

# COMMISSION STATEMENT

July 15, 2018

ROBERT CALDWELL-D013  
 2802 North Highland Avenue  
 Suite A  
 Jackson, TN 38305

BROKER #: D013  
 BRANCH: DME

## COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>									
06/25/2018	000000000227710 THOMAS,	MF FRANKLIN MODERATE ALLOCATION	B	100.00	1.00	0.00	1.00	90.0	0.90
06/25/2018	000000003822855 PATRICK, CHAD	MF MUTUAL SHRS FND - CL C	B	166.66	1.67	0.00	1.67	90.0	1.50
06/26/2018	00067541249 PATRICK, CHAD	MF THE GROWTH FUND OF AMERICA-529A	B	75.00	3.19	0.00	3.19	90.0	2.87
06/26/2018	00067549730 PATRICK, CHAD	MF THE GROWTH FUND OF AMERICA-529A	B	75.00	3.19	0.00	3.19	90.0	2.87
07/02/2018	00068087475 PULLIAM, RYAN	MF THE NEW ECONOMY FUND-529C	B	100.00	1.00	0.00	1.00	90.0	0.90
07/02/2018	00068087476 PULLIAM, RYAN	MF AMERICAN BALANCED FUND-529C	B	250.00	2.50	0.00	2.50	90.0	2.25
06/25/2018	00073739173 BEARD, PATRICK	MF INVESTMENT COMPANY OF AMERICA	B	50.00	0.50	0.00	0.50	90.0	0.45
06/29/2018	00075317599 COPELAND, SUSAN	MF AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
06/29/2018	00075317599 COPELAND, SUSAN	MF FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
07/02/2018	00081948467 EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	27.95	0.56	0.00	0.56	90.0	0.50
07/02/2018	00081948467 EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	74.54	1.49	0.00	1.49	90.0	1.34
07/02/2018	00081948467 EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	4.93	0.10	0.00	0.10	90.0	0.09
07/02/2018	00081948467 EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	13.15	0.26	0.00	0.26	90.0	0.23
07/02/2018	00081948520 WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
07/02/2018	00081948520 WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
07/02/2018	00081948520 WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
07/02/2018	00081948520 WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
07/02/2018	00081948685 SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
07/02/2018	00081948685 SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/02/2018	00081948685 SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/02/2018	00081948685 SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/02/2018	00081948685 SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/02/2018	00081948685 SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/02/2018	00081948685 SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/02/2018	00081948685 SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
07/02/2018	00087734807 JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	30.91	0.31	0.00	0.31	90.0	0.28
07/02/2018	00087734807 JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	103.02	1.03	0.00	1.03	90.0	0.93
07/02/2018	00087734863 WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	31.50	0.32	0.00	0.32	90.0	0.29
07/02/2018	00087734863 WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	31.50	0.32	0.00	0.32	90.0	0.29
07/02/2018	00089597043 MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	28.65	0.29	0.00	0.29	90.0	0.26
07/02/2018	00089597043 MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	28.65	0.29	0.00	0.29	90.0	0.26

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
07/02/2018	00089696651	ALEXANDER, MF CAPITAL INCOME BUILDER CLASS C	B	9.76	0.10	0.00	0.10	90.0	0.09
07/02/2018	00089696651	ALEXANDER, MF CAPITAL INCOME BUILDER CLASS C	B	16.26	0.16	0.00	0.16	90.0	0.14
07/02/2018	00089696651	ALEXANDER, MF INVESTMENT COMPANY OF AMERICA	B	11.38	0.11	0.00	0.11	90.0	0.10
07/02/2018	00089696651	ALEXANDER, MF INVESTMENT COMPANY OF AMERICA	B	18.98	0.19	0.00	0.19	90.0	0.17
07/02/2018	00089696651	ALEXANDER, MF THE GROWTH FUND OF AMERICA-C	B	11.38	0.11	0.00	0.11	90.0	0.10
07/02/2018	00089696651	ALEXANDER, MF THE GROWTH FUND OF AMERICA-C	B	18.97	0.19	0.00	0.19	90.0	0.17
07/02/2018	00089696666	STOOKSBERRY, MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
07/02/2018	00089696666	STOOKSBERRY, MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
07/02/2018	00089696672	LAMB, TERESA MF AMERICAN BALANCED FUND-C	B	46.34	0.46	0.00	0.46	90.0	0.41
07/02/2018	00089696672	LAMB, TERESA MF AMERICAN BALANCED FUND-C	B	46.34	0.46	0.00	0.46	90.0	0.41
07/02/2018	00089788987	GARGUS, LORI MF AMERICAN BALANCED FUND-C	B	32.55	0.33	0.00	0.33	90.0	0.30
07/02/2018	00089788987	GARGUS, LORI MF AMERICAN BALANCED FUND-C	B	32.55	0.33	0.00	0.33	90.0	0.30
07/02/2018	00089980324	SMITH, TRISHA MF AMERICAN BALANCED FUND-C	B	26.68	0.27	0.00	0.27	90.0	0.24
07/02/2018	00089980324	SMITH, TRISHA MF AMERICAN BALANCED FUND-C	B	26.68	0.27	0.00	0.27	90.0	0.24
07/02/2018	04000412607	HUFFSTETTLER, MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
07/02/2018	04000412607	HUFFSTETTLER, MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81

\* MUTUAL FUNDS SUBTOTAL \*

\$2,139.33

\$30.54

\$0.00

\$30.54

\$27.48

PRODUCT CATEGORY: VARIABLE ANNUITIES

06/30/2018	1011849420	JACKMAN, JENNIFER	VA	PERSP L 08/11	B	68,414.27	57.01	0.00	57.01	90.0	51.31
06/30/2018	1011852102	JACKMAN, JENNIFER	VA	ELITE ACCESS L	B	22,283.78	18.57	0.00	18.57	90.0	16.71
06/30/2018	1012316590	AVILA PENSION	VA	PERSP L 08/11	B	549,571.78	457.98	0.00	457.98	90.0	412.18
06/30/2018	1014122890	LAMBERT, RONALD	VA	PERSP L 08/11	B	89,082.93	74.24	0.00	74.24	90.0	66.82
06/30/2018	1014231907	UTLEY, MARTHA	VA	PERSP L 08/11	B	294,012.49	245.01	0.00	245.01	90.0	220.51
06/30/2018	1015402721	LEFORGE, JUDY	VA	PERSP L 08/11	B	43,072.42	35.89	0.00	35.89	90.0	32.30
06/30/2018	1015649484	WINTER, DONALD	VA	PERSP L 08/11	B	77,954.74	64.96	0.00	64.96	90.0	58.46
06/30/2018	1015919945	NAVEL, FRIEDA	VA	PERSP L 08/11	B	36,970.89	30.81	0.00	30.81	90.0	27.73
06/30/2018	1016060638	WILLIAMS, WILLIAM	VA	ELITE ACCESS	B	64,039.04	53.37	0.00	53.37	90.0	48.03
06/30/2018	1016060646	WILLIAMS, WILLIAM	VA	ELITE ACCESS	B	100,007.85	83.34	0.00	83.34	90.0	75.01
06/30/2018	1016060760	WILLIAMS, GLYNDA	VA	ELITE ACCESS	B	6,595.51	5.50	0.00	5.50	90.0	4.95
06/30/2018	1016122048	WOODS, WILLIAM	VA	PERSP L 08/11	B	121,403.21	101.17	0.00	101.17	90.0	91.05
06/30/2018	1016747269	BREEDEN TATE, MARY	VA	ELITE ACCESS L	B	85,338.33	71.12	0.00	71.12	90.0	64.01
06/30/2018	1016835974	HOLLIDAY, REBECCA	VA	ELITE ACCESS L	B	13,708.00	11.42	0.00	11.42	90.0	10.28
06/30/2018	1016922273	WILLIAMS, BRYAN	VA	ELITE ACCESS L	B	12,564.47	10.47	0.00	10.47	90.0	9.42
06/30/2018	1017566284	WOODS, WILLIAM	VA	ELITE ACCESS L	B	45,242.20	37.70	0.00	37.70	90.0	33.93
06/30/2018	1018403044	WILLIAMS, CLAYTON	VA	ELITE ACCESS L	B	9,654.23	8.05	0.00	8.05	90.0	7.25
06/30/2018	1018603060	MILTON, MARY	VA	PERSP L 08/11	B	133,020.02	110.85	0.00	110.85	90.0	99.77
06/30/2018	1018757199	STANBERY, DALLAS	VA	PERSP L 08/11	B	161,247.60	134.37	0.00	134.37	90.0	120.93

\* VARIABLE ANNUITIES SUBTOTAL \*

\$1,934,183.76

\$1,611.83

\$0.00

\$1,611.83

\$1,450.65

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

06/30/2018	(None)	VARIOUS, CALDWELL	MFT	OPPENHEIMER	B	0.00	134.34	0.00	134.34	90.0	120.91
07/01/2018	00000939629	MUIR (A MINOR),	MFT	MFS GROWTH FUND-C	B	0.00	1.97	0.00	1.97	90.0	1.77
07/01/2018	00000939630	MUIR (A MINOR),	MFT	MFS GROWTH FUND-C	B	0.00	1.97	0.00	1.97	90.0	1.77
07/01/2018	00001321372	GAYTON, JEFFREY	MFT	MFS EMERGING GROWTH FUND-B	B	0.00	14.79	0.00	14.79	90.0	13.31

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07/01/2018 00060269714	WILSON, CINDY	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	3.66	0.00	3.66	90.0	3.29
07/01/2018 00060381960	GUIDRY, L	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	4.98	0.00	4.98	90.0	4.48
07/01/2018 00060452513	GAYTON, WILLIAM	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	162.81	0.00	162.81	90.0	146.53
07/01/2018 00060469177	GAYTON, JEFFREY	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	41.73	0.00	41.73	90.0	37.56
07/01/2018 00060469178	GAYTON, WILLIAM	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	43.35	0.00	43.35	90.0	39.02
07/01/2018 00060476222	GAYTON, PHYLLIS	MFT MFS MODERATE ALLOCATION FUND-A	B	0.00	48.70	0.00	48.70	90.0	43.83
07/01/2018 00060476222	GAYTON, PHYLLIS	MFT MFS MODERATE ALLOCATION FUND-C	B	0.00	0.05	0.00	0.05	90.0	0.05
07/01/2018 00060476300	BAXTER, DEBORAH	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	8.87	0.00	8.87	90.0	7.98
07/01/2018 00060476340	DZURIK, COLLEEN	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	26.40	0.00	26.40	90.0	23.76
07/01/2018 00060513440	HANAFEE, CONRAD	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	14.12	0.00	14.12	90.0	12.71
07/01/2018 00060513441	LAYLA JEAN	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	6.81	0.00	6.81	90.0	6.13
07/01/2018 00060514214	HANAFEE, CONRAD	MFT MASS INVESTORS GROWTH STOCK	B	0.00	28.21	0.00	28.21	90.0	25.39
07/01/2018 00060514215	LAYLA JEAN	MFT MASS INVESTORS GROWTH STOCK	B	0.00	2.35	0.00	2.35	90.0	2.12
07/01/2018 00060515572	HANAFEE, CONRAD	MFT MFS MID CAP GROWTH FUND-A	B	0.00	19.56	0.00	19.56	90.0	17.60
07/01/2018 00060515573	LAYLA JEAN	MFT MFS MID CAP GROWTH FUND-A	B	0.00	9.78	0.00	9.78	90.0	8.80
07/01/2018 00060526191	WILLIAMSON,	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	22.76	0.00	22.76	90.0	20.48
07/01/2018 00060527965	MUIR (A MINOR),	MFT MASS INVESTORS GROWTH STOCK	B	0.00	2.50	0.00	2.50	90.0	2.25
07/01/2018 00060527966	MUIR (A MINOR),	MFT MASS INVESTORS GROWTH STOCK	B	0.00	2.50	0.00	2.50	90.0	2.25
07/01/2018 00060566395	MUIR (A MINOR),	MFT MFS VALUE FUND-A	B	0.00	2.61	0.00	2.61	90.0	2.35
07/01/2018 00060566397	MUIR (A MINOR),	MFT MFS VALUE FUND-A	B	0.00	2.61	0.00	2.61	90.0	2.35
07/01/2018 00060587374	TAN, SOPHIA	MFT MFS MID CAP GROWTH FUND-A	B	0.00	0.70	0.00	0.70	90.0	0.63
07/01/2018 00060587376	SOPHIA IRIS TAN	MFT MFS MID CAP GROWTH FUND-A	B	0.00	0.44	0.00	0.44	90.0	0.40
07/01/2018 00060641941	MUIR (A MINOR),	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	1.62	0.00	1.62	90.0	1.46
07/01/2018 00060641942	MUIR (A MINOR),	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	1.62	0.00	1.62	90.0	1.46
07/01/2018 00060665850	GAYTON, WILLIAM	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	8.57	0.00	8.57	90.0	7.71
07/09/2018 01486461963	GRIGGS, SHERRY	MFT FIDELITY ADVISOR HEALTH CARE FD	B	0.00	3.80	0.00	3.80	90.0	3.42
07/01/2018 03909091179	DATUIN, MARIA	MFT AIM CHARTER FUND - CLASS A	B	0.00	1.45	0.00	1.45	90.0	1.31
07/01/2018 03909091179	DATUIN, MARIA	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	1.48	0.00	1.48	90.0	1.33
07/01/2018 05028463692	STANBERY UTMA/TN,	MFT AIM GLOBAL EQUITY FUND - CLASS	B	0.00	1.09	0.00	1.09	90.0	0.98
07/01/2018 08188090716	WILSON, ASHLEY	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	1.94	0.00	1.94	90.0	1.75
07/01/2018 08188962961	SMITH REMODELING	MFT MFS MODERATE ALLOCATION FUND-C	B	0.00	0.64	0.00	0.64	90.0	0.58
07/01/2018 08188962965	SMITH REMODELING	MFT MFS GROWTH ALLOCATION FUND-C	B	0.00	0.90	0.00	0.90	90.0	0.81
07/01/2018 08189050690	STANBERY UTMA/TN,	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	2.02	0.00	2.02	90.0	1.82
07/01/2018 08189829384	JANE LIPSHIE	MFT MFS MODERATE ALLOCATION FUND-A	B	0.00	10.72	0.00	10.72	90.0	9.65
07/01/2018 08189841213	GAYTON, PHYLLIS	MFT MFS MODERATE ALLOCATION FUND-B	B	0.00	18.78	0.00	18.78	90.0	16.90
07/01/2018 08189841221	GAYTON, WILLIAM	MFT MFS GROWTH ALLOCATION FUND-C	B	0.00	149.03	0.00	149.03	90.0	134.13
07/01/2018 08189914268	LIPSHIE BENE,	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	11.82	0.00	11.82	90.0	10.64
07/01/2018 08191404120	MAMIE MERIWETHER	MFT MFS MODERATE ALLOCATION FUND-A	B	0.00	9.29	0.00	9.29	90.0	8.36
07/01/2018 08191404120	MAMIE MERIWETHER	MFT MFS TOTAL RETURN FUND-A	B	0.00	5.17	0.00	5.17	90.0	4.65
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$838.51</b>	<b>\$0.00</b>	<b>\$838.51</b>		<b>\$754.68</b>

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>									
06/30/2018 (None)	AVERY	VAT HARTFORD LIFE	B	0.00	15.00	0.00	15.00	90.0	13.50
06/30/2018 (None)	BREEDEN TATE, MARY	VAT HARTFORD LIFE	B	0.00	53.34	0.00	53.34	90.0	48.01
06/30/2018 (None)	VARIOUS, CALDWELL	VAT PRUDENTIAL LIFE	B	0.00	4,615.54	0.00	4,615.54	90.0	4,153.99
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$4,683.88</b>	<b>\$0.00</b>	<b>\$4,683.88</b>		<b>\$4,215.50</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>				<b>\$1,936,323.09</b>	<b>\$7,164.76</b>	<b>\$0.00</b>	<b>\$7,164.76</b>		<b>\$6,448.31</b>

BROKER COMMISSION TOTALS

Broker Transactions	\$6,448.31
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-21.02
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$6,427.29
Year-to-date Commissions	\$37,106.05