

COMMISSION STATEMENT

January 15, 2018

RICHARD DURAND-D020

BROKER #: D020

BRANCH: DMN

, TX

COMMISSION STATEMENT for RICHARD DURAND-D020

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
12/20/2017 (None)	VARIOUS, RUST	MF PRINCIPAL	B	0.00	13.11	0.00	13.11	85.0	11.14
01/05/2018 00064992220	VELA, PATRICIA	MF THE GROWTH FUND OF AMERICA-A	B	125.00	5.31	0.00	5.31	85.0	4.51
01/02/2018 00067562789	PEREZ, GRACIELA	MF AMERICAN BALANCED FUND-A	B	144.35	5.41	0.00	5.41	85.0	4.60
01/02/2018 00068501235	GUTIERREZ, OTTO	MF THE BOND FUND OF AMERICA-A	B	194.33	5.34	0.00	5.34	85.0	4.54
01/02/2018 00085713380	BENAVIDES, JOHN	MF CAPITAL WORLD GROWTH AND	B	105.00	3.94	0.00	3.94	85.0	3.35
01/02/2018 00085713380	BENAVIDES, JOHN	MF THE GROWTH FUND OF AMERICA-529A	B	105.00	3.94	0.00	3.94	85.0	3.35
12/28/2017 00085792091	MUSE, PAULA	MF AMCAP FUND-C	B	5.61	0.06	0.00	0.06	85.0	0.05
12/28/2017 00085792091	MUSE, PAULA	MF AMERICAN BALANCED FUND-C	B	3.90	0.04	0.00	0.04	85.0	0.03
12/28/2017 00085792091	MUSE, PAULA	MF AMERICAN MUTUAL FUND-C	B	5.61	0.06	0.00	0.06	85.0	0.05
12/28/2017 00085792091	MUSE, PAULA	MF CAPITAL INCOME BUILDER CLASS C	B	5.61	0.06	0.00	0.06	85.0	0.05
12/28/2017 00085792091	MUSE, PAULA	MF EUROPACIFIC GROWTH FUND CLASS C	B	5.61	0.06	0.00	0.06	85.0	0.05
12/28/2017 00085792091	MUSE, PAULA	MF FUNDAMENTAL INVESTORS-C	B	5.61	0.06	0.00	0.06	85.0	0.05
12/28/2017 00085792091	MUSE, PAULA	MF INCOME FUND OF AMERICA CLASS C	B	5.61	0.06	0.00	0.06	85.0	0.05
12/28/2017 00085792091	MUSE, PAULA	MF WASHINGTON MUTUAL INVESTORS	B	5.61	0.06	0.00	0.06	85.0	0.05
12/28/2017 00085792100	ZERTUCHE, JOANNE	MF AMCAP FUND-C	B	9.90	0.10	0.00	0.10	85.0	0.09
12/28/2017 00085792100	ZERTUCHE, JOANNE	MF AMERICAN BALANCED FUND-C	B	9.08	0.09	0.00	0.09	85.0	0.08
12/28/2017 00085792100	ZERTUCHE, JOANNE	MF AMERICAN MUTUAL FUND-A	B	8.22	0.13	0.00	0.13	85.0	0.11
12/28/2017 00085792100	ZERTUCHE, JOANNE	MF CAPITAL INCOME BUILDER-A	B	9.08	0.15	0.00	0.15	85.0	0.13
12/28/2017 00085792100	ZERTUCHE, JOANNE	MF EUROPACIFIC GROWTH FUND CLASS C	B	9.08	0.09	0.00	0.09	85.0	0.08
12/28/2017 00085792100	ZERTUCHE, JOANNE	MF FUNDAMENTAL INVESTORS-A	B	9.08	0.15	0.00	0.15	85.0	0.13
12/28/2017 00085792100	ZERTUCHE, JOANNE	MF THE GROWTH FUND OF AMERICA-C	B	9.08	0.09	0.00	0.09	85.0	0.08
12/28/2017 00085792100	ZERTUCHE, JOANNE	MF THE INCOME FUND OF AMERICA-A	B	9.90	0.16	0.00	0.16	85.0	0.14
12/28/2017 00085792100	ZERTUCHE, JOANNE	MF WASHINGTON MUTUAL INVESTORS	B	9.08	0.09	0.00	0.09	85.0	0.08
12/28/2017 00085792114	CARDENAS, MAURINE	MF AMCAP FUND-C	B	12.17	0.12	0.00	0.12	85.0	0.10
12/28/2017 00085792114	CARDENAS, MAURINE	MF AMERICAN BALANCED FUND-C	B	9.13	0.09	0.00	0.09	85.0	0.08
12/28/2017 00085792114	CARDENAS, MAURINE	MF AMERICAN MUTUAL FUND-C	B	6.09	0.06	0.00	0.06	85.0	0.05
12/28/2017 00085792114	CARDENAS, MAURINE	MF CAPITAL INCOME BUILDER CLASS C	B	3.04	0.03	0.00	0.03	85.0	0.03
12/28/2017 00085792114	CARDENAS, MAURINE	MF CAPITAL WORLD GROWTH AND INCOME	B	6.09	0.06	0.00	0.06	85.0	0.05
12/28/2017 00085792114	CARDENAS, MAURINE	MF EUROPACIFIC GROWTH FUND CLASS C	B	9.14	0.09	0.00	0.09	85.0	0.08
12/28/2017 00085792114	CARDENAS, MAURINE	MF INCOME FUND OF AMERICA CLASS C	B	3.04	0.03	0.00	0.03	85.0	0.03
12/28/2017 00085792114	CARDENAS, MAURINE	MF WASHINGTON MUTUAL INVESTORS	B	12.17	0.12	0.00	0.12	85.0	0.10

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12/28/2017 00085792136	GONZALEZ, APRIL	MF AMCAP FUND-C	B	9.25	0.09	0.00	0.09	85.0	0.08
12/28/2017 00085792136	GONZALEZ, APRIL	MF AMERICAN BALANCED FUND-C	B	6.94	0.07	0.00	0.07	85.0	0.06
12/28/2017 00085792136	GONZALEZ, APRIL	MF AMERICAN MUTUAL FUND-C	B	4.63	0.05	0.00	0.05	85.0	0.04
12/28/2017 00085792136	GONZALEZ, APRIL	MF CAPITAL INCOME BUILDER CLASS C	B	2.31	0.02	0.00	0.02	85.0	0.02
12/28/2017 00085792136	GONZALEZ, APRIL	MF CAPITAL WORLD GROWTH AND INCOME	B	4.62	0.05	0.00	0.05	85.0	0.04
12/28/2017 00085792136	GONZALEZ, APRIL	MF EUROPACIFIC GROWTH FUND CLASS C	B	6.94	0.07	0.00	0.07	85.0	0.06
12/28/2017 00085792136	GONZALEZ, APRIL	MF INCOME FUND OF AMERICA CLASS C	B	2.31	0.02	0.00	0.02	85.0	0.02
12/28/2017 00085792136	GONZALEZ, APRIL	MF WASHINGTON MUTUAL INVESTORS	B	9.25	0.09	0.00	0.09	85.0	0.08
12/28/2017 00085792225	CARDONA, REBECCA	MF NEW WORLD FUND-C	B	42.25	0.42	0.00	0.42	85.0	0.36
12/28/2017 00085792262	PINEDA, JEANETTE	MF NEW WORLD FUND-C	B	12.78	0.13	0.00	0.13	85.0	0.11
01/03/2018 00086533271	VILLA, KELLIE	MF THE INCOME FUND OF AMERICA-529A	B	200.00	5.50	0.00	5.50	85.0	4.68
12/29/2017 00089714210	ADAMS, HAROLD	MF AMERICAN BALANCED FUND-A	B	1,500.00	75.00	0.00	75.00	85.0	63.75
12/29/2017 00089714210	ADAMS, HAROLD	MF THE GROWTH FUND OF AMERICA-A	B	2,000.00	100.00	0.00	100.00	85.0	85.00
12/29/2017 00089714210	ADAMS, HAROLD	MF THE INVESTMENT COMPANY OF	B	2,000.00	100.00	0.00	100.00	85.0	85.00
12/28/2017 00089762246	VALADEZ, DANIELLE	MF AMERICAN FUNDS 2035 TARGET	B	43.75	0.44	0.00	0.44	85.0	0.37
01/02/2018 08191226810	DEAN, COY	MF MFS GROWTH ALLOCATION FUND-529A	B	28,000.00	1,120.00	0.00	1,120.00	85.0	952.00
* MUTUAL FUNDS SUBTOTAL *				\$34,705.25	\$1,441.11	\$0.00	\$1,441.11		\$1,224.98

PRODUCT CATEGORY: VARIABLE ANNUITIES

12/31/2017 (None)	MERCY STREET	VA PRINCIPAL	B	0.00	33.09	0.00	33.09	85.0	28.13
12/31/2017 (None)	LANDMARK CONSOLI	VA PRINCIPAL	B	0.00	337.54	0.00	337.54	85.0	286.91
12/31/2017 (None)	TPF	VA PRINCIPAL	B	0.00	24.58	0.00	24.58	85.0	20.89
01/05/2018 (None)	ALLENBUTL	VA MASS MUTUAL	B	0.00	7.48	0.00	7.48	85.0	6.36
01/05/2018 (None)	WCS CONTRA	VA MASS MUTUAL	B	0.00	1.19	0.00	1.19	85.0	1.01
01/05/2018 (None)	STAINLESS	VA MASS MUTUAL	B	0.00	180.41	0.00	180.41	85.0	153.35
12/31/2017 009066455A	STEPHENS, JUNE	VA PERSPECTIVE-RPL	B	41,247.81	8.59	0.00	8.59	85.0	7.30
12/31/2017 009066456A	STEPHENS, SHERMAN	VA PERSPECTIVE-RPL	B	30,725.94	6.40	0.00	6.40	85.0	5.44
12/31/2017 009076002A	RIDDLE, MELVIN	VA PERSPECTIVE	B	84,874.45	17.68	0.00	17.68	85.0	15.03
12/31/2017 009076003A	RIDDLE, MELVIN	VA PERSPECTIVE-RPL	B	1,872.10	0.39	0.00	0.39	85.0	0.33
12/31/2017 1016582030	BRANNIES,	VA PERSP II 04/14	B	327,888.24	136.62	0.00	136.62	85.0	116.13
* VARIABLE ANNUITIES SUBTOTAL *				\$486,608.54	\$753.97	\$0.00	\$753.97		\$640.88

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/22/2017 (None)	ZIMMERMAN, STEVEN	MFT OPPENHEIMER	B	0.00	13.42	0.00	13.42	85.0	11.41
12/31/2017 (None)	VARIOUS, DURAND	MFT OPPENHEIMER	B	0.00	28.67	0.00	28.67	85.0	24.37
01/01/2018 00306752379	NEFF, GILBERT	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	5.56	0.00	5.56	85.0	4.73
01/01/2018 00660109470	HANSON, CATHY	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	38.93	0.00	38.93	85.0	33.09
01/01/2018 00670321666	HANSON, JON	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	7.16	0.00	7.16	85.0	6.09
01/01/2018 00670983622	BRASCOM, WAYNE	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	38.33	0.00	38.33	85.0	32.58
01/01/2018 00670983622	BRASCOM, WAYNE	MFT INVESCO COMSTOCK FUND - CLASS A	B	0.00	12.57	0.00	12.57	85.0	10.68
01/01/2018 00670983622	BRASCOM, WAYNE	MFT INVESCO EQUITY AND INCOME FUND	B	0.00	89.13	0.00	89.13	85.0	75.76
01/01/2018 00670983622	BRASCOM, WAYNE	MFT INVESCO GOVT MONEY MARKET FUND	B	0.00	0.20	0.00	0.20	85.0	0.17
01/01/2018 00670983622	BRASCOM, WAYNE	MFT INVESCO SMALL CAP VALUE FUND	B	0.00	0.46	0.00	0.46	85.0	0.39
01/01/2018 00671007407	SUBLETT,	MFT AIM HIGH YIELD FUND - CLASS A	B	0.00	10.70	0.00	10.70	85.0	9.10
01/01/2018 00671967256	HUBERT O JOHNSON,	MFT AIM HIGH YIELD FUND - CLASS A	B	0.00	68.98	0.00	68.98	85.0	58.63

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01/01/2018 00672205448	GAILER, FRANK	MFT INVESCO EQUITY AND INCOME FUND	B	0.00	55.89	0.00	55.89	85.0	47.51
01/01/2018 00672205449	GAILER, FRANK	MFT INVESCO EQUITY AND INCOME FUND	B	0.00	21.45	0.00	21.45	85.0	18.23
01/01/2018 01001297859	GIFFEN, BOBBIE	MFT INVESCO HIGH YIELD MUNICIPAL FD	B	0.00	69.88	0.00	69.88	85.0	59.40
01/01/2018 03324003970	MATTE, JOSEPH	MFT INVESCO HIGH YIELD MUNICIPAL FD	B	0.00	4.74	0.00	4.74	85.0	4.03
01/01/2018 04031090899	WINTER, MARTHA	MFT AIM CHARTER FUND - CLASS A	B	0.00	19.97	0.00	19.97	85.0	16.97
01/01/2018 04031090899	WINTER, MARTHA	MFT AIM TECHNOLOGY FUND - CLASS A	B	0.00	33.93	0.00	33.93	85.0	28.84
01/01/2018 04031090899	WINTER, MARTHA	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	12.61	0.00	12.61	85.0	10.72
01/01/2018 04400048090	GIFFEN, BOBBIE	MFT AIM HIGH YIELD FUND - CLASS A	B	0.00	24.23	0.00	24.23	85.0	20.60
01/01/2018 04500008862	ESPARZA, JULIO	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	4.15	0.00	4.15	85.0	3.53
01/01/2018 04500008865	ESPARZA, DOLORES	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	9.10	0.00	9.10	85.0	7.74
01/01/2018 06605517849	CORNELISON,	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	37.80	0.00	37.80	85.0	32.13
01/01/2018 06900079283	GURGANUS, EVELYN	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	21.03	0.00	21.03	85.0	17.88
01/01/2018 06910641128	WALLACE, PATRICIA	MFT AIM INTERNATIONAL GROWTH FUND - B	B	0.00	0.04	0.00	0.04	85.0	0.03
01/01/2018 06910641128	WALLACE, PATRICIA	MFT INVESCO GROWTH AND INCOME FUND	B	0.00	0.19	0.00	0.19	85.0	0.16
01/01/2018 08191226810	DEAN, COY	MFT MFS GROWTH ALLOCATION FUND-529A	B	0.00	34.93	0.00	34.93	85.0	29.69
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$664.05	\$0.00	\$664.05		\$564.46
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>									
12/31/2017 00711345641	JOINER, FRANK	VAT HARTFORD LIFE	B	0.00	205.33	0.00	205.33	85.0	174.53
12/31/2017 00711345641	JOINER, JAMES	VAT HARTFORD LIFE	B	0.00	90.84	0.00	90.84	85.0	77.21
12/31/2017 00711345641	AVANTS, ROGER	VAT HARTFORD LIFE	B	0.00	112.80	0.00	112.80	85.0	95.88
12/31/2017 00712280202	HOWARD, GARY	VAT HARTFORD LIFE	B	0.00	200.44	0.00	200.44	85.0	170.37
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$609.41	\$0.00	\$609.41		\$517.99
*** DIRECT TRANSACTIONS TOTAL ***				\$521,313.79	\$3,468.54	\$0.00	\$3,468.54		\$2,948.31

BROKER COMMISSION TOTALS

Broker Transactions	\$2,948.31
Split Transactions	\$0.00
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

Net Commissions	\$2,948.31
Year-to-date Commissions	\$19,186.59