

# COMMISSION STATEMENT

September 30, 2018

ROBERT CALDWELL-D013  
 2802 North Highland Avenue  
 Suite A  
 Jackson, TN 38305

BROKER #: D013  
 BRANCH: DME

## COMMISSION STATEMENT for ROBERT CALDWELL-D013

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 FUND 12B1 TRAILS

09/21/2018	mfc291006	CALDWELL 291006	MFT AMERICAN BALANCED FUND-A	B	0.00	0.88	0.00	0.88	90.0	0.79
09/21/2018	mfc291006	CALDWELL 291006	MFT AMERICAN BALANCED FUND-A	B	0.00	2.20	0.00	2.20	90.0	1.98
09/21/2018	mfc291006	CALDWELL 291006	MFT AMERICAN MUTUAL FUND-A	B	0.00	0.06	0.00	0.06	90.0	0.05
09/21/2018	mfc291006	CALDWELL 291006	MFT DELAWARE SMID CAP GROWTH FD CL	B	0.00	7.80	0.00	7.80	90.0	7.02
09/21/2018	mfc291006	CALDWELL 291006	MFT FIDELITY ADVISOR GROWTH OPPORT	B	0.00	23.12	0.00	23.12	90.0	20.81
09/21/2018	mfc291006	CALDWELL 291006	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	6.09	0.00	6.09	90.0	5.48
09/21/2018	mfc291006	CALDWELL 291006	MFT FRK RISING DIV FND - CL C	B	0.00	8.50	0.00	8.50	90.0	7.65
09/21/2018	mfc291006	CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	3.36	0.00	3.36	90.0	3.02
09/21/2018	mfc291006	CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	10.44	0.00	10.44	90.0	9.40
09/21/2018	mfc291006	CALDWELL 291006	MFT GEORGE PUTNAM BALANCED FUND-A	B	0.00	0.16	0.00	0.16	90.0	0.14
09/21/2018	mfc291006	CALDWELL 291006	MFT JOHN HANCOCK STRATEGIC GROWTH A	B	0.00	0.69	0.00	0.69	90.0	0.62
09/21/2018	mfc291006	CALDWELL 291006	MFT MFS TN MUNI BD FD CL A	B	0.00	13.15	0.00	13.15	90.0	11.84
09/21/2018	mfc291006	CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	8.45	0.00	8.45	90.0	7.61
09/21/2018	mfc291006	CALDWELL 291006	MFT PUTNAM 746747104	B	0.00	0.19	0.00	0.19	90.0	0.17
09/21/2018	mfc291006	CALDWELL 291006	MFT PUTNAM HEALTH SCIENCES TRUST	B	0.00	0.25	0.00	0.25	90.0	0.23
09/21/2018	mfc291006	CALDWELL 291006	MFT U.S. GOVERNMENT SECURITIES FUND	B	0.00	2.17	0.00	2.17	90.0	1.95
09/21/2018	mfc291006	CALDWELL 291006	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.04	0.00	1.04	90.0	0.94
09/24/2018	mfc291006	CALDWELL 291006	MFT AMERICAN BALANCED FUND-A	B	0.00	1.32	0.00	1.32	90.0	1.19
09/24/2018	mfc291006	CALDWELL 291006	MFT AMERICAN BALANCED FUND-A	B	0.00	2.08	0.00	2.08	90.0	1.87
09/24/2018	mfc291006	CALDWELL 291006	MFT AMERICAN MUTUAL FUND-A	B	0.00	0.09	0.00	0.09	90.0	0.08
09/24/2018	mfc291006	CALDWELL 291006	MFT DELAWARE GROWTH OPPORTUNITIES	B	0.00	1.30	0.00	1.30	90.0	1.17
09/24/2018	mfc291006	CALDWELL 291006	MFT DELAWARE SMID CAP GROWTH FD CL	B	0.00	2.48	0.00	2.48	90.0	2.23
09/24/2018	mfc291006	CALDWELL 291006	MFT FIDELITY ADVISOR GROWTH OPPORT	B	0.00	22.14	0.00	22.14	90.0	19.93
09/24/2018	mfc291006	CALDWELL 291006	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	5.73	0.00	5.73	90.0	5.16
09/24/2018	mfc291006	CALDWELL 291006	MFT FRK RISING DIV FND - CL C	B	0.00	8.09	0.00	8.09	90.0	7.28
09/24/2018	mfc291006	CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	3.16	0.00	3.16	90.0	2.84
09/24/2018	mfc291006	CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	9.82	0.00	9.82	90.0	8.84
09/24/2018	mfc291006	CALDWELL 291006	MFT GEORGE PUTNAM BALANCED FUND-A	B	0.00	0.15	0.00	0.15	90.0	0.14
09/24/2018	mfc291006	CALDWELL 291006	MFT JOHN HANCOCK STRATEGIC GROWTH A	B	0.00	0.66	0.00	0.66	90.0	0.59
09/24/2018	mfc291006	CALDWELL 291006	MFT MFS TN MUNI BD FD CL A	B	0.00	12.35	0.00	12.35	90.0	11.12
09/24/2018	mfc291006	CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	7.92	0.00	7.92	90.0	7.13

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
09/24/2018	mfc291006 CALDWELL 291006	MFT PUTNAM 746747104	B	0.00	0.18	0.00	0.18	90.0	0.16
09/24/2018	mfc291006 CALDWELL 291006	MFT PUTNAM HEALTH SCIENCES TRUST	B	0.00	0.24	0.00	0.24	90.0	0.22
09/24/2018	mfc291006 CALDWELL 291006	MFT U.S. GOVERNMENT SECURITIES FUND	B	0.00	2.85	0.00	2.85	90.0	2.57
09/24/2018	mfc291006 CALDWELL 291006	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	0.98	0.00	0.98	90.0	0.88
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$170.09</b>	<b>\$0.00</b>	<b>\$170.09</b>		<b>\$153.10</b>
<b>*** CLEARING TRANSACTIONS TOTAL ***</b>				<b>\$0.00</b>	<b>\$170.09</b>	<b>\$0.00</b>	<b>\$170.09</b>		<b>\$153.10</b>

DIRECT TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

09/14/2018	(None) SUMIDA	MF COLLEGE BOUND	B	100.00	3.50	0.00	3.50	90.0	3.15
09/10/2018	0000000000010330 PATRICK, CHAD	MF FRANKLIN MUTUAL INTERNATIONAL	B	41.67	0.42	0.00	0.42	90.0	0.38
09/20/2018	0000000000055638 PATRICK, CHAD	MF FRANKLIN BALANCED FUND - CLASS	B	125.00	1.25	0.00	1.25	90.0	1.13
09/10/2018	0000000000277184 PATRICK, CHAD	MF TEMPLETON CHINA WORLD FUND -	B	41.67	0.42	0.00	0.42	90.0	0.38
09/10/2018	0000000001124015 PATRICK, CHAD	MF MUTUAL QUAL FND - CL C	B	41.66	0.42	0.00	0.42	90.0	0.38
09/17/2018	00075317599 COPELAND, SUSAN	MF AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
09/17/2018	00075317599 COPELAND, SUSAN	MF FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
09/14/2018	00081948467 EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	41.45	0.83	0.00	0.83	90.0	0.75
09/14/2018	00081948467 EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	110.55	2.21	0.00	2.21	90.0	1.99
09/14/2018	00081948467 EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	7.32	0.15	0.00	0.15	90.0	0.14
09/14/2018	00081948467 EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	19.51	0.39	0.00	0.39	90.0	0.35
09/14/2018	00081948520 WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
09/14/2018	00081948520 WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
09/14/2018	00081948520 WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
09/14/2018	00081948520 WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
09/14/2018	00081948685 SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
09/14/2018	00081948685 SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21
09/14/2018	00081948685 SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
09/14/2018	00081948685 SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
09/14/2018	00081948685 SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
09/14/2018	00081948685 SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
09/14/2018	00081948685 SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21
09/14/2018	00081948685 SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
09/14/2018	00087734807 JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	34.88	0.35	0.00	0.35	90.0	0.32
09/14/2018	00087734807 JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	116.27	1.16	0.00	1.16	90.0	1.04
09/14/2018	00087734863 WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	33.41	0.33	0.00	0.33	90.0	0.30
09/14/2018	00087734863 WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	33.41	0.33	0.00	0.33	90.0	0.30
09/14/2018	00089597043 MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	32.75	0.33	0.00	0.33	90.0	0.30
09/14/2018	00089597043 MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	32.75	0.33	0.00	0.33	90.0	0.30
09/14/2018	00089696651 ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	10.36	0.10	0.00	0.10	90.0	0.09
09/14/2018	00089696651 ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	17.26	0.17	0.00	0.17	90.0	0.15
09/14/2018	00089696651 ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	12.08	0.12	0.00	0.12	90.0	0.11
09/14/2018	00089696651 ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	20.13	0.20	0.00	0.20	90.0	0.18

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09/14/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	12.08	0.12	0.00	0.12	90.0	0.11
09/14/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	20.14	0.20	0.00	0.20	90.0	0.18
09/14/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
09/14/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
09/14/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	50.63	0.51	0.00	0.51	90.0	0.46
09/14/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	50.63	0.51	0.00	0.51	90.0	0.46
09/14/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	37.87	0.38	0.00	0.38	90.0	0.34
09/14/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	37.87	0.38	0.00	0.38	90.0	0.34
09/14/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	32.61	0.33	0.00	0.33	90.0	0.30
09/14/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	32.61	0.33	0.00	0.33	90.0	0.30
09/20/2018 01486461963	GRIGGS, SHERRY	MF FIDELITY ADVISOR HEALTH CARE FD B	B	50.00	0.50	0.00	0.50	90.0	0.45
09/14/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
09/14/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
* MUTUAL FUNDS SUBTOTAL *				<u>\$1,846.57</u>	<u>\$25.81</u>	<u>\$0.00</u>	<u>\$25.81</u>		<u>\$23.28</u>
*** DIRECT TRANSACTIONS TOTAL ***				<u>\$1,846.57</u>	<u>\$25.81</u>	<u>\$0.00</u>	<u>\$25.81</u>		<u>\$23.28</u>

LINKED CLEARING TRANSACTIONS

09/21/2018 mfc381717	VARIOUS,	MFT AMERICAN BALANCED FUND-A	B	0.00	0.22	0.00	0.22		0.20
09/21/2018 mfc381717	VARIOUS,	MFT CALAMOS GROWTH & INCOME FD CL C	B	0.00	10.87	0.00	10.87		9.78
09/21/2018 mfc381717	VARIOUS,	MFT NUVEEN TENNESSEE MUNI BD A	B	0.00	1.43	0.00	1.43		1.29
09/21/2018 mfc381717	VARIOUS,	MFT THE INCOME FUND OF AMERICA-A	B	0.00	0.29	0.00	0.29		0.26
09/21/2018 mfc381717	VARIOUS,	MFT VOYA SENIOR INCOME FUND C	B	0.00	3.69	0.00	3.69		3.32
09/24/2018 mfc381717	VARIOUS,	MFT CALAMOS GROWTH & INCOME FD CL C	B	0.00	10.30	0.00	10.30		9.27
09/24/2018 mfc381717	VARIOUS,	MFT NUVEEN TENNESSEE MUNI BD A	B	0.00	1.34	0.00	1.34		1.21
09/24/2018 mfc381717	VARIOUS,	MFT VOYA SENIOR INCOME FUND C	B	0.00	3.46	0.00	3.46		3.11
* LAWRENCE CALDWELL-381717 SUBTOTAL *				<u>\$0.00</u>	<u>\$31.60</u>	<u>\$0.00</u>	<u>\$31.60</u>		<u>\$28.44</u>
*** LINKED CLEARING TRANSACTIONS TOTAL ***				<u>\$0.00</u>	<u>\$31.60</u>	<u>\$0.00</u>	<u>\$31.60</u>		<u>\$28.44</u>

ADJUSTMENTS TRANSACTIONS

BROKER: #0

09/30/2018	:	BROKER WORKSTATION	0.00	0.00	0.00	0.00	-30.00
09/30/2018	:	BROKER WORKSTATION-BROOKS	0.00	0.00	0.00	0.00	-30.00
09/30/2018	:	E&O	0.00	0.00	0.00	0.00	-130.00
09/30/2018	:	E-MAIL ACCOUNT	0.00	0.00	0.00	0.00	-25.00
09/30/2018	:	E-MAIL ACCOUNT-BROOKS	0.00	0.00	0.00	0.00	-25.00
* SUBTOTAL *			<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$-240.00</u>
*** ADJUSTMENTS TRANSACTIONS TOTAL ***			<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$-240.00</u>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$204.82
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-240.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Please Retain for Your Records  
THERE WILL BE NO CHECK THIS PERIOD

<b>Balance Forward</b>	<b>\$-35.18</b>
<b>Year-to-date Commissions</b>	<b>\$43,324.60</b>