

# COMMISSION STATEMENT

November 15, 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	
DIRECT TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
11/05/2018	0000000012992741	GIPSON, DEBRA MF	FRANKLIN INCOME FUND CLASS C	B	570.00	5.70	0.00	5.70	90.0	5.13
11/01/2018	00068087475	PULLIAM, RYAN MF	THE NEW ECONOMY FUND-529C	B	100.00	1.00	0.00	1.00	90.0	0.90
11/01/2018	00068087476	PULLIAM, RYAN MF	AMERICAN BALANCED FUND-529C	B	250.00	2.50	0.00	2.50	90.0	2.25
11/01/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
11/01/2018	00068424625	GOWAN, MARY MF	AMERICAN BALANCED FUND-C	B	20.00	0.20	0.00	0.20	90.0	0.18
11/01/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	101.00	1.01	0.00	1.01	90.0	0.91
11/01/2018	00074694907	REYNOLDS, BETHANY MF	AMERICAN BALANCED FUND-C	B	101.00	1.01	0.00	1.01	90.0	0.91
10/30/2018	00075317599	COPELAND, SUSAN MF	AMERICAN BALANCED FUND-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
10/30/2018	00075317599	COPELAND, SUSAN MF	FUNDAMENTAL INVESTORS-529A	B	50.00	1.00	0.00	1.00	90.0	0.90
10/30/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	38.68	0.77	0.00	0.77	90.0	0.69
10/30/2018	00081948467	EVANS, LULA MF	AMERICAN BALANCED FUND-A	B	103.16	2.06	0.00	2.06	90.0	1.85
10/30/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	6.83	0.14	0.00	0.14	90.0	0.13
10/30/2018	00081948467	EVANS, LULA MF	THE INCOME FUND OF AMERICA-A	B	18.20	0.36	0.00	0.36	90.0	0.32
10/30/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	28.12	0.56	0.00	0.56	90.0	0.50
10/30/2018	00081948520	WRIGHT, SHELIA MF	CAPITAL WORLD GROWTH AND INCOME	B	28.13	0.56	0.00	0.56	90.0	0.50
10/30/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	28.13	0.56	0.00	0.56	90.0	0.50
10/30/2018	00081948520	WRIGHT, SHELIA MF	THE GROWTH FUND OF AMERICA-A	B	28.12	0.56	0.00	0.56	90.0	0.50
10/30/2018	00081948549	HINDS, MICHAEL MF	AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
10/30/2018	00081948549	HINDS, MICHAEL MF	AMERICAN BALANCED FUND-A	B	51.00	1.02	0.00	1.02	90.0	0.92
10/30/2018	00081948549	HINDS, MICHAEL MF	AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
10/30/2018	00081948549	HINDS, MICHAEL MF	AMERICAN HIGH-INCOME TRUST-A	B	49.50	0.99	0.00	0.99	90.0	0.89
10/30/2018	00081948549	HINDS, MICHAEL MF	U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
10/30/2018	00081948549	HINDS, MICHAEL MF	U.S. GOVERNMENT SECURITIES FUND	B	49.50	0.99	0.00	0.99	90.0	0.89
10/30/2018	00081948685	SHELTON, LAURA MF	FUNDAMENTAL INVESTORS-A	B	11.57	0.23	0.00	0.23	90.0	0.21
10/30/2018	00081948685	SHELTON, LAURA MF	FUNDAMENTAL INVESTORS-A	B	11.56	0.23	0.00	0.23	90.0	0.21
10/30/2018	00081948685	SHELTON, LAURA MF	NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
10/30/2018	00081948685	SHELTON, LAURA MF	NEW PERSPECTIVE FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
10/30/2018	00081948685	SHELTON, LAURA MF	NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
10/30/2018	00081948685	SHELTON, LAURA MF	NEW WORLD FUND-A	B	11.56	0.23	0.00	0.23	90.0	0.21
10/30/2018	00081948685	SHELTON, LAURA MF	THE GROWTH FUND OF AMERICA-A	B	11.57	0.23	0.00	0.23	90.0	0.21
10/30/2018	00081948685	SHELTON, LAURA MF	THE GROWTH FUND OF AMERICA-A	B	11.56	0.23	0.00	0.23	90.0	0.21

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
10/30/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	29.81	0.30	0.00	0.30	90.0	0.27
10/30/2018 00087734807	JARRED, GINA	MF AMERICAN BALANCED FUND-C	B	99.38	0.99	0.00	0.99	90.0	0.89
10/30/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	41.51	0.42	0.00	0.42	90.0	0.38
10/30/2018 00087734863	WHITE, PEGGY	MF AMERICAN BALANCED FUND-C	B	41.51	0.42	0.00	0.42	90.0	0.38
10/30/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	31.53	0.32	0.00	0.32	90.0	0.29
10/30/2018 00089597043	MCINTOSH, GINA	MF GROWTH PORTFOLIO-C	B	31.53	0.32	0.00	0.32	90.0	0.29
10/30/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	9.43	0.09	0.00	0.09	90.0	0.08
10/30/2018 00089696651	ALEXANDER,	MF CAPITAL INCOME BUILDER CLASS C	B	15.71	0.16	0.00	0.16	90.0	0.14
10/30/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	10.99	0.11	0.00	0.11	90.0	0.10
10/30/2018 00089696651	ALEXANDER,	MF INVESTMENT COMPANY OF AMERICA	B	18.32	0.18	0.00	0.18	90.0	0.16
10/30/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	11.00	0.11	0.00	0.11	90.0	0.10
10/30/2018 00089696651	ALEXANDER,	MF THE GROWTH FUND OF AMERICA-C	B	18.33	0.18	0.00	0.18	90.0	0.16
10/30/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
10/30/2018 00089696666	STOOKSBERRY,	MF AMERICAN BALANCED FUND-C	B	82.50	0.83	0.00	0.83	90.0	0.75
10/30/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	49.57	0.50	0.00	0.50	90.0	0.45
10/30/2018 00089696672	LAMB, TERESA	MF AMERICAN BALANCED FUND-C	B	82.62	0.83	0.00	0.83	90.0	0.75
10/30/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	36.55	0.37	0.00	0.37	90.0	0.33
10/30/2018 00089788987	GARGUS, LORI	MF AMERICAN BALANCED FUND-C	B	36.55	0.37	0.00	0.37	90.0	0.33
10/30/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	33.47	0.33	0.00	0.33	90.0	0.30
10/30/2018 00089980324	SMITH, TRISHA	MF AMERICAN BALANCED FUND-C	B	33.47	0.33	0.00	0.33	90.0	0.30
10/30/2018 04000412607	HUFFSTETTLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
10/30/2018 04000412607	HUFFSTETTLER,	MF AMERICAN BALANCED FUND-C	B	90.00	0.90	0.00	0.90	90.0	0.81
* MUTUAL FUNDS SUBTOTAL *				\$2,910.15	\$36.82	\$0.00	\$36.82		\$33.15

PRODUCT CATEGORY: VARIABLE ANNUITIES

10/31/2018 1011849420	JACKMAN, JENNIFER	VA PERSP L 08/11	B	66,683.03	55.57	0.00	55.57	90.0	50.01
10/31/2018 1011852102	JACKMAN, JENNIFER	VA ELITE ACCESS L	B	21,405.63	17.84	0.00	17.84	90.0	16.06
10/31/2018 1012316590	AVILA PENSION	VA PERSP L 08/11	B	533,349.52	444.46	0.00	444.46	90.0	400.01
10/31/2018 1014122890	LAMBERT, RONALD	VA PERSP L 08/11	B	86,186.98	71.82	0.00	71.82	90.0	64.64
10/31/2018 1014231907	UTLEY, MARTHA	VA PERSP L 08/11	B	286,162.53	238.47	0.00	238.47	90.0	214.62
10/31/2018 1015402721	LEFORGE, JUDY	VA PERSP L 08/11	B	41,325.83	34.44	0.00	34.44	90.0	31.00
10/31/2018 1015649484	WINTER, DONALD	VA PERSP L 08/11	B	75,417.39	62.85	0.00	62.85	90.0	56.57
10/31/2018 1015919945	NAVEL, FRIEDA	VA PERSP L 08/11	B	35,692.97	29.74	0.00	29.74	90.0	26.77
10/31/2018 1016060638	WILLIAMS, WILLIAM	VA ELITE ACCESS	B	62,441.65	52.03	0.00	52.03	90.0	46.83
10/31/2018 1016060646	WILLIAMS, WILLIAM	VA ELITE ACCESS	B	97,605.07	81.34	0.00	81.34	90.0	73.21
10/31/2018 1016060760	WILLIAMS, GLYNDA	VA ELITE ACCESS	B	6,380.73	5.32	0.00	5.32	90.0	4.79
10/31/2018 1016122048	WOODS, WILLIAM	VA PERSP L 08/11	B	117,317.02	97.76	0.00	97.76	90.0	87.98
10/31/2018 1016747269	BREEDEN TATE, MARY	VA ELITE ACCESS L	B	82,913.87	69.09	0.00	69.09	90.0	62.18
10/31/2018 1016835974	HOLLIDAY, REBECCA	VA ELITE ACCESS L	B	13,317.32	11.10	0.00	11.10	90.0	9.99
10/31/2018 1016922273	WILLIAMS, BRYAN	VA ELITE ACCESS L	B	12,202.36	10.17	0.00	10.17	90.0	9.15
10/31/2018 1017566284	WOODS, WILLIAM	VA ELITE ACCESS L	B	44,490.79	37.08	0.00	37.08	90.0	33.37
10/31/2018 1018403044	WILLIAMS, CLAYTON	VA ELITE ACCESS L	B	9,396.65	7.83	0.00	7.83	90.0	7.05
10/31/2018 1018603060	MILTON, MARY	VA PERSP L 08/11	B	128,334.16	106.95	0.00	106.95	90.0	96.26
10/31/2018 1018757199	STANBERY, DALLAS	VA PERSP L 08/11	B	157,092.76	130.91	0.00	130.91	90.0	117.82

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* VARIABLE ANNUITIES SUBTOTAL *				\$1,877,716.26	\$1,564.77	\$0.00	\$1,564.77		\$1,408.31
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
10/31/2018	0000000000000873	WOODS, SAMUEL MFT FRK LIFESMART 2045 RTMT TARGET	B	0.00	137.66	0.00	137.66	90.0	123.89
10/31/2018	0000000000005052	RIGGINS, MFT FRK LIFESMART 2040 RTMT TARGET	B	0.00	4.54	0.00	4.54	90.0	4.09
10/31/2018	0000000000010330	PATRICK, CHAD MFT FRANKLIN MUTUAL INTERNATIONAL	B	0.00	24.53	0.00	24.53	90.0	22.08
10/31/2018	0000000000016220	SEELY, CARL MFT FRANKLIN NATURAL RESOURCES FND	B	0.00	14.64	0.00	14.64	90.0	13.18
10/31/2018	0000000000040408	CARTER, MFT FRANKLIN BALANCED FUND - CLASS	B	0.00	2.40	0.00	2.40	90.0	2.16
10/31/2018	0000000000040422	VAUGHN, JOYCE MFT FRANKLIN BALANCED FUND - CLASS	B	0.00	1.12	0.00	1.12	90.0	1.01
10/31/2018	0000000000054433	WOODS, SAMUEL MFT FRK LIFESMART 2045 RTMT TARGET	B	0.00	0.46	0.00	0.46	90.0	0.41
10/31/2018	0000000000055638	PATRICK, CHAD MFT FRANKLIN BALANCED FUND - CLASS	B	0.00	80.23	0.00	80.23	90.0	72.21
10/31/2018	0000000000069409	SEELY, CARL MFT TEMPLETON CHINA WORLD FUND -	B	0.00	25.71	0.00	25.71	90.0	23.14
10/31/2018	00000000000227710	THOMAS, MFT FRANKLIN MODERATE ALLOCATION	B	0.00	35.36	0.00	35.36	90.0	31.82
10/31/2018	00000000000234854	BRYAN K MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	1.61	0.00	1.61	90.0	1.45
10/31/2018	00000000000261014	BLANCHARD, MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	23.63	0.00	23.63	90.0	21.27
10/31/2018	00000000000273019	SEELY, LINDA MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	110.89	0.00	110.89	90.0	99.80
10/31/2018	00000000000277184	PATRICK, CHAD MFT TEMPLETON CHINA WORLD FUND -	B	0.00	24.22	0.00	24.22	90.0	21.80
10/31/2018	00000000000290926	PRIESTER, MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	18.87	0.00	18.87	90.0	16.98
10/31/2018	00000000000407926	BIBB, LESLEE MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	25.27	0.00	25.27	90.0	22.74
10/31/2018	00000000000484307	RIGGINS, MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	4.62	0.00	4.62	90.0	4.16
10/31/2018	00000000000499879	DIXON, KYLE MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	0.00	0.00	0.00	90.0	0.00
10/31/2018	00000000000519215	CRISMON-LEGG, MFT FRANKLIN MODERATE ALLOCATION	B	0.00	4.77	0.00	4.77	90.0	4.29
10/31/2018	00000000000641617	MARIE, GENA MFT FRK DYNATECH FND - CL C	B	0.00	84.68	0.00	84.68	90.0	76.21
10/31/2018	00000000000667600	GRIGGS, MFT FRANKLIN UTILITIES FUND - CLASS	B	0.00	6.00	0.00	6.00	90.0	5.40
10/31/2018	00000000000759098	SEELY, LINDA MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	4.33	0.00	4.33	90.0	3.90
10/31/2018	00000000000763894	BRYAN K MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	0.06	0.00	0.06	90.0	0.05
10/31/2018	00000000000765661	PRIESTER, MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	0.74	0.00	0.74	90.0	0.67
10/31/2018	00000000000771954	BLANCHARD, MFT FRANKLIN GROWTH ALLOCATION FUND	B	0.00	0.92	0.00	0.92	90.0	0.83
10/31/2018	00000000000931220	THOMAS, MFT FRANKLIN MODERATE ALLOCATION	B	0.00	0.05	0.00	0.05	90.0	0.05
10/31/2018	00000000000963987	SEELY, CARL MFT TEMPLETON CHINA WORLD FUND -	B	0.00	0.85	0.00	0.85	90.0	0.77
10/31/2018	0000000001124015	PATRICK, CHAD MFT MUTUAL QUAL FND - CL C	B	0.00	28.44	0.00	28.44	90.0	25.60
10/31/2018	0000000001472695	BLANCHARD, MFT TEMPLETON DEV MRKTS TR FUND -	B	0.00	25.61	0.00	25.61	90.0	23.05
10/31/2018	0000000001540196	RIGGINS, MFT FRANKLIN GROWTH FUND - CLASS C	B	0.00	10.52	0.00	10.52	90.0	9.47
10/31/2018	0000000003822855	PATRICK, CHAD MFT MUTUAL SHRS FND - CL C	B	0.00	121.26	0.00	121.26	90.0	109.13
10/31/2018	0000000008284984	BLANCHARD, MFT TEMP DEV MRKTS TR FND - CL A	B	0.00	0.97	0.00	0.97	90.0	0.87
10/31/2018	0000000011343720	LIPSHIE, ADAM MFT FRANKLIN INCOME FUND CLASS C	B	0.00	1.77	0.00	1.77	90.0	1.59
10/31/2018	0000000012894515	COWAN, MARY MFT FRANKLIN INCOME FUND CLASS C	B	0.00	11.99	0.00	11.99	90.0	10.79
10/31/2018	0000000012992691	DIXON, LORI MFT FRANKLIN INCOME FUND CLASS C	B	0.00	0.03	0.00	0.03	90.0	0.03
10/31/2018	0000000012992741	GIPSON, DEBRA MFT FRANKLIN INCOME FUND CLASS C	B	0.00	0.01	0.00	0.01	90.0	0.01
10/31/2018	000020312457476	SEELY, CARL MFT FRK NATURAL RES FND - CL A	B	0.00	0.47	0.00	0.47	90.0	0.42
10/31/2018	000080193480920	MARIE, GENA MFT FRANKLIN DYNATECH FUND CLASS A	B	0.00	3.16	0.00	3.16	90.0	2.84
11/07/2018	01486461963	GRIGGS, SHERRY MFT FIDELITY ADVISOR HEALTH CARE FD	B	0.00	4.09	0.00	4.09	90.0	3.68
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$846.48	\$0.00	\$846.48		\$761.84

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>									
10/30/2018 (None)	WILLIAMS, LINDA	VAT DELAWARE LIFE	B	0.00	17.36	0.00	17.36	90.0	15.62
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$17.36</b>	<b>\$0.00</b>	<b>\$17.36</b>		<b>\$15.62</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>				<b>\$1,880,626.41</b>	<b>\$2,465.43</b>	<b>\$0.00</b>	<b>\$2,465.43</b>		<b>\$2,218.92</b>

BROKER COMMISSION TOTALS

Broker Transactions	\$2,218.92
Split Transactions	\$0.00
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>\$2,218.92</b>
<b>Year-to-date Commissions</b>	<b>\$52,243.78</b>