



COMMISSION STATEMENT

November 19, 2018

RICHARD SOWERS
 2451 McMullen Booth Road
 Suite 263
 Clearwater, FL 33759

BROKER #: 71
 BRANCH #01002 - 02 - SOWERS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/12/2018	***-**-255P - WILSON, HELEN ACCOUNT #: 00082184171	CAPITAL INCOME BUILDER-A BUY 1 Units @59.9700	50.00	1.00	0.00	1.00	90.0	0.90
11/12/2018	***-**-211I - MEGILL, ROBERT ACCOUNT #: 00084334457	CAPITAL INCOME BUILDER-A BUY 2 Units @60.5900	134.13	3.69	0.00	3.69	90.0	3.32
11/12/2018	***-**-828I - SHARMA, BOBBY ACCOUNT #: 00084334446	CAPITAL INCOME BUILDER-A BUY 2 Units @61.2300	100.00	3.75	0.00	3.75	90.0	3.38
11/12/2018	***-**-706I - HOFSTETTER, ACCOUNT #: 00084334451	CAPITAL INCOME BUILDER-A BUY 1 Units @61.5500	40.00	1.70	0.00	1.70	90.0	1.53
11/12/2018	***-**-255P - WILSON, HELEN ACCOUNT #: 00082184171	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @48.3700	50.00	1.00	0.00	1.00	90.0	0.90
11/12/2018	***-**-211I - MEGILL, ROBERT ACCOUNT #: 00084334457	CAPITAL WORLD GROWTH AND INCOME FUN BUY 3 Units @48.8700	134.13	3.69	0.00	3.69	90.0	3.32
11/12/2018	***-**-224I - WILSON, FRANCIS ACCOUNT #: 00085899638	CAPITAL WORLD GROWTH AND INCOME FUN BUY 4 Units @49.3800	196.58	7.37	0.00	7.37	90.0	6.63
11/12/2018	***-**-224I - WILSON, FRANCIS ACCOUNT #: 00085899638	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @49.3800	110.65	4.15	0.00	4.15	90.0	3.74
11/12/2018	***-**-828I - SHARMA, BOBBY ACCOUNT #: 00084334446	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @49.3800	100.00	3.75	0.00	3.75	90.0	3.38
11/12/2018	***-**-46IN - MILLS, CATHERINE ACCOUNT #: 00086578408	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @49.6400	120.00	5.10	0.00	5.10	90.0	4.59
11/12/2018	***-**-706I - HOFSTETTER, ACCOUNT #: 00084334451	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @49.6400	40.00	1.70	0.00	1.70	90.0	1.53
11/19/2018	***-**-51CL - SOWERS, CLIENTS	FRANKLIN TEMPLETON CUSIP 880199807 BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	90.0	0.45
11/12/2018	***-**-224I - WILSON, FRANCIS ACCOUNT #: 00085899638	FUNDAMENTAL INVESTORS-A BUY 3 Units @63.7200	196.58	7.37	0.00	7.37	90.0	6.63
11/12/2018	***-**-224I - WILSON, FRANCIS ACCOUNT #: 00085899638	FUNDAMENTAL INVESTORS-A BUY 2 Units @63.7200	110.65	4.15	0.00	4.15	90.0	3.74
11/12/2018	***-**-224I - WILSON, FRANCIS ACCOUNT #: 00085899638	NEW PERSPECTIVE FUND-A BUY 4 Units @44.3800	196.58	7.37	0.00	7.37	90.0	6.63
11/12/2018	***-**-224I - WILSON, FRANCIS ACCOUNT #: 00085899638	NEW PERSPECTIVE FUND-A BUY 2 Units @44.3800	110.65	4.15	0.00	4.15	90.0	3.74



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
11/12/2018	***-**-255P - WILSON, HELEN	THE GROWTH FUND OF AMERICA-A	50.00	1.00	0.00	1.00	90.0	0.90
	ACCOUNT #: 00082184171	BUY 1 Units @52.5600						
11/12/2018	***-**-211I - MEGILL, ROBERT	THE GROWTH FUND OF AMERICA-A	134.13	3.69	0.00	3.69	90.0	3.32
	ACCOUNT #: 00084334457	BUY 3 Units @53.1100						
11/12/2018	***-**-224I - WILSON, FRANCIS	THE GROWTH FUND OF AMERICA-A	196.58	7.37	0.00	7.37	90.0	6.63
	ACCOUNT #: 00085899638	BUY 4 Units @53.6600						
11/12/2018	***-**-224I - WILSON, FRANCIS	THE GROWTH FUND OF AMERICA-A	110.65	4.15	0.00	4.15	90.0	3.74
	ACCOUNT #: 00085899638	BUY 2 Units @53.6600						
11/12/2018	***-**-828I - SHARMA, BOBBY	THE GROWTH FUND OF AMERICA-A	100.00	3.75	0.00	3.75	90.0	3.38
	ACCOUNT #: 00084334446	BUY 2 Units @53.6600						
11/12/2018	***-**-46IN - MILLS, CATHERINE	THE GROWTH FUND OF AMERICA-A	120.00	5.10	0.00	5.10	90.0	4.59
	ACCOUNT #: 00086578408	BUY 2 Units @53.9500						
11/12/2018	***-**-706I - HOFSTETTER,	THE GROWTH FUND OF AMERICA-A	40.00	1.70	0.00	1.70	90.0	1.53
	ACCOUNT #: 00084334451	BUY 1 Units @53.9500						
11/12/2018	***-**-2945 - DAVIS, RENEE	THE GROWTH FUND OF AMERICA-A	100.00	5.00	0.00	5.00	90.0	4.50
	ACCOUNT #: 04001185859	BUY 2 Units @54.3800						
11/12/2018	***-**-211I - MEGILL, ROBERT	THE INCOME FUND OF AMERICA-A	134.13	3.69	0.00	3.69	90.0	3.32
	ACCOUNT #: 00084334457	BUY 6 Units @23.3400						
11/12/2018	***-**-828I - SHARMA, BOBBY	THE INCOME FUND OF AMERICA-A	100.00	3.75	0.00	3.75	90.0	3.38
	ACCOUNT #: 00084334446	BUY 4 Units @23.5800						
11/12/2018	***-**-706I - HOFSTETTER,	THE INCOME FUND OF AMERICA-A	40.00	1.70	0.00	1.70	90.0	1.53
	ACCOUNT #: 00084334451	BUY 2 Units @23.7100						
11/12/2018	***-**-255P - WILSON, HELEN	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	1.00	0.00	1.00	90.0	0.90
	ACCOUNT #: 00082184171	BUY 1 Units @46.2300						
11/12/2018	***-**-2945 - DAVIS, RENEE	WASHINGTON MUTUAL INVESTORS FUND-A	100.00	5.00	0.00	5.00	90.0	4.50
	ACCOUNT #: 04001185859	BUY 2 Units @47.8200						
* MUTUAL FUNDS SUBTOTAL *			\$3,015.44	\$107.34	\$0.00	\$107.34		\$96.63



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
10/19/2018	***-**-6540 - STOUT, LOUISE	CAPITAL INCOME BUILDER CLASS C	0.00	1.58	0.00	1.58	90.0	1.42
	ACCOUNT #: LSR011072	BUY 1 Units @0.0000						
10/19/2018	***-**-13IO - CHARD, DANIELLE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.81	0.00	2.81	90.0	2.53
	ACCOUNT #: LSR010092	BUY 1 Units @0.0000						
11/19/2018	***-**-308I - KEENAN, PETER	COLUMBIA THREADNEEDLE TRAILS	0.00	0.05	0.00	0.05	90.0	0.05
		BUY 0 Units @0.0000						
11/19/2018	***-**-237I - PIERSON, JEFFREY	COLUMBIA THREADNEEDLE TRAILS	0.00	10.91	0.00	10.91	90.0	9.82
		BUY 0 Units @0.0000						
11/07/2018	***-**-6114 - HARBIN GRE	FIDELITY ADV EQUITY GROWTH CL A	0.00	4.50	0.00	4.50	90.0	4.05
	ACCOUNT #: 00655706638	BUY 0 Units @0.0000						
11/07/2018	***-**-114I - HARBIN, GREGORY	FIDELITY ADV EQUITY GROWTH CL A	0.00	2.37	0.00	2.37	90.0	2.13
	ACCOUNT #: 00704750850	BUY 0 Units @0.0000						
11/07/2018	***-**-9283 - HARBIN, JOANNA	FIDELITY ADV GROWTH & INCOME CL A	0.00	6.68	0.00	6.68	90.0	6.01
	ACCOUNT #: 00504394842	BUY 0 Units @0.0000						
10/19/2018	***-**-13IO - CHARD, DANIELLE	FUNDAMENTAL INVESTORS-A	0.00	3.15	0.00	3.15	90.0	2.84
	ACCOUNT #: LSR010092	BUY 1 Units @0.0000						
10/19/2018	***-**-10IR - JANNEY, DONNA	FUNDAMENTAL INVESTORS-A	0.00	0.91	0.00	0.91	90.0	0.82
	ACCOUNT #: LSR011203	BUY 1 Units @0.0000						
10/19/2018	***-**-08IR - JANNEY, DAVID	FUNDAMENTAL INVESTORS-A	0.00	0.91	0.00	0.91	90.0	0.82
	ACCOUNT #: LSR011204	BUY 1 Units @0.0000						
10/19/2018	***-**-2960 - KELLEY, BRENDA	FUNDAMENTAL INVESTORS-C	0.00	2.16	0.00	2.16	90.0	1.94
	ACCOUNT #: LSR011834	BUY 1 Units @0.0000						
10/19/2018	***-**-994J - RAY, CLYDE	FUNDAMENTAL INVESTORS-C	0.00	4.75	0.00	4.75	90.0	4.28
	ACCOUNT #: LSR011930	BUY 1 Units @0.0000						
11/19/2018	***-**-2700 - WELDON, CHARLTON	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	12.83	0.00	12.83	90.0	11.55
		BUY 0 Units @0.0000						
11/19/2018	***-**-7933 - PIERSON, KAREN	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	35.45	0.00	35.45	90.0	31.91
	ACCOUNT #: 091151893	BUY 0 Units @0.0000						
11/19/2018	***-**-54IN - STOUT, LOUISE	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	19.40	0.00	19.40	90.0	17.46
	ACCOUNT #: 91148263	BUY 0 Units @0.0000						
11/19/2018	***-**-657A - LIBERTY,	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	51.31	0.00	51.31	90.0	46.18
	ACCOUNT #: 091150059	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-935I - LOWE, JAMES	GRIFFIN INST ACCESS REAL ESTATE FD	0.00	12.35	0.00	12.35	90.0	11.12
	ACCOUNT #: LSR008460	BUY 1 Units @0.0000						
10/19/2018	***-**-935I - LOWE, JAMES	GRIFFIN INST ACCESS REAL ESTATE FD	0.00	4.12	0.00	4.12	90.0	3.71
	ACCOUNT #: LSR008460	BUY 1 Units @0.0000						
10/19/2018	***-**-13IO - CHARD, DANIELLE	NEW PERSPECTIVE FUND-A	0.00	3.23	0.00	3.23	90.0	2.91
	ACCOUNT #: LSR010092	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - CHARD, DANIELLE	NEW PERSPECTIVE FUND-A	0.00	1.50	0.00	1.50	90.0	1.35
	ACCOUNT #: LSR010093	BUY 1 Units @0.0000						
10/19/2018	***-**-547J - BEST III, JOHN	NEW PERSPECTIVE FUND-A	0.00	9.57	0.00	9.57	90.0	8.61
	ACCOUNT #: LSR010824	BUY 1 Units @0.0000						
10/19/2018	***-**-10IR - JANNEY, DONNA	NEW PERSPECTIVE FUND-A	0.00	0.88	0.00	0.88	90.0	0.79
	ACCOUNT #: LSR011203	BUY 1 Units @0.0000						
10/19/2018	***-**-08IR - JANNEY, DAVID	NEW PERSPECTIVE FUND-A	0.00	0.88	0.00	0.88	90.0	0.79
	ACCOUNT #: LSR011204	BUY 1 Units @0.0000						
11/19/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS	0.00	36.81	0.00	36.81	90.0	33.13
		BUY 0 Units @0.0000						
10/19/2018	***-**-935I - LOWE, JAMES	THE GROWTH FUND OF AMERICA-A	0.00	3.20	0.00	3.20	90.0	2.88
	ACCOUNT #: LSR008460	BUY 1 Units @0.0000						
10/19/2018	***-**-13IO - CHARD, DANIELLE	THE GROWTH FUND OF AMERICA-A	0.00	3.93	0.00	3.93	90.0	3.54
	ACCOUNT #: LSR010092	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - CHARD, DANIELLE	THE GROWTH FUND OF AMERICA-A	0.00	2.34	0.00	2.34	90.0	2.11
	ACCOUNT #: LSR010093	BUY 1 Units @0.0000						
10/19/2018	***-**-2960 - KELLEY, BRENDA	THE GROWTH FUND OF AMERICA-C	0.00	2.82	0.00	2.82	90.0	2.54
	ACCOUNT #: LSR011834	BUY 1 Units @0.0000						
10/19/2018	***-**-994J - RAY, CLYDE	THE GROWTH FUND OF AMERICA-C	0.00	5.08	0.00	5.08	90.0	4.57
	ACCOUNT #: LSR011930	BUY 1 Units @0.0000						
10/19/2018	***-**-547J - BEST III, JOHN	THE INVESTMENT COMPANY OF AMERICA-A	0.00	5.37	0.00	5.37	90.0	4.83
	ACCOUNT #: LSR010824	BUY 1 Units @0.0000						
10/19/2018	***-**-6540 - STOUT, LOUISE	THE NEW ECONOMY FUND-C	0.00	7.33	0.00	7.33	90.0	6.60
	ACCOUNT #: LSR011072	BUY 1 Units @0.0000						
10/19/2018	***-**-13IO - CHARD, DANIELLE	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	2.70	0.00	2.70	90.0	2.43
	ACCOUNT #: LSR010092	BUY 1 Units @0.0000						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)</u>								
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$261.88	\$0.00	\$261.88		\$235.72
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
11/01/2018	***-**-4155 - OUELLETTE, JOYCE GENWORTH 37250G277	BUY 0 Units @0.0000	0.00	36.23	0.00	36.23	90.0	32.61
	ACCOUNT #: T06422061							
		* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$36.23	\$0.00	\$36.23		\$32.61
		*** BROKER TRANSACTIONS TOTAL ***	\$3,015.44	\$405.45	\$0.00	\$405.45		\$364.96

BROKER COMMISSION TOTALS

Broker Transactions	\$364.96
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 Commission Earned	\$364.96
Year-to-date Earnings	\$47,132.37