

COMMISSION STATEMENT June 30, 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>CLEARING TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
06/21/2018	mfc291006 CALDWELL 291006	MFT AMERICAN BALANCED FUND-A	B	0.00	4.14	0.00	4.14	90.0	3.73
06/21/2018	mfc291006 CALDWELL 291006	MFT CALAMOS GROWTH & INCOME FD CL C	B	0.00	20.33	0.00	20.33	90.0	18.30
06/21/2018	mfc291006 CALDWELL 291006	MFT DELAWARE SMID CAP GROWTH FD CL	B	0.00	13.80	0.00	13.80	90.0	12.42
06/21/2018	mfc291006 CALDWELL 291006	MFT FIDELITY ADVISOR GROWTH OPPORT	B	0.00	39.92	0.00	39.92	90.0	35.93
06/21/2018	mfc291006 CALDWELL 291006	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	11.67	0.00	11.67	90.0	10.50
06/21/2018	mfc291006 CALDWELL 291006	MFT FRK RISING DIV FND - CL C	B	0.00	15.75	0.00	15.75	90.0	14.18
06/21/2018	mfc291006 CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	6.40	0.00	6.40	90.0	5.76
06/21/2018	mfc291006 CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	20.19	0.00	20.19	90.0	18.17
06/21/2018	mfc291006 CALDWELL 291006	MFT GEORGE PUTNAM BALANCED FUND-A	B	0.00	0.30	0.00	0.30	90.0	0.27
06/21/2018	mfc291006 CALDWELL 291006	MFT JOHN HANCOCK STRATEGIC GROWTH A	B	0.00	1.27	0.00	1.27	90.0	1.14
06/21/2018	mfc291006 CALDWELL 291006	MFT MFS TN MUNI BD FD CL A	B	0.00	25.39	0.00	25.39	90.0	22.85
06/21/2018	mfc291006 CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	10.33	0.00	10.33	90.0	9.30
06/21/2018	mfc291006 CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	16.37	0.00	16.37	90.0	14.73
06/21/2018	mfc291006 CALDWELL 291006	MFT PUTNAM 746747104	B	0.00	0.39	0.00	0.39	90.0	0.35
06/21/2018	mfc291006 CALDWELL 291006	MFT PUTNAM HEALTH SCIENCES TRUST	B	0.00	0.46	0.00	0.46	90.0	0.41
06/21/2018	mfc291006 CALDWELL 291006	MFT U.S. GOVERNMENT SECURITIES FUND	B	0.00	1.39	0.00	1.39	90.0	1.25
06/21/2018	mfc291006 CALDWELL 291006	MFT VOYA SENIOR INCOME FUND C	B	0.00	7.08	0.00	7.08	90.0	6.37
06/21/2018	mfc291006 CALDWELL 291006	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.94	0.00	1.94	90.0	1.75
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$197.12	\$0.00	\$197.12		\$177.41
*** CLEARING TRANSACTIONS TOTAL ***				\$0.00	\$197.12	\$0.00	\$197.12		\$177.41

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
06/14/2018	(None) SUMIDA	MF COLLEGE BOUND	B	100.00	3.50	0.00	3.50	90.0	3.15
06/11/2018	0000000000010330 PATRICK, CHAD	MF FRANKLIN MUTUAL INTERNATIONAL	B	41.67	0.42	0.00	0.42	90.0	0.38
06/20/2018	0000000000055638 PATRICK, CHAD	MF FRANKLIN BALANCED FUND - CLASS	B	125.00	1.25	0.00	1.25	90.0	1.13
06/11/2018	0000000000277184 PATRICK, CHAD	MF TEMPLETON CHINA WORLD FUND -	B	41.67	0.42	0.00	0.42	90.0	0.38
06/11/2018	0000000001124015 PATRICK, CHAD	MF MUTUAL QUAL FND - CL C	B	41.66	0.42	0.00	0.42	90.0	0.38
06/21/2018	00068424625 GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
06/21/2018	00068424625 GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
06/21/2018	00074694907 REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
06/21/2018	00074694907 REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
06/15/2018	00075317599 COPELAND, SUSAN	MF AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
06/15/2018	00075317599 COPELAND, SUSAN	MF FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
06/15/2018	00081948467 EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	33.14	0.66	0.00	0.66	90.0	0.59
06/15/2018	00081948467 EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	88.37	1.77	0.00	1.77	90.0	1.59
06/15/2018	00081948467 EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	5.85	0.12	0.00	0.12	90.0	0.11
06/15/2018	00081948467 EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	15.60	0.31	0.00	0.31	90.0	0.28
06/15/2018	00081948520 WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
06/15/2018	00081948520 WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
06/15/2018	00081948520 WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
06/15/2018	00081948520 WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
06/15/2018	00081948549 HINDS, MICHAEL	MF AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
06/15/2018	00081948549 HINDS, MICHAEL	MF AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
06/15/2018	00081948549 HINDS, MICHAEL	MF AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
06/15/2018	00081948549 HINDS, MICHAEL	MF AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
06/15/2018	00081948549 HINDS, MICHAEL	MF U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
06/15/2018	00081948549 HINDS, MICHAEL	MF U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
06/15/2018	00081948685 SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
06/15/2018	00081948685 SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21
06/15/2018	00081948685 SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
06/15/2018	00081948685 SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
06/15/2018	00081948685 SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
06/15/2018	00081948685 SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
06/15/2018	00081948685 SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21
06/15/2018	00081948685 SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
06/15/2018	00087734807 JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	33.99	0.34	0.00	0.34	90.0	0.31
06/15/2018	00087734807 JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	113.29	1.13	0.00	1.13	90.0	1.02
06/15/2018	00087734863 WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	37.46	0.37	0.00	0.37	90.0	0.33
06/15/2018	00087734863 WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	37.46	0.37	0.00	0.37	90.0	0.33
06/15/2018	00089597043 MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	36.95	0.37	0.00	0.37	90.0	0.33
06/15/2018	00089597043 MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	36.95	0.37	0.00	0.37	90.0	0.33
06/15/2018	00089696651 ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	11.28	0.11	0.00	0.11	90.0	0.10

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06/15/2018	00089696651	ALEXANDER, MF CAPITAL INCOME BUILDER CLASS C	B	18.81	0.19	0.00	0.19	90.0	0.17
06/15/2018	00089696651	ALEXANDER, MF INVESTMENT COMPANY OF AMERICA	B	13.17	0.13	0.00	0.13	90.0	0.12
06/15/2018	00089696651	ALEXANDER, MF INVESTMENT COMPANY OF AMERICA	B	21.94	0.22	0.00	0.22	90.0	0.20
06/15/2018	00089696651	ALEXANDER, MF THE GROWTH FUND OF AMERICA-C	B	13.16	0.13	0.00	0.13	90.0	0.12
06/15/2018	00089696651	ALEXANDER, MF THE GROWTH FUND OF AMERICA-C	B	21.94	0.22	0.00	0.22	90.0	0.20
06/15/2018	00089696666	STOOKSBERRY, MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
06/15/2018	00089696666	STOOKSBERRY, MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
06/15/2018	00089696672	LAMB, TERESA MF AMERICAN BALANCED FUND-C	B	55.13	0.55	0.00	0.55	90.0	0.50
06/15/2018	00089696672	LAMB, TERESA MF AMERICAN BALANCED FUND-C	B	55.13	0.55	0.00	0.55	90.0	0.50
06/15/2018	00089788987	GARGUS, LORI MF AMERICAN BALANCED FUND-C	B	38.78	0.39	0.00	0.39	90.0	0.35
06/15/2018	00089788987	GARGUS, LORI MF AMERICAN BALANCED FUND-C	B	38.78	0.39	0.00	0.39	90.0	0.35
06/15/2018	00089980324	SMITH, TRISHA MF AMERICAN BALANCED FUND-C	B	35.52	0.36	0.00	0.36	90.0	0.32
06/15/2018	00089980324	SMITH, TRISHA MF AMERICAN BALANCED FUND-C	B	35.52	0.36	0.00	0.36	90.0	0.32
06/20/2018	01486461963	GRIGGS, SHERRY MF FIDELITY ADVISOR HEALTH CARE FD	B	50.00	0.50	0.00	0.50	90.0	0.45
06/15/2018	04000412607	HUFFSTETTLER, MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
06/15/2018	04000412607	HUFFSTETTLER, MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
* MUTUAL FUNDS SUBTOTAL *				<u>\$2,395.90</u>	<u>\$33.94</u>	<u>\$0.00</u>	<u>\$33.94</u>		<u>\$30.58</u>
*** DIRECT TRANSACTIONS TOTAL ***				<u>\$2,395.90</u>	<u>\$33.94</u>	<u>\$0.00</u>	<u>\$33.94</u>		<u>\$30.58</u>

LINKED CLEA TRANSACTIONS

06/21/2018	mfc445444	CALDWELL 445444	MFT AMERICAN BALANCED FUND-A	B	0.00	0.48	0.00	0.48	0.43
06/21/2018	mfc445444	CALDWELL 445444	MFT THE INCOME FUND OF AMERICA-A	B	0.00	0.62	0.00	0.62	0.56
* BRYANT CALDWELL-D080 SUBTOTAL *					<u>\$0.00</u>	<u>\$1.10</u>	<u>\$0.00</u>	<u>\$1.10</u>	<u>\$0.99</u>
*** LINKED CLEA TRANSACTIONS TOTAL ***					<u>\$0.00</u>	<u>\$1.10</u>	<u>\$0.00</u>	<u>\$1.10</u>	<u>\$0.99</u>

ADJUSTMENTS TRANSACTIONS**BROKER: #0**

06/30/2018	:	BROKER WORKSTATION	0.00	0.00	0.00	0.00	-30.00
06/30/2018	:	BROKER WORKSTATION-BROOKS	0.00	0.00	0.00	0.00	-30.00
06/30/2018	:	E&O	0.00	0.00	0.00	0.00	-120.00
06/30/2018	:	E-MAIL ACCOUNT	0.00	0.00	0.00	0.00	-25.00
06/30/2018	:	E-MAIL ACCOUNT-BROOKS	0.00	0.00	0.00	0.00	-25.00
* SUBTOTAL *			<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$-230.00</u>
*** ADJUSTMENTS TRANSACTIONS TOTAL ***			<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$-230.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$208.98
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-230.00
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	\$-21.02
Year-to-date Commissions	\$30,636.72