

**COMMISSION STATEMENT**

July 15, 2018

KATHERINE SMITH-DM31

BROKER #: DM31

BRANCH: DMW

, TX

**COMMISSION STATEMENT for KATHERINE SMITH-DM31**

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
DIRECT TRANSACTIONS											
PRODUCT CATEGORY: MUTUAL FUNDS											
07/02/2018	00084791628	MASSENGALE,	MF	NEW WORLD FUND-529A	B	50.00	1.88	0.00	1.88	90.0	1.69
07/02/2018	00084791669	MASSENGALE,	MF	NEW WORLD FUND-529A	B	50.00	1.88	0.00	1.88	90.0	1.69
07/02/2018	00085359820	LOGSDON, TRACI	MF	CAPITAL INCOME BUILDER-529A	B	50.00	1.88	0.00	1.88	90.0	1.69
07/02/2018	00085359860	LOGSDON, TRACI	MF	CAPITAL INCOME BUILDER-529A	B	50.00	1.88	0.00	1.88	90.0	1.69
06/28/2018	00088311353	MASSENGALE, LARA	MF	NEW PERSPECTIVE FUND-A	B	50.00	1.88	0.00	1.88	90.0	1.69
06/28/2018	00088311353	MASSENGALE, LARA	MF	THE GROWTH FUND OF AMERICA-A	B	50.00	1.88	0.00	1.88	90.0	1.69
06/28/2018	00088338383	MASSENGALE, JASON	MF	NEW PERSPECTIVE FUND-A	B	50.00	1.88	0.00	1.88	90.0	1.69
06/28/2018	00088338383	MASSENGALE, JASON	MF	THE GROWTH FUND OF AMERICA-A	B	50.00	1.88	0.00	1.88	90.0	1.69
06/27/2018	00088810660	PHILLIPS, LISA	MF	NEW PERSPECTIVE FUND-A	B	2,000.00	100.00	0.00	100.00	90.0	90.00
06/27/2018	00088810748	FELTON, MARK	MF	AMERICAN BALANCED FUND-A	B	2,440.11	103.70	0.00	103.70	90.0	93.33
06/27/2018	00088810774	FELTON, WANDA	MF	AMERICAN BALANCED FUND-A	B	2,429.23	103.24	0.00	103.24	90.0	92.92
06/27/2018	00088810774	FELTON, WANDA	MF	THE NEW ECONOMY FUND-A	B	2,500.00	106.25	0.00	106.25	90.0	95.63
06/27/2018	00088810774	FELTON, WANDA	MF	THE NEW ECONOMY FUND-C	B	-2,500.00	-25.00	0.00	-25.00	90.0	-22.50
06/27/2018	00088810774	FELTON, WANDA	MF	THE NEW ECONOMY FUND-C	B	2,500.00	25.00	0.00	25.00	90.0	22.50
07/02/2018	00088996224	LOGSDON, AVARI	MF	THE GROWTH FUND OF AMERICA-529A	B	50.00	1.88	0.00	1.88	90.0	1.69
07/05/2018	00089064328	LOGSDON, TRACI	MF	THE GROWTH FUND OF AMERICA-A	B	50.00	1.88	0.00	1.88	90.0	1.69
07/02/2018	00089500058	PERTLL, JAMES	MF	AMCAP FUND-A	B	50.00	2.50	0.00	2.50	90.0	2.25
07/02/2018	00089500058	PERTLL, JAMES	MF	CAPITAL WORLD GROWTH AND INCOME	B	50.00	2.50	0.00	2.50	90.0	2.25
06/26/2018	04000143383	ZAVALA, GILBERT	MF	AMERICAN BALANCED FUND-A	B	25.00	1.25	0.00	1.25	90.0	1.13
06/26/2018	04000143383	ZAVALA, GILBERT	MF	THE GROWTH FUND OF AMERICA-A	B	25.00	1.25	0.00	1.25	90.0	1.13
07/03/2018	04000143383	ZAVALA, GILBERT	MF	AMERICAN BALANCED FUND-A	B	25.00	1.25	0.00	1.25	90.0	1.13
07/03/2018	04000143383	ZAVALA, GILBERT	MF	THE GROWTH FUND OF AMERICA-A	B	25.00	1.25	0.00	1.25	90.0	1.13
06/27/2018	04000276196	PHILLIPS, JOHN	MF	AMERICAN BALANCED FUND-A	B	1,000.00	50.00	0.00	50.00	90.0	45.00
07/02/2018	04000452396	PERTLL, JAMES	MF	AMCAP FUND-A	B	50.00	1.00	0.00	1.00	90.0	0.90
07/02/2018	04000452396	PERTLL, JAMES	MF	CAPITAL WORLD GROWTH AND INCOME	B	50.00	1.00	0.00	1.00	90.0	0.90
06/27/2018	04000888377	WHITSON, BLAKE	MF	AMERICAN BALANCED FUND-A	B	4,920.06	184.50	0.00	184.50	90.0	166.05
06/27/2018	04000888377	WHITSON, BLAKE	MF	NEW PERSPECTIVE FUND-A	B	5,000.00	187.50	0.00	187.50	90.0	168.75
* MUTUAL FUNDS SUBTOTAL *						\$21,089.40	\$865.99	\$0.00	\$865.99		\$779.40
*** DIRECT TRANSACTIONS TOTAL ***						\$21,089.40	\$865.99	\$0.00	\$865.99		\$779.40

**BROKER COMMISSION TOTALS**

Broker Transactions	\$779.40
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>\$779.40</b>
<b>Year-to-date Commissions</b>	<b>\$48,034.35</b>