

COMMISSION STATEMENT

June 30, 2018

BRISTER TOM DPM

BROKER #: D111

BRANCH: DWA

, TX

COMMISSION STATEMENT for BRISTER TOM DPM

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
CLEARING TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUNDS									
06/08/2018 368293615	MARTIN, RONALD	MF CAPITAL WORLD GROWTH AND INCOME	B	-19,992.55	0.00	5.00	-5.00	0.0	0.00
06/12/2018 368293615	MARTIN, RONALD	MF THE INCOME FUND OF AMERICA-A	B	-17,992.55	0.00	5.00	-5.00	0.0	0.00
06/12/2018 368330542	LADNER, HERSHEL	MF ALLIANZGI GLOBAL ALLOCATION C	B	-14,992.55	0.00	5.00	-5.00	0.0	0.00
06/08/2018 368441888	PHILLIPS, CHRISTINE	MF RUSSELL LIFEPOINTS GROWTH	B	-19,982.55	0.00	5.00	-5.00	0.0	0.00
06/08/2018 646769616	ROBBINS, BRIAN	MF ALLIANZ OCC RENAISSANCE FUND	B	-24,992.55	0.00	5.00	-5.00	0.0	0.00
06/12/2018 646769616	ROBBINS, BRIAN	MF ALLIANZ OCC RENAISSANCE FUND	B	-14,992.55	0.00	5.00	-5.00	0.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$-112,945.30	\$0.00	\$30.00	\$-30.00		\$0.00

PRODUCT CATEGORY: STOCKS

06/08/2018 307663507	GOThARD, CAROLYN	S VENTAS INCORPORATED	B	4,996.96	15.00	15.00	0.00	0.0	0.00
06/12/2018 307663507	GOThARD, CAROLYN	S COHEN & STEERS REIT AND	B	10,024.69	15.00	15.00	0.00	0.0	0.00
05/30/2018 368259871	ROBBINS, L	S RENEWABLE ENERGY GROUP INC NEW	B	8,440.43	15.00	15.00	0.00	0.0	0.00
05/30/2018 368259871	ROBBINS, L	S TARGA RESOURCES CORP	B	8,468.20	15.00	15.00	0.00	0.0	0.00
06/08/2018 368259871	ROBBINS, L	S VENTAS INCORPORATED	B	8,589.21	15.00	15.00	0.00	0.0	0.00
06/14/2018 368259871	ROBBINS, L	S COHEN & STEERS REIT AND	B	9,026.47	15.00	15.00	0.00	0.0	0.00
05/30/2018 368260199	ROBBINS, L	S RENEWABLE ENERGY GROUP INC NEW	B	7,125.43	7.43	0.00	7.43	0.0	0.00
05/30/2018 368260199	ROBBINS, L	S RENEWABLE ENERGY GROUP INC NEW	B	7,252.59	7.57	15.00	-7.43	0.0	0.00
06/08/2018 368260199	ROBBINS, L	S VENTAS INCORPORATED	B	14,573.77	15.00	15.00	0.00	0.0	0.00
06/14/2018 368260199	ROBBINS, L	S COHEN & STEERS REIT AND	B	15,031.85	15.00	15.00	0.00	0.0	0.00
05/30/2018 368261812	WURSTER, SUSANNE	S RENEWABLE ENERGY GROUP INC NEW	B	10,000.35	15.00	15.00	0.00	0.0	0.00
06/08/2018 368261812	WURSTER, SUSANNE	S VENTAS INCORPORATED	B	21,630.74	15.00	15.00	0.00	0.0	0.00
06/12/2018 368261812	WURSTER, SUSANNE	S VENTAS INCORPORATED	B	21,730.15	15.00	15.00	0.00	0.0	0.00
05/31/2018 368290532	MARSHALL, RICHARD	S TARGA RESOURCES CORP	B	12,089.45	15.00	15.00	0.00	0.0	0.00
06/08/2018 368290532	MARSHALL, RICHARD	S VENTAS INCORPORATED	B	12,268.45	15.00	15.00	0.00	0.0	0.00
05/30/2018 368293615	MARTIN, RONALD	S TARGA RESOURCES CORP	B	4,804.85	15.00	15.00	0.00	0.0	0.00
06/08/2018 368293615	MARTIN, RONALD	S VENTAS INCORPORATED	B	20,008.03	15.00	15.00	0.00	0.0	0.00
06/12/2018 368293615	MARTIN, RONALD	S COHEN & STEERS REIT AND	B	18,026.68	15.00	15.00	0.00	0.0	0.00
05/30/2018 368300440	MARTIN, RONALD	S RENEWABLE ENERGY GROUP INC NEW	B	1,022.37	15.00	15.00	0.00	0.0	0.00
06/12/2018 368300440	MARTIN, RONALD	S COHEN & STEERS REIT AND	B	2,005.25	15.00	15.00	0.00	0.0	0.00
05/30/2018 368314002	LEMMONS, THOMAS	S RENEWABLE ENERGY GROUP INC NEW	B	7,991.85	15.00	15.00	0.00	0.0	0.00
06/08/2018 368314002	LEMMONS, THOMAS	S VENTAS INCORPORATED	B	15,902.84	15.00	15.00	0.00	0.0	0.00

COMMISSION STATEMENT for BRISTER TOM DPM

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
06/12/2018 368314002	LEMMONS, THOMAS	S COHEN & STEERS REIT AND	B	8,331.01	15.00	15.00	0.00	0.0	0.00
06/08/2018 368330542	LADNER, HERSHEL	S VENTAS INCORPORATED	B	15,009.99	15.00	15.00	0.00	0.0	0.00
06/12/2018 368330542	LADNER, HERSHEL	S COHEN & STEERS REIT AND	B	15,023.87	15.00	15.00	0.00	0.0	0.00
06/08/2018 368431614	STUBBS, JACQUELINE	S ISHARES RUSSELL 1000 VALUE	S	-12,373.40	15.00	15.00	0.00	0.0	0.00
06/08/2018 368431614	STUBBS, JACQUELINE	S VANGUARD FTSE EMERGING MARKETS	S	-9,900.24	15.00	15.00	0.00	0.0	0.00
06/08/2018 368431614	STUBBS, JACQUELINE	S VENTAS INCORPORATED	B	15,077.50	15.00	15.00	0.00	0.0	0.00
06/14/2018 368431614	STUBBS, JACQUELINE	S COHEN & STEERS REIT AND	B	8,027.98	15.00	15.00	0.00	0.0	0.00
06/08/2018 368435724	STAFF, RENEE	S VENTAS INCORPORATED	B	2,971.78	15.00	15.00	0.00	0.0	0.00
05/30/2018 368441888	PHILLIPS, CHRISTINE	S TARGA RESOURCES CORP	B	4,825.44	15.00	15.00	0.00	0.0	0.00
06/08/2018 368441888	PHILLIPS, CHRISTINE	S VENTAS INCORPORATED	B	14,038.42	15.00	15.00	0.00	0.0	0.00
05/30/2018 368462158	PARSONS, JAMES	S RENEWABLE ENERGY GROUP INC NEW	B	11,817.13	15.00	15.00	0.00	0.0	0.00
06/08/2018 368462158	PARSONS, JAMES	S VENTAS INCORPORATED	B	24,034.66	15.00	15.00	0.00	0.0	0.00
06/12/2018 368462158	PARSONS, JAMES	S COHEN & STEERS REIT AND	B	12,174.56	15.00	15.00	0.00	0.0	0.00
06/12/2018 368462158	PARSONS, JAMES	S VENTAS INCORPORATED	B	20,016.97	15.00	15.00	0.00	0.0	0.00
06/08/2018 368462732	GOTHARD, CAROLYN	S VENTAS INCORPORATED	B	22,678.61	15.00	15.00	0.00	0.0	0.00
05/30/2018 492387904	MATTHEWS, R ELLEN	S RENEWABLE ENERGY GROUP INC NEW	B	7,006.25	15.00	15.00	0.00	0.0	0.00
06/08/2018 492387904	MATTHEWS, R ELLEN	S VENTAS INCORPORATED	B	15,015.83	15.00	15.00	0.00	0.0	0.00
05/30/2018 584415418	PHILLIPS, TRAVIS	S RENEWABLE ENERGY GROUP INC NEW	B	2,013.29	15.00	15.00	0.00	0.0	0.00
06/08/2018 584415418	PHILLIPS, TRAVIS	S VENTAS INCORPORATED	B	1,987.73	15.00	15.00	0.00	0.0	0.00
05/30/2018 646271794	PARSONS, JAMES	S RENEWABLE ENERGY GROUP INC NEW	B	1,804.45	15.00	15.00	0.00	0.0	0.00
06/08/2018 646271794	PARSONS, JAMES	S VENTAS INCORPORATED	B	3,028.05	15.00	15.00	0.00	0.0	0.00
06/12/2018 646271794	PARSONS, JAMES	S COHEN & STEERS REIT AND	B	4,014.21	15.00	15.00	0.00	0.0	0.00
05/30/2018 646769616	ROBBINS, BRIAN	S RENEWABLE ENERGY GROUP INC NEW	B	9,981.42	15.00	15.00	0.00	0.0	0.00
05/30/2018 646769616	ROBBINS, BRIAN	S TARGA RESOURCES CORP	B	10,008.95	15.00	15.00	0.00	0.0	0.00
06/08/2018 646769616	ROBBINS, BRIAN	S VENTAS INCORPORATED	B	13,046.93	15.00	15.00	0.00	0.0	0.00
06/12/2018 646769616	ROBBINS, BRIAN	S COHEN & STEERS REIT AND	B	20,027.27	15.00	15.00	0.00	0.0	0.00
05/30/2018 677627409	CAREY, LESLEY	S RENEWABLE ENERGY GROUP INC NEW	B	2,137.04	1.64	0.00	1.64	0.0	0.00
05/30/2018 677627409	CAREY, LESLEY	S RENEWABLE ENERGY GROUP INC NEW	B	3,561.73	2.73	0.00	2.73	0.0	0.00
05/30/2018 677627409	CAREY, LESLEY	S RENEWABLE ENERGY GROUP INC NEW	B	6,945.37	5.32	0.00	5.32	0.0	0.00
05/30/2018 677627409	CAREY, LESLEY	S RENEWABLE ENERGY GROUP INC NEW	B	6,947.82	5.32	15.00	-9.68	0.0	0.00
06/08/2018 677627409	CAREY, LESLEY	S VENTAS INCORPORATED	B	20,051.30	15.00	15.00	0.00	0.0	0.00
06/12/2018 677627409	CAREY, LESLEY	S COHEN & STEERS REIT AND	B	20,008.42	15.00	15.00	0.00	0.0	0.00
06/19/2018 677627409	CAREY, LESLEY	S CORNING INC	S	-17,557.77	15.00	15.00	0.00	0.0	0.00
06/19/2018 677627409	CAREY, LESLEY	S GENERAL ELECTRIC COMPANY	S	-17,381.80	15.00	15.00	0.00	0.0	0.00
06/19/2018 677627409	CAREY, LESLEY	S OVERSTOCK.COM INC	S	-12,351.79	15.00	15.00	0.00	0.0	0.00
06/19/2018 677627409	CAREY, LESLEY	S RENEWABLE ENERGY GROUP INC NEW	S	-19,754.79	15.00	15.00	0.00	0.0	0.00
06/19/2018 677627409	CAREY, LESLEY	S SELECT SECTOR SPDR FD MATERIALS	S	-8,725.94	15.00	15.00	0.00	0.0	0.00
06/19/2018 677627409	CAREY, LESLEY	S SYNCHRONY FINANCIAL	S	-18,759.84	15.00	15.00	0.00	0.0	0.00
06/19/2018 677627409	CAREY, LESLEY	S TARGA RESOURCES CORP	S	-21,330.71	15.00	15.00	0.00	0.0	0.00
06/19/2018 677627409	CAREY, LESLEY	S TARGET CORP	S	-24,487.83	15.00	15.00	0.00	0.0	0.00
06/19/2018 677627409	CAREY, LESLEY	S TEMPLETON DRAGON FUND	S	-18,824.19	15.00	15.00	0.00	0.0	0.00
06/08/2018 799809455	WILFORD, NED	S VENTAS INCORPORATED	B	27,097.15	15.00	15.00	0.00	0.0	0.00
06/12/2018 799809455	WILFORD, NED	S COHEN & STEERS REIT AND	B	25,044.12	15.00	15.00	0.00	0.0	0.00
05/30/2018 799810243	WILFORD (TOD), DAN	S RENEWABLE ENERGY GROUP INC NEW	B	1,779.28	1.78	0.00	1.78	0.0	0.00

COMMISSION STATEMENT for BRISTER TOM DPM

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
05/30/2018 799810243	WILFORD (TOD), DAN	S RENEWABLE ENERGY GROUP INC NEW	B	1,781.73	1.78	15.00	-13.22	0.0	0.00
05/30/2018 799810243	WILFORD (TOD), DAN	S RENEWABLE ENERGY GROUP INC NEW	B	4,471.03	4.48	0.00	4.48	0.0	0.00
05/30/2018 799810243	WILFORD (TOD), DAN	S RENEWABLE ENERGY GROUP INC NEW	B	6,947.01	6.96	0.00	6.96	0.0	0.00
05/30/2018 799810243	WILFORD (TOD), DAN	S TARGA RESOURCES CORP	B	14,990.23	15.00	15.00	0.00	0.0	0.00
06/08/2018 799810243	WILFORD (TOD), DAN	S VENTAS INCORPORATED	B	10,025.41	15.00	15.00	0.00	0.0	0.00
* STOCKS SUBTOTAL *				<u>\$473,312.25</u>	<u>\$960.01</u>	<u>\$960.00</u>	<u>\$0.01</u>		<u>\$0.00</u>

PRODUCT CATEGORY: MISCELLANEOUS

06/11/2018 a03539565	DPM-D111, TOM	MI MUTUAL FUND MISC FEE 646769616	S	0.00	5.00	0.00	5.00	0.0	0.00
06/11/2018 a03539565	DPM-D111, TOM	MI MUTUAL FUND MISC FEE 368293615	S	0.00	5.00	0.00	5.00	0.0	0.00
06/11/2018 a03539565	DPM-D111, TOM	MI MUTUAL FUND MISC FEE 368441888	S	0.00	15.00	0.00	15.00	0.0	0.00
06/13/2018 a03539565	DPM-D111, TOM	MI MUTUAL FUND MISC FEE 646769616	S	0.00	5.00	0.00	5.00	0.0	0.00
06/13/2018 a03539565	DPM-D111, TOM	MI MUTUAL FUND MISC FEE 368330542	S	0.00	5.00	0.00	5.00	0.0	0.00
06/13/2018 a03539565	DPM-D111, TOM	MI MUTUAL FUND MISC FEE 368293615	S	0.00	5.00	0.00	5.00	0.0	0.00
* MISCELLANEOUS SUBTOTAL *				<u>\$0.00</u>	<u>\$40.00</u>	<u>\$0.00</u>	<u>\$40.00</u>		<u>\$0.00</u>

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

06/21/2018 mfc539565	DPM BRSITER TOM	MFT ALLIANZ OCC RENAISSANCE FUND	B	0.00	11.48	0.00	11.48	0.0	0.00
06/21/2018 mfc539565	DPM BRSITER TOM	MFT ALLIANZ RCM TECHNOLOGY FUND	B	0.00	5.01	0.00	5.01	0.0	0.00
06/21/2018 mfc539565	DPM BRSITER TOM	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	2.01	0.00	2.01	0.0	0.00
06/21/2018 mfc539565	DPM BRSITER TOM	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	69.88	0.00	69.88	0.0	0.00
06/21/2018 mfc539565	DPM BRSITER TOM	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	10.75	0.00	10.75	0.0	0.00
06/21/2018 mfc539565	DPM BRSITER TOM	MFT DREYFUS RESEARCH GROWTH FD A	B	0.00	0.44	0.00	0.44	0.0	0.00
06/21/2018 mfc539565	DPM BRSITER TOM	MFT MARSICO FOCUS FD	B	0.00	1.41	0.00	1.41	0.0	0.00
06/21/2018 mfc539565	DPM BRSITER TOM	MFT OPPENHEIMER CAPITAL INCOME FD	B	0.00	3.35	0.00	3.35	0.0	0.00
06/21/2018 mfc539565	DPM BRSITER TOM	MFT PIM 018919704	B	0.00	7.27	0.00	7.27	0.0	0.00
06/21/2018 mfc539565	DPM BRSITER TOM	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	72.79	0.00	72.79	0.0	0.00
06/21/2018 mfc539565	DPM BRSITER TOM	MFT THE INCOME FUND OF AMERICA-A	B	0.00	13.90	0.00	13.90	0.0	0.00
06/21/2018 mfc539565	DPM BRSITER TOM	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	32.46	0.00	32.46	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				<u>\$0.00</u>	<u>\$230.75</u>	<u>\$0.00</u>	<u>\$230.75</u>		<u>\$0.00</u>
*** CLEARING TRANSACTIONS TOTAL ***				<u>\$360,366.95</u>	<u>\$1,230.76</u>	<u>\$990.00</u>	<u>\$240.76</u>		<u>\$0.00</u>

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