

COMMISSION STATEMENT

December 15, 2018

ROBERT CALDWELL-D013
 2802 North Highland Avenue
 Suite A
 Jackson, TN 38305

BROKER #: D013
 BRANCH: DME

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUNDS									
11/26/2018	000000000227710 THOMAS,	MF FRANKLIN MODERATE ALLOCATION	B	100.00	1.00	0.00	1.00	90.0	0.90
11/26/2018	000000000499879 DIXON, KYLE	MF FRANKLIN GROWTH ALLOCATION FUND	B	300.00	3.00	0.00	3.00	90.0	2.70
11/26/2018	0000000003822855 PATRICK, CHAD	MF MUTUAL SHRS FND - CL C	B	166.66	1.67	0.00	1.67	90.0	1.50
12/03/2018	0000000012992741 GIPSON, DEBRA	MF FRANKLIN INCOME FUND CLASS C	B	855.00	8.55	0.00	8.55	90.0	7.70
11/26/2018	00067541249 PATRICK, CHAD	MF THE GROWTH FUND OF AMERICA-529A	B	75.00	3.19	0.00	3.19	90.0	2.87
11/26/2018	00067549730 PATRICK, CHAD	MF THE GROWTH FUND OF AMERICA-529A	B	75.00	3.19	0.00	3.19	90.0	2.87
12/03/2018	00068087475 PULLIAM, RYAN	MF THE NEW ECONOMY FUND-529C	B	100.00	1.00	0.00	1.00	90.0	0.90
12/03/2018	00068087476 PULLIAM, RYAN	MF AMERICAN BALANCED FUND-529C	B	250.00	2.50	0.00	2.50	90.0	2.25
12/03/2018	00068424625 GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
12/03/2018	00068424625 GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
11/26/2018	00073739173 BEARD, PATRICK	MF INVESTMENT COMPANY OF AMERICA	B	50.00	0.50	0.00	0.50	90.0	0.45
12/03/2018	00074694907 REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	100.87	1.01	0.00	1.01	90.0	0.91
12/03/2018	00074694907 REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	100.87	1.01	0.00	1.01	90.0	0.91
11/30/2018	00075317599 COPELAND, SUSAN	MF AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
11/30/2018	00075317599 COPELAND, SUSAN	MF FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
11/30/2018	00081948467 EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	40.69	0.81	0.00	0.81	90.0	0.73
11/30/2018	00081948467 EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	108.50	2.17	0.00	2.17	90.0	1.95
11/30/2018	00081948467 EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	7.18	0.14	0.00	0.14	90.0	0.13
11/30/2018	00081948467 EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	19.15	0.38	0.00	0.38	90.0	0.34
11/30/2018	00081948520 WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
11/30/2018	00081948520 WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
11/30/2018	00081948520 WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
11/30/2018	00081948520 WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
11/30/2018	00081948549 HINDS, MICHAEL	MF AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
11/30/2018	00081948549 HINDS, MICHAEL	MF AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
11/30/2018	00081948549 HINDS, MICHAEL	MF AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
11/30/2018	00081948549 HINDS, MICHAEL	MF AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
11/30/2018	00081948549 HINDS, MICHAEL	MF U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
11/30/2018	00081948549 HINDS, MICHAEL	MF U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
11/30/2018	00081948685 SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
11/30/2018	00081948685 SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
11/30/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
11/30/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
11/30/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
11/30/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
11/30/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21
11/30/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
11/30/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	29.22	0.29	0.00	0.29	90.0	0.26
11/30/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	97.39	0.97	0.00	0.97	90.0	0.87
11/30/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	33.75	0.34	0.00	0.34	90.0	0.31
11/30/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	33.75	0.34	0.00	0.34	90.0	0.31
11/30/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	30.75	0.31	0.00	0.31	90.0	0.28
11/30/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	30.75	0.31	0.00	0.31	90.0	0.28
11/30/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	9.92	0.10	0.00	0.10	90.0	0.09
11/30/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	16.54	0.17	0.00	0.17	90.0	0.15
11/30/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	11.58	0.12	0.00	0.12	90.0	0.11
11/30/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	19.29	0.19	0.00	0.19	90.0	0.17
11/30/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	11.58	0.12	0.00	0.12	90.0	0.11
11/30/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	19.30	0.19	0.00	0.19	90.0	0.17
11/30/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
11/30/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
11/30/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	47.81	0.48	0.00	0.48	90.0	0.43
11/30/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	79.69	0.80	0.00	0.80	90.0	0.72
11/30/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	36.70	0.37	0.00	0.37	90.0	0.33
11/30/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	36.70	0.37	0.00	0.37	90.0	0.33
11/30/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	33.28	0.33	0.00	0.33	90.0	0.30
11/30/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	33.28	0.33	0.00	0.33	90.0	0.30
11/30/2018 04000412607	HUFFSTETTLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
11/30/2018 04000412607	HUFFSTETTLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
* MUTUAL FUNDS SUBTOTAL *				\$3,950.20	\$52.19	\$0.00	\$52.19		\$46.99

PRODUCT CATEGORY: VARIABLE ANNUITIES

11/30/2018 1011849420	JACKMAN, JENNIFER	VA PERSP L 08/11	B	66,838.62	55.70	0.00	55.70	90.0	50.13
11/30/2018 1011852102	JACKMAN, JENNIFER	VA ELITE ACCESS L	B	21,729.17	18.11	0.00	18.11	90.0	16.30
11/30/2018 1012316590	AVILA PENSION	VA PERSP L 08/11	B	536,885.66	447.40	0.00	447.40	90.0	402.66
11/30/2018 1014122890	LAMBERT, RONALD	VA PERSP L 08/11	B	86,766.62	72.31	0.00	72.31	90.0	65.08
11/30/2018 1014231907	UTLEY, MARTHA	VA PERSP L 08/11	B	288,078.99	240.07	0.00	240.07	90.0	216.06
11/30/2018 1015402721	LEFORGE, JUDY	VA PERSP L 08/11	B	41,703.68	34.75	0.00	34.75	90.0	31.28
11/30/2018 1015649484	WINTER, DONALD	VA PERSP L 08/11	B	75,596.58	63.00	0.00	63.00	90.0	56.70
11/30/2018 1015919945	NAVEL, FRIEDA	VA PERSP L 08/11	B	35,844.41	29.87	0.00	29.87	90.0	26.88
11/30/2018 1016060638	WILLIAMS, WILLIAM	VA ELITE ACCESS	B	63,089.16	52.57	0.00	52.57	90.0	47.31
11/30/2018 1016060646	WILLIAMS, WILLIAM	VA ELITE ACCESS	B	98,584.23	82.15	0.00	82.15	90.0	73.94
11/30/2018 1016060760	WILLIAMS, GLYNDA	VA ELITE ACCESS	B	6,443.58	5.37	0.00	5.37	90.0	4.83
11/30/2018 1016122048	WOODS, WILLIAM	VA PERSP L 08/11	B	118,314.00	98.59	0.00	98.59	90.0	88.73
11/30/2018 1016747269	BREEDEN TATE, MARY	VA ELITE ACCESS L	B	83,651.17	69.71	0.00	69.71	90.0	62.74

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
11/30/2018	1016835974 HOLLIDAY, REBECCA	VA ELITE ACCESS L	B	13,433.71	11.19	0.00	11.19	90.0	10.07
11/30/2018	1016922273 WILLIAMS, BRYAN	VA ELITE ACCESS L	B	12,308.03	10.26	0.00	10.26	90.0	9.23
11/30/2018	1017566284 WOODS, WILLIAM	VA ELITE ACCESS L	B	44,704.39	37.25	0.00	37.25	90.0	33.53
11/30/2018	1018403044 WILLIAMS, CLAYTON	VA ELITE ACCESS L	B	9,469.43	7.89	0.00	7.89	90.0	7.10
11/30/2018	1018603060 MILTON, MARY	VA PERSP L 08/11	B	129,746.64	108.12	0.00	108.12	90.0	97.31
11/30/2018	1018757199 STANBERY, DALLAS	VA PERSP L 08/11	B	158,247.12	131.87	0.00	131.87	90.0	118.68
* VARIABLE ANNUITIES SUBTOTAL *				\$1,891,435.19	\$1,576.18	\$0.00	\$1,576.18		\$1,418.56

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/03/2018	00057958417 SUSAN BREWER	MFT EUROPACIFIC GROWTH FUND-A	B	0.00	1.65	0.00	1.65	90.0	1.49
12/03/2018	00058662923 COPELAND, SUSAN	MFT AMERICAN MUTUAL FUND-A	B	0.00	30.69	0.00	30.69	90.0	27.62
12/03/2018	00059764272 SUSAN BREWER	MFT THE NEW ECONOMY FUND-A	B	0.00	2.35	0.00	2.35	90.0	2.12
12/03/2018	00061719081 BRYANT, BILLY	MFT AMERICAN BALANCED FUND-A	B	0.00	5.68	0.00	5.68	90.0	5.11
12/03/2018	00061719081 BRYANT, BILLY	MFT CAPITAL INCOME BUILDER-A	B	0.00	3.42	0.00	3.42	90.0	3.08
12/03/2018	00061719081 BRYANT, BILLY	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	4.02	0.00	4.02	90.0	3.62
12/03/2018	00061719081 BRYANT, BILLY	MFT EUROPACIFIC GROWTH FUND-A	B	0.00	4.34	0.00	4.34	90.0	3.91
12/03/2018	00061719081 BRYANT, BILLY	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	5.35	0.00	5.35	90.0	4.82
12/03/2018	00061719081 BRYANT, BILLY	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	6.08	0.00	6.08	90.0	5.47
12/03/2018	00062217377 RUDY W YOUNG	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	0.70	0.00	0.70	90.0	0.63
12/03/2018	00064454213 RACHEL B YOUNG	MFT EUROPACIFIC GROWTH FUND-A	B	0.00	0.37	0.00	0.37	90.0	0.33
12/03/2018	00066945947 BRELAND, DANA	MFT AMERICAN BALANCED FUND-A	B	0.00	0.82	0.00	0.82	90.0	0.74
12/03/2018	00067100686 POTTS, KATHI	MFT AMERICAN BALANCED FUND-A	B	0.00	5.95	0.00	5.95	90.0	5.36
12/03/2018	00067226846 DATUIN, MARIA	MFT AMERICAN BALANCED FUND-A	B	0.00	1.73	0.00	1.73	90.0	1.56
12/03/2018	00067226848 DATUIN, BENJAMIN	MFT AMERICAN BALANCED FUND-A	B	0.00	0.76	0.00	0.76	90.0	0.68
12/03/2018	00067229195 STAFFORD, JOHN	MFT AMERICAN BALANCED FUND-A	B	0.00	66.79	0.00	66.79	90.0	60.11
12/03/2018	00067274679 GREEN, PAULETTE	MFT AMERICAN BALANCED FUND-A	B	0.00	25.33	0.00	25.33	90.0	22.80
12/03/2018	00067398539 CAMPBELL, JENNIE	MFT AMERICAN BALANCED FUND-A	B	0.00	0.03	0.00	0.03	90.0	0.03
12/03/2018	00067494018 PARKER, RONALD	MFT AMERICAN BALANCED FUND-A	B	0.00	3.49	0.00	3.49	90.0	3.14
12/03/2018	00067541249 PATRICK, CHAD	MFT AMERICAN BALANCED FUND-529A	B	0.00	1.90	0.00	1.90	90.0	1.71
12/03/2018	00067541249 PATRICK, CHAD	MFT THE GROWTH FUND OF AMERICA-529A	B	0.00	11.39	0.00	11.39	90.0	10.25
12/03/2018	00067549730 PATRICK, CHAD	MFT AMERICAN BALANCED FUND-529A	B	0.00	1.90	0.00	1.90	90.0	1.71
12/03/2018	00067549730 PATRICK, CHAD	MFT THE GROWTH FUND OF AMERICA-529A	B	0.00	11.39	0.00	11.39	90.0	10.25
12/03/2018	00067550076 REA, ANITA	MFT AMERICAN BALANCED FUND-A	B	0.00	134.25	0.00	134.25	90.0	120.83
12/03/2018	00067962932 TURNER, CINDY	MFT AMERICAN BALANCED FUND-A	B	0.00	14.53	0.00	14.53	90.0	13.08
12/03/2018	00068087474 PULLIAM, RYAN	MFT AMERICAN BALANCED FUND-529A	B	0.00	1.99	0.00	1.99	90.0	1.79
12/03/2018	00068087474 PULLIAM, RYAN	MFT AMERICAN BALANCED FUND-529C	B	0.00	18.32	0.00	18.32	90.0	16.49
12/03/2018	00068087474 PULLIAM, RYAN	MFT FUNDAMENTAL INVESTORS-529A	B	0.00	5.28	0.00	5.28	90.0	4.75
12/03/2018	00068087474 PULLIAM, RYAN	MFT THE GROWTH FUND OF AMERICA-529A	B	0.00	1.51	0.00	1.51	90.0	1.36
12/03/2018	00068087474 PULLIAM, RYAN	MFT THE GROWTH FUND OF AMERICA-529C	B	0.00	17.27	0.00	17.27	90.0	15.54
12/03/2018	00068087475 PULLIAM, RYAN	MFT THE NEW ECONOMY FUND-529C	B	0.00	3.08	0.00	3.08	90.0	2.77
12/03/2018	00068087476 PULLIAM, RYAN	MFT AMCAP FUND-529A	B	0.00	2.74	0.00	2.74	90.0	2.47
12/03/2018	00068087476 PULLIAM, RYAN	MFT AMCAP FUND-529C	B	0.00	9.97	0.00	9.97	90.0	8.97
12/03/2018	00068087476 PULLIAM, RYAN	MFT AMERICAN BALANCED FUND-529A	B	0.00	2.04	0.00	2.04	90.0	1.84
12/03/2018	00068087476 PULLIAM, RYAN	MFT AMERICAN BALANCED FUND-529C	B	0.00	12.66	0.00	12.66	90.0	11.39

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
12/03/2018 00068087476	PULLIAM, RYAN	MFT THE NEW ECONOMY FUND-529A	B	0.00	1.75	0.00	1.75	90.0	1.58
12/03/2018 00068087476	PULLIAM, RYAN	MFT THE NEW ECONOMY FUND-529C	B	0.00	18.36	0.00	18.36	90.0	16.52
12/03/2018 00068406534	HESTER, LANA	MFT AMERICAN BALANCED FUND-A	B	0.00	13.55	0.00	13.55	90.0	12.20
12/03/2018 00068424623	SMITH, THOMAS	MFT AMERICAN BALANCED FUND-A	B	0.00	3.11	0.00	3.11	90.0	2.80
12/03/2018 00068424625	GOWAN, MARY	MFT AMERICAN BALANCED FUND-A	B	0.00	4.51	0.00	4.51	90.0	4.06
12/03/2018 00068424625	GOWAN, MARY	MFT AMERICAN BALANCED FUND-C	B	0.00	13.12	0.00	13.12	90.0	11.81
12/03/2018 00068428272	DAVIS, PAULA	MFT AMERICAN BALANCED FUND-A	B	0.00	0.92	0.00	0.92	90.0	0.83
12/03/2018 00068732412	LIPSHIE, SAMUEL	MFT AMERICAN BALANCED FUND-C	B	0.00	97.23	0.00	97.23	90.0	87.51
12/03/2018 00068732412	LIPSHIE, SAMUEL	MFT AMERICAN BALANCED FUND-F1	B	0.00	9.11	0.00	9.11	90.0	8.20
12/03/2018 00068735325	PLUNK, TAMMY	MFT AMERICAN BALANCED FUND-A	B	0.00	19.58	0.00	19.58	90.0	17.62
12/03/2018 00068735325	PLUNK, TAMMY	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	7.40	0.00	7.40	90.0	6.66
12/03/2018 00068990281	VINCENT, JEFFREY	MFT AMERICAN BALANCED FUND-A	B	0.00	3.65	0.00	3.65	90.0	3.29
12/03/2018 00068990281	VINCENT, JEFFREY	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	14.44	0.00	14.44	90.0	13.00
12/03/2018 00068990281	VINCENT, JEFFREY	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	15.73	0.00	15.73	90.0	14.16
12/03/2018 00069032890	THORNTON, WILLIAM	MFT AMERICAN MUTUAL FUND-A	B	0.00	0.52	0.00	0.52	90.0	0.47
12/03/2018 00069032892	BROWNING, BRANDON	MFT AMERICAN MUTUAL FUND-A	B	0.00	13.06	0.00	13.06	90.0	11.75
12/03/2018 00069106903	COPELAND, SUSAN	MFT AMERICAN BALANCED FUND-A	B	0.00	50.79	0.00	50.79	90.0	45.71
12/03/2018 00069106903	COPELAND, SUSAN	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	28.55	0.00	28.55	90.0	25.70
12/03/2018 00069106903	COPELAND, SUSAN	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	33.74	0.00	33.74	90.0	30.37
12/03/2018 00073207913	BLACK, DEBORAH	MFT AMERICAN BALANCED FUND-A	B	0.00	9.23	0.00	9.23	90.0	8.31
12/03/2018 00073207913	BLACK, DEBORAH	MFT AMERICAN BALANCED FUND-C	B	0.00	51.58	0.00	51.58	90.0	46.42
12/03/2018 00073262594	ANGELL, DWAYNE	MFT AMERICAN BALANCED FUND-A	B	0.00	3.87	0.00	3.87	90.0	3.48
12/03/2018 00073262594	ANGELL, DWAYNE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	5.00	0.00	5.00	90.0	4.50
12/03/2018 00073262594	ANGELL, DWAYNE	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	4.07	0.00	4.07	90.0	3.66
12/03/2018 00073263858	SHARROW, ADRIENNE	MFT THE INVESTMENT COMPANY OF	B	0.00	0.11	0.00	0.11	90.0	0.10
12/03/2018 00073624246	KELLY, LARRY	MFT AMERICAN BALANCED FUND-A	B	0.00	11.00	0.00	11.00	90.0	9.90
12/03/2018 00073626752	SMITH, JEANINE	MFT AMERICAN BALANCED FUND-A	B	0.00	19.26	0.00	19.26	90.0	17.33
12/03/2018 00073626752	SMITH, JEANINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	13.04	0.00	13.04	90.0	11.74
12/03/2018 00073626752	SMITH, JEANINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	2.40	0.00	2.40	90.0	2.16
12/03/2018 00073626752	SMITH, JEANINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	21.46	0.00	21.46	90.0	19.31
12/03/2018 00073626752	SMITH, JEANINE	MFT THE INVESTMENT COMPANY OF	B	0.00	9.21	0.00	9.21	90.0	8.29
12/03/2018 00073626752	SMITH, JEANINE	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	9.14	0.00	9.14	90.0	8.23
12/03/2018 00073693893	HICKS,	MFT AMERICAN BALANCED FUND-A	B	0.00	5.62	0.00	5.62	90.0	5.06
12/03/2018 00073693893	HICKS,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.09	0.00	1.09	90.0	0.98
12/03/2018 00073693893	HICKS,	MFT THE NEW ECONOMY FUND-A	B	0.00	1.08	0.00	1.08	90.0	0.97
12/03/2018 00073739173	BEARD, PATRICK	MFT INVESTMENT COMPANY OF AMERICA	B	0.00	22.99	0.00	22.99	90.0	20.69
12/03/2018 00073739173	BEARD, PATRICK	MFT THE INVESTMENT COMPANY OF	B	0.00	5.50	0.00	5.50	90.0	4.95
12/03/2018 00073762177	JARRETT, MILTON	MFT INVESTMENT COMPANY OF AMERICA	B	0.00	0.99	0.00	0.99	90.0	0.89
12/03/2018 00074314683	SHEFFIELD, ANGELA	MFT AMERICAN BALANCED FUND-A	B	0.00	1.02	0.00	1.02	90.0	0.92
12/03/2018 00074399433	STAFFORD, KELLY	MFT AMERICAN BALANCED FUND-A	B	0.00	5.42	0.00	5.42	90.0	4.88
12/03/2018 00074399433	STAFFORD, KELLY	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	1.85	0.00	1.85	90.0	1.67
12/03/2018 00074399433	STAFFORD, KELLY	MFT FUNDAMENTAL INVESTORS-A	B	0.00	5.40	0.00	5.40	90.0	4.86
12/03/2018 00074399433	STAFFORD, KELLY	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	6.97	0.00	6.97	90.0	6.27
12/03/2018 00074694907	REYNOLDS, BETHANY	MFT AMERICAN BALANCED FUND-A	B	0.00	7.57	0.00	7.57	90.0	6.81

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
12/03/2018 00074694907	REYNOLDS, BETHANY	MFT AMERICAN BALANCED FUND-C	B	0.00	34.36	0.00	34.36	90.0	30.92
12/03/2018 00074830429	WHALEY, SHERRY	MFT AMERICAN BALANCED FUND-A	B	0.00	14.75	0.00	14.75	90.0	13.28
12/03/2018 00074830429	WHALEY, SHERRY	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	9.89	0.00	9.89	90.0	8.90
12/03/2018 00074830429	WHALEY, SHERRY	MFT THE INVESTMENT COMPANY OF	B	0.00	7.98	0.00	7.98	90.0	7.18
12/03/2018 00074853025	RAY, SAMANTHA	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	0.94	0.00	0.94	90.0	0.85
12/03/2018 00074853025	RAY, SAMANTHA	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	5.02	0.00	5.02	90.0	4.52
12/03/2018 00074856467	CARRIGAN, WENDI	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	0.40	0.00	0.40	90.0	0.36
12/03/2018 00074856467	CARRIGAN, WENDI	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.51	0.00	0.51	90.0	0.46
12/03/2018 00074856467	CARRIGAN, WENDI	MFT THE INCOME FUND OF AMERICA-A	B	0.00	0.38	0.00	0.38	90.0	0.34
12/03/2018 00074856467	CARRIGAN, WENDI	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	0.28	0.00	0.28	90.0	0.25
12/03/2018 00074927499	PHILLIP M FILTZ	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.92	0.00	0.92	90.0	0.83
12/03/2018 00075317599	COPELAND, SUSAN	MFT AMERICAN BALANCED FUND-529A	B	0.00	10.50	0.00	10.50	90.0	9.45
12/03/2018 00075317599	COPELAND, SUSAN	MFT FUNDAMENTAL INVESTORS-529A	B	0.00	11.92	0.00	11.92	90.0	10.73
12/03/2018 00075976707	HIGGINS, CYNTHIA	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	4.63	0.00	4.63	90.0	4.17
12/03/2018 00075976707	HIGGINS, CYNTHIA	MFT FUNDAMENTAL INVESTORS-A	B	0.00	6.11	0.00	6.11	90.0	5.50
12/03/2018 00075976707	HIGGINS, CYNTHIA	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	6.18	0.00	6.18	90.0	5.56
12/03/2018 00081216385	ADAMSON, GAIL	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	0.59	0.00	0.59	90.0	0.53
12/03/2018 00081216385	ADAMSON, GAIL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.77	0.00	0.77	90.0	0.69
12/03/2018 00081216385	ADAMSON, GAIL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.42	0.00	1.42	90.0	1.28
12/03/2018 00081559943	BONDURANT,	MFT CAPITAL WORLD GROWTH AND	B	0.00	7.57	0.00	7.57	90.0	6.81
12/03/2018 00081559943	BONDURANT,	MFT FUNDAMENTAL INVESTORS-529A	B	0.00	12.01	0.00	12.01	90.0	10.81
12/03/2018 00081559943	BONDURANT,	MFT NEW PERSPECTIVE FUND-529A	B	0.00	10.96	0.00	10.96	90.0	9.86
12/03/2018 00081559943	BONDURANT,	MFT THE GROWTH FUND OF AMERICA-529A	B	0.00	13.38	0.00	13.38	90.0	12.04
12/03/2018 00081840039	STAFFORD, JOHN	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	6.78	0.00	6.78	90.0	6.10
12/03/2018 00081840039	STAFFORD, JOHN	MFT FUNDAMENTAL INVESTORS-A	B	0.00	26.52	0.00	26.52	90.0	23.87
12/03/2018 00081840039	STAFFORD, JOHN	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	24.00	0.00	24.00	90.0	21.60
12/03/2018 00081948467	EVANS, LULA	MFT AMERICAN BALANCED FUND-A	B	0.00	26.57	0.00	26.57	90.0	23.91
12/03/2018 00081948467	EVANS, LULA	MFT THE INCOME FUND OF AMERICA-A	B	0.00	6.53	0.00	6.53	90.0	5.88
12/03/2018 00081948520	WRIGHT, SHELIA	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	0.07	0.00	0.07	90.0	0.06
12/03/2018 00081948520	WRIGHT, SHELIA	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.04	0.00	0.04	90.0	0.04
12/03/2018 00081948549	HINDS, MICHAEL	MFT AMERICAN BALANCED FUND-A	B	0.00	63.96	0.00	63.96	90.0	57.56
12/03/2018 00081948549	HINDS, MICHAEL	MFT AMERICAN HIGH-INCOME TRUST-A	B	0.00	49.81	0.00	49.81	90.0	44.83
12/03/2018 00081948549	HINDS, MICHAEL	MFT U.S. GOVERNMENT SECURITIES FUND	B	0.00	44.59	0.00	44.59	90.0	40.13
12/03/2018 00081948660	FUZZELL, SHELIA	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	0.03	0.00	0.03	90.0	0.03
12/03/2018 00081948660	FUZZELL, SHELIA	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.02	0.00	0.02	90.0	0.02
12/03/2018 00081948685	SHELTON, LAURA	MFT FUNDAMENTAL INVESTORS-A	B	0.00	3.33	0.00	3.33	90.0	3.00
12/03/2018 00081948685	SHELTON, LAURA	MFT NEW PERSPECTIVE FUND-A	B	0.00	2.91	0.00	2.91	90.0	2.62
12/03/2018 00081948685	SHELTON, LAURA	MFT NEW WORLD FUND-A	B	0.00	0.42	0.00	0.42	90.0	0.38
12/03/2018 00081948685	SHELTON, LAURA	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	3.21	0.00	3.21	90.0	2.89
12/03/2018 00081948685	SHELTON, LAURA	MFT THE NEW ECONOMY FUND-A	B	0.00	2.27	0.00	2.27	90.0	2.04
12/03/2018 00082608144	JOHNSON, VOINDA	MFT AMERICAN BALANCED FUND-A	B	0.00	25.04	0.00	25.04	90.0	22.54
12/03/2018 00082608144	JOHNSON, VOINDA	MFT FUNDAMENTAL INVESTORS-A	B	0.00	6.47	0.00	6.47	90.0	5.82
12/03/2018 00083482016	PALM, CAITLIN	MFT AMERICAN BALANCED FUND-C	B	0.00	2.17	0.00	2.17	90.0	1.95
12/03/2018 00083482016	PALM, CAITLIN	MFT AMERICAN BALANCED FUND-F1	B	0.00	0.87	0.00	0.87	90.0	0.78

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
12/03/2018 00083482016	PALM, CAITLIN	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	1.03	0.00	1.03	90.0	0.93
12/03/2018 00083482016	PALM, CAITLIN	MFT CAPITAL WORLD GROWTH AND	B	0.00	0.35	0.00	0.35	90.0	0.32
12/03/2018 00083482016	PALM, CAITLIN	MFT GROWTH FUND OF AMERICA CLASS F	B	0.00	0.40	0.00	0.40	90.0	0.36
12/03/2018 00083482016	PALM, CAITLIN	MFT THE GROWTH FUND OF AMERICA-C	B	0.00	1.43	0.00	1.43	90.0	1.29
12/03/2018 00083601997	DAVIS, AMANDA	MFT AMERICAN BALANCED FUND-C	B	0.00	15.40	0.00	15.40	90.0	13.86
12/03/2018 00083601997	DAVIS, AMANDA	MFT AMERICAN BALANCED FUND-F1	B	0.00	1.30	0.00	1.30	90.0	1.17
12/03/2018 00084156213	GILLIAM,	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	0.92	0.00	0.92	90.0	0.83
12/03/2018 00084156213	GILLIAM,	MFT NEW WORLD FUND-A	B	0.00	0.27	0.00	0.27	90.0	0.24
12/03/2018 00084156213	GILLIAM,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.83	0.00	1.83	90.0	1.65
12/03/2018 00085662984	SYMMES, DEBRA	MFT AMERICAN BALANCED FUND-A	B	0.00	24.77	0.00	24.77	90.0	22.29
12/03/2018 00085662984	SYMMES, DEBRA	MFT AMERICAN HIGH-INCOME TRUST-A	B	0.00	19.20	0.00	19.20	90.0	17.28
12/03/2018 00085662984	SYMMES, DEBRA	MFT U.S. GOVERNMENT SECURITIES FUND	B	0.00	1.32	0.00	1.32	90.0	1.19
12/03/2018 00085663287	CHEATHAM, JACQUE	MFT BALANCED PORTFOLIO-A	B	0.00	39.10	0.00	39.10	90.0	35.19
12/03/2018 00087734807	JARRED, GINA	MFT AMERICAN BALANCED FUND-C	B	0.00	20.79	0.00	20.79	90.0	18.71
12/03/2018 00089213121	ADCOCK, JACKSON	MFT AMERICAN FUNDS 2060 TARGET	B	0.00	1.78	0.00	1.78	90.0	1.60
12/03/2018 00089597043	MCINTOSH, GINA	MFT GROWTH PORTFOLIO-C	B	0.00	5.82	0.00	5.82	90.0	5.24
12/03/2018 00089696651	ALEXANDER,	MFT CAPITAL INCOME BUILDER CLASS C	B	0.00	2.13	0.00	2.13	90.0	1.92
12/03/2018 00089696651	ALEXANDER,	MFT INVESTMENT COMPANY OF AMERICA	B	0.00	2.71	0.00	2.71	90.0	2.44
12/03/2018 00089696651	ALEXANDER,	MFT THE GROWTH FUND OF AMERICA-C	B	0.00	2.99	0.00	2.99	90.0	2.69
12/03/2018 00089696666	STOOKSBERRY,	MFT AMERICAN BALANCED FUND-C	B	0.00	13.70	0.00	13.70	90.0	12.33
12/03/2018 00089696672	LAMB, TERESA	MFT AMERICAN BALANCED FUND-C	B	0.00	8.16	0.00	8.16	90.0	7.34
12/03/2018 00089788987	GARGUS, LORI	MFT AMERICAN BALANCED FUND-C	B	0.00	4.36	0.00	4.36	90.0	3.92
12/03/2018 00089980324	SMITH, TRISHA	MFT AMERICAN BALANCED FUND-C	B	0.00	3.03	0.00	3.03	90.0	2.73
12/07/2018 01486461963	GRIGGS, SHERRY	MFT FIDELITY ADVISOR HEALTH CARE FD	B	0.00	3.90	0.00	3.90	90.0	3.51
12/03/2018 04000020515	PLAN, SEP	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	5.89	0.00	5.89	90.0	5.30
12/03/2018 04000412607	HUFFSTETLER,	MFT AMERICAN BALANCED FUND-C	B	0.00	1.19	0.00	1.19	90.0	1.07
12/03/2018 04000496494	STAFFORD, JOHN	MFT GLOBAL GROWTH PORTFOLIO-C	B	0.00	68.50	0.00	68.50	90.0	61.65
12/03/2018 04000496494	STAFFORD, JOHN	MFT GROWTH PORTFOLIO-C	B	0.00	71.65	0.00	71.65	90.0	64.49
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$1,774.76	\$0.00	\$1,774.76		\$1,597.35
*** DIRECT TRANSACTIONS TOTAL ***				\$1,895,385.39	\$3,403.13	\$0.00	\$3,403.13		\$3,062.90

BROKER COMMISSION TOTALS

Broker Transactions	\$3,062.90
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	\$3,062.90
Year-to-date Commissions	\$55,498.82