

COMMISSION STATEMENT

July 31, 2018

ROBERT CALDWELL-D013
 2802 North Highland Avenue
 Suite A
 Jackson, TN 38305

BROKER #: D013
 BRANCH: DME

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
07/23/2018	mfc291006	CALDWELL 291006	MFT AMERICAN BALANCED FUND-A	B	0.00	4.06	0.00	4.06	90.0 3.65
07/23/2018	mfc291006	CALDWELL 291006	MFT CALAMOS GROWTH & INCOME FD CL C	B	0.00	19.95	0.00	19.95	90.0 17.96
07/23/2018	mfc291006	CALDWELL 291006	MFT DELAWARE SMID CAP GROWTH FD CL	B	0.00	14.37	0.00	14.37	90.0 12.93
07/23/2018	mfc291006	CALDWELL 291006	MFT FIDELITY ADVISOR GROWTH OPPORT	B	0.00	41.42	0.00	41.42	90.0 37.28
07/23/2018	mfc291006	CALDWELL 291006	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	11.35	0.00	11.35	90.0 10.22
07/23/2018	mfc291006	CALDWELL 291006	MFT FRK RISING DIV FND - CL C	B	0.00	15.50	0.00	15.50	90.0 13.95
07/23/2018	mfc291006	CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	6.23	0.00	6.23	90.0 5.61
07/23/2018	mfc291006	CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	19.58	0.00	19.58	90.0 17.62
07/23/2018	mfc291006	CALDWELL 291006	MFT GEORGE PUTNAM BALANCED FUND-A	B	0.00	0.30	0.00	0.30	90.0 0.27
07/23/2018	mfc291006	CALDWELL 291006	MFT JOHN HANCOCK STRATEGIC GROWTH A	B	0.00	1.28	0.00	1.28	90.0 1.15
07/23/2018	mfc291006	CALDWELL 291006	MFT MFS TN MUNI BD FD CL A	B	0.00	24.64	0.00	24.64	90.0 22.18
07/23/2018	mfc291006	CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	10.04	0.00	10.04	90.0 9.04
07/23/2018	mfc291006	CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	15.87	0.00	15.87	90.0 14.28
07/23/2018	mfc291006	CALDWELL 291006	MFT PUTNAM 746747104	B	0.00	0.37	0.00	0.37	90.0 0.33
07/23/2018	mfc291006	CALDWELL 291006	MFT PUTNAM HEALTH SCIENCES TRUST	B	0.00	0.45	0.00	0.45	90.0 0.41
07/23/2018	mfc291006	CALDWELL 291006	MFT U.S. GOVERNMENT SECURITIES FUND	B	0.00	1.35	0.00	1.35	90.0 1.22
07/23/2018	mfc291006	CALDWELL 291006	MFT VOYA SENIOR INCOME FUND C	B	0.00	6.87	0.00	6.87	90.0 6.18
07/23/2018	mfc291006	CALDWELL 291006	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.91	0.00	1.91	90.0 1.72
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$195.54	\$0.00	\$195.54	\$176.00
*** CLEARING TRANSACTIONS TOTAL ***					\$0.00	\$195.54	\$0.00	\$195.54	\$176.00

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<u>DIRECT TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
07/09/2018 (None)	WILSON	MF COLLEGE BOUND	B	0.00	0.20	0.00	0.20	90.0	0.18
07/13/2018 (None)	SUMIDA	MF COLLEGE BOUND	B	0.00	3.50	0.00	3.50	90.0	3.15
07/16/2018 0000000000000873	WOODS, SAMUEL	MF FRK LIFESMART 2045 RTMT TARGET	B	5,500.00	55.00	0.00	55.00	90.0	49.50
07/10/2018 0000000000010330	PATRICK, CHAD	MF FRANKLIN MUTUAL INTERNATIONAL	B	41.67	0.42	0.00	0.42	90.0	0.38
07/20/2018 0000000000055638	PATRICK, CHAD	MF FRANKLIN BALANCED FUND - CLASS	B	125.00	1.25	0.00	1.25	90.0	1.13
07/10/2018 0000000000277184	PATRICK, CHAD	MF TEMPLETON CHINA WORLD FUND -	B	41.67	0.42	0.00	0.42	90.0	0.38
07/10/2018 0000000001124015	PATRICK, CHAD	MF MUTUAL QUAL FND - CL C	B	41.66	0.42	0.00	0.42	90.0	0.38
07/19/2018 0000000012992741	GIPSON, DEBRA	MF FRANKLIN INCOME FUND CLASS C	B	1,000.00	10.00	0.00	10.00	90.0	9.00
07/26/2018 00067541249	PATRICK, CHAD	MF THE GROWTH FUND OF AMERICA-529A	B	75.00	3.19	0.00	3.19	90.0	2.87
07/26/2018 00067549730	PATRICK, CHAD	MF THE GROWTH FUND OF AMERICA-529A	B	75.00	3.19	0.00	3.19	90.0	2.87
07/12/2018 00068424625	GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
07/12/2018 00068424625	GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
07/12/2018 00068424625	GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
07/12/2018 00068424625	GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
07/25/2018 00073739173	BEARD, PATRICK	MF INVESTMENT COMPANY OF AMERICA	B	50.00	0.50	0.00	0.50	90.0	0.45
07/12/2018 00074694907	REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
07/12/2018 00074694907	REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
07/12/2018 00074694907	REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
07/12/2018 00074694907	REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
07/16/2018 00075317599	COPELAND, SUSAN	MF AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
07/16/2018 00075317599	COPELAND, SUSAN	MF FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
07/16/2018 00081948467	EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	39.27	0.79	0.00	0.79	90.0	0.71
07/16/2018 00081948467	EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	104.73	2.09	0.00	2.09	90.0	1.88
07/16/2018 00081948467	EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	6.93	0.14	0.00	0.14	90.0	0.13
07/16/2018 00081948467	EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	18.48	0.37	0.00	0.37	90.0	0.33
07/16/2018 00081948520	WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
07/16/2018 00081948520	WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
07/16/2018 00081948520	WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
07/16/2018 00081948520	WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
07/16/2018 00081948549	HINDS, MICHAEL	MF AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
07/16/2018 00081948549	HINDS, MICHAEL	MF AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
07/16/2018 00081948549	HINDS, MICHAEL	MF AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
07/16/2018 00081948549	HINDS, MICHAEL	MF AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
07/16/2018 00081948549	HINDS, MICHAEL	MF U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
07/16/2018 00081948549	HINDS, MICHAEL	MF U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
07/16/2018 00081948685	SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
07/16/2018 00081948685	SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/16/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/16/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/16/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21

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07/16/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/16/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/16/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
07/16/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	32.60	0.33	0.00	0.33	90.0	0.30
07/16/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	108.65	1.09	0.00	1.09	90.0	0.98
07/16/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	31.50	0.32	0.00	0.32	90.0	0.29
07/16/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	31.50	0.32	0.00	0.32	90.0	0.29
07/16/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	30.20	0.30	0.00	0.30	90.0	0.27
07/16/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	30.20	0.30	0.00	0.30	90.0	0.27
07/16/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	8.43	0.08	0.00	0.08	90.0	0.07
07/16/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	14.05	0.14	0.00	0.14	90.0	0.13
07/16/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	9.83	0.10	0.00	0.10	90.0	0.09
07/16/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	16.39	0.16	0.00	0.16	90.0	0.14
07/16/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	9.84	0.10	0.00	0.10	90.0	0.09
07/16/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	16.39	0.16	0.00	0.16	90.0	0.14
07/16/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
07/16/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
07/16/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	45.00	0.45	0.00	0.45	90.0	0.41
07/16/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	45.00	0.45	0.00	0.45	90.0	0.41
07/16/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	33.31	0.33	0.00	0.33	90.0	0.30
07/16/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	33.31	0.33	0.00	0.33	90.0	0.30
07/16/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	28.02	0.28	0.00	0.28	90.0	0.25
07/16/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	28.02	0.28	0.00	0.28	90.0	0.25
07/16/2018 04000412607	HUFFSTETTLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
07/16/2018 04000412607	HUFFSTETTLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
* MUTUAL FUNDS SUBTOTAL *				\$9,117.01	\$107.50	\$0.00	\$107.50		\$96.80
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
06/30/2018 (None)	VARIOUS, CALDWELL	MFT COLLEGE BOUND	B	0.00	346.87	0.00	346.87	90.0	312.18
06/30/2018 (None)	VARIOUS, CALDWELL	MFT NUVEEN 12B-1	B	0.00	28.59	0.00	28.59	90.0	25.73
06/30/2018 (None)	ALTO, MATTB	MFT PACIFIC LIFE 12B1	B	0.00	0.14	0.00	0.14	90.0	0.13
06/30/2018 (None)	VARIOUS, CALDWELL	MFT PRUDENTIAL MUTUAL FUNDS	B	0.00	7.10	0.00	7.10	90.0	6.39
07/09/2018	IRK121025 DILIGENCE	MFT 8504AFRKD	B	0.00	15.28	0.00	15.28	90.0	13.75
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$397.98	\$0.00	\$397.98		\$358.18
*** DIRECT TRANSACTIONS TOTAL ***				\$9,117.01	\$505.48	\$0.00	\$505.48		\$454.98

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

07/23/2018	mfc445444	CALDWELL 445444	MFT AMERICAN BALANCED FUND-A	B	0.00	0.47	0.00	0.47	0.42
07/23/2018	mfc445444	CALDWELL 445444	MFT THE INCOME FUND OF AMERICA-A	B	0.00	0.60	0.00	0.60	0.54
* BRYANT CALDWELL-D080 SUBTOTAL *					\$0.00	\$1.07	\$0.00	\$1.07	\$0.96
*** LINKED CLEARING TRANSACTIONS TOTAL ***					\$0.00	\$1.07	\$0.00	\$1.07	\$0.96

ADJUSTMENTS TRANSACTIONS

BROKER: #0

07/31/2018	:	BROKER WORKSTATION	0.00	0.00	0.00	0.00	-30.00
07/31/2018	:	E&O	0.00	0.00	0.00	0.00	-130.00
07/31/2018	:	E-MAIL ACCOUNT	0.00	0.00	0.00	0.00	-25.00
07/31/2018	:	E-MAIL ACCOUNT-BROOKS	0.00	0.00	0.00	0.00	-25.00
* SUBTOTAL *			\$0.00	\$0.00	\$0.00	\$0.00	\$-210.00
*** ADJUSTMENTS TRANSACTIONS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00	\$-210.00

BROKER COMMISSION TOTALS

Broker Transactions	\$631.94
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-210.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$421.94
Year-to-date Commissions	\$37,527.99