

**COMMISSION STATEMENT****November 30, 2017**

MARK-S141 REG SMITH

BROKER #: S141

BRANCH: WOODS FINANCIAL

, MI

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: INTERVAL FUNDS</u> | | | | | | | | |
| 11/14/2017 | CORLEY, WILBUR | BR TOTAL INC & REAL ESTATE FUND A | 0.00 | 4.27 | 0.00 | 4.27 | 0.0 | 0.00 |
| | | * INTERVAL FUNDS SUBTOTAL * | \$0.00 | \$4.27 | \$0.00 | \$4.27 | | \$0.00 |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 11/15/2017 | JOHNSON, FRANKLIN | AM FUNDS AMCAP A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 11/15/2017 | JOHNSON, FRANKLIN | AM FUNDS AMERICAN MUTUAL A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 11/15/2017 | JOHNSON, FRANKLIN | AM FUNDS EUROPACIFIC GROWTH FUND A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 11/15/2017 | JOHNSON, FRANKLIN | AM FUNDS FUNDAMENTAL INVESTORS A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 11/15/2017 | JOHNSON, FRANKLIN | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 2.50 | 0.00 | 2.50 | 48.0 | 1.20 |
| 11/15/2017 | UNTIL AGE 21, TX/UTMA | AM FUNDS GROWTH PORT A | 50.00 | 2.13 | 0.00 | 2.13 | 48.0 | 1.02 |
| | | * MUTUAL FUNDS SUBTOTAL * | \$300.00 | \$14.63 | \$0.00 | \$14.63 | | \$7.02 |
| | | *** DIRECT TRANSACTIONS TOTAL *** | \$300.00 | \$18.90 | \$0.00 | \$18.90 | | \$7.02 |
| <u>OVERRIDE TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: MARK-S148 SMITH #401</u> | | | | | | | | |
| 11/06/2017 | SPURGIN, LISBETH | FT FOUNDING FDS ALLOC C | 300.00 | 3.00 | 0.00 | 3.00 | 0.0 | 1.44 |
| | | * MARK-S148 SMITH SUBTOTAL * | \$300.00 | \$3.00 | \$0.00 | \$3.00 | | \$1.44 |
| | | *** OVERRIDE TRANSACTIONS TOTAL *** | \$300.00 | \$3.00 | \$0.00 | \$3.00 | | \$1.44 |

NOTES: * - Indicates adjustment is not included in 1099 Earnings

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

BROKER COMMISSION TOTALS

| | |
|-----------------------|--------|
| Broker Transactions | \$7.02 |
| Split Transactions | \$0.00 |
| Override Transactions | \$1.44 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

| | |
|------------------------------|--------------------|
| Balance Forward | \$8.46 |
| Year-to-date Gross | \$43,307.90 |
| Year-to-date Earnings | \$20,781.80 |