

COMMISSION STATEMENT September 30, 2018

RIX SMITH-D063
 9000 Highway 2147 West
 Suite 201
 Horseshoe Bay, TX 78657

BROKER #: D063
 BRANCH: DMA

COMMISSION STATEMENT for RIX SMITH-D063

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
CLEARING TRANSACTIONS											
PRODUCT CATEGORY: MUTUAL FUNDS											
09/26/2018	676349914	SMITH TTEE, RIX	MF	INVESCO SHIPPING EFT	S	-3,045.51	15.00	15.00	0.00	48.0	0.00
* MUTUAL FUNDS SUBTOTAL *						\$-3,045.51	\$15.00	\$15.00	\$0.00		\$0.00
PRODUCT CATEGORY: STOCKS											
09/07/2018	337638022	HARPER, ELAINE	S	ENBRIDGE INC ISIN CA29250N1050	B	8,489.93	85.00	15.00	70.00	48.0	33.60
09/07/2018	337638022	HARPER, ELAINE	S	EXXON-MOBIL CORPORATION	S	-38,000.95	240.00	15.00	225.00	48.0	108.00
09/07/2018	337638022	HARPER, ELAINE	S	INTL BUSINESS MACHINES INC	S	-21,614.77	200.00	15.00	185.00	48.0	88.80
09/07/2018	337638022	HARPER, ELAINE	S	KINDER MORGAN INC	B	8,941.80	90.00	15.00	75.00	48.0	36.00
09/07/2018	337638022	HARPER, ELAINE	S	UNITEDHEALTH GROUP INC CHANGE	S	-35,991.97	250.00	15.00	235.00	48.0	112.80
09/07/2018	337638022	HARPER, ELAINE	S	WELLTOWER INC	B	33,446.45	200.00	15.00	185.00	48.0	88.80
09/07/2018	368318726	ALARCON, EDWARD	S	INVESCO S&P 500 EQUAL WEIGHT	S	-33,223.32	20.00	15.00	5.00	48.0	2.40
08/30/2018	676349914	SMITH TTEE, RIX	S	SEMGROUP CORP-CLASS A	B	2,466.95	15.00	15.00	0.00	48.0	0.00
09/18/2018	676349914	SMITH TTEE, RIX	S	TRINITY INDUSTRIES INC	S	-3,657.51	15.00	15.00	0.00	48.0	0.00
09/25/2018	676349914	SMITH TTEE, RIX	S	ARGAN INC	B	4,337.45	15.00	15.00	0.00	48.0	0.00
09/25/2018	676349914	SMITH TTEE, RIX	S	DOMINION RESOURCES INC/VA NEW	B	3,508.40	15.00	15.00	0.00	48.0	0.00
09/26/2018	676349914	SMITH TTEE, RIX	S	ENBRIDGE INC ISIN CA29250N1050	B	4,892.26	15.00	15.00	0.00	48.0	0.00
09/26/2018	676349914	SMITH TTEE, RIX	S	KINDER MORGAN INC	S	-3,524.78	15.00	15.00	0.00	48.0	0.00
* STOCKS SUBTOTAL *						\$-69,930.06	\$1,175.00	\$195.00	\$980.00		\$470.40
PRODUCT CATEGORY: BONDS											
09/19/2018	338752694	HOGAN-SCHNEIDER	B	COPPERAS COVE TX COMB TAX REV	B	35,189.12	350.00	15.00	335.00	48.0	160.80
09/12/2018	676349914	SMITH TTEE, RIX	B	NEW BRAUNFELS TEX INDPT SCH DI	B	24,992.03	25.00	15.00	10.00	48.0	4.80
09/17/2018	677238568	SCHNEIDER, LAURA	B	GALVESTON TX INDEPENDENT SCHOOL	B	40,162.45	250.00	15.00	235.00	48.0	112.80
* BONDS SUBTOTAL *						\$100,343.60	\$625.00	\$45.00	\$580.00		\$278.40
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
09/21/2018	mfc595454	SMITH RIX 595454	MFT	DEVELOPING WORLD GROWTH &	B	0.00	0.53	0.00	0.53	48.0	0.25
09/21/2018	mfc595454	SMITH RIX 595454	MFT	LORD ABBETT SHORT DURATION	B	0.00	1.59	0.00	1.59	48.0	0.76
09/21/2018	mfc595454	SMITH RIX 595454	MFT	TEMP FRGN FND - CL A	B	0.00	1.79	0.00	1.79	48.0	0.86
09/21/2018	mfc595454	SMITH RIX 595454	MFT	THE INCOME FUND OF AMERICA-A	B	0.00	3.31	0.00	3.31	48.0	1.59
09/24/2018	mfc595454	SMITH RIX 595454	MFT	DEVELOPING WORLD GROWTH &	B	0.00	0.49	0.00	0.49	48.0	0.24
09/24/2018	mfc595454	SMITH RIX 595454	MFT	LORD ABBETT SHORT DURATION	B	0.00	1.49	0.00	1.49	48.0	0.72

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09/24/2018	mfc595454 SMITH RIX 595454	MFT TEMP FRGN FND - CL A	B	0.00	1.66	0.00	1.66	48.0	0.80
09/24/2018	mfc595454 SMITH RIX 595454	MFT THE INCOME FUND OF AMERICA-A	B	0.00	3.12	0.00	3.12	48.0	1.50
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$13.98	\$0.00	\$13.98		\$6.72
*** CLEARING TRANSACTIONS TOTAL ***				\$27,368.03	\$1,828.98	\$255.00	\$1,573.98		\$755.52

SPLIT TRANSACTIONS**BROKER: RIX/RANDY SMITH/SMITH-D081 #80**

09/11/2018	676365887 SMITH, RANDALL	S	SUNOCO LP	B	9,729.88	20.00	7.50	12.50	6.00
09/12/2018	676346300 SMITH TTEE, RONALD	B	NEW BRAUNFELS TEX INDPT SCH DI	B	12,546.02	62.50	7.50	55.00	26.40
09/17/2018	676346300 SMITH TTEE, RONALD	B	COLLEGE STATION TX GO IMPT &	B	7,486.40	75.00	7.50	67.50	32.40
09/04/2018	676356642 SMITH, RANDALL	B	SEGUIN TEX GO BDS 2014 CPN: 4%	B	13,118.30	125.00	7.50	117.50	56.40
09/21/2018	mfc913901 SMITH 913901		MFT CAPITAL INCOME BUILDER-A	B	0.00	1.73	0.00	1.73	0.83
09/21/2018	mfc913901 SMITH 913901		MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.11	0.00	2.11	1.01
09/21/2018	mfc913901 SMITH 913901		MFT FUNDAMENTAL INVESTORS-A	B	0.00	3.17	0.00	3.17	1.52
09/21/2018	mfc913901 SMITH 913901		MFT GLOBAL BALANCED FUND-A	B	0.00	4.54	0.00	4.54	2.18
09/21/2018	mfc913901 SMITH 913901		MFT INTERNATIONAL GROWTH AND	B	0.00	4.63	0.00	4.63	2.22
09/21/2018	mfc913901 SMITH 913901		MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.84	0.00	0.84	0.40
09/24/2018	mfc913901 SMITH 913901		MFT CAPITAL INCOME BUILDER-A	B	0.00	1.63	0.00	1.63	0.78
09/24/2018	mfc913901 SMITH 913901		MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	1.97	0.00	1.97	0.95
09/24/2018	mfc913901 SMITH 913901		MFT FUNDAMENTAL INVESTORS-A	B	0.00	2.98	0.00	2.98	1.43
09/24/2018	mfc913901 SMITH 913901		MFT GLOBAL BALANCED FUND-A	B	0.00	4.24	0.00	4.24	2.04
09/24/2018	mfc913901 SMITH 913901		MFT INTERNATIONAL GROWTH AND	B	0.00	4.30	0.00	4.30	2.06
09/24/2018	mfc913901 SMITH 913901		MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.80	0.00	0.80	0.38
* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *				\$42,880.60	\$315.44	\$30.00	\$285.44		\$137.00
*** SPLIT TRANSACTIONS TOTAL ***				\$42,880.60	\$315.44	\$30.00	\$285.44		\$137.00

ADJUSTMENTS TRANSACTIONS**BROKER: #0**

09/30/2018		:	MONEY MARKET TRAILS		0.00	0.00	0.00	0.00	740.22
* SUBTOTAL *					\$0.00	\$0.00	\$0.00	\$0.00	\$740.22
*** ADJUSTMENTS TRANSACTIONS TOTAL ***					\$0.00	\$0.00	\$0.00	\$0.00	\$740.22

BROKER COMMISSION TOTALS

Broker Transactions	\$755.52
Split Transactions	\$137.00
Override Transactions	\$0.00
Adjustments	\$740.22
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$1,632.74
Year-to-date Commissions	\$15,758.20