

COMMISSION STATEMENT

November 30, 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
CLEARING TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUNDS									
11/20/2018 368372596	SMILLIE, SELLA	MF RUSSELL LIFEPOINTS BAL STRATEGY	S	-114,786.58	0.00	5.00	-5.00	87.5	-4.38
11/20/2018 676310283	SMILLIE, SELLA	MF RUSSELL LIFEPOINTS GROWTH	S	-29,307.02	0.00	5.00	-5.00	87.5	-4.38
* MUTUAL FUNDS SUBTOTAL *				\$-144,093.60	\$0.00	\$10.00	\$-10.00		\$-8.76
PRODUCT CATEGORY: STOCKS									
11/07/2018 368434427	BRISTER, THOMAS	S DUKE REALTY CORPORATION	B	8,011.62	15.00	15.00	0.00	87.5	0.00
11/07/2018 676424960	BRISTER, THOMAS	S DUKE REALTY CORPORATION	B	10,009.47	15.00	15.00	0.00	87.5	0.00
11/08/2018 677663636	BAKER, CLAUDE	S PHYSICIANS REALTY TRUST	B	1,525.10	15.00	15.00	0.00	87.5	0.00
* STOCKS SUBTOTAL *				\$19,546.19	\$45.00	\$45.00	\$0.00		\$0.00
PRODUCT CATEGORY: MISCELLANEOUS									
11/21/2018 a03564136	BRISTER-D011, TOM	MI MUTUAL FUND MISC FEE 368372596	S	0.00	5.00	0.00	5.00	87.5	4.38
11/21/2018 a03564136	BRISTER-D011, TOM	MI MUTUAL FUND MISC FEE 676310283	S	0.00	5.00	0.00	5.00	87.5	4.38
* MISCELLANEOUS SUBTOTAL *				\$0.00	\$10.00	\$0.00	\$10.00		\$8.76
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
11/21/2018 mfc564136	BRISTER T 564136	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	0.61	0.00	0.61	87.5	0.53
11/21/2018 mfc564136	BRISTER T 564136	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	11.98	0.00	11.98	87.5	10.48
11/21/2018 mfc564136	BRISTER T 564136	MFT ALLIANZGI GLOBAL ALLOCATION A	B	0.00	12.75	0.00	12.75	87.5	11.16
11/21/2018 mfc564136	BRISTER T 564136	MFT ALLIANZGI GLOBAL ALLOCATION C	B	0.00	6.84	0.00	6.84	87.5	5.99
11/21/2018 mfc564136	BRISTER T 564136	MFT FEDERATED EQUITY INCOME FUND	B	0.00	0.38	0.00	0.38	87.5	0.33
11/21/2018 mfc564136	BRISTER T 564136	MFT PIMCO SHORT TERM FD CL C	B	0.00	7.55	0.00	7.55	87.5	6.61
11/21/2018 mfc564136	BRISTER T 564136	MFT PRINCIPAL INVESTORS SAM CONSERV	B	0.00	4.00	0.00	4.00	87.5	3.50
11/21/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	1.51	0.00	1.51	87.5	1.32
11/21/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	2.12	0.00	2.12	87.5	1.86
11/21/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	2.12	0.00	2.12	87.5	1.86
11/21/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	22.14	0.00	22.14	87.5	19.37
11/21/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	25.56	0.00	25.56	87.5	22.37
11/21/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	26.88	0.00	26.88	87.5	23.52
11/21/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS GROWTH	B	0.00	50.16	0.00	50.16	87.5	43.89
11/21/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY	B	0.00	2.06	0.00	2.06	87.5	1.80
11/21/2018 mfc564136	BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY	B	0.00	2.47	0.00	2.47	87.5	2.16

COMMISSION STATEMENT for TOM BRISTER-D011

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
11/21/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY	B	0.00	3.51	0.00	3.51	87.5	3.07
11/21/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY	B	0.00	38.61	0.00	38.61	87.5	33.78
11/21/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY	B	0.00	55.03	0.00	55.03	87.5	48.15
11/21/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY	B	0.00	59.30	0.00	59.30	87.5	51.89
11/21/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS BAL STRATEGY	B	0.00	99.36	0.00	99.36	87.5	86.94
11/21/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS EQTY GROWTH	B	0.00	1.82	0.00	1.82	87.5	1.59
11/21/2018	mfc564136 BRISTER T 564136	MFT RUSSELL LIFEPOINTS MOD STRATEGY	B	0.00	41.70	0.00	41.70	87.5	36.49
11/21/2018	mfc564136 BRISTER T 564136	MFT TEMPLETON GROWTH FUND CLASS A	B	0.00	8.17	0.00	8.17	87.5	7.15
11/21/2018	mfc564136 BRISTER T 564136	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	21.03	0.00	21.03	87.5	18.40
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$507.66	\$0.00	\$507.66		\$444.21
*** CLEARING TRANSACTIONS TOTAL ***				\$-124,547.41	\$562.66	\$55.00	\$507.66		\$444.21

DIRECT TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

11/15/2018 (None) 0045801164	MF	SCHOLARS CHOICE	B	200.00	6.00	0.00	6.00	87.5	5.25
11/15/2018 00064805200 SCHMIDT,	MF	NEW PERSPECTIVE FUND-A	B	70.00	3.50	0.00	3.50	87.5	3.06
11/15/2018 00064805200 SCHMIDT,	MF	THE INVESTMENT COMPANY OF	B	70.00	3.50	0.00	3.50	87.5	3.06
11/15/2018 00086110559 DRAUGHN, DUSTIN	MF	THE INVESTMENT COMPANY OF	B	300.00	11.25	0.00	11.25	87.5	9.84
* MUTUAL FUNDS SUBTOTAL *				\$640.00	\$24.25	\$0.00	\$24.25		\$21.21

PRODUCT CATEGORY: VARIABLE ANNUITIES

11/16/2018 (None) BRISTER, LYDIA	VA	PRUDENTIAL LIFE	B	200.00	10.00	0.00	10.00	87.5	8.75
11/18/2018 (None) BLACKWELL, JACQU	VA	AMERITAS	B	237.08	9.48	0.00	9.48	87.5	8.30
* VARIABLE ANNUITIES SUBTOTAL *				\$437.08	\$19.48	\$0.00	\$19.48		\$17.05
*** DIRECT TRANSACTIONS TOTAL ***				\$1,077.08	\$43.73	\$0.00	\$43.73		\$38.26

OVERRIDE TRANSACTIONSBROKER: ALEX BRISTER-D010 #14

11/05/2018 (None) 0045711389	MF	SCHOLARS CHOICE	B	50.00	1.50	0.00	1.50		0.56
11/05/2018 (None) 0045795127	MF	SCHOLARS CHOICE	B	50.00	1.50	0.00	1.50		0.56
11/05/2018 (None) 0045709342	MF	SCHOLARS CHOICE	B	50.00	1.50	0.00	1.50		0.56
11/12/2018 00068781179 GERRIE, SARA	MF	AMCAP FUND-A	B	1,500.00	41.25	0.00	41.25		15.47
11/15/2018 00083404474 BARNES, WENDY	MF	AMCAP FUND-A	B	500.00	18.75	0.00	18.75		7.03
11/19/2018 368435014 SELDOMRIDGE,	MF	ALLIANZ OCC RENAISSANCE FUND	S	10,975.16	0.00	5.00	-5.00		-1.88
11/19/2018 368435014 SELDOMRIDGE,	MF	ALLIANZ RCM ST DURATION HIGH	S	-10,500.65	0.00	5.00	-5.00		-1.88
11/19/2018 368435014 SELDOMRIDGE,	MF	EUROPACIFIC GROWTH FUND CLASS C	S	-3,992.09	0.00	5.00	-5.00		-1.88
11/19/2018 368435014 SELDOMRIDGE,	MF	NEW PERSPECTIVE FUND-C	S	-3,129.91	0.00	5.00	-5.00		-1.88
11/19/2018 368435014 SELDOMRIDGE,	MF	SMALLCAP WORLD FUND-C	S	-5,256.71	0.00	5.00	-5.00		-1.88
11/19/2018 368436068 SELDOMRIDGE,	MF	NEW PERSPECTIVE FUND-C	S	-10,099.88	0.00	5.00	-5.00		-1.88
11/19/2018 368436068 SELDOMRIDGE,	MF	SMALLCAP WORLD FUND-C	S	-5,256.71	0.00	5.00	-5.00		-1.88

COMMISSION STATEMENT for TOM BRISTER-D011

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
11/01/2018 676429808	BRISTER, THOMAS	MF AMERICAN FDS NEW WORLD FD CL F2 S	S	1,007.45	0.00	2.50	-2.50		-0.94
11/02/2018 676429808	BRISTER, THOMAS	MF HOMESTEAD SMALL CO STOCK FD INV S	S	-1,651.69	0.00	5.00	-5.00		-1.88
11/02/2018 676429808	BRISTER, THOMAS	MF VANGUARD STRAT SM CAP EQ FD INV S	S	1,657.45	0.00	2.50	-2.50		-0.94
11/13/2018 676429808	BRISTER, THOMAS	MF FUNDAMENTAL INVESTORS-A	S	-2,917.10	0.00	5.00	-5.00		-1.88
11/13/2018 676429808	BRISTER, THOMAS	MF NEW WORLD FUND-A	S	-2,673.53	0.00	5.00	-5.00		-1.88
11/08/2018 676429808	BRISTER, THOMAS	S SQUARE INC - CL A	S	-1,056.84	60.00	15.00	45.00		16.88
11/05/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 676429808	S	0.00	5.00	0.00	5.00		1.88
11/05/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 676429808	S	0.00	5.00	0.00	5.00		1.88
11/05/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 676429808	S	0.00	5.00	0.00	5.00		1.88
11/14/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 676429808	S	0.00	5.00	0.00	5.00		1.88
11/14/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 676429808	S	0.00	5.00	0.00	5.00		1.88
11/20/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 368435014	S	0.00	5.00	0.00	5.00		1.88
11/20/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 368435014	S	0.00	5.00	0.00	5.00		1.88
11/20/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 368435014	S	0.00	5.00	0.00	5.00		1.88
11/20/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 368435014	S	0.00	5.00	0.00	5.00		1.88
11/20/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 368435014	S	0.00	5.00	0.00	5.00		1.88
11/20/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 368436068	S	0.00	5.00	0.00	5.00		1.88
11/20/2018 a03652653	BRISTER-D010, ALEX	MI MUTUAL FUND MISC FEE 368436068	S	0.00	5.00	0.00	5.00		1.88
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZ NFJ DIVIDEND VALUE FUND B	B	0.00	0.91	0.00	0.91		0.34
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZ NFJ DIVIDEND VALUE FUND B	B	0.00	6.70	0.00	6.70		2.51
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZ NFJ INTERNATIONAL FUND B	B	0.00	2.06	0.00	2.06		0.77
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZ NFJ INTL VALUE FD CL C B	B	0.00	1.30	0.00	1.30		0.49
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZ OCC RENAISSANCE FUND B	B	0.00	1.01	0.00	1.01		0.38
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZ OCC RENAISSANCE FUND B	B	0.00	1.12	0.00	1.12		0.42
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZ RCM ST DURATION HIGH B	B	0.00	1.98	0.00	1.98		0.74
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZGI GLOBAL ALLOCATION A B	B	0.00	2.59	0.00	2.59		0.97
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZGI NFJ DIVIDEND VALUE C B	B	0.00	9.80	0.00	9.80		3.68
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZGI NFJ DIVIDEND VALUE C B	B	0.00	10.72	0.00	10.72		4.02
11/21/2018 mfc652653	BRISTER A 652653	MFT ALLIANZGI SHRT DURATION HIGH B	B	0.00	0.59	0.00	0.59		0.22
11/21/2018 mfc652653	BRISTER A 652653	MFT AMCAP FUND-A	B	0.00	0.42	0.00	0.42		0.16
11/21/2018 mfc652653	BRISTER A 652653	MFT AMCAP FUND-A	B	0.00	3.22	0.00	3.22		1.21
11/21/2018 mfc652653	BRISTER A 652653	MFT AMCAP FUND-A	B	0.00	10.40	0.00	10.40		3.90
11/21/2018 mfc652653	BRISTER A 652653	MFT AMCAP FUND-C	B	0.00	9.04	0.00	9.04		3.39
11/21/2018 mfc652653	BRISTER A 652653	MFT CAPITAL INCOME BUILDER-A	B	0.00	0.28	0.00	0.28		0.11
11/21/2018 mfc652653	BRISTER A 652653	MFT CAPITAL WORLD GROWTH AND INCOME B	B	0.00	0.18	0.00	0.18		0.07
11/21/2018 mfc652653	BRISTER A 652653	MFT CAPITAL WORLD GROWTH AND INCOME B	B	0.00	2.12	0.00	2.12		0.80
11/21/2018 mfc652653	BRISTER A 652653	MFT CAPITAL WORLD GROWTH AND	B	0.00	0.92	0.00	0.92		0.35
11/21/2018 mfc652653	BRISTER A 652653	MFT EUROPACIFIC GROWTH FUND CLASS C B	B	0.00	3.49	0.00	3.49		1.31
11/21/2018 mfc652653	BRISTER A 652653	MFT EUROPACIFIC GROWTH FUND-A	B	0.00	0.16	0.00	0.16		0.06
11/21/2018 mfc652653	BRISTER A 652653	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.33	0.00	0.33		0.12
11/21/2018 mfc652653	BRISTER A 652653	MFT FUNDAMENTAL INVESTORS-A	B	0.00	3.15	0.00	3.15		1.18
11/21/2018 mfc652653	BRISTER A 652653	MFT FUNDAMENTAL INVESTORS-A	B	0.00	3.49	0.00	3.49		1.31
11/21/2018 mfc652653	BRISTER A 652653	MFT INVESTMENT COMPANY OF AMERICA B	B	0.00	2.24	0.00	2.24		0.84
11/21/2018 mfc652653	BRISTER A 652653	MFT INVESTMENT COMPANY OF AMERICA B	B	0.00	5.89	0.00	5.89		2.21

COMMISSION STATEMENT for TOM BRISTER-D011

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
11/21/2018	mfc652653 BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	0.12	0.00	0.12		0.05
11/21/2018	mfc652653 BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	1.25	0.00	1.25		0.47
11/21/2018	mfc652653 BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	1.32	0.00	1.32		0.50
11/21/2018	mfc652653 BRISTER A 652653	MFT NEW PERSPECTIVE FUND-A	B	0.00	1.83	0.00	1.83		0.69
11/21/2018	mfc652653 BRISTER A 652653	MFT NEW PERSPECTIVE FUND-C	B	0.00	2.78	0.00	2.78		1.04
11/21/2018	mfc652653 BRISTER A 652653	MFT NEW PERSPECTIVE FUND-C	B	0.00	8.96	0.00	8.96		3.36
11/21/2018	mfc652653 BRISTER A 652653	MFT NEW WORLD FUND-A	B	0.00	1.41	0.00	1.41		0.53
11/21/2018	mfc652653 BRISTER A 652653	MFT PIM 018918664	B	0.00	0.58	0.00	0.58		0.22
11/21/2018	mfc652653 BRISTER A 652653	MFT PIM 018918664	B	0.00	0.65	0.00	0.65		0.24
11/21/2018	mfc652653 BRISTER A 652653	MFT PIMCO STOCKSPLUS A	B	0.00	2.68	0.00	2.68		1.01
11/21/2018	mfc652653 BRISTER A 652653	MFT PIMCO STOCKSPLUS A	B	0.00	8.39	0.00	8.39		3.15
11/21/2018	mfc652653 BRISTER A 652653	MFT SHORT-TERM BOND FUND OF AMERICA	B	0.00	1.27	0.00	1.27		0.48
11/21/2018	mfc652653 BRISTER A 652653	MFT SMALLCAP WORLD FUND-A	B	0.00	0.15	0.00	0.15		0.06
11/21/2018	mfc652653 BRISTER A 652653	MFT SMALLCAP WORLD FUND-A	B	0.00	1.68	0.00	1.68		0.63
11/21/2018	mfc652653 BRISTER A 652653	MFT SMALLCAP WORLD FUND-C	B	0.00	4.70	0.00	4.70		1.76
11/21/2018	mfc652653 BRISTER A 652653	MFT SMALLCAP WORLD FUND-C	B	0.00	4.70	0.00	4.70		1.76
11/21/2018	mfc652653 BRISTER A 652653	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	5.82	0.00	5.82		2.18
11/21/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	1.73	0.00	1.73		0.65
11/21/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	2.21	0.00	2.21		0.83
11/21/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	3.89	0.00	3.89		1.46
11/21/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	12.05	0.00	12.05		4.52
11/21/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	0.25	0.00	0.25		0.09
11/21/2018	mfc652653 BRISTER A 652653	MFT THE INVESTMENT COMPANY OF	B	0.00	1.70	0.00	1.70		0.64
11/21/2018	mfc652653 BRISTER A 652653	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	0.32	0.00	0.32		0.12
11/21/2018	mfc652653 BRISTER A 652653	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	9.11	0.00	9.11		3.42
* ALEX BRISTER-D010 SUBTOTAL *				\$-30,745.05	\$348.16	\$70.00	\$278.16		\$104.36
*** OVERRIDE TRANSACTIONS TOTAL ***				\$-30,745.05	\$348.16	\$70.00	\$278.16		\$104.36

ADJUSTMENTS TRANSACTIONS

BROKER: #0

11/30/2018	: BROKER WORKSTATION	0.00	0.00	0.00	0.00	-30.00
11/30/2018	: E&O	0.00	0.00	0.00	0.00	-130.00
11/30/2018	: E&O - ALEX BRISTER	0.00	0.00	0.00	0.00	-130.00
11/30/2018	: E-MAIL ACCOUNT	0.00	0.00	0.00	0.00	-25.00
11/30/2018	: MONEY MARKET TRAILS	0.00	0.00	0.00	0.00	97.08
* SUBTOTAL *		\$0.00	\$0.00	\$0.00	\$0.00	\$-217.92
*** ADJUSTMENTS TRANSACTIONS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-217.92

BROKER COMMISSION TOTALS

Broker Transactions	\$482.47
Split Transactions	\$0.00
Override Transactions	\$104.36
Adjustments	\$-217.92
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$368.91
Year-to-date Commissions	\$31,119.64