

Bill Payment Stub

Check Date:	5/7/2018
Check No.:	ACH
Check Amount:	321.46

Dominion Investor Services
P.O. Box 4768
Horseshoe Bay, TX 78657-4768

Paid To: ROBERT CALDWELL
2802 N HIGHLAND AVE, STE B
JACKSON, TN 38305

Date	Type	Reference	Original Amt.	Balance	Discount	Payment
4/30/2018	Bill	COMMISSIONS	441.46	441.46		441.46
5/1/2018	Credit	E&O	-120.00	-120.00		-120.00

COMMISSION STATEMENT
April 30, 2018

ROBERT CALDWELL-D013

BROKER #: D013

BRANCH: DME

, TX

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
04/20/2018	mfc291006 CALDWELL 291006	MFT AMERICAN BALANCED FUND-A	B	0.00	4.13	0.00	4.13	90.0	3.72
04/20/2018	mfc291006 CALDWELL 291006	MFT CALAMOS GROWTH & INCOME FD CL C	B	0.00	20.28	0.00	20.28	90.0	18.25
04/20/2018	mfc291006 CALDWELL 291006	MFT CAPITAL INCOME BUILDER-A	B	0.00	0.01	0.00	0.01	90.0	0.01
04/20/2018	mfc291006 CALDWELL 291006	MFT DELAWARE SMID CAP GROWTH FD CL	B	0.00	13.41	0.00	13.41	90.0	12.07
04/20/2018	mfc291006 CALDWELL 291006	MFT FIDELITY ADVISOR GROWTH OPPORT	B	0.00	39.17	0.00	39.17	90.0	35.25
04/20/2018	mfc291006 CALDWELL 291006	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	11.65	0.00	11.65	90.0	10.49
04/20/2018	mfc291006 CALDWELL 291006	MFT FRK RISING DIV FND - CL C	B	0.00	15.61	0.00	15.61	90.0	14.05
04/20/2018	mfc291006 CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	6.38	0.00	6.38	90.0	5.74
04/20/2018	mfc291006 CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	20.10	0.00	20.10	90.0	18.09
04/20/2018	mfc291006 CALDWELL 291006	MFT GEORGE PUTNAM BALANCED FUND-A	B	0.00	0.30	0.00	0.30	90.0	0.27
04/20/2018	mfc291006 CALDWELL 291006	MFT JOHN HANCOCK STRATEGIC GROWTH A	B	0.00	1.25	0.00	1.25	90.0	1.13
04/20/2018	mfc291006 CALDWELL 291006	MFT MFS TN MUNI BD FD CL A	B	0.00	25.38	0.00	25.38	90.0	22.84
04/20/2018	mfc291006 CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	10.32	0.00	10.32	90.0	9.29
04/20/2018	mfc291006 CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	16.42	0.00	16.42	90.0	14.78
04/20/2018	mfc291006 CALDWELL 291006	MFT PUTNAM 746747104	B	0.00	0.38	0.00	0.38	90.0	0.34
04/20/2018	mfc291006 CALDWELL 291006	MFT PUTNAM HEALTH SCIENCES TRUST	B	0.00	0.46	0.00	0.46	90.0	0.41
04/20/2018	mfc291006 CALDWELL 291006	MFT THE INVESTMENT COMPANY OF	B	0.00	0.01	0.00	0.01	90.0	0.01
04/20/2018	mfc291006 CALDWELL 291006	MFT U.S. GOVERNMENT SECURITIES FUND	B	0.00	1.40	0.00	1.40	90.0	1.26
04/20/2018	mfc291006 CALDWELL 291006	MFT VOYA SENIOR INCOME FUND C	B	0.00	7.06	0.00	7.06	90.0	6.35
04/20/2018	mfc291006 CALDWELL 291006	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.92	0.00	1.92	90.0	1.73
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$195.64	\$0.00	\$195.64		\$176.08
*** CLEARING TRANSACTIONS TOTAL ***				\$0.00	\$195.64	\$0.00	\$195.64		\$176.08

COMMISSION STATEMENT for ROBERT CALDWELL-D013

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>									
04/09/2018 (None)	WILSON	MF COLLEGE BOUND	B	0.00	0.50	0.00	0.50	90.0	0.45
04/13/2018 (None)	SUMIDA	MF COLLEGE BOUND	B	0.00	3.50	0.00	3.50	90.0	3.15
04/12/2018 00068424625	GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
04/12/2018 00068424625	GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
04/20/2018 00068424625	GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
04/20/2018 00068424625	GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
04/12/2018 00074694907	REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
04/12/2018 00074694907	REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
04/20/2018 00074694907	REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
04/20/2018 00074694907	REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
04/16/2018 00075317599	COPELAND, SUSAN	MF AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
04/16/2018 00075317599	COPELAND, SUSAN	MF FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
04/13/2018 00081948467	EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	55.98	1.12	0.00	1.12	90.0	1.01
04/13/2018 00081948467	EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	21.00	0.42	0.00	0.42	90.0	0.38
04/13/2018 00081948467	EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	9.88	0.20	0.00	0.20	90.0	0.18
04/13/2018 00081948467	EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	3.70	0.07	0.00	0.07	90.0	0.06
04/13/2018 00081948520	WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
04/13/2018 00081948520	WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
04/13/2018 00081948520	WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
04/13/2018 00081948520	WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
04/13/2018 00081948549	HINDS, MICHAEL	MF AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
04/13/2018 00081948549	HINDS, MICHAEL	MF AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
04/13/2018 00081948549	HINDS, MICHAEL	MF AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
04/13/2018 00081948549	HINDS, MICHAEL	MF AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
04/13/2018 00081948549	HINDS, MICHAEL	MF U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
04/13/2018 00081948549	HINDS, MICHAEL	MF U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
04/13/2018 00081948685	SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21
04/13/2018 00081948685	SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
04/13/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
04/13/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
04/13/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
04/13/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
04/13/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
04/13/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21
04/13/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	105.01	1.05	0.00	1.05	90.0	0.95
04/13/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	31.50	0.32	0.00	0.32	90.0	0.29
04/13/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	27.23	0.27	0.00	0.27	90.0	0.24
04/13/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	27.23	0.27	0.00	0.27	90.0	0.24
04/19/2018 00089213121	ADCOCK, JACKSON	MF AMERICAN FUNDS 2060 TARGET	B	430.98	4.31	0.00	4.31	90.0	3.88
04/13/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	25.33	0.25	0.00	0.25	90.0	0.23

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04/13/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	25.33	0.25	0.00	0.25	90.0	0.23
04/13/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	15.60	0.16	0.00	0.16	90.0	0.14
04/13/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	9.36	0.09	0.00	0.09	90.0	0.08
04/13/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	18.19	0.18	0.00	0.18	90.0	0.16
04/13/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	10.92	0.11	0.00	0.11	90.0	0.10
04/13/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	18.20	0.18	0.00	0.18	90.0	0.16
04/13/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	10.92	0.11	0.00	0.11	90.0	0.10
04/13/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
04/13/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
04/13/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	46.62	0.47	0.00	0.47	90.0	0.42
04/13/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	46.62	0.47	0.00	0.47	90.0	0.42
04/13/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	32.20	0.32	0.00	0.32	90.0	0.29
04/13/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	32.20	0.32	0.00	0.32	90.0	0.29
04/13/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	30.12	0.30	0.00	0.30	90.0	0.27
04/13/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	30.12	0.30	0.00	0.30	90.0	0.27
04/13/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
04/13/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
* MUTUAL FUNDS SUBTOTAL *				<u>\$2,509.60</u>	<u>\$36.04</u>	<u>\$0.00</u>	<u>\$36.04</u>		<u>\$32.47</u>

PRODUCT CATEGORY: VARIABLE ANNUITIES

04/10/2018 1016060638	WILLIAMS, WILLIAM	VA ELITE ACCESS	B	1,480.00	18.50	0.00	18.50	90.0	16.65
* VARIABLE ANNUITIES SUBTOTAL *				<u>\$1,480.00</u>	<u>\$18.50</u>	<u>\$0.00</u>	<u>\$18.50</u>		<u>\$16.65</u>

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/31/2018 (None)	VARIOUS, CALDWELL	MFT COLLEGE BOUND	B	0.00	348.82	0.00	348.82	90.0	313.94
03/31/2018 (None)	PEAVY, REGINA	MFT NUVEEN 12B-1	B	0.00	28.32	0.00	28.32	90.0	25.49
03/31/2018 (None)	VARIOUS, CALDWELL	MFT PRUDENTIAL MUTUAL FUNDS	B	0.00	6.86	0.00	6.86	90.0	6.17
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				<u>\$0.00</u>	<u>\$384.00</u>	<u>\$0.00</u>	<u>\$384.00</u>		<u>\$345.60</u>
*** DIRECT TRANSACTIONS TOTAL ***				<u>\$3,989.60</u>	<u>\$438.54</u>	<u>\$0.00</u>	<u>\$438.54</u>		<u>\$394.72</u>

REP LINK TRANSACTIONSBROKER: BRYANT CALDWELL-D080 #70

04/20/2018 mfc445444	CALDWELL 445444	MFT AMERICAN BALANCED FUND-A	B	0.00	0.48	0.00	0.48		0.43
04/20/2018 mfc445444	CALDWELL 445444	MFT THE INCOME FUND OF AMERICA-A	B	0.00	0.62	0.00	0.62		0.56
* BRYANT CALDWELL-D080 SUBTOTAL *				<u>\$0.00</u>	<u>\$1.10</u>	<u>\$0.00</u>	<u>\$1.10</u>		<u>\$0.99</u>
*** REP LINK TRANSACTIONS TOTAL ***				<u>\$0.00</u>	<u>\$1.10</u>	<u>\$0.00</u>	<u>\$1.10</u>		<u>\$0.99</u>

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
04/30/2018		: BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
04/30/2018		: BROKER WORKSTATION-BROOKS		0.00	0.00	0.00	0.00		-30.00
04/30/2018		: E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
04/30/2018		: E-MAIL ACCOUNT-BROOKS		0.00	0.00	0.00	0.00		-25.00
04/30/2018		: FEDEX - AMERITRADE 03-20		0.00	0.00	0.00	0.00		-20.33
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-130.33

BROKER COMMISSION TOTALS

Broker Transactions	\$571.79
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-130.33
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$441.46
Year-to-date Commissions	\$24,923.35