

COMMISSION STATEMENT November 15, 2018

RANDY SMITH-D601

 BROKER #: D601
 BRANCH: DMA

, TX

COMMISSION STATEMENT for RANDY SMITH-D601

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUNDS									
11/02/2018 00084947333	JOHN J FINN CUST,	MF NEW PERSPECTIVE FUND-C	B	741.85	7.42	0.00	7.42	20.0	1.48
10/29/2018 08190128650	JOHN J FINN JR	MF MFS GROWTH FUND-C	B	433.76	4.34	0.00	4.34	20.0	0.87
11/01/2018 08190128650	JOHN J FINN JR	MF MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50	20.0	0.10
10/29/2018 08190129110	PEYTON O LEBLANC,	MF MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50	20.0	0.10
10/29/2018 08190129112	SARA E CANCIENNE,	MF MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50	20.0	0.10
10/29/2018 08190129113	LILLY M SUTTON	MF MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50	20.0	0.10
10/29/2018 08191029111	PRESLIE G LEBLANC	MF MFS GROWTH FUND-C	B	500.00	5.00	0.00	5.00	20.0	1.00
10/29/2018 08191029111	PRESLIE G LEBLANC	MF MFS GROWTH FUND-C	B	100.00	1.00	0.00	1.00	20.0	0.20
10/29/2018 08191270658	BEAU OUTLAW, JOHN	MF MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50	20.0	0.10
* MUTUAL FUNDS SUBTOTAL *				\$2,025.61	\$20.26	\$0.00	\$20.26		\$4.05

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

11/05/2018 01900000283	GULF STATES	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	24.43	0.00	24.43	20.0	4.89
11/05/2018 01900000310	PEREZ, CHRISTINA	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	13.31	0.00	13.31	20.0	2.66
11/05/2018 05116000007	GULF STATES	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	44.06	0.00	44.06	20.0	8.81
11/05/2018 08183000145	CORBETT, JOHN	MFT COLUMBIA BALANCED FD CL A	B	0.00	3.48	0.00	3.48	20.0	0.70
11/05/2018 08537100283	ST JULIEN,	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	1.81	0.00	1.81	20.0	0.36
11/05/2018 08537100284	ST JULIEN, ERIC	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	4.23	0.00	4.23	20.0	0.85
11/05/2018 08537100298	CARLOS BOGRAN III	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	1.42	0.00	1.42	20.0	0.28
11/05/2018 08537100304	BRUCHI, JENNIFER	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	1.22	0.00	1.22	20.0	0.24
11/05/2018 08537500142	JAMII BARAKA ST	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	0.67	0.00	0.67	20.0	0.13
11/05/2018 08537500143	CARLOS BOGRAN III	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	1.12	0.00	1.12	20.0	0.22
11/05/2018 08537500296	ST JULIEN,	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	2.09	0.00	2.09	20.0	0.42
11/05/2018 08537500318	SASSEN, JOHN	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	1.40	0.00	1.40	20.0	0.28
11/05/2018 08537500319	NOLTING, EVELYN	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	1.64	0.00	1.64	20.0	0.33
11/05/2018 08981001058	ST JULIEN, ERIC	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	4.17	0.00	4.17	20.0	0.83
11/05/2018 08981001059	CARLOS BOGRAN III	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	2.06	0.00	2.06	20.0	0.41
11/05/2018 08981001063	BRUCHI, JENNIFER	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	0.98	0.00	0.98	20.0	0.20
11/05/2018 08981001064	NOLTING, EVELYN	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	1.66	0.00	1.66	20.0	0.33
11/05/2018 08981001068	ST JULIEN,	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	3.21	0.00	3.21	20.0	0.64
11/05/2018 08981001070	CRAFT, ALLEN	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	3.26	0.00	3.26	20.0	0.65

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11/05/2018 08981001071	JAMII BARAKA ST	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	0.67	0.00	0.67	20.0	0.13
11/05/2018 50040000003	BENTON, MELISSA	MFT COLUMBIA MIDCAP GROWTH FUND-C	B	0.00	1.65	0.00	1.65	20.0	0.33
11/05/2018 537300000029	PEREZ, CHRISTINA	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	18.31	0.00	18.31	20.0	3.66
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$136.85	\$0.00	\$136.85		\$27.35
*** DIRECT TRANSACTIONS TOTAL ***				\$2,025.61	\$157.11	\$0.00	\$157.11		\$31.40

BROKER COMMISSION TOTALS

Broker Transactions	\$31.40
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	\$0.00
Year-to-date Commissions	\$0.00