

Bill Payment Stub

Check Date:	2/23/2018
Check No.:	ACH
Check Amount:	2,317.59

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
2/15/2018	Bill	COMMISSIONS	2,317.59	2,317.59		2,317.59

COMMISSION STATEMENT
February 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									
02/01/2018	00068087474	PULLIAM, RYAN	MF	AMERICAN BALANCED FUND-529C	B	200.00	2.00	0.00	2.00 90.0 1.80
02/01/2018	00068087476	PULLIAM, RYAN	MF	AMERICAN BALANCED FUND-529C	B	150.00	1.50	0.00	1.50 90.0 1.35
01/29/2018	00068424625	GOWAN, MARY	MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20 90.0 0.18
01/29/2018	00068424625	GOWAN, MARY	MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20 90.0 0.18
01/29/2018	00074694907	REYNOLDS, BETHANY	MF	AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04 90.0 0.94
01/29/2018	00074694907	REYNOLDS, BETHANY	MF	AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04 90.0 0.94
01/30/2018	00075317599	COPELAND, SUSAN	MF	AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00 90.0 0.90
01/30/2018	00075317599	COPELAND, SUSAN	MF	FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00 90.0 0.90
01/30/2018	00081948467	EVANS, LULA	MF	AMERICAN BALANCED FUND-A	B	38.92	0.78	0.00	0.78 90.0 0.70
01/30/2018	00081948467	EVANS, LULA	MF	AMERICAN BALANCED FUND-A	B	103.78	2.08	0.00	2.08 90.0 1.87
01/30/2018	00081948467	EVANS, LULA	MF	THE INCOME FUND OF AMERICA-A	B	6.87	0.14	0.00	0.14 90.0 0.13
01/30/2018	00081948467	EVANS, LULA	MF	THE INCOME FUND OF AMERICA-A	B	18.32	0.37	0.00	0.37 90.0 0.33
01/30/2018	00081948520	WRIGHT, SHELIA	MF	CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56 90.0 0.50
01/30/2018	00081948520	WRIGHT, SHELIA	MF	CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56 90.0 0.50
01/30/2018	00081948520	WRIGHT, SHELIA	MF	THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56 90.0 0.50
01/30/2018	00081948520	WRIGHT, SHELIA	MF	THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56 90.0 0.50
01/30/2018	00081948685	SHELTON, LAURA	MF	FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23 90.0 0.21
01/30/2018	00081948685	SHELTON, LAURA	MF	FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23 90.0 0.21
01/30/2018	00081948685	SHELTON, LAURA	MF	NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23 90.0 0.21
01/30/2018	00081948685	SHELTON, LAURA	MF	NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23 90.0 0.21
01/30/2018	00081948685	SHELTON, LAURA	MF	NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23 90.0 0.21
01/30/2018	00081948685	SHELTON, LAURA	MF	NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23 90.0 0.21
01/30/2018	00081948685	SHELTON, LAURA	MF	THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23 90.0 0.21
01/30/2018	00081948685	SHELTON, LAURA	MF	THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23 90.0 0.21
01/30/2018	00087734807	JARRED, GINA	MF	AMERICAN BALANCED FUND-C	B	28.22	0.28	0.00	0.28 90.0 0.25
01/30/2018	00087734807	JARRED, GINA	MF	AMERICAN BALANCED FUND-C	B	94.08	0.94	0.00	0.94 90.0 0.85
01/30/2018	00087734863	WHITE, PEGGY	MF	AMERICAN BALANCED FUND-C	B	34.31	0.34	0.00	0.34 90.0 0.31
01/30/2018	00087734863	WHITE, PEGGY	MF	AMERICAN BALANCED FUND-C	B	34.31	0.34	0.00	0.34 90.0 0.31
01/30/2018	00089597043	MCINTOSH, GINA	MF	GROWTH PORTFOLIO-C	B	33.08	0.33	0.00	0.33 90.0 0.30
01/30/2018	00089597043	MCINTOSH, GINA	MF	GROWTH PORTFOLIO-C	B	33.08	0.33	0.00	0.33 90.0 0.30
01/30/2018	00089696651	ALEXANDER,	MF	CAPITAL INCOME BUILDER CLASS C	B	10.16	0.10	0.00	0.10 90.0 0.09

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
01/30/2018	00089696651	ALEXANDER, MF CAPITAL INCOME BUILDER CLASS C	B	16.93	0.17	0.00	0.17	90.0	0.15
01/30/2018	00089696651	ALEXANDER, MF INVESTMENT COMPANY OF AMERICA	B	11.84	0.12	0.00	0.12	90.0	0.11
01/30/2018	00089696651	ALEXANDER, MF INVESTMENT COMPANY OF AMERICA	B	19.74	0.20	0.00	0.20	90.0	0.18
01/30/2018	00089696651	ALEXANDER, MF THE GROWTH FUND OF AMERICA-C	B	11.85	0.12	0.00	0.12	90.0	0.11
01/30/2018	00089696651	ALEXANDER, MF THE GROWTH FUND OF AMERICA-C	B	19.75	0.20	0.00	0.20	90.0	0.18
01/30/2018	00089696666	STOOKSBERRY, MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
01/30/2018	00089696666	STOOKSBERRY, MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
01/30/2018	00089696672	LAMB, TERESA MF AMERICAN BALANCED FUND-C	B	54.00	0.54	0.00	0.54	90.0	0.49
01/30/2018	00089696672	LAMB, TERESA MF AMERICAN BALANCED FUND-C	B	54.00	0.54	0.00	0.54	90.0	0.49
01/30/2018	00089788987	GARGUS, LORI MF AMERICAN BALANCED FUND-C	B	36.30	0.36	0.00	0.36	90.0	0.32
01/30/2018	00089788987	GARGUS, LORI MF AMERICAN BALANCED FUND-C	B	36.30	0.36	0.00	0.36	90.0	0.32
01/30/2018	00089980324	SMITH, TRISHA MF AMERICAN BALANCED FUND-C	B	31.94	0.32	0.00	0.32	90.0	0.29
01/30/2018	00089980324	SMITH, TRISHA MF AMERICAN BALANCED FUND-C	B	31.94	0.32	0.00	0.32	90.0	0.29
01/30/2018	04000412607	HUFFSTETTLER, MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
01/30/2018	04000412607	HUFFSTETTLER, MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81

* MUTUAL FUNDS SUBTOTAL *

\$2,007.40

\$24.80

\$0.00

\$24.80

\$22.36

PRODUCT CATEGORY: VARIABLE ANNUITIES

01/31/2018	1011849420	JACKMAN, JENNIFER	VA	PERSP L 08/11	B	71,038.72	59.20	0.00	59.20	90.0	53.28
01/31/2018	1011852102	JACKMAN, JENNIFER	VA	ELITE ACCESS L	B	22,750.84	18.96	0.00	18.96	90.0	17.06
01/31/2018	1012316590	AVILA PENSION	VA	PERSP L 08/11	B	564,315.35	470.26	0.00	470.26	90.0	423.23
01/31/2018	1014122890	LAMBERT, RONALD	VA	PERSP L 08/11	B	92,162.72	76.80	0.00	76.80	90.0	69.12
01/31/2018	1014231907	UTLEY, MARTHA	VA	PERSP L 08/11	B	305,962.75	254.97	0.00	254.97	90.0	229.47
01/31/2018	1015402721	LEFORGE, JUDY	VA	PERSP L 08/11	B	44,038.34	36.70	0.00	36.70	90.0	33.03
01/31/2018	1015649484	WINTER, DONALD	VA	PERSP L 08/11	B	79,958.81	66.63	0.00	66.63	90.0	59.97
01/31/2018	1015919945	NAVEL, FRIEDA	VA	PERSP L 08/11	B	37,881.55	31.57	0.00	31.57	90.0	28.41
01/31/2018	1016060638	WILLIAMS, WILLIAM	VA	ELITE ACCESS	B	64,774.59	53.98	0.00	53.98	90.0	48.58
01/31/2018	1016060646	WILLIAMS, WILLIAM	VA	ELITE ACCESS	B	102,552.93	85.46	0.00	85.46	90.0	76.91
01/31/2018	1016060760	WILLIAMS, GLYNDA	VA	ELITE ACCESS	B	6,779.61	5.65	0.00	5.65	90.0	5.09
01/31/2018	1016122048	WOODS, WILLIAM	VA	PERSP L 08/11	B	113,055.44	94.21	0.00	94.21	90.0	84.79
01/31/2018	1016747269	BREEDEN TATE, MARY	VA	ELITE ACCESS L	B	90,565.36	75.47	0.00	75.47	90.0	67.92
01/31/2018	1016835974	HOLLIDAY, REBECCA	VA	ELITE ACCESS L	B	13,962.82	11.64	0.00	11.64	90.0	10.48
01/31/2018	1016922273	WILLIAMS, BRYAN	VA	ELITE ACCESS L	B	12,800.63	10.67	0.00	10.67	90.0	9.60
01/31/2018	1017566284	WOODS, WILLIAM	VA	ELITE ACCESS L	B	45,636.91	38.03	0.00	38.03	90.0	34.23
01/31/2018	1018403044	WILLIAMS, CLAYTON	VA	ELITE ACCESS L	B	9,846.54	8.21	0.00	8.21	90.0	7.39
01/31/2018	1018603060	MILTON, MARY	VA	PERSP L 08/11	B	135,743.01	113.12	0.00	113.12	90.0	101.81
01/31/2018	1018757199	STANBERY, DALLAS	VA	PERSP L 08/11	B	166,146.46	138.46	0.00	138.46	90.0	124.61

* VARIABLE ANNUITIES SUBTOTAL *

\$1,979,973.38

\$1,649.99

\$0.00

\$1,649.99

\$1,484.98

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

02/07/2018	(None)	VARIOUS, CALDWELL	MFT	FIDELITY ADVISOR FDS	B	0.00	3.58	0.00	3.58	90.0	3.22
01/31/2018	0000000000000873	WOODS, SAMUEL	MFT	FRK LIFESMART 2045 RTMT TARGET	B	0.00	123.07	0.00	123.07	90.0	110.76
01/31/2018	0000000000005052	RIGGINS,	MFT	FRK LIFESMART 2040 RTMT TARGET	B	0.00	4.48	0.00	4.48	90.0	4.03
01/31/2018	000000000010330	PATRICK, CHAD	MFT	FRANKLIN MUTUAL INTERNATIONAL	B	0.00	25.11	0.00	25.11	90.0	22.60
01/31/2018	000000000016220	SEELY, CARL	MFT	FRANKLIN NATURAL RESOURCES FND	B	0.00	16.43	0.00	16.43	90.0	14.79

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
01/31/2018 000000000040408	CARTER,	MFT FRANKLIN BALANCED FUND - CLASS	B	0.00	2.59	0.00	2.59	90.0	2.33
01/31/2018 000000000040422	VAUGHN, JOYCE	MFT FRANKLIN BALANCED FUND - CLASS	B	0.00	1.13	0.00	1.13	90.0	1.02
01/31/2018 0000000000055638	PATRICK, CHAD	MFT FRANKLIN BALANCED FUND - CLASS	B	0.00	76.94	0.00	76.94	90.0	69.25
01/31/2018 0000000000069409	SEELY, CARL	MFT TEMPLETON CHINA WORLD FUND -	B	0.00	30.08	0.00	30.08	90.0	27.07
01/31/2018 0000000000227710	THOMAS,	MFT FRANKLIN MODERATE ALLOCATION	B	0.00	32.94	0.00	32.94	90.0	29.65
01/31/2018 0000000000234854	BRYAN K	MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	1.84	0.00	1.84	90.0	1.66
01/31/2018 0000000000261014	BLANCHARD,	MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	26.81	0.00	26.81	90.0	24.13
01/31/2018 0000000000273019	SEELY, LINDA	MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	125.86	0.00	125.86	90.0	113.27
01/31/2018 0000000000277184	PATRICK, CHAD	MFT TEMPLETON CHINA WORLD FUND -	B	0.00	23.93	0.00	23.93	90.0	21.54
01/31/2018 0000000000290926	PRIESTER,	MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	21.43	0.00	21.43	90.0	19.29
01/31/2018 0000000000407926	BIBB, LESLEE	MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	20.68	0.00	20.68	90.0	18.61
01/31/2018 0000000000484307	RIGGINS,	MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	4.54	0.00	4.54	90.0	4.09
01/31/2018 00000000000519215	CRISMON-LEGG,	MFT FRANKLIN MODERATE ALLOCATION	B	0.00	2.85	0.00	2.85	90.0	2.57
01/31/2018 0000000000641617	MARIE, GENA	MFT FRK DYNATECH FND - CL C	B	0.00	84.76	0.00	84.76	90.0	76.28
01/31/2018 0000000000667600	GRIGGS,	MFT FRANKLIN UTILITIES FUND - CLASS	B	0.00	4.82	0.00	4.82	90.0	4.34
01/31/2018 0000000001124015	PATRICK, CHAD	MFT MUTUAL QUAL FND - CL C	B	0.00	26.64	0.00	26.64	90.0	23.98
01/31/2018 0000000001472695	BLANCHARD,	MFT TEMPLETON DEV MRKTS TR FUND -	B	0.00	33.43	0.00	33.43	90.0	30.09
01/31/2018 0000000001540196	RIGGINS,	MFT FRANKLIN GROWTH FUND - CLASS C	B	0.00	9.71	0.00	9.71	90.0	8.74
01/31/2018 0000000003822855	PATRICK, CHAD	MFT MUTUAL SHRS FND - CL C	B	0.00	115.67	0.00	115.67	90.0	104.10
01/31/2018 0000000011343720	LIPSHIE, ADAM	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	80.68	0.00	80.68	90.0	72.61
01/31/2018 0000000012894515	COWAN, MARY	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	0.25	0.00	0.25	90.0	0.23
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$900.25	\$0.00	\$900.25		\$810.25
*** DIRECT TRANSACTIONS TOTAL ***				\$1,981,980.78	\$2,575.04	\$0.00	\$2,575.04		\$2,317.59

BROKER COMMISSION TOTALS

Broker Transactions	\$2,317.59
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	\$2,317.59
Year-to-date Commissions	\$14,483.89