

**COMMISSION STATEMENT****July 31, 2018**

MARK-S141 REG SMITH

BROKER #: S141

BRANCH: WOODS FINANCIAL

, MI

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 07/16/2018 | JOHNSON, FRANKLIN | AM FUNDS AMCAP A | 50.00 | 2.13 | 0.00 | 2.13 | 48.0 | 1.02 |
| 07/16/2018 | JOHNSON, FRANKLIN | AM FUNDS AMERICAN MUTUAL A | 50.00 | 2.13 | 0.00 | 2.13 | 48.0 | 1.02 |
| 07/16/2018 | JOHNSON, FRANKLIN | AM FUNDS EUROPACIFIC GROWTH FUND A | 50.00 | 2.13 | 0.00 | 2.13 | 48.0 | 1.02 |
| 07/16/2018 | JOHNSON, FRANKLIN | AM FUNDS FUNDAMENTAL INVESTORS A | 50.00 | 2.13 | 0.00 | 2.13 | 48.0 | 1.02 |
| 07/16/2018 | JOHNSON, FRANKLIN | AM FUNDS GROWTH FUND OF AMERICA A | 50.00 | 2.13 | 0.00 | 2.13 | 48.0 | 1.02 |
| 07/16/2018 | VOORHEES, CLIFFORD | AM FUNDS GROWTH PORT A | 50.00 | 1.88 | 0.00 | 1.88 | 48.0 | 0.90 |
| 07/05/2018 | SPURGIN, LISBETH | FT FOUNDING FDS ALLOC C | 300.00 | 3.00 | 0.00 | 3.00 | 48.0 | 1.44 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$600.00 | \$15.53 | \$0.00 | \$15.53 | | \$7.44 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 07/13/2018 | KIRKLAND, BILLY | AM GEN POLARIS PLATINUM III | 42,550.42 | 2,978.53 | 0.00 | 2,978.53 | 48.0 | 1,429.69 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$42,550.42 | \$2,978.53 | \$0.00 | \$2,978.53 | | \$1,429.69 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 07/01/2018 | WHISTLER, ROBERT | INVESCO ASIA PACIFIC GROWTH C | 0.00 | 8.13 | 0.00 | 8.13 | 48.0 | 3.90 |
| 07/01/2018 | BRIDGES, JANIS | INVESCO BALANCED RISK ALLOCATION A | 0.00 | 13.37 | 0.00 | 13.37 | 48.0 | 6.42 |
| 07/01/2018 | TMICO | INVESCO BALANCED RISK ALLOCATION A | 0.00 | 4.93 | 0.00 | 4.93 | 48.0 | 2.37 |
| 07/01/2018 | TMICO | INVESCO BALANCED RISK ALLOCATION A | 0.00 | 15.26 | 0.00 | 15.26 | 48.0 | 7.32 |
| 07/01/2018 | WALLACE, SHEILA | INVESCO BALANCED RISK ALLOCATION A | 0.00 | 0.03 | 0.00 | 0.03 | 48.0 | 0.01 |
| 07/01/2018 | GODWIN, SANDRA | INVESCO BALANCED-RISK ALLOCATION-C | 0.00 | 39.54 | 0.00 | 39.54 | 48.0 | 18.98 |
| 07/01/2018 | TMICO | INVESCO BALANCED-RISK ALLOCATION-C | 0.00 | 41.60 | 0.00 | 41.60 | 48.0 | 19.97 |
| 07/01/2018 | WHISTLER, ROBERT | INVESCO BALANCED-RISK ALLOCATION-C | 0.00 | 17.17 | 0.00 | 17.17 | 48.0 | 8.24 |
| 07/01/2018 | WALLACE, CHARLES | INVESCO BALANCED-RISK ALLOCATION-C | 0.00 | 27.29 | 0.00 | 27.29 | 48.0 | 13.10 |
| 07/01/2018 | DODD, AIMEE | INVESCO BALANCED-RISK ALLOCATION-C | 0.00 | 58.54 | 0.00 | 58.54 | 48.0 | 28.10 |
| 07/01/2018 | DODD, AIMEE | INVESCO CORPORATE BOND A | 0.00 | 0.30 | 0.00 | 0.30 | 48.0 | 0.14 |
| 07/01/2018 | WHISTLER, ROBERT | INVESCO DIV INC 00142F519 | 0.00 | 17.91 | 0.00 | 17.91 | 48.0 | 8.60 |
| 07/01/2018 | WHISTLER, ROBERT | INVESCO GLOBAL HEALTH CARE C | 0.00 | 6.87 | 0.00 | 6.87 | 48.0 | 3.30 |

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> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 07/01/2018 | WHISTLER, ROBERT | INVESCO MID CAP GROWTH FUND - CLASS | 0.00 | 5.80 | 0.00 | 5.80 | 48.0 | 2.78 |
| 07/01/2018 | DODD, AIMEE | INVESCO TECHNOLOGY A | 0.00 | 0.45 | 0.00 | 0.45 | 48.0 | 0.22 |
| / / | ORR, RICHARD | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 5.21 | 0.00 | 5.21 | 48.0 | 2.50 |
| 07/05/2018 | WARD, SHERRY | PIMCO INCOME FUND C | 0.00 | 2.44 | 0.00 | 2.44 | 48.0 | 1.17 |
| 07/05/2018 | WARD, SHERRY | PIMCO INCOME FUND C | 0.00 | 6.34 | 0.00 | 6.34 | 48.0 | 3.04 |
| 07/05/2018 | MASHBURN, PHYLLIS | PIMCO INCOME FUND C | 0.00 | 0.34 | 0.00 | 0.34 | 48.0 | 0.16 |
| 07/05/2018 | MASHBURN, PHYLLIS | PIMCO INCOME FUND C | 0.00 | 0.89 | 0.00 | 0.89 | 48.0 | 0.43 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$272.41 | \$0.00 | \$272.41 | | \$130.75 |
| *** DIRECT TRANSACTIONS TOTAL *** | | | \$43,150.42 | \$3,266.47 | \$0.00 | \$3,266.47 | | \$1,567.88 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$1,567.88 |
| 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 | \$1,567.88 |
| Year-to-date Gross | \$75,303.95 |
| Year-to-date Earnings | \$36,103.91 |

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