



COMMISSION STATEMENT

April 16, 2018

RICHARD SOWERS
2451 McMullen Booth Road
Suite 263
Clearwater, FL 33759

BROKER #: 71
BRANCH #01002 - 02 - SOWERS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/02/2018	***-**-87IN - HALL, J	AMCAP FUND-A	119.00	3.27	0.00	3.27	90.0	2.94
	ACCOUNT #: 00084955124	BUY 4 Units @32.9300						
04/02/2018	***-**-87IN - HALL, J	CAPITAL WORLD GROWTH AND INCOME FUN	119.00	3.27	0.00	3.27	90.0	2.94
	ACCOUNT #: 00084955124	BUY 2 Units @52.0600						
04/02/2018	***-**-87IN - HALL, J	FUNDAMENTAL INVESTORS-A	119.00	3.27	0.00	3.27	90.0	2.94
	ACCOUNT #: 00084955124	BUY 2 Units @62.5800						
04/09/2018	***-**-547J - BEST III, JOHN	NEW PERSPECTIVE FUND-A	996.98	37.38	3.00	34.38	90.0	30.94
	ACCOUNT #: LSR010824	BUY 22 Units @45.8700						
04/05/2018	***-**-351C - SOWERS, CLIENTS	TEMPLETON GBL OPPS TR FUND - CLASS	50.00	0.50	0.00	0.50	90.0	0.45
	ACCOUNT #: 000000000255036	BUY 2 Units @21.7700						
04/09/2018	***-**-547J - BEST III, JOHN	THE INVESTMENT COMPANY OF AMERICA-A	997.00	37.38	3.00	34.38	90.0	30.94
	ACCOUNT #: LSR010824	BUY 24 Units @41.2000						
04/02/2018	***-**-87IN - HALL, J	WASHINGTON MUTUAL INVESTORS FUND-A	119.00	3.27	0.00	3.27	90.0	2.94
	ACCOUNT #: 00084955124	BUY 3 Units @45.5300						
* MUTUAL FUNDS SUBTOTAL *			\$2,519.98	\$88.34	\$6.00	\$82.34		\$74.09
<u>PRODUCT CATEGORY: RIA</u>								
04/16/2018	***-**-12FB - BALBIN, CATHY	MORNINGSTAR ADVISOR FEE	345.09	345.09	0.00	345.09	90.0	310.58
	ACCOUNT #: 101154413	BUY 0 Units @0.0000						
04/16/2018	***-**-43FB - CRAFT, ARTHUR	MORNINGSTAR ADVISOR FEE	281.90	281.90	0.00	281.90	90.0	253.71
	ACCOUNT #: 101164453	BUY 0 Units @0.0000						
04/16/2018	***-**-559I - HUBBARD, JAMES	MORNINGSTAR ADVISOR FEE	308.04	308.04	0.00	308.04	90.0	277.24
	ACCOUNT #: 101124675	BUY 0 Units @0.0000						
04/10/2018	***-**-60IO - BLACK, JENNIFER	NFS MANAGED FEES	0.00	405.50	0.00	405.50	90.0	364.95
		BUY 1 Units @92939.6700						
04/10/2018	***-**-60I2 - BLACK, JENNIFER	NFS MANAGED FEES	0.00	439.33	0.00	439.33	90.0	395.40
		BUY 1 Units @100695.100						
* RIA SUBTOTAL *			\$935.03	\$1,779.86	\$0.00	\$1,779.86		\$1,601.88



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/09/2018	***-**-3221 - PITTM, BARB	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	4.43	0.00	4.43	90.0	3.99
	ACCOUNT #: 00940010050	BUY 0 Units @0.0000						
03/31/2018	***-**-0132 - FUERST, PATRICIA	CAPITAL APPRECIATION A	0.00	2.74	0.00	2.74	90.0	2.47
	ACCOUNT #: 03201481271	BUY 0 Units @0.0000						
03/31/2018	***-**-612I - VINCE, RAYMOND	CAPITAL APPRECIATION A	0.00	0.15	0.00	0.15	90.0	0.14
	ACCOUNT #: 03205797638	BUY 0 Units @0.0000						
03/31/2018	***-**-17IN - VITALE, ESTHER	CASH RESERVES A	0.00	0.00	0.00	0.00	90.0	0.00
	ACCOUNT #: 07603670975	BUY 0 Units @0.0000						
04/16/2018	***-**-308I - KEENAN, PETER	COLUMBIA FUNDS MF TRAILS	0.00	0.06	0.00	0.06	90.0	0.05
	ACCOUNT #: 08696440853	BUY 0 Units @0.0000						
04/16/2018	***-**-237I - PIERSON, JEFFREY	COLUMBIA FUNDS MF TRAILS	0.00	3.42	0.00	3.42	90.0	3.08
	ACCOUNT #: 08696900918	BUY 0 Units @0.0000						
04/16/2018	***-**-237I - PIERSON, JEFFREY	COLUMBIA FUNDS MF TRAILS	0.00	3.42	0.00	3.42	90.0	3.08
	ACCOUNT #: 08696900918	BUY 0 Units @0.0000						
04/16/2018	***-**-237I - PIERSON, JEFFREY	COLUMBIA FUNDS MF TRAILS	0.00	2.04	0.00	2.04	90.0	1.84
	ACCOUNT #: 08696900918	BUY 0 Units @0.0000						
04/16/2018	***-**-237I - PIERSON, JEFFREY	COLUMBIA FUNDS MF TRAILS	0.00	6.56	0.00	6.56	90.0	5.90
	ACCOUNT #: 08696900918	BUY 0 Units @0.0000						
04/16/2018	***-**-237I - PIERSON, JEFFREY	COLUMBIA FUNDS MF TRAILS	0.00	-3.42	0.00	-3.42	90.0	-3.08
	ACCOUNT #: 08696900918	BUY 0 Units @0.0000						
03/31/2018	***-**-612I - VINCE, RAYMOND	GLOBAL FUND A	0.00	0.09	0.00	0.09	90.0	0.08
	ACCOUNT #: 03300714573	BUY 0 Units @0.0000						
03/31/2018	***-**-3152 - LORD, GEORGE D	MAIN STREET FUND A	0.00	8.05	0.00	8.05	90.0	7.25
	ACCOUNT #: 04206461158	BUY 0 Units @0.0000						
03/31/2018	***-**-612I - VINCE, RAYMOND	MAIN STREET FUND A	0.00	0.16	0.00	0.16	90.0	0.14
	ACCOUNT #: 07008251303	BUY 0 Units @0.0000						
03/31/2018	***-**-897I - SPENCER, JEANNIE	OPP PORT SERIES: ACTIVE ALLOC A	0.00	10.99	0.00	10.99	90.0	9.89
	ACCOUNT #: 05500608806	BUY 0 Units @0.0000						
03/31/2018	***-**-17IN - VITALE, ESTHER	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	3.77	0.00	3.77	90.0	3.39
	ACCOUNT #: 02302781727	BUY 0 Units @0.0000						
04/16/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS	0.00	5.75	0.00	5.75	90.0	5.18
		BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/16/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS BUY 0 Units @0.0000	0.00	5.00	0.00	5.00	90.0	4.50
04/16/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS BUY 0 Units @0.0000	0.00	20.17	0.00	20.17	90.0	18.15
04/16/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS BUY 0 Units @0.0000	0.00	6.00	0.00	6.00	90.0	5.40
04/16/2018	***-**-458I - GROSS, JAN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	12.61	0.00	12.61	90.0	11.35
04/16/2018	***-**-558H - PEAVEY, DARREN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	3.67	0.00	3.67	90.0	3.30
04/16/2018	***-**-436S - DUNLAP, RICHARD	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	2.08	0.00	2.08	90.0	1.87
04/16/2018	***-**-600I - FLANICK, JOSEPH	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	1.45	0.00	1.45	90.0	1.31
04/02/2018	***-**-78UG - REBMAN, AMANDA M ACCOUNT #: 00435289055	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	10.78	0.00	10.78	90.0	9.70
04/02/2018	***-**-833J - KAHERMANES, NORA ACCOUNT #: 00494851506	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	6.38	0.00	6.38	90.0	5.74
04/02/2018	***-**-58UG - HAUSMAN, LAURA E ACCOUNT #: 00550830449	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	3.33	0.00	3.33	90.0	3.00
04/02/2018	***-**-67UG - HAUSMAN, SYDNEY ACCOUNT #: 00550842095	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	5.85	0.00	5.85	90.0	5.27
04/02/2018	***-**-52IN - LORD, GEORGE ACCOUNT #: 00550886148	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	10.55	0.00	10.55	90.0	9.50
04/02/2018	***-**-58UG - HAUSMAN, LAURA E ACCOUNT #: 00550830449	PUTNAM GLOBAL HEALTH CARE FD-A BUY 0 Units @0.0000	0.00	5.23	0.00	5.23	90.0	4.71
04/02/2018	***-**-67UG - HAUSMAN, SYDNEY ACCOUNT #: 00550842095	PUTNAM GLOBAL HEALTH CARE FD-A BUY 0 Units @0.0000	0.00	6.49	0.00	6.49	90.0	5.84
04/02/2018	***-**-717I - FUERST, DOUGLAS ACCOUNT #: 00232502075	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	1.08	0.00	1.08	90.0	0.97
04/02/2018	***-**-965P - WILSON, TINA ACCOUNT #: 00401490537	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	0.83	0.00	0.83	90.0	0.75



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/02/2018	***-**-8831 - KILMER, ACCOUNT #: 00401506977	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	7.02	0.00	7.02	90.0	6.32
04/02/2018	***-**-833J - KAHERMANES, NORA ACCOUNT #: 00494851506	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	4.02	0.00	4.02	90.0	3.62
04/02/2018	***-**-70UG - KAHERMANES, ACCOUNT #: 00507255867	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	10.13	0.00	10.13	90.0	9.12
04/02/2018	***-**-70UG - KAHERMANES, ACCOUNT #: 00507255867	PUTNAM INVESTORS FUND-B BUY 0 Units @0.0000	0.00	3.10	0.00	3.10	90.0	2.79
04/02/2018	***-**-52IN - LORD, GEORGE ACCOUNT #: 00550886148	PUTNAM MID-CAP VALUE FUND-A BUY 0 Units @0.0000	0.00	0.92	0.00	0.92	90.0	0.83
04/02/2018	***-**-52IN - LORD, GEORGE ACCOUNT #: 00550886148	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	6.36	0.00	6.36	90.0	5.72
04/02/2018	***-**-9717 - FUERST AND, ACCOUNT #: 00551486754	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	65.26	0.00	65.26	90.0	58.73
04/02/2018	***-**-58UG - HAUSMAN, LAURA E ACCOUNT #: 00550830449	PUTNAM SMALL CAP VALUE FUND-A BUY 0 Units @0.0000	0.00	6.88	0.00	6.88	90.0	6.19
04/02/2018	***-**-67UG - HAUSMAN, SYDNEY ACCOUNT #: 00550842095	PUTNAM SMALL CAP VALUE FUND-A BUY 0 Units @0.0000	0.00	4.20	0.00	4.20	90.0	3.78
03/31/2018	***-**-897I - SPENCER, JEANNIE ACCOUNT #: 02252886983	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	5.50	0.00	5.50	90.0	4.95
04/16/2018	***-**-217I - VITALE, ESTHER ACCOUNT #: 7200011021	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	7.10	0.00	7.10	90.0	6.39
04/16/2018	***-**-36IN - CLAWSON, ACCOUNT #: 7200017170	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	5.36	0.00	5.36	90.0	4.82
04/16/2018	***-**-339I - COBIAN, NANCY ACCOUNT #: 7200019226	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	16.48	0.00	16.48	90.0	14.83
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$292.04	\$0.00	\$292.04		\$262.85
*** BROKER TRANSACTIONS TOTAL ***			\$3,455.01	\$2,160.24	\$6.00	\$2,154.24		\$1,938.82



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<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$1,938.82
						Split Transactions		\$0.00
						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 Commission Earned		\$1,938.82
						Year-to-date Earnings		\$18,747.13