

8:38 AM

04/06/18

Accrual Basis

Dominion Investor Services
Vendor Open Balance
All Transactions

Type	Date	Num	Memo	Due Date	Open Balance	Amount
CALDWELL, ROBERT-D013						
Bill	03/31/2018	COM...		03/31/2018	93.93	93.93
Credit	04/01/2018	E&O			-120.00	-120.00
Total CALDWELL, ROBERT-D013					-26.07	-26.07
TOTAL					-26.07	-26.07

COMMISSION STATEMENT
March 31, 2018
ROBERT CALDWELL-D013
BROKER #: D013
BRANCH: DME

, TX

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
03/21/2018	mfc291006 CALDWELL 291006	MFT AMERICAN BALANCED FUND-A	B	0.00	3.74	0.00	3.74	90.0	3.37
03/21/2018	mfc291006 CALDWELL 291006	MFT CALAMOS GROWTH & INCOME FD CL C	B	0.00	18.35	0.00	18.35	90.0	16.52
03/21/2018	mfc291006 CALDWELL 291006	MFT CAPITAL INCOME BUILDER-A	B	0.00	0.01	0.00	0.01	90.0	0.01
03/21/2018	mfc291006 CALDWELL 291006	MFT DELAWARE SMID CAP GROWTH FD CL	B	0.00	11.99	0.00	11.99	90.0	10.79
03/21/2018	mfc291006 CALDWELL 291006	MFT FIDELITY ADVISOR GROWTH OPPORT	B	0.00	34.54	0.00	34.54	90.0	31.09
03/21/2018	mfc291006 CALDWELL 291006	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	10.67	0.00	10.67	90.0	9.60
03/21/2018	mfc291006 CALDWELL 291006	MFT FRK RISING DIV FND - CL C	B	0.00	14.27	0.00	14.27	90.0	12.84
03/21/2018	mfc291006 CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	5.85	0.00	5.85	90.0	5.27
03/21/2018	mfc291006 CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	18.43	0.00	18.43	90.0	16.59
03/21/2018	mfc291006 CALDWELL 291006	MFT GEORGE PUTNAM BALANCED FUND-A	B	0.00	0.27	0.00	0.27	90.0	0.24
03/21/2018	mfc291006 CALDWELL 291006	MFT JOHN HANCOCK STRATEGIC GROWTH A	B	0.00	1.13	0.00	1.13	90.0	1.02
03/21/2018	mfc291006 CALDWELL 291006	MFT MFS TN MUNI BD FD CL A	B	0.00	22.96	0.00	22.96	90.0	20.66
03/21/2018	mfc291006 CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	9.32	0.00	9.32	90.0	8.39
03/21/2018	mfc291006 CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	14.86	0.00	14.86	90.0	13.37
03/21/2018	mfc291006 CALDWELL 291006	MFT PUTNAM 746747104	B	0.00	0.35	0.00	0.35	90.0	0.32
03/21/2018	mfc291006 CALDWELL 291006	MFT PUTNAM HEALTH SCIENCES TRUST	B	0.00	0.42	0.00	0.42	90.0	0.38
03/21/2018	mfc291006 CALDWELL 291006	MFT THE INVESTMENT COMPANY OF	B	0.00	0.01	0.00	0.01	90.0	0.01
03/21/2018	mfc291006 CALDWELL 291006	MFT U.S. GOVERNMENT SECURITIES FUND	B	0.00	1.26	0.00	1.26	90.0	1.13
03/21/2018	mfc291006 CALDWELL 291006	MFT VOYA SENIOR INCOME FUND C	B	0.00	6.36	0.00	6.36	90.0	5.72
03/21/2018	mfc291006 CALDWELL 291006	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.75	0.00	1.75	90.0	1.58
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$176.54	\$0.00	\$176.54		\$158.90
*** CLEARING TRANSACTIONS TOTAL ***				\$0.00	\$176.54	\$0.00	\$176.54		\$158.90

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
03/14/2018	(None) SUMIDA	MF COLLEGE BOUND	B	0.00	3.50	0.00	3.50	90.0	3.15
03/20/2018	(None) GRIGGS, SHERRY	MF FIDELITY ADVISOR FDS	B	0.00	0.50	0.00	0.50	90.0	0.45
03/12/2018	0000000000010330 PATRICK, CHAD	MF FRANKLIN MUTUAL INTERNATIONAL	B	41.67	0.42	0.00	0.42	90.0	0.38
03/20/2018	0000000000055638 PATRICK, CHAD	MF FRANKLIN BALANCED FUND - CLASS	B	125.00	1.25	0.00	1.25	90.0	1.13
03/12/2018	0000000000277184 PATRICK, CHAD	MF TEMPLETON CHINA WORLD FUND -	B	41.67	0.42	0.00	0.42	90.0	0.38
03/12/2018	0000000001124015 PATRICK, CHAD	MF MUTUAL QUAL FND - CL C	B	41.66	0.42	0.00	0.42	90.0	0.38
03/14/2018	00068424625 GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
03/14/2018	00068424625 GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
03/23/2018	00068424625 GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
03/23/2018	00068424625 GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
03/14/2018	00074694907 REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
03/14/2018	00074694907 REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
03/23/2018	00074694907 REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
03/23/2018	00074694907 REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
03/15/2018	00075317599 COPELAND, SUSAN	MF AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
03/15/2018	00075317599 COPELAND, SUSAN	MF FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
03/16/2018	00081948467 EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	41.99	0.84	0.00	0.84	90.0	0.76
03/16/2018	00081948467 EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	111.96	2.24	0.00	2.24	90.0	2.02
03/16/2018	00081948467 EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	7.41	0.15	0.00	0.15	90.0	0.14
03/16/2018	00081948467 EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	19.76	0.40	0.00	0.40	90.0	0.36
03/16/2018	00081948520 WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
03/16/2018	00081948520 WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
03/16/2018	00081948520 WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
03/16/2018	00081948520 WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
03/16/2018	00081948685 SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
03/16/2018	00081948685 SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21
03/16/2018	00081948685 SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
03/16/2018	00081948685 SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
03/16/2018	00081948685 SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
03/16/2018	00081948685 SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
03/16/2018	00081948685 SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21
03/16/2018	00081948685 SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
03/16/2018	00087734807 JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	33.09	0.33	0.00	0.33	90.0	0.30
03/16/2018	00087734807 JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	110.31	1.10	0.00	1.10	90.0	0.99
03/16/2018	00087734863 WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	26.55	0.27	0.00	0.27	90.0	0.24
03/16/2018	00087734863 WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	26.55	0.27	0.00	0.27	90.0	0.24
03/16/2018	00089597043 MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	32.30	0.32	0.00	0.32	90.0	0.29
03/16/2018	00089597043 MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	32.30	0.32	0.00	0.32	90.0	0.29
03/16/2018	00089696651 ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	9.97	0.10	0.00	0.10	90.0	0.09
03/16/2018	00089696651 ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	16.62	0.17	0.00	0.17	90.0	0.15

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
03/16/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	11.64	0.12	0.00	0.12	90.0	0.11
03/16/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	19.40	0.19	0.00	0.19	90.0	0.17
03/16/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	11.63	0.12	0.00	0.12	90.0	0.11
03/16/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	19.39	0.19	0.00	0.19	90.0	0.17
03/16/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
03/16/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
03/16/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	44.86	0.45	0.00	0.45	90.0	0.41
03/16/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	44.86	0.45	0.00	0.45	90.0	0.41
03/16/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	34.12	0.34	0.00	0.34	90.0	0.31
03/16/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	34.12	0.34	0.00	0.34	90.0	0.31
03/16/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	31.84	0.32	0.00	0.32	90.0	0.29
03/16/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	31.84	0.32	0.00	0.32	90.0	0.29
03/22/2018 04000020515	PLAN, SEP	MF CAPITAL WORLD GROWTH AND INCOME	B	1,859.00	18.59	0.00	18.59	90.0	16.73
03/16/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
03/16/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
* MUTUAL FUNDS SUBTOTAL *				<u>\$4,006.87</u>	<u>\$48.95</u>	<u>\$0.00</u>	<u>\$48.95</u>		<u>\$44.13</u>
*** DIRECT TRANSACTIONS TOTAL ***				<u>\$4,006.87</u>	<u>\$48.95</u>	<u>\$0.00</u>	<u>\$48.95</u>		<u>\$44.13</u>

REP LINK TRANSACTIONS**BROKER: BRYANT CALDWELL-D080 #70**

03/21/2018 mfc445444	CALDWELL 445444	MFT AMERICAN BALANCED FUND-A	B	0.00	0.43	0.00	0.43		0.39
03/21/2018 mfc445444	CALDWELL 445444	MFT THE INCOME FUND OF AMERICA-A	B	0.00	0.57	0.00	0.57		0.51
* BRYANT CALDWELL-D080 SUBTOTAL *				<u>\$0.00</u>	<u>\$1.00</u>	<u>\$0.00</u>	<u>\$1.00</u>		<u>\$0.90</u>
*** REP LINK TRANSACTIONS TOTAL ***				<u>\$0.00</u>	<u>\$1.00</u>	<u>\$0.00</u>	<u>\$1.00</u>		<u>\$0.90</u>

ADJUSTMENTS

03/31/2018	:	BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
03/31/2018	:	BROKER WORKSTATION-BROOKS		0.00	0.00	0.00	0.00		-30.00
03/31/2018	:	E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
03/31/2018	:	E-MAIL ACCOUNT-BROOKS		0.00	0.00	0.00	0.00		-25.00
*** ADJUSTMENTS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-110.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$203.93
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-110.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$93.93
Year-to-date Commissions	\$17,991.25