

COMMISSION STATEMENT

October 31, 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									
10/19/2018	mfc291006 CALDWELL 291006	MFT AMERICAN BALANCED FUND-A	B	0.00	2.66	0.00	2.66	90.0	2.39
10/19/2018	mfc291006 CALDWELL 291006	MFT AMERICAN BALANCED FUND-A	B	0.00	4.17	0.00	4.17	90.0	3.75
10/19/2018	mfc291006 CALDWELL 291006	MFT AMERICAN MUTUAL FUND-A	B	0.00	0.18	0.00	0.18	90.0	0.16
10/19/2018	mfc291006 CALDWELL 291006	MFT DELAWARE SMID CAP GROWTH FD CL	B	0.00	15.78	0.00	15.78	90.0	14.20
10/19/2018	mfc291006 CALDWELL 291006	MFT FIDELITY ADVISOR GROWTH OPPORT	B	0.00	44.89	0.00	44.89	90.0	40.40
10/19/2018	mfc291006 CALDWELL 291006	MFT FRANKLIN INCOME FUND CLASS C	B	0.00	11.38	0.00	11.38	90.0	10.24
10/19/2018	mfc291006 CALDWELL 291006	MFT FRK RISING DIV FND - CL C	B	0.00	16.40	0.00	16.40	90.0	14.76
10/19/2018	mfc291006 CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	6.32	0.00	6.32	90.0	5.69
10/19/2018	mfc291006 CALDWELL 291006	MFT FRK TEMP FOUNDING FUNDS ALLOC	B	0.00	19.62	0.00	19.62	90.0	17.66
10/19/2018	mfc291006 CALDWELL 291006	MFT GEORGE PUTNAM BALANCED FUND-A	B	0.00	0.31	0.00	0.31	90.0	0.28
10/19/2018	mfc291006 CALDWELL 291006	MFT JOHN HANCOCK STRATEGIC GROWTH A	B	0.00	1.33	0.00	1.33	90.0	1.20
10/19/2018	mfc291006 CALDWELL 291006	MFT MFS TN MUNI BD FD CL A	B	0.00	24.53	0.00	24.53	90.0	22.08
10/19/2018	mfc291006 CALDWELL 291006	MFT NUVEEN TENNESSEE MUNI BD C2	B	0.00	15.74	0.00	15.74	90.0	14.17
10/19/2018	mfc291006 CALDWELL 291006	MFT PUTNAM 746747104	B	0.00	0.36	0.00	0.36	90.0	0.32
10/19/2018	mfc291006 CALDWELL 291006	MFT PUTNAM HEALTH SCIENCES TRUST	B	0.00	0.48	0.00	0.48	90.0	0.43
10/19/2018	mfc291006 CALDWELL 291006	MFT U.S. GOVERNMENT SECURITIES FUND	B	0.00	5.67	0.00	5.67	90.0	5.10
10/19/2018	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	\$171.81	\$0.00	\$171.81		\$154.62
*** CLEARING TRANSACTIONS TOTAL ***				\$0.00	\$171.81	\$0.00	\$171.81		\$154.62

DIRECT TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

10/10/2018	0000000000010330	PATRICK, CHAD MF	FRANKLIN MUTUAL INTERNATIONAL	B	41.67	0.42	0.00	0.42	90.0	0.38
10/22/2018	0000000000055638	PATRICK, CHAD MF	FRANKLIN BALANCED FUND - CLASS	B	125.00	1.25	0.00	1.25	90.0	1.13
10/25/2018	00000000000227710	THOMAS, MF	FRANKLIN MODERATE ALLOCATION	B	100.00	1.00	0.00	1.00	90.0	0.90
10/10/2018	00000000000277184	PATRICK, CHAD MF	TEMPLETON CHINA WORLD FUND -	B	41.67	0.42	0.00	0.42	90.0	0.38
10/25/2018	00000000000499879	DIXON, KYLE MF	FRANKLIN GROWTH ALLOCATION FUND	B	300.00	3.00	0.00	3.00	90.0	2.70
10/10/2018	0000000001124015	PATRICK, CHAD MF	MUTUAL QUAL FND - CL C	B	41.66	0.42	0.00	0.42	90.0	0.38
10/25/2018	0000000003822855	PATRICK, CHAD MF	MUTUAL SHRS FND - CL C	B	166.66	1.67	0.00	1.67	90.0	1.50

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
10/22/2018 000000012992741	GIPSON, DEBRA	MF FRANKLIN INCOME FUND CLASS C	B	440.00	4.40	0.00	4.40	90.0	3.96
10/26/2018 00067541249	PATRICK, CHAD	MF THE GROWTH FUND OF AMERICA-529A	B	75.00	3.19	0.00	3.19	90.0	2.87
10/26/2018 00067549730	PATRICK, CHAD	MF THE GROWTH FUND OF AMERICA-529A	B	75.00	3.19	0.00	3.19	90.0	2.87
10/22/2018 00068424625	GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
10/22/2018 00068424625	GOWAN, MARY	MF AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
10/25/2018 00073739173	BEARD, PATRICK	MF INVESTMENT COMPANY OF AMERICA	B	50.00	0.50	0.00	0.50	90.0	0.45
10/22/2018 00074694907	REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	101.14	1.01	0.00	1.01	90.0	0.91
10/22/2018 00074694907	REYNOLDS, BETHANY	MF AMERICAN BALANCED FUND-C	B	101.14	1.01	0.00	1.01	90.0	0.91
10/15/2018 00075317599	COPELAND, SUSAN	MF AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
10/15/2018 00075317599	COPELAND, SUSAN	MF FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
10/24/2018 00081948467	EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	40.57	0.81	0.00	0.81	90.0	0.73
10/24/2018 00081948467	EVANS, LULA	MF AMERICAN BALANCED FUND-A	B	108.19	2.16	0.00	2.16	90.0	1.94
10/24/2018 00081948467	EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	7.16	0.14	0.00	0.14	90.0	0.13
10/24/2018 00081948467	EVANS, LULA	MF THE INCOME FUND OF AMERICA-A	B	19.09	0.38	0.00	0.38	90.0	0.34
10/24/2018 00081948520	WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
10/24/2018 00081948520	WRIGHT, SHELIA	MF CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
10/24/2018 00081948520	WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
10/24/2018 00081948520	WRIGHT, SHELIA	MF THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
10/24/2018 00081948549	HINDS, MICHAEL	MF AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
10/24/2018 00081948549	HINDS, MICHAEL	MF AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
10/24/2018 00081948549	HINDS, MICHAEL	MF AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
10/24/2018 00081948549	HINDS, MICHAEL	MF AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
10/24/2018 00081948549	HINDS, MICHAEL	MF U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
10/24/2018 00081948549	HINDS, MICHAEL	MF U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
10/24/2018 00081948685	SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
10/24/2018 00081948685	SHELTON, LAURA	MF FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21
10/24/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
10/24/2018 00081948685	SHELTON, LAURA	MF NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
10/24/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
10/24/2018 00081948685	SHELTON, LAURA	MF NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
10/24/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21
10/24/2018 00081948685	SHELTON, LAURA	MF THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
10/24/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	35.87	0.36	0.00	0.36	90.0	0.32
10/24/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	119.58	1.20	0.00	1.20	90.0	1.08
10/24/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	33.98	0.34	0.00	0.34	90.0	0.31
10/24/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	33.98	0.34	0.00	0.34	90.0	0.31
10/24/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	31.64	0.32	0.00	0.32	90.0	0.29
10/24/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	31.64	0.32	0.00	0.32	90.0	0.29
10/24/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	11.63	0.12	0.00	0.12	90.0	0.11
10/24/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	19.39	0.19	0.00	0.19	90.0	0.17
10/24/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	13.57	0.14	0.00	0.14	90.0	0.13
10/24/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	22.61	0.23	0.00	0.23	90.0	0.21
10/24/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	13.57	0.14	0.00	0.14	90.0	0.13
10/24/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	22.62	0.23	0.00	0.23	90.0	0.21

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10/24/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
10/24/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
10/24/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	48.94	0.49	0.00	0.49	90.0	0.44
10/24/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	81.56	0.82	0.00	0.82	90.0	0.74
10/24/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	35.69	0.36	0.00	0.36	90.0	0.32
10/24/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	35.69	0.36	0.00	0.36	90.0	0.32
10/24/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	30.98	0.31	0.00	0.31	90.0	0.28
10/24/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	30.98	0.31	0.00	0.31	90.0	0.28
10/24/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
10/24/2018 04000412607	HUFFSTETLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
* MUTUAL FUNDS SUBTOTAL *				<u>\$3,477.87</u>	<u>\$47.49</u>	<u>\$0.00</u>	<u>\$47.49</u>		<u>\$42.78</u>

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/30/2018 (None) VARIOUS, CALDWELL	MFT COLLEGE BOUND	B	0.00	353.96	0.00	353.96	90.0	318.56
09/30/2018 (None) VARIOUS, CALDWELL	MFT NUVEEN 12B-1	B	0.00	8.66	0.00	8.66	90.0	7.79
09/30/2018 (None) VARIOUS, CALDWELL	MFT PRUDENTIAL MUTUAL FUNDS	B	0.00	7.48	0.00	7.48	90.0	6.73
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				<u>\$0.00</u>	<u>\$370.10</u>	<u>\$0.00</u>	<u>\$370.10</u>	<u>\$333.08</u>
*** DIRECT TRANSACTIONS TOTAL ***				<u>\$3,477.87</u>	<u>\$417.59</u>	<u>\$0.00</u>	<u>\$417.59</u>	<u>\$375.86</u>

LINKED CLEARING TRANSACTIONS

10/19/2018 mfc381717 VARIOUS,	MFT CALAMOS GROWTH & INCOME FD CL C B	0.00	20.74	0.00	20.74	18.67
10/19/2018 mfc381717 VARIOUS,	MFT NUVEEN TENNESSEE MUNI BD A B	0.00	2.67	0.00	2.67	2.40
10/19/2018 mfc381717 VARIOUS,	MFT VOYA SENIOR INCOME FUND C B	0.00	6.93	0.00	6.93	6.24
* LAWRENCE CALDWELL-381717 SUBTOTAL *		<u>\$0.00</u>	<u>\$30.34</u>	<u>\$0.00</u>	<u>\$30.34</u>	<u>\$27.31</u>
*** LINKED CLEARING TRANSACTIONS TOTAL ***		<u>\$0.00</u>	<u>\$30.34</u>	<u>\$0.00</u>	<u>\$30.34</u>	<u>\$27.31</u>

ADJUSTMENTS TRANSACTIONSBROKER: #0

10/31/2018	: BROKER WORKSTATION	0.00	0.00	0.00	0.00	-30.00
10/31/2018	: BROKER WORKSTATION-BROOKS	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	: E-MAIL ACCOUNT-BROOKS	0.00	0.00	0.00	0.00	-25.00
* SUBTOTAL *		<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$-240.00</u>
*** ADJUSTMENTS TRANSACTIONS TOTAL ***		<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$-240.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$557.79
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	\$317.79
Year-to-date Commissions	\$50,024.86