

# COMMISSION STATEMENT July 15, 2018

DREW NIXON-D350

BROKER #: D350

BRANCH: DMV

, TX

**COMMISSION STATEMENT for DREW NIXON-D350**

| TRADE DATE                                     | CLIENT      | INVESTMENT        | B/S | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE   | BROKER<br>COMMISSION |      |          |
|--|-------------|-------------------|-----|---------------------------------|---------------------|--------------------|-------------------|--------|----------------------|------|----------|
| DIRECT TRANSACTIONS                            |             |                   |     |                                 |                     |                    |                   |        |                      |      |          |
| PRODUCT CATEGORY: MUTUAL FUNDS                 |             |                   |     |                                 |                     |                    |                   |        |                      |      |          |
| 06/25/2018                                     | 00063249990 | CARTER, PAULA     | MF  | CAPITAL INCOME BUILDER-A        | B                   | 212.50             | 4.25              | 0.00   | 4.25                 | 90.0 | 3.83     |
| 06/25/2018                                     | 00063249990 | CARTER, PAULA     | MF  | CAPITAL WORLD GROWTH AND INCOME | B                   | 212.50             | 4.25              | 0.00   | 4.25                 | 90.0 | 3.83     |
| 06/25/2018                                     | 00063249990 | CARTER, PAULA     | MF  | NEW PERSPECTIVE FUND-A          | B                   | 212.50             | 4.25              | 0.00   | 4.25                 | 90.0 | 3.83     |
| 06/25/2018                                     | 00063249990 | CARTER, PAULA     | MF  | THE INCOME FUND OF AMERICA-A    | B                   | 212.50             | 4.25              | 0.00   | 4.25                 | 90.0 | 3.83     |
| * MUTUAL FUNDS SUBTOTAL *                      |             |                   |     |                                 |                     | \$850.00           | \$17.00           | \$0.00 | \$17.00              |      | \$15.32  |
| PRODUCT CATEGORY: VARIABLE ANNUITIES           |             |                   |     |                                 |                     |                    |                   |        |                      |      |          |
| 06/30/2018                                     | 1008334745  | WEDDEL, LOIS      | VA  | PERSPECTIVE L                   | B                   | 79,843.52          | 93.15             | 0.00   | 93.15                | 90.0 | 83.84    |
| * VARIABLE ANNUITIES SUBTOTAL *                |             |                   |     |                                 |                     | \$79,843.52        | \$93.15           | \$0.00 | \$93.15              |      | \$83.84  |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS      |             |                   |     |                                 |                     |                    |                   |        |                      |      |          |
| 06/30/2018                                     | (None)      | NIXON, VARIOUS    | MFT | OPPENHEIMER                     | B                   | 0.00               | 69.83             | 0.00   | 69.83                | 90.0 | 62.85    |
| 07/01/2018                                     | 00060135336 | DUBOSE, ONEIDA    | MFT | MFS HIGH INCOME FUND-A          | B                   | 0.00               | 7.54              | 0.00   | 7.54                 | 90.0 | 6.79     |
| 07/02/2018                                     | 00240029432 | DURRETT, HELEN    | MFT | PUTNAM 746870104                | B                   | 0.00               | 10.04             | 0.00   | 10.04                | 90.0 | 9.04     |
| 07/02/2018                                     | 00240029432 | DURRETT, HELEN    | MFT | PUTNAM 746870104                | B                   | 0.00               | 33.90             | 0.00   | 33.90                | 90.0 | 30.51    |
| 07/01/2018                                     | 00670045780 | WALTON, LINDA     | MFT | AIM TECHNOLOGY FUND - CLASS A   | B                   | 0.00               | 1.34              | 0.00   | 1.34                 | 90.0 | 1.21     |
| 07/01/2018                                     | 00670141894 | SCOTT,            | MFT | AIM INTERMEDIATE GOVERNMENT FD  | B                   | 0.00               | 22.73             | 0.00   | 22.73                | 90.0 | 20.46    |
| 07/03/2018                                     | 00966833112 | ITES, DAWN        | MFT | PIONEER VALUE FUND A            | B                   | 0.00               | 3.00              | 0.00   | 3.00                 | 90.0 | 2.70     |
| 07/01/2018                                     | 03809425006 | ALLGOOD, CATHY    | MFT | INVESCO VALUE OPPORTUNITIES     | B                   | 0.00               | 8.22              | 0.00   | 8.22                 | 90.0 | 7.40     |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *           |             |                   |     |                                 |                     | \$0.00             | \$156.60          | \$0.00 | \$156.60             |      | \$140.96 |
| PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS |             |                   |     |                                 |                     |                    |                   |        |                      |      |          |
| 06/26/2018                                     | (None)      | ANDRUS, JAMES     | VAT | AMERICAN GENERAL                | B                   | 0.00               | 32.63             | 0.00   | 32.63                | 90.0 | 29.37    |
| 06/28/2018                                     | (None)      | COOPER, TINA      | VAT | DELAWARE LIFE                   | B                   | 0.00               | 35.51             | 0.00   | 35.51                | 90.0 | 31.96    |
| 06/28/2018                                     | (None)      | WILLIAMS, DOUGLAS | VAT | DELAWARE LIFE                   | B                   | 0.00               | 17.49             | 0.00   | 17.49                | 90.0 | 15.74    |
| 06/30/2018                                     | (None)      | NIXON, VARIOUS    | VAT | HARTFORD LIFE                   | B                   | 0.00               | 173.09            | 0.00   | 173.09               | 90.0 | 155.78   |
| 06/30/2018                                     | (None)      | MCMILLAN, SHELBY  | VAT | LINCOLN NATL LIFE               | B                   | 0.00               | 51.12             | 0.00   | 51.12                | 90.0 | 46.01    |
| 07/05/2018                                     | (None)      | NIXON, VARIOUS    | VAT | AMERICAN GENERAL                | B                   | 0.00               | 100.03            | 0.00   | 100.03               | 90.0 | 90.03    |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *      |             |                   |     |                                 |                     | \$0.00             | \$409.87          | \$0.00 | \$409.87             |      | \$368.89 |
| *** DIRECT TRANSACTIONS TOTAL ***              |             |                   |     |                                 |                     | \$80,693.52        | \$676.62          | \$0.00 | \$676.62             |      | \$609.01 |

COMMISSION STATEMENT for DREW NIXON-D350

| TRADE DATE                          | CLIENT                         | INVESTMENT                       | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|-------------------------------------|--------------------------------|----------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u>      |                                |                                  |     |                      |                     |                    |                   |      |                      |
| <b>BROKER: JIM HUGHES-D349 #138</b> |                                |                                  |     |                      |                     |                    |                   |      |                      |
| 06/26/2018                          | (None) HUGHES, VARIOUS         | MF MAINSTAY                      | B   | 0.00                 | 30.56               | 0.00               | 30.56             |      | 3.06                 |
| 06/25/2018                          | 000000000055083 MEDLEY, DONNA  | MF FRANKLIN REAL RETURN          | B   | 250.00               | 2.50                | 0.00               | 2.50              |      | 0.25                 |
| 07/02/2018                          | 0000000001642697 RODGEKATH     | MF FRK TEMP FOUNDING FUNDS ALLOC | B   | 100.00               | 1.00                | 0.00               | 1.00              |      | 0.10                 |
| 06/25/2018                          | 0000000003912312 ADAMS, MICH   | MF MUTUAL SHRS FND - CL C        | B   | 300.00               | 3.00                | 0.00               | 3.00              |      | 0.30                 |
| 06/25/2018                          | 0000000004070696 MEDLEY, DONNA | MF MUTUAL DISC FND - CL C        | B   | 250.00               | 2.50                | 0.00               | 2.50              |      | 0.25                 |
| 07/02/2018                          | 0000000007053662 DUFREMAXA     | MF CUSIP 645769696               | B   | 100.00               | 5.00                | 0.00               | 5.00              |      | 0.50                 |
| 07/02/2018                          | 0000000012760498 POLLOSTEP     | MF FRANKLIN INCOME FUND CLASS C  | B   | 458.33               | 4.58                | 0.00               | 4.58              |      | 0.46                 |
| 07/05/2018                          | 0000000012879742 HUFFMMICHR    | MF FRANKLIN INCOME FUND CLASS C  | B   | 200.00               | 2.00                | 0.00               | 2.00              |      | 0.20                 |
| 06/28/2018                          | 000090237684460 ADAMSJOSCN     | MF FRANKLIN INCOME FUND CLASS A  | B   | 300.00               | 12.00               | 0.00               | 12.00             |      | 1.20                 |
| 07/05/2018                          | (None) ELWELL, JOSEPH          | VA SECURITY BENEFIT LIFE         | B   | 0.00                 | 28.67               | 0.00               | 28.67             |      | 2.87                 |
| 07/05/2018                          | (None) POWELL, CANDACE         | VA SECURITY BENEFIT LIFE         | B   | 0.00                 | 55.51               | 0.00               | 55.51             |      | 5.55                 |
| 07/02/2018                          | 00711540132 GILLIS, MARY       | VA HARTFORD LIFE                 | B   | 50.00                | 3.00                | 0.00               | 3.00              |      | 0.30                 |
| 07/02/2018                          | 00711540132 LOVELADY, JERRY    | VA HARTFORD LIFE                 | B   | 604.72               | 42.33               | 0.00               | 42.33             |      | 4.23                 |
| 07/02/2018                          | 00711540132 ESTER, NORMAN      | VA HARTFORD LIFE                 | B   | 236.22               | 16.54               | 0.00               | 16.54             |      | 1.65                 |
| 06/18/2018                          | 00712821077 LOVELADY, JERRY    | VA HARTFORD LIFE                 | B   | 0.00                 | 42.33               | 0.00               | 42.33             |      | 4.23                 |
| 06/18/2018                          | 00712821077 ESTER, NORMAN      | VA HARTFORD LIFE                 | B   | 0.00                 | 16.54               | 0.00               | 16.54             |      | 1.65                 |
| 06/28/2018                          | (None) POWELL, CANDACE         | VAT SECURITY BENEFIT LIFE        | B   | 0.00                 | 10.53               | 0.00               | 10.53             |      | 1.05                 |
| 06/28/2018                          | (None) POWELL, CANDACE         | VAT SECURITY BENEFIT LIFE        | B   | 0.00                 | 65.51               | 0.00               | 65.51             |      | 6.55                 |
| 06/28/2018                          | (None) TAYLOR, JEWELL          | VAT SECURITY BENEFIT LIFE        | B   | 0.00                 | 1.09                | 0.00               | 1.09              |      | 0.11                 |
| 06/28/2018                          | (None) FISHBACK, CECILE        | VAT SECURITY BENEFIT LIFE        | B   | 0.00                 | 0.71                | 0.00               | 0.71              |      | 0.07                 |
| 06/28/2018                          | (None) BALDWIN, PATRICIA       | VAT SECURITY BENEFIT LIFE        | B   | 0.00                 | 0.54                | 0.00               | 0.54              |      | 0.05                 |
| 06/28/2018                          | (None) ELWELL, JOSEPH          | VAT SECURITY BENEFIT LIFE        | B   | 0.00                 | 29.50               | 0.00               | 29.50             |      | 2.95                 |
| 06/30/2018                          | (None) HUGHES, VARIOUS         | VAT HARTFORD LIFE                | B   | 0.00                 | 769.13              | 0.00               | 769.13            |      | 76.91                |
| 07/09/2018                          | (None) ADVANTAGE               | VAT MASS MUTUAL                  | B   | 0.00                 | 721.91              | 0.00               | 721.91            |      | 72.19                |
| 07/09/2018                          | (None) WEAVERMOT               | VAT MASS MUTUAL                  | B   | 0.00                 | 3,466.85            | 0.00               | 3,466.85          |      | 346.69               |
| 07/03/2018                          | VM15001220 MATTHEWS, LATISHA   | VAT PACIFIC LIFE VA 69448B191    | B   | 0.00                 | 10.75               | 0.00               | 10.75             |      | 1.08                 |
| 07/03/2018                          | VM17002103 WEBB, BRIAN         | VAT PACIFIC LIFE VA 69448B191    | B   | 0.00                 | 14.92               | 0.00               | 14.92             |      | 1.49                 |
| 07/03/2018                          | VM17004814 DAVIES, ANDREW      | VAT PACIFIC LIFE VA 69448B191    | B   | 0.00                 | 6.54                | 0.00               | 6.54              |      | 0.65                 |
| 07/03/2018                          | VM17004943 WINN, TYLER         | VAT PACIFIC LIFE VA 69448B191    | B   | 0.00                 | 10.83               | 0.00               | 10.83             |      | 1.08                 |
| 07/03/2018                          | VR11009288 DRAKE, JORDAN       | VAT PACIFIC LIFE CUSIP 694475807 | B   | 0.00                 | 20.83               | 0.00               | 20.83             |      | 2.08                 |
| 07/03/2018                          | VR11010756 OGDEN, KRISTI       | VAT PACIFIC LIFE CUSIP 694475807 | B   | 0.00                 | 13.73               | 0.00               | 13.73             |      | 1.37                 |
| * JIM HUGHES-D349 SUBTOTAL *        |                                |                                  |     | <b>\$2,849.27</b>    | <b>\$5,411.43</b>   | <b>\$0.00</b>      | <b>\$5,411.43</b> |      | <b>\$541.12</b>      |
| *** OVERRIDE TRANSACTIONS TOTAL *** |                                |                                  |     | <b>\$2,849.27</b>    | <b>\$5,411.43</b>   | <b>\$0.00</b>      | <b>\$5,411.43</b> |      | <b>\$541.12</b>      |

**BROKER COMMISSION TOTALS**

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$609.01 |
| Split Transactions    | \$0.00   |
| Override Transactions | \$541.12 |
| Adjustments           | \$0.00   |
| Payroll Draw          | \$0.00   |
| Base Salary           | \$0.00   |
| Prior Period Balance  | \$0.00   |
| FINRA Assessment      | \$0.00   |
| SIPC Assessment       | \$0.00   |

|                                 |                    |
|---------------------------------|--------------------|
| <b>Net Commissions</b>          | <b>\$1,150.13</b>  |
| <b>Year-to-date Commissions</b> | <b>\$49,621.54</b> |