

COMMISSION STATEMENT

October 31, 2018

 RICK HAVARD-D361
 1600 Stillhouse Hollow

 BROKER #: D361
 BRANCH: DMN

Prosper, TX 75078

COMMISSION STATEMENT for RICK HAVARD-D361

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

PRODUCT CATEGORY: STOCKS

10/25/2018	676888646	STRONG, TODD	S	YETI HOLDINGS INC COM	B	5,227.45	50.00	15.00	35.00	90.0	31.50
10/10/2018	707163953	LIVING TRUST, THE	S	ALASKA AIR GROUP INC	B	2,007.02	15.00	15.00	0.00	90.0	0.00
10/10/2018	707163953	LIVING TRUST, THE	S	LOGITECH INTERNATIONAL SA-REG	B	1,993.70	15.00	15.00	0.00	90.0	0.00
10/10/2018	707163953	LIVING TRUST, THE	S	SOUTHWEST AIRLINES COMPANY	B	2,027.85	15.00	15.00	0.00	90.0	0.00
10/12/2018	707163953	LIVING TRUST, THE	S	CALLAWAY GOLF COMPANY (DEL)	B	2,019.53	15.00	15.00	0.00	90.0	0.00
10/12/2018	707163953	LIVING TRUST, THE	S	CARNIVAL CORP NEW PARIED COM	B	2,001.52	15.00	15.00	0.00	90.0	0.00
10/12/2018	707163953	LIVING TRUST, THE	S	CROCS INC	B	2,010.35	15.00	15.00	0.00	90.0	0.00
10/12/2018	707163953	LIVING TRUST, THE	S	DEERE & COMPANY	B	1,945.34	15.00	15.00	0.00	90.0	0.00
10/12/2018	707163953	LIVING TRUST, THE	S	DOLLAR TREE INC	B	2,049.95	15.00	15.00	0.00	90.0	0.00
10/12/2018	707163953	LIVING TRUST, THE	S	HASBRO INC	B	1,982.15	15.00	15.00	0.00	90.0	0.00
10/12/2018	707163953	LIVING TRUST, THE	S	NATIONAL BEVERAGE CORP	B	2,016.65	15.00	15.00	0.00	90.0	0.00
10/12/2018	707163953	LIVING TRUST, THE	S	STANLEY BLACK & DECKER INC	B	1,963.70	15.00	15.00	0.00	90.0	0.00
10/12/2018	707163953	LIVING TRUST, THE	S	TESLA INC FORMERLY TESLA MOTORS	B	2,080.73	15.00	15.00	0.00	90.0	0.00
10/12/2018	707163953	LIVING TRUST, THE	S	WEIGHT WATCHERS INTERNTIONAL	B	2,024.12	15.00	15.00	0.00	90.0	0.00
				* STOCKS SUBTOTAL *		\$31,350.06	\$245.00	\$210.00	\$35.00		\$31.50

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/19/2018	mfc307137	VARIOUS,	MFT AMERICAN MUTUAL FUND-A	B	0.00	14.28	0.00	14.28	90.0	12.85
10/19/2018	mfc307137	VARIOUS,	MFT API MULTI-ASSET INCOME FD L	B	0.00	23.73	0.00	23.73	90.0	21.36
10/19/2018	mfc307137	VARIOUS,	MFT API MULTI-ASSET INCOME FD L	B	0.00	36.46	0.00	36.46	90.0	32.81
10/19/2018	mfc307137	VARIOUS,	MFT BLACKROCK MULTI-ASSET INCOME FD	B	0.00	4.54	0.00	4.54	90.0	4.09
10/19/2018	mfc307137	VARIOUS,	MFT BLACKROCK MULTI-ASSET INCOME FD	B	0.00	17.44	0.00	17.44	90.0	15.70
10/19/2018	mfc307137	VARIOUS,	MFT BLACKROCK MULTI-ASSET INCOME FD	B	0.00	18.11	0.00	18.11	90.0	16.30
10/19/2018	mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD	B	0.00	17.24	0.00	17.24	90.0	15.52
10/19/2018	mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD	B	0.00	17.57	0.00	17.57	90.0	15.81
10/19/2018	mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD	B	0.00	17.72	0.00	17.72	90.0	15.95
10/19/2018	mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD	B	0.00	18.62	0.00	18.62	90.0	16.76
10/19/2018	mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD	B	0.00	25.56	0.00	25.56	90.0	23.00
10/19/2018	mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD	B	0.00	33.92	0.00	33.92	90.0	30.53
10/19/2018	mfc307137	VARIOUS,	MFT BLACKROCK EQUITY DIVIDEND FD C	B	0.00	16.22	0.00	16.22	90.0	14.60
10/19/2018	mfc307137	VARIOUS,	MFT CALAMOS GROWTH AND INCOME CLASS	B	0.00	3.40	0.00	3.40	90.0	3.06

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10/19/2018	mfc307137 VARIOUS,	MFT THE INVESTMENT COMPANY OF	B	0.00	18.91	0.00	18.91	90.0	17.02
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$283.72	\$0.00	\$283.72		\$255.36
		*** CLEARING TRANSACTIONS TOTAL ***		\$31,350.06	\$528.72	\$210.00	\$318.72		\$286.86

DIRECT TRANSACTIONSPRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

10/03/2018 (None)	MARINER, KATHLEEN	VAT TRANSAMERICA LIFE	B	0.00	5.05	0.00	5.05	90.0	4.55
10/03/2018 (None)	KAHANEK, SHARON	VAT TRANSAMERICA LIFE	B	0.00	186.69	0.00	186.69	90.0	168.02
		* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *		\$0.00	\$191.74	\$0.00	\$191.74		\$172.57
		*** DIRECT TRANSACTIONS TOTAL ***		\$0.00	\$191.74	\$0.00	\$191.74		\$172.57

ADJUSTMENTS TRANSACTIONSBROKER: #0

10/31/2018	:	BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
10/31/2018	:	E&O		0.00	0.00	0.00	0.00		-130.00
10/31/2018	:	E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
10/31/2018	:	SHAREFILE		0.00	0.00	0.00	0.00		-13.00
		* SUBTOTAL *		\$0.00	\$0.00	\$0.00	\$0.00		\$-198.00
		*** ADJUSTMENTS TRANSACTIONS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00		\$-198.00

BROKER COMMISSION TOTALS

Broker Transactions	\$459.43
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-198.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$261.43
Year-to-date Commissions	\$68,241.63