

**COMMISSION STATEMENT****May 15, 2018**

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>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	BOWLAND, BOBBY	AM FUNDS AMERICAN MUTUAL A	0.00	4.32	0.00	4.32	48.0	2.07
04/10/2018	CHAPMAN, KENNETH	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.04
04/10/2018	CHAPMAN, TERRYALIN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.08	0.00	0.08	48.0	0.04
04/10/2018	BOWLAND, BOBBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.58	0.00	6.58	48.0	3.16
04/10/2018	BOWLAND, BOBBY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.70	0.00	3.70	48.0	1.78
04/10/2018	WITKOWSKI, CHET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.57	0.00	0.57	48.0	0.27
04/10/2018	BRIDGES, JANIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.72	0.00	1.72	48.0	0.83
04/10/2018	WITKOWSKI, CHET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.58	0.00	0.58	48.0	0.28
04/10/2018	BOWLAND, BOBBY	AM FUNDS ICA A	0.00	4.29	0.00	4.29	48.0	2.06
04/10/2018	WITKOWSKI, CHET	AM FUNDS ICA A	0.00	0.56	0.00	0.56	48.0	0.27
04/10/2018	CHAPMAN, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	48.0	0.08
04/10/2018	CHAPMAN, TERRYALIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	48.0	0.08
04/10/2018	BRIDGES, JANIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.17	0.00	2.17	48.0	1.04
04/10/2018	BOWLAND, BOBBY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.52	0.00	3.52	48.0	1.69
04/10/2018	WITKOWSKI, CHET	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.55	0.00	0.55	48.0	0.26
04/10/2018	CHAPMAN, KENNETH	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
04/10/2018	CHAPMAN, TERRYALIN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.07	0.00	0.07	48.0	0.03
04/10/2018	CHAPMAN, KENNETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.22	0.00	0.22	48.0	0.11
04/10/2018	CHAPMAN, TERRYALIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.22	0.00	0.22	48.0	0.11
04/10/2018	BOWLAND, BOBBY	INVESCO MIDCAP CORE EQUITY A	0.00	8.15	0.00	8.15	48.0	3.91
04/10/2018	WARD, SHERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.65	0.00	0.65	48.0	0.31
04/23/2018	WARD, SHERRY	OPPENHEIMER MAIN STREET OPP A	1,000.00	0.00	0.00	0.00	48.0	0.00
04/10/2018	NICODIN, EARL	PUTNAM INVESTORS A	0.00	0.96	0.00	0.96	48.0	0.46
* MUTUAL FUNDS SUBTOTAL *			\$1,000.00	\$39.38	\$0.00	\$39.38		\$18.91
*** CLEARING TRANSACTIONS TOTAL ***			\$1,000.00	\$39.38	\$0.00	\$39.38		\$18.91

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/01/2018	JOHNSON, FRANKLIN	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.20
05/01/2018	BONGIORNO, VALERIE	AM FUNDS AMCAP A	50.00	2.50	0.00	2.50	48.0	1.20
05/01/2018	JOHNSON, FRANKLIN	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	48.0	1.20
05/01/2018	BONGIORNO, VALERIE	AM FUNDS CAPITAL INCOME BUILDER A	50.00	2.50	0.00	2.50	48.0	1.20
05/01/2018	BONGIORNO, VALERIE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	48.0	1.20
05/01/2018	JOHNSON, FRANKLIN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	48.0	1.20
05/01/2018	JOHNSON, FRANKLIN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	48.0	1.20
05/01/2018	JOHNSON, FRANKLIN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.20
05/01/2018	BONGIORNO, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	48.0	1.20
* MUTUAL FUNDS SUBTOTAL *			\$450.00	\$22.50	\$0.00	\$22.50		\$10.80
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
04/30/2018	NOBLES, VERLIE	JOHN HANCOCK VENTURE III	30,350.85	25.29	0.00	25.29	48.0	12.14
04/27/2018	BURNS, ANNE	SEC BEN 814121158	35,664.76	29.71	0.00	29.71	48.0	14.26
* VARIABLE ANNUITIES SUBTOTAL *			\$66,015.61	\$55.00	\$0.00	\$55.00		\$26.40
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/30/2018	TMICO	FRANKLIN INCOME C	0.00	7.73	0.00	7.73	48.0	3.71
04/30/2018	SPURGIN, LISBETH	FRANKLIN TOTAL RETURN FUNDS -CL C	0.00	5.28	0.00	5.28	48.0	2.53
04/30/2018	SPURGIN, LISBETH	FT FOUNDING FDS ALLOC C	0.00	0.17	0.00	0.17	48.0	0.08
04/30/2018	MCCORMICK, DEBORAH	FT FOUNDING FUNDS ALLOC A	0.00	28.01	0.00	28.01	48.0	13.44
/ /	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	0.05	0.00	0.05	48.0	0.02
05/02/2018	RADEMAKERS, DAVID	TRANSAMERICA TACTICAL INCOME C	0.00	10.35	0.00	10.35	48.0	4.97
05/02/2018	HARRIS, GENIVA	TRANSAMERICA TACTICAL INCOME C	0.00	4.18	0.00	4.18	48.0	2.01
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$55.97	\$0.00	\$55.97		\$26.85
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
04/30/2018	BRIDGES, JANIS	JNL ELITE ACCESS	0.00	89.03	0.00	89.03	48.0	42.73
04/30/2018	RHODES, VIRGINIA	JNL ELITE ACCESS	0.00	64.09	0.00	64.09	48.0	30.76
04/30/2018	CROWTHER, JOHN	JNL ELITE ACCESS	0.00	12.38	0.00	12.38	48.0	5.94
04/30/2018	NOBLES, VERLIE	JNL PERSPECTIVE L	0.00	33.50	0.00	33.50	48.0	16.08
04/30/2018	REEDER, WESLEY	JNL PERSPECTIVE L	0.00	19.45	0.00	19.45	48.0	9.34

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
04/30/2018	SPURGIN, BRENT	JNL PERSPECTIVE L	0.00	39.34	0.00	39.34	48.0	18.88
04/30/2018	WHISTLER, ROBERT M & LIND	JNL PERSPECTIVE L	0.00	41.54	0.00	41.54	48.0	19.94
04/30/2018	WHISTLER, ROBERT M & LIND	JNL PERSPECTIVE L	0.00	42.32	0.00	42.32	48.0	20.31
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$341.65	\$0.00	\$341.65		\$163.98
*** DIRECT TRANSACTIONS TOTAL ***			\$66,465.61	\$475.12	\$0.00	\$475.12		\$228.03
<u>ADJUSTMENTS</u>								
05/15/2018		*AI INSIGHT: AI INSIGHT - CURRENT MONTH	0.00					-7.00
05/15/2018		*EO INS: CURRENT MONTH INS	0.00					-300.00
05/15/2018		*LASER APP: LASER APP - CURRENT MONTH	0.00					-18.00
05/15/2018		*RBC: RBC CURRENT MONTH	0.00					-25.00
05/15/2018		*TECHNOLOGY: ADMIN - D INMAN	0.00					-130.00
05/15/2018		*TECHNOLOGY: CURRENT MONTH - BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-660.00

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BROKER COMMISSION TOTALS

Broker Transactions	\$246.94
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-660.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	\$-413.06
Year-to-date Gross	\$41,093.08
Year-to-date Earnings	\$19,693.31