

COMMISSION STATEMENT

September 30, 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
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CLEARING TRANSACTIONS

PRODUCT CATEGORY: STOCKS

09/25/2018	183756909	CHRISTIAN TTEE,	S	PAN AMERICAN SILVER CORP. ISIN	B	15,077.35	295.00	15.00	280.00	90.0	252.00
09/18/2018	216031482	DE BULLET, EUGENE	S	GREEN THUMB INDUSTRIES INC ISIN	B	12,423.91	195.00	15.00	180.00	90.0	162.00
09/12/2018	277285841	FOSTER, MARSHA	S	JOHNSON & JOHNSON	S	-1,230.69	20.00	15.00	5.00	90.0	4.50
09/21/2018	277285841	FOSTER, MARSHA	S	PAN AMERICAN SILVER CORP. ISIN	B	15,142.45	290.00	15.00	275.00	90.0	247.50
09/21/2018	368347337	WHITSON, JONATHAN	S	PAN AMERICAN SILVER CORP. ISIN	B	15,142.45	290.00	15.00	275.00	90.0	247.50
08/30/2018	368356408	DEADY, MYRNA	S	GENERAL DYNAMICS CORPORATION	S	-4,742.02	60.00	15.00	45.00	90.0	40.50
09/24/2018	368463638	FULLER, KAREN	S	COMCAST CORPORATION CL A NEW	B	17,922.45	295.00	15.00	280.00	90.0	252.00
09/26/2018	368493081	SHAW JR, WILLIAM	S	COMCAST CORPORATION CL A NEW	B	18,047.40	265.00	15.00	250.00	90.0	225.00
09/26/2018	368493081	SHAW JR, WILLIAM	S	PAN AMERICAN SILVER CORP. ISIN	B	14,937.35	195.00	15.00	180.00	90.0	162.00
09/24/2018	399469831	JOE PAUL JONE IRR	S	COMCAST CORPORATION CL A NEW	B	35,622.45	370.00	15.00	355.00	90.0	319.50
09/19/2018	492360776	MOODY, DEBORAH	S	EXXON-MOBIL CORPORATION	S	-2,045.30	60.00	15.00	45.00	90.0	40.50
09/25/2018	677020075	BANK, SOUTHWEST	S	PAN AMERICAN SILVER CORP. ISIN	B	29,972.25	390.00	15.00	375.00	90.0	337.50

* STOCKS SUBTOTAL *

\$166,270.05

\$2,725.00

\$180.00

\$2,545.00

\$2,290.50

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	1.15	0.00	1.15	90.0	1.04
09/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	1.34	0.00	1.34	90.0	1.21
09/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	1.93	0.00	1.93	90.0	1.74
09/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	2.52	0.00	2.52	90.0	2.27
09/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	3.15	0.00	3.15	90.0	2.84
09/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	3.90	0.00	3.90	90.0	3.51
09/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	5.65	0.00	5.65	90.0	5.09
09/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	5.66	0.00	5.66	90.0	5.09
09/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	8.07	0.00	8.07	90.0	7.26
09/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	18.25	0.00	18.25	90.0	16.43
09/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN FDS TAX-ADV GROW & INC	B	0.00	2.07	0.00	2.07	90.0	1.86
09/21/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER-A	B	0.00	19.06	0.00	19.06	90.0	17.15
09/21/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER CLASS C	B	0.00	0.07	0.00	0.07	90.0	0.06
09/21/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	1.10	0.00	1.10	90.0	0.99
09/21/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.72	0.00	2.72	90.0	2.45
09/21/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	7.88	0.00	7.88	90.0	7.09

COMMISSION STATEMENT for KATHERINE SMITH-DM31

				INVESTMENT		GROSS	CLEARING	NET	BROKER	
TRADE DATE	CLIENT		INVESTMENT	B/S	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
09/21/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA DISCIPLINED CORE	B	0.00	0.81	0.00	0.81	90.0	0.73
09/21/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA LARGE CAP GROWTH FUND	B	0.00	0.61	0.00	0.61	90.0	0.55
09/21/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA SELECT INTL EQUITY	B	0.00	0.41	0.00	0.41	90.0	0.37
09/21/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TAX-EXEMPT FUND-A	B	0.00	0.29	0.00	0.29	90.0	0.26
09/21/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TOTAL RETURN BOND FD A	B	0.00	0.29	0.00	0.29	90.0	0.26
09/21/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	0.29	0.00	0.29	90.0	0.26
09/21/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	0.84	0.00	0.84	90.0	0.76
09/21/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	0.33	0.00	0.33	90.0	0.30
09/21/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	1.42	0.00	1.42	90.0	1.28
09/21/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	7.98	0.00	7.98	90.0	7.18
09/21/2018	mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.44	0.00	0.44	90.0	0.40
09/21/2018	mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	9.13	0.00	9.13	90.0	8.22
09/21/2018	mfc932013	SMITH KATHERINE	MFT GROWTH FUND OF AMERICA CLASS F	B	0.00	3.12	0.00	3.12	90.0	2.81
09/21/2018	mfc932013	SMITH KATHERINE	MFT INTERMEDIATE BOND FUND OF	B	0.00	5.33	0.00	5.33	90.0	4.80
09/21/2018	mfc932013	SMITH KATHERINE	MFT MASSACHUSETTS INVESTORS TRUST-A	B	0.00	2.92	0.00	2.92	90.0	2.63
09/21/2018	mfc932013	SMITH KATHERINE	MFT MORGAN STANLEY INS MIDCAP	B	0.00	6.39	0.00	6.39	90.0	5.75
09/21/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	2.67	0.00	2.67	90.0	2.40
09/21/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	3.16	0.00	3.16	90.0	2.84
09/21/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	5.54	0.00	5.54	90.0	4.99
09/21/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER STEELPATH MLP	B	0.00	89.40	0.00	89.40	90.0	80.46
09/21/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER SENIOR FLOATING	B	0.00	119.63	0.00	119.63	90.0	107.67
09/21/2018	mfc932013	SMITH KATHERINE	MFT PUTNAM TAX-FREE HIGH YIELD FUND	B	0.00	2.72	0.00	2.72	90.0	2.45
09/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.18	0.00	0.18	90.0	0.16
09/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.15	0.00	1.15	90.0	1.04
09/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.39	0.00	1.39	90.0	1.25
09/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.47	0.00	1.47	90.0	1.32
09/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.83	0.00	1.83	90.0	1.65
09/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.98	0.00	1.98	90.0	1.78
09/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	4.00	0.00	4.00	90.0	3.60
09/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	7.48	0.00	7.48	90.0	6.73
09/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	12.96	0.00	12.96	90.0	11.66
09/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	17.24	0.00	17.24	90.0	15.52
09/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	7.72	0.00	7.72	90.0	6.95
09/21/2018	mfc932013	SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	9.79	0.00	9.79	90.0	8.81
09/21/2018	mfc932013	SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	9.92	0.00	9.92	90.0	8.93
09/21/2018	mfc932013	SMITH KATHERINE	MFT THE INVESTMENT COMPANY OF	B	0.00	2.92	0.00	2.92	90.0	2.63
09/21/2018	mfc932013	SMITH KATHERINE	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	20.06	0.00	20.06	90.0	18.05
09/24/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	1.27	0.00	1.27	90.0	1.14
09/24/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	2.38	0.00	2.38	90.0	2.14
09/24/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	2.49	0.00	2.49	90.0	2.24
09/24/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	2.51	0.00	2.51	90.0	2.26
09/24/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	2.97	0.00	2.97	90.0	2.67
09/24/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	5.10	0.00	5.10	90.0	4.59
09/24/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	5.32	0.00	5.32	90.0	4.79

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				INVESTMENT	GROSS	CLEARING	NET	BROKER		
TRADE DATE	CLIENT		INVESTMENT	B/S	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
09/24/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	5.34	0.00	5.34	90.0	4.81
09/24/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	7.61	0.00	7.61	90.0	6.85
09/24/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	17.20	0.00	17.20	90.0	15.48
09/24/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN FDS TAX-ADV GROW & INC	B	0.00	1.94	0.00	1.94	90.0	1.75
09/24/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER-A	B	0.00	17.89	0.00	17.89	90.0	16.10
09/24/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER CLASS C	B	0.00	0.07	0.00	0.07	90.0	0.06
09/24/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	1.03	0.00	1.03	90.0	0.93
09/24/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.55	0.00	2.55	90.0	2.30
09/24/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	7.37	0.00	7.37	90.0	6.63
09/24/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA DISCIPLINED CORE	B	0.00	0.78	0.00	0.78	90.0	0.70
09/24/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA LARGE CAP GROWTH FUND	B	0.00	0.58	0.00	0.58	90.0	0.52
09/24/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA SELECT INTL EQUITY	B	0.00	0.39	0.00	0.39	90.0	0.35
09/24/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TAX-EXEMPT FUND-A	B	0.00	0.27	0.00	0.27	90.0	0.24
09/24/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TOTAL RETURN BOND FD A	B	0.00	0.27	0.00	0.27	90.0	0.24
09/24/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	0.28	0.00	0.28	90.0	0.25
09/24/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	1.98	0.00	1.98	90.0	1.78
09/24/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	0.31	0.00	0.31	90.0	0.28
09/24/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	1.33	0.00	1.33	90.0	1.20
09/24/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	7.49	0.00	7.49	90.0	6.74
09/24/2018	mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.42	0.00	0.42	90.0	0.38
09/24/2018	mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	8.60	0.00	8.60	90.0	7.74
09/24/2018	mfc932013	SMITH KATHERINE	MFT GROWTH FUND OF AMERICA CLASS F	B	0.00	2.94	0.00	2.94	90.0	2.65
09/24/2018	mfc932013	SMITH KATHERINE	MFT INTERMEDIATE BOND FUND OF	B	0.00	5.01	0.00	5.01	90.0	4.51
09/24/2018	mfc932013	SMITH KATHERINE	MFT MASSACHUSETTS INVESTORS TRUST-A	B	0.00	2.77	0.00	2.77	90.0	2.49
09/24/2018	mfc932013	SMITH KATHERINE	MFT MORGAN STANLEY INS MIDCAP	B	0.00	6.28	0.00	6.28	90.0	5.65
09/24/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	2.52	0.00	2.52	90.0	2.27
09/24/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	2.98	0.00	2.98	90.0	2.68
09/24/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	5.22	0.00	5.22	90.0	4.70
09/24/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER STEELPATH MLP	B	0.00	84.15	0.00	84.15	90.0	75.74
09/24/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER SENIOR FLOATING	B	0.00	111.97	0.00	111.97	90.0	100.77
09/24/2018	mfc932013	SMITH KATHERINE	MFT PUTNAM TAX-FREE HIGH YIELD FUND	B	0.00	2.55	0.00	2.55	90.0	2.30
09/24/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.38	0.00	1.38	90.0	1.24
09/24/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	7.28	0.00	7.28	90.0	6.55
09/24/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.17	0.00	0.17	90.0	0.15
09/24/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.31	0.00	1.31	90.0	1.18
09/24/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.72	0.00	1.72	90.0	1.55
09/24/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.49	0.00	2.49	90.0	2.24
09/24/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.56	0.00	2.56	90.0	2.30
09/24/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	5.19	0.00	5.19	90.0	4.67
09/24/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	7.05	0.00	7.05	90.0	6.35
09/24/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	12.21	0.00	12.21	90.0	10.99
09/24/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	16.24	0.00	16.24	90.0	14.62
09/24/2018	mfc932013	SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	9.24	0.00	9.24	90.0	8.32
09/24/2018	mfc932013	SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	9.36	0.00	9.36	90.0	8.42

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
09/24/2018	mfc932013 SMITH KATHERINE	MFT THE INVESTMENT COMPANY OF	B	0.00	2.75	0.00	2.75	90.0	2.48
09/24/2018	mfc932013 SMITH KATHERINE	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	19.02	0.00	19.02	90.0	17.12
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$878.43	\$0.00	\$878.43		\$790.63
*** CLEARING TRANSACTIONS TOTAL ***				\$166,270.05	\$3,603.43	\$180.00	\$3,423.43		\$3,081.13

DIRECT TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

09/10/2018	04000143383 ZAVALA, GILBERT	MF AMERICAN BALANCED FUND-A	B	25.00	1.25	0.00	1.25	90.0	1.13
09/10/2018	04000143383 ZAVALA, GILBERT	MF THE GROWTH FUND OF AMERICA-A	B	25.00	1.25	0.00	1.25	90.0	1.13
* MUTUAL FUNDS SUBTOTAL *				\$50.00	\$2.50	\$0.00	\$2.50		\$2.26
*** DIRECT TRANSACTIONS TOTAL ***				\$50.00	\$2.50	\$0.00	\$2.50		\$2.26

ADJUSTMENTS TRANSACTIONS

BROKER: #0

09/30/2018	: BROKER WORKSTATION	0.00	0.00	0.00	0.00	-30.00
09/30/2018	: E&O	0.00	0.00	0.00	0.00	-130.00
09/30/2018	: E-MAIL ACCOUNT	0.00	0.00	0.00	0.00	-25.00
09/30/2018	: MONEY MARKET TRAILS	0.00	0.00	0.00	0.00	517.60
* SUBTOTAL *		\$0.00	\$0.00	\$0.00	\$0.00	\$332.60
*** ADJUSTMENTS TRANSACTIONS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$332.60

BROKER COMMISSION TOTALS

Broker Transactions	\$3,083.39
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$332.60
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$3,415.99
Year-to-date Commissions	\$67,849.86