

# COMMISSION STATEMENT

July 31, 2018

KATHERINE SMITH-DM31  
 1701 River Run Road  
 Suite 1116  
 Forth Worth, TX 76107

BROKER #: DM31  
 BRANCH: DMW

## COMMISSION STATEMENT for KATHERINE SMITH-DM31

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: MUTUAL FUNDS

07/19/2018	368356408	DEADY, MYRNA	MF	THE GROWTH FUND OF AMERICA-A	S	-2,761.81	0.00	5.00	-5.00	90.0	-4.50
				* MUTUAL FUNDS SUBTOTAL *		\$-2,761.81	\$0.00	\$5.00	\$-5.00		\$-4.50

#### PRODUCT CATEGORY: STOCKS

07/11/2018	277285841	FOSTER, MARSHA	S	CAMPBELL SOUP COMPANY	S	-20,702.28	370.00	15.00	355.00	90.0	319.50
07/26/2018	277285841	FOSTER, MARSHA	S	QUALCOMM INC	S	-1,430.69	20.00	15.00	5.00	90.0	4.50
07/26/2018	277285841	FOSTER, MARSHA	S	VERIZON COMMUNICATIONS INC	S	-284.82	20.00	15.00	5.00	90.0	4.50
06/28/2018	368293321	NORRIS, CURTIS	S	WALGREENS BOOTS ALLIANCE INC	B	30,247.45	295.00	15.00	280.00	90.0	252.00
07/17/2018	368293321	NORRIS, CURTIS	S	WALGREENS BOOTS ALLIANCE INC	S	-32,525.12	297.00	15.00	282.00	90.0	253.80
06/28/2018	368347337	WHITSON, JONATHAN	S	WALGREENS BOOTS ALLIANCE INC	B	30,247.45	295.00	15.00	280.00	90.0	252.00
07/17/2018	368347337	WHITSON, JONATHAN	S	WALGREENS BOOTS ALLIANCE INC	S	-32,525.12	297.00	15.00	282.00	90.0	253.80
07/23/2018	368347337	WHITSON, JONATHAN	S	HALLIBURTON COMPANY	B	41,802.45	370.00	15.00	355.00	90.0	319.50
07/24/2018	368433014	FOSTER, DARREL	S	HALLIBURTON COMPANY	B	20,477.30	320.00	15.00	305.00	90.0	274.50
06/29/2018	368434510	BROWN, ROBERT	S	ROYAL DUTCH SHELL PLC-SPON ADR	B	22,074.34	245.00	15.00	230.00	90.0	207.00
06/29/2018	368434510	BROWN, ROBERT	S	SASOL LIMITED SPONSORED ADR	S	-18,053.41	195.00	15.00	180.00	90.0	162.00
07/23/2018	368459537	SMITH, GENE	S	HALLIBURTON COMPANY	B	29,323.45	320.00	15.00	305.00	90.0	274.50
07/24/2018	368459537	SMITH, GENE	S	AMGEN INC	S	-4,394.07	20.00	15.00	5.00	90.0	4.50
07/24/2018	368459537	SMITH, GENE	S	FRONTLINE LTD SHS NEW ISIN	S	-4,163.76	20.00	15.00	5.00	90.0	4.50
06/29/2018	399469831	JOE PAUL JONE IRR	S	CONOCOPHILLIPS	S	-70,210.64	160.00	15.00	145.00	90.0	130.50
07/23/2018	399469831	JOE PAUL JONE IRR	S	AT&T INC	B	31,372.45	370.00	15.00	355.00	90.0	319.50
07/23/2018	522221617	NORRIS, CURTIS	S	HALLIBURTON COMPANY	B	29,323.45	320.00	15.00	305.00	90.0	274.50
06/28/2018	677020075	BANK, SOUTHWEST	S	WALGREENS BOOTS ALLIANCE INC	B	60,297.45	395.00	15.00	380.00	90.0	342.00
07/17/2018	677020075	BANK, SOUTHWEST	S	WALGREENS BOOTS ALLIANCE INC	S	-65,251.80	395.00	15.00	380.00	90.0	342.00
07/23/2018	677020075	BANK, SOUTHWEST	S	HALLIBURTON COMPANY	B	41,802.45	370.00	15.00	355.00	90.0	319.50
				* STOCKS SUBTOTAL *		\$87,426.53	\$5,094.00	\$300.00	\$4,794.00		\$4,314.60

#### PRODUCT CATEGORY: MISCELLANEOUS

07/20/2018	a03932013	SMITH-DM31,	MI	MUTUAL FUND MISC FEE 368356408	S	0.00	50.00	0.00	50.00	90.0	45.00
				* MISCELLANEOUS SUBTOTAL *		\$0.00	\$50.00	\$0.00	\$50.00		\$45.00

COMMISSION STATEMENT for KATHERINE SMITH-DM31

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
07/23/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	2.47	0.00	2.47	90.0	2.22
07/23/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	2.50	0.00	2.50	90.0	2.25
07/23/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	4.65	0.00	4.65	90.0	4.19
07/23/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	5.03	0.00	5.03	90.0	4.53
07/23/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	5.81	0.00	5.81	90.0	5.23
07/23/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	10.41	0.00	10.41	90.0	9.37
07/23/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	10.43	0.00	10.43	90.0	9.39
07/23/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	14.87	0.00	14.87	90.0	13.38
07/23/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	33.64	0.00	33.64	90.0	30.28
07/23/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN FDS TAX-ADV GROW & INC	B	0.00	3.84	0.00	3.84	90.0	3.46
07/23/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER-A	B	0.00	35.47	0.00	35.47	90.0	31.92
07/23/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER CLASS C	B	0.00	0.13	0.00	0.13	90.0	0.12
07/23/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.08	0.00	2.08	90.0	1.87
07/23/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	5.15	0.00	5.15	90.0	4.64
07/23/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	14.91	0.00	14.91	90.0	13.42
07/23/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA DISCIPLINED CORE	B	0.00	1.49	0.00	1.49	90.0	1.34
07/23/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA LARGE CAP GROWTH FUND	B	0.00	1.12	0.00	1.12	90.0	1.01
07/23/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA SELECT INTL EQUITY	B	0.00	0.80	0.00	0.80	90.0	0.72
07/23/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TAX-EXEMPT FUND-A	B	0.00	0.55	0.00	0.55	90.0	0.50
07/23/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TOTAL RETURN BOND FD A	B	0.00	0.54	0.00	0.54	90.0	0.49
07/23/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	0.55	0.00	0.55	90.0	0.50
07/23/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	1.59	0.00	1.59	90.0	1.43
07/23/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	0.62	0.00	0.62	90.0	0.56
07/23/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	2.65	0.00	2.65	90.0	2.39
07/23/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	14.94	0.00	14.94	90.0	13.45
07/23/2018	mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.82	0.00	0.82	90.0	0.74
07/23/2018	mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	16.85	0.00	16.85	90.0	15.17
07/23/2018	mfc932013	SMITH KATHERINE	MFT GROWTH FUND OF AMERICA CLASS F	B	0.00	5.76	0.00	5.76	90.0	5.18
07/23/2018	mfc932013	SMITH KATHERINE	MFT INTERMEDIATE BOND FUND OF	B	0.00	9.96	0.00	9.96	90.0	8.96
07/23/2018	mfc932013	SMITH KATHERINE	MFT INVESCO MID CAP GROWTH FUND -	B	0.00	4.14	0.00	4.14	90.0	3.73
07/23/2018	mfc932013	SMITH KATHERINE	MFT MASSACHUSETTS INVESTORS TRUST-A	B	0.00	5.31	0.00	5.31	90.0	4.78
07/23/2018	mfc932013	SMITH KATHERINE	MFT MORGAN STANLEY INS MIDCAP	B	0.00	11.94	0.00	11.94	90.0	10.75
07/23/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	4.97	0.00	4.97	90.0	4.47
07/23/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	5.87	0.00	5.87	90.0	5.28
07/23/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	10.30	0.00	10.30	90.0	9.27
07/23/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER STEELPATH MLP	B	0.00	159.93	0.00	159.93	90.0	143.94
07/23/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER SENIOR FLOATING	B	0.00	224.23	0.00	224.23	90.0	201.81
07/23/2018	mfc932013	SMITH KATHERINE	MFT PUTNAM TAX-FREE HIGH YIELD FUND	B	0.00	5.10	0.00	5.10	90.0	4.59
07/23/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.33	0.00	0.33	90.0	0.30
07/23/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.57	0.00	0.57	90.0	0.51
07/23/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.57	0.00	2.57	90.0	2.31
07/23/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.60	0.00	2.60	90.0	2.34
07/23/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.71	0.00	2.71	90.0	2.44

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07/23/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	3.38	0.00	3.38	90.0	3.04
07/23/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	5.22	0.00	5.22	90.0	4.70
07/23/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	13.83	0.00	13.83	90.0	12.45
07/23/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	14.27	0.00	14.27	90.0	12.84
07/23/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	23.94	0.00	23.94	90.0	21.55
07/23/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	31.84	0.00	31.84	90.0	28.66
07/23/2018 mfc932013	SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	18.12	0.00	18.12	90.0	16.31
07/23/2018 mfc932013	SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	18.36	0.00	18.36	90.0	16.52
07/23/2018 mfc932013	SMITH KATHERINE	MFT THE INVESTMENT COMPANY OF	B	0.00	5.37	0.00	5.37	90.0	4.83
07/23/2018 mfc932013	SMITH KATHERINE	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	36.87	0.00	36.87	90.0	33.18
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$821.40	\$0.00	\$821.40		\$739.31
*** CLEARING TRANSACTIONS TOTAL ***				\$84,664.72	\$5,965.40	\$305.00	\$5,660.40		\$5,094.41

DIRECT TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

07/19/2018 00089064328	LOGSDON, TRACI	MF THE GROWTH FUND OF AMERICA-A	B	50.00	1.88	0.00	1.88	90.0	1.69
07/23/2018 04000143383	ZAVALA, GILBERT	MF AMERICAN BALANCED FUND-A	B	25.00	1.25	0.00	1.25	90.0	1.13
07/23/2018 04000143383	ZAVALA, GILBERT	MF THE GROWTH FUND OF AMERICA-A	B	25.00	1.25	0.00	1.25	90.0	1.13
* MUTUAL FUNDS SUBTOTAL *				\$100.00	\$4.38	\$0.00	\$4.38		\$3.95

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

06/30/2018 (None)	SMITH, CLAY	MFT VOYA	B	0.00	3.08	0.00	3.08	90.0	2.77
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$3.08	\$0.00	\$3.08		\$2.77
*** DIRECT TRANSACTIONS TOTAL ***				\$100.00	\$7.46	\$0.00	\$7.46		\$6.72

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-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	531.05
* SUBTOTAL *			\$0.00	\$0.00	\$0.00	\$0.00	\$346.05
*** ADJUSTMENTS TRANSACTIONS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00	\$346.05

**BROKER COMMISSION TOTALS**

Broker Transactions	\$5,101.13
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$346.05
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>\$5,447.18</b>
<b>Year-to-date Commissions</b>	<b>\$53,481.53</b>