

# COMMISSION STATEMENT September 30, 2018

JOY LAWRENCE-D198

BROKER #: D198

BRANCH: DMA

, TX

## COMMISSION STATEMENT for JOY LAWRENCE-D198

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

### CLEARING TRANSACTIONS

#### PRODUCT CATEGORY: MUTUAL FUNDS

|            |           |               |    |                                  |   |                     |               |                |                 |     |               |
|------------|-----------|---------------|----|----------------------------------|---|---------------------|---------------|----------------|-----------------|-----|---------------|
| 09/25/2018 | 214776560 | DUNLAP, TERRY | MF | AMERICAN BALANCED FUND-A         | S | 100.00              | 4.88          | 2.50           | 2.38            | 0.0 | 0.00          |
| 09/21/2018 | 368347362 | DRAKE, TAD    | MF | AMERICAN BALANCED FUND-A         | B | -5,005.00           | 0.00          | 5.00           | -5.00           | 0.0 | 0.00          |
| 09/21/2018 | 368347362 | DRAKE, TAD    | MF | THE GROWTH FUND OF AMERICA-A     | B | -5,000.00           | 0.00          | 5.00           | -5.00           | 0.0 | 0.00          |
| 09/21/2018 | 368347362 | DRAKE, TAD    | MF | THE INCOME FUND OF AMERICA-A     | B | -5,000.00           | 0.00          | 5.00           | -5.00           | 0.0 | 0.00          |
|            |           |               |    | <b>* MUTUAL FUNDS SUBTOTAL *</b> |   | <b>\$-14,905.00</b> | <b>\$4.88</b> | <b>\$17.50</b> | <b>\$-12.62</b> |     | <b>\$0.00</b> |

#### PRODUCT CATEGORY: MISCELLANEOUS

|            |           |                    |    |                                   |   |               |                |               |                |     |               |
|------------|-----------|--------------------|----|-----------------------------------|---|---------------|----------------|---------------|----------------|-----|---------------|
| 09/24/2018 | a03974464 | LAWRENCE-D198, JOY | MI | MUTUAL FUND MISC FEE 368347362    | S | 0.00          | 5.00           | 0.00          | 5.00           | 0.0 | 0.00          |
| 09/24/2018 | a03974464 | LAWRENCE-D198, JOY | MI | MUTUAL FUND MISC FEE 368347362    | S | 0.00          | 5.00           | 0.00          | 5.00           | 0.0 | 0.00          |
|            |           |                    |    | <b>* MISCELLANEOUS SUBTOTAL *</b> |   | <b>\$0.00</b> | <b>\$10.00</b> | <b>\$0.00</b> | <b>\$10.00</b> |     | <b>\$0.00</b> |

#### PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

|            |           |                     |     |                              |   |      |       |      |       |     |      |
|------------|-----------|---------------------|-----|------------------------------|---|------|-------|------|-------|-----|------|
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | ALLIANCEBERNSTEIN LARGE-CAP  | B | 0.00 | 4.98  | 0.00 | 4.98  | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | ALLIANCEBERNSTEIN GROWTH AND | B | 0.00 | 0.48  | 0.00 | 0.48  | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | ALLIANCEBERNSTEIN SMALL CAP  | B | 0.00 | 1.51  | 0.00 | 1.51  | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | AMCAP FUND-A                 | B | 0.00 | 1.83  | 0.00 | 1.83  | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | AMCAP FUND-A                 | B | 0.00 | 2.18  | 0.00 | 2.18  | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | AMERICAN BALANCED FUND-A     | B | 0.00 | 0.58  | 0.00 | 0.58  | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | AMERICAN BALANCED FUND-A     | B | 0.00 | 0.88  | 0.00 | 0.88  | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | AMERICAN BALANCED FUND-A     | B | 0.00 | 1.73  | 0.00 | 1.73  | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | AMERICAN BALANCED FUND-A     | B | 0.00 | 1.96  | 0.00 | 1.96  | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | BALANCED PORTFOLIO-C         | B | 0.00 | 1.02  | 0.00 | 1.02  | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | BALANCED PORTFOLIO-C         | B | 0.00 | 3.25  | 0.00 | 3.25  | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | BALANCED PORTFOLIO-C         | B | 0.00 | 3.31  | 0.00 | 3.31  | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | BALANCED PORTFOLIO-C         | B | 0.00 | 18.06 | 0.00 | 18.06 | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | BALANCED PORTFOLIO-C         | B | 0.00 | 20.52 | 0.00 | 20.52 | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | BALANCED PORTFOLIO-C         | B | 0.00 | 22.92 | 0.00 | 22.92 | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | BALANCED PORTFOLIO-C         | B | 0.00 | 34.77 | 0.00 | 34.77 | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | BLK 091928846                | B | 0.00 | 3.31  | 0.00 | 3.31  | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | CAPITAL INCOME BUILDER-A     | B | 0.00 | 1.82  | 0.00 | 1.82  | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | CAPITAL INCOME BUILDER-F1    | B | 0.00 | 1.06  | 0.00 | 1.06  | 0.0 | 0.00 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 | MFT | CAPITAL INCOME BUILDER-A     | B | 0.00 | 0.55  | 0.00 | 0.55  | 0.0 | 0.00 |

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|------------|-----------|---|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT CAPITAL INCOME BUILDER-A        | B   | 0.00                 | 0.69                | 0.00               | 0.69              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT CAPITAL INCOME BUILDER-A        | B   | 0.00                 | 1.87                | 0.00               | 1.87              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT CAPITAL WORLD BOND FUND-A       | B   | 0.00                 | 1.12                | 0.00               | 1.12              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT CAPITAL WORLD GROWTH AND INCOME | B   | 0.00                 | 1.05                | 0.00               | 1.05              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT CAPITAL WORLD GROWTH AND INCOME | B   | 0.00                 | 1.44                | 0.00               | 1.44              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT EHV 277902813                   | B   | 0.00                 | 2.44                | 0.00               | 2.44              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT EUROPACIFIC GROWTH FUND-A       | B   | 0.00                 | 0.44                | 0.00               | 0.44              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT FEDERATED KAUFMANN SMALL CAP FD | B   | 0.00                 | 1.08                | 0.00               | 1.08              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT FEDERATED KAUFMANN FUND         | B   | 0.00                 | 1.18                | 0.00               | 1.18              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT FEDERATED EQUITY INCOME FUND    | B   | 0.00                 | 1.20                | 0.00               | 1.20              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT FIDELITY ADV LEVERAGED CO STOCK | B   | 0.00                 | 1.05                | 0.00               | 1.05              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT FIDELITY ADV NEW INSIGHTS-CL A  | B   | 0.00                 | 1.43                | 0.00               | 1.43              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT FIDELITY ADVISOR SMALL CAP FUND | B   | 0.00                 | 1.19                | 0.00               | 1.19              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT FUNDAMENTAL INVESTORS-A         | B   | 0.00                 | 1.86                | 0.00               | 1.86              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT GROWTH AND INCOME PORTFOLIO-C   | B   | 0.00                 | 8.99                | 0.00               | 8.99              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT GROWTH AND INCOME PORTFOLIO-C   | B   | 0.00                 | 9.23                | 0.00               | 9.23              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT GROWTH AND INCOME PORTFOLIO-C   | B   | 0.00                 | 12.81               | 0.00               | 12.81             | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT GROWTH FUND OF AMERICA CLASS F  | B   | 0.00                 | 1.44                | 0.00               | 1.44              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT HARTFORD GLOBAL CAP             | B   | 0.00                 | 1.27                | 0.00               | 1.27              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT NEW PERSPECTIVE FUND-A          | B   | 0.00                 | 1.01                | 0.00               | 1.01              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT NEW PERSPECTIVE FUND-A          | B   | 0.00                 | 4.09                | 0.00               | 4.09              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT PIMCO ALL ASSET A               | B   | 0.00                 | 0.37                | 0.00               | 0.37              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT PUTNAM 746444504                | B   | 0.00                 | 2.89                | 0.00               | 2.89              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT PUTNAM 746444108                | B   | 0.00                 | 1.26                | 0.00               | 1.26              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT PUTNAM 746444108                | B   | 0.00                 | 1.34                | 0.00               | 1.34              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT PUTNAM 746802693                | B   | 0.00                 | 0.24                | 0.00               | 0.24              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT PUTNAM 746745108                | B   | 0.00                 | 1.16                | 0.00               | 1.16              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT PUTNAM 74677Q109                | B   | 0.00                 | 0.66                | 0.00               | 0.66              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT PUTNAM ASSET ALLOCATION         | B   | 0.00                 | 2.12                | 0.00               | 2.12              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT PUTNAM DIVERSIFIED INCOME TRUST | B   | 0.00                 | 0.69                | 0.00               | 0.69              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT PUTNAM GLOBAL EQUITY FUND CLASS | B   | 0.00                 | 1.02                | 0.00               | 1.02              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT PUTNAM NEW OPPORTUNITIES FUND   | B   | 0.00                 | 0.53                | 0.00               | 0.53              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT SMALLCAP WORLD FUND-A           | B   | 0.00                 | 0.64                | 0.00               | 0.64              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT SMALLCAP WORLD FUND-A           | B   | 0.00                 | 0.72                | 0.00               | 0.72              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT THE GROWTH FUND OF AMERICA-A    | B   | 0.00                 | 1.04                | 0.00               | 1.04              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT THE GROWTH FUND OF AMERICA-A    | B   | 0.00                 | 1.51                | 0.00               | 1.51              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT THE GROWTH FUND OF AMERICA-A    | B   | 0.00                 | 1.85                | 0.00               | 1.85              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT THE INCOME FUND OF AMERICA-A    | B   | 0.00                 | 1.31                | 0.00               | 1.31              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT THE INCOME FUND OF AMERICA-A    | B   | 0.00                 | 1.37                | 0.00               | 1.37              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT THE INCOME FUND OF AMERICA-A    | B   | 0.00                 | 2.34                | 0.00               | 2.34              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT THE INCOME FUND OF AMERICA-F1   | B   | 0.00                 | 1.22                | 0.00               | 1.22              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT THE INVESTMENT COMPANY OF       | B   | 0.00                 | 1.29                | 0.00               | 1.29              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT TRANSAMERICA ASSET ALLOC        | B   | 0.00                 | 1.07                | 0.00               | 1.07              | 0.0  | 0.00                 |
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT WASHINGTON MUTUAL INVESTORS     | B   | 0.00                 | 3.91                | 0.00               | 3.91              | 0.0  | 0.00                 |

COMMISSION STATEMENT for JOY LAWRENCE-D198

| TRADE DATE | CLIENT    | INVESTMENT  | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------|-----------|---|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| 09/21/2018 | mfc974464 | LAWRENCE JOY 974464 MFT WASHINGTON MUTUAL INVESTORS     | B   | 0.00                 | 1.27                | 0.00               | 1.27              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT ALLIANCEBERNSTEIN LARGE-CAP     | B   | 0.00                 | 4.72                | 0.00               | 4.72              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT ALLIANCEBERNSTEIN GROWTH AND    | B   | 0.00                 | 0.46                | 0.00               | 0.46              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT ALLIANCEBERNSTEIN SMALL CAP     | B   | 0.00                 | 1.47                | 0.00               | 1.47              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT AMCAP FUND-A                    | B   | 0.00                 | 1.73                | 0.00               | 1.73              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT AMCAP FUND-A                    | B   | 0.00                 | 2.06                | 0.00               | 2.06              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT AMERICAN BALANCED FUND-A        | B   | 0.00                 | 0.55                | 0.00               | 0.55              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT AMERICAN BALANCED FUND-A        | B   | 0.00                 | 0.83                | 0.00               | 0.83              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT AMERICAN BALANCED FUND-A        | B   | 0.00                 | 1.63                | 0.00               | 1.63              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT AMERICAN BALANCED FUND-A        | B   | 0.00                 | 1.85                | 0.00               | 1.85              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT BALANCED PORTFOLIO-C            | B   | 0.00                 | 0.96                | 0.00               | 0.96              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT BALANCED PORTFOLIO-C            | B   | 0.00                 | 0.97                | 0.00               | 0.97              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT BALANCED PORTFOLIO-C            | B   | 0.00                 | 3.11                | 0.00               | 3.11              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT BALANCED PORTFOLIO-C            | B   | 0.00                 | 16.96               | 0.00               | 16.96             | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT BALANCED PORTFOLIO-C            | B   | 0.00                 | 19.27               | 0.00               | 19.27             | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT BALANCED PORTFOLIO-C            | B   | 0.00                 | 21.53               | 0.00               | 21.53             | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT BALANCED PORTFOLIO-C            | B   | 0.00                 | 32.65               | 0.00               | 32.65             | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT BLK 091928846                   | B   | 0.00                 | 3.17                | 0.00               | 3.17              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT CAPITAL INCOME BUILDER-A        | B   | 0.00                 | 0.52                | 0.00               | 0.52              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT CAPITAL INCOME BUILDER-A        | B   | 0.00                 | 0.65                | 0.00               | 0.65              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT CAPITAL INCOME BUILDER-A        | B   | 0.00                 | 1.71                | 0.00               | 1.71              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT CAPITAL INCOME BUILDER-A        | B   | 0.00                 | 1.75                | 0.00               | 1.75              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT CAPITAL INCOME BUILDER-F1       | B   | 0.00                 | 0.99                | 0.00               | 0.99              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT CAPITAL WORLD GROWTH AND INCOME | B   | 0.00                 | 1.34                | 0.00               | 1.34              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT CAPITAL WORLD BOND FUND-A       | B   | 0.00                 | 1.05                | 0.00               | 1.05              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT CAPITAL WORLD GROWTH AND INCOME | B   | 0.00                 | 0.98                | 0.00               | 0.98              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT EHV 277902813                   | B   | 0.00                 | 2.32                | 0.00               | 2.32              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT EUROPACIFIC GROWTH FUND-A       | B   | 0.00                 | 0.41                | 0.00               | 0.41              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT FEDERATED KAUFMANN SMALL CAP FD | B   | 0.00                 | 1.05                | 0.00               | 1.05              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT FEDERATED KAUFMANN FUND         | B   | 0.00                 | 1.13                | 0.00               | 1.13              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT FEDERATED EQUITY INCOME FUND    | B   | 0.00                 | 1.14                | 0.00               | 1.14              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT FIDELITY ADV LEVERAGED CO STOCK | B   | 0.00                 | 0.99                | 0.00               | 0.99              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT FIDELITY ADV NEW INSIGHTS-CL A  | B   | 0.00                 | 1.35                | 0.00               | 1.35              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT FIDELITY ADVISOR SMALL CAP FUND | B   | 0.00                 | 1.13                | 0.00               | 1.13              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT FUNDAMENTAL INVESTORS-A         | B   | 0.00                 | 1.75                | 0.00               | 1.75              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT GROWTH AND INCOME PORTFOLIO-C   | B   | 0.00                 | 8.45                | 0.00               | 8.45              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT GROWTH AND INCOME PORTFOLIO-C   | B   | 0.00                 | 8.67                | 0.00               | 8.67              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT GROWTH AND INCOME PORTFOLIO-C   | B   | 0.00                 | 12.03               | 0.00               | 12.03             | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT GROWTH FUND OF AMERICA CLASS F  | B   | 0.00                 | 1.36                | 0.00               | 1.36              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT HARTFORD GLOBAL CAP             | B   | 0.00                 | 1.19                | 0.00               | 1.19              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT NEW PERSPECTIVE FUND-A          | B   | 0.00                 | 0.95                | 0.00               | 0.95              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT NEW PERSPECTIVE FUND-A          | B   | 0.00                 | 3.85                | 0.00               | 3.85              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT PIMCO ALL ASSET A               | B   | 0.00                 | 0.34                | 0.00               | 0.34              | 0.0  | 0.00                 |
| 09/24/2018 | mfc974464 | LAWRENCE JOY 974464 MFT PUTNAM 746444504                | B   | 0.00                 | 2.72                | 0.00               | 2.72              | 0.0  | 0.00                 |

COMMISSION STATEMENT for JOY LAWRENCE-D198

| TRADE DATE                           | CLIENT              | INVESTMENT                          | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--------------------------------------|---------------------|-------------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT PUTNAM 746444108                | B   | 0.00                 | 1.19                | 0.00               | 1.19              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT PUTNAM 746444108                | B   | 0.00                 | 1.26                | 0.00               | 1.26              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT PUTNAM 746802693                | B   | 0.00                 | 0.10                | 0.00               | 0.10              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT PUTNAM 746745108                | B   | 0.00                 | 1.10                | 0.00               | 1.10              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT PUTNAM 74677Q109                | B   | 0.00                 | 0.62                | 0.00               | 0.62              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT PUTNAM ASSET ALLOCATION         | B   | 0.00                 | 2.00                | 0.00               | 2.00              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT PUTNAM DIVERSIFIED INCOME TRUST | B   | 0.00                 | 0.64                | 0.00               | 0.64              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT PUTNAM GLOBAL EQUITY FUND CLASS | B   | 0.00                 | 0.96                | 0.00               | 0.96              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT PUTNAM NEW OPPORTUNITIES FUND   | B   | 0.00                 | 0.50                | 0.00               | 0.50              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT PUTNAM SMALL CAP GROWTH FUND    | B   | 0.00                 | 0.10                | 0.00               | 0.10              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT SMALLCAP WORLD FUND-A           | B   | 0.00                 | 0.61                | 0.00               | 0.61              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT SMALLCAP WORLD FUND-A           | B   | 0.00                 | 0.68                | 0.00               | 0.68              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT THE GROWTH FUND OF AMERICA-A    | B   | 0.00                 | 0.98                | 0.00               | 0.98              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT THE GROWTH FUND OF AMERICA-A    | B   | 0.00                 | 1.43                | 0.00               | 1.43              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT THE GROWTH FUND OF AMERICA-A    | B   | 0.00                 | 1.74                | 0.00               | 1.74              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT THE INCOME FUND OF AMERICA-F1   | B   | 0.00                 | 1.15                | 0.00               | 1.15              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT THE INCOME FUND OF AMERICA-A    | B   | 0.00                 | 1.23                | 0.00               | 1.23              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT THE INCOME FUND OF AMERICA-A    | B   | 0.00                 | 1.29                | 0.00               | 1.29              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT THE INCOME FUND OF AMERICA-A    | B   | 0.00                 | 2.21                | 0.00               | 2.21              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT THE INVESTMENT COMPANY OF       | B   | 0.00                 | 1.21                | 0.00               | 1.21              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT TRANSAMERICA ASSET ALLOC        | B   | 0.00                 | 1.00                | 0.00               | 1.00              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT WASHINGTON MUTUAL INVESTORS     | B   | 0.00                 | 3.71                | 0.00               | 3.71              | 0.0  | 0.00                 |
| 09/24/2018 mfc974464                 | LAWRENCE JOY 974464 | MFT WASHINGTON MUTUAL INVESTORS     | B   | 0.00                 | 1.20                | 0.00               | 1.20              | 0.0  | 0.00                 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * |                     |                                     |     | \$0.00               | \$416.07            | \$0.00             | \$416.07          |      | \$0.00               |
| *** CLEARING TRANSACTIONS TOTAL ***  |                     |                                     |     | \$-14,905.00         | \$430.95            | \$17.50            | \$413.45          |      | \$0.00               |

DIRECT TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

|                           |                  |                     |   |          |        |        |        |     |        |
|---------------------------|------------------|---------------------|---|----------|--------|--------|--------|-----|--------|
| 08/16/2018 00483478258    | SCHRAUBEN, DIANA | MF PUTNAM 746802800 | B | 100.00   | 5.00   | 0.00   | 5.00   | 0.0 | 0.00   |
| * MUTUAL FUNDS SUBTOTAL * |                  |                     |   | \$100.00 | \$5.00 | \$0.00 | \$5.00 |     | \$0.00 |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

|                                      |                  |                           |   |          |         |        |         |     |        |
|--------------------------------------|------------------|---------------------------|---|----------|---------|--------|---------|-----|--------|
| 08/31/2018 (None)                    | VARIOUS, JOY RIX | MFT HARTFORD MUTUAL FUIND | B | 0.00     | 23.56   | 0.00   | 23.56   | 0.0 | 0.00   |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * |                  |                           |   | \$0.00   | \$23.56 | \$0.00 | \$23.56 |     | \$0.00 |
| *** DIRECT TRANSACTIONS TOTAL ***    |                  |                           |   | \$100.00 | \$28.56 | \$0.00 | \$28.56 |     | \$0.00 |

**BROKER COMMISSION TOTALS**

|                       |        |
|-----------------------|--------|
| Broker Transactions   | \$0.00 |
| 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 |

|                                 |               |
|---------------------------------|---------------|
| <b>Net Commissions</b>          | <b>\$0.00</b> |
| <b>Year-to-date Commissions</b> | <b>\$0.00</b> |