

All Companies
STATEMENT
 April 20, 2018

NICK DREW
 12721 Sawmill Rd Suite 105
 SUITE 105
 The Woodlands, TX 77380

BROKER #: 169
 BRANCH:

COMMISSION STATEMENT for NICK DREW

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUNDS									
02/26/2018	#01453112920 MATHEANGE	FA 529 NEW INSIGHTS PORT-CL C	100.00	1.00	95.0	0.00	0.95	0.00	0.95
02/26/2018	#01453145300 MATHEANGE	FA 529 NEW INSIGHTS PORT-CL C	100.00	1.00	95.0	0.00	0.95	0.00	0.95
02/28/2018	#01433683800 SAILCHOLL	FA 529 EQUITY GROWTH PORT-CL A	150.00	5.63	95.0	0.00	5.35	0.00	5.35
03/01/2018	#03900207202 KATE ASHLEY	FA 529 DIV. INTERNATIONAL	50.00	0.50	95.0	0.00	0.48	0.00	0.48
03/01/2018	#03900207203 KATE ASHLEY	FA 529 DIV. INTERNATIONAL	50.00	0.50	95.0	0.00	0.48	0.00	0.48
03/01/2018	#03900207204 KATE ASHLEY	FA 529 DIV. INTERNATIONAL	50.00	0.50	95.0	0.00	0.48	0.00	0.48
03/01/2018	#03900207205 KATE ASHLEY	FA 529 DIV. INTERNATIONAL	50.00	0.50	95.0	0.00	0.48	0.00	0.48
03/01/2018	#01462130194 CRASSMELI	FA 529 NEW INSIGHTS PORT-CL C	200.00	2.00	95.0	0.00	1.90	0.00	1.90
03/01/2018	#01467787535 RAYBURN,	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	95.0	0.00	0.48	0.00	0.48
03/01/2018	#01474968060 MORGAN, TIFFANY	FA 529 NEW INSIGHTS PORT-CL C	100.00	1.00	95.0	0.00	0.95	0.00	0.95
03/01/2018	#01475342802 HOPPERS,	FA 529 NEW INSIGHTS PORT-CL C	200.00	2.00	95.0	0.00	1.90	0.00	1.90
03/01/2018	#01482268248 WHITE, JESSE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	95.0	0.00	0.48	0.00	0.48
03/01/2018	#01482268271 WHITE, JESSE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	95.0	0.00	0.48	0.00	0.48
03/01/2018	#01482268297 WHITE, JESSE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	95.0	0.00	0.48	0.00	0.48
03/01/2018	#01489928307 MORGAMONT	FA 529 NEW INSIGHTS PORT-CL C	100.00	1.00	95.0	0.00	0.95	0.00	0.95
03/01/2018	#01489928364 MORGAMONT	FA 529 NEW INSIGHTS PORT-CL C	100.00	1.00	95.0	0.00	0.95	0.00	0.95
03/01/2018	#01490487806 BYERS, JUSTIN	FIDELITY GROWTH OP	50.00	0.50	95.0	0.00	0.48	0.00	0.48
03/01/2018	#00073658761 STOVALL, BLAKE	NEW PERSPECTIVE FUND-529A	600.00	12.00	95.0	0.00	11.40	0.00	11.40
03/15/2018	#01446906354 SCHLANSER,	FA 529 EQUITY GROWTH PORT-CL A	50.00	2.50	95.0	0.00	2.38	0.00	2.38
03/15/2018	#01486464421 VINEYARD,	FA 529 NEW INSIGHTS PORT-CL C	250.00	2.50	95.0	0.00	2.38	0.00	2.38
03/15/2018	#01484284672 CRASSMELI	FA 529 NEW INSIGHTS PORT-CL C	200.00	2.00	95.0	0.00	1.90	0.00	1.90
03/15/2018	#01481917423 SCHLANSER,	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	95.0	0.00	0.48	0.00	0.48
03/15/2018	#01475344956 HOPPEJON	FA 529 NEW INSIGHTS PORT-CL C	200.00	2.00	95.0	0.00	1.90	0.00	1.90
03/15/2018	#01467602163 ADDICKS,	FA 529 NEW INSIGHTS PORT-CL C	250.00	2.50	95.0	0.00	2.38	0.00	2.38
03/15/2018	#01466752647 ADDICKS,	FA 529 NEW INSIGHTS PORT-CL C	250.00	2.50	95.0	0.00	2.38	0.00	2.38
03/26/2018	#01453112920 MATHEANGE	FA 529 NEW INSIGHTS PORT-CL C	100.00	1.00	95.0	0.00	0.95	0.00	0.95
03/26/2018	#01453145300 MATHEANGE	FA 529 NEW INSIGHTS PORT-CL C	100.00	1.00	95.0	0.00	0.95	0.00	0.95
03/28/2018	# FARMER, JULIA	FIDELITY ADVISOR INTL SMALL CAP FUN	4,953.56	0.00	95.0	0.00	0.00	20.00	-20.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
03/28/2018 #	FARMER, IAN	FIDELITY ADVISOR INTL SMALL CAP FUN	9,882.47	0.00	95.0	0.00	0.00	20.00	-20.00
* MUTUAL FUNDS SUBTOTAL *			\$18,386.03	\$47.63		\$0.00	\$45.32	\$40.00	\$5.32
<u>PRODUCT CATEGORY: STOCKS</u>									
02/27/2018 #		POWERSHARES EXCHAN CEF INCOM COMPOS	64,031.00	0.00	75.0	0.00	0.00	0.00	0.00
03/01/2018 #	THROWER, NANCY	POWERSHARES EXCHAN CEF INCOM COMPOS	19,655.40	0.00	75.0	0.00	0.00	0.00	0.00
03/12/2018 #	BUSKING, RYAN	SPDR S&P 500 ETF TR	18,099.91	0.00	75.0	0.00	0.00	0.00	0.00
03/14/2018 #	BUSKING, RYAN	POWERSHARES EXCHAN CEF INCOM COMPOS	4,663.36	0.00	75.0	0.00	0.00	0.00	0.00
03/19/2018 #	BROWN, KAREN	POWERSHARES EXCHAN CEF INCOM COMPOS	4,598.00	0.00	75.0	0.00	0.00	0.00	0.00
03/19/2018 #	BROWN, KAREN	POWERSHARES EXCHAN CEF INCOM COMPOS	593,057.65	0.00	75.0	0.00	0.00	0.00	0.00
* STOCKS SUBTOTAL *			\$704,105.32	\$0.00		\$0.00	\$0.00	\$0.00	\$0.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
02/05/0018 #826081	BRADLEY, SE	MASSMUTUAL	0.00	5.70	95.0	0.00	5.42	0.00	5.42
02/05/0018 #826081	BRADLEY, SE	MASSMUTUAL	0.00	6.00	95.0	0.00	5.70	0.00	5.70
03/05/0018 #826081	BRADLEY, SE	MASSMUTUAL	0.00	5.70	95.0	0.00	5.42	0.00	5.42
03/05/0018 #826081	BRADLEY, SE	MASSMUTUAL	0.00	6.00	95.0	0.00	5.70	0.00	5.70
02/10/0201 #826081	BRADLEY, SE	MASSMUTUAL	0.00	6.00	95.0	0.00	5.70	0.00	5.70
02/10/0201 #826081	BRADLEY, SE	MASSMUTUAL	0.00	5.70	95.0	0.00	5.42	0.00	5.42
02/10/0201 #826081	BRADLEY, SE	MASSMUTUAL	0.00	6.00	95.0	0.00	5.70	0.00	5.70
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$41.10		\$0.00	\$39.06	\$0.00	\$39.06
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
03/01/2018 #00087957389		CAPITAL WORLD GROWTH AND INCOME-529	0.00	5.21	95.0	0.00	4.95	0.00	4.95
03/01/2018 #00073658761	STOVALL, BLAKE	NEW PERSPECTIVE FUND-529A	0.00	9.78	95.0	0.00	9.29	0.00	9.29
03/01/2018 #00073658761	STOVALL, BLAKE	SMALLCAP WORLD FUND-529A	0.00	11.84	95.0	0.00	11.25	0.00	11.25
03/01/2018 #00073658761	STOVALL, BLAKE	THE GROWTH FUND OF AMERICA-529A	0.00	10.12	95.0	0.00	9.61	0.00	9.61
03/01/2018 #00087957389		THE GROWTH FUND OF AMERICA-529C	0.00	8.23	95.0	0.00	7.82	0.00	7.82
03/07/2018 #01473861464		FA 529 DIV. INTERNATIONAL	0.00	1.66	95.0	0.00	1.58	0.00	1.58
03/07/2018 #00517292975	VINEYARD,	FA 529 DIVERSIFIED INTL PORT-CL A	0.00	4.74	95.0	0.00	4.50	0.00	4.50
03/07/2018 #00517292975	VINEYARD,	FA 529 DIVIDEND GROWTH PORT-CL A	0.00	9.44	95.0	0.00	8.97	0.00	8.97
03/07/2018 #01447784933	BEDORE,	FA 529 DIVIDEND GROWTH PORT-CL A	0.00	11.18	95.0	0.00	10.62	0.00	10.62
03/07/2018 #01433683800	SAILCHOLL	FA 529 EQUITY GROWTH PORT-CL A	0.00	12.56	95.0	0.00	11.93	0.00	11.93
03/07/2018 #01446906354	SCHLANSE,	FA 529 EQUITY GROWTH PORT-CL A	0.00	1.41	95.0	0.00	1.34	0.00	1.34
03/07/2018 #01473861464		FA 529 INFLATION PROTECTED BD PORT-	0.00	2.66	95.0	0.00	2.53	0.00	2.53
03/07/2018 #01447608090	MCELHOE, BENE	FA 529 INTERMED BOND PORT-CL A	0.00	5.66	95.0	0.00	5.38	0.00	5.38
03/07/2018 #01447651777	MCELHOE, BENE	FA 529 INTERMED BOND PORT-CL A	0.00	3.51	95.0	0.00	3.33	0.00	3.33

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
03/07/2018	#01466752647	ADDICKS, FA 529 INTERMED BOND PORT-CL A	0.00	0.35	95.0	0.00	0.33	0.00	0.33
03/07/2018	#00517292975	VINEYARD, FA 529 MID CAP PORT-CL A	0.00	2.55	95.0	0.00	2.42	0.00	2.42
03/07/2018	#00517624490	BROWN, FA 529 NEW INSIGHTS PORT-CL A	0.00	32.90	95.0	0.00	31.26	0.00	31.26
03/07/2018	#01447651777	MCELHOE, BENE FA 529 NEW INSIGHTS PORT-CL A	0.00	4.21	95.0	0.00	4.00	0.00	4.00
03/07/2018	#01453112920	MATHEANGE FA 529 NEW INSIGHTS PORT-CL A	0.00	2.00	95.0	0.00	1.90	0.00	1.90
03/07/2018	#01453145300	MATHEANGE FA 529 NEW INSIGHTS PORT-CL A	0.00	2.00	95.0	0.00	1.90	0.00	1.90
03/07/2018	#01462130194	CRASSMELI FA 529 NEW INSIGHTS PORT-CL A	0.00	0.51	95.0	0.00	0.48	0.00	0.48
03/07/2018	#01466752647	ADDICKS, FA 529 NEW INSIGHTS PORT-CL A	0.00	1.30	95.0	0.00	1.24	0.00	1.24
03/07/2018	#01467602163	ADDICKS, FA 529 NEW INSIGHTS PORT-CL A	0.00	0.22	95.0	0.00	0.21	0.00	0.21
03/07/2018	#01467787535	RAYBURN, FA 529 NEW INSIGHTS PORT-CL A	0.00	2.29	95.0	0.00	2.18	0.00	2.18
03/07/2018	#01483572945	RAYBURN, FA 529 NEW INSIGHTS PORT-CL A	0.00	0.25	95.0	0.00	0.24	0.00	0.24
03/07/2018	#01453112920	MATHEANGE FA 529 NEW INSIGHTS PORT-CL C	0.00	7.48	95.0	0.00	7.11	0.00	7.11
03/07/2018	#01453145300	MATHEANGE FA 529 NEW INSIGHTS PORT-CL C	0.00	7.48	95.0	0.00	7.11	0.00	7.11
03/07/2018	#01462130194	CRASSMELI FA 529 NEW INSIGHTS PORT-CL C	0.00	10.98	95.0	0.00	10.43	0.00	10.43
03/07/2018	#01466752647	ADDICKS, FA 529 NEW INSIGHTS PORT-CL C	0.00	6.69	95.0	0.00	6.36	0.00	6.36
03/07/2018	#01467602163	ADDICKS, FA 529 NEW INSIGHTS PORT-CL C	0.00	11.47	95.0	0.00	10.90	0.00	10.90
03/07/2018	#01467787535	RAYBURN, FA 529 NEW INSIGHTS PORT-CL C	0.00	2.72	95.0	0.00	2.58	0.00	2.58
03/07/2018	#01473861464	FA 529 NEW INSIGHTS PORT-CL C	0.00	3.54	95.0	0.00	3.36	0.00	3.36
03/07/2018	#01474968060	MORGAN, TIFFANY FA 529 NEW INSIGHTS PORT-CL C	0.00	5.83	95.0	0.00	5.54	0.00	5.54
03/07/2018	#01475342802	HOPPERS, FA 529 NEW INSIGHTS PORT-CL C	0.00	8.74	95.0	0.00	8.30	0.00	8.30
03/07/2018	#01475344956	HOPPEJON FA 529 NEW INSIGHTS PORT-CL C	0.00	10.71	95.0	0.00	10.17	0.00	10.17
03/07/2018	#01481917423	SCHLANSE, FA 529 NEW INSIGHTS PORT-CL C	0.00	1.35	95.0	0.00	1.28	0.00	1.28
03/07/2018	#01482268248	WHITE, JESSE FA 529 NEW INSIGHTS PORT-CL C	0.00	17.21	95.0	0.00	16.35	0.00	16.35
03/07/2018	#01482268271	WHITE, JESSE FA 529 NEW INSIGHTS PORT-CL C	0.00	1.26	95.0	0.00	1.20	0.00	1.20
03/07/2018	#01482268297	WHITE, JESSE FA 529 NEW INSIGHTS PORT-CL C	0.00	1.26	95.0	0.00	1.20	0.00	1.20
03/07/2018	#01484284672	CRASSMELI FA 529 NEW INSIGHTS PORT-CL C	0.00	3.91	95.0	0.00	3.71	0.00	3.71
03/07/2018	#01486464421	VINEYARD, FA 529 NEW INSIGHTS PORT-CL C	0.00	7.08	95.0	0.00	6.73	0.00	6.73
03/07/2018	#01473861464	FA 529 SMALL CAP PORTFOLIO - CLASS	0.00	1.79	95.0	0.00	1.70	0.00	1.70
03/09/2018	# BEDORE, ROBERT	DAIN TRAILER	0.00	1.80	95.0	0.00	1.71	0.00	1.71
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$257.88		\$0.00	\$245.00	\$0.00	\$245.00
*** BROKER TRANSACTIONS TOTAL ***			\$722,491.35	\$346.61		\$0.00	\$329.38	\$40.00	\$289.38

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
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ADJUSTMENTS

04/20/2018		E & O INSURANCE: E & O INSURANCE							-179.00
04/20/2018		POSTAGE: POSTAGE FEDEX							-10.56
04/20/2018		FINRA: FINRA ANNUAL ASSESMENT FEE							-215.00
04/20/2018		ADMIN FEE: ADMIN FEE							-390.00
*** ADJUSTMENTS TOTAL ***									<u>\$-794.56</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$289.38
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-794.56
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

Balance Forward	<u>\$-505.18</u>
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