

All Companies  
**STATEMENT**  
July 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>										
06/11/2018 #	MOORE, KATHERINE	HARTFORD FLOATING RATE FUND CLASS A S		2,000.00	20.00	20.00	0.00	0.00	90.0	0.00
06/19/2018 #	GAROUTTE, MICHAEL	HARTFORD MUTUAL FUNDS INC HIGH YIEL S		7,186.83	20.00	20.00	0.00	0.00	90.0	0.00
<b>* MUTUAL FUNDS SUBTOTAL *</b>				<b>\$9,186.83</b>	<b>\$40.00</b>	<b>\$40.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>										
06/19/2018 #	GAROUTTE, MICHAEL	AGNC INVESTMENT CORP COMMON STOCK	B	3,797.46	132.98	19.95	0.00	113.03	90.0	101.73
06/19/2018 #	GAROUTTE, MICHAEL	TOOTSIE ROLL INDUSTRIES INC	S	239.00	50.00	19.95	0.00	30.05	90.0	27.05
06/26/2018 #	FORMA, SAMUEL	ACTIVISION BLIZZARD INC	B	5,480.84	124.95	19.95	0.00	105.00	90.0	94.50
06/26/2018 #	FORMA, SAMUEL	ETF MANAGERS TRUST	B	5,373.00	148.65	19.95	0.00	128.70	90.0	115.83
06/27/2018 #	KNIEF, LEWIS	OMEGA HEALTHCARE INVESTORS INC	S	31,590.34	572.29	19.95	0.00	552.34	90.0	497.11
06/27/2018 #	REED, CASEY	OMEGA HEALTHCARE INVESTORS INC	S	18,175.14	391.97	19.95	0.00	372.02	90.0	334.82
<b>* STOCKS SUBTOTAL *</b>				<b>\$64,655.78</b>	<b>\$1,420.84</b>	<b>\$119.70</b>	<b>\$0.00</b>	<b>\$1,301.14</b>		<b>\$1,171.04</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>										
05/30/2021 #501201205042040	WAGNER, JAMES DELAWARE	SLFMFX11	B	0.00	83.01	0.00	0.00	83.01	90.0	74.71
05/30/2021 #501301305049746	WAGNER, JAMES DELAWARE	SLFMFX12	B	0.00	139.76	0.00	0.00	139.76	90.0	125.78
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$222.77</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$222.77</b>		<b>\$200.49</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>										
06/04/2018 #VR08465097	WHEELER, JOHN	PL 1	B	0.00	32.23	0.00	0.00	32.23	90.0	29.01
06/11/2018 #	WAGNER, ANDRE	DAIN TRAILER	B	0.00	2.80	0.00	0.00	2.80	90.0	2.52
06/11/2018 #	WAGNER, ANDRE	DAIN TRAILER	B	0.00	1.33	0.00	0.00	1.33	90.0	1.20
06/11/2018 #	WAGNER, ANDRE	DAIN TRAILER	B	0.00	1.27	0.00	0.00	1.27	90.0	1.14
06/11/2018 #	POWERS, DEBORAH	DAIN TRAILER	B	0.00	0.71	0.00	0.00	0.71	90.0	0.64
06/11/2018 #	POWERS, RICHARD	DAIN TRAILER	B	0.00	0.69	0.00	0.00	0.69	90.0	0.62
06/11/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	0.64	0.00	0.00	0.64	90.0	0.58
06/11/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	0.38	0.00	0.00	0.38	90.0	0.34
06/11/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	2.20	0.00	0.00	2.20	90.0	1.98
06/11/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	3.10	0.00	0.00	3.10	90.0	2.79
06/11/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	3.22	0.00	0.00	3.22	90.0	2.90
06/11/2018 #	GAROUTTE, MICHAEL	DAIN TRAILER	B	0.00	1.52	0.00	0.00	1.52	90.0	1.37
06/11/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	5.85	0.00	0.00	5.85	90.0	5.27

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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>										
06/11/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	1.43	0.00	0.00	1.43	90.0	1.29
06/11/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	3.06	0.00	0.00	3.06	90.0	2.75
06/11/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	1.31	0.00	0.00	1.31	90.0	1.18
06/11/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	4.05	0.00	0.00	4.05	90.0	3.65
06/11/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.31	0.00	0.00	2.31	90.0	2.08
06/11/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.56	0.00	0.00	2.56	90.0	2.30
06/11/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.49	0.00	0.00	2.49	90.0	2.24
06/11/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	1.32	0.00	0.00	1.32	90.0	1.19
06/11/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.59	0.00	0.00	2.59	90.0	2.33
06/11/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.36	0.00	0.00	2.36	90.0	2.12
06/11/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	1.32	0.00	0.00	1.32	90.0	1.19
06/11/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.91	0.00	0.00	2.91	90.0	2.62
06/11/2018 #	RUFFNER, EMMA	DAIN TRAILER	B	0.00	1.36	0.00	0.00	1.36	90.0	1.22
06/11/2018 #	GILGREN, JERRY	DAIN TRAILER	B	0.00	1.46	0.00	0.00	1.46	90.0	1.31
06/11/2018 #	BOWLES, DRAKE	DAIN TRAILER	B	0.00	1.12	0.00	0.00	1.12	90.0	1.01
06/11/2018 #	RAE, PETER	DAIN TRAILER	B	0.00	1.65	0.00	0.00	1.65	90.0	1.49
06/11/2018 #	RAZZOUQ, FRANKO	DAIN TRAILER	B	0.00	1.40	0.00	0.00	1.40	90.0	1.26
06/11/2018 #	RAZZOUQ, FRANKO	DAIN TRAILER	B	0.00	2.92	0.00	0.00	2.92	90.0	2.63
06/11/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.59	0.00	0.00	0.59	90.0	0.53
06/11/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.87	0.00	0.00	0.87	90.0	0.78
06/11/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	1.55	0.00	0.00	1.55	90.0	1.40
06/11/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.46	0.00	0.00	0.46	90.0	0.41
06/11/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.70	0.00	0.00	0.70	90.0	0.63
06/11/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	1.43	0.00	0.00	1.43	90.0	1.29
06/11/2018 #	GAROUTTE, MICHAEL	DAIN TRAILER	B	0.00	0.48	0.00	0.00	0.48	90.0	0.43
06/11/2018 #	HAMMOND, NORMA	DAIN TRAILER	B	0.00	1.66	0.00	0.00	1.66	90.0	1.49
06/11/2018 #	ROCK, MATTHEW	DAIN TRAILER	B	0.00	1.64	0.00	0.00	1.64	90.0	1.48
06/11/2018 #	WRIGHT, KAREN	DAIN TRAILER	B	0.00	1.87	0.00	0.00	1.87	90.0	1.68
06/11/2018 #	WRIGHT, KAREN	DAIN TRAILER	B	0.00	2.20	0.00	0.00	2.20	90.0	1.98
06/11/2018 #	SLAY, BYRON	DAIN TRAILER	B	0.00	1.03	0.00	0.00	1.03	90.0	0.93
06/11/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.02	0.00	0.00	0.02	90.0	0.02
06/11/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.06	0.00	0.00	0.06	90.0	0.05
06/11/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.15	0.00	0.00	0.15	90.0	0.14
06/11/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	2.38	0.00	0.00	2.38	90.0	2.14
06/11/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.42	0.00	0.00	0.42	90.0	0.38
06/11/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.55	0.00	0.00	0.55	90.0	0.50
06/11/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	1.49	0.00	0.00	1.49	90.0	1.34
06/11/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.33	0.00	0.00	0.33	90.0	0.30
06/11/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	4.43	0.00	0.00	4.43	90.0	3.99
06/11/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	1.12	0.00	0.00	1.12	90.0	1.01

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
06/11/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.89	0.00	0.00	0.89	90.0	0.80
06/11/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.28	0.00	0.00	0.28	90.0	0.25
06/11/2018 #	LITLE, CATHI JO	DAIN TRAILER	B	0.00	2.35	0.00	0.00	2.35	90.0	2.12
06/11/2018 #	LITLE, CATHI JO	DAIN TRAILER	B	0.00	1.73	0.00	0.00	1.73	90.0	1.56
06/11/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.55	0.00	0.00	4.55	90.0	4.10
06/11/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	2.19	0.00	0.00	2.19	90.0	1.97
06/11/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.72	0.00	0.00	4.72	90.0	4.25
06/11/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.58	0.00	0.00	4.58	90.0	4.12
06/11/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	5.36	0.00	0.00	5.36	90.0	4.82
06/11/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	7.69	0.00	0.00	7.69	90.0	6.92
06/11/2018 #	WAGNER, JAMES	DAIN TRAILER	B	0.00	2.17	0.00	0.00	2.17	90.0	1.95
06/11/2018 #	KNIEF, LEWIS	DAIN TRAILER	B	0.00	21.36	0.00	0.00	21.36	90.0	19.22
06/11/2018 #	KNIEF, LEWIS	DAIN TRAILER	B	0.00	23.49	0.00	0.00	23.49	90.0	21.14
06/11/2018 #	STEWART, GARY	DAIN TRAILER	B	0.00	2.84	0.00	0.00	2.84	90.0	2.56
06/11/2018 #	MCDONALD, JOHN	DAIN TRAILER	B	0.00	2.13	0.00	0.00	2.13	90.0	1.92
06/11/2018 #	MCDONALD, SHARON	DAIN TRAILER	B	0.00	2.46	0.00	0.00	2.46	90.0	2.21
06/11/2018 #	MCDONALD, JOHN	DAIN TRAILER	B	0.00	0.95	0.00	0.00	0.95	90.0	0.86
06/11/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	1.28	0.00	0.00	1.28	90.0	1.15
06/11/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	1.31	0.00	0.00	1.31	90.0	1.18
06/11/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	3.90	0.00	0.00	3.90	90.0	3.51
06/11/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.23	0.00	0.00	0.23	90.0	0.21
06/11/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.05	0.00	0.00	0.05	90.0	0.05
06/11/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.35	0.00	0.00	0.35	90.0	0.32
06/11/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.22	0.00	0.00	0.22	90.0	0.20
06/11/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	4.11	0.00	0.00	4.11	90.0	3.70
06/11/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	6.55	0.00	0.00	6.55	90.0	5.90
06/11/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.59	0.00	0.00	3.59	90.0	3.23
06/11/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	2.73	0.00	0.00	2.73	90.0	2.46
06/11/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	4.02	0.00	0.00	4.02	90.0	3.62
06/11/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.91	0.00	0.00	3.91	90.0	3.52
06/11/2018 #	BRINKERHOFF, MARJORIE	DAIN TRAILER	B	0.00	10.61	0.00	0.00	10.61	90.0	9.55
06/11/2018 #	SMITH, WESTIN	DAIN TRAILER	B	0.00	0.21	0.00	0.00	0.21	90.0	0.19
06/11/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	1.75	0.00	0.00	1.75	90.0	1.58
06/11/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.92	0.00	0.00	0.92	90.0	0.83
06/11/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.37	0.00	0.00	0.37	90.0	0.33
06/11/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.43	0.00	0.00	0.43	90.0	0.39
06/11/2018 #	MOORE, KATHERINE	DAIN TRAILER	B	0.00	1.08	0.00	0.00	1.08	90.0	0.97
06/11/2018 #	PARK, SUSAN	DAIN TRAILER	B	0.00	4.57	0.00	0.00	4.57	90.0	4.11
06/11/2018 #	PARK, SUSAN	DAIN TRAILER	B	0.00	0.70	0.00	0.00	0.70	90.0	0.63
06/11/2018 #	HIZA, STEVEN	DAIN TRAILER	B	0.00	2.37	0.00	0.00	2.37	90.0	2.13

COMMISSION STATEMENT for THOMAS SMITH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

06/11/2018 # HIZA, STEVEN	DAIN TRAILER	B	0.00	1.47	0.00	0.00		1.47	90.0	1.32
06/11/2018 # BILLS, BARBARA	DAIN TRAILER	B	0.00	0.25	0.00	0.00		0.25	90.0	0.23
06/11/2018 # BILLS, BARBARA	DAIN TRAILER	B	0.00	0.48	0.00	0.00		0.48	90.0	0.43
06/11/2018 # GILLGREN, JERRY	DAIN TRAILER	B	0.00	0.30	0.00	0.00		0.30	90.0	0.27
06/11/2018 # REED, CASEY	DAIN TRAILER	B	0.00	6.51	0.00	0.00		6.51	90.0	5.86
06/11/2018 # CROWELL-GILLGREN, CHRISTINA	DAIN TRAILER	B	0.00	1.76	0.00	0.00		1.76	90.0	1.58
06/11/2018 # CROWELL-GILLGREN, CHRISTINA	DAIN TRAILER	B	0.00	13.42	0.00	0.00		13.42	90.0	12.08
06/11/2018 # PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.39	0.00	0.00		2.39	90.0	2.15
06/11/2018 # PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.37	0.00	0.00		2.37	90.0	2.13
06/11/2018 # PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.51	0.00	0.00		2.51	90.0	2.26
06/11/2018 # ROCK, ZACHARY	DAIN TRAILER	B	0.00	0.96	0.00	0.00		0.96	90.0	0.86
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$296.41	\$0.00	\$0.00	\$296.41		\$266.82
*** BROKER TRANSACTIONS TOTAL ***				\$73,842.61	\$1,980.02	\$159.70	\$0.00	\$1,820.32		\$1,638.35

ADJUSTMENTS

07/20/2018	ADMIN FEE: ADMIN FEE	-390.00
07/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
07/20/2018	PRINT ITEMS: PRINT ITEMS	-26.94
*** ADJUSTMENTS TOTAL ***		\$-595.94

BROKER COMMISSION TOTALS

Broker Transactions	\$1,638.35
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-595.94
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount \$1,042.41