

STATEMENT

January 20, 2018

THOMAS SMITH
1340 Sproul Ave

BROKER #: 027
BRANCH: LA BRANCH

Napa, CA 94559-

COMMISSION STATEMENT for THOMAS SMITH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

12/04/2017 # REED, CASEY	HARTFORD MUNICIPAL REAL RETURN FD C S			10,000.00	19.95	20.00	0.00	-0.05	90.0	-0.05
12/07/2017 # WORTHINGTON, MARK	FIDELITY MID CAP INDEX FUND INVESTO S			2,300.00	19.95	20.00	0.00	-0.05	90.0	-0.05
12/20/2017 # ROCK, ZACHARY	HARTFORD MUT FDS INC BALANCED INCOM B			4,900.00	252.70	20.00	0.00	232.70	90.0	209.43
12/22/2017 # MOORE, KATHERINE	HARTFORD FLOATING RATE FUND CLASS A S			2,000.00	19.95	20.00	0.00	-0.05	90.0	-0.05
* MUTUAL FUNDS SUBTOTAL *				\$19,200.00	\$312.55	\$80.00	\$0.00	\$232.55		\$209.28

PRODUCT CATEGORY: STOCKS

12/04/2017 # REED, CASEY	AT&T INC	B		10,301.50	235.95	19.95	0.00	216.00	90.0	194.40
12/04/2017 # REED, CASEY	BANK OF AMERICA CORP	B		7,699.58	199.31	19.95	0.00	179.36	90.0	161.42
12/04/2017 # REED, CASEY	BANK OF AMERICA CORP	B		2,176.88	44.92	19.95	0.00	24.97	90.0	22.47
12/04/2017 # LAKENNA E DEWALD TTEE	NUVEEN PREFERRED INCOME OPPORTUNITI S			2,134.22	106.96	19.95	0.00	87.01	90.0	78.31
12/04/2017 # LAKENNA E DEWALD TTEE	NUVEEN PREFERRED INCOME OPPORTUNITI B			-2,134.22	-106.96	29.95	0.00	-136.91	90.0	-123.22
12/04/2017 # LAKENNA E DEWALD TTEE	NUVEEN PREFERRED INCOME OPPORTUNITI S			2,134.22	33.40	29.95	0.00	3.45	90.0	3.11
12/07/2017 # WORTHINGTON, MARK	PITNEY BOWES INC	S		4,391.22	173.47	19.95	0.00	153.52	90.0	138.17
12/08/2017 # PONT, PRISCILLA	GLADSTONE INVESTMENT CORP	S		1,828.21	100.64	19.95	0.00	80.69	90.0	72.62
12/08/2017 # SHAW, TIMOTHY	PROSPECT CAPITAL CORPORATION	B		1,394.62	89.68	19.95	0.00	69.73	90.0	62.76
12/20/2017 # ROCK, ZACHARY	AGNC INVESTMENT CORP COMMON STOCK	B		4,816.20	175.74	19.95	0.00	155.79	90.0	140.21
* STOCKS SUBTOTAL *				\$34,742.43	\$1,053.11	\$219.50	\$0.00	\$833.61		\$750.25

PRODUCT CATEGORY: VARIABLE ANNUITIES

11/29/2017 #501201205042040 WAGNER, JAMES DELAWARE SLFMFX11		B		0.00	82.36	0.00	0.00	82.36	90.0	74.12
11/29/2017 #501301305049746 WAGNER, JAMES DELAWARE SLFMFX12		B		0.00	138.67	0.00	0.00	138.67	90.0	124.80
* VARIABLE ANNUITIES SUBTOTAL *				\$0.00	\$221.03	\$0.00	\$0.00	\$221.03		\$198.92

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/04/2017 #VR08465097 WHEELER, JOHN	PL 1	B		0.00	32.05	0.00	0.00	32.05	90.0	28.85
12/11/2017 # KNIEF, LEWIS	DAIN TRAILER	B		0.00	20.59	0.00	0.00	20.59	90.0	18.53
12/11/2017 # KNIEF, LEWIS	DAIN TRAILER	B		0.00	22.25	0.00	0.00	22.25	90.0	20.03
12/11/2017 # CREECH, CAREY	DAIN TRAILER	B		0.00	13.45	0.00	0.00	13.45	90.0	12.11
12/11/2017 # STEWART, GARY	DAIN TRAILER	B		0.00	2.54	0.00	0.00	2.54	90.0	2.29
12/11/2017 # MCDONALD, JOHN	DAIN TRAILER	B		0.00	2.02	0.00	0.00	2.02	90.0	1.82
12/11/2017 # MCDONALD, SHARON	DAIN TRAILER	B		0.00	2.32	0.00	0.00	2.32	90.0	2.09

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
12/11/2017 #	MCDONALD, JOHN	DAIN TRAILER	B	0.00	0.92	0.00	0.00	0.92	90.0	0.83
12/11/2017 #	PARK, JUNG	DAIN TRAILER	B	0.00	1.24	0.00	0.00	1.24	90.0	1.12
12/11/2017 #	PARK, JUNG	DAIN TRAILER	B	0.00	1.18	0.00	0.00	1.18	90.0	1.06
12/11/2017 #	PARK, JUNG	DAIN TRAILER	B	0.00	3.72	0.00	0.00	3.72	90.0	3.35
12/11/2017 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.53	0.00	0.00	0.53	90.0	0.48
12/11/2017 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.05	0.00	0.00	0.05	90.0	0.05
12/11/2017 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.77	0.00	0.00	0.77	90.0	0.69
12/11/2017 #	PARK, JUNG	DAIN TRAILER	B	0.00	0.19	0.00	0.00	0.19	90.0	0.17
12/11/2017 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.97	0.00	0.00	3.97	90.0	3.57
12/11/2017 #	PARK, PAEK	DAIN TRAILER	B	0.00	5.93	0.00	0.00	5.93	90.0	5.34
12/11/2017 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.42	0.00	0.00	3.42	90.0	3.08
12/11/2017 #	PARK, PAEK	DAIN TRAILER	B	0.00	2.64	0.00	0.00	2.64	90.0	2.38
12/11/2017 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.64	0.00	0.00	3.64	90.0	3.28
12/11/2017 #	PARK, PAEK	DAIN TRAILER	B	0.00	3.72	0.00	0.00	3.72	90.0	3.35
12/11/2017 #	BRINKERHOFF, MARJORIE	DAIN TRAILER	B	0.00	10.22	0.00	0.00	10.22	90.0	9.20
12/11/2017 #	SMITH, WESTIN	DAIN TRAILER	B	0.00	0.19	0.00	0.00	0.19	90.0	0.17
12/11/2017 #	PARK, PAEK	DAIN TRAILER	B	0.00	1.69	0.00	0.00	1.69	90.0	1.52
12/11/2017 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.89	0.00	0.00	0.89	90.0	0.80
12/11/2017 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.35	0.00	0.00	0.35	90.0	0.32
12/11/2017 #	ORIANTE, SEAN	DAIN TRAILER	B	0.00	0.41	0.00	0.00	0.41	90.0	0.37
12/11/2017 #	MOORE, KATHERINE	DAIN TRAILER	B	0.00	1.64	0.00	0.00	1.64	90.0	1.48
12/11/2017 #	PARK, SUSAN	DAIN TRAILER	B	0.00	4.41	0.00	0.00	4.41	90.0	3.97
12/11/2017 #	PARK, SUSAN	DAIN TRAILER	B	0.00	0.68	0.00	0.00	0.68	90.0	0.61
12/11/2017 #	HIZA, STEVEN	DAIN TRAILER	B	0.00	2.24	0.00	0.00	2.24	90.0	2.02
12/11/2017 #	HIZA, STEVEN	DAIN TRAILER	B	0.00	1.43	0.00	0.00	1.43	90.0	1.29
12/11/2017 #	BILLS, BARBARA	DAIN TRAILER	B	0.00	0.23	0.00	0.00	0.23	90.0	0.21
12/11/2017 #	BILLS, BARBARA	DAIN TRAILER	B	0.00	0.46	0.00	0.00	0.46	90.0	0.41
12/11/2017 #	GILLGREN, JERRY	DAIN TRAILER	B	0.00	0.29	0.00	0.00	0.29	90.0	0.26
12/11/2017 #	REED, CASEY	DAIN TRAILER	B	0.00	5.10	0.00	0.00	5.10	90.0	4.59
12/11/2017 #	REED, CASEY	DAIN TRAILER	B	0.00	6.12	0.00	0.00	6.12	90.0	5.51
12/11/2017 #	CROWELL-GILLGREN, CHRISTINA	DAIN TRAILER	B	0.00	1.62	0.00	0.00	1.62	90.0	1.46
12/11/2017 #	CROWELL-GILLGREN, CHRISTINA	DAIN TRAILER	B	0.00	12.34	0.00	0.00	12.34	90.0	11.11
12/11/2017 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.26	0.00	0.00	2.26	90.0	2.03
12/11/2017 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.25	0.00	0.00	2.25	90.0	2.03
12/11/2017 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.34	0.00	0.00	2.34	90.0	2.11
12/11/2017 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	3.80	0.00	0.00	3.80	90.0	3.42
12/11/2017 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.15	0.00	0.00	2.15	90.0	1.94
12/11/2017 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.35	0.00	0.00	2.35	90.0	2.12
12/11/2017 #	POWERS, DEBORAH	DAIN TRAILER	B	0.00	0.64	0.00	0.00	0.64	90.0	0.58
12/11/2017 #	POWERS, RICHARD	DAIN TRAILER	B	0.00	0.63	0.00	0.00	0.63	90.0	0.57

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<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
12/11/2017 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	0.64	0.00	0.00	0.64	90.0	0.58
12/11/2017 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	0.37	0.00	0.00	0.37	90.0	0.33
12/11/2017 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	2.08	0.00	0.00	2.08	90.0	1.87
12/11/2017 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	2.85	0.00	0.00	2.85	90.0	2.57
12/11/2017 #	ROCK, JUDITH	DAIN TRAILER	B	0.00	2.95	0.00	0.00	2.95	90.0	2.66
12/11/2017 #	GAROUTTE, MICHAEL	DAIN TRAILER	B	0.00	1.46	0.00	0.00	1.46	90.0	1.31
12/11/2017 #	REED, JAMES	DAIN TRAILER	B	0.00	5.30	0.00	0.00	5.30	90.0	4.77
12/11/2017 #	REED, JAMES	DAIN TRAILER	B	0.00	1.36	0.00	0.00	1.36	90.0	1.22
12/11/2017 #	REED, JAMES	DAIN TRAILER	B	0.00	2.70	0.00	0.00	2.70	90.0	2.43
12/11/2017 #	REED, JAMES	DAIN TRAILER	B	0.00	1.28	0.00	0.00	1.28	90.0	1.15
12/11/2017 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.38	0.00	0.00	2.38	90.0	2.14
12/11/2017 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	1.24	0.00	0.00	1.24	90.0	1.12
12/11/2017 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.53	0.00	0.00	2.53	90.0	2.28
12/11/2017 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.23	0.00	0.00	2.23	90.0	2.01
12/11/2017 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	1.21	0.00	0.00	1.21	90.0	1.09
12/11/2017 #	PONT, PRISCILLA	DAIN TRAILER	B	0.00	2.80	0.00	0.00	2.80	90.0	2.52
12/11/2017 #	RUFFNER, EMMA	DAIN TRAILER	B	0.00	1.25	0.00	0.00	1.25	90.0	1.13
12/11/2017 #	GILLGREN, JERRY	DAIN TRAILER	B	0.00	1.34	0.00	0.00	1.34	90.0	1.21
12/11/2017 #	BOWLES, DRAKE	DAIN TRAILER	B	0.00	0.58	0.00	0.00	0.58	90.0	0.52
12/11/2017 #	RAE, PETER	DAIN TRAILER	B	0.00	1.61	0.00	0.00	1.61	90.0	1.45
12/11/2017 #	RAZZOUQ, FRANKO	DAIN TRAILER	B	0.00	1.33	0.00	0.00	1.33	90.0	1.20
12/11/2017 #	RAZZOUQ, FRANKO	DAIN TRAILER	B	0.00	2.58	0.00	0.00	2.58	90.0	2.32
12/11/2017 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.53	0.00	0.00	0.53	90.0	0.48
12/11/2017 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.83	0.00	0.00	0.83	90.0	0.75
12/11/2017 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	1.37	0.00	0.00	1.37	90.0	1.23
12/11/2017 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.44	0.00	0.00	0.44	90.0	0.40
12/11/2017 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	0.67	0.00	0.00	0.67	90.0	0.60
12/11/2017 #	MCGREGOR, ROBERT	DAIN TRAILER	B	0.00	1.26	0.00	0.00	1.26	90.0	1.13
12/11/2017 #	GAROUTTE, MICHAEL	DAIN TRAILER	B	0.00	0.46	0.00	0.00	0.46	90.0	0.41
12/11/2017 #	HAMMOND, NORMA	DAIN TRAILER	B	0.00	1.57	0.00	0.00	1.57	90.0	1.41
12/11/2017 #	ROCK, MATTHEW	DAIN TRAILER	B	0.00	1.56	0.00	0.00	1.56	90.0	1.40
12/11/2017 #	WRIGHT, KAREN	DAIN TRAILER	B	0.00	1.75	0.00	0.00	1.75	90.0	1.58
12/11/2017 #	WRIGHT, KAREN	DAIN TRAILER	B	0.00	2.15	0.00	0.00	2.15	90.0	1.94
12/11/2017 #	SLAY, BYRON	DAIN TRAILER	B	0.00	0.97	0.00	0.00	0.97	90.0	0.87
12/11/2017 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.02	0.00	0.00	0.02	90.0	0.02
12/11/2017 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.06	0.00	0.00	0.06	90.0	0.05
12/11/2017 #	HONEYCUTT-ARNOLD, BRENDA	DAIN TRAILER	B	0.00	0.14	0.00	0.00	0.14	90.0	0.13
12/11/2017 #	LITLE, TERRY	DAIN TRAILER	B	0.00	2.25	0.00	0.00	2.25	90.0	2.03
12/11/2017 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.36	0.00	0.00	0.36	90.0	0.32
12/11/2017 #	LITLE, TERRY	DAIN TRAILER	B	0.00	0.50	0.00	0.00	0.50	90.0	0.45

BROKER COMMISSION TOTALS

Broker Transactions	\$1,425.95
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-499.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$926.95
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