

**COMMISSION STATEMENT****October 31, 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>								
10/04/2017	SMITH, ROGER	ALGER CAPITAL APPRECIATION A	0.00	3.70	0.00	3.70	48.0	1.78
10/16/2017	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.20
10/16/2017	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	48.0	1.20
10/16/2017	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	48.0	1.20
10/16/2017	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	48.0	1.20
10/16/2017	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.20
10/16/2017	UNTIL AGE 21, TX/UTMA	AM FUNDS GROWTH PORT A	50.00	2.13	0.00	2.13	48.0	1.02
10/02/2017	BRIDGES, JANIS	INVESCO BALANCED RISK ALLOCATION A	0.00	13.63	0.00	13.63	48.0	6.54
10/02/2017	TMICO	INVESCO BALANCED RISK ALLOCATION A	0.00	5.02	0.00	5.02	48.0	2.41
10/02/2017	TMICO	INVESCO BALANCED RISK ALLOCATION A	0.00	14.59	0.00	14.59	48.0	7.00
10/02/2017	WALLACE, SHEILA	INVESCO BALANCED RISK ALLOCATION A	0.00	2.59	0.00	2.59	48.0	1.24
10/02/2017	GODWIN, SANDRA	INVESCO BALANCED-RISK ALLOCATION-C	0.00	38.08	0.00	38.08	48.0	18.28
10/02/2017	TMICO	INVESCO BALANCED-RISK ALLOCATION-C	0.00	42.76	0.00	42.76	48.0	20.52
10/02/2017	WALLACE, CHARLES	INVESCO BALANCED-RISK ALLOCATION-C	0.00	26.26	0.00	26.26	48.0	12.60
10/02/2017	DODD, AIMEE	INVESCO BALANCED-RISK ALLOCATION-C	0.00	56.32	0.00	56.32	48.0	27.03
10/04/2017	WARD, SHERRY	PIMCO INCOME FUND C	0.00	2.53	0.00	2.53	48.0	1.21
10/04/2017	WARD, SHERRY	PIMCO INCOME FUND C	0.00	6.59	0.00	6.59	48.0	3.16
/ /	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	0.09	0.00	0.09	48.0	0.04
/ /	BONGIORNO, JANET	RYDEX GUGGENHEIM UTILITIES A	0.00	0.07	0.00	0.07	48.0	0.03
/ /	BONGIORNO, JANET	RYDEX HEALTH CARE-A	0.00	0.04	0.00	0.04	48.0	0.02
* MUTUAL FUNDS SUBTOTAL *			\$300.00	\$226.94	\$0.00	\$226.94		\$108.90
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/29/2017	WALRAVEN, VIRGINIA	AXA ACCUM 07 ELITE (RO IRA)	17,115.01	42.79	0.00	42.79	48.0	20.54
09/29/2017	BLEULER, SHIRLEY	AXA ACCUM 07 ELITE (RO IRA)	28,653.63	71.63	0.00	71.63	48.0	34.38
* VARIABLE ANNUITIES SUBTOTAL *			\$45,768.64	\$114.42	\$0.00	\$114.42		\$54.92

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
09/30/2017	SMITH, VARIOUS-MARK-RG	PRUDENTIAL TRAILS	0.00	1.73	0.00	1.73	48.0	0.83
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1.73	\$0.00	\$1.73		\$0.83
*** BROKER TRANSACTIONS TOTAL ***			\$46,068.64	\$343.09	\$0.00	\$343.09		\$164.65

<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARK-S148 SMITH #401</u>								
10/05/2017	BOMMARITO, VICTORIA	FOUNDING FUNDS 529 PORTFOLIO - CLAS	50.00	2.50	0.00	2.50	0.0	1.20
10/05/2017	SPURGIN, LISBETH	FT FOUNDING FDS ALLOC C	300.00	3.00	0.00	3.00	0.0	1.44
* MARK-S148 SMITH SUBTOTAL *			\$350.00	\$5.50	\$0.00	\$5.50		\$2.64
*** OVERRIDE TRANSACTIONS TOTAL ***			\$350.00	\$5.50	\$0.00	\$5.50		\$2.64

BROKER COMMISSION TOTALS

Broker Transactions	\$164.65
Split Transactions	\$0.00
Override Transactions	\$2.64
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-333.30
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

Balance Forward	\$-166.01
Year-to-date Gross	\$6,995.57
Year-to-date Earnings	\$3,363.04

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