

**COMMISSION STATEMENT****November 30, 2017**JOEL WOODS
1412 Blue Quail RunBROKER #: W143
BRANCH: WOODS FINANCIAL

Crowley, TX 76036-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u>								
11/09/2017	MASSEY, ARTHUR	COTTONWOOD RESIDENTIAL 2016 PREFR'D	33,000.00	2,310.00	0.00	2,310.00	92.0	2,125.20
		* PRIVATE PLACEMENT SUBTOTAL *	\$33,000.00	\$2,310.00	\$0.00	\$2,310.00		\$2,125.20
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
11/14/2017	TMICO CUSTODIAN	BR TOTAL INC & REAL ESTATE FUND A	0.00	13.01	0.00	13.01	92.0	11.97
11/01/2017	TOMLINSON, HAROLD	BR TOTAL INC & REAL ESTATE FUND C	0.00	2.50	0.00	2.50	92.0	2.30
11/14/2017	EUBANKS, MILDRED	BR TOTAL INC & REAL ESTATE FUND C	0.00	16.95	0.00	16.95	92.0	15.59
11/14/2017	TMICO TRUST CO	BR TOTAL INC & REAL ESTATE FUND C	0.00	11.53	0.00	11.53	92.0	10.61
11/14/2017	TMICO CUSTODIAN	BR TOTAL INC & REAL ESTATE FUND C	0.00	13.57	0.00	13.57	92.0	12.48
11/14/2017	OXFORD, RONALD	BR TOTAL INC & REAL ESTATE FUND C	0.00	21.19	0.00	21.19	92.0	19.49
11/14/2017	TMICO TRUST CO	BR TOTAL INC & REAL ESTATE FUND C	0.00	62.83	0.00	62.83	92.0	57.80
11/14/2017	MIRES, LINDA K OXFORD-	BR TOTAL INC & REAL ESTATE FUND C	0.00	21.15	0.00	21.15	92.0	19.46
11/14/2017	RECTOR, RICHARD	BR TOTAL INC & REAL ESTATE FUND C	0.00	16.91	0.00	16.91	92.0	15.56
11/14/2017	LYBBERT, BLAIR	BR TOTAL INC & REAL ESTATE FUND C	0.00	36.12	0.00	36.12	92.0	33.23
11/06/2017	LYONS, DAVID	GRIFFIN INST'L ACCESS R E FUND C	25,000.00	250.00	0.00	250.00	92.0	230.00
		* INTERVAL FUNDS SUBTOTAL *	\$25,000.00	\$465.76	\$0.00	\$465.76		\$428.49
<u>PRODUCT CATEGORY: 529 PLANS</u>								
11/15/2017	GORDON, JEFFREY	ALLZ COLLEGE ACCESS 529 SD	0.00	3.00	0.00	3.00	90.0	2.70
11/15/2017	GARCIA, SUSAN	AM FUNDS AMERICAN MUTUAL 529A	50.00	2.50	0.00	2.50	90.0	2.25
11/15/2017	GARCIA, SUSAN	AM FUNDS AMERICAN MUTUAL 529A	50.00	2.50	0.00	2.50	90.0	2.25
11/15/2017	GARCIA, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.50	0.00	2.50	90.0	2.25
11/15/2017	GARCIA, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.50	0.00	2.50	90.0	2.25
11/10/2017	ST JOHN, FINN	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	90.0	1.92
11/06/2017	GORDON, JEFFREY	COLLEGE CHOICE 529	0.00	1.00	0.00	1.00	90.0	0.90
		* 529 PLANS SUBTOTAL *	\$250.00	\$16.13	\$0.00	\$16.13		\$14.52

NOTES: * - Indicates adjustment is not included in 1099 Earnings

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
11/15/2017	GARCIA, SUSAN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	90.0	2.25
11/15/2017	GARCIA, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	90.0	2.25
11/17/2017	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	125.00	1.25	0.00	1.25	90.0	1.13
11/17/2017	MCELVAIN, TED	INVESCO BALANCED-RISK ALLOCATION-C	75.00	0.75	0.00	0.75	90.0	0.68
11/17/2017	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
11/17/2017	BURTS, TERRY	INVESCO BALANCED-RISK ALLOCATION-C	50.00	0.50	0.00	0.50	90.0	0.45
* MUTUAL FUNDS SUBTOTAL *			\$400.00	\$8.00	\$0.00	\$8.00		\$7.21
*** DIRECT TRANSACTIONS TOTAL ***			\$58,650.00	\$2,799.89	\$0.00	\$2,799.89		\$2,575.42

VERRIDE TRANSACTIONS**BROKER: MARK-S141 REG SMITH #367**

11/15/2017	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.05
11/15/2017	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	48.0	1.05
11/15/2017	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	48.0	1.05
11/15/2017	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	48.0	1.05
11/15/2017	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.05
11/15/2017	UNTIL AGE 21, TX/UTMA	AM FUNDS GROWTH PORT A	50.00	2.13	0.00	2.13	48.0	0.89
11/14/2017	CORLEY, WILBUR	BR TOTAL INC & REAL ESTATE FUND A	0.00	4.27	0.00	4.27	0.0	1.79
* MARK-S141 REG SMITH SUBTOTAL *			\$300.00	\$18.90	\$0.00	\$18.90		\$7.93

BROKER: MARK-S142 ALTS SMITH #368

11/14/2017	BONGIORNO, VALERIE	BR TOTAL INC & REAL ESTATE FUND A	0.00	0.22	0.00	0.22	49.0	0.09
11/14/2017	ORR, PATRICIA	BR TOTAL INC & REAL ESTATE FUND A	0.00	1.69	0.00	1.69	49.0	0.73
11/14/2017	SPENCER, HAROLD	BR TOTAL INC & REAL ESTATE FUND A	0.00	4.71	0.00	4.71	49.0	2.03
11/14/2017	WILSON REV TRUST, WOODROW &	BR TOTAL INC & REAL ESTATE FUND A	0.00	2.13	0.00	2.13	49.0	0.92
11/14/2017	TMICO	BR TOTAL INC & REAL ESTATE FUND C	0.00	18.08	0.00	18.08	49.0	7.77
11/14/2017	TMICO	BR TOTAL INC & REAL ESTATE FUND C	0.00	28.07	0.00	28.07	49.0	12.07
11/14/2017	TMICO	BR TOTAL INC & REAL ESTATE FUND C	0.00	32.56	0.00	32.56	49.0	14.00
11/09/2017	WISE TRUST, LUCILE	COTTONWOOD RESIDENTIAL 2016 PREFR'D	50,000.00	3,500.00	0.00	3,500.00	49.0	1,505.00
* MARK-S142 ALTS SMITH SUBTOTAL *			\$50,000.00	\$3,587.46	\$0.00	\$3,587.46		\$1,542.61
*** OVERRIDE TRANSACTIONS TOTAL ***			\$50,300.00	\$3,606.36	\$0.00	\$3,606.36		\$1,550.54

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
11/30/2017		*FINRA: REFUND OF GA REG FEE	0.00					40.00
11/30/2017		*FINRA: REFUND OF KY REG FEES	0.00					50.00
11/30/2017		*FINRA: TX RIA REG FEE	0.00					-20.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$70.00

BROKER COMMISSION TOTALS

Broker Transactions	\$2,575.42
Split Transactions	\$0.00
Override Transactions	\$1,550.54
Adjustments	\$70.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$4,195.96
Year-to-date Gross	\$111,164.24
Year-to-date Earnings	\$161,669.08

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