

Bill Payment Stub

Check Date:	10/5/2018
Check No.:	ACH
Check Amount:	1,364.77

Dominion Investor Services
P.O. Box 4768
Horseshoe Bay, TX 78657-4768

Paid To: RICK HAVARD
1600 STILLHOUSE HOLLOW
PROSPER, TX 75078

Date	Type	Reference	Original Amt.	Balance	Discount	Payment
9/30/2018	Bill	COMMISSIONS	11,364.77	11,364.77		11,364.77
9/20/2018	Credit	ADVANCE	-10,000.00	-10,000.00		-10,000.00

COMMISSION STATEMENT

September 30, 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	
<u>CLEARING TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>										
09/11/2018	216034029	DUPLECHAIN, RODNEY	MF	BLACKROCK STRATEGIC INC OPP FD S	-84,691.27	0.00	5.00	-5.00	90.0	-4.50
09/11/2018	368461510	GUMIENIK, IRIS	MF	BLACKROCK STRATEGIC INC OPP FD B	-997.55	0.00	5.00	-5.00	90.0	-4.50
09/06/2018	708345459	TEEPLE, WARREM	MF	BLACKROCK MULTI-ASSET INCOME FD S	-27,562.73	0.00	5.00	-5.00	90.0	-4.50
* MUTUAL FUNDS SUBTOTAL *					\$-113,251.55	\$0.00	\$15.00	\$-15.00		\$-13.50
<u>PRODUCT CATEGORY: STOCKS</u>										
09/11/2018	676888646	STRONG, TODD	S	RITE AID CORP	1,032.65	15.00	15.00	0.00	90.0	0.00
09/17/2018	676888646	STRONG, TODD	S	APPLE INC	-8,501.95	65.00	15.00	50.00	90.0	45.00
* STOCKS SUBTOTAL *					\$-7,469.30	\$80.00	\$30.00	\$50.00		\$45.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
09/21/2018	mfc307137	VARIOUS,	MFT	AMERICAN MUTUAL FUND-A	0.00	7.47	0.00	7.47	90.0	6.72
09/21/2018	mfc307137	VARIOUS,	MFT	API MULTI-ASSET INCOME FD L	0.00	12.58	0.00	12.58	90.0	11.32
09/21/2018	mfc307137	VARIOUS,	MFT	API MULTI-ASSET INCOME FD L	0.00	19.40	0.00	19.40	90.0	17.46
09/21/2018	mfc307137	VARIOUS,	MFT	BLACKROCK MULTI-ASSET INCOME FD B	0.00	9.33	0.00	9.33	90.0	8.40
09/21/2018	mfc307137	VARIOUS,	MFT	BLACKROCK MULTI-ASSET INCOME FD B	0.00	9.66	0.00	9.66	90.0	8.69
09/21/2018	mfc307137	VARIOUS,	MFT	BLACKROCK MULTI-ASSET INCOME FD B	0.00	12.12	0.00	12.12	90.0	10.91
09/21/2018	mfc307137	VARIOUS,	MFT	BLACKROCK MULTI-ASSET INCOME FD B	0.00	39.23	0.00	39.23	90.0	35.31
09/21/2018	mfc307137	VARIOUS,	MFT	BLACKROCK STRATEGIC INC OPP FD B	0.00	9.21	0.00	9.21	90.0	8.29
09/21/2018	mfc307137	VARIOUS,	MFT	BLACKROCK STRATEGIC INC OPP FD B	0.00	9.40	0.00	9.40	90.0	8.46
09/21/2018	mfc307137	VARIOUS,	MFT	BLACKROCK STRATEGIC INC OPP FD B	0.00	9.47	0.00	9.47	90.0	8.52
09/21/2018	mfc307137	VARIOUS,	MFT	BLACKROCK STRATEGIC INC OPP FD B	0.00	10.24	0.00	10.24	90.0	9.22
09/21/2018	mfc307137	VARIOUS,	MFT	BLACKROCK STRATEGIC INC OPP FD B	0.00	18.12	0.00	18.12	90.0	16.31
09/21/2018	mfc307137	VARIOUS,	MFT	BLACKROCK STRATEGIC INC OPP FD B	0.00	37.22	0.00	37.22	90.0	33.50
09/21/2018	mfc307137	VARIOUS,	MFT	BLACKROCK EQUITY DIVIDEND FD C	0.00	8.50	0.00	8.50	90.0	7.65
09/21/2018	mfc307137	VARIOUS,	MFT	CALAMOS GROWTH AND INCOME CLASS	0.00	1.78	0.00	1.78	90.0	1.60
09/21/2018	mfc307137	VARIOUS,	MFT	THE INVESTMENT COMPANY OF	0.00	9.99	0.00	9.99	90.0	8.99
09/24/2018	mfc307137	VARIOUS,	MFT	AMERICAN MUTUAL FUND-A	0.00	7.09	0.00	7.09	90.0	6.38
09/24/2018	mfc307137	VARIOUS,	MFT	API MULTI-ASSET INCOME FD L	0.00	11.87	0.00	11.87	90.0	10.68
09/24/2018	mfc307137	VARIOUS,	MFT	API MULTI-ASSET INCOME FD L	0.00	18.29	0.00	18.29	90.0	16.46
09/24/2018	mfc307137	VARIOUS,	MFT	BLACKROCK MULTI-ASSET INCOME FD B	0.00	8.75	0.00	8.75	90.0	7.88
09/24/2018	mfc307137	VARIOUS,	MFT	BLACKROCK MULTI-ASSET INCOME FD B	0.00	9.06	0.00	9.06	90.0	8.15

COMMISSION STATEMENT for RICK HAVARD-D361

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
09/24/2018	mfc307137	VARIOUS,	MFT BLACKROCK MULTI-ASSET INCOME FD B	0.00	11.38	0.00	11.38	90.0	10.24
09/24/2018	mfc307137	VARIOUS,	MFT BLACKROCK MULTI-ASSET INCOME FD B	0.00	12.25	0.00	12.25	90.0	11.03
09/24/2018	mfc307137	VARIOUS,	MFT BLACKROCK EQUITY DIVIDEND FD C B	0.00	8.07	0.00	8.07	90.0	7.26
09/24/2018	mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD B	0.00	8.63	0.00	8.63	90.0	7.77
09/24/2018	mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD B	0.00	8.81	0.00	8.81	90.0	7.93
09/24/2018	mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD B	0.00	8.87	0.00	8.87	90.0	7.98
09/24/2018	mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD B	0.00	9.59	0.00	9.59	90.0	8.63
09/24/2018	mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD B	0.00	16.98	0.00	16.98	90.0	15.28
09/24/2018	mfc307137	VARIOUS,	MFT BLACKROCK STRATEGIC INC OPP FD B	0.00	34.87	0.00	34.87	90.0	31.38
09/24/2018	mfc307137	VARIOUS,	MFT CALAMOS GROWTH AND INCOME CLASS B	0.00	1.69	0.00	1.69	90.0	1.52
09/24/2018	mfc307137	VARIOUS,	MFT THE INVESTMENT COMPANY OF B	0.00	9.40	0.00	9.40	90.0	8.46
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$409.32	\$0.00	\$409.32		\$368.38
*** CLEARING TRANSACTIONS TOTAL ***				\$-120,720.85	\$489.32	\$45.00	\$444.32		\$399.88

DIRECT TRANSACTIONSPRODUCT CATEGORY: VARIABLE ANNUITIES

09/04/2018	(None)	AGNEW, EDWARD	VA ALLIANZ LIFE	B	197,479.84	11,848.79	0.00	11,848.79	90.0	10,663.91
* VARIABLE ANNUITIES SUBTOTAL *					\$197,479.84	\$11,848.79	\$0.00	\$11,848.79		\$10,663.91

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

08/31/2018	(None)	MARINER, KATHLEEN	VAT TRANSAMERICA LIFE	B	0.00	4.96	0.00	4.96	90.0	4.46
08/31/2018	(None)	KAHANEK, SHARON	VAT TRANSAMERICA LIFE	B	0.00	186.89	0.00	186.89	90.0	168.20
09/12/2018	VM15003783	MELLO, ALFRED	VAT PACIFIC LIFE VA 69448B191	B	0.00	362.58	0.00	362.58	90.0	326.32
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *					\$0.00	\$554.43	\$0.00	\$554.43		\$498.98
*** DIRECT TRANSACTIONS TOTAL ***					\$197,479.84	\$12,403.22	\$0.00	\$12,403.22		\$11,162.89

ADJUSTMENTS TRANSACTIONSBROKER: #0

09/30/2018	:	BROKER WORKSTATION	0.00	0.00	0.00	0.00	-30.00
09/30/2018	:	E&O	0.00	0.00	0.00	0.00	-130.00
09/30/2018	:	E-MAIL ACCOUNT	0.00	0.00	0.00	0.00	-25.00
09/30/2018	:	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	\$11,562.77
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	\$11,364.77
Year-to-date Commissions	\$63,140.39