

# COMMISSION STATEMENT

January 15, 2018

RANDY SMITH-D601

BROKER #: D601

BRANCH: DMA

, TX

## COMMISSION STATEMENT for RANDY SMITH-D601

| 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

|                           |             |   |   |         |        |        |        |      |        |
|---------------------------|-------------|---|---|---------|--------|--------|--------|------|--------|
| 01/02/2018                | 08190128650 | GIFT MIN ACT-SD, MF MFS MID CAP GROWTH FUND-C | B | 50.00   | 0.50   | 0.00   | 0.50   | 20.0 | 0.10   |
| * MUTUAL FUNDS SUBTOTAL * |             |   |   | \$50.00 | \$0.50 | \$0.00 | \$0.50 |      | \$0.10 |

#### PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

|            |             |                   |                                     |   |      |        |      |        |      |       |
|------------|-------------|-------------------|-------------------------------------|---|------|--------|------|--------|------|-------|
| 01/01/2018 | 00090001299 | GULF STATES       | MFT MFS INTERNATIONAL GROWTH FUND-C | B | 0.00 | 138.68 | 0.00 | 138.68 | 20.0 | 27.74 |
| 01/01/2018 | 00090002000 | GULF STATES       | MFT MFS TECHNOLOGY FUND-C           | B | 0.00 | 225.04 | 0.00 | 225.04 | 20.0 | 45.01 |
| 01/01/2018 | 00090002235 | GULF STATES       | MFT MFS MID CAP VALUE FUND-C        | B | 0.00 | 175.28 | 0.00 | 175.28 | 20.0 | 35.06 |
| 01/01/2018 | 00090002652 | GULF STATES       | MFT MFS EMERGING MARKETS EQUITY     | B | 0.00 | 70.96  | 0.00 | 70.96  | 20.0 | 14.19 |
| 01/01/2018 | 00090011485 | GULF STATES       | MFT MFS INTERNATIONAL NEW DISCOVERY | B | 0.00 | 141.58 | 0.00 | 141.58 | 20.0 | 28.32 |
| 01/01/2018 | 08187623236 | ST JULIEN, ERIC   | MFT MFS MID CAP GROWTH FUND-A       | B | 0.00 | 7.38   | 0.00 | 7.38   | 20.0 | 1.48  |
| 01/01/2018 | 08187623236 | ST JULIEN, ERIC   | MFT MFS MID CAP VALUE FUND-A        | B | 0.00 | 24.75  | 0.00 | 24.75  | 20.0 | 4.95  |
| 01/01/2018 | 08189050828 | SASSEN, JOHN      | MFT MFS INTERNATIONAL NEW DISCOVERY | B | 0.00 | 47.02  | 0.00 | 47.02  | 20.0 | 9.40  |
| 01/01/2018 | 08189189584 | CORBETT LIVING    | MFT MFS UTILITIES FUND-C            | B | 0.00 | 0.99   | 0.00 | 0.99   | 20.0 | 0.20  |
| 01/01/2018 | 08189251981 | WARNIE, BARBARA   | MFT MFS TECHNOLOGY FUND-C           | B | 0.00 | 81.58  | 0.00 | 81.58  | 20.0 | 16.32 |
| 01/01/2018 | 08189384163 | DELSA, SUZANNE    | MFT MFS INTERNATIONAL NEW DISCOVERY | B | 0.00 | 4.80   | 0.00 | 4.80   | 20.0 | 0.96  |
| 01/01/2018 | 08189400866 | KNIGHT, WILLIAM   | MFT MFS INTERNATIONAL NEW DISCOVERY | B | 0.00 | 0.74   | 0.00 | 0.74   | 20.0 | 0.15  |
| 01/01/2018 | 08189401119 | JAMII BARAKA ST   | MFT MFS INTERNATIONAL NEW DISCOVERY | B | 0.00 | 4.63   | 0.00 | 4.63   | 20.0 | 0.93  |
| 01/01/2018 | 08189401119 | JAMII BARAKA ST   | MFT MFS MID CAP VALUE FUND-A        | B | 0.00 | 3.13   | 0.00 | 3.13   | 20.0 | 0.63  |
| 01/01/2018 | 08189401123 | ST JULIEN,        | MFT MFS INTERNATIONAL NEW DISCOVERY | B | 0.00 | 8.07   | 0.00 | 8.07   | 20.0 | 1.61  |
| 01/01/2018 | 08189401123 | ST JULIEN,        | MFT MFS MID CAP VALUE FUND-A        | B | 0.00 | 13.67  | 0.00 | 13.67  | 20.0 | 2.73  |
| 01/01/2018 | 08189402020 | TAZAMA UPENDO ST. | MFT MFS INTERNATIONAL VALUE FUND-A  | B | 0.00 | 3.01   | 0.00 | 3.01   | 20.0 | 0.60  |
| 01/01/2018 | 08189516581 | COCKERHAM, CAROL  | MFT MFS INTERNATIONAL NEW DISCOVERY | B | 0.00 | 10.64  | 0.00 | 10.64  | 20.0 | 2.13  |
| 01/01/2018 | 08190039961 | COCKERHAM, CAROL  | MFT MFS INTERNATIONAL NEW DISCOVERY | B | 0.00 | 148.92 | 0.00 | 148.92 | 20.0 | 29.78 |
| 01/01/2018 | 08190095532 | SASSEN, JOHN      | MFT MFS CORE EQUITY FUND-C          | B | 0.00 | 37.32  | 0.00 | 37.32  | 20.0 | 7.46  |
| 01/01/2018 | 08190123620 | GIFT MIN ACT LA,  | MFT MFS UTILITIES FUND-C            | B | 0.00 | 14.76  | 0.00 | 14.76  | 20.0 | 2.95  |
| 01/01/2018 | 08190128650 | GIFT MIN ACT-SD,  | MFT MFS MID CAP GROWTH FUND-C       | B | 0.00 | 17.34  | 0.00 | 17.34  | 20.0 | 3.47  |
| 01/01/2018 | 08190129109 | MARY BUQUOI FINN  | MFT MFS DIVERSIFIED INCOME FUND-C   | B | 0.00 | 5.84   | 0.00 | 5.84   | 20.0 | 1.17  |
| 01/01/2018 | 08190129109 | MARY BUQUOI FINN  | MFT MFS GROWTH FUND-C               | B | 0.00 | 17.91  | 0.00 | 17.91  | 20.0 | 3.58  |
| 01/01/2018 | 08190129110 | MARY BUQUOI FINN  | MFT MFS GROWTH FUND-C               | B | 0.00 | 21.39  | 0.00 | 21.39  | 20.0 | 4.28  |
| 01/01/2018 | 08190129112 | MARY BUQUOI FINN  | MFT MFS GROWTH FUND-C               | B | 0.00 | 14.89  | 0.00 | 14.89  | 20.0 | 2.98  |
| 01/01/2018 | 08190129112 | MARY BUQUOI FINN  | MFT MFS MID CAP VALUE FUND-C        | B | 0.00 | 5.54   | 0.00 | 5.54   | 20.0 | 1.11  |

COMMISSION STATEMENT for RANDY SMITH-D601

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|------------------------|-------------------|-------------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| 01/01/2018 08190129113 | MARY BUQUOI FINN  | MFT MFS GROWTH FUND-C               | B   | 0.00                 | 13.93               | 0.00               | 13.93             | 20.0 | 2.79                 |
| 01/01/2018 08190129113 | MARY BUQUOI FINN  | MFT MFS MID CAP VALUE FUND-C        | B   | 0.00                 | 5.54                | 0.00               | 5.54              | 20.0 | 1.11                 |
| 01/01/2018 08190130171 | PROPERTY,         | MFT MFS GROWTH FUND-C               | B   | 0.00                 | 40.06               | 0.00               | 40.06             | 20.0 | 8.01                 |
| 01/01/2018 08190130171 | PROPERTY,         | MFT MFS MID CAP GROWTH FUND-C       | B   | 0.00                 | 38.02               | 0.00               | 38.02             | 20.0 | 7.60                 |
| 01/01/2018 08191017415 | COCKERHAM, CAROL  | MFT MFS MID CAP GROWTH FUND-A       | B   | 0.00                 | 55.94               | 0.00               | 55.94             | 20.0 | 11.19                |
| 01/01/2018 08191029111 | LA, UTMA          | MFT MFS GROWTH FUND-C               | B   | 0.00                 | 18.23               | 0.00               | 18.23             | 20.0 | 3.65                 |
| 01/01/2018 08191041110 | LIVING TR UA DTD  | MFT MFS INTERNATIONAL GROWTH FUND-C | B   | 0.00                 | 19.49               | 0.00               | 19.49             | 20.0 | 3.90                 |
| 01/01/2018 08191041110 | LIVING TR UA DTD  | MFT MFS MID CAP GROWTH FUND-C       | B   | 0.00                 | 23.80               | 0.00               | 23.80             | 20.0 | 4.76                 |
| 01/01/2018 08191041110 | LIVING TR UA DTD  | MFT MFS MID CAP VALUE FUND-C        | B   | 0.00                 | 25.38               | 0.00               | 25.38             | 20.0 | 5.08                 |
| 01/01/2018 08191043389 | GIFT MIN ACT LA,  | MFT MFS MID CAP VALUE FUND-A        | B   | 0.00                 | 6.69                | 0.00               | 6.69              | 20.0 | 1.34                 |
| 01/01/2018 08191043390 | GIFT MIN ACT LA,  | MFT MFS TECHNOLOGY FUND-A           | B   | 0.00                 | 8.55                | 0.00               | 8.55              | 20.0 | 1.71                 |
| 01/01/2018 08191059944 | FINN, JOHN        | MFT MFS DIVERSIFIED INCOME FUND-C   | B   | 0.00                 | 108.85              | 0.00               | 108.85            | 20.0 | 21.77                |
| 01/01/2018 08191117462 | DELSA, SUZANNE    | MFT MFS MID CAP VALUE FUND-C        | B   | 0.00                 | 9.30                | 0.00               | 9.30              | 20.0 | 1.86                 |
| 01/01/2018 08191122694 | KNIGHT, WILLIAM   | MFT MFS INTERNATIONAL GROWTH FUND-C | B   | 0.00                 | 53.90               | 0.00               | 53.90             | 20.0 | 10.78                |
| 01/01/2018 08191122694 | KNIGHT, WILLIAM   | MFT MFS MID CAP VALUE FUND-C        | B   | 0.00                 | 52.75               | 0.00               | 52.75             | 20.0 | 10.55                |
| 01/01/2018 08191161796 | RAINES,           | MFT MFS MID CAP VALUE FUND-C        | B   | 0.00                 | 6.52                | 0.00               | 6.52              | 20.0 | 1.30                 |
| 01/01/2018 08191187109 | BEACH, MELISSA    | MFT MFS GROWTH FUND-C               | B   | 0.00                 | 33.13               | 0.00               | 33.13             | 20.0 | 6.63                 |
| 01/01/2018 08191187109 | BEACH, MELISSA    | MFT MFS MID CAP GROWTH FUND-C       | B   | 0.00                 | 32.30               | 0.00               | 32.30             | 20.0 | 6.46                 |
| 01/01/2018 08191187109 | BEACH, MELISSA    | MFT MFS TECHNOLOGY FUND-C           | B   | 0.00                 | 37.22               | 0.00               | 37.22             | 20.0 | 7.44                 |
| 01/01/2018 08191191313 | TICHENOR,         | MFT MFS INTERNATIONAL NEW DISCOVERY | B   | 0.00                 | 9.94                | 0.00               | 9.94              | 20.0 | 1.99                 |
| 01/01/2018 08191191313 | TICHENOR,         | MFT MFS MID CAP GROWTH FUND-C       | B   | 0.00                 | 11.62               | 0.00               | 11.62             | 20.0 | 2.32                 |
| 01/01/2018 08191191313 | TICHENOR,         | MFT MFS MID CAP VALUE FUND-C        | B   | 0.00                 | 12.08               | 0.00               | 12.08             | 20.0 | 2.42                 |
| 01/01/2018 08191196742 | DI GRADO, JOSEPH  | MFT MFS MID CAP VALUE FUND-C        | B   | 0.00                 | 32.78               | 0.00               | 32.78             | 20.0 | 6.56                 |
| 01/01/2018 08191197834 | NOLTING, EVELYN   | MFT MFS GROWTH FUND-C               | B   | 0.00                 | 22.94               | 0.00               | 22.94             | 20.0 | 4.59                 |
| 01/01/2018 08191197834 | NOLTING, EVELYN   | MFT MFS MID CAP VALUE FUND-C        | B   | 0.00                 | 20.83               | 0.00               | 20.83             | 20.0 | 4.17                 |
| 01/01/2018 08191197834 | NOLTING, EVELYN   | MFT MFS UTILITIES FUND-C            | B   | 0.00                 | 17.14               | 0.00               | 17.14             | 20.0 | 3.43                 |
| 01/01/2018 08191197864 | WARNIE, BARBARA   | MFT MFS GROWTH FUND-C               | B   | 0.00                 | 71.81               | 0.00               | 71.81             | 20.0 | 14.36                |
| 01/01/2018 08191197864 | WARNIE, BARBARA   | MFT MFS MID CAP GROWTH FUND-C       | B   | 0.00                 | 68.35               | 0.00               | 68.35             | 20.0 | 13.67                |
| 01/01/2018 08191197864 | WARNIE, BARBARA   | MFT MFS UTILITIES FUND-C            | B   | 0.00                 | 34.99               | 0.00               | 34.99             | 20.0 | 7.00                 |
| 01/01/2018 08191216107 | GEE, WANDA        | MFT MFS GROWTH FUND-C               | B   | 0.00                 | 69.68               | 0.00               | 69.68             | 20.0 | 13.94                |
| 01/01/2018 08191216107 | GEE, WANDA        | MFT MFS MID CAP VALUE FUND-C        | B   | 0.00                 | 62.44               | 0.00               | 62.44             | 20.0 | 12.49                |
| 01/01/2018 08191220624 | COCKERHAM, CAROL  | MFT MFS EMERGING GROWTH FUND CLASS  | B   | 0.00                 | 57.22               | 0.00               | 57.22             | 20.0 | 11.44                |
| 01/01/2018 08191220625 | COCKERHAM, ASHLEY | MFT MFS MID CAP GROWTH FUND-A       | B   | 0.00                 | 8.00                | 0.00               | 8.00              | 20.0 | 1.60                 |
| 01/01/2018 08191220625 | COCKERHAM, ASHLEY | MFT MFS MID CAP VALUE FUND-C        | B   | 0.00                 | 29.57               | 0.00               | 29.57             | 20.0 | 5.91                 |
| 01/01/2018 08191235410 | PEREZ, CHRISTINA  | MFT MFS INTERNATIONAL NEW DISCOVERY | B   | 0.00                 | 33.53               | 0.00               | 33.53             | 20.0 | 6.71                 |
| 01/01/2018 08191235410 | PEREZ, CHRISTINA  | MFT MFS MID CAP GROWTH FUND-C       | B   | 0.00                 | 22.84               | 0.00               | 22.84             | 20.0 | 4.57                 |
| 01/01/2018 08191235410 | PEREZ, CHRISTINA  | MFT MFS MID CAP VALUE FUND-C        | B   | 0.00                 | 42.73               | 0.00               | 42.73             | 20.0 | 8.55                 |
| 01/01/2018 08191250375 | BARAKA ST JULIEN, | MFT MFS GROWTH FUND-C               | B   | 0.00                 | 13.99               | 0.00               | 13.99             | 20.0 | 2.80                 |
| 01/01/2018 08191250375 | BARAKA ST JULIEN, | MFT MFS MID CAP VALUE FUND-C        | B   | 0.00                 | 12.10               | 0.00               | 12.10             | 20.0 | 2.42                 |
| 01/01/2018 08191250377 | UPENDO ST JULIEN, | MFT MFS GROWTH FUND-C               | B   | 0.00                 | 5.10                | 0.00               | 5.10              | 20.0 | 1.02                 |
| 01/01/2018 08191259308 | TAZAMA UPENDO ST. | MFT MFS MID CAP VALUE FUND-A        | B   | 0.00                 | 5.10                | 0.00               | 5.10              | 20.0 | 1.02                 |
| 01/01/2018 08191265828 | LE BLANC, ERIN    | MFT MFS MID CAP VALUE FUND-C        | B   | 0.00                 | 62.71               | 0.00               | 62.71             | 20.0 | 12.54                |
| 01/01/2018 08191270658 | JOHN J FINN JR    | MFT MFS GROWTH FUND-C               | B   | 0.00                 | 11.22               | 0.00               | 11.22             | 20.0 | 2.24                 |
| 01/01/2018 08191277936 | TICHENOR, ALICE   | MFT MFS DIVERSIFIED INCOME FUND-C   | B   | 0.00                 | 4.47                | 0.00               | 4.47              | 20.0 | 0.89                 |

COMMISSION STATEMENT for RANDY SMITH-D601

| TRADE DATE                           | CLIENT           | INVESTMENT                        | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--------------------------------------|------------------|-----------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| 01/01/2018 08191277936               | TICHENOR, ALICE  | MFT MFS GROWTH FUND-C             | B   | 0.00                 | 0.53                | 0.00               | 0.53              | 20.0 | 0.11                 |
| 01/01/2018 08191310353               | MCELEARNEY,      | MFT MFS MID CAP GROWTH FUND-C     | B   | 0.00                 | 40.76               | 0.00               | 40.76             | 20.0 | 8.15                 |
| 01/01/2018 08191310353               | MCELEARNEY,      | MFT MFS MID CAP VALUE FUND-C      | B   | 0.00                 | 38.26               | 0.00               | 38.26             | 20.0 | 7.65                 |
| 01/01/2018 08191375494               | FINN, JOHN       | MFT MFS GROWTH FUND-C             | B   | 0.00                 | 164.00              | 0.00               | 164.00            | 20.0 | 32.80                |
| 01/01/2018 08191395184               | FINN, CONNOR     | MFT MFS GROWTH FUND-C             | B   | 0.00                 | 11.67               | 0.00               | 11.67             | 20.0 | 2.33                 |
| 01/01/2018 08191398185               | CORBETT, JOHN    | MFT MFS DIVERSIFIED INCOME FUND-C | B   | 0.00                 | 45.31               | 0.00               | 45.31             | 20.0 | 9.06                 |
| 01/01/2018 08191402994               | JANICE K BARDEN  | MFT MFS GROWTH FUND-C             | B   | 0.00                 | 107.11              | 0.00               | 107.11            | 20.0 | 21.42                |
| 01/01/2018 08191402994               | JANICE K BARDEN  | MFT MFS MID CAP GROWTH FUND-C     | B   | 0.00                 | 103.34              | 0.00               | 103.34            | 20.0 | 20.67                |
| 01/01/2018 08191402994               | JANICE K BARDEN  | MFT MFS MID CAP VALUE FUND-C      | B   | 0.00                 | 110.65              | 0.00               | 110.65            | 20.0 | 22.13                |
| 01/01/2018 08191403238               | CALIVA, CAROLINE | MFT MFS GROWTH FUND-C             | B   | 0.00                 | 27.46               | 0.00               | 27.46             | 20.0 | 5.49                 |
| 01/01/2018 08191403238               | CALIVA, CAROLINE | MFT MFS MID CAP VALUE FUND-C      | B   | 0.00                 | 14.73               | 0.00               | 14.73             | 20.0 | 2.95                 |
| 01/01/2018 08191403387               | CALIVA, BRENDON  | MFT MFS GROWTH FUND-C             | B   | 0.00                 | 0.13                | 0.00               | 0.13              | 20.0 | 0.03                 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * |                  |                                   |     | \$0.00               | \$3,242.59          | \$0.00             | \$3,242.59        |      | \$648.56             |
| *** DIRECT TRANSACTIONS TOTAL ***    |                  |                                   |     | \$50.00              | \$3,243.09          | \$0.00             | \$3,243.09        |      | \$648.66             |

BROKER COMMISSION TOTALS

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$648.66 |
| 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   |

|                          |        |
|--------------------------|--------|
| Net Commissions          | \$0.00 |
| Year-to-date Commissions | \$0.00 |