

COMMISSION STATEMENT November 30, 2018

RIX SMITH-D063
 9000 Highway 2147 West
 Suite 201
 Horseshoe Bay, TX 78657

BROKER #: D063
 BRANCH: DMA

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>									
11/19/2018 368318726	ALARCON, EDWARD	S VANGUARD INDEX FDS S&P 500 ETF	B	17,312.45	20.00	15.00	5.00	48.0	2.40
11/19/2018 368318726	ALARCON, EDWARD	S VANGUARD S&P 500 GROWTH ETF	B	21,376.32	20.00	15.00	5.00	48.0	2.40
11/21/2018 368318726	ALARCON, EDWARD	S VANGUARD INDEX FDS S&P 500 ETF	B	24,501.03	20.00	15.00	5.00	48.0	2.40
11/21/2018 368318726	ALARCON, EDWARD	S VANGUARD S&P 500 GROWTH ETF	B	21,226.27	20.00	15.00	5.00	48.0	2.40
10/30/2018 676349914	SMITH TTEE, RIX	S SEMGROUP CORP-CLASS A	S	-3,638.50	15.00	15.00	0.00	48.0	0.00
10/31/2018 676349914	SMITH TTEE, RIX	S MCDERMOTT INTL INC	B	961.74	15.00	15.00	0.00	48.0	0.00
11/01/2018 676349914	SMITH TTEE, RIX	S HANESBRANDS INC	B	3,201.25	15.00	15.00	0.00	48.0	0.00
11/05/2018 676349914	SMITH TTEE, RIX	S TRANSCANADA CORPORATION HLDG CO	S	-3,897.00	15.00	15.00	0.00	48.0	0.00
11/15/2018 676349914	SMITH TTEE, RIX	S ALTUS MIDSTREAM CO CLA	B	4,601.95	15.00	15.00	0.00	48.0	0.00
10/31/2018 676350959	SMITH, RIX	S WILLIAMS COMPANIES INC (DEL)	B	2,446.95	15.00	15.00	0.00	48.0	0.00
11/01/2018 676350959	SMITH, RIX	S NEWELL BRANDS, INC FORMERLY	B	1,660.35	15.00	15.00	0.00	48.0	0.00
11/01/2018 676350959	SMITH, RIX	S SEMGROUP CORP-CLASS A	B	1,917.25	15.00	15.00	0.00	48.0	0.00
* STOCKS SUBTOTAL *				\$91,670.06	\$200.00	\$180.00	\$20.00		\$9.60
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
11/21/2018 mfc595454	SMITH RIX 595454	MFT DEVELOPING WORLD GROWTH &	B	0.00	0.96	0.00	0.96	48.0	0.46
11/21/2018 mfc595454	SMITH RIX 595454	MFT LORD ABBETT SHORT DURATION	B	0.00	3.07	0.00	3.07	48.0	1.47
11/21/2018 mfc595454	SMITH RIX 595454	MFT TEMP FRGN FND - CL A	B	0.00	3.31	0.00	3.31	48.0	1.59
11/21/2018 mfc595454	SMITH RIX 595454	MFT THE INCOME FUND OF AMERICA-A	B	0.00	6.25	0.00	6.25	48.0	3.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$13.59	\$0.00	\$13.59		\$6.52
*** CLEARING TRANSACTIONS TOTAL ***				\$91,670.06	\$213.59	\$180.00	\$33.59		\$16.12

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
SPLIT TRANSACTIONS										
BROKER: RIX/RANDY SMITH/SMITH-D081 #80										
11/01/2018	676365887	SMITH, RANDALL	S	MAGELLAN MIDSTREAM PARTNERS LP	B	12,273.11	20.00	7.50	12.50	6.00
11/21/2018	676365887	SMITH, RANDALL	S	ROYAL DUTCH SHELL PLC-SPON ADR	B	9,486.52	17.50	7.50	10.00	4.80
10/31/2018	676346300	SMITH TTEE, RONALD	B	WACO TEX	B	16,507.11	131.25	7.50	123.75	59.40
11/01/2018	676346300	SMITH TTEE, RONALD	B	BELLAIRE TX GO BDS 2017 A	B	8,657.45	100.00	7.50	92.50	44.40
10/31/2018	676356642	SMITH, RANDALL	B	FORT WORTH TEX	B	11,910.59	93.75	7.50	86.25	41.40
11/06/2018	676365887	SMITH, RANDALL	B	COLLIN CO TX CMNTY COLL	B	12,095.34	93.75	7.50	86.25	41.40
11/07/2018	676365887	SMITH, RANDALL	B	HARLINGEN TEX WTRWKS & SWR SYS	B	12,438.85	93.75	7.50	86.25	41.40
11/08/2018	676365887	SMITH, RANDALL	B	TEXAS WOMANS UNIV REV FING SYS	B	17,684.83	131.25	7.50	123.75	59.40
11/27/2018	676365887	SMITH, RANDALL	B	LAMAR TEX CONS INDPT SCH DIST	B	12,158.24	93.75	7.50	86.25	41.40
11/21/2018	mfc913901	SMITH 913901		MFT CAPITAL INCOME BUILDER-A	B	0.00	3.25	0.00	3.25	1.56
11/21/2018	mfc913901	SMITH 913901		MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	3.86	0.00	3.86	1.85
11/21/2018	mfc913901	SMITH 913901		MFT FUNDAMENTAL INVESTORS-A	B	0.00	5.95	0.00	5.95	2.86
11/21/2018	mfc913901	SMITH 913901		MFT GLOBAL BALANCED FUND-A	B	0.00	8.53	0.00	8.53	4.09
11/21/2018	mfc913901	SMITH 913901		MFT INTERNATIONAL GROWTH AND	B	0.00	8.44	0.00	8.44	4.05
11/21/2018	mfc913901	SMITH 913901		MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.57	0.00	1.57	0.75
* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *						\$113,212.04	\$806.60	\$67.50	\$739.10	\$354.76
*** SPLIT TRANSACTIONS TOTAL ***						\$113,212.04	\$806.60	\$67.50	\$739.10	\$354.76

ADJUSTMENTS TRANSACTIONS

BROKER: #0									
11/30/2018				: MONEY MARKET TRAILS	0.00	0.00	0.00	0.00	718.74
				* SUBTOTAL *	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$718.74</u>
				*** ADJUSTMENTS TRANSACTIONS TOTAL ***	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$718.74</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$16.12
Split Transactions	\$354.76
Override Transactions	\$0.00
Adjustments	\$718.74
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$1,089.62
Year-to-date Commissions	\$17,885.55