

COMMISSION STATEMENT

September 15, 2018

RIX/RANDY SMITH/SMITH-D081

BROKER #: D081

BRANCH: DMA

, TX

COMMISSION STATEMENT for RIX/RANDY SMITH/SMITH-D081

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

DIRECT TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

| | | | | | | | | | | |
|---------------------------|-------------|---------------|---------------------------|---|------------|--------|--------|--------|-------|--------|
| 09/07/2018 | 00073969963 | SMITH, RONALD | MF NEW PERSPECTIVE FUND-A | B | 9,619.64 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| * MUTUAL FUNDS SUBTOTAL * | | | | | \$9,619.64 | \$0.00 | \$0.00 | \$0.00 | | \$0.00 |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | | | |
|------------|-------------|-----------------|-------------------------------------|---|------|------|------|------|-------|------|
| 09/04/2018 | 00058301600 | SMITH, LAURA | MFT WASHINGTON MUTUAL INVESTORS | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00059032323 | SMITH, LAURA | MFT AMERICAN BALANCED FUND-A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00059032323 | SMITH, LAURA | MFT AMERICAN MUTUAL FUND-A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00059032323 | SMITH, LAURA | MFT THE INVESTMENT COMPANY OF | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00064630494 | WARREN, JANET | MFT AMERICAN BALANCED FUND-A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00064630494 | WARREN, JANET | MFT AMERICAN MUTUAL FUND-A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00064630494 | WARREN, JANET | MFT FUNDAMENTAL INVESTORS-A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00064669115 | CARTER, CHRISTY | MFT AMERICAN BALANCED FUND-A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00064669115 | CARTER, CHRISTY | MFT AMERICAN HIGH-INCOME TRUST-A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00064669115 | CARTER, CHRISTY | MFT AMERICAN HIGH-INCOME TRUST-C | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00064669115 | CARTER, CHRISTY | MFT CAPITAL INCOME BUILDER CLASS C | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00064669115 | CARTER, CHRISTY | MFT CAPITAL INCOME BUILDER-F1 | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00064669115 | CARTER, CHRISTY | MFT CAPITAL WORLD BOND FUND-C | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00064669117 | CARTER, CRAIG | MFT AMERICAN BALANCED FUND-A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00064669117 | CARTER, CRAIG | MFT AMERICAN HIGH-INCOME TRUST-A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00064669117 | CARTER, CRAIG | MFT AMERICAN HIGH-INCOME TRUST-C | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00064669117 | CARTER, CRAIG | MFT CAPITAL INCOME BUILDER CLASS C | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00064669117 | CARTER, CRAIG | MFT CAPITAL INCOME BUILDER-F1 | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00064669117 | CARTER, CRAIG | MFT CAPITAL WORLD BOND FUND-C | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00073969963 | SMITH, RONALD | MFT AMERICAN BALANCED FUND-A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00073969963 | SMITH, RONALD | MFT AMERICAN MUTUAL FUND-A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00073969963 | SMITH, RONALD | MFT CAPITAL WORLD GROWTH AND INCOME | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00073969963 | SMITH, RONALD | MFT NEW PERSPECTIVE FUND-A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00075475697 | WEBER, ERICA | MFT AMERICAN BALANCED FUND-529A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00075475697 | WEBER, ERICA | MFT AMERICAN MUTUAL FUND-529A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 00075691742 | KIRKPATRICK, | MFT AMERICAN BALANCED FUND-529A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 04000703953 | CARTER, CRAIG | MFT AMERICAN BALANCED FUND-A | B | 0.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |

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| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--------------------------------------|-------------|---------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| 09/04/2018 | 04000703953 | CARTER, CRAIG | MFT AMERICAN FUNDS 2010 TARGET | B | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 09/04/2018 | 04000703953 | CARTER, CRAIG | MFT RTMT INCOME PORTFOLIO | B | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$0.00 |
| *** DIRECT TRANSACTIONS TOTAL *** | | | | \$9,619.64 | \$0.00 | \$0.00 | \$0.00 | | \$0.00 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|--------|
| Broker Transactions | \$0.00 |
| 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 | \$0.00 |
| Year-to-date Commissions | \$0.00 |