

COMMISSION STATEMENT

March 31, 2018

RIX SMITH-D063

BROKER #: D063

BRANCH: DMA

, TX

COMMISSION STATEMENT for RIX SMITH-D063

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
03/12/2018	368318726	ALARCON, EDWARD	S	VANGUARD CONSUMER STAPLES ETF	S	-14,063.22	20.00	15.00	5.00 48.0 2.40
03/13/2018	368318726	ALARCON, EDWARD	S	SPDR S&P REGIONAL BANKING ETF	B	13,024.45	20.00	15.00	5.00 48.0 2.40
03/01/2018	368492011	COLLIER, MARK	S	DINEEQUITY INC	S	-11,515.78	75.00	15.00	60.00 48.0 28.80
03/16/2018	676349914	SMITH TTEE, RIX	S	NOBLE ENERGY INC	B	2,966.35	15.00	15.00	0.00 48.0 0.00
03/26/2018	676349914	SMITH TTEE, RIX	S	CLAYMORE EXCHANGE-TRADED FD TR	S	-5,030.43	15.00	15.00	0.00 48.0 0.00
03/26/2018	676349914	SMITH TTEE, RIX	S	GUGGENHEIM BULLET 2022	S	-6,174.56	15.00	15.00	0.00 48.0 0.00
				* STOCKS SUBTOTAL *		\$-20,793.19	\$160.00	\$90.00	\$70.00 \$33.60
<u>PRODUCT CATEGORY: BONDS</u>									
03/06/2018	338752694	HOGAN-SCHNEIDER	B	BRYAN TX	B	48,854.45	400.00	15.00	385.00 48.0 184.80
03/21/2018	338752694	HOGAN-SCHNEIDER	B	CELINA TX TAX & WTRWKS & SWR S	B	24,639.53	250.00	15.00	235.00 48.0 112.80
03/08/2018	676349914	SMITH TTEE, RIX	B	PLAINVIEW TX GO BDS 2018	B	29,717.45	15.00	15.00	0.00 48.0 0.00
03/14/2018	676349914	SMITH TTEE, RIX	B	FORTH WORTH TEX CTFS OBLIG	B	24,605.70	25.00	15.00	10.00 48.0 4.80
03/06/2018	677238568	SCHNEIDER, LAURA	B	BRYAN TX	B	48,854.45	400.00	15.00	385.00 48.0 184.80
03/08/2018	677238568	SCHNEIDER, LAURA	B	CLEAR CREEK TEX INDPT SCH DIST	B	50,114.95	500.00	15.00	485.00 48.0 232.80
				* BONDS SUBTOTAL *		\$226,786.53	\$1,590.00	\$90.00	\$1,500.00 \$720.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
03/21/2018	mfc595454	SMITH RIX 595454	MFT	DEVELOPING WORLD GROWTH &	B	0.00	1.05	0.00	1.05 48.0 0.50
03/21/2018	mfc595454	SMITH RIX 595454	MFT	LORD ABBETT SHORT DURATION	B	0.00	2.82	0.00	2.82 48.0 1.35
03/21/2018	mfc595454	SMITH RIX 595454	MFT	TEMP FRGN FND - CL A	B	0.00	3.22	0.00	3.22 48.0 1.55
03/21/2018	mfc595454	SMITH RIX 595454	MFT	THE INCOME FUND OF AMERICA-A	B	0.00	5.81	0.00	5.81 48.0 2.79
				* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$12.90	\$0.00	\$12.90 \$6.19
				*** CLEARING TRANSACTIONS TOTAL ***		\$205,993.34	\$1,762.90	\$180.00	\$1,582.90 \$759.79

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SPLIT TRANSACTIONS

BROKER: RIX/RANDY SMITH/SMITH-D081 #80

03/14/2018	676346300	SMITH TTEE, RONALD	B	FORTH WORTH TEX CTFS OBLIG	B	12,384.10	93.75	7.50	86.25	41.40
03/08/2018	676356642	SMITH, RANDALL	B	PLAINVIEW TX GO BDS 2018	B	17,501.23	175.00	7.50	167.50	80.40
03/21/2018	676356642	SMITH, RANDALL	B	BURLESON TX GO BDS 2017	B	17,255.76	5.00	7.50	-2.50	-1.20
03/21/2018	mfc913901	SMITH 913901		MFT CAPITAL INCOME BUILDER-A	B	0.00	3.10	0.00	3.10	1.49
03/21/2018	mfc913901	SMITH 913901		MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	3.75	0.00	3.75	1.80
03/21/2018	mfc913901	SMITH 913901		MFT FUNDAMENTAL INVESTORS-A	B	0.00	5.46	0.00	5.46	2.62
03/21/2018	mfc913901	SMITH 913901		MFT GLOBAL BALANCED FUND-A	B	0.00	8.02	0.00	8.02	3.85
03/21/2018	mfc913901	SMITH 913901		MFT INTERNATIONAL GROWTH AND	B	0.00	8.42	0.00	8.42	4.04
03/21/2018	mfc913901	SMITH 913901		MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.38	0.00	1.38	0.66
* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *						\$47,141.09	\$303.88	\$22.50	\$281.38	\$135.06
*** SPLIT TRANSACTIONS TOTAL ***						\$47,141.09	\$303.88	\$22.50	\$281.38	\$135.06

ADJUSTMENTS

03/31/2018	: MONEY MARKET TRAILS	0.00	0.00	0.00	0.00	683.98
*** ADJUSTMENTS TOTAL ***		<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$683.98</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$759.79
Split Transactions	\$135.06
Override Transactions	\$0.00
Adjustments	\$683.98
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$1,578.83
Year-to-date Commissions	\$8,190.64