

**COMMISSION STATEMENT**

February 15, 2018

RANDY SMITH-D061

BROKER #: D061

BRANCH: DMA

, TX

**COMMISSION STATEMENT for RANDY SMITH-D061**

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>									
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>									
01/22/2018 (None)	GARTIN, ROBERT	MF OPPENHEIMIERFUNDS 683810204	B	0.00	6.00	0.00	6.00	50.0	3.00
02/02/2018 000015815515075	STRATHDEE,	MF FRANKLIN RISING DIVIDENDS FD	B	500.00	25.00	0.00	25.00	50.0	12.50
02/02/2018 000060177858580	STRATHDEE,	MF FRANKLIN GROWTH FUND CLASS A	B	500.00	24.81	0.00	24.81	50.0	12.41
02/07/2018 00058011489	FOSTER, EMILIE	MF CAPITAL WORLD GROWTH AND INCOME	B	4,808.27	96.17	0.00	96.17	50.0	48.09
02/05/2018 00068681036	MURPHY, DEBORAH	MF THE NEW ECONOMY FUND-A	B	75.00	3.19	0.00	3.19	50.0	1.60
02/05/2018 00068681036	MURPHY, DEBORAH	MF WASHINGTON MUTUAL INVESTORS	B	75.00	3.19	0.00	3.19	50.0	1.60
01/30/2018 00075390701	MURPHY, DEBORAH	MF INTERMEDIATE BOND FUND OF	B	1,000.00	20.00	0.00	20.00	50.0	10.00
01/30/2018 00075396784	CASTANEDA, SANDRA	MF THE GROWTH FUND OF AMERICA-A	B	70.00	1.40	0.00	1.40	50.0	0.70
01/30/2018 00083949478	LIMON, ELIZABETH	MF AMERICAN BALANCED FUND-A	B	160.00	3.20	0.00	3.20	50.0	1.60
01/30/2018 00083949478	LIMON, ELIZABETH	MF AMERICAN BALANCED FUND-A	B	160.00	3.20	0.00	3.20	50.0	1.60
01/30/2018 00084366836	MENDOZA, SANDRA	MF AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
01/30/2018 00084366836	MENDOZA, SANDRA	MF AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
01/30/2018 00086507215	TRAPP, ANDREA	MF AMERICAN BALANCED FUND-A	B	100.00	3.75	0.00	3.75	50.0	1.88
01/30/2018 00087738166	JIMERFIELD,	MF AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
01/30/2018 00087738166	JIMERFIELD,	MF AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
02/07/2018 00089079661	KAREN STEHLING	MF AMERICAN BALANCED FUND-A	B	1,248.09	34.32	0.00	34.32	50.0	17.16
01/29/2018 04000163744	GARZA, ALEXANDER	MF AMERICAN BALANCED FUND-A	B	100.00	5.00	0.00	5.00	50.0	2.50
01/29/2018 04000163744	GARZA, ALEXANDER	MF FUNDAMENTAL INVESTORS-A	B	50.00	2.50	0.00	2.50	50.0	1.25
01/29/2018 04000163744	GARZA, ALEXANDER	MF NEW PERSPECTIVE FUND-A	B	50.00	2.50	0.00	2.50	50.0	1.25
<b>* MUTUAL FUNDS SUBTOTAL *</b>				<b>\$9,296.36</b>	<b>\$242.23</b>	<b>\$0.00</b>	<b>\$242.23</b>		<b>\$121.14</b>

**PRODUCT CATEGORY: VARIABLE ANNUITIES**

01/31/2018 009062915A	BROWN, SARAH	VA PERSPECTIVE	B	122,958.52	25.62	0.00	25.62	50.0	12.81
01/31/2018 1009661472	BAHAN, MARGARET	VA PERSPECTIVE II	B	128,071.65	80.04	0.00	80.04	50.0	40.02
01/31/2018 1009737665	BARICKMAN,	VA PERSPECTIVE II	B	116,085.90	72.55	0.00	72.55	50.0	36.28
01/31/2018 1013950608	BURNETT, PATRICIA	VA PERSP II 09/12	B	1,216,813.90	1,014.01	0.00	1,014.01	50.0	507.01
01/31/2018 1015646752	DORER, VALORIE	VA PERSP II 04/14	B	72,926.52	60.77	0.00	60.77	50.0	30.39
01/31/2018 1015845666	HOGAN, REBECCA	VA PERSP II 04/14	B	62,809.14	52.34	0.00	52.34	50.0	26.17
01/31/2018 1016104708	SCHROEDER, RICHARD	VA PERSP II 04/14	B	266,994.68	222.50	0.00	222.50	50.0	111.25
01/31/2018 1018926438	WILLIAMS, JOE	VA PERSP II 04/14	B	347,573.13	72.41	0.00	72.41	50.0	36.21
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>				<b>\$2,334,233.44</b>	<b>\$1,600.24</b>	<b>\$0.00</b>	<b>\$1,600.24</b>		<b>\$800.14</b>

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>									
01/31/2018 (None)	COUVILLION, TARI	MFT VIRTUS	B	0.00	17.07	0.00	17.07	50.0	8.54
01/31/2018	000000000326532 YARTER,	MFT FRANKLIN/TEMPLETON FUNDS	B	0.00	9.24	0.00	9.24	50.0	4.62
01/31/2018	000000008958389 STRATHDEE,	MFT MUTUAL DISC FND - CL A	B	0.00	0.58	0.00	0.58	50.0	0.29
01/31/2018	000002974467708 MICHAEL E	MFT TEMP WORLD FND - CL A	B	0.00	117.97	0.00	117.97	50.0	58.99
01/31/2018	000005870019840 CAROL	MFT TEMP GLOBAL SM CO FND - CL A	B	0.00	0.11	0.00	0.11	50.0	0.06
01/31/2018	000011626028806 CURTNER,	MFT FRANKLIN FEDERAL TAX FREE	B	0.00	2.48	0.00	2.48	50.0	1.24
01/31/2018	000015815445354 YARTER,	MFT FRANKLIN RISING DIVIDENDS FD	B	0.00	11.14	0.00	11.14	50.0	5.57
01/31/2018	000015815515075 STRATHDEE,	MFT FRANKLIN RISING DIVIDENDS FD	B	0.00	1.16	0.00	1.16	50.0	0.58
01/31/2018	000050116638666 CURTNER,	MFT FRK AGE HIGH INC FND - CL A	B	0.00	6.30	0.00	6.30	50.0	3.15
01/31/2018	000060177793581 YARTER,	MFT FRANKLIN GROWTH FUND CLASS A	B	0.00	11.92	0.00	11.92	50.0	5.96
01/31/2018	000060177858580 STRATHDEE,	MFT FRANKLIN GROWTH FUND CLASS A	B	0.00	1.66	0.00	1.66	50.0	0.83
01/31/2018	000090233306771 MEYER, RONALD	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	105.17	0.00	105.17	50.0	52.59
01/31/2018	000090234387467 MARTINEZ,	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	8.38	0.00	8.38	50.0	4.19
01/31/2018	000090239380885 YARTER,	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	6.14	0.00	6.14	50.0	3.07
02/01/2018	07001935736 CHAPTER,	MFT FEDERATED GOVT INCOME SECS, INC	B	0.00	21.84	0.00	21.84	50.0	10.92
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$321.16</b>	<b>\$0.00</b>	<b>\$321.16</b>		<b>\$160.60</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>									
01/05/2018 (None)	HOOGE	VAT TRANSAMERICA PREMIER	B	0.00	22.68	0.00	22.68	50.0	11.34
01/05/2018 (None)	HOLDER	VAT TRANSAMERICA PREMIER	B	0.00	29.79	0.00	29.79	50.0	14.90
01/09/2018 (None)	HONEA	VAT TRANSAMERICA PREMIER	B	0.00	47.59	0.00	47.59	50.0	23.80
01/28/2018 (None)	BURNETT, PATRICIA	VAT AMERICAN GENERAL	B	0.00	520.30	0.00	520.30	50.0	260.15
02/02/2018 (None)	HERAS, JUANITA	VAT JOHN HANCOCK LIFE	B	0.00	2.93	0.00	2.93	50.0	1.47
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$623.29</b>	<b>\$0.00</b>	<b>\$623.29</b>		<b>\$311.66</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>				<b>\$2,343,529.80</b>	<b>\$2,786.92</b>	<b>\$0.00</b>	<b>\$2,786.92</b>		<b>\$1,393.54</b>

SPLIT TRANSACTIONS**BROKER: RIX/RANDY SMITH/SMITH-D081 #80**

02/07/2018	00073969963 SMITH, RONALD	MF NEW PERSPECTIVE FUND-A	B	4,860.72	48.61	0.00	48.61		24.31
<b>* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *</b>				<b>\$4,860.72</b>	<b>\$48.61</b>	<b>\$0.00</b>	<b>\$48.61</b>		<b>\$24.31</b>
<b>*** SPLIT TRANSACTIONS TOTAL ***</b>				<b>\$4,860.72</b>	<b>\$48.61</b>	<b>\$0.00</b>	<b>\$48.61</b>		<b>\$24.31</b>

COMMISSION STATEMENT for RANDY SMITH-D061

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

BROKER: RANDY SMITH-D601 #66

02/01/2018 08190128650 GIFT MIN ACT-SD, MF MFS MID CAP GROWTH FUND-C	B	50.00	0.50	0.00	0.50	0.10
* RANDY SMITH-D601 SUBTOTAL *		\$50.00	\$0.50	\$0.00	\$0.50	\$0.10
*** REP LINK TRANSACTIONS TOTAL ***		\$50.00	\$0.50	\$0.00	\$0.50	\$0.10

BROKER COMMISSION TOTALS

Broker Transactions	\$1,393.64
Split Transactions	\$24.31
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$1,417.95
Year-to-date Commissions	\$13,721.16