

COMMISSION STATEMENT

June 30, 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
CLEARING TRANSACTIONS									
PRODUCT CATEGORY: STOCKS									
06/08/2018 154161712	BACON (TOD),	S BP PLC-SPONS ADR	S	-27,720.24	405.00	15.00	390.00	90.0	351.00
06/08/2018 154161712	BACON (TOD),	S GENERAL ELECTRIC COMPANY	B	29,686.35	475.00	15.00	460.00	90.0	414.00
06/07/2018 277285841	FOSTER, MARSHA	S CONOCOPHILLIPS	S	-6,350.25	95.00	15.00	80.00	90.0	72.00
06/07/2018 277285841	FOSTER, MARSHA	S MCDONALDS CORPORATION	S	9,620.73	-197.31	-15.00	-182.31	90.0	-164.08
06/07/2018 277285841	FOSTER, MARSHA	S MCDONALDS CORPORATION	S	-9,620.73	197.31	15.00	182.31	90.0	164.08
06/07/2018 277285841	FOSTER, MARSHA	S MCDONALDS CORPORATION	S	-9,723.04	95.00	15.00	80.00	90.0	72.00
06/12/2018 277285841	FOSTER, MARSHA	S BP PLC-SPONS ADR	S	-2,789.51	60.00	15.00	45.00	90.0	40.50
06/12/2018 368432169	EWBANK, GLORIA	S BP PLC-SPONS ADR	S	-22,677.25	320.00	15.00	305.00	90.0	274.50
06/12/2018 368433014	FOSTER, DARREL	S BP PLC-SPONS ADR	S	-45,556.95	440.00	15.00	425.00	90.0	382.50
06/19/2018 368459537	SMITH, GENE	S AT&T INC	B	15,581.30	230.00	15.00	215.00	90.0	193.50
06/08/2018 399469831	JOE PAUL JONE IRR	S EXXON-MOBIL CORPORATION	S	-82,826.47	370.00	15.00	355.00	90.0	319.50
06/25/2018 399469831	JOE PAUL JONE IRR	S CAMPBELL SOUP COMPANY	S	-41,877.30	370.00	15.00	355.00	90.0	319.50
06/15/2018 462138880	LAFON, DONNA	S AT&T INC	B	1,037.72	60.00	15.00	45.00	90.0	40.50
06/27/2018 462138880	LAFON, DONNA	S AT&T INC	B	1,331.45	60.00	15.00	45.00	90.0	40.50
* STOCKS SUBTOTAL *				\$-191,884.19	\$2,980.00	\$180.00	\$2,800.00		\$2,520.00

PRODUCT CATEGORY: BONDS

06/21/2018	399462834	JONES, JOANNE	B	LAKE TRAVIS TX ISD ULTD TAX REF B		53,915.17	375.00	15.00	360.00	90.0	324.00
06/21/2018	646550313	KAREN SMITH FAMILY	B	LAKE TRAVIS TX ISD ULTD TAX REF B		53,915.17	375.00	15.00	360.00	90.0	324.00
				* BONDS SUBTOTAL *		\$107,830.34	\$750.00	\$30.00	\$720.00		\$648.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

06/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	2.53	0.00	2.53	90.0	2.28
06/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	2.55	0.00	2.55	90.0	2.30
06/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	3.77	0.00	3.77	90.0	3.39
06/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	4.75	0.00	4.75	90.0	4.28
06/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	5.13	0.00	5.13	90.0	4.62
06/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	10.63	0.00	10.63	90.0	9.57
06/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	10.66	0.00	10.66	90.0	9.59
06/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	15.19	0.00	15.19	90.0	13.67
06/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	34.36	0.00	34.36	90.0	30.92
06/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN FDS TAX-ADV GROW & INC B	B	0.00	3.95	0.00	3.95	90.0	3.56

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06/21/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER-A	B	0.00	36.79	0.00	36.79	90.0	33.11
06/21/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER CLASS C	B	0.00	0.13	0.00	0.13	90.0	0.12
06/21/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.16	0.00	2.16	90.0	1.94
06/21/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	5.35	0.00	5.35	90.0	4.82
06/21/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	15.50	0.00	15.50	90.0	13.95
06/21/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA DISCIPLINED CORE	B	0.00	1.50	0.00	1.50	90.0	1.35
06/21/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA LARGE CAP GROWTH FUND	B	0.00	1.12	0.00	1.12	90.0	1.01
06/21/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA SELECT INTL EQUITY	B	0.00	0.84	0.00	0.84	90.0	0.76
06/21/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TAX-EXEMPT FUND-A	B	0.00	0.57	0.00	0.57	90.0	0.51
06/21/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TOTAL RETURN BOND FD A	B	0.00	0.55	0.00	0.55	90.0	0.50
06/21/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	0.57	0.00	0.57	90.0	0.51
06/21/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	1.65	0.00	1.65	90.0	1.49
06/21/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	0.64	0.00	0.64	90.0	0.58
06/21/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	2.74	0.00	2.74	90.0	2.47
06/21/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	15.45	0.00	15.45	90.0	13.91
06/21/2018	mfc932013	SMITH KATHERINE	MFT FRANKLIN INCOME FUND CLASS A	B	0.00	0.35	0.00	0.35	90.0	0.32
06/21/2018	mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.85	0.00	0.85	90.0	0.77
06/21/2018	mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	17.19	0.00	17.19	90.0	15.47
06/21/2018	mfc932013	SMITH KATHERINE	MFT GROWTH FUND OF AMERICA CLASS F	B	0.00	5.79	0.00	5.79	90.0	5.21
06/21/2018	mfc932013	SMITH KATHERINE	MFT INTERMEDIATE BOND FUND OF	B	0.00	10.26	0.00	10.26	90.0	9.23
06/21/2018	mfc932013	SMITH KATHERINE	MFT MASSACHUSETTS INVESTORS TRUST-A	B	0.00	5.42	0.00	5.42	90.0	4.88
06/21/2018	mfc932013	SMITH KATHERINE	MFT MORGAN STANLEY INS MIDCAP	B	0.00	11.45	0.00	11.45	90.0	10.31
06/21/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	5.07	0.00	5.07	90.0	4.56
06/21/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	5.99	0.00	5.99	90.0	5.39
06/21/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	10.50	0.00	10.50	90.0	9.45
06/21/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER STEELPATH MLP	B	0.00	164.84	0.00	164.84	90.0	148.36
06/21/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER SENIOR FLOATING	B	0.00	231.61	0.00	231.61	90.0	208.45
06/21/2018	mfc932013	SMITH KATHERINE	MFT PUTNAM TAX-FREE HIGH YIELD FUND	B	0.00	5.26	0.00	5.26	90.0	4.73
06/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.33	0.00	0.33	90.0	0.30
06/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.57	0.00	0.57	90.0	0.51
06/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.58	0.00	2.58	90.0	2.32
06/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.61	0.00	2.61	90.0	2.35
06/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.72	0.00	2.72	90.0	2.45
06/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	3.40	0.00	3.40	90.0	3.06
06/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	5.25	0.00	5.25	90.0	4.73
06/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	13.90	0.00	13.90	90.0	12.51
06/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	14.34	0.00	14.34	90.0	12.91
06/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	24.06	0.00	24.06	90.0	21.65
06/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	32.00	0.00	32.00	90.0	28.80
06/21/2018	mfc932013	SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	18.63	0.00	18.63	90.0	16.77
06/21/2018	mfc932013	SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	18.88	0.00	18.88	90.0	16.99
06/21/2018	mfc932013	SMITH KATHERINE	MFT THE INVESTMENT COMPANY OF	B	0.00	5.48	0.00	5.48	90.0	4.93
06/21/2018	mfc932013	SMITH KATHERINE	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	37.60	0.00	37.60	90.0	33.84
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$836.01	\$0.00	\$836.01		\$752.46

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
*** CLEARING TRANSACTIONS TOTAL ***				\$-84,053.85	\$4,566.01	\$210.00	\$4,356.01		\$3,920.46

DIRECT TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

06/19/2018 00083443944 MYERS, RICHARD	MF	CAPITAL WORLD GROWTH AND INCOME	B	9,914.22	272.64	0.00	272.64	90.0	245.38
06/21/2018 00089064328 LOGSDON, TRACI	MF	THE GROWTH FUND OF AMERICA-A	B	50.00	1.88	0.00	1.88	90.0	1.69
06/19/2018 04000850515 WHITSON, MELONYE	MF	AMERICAN BALANCED FUND-A	B	4,856.21	133.55	0.00	133.55	90.0	120.20
06/19/2018 04000869435 FBO SHELBY R	MF	NEW PERSPECTIVE FUND-A	B	2,476.53	92.87	0.00	92.87	90.0	83.58
06/19/2018 04000884234 KRAUSE, SHEILA	MF	AMERICAN BALANCED FUND-A	B	2,476.87	92.88	0.00	92.88	90.0	83.59
06/19/2018 04000887248 KRAUSE, JEFFREY	MF	NEW PERSPECTIVE FUND-A	B	4,951.94	185.70	0.00	185.70	90.0	167.13
06/19/2018 04000907325 SPICHER, BEVERLY	MF	NEW PERSPECTIVE FUND-A	B	2,489.73	124.49	0.00	124.49	90.0	112.04
* MUTUAL FUNDS SUBTOTAL *				\$27,215.50	\$904.01	\$0.00	\$904.01		\$813.61

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

05/31/2018 (None) SMITH, CLAY	MFT	VOYA	B	0.00	3.19	0.00	3.19	90.0	2.87
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$3.19	\$0.00	\$3.19		\$2.87
*** DIRECT TRANSACTIONS TOTAL ***				\$27,215.50	\$907.20	\$0.00	\$907.20		\$816.48

ADJUSTMENTS TRANSACTIONSBROKER: #0

06/30/2018	:	BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
06/30/2018	:	E&O		0.00	0.00	0.00	0.00		-120.00
06/30/2018	:	E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
06/30/2018	:	MONEY MARKET TRAILS		0.00	0.00	0.00	0.00		436.10
* SUBTOTAL *				\$0.00	\$0.00	\$0.00	\$0.00		\$261.10
*** ADJUSTMENTS TRANSACTIONS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$261.10

BROKER COMMISSION TOTALS

Broker Transactions	\$4,736.94
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$261.10
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$4,998.04
Year-to-date Commissions	\$47,254.95