



COMMISSION STATEMENT

September 24, 2018

RICHARD SOWERS
2451 McMullen Booth Road
Suite 263
Clearwater, FL 33759

BROKER #: 71
BRANCH #01002 - 02 - SOWERS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/20/2018	***-**-87IN - HALL, J	AMCAP FUND-A	490.00	9.80	0.00	9.80	90.0	8.82
	ACCOUNT #: 00084955124	BUY 14 Units @35.9100						
09/20/2018	***-**-87IN - HALL, J	CAPITAL WORLD GROWTH AND INCOME FUN	490.00	9.80	0.00	9.80	90.0	8.82
	ACCOUNT #: 00084955124	BUY 9 Units @52.5300						
09/20/2018	***-**-87IN - HALL, J	FUNDAMENTAL INVESTORS-A	490.00	9.80	0.00	9.80	90.0	8.82
	ACCOUNT #: 00084955124	BUY 7 Units @67.3300						
09/20/2018	***-**-87IN - HALL, J	WASHINGTON MUTUAL INVESTORS FUND-A	490.00	9.80	0.00	9.80	90.0	8.82
	ACCOUNT #: 00084955124	BUY 10 Units @48.4200						
* MUTUAL FUNDS SUBTOTAL *			\$1,960.00	\$39.20	\$0.00	\$39.20		\$35.28
<u>PRODUCT CATEGORY: STOCKS</u>								
09/17/2018	***-**-60I2 - BLACK, JENNIFER	DBX ETF TR XTRACK USD HIGH	2,241.45	0.00	0.00	0.00	90.0	0.00
	ACCOUNT #: LSM000043	BUY 45 Units @49.8100						
09/17/2018	***-**-60I2 - BLACK, JENNIFER	ISHARES CORE S&P MID-CAP ETF AVERAG	2,846.62	0.00	0.00	0.00	90.0	0.00
	ACCOUNT #: LSM000043	BUY 14 Units @203.3300						
09/17/2018	***-**-60I2 - BLACK, JENNIFER	ISHARES CORE S&P SMALL-CAP ETF EXEC	4,790.02	0.00	0.00	0.00	90.0	0.00
	ACCOUNT #: LSM000043	BUY 54 Units @88.7040						
09/17/2018	***-**-60I2 - BLACK, JENNIFER	ISHARES IBOX HIGH YIELD CORPORATE	1,639.51	0.00	0.00	0.00	90.0	0.00
	ACCOUNT #: LSM000043	SELL 19 Units @86.2900						
09/17/2018	***-**-60I2 - BLACK, JENNIFER	ISHARES INC CORE MSCI EMERGING MKTS	2,016.44	0.00	0.00	0.00	90.0	0.00
	ACCOUNT #: LSM000043	SELL 40 Units @50.4110						
09/17/2018	***-**-60I2 - BLACK, JENNIFER	ISHARES S&P 500 GROWTH ETF EXEC ON	4,033.30	0.00	0.00	0.00	90.0	0.00
	ACCOUNT #: LSM000043	SELL 23 Units @175.3610						
09/17/2018	***-**-60I2 - BLACK, JENNIFER	ISHARES S&P 500 VALUE ETF EXEC ON M	1,985.94	0.00	0.00	0.00	90.0	0.00
	ACCOUNT #: LSM000043	SELL 17 Units @116.8200						
* STOCKS SUBTOTAL *			\$19,553.28	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/05/2018	***-**-254J - OTEGUY, JUAN &	CALVERT ULTRA SHORT INCOME - A	0.00	3.04	0.00	3.04	90.0	2.74
	ACCOUNT #: 00004910394	BUY 0 Units @0.0000						
09/10/2018	***-**-6114 - HARBIN GRE	FIDELITY ADV EQUITY GROWTH CL A	0.00	4.72	0.00	4.72	90.0	4.25
	ACCOUNT #: 00655706638	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/10/2018	***-**-114I - HARBIN, GREGORY	FIDELITY ADV EQUITY GROWTH CL A	0.00	2.48	0.00	2.48	90.0	2.23
	ACCOUNT #: 00704750850	BUY 0 Units @0.0000						
09/10/2018	***-**-9283 - HARBIN, JOANNA	FIDELITY ADV GROWTH & INCOME CL A	0.00	6.82	0.00	6.82	90.0	6.14
	ACCOUNT #: 00504394842	BUY 0 Units @0.0000						
09/24/2018	***-**-2700 - WELDON, CHARLTON	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	9.95	0.00	9.95	90.0	8.96
		BUY 0 Units @0.0000						
09/24/2018	***-**-54IN - STOUT, LOUISE	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	19.41	0.00	19.41	90.0	17.47
	ACCOUNT #: 91148263	BUY 0 Units @0.0000						
09/24/2018	***-**-657A - LIBERTY,	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	16.60	0.00	16.60	90.0	14.94
	ACCOUNT #: 091150059	BUY 0 Units @0.0000						
09/24/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS	0.00	5.99	0.00	5.99	90.0	5.39
		BUY 0 Units @0.0000						
09/24/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS	0.00	5.04	0.00	5.04	90.0	4.54
		BUY 0 Units @0.0000						
09/24/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS	0.00	6.89	0.00	6.89	90.0	6.20
		BUY 0 Units @0.0000						
09/24/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS	0.00	20.67	0.00	20.67	90.0	18.60
		BUY 0 Units @0.0000						
09/24/2018	***-**-9657 - LIBERTY	QUALIFIED PLAN SUMMARY	0.00	18.19	0.00	18.19	90.0	16.37
		BUY 0 Units @0.0000						
09/24/2018	***-**-54IN - STOUT, LOUISE	RESOURCE REAL ESTATE TRAILS	0.00	19.40	0.00	19.40	90.0	17.46
	ACCOUNT #: 20033571	BUY 0 Units @0.0000						
09/24/2018	***-**-2700 - WELDON, CHARLTON	RESOURCE REAL ESTATE TRAILS	0.00	9.87	0.00	9.87	90.0	8.88
	ACCOUNT #: 20033847	BUY 0 Units @0.0000						
09/24/2018	***-**-559I - HUBBARD, JAMES	SAMMONS MF TRAILS	0.00	16.28	0.00	16.28	90.0	14.65
	ACCOUNT #: 7200005537	BUY 0 Units @0.0000						
09/24/2018	***-**-8541 - SQUIRE, CAROLYN	SAMMONS MF TRAILS	0.00	3.90	0.00	3.90	90.0	3.51
	ACCOUNT #: 7200007202	BUY 0 Units @0.0000						
09/24/2018	***-**-7488 - SQUIRE, BARRY	SAMMONS MF TRAILS	0.00	7.80	0.00	7.80	90.0	7.02
	ACCOUNT #: 7200007204	BUY 0 Units @0.0000						
09/24/2018	***-**-199I - MITCHEN, RICHARD	SAMMONS MF TRAILS	0.00	16.50	0.00	16.50	90.0	14.85
	ACCOUNT #: 7200011695	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/24/2018	***-**-594I - REGULSKI, SUSAN	SAMMONS MF TRAILS	0.00	85.27	0.00	85.27	90.0	76.74
	ACCOUNT #: 7200012141	BUY 0 Units @0.0000						
09/24/2018	***-**-721I - CRAFT, LOIS	SAMMONS MF TRAILS	0.00	18.52	0.00	18.52	90.0	16.67
	ACCOUNT #: 7200013710	BUY 0 Units @0.0000						
09/24/2018	***-**-7933 - PIERSON, KAREN	SAMMONS MF TRAILS	0.00	48.60	0.00	48.60	90.0	43.74
	ACCOUNT #: 7200024944	BUY 0 Units @0.0000						
09/24/2018	***-**-224I - WILSON, FRANCIS	SAMMONS MF TRAILS	0.00	5.79	0.00	5.79	90.0	5.21
	ACCOUNT #: 7200036196	BUY 0 Units @0.0000						
09/24/2018	***-**-52IN - LORD, GEORGE	SAMMONS MF TRAILS	0.00	27.00	0.00	27.00	90.0	24.30
	ACCOUNT #: 7200036994	BUY 0 Units @0.0000						
09/24/2018	***-**-2700 - WELDON, CHARLTON	SAMMONS MF TRAILS	0.00	3.45	0.00	3.45	90.0	3.11
	ACCOUNT #: 7200043189	BUY 0 Units @0.0000						
09/24/2018	***-**-2700 - WELDON, CHARLTON	SAMMONS MF TRAILS	0.00	3.46	0.00	3.46	90.0	3.11
	ACCOUNT #: 7200043190	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$385.64	\$0.00	\$385.64		\$347.08
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
09/24/2018	***-**-296O - KELLEY, BRENDA	MIDLAND NATIONAL VA TRAILS	0.00	39.94	0.00	39.94	90.0	35.95
	ACCOUNT #: 7100008985	BUY 1 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$39.94	\$0.00	\$39.94		\$35.95
*** BROKER TRANSACTIONS TOTAL ***			\$21,513.28	\$464.78	\$0.00	\$464.78		\$418.31



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BROKER COMMISSION TOTALS								
						Broker Transactions		\$418.31
						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 Commission Earned		\$418.31
						Year-to-date Earnings		\$38,478.10