

**COMMISSION STATEMENT****June 15, 2018**JOEL, W143 WOODS
1412 Blue Quail RunBROKER #: W143
BRANCH: WOODS FINANCIAL

Crowley, TX 76036-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: REIT</u>								
05/09/2018	TMICO TRUST CO	BEHRINGER HARVARD DST 88650V109	14,302.58	100.00	22.00	78.00	92.0	71.76
05/09/2018	HEIHN, DELTON	BEHRINGER HARVARD DST 88650V109	10,545.40	55.00	22.00	33.00	92.0	30.36
05/10/2018	CARROLL, JAMES	BEHRINGER HARVARD DST 88650V109	21,836.95	125.00	22.00	103.00	92.0	94.76
05/10/2018	MANNING, RUTH	BEHRINGER HARVARD DST 88650V109	17,423.03	100.00	22.00	78.00	92.0	71.76
05/23/2018	LAM, GENE	BEHRINGER HARVARD DST 88650V109	22,926.08	150.00	22.00	128.00	92.0	117.76
05/18/2018	CARROLL, JAMES	WTS CIM COML TR CORP	21,700.00	1,356.25	22.00	1,334.25	92.0	1,227.51
05/18/2018	HEIHN, DELTON	WTS CIM COML TR CORP	10,475.00	654.69	22.00	632.69	92.0	582.07
05/18/2018	CARROLL, JAMES	WTS CIM COML TR CORP	8.68	0.00	22.00	-22.00	92.0	-20.24
05/18/2018	HEIHN, DELTON	WTS CIM COML TR CORP	4.19	0.00	22.00	-22.00	92.0	-20.24
* REIT SUBTOTAL *			\$119,221.91	\$2,540.94	\$198.00	\$2,342.94		\$2,155.50
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/11/2018	HICKMAN, FRANCES	DELAWARE TAX FREE USA A	0.00	8.31	0.00	8.31	90.0	7.48
05/09/2018	MCELVAIN, TED	FIRST EAGLE GLOBAL FUND CL A	0.00	7.39	0.00	7.39	90.0	6.65
05/09/2018	TMICO TRUST CO	FIRST EAGLE GOLD FUND CLASS C	0.00	5.94	0.00	5.94	90.0	5.35
05/09/2018	HICKMAN, FRANCES	FRANKLIN FED TAX FREE INCOME A	0.00	11.88	0.00	11.88	90.0	10.69
05/09/2018	RICHTER, ROBERT	HARTFORD MIDCAP A	0.00	5.82	0.00	5.82	90.0	5.24
05/09/2018	THREADGILL, VICKY	INVESCO BALANCED-RISK ALLOCATION-C	42,000.00	25.00	0.00	25.00	90.0	22.50
05/09/2018	CONDRAY, GADA	OPPENHEIMER STEELPATH MLP ALPHA FD	0.00	3.35	0.00	3.35	90.0	3.02
05/09/2018	CONDRAY, GADA	TRANSAMERICA MLP & ENERGY INC - C	0.00	4.86	0.00	4.86	90.0	4.37
* MUTUAL FUNDS SUBTOTAL *			\$42,000.00	\$72.55	\$0.00	\$72.55		\$65.30
*** CLEARING TRANSACTIONS TOTAL ***			\$161,221.91	\$2,613.49	\$198.00	\$2,415.49		\$2,220.80

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: REIT</u>								
04/20/2018	BLOCK, ARNOLD	CIM COMMERCIAL TRUST SERIES A	17,500.00	875.00	0.00	875.00	92.0	805.00
05/01/2018	GRUMBLES, JACK	CIM COMMERCIAL TRUST SERIES A	57,000.00	2,850.00	0.00	2,850.00	92.0	2,622.00
05/02/2018	LYONS, LORA	CIM COMMERCIAL TRUST SERIES A	18,000.00	900.00	0.00	900.00	92.0	828.00
05/10/2018	SMITH, ROSEMARY	CIM COMMERCIAL TRUST SERIES A	15,000.00	750.00	0.00	750.00	92.0	690.00
05/14/2018	LOWE, PATRICIA	CIM COMMERCIAL TRUST SERIES A	18,000.00	900.00	0.00	900.00	92.0	828.00
* REIT SUBTOTAL *			\$125,500.00	\$6,275.00	\$0.00	\$6,275.00		\$5,773.00
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
05/21/2018	BALL, RUTH	GRIFFIN INST'L ACCESS R E FUND C	3,100.00	31.00	0.00	31.00	92.0	28.52
* INTERVAL FUNDS SUBTOTAL *			\$3,100.00	\$31.00	\$0.00	\$31.00		\$28.52
<u>PRODUCT CATEGORY: 529 PLANS</u>								
05/18/2018	GORDON, JEFFREY	AGE-BASED 9 (AGES 17 AND OVER) C	300.00	3.00	0.00	3.00	90.0	2.70
06/04/2018	GIBSON, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA 529	125.00	6.25	0.00	6.25	90.0	5.63
05/23/2018	MCDOWELL, TAWN	COLLEGE 2024 FUND - 529A	50,000.00	1,750.00	0.00	1,750.00	90.0	1,575.00
05/29/2018	GRAVES, BENJAMIN	COLLEGE 2033 FUND-529A	10.00	0.35	0.00	0.35	90.0	0.32
06/01/2018	ST JOHN, FINN	COLLEGE 2033 FUND-529A	100.00	3.50	0.00	3.50	90.0	3.15
06/01/2018	GRAVES, BENJAMIN	COLLEGE 2033 FUND-529A	10.00	0.35	0.00	0.35	90.0	0.32
06/08/2018	GRAVES, BENJAMIN	COLLEGE 2033 FUND-529A	10.00	0.35	0.00	0.35	90.0	0.32
/ /	AMOS, ALEXANDER	FA 529 COLLEGE PORT OLD CL A	0.00	16.56	0.00	16.56	90.0	14.90
/ /	AMOS, ALEXANDER	FA 529 COLLEGE PORT OLD CL A	0.00	17.76	0.00	17.76	90.0	15.98
* 529 PLANS SUBTOTAL *			\$50,555.00	\$1,798.12	\$0.00	\$1,798.12		\$1,618.32
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/16/2018	RADEMAKERS, DAVID	FRANKLIN INCOME C	9,800.00	98.00	0.00	98.00	90.0	88.20
05/25/2018	HAMPTON, JARROTT	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
05/29/2018	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	205.00	2.05	0.00	2.05	90.0	1.85
05/29/2018	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	75.00	0.75	0.00	0.75	90.0	0.68
05/29/2018	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	205.00	2.05	0.00	2.05	90.0	1.85
05/29/2018	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	75.00	0.75	0.00	0.75	90.0	0.68
05/29/2018	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
05/29/2018	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
05/29/2018	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
05/29/2018	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
06/01/2018	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	205.00	2.05	0.00	2.05	90.0	1.85

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2018	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	75.00	0.75	0.00	0.75	90.0	0.68
06/01/2018	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
06/01/2018	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
* MUTUAL FUNDS SUBTOTAL *			\$10,990.00	\$109.90	\$0.00	\$109.90		\$98.94
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
05/31/2018	HENSLEE, CHARLES	JNL PERSPECTIVE	10,202.70	2.13	0.00	2.13	90.0	1.92
05/31/2018	GORDON, JEFFREY	JNL PERSPECTIVE II 04/14	103,834.92	43.26	0.00	43.26	90.0	38.93
05/31/2018	CADY, KENDA	JNL PERSPECTIVE L	30,477.30	33.02	0.00	33.02	90.0	29.72
05/31/2018	HEIL, ROBERT	JNL PERSPECTIVE L	61,600.33	66.73	0.00	66.73	90.0	60.06
05/31/2018	PARKIN, DAVID	JNL PERSPECTIVE L	62,335.43	67.53	0.00	67.53	90.0	60.78
05/31/2018	TOMLINSON, HAROLD	JNL PERSPECTIVE L	110,603.11	119.82	0.00	119.82	90.0	107.84
05/31/2018	MARKS, FRANCES	JNL PERSPECTIVE L	41,177.47	44.61	0.00	44.61	90.0	40.15
05/31/2018	MARKS, RICHARD	JNL PERSPECTIVE L	41,318.66	44.76	0.00	44.76	90.0	40.28
05/31/2018	SENESE, CATHERINE	JNL PERSPECTIVE L	6,254.89	6.78	0.00	6.78	90.0	6.10
05/31/2018	HARVEY, HELEN	JNL PERSPECTIVE L	75,167.10	81.43	0.00	81.43	90.0	73.29
05/31/2018	SENESE, CARMEN	JNL PERSPECTIVE L	20,366.13	22.06	0.00	22.06	90.0	19.85
05/31/2018	HARVEY, JESSE	JNL PERSPECTIVE L	93,128.04	100.89	0.00	100.89	90.0	90.80
05/31/2018	IRBY, MALCOLM DON & E	JNL PERSPECTIVE L	19,013.42	20.60	0.00	20.60	90.0	18.54
05/31/2018	PERRY, JANINE	JNL PERSPECTIVE L	19,553.38	21.18	0.00	21.18	90.0	19.06
05/31/2018	LILES, ROBERT	JOHN HANCOCK VENTURE III	179,836.81	149.86	0.00	149.86	90.0	134.87
05/31/2018	GRAVITT, ELIZABETH	JOHN HANCOCK VENTURE III	68,972.89	57.48	0.00	57.48	90.0	51.73
04/30/2018	HYDE, KATHY	PRU AS APEX II	9,753.15	8.13	0.00	8.13	90.0	7.32
04/30/2018	HYDE, KATHY	PRU AS APEX II	9,753.15	2.03	0.00	2.03	90.0	1.83
04/30/2018	HYDE, KATHY	PRU AS APEX II	42,216.23	8.80	0.00	8.80	90.0	7.92
04/30/2018	HYDE, KATHY	PRU AS APEX II	42,216.23	35.18	0.00	35.18	90.0	31.66
05/31/2018	HYDE, KATHY	PRU AS APEX II	9,736.33	8.11	0.00	8.11	90.0	7.30
05/31/2018	HYDE, KATHY	PRU AS APEX II	9,736.33	2.03	0.00	2.03	90.0	1.83
05/31/2018	HYDE, KATHY	PRU AS APEX II	42,115.91	8.77	0.00	8.77	90.0	7.89
05/31/2018	HYDE, KATHY	PRU AS APEX II	42,115.91	35.10	0.00	35.10	90.0	31.59
* VARIABLE ANNUITIES SUBTOTAL *			\$1,151,485.82	\$990.29	\$0.00	\$990.29		\$891.26

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	DEVINE, MICHAEL	529 AMCAP FUND CLASS A	0.00	2.92	0.00	2.92	90.0	2.63
06/01/2018	DEVINE, MICHAEL	529 AMCAP FUND CLASS A	0.00	2.14	0.00	2.14	90.0	1.93
06/01/2018	DEVINE, MICHAEL	529 AMCAP FUND CLASS A	0.00	1.40	0.00	1.40	90.0	1.26
06/01/2018	DEVINE, MICHAEL	529 AMCAP FUND CLASS A	0.00	1.03	0.00	1.03	90.0	0.93
06/01/2018	MOORE, JOHN	AM FUNDS AMCAP A	0.00	29.75	0.00	29.75	90.0	26.78
06/01/2018	SHAW, DEBRA	AM FUNDS AMERICAN BALANCED 529A	0.00	2.08	0.00	2.08	90.0	1.87
06/01/2018	KOSLA, EVA	AM FUNDS AMERICAN BALANCED 529A	0.00	22.94	0.00	22.94	90.0	20.65
06/01/2018	PERRY, JANINE	AM FUNDS AMERICAN BALANCED C	0.00	3.13	0.00	3.13	90.0	2.82
06/01/2018	GARCIA, SUSAN	AM FUNDS AMERICAN MUTUAL 529A	0.00	3.22	0.00	3.22	90.0	2.90
06/01/2018	GARCIA, SUSAN	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.70	0.00	0.70	90.0	0.63
06/01/2018	GARCIA, SUSAN	AM FUNDS AMERICAN MUTUAL A	0.00	3.20	0.00	3.20	90.0	2.88
06/01/2018	PUSEY, ANDREW	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.52	0.00	2.52	90.0	2.27
06/01/2018	PUSEY, ANDREW	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.38	0.00	1.38	90.0	1.24
06/01/2018	KOSLA, EVA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	8.82	0.00	8.82	90.0	7.94
06/01/2018	DEVINE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.61	0.00	2.61	90.0	2.35
06/01/2018	TURNER, CATALINA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.69	0.00	1.69	90.0	1.52
06/01/2018	DEVINE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.89	0.00	1.89	90.0	1.70
06/01/2018	KOSLA, EVA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	17.12	0.00	17.12	90.0	15.41
06/01/2018	GARCIA, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.20	0.00	3.20	90.0	2.88
06/01/2018	DEVINE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.33	0.00	1.33	90.0	1.20
06/01/2018	ST JOHN, FINN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.86	0.00	3.86	90.0	3.47
06/01/2018	ST JOHN, FINN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.38	0.00	1.38	90.0	1.24
06/01/2018	DEVINE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.00	0.00	1.00	90.0	0.90
06/01/2018	GARCIA, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.74	0.00	0.74	90.0	0.67
06/01/2018	PELLEY, MADISON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.40	0.00	3.40	90.0	3.06
06/01/2018	PELLEY, MADISON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.40	0.00	3.40	90.0	3.06
06/01/2018	CONTRERAS, COURTNEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.70	0.00	4.70	90.0	4.23
06/01/2018	MOORE, KATE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.68	0.00	9.68	90.0	8.71
06/01/2018	PERRY, JANINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	90.0	0.23
06/01/2018	GARCIA, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.21	0.00	3.21	90.0	2.89
06/01/2018	BURTS, TERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.20	0.00	2.20	90.0	1.98
06/01/2018	WILSON, TED	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	18.85	0.00	18.85	90.0	16.97
06/01/2018	MOORE, KATE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	19.91	0.00	19.91	90.0	17.92

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/01/2018	PERRY, JANINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.88	0.00	0.88	90.0	0.79
06/01/2018	PUSEY, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	3.80	0.00	3.80	90.0	3.42
06/01/2018	PUSEY, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	2.17	0.00	2.17	90.0	1.95
06/01/2018	MOORE, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	32.15	0.00	32.15	90.0	28.94
06/01/2018	ST JOHN, FINN	AM FUNDS GLOBAL BALANCED 529A	0.00	0.43	0.00	0.43	90.0	0.39
06/01/2018	ST JOHN, FINN	AM FUNDS GLOBAL BALANCED 529A	0.00	0.35	0.00	0.35	90.0	0.32
06/01/2018	SHERRIEB, HAROLD	AM FUNDS GROWTH AND INCOME C	0.00	25.78	0.00	25.78	90.0	23.20
06/01/2018	PUSEY, ANDREW	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.90	0.00	3.90	90.0	3.51
06/01/2018	DEVINE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.15	0.00	3.15	90.0	2.84
06/01/2018	PUSEY, ANDREW	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.26	0.00	2.26	90.0	2.03
06/01/2018	DEVINE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.31	0.00	2.31	90.0	2.08
06/01/2018	DEVINE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.54	0.00	1.54	90.0	1.39
06/01/2018	ST JOHN, FINN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.68	0.00	0.68	90.0	0.61
06/01/2018	GIBSON, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.32	0.00	4.32	90.0	3.89
06/01/2018	ST JOHN, FINN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.23	0.00	2.23	90.0	2.01
06/01/2018	DEVINE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.07	0.00	1.07	90.0	0.96
06/01/2018	PELLEY, MADISON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.62	0.00	3.62	90.0	3.26
06/01/2018	PELLEY, MADISON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.62	0.00	3.62	90.0	3.26
06/01/2018	MOORE, KATE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	25.33	0.00	25.33	90.0	22.80
06/01/2018	PERRY, JANINE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	4.70	0.00	4.70	90.0	4.23
06/01/2018	PERRY, JANINE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.49	0.00	4.49	90.0	4.04
06/01/2018	SHAW, DEBRA	AM FUNDS ICA 529A	0.00	0.38	0.00	0.38	90.0	0.34
06/01/2018	SHAW, DEBRA	AM FUNDS ICA 529A	0.00	6.16	0.00	6.16	90.0	5.54
06/01/2018	PUSEY, ANDREW	AM FUNDS ICA 529A	0.00	3.37	0.00	3.37	90.0	3.03
06/01/2018	DEVINE, MICHAEL	AM FUNDS ICA 529A	0.00	2.82	0.00	2.82	90.0	2.54
06/01/2018	PUSEY, ANDREW	AM FUNDS ICA 529A	0.00	1.62	0.00	1.62	90.0	1.46
06/01/2018	SHAW, DEBRA	AM FUNDS ICA 529A	0.00	2.83	0.00	2.83	90.0	2.55
06/01/2018	DEVINE, MICHAEL	AM FUNDS ICA 529A	0.00	2.06	0.00	2.06	90.0	1.85
06/01/2018	SHAW, DEBRA	AM FUNDS ICA 529A	0.00	1.12	0.00	1.12	90.0	1.01
06/01/2018	DEVINE, MICHAEL	AM FUNDS ICA 529A	0.00	1.37	0.00	1.37	90.0	1.23
06/01/2018	ST JOHN, FINN	AM FUNDS ICA 529A	0.00	2.07	0.00	2.07	90.0	1.86
06/01/2018	ST JOHN, FINN	AM FUNDS ICA 529A	0.00	1.51	0.00	1.51	90.0	1.36
06/01/2018	DEVINE, MICHAEL	AM FUNDS ICA 529A	0.00	0.97	0.00	0.97	90.0	0.87

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
06/01/2018	PELLEY, MADISON	AM FUNDS ICA 529C	0.00	3.46	0.00	3.46	90.0	3.11
06/01/2018	PELLEY, MADISON	AM FUNDS ICA 529C	0.00	3.46	0.00	3.46	90.0	3.11
06/01/2018	CONTRERAS, COURTNEY	AM FUNDS ICA A	0.00	5.50	0.00	5.50	90.0	4.95
06/01/2018	MOORE, KATE	AM FUNDS ICA A	0.00	20.99	0.00	20.99	90.0	18.89
06/01/2018	PERRY, JANINE	AM FUNDS ICA C	0.00	4.20	0.00	4.20	90.0	3.78
06/01/2018	PERRY, JANINE	AM FUNDS ICA F1	0.00	3.79	0.00	3.79	90.0	3.41
06/01/2018	MOORE, KATE	AM FUNDS NEW ECONOMY A	0.00	28.65	0.00	28.65	90.0	25.79
06/01/2018	MOORE, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	31.10	0.00	31.10	90.0	27.99
06/01/2018	ST JOHN, FINN	AM FUNDS SMALLCAP WORLD-529A	0.00	0.57	0.00	0.57	90.0	0.51
06/01/2018	ST JOHN, FINN	AM FUNDS SMALLCAP WORLD-529A	0.00	0.44	0.00	0.44	90.0	0.40
06/01/2018	PELLEY, MADISON	AM FUNDS SMALLCAP WORLD-529C	0.00	3.48	0.00	3.48	90.0	3.13
06/01/2018	PELLEY, MADISON	AM FUNDS SMALLCAP WORLD-529C	0.00	3.48	0.00	3.48	90.0	3.13
06/01/2018	MOORE, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	26.04	0.00	26.04	90.0	23.44
06/01/2018	PERRY, JANINE	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	3.29	0.00	3.29	90.0	2.96
06/01/2018	AMOS, ALEXANDER	COLLEGE 2018 FUND - 529A	0.00	6.43	0.00	6.43	90.0	5.79
06/01/2018	AMOS, ALEXANDER	COLLEGE 2018 FUND - 529A	0.00	6.43	0.00	6.43	90.0	5.79
06/01/2018	AMOS, ALEXANDER	COLLEGE 2018 FUND - 529A	0.00	13.22	0.00	13.22	90.0	11.90
06/01/2018	AMOS, ALEXANDER	COLLEGE 2018 FUND - 529A	0.00	1.60	0.00	1.60	90.0	1.44
06/01/2018	MCDOWELL, TAWN	COLLEGE 2024 FUND - 529A	0.00	2.95	0.00	2.95	90.0	2.66
06/01/2018	ST JOHN, FINN	COLLEGE 2033 FUND-529A	0.00	4.85	0.00	4.85	90.0	4.37
06/01/2018	GRAVES, BENJAMIN	COLLEGE 2033 FUND-529A	0.00	0.57	0.00	0.57	90.0	0.51
06/01/2018	AMOS, ALEXANDER	COLLEGE ENROLLMENT FUND-529A	0.00	5.39	0.00	5.39	90.0	4.85
06/01/2018	AMOS, ALEXANDER	COLLEGE ENROLLMENT FUND-529A	0.00	5.39	0.00	5.39	90.0	4.85
06/01/2018	AMOS, ALEXANDER	COLLEGE ENROLLMENT FUND-529A	0.00	11.08	0.00	11.08	90.0	9.97
06/01/2018	AMOS, ALEXANDER	COLLEGE ENROLLMENT FUND-529A	0.00	1.34	0.00	1.34	90.0	1.21
/ /	WESTMORELAND, SUSAN	FIDELITY ADV SHORT TERM BOND CL A	0.00	0.80	0.00	0.80	90.0	0.72
/ /	RECTOR, ABIGAIL	JH 529 PORT 2017-2020 A	0.00	1.48	0.00	1.48	90.0	1.33
/ /	RECTOR, MADELINE	JH 529 PORT 2017-2020 A	0.00	1.48	0.00	1.48	90.0	1.33
06/04/2018	RADEMAKERS, DAVID	TRANSAMERICA MLP & ENERGY INC - C	0.00	4.61	0.00	4.61	90.0	4.15
06/04/2018	RADEMAKERS, DAVID	TRANSAMERICA MLP & ENERGY INC - C	0.00	17.09	0.00	17.09	90.0	15.38
06/04/2018	PERRY CHILDRENS TR, RUDOLPH	TRANSAMERICA MLP & ENERGY INC - C	0.00	13.07	0.00	13.07	90.0	11.76
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$576.94	\$0.00	\$576.94		\$519.29

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
05/24/2018	GORDON, JEFFREY	PAC LIFE 69448B175	0.00	105.91	0.00	105.91	90.0	95.32
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$105.91	\$0.00	\$105.91		\$95.32
*** DIRECT TRANSACTIONS TOTAL ***			\$1,341,630.82	\$9,887.16	\$0.00	\$9,887.16		\$9,024.65

OVERRIDE TRANSACTIONS**BROKER: MARK-S141 REG SMITH #367**

06/01/2018	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.05
06/01/2018	BONGIORNO, VALERIE	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.05
06/01/2018	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	0.00	2.55	0.00	2.55	48.0	1.07
06/01/2018	BONGIORNO, VALERIE	AM FUNDS AMCAP A	0.00	1.11	0.00	1.11	48.0	0.47
06/01/2018	BOWLAND, BOBBY	AM FUNDS AMERICAN BALANCED A	0.00	4.91	0.00	4.91	48.0	2.06
06/01/2018	BOWLAND, TERRI	AM FUNDS AMERICAN BALANCED A	0.00	7.56	0.00	7.56	48.0	3.18
06/01/2018	SCHONFELD, NANCY	AM FUNDS AMERICAN BALANCED A	0.00	3.81	0.00	3.81	48.0	1.60
05/09/2018	BOWLAND, BOBBY	AM FUNDS AMERICAN MUTUAL A	0.00	4.14	0.00	4.14	48.0	1.74
06/01/2018	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	48.0	1.05
06/01/2018	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	0.00	2.36	0.00	2.36	48.0	0.99
05/09/2018	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.03
05/09/2018	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.03
06/01/2018	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	1.19	0.00	1.19	48.0	0.50
06/01/2018	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	3.87	0.00	3.87	48.0	1.63
05/09/2018	BOWLAND, BOBBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.34	0.00	6.34	48.0	2.66
06/01/2018	CA/TOD, KAI-LI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.30	0.00	4.30	48.0	1.81
06/01/2018	SCHONFELD, NANCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.38	0.00	2.38	48.0	1.00
06/01/2018	BONGIORNO, VALERIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.97	0.00	0.97	48.0	0.41
05/09/2018	BOWLAND, BOBBY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.55	0.00	3.55	48.0	1.49
05/09/2018	WITKOWSKI, CHET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.55	0.00	0.55	48.0	0.23
06/01/2018	CA/TOD, KAI-LI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.67	0.00	4.67	48.0	1.96
06/01/2018	SCHONFELD, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.97	0.00	2.97	48.0	1.25
06/01/2018	BONGIORNO, VALERIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.08	0.00	1.08	48.0	0.45
06/01/2018	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	48.0	1.05
06/01/2018	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.23	0.00	2.23	48.0	0.94
05/09/2018	BRIDGES, JANIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.64	0.00	1.64	48.0	0.69

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARK-S141 REG SMITH #367 </u>								
06/01/2018	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	48.0	1.05
06/01/2018	BEDFORD, ELIZABETH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.64	0.00	6.64	48.0	2.79
06/01/2018	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.56	0.00	2.56	48.0	1.08
06/01/2018	STEPHENS, BRADLEY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	8.93	0.00	8.93	48.0	3.75
05/09/2018	WITKOWSKI, CHET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.55	0.00	0.55	48.0	0.23
06/01/2018	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.05
06/01/2018	BEDFORD, ELIZABETH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.63	0.00	7.63	48.0	3.20
06/01/2018	BOWLAND, BOBBY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.14	0.00	4.14	48.0	1.74
06/01/2018	BOWLAND, TERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.35	0.00	6.35	48.0	2.67
06/01/2018	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.75	0.00	2.75	48.0	1.16
06/01/2018	BONGIORNO, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.16	0.00	1.16	48.0	0.49
06/01/2018	STEPHENS, BRAZOS	AM FUNDS GROWTH PORT 529A	0.00	10.73	0.00	10.73	48.0	4.51
06/01/2018	VOORHEES, CLIFFORD	AM FUNDS GROWTH PORT A	0.00	7.20	0.00	7.20	48.0	3.02
05/09/2018	BOWLAND, BOBBY	AM FUNDS ICA A	0.00	4.07	0.00	4.07	48.0	1.71
05/09/2018	WITKOWSKI, CHET	AM FUNDS ICA A	0.00	0.53	0.00	0.53	48.0	0.22
06/01/2018	BEDFORD, CHESTER	AM FUNDS ICA A	0.00	8.34	0.00	8.34	48.0	3.50
06/01/2018	MOLINA, JEREMY	AM FUNDS ICA A	0.00	11.42	0.00	11.42	48.0	4.80
06/01/2018	MCGINNIS, KANDACE	AM FUNDS ICA A	0.00	8.05	0.00	8.05	48.0	3.38
05/09/2018	CHAPMAN, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.15	0.00	0.15	48.0	0.06
05/09/2018	CHAPMAN, TERRYALIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.15	0.00	0.15	48.0	0.06
05/09/2018	BRIDGES, JANIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.10	0.00	2.10	48.0	0.88
05/09/2018	BOWLAND, BOBBY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.41	0.00	3.41	48.0	1.43
05/09/2018	WITKOWSKI, CHET	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.53	0.00	0.53	48.0	0.22
05/09/2018	CHAPMAN, KENNETH	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.06	0.00	0.06	48.0	0.03
05/09/2018	CHAPMAN, TERRYALIN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.06	0.00	0.06	48.0	0.03
06/01/2018	BEDFORD, CHESTER	AM FUNDS NEW ECONOMY A	0.00	5.90	0.00	5.90	48.0	2.48
05/09/2018	CHAPMAN, KENNETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.21	0.00	0.21	48.0	0.09
05/09/2018	CHAPMAN, TERRYALIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.21	0.00	0.21	48.0	0.09
06/01/2018	BOWLAND, BOBBY	AM FUNDS NEW PERSPECTIVE A	0.00	3.89	0.00	3.89	48.0	1.63
06/01/2018	BOWLAND, TERRI	AM FUNDS NEW PERSPECTIVE A	0.00	5.61	0.00	5.61	48.0	2.36
06/01/2018	MOLINA, JEREMY	AM FUNDS NEW PERSPECTIVE A	0.00	4.48	0.00	4.48	48.0	1.88
06/01/2018	MCGINNIS, KANDACE	AM FUNDS NEW PERSPECTIVE A	0.00	3.35	0.00	3.35	48.0	1.41
06/01/2018	VOORHEES, CLIFFORD	AM FUNDS PRESERVATION PORT A	0.00	12.23	0.00	12.23	48.0	5.14

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: MARK-S141 REG SMITH #367</u>								
06/01/2018	VOORHEES, CINDY	AM FUNDS PRESERVATION PORT A	0.00	12.24	0.00	12.24	48.0	5.14
06/01/2018	JOHNSON, FRANKLIN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.82	0.00	0.82	48.0	0.34
06/01/2018	MOLINA, JEREMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.10	0.00	6.10	48.0	2.56
06/01/2018	MCGINNIS, KANDACE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.10	0.00	4.10	48.0	1.72
05/29/2018	ORR, PATRICIA	AM GEN POLARIS PLATINUM III	33,494.44	2,344.61	0.00	2,344.61	48.0	984.74
06/01/2018	WILLIAMS, JUANA	AMERICAN FUNDS US GOV'T SECURITIES	0.00	4.17	0.00	4.17	48.0	1.75
05/31/2018	BRIDGES, JANIS	JNL ELITE ACCESS	107,951.90	89.96	0.00	89.96	48.0	37.78
05/31/2018	RHODES, VIRGINIA	JNL ELITE ACCESS	77,011.91	64.18	0.00	64.18	48.0	26.96
05/31/2018	CROWTHER, JOHN	JNL ELITE ACCESS	59,509.70	12.40	0.00	12.40	48.0	5.21
05/31/2018	NOBLES, VERLIE	JNL PERSPECTIVE L	31,181.87	33.78	0.00	33.78	48.0	14.19
05/31/2018	REEDER, WESLEY	JNL PERSPECTIVE L	18,181.93	19.70	0.00	19.70	48.0	8.27
05/31/2018	SPURGIN, BRENT	JNL PERSPECTIVE L	36,290.00	39.31	0.00	39.31	48.0	16.51
05/31/2018	WHISTLER, ROBERT M & LIND	JNL PERSPECTIVE L	49,459.89	41.22	0.00	41.22	48.0	17.31
05/31/2018	WHISTLER, ROBERT M & LIND	JNL PERSPECTIVE L	40,017.55	43.35	0.00	43.35	48.0	18.21
05/31/2018	NOBLES, VERLIE	JOHN HANCOCK VENTURE III	30,644.18	25.54	0.00	25.54	48.0	10.73
05/09/2018	WARD, SHERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.57	0.00	0.57	48.0	0.24
04/30/2018	JEFFERS, LARRY	PRU AS APEX II	118,237.83	24.63	0.00	24.63	48.0	10.34
04/30/2018	JEFFERS, LARRY	PRU AS APEX II	118,237.83	98.53	0.00	98.53	48.0	41.38
05/31/2018	JEFFERS, LARRY	PRU AS APEX II	118,902.04	24.77	0.00	24.77	48.0	10.40
05/31/2018	JEFFERS, LARRY	PRU AS APEX II	118,902.04	99.09	0.00	99.09	48.0	41.62
05/09/2018	NICODIN, EARL	PUTNAM INVESTORS A	0.00	0.92	0.00	0.92	48.0	0.39
/ /	BONGIORNO, JANET	RYDEX BIOTECHNOLOGY A	0.00	0.04	0.00	0.04	48.0	0.02
/ /	BONGIORNO, JANET	RYDEX GUGG REAL ESTATE A	0.00	0.09	0.00	0.09	48.0	0.04
/ /	BONGIORNO, JANET	RYDEX GUGGENHEIM UTILITIES A	0.00	0.07	0.00	0.07	48.0	0.03
/ /	BONGIORNO, JANET	RYDEX HEALTH CARE-A	0.00	0.05	0.00	0.05	48.0	0.02
05/30/2018	BURNS, ANNE	SEC BEN 814121158	34,500.42	28.74	0.00	28.74	48.0	12.07
06/04/2018	RADEMAKERS, DAVID	TRANSAMERICA TACTICAL INCOME C	0.00	10.59	0.00	10.59	48.0	4.45
06/04/2018	HARRIS, GENIVA	TRANSAMERICA TACTICAL INCOME C	0.00	4.28	0.00	4.28	48.0	1.80
/ /	SCHONFELD, NANCY	VAN ECK INTERNATIONAL INVESTORS GOL	0.00	7.03	0.00	7.03	48.0	2.95
* MARK-S141 REG SMITH SUBTOTAL *			\$992,823.53	\$3,251.61	\$0.00	\$3,251.61		\$1,365.70

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARK-S142 ALTS SMITH #368</u>								
04/30/2018	MCCORMICK RV TR, ELLA	CIM COMMERCIAL TRUST SERIES A	80,000.00	4,000.00	0.00	4,000.00	49.0	1,720.00
05/04/2018	REEVES, KEN	CIM COMMERCIAL TRUST SERIES A	25,000.00	1,250.00	0.00	1,250.00	49.0	537.50
* MARK-S142 ALTS SMITH SUBTOTAL *			\$105,000.00	\$5,250.00	\$0.00	\$5,250.00		\$2,257.50
*** OVERRIDE TRANSACTIONS TOTAL ***			\$1,097,823.53	\$8,501.61	\$0.00	\$8,501.61		\$3,623.20

ADJUSTMENTS

06/15/2018	*AI INSIGHT: CURRENT MONTH	0.00						-7.00
06/15/2018	*EO INS: CURRENT MONTH INS	0.00						-300.00
06/15/2018	*LASER APP: CURRENT MONTH	0.00						-18.00
06/15/2018	*MISC: WTS CIM COMMISSION % CORRECTION	0.00						-130.94
06/15/2018	*MISC: WTS CIM COMMISSION % CORRECTION	0.00						-271.25
06/15/2018	*RBC: WEALTH STATION	0.00						-25.00
06/15/2018	*RBC: WEALTHSTATION - J CONDRAY	0.00						-25.00
06/15/2018	*TECH: CURRENT MONTH BASIC	0.00						-180.00
06/15/2018	*TECHNOLOGY: ADMIN - CHRISTINA POOLE	0.00						-130.00
06/15/2018	*TECHNOLOGY: ADMIN - JAMIE CONDRAY	0.00						-130.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-1,217.19

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BROKER COMMISSION TOTALS

Broker Transactions	\$11,245.45
Split Transactions	\$0.00
Override Transactions	\$3,623.20
Adjustments	\$-1,217.19
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$13,651.46
Year-to-date Gross	\$120,129.74
Year-to-date Earnings	\$143,698.86