

COMMISSION STATEMENT October 31, 2018

TOM BRISTER-D011
 32180 Inverness Drive

BROKER #: D011
 BRANCH: DMD

Evergreen, CO 80439

COMMISSION STATEMENT for TOM BRISTER-D011

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

10/01/2018 368373609	HUSTON, SHIRLEY	MF PIMCO SHORT TERM FD CL C	B	-997.55	0.00	5.00	-5.00	87.5	-4.38
09/27/2018 368431047	COURTNEY, LEONA	MF RUSSELL LIFEPOINTS MOD STRATEGY B	B	-4,997.55	0.00	5.00	-5.00	87.5	-4.38
* MUTUAL FUNDS SUBTOTAL *				\$-5,995.10	\$0.00	\$10.00	\$-10.00		\$-8.76

PRODUCT CATEGORY: STOCKS

10/10/2018 368434452	GREGENSEN, DONNA	S COHEN & STEERS CLOSED-END	S	-9,475.67	15.00	15.00	0.00	87.5	0.00
10/10/2018 368434462	GREGENSEN, JOHN	S COHEN & STEERS CLOSED-END	S	-9,475.67	15.00	15.00	0.00	87.5	0.00
10/02/2018 677592886	DALEY, LONNY	S SANCHEZ ENERGY CORP	B	2,377.45	35.00	15.00	20.00	87.5	17.50
10/11/2018 677592886	DALEY, LONNY	S FERRARI NV NEW ISIN	S	-19,744.71	303.00	15.00	288.00	87.5	252.00
* STOCKS SUBTOTAL *				\$-36,318.60	\$368.00	\$60.00	\$308.00		\$269.50

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/19/2018 mfc564136	BRISTER T 564136	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	0.61	0.00	0.61	87.5	0.53
10/19/2018 mfc564136	BRISTER T 564136	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	12.80	0.00	12.80	87.5	11.20
10/19/2018 mfc564136	BRISTER T 564136	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	51.30	0.00	51.30	87.5	44.89
10/19/2018 mfc564136	BRISTER T 564136	MFT FEDERATED EQUITY INCOME FUND	B	0.00	0.39	0.00	0.39	87.5	0.34
10/19/2018 mfc564136	BRISTER T 564136	MFT PIMCO SHORT TERM FD CL C	B	0.00	7.71	0.00	7.71	87.5	6.75
10/19/2018 mfc564136	BRISTER T 564136	MFT PRINCIPAL INVESTORS SAM CONSERV	B	0.00	3.95	0.00	3.95	87.5	3.46
10/19/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	1.51	0.00	1.51	87.5	1.32
10/19/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	2.12	0.00	2.12	87.5	1.86
10/19/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	2.12	0.00	2.12	87.5	1.86
10/19/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	22.13	0.00	22.13	87.5	19.36
10/19/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	25.55	0.00	25.55	87.5	22.36
10/19/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	26.87	0.00	26.87	87.5	23.51
10/19/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	50.14	0.00	50.14	87.5	43.87
10/19/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY B	B	0.00	2.04	0.00	2.04	87.5	1.79
10/19/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY B	B	0.00	2.45	0.00	2.45	87.5	2.14
10/19/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY B	B	0.00	3.48	0.00	3.48	87.5	3.05
10/19/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY B	B	0.00	38.27	0.00	38.27	87.5	33.49
10/19/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY B	B	0.00	54.55	0.00	54.55	87.5	47.73
10/19/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY B	B	0.00	58.81	0.00	58.81	87.5	51.46
10/19/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY B	B	0.00	98.48	0.00	98.48	87.5	86.17

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10/19/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS EQTY GROWTH	B	0.00	1.83	0.00	1.83	87.5	1.60
10/19/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS MOD STRATEGY	B	0.00	44.51	0.00	44.51	87.5	38.95
10/19/2018	mfc564136 BRISTER T 564136	MFT TEMPLETON GROWTH FUND CLASS A	B	0.00	8.21	0.00	8.21	87.5	7.18
10/19/2018	mfc564136 BRISTER T 564136	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	21.50	0.00	21.50	87.5	18.81
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$541.33	\$0.00	\$541.33		\$473.68
*** CLEARING TRANSACTIONS TOTAL ***				\$-42,313.70	\$909.33	\$70.00	\$839.33		\$734.42

DIRECT TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

10/15/2018	00064805200 SCHMIDT,	MF NEW PERSPECTIVE FUND-A	B	70.00	3.50	0.00	3.50	87.5	3.06
10/15/2018	00064805200 SCHMIDT,	MF THE INVESTMENT COMPANY OF	B	70.00	3.50	0.00	3.50	87.5	3.06
10/15/2018	00086110559 DRAUGHN, DUSTIN	MF THE INVESTMENT COMPANY OF	B	300.00	11.25	0.00	11.25	87.5	9.84
* MUTUAL FUNDS SUBTOTAL *				\$440.00	\$18.25	\$0.00	\$18.25		\$15.96

PRODUCT CATEGORY: VARIABLE ANNUITIES

10/15/2018	(None) GREGERSON	VA PHOENIX LIFE	B	100.00	4.00	0.00	4.00	87.5	3.50
10/19/2018	(None) BRISTER, LYDIA	VA PRUDENTIAL LIFE	B	200.00	10.00	0.00	10.00	87.5	8.75
* VARIABLE ANNUITIES SUBTOTAL *				\$300.00	\$14.00	\$0.00	\$14.00		\$12.25

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/30/2018	(None) VARIOUS, BRISTER T	MFT SCHOLARS CHOICE	B	0.00	73.03	0.00	73.03	87.5	63.90
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$73.03	\$0.00	\$73.03		\$63.90

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

10/18/2018	(None) BLACKWELL, JACQU	VAT AMERITAS	B	0.00	9.48	0.00	9.48	87.5	8.30
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$9.48	\$0.00	\$9.48		\$8.30
*** DIRECT TRANSACTIONS TOTAL ***				\$740.00	\$114.76	\$0.00	\$114.76		\$100.41

OVERRIDE TRANSACTIONSBROKER: ALEX BRISTER-D010 #14

10/12/2018	00068781179 GERRIE, SARA	MF AMCAP FUND-A	B	1,500.00	41.25	0.00	41.25		15.47
10/15/2018	00083404474 BARNES, WENDY	MF AMCAP FUND-A	B	500.00	18.75	0.00	18.75		7.03
09/30/2018	(None) VARIOUS, BRISTER A	MFT PIMCO 12B-1	B	0.00	9.06	0.00	9.06		3.40
09/30/2018	(None) VARIOUS, BRISTER A	MFT SCHOLARS CHOICE	B	0.00	431.95	0.00	431.95		161.98
10/19/2018	mfc652653 BRISTER A 652653	MFT ALLIANZ NFJ INTL VALUE FD CL C	B	0.00	9.72	0.00	9.72		3.65
10/19/2018	mfc652653 BRISTER A 652653	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	2.59	0.00	2.59		0.97
10/19/2018	mfc652653 BRISTER A 652653	MFT ALLIANZGI NFJ DIVIDEND VALUE C	B	0.00	13.15	0.00	13.15		4.93
10/19/2018	mfc652653 BRISTER A 652653	MFT ALLIANZGI NFJ DIVIDEND VALUE C	B	0.00	35.18	0.00	35.18		13.19
10/19/2018	mfc652653 BRISTER A 652653	MFT ALLIANZGI SHRT DURATION HIGH	B	0.00	4.43	0.00	4.43		1.66
10/19/2018	mfc652653 BRISTER A 652653	MFT AMCAP FUND-A	B	0.00	0.43	0.00	0.43		0.16
10/19/2018	mfc652653 BRISTER A 652653	MFT AMCAP FUND-A	B	0.00	3.26	0.00	3.26		1.22

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10/19/2018	mfc652653 BRISTER A 652653	MFT AMCAP FUND-A	B	0.00	10.55	0.00	10.55		3.96
10/19/2018	mfc652653 BRISTER A 652653	MFT AMCAP FUND-C	B	0.00	9.17	0.00	9.17		3.44
10/19/2018	mfc652653 BRISTER A 652653	MFT CAPITAL INCOME BUILDER-A	B	0.00	0.27	0.00	0.27		0.10
10/19/2018	mfc652653 BRISTER A 652653	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	0.18	0.00	0.18		0.07
10/19/2018	mfc652653 BRISTER A 652653	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.14	0.00	2.14		0.80
10/19/2018	mfc652653 BRISTER A 652653	MFT CAPITAL WORLD GROWTH AND	B	0.00	0.94	0.00	0.94		0.35
10/19/2018	mfc652653 BRISTER A 652653	MFT EUROPACIFIC GROWTH FUND CLASS C	B	0.00	3.60	0.00	3.60		1.35
10/19/2018	mfc652653 BRISTER A 652653	MFT EUROPACIFIC GROWTH FUND-A	B	0.00	0.16	0.00	0.16		0.06
10/19/2018	mfc652653 BRISTER A 652653	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.33	0.00	0.33		0.12
10/19/2018	mfc652653 BRISTER A 652653	MFT FUNDAMENTAL INVESTORS-A	B	0.00	3.18	0.00	3.18		1.19
10/19/2018	mfc652653 BRISTER A 652653	MFT FUNDAMENTAL INVESTORS-A	B	0.00	3.53	0.00	3.53		1.32
10/19/2018	mfc652653 BRISTER A 652653	MFT INVESTMENT COMPANY OF AMERICA	B	0.00	2.24	0.00	2.24		0.84
10/19/2018	mfc652653 BRISTER A 652653	MFT INVESTMENT COMPANY OF AMERICA	B	0.00	5.89	0.00	5.89		2.21
10/19/2018	mfc652653 BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	0.13	0.00	0.13		0.05
10/19/2018	mfc652653 BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	1.28	0.00	1.28		0.48
10/19/2018	mfc652653 BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	1.35	0.00	1.35		0.51
10/19/2018	mfc652653 BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	1.88	0.00	1.88		0.71
10/19/2018	mfc652653 BRISTER A 652653	MFT NEW PERSPECTIVE FUND-C	B	0.00	2.86	0.00	2.86		1.07
10/19/2018	mfc652653 BRISTER A 652653	MFT NEW PERSPECTIVE FUND-C	B	0.00	9.21	0.00	9.21		3.45
10/19/2018	mfc652653 BRISTER A 652653	MFT NEW WORLD FUND-A	B	0.00	1.43	0.00	1.43		0.54
10/19/2018	mfc652653 BRISTER A 652653	MFT PIM 018918664	B	0.00	4.34	0.00	4.34		1.63
10/19/2018	mfc652653 BRISTER A 652653	MFT PIM 018918664	B	0.00	4.86	0.00	4.86		1.82
10/19/2018	mfc652653 BRISTER A 652653	MFT PIMCO STOCKSPLUS A	B	0.00	2.70	0.00	2.70		1.01
10/19/2018	mfc652653 BRISTER A 652653	MFT PIMCO STOCKSPLUS A	B	0.00	8.46	0.00	8.46		3.17
10/19/2018	mfc652653 BRISTER A 652653	MFT SHORT-TERM BOND FUND OF AMERICA	B	0.00	1.23	0.00	1.23		0.46
10/19/2018	mfc652653 BRISTER A 652653	MFT SMALLCAP WORLD FUND-A	B	0.00	0.16	0.00	0.16		0.06
10/19/2018	mfc652653 BRISTER A 652653	MFT SMALLCAP WORLD FUND-A	B	0.00	1.76	0.00	1.76		0.66
10/19/2018	mfc652653 BRISTER A 652653	MFT SMALLCAP WORLD FUND-C	B	0.00	4.93	0.00	4.93		1.85
10/19/2018	mfc652653 BRISTER A 652653	MFT SMALLCAP WORLD FUND-C	B	0.00	4.93	0.00	4.93		1.85
10/19/2018	mfc652653 BRISTER A 652653	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	5.94	0.00	5.94		2.23
10/19/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	1.73	0.00	1.73		0.65
10/19/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	2.21	0.00	2.21		0.83
10/19/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	3.89	0.00	3.89		1.46
10/19/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	12.04	0.00	12.04		4.52
10/19/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	0.25	0.00	0.25		0.09
10/19/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	1.70	0.00	1.70		0.64
10/19/2018	mfc652653 BRISTER A 652653	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	0.32	0.00	0.32		0.12
10/19/2018	mfc652653 BRISTER A 652653	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	9.12	0.00	9.12		3.42
10/18/2018	(None) BRISTER, GARETT	VAT AMERITAS	B	0.00	1.30	0.00	1.30		0.49
* ALEX BRISTER-D010 SUBTOTAL *				\$2,000.00	\$701.96	\$0.00	\$701.96		\$263.24
*** OVERRIDE TRANSACTIONS TOTAL ***				\$2,000.00	\$701.96	\$0.00	\$701.96		\$263.24

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ADJUSTMENTS TRANSACTIONSBROKER: #0

10/31/2018	:	BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
10/31/2018	:	E&O		0.00	0.00	0.00	0.00		-130.00
10/31/2018	:	E&O - ALEX BRISTER		0.00	0.00	0.00	0.00		-130.00
10/31/2018	:	E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
10/31/2018	:	MONEY MARKET TRAILS		0.00	0.00	0.00	0.00		96.25
* SUBTOTAL *				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-218.75</u>
*** ADJUSTMENTS TRANSACTIONS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-218.75</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$834.83
Split Transactions	\$0.00
Override Transactions	\$263.24
Adjustments	\$-218.75
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$879.32
Year-to-date Commissions	\$30,315.97