

COMMISSION STATEMENT November 30, 2018

ROBERT CALDWELL-D013
 2802 North Highland Avenue
 Suite A
 Jackson, TN 38305

BROKER #: D013
 BRANCH: DME

COMMISSION STATEMENT for ROBERT CALDWELL-D013

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
11/21/2018	mfc291006 CALDWELL	291006 MFT AMERICAN BALANCED FUND-A	B	0.00	2.68	0.00	2.68	90.0	2.41
11/21/2018	mfc291006 CALDWELL	291006 MFT AMERICAN BALANCED FUND-A	B	0.00	4.20	0.00	4.20	90.0	3.78
11/21/2018	mfc291006 CALDWELL	291006 MFT AMERICAN MUTUAL FUND-A	B	0.00	0.18	0.00	0.18	90.0	0.16
11/21/2018	mfc291006 CALDWELL	291006 MFT DELAWARE SMID CAP GROWTH FD CL	B	0.00	14.71	0.00	14.71	90.0	13.24
11/21/2018	mfc291006 CALDWELL	291006 MFT FIDELITY ADVISOR GROWTH OPPORT	B	0.00	43.46	0.00	43.46	90.0	39.11
11/21/2018	mfc291006 CALDWELL	291006 MFT FRANKLIN INCOME FUND CLASS C	B	0.00	6.75	0.00	6.75	90.0	6.08
11/21/2018	mfc291006 CALDWELL	291006 MFT FRANKLIN RISING DIVIDENDS FD	B	0.00	1.66	0.00	1.66	90.0	1.49
11/21/2018	mfc291006 CALDWELL	291006 MFT FRK INC FD CL A	B	0.00	1.84	0.00	1.84	90.0	1.66
11/21/2018	mfc291006 CALDWELL	291006 MFT FRK RISING DIV FND - CL C	B	0.00	9.62	0.00	9.62	90.0	8.66
11/21/2018	mfc291006 CALDWELL	291006 MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	3.73	0.00	3.73	90.0	3.36
11/21/2018	mfc291006 CALDWELL	291006 MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	11.59	0.00	11.59	90.0	10.43
11/21/2018	mfc291006 CALDWELL	291006 MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	0.65	0.00	0.65	90.0	0.59
11/21/2018	mfc291006 CALDWELL	291006 MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	2.02	0.00	2.02	90.0	1.82
11/21/2018	mfc291006 CALDWELL	291006 MFT GEORGE PUTNAM BALANCED FUND-A	B	0.00	0.31	0.00	0.31	90.0	0.28
11/21/2018	mfc291006 CALDWELL	291006 MFT JOHN HANCOCK STRATEGIC GROWTH A	B	0.00	1.29	0.00	1.29	90.0	1.16
11/21/2018	mfc291006 CALDWELL	291006 MFT MFS TN MUNI BD FD CL A	B	0.00	25.09	0.00	25.09	90.0	22.58
11/21/2018	mfc291006 CALDWELL	291006 MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	16.13	0.00	16.13	90.0	14.52
11/21/2018	mfc291006 CALDWELL	291006 MFT PUTNAM 746747104	B	0.00	0.35	0.00	0.35	90.0	0.32
11/21/2018	mfc291006 CALDWELL	291006 MFT PUTNAM HEALTH SCIENCES TRUST	B	0.00	0.48	0.00	0.48	90.0	0.43
11/21/2018	mfc291006 CALDWELL	291006 MFT U.S. GOVERNMENT SECURITIES FUND	B	0.00	5.83	0.00	5.83	90.0	5.25
11/21/2018	mfc291006 CALDWELL	291006 MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.99	0.00	1.99	90.0	1.79
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$154.56	\$0.00	\$154.56		\$139.12
*** CLEARING TRANSACTIONS TOTAL ***				\$0.00	\$154.56	\$0.00	\$154.56		\$139.12

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DIRECT TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
11/12/2018	0000000000010330	PATRICK, CHAD MF	FRANKLIN MUTUAL INTERNATIONAL	B	41.67	0.42	0.00	0.42	90.0	0.38
11/20/2018	0000000000055638	PATRICK, CHAD MF	FRANKLIN BALANCED FUND - CLASS	B	125.00	1.25	0.00	1.25	90.0	1.13
11/12/2018	0000000000277184	PATRICK, CHAD MF	TEMPLETON CHINA WORLD FUND -	B	41.67	0.42	0.00	0.42	90.0	0.38
11/12/2018	0000000001124015	PATRICK, CHAD MF	MUTUAL QUAL FND - CL C	B	41.66	0.42	0.00	0.42	90.0	0.38
11/16/2018	0000000012992741	GIPSON, DEBRA MF	FRANKLIN INCOME FUND CLASS C	B	280.00	2.80	0.00	2.80	90.0	2.52
11/19/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
11/19/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
11/19/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	100.87	1.01	0.00	1.01	90.0	0.91
11/19/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	100.87	1.01	0.00	1.01	90.0	0.91
11/15/2018	00075317599	COPELAND, SUSAN MF	AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
11/15/2018	00075317599	COPELAND, SUSAN MF	FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
11/15/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	39.27	0.79	0.00	0.79	90.0	0.71
11/15/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	104.73	2.09	0.00	2.09	90.0	1.88
11/15/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	6.93	0.14	0.00	0.14	90.0	0.13
11/15/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	18.48	0.37	0.00	0.37	90.0	0.33
11/15/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
11/15/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
11/15/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
11/15/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
11/15/2018	00081948549	HINDS, MICHAEL MF	AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
11/15/2018	00081948549	HINDS, MICHAEL MF	AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
11/15/2018	00081948549	HINDS, MICHAEL MF	AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
11/15/2018	00081948549	HINDS, MICHAEL MF	AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
11/15/2018	00081948549	HINDS, MICHAEL MF	U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
11/15/2018	00081948549	HINDS, MICHAEL MF	U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
11/15/2018	00081948685	SHELTON, LAURA MF	FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
11/15/2018	00081948685	SHELTON, LAURA MF	FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21
11/15/2018	00081948685	SHELTON, LAURA MF	NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
11/15/2018	00081948685	SHELTON, LAURA MF	NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
11/15/2018	00081948685	SHELTON, LAURA MF	NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
11/15/2018	00081948685	SHELTON, LAURA MF	NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
11/15/2018	00081948685	SHELTON, LAURA MF	THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21
11/15/2018	00081948685	SHELTON, LAURA MF	THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
11/15/2018	00087734807	JARRED, GINA MF	AMERICAN BALANCED FUND-C	B	34.48	0.34	0.00	0.34	90.0	0.31
11/15/2018	00087734807	JARRED, GINA MF	AMERICAN BALANCED FUND-C	B	114.94	1.15	0.00	1.15	90.0	1.04
11/15/2018	00087734863	WHITE, PEGGY MF	AMERICAN BALANCED FUND-C	B	43.31	0.43	0.00	0.43	90.0	0.39
11/15/2018	00087734863	WHITE, PEGGY MF	AMERICAN BALANCED FUND-C	B	43.31	0.43	0.00	0.43	90.0	0.39
11/15/2018	00089597043	MCINTOSH, GINA MF	GROWTH PORTFOLIO-C	B	31.53	0.32	0.00	0.32	90.0	0.29
11/15/2018	00089597043	MCINTOSH, GINA MF	GROWTH PORTFOLIO-C	B	31.53	0.32	0.00	0.32	90.0	0.29
11/15/2018	00089696651	ALEXANDER, MF	CAPITAL INCOME BUILDER CLASS C	B	11.18	0.11	0.00	0.11	90.0	0.10

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11/15/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	18.64	0.19	0.00	0.19	90.0	0.17
11/15/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	13.05	0.13	0.00	0.13	90.0	0.12
11/15/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	21.74	0.22	0.00	0.22	90.0	0.20
11/15/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	13.05	0.13	0.00	0.13	90.0	0.12
11/15/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	21.75	0.22	0.00	0.22	90.0	0.20
11/15/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
11/15/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
11/15/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	51.12	0.51	0.00	0.51	90.0	0.46
11/15/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	85.20	0.85	0.00	0.85	90.0	0.77
11/15/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	37.56	0.38	0.00	0.38	90.0	0.34
11/15/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	37.56	0.38	0.00	0.38	90.0	0.34
11/15/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	32.90	0.33	0.00	0.33	90.0	0.30
11/15/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	32.90	0.33	0.00	0.33	90.0	0.30
11/15/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
11/15/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81

* MUTUAL FUNDS SUBTOTAL *

\$2,566.90

\$33.43

\$0.00

\$33.43

\$30.15

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

11/21/2018 VR02053945	LIPSHIE BENE,	VAT CUSIP 694474628	B	0.00	261.56	0.00	261.56	90.0	235.40
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$261.56	\$0.00	\$261.56		\$235.40
*** DIRECT TRANSACTIONS TOTAL ***				\$2,566.90	\$294.99	\$0.00	\$294.99		\$265.55

LINKED CLEARING TRANSACTIONS

11/21/2018 mfc381717	VARIOUS,	MFT CALAMOS GROWTH & INCOME FD CL C	B	0.00	20.61	0.00	20.61		18.55
11/21/2018 mfc381717	VARIOUS,	MFT NUVEEN TENNESSEE MUNI BD A	B	0.00	2.74	0.00	2.74		2.47
11/21/2018 mfc381717	VARIOUS,	MFT VOYA SENIOR INCOME FUND C	B	0.00	7.17	0.00	7.17		6.45
* LAWRENCE CALDWELL-381717 SUBTOTAL *				\$0.00	\$30.52	\$0.00	\$30.52		\$27.47
*** LINKED CLEARING TRANSACTIONS TOTAL ***				\$0.00	\$30.52	\$0.00	\$30.52		\$27.47

ADJUSTMENTS TRANSACTIONSBROKER: #0

11/30/2018	:	BROKER WORKSTATION	0.00	0.00	0.00	0.00	-30.00
11/30/2018	:	BROKER WORKSTATION-BROOKS	0.00	0.00	0.00	0.00	-30.00
11/30/2018	:	E&O	0.00	0.00	0.00	0.00	-130.00
11/30/2018	:	E-MAIL ACCOUNT	0.00	0.00	0.00	0.00	-25.00
11/30/2018	:	E-MAIL ACCOUNT-BROOKS	0.00	0.00	0.00	0.00	-25.00
* SUBTOTAL *			\$0.00	\$0.00	\$0.00	\$0.00	\$-240.00
*** ADJUSTMENTS TRANSACTIONS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00	\$-240.00

BROKER COMMISSION TOTALS

Broker Transactions	\$432.14
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-240.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$192.14
Year-to-date Commissions	\$52,435.92