

# COMMISSION STATEMENT September 15, 2018

RANDY SMITH-D601

BROKER #: D601

BRANCH: DMA

, TX

## COMMISSION STATEMENT for RANDY SMITH-D601

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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### DIRECT TRANSACTIONS

#### PRODUCT CATEGORY: MUTUAL FUNDS

09/04/2018	08190128650	JOHN J FINN JR	MF	MFS MID CAP GROWTH FUND-C	B	50.00	0.50	0.00	0.50	20.0	0.10
				* MUTUAL FUNDS SUBTOTAL *		\$50.00	\$0.50	\$0.00	\$0.50		\$0.10

#### PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/04/2018	00053695631	COCKERHAM, GEORGE	MFT	NEW PERSPECTIVE FUND-A	B	0.00	76.14	0.00	76.14	20.0	15.23
09/04/2018	00053695631	COCKERHAM, GEORGE	MFT	THE NEW ECONOMY FUND-A	B	0.00	93.02	0.00	93.02	20.0	18.60
09/04/2018	00060939604	KNIGHT, WILLIAM	MFT	NEW PERSPECTIVE FUND-C	B	0.00	12.92	0.00	12.92	20.0	2.58
09/04/2018	00082643376	COCKERHAM, ASHLEY	MFT	THE NEW ECONOMY FUND-A	B	0.00	9.06	0.00	9.06	20.0	1.81
09/04/2018	00083032457	JOANNE RAINES	MFT	AF U.S. GOVERNMENT MONEY	B	0.00	6.46	0.00	6.46	20.0	1.29
09/04/2018	00084947333	JOHN J FINN CUST,	MFT	NEW PERSPECTIVE FUND-C	B	0.00	13.05	0.00	13.05	20.0	2.61
09/04/2018	00084947333	JOHN J FINN CUST,	MFT	THE NEW ECONOMY FUND-C	B	0.00	35.32	0.00	35.32	20.0	7.06
09/04/2018	00084975204	FINN, JOHN	MFT	AMERICAN BALANCED FUND-C	B	0.00	378.05	0.00	378.05	20.0	75.61
09/04/2018	00084975204	FINN, JOHN	MFT	NEW PERSPECTIVE FUND-C	B	0.00	274.78	0.00	274.78	20.0	54.96
09/04/2018	00084975204	FINN, JOHN	MFT	THE GROWTH FUND OF AMERICA-C	B	0.00	330.68	0.00	330.68	20.0	66.14
09/04/2018	00085004722	KNIGHT, WILLIAM	MFT	NEW PERSPECTIVE FUND-C	B	0.00	9.44	0.00	9.44	20.0	1.89
09/04/2018	00085004722	KNIGHT, WILLIAM	MFT	SMALLCAP WORLD FUND-C	B	0.00	24.67	0.00	24.67	20.0	4.93
09/04/2018	00085305194	COCKERHAM/NAKED	MFT	AMERICAN BALANCED FUND-A	B	0.00	43.84	0.00	43.84	20.0	8.77
09/04/2018	00085305194	COCKERHAM/NAKED	MFT	NEW PERSPECTIVE FUND-C	B	0.00	16.59	0.00	16.59	20.0	3.32
09/04/2018	00085305979	COCKERHAM, CAROL	MFT	AMERICAN BALANCED FUND-A	B	0.00	96.93	0.00	96.93	20.0	19.39
09/04/2018	00085305979	COCKERHAM, CAROL	MFT	SMALLCAP WORLD FUND-C	B	0.00	236.11	0.00	236.11	20.0	47.22
09/04/2018	00085305979	COCKERHAM, CAROL	MFT	THE NEW ECONOMY FUND-C	B	0.00	588.35	0.00	588.35	20.0	117.67
09/04/2018	00085349608	ANN A LAFOURCADE	MFT	NEW PERSPECTIVE FUND-C	B	0.00	18.20	0.00	18.20	20.0	3.64
09/04/2018	00085349608	ANN A LAFOURCADE	MFT	THE NEW ECONOMY FUND-C	B	0.00	22.47	0.00	22.47	20.0	4.49
09/04/2018	00085352147	LINAM, DONNA	MFT	THE NEW ECONOMY FUND-C	B	0.00	1.10	0.00	1.10	20.0	0.22
09/04/2018	00085398387	JOHN R CORBETT	MFT	NEW PERSPECTIVE FUND-C	B	0.00	75.74	0.00	75.74	20.0	15.15
09/04/2018	00085398387	JOHN R CORBETT	MFT	THE NEW ECONOMY FUND-C	B	0.00	96.99	0.00	96.99	20.0	19.40
09/04/2018	00085399186	RAINES, JOANNE	MFT	AMERICAN BALANCED FUND-C	B	0.00	344.13	0.00	344.13	20.0	68.83
09/04/2018	00085466274	AGUILAR, MARIA	MFT	NEW PERSPECTIVE FUND-C	B	0.00	23.50	0.00	23.50	20.0	4.70
09/04/2018	00085466274	AGUILAR, MARIA	MFT	THE GROWTH FUND OF AMERICA-C	B	0.00	25.13	0.00	25.13	20.0	5.03
09/04/2018	00085466274	AGUILAR, MARIA	MFT	THE NEW ECONOMY FUND-C	B	0.00	57.55	0.00	57.55	20.0	11.51
09/04/2018	00085482308	BOGRAN, CARLOS	MFT	THE NEW ECONOMY FUND-C	B	0.00	13.11	0.00	13.11	20.0	2.62

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09/04/2018 00085781654	SANCHEZ, BEATRIZ	MFT NEW PERSPECTIVE FUND-C	B	0.00	5.48	0.00	5.48	20.0	1.10
09/04/2018 00085781654	SANCHEZ, BEATRIZ	MFT THE NEW ECONOMY FUND-C	B	0.00	6.98	0.00	6.98	20.0	1.40
09/04/2018 00086109508	BRUCHI, JENNIFER	MFT NEW PERSPECTIVE FUND-C	B	0.00	42.67	0.00	42.67	20.0	8.53
09/04/2018 00086109508	BRUCHI, JENNIFER	MFT THE NEW ECONOMY FUND-C	B	0.00	52.97	0.00	52.97	20.0	10.59
09/04/2018 00086413277	LE BLANC, ERIN	MFT NEW PERSPECTIVE FUND-C	B	0.00	95.39	0.00	95.39	20.0	19.08
09/04/2018 00086413277	LE BLANC, ERIN	MFT SMALLCAP WORLD FUND-C	B	0.00	93.36	0.00	93.36	20.0	18.67
09/04/2018 00086413277	LE BLANC, ERIN	MFT THE GROWTH FUND OF AMERICA-C	B	0.00	169.78	0.00	169.78	20.0	33.96
09/04/2018 00086413277	LE BLANC, ERIN	MFT THE NEW ECONOMY FUND-C	B	0.00	173.48	0.00	173.48	20.0	34.70
09/04/2018 00086465668	MCINTIRE, JOHN	MFT NEW PERSPECTIVE FUND-C	B	0.00	95.78	0.00	95.78	20.0	19.16
09/04/2018 00089714741	FINN, CONNOR	MFT THE NEW ECONOMY FUND-C	B	0.00	21.88	0.00	21.88	20.0	4.38
09/04/2018 00089892340	FBO JULIETTE G	MFT NEW PERSPECTIVE FUND-C	B	0.00	6.74	0.00	6.74	20.0	1.35
09/04/2018 00089893358	SHERYL A BARDEN	MFT NEW PERSPECTIVE FUND-C	B	0.00	30.11	0.00	30.11	20.0	6.02
09/04/2018 00089893358	SHERYL A BARDEN	MFT THE NEW ECONOMY FUND-C	B	0.00	127.27	0.00	127.27	20.0	25.45
09/04/2018 04000149886	JOHN J FINN CUST,	MFT AMERICAN BALANCED FUND-A	B	0.00	0.80	0.00	0.80	20.0	0.16
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$3,846.02	\$0.00	\$3,846.02		\$769.22
*** DIRECT TRANSACTIONS TOTAL ***				\$50.00	\$3,846.52	\$0.00	\$3,846.52		\$769.32

BROKER COMMISSION TOTALS

Broker Transactions	\$769.32
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