



COMMISSION STATEMENT

November 26, 2018

RICHARD SOWERS
2451 McMullen Booth Road
Suite 263
Clearwater, FL 33759

BROKER #: 71
BRANCH #01002 - 02 - SOWERS

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 11/07/2018 | ***-**-3221 - PITTM, BARB | ALLIANCEBERNSTEIN GROWTH AND INC A | 100.00 | 4.00 | 0.00 | 4.00 | 90.0 | 3.60 |
| | ACCOUNT #: 00940010050 | BUY 16 Units @6.3900 | | | | | | |
| 11/21/2018 | ***-**-60IO - BLACK, JENNIFER | HARBOR INTERNATIONAL - INST | 9,773.30 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| | ACCOUNT #: LSH000019 | SELL 170 Units @57.4900 | | | | | | |
| 11/16/2018 | ***-**-6540 - STOUT, LOUISE | THE NEW ECONOMY FUND-C | 5,020.98 | 18.00 | 18.00 | 0.00 | 90.0 | 0.00 |
| | ACCOUNT #: LSR011072 | SELL 125 Units @40.2800 | | | | | | |
| 11/21/2018 | ***-**-60IO - BLACK, JENNIFER | WCM FOCUSED INTL GROWTH FUND | 9,322.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| | ACCOUNT #: LSH000019 | BUY 625 Units @14.9200 | | | | | | |
| * MUTUAL FUNDS SUBTOTAL * | | | \$24,216.28 | \$22.00 | \$18.00 | \$4.00 | | \$3.60 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 11/14/2018 | ***-**-46IN - HANOS, MATTHEW | ALL VALUE FUND CLASS A | 0.00 | 7.80 | 0.00 | 7.80 | 90.0 | 7.02 |
| | ACCOUNT #: 02400048142 | BUY 0 Units @0.0000 | | | | | | |
| 11/14/2018 | ***-**-11UG - DI BENEDETTO, | BOND-DEBENTURE FUND CLASS A | 0.00 | 0.05 | 0.00 | 0.05 | 90.0 | 0.05 |
| | ACCOUNT #: 04000774846 | BUY 0 Units @0.0000 | | | | | | |
| 11/02/2018 | ***-**-254J - OTHGUY, JUAN & | CALVERT ULTRA SHORT INCOME - A | 0.00 | 3.05 | 0.00 | 3.05 | 90.0 | 2.75 |
| | ACCOUNT #: 00004910394 | BUY 0 Units @0.0000 | | | | | | |
| 11/14/2018 | ***-**-42IN - TO DST TOD | GROWTH OPPORTUNITIES A | 0.00 | 4.09 | 0.00 | 4.09 | 90.0 | 3.68 |
| | ACCOUNT #: 02400037468 | BUY 0 Units @0.0000 | | | | | | |
| 11/14/2018 | ***-**-46IN - HANOS, MATTHEW | GROWTH OPPORTUNITIES A | 0.00 | 8.23 | 0.00 | 8.23 | 90.0 | 7.41 |
| | ACCOUNT #: 02400048142 | BUY 0 Units @0.0000 | | | | | | |
| 11/14/2018 | ***-**-7742 - WILLIAMS, BETTY | GROWTH OPPORTUNITIES A | 0.00 | 3.66 | 0.00 | 3.66 | 90.0 | 3.29 |
| | ACCOUNT #: 04002427568 | BUY 0 Units @0.0000 | | | | | | |
| 11/14/2018 | ***-**-6178 - WILLIAMS, PHIL | LORD ABBETT AFFILIATED FUND CLASS A | 0.00 | 1.84 | 0.00 | 1.84 | 90.0 | 1.66 |
| | ACCOUNT #: 04002393863 | BUY 0 Units @0.0000 | | | | | | |
| 11/14/2018 | ***-**-6526 - BAKER, ANTHONY | LORD ABBETT AFFILIATED FUND CLASS A | 0.00 | 0.07 | 0.00 | 0.07 | 90.0 | 0.06 |
| | ACCOUNT #: 04002420894 | BUY 0 Units @0.0000 | | | | | | |
| 11/14/2018 | ***-**-1147 - LOPEZ, JOSE | LORD ABBETT AFFILIATED FUND CLASS A | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.68 |
| | ACCOUNT #: 04002424178 | BUY 0 Units @0.0000 | | | | | | |
| 11/14/2018 | ***-**-89IN - STRAUSS, RITA | LORD ABBETT MULTI ASSET GROWTH A | 0.00 | 0.21 | 0.00 | 0.21 | 90.0 | 0.19 |
| | ACCOUNT #: 04000546860 | BUY 0 Units @0.0000 | | | | | | |
| 11/26/2018 | ***-**-82RI - MORGAN, BOBETTE | SAMMONS MF TRAILS | 0.00 | 58.00 | 0.00 | 58.00 | 90.0 | 52.20 |
| | ACCOUNT #: 7200009544 | BUY 0 Units @0.0000 | | | | | | |



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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 11/26/2018 | ***-**-282I - MILLS, BENNEY | SAMMONS MF TRAILS | 0.00 | 7.21 | 0.00 | 7.21 | 90.0 | 6.49 |
| | ACCOUNT #: 7200012025 | BUY 0 Units @0.0000 | | | | | | |
| 11/26/2018 | ***-**-594I - REGULSKI, SUSAN | SAMMONS MF TRAILS | 0.00 | 80.83 | 0.00 | 80.83 | 90.0 | 72.75 |
| | ACCOUNT #: 7200012141 | BUY 0 Units @0.0000 | | | | | | |
| 11/26/2018 | ***-**-721I - CRAFT, LOIS | SAMMONS MF TRAILS | 0.00 | 17.57 | 0.00 | 17.57 | 90.0 | 15.81 |
| | ACCOUNT #: 7200013710 | BUY 0 Units @0.0000 | | | | | | |
| 11/26/2018 | ***-**-7933 - PIERSON, KAREN | SAMMONS MF TRAILS | 0.00 | 47.28 | 0.00 | 47.28 | 90.0 | 42.55 |
| | ACCOUNT #: 7200024944 | BUY 0 Units @0.0000 | | | | | | |
| 11/26/2018 | ***-**-2700 - WELDON, CHARLTON | SAMMONS MF TRAILS | 0.00 | 3.22 | 0.00 | 3.22 | 90.0 | 2.90 |
| | ACCOUNT #: 7200043189 | BUY 0 Units @0.0000 | | | | | | |
| 11/26/2018 | ***-**-2700 - WELDON, CHARLTON | SAMMONS MF TRAILS | 0.00 | 3.21 | 0.00 | 3.21 | 90.0 | 2.89 |
| | ACCOUNT #: 7200043190 | BUY 0 Units @0.0000 | | | | | | |
| 11/14/2018 | ***-**-42IN - TO DST TOD | VALUE OPPORTUNITIES A | 0.00 | 4.02 | 0.00 | 4.02 | 90.0 | 3.62 |
| | ACCOUNT #: 02400037468 | BUY 0 Units @0.0000 | | | | | | |
| 11/14/2018 | ***-**-7742 - WILLIAMS, BETTY | VALUE OPPORTUNITIES A | 0.00 | 3.59 | 0.00 | 3.59 | 90.0 | 3.23 |
| | ACCOUNT #: 04002427568 | BUY 0 Units @0.0000 | | | | | | |
| 11/05/2018 | ***-**-2209 - LING, BENJAMIN | WELLS FGO AVTG ENTERPRISE FUND - A | 0.00 | 10.01 | 0.00 | 10.01 | 90.0 | 9.01 |
| | ACCOUNT #: 01006543750 | BUY 0 Units @0.0000 | | | | | | |
| | * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | \$0.00 | \$264.70 | \$0.00 | \$264.70 | | \$238.24 |
| | *** BROKER TRANSACTIONS TOTAL *** | | \$24,216.28 | \$286.70 | \$18.00 | \$268.70 | | \$241.84 |



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|-------------------------------------|--------|------------|----------------------|---------------------|--------------------|-----------------------|------|----------------------|
| <div>BROKER COMMISSION TOTALS</div> | | | | | | | | |
| | | | | | | Broker Transactions | | \$241.84 |
| | | | | | | 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 Commission Earned | | \$241.84 |
| | | | | | | Year-to-date Earnings | | \$47,374.21 |