

All Companies
STATEMENT
May 20, 2018

THOMAS SMITH
1340 Sproul Ave

BROKER #: 027
BRANCH: LA BRANCH

Napa, CA 94559-

COMMISSION STATEMENT for THOMAS SMITH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>										
04/12/2018 #	BOWLES, DRAKE	HARTFORD MUT FDS INC BALANCED INCOM B		2,629.32	144.89	20.00	0.00	124.89	90.0	112.40
		* MUTUAL FUNDS SUBTOTAL *		\$2,629.32	\$144.89	\$20.00	\$0.00	\$124.89		\$112.40
<u>PRODUCT CATEGORY: STOCKS</u>										
04/02/2018 #	LAKENNA E DEWALD TTEE	NUVEEN PREFERRED INCOME OPPORTUNITI S		3,354.42	153.69	19.95	0.00	133.74	90.0	120.37
04/20/2018 #	ORIANTE, SEAN	AGNC INVESTMENT CORP COMMON STOCK B		5,604.00	174.04	19.95	0.00	154.09	90.0	138.68
		* STOCKS SUBTOTAL *		\$8,958.42	\$327.73	\$39.90	\$0.00	\$287.83		\$259.05
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>										
03/08/0018 #501201250091814	HUNT, W	DELAWARE SLFMFX11	B	0.00	14.88	0.00	0.00	14.88	90.0	13.39
		* VARIABLE ANNUITIES SUBTOTAL *		\$0.00	\$14.88	\$0.00	\$0.00	\$14.88		\$13.39
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
04/10/2018 #	POWERS, DEBORAH	DAIN TRAILER	B	0.00	0.70	0.00	0.00	0.70	90.0	0.63
04/10/2018 #	POWERS, RICHARD	DAIN TRAILER	B	0.00	0.69	0.00	0.00	0.69	90.0	0.62
04/10/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	0.65	0.00	0.00	0.65	90.0	0.59
04/10/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	0.40	0.00	0.00	0.40	90.0	0.36
04/10/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	2.20	0.00	0.00	2.20	90.0	1.98
04/10/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	3.08	0.00	0.00	3.08	90.0	2.77
04/10/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	3.18	0.00	0.00	3.18	90.0	2.86
04/10/2018 #	GAROUTTE, MICHAEL	DAIN TRAILER	B	0.00	1.51	0.00	0.00	1.51	90.0	1.36
04/10/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.46	0.00	0.00	0.46	90.0	0.41
04/10/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.71	0.00	0.00	0.71	90.0	0.64
04/10/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	1.41	0.00	0.00	1.41	90.0	1.27
04/10/2018 #	GAROUTTE, MICHAEL	DAIN TRAILER	B	0.00	0.48	0.00	0.00	0.48	90.0	0.43
04/10/2018 #	HAMMOND, NORMA	DAIN TRAILER	B	0.00	1.65	0.00	0.00	1.65	90.0	1.49
04/10/2018 #	ROCK, MATTHEW	DAIN TRAILER	B	0.00	1.65	0.00	0.00	1.65	90.0	1.49
04/10/2018 #	WRIGHT, KAREN	DAIN TRAILER	B	0.00	1.86	0.00	0.00	1.86	90.0	1.67
04/10/2018 #	WRIGHT, KAREN	DAIN TRAILER	B	0.00	2.21	0.00	0.00	2.21	90.0	1.99
04/10/2018 #	SLAY, BYRON	DAIN TRAILER	B	0.00	1.03	0.00	0.00	1.03	90.0	0.93
04/10/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.02	0.00	0.00	0.02	90.0	0.02
04/10/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.06	0.00	0.00	0.06	90.0	0.05

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
04/10/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.15	0.00	0.00	0.15	90.0	0.14
04/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	2.38	0.00	0.00	2.38	90.0	2.14
04/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.41	0.00	0.00	0.41	90.0	0.37
04/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.55	0.00	0.00	0.55	90.0	0.50
04/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	1.48	0.00	0.00	1.48	90.0	1.33
04/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.33	0.00	0.00	0.33	90.0	0.30
04/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	4.38	0.00	0.00	4.38	90.0	3.94
04/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	1.12	0.00	0.00	1.12	90.0	1.01
04/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.88	0.00	0.00	0.88	90.0	0.79
04/10/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.28	0.00	0.00	0.28	90.0	0.25
04/10/2018 #	LITLE, CATHI JO	DAIN TRAILER	B	0.00	2.35	0.00	0.00	2.35	90.0	2.12
04/10/2018 #	LITLE, CATHI JO	DAIN TRAILER	B	0.00	1.73	0.00	0.00	1.73	90.0	1.56
04/10/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.56	0.00	0.00	4.56	90.0	4.10
04/10/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	2.18	0.00	0.00	2.18	90.0	1.96
04/10/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.68	0.00	0.00	4.68	90.0	4.21
04/10/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.55	0.00	0.00	4.55	90.0	4.10
04/10/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	5.33	0.00	0.00	5.33	90.0	4.80
04/10/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	7.67	0.00	0.00	7.67	90.0	6.90
04/10/2018 #	WAGNER, JAMES	DAIN TRAILER	B	0.00	2.14	0.00	0.00	2.14	90.0	1.93
04/10/2018 #	WAGNER, ANDRE	DAIN TRAILER	B	0.00	2.80	0.00	0.00	2.80	90.0	2.52
04/10/2018 #	WAGNER, ANDRE	DAIN TRAILER	B	0.00	1.33	0.00	0.00	1.33	90.0	1.20
04/10/2018 #	WAGNER, ANDRE	DAIN TRAILER	B	0.00	0.66	0.00	0.00	0.66	90.0	0.59
04/10/2018 #	KNIEF, LEWIS	DAIN TRAILER	B	0.00	21.26	0.00	0.00	21.26	90.0	19.13
04/10/2018 #	KNIEF, LEWIS	DAIN TRAILER	B	0.00	23.36	0.00	0.00	23.36	90.0	21.02
04/10/2018 #	CREECH, CAREY	DAIN TRAILER	B	0.00	12.60	0.00	0.00	12.60	90.0	11.34
04/10/2018 #	STEWART, GARY	DAIN TRAILER	B	0.00	2.80	0.00	0.00	2.80	90.0	2.52
04/10/2018 #	MCDONALD, JOHN	DAIN TRAILER	B	0.00	2.12	0.00	0.00	2.12	90.0	1.91
04/10/2018 #	MCDONALD, SHARON	DAIN TRAILER	B	0.00	2.44	0.00	0.00	2.44	90.0	2.20
04/10/2018 #	MCDONALD, JOHN	DAIN TRAILER	B	0.00	0.95	0.00	0.00	0.95	90.0	0.86
04/10/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	1.28	0.00	0.00	1.28	90.0	1.15
04/10/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	1.30	0.00	0.00	1.30	90.0	1.17
04/10/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	3.91	0.00	0.00	3.91	90.0	3.52
04/10/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	5.82	0.00	0.00	5.82	90.0	5.24
04/10/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	1.43	0.00	0.00	1.43	90.0	1.29
04/10/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	3.02	0.00	0.00	3.02	90.0	2.72
04/10/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	1.30	0.00	0.00	1.30	90.0	1.17
04/10/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.37	0.00	0.00	0.37	90.0	0.33
04/10/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.05	0.00	0.00	0.05	90.0	0.05
04/10/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.67	0.00	0.00	0.67	90.0	0.60
04/10/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.22	0.00	0.00	0.22	90.0	0.20

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
04/10/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	4.10	0.00	0.00	4.10	90.0	3.69
04/10/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	6.51	0.00	0.00	6.51	90.0	5.86
04/10/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.60	0.00	0.00	3.60	90.0	3.24
04/10/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	2.72	0.00	0.00	2.72	90.0	2.45
04/10/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.99	0.00	0.00	3.99	90.0	3.59
04/10/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.92	0.00	0.00	3.92	90.0	3.53
04/10/2018 #	BRINKERHOFF, MARJORIE	DAIN TRAILER	B	0.00	10.56	0.00	0.00	10.56	90.0	9.50
04/10/2018 #	SMITH, WESTIN	DAIN TRAILER	B	0.00	0.21	0.00	0.00	0.21	90.0	0.19
04/10/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	1.74	0.00	0.00	1.74	90.0	1.57
04/10/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.92	0.00	0.00	0.92	90.0	0.83
04/10/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.37	0.00	0.00	0.37	90.0	0.33
04/10/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.43	0.00	0.00	0.43	90.0	0.39
04/10/2018 #	MOORE, KATHERINE	DAIN TRAILER	B	0.00	1.07	0.00	0.00	1.07	90.0	0.96
04/10/2018 #	PARK, SUSAN	DAIN TRAILER	B	0.00	4.56	0.00	0.00	4.56	90.0	4.10
04/10/2018 #	PARK, SUSAN	DAIN TRAILER	B	0.00	0.70	0.00	0.00	0.70	90.0	0.63
04/10/2018 #	HIZA, STEVEN	DAIN TRAILER	B	0.00	2.36	0.00	0.00	2.36	90.0	2.12
04/10/2018 #	HIZA, STEVEN	DAIN TRAILER	B	0.00	1.47	0.00	0.00	1.47	90.0	1.32
04/10/2018 #	BILLS, BARBARA	DAIN TRAILER	B	0.00	0.25	0.00	0.00	0.25	90.0	0.23
04/10/2018 #	BILLS, BARBARA	DAIN TRAILER	B	0.00	0.48	0.00	0.00	0.48	90.0	0.43
04/10/2018 #	GILLGREN, JERRY	DAIN TRAILER	B	0.00	0.30	0.00	0.00	0.30	90.0	0.27
04/10/2018 #	REED, CASEY	DAIN TRAILER	B	0.00	6.50	0.00	0.00	6.50	90.0	5.85
04/10/2018 #	CROWELL-GILLGREN, CHRISTINA	DAIN TRAILER	B	0.00	1.74	0.00	0.00	1.74	90.0	1.57
04/10/2018 #	CROWELL-GILLGREN, CHRISTINA	DAIN TRAILER	B	0.00	13.40	0.00	0.00	13.40	90.0	12.06
04/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.39	0.00	0.00	2.39	90.0	2.15
04/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.38	0.00	0.00	2.38	90.0	2.14
04/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.50	0.00	0.00	2.50	90.0	2.25
04/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	4.04	0.00	0.00	4.04	90.0	3.64
04/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.30	0.00	0.00	2.30	90.0	2.07
04/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.52	0.00	0.00	2.52	90.0	2.27
04/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.50	0.00	0.00	2.50	90.0	2.25
04/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	1.32	0.00	0.00	1.32	90.0	1.19
04/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.60	0.00	0.00	2.60	90.0	2.34
04/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.34	0.00	0.00	2.34	90.0	2.11
04/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	1.29	0.00	0.00	1.29	90.0	1.16
04/10/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.92	0.00	0.00	2.92	90.0	2.63
04/10/2018 #	RUFFNER, EMMA	DAIN TRAILER	B	0.00	1.35	0.00	0.00	1.35	90.0	1.22
04/10/2018 #	GILLGREN, JERRY	DAIN TRAILER	B	0.00	1.44	0.00	0.00	1.44	90.0	1.30
04/10/2018 #	BOWLES, DRAKE	DAIN TRAILER	B	0.00	0.60	0.00	0.00	0.60	90.0	0.54
04/10/2018 #	RAE, PETER	DAIN TRAILER	B	0.00	1.65	0.00	0.00	1.65	90.0	1.49
04/10/2018 #	RAZZOUQ, FRANKO	DAIN TRAILER	B	0.00	1.40	0.00	0.00	1.40	90.0	1.26

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
04/10/2018 #	RAZZOUQ, FRANKO	DAIN TRAILER	B	0.00	2.89	0.00	0.00	2.89	90.0	2.60
04/10/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.59	0.00	0.00	0.59	90.0	0.53
04/10/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.87	0.00	0.00	0.87	90.0	0.78
04/10/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	1.54	0.00	0.00	1.54	90.0	1.39
04/10/2018 #	ROCK, ZACHARY	DAIN TRAILER	B	0.00	0.96	0.00	0.00	0.96	90.0	0.86
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$275.08	\$0.00	\$0.00	\$275.08		\$247.62
*** BROKER TRANSACTIONS TOTAL ***				\$11,587.74	\$762.58	\$59.90	\$0.00	\$702.68		\$632.46

ADJUSTMENTS

05/20/2018	ADMIN FEE: ADMIN FEE	-390.00
05/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
*** ADJUSTMENTS TOTAL ***		\$-569.00

BROKER COMMISSION TOTALS

Broker Transactions	\$632.46
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-569.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$63.46
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