

COMMISSION STATEMENT

October 15, 2018

RANDY SMITH-D601

BROKER #: D601

BRANCH: DMA

, TX

COMMISSION STATEMENT for RANDY SMITH-D601

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
DIRECT TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
09/27/2018	00084947333	JOHN J FINN CUST, MF	THE NEW ECONOMY FUND-C	B	100.00	1.00	0.00	1.00	20.0	0.20
09/27/2018	04000149886	JOHN J FINN CUST, MF	AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	20.0	0.40
09/28/2018	04000149886	JOHN J FINN CUST, MF	AMERICAN BALANCED FUND-A	B	50.00	1.00	0.00	1.00	20.0	0.20
10/01/2018	08190128650	JOHN J FINN JR MF	MFS MID CAP GROWTH FUND-C	B	50.00	0.50	0.00	0.50	20.0	0.10
09/27/2018	08190129110	PEYTON O LEBLANC, MF	MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50	20.0	0.10
09/27/2018	08190129112	SARA E CANCIENNE, MF	MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50	20.0	0.10
09/27/2018	08190129113	LILLY M SUTTON MF	MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50	20.0	0.10
09/27/2018	08191029111	PRESLIE G LEBLANC MF	MFS GROWTH FUND-C	B	100.00	1.00	0.00	1.00	20.0	0.20
09/27/2018	08191270658	BEAU OUTLAW, JOHN MF	MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50	20.0	0.10
* MUTUAL FUNDS SUBTOTAL *					\$600.00	\$7.50	\$0.00	\$7.50	\$1.50	

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/01/2018	00060644298	NOLTING, EVELYN	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	6.80	0.00	6.80	20.0	1.36
10/01/2018	00060644300	WARNIE, BARBARA	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	20.94	0.00	20.94	20.0	4.19
10/01/2018	00060644347	FINN, JOHN	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	54.32	0.00	54.32	20.0	10.86
10/01/2018	00060644355	FINN, CONNOR	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	0.77	0.00	0.77	20.0	0.15
10/01/2018	00060644365	JANICE K BARDEN	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	31.76	0.00	31.76	20.0	6.35
10/01/2018	00060644366	CALIVA, CAROLINE	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	4.94	0.00	4.94	20.0	0.99
10/01/2018	00060655204	CORBETT LIVING	MFT MFS UTILITIES FUND-A	B	0.00	0.26	0.00	0.26	20.0	0.05
10/01/2018	00060655688	NOLTING, EVELYN	MFT MFS UTILITIES FUND-A	B	0.00	4.45	0.00	4.45	20.0	0.89
10/01/2018	00060655689	WARNIE, BARBARA	MFT MFS UTILITIES FUND-A	B	0.00	8.91	0.00	8.91	20.0	1.78
10/01/2018	00060656331	SASSEN, JOHN	MFT MFS INTERNATIONAL NEW DISCOVERY	B	0.00	12.24	0.00	12.24	20.0	2.45
10/01/2018	00060656387	DELSA, SUZANNE	MFT MFS INTERNATIONAL NEW DISCOVERY	B	0.00	1.24	0.00	1.24	20.0	0.25
10/01/2018	00060656420	COCKERHAM, CAROL	MFT MFS INTERNATIONAL NEW DISCOVERY	B	0.00	2.76	0.00	2.76	20.0	0.55
10/01/2018	00060656532	COCKERHAM, CAROL	MFT MFS INTERNATIONAL NEW DISCOVERY	B	0.00	38.79	0.00	38.79	20.0	7.76
10/01/2018	00060657469	WARNIE, BARBARA	MFT MFS MID CAP GROWTH FUND-A	B	0.00	19.82	0.00	19.82	20.0	3.96
10/01/2018	00060657481	JANICE K BARDEN	MFT MFS MID CAP GROWTH FUND-A	B	0.00	30.51	0.00	30.51	20.0	6.10
10/01/2018	00060657855	KNIGHT, WILLIAM	MFT MFS INTERNATIONAL GROWTH FUND-A	B	0.00	13.47	0.00	13.47	20.0	2.69
10/01/2018	00060661917	WARNIE, BARBARA	MFT MFS TECHNOLOGY FUND-A	B	0.00	24.61	0.00	24.61	20.0	4.92
10/01/2018	00060662730	DELSA, SUZANNE	MFT MFS MID CAP VALUE FUND-A	B	0.00	2.46	0.00	2.46	20.0	0.49
10/01/2018	00060662737	NOLTING, EVELYN	MFT MFS MID CAP VALUE FUND-A	B	0.00	5.52	0.00	5.52	20.0	1.10

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
10/01/2018 00060662746	JANICE K BARDEN	MFT MFS MID CAP VALUE FUND-A	B	0.00	29.33	0.00	29.33	20.0	5.87
10/01/2018 00060662747	CALIVA, CAROLINE	MFT MFS MID CAP VALUE FUND-A	B	0.00	3.35	0.00	3.35	20.0	0.67
10/01/2018 00060668470	FINNN, JOHN	MFT MFS DIVERSIFIED INCOME FUND-A	B	0.00	21.59	0.00	21.59	20.0	4.32
10/01/2018 00060671420	CARLOS BOGRAN III	MFT MFS UTILITIES FUND-A	B	0.00	1.75	0.00	1.75	20.0	0.35
10/03/2018 01004814720	FINNN, JOHN	MFT WELLS FARGO DIVERSIFIED INC	B	0.00	11.10	0.00	11.10	20.0	2.22
10/03/2018 01004814720	FINNN, JOHN	MFT WELLS FARGO DIVERSIFIED INC	B	0.00	33.30	0.00	33.30	20.0	6.66
10/03/2018 01004814720	FINNN, JOHN	MFT WELLS FARGO GLOBAL	B	0.00	2.68	0.00	2.68	20.0	0.54
10/03/2018 01004814720	FINNN, JOHN	MFT WELLS FARGO GLOBAL	B	0.00	8.03	0.00	8.03	20.0	1.61
10/03/2018 01004814720	FINNN, JOHN	MFT WELLS FARGO INDEX ASSET ALLOC-C	B	0.00	45.20	0.00	45.20	20.0	9.04
10/03/2018 01004814720	FINNN, JOHN	MFT WELLS FARGO INDEX ASSET ALLOC-C	B	0.00	135.59	0.00	135.59	20.0	27.12
10/03/2018 01007612996	DELSA, ROBERT	MFT WELLS FARGO GLOBAL	B	0.00	0.43	0.00	0.43	20.0	0.09
10/03/2018 01007612996	DELSA, ROBERT	MFT WELLS FARGO GLOBAL	B	0.00	1.30	0.00	1.30	20.0	0.26
10/03/2018 01007612996	DELSA, ROBERT	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	0.38	0.00	0.38	20.0	0.08
10/03/2018 01007612996	DELSA, ROBERT	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	1.15	0.00	1.15	20.0	0.23
10/03/2018 01007612996	DELSA, ROBERT	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	1.13	0.00	1.13	20.0	0.23
10/03/2018 01007612996	DELSA, ROBERT	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	3.40	0.00	3.40	20.0	0.68
10/03/2018 01007799205	WARNIE, BARBARA	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	10.29	0.00	10.29	20.0	2.06
10/03/2018 01007799205	WARNIE, BARBARA	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	30.88	0.00	30.88	20.0	6.18
10/03/2018 01007799205	WARNIE, BARBARA	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	6.45	0.00	6.45	20.0	1.29
10/03/2018 01007799205	WARNIE, BARBARA	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	19.36	0.00	19.36	20.0	3.87
10/03/2018 01008522715	ST JULIEN,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.80	0.00	2.80	20.0	0.56
10/03/2018 01008522715	ST JULIEN,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	8.40	0.00	8.40	20.0	1.68
10/03/2018 01009200054	PROPERTY,	MFT WELLS FARGO GLOBAL	B	0.00	6.34	0.00	6.34	20.0	1.27
10/03/2018 01009200054	PROPERTY,	MFT WELLS FARGO GLOBAL	B	0.00	19.02	0.00	19.02	20.0	3.80
10/03/2018 01009200054	PROPERTY,	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	2.58	0.00	2.58	20.0	0.52
10/03/2018 01009200054	PROPERTY,	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	7.73	0.00	7.73	20.0	1.55
10/03/2018 01009200054	PROPERTY,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	11.05	0.00	11.05	20.0	2.21
10/03/2018 01009200054	PROPERTY,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	33.16	0.00	33.16	20.0	6.63
10/03/2018 01009230280	GEE, WANDA	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	3.00	0.00	3.00	20.0	0.60
10/03/2018 01009230280	GEE, WANDA	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	9.00	0.00	9.00	20.0	1.80
10/03/2018 01009314539	NOLTING, EVELYN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.23	0.00	2.23	20.0	0.45
10/03/2018 01009314539	NOLTING, EVELYN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	6.69	0.00	6.69	20.0	1.34
10/03/2018 01009314539	NOLTING, EVELYN	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	1.15	0.00	1.15	20.0	0.23
10/03/2018 01009314539	NOLTING, EVELYN	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	3.44	0.00	3.44	20.0	0.69
10/03/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	3.10	0.00	3.10	20.0	0.62
10/03/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	9.29	0.00	9.29	20.0	1.86
10/03/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO DISCOVERY-C	B	0.00	3.19	0.00	3.19	20.0	0.64
10/03/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO DISCOVERY-C	B	0.00	9.58	0.00	9.58	20.0	1.92
10/03/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	3.15	0.00	3.15	20.0	0.63
10/03/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	9.46	0.00	9.46	20.0	1.89
10/03/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	2.89	0.00	2.89	20.0	0.58
10/03/2018 01009315221	AGUILAR, MARIA	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	8.66	0.00	8.66	20.0	1.73
10/03/2018 01009315537	SASSEN, JOHN	MFT WELLS FARGO GLOBAL	B	0.00	7.20	0.00	7.20	20.0	1.44
10/03/2018 01009315537	SASSEN, JOHN	MFT WELLS FARGO GLOBAL	B	0.00	21.61	0.00	21.61	20.0	4.32

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10/03/2018 01009315537	SASSEN, JOHN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	3.00	0.00	3.00	20.0	0.60
10/03/2018 01009315537	SASSEN, JOHN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	9.01	0.00	9.01	20.0	1.80
10/03/2018 01009355661	COCKERHAM, ASHLEY	MFT WELLS FARGO GLOBAL	B	0.00	2.45	0.00	2.45	20.0	0.49
10/03/2018 01009355661	COCKERHAM, ASHLEY	MFT WELLS FARGO GLOBAL	B	0.00	7.35	0.00	7.35	20.0	1.47
10/03/2018 01009355661	COCKERHAM, ASHLEY	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.46	0.00	2.46	20.0	0.49
10/03/2018 01009355661	COCKERHAM, ASHLEY	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	7.39	0.00	7.39	20.0	1.48
10/03/2018 01009358549	COCKERHAM, CAROL	MFT WELLS FARGO GLOBAL	B	0.00	18.31	0.00	18.31	20.0	3.66
10/03/2018 01009358549	COCKERHAM, CAROL	MFT WELLS FARGO GLOBAL	B	0.00	54.92	0.00	54.92	20.0	10.98
10/03/2018 01009358549	COCKERHAM, CAROL	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	23.32	0.00	23.32	20.0	4.66
10/03/2018 01009358549	COCKERHAM, CAROL	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	69.95	0.00	69.95	20.0	13.99
10/03/2018 01009358973	JO ANNE B RAINES	MFT WELLS FARGO MONEY MARKET-C	B	0.00	5.68	0.00	5.68	20.0	1.14
10/03/2018 01009358973	JO ANNE B RAINES	MFT WELLS FARGO MONEY MARKET-C	B	0.00	17.04	0.00	17.04	20.0	3.41
10/03/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO GLOBAL	B	0.00	2.30	0.00	2.30	20.0	0.46
10/03/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO GLOBAL	B	0.00	6.91	0.00	6.91	20.0	1.38
10/03/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO SPECIALIZED	B	0.00	4.54	0.00	4.54	20.0	0.91
10/03/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO SPECIALIZED	B	0.00	13.62	0.00	13.62	20.0	2.72
10/03/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO LARGE CAP GROWTH-C	B	0.00	2.88	0.00	2.88	20.0	0.58
10/03/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO LARGE CAP GROWTH-C	B	0.00	8.63	0.00	8.63	20.0	1.73
10/03/2018 01009364253	COCKERHAM, GEORGE	MFT WELLS FARGO MODERATE BALANCED-C	B	0.00	21.05	0.00	21.05	20.0	4.21
10/03/2018 01009364253	COCKERHAM, GEORGE	MFT WELLS FARGO MODERATE BALANCED-C	B	0.00	63.16	0.00	63.16	20.0	12.63
10/03/2018 01009364253	COCKERHAM, GEORGE	MFT WELLS FARGO MONEY MARKET-C	B	0.00	9.25	0.00	9.25	20.0	1.85
10/03/2018 01009364253	COCKERHAM, GEORGE	MFT WELLS FARGO MONEY MARKET-C	B	0.00	27.74	0.00	27.74	20.0	5.55
10/03/2018 01009367639	ANN A LAFOURCADE, MFT	WELLS FARGO OMEGA GROWTH-C	B	0.00	1.00	0.00	1.00	20.0	0.20
10/03/2018 01009367639	ANN A LAFOURCADE, MFT	WELLS FARGO OMEGA GROWTH-C	B	0.00	3.01	0.00	3.01	20.0	0.60
10/03/2018 01009367639	ANN A LAFOURCADE, MFT	WELLS FARGO SPECIAL MID CAP	B	0.00	1.11	0.00	1.11	20.0	0.22
10/03/2018 01009367639	ANN A LAFOURCADE, MFT	WELLS FARGO SPECIAL MID CAP	B	0.00	3.34	0.00	3.34	20.0	0.67
10/03/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	2.16	0.00	2.16	20.0	0.43
10/03/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	6.48	0.00	6.48	20.0	1.30
10/03/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO GLOBAL	B	0.00	3.41	0.00	3.41	20.0	0.68
10/03/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO GLOBAL	B	0.00	10.23	0.00	10.23	20.0	2.05
10/03/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO EMERGING MARKETS	B	0.00	1.81	0.00	1.81	20.0	0.36
10/03/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO EMERGING MARKETS	B	0.00	5.42	0.00	5.42	20.0	1.08
10/03/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	4.54	0.00	4.54	20.0	0.91
10/03/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	13.63	0.00	13.63	20.0	2.73
10/03/2018 01900000283	GULF STATES	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	24.79	0.00	24.79	20.0	4.96
10/03/2018 01900000310	PEREZ, CHRISTINA	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	13.51	0.00	13.51	20.0	2.70
10/03/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO GLOBAL	B	0.00	1.90	0.00	1.90	20.0	0.38
10/03/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO GLOBAL	B	0.00	5.71	0.00	5.71	20.0	1.14
10/03/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	4.63	0.00	4.63	20.0	0.93
10/03/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	13.90	0.00	13.90	20.0	2.78
10/03/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	2.29	0.00	2.29	20.0	0.46
10/03/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	6.86	0.00	6.86	20.0	1.37
10/03/2018 03900370290	JOHN R CORBETT	MFT WELLS FARGO SPECIALIZED	B	0.00	1.83	0.00	1.83	20.0	0.37
10/03/2018 03900370290	JOHN R CORBETT	MFT WELLS FARGO SPECIALIZED	B	0.00	5.48	0.00	5.48	20.0	1.10

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10/03/2018 03900370290	JOHN R CORBETT	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.50	0.00	2.50	20.0	0.50
10/03/2018 03900370290	JOHN R CORBETT	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	7.49	0.00	7.49	20.0	1.50
10/03/2018 03900377880	BRUCHI, JENNIFER	MFT WELLS FARGO DISCOVERY-C	B	0.00	1.10	0.00	1.10	20.0	0.22
10/03/2018 03900377880	BRUCHI, JENNIFER	MFT WELLS FARGO DISCOVERY-C	B	0.00	3.31	0.00	3.31	20.0	0.66
10/03/2018 03900377880	BRUCHI, JENNIFER	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	1.26	0.00	1.26	20.0	0.25
10/03/2018 03900377880	BRUCHI, JENNIFER	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	3.78	0.00	3.78	20.0	0.76
10/03/2018 03900379796	GEE, WANDA	MFT WELLS FARGO GLOBAL	B	0.00	3.73	0.00	3.73	20.0	0.75
10/03/2018 03900379796	GEE, WANDA	MFT WELLS FARGO GLOBAL	B	0.00	11.19	0.00	11.19	20.0	2.24
10/03/2018 03903067709	PEREZ, NICOLAS	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	4.21	0.00	4.21	20.0	0.84
10/03/2018 03903067709	PEREZ, NICOLAS	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	12.63	0.00	12.63	20.0	2.53
10/03/2018 03903067709	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	5.50	0.00	5.50	20.0	1.10
10/03/2018 03903067709	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	16.51	0.00	16.51	20.0	3.30
10/03/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	1.71	0.00	1.71	20.0	0.34
10/03/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	5.14	0.00	5.14	20.0	1.03
10/03/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO DISCOVERY-C	B	0.00	1.84	0.00	1.84	20.0	0.37
10/03/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO DISCOVERY-C	B	0.00	5.52	0.00	5.52	20.0	1.10
10/03/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.09	0.00	2.09	20.0	0.42
10/03/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	6.28	0.00	6.28	20.0	1.26
10/03/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	2.11	0.00	2.11	20.0	0.42
10/03/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	6.34	0.00	6.34	20.0	1.27
10/03/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO GLOBAL	B	0.00	8.47	0.00	8.47	20.0	1.69
10/03/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO GLOBAL	B	0.00	25.41	0.00	25.41	20.0	5.08
10/03/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	6.21	0.00	6.21	20.0	1.24
10/03/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	18.64	0.00	18.64	20.0	3.73
10/03/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	5.91	0.00	5.91	20.0	1.18
10/03/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	17.73	0.00	17.73	20.0	3.55
10/03/2018 05116000007	GULF STATES	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	45.93	0.00	45.93	20.0	9.19
10/03/2018 08183000145	CORBETT, JOHN	MFT COLUMBIA BALANCED FD CL A	B	0.00	3.47	0.00	3.47	20.0	0.69
10/01/2018 08187623236	ST JULIEN, ERIC	MFT MFS MID CAP GROWTH FUND-A	B	0.00	8.74	0.00	8.74	20.0	1.75
10/01/2018 08187623236	ST JULIEN, ERIC	MFT MFS MID CAP VALUE FUND-A	B	0.00	26.33	0.00	26.33	20.0	5.27
10/01/2018 08189400866	KNIGHT, WILLIAM	MFT MFS INTERNATIONAL NEW DISCOVERY	B	0.00	0.75	0.00	0.75	20.0	0.15
10/01/2018 08189401119	JAMII BARAKA ST	MFT MFS INTERNATIONAL NEW DISCOVERY	B	0.00	4.85	0.00	4.85	20.0	0.97
10/01/2018 08189401119	JAMII BARAKA ST	MFT MFS MID CAP VALUE FUND-A	B	0.00	3.32	0.00	3.32	20.0	0.66
10/01/2018 08189401123	ST JULIEN,	MFT MFS INTERNATIONAL NEW DISCOVERY	B	0.00	8.43	0.00	8.43	20.0	1.69
10/01/2018 08189401123	ST JULIEN,	MFT MFS MID CAP VALUE FUND-A	B	0.00	14.53	0.00	14.53	20.0	2.91
10/01/2018 08189402020	TAZAMA UPENDO ST.	MFT MFS INTERNATIONAL VALUE FUND-A	B	0.00	3.12	0.00	3.12	20.0	0.62
10/01/2018 08190095532	SASSEN, JOHN	MFT MFS CORE EQUITY FUND-C	B	0.00	41.26	0.00	41.26	20.0	8.25
10/01/2018 08190123620	CARLOS BOGRAN III	MFT MFS UTILITIES FUND-C	B	0.00	8.29	0.00	8.29	20.0	1.66
10/01/2018 08190128650	JOHN J FINN JR	MFT MFS MID CAP GROWTH FUND-C	B	0.00	21.98	0.00	21.98	20.0	4.40
10/01/2018 08190129109	FBO JULIETTE G	MFT MFS DIVERSIFIED INCOME FUND-C	B	0.00	5.84	0.00	5.84	20.0	1.17
10/01/2018 08190129109	FBO JULIETTE G	MFT MFS GROWTH FUND-C	B	0.00	23.18	0.00	23.18	20.0	4.64
10/01/2018 08190129110	PEYTON O LEBLANC,	MFT MFS GROWTH FUND-C	B	0.00	26.90	0.00	26.90	20.0	5.38
10/01/2018 08190129112	SARA E CANCIENNE,	MFT MFS GROWTH FUND-C	B	0.00	19.18	0.00	19.18	20.0	3.84
10/01/2018 08190129112	SARA E CANCIENNE,	MFT MFS MID CAP VALUE FUND-C	B	0.00	5.85	0.00	5.85	20.0	1.17

COMMISSION STATEMENT for RANDY SMITH-D601

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
10/01/2018 08190129113	LILLY M SUTTON	MFT MFS GROWTH FUND-C	B	0.00	18.05	0.00	18.05	20.0	3.61
10/01/2018 08190129113	LILLY M SUTTON	MFT MFS MID CAP VALUE FUND-C	B	0.00	5.85	0.00	5.85	20.0	1.17
10/01/2018 08190130171	PROPERTY,	MFT MFS GROWTH FUND-C	B	0.00	47.40	0.00	47.40	20.0	9.48
10/01/2018 08190130171	PROPERTY,	MFT MFS MID CAP GROWTH FUND-C	B	0.00	44.80	0.00	44.80	20.0	8.96
10/01/2018 08191017415	COCKERHAM, CAROL	MFT MFS MID CAP GROWTH FUND-A	B	0.00	66.29	0.00	66.29	20.0	13.26
10/01/2018 08191029111	PRESLIE G LEBLANC	MFT MFS GROWTH FUND-C	B	0.00	23.18	0.00	23.18	20.0	4.64
10/01/2018 08191043389	CARLOS BOGRAN III	MFT MFS MID CAP VALUE FUND-A	B	0.00	7.12	0.00	7.12	20.0	1.42
10/01/2018 08191043390	CARLOS BOGRAN III	MFT MFS TECHNOLOGY FUND-A	B	0.00	10.51	0.00	10.51	20.0	2.10
10/01/2018 08191122694	KNIGHT, WILLIAM	MFT MFS MID CAP VALUE FUND-C	B	0.00	53.08	0.00	53.08	20.0	10.62
10/01/2018 08191161796	RAINES,	MFT MFS MID CAP VALUE FUND-C	B	0.00	6.84	0.00	6.84	20.0	1.37
10/01/2018 08191187109	BEACH, MELISSA	MFT MFS GROWTH FUND-C	B	0.00	39.17	0.00	39.17	20.0	7.83
10/01/2018 08191187109	BEACH, MELISSA	MFT MFS MID CAP GROWTH FUND-C	B	0.00	38.04	0.00	38.04	20.0	7.61
10/01/2018 08191187109	BEACH, MELISSA	MFT MFS TECHNOLOGY FUND-C	B	0.00	45.51	0.00	45.51	20.0	9.10
10/01/2018 08191191313	TICHENOR,	MFT MFS INTERNATIONAL NEW DISCOVERY	B	0.00	10.32	0.00	10.32	20.0	2.06
10/01/2018 08191191313	TICHENOR,	MFT MFS MID CAP GROWTH FUND-C	B	0.00	13.67	0.00	13.67	20.0	2.73
10/01/2018 08191191313	TICHENOR,	MFT MFS MID CAP VALUE FUND-C	B	0.00	12.76	0.00	12.76	20.0	2.55
10/01/2018 08191216107	GEE, WANDA	MFT MFS GROWTH FUND-C	B	0.00	79.86	0.00	79.86	20.0	15.97
10/01/2018 08191216107	GEE, WANDA	MFT MFS MID CAP VALUE FUND-C	B	0.00	63.75	0.00	63.75	20.0	12.75
10/01/2018 08191220624	COCKERHAM, CAROL	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	68.08	0.00	68.08	20.0	13.62
10/01/2018 08191220625	COCKERHAM, ASHLEY	MFT MFS MID CAP GROWTH FUND-A	B	0.00	9.48	0.00	9.48	20.0	1.90
10/01/2018 08191220625	COCKERHAM, ASHLEY	MFT MFS MID CAP VALUE FUND-C	B	0.00	31.27	0.00	31.27	20.0	6.25
10/01/2018 08191235410	PEREZ, CHRISTINA	MFT MFS INTERNATIONAL NEW DISCOVERY	B	0.00	34.85	0.00	34.85	20.0	6.97
10/01/2018 08191235410	PEREZ, CHRISTINA	MFT MFS MID CAP GROWTH FUND-C	B	0.00	26.90	0.00	26.90	20.0	5.38
10/01/2018 08191235410	PEREZ, CHRISTINA	MFT MFS MID CAP VALUE FUND-C	B	0.00	45.18	0.00	45.18	20.0	9.04
10/01/2018 08191250375	BARAKA ST JULIEN,	MFT MFS GROWTH FUND-C	B	0.00	16.55	0.00	16.55	20.0	3.31
10/01/2018 08191250375	BARAKA ST JULIEN,	MFT MFS MID CAP VALUE FUND-C	B	0.00	12.79	0.00	12.79	20.0	2.56
10/01/2018 08191250377	UPENDO ST JULIEN,	MFT MFS GROWTH FUND-C	B	0.00	6.03	0.00	6.03	20.0	1.21
10/01/2018 08191259308	TAZAMA UPENDO ST.	MFT MFS MID CAP VALUE FUND-A	B	0.00	5.43	0.00	5.43	20.0	1.09
10/01/2018 08191265828	LE BLANC, ERIN	MFT MFS MID CAP VALUE FUND-C	B	0.00	59.00	0.00	59.00	20.0	11.80
10/01/2018 08191270658	BEAU OUTLAW, JOHN	MFT MFS GROWTH FUND-C	B	0.00	14.76	0.00	14.76	20.0	2.95
10/01/2018 08191310353	MCELEARNEY,	MFT MFS MID CAP GROWTH FUND-C	B	0.00	48.02	0.00	48.02	20.0	9.60
10/01/2018 08191310353	MCELEARNEY,	MFT MFS MID CAP VALUE FUND-C	B	0.00	40.46	0.00	40.46	20.0	8.09
10/01/2018 08191398185	CORBETT, JOHN	MFT MFS DIVERSIFIED INCOME FUND-C	B	0.00	45.23	0.00	45.23	20.0	9.05
10/01/2018 08191403238	CALIVA, CAROLINE	MFT MFS GROWTH FUND-C	B	0.00	12.21	0.00	12.21	20.0	2.44
10/01/2018 08191403238	CALIVA, CAROLINE	MFT MFS MID CAP VALUE FUND-C	B	0.00	2.22	0.00	2.22	20.0	0.44
10/03/2018 08537100283	ST JULIEN,	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	1.82	0.00	1.82	20.0	0.36
10/03/2018 08537100284	ST JULIEN, ERIC	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	4.24	0.00	4.24	20.0	0.85
10/03/2018 08537100298	CARLOS BOGRAN III	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	1.42	0.00	1.42	20.0	0.28
10/03/2018 08537100304	BRUCHI, JENNIFER	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	1.23	0.00	1.23	20.0	0.25
10/03/2018 08537500120	VINCENT, JUDITH	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	1.81	0.00	1.81	20.0	0.36
10/03/2018 08537500142	JAMII BARAKA ST	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	0.70	0.00	0.70	20.0	0.14
10/03/2018 08537500143	CARLOS BOGRAN III	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	1.16	0.00	1.16	20.0	0.23
10/03/2018 08537500296	ST JULIEN,	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	2.17	0.00	2.17	20.0	0.43
10/03/2018 08537500318	SASSEN, JOHN	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	1.46	0.00	1.46	20.0	0.29

COMMISSION STATEMENT for RANDY SMITH-D601

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
10/03/2018 08537500319	NOLTING, EVELYN	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	1.71	0.00	1.71	20.0	0.34
10/03/2018 08896000069	VINCENT, JUDITH	MFT COLUMBIA SMALLCAP GROWTH FUND	B	0.00	1.36	0.00	1.36	20.0	0.27
10/03/2018 08981001058	ST JULIEN, ERIC	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	4.23	0.00	4.23	20.0	0.85
10/03/2018 08981001059	CARLOS BOGRAN III	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	2.09	0.00	2.09	20.0	0.42
10/03/2018 08981001063	BRUCHI, JENNIFER	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	0.99	0.00	0.99	20.0	0.20
10/03/2018 08981001064	NOLTING, EVELYN	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	1.69	0.00	1.69	20.0	0.34
10/03/2018 08981001068	ST JULIEN,	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	3.25	0.00	3.25	20.0	0.65
10/03/2018 08981001070	CRAFT, ALLEN	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	3.31	0.00	3.31	20.0	0.66
10/03/2018 08981001071	JAMII BARAKA ST	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	0.68	0.00	0.68	20.0	0.14
10/03/2018 50040000003	BENTON, MELISSA	MFT COLUMBIA MIDCAP GROWTH FUND-C	B	0.00	1.73	0.00	1.73	20.0	0.35
10/03/2018 53730000029	PEREZ, CHRISTINA	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	18.39	0.00	18.39	20.0	3.68
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$2,942.64	\$0.00	\$2,942.64		\$588.59
*** DIRECT TRANSACTIONS TOTAL ***				\$600.00	\$2,950.14	\$0.00	\$2,950.14		\$590.09

BROKER COMMISSION TOTALS

Broker Transactions	\$590.09
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$0.00
Year-to-date Commissions	\$0.00