

# COMMISSION STATEMENT

October 15, 2018

JIM HUGHES-D349  
 150 West Gibson  
 Suite 100  
 Jasper, TX 75951

BROKER #: D349  
 BRANCH: DMV

## COMMISSION STATEMENT for JIM HUGHES-D349

| TRADE DATE   | CLIENT            | INVESTMENT                       | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------|----------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                            |                   |                                  |     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>                 |                   |                                  |     |                      |                     |                    |                   |      |                      |
| 09/25/2018 (None)  | HUGHES, VARIOUS   | MF MAINSTAY                      | B   | 0.00                 | 28.84               | 0.00               | 28.84             | 80.0 | 23.07                |
| 09/25/2018 000000000055083                                   | MEDLEY, DONNA     | MF FRANKLIN REAL RETURN          | B   | 250.00               | 2.50                | 0.00               | 2.50              | 80.0 | 2.00                 |
| 10/01/2018 0000000001642697                                  | RODGKATH          | MF FRK TEMP FOUNDING FUNDS ALLOC | B   | 100.00               | 1.00                | 0.00               | 1.00              | 80.0 | 0.80                 |
| 09/25/2018 0000000003912312                                  | ADAMS, MICH       | MF MUTUAL SHRS FND - CL C        | B   | 300.00               | 3.00                | 0.00               | 3.00              | 80.0 | 2.40                 |
| 09/25/2018 0000000004070696                                  | MEDLEY, DONNA     | MF MUTUAL DISC FND - CL C        | B   | 250.00               | 2.50                | 0.00               | 2.50              | 80.0 | 2.00                 |
| 10/01/2018 0000000007053662                                  | DUFREMAXA         | MF CUSIP 645769696               | B   | 100.00               | 5.00                | 0.00               | 5.00              | 80.0 | 4.00                 |
| 10/01/2018 0000000012760498                                  | POLLOSTEP         | MF FRANKLIN INCOME FUND CLASS C  | B   | 458.33               | 4.58                | 0.00               | 4.58              | 80.0 | 3.66                 |
| 10/05/2018 0000000012879742                                  | HUFFMMICHR        | MF FRANKLIN INCOME FUND CLASS C  | B   | 200.00               | 2.00                | 0.00               | 2.00              | 80.0 | 1.60                 |
| * MUTUAL FUNDS SUBTOTAL *                                    |                   |                                  |     | \$1,658.33           | \$49.42             | \$0.00             | \$49.42           |      | \$39.53              |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>           |                   |                                  |     |                      |                     |                    |                   |      |                      |
| 10/04/2018 1069511004  | POWELL, CANDACE   | VA SECURITY BENEFIT LIFE #39     | B   | 100.00               | 5.00                | 0.00               | 5.00              | 80.0 | 4.00                 |
| 10/04/2018 1301070095  | POWELL, CANDACE   | VA SECURITY BENEFIT LIFE #39     | B   | 1,010.20             | 50.51               | 0.00               | 50.51             | 80.0 | 40.41                |
| 10/01/2018 1301103647  | ELWELL, JOSEPH    | VA SECURITY BENEFIT LIFE #39     | B   | 573.42               | 28.67               | 0.00               | 28.67             | 80.0 | 22.94                |
| * VARIABLE ANNUITIES SUBTOTAL *                              |                   |                                  |     | \$1,683.62           | \$84.18             | \$0.00             | \$84.18           |      | \$67.35              |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b> |                   |                                  |     |                      |                     |                    |                   |      |                      |
| 09/27/2018 (None)  | POWELL, CANDACE   | VAT SECURITY BENEFIT LIFE        | B   | 0.00                 | 11.06               | 0.00               | 11.06             | 80.0 | 8.85                 |
| 09/27/2018 (None)  | POWELL, CANDACE   | VAT SECURITY BENEFIT LIFE        | B   | 0.00                 | 69.54               | 0.00               | 69.54             | 80.0 | 55.63                |
| 09/27/2018 (None)  | TAYLOR, JEWELL    | VAT SECURITY BENEFIT LIFE        | B   | 0.00                 | 1.13                | 0.00               | 1.13              | 80.0 | 0.90                 |
| 09/27/2018 (None)  | FISHBACK, CECILE  | VAT SECURITY BENEFIT LIFE        | B   | 0.00                 | 0.75                | 0.00               | 0.75              | 80.0 | 0.60                 |
| 09/27/2018 (None)  | BALDWIN, PATRICIA | VAT SECURITY BENEFIT LIFE        | B   | 0.00                 | 0.57                | 0.00               | 0.57              | 80.0 | 0.46                 |
| 09/27/2018 (None)  | ELWELL, JOSEPH    | VAT SECURITY BENEFIT LIFE        | B   | 0.00                 | 31.81               | 0.00               | 31.81             | 80.0 | 25.45                |
| 09/30/2018 (None)  | HUGHES, VARIOUS   | VAT TALCOTT RESOLUTION           | B   | 0.00                 | 783.96              | 0.00               | 783.96            | 80.0 | 627.17               |
| 10/05/2018 (None)  | ADVANTAGE         | VAT MASS MUTUAL                  | B   | 0.00                 | 725.42              | 0.00               | 725.42            | 80.0 | 580.34               |
| 10/05/2018 (None)  | WEAVERMOT         | VAT MASS MUTUAL                  | B   | 0.00                 | 3,570.88            | 0.00               | 3,570.88          | 80.0 | 2,856.70             |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *                    |                   |                                  |     | \$0.00               | \$5,195.12          | \$0.00             | \$5,195.12        |      | \$4,156.10           |
| *** DIRECT TRANSACTIONS TOTAL ***                            |                   |                                  |     | \$3,341.95           | \$5,328.72          | \$0.00             | \$5,328.72        |      | \$4,262.98           |

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|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

LINKED DIRECT TRANSACTIONS

BROKER: JIM HUGHES-D355 #152

|  |                 |            |    |                              |   |          |         |        |         |        |
|--|-----------------|------------|----|------------------------------|---|----------|---------|--------|---------|--------|
| 09/27/2018                               | 000090237684460 | ADAMSJOSCN | MF | FRANKLIN INCOME FUND CLASS A | B | 300.00   | 12.00   | 0.00   | 12.00   | 9.60   |
| * JIM HUGHES-D355 SUBTOTAL *             |                 |            |    |                              |   | \$300.00 | \$12.00 | \$0.00 | \$12.00 | \$9.60 |
| *** LINKED DIRECT TRANSACTIONS TOTAL *** |                 |            |    |                              |   | \$300.00 | \$12.00 | \$0.00 | \$12.00 | \$9.60 |

BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$4,272.58 |
| 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     |

|                          |             |
|--------------------------|-------------|
| Net Commissions          | \$4,272.58  |
| Year-to-date Commissions | \$34,193.92 |