

COMMISSION STATEMENT November 30, 2018

 RICK HAVARD-D361
 1600 Stillhouse Hollow

 BROKER #: D361
 BRANCH: DMN

Prosper, TX 75078

COMMISSION STATEMENT for RICK HAVARD-D361

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
CLEARING TRANSACTIONS									
PRODUCT CATEGORY: STOCKS									
11/14/2018	707163953	LIVING TRUST, THE	S	ALASKA AIR GROUP INC	S	2,148.43	-83.52	-15.00	-68.52 90.0 -61.67
11/14/2018	707163953	LIVING TRUST, THE	S	ALASKA AIR GROUP INC	S	-2,148.43	83.52	15.00	68.52 90.0 61.67
11/14/2018	707163953	LIVING TRUST, THE	S	ALASKA AIR GROUP INC	S	-2,216.95	15.00	15.00	0.00 90.0 0.00
11/14/2018	707163953	LIVING TRUST, THE	S	CANON INCORPORATED-SPONS ADR	B	-2,077.37	-79.92	-15.00	-64.92 90.0 -58.43
11/14/2018	707163953	LIVING TRUST, THE	S	CANON INCORPORATED-SPONS ADR	B	2,077.37	79.92	15.00	64.92 90.0 58.43
11/14/2018	707163953	LIVING TRUST, THE	S	CANON INCORPORATED-SPONS ADR	B	2,012.45	15.00	15.00	0.00 90.0 0.00
11/14/2018	707163953	LIVING TRUST, THE	S	CROCS INC	S	652.02	-60.00	-15.00	-45.00 90.0 -40.50
11/14/2018	707163953	LIVING TRUST, THE	S	CROCS INC	S	-652.02	60.00	15.00	45.00 90.0 40.50
11/14/2018	707163953	LIVING TRUST, THE	S	CROCS INC	S	-697.02	15.00	15.00	0.00 90.0 0.00
11/14/2018	707163953	LIVING TRUST, THE	S	MOLSON COORS BREWING CO-CL B	B	-2,076.91	-79.92	-15.00	-64.92 90.0 -58.43
11/14/2018	707163953	LIVING TRUST, THE	S	MOLSON COORS BREWING CO-CL B	B	2,076.91	79.92	15.00	64.92 90.0 58.43
11/14/2018	707163953	LIVING TRUST, THE	S	MOLSON COORS BREWING CO-CL B	B	2,011.99	15.00	15.00	0.00 90.0 0.00
11/14/2018	707163953	LIVING TRUST, THE	S	SOUTHWEST AIRLINES COMPANY	S	1,768.15	-77.73	-15.00	-62.73 90.0 -56.46
11/14/2018	707163953	LIVING TRUST, THE	S	SOUTHWEST AIRLINES COMPANY	S	-1,768.15	77.73	15.00	62.73 90.0 56.46
11/14/2018	707163953	LIVING TRUST, THE	S	SOUTHWEST AIRLINES COMPANY	S	-1,830.88	15.00	15.00	0.00 90.0 0.00
11/14/2018	707163953	LIVING TRUST, THE	S	STANLEY BLACK & DECKER INC	S	1,790.44	-78.06	-15.00	-63.06 90.0 -56.75
11/14/2018	707163953	LIVING TRUST, THE	S	STANLEY BLACK & DECKER INC	S	-1,790.44	78.06	15.00	63.06 90.0 56.75
11/14/2018	707163953	LIVING TRUST, THE	S	STANLEY BLACK & DECKER INC	S	-1,853.50	15.00	15.00	0.00 90.0 0.00
11/14/2018	707163953	LIVING TRUST, THE	S	TESLA INC FORMERLY TESLA MOTORS	S	615.58	-60.00	-15.00	-45.00 90.0 -40.50
11/14/2018	707163953	LIVING TRUST, THE	S	TESLA INC FORMERLY TESLA MOTORS	S	-615.58	60.00	15.00	45.00 90.0 40.50
11/14/2018	707163953	LIVING TRUST, THE	S	TESLA INC FORMERLY TESLA MOTORS	S	-660.58	15.00	15.00	0.00 90.0 0.00
* STOCKS SUBTOTAL *				\$-3,234.49	\$105.00	\$105.00	\$0.00	\$0.00	

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

11/21/2018	mfc307137	VARIOUS,	MFT AMERICAN MUTUAL FUND-A	B	0.00	14.41	0.00	14.41 90.0 12.97
11/21/2018	mfc307137	VARIOUS,	MFT API MULTI-ASSET INCOME FD L	B	0.00	24.04	0.00	24.04 90.0 21.64
11/21/2018	mfc307137	VARIOUS,	MFT API MULTI-ASSET INCOME FD L	B	0.00	36.83	0.00	36.83 90.0 33.15
11/21/2018	mfc307137	VARIOUS,	MFT BLACKROCK MULTI-ASSET INCOME FD B	B	0.00	17.73	0.00	17.73 90.0 15.96
11/21/2018	mfc307137	VARIOUS,	MFT BLACKROCK MULTI-ASSET INCOME FD B	B	0.00	18.48	0.00	18.48 90.0 16.63
11/21/2018	mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD B	B	0.00	17.78	0.00	17.78 90.0 16.00
11/21/2018	mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD B	B	0.00	18.09	0.00	18.09 90.0 16.28

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11/21/2018	mfc307137 VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD	B	0.00	18.28	0.00	18.28	90.0	16.45
11/21/2018	mfc307137 VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD	B	0.00	18.86	0.00	18.86	90.0	16.97
11/21/2018	mfc307137 VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD	B	0.00	34.99	0.00	34.99	90.0	31.49
11/21/2018	mfc307137 VARIOUS,	MFT BLACKROCK EQUITY DIVIDEND FD C	B	0.00	16.17	0.00	16.17	90.0	14.55
11/21/2018	mfc307137 VARIOUS,	MFT CALAMOS GROWTH AND INCOME CLASS	B	0.00	3.38	0.00	3.38	90.0	3.04
11/21/2018	mfc307137 VARIOUS,	MFT THE INVESTMENT COMPANY OF	B	0.00	18.92	0.00	18.92	90.0	17.03
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$257.96	\$0.00	\$257.96		\$232.16
*** CLEARING TRANSACTIONS TOTAL ***				\$-3,234.49	\$362.96	\$105.00	\$257.96		\$232.16

DIRECT TRANSACTIONSPRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

11/09/2018	(None) MARINER, KATHLEEN	VAT TRANSAMERICA LIFE	B	0.00	5.07	0.00	5.07	90.0	4.56
11/09/2018	(None) KAHANEK, SHARON	VAT TRANSAMERICA LIFE	B	0.00	182.89	0.00	182.89	90.0	164.60
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$187.96	\$0.00	\$187.96		\$169.16
*** DIRECT TRANSACTIONS TOTAL ***				\$0.00	\$187.96	\$0.00	\$187.96		\$169.16

ADJUSTMENTS TRANSACTIONSBROKER: #0

11/30/2018	:	BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
11/30/2018	:	E&O		0.00	0.00	0.00	0.00		-130.00
11/30/2018	:	E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
11/30/2018	:	FINRA MEMBER DISC PROC FEE		0.00	0.00	0.00	0.00		-110.00
11/30/2018	:	SHAREFILE		0.00	0.00	0.00	0.00		-13.00
* SUBTOTAL *				\$0.00	\$0.00	\$0.00	\$0.00		\$-308.00
*** ADJUSTMENTS TRANSACTIONS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-308.00

BROKER COMMISSION TOTALS

Broker Transactions	\$401.32
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-308.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$93.32
Year-to-date Commissions	\$71,415.56