

# STATEMENT

## January 20, 2018

CYNTHIA HERRON - LPCM  
2321 Travis Lane  
#608  
Overland Park, KS 66209-

BROKER #: 3227  
BRANCH: LIBERTY PARTNERS CAP

### COMMISSION STATEMENT for CYNTHIA HERRON - LPCM

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: RIA</u></b>									
01/01/2018	#566198 TCA HERRON VAR	ADDL CASH FOR ALLOC	1,769.72	-0.52	92.0	0.00	-0.48	0.00	-0.48
01/01/2018	#513542 SANTOS, MONICA	DO NOT SELL SECURITIES	124,027.36	-36.17	92.0	0.00	-33.28	0.00	-33.28
01/01/2018	#557019 STRACHAN, GRACE	DO NOT SELL SECURITIES	15,707.68	-4.58	92.0	0.00	-4.21	0.00	-4.21
01/01/2018	#634435 TCA HERRON VAR	HZI CONSERVATIVE	26,609.73	-13.30	92.0	0.00	-12.24	0.00	-12.24
01/01/2018	#512318 BAUM, HARRY	HZI FOCUSED W RA	151,557.58	-75.78	92.0	0.00	-69.72	0.00	-69.72
01/01/2018	#512491 BAUM, HARRY	HZI FOCUSED W RA	66,856.87	-33.43	92.0	0.00	-30.76	0.00	-30.76
01/01/2018	#512459 BAUM, CONNIE	HZI GROWTH	43,382.90	-21.69	92.0	0.00	-19.95	0.00	-19.95
01/01/2018	#513527 WARD-MARCUM,	HZI GROWTH	54,358.24	-27.18	92.0	0.00	-25.01	0.00	-25.01
01/01/2018	#513535 MARCUM, MICHAEL	HZI GROWTH	27,528.43	-13.76	92.0	0.00	-12.66	0.00	-12.66
01/01/2018	#516171 TAYLOR-WHEATON, R	HZI GROWTH	26,791.70	-13.40	92.0	0.00	-12.33	0.00	-12.33
01/01/2018	#516173 WHEATON, RICK	HZI GROWTH	26,823.36	-13.41	92.0	0.00	-12.34	0.00	-12.34
01/01/2018	#516178 CANTRELL, MARGIE	HZI GROWTH	78,631.57	-39.32	92.0	0.00	-36.17	0.00	-36.17
01/01/2018	#525752 TCA HERRON VAR	HZI GROWTH	58,168.93	-29.08	92.0	0.00	-26.75	0.00	-26.75
01/01/2018	#525989 TCA HERRON VAR	HZI GROWTH	26,574.61	-13.29	92.0	0.00	-12.23	0.00	-12.23
01/01/2018	#534867 KELLY, STEVEN	HZI GROWTH	25,765.88	-12.88	92.0	0.00	-11.85	0.00	-11.85
01/01/2018	#543979 RUSSELL, JOHN	HZI GROWTH	38,954.21	-19.48	92.0	0.00	-17.92	0.00	-17.92
01/01/2018	#544680 MARCUM, MICHAEL	HZI GROWTH	33,356.30	-16.68	92.0	0.00	-15.35	0.00	-15.35
01/01/2018	#552059 RARDIN, JOHN	HZI GROWTH	27,523.59	-13.76	92.0	0.00	-12.66	0.00	-12.66
01/01/2018	#552099 EHRLICH, HAROLD	HZI GROWTH	90,327.41	-45.16	92.0	0.00	-41.55	0.00	-41.55
01/01/2018	#552100 STRACHAN, GRACE	HZI GROWTH	100,544.20	-50.27	92.0	0.00	-46.25	0.00	-46.25
01/01/2018	#566198 TCA HERRON VAR	HZI GROWTH	37,419.84	-18.71	92.0	0.00	-17.21	0.00	-17.21
01/01/2018	#617781 TCA HERRON VAR	HZI GROWTH	45,152.25	-22.58	92.0	0.00	-20.77	0.00	-20.77
01/01/2018	#638144 TCA HERRON VAR	HZI GROWTH	26,049.79	-13.02	92.0	0.00	-11.98	0.00	-11.98
01/01/2018	#513538 MOOT, PEGGY	HZI MODERATE	27,593.90	-13.80	92.0	0.00	-12.70	0.00	-12.70
01/01/2018	#516890 ALBIN, JANETTE	HZI MODERATE	26,423.08	-13.21	92.0	0.00	-12.15	0.00	-12.15
01/01/2018	#543962 RUSSELL, JOHN	HZI MODERATE	29,215.42	-14.61	92.0	0.00	-13.44	0.00	-13.44
01/01/2018	#556450 GALVAS, MARIE	HZI MODERATE	232,300.59	-116.15	92.0	0.00	-106.86	0.00	-106.86
01/01/2018	#557019 STRACHAN, GRACE	HZI MODERATE	350,857.22	-175.43	92.0	0.00	-161.40	0.00	-161.40

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: RIA</u></b>									
01/01/2018	#611065 TCA HERRON VAR	HZI MODERATE	39,248.39	-19.62	92.0	0.00	-18.05	0.00	-18.05
01/01/2018	#512459 BAUM, CONNIE	TCA FEES	43,382.90	45.19	92.0	0.00	41.57	0.00	41.57
01/01/2018	#513527 WARD-MARCUM,	TCA FEES	54,358.24	56.62	92.0	0.00	52.09	0.00	52.09
01/01/2018	#513535 MARCUM, MICHAEL	TCA FEES	27,528.43	28.68	92.0	0.00	26.39	0.00	26.39
01/01/2018	#516171 TAYLOR-WHEATON, R	TCA FEES	26,791.70	27.91	92.0	0.00	25.68	0.00	25.68
01/01/2018	#516173 WHEATON, RICK	TCA FEES	26,823.36	27.94	92.0	0.00	25.70	0.00	25.70
01/01/2018	#516178 CANTRELL, MARGIE	TCA FEES	78,631.57	81.91	92.0	0.00	75.36	0.00	75.36
01/01/2018	#525752 TCA HERRON VAR	TCA FEES	58,168.93	60.59	92.0	0.00	55.74	0.00	55.74
01/01/2018	#525989 TCA HERRON VAR	TCA FEES	26,574.61	27.68	92.0	0.00	25.47	0.00	25.47
01/01/2018	#534867 KELLY, STEVEN	TCA FEES	25,765.88	26.84	92.0	0.00	24.69	0.00	24.69
01/01/2018	#543979 RUSSELL, JOHN	TCA FEES	38,954.21	40.58	92.0	0.00	37.33	0.00	37.33
01/01/2018	#544680 MARCUM, MICHAEL	TCA FEES	33,356.30	34.75	92.0	0.00	31.97	0.00	31.97
01/01/2018	#552059 RARDIN, JOHN	TCA FEES	27,523.59	28.67	92.0	0.00	26.38	0.00	26.38
01/01/2018	#552099 EHRLICH, HAROLD	TCA FEES	90,327.41	94.09	92.0	0.00	86.56	0.00	86.56
01/01/2018	#552100 STRACHAN, GRACE	TCA FEES	100,544.20	104.73	92.0	0.00	96.35	0.00	96.35
01/01/2018	#566198 TCA HERRON VAR	TCA FEES	37,419.84	93.55	92.0	0.00	86.07	0.00	86.07
01/01/2018	#617781 TCA HERRON VAR	TCA FEES	45,152.25	47.03	92.0	0.00	43.27	0.00	43.27
01/01/2018	#638144 TCA HERRON VAR	TCA FEES	26,049.79	27.14	92.0	0.00	24.97	0.00	24.97
01/01/2018	#513538 MOOT, PEGGY	TCA FEES	27,593.90	23.00	92.0	0.00	21.16	0.00	21.16
01/01/2018	#516890 ALBIN, JANETTE	TCA FEES	26,423.08	27.52	92.0	0.00	25.32	0.00	25.32
01/01/2018	#543962 RUSSELL, JOHN	TCA FEES	29,215.42	30.43	92.0	0.00	28.00	0.00	28.00
01/01/2018	#556450 GALVAS, MARIE	TCA FEES	232,300.59	241.98	92.0	0.00	222.62	0.00	222.62
01/01/2018	#557019 STRACHAN, GRACE	TCA FEES	350,857.22	365.48	92.0	0.00	336.24	0.00	336.24
01/01/2018	#611065 TCA HERRON VAR	TCA FEES	39,248.39	40.88	92.0	0.00	37.61	0.00	37.61
01/01/2018	#634435 TCA HERRON VAR	TCA FEES	26,609.73	27.72	92.0	0.00	25.50	0.00	25.50
01/01/2018	#512318 BAUM, HARRY	TCA FEES	151,557.58	157.87	92.0	0.00	145.24	0.00	145.24
01/01/2018	#512491 BAUM, HARRY	TCA FEES	66,856.87	69.64	92.0	0.00	64.07	0.00	64.07
01/01/2018	#566198 TCA HERRON VAR	TCA FEES	1,769.72	4.42	92.0	0.00	4.07	0.00	4.07
01/01/2018	#634567 TCA HERRON VAR	TCA PLATFORM FEE	11.32	0.00	92.0	0.00	0.00	0.00	0.00
01/01/2018	#638130 TCA HERRON VAR	TCA PLATFORM FEE	0.08	0.00	92.0	0.00	0.00	0.00	0.00
01/01/2018	#638144 TCA HERRON VAR	TCA PLATFORM FEE	0.08	0.00	92.0	0.00	0.00	0.00	0.00
<b>* RIA SUBTOTAL *</b>			<b>\$3,579,317.94</b>	<b>\$942.57</b>		<b>\$0.00</b>	<b>\$867.15</b>	<b>\$0.00</b>	<b>\$867.15</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$3,579,317.94</b>	<b>\$942.57</b>		<b>\$0.00</b>	<b>\$867.15</b>	<b>\$0.00</b>	<b>\$867.15</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$867.15
Split Transactions	\$0.00
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

<b>Check Amount</b>	<b>\$867.15</b>
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