

COMMISSION STATEMENT

October 31, 2018

RANDY SMITH-D061
 9000 Highway 2147 West
 Suite 201
 Horseshoe Bay, TX 78657

BROKER #: D061
 BRANCH: DMA

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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CLEARING TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

10/01/2018	153180186	BANNWORTH, CHARLES	MF	FUNDAMENTAL INVESTORS-A	B	-600.00	0.00	5.00	-5.00	50.0	-2.50
10/01/2018	153180186	BANNWORTH, CHARLES	MF	NEW PERSPECTIVE FUND-A	B	-600.00	0.00	5.00	-5.00	50.0	-2.50
10/15/2018	368282032	MARTINEZ, RAYMOND	MF	WASHINGTON MUTUAL INVESTORS	B	-4,387.55	0.00	5.00	-5.00	50.0	-2.50
10/15/2018	368282032	MARTINEZ, RAYMOND	MF	WASHINGTON MUTUAL INVESTORS	B	-1,647.55	0.00	5.00	-5.00	50.0	-2.50
10/18/2018	368282032	MARTINEZ, RAYMOND	MF	WASHINGTON MUTUAL INVESTORS	B	-447.55	0.00	5.00	-5.00	50.0	-2.50
10/01/2018	368430697	BURTON, RUSSELL	MF	CAPITAL INCOME BUILDER-F1	B	-2,477.55	0.00	5.00	-5.00	50.0	-2.50
10/12/2018	677002494	SHEWITZ, ZACHARY	MF	DAVIS NEW YORK VENTURE CLASS A	S	-248.00	0.00	5.00	-5.00	50.0	-2.50
10/12/2018	677002494	SHEWITZ, ZACHARY	MF	MASS INVESTORS GROWTH STOCK	S	-292.06	0.00	5.00	-5.00	50.0	-2.50
10/12/2018	677204159	SCHROEDER, RICHARD	MF	AMERICAN HIGH-INCOME TRUST-A	B	-1,977.55	0.00	5.00	-5.00	50.0	-2.50
				* MUTUAL FUNDS SUBTOTAL *		\$-12,677.81	\$0.00	\$45.00	\$-45.00		\$-22.50

PRODUCT CATEGORY: STOCKS

09/28/2018	246833405	EVETTS, JAMES	S	NATIONAL GRID	S	-7,541.10	25.00	15.00	10.00	50.0	5.00
10/02/2018	246833405	EVETTS, JAMES	S	GENERAL ELECTRIC COMPANY	B	2,175.60	35.00	15.00	20.00	50.0	10.00
10/02/2018	246833405	EVETTS, JAMES	S	GEO GROUP INC NEW/ THE	B	2,488.95	35.00	15.00	20.00	50.0	10.00
10/02/2018	246833405	EVETTS, JAMES	S	KIMCO REALTY CORP COM STK_(MD)	B	1,669.31	35.00	15.00	20.00	50.0	10.00
10/02/2018	246833405	EVETTS, JAMES	S	MEDICAL PROPERTIES TRUST INC	B	1,499.31	35.00	15.00	20.00	50.0	10.00
10/15/2018	492642569	MCLEOD, MARTHA	S	ETFMG ALTERNATIVE HARVEST ETF	B	70,313.92	35.00	15.00	20.00	50.0	10.00
10/17/2018	492642569	MCLEOD, MARTHA	S	ETFMG ALTERNATIVE HARVEST ETF	B	196,384.45	35.00	15.00	20.00	50.0	10.00
10/17/2018	492642569	MCLEOD, MARTHA	S	ETFMG ALTERNATIVE HARVEST ETF	S	-66,431.69	35.00	15.00	20.00	50.0	10.00
10/01/2018	676362695	SMITH, RANDALL	S	CARNIVAL CORP NEW PARIED COM	B	6,470.95	25.00	15.00	10.00	50.0	5.00
10/02/2018	676367088	SMITH, RANDALL	S	KIMCO REALTY CORP COM STK_(MD)	B	9,777.39	25.00	15.00	10.00	50.0	5.00
10/02/2018	676367088	SMITH, RANDALL	S	MEDICAL PROPERTIES TRUST INC	B	14,667.35	25.00	15.00	10.00	50.0	5.00
10/02/2018	676367088	SMITH, RANDALL	S	ROYAL DUTCH SHELL PLC-SPON ADR	B	14,265.17	25.00	15.00	10.00	50.0	5.00
10/02/2018	676367088	SMITH, RANDALL	S	WP CAREY INC	B	19,098.45	25.00	15.00	10.00	50.0	5.00
				* STOCKS SUBTOTAL *		\$264,838.06	\$395.00	\$195.00	\$200.00		\$100.00

PRODUCT CATEGORY: MISCELLANEOUS

10/02/2018	a03219642	SMITH-D061, RANDY	MI	MUTUAL FUND MISC FEE 368430697	S	0.00	20.00	0.00	20.00	50.0	10.00
10/15/2018	a03219642	SMITH-D061, RANDY	MI	MUTUAL FUND MISC FEE 677002494	S	0.00	10.00	0.00	10.00	50.0	5.00
10/15/2018	a03219642	SMITH-D061, RANDY	MI	MUTUAL FUND MISC FEE 677002494	S	0.00	10.00	0.00	10.00	50.0	5.00
10/15/2018	a03219642	SMITH-D061, RANDY	MI	MUTUAL FUND MISC FEE 677204159	S	0.00	20.00	0.00	20.00	50.0	10.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
10/16/2018	a03219642 SMITH-D061, RANDY	MI MUTUAL FUND MISC FEE 368282032	S	0.00	10.00	0.00	10.00	50.0	5.00
* MISCELLANEOUS SUBTOTAL *				\$0.00	\$70.00	\$0.00	\$70.00		\$35.00

PRODUCT CATEGORY: CERTIFICATES OF DEPOSIT

10/23/2018	152981027 BURTON, RUSSELL	CD BOSTON PRIVATE BK & TR CO MA	B	39,000.00	16.58	20.00	-3.42	50.0	-1.71
* CERTIFICATES OF DEPOSIT SUBTOTAL *				\$39,000.00	\$16.58	\$20.00	\$-3.42		\$-1.71

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/19/2018	mfc219642	SMITH RANDALL	MFT AIM GLOBAL AGGRESSIVE GROWTH	B	0.00	3.71	0.00	3.71	50.0	1.86
10/19/2018	mfc219642	SMITH RANDALL	MFT AIM GLOBAL AGGRESSIVE GROWTH	B	0.00	3.90	0.00	3.90	50.0	1.95
10/19/2018	mfc219642	SMITH RANDALL	MFT ALLIANCEBERNSTEIN GLO GOVT INC	B	0.00	10.85	0.00	10.85	50.0	5.43
10/19/2018	mfc219642	SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	2.20	0.00	2.20	50.0	1.10
10/19/2018	mfc219642	SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	7.49	0.00	7.49	50.0	3.75
10/19/2018	mfc219642	SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	11.69	0.00	11.69	50.0	5.85
10/19/2018	mfc219642	SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	14.04	0.00	14.04	50.0	7.02
10/19/2018	mfc219642	SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	16.51	0.00	16.51	50.0	8.26
10/19/2018	mfc219642	SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	17.14	0.00	17.14	50.0	8.57
10/19/2018	mfc219642	SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	20.18	0.00	20.18	50.0	10.09
10/19/2018	mfc219642	SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	20.31	0.00	20.31	50.0	10.16
10/19/2018	mfc219642	SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	31.24	0.00	31.24	50.0	15.62
10/19/2018	mfc219642	SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	41.82	0.00	41.82	50.0	20.91
10/19/2018	mfc219642	SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	42.87	0.00	42.87	50.0	21.44
10/19/2018	mfc219642	SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	62.46	0.00	62.46	50.0	31.23
10/19/2018	mfc219642	SMITH RANDALL	MFT AMERICAN BALANCED FUND-F1	B	0.00	11.46	0.00	11.46	50.0	5.73
10/19/2018	mfc219642	SMITH RANDALL	MFT AMERICAN HIGH-INCOME TRUST-A	B	0.00	16.55	0.00	16.55	50.0	8.28
10/19/2018	mfc219642	SMITH RANDALL	MFT AMERICAN MUTUAL FUND-A	B	0.00	5.39	0.00	5.39	50.0	2.70
10/19/2018	mfc219642	SMITH RANDALL	MFT CAPITAL APPRECIATION A	B	0.00	1.95	0.00	1.95	50.0	0.98
10/19/2018	mfc219642	SMITH RANDALL	MFT CAPITAL INCOME BUILDER-A	B	0.00	1.74	0.00	1.74	50.0	0.87
10/19/2018	mfc219642	SMITH RANDALL	MFT CAPITAL INCOME BUILDER-A	B	0.00	4.82	0.00	4.82	50.0	2.41
10/19/2018	mfc219642	SMITH RANDALL	MFT CAPITAL INCOME BUILDER-A	B	0.00	14.54	0.00	14.54	50.0	7.27
10/19/2018	mfc219642	SMITH RANDALL	MFT CAPITAL INCOME BUILDER-A	B	0.00	17.72	0.00	17.72	50.0	8.86
10/19/2018	mfc219642	SMITH RANDALL	MFT CAPITAL INCOME BUILDER-A	B	0.00	22.71	0.00	22.71	50.0	11.36
10/19/2018	mfc219642	SMITH RANDALL	MFT CAPITAL INCOME BUILDER-A	B	0.00	79.00	0.00	79.00	50.0	39.50
10/19/2018	mfc219642	SMITH RANDALL	MFT CAPITAL INCOME BUILDER-F1	B	0.00	1.16	0.00	1.16	50.0	0.58
10/19/2018	mfc219642	SMITH RANDALL	MFT CAPITAL INCOME BUILDER-F1	B	0.00	3.29	0.00	3.29	50.0	1.65
10/19/2018	mfc219642	SMITH RANDALL	MFT CAPITAL INCOME BUILDER-F1	B	0.00	15.58	0.00	15.58	50.0	7.79
10/19/2018	mfc219642	SMITH RANDALL	MFT CAPITAL WORLD BOND FUND-A	B	0.00	5.70	0.00	5.70	50.0	2.85
10/19/2018	mfc219642	SMITH RANDALL	MFT DAVIS NEW YORK VENTURE CLASS A	B	0.00	0.06	0.00	0.06	50.0	0.03
10/19/2018	mfc219642	SMITH RANDALL	MFT DEUTSCHE STRATEGIC HIGH YIELD	B	0.00	6.87	0.00	6.87	50.0	3.44
10/19/2018	mfc219642	SMITH RANDALL	MFT DEUTSCHE STRATEGIC HIGH YIELD	B	0.00	15.70	0.00	15.70	50.0	7.85
10/19/2018	mfc219642	SMITH RANDALL	MFT DREYFUS HIGH YIELD FD A	B	0.00	2.92	0.00	2.92	50.0	1.46
10/19/2018	mfc219642	SMITH RANDALL	MFT DREYFUS PREMIER TECHNOLOGY	B	0.00	4.09	0.00	4.09	50.0	2.05
10/19/2018	mfc219642	SMITH RANDALL	MFT EATON VANCE UTILITIES FUND	B	0.00	2.68	0.00	2.68	50.0	1.34
10/19/2018	mfc219642	SMITH RANDALL	MFT EUROPACIFIC GROWTH FUND-A	B	0.00	0.35	0.00	0.35	50.0	0.18
10/19/2018	mfc219642	SMITH RANDALL	MFT FIDELITY ADVISOR INDUSTRIAL FD	B	0.00	18.28	0.00	18.28	50.0	9.14

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10/19/2018	mfc219642 SMITH RANDALL	MFT FIDELITY ADVISOR EMERGING ASIA	B	0.00	8.62	0.00	8.62	50.0	4.31
10/19/2018	mfc219642 SMITH RANDALL	MFT FIDELITY ADVISOR MID CAP STOCK	B	0.00	5.69	0.00	5.69	50.0	2.85
10/19/2018	mfc219642 SMITH RANDALL	MFT FIDELITY ADV EMERGING MRKTS INC	B	0.00	3.29	0.00	3.29	50.0	1.65
10/19/2018	mfc219642 SMITH RANDALL	MFT FIDELITY ADVISOR SMALL CAP FUND	B	0.00	6.26	0.00	6.26	50.0	3.13
10/19/2018	mfc219642 SMITH RANDALL	MFT FRANKLIN GROWTH FUND CLASS A	B	0.00	6.33	0.00	6.33	50.0	3.17
10/19/2018	mfc219642 SMITH RANDALL	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	60.61	0.00	60.61	50.0	30.31
10/19/2018	mfc219642 SMITH RANDALL	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	1.46	0.00	1.46	50.0	0.73
10/19/2018	mfc219642 SMITH RANDALL	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	5.72	0.00	5.72	50.0	2.86
10/19/2018	mfc219642 SMITH RANDALL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	1.16	0.00	1.16	50.0	0.58
10/19/2018	mfc219642 SMITH RANDALL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	1.56	0.00	1.56	50.0	0.78
10/19/2018	mfc219642 SMITH RANDALL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	6.35	0.00	6.35	50.0	3.18
10/19/2018	mfc219642 SMITH RANDALL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	13.80	0.00	13.80	50.0	6.90
10/19/2018	mfc219642 SMITH RANDALL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	29.95	0.00	29.95	50.0	14.98
10/19/2018	mfc219642 SMITH RANDALL	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	12.35	0.00	12.35	50.0	6.18
10/19/2018	mfc219642 SMITH RANDALL	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	12.63	0.00	12.63	50.0	6.32
10/19/2018	mfc219642 SMITH RANDALL	MFT INVESCO VALUE OPPORTUNITIES	B	0.00	4.77	0.00	4.77	50.0	2.39
10/19/2018	mfc219642 SMITH RANDALL	MFT INVESCO VALUE OPPORTUNITIES	B	0.00	4.92	0.00	4.92	50.0	2.46
10/19/2018	mfc219642 SMITH RANDALL	MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.07	0.00	0.07	50.0	0.04
10/19/2018	mfc219642 SMITH RANDALL	MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.07	0.00	0.07	50.0	0.04
10/19/2018	mfc219642 SMITH RANDALL	MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.43	0.00	0.43	50.0	0.22
10/19/2018	mfc219642 SMITH RANDALL	MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.61	0.00	0.61	50.0	0.31
10/19/2018	mfc219642 SMITH RANDALL	MFT MFS LIMITED MATURITY FUND-A	B	0.00	0.01	0.00	0.01	50.0	0.01
10/19/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	4.87	0.00	4.87	50.0	2.44
10/19/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	5.08	0.00	5.08	50.0	2.54
10/19/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	5.80	0.00	5.80	50.0	2.90
10/19/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	6.26	0.00	6.26	50.0	3.13
10/19/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	28.70	0.00	28.70	50.0	14.35
10/19/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	66.45	0.00	66.45	50.0	33.23
10/19/2018	mfc219642 SMITH RANDALL	MFT OPPENHEIMERFUNDS 68381A103	B	0.00	12.21	0.00	12.21	50.0	6.11
10/19/2018	mfc219642 SMITH RANDALL	MFT OPPENHEIMERFUNDS 68381A103	B	0.00	13.89	0.00	13.89	50.0	6.95
10/19/2018	mfc219642 SMITH RANDALL	MFT OPPENHEIMERFUNDS 68381A103	B	0.00	15.58	0.00	15.58	50.0	7.79
10/19/2018	mfc219642 SMITH RANDALL	MFT OPPENHEIMERFUNDS 68381A103	B	0.00	38.41	0.00	38.41	50.0	19.21
10/19/2018	mfc219642 SMITH RANDALL	MFT PRUDENTIAL JENNISON UTILITY FD	B	0.00	19.33	0.00	19.33	50.0	9.67
10/19/2018	mfc219642 SMITH RANDALL	MFT PUTNAM GLOBAL EQUITY FUND CLASS	B	0.00	0.11	0.00	0.11	50.0	0.06
10/19/2018	mfc219642 SMITH RANDALL	MFT TAX-EXEMPT BOND FUND OF AMERICA	B	0.00	8.44	0.00	8.44	50.0	4.22
10/19/2018	mfc219642 SMITH RANDALL	MFT THE BOND FUND OF AMERICA-A	B	0.00	1.32	0.00	1.32	50.0	0.66
10/19/2018	mfc219642 SMITH RANDALL	MFT THE BOND FUND OF AMERICA-A	B	0.00	10.58	0.00	10.58	50.0	5.29
10/19/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.04	0.00	0.04	50.0	0.02
10/19/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.55	0.00	0.55	50.0	0.28
10/19/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.61	0.00	0.61	50.0	0.31
10/19/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	4.04	0.00	4.04	50.0	2.02
10/19/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	17.17	0.00	17.17	50.0	8.59
10/19/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	0.10	0.00	0.10	50.0	0.05
10/19/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	3.15	0.00	3.15	50.0	1.58

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10/19/2018 mfc219642	SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	6.32	0.00	6.32	50.0	3.16
10/19/2018 mfc219642	SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	15.22	0.00	15.22	50.0	7.61
10/19/2018 mfc219642	SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	92.80	0.00	92.80	50.0	46.40
10/19/2018 mfc219642	SMITH RANDALL	MFT THORNBURG INTERM MUNI NATL FD	B	0.00	2.97	0.00	2.97	50.0	1.49
10/19/2018 mfc219642	SMITH RANDALL	MFT VALUE A	B	0.00	3.89	0.00	3.89	50.0	1.95
10/19/2018 mfc219642	SMITH RANDALL	MFT VALUE A	B	0.00	9.67	0.00	9.67	50.0	4.84
10/19/2018 mfc219642	SMITH RANDALL	MFT VOYA HIGH YIELD BOND FD A	B	0.00	1.88	0.00	1.88	50.0	0.94
10/19/2018 mfc219642	SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.07	0.00	1.07	50.0	0.54
10/19/2018 mfc219642	SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.40	0.00	1.40	50.0	0.70
10/19/2018 mfc219642	SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	5.24	0.00	5.24	50.0	2.62
10/19/2018 mfc219642	SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	5.51	0.00	5.51	50.0	2.76
10/19/2018 mfc219642	SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	58.96	0.00	58.96	50.0	29.48
10/19/2018 mfc219642	SMITH RANDALL	MFT WELLS FARGO HIGH YIELD BOND-A	B	0.00	1.61	0.00	1.61	50.0	0.81
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$1,214.86	\$0.00	\$1,214.86		\$607.66
*** CLEARING TRANSACTIONS TOTAL ***				\$291,160.25	\$1,696.44	\$260.00	\$1,436.44		\$718.45

DIRECT TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

10/05/2018 (None) SMITH, MAR G	MF	OPPENHEIMER	B	50.00	2.38	0.00	2.38	50.0	1.19
10/15/2018 (None) JONES, MARY	MF	OPPENHEIMER	B	1,000.00	47.50	0.00	47.50	50.0	23.75
10/12/2018 00075390701 MURPHY, DEBORAH	MF	INTERMEDIATE BOND FUND OF	B	1,000.00	20.00	0.00	20.00	50.0	10.00
10/12/2018 00075396784 CASTANEDA, SANDRA	MF	THE GROWTH FUND OF AMERICA-A	B	70.00	1.40	0.00	1.40	50.0	0.70
10/25/2018 00083359485 SCHLESSIGER,	MF	AMERICAN BALANCED FUND-A	B	50.00	2.50	0.00	2.50	50.0	1.25
10/12/2018 00083949478 LIMON, ELIZABETH	MF	AMERICAN BALANCED FUND-A	B	160.00	3.20	0.00	3.20	50.0	1.60
10/12/2018 00083949478 LIMON, ELIZABETH	MF	AMERICAN BALANCED FUND-A	B	160.00	3.20	0.00	3.20	50.0	1.60
10/12/2018 00084366836 MENDOZA, SANDRA	MF	AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
10/12/2018 00084366836 MENDOZA, SANDRA	MF	AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
10/16/2018 00084512960 GIBBS, KENDRA	MF	CAPITAL WORLD GROWTH AND INCOME	B	170.00	6.38	0.00	6.38	50.0	3.19
10/16/2018 00084512960 GIBBS, KENDRA	MF	NEW PERSPECTIVE FUND-A	B	165.00	6.19	0.00	6.19	50.0	3.10
10/16/2018 00084512960 GIBBS, KENDRA	MF	THE GROWTH FUND OF AMERICA-A	B	165.00	6.19	0.00	6.19	50.0	3.10
10/22/2018 00085302677 JORGE ALEXANDER	MF	AMERICAN BALANCED FUND-A	B	50.00	2.50	0.00	2.50	50.0	1.25
10/25/2018 00087364129 DORER, SONIA	MF	AMERICAN BALANCED FUND-A	B	250.00	6.88	0.00	6.88	50.0	3.44
10/25/2018 00087364129 DORER, SONIA	MF	NEW PERSPECTIVE FUND-A	B	249.70	6.87	0.00	6.87	50.0	3.44
10/25/2018 00087369989 DORER, RICHARD	MF	SMALLCAP WORLD FUND-A	B	500.00	13.75	0.00	13.75	50.0	6.88
10/12/2018 00087738166 JIMERFIELD,	MF	AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
10/12/2018 00087738166 JIMERFIELD,	MF	AMERICAN BALANCED FUND-A	B	100.00	2.00	0.00	2.00	50.0	1.00
10/15/2018 00088038123 PONCE, YOLANDA	MF	AMERICAN BALANCED FUND-A	B	100.00	5.00	0.00	5.00	50.0	2.50
10/12/2018 04000631650 MARTINEZ, ELAINE	MF	AMERICAN BALANCED FUND-A	B	25.00	0.50	0.00	0.50	50.0	0.25
10/12/2018 04000631650 MARTINEZ, ELAINE	MF	AMERICAN BALANCED FUND-A	B	25.00	0.50	0.00	0.50	50.0	0.25
10/18/2018 04000890952 PIERPONT, BRADLEY	MF	AMERICAN BALANCED FUND-A	B	1,275.00	35.06	0.00	35.06	50.0	17.53
10/18/2018 04000890952 PIERPONT, BRADLEY	MF	CAPITAL WORLD GROWTH AND INCOME	B	1,275.00	35.06	0.00	35.06	50.0	17.53
10/18/2018 04000890952 PIERPONT, BRADLEY	MF	THE GROWTH FUND OF AMERICA-A	B	1,155.27	31.77	0.00	31.77	50.0	15.89

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
* MUTUAL FUNDS SUBTOTAL *				\$8,294.97	\$244.83	\$0.00	\$244.83		\$122.44
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
09/30/2018 (None)	ALLEN, JOHN	MFT JOHN HANCOCK MUTUAL FUND	B	0.00	4.17	0.00	4.17	50.0	2.09
09/30/2018 (None)	CAMMACK, BENJAMIN	MFT SCHOLARS CHOICE	B	0.00	4.97	0.00	4.97	50.0	2.49
10/08/2018 00089349722	JOHNSON, DIANNE	MFT DEUTSCHE GLOBAL INCOME BUILDER	B	0.00	25.13	0.00	25.13	50.0	12.57
10/08/2018 00097370346	ALLISON, PAUL	MFT DEUTSCHE HIGH INCOME FUND-A	B	0.00	4.52	0.00	4.52	50.0	2.26
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$38.79	\$0.00	\$38.79		\$19.41
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS									
10/10/2018 (None)	VARIOUS, RANDY SMITH	VAT BRIGHTHOUSE FKA METLIFE	B	0.00	2,879.18	0.00	2,879.18	50.0	1,439.59
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$2,879.18	\$0.00	\$2,879.18		\$1,439.59
*** DIRECT TRANSACTIONS TOTAL ***				\$8,294.97	\$3,162.80	\$0.00	\$3,162.80		\$1,581.44

SPLIT TRANSACTIONS**BROKER: RIX/RANDY SMITH/SMITH-D081 #80**

10/02/2018 676365887	SMITH, RANDALL	S	KIMCO REALTY CORP COM STK_(MD)	B	4,887.70	17.50	7.50	10.00	5.00
10/02/2018 676365887	SMITH, RANDALL	S	MEDICAL PROPERTIES TRUST INC	B	7,326.23	17.50	7.50	10.00	5.00
10/02/2018 676365887	SMITH, RANDALL	S	ROYAL DUTCH SHELL PLC-SPON ADR	B	9,983.73	17.50	7.50	10.00	5.00
10/02/2018 676365887	SMITH, RANDALL	S	WP CAREY INC	B	7,959.98	17.50	7.50	10.00	5.00
10/01/2018 676346300	SMITH TTEE, RONALD	B	CORPUS CHRISTI TX UTILITY SYSR	B	12,375.28	93.75	7.50	86.25	43.13
10/04/2018 676346300	SMITH TTEE, RONALD	B	LA PORTE TX INDEP SCH DIST REF	B	12,557.48	62.50	7.50	55.00	27.50
10/09/2018 492642424	MCELROY TTEE, LETHA	CD	DISCOVER BK GREENWOOD DE	B	25,000.00	67.50	10.00	57.50	28.75
10/19/2018 mfc913901	SMITH 913901		MFT CAPITAL INCOME BUILDER-A	B	0.00	3.22	0.00	3.22	1.61
10/19/2018 mfc913901	SMITH 913901		MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	3.91	0.00	3.91	1.96
10/19/2018 mfc913901	SMITH 913901		MFT FUNDAMENTAL INVESTORS-A	B	0.00	6.00	0.00	6.00	3.00
10/19/2018 mfc913901	SMITH 913901		MFT GLOBAL BALANCED FUND-A	B	0.00	8.45	0.00	8.45	4.23
10/19/2018 mfc913901	SMITH 913901		MFT INTERNATIONAL GROWTH AND	B	0.00	8.56	0.00	8.56	4.28
10/19/2018 mfc913901	SMITH 913901		MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.60	0.00	1.60	0.80
* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *				\$80,090.40	\$325.49	\$55.00	\$270.49		\$135.26
*** SPLIT TRANSACTIONS TOTAL ***				\$80,090.40	\$325.49	\$55.00	\$270.49		\$135.26

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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LINKED DIRECT TRANSACTIONS

BROKER: RANDY SMITH-D601 #66

10/15/2018	00084947333	JOHN J FINN CUST, MF	NEW PERSPECTIVE FUND-C	B	50.00	0.50	0.00	0.50	0.10
10/15/2018	04000149886	JOHN J FINN CUST, MF	NEW PERSPECTIVE FUND-A	B	50.00	1.00	0.00	1.00	0.20
* RANDY SMITH-D601 SUBTOTAL *					\$100.00	\$1.50	\$0.00	\$1.50	\$0.30
*** LINKED DIRECT TRANSACTIONS TOTAL ***					\$100.00	\$1.50	\$0.00	\$1.50	\$0.30

ADJUSTMENTS TRANSACTIONS

BROKER: #0

10/31/2018			: MONEY MARKET TRAILS		0.00	0.00	0.00	0.00	787.88
* SUBTOTAL *					\$0.00	\$0.00	\$0.00	\$0.00	\$787.88
*** ADJUSTMENTS TRANSACTIONS TOTAL ***					\$0.00	\$0.00	\$0.00	\$0.00	\$787.88

BROKER COMMISSION TOTALS

Broker Transactions	\$2,300.19
Split Transactions	\$135.26
Override Transactions	\$0.00
Adjustments	\$787.88
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$3,223.33
Year-to-date Commissions	\$77,449.91