

# COMMISSION STATEMENT

## September 15, 2018

BRIAN MAPES-D040  
 6936 Angling Road

BROKER #: D040  
 BRANCH: DMN

Portage, MI 49024

### COMMISSION STATEMENT for BRIAN MAPES-D040

| 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: MUTUAL FUNDS            |             |                 |     |                                 |                     |                    |                   |        |                      |      |          |
| 08/28/2018                                | 00075506553 | ROBIN L MCENROE | MF  | WASHINGTON MUTUAL INVESTORS     | B                   | 20,000.00          | 550.00            | 0.00   | 550.00               | 85.0 | 467.50   |
| * MUTUAL FUNDS SUBTOTAL *                 |             |                 |     |                                 |                     | \$20,000.00        | \$550.00          | \$0.00 | \$550.00             |      | \$467.50 |
| PRODUCT CATEGORY: VARIABLE ANNUITIES      |             |                 |     |                                 |                     |                    |                   |        |                      |      |          |
| 09/06/2018                                | 7200003388  | GENTILIA        | VA  | SAMMONS FINANCIAL               | B                   | 14,352.62          | 5.97              | 0.00   | 5.97                 | 85.0 | 5.07     |
| 08/31/0201                                | 7200011302  | MARTIN          | VA  | SAMMONS FINANCIAL               | B                   | 7,480.74           | 3.13              | 0.00   | 3.13                 | 85.0 | 2.66     |
| 09/04/2018                                | 7200012804  | THOMAN          | VA  | SAMMONS FINANCIAL               | B                   | 120,739.66         | 50.31             | 0.00   | 50.31                | 85.0 | 42.76    |
| 09/06/2018                                | 7200016561  | CLAPP           | VA  | SAMMONS FINANCIAL               | B                   | 32,247.95          | 13.41             | 0.00   | 13.41                | 85.0 | 11.40    |
| * VARIABLE ANNUITIES SUBTOTAL *           |             |                 |     |                                 |                     | \$174,820.97       | \$72.82           | \$0.00 | \$72.82              |      | \$61.89  |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS |             |                 |     |                                 |                     |                    |                   |        |                      |      |          |
| 09/04/2018                                | 00059451643 | POSTEMA, GREG   | MFT | WASHINGTON MUTUAL INVESTORS     | B                   | 0.00               | 4.57              | 0.00   | 4.57                 | 85.0 | 3.88     |
| 09/04/2018                                | 00062179219 | SCOBIE, DAVID   | MFT | WASHINGTON MUTUAL INVESTORS     | B                   | 0.00               | 177.26            | 0.00   | 177.26               | 85.0 | 150.67   |
| 09/04/2018                                | 00062645628 | DURANT, FAYE    | MFT | AMERICAN BALANCED FUND-A        | B                   | 0.00               | 1.21              | 0.00   | 1.21                 | 85.0 | 1.03     |
| 09/04/2018                                | 00062645628 | DURANT, FAYE    | MFT | NEW PERSPECTIVE FUND-A          | B                   | 0.00               | 87.59             | 0.00   | 87.59                | 85.0 | 74.45    |
| 09/04/2018                                | 00062645628 | DURANT, FAYE    | MFT | THE BOND FUND OF AMERICA-A      | B                   | 0.00               | 30.45             | 0.00   | 30.45                | 85.0 | 25.88    |
| 09/04/2018                                | 00062645628 | DURANT, FAYE    | MFT | THE GROWTH FUND OF AMERICA-A    | B                   | 0.00               | 1.32              | 0.00   | 1.32                 | 85.0 | 1.12     |
| 09/04/2018                                | 00062645628 | DURANT, FAYE    | MFT | WASHINGTON MUTUAL INVESTORS     | B                   | 0.00               | 81.13             | 0.00   | 81.13                | 85.0 | 68.96    |
| 09/04/2018                                | 00064196399 | LAMPEN, WAYNE   | MFT | CAPITAL INCOME BUILDER-A        | B                   | 0.00               | 43.20             | 0.00   | 43.20                | 85.0 | 36.72    |
| 09/04/2018                                | 00064196399 | LAMPEN, WAYNE   | MFT | CAPITAL WORLD GROWTH AND INCOME | B                   | 0.00               | 41.50             | 0.00   | 41.50                | 85.0 | 35.28    |
| 09/04/2018                                | 00064196399 | LAMPEN, WAYNE   | MFT | NEW PERSPECTIVE FUND-A          | B                   | 0.00               | 114.59            | 0.00   | 114.59               | 85.0 | 97.40    |
| 09/04/2018                                | 00064196399 | LAMPEN, WAYNE   | MFT | THE BOND FUND OF AMERICA-A      | B                   | 0.00               | 5.05              | 0.00   | 5.05                 | 85.0 | 4.29     |
| 09/04/2018                                | 00064266498 | SCOBIE, MAUREEN | MFT | WASHINGTON MUTUAL INVESTORS     | B                   | 0.00               | 21.69             | 0.00   | 21.69                | 85.0 | 18.44    |
| 09/04/2018                                | 00064736599 | LAMPEN, JANE    | MFT | CAPITAL WORLD GROWTH AND INCOME | B                   | 0.00               | 7.56              | 0.00   | 7.56                 | 85.0 | 6.43     |
| 09/04/2018                                | 00064736599 | LAMPEN, JANE    | MFT | INTERMEDIATE BOND FUND OF       | B                   | 0.00               | 6.29              | 0.00   | 6.29                 | 85.0 | 5.35     |
| 09/04/2018                                | 00064736599 | LAMPEN, JANE    | MFT | NEW PERSPECTIVE FUND-A          | B                   | 0.00               | 15.88             | 0.00   | 15.88                | 85.0 | 13.50    |
| 09/04/2018                                | 00064736599 | LAMPEN, JANE    | MFT | WASHINGTON MUTUAL INVESTORS     | B                   | 0.00               | 21.04             | 0.00   | 21.04                | 85.0 | 17.88    |
| 09/04/2018                                | 00067037359 | DURANT, DONNA   | MFT | BALANCED PORTFOLIO-A            | B                   | 0.00               | 87.63             | 0.00   | 87.63                | 85.0 | 74.49    |
| 09/04/2018                                | 00069227886 | MAKLEY, KENNETH | MFT | CAPITAL INCOME BUILDER-A        | B                   | 0.00               | 49.10             | 0.00   | 49.10                | 85.0 | 41.74    |
| 09/04/2018                                | 00069227886 | MAKLEY, KENNETH | MFT | INTERMEDIATE BOND FUND OF       | B                   | 0.00               | 5.99              | 0.00   | 5.99                 | 85.0 | 5.09     |
| 09/04/2018                                | 00069227886 | MAKLEY, KENNETH | MFT | THE BOND FUND OF AMERICA-A      | B                   | 0.00               | 12.80             | 0.00   | 12.80                | 85.0 | 10.88    |
| 09/04/2018                                | 00069227886 | MAKLEY, KENNETH | MFT | THE INVESTMENT COMPANY OF       | B                   | 0.00               | 53.25             | 0.00   | 53.25                | 85.0 | 45.26    |

COMMISSION STATEMENT for BRIAN MAPES-D040

| TRADE DATE                           | CLIENT            | INVESTMENT                          | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--------------------------------------|-------------------|-------------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| 09/04/2018 00069227886               | MAKLEY, KENNETH   | MFT WASHINGTON MUTUAL INVESTORS     | B   | 0.00                 | 50.23               | 0.00               | 50.23             | 85.0 | 42.70                |
| 09/04/2018 00074496610               | BALLETT, WENDY    | MFT AMERICAN BALANCED FUND-A        | B   | 0.00                 | 5.64                | 0.00               | 5.64              | 85.0 | 4.79                 |
| 09/04/2018 00074496610               | BALLETT, WENDY    | MFT AMERICAN MUTUAL FUND-A          | B   | 0.00                 | 6.04                | 0.00               | 6.04              | 85.0 | 5.13                 |
| 09/04/2018 00074496610               | BALLETT, WENDY    | MFT CAPITAL WORLD GROWTH AND INCOME | B   | 0.00                 | 5.95                | 0.00               | 5.95              | 85.0 | 5.06                 |
| 09/04/2018 00074496610               | BALLETT, WENDY    | MFT THE BOND FUND OF AMERICA-A      | B   | 0.00                 | 3.31                | 0.00               | 3.31              | 85.0 | 2.81                 |
| 09/04/2018 00075506553               | ROBIN L MCENROE   | MFT AMCAP FUND-A                    | B   | 0.00                 | 20.91               | 0.00               | 20.91             | 85.0 | 17.77                |
| 09/04/2018 00075506553               | ROBIN L MCENROE   | MFT AMERICAN BALANCED FUND-A        | B   | 0.00                 | 22.03               | 0.00               | 22.03             | 85.0 | 18.73                |
| 09/04/2018 00075506553               | ROBIN L MCENROE   | MFT CAPITAL INCOME BUILDER-A        | B   | 0.00                 | 18.92               | 0.00               | 18.92             | 85.0 | 16.08                |
| 09/04/2018 00075506553               | ROBIN L MCENROE   | MFT CAPITAL WORLD GROWTH AND INCOME | B   | 0.00                 | 21.88               | 0.00               | 21.88             | 85.0 | 18.60                |
| 09/04/2018 00075506553               | ROBIN L MCENROE   | MFT WASHINGTON MUTUAL INVESTORS     | B   | 0.00                 | 8.15                | 0.00               | 8.15              | 85.0 | 6.93                 |
| 09/04/2018 00083486530               | POST, CARL        | MFT CAPITAL INCOME BUILDER-A        | B   | 0.00                 | 0.76                | 0.00               | 0.76              | 85.0 | 0.65                 |
| 09/04/2018 00083486530               | POST, CARL        | MFT CAPITAL WORLD GROWTH AND INCOME | B   | 0.00                 | 1.56                | 0.00               | 1.56              | 85.0 | 1.33                 |
| 09/04/2018 00083486530               | POST, CARL        | MFT NEW PERSPECTIVE FUND-A          | B   | 0.00                 | 2.13                | 0.00               | 2.13              | 85.0 | 1.81                 |
| 09/04/2018 00083486530               | POST, CARL        | MFT THE BOND FUND OF AMERICA-A      | B   | 0.00                 | 0.94                | 0.00               | 0.94              | 85.0 | 0.80                 |
| 09/04/2018 00083589509               | MAPES, LAURA      | MFT CAPITAL INCOME BUILDER CLASS C  | B   | 0.00                 | 75.88               | 0.00               | 75.88             | 85.0 | 64.50                |
| 09/04/2018 00083589509               | MAPES, LAURA      | MFT CAPITAL INCOME BUILDER-F1       | B   | 0.00                 | 3.39                | 0.00               | 3.39              | 85.0 | 2.88                 |
| 09/04/2018 00084586701               | REV               | MFT CAPITAL INCOME BUILDER CLASS C  | B   | 0.00                 | 17.98               | 0.00               | 17.98             | 85.0 | 15.28                |
| 09/04/2018 00084586701               | REV               | MFT CAPITAL WORLD BOND FUND-C       | B   | 0.00                 | 34.34               | 0.00               | 34.34             | 85.0 | 29.19                |
| 09/04/2018 00084586701               | REV               | MFT CAPITAL WORLD GROWTH AND INCOME | B   | 0.00                 | 30.12               | 0.00               | 30.12             | 85.0 | 25.60                |
| 09/04/2018 00084586701               | REV               | MFT U.S. GOVERNMENT SECURITIES      | B   | 0.00                 | 37.27               | 0.00               | 37.27             | 85.0 | 31.68                |
| 09/04/2018 00087568332               | MCCLINTIC, JUDITH | MFT AMERICAN BALANCED FUND-A        | B   | 0.00                 | 5.78                | 0.00               | 5.78              | 85.0 | 4.91                 |
| 09/04/2018 00088629055               | VENDEVILLE, MARY  | MFT INCOME PORTFOLIO-C              | B   | 0.00                 | 26.80               | 0.00               | 26.80             | 85.0 | 22.78                |
| 09/04/2018 00088722941               | POST, DAELYNN     | MFT CAPITAL INCOME BUILDER-A        | B   | 0.00                 | 3.24                | 0.00               | 3.24              | 85.0 | 2.75                 |
| 09/04/2018 00088722941               | POST, DAELYNN     | MFT CAPITAL WORLD GROWTH AND INCOME | B   | 0.00                 | 3.76                | 0.00               | 3.76              | 85.0 | 3.20                 |
| 09/04/2018 00088722941               | POST, DAELYNN     | MFT NEW PERSPECTIVE FUND-A          | B   | 0.00                 | 4.39                | 0.00               | 4.39              | 85.0 | 3.73                 |
| 09/04/2018 00088722941               | POST, DAELYNN     | MFT SHORT-TERM BOND FUND OF AMERICA | B   | 0.00                 | 2.33                | 0.00               | 2.33              | 85.0 | 1.98                 |
| 09/04/2018 00089332789               | RICHARD L &       | MFT CAPITAL WORLD GROWTH AND INCOME | B   | 0.00                 | 8.12                | 0.00               | 8.12              | 85.0 | 6.90                 |
| 09/04/2018 00089332789               | RICHARD L &       | MFT NEW PERSPECTIVE FUND-A          | B   | 0.00                 | 7.26                | 0.00               | 7.26              | 85.0 | 6.17                 |
| 09/04/2018 00089332789               | RICHARD L &       | MFT SMALLCAP WORLD FUND-A           | B   | 0.00                 | 6.91                | 0.00               | 6.91              | 85.0 | 5.87                 |
| 09/04/2018 00089332789               | RICHARD L &       | MFT THE BOND FUND OF AMERICA-A      | B   | 0.00                 | 3.92                | 0.00               | 3.92              | 85.0 | 3.33                 |
| 09/04/2018 00089332824               | MELANIE FISHER    | MFT CAPITAL WORLD GROWTH AND INCOME | B   | 0.00                 | 8.12                | 0.00               | 8.12              | 85.0 | 6.90                 |
| 09/04/2018 00089332824               | MELANIE FISHER    | MFT NEW PERSPECTIVE FUND-A          | B   | 0.00                 | 7.26                | 0.00               | 7.26              | 85.0 | 6.17                 |
| 09/04/2018 00089332824               | MELANIE FISHER    | MFT SMALLCAP WORLD FUND-A           | B   | 0.00                 | 6.91                | 0.00               | 6.91              | 85.0 | 5.87                 |
| 09/04/2018 00089332824               | MELANIE FISHER    | MFT THE BOND FUND OF AMERICA-A      | B   | 0.00                 | 1.96                | 0.00               | 1.96              | 85.0 | 1.67                 |
| 09/04/2018 00089332824               | MELANIE FISHER    | MFT THE GROWTH FUND OF AMERICA-A    | B   | 0.00                 | 1.96                | 0.00               | 1.96              | 85.0 | 1.67                 |
| 09/04/2018 00089433882               | BONNIE B DURLAO   | MFT RTMT INCOME PORTFOLIO           | B   | 0.00                 | 68.71               | 0.00               | 68.71             | 85.0 | 58.40                |
| 09/04/2018 00089525946               | HAROLD M JOHNSON  | MFT WASHINGTON MUTUAL INVESTORS     | B   | 0.00                 | 24.21               | 0.00               | 24.21             | 85.0 | 20.58                |
| 09/04/2018 04000486249               | LAMPEN, WAYNE     | MFT RTMT INCOME PORTFOLIO           | B   | 0.00                 | 11.98               | 0.00               | 11.98             | 85.0 | 10.18                |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * |                   |                                     |     | \$0.00               | \$1,440.15          | \$0.00             | \$1,440.15        |      | \$1,224.12           |

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

|   |                |                                  |   |        |            |        |            |      |            |
|---|----------------|----------------------------------|---|--------|------------|--------|------------|------|------------|
| 08/31/2018 (None)                         | VARIOUS, MAPES | VAT MANULIFE                     | B | 0.00   | 1,878.35   | 0.00   | 1,878.35   | 85.0 | 1,596.60   |
| 09/05/2018 VR03083686                     | HERCIK         | VAT PACIFIC LIFE CUSIP 694474701 | B | 0.00   | 448.22     | 0.00   | 448.22     | 85.0 | 380.99     |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * |                |                                  |   | \$0.00 | \$2,326.57 | \$0.00 | \$2,326.57 |      | \$1,977.59 |

COMMISSION STATEMENT for BRIAN MAPES-D040

| TRADE DATE                        | CLIENT | INVESTMENT | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|-----------------------------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| *** DIRECT TRANSACTIONS TOTAL *** |        |            |     | \$194,820.97         | \$4,389.54          | \$0.00             | \$4,389.54        |      | \$3,731.10           |

BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$3,731.10 |
| 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          | \$3,731.10  |
| Year-to-date Commissions | \$30,409.72 |