

# COMMISSION STATEMENT

July 31, 2018

 RICK HAVARD-D361  
 1600 Stillhouse Hollow

 BROKER #: D361  
 BRANCH: DMN

Prosper, TX 75078

## COMMISSION STATEMENT for RICK HAVARD-D361

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
<u>CLEARING TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>										
07/24/2018	216034029	DUPLECHAIN, RODNEY	MF	DOUBLELINE TOTAL RETURN BOND FD S	-78,096.36	0.00	5.00	-5.00	90.0	-4.50
* MUTUAL FUNDS SUBTOTAL *					\$-78,096.36	\$0.00	\$5.00	\$-5.00		\$-4.50
<u>PRODUCT CATEGORY: BONDS</u>										
07/18/2018	930249560	MARINER, KATHLEEN	B	CAPITAL STRENGTH BUY WRITE 40 S	-43,600.00	545.00	0.00	545.00	90.0	490.50
07/18/2018	930249560	CHANDLER, DOUGLAS	B	CAPITAL STRENGTH BUY WRITE 40 S	-15,000.00	187.50	0.00	187.50	90.0	168.75
* BONDS SUBTOTAL *					\$-58,600.00	\$732.50	\$0.00	\$732.50		\$659.25
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>										
07/24/2018	930249560	DUPLECHAIN, RODNEY	UIT	FIRST TRUST DIVERSFD HIGH INC S	-90,003.41	1,800.39	0.00	1,800.39	90.0	1,620.35
* UNIT INVESTMENT TRUSTS SUBTOTAL *					\$-90,003.41	\$1,800.39	\$0.00	\$1,800.39		\$1,620.35
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
07/23/2018	mfc307137	VARIOUS,	MFT	AMERICAN MUTUAL FUND-A B	0.00	13.59	0.00	13.59	90.0	12.23
07/23/2018	mfc307137	VARIOUS,	MFT	API MULTI-ASSET INCOME FD L B	0.00	23.36	0.00	23.36	90.0	21.02
07/23/2018	mfc307137	VARIOUS,	MFT	API MULTI-ASSET INCOME FD L B	0.00	36.24	0.00	36.24	90.0	32.62
07/23/2018	mfc307137	VARIOUS,	MFT	BLACKROCK MULTI-ASSET INCOME FD B	0.00	17.42	0.00	17.42	90.0	15.68
07/23/2018	mfc307137	VARIOUS,	MFT	BLACKROCK MULTI-ASSET INCOME FD B	0.00	17.91	0.00	17.91	90.0	16.12
07/23/2018	mfc307137	VARIOUS,	MFT	BLACKROCK MULTI-ASSET INCOME FD B	0.00	22.64	0.00	22.64	90.0	20.38
07/23/2018	mfc307137	VARIOUS,	MFT	BLACKROCK MULTI-ASSET INCOME FD B	0.00	72.77	0.00	72.77	90.0	65.49
07/23/2018	mfc307137	VARIOUS,	MFT	BLACKROCK STRATEGIC INC OPP FD B	0.00	17.26	0.00	17.26	90.0	15.53
07/23/2018	mfc307137	VARIOUS,	MFT	BLACKROCK STRATEGIC INC OPP FD B	0.00	17.68	0.00	17.68	90.0	15.91
07/23/2018	mfc307137	VARIOUS,	MFT	BLACKROCK STRATEGIC INC OPP FD B	0.00	17.74	0.00	17.74	90.0	15.97
07/23/2018	mfc307137	VARIOUS,	MFT	BLACKROCK STRATEGIC INC OPP FD B	0.00	19.26	0.00	19.26	90.0	17.33
07/23/2018	mfc307137	VARIOUS,	MFT	BLACKROCK STRATEGIC INC OPP FD B	0.00	33.96	0.00	33.96	90.0	30.56
07/23/2018	mfc307137	VARIOUS,	MFT	BLACKROCK STRATEGIC INC OPP FD B	0.00	69.76	0.00	69.76	90.0	62.78
07/23/2018	mfc307137	VARIOUS,	MFT	BLACKROCK EQUITY DIVIDEND FD C B	0.00	15.44	0.00	15.44	90.0	13.90
07/23/2018	mfc307137	VARIOUS,	MFT	CALAMOS GROWTH AND INCOME CLASS B	0.00	3.26	0.00	3.26	90.0	2.93
07/23/2018	mfc307137	VARIOUS,	MFT	DOUBLELINE TOTAL RETURN BOND FD B	0.00	16.05	0.00	16.05	90.0	14.45
07/23/2018	mfc307137	VARIOUS,	MFT	THE INVESTMENT COMPANY OF B	0.00	18.35	0.00	18.35	90.0	16.52
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$432.69	\$0.00	\$432.69		\$389.42

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
*** CLEARING TRANSACTIONS TOTAL ***				\$-226,699.77	\$2,965.58	\$5.00	\$2,960.58		\$2,664.52

DIRECT TRANSACTIONSPRODUCT CATEGORY: VARIABLE ANNUITIES

07/16/2018 (None)	GASPARAC, TIHOMIR	VA ALLIANZ LIFE	B	50,000.00	3,000.00	0.00	3,000.00	90.0	2,700.00
* VARIABLE ANNUITIES SUBTOTAL *				\$50,000.00	\$3,000.00	\$0.00	\$3,000.00		\$2,700.00

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

06/30/2018 (None)	MARINER, KATHLEEN	VAT TRANSAMERICA LIFE	B	0.00	4.95	0.00	4.95	90.0	4.46
06/30/2018 (None)	KAHANEK, SHARON	VAT TRANSAMERICA LIFE	B	0.00	190.37	0.00	190.37	90.0	171.33
07/26/2018 VM15003783	MELLO, ALFRED	VAT PACIFIC LIFE VA 69448B191	B	0.00	543.05	0.00	543.05	90.0	488.75
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$738.37	\$0.00	\$738.37		\$664.54
*** DIRECT TRANSACTIONS TOTAL ***				\$50,000.00	\$3,738.37	\$0.00	\$3,738.37		\$3,364.54

ADJUSTMENTS TRANSACTIONSBROKER: #0

07/31/2018	:	BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
07/31/2018	:	E&O		0.00	0.00	0.00	0.00		-130.00
07/31/2018	:	E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
07/31/2018	:	SHAREFILE		0.00	0.00	0.00	0.00		-13.00
07/31/2018	:	W/O FED EX FEE 308127552 7/12		0.00	0.00	0.00	0.00		-11.61
* SUBTOTAL *				\$0.00	\$0.00	\$0.00	\$0.00		\$-209.61
*** ADJUSTMENTS TRANSACTIONS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-209.61

BROKER COMMISSION TOTALS

Broker Transactions	\$6,029.06
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-209.61
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$5,819.45
Year-to-date Commissions	\$41,075.47