

All Companies
STATEMENT
April 20, 2018

THOMAS SMITH
1340 Sproul Ave

BROKER #: 027
BRANCH: LA BRANCH

Napa, CA 94559-

COMMISSION STATEMENT for THOMAS SMITH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>										
03/15/2018 #	PARK, JUNG	HARTFORD MUTUAL FUNDS INC HIGH YIEL S		1,526.00	19.95	20.00	0.00	-0.05	90.0	-0.05
03/16/2018 #	WAGNER, ANDRE	HARTFORD MUT FDS INC BALANCED INCOM B		6,400.00	323.95	20.00	0.00	303.95	90.0	273.56
* MUTUAL FUNDS SUBTOTAL *				\$7,926.00	\$343.90	\$40.00	\$0.00	\$303.90		\$273.51
<u>PRODUCT CATEGORY: STOCKS</u>										
02/28/2018 #	MCCOLL, JOANNE	AGNC INVESTMENT CORP COMMON STOCK	B	8,979.35	242.47	19.95	0.00	222.52	90.0	200.27
02/28/2018 #	MCCOLL, JOANNE	SUNPOWER CORPORATION	S	7,103.00	263.92	19.95	0.00	243.97	90.0	219.57
03/01/2018 #	REED, CASEY	OMEGA HEALTHCARE INVESTORS INC	B	14,622.25	343.55	19.95	0.00	323.60	90.0	291.24
03/06/2018 #	CROWELL-GILLGREN, CHRISTINA	AGNC INVESTMENT CORP COMMON STOCK	B	6,244.92	206.87	19.95	0.00	186.92	90.0	168.23
03/06/2018 #	CROWELL-GILLGREN, CHRISTINA	AGNC INVESTMENT CORP COMMON STOCK	B	3,396.60	131.23	19.95	0.00	111.28	90.0	100.15
03/13/2018 #	KNIEF, LEWIS	MICRON TECHNOLOGY INC	B	31,100.00	498.05	19.95	0.00	478.10	90.0	430.29
03/16/2018 #	WAGNER, JAMES	AGNC INVESTMENT CORP COMMON STOCK	B	6,270.58	205.05	19.95	0.00	185.10	90.0	166.59
03/16/2018 #	WAGNER, ANDRE	AGNC INVESTMENT CORP COMMON STOCK	B	6,283.86	205.32	19.95	0.00	185.37	90.0	166.83
03/16/2018 #		AGNC INVESTMENT CORP COMMON STOCK	B	9,574.04	264.17	19.95	0.00	244.22	90.0	219.80
03/16/2018 #		AGNC INVESTMENT CORP COMMON STOCK	B	4,032.09	151.85	19.95	0.00	131.90	90.0	118.71
03/26/2018 #	KNIEF, LEWIS	MICRON TECHNOLOGY INC	B	26,844.95	470.67	19.95	0.00	450.72	90.0	405.65
* STOCKS SUBTOTAL *				\$124,451.64	\$2,983.15	\$219.45	\$0.00	\$2,763.70		\$2,487.33
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>										
02/07/0018 #501201205042040	WAGNER, JAMES DELAWARE	SLFMFX11	B	0.00	83.39	0.00	0.00	83.39	90.0	75.05
02/07/0018 #501301305049746	WAGNER, JAMES DELAWARE	SLFMFX12	B	0.00	140.42	0.00	0.00	140.42	90.0	126.38
03/02/2018 #VR08465097	WHEELER, JOHN	PACIFIC LIFE TRAILS	B	0.00	32.37	0.00	0.00	32.37	90.0	29.13
* VARIABLE ANNUITIES SUBTOTAL *				\$0.00	\$256.18	\$0.00	\$0.00	\$256.18		\$230.56
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
03/02/2018 #VR08465097	WHEELER, JOHN	PL 1	B	0.00	32.37	0.00	0.00	32.37	90.0	29.13
03/09/2018 #	LITTLE, TERRY	DAIN TRAILER	B	0.00	3.84	0.00	0.00	3.84	90.0	3.46
03/09/2018 #	LITTLE, TERRY	DAIN TRAILER	B	0.00	1.02	0.00	0.00	1.02	90.0	0.92
03/09/2018 #	LITTLE, TERRY	DAIN TRAILER	B	0.00	0.80	0.00	0.00	0.80	90.0	0.72
03/09/2018 #	LITTLE, TERRY	DAIN TRAILER	B	0.00	0.25	0.00	0.00	0.25	90.0	0.23
03/09/2018 #	LITTLE, CATHI JO	DAIN TRAILER	B	0.00	2.12	0.00	0.00	2.12	90.0	1.91
03/09/2018 #	LITTLE, CATHI JO	DAIN TRAILER	B	0.00	1.58	0.00	0.00	1.58	90.0	1.42

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
03/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.17	0.00	0.00	4.17	90.0	3.75
03/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	1.96	0.00	0.00	1.96	90.0	1.76
03/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.24	0.00	0.00	4.24	90.0	3.82
03/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.10	0.00	0.00	4.10	90.0	3.69
03/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.80	0.00	0.00	4.80	90.0	4.32
03/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	7.00	0.00	0.00	7.00	90.0	6.30
03/09/2018 #	WAGNER, JAMES	DAIN TRAILER	B	0.00	1.96	0.00	0.00	1.96	90.0	1.76
03/09/2018 #	WAGNER, ANDRE	DAIN TRAILER	B	0.00	2.54	0.00	0.00	2.54	90.0	2.29
03/09/2018 #	WAGNER, ANDRE	DAIN TRAILER	B	0.00	1.20	0.00	0.00	1.20	90.0	1.08
03/09/2018 #	POWERS, DEBORAH	DAIN TRAILER	B	0.00	0.63	0.00	0.00	0.63	90.0	0.57
03/09/2018 #	POWERS, RICHARD	DAIN TRAILER	B	0.00	0.62	0.00	0.00	0.62	90.0	0.56
03/09/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	0.58	0.00	0.00	0.58	90.0	0.52
03/09/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	0.36	0.00	0.00	0.36	90.0	0.32
03/09/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	1.99	0.00	0.00	1.99	90.0	1.79
03/09/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	2.77	0.00	0.00	2.77	90.0	2.49
03/09/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	2.91	0.00	0.00	2.91	90.0	2.62
03/09/2018 #	GAROUTTE, MICHAEL	DAIN TRAILER	B	0.00	1.37	0.00	0.00	1.37	90.0	1.23
03/09/2018 #	KNIEF, LEWIS	DAIN TRAILER	B	0.00	19.17	0.00	0.00	19.17	90.0	17.25
03/09/2018 #	KNIEF, LEWIS	DAIN TRAILER	B	0.00	21.05	0.00	0.00	21.05	90.0	18.95
03/09/2018 #	CREECH, CAREY	DAIN TRAILER	B	0.00	11.43	0.00	0.00	11.43	90.0	10.29
03/09/2018 #	STEWART, GARY	DAIN TRAILER	B	0.00	2.49	0.00	0.00	2.49	90.0	2.24
03/09/2018 #	MCDONALD, JOHN	DAIN TRAILER	B	0.00	1.91	0.00	0.00	1.91	90.0	1.72
03/09/2018 #	MCDONALD, SHARON	DAIN TRAILER	B	0.00	2.21	0.00	0.00	2.21	90.0	1.99
03/09/2018 #	MCDONALD, JOHN	DAIN TRAILER	B	0.00	0.86	0.00	0.00	0.86	90.0	0.77
03/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	1.16	0.00	0.00	1.16	90.0	1.04
03/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	1.17	0.00	0.00	1.17	90.0	1.05
03/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	3.60	0.00	0.00	3.60	90.0	3.24
03/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.50	0.00	0.00	0.50	90.0	0.45
03/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.05	0.00	0.00	0.05	90.0	0.05
03/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.61	0.00	0.00	0.61	90.0	0.55
03/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.19	0.00	0.00	0.19	90.0	0.17
03/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.72	0.00	0.00	3.72	90.0	3.35
03/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	5.86	0.00	0.00	5.86	90.0	5.27
03/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.31	0.00	0.00	3.31	90.0	2.98
03/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	2.47	0.00	0.00	2.47	90.0	2.22
03/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.60	0.00	0.00	3.60	90.0	3.24
03/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.60	0.00	0.00	3.60	90.0	3.24
03/09/2018 #	BRINKERHOFF, MARJORIE	DAIN TRAILER	B	0.00	9.52	0.00	0.00	9.52	90.0	8.57
03/09/2018 #	SMITH, WESTIN	DAIN TRAILER	B	0.00	0.19	0.00	0.00	0.19	90.0	0.17
03/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	1.58	0.00	0.00	1.58	90.0	1.42

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
03/09/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.84	0.00	0.00	0.84	90.0	0.76
03/09/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.34	0.00	0.00	0.34	90.0	0.31
03/09/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.39	0.00	0.00	0.39	90.0	0.35
03/09/2018 #	MOORE, KATHERINE	DAIN TRAILER	B	0.00	0.97	0.00	0.00	0.97	90.0	0.87
03/09/2018 #	PARK, SUSAN	DAIN TRAILER	B	0.00	4.13	0.00	0.00	4.13	90.0	3.72
03/09/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	5.24	0.00	0.00	5.24	90.0	4.72
03/09/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	1.31	0.00	0.00	1.31	90.0	1.18
03/09/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	2.65	0.00	0.00	2.65	90.0	2.39
03/09/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	1.18	0.00	0.00	1.18	90.0	1.06
03/09/2018 #	ROCK, ZACHARY	DAIN TRAILER	B	0.00	0.88	0.00	0.00	0.88	90.0	0.79
03/09/2018 #	PARK, SUSAN	DAIN TRAILER	B	0.00	0.64	0.00	0.00	0.64	90.0	0.58
03/09/2018 #	HIZA, STEVEN	DAIN TRAILER	B	0.00	2.13	0.00	0.00	2.13	90.0	1.92
03/09/2018 #	HIZA, STEVEN	DAIN TRAILER	B	0.00	1.34	0.00	0.00	1.34	90.0	1.21
03/09/2018 #	BILLS, BARBARA	DAIN TRAILER	B	0.00	0.23	0.00	0.00	0.23	90.0	0.21
03/09/2018 #	BILLS, BARBARA	DAIN TRAILER	B	0.00	0.44	0.00	0.00	0.44	90.0	0.40
03/09/2018 #	GILLGREN, JERRY	DAIN TRAILER	B	0.00	0.27	0.00	0.00	0.27	90.0	0.24
03/09/2018 #	REED, CASEY	DAIN TRAILER	B	0.00	0.61	0.00	0.00	0.61	90.0	0.55
03/09/2018 #	REED, CASEY	DAIN TRAILER	B	0.00	5.91	0.00	0.00	5.91	90.0	5.32
03/09/2018 #	CROWELL-GILLGREN, CHRISTINA	DAIN TRAILER	B	0.00	1.58	0.00	0.00	1.58	90.0	1.42
03/09/2018 #	CROWELL-GILLGREN, CHRISTINA	DAIN TRAILER	B	0.00	12.22	0.00	0.00	12.22	90.0	11.00
03/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.16	0.00	0.00	2.16	90.0	1.94
03/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.16	0.00	0.00	2.16	90.0	1.94
03/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.25	0.00	0.00	2.25	90.0	2.03
03/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	3.67	0.00	0.00	3.67	90.0	3.30
03/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.10	0.00	0.00	2.10	90.0	1.89
03/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.29	0.00	0.00	2.29	90.0	2.06
03/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.30	0.00	0.00	2.30	90.0	2.07
03/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	1.18	0.00	0.00	1.18	90.0	1.06
03/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.37	0.00	0.00	2.37	90.0	2.13
03/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.11	0.00	0.00	2.11	90.0	1.90
03/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	1.15	0.00	0.00	1.15	90.0	1.04
03/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.68	0.00	0.00	2.68	90.0	2.41
03/09/2018 #	RUFFNER, EMMA	DAIN TRAILER	B	0.00	1.22	0.00	0.00	1.22	90.0	1.10
03/09/2018 #	GILLGREN, JERRY	DAIN TRAILER	B	0.00	1.32	0.00	0.00	1.32	90.0	1.19
03/09/2018 #	BOWLES, DRAKE	DAIN TRAILER	B	0.00	0.55	0.00	0.00	0.55	90.0	0.50
03/09/2018 #	RAE, PETER	DAIN TRAILER	B	0.00	1.51	0.00	0.00	1.51	90.0	1.36
03/09/2018 #	RAZZOUQ, FRANKO	DAIN TRAILER	B	0.00	1.29	0.00	0.00	1.29	90.0	1.16
03/09/2018 #	RAZZOUQ, FRANKO	DAIN TRAILER	B	0.00	2.53	0.00	0.00	2.53	90.0	2.28
03/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.53	0.00	0.00	0.53	90.0	0.48
03/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.80	0.00	0.00	0.80	90.0	0.72

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
03/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	1.34	0.00	0.00	1.34	90.0	1.21
03/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.42	0.00	0.00	0.42	90.0	0.38
03/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.65	0.00	0.00	0.65	90.0	0.59
03/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	1.23	0.00	0.00	1.23	90.0	1.11
03/09/2018 #	GAROUTTE, MICHAEL	DAIN TRAILER	B	0.00	0.43	0.00	0.00	0.43	90.0	0.39
03/09/2018 #	HAMMOND, NORMA	DAIN TRAILER	B	0.00	1.49	0.00	0.00	1.49	90.0	1.34
03/09/2018 #	ROCK, MATTHEW	DAIN TRAILER	B	0.00	1.51	0.00	0.00	1.51	90.0	1.36
03/09/2018 #	WRIGHT, KAREN	DAIN TRAILER	B	0.00	1.69	0.00	0.00	1.69	90.0	1.52
03/09/2018 #	WRIGHT, KAREN	DAIN TRAILER	B	0.00	2.02	0.00	0.00	2.02	90.0	1.82
03/09/2018 #	SLAY, BYRON	DAIN TRAILER	B	0.00	0.93	0.00	0.00	0.93	90.0	0.84
03/09/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.02	0.00	0.00	0.02	90.0	0.02
03/09/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.06	0.00	0.00	0.06	90.0	0.05
03/09/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.14	0.00	0.00	0.14	90.0	0.13
03/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	2.15	0.00	0.00	2.15	90.0	1.94
03/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.36	0.00	0.00	0.36	90.0	0.32
03/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.49	0.00	0.00	0.49	90.0	0.44
03/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	1.34	0.00	0.00	1.34	90.0	1.21
03/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.30	0.00	0.00	0.30	90.0	0.27
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$281.47	\$0.00	\$0.00	\$281.47		\$253.38
*** BROKER TRANSACTIONS TOTAL ***				\$132,377.64	\$3,864.70	\$259.45	\$0.00	\$3,605.25		\$3,244.78

ADJUSTMENTS

04/20/2018	ADMIN FEE: ADMIN FEE	-390.00
04/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
04/20/2018	MWOD:MISCELLANEOUS: WRITE-OFF	-0.18
	DEBIT BALANCE	
04/20/2018	FINRA: FINRA ANNUAL ASSESMENT FEE	-215.00
*** ADJUSTMENTS TOTAL ***		\$-784.18

BROKER COMMISSION TOTALS

Broker Transactions	\$3,244.78
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-784.18
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$2,460.60
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