

All Companies
STATEMENT
March 20, 2018

LEE THOMAS
530 WESTOVER DR

BROKER #: 056
BRANCH: LA BRANCH

ROXBORO, NC 27573-

COMMISSION STATEMENT for LEE THOMAS

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 FUNDS

02/06/2018 # JAMES, JOHN	FIDELITY ADVISOR HEALTH CARE FUND C S	10,663.81	0.00	20.00	0.00	-20.00	75.0	-15.00
02/15/2018 #04000777216 KELLEY, KENLEY	THE GROWTH FUND OF AMERICA-529A B	50.00	2.50	0.00	0.00	2.50	75.0	1.88
* MUTUAL FUNDS SUBTOTAL *		\$10,713.81	\$2.50	\$20.00	\$0.00	\$-17.50		\$-13.12

PRODUCT CATEGORY: STOCKS

02/06/2018 # JAMES, JOHN	APPLE INC	S	47,509.02	20.00	19.95	0.00	0.05	75.0	0.04
02/06/2018 # JAMES, JOHN	APPLE INC	S	35,370.38	20.00	19.95	0.00	0.05	75.0	0.04
02/06/2018 # JAMES, JOHN	DOLLAR GENERAL CORPORATION NEW	S	45,449.47	20.00	19.95	0.00	0.05	75.0	0.04
02/06/2018 # JAMES, JOHN	LOWES COMPANIES INC	S	30,601.94	20.00	19.95	0.00	0.05	75.0	0.04
02/06/2018 # JAMES, JOHN	NU SKIN ENTERPRISES INC	S	37,258.76	20.00	19.95	0.00	0.05	75.0	0.04
02/06/2018 # JAMES, JOHN	SKYWORKS SOLUTIONS INC	S	36,639.55	20.00	19.95	0.00	0.05	75.0	0.04
02/06/2018 # JAMES, JOHN	TWILIO INC CL A	S	2,397.36	20.00	19.95	0.00	0.05	75.0	0.04
02/06/2018 # JAMES, JOHN	WORKHORSE GROUP INC COM	S	2,806.00	20.00	19.95	0.00	0.05	75.0	0.04
02/06/2018 # JAMES, JOHN	WORKHORSE GROUP INC COM	S	2,806.00	20.00	19.95	0.00	0.05	75.0	0.04
02/23/2018 # GRAY, SUSAN	3-D SYSTEMS CORP-DEL	S	269.53	50.00	19.95	0.00	30.05	75.0	22.54
02/23/2018 # GRAY, SUSAN	AUTOMATIC DATA PROCESSING INC	B	10,090.91	105.00	19.95	0.00	85.05	75.0	63.79
02/23/2018 # GRAY, SUSAN	CVS CAREMARK CORPORATION	S	8,621.78	162.34	19.95	0.00	142.39	75.0	106.79
* STOCKS SUBTOTAL *			\$259,820.70	\$497.34	\$239.40	\$0.00	\$257.94		\$193.48

PRODUCT CATEGORY: VARIABLE ANNUITIES

02/12/2018 #1020991280 JAMES, JOHN	PERSP II 01/16	B	250,000.00	13,750.00	0.00	0.00	13,750.00	75.0	10,312.50
* VARIABLE ANNUITIES SUBTOTAL *			\$250,000.00	\$13,750.00	\$0.00	\$0.00	\$13,750.00		\$10,312.50

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

02/06/2018 # LENNON, CYNTHIA	DAIN TRAILER	B	0.00	3.43	0.00	0.00	3.43	75.0	2.57
02/06/2018 # GLENN, JOHNATHAN	DAIN TRAILER	B	0.00	1.92	0.00	0.00	1.92	75.0	1.44
02/09/2018 # JAMES, KELLY	DAIN TRAILER	B	0.00	1.86	0.00	0.00	1.86	75.0	1.40
02/09/2018 # LENNON, CYNTHIA	DAIN TRAILER	B	0.00	5.22	0.00	0.00	5.22	75.0	3.92
02/09/2018 # LENNON, CYNTHIA	DAIN TRAILER	B	0.00	2.88	0.00	0.00	2.88	75.0	2.16
02/09/2018 # LENNON, CYNTHIA	DAIN TRAILER	B	0.00	10.36	0.00	0.00	10.36	75.0	7.77
02/09/2018 # KNIGHT GIBSON, NANCY	DAIN TRAILER	B	0.00	2.42	0.00	0.00	2.42	75.0	1.82
02/09/2018 # GRAY, SUSAN	DAIN TRAILER	B	0.00	0.97	0.00	0.00	0.97	75.0	0.73

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

02/09/2018 # GRAY, SUSAN	DAIN TRAILER	B	0.00	4.60	0.00	0.00		4.60	75.0	3.45
02/09/2018 # WICKER, KEVIN	DAIN TRAILER	B	0.00	1.34	0.00	0.00		1.34	75.0	1.01
02/09/2018 # SMALL, CARL	DAIN TRAILER	B	0.00	8.26	0.00	0.00		8.26	75.0	6.20
02/09/2018 # HAWKINS, DORIS	DAIN TRAILER	B	0.00	3.79	0.00	0.00		3.79	75.0	2.84
02/09/2018 # NICHOLS, WILLIAM	DAIN TRAILER	B	0.00	8.32	0.00	0.00		8.32	75.0	6.24
02/09/2018 # NICHOLS, WILLIAM	DAIN TRAILER	B	0.00	4.50	0.00	0.00		4.50	75.0	3.38
02/09/2018 # THOMAS, BETTY	DAIN TRAILER	B	0.00	2.59	0.00	0.00		2.59	75.0	1.94
02/09/2018 # THOMAS, BETTY	DAIN TRAILER	B	0.00	1.75	0.00	0.00		1.75	75.0	1.31
02/09/2018 # GLENN, JOHNATHAN	DAIN TRAILER	B	0.00	3.05	0.00	0.00		3.05	75.0	2.29
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$67.26	\$0.00	\$0.00	\$67.26		\$50.47
*** BROKER TRANSACTIONS TOTAL ***				\$520,534.51	\$14,317.10	\$259.40	\$0.00	\$14,057.70		\$10,543.33

ADJUSTMENTS

03/20/2018	ADMIN FEE: ADMIN FEE									-390.00
03/20/2018	E & O INSURANCE: E & O INSURANCE									-179.00
03/20/2018	MWWOD:MISCELLANEOUS: WRITE-OFF									-109.81
	DEBIT BALANCE									
*** ADJUSTMENTS TOTAL ***										\$-678.81

BROKER COMMISSION TOTALS

Broker Transactions	\$10,543.33
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-678.81
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount \$9,864.52