

# STATEMENT

## February 20, 2018

THOMAS SMITH  
1340 Sproul Ave

Napa, CA 94559-

BROKER #: 027  
BRANCH: LA BRANCH

### COMMISSION STATEMENT for THOMAS SMITH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS</b>										
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>										
01/02/2018 #	MOORE, KATHERINE	HARTFORD FLOATING RATE FUND CLASS A S		1,000.00	19.95	20.00	0.00	-0.05	90.0	-0.05
		* MUTUAL FUNDS SUBTOTAL *		\$1,000.00	\$19.95	\$20.00	\$0.00	\$-0.05		\$-0.05
<b>PRODUCT CATEGORY: STOCKS</b>										
01/09/2018 #	MCCOLL, JOANNE	KINROSS GOLD CORP NEW	S	4,163.00	212.27	19.95	0.00	192.32	90.0	173.09
01/09/2018 #	MCCOLL, JOANNE	SILICON LABORATORIES INC	B	16,156.40	229.95	19.95	0.00	210.00	90.0	189.00
01/09/2018 #	MCCOLL, JOANNE	WHEATON PRECIOUS METALS CORP COM	S	12,820.36	322.77	19.95	0.00	302.82	90.0	272.54
01/12/2018 #	FORMA, MICHAEL	GLADSTONE CAPITAL CORP	B	3,935.36	168.05	19.95	0.00	148.10	90.0	133.29
01/12/2018 #	FORMA, MICHAEL	VANGUARD INTL EQUITY IND FD FTSE AL B		1,941.06	60.60	19.95	0.00	40.65	90.0	36.59
01/12/2018 #	FORMA, MICHAEL	VANGUARD STAR FD	B	1,959.21	60.96	19.95	0.00	41.01	90.0	36.91
01/26/2018 #	CRATTY, MARK	AGNC INVESTMENT CORP COMMON STOCK	B	1,709.83	55.95	19.95	0.00	36.00	90.0	32.40
		* STOCKS SUBTOTAL *		\$42,685.22	\$1,110.55	\$139.65	\$0.00	\$970.90		\$873.82
<b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>										
12/28/2017 #501201250091814	HUNT, W	DELAWARE SLFMFX11	B	0.00	15.25	0.00	0.00	15.25	90.0	13.73
		* VARIABLE ANNUITIES SUBTOTAL *		\$0.00	\$15.25	\$0.00	\$0.00	\$15.25		\$13.73
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>										
01/10/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	6.33	0.00	0.00	6.33	90.0	5.70
01/10/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.54	0.00	0.00	3.54	90.0	3.19
01/10/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	2.74	0.00	0.00	2.74	90.0	2.47
01/10/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.89	0.00	0.00	3.89	90.0	3.50
01/10/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.85	0.00	0.00	3.85	90.0	3.47
01/10/2018 #	BRINKERHOFF, MARJORIE	DAIN TRAILER	B	0.00	10.59	0.00	0.00	10.59	90.0	9.53
01/10/2018 #	SMITH, WESTIN	DAIN TRAILER	B	0.00	0.20	0.00	0.00	0.20	90.0	0.18
01/10/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	1.75	0.00	0.00	1.75	90.0	1.58
01/10/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.93	0.00	0.00	0.93	90.0	0.84
01/10/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.36	0.00	0.00	0.36	90.0	0.32
01/10/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.44	0.00	0.00	0.44	90.0	0.40
01/10/2018 #	MOORE, KATHERINE	DAIN TRAILER	B	0.00	1.56	0.00	0.00	1.56	90.0	1.40
01/10/2018 #	PARK, SUSAN	DAIN TRAILER	B	0.00	4.58	0.00	0.00	4.58	90.0	4.12
01/10/2018 #	PARK, SUSAN	DAIN TRAILER	B	0.00	0.71	0.00	0.00	0.71	90.0	0.64

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 FUND 12B1 TRAILS</u>										
01/10/2018 #	HIZA, STEVEN	DAIN TRAILER	B	0.00	2.35	0.00	0.00	2.35	90.0	2.12
01/10/2018 #	HIZA, STEVEN	DAIN TRAILER	B	0.00	1.51	0.00	0.00	1.51	90.0	1.36
01/10/2018 #	BILLS, BARBARA	DAIN TRAILER	B	0.00	0.24	0.00	0.00	0.24	90.0	0.22
01/10/2018 #	BILLS, BARBARA	DAIN TRAILER	B	0.00	0.48	0.00	0.00	0.48	90.0	0.43
01/10/2018 #	GILLGREN, JERRY	DAIN TRAILER	B	0.00	0.30	0.00	0.00	0.30	90.0	0.27
01/10/2018 #	REED, CASEY	DAIN TRAILER	B	0.00	3.36	0.00	0.00	3.36	90.0	3.02
01/10/2018 #	REED, CASEY	DAIN TRAILER	B	0.00	6.51	0.00	0.00	6.51	90.0	5.86
01/10/2018 #	CROWELL-GILLGREN, CHRISTINA	DAIN TRAILER	B	0.00	1.69	0.00	0.00	1.69	90.0	1.52
01/10/2018 #	CROWELL-GILLGREN, CHRISTINA	DAIN TRAILER	B	0.00	13.14	0.00	0.00	13.14	90.0	11.83
01/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.38	0.00	0.00	2.38	90.0	2.14
01/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.37	0.00	0.00	2.37	90.0	2.13
01/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.46	0.00	0.00	2.46	90.0	2.21
01/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	4.05	0.00	0.00	4.05	90.0	3.65
01/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.30	0.00	0.00	2.30	90.0	2.07
01/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.46	0.00	0.00	2.46	90.0	2.21
01/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.46	0.00	0.00	2.46	90.0	2.21
01/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	1.31	0.00	0.00	1.31	90.0	1.18
01/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.66	0.00	0.00	2.66	90.0	2.39
01/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.31	0.00	0.00	2.31	90.0	2.08
01/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	1.27	0.00	0.00	1.27	90.0	1.14
01/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.98	0.00	0.00	2.98	90.0	2.68
01/10/2018 #	RUFFNER, EMMA	DAIN TRAILER	B	0.00	1.31	0.00	0.00	1.31	90.0	1.18
01/10/2018 #	GILLGREN, JERRY	DAIN TRAILER	B	0.00	1.43	0.00	0.00	1.43	90.0	1.29
01/10/2018 #	BOWLES, DRAKE	DAIN TRAILER	B	0.00	0.61	0.00	0.00	0.61	90.0	0.55
01/10/2018 #	RAE, PETER	DAIN TRAILER	B	0.00	1.69	0.00	0.00	1.69	90.0	1.52
01/10/2018 #	RAZZOUQ, FRANKO	DAIN TRAILER	B	0.00	1.38	0.00	0.00	1.38	90.0	1.24
01/10/2018 #	RAZZOUQ, FRANKO	DAIN TRAILER	B	0.00	2.73	0.00	0.00	2.73	90.0	2.46
01/10/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.57	0.00	0.00	0.57	90.0	0.51
01/10/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.86	0.00	0.00	0.86	90.0	0.77
01/10/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	1.45	0.00	0.00	1.45	90.0	1.31
01/10/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.46	0.00	0.00	0.46	90.0	0.41
01/10/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.69	0.00	0.00	0.69	90.0	0.62
01/10/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	1.33	0.00	0.00	1.33	90.0	1.20
01/10/2018 #	GAROUTTE, MICHAEL	DAIN TRAILER	B	0.00	0.48	0.00	0.00	0.48	90.0	0.43
01/10/2018 #	ROCK, ZACHARY	DAIN TRAILER	B	0.00	0.38	0.00	0.00	0.38	90.0	0.34
01/10/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	5.66	0.00	0.00	5.66	90.0	5.09
01/10/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	1.40	0.00	0.00	1.40	90.0	1.26
01/10/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	2.86	0.00	0.00	2.86	90.0	2.57
01/10/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	1.32	0.00	0.00	1.32	90.0	1.19
01/10/2018 #	POWERS, DEBORAH	DAIN TRAILER	B	0.00	0.68	0.00	0.00	0.68	90.0	0.61

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
01/10/2018 #	POWERS, RICHARD	DAIN TRAILER	B	0.00	0.67	0.00	0.00	0.67	90.0	0.60
01/10/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	0.66	0.00	0.00	0.66	90.0	0.59
01/10/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	0.39	0.00	0.00	0.39	90.0	0.35
01/10/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	2.14	0.00	0.00	2.14	90.0	1.93
01/10/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	2.94	0.00	0.00	2.94	90.0	2.65
01/10/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	3.16	0.00	0.00	3.16	90.0	2.84
01/10/2018 #	GAROUTTE, MICHAEL	DAIN TRAILER	B	0.00	1.52	0.00	0.00	1.52	90.0	1.37
01/10/2018 #	HAMMOND, NORMA	DAIN TRAILER	B	0.00	1.62	0.00	0.00	1.62	90.0	1.46
01/10/2018 #	ROCK, MATTHEW	DAIN TRAILER	B	0.00	1.62	0.00	0.00	1.62	90.0	1.46
01/10/2018 #	WRIGHT, KAREN	DAIN TRAILER	B	0.00	1.87	0.00	0.00	1.87	90.0	1.68
01/10/2018 #	WRIGHT, KAREN	DAIN TRAILER	B	0.00	2.26	0.00	0.00	2.26	90.0	2.03
01/10/2018 #	SLAY, BYRON	DAIN TRAILER	B	0.00	1.03	0.00	0.00	1.03	90.0	0.93
01/10/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.02	0.00	0.00	0.02	90.0	0.02
01/10/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.06	0.00	0.00	0.06	90.0	0.05
01/10/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.15	0.00	0.00	0.15	90.0	0.14
01/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	2.36	0.00	0.00	2.36	90.0	2.12
01/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.38	0.00	0.00	0.38	90.0	0.34
01/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.53	0.00	0.00	0.53	90.0	0.48
01/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	1.45	0.00	0.00	1.45	90.0	1.31
01/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.32	0.00	0.00	0.32	90.0	0.29
01/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	4.15	0.00	0.00	4.15	90.0	3.74
01/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	1.12	0.00	0.00	1.12	90.0	1.01
01/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.89	0.00	0.00	0.89	90.0	0.80
01/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.27	0.00	0.00	0.27	90.0	0.24
01/10/2018 #	LITLE, CATHI JO	DAIN TRAILER	B	0.00	2.33	0.00	0.00	2.33	90.0	2.10
01/10/2018 #	LITLE, CATHI JO	DAIN TRAILER	B	0.00	1.77	0.00	0.00	1.77	90.0	1.59
01/10/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.63	0.00	0.00	4.63	90.0	4.17
01/10/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	2.15	0.00	0.00	2.15	90.0	1.94
01/10/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.62	0.00	0.00	4.62	90.0	4.16
01/10/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.60	0.00	0.00	4.60	90.0	4.14
01/10/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	5.26	0.00	0.00	5.26	90.0	4.73
01/10/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	7.73	0.00	0.00	7.73	90.0	6.96
01/10/2018 #	WAGNER, JAMES	DAIN TRAILER	B	0.00	2.13	0.00	0.00	2.13	90.0	1.92
01/10/2018 #	WAGNER, ANDRE	DAIN TRAILER	B	0.00	2.82	0.00	0.00	2.82	90.0	2.54
01/10/2018 #	WAGNER, ANDRE	DAIN TRAILER	B	0.00	1.33	0.00	0.00	1.33	90.0	1.20
01/10/2018 #	KNIEF, LEWIS	DAIN TRAILER	B	0.00	21.33	0.00	0.00	21.33	90.0	19.20
01/10/2018 #	KNIEF, LEWIS	DAIN TRAILER	B	0.00	23.08	0.00	0.00	23.08	90.0	20.77
01/10/2018 #	CREECH, CAREY	DAIN TRAILER	B	0.00	12.68	0.00	0.00	12.68	90.0	11.41
01/10/2018 #	STEWART, GARY	DAIN TRAILER	B	0.00	2.65	0.00	0.00	2.65	90.0	2.39
01/10/2018 #	MCDONALD, JOHN	DAIN TRAILER	B	0.00	2.09	0.00	0.00	2.09	90.0	1.88



**BROKER COMMISSION TOTALS**

Broker Transactions	\$1,135.47
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-638.95
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>\$496.52</b>
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