

Bill Payment Stub

Check Date:	3/7/2018
Check No.:	ACH
Check Amount:	7,998.70

Dominion Investor Services
P.O. Box 4768
Horseshoe Bay, TX 78657-4768

Paid To: KATHERINE M. SMITH
1701 RIVER RUN ROAD STE 1116
FORT WORTH, TX
76107

Date	Type	Reference	Original Amt.	Balance	Discount	Payment
2/28/2018	Bill	COMMISSIONS	8,118.70	8,118.70		8,118.70
3/1/2018	Credit	E&O	-120.00	-120.00		-120.00

COMMISSION STATEMENT

February 28, 2018

KATHERINE SMITH-DM31

BROKER #: DM31

BRANCH: DMW

, TX

COMMISSION STATEMENT for KATHERINE SMITH-DM31

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUNDS									
02/02/2018 368293321	NORRIS, CURTIS	MF AMERICAN BALANCED FUND-A	S	12,502.45	250.00	5.00	245.00	90.0	220.50
02/02/2018 368293321	NORRIS, CURTIS	MF THE GROWTH FUND OF AMERICA-A	S	12,502.45	250.00	5.00	245.00	90.0	220.50
02/01/2018 368356408	DEADY, MYRNA	MF THE GROWTH FUND OF AMERICA-A	B	-2,972.55	0.00	5.00	-5.00	90.0	-4.50
02/08/2018 368443438	SPICHER, LINDA	MF AMERICAN BALANCED FUND-A	S	12,502.45	468.75	2.50	466.25	90.0	419.63
02/08/2018 368443438	SPICHER, LINDA	MF THE GROWTH FUND OF AMERICA-A	S	12,502.45	468.75	5.00	463.75	90.0	417.38
02/02/2018 368459537	SMITH, GENE	MF AMERICAN BALANCED FUND-A	S	25,002.45	400.00	5.00	395.00	90.0	355.50
02/02/2018 368459537	SMITH, GENE	MF THE GROWTH FUND OF AMERICA-A	S	25,002.45	400.00	5.00	395.00	90.0	355.50
02/02/2018 368463638	FULLER, KAREN	MF AMERICAN BALANCED FUND-A	S	12,502.45	343.75	5.00	338.75	90.0	304.88
02/02/2018 368463638	FULLER, KAREN	MF THE GROWTH FUND OF AMERICA-A	S	12,502.45	343.75	5.00	338.75	90.0	304.88
* MUTUAL FUNDS SUBTOTAL *				\$122,047.05	\$2,925.00	\$42.50	\$2,882.50		\$2,594.27

PRODUCT CATEGORY: STOCKS

02/08/2018 368347337	WHITSON, JONATHAN	S EXXON-MOBIL CORPORATION	B	38,797.45	370.00	15.00	355.00	90.0	319.50
02/13/2018 368347337	WHITSON, JONATHAN	S FLOWERS FOODS INCORPORATED	S	-20,407.47	220.00	15.00	205.00	90.0	184.50
02/08/2018 368459537	SMITH, GENE	S EXXON-MOBIL CORPORATION	B	37,880.25	375.00	15.00	360.00	90.0	324.00
01/30/2018 491422995	MORTON, GEORGE	S AT&T INC	S	-86,163.98	890.00	15.00	875.00	90.0	787.50
01/30/2018 491422995	MORTON, GEORGE	S COMCAST CORPORATION CL A NEW	S	-35,304.22	520.00	15.00	505.00	90.0	454.50
01/30/2018 491422995	MORTON, GEORGE	S FRONTIER COMM CORP	S	-57.15	20.00	15.00	5.00	90.0	4.50
01/30/2018 491422995	MORTON, GEORGE	S GENERAL ELECTRIC COMPANY	S	-7,782.87	195.00	15.00	180.00	90.0	162.00
01/30/2018 491422995	MORTON, GEORGE	S NORDIC AMERICAN TANKER LIMITED	S	-1,095.02	65.00	15.00	50.00	90.0	45.00
01/30/2018 491422995	MORTON, GEORGE	S NORDIC AMERICAN OFFSHORE LTD	S	-6.35	20.00	15.00	5.00	90.0	4.50
01/30/2018 491422995	MORTON, GEORGE	S NUVEEN MUNICIPAL VALUE FUND	S	-18,759.11	460.00	15.00	445.00	90.0	400.50
01/30/2018 491422995	MORTON, GEORGE	S VERIZON COMMUNICATIONS INC	S	-36,465.13	495.00	15.00	480.00	90.0	432.00
01/30/2018 491422995	MORTON, GEORGE	S VODAFONE GROUP PLC NEW - SPON	S	-1,595.48	65.00	15.00	50.00	90.0	45.00
02/13/2018 492360776	MOODY, DEBORAH	S EXXON-MOBIL CORPORATION	S	-1,846.76	60.00	15.00	45.00	90.0	40.50
02/16/2018 677020075	BANK, SOUTHWEST	S FLOWERS FOODS INCORPORATED	S	-21,122.16	225.00	15.00	210.00	90.0	189.00
01/30/2018 707161252	LTD, TONKAJM	S JOHNSON & JOHNSON	S	-113,270.99	890.00	15.00	875.00	90.0	787.50
* STOCKS SUBTOTAL *				\$-267,198.99	\$4,870.00	\$225.00	\$4,645.00		\$4,180.50

COMMISSION STATEMENT for KATHERINE SMITH-DM31

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
<u>PRODUCT CATEGORY: MISCELLANEOUS</u>											
02/02/2018	a03932013	SMITH-DM31,	MI	MUTUAL FUND MISC FEE 368356408	S	0.00	25.00	0.00	25.00	90.0	22.50
				* MISCELLANEOUS SUBTOTAL *		\$0.00	\$25.00	\$0.00	\$25.00		\$22.50

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

02/22/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	2.19	0.00	2.19	90.0	1.97
02/22/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	10.87	0.00	10.87	90.0	9.78
02/22/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	10.90	0.00	10.90	90.0	9.81
02/22/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	15.54	0.00	15.54	90.0	13.99
02/22/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	35.16	0.00	35.16	90.0	31.64
02/22/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER-A	B	0.00	38.35	0.00	38.35	90.0	34.52
02/22/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER CLASS C	B	0.00	0.14	0.00	0.14	90.0	0.13
02/22/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.20	0.00	2.20	90.0	1.98
02/22/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	5.44	0.00	5.44	90.0	4.90
02/22/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	15.75	0.00	15.75	90.0	14.18
02/22/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA DISCIPLINED CORE	B	0.00	1.52	0.00	1.52	90.0	1.37
02/22/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA LARGE CAP GROWTH FUND	B	0.00	1.12	0.00	1.12	90.0	1.01
02/22/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA SELECT INTL EQUITY	B	0.00	0.87	0.00	0.87	90.0	0.78
02/22/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TAX-EXEMPT FUND-A	B	0.00	0.58	0.00	0.58	90.0	0.52
02/22/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TOTAL RETURN BOND FD A	B	0.00	0.56	0.00	0.56	90.0	0.50
02/22/2018	mfc932013	SMITH KATHERINE	MFT DAVIS NEW YORK VENTURE CLASS A	B	0.00	6.14	0.00	6.14	90.0	5.53
02/22/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	0.60	0.00	0.60	90.0	0.54
02/22/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	1.72	0.00	1.72	90.0	1.55
02/22/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	0.67	0.00	0.67	90.0	0.60
02/22/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	2.85	0.00	2.85	90.0	2.57
02/22/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	16.09	0.00	16.09	90.0	14.48
02/22/2018	mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	17.69	0.00	17.69	90.0	15.92
02/22/2018	mfc932013	SMITH KATHERINE	MFT GROWTH FUND OF AMERICA CLASS F	B	0.00	5.72	0.00	5.72	90.0	5.15
02/22/2018	mfc932013	SMITH KATHERINE	MFT INTERMEDIATE BOND FUND OF	B	0.00	10.35	0.00	10.35	90.0	9.32
02/22/2018	mfc932013	SMITH KATHERINE	MFT MASSACHUSETTS INVESTORS TRUST-A	B	0.00	5.59	0.00	5.59	90.0	5.03
02/22/2018	mfc932013	SMITH KATHERINE	MFT MORGAN STANLEY INS MIDCAP	B	0.00	10.44	0.00	10.44	90.0	9.40
02/22/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	5.10	0.00	5.10	90.0	4.59
02/22/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	6.02	0.00	6.02	90.0	5.42
02/22/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER STEELPATH MLP	B	0.00	187.59	0.00	187.59	90.0	168.83
02/22/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER SENIOR FLOATING	B	0.00	232.14	0.00	232.14	90.0	208.93
02/22/2018	mfc932013	SMITH KATHERINE	MFT PUTNAM TAX-FREE HIGH YIELD FUND	B	0.00	5.32	0.00	5.32	90.0	4.79
02/22/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.33	0.00	0.33	90.0	0.30
02/22/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.19	0.00	1.19	90.0	1.07
02/22/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	3.35	0.00	3.35	90.0	3.02
02/22/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	13.72	0.00	13.72	90.0	12.35
02/22/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	14.16	0.00	14.16	90.0	12.74
02/22/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	23.75	0.00	23.75	90.0	21.38
02/22/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	31.60	0.00	31.60	90.0	28.44
02/22/2018	mfc932013	SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	19.28	0.00	19.28	90.0	17.35

COMMISSION STATEMENT for KATHERINE SMITH-DM31

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
02/22/2018	mfc932013 SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	19.53	0.00	19.53	90.0	17.58
02/22/2018	mfc932013 SMITH KATHERINE	MFT THE INVESTMENT COMPANY OF	B	0.00	5.63	0.00	5.63	90.0	5.07
02/22/2018	mfc932013 SMITH KATHERINE	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	38.61	0.00	38.61	90.0	34.75
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				<u>\$0.00</u>	<u>\$826.37</u>	<u>\$0.00</u>	<u>\$826.37</u>		<u>\$743.78</u>
*** CLEARING TRANSACTIONS TOTAL ***				<u>\$-145,151.94</u>	<u>\$8,646.37</u>	<u>\$267.50</u>	<u>\$8,378.87</u>		<u>\$7,541.05</u>

DIRECT TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

02/21/2018	00089064328 LOGSDON, TRACI	MF THE GROWTH FUND OF AMERICA-A	B	50.00	2.13	0.00	2.13	90.0	1.92
02/22/2018	04000143383 ZAVALA, GILBERT	MF AMERICAN BALANCED FUND-A	B	25.00	1.25	0.00	1.25	90.0	1.13
02/22/2018	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 *				<u>\$100.00</u>	<u>\$4.63</u>	<u>\$0.00</u>	<u>\$4.63</u>		<u>\$4.18</u>

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

01/31/2018	(None) SMITH, CLAY	MFT VOYA	B	0.00	3.35	0.00	3.35	90.0	3.02
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				<u>\$0.00</u>	<u>\$3.35</u>	<u>\$0.00</u>	<u>\$3.35</u>		<u>\$3.02</u>
*** DIRECT TRANSACTIONS TOTAL ***				<u>\$100.00</u>	<u>\$7.98</u>	<u>\$0.00</u>	<u>\$7.98</u>		<u>\$7.20</u>

ADJUSTMENTS

02/28/2018	:	BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
02/28/2018	:	E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
02/28/2018	:	MONEY MARKET TRAILS		0.00	0.00	0.00	0.00		625.45
*** ADJUSTMENTS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$570.45</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$7,548.25
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$570.45
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$8,118.70
Year-to-date Commissions	\$19,662.55