

COMMISSION STATEMENT

December 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										
12/03/2018	00059313078	PATTERSON, LESLIE	MFT THE INVESTMENT COMPANY OF	B	0.00	26.17	0.00	26.17	48.0	12.56
12/03/2018	00060848331	JILL MCCARTHY,	MFT AMERICAN MUTUAL FUND-A	B	0.00	1.32	0.00	1.32	48.0	0.63
12/03/2018	00061789455	DURST, CAREY	MFT AMERICAN MUTUAL FUND-A	B	0.00	0.73	0.00	0.73	48.0	0.35
12/03/2018	00063091880	PATTERSON, LESLIE	MFT EUROPACIFIC GROWTH FUND-A	B	0.00	0.79	0.00	0.79	48.0	0.38
12/03/2018	00063091881	PATTERSON, THOMAS	MFT SMALLCAP WORLD FUND-A	B	0.00	0.92	0.00	0.92	48.0	0.44
12/03/2018	00063091882	PATTERSON, LESLIE	MFT EUROPACIFIC GROWTH FUND-A	B	0.00	2.62	0.00	2.62	48.0	1.26
12/03/2018	00063817975	MOODY, JENNIFER	MFT AMERICAN MUTUAL FUND-A	B	0.00	0.15	0.00	0.15	48.0	0.07
12/03/2018	00086504672	SUSAN K LEOPOLD,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.88	0.00	0.88	48.0	0.42
12/03/2018	00086504691	SUSAN K LEOPOLD,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.88	0.00	0.88	48.0	0.42
12/03/2018	00086504702	SUSAN K LEOPOLD	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.88	0.00	0.88	48.0	0.42
12/03/2018	00086504711	SUSAN K LEOPOLD,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.88	0.00	0.88	48.0	0.42
12/03/2018	00086504717	PERRY J LEOPOLD	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.81	0.00	0.81	48.0	0.39
12/03/2018	00086504726	PERRY J LEOPOLD	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.21	0.00	1.21	48.0	0.58
12/03/2018	00086504733	PERRY J LEOPOLD	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.81	0.00	0.81	48.0	0.39
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$39.05	\$0.00	\$39.05		\$18.73
*** DIRECT TRANSACTIONS TOTAL ***					\$0.00	\$39.05	\$0.00	\$39.05		\$18.73

SPLIT TRANSACTIONS

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

12/07/2018	00073969963	SMITH, RONALD	MF NEW PERSPECTIVE FUND-A	B	4,806.83	48.07	0.00	48.07		23.07
12/03/2018	00058301600	SMITH, LAURA	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	10.35	0.00	10.35		4.97
12/03/2018	00059032323	SMITH, LAURA	MFT AMERICAN BALANCED FUND-A	B	0.00	85.93	0.00	85.93		41.25
12/03/2018	00059032323	SMITH, LAURA	MFT AMERICAN MUTUAL FUND-A	B	0.00	46.66	0.00	46.66		22.40
12/03/2018	00059032323	SMITH, LAURA	MFT THE INVESTMENT COMPANY OF	B	0.00	44.42	0.00	44.42		21.32
12/03/2018	00064630494	WARREN, JANET	MFT AMERICAN BALANCED FUND-A	B	0.00	8.54	0.00	8.54		4.10
12/03/2018	00064630494	WARREN, JANET	MFT AMERICAN MUTUAL FUND-A	B	0.00	9.19	0.00	9.19		4.41
12/03/2018	00064630494	WARREN, JANET	MFT FUNDAMENTAL INVESTORS-A	B	0.00	9.69	0.00	9.69		4.65
12/03/2018	00064669115	CARTER, CHRISTY	MFT AMERICAN BALANCED FUND-A	B	0.00	1.93	0.00	1.93		0.93
12/03/2018	00064669115	CARTER, CHRISTY	MFT AMERICAN HIGH-INCOME TRUST-A	B	0.00	3.33	0.00	3.33		1.60

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12/03/2018 00064669115	CARTER, CHRISTY	MFT AMERICAN HIGH-INCOME TRUST-C	B	0.00	6.93	0.00	6.93		3.33
12/03/2018 00064669115	CARTER, CHRISTY	MFT CAPITAL INCOME BUILDER CLASS C	B	0.00	2.71	0.00	2.71		1.30
12/03/2018 00064669115	CARTER, CHRISTY	MFT CAPITAL INCOME BUILDER-F1	B	0.00	4.57	0.00	4.57		2.19
12/03/2018 00064669115	CARTER, CHRISTY	MFT CAPITAL WORLD BOND FUND-C	B	0.00	6.05	0.00	6.05		2.90
12/03/2018 00064669117	CARTER, CRAIG	MFT AMERICAN BALANCED FUND-A	B	0.00	1.93	0.00	1.93		0.93
12/03/2018 00064669117	CARTER, CRAIG	MFT AMERICAN HIGH-INCOME TRUST-A	B	0.00	3.33	0.00	3.33		1.60
12/03/2018 00064669117	CARTER, CRAIG	MFT AMERICAN HIGH-INCOME TRUST-C	B	0.00	6.93	0.00	6.93		3.33
12/03/2018 00064669117	CARTER, CRAIG	MFT CAPITAL INCOME BUILDER CLASS C	B	0.00	2.72	0.00	2.72		1.31
12/03/2018 00064669117	CARTER, CRAIG	MFT CAPITAL INCOME BUILDER-F1	B	0.00	4.57	0.00	4.57		2.19
12/03/2018 00064669117	CARTER, CRAIG	MFT CAPITAL WORLD BOND FUND-C	B	0.00	6.05	0.00	6.05		2.90
12/03/2018 00073969963	SMITH, RONALD	MFT AMERICAN BALANCED FUND-A	B	0.00	168.16	0.00	168.16		80.72
12/03/2018 00073969963	SMITH, RONALD	MFT AMERICAN MUTUAL FUND-A	B	0.00	27.83	0.00	27.83		13.36
12/03/2018 00073969963	SMITH, RONALD	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	30.81	0.00	30.81		14.79
12/03/2018 00073969963	SMITH, RONALD	MFT NEW PERSPECTIVE FUND-A	B	0.00	13.87	0.00	13.87		6.66
12/03/2018 00075475697	WEBER, ERICA	MFT AMERICAN BALANCED FUND-529A	B	0.00	1.87	0.00	1.87		0.90
12/03/2018 00075475697	WEBER, ERICA	MFT AMERICAN MUTUAL FUND-529A	B	0.00	1.82	0.00	1.82		0.87
12/03/2018 00075691742	KIRKPATRICK,	MFT AMERICAN BALANCED FUND-529A	B	0.00	3.15	0.00	3.15		1.51
12/03/2018 04000703953	CARTER, CRAIG	MFT AMERICAN BALANCED FUND-A	B	0.00	10.64	0.00	10.64		5.11
12/03/2018 04000703953	CARTER, CRAIG	MFT AMERICAN FUNDS 2010 TARGET	B	0.00	10.43	0.00	10.43		5.01
12/03/2018 04000703953	CARTER, CRAIG	MFT RTMT INCOME PORTFOLIO	B	0.00	10.41	0.00	10.41		5.00
* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *				<u>\$4,806.83</u>	<u>\$592.89</u>	<u>\$0.00</u>	<u>\$592.89</u>		<u>\$284.61</u>
*** SPLIT TRANSACTIONS TOTAL ***				<u>\$4,806.83</u>	<u>\$592.89</u>	<u>\$0.00</u>	<u>\$592.89</u>		<u>\$284.61</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$18.73
Split Transactions	\$284.61
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	\$303.34
Year-to-date Commissions	\$18,188.89