



COMMISSION STATEMENT

December 03, 2018

RICHARD SOWERS
2451 McMullen Booth Road
Suite 263
Clearwater, FL 33759

BROKER #: 71
BRANCH #01002 - 02 - SOWERS

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 11/29/2018 | ***-**-87IN - HALL, J | AMCAP FUND-A | 140.00 | 2.80 | 0.00 | 2.80 | 90.0 | 2.52 |
| | ACCOUNT #: 00084955124 | BUY 4 Units @33.3500 | | | | | | |
| 11/29/2018 | ***-**-87IN - HALL, J | CAPITAL WORLD GROWTH AND INCOME FUN | 140.00 | 2.80 | 0.00 | 2.80 | 90.0 | 2.52 |
| | ACCOUNT #: 00084955124 | BUY 3 Units @48.8900 | | | | | | |
| 11/29/2018 | ***-**-87IN - HALL, J | FUNDAMENTAL INVESTORS-A | 140.00 | 2.80 | 0.00 | 2.80 | 90.0 | 2.52 |
| | ACCOUNT #: 00084955124 | BUY 2 Units @63.0900 | | | | | | |
| 11/26/2018 | ***-**-105P - RICHCREEK, | THE GROWTH FUND OF AMERICA-A | 200.00 | 10.00 | 0.00 | 10.00 | 90.0 | 9.00 |
| | ACCOUNT #: 00075150658 | BUY 4 Units @53.6200 | | | | | | |
| 11/29/2018 | ***-**-87IN - HALL, J | WASHINGTON MUTUAL INVESTORS FUND-A | 140.00 | 2.80 | 0.00 | 2.80 | 90.0 | 2.52 |
| | ACCOUNT #: 00084955124 | BUY 3 Units @46.6400 | | | | | | |
| * MUTUAL FUNDS SUBTOTAL * | | | \$760.00 | \$21.20 | \$0.00 | \$21.20 | | \$19.08 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 11/28/2018 | ***-**-8880 - SULLIVAN, YVONNE | SBL 814121364 | 100.00 | 1.50 | 0.00 | 1.50 | 90.0 | 1.35 |
| | ACCOUNT #: 8030806 | BUY 0 Units @0.0000 | | | | | | |
| 10/23/2018 | ***-**-897I - SPENCER, JEANNIE | STRUCTURED CAP STRAT PLUS OPT I | 40,000.00 | 2,400.00 | 0.00 | 2,400.00 | 90.0 | 2,160.00 |
| | | BUY 1 Units @40000.0000 | | | | | | |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$40,100.00 | \$2,401.50 | \$0.00 | \$2,401.50 | | \$2,161.35 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 12/03/2018 | ***-**-54IN - STOUT, LOUISE | RESOURCE TRAILS | 0.00 | 19.35 | 0.00 | 19.35 | 90.0 | 17.42 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 12/03/2018 | ***-**-2700 - WELDON, CHARLTON | RESOURCE TRAILS | 0.00 | 12.71 | 0.00 | 12.71 | 90.0 | 11.44 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 12/03/2018 | ***-**-657A - LIBERTY, | RESOURCE TRAILS | 0.00 | 51.04 | 0.00 | 51.04 | 90.0 | 45.94 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 12/03/2018 | ***-**-7933 - PIERSON, KAREN | RESOURCE TRAILS | 0.00 | 16.19 | 0.00 | 16.19 | 90.0 | 14.57 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 12/03/2018 | ***-**-776I - RIPLEY, KIM | SAMMONS MF TRAILS | 0.00 | 107.29 | 0.00 | 107.29 | 90.0 | 96.56 |
| | ACCOUNT #: 7200008739 | BUY 0 Units @0.0000 | | | | | | |
| 12/03/2018 | ***-**-002I - RIPLEY, TOM | SAMMONS MF TRAILS | 0.00 | 44.30 | 0.00 | 44.30 | 90.0 | 39.87 |
| | ACCOUNT #: 7200009079 | BUY 0 Units @0.0000 | | | | | | |



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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-----------------------------|---------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 12/03/2018 | ***-**-52IN - LORD, GEORGE | SAMMONS MF TRAILS | 0.00 | 2.56 | 0.00 | 2.56 | 90.0 | 2.30 |
| | ACCOUNT #: 7200037006 | BUY 0 Units @0.0000 | | | | | | |
| 12/03/2018 | ***-**-776I - RIPLEY, KIM | SAMMONS MF TRAILS | 0.00 | 0.86 | 0.00 | 0.86 | 90.0 | 0.77 |
| | ACCOUNT #: 7200008739 | BUY 0 Units @0.0000 | | | | | | |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$254.30 | \$0.00 | \$254.30 | | \$228.87 |
| PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS | | | | | | | | |
| 11/29/2018 | ***-**-7693 - WARD, WILLIAM | SUN LIFE REGATTA PLATINUM | 0.00 | 171.01 | 0.00 | 171.01 | 90.0 | 153.91 |
| | ACCOUNT #: 507907900101137 | BUY 0 Units @0.0000 | | | | | | |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$171.01 | \$0.00 | \$171.01 | | \$153.91 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$40,860.00 | \$2,848.01 | \$0.00 | \$2,848.01 | | \$2,563.21 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$2,563.21 |
| 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 Commission Earned | \$2,563.21 |
| Year-to-date Earnings | \$49,937.42 |