

**COMMISSION STATEMENT**
**October 15, 2018**
**ROBERT CALDWELL-D013**  
 2802 North Highland Avenue  
 Suite A  
 Jackson, TN 38305

**BROKER #: D013**  
 BRANCH: DME

**COMMISSION STATEMENT for ROBERT CALDWELL-D013**

| 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 FUNDS**

|                             |                   |    |                                 |   |        |      |      |      |      |      |
|-----------------------------|-------------------|----|---------------------------------|---|--------|------|------|------|------|------|
| 09/25/2018 000000000227710  | THOMAS,           | MF | FRANKLIN MODERATE ALLOCATION    | B | 100.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| 09/25/2018 000000000499879  | DIXON, KYLE       | MF | FRANKLIN GROWTH ALLOCATION FUND | B | 300.00 | 3.00 | 0.00 | 3.00 | 90.0 | 2.70 |
| 09/25/2018 0000000003822855 | PATRICK, CHAD     | MF | MUTUAL SHRS FND - CL C          | B | 166.66 | 1.67 | 0.00 | 1.67 | 90.0 | 1.50 |
| 09/26/2018 0000000012992741 | GIPSON, DEBRA     | MF | FRANKLIN INCOME FUND CLASS C    | B | 500.00 | 5.00 | 0.00 | 5.00 | 90.0 | 4.50 |
| 09/26/2018 00067541249      | PATRICK, CHAD     | MF | THE GROWTH FUND OF AMERICA-529A | B | 75.00  | 3.19 | 0.00 | 3.19 | 90.0 | 2.87 |
| 09/26/2018 00067549730      | PATRICK, CHAD     | MF | THE GROWTH FUND OF AMERICA-529A | B | 75.00  | 3.19 | 0.00 | 3.19 | 90.0 | 2.87 |
| 10/01/2018 00068087475      | PULLIAM, RYAN     | MF | THE NEW ECONOMY FUND-529C       | B | 100.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| 10/01/2018 00068087476      | PULLIAM, RYAN     | MF | AMERICAN BALANCED FUND-529C     | B | 250.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 09/24/2018 00068424625      | GOWAN, MARY       | MF | AMERICAN BALANCED FUND-C        | B | 20.00  | 0.20 | 0.00 | 0.20 | 90.0 | 0.18 |
| 09/24/2018 00068424625      | GOWAN, MARY       | MF | AMERICAN BALANCED FUND-C        | B | 20.00  | 0.20 | 0.00 | 0.20 | 90.0 | 0.18 |
| 10/04/2018 00068424625      | GOWAN, MARY       | MF | AMERICAN BALANCED FUND-C        | B | 20.00  | 0.20 | 0.00 | 0.20 | 90.0 | 0.18 |
| 10/04/2018 00068424625      | GOWAN, MARY       | MF | AMERICAN BALANCED FUND-C        | B | 20.00  | 0.20 | 0.00 | 0.20 | 90.0 | 0.18 |
| 09/25/2018 00073739173      | BEARD, PATRICK    | MF | INVESTMENT COMPANY OF AMERICA   | B | 50.00  | 0.50 | 0.00 | 0.50 | 90.0 | 0.45 |
| 09/24/2018 00074694907      | REYNOLDS, BETHANY | MF | AMERICAN BALANCED FUND-C        | B | 100.87 | 1.01 | 0.00 | 1.01 | 90.0 | 0.91 |
| 09/24/2018 00074694907      | REYNOLDS, BETHANY | MF | AMERICAN BALANCED FUND-C        | B | 100.87 | 1.01 | 0.00 | 1.01 | 90.0 | 0.91 |
| 10/04/2018 00074694907      | REYNOLDS, BETHANY | MF | AMERICAN BALANCED FUND-C        | B | 100.87 | 1.01 | 0.00 | 1.01 | 90.0 | 0.91 |
| 10/04/2018 00074694907      | REYNOLDS, BETHANY | MF | AMERICAN BALANCED FUND-C        | B | 100.87 | 1.01 | 0.00 | 1.01 | 90.0 | 0.91 |
| 09/28/2018 00075317599      | COPELAND, SUSAN   | MF | AMERICAN BALANCED FUND-529A     | B | 50.00  | 1.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| 09/28/2018 00075317599      | COPELAND, SUSAN   | MF | FUNDAMENTAL INVESTORS-529A      | B | 50.00  | 1.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| 09/28/2018 00081948467      | EVANS, LULA       | MF | AMERICAN BALANCED FUND-A        | B | 35.79  | 0.72 | 0.00 | 0.72 | 90.0 | 0.65 |
| 09/28/2018 00081948467      | EVANS, LULA       | MF | AMERICAN BALANCED FUND-A        | B | 95.45  | 1.91 | 0.00 | 1.91 | 90.0 | 1.72 |
| 09/28/2018 00081948467      | EVANS, LULA       | MF | THE INCOME FUND OF AMERICA-A    | B | 6.32   | 0.13 | 0.00 | 0.13 | 90.0 | 0.12 |
| 09/28/2018 00081948467      | EVANS, LULA       | MF | THE INCOME FUND OF AMERICA-A    | B | 16.85  | 0.34 | 0.00 | 0.34 | 90.0 | 0.31 |
| 09/28/2018 00081948520      | WRIGHT, SHELIA    | MF | CAPITAL WORLD GROWTH AND INCOME | B | 28.12  | 0.56 | 0.00 | 0.56 | 90.0 | 0.50 |
| 09/28/2018 00081948520      | WRIGHT, SHELIA    | MF | CAPITAL WORLD GROWTH AND INCOME | B | 28.13  | 0.56 | 0.00 | 0.56 | 90.0 | 0.50 |
| 09/28/2018 00081948520      | WRIGHT, SHELIA    | MF | THE GROWTH FUND OF AMERICA-A    | B | 28.13  | 0.56 | 0.00 | 0.56 | 90.0 | 0.50 |
| 09/28/2018 00081948520      | WRIGHT, SHELIA    | MF | THE GROWTH FUND OF AMERICA-A    | B | 28.12  | 0.56 | 0.00 | 0.56 | 90.0 | 0.50 |
| 09/28/2018 00081948685      | SHELTON, LAURA    | MF | FUNDAMENTAL INVESTORS-A         | B | 11.57  | 0.23 | 0.00 | 0.23 | 90.0 | 0.21 |
| 09/28/2018 00081948685      | SHELTON, LAURA    | MF | FUNDAMENTAL INVESTORS-A         | B | 11.56  | 0.23 | 0.00 | 0.23 | 90.0 | 0.21 |
| 09/28/2018 00081948685      | SHELTON, LAURA    | MF | NEW PERSPECTIVE FUND-A          | B | 11.56  | 0.23 | 0.00 | 0.23 | 90.0 | 0.21 |
| 09/28/2018 00081948685      | SHELTON, LAURA    | MF | NEW PERSPECTIVE FUND-A          | B | 11.56  | 0.23 | 0.00 | 0.23 | 90.0 | 0.21 |

COMMISSION STATEMENT for ROBERT CALDWELL-D013

| TRADE DATE                | CLIENT         | INVESTMENT                        | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------|----------------|-----------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| 09/28/2018 00081948685    | SHELTON, LAURA | MF NEW WORLD FUND-A               | B   | 11.56                | 0.23                | 0.00               | 0.23              | 90.0 | 0.21                 |
| 09/28/2018 00081948685    | SHELTON, LAURA | MF NEW WORLD FUND-A               | B   | 11.56                | 0.23                | 0.00               | 0.23              | 90.0 | 0.21                 |
| 09/28/2018 00081948685    | SHELTON, LAURA | MF THE GROWTH FUND OF AMERICA-A   | B   | 11.56                | 0.23                | 0.00               | 0.23              | 90.0 | 0.21                 |
| 09/28/2018 00081948685    | SHELTON, LAURA | MF THE GROWTH FUND OF AMERICA-A   | B   | 11.57                | 0.23                | 0.00               | 0.23              | 90.0 | 0.21                 |
| 09/28/2018 00087734807    | JARRED, GINA   | MF AMERICAN BALANCED FUND-C       | B   | 97.72                | 0.98                | 0.00               | 0.98              | 90.0 | 0.88                 |
| 09/28/2018 00087734807    | JARRED, GINA   | MF AMERICAN BALANCED FUND-C       | B   | 29.32                | 0.29                | 0.00               | 0.29              | 90.0 | 0.26                 |
| 09/28/2018 00087734863    | WHITE, PEGGY   | MF AMERICAN BALANCED FUND-C       | B   | 37.69                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 09/28/2018 00087734863    | WHITE, PEGGY   | MF AMERICAN BALANCED FUND-C       | B   | 37.69                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 09/28/2018 00089597043    | MCINTOSH, GINA | MF GROWTH PORTFOLIO-C             | B   | 31.80                | 0.32                | 0.00               | 0.32              | 90.0 | 0.29                 |
| 09/28/2018 00089597043    | MCINTOSH, GINA | MF GROWTH PORTFOLIO-C             | B   | 31.80                | 0.32                | 0.00               | 0.32              | 90.0 | 0.29                 |
| 09/28/2018 00089696651    | ALEXANDER,     | MF CAPITAL INCOME BUILDER CLASS C | B   | 17.65                | 0.18                | 0.00               | 0.18              | 90.0 | 0.16                 |
| 09/28/2018 00089696651    | ALEXANDER,     | MF CAPITAL INCOME BUILDER CLASS C | B   | 10.59                | 0.11                | 0.00               | 0.11              | 90.0 | 0.10                 |
| 09/28/2018 00089696651    | ALEXANDER,     | MF INVESTMENT COMPANY OF AMERICA  | B   | 20.58                | 0.21                | 0.00               | 0.21              | 90.0 | 0.19                 |
| 09/28/2018 00089696651    | ALEXANDER,     | MF INVESTMENT COMPANY OF AMERICA  | B   | 12.35                | 0.12                | 0.00               | 0.12              | 90.0 | 0.11                 |
| 09/28/2018 00089696651    | ALEXANDER,     | MF THE GROWTH FUND OF AMERICA-C   | B   | 20.59                | 0.21                | 0.00               | 0.21              | 90.0 | 0.19                 |
| 09/28/2018 00089696651    | ALEXANDER,     | MF THE GROWTH FUND OF AMERICA-C   | B   | 12.35                | 0.12                | 0.00               | 0.12              | 90.0 | 0.11                 |
| 09/28/2018 00089696666    | STOOKSBERRY,   | MF AMERICAN BALANCED FUND-C       | B   | 82.50                | 0.83                | 0.00               | 0.83              | 90.0 | 0.75                 |
| 09/28/2018 00089696666    | STOOKSBERRY,   | MF AMERICAN BALANCED FUND-C       | B   | 82.50                | 0.83                | 0.00               | 0.83              | 90.0 | 0.75                 |
| 09/28/2018 00089696672    | LAMB, TERESA   | MF AMERICAN BALANCED FUND-C       | B   | 45.00                | 0.45                | 0.00               | 0.45              | 90.0 | 0.41                 |
| 09/28/2018 00089696672    | LAMB, TERESA   | MF AMERICAN BALANCED FUND-C       | B   | 45.00                | 0.45                | 0.00               | 0.45              | 90.0 | 0.41                 |
| 09/28/2018 00089788987    | GARGUS, LORI   | MF AMERICAN BALANCED FUND-C       | B   | 31.74                | 0.32                | 0.00               | 0.32              | 90.0 | 0.29                 |
| 09/28/2018 00089788987    | GARGUS, LORI   | MF AMERICAN BALANCED FUND-C       | B   | 31.74                | 0.32                | 0.00               | 0.32              | 90.0 | 0.29                 |
| 09/28/2018 00089980324    | SMITH, TRISHA  | MF AMERICAN BALANCED FUND-C       | B   | 29.64                | 0.30                | 0.00               | 0.30              | 90.0 | 0.27                 |
| 09/28/2018 00089980324    | SMITH, TRISHA  | MF AMERICAN BALANCED FUND-C       | B   | 29.64                | 0.30                | 0.00               | 0.30              | 90.0 | 0.27                 |
| 09/28/2018 04000412607    | HUFFSTETLER,   | MF AMERICAN BALANCED FUND-C       | B   | 90.00                | 0.90                | 0.00               | 0.90              | 90.0 | 0.81                 |
| 09/28/2018 04000412607    | HUFFSTETLER,   | MF AMERICAN BALANCED FUND-C       | B   | 90.00                | 0.90                | 0.00               | 0.90              | 90.0 | 0.81                 |
| * MUTUAL FUNDS SUBTOTAL * |                |                                   |     | \$3,477.44           | \$44.29             | \$0.00             | \$44.29           |      | \$39.90              |

PRODUCT CATEGORY: VARIABLE ANNUITIES

|                       |                    |                   |   |            |        |      |        |      |        |
|-----------------------|--------------------|-------------------|---|------------|--------|------|--------|------|--------|
| 09/30/2018 1011849420 | JACKMAN, JENNIFER  | VA PERSP L 08/11  | B | 69,021.42  | 57.52  | 0.00 | 57.52  | 90.0 | 51.77  |
| 09/30/2018 1011852102 | JACKMAN, JENNIFER  | VA ELITE ACCESS L | B | 22,755.53  | 18.96  | 0.00 | 18.96  | 90.0 | 17.06  |
| 09/30/2018 1012316590 | AVILA PENSION      | VA PERSP L 08/11  | B | 553,307.66 | 461.09 | 0.00 | 461.09 | 90.0 | 414.98 |
| 09/30/2018 1014122890 | LAMBERT, RONALD    | VA PERSP L 08/11  | B | 89,646.65  | 74.71  | 0.00 | 74.71  | 90.0 | 67.24  |
| 09/30/2018 1014231907 | UTLEY, MARTHA      | VA PERSP L 08/11  | B | 295,838.25 | 246.53 | 0.00 | 246.53 | 90.0 | 221.88 |
| 09/30/2018 1015402721 | LEFORGE, JUDY      | VA PERSP L 08/11  | B | 44,176.75  | 36.81  | 0.00 | 36.81  | 90.0 | 33.13  |
| 09/30/2018 1015649484 | WINTER, DONALD     | VA PERSP L 08/11  | B | 79,862.25  | 66.55  | 0.00 | 66.55  | 90.0 | 59.90  |
| 09/30/2018 1015919945 | NAVEL, FRIEDA      | VA PERSP L 08/11  | B | 37,926.14  | 31.61  | 0.00 | 31.61  | 90.0 | 28.45  |
| 09/30/2018 1016060638 | WILLIAMS, WILLIAM  | VA ELITE ACCESS   | B | 65,968.70  | 54.97  | 0.00 | 54.97  | 90.0 | 49.47  |
| 09/30/2018 1016060646 | WILLIAMS, WILLIAM  | VA ELITE ACCESS   | B | 102,918.01 | 85.77  | 0.00 | 85.77  | 90.0 | 77.19  |
| 09/30/2018 1016060760 | WILLIAMS, GLYNDA   | VA ELITE ACCESS   | B | 6,743.53   | 5.62   | 0.00 | 5.62   | 90.0 | 5.06   |
| 09/30/2018 1016122048 | WOODS, WILLIAM     | VA PERSP L 08/11  | B | 124,639.10 | 103.87 | 0.00 | 103.87 | 90.0 | 93.48  |
| 09/30/2018 1016747269 | BREEDEN TATE, MARY | VA ELITE ACCESS L | B | 88,062.71  | 73.39  | 0.00 | 73.39  | 90.0 | 66.05  |
| 09/30/2018 1016835974 | HOLLIDAY, REBECCA  | VA ELITE ACCESS L | B | 14,142.75  | 11.79  | 0.00 | 11.79  | 90.0 | 10.61  |
| 09/30/2018 1016922273 | WILLIAMS, BRYAN    | VA ELITE ACCESS L | B | 12,962.95  | 10.80  | 0.00 | 10.80  | 90.0 | 9.72   |

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|--|------------------------------|-------------------|-----|-----------------------|---------------------|--------------------|-------------------|------|----------------------|
| 09/30/2018                             | 1017566284 WOODS, WILLIAM    | VA ELITE ACCESS L | B   | 45,975.27             | 38.31               | 0.00               | 38.31             | 90.0 | 34.48                |
| 09/30/2018                             | 1018403044 WILLIAMS, CLAYTON | VA ELITE ACCESS L | B   | 9,957.88              | 8.30                | 0.00               | 8.30              | 90.0 | 7.47                 |
| 09/30/2018                             | 1018603060 MILTON, MARY      | VA PERSP L 08/11  | B   | 136,389.26            | 113.66              | 0.00               | 113.66            | 90.0 | 102.29               |
| 09/30/2018                             | 1018757199 STANBERY, DALLAS  | VA PERSP L 08/11  | B   | 166,043.83            | 138.37              | 0.00               | 138.37            | 90.0 | 124.53               |
| <b>* VARIABLE ANNUITIES SUBTOTAL *</b> |                              |                   |     | <b>\$1,966,338.64</b> | <b>\$1,638.63</b>   | <b>\$0.00</b>      | <b>\$1,638.63</b> |      | <b>\$1,474.76</b>    |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

|            |                               |                                     |   |      |        |      |        |      |        |
|------------|-------------------------------|-------------------------------------|---|------|--------|------|--------|------|--------|
| 09/30/2018 | (None) VARIOUS, CALDWELL      | MFT OPPENHEIMER                     | B | 0.00 | 139.50 | 0.00 | 139.50 | 90.0 | 125.55 |
| 09/30/2018 | (None) VARIOUS, CALDWELL      | MFT PACIFIC FUNDS 12B-1             | B | 0.00 | 0.15   | 0.00 | 0.15   | 90.0 | 0.14   |
| 10/01/2018 | 00001321372 GAYTON, JEFFREY   | MFT MFS EMERGING GROWTH FUND-B      | B | 0.00 | 15.90  | 0.00 | 15.90  | 90.0 | 14.31  |
| 10/01/2018 | 00060269714 WILSON, CINDY     | MFT MFS GROWTH ALLOCATION FUND-A    | B | 0.00 | 3.80   | 0.00 | 3.80   | 90.0 | 3.42   |
| 10/01/2018 | 00060381960 GUIDRY, L         | MFT MFS EMERGING GROWTH FUND CLASS  | B | 0.00 | 5.39   | 0.00 | 5.39   | 90.0 | 4.85   |
| 10/01/2018 | 00060452513 GAYTON, WILLIAM   | MFT MFS GROWTH ALLOCATION FUND-A    | B | 0.00 | 169.10 | 0.00 | 169.10 | 90.0 | 152.19 |
| 10/01/2018 | 00060469177 GAYTON, JEFFREY   | MFT MFS EMERGING GROWTH FUND CLASS  | B | 0.00 | 45.17  | 0.00 | 45.17  | 90.0 | 40.65  |
| 10/01/2018 | 00060469178 GAYTON, WILLIAM   | MFT MFS EMERGING GROWTH FUND CLASS  | B | 0.00 | 46.88  | 0.00 | 46.88  | 90.0 | 42.19  |
| 10/01/2018 | 00060476222 GAYTON, PHYLLIS   | MFT MFS MODERATE ALLOCATION FUND-A  | B | 0.00 | 51.78  | 0.00 | 51.78  | 90.0 | 46.60  |
| 10/01/2018 | 00060476222 GAYTON, PHYLLIS   | MFT MFS MODERATE ALLOCATION FUND-C  | B | 0.00 | 0.05   | 0.00 | 0.05   | 90.0 | 0.05   |
| 10/01/2018 | 00060476300 BAXTER, DEBORAH   | MFT MFS GROWTH ALLOCATION FUND-A    | B | 0.00 | 9.21   | 0.00 | 9.21   | 90.0 | 8.29   |
| 10/01/2018 | 00060476340 DZURIK, COLLEEN   | MFT MFS GROWTH ALLOCATION FUND-A    | B | 0.00 | 27.42  | 0.00 | 27.42  | 90.0 | 24.68  |
| 10/01/2018 | 00060513440 HANAFEE, CONRAD   | MFT MFS EMERGING GROWTH FUND CLASS  | B | 0.00 | 15.27  | 0.00 | 15.27  | 90.0 | 13.74  |
| 10/01/2018 | 00060513441 LAYLA JEAN        | MFT MFS EMERGING GROWTH FUND CLASS  | B | 0.00 | 7.37   | 0.00 | 7.37   | 90.0 | 6.63   |
| 10/01/2018 | 00060514214 HANAFEE, CONRAD   | MFT MASS INVESTORS GROWTH STOCK     | B | 0.00 | 30.32  | 0.00 | 30.32  | 90.0 | 27.29  |
| 10/01/2018 | 00060514215 LAYLA JEAN        | MFT MASS INVESTORS GROWTH STOCK     | B | 0.00 | 2.53   | 0.00 | 2.53   | 90.0 | 2.28   |
| 10/01/2018 | 00060515572 HANAFEE, CONRAD   | MFT MFS MID CAP GROWTH FUND-A       | B | 0.00 | 21.23  | 0.00 | 21.23  | 90.0 | 19.11  |
| 10/01/2018 | 00060515573 LAYLA JEAN        | MFT MFS MID CAP GROWTH FUND-A       | B | 0.00 | 10.62  | 0.00 | 10.62  | 90.0 | 9.56   |
| 10/01/2018 | 00060526191 WILLIAMSON,       | MFT MFS GROWTH ALLOCATION FUND-A    | B | 0.00 | 23.64  | 0.00 | 23.64  | 90.0 | 21.28  |
| 10/01/2018 | 00060527965 MUIR (A MINOR),   | MFT MASS INVESTORS GROWTH STOCK     | B | 0.00 | 2.69   | 0.00 | 2.69   | 90.0 | 2.42   |
| 10/01/2018 | 00060527966 MUIR (A MINOR),   | MFT MASS INVESTORS GROWTH STOCK     | B | 0.00 | 2.69   | 0.00 | 2.69   | 90.0 | 2.42   |
| 10/01/2018 | 00060566395 MUIR (A MINOR),   | MFT MFS VALUE FUND-A                | B | 0.00 | 2.73   | 0.00 | 2.73   | 90.0 | 2.46   |
| 10/01/2018 | 00060566397 MUIR (A MINOR),   | MFT MFS VALUE FUND-A                | B | 0.00 | 2.73   | 0.00 | 2.73   | 90.0 | 2.46   |
| 10/01/2018 | 00060587374 TAN, SOPHIA       | MFT MFS MID CAP GROWTH FUND-A       | B | 0.00 | 0.76   | 0.00 | 0.76   | 90.0 | 0.68   |
| 10/01/2018 | 00060587376 SOPHIA IRIS TAN   | MFT MFS MID CAP GROWTH FUND-A       | B | 0.00 | 0.48   | 0.00 | 0.48   | 90.0 | 0.43   |
| 10/01/2018 | 00060641941 MUIR (A MINOR),   | MFT MFS EMERGING GROWTH FUND CLASS  | B | 0.00 | 2.29   | 0.00 | 2.29   | 90.0 | 2.06   |
| 10/01/2018 | 00060641942 MUIR (A MINOR),   | MFT MFS EMERGING GROWTH FUND CLASS  | B | 0.00 | 2.29   | 0.00 | 2.29   | 90.0 | 2.06   |
| 10/01/2018 | 00060665850 GAYTON, WILLIAM   | MFT MFS GROWTH ALLOCATION FUND-A    | B | 0.00 | 12.53  | 0.00 | 12.53  | 90.0 | 11.28  |
| 10/05/2018 | 01486461963 GRIGGS, SHERRY    | MFT FIDELITY ADVISOR HEALTH CARE FD | B | 0.00 | 4.16   | 0.00 | 4.16   | 90.0 | 3.74   |
| 10/01/2018 | 03909091179 DATUIN, MARIA     | MFT AIM CHARTER FUND - CLASS A      | B | 0.00 | 1.52   | 0.00 | 1.52   | 90.0 | 1.37   |
| 10/01/2018 | 03909091179 DATUIN, MARIA     | MFT INVESCO AMERICAN FRANCHISE FUND | B | 0.00 | 1.59   | 0.00 | 1.59   | 90.0 | 1.43   |
| 10/01/2018 | 05028463692 STANBERY UTMA/TN, | MFT AIM GLOBAL EQUITY FUND - CLASS  | B | 0.00 | 1.11   | 0.00 | 1.11   | 90.0 | 1.00   |
| 10/01/2018 | 08188090716 WILSON, ASHLEY    | MFT MFS GROWTH ALLOCATION FUND-A    | B | 0.00 | 2.02   | 0.00 | 2.02   | 90.0 | 1.82   |
| 10/01/2018 | 08188962961 SMITH REMODELING  | MFT MFS MODERATE ALLOCATION FUND-C  | B | 0.00 | 0.66   | 0.00 | 0.66   | 90.0 | 0.59   |
| 10/01/2018 | 08188962965 SMITH REMODELING  | MFT MFS GROWTH ALLOCATION FUND-C    | B | 0.00 | 0.94   | 0.00 | 0.94   | 90.0 | 0.85   |
| 10/01/2018 | 08189050690 STANBERY UTMA/TN, | MFT MFS GROWTH ALLOCATION FUND-A    | B | 0.00 | 2.10   | 0.00 | 2.10   | 90.0 | 1.89   |
| 10/01/2018 | 08189829384 JANE LIPSHIE      | MFT MFS MODERATE ALLOCATION FUND-A  | B | 0.00 | 10.93  | 0.00 | 10.93  | 90.0 | 9.84   |

COMMISSION STATEMENT for ROBERT CALDWELL-D013

| TRADE DATE                                     | CLIENT            | INVESTMENT                         | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------|------------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| 10/01/2018 08189841213                         | GAYTON, PHYLLIS   | MFT MFS MODERATE ALLOCATION FUND-B | B   | 0.00                 | 17.89               | 0.00               | 17.89             | 90.0 | 16.10                |
| 10/01/2018 08189841221                         | GAYTON, WILLIAM   | MFT MFS GROWTH ALLOCATION FUND-C   | B   | 0.00                 | 139.98              | 0.00               | 139.98            | 90.0 | 125.98               |
| 10/01/2018 08189914268                         | LIPSHIE BENE,     | MFT MFS GROWTH ALLOCATION FUND-A   | B   | 0.00                 | 12.28               | 0.00               | 12.28             | 90.0 | 11.05                |
| 10/04/2018 IRK121025                           | DILIGENCE         | MFT 8504AFRKD                      | B   | 0.00                 | 16.75               | 0.00               | 16.75             | 90.0 | 15.08                |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *           |                   |                                    |     | \$0.00               | \$866.45            | \$0.00             | \$866.45          |      | \$779.82             |
| PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS |                   |                                    |     |                      |                     |                    |                   |      |                      |
| 09/28/2018 (None)                              | VARIOUS, CALDWELL | VAT PRUDENTIAL LIFE                | B   | 0.00                 | 4,511.56            | 0.00               | 4,511.56          | 90.0 | 4,060.40             |
| 09/30/2018 (None)                              | VARIOUS, CALDWELL | VAT TALCOTT RESOLUTION             | B   | 0.00                 | 69.74               | 0.00               | 69.74             | 90.0 | 62.77                |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *      |                   |                                    |     | \$0.00               | \$4,581.30          | \$0.00             | \$4,581.30        |      | \$4,123.17           |
| *** DIRECT TRANSACTIONS TOTAL ***              |                   |                                    |     | \$1,969,816.08       | \$7,130.67          | \$0.00             | \$7,130.67        |      | \$6,417.65           |

BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$6,417.65 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$0.00     |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$-35.18   |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

|                          |             |
|--------------------------|-------------|
| Net Commissions          | \$6,382.47  |
| Year-to-date Commissions | \$49,707.07 |