

# STATEMENT

February 20, 2018

LEE THOMAS  
530 WESTOVER DR

BROKER #: 056  
BRANCH: LA BRANCH

ROXBORO, NC 27573-

## COMMISSION STATEMENT for LEE THOMAS

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

### PRODUCT CATEGORY: MUTUAL FUNDS

02/02/2018 #04000777216	KELLEY, KENLEY	THE GROWTH FUND OF AMERICA-529A	B	100.00	5.00	0.00	0.00	5.00	75.0	3.75
02/02/2018 #04000777216	KELLEY, KENLEY	THE GROWTH FUND OF AMERICA-529A	B	150.00	7.50	0.00	0.00	7.50	75.0	5.63
* MUTUAL FUNDS SUBTOTAL *				\$250.00	\$12.50	\$0.00	\$0.00	\$12.50		\$9.38

### PRODUCT CATEGORY: VARIABLE ANNUITIES

01/08/2018 #1020905618	GLENN, JOHNATHAN	PERSP II 01/16	B	225,000.00	12,375.00	0.00	0.00	12,375.00	75.0	9,281.25
* VARIABLE ANNUITIES SUBTOTAL *				\$225,000.00	\$12,375.00	\$0.00	\$0.00	\$12,375.00		\$9,281.25

### PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

01/08/2018 #	LENNON, CYNTHIA	DAIN TRAILER	B	0.00	1.51	0.00	0.00	1.51	75.0	1.13
01/08/2018 #	LENNON, CYNTHIA	DAIN TRAILER	B	0.00	4.54	0.00	0.00	4.54	75.0	3.41
01/10/2018 #	GLENN, JOHNATHAN	DAIN TRAILER	B	0.00	2.54	0.00	0.00	2.54	75.0	1.91
01/10/2018 #	GLENN, JOHNATHAN	DAIN TRAILER	B	0.00	1.14	0.00	0.00	1.14	75.0	0.86
01/10/2018 #	GLENN, JOHNATHAN	DAIN TRAILER	B	0.00	1.22	0.00	0.00	1.22	75.0	0.92
01/10/2018 #	JAMES, KELLY	DAIN TRAILER	B	0.00	1.01	0.00	0.00	1.01	75.0	0.76
01/10/2018 #	LENNON, CYNTHIA	DAIN TRAILER	B	0.00	1.90	0.00	0.00	1.90	75.0	1.43
01/10/2018 #	LENNON, CYNTHIA	DAIN TRAILER	B	0.00	1.05	0.00	0.00	1.05	75.0	0.79
01/10/2018 #	LENNON, CYNTHIA	DAIN TRAILER	B	0.00	3.51	0.00	0.00	3.51	75.0	2.63
01/10/2018 #	LENNON, CYNTHIA	DAIN TRAILER	B	0.00	1.32	0.00	0.00	1.32	75.0	0.99
01/10/2018 #	KNIGHT GIBSON, NANCY	DAIN TRAILER	B	0.00	0.83	0.00	0.00	0.83	75.0	0.62
01/10/2018 #	GRAY, SUSAN	DAIN TRAILER	B	0.00	0.35	0.00	0.00	0.35	75.0	0.26
01/10/2018 #	GRAY, SUSAN	DAIN TRAILER	B	0.00	1.71	0.00	0.00	1.71	75.0	1.28
01/10/2018 #	WICKER, KEVIN	DAIN TRAILER	B	0.00	0.45	0.00	0.00	0.45	75.0	0.34
01/10/2018 #	SMALL, CARL	DAIN TRAILER	B	0.00	2.60	0.00	0.00	2.60	75.0	1.95
01/10/2018 #	HAWKINS, DORIS	DAIN TRAILER	B	0.00	3.52	0.00	0.00	3.52	75.0	2.64
01/10/2018 #	NICHOLS, WILLIAM	DAIN TRAILER	B	0.00	7.94	0.00	0.00	7.94	75.0	5.96
01/10/2018 #	NICHOLS, WILLIAM	DAIN TRAILER	B	0.00	4.32	0.00	0.00	4.32	75.0	3.24
01/10/2018 #	THOMAS, BETTY	DAIN TRAILER	B	0.00	2.20	0.00	0.00	2.20	75.0	1.65
01/10/2018 #	THOMAS, BETTY	DAIN TRAILER	B	0.00	1.54	0.00	0.00	1.54	75.0	1.16
01/10/2018 #	GLENN, JOHNATHAN	DAIN TRAILER	B	0.00	0.75	0.00	0.00	0.75	75.0	0.56
01/10/2018 #	GLENN, JOHNATHAN	DAIN TRAILER	B	0.00	0.67	0.00	0.00	0.67	75.0	0.50
01/10/2018 #	GLENN, JOHNATHAN	DAIN TRAILER	B	0.00	2.18	0.00	0.00	2.18	75.0	1.64

COMMISSION STATEMENT for LEE THOMAS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$48.80	\$0.00	\$0.00	\$48.80		\$36.63
		*** BROKER TRANSACTIONS TOTAL ***		\$225,250.00	\$12,436.30	\$0.00	\$0.00	\$12,436.30		\$9,327.26

ADJUSTMENTS

02/20/2018	ADMIN FEE: ADMIN FEE	-390.00
02/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
	*** ADJUSTMENTS TOTAL ***	\$-569.00

BROKER COMMISSION TOTALS

Broker Transactions	\$9,327.26
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-569.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-2,162.29
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$6,595.97
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