 | 0.00 | 1.72 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 1.48 | 95.0 | 0.00 | 1.41 | 0.00 | 1.41 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 2.84 | 95.0 | 0.00 | 2.70 | 0.00 | 2.70 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 0.75 | 95.0 | 0.00 | 0.71 | 0.00 | 0.71 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 1.30 | 95.0 | 0.00 | 1.24 | 0.00 | 1.24 |
| 04/10/2018 # | PRILL, JOSEPH | DAIN TRAILER | 0.00 | 0.48 | 95.0 | 0.00 | 0.46 | 0.00 | 0.46 |
| 04/10/2018 # | PRILL, DANNA | DAIN TRAILER | 0.00 | 1.08 | 95.0 | 0.00 | 1.03 | 0.00 | 1.03 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$16,022.44 | \$66.57 | | \$0.00 | \$63.27 | \$0.00 | \$63.27 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$401,438.44 | \$91.72 | | \$0.00 | \$87.16 | \$0.00 | \$87.16 |
| OVERRIDE TRANSACTIONS | | | | | | | | | |
| GORMAN, MICHAEL | | | | 601.27 | | | | | 12.03 |
| *** OVERRIDE TRANSACTIONS TOTAL *** | | | | \$601.27 | | | | | \$12.03 |
| ADJUSTMENTS | | | | | | | | | |
| 05/20/2018 | ADMIN FEE: ADMIN FEE | | | | | | | | -70.00 |
| 05/20/2018 | E & O INSURANCE: E & O INSURANCE | | | | | | | | -49.50 |
| *** ADJUSTMENTS TOTAL *** | | | | | | | | | \$-119.50 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-----------|
| Broker Transactions | \$87.16 |
| Split Transactions | \$0.00 |
| Override Transactions | \$12.03 |
| Adjustments | \$-119.50 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$-102.97 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

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

| | |
|------------------------|------------------|
| Balance Forward | \$-123.28 |
|------------------------|------------------|