

**COMMISSION STATEMENT****January 31, 2018**

MARK-S141 REG SMITH

BROKER #: S141

BRANCH: WOODS FINANCIAL

, MI

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/16/2018	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.20
01/16/2018	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	48.0	1.20
01/16/2018	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	48.0	1.20
01/16/2018	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	48.0	1.20
01/16/2018	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.20
01/16/2018	UNTIL AGE 21, TX/UTMA	AM FUNDS GROWTH PORT A	50.00	1.88	0.00	1.88	48.0	0.90
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$300.00</b>	<b>\$14.38</b>	<b>\$0.00</b>	<b>\$14.38</b>		<b>\$6.90</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
01/19/2018	GILMOR, JULIE	NATIONWIDE DESTINATION LS 96	0.00	131.12	0.00	131.12	48.0	62.94
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$131.12</b>	<b>\$0.00</b>	<b>\$131.12</b>		<b>\$62.94</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
01/04/2018	SMITH, ROGER	ALGER CAPITAL APPRECIATION A	0.00	3.95	0.00	3.95	48.0	1.90
01/01/2018	WHISTLER, ROBERT	INVESCO ASIA PACIFIC GROWTH C	0.00	8.26	0.00	8.26	48.0	3.96
01/01/2018	BRIDGES, JANIS	INVESCO BALANCED RISK ALLOCATION A	0.00	13.94	0.00	13.94	48.0	6.69
01/01/2018	TMICO	INVESCO BALANCED RISK ALLOCATION A	0.00	5.13	0.00	5.13	48.0	2.46
01/01/2018	TMICO	INVESCO BALANCED RISK ALLOCATION A	0.00	15.12	0.00	15.12	48.0	7.26
01/01/2018	WALLACE, SHEILA	INVESCO BALANCED RISK ALLOCATION A	0.00	2.65	0.00	2.65	48.0	1.27
01/01/2018	GODWIN, SANDRA	INVESCO BALANCED-RISK ALLOCATION-C	0.00	39.37	0.00	39.37	48.0	18.90
01/01/2018	TMICO	INVESCO BALANCED-RISK ALLOCATION-C	0.00	43.63	0.00	43.63	48.0	20.94
01/01/2018	WHISTLER, ROBERT	INVESCO BALANCED-RISK ALLOCATION-C	0.00	17.09	0.00	17.09	48.0	8.20
01/01/2018	WALLACE, CHARLES	INVESCO BALANCED-RISK ALLOCATION-C	0.00	27.15	0.00	27.15	48.0	13.03
01/01/2018	DODD, AIMEE	INVESCO BALANCED-RISK ALLOCATION-C	0.00	58.24	0.00	58.24	48.0	27.96
01/01/2018	WHISTLER, ROBERT	INVESCO DIV INC 00142F519	0.00	18.85	0.00	18.85	48.0	9.05
01/01/2018	WHISTLER, ROBERT	INVESCO GLOBAL HEALTH CARE C	0.00	6.95	0.00	6.95	48.0	3.34
01/01/2018	WHISTLER, ROBERT	INVESCO MID CAP GROWTH FUND - CLASS	0.00	5.43	0.00	5.43	48.0	2.61

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

\*\* - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount &amp; Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
01/04/2018	WARD, SHERRY	PIMCO INCOME FUND C	0.00	2.54	0.00	2.54	48.0	1.22
01/04/2018	WARD, SHERRY	PIMCO INCOME FUND C	0.00	6.61	0.00	6.61	48.0	3.17
01/04/2018	MASHBURN, PHYLLIS	PIMCO INCOME FUND C	0.00	0.09	0.00	0.09	48.0	0.04
01/04/2018	MASHBURN, PHYLLIS	PIMCO INCOME FUND C	0.00	0.22	0.00	0.22	48.0	0.11
12/31/2017	TMICO	PRUDENTIAL TRAILS	4,133.79	2.61	0.00	2.61	48.0	1.25
12/31/2017	WHISTLER, ROBERT M & LIND	PRUDENTIAL TRAILS	7,200.04	4.53	0.00	4.53	48.0	2.17
01/02/2018	HORNE, CHARLES	PUTNAM EQUITY INCOME A	0.00	3.32	0.00	3.32	48.0	1.59
01/02/2018	HORNE, CHARLES	PUTNAM GLOBAL HEALTH CARE A	0.00	3.20	0.00	3.20	48.0	1.54
01/02/2018	HORNE, CHARLES	PUTNAM HIGH YIELD ADVANTAGE A	0.00	2.38	0.00	2.38	48.0	1.14
01/02/2018	HORNE, CHARLES	PUTNAM MULTI-CAP VALUE A	0.00	2.96	0.00	2.96	48.0	1.42
01/02/2018	AARY, HARLEY	PUTNAM SMALL CAP GROWTH-A	0.00	0.31	0.00	0.31	48.0	0.15
01/02/2018	HORNE, CHARLES	PUTNAM SMALL CAP VALUE A	0.00	1.03	0.00	1.03	48.0	0.49
01/02/2018	HORNE, CHARLES	PUTNAM U.S. GOVT INCOME TR-A	0.00	0.49	0.00	0.49	48.0	0.24
/ /	BONGIORNO, JANET	RYDEX BIOTECHNOLOGY A	0.00	0.04	0.00	0.04	48.0	0.02
/ /	BONGIORNO, JANET	RYDEX GUGG REAL ESTATE A	0.00	0.10	0.00	0.10	48.0	0.05
/ /	BONGIORNO, JANET	RYDEX GUGGENHEIM UTILITIES A	0.00	0.08	0.00	0.08	48.0	0.04
/ /	BONGIORNO, JANET	RYDEX HEALTH CARE-A	0.00	0.05	0.00	0.05	48.0	0.02
01/03/2018	RADEMAKERS, DAVID	TRANSAMERICA TACTICAL INCOME C	0.00	11.05	0.00	11.05	48.0	5.30
01/03/2018	HARRIS, GENIVA	TRANSAMERICA TACTICAL INCOME C	0.00	4.41	0.00	4.41	48.0	2.12
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$11,333.83</b>	<b>\$311.78</b>	<b>\$0.00</b>	<b>\$311.78</b>		<b>\$149.65</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>			<b>\$11,633.83</b>	<b>\$457.28</b>	<b>\$0.00</b>	<b>\$457.28</b>		<b>\$219.49</b>

**VERRIDE TRANSACTIONS****BROKER: MARK-S148 SMITH #401**

01/05/2018	SPURGIN, LISBETH	FT FOUNDING FDS ALLOC C	300.00	3.00	0.00	3.00	0.0	1.44
<b>* MARK-S148 SMITH SUBTOTAL *</b>			<b>\$300.00</b>	<b>\$3.00</b>	<b>\$0.00</b>	<b>\$3.00</b>		<b>\$1.44</b>
<b>*** OVERRIDE TRANSACTIONS TOTAL ***</b>			<b>\$300.00</b>	<b>\$3.00</b>	<b>\$0.00</b>	<b>\$3.00</b>		<b>\$1.44</b>

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**BROKER COMMISSION TOTALS**

Broker Transactions	\$219.49
Split Transactions	\$0.00
Override Transactions	\$1.44
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$220.93
Year-to-date Gross	\$15,059.27
Year-to-date Earnings	\$7,208.76