

# COMMISSION STATEMENT July 31, 2018

RANDY SMITH-D061  
 9000 Highway 2147 West  
 Suite 201  
 Horseshoe Bay, TX 78657

BROKER #: D061  
 BRANCH: DMA

## COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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### CLEARING TRANSACTIONS

#### PRODUCT CATEGORY: MUTUAL FUNDS

06/29/2018	153180186	BANNWORTH, CHARLES	MF	FUNDAMENTAL INVESTORS-A	B	-600.00	0.00	5.00	-5.00	50.0	-2.50
06/29/2018	153180186	BANNWORTH, CHARLES	MF	NEW PERSPECTIVE FUND-A	B	-600.00	0.00	5.00	-5.00	50.0	-2.50
07/12/2018	677002494	SHEWITZ, ZACHARY	MF	THE GROWTH FUND OF AMERICA-A	B	-1,500.00	0.00	5.00	-5.00	50.0	-2.50
				<b>* MUTUAL FUNDS SUBTOTAL *</b>		<b>\$-2,700.00</b>	<b>\$0.00</b>	<b>\$15.00</b>	<b>\$-15.00</b>		<b>\$-7.50</b>

#### PRODUCT CATEGORY: STOCKS

07/27/2018	368282032	MARTINEZ, RAYMOND	S	HARLEY DAVIDSON INC	S	-11,813.68	35.00	15.00	20.00	50.0	10.00
07/27/2018	368282032	MARTINEZ, RAYMOND	S	KINDER MORGAN INC	S	-13,042.25	35.00	15.00	20.00	50.0	10.00
07/27/2018	368282032	MARTINEZ, RAYMOND	S	SPROTT FOCUS TRUST INC	S	-9,625.01	35.00	15.00	20.00	50.0	10.00
07/20/2018	368433184	GARZA, MARTHA	S	KIMBERLY-CLARK CORPORATION	S	-41,795.01	45.00	15.00	30.00	50.0	15.00
07/20/2018	368433184	GARZA, MARTHA	S	KINDER MORGAN INC	B	-7,147.41	-45.00	-15.00	-30.00	50.0	-15.00
07/20/2018	368433184	GARZA, MARTHA	S	KINDER MORGAN INC	B	-7,147.41	-45.00	-15.00	-30.00	50.0	-15.00
07/20/2018	368433184	GARZA, MARTHA	S	KINDER MORGAN INC	B	7,147.41	45.00	15.00	30.00	50.0	15.00
07/20/2018	368433184	GARZA, MARTHA	S	KINDER MORGAN INC	B	7,147.41	45.00	15.00	30.00	50.0	15.00
07/20/2018	368433184	GARZA, MARTHA	S	KINDER MORGAN INC	S	7,052.42	-45.00	-15.00	-30.00	50.0	-15.00
07/20/2018	368433184	GARZA, MARTHA	S	KINDER MORGAN INC	S	-7,024.86	45.00	15.00	30.00	50.0	15.00
07/20/2018	368433184	GARZA, MARTHA	S	KINDER MORGAN INC	S	-7,052.42	45.00	15.00	30.00	50.0	15.00
07/09/2018	492642569	MCLEOD, MARTHA	S	MATCH GROUP INC	S	-39,616.63	35.00	15.00	20.00	50.0	10.00
07/09/2018	492642569	MCLEOD, MARTHA	S	SOLAREEDGE TECHNOLOGIES INC	S	-52,216.87	35.00	15.00	20.00	50.0	10.00
07/09/2018	492642569	MCLEOD, MARTHA	S	ZYNERBA PHARMACEUTICALS INC	S	-19,472.30	35.00	15.00	20.00	50.0	10.00
07/18/2018	492642569	MCLEOD, MARTHA	S	ENTERPRISE PRODS PARTNERS L	B	57,215.45	35.00	15.00	20.00	50.0	10.00
07/06/2018	646271524	PENA, SIMON	S	ROYAL DUTCH SHELL PLC-SPON ADR	S	16,400.68	-300.56	-15.00	-285.56	50.0	-142.78
07/06/2018	646271524	PENA, SIMON	S	ROYAL DUTCH SHELL PLC-SPON ADR	S	-16,400.68	300.56	15.00	285.56	50.0	142.78
07/06/2018	646271524	PENA, SIMON	S	ROYAL DUTCH SHELL PLC-SPON ADR	S	-16,661.24	40.00	15.00	25.00	50.0	12.50
06/29/2018	676367088	SMITH, RANDALL	S	SPECTRA ENERGY PARTNERS LP	S	-29,910.98	35.00	15.00	20.00	50.0	10.00
07/20/2018	676367088	SMITH, RANDALL	S	GEO GROUP INC NEW/ THE	B	10,033.55	20.00	15.00	5.00	50.0	2.50
				<b>* STOCKS SUBTOTAL *</b>		<b>\$-173,929.83</b>	<b>\$430.00</b>	<b>\$180.00</b>	<b>\$250.00</b>		<b>\$125.00</b>

#### PRODUCT CATEGORY: BONDS

07/18/2018	676362695	SMITH, RANDALL	B	SB ONE BK FRANKLIN NJ	B	100,000.00	63.75	20.00	43.75	50.0	21.88
				<b>* BONDS SUBTOTAL *</b>		<b>\$100,000.00</b>	<b>\$63.75</b>	<b>\$20.00</b>	<b>\$43.75</b>		<b>\$21.88</b>

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
PRODUCT CATEGORY: MISCELLANEOUS											
06/28/2018	a03219642	SMITH-D061, RANDY	MI	MUTUAL FUND MISC FEE 584567036	S	0.00	10.00	0.00	10.00	50.0	5.00
07/13/2018	a03219642	SMITH-D061, RANDY	MI	MUTUAL FUND MISC FEE 677002494	S	0.00	10.00	0.00	10.00	50.0	5.00
* MISCELLANEOUS SUBTOTAL *					\$0.00	\$20.00	\$0.00	\$20.00	\$10.00		
PRODUCT CATEGORY: CERTIFICATES OF DEPOSIT											
07/02/2018	214424906	DORER, RICHARD	CD	AFFINITY FED CR UN BASKING	B	100,000.00	85.00	20.00	65.00	50.0	32.50
07/02/2018	214424906	DORER, RICHARD	CD	AFFINITY FED CR UN BASKING	B	-100,000.00	-85.00	-20.00	-65.00	50.0	-32.50
07/09/2018	214424906	DORER, RICHARD	CD	METABANK SIOUX FALLS S D	B	100,000.00	25.50	20.00	5.50	50.0	2.75
07/05/2018	676362622	SMITH TTEE, RANDALL	CD	FIRST TECHNOLOGY FEDERAL	B	50,000.00	21.25	20.00	1.25	50.0	0.63
07/05/2018	676362622	SMITH TTEE, RANDALL	CD	FIRST TECHNOLOGY FEDERAL	B	-50,000.00	-21.25	-20.00	-1.25	50.0	-0.63
* CERTIFICATES OF DEPOSIT SUBTOTAL *					\$100,000.00	\$25.50	\$20.00	\$5.50	\$2.75		
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
07/23/2018	mfc219642	SMITH RANDALL	MFT	AIM GLOBAL AGGRESSIVE GROWTH	B	0.00	7.50	0.00	7.50	50.0	3.75
07/23/2018	mfc219642	SMITH RANDALL	MFT	ALLIANCEBERNSTEIN GLO GOVT INC	B	0.00	10.88	0.00	10.88	50.0	5.44
07/23/2018	mfc219642	SMITH RANDALL	MFT	AMERICAN BALANCED FUND-A	B	0.00	2.14	0.00	2.14	50.0	1.07
07/23/2018	mfc219642	SMITH RANDALL	MFT	AMERICAN BALANCED FUND-A	B	0.00	7.30	0.00	7.30	50.0	3.65
07/23/2018	mfc219642	SMITH RANDALL	MFT	AMERICAN BALANCED FUND-A	B	0.00	11.39	0.00	11.39	50.0	5.70
07/23/2018	mfc219642	SMITH RANDALL	MFT	AMERICAN BALANCED FUND-A	B	0.00	13.68	0.00	13.68	50.0	6.84
07/23/2018	mfc219642	SMITH RANDALL	MFT	AMERICAN BALANCED FUND-A	B	0.00	16.16	0.00	16.16	50.0	8.08
07/23/2018	mfc219642	SMITH RANDALL	MFT	AMERICAN BALANCED FUND-A	B	0.00	16.70	0.00	16.70	50.0	8.35
07/23/2018	mfc219642	SMITH RANDALL	MFT	AMERICAN BALANCED FUND-A	B	0.00	19.79	0.00	19.79	50.0	9.90
07/23/2018	mfc219642	SMITH RANDALL	MFT	AMERICAN BALANCED FUND-A	B	0.00	25.05	0.00	25.05	50.0	12.53
07/23/2018	mfc219642	SMITH RANDALL	MFT	AMERICAN BALANCED FUND-A	B	0.00	30.43	0.00	30.43	50.0	15.22
07/23/2018	mfc219642	SMITH RANDALL	MFT	AMERICAN BALANCED FUND-A	B	0.00	40.93	0.00	40.93	50.0	20.47
07/23/2018	mfc219642	SMITH RANDALL	MFT	AMERICAN BALANCED FUND-A	B	0.00	41.95	0.00	41.95	50.0	20.98
07/23/2018	mfc219642	SMITH RANDALL	MFT	AMERICAN BALANCED FUND-A	B	0.00	60.85	0.00	60.85	50.0	30.43
07/23/2018	mfc219642	SMITH RANDALL	MFT	AMERICAN BALANCED FUND-F1	B	0.00	11.22	0.00	11.22	50.0	5.61
07/23/2018	mfc219642	SMITH RANDALL	MFT	AMERICAN HIGH-INCOME TRUST-A	B	0.00	16.43	0.00	16.43	50.0	8.22
07/23/2018	mfc219642	SMITH RANDALL	MFT	AMERICAN MUTUAL FUND-A	B	0.00	5.13	0.00	5.13	50.0	2.57
07/23/2018	mfc219642	SMITH RANDALL	MFT	CAPITAL APPRECIATION A	B	0.00	1.86	0.00	1.86	50.0	0.93
07/23/2018	mfc219642	SMITH RANDALL	MFT	CAPITAL INCOME BUILDER-A	B	0.00	1.74	0.00	1.74	50.0	0.87
07/23/2018	mfc219642	SMITH RANDALL	MFT	CAPITAL INCOME BUILDER-A	B	0.00	4.83	0.00	4.83	50.0	2.42
07/23/2018	mfc219642	SMITH RANDALL	MFT	CAPITAL INCOME BUILDER-A	B	0.00	14.44	0.00	14.44	50.0	7.22
07/23/2018	mfc219642	SMITH RANDALL	MFT	CAPITAL INCOME BUILDER-A	B	0.00	17.61	0.00	17.61	50.0	8.81
07/23/2018	mfc219642	SMITH RANDALL	MFT	CAPITAL INCOME BUILDER-A	B	0.00	22.56	0.00	22.56	50.0	11.28
07/23/2018	mfc219642	SMITH RANDALL	MFT	CAPITAL INCOME BUILDER-A	B	0.00	78.48	0.00	78.48	50.0	39.24
07/23/2018	mfc219642	SMITH RANDALL	MFT	CAPITAL INCOME BUILDER-F1	B	0.00	1.15	0.00	1.15	50.0	0.58
07/23/2018	mfc219642	SMITH RANDALL	MFT	CAPITAL INCOME BUILDER-F1	B	0.00	3.26	0.00	3.26	50.0	1.63
07/23/2018	mfc219642	SMITH RANDALL	MFT	CAPITAL INCOME BUILDER-F1	B	0.00	15.61	0.00	15.61	50.0	7.81
07/23/2018	mfc219642	SMITH RANDALL	MFT	CAPITAL WORLD BOND FUND-A	B	0.00	5.77	0.00	5.77	50.0	2.89
07/23/2018	mfc219642	SMITH RANDALL	MFT	DAVIS NEW YORK VENTURE CLASS A	B	0.00	0.06	0.00	0.06	50.0	0.03
07/23/2018	mfc219642	SMITH RANDALL	MFT	DEUTSCHE STRATEGIC HIGH YIELD	B	0.00	6.94	0.00	6.94	50.0	3.47

COMMISSION STATEMENT for RANDY SMITH-D061

				INVESTMENT		GROSS	CLEARING	NET	BROKER		
TRADE DATE	CLIENT			INVESTMENT	B/S	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
07/23/2018	mfc219642	SMITH RANDALL		MFT DEUTSCHE STRATEGIC HIGH YIELD	B	0.00	15.85	0.00	15.85	50.0	7.93
07/23/2018	mfc219642	SMITH RANDALL		MFT DREYFUS HIGH YIELD FD A	B	0.00	2.92	0.00	2.92	50.0	1.46
07/23/2018	mfc219642	SMITH RANDALL		MFT DREYFUS PREMIER TECHNOLOGY	B	0.00	3.99	0.00	3.99	50.0	2.00
07/23/2018	mfc219642	SMITH RANDALL		MFT EATON VANCE UTILITIES FUND	B	0.00	2.52	0.00	2.52	50.0	1.26
07/23/2018	mfc219642	SMITH RANDALL		MFT EUROPACIFIC GROWTH FUND-A	B	0.00	0.36	0.00	0.36	50.0	0.18
07/23/2018	mfc219642	SMITH RANDALL		MFT FIDELITY ADVISOR INDUSTRIAL FD	B	0.00	17.28	0.00	17.28	50.0	8.64
07/23/2018	mfc219642	SMITH RANDALL		MFT FIDELITY ADVISOR EMERGING ASIA	B	0.00	9.39	0.00	9.39	50.0	4.70
07/23/2018	mfc219642	SMITH RANDALL		MFT FIDELITY ADVISOR MID CAP STOCK	B	0.00	5.48	0.00	5.48	50.0	2.74
07/23/2018	mfc219642	SMITH RANDALL		MFT FIDELITY ADV EMERGING MRKTS INC	B	0.00	3.34	0.00	3.34	50.0	1.67
07/23/2018	mfc219642	SMITH RANDALL		MFT FIDELITY ADVISOR SMALL CAP FUND	B	0.00	6.16	0.00	6.16	50.0	3.08
07/23/2018	mfc219642	SMITH RANDALL		MFT FRANKLIN GROWTH FUND CLASS A	B	0.00	6.00	0.00	6.00	50.0	3.00
07/23/2018	mfc219642	SMITH RANDALL		MFT FRANKLIN INCOME FUND CLASS C	B	0.00	60.45	0.00	60.45	50.0	30.23
07/23/2018	mfc219642	SMITH RANDALL		MFT FRANKLIN INCOME FUND CLASS A	B	0.00	1.44	0.00	1.44	50.0	0.72
07/23/2018	mfc219642	SMITH RANDALL		MFT FRANKLIN INCOME FUND CLASS A	B	0.00	5.70	0.00	5.70	50.0	2.85
07/23/2018	mfc219642	SMITH RANDALL		MFT FUNDAMENTAL INVESTORS-A	B	0.00	1.12	0.00	1.12	50.0	0.56
07/23/2018	mfc219642	SMITH RANDALL		MFT FUNDAMENTAL INVESTORS-A	B	0.00	1.52	0.00	1.52	50.0	0.76
07/23/2018	mfc219642	SMITH RANDALL		MFT FUNDAMENTAL INVESTORS-A	B	0.00	6.21	0.00	6.21	50.0	3.11
07/23/2018	mfc219642	SMITH RANDALL		MFT FUNDAMENTAL INVESTORS-A	B	0.00	13.50	0.00	13.50	50.0	6.75
07/23/2018	mfc219642	SMITH RANDALL		MFT FUNDAMENTAL INVESTORS-A	B	0.00	29.47	0.00	29.47	50.0	14.74
07/23/2018	mfc219642	SMITH RANDALL		MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	23.24	0.00	23.24	50.0	11.62
07/23/2018	mfc219642	SMITH RANDALL		MFT INVESCO VALUE OPPORTUNITIES	B	0.00	9.49	0.00	9.49	50.0	4.75
07/23/2018	mfc219642	SMITH RANDALL		MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.26	0.00	0.26	50.0	0.13
07/23/2018	mfc219642	SMITH RANDALL		MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.27	0.00	0.27	50.0	0.14
07/23/2018	mfc219642	SMITH RANDALL		MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.21	0.00	0.21	50.0	0.11
07/23/2018	mfc219642	SMITH RANDALL		MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.37	0.00	0.37	50.0	0.19
07/23/2018	mfc219642	SMITH RANDALL		MFT MFS LIMITED MATURITY FUND-C	B	0.00	0.03	0.00	0.03	50.0	0.02
07/23/2018	mfc219642	SMITH RANDALL		MFT NEW PERSPECTIVE FUND-A	B	0.00	5.00	0.00	5.00	50.0	2.50
07/23/2018	mfc219642	SMITH RANDALL		MFT NEW PERSPECTIVE FUND-A	B	0.00	5.71	0.00	5.71	50.0	2.86
07/23/2018	mfc219642	SMITH RANDALL		MFT NEW PERSPECTIVE FUND-A	B	0.00	6.15	0.00	6.15	50.0	3.08
07/23/2018	mfc219642	SMITH RANDALL		MFT NEW PERSPECTIVE FUND-A	B	0.00	28.59	0.00	28.59	50.0	14.30
07/23/2018	mfc219642	SMITH RANDALL		MFT NEW PERSPECTIVE FUND-A	B	0.00	65.36	0.00	65.36	50.0	32.68
07/23/2018	mfc219642	SMITH RANDALL		MFT OPPENHEIMERFUNDS 68381A103	B	0.00	11.79	0.00	11.79	50.0	5.90
07/23/2018	mfc219642	SMITH RANDALL		MFT OPPENHEIMERFUNDS 68381A103	B	0.00	13.48	0.00	13.48	50.0	6.74
07/23/2018	mfc219642	SMITH RANDALL		MFT OPPENHEIMERFUNDS 68381A103	B	0.00	15.05	0.00	15.05	50.0	7.53
07/23/2018	mfc219642	SMITH RANDALL		MFT OPPENHEIMERFUNDS 68381A103	B	0.00	37.09	0.00	37.09	50.0	18.55
07/23/2018	mfc219642	SMITH RANDALL		MFT PRUDENTIAL JENNISON UTILITY FD	B	0.00	18.22	0.00	18.22	50.0	9.11
07/23/2018	mfc219642	SMITH RANDALL		MFT PUTNAM GLOBAL EQUITY FUND CLASS	B	0.00	0.18	0.00	0.18	50.0	0.09
07/23/2018	mfc219642	SMITH RANDALL		MFT TAX-EXEMPT BOND FUND OF AMERICA	B	0.00	8.50	0.00	8.50	50.0	4.25
07/23/2018	mfc219642	SMITH RANDALL		MFT THE BOND FUND OF AMERICA-A	B	0.00	1.33	0.00	1.33	50.0	0.67
07/23/2018	mfc219642	SMITH RANDALL		MFT THE BOND FUND OF AMERICA-A	B	0.00	10.59	0.00	10.59	50.0	5.30
07/23/2018	mfc219642	SMITH RANDALL		MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.41	0.00	0.41	50.0	0.21
07/23/2018	mfc219642	SMITH RANDALL		MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.53	0.00	0.53	50.0	0.27
07/23/2018	mfc219642	SMITH RANDALL		MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.79	0.00	0.79	50.0	0.40
07/23/2018	mfc219642	SMITH RANDALL		MFT THE GROWTH FUND OF AMERICA-A	B	0.00	3.92	0.00	3.92	50.0	1.96

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
07/23/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	16.67	0.00	16.67	50.0	8.34
07/23/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	0.10	0.00	0.10	50.0	0.05
07/23/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	3.11	0.00	3.11	50.0	1.56
07/23/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	6.24	0.00	6.24	50.0	3.12
07/23/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	14.92	0.00	14.92	50.0	7.46
07/23/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	90.99	0.00	90.99	50.0	45.50
07/23/2018	mfc219642 SMITH RANDALL	MFT THORNBURG INTERM MUNI NATL FD	B	0.00	7.16	0.00	7.16	50.0	3.58
07/23/2018	mfc219642 SMITH RANDALL	MFT THORNBURG VALUE FD CL C	B	0.00	15.11	0.00	15.11	50.0	7.56
07/23/2018	mfc219642 SMITH RANDALL	MFT THORNBURG VALUE FD CL C	B	0.00	37.52	0.00	37.52	50.0	18.76
07/23/2018	mfc219642 SMITH RANDALL	MFT VOYA HIGH YIELD BOND FD A	B	0.00	1.88	0.00	1.88	50.0	0.94
07/23/2018	mfc219642 SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.05	0.00	1.05	50.0	0.53
07/23/2018	mfc219642 SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.34	0.00	1.34	50.0	0.67
07/23/2018	mfc219642 SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	5.03	0.00	5.03	50.0	2.52
07/23/2018	mfc219642 SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	5.39	0.00	5.39	50.0	2.70
07/23/2018	mfc219642 SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	56.57	0.00	56.57	50.0	28.29
07/23/2018	mfc219642 SMITH RANDALL	MFT WELLS FARGO HIGH YIELD BOND-A	B	0.00	1.60	0.00	1.60	50.0	0.80
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$1,235.78</b>	<b>\$0.00</b>	<b>\$1,235.78</b>		<b>\$618.11</b>
<b>*** CLEARING TRANSACTIONS TOTAL ***</b>				<b>\$23,370.17</b>	<b>\$1,775.03</b>	<b>\$235.00</b>	<b>\$1,540.03</b>		<b>\$770.24</b>

DIRECT TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

07/05/2018	(None) SMITH, MAR G	MF OPPENHEIMER	B	50.00	2.38	0.00	2.38	50.0	1.19
07/16/2018	(None) 0030340502	MF SCHOLARS CHOICE	B	0.00	1.50	0.00	1.50	50.0	0.75
07/10/2018	000000008958389 STRATHDEE,	MF MUTUAL DISC FND - CL A	B	105.00	5.25	0.00	5.25	50.0	2.63
07/10/2018	000015815515075 STRATHDEE,	MF FRANKLIN RISING DIVIDENDS FD	B	245.00	12.25	0.00	12.25	50.0	6.13
07/10/2018	000060177858580 STRATHDEE,	MF FRANKLIN GROWTH FUND CLASS A	B	350.00	17.40	0.00	17.40	50.0	8.70
07/20/2018	00058011489 FOSTER, EMILIE	MF AMERICAN BALANCED FUND-A	B	10,000.00	200.00	0.00	200.00	50.0	100.00
07/16/2018	00075390701 MURPHY, DEBORAH	MF INTERMEDIATE BOND FUND OF	B	1,000.00	20.00	0.00	20.00	50.0	10.00
07/16/2018	00075396784 CASTANEDA, SANDRA	MF THE GROWTH FUND OF AMERICA-A	B	70.00	1.40	0.00	1.40	50.0	0.70
07/25/2018	00083359485 SCHLESSIGER,	MF AMERICAN BALANCED FUND-A	B	50.00	2.50	0.00	2.50	50.0	1.25
07/16/2018	00083949478 LIMON, ELIZABETH	MF AMERICAN BALANCED FUND-A	B	160.00	3.20	0.00	3.20	50.0	1.60
07/16/2018	00083949478 LIMON, ELIZABETH	MF AMERICAN BALANCED FUND-A	B	160.00	3.20	0.00	3.20	50.0	1.60
07/16/2018	00084366836 MENDOZA, SANDRA	MF AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
07/16/2018	00084366836 MENDOZA, SANDRA	MF AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
07/20/2018	00085302677 JORGE ALEXANDER	MF AMERICAN BALANCED FUND-A	B	50.00	2.50	0.00	2.50	50.0	1.25
07/25/2018	00087364129 DORER, SONIA	MF AMERICAN BALANCED FUND-A	B	250.00	6.88	0.00	6.88	50.0	3.44
07/25/2018	00087364129 DORER, SONIA	MF NEW PERSPECTIVE FUND-A	B	249.77	6.87	0.00	6.87	50.0	3.44
07/25/2018	00087369989 DORER, RICHARD	MF SMALLCAP WORLD FUND-A	B	500.00	13.75	0.00	13.75	50.0	6.88
07/16/2018	00087738166 JIMERFIELD,	MF AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
07/16/2018	00087738166 JIMERFIELD,	MF AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
07/16/2018	00088038123 PONCE, YOLANDA	MF AMERICAN BALANCED FUND-A	B	100.00	5.00	0.00	5.00	50.0	2.50
07/27/2018	04000163744 GARZA, ALEXANDER	MF AMERICAN BALANCED FUND-A	B	100.00	5.00	0.00	5.00	50.0	2.50

COMMISSION STATEMENT for RANDY SMITH-D061

							INVESTMENT	GROSS	CLEARING	NET	BROKER	
TRADE DATE	CLIENT		INVESTMENT		B/S	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION	
07/27/2018	04000163744	GARZA, ALEXANDER	MF	FUNDAMENTAL INVESTORS-A	B	50.00	2.50	0.00	2.50	50.0	1.25	
07/27/2018	04000163744	GARZA, ALEXANDER	MF	NEW PERSPECTIVE FUND-A	B	50.00	2.50	0.00	2.50	50.0	1.25	
07/16/2018	04000631650	MARTINEZ, ELAINE	MF	AMERICAN BALANCED FUND-A	B	25.00	0.50	0.00	0.50	50.0	0.25	
07/16/2018	04000631650	MARTINEZ, ELAINE	MF	AMERICAN BALANCED FUND-A	B	25.00	0.50	0.00	0.50	50.0	0.25	
07/18/2018	04000890952	PIERPONT, BRADLEY	MF	AMERICAN BALANCED FUND-A	B	1,275.00	35.06	0.00	35.06	50.0	17.53	
07/18/2018	04000890952	PIERPONT, BRADLEY	MF	CAPITAL WORLD GROWTH AND INCOME	B	1,275.00	35.06	0.00	35.06	50.0	17.53	
07/18/2018	04000890952	PIERPONT, BRADLEY	MF	THE GROWTH FUND OF AMERICA-A	B	1,172.80	32.25	0.00	32.25	50.0	16.13	
* MUTUAL FUNDS SUBTOTAL *						\$17,712.57	\$425.45	\$0.00	\$425.45		\$212.75	

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

06/30/2018	(None)	ALLEN, JOHN	MFT JOHN HANCOCK MUTUAL FUND	B	0.00	4.07	0.00	4.07	50.0	2.04
06/30/2018	(None)	CAMMACK, BENJAMIN	MFT SCHOLARS CHOICE	B	0.00	4.72	0.00	4.72	50.0	2.36
06/30/2018	(None)	COUVILLION, TARI	MFT VIRTUS	B	0.00	17.27	0.00	17.27	50.0	8.64
07/09/2018	00026269367	CONSTANCE CLARE	MFT DEUTSCHE GNMA FUND-A	B	0.00	39.99	0.00	39.99	50.0	20.00
07/09/2018	00026269367	CONSTANCE CLARE	MFT DEUTSCHE MANAGED MUNICIPAL BOND	B	0.00	29.25	0.00	29.25	50.0	14.63
07/09/2018	00089349722	JOHNSON, DIANNE	MFT DEUTSCHE GLOBAL INCOME BUILDER	B	0.00	24.41	0.00	24.41	50.0	12.21
07/09/2018	00097370346	ALLISON, PAUL	MFT DEUTSCHE HIGH INCOME FUND-A	B	0.00	4.41	0.00	4.41	50.0	2.21
07/09/2018	04000051587	GARY, ROY	MFT AB INTERMEDIATE BOND A	B	0.00	56.82	0.00	56.82	50.0	28.41
07/09/2018	04700178865	GARY, ROY	MFT ALLIANCEBERNSTEIN GROWTH A	B	0.00	46.65	0.00	46.65	50.0	23.33
07/09/2018	04700178865	GARY, ROY	MFT ALLIANCEBERNSTEIN LARGE-CAP	B	0.00	53.39	0.00	53.39	50.0	26.70
07/09/2018	04700229945	GARY, ROY	MFT ALLIANCE BERNSTEIN GLOBAL	B	0.00	1.19	0.00	1.19	50.0	0.60
07/09/2018	04700229945	GARY, ROY	MFT ALLIANCEBERNSTEIN SMALL CAP	B	0.00	171.44	0.00	171.44	50.0	85.72
07/09/2018	04700353651	MCDONALD, STEVEN	MFT ALLIANCEBERNSTEIN LARGE-CAP	B	0.00	11.42	0.00	11.42	50.0	5.71
07/09/2018	BRK50026	MARIN, MARISELA	MFT 8504AFRKD	B	0.00	2,137.26	0.00	2,137.26	50.0	1,068.63
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$2,602.29	\$0.00	\$2,602.29		\$1,301.19

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

07/02/2018 (None)	DICKEY, G	VAT BRIGHTHOUSE FKA METLIFE	B	0.00	49.16	0.00	49.16	50.0	24.58
07/02/2018 (None)	STEHLING, KAREN	VAT BRIGHTHOUSE FKA METLIFE	B	0.00	127.70	0.00	127.70	50.0	63.85
07/02/2018 (None)	STEHLING, KAREN	VAT BRIGHTHOUSE FKA METLIFE	B	0.00	127.70	0.00	127.70	50.0	63.85
07/02/2018 (None)	STEHLING, KAREN	VAT BRIGHTHOUSE FKA METLIFE	B	0.00	137.15	0.00	137.15	50.0	68.58
07/02/2018 (None)	KACHEL, M	VAT BRIGHTHOUSE FKA METLIFE	B	0.00	92.47	0.00	92.47	50.0	46.24
07/02/2018 (None)	HILL, J	VAT BRIGHTHOUSE FKA METLIFE	B	0.00	650.23	0.00	650.23	50.0	325.12
07/02/2018 (None)	HILL, J	VAT BRIGHTHOUSE FKA METLIFE	B	0.00	263.78	0.00	263.78	50.0	131.89
07/02/2018 (None)	KACHEL, M	VAT BRIGHTHOUSE FKA METLIFE	B	0.00	695.03	0.00	695.03	50.0	347.52
07/02/2018 (None)	BRADSHAW, J	VAT BRIGHTHOUSE FKA METLIFE	B	0.00	521.83	0.00	521.83	50.0	260.92
07/02/2018 (None)	FLAHIVE, M	VAT BRIGHTHOUSE FKA METLIFE	B	0.00	174.96	0.00	174.96	50.0	87.48
07/02/2018 (None)	DICKEY, G	VAT BRIGHTHOUSE FKA METLIFE	B	0.00	3.08	0.00	3.08	50.0	1.54
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$2,843.09	\$0.00	\$2,843.09		\$1,421.57
*** DIRECT TRANSACTIONS TOTAL ***				\$17,712.57	\$5,870.83	\$0.00	\$5,870.83		\$2,935.51

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
SPLIT TRANSACTIONS										
BROKER: RIX/RANDY SMITH/SMITH-D081 #80										
06/29/2018	676365887	SMITH, RANDALL	S	SPECTRA ENERGY PARTNERS LP	S	-12,309.66	17.50	7.50	10.00	5.00
07/10/2018	676365887	SMITH, RANDALL	S	FRONTIER COMM CORP	S	-80.54	7.50	7.50	0.00	0.00
07/20/2018	676365887	SMITH, RANDALL	S	GEO GROUP INC NEW/ THE	B	5,024.28	17.50	7.50	10.00	5.00
07/18/2018	676346300	SMITH TTEE, RONALD	B	SB ONE BK FRANKLIN NJ	B	50,000.00	31.87	10.00	21.87	10.94
07/09/2018	676356642	SMITH, RANDALL	B	BEDFORD TX GO REF IMPT BDS 2018	B	19,860.57	200.00	7.50	192.50	96.25
07/19/2018	676356642	SMITH, RANDALL	B	TEXAS STATE WOMANS UNIV REV	B	23,265.34	187.50	7.50	180.00	90.00
07/05/2018	492637897	PENNY-MCELROY TTEE, CD	AFFINITY FED CR UN BASKING	B	50,000.00	42.50	10.00	32.50	16.25	16.25
07/05/2018	492637897	PENNY-MCELROY TTEE, CD	AFFINITY FED CR UN BASKING	B	-50,000.00	-42.50	-10.00	-32.50	-16.25	-16.25
07/09/2018	492637897	PENNY-MCELROY TTEE, CD	SAFRA NATIONAL BANK NEW YORK	B	50,000.00	10.62	10.00	0.62	0.31	0.31
07/09/2018	492637897	PENNY-MCELROY TTEE, CD	UNITED BANKERS BANK BLOOMINGTON	B	64,500.00	130.61	10.00	120.61	60.31	60.31
07/03/2018	676346300	SMITH TTEE, RONALD	CD	FIRST TECHNOLOGY FEDERAL	B	50,000.00	21.25	10.00	11.25	5.63
07/03/2018	676346300	SMITH TTEE, RONALD	CD	FIRST TECHNOLOGY FEDERAL	B	-50,000.00	-21.25	-10.00	-11.25	-5.63
07/06/2018	676346300	SMITH TTEE, RONALD	CD	BANK OF CHINA NEW YORK CITY BRH	B	50,000.00	10.62	10.00	0.62	0.31
07/09/2018	676346300	SMITH TTEE, RONALD	CD	METABANK SIOUX FALLS S D	B	50,000.00	12.75	10.00	2.75	1.38
07/10/2018	676346300	SMITH TTEE, RONALD	CD	SAFRA NATIONAL BANK NEW YORK	B	50,000.00	10.62	10.00	0.62	0.31
07/23/2018	mfc913901	SMITH 913901	MFT	CAPITAL INCOME BUILDER-A	B	0.00	3.23	0.00	3.23	1.62
07/23/2018	mfc913901	SMITH 913901	MFT	CAPITAL WORLD GROWTH AND INCOME	B	0.00	3.98	0.00	3.98	1.99
07/23/2018	mfc913901	SMITH 913901	MFT	FUNDAMENTAL INVESTORS-A	B	0.00	5.87	0.00	5.87	2.94
07/23/2018	mfc913901	SMITH 913901	MFT	GLOBAL BALANCED FUND-A	B	0.00	8.52	0.00	8.52	4.26
07/23/2018	mfc913901	SMITH 913901	MFT	INTERNATIONAL GROWTH AND	B	0.00	8.74	0.00	8.74	4.37
07/23/2018	mfc913901	SMITH 913901	MFT	THE GROWTH FUND OF AMERICA-A	B	0.00	1.55	0.00	1.55	0.78
* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *					\$350,259.99	\$668.98	\$97.50	\$571.48	\$285.77	
*** SPLIT TRANSACTIONS TOTAL ***					\$350,259.99	\$668.98	\$97.50	\$571.48	\$285.77	

LINKED DIRECT TRANSACTIONS

<b><u>BROKER: RANDY SMITH-D601 #66</u></b>									
07/19/2018	00084947333	JOHN J FINN CUST, MF	THE NEW ECONOMY FUND-C	B	50.00	0.50	0.00	0.50	0.10
07/19/2018	00084947333	JOHN J FINN CUST, MF	THE NEW ECONOMY FUND-C	B	-50.00	-0.50	0.00	-0.50	-0.10
07/20/2018	00084947333	JOHN J FINN CUST, MF	NEW PERSPECTIVE FUND-C	B	150.00	1.50	0.00	1.50	0.30
07/23/2018	00086465668	MCINTIRE, JOHN	NEW PERSPECTIVE FUND-C	B	500.00	5.00	0.00	5.00	1.00
07/19/2018	04000149886	JOHN J FINN CUST, MF	AMERICAN BALANCED FUND-A	B	50.00	1.00	0.00	1.00	0.20
07/19/2018	04000149886	JOHN J FINN CUST, MF	AMERICAN BALANCED FUND-A	B	-50.00	-1.00	0.00	-1.00	-0.20
07/20/2018	04000149886	JOHN J FINN CUST, MF	AMERICAN BALANCED FUND-A	B	150.00	3.00	0.00	3.00	0.60
07/16/2018	08190129109	FBO JULIETTE G	MFS GROWTH FUND-C	B	-100.00	-1.00	0.00	-1.00	-0.20
07/16/2018	08190129109	FBO JULIETTE G	MFS GROWTH FUND-C	B	100.00	1.00	0.00	1.00	0.20
07/16/2018	08190129110	PEYTON O LEBLANC, MF	MFS GROWTH FUND-C	B	-50.00	-0.50	0.00	-0.50	-0.10
07/16/2018	08190129110	PEYTON O LEBLANC, MF	MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50	0.10
07/16/2018	08190129112	SARA E CANCIENNE, MF	MFS GROWTH FUND-C	B	-50.00	-0.50	0.00	-0.50	-0.10

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
07/16/2018 08190129112	SARA E CANCIENNE, MF	MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50		0.10
07/16/2018 08190129113	LILLY M SUTTON MF	MFS GROWTH FUND-C	B	-50.00	-0.50	0.00	-0.50		-0.10
07/16/2018 08190129113	LILLY M SUTTON MF	MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50		0.10
07/16/2018 08191029111	PRESLIE G LEBLANC MF	MFS GROWTH FUND-C	B	-100.00	-1.00	0.00	-1.00		-0.20
07/16/2018 08191029111	PRESLIE G LEBLANC MF	MFS GROWTH FUND-C	B	100.00	1.00	0.00	1.00		0.20
07/16/2018 08191270658	BEAU OUTLAW, JOHN MF	MFS GROWTH FUND-C	B	-50.00	-0.50	0.00	-0.50		-0.10
07/16/2018 08191270658	BEAU OUTLAW, JOHN MF	MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50		0.10
07/05/2018 01004814720	FINNN, JOHN	MFT WELLS FARGO DIVERSIFIED INC	B	0.00	27.64	0.00	27.64		5.53
07/05/2018 01004814720	FINNN, JOHN	MFT WELLS FARGO DIVERSIFIED INC	B	0.00	82.92	0.00	82.92		16.58
07/05/2018 01004814720	FINNN, JOHN	MFT WELLS FARGO GLOBAL	B	0.00	2.64	0.00	2.64		0.53
07/05/2018 01004814720	FINNN, JOHN	MFT WELLS FARGO GLOBAL	B	0.00	7.92	0.00	7.92		1.58
07/05/2018 01004814720	FINNN, JOHN	MFT WELLS FARGO INDEX ASSET ALLOC-C	B	0.00	29.75	0.00	29.75		5.95
07/05/2018 01004814720	FINNN, JOHN	MFT WELLS FARGO INDEX ASSET ALLOC-C	B	0.00	89.24	0.00	89.24		17.85
07/05/2018 01007612996	DELSA, ROBERT	MFT WELLS FARGO GLOBAL	B	0.00	0.43	0.00	0.43		0.09
07/05/2018 01007612996	DELSA, ROBERT	MFT WELLS FARGO GLOBAL	B	0.00	1.28	0.00	1.28		0.26
07/05/2018 01007612996	DELSA, ROBERT	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	0.37	0.00	0.37		0.07
07/05/2018 01007612996	DELSA, ROBERT	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	1.12	0.00	1.12		0.22
07/05/2018 01007612996	DELSA, ROBERT	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	1.10	0.00	1.10		0.22
07/05/2018 01007612996	DELSA, ROBERT	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	3.29	0.00	3.29		0.66
07/05/2018 01007799205	WARNIE, BARBARA	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	9.97	0.00	9.97		1.99
07/05/2018 01007799205	WARNIE, BARBARA	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	29.92	0.00	29.92		5.98
07/05/2018 01007799205	WARNIE, BARBARA	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	6.27	0.00	6.27		1.25
07/05/2018 01007799205	WARNIE, BARBARA	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	18.82	0.00	18.82		3.76
07/05/2018 01008522715	ST JULIEN,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.71	0.00	2.71		0.54
07/05/2018 01008522715	ST JULIEN,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	8.14	0.00	8.14		1.63
07/05/2018 01009200054	PROPERTY,	MFT WELLS FARGO GLOBAL	B	0.00	6.25	0.00	6.25		1.25
07/05/2018 01009200054	PROPERTY,	MFT WELLS FARGO GLOBAL	B	0.00	18.74	0.00	18.74		3.75
07/05/2018 01009200054	PROPERTY,	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	2.50	0.00	2.50		0.50
07/05/2018 01009200054	PROPERTY,	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	7.51	0.00	7.51		1.50
07/05/2018 01009200054	PROPERTY,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	10.71	0.00	10.71		2.14
07/05/2018 01009200054	PROPERTY,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	32.13	0.00	32.13		6.43
07/05/2018 01009230280	GEE, WANDA	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	2.94	0.00	2.94		0.59
07/05/2018 01009230280	GEE, WANDA	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	8.82	0.00	8.82		1.76
07/05/2018 01009314539	NOLTING, EVELYN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.16	0.00	2.16		0.43
07/05/2018 01009314539	NOLTING, EVELYN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	6.48	0.00	6.48		1.30
07/05/2018 01009314539	NOLTING, EVELYN	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	1.11	0.00	1.11		0.22
07/05/2018 01009314539	NOLTING, EVELYN	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	3.34	0.00	3.34		0.67
07/05/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	2.94	0.00	2.94		0.59
07/05/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	8.82	0.00	8.82		1.76
07/05/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO DISCOVERY-C	B	0.00	3.00	0.00	3.00		0.60
07/05/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO DISCOVERY-C	B	0.00	9.00	0.00	9.00		1.80
07/05/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	3.06	0.00	3.06		0.61
07/05/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	9.17	0.00	9.17		1.83
07/05/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	2.81	0.00	2.81		0.56

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
07/05/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	8.42	0.00	8.42		1.68
07/05/2018 01009315537	SASSEN, JOHN	MFT WELLS FARGO GLOBAL	B	0.00	7.10	0.00	7.10		1.42
07/05/2018 01009315537	SASSEN, JOHN	MFT WELLS FARGO GLOBAL	B	0.00	21.30	0.00	21.30		4.26
07/05/2018 01009315537	SASSEN, JOHN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.91	0.00	2.91		0.58
07/05/2018 01009315537	SASSEN, JOHN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	8.73	0.00	8.73		1.75
07/05/2018 01009355661	COCKERHAM, ASHLEY	MFT WELLS FARGO GLOBAL	B	0.00	2.42	0.00	2.42		0.48
07/05/2018 01009355661	COCKERHAM, ASHLEY	MFT WELLS FARGO GLOBAL	B	0.00	7.25	0.00	7.25		1.45
07/05/2018 01009355661	COCKERHAM, ASHLEY	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.39	0.00	2.39		0.48
07/05/2018 01009355661	COCKERHAM, ASHLEY	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	7.16	0.00	7.16		1.43
07/05/2018 01009358549	COCKERHAM, CAROL	MFT WELLS FARGO GLOBAL	B	0.00	18.04	0.00	18.04		3.61
07/05/2018 01009358549	COCKERHAM, CAROL	MFT WELLS FARGO GLOBAL	B	0.00	54.13	0.00	54.13		10.83
07/05/2018 01009358549	COCKERHAM, CAROL	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	22.59	0.00	22.59		4.52
07/05/2018 01009358549	COCKERHAM, CAROL	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	67.78	0.00	67.78		13.56
07/05/2018 01009358973	JO ANNE B RAINES	MFT WELLS FARGO MONEY MARKET-C	B	0.00	6.58	0.00	6.58		1.32
07/05/2018 01009358973	JO ANNE B RAINES	MFT WELLS FARGO MONEY MARKET-C	B	0.00	19.75	0.00	19.75		3.95
07/05/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO GLOBAL	B	0.00	2.29	0.00	2.29		0.46
07/05/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO GLOBAL	B	0.00	6.88	0.00	6.88		1.38
07/05/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO SPECIALIZED	B	0.00	4.27	0.00	4.27		0.85
07/05/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO SPECIALIZED	B	0.00	12.82	0.00	12.82		2.56
07/05/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO LARGE CAP GROWTH-C	B	0.00	2.78	0.00	2.78		0.56
07/05/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO LARGE CAP GROWTH-C	B	0.00	8.34	0.00	8.34		1.67
07/05/2018 01009364253	COCKERHAM, GEORGE	MFT WELLS FARGO MODERATE BALANCED-C	B	0.00	20.75	0.00	20.75		4.15
07/05/2018 01009364253	COCKERHAM, GEORGE	MFT WELLS FARGO MODERATE BALANCED-C	B	0.00	62.26	0.00	62.26		12.45
07/05/2018 01009364253	COCKERHAM, GEORGE	MFT WELLS FARGO MONEY MARKET-C	B	0.00	9.25	0.00	9.25		1.85
07/05/2018 01009364253	COCKERHAM, GEORGE	MFT WELLS FARGO MONEY MARKET-C	B	0.00	27.74	0.00	27.74		5.55
07/05/2018 01009367639	ANN A LAFOURCADE,	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	0.95	0.00	0.95		0.19
07/05/2018 01009367639	ANN A LAFOURCADE,	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	2.86	0.00	2.86		0.57
07/05/2018 01009367639	ANN A LAFOURCADE,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	1.08	0.00	1.08		0.22
07/05/2018 01009367639	ANN A LAFOURCADE,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	3.24	0.00	3.24		0.65
07/05/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	2.05	0.00	2.05		0.41
07/05/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	6.15	0.00	6.15		1.23
07/05/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO GLOBAL	B	0.00	3.36	0.00	3.36		0.67
07/05/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO GLOBAL	B	0.00	10.08	0.00	10.08		2.02
07/05/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO EMERGING MARKETS	B	0.00	1.96	0.00	1.96		0.39
07/05/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO EMERGING MARKETS	B	0.00	5.89	0.00	5.89		1.18
07/05/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	4.40	0.00	4.40		0.88
07/05/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	13.21	0.00	13.21		2.64
07/05/2018 01900000269	ST JULIEN, ERIC	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	16.69	0.00	16.69		3.34
07/05/2018 01900000279	CARLOS BOGRAN III	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	8.24	0.00	8.24		1.65
07/05/2018 01900000283	GULF STATES	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	24.49	0.00	24.49		4.90
07/05/2018 01900000310	PEREZ, CHRISTINA	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	13.34	0.00	13.34		2.67
07/05/2018 01900000312	BRUCHI, JENNIFER	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	3.91	0.00	3.91		0.78
07/05/2018 01900000313	NOLTING, EVELYN	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	6.65	0.00	6.65		1.33
07/05/2018 01900000324	ST JULIEN,	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	12.82	0.00	12.82		2.56



COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
07/05/2018 01900000349	CRAFT, ALLEN	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	12.65	0.00	12.65		2.53
07/05/2018 01900000352	JAMII BARAKA ST	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	2.68	0.00	2.68		0.54
07/05/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO GLOBAL	B	0.00	1.88	0.00	1.88		0.38
07/05/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO GLOBAL	B	0.00	5.63	0.00	5.63		1.13
07/05/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	4.49	0.00	4.49		0.90
07/05/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	13.47	0.00	13.47		2.69
07/05/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	2.22	0.00	2.22		0.44
07/05/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	6.67	0.00	6.67		1.33
07/05/2018 03900370290	JOHN R CORBETT	MFT WELLS FARGO SPECIALIZED	B	0.00	1.70	0.00	1.70		0.34
07/05/2018 03900370290	JOHN R CORBETT	MFT WELLS FARGO SPECIALIZED	B	0.00	5.11	0.00	5.11		1.02
07/05/2018 03900370290	JOHN R CORBETT	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.42	0.00	2.42		0.48
07/05/2018 03900370290	JOHN R CORBETT	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	7.26	0.00	7.26		1.45
07/05/2018 03900377880	BRUCHI, JENNIFER	MFT WELLS FARGO DISCOVERY-C	B	0.00	1.04	0.00	1.04		0.21
07/05/2018 03900377880	BRUCHI, JENNIFER	MFT WELLS FARGO DISCOVERY-C	B	0.00	3.11	0.00	3.11		0.62
07/05/2018 03900377880	BRUCHI, JENNIFER	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	1.23	0.00	1.23		0.25
07/05/2018 03900377880	BRUCHI, JENNIFER	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	3.68	0.00	3.68		0.74
07/05/2018 03900379796	GEE, WANDA	MFT WELLS FARGO GLOBAL	B	0.00	3.73	0.00	3.73		0.75
07/05/2018 03900379796	GEE, WANDA	MFT WELLS FARGO GLOBAL	B	0.00	11.18	0.00	11.18		2.24
07/05/2018 03903067709	PEREZ, NICOLAS	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	4.09	0.00	4.09		0.82
07/05/2018 03903067709	PEREZ, NICOLAS	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	12.26	0.00	12.26		2.45
07/05/2018 03903067709	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	5.33	0.00	5.33		1.07
07/05/2018 03903067709	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	15.99	0.00	15.99		3.20
07/05/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	1.63	0.00	1.63		0.33
07/05/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	4.88	0.00	4.88		0.98
07/05/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO DISCOVERY-C	B	0.00	1.73	0.00	1.73		0.35
07/05/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO DISCOVERY-C	B	0.00	5.19	0.00	5.19		1.04
07/05/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.03	0.00	2.03		0.41
07/05/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	6.08	0.00	6.08		1.22
07/05/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	2.05	0.00	2.05		0.41
07/05/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	6.16	0.00	6.16		1.23
07/05/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO GLOBAL	B	0.00	8.35	0.00	8.35		1.67
07/05/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO GLOBAL	B	0.00	25.05	0.00	25.05		5.01
07/05/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	6.02	0.00	6.02		1.20
07/05/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	18.06	0.00	18.06		3.61
07/05/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	5.75	0.00	5.75		1.15
07/05/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	17.25	0.00	17.25		3.45
07/05/2018 04830000507	CORBETT, JOHN	MFT COLUMBIA BALANCED FUND-C	B	0.00	13.59	0.00	13.59		2.72
07/05/2018 05116000007	GULF STATES	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	44.47	0.00	44.47		8.89
07/05/2018 06000010315	VINCENT, JUDITH	MFT COLUMBIA SMALLCAP GROWTH FUND	B	0.00	9.37	0.00	9.37		1.87
07/05/2018 06000010315	VINCENT, JUDITH	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	13.07	0.00	13.07		2.61
07/05/2018 08695900108	JAMII BARAKA ST	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	2.69	0.00	2.69		0.54
07/05/2018 08695900297	CARLOS BOGRAN III	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	4.50	0.00	4.50		0.90
07/05/2018 08699264798	ST JULIEN,	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	7.00	0.00	7.00		1.40
07/05/2018 08699264798	ST JULIEN,	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	8.40	0.00	8.40		1.68

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
07/05/2018 08699266849	ST JULIEN, ERIC	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	16.33	0.00	16.33		3.27
07/05/2018 50040000003	BENTON, MELISSA	MFT COLUMBIA MIDCAP GROWTH FUND-C	B	0.00	1.67	0.00	1.67		0.33
07/05/2018 53730000018	CARLOS BOGRAN III	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	5.46	0.00	5.46		1.09
07/05/2018 53730000029	PEREZ, CHRISTINA	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	17.71	0.00	17.71		3.54
07/05/2018 53730000075	BRUCHI, JENNIFER	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	4.73	0.00	4.73		0.95
07/05/2018 53770000062	SASSEN, JOHN	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	5.64	0.00	5.64		1.13
07/05/2018 53770000066	NOLTING, EVELYN	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	6.62	0.00	6.62		1.32
* RANDY SMITH-D601 SUBTOTAL *				\$800.00	\$1,429.12	\$0.00	\$1,429.12		\$285.84
*** LINKED DIRECT TRANSACTIONS TOTAL ***				\$800.00	\$1,429.12	\$0.00	\$1,429.12		\$285.84

ADJUSTMENTS TRANSACTIONS

BROKER: #0

07/31/2018	: MONEY MARKET TRAILS	0.00	0.00	0.00	0.00	734.38
* SUBTOTAL *		\$0.00	\$0.00	\$0.00	\$0.00	\$734.38
*** ADJUSTMENTS TRANSACTIONS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$734.38

BROKER COMMISSION TOTALS

Broker Transactions	\$3,991.59
Split Transactions	\$285.77
Override Transactions	\$0.00
Adjustments	\$734.38
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$5,011.74
Year-to-date Commissions	\$55,270.91