

COMMISSION STATEMENT

August 31, 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>CLEARING TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
08/21/2018	mfc291006	CALDWELL 291006	MFT AMERICAN BALANCED FUND-A	B	0.00	4.24	0.00	4.24	90.0 3.82
08/21/2018	mfc291006	CALDWELL 291006	MFT CALAMOS GROWTH & INCOME FD CL C	B	0.00	20.79	0.00	20.79	90.0 18.71
08/21/2018	mfc291006	CALDWELL 291006	MFT DELAWARE SMID CAP GROWTH FD CL	B	0.00	14.92	0.00	14.92	90.0 13.43
08/21/2018	mfc291006	CALDWELL 291006	MFT FIDELITY ADVISOR GROWTH OPPORT	B	0.00	44.36	0.00	44.36	90.0 39.92
08/21/2018	mfc291006	CALDWELL 291006	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	11.75	0.00	11.75	90.0 10.58
08/21/2018	mfc291006	CALDWELL 291006	MFT FRK RISING DIV FND - CL C	B	0.00	16.20	0.00	16.20	90.0 14.58
08/21/2018	mfc291006	CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	6.47	0.00	6.47	90.0 5.82
08/21/2018	mfc291006	CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	20.07	0.00	20.07	90.0 18.06
08/21/2018	mfc291006	CALDWELL 291006	MFT GEORGE PUTNAM BALANCED FUND-A	B	0.00	0.31	0.00	0.31	90.0 0.28
08/21/2018	mfc291006	CALDWELL 291006	MFT JOHN HANCOCK STRATEGIC GROWTH A	B	0.00	1.33	0.00	1.33	90.0 1.20
08/21/2018	mfc291006	CALDWELL 291006	MFT MFS TN MUNI BD FD CL A	B	0.00	25.53	0.00	25.53	90.0 22.98
08/21/2018	mfc291006	CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	0.67	0.00	0.67	90.0 0.60
08/21/2018	mfc291006	CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	16.42	0.00	16.42	90.0 14.78
08/21/2018	mfc291006	CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD A	B	0.00	2.59	0.00	2.59	90.0 2.33
08/21/2018	mfc291006	CALDWELL 291006	MFT PUTNAM 746747104	B	0.00	0.38	0.00	0.38	90.0 0.34
08/21/2018	mfc291006	CALDWELL 291006	MFT PUTNAM HEALTH SCIENCES TRUST	B	0.00	0.48	0.00	0.48	90.0 0.43
08/21/2018	mfc291006	CALDWELL 291006	MFT U.S. GOVERNMENT SECURITIES FUND	B	0.00	1.40	0.00	1.40	90.0 1.26
08/21/2018	mfc291006	CALDWELL 291006	MFT VOYA SENIOR INCOME FUND C	B	0.00	7.11	0.00	7.11	90.0 6.40
08/21/2018	mfc291006	CALDWELL 291006	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.99	0.00	1.99	90.0 1.79
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$197.01	\$0.00	\$197.01	\$177.31
*** CLEARING TRANSACTIONS TOTAL ***					\$0.00	\$197.01	\$0.00	\$197.01	\$177.31

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
DIRECT TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
08/20/2018	0000000000055638	PATRICK, CHAD MF	FRANKLIN BALANCED FUND - CLASS	B	125.00	1.25	0.00	1.25	90.0	1.13
08/13/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
08/13/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
08/13/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
08/13/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
08/13/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
08/13/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
08/13/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
08/13/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	103.84	1.04	0.00	1.04	90.0	0.94
08/15/2018	00075317599	COPELAND, SUSAN MF	AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
08/15/2018	00075317599	COPELAND, SUSAN MF	FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
08/15/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	105.04	2.10	0.00	2.10	90.0	1.89
08/15/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	39.39	0.79	0.00	0.79	90.0	0.71
08/15/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	-105.04	-5.25	0.00	-5.25	90.0	-4.73
08/15/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	-39.39	-1.97	0.00	-1.97	90.0	-1.77
08/15/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	39.39	1.97	0.00	1.97	90.0	1.77
08/15/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	105.04	5.25	0.00	5.25	90.0	4.73
08/15/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	18.54	0.37	0.00	0.37	90.0	0.33
08/15/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	6.95	0.14	0.00	0.14	90.0	0.13
08/15/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	-18.54	-0.93	0.00	-0.93	90.0	-0.84
08/15/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	-6.95	-0.35	0.00	-0.35	90.0	-0.32
08/15/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	6.95	0.35	0.00	0.35	90.0	0.32
08/15/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	18.54	0.93	0.00	0.93	90.0	0.84
08/15/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
08/15/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
08/15/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	-28.13	-1.41	0.00	-1.41	90.0	-1.27
08/15/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	-28.12	-1.41	0.00	-1.41	90.0	-1.27
08/15/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	28.12	1.41	0.00	1.41	90.0	1.27
08/15/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	28.13	1.41	0.00	1.41	90.0	1.27
08/15/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
08/15/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
08/15/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	-28.13	-1.41	0.00	-1.41	90.0	-1.27
08/15/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	-28.12	-1.41	0.00	-1.41	90.0	-1.27
08/15/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	28.13	1.41	0.00	1.41	90.0	1.27
08/15/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	28.12	1.41	0.00	1.41	90.0	1.27
08/15/2018	00081948685	SHELTON, LAURA MF	FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
08/15/2018	00081948685	SHELTON, LAURA MF	FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21
08/15/2018	00081948685	SHELTON, LAURA MF	FUNDAMENTAL INVESTORS-A	B	-11.57	-0.58	0.00	-0.58	90.0	-0.52
08/15/2018	00081948685	SHELTON, LAURA MF	FUNDAMENTAL INVESTORS-A	B	-11.56	-0.58	0.00	-0.58	90.0	-0.52
08/15/2018	00081948685	SHELTON, LAURA MF	FUNDAMENTAL INVESTORS-A	B	11.57	0.58	0.00	0.58	90.0	0.52

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08/15/2018 00081948685	SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.56	0.58	0.00	0.58	90.0	0.52
08/15/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
08/15/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
08/15/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	-11.56	-0.58	0.00	-0.58	90.0	-0.52
08/15/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	-11.56	-0.58	0.00	-0.58	90.0	-0.52
08/15/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.58	0.00	0.58	90.0	0.52
08/15/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.58	0.00	0.58	90.0	0.52
08/15/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
08/15/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
08/15/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	-11.56	-0.58	0.00	-0.58	90.0	-0.52
08/15/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	-11.56	-0.58	0.00	-0.58	90.0	-0.52
08/15/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.58	0.00	0.58	90.0	0.52
08/15/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.58	0.00	0.58	90.0	0.52
08/15/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
08/15/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21
08/15/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	-11.57	-0.58	0.00	-0.58	90.0	-0.52
08/15/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	-11.56	-0.58	0.00	-0.58	90.0	-0.52
08/15/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.56	0.58	0.00	0.58	90.0	0.52
08/15/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.57	0.58	0.00	0.58	90.0	0.52
08/15/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	34.09	0.34	0.00	0.34	90.0	0.31
08/15/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	113.62	1.14	0.00	1.14	90.0	1.03
08/15/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	39.71	0.40	0.00	0.40	90.0	0.36
08/15/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	39.71	0.40	0.00	0.40	90.0	0.36
08/15/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	32.52	0.33	0.00	0.33	90.0	0.30
08/15/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	32.52	0.33	0.00	0.33	90.0	0.30
08/15/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	10.02	0.10	0.00	0.10	90.0	0.09
08/15/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	16.70	0.17	0.00	0.17	90.0	0.15
08/15/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	11.70	0.12	0.00	0.12	90.0	0.11
08/15/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	19.49	0.19	0.00	0.19	90.0	0.17
08/15/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	11.69	0.12	0.00	0.12	90.0	0.11
08/15/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	19.49	0.19	0.00	0.19	90.0	0.17
08/15/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
08/15/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
08/15/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	55.13	0.55	0.00	0.55	90.0	0.50
08/15/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	55.13	0.55	0.00	0.55	90.0	0.50
08/15/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	36.80	0.37	0.00	0.37	90.0	0.33
08/15/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	36.80	0.37	0.00	0.37	90.0	0.33
08/15/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	30.50	0.31	0.00	0.31	90.0	0.28
08/15/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	30.50	0.31	0.00	0.31	90.0	0.28
08/15/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
08/15/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
* MUTUAL FUNDS SUBTOTAL *				\$2,066.40	\$25.44	\$0.00	\$25.44		\$22.95

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS									
08/21/2018	VR02053945 LIPSHIE BENE,	VAT CUSIP 694474628	B	0.00	280.72	0.00	280.72	90.0	252.65
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$280.72	\$0.00	\$280.72		\$252.65
*** DIRECT TRANSACTIONS TOTAL ***				\$2,066.40	\$306.16	\$0.00	\$306.16		\$275.60

LINKED CLEARING TRANSACTIONS

08/21/2018	mfc445444 CALDWELL 445444	MFT AMERICAN BALANCED FUND-A	B	0.00	0.49	0.00	0.49		0.44
08/21/2018	mfc445444 CALDWELL 445444	MFT THE INCOME FUND OF AMERICA-A	B	0.00	0.63	0.00	0.63		0.57
* BRYANT CALDWELL-D080 SUBTOTAL *				\$0.00	\$1.12	\$0.00	\$1.12		\$1.01
08/15/2018	399347872 JIMERSON TOD, PEGGY MF	AMERICAN BALANCED FUND-A	S	-2,237.14	0.00	5.00	-5.00		-4.50
08/15/2018	399347872 JIMERSON TOD, PEGGY MF	THE INCOME FUND OF AMERICA-A	S	-2,901.57	0.00	5.00	-5.00		-4.50
08/16/2018	a03381717 VARIOUS,	MI MUTUAL FUND MISC FEE 399347872	S	0.00	50.00	0.00	50.00		45.00
08/16/2018	a03381717 VARIOUS,	MI MUTUAL FUND MISC FEE 399347872	S	0.00	50.00	0.00	50.00		45.00
* LAWRENCE CALDWELL-381717 SUBTOTAL *				\$-5,138.71	\$100.00	\$10.00	\$90.00		\$81.00
*** LINKED CLEARING TRANSACTIONS TOTAL ***				\$-5,138.71	\$101.12	\$10.00	\$91.12		\$82.01

ADJUSTMENTS TRANSACTIONS**BROKER: #0**

08/31/2018	:	BROKER WORKSTATION	0.00	0.00	0.00	0.00	-30.00
08/31/2018	:	BROKER WORKSTATION-BROOKS	0.00	0.00	0.00	0.00	-30.00
08/31/2018	:	E&O	0.00	0.00	0.00	0.00	-130.00
08/31/2018	:	E-MAIL ACCOUNT	0.00	0.00	0.00	0.00	-25.00
08/31/2018	:	E-MAIL ACCOUNT-BROOKS	0.00	0.00	0.00	0.00	-25.00
* SUBTOTAL *			\$0.00	\$0.00	\$0.00	\$0.00	\$-240.00
*** ADJUSTMENTS TRANSACTIONS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00	\$-240.00

BROKER COMMISSION TOTALS

Broker Transactions	\$534.92
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-240.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$294.92
Year-to-date Commissions	\$40,227.66