

COMMISSION STATEMENT October 15, 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
<u>DIRECT TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
09/17/2018 (None)	0045801164	MF SCHOLARS CHOICE	B	200.00	6.00	0.00	6.00	87.5	5.25
10/01/2018	00074778210 OLSON, ANDREW	MF THE INCOME FUND OF AMERICA-529A	B	150.00	5.63	0.00	5.63	87.5	4.93
10/01/2018	00074778210 OLSON, ANDREW	MF THE INCOME FUND OF AMERICA-529A	B	150.00	5.63	0.00	5.63	87.5	4.93
10/01/2018	00074778243 OLSON, ANDREW	MF THE INCOME FUND OF AMERICA-529A	B	150.00	5.63	0.00	5.63	87.5	4.93
10/01/2018	00074778243 OLSON, ANDREW	MF THE INCOME FUND OF AMERICA-529A	B	150.00	5.63	0.00	5.63	87.5	4.93
10/01/2018	00086110551 SWISHER, DAWN	MF FUNDAMENTAL INVESTORS-A	B	300.00	11.25	0.00	11.25	87.5	9.84
* MUTUAL FUNDS SUBTOTAL *				\$1,100.00	\$39.77	\$0.00	\$39.77		\$34.81
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
09/17/2018 (None)	WOODS	VA PHOENIX LIFE	B	166.67	6.66	0.00	6.66	87.5	5.83
09/17/2018 (None)	GREGERSON	VA PHOENIX LIFE	B	100.00	4.00	0.00	4.00	87.5	3.50
* VARIABLE ANNUITIES SUBTOTAL *				\$266.67	\$10.66	\$0.00	\$10.66		\$9.33
<u>PRODUCT CATEGORY: MISCELLANEOUS</u>									
09/30/2018	VARIOUS, BRISTER T	MI PVG	B	0.00	411.04	0.00	411.04	87.5	359.66
* MISCELLANEOUS SUBTOTAL *				\$0.00	\$411.04	\$0.00	\$411.04		\$359.66
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
10/02/2018	00002111292 SHULTS, LINDA	MFT ALLIANZ NFJ LARGE CAP VALUE	B	0.00	7.11	0.00	7.11	87.5	6.22
10/02/2018	00002111292 SHULTS, LINDA	MFT ALLIANZ RCM TECHNOLOGY FUND	B	0.00	5.66	0.00	5.66	87.5	4.95
10/01/2018	00002230696 OLSON, SCOT	MFT AIM CHARTER FUND - CLASS A	B	0.00	40.75	0.00	40.75	87.5	35.66
10/02/2018	00002265213 SHULTS, LINDA	MFT ALLIANZ NFJ LARGE CAP VALUE	B	0.00	6.28	0.00	6.28	87.5	5.50
10/02/2018	00002265213 SHULTS, LINDA	MFT ALLIANZ RCM TECHNOLOGY FUND	B	0.00	4.92	0.00	4.92	87.5	4.31
10/02/2018	00003118148 LADNER, MARY	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	10.82	0.00	10.82	87.5	9.47
10/02/2018	00003118148 LADNER, MARY	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	29.67	0.00	29.67	87.5	25.96
10/02/2018	00003402351 GREGERSEN, ARLENE	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	7.47	0.00	7.47	87.5	6.54
10/02/2018	00003402351 GREGERSEN, ARLENE	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	20.35	0.00	20.35	87.5	17.81
10/02/2018	00003426996 POST, ANTOINETTE	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	12.15	0.00	12.15	87.5	10.63
10/02/2018	00003426996 POST, ANTOINETTE	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	33.56	0.00	33.56	87.5	29.37
10/02/2018	00003432283 POST, KERRI	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	28.88	0.00	28.88	87.5	25.27
10/01/2018	01001329129 DAVIS, MARGARET	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	56.34	0.00	56.34	87.5	49.30
10/02/2018	01001352895 JACQUELINE C	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	7.02	0.00	7.02	87.5	6.14

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10/02/2018 01001352895	JACQUELINE C	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	19.28	0.00	19.28	87.5	16.87
10/02/2018 01200597381	SHULTS, JACKIE	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	6.41	0.00	6.41	87.5	5.61
10/02/2018 01200597399	SHULTS, LINDA	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	6.41	0.00	6.41	87.5	5.61
10/02/2018 02048313759	MOONEY, JOSEPH	MFT ALLIANZGI NFJ DIVIDEND VALUE C	B	0.00	15.56	0.00	15.56	87.5	13.62
10/02/2018 02048313759	MOONEY, JOSEPH	MFT ALLIANZGI NFJ DIVIDEND VALUE C	B	0.00	46.68	0.00	46.68	87.5	40.85
10/01/2018 03810221121	BROWN, WILLIAM	MFT INVESCO AMERICAN FRANCHISE FUND B	B	0.00	7.34	0.00	7.34	87.5	6.42
10/01/2018 04031349287	PETERSON, CYNTHIA	MFT INVESCO AMERICAN FRANCHISE FUND B	B	0.00	2.20	0.00	2.20	87.5	1.93
10/02/2018 08050003151	CASSELMAN, MEGAN	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	8.08	0.00	8.08	87.5	7.07
10/02/2018 08050003151	CASSELMAN, MEGAN	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	24.24	0.00	24.24	87.5	21.21
10/02/2018 08050004399	EVELYN C HIBMA,	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	4.22	0.00	4.22	87.5	3.69
10/02/2018 08050005985	FAIRBANKS,	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	67.97	0.00	67.97	87.5	59.47
10/02/2018 08050005985	FAIRBANKS,	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	203.91	0.00	203.91	87.5	178.42
10/01/2018 08191344668	DAVIS, MARGARET	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	47.55	0.00	47.55	87.5	41.61
10/03/2018 08699897631	MOINAT, IRIS	MFT COLUMBIA TAX-EXEMPT FUND-A	B	0.00	23.31	0.00	23.31	87.5	20.40
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$754.14	\$0.00	\$754.14		\$659.91

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

09/28/2018 (None)	VARIOUS, BRISTER T	VAT PRUDENTIAL LIFE	B	0.00	814.00	0.00	814.00	87.5	712.25
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$814.00	\$0.00	\$814.00		\$712.25
*** DIRECT TRANSACTIONS TOTAL ***				\$1,366.67	\$2,029.61	\$0.00	\$2,029.61		\$1,775.96

OVERRIDE TRANSACTIONSBROKER: ALEX BRISTER-D010 #14

10/04/2018 (None)	0045711389	MF SCHOLARS CHOICE	B	50.00	1.50	0.00	1.50		0.56
10/04/2018 (None)	0045795127	MF SCHOLARS CHOICE	B	50.00	1.50	0.00	1.50		0.56
10/04/2018 (None)	0045709342	MF SCHOLARS CHOICE	B	50.00	1.50	0.00	1.50		0.56
10/02/2018 04000508909	GERRIE, ANDREW	MF AMERICAN FUNDS 2040 TARGET	B	500.00	13.75	0.00	13.75		5.16
09/30/2018 (None)	CANADGUSD	MFT OKLAHOMA 529	B	0.00	0.44	0.00	0.44		0.17
10/02/2018 01200976205	RIMBEY, PAMELA	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	14.09	0.00	14.09		5.28
10/02/2018 01200976205	RIMBEY, PAMELA	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	38.83	0.00	38.83		14.56
10/02/2018 01220231615	ROSE, HEATHER	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	5.24	0.00	5.24		1.97
10/02/2018 01240215275	HUNT, CYNTHIA	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	3.51	0.00	3.51		1.32
10/02/2018 01241725892	EVANS, SHELLEY	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	0.76	0.00	0.76		0.29
10/02/2018 01241747409	KEFFLER, EMILY	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	1.09	0.00	1.09		0.41
* ALEX BRISTER-D010 SUBTOTAL *				\$650.00	\$82.21	\$0.00	\$82.21		\$30.84
*** OVERRIDE TRANSACTIONS TOTAL ***				\$650.00	\$82.21	\$0.00	\$82.21		\$30.84

BROKER COMMISSION TOTALS

Broker Transactions	\$1,775.96
Split Transactions	\$0.00
Override Transactions	\$30.84
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	\$1,806.80
Year-to-date Commissions	\$29,436.65