

COMMISSION STATEMENT November 15, 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
<u>DIRECT TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
11/01/2018 00084791628	MASSENGALE,	MF NEW WORLD FUND-529A	B	50.00	2.13	0.00	2.13	90.0	1.92
11/01/2018 00084791669	MASSENGALE,	MF NEW WORLD FUND-529A	B	50.00	2.13	0.00	2.13	90.0	1.92
11/01/2018 00085359820	LOGSDON, TRACI	MF CAPITAL INCOME BUILDER-529A	B	50.00	2.13	0.00	2.13	90.0	1.92
11/01/2018 00085359860	LOGSDON, TRACI	MF CAPITAL INCOME BUILDER-529A	B	50.00	2.13	0.00	2.13	90.0	1.92
10/29/2018 00088311353	MASSENGALE, LARA	MF NEW PERSPECTIVE FUND-A	B	50.00	2.13	0.00	2.13	90.0	1.92
10/29/2018 00088311353	MASSENGALE, LARA	MF THE GROWTH FUND OF AMERICA-A	B	50.00	2.13	0.00	2.13	90.0	1.92
10/29/2018 00088338383	MASSENGALE, JASON	MF NEW PERSPECTIVE FUND-A	B	50.00	2.13	0.00	2.13	90.0	1.92
10/29/2018 00088338383	MASSENGALE, JASON	MF THE GROWTH FUND OF AMERICA-A	B	50.00	2.13	0.00	2.13	90.0	1.92
11/01/2018 00088996224	LOGSDON, AVARI	MF THE GROWTH FUND OF AMERICA-529A	B	50.00	2.13	0.00	2.13	90.0	1.92
11/01/2018 00089500058	PERTLL, JAMES	MF AMCAP FUND-A	B	50.00	2.50	0.00	2.50	90.0	2.25
11/01/2018 00089500058	PERTLL, JAMES	MF CAPITAL WORLD GROWTH AND INCOME	B	50.00	2.50	0.00	2.50	90.0	2.25
11/07/2018 04000143383	ZAVALA, GILBERT	MF AMERICAN BALANCED FUND-A	B	25.00	1.25	0.00	1.25	90.0	1.13
11/07/2018 04000143383	ZAVALA, GILBERT	MF THE GROWTH FUND OF AMERICA-A	B	25.00	1.25	0.00	1.25	90.0	1.13
11/01/2018 04000452396	PERTLL, JAMES	MF AMCAP FUND-A	B	50.00	1.00	0.00	1.00	90.0	0.90
11/01/2018 04000452396	PERTLL, JAMES	MF CAPITAL WORLD GROWTH AND INCOME	B	50.00	1.00	0.00	1.00	90.0	0.90
* MUTUAL FUNDS SUBTOTAL *				\$700.00	\$28.67	\$0.00	\$28.67		\$25.84
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
09/28/2018 (None)	SMITH, CLAY	MFT VOYA	B	0.00	3.16	0.00	3.16	90.0	2.84
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$3.16	\$0.00	\$3.16		\$2.84
*** DIRECT TRANSACTIONS TOTAL ***				\$700.00	\$31.83	\$0.00	\$31.83		\$28.68

BROKER COMMISSION TOTALS

Broker Transactions	\$28.68
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	\$28.68
Year-to-date Commissions	\$75,136.10