

# COMMISSION STATEMENT

July 31, 2018

RIX SMITH-D063

 9000 Highway 2147 West  
 Suite 201  
 Horseshoe Bay, TX 78657

BROKER #: D063

BRANCH: DMA

## COMMISSION STATEMENT for RIX SMITH-D063

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
CLEARING TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
07/10/2018 523789058	NEBGEN (TOD),	S	DOMINION RESOURCES INC/VA NEW	B	10,475.40	125.00	15.00	110.00	48.0	52.80
07/10/2018 523789058	NEBGEN (TOD),	S	KINDER MORGAN INC	B	11,064.85	125.00	15.00	110.00	48.0	52.80
07/10/2018 523789058	NEBGEN (TOD),	S	WILLIAMS COMPANIES INC (DEL)	B	15,295.91	175.00	15.00	160.00	48.0	76.80
07/17/2018 523789058	NEBGEN (TOD),	S	BED BATH & BEYOND INC	B	11,517.39	145.00	15.00	130.00	48.0	62.40
07/17/2018 523789058	NEBGEN (TOD),	S	NEWELL BRANDS, INC FORMERLY	B	11,189.05	135.00	15.00	120.00	48.0	57.60
07/19/2018 523789058	NEBGEN (TOD),	S	CATCHMARK TIMBER TRUST INC CL A	B	10,399.37	125.00	15.00	110.00	48.0	52.80
07/19/2018 523789058	NEBGEN (TOD),	S	MPLX L.P.	B	12,359.70	25.00	15.00	10.00	48.0	4.80
07/09/2018 676350959	SMITH, RIX	S	CATCHMARK TIMBER TRUST INC CL A	B	3,860.42	15.00	15.00	0.00	48.0	0.00
07/13/2018 676350959	SMITH, RIX	S	KINDER MORGAN INC	B	2,257.33	15.00	15.00	0.00	48.0	0.00
07/13/2018 676350959	SMITH, RIX	S	WILLIAMS COMPANIES INC (DEL)	B	2,748.44	15.00	15.00	0.00	48.0	0.00
07/05/2018 677511653	SMITH, DEBORAH	S	NOBLE ENERGY INC	B	3,516.45	15.00	15.00	0.00	48.0	0.00
07/17/2018 677511653	SMITH, DEBORAH	S	BED BATH & BEYOND INC	B	3,834.45	15.00	15.00	0.00	48.0	0.00
07/13/2018 677630127	CRANE, BARBARA	S	BED BATH & BEYOND INC	B	3,000.94	15.00	15.00	0.00	48.0	0.00
07/13/2018 677630127	CRANE, BARBARA	S	NEWELL BRANDS, INC FORMERLY	B	2,799.95	15.00	15.00	0.00	48.0	0.00
* STOCKS SUBTOTAL *					\$104,319.65	\$960.00	\$210.00	\$750.00		\$360.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
07/23/2018 mfc595454	SMITH RIX 595454	MFT DEVELOPING WORLD GROWTH &	B	0.00	1.02	0.00	1.02	48.0	0.49	
07/23/2018 mfc595454	SMITH RIX 595454	MFT LORD ABBETT SHORT DURATION	B	0.00	2.99	0.00	2.99	48.0	1.44	
07/23/2018 mfc595454	SMITH RIX 595454	MFT TEMP FRGN FND - CL A	B	0.00	3.42	0.00	3.42	48.0	1.64	
07/23/2018 mfc595454	SMITH RIX 595454	MFT THE INCOME FUND OF AMERICA-A	B	0.00	6.13	0.00	6.13	48.0	2.94	
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$13.56	\$0.00	\$13.56		\$6.51
*** CLEARING TRANSACTIONS TOTAL ***					\$104,319.65	\$973.56	\$210.00	\$763.56		\$366.51

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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	4.80
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	4.80
07/18/2018	676346300	SMITH TTEE, RONALD	B	SB ONE BK FRANKLIN NJ	B	50,000.00	31.88	10.00	21.88	10.50
07/09/2018	676356642	SMITH, RANDALL	B	BEDFORD TX GO REF IMPT BDS 2018	B	19,860.57	200.00	7.50	192.50	92.40
07/19/2018	676356642	SMITH, RANDALL	B	TEXAS STATE WOMANS UNIV REV	B	23,265.34	187.50	7.50	180.00	86.40
07/05/2018	492637897	PENNY-MCELROY TTEE, CD	AFFINITY FED CR UN BASKING	B	50,000.00	42.50	10.00	32.50	15.60	
07/05/2018	492637897	PENNY-MCELROY TTEE, CD	AFFINITY FED CR UN BASKING	B	-50,000.00	-42.50	-10.00	-32.50	-15.60	
07/09/2018	492637897	PENNY-MCELROY TTEE, CD	SAFRA NATIONAL BANK NEW YORK	B	50,000.00	10.63	10.00	0.63	0.30	
07/09/2018	492637897	PENNY-MCELROY TTEE, CD	UNITED BANKERS BANK BLOOMINGTON	B	64,500.00	130.62	10.00	120.62	57.90	
07/03/2018	676346300	SMITH TTEE, RONALD	CD	FIRST TECHNOLOGY FEDERAL	B	50,000.00	21.25	10.00	11.25	5.40
07/03/2018	676346300	SMITH TTEE, RONALD	CD	FIRST TECHNOLOGY FEDERAL	B	-50,000.00	-21.25	-10.00	-11.25	-5.40
07/06/2018	676346300	SMITH TTEE, RONALD	CD	BANK OF CHINA NEW YORK CITY BRH	B	50,000.00	10.63	10.00	0.63	0.30
07/09/2018	676346300	SMITH TTEE, RONALD	CD	METABANK SIOUX FALLS S D	B	50,000.00	12.75	10.00	2.75	1.32
07/10/2018	676346300	SMITH TTEE, RONALD	CD	SAFRA NATIONAL BANK NEW YORK	B	50,000.00	10.63	10.00	0.63	0.30
07/23/2018	mfc913901	SMITH 913901	MFT	CAPITAL INCOME BUILDER-A	B	0.00	3.23	0.00	3.23	1.55
07/23/2018	mfc913901	SMITH 913901	MFT	CAPITAL WORLD GROWTH AND INCOME	B	0.00	3.99	0.00	3.99	1.92
07/23/2018	mfc913901	SMITH 913901	MFT	FUNDAMENTAL INVESTORS-A	B	0.00	5.88	0.00	5.88	2.82
07/23/2018	mfc913901	SMITH 913901	MFT	GLOBAL BALANCED FUND-A	B	0.00	8.52	0.00	8.52	4.09
07/23/2018	mfc913901	SMITH 913901	MFT	INTERNATIONAL GROWTH AND	B	0.00	8.74	0.00	8.74	4.20
07/23/2018	mfc913901	SMITH 913901	MFT	THE GROWTH FUND OF AMERICA-A	B	0.00	1.56	0.00	1.56	0.75
* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *						\$350,259.99	\$669.06	\$97.50	\$571.56	\$274.35
*** SPLIT TRANSACTIONS TOTAL ***						\$350,259.99	\$669.06	\$97.50	\$571.56	\$274.35

LINKED CLEARING TRANSACTIONS

07/09/2018	677622727	KANE, STEVEN	S	SPDR S&P OIL & GAS EXPLORATI	B	26,497.85	18.00	15.00	3.00	1.44
07/10/2018	677622727	KANE, STEVEN	S	SPDR S&P OIL & GAS EXPLORATI	S	-26,607.80	18.00	15.00	3.00	1.44
07/24/2018	430235249	KANE, STEVEN	B	US TREASURY BILLS	B	138,489.93	0.00	25.00	-25.00	-12.00
* RIX SMITH-D091 SUBTOTAL *						\$138,379.98	\$36.00	\$55.00	\$-19.00	\$-9.12
*** LINKED CLEARING TRANSACTIONS TOTAL ***						\$138,379.98	\$36.00	\$55.00	\$-19.00	\$-9.12

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ADJUSTMENTS TRANSACTIONS

BROKER: #0

07/31/2018		: MONEY MARKET TRAILS		0.00	0.00	0.00	0.00		762.66
		* SUBTOTAL *		\$0.00	\$0.00	\$0.00	\$0.00		\$762.66
		*** ADJUSTMENTS TRANSACTIONS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00		\$762.66

BROKER COMMISSION TOTALS

Broker Transactions	\$357.39
Split Transactions	\$274.35
Override Transactions	\$0.00
Adjustments	\$762.66
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$1,394.40
Year-to-date Commissions	\$12,872.02