

# COMMISSION STATEMENT

August 15, 2018

RANDY SMITH-D061  
 9000 Highway 2147 West  
 Suite 201  
 Horseshoe Bay, TX 78657

BROKER #: D061  
 BRANCH: DMA

## COMMISSION STATEMENT for RANDY SMITH-D061

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>									
07/20/2018 (None)	GARTIN, ROBERT	MF OPPENHEIMER	B	200.00	6.00	0.00	6.00	50.0	3.00
07/25/2018 000005870019840	CAROL	MF TEMP GLOBAL SM CO FND - CL A	B	30.00	1.50	0.00	1.50	50.0	0.75
08/10/2018 000015815515075	STRATHDEE,	MF FRANKLIN RISING DIVIDENDS FD	B	245.00	12.25	0.00	12.25	50.0	6.13
08/10/2018 000060177858580	STRATHDEE,	MF FRANKLIN GROWTH FUND CLASS A	B	350.00	17.45	0.00	17.45	50.0	8.73
08/03/2018 00068681036	MURPHY, DEBORAH	MF THE NEW ECONOMY FUND-A	B	75.00	3.19	0.00	3.19	50.0	1.60
08/03/2018 00068681036	MURPHY, DEBORAH	MF WASHINGTON MUTUAL INVESTORS	B	75.00	3.19	0.00	3.19	50.0	1.60
07/30/2018 00069215720	PAUL J COLLAS	MF NEW PERSPECTIVE FUND-A	B	106,830.82	1,709.29	0.00	1,709.29	50.0	854.65
07/30/2018 00069215720	PAUL J COLLAS	MF NEW PERSPECTIVE FUND-C	B	-106,830.82	-1,068.31	0.00	-1,068.31	50.0	-534.16
07/30/2018 00069215720	PAUL J COLLAS	MF NEW PERSPECTIVE FUND-C	B	106,830.82	1,068.31	0.00	1,068.31	50.0	534.16
07/30/2018 00086507215	TRAPP, ANDREA	MF AMERICAN BALANCED FUND-A	B	100.00	3.75	0.00	3.75	50.0	1.88
08/02/2018 04000555975	HARDIN/BENE,	MF AMERICAN BALANCED FUND-A	B	33,012.01	1,237.95	0.00	1,237.95	50.0	618.98
08/01/2018 04000879126	FOVAL, DOUGLAS	MF AMERICAN BALANCED FUND-A	B	921.57	39.17	0.00	39.17	50.0	19.59
08/01/2018 04000879126	FOVAL, DOUGLAS	MF THE NEW ECONOMY FUND-A	B	1,000.00	42.50	0.00	42.50	50.0	21.25
<b>* MUTUAL FUNDS SUBTOTAL *</b>				<b>\$142,839.40</b>	<b>\$3,076.24</b>	<b>\$0.00</b>	<b>\$3,076.24</b>		<b>\$1,538.16</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>									
07/31/2018 009062915A	BROWN, SARAH	VA PERSPECTIVE	B	124,774.09	25.99	0.00	25.99	50.0	13.00
07/31/2018 1009661472	BAHAN, MARGARET	VA PERSPECTIVE II	B	129,347.80	80.84	0.00	80.84	50.0	40.42
07/31/2018 1009737665	BARICKMAN,	VA PERSPECTIVE II	B	108,960.10	68.10	0.00	68.10	50.0	34.05
07/31/2018 1013950608	BURNETT, PATRICIA	VA PERSP II 09/12	B	1,201,446.40	1,001.21	0.00	1,001.21	50.0	500.61
07/31/2018 1015646752	DORER, VALORIE	VA PERSP II 04/14	B	69,161.53	57.63	0.00	57.63	50.0	28.82
07/31/2018 1015845666	HOGAN, REBECCA	VA PERSP II 04/14	B	62,049.40	51.71	0.00	51.71	50.0	25.86
07/31/2018 1016104708	SCHROEDER, RICHARD	VA PERSP II 04/14	B	255,414.71	212.85	0.00	212.85	50.0	106.43
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>				<b>\$1,951,154.03</b>	<b>\$1,498.33</b>	<b>\$0.00</b>	<b>\$1,498.33</b>		<b>\$749.19</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
07/31/2018 000000000326532	YARTER,	MFT FRANKLIN/TEMPLETON FUNDS	B	0.00	9.24	0.00	9.24	50.0	4.62
07/31/2018 000000008958389	STRATHDEE,	MFT MUTUAL DISC FND - CL A	B	0.00	0.95	0.00	0.95	50.0	0.48
07/31/2018 000002974467708	MICHAEL E	MFT TEMP WORLD FND - CL A	B	0.00	118.91	0.00	118.91	50.0	59.46
07/31/2018 000005870019840	CAROL	MFT TEMP GLOBAL SM CO FND - CL A	B	0.00	0.12	0.00	0.12	50.0	0.06
07/31/2018 000011626028806	CURTNER,	MFT FRANKLIN FEDERAL TAX FREE	B	0.00	2.50	0.00	2.50	50.0	1.25
07/31/2018 000015815445354	YARTER,	MFT FRANKLIN RISING DIVIDENDS FD	B	0.00	11.29	0.00	11.29	50.0	5.65

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07/31/2018 000015815515075	STRATHDEE,	MFT FRANKLIN RISING DIVIDENDS FD	B	0.00	2.31	0.00	2.31	50.0	1.16
07/31/2018 000050116638666	CURTNER,	MFT FRK AGE HIGH INC FND - CL A	B	0.00	6.33	0.00	6.33	50.0	3.17
07/31/2018 000060177793581	YARTER,	MFT FRANKLIN GROWTH FUND CLASS A	B	0.00	12.57	0.00	12.57	50.0	6.29
07/31/2018 000060177858580	STRATHDEE,	MFT FRANKLIN GROWTH FUND CLASS A	B	0.00	3.31	0.00	3.31	50.0	1.66
07/31/2018 000090233306771	MEYER, RONALD	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	104.87	0.00	104.87	50.0	52.44
07/31/2018 000090234387467	MARTINEZ,	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	8.12	0.00	8.12	50.0	4.06
07/31/2018 000090239380885	YARTER,	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	6.13	0.00	6.13	50.0	3.07
08/07/2018 07001935736	CHAPTER,	MFT FEDERATED GOVT INCOME SECS, INC	B	0.00	21.54	0.00	21.54	50.0	10.77
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$308.19</b>	<b>\$0.00</b>	<b>\$308.19</b>		<b>\$154.14</b>

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

07/11/2018 (None)	VARIOUS, RANDY SMITH	VAT TRANSAMERICA PREMIER	B	0.00	100.88	0.00	100.88	50.0	50.44
07/28/2018 (None)	BURNETT, PATRICIA	VAT AMERICAN GENERAL	B	0.00	480.27	0.00	480.27	50.0	240.14
07/28/2018 (None)	GILLHAM (BENE), BRENDA	VAT TRANSAMERICA PREMIER	B	0.00	133.46	0.00	133.46	50.0	66.73
08/03/2018 (None)	HERAS, JUANITA	VAT MANULIFE	B	0.00	2.75	0.00	2.75	50.0	1.38
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$717.36</b>	<b>\$0.00</b>	<b>\$717.36</b>		<b>\$358.69</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>				<b>\$2,093,993.43</b>	<b>\$5,600.12</b>	<b>\$0.00</b>	<b>\$5,600.12</b>		<b>\$2,800.18</b>

SPLIT TRANSACTIONSBROKER: RIX/RANDY SMITH/SMITH-D081 #80

08/07/2018 00073969963	SMITH, RONALD	MF NEW PERSPECTIVE FUND-A	B	4,806.58	48.06	0.00	48.06		24.03
<b>* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *</b>				<b>\$4,806.58</b>	<b>\$48.06</b>	<b>\$0.00</b>	<b>\$48.06</b>		<b>\$24.03</b>
<b>*** SPLIT TRANSACTIONS TOTAL ***</b>				<b>\$4,806.58</b>	<b>\$48.06</b>	<b>\$0.00</b>	<b>\$48.06</b>		<b>\$24.03</b>

LINKED DIRECT TRANSACTIONSBROKER: RANDY SMITH-D601 #66

08/01/2018 08190128650	JOHN J FINN JR	MF MFS MID CAP GROWTH FUND-C	B	50.00	0.50	0.00	0.50		0.10
07/27/2018 08190129110	PEYTON O LEBLANC,	MF MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50		0.10
07/27/2018 08190129112	SARA E CANCIENNE,	MF MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50		0.10
07/27/2018 08190129113	LILLY M SUTTON	MF MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50		0.10
07/27/2018 08191029111	PRESLIE G LEBLANC	MF MFS GROWTH FUND-C	B	100.00	1.00	0.00	1.00		0.20
07/27/2018 08191270658	BEAU OUTLAW, JOHN	MF MFS GROWTH FUND-C	B	50.00	0.50	0.00	0.50		0.10
<b>* RANDY SMITH-D601 SUBTOTAL *</b>				<b>\$350.00</b>	<b>\$3.50</b>	<b>\$0.00</b>	<b>\$3.50</b>		<b>\$0.70</b>
<b>*** LINKED DIRECT TRANSACTIONS TOTAL ***</b>				<b>\$350.00</b>	<b>\$3.50</b>	<b>\$0.00</b>	<b>\$3.50</b>		<b>\$0.70</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$2,800.88
Split Transactions	\$24.03
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

<b>Net Commissions</b>	<b>\$2,824.91</b>
<b>Year-to-date Commissions</b>	<b>\$58,095.82</b>