

Bill Payment Stub

Check Date:	4/25/2018
Check No.:	ACH
Check Amount:	6,329.57

Dominion Investor Services
P.O. Box 4768
Horseshoe Bay, TX 78657-4768

Paid To: ROBERT CALDWELL
2802 N HIGHLAND AVE, STE B
JACKSON, TN 38305

Date	Type	Reference	Original Amt.	Balance	Discount	Payment
3/31/2018	Bill	COMMISSIONS	93.93	93.93		93.93
4/15/2018	Bill	COMMISSIONS	6,490.64	6,490.64		6,490.64
4/1/2018	Credit	E&O	-120.00	-120.00		-120.00
4/5/2018	Credit	FINRA ASSESMENT	-135.00	-135.00		-135.00

COMMISSION STATEMENT

April 15, 2018

ROBERT CALDWELL-D013

BROKER #: D013

BRANCH: DME

, TX

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUNDS									
03/26/2018	000000000227710 THOMAS,	MF FRANKLIN MODERATE ALLOCATION	B	100.00	1.00	0.00	1.00	90.0	0.90
03/26/2018	000000003822855 PATRICK, CHAD	MF MUTUAL SHRS FND - CL C	B	166.66	1.67	0.00	1.67	90.0	1.50
03/26/2018	00067541249 PATRICK, CHAD	MF THE GROWTH FUND OF AMERICA-529A	B	75.00	3.19	0.00	3.19	90.0	2.87
03/26/2018	00067549730 PATRICK, CHAD	MF THE GROWTH FUND OF AMERICA-529A	B	75.00	3.19	0.00	3.19	90.0	2.87
04/02/2018	00068087474 PULLIAM, RYAN	MF AMERICAN BALANCED FUND-529C	B	200.00	2.00	0.00	2.00	90.0	1.80
04/02/2018	00068087476 PULLIAM, RYAN	MF AMERICAN BALANCED FUND-529C	B	150.00	1.50	0.00	1.50	90.0	1.35
03/26/2018	00073739173 BEARD, PATRICK	MF INVESTMENT COMPANY OF AMERICA	B	50.00	0.50	0.00	0.50	90.0	0.45
03/29/2018	00075317599 COPELAND, SUSAN	MF AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
03/29/2018	00075317599 COPELAND, SUSAN	MF FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
04/02/2018	00081948520 WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
04/02/2018	00081948520 WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
04/02/2018	00081948520 WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
04/02/2018	00081948520 WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
04/02/2018	00081948549 HINDS, MICHAEL	MF AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
04/02/2018	00081948549 HINDS, MICHAEL	MF AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
04/02/2018	00081948549 HINDS, MICHAEL	MF AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
04/02/2018	00081948549 HINDS, MICHAEL	MF AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
04/02/2018	00081948549 HINDS, MICHAEL	MF U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
04/02/2018	00081948549 HINDS, MICHAEL	MF U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
04/02/2018	00081948685 SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
04/02/2018	00081948685 SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21
04/02/2018	00081948685 SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
04/02/2018	00081948685 SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
04/02/2018	00081948685 SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
04/02/2018	00081948685 SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
04/02/2018	00081948685 SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21
04/02/2018	00081948685 SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
04/02/2018	00087734807 JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	29.12	0.29	0.00	0.29	90.0	0.26
04/02/2018	00087734807 JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	97.06	0.97	0.00	0.97	90.0	0.87
04/02/2018	00087734863 WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	34.99	0.35	0.00	0.35	90.0	0.32
04/02/2018	00087734863 WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	34.99	0.35	0.00	0.35	90.0	0.32

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
04/02/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	27.10	0.27	0.00	0.27	90.0	0.24
04/02/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	27.10	0.27	0.00	0.27	90.0	0.24
04/02/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	10.52	0.11	0.00	0.11	90.0	0.10
04/02/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	17.54	0.18	0.00	0.18	90.0	0.16
04/02/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	12.28	0.12	0.00	0.12	90.0	0.11
04/02/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	20.45	0.20	0.00	0.20	90.0	0.18
04/02/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	12.27	0.12	0.00	0.12	90.0	0.11
04/02/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	20.46	0.20	0.00	0.20	90.0	0.18
04/02/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
04/02/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
04/02/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	52.88	0.53	0.00	0.53	90.0	0.48
04/02/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	52.88	0.53	0.00	0.53	90.0	0.48
04/02/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	35.79	0.36	0.00	0.36	90.0	0.32
04/02/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	35.79	0.36	0.00	0.36	90.0	0.32
04/02/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	29.64	0.30	0.00	0.30	90.0	0.27
04/02/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	29.64	0.30	0.00	0.30	90.0	0.27
04/02/2018 04000412607	HUFFSTETTLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
04/02/2018 04000412607	HUFFSTETTLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
* MUTUAL FUNDS SUBTOTAL *				\$2,347.16	\$34.40	\$0.00	\$34.40		\$30.97

PRODUCT CATEGORY: VARIABLE ANNUITIES

03/31/2018 1011849420	JACKMAN, JENNIFER	VA PERSP L 08/11	B	68,008.36	56.67	0.00	56.67	90.0	51.00
03/31/2018 1011852102	JACKMAN, JENNIFER	VA ELITE ACCESS L	B	21,504.84	17.92	0.00	17.92	90.0	16.13
03/31/2018 1012316590	AVILA PENSION	VA PERSP L 08/11	B	547,454.19	456.21	0.00	456.21	90.0	410.59
03/31/2018 1014122890	LAMBERT, RONALD	VA PERSP L 08/11	B	88,746.64	73.96	0.00	73.96	90.0	66.56
03/31/2018 1014231907	UTLEY, MARTHA	VA PERSP L 08/11	B	292,907.16	244.09	0.00	244.09	90.0	219.68
03/31/2018 1015402721	LEFORGE, JUDY	VA PERSP L 08/11	B	41,497.35	34.58	0.00	34.58	90.0	31.12
03/31/2018 1015649484	WINTER, DONALD	VA PERSP L 08/11	B	75,163.53	62.64	0.00	62.64	90.0	56.38
03/31/2018 1015919945	NAVEL, FRIEDA	VA PERSP L 08/11	B	35,557.54	29.63	0.00	29.63	90.0	26.67
03/31/2018 1016060638	WILLIAMS, WILLIAM	VA ELITE ACCESS	B	62,460.79	52.05	0.00	52.05	90.0	46.85
03/31/2018 1016060646	WILLIAMS, WILLIAM	VA ELITE ACCESS	B	97,303.68	81.09	0.00	81.09	90.0	72.98
03/31/2018 1016060760	WILLIAMS, GLYNDA	VA ELITE ACCESS	B	6,411.15	5.34	0.00	5.34	90.0	4.81
03/31/2018 1016122048	WOODS, WILLIAM	VA PERSP L 08/11	B	116,774.56	97.31	0.00	97.31	90.0	87.58
03/31/2018 1016747269	BREEDEN TATE, MARY	VA ELITE ACCESS L	B	81,658.56	68.05	0.00	68.05	90.0	61.25
03/31/2018 1016835974	HOLLIDAY, REBECCA	VA ELITE ACCESS L	B	13,167.64	10.97	0.00	10.97	90.0	9.87
03/31/2018 1016922273	WILLIAMS, BRYAN	VA ELITE ACCESS L	B	12,068.49	10.06	0.00	10.06	90.0	9.05
03/31/2018 1017566284	WOODS, WILLIAM	VA ELITE ACCESS L	B	44,190.25	36.83	0.00	36.83	90.0	33.15
03/31/2018 1018403044	WILLIAMS, CLAYTON	VA ELITE ACCESS L	B	9,272.93	7.73	0.00	7.73	90.0	6.96
03/31/2018 1018603060	MILTON, MARY	VA PERSP L 08/11	B	128,175.60	106.81	0.00	106.81	90.0	96.13
03/31/2018 1018757199	STANBERY, DALLAS	VA PERSP L 08/11	B	156,234.84	130.20	0.00	130.20	90.0	117.18
* VARIABLE ANNUITIES SUBTOTAL *				\$1,898,558.10	\$1,582.14	\$0.00	\$1,582.14		\$1,423.94

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
03/31/2018 (None)	VARIOUS, CALDWELL	MFT OPPENHEIMER	B	0.00	134.06	0.00	134.06	90.0	120.65
03/31/2018 (None)	ALTO, MATTB	MFT PACIFIC LIFE 12B1	B	0.00	0.14	0.00	0.14	90.0	0.13
04/06/2018 (None)	VARIOUS, CALDWELL	MFT FIDELITY ADVISOR FDS	B	0.00	3.63	0.00	3.63	90.0	3.27
04/01/2018 00000939629	MUIR (A MINOR),	MFT MFS GROWTH FUND-C	B	0.00	8.16	0.00	8.16	90.0	7.34
04/01/2018 00000939630	MUIR (A MINOR),	MFT MFS GROWTH FUND-C	B	0.00	8.16	0.00	8.16	90.0	7.34
04/01/2018 00001321372	GAYTON, JEFFREY	MFT MFS EMERGING GROWTH FUND-B	B	0.00	14.41	0.00	14.41	90.0	12.97
04/01/2018 00060269714	WILSON, CINDY	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	3.61	0.00	3.61	90.0	3.25
04/01/2018 00060381960	GUIDRY, L	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	4.80	0.00	4.80	90.0	4.32
04/01/2018 00060452513	GAYTON, WILLIAM	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	160.86	0.00	160.86	90.0	144.77
04/01/2018 00060469177	GAYTON, JEFFREY	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	39.59	0.00	39.59	90.0	35.63
04/01/2018 00060469178	GAYTON, WILLIAM	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	41.73	0.00	41.73	90.0	37.56
04/01/2018 00060476222	GAYTON, PHYLLIS	MFT MFS MODERATE ALLOCATION FUND-A	B	0.00	44.59	0.00	44.59	90.0	40.13
04/01/2018 00060476222	GAYTON, PHYLLIS	MFT MFS MODERATE ALLOCATION FUND-C	B	0.00	0.05	0.00	0.05	90.0	0.05
04/01/2018 00060476300	BAXTER, DEBORAH	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	8.76	0.00	8.76	90.0	7.88
04/01/2018 00060476340	DZURIK, COLLEEN	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	26.09	0.00	26.09	90.0	23.48
04/01/2018 00060513440	HANAFEE, CONRAD	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	13.59	0.00	13.59	90.0	12.23
04/01/2018 00060513441	LAYLA JEAN	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	6.56	0.00	6.56	90.0	5.90
04/01/2018 00060514214	HANAFEE, CONRAD	MFT MASS INVESTORS GROWTH STOCK	B	0.00	27.75	0.00	27.75	90.0	24.98
04/01/2018 00060514215	LAYLA JEAN	MFT MASS INVESTORS GROWTH STOCK	B	0.00	2.31	0.00	2.31	90.0	2.08
04/01/2018 00060515572	HANAFEE, CONRAD	MFT MFS MID CAP GROWTH FUND-A	B	0.00	18.64	0.00	18.64	90.0	16.78
04/01/2018 00060515573	LAYLA JEAN	MFT MFS MID CAP GROWTH FUND-A	B	0.00	9.32	0.00	9.32	90.0	8.39
04/01/2018 00060526191	WILLIAMSON,	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	22.49	0.00	22.49	90.0	20.24
04/01/2018 00060527965	MUIR (A MINOR),	MFT MASS INVESTORS GROWTH STOCK	B	0.00	2.46	0.00	2.46	90.0	2.21
04/01/2018 00060527966	MUIR (A MINOR),	MFT MASS INVESTORS GROWTH STOCK	B	0.00	2.46	0.00	2.46	90.0	2.21
04/01/2018 00060566395	MUIR (A MINOR),	MFT MFS VALUE FUND-A	B	0.00	2.68	0.00	2.68	90.0	2.41
04/01/2018 00060566397	MUIR (A MINOR),	MFT MFS VALUE FUND-A	B	0.00	2.68	0.00	2.68	90.0	2.41
04/01/2018 00060587374	TAN, SOPHIA	MFT MFS MID CAP GROWTH FUND-A	B	0.00	0.67	0.00	0.67	90.0	0.60
04/01/2018 00060587376	SOPHIA IRIS TAN	MFT MFS MID CAP GROWTH FUND-A	B	0.00	0.42	0.00	0.42	90.0	0.38
04/01/2018 03909091179	DATUIN, MARIA	MFT AIM CHARTER FUND - CLASS A	B	0.00	1.45	0.00	1.45	90.0	1.31
04/01/2018 03909091179	DATUIN, MARIA	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	1.44	0.00	1.44	90.0	1.30
04/01/2018 05028463692	STANBERY UTMA/TN,	MFT AIM GLOBAL EQUITY FUND - CLASS	B	0.00	1.05	0.00	1.05	90.0	0.95
04/01/2018 08188090716	WILSON, ASHLEY	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	1.93	0.00	1.93	90.0	1.74
04/01/2018 08188962961	SMITH REMODELING	MFT MFS MODERATE ALLOCATION FUND-C	B	0.00	0.65	0.00	0.65	90.0	0.59
04/01/2018 08188962965	SMITH REMODELING	MFT MFS GROWTH ALLOCATION FUND-C	B	0.00	0.91	0.00	0.91	90.0	0.82
04/01/2018 08189050690	STANBERY UTMA/TN,	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	2.00	0.00	2.00	90.0	1.80
04/01/2018 08189829384	JANE LIPSHIE	MFT MFS MODERATE ALLOCATION FUND-A	B	0.00	10.76	0.00	10.76	90.0	9.68
04/01/2018 08189841213	GAYTON, PHYLLIS	MFT MFS MODERATE ALLOCATION FUND-B	B	0.00	22.23	0.00	22.23	90.0	20.01
04/01/2018 08189841221	GAYTON, WILLIAM	MFT MFS GROWTH ALLOCATION FUND-C	B	0.00	180.88	0.00	180.88	90.0	162.79
04/01/2018 08189914268	LIPSHIE BENE,	MFT MFS GROWTH ALLOCATION FUND-A	B	0.00	11.69	0.00	11.69	90.0	10.52
04/01/2018 08191404120	MAMIE MERIWETHER	MFT MFS MODERATE ALLOCATION FUND-A	B	0.00	21.06	0.00	21.06	90.0	18.95
04/01/2018 08191404120	MAMIE MERIWETHER	MFT MFS TOTAL RETURN FUND-A	B	0.00	11.91	0.00	11.91	90.0	10.72
04/05/2018 IRK121025	DILIGENCE	MFT 8504AFRKD	B	0.00	11.79	0.00	11.79	90.0	10.61

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$890.42	\$0.00	\$890.42		\$801.38
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS									
03/31/2018 (None)	BREEDEN TATE, MARY	VAT HARTFORD LIFE	B	0.00	52.62	0.00	52.62	90.0	47.36
03/31/2018 (None)	VARIOUS, CALDWELL	VAT PRUDENTIAL LIFE	B	0.00	4,652.21	0.00	4,652.21	90.0	4,186.99
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$4,704.83	\$0.00	\$4,704.83		\$4,234.35
*** DIRECT TRANSACTIONS TOTAL ***				\$1,900,905.26	\$7,211.79	\$0.00	\$7,211.79		\$6,490.64

BROKER COMMISSION TOTALS

Broker Transactions	\$6,490.64
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	\$6,490.64
Year-to-date Commissions	\$24,481.89