



# COMMISSION STATEMENT

## October 15, 2018

**RICHARD SOWERS**  
2451 McMullen Booth Road  
Suite 263  
Clearwater, FL 33759

**BROKER #: 71**  
BRANCH #01002 - 02 - SOWERS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: RIA</u></b>								
10/16/2018	***-**-43FB - CRAFT, ARTHUR	MORNINGSTAR ADVISOR FEE	269.87	269.87	0.00	269.87	90.0	242.88
	ACCOUNT #: 101164453	BUY 0 Units @0.0000						
10/16/2018	***-**-559I - HUBBARD, JAMES	MORNINGSTAR ADVISOR FEE	311.72	311.72	0.00	311.72	90.0	280.55
	ACCOUNT #: 101124675	BUY 0 Units @0.0000						
10/16/2018	***-**-12FB - BALBIN, CATHY	MORNINGSTAR ADVISOR FEE	347.44	347.44	0.00	347.44	90.0	312.70
	ACCOUNT #: 101154413	BUY 0 Units @0.0000						
10/10/2018	***-**-60IO - BLACK, JENNIFER	NFS MANAGED FEES	0.00	417.76	0.00	417.76	90.0	375.98
		BUY 1 Units @94709.2000						
10/10/2018	***-**-60I2 - BLACK, JENNIFER	NFS MANAGED FEES	0.00	466.14	0.00	466.14	90.0	419.53
		BUY 1 Units @105678.120						
<b>* RIA SUBTOTAL *</b>			<b>\$929.03</b>	<b>\$1,812.93</b>	<b>\$0.00</b>	<b>\$1,812.93</b>		<b>\$1,631.64</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
10/08/2018	***-**-3221 - PITTM, BARB	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	5.07	0.00	5.07	90.0	4.56
	ACCOUNT #: 00940010050	BUY 0 Units @0.0000						
10/02/2018	***-**-254J - OTHGUY, JUAN &	CALVERT ULTRA SHORT INCOME - A	0.00	2.95	0.00	2.95	90.0	2.66
	ACCOUNT #: 00004910394	BUY 0 Units @0.0000						
10/05/2018	***-**-6114 - HARBIN GRE	FIDELITY ADV EQUITY GROWTH CL A	0.00	4.65	0.00	4.65	90.0	4.19
	ACCOUNT #: 00655706638	BUY 0 Units @0.0000						
10/05/2018	***-**-114I - HARBIN, GREGORY	FIDELITY ADV EQUITY GROWTH CL A	0.00	2.45	0.00	2.45	90.0	2.21
	ACCOUNT #: 00704750850	BUY 0 Units @0.0000						
10/05/2018	***-**-9283 - HARBIN, JOANNA	FIDELITY ADV GROWTH & INCOME CL A	0.00	6.69	0.00	6.69	90.0	6.02
	ACCOUNT #: 00504394842	BUY 0 Units @0.0000						
10/15/2018	***-**-7933 - PIERSON, KAREN	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	181.81	0.00	181.81	90.0	163.63
	ACCOUNT #: 091125554	BUY 0 Units @0.0000						
10/15/2018	***-**-55IR - LANGDON, TAMMY	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	111.31	0.00	111.31	90.0	100.18
	ACCOUNT #: 091138685	BUY 0 Units @0.0000						
10/15/2018	***-**-99IR - LANGDON, WILLIAM	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	522.59	0.00	522.59	90.0	470.33
	ACCOUNT #: 091138868	BUY 0 Units @0.0000						
10/15/2018	***-**-152J - LORD, GEORGE	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	50.66	0.00	50.66	90.0	45.59
	ACCOUNT #: 091140054	BUY 0 Units @0.0000						
10/15/2018	***-**-657A - LIBERTY,	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	94.99	0.00	94.99	90.0	85.49
	ACCOUNT #: 091140682	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/15/2018	***-**-643J - CRAFT, LOIS	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	65.86	0.00	65.86	90.0	59.27
	ACCOUNT #: 091140712	BUY 0 Units @0.0000						
10/15/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS	0.00	5.92	0.00	5.92	90.0	5.33
		BUY 0 Units @0.0000						
10/15/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS	0.00	4.88	0.00	4.88	90.0	4.39
		BUY 0 Units @0.0000						
10/15/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS	0.00	6.79	0.00	6.79	90.0	6.11
		BUY 0 Units @0.0000						
10/15/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS	0.00	20.04	0.00	20.04	90.0	18.04
		BUY 0 Units @0.0000						
10/15/2018	***-**-458I - GROSS, JAN	PRUDENTIAL MF TRAILS	0.00	13.76	0.00	13.76	90.0	12.38
		BUY 0 Units @0.0000						
10/15/2018	***-**-558H - PEAVEY, DARREN	PRUDENTIAL MF TRAILS	0.00	3.82	0.00	3.82	90.0	3.44
		BUY 0 Units @0.0000						
10/15/2018	***-**-436S - DUNLAP, RICHARD	PRUDENTIAL MF TRAILS	0.00	2.27	0.00	2.27	90.0	2.04
		BUY 0 Units @0.0000						
10/15/2018	***-**-600I - FLANICK, JOSEPH	PRUDENTIAL MF TRAILS	0.00	0.26	0.00	0.26	90.0	0.23
		BUY 0 Units @0.0000						
10/01/2018	***-**-78UG - REBMAN, AMANDA M	PUTNAM EQUITY INCOME FUND-A	0.00	11.38	0.00	11.38	90.0	10.24
	ACCOUNT #: 00435289055	BUY 0 Units @0.0000						
10/01/2018	***-**-833J - KAHERMANES, NORA	PUTNAM EQUITY INCOME FUND-A	0.00	6.73	0.00	6.73	90.0	6.06
	ACCOUNT #: 00494851506	BUY 0 Units @0.0000						
10/01/2018	***-**-58UG - HAUSMAN, LAURA E	PUTNAM EQUITY INCOME FUND-A	0.00	3.52	0.00	3.52	90.0	3.17
	ACCOUNT #: 00550830449	BUY 0 Units @0.0000						
10/01/2018	***-**-67UG - HAUSMAN, SYDNEY	PUTNAM EQUITY INCOME FUND-A	0.00	6.18	0.00	6.18	90.0	5.56
	ACCOUNT #: 00550842095	BUY 0 Units @0.0000						
10/01/2018	***-**-52IN - LORD, GEORGE	PUTNAM EQUITY INCOME FUND-A	0.00	11.14	0.00	11.14	90.0	10.03
	ACCOUNT #: 00550886148	BUY 0 Units @0.0000						
10/01/2018	***-**-58UG - HAUSMAN, LAURA E	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	5.58	0.00	5.58	90.0	5.02
	ACCOUNT #: 00550830449	BUY 0 Units @0.0000						
10/01/2018	***-**-67UG - HAUSMAN, SYDNEY	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	6.93	0.00	6.93	90.0	6.24
	ACCOUNT #: 00550842095	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/01/2018	***-**-717I - FUERST, DOUGLAS	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	1.21	0.00	1.21	90.0	1.09
	ACCOUNT #: 00232502075	BUY 0 Units @0.0000						
10/01/2018	***-**-965P - WILSON, TINA	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.92	0.00	0.92	90.0	0.83
	ACCOUNT #: 00401490537	BUY 0 Units @0.0000						
10/01/2018	***-**-8831 - KILMER,	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	7.86	0.00	7.86	90.0	7.07
	ACCOUNT #: 00401506977	BUY 0 Units @0.0000						
10/01/2018	***-**-833J - KAHERMANES, NORA	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	4.50	0.00	4.50	90.0	4.05
	ACCOUNT #: 00494851506	BUY 0 Units @0.0000						
10/01/2018	***-**-70UG - KAHERMANES,	PUTNAM MF TRAILS 74676P870	0.00	3.26	0.00	3.26	90.0	2.93
	ACCOUNT #: 00507255867	BUY 0 Units @0.0000						
10/01/2018	***-**-52IN - LORD, GEORGE	PUTNAM MID-CAP VALUE FUND-A	0.00	1.00	0.00	1.00	90.0	0.90
	ACCOUNT #: 00550886148	BUY 0 Units @0.0000						
10/01/2018	***-**-70UG - KAHERMANES,	PUTNAM MULTI-CAP CORE FUND CL A	0.00	10.76	0.00	10.76	90.0	9.68
	ACCOUNT #: 00507255867	BUY 0 Units @0.0000						
10/01/2018	***-**-52IN - LORD, GEORGE	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	6.96	0.00	6.96	90.0	6.26
	ACCOUNT #: 00550886148	BUY 0 Units @0.0000						
10/01/2018	***-**-9717 - FUERST AND,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	71.35	0.00	71.35	90.0	64.22
	ACCOUNT #: 00551486754	BUY 0 Units @0.0000						
10/01/2018	***-**-58UG - HAUSMAN, LAURA E	PUTNAM SMALL CAP VALUE FUND-A	0.00	7.40	0.00	7.40	90.0	6.66
	ACCOUNT #: 00550830449	BUY 0 Units @0.0000						
10/01/2018	***-**-67UG - HAUSMAN, SYDNEY	PUTNAM SMALL CAP VALUE FUND-A	0.00	4.52	0.00	4.52	90.0	4.07
	ACCOUNT #: 00550842095	BUY 0 Units @0.0000						
10/15/2018	***-**-93IN - WARD, WILLIAM	SAMMONS MF TRAILS	0.00	22.60	0.00	22.60	90.0	20.34
	ACCOUNT #: 7200013199	BUY 0 Units @0.0000						
10/15/2018	***-**-47IO - ZINGARO, EILEEN	SAMMONS MF TRAILS	0.00	72.58	0.00	72.58	90.0	65.32
	ACCOUNT #: 7200015372	BUY 0 Units @0.0000						
10/15/2018	***-**-52IN - LORD, GEORGE	SAMMONS MF TRAILS	0.00	2.83	0.00	2.83	90.0	2.55
	ACCOUNT #: 7200037006	BUY 0 Units @0.0000						
10/03/2018	***-**-2209 - LING, BENJAMIN	WELLS FGO AVTG ENTERPRISE FUND - A	0.00	10.51	0.00	10.51	90.0	9.46
	ACCOUNT #: 01006543750	BUY 0 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$1,386.49</b>	<b>\$0.00</b>	<b>\$1,386.49</b>		<b>\$1,247.84</b>



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>								
10/01/2018	***-**-4155 - OUELLETTE, JOYCE	GENWORTH 37250G277	0.00	38.23	0.00	38.23	90.0	34.41
	ACCOUNT #: T06422061	BUY 0 Units @0.0000						
09/30/2018	***-**-211N - KELLER, TERESA	JOHN HANCOCK 41014C168	0.00	7.36	0.00	7.36	90.0	6.62
	ACCOUNT #: 2110977	BUY 0 Units @0.0000						
10/15/2018	***-**-2960 - KELLEY, BRENDA	MIDLAND NATIONAL VA TRAILS	0.00	40.00	0.00	40.00	90.0	36.00
	ACCOUNT #: 7100008985	BUY 1 Units @0.0000						
10/15/2018	***-**-541N - STOUT, LOUISE	MIDLAND NATIONAL VA TRAILS	0.00	46.48	0.00	46.48	90.0	41.83
	ACCOUNT #: 7100009490	BUY 1 Units @0.0000						
09/29/2018	***-**-3199 - MAY, DAVID	NATIONWIDE CUSIP 63866W167-NFS	0.00	194.11	0.00	194.11	90.0	174.70
	ACCOUNT #: 016226206	BUY 0 Units @0.0000						
10/15/2018	***-**-9657 - LIBERTY	QUALIFIED PLAN SUMMARY	0.00	162.54	0.00	162.54	90.0	146.29
	ACCOUNT #: 015948883	BUY 0 Units @0.0000						
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$488.72</b>	<b>\$0.00</b>	<b>\$488.72</b>		<b>\$439.85</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$929.03</b>	<b>\$3,688.14</b>	<b>\$0.00</b>	<b>\$3,688.14</b>		<b>\$3,319.33</b>

### BROKER COMMISSION TOTALS

Broker Transactions	\$3,319.33
Split Transactions	\$0.00
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

<b>Net Commission Earned</b>	<b>\$3,319.33</b>
<b>Year-to-date Earnings</b>	<b>\$43,957.28</b>