

All Companies
STATEMENT
June 20, 2018

NICK DREW
12721 Sawmill Rd Suite 105
SUITE 105
The Woodlands, TX 77380

BROKER #: 169
BRANCH:

COMMISSION STATEMENT for NICK DREW

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | POSTAGE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|---------------------------------------|--------------|-------------------|-------------------------------------|---------------------|------|---------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | | |
| 04/30/2018 | #01433683800 | SAILCHOLL | FA 529 EQUITY GROWTH PORT-CL A | 150.00 | 5.63 | 95.0 | 0.00 | 5.35 | 5.35 |
| 05/01/2018 | #03900207205 | KATE ASHLEY | FA 529 DIV. INTERNATIONAL | 50.00 | 0.50 | 95.0 | 0.00 | 0.48 | 0.48 |
| 05/01/2018 | #03900207204 | KATE ASHLEY | FA 529 DIV. INTERNATIONAL | 50.00 | 0.50 | 95.0 | 0.00 | 0.48 | 0.48 |
| 05/01/2018 | #03900207203 | KATE ASHLEY | FA 529 DIV. INTERNATIONAL | 50.00 | 0.50 | 95.0 | 0.00 | 0.48 | 0.48 |
| 05/01/2018 | #03900207202 | KATE ASHLEY | FA 529 DIV. INTERNATIONAL | 50.00 | 0.50 | 95.0 | 0.00 | 0.48 | 0.48 |
| 05/01/2018 | #01489928364 | MORGAMONT | FA 529 NEW INSIGHTS PORT-CL C | 100.00 | 1.00 | 95.0 | 0.00 | 0.95 | 0.95 |
| 05/01/2018 | #01489928307 | MORGAMONT | FA 529 NEW INSIGHTS PORT-CL C | 100.00 | 1.00 | 95.0 | 0.00 | 0.95 | 0.95 |
| 05/01/2018 | #01482268297 | WHITE, JESSE | FA 529 NEW INSIGHTS PORT-CL C | 50.00 | 0.50 | 95.0 | 0.00 | 0.48 | 0.48 |
| 05/01/2018 | #01482268271 | WHITE, JESSE | FA 529 NEW INSIGHTS PORT-CL C | 50.00 | 0.50 | 95.0 | 0.00 | 0.48 | 0.48 |
| 05/01/2018 | #01482268248 | WHITE, JESSE | FA 529 NEW INSIGHTS PORT-CL C | 50.00 | 0.50 | 95.0 | 0.00 | 0.48 | 0.48 |
| 05/01/2018 | #01475342802 | HOPPERS, | FA 529 NEW INSIGHTS PORT-CL C | 200.00 | 2.00 | 95.0 | 0.00 | 1.90 | 1.90 |
| 05/01/2018 | #01474968060 | MORGAN, TIFFANY | FA 529 NEW INSIGHTS PORT-CL C | 100.00 | 1.00 | 95.0 | 0.00 | 0.95 | 0.95 |
| 05/01/2018 | #01467787535 | RAYBURN, | FA 529 NEW INSIGHTS PORT-CL C | 50.00 | 0.50 | 95.0 | 0.00 | 0.48 | 0.48 |
| 05/01/2018 | #01462130194 | CRASSMELI | FA 529 NEW INSIGHTS PORT-CL C | 200.00 | 2.00 | 95.0 | 0.00 | 1.90 | 1.90 |
| 05/01/2018 | #01490487806 | BYERS, JUSTIN | FIDELITY GROWTH OP | 50.00 | 0.50 | 95.0 | 0.00 | 0.48 | 0.48 |
| 05/01/2018 | #00073658761 | STOVALL, BLAKE | THE GROWTH FUND OF AMERICA-529A | 600.00 | 9.60 | 95.0 | 0.00 | 9.12 | 9.12 |
| 05/02/2018 | # | SMITH, SHARON | FIDELITY ADVISOR INTL SMALL CAP INS | 2,577.31 | 0.00 | 95.0 | 0.00 | 0.00 | -20.00 |
| 05/02/2018 | # | SMITH, SHARON | FIDELITY ADVISOR INTL SMALL CAP INS | 55,468.60 | 0.00 | 95.0 | 0.00 | 0.00 | 0.00 |
| 05/02/2018 | # | SMITH, SHARON | NUVEEN INTERNATIONAL GROWTH FUND CL | 55,000.00 | 0.00 | 95.0 | 0.00 | 0.00 | 0.00 |
| 05/07/2018 | # | KARBER, JEANNIE | FIDELITY ADVISOR INTL SMALL CAP INS | 197,642.11 | 0.00 | 95.0 | 0.00 | 0.00 | 0.00 |
| 05/08/2018 | # | REDDICK, MICHELLE | FIDELITY ADVISOR INTL SMALL CAP INS | 39,107.04 | 0.00 | 95.0 | 0.00 | 0.00 | 0.00 |
| 05/08/2018 | # | | NUVEEN FLAGSHIP MUN TR HIGH YIELD M | 24,000.00 | 0.00 | 95.0 | 0.00 | 0.00 | 0.00 |
| 05/08/2018 | # | REDDICK, MICHELLE | NUVEEN INTERNATIONAL GROWTH FUND CL | 70,000.00 | 0.00 | 95.0 | 0.00 | 0.00 | 0.00 |
| 05/15/2018 | #01446906354 | SCHLANSE, | FA 529 EQUITY GROWTH PORT-CL A | 50.00 | 1.50 | 95.0 | 0.00 | 1.43 | 1.43 |
| 05/15/2018 | #01486464421 | VINEYARD, | FA 529 NEW INSIGHTS PORT-CL C | 250.00 | 2.50 | 95.0 | 0.00 | 2.38 | 2.38 |
| 05/15/2018 | #01484284672 | CRASSMELI | FA 529 NEW INSIGHTS PORT-CL C | 200.00 | 2.00 | 95.0 | 0.00 | 1.90 | 1.90 |
| 05/15/2018 | #01481917423 | SCHLANSE, | FA 529 NEW INSIGHTS PORT-CL C | 50.00 | 0.50 | 95.0 | 0.00 | 0.48 | 0.48 |
| 05/15/2018 | #01475344956 | HOPPEJON | FA 529 NEW INSIGHTS PORT-CL C | 200.00 | 2.00 | 95.0 | 0.00 | 1.90 | 1.90 |

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|---|---------------------|---|----------------------|---------------------|------|---------------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | | |
| 05/15/2018 | #01467602163 | ADDICKS, FA 529 NEW INSIGHTS PORT-CL C | 250.00 | 2.50 | 95.0 | 0.00 | 2.38 | 0.00 | 2.38 |
| 05/15/2018 | #01466752647 | ADDICKS, FA 529 NEW INSIGHTS PORT-CL C | 250.00 | 2.50 | 95.0 | 0.00 | 2.38 | 0.00 | 2.38 |
| 06/01/2018 | #00073658761 | STOVALL, BLAKE NEW PERSPECTIVE FUND-529A | 600.00 | 12.00 | 95.0 | 0.00 | 11.40 | 0.00 | 11.40 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$447,545.06 | \$52.23 | | \$0.00 | \$49.69 | \$20.00 | \$29.69 |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | | |
| 05/08/2018 | # REDDICK, MICHELLE | ISHARES TRUST DOW JONES US AEROSPAC | 19,389.06 | 0.00 | 75.0 | 0.00 | 0.00 | 0.00 | 0.00 |
| 05/08/2018 | # REDDICK, MICHELLE | POWERSHARES EXCHAN CEF INCOM COMPOS | 22,985.00 | 0.00 | 75.0 | 0.00 | 0.00 | 0.00 | 0.00 |
| 05/08/2018 | # REDDICK, MICHELLE | POWERSHARES EXCHANGE TRADED FD | 15,612.70 | 0.00 | 75.0 | 0.00 | 0.00 | 0.00 | 0.00 |
| 05/16/2018 | # SHOAFF, JOHN | ISHARES U S OIL EQUIPMENT & SERVICE | 8,424.17 | 0.00 | 75.0 | 0.00 | 0.00 | 0.00 | 0.00 |
| * STOCKS SUBTOTAL * | | | \$66,410.93 | \$0.00 | | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 05/07/2018 | #01473861464 | FA 529 DIV. INTERNATIONAL | 0.00 | 1.74 | 95.0 | 0.00 | 1.65 | 0.00 | 1.65 |
| 05/07/2018 | #00517292975 | VINEYARD, FA 529 DIVERSIFIED INTL PORT-CL A | 0.00 | 4.98 | 95.0 | 0.00 | 4.73 | 0.00 | 4.73 |
| 05/07/2018 | #00517292975 | VINEYARD, FA 529 DIVIDEND GROWTH PORT-CL A | 0.00 | 9.85 | 95.0 | 0.00 | 9.36 | 0.00 | 9.36 |
| 05/07/2018 | #01447784933 | BEDORE, FA 529 DIVIDEND GROWTH PORT-CL A | 0.00 | 11.68 | 95.0 | 0.00 | 11.10 | 0.00 | 11.10 |
| 05/07/2018 | #01433683800 | SAILCHOLL FA 529 EQUITY GROWTH PORT-CL A | 0.00 | 13.43 | 95.0 | 0.00 | 12.76 | 0.00 | 12.76 |
| 05/07/2018 | #01446906354 | SCHLANSER, FA 529 EQUITY GROWTH PORT-CL A | 0.00 | 1.52 | 95.0 | 0.00 | 1.44 | 0.00 | 1.44 |
| 05/07/2018 | #01473861464 | FA 529 INFLATION PROTECTED BD PORT- | 0.00 | 2.87 | 95.0 | 0.00 | 2.73 | 0.00 | 2.73 |
| 05/07/2018 | #01466752647 | ADDICKS, FA 529 INTERMED BOND PORT-CL A | 0.00 | 0.37 | 95.0 | 0.00 | 0.35 | 0.00 | 0.35 |
| 05/07/2018 | #00517292975 | VINEYARD, FA 529 MID CAP PORT-CL A | 0.00 | 2.75 | 95.0 | 0.00 | 2.61 | 0.00 | 2.61 |
| 05/07/2018 | #00517624490 | BROWN, FA 529 NEW INSIGHTS PORT-CL A | 0.00 | 34.86 | 95.0 | 0.00 | 33.12 | 0.00 | 33.12 |
| 05/07/2018 | #01447651777 | MCELHOE, BENE FA 529 NEW INSIGHTS PORT-CL A | 0.00 | 4.46 | 95.0 | 0.00 | 4.24 | 0.00 | 4.24 |
| 05/07/2018 | #01453112920 | MATHEANGE FA 529 NEW INSIGHTS PORT-CL A | 0.00 | 2.29 | 95.0 | 0.00 | 2.18 | 0.00 | 2.18 |
| 05/07/2018 | #01453145300 | MATHEANGE FA 529 NEW INSIGHTS PORT-CL A | 0.00 | 2.29 | 95.0 | 0.00 | 2.18 | 0.00 | 2.18 |
| 05/07/2018 | #01462130194 | CRASSMELI FA 529 NEW INSIGHTS PORT-CL A | 0.00 | 0.70 | 95.0 | 0.00 | 0.67 | 0.00 | 0.67 |
| 05/07/2018 | #01466752647 | ADDICKS, FA 529 NEW INSIGHTS PORT-CL A | 0.00 | 1.37 | 95.0 | 0.00 | 1.30 | 0.00 | 1.30 |
| 05/07/2018 | #01467602163 | ADDICKS, FA 529 NEW INSIGHTS PORT-CL A | 0.00 | 0.39 | 95.0 | 0.00 | 0.37 | 0.00 | 0.37 |
| 05/07/2018 | #01467787535 | RAYBURN, FA 529 NEW INSIGHTS PORT-CL A | 0.00 | 2.46 | 95.0 | 0.00 | 2.34 | 0.00 | 2.34 |
| 05/07/2018 | #01483572945 | RAYBURN, FA 529 NEW INSIGHTS PORT-CL A | 0.00 | 0.26 | 95.0 | 0.00 | 0.25 | 0.00 | 0.25 |
| 05/07/2018 | #01453112920 | MATHEANGE FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 7.47 | 95.0 | 0.00 | 7.10 | 0.00 | 7.10 |
| 05/07/2018 | #01453145300 | MATHEANGE FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 7.47 | 95.0 | 0.00 | 7.10 | 0.00 | 7.10 |
| 05/07/2018 | #01462130194 | CRASSMELI FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 11.35 | 95.0 | 0.00 | 10.78 | 0.00 | 10.78 |
| 05/07/2018 | #01466752647 | ADDICKS, FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 7.41 | 95.0 | 0.00 | 7.04 | 0.00 | 7.04 |
| 05/07/2018 | #01467602163 | ADDICKS, FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 11.86 | 95.0 | 0.00 | 11.27 | 0.00 | 11.27 |

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|---|------------------------------|------------------------------------|----------------------|---------------------|------|---------------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 05/07/2018 | #01467787535 RAYBURN, | FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 2.84 | 95.0 | 0.00 | 2.70 | 0.00 | 2.70 |
| 05/07/2018 | #01473861464 | FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 3.74 | 95.0 | 0.00 | 3.55 | 0.00 | 3.55 |
| 05/07/2018 | #01474968060 MORGAN, TIFFANY | FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 6.36 | 95.0 | 0.00 | 6.04 | 0.00 | 6.04 |
| 05/07/2018 | #01475342802 HOPPERS, | FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 9.64 | 95.0 | 0.00 | 9.16 | 0.00 | 9.16 |
| 05/07/2018 | #01475344956 HOPPEJON | FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 11.72 | 95.0 | 0.00 | 11.13 | 0.00 | 11.13 |
| 05/07/2018 | #01481917423 SCHLANSE, | FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 1.52 | 95.0 | 0.00 | 1.44 | 0.00 | 1.44 |
| 05/07/2018 | #01482268248 WHITE, JESSE | FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 18.31 | 95.0 | 0.00 | 17.39 | 0.00 | 17.39 |
| 05/07/2018 | #01482268271 WHITE, JESSE | FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 1.43 | 95.0 | 0.00 | 1.36 | 0.00 | 1.36 |
| 05/07/2018 | #01482268297 WHITE, JESSE | FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 1.43 | 95.0 | 0.00 | 1.36 | 0.00 | 1.36 |
| 05/07/2018 | #01484284672 CRASSMELI | FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 4.53 | 95.0 | 0.00 | 4.30 | 0.00 | 4.30 |
| 05/07/2018 | #01486464421 VINEYARD, | FA 529 NEW INSIGHTS PORT-CL C | 0.00 | 7.98 | 95.0 | 0.00 | 7.58 | 0.00 | 7.58 |
| 05/07/2018 | #01473861464 | FA 529 SMALL CAP PORTFOLIO - CLASS | 0.00 | 1.91 | 95.0 | 0.00 | 1.81 | 0.00 | 1.81 |
| 05/07/2018 | #01447608090 MCELHOE, BENE | FMR 31580R509 | 0.00 | 10.10 | 95.0 | 0.00 | 9.60 | 0.00 | 9.60 |
| 05/07/2018 | #01447651777 MCELHOE, BENE | FMR 31580R509 | 0.00 | 6.26 | 95.0 | 0.00 | 5.95 | 0.00 | 5.95 |
| 05/09/2018 | # | DAIN TRAILER | 0.00 | 5.11 | 95.0 | 0.00 | 4.85 | 0.00 | 4.85 |
| 05/09/2018 | # BEDORE, ROBERT | DAIN TRAILER | 0.00 | 1.94 | 95.0 | 0.00 | 1.84 | 0.00 | 1.84 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$238.65 | | \$0.00 | \$226.73 | \$0.00 | \$226.73 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$513,955.99 | \$290.88 | | \$0.00 | \$276.42 | \$20.00 | \$256.42 |

ADJUSTMENTS

| | | |
|----------------------------------|----------------------------------|------------------|
| 06/20/2018 | E & O INSURANCE: E & O INSURANCE | -179.00 |
| 06/20/2018 | ADMIN FEE: ADMIN FEE | -390.00 |
| 06/20/2018 | FEDEX: FEDEX NATIONWIDE 5/16 | -12.07 |
| *** ADJUSTMENTS TOTAL *** | | \$-581.07 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-----------|
| Broker Transactions | \$256.42 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-581.07 |
| 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 | \$-324.65 |
|------------------------|------------------|