

COMMISSION STATEMENT January 31, 2018

ALAN SMITH-D206

 BROKER #: D206
 BRANCH: DMR

, TX

COMMISSION STATEMENT for ALAN SMITH-D206

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

01/29/2018	430507106	KOLITZ, ROBERT	MF	AMERICAN BALANCED FUND-A	S	670,007.45	10,720.00	2.50	10,717.50	80.0	8,574.00
* MUTUAL FUNDS SUBTOTAL *						\$670,007.45	\$10,720.00	\$2.50	\$10,717.50		\$8,574.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

01/23/2018	mfc892289	SMITH ALAN 892289	MFT	AIM CHARTER FUND - CLASS A	B	0.00	3.14	0.00	3.14	80.0	2.51
01/23/2018	mfc892289	SMITH ALAN 892289	MFT	AMERICAN BALANCED FUND-A	B	0.00	25.32	0.00	25.32	80.0	20.26
01/23/2018	mfc892289	SMITH ALAN 892289	MFT	AMERICAN BALANCED FUND-A	B	0.00	33.42	0.00	33.42	80.0	26.74
01/23/2018	mfc892289	SMITH ALAN 892289	MFT	AMERICAN HIGH-INCOME TRUST-A	B	0.00	18.96	0.00	18.96	80.0	15.17
01/23/2018	mfc892289	SMITH ALAN 892289	MFT	CAPITAL INCOME BUILDER-A	B	0.00	23.41	0.00	23.41	80.0	18.73
01/23/2018	mfc892289	SMITH ALAN 892289	MFT	INVESCO AMERICAN FRANCHISE FUND	B	0.00	221.88	0.00	221.88	80.0	177.50
01/23/2018	mfc892289	SMITH ALAN 892289	MFT	WASHINGTON MUTUAL INVESTORS	B	0.00	41.12	0.00	41.12	80.0	32.90
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *						\$0.00	\$367.25	\$0.00	\$367.25		\$293.81
*** CLEARING TRANSACTIONS TOTAL ***						\$670,007.45	\$11,087.25	\$2.50	\$11,084.75		\$8,867.81

DIRECT TRANSACTIONS
PRODUCT CATEGORY: MUTUAL FUNDS

12/20/2018	(None)	GLENNROBES	MF	BLACKROCK	B	0.00	1.00	0.00	1.00	80.0	0.80
* MUTUAL FUNDS SUBTOTAL *						\$0.00	\$1.00	\$0.00	\$1.00		\$0.80

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

01/11/2018	(None)	PIPEMOVERS	VAT	TRANSAMERICA LIFE	B	0.00	767.56	0.00	767.56	80.0	614.05
01/11/2018	(None)	EXPLOREUSA	VAT	TRANSAMERICA LIFE	B	0.00	1,609.52	0.00	1,609.52	80.0	1,287.62
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *						\$0.00	\$2,377.08	\$0.00	\$2,377.08		\$1,901.67
*** DIRECT TRANSACTIONS TOTAL ***						\$0.00	\$2,378.08	\$0.00	\$2,378.08		\$1,902.47

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
01/31/2018		: BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
01/31/2018		: BROKER WORKSTATION-CASTILLO		0.00	0.00	0.00	0.00		-30.00
01/31/2018		: E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
01/31/2018		: E-MAIL ACCOUNT-CASTILLO		0.00	0.00	0.00	0.00		-25.00
01/31/2018		: E-MAIL ACCOUNT-GONZALES		0.00	0.00	0.00	0.00		-25.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-135.00

BROKER COMMISSION TOTALS

Broker Transactions	\$10,770.28
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-135.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$10,635.28
Year-to-date Commissions	\$12,489.48