

COMMISSION STATEMENT

July 31, 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 |
|---------------------------------------|-----------------|--------------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>CLEARING TRANSACTIONS</u> | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | | |
| 07/24/2018 154119554 | BAKER, BEVERLY | MF FIDELITY ADV SHORT TERM BOND FD S | | -6,161.64 | 0.00 | 5.00 | -5.00 | 0.0 | 0.00 |
| 07/24/2018 154119554 | BAKER, BEVERLY | MF FIDELITY ADVISOR EMERGING MKT S | | -1,581.18 | 0.00 | 5.00 | -5.00 | 0.0 | 0.00 |
| 07/24/2018 154119554 | BAKER, BEVERLY | MF JANUS FLEXIBLE BOND FD CL I S | | -6,833.65 | 0.00 | 5.00 | -5.00 | 0.0 | 0.00 |
| 07/24/2018 154119554 | BAKER, BEVERLY | MF JP MORGAN CORE BOND FD SELECT S | | -9,099.30 | 0.00 | 5.00 | -5.00 | 0.0 | 0.00 |
| 07/24/2018 154119554 | BAKER, BEVERLY | MF METROPOLITAN WEST TOTAL RETURN S | | -9,119.99 | 0.00 | 5.00 | -5.00 | 0.0 | 0.00 |
| 07/24/2018 154119554 | BAKER, BEVERLY | MF PIMCO INCOME FD I S | | -7,633.91 | 0.00 | 5.00 | -5.00 | 0.0 | 0.00 |
| 07/24/2018 154119554 | BAKER, BEVERLY | MF TEMPLETON GLOBAL BD FD ADV CL S | | -1,708.61 | 0.00 | 5.00 | -5.00 | 0.0 | 0.00 |
| 07/27/2018 368293615 | MARTIN, RONALD | MF CAPITAL WORLD GROWTH AND INCOME B | | -5,992.55 | 0.00 | 5.00 | -5.00 | 0.0 | 0.00 |
| 07/26/2018 368330542 | LADNER, HERSHEL | MF ALLIANZGI GLOBAL ALLOCATION C B | | -38,492.55 | 0.00 | 5.00 | -5.00 | 0.0 | 0.00 |
| * MUTUAL FUNDS SUBTOTAL * | | | | \$-86,623.38 | \$0.00 | \$45.00 | \$-45.00 | | \$0.00 |

PRODUCT CATEGORY: STOCKS

| | | | | | | | | | |
|----------------------|-------------------|-----------------------------------|---|------------|-------|-------|------|-----|------|
| 07/13/2018 154119554 | BAKER, BEVERLY | S COHEN & STEERS REIT AND | B | 15,047.06 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/13/2018 154119554 | BAKER, BEVERLY | S INVESCO MUNICIPAL TRUST | B | 15,017.95 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/13/2018 154119554 | BAKER, BEVERLY | S INVESCO TRUST FOR INVESTMENT | B | 15,021.22 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/13/2018 154119554 | BAKER, BEVERLY | S MPLX L.P. | B | 14,983.43 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/13/2018 154119554 | BAKER, BEVERLY | S SUNOCO LOGISTICS ETP | B | 14,909.17 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/13/2018 154119554 | BAKER, BEVERLY | S TARGA RESOURCES CORP | B | 15,000.00 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/13/2018 154119554 | BAKER, BEVERLY | S VENTAS INCORPORATED | B | 15,048.40 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/16/2018 154119554 | BAKER, BEVERLY | S BROOKFIELD INFRASTRUCTURE | B | 7,020.96 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/24/2018 154119554 | BAKER, BEVERLY | S COHEN & STEERS CLOSED-END | B | 10,038.16 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/24/2018 154119554 | BAKER, BEVERLY | S INVESCO PREFERRED ETF | B | 10,012.61 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/24/2018 154119554 | BAKER, BEVERLY | S LIBERTY ALL STAR EQUITY FUND SH | B | 10,021.19 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/16/2018 307663507 | GOTHARD, CAROLYN | S BROOKFIELD INFRASTRUCTURE | B | 2,531.49 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/13/2018 368261812 | WURSTER, SUSANNE | S TARGET CORP | S | -24,926.23 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/16/2018 368261812 | WURSTER, SUSANNE | S BROOKFIELD INFRASTRUCTURE | B | 21,774.76 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/23/2018 368261812 | WURSTER, SUSANNE | S NUVEEN CREDIT STRATEGIES INCOME | S | -38,859.84 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/23/2018 368290532 | MARSHALL, RICHARD | S NUVEEN CREDIT STRATEGIES INCOME | S | -11,914.02 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/23/2018 368293615 | MARTIN, RONALD | S NUVEEN CREDIT STRATEGIES INCOME | S | -6,754.36 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/13/2018 368314002 | LEMMONS, THOMAS | S TARGET CORP | S | -6,221.67 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/16/2018 368314002 | LEMMONS, THOMAS | S BROOKFIELD INFRASTRUCTURE | B | 7,995.95 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |

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| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|----------------------|---------------------|-----------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| 07/23/2018 368314002 | LEMMONS, THOMAS | S NUVEEN CREDIT STRATEGIES INCOME | S | -11,553.21 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/27/2018 368330542 | LADNER, HERSHEL | S BROOKFIELD INFRASTRUCTURE | B | 9,970.55 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/27/2018 368330542 | LADNER, HERSHEL | S INVESCO PREFERRED ETF | B | 10,006.52 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/27/2018 368330542 | LADNER, HERSHEL | S LIBERTY ALL STAR EQUITY FUND SH | B | 10,008.82 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/23/2018 368435724 | STAFF, RENEE | S NUVEEN CREDIT STRATEGIES INCOME | S | -7,341.66 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/16/2018 368441888 | PHILLIPS, CHRISTINE | S BROOKFIELD INFRASTRUCTURE | B | 4,999.06 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/16/2018 368462158 | PARSONS, JAMES | S BROOKFIELD INFRASTRUCTURE | B | 12,248.15 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/23/2018 368462158 | PARSONS, JAMES | S NUVEEN CREDIT STRATEGIES INCOME | S | -19,342.99 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/13/2018 368462732 | GOTHARD, CAROLYN | S TARGET CORP | S | -24,935.83 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/16/2018 368462732 | GOTHARD, CAROLYN | S BROOKFIELD INFRASTRUCTURE | B | 15,019.29 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/17/2018 368464494 | STUBBS, DAVID | S COHEN & STEERS CLOSED-END | B | 9,021.06 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/17/2018 368464494 | STUBBS, DAVID | S INVESCO PREFERRED ETF | B | 9,006.52 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/17/2018 368464494 | STUBBS, DAVID | S LIBERTY ALL STAR EQUITY FUND SH | B | 9,015.41 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/17/2018 368464494 | STUBBS, DAVID | S NUVEEN CREDIT STRATEGIES INCOME | B | 9,037.18 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/17/2018 368464494 | STUBBS, DAVID | S TARGA RESOURCES CORP | B | 8,998.46 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/17/2018 368464494 | STUBBS, DAVID | S VENTAS INCORPORATED | B | 8,993.73 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/18/2018 368464494 | STUBBS, DAVID | S BROOKFIELD INFRASTRUCTURE | B | 9,008.61 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/18/2018 368464494 | STUBBS, DAVID | S COHEN & STEERS REIT AND | B | 9,029.80 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/18/2018 368464494 | STUBBS, DAVID | S LIBERTY ALL STAR EQUITY FUND SH | B | 9,025.72 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/23/2018 584415418 | PHILLIPS, TRAVIS | S NUVEEN CREDIT STRATEGIES INCOME | S | -4,822.54 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/13/2018 646769616 | ROBBINS, BRIAN | S TARGET CORP | S | -7,466.25 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/23/2018 677627409 | CAREY, LESLEY | S NUVEEN CREDIT STRATEGIES INCOME | S | -19,342.50 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/13/2018 799809455 | WILFORD, NED | S TARGET CORP | S | -37,381.45 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/16/2018 799809455 | WILFORD, NED | S BROOKFIELD INFRASTRUCTURE | B | 27,474.07 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 07/23/2018 799809455 | WILFORD, NED | S NUVEEN CREDIT STRATEGIES INCOME | S | -31,736.54 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |

*** STOCKS SUBTOTAL *****\$92,686.21****\$660.00****\$660.00****\$0.00****\$0.00**PRODUCT CATEGORY: MISCELLANEOUS

| | | | | | | | | | |
|----------------------|---------------|-----------------------------------|---|------|------|------|------|-----|------|
| 07/25/2018 a03539565 | DPM-D111, TOM | MI MUTUAL FUND MISC FEE 154119554 | S | 0.00 | 5.00 | 0.00 | 5.00 | 0.0 | 0.00 |
| 07/25/2018 a03539565 | DPM-D111, TOM | MI MUTUAL FUND MISC FEE 154119554 | S | 0.00 | 5.00 | 0.00 | 5.00 | 0.0 | 0.00 |
| 07/25/2018 a03539565 | DPM-D111, TOM | MI MUTUAL FUND MISC FEE 154119554 | S | 0.00 | 5.00 | 0.00 | 5.00 | 0.0 | 0.00 |
| 07/25/2018 a03539565 | DPM-D111, TOM | MI MUTUAL FUND MISC FEE 154119554 | S | 0.00 | 5.00 | 0.00 | 5.00 | 0.0 | 0.00 |
| 07/25/2018 a03539565 | DPM-D111, TOM | MI MUTUAL FUND MISC FEE 154119554 | S | 0.00 | 5.00 | 0.00 | 5.00 | 0.0 | 0.00 |
| 07/25/2018 a03539565 | DPM-D111, TOM | MI MUTUAL FUND MISC FEE 154119554 | S | 0.00 | 5.00 | 0.00 | 5.00 | 0.0 | 0.00 |
| 07/25/2018 a03539565 | DPM-D111, TOM | MI MUTUAL FUND MISC FEE 154119554 | S | 0.00 | 5.00 | 0.00 | 5.00 | 0.0 | 0.00 |
| 07/27/2018 a03539565 | DPM-D111, TOM | MI MUTUAL FUND MISC FEE 368330542 | S | 0.00 | 5.00 | 0.00 | 5.00 | 0.0 | 0.00 |

*** MISCELLANEOUS SUBTOTAL *****\$0.00****\$40.00****\$0.00****\$40.00****\$0.00**PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | | |
|----------------------|-----------------|-------------------------------------|---|------|-------|------|-------|-----|------|
| 07/23/2018 mfc539565 | DPM BRSITER TOM | MFT ALLIANZ OCC RENAISSANCE FUND | B | 0.00 | 5.36 | 0.00 | 5.36 | 0.0 | 0.00 |
| 07/23/2018 mfc539565 | DPM BRSITER TOM | MFT ALLIANZ RCM TECHNOLOGY FUND | B | 0.00 | 5.06 | 0.00 | 5.06 | 0.0 | 0.00 |
| 07/23/2018 mfc539565 | DPM BRSITER TOM | MFT ALLIANZGI GLOBAL ALLOCATION A | B | 0.00 | 1.94 | 0.00 | 1.94 | 0.0 | 0.00 |
| 07/23/2018 mfc539565 | DPM BRSITER TOM | MFT ALLIANZGI GLOBAL ALLOCATION C | B | 0.00 | 60.60 | 0.00 | 60.60 | 0.0 | 0.00 |
| 07/23/2018 mfc539565 | DPM BRSITER TOM | MFT AMG MANAGERS CADENCE MIDCAP FD | B | 0.00 | 12.66 | 0.00 | 12.66 | 0.0 | 0.00 |
| 07/23/2018 mfc539565 | DPM BRSITER TOM | MFT CAPITAL WORLD GROWTH AND INCOME | B | 0.00 | 7.24 | 0.00 | 7.24 | 0.0 | 0.00 |

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|--------------------------------------|---------------------------|-----------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| 07/23/2018 | mfc539565 DPM BRSITER TOM | MFT DREYFUS RESEARCH GROWTH FD A | B | 0.00 | 0.45 | 0.00 | 0.45 | 0.0 | 0.00 |
| 07/23/2018 | mfc539565 DPM BRSITER TOM | MFT MARSICO FOCUS FD | B | 0.00 | 1.42 | 0.00 | 1.42 | 0.0 | 0.00 |
| 07/23/2018 | mfc539565 DPM BRSITER TOM | MFT OPPENHEIMER CAPITAL INCOME FD | B | 0.00 | 3.25 | 0.00 | 3.25 | 0.0 | 0.00 |
| 07/23/2018 | mfc539565 DPM BRSITER TOM | MFT PIM 018919704 | B | 0.00 | 7.20 | 0.00 | 7.20 | 0.0 | 0.00 |
| 07/23/2018 | mfc539565 DPM BRSITER TOM | MFT RUSSELL LIFEPOINTS GROWTH | B | 0.00 | 57.62 | 0.00 | 57.62 | 0.0 | 0.00 |
| 07/23/2018 | mfc539565 DPM BRSITER TOM | MFT THE INCOME FUND OF AMERICA-A | B | 0.00 | 11.20 | 0.00 | 11.20 | 0.0 | 0.00 |
| 07/23/2018 | mfc539565 DPM BRSITER TOM | MFT WASHINGTON MUTUAL INVESTORS | B | 0.00 | 31.83 | 0.00 | 31.83 | 0.0 | 0.00 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | \$0.00 | \$205.83 | \$0.00 | \$205.83 | | \$0.00 |
| *** CLEARING TRANSACTIONS TOTAL *** | | | | \$6,062.83 | \$905.83 | \$705.00 | \$200.83 | | \$0.00 |

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 |