

All Companies  
**STATEMENT**  
August 20, 2018

LEE THOMAS  
530 WESTOVER DR

BROKER #: 056  
BRANCH: LA BRANCH

ROXBORO, NC 27573-

COMMISSION STATEMENT for LEE THOMAS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

07/16/2018 #04000777216	KELLEY, KENLEY	THE GROWTH FUND OF AMERICA-529A	B	50.00	2.50	0.00	0.00	2.50	75.0	1.88
* MUTUAL FUNDS SUBTOTAL *				\$50.00	\$2.50	\$0.00	\$0.00	\$2.50		\$1.88

PRODUCT CATEGORY: STOCKS

07/20/2018 #	JAMES, KELLY	SECTOR SPDR TRUST	S	6,935.01	105.00	19.95	0.00	85.05	75.0	63.79
07/20/2018 #	JAMES, JOHN	SECTOR SPDR TRUST	S	9,699.31	171.57	19.95	0.00	151.62	75.0	113.72
07/20/2018 #	JAMES, JOHN	SELECT SECTOR SPDR FUND	S	9,354.02	190.82	19.95	0.00	170.87	75.0	128.15
07/20/2018 #	JAMES, KELLY	SPDR SERIES TRUST S&P HEALTH CARE S B	S B	7,141.78	105.00	19.95	0.00	85.05	75.0	63.79
07/20/2018 #	JAMES, JOHN	SPDR SERIES TRUST S&P HEALTH CARE S B	S B	21,427.62	315.00	19.95	0.00	295.05	75.0	221.29
07/27/2018 #	GLENN, JOHNATHAN	BIOCRYST PHARMACEUTICALS INC	S	1,582.74	79.14	19.95	0.00	59.19	75.0	44.39
07/27/2018 #	GLENN, JOHNATHAN	CHIMERIX INC	S	4,452.20	196.29	19.95	0.00	176.34	75.0	132.26
07/27/2018 #	LENNON, CYNTHIA	SECTOR SPDR TRUST	S	11,422.80	194.99	19.95	0.00	175.04	75.0	131.28
07/27/2018 #	LENNON, CYNTHIA	SELECT SECTOR SPDR FUND	S	5,953.10	105.00	19.95	0.00	85.05	75.0	63.79
* STOCKS SUBTOTAL *				\$77,968.58	\$1,462.81	\$179.55	\$0.00	\$1,283.26		\$962.46

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

07/11/2018 #	GIBSON, JOHN	DAIN TRAILER	B	0.00	0.88	0.00	0.00	0.88	75.0	0.66
07/11/2018 #	GIBSON, JOHN	DAIN TRAILER	B	0.00	2.08	0.00	0.00	2.08	75.0	1.56
07/11/2018 #	KNIGHT GIBSON, NANCY	DAIN TRAILER	B	0.00	2.26	0.00	0.00	2.26	75.0	1.70
07/11/2018 #	GRAY, SUSAN	DAIN TRAILER	B	0.00	0.55	0.00	0.00	0.55	75.0	0.41
07/11/2018 #	GRAY, SUSAN	DAIN TRAILER	B	0.00	2.48	0.00	0.00	2.48	75.0	1.86
07/11/2018 #	WICKER, KEVIN	DAIN TRAILER	B	0.00	1.25	0.00	0.00	1.25	75.0	0.94
07/11/2018 #		DAIN TRAILER	B	0.00	0.01	0.00	0.00	0.01	75.0	0.01
07/11/2018 #		DAIN TRAILER	B	0.00	5.17	0.00	0.00	5.17	75.0	3.88
07/11/2018 #	HAWKINS, DORIS	DAIN TRAILER	B	0.00	3.78	0.00	0.00	3.78	75.0	2.84
07/11/2018 #	NICHOLS, WILLIAM	DAIN TRAILER	B	0.00	8.24	0.00	0.00	8.24	75.0	6.18
07/11/2018 #	NICHOLS, WILLIAM	DAIN TRAILER	B	0.00	4.22	0.00	0.00	4.22	75.0	3.17
07/11/2018 #	THOMAS, BETTY	DAIN TRAILER	B	0.00	2.71	0.00	0.00	2.71	75.0	2.03
07/11/2018 #	THOMAS, BETTY	DAIN TRAILER	B	0.00	1.72	0.00	0.00	1.72	75.0	1.29
07/11/2018 #	GLENN, JOHNATHAN	DAIN TRAILER	B	0.00	0.11	0.00	0.00	0.11	75.0	0.08
07/11/2018 #	GLENN, JOHNATHAN	DAIN TRAILER	B	0.00	2.88	0.00	0.00	2.88	75.0	2.16
07/11/2018 #	GLENN, JOHNATHAN	DAIN TRAILER	B	0.00	1.98	0.00	0.00	1.98	75.0	1.49

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

07/11/2018 # JAMES, KELLY	DAIN TRAILER	B	0.00	1.86	0.00	0.00		1.86	75.0	1.40
07/27/2018 # GLENN, JOHNATHAN	DAIN TRAILER	B	5,750.00	287.50	0.00	0.00		287.50	75.0	215.63
07/27/2018 # LENNON, CYNTHIA	DAIN TRAILER	B	17,000.00	850.00	0.00	0.00		850.00	75.0	637.50
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$22,750.00	\$1,179.68	\$0.00	\$0.00	\$1,179.68		\$884.79
*** BROKER TRANSACTIONS TOTAL ***				\$100,768.58	\$2,644.99	\$179.55	\$0.00	\$2,465.44		\$1,849.13

ADJUSTMENTS

08/20/2018	ADMIN FEE: ADMIN FEE									-390.00
08/20/2018	E & O INSURANCE: E & O INSURANCE									-179.00
08/20/2018	FEDEX: FEDEX LPL FINANCIAL									-6.74
08/20/2018	FEDEX: FEDEX LPL FINANCIAL									-6.76
*** ADJUSTMENTS TOTAL ***										\$-582.50

BROKER COMMISSION TOTALS

Broker Transactions	\$1,849.13
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-582.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-302.21
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount \$964.42