

COMMISSION STATEMENT

January 31, 2018

CYNTHIA MICHAEL-D181

BROKER #: D181

BRANCH: DMR

, TX

COMMISSION STATEMENT for CYNTHIA MICHAEL-D181

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

CLEARING TRANSACTIONS

PRODUCT CATEGORY: STOCKS

| | | | | | | | | | | | |
|------------|-----------|---------------------|---|----------------------------|---|----------------------|-----------------|----------------|-----------------|------|-----------------|
| 01/04/2018 | 368440829 | CRIST MARITAL | S | KRAFT HEINZ CO/THE | S | -19,217.18 | 280.00 | 15.00 | 265.00 | 80.0 | 212.00 |
| 01/11/2018 | 368440829 | CRIST MARITAL | S | UNITED TECHNOLOGIES CORP | B | 20,506.20 | 250.00 | 15.00 | 235.00 | 80.0 | 188.00 |
| 01/02/2018 | 492698880 | OF SAN ANTONIO FBO, | S | WELLS FARGO & CO | S | -60,426.24 | 500.00 | 15.00 | 485.00 | 80.0 | 388.00 |
| 12/07/2017 | 646510880 | RICHTER, KATHLEEN | S | WELLS FARGO & CO | S | 37,243.22 | -1,500.00 | -18.00 | -1,482.00 | 80.0 | -1,185.60 |
| 12/07/2017 | 646510880 | RICHTER, KATHLEEN | S | WELLS FARGO & CO | S | -38,243.22 | 500.00 | 18.00 | 482.00 | 80.0 | 385.60 |
| 12/29/2017 | 646510880 | RICHTER, KATHLEEN | S | WELLS FARGO & CO | S | -60,596.24 | 500.00 | 15.00 | 485.00 | 80.0 | 388.00 |
| | | | | * STOCKS SUBTOTAL * | | \$-120,733.46 | \$530.00 | \$60.00 | \$470.00 | | \$376.00 |

PRODUCT CATEGORY: CERTIFICATES OF DEPOSIT

| | | | | | | | | | | | |
|------------|-----------|------------------|----|---|---|---------------------|-----------------|----------------|-----------------|------|-----------------|
| 01/04/2018 | 153008229 | LTD PARTNERSHIP, | CD | MERCHANTS & MFRS BK JOLIET ILL | B | 250,002.45 | 106.25 | 20.00 | 86.25 | 80.0 | 69.00 |
| 01/04/2018 | 153008229 | LTD PARTNERSHIP, | CD | STEARNS BK NA ST CLOUD MINN | B | 250,002.45 | 159.38 | 20.00 | 139.38 | 80.0 | 111.50 |
| | | | | * CERTIFICATES OF DEPOSIT SUBTOTAL * | | \$500,004.90 | \$265.63 | \$40.00 | \$225.63 | | \$180.50 |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | | | | |
|------------|-----------|-----------------|-----|---------------------------------|---|------|-------|------|-------|------|-------|
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | AIM GLOBAL VALUE FUND - CLASS A | B | 0.00 | 12.89 | 0.00 | 12.89 | 80.0 | 10.31 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | AMCAP FUND-A | B | 0.00 | 3.68 | 0.00 | 3.68 | 80.0 | 2.94 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | AMERICAN BALANCED FUND-F1 | B | 0.00 | 25.74 | 0.00 | 25.74 | 80.0 | 20.59 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | AMERICAN FDS ST TAX EXEMPT BOND | B | 0.00 | 0.01 | 0.00 | 0.01 | 80.0 | 0.01 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | AMERICAN HIGH-INCOME TRUST-A | B | 0.00 | 43.42 | 0.00 | 43.42 | 80.0 | 34.74 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | AMERICAN HIGH-INCOME MUNI BOND | B | 0.00 | 0.10 | 0.00 | 0.10 | 80.0 | 0.08 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | BLACKROCK 60/40 TARGET ALLOC FD | B | 0.00 | 7.76 | 0.00 | 7.76 | 80.0 | 6.21 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | BLACKROCK 60/40 TARGET ALLOC FD | B | 0.00 | 16.11 | 0.00 | 16.11 | 80.0 | 12.89 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | BLACKROCK 60/40 TARGET ALLOC FD | B | 0.00 | 35.52 | 0.00 | 35.52 | 80.0 | 28.42 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | BLACKROCK MULTI-ASSET INCOME FD | B | 0.00 | 5.43 | 0.00 | 5.43 | 80.0 | 4.34 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | BLACKROCK GLOBAL ALLOCATION FD | B | 0.00 | 14.43 | 0.00 | 14.43 | 80.0 | 11.54 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | BLACKROCK GLOBAL ALLOCATION | B | 0.00 | 4.46 | 0.00 | 4.46 | 80.0 | 3.57 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | BLACKROCK GLOBAL ALLOCATION | B | 0.00 | 15.39 | 0.00 | 15.39 | 80.0 | 12.31 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | CAPITAL INCOME BUILDER-A | B | 0.00 | 4.14 | 0.00 | 4.14 | 80.0 | 3.31 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | CAPITAL INCOME BUILDER-A | B | 0.00 | 5.11 | 0.00 | 5.11 | 80.0 | 4.09 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | CAPITAL INCOME BUILDER-A | B | 0.00 | 5.53 | 0.00 | 5.53 | 80.0 | 4.42 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | COLUMBIA TAX-EXEMPT FUND-A | B | 0.00 | 0.55 | 0.00 | 0.55 | 80.0 | 0.44 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT | DEUTSCHE FLOATING RATE FD C | B | 0.00 | 19.71 | 0.00 | 19.71 | 80.0 | 15.77 |

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| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION | |
|--------------------------------------|-----------|-----------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------------|----------------------|------------|
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT DEUTSCHE FLOATING RATE FD C | B | 0.00 | 21.67 | 0.00 | 21.67 | 80.0 | 17.34 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT FRANKLIN INCOME FUND CLASS C | B | 0.00 | 2.73 | 0.00 | 2.73 | 80.0 | 2.18 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT FRANKLIN INCOME FUND CLASS C | B | 0.00 | 8.55 | 0.00 | 8.55 | 80.0 | 6.84 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT FRANKLIN INCOME FUND CLASS C | B | 0.00 | 10.02 | 0.00 | 10.02 | 80.0 | 8.02 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT FRANKLIN INCOME FUND CLASS C | B | 0.00 | 17.89 | 0.00 | 17.89 | 80.0 | 14.31 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT FRANKLIN INCOME FUND CLASS C | B | 0.00 | 23.46 | 0.00 | 23.46 | 80.0 | 18.77 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT FRANKLIN INCOME FUND CLASS C | B | 0.00 | 53.58 | 0.00 | 53.58 | 80.0 | 42.86 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT FRANKLIN INCOME FUND CLASS C | B | 0.00 | 71.13 | 0.00 | 71.13 | 80.0 | 56.90 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT FRANKLIN INCOME FUND CLASS A | B | 0.00 | 7.94 | 0.00 | 7.94 | 80.0 | 6.35 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT FRANKLIN INCOME FUND CLASS A | B | 0.00 | 17.15 | 0.00 | 17.15 | 80.0 | 13.72 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT FUNDAMENTAL INVESTORS-A | B | 0.00 | 3.97 | 0.00 | 3.97 | 80.0 | 3.18 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT GROWTH FUND OF AMERICA CLASS F | B | 0.00 | 4.17 | 0.00 | 4.17 | 80.0 | 3.34 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT LOOMIS SAYLES GROWTH FD CL C | B | 0.00 | 16.02 | 0.00 | 16.02 | 80.0 | 12.82 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT LORD ABBETT HIGH YIELD MUNI | B | 0.00 | 24.53 | 0.00 | 24.53 | 80.0 | 19.62 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT LORD ABBETT HIGH YIELD MUNI | B | 0.00 | 41.79 | 0.00 | 41.79 | 80.0 | 33.43 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT LORD ABBETT HIGH YIELD MUNI | B | 0.00 | 50.40 | 0.00 | 50.40 | 80.0 | 40.32 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT LORD ABBETT MULTI-ASSET INCOME | B | 0.00 | 4.08 | 0.00 | 4.08 | 80.0 | 3.26 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT LORD ABBETT SHORT DURATION | B | 0.00 | 20.04 | 0.00 | 20.04 | 80.0 | 16.03 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT LORD ABBETT INTERMEDIATE TAX | B | 0.00 | 41.33 | 0.00 | 41.33 | 80.0 | 33.06 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT LORD ABBETT SHT DURATION TAX | B | 0.00 | 41.48 | 0.00 | 41.48 | 80.0 | 33.18 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT MAINSTAY HIGH YIELD MUNI BD C | B | 0.00 | 46.39 | 0.00 | 46.39 | 80.0 | 37.11 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT MFS GROWTH ALLOCATION FUND-C | B | 0.00 | 9.08 | 0.00 | 9.08 | 80.0 | 7.26 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT MID-CAP VALUE FUND CLASS A | B | 0.00 | 4.99 | 0.00 | 4.99 | 80.0 | 3.99 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT MULTI-ASSET BALANCED | B | 0.00 | 115.37 | 0.00 | 115.37 | 80.0 | 92.30 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT NEW PERSPECTIVE FUND-A | B | 0.00 | 3.53 | 0.00 | 3.53 | 80.0 | 2.82 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT NUVEEN SHORT DUR HIGH YLD MUNI | B | 0.00 | 14.93 | 0.00 | 14.93 | 80.0 | 11.94 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT TAX-EXEMPT BOND FUND OF AMERICA | B | 0.00 | 0.08 | 0.00 | 0.08 | 80.0 | 0.06 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT THE GROWTH FUND OF AMERICA-A | B | 0.00 | 8.60 | 0.00 | 8.60 | 80.0 | 6.88 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT THE GROWTH FUND OF AMERICA-A | B | 0.00 | 12.21 | 0.00 | 12.21 | 80.0 | 9.77 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT THE GROWTH FUND OF AMERICA-A | B | 0.00 | 14.96 | 0.00 | 14.96 | 80.0 | 11.97 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT THE INCOME FUND OF AMERICA-A | B | 0.00 | 10.53 | 0.00 | 10.53 | 80.0 | 8.42 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT THE INCOME FUND OF AMERICA-A | B | 0.00 | 94.26 | 0.00 | 94.26 | 80.0 | 75.41 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT WASHINGTON MUTUAL INVESTORS | B | 0.00 | 3.75 | 0.00 | 3.75 | 80.0 | 3.00 |
| 01/23/2018 | mfc495845 | MICHAEL CYNTHIA | MFT WELLS FARGO ASSET ALLOCATION FD | B | 0.00 | 7.53 | 0.00 | 7.53 | 80.0 | 6.02 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | | \$0.00 | \$1,048.12 | \$0.00 | \$1,048.12 | | \$838.46 |
| *** CLEARING TRANSACTIONS TOTAL *** | | | | | \$379,271.44 | \$1,843.75 | \$100.00 | \$1,743.75 | | \$1,394.96 |

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| 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 FUND 12B1 TRAILS</u> | | | | | | | | | |
| 12/31/2017 (None) | STEPHENSON | MFT COLLEGE BOUND | B | 0.00 | 5.69 | 0.00 | 5.69 | 80.0 | 4.55 |
| 12/31/2017 (None) | STEPHENSON | MFT COLLEGE BOUND | B | 0.00 | 16.73 | 0.00 | 16.73 | 80.0 | 13.38 |
| 12/31/2017 (None) | STEPHENSON | MFT COLLEGE BOUND | B | 0.00 | 5.25 | 0.00 | 5.25 | 80.0 | 4.20 |
| 12/31/2017 (None) | STEPHENSON | MFT COLLEGE BOUND | B | 0.00 | 18.01 | 0.00 | 18.01 | 80.0 | 14.41 |
| 12/31/2017 (None) | STEPHENSON | MFT COLLEGE BOUND | B | 0.00 | 6.08 | 0.00 | 6.08 | 80.0 | 4.86 |
| 12/31/2017 (None) | STEPHENSON | MFT COLLEGE BOUND | B | 0.00 | 17.16 | 0.00 | 17.16 | 80.0 | 13.73 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | \$0.00 | \$68.92 | \$0.00 | \$68.92 | | \$55.13 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u> | | | | | | | | | |
| 01/25/2018 VM13402652 | CRIST | VAT PACIFIC LIFE VA 69448B175 | B | 0.00 | 59.76 | 0.00 | 59.76 | 80.0 | 47.81 |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | | \$0.00 | \$59.76 | \$0.00 | \$59.76 | | \$47.81 |
| *** DIRECT TRANSACTIONS TOTAL *** | | | | \$0.00 | \$128.68 | \$0.00 | \$128.68 | | \$102.94 |

ADJUSTMENTS

| | | | | | | | | | |
|----------------------------------|---|------------------------|--|---------------|---------------|---------------|---------------|--|------------------|
| 01/31/2018 | : | BROKER WORKSTATION | | 0.00 | 0.00 | 0.00 | 0.00 | | -30.00 |
| 01/31/2018 | : | CUSTOMER W/O 153008229 | | 0.00 | 0.00 | 0.00 | 0.00 | | -4.90 |
| 01/31/2018 | : | E-MAIL ACCOUNT | | 0.00 | 0.00 | 0.00 | 0.00 | | -25.00 |
| 01/31/2018 | : | QUODD CHARGES | | 0.00 | 0.00 | 0.00 | 0.00 | | -130.37 |
| *** ADJUSTMENTS TOTAL *** | | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-190.27 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$1,497.90 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-190.27 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|---------------------------------|-------------------|
| Net Commissions | \$1,307.63 |
| Year-to-date Commissions | \$3,241.30 |