

# STATEMENT

## January 20, 2018

JEFF - TERMINATED HEADRICK  
3214 Tazewell Pike Suite 1

BROKER #: 163  
BRANCH:

Knoxville, TN 37918

### COMMISSION STATEMENT for JEFF - TERMINATED HEADRICK

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>									
11/15/2017	#00087004650	MERRIMAN, CAPITAL INCOME BUILDER FD CL A	50.00	2.50	94.0	0.00	2.35	0.00	2.35
11/17/2017	#00075342200	ROBERTS, AMERICAN BALANCED FUND-529A	50.00	2.13	94.0	0.00	2.00	0.00	2.00
11/27/2017	#00086947755	ROBERTS, AMERICAN BALANCED FUND-529A	50.00	2.13	94.0	0.00	2.00	0.00	2.00
11/27/2017	#00086947739	ROBERTS, AMERICAN BALANCED FUND-529A	50.00	2.13	94.0	0.00	2.00	0.00	2.00
11/27/2017	#00082027966	STANIFER, BRIAN CAPITAL INCOME BUILDER FD CL A	50.00	2.50	94.0	0.00	2.35	0.00	2.35
11/27/2017	#00073019641	DISHNER, CAPITAL WORLD GROWTH AND INCOME-529	50.00	1.88	94.0	0.00	1.77	0.00	1.77
12/05/2017	#00068718507	BULLOCK, PARIS AMERICAN BALANCED FUND INC CLASS A	50.00	2.13	94.0	0.00	2.00	0.00	2.00
12/07/2017	#00069217597	ROBERTS, CAPITAL WORLD BOND FUND-529A	50.00	1.50	94.0	0.00	1.41	0.00	1.41
12/07/2017	#00069217595	ROBERTS, CAPITAL WORLD BOND FUND-529A	50.00	1.50	94.0	0.00	1.41	0.00	1.41
12/15/2017	#00087004650	MERRIMAN, CAPITAL INCOME BUILDER FD CL A	50.00	2.50	94.0	0.00	2.35	0.00	2.35
12/18/2017	#00075342200	ROBERTS, CAPITAL WORLD BOND FUND-529A	50.00	1.50	94.0	0.00	1.41	0.00	1.41
12/26/2017	#00086947739	ROBERTS, AMERICAN BALANCED FUND-529A	50.00	2.13	94.0	0.00	2.00	0.00	2.00
12/26/2017	#00086947755	ROBERTS, AMERICAN BALANCED FUND-529A	50.00	2.13	94.0	0.00	2.00	0.00	2.00
12/26/2017	#00082027966	STANIFER, BRIAN CAPITAL INCOME BUILDER FD CL A	50.00	2.50	94.0	0.00	2.35	0.00	2.35
12/26/2017	#00075765433	DISHNER, ALEXA CAPITAL WORLD GROWTH AND INCOME-529	50.00	1.88	94.0	0.00	1.77	0.00	1.77
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$750.00</b>	<b>\$31.04</b>		<b>\$0.00</b>	<b>\$29.17</b>	<b>\$0.00</b>	<b>\$29.17</b>

### **PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS**

12/01/2017	#00068718507	BULLOCK, PARIS AMERICAN BALANCED FUND INC CLASS A	0.00	10.09	94.0	0.00	9.48	0.00	9.48
12/01/2017	#00068718506	BULLOCK, DONNA AMERICAN BALANCED FUND INC CLASS A	0.00	10.03	94.0	0.00	9.43	0.00	9.43
12/01/2017	#00069217595	ROBERTS, AMERICAN BALANCED FUND-529A	0.00	3.33	94.0	0.00	3.13	0.00	3.13
12/01/2017	#00069217597	ROBERTS, AMERICAN BALANCED FUND-529A	0.00	4.46	94.0	0.00	4.19	0.00	4.19
12/01/2017	#00075342200	ROBERTS, AMERICAN BALANCED FUND-529A	0.00	3.50	94.0	0.00	3.29	0.00	3.29
12/01/2017	#00086947739	ROBERTS, AMERICAN BALANCED FUND-529A	0.00	1.96	94.0	0.00	1.84	0.00	1.84
12/01/2017	#00086947755	ROBERTS, AMERICAN BALANCED FUND-529A	0.00	1.96	94.0	0.00	1.84	0.00	1.84
12/01/2017	#00068500106	HARRIS, MALLORY AMERICAN BALANCED FUND-529A	0.00	2.72	94.0	0.00	2.56	0.00	2.56
12/01/2017	#00073992451	HENDERSON, JACK AMERICAN BALANCED FUND-529A	0.00	1.37	94.0	0.00	1.29	0.00	1.29
12/01/2017	#00075264474	KURZ, KERRY AMERICAN BALANCED FUND-529A	0.00	1.26	94.0	0.00	1.18	0.00	1.18

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017	#00086052216	KNIGHT, CLAYTON	AMERICAN FUNDS 2030 TARGET DATE-A	0.00	16.96	94.0	0.00	15.94	15.94
12/01/2017	#00073103103	WESSON, JOHN	AMERICAN FUNDS INCOME SERIES U S GO	0.00	2.13	94.0	0.00	2.00	2.00
12/01/2017	#00086050183	FOX, EDWARD	AMERICAN FUNDS TARGET DATE RETIREME	0.00	1.38	94.0	0.00	1.30	1.30
12/01/2017	#00086969821	MCMILLAN, DARIN	CAPITAL INCOME BLDR FUND CL C	0.00	44.25	94.0	0.00	41.60	41.60
12/01/2017	#00082027966	STANIFER, BRIAN	CAPITAL INCOME BUILDER FD CL A	0.00	9.09	94.0	0.00	8.54	8.54
12/01/2017	#00087004650	MERRIMAN,	CAPITAL INCOME BUILDER FD CL A	0.00	2.56	94.0	0.00	2.41	2.41
12/01/2017	#00073451748	THOMAS, CYNTHIA	CAPITAL INCOME BUILDER FD CL A	0.00	2.66	94.0	0.00	2.50	2.50
12/01/2017	#00074706995	SPURLOCK,	CAPITAL INCOME BUILDER FD CL A	0.00	2.14	94.0	0.00	2.01	2.01
12/01/2017	#00075151781	WESSON, JOHN	CAPITAL INCOME BUILDER FD CL A	0.00	0.03	94.0	0.00	0.03	0.03
12/01/2017	#00086973073	HAMES, SCOTT	CAPITAL INCOME BUILDER FD CL A	0.00	1.39	94.0	0.00	1.31	1.31
12/01/2017	#00086973081	HAMES, NICHOLAS	CAPITAL INCOME BUILDER FD CL A	0.00	1.20	94.0	0.00	1.13	1.13
12/01/2017	#00083809336	FIELDEN,	CAPITAL INCOME BUILDER FD CL A	0.00	6.07	94.0	0.00	5.71	5.71
12/01/2017	#00069217595	ROBERTS,	CAPITAL WORLD BOND FUND-529A	0.00	2.01	94.0	0.00	1.89	1.89
12/01/2017	#00069217597	ROBERTS,	CAPITAL WORLD BOND FUND-529A	0.00	3.01	94.0	0.00	2.83	2.83
12/01/2017	#00075342200	ROBERTS,	CAPITAL WORLD BOND FUND-529A	0.00	2.44	94.0	0.00	2.29	2.29
12/01/2017	#00085619576	ELLIS, PHILLIP	CAPITAL WORLD BOND FUND-529A	0.00	0.34	94.0	0.00	0.32	0.32
12/01/2017	#00085619609	ELLIS, PHILLIP	CAPITAL WORLD BOND FUND-529A	0.00	0.34	94.0	0.00	0.32	0.32
12/01/2017	#00086969821	MCMILLAN, DARIN	CAPITAL WORLD BOND FUND-C	0.00	38.33	94.0	0.00	36.03	36.03
12/01/2017	#00073544978	LOVE, LEWIS	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	0.43	94.0	0.00	0.40	0.40
12/01/2017	#00075151781	WESSON, JOHN	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	0.03	94.0	0.00	0.03	0.03
12/01/2017	#00073544978	LOVE, LEWIS	CAPITAL WORLD GROWTH & INCOME FUND	0.00	0.87	94.0	0.00	0.82	0.82
12/01/2017	#00075151781	WESSON, JOHN	CAPITAL WORLD GROWTH & INCOME FUND	0.00	0.10	94.0	0.00	0.09	0.09
12/01/2017	#00073019641	DISHNER,	CAPITAL WORLD GROWTH AND INCOME-529	0.00	5.58	94.0	0.00	5.25	5.25
12/01/2017	#00075765433	DISHNER, ALEXA	CAPITAL WORLD GROWTH AND INCOME-529	0.00	5.59	94.0	0.00	5.25	5.25
12/01/2017	#00083113709	DISHNER, ALEXA	CAPITAL WORLD GROWTH AND INCOME-529	0.00	10.25	94.0	0.00	9.64	9.64
12/01/2017	#00075151781	WESSON, JOHN	EURO PACIFIC GROWTH FUND CLASS A	0.00	0.09	94.0	0.00	0.08	0.08
12/01/2017	#00073019641	DISHNER,	EUROPACIFIC GROWTH FUND-529A	0.00	6.15	94.0	0.00	5.78	5.78
12/01/2017	#00075765433	DISHNER, ALEXA	EUROPACIFIC GROWTH FUND-529A	0.00	3.49	94.0	0.00	3.28	3.28
12/01/2017	#00073544978	LOVE, LEWIS	GROWTH FUND AMERICA INC CLASS A	0.00	0.66	94.0	0.00	0.62	0.62
12/01/2017	#00068677867	HARRIS, JOHN	GROWTH FUND AMERICA INC CLASS A	0.00	6.21	94.0	0.00	5.84	5.84
12/01/2017	#00087022422	HANRAHAN,	INCOME PORTFOLIO-C	0.00	0.68	94.0	0.00	0.64	0.64
12/01/2017	#00075151781	WESSON, JOHN	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.02	94.0	0.00	0.02	0.02
12/01/2017	#00087022422	HANRAHAN,	PRESERVATION PORTFOLIO-C	0.00	1.85	94.0	0.00	1.74	1.74
12/01/2017	#00085619576	ELLIS, PHILLIP	SHORT-TERM BOND FUND OF AMERICA-529	0.00	0.32	94.0	0.00	0.30	0.30
12/01/2017	#00085619609	ELLIS, PHILLIP	SHORT-TERM BOND FUND OF AMERICA-529	0.00	0.32	94.0	0.00	0.30	0.30
12/01/2017	#00083809336	FIELDEN,	SHORT-TERM BOND FUND OF AMERICA-A	0.00	1.30	94.0	0.00	1.22	1.22

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BROKER TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
12/01/2017	#00073544978 LOVE, LEWIS	SMALLCAP WORLD FUND INC CLASS A	0.00	0.85	94.0	0.00	0.80	0.00	0.80
12/01/2017	#00073019641 DISHNER,	THE GROWTH FUND OF AMERICA-529A	0.00	6.90	94.0	0.00	6.49	0.00	6.49
12/01/2017	#00075765433 DISHNER, ALEXA	THE GROWTH FUND OF AMERICA-529A	0.00	4.51	94.0	0.00	4.24	0.00	4.24
12/01/2017	#00068500106 HARRIS, MALLORY	THE GROWTH FUND OF AMERICA-529A	0.00	3.27	94.0	0.00	3.07	0.00	3.07
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$236.48		\$0.00	\$222.29	\$0.00	\$222.29
*** BROKER TRANSACTIONS TOTAL ***			\$750.00	\$267.52		\$0.00	\$251.46	\$0.00	\$251.46

BROKER COMMISSION TOTALS

Broker Transactions	\$251.46
Split Transactions	\$0.00
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

Check Amount	\$251.46
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