

# COMMISSION STATEMENT November 30, 2018

KRIS LLOYD-D039  
 4265 San Felipe Road  
 Suite 1100  
 Houston, TX 77027

BROKER #: D039  
 BRANCH: DMJ

## COMMISSION STATEMENT for KRIS LLOYD-D039

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
CLEARING TRANSACTIONS											
PRODUCT CATEGORY: MUTUAL FUNDS											
10/29/2018	461271145	LLOYD, KEITH	MF	GROWTH AND INCOME PORTFOLIO-A	S	-10,002.45	-500.00	-5.00	-495.00	90.0	-445.50
10/29/2018	461271145	LLOYD, KEITH	MF	GROWTH AND INCOME PORTFOLIO-A	S	10,002.45	275.00	5.00	270.00	90.0	243.00
* MUTUAL FUNDS SUBTOTAL *					\$0.00	\$-225.00	\$0.00	\$-225.00		\$-202.50	
PRODUCT CATEGORY: STOCKS											
11/26/2018	216051151	DAVID HOLLRAH IND	S	OMEGA HEALTHCARE INVS INC	S	-17,765.26	207.76	15.00	192.76	90.0	173.48
11/26/2018	338107996	HOLLRAH, DAVID	S	OMEGA HEALTHCARE INVS INC	S	-10,645.59	137.66	15.00	122.66	90.0	110.39
11/26/2018	368259575	ROY, JOHN	S	ASTRAZENECA P L C-SPONS ADR	S	-11,767.89	230.01	15.00	215.01	90.0	193.51
11/26/2018	368259575	ROY, JOHN	S	OMEGA HEALTHCARE INVS INC	S	-7,031.60	157.88	15.00	142.88	90.0	128.59
11/27/2018	368333602	LASTER, RICHARD	S	ALTRIA GROUP INCORPORATED	S	-5,263.66	130.96	15.00	115.96	90.0	104.36
11/27/2018	368333602	LASTER, RICHARD	S	VICTORY PORTFOLIOS II CEMP US	S	-8,997.61	187.82	15.00	172.82	90.0	155.54
11/26/2018	368350989	TOWNES, BETTY	S	ASTRAZENECA P L C-SPONS ADR	S	-11,809.91	230.65	15.00	215.65	90.0	194.09
11/26/2018	368431919	COLEMAN, DONALD	S	ASTRAZENECA P L C-SPONS ADR	S	-19,649.51	350.03	15.00	335.03	90.0	301.53
11/26/2018	368431919	COLEMAN, DONALD	S	OMEGA HEALTHCARE INVS INC	S	-17,672.44	319.93	15.00	304.93	90.0	274.44
11/26/2018	583778526	CULVER, ELOISE	S	ASTRAZENECA P L C-SPONS ADR	S	-15,685.47	289.67	15.00	274.67	90.0	247.20
11/26/2018	583778526	CULVER, ELOISE	S	OMEGA HEALTHCARE INVS INC	S	-17,633.68	319.34	15.00	304.34	90.0	273.91
11/26/2018	645219153	ROYER TTEE, MARY	S	ASTRAZENECA P L C-SPONS ADR	S	-11,777.35	230.15	15.00	215.15	90.0	193.64
11/26/2018	645219153	ROYER TTEE, MARY	S	OMEGA HEALTHCARE INVS INC	S	-10,541.50	211.33	15.00	196.33	90.0	176.70
11/27/2018	645219153	ROYER TTEE, MARY	S	VICTORY PORTFOLIOS II CEMP US	S	-8,995.66	187.79	15.00	172.79	90.0	155.51
11/26/2018	645219578	ROYER TTEE, MARY	S	ASTRAZENECA P L C-SPONS ADR	S	-11,765.00	229.96	15.00	214.96	90.0	193.46
11/26/2018	645219578	ROYER TTEE, MARY	S	OMEGA HEALTHCARE INVS INC	S	-17,608.91	318.96	15.00	303.96	90.0	273.56
11/27/2018	645219578	ROYER TTEE, MARY	S	VICTORY PORTFOLIOS II CEMP US	S	-13,522.94	256.73	15.00	241.73	90.0	217.56
11/26/2018	645219949	ROYER, MARY	S	ASTRAZENECA P L C-SPONS ADR	S	-11,774.30	230.11	15.00	215.11	90.0	193.60
11/26/2018	645219949	ROYER, MARY	S	OMEGA HEALTHCARE INVS INC	S	-10,529.68	211.15	15.00	196.15	90.0	176.54
11/27/2018	645219949	ROYER, MARY	S	VICTORY PORTFOLIOS II CEMP US	S	-13,525.80	256.78	15.00	241.78	90.0	217.60
11/26/2018	645225418	ROYER TTEE, MARY	S	ASTRAZENECA P L C-SPONS ADR	S	-11,773.60	230.09	15.00	215.09	90.0	193.58
11/26/2018	645225418	ROYER TTEE, MARY	S	OMEGA HEALTHCARE INVS INC	S	-10,529.68	211.15	15.00	196.15	90.0	176.54
11/27/2018	645225418	ROYER TTEE, MARY	S	VICTORY PORTFOLIOS II CEMP US	S	-8,999.91	187.86	15.00	172.86	90.0	155.57
11/23/2018	677260790	SCHULTZE, HARRY	S	FORD MOTOR CO NEW	S	-1,760.21	77.60	15.00	62.60	90.0	56.34
11/23/2018	677260790	SCHULTZE, HARRY	S	HCP INC	S	-4,219.61	115.06	15.00	100.06	90.0	90.05
11/23/2018	677260790	SCHULTZE, HARRY	S	OMEGA HEALTHCARE INVS INC	S	-3,533.04	104.60	15.00	89.60	90.0	80.64

COMMISSION STATEMENT for KRIS LLOYD-D039

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
* STOCKS SUBTOTAL *				\$-294,779.81	\$5,621.03	\$390.00	\$5,231.03		\$4,707.93

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

11/21/2018 mfc991470 LLOYD 991470	MFT AMCAP FUND-A	B	0.00	5.66	0.00	5.66	90.0	5.09
11/21/2018 mfc991470 LLOYD 991470	MFT AMCAP FUND-A	B	0.00	8.46	0.00	8.46	90.0	7.61
11/21/2018 mfc991470 LLOYD 991470	MFT AMERICAN BALANCED FUND-A	B	0.00	0.52	0.00	0.52	90.0	0.47
11/21/2018 mfc991470 LLOYD 991470	MFT AMERICAN BALANCED FUND-A	B	0.00	0.79	0.00	0.79	90.0	0.71
11/21/2018 mfc991470 LLOYD 991470	MFT AMERICAN BALANCED FUND-A	B	0.00	1.31	0.00	1.31	90.0	1.18
11/21/2018 mfc991470 LLOYD 991470	MFT AMERICAN BALANCED FUND-A	B	0.00	1.41	0.00	1.41	90.0	1.27
11/21/2018 mfc991470 LLOYD 991470	MFT AMERICAN BALANCED FUND-A	B	0.00	2.04	0.00	2.04	90.0	1.84
11/21/2018 mfc991470 LLOYD 991470	MFT AMERICAN BALANCED FUND-A	B	0.00	2.83	0.00	2.83	90.0	2.55
11/21/2018 mfc991470 LLOYD 991470	MFT AMERICAN BALANCED FUND-A	B	0.00	3.03	0.00	3.03	90.0	2.73
11/21/2018 mfc991470 LLOYD 991470	MFT AMERICAN BALANCED FUND-A	B	0.00	3.29	0.00	3.29	90.0	2.96
11/21/2018 mfc991470 LLOYD 991470	MFT AMERICAN BALANCED FUND-A	B	0.00	14.37	0.00	14.37	90.0	12.93
11/21/2018 mfc991470 LLOYD 991470	MFT BALANCED PORTFOLIO-A	B	0.00	0.58	0.00	0.58	90.0	0.52
11/21/2018 mfc991470 LLOYD 991470	MFT BALANCED PORTFOLIO-A	B	0.00	1.16	0.00	1.16	90.0	1.04
11/21/2018 mfc991470 LLOYD 991470	MFT BALANCED PORTFOLIO-A	B	0.00	3.02	0.00	3.02	90.0	2.72
11/21/2018 mfc991470 LLOYD 991470	MFT BALANCED PORTFOLIO-A	B	0.00	5.95	0.00	5.95	90.0	5.36
11/21/2018 mfc991470 LLOYD 991470	MFT BALANCED PORTFOLIO-A	B	0.00	15.11	0.00	15.11	90.0	13.60
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	0.35	0.00	0.35	90.0	0.32
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	0.41	0.00	0.41	90.0	0.37
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	0.54	0.00	0.54	90.0	0.49
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	0.61	0.00	0.61	90.0	0.55
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	0.78	0.00	0.78	90.0	0.70
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	0.92	0.00	0.92	90.0	0.83
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	1.01	0.00	1.01	90.0	0.91
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	1.01	0.00	1.01	90.0	0.91
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	1.01	0.00	1.01	90.0	0.91
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	1.01	0.00	1.01	90.0	0.91
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	1.01	0.00	1.01	90.0	0.91
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	1.01	0.00	1.01	90.0	0.91
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	1.33	0.00	1.33	90.0	1.20
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	1.35	0.00	1.35	90.0	1.22
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	1.70	0.00	1.70	90.0	1.53
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	1.85	0.00	1.85	90.0	1.67
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	4.33	0.00	4.33	90.0	3.90
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	4.59	0.00	4.59	90.0	4.13
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	5.11	0.00	5.11	90.0	4.60
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	5.15	0.00	5.15	90.0	4.64
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	5.36	0.00	5.36	90.0	4.82
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	5.39	0.00	5.39	90.0	4.85
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	7.87	0.00	7.87	90.0	7.08
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	7.98	0.00	7.98	90.0	7.18
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	11.61	0.00	11.61	90.0	10.45
11/21/2018 mfc991470 LLOYD 991470	MFT CAPITAL INCOME BUILDER-A	B	0.00	12.61	0.00	12.61	90.0	11.35

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
11/21/2018	mfc991470 LLOYD 991470	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	4.27	0.00	4.27	90.0	3.84
11/21/2018	mfc991470 LLOYD 991470	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	5.35	0.00	5.35	90.0	4.82
11/21/2018	mfc991470 LLOYD 991470	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	7.70	0.00	7.70	90.0	6.93
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH AND INCOME PORTFOLIO-A	B	0.00	0.20	0.00	0.20	90.0	0.18
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH AND INCOME PORTFOLIO-A	B	0.00	0.58	0.00	0.58	90.0	0.52
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH AND INCOME PORTFOLIO-A	B	0.00	0.99	0.00	0.99	90.0	0.89
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH AND INCOME PORTFOLIO-A	B	0.00	1.10	0.00	1.10	90.0	0.99
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH AND INCOME PORTFOLIO-A	B	0.00	1.93	0.00	1.93	90.0	1.74
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH AND INCOME PORTFOLIO-A	B	0.00	1.93	0.00	1.93	90.0	1.74
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH AND INCOME PORTFOLIO-A	B	0.00	1.93	0.00	1.93	90.0	1.74
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH AND INCOME PORTFOLIO-A	B	0.00	1.93	0.00	1.93	90.0	1.74
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH AND INCOME PORTFOLIO-A	B	0.00	2.41	0.00	2.41	90.0	2.17
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH AND INCOME PORTFOLIO-A	B	0.00	3.27	0.00	3.27	90.0	2.94
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH AND INCOME PORTFOLIO-A	B	0.00	3.42	0.00	3.42	90.0	3.08
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH AND INCOME PORTFOLIO-A	B	0.00	4.10	0.00	4.10	90.0	3.69
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH AND INCOME PORTFOLIO-A	B	0.00	4.38	0.00	4.38	90.0	3.94
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH AND INCOME PORTFOLIO-A	B	0.00	5.56	0.00	5.56	90.0	5.00
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH AND INCOME PORTFOLIO-A	B	0.00	24.34	0.00	24.34	90.0	21.91
11/21/2018	mfc991470 LLOYD 991470	MFT GROWTH PORTFOLIO-A	B	0.00	4.62	0.00	4.62	90.0	4.16
11/21/2018	mfc991470 LLOYD 991470	MFT INTERNATIONAL GROWTH AND	B	0.00	4.44	0.00	4.44	90.0	4.00
11/21/2018	mfc991470 LLOYD 991470	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.29	0.00	1.29	90.0	1.16
11/21/2018	mfc991470 LLOYD 991470	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	4.86	0.00	4.86	90.0	4.37
11/21/2018	mfc991470 LLOYD 991470	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	6.38	0.00	6.38	90.0	5.74
11/21/2018	mfc991470 LLOYD 991470	MFT THE HARTFORD CHECKS AND	B	0.00	0.04	0.00	0.04	90.0	0.04
11/21/2018	mfc991470 LLOYD 991470	MFT THE HARTFORD CHECKS AND	B	0.00	8.07	0.00	8.07	90.0	7.26
11/21/2018	mfc991470 LLOYD 991470	MFT THE HARTFORD DIVIDEND & GROWTH	B	0.00	0.01	0.00	0.01	90.0	0.01
11/21/2018	mfc991470 LLOYD 991470	MFT THE INCOME FUND OF AMERICA-A	B	0.00	8.17	0.00	8.17	90.0	7.35
11/21/2018	mfc991470 LLOYD 991470	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	0.60	0.00	0.60	90.0	0.54
11/21/2018	mfc991470 LLOYD 991470	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	0.64	0.00	0.64	90.0	0.58
11/21/2018	mfc991470 LLOYD 991470	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	0.83	0.00	0.83	90.0	0.75
11/21/2018	mfc991470 LLOYD 991470	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	0.95	0.00	0.95	90.0	0.86
11/21/2018	mfc991470 LLOYD 991470	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.16	0.00	1.16	90.0	1.04
11/21/2018	mfc991470 LLOYD 991470	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.58	0.00	1.58	90.0	1.42
11/21/2018	mfc991470 LLOYD 991470	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.98	0.00	1.98	90.0	1.78
11/21/2018	mfc991470 LLOYD 991470	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	3.62	0.00	3.62	90.0	3.26
11/21/2018	mfc991470 LLOYD 991470	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	4.40	0.00	4.40	90.0	3.96
11/21/2018	mfc991470 LLOYD 991470	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	4.83	0.00	4.83	90.0	4.35
11/21/2018	mfc991470 LLOYD 991470	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	5.21	0.00	5.21	90.0	4.69
11/21/2018	mfc991470 LLOYD 991470	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	5.93	0.00	5.93	90.0	5.34
11/21/2018	mfc991470 LLOYD 991470	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	6.03	0.00	6.03	90.0	5.43
11/21/2018	mfc991470 LLOYD 991470	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	8.43	0.00	8.43	90.0	7.59
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$313.88</b>	<b>\$0.00</b>	<b>\$313.88</b>		<b>\$282.55</b>
<b>*** CLEARING TRANSACTIONS TOTAL ***</b>				<b>\$-294,779.81</b>	<b>\$5,709.91</b>	<b>\$390.00</b>	<b>\$5,319.91</b>		<b>\$4,787.98</b>

COMMISSION STATEMENT for KRIS LLOYD-D039

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS TRANSACTIONSBROKER: #0

11/30/2018	:	BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
11/30/2018	:	CUSTOMER WRITE OFF 461292833		0.00	0.00	0.00	0.00		-25.00
11/30/2018	:	CUSTOMER WRITE OFF 183659172		0.00	0.00	0.00	0.00		-11.98
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
* SUBTOTAL *				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-221.98</u>
*** ADJUSTMENTS TRANSACTIONS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-221.98</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$4,787.98
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-221.98
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$4,566.00
Year-to-date Commissions	\$56,737.03