

COMMISSION STATEMENT September 30, 2018

RANDY SMITH-D061
 9000 Highway 2147 West
 Suite 201
 Horseshoe Bay, TX 78657

BROKER #: D061
 BRANCH: DMA

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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CLEARING TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

08/31/2018	153180186	BANNWORTH, CHARLES	MF	FUNDAMENTAL INVESTORS-A	B	-600.00	0.00	5.00	-5.00	50.0	-2.50
08/31/2018	153180186	BANNWORTH, CHARLES	MF	NEW PERSPECTIVE FUND-A	B	-600.00	0.00	5.00	-5.00	50.0	-2.50
08/31/2018	368282032	MARTINEZ, RAYMOND	MF	NEW PERSPECTIVE FUND-A	S	25,002.45	937.50	5.00	932.50	50.0	466.25
				* MUTUAL FUNDS SUBTOTAL *		\$23,802.45	\$937.50	\$15.00	\$922.50		\$461.25

PRODUCT CATEGORY: STOCKS

08/30/2018	492642569	MCLEOD, MARTHA	S	DIREXION DAILY S&P OIL & GAS	B	37,977.35	35.00	15.00	20.00	50.0	10.00
09/10/2018	492642569	MCLEOD, MARTHA	S	DENBURY RESOURCES INC (NEW)	B	26,087.45	35.00	15.00	20.00	50.0	10.00
09/11/2018	492642569	MCLEOD, MARTHA	S	DIREXION DAILY 20+ YR TREASURY	S	-241,667.01	35.00	15.00	20.00	50.0	10.00
09/14/2018	492642569	MCLEOD, MARTHA	S	APHRIA INC ISIN #CA03765K1049	B	70,020.75	35.00	15.00	20.00	50.0	10.00
09/19/2018	492642569	MCLEOD, MARTHA	S	APHRIA INC ISIN #CA03765K1049	S	-25,491.14	23.80	0.00	23.80	50.0	11.90
09/19/2018	492642569	MCLEOD, MARTHA	S	APHRIA INC ISIN #CA03765K1049	S	-7,213.16	7.00	0.00	7.00	50.0	3.50
09/19/2018	492642569	MCLEOD, MARTHA	S	APHRIA INC ISIN #CA03765K1049	S	-7,213.16	7.00	0.00	7.00	50.0	3.50
09/19/2018	492642569	MCLEOD, MARTHA	S	APHRIA INC ISIN #CA03765K1049	S	-7,213.16	7.00	0.00	7.00	50.0	3.50
09/19/2018	492642569	MCLEOD, MARTHA	S	APHRIA INC ISIN #CA03765K1049	S	-7,497.39	7.00	0.00	7.00	50.0	3.50
09/19/2018	492642569	MCLEOD, MARTHA	S	APHRIA INC ISIN #CA03765K1049	S	-4,327.89	4.20	0.00	4.20	50.0	2.10
09/19/2018	492642569	MCLEOD, MARTHA	S	APHRIA INC ISIN #CA03765K1049	S	-4,495.98	4.20	15.00	-10.80	50.0	-5.40
09/19/2018	492642569	MCLEOD, MARTHA	S	APHRIA INC ISIN #CA03765K1049	S	-2,885.26	2.80	0.00	2.80	50.0	1.40
09/19/2018	492642569	MCLEOD, MARTHA	S	APHRIA INC ISIN #CA03765K1049	S	-2,884.61	2.80	15.00	-12.20	50.0	-6.10
09/19/2018	492642569	MCLEOD, MARTHA	S	APHRIA INC ISIN #CA03765K1049	S	-1,442.63	1.40	0.00	1.40	50.0	0.70
09/19/2018	492642569	MCLEOD, MARTHA	S	APHRIA INC ISIN #CA03765K1049	S	-1,442.63	1.40	0.00	1.40	50.0	0.70
09/19/2018	492642569	MCLEOD, MARTHA	S	APHRIA INC ISIN #CA03765K1049	S	-1,442.63	1.40	0.00	1.40	50.0	0.70
09/20/2018	492642569	MCLEOD, MARTHA	S	AURORA CANNABIS INC ISIN	B	43,523.40	35.00	15.00	20.00	50.0	10.00
09/24/2018	492642569	MCLEOD, MARTHA	S	DENBURY RESOURCES INC (NEW)	S	-30,662.65	35.00	15.00	20.00	50.0	10.00
09/24/2018	492642569	MCLEOD, MARTHA	S	DIREXION DAILY S&P OIL & GAS	S	-67,686.44	35.00	15.00	20.00	50.0	10.00
09/11/2018	676367088	SMITH, RANDALL	S	SUNOCO LP	B	19,418.05	20.00	15.00	5.00	50.0	2.50
				* STOCKS SUBTOTAL *		\$-216,538.74	\$335.00	\$150.00	\$185.00		\$92.50

PRODUCT CATEGORY: BONDS

09/11/2018	676362695	SMITH, RANDALL	B	WACO TX COM TAX REV CFTS OF	B	19,596.44	25.00	15.00	10.00	50.0	5.00
				* BONDS SUBTOTAL *		\$19,596.44	\$25.00	\$15.00	\$10.00		\$5.00

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
09/21/2018	mfc219642	SMITH RANDALL		MFT ALLIANCEBERNSTEIN GLO GOVT INC	B	0.00	5.81	0.00	5.81 50.0 2.91
09/21/2018	mfc219642	SMITH RANDALL		MFT AMERICAN BALANCED FUND-A	B	0.00	1.16	0.00	1.16 50.0 0.58
09/21/2018	mfc219642	SMITH RANDALL		MFT AMERICAN BALANCED FUND-A	B	0.00	3.96	0.00	3.96 50.0 1.98
09/21/2018	mfc219642	SMITH RANDALL		MFT AMERICAN BALANCED FUND-A	B	0.00	6.18	0.00	6.18 50.0 3.09
09/21/2018	mfc219642	SMITH RANDALL		MFT AMERICAN BALANCED FUND-A	B	0.00	7.42	0.00	7.42 50.0 3.71
09/21/2018	mfc219642	SMITH RANDALL		MFT AMERICAN BALANCED FUND-A	B	0.00	8.75	0.00	8.75 50.0 4.38
09/21/2018	mfc219642	SMITH RANDALL		MFT AMERICAN BALANCED FUND-A	B	0.00	9.06	0.00	9.06 50.0 4.53
09/21/2018	mfc219642	SMITH RANDALL		MFT AMERICAN BALANCED FUND-A	B	0.00	10.67	0.00	10.67 50.0 5.34
09/21/2018	mfc219642	SMITH RANDALL		MFT AMERICAN BALANCED FUND-A	B	0.00	10.74	0.00	10.74 50.0 5.37
09/21/2018	mfc219642	SMITH RANDALL		MFT AMERICAN BALANCED FUND-A	B	0.00	16.51	0.00	16.51 50.0 8.26
09/21/2018	mfc219642	SMITH RANDALL		MFT AMERICAN BALANCED FUND-A	B	0.00	22.16	0.00	22.16 50.0 11.08
09/21/2018	mfc219642	SMITH RANDALL		MFT AMERICAN BALANCED FUND-A	B	0.00	22.71	0.00	22.71 50.0 11.36
09/21/2018	mfc219642	SMITH RANDALL		MFT AMERICAN BALANCED FUND-A	B	0.00	33.02	0.00	33.02 50.0 16.51
09/21/2018	mfc219642	SMITH RANDALL		MFT AMERICAN BALANCED FUND-F1	B	0.00	6.07	0.00	6.07 50.0 3.04
09/21/2018	mfc219642	SMITH RANDALL		MFT AMERICAN HIGH-INCOME TRUST-A	B	0.00	8.82	0.00	8.82 50.0 4.41
09/21/2018	mfc219642	SMITH RANDALL		MFT AMERICAN MUTUAL FUND-A	B	0.00	2.82	0.00	2.82 50.0 1.41
09/21/2018	mfc219642	SMITH RANDALL		MFT CAPITAL APPRECIATION A	B	0.00	1.02	0.00	1.02 50.0 0.51
09/21/2018	mfc219642	SMITH RANDALL		MFT CAPITAL INCOME BUILDER-A	B	0.00	0.93	0.00	0.93 50.0 0.47
09/21/2018	mfc219642	SMITH RANDALL		MFT CAPITAL INCOME BUILDER-A	B	0.00	7.76	0.00	7.76 50.0 3.88
09/21/2018	mfc219642	SMITH RANDALL		MFT CAPITAL INCOME BUILDER-F1	B	0.00	0.62	0.00	0.62 50.0 0.31
09/21/2018	mfc219642	SMITH RANDALL		MFT CAPITAL INCOME BUILDER-F1	B	0.00	1.75	0.00	1.75 50.0 0.88
09/21/2018	mfc219642	SMITH RANDALL		MFT CAPITAL INCOME BUILDER-F1	B	0.00	8.36	0.00	8.36 50.0 4.18
09/21/2018	mfc219642	SMITH RANDALL		MFT CAPITAL INCOME BUILDER-A	B	0.00	2.58	0.00	2.58 50.0 1.29
09/21/2018	mfc219642	SMITH RANDALL		MFT CAPITAL INCOME BUILDER-A	B	0.00	9.46	0.00	9.46 50.0 4.73
09/21/2018	mfc219642	SMITH RANDALL		MFT CAPITAL INCOME BUILDER-A	B	0.00	12.12	0.00	12.12 50.0 6.06
09/21/2018	mfc219642	SMITH RANDALL		MFT CAPITAL INCOME BUILDER-A	B	0.00	42.17	0.00	42.17 50.0 21.09
09/21/2018	mfc219642	SMITH RANDALL		MFT CAPITAL WORLD BOND FUND-A	B	0.00	3.06	0.00	3.06 50.0 1.53
09/21/2018	mfc219642	SMITH RANDALL		MFT DAVIS NEW YORK VENTURE CLASS A	B	0.00	0.03	0.00	0.03 50.0 0.02
09/21/2018	mfc219642	SMITH RANDALL		MFT DEUTSCHE STRATEGIC HIGH YIELD	B	0.00	3.69	0.00	3.69 50.0 1.85
09/21/2018	mfc219642	SMITH RANDALL		MFT DEUTSCHE STRATEGIC HIGH YIELD	B	0.00	8.43	0.00	8.43 50.0 4.22
09/21/2018	mfc219642	SMITH RANDALL		MFT DREYFUS HIGH YIELD FD A	B	0.00	1.56	0.00	1.56 50.0 0.78
09/21/2018	mfc219642	SMITH RANDALL		MFT DREYFUS PREMIER TECHNOLOGY	B	0.00	2.12	0.00	2.12 50.0 1.06
09/21/2018	mfc219642	SMITH RANDALL		MFT EATON VANCE UTILITIES FUND	B	0.00	1.41	0.00	1.41 50.0 0.71
09/21/2018	mfc219642	SMITH RANDALL		MFT EUROPACIFIC GROWTH FUND-A	B	0.00	0.19	0.00	0.19 50.0 0.10
09/21/2018	mfc219642	SMITH RANDALL		MFT FIDELITY ADVISOR INDUSTRIAL FD	B	0.00	9.36	0.00	9.36 50.0 4.68
09/21/2018	mfc219642	SMITH RANDALL		MFT FIDELITY ADVISOR EMERGING ASIA	B	0.00	4.77	0.00	4.77 50.0 2.39
09/21/2018	mfc219642	SMITH RANDALL		MFT FIDELITY ADVISOR MID CAP STOCK	B	0.00	2.97	0.00	2.97 50.0 1.49
09/21/2018	mfc219642	SMITH RANDALL		MFT FIDELITY ADV EMERGING MRKTS INC	B	0.00	1.78	0.00	1.78 50.0 0.89
09/21/2018	mfc219642	SMITH RANDALL		MFT FIDELITY ADVISOR SMALL CAP FUND	B	0.00	3.32	0.00	3.32 50.0 1.66
09/21/2018	mfc219642	SMITH RANDALL		MFT FRANKLIN GROWTH FUND CLASS A	B	0.00	3.28	0.00	3.28 50.0 1.64
09/21/2018	mfc219642	SMITH RANDALL		MFT FRANKLIN INCOME FUND CLASS C	B	0.00	32.43	0.00	32.43 50.0 16.22
09/21/2018	mfc219642	SMITH RANDALL		MFT FRANKLIN INCOME FUND CLASS A	B	0.00	0.78	0.00	0.78 50.0 0.39
09/21/2018	mfc219642	SMITH RANDALL		MFT FRANKLIN INCOME FUND CLASS A	B	0.00	3.06	0.00	3.06 50.0 1.53

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09/21/2018	mfc219642 SMITH RANDALL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.61	0.00	0.61	50.0	0.31
09/21/2018	mfc219642 SMITH RANDALL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.82	0.00	0.82	50.0	0.41
09/21/2018	mfc219642 SMITH RANDALL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	3.35	0.00	3.35	50.0	1.68
09/21/2018	mfc219642 SMITH RANDALL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	7.28	0.00	7.28	50.0	3.64
09/21/2018	mfc219642 SMITH RANDALL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	15.84	0.00	15.84	50.0	7.92
09/21/2018	mfc219642 SMITH RANDALL	MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.08	0.00	0.08	50.0	0.04
09/21/2018	mfc219642 SMITH RANDALL	MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.08	0.00	0.08	50.0	0.04
09/21/2018	mfc219642 SMITH RANDALL	MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.18	0.00	0.18	50.0	0.09
09/21/2018	mfc219642 SMITH RANDALL	MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.27	0.00	0.27	50.0	0.14
09/21/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	2.69	0.00	2.69	50.0	1.35
09/21/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	3.07	0.00	3.07	50.0	1.54
09/21/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	3.31	0.00	3.31	50.0	1.66
09/21/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	15.26	0.00	15.26	50.0	7.63
09/21/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	35.18	0.00	35.18	50.0	17.59
09/21/2018	mfc219642 SMITH RANDALL	MFT OPPENHEIMERFUNDS 68381A103	B	0.00	6.41	0.00	6.41	50.0	3.21
09/21/2018	mfc219642 SMITH RANDALL	MFT OPPENHEIMERFUNDS 68381A103	B	0.00	7.30	0.00	7.30	50.0	3.65
09/21/2018	mfc219642 SMITH RANDALL	MFT OPPENHEIMERFUNDS 68381A103	B	0.00	8.17	0.00	8.17	50.0	4.09
09/21/2018	mfc219642 SMITH RANDALL	MFT OPPENHEIMERFUNDS 68381A103	B	0.00	20.15	0.00	20.15	50.0	10.08
09/21/2018	mfc219642 SMITH RANDALL	MFT PRUDENTIAL JENNISON UTILITY FD	B	0.00	10.22	0.00	10.22	50.0	5.11
09/21/2018	mfc219642 SMITH RANDALL	MFT PUTNAM GLOBAL EQUITY FUND CLASS	B	0.00	0.06	0.00	0.06	50.0	0.03
09/21/2018	mfc219642 SMITH RANDALL	MFT TAX-EXEMPT BOND FUND OF AMERICA	B	0.00	4.53	0.00	4.53	50.0	2.27
09/21/2018	mfc219642 SMITH RANDALL	MFT THE BOND FUND OF AMERICA-A	B	0.00	0.71	0.00	0.71	50.0	0.36
09/21/2018	mfc219642 SMITH RANDALL	MFT THE BOND FUND OF AMERICA-A	B	0.00	5.67	0.00	5.67	50.0	2.84
09/21/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.02	0.00	0.02	50.0	0.01
09/21/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.29	0.00	0.29	50.0	0.15
09/21/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.36	0.00	0.36	50.0	0.18
09/21/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	9.03	0.00	9.03	50.0	4.52
09/21/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.12	0.00	2.12	50.0	1.06
09/21/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	0.05	0.00	0.05	50.0	0.03
09/21/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	1.68	0.00	1.68	50.0	0.84
09/21/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	3.36	0.00	3.36	50.0	1.68
09/21/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	8.07	0.00	8.07	50.0	4.04
09/21/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	49.19	0.00	49.19	50.0	24.60
09/21/2018	mfc219642 SMITH RANDALL	MFT THORNBURG INTERM MUNI NATL FD	B	0.00	1.59	0.00	1.59	50.0	0.80
09/21/2018	mfc219642 SMITH RANDALL	MFT VALUE A	B	0.00	2.06	0.00	2.06	50.0	1.03
09/21/2018	mfc219642 SMITH RANDALL	MFT VALUE A	B	0.00	5.11	0.00	5.11	50.0	2.56
09/21/2018	mfc219642 SMITH RANDALL	MFT VOYA HIGH YIELD BOND FD A	B	0.00	1.00	0.00	1.00	50.0	0.50
09/21/2018	mfc219642 SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	0.56	0.00	0.56	50.0	0.28
09/21/2018	mfc219642 SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	0.73	0.00	0.73	50.0	0.37
09/21/2018	mfc219642 SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	2.74	0.00	2.74	50.0	1.37
09/21/2018	mfc219642 SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	2.88	0.00	2.88	50.0	1.44
09/21/2018	mfc219642 SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	30.78	0.00	30.78	50.0	15.39
09/21/2018	mfc219642 SMITH RANDALL	MFT WELLS FARGO HIGH YIELD BOND-A	B	0.00	0.86	0.00	0.86	50.0	0.43
09/24/2018	mfc219642 SMITH RANDALL	MFT ALLIANCEBERNSTEIN GLO GOVT INC	B	0.00	5.45	0.00	5.45	50.0	2.73

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09/24/2018	mfc219642 SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	1.10	0.00	1.10	50.0	0.55
09/24/2018	mfc219642 SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	3.73	0.00	3.73	50.0	1.87
09/24/2018	mfc219642 SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	5.82	0.00	5.82	50.0	2.91
09/24/2018	mfc219642 SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	6.99	0.00	6.99	50.0	3.50
09/24/2018	mfc219642 SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	8.25	0.00	8.25	50.0	4.13
09/24/2018	mfc219642 SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	8.54	0.00	8.54	50.0	4.27
09/24/2018	mfc219642 SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	10.05	0.00	10.05	50.0	5.03
09/24/2018	mfc219642 SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	10.12	0.00	10.12	50.0	5.06
09/24/2018	mfc219642 SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	15.56	0.00	15.56	50.0	7.78
09/24/2018	mfc219642 SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	20.89	0.00	20.89	50.0	10.45
09/24/2018	mfc219642 SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	21.41	0.00	21.41	50.0	10.71
09/24/2018	mfc219642 SMITH RANDALL	MFT AMERICAN BALANCED FUND-A	B	0.00	31.12	0.00	31.12	50.0	15.56
09/24/2018	mfc219642 SMITH RANDALL	MFT AMERICAN BALANCED FUND-F1	B	0.00	5.72	0.00	5.72	50.0	2.86
09/24/2018	mfc219642 SMITH RANDALL	MFT AMERICAN HIGH-INCOME TRUST-A	B	0.00	8.27	0.00	8.27	50.0	4.14
09/24/2018	mfc219642 SMITH RANDALL	MFT AMERICAN MUTUAL FUND-A	B	0.00	2.67	0.00	2.67	50.0	1.34
09/24/2018	mfc219642 SMITH RANDALL	MFT CAPITAL APPRECIATION A	B	0.00	0.97	0.00	0.97	50.0	0.49
09/24/2018	mfc219642 SMITH RANDALL	MFT CAPITAL INCOME BUILDER-A	B	0.00	0.88	0.00	0.88	50.0	0.44
09/24/2018	mfc219642 SMITH RANDALL	MFT CAPITAL INCOME BUILDER-A	B	0.00	2.43	0.00	2.43	50.0	1.22
09/24/2018	mfc219642 SMITH RANDALL	MFT CAPITAL INCOME BUILDER-A	B	0.00	7.28	0.00	7.28	50.0	3.64
09/24/2018	mfc219642 SMITH RANDALL	MFT CAPITAL INCOME BUILDER-A	B	0.00	8.88	0.00	8.88	50.0	4.44
09/24/2018	mfc219642 SMITH RANDALL	MFT CAPITAL INCOME BUILDER-A	B	0.00	11.38	0.00	11.38	50.0	5.69
09/24/2018	mfc219642 SMITH RANDALL	MFT CAPITAL INCOME BUILDER-A	B	0.00	39.58	0.00	39.58	50.0	19.79
09/24/2018	mfc219642 SMITH RANDALL	MFT CAPITAL INCOME BUILDER-F1	B	0.00	0.58	0.00	0.58	50.0	0.29
09/24/2018	mfc219642 SMITH RANDALL	MFT CAPITAL INCOME BUILDER-F1	B	0.00	1.65	0.00	1.65	50.0	0.83
09/24/2018	mfc219642 SMITH RANDALL	MFT CAPITAL INCOME BUILDER-F1	B	0.00	7.85	0.00	7.85	50.0	3.93
09/24/2018	mfc219642 SMITH RANDALL	MFT CAPITAL WORLD BOND FUND-A	B	0.00	2.87	0.00	2.87	50.0	1.44
09/24/2018	mfc219642 SMITH RANDALL	MFT DAVIS NEW YORK VENTURE CLASS A	B	0.00	0.03	0.00	0.03	50.0	0.02
09/24/2018	mfc219642 SMITH RANDALL	MFT DEUTSCHE STRATEGIC HIGH YIELD	B	0.00	3.46	0.00	3.46	50.0	1.73
09/24/2018	mfc219642 SMITH RANDALL	MFT DEUTSCHE STRATEGIC HIGH YIELD	B	0.00	7.91	0.00	7.91	50.0	3.96
09/24/2018	mfc219642 SMITH RANDALL	MFT DREYFUS HIGH YIELD FD A	B	0.00	1.46	0.00	1.46	50.0	0.73
09/24/2018	mfc219642 SMITH RANDALL	MFT DREYFUS PREMIER TECHNOLOGY	B	0.00	2.02	0.00	2.02	50.0	1.01
09/24/2018	mfc219642 SMITH RANDALL	MFT EATON VANCE UTILITIES FUND	B	0.00	1.33	0.00	1.33	50.0	0.67
09/24/2018	mfc219642 SMITH RANDALL	MFT EUROPACIFIC GROWTH FUND-A	B	0.00	0.17	0.00	0.17	50.0	0.09
09/24/2018	mfc219642 SMITH RANDALL	MFT FIDELITY ADVISOR INDUSTRIAL FD	B	0.00	8.93	0.00	8.93	50.0	4.47
09/24/2018	mfc219642 SMITH RANDALL	MFT FIDELITY ADVISOR EMERGING ASIA	B	0.00	4.43	0.00	4.43	50.0	2.22
09/24/2018	mfc219642 SMITH RANDALL	MFT FIDELITY ADVISOR MID CAP STOCK	B	0.00	2.85	0.00	2.85	50.0	1.43
09/24/2018	mfc219642 SMITH RANDALL	MFT FIDELITY ADV EMERGING MRKTS INC	B	0.00	1.65	0.00	1.65	50.0	0.83
09/24/2018	mfc219642 SMITH RANDALL	MFT FIDELITY ADVISOR SMALL CAP FUND	B	0.00	3.16	0.00	3.16	50.0	1.58
09/24/2018	mfc219642 SMITH RANDALL	MFT FRANKLIN GROWTH FUND CLASS A	B	0.00	3.12	0.00	3.12	50.0	1.56
09/24/2018	mfc219642 SMITH RANDALL	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	30.48	0.00	30.48	50.0	15.24
09/24/2018	mfc219642 SMITH RANDALL	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	0.73	0.00	0.73	50.0	0.37
09/24/2018	mfc219642 SMITH RANDALL	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	2.87	0.00	2.87	50.0	1.44
09/24/2018	mfc219642 SMITH RANDALL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.57	0.00	0.57	50.0	0.29
09/24/2018	mfc219642 SMITH RANDALL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.78	0.00	0.78	50.0	0.39

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
09/24/2018	mfc219642 SMITH RANDALL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	3.15	0.00	3.15	50.0	1.58
09/24/2018	mfc219642 SMITH RANDALL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	6.85	0.00	6.85	50.0	3.43
09/24/2018	mfc219642 SMITH RANDALL	MFT FUNDAMENTAL INVESTORS-A	B	0.00	14.91	0.00	14.91	50.0	7.46
09/24/2018	mfc219642 SMITH RANDALL	MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.05	0.00	0.05	50.0	0.03
09/24/2018	mfc219642 SMITH RANDALL	MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.05	0.00	0.05	50.0	0.03
09/24/2018	mfc219642 SMITH RANDALL	MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.19	0.00	0.19	50.0	0.10
09/24/2018	mfc219642 SMITH RANDALL	MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.28	0.00	0.28	50.0	0.14
09/24/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	2.53	0.00	2.53	50.0	1.27
09/24/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	2.89	0.00	2.89	50.0	1.45
09/24/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	3.12	0.00	3.12	50.0	1.56
09/24/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	14.36	0.00	14.36	50.0	7.18
09/24/2018	mfc219642 SMITH RANDALL	MFT NEW PERSPECTIVE FUND-A	B	0.00	33.12	0.00	33.12	50.0	16.56
09/24/2018	mfc219642 SMITH RANDALL	MFT OPPENHEIMERFUNDS 68381A103	B	0.00	6.08	0.00	6.08	50.0	3.04
09/24/2018	mfc219642 SMITH RANDALL	MFT OPPENHEIMERFUNDS 68381A103	B	0.00	6.92	0.00	6.92	50.0	3.46
09/24/2018	mfc219642 SMITH RANDALL	MFT OPPENHEIMERFUNDS 68381A103	B	0.00	7.75	0.00	7.75	50.0	3.88
09/24/2018	mfc219642 SMITH RANDALL	MFT OPPENHEIMERFUNDS 68381A103	B	0.00	19.11	0.00	19.11	50.0	9.56
09/24/2018	mfc219642 SMITH RANDALL	MFT PRUDENTIAL JENNISON UTILITY FD	B	0.00	9.69	0.00	9.69	50.0	4.85
09/24/2018	mfc219642 SMITH RANDALL	MFT PUTNAM GLOBAL EQUITY FUND CLASS	B	0.00	0.05	0.00	0.05	50.0	0.03
09/24/2018	mfc219642 SMITH RANDALL	MFT TAX-EXEMPT BOND FUND OF AMERICA	B	0.00	4.25	0.00	4.25	50.0	2.13
09/24/2018	mfc219642 SMITH RANDALL	MFT THE BOND FUND OF AMERICA-A	B	0.00	0.67	0.00	0.67	50.0	0.34
09/24/2018	mfc219642 SMITH RANDALL	MFT THE BOND FUND OF AMERICA-A	B	0.00	5.33	0.00	5.33	50.0	2.67
09/24/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.00	0.00	2.00	50.0	1.00
09/24/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.02	0.00	0.02	50.0	0.01
09/24/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.27	0.00	0.27	50.0	0.14
09/24/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.30	0.00	0.30	50.0	0.15
09/24/2018	mfc219642 SMITH RANDALL	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	8.51	0.00	8.51	50.0	4.26
09/24/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	0.05	0.00	0.05	50.0	0.03
09/24/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	1.58	0.00	1.58	50.0	0.79
09/24/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	3.17	0.00	3.17	50.0	1.59
09/24/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	7.61	0.00	7.61	50.0	3.81
09/24/2018	mfc219642 SMITH RANDALL	MFT THE INCOME FUND OF AMERICA-A	B	0.00	46.38	0.00	46.38	50.0	23.19
09/24/2018	mfc219642 SMITH RANDALL	MFT THORNBURG INTERM MUNI NATL FD	B	0.00	1.49	0.00	1.49	50.0	0.75
09/24/2018	mfc219642 SMITH RANDALL	MFT VALUE A	B	0.00	1.95	0.00	1.95	50.0	0.98
09/24/2018	mfc219642 SMITH RANDALL	MFT VALUE A	B	0.00	4.84	0.00	4.84	50.0	2.42
09/24/2018	mfc219642 SMITH RANDALL	MFT VOYA HIGH YIELD BOND FD A	B	0.00	0.94	0.00	0.94	50.0	0.47
09/24/2018	mfc219642 SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	0.53	0.00	0.53	50.0	0.27
09/24/2018	mfc219642 SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	0.69	0.00	0.69	50.0	0.35
09/24/2018	mfc219642 SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	2.60	0.00	2.60	50.0	1.30
09/24/2018	mfc219642 SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	2.73	0.00	2.73	50.0	1.37
09/24/2018	mfc219642 SMITH RANDALL	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	29.18	0.00	29.18	50.0	14.59
09/24/2018	mfc219642 SMITH RANDALL	MFT WELLS FARGO HIGH YIELD BOND-A	B	0.00	0.80	0.00	0.80	50.0	0.40
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$1,201.57	\$0.00	\$1,201.57		\$601.22
*** CLEARING TRANSACTIONS TOTAL ***				\$-173,139.85	\$2,499.07	\$180.00	\$2,319.07		\$1,159.97

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
09/05/2018 (None)	SMITH, MAR G	MF OPPENHEIMER	B	50.00	2.38	0.00	2.38	50.0	1.19
09/21/2018 00084512960	GIBBS, KENDRA	MF CAPITAL WORLD GROWTH AND INCOME	B	170.00	6.38	0.00	6.38	50.0	3.19
09/21/2018 00084512960	GIBBS, KENDRA	MF NEW PERSPECTIVE FUND-A	B	165.00	6.19	0.00	6.19	50.0	3.10
09/21/2018 00084512960	GIBBS, KENDRA	MF THE GROWTH FUND OF AMERICA-A	B	165.00	6.19	0.00	6.19	50.0	3.10
09/20/2018 00085302677	JORGE ALEXANDER	MF AMERICAN BALANCED FUND-A	B	50.00	2.50	0.00	2.50	50.0	1.25
09/17/2018 00088038123	PONCE, YOLANDA	MF AMERICAN BALANCED FUND-A	B	100.00	5.00	0.00	5.00	50.0	2.50
09/18/2018 04000890952	PIERPONT, BRADLEY	MF AMERICAN BALANCED FUND-A	B	1,275.00	35.06	0.00	35.06	50.0	17.53
09/18/2018 04000890952	PIERPONT, BRADLEY	MF CAPITAL WORLD GROWTH AND INCOME	B	1,275.00	35.06	0.00	35.06	50.0	17.53
09/18/2018 04000890952	PIERPONT, BRADLEY	MF THE GROWTH FUND OF AMERICA-A	B	1,149.84	31.62	0.00	31.62	50.0	15.81
* MUTUAL FUNDS SUBTOTAL *				\$4,399.84	\$130.38	\$0.00	\$130.38		\$65.20
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
08/31/2018 (None)	ALLEN, JOHN	MFT JOHN HANCOCK MUTUAL FUND	B	0.00	4.28	0.00	4.28	50.0	2.14
08/31/2018 (None)	COUVILLION, TARI	MFT VIRTUS	B	0.00	17.87	0.00	17.87	50.0	8.94
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$22.15	\$0.00	\$22.15		\$11.08
*** DIRECT TRANSACTIONS TOTAL ***				\$4,399.84	\$152.53	\$0.00	\$152.53		\$76.28

SPLIT TRANSACTIONS

<u>BROKER: RIX/RANDY SMITH/SMITH-D081 #80</u>									
09/11/2018 676365887	SMITH, RANDALL	S SUNOCO LP	B	9,729.88	20.00	7.50	12.50		6.25
09/12/2018 676346300	SMITH TTEE, RONALD	B NEW BRAUNFELS TEX INDPT SCH DI	B	12,546.02	62.50	7.50	55.00		27.50
09/17/2018 676346300	SMITH TTEE, RONALD	B COLLEGE STATION TX GO IMPT &	B	7,486.40	75.00	7.50	67.50		33.75
09/04/2018 676356642	SMITH, RANDALL	B SEGUIN TEX GO BDS 2014 CPN: 4%	B	13,118.30	125.00	7.50	117.50		58.75
09/21/2018 mfc913901	SMITH 913901	MFT CAPITAL INCOME BUILDER-A	B	0.00	1.73	0.00	1.73		0.87
09/21/2018 mfc913901	SMITH 913901	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.10	0.00	2.10		1.05
09/21/2018 mfc913901	SMITH 913901	MFT FUNDAMENTAL INVESTORS-A	B	0.00	3.16	0.00	3.16		1.58
09/21/2018 mfc913901	SMITH 913901	MFT GLOBAL BALANCED FUND-A	B	0.00	4.53	0.00	4.53		2.27
09/21/2018 mfc913901	SMITH 913901	MFT INTERNATIONAL GROWTH AND	B	0.00	4.62	0.00	4.62		2.31
09/21/2018 mfc913901	SMITH 913901	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.84	0.00	0.84		0.42
09/24/2018 mfc913901	SMITH 913901	MFT CAPITAL INCOME BUILDER-A	B	0.00	1.62	0.00	1.62		0.81
09/24/2018 mfc913901	SMITH 913901	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	1.96	0.00	1.96		0.98
09/24/2018 mfc913901	SMITH 913901	MFT FUNDAMENTAL INVESTORS-A	B	0.00	2.98	0.00	2.98		1.49
09/24/2018 mfc913901	SMITH 913901	MFT GLOBAL BALANCED FUND-A	B	0.00	4.23	0.00	4.23		2.12
09/24/2018 mfc913901	SMITH 913901	MFT INTERNATIONAL GROWTH AND	B	0.00	4.30	0.00	4.30		2.15
09/24/2018 mfc913901	SMITH 913901	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.79	0.00	0.79		0.40
* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *				\$42,880.60	\$315.36	\$30.00	\$285.36		\$142.70
*** SPLIT TRANSACTIONS TOTAL ***				\$42,880.60	\$315.36	\$30.00	\$285.36		\$142.70

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>LINKED DIRECT TRANSACTIONS</u>									
<u>BROKER: RANDY SMITH-D601 #66</u>									
09/21/2018	00084947333	JOHN J FINN CUST, MF THE NEW ECONOMY FUND-C	B	50.00	0.50	0.00	0.50		0.10
09/06/2018	01004814720	FINN, JOHN MFT WELLS FARGO DIVERSIFIED INC	B	0.00	28.95	0.00	28.95		5.79
09/06/2018	01004814720	FINN, JOHN MFT WELLS FARGO DIVERSIFIED INC	B	0.00	86.85	0.00	86.85		17.37
09/06/2018	01004814720	FINN, JOHN MFT WELLS FARGO GLOBAL	B	0.00	2.75	0.00	2.75		0.55
09/06/2018	01004814720	FINN, JOHN MFT WELLS FARGO GLOBAL	B	0.00	8.26	0.00	8.26		1.65
09/06/2018	01004814720	FINN, JOHN MFT WELLS FARGO INDEX ASSET ALLOC-C	B	0.00	31.51	0.00	31.51		6.30
09/06/2018	01004814720	FINN, JOHN MFT WELLS FARGO INDEX ASSET ALLOC-C	B	0.00	94.53	0.00	94.53		18.91
09/06/2018	01007612996	DELSA, ROBERT MFT WELLS FARGO GLOBAL	B	0.00	0.45	0.00	0.45		0.09
09/06/2018	01007612996	DELSA, ROBERT MFT WELLS FARGO GLOBAL	B	0.00	1.34	0.00	1.34		0.27
09/06/2018	01007612996	DELSA, ROBERT MFT WELLS FARGO INTRINSIC WORLD	B	0.00	0.39	0.00	0.39		0.08
09/06/2018	01007612996	DELSA, ROBERT MFT WELLS FARGO INTRINSIC WORLD	B	0.00	1.18	0.00	1.18		0.24
09/06/2018	01007612996	DELSA, ROBERT MFT WELLS FARGO SPECIAL MID CAP	B	0.00	1.16	0.00	1.16		0.23
09/06/2018	01007612996	DELSA, ROBERT MFT WELLS FARGO SPECIAL MID CAP	B	0.00	3.49	0.00	3.49		0.70
09/06/2018	01007799205	WARNIE, BARBARA MFT WELLS FARGO SPECIAL MID CAP	B	0.00	10.58	0.00	10.58		2.12
09/06/2018	01007799205	WARNIE, BARBARA MFT WELLS FARGO SPECIAL MID CAP	B	0.00	31.73	0.00	31.73		6.35
09/06/2018	01007799205	WARNIE, BARBARA MFT WELLS FARGO SPECIAL SM CAP	B	0.00	6.64	0.00	6.64		1.33
09/06/2018	01007799205	WARNIE, BARBARA MFT WELLS FARGO SPECIAL SM CAP	B	0.00	19.91	0.00	19.91		3.98
09/06/2018	01008522715	ST JULIEN, MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.88	0.00	2.88		0.58
09/06/2018	01008522715	ST JULIEN, MFT WELLS FARGO SPECIAL MID CAP	B	0.00	8.63	0.00	8.63		1.73
09/06/2018	01009200054	PROPERTY, MFT WELLS FARGO GLOBAL	B	0.00	6.52	0.00	6.52		1.30
09/06/2018	01009200054	PROPERTY, MFT WELLS FARGO GLOBAL	B	0.00	19.55	0.00	19.55		3.91
09/06/2018	01009200054	PROPERTY, MFT WELLS FARGO INTRINSIC WORLD	B	0.00	2.65	0.00	2.65		0.53
09/06/2018	01009200054	PROPERTY, MFT WELLS FARGO INTRINSIC WORLD	B	0.00	7.94	0.00	7.94		1.59
09/06/2018	01009200054	PROPERTY, MFT WELLS FARGO SPECIAL MID CAP	B	0.00	11.36	0.00	11.36		2.27
09/06/2018	01009200054	PROPERTY, MFT WELLS FARGO SPECIAL MID CAP	B	0.00	34.07	0.00	34.07		6.81
09/06/2018	01009230280	GEE, WANDA MFT WELLS FARGO INTRINSIC WORLD	B	0.00	3.09	0.00	3.09		0.62
09/06/2018	01009230280	GEE, WANDA MFT WELLS FARGO INTRINSIC WORLD	B	0.00	9.27	0.00	9.27		1.85
09/06/2018	01009314539	NOLTING, EVELYN MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.29	0.00	2.29		0.46
09/06/2018	01009314539	NOLTING, EVELYN MFT WELLS FARGO SPECIAL MID CAP	B	0.00	6.87	0.00	6.87		1.37
09/06/2018	01009314539	NOLTING, EVELYN MFT WELLS FARGO SPECIAL SM CAP	B	0.00	1.18	0.00	1.18		0.24
09/06/2018	01009314539	NOLTING, EVELYN MFT WELLS FARGO SPECIAL SM CAP	B	0.00	3.54	0.00	3.54		0.71
09/06/2018	01009315221	AGUILAR, MARIA MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	3.15	0.00	3.15		0.63
09/06/2018	01009315221	AGUILAR, MARIA MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	9.44	0.00	9.44		1.89
09/06/2018	01009315221	AGUILAR, MARIA MFT WELLS FARGO DISCOVERY-C	B	0.00	3.21	0.00	3.21		0.64
09/06/2018	01009315221	AGUILAR, MARIA MFT WELLS FARGO DISCOVERY-C	B	0.00	9.62	0.00	9.62		1.92
09/06/2018	01009315221	AGUILAR, MARIA MFT WELLS FARGO SPECIAL MID CAP	B	0.00	3.24	0.00	3.24		0.65
09/06/2018	01009315221	AGUILAR, MARIA MFT WELLS FARGO SPECIAL MID CAP	B	0.00	9.72	0.00	9.72		1.94
09/06/2018	01009315221	AGUILAR, MARIA MFT WELLS FARGO SPECIAL SM CAP	B	0.00	2.97	0.00	2.97		0.59
09/06/2018	01009315221	AGUILAR, MARIA MFT WELLS FARGO SPECIAL SM CAP	B	0.00	8.91	0.00	8.91		1.78
09/06/2018	01009315537	SASSEN, JOHN MFT WELLS FARGO GLOBAL	B	0.00	7.41	0.00	7.41		1.48

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
09/06/2018 01009315537	SASSEN, JOHN	MFT WELLS FARGO GLOBAL	B	0.00	22.22	0.00	22.22		4.44
09/06/2018 01009315537	SASSEN, JOHN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	3.08	0.00	3.08		0.62
09/06/2018 01009315537	SASSEN, JOHN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	9.25	0.00	9.25		1.85
09/06/2018 01009355661	COCKERHAM, ASHLEY	MFT WELLS FARGO GLOBAL	B	0.00	2.52	0.00	2.52		0.50
09/06/2018 01009355661	COCKERHAM, ASHLEY	MFT WELLS FARGO GLOBAL	B	0.00	7.56	0.00	7.56		1.51
09/06/2018 01009355661	COCKERHAM, ASHLEY	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.53	0.00	2.53		0.51
09/06/2018 01009355661	COCKERHAM, ASHLEY	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	7.59	0.00	7.59		1.52
09/06/2018 01009358549	COCKERHAM, CAROL	MFT WELLS FARGO GLOBAL	B	0.00	18.82	0.00	18.82		3.76
09/06/2018 01009358549	COCKERHAM, CAROL	MFT WELLS FARGO GLOBAL	B	0.00	56.47	0.00	56.47		11.29
09/06/2018 01009358549	COCKERHAM, CAROL	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	23.96	0.00	23.96		4.79
09/06/2018 01009358549	COCKERHAM, CAROL	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	71.87	0.00	71.87		14.37
09/06/2018 01009358973	JO ANNE B RAINES	MFT WELLS FARGO MONEY MARKET-C	B	0.00	6.16	0.00	6.16		1.23
09/06/2018 01009358973	JO ANNE B RAINES	MFT WELLS FARGO MONEY MARKET-C	B	0.00	18.49	0.00	18.49		3.70
09/06/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO GLOBAL	B	0.00	2.38	0.00	2.38		0.48
09/06/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO GLOBAL	B	0.00	7.14	0.00	7.14		1.43
09/06/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO SPECIALIZED	B	0.00	4.54	0.00	4.54		0.91
09/06/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO SPECIALIZED	B	0.00	13.61	0.00	13.61		2.72
09/06/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO LARGE CAP GROWTH-C	B	0.00	2.93	0.00	2.93		0.59
09/06/2018 01009359500	LOMBARDI, ROBERT	MFT WELLS FARGO LARGE CAP GROWTH-C	B	0.00	8.78	0.00	8.78		1.76
09/06/2018 01009364253	COCKERHAM, GEORGE	MFT WELLS FARGO MODERATE BALANCED-C	B	0.00	21.67	0.00	21.67		4.33
09/06/2018 01009364253	COCKERHAM, GEORGE	MFT WELLS FARGO MODERATE BALANCED-C	B	0.00	65.02	0.00	65.02		13.00
09/06/2018 01009364253	COCKERHAM, GEORGE	MFT WELLS FARGO MONEY MARKET-C	B	0.00	9.56	0.00	9.56		1.91
09/06/2018 01009364253	COCKERHAM, GEORGE	MFT WELLS FARGO MONEY MARKET-C	B	0.00	28.67	0.00	28.67		5.73
09/06/2018 01009367639	ANN A LAFOURCADE,	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	1.02	0.00	1.02		0.20
09/06/2018 01009367639	ANN A LAFOURCADE,	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	3.06	0.00	3.06		0.61
09/06/2018 01009367639	ANN A LAFOURCADE,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	1.14	0.00	1.14		0.23
09/06/2018 01009367639	ANN A LAFOURCADE,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	3.43	0.00	3.43		0.69
09/06/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	2.19	0.00	2.19		0.44
09/06/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	6.58	0.00	6.58		1.32
09/06/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO GLOBAL	B	0.00	3.51	0.00	3.51		0.70
09/06/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO GLOBAL	B	0.00	10.52	0.00	10.52		2.10
09/06/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO EMERGING MARKETS	B	0.00	1.92	0.00	1.92		0.38
09/06/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO EMERGING MARKETS	B	0.00	5.76	0.00	5.76		1.15
09/06/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	4.67	0.00	4.67		0.93
09/06/2018 01009367643	LAFOURCADE, EMILE	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	14.00	0.00	14.00		2.80
09/06/2018 01900000283	GULF STATES	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	25.57	0.00	25.57		5.11
09/06/2018 01900000310	PEREZ, CHRISTINA	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	13.93	0.00	13.93		2.79
09/06/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO GLOBAL	B	0.00	1.96	0.00	1.96		0.39
09/06/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO GLOBAL	B	0.00	5.88	0.00	5.88		1.18
09/06/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	4.76	0.00	4.76		0.95
09/06/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	14.28	0.00	14.28		2.86
09/06/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	2.35	0.00	2.35		0.47
09/06/2018 03900363305	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	7.05	0.00	7.05		1.41
09/06/2018 03900370290	JOHN R CORBETT	MFT WELLS FARGO SPECIALIZED	B	0.00	1.82	0.00	1.82		0.36

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
09/06/2018 03900370290	JOHN R CORBETT	MFT WELLS FARGO SPECIALIZED	B	0.00	5.45	0.00	5.45		1.09
09/06/2018 03900370290	JOHN R CORBETT	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.57	0.00	2.57		0.51
09/06/2018 03900370290	JOHN R CORBETT	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	7.70	0.00	7.70		1.54
09/06/2018 03900377880	BRUCHI, JENNIFER	MFT WELLS FARGO DISCOVERY-C	B	0.00	1.11	0.00	1.11		0.22
09/06/2018 03900377880	BRUCHI, JENNIFER	MFT WELLS FARGO DISCOVERY-C	B	0.00	3.32	0.00	3.32		0.66
09/06/2018 03900377880	BRUCHI, JENNIFER	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	1.30	0.00	1.30		0.26
09/06/2018 03900377880	BRUCHI, JENNIFER	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	3.89	0.00	3.89		0.78
09/06/2018 03900379796	GEE, WANDA	MFT WELLS FARGO GLOBAL	B	0.00	3.85	0.00	3.85		0.77
09/06/2018 03900379796	GEE, WANDA	MFT WELLS FARGO GLOBAL	B	0.00	11.55	0.00	11.55		2.31
09/06/2018 03903067709	PEREZ, NICOLAS	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	4.32	0.00	4.32		0.86
09/06/2018 03903067709	PEREZ, NICOLAS	MFT WELLS FARGO INTRINSIC WORLD	B	0.00	12.97	0.00	12.97		2.59
09/06/2018 03903067709	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	5.65	0.00	5.65		1.13
09/06/2018 03903067709	PEREZ, NICOLAS	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	16.96	0.00	16.96		3.39
09/06/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	1.74	0.00	1.74		0.35
09/06/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO OMEGA GROWTH-C	B	0.00	5.22	0.00	5.22		1.04
09/06/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO DISCOVERY-C	B	0.00	1.85	0.00	1.85		0.37
09/06/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO DISCOVERY-C	B	0.00	5.54	0.00	5.54		1.11
09/06/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	2.15	0.00	2.15		0.43
09/06/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	6.45	0.00	6.45		1.29
09/06/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	2.17	0.00	2.17		0.43
09/06/2018 03903088240	MCELEARNEY,	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	6.52	0.00	6.52		1.30
09/06/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO GLOBAL	B	0.00	8.71	0.00	8.71		1.74
09/06/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO GLOBAL	B	0.00	26.13	0.00	26.13		5.23
09/06/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	6.38	0.00	6.38		1.28
09/06/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO SPECIAL MID CAP	B	0.00	19.15	0.00	19.15		3.83
09/06/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	6.08	0.00	6.08		1.22
09/06/2018 03903103427	SHERYL A BARDEN	MFT WELLS FARGO SPECIAL SM CAP	B	0.00	18.24	0.00	18.24		3.65
09/06/2018 05116000007	GULF STATES	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	47.06	0.00	47.06		9.41
09/06/2018 08183000145	CORBETT, JOHN	MFT COLUMBIA BALANCED FD CL A	B	0.00	3.57	0.00	3.57		0.71
09/06/2018 08537100283	ST JULIEN,	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	1.86	0.00	1.86		0.37
09/06/2018 08537100284	ST JULIEN, ERIC	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	4.35	0.00	4.35		0.87
09/06/2018 08537100298	CARLOS BOGRAN III	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	1.46	0.00	1.46		0.29
09/06/2018 08537100304	BRUCHI, JENNIFER	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	1.26	0.00	1.26		0.25
09/06/2018 08537500120	VINCENT, JUDITH	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	3.46	0.00	3.46		0.69
09/06/2018 08537500142	JAMII BARAKA ST	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	0.71	0.00	0.71		0.14
09/06/2018 08537500143	CARLOS BOGRAN III	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	1.19	0.00	1.19		0.24
09/06/2018 08537500296	ST JULIEN,	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	2.23	0.00	2.23		0.45
09/06/2018 08537500318	SASSEN, JOHN	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	1.49	0.00	1.49		0.30
09/06/2018 08537500319	NOLTING, EVELYN	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	1.75	0.00	1.75		0.35
09/06/2018 08896000069	VINCENT, JUDITH	MFT COLUMBIA SMALLCAP GROWTH FUND	B	0.00	2.51	0.00	2.51		0.50
09/06/2018 08981001058	ST JULIEN, ERIC	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	4.36	0.00	4.36		0.87
09/06/2018 08981001059	CARLOS BOGRAN III	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	2.15	0.00	2.15		0.43
09/06/2018 08981001063	BRUCHI, JENNIFER	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	1.02	0.00	1.02		0.20
09/06/2018 08981001064	NOLTING, EVELYN	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	1.74	0.00	1.74		0.35

COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
09/06/2018 08981001068	ST JULIEN,	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	3.35	0.00	3.35		0.67
09/06/2018 08981001070	CRAFT, ALLEN	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	3.41	0.00	3.41		0.68
09/06/2018 08981001071	JAMII BARAKA ST	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	0.70	0.00	0.70		0.14
09/06/2018 50040000003	BENTON, MELISSA	MFT COLUMBIA MIDCAP GROWTH FUND-C	B	0.00	1.75	0.00	1.75		0.35
09/06/2018 53730000029	PEREZ, CHRISTINA	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	18.85	0.00	18.85		3.77
* RANDY SMITH-D601 SUBTOTAL *				\$50.00	\$1,365.15	\$0.00	\$1,365.15		\$272.98
*** LINKED DIRECT TRANSACTIONS TOTAL ***				\$50.00	\$1,365.15	\$0.00	\$1,365.15		\$272.98

ADJUSTMENTS TRANSACTIONS

BROKER: #0

09/30/2018	: MONEY MARKET TRAILS	0.00	0.00	0.00	0.00	790.84
* SUBTOTAL *		\$0.00	\$0.00	\$0.00	\$0.00	\$790.84
*** ADJUSTMENTS TRANSACTIONS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$790.84

BROKER COMMISSION TOTALS

Broker Transactions	\$1,509.23
Split Transactions	\$142.70
Override Transactions	\$0.00
Adjustments	\$790.84
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$2,442.77
Year-to-date Commissions	\$70,091.98