

All Companies  
**STATEMENT**  
**April 20, 2018**

JEFF - TERMINATED HEADRICK  
3214 Tazewell Pike Suite 1

BROKER #: 163  
BRANCH:

Knoxville, TN 37918

COMMISSION STATEMENT for JEFF - TERMINATED HEADRICK

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

02/26/2018	#00086947739	ROBERTS,	AMERICAN BALANCED FUND-529A	50.00	2.13	94.0	0.00	2.00	0.00	2.00
02/26/2018	#00086947755	ROBERTS,	AMERICAN BALANCED FUND-529A	50.00	2.13	94.0	0.00	2.00	0.00	2.00
02/26/2018	#00082027966	STANIFER, BRIAN	CAPITAL INCOME BUILDER FD CL A	50.00	2.50	94.0	0.00	2.35	0.00	2.35
02/26/2018	#00073019641	DISHNER,	CAPITAL WORLD GROWTH AND INCOME-529	50.00	1.88	94.0	0.00	1.77	0.00	1.77
03/07/2018	#00069217595	ROBERTS,	AMERICAN BALANCED FUND-529A	50.00	2.13	94.0	0.00	2.00	0.00	2.00
03/07/2018	#00069217597	ROBERTS,	AMERICAN BALANCED FUND-529A	50.00	2.13	94.0	0.00	2.00	0.00	2.00
03/15/2018	#00087004650	MERRIMAN,	CAPITAL INCOME BUILDER FD CL A	50.00	2.50	94.0	0.00	2.35	0.00	2.35
03/19/2018	#00075342200	ROBERTS,	AMERICAN BALANCED FUND-529A	50.00	2.13	94.0	0.00	2.00	0.00	2.00
03/26/2018	#00086947739	ROBERTS,	AMERICAN BALANCED FUND-529A	50.00	2.13	94.0	0.00	2.00	0.00	2.00
03/26/2018	#00086947755	ROBERTS,	AMERICAN BALANCED FUND-529A	50.00	2.13	94.0	0.00	2.00	0.00	2.00
03/26/2018	#00082027966	STANIFER, BRIAN	CAPITAL INCOME BUILDER FD CL A	50.00	2.50	94.0	0.00	2.35	0.00	2.35
03/26/2018	#00075765433	DISHNER, ALEXA	CAPITAL WORLD GROWTH AND INCOME-529	50.00	1.88	94.0	0.00	1.77	0.00	1.77
* MUTUAL FUNDS SUBTOTAL *				<b>\$600.00</b>	<b>\$26.17</b>		<b>\$0.00</b>	<b>\$24.59</b>	<b>\$0.00</b>	<b>\$24.59</b>

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/01/2018	#00068718506	BULLOCK, DONNA	AMERICAN BALANCED FUND INC CLASS A	0.00	10.42	94.0	0.00	9.79	0.00	9.79
03/01/2018	#00068718507	BULLOCK, PARIS	AMERICAN BALANCED FUND INC CLASS A	0.00	10.58	94.0	0.00	9.95	0.00	9.95
03/01/2018	#00068500106	HARRIS, MALLORY	AMERICAN BALANCED FUND-529A	0.00	2.81	94.0	0.00	2.64	0.00	2.64
03/01/2018	#00069217595	ROBERTS,	AMERICAN BALANCED FUND-529A	0.00	3.53	94.0	0.00	3.32	0.00	3.32
03/01/2018	#00069217597	ROBERTS,	AMERICAN BALANCED FUND-529A	0.00	4.70	94.0	0.00	4.42	0.00	4.42
03/01/2018	#00073992451	HENDERSON, JACK	AMERICAN BALANCED FUND-529A	0.00	1.42	94.0	0.00	1.33	0.00	1.33
03/01/2018	#00075264474	KURZ, KERRY	AMERICAN BALANCED FUND-529A	0.00	1.30	94.0	0.00	1.22	0.00	1.22
03/01/2018	#00075342200	ROBERTS,	AMERICAN BALANCED FUND-529A	0.00	3.71	94.0	0.00	3.49	0.00	3.49
03/01/2018	#00086947739	ROBERTS,	AMERICAN BALANCED FUND-529A	0.00	2.21	94.0	0.00	2.08	0.00	2.08
03/01/2018	#00086947755	ROBERTS,	AMERICAN BALANCED FUND-529A	0.00	2.21	94.0	0.00	2.08	0.00	2.08
03/01/2018	#00086052216	KNIGHT, CLAYTON	AMERICAN FUNDS 2030 TARGET DATE-A	0.00	17.53	94.0	0.00	16.48	0.00	16.48
03/01/2018	#00073103103	WESSON, JOHN	AMERICAN FUNDS INCOME SERIES U S GO	0.00	2.07	94.0	0.00	1.95	0.00	1.95
03/01/2018	#00086050183	FOX, EDWARD	AMERICAN FUNDS TARGET DATE RETIREME	0.00	1.44	94.0	0.00	1.35	0.00	1.35

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
03/01/2018	#00086969821	MCMILLAN, DARIN	CAPITAL INCOME BLDR FUND CL C	0.00	44.79	94.0	0.00	42.10	42.10
03/01/2018	#00073451748	THOMAS, CYNTHIA	CAPITAL INCOME BUILDER FD CL A	0.00	2.69	94.0	0.00	2.53	2.53
03/01/2018	#00074706995	SPURLOCK,	CAPITAL INCOME BUILDER FD CL A	0.00	2.17	94.0	0.00	2.04	2.04
03/01/2018	#00075151781	WESSON, JOHN	CAPITAL INCOME BUILDER FD CL A	0.00	0.03	94.0	0.00	0.03	0.03
03/01/2018	#00082027966	STANIFER, BRIAN	CAPITAL INCOME BUILDER FD CL A	0.00	9.39	94.0	0.00	8.83	8.83
03/01/2018	#00083809336	FIELDEN,	CAPITAL INCOME BUILDER FD CL A	0.00	6.16	94.0	0.00	5.79	5.79
03/01/2018	#00086973073	HAMES, SCOTT	CAPITAL INCOME BUILDER FD CL A	0.00	1.40	94.0	0.00	1.32	1.32
03/01/2018	#00086973081	HAMES, NICHOLAS	CAPITAL INCOME BUILDER FD CL A	0.00	1.21	94.0	0.00	1.14	1.14
03/01/2018	#00087004650	MERRIMAN,	CAPITAL INCOME BUILDER FD CL A	0.00	2.78	94.0	0.00	2.61	2.61
03/01/2018	#00069217595	ROBERTS,	CAPITAL WORLD BOND FUND-529A	0.00	2.10	94.0	0.00	1.97	1.97
03/01/2018	#00069217597	ROBERTS,	CAPITAL WORLD BOND FUND-529A	0.00	3.09	94.0	0.00	2.90	2.90
03/01/2018	#00075342200	ROBERTS,	CAPITAL WORLD BOND FUND-529A	0.00	2.52	94.0	0.00	2.37	2.37
03/01/2018	#00085619576	ELLIS, PHILLIP	CAPITAL WORLD BOND FUND-529A	0.00	0.34	94.0	0.00	0.32	0.32
03/01/2018	#00085619609	ELLIS, PHILLIP	CAPITAL WORLD BOND FUND-529A	0.00	0.34	94.0	0.00	0.32	0.32
03/01/2018	#00086969821	MCMILLAN, DARIN	CAPITAL WORLD BOND FUND-C	0.00	38.14	94.0	0.00	35.85	35.85
03/01/2018	#00073544978	LOVE, LEWIS	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	0.41	94.0	0.00	0.39	0.39
03/01/2018	#00075151781	WESSON, JOHN	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	0.03	94.0	0.00	0.03	0.03
03/01/2018	#00073544978	LOVE, LEWIS	CAPITAL WORLD GROWTH & INCOME FUND	0.00	0.88	94.0	0.00	0.83	0.83
03/01/2018	#00075151781	WESSON, JOHN	CAPITAL WORLD GROWTH & INCOME FUND	0.00	0.10	94.0	0.00	0.09	0.09
03/01/2018	#00073019641	DISHNER,	CAPITAL WORLD GROWTH AND INCOME-529	0.00	5.92	94.0	0.00	5.56	5.56
03/01/2018	#00075765433	DISHNER, ALEXA	CAPITAL WORLD GROWTH AND INCOME-529	0.00	5.92	94.0	0.00	5.56	5.56
03/01/2018	#00083113709	DISHNER, ALEXA	CAPITAL WORLD GROWTH AND INCOME-529	0.00	10.81	94.0	0.00	10.16	10.16
03/01/2018	#00075151781	WESSON, JOHN	EURO PACIFIC GROWTH FUND CLASS A	0.00	0.10	94.0	0.00	0.09	0.09
03/01/2018	#00073019641	DISHNER,	EUROPACIFIC GROWTH FUND-529A	0.00	6.34	94.0	0.00	5.96	5.96
03/01/2018	#00075765433	DISHNER, ALEXA	EUROPACIFIC GROWTH FUND-529A	0.00	3.60	94.0	0.00	3.38	3.38
03/01/2018	#00068677867	HARRIS, JOHN	GROWTH FUND AMERICA INC CLASS A	0.00	6.64	94.0	0.00	6.24	6.24
03/01/2018	#00073544978	LOVE, LEWIS	GROWTH FUND AMERICA INC CLASS A	0.00	0.68	94.0	0.00	0.64	0.64
03/01/2018	#00087022422	HANRAHAN,	INCOME PORTFOLIO-C	0.00	0.69	94.0	0.00	0.65	0.65
03/01/2018	#00075151781	WESSON, JOHN	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.02	94.0	0.00	0.02	0.02
03/01/2018	#00087022422	HANRAHAN,	PRESERVATION PORTFOLIO-C	0.00	1.79	94.0	0.00	1.68	1.68
03/01/2018	#00085619576	ELLIS, PHILLIP	SHORT-TERM BOND FUND OF AMERICA-529	0.00	0.32	94.0	0.00	0.30	0.30
03/01/2018	#00085619609	ELLIS, PHILLIP	SHORT-TERM BOND FUND OF AMERICA-529	0.00	0.32	94.0	0.00	0.30	0.30
03/01/2018	#00083809336	FIELDEN,	SHORT-TERM BOND FUND OF AMERICA-A	0.00	1.28	94.0	0.00	1.20	1.20
03/01/2018	#00073544978	LOVE, LEWIS	SMALLCAP WORLD FUND INC CLASS A	0.00	0.86	94.0	0.00	0.81	0.81
03/01/2018	#00068500106	HARRIS, MALLORY	THE GROWTH FUND OF AMERICA-529A	0.00	3.50	94.0	0.00	3.29	3.29
03/01/2018	#00073019641	DISHNER,	THE GROWTH FUND OF AMERICA-529A	0.00	7.39	94.0	0.00	6.95	6.95

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/01/2018 #00075765433 DISHNER, ALEXA	THE GROWTH FUND OF AMERICA-529A	0.00	4.83	94.0	0.00	4.54	0.00	4.54
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$243.51		\$0.00	\$228.89	\$0.00	\$228.89
*** BROKER TRANSACTIONS TOTAL ***		\$600.00	\$269.68		\$0.00	\$253.48	\$0.00	\$253.48

BROKER COMMISSION TOTALS

Broker Transactions	\$253.48
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	\$253.48
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