



COMMISSION STATEMENT

February 26, 2018

ANDY KALINOWSKI

BROKER #: AK417

BRANCH #01016 - 16 - CASPER

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 02/15/2018 | ***-**-336I - REEKIE, JANICE | AMERICAN FUNDS 2030 TARGET DATE-C | 50.00 | 0.50 | 0.00 | 0.50 | 95.0 | 0.48 |
| | ACCOUNT #: 04000004425 | BUY 3 Units @14.4500 | | | | | | |
| 02/16/2018 | ***-**-3644 - BROOKMIRE, MATT | FA 529 COLLEGE PORT-CL A | 200.00 | 10.00 | 0.00 | 10.00 | 95.0 | 9.50 |
| | ACCOUNT #: 00701328528 | BUY 11 Units @18.5700 | | | | | | |
| 02/15/2018 | ***-**-36IR - LEONE-WHITTLE, | THE GROWTH FUND OF AMERICA-C | 50.00 | 0.50 | 0.00 | 0.50 | 95.0 | 0.48 |
| | ACCOUNT #: 00068471550 | BUY 1 Units @48.4200 | | | | | | |
| 02/26/2018 | ***-**-6713 - KREMER, JOHN | VIRTUS MF | 25.00 | 1.25 | 0.00 | 1.25 | 95.0 | 1.19 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-3782 - WEINERT-WILEY, | VIRTUS MF | 50.00 | 2.50 | 0.00 | 2.50 | 95.0 | 2.38 |
| | | BUY 0 Units @0.0000 | | | | | | |
| | | * MUTUAL FUNDS SUBTOTAL * | \$375.00 | \$14.75 | \$0.00 | \$14.75 | | \$14.03 |
| <u>PRODUCT CATEGORY: 529 PLAN</u> | | | | | | | | |
| 02/21/2018 | ***-**-43IN - AGLE, PATRICIA | COLUMBIA MF TRAILS | 0.00 | 29.66 | 0.00 | 29.66 | 95.0 | 28.18 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 02/21/2018 | ***-**-43IN - AGLE, PATRICIA | COLUMBIA MF TRAILS | 0.00 | 40.52 | 0.00 | 40.52 | 95.0 | 38.49 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 02/21/2018 | ***-**-919I - KITSON, THOMAS | COLUMBIA MF TRAILS | 0.00 | 6.62 | 0.00 | 6.62 | 95.0 | 6.29 |
| | | BUY 0 Units @0.0000 | | | | | | |
| | | * 529 PLAN SUBTOTAL * | \$0.00 | \$76.80 | \$0.00 | \$76.80 | | \$72.96 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 02/22/2018 | ***-**-804T - THE 403 (B)(7) | DELAWARE INV MF TRAILS | 0.00 | 3.25 | 0.00 | 3.25 | 95.0 | 3.09 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 02/22/2018 | ***-**-52IR - CAROSCIO, | DELAWARE INV MF TRAILS | 0.00 | 11.14 | 0.00 | 11.14 | 95.0 | 10.58 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 02/22/2018 | ***-**-4835 - MULLER, DIANE | DELAWARE INV MF TRAILS | 0.00 | 11.24 | 0.00 | 11.24 | 95.0 | 10.68 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 02/22/2018 | ***-**-238I - MC ELHANEY, | DELAWARE INV MF TRAILS | 0.00 | 7.29 | 0.00 | 7.29 | 95.0 | 6.93 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 02/22/2018 | ***-**-567I - SHAW, FAITH | DELAWARE INV MF TRAILS | 0.00 | 1.55 | 0.00 | 1.55 | 95.0 | 1.47 |
| | | BUY 0 Units @0.0000 | | | | | | |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/22/2018 | ***-**-0280 - KRIEL, KRISTEN | DELAWARE INV MF TRAILS BUY 0 Units @0.0000 | 0.00 | 1.67 | 0.00 | 1.67 | 95.0 | 1.59 |
| 02/22/2018 | ***-**-104T - THE 403 (B)(7) | DELAWARE INV MF TRAILS BUY 0 Units @0.0000 | 0.00 | 0.03 | 0.00 | 0.03 | 95.0 | 0.03 |
| 02/22/2018 | ***-**-413T - THE 403 (B)(7) | DELAWARE INV MF TRAILS BUY 0 Units @0.0000 | 0.00 | 6.80 | 0.00 | 6.80 | 95.0 | 6.46 |
| 02/22/2018 | ***-**-419T - THE 403 (B)(7) | DELAWARE INV MF TRAILS BUY 0 Units @0.0000 | 0.00 | 1.11 | 0.00 | 1.11 | 95.0 | 1.05 |
| 02/22/2018 | ***-**-6501 - AGLE, JONATHAN | DELAWARE INV MF TRAILS BUY 0 Units @0.0000 | 0.00 | 4.11 | 0.00 | 4.11 | 95.0 | 3.90 |
| 02/22/2018 | ***-**-39UG - KEOUGH, MARILYN | DELAWARE INV MF TRAILS BUY 0 Units @0.0000 | 0.00 | 1.84 | 0.00 | 1.84 | 95.0 | 1.75 |
| 02/22/2018 | ***-**-6501 - AGLE, JONATHAN | DELAWARE INV MF TRAILS BUY 0 Units @0.0000 | 0.00 | 2.93 | 0.00 | 2.93 | 95.0 | 2.78 |
| 02/22/2018 | ***-**-6501 - AGLE, JONATHAN | DELAWARE INV MF TRAILS BUY 0 Units @0.0000 | 0.00 | 6.06 | 0.00 | 6.06 | 95.0 | 5.76 |
| 02/22/2018 | ***-**-4930 - SCIFANO, VINCENT | DELAWARE INV MF TRAILS BUY 0 Units @0.0000 | 0.00 | 0.50 | 0.00 | 0.50 | 95.0 | 0.48 |
| 02/22/2018 | ***-**-919I - KITSON, THOMAS | DELAWARE INV MF TRAILS BUY 0 Units @0.0000 | 0.00 | 1.10 | 0.00 | 1.10 | 95.0 | 1.05 |
| 02/14/2018 | ***-**-606I - REUS, MARTHA ACCOUNT #: 00010009569 | US GOVT FUND CLASS A BUY 0 Units @0.0000 | 0.00 | 41.40 | 0.00 | 41.40 | 95.0 | 39.33 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$102.02 | \$0.00 | \$102.02 | | \$96.93 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$375.00 | \$193.57 | \$0.00 | \$193.57 | | \$183.92 |



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| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: RONALD DRAKE</u> | | | | | | | | |
| 02/20/2018 | ***-**-108X - FOREST, NSPS ACCOUNT #: LSR010522 | AMCAP FUND-A BUY 1 Units @0.0000 | 0.00 | 0.75 | 0.00 | 0.75 | 20.0 | 0.15 |
| 02/12/2018 | ***-**-2146 - JONES, KELLIE ACCOUNT #: 00087644930 | AMERICAN BALANCED FUND-A BUY 4 Units @28.5200 | 100.00 | 5.00 | 0.00 | 5.00 | 20.0 | 1.00 |
| 02/15/2018 | ***-**-8906 - ISBELL, ACCOUNT #: 00073594886 | AMERICAN BALANCED FUND-A BUY 2 Units @28.2500 | 50.00 | 1.38 | 0.00 | 1.38 | 20.0 | 0.28 |
| 02/15/2018 | ***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557 | AMERICAN BALANCED FUND-A BUY 2 Units @28.2500 | 50.00 | 1.38 | 0.00 | 1.38 | 20.0 | 0.28 |
| 02/15/2018 | ***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912 | AMERICAN BALANCED FUND-A BUY 4 Units @28.2500 | 100.00 | 2.75 | 0.00 | 2.75 | 20.0 | 0.55 |
| 02/20/2018 | ***-**-78IO - DONOVAN, FBO ACCOUNT #: LSR010557 | AMERICAN BALANCED FUND-A BUY 1 Units @0.0000 | 0.00 | 0.72 | 0.00 | 0.72 | 20.0 | 0.14 |
| 02/20/2018 | ***-**-190X - HULL, JENNIFER ACCOUNT #: LSR010646 | AMERICAN BALANCED FUND-A BUY 1 Units @0.0000 | 0.00 | 0.25 | 0.00 | 0.25 | 20.0 | 0.05 |
| 02/20/2018 | ***-**-09IO - CAREY, FBO ACCOUNT #: LSR011076 | AMERICAN BALANCED FUND-A BUY 1 Units @0.0000 | 0.00 | 5.55 | 0.00 | 5.55 | 20.0 | 1.11 |
| 02/20/2018 | ***-**-108X - FOREST, NSPS ACCOUNT #: LSR010522 | AMERICAN BALANCED FUND-A BUY 1 Units @0.0000 | 0.00 | 3.09 | 0.00 | 3.09 | 20.0 | 0.62 |
| 02/20/2018 | ***-**-653X - WERNER, FBO EVAN ACCOUNT #: LSR010638 | AMERICAN BALANCED FUND-A BUY 1 Units @0.0000 | 0.00 | 1.29 | 0.00 | 1.29 | 20.0 | 0.26 |
| 02/20/2018 | ***-**-641X - BULLARO, FBO ACCOUNT #: LSR010641 | AMERICAN BALANCED FUND-A BUY 1 Units @0.0000 | 0.00 | 0.63 | 0.00 | 0.63 | 20.0 | 0.13 |
| 02/20/2018 | ***-**-435X - KEITH, FBO ACCOUNT #: LSR010643 | AMERICAN BALANCED FUND-A BUY 1 Units @0.0000 | 0.00 | 0.63 | 0.00 | 0.63 | 20.0 | 0.13 |
| 02/20/2018 | ***-**-721X - VAILLANCOURT, ACCOUNT #: LSR010644 | AMERICAN BALANCED FUND-A BUY 1 Units @0.0000 | 0.00 | 0.20 | 0.00 | 0.20 | 20.0 | 0.04 |
| 02/20/2018 | ***-**-008X - HICKS, FBO ACCOUNT #: LSR010645 | AMERICAN BALANCED FUND-A BUY 1 Units @0.0000 | 0.00 | 0.93 | 0.00 | 0.93 | 20.0 | 0.19 |
| 02/20/2018 | ***-**-653I - WERNER, EVAN ACCOUNT #: LSR010661 | AMERICAN BALANCED FUND-A BUY 1 Units @0.0000 | 0.00 | 2.60 | 0.00 | 2.60 | 20.0 | 0.52 |
| 02/20/2018 | ***-**-05IR - DAVIS, STEPHEN ACCOUNT #: LSR010693 | AMERICAN BALANCED FUND-A BUY 1 Units @0.0000 | 0.00 | 1.93 | 0.00 | 1.93 | 20.0 | 0.39 |



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| <u> OVERRIDE TRANSACTIONS (continued) </u> | | | | | | | | |
| <u>BROKER: RONALD DRAKE (continued)</u> | | | | | | | | |
| 02/20/2018 | ***-**-722I - SCOONES, FBO ACCOUNT #: LSR010722 | AMERICAN BALANCED FUND-A BUY 1 Units @0.0000 | 0.00 | 6.67 | 0.00 | 6.67 | 20.0 | 1.33 |
| 02/20/2018 | ***-**-09IO - CAREY, FBO ACCOUNT #: LSR011076 | AMERICAN FUNDS 2035 TARGET DATE-A BUY 1 Units @0.0000 | 0.00 | 5.35 | 0.00 | 5.35 | 20.0 | 1.07 |
| 02/20/2018 | ***-**-09IR - CAREY, FBO ACCOUNT #: LSR011102 | AMERICAN FUNDS 2035 TARGET DATE-A BUY 1 Units @0.0000 | 0.00 | 0.14 | 0.00 | 0.14 | 20.0 | 0.03 |
| 02/15/2018 | ***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557 | AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.6400 | 50.00 | 1.38 | 0.00 | 1.38 | 20.0 | 0.28 |
| 02/15/2018 | ***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912 | AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.6400 | 50.00 | 1.38 | 0.00 | 1.38 | 20.0 | 0.28 |
| 02/20/2018 | ***-**-595X - WERNER, FBO ACCOUNT #: LSR010640 | AMERICAN HIGH-INCOME TRUST-A BUY 1 Units @0.0000 | 0.00 | 0.68 | 0.00 | 0.68 | 20.0 | 0.14 |
| 02/20/2018 | ***-**-595I - WERNER, GWENN ACCOUNT #: LSR010658 | AMERICAN HIGH-INCOME TRUST-A BUY 1 Units @0.0000 | 0.00 | 2.65 | 0.00 | 2.65 | 20.0 | 0.53 |
| 02/20/2018 | ***-**-722I - SCOONES, FBO ACCOUNT #: LSR010722 | AMERICAN HIGH-INCOME TRUST-A BUY 1 Units @0.0000 | 0.00 | 4.84 | 0.00 | 4.84 | 20.0 | 0.97 |
| 02/20/2018 | ***-**-336J - GETCHELL, DIANNE ACCOUNT #: LSR011100 | AMERICAN HIGH-INCOME TRUST-A BUY 1 Units @0.0000 | 0.00 | 0.21 | 0.00 | 0.21 | 20.0 | 0.04 |
| 02/20/2018 | ***-**-336I - GETCHELL, FBO ACCOUNT #: LSR011101 | AMERICAN HIGH-INCOME TRUST-A BUY 1 Units @0.0000 | 0.00 | 0.30 | 0.00 | 0.30 | 20.0 | 0.06 |
| 02/20/2018 | ***-**-336J - GETCHELL, DIANNE ACCOUNT #: LSR011100 | AMERICAN TAX EXEMPT OF NEW YORK CL BUY 1 Units @0.0000 | 0.00 | 0.23 | 0.00 | 0.23 | 20.0 | 0.05 |
| 02/06/2018 | ***-**-70IN - KING, SUSAN ACCOUNT #: 03210336612 | CAPITAL APPRECIATION A BUY 0 Units @0.0000 | 60.00 | 1.80 | 0.00 | 1.80 | 20.0 | 0.36 |
| 02/06/2018 | ***-**-481J - MERRILL, JASON ACCOUNT #: 03009145730 | CAPITAL INCOME A BUY 0 Units @0.0000 | 62.50 | 1.88 | 0.00 | 1.88 | 20.0 | 0.38 |
| 02/12/2018 | ***-**-4932 - BAKER, STEVEN ACCOUNT #: 03008792487 | CAPITAL INCOME A BUY 0 Units @0.0000 | 262.50 | 12.47 | 0.00 | 12.47 | 20.0 | 2.49 |
| 02/12/2018 | ***-**-030J - MERRILL, ACCOUNT #: 03009145719 | CAPITAL INCOME A BUY 0 Units @0.0000 | 62.50 | 1.88 | 0.00 | 1.88 | 20.0 | 0.38 |
| 02/20/2018 | ***-**-595I - WERNER, GWENN ACCOUNT #: LSR010658 | CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000 | 0.00 | 2.76 | 0.00 | 2.76 | 20.0 | 0.55 |



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| <u> OVERRIDE TRANSACTIONS (continued) </u> | | | | | | | | |
| <u>BROKER: RONALD DRAKE (continued)</u> | | | | | | | | |
| 02/20/2018 | ***-**-108X - FOREST, NSPS ACCOUNT #: LSR010522 | CAPITAL WORLD BOND FUND-A BUY 1 Units @0.0000 | 0.00 | 1.19 | 0.00 | 1.19 | 20.0 | 0.24 |
| 02/15/2018 | ***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557 | CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @54.6600 | 50.00 | 1.38 | 0.00 | 1.38 | 20.0 | 0.28 |
| 02/20/2018 | ***-**-108X - FOREST, NSPS ACCOUNT #: LSR010522 | CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000 | 0.00 | 2.48 | 0.00 | 2.48 | 20.0 | 0.50 |
| 02/20/2018 | ***-**-653X - WERNER, FBO EVAN ACCOUNT #: LSR010638 | CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000 | 0.00 | 1.31 | 0.00 | 1.31 | 20.0 | 0.26 |
| 02/20/2018 | ***-**-653I - WERNER, EVAN ACCOUNT #: LSR010661 | CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000 | 0.00 | 1.94 | 0.00 | 1.94 | 20.0 | 0.39 |
| 02/20/2018 | ***-**-722I - SCOONES, FBO ACCOUNT #: LSR010722 | CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000 | 0.00 | 3.84 | 0.00 | 3.84 | 20.0 | 0.77 |
| 02/06/2018 | ***-**-33IN - KING, JOHN ACCOUNT #: 08351548074 | EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000 | 76.00 | 2.28 | 0.00 | 2.28 | 20.0 | 0.46 |
| 02/12/2018 | ***-**-4932 - BAKER, STEVEN ACCOUNT #: 08352551208 | EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000 | 262.50 | 12.47 | 0.00 | 12.47 | 20.0 | 2.49 |
| 02/15/2018 | ***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912 | EUROPACIFIC GROWTH FUND-A BUY 1 Units @60.2200 | 50.00 | 1.38 | 0.00 | 1.38 | 20.0 | 0.28 |
| 02/26/2018 | ***-**-108X - FOREST, NSPS ACCOUNT #: LSR010522 | FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000 | 0.00 | 1.41 | 0.00 | 1.41 | 20.0 | 0.28 |
| 02/26/2018 | ***-**-034X - JONES, KHRYSIE ACCOUNT #: LSR010532 | FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000 | 0.00 | 0.20 | 0.00 | 0.20 | 20.0 | 0.04 |
| 02/26/2018 | ***-**-336I - GETCHELL, FBO ACCOUNT #: LSR011101 | FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000 | 0.00 | 0.03 | 0.00 | 0.03 | 20.0 | 0.01 |
| 02/15/2018 | ***-**-6469 - BENNETT, DAVID | FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000 | 207.25 | 8.29 | 0.00 | 8.29 | 20.0 | 1.66 |
| 02/20/2018 | ***-**-027I - DAVIS, KATHRYN ACCOUNT #: LSR010492 | FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000 | 0.00 | 1.12 | 0.00 | 1.12 | 20.0 | 0.22 |
| 02/15/2018 | ***-**-481J - MERRILL, JASON ACCOUNT #: 000000000426484 | FRANKLIN NEW YORK TAX FREE CLASS C BUY 14 Units @10.8500 | 150.00 | 1.50 | 0.00 | 1.50 | 20.0 | 0.30 |
| 02/15/2018 | ***-**-481J - MERRILL, JASON ACCOUNT #: 000000000033504 | FRANKLIN NY INTR-TRM TF INC FD BUY 13 Units @11.3900 | 150.00 | 1.50 | 0.00 | 1.50 | 20.0 | 0.30 |



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| <u>VERRIDE TRANSACTIONS (continued)</u> | | | | | | | | |
| <u>BROKER: RONALD DRAKE (continued)</u> | | | | | | | | |
| 02/15/2018 | ***-**-6469 - BENNETT, DAVID | FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000 | 400.00 | 20.00 | 0.00 | 20.00 | 20.0 | 4.00 |
| 02/20/2018 | ***-**-027I - DAVIS, KATHRYN ACCOUNT #: LSR010492 | FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000 | 0.00 | 1.82 | 0.00 | 1.82 | 20.0 | 0.36 |
| 02/14/2018 | ***-**-6469 - BENNETT, DAVID ACCOUNT #: 000019414044317 | FRK STRAT INC FND - CL A BUY 40 Units @10.1200 | 400.00 | 16.00 | 0.00 | 16.00 | 20.0 | 3.20 |
| 02/20/2018 | ***-**-027I - DAVIS, KATHRYN ACCOUNT #: LSR010492 | FRK STRAT INC FND - CL A BUY 1 Units @0.0000 | 0.00 | 1.52 | 0.00 | 1.52 | 20.0 | 0.30 |
| 02/20/2018 | ***-**-595X - WERNER, FBO ACCOUNT #: LSR010640 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.31 | 0.00 | 1.31 | 20.0 | 0.26 |
| 02/20/2018 | ***-**-595I - WERNER, GWENN ACCOUNT #: LSR010658 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 3.43 | 0.00 | 3.43 | 20.0 | 0.69 |
| 02/13/2018 | ***-**-4108 - FOREST, YVONNE ACCOUNT #: YF10UM0FNQ | GWG L BOND - 2YR BUY 0 Units @18500.0000 | 18,500.00 | 740.00 | 0.00 | 740.00 | 20.0 | 148.00 |
| 02/20/2018 | ***-**-46IR - SWANCOTT, KELLIE ACCOUNT #: LSR010508 | INVESCO VAN KAMPEN EQUITY AND INCOM BUY 1 Units @0.0000 | 0.00 | 0.37 | 0.00 | 0.37 | 20.0 | 0.07 |
| 02/20/2018 | ***-**-46IR - SWANCOTT, KELLIE ACCOUNT #: LSR010508 | IVK GROWTH AND INCOME FUND - CLASS BUY 1 Units @0.0000 | 0.00 | 0.58 | 0.00 | 0.58 | 20.0 | 0.12 |
| 02/20/2018 | ***-**-027I - DAVIS, KATHRYN ACCOUNT #: LSR010492 | MUTUAL GLOBAL DISCOVERY FUND - CLAS BUY 1 Units @0.0000 | 0.00 | 0.98 | 0.00 | 0.98 | 20.0 | 0.20 |
| 02/06/2018 | ***-**-481J - MERRILL, JASON ACCOUNT #: 05450490435 | OPP PORT SERIES: MOD INV FD A BUY 0 Units @0.0000 | 112.50 | 3.38 | 0.00 | 3.38 | 20.0 | 0.68 |
| 02/12/2018 | ***-**-030J - MERRILL, ACCOUNT #: 05450490490 | OPP PORT SERIES: MOD INV FD A BUY 0 Units @0.0000 | 112.50 | 3.38 | 0.00 | 3.38 | 20.0 | 0.68 |
| 02/06/2018 | ***-**-33IN - KING, JOHN ACCOUNT #: 07859653204 | OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000 | 76.00 | 2.28 | 0.00 | 2.28 | 20.0 | 0.46 |
| 02/06/2018 | ***-**-481J - MERRILL, JASON ACCOUNT #: 01951261073 | OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000 | 12.50 | 0.38 | 0.00 | 0.38 | 20.0 | 0.08 |
| 02/12/2018 | ***-**-030J - MERRILL, ACCOUNT #: 01951261139 | OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000 | 12.50 | 0.38 | 0.00 | 0.38 | 20.0 | 0.08 |
| 02/06/2018 | ***-**-33IN - KING, JOHN ACCOUNT #: 08476672325 | OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000 | 76.00 | 2.28 | 0.00 | 2.28 | 20.0 | 0.46 |



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| <u> OVERRIDE TRANSACTIONS (continued) </u> | | | | | | | | |
| <u>BROKER: RONALD DRAKE (continued)</u> | | | | | | | | |
| 02/06/2018 | ***-**-33IN - KING, JOHN ACCOUNT #: 02514166107 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000 | 76.00 | 2.28 | 0.00 | 2.28 | 20.0 | 0.46 |
| 02/06/2018 | ***-**-70IN - KING, SUSAN ACCOUNT #: 02305070453 | OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000 | 60.00 | 1.65 | 0.00 | 1.65 | 20.0 | 0.33 |
| 02/12/2018 | ***-**-4932 - BAKER, STEVEN ACCOUNT #: 02306510122 | OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000 | 262.50 | 10.50 | 0.00 | 10.50 | 20.0 | 2.10 |
| 02/06/2018 | ***-**-70IN - KING, SUSAN ACCOUNT #: 02253478497 | RISING DIVIDENDS FUND A BUY 0 Units @0.0000 | 80.00 | 2.40 | 0.00 | 2.40 | 20.0 | 0.48 |
| 02/06/2018 | ***-**-33IN - KING, JOHN ACCOUNT #: 02254507140 | RISING DIVIDENDS FUND A BUY 0 Units @0.0000 | 96.00 | 2.88 | 0.00 | 2.88 | 20.0 | 0.58 |
| 02/12/2018 | ***-**-4932 - BAKER, STEVEN ACCOUNT #: 02254109468 | RISING DIVIDENDS FUND A BUY 0 Units @0.0000 | 262.50 | 12.47 | 0.00 | 12.47 | 20.0 | 2.49 |
| 02/06/2018 | ***-**-481J - MERRILL, JASON ACCOUNT #: 06000782397 | SELECT VALUE FUND A BUY 0 Units @0.0000 | 62.50 | 1.88 | 0.00 | 1.88 | 20.0 | 0.38 |
| 02/12/2018 | ***-**-030J - MERRILL, ACCOUNT #: 06000782386 | SELECT VALUE FUND A BUY 0 Units @0.0000 | 62.50 | 1.88 | 0.00 | 1.88 | 20.0 | 0.38 |
| 02/14/2018 | ***-**-6469 - BENNETT, DAVID ACCOUNT #: 000006985890265 | TEMP GLOBAL BOND FND - CL A BUY 20 Units @12.4500 | 250.00 | 10.00 | 0.00 | 10.00 | 20.0 | 2.00 |
| 02/20/2018 | ***-**-027I - DAVIS, KATHRYN ACCOUNT #: LSR010492 | TEMP GLOBAL BOND FND - CL A BUY 1 Units @0.0000 | 0.00 | 1.47 | 0.00 | 1.47 | 20.0 | 0.29 |
| 02/20/2018 | ***-**-108X - FOREST, NSPS ACCOUNT #: LSR010522 | THE BOND FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 1.38 | 0.00 | 1.38 | 20.0 | 0.28 |
| 02/20/2018 | ***-**-722I - SCOONES, FBO ACCOUNT #: LSR010722 | THE BOND FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 2.23 | 0.00 | 2.23 | 20.0 | 0.45 |
| 02/15/2018 | ***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557 | THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.1600 | 70.00 | 1.93 | 0.00 | 1.93 | 20.0 | 0.39 |
| 02/15/2018 | ***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912 | THE GROWTH FUND OF AMERICA-A BUY 2 Units @54.1600 | 133.00 | 3.66 | 0.00 | 3.66 | 20.0 | 0.73 |
| 02/15/2018 | ***-**-9089 - REEDY, LISA ACCOUNT #: 00083100942 | THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.1600 | 50.00 | 1.38 | 0.00 | 1.38 | 20.0 | 0.28 |
| 02/20/2018 | ***-**-09IO - CAREY, FBO ACCOUNT #: LSR011076 | THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 6.35 | 0.00 | 6.35 | 20.0 | 1.27 |



COMMISSION STATEMENT

February 26, 2018

ANDY KALINOWSKI

BROKER #: AK417

BRANCH #01016 - 16 - CASPER

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|---------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: RONALD DRAKE (continued)</u> | | | | | | | | |
| 02/20/2018 | ***-**-653X - WERNER, FBO EVAN | THE GROWTH FUND OF AMERICA-A | 0.00 | 1.30 | 0.00 | 1.30 | 20.0 | 0.26 |
| | ACCOUNT #: LSR010638 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-595I - WERNER, GWENN | THE GROWTH FUND OF AMERICA-A | 0.00 | 3.42 | 0.00 | 3.42 | 20.0 | 0.68 |
| | ACCOUNT #: LSR010658 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-722I - SCOONES, FBO | THE GROWTH FUND OF AMERICA-A | 0.00 | 5.69 | 0.00 | 5.69 | 20.0 | 1.14 |
| | ACCOUNT #: LSR010722 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-149X - PTAK, MATTHEW | THE GROWTH FUND OF AMERICA-A | 0.00 | 0.14 | 0.00 | 0.14 | 20.0 | 0.03 |
| | ACCOUNT #: LSR011220 | BUY 1 Units @0.0000 | | | | | | |
| 02/12/2018 | ***-**-2146 - JONES, KELLIE | THE INCOME FUND OF AMERICA-A | 100.00 | 5.00 | 0.00 | 5.00 | 20.0 | 1.00 |
| | ACCOUNT #: 00087644930 | BUY 4 Units @24.4100 | | | | | | |
| 02/20/2018 | ***-**-09IO - CAREY, FBO | THE INCOME FUND OF AMERICA-A | 0.00 | 5.50 | 0.00 | 5.50 | 20.0 | 1.10 |
| | ACCOUNT #: LSR011076 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-108X - FOREST, NSPS | THE INCOME FUND OF AMERICA-A | 0.00 | 3.42 | 0.00 | 3.42 | 20.0 | 0.68 |
| | ACCOUNT #: LSR010522 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-595X - WERNER, FBO | THE INCOME FUND OF AMERICA-A | 0.00 | 1.32 | 0.00 | 1.32 | 20.0 | 0.26 |
| | ACCOUNT #: LSR010640 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-595I - WERNER, GWENN | THE INCOME FUND OF AMERICA-A | 0.00 | 2.91 | 0.00 | 2.91 | 20.0 | 0.58 |
| | ACCOUNT #: LSR010658 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-336I - GETCHELL, FBO | THE INVESTMENT COMPANY OF AMERICA-A | 0.00 | 0.35 | 0.00 | 0.35 | 20.0 | 0.07 |
| | ACCOUNT #: LSR011101 | BUY 1 Units @0.0000 | | | | | | |
| * RONALD DRAKE SUBTOTAL * | | | \$23,060.25 | \$1,007.50 | \$0.00 | \$1,007.50 | | \$201.59 |
| <u>BROKER: RONALD CIOTOLI</u> | | | | | | | | |
| 02/26/2018 | ***-**-630I - ROMA, JAMES | BLACKROCK ASSET ALLOCATION PORTFOLI | 0.00 | 0.26 | 0.00 | 0.26 | 35.0 | 0.09 |
| | ACCOUNT #: LSR011401 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-630I - ROMA, JAMES | BLACKROCK HIGH YIELD BOND FUND CLAS | 0.00 | 6.54 | 0.00 | 6.54 | 35.0 | 2.29 |
| | ACCOUNT #: LSR011401 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-630I - ROMA, JAMES | BLACKROCK LARGE CAP CORE FUND CL A | 0.00 | 10.91 | 0.00 | 10.91 | 35.0 | 3.82 |
| | ACCOUNT #: LSR011401 | BUY 1 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-3380 - DENTON, KELLI | CAPITAL APPRECIATION A | 50.00 | 2.38 | 0.00 | 2.38 | 35.0 | 0.83 |
| | ACCOUNT #: 03210124708 | BUY 0 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-295P - MILLER, PAUL | NYA JPM 529 MOD AGE-BASED C | 200.00 | 8.80 | 0.00 | 8.80 | 35.0 | 3.08 |
| | ACCOUNT #: 77043335701 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

February 26, 2018

ANDY KALINOWSKI

BROKER #: AK417

BRANCH #01016 - 16 - CASPER

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS (continued) </u> | | | | | | | | |
| <u>BROKER: RONALD CIOTOLI (continued)</u> | | | | | | | | |
| 02/12/2018 | ***-**-717I - EWING, JOSEPH | PORT SERIES: EQUITY INV FD A | 300.00 | 14.25 | 0.00 | 14.25 | 35.0 | 4.99 |
| | ACCOUNT #: 05550672298 | BUY 0 Units @0.0000 | | | | | | |
| 02/16/2018 | ***-**-5000 - CRAWFORD, | THE INCOME FUND OF AMERICA-A | 190.00 | 3.80 | 0.00 | 3.80 | 35.0 | 1.33 |
| | ACCOUNT #: 00067346436 | BUY 8 Units @23.9700 | | | | | | |
| 02/16/2018 | ***-**-5000 - CRAWFORD, | THE INCOME FUND OF AMERICA-A | 57.00 | 1.14 | 0.00 | 1.14 | 35.0 | 0.40 |
| | ACCOUNT #: 00067346436 | BUY 2 Units @23.9700 | | | | | | |
| * RONALD CIOTOLI SUBTOTAL * | | | <u>\$797.00</u> | <u>\$48.08</u> | <u>\$0.00</u> | <u>\$48.08</u> | | <u>\$16.83</u> |
| *** OVERRIDE TRANSACTIONS TOTAL *** | | | <u>\$23,857.25</u> | <u>\$1,055.58</u> | <u>\$0.00</u> | <u>\$1,055.58</u> | | <u>\$218.42</u> |

BROKER COMMISSION TOTALS

| | |
|-----------------------|----------|
| Broker Transactions | \$183.92 |
| Split Transactions | \$0.00 |
| Override Transactions | \$218.42 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$68.06 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|-----------------------|----------|
| Net Commission Earned | \$470.40 |
| Year-to-date Earnings | \$0.00 |