

COMMISSION STATEMENT

November 15, 2018

RANDY SMITH-D061
 9000 Highway 2147 West
 Suite 201
 Horseshoe Bay, TX 78657

BROKER #: D061
 BRANCH: DMA

COMMISSION STATEMENT for RANDY SMITH-D061

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

10/16/2018 (None) 0030282465	MF	SCHOLARS CHOICE	B	50.00	1.50	0.00	1.50	50.0	0.75
10/22/2018 (None) GARTIN, ROBERT	MF	OPPENHEIMER	B	100.00	3.00	0.00	3.00	50.0	1.50
10/22/2018 (None) GARTIN, ROBERT	MF	OPPENHEIMER	B	100.00	3.00	0.00	3.00	50.0	1.50
10/30/2018 00086507215 TRAPP, ANDREA	MF	AMERICAN BALANCED FUND-A	B	100.00	3.75	0.00	3.75	50.0	1.88
10/29/2018 04000163744 GARZA, ALEXANDER	MF	AMERICAN BALANCED FUND-A	B	100.00	5.00	0.00	5.00	50.0	2.50
10/29/2018 04000163744 GARZA, ALEXANDER	MF	FUNDAMENTAL INVESTORS-A	B	50.00	2.50	0.00	2.50	50.0	1.25
10/29/2018 04000163744 GARZA, ALEXANDER	MF	NEW PERSPECTIVE FUND-A	B	50.00	2.50	0.00	2.50	50.0	1.25
11/01/2018 04000695695 DORER, CHARLES	MF	AMERICAN BALANCED FUND-A	B	4,551.54	125.17	0.00	125.17	50.0	62.59
11/01/2018 04000879126 FOVAL, DOUGLAS	MF	AMERICAN BALANCED FUND-A	B	982.37	41.75	0.00	41.75	50.0	20.88
11/01/2018 04000879126 FOVAL, DOUGLAS	MF	THE NEW ECONOMY FUND-A	B	1,000.00	42.50	0.00	42.50	50.0	21.25
* MUTUAL FUNDS SUBTOTAL *				\$7,083.91	\$230.67	\$0.00	\$230.67		\$115.35

PRODUCT CATEGORY: VARIABLE ANNUITIES

10/31/2018 009062915A BROWN, SARAH	VA	PERSPECTIVE	B	125,707.17	26.19	0.00	26.19	50.0	13.10
10/31/2018 1009661472 BAHAN, MARGARET	VA	PERSPECTIVE II	B	116,836.47	73.02	0.00	73.02	50.0	36.51
10/31/2018 1009737665 BARICKMAN,	VA	PERSPECTIVE II	B	103,832.73	64.90	0.00	64.90	50.0	32.45
10/31/2018 1013950608 BURNETT, PATRICIA	VA	PERSP II 09/12	B	1,108,273.40	923.56	0.00	923.56	50.0	461.78
10/31/2018 1015646752 DORER, VALORIE	VA	PERSP II 04/14	B	65,009.70	54.17	0.00	54.17	50.0	27.09
10/31/2018 1015845666 HOGAN, REBECCA	VA	PERSP II 04/14	B	60,263.08	50.22	0.00	50.22	50.0	25.11
10/31/2018 1016104708 SCHROEDER, RICHARD	VA	PERSP II 04/14	B	244,293.29	203.58	0.00	203.58	50.0	101.79
* VARIABLE ANNUITIES SUBTOTAL *				\$1,824,215.84	\$1,395.64	\$0.00	\$1,395.64		\$697.83

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/31/2018 000000000326532 YARTER,	MFT	FRANKLIN/TEMPLETON FUNDS	B	0.00	8.93	0.00	8.93	50.0	4.47
10/31/2018 000000008958389 STRATHDEE,	MFT	MUTUAL DISC FND - CL A	B	0.00	1.04	0.00	1.04	50.0	0.52
10/31/2018 000001981065640 REBEC	MFT	TEMPLETON GROWTH FUND CLASS A	B	0.00	165.84	0.00	165.84	50.0	82.92
10/31/2018 000002974467708 MICHAEL E	MFT	TEMP WORLD FND - CL A	B	0.00	36.77	0.00	36.77	50.0	18.39
10/31/2018 000005870019840 CAROL	MFT	TEMP GLOBAL SM CO FND - CL A	B	0.00	0.08	0.00	0.08	50.0	0.04
10/31/2018 000011626028806 CURTNER,	MFT	FRANKLIN FEDERAL TAX FREE	B	0.00	2.50	0.00	2.50	50.0	1.25
10/31/2018 000015815445354 YARTER,	MFT	FRANKLIN RISING DIVIDENDS FD	B	0.00	11.33	0.00	11.33	50.0	5.67
10/31/2018 000015815515075 STRATHDEE,	MFT	FRANKLIN RISING DIVIDENDS FD	B	0.00	2.73	0.00	2.73	50.0	1.37
10/31/2018 000050116638666 CURTNER,	MFT	FRK AGE HIGH INC FND - CL A	B	0.00	6.48	0.00	6.48	50.0	3.24

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10/31/2018 000060177793581	YARTER,	MFT FRANKLIN GROWTH FUND CLASS A	B	0.00	12.55	0.00	12.55	50.0	6.28
10/31/2018 000060177858580	STRATHDEE,	MFT FRANKLIN GROWTH FUND CLASS A	B	0.00	3.88	0.00	3.88	50.0	1.94
10/31/2018 000090233306771	MEYER, RONALD	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	106.03	0.00	106.03	50.0	53.02
10/31/2018 000090234387467	MARTINEZ,	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	8.10	0.00	8.10	50.0	4.05
10/31/2018 000090239380885	YARTER,	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	5.95	0.00	5.95	50.0	2.98
11/07/2018 07001935736	CHAPTER,	MFT FEDERATED GOVT INCOME SECS, INC	B	0.00	21.52	0.00	21.52	50.0	10.76
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$393.73	\$0.00	\$393.73		\$196.90
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>									
10/28/2018 (None)	BURNETT, PATRICIA	VAT AMERICAN GENERAL	B	0.00	447.45	0.00	447.45	50.0	223.73
11/02/2018 (None)	HERAS, JUANITA	VAT MANULIFE	B	0.00	2.76	0.00	2.76	50.0	1.38
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$450.21	\$0.00	\$450.21		\$225.11
*** DIRECT TRANSACTIONS TOTAL ***				\$1,831,299.75	\$2,470.25	\$0.00	\$2,470.25		\$1,235.19

SPLIT TRANSACTIONS**BROKER: RIX/RANDY SMITH/SMITH-D081 #80**

11/07/2018 00073969963	SMITH, RONALD	MF NEW PERSPECTIVE FUND-A	B	4,800.38	48.00	0.00	48.00		24.00
* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *				\$4,800.38	\$48.00	\$0.00	\$48.00		\$24.00
*** SPLIT TRANSACTIONS TOTAL ***				\$4,800.38	\$48.00	\$0.00	\$48.00		\$24.00

LINKED DIRECT TRANSACTIONS**BROKER: RANDY SMITH-D601 #66**

11/02/2018 00084947333	JOHN J FINN CUST,	MF NEW PERSPECTIVE FUND-C	B	741.85	7.42	0.00	7.42		1.48
10/29/2018 08190128650	JOHN J FINN JR	MF MFS GROWTH FUND-C	B	433.76	4.34	0.00	4.34		0.87
11/01/2018 08190128650	JOHN J FINN JR	MF MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50		0.10
10/29/2018 08190129110	PEYTON O LEBLANC,	MF MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50		0.10
10/29/2018 08190129112	SARA E CANCIENNE,	MF MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50		0.10
10/29/2018 08190129113	LILLY M SUTTON	MF MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50		0.10
10/29/2018 08191029111	PRESLIE G LEBLANC	MF MFS GROWTH FUND-C	B	500.00	5.00	0.00	5.00		1.00
10/29/2018 08191029111	PRESLIE G LEBLANC	MF MFS GROWTH FUND-C	B	100.00	1.00	0.00	1.00		0.20
10/29/2018 08191270658	BEAU OUTLAW, JOHN	MF MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50		0.10
11/05/2018 01900000283	GULF STATES	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	24.43	0.00	24.43		4.89
11/05/2018 01900000310	PEREZ, CHRISTINA	MFT COLUMBIA MIDCAP VALUE FUND-C	B	0.00	13.31	0.00	13.31		2.66
11/05/2018 05116000007	GULF STATES	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	44.06	0.00	44.06		8.81
11/05/2018 08183000145	CORBETT, JOHN	MFT COLUMBIA BALANCED FD CL A	B	0.00	3.48	0.00	3.48		0.70
11/05/2018 08537100283	ST JULIEN,	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	1.81	0.00	1.81		0.36
11/05/2018 08537100284	ST JULIEN, ERIC	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	4.23	0.00	4.23		0.85
11/05/2018 08537100298	CARLOS BOGRAN III	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	1.42	0.00	1.42		0.28
11/05/2018 08537100304	BRUCHI, JENNIFER	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	1.22	0.00	1.22		0.24
11/05/2018 08537500142	JAMII BARAKA ST	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	0.67	0.00	0.67		0.13

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11/05/2018 08537500143	CARLOS BOGRAN III	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	1.12	0.00	1.12		0.22
11/05/2018 08537500296	ST JULIEN,	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	2.09	0.00	2.09		0.42
11/05/2018 08537500318	SASSEN, JOHN	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	1.40	0.00	1.40		0.28
11/05/2018 08537500319	NOLTING, EVELYN	MFT COLUMBIA SELECT SMALLER-CAP	B	0.00	1.64	0.00	1.64		0.33
11/05/2018 08981001058	ST JULIEN, ERIC	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	4.17	0.00	4.17		0.83
11/05/2018 08981001059	CARLOS BOGRAN III	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	2.06	0.00	2.06		0.41
11/05/2018 08981001063	BRUCHI, JENNIFER	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	0.98	0.00	0.98		0.20
11/05/2018 08981001064	NOLTING, EVELYN	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	1.66	0.00	1.66		0.33
11/05/2018 08981001068	ST JULIEN,	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	3.21	0.00	3.21		0.64
11/05/2018 08981001070	CRAFT, ALLEN	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	3.26	0.00	3.26		0.65
11/05/2018 08981001071	JAMII BARAKA ST	MFT COLUMBIA MIDCAP VALUE FUND-A	B	0.00	0.67	0.00	0.67		0.13
11/05/2018 50040000003	BENTON, MELISSA	MFT COLUMBIA MIDCAP GROWTH FUND-C	B	0.00	1.65	0.00	1.65		0.33
11/05/2018 53730000029	PEREZ, CHRISTINA	MFT COLUMBIA SELECT LARGE-CAP	B	0.00	18.31	0.00	18.31		3.66
* RANDY SMITH-D601 SUBTOTAL *				\$2,025.61	\$157.11	\$0.00	\$157.11		\$31.40
*** LINKED DIRECT TRANSACTIONS TOTAL ***				\$2,025.61	\$157.11	\$0.00	\$157.11		\$31.40

BROKER COMMISSION TOTALS

Broker Transactions	\$1,266.59
Split Transactions	\$24.00
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	\$1,290.59
Year-to-date Commissions	\$78,740.50