

COMMISSION STATEMENT October 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		
DIRECT TRANSACTIONS											
PRODUCT CATEGORY: MUTUAL FUNDS											
10/01/2018	00084791628	MASSENGALE,	MF	NEW WORLD FUND-529A	B	50.00	1.88	0.00	1.88	90.0	1.69
10/01/2018	00084791669	MASSENGALE,	MF	NEW WORLD FUND-529A	B	50.00	1.88	0.00	1.88	90.0	1.69
10/01/2018	00085359820	LOGSDON, TRACI	MF	CAPITAL INCOME BUILDER-529A	B	50.00	1.88	0.00	1.88	90.0	1.69
10/01/2018	00085359860	LOGSDON, TRACI	MF	CAPITAL INCOME BUILDER-529A	B	50.00	1.88	0.00	1.88	90.0	1.69
09/28/2018	00088311353	MASSENGALE, LARA	MF	NEW PERSPECTIVE FUND-A	B	50.00	1.88	0.00	1.88	90.0	1.69
09/28/2018	00088311353	MASSENGALE, LARA	MF	THE GROWTH FUND OF AMERICA-A	B	50.00	1.88	0.00	1.88	90.0	1.69
09/28/2018	00088338383	MASSENGALE, JASON	MF	NEW PERSPECTIVE FUND-A	B	50.00	1.88	0.00	1.88	90.0	1.69
09/28/2018	00088338383	MASSENGALE, JASON	MF	THE GROWTH FUND OF AMERICA-A	B	50.00	1.88	0.00	1.88	90.0	1.69
10/01/2018	00088996224	LOGSDON, AVARI	MF	THE GROWTH FUND OF AMERICA-529A	B	50.00	1.88	0.00	1.88	90.0	1.69
09/24/2018	00089064328	LOGSDON, TRACI	MF	THE GROWTH FUND OF AMERICA-A	B	50.00	1.88	0.00	1.88	90.0	1.69
10/01/2018	00089500058	PERTLL, JAMES	MF	AMCAP FUND-A	B	50.00	2.50	0.00	2.50	90.0	2.25
10/01/2018	00089500058	PERTLL, JAMES	MF	CAPITAL WORLD GROWTH AND INCOME	B	50.00	2.50	0.00	2.50	90.0	2.25
09/24/2018	04000143383	ZAVALA, GILBERT	MF	AMERICAN BALANCED FUND-A	B	25.00	1.25	0.00	1.25	90.0	1.13
09/24/2018	04000143383	ZAVALA, GILBERT	MF	THE GROWTH FUND OF AMERICA-A	B	25.00	1.25	0.00	1.25	90.0	1.13
10/01/2018	04000452396	PERTLL, JAMES	MF	AMCAP FUND-A	B	50.00	1.00	0.00	1.00	90.0	0.90
10/01/2018	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 *						\$750.00	\$28.30	\$0.00	\$28.30		\$25.46
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
08/31/2018	(None)	SMITH, CLAY	MFT	VOYA	B	0.00	3.25	0.00	3.25	90.0	2.93
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *						\$0.00	\$3.25	\$0.00	\$3.25		\$2.93
*** DIRECT TRANSACTIONS TOTAL ***						\$750.00	\$31.55	\$0.00	\$31.55		\$28.39

BROKER COMMISSION TOTALS

Broker Transactions	\$28.39
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	\$28.39
Year-to-date Commissions	\$67,878.25