

COMMISSION STATEMENT

June 30, 2018

ALAN SMITH-D206

BROKER #: D206

BRANCH: DMR

, TX

COMMISSION STATEMENT for ALAN SMITH-D206

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

CLEARING TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | | | |
|--------------------------------------|-----------|-------------------|----------------------------------|---|--------|----------|--------|----------|------|----------|
| 06/21/2018 | mfc892289 | SMITH ALAN 892289 | MFT AMERICAN BALANCED FUND-A | B | 0.00 | 24.82 | 0.00 | 24.82 | 80.0 | 19.86 |
| 06/21/2018 | mfc892289 | SMITH ALAN 892289 | MFT AMERICAN BALANCED FUND-A | B | 0.00 | 33.63 | 0.00 | 33.63 | 80.0 | 26.90 |
| 06/21/2018 | mfc892289 | SMITH ALAN 892289 | MFT AMERICAN BALANCED FUND-A | B | 0.00 | 134.54 | 0.00 | 134.54 | 80.0 | 107.63 |
| 06/21/2018 | mfc892289 | SMITH ALAN 892289 | MFT AMERICAN HIGH-INCOME TRUST-A | B | 0.00 | 18.53 | 0.00 | 18.53 | 80.0 | 14.82 |
| 06/21/2018 | mfc892289 | SMITH ALAN 892289 | MFT CAPITAL INCOME BUILDER-A | B | 0.00 | 22.50 | 0.00 | 22.50 | 80.0 | 18.00 |
| 06/21/2018 | mfc892289 | SMITH ALAN 892289 | MFT WASHINGTON MUTUAL INVESTORS | B | 0.00 | 41.77 | 0.00 | 41.77 | 80.0 | 33.42 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | | \$0.00 | \$275.79 | \$0.00 | \$275.79 | | \$220.63 |
| *** CLEARING TRANSACTIONS TOTAL *** | | | | | \$0.00 | \$275.79 | \$0.00 | \$275.79 | | \$220.63 |

DIRECT TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

| | | | | | | | | | | |
|---------------------------|--------|------------|--------------|---|----------|--------|--------|--------|------|--------|
| 05/21/2018 | (None) | GLENNROBES | MF BLACKROCK | B | 100.00 | 1.00 | 0.00 | 1.00 | 80.0 | 0.80 |
| * MUTUAL FUNDS SUBTOTAL * | | | | | \$100.00 | \$1.00 | \$0.00 | \$1.00 | | \$0.80 |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | | | |
|--------------------------------------|--------|------------|---------------|---|--------|---------|--------|---------|------|--------|
| 05/31/2018 | (None) | GLENNROBES | MFT BLACKROCK | B | 0.00 | 5.23 | 0.00 | 5.23 | 80.0 | 4.18 |
| 05/31/2018 | (None) | GLENNROBES | MFT BLACKROCK | B | 0.00 | 5.73 | 0.00 | 5.73 | 80.0 | 4.58 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | | \$0.00 | \$10.96 | \$0.00 | \$10.96 | | \$8.76 |

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

| | | | | | | | | | | |
|---|--------|------------|-----------------------|---|----------|------------|--------|------------|------|------------|
| 06/14/2018 | (None) | EXPLOREUSA | VAT TRANSAMERICA LIFE | B | 0.00 | 1,659.74 | 0.00 | 1,659.74 | 80.0 | 1,327.79 |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | | | \$0.00 | \$1,659.74 | \$0.00 | \$1,659.74 | | \$1,327.79 |
| *** DIRECT TRANSACTIONS TOTAL *** | | | | | \$100.00 | \$1,671.70 | \$0.00 | \$1,671.70 | | \$1,337.35 |

COMMISSION STATEMENT for ALAN SMITH-D206

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

ADJUSTMENTS TRANSACTIONSBROKER: #0

| | | | | | | | | | |
|--|---|-----------------------------|--|---------------|---------------|---------------|---------------|--|------------------|
| 06/30/2018 | : | BROKER WORKSTATION | | 0.00 | 0.00 | 0.00 | 0.00 | | -30.00 |
| 06/30/2018 | : | BROKER WORKSTATION-CASTILLO | | 0.00 | 0.00 | 0.00 | 0.00 | | -30.00 |
| 06/30/2018 | : | E-MAIL ACCOUNT | | 0.00 | 0.00 | 0.00 | 0.00 | | -25.00 |
| 06/30/2018 | : | E-MAIL ACCOUNT-CASTILLO | | 0.00 | 0.00 | 0.00 | 0.00 | | -25.00 |
| 06/30/2018 | : | E-MAIL ACCOUNT-GONZALES | | 0.00 | 0.00 | 0.00 | 0.00 | | -25.00 |
| * SUBTOTAL * | | | | <u>\$0.00</u> | <u>\$0.00</u> | <u>\$0.00</u> | <u>\$0.00</u> | | <u>\$-135.00</u> |
| *** ADJUSTMENTS TRANSACTIONS TOTAL *** | | | | <u>\$0.00</u> | <u>\$0.00</u> | <u>\$0.00</u> | <u>\$0.00</u> | | <u>\$-135.00</u> |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$1,557.98 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-135.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|--------------------------|-------------|
| Net Commissions | \$1,422.98 |
| Year-to-date Commissions | \$30,574.34 |