

Bill Payment Stub

Check Date:	3/7/2018
Check No.:	ACH
Check Amount:	245.48

Dominion Investor Services
P.O. Box 4768
Horseshoe Bay, TX 78657-4768

Paid To: ROBERT CALDWELL
2802 N HIGHLAND AVE, STE B
JACKSON, TN 38305

Date	Type	Reference	Original Amt.	Balance	Discount	Payment
2/28/2018	Bill	COMMISSIONS	365.48	365.48		365.48
3/1/2018	Credit	E&O	-120.00	-120.00		-120.00

COMMISSION STATEMENT
February 28, 2018

ROBERT CALDWELL-D013

BROKER #: D013

BRANCH: DME

, TX

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									
02/22/2018	mfc291006 CALDWELL 291006	MFT AMERICAN BALANCED FUND-A	B	0.00	4.24	0.00	4.24	90.0	3.82
02/22/2018	mfc291006 CALDWELL 291006	MFT CALAMOS GROWTH & INCOME FD CL C	B	0.00	20.73	0.00	20.73	90.0	18.66
02/22/2018	mfc291006 CALDWELL 291006	MFT CAPITAL INCOME BUILDER-A	B	0.00	0.01	0.00	0.01	90.0	0.01
02/22/2018	mfc291006 CALDWELL 291006	MFT DELAWARE SMID CAP GROWTH FD CL	B	0.00	13.25	0.00	13.25	90.0	11.93
02/22/2018	mfc291006 CALDWELL 291006	MFT FIDELITY ADVISOR GROWTH OPPORT	B	0.00	38.73	0.00	38.73	90.0	34.86
02/22/2018	mfc291006 CALDWELL 291006	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	12.24	0.00	12.24	90.0	11.02
02/22/2018	mfc291006 CALDWELL 291006	MFT FRK RISING DIV FND - CL C	B	0.00	16.44	0.00	16.44	90.0	14.80
02/22/2018	mfc291006 CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	6.70	0.00	6.70	90.0	6.03
02/22/2018	mfc291006 CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	21.13	0.00	21.13	90.0	19.02
02/22/2018	mfc291006 CALDWELL 291006	MFT GEORGE PUTNAM BALANCED FUND-A	B	0.00	0.31	0.00	0.31	90.0	0.28
02/22/2018	mfc291006 CALDWELL 291006	MFT JOHN HANCOCK STRATEGIC GROWTH A	B	0.00	1.26	0.00	1.26	90.0	1.13
02/22/2018	mfc291006 CALDWELL 291006	MFT MFS TN MUNI BD FD CL A	B	0.00	25.69	0.00	25.69	90.0	23.12
02/22/2018	mfc291006 CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	10.43	0.00	10.43	90.0	9.39
02/22/2018	mfc291006 CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	16.66	0.00	16.66	90.0	14.99
02/22/2018	mfc291006 CALDWELL 291006	MFT PUTNAM 746747104	B	0.00	0.40	0.00	0.40	90.0	0.36
02/22/2018	mfc291006 CALDWELL 291006	MFT PUTNAM HEALTH SCIENCES TRUST	B	0.00	0.48	0.00	0.48	90.0	0.43
02/22/2018	mfc291006 CALDWELL 291006	MFT THE INVESTMENT COMPANY OF	B	0.00	0.01	0.00	0.01	90.0	0.01
02/22/2018	mfc291006 CALDWELL 291006	MFT U.S. GOVERNMENT SECURITIES FUND	B	0.00	1.41	0.00	1.41	90.0	1.27
02/22/2018	mfc291006 CALDWELL 291006	MFT VOYA SENIOR INCOME FUND C	B	0.00	6.99	0.00	6.99	90.0	6.29
02/22/2018	mfc291006 CALDWELL 291006	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	2.00	0.00	2.00	90.0	1.80
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$199.11	\$0.00	\$199.11		\$179.22
*** CLEARING TRANSACTIONS TOTAL ***				\$0.00	\$199.11	\$0.00	\$199.11		\$179.22

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
DIRECT TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
02/12/2018	0000000000010330	PATRICK, CHAD MF	FRANKLIN MUTUAL INTERNATIONAL	B	41.67	0.42	0.00	0.42	90.0	0.38
02/20/2018	0000000000055638	PATRICK, CHAD MF	FRANKLIN BALANCED FUND - CLASS	B	125.00	1.25	0.00	1.25	90.0	1.13
02/12/2018	0000000000277184	PATRICK, CHAD MF	TEMPLETON CHINA WORLD FUND -	B	41.67	0.42	0.00	0.42	90.0	0.38
02/12/2018	0000000001124015	PATRICK, CHAD MF	MUTUAL QUAL FND - CL C	B	41.66	0.42	0.00	0.42	90.0	0.38
02/13/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
02/13/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
02/23/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
02/23/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
02/13/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
02/13/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
02/23/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
02/23/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
02/15/2018	00075317599	COPELAND, SUSAN MF	AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
02/15/2018	00075317599	COPELAND, SUSAN MF	FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
02/16/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	34.67	0.69	0.00	0.69	90.0	0.62
02/16/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	92.46	1.85	0.00	1.85	90.0	1.67
02/16/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	6.12	0.12	0.00	0.12	90.0	0.11
02/16/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	16.32	0.33	0.00	0.33	90.0	0.30
02/16/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
02/16/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
02/16/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
02/16/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
02/16/2018	00081948685	SHELTON, LAURA MF	FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
02/16/2018	00081948685	SHELTON, LAURA MF	FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21
02/16/2018	00081948685	SHELTON, LAURA MF	NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
02/16/2018	00081948685	SHELTON, LAURA MF	NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
02/16/2018	00081948685	SHELTON, LAURA MF	NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
02/16/2018	00081948685	SHELTON, LAURA MF	NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
02/16/2018	00081948685	SHELTON, LAURA MF	THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21
02/16/2018	00081948685	SHELTON, LAURA MF	THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
02/16/2018	00087734807	JARRED, GINA MF	AMERICAN BALANCED FUND-C	B	33.09	0.33	0.00	0.33	90.0	0.30
02/16/2018	00087734807	JARRED, GINA MF	AMERICAN BALANCED FUND-C	B	110.31	1.10	0.00	1.10	90.0	0.99
02/16/2018	00087734863	WHITE, PEGGY MF	AMERICAN BALANCED FUND-C	B	34.31	0.34	0.00	0.34	90.0	0.31
02/16/2018	00087734863	WHITE, PEGGY MF	AMERICAN BALANCED FUND-C	B	34.31	0.34	0.00	0.34	90.0	0.31
02/16/2018	00089597043	MCINTOSH, GINA MF	GROWTH PORTFOLIO-C	B	32.30	0.32	0.00	0.32	90.0	0.29
02/16/2018	00089597043	MCINTOSH, GINA MF	GROWTH PORTFOLIO-C	B	32.30	0.32	0.00	0.32	90.0	0.29
02/16/2018	00089696651	ALEXANDER, MF	CAPITAL INCOME BUILDER CLASS C	B	10.72	0.11	0.00	0.11	90.0	0.10
02/16/2018	00089696651	ALEXANDER, MF	CAPITAL INCOME BUILDER CLASS C	B	17.87	0.18	0.00	0.18	90.0	0.16
02/16/2018	00089696651	ALEXANDER, MF	INVESTMENT COMPANY OF AMERICA	B	12.50	0.13	0.00	0.13	90.0	0.12
02/16/2018	00089696651	ALEXANDER, MF	INVESTMENT COMPANY OF AMERICA	B	20.84	0.21	0.00	0.21	90.0	0.19

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
02/16/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	12.51	0.13	0.00	0.13	90.0	0.12
02/16/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	20.84	0.21	0.00	0.21	90.0	0.19
02/16/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
02/16/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
02/16/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	51.05	0.51	0.00	0.51	90.0	0.46
02/16/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	51.05	0.51	0.00	0.51	90.0	0.46
02/16/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	37.06	0.37	0.00	0.37	90.0	0.33
02/16/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	37.06	0.37	0.00	0.37	90.0	0.33
02/16/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	33.66	0.34	0.00	0.34	90.0	0.31
02/16/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	33.66	0.34	0.00	0.34	90.0	0.31
02/16/2018 04000412607	HUFFSTETTLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
02/16/2018 04000412607	HUFFSTETTLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
* MUTUAL FUNDS SUBTOTAL *				<u>\$2,160.37</u>	<u>\$26.16</u>	<u>\$0.00</u>	<u>\$26.16</u>		<u>\$23.62</u>

PRODUCT CATEGORY: VARIABLE ANNUITIES

02/20/2018 1012316590	AVILA PENSION	VA PERSP L 08/11	B	55.91	2.24	0.00	2.24	90.0	2.02
02/20/2018 1020831940	AVILA, LAURA	VA PERSP II 01/16	B	5.22	0.18	0.00	0.18	90.0	0.16
* VARIABLE ANNUITIES SUBTOTAL *				<u>\$61.13</u>	<u>\$2.42</u>	<u>\$0.00</u>	<u>\$2.42</u>		<u>\$2.18</u>

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

01/30/2018 (None)	WILLIAMS, LINDA	VAT DELAWARE LIFE	B	0.00	18.77	0.00	18.77	90.0	16.89
02/21/2018 VR02053945	LIPSHIE BENE,	VAT CUSIP 694474628	B	0.00	280.60	0.00	280.60	90.0	252.54
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				<u>\$0.00</u>	<u>\$299.37</u>	<u>\$0.00</u>	<u>\$299.37</u>		<u>\$269.43</u>
*** DIRECT TRANSACTIONS TOTAL ***				<u>\$2,221.50</u>	<u>\$327.95</u>	<u>\$0.00</u>	<u>\$327.95</u>		<u>\$295.23</u>

REP LINK TRANSACTIONSBROKER: BRYANT CALDWELL-D080 #70

02/22/2018 mfc445444	CALDWELL 445444	MFT AMERICAN BALANCED FUND-A	B	0.00	0.49	0.00	0.49		0.44
02/22/2018 mfc445444	CALDWELL 445444	MFT THE INCOME FUND OF AMERICA-A	B	0.00	0.65	0.00	0.65		0.59
* BRYANT CALDWELL-D080 SUBTOTAL *				<u>\$0.00</u>	<u>\$1.14</u>	<u>\$0.00</u>	<u>\$1.14</u>		<u>\$1.03</u>
*** REP LINK TRANSACTIONS TOTAL ***				<u>\$0.00</u>	<u>\$1.14</u>	<u>\$0.00</u>	<u>\$1.14</u>		<u>\$1.03</u>

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
02/28/2018		: BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
02/28/2018		: BROKER WORKSTATION-BROOKS		0.00	0.00	0.00	0.00		-30.00
02/28/2018		: E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
02/28/2018		: E-MAIL ACCOUNT-BROOKS		0.00	0.00	0.00	0.00		-25.00
02/28/2018		: MONEY MARKET TRAILS		0.00	0.00	0.00	0.00		0.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-110.00

BROKER COMMISSION TOTALS

Broker Transactions	\$475.48
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-110.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$365.48
Year-to-date Commissions	\$14,849.37