

# Bill Payment Stub

|               |           |
|---------------|-----------|
| Check Date:   | 9/14/2018 |
| Check No.:    | ACH       |
| Check Amount: | 1,619.98  |

Dominion Investor Services  
P.O. Box 4768  
Horseshoe Bay, TX 78657-4768

Paid To: RICK HAVARD  
1600 STILLHOUSE HOLLOW  
PROSPER, TX 75078

| Date      | Type | Reference   | Original Amt. | Balance  | Discount | Payment  |
|-----------|------|-------------|---------------|----------|----------|----------|
| 8/31/2018 | Bill | COMMISSIONS | 1,619.98      | 1,619.98 |          | 1,619.98 |

# Bill Payment Stub

|               |           |
|---------------|-----------|
| Check Date:   | 9/10/2018 |
| Check No.:    | ACH       |
| Check Amount: | 225.71    |

Dominion Investor Services  
P.O. Box 4768  
Horseshoe Bay, TX 78657-4768

Paid To: RICK HAVARD  
1600 STILLHOUSE HOLLOW  
PROSPER, TX 75078

| Date      | Type   | Reference   | Original Amt. | Balance   | Discount | Payment   |
|-----------|--------|-------------|---------------|-----------|----------|-----------|
| 8/31/2018 | Bill   | COMMISSIONS | 2,725.71      | 2,725.71  |          | 2,725.71  |
| 8/30/2018 | Credit | ADVANCE     | -2,500.00     | -2,500.00 |          | -2,500.00 |

# COMMISSION STATEMENT

August 31, 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<br>AMOUNT                 | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE       | BROKER<br>COMMISSION |            |
|---|-----------|--------------|-----|--------------------------------------|---------------------|--------------------|-------------------|------------|----------------------|------------|
| CLEARING TRANSACTIONS                     |           |              |     |                                      |                     |                    |                   |            |                      |            |
| PRODUCT CATEGORY: MUTUAL FUNDS            |           |              |     |                                      |                     |                    |                   |            |                      |            |
| 08/21/2018                                | 275990733 | FREEMAN, DAN | MF  | BLACKROCK MULTI-ASSET INCOME FD S    | -89,613.59          | 0.00               | 5.00              | -5.00      | 90.0                 | -4.50      |
|   |           |              |     | * MUTUAL FUNDS SUBTOTAL *            | \$-89,613.59        | \$0.00             | \$5.00            | \$-5.00    |                      | \$-4.50    |
| PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS  |           |              |     |                                      |                     |                    |                   |            |                      |            |
| 08/21/2018                                | 930249560 | FREEMAN, DAN | UIT | FIRST TRUST DIVERSFD HIGH INC S      | -88,192.60          | 1,799.98           | 0.00              | 1,799.98   | 90.0                 | 1,619.98   |
|   |           |              |     | * UNIT INVESTMENT TRUSTS SUBTOTAL *  | \$-88,192.60        | \$1,799.98         | \$0.00            | \$1,799.98 |                      | \$1,619.98 |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS |           |              |     |                                      |                     |                    |                   |            |                      |            |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | AMERICAN MUTUAL FUND-A               | 0.00                | 14.26              | 0.00              | 14.26      | 90.0                 | 12.83      |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | API MULTI-ASSET INCOME FD L          | 0.00                | 24.24              | 0.00              | 24.24      | 90.0                 | 21.82      |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | API MULTI-ASSET INCOME FD L          | 0.00                | 37.50              | 0.00              | 37.50      | 90.0                 | 33.75      |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | BLACKROCK MULTI-ASSET INCOME FD B    | 0.00                | 17.97              | 0.00              | 17.97      | 90.0                 | 16.17      |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | BLACKROCK MULTI-ASSET INCOME FD B    | 0.00                | 18.54              | 0.00              | 18.54      | 90.0                 | 16.69      |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | BLACKROCK MULTI-ASSET INCOME FD B    | 0.00                | 23.35              | 0.00              | 23.35      | 90.0                 | 21.02      |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | BLACKROCK MULTI-ASSET INCOME FD B    | 0.00                | 75.31              | 0.00              | 75.31      | 90.0                 | 67.78      |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | BLACKROCK STRATEGIC INC OPP FD B     | 0.00                | 17.82              | 0.00              | 17.82      | 90.0                 | 16.04      |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | BLACKROCK STRATEGIC INC OPP FD B     | 0.00                | 18.23              | 0.00              | 18.23      | 90.0                 | 16.41      |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | BLACKROCK STRATEGIC INC OPP FD B     | 0.00                | 18.32              | 0.00              | 18.32      | 90.0                 | 16.49      |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | BLACKROCK STRATEGIC INC OPP FD B     | 0.00                | 19.85              | 0.00              | 19.85      | 90.0                 | 17.87      |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | BLACKROCK STRATEGIC INC OPP FD B     | 0.00                | 35.07              | 0.00              | 35.07      | 90.0                 | 31.56      |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | BLACKROCK STRATEGIC INC OPP FD B     | 0.00                | 72.04              | 0.00              | 72.04      | 90.0                 | 64.84      |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | BLACKROCK EQUITY DIVIDEND FD C       | 0.00                | 16.17              | 0.00              | 16.17      | 90.0                 | 14.55      |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | CALAMOS GROWTH AND INCOME CLASS      | 0.00                | 3.40               | 0.00              | 3.40       | 90.0                 | 3.06       |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | DOUBLELINE TOTAL RETURN BOND FD      | 0.00                | 12.32              | 0.00              | 12.32      | 90.0                 | 11.09      |
| 08/21/2018                                | mfc307137 | VARIOUS,     | MFT | THE INVESTMENT COMPANY OF            | 0.00                | 19.24              | 0.00              | 19.24      | 90.0                 | 17.32      |
|   |           |              |     | * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | \$0.00              | \$443.63           | \$0.00            | \$443.63   |                      | \$399.29   |
|   |           |              |     | *** CLEARING TRANSACTIONS TOTAL ***  | \$-177,806.19       | \$2,243.61         | \$5.00            | \$2,238.61 |                      | \$2,014.77 |

COMMISSION STATEMENT for RICK HAVARD-D361

| 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: VARIABLE ANNUITIES

|                                 |                    |                 |   |             |            |        |            |      |            |
|---------------------------------|--------------------|-----------------|---|-------------|------------|--------|------------|------|------------|
| 08/16/2018 (None)               | DUPLECHAIN, RODNEY | VA ALLIANZ LIFE | B | 35,729.44   | 2,143.77   | 0.00   | 2,143.77   | 90.0 | 1,929.39   |
| * VARIABLE ANNUITIES SUBTOTAL * |                    |                 |   | \$35,729.44 | \$2,143.77 | \$0.00 | \$2,143.77 |      | \$1,929.39 |

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

|   |                 |                  |   |             |            |        |            |      |            |
|---|-----------------|------------------|---|-------------|------------|--------|------------|------|------------|
| 07/31/2018 (None)                         | NIEMEYER, PATTY | VAT ALLIANZ LIFE | B | 0.00        | 666.14     | 0.00   | 666.14     | 90.0 | 599.53     |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * |                 |                  |   | \$0.00      | \$666.14   | \$0.00 | \$666.14   |      | \$599.53   |
| *** DIRECT TRANSACTIONS TOTAL ***         |                 |                  |   | \$35,729.44 | \$2,809.91 | \$0.00 | \$2,809.91 |      | \$2,528.92 |

ADJUSTMENTS TRANSACTIONS

BROKER: #0

|  |                      |        |        |        |        |           |
|--|----------------------|--------|--------|--------|--------|-----------|
| 08/31/2018                             | : E&O                | 0.00   | 0.00   | 0.00   | 0.00   | -130.00   |
| 08/31/2018                             | : BROKER WORKSTATION | 0.00   | 0.00   | 0.00   | 0.00   | -30.00    |
| 08/31/2018                             | : E-MAIL ACCOUNT     | 0.00   | 0.00   | 0.00   | 0.00   | -25.00    |
| 08/31/2018                             | : SHAREFILE          | 0.00   | 0.00   | 0.00   | 0.00   | -13.00    |
| * SUBTOTAL *                           |                      | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$-198.00 |
| *** ADJUSTMENTS TRANSACTIONS TOTAL *** |                      | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$-198.00 |

BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$4,543.69 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$-198.00  |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

|                          |             |
|--------------------------|-------------|
| Net Commissions          | \$4,345.69  |
| Year-to-date Commissions | \$48,662.63 |