

All Companies
STATEMENT
June 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>										
05/03/2018 #	PARK, JUNG	HARTFORD MUTUAL FUNDS INC INTL OPPO S		1,550.00	20.00	20.00	0.00	0.00	90.0	0.00
		* MUTUAL FUNDS SUBTOTAL *		\$1,550.00	\$20.00	\$20.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>										
05/09/2018 #		AGNC INVESTMENT CORP COMMON STOCK B		18,800.00	433.60	19.95	0.00	413.65	90.0	372.29
		* STOCKS SUBTOTAL *		\$18,800.00	\$433.60	\$19.95	\$0.00	\$413.65		\$372.29
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>										
04/07/0018 #501201205046288	WAGNER, ANDRE	DELAWARE SLFMFX11	B	0.00	59.92	0.00	0.00	59.92	90.0	53.93
04/07/0018 #501201250080379	LITTLE, TERRY	DELAWARE SLFMFX11	B	0.00	95.87	0.00	0.00	95.87	90.0	86.28
04/07/0018 #501201250080387	ROCK, STEVEN	DELAWARE SLFMFX11	B	0.00	2,102.38	0.00	0.00	2,102.38	90.0	1,892.14
04/07/0018 #501201250101662	AMADOR,	DELAWARE SLFMFX11	B	0.00	62.80	0.00	0.00	62.80	90.0	56.52
05/07/2018 #VR08464026	MCDONALD, JOHN	PACIFIC LIFE TRAILS	B	0.00	68.51	0.00	0.00	68.51	90.0	61.66
		* VARIABLE ANNUITIES SUBTOTAL *		\$0.00	\$2,389.48	\$0.00	\$0.00	\$2,389.48		\$2,150.53
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
05/09/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	3.07	0.00	0.00	3.07	90.0	2.76
05/09/2018 #	GAROUTTE, MICHAEL	DAIN TRAILER	B	0.00	1.47	0.00	0.00	1.47	90.0	1.32
05/09/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	5.57	0.00	0.00	5.57	90.0	5.01
05/09/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	1.37	0.00	0.00	1.37	90.0	1.23
05/09/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	2.87	0.00	0.00	2.87	90.0	2.58
05/09/2018 #	REED, JAMES	DAIN TRAILER	B	0.00	1.27	0.00	0.00	1.27	90.0	1.14
05/09/2018 #	WRIGHT, KAREN	DAIN TRAILER	B	0.00	1.78	0.00	0.00	1.78	90.0	1.60
05/09/2018 #	WRIGHT, KAREN	DAIN TRAILER	B	0.00	2.14	0.00	0.00	2.14	90.0	1.93
05/09/2018 #	SLAY, BYRON	DAIN TRAILER	B	0.00	0.98	0.00	0.00	0.98	90.0	0.88
05/09/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.02	0.00	0.00	0.02	90.0	0.02
05/09/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.06	0.00	0.00	0.06	90.0	0.05
05/09/2018 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.15	0.00	0.00	0.15	90.0	0.14
05/09/2018 #	LITTLE, TERRY	DAIN TRAILER	B	0.00	2.28	0.00	0.00	2.28	90.0	2.05
05/09/2018 #	LITTLE, TERRY	DAIN TRAILER	B	0.00	0.39	0.00	0.00	0.39	90.0	0.35
05/09/2018 #	LITTLE, TERRY	DAIN TRAILER	B	0.00	0.52	0.00	0.00	0.52	90.0	0.47
05/09/2018 #	LITTLE, TERRY	DAIN TRAILER	B	0.00	1.42	0.00	0.00	1.42	90.0	1.28

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 FUND 12B1 TRAILS</u>										
05/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.31	0.00	0.00	0.31	90.0	0.28
05/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	4.17	0.00	0.00	4.17	90.0	3.75
05/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	1.07	0.00	0.00	1.07	90.0	0.96
05/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.85	0.00	0.00	0.85	90.0	0.77
05/09/2018 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.27	0.00	0.00	0.27	90.0	0.24
05/09/2018 #	LITLE, CATHI JO	DAIN TRAILER	B	0.00	2.25	0.00	0.00	2.25	90.0	2.03
05/09/2018 #	LITLE, CATHI JO	DAIN TRAILER	B	0.00	1.67	0.00	0.00	1.67	90.0	1.50
05/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.40	0.00	0.00	4.40	90.0	3.96
05/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	2.12	0.00	0.00	2.12	90.0	1.91
05/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.55	0.00	0.00	4.55	90.0	4.10
05/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	4.43	0.00	0.00	4.43	90.0	3.99
05/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	5.17	0.00	0.00	5.17	90.0	4.65
05/09/2018 #	BLACKMAN, CARROLL	DAIN TRAILER	B	0.00	7.42	0.00	0.00	7.42	90.0	6.68
05/09/2018 #	WAGNER, JAMES	DAIN TRAILER	B	0.00	2.06	0.00	0.00	2.06	90.0	1.85
05/09/2018 #	WAGNER, ANDRE	DAIN TRAILER	B	0.00	2.72	0.00	0.00	2.72	90.0	2.45
05/09/2018 #	WAGNER, ANDRE	DAIN TRAILER	B	0.00	1.29	0.00	0.00	1.29	90.0	1.16
05/09/2018 #	WAGNER, ANDRE	DAIN TRAILER	B	0.00	1.23	0.00	0.00	1.23	90.0	1.11
05/09/2018 #	POWERS, DEBORAH	DAIN TRAILER	B	0.00	0.67	0.00	0.00	0.67	90.0	0.60
05/09/2018 #	POWERS, RICHARD	DAIN TRAILER	B	0.00	0.66	0.00	0.00	0.66	90.0	0.59
05/09/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	0.62	0.00	0.00	0.62	90.0	0.56
05/09/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	0.38	0.00	0.00	0.38	90.0	0.34
05/09/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	2.12	0.00	0.00	2.12	90.0	1.91
05/09/2018 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	2.94	0.00	0.00	2.94	90.0	2.65
05/09/2018 #	KNIEF, LEWIS	DAIN TRAILER	B	0.00	20.61	0.00	0.00	20.61	90.0	18.55
05/09/2018 #	KNIEF, LEWIS	DAIN TRAILER	B	0.00	22.69	0.00	0.00	22.69	90.0	20.42
05/09/2018 #	STEWART, GARY	DAIN TRAILER	B	0.00	2.66	0.00	0.00	2.66	90.0	2.39
05/09/2018 #	MCDONALD, JOHN	DAIN TRAILER	B	0.00	2.06	0.00	0.00	2.06	90.0	1.85
05/09/2018 #	MCDONALD, SHARON	DAIN TRAILER	B	0.00	2.37	0.00	0.00	2.37	90.0	2.13
05/09/2018 #	MCDONALD, JOHN	DAIN TRAILER	B	0.00	0.93	0.00	0.00	0.93	90.0	0.84
05/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	1.24	0.00	0.00	1.24	90.0	1.12
05/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	1.24	0.00	0.00	1.24	90.0	1.12
05/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	3.76	0.00	0.00	3.76	90.0	3.38
05/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.22	0.00	0.00	0.22	90.0	0.20
05/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.05	0.00	0.00	0.05	90.0	0.05
05/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.64	0.00	0.00	0.64	90.0	0.58
05/09/2018 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.21	0.00	0.00	0.21	90.0	0.19
05/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.98	0.00	0.00	3.98	90.0	3.58
05/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	6.24	0.00	0.00	6.24	90.0	5.62
05/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.46	0.00	0.00	3.46	90.0	3.11
05/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	2.64	0.00	0.00	2.64	90.0	2.38

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
05/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.83	0.00	0.00	3.83	90.0	3.45
05/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.77	0.00	0.00	3.77	90.0	3.39
05/09/2018 #	BRINKERHOFF, MARJORIE	DAIN TRAILER	B	0.00	10.24	0.00	0.00	10.24	90.0	9.22
05/09/2018 #	SMITH, WESTIN	DAIN TRAILER	B	0.00	0.20	0.00	0.00	0.20	90.0	0.18
05/09/2018 #	PARK, PAEK	DAIN TRAILER	B	0.00	1.69	0.00	0.00	1.69	90.0	1.52
05/09/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.90	0.00	0.00	0.90	90.0	0.81
05/09/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.36	0.00	0.00	0.36	90.0	0.32
05/09/2018 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.41	0.00	0.00	0.41	90.0	0.37
05/09/2018 #	MOORE, KATHERINE	DAIN TRAILER	B	0.00	1.04	0.00	0.00	1.04	90.0	0.94
05/09/2018 #	PARK, SUSAN	DAIN TRAILER	B	0.00	4.42	0.00	0.00	4.42	90.0	3.98
05/09/2018 #	PARK, SUSAN	DAIN TRAILER	B	0.00	0.68	0.00	0.00	0.68	90.0	0.61
05/09/2018 #	HIZA, STEVEN	DAIN TRAILER	B	0.00	2.27	0.00	0.00	2.27	90.0	2.04
05/09/2018 #	HIZA, STEVEN	DAIN TRAILER	B	0.00	1.42	0.00	0.00	1.42	90.0	1.28
05/09/2018 #	BILLS, BARBARA	DAIN TRAILER	B	0.00	0.23	0.00	0.00	0.23	90.0	0.21
05/09/2018 #	BILLS, BARBARA	DAIN TRAILER	B	0.00	0.46	0.00	0.00	0.46	90.0	0.41
05/09/2018 #	GILLGREN, JERRY	DAIN TRAILER	B	0.00	0.29	0.00	0.00	0.29	90.0	0.26
05/09/2018 #	REED, CASEY	DAIN TRAILER	B	0.00	6.23	0.00	0.00	6.23	90.0	5.61
05/09/2018 #	CROWELL-GILLGREN, CHRISTINA	DAIN TRAILER	B	0.00	1.68	0.00	0.00	1.68	90.0	1.51
05/09/2018 #	CROWELL-GILLGREN, CHRISTINA	DAIN TRAILER	B	0.00	12.73	0.00	0.00	12.73	90.0	11.46
05/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.29	0.00	0.00	2.29	90.0	2.06
05/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.27	0.00	0.00	2.27	90.0	2.04
05/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.40	0.00	0.00	2.40	90.0	2.16
05/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	3.87	0.00	0.00	3.87	90.0	3.48
05/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.22	0.00	0.00	2.22	90.0	2.00
05/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.46	0.00	0.00	2.46	90.0	2.21
05/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.40	0.00	0.00	2.40	90.0	2.16
05/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	1.26	0.00	0.00	1.26	90.0	1.13
05/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.51	0.00	0.00	2.51	90.0	2.26
05/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.28	0.00	0.00	2.28	90.0	2.05
05/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	1.24	0.00	0.00	1.24	90.0	1.12
05/09/2018 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.80	0.00	0.00	2.80	90.0	2.52
05/09/2018 #	RUFFNER, EMMA	DAIN TRAILER	B	0.00	1.29	0.00	0.00	1.29	90.0	1.16
05/09/2018 #	GILLGREN, JERRY	DAIN TRAILER	B	0.00	1.39	0.00	0.00	1.39	90.0	1.25
05/09/2018 #	BOWLES, DRAKE	DAIN TRAILER	B	0.00	0.90	0.00	0.00	0.90	90.0	0.81
05/09/2018 #	RAE, PETER	DAIN TRAILER	B	0.00	1.60	0.00	0.00	1.60	90.0	1.44
05/09/2018 #	RAZZOUQ, FRANKO	DAIN TRAILER	B	0.00	1.35	0.00	0.00	1.35	90.0	1.22
05/09/2018 #	RAZZOUQ, FRANKO	DAIN TRAILER	B	0.00	2.75	0.00	0.00	2.75	90.0	2.48
05/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.56	0.00	0.00	0.56	90.0	0.50
05/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.84	0.00	0.00	0.84	90.0	0.76
05/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	1.46	0.00	0.00	1.46	90.0	1.31

COMMISSION STATEMENT for THOMAS SMITH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
05/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.44	0.00	0.00	0.44	90.0	0.40
05/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.68	0.00	0.00	0.68	90.0	0.61
05/09/2018 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	1.34	0.00	0.00	1.34	90.0	1.21
05/09/2018 #	GAROUTTE, MICHAEL	DAIN TRAILER	B	0.00	0.46	0.00	0.00	0.46	90.0	0.41
05/09/2018 #	HAMMOND, NORMA	DAIN TRAILER	B	0.00	1.60	0.00	0.00	1.60	90.0	1.44
05/09/2018 #	ROCK, MATTHEW	DAIN TRAILER	B	0.00	1.58	0.00	0.00	1.58	90.0	1.42
05/09/2018 #	ROCK, ZACHARY	DAIN TRAILER	B	0.00	0.93	0.00	0.00	0.93	90.0	0.84
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$253.75	\$0.00	\$0.00	\$253.75		\$228.38
*** BROKER TRANSACTIONS TOTAL ***				\$20,350.00	\$3,096.83	\$39.95	\$0.00	\$3,056.88		\$2,751.20

ADJUSTMENTS

06/20/2018	ADMIN FEE: ADMIN FEE	-390.00
06/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
*** ADJUSTMENTS TOTAL ***		\$-569.00

BROKER COMMISSION TOTALS

Broker Transactions	\$2,751.20
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	\$2,182.20
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