



All Companies
COMMISSION STATEMENT
March 15, 2018

PAUL M. THOMPSON
15455 Dallas Parkway, Ste.600

BROKER #: 9114
BRANCH: HOME OFFICE

Addison, TX 75001

COMMISSION STATEMENT for PAUL M. THOMPSON

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---------------------------------------|-------------|--------------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|--------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | | |
| 02/26/2018 | 00063808760 | DAVENPORT, CURTIS | AMERICAN FUNDS AMCAP FD | B | 66.00 | 1.06 | 0.00 | 1.06 | 90.0 0.95 |
| 02/26/2018 | 00063808760 | DAVENPORT, CURTIS | AMERICAN FUNDS AMCAP FD | B | 220.00 | 3.52 | 0.00 | 3.52 | 90.0 3.17 |
| 03/02/2018 | 00064108265 | VELDE, JOHN | AMERICAN FUNDS BALANCED FD | B | 4,956.24 | 185.86 | 0.00 | 185.86 | 90.0 167.27 |
| 02/26/2018 | 00064607901 | LARSON JT TEN, | AMERICAN FUNDS BALANCED FD | B | 1,000.00 | 27.50 | 0.00 | 27.50 | 90.0 24.75 |
| JEFFREY | | | | | | | | | |
| 03/02/2018 | 00068006068 | SHERTZER, LUKE | AMERICAN MUTUAL FUND-529A | B | 50.00 | 1.38 | 0.00 | 1.38 | 90.0 1.24 |
| 02/26/2018 | 00068487409 | CARLSON, BRENT D. | AMERICAN FUNDS AMCAP FD | B | 115.00 | 1.84 | 0.00 | 1.84 | 90.0 1.66 |
| 02/26/2018 | 00068487409 | CARLSON, BRENT D. | AMERICAN FUNDS AMCAP FD | B | 115.00 | 1.84 | 0.00 | 1.84 | 90.0 1.66 |
| 03/05/2018 | 00068899251 | SHERTZER, LUKE | AMERICAN FUNDS AMERICAN MUTUAL FD | B | 50.00 | 1.38 | 0.00 | 1.38 | 90.0 1.24 |
| 03/05/2018 | 00074947376 | MALLERY, MARLA | AMERICAN FUNDS AMERICAN MUTUAL FD | B | 125.00 | 5.31 | 0.00 | 5.31 | 90.0 4.78 |
| 03/05/2018 | 00082816231 | SHERTZER, LUKE | CAPITAL INCOME BUILDER-529A | B | 50.00 | 1.38 | 0.00 | 1.38 | 90.0 1.24 |
| 02/20/2018 | 00084075735 | VILLINES, | AMERICAN BALANCED FUND-529A | B | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 2.25 |
| KARA/ANNA | | | | | | | | | |
| 03/06/2018 | 00085609264 | BERGER, PRIO | AMERICAN FUNDS BALANCED FD | B | 250.00 | 12.50 | 0.00 | 12.50 | 90.0 11.25 |
| 03/06/2018 | 00085609327 | NEAL, JYNETTE | AMERICAN FUNDS GROWTH FUND OF AMERI B | | 75.00 | 2.81 | 0.00 | 2.81 | 90.0 2.53 |
| 03/06/2018 | 00085609327 | NEAL, JYNETTE | AMERICAN FUNDS WA MUTUAL INVES B | | 75.00 | 2.81 | 0.00 | 2.81 | 90.0 2.53 |
| 03/05/2018 | 00086561092 | WISNIEWSKI, ANDREW | NEW PERSPECTIVE FUND-C | B | 50.00 | 0.50 | 0.00 | 0.50 | 90.0 0.45 |
| M. | | | | | | | | | |
| 02/26/2018 | 00087104938 | RODRIGUEZ, OSCAR | BALANCED PORTFOLIO-A | B | 81.90 | 1.31 | 0.00 | 1.31 | 90.0 1.18 |
| 02/26/2018 | 00087104938 | RODRIGUEZ, OSCAR | BALANCED PORTFOLIO-A | B | 136.50 | 2.18 | 0.00 | 2.18 | 90.0 1.96 |
| 02/26/2018 | 00087104958 | BRAACK, ANDREW | GLOBAL GROWTH PORTFOLIO-A | B | 90.41 | 1.45 | 0.00 | 1.45 | 90.0 1.31 |
| 02/26/2018 | 00087104958 | BRAACK, ANDREW | GLOBAL GROWTH PORTFOLIO-A | B | 90.41 | 1.45 | 0.00 | 1.45 | 90.0 1.31 |
| 03/08/2018 | 00087354560 | SCHNITZIUS, | BALANCED PORTFOLIO-529A | B | 1,200.00 | 45.00 | 0.00 | 45.00 | 90.0 40.50 |
| MATTHEW | | | | | | | | | |
| 02/26/2018 | 00088535675 | CARPENTER, TERRY | AMERICAN FUNDS INVESTMENT COMP OF A B | | 80.00 | 1.28 | 0.00 | 1.28 | 90.0 1.15 |
| D. | | | | | | | | | |
| 02/26/2018 | 00088535675 | CARPENTER, TERRY | AMERICAN FUNDS INVESTMENT COMP OF A B | | 80.00 | 1.28 | 0.00 | 1.28 | 90.0 1.15 |
| D. | | | | | | | | | |
| 02/26/2018 | 00089211120 | BACON, VICTORIA | AMERICAN FUNDS 2025 TARGET DATE-A | B | 68.75 | 1.10 | 0.00 | 1.10 | 90.0 0.99 |
| 02/26/2018 | 00089211120 | BACON, VICTORIA | AMERICAN FUNDS 2025 TARGET DATE-A | B | 68.75 | 1.10 | 0.00 | 1.10 | 90.0 0.99 |
| 03/01/2018 | 00089423266 | MONTIEL, MELISSA | AMERICAN FUNDS BALANCED FD | B | 300.00 | 15.00 | 0.00 | 15.00 | 90.0 13.50 |

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|---|---------------------------------|---|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | | |
| | DYSON | | | | | | | | |
| 03/01/2018 | 00089423266 MONTIEL, MELISSA | AMERICAN FUNDS NEW PERSPECTIVE FD | B | 100.00 | 5.00 | 0.00 | 5.00 | 90.0 | 4.50 |
| | DYSON | | | | | | | | |
| 03/08/2018 | 00089524303 SCHNITZIUS, MATTHEW | BALANCED PORTFOLIO-529A | B | 1,200.00 | 45.00 | 0.00 | 45.00 | 90.0 | 40.50 |
| 02/26/2018 | 5501744996 LARSON, JEFFREY | PORTFOLIO SERIES: ACTIVE ALLOCATION B | | 400.00 | 12.00 | 0.00 | 12.00 | 90.0 | 10.80 |
| 02/26/2018 | 5501745018 LARSON, DEBORAH | PORTFOLIO SERIES: ACTIVE ALLOCATION B | | 400.00 | 12.00 | 0.00 | 12.00 | 90.0 | 10.80 |
| | | * MUTUAL FUNDS SUBTOTAL * | | \$11,543.96 | \$397.34 | \$0.00 | \$397.34 | | \$357.61 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | | |
| 03/02/2018 | BROWN, PEGGY A | BRIGHTHOUSE FINANCIAL | B | 2,000.00 | 80.00 | 0.00 | 80.00 | 90.0 | 72.00 |
| 03/05/2018 | BROWN, PEGGY A | BRIGHTHOUSE FINANCIAL | B | 1,280.59 | 38.41 | 0.00 | 38.41 | 90.0 | 34.57 |
| | | * VARIABLE ANNUITIES SUBTOTAL * | | \$3,280.59 | \$118.41 | \$0.00 | \$118.41 | | \$106.57 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 03/15/2018 | TRAIL COMMISSIONS | HARTFORD MUTUAL FUNDS FEES | | 0.00 | 7.84 | 0.00 | 7.84 | 90.0 | 7.06 |
| 03/15/2018 | TRAIL COMMISSIONS | AMERICAN FUNDS GROUP FEES | | 0.00 | 3,970.09 | 0.00 | 3,970.09 | 90.0 | 3,573.32 |
| 03/15/2018 | TRAIL COMMISSIONS | WM GROUP OF FUNDS FEES | | 0.00 | 10.69 | 0.00 | 10.69 | 90.0 | 9.62 |
| | | * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | \$0.00 | \$3,988.62 | \$0.00 | \$3,988.62 | | \$3,590.00 |
| | | *** BROKER TRANSACTIONS TOTAL *** | | \$14,824.55 | \$4,504.37 | \$0.00 | \$4,504.37 | | \$4,054.18 |
| <u>ADJUSTMENTS</u> | | | | | | | | | |
| 03/15/2018 | | TECH: MONTHLY TECH SERVICES | | 0.00 | 0.00 | 0.00 | 0.00 | | -27.50 |
| | | *** ADJUSTMENTS TOTAL *** | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-27.50 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$4,054.18 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-27.50 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |

| | |
|-----------------------|--------------|
| Check Amount | \$4,026.68 |
| Year-to-date Earnings | \$124,871.16 |