

# COMMISSION STATEMENT

October 31, 2018

**RIX SMITH-D063**

 9000 Highway 2147 West  
 Suite 201  
 Horseshoe Bay, TX 78657

**BROKER #: D063**

BRANCH: DMA

**COMMISSION STATEMENT for RIX SMITH-D063**

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
CLEARING TRANSACTIONS									
PRODUCT CATEGORY: STOCKS									
10/19/2018 523789058	NEBGEN (TOD),	S AT&T INC	B	13,282.25	125.00	15.00	110.00	48.0	52.80
10/29/2018 676349914	SMITH TTEE, RIX	S BED BATH & BEYOND INC	S	-2,748.53	15.00	15.00	0.00	48.0	0.00
10/29/2018 676349914	SMITH TTEE, RIX	S KINDER MORGAN INC	B	3,361.17	15.00	15.00	0.00	48.0	0.00
10/29/2018 676349914	SMITH TTEE, RIX	S NEWELL BRANDS, INC FORMERLY	S	-1,559.63	15.00	15.00	0.00	48.0	0.00
10/29/2018 677667475	VARGA, STEVEN	S AT&T INC	B	3,027.31	20.00	15.00	5.00	48.0	2.40
10/29/2018 677667475	VARGA, STEVEN	S WEYERHAEUSER COMPANY	B	2,733.85	20.00	15.00	5.00	48.0	2.40
* STOCKS SUBTOTAL *				\$18,096.42	\$210.00	\$90.00	\$120.00		\$57.60
PRODUCT CATEGORY: BONDS									
10/04/2018 677238568	SCHNEIDER, LAURA	B LA PORTE TX INDEP SCH DIST REF	B	35,159.95	175.00	15.00	160.00	48.0	76.80
* BONDS SUBTOTAL *				\$35,159.95	\$175.00	\$15.00	\$160.00		\$76.80
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
10/19/2018 mfc595454	SMITH RIX 595454	MFT DEVELOPING WORLD GROWTH &	B	0.00	0.96	0.00	0.96	48.0	0.46
10/19/2018 mfc595454	SMITH RIX 595454	MFT LORD ABBETT SHORT DURATION	B	0.00	2.98	0.00	2.98	48.0	1.43
10/19/2018 mfc595454	SMITH RIX 595454	MFT TEMP FRGN FND - CL A	B	0.00	3.33	0.00	3.33	48.0	1.60
10/19/2018 mfc595454	SMITH RIX 595454	MFT THE INCOME FUND OF AMERICA-A	B	0.00	6.21	0.00	6.21	48.0	2.98
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$13.48	\$0.00	\$13.48		\$6.47
*** CLEARING TRANSACTIONS TOTAL ***				\$53,256.37	\$398.48	\$105.00	\$293.48		\$140.87

**SPLIT TRANSACTIONS**
**BROKER: RIX/RANDY SMITH/SMITH-D081 #80**

10/02/2018	676365887	SMITH, RANDALL	S	KIMCO REALTY CORP COM STK_(MD)	B	4,887.70	17.50	7.50	10.00		4.80
10/02/2018	676365887	SMITH, RANDALL	S	MEDICAL PROPERTIES TRUST INC	B	7,326.23	17.50	7.50	10.00		4.80
10/02/2018	676365887	SMITH, RANDALL	S	ROYAL DUTCH SHELL PLC-SPON ADR	B	9,983.73	17.50	7.50	10.00		4.80
10/02/2018	676365887	SMITH, RANDALL	S	WP CAREY INC	B	7,959.98	17.50	7.50	10.00		4.80
10/01/2018	676346300	SMITH TTEE, RONALD	B	CORPUS CHRISTI TX UTILITY SYSR	B	12,375.28	93.75	7.50	86.25		41.40
10/04/2018	676346300	SMITH TTEE, RONALD	B	LA PORTE TX INDEP SCH DIST REF	B	12,557.48	62.50	7.50	55.00		26.40
10/09/2018	492642424	MCELROY TTEE, LETHA	CD	DISCOVER BK GREENWOOD DE	B	25,000.00	67.50	10.00	57.50		27.60
10/19/2018	mfc913901	SMITH 913901		MFT CAPITAL INCOME BUILDER-A	B	0.00	3.22	0.00	3.22		1.55

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10/19/2018	mfc913901 SMITH 913901	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	3.92	0.00	3.92		1.88
10/19/2018	mfc913901 SMITH 913901	MFT FUNDAMENTAL INVESTORS-A	B	0.00	6.00	0.00	6.00		2.88
10/19/2018	mfc913901 SMITH 913901	MFT GLOBAL BALANCED FUND-A	B	0.00	8.46	0.00	8.46		4.06
10/19/2018	mfc913901 SMITH 913901	MFT INTERNATIONAL GROWTH AND	B	0.00	8.57	0.00	8.57		4.11
10/19/2018	mfc913901 SMITH 913901	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.60	0.00	1.60		0.77
* RIX/RANDY SMITH/SMITH-D081 SUBTOTAL *				\$80,090.40	\$325.52	\$55.00	\$270.52		\$129.85
*** SPLIT TRANSACTIONS TOTAL ***				\$80,090.40	\$325.52	\$55.00	\$270.52		\$129.85

ADJUSTMENTS TRANSACTIONS

BROKER: #0

10/31/2018		: MONEY MARKET TRAILS		0.00	0.00	0.00	0.00		716.24
* SUBTOTAL *				\$0.00	\$0.00	\$0.00	\$0.00		\$716.24
*** ADJUSTMENTS TRANSACTIONS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$716.24

BROKER COMMISSION TOTALS

Broker Transactions	\$140.87
Split Transactions	\$129.85
Override Transactions	\$0.00
Adjustments	\$716.24
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$986.96
Year-to-date Commissions	\$16,772.89