

**COMMISSION STATEMENT****April 30, 2018**

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: MUTUAL FUNDS</u>								
04/16/2018	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.20
04/16/2018	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	48.0	1.20
04/16/2018	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	48.0	1.20
04/16/2018	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	48.0	1.20
04/16/2018	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.20
04/16/2018	VOORHEES, CLIFFORD	AM FUNDS GROWTH PORT A	50.00	1.88	0.00	1.88	48.0	0.90
04/05/2018	SPURGIN, LISBETH	FT FOUNDING FDS ALLOC C	300.00	3.00	0.00	3.00	48.0	1.44
* MUTUAL FUNDS SUBTOTAL *			\$600.00	\$17.38	\$0.00	\$17.38		\$8.34
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/04/2018	SMITH, ROGER	ALGER CAPITAL APPRECIATION A	0.00	4.14	0.00	4.14	48.0	1.99
04/01/2018	WHISTLER, ROBERT	INVESCO ASIA PACIFIC GROWTH C	0.00	8.37	0.00	8.37	48.0	4.02
04/01/2018	BRIDGES, JANIS	INVESCO BALANCED RISK ALLOCATION A	0.00	13.10	0.00	13.10	48.0	6.29
04/01/2018	TMICO	INVESCO BALANCED RISK ALLOCATION A	0.00	4.82	0.00	4.82	48.0	2.31
04/01/2018	TMICO	INVESCO BALANCED RISK ALLOCATION A	0.00	14.94	0.00	14.94	48.0	7.17
04/01/2018	WALLACE, SHEILA	INVESCO BALANCED RISK ALLOCATION A	0.00	2.49	0.00	2.49	48.0	1.20
04/01/2018	GODWIN, SANDRA	INVESCO BALANCED-RISK ALLOCATION-C	0.00	38.80	0.00	38.80	48.0	18.62
04/01/2018	TMICO	INVESCO BALANCED-RISK ALLOCATION-C	0.00	40.82	0.00	40.82	48.0	19.59
04/01/2018	WHISTLER, ROBERT	INVESCO BALANCED-RISK ALLOCATION-C	0.00	16.85	0.00	16.85	48.0	8.09
04/01/2018	WALLACE, CHARLES	INVESCO BALANCED-RISK ALLOCATION-C	0.00	26.78	0.00	26.78	48.0	12.85
04/01/2018	DODD, AIMEE	INVESCO BALANCED-RISK ALLOCATION-C	0.00	57.43	0.00	57.43	48.0	27.57
04/01/2018	WHISTLER, ROBERT	INVESCO DIV INC 00142F519	0.00	18.28	0.00	18.28	48.0	8.77
04/01/2018	WHISTLER, ROBERT	INVESCO GLOBAL HEALTH CARE C	0.00	6.81	0.00	6.81	48.0	3.27
04/01/2018	WHISTLER, ROBERT	INVESCO MID CAP GROWTH FUND - CLASS	0.00	5.59	0.00	5.59	48.0	2.68
04/04/2018	WARD, SHERRY	PIMCO INCOME FUND C	0.00	2.45	0.00	2.45	48.0	1.18
04/04/2018	WARD, SHERRY	PIMCO INCOME FUND C	0.00	6.38	0.00	6.38	48.0	3.06
04/04/2018	MASHBURN, PHYLLIS	PIMCO INCOME FUND C	0.00	0.21	0.00	0.21	48.0	0.10

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/04/2018	MASHBURN, PHYLLIS	PIMCO INCOME FUND C	0.00	0.55	0.00	0.55	48.0	0.26
/ /	BONGIORNO, JANET	RYDEX BIOTECHNOLOGY A	0.00	0.04	0.00	0.04	48.0	0.02
/ /	BONGIORNO, JANET	RYDEX GUGG REAL ESTATE A	0.00	0.09	0.00	0.09	48.0	0.04
/ /	BONGIORNO, JANET	RYDEX GUGGENHEIM UTILITIES A	0.00	0.07	0.00	0.07	48.0	0.03
/ /	BONGIORNO, JANET	RYDEX HEALTH CARE-A	0.00	0.05	0.00	0.05	48.0	0.02
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$269.06	\$0.00	\$269.06		\$129.13
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
04/02/2018	BARTON, SUSAN	PAC LIFE PACIFIC CHOICE	0.00	3,177.50	0.00	3,177.50	48.0	1,525.20
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$3,177.50	\$0.00	\$3,177.50		\$1,525.20
*** DIRECT TRANSACTIONS TOTAL ***			\$600.00	\$3,463.94	\$0.00	\$3,463.94		\$1,662.67

BROKER COMMISSION TOTALS

Broker Transactions	\$1,662.67
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

Check Amount	\$1,662.67
Year-to-date Gross	\$40,578.58
Year-to-date Earnings	\$19,446.37

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