



# COMMISSION STATEMENT

## November 12, 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/29/2018	***-**-87IN - HALL, J	AMCAP FUND-A	140.00	3.85	0.00	3.85	90.0	3.47
	ACCOUNT #: 00084955124	BUY 4 Units @32.1900						
10/29/2018	***-**-87IN - HALL, J	CAPITAL WORLD GROWTH AND INCOME FUN	140.00	3.85	0.00	3.85	90.0	3.47
	ACCOUNT #: 00084955124	BUY 3 Units @47.8300						
10/29/2018	***-**-87IN - HALL, J	FUNDAMENTAL INVESTORS-A	140.00	3.85	0.00	3.85	90.0	3.47
	ACCOUNT #: 00084955124	BUY 2 Units @61.1800						
11/05/2018	***-**-10IR - JANNEY, DONNA	FUNDAMENTAL INVESTORS-A	6,499.99	276.25	18.00	258.25	90.0	232.43
	ACCOUNT #: LSR011203	BUY 100 Units @64.8100						
11/05/2018	***-**-08IR - JANNEY, DAVID	FUNDAMENTAL INVESTORS-A	6,499.99	276.25	18.00	258.25	90.0	232.43
	ACCOUNT #: LSR011204	BUY 100 Units @64.8100						
10/29/2018	***-**-87IN - HALL, J	WASHINGTON MUTUAL INVESTORS FUND-A	140.00	3.85	0.00	3.85	90.0	3.47
	ACCOUNT #: 00084955124	BUY 3 Units @44.8600						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$13,559.98</b>	<b>\$567.90</b>	<b>\$36.00</b>	<b>\$531.90</b>		<b>\$478.74</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
11/05/2018	***-**-351I - SOWERS, FBO	CRYOPORT INC COM PAR \$0.001	2,247.20	8.99	10.99	-2.00	100.0	-2.00
	ACCOUNT #: LSF000278	BUY 200 Units @11.2360						
<b>* STOCKS SUBTOTAL *</b>			<b>\$2,247.20</b>	<b>\$8.99</b>	<b>\$10.99</b>	<b>\$-2.00</b>		<b>\$-2.00</b>
<b><u>PRODUCT CATEGORY: RIA</u></b>								
11/12/2018	***-**-27FB - GRAY, PEGGY	LIFEMARK INVESTMENT ADVISORY FEE	31.52	31.52	0.00	31.52	90.0	28.37
	ACCOUNT #: 925330644	BUY 0 Units @0.0000						
11/12/2018	***-**-27FB - GRAY, PEGGY	LIFEMARK INVESTMENT ADVISORY FEE	79.10	79.10	0.00	79.10	90.0	71.19
	ACCOUNT #: 925330602	BUY 0 Units @0.0000						
11/12/2018	***-**-62FB - KEYS, RAMONA	LIFEMARK INVESTMENT ADVISORY FEE	94.59	94.59	0.00	94.59	90.0	85.13
	ACCOUNT #: 925408288	BUY 0 Units @0.0000						
11/12/2018	***-**-99FB - MAY, DAVID	LIFEMARK INVESTMENT ADVISORY FEE	122.65	122.65	0.00	122.65	90.0	110.39
	ACCOUNT #: 925396322	BUY 0 Units @0.0000						
11/12/2018	***-**-33FB - PIERSON, KAREN	LIFEMARK INVESTMENT ADVISORY FEE	603.59	603.59	0.00	603.59	90.0	543.23
	ACCOUNT #: 925425941	BUY 0 Units @0.0000						
<b>* RIA SUBTOTAL *</b>			<b>\$931.45</b>	<b>\$931.45</b>	<b>\$0.00</b>	<b>\$931.45</b>		<b>\$838.31</b>



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
11/12/2018	***-**-36IN - CLAWSON, ACCOUNT #: 7200017170	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	5.42	0.00	5.42	90.0	4.88
11/12/2018	***-**-9117 - RAY, EILEEN ACCOUNT #: 7200037826	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	5.08	0.00	5.08	90.0	4.57
11/12/2018	***-**-3994 - RAY, CLYDE ACCOUNT #: 7200037829	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	5.96	0.00	5.96	90.0	5.36
10/31/2018	***-**-351C - SOWERS, CLIENTS ACCOUNT #: 000000000255036	TEMPLETON GBLB OPPS TR FUND - CLASS BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
10/31/2018	***-**-355P - HURD, JAMES ACCOUNT #: 000001978733426	TEMPLETON GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	0.80	0.00	0.80	90.0	0.72
10/31/2018	***-**-225P - HURD, KAILYN C ACCOUNT #: 000001978733440	TEMPLETON GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	0.81	0.00	0.81	90.0	0.73
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$18.07</b>	<b>\$0.00</b>	<b>\$18.07</b>		<b>\$16.26</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>								
11/03/2018	***-**-454I - STRONACH, ACCOUNT #: R078802-ZS	ING ADVANTAGE SELECT BUY 0 Units @0.0000	0.00	9.39	0.00	9.39	90.0	8.45
11/12/2018	***-**-2960 - KELLEY, BRENDA ACCOUNT #: 7100008985	MIDLAND NATIONAL VA TRAILS BUY 1 Units @0.0000	0.00	35.69	0.00	35.69	90.0	32.12
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$45.08</b>	<b>\$0.00</b>	<b>\$45.08</b>		<b>\$40.57</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$16,738.63</b>	<b>\$1,571.49</b>	<b>\$46.99</b>	<b>\$1,524.50</b>		<b>\$1,371.88</b>



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			INVESTMENT	GROSS	CLEARING	NET	BROKER
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE COMMISSION
<div>BROKER COMMISSION TOTALS</div>							
						Broker Transactions	\$1,371.88
						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	\$1,371.88
						Year-to-date Earnings	\$46,767.41