

COMMISSION STATEMENT

June 30, 2018

RICK HAVARD-D361

BROKER #: D361

BRANCH: DMN

, TX

COMMISSION STATEMENT for RICK HAVARD-D361

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
CLEARING TRANSACTIONS									
PRODUCT CATEGORY: STOCKS									
06/27/2018 368363873	THOMAS, BRUCE	S ISHARES CORE MSCI EAFE ETF	B	-16,292.14	-290.00	-15.00	-275.00	90.0	-247.50
06/27/2018 368363873	THOMAS, BRUCE	S ISHARES CORE MSCI EAFE ETF	B	16,292.14	290.00	15.00	275.00	90.0	247.50
* STOCKS SUBTOTAL *				\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS									
06/27/2018 930249560	MCCLUNG, MICHAEL	UIT FIRST TRUST CAPITAL STRENGTH	S	-113,004.52	2,260.27	0.00	2,260.27	90.0	2,034.24
06/27/2018 930249560	THOMAS, BRUCE	UIT FIRST TRUST DIVSD EQTY	S	-16,001.29	199.99	0.00	199.99	90.0	179.99
* UNIT INVESTMENT TRUSTS SUBTOTAL *				\$-129,005.81	\$2,460.26	\$0.00	\$2,460.26		\$2,214.23
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
06/21/2018 mfc307137	VARIOUS,	MFT AMERICAN MUTUAL FUND-A	B	0.00	13.89	0.00	13.89	90.0	12.50
06/21/2018 mfc307137	VARIOUS,	MFT API MULTI-ASSET INCOME FD L	B	0.00	23.98	0.00	23.98	90.0	21.58
06/21/2018 mfc307137	VARIOUS,	MFT API MULTI-ASSET INCOME FD L	B	0.00	37.32	0.00	37.32	90.0	33.59
06/21/2018 mfc307137	VARIOUS,	MFT BLACKROCK MULTI-ASSET INCOME FD B	B	0.00	18.06	0.00	18.06	90.0	16.25
06/21/2018 mfc307137	VARIOUS,	MFT BLACKROCK MULTI-ASSET INCOME FD B	B	0.00	18.49	0.00	18.49	90.0	16.64
06/21/2018 mfc307137	VARIOUS,	MFT BLACKROCK MULTI-ASSET INCOME FD B	B	0.00	23.46	0.00	23.46	90.0	21.11
06/21/2018 mfc307137	VARIOUS,	MFT BLACKROCK MULTI-ASSET INCOME FD B	B	0.00	75.10	0.00	75.10	90.0	67.59
06/21/2018 mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD B	B	0.00	17.88	0.00	17.88	90.0	16.09
06/21/2018 mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD B	B	0.00	18.36	0.00	18.36	90.0	16.52
06/21/2018 mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD B	B	0.00	18.39	0.00	18.39	90.0	16.55
06/21/2018 mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD B	B	0.00	20.00	0.00	20.00	90.0	18.00
06/21/2018 mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD B	B	0.00	35.19	0.00	35.19	90.0	31.67
06/21/2018 mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD B	B	0.00	72.29	0.00	72.29	90.0	65.06
06/21/2018 mfc307137	VARIOUS,	MFT BLACKROCK EQUITY DIVIDEND FD C B	B	0.00	15.88	0.00	15.88	90.0	14.29
06/21/2018 mfc307137	VARIOUS,	MFT CALAMOS GROWTH AND INCOME CLASS B	B	0.00	3.32	0.00	3.32	90.0	2.99
06/21/2018 mfc307137	VARIOUS,	MFT DOUBLELINE TOTAL RETURN BOND FD B	B	0.00	16.57	0.00	16.57	90.0	14.91
06/21/2018 mfc307137	VARIOUS,	MFT THE INVESTMENT COMPANY OF	B	0.00	18.72	0.00	18.72	90.0	16.85
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$446.90	\$0.00	\$446.90		\$402.19
*** CLEARING TRANSACTIONS TOTAL ***				\$-129,005.81	\$2,907.16	\$0.00	\$2,907.16		\$2,616.42

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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: VARIABLE ANNUITY 12B1 TRAILS</u>									
06/08/2018 (None)	MARINER, KATHLEEN	VAT TRANSAMERICA LIFE	B	0.00	4.86	0.00	4.86	90.0	4.37
06/08/2018 (None)	KAHANEK, SHARON	VAT TRANSAMERICA LIFE	B	0.00	189.80	0.00	189.80	90.0	170.82
06/12/2018 VM15003783	MELLO, ALFRED	VAT PACIFIC LIFE VA 69448B191	B	0.00	355.97	0.00	355.97	90.0	320.37
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$550.63	\$0.00	\$550.63		\$495.56
*** DIRECT TRANSACTIONS TOTAL ***				\$0.00	\$550.63	\$0.00	\$550.63		\$495.56

ADJUSTMENTS TRANSACTIONS**BROKER: #0**

06/30/2018	:	BROKER WORKSTATION	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	:	SHAREFILE	0.00	0.00	0.00	0.00	-13.00
* SUBTOTAL *			\$0.00	\$0.00	\$0.00	\$0.00	\$-188.00
*** ADJUSTMENTS TRANSACTIONS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00	\$-188.00

BROKER COMMISSION TOTALS

Broker Transactions	\$3,111.98
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-188.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$2,923.98
Year-to-date Commissions	\$30,918.88