

**COMMISSION STATEMENT****October 15, 2017**

MARK-S141 REG SMITH

BROKER #: S141

BRANCH: WOODS FINANCIAL

, MI

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/02/2017	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.20
10/02/2017	BONGIORNO, VALERIE	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.20
09/12/2017	BOWLAND, BOBBY	AM FUNDS AMERICAN MUTUAL A	0.00	4.00	0.00	4.00	48.0	1.92
10/02/2017	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	48.0	1.20
09/12/2017	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.04
09/12/2017	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.04
09/12/2017	BOWLAND, BOBBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.43	0.00	6.43	48.0	3.09
10/02/2017	BONGIORNO, VALERIE	AM FUNDS CAPITAL INCOME BUILDER A	50.00	2.50	0.00	2.50	48.0	1.20
09/12/2017	BOWLAND, BOBBY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.55	0.00	3.55	48.0	1.70
10/02/2017	BONGIORNO, VALERIE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	48.0	1.20
10/02/2017	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	48.0	1.20
09/12/2017	BRIDGES, JANIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.55	0.00	1.55	48.0	0.74
10/02/2017	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	48.0	1.20
10/02/2017	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.20
10/02/2017	BONGIORNO, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.20
09/12/2017	BOWLAND, BOBBY	AM FUNDS ICA A	0.00	3.85	0.00	3.85	48.0	1.85
09/12/2017	CHAPMAN, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.15	0.00	0.15	48.0	0.07
09/12/2017	CHAPMAN, TERRYALIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.15	0.00	0.15	48.0	0.07
09/12/2017	BRIDGES, JANIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.11	0.00	2.11	48.0	1.01
09/12/2017	BOWLAND, BOBBY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.36	0.00	3.36	48.0	1.61
09/12/2017	CHAPMAN, KENNETH	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
09/12/2017	CHAPMAN, TERRYALIN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
09/12/2017	CHAPMAN, KENNETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.20	0.00	0.20	48.0	0.10
09/12/2017	CHAPMAN, TERRYALIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.20	0.00	0.20	48.0	0.10
/ /	ORR, RICHARD	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	5.30	0.00	5.30	48.0	2.54
09/12/2017	WARD, SHERRY	OPPENHEIMER MAIN STREET OPP A	0.00	1.01	0.00	1.01	48.0	0.48

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

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

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/02/2017	HORNE, CHARLES	PUTNAM EQUITY INCOME A	0.00	3.12	0.00	3.12	48.0	1.50
10/02/2017	HORNE, CHARLES	PUTNAM GLOBAL HEALTH CARE A	0.00	3.17	0.00	3.17	48.0	1.52
10/02/2017	HORNE, CHARLES	PUTNAM HIGH YIELD ADVANTAGE A	0.00	2.35	0.00	2.35	48.0	1.13
09/12/2017	NICODIN, EARL	PUTNAM INVESTORS A	0.00	0.85	0.00	0.85	48.0	0.41
10/02/2017	HORNE, CHARLES	PUTNAM MULTI-CAP VALUE A	0.00	2.86	0.00	2.86	48.0	1.37
10/02/2017	AARY, HARLEY	PUTNAM SMALL CAP GROWTH-A	0.00	0.29	0.00	0.29	48.0	0.14
10/02/2017	HORNE, CHARLES	PUTNAM SMALL CAP VALUE A	0.00	0.99	0.00	0.99	48.0	0.48
10/02/2017	HORNE, CHARLES	PUTNAM U.S. GOVT INCOME TR-A	0.00	0.48	0.00	0.48	48.0	0.23
10/03/2017	RADEMAKERS, DAVID	TRANSAMERICA TACTICAL INCOME C	0.00	10.76	0.00	10.76	48.0	5.16
10/03/2017	HARRIS, GENIVA	TRANSAMERICA TACTICAL INCOME C	0.00	4.26	0.00	4.26	48.0	2.04
* MUTUAL FUNDS SUBTOTAL *			\$450.00	\$83.79	\$0.00	\$83.79		\$40.20
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/29/2017	WU, PEILI	AXA 00246Q312	118,299.45	295.75	0.00	295.75	48.0	141.96
09/29/2017	GODWIN, SANDRA	HARTFORD PHCM V	14,601.78	14.60	0.00	14.60	48.0	7.01
09/30/2017	BRIDGES, JANIS	JNL ELITE ACCESS	102,898.00	85.75	0.00	85.75	48.0	41.16
09/30/2017	RHODES, VIRGINIA	JNL ELITE ACCESS	75,649.33	15.76	0.00	15.76	48.0	7.56
09/30/2017	CROWTHER, JOHN	JNL ELITE ACCESS	58,456.78	12.18	0.00	12.18	48.0	5.85
09/30/2017	NOBLES, VERLIE	JNL PERSPECTIVE L	31,775.01	34.42	0.00	34.42	48.0	16.52
09/30/2017	REEDER, WESLEY	JNL PERSPECTIVE L	17,528.56	18.99	0.00	18.99	48.0	9.12
09/30/2017	SPURGIN, BRENT	JNL PERSPECTIVE L	37,606.06	40.74	0.00	40.74	48.0	19.56
09/30/2017	GODWIN, SANDRA	JNL PERSPECTIVE L	151,315.54	163.93	0.00	163.93	48.0	78.69
09/30/2017	WALLACE, DEBORREH	JNL PERSPECTIVE L	82,856.94	69.05	0.00	69.05	48.0	33.14
09/30/2017	NOBLES, VERLIE	JOHN HANCOCK VENTURE III	29,649.99	24.71	0.00	24.71	48.0	11.86
09/30/2017	JEFFERS, LARRY	PRU AS APEX II	117,839.90	294.60	0.00	294.60	48.0	141.41
09/30/2017	JEFFERS, LARRY	PRU AS APEX II	117,839.90	73.65	0.00	73.65	48.0	35.35
09/28/2017	BURNS, ANNE	SEC BEN 814121158	36,285.33	30.23	0.00	30.23	48.0	14.51
* VARIABLE ANNUITIES SUBTOTAL *			\$992,602.57	\$1,174.36	\$0.00	\$1,174.36		\$563.70
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
09/30/2017	WISE, LUCILE	LFG TRAILS	0.00	234.78	0.00	234.78	48.0	112.69
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$234.78	\$0.00	\$234.78		\$112.69
*** BROKER TRANSACTIONS TOTAL ***			\$993,052.57	\$1,492.93	\$0.00	\$1,492.93		\$716.59

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<u>ADJUSTMENTS</u>								
10/15/2017		*EO INS: CURRENT MONTH INS	0.00					-300.00
10/15/2017		*RBC: WRITE OFF-7A503088	0.00					-38.35
10/15/2017		*TECH: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-613.35

BROKER COMMISSION TOTALS

Broker Transactions	\$716.59
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-613.35
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-436.54
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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THERE WILL BE NO CHECK THIS PERIOD

Balance Forward	\$-333.30
Year-to-date Gross	\$6,652.48
Year-to-date Earnings	\$3,195.75

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