

COMMISSION STATEMENT

September 15, 2018

RIX SMITH-D063

 9000 Highway 2147 West
 Suite 201
 Horseshoe Bay, TX 78657

BROKER #: D063

BRANCH: DMA

COMMISSION STATEMENT for RIX SMITH-D063

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
DIRECT TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
09/04/2018	00059313078	PATTERSON, LESLIE	MFT THE INVESTMENT COMPANY OF	B	0.00	26.76	0.00	26.76	48.0	12.84
09/04/2018	00060848331	JILL MCCARTHY,	MFT AMERICAN MUTUAL FUND-A	B	0.00	1.31	0.00	1.31	48.0	0.63
09/04/2018	00061789455	DURST, CAREY	MFT AMERICAN MUTUAL FUND-A	B	0.00	0.73	0.00	0.73	48.0	0.35
09/04/2018	00063091880	PATTERSON, LESLIE	MFT EUROPACIFIC GROWTH FUND-A	B	0.00	0.86	0.00	0.86	48.0	0.41
09/04/2018	00063091881	PATTERSON, THOMAS	MFT SMALLCAP WORLD FUND-A	B	0.00	0.98	0.00	0.98	48.0	0.47
09/04/2018	00063091882	PATTERSON, LESLIE	MFT EUROPACIFIC GROWTH FUND-A	B	0.00	2.85	0.00	2.85	48.0	1.37
09/04/2018	00063817975	MOODY, JENNIFER	MFT AMERICAN MUTUAL FUND-A	B	0.00	0.15	0.00	0.15	48.0	0.07
09/04/2018	00086504672	SUSAN K LEOPOLD,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.91	0.00	0.91	48.0	0.44
09/04/2018	00086504691	SUSAN K LEOPOLD,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.91	0.00	0.91	48.0	0.44
09/04/2018	00086504702	SUSAN K LEOPOLD	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.91	0.00	0.91	48.0	0.44
09/04/2018	00086504711	SUSAN K LEOPOLD,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.91	0.00	0.91	48.0	0.44
09/04/2018	00086504717	PERRY J LEOPOLD	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.84	0.00	0.84	48.0	0.40
09/04/2018	00086504726	PERRY J LEOPOLD	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.26	0.00	1.26	48.0	0.60
09/04/2018	00086504733	PERRY J LEOPOLD	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.84	0.00	0.84	48.0	0.40
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$40.22	\$0.00	\$40.22		\$19.30
*** DIRECT TRANSACTIONS TOTAL ***					\$0.00	\$40.22	\$0.00	\$40.22		\$19.30

SPLIT TRANSACTIONS

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

09/07/2018	00073969963	SMITH, RONALD	MF NEW PERSPECTIVE FUND-A	B	4,809.82	48.10	0.00	48.10		23.09
09/04/2018	00058301600	SMITH, LAURA	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	10.39	0.00	10.39		4.99
09/04/2018	00059032323	SMITH, LAURA	MFT AMERICAN BALANCED FUND-A	B	0.00	87.15	0.00	87.15		41.83
09/04/2018	00059032323	SMITH, LAURA	MFT AMERICAN MUTUAL FUND-A	B	0.00	46.44	0.00	46.44		22.29
09/04/2018	00059032323	SMITH, LAURA	MFT THE INVESTMENT COMPANY OF	B	0.00	45.43	0.00	45.43		21.81
09/04/2018	00064630494	WARREN, JANET	MFT AMERICAN BALANCED FUND-A	B	0.00	8.67	0.00	8.67		4.16
09/04/2018	00064630494	WARREN, JANET	MFT AMERICAN MUTUAL FUND-A	B	0.00	9.15	0.00	9.15		4.39
09/04/2018	00064630494	WARREN, JANET	MFT FUNDAMENTAL INVESTORS-A	B	0.00	9.95	0.00	9.95		4.78
09/04/2018	00064669115	CARTER, CHRISTY	MFT AMERICAN BALANCED FUND-A	B	0.00	1.95	0.00	1.95		0.94
09/04/2018	00064669115	CARTER, CHRISTY	MFT AMERICAN HIGH-INCOME TRUST-A	B	0.00	3.34	0.00	3.34		1.60

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09/04/2018	00064669115	CARTER, CHRISTY	MFT AMERICAN HIGH-INCOME TRUST-C	B	0.00	6.96	0.00	6.96	3.34
09/04/2018	00064669115	CARTER, CHRISTY	MFT CAPITAL INCOME BUILDER CLASS C	B	0.00	3.74	0.00	3.74	1.80
09/04/2018	00064669115	CARTER, CHRISTY	MFT CAPITAL INCOME BUILDER-F1	B	0.00	4.45	0.00	4.45	2.14
09/04/2018	00064669115	CARTER, CHRISTY	MFT CAPITAL WORLD BOND FUND-C	B	0.00	6.21	0.00	6.21	2.98
09/04/2018	00064669117	CARTER, CRAIG	MFT AMERICAN BALANCED FUND-A	B	0.00	1.95	0.00	1.95	0.94
09/04/2018	00064669117	CARTER, CRAIG	MFT AMERICAN HIGH-INCOME TRUST-A	B	0.00	3.34	0.00	3.34	1.60
09/04/2018	00064669117	CARTER, CRAIG	MFT AMERICAN HIGH-INCOME TRUST-C	B	0.00	6.96	0.00	6.96	3.34
09/04/2018	00064669117	CARTER, CRAIG	MFT CAPITAL INCOME BUILDER CLASS C	B	0.00	3.75	0.00	3.75	1.80
09/04/2018	00064669117	CARTER, CRAIG	MFT CAPITAL INCOME BUILDER-F1	B	0.00	4.45	0.00	4.45	2.14
09/04/2018	00064669117	CARTER, CRAIG	MFT CAPITAL WORLD BOND FUND-C	B	0.00	6.21	0.00	6.21	2.98
09/04/2018	00073969963	SMITH, RONALD	MFT AMERICAN BALANCED FUND-A	B	0.00	170.55	0.00	170.55	81.86
09/04/2018	00073969963	SMITH, RONALD	MFT AMERICAN MUTUAL FUND-A	B	0.00	27.70	0.00	27.70	13.30
09/04/2018	00073969963	SMITH, RONALD	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	32.61	0.00	32.61	15.65
09/04/2018	00073969963	SMITH, RONALD	MFT NEW PERSPECTIVE FUND-A	B	0.00	8.10	0.00	8.10	3.89
09/04/2018	00075475697	WEBER, ERICA	MFT AMERICAN BALANCED FUND-529A	B	0.00	3.31	0.00	3.31	1.59
09/04/2018	00075475697	WEBER, ERICA	MFT AMERICAN MUTUAL FUND-529A	B	0.00	2.89	0.00	2.89	1.39
09/04/2018	00075691742	KIRKPATRICK,	MFT AMERICAN BALANCED FUND-529A	B	0.00	3.20	0.00	3.20	1.54
09/04/2018	04000703953	CARTER, CRAIG	MFT AMERICAN BALANCED FUND-A	B	0.00	10.79	0.00	10.79	5.18
09/04/2018	04000703953	CARTER, CRAIG	MFT AMERICAN FUNDS 2010 TARGET	B	0.00	10.61	0.00	10.61	5.09
09/04/2018	04000703953	CARTER, CRAIG	MFT RTMT INCOME PORTFOLIO	B	0.00	10.25	0.00	10.25	4.92
* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *					<u>\$4,809.82</u>	<u>\$598.60</u>	<u>\$0.00</u>	<u>\$598.60</u>	<u>\$287.35</u>
*** SPLIT TRANSACTIONS TOTAL ***					<u>\$4,809.82</u>	<u>\$598.60</u>	<u>\$0.00</u>	<u>\$598.60</u>	<u>\$287.35</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$19.30
Split Transactions	\$287.35
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	\$306.65
Year-to-date Commissions	\$14,125.46