

**COMMISSION STATEMENT****March 15, 2018**

HERBERT, A123 ALSTON
4200 Park Blvd
Suite 154
Oakland, CA 94602

BROKER #: A123
BRANCH: HERBERT ALSTON

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</u>								
03/01/2018	COHEN, LORI PIERCE-	AM FUNDS AMERICAN MUTUAL 529A	0.00	1.84	0.00	1.84	75.0	1.38
03/01/2018	COHEN, LORI PIERCE-	AM FUNDS AMERICAN MUTUAL 529C	0.00	3.26	0.00	3.26	75.0	2.45
03/01/2018	BRADY, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.41	0.00	1.41	75.0	1.06
03/01/2018	BRADY, JOHN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	8.45	0.00	8.45	75.0	6.34
03/01/2018	COHEN, LORI PIERCE-	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.13	0.00	2.13	75.0	1.60
03/01/2018	COHEN, LORI PIERCE-	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	15.36	0.00	15.36	75.0	11.52
03/01/2018	BRADY, JOHN	AM FUNDS HIGH INCOME TRUST 529A	0.00	1.96	0.00	1.96	75.0	1.47
03/01/2018	BRADY, JOHN	AM FUNDS ICA 529A	0.00	22.73	0.00	22.73	75.0	17.05
03/01/2018	COHEN, LORI PIERCE-	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.65	0.00	1.65	75.0	1.24
03/01/2018	COHEN, LORI PIERCE-	AM FUNDS NEW PERSPECTIVE 529C	0.00	14.07	0.00	14.07	75.0	10.55
03/01/2018	BRADY, JOHN	AM FUNDS SMALLCAP WORLD-529A	0.00	2.71	0.00	2.71	75.0	2.03
03/06/2018	LAYCOCK, VICKI	APPLE INC COM	-39,758.63	14.67	15.01	-0.34	75.0	-0.26
03/06/2018	LAYCOCK, VICKI	ARK ETF TR WEB X.0 ETF	39,762.59	14.67	15.42	-0.75	75.0	-0.56
02/12/2018	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	5.58	0.00	5.58	75.0	4.19
02/12/2018	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.83	0.00	0.83	75.0	0.62
02/12/2018	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	4.05	0.00	4.05	75.0	3.04
03/07/2018	CHASALOW, FRED	CALL 100 PATTERN ENERGY GROUP INC C	-1,060.00	18.01	18.01	0.00	75.0	0.00
02/15/2018	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.87	0.00	0.87	75.0	0.65
02/16/2018	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	2.05	0.00	2.05	75.0	1.54
02/16/2018	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	8.08	0.00	8.08	75.0	6.06
02/28/2018	CHASALOW, FRED	ONELIFE TECHNOLOGIES CORP	2,820.00	14.67	16.67	-2.00	75.0	-1.50
03/06/2018	CHASALOW, FRED	PATTERN ENERGY GROUP INC CL A	17,029.90	14.67	15.67	-1.00	75.0	-0.75
02/21/2018	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.55	0.00	1.55	75.0	1.16
* A132 - HERB/FRED ALSTON/CHASALOW SUBTOTAL *			\$18,793.86	\$175.27	\$80.78	\$94.49		\$70.88
*** SPLIT TRANSACTIONS TOTAL ***			\$18,793.86	\$175.27	\$80.78	\$94.49		\$70.88

NOTES: * - Indicates adjustment is not included in 1099 Earnings

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
03/15/2018		*AI INSIGHT: CURRENT MONTH	0.00					-7.00
03/15/2018		*CREDIT CARD PYT: CREDIT CARD PYT	0.00					505.00
03/15/2018		*DOCUSIGN: CURRENT MONTH	0.00					-18.00
03/15/2018		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
03/15/2018		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$0.00

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$70.88
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

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

Balance Forward	\$70.88
Year-to-date Gross	\$9,792.93
Year-to-date Earnings	\$7,255.44

NOTES: * - Indicates adjustment is not included in 1099 Earnings

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed