

All Companies  
**STATEMENT**  
**March 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
<b><u>BROKER TRANSACTIONS</u></b>										
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>										
02/07/2018 #	REED, CASEY	HARTFORD MUNICIPAL REAL RETURN FD C S		14,824.69	20.00	20.00	0.00	0.00	90.0	0.00
		* MUTUAL FUNDS SUBTOTAL *		<b>\$14,824.69</b>	<b>\$20.00</b>	<b>\$20.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>										
02/02/2018 #	KNIEF, LEWIS	OMEGA HEALTHCARE INVESTORS INC	B	26,220.00	513.01	19.95	0.00	493.06	90.0	443.75
02/06/2018 #	KNIEF, LEWIS	AT&T INC	B	18,150.00	375.71	19.95	0.00	355.76	90.0	320.18
02/06/2018 #	LITLE, TERRY	OMEGA HEALTHCARE INVESTORS INC	B	11,462.25	294.94	19.95	0.00	274.99	90.0	247.49
02/09/2018 #	MCCOLL, JOANNE	SILICON LABORATORIES INC	S	14,365.17	230.29	19.95	0.00	210.34	90.0	189.31
		* STOCKS SUBTOTAL *		<b>\$70,197.42</b>	<b>\$1,413.95</b>	<b>\$79.80</b>	<b>\$0.00</b>	<b>\$1,334.15</b>		<b>\$1,200.73</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>										
01/30/2021 #501201205046288	WAGNER, ANDRE	DELAWARE LIFE	B	0.00	62.55	0.00	0.00	62.55	90.0	56.30
01/30/2021 #501201250080379	LITLE, TERRY	DELAWARE LIFE	B	0.00	100.21	0.00	0.00	100.21	90.0	90.19
01/30/2021 #501201250080387	ROCK, STEVEN	DELAWARE LIFE	B	0.00	2,227.68	0.00	0.00	2,227.68	90.0	2,004.91
01/30/2021 #501201250101662	AMADOR,	DELAWARE LIFE	B	0.00	65.49	0.00	0.00	65.49	90.0	58.94
02/07/2018 #VR08464026	MCDONALD, JOHN	PACIFIC LIFE TRAILS	B	0.00	70.07	0.00	0.00	70.07	90.0	63.06
		* VARIABLE ANNUITIES SUBTOTAL *		<b>\$0.00</b>	<b>\$2,526.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$2,526.00</b>		<b>\$2,273.40</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>										
02/09/2018 #	ROCK, ZACHARY	DAIN TRAILER	B	0.00	1.00	0.00	0.00	1.00	90.0	0.90
02/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.63	0.00	0.00	2.63	90.0	2.37
02/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.62	0.00	0.00	2.62	90.0	2.36
02/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	1.36	0.00	0.00	1.36	90.0	1.22
02/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.70	0.00	0.00	2.70	90.0	2.43
02/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.33	0.00	0.00	2.33	90.0	2.10
02/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	1.32	0.00	0.00	1.32	90.0	1.19
02/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	3.08	0.00	0.00	3.08	90.0	2.77
02/09/2018 #	RUFFNER, EMMA	DAIN TRAILER	B	0.00	1.38	0.00	0.00	1.38	90.0	1.24
02/09/2018 #	GILLGREN, JERRY	DAIN TRAILER	B	0.00	1.50	0.00	0.00	1.50	90.0	1.35
02/09/2018 #	BOWLES, DRAKE	DAIN TRAILER	B	0.00	0.62	0.00	0.00	0.62	90.0	0.56
02/09/2018 #	RAE, PETER	DAIN TRAILER	B	0.00	1.72	0.00	0.00	1.72	90.0	1.55
02/09/2018 #	RAZZOUQ, FRANKO	DAIN TRAILER	B	0.00	1.47	0.00	0.00	1.47	90.0	1.32

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
02/09/2018 #	RAZZOUQ, FRANKO	DAIN TRAILER	B	0.00	2.85	0.00	0.00	2.85	90.0	2.57
02/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.60	0.00	0.00	0.60	90.0	0.54
02/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.91	0.00	0.00	0.91	90.0	0.82
02/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	1.52	0.00	0.00	1.52	90.0	1.37
02/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.48	0.00	0.00	0.48	90.0	0.43
02/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.74	0.00	0.00	0.74	90.0	0.67
02/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	1.39	0.00	0.00	1.39	90.0	1.25
02/09/2018 #	GAROUTTE, MICHAEL	DAIN TRAILER	B	0.00	0.48	0.00	0.00	0.48	90.0	0.43
02/09/2018 #	HAMMOND, NORMA	DAIN TRAILER	B	0.00	1.66	0.00	0.00	1.66	90.0	1.49
02/09/2018 #	ROCK, MATTHEW	DAIN TRAILER	B	0.00	1.72	0.00	0.00	1.72	90.0	1.55
02/09/2018 #	WRIGHT, KAREN	DAIN TRAILER	B	0.00	1.94	0.00	0.00	1.94	90.0	1.75
02/09/2018 #	WRIGHT, KAREN	DAIN TRAILER	B	0.00	2.30	0.00	0.00	2.30	90.0	2.07
02/09/2018 #	SLAY, BYRON	DAIN TRAILER	B	0.00	1.07	0.00	0.00	1.07	90.0	0.96
02/09/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.02	0.00	0.00	0.02	90.0	0.02
02/09/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.07	0.00	0.00	0.07	90.0	0.06
02/09/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.16	0.00	0.00	0.16	90.0	0.14
02/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	2.43	0.00	0.00	2.43	90.0	2.19
02/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.40	0.00	0.00	0.40	90.0	0.36
02/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.55	0.00	0.00	0.55	90.0	0.50
02/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	1.51	0.00	0.00	1.51	90.0	1.36
02/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.34	0.00	0.00	0.34	90.0	0.31
02/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	4.33	0.00	0.00	4.33	90.0	3.90
02/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	1.15	0.00	0.00	1.15	90.0	1.04
02/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.92	0.00	0.00	0.92	90.0	0.83
02/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.29	0.00	0.00	0.29	90.0	0.26
02/09/2018 #	LITLE, CATHI JO	DAIN TRAILER	B	0.00	2.40	0.00	0.00	2.40	90.0	2.16
02/09/2018 #	LITLE, CATHI JO	DAIN TRAILER	B	0.00	1.80	0.00	0.00	1.80	90.0	1.62
02/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.74	0.00	0.00	4.74	90.0	4.27
02/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	2.16	0.00	0.00	2.16	90.0	1.94
02/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.71	0.00	0.00	4.71	90.0	4.24
02/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.60	0.00	0.00	4.60	90.0	4.14
02/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	5.30	0.00	0.00	5.30	90.0	4.77
02/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	7.96	0.00	0.00	7.96	90.0	7.16
02/09/2018 #	WAGNER, JAMES	DAIN TRAILER	B	0.00	2.22	0.00	0.00	2.22	90.0	2.00
02/09/2018 #	WAGNER, ANDRE	DAIN TRAILER	B	0.00	2.85	0.00	0.00	2.85	90.0	2.57
02/09/2018 #	WAGNER, ANDRE	DAIN TRAILER	B	0.00	1.35	0.00	0.00	1.35	90.0	1.22
02/09/2018 #	KNIEF, LEWIS	DAIN TRAILER	B	0.00	21.38	0.00	0.00	21.38	90.0	19.24
02/09/2018 #	KNIEF, LEWIS	DAIN TRAILER	B	0.00	23.22	0.00	0.00	23.22	90.0	20.90
02/09/2018 #	CREECH, CAREY	DAIN TRAILER	B	0.00	12.82	0.00	0.00	12.82	90.0	11.54
02/09/2018 #	STEWART, GARY	DAIN TRAILER	B	0.00	2.81	0.00	0.00	2.81	90.0	2.53

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
02/09/2018 #	MCDONALD, JOHN	DAIN TRAILER	B	0.00	2.11	0.00	0.00	2.11	90.0	1.90
02/09/2018 #	MCDONALD, SHARON	DAIN TRAILER	B	0.00	2.45	0.00	0.00	2.45	90.0	2.21
02/09/2018 #	MCDONALD, JOHN	DAIN TRAILER	B	0.00	0.96	0.00	0.00	0.96	90.0	0.86
02/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	1.30	0.00	0.00	1.30	90.0	1.17
02/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	1.32	0.00	0.00	1.32	90.0	1.19
02/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	4.10	0.00	0.00	4.10	90.0	3.69
02/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.56	0.00	0.00	0.56	90.0	0.50
02/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.05	0.00	0.00	0.05	90.0	0.05
02/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.70	0.00	0.00	0.70	90.0	0.63
02/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.21	0.00	0.00	0.21	90.0	0.19
02/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	4.17	0.00	0.00	4.17	90.0	3.75
02/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	6.62	0.00	0.00	6.62	90.0	5.96
02/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.77	0.00	0.00	3.77	90.0	3.39
02/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	2.77	0.00	0.00	2.77	90.0	2.49
02/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	4.06	0.00	0.00	4.06	90.0	3.65
02/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	4.10	0.00	0.00	4.10	90.0	3.69
02/09/2018 #	BRINKERHOFF, MARJORIE	DAIN TRAILER	B	0.00	10.62	0.00	0.00	10.62	90.0	9.56
02/09/2018 #	SMITH, WESTIN	DAIN TRAILER	B	0.00	0.21	0.00	0.00	0.21	90.0	0.19
02/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	1.78	0.00	0.00	1.78	90.0	1.60
02/09/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.94	0.00	0.00	0.94	90.0	0.85
02/09/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.39	0.00	0.00	0.39	90.0	0.35
02/09/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.45	0.00	0.00	0.45	90.0	0.41
02/09/2018 #	MOORE, KATHERINE	DAIN TRAILER	B	0.00	1.07	0.00	0.00	1.07	90.0	0.96
02/09/2018 #	PARK, SUSAN	DAIN TRAILER	B	0.00	4.64	0.00	0.00	4.64	90.0	4.18
02/09/2018 #	PARK, SUSAN	DAIN TRAILER	B	0.00	0.72	0.00	0.00	0.72	90.0	0.65
02/09/2018 #	HIZA, STEVEN	DAIN TRAILER	B	0.00	2.42	0.00	0.00	2.42	90.0	2.18
02/09/2018 #	HIZA, STEVEN	DAIN TRAILER	B	0.00	1.53	0.00	0.00	1.53	90.0	1.38
02/09/2018 #	BILLS, BARBARA	DAIN TRAILER	B	0.00	0.26	0.00	0.00	0.26	90.0	0.23
02/09/2018 #	BILLS, BARBARA	DAIN TRAILER	B	0.00	0.50	0.00	0.00	0.50	90.0	0.45
02/09/2018 #	GILLGREN, JERRY	DAIN TRAILER	B	0.00	0.30	0.00	0.00	0.30	90.0	0.27
02/09/2018 #	REED, CASEY	DAIN TRAILER	B	0.00	3.16	0.00	0.00	3.16	90.0	2.84
02/09/2018 #	REED, CASEY	DAIN TRAILER	B	0.00	6.79	0.00	0.00	6.79	90.0	6.11
02/09/2018 #	CROWELL-GILLGREN, CHRISTINA	DAIN TRAILER	B	0.00	1.79	0.00	0.00	1.79	90.0	1.61
02/09/2018 #	CROWELL-GILLGREN, CHRISTINA	DAIN TRAILER	B	0.00	13.80	0.00	0.00	13.80	90.0	12.42
02/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.44	0.00	0.00	2.44	90.0	2.20
02/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.45	0.00	0.00	2.45	90.0	2.21
02/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.56	0.00	0.00	2.56	90.0	2.30
02/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	4.22	0.00	0.00	4.22	90.0	3.80
02/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.39	0.00	0.00	2.39	90.0	2.15
02/09/2018 #	POWERS, DEBORAH	DAIN TRAILER	B	0.00	0.71	0.00	0.00	0.71	90.0	0.64



**BROKER COMMISSION TOTALS**

Broker Transactions	\$3,728.84
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-774.56
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

<b>Check Amount</b>	<b>\$2,954.28</b>
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