

COMMISSION STATEMENT

October 15, 2018

RICHARD DURAND-D020
 9100 IH 10 West
 Suite 210
 San Antonio, TX 78230

BROKER #: D020
 BRANCH: DMN

COMMISSION STATEMENT for RICHARD DURAND-D020

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
DIRECT TRANSACTIONS											
PRODUCT CATEGORY: MUTUAL FUNDS											
10/05/2018	00064992220	VELA, PATRICIA	MF	THE GROWTH FUND OF AMERICA-A	B	125.00	5.31	0.00	5.31	85.0	4.51
10/01/2018	00067562789	PEREZ, GRACIELA	MF	AMERICAN BALANCED FUND-A	B	139.38	5.23	0.00	5.23	85.0	4.45
10/01/2018	00068501235	GUTIERREZ, OTTO	MF	THE BOND FUND OF AMERICA-A	B	191.18	5.26	0.00	5.26	85.0	4.47
10/01/2018	00085713380	BENAVIDES, JOHN	MF	CAPITAL WORLD GROWTH AND	B	105.00	3.94	0.00	3.94	85.0	3.35
10/01/2018	00085713380	BENAVIDES, JOHN	MF	THE GROWTH FUND OF AMERICA-529A	B	105.00	3.94	0.00	3.94	85.0	3.35
* MUTUAL FUNDS SUBTOTAL *						\$665.56	\$23.68	\$0.00	\$23.68		\$20.13
PRODUCT CATEGORY: VARIABLE ANNUITIES											
09/30/2018	009066455A	STEPHENS, JUNE	VA	PERSPECTIVE-RPL	B	42,169.87	8.79	0.00	8.79	85.0	7.47
09/30/2018	009066456A	STEPHENS, SHERMAN	VA	PERSPECTIVE-RPL	B	31,412.80	6.54	0.00	6.54	85.0	5.56
09/30/2018	1016582030	BRANNIES,	VA	PERSP II 04/14	B	336,506.05	140.21	0.00	140.21	85.0	119.18
* VARIABLE ANNUITIES SUBTOTAL *						\$410,088.72	\$155.54	\$0.00	\$155.54		\$132.21
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
09/30/2018	(None)	VARIOUS, RUST	MFT	HARTFORD MUTUAL FUIND	B	0.00	2.07	0.00	2.07	85.0	1.76
09/30/2018	(None)	VARIOUS, DURAND	MFT	OPPENHEIMER	B	0.00	31.18	0.00	31.18	85.0	26.50
10/01/2018	00011118709	CORNELISON,	MFT	PUTNAM 746870104	B	0.00	12.06	0.00	12.06	85.0	10.25
10/01/2018	00660109470	HANSON, CATHY	MFT	INVESCO AMERICAN FRANCHISE FUND	B	0.00	45.68	0.00	45.68	85.0	38.83
10/01/2018	00670321666	HANSON, JON	MFT	INVESCO AMERICAN FRANCHISE FUND	B	0.00	8.28	0.00	8.28	85.0	7.04
10/01/2018	00670983622	BRASCOM, WAYNE	MFT	INVESCO AMERICAN FRANCHISE FUND	B	0.00	37.49	0.00	37.49	85.0	31.87
10/01/2018	00670983622	BRASCOM, WAYNE	MFT	INVESCO COMSTOCK FUND - CLASS A	B	0.00	2.45	0.00	2.45	85.0	2.08
10/01/2018	00670983622	BRASCOM, WAYNE	MFT	INVESCO EQUITY AND INCOME FUND	B	0.00	92.11	0.00	92.11	85.0	78.29
10/01/2018	00670983622	BRASCOM, WAYNE	MFT	INVESCO GOVT MONEY MARKET FUND	B	0.00	0.20	0.00	0.20	85.0	0.17
10/01/2018	00670983622	BRASCOM, WAYNE	MFT	INVESCO SMALL CAP VALUE FUND	B	0.00	0.47	0.00	0.47	85.0	0.40
10/01/2018	00671967256	HUBERT O JOHNSON,	MFT	AIM HIGH YIELD FUND - CLASS A	B	0.00	69.71	0.00	69.71	85.0	59.25
10/01/2018	00672205448	GAILER, FRANK	MFT	INVESCO EQUITY AND INCOME FUND	B	0.00	52.80	0.00	52.80	85.0	44.88
10/01/2018	00672205449	GAILER, FRANK	MFT	INVESCO EQUITY AND INCOME FUND	B	0.00	20.26	0.00	20.26	85.0	17.22
10/01/2018	01001297859	GIFFEN, BOBBIE	MFT	INVESCO HIGH YIELD MUNICIPAL FD	B	0.00	49.98	0.00	49.98	85.0	42.48
10/03/2018	01556570000	WAGNER JT TEN,	MFT	COLUMBIA LARGE CAP GROWTH FUND	B	0.00	53.17	0.00	53.17	85.0	45.19
10/08/2018	02950003475	CAUGHEY, EVERETT	MFT	AB HIGH INCOME A	B	0.00	67.33	0.00	67.33	85.0	57.23
10/08/2018	02950003476	CAUGHEY, MARILYN	MFT	AB HIGH INCOME A	B	0.00	12.35	0.00	12.35	85.0	10.50
10/08/2018	03310155134	SUN C MAYO, IN	MFT	ALLIANCEBERNSTEIN GROWTH A	B	0.00	42.12	0.00	42.12	85.0	35.80

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10/01/2018 03324003970	MATTE, JOSEPH	MFT INVESCO HIGH YIELD MUNICIPAL FD	B	0.00	4.85	0.00	4.85	85.0	4.12
10/01/2018 04031090899	WINTER, MARTHA	MFT AIM CHARTER FUND - CLASS A	B	0.00	21.11	0.00	21.11	85.0	17.94
10/01/2018 04031090899	WINTER, MARTHA	MFT AIM TECHNOLOGY FUND - CLASS A	B	0.00	40.01	0.00	40.01	85.0	34.01
10/01/2018 04031090899	WINTER, MARTHA	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	14.62	0.00	14.62	85.0	12.43
10/01/2018 04400048090	GIFFEN, BOBBIE	MFT AIM HIGH YIELD FUND - CLASS A	B	0.00	21.25	0.00	21.25	85.0	18.06
10/01/2018 04500008862	ESPARZA, JULIO	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	4.68	0.00	4.68	85.0	3.98
10/08/2018 04896976237	GIFFEN, BOBBIE	MFT ALLIANCEBERNSTEIN GLO GOVT INC	B	0.00	62.02	0.00	62.02	85.0	52.72
10/01/2018 06605517849	CORNELISON,	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	41.24	0.00	41.24	85.0	35.05
10/01/2018 06900079283	GURGANUS, EVELYN	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	24.35	0.00	24.35	85.0	20.70
10/01/2018 06910641128	WALLACE, PATRICIA	MFT AIM INTERNATIONAL GROWTH FUND -	B	0.00	0.03	0.00	0.03	85.0	0.03
10/01/2018 06910641128	WALLACE, PATRICIA	MFT INVESCO GROWTH AND INCOME FUND	B	0.00	0.19	0.00	0.19	85.0	0.16
10/03/2018 08021230000	ANDERSON, DEBRA	MFT COLUMBIA DISCIPLINED CORE	B	0.00	4.08	0.00	4.08	85.0	3.47
10/01/2018 08191226810	DEAN, COY	MFT MFS GROWTH ALLOCATION FUND-529A	B	0.00	54.70	0.00	54.70	85.0	46.50
10/03/2018 08308608103	CORNELISON,	MFT WELLS FARGO MUNICIPAL BOND-A	B	0.00	0.71	0.00	0.71	85.0	0.60
10/03/2018 09990084509	OF MOULTON TEXAS,	MFT COLUMBIA INCOME FUND CLASS A	B	0.00	4.46	0.00	4.46	85.0	3.79
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$898.01	\$0.00	\$898.01		\$763.30
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>									
09/30/2018 (None)	VARIOUS, DURAND	VAT TALCOTT RESOLUTION	B	0.00	424.29	0.00	424.29	85.0	360.65
10/05/2018 (None)	WCS CONTRA	VAT MASS MUTUAL	B	0.00	1.27	0.00	1.27	85.0	1.08
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$425.56	\$0.00	\$425.56		\$361.73
*** DIRECT TRANSACTIONS TOTAL ***				\$410,754.28	\$1,502.79	\$0.00	\$1,502.79		\$1,277.37

BROKER COMMISSION TOTALS

Broker Transactions	\$1,277.37
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	\$1,277.37
Year-to-date Commissions	\$115,274.41