

**COMMISSION STATEMENT**

July 31, 2018

**TOM BRISTER-D011**  
 32180 Inverness Drive

**BROKER #: D011**  
 BRANCH: DMD

Evergreen, CO 80439

**COMMISSION STATEMENT for TOM BRISTER-D011**

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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**CLEARING TRANSACTIONS**
**PRODUCT CATEGORY: STOCKS**

07/05/2018	154105444	BAKER, CLAUDE	S	COHEN & STEERS REIT AND	B	14,023.35	15.00	15.00	0.00	87.5	0.00
07/05/2018	154105444	BAKER, CLAUDE	S	COHEN & STEERS CLOSED-END	B	14,033.04	15.00	15.00	0.00	87.5	0.00
07/05/2018	154105444	BAKER, CLAUDE	S	MPLX L.P.	B	14,034.03	15.00	15.00	0.00	87.5	0.00
07/05/2018	154105444	BAKER, CLAUDE	S	NUVEEN CREDIT STRATEGIES INCOME	B	14,028.01	15.00	15.00	0.00	87.5	0.00
07/05/2018	154105444	BAKER, CLAUDE	S	SUNOCO LOGISTICS ETP	B	14,045.27	15.00	15.00	0.00	87.5	0.00
07/05/2018	154105444	BAKER, CLAUDE	S	TARGA RESOURCES CORP	B	13,965.36	15.00	15.00	0.00	87.5	0.00
07/05/2018	154105444	BAKER, CLAUDE	S	VENTAS INCORPORATED	B	14,053.27	15.00	15.00	0.00	87.5	0.00
07/16/2018	154105444	BAKER, CLAUDE	S	BROOKFIELD INFRASTRUCTURE	B	6,011.45	15.00	15.00	0.00	87.5	0.00
07/16/2018	368331302	HILL, KAREN JOLLY	S	BROOKFIELD INFRASTRUCTURE	B	2,496.12	25.00	15.00	10.00	87.5	8.75
07/13/2018	676424960	BRISTER, THOMAS	S	TARGET CORP	S	-12,455.99	15.00	15.00	0.00	87.5	0.00
07/16/2018	677639743	GRAHAM, DAVID	S	BROOKFIELD INFRASTRUCTURE	B	5,032.60	50.00	15.00	35.00	87.5	30.63
07/16/2018	677639743	GRAHAM, DAVID	S	VENTAS INCORPORATED	B	5,042.94	50.00	15.00	35.00	87.5	30.63
* STOCKS SUBTOTAL *						\$104,309.45	\$260.00	\$180.00	\$80.00		\$70.01

**PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS**

07/23/2018	mfc564136	BRISTER T 564136	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	0.61	0.00	0.61	87.5	0.53
07/23/2018	mfc564136	BRISTER T 564136	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	12.74	0.00	12.74	87.5	11.15
07/23/2018	mfc564136	BRISTER T 564136	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	51.08	0.00	51.08	87.5	44.70
07/23/2018	mfc564136	BRISTER T 564136	MFT FEDERATED EQUITY INCOME FUND	B	0.00	0.38	0.00	0.38	87.5	0.33
07/23/2018	mfc564136	BRISTER T 564136	MFT FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	15.43	0.00	15.43	87.5	13.50
07/23/2018	mfc564136	BRISTER T 564136	MFT PIMCO SHORT TERM FD CL C	B	0.00	7.70	0.00	7.70	87.5	6.74
07/23/2018	mfc564136	BRISTER T 564136	MFT PRINCIPAL INVESTORS SAM CONSERV	B	0.00	3.90	0.00	3.90	87.5	3.41
07/23/2018	mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	1.52	0.00	1.52	87.5	1.33
07/23/2018	mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	2.13	0.00	2.13	87.5	1.86
07/23/2018	mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	2.13	0.00	2.13	87.5	1.86
07/23/2018	mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	22.22	0.00	22.22	87.5	19.44
07/23/2018	mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	25.66	0.00	25.66	87.5	22.45
07/23/2018	mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	26.99	0.00	26.99	87.5	23.62
07/23/2018	mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	50.35	0.00	50.35	87.5	44.06
07/23/2018	mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY	B	0.00	2.06	0.00	2.06	87.5	1.80
07/23/2018	mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY	B	0.00	2.48	0.00	2.48	87.5	2.17

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07/23/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY	B	0.00	3.51	0.00	3.51	87.5	3.07
07/23/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY	B	0.00	38.61	0.00	38.61	87.5	33.78
07/23/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY	B	0.00	57.11	0.00	57.11	87.5	49.97
07/23/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY	B	0.00	59.50	0.00	59.50	87.5	52.06
07/23/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY	B	0.00	99.35	0.00	99.35	87.5	86.93
07/23/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS EQTY GROWTH	B	0.00	1.84	0.00	1.84	87.5	1.61
07/23/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS MOD STRATEGY	B	0.00	22.50	0.00	22.50	87.5	19.69
07/23/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS MOD STRATEGY	B	0.00	23.05	0.00	23.05	87.5	20.17
07/23/2018	mfc564136 BRISTER T 564136	MFT TEMPLETON GROWTH FUND CLASS A	B	0.00	8.18	0.00	8.18	87.5	7.16
07/23/2018	mfc564136 BRISTER T 564136	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	20.75	0.00	20.75	87.5	18.16
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$561.78</b>	<b>\$0.00</b>	<b>\$561.78</b>		<b>\$491.55</b>
<b>*** CLEARING TRANSACTIONS TOTAL ***</b>				<b>\$104,309.45</b>	<b>\$821.78</b>	<b>\$180.00</b>	<b>\$641.78</b>		<b>\$561.56</b>

DIRECT TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

07/16/2018 (None) 0045801164	MF SCHOLARS CHOICE	B	0.00	6.00	0.00	6.00	87.5	5.25
07/16/2018 00064805200 SCHMIDT,	MF NEW PERSPECTIVE FUND-A	B	70.00	3.50	0.00	3.50	87.5	3.06
07/16/2018 00064805200 SCHMIDT,	MF THE INVESTMENT COMPANY OF	B	70.00	3.50	0.00	3.50	87.5	3.06
07/16/2018 00086110559 DRAUGHN, DUSTIN	MF THE INVESTMENT COMPANY OF	B	300.00	11.25	0.00	11.25	87.5	9.84
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$440.00</b>	<b>\$24.25</b>	<b>\$0.00</b>	<b>\$24.25</b>		<b>\$21.21</b>

PRODUCT CATEGORY: VARIABLE ANNUITIES

07/16/2018 (None) GREGERSON	VA PHOENIX LIFE	B	100.00	4.00	0.00	4.00	87.5	3.50
07/16/2018 (None) WOODS	VA PHOENIX LIFE	B	166.67	6.66	0.00	6.66	87.5	5.83
07/20/2018 (None) BRISTER, LYDIA	VA PRUDENTIAL LIFE	B	0.00	10.00	0.00	10.00	87.5	8.75
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$266.67</b>	<b>\$20.66</b>	<b>\$0.00</b>	<b>\$20.66</b>		<b>\$18.08</b>

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

06/30/2018 (None) VARIOUS, BRISTER T	MFT ALLIANZ FUNDS	B	0.00	582.46	0.00	582.46	87.5	509.65
06/30/2018 (None) VARIOUS, BRISTER T	MFT AMG 12B-1	B	0.00	8.75	0.00	8.75	87.5	7.66
06/30/2018 (None) VARIOUS, BRISTER T	MFT PIMCO 12B-1	B	0.00	8.49	0.00	8.49	87.5	7.43
06/30/2018 (None) VARIOUS, BRISTER T	MFT SCHOLARS CHOICE	B	0.00	75.82	0.00	75.82	87.5	66.34
07/05/2018 08699897631 MOINAT, IRIS	MFT COLUMBIA TAX-EXEMPT FUND-A	B	0.00	23.28	0.00	23.28	87.5	20.37
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$698.80</b>	<b>\$0.00</b>	<b>\$698.80</b>		<b>\$611.45</b>

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

07/18/2018 (None) BLACKWELL, JACQU	VAT AMERITAS	B	0.00	3.00	0.00	3.00	87.5	2.63
07/18/2018 (None) BLACKWELL, JACQU	VAT AMERITAS	B	0.00	6.48	0.00	6.48	87.5	5.67
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$9.48</b>	<b>\$0.00</b>	<b>\$9.48</b>		<b>\$8.30</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>			<b>\$706.67</b>	<b>\$753.19</b>	<b>\$0.00</b>	<b>\$753.19</b>		<b>\$659.04</b>

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
Override Transactions									
BROKER: ALEX BRISTER-D010 #14									
07/05/2018 (None)	0045711389	MF SCHOLARS CHOICE	B	50.00	1.50	0.00	1.50		0.56
07/05/2018 (None)	0045795127	MF SCHOLARS CHOICE	B	50.00	1.50	0.00	1.50		0.56
07/05/2018 (None)	0045709342	MF SCHOLARS CHOICE	B	50.00	1.50	0.00	1.50		0.56
07/12/2018	00068781179	GERRIE, SARA	MF	AMCAP FUND-A	B	300.00	8.25	0.00	3.09
07/16/2018	00083404474	BARNES, WENDY	MF	AMCAP FUND-A	B	500.00	18.75	0.00	7.03
06/30/2018 (None)	VARIOUS, BRISTER A	MFT ALLIANZ FUNDS	B	0.00	62.78	0.00	62.78		23.54
06/30/2018 (None)	CANADGUSD	MFT OKLAHOMA 529	B	0.00	0.46	0.00	0.46		0.17
06/30/2018 (None)	VARIOUS, BRISTER A	MFT SCHOLARS CHOICE	B	0.00	422.29	0.00	422.29		158.36
07/23/2018	mfc652653	BRISTER A 652653	MFT ALLIANZ NFJ INTL VALUE FD CL C	B	0.00	10.01	0.00	10.01	3.75
07/23/2018	mfc652653	BRISTER A 652653	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	2.58	0.00	2.58	0.97
07/23/2018	mfc652653	BRISTER A 652653	MFT ALLIANZGI NFJ DIVIDEND VALUE C	B	0.00	12.70	0.00	12.70	4.76
07/23/2018	mfc652653	BRISTER A 652653	MFT ALLIANZGI NFJ DIVIDEND VALUE C	B	0.00	33.96	0.00	33.96	12.74
07/23/2018	mfc652653	BRISTER A 652653	MFT ALLIANZGI SHRT DURATION HIGH	B	0.00	7.95	0.00	7.95	2.98
07/23/2018	mfc652653	BRISTER A 652653	MFT AMCAP FUND-A	B	0.00	0.42	0.00	0.42	0.16
07/23/2018	mfc652653	BRISTER A 652653	MFT AMCAP FUND-A	B	0.00	3.16	0.00	3.16	1.19
07/23/2018	mfc652653	BRISTER A 652653	MFT AMCAP FUND-A	B	0.00	10.21	0.00	10.21	3.83
07/23/2018	mfc652653	BRISTER A 652653	MFT AMCAP FUND-C	B	0.00	9.02	0.00	9.02	3.38
07/23/2018	mfc652653	BRISTER A 652653	MFT CAPITAL INCOME BUILDER-A	B	0.00	0.27	0.00	0.27	0.10
07/23/2018	mfc652653	BRISTER A 652653	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	0.18	0.00	0.18	0.07
07/23/2018	mfc652653	BRISTER A 652653	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.17	0.00	2.17	0.81
07/23/2018	mfc652653	BRISTER A 652653	MFT CAPITAL WORLD GROWTH AND	B	0.00	0.95	0.00	0.95	0.36
07/23/2018	mfc652653	BRISTER A 652653	MFT EUROPACIFIC GROWTH FUND CLASS C	B	0.00	3.74	0.00	3.74	1.40
07/23/2018	mfc652653	BRISTER A 652653	MFT EUROPACIFIC GROWTH FUND-A	B	0.00	0.17	0.00	0.17	0.06
07/23/2018	mfc652653	BRISTER A 652653	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.33	0.00	0.33	0.12
07/23/2018	mfc652653	BRISTER A 652653	MFT FUNDAMENTAL INVESTORS-A	B	0.00	3.09	0.00	3.09	1.16
07/23/2018	mfc652653	BRISTER A 652653	MFT FUNDAMENTAL INVESTORS-A	B	0.00	3.45	0.00	3.45	1.29
07/23/2018	mfc652653	BRISTER A 652653	MFT INVESTMENT COMPANY OF AMERICA	B	0.00	2.20	0.00	2.20	0.83
07/23/2018	mfc652653	BRISTER A 652653	MFT INVESTMENT COMPANY OF AMERICA	B	0.00	5.77	0.00	5.77	2.16
07/23/2018	mfc652653	BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	0.12	0.00	0.12	0.05
07/23/2018	mfc652653	BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	1.26	0.00	1.26	0.47
07/23/2018	mfc652653	BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	1.33	0.00	1.33	0.50
07/23/2018	mfc652653	BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	1.85	0.00	1.85	0.69
07/23/2018	mfc652653	BRISTER A 652653	MFT NEW PERSPECTIVE FUND-C	B	0.00	2.82	0.00	2.82	1.06
07/23/2018	mfc652653	BRISTER A 652653	MFT NEW PERSPECTIVE FUND-C	B	0.00	9.08	0.00	9.08	3.41
07/23/2018	mfc652653	BRISTER A 652653	MFT NEW WORLD FUND-A	B	0.00	1.50	0.00	1.50	0.56
07/23/2018	mfc652653	BRISTER A 652653	MFT PIM 018918664	B	0.00	4.22	0.00	4.22	1.58
07/23/2018	mfc652653	BRISTER A 652653	MFT PIM 018918664	B	0.00	4.73	0.00	4.73	1.77
07/23/2018	mfc652653	BRISTER A 652653	MFT PIMCO STOCKSPUS A	B	0.00	2.55	0.00	2.55	0.96
07/23/2018	mfc652653	BRISTER A 652653	MFT PIMCO STOCKSPUS A	B	0.00	8.00	0.00	8.00	3.00
07/23/2018	mfc652653	BRISTER A 652653	MFT SHORT-TERM BOND FUND OF AMERICA	B	0.00	1.23	0.00	1.23	0.46

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07/23/2018 mfc652653	BRISTER A 652653	MFT SMALLCAP WORLD FUND-A	B	0.00	0.16	0.00	0.16		0.06
07/23/2018 mfc652653	BRISTER A 652653	MFT SMALLCAP WORLD FUND-A	B	0.00	1.74	0.00	1.74		0.65
07/23/2018 mfc652653	BRISTER A 652653	MFT SMALLCAP WORLD FUND-C	B	0.00	4.88	0.00	4.88		1.83
07/23/2018 mfc652653	BRISTER A 652653	MFT SMALLCAP WORLD FUND-C	B	0.00	4.88	0.00	4.88		1.83
07/23/2018 mfc652653	BRISTER A 652653	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	5.77	0.00	5.77		2.16
07/23/2018 mfc652653	BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	1.70	0.00	1.70		0.64
07/23/2018 mfc652653	BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	2.15	0.00	2.15		0.81
07/23/2018 mfc652653	BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	3.77	0.00	3.77		1.41
07/23/2018 mfc652653	BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	11.68	0.00	11.68		4.38
07/23/2018 mfc652653	BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	0.24	0.00	0.24		0.09
07/23/2018 mfc652653	BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	1.67	0.00	1.67		0.63
07/23/2018 mfc652653	BRISTER A 652653	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	0.31	0.00	0.31		0.12
07/23/2018 mfc652653	BRISTER A 652653	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	8.93	0.00	8.93		3.35
07/18/2018 (None)	BRISTER, GARETT	VAT AMERITAS	B	0.00	1.30	0.00	1.30		0.49
* ALEX BRISTER-D010 SUBTOTAL *				\$950.00	\$717.23	\$0.00	\$717.23		\$268.95
*** OVERRIDE TRANSACTIONS TOTAL ***				\$950.00	\$717.23	\$0.00	\$717.23		\$268.95

ADJUSTMENTS TRANSACTIONSBROKER: #0

07/31/2018	: BROKER WORKSTATION	0.00	0.00	0.00	0.00	-30.00
07/31/2018	: E&O	0.00	0.00	0.00	0.00	-130.00
07/31/2018	: E&O - ALEX BRISTER	0.00	0.00	0.00	0.00	-130.00
07/31/2018	: E-MAIL ACCOUNT	0.00	0.00	0.00	0.00	-25.00
07/31/2018	: MONEY MARKET TRAILS	0.00	0.00	0.00	0.00	98.02
* SUBTOTAL *		\$0.00	\$0.00	\$0.00	\$0.00	\$-216.98
*** ADJUSTMENTS TRANSACTIONS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-216.98

**BROKER COMMISSION TOTALS**

Broker Transactions	\$1,220.60
Split Transactions	\$0.00
Override Transactions	\$268.95
Adjustments	\$-216.98
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>\$1,272.57</b>
<b>Year-to-date Commissions</b>	<b>\$17,484.16</b>