

**COMMISSION STATEMENT**  
**January 15, 2018**

RIX SMITH-D063

BROKER #: D063  
BRANCH: DMA

, TX

COMMISSION STATEMENT for RIX SMITH-D063

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

DIRECT TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

|                   |                    |                 |   |   |               |               |               |               |               |
|-------------------|--------------------|-----------------|---|---|---------------|---------------|---------------|---------------|---------------|
| 12/31/2017 (None) | VARIOUS, SMITH RIX | MFT OPPENHEIMER | B | 0.00  | 8.51          | 0.00          | 8.51          | 48.0          | 4.08          |
|                   |                    |                 |   | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b> | <b>\$0.00</b> | <b>\$8.51</b> | <b>\$0.00</b> | <b>\$8.51</b> | <b>\$4.08</b> |
|                   |                    |                 |   | <b>*** DIRECT TRANSACTIONS TOTAL ***</b>    | <b>\$0.00</b> | <b>\$8.51</b> | <b>\$0.00</b> | <b>\$8.51</b> | <b>\$4.08</b> |

SPLIT TRANSACTIONS

BROKER: RIX/RANDY SMITH/SMITH-D081 #80

|            |             |               |                           |  |                   |                |               |                |                |
|------------|-------------|---------------|---------------------------|--|-------------------|----------------|---------------|----------------|----------------|
| 01/05/2018 | 00073969963 | SMITH, RONALD | MF NEW PERSPECTIVE FUND-A | B  | 4,877.75          | 48.77          | 0.00          | 48.77          | 23.41          |
|            |             |               |                           | <b>* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *</b> | <b>\$4,877.75</b> | <b>\$48.77</b> | <b>\$0.00</b> | <b>\$48.77</b> | <b>\$23.41</b> |
|            |             |               |                           | <b>*** SPLIT TRANSACTIONS TOTAL ***</b>        | <b>\$4,877.75</b> | <b>\$48.77</b> | <b>\$0.00</b> | <b>\$48.77</b> | <b>\$23.41</b> |

BROKER COMMISSION TOTALS

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$4.08  |
| Split Transactions    | \$23.41 |
| Override Transactions | \$0.00  |
| Adjustments           | \$0.00  |
| Payroll Draw          | \$0.00  |
| Base Salary           | \$0.00  |
| Prior Period Balance  | \$0.00  |
| FINRA Assessment      | \$0.00  |
| SIPC Assessment       | \$0.00  |

|                                 |                   |
|---------------------------------|-------------------|
| <b>Net Commissions</b>          | <b>\$27.49</b>    |
| <b>Year-to-date Commissions</b> | <b>\$1,850.91</b> |