

# COMMISSION STATEMENT

August 15, 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	
DIRECT TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
08/10/2018	0000000000010330	PATRICK, CHAD MF	FRANKLIN MUTUAL INTERNATIONAL	B	41.67	0.42	0.00	0.42	90.0	0.38
07/25/2018	0000000000227710	THOMAS, MF	FRANKLIN MODERATE ALLOCATION	B	100.00	1.00	0.00	1.00	90.0	0.90
08/10/2018	0000000000277184	PATRICK, CHAD MF	TEMPLETON CHINA WORLD FUND -	B	41.67	0.42	0.00	0.42	90.0	0.38
08/10/2018	0000000001124015	PATRICK, CHAD MF	MUTUAL QUAL FND - CL C	B	41.66	0.42	0.00	0.42	90.0	0.38
07/25/2018	0000000003822855	PATRICK, CHAD MF	MUTUAL SHRS FND - CL C	B	166.66	1.67	0.00	1.67	90.0	1.50
08/03/2018	0000000012992691	DIXON, LORI MF	FRANKLIN INCOME FUND CLASS C	B	5,487.13	54.87	0.00	54.87	90.0	49.38
08/01/2018	00068087475	PULLIAM, RYAN MF	THE NEW ECONOMY FUND-529C	B	100.00	1.00	0.00	1.00	90.0	0.90
08/01/2018	00068087476	PULLIAM, RYAN MF	AMERICAN BALANCED FUND-529C	B	250.00	2.50	0.00	2.50	90.0	2.25
07/30/2018	00075317599	COPELAND, SUSAN MF	AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
07/30/2018	00075317599	COPELAND, SUSAN MF	FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
07/31/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	35.62	0.71	0.00	0.71	90.0	0.64
07/31/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	94.98	1.90	0.00	1.90	90.0	1.71
07/31/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	6.28	0.13	0.00	0.13	90.0	0.12
07/31/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	16.76	0.34	0.00	0.34	90.0	0.31
07/31/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
07/31/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
07/31/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
07/31/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
07/31/2018	00081948685	SHELTON, LAURA MF	FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
07/31/2018	00081948685	SHELTON, LAURA MF	FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/31/2018	00081948685	SHELTON, LAURA MF	NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/31/2018	00081948685	SHELTON, LAURA MF	NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/31/2018	00081948685	SHELTON, LAURA MF	NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/31/2018	00081948685	SHELTON, LAURA MF	NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/31/2018	00081948685	SHELTON, LAURA MF	THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21
07/31/2018	00081948685	SHELTON, LAURA MF	THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
07/31/2018	00087734807	JARRED, GINA MF	AMERICAN BALANCED FUND-C	B	32.60	0.33	0.00	0.33	90.0	0.30
07/31/2018	00087734807	JARRED, GINA MF	AMERICAN BALANCED FUND-C	B	108.65	1.09	0.00	1.09	90.0	0.98
07/31/2018	00087734863	WHITE, PEGGY MF	AMERICAN BALANCED FUND-C	B	34.65	0.35	0.00	0.35	90.0	0.32
07/31/2018	00087734863	WHITE, PEGGY MF	AMERICAN BALANCED FUND-C	B	34.65	0.35	0.00	0.35	90.0	0.32
07/31/2018	00089597043	MCINTOSH, GINA MF	GROWTH PORTFOLIO-C	B	33.52	0.34	0.00	0.34	90.0	0.31

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
07/31/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	33.52	0.34	0.00	0.34	90.0	0.31
07/31/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	10.89	0.11	0.00	0.11	90.0	0.10
07/31/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	18.14	0.18	0.00	0.18	90.0	0.16
07/31/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	12.70	0.13	0.00	0.13	90.0	0.12
07/31/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	21.17	0.21	0.00	0.21	90.0	0.19
07/31/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	12.70	0.13	0.00	0.13	90.0	0.12
07/31/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	21.17	0.21	0.00	0.21	90.0	0.19
07/31/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
07/31/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
07/31/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	47.60	0.48	0.00	0.48	90.0	0.43
07/31/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	47.60	0.48	0.00	0.48	90.0	0.43
07/31/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	38.32	0.38	0.00	0.38	90.0	0.34
07/31/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	38.32	0.38	0.00	0.38	90.0	0.34
07/31/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	29.07	0.29	0.00	0.29	90.0	0.26
07/31/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	29.07	0.29	0.00	0.29	90.0	0.26
07/31/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
07/31/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
* MUTUAL FUNDS SUBTOTAL *				\$7,636.77	\$80.99	\$0.00	\$80.99		\$72.93

PRODUCT CATEGORY: VARIABLE ANNUITIES

07/31/2018 1011849420	JACKMAN, JENNIFER	VA PERSP L 08/11	B	69,294.97	57.75	0.00	57.75	90.0	51.98
07/31/2018 1011852102	JACKMAN, JENNIFER	VA ELITE ACCESS L	B	22,595.05	18.83	0.00	18.83	90.0	16.95
07/31/2018 1012316590	AVILA PENSION	VA PERSP L 08/11	B	553,123.23	460.94	0.00	460.94	90.0	414.85
07/31/2018 1014122890	LAMBERT, RONALD	VA PERSP L 08/11	B	89,637.61	74.70	0.00	74.70	90.0	67.23
07/31/2018 1014231907	UTLEY, MARTHA	VA PERSP L 08/11	B	297,605.96	248.00	0.00	248.00	90.0	223.20
07/31/2018 1015402721	LEFORGE, JUDY	VA PERSP L 08/11	B	43,674.84	36.40	0.00	36.40	90.0	32.76
07/31/2018 1015649484	WINTER, DONALD	VA PERSP L 08/11	B	79,403.16	66.17	0.00	66.17	90.0	59.55
07/31/2018 1015919945	NAVEL, FRIEDA	VA PERSP L 08/11	B	37,688.86	31.41	0.00	31.41	90.0	28.27
07/31/2018 1016060638	WILLIAMS, WILLIAM	VA ELITE ACCESS	B	65,321.56	54.43	0.00	54.43	90.0	48.99
07/31/2018 1016060646	WILLIAMS, WILLIAM	VA ELITE ACCESS	B	101,939.05	84.95	0.00	84.95	90.0	76.46
07/31/2018 1016060760	WILLIAMS, GLYNDA	VA ELITE ACCESS	B	6,732.69	5.61	0.00	5.61	90.0	5.05
07/31/2018 1016122048	WOODS, WILLIAM	VA PERSP L 08/11	B	123,755.50	103.13	0.00	103.13	90.0	92.82
07/31/2018 1016747269	BREEDEN TATE, MARY	VA ELITE ACCESS L	B	87,026.47	72.52	0.00	72.52	90.0	65.27
07/31/2018 1016835974	HOLLIDAY, REBECCA	VA ELITE ACCESS L	B	13,978.45	11.65	0.00	11.65	90.0	10.49
07/31/2018 1016922273	WILLIAMS, BRYAN	VA ELITE ACCESS L	B	12,813.33	10.68	0.00	10.68	90.0	9.61
07/31/2018 1017566284	WOODS, WILLIAM	VA ELITE ACCESS L	B	45,679.31	38.07	0.00	38.07	90.0	34.26
07/31/2018 1018403044	WILLIAMS, CLAYTON	VA ELITE ACCESS L	B	9,836.60	8.20	0.00	8.20	90.0	7.38
07/31/2018 1018603060	MILTON, MARY	VA PERSP L 08/11	B	135,087.35	112.57	0.00	112.57	90.0	101.31
07/31/2018 1018757199	STANBERY, DALLAS	VA PERSP L 08/11	B	164,562.95	137.14	0.00	137.14	90.0	123.43
* VARIABLE ANNUITIES SUBTOTAL *				\$1,959,756.94	\$1,633.15	\$0.00	\$1,633.15		\$1,469.86

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

07/31/2018 0000000000000873	WOODS, SAMUEL	MFT FRK LIFESMART 2045 RTMT TARGET	B	0.00	133.97	0.00	133.97	90.0	120.57
07/31/2018 0000000000000502	RIGGINS,	MFT FRK LIFESMART 2040 RTMT TARGET	B	0.00	4.52	0.00	4.52	90.0	4.07
07/31/2018 0000000000010330	PATRICK, CHAD	MFT FRANKLIN MUTUAL INTERNATIONAL	B	0.00	25.42	0.00	25.42	90.0	22.88

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07/31/2018 000000000016220	SEELY, CARL	MFT FRANKLIN NATURAL RESOURCES FND	B	0.00	17.59	0.00	17.59	90.0	15.83
07/31/2018 000000000040408	CARTER,	MFT FRANKLIN BALANCED FUND - CLASS	B	0.00	2.57	0.00	2.57	90.0	2.31
07/31/2018 000000000040422	VAUGHN, JOYCE	MFT FRANKLIN BALANCED FUND - CLASS	B	0.00	1.11	0.00	1.11	90.0	1.00
07/31/2018 0000000000055638	PATRICK, CHAD	MFT FRANKLIN BALANCED FUND - CLASS	B	0.00	78.67	0.00	78.67	90.0	70.80
07/31/2018 0000000000069409	SEELY, CARL	MFT TEMPLETON CHINA WORLD FUND -	B	0.00	31.22	0.00	31.22	90.0	28.10
07/31/2018 0000000000227710	THOMAS,	MFT FRANKLIN MODERATE ALLOCATION	B	0.00	34.62	0.00	34.62	90.0	31.16
07/31/2018 0000000000234854	BRYAN K	MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	1.85	0.00	1.85	90.0	1.67
07/31/2018 0000000000261014	BLANCHARD,	MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	27.18	0.00	27.18	90.0	24.46
07/31/2018 0000000000273019	SEELY, LINDA	MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	127.56	0.00	127.56	90.0	114.80
07/31/2018 0000000000277184	PATRICK, CHAD	MFT TEMPLETON CHINA WORLD FUND -	B	0.00	25.64	0.00	25.64	90.0	23.08
07/31/2018 0000000000290926	PRIESTER,	MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	21.71	0.00	21.71	90.0	19.54
07/31/2018 0000000000407926	BIBB, LESLEE	MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	21.09	0.00	21.09	90.0	18.98
07/31/2018 0000000000484307	RIGGINS,	MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	4.60	0.00	4.60	90.0	4.14
07/31/2018 0000000000519215	CRISMON-LEGG,	MFT FRANKLIN MODERATE ALLOCATION	B	0.00	2.92	0.00	2.92	90.0	2.63
07/31/2018 0000000000641617	MARIE, GENA	MFT FRK DYNATECH FND - CL C	B	0.00	95.14	0.00	95.14	90.0	85.63
07/31/2018 0000000000667600	GRIGGS,	MFT FRANKLIN UTILITIES FUND - CLASS	B	0.00	4.67	0.00	4.67	90.0	4.20
07/31/2018 0000000001124015	PATRICK, CHAD	MFT MUTUAL QUAL FND - CL C	B	0.00	28.03	0.00	28.03	90.0	25.23
07/31/2018 0000000001472695	BLANCHARD,	MFT TEMPLETON DEV MRKTS TR FUND -	B	0.00	31.29	0.00	31.29	90.0	28.16
07/31/2018 0000000001540196	RIGGINS,	MFT FRANKLIN GROWTH FUND - CLASS C	B	0.00	10.19	0.00	10.19	90.0	9.17
07/31/2018 0000000003822855	PATRICK, CHAD	MFT MUTUAL SHRS FND - CL C	B	0.00	117.85	0.00	117.85	90.0	106.07
07/31/2018 0000000011343720	LIPSHIE, ADAM	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	80.23	0.00	80.23	90.0	72.21
07/31/2018 0000000012894515	COWAN, MARY	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	5.73	0.00	5.73	90.0	5.16
07/31/2018 0000000012992741	GIPSON, DEBRA	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	0.00	0.00	0.00	90.0	0.00
08/07/2018 01486461963	GRIGGS, SHERRY	MFT FIDELITY ADVISOR HEALTH CARE FD	B	0.00	4.05	0.00	4.05	90.0	3.65
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$939.42	\$0.00	\$939.42		\$845.50
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>									
07/30/2018 (None)	WILLIAMS, LINDA	VAT DELAWARE LIFE	B	0.00	18.29	0.00	18.29	90.0	16.46
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$18.29	\$0.00	\$18.29		\$16.46
*** DIRECT TRANSACTIONS TOTAL ***				\$1,967,393.71	\$2,671.85	\$0.00	\$2,671.85		\$2,404.75

**BROKER COMMISSION TOTALS**

Broker Transactions	\$2,404.75
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>\$2,404.75</b>
<b>Year-to-date Commissions</b>	<b>\$39,932.74</b>