

September 17, 2018

BERT GOLDBERG

1048 W. Myrna Lane Tempe, AZ 85284 BROKER #: 698

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		:	BROKER TRANSACTIONS					
	CATEGORY: MUTUAL FUNDS							
09/10/201	L8 ***-**-805P - IPPOLITO, NICO ACCOUNT #: 00063922927	LE AMCAP FUND-A BUY 0 Units @35.5400	7.56	0.21	0.00	0.21	70.0	0.15
09/10/201	L8 ***-**-805P - IPPOLITO, NICO. ACCOUNT #: 00063922927	LE AMCAP FUND-A BUY 1 Units @35.5400	30.19	0.83	0.00	0.83	70.0	0.58
09/10/201	L8 ***-**-195P - BAUMANN, TERES. ACCOUNT #: 00063922933	A AMCAP FUND-A BUY 5 Units @35.5400	168.16	4.62	0.00	4.62	70.0	3.23
09/11/201	L8 ***-**-805P - IPPOLITO, NICO. ACCOUNT #: 00063922927	LE AMCAP FUND-A BUY 0 Units @35.6600	7.23	0.20	0.00	0.20	70.0	0.14
09/11/201	L8 ***-**-805P - IPPOLITO, NICO. ACCOUNT #: 00063922927	LE AMCAP FUND-A BUY 1 Units @35.6600	28.88	0.79	0.00	0.79	70.0	0.55
09/11/201	L8 ***-**-195P - BAUMANN, TERES. ACCOUNT #: 00063922933	A AMCAP FUND-A BUY 5 Units @35.6600	168.16	4.62	0.00	4.62	70.0	3.23
09/10/201	L8 ***-**-805P - IPPOLITO, NICO. ACCOUNT #: 00063922927	LE AMERICAN MUTUAL FUND-A BUY 0 Units @44.2200	3.77	0.10	0.00	0.10	70.0	0.07
09/10/201	L8 ***-**-805P - IPPOLITO, NICO. ACCOUNT #: 00063922927	LE AMERICAN MUTUAL FUND-A BUY 0 Units @44.2200	15.09	0.41	0.00	0.41	70.0	0.29
09/10/201	L8 ***-**-195P - BAUMANN, TERES. ACCOUNT #: 00063922933	A AMERICAN MUTUAL FUND-A BUY 4 Units @44.2200	168.16	4.62	0.00	4.62	70.0	3.23
09/11/201	L8 ***-**-805P - IPPOLITO, NICO. ACCOUNT #: 00063922927	LE AMERICAN MUTUAL FUND-A BUY 0 Units @44.2600	3.61	0.10	0.00	0.10	70.0	0.07
09/11/201	L8 ***-**-805P - IPPOLITO, NICO ACCOUNT #: 00063922927	LE AMERICAN MUTUAL FUND-A BUY 0 Units @44.2600	14.45	0.40	0.00	0.40	70.0	0.28
09/11/201	L8 ***-**-195P - BAUMANN, TERES. ACCOUNT #: 00063922933	A AMERICAN MUTUAL FUND-A BUY 4 Units @44.2600	168.16	4.62	0.00	4.62	70.0	3.23
09/10/201	L8 ***-**-805P - IPPOLITO, NICO. ACCOUNT #: 00063922927	LE CAPITAL WORLD GROWTH AND BUY 0 Units @51.9500	INCOME FUN 3.77	0.10	0.00	0.10	70.0	0.07
09/10/201	L8 ***-**-805P - IPPOLITO, NICO ACCOUNT #: 00063922927	LE CAPITAL WORLD GROWTH AND BUY 0 Units @51.9500	INCOME FUN 15.09	0.41	0.00	0.41	70.0	0.29
09/11/201	L8 ***-**-805P - IPPOLITO, NICO ACCOUNT #: 00063922927		INCOME FUN 3.61	0.10	0.00	0.10	70.0	0.07
09/11/201	L8 ***-**-805P - IPPOLITO, NICO ACCOUNT #: 00063922927		INCOME FUN 14.45	0.40	0.00	0.40	70.0	0.28



September 17, 2018

BERT GOLDBERG

1048 W. Myrna Lane Tempe, AZ 85284 BROKER #: 698

DATE	CLIENT	INVESTMENT	INVESTMEN AMOUNT	T GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
PRODUCT	CATEGORY: MUTUAL FUNDS (cor		TRANSACTIONS (con	tinued)				
	.8 ***-**-805P - IPPOLITO, NICOI ACCOUNT #: 00063922927			7.54 0.21	0.00	0.21	70.0	0.15
09/10/201	.8 ***-**-805P - IPPOLITO, NICOI ACCOUNT #: 00063922927		3	0.19 0.83	0.00	0.83	70.0	0.58
09/10/201	.8 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	A FUNDAMENTAL INVESTORS-A BUY 2 Units @66.6200	15	5.22 4.27	0.00	4.27	70.0	2.99
09/11/201	.8 ***-**-805P - IPPOLITO, NICOI ACCOUNT #: 00063922927	LE FUNDAMENTAL INVESTORS-A BUY 0 Units @66.7400		7.22 0.20	0.00	0.20	70.0	0.14
09/11/201	.8 ***-**-805P - IPPOLITO, NICOI ACCOUNT #: 00063922927	LE FUNDAMENTAL INVESTORS-A BUY 0 Units @66.7400	2	8.89 0.79	0.00	0.79	70.0	0.55
09/11/201	.8 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	A FUNDAMENTAL INVESTORS-A BUY 2 Units @66.7400	15	5.22 4.27	0.00	4.27	70.0	2.99
09/10/201	.8 ***-**-805P - IPPOLITO, NICOI ACCOUNT #: 00063922927	LE THE GROWTH FUND OF AMERIC BUY 0 Units @57.2500	A-A	7.54 0.21	0.00	0.21	70.0	0.15
09/10/201	8 ***-**-805P - IPPOLITO, NICOI ACCOUNT #: 00063922927	LE THE GROWTH FUND OF AMERIC BUY 1 Units @57.2500	A-A 3	0.19 0.83	0.00	0.83	70.0	0.58
09/10/201	8 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	A THE GROWTH FUND OF AMERIC BUY 3 Units @57.2500	A-A 15	5.22 4.27	0.00	4.27	70.0	2.99
09/11/201	8 ***-**-805P - IPPOLITO, NICOI ACCOUNT #: 00063922927	LE THE GROWTH FUND OF AMERIC BUY 0 Units @57.6100	A-A	7.22 0.20	0.00	0.20	70.0	0.14
09/11/201	8 ***-**-805P - IPPOLITO, NICOI ACCOUNT #: 00063922927	LE THE GROWTH FUND OF AMERIC BUY 1 Units @57.6100	A-A 2	8.89 0.79	0.00	0.79	70.0	0.55
09/11/201	8 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	A THE GROWTH FUND OF AMERIC BUY 3 Units @57.6100	A-A 15	5.22 4.27	0.00	4.27	70.0	2.99
09/10/201	8 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	A THE INCOME FUND OF AMERIC BUY 6 Units @24.0300	A-A 15	5.22 4.27	0.00	4.27	70.0	2.99
09/11/201	8 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	A THE INCOME FUND OF AMERIC BUY 6 Units @24.0000	A-A 15	5.22 4.27	0.00	4.27	70.0	2.99
09/10/201	.8 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	A THE INVESTMENT COMPANY OF BUY 4 Units @42.8200	AMERICA-A 16	8.14 4.62	0.00	4.62	70.0	3.23
09/11/201	.8 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	A THE INVESTMENT COMPANY OF BUY 4 Units @42.8800	AMERICA-A 16	8.14 4.62	0.00	4.62	70.0	3.23



September 17, 2018

BERT GOLDBERG

1048 W. Myrna Lane Tempe, AZ 85284 BROKER #: 698

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TRANSACT	IONS (continu	ed)				
	CATEGORY: MUTUAL FUNDS (cont 18 ***-**-805P - IPPOLITO, NICOLE ACCOUNT #: 00063922927		7.54	0.21	0.00	0.21	70.0	0.15
09/10/201	8 ***-**-805P - IPPOLITO, NICOLE ACCOUNT #: 00063922927	THE NEW ECONOMY FUND-A BUY 1 Units @50.0600	30.19	0.83	0.00	0.83	70.0	0.58
09/10/201	8 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	THE NEW ECONOMY FUND-A BUY 3 Units @50.0600	155.22	4.27	0.00	4.27	70.0	2.99
09/11/201	L8 ***-**-805P - IPPOLITO, NICOLE ACCOUNT #: 00063922927	THE NEW ECONOMY FUND-A BUY 0 Units @50.1300	7.22	0.20	0.00	0.20	70.0	0.14
09/11/201	L8 ***-**-805P - IPPOLITO, NICOLE ACCOUNT #: 00063922927	THE NEW ECONOMY FUND-A BUY 1 Units @50.1300	28.89	0.79	0.00	0.79	70.0	0.55
09/11/201	8 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	THE NEW ECONOMY FUND-A BUY 3 Units @50.1300	155.22	4.27	0.00	4.27	70.0	2.99
09/10/201	8 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	WASHINGTON MUTUAL INVESTORS FUND-A BUY 3 Units @48.1800	168.16	4.62	0.00	4.62	70.0	3.23
09/11/201	18 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	WASHINGTON MUTUAL INVESTORS FUND-A BUY 3 Units @48.2800	168.16	4.62	0.00	4.62	70.0	3.23
		* MUTUAL FUNDS SUBTOTAL *	\$2,956.22	\$81.26	\$0.00	\$81.26		\$56.86
PRODUCT	CATEGORY: MUTUAL FUND 12B1 T	RAILS						
09/04/201	L8 ***-**-805P - IPPOLITO, NICOLE ACCOUNT #: 00063922927	AMCAP FUND-A BUY 0 Units @0.0000	0.00	12.60	0.00	12.60	70.0	8.82
09/04/201	18 ***-**-515P - BAUMANN, ROBERT ACCOUNT #: 00063922931	AMCAP FUND-A BUY 0 Units @0.0000	0.00	2.39	0.00	2.39	70.0	1.67
09/04/201	8 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	AMCAP FUND-A BUY 0 Units @0.0000	0.00	5.26	0.00	5.26	70.0	3.68
09/04/201	8 ***-**-492I - SELL, MICHAEL ACCOUNT #: 00075946748	AMCAP FUND-A BUY 0 Units @0.0000	0.00	2.03	0.00	2.03	70.0	1.42
09/04/201	8 ***-**-579I - SELL, PATRICIA ACCOUNT #: 00075946796	AMCAP FUND-A BUY 0 Units @0.0000	0.00	2.03	0.00	2.03	70.0	1.42
09/04/201	8 ***-**-492I - SELL, MICHAEL ACCOUNT #: 00075946748	AMERICAN HIGH-INCOME TRUST-A BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	70.0	0.26
09/04/201	8 ***-**-579I - SELL, PATRICIA ACCOUNT #: 00075946796	AMERICAN HIGH-INCOME TRUST-A BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	70.0	0.26



September 17, 2018

BERT GOLDBERG

1048 W. Myrna Lane Tempe, AZ 85284 BROKER #: 698

DATE	CLIENT	INVESTMENT		YESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
PRODUCT	CATEGORY: MUTUAL FUND 12B1 T		TRANSACTIONS	(continu	ued)				
09/04/201	8 ***-**-805P - IPPOLITO, NICOLE ACCOUNT #: 00063922927	AMERICAN MUTUAL FUND-A BUY 0 Units @0.0000		0.00	5.77	0.00	5.77	70.0	4.04
09/04/201	8 ***-**-515P - BAUMANN, ROBERT ACCOUNT #: 00063922931	AMERICAN MUTUAL FUND-A BUY 0 Units @0.0000		0.00	2.23	0.00	2.23	70.0	1.56
09/04/201	8 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	AMERICAN MUTUAL FUND-A BUY 0 Units @0.0000		0.00	4.89	0.00	4.89	70.0	3.42
09/04/201	8 ***-**-515P - BAUMANN, ROBERT ACCOUNT #: 00063922931	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000		0.00	1.84	0.00	1.84	70.0	1.29
09/04/201	8 ***-**-492I - SELL, MICHAEL ACCOUNT #: 00075946748	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000		0.00	0.92	0.00	0.92	70.0	0.64
09/04/201	8 ***-**-5791 - SELL, PATRICIA ACCOUNT #: 00075946796	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000		0.00	0.92	0.00	0.92	70.0	0.64
09/04/201	8 ***-**-875P - LANGILL, ACCOUNT #: 00082197082	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000		0.00	0.03	0.00	0.03	70.0	0.02
09/04/201	8 ***-**-805P - IPPOLITO, NICOLE ACCOUNT #: 00063922927	CAPITAL WORLD GROWTH AND BUY 0 Units @0.0000	INCOME FUN	0.00	5.73	0.00	5.73	70.0	4.01
09/04/201	8 ***-**-492I - SELL, MICHAEL ACCOUNT #: 00075946748	CAPITAL WORLD GROWTH AND BUY 0 Units @0.0000	INCOME FUN	0.00	1.78	0.00	1.78	70.0	1.25
09/04/201	8 ***-**-5791 - SELL, PATRICIA ACCOUNT #: 00075946796	CAPITAL WORLD GROWTH AND BUY 0 Units @0.0000	INCOME FUN	0.00	1.78	0.00	1.78	70.0	1.25
09/04/201	8 ***-**-875P - LANGILL, ACCOUNT #: 00082197082	CAPITAL WORLD GROWTH AND BUY 0 Units @0.0000	INCOME FUN	0.00	0.15	0.00	0.15	70.0	0.11
09/04/201	8 ***-**-875P - LANGILL, ACCOUNT #: 00082197082	EUROPACIFIC GROWTH FUND-ABUY 0 Units @0.0000		0.00	0.06	0.00	0.06	70.0	0.04
09/04/201	8 ***-**-805P - IPPOLITO, NICOLE ACCOUNT #: 00063922927	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000		0.00	13.03	0.00	13.03	70.0	9.12
09/04/201	8 ***-**-515P - BAUMANN, ROBERT ACCOUNT #: 00063922931	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000		0.00	2.17	0.00	2.17	70.0	1.52
09/04/201	8 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000		0.00	4.74	0.00	4.74	70.0	3.32
09/04/201	8 ***-**-875P - LANGILL, ACCOUNT #: 00082197082	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000		0.00	0.19	0.00	0.19	70.0	0.13



September 17, 2018

BERT GOLDBERG

1048 W. Myrna Lane Tempe, AZ 85284 BROKER #: 698

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TRANSAC	CTIONS (continu	ed)				
PRODUCT	CATEGORY: MUTUAL FUND 12B1	TRAILS (continued)						
09/04/20	18 ***-**-492I - SELL, MICHAEL ACCOUNT #: 00075946748	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	0.56	0.00	0.56	70.0	0.39
09/04/20	18 ***-**-5791 - SELL, PATRICIA ACCOUNT #: 00075946796	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	0.56	0.00	0.56	70.0	0.39
09/04/20	18 ***-**-492I - SELL, MICHAEL ACCOUNT #: 00075946748	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.48	0.00	1.48	70.0	1.04
09/04/20	18 ***-**-579I - SELL, PATRICIA ACCOUNT #: 00075946796	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.48	0.00	1.48	70.0	1.04
09/04/20	18 ***-**-805P - IPPOLITO, NICOLI ACCOUNT #: 00063922927	E THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	13.40	0.00	13.40	70.0	9.38
09/04/20	18 ***-**-515P - BAUMANN, ROBERT ACCOUNT #: 00063922931	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.31	0.00	2.31	70.0	1.62
09/04/20	18 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	5.03	0.00	5.03	70.0	3.52
09/04/20	18 ***-**-875P - LANGILL, ACCOUNT #: 00082197082	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	70.0	0.13
09/04/20	18 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	4.22	0.00	4.22	70.0	2.95
09/04/20	18 ***-**-875P - LANGILL, ACCOUNT #: 00082197082	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.07	0.00	0.07	70.0	0.05
09/04/20	18 ***-**-515P - BAUMANN, ROBERT ACCOUNT #: 00063922931	THE INVESTMENT COMPANY OF AMERICA-ABUY 0 Units @0.0000	00.0	2.28	0.00	2.28	70.0	1.60
09/04/20	18 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	THE INVESTMENT COMPANY OF AMERICA-ABUY 0 Units @0.0000	00.0	5.01	0.00	5.01	70.0	3.51
09/04/20	18 ***-**-805P - IPPOLITO, NICOLI ACCOUNT #: 00063922927	E THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	13.79	0.00	13.79	70.0	9.65
09/04/20	18 ***-**-515P - BAUMANN, ROBERT ACCOUNT #: 00063922931	THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	2.31	0.00	2.31	70.0	1.62
09/04/20	18 ***-**-195P - BAUMANN, TERESA ACCOUNT #: 00063922933	THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	5.05	0.00	5.05	70.0	3.54
09/04/20	18 ***-**-515P - BAUMANN, ROBERT ACCOUNT #: 00063922931	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	2.28	0.00	2.28	70.0	1.60



September 17, 2018

BERT GOLDBERG

1048 W. Myrna Lane Tempe, AZ 85284 BROKER #: 698

## BROKER TRANSACTIONS (continued) PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)	BROKER COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	GROSS OMMISSION	VESTMENT AMOUNT CO		CLIENT	DATE
09/04/2018 ***-**-195P - BAUMANN, TERESA WASHINGTON MUTUAL INVESTORS FUND-A ACCOUNT #: 00063922933 BUY 0 Units @0.0000 09/04/2018 ***-**-492I - SELL, MICHAEL ACCOUNT #: 00075946748 BUY 0 Units @0.0000 09/04/2018 ***-**-579I - SELL, PATRICIA ACCOUNT #: 00075946796 WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000 **MUTUAL FUND 12B1 TRAILS SUBTOTAL ** \$2,956.22 \$23.12 \$0.00 \$141.86 **** BROKER TRANSACTIONS TOTAL *** **** BROKER TRANSACTIONS TOTAL *** **** BROKER TRANSACTIONS TOTAL *** **** BROKER COMMISSION Broker Transactions Split Transactions Override Transactions Override Transactions Adjustments Payroll Draw Base Salary Prior Period Balance FINRA Assessment SIPC Assessment SIPC Assessment					<u>1)</u>	(continued	BROKER TRANSACTIONS		
ACCOUNT #: 00063922933 BUY 0 Units @0.0000 09/04/2018 ***-**-492I - SELL, MICHAEL ACCOUNT #: 00075946748 BUY 0 Units @0.0000 09/04/2018 ***-**-579I - SELL, PATRICIA ACCOUNT #: 00075946796 BUY 0 Units @0.0000 **MUTUAL FUND 12B1 TRAILS SUBTOTAL ** BROKER TRANSACTIONS TOTAL *** \$2,956.22 \$223.12 \$0.00 \$223.12 **** BROKER COMMISSION Broker Transactions Split Transactions Split Transactions Override Transactions Adjustments Payroll Draw Base Salary Prior Period Balance FINRA Assessment SIPC Assessment SIPC Assessment							TRAILS (continued)	CATEGORY: MUTUAL FUND 12B1 1	PRODUCT
ACCOUNT #: 00075946748 BUY 0 Units @0.0000 WASHINGTON MUTUAL INVESTORS FUND-A ACCOUNT #: 00075946796 WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000 * MUTUAL FUND 12B1 TRAILS SUBTOTAL * \$0.00 \$141.86 \$0.00 \$23.12 BROKER COMMISSION Broker Transactions Split Transactions Split Transactions Override Transactions Adjustments Payroll Draw Base Salary Prior Period Balance FINRA Assessment SIPC Assessment	3.53	70.0	5.04	0.00	5.04	0.00		•	09/04/201
ACCOUNT #: 00075946796 BUY 0 Units @0.0000 * MUTUAL FUND 12B1 TRAILS SUBTOTAL * \$0.00 \$141.86 *** BROKER TRANSACTIONS TOTAL *** \$2,956.22 \$223.12 \$0.00 \$223.12 BROKER COMMISSION Broker Transactions Split Transactions Override Transactions Adjustments Payroll Draw Base Salary Prior Period Balance FINRA Assessment SIPC Assessment	1.93	70.0	2.76	0.00	2.76	0.00		•	09/04/201
*** BROKER TRANSACTIONS TOTAL *** \$2,956.22 \$223.12 \$0.00 \$223.12 BROKER COMMISSION Broker Transactions Split Transactions Override Transactions Adjustments Payroll Draw Base Salary Prior Period Balance FINRA Assessment SIPC Assessment	1.93	70.0	2.76	0.00	2.76	0.00		•	09/04/201
BROKER COMMISSION Broker Transactions Split Transactions Override Transactions Adjustments Payroll Draw Base Salary Prior Period Balance FINRA Assessment SIPC Assessment	\$99.31		\$141.86	\$0.00	\$141.86	\$0.00	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		
Broker Transactions Split Transactions Override Transactions Adjustments Payroll Draw Base Salary Prior Period Balance FINRA Assessment SIPC Assessment	\$156.17	•	\$223.12	\$0.00	\$223.12	\$2,956.22	*** BROKER TRANSACTIONS TOTAL ***		
Split Transactions Override Transactions Adjustments Payroll Draw Base Salary Prior Period Balance FINRA Assessment SIPC Assessment	TOTALS	SSION	ROKER COMMIS	<u>B</u>					
Override Transactions Adjustments Payroll Draw Base Salary Prior Period Balance FINRA Assessment SIPC Assessment	\$156.17		Transactions	Broker					
Adjustments Payroll Draw Base Salary Prior Period Balance FINRA Assessment SIPC Assessment	\$0.00		Transactions	Split					
Payroll Draw Base Salary Prior Period Balance FINRA Assessment SIPC Assessment	\$0.00		: Transactions	Override					
Base Salary Prior Period Balance FINRA Assessment SIPC Assessment	\$0.00		Adjustments						
Prior Period Balance FINRA Assessment SIPC Assessment	\$0.00		Payroll Draw						
FINRA Assessment SIPC Assessment	\$0.00		Base Salary						
SIPC Assessment	\$0.00		eriod Balance	Prior P					
	\$0.00		JRA Assessment	FIN					
	\$0.00		PC Assessment	SI					
Net Commission Earned	\$156.17		nission Earned	Net Comm					
Year-to-date Earnings	\$53,260.07		date Earnings	Year-to-					