

# Bill Payment Stub

Check Date:	6/7/2018
Check No.:	ACH
Check Amount:	285.14

Dominion Investor Services  
P.O. Box 4768  
Horseshoe Bay, TX 78657-4768

Paid To: ROBERT CALDWELL  
2802 N HIGHLAND AVE, STE B  
JACKSON, TN 38305

Date	Type	Reference	Original Amt.	Balance	Discount	Payment
5/31/2018	Bill	COMMISSIONS	405.14	405.14		405.14
6/1/2018	Credit	E&O	-120.00	-120.00		-120.00

# COMMISSION STATEMENT

May 31, 2018

ROBERT CALDWELL-D013

BROKER #: D013

BRANCH: DME

, TX

## COMMISSION STATEMENT for ROBERT CALDWELL-D013

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

#### PRODUCT CATEGORY: MUTUAL FUNDS

05/03/2018 368268542	RAINES, BOBBY	MF CAPITAL INCOME BUILDER-A	S	22.26	0.00	5.00	-5.00	90.0	-4.50
05/03/2018 368268542	RAINES, BOBBY	MF CAPITAL INCOME BUILDER-A	S	-22.26	0.00	-5.00	5.00	90.0	4.50
05/03/2018 368268542	RAINES, BOBBY	MF CAPITAL INCOME BUILDER-A	S	-0.20	0.00	5.00	-5.00	90.0	-4.50
05/03/2018 368268542	RAINES, BOBBY	MF THE INVESTMENT COMPANY OF	S	-10.42	0.00	5.00	-5.00	90.0	-4.50
* MUTUAL FUNDS SUBTOTAL *				\$-10.62	\$0.00	\$10.00	\$-10.00		\$-9.00

#### PRODUCT CATEGORY: MISCELLANEOUS

05/04/2018 a03291006	CALDWELL-D013,	MI MUTUAL FUND MISC FEE 368268542	S	0.00	50.00	0.00	50.00	90.0	45.00
05/04/2018 a03291006	CALDWELL-D013,	MI MUTUAL FUND MISC FEE 368268542	S	0.00	50.00	0.00	50.00	90.0	45.00
05/07/2018 a03291006	CALDWELL-D013,	MI MUTUAL FUND MISC FEE 368268542	S	0.00	-50.00	0.00	-50.00	90.0	-45.00
05/07/2018 a03291006	CALDWELL-D013,	MI MUTUAL FUND MISC FEE 368268542	S	0.00	27.54	0.00	27.54	90.0	24.79
* MISCELLANEOUS SUBTOTAL *				\$0.00	\$77.54	\$0.00	\$77.54		\$69.79

#### PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

05/21/2018 mfc291006	CALDWELL 291006	MFT AMERICAN BALANCED FUND-A	B	0.00	3.98	0.00	3.98	90.0	3.58
05/21/2018 mfc291006	CALDWELL 291006	MFT CALAMOS GROWTH & INCOME FD CL C	B	0.00	19.36	0.00	19.36	90.0	17.42
05/21/2018 mfc291006	CALDWELL 291006	MFT CAPITAL INCOME BUILDER-A	B	0.00	0.01	0.00	0.01	90.0	0.01
05/21/2018 mfc291006	CALDWELL 291006	MFT DELAWARE SMID CAP GROWTH FD CL	B	0.00	12.62	0.00	12.62	90.0	11.36
05/21/2018 mfc291006	CALDWELL 291006	MFT FIDELITY ADVISOR GROWTH OPPORT	B	0.00	36.86	0.00	36.86	90.0	33.17
05/21/2018 mfc291006	CALDWELL 291006	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	11.26	0.00	11.26	90.0	10.13
05/21/2018 mfc291006	CALDWELL 291006	MFT FRK RISING DIV FND - CL C	B	0.00	14.95	0.00	14.95	90.0	13.46
05/21/2018 mfc291006	CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	6.16	0.00	6.16	90.0	5.54
05/21/2018 mfc291006	CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	19.42	0.00	19.42	90.0	17.48
05/21/2018 mfc291006	CALDWELL 291006	MFT GEORGE PUTNAM BALANCED FUND-A	B	0.00	0.29	0.00	0.29	90.0	0.26
05/21/2018 mfc291006	CALDWELL 291006	MFT JOHN HANCOCK STRATEGIC GROWTH A	B	0.00	1.19	0.00	1.19	90.0	1.07
05/21/2018 mfc291006	CALDWELL 291006	MFT MFS TN MUNI BD FD CL A	B	0.00	24.57	0.00	24.57	90.0	22.11
05/21/2018 mfc291006	CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	9.98	0.00	9.98	90.0	8.98
05/21/2018 mfc291006	CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	15.85	0.00	15.85	90.0	14.27
05/21/2018 mfc291006	CALDWELL 291006	MFT PUTNAM 746747104	B	0.00	0.37	0.00	0.37	90.0	0.33
05/21/2018 mfc291006	CALDWELL 291006	MFT PUTNAM HEALTH SCIENCES TRUST	B	0.00	0.44	0.00	0.44	90.0	0.40
05/21/2018 mfc291006	CALDWELL 291006	MFT THE INVESTMENT COMPANY OF	B	0.00	0.01	0.00	0.01	90.0	0.01
05/21/2018 mfc291006	CALDWELL 291006	MFT U.S. GOVERNMENT SECURITIES FUND B	B	0.00	1.35	0.00	1.35	90.0	1.22

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
05/21/2018	mfc291006 CALDWELL 291006	MFT VOYA SENIOR INCOME FUND C	B	0.00	6.84	0.00	6.84	90.0	6.16
05/21/2018	mfc291006 CALDWELL 291006	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.85	0.00	1.85	90.0	1.67
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$187.36</b>	<b>\$0.00</b>	<b>\$187.36</b>		<b>\$168.63</b>
<b>*** CLEARING TRANSACTIONS TOTAL ***</b>				<b>\$-10.62</b>	<b>\$264.90</b>	<b>\$10.00</b>	<b>\$254.90</b>		<b>\$229.42</b>

DIRECT TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

05/10/2018	0000000000010330	PATRICK, CHAD MF	FRANKLIN MUTUAL INTERNATIONAL	B	41.67	0.42	0.00	0.42	90.0	0.38
05/21/2018	0000000000055638	PATRICK, CHAD MF	FRANKLIN BALANCED FUND - CLASS	B	125.00	1.25	0.00	1.25	90.0	1.13
05/25/2018	0000000000227710	THOMAS, MF	FRANKLIN MODERATE ALLOCATION	B	100.00	1.00	0.00	1.00	90.0	0.90
05/10/2018	0000000000277184	PATRICK, CHAD MF	TEMPLETON CHINA WORLD FUND -	B	41.67	0.42	0.00	0.42	90.0	0.38
05/10/2018	0000000001124015	PATRICK, CHAD MF	MUTUAL QUAL FND - CL C	B	41.66	0.42	0.00	0.42	90.0	0.38
05/25/2018	0000000003822855	PATRICK, CHAD MF	MUTUAL SHRS FND - CL C	B	166.66	1.67	0.00	1.67	90.0	1.50
05/25/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
05/25/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
05/25/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
05/25/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
05/25/2018	00073739173	BEARD, PATRICK MF	INVESTMENT COMPANY OF AMERICA	B	50.00	0.50	0.00	0.50	90.0	0.45
05/25/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
05/25/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
05/25/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
05/25/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
05/15/2018	00075317599	COPELAND, SUSAN MF	AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
05/15/2018	00075317599	COPELAND, SUSAN MF	FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
05/15/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	37.62	0.75	0.00	0.75	90.0	0.68
05/15/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	100.33	2.01	0.00	2.01	90.0	1.81
05/15/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	6.64	0.13	0.00	0.13	90.0	0.12
05/15/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	17.70	0.35	0.00	0.35	90.0	0.32
05/15/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
05/15/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
05/15/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
05/15/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
05/15/2018	00081948549	HINDS, MICHAEL MF	AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
05/15/2018	00081948549	HINDS, MICHAEL MF	AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
05/15/2018	00081948549	HINDS, MICHAEL MF	AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
05/15/2018	00081948549	HINDS, MICHAEL MF	AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
05/15/2018	00081948549	HINDS, MICHAEL MF	U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
05/15/2018	00081948549	HINDS, MICHAEL MF	U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
05/15/2018	00081948685	SHELTON, LAURA MF	FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
05/15/2018	00081948685	SHELTON, LAURA MF	FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21
05/15/2018	00081948685	SHELTON, LAURA MF	NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
05/15/2018	00081948685	SHELTON, LAURA MF	NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21

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05/15/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
05/15/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
05/15/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21
05/15/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
05/15/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	31.20	0.31	0.00	0.31	90.0	0.28
05/15/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	104.01	1.04	0.00	1.04	90.0	0.94
05/15/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	30.60	0.31	0.00	0.31	90.0	0.28
05/15/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	30.60	0.31	0.00	0.31	90.0	0.28
05/15/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	31.53	0.32	0.00	0.32	90.0	0.29
05/15/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	31.53	0.32	0.00	0.32	90.0	0.29
05/15/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	10.06	0.10	0.00	0.10	90.0	0.09
05/15/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	16.76	0.17	0.00	0.17	90.0	0.15
05/15/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	11.73	0.12	0.00	0.12	90.0	0.11
05/15/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	19.56	0.20	0.00	0.20	90.0	0.18
05/15/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	11.73	0.12	0.00	0.12	90.0	0.11
05/15/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	19.55	0.20	0.00	0.20	90.0	0.18
05/15/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
05/15/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
05/15/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	48.38	0.48	0.00	0.48	90.0	0.43
05/15/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	48.38	0.48	0.00	0.48	90.0	0.43
05/15/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	34.43	0.34	0.00	0.34	90.0	0.31
05/15/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	34.43	0.34	0.00	0.34	90.0	0.31
05/15/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	33.85	0.34	0.00	0.34	90.0	0.31
05/15/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	33.85	0.34	0.00	0.34	90.0	0.31
05/15/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
05/15/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
* MUTUAL FUNDS SUBTOTAL *				\$2,756.49	\$35.26	\$0.00	\$35.26		\$31.81

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

05/21/2018 VR02053945	LIPSHIE BENE,	VAT CUSIP 694474628	B	0.00	281.07	0.00	281.07	90.0	252.96
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$281.07	\$0.00	\$281.07		\$252.96
*** DIRECT TRANSACTIONS TOTAL ***				\$2,756.49	\$316.33	\$0.00	\$316.33		\$284.77

REP LINK TRANSACTIONSBROKER: BRYANT CALDWELL-D080 #70

05/21/2018 mfc445444	CALDWELL 445444	MFT AMERICAN BALANCED FUND-A	B	0.00	0.46	0.00	0.46		0.41
05/21/2018 mfc445444	CALDWELL 445444	MFT THE INCOME FUND OF AMERICA-A	B	0.00	0.60	0.00	0.60		0.54
* BRYANT CALDWELL-D080 SUBTOTAL *				\$0.00	\$1.06	\$0.00	\$1.06		\$0.95
*** REP LINK TRANSACTIONS TOTAL ***				\$0.00	\$1.06	\$0.00	\$1.06		\$0.95

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

05/31/2018		: BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
05/31/2018		: BROKER WORKSTATION-BROOKS		0.00	0.00	0.00	0.00		-30.00
05/31/2018		: E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
05/31/2018		: E-MAIL ACCOUNT-BROOKS		0.00	0.00	0.00	0.00		-25.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-110.00

BROKER COMMISSION TOTALS

Broker Transactions	\$515.14
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-110.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$405.14
Year-to-date Commissions	\$27,636.95