

COMMISSION STATEMENT
February 28, 2018

RIX SMITH-D063

BROKER #: D063

BRANCH: DMA

, TX

COMMISSION STATEMENT for RIX SMITH-D063

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
01/31/2018 368492011	COLLIER, MARK	S NOBLE CORP PLC SHS USD ISIN	B	5,658.45	22.00	15.00	7.00	48.0	3.36
02/22/2018 646246880	SMITH, RIX	S GOLDEN OCEAN GROUP LTD SHS NEW	B	859.76	15.00	15.00	0.00	48.0	0.00
02/08/2018 676349914	SMITH TTEE, RIX	S I-SHARES TR S&P LATIN AMER 40	S	-7,230.40	15.00	15.00	0.00	48.0	0.00
02/08/2018 676349914	SMITH TTEE, RIX	S ISHARES MSCI SINGAPORE CAPPED	S	-5,156.45	15.00	15.00	0.00	48.0	0.00
02/22/2018 676349914	SMITH TTEE, RIX	S NOBLE ENERGY INC	B	3,028.35	15.00	15.00	0.00	48.0	0.00
02/23/2018 676349914	SMITH TTEE, RIX	S APACHE CORPORATION	B	3,592.35	15.00	15.00	0.00	48.0	0.00
02/23/2018 676349914	SMITH TTEE, RIX	S DINEEQUITY INC	S	-6,862.39	15.00	15.00	0.00	48.0	0.00
02/26/2018 676349914	SMITH TTEE, RIX	S PAN AMERICAN SILVER CORP. ISIN	B	3,127.25	15.00	15.00	0.00	48.0	0.00
02/06/2018 677533749	NIBBELINK, MARK	S MAIN STREET CAPITAL HOLDINGS	B	54,774.10	20.00	15.00	5.00	48.0	2.40
02/06/2018 677533749	NIBBELINK, MARK	S SPDR S&P 500 ETF TRUST	B	134,166.75	20.00	15.00	5.00	48.0	2.40
* STOCKS SUBTOTAL *				\$185,957.77	\$167.00	\$150.00	\$17.00		\$8.16
<u>PRODUCT CATEGORY: BONDS</u>									
02/23/2018 153619769	SMITH TTEE, RONALD	B MURPHY TX GO BDS 2018 CALLABLE	B	19,810.05	200.00	15.00	185.00	48.0	88.80
02/21/2018 338752694	HOGAN-SCHNEIDER	B LITTLE ELM TX GO REF BONDS 2017	B	68,779.08	700.00	15.00	685.00	48.0	328.80
02/22/2018 338752694	HOGAN-SCHNEIDER	B FORTH WORTH TEX CTFS OBLIG	B	49,935.62	500.00	15.00	485.00	48.0	232.80
02/23/2018 676349914	SMITH TTEE, RIX	B MURPHY TX GO BDS 2018 CALLABLE	B	19,625.05	15.00	15.00	0.00	48.0	0.00
02/15/2018 677238568	SCHNEIDER, LAURA	B COMAL CO TX LTD TAX GO BDS 2017	B	49,984.92	500.00	15.00	485.00	48.0	232.80
02/22/2018 677238568	SCHNEIDER, LAURA	B FORTH WORTH TEX CTFS OBLIG	B	49,935.62	500.00	15.00	485.00	48.0	232.80
* BONDS SUBTOTAL *				\$258,070.34	\$2,415.00	\$90.00	\$2,325.00		\$1,116.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
02/22/2018 mfc595454	SMITH RIX 595454	MFT DEVELOPING WORLD GROWTH &	B	0.00	1.18	0.00	1.18	48.0	0.57
02/22/2018 mfc595454	SMITH RIX 595454	MFT LORD ABBETT SHORT DURATION	B	0.00	3.13	0.00	3.13	48.0	1.50
02/22/2018 mfc595454	SMITH RIX 595454	MFT TEMP FRGN FND - CL A	B	0.00	3.74	0.00	3.74	48.0	1.80
02/22/2018 mfc595454	SMITH RIX 595454	MFT THE INCOME FUND OF AMERICA-A	B	0.00	6.60	0.00	6.60	48.0	3.17
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$14.65	\$0.00	\$14.65		\$7.04
*** CLEARING TRANSACTIONS TOTAL ***				\$444,028.11	\$2,596.65	\$240.00	\$2,356.65		\$1,131.20

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SPLIT TRANSACTIONSBROKER: RIX/RANDY SMITH/SMITH-D081 #80

02/23/2018	676365887	SMITH, RANDALL	S	DINEEQUITY INC	S	-6,864.62	12.50	7.50	5.00	2.40
02/26/2018	492637897	PENNY-MCELROY TTEE, B	B	TEXAS A&M UNIVERSITY REV	B	25,251.07	250.00	7.50	242.50	116.40
02/21/2018	492642424	MCELROY TTEE, LETHA B	B	TEXAS STATE WOMANS UNIVERSITY	B	28,102.00	300.00	7.50	292.50	140.40
02/23/2018	676356642	SMITH, RANDALL	B	MURPHY TX GO BDS 2018 CALLABLE	B	12,380.98	125.00	7.50	117.50	56.40
02/22/2018	676365887	SMITH, RANDALL	B	BUDA TX COMB TAX & LTD REV C/O	B	11,687.59	125.00	7.50	117.50	56.40
02/22/2018	mfc913901	SMITH 913901		MFT AMERICAN BALANCED FUND-A	B	0.00	7.31	0.00	7.31	3.51
02/22/2018	mfc913901	SMITH 913901		MFT CAPITAL INCOME BUILDER-A	B	0.00	3.53	0.00	3.53	1.69
02/22/2018	mfc913901	SMITH 913901		MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	4.24	0.00	4.24	2.04
02/22/2018	mfc913901	SMITH 913901		MFT FUNDAMENTAL INVESTORS-A	B	0.00	6.21	0.00	6.21	2.98
02/22/2018	mfc913901	SMITH 913901		MFT GLOBAL BALANCED FUND-A	B	0.00	9.04	0.00	9.04	4.34
02/22/2018	mfc913901	SMITH 913901		MFT INTERNATIONAL GROWTH AND	B	0.00	9.53	0.00	9.53	4.57
02/22/2018	mfc913901	SMITH 913901		MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.54	0.00	1.54	0.74
* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *						\$70,557.02	\$853.90	\$37.50	\$816.40	\$391.87
*** SPLIT TRANSACTIONS TOTAL ***						\$70,557.02	\$853.90	\$37.50	\$816.40	\$391.87

REP LINK TRANSACTIONSBROKER: RIX SMITH-D091 #105

02/01/2018	491460657	MOORES, MICHAEL	S	PLAINS ALL AMERN PIPELINE	S	-73,414.35	15.00	15.00	0.00	0.00
02/01/2018	491460657	MOORES, MICHAEL	S	SUNOCO LOGISTICS ETP	B	80,813.45	15.00	15.00	0.00	0.00
* RIX SMITH-D091 SUBTOTAL *						\$7,399.10	\$30.00	\$30.00	\$0.00	\$0.00
*** REP LINK TRANSACTIONS TOTAL ***						\$7,399.10	\$30.00	\$30.00	\$0.00	\$0.00

ADJUSTMENTS

02/28/2018		:	EXTENDED SETTLEMENT		0.00	0.00	0.00	0.00		240.00
02/28/2018		:	MONEY MARKET TRAILS		0.00	0.00	0.00	0.00		825.25
*** ADJUSTMENTS TOTAL ***						\$0.00	\$0.00	\$0.00	\$0.00	\$1,065.25

BROKER COMMISSION TOTALS

Broker Transactions	\$1,131.20
Split Transactions	\$391.87
Override Transactions	\$0.00
Adjustments	\$1,065.25
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$2,588.32
Year-to-date Commissions	\$6,269.21