

COMMISSION STATEMENT
October 15, 2018

RIX/RANDY SMITH/SMITH-D081

BROKER #: D081
BRANCH: DMA

, TX

COMMISSION STATEMENT for RIX/RANDY SMITH/SMITH-D081

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

DIRECT TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

| | | | | | | | | | | | |
|------------|-------------|---------------|----|------------------------|---|--|-------------------|---------------|---------------|-------|---------------|
| 10/05/2018 | 00073969963 | SMITH, RONALD | MF | NEW PERSPECTIVE FUND-A | B | 9,638.38 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| | | | | | | * MUTUAL FUNDS SUBTOTAL * | \$9,638.38 | \$0.00 | \$0.00 | | \$0.00 |
| | | | | | | *** DIRECT TRANSACTIONS TOTAL *** | \$9,638.38 | \$0.00 | \$0.00 | | \$0.00 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|--------|
| Broker Transactions | \$0.00 |
| 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 |

| | |
|---------------------------------|---------------|
| Net Commissions | \$0.00 |
| Year-to-date Commissions | \$0.00 |