

COMMISSION STATEMENT

January 31, 2018

RIX SMITH-D063

BROKER #: D063

BRANCH: DMA

, TX

COMMISSION STATEMENT for RIX SMITH-D063

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>									
01/12/2018	337638022	HARPER, ELAINE	S	ARCHER-DANIELS-MIDLAND CO	B	4,090.25	50.00	15.00	35.00 48.0 16.80
01/12/2018	337638022	HARPER, ELAINE	S	GENERAL ELECTRIC COMPANY	B	4,774.70	50.00	15.00	35.00 48.0 16.80
01/02/2018	368318726	ALARCON, EDWARD	S	GUGGENHEIM S&P 500 EQUAL WEIGHT	B	13,655.65	20.00	15.00	5.00 48.0 2.40
01/02/2018	368318726	ALARCON, EDWARD	S	VANGUARD CONSUMER STAPLES ETF	B	14,638.45	20.00	15.00	5.00 48.0 2.40
12/29/2017	368492011	COLLIER, MARK	S	DINEEQUITY INC	B	7,772.95	125.00	15.00	110.00 48.0 52.80
12/29/2017	368492011	COLLIER, MARK	S	VALERO ENERGY CORP	S	-9,243.45	25.00	15.00	10.00 48.0 4.80
01/09/2018	676349914	SMITH TTEE, RIX	S	FLUOR CORP NEW	B	5,399.35	18.00	15.00	3.00 48.0 1.44
01/11/2018	676349914	SMITH TTEE, RIX	S	HOLLYFRONTIER CORP	S	-5,120.44	18.00	15.00	3.00 48.0 1.44
01/11/2018	676349914	SMITH TTEE, RIX	S	KOHL'S CORP	S	-6,064.42	15.00	15.00	0.00 48.0 0.00
01/16/2018	676349914	SMITH TTEE, RIX	S	FIRST TRUST ISE GLOBAL EMGIN	B	6,215.35	15.00	15.00	0.00 48.0 0.00
01/16/2018	676349914	SMITH TTEE, RIX	S	GENERAL ELECTRIC COMPANY	B	3,662.45	15.00	15.00	0.00 48.0 0.00
01/25/2018	676349914	SMITH TTEE, RIX	S	NEWELL BRANDS, INC FORMERLY	B	2,478.45	15.00	15.00	0.00 48.0 0.00
01/26/2018	677511653	SMITH, DEBORAH	S	CLAYMORE DELTA GLOBAL SHIP ETF	B	3,701.42	15.00	15.00	0.00 48.0 0.00
01/03/2018	677622454	CRANE, CARL	S	ARCHER-DANIELS-MIDLAND CO	B	4,012.12	18.00	15.00	3.00 48.0 1.44
				* STOCKS SUBTOTAL *		\$49,972.83	\$419.00	\$210.00	\$209.00 \$100.32
<u>PRODUCT CATEGORY: BONDS</u>									
01/19/2018	338752694	HOGAN-SCHNEIDER	B	COLLEGE STATION TEX	B	50,660.78	375.00	15.00	360.00 48.0 172.80
01/19/2018	677238568	SCHNEIDER, LAURA	B	COLLEGE STATION TEX	B	50,660.78	375.00	15.00	360.00 48.0 172.80
				* BONDS SUBTOTAL *		\$101,321.56	\$750.00	\$30.00	\$720.00 \$345.60
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
01/23/2018	mfc595454	SMITH RIX 595454	MFT DEVELOPING WORLD GROWTH &	B	0.00	1.11	0.00	1.11	48.0 0.53
01/23/2018	mfc595454	SMITH RIX 595454	MFT LORD ABBETT SHORT DURATION	B	0.00	3.14	0.00	3.14	48.0 1.51
01/23/2018	mfc595454	SMITH RIX 595454	MFT TEMP FRGN FND - CL A	B	0.00	3.54	0.00	3.54	48.0 1.70
01/23/2018	mfc595454	SMITH RIX 595454	MFT THE INCOME FUND OF AMERICA-A	B	0.00	6.51	0.00	6.51	48.0 3.12
				* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$14.30	\$0.00	\$14.30 \$6.86
				*** CLEARING TRANSACTIONS TOTAL ***		\$151,294.39	\$1,183.30	\$240.00	\$943.30 \$452.78

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SPLIT TRANSACTIONS										
BROKER: RIX/RANDY SMITH/SMITH-D081 #80										
01/04/2018	676365887	SMITH, RANDALL	S	CUSIP 3494257B8	B	12,571.02	125.00	7.50	117.50	56.40
01/11/2018	676365887	SMITH, RANDALL	S	NATIONAL GRID	B	10,014.73	17.50	7.50	10.00	4.80
01/04/2018	492642424	MCELROY TTEE, LETHA	B	AUSTIN TEXAS COMMUNITY COLLEGE	B	17,664.31	175.00	7.50	167.50	80.40
01/11/2018	492642424	MCELROY TTEE, LETHA	B	AUSTIN TX COM COLLEGE DIST	B	10,143.15	100.00	7.50	92.50	44.40
01/11/2018	492642424	MCELROY TTEE, LETHA	B	TEXAS A&M UNIVERSITY	B	7,675.04	75.00	7.50	67.50	32.40
01/17/2018	492642424	MCELROY TTEE, LETHA	B	KLEIN TX ISD	B	12,431.25	125.00	7.50	117.50	56.40
01/17/2018	492642424	MCELROY TTEE, LETHA	B	SHELDON TX ISD ULTD TAX SCH	B	12,501.23	125.00	7.50	117.50	56.40
01/22/2018	492642424	MCELROY TTEE, LETHA	B	COLLEGE STATION TEX	B	25,332.48	187.50	7.50	180.00	86.40
01/25/2018	492642424	MCELROY TTEE, LETHA	B	CITY OF SAN ANTONIO TEXAS	B	12,379.57	93.75	7.50	86.25	41.40
01/08/2018	676365887	SMITH, RANDALL	B	CUSIP 8800642R0	B	10,002.89	100.00	7.50	92.50	44.40
01/12/2018	676365887	SMITH, RANDALL	B	WACO TEXAS	B	17,690.64	175.00	7.50	167.50	80.40
01/17/2018	676365887	SMITH, RANDALL	B	KLEIN TX ISD	B	12,431.25	125.00	7.50	117.50	56.40
01/17/2018	676365887	SMITH, RANDALL	B	SHELDON TX ISD ULTD TAX SCH	B	12,501.23	125.00	7.50	117.50	56.40
01/22/2018	676365887	SMITH, RANDALL	B	COLLEGE STATION TEX	B	12,666.85	93.75	7.50	86.25	41.40
01/22/2018	799051949	WARREN (TOD), JANET	B	COLLEGE STATION TEX	B	12,666.85	93.75	7.50	86.25	41.40
01/23/2018	mfc913901	SMITH 913901		MFT AMERICAN BALANCED FUND-A	B	0.00	10.55	0.00	10.55	5.06
01/23/2018	mfc913901	SMITH 913901		MFT CAPITAL INCOME BUILDER-A	B	0.00	3.50	0.00	3.50	1.68
01/23/2018	mfc913901	SMITH 913901		MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	4.15	0.00	4.15	1.99
01/23/2018	mfc913901	SMITH 913901		MFT FUNDAMENTAL INVESTORS-A	B	0.00	2.16	0.00	2.16	1.04
01/23/2018	mfc913901	SMITH 913901		MFT FUNDAMENTAL INVESTORS-A	B	0.00	6.10	0.00	6.10	2.93
01/23/2018	mfc913901	SMITH 913901		MFT GLOBAL BALANCED FUND-A	B	0.00	8.73	0.00	8.73	4.19
01/23/2018	mfc913901	SMITH 913901		MFT INTERNATIONAL GROWTH AND	B	0.00	8.99	0.00	8.99	4.32
01/23/2018	mfc913901	SMITH 913901		MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.51	0.00	1.51	0.72
01/23/2018	mfc913901	SMITH 913901		MFT THE INVESTMENT COMPANY OF	B	0.00	1.40	0.00	1.40	0.67
* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *						\$198,672.49	\$1,783.34	\$112.50	\$1,670.84	\$802.00
*** SPLIT TRANSACTIONS TOTAL ***						\$198,672.49	\$1,783.34	\$112.50	\$1,670.84	\$802.00
REP LINK TRANSACTIONS										
BROKER: RIX SMITH-D091 #105										
01/11/2018	491460657	MOORES, MICHAEL	S	ANWORTH MORTGAGE ASSET CORP	S	26,550.94	-18.00	-15.00	-3.00	-1.44
01/11/2018	491460657	MOORES, MICHAEL	S	ANWORTH MORTGAGE ASSET CORP	S	-26,550.94	18.00	15.00	3.00	1.44
01/11/2018	491460657	MOORES, MICHAEL	S	ANWORTH MORTGAGE ASSET CORP	S	-26,550.94	18.00	15.00	3.00	1.44
01/11/2018	491460657	MOORES, MICHAEL	S	SUNOCO LOGISTICS ETP	B	78,420.05	18.00	15.00	3.00	1.44
01/22/2018	491460657	MOORES, MICHAEL	S	FRONTIER COMM CORP	B	-14,236.79	-15.00	-15.00	0.00	0.00
01/22/2018	491460657	MOORES, MICHAEL	S	FRONTIER COMM CORP	B	14,236.79	15.00	15.00	0.00	0.00
01/22/2018	491460657	MOORES, MICHAEL	S	FRONTIER COMM CORP	B	14,236.79	15.00	15.00	0.00	0.00
01/17/2018	430235249	KANE, STEVEN	B	UNITED STATES TREASURY BILLS	B	138,945.40	25.00	25.00	0.00	0.00
* RIX SMITH-D091 SUBTOTAL *						\$205,051.30	\$76.00	\$70.00	\$6.00	\$2.88

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*** REP LINK TRANSACTIONS TOTAL ***				\$205,051.30	\$76.00	\$70.00	\$6.00		\$2.88

ADJUSTMENTS

01/31/2018	:	EXTENDED SETTLEMENT		0.00	0.00	0.00	0.00		-240.00
01/31/2018	:	MONEY MARKET TRAILS		0.00	0.00	0.00	0.00		788.99
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$548.99

BROKER COMMISSION TOTALS

Broker Transactions	\$455.66
Split Transactions	\$802.00
Override Transactions	\$0.00
Adjustments	\$548.99
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$1,806.65
Year-to-date Commissions	\$3,657.56