

Bill Payment Stub

Check Date:	2/7/2018
Check No.:	ACH
Check Amount:	715.13

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
1/31/2018	Bill	COMMISSIONS	835.13	835.13		835.13
2/1/2018	Credit	E&O	-120.00	-120.00		-120.00

COMMISSION STATEMENT

January 31, 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>									
<u>PRODUCT CATEGORY: STOCKS</u>									
01/22/2018	368440054	SARGENT, CARRIE	S	KROGER COMPANY	S	-470.43	60.00	15.00	45.00 90.0 40.50
				* STOCKS SUBTOTAL *		\$-470.43	\$60.00	\$15.00	\$45.00 \$40.50
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
01/23/2018	mfc291006	CALDWELL 291006		MFT AMERICAN BALANCED FUND-A	B	0.00	4.12	0.00	4.12 90.0 3.71
01/23/2018	mfc291006	CALDWELL 291006		MFT CALAMOS GROWTH & INCOME FD CL C	B	0.00	19.76	0.00	19.76 90.0 17.78
01/23/2018	mfc291006	CALDWELL 291006		MFT CAPITAL INCOME BUILDER-A	B	0.00	0.01	0.00	0.01 90.0 0.01
01/23/2018	mfc291006	CALDWELL 291006		MFT DELAWARE SMID CAP GROWTH FD CL	B	0.00	12.22	0.00	12.22 90.0 11.00
01/23/2018	mfc291006	CALDWELL 291006		MFT FIDELITY ADVISOR GROWTH OPPORT	B	0.00	38.98	0.00	38.98 90.0 35.08
01/23/2018	mfc291006	CALDWELL 291006		MFT FRANKLIN INCOME FUND CLASS C	B	0.00	11.99	0.00	11.99 90.0 10.79
01/23/2018	mfc291006	CALDWELL 291006		MFT FRK RISING DIV FND - CL C	B	0.00	15.71	0.00	15.71 90.0 14.14
01/23/2018	mfc291006	CALDWELL 291006		MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	6.43	0.00	6.43 90.0 5.79
01/23/2018	mfc291006	CALDWELL 291006		MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	20.41	0.00	20.41 90.0 18.37
01/23/2018	mfc291006	CALDWELL 291006		MFT GEORGE PUTNAM BALANCED FUND-A	B	0.00	0.30	0.00	0.30 90.0 0.27
01/23/2018	mfc291006	CALDWELL 291006		MFT JOHN HANCOCK STRATEGIC GROWTH A	B	0.00	1.19	0.00	1.19 90.0 1.07
01/23/2018	mfc291006	CALDWELL 291006		MFT MFS TN MUNI BD FD CL A	B	0.00	25.80	0.00	25.80 90.0 23.22
01/23/2018	mfc291006	CALDWELL 291006		MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	10.45	0.00	10.45 90.0 9.41
01/23/2018	mfc291006	CALDWELL 291006		MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	16.73	0.00	16.73 90.0 15.06
01/23/2018	mfc291006	CALDWELL 291006		MFT PUTNAM 746747104	B	0.00	0.38	0.00	0.38 90.0 0.34
01/23/2018	mfc291006	CALDWELL 291006		MFT PUTNAM HEALTH SCIENCES TRUST	B	0.00	0.45	0.00	0.45 90.0 0.41
01/23/2018	mfc291006	CALDWELL 291006		MFT THE INVESTMENT COMPANY OF	B	0.00	0.01	0.00	0.01 90.0 0.01
01/23/2018	mfc291006	CALDWELL 291006		MFT U.S. GOVERNMENT SECURITIES FUND	B	0.00	1.42	0.00	1.42 90.0 1.28
01/23/2018	mfc291006	CALDWELL 291006		MFT VOYA SENIOR INCOME FUND C	B	0.00	6.93	0.00	6.93 90.0 6.24
01/23/2018	mfc291006	CALDWELL 291006		MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.91	0.00	1.91 90.0 1.72
				* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$195.20	\$0.00	\$195.20 \$175.70
				*** CLEARING TRANSACTIONS TOTAL ***		\$-470.43	\$255.20	\$15.00	\$240.20 \$216.20

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>									
01/09/2018 (None)	WILSON	MF COLLEGE BOUND	B	0.00	0.50	0.00	0.50	90.0	0.45
01/12/2018 (None)	SUMIDA	MF COLLEGE BOUND	B	0.00	3.50	0.00	3.50	90.0	3.15
01/10/2018 000000000010330	PATRICK, CHAD	MF FRANKLIN MUTUAL INTERNATIONAL	B	41.67	0.42	0.00	0.42	90.0	0.38
01/22/2018 0000000000055638	PATRICK, CHAD	MF FRANKLIN BALANCED FUND - CLASS	B	125.00	1.25	0.00	1.25	90.0	1.13
01/25/2018 0000000000227710	THOMAS,	MF FRANKLIN MODERATE ALLOCATION	B	100.00	1.00	0.00	1.00	90.0	0.90
01/10/2018 0000000000277184	PATRICK, CHAD	MF TEMPLETON CHINA WORLD FUND -	B	41.67	0.42	0.00	0.42	90.0	0.38
01/10/2018 0000000001124015	PATRICK, CHAD	MF MUTUAL QUAL FND - CL C	B	41.66	0.42	0.00	0.42	90.0	0.38
01/25/2018 0000000003822855	PATRICK, CHAD	MF MUTUAL SHRS FND - CL C	B	166.66	1.67	0.00	1.67	90.0	1.50
01/26/2018 00067541249	PATRICK, CHAD	MF THE GROWTH FUND OF AMERICA-529A	B	75.00	3.19	0.00	3.19	90.0	2.87
01/26/2018 00067549730	PATRICK, CHAD	MF THE GROWTH FUND OF AMERICA-529A	B	75.00	3.19	0.00	3.19	90.0	2.87
01/19/2018 00068424625	GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
01/19/2018 00068424625	GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
01/25/2018 00073739173	BEARD, PATRICK	MF INVESTMENT COMPANY OF AMERICA	B	50.00	0.50	0.00	0.50	90.0	0.45
01/19/2018 00074694907	REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
01/19/2018 00074694907	REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
01/16/2018 00075317599	COPELAND, SUSAN	MF AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
01/16/2018 00075317599	COPELAND, SUSAN	MF FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
01/16/2018 00081948467	EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	35.03	0.70	0.00	0.70	90.0	0.63
01/16/2018 00081948467	EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	93.41	1.87	0.00	1.87	90.0	1.68
01/16/2018 00081948467	EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	6.18	0.12	0.00	0.12	90.0	0.11
01/16/2018 00081948467	EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	16.48	0.33	0.00	0.33	90.0	0.30
01/16/2018 00081948520	WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
01/16/2018 00081948520	WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
01/16/2018 00081948520	WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
01/16/2018 00081948520	WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
01/16/2018 00081948549	HINDS, MICHAEL	MF AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
01/16/2018 00081948549	HINDS, MICHAEL	MF AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
01/16/2018 00081948549	HINDS, MICHAEL	MF AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
01/16/2018 00081948549	HINDS, MICHAEL	MF AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
01/16/2018 00081948549	HINDS, MICHAEL	MF U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
01/16/2018 00081948549	HINDS, MICHAEL	MF U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
01/16/2018 00081948685	SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
01/16/2018 00081948685	SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21
01/16/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
01/16/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
01/16/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
01/16/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
01/16/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21
01/16/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
01/16/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	32.60	0.33	0.00	0.33	90.0	0.30

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
01/16/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	108.65	1.09	0.00	1.09	90.0	0.98
01/16/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	34.43	0.34	0.00	0.34	90.0	0.31
01/16/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	34.43	0.34	0.00	0.34	90.0	0.31
01/16/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	27.44	0.27	0.00	0.27	90.0	0.24
01/16/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	27.44	0.27	0.00	0.27	90.0	0.24
01/16/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	9.99	0.10	0.00	0.10	90.0	0.09
01/16/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	16.65	0.17	0.00	0.17	90.0	0.15
01/16/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	11.65	0.12	0.00	0.12	90.0	0.11
01/16/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	19.42	0.19	0.00	0.19	90.0	0.17
01/16/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	11.66	0.12	0.00	0.12	90.0	0.11
01/16/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	19.43	0.19	0.00	0.19	90.0	0.17
01/16/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
01/16/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
01/16/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	47.67	0.48	0.00	0.48	90.0	0.43
01/16/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	47.67	0.48	0.00	0.48	90.0	0.43
01/16/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	31.19	0.31	0.00	0.31	90.0	0.28
01/16/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	31.19	0.31	0.00	0.31	90.0	0.28
01/16/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	30.50	0.31	0.00	0.31	90.0	0.28
01/16/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	30.50	0.31	0.00	0.31	90.0	0.28
01/16/2018 04000412607	HUFFSTETTLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
01/16/2018 04000412607	HUFFSTETTLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
* MUTUAL FUNDS SUBTOTAL *				\$2,637.95	\$42.83	\$0.00	\$42.83		\$38.58

PRODUCT CATEGORY: VARIABLE ANNUITIES

01/10/2018 1012316590	AVILA PENSION	VA PERSP L 08/11	B	49.78	1.99	0.00	1.99	90.0	1.79
01/29/2018 1020831940	AVILA, LAURA	VA JACKSON NATL LIFE	B	0.00	363.51	0.00	363.51	90.0	327.16
* VARIABLE ANNUITIES SUBTOTAL *				\$49.78	\$365.50	\$0.00	\$365.50		\$328.95

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/29/2017 (None) ALTO, MATTB	MFT PACIFIC LIFE 12B1	B	0.00	0.16	0.00	0.16	90.0	0.14
12/31/2017 (None) WILLIAMSON	MFT COLLEGE BOUND	B	0.00	3.26	0.00	3.26	90.0	2.93
12/31/2017 (None) WILSON	MFT COLLEGE BOUND	B	0.00	0.03	0.00	0.03	90.0	0.03
12/31/2017 (None) WILSON	MFT COLLEGE BOUND	B	0.00	8.25	0.00	8.25	90.0	7.43
12/31/2017 (None) GREEN	MFT COLLEGE BOUND	B	0.00	273.07	0.00	273.07	90.0	245.76
12/31/2017 (None) SUMIDA	MFT COLLEGE BOUND	B	0.00	2.12	0.00	2.12	90.0	1.91
12/31/2017 (None) SUMIDA	MFT COLLEGE BOUND	B	0.00	4.64	0.00	4.64	90.0	4.18
12/31/2017 (None) SUMIDA	MFT COLLEGE BOUND	B	0.00	0.01	0.00	0.01	90.0	0.01
12/31/2017 (None) SUMIDA	MFT COLLEGE BOUND	B	0.00	5.74	0.00	5.74	90.0	5.17
12/31/2017 (None) SUMIDA	MFT COLLEGE BOUND	B	0.00	17.65	0.00	17.65	90.0	15.89
12/31/2017 (None) SUMIDA	MFT COLLEGE BOUND	B	0.00	8.98	0.00	8.98	90.0	8.08
12/31/2017 (None) SUMIDA	MFT COLLEGE BOUND	B	0.00	1.24	0.00	1.24	90.0	1.12
12/31/2017 (None) SUMIDA	MFT COLLEGE BOUND	B	0.00	0.30	0.00	0.30	90.0	0.27
12/31/2017 (None) SUMIDA	MFT COLLEGE BOUND	B	0.00	5.16	0.00	5.16	90.0	4.64
12/31/2017 (None) AVERY	MFT COLLEGE BOUND	B	0.00	3.22	0.00	3.22	90.0	2.90
12/31/2017 (None) SUMIDA	MFT COLLEGE BOUND	B	0.00	12.92	0.00	12.92	90.0	11.63

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
12/31/2017 (None)	WOODS JR	MFT COLLEGE BOUND	B	0.00	7.66	0.00	7.66	90.0	6.89
12/31/2017 (None)	PEAVY, REGINA	MFT NUVEEN 12B-1	B	0.00	29.17	0.00	29.17	90.0	26.25
12/31/2017 (None)	VARIOUS, CALDWELL	MFT PRUDENTIAL MUTUAL FUNDS	B	0.00	6.50	0.00	6.50	90.0	5.85
01/08/2018	IRK121025 DILIGENCE	MFT 8504AFRKD	B	0.00	10.33	0.00	10.33	90.0	9.30
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$400.41	\$0.00	\$400.41		\$360.38
*** DIRECT TRANSACTIONS TOTAL ***				\$2,687.73	\$808.74	\$0.00	\$808.74		\$727.91

REP LINK TRANSACTIONSBROKER: BRYANT CALDWELL-D080 #70

01/23/2018	mfc445444 CALDWELL 445444	MFT AMERICAN BALANCED FUND-A	B	0.00	0.49	0.00	0.49		0.44
01/23/2018	mfc445444 CALDWELL 445444	MFT THE INCOME FUND OF AMERICA-A	B	0.00	0.64	0.00	0.64		0.58
* BRYANT CALDWELL-D080 SUBTOTAL *				\$0.00	\$1.13	\$0.00	\$1.13		\$1.02
*** REP LINK TRANSACTIONS TOTAL ***				\$0.00	\$1.13	\$0.00	\$1.13		\$1.02

ADJUSTMENTS

01/31/2018	:	BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
01/31/2018	:	BROKER WORKSTATION-BROOKS		0.00	0.00	0.00	0.00		-30.00
01/31/2018	:	E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
01/31/2018	:	E-MAIL ACCOUNT-BROOKS		0.00	0.00	0.00	0.00		-25.00
01/31/2018	:	MONEY MARKET TRAILS		0.00	0.00	0.00	0.00		0.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-110.00

BROKER COMMISSION TOTALS

Broker Transactions	\$945.13
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-110.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$835.13
Year-to-date Commissions	\$12,166.30