

COMMISSION STATEMENT

November 30, 2018

 ALEX BRISTER-D010
 32180 Inverness Drive

 BROKER #: D010
 BRANCH: DMD

Evergreen, CO 80439

COMMISSION STATEMENT for ALEX BRISTER-D010

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
11/19/2018 368435014	SELDOMRIDGE,	MF ALLIANZ OCC RENAISSANCE FUND	S	10,975.16	0.00	5.00	-5.00	50.0	-2.50
11/19/2018 368435014	SELDOMRIDGE,	MF ALLIANZ RCM ST DURATION HIGH	S	-10,500.65	0.00	5.00	-5.00	50.0	-2.50
11/19/2018 368435014	SELDOMRIDGE,	MF EUROPACIFIC GROWTH FUND CLASS C	S	-3,992.09	0.00	5.00	-5.00	50.0	-2.50
11/19/2018 368435014	SELDOMRIDGE,	MF NEW PERSPECTIVE FUND-C	S	-3,129.91	0.00	5.00	-5.00	50.0	-2.50
11/19/2018 368435014	SELDOMRIDGE,	MF SMALLCAP WORLD FUND-C	S	-5,256.71	0.00	5.00	-5.00	50.0	-2.50
11/19/2018 368436068	SELDOMRIDGE,	MF NEW PERSPECTIVE FUND-C	S	-10,099.88	0.00	5.00	-5.00	50.0	-2.50
11/19/2018 368436068	SELDOMRIDGE,	MF SMALLCAP WORLD FUND-C	S	-5,256.71	0.00	5.00	-5.00	50.0	-2.50
11/01/2018 676429808	BRISTER, THOMAS	MF AMERICAN FDS NEW WORLD FD CL F2	S	1,007.45	0.00	2.50	-2.50	50.0	-1.25
11/02/2018 676429808	BRISTER, THOMAS	MF HOMESTEAD SMALL CO STOCK FD INV	S	-1,651.69	0.00	5.00	-5.00	50.0	-2.50
11/02/2018 676429808	BRISTER, THOMAS	MF VANGUARD STRAT SM CAP EQ FD INV	S	1,657.45	0.00	2.50	-2.50	50.0	-1.25
11/13/2018 676429808	BRISTER, THOMAS	MF FUNDAMENTAL INVESTORS-A	S	-2,917.10	0.00	5.00	-5.00	50.0	-2.50
11/13/2018 676429808	BRISTER, THOMAS	MF NEW WORLD FUND-A	S	-2,673.53	0.00	5.00	-5.00	50.0	-2.50
* MUTUAL FUNDS SUBTOTAL *				\$-31,838.21	\$0.00	\$55.00	\$-55.00		\$-27.50
<u>PRODUCT CATEGORY: STOCKS</u>									
11/08/2018 676429808	BRISTER, THOMAS	S EBAY INC	S	-1,402.85	15.00	15.00	0.00	50.0	0.00
11/08/2018 676429808	BRISTER, THOMAS	S MERCADOLIBRE INC	S	-2,941.80	15.00	15.00	0.00	50.0	0.00
11/08/2018 676429808	BRISTER, THOMAS	S MYLAN N V SHS EURO ISIN	S	-1,099.74	15.00	15.00	0.00	50.0	0.00
11/08/2018 676429808	BRISTER, THOMAS	S SQUARE INC - CL A	S	-1,056.84	60.00	15.00	45.00	50.0	22.50
11/08/2018 676429808	BRISTER, THOMAS	S TWILIO INC - CL A	S	-919.74	15.00	15.00	0.00	50.0	0.00
11/15/2018 676429808	BRISTER, THOMAS	S CIRRUS LOGIC INC (DEL)	S	-2,537.44	15.00	15.00	0.00	50.0	0.00
11/15/2018 676429808	BRISTER, THOMAS	S ISHARES CORE S&P MID-CAP ETF	S	-2,764.86	15.00	15.00	0.00	50.0	0.00
11/15/2018 676429808	BRISTER, THOMAS	S PROCTER & GAMBLE COMPANY	S	-3,361.83	15.00	15.00	0.00	50.0	0.00
11/15/2018 676429808	BRISTER, THOMAS	S VANGUARD MSCI EAFE ETF	S	-969.54	15.00	15.00	0.00	50.0	0.00
* STOCKS SUBTOTAL *				\$-17,054.64	\$180.00	\$135.00	\$45.00		\$22.50
<u>PRODUCT CATEGORY: MISCELLANEOUS</u>									
11/05/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 676429808	S	0.00	5.00	0.00	5.00	50.0	2.50
11/05/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 676429808	S	0.00	5.00	0.00	5.00	50.0	2.50
11/05/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 676429808	S	0.00	5.00	0.00	5.00	50.0	2.50
11/14/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 676429808	S	0.00	5.00	0.00	5.00	50.0	2.50
11/14/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 676429808	S	0.00	5.00	0.00	5.00	50.0	2.50

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
11/20/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 368435014	S	0.00	5.00	0.00	5.00	50.0	2.50
11/20/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 368435014	S	0.00	5.00	0.00	5.00	50.0	2.50
11/20/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 368436068	S	0.00	5.00	0.00	5.00	50.0	2.50
11/20/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 368435014	S	0.00	5.00	0.00	5.00	50.0	2.50
11/20/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 368436068	S	0.00	5.00	0.00	5.00	50.0	2.50
11/20/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 368435014	S	0.00	5.00	0.00	5.00	50.0	2.50
11/20/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 368435014	S	0.00	5.00	0.00	5.00	50.0	2.50
* MISCELLANEOUS SUBTOTAL *				\$0.00	\$60.00	\$0.00	\$60.00		\$30.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZ NFJ INTERNATIONAL FUND	B	0.00	2.06	0.00	2.06	50.0	1.03
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZ NFJ INTL VALUE FD CL C	B	0.00	1.30	0.00	1.30	50.0	0.65
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZ NFJ DIVIDEND VALUE FUND	B	0.00	0.91	0.00	0.91	50.0	0.46
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZ NFJ DIVIDEND VALUE FUND	B	0.00	6.70	0.00	6.70	50.0	3.35
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZ OCC RENAISSANCE FUND	B	0.00	1.01	0.00	1.01	50.0	0.51
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZ OCC RENAISSANCE FUND	B	0.00	1.12	0.00	1.12	50.0	0.56
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZ RCM ST DURATION HIGH	B	0.00	1.98	0.00	1.98	50.0	0.99
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZGI SHRT DURATION HIGH	B	0.00	0.59	0.00	0.59	50.0	0.30
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	2.59	0.00	2.59	50.0	1.30
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZGI NFJ DIVIDEND VALUE C	B	0.00	9.80	0.00	9.80	50.0	4.90
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZGI NFJ DIVIDEND VALUE C	B	0.00	10.72	0.00	10.72	50.0	5.36
11/21/2018 mfc652653	BRISTER A 652653	MFT AMCAP FUND-A	B	0.00	0.42	0.00	0.42	50.0	0.21
11/21/2018 mfc652653	BRISTER A 652653	MFT AMCAP FUND-A	B	0.00	3.22	0.00	3.22	50.0	1.61
11/21/2018 mfc652653	BRISTER A 652653	MFT AMCAP FUND-A	B	0.00	10.40	0.00	10.40	50.0	5.20
11/21/2018 mfc652653	BRISTER A 652653	MFT AMCAP FUND-C	B	0.00	9.04	0.00	9.04	50.0	4.52
11/21/2018 mfc652653	BRISTER A 652653	MFT CAPITAL INCOME BUILDER-A	B	0.00	0.28	0.00	0.28	50.0	0.14
11/21/2018 mfc652653	BRISTER A 652653	MFT CAPITAL WORLD GROWTH AND	B	0.00	0.92	0.00	0.92	50.0	0.46
11/21/2018 mfc652653	BRISTER A 652653	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	0.18	0.00	0.18	50.0	0.09
11/21/2018 mfc652653	BRISTER A 652653	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.12	0.00	2.12	50.0	1.06
11/21/2018 mfc652653	BRISTER A 652653	MFT EUROPACIFIC GROWTH FUND CLASS C	B	0.00	3.49	0.00	3.49	50.0	1.75
11/21/2018 mfc652653	BRISTER A 652653	MFT EUROPACIFIC GROWTH FUND-A	B	0.00	0.16	0.00	0.16	50.0	0.08
11/21/2018 mfc652653	BRISTER A 652653	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.33	0.00	0.33	50.0	0.17
11/21/2018 mfc652653	BRISTER A 652653	MFT FUNDAMENTAL INVESTORS-A	B	0.00	3.15	0.00	3.15	50.0	1.58
11/21/2018 mfc652653	BRISTER A 652653	MFT FUNDAMENTAL INVESTORS-A	B	0.00	3.49	0.00	3.49	50.0	1.75
11/21/2018 mfc652653	BRISTER A 652653	MFT INVESTMENT COMPANY OF AMERICA	B	0.00	2.24	0.00	2.24	50.0	1.12
11/21/2018 mfc652653	BRISTER A 652653	MFT INVESTMENT COMPANY OF AMERICA	B	0.00	5.89	0.00	5.89	50.0	2.95
11/21/2018 mfc652653	BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	0.12	0.00	0.12	50.0	0.06
11/21/2018 mfc652653	BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	1.25	0.00	1.25	50.0	0.63
11/21/2018 mfc652653	BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	1.32	0.00	1.32	50.0	0.66
11/21/2018 mfc652653	BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	1.83	0.00	1.83	50.0	0.92
11/21/2018 mfc652653	BRISTER A 652653	MFT NEW PERSPECTIVE FUND-C	B	0.00	2.78	0.00	2.78	50.0	1.39
11/21/2018 mfc652653	BRISTER A 652653	MFT NEW PERSPECTIVE FUND-C	B	0.00	8.96	0.00	8.96	50.0	4.48
11/21/2018 mfc652653	BRISTER A 652653	MFT NEW WORLD FUND-A	B	0.00	1.41	0.00	1.41	50.0	0.71
11/21/2018 mfc652653	BRISTER A 652653	MFT PIM 018918664	B	0.00	0.58	0.00	0.58	50.0	0.29

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11/21/2018	mfc652653 BRISTER A 652653	MFT PIM 018918664	B	0.00	0.65	0.00	0.65	50.0	0.33
11/21/2018	mfc652653 BRISTER A 652653	MFT PIMCO STOCKSPLUS A	B	0.00	2.68	0.00	2.68	50.0	1.34
11/21/2018	mfc652653 BRISTER A 652653	MFT PIMCO STOCKSPLUS A	B	0.00	8.39	0.00	8.39	50.0	4.20
11/21/2018	mfc652653 BRISTER A 652653	MFT SHORT-TERM BOND FUND OF AMERICA	B	0.00	1.27	0.00	1.27	50.0	0.64
11/21/2018	mfc652653 BRISTER A 652653	MFT SMALLCAP WORLD FUND-C	B	0.00	4.70	0.00	4.70	50.0	2.35
11/21/2018	mfc652653 BRISTER A 652653	MFT SMALLCAP WORLD FUND-C	B	0.00	4.70	0.00	4.70	50.0	2.35
11/21/2018	mfc652653 BRISTER A 652653	MFT SMALLCAP WORLD FUND-A	B	0.00	0.15	0.00	0.15	50.0	0.08
11/21/2018	mfc652653 BRISTER A 652653	MFT SMALLCAP WORLD FUND-A	B	0.00	1.68	0.00	1.68	50.0	0.84
11/21/2018	mfc652653 BRISTER A 652653	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	5.82	0.00	5.82	50.0	2.91
11/21/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	0.25	0.00	0.25	50.0	0.13
11/21/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	1.70	0.00	1.70	50.0	0.85
11/21/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	1.73	0.00	1.73	50.0	0.87
11/21/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	2.21	0.00	2.21	50.0	1.11
11/21/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	3.89	0.00	3.89	50.0	1.95
11/21/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	12.05	0.00	12.05	50.0	6.03
11/21/2018	mfc652653 BRISTER A 652653	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	0.32	0.00	0.32	50.0	0.16
11/21/2018	mfc652653 BRISTER A 652653	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	9.11	0.00	9.11	50.0	4.56
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$163.66	\$0.00	\$163.66		\$81.94
*** CLEARING TRANSACTIONS TOTAL ***				\$-48,892.85	\$403.66	\$190.00	\$213.66		\$106.94

DIRECT TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

11/05/2018 (None) 0045711389	MF SCHOLARS CHOICE	B	50.00	1.50	0.00	1.50	50.0	0.75
11/05/2018 (None) 0045795127	MF SCHOLARS CHOICE	B	50.00	1.50	0.00	1.50	50.0	0.75
11/05/2018 (None) 0045709342	MF SCHOLARS CHOICE	B	50.00	1.50	0.00	1.50	50.0	0.75
11/12/2018 00068781179 GERRIE, SARA	MF AMCAP FUND-A	B	1,500.00	41.25	0.00	41.25	50.0	20.63
11/15/2018 00083404474 BARNES, WENDY	MF AMCAP FUND-A	B	500.00	18.75	0.00	18.75	50.0	9.38
* MUTUAL FUNDS SUBTOTAL *				\$2,150.00	\$64.50	\$0.00	\$64.50	\$32.26
*** DIRECT TRANSACTIONS TOTAL ***				\$2,150.00	\$64.50	\$0.00	\$64.50	\$32.26

ADJUSTMENTS TRANSACTIONSBROKER: #0

11/30/2018	: BROKER WORKSTATION	0.00	0.00	0.00	0.00	-30.00
11/30/2018	: E-MAIL ACCOUNT	0.00	0.00	0.00	0.00	-25.00
* SUBTOTAL *		\$0.00	\$0.00	\$0.00	\$0.00	\$-55.00
*** ADJUSTMENTS TRANSACTIONS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-55.00

BROKER COMMISSION TOTALS

Broker Transactions	\$139.20
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-55.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$84.20
Year-to-date Commissions	\$2,265.32