

COMMISSION STATEMENT

May 15, 2018

RANDY SMITH-D061

BROKER #: D061

BRANCH: DMA

, TX

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUNDS									
04/24/2018 (None)	GARTIN, ROBERT	MF OPPENHEIMER	B	0.00	3.00	0.00	3.00	50.0	1.50
04/24/2018 (None)	GARTIN, ROBERT	MF OPPENHEIMER	B	0.00	3.00	0.00	3.00	50.0	1.50
04/10/2018 000000008958389	STRATHDEE,	MF MUTUAL DISC FND - CL A	B	105.00	5.25	0.00	5.25	50.0	2.63
04/25/2018 000005870019840	CAROL	MF TEMP GLOBAL SM CO FND - CL A	B	30.00	1.50	0.00	1.50	50.0	0.75
04/10/2018 000015815515075	STRATHDEE,	MF FRANKLIN RISING DIVIDENDS FD	B	245.00	12.25	0.00	12.25	50.0	6.13
04/10/2018 000060177858580	STRATHDEE,	MF FRANKLIN GROWTH FUND CLASS A	B	350.00	17.38	0.00	17.38	50.0	8.69
05/07/2018 000580111489	FOSTER, EMILIE	MF CAPITAL WORLD GROWTH AND INCOME	B	4,791.25	95.83	0.00	95.83	50.0	47.92
05/03/2018 00068681036	MURPHY, DEBORAH	MF THE NEW ECONOMY FUND-A	B	75.00	3.19	0.00	3.19	50.0	1.60
05/03/2018 00068681036	MURPHY, DEBORAH	MF WASHINGTON MUTUAL INVESTORS	B	75.00	3.19	0.00	3.19	50.0	1.60
04/25/2018 00075390701	MURPHY, DEBORAH	MF INTERMEDIATE BOND FUND OF	B	1,000.00	20.00	0.00	20.00	50.0	10.00
04/25/2018 00075396784	CASTANEDA, SANDRA	MF THE GROWTH FUND OF AMERICA-A	B	70.00	1.40	0.00	1.40	50.0	0.70
04/25/2018 00083359485	SCHLESSIGER,	MF AMERICAN BALANCED FUND-A	B	50.00	2.50	0.00	2.50	50.0	1.25
04/25/2018 00083485924	SCHLESSIGER,	MF AMERICAN BALANCED FUND-A	B	50.00	2.50	0.00	2.50	50.0	1.25
04/25/2018 00083949478	LIMON, ELIZABETH	MF AMERICAN BALANCED FUND-A	B	160.00	3.20	0.00	3.20	50.0	1.60
04/25/2018 00083949478	LIMON, ELIZABETH	MF AMERICAN BALANCED FUND-A	B	160.00	3.20	0.00	3.20	50.0	1.60
04/25/2018 00084366836	MENDOZA, SANDRA	MF AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
04/25/2018 00084366836	MENDOZA, SANDRA	MF AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
04/30/2018 00086507215	TRAPP, ANDREA	MF AMERICAN BALANCED FUND-A	B	100.00	4.25	0.00	4.25	50.0	2.13
04/25/2018 00087364129	DORER, SONIA	MF AMERICAN BALANCED FUND-A	B	250.00	6.88	0.00	6.88	50.0	3.44
04/25/2018 00087364129	DORER, SONIA	MF NEW PERSPECTIVE FUND-A	B	249.91	6.87	0.00	6.87	50.0	3.44
04/25/2018 00087369989	DORER, RICHARD	MF SMALLCAP WORLD FUND-A	B	500.00	13.75	0.00	13.75	50.0	6.88
04/25/2018 00087738166	JIMERFIELD,	MF AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
04/25/2018 00087738166	JIMERFIELD,	MF AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
04/27/2018 04000163744	GARZA, ALEXANDER	MF AMERICAN BALANCED FUND-A	B	100.00	5.00	0.00	5.00	50.0	2.50
04/27/2018 04000163744	GARZA, ALEXANDER	MF FUNDAMENTAL INVESTORS-A	B	50.00	2.50	0.00	2.50	50.0	1.25
04/27/2018 04000163744	GARZA, ALEXANDER	MF NEW PERSPECTIVE FUND-A	B	50.00	2.50	0.00	2.50	50.0	1.25
04/25/2018 04000631650	MARTINEZ, ELAINE	MF AMERICAN BALANCED FUND-A	B	25.00	0.50	0.00	0.50	50.0	0.25
04/25/2018 04000631650	MARTINEZ, ELAINE	MF AMERICAN BALANCED FUND-A	B	25.00	0.50	0.00	0.50	50.0	0.25
* MUTUAL FUNDS SUBTOTAL *				\$8,911.16	\$228.14	\$0.00	\$228.14		\$114.11

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PRODUCT CATEGORY: VARIABLE ANNUITIES									
04/30/2018	009062915A BROWN, SARAH	VA PERSPECTIVE	B	123,847.95	25.80	0.00	25.80	50.0	12.90
04/30/2018	1009661472 BAHAN, MARGARET	VA PERSPECTIVE II	B	124,684.83	77.93	0.00	77.93	50.0	38.97
04/30/2018	1009737665 BARICKMAN,	VA PERSPECTIVE II	B	111,056.30	69.41	0.00	69.41	50.0	34.71
04/30/2018	1013950608 BURNETT, PATRICIA	VA PERSP II 09/12	B	1,159,408.90	966.17	0.00	966.17	50.0	483.09
04/30/2018	1015646752 DORER, VALORIE	VA PERSP II 04/14	B	68,057.73	56.71	0.00	56.71	50.0	28.36
04/30/2018	1015845666 HOGAN, REBECCA	VA PERSP II 04/14	B	59,142.78	49.29	0.00	49.29	50.0	24.65
04/30/2018	1016104708 SCHROEDER, RICHARD	VA PERSP II 04/14	B	247,385.39	206.15	0.00	206.15	50.0	103.08
04/30/2018	1018926438 WILLIAMS, JOE	VA PERSP II 04/14	B	329,853.13	68.72	0.00	68.72	50.0	34.36
* VARIABLE ANNUITIES SUBTOTAL *				\$2,223,437.01	\$1,520.18	\$0.00	\$1,520.18		\$760.12
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
04/30/2018	(None) COUVILLION, TARI	MFT VIRTUS	B	0.00	16.15	0.00	16.15	50.0	8.08
04/30/2018	000000000326532 YARTER,	MFT FRANKLIN/TEMPLETON FUNDS	B	0.00	9.22	0.00	9.22	50.0	4.61
04/30/2018	000000008958389 STRATHDEE,	MFT MUTUAL DISC FND - CL A	B	0.00	0.75	0.00	0.75	50.0	0.38
04/30/2018	000002974467708 MICHAEL E	MFT TEMP WORLD FND - CL A	B	0.00	116.07	0.00	116.07	50.0	58.04
04/30/2018	000005870019840 CAROL	MFT TEMP GLOBAL SM CO FND - CL A	B	0.00	0.15	0.00	0.15	50.0	0.08
04/30/2018	000011626028806 CURTNER,	MFT FRANKLIN FEDERAL TAX FREE	B	0.00	2.47	0.00	2.47	50.0	1.24
04/30/2018	000015815445354 YARTER,	MFT FRANKLIN RISING DIVIDENDS FD	B	0.00	11.00	0.00	11.00	50.0	5.50
04/30/2018	000015815515075 STRATHDEE,	MFT FRANKLIN RISING DIVIDENDS FD	B	0.00	1.81	0.00	1.81	50.0	0.91
04/30/2018	000050116638666 CURTNER,	MFT FRK AGE HIGH INC FND - CL A	B	0.00	6.29	0.00	6.29	50.0	3.15
04/30/2018	000060177793581 YARTER,	MFT FRANKLIN GROWTH FUND CLASS A	B	0.00	12.20	0.00	12.20	50.0	6.10
04/30/2018	000060177858580 STRATHDEE,	MFT FRANKLIN GROWTH FUND CLASS A	B	0.00	2.59	0.00	2.59	50.0	1.30
04/30/2018	000090233306771 MEYER, RONALD	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	103.29	0.00	103.29	50.0	51.65
04/30/2018	000090234387467 MARTINEZ,	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	8.12	0.00	8.12	50.0	4.06
04/30/2018	000090239380885 YARTER,	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	6.03	0.00	6.03	50.0	3.02
05/07/2018	07001935736 CHAPTER,	MFT FEDERATED GOVT INCOME SECS, INC	B	0.00	20.82	0.00	20.82	50.0	10.41
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$316.96	\$0.00	\$316.96		\$158.53
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS									
04/04/2018	(None) HOLDER	VAT TRANSAMERICA PREMIER	B	0.00	28.84	0.00	28.84	50.0	14.42
04/05/2018	(None) HOOGE	VAT TRANSAMERICA PREMIER	B	0.00	21.96	0.00	21.96	50.0	10.98
04/09/2018	(None) HONEA	VAT TRANSAMERICA PREMIER	B	0.00	46.21	0.00	46.21	50.0	23.11
04/24/2018	(None) HONEA	VAT TRANSAMERICA PREMIER	B	0.00	68.72	0.00	68.72	50.0	34.36
04/28/2018	(None) BURNETT, PATRICIA	VAT AMERICAN GENERAL	B	0.00	482.64	0.00	482.64	50.0	241.32
05/04/2018	(None) HERAS, JUANITA	VAT MANULIFE	B	0.00	2.77	0.00	2.77	50.0	1.39
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$651.14	\$0.00	\$651.14		\$325.58
*** DIRECT TRANSACTIONS TOTAL ***				\$2,232,348.17	\$2,716.42	\$0.00	\$2,716.42		\$1,358.34

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SPLIT TRANSACTIONS

BROKER: RIX/RANDY SMITH/SMITH-D081 #80

05/07/2018	00073969963	SMITH, RONALD	MF	NEW PERSPECTIVE FUND-A	B	4,829.80	48.30	0.00	48.30	24.15
* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *						\$4,829.80	\$48.30	\$0.00	\$48.30	\$24.15
*** SPLIT TRANSACTIONS TOTAL ***						\$4,829.80	\$48.30	\$0.00	\$48.30	\$24.15

REP LINK TRANSACTIONS

BROKER: RANDY SMITH-D601 #66

04/23/2018	00086465668	MCINTIRE, JOHN	MF	NEW PERSPECTIVE FUND-C	B	500.00	5.00	0.00	5.00	1.00
05/01/2018	08190128650	GIFT MIN ACT-SD,	MF	MFS MID CAP GROWTH FUND-C	B	50.00	0.50	0.00	0.50	0.10
* RANDY SMITH-D601 SUBTOTAL *						\$550.00	\$5.50	\$0.00	\$5.50	\$1.10
*** REP LINK TRANSACTIONS TOTAL ***						\$550.00	\$5.50	\$0.00	\$5.50	\$1.10

BROKER COMMISSION TOTALS

Broker Transactions	\$1,359.44
Split Transactions	\$24.15
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 Commissions	\$1,383.59
Year-to-date Commissions	\$36,110.17