

# COMMISSION STATEMENT October 31, 2018

BRISTER TOM DPM

BROKER #: D111

BRANCH: DWA

, TX

## COMMISSION STATEMENT for BRISTER TOM DPM

| TRADE DATE                            | CLIENT              | INVESTMENT                         | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------|---------------------|------------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>CLEARING TRANSACTIONS</b>          |                     |                                    |     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS</b> |                     |                                    |     |                      |                     |                    |                   |      |                      |
| 10/23/2018 368260199                  | ROBBINS, L          | MF AMERICAN FDS CAP WORLD GROW&INC | S   | -10,474.60           | 0.00                | 5.00               | -5.00             | 0.0  | 0.00                 |
| 10/23/2018 368435724                  | STAFF, RENEE        | MF ALLIANZGI GLOBAL ALLOCATION A   | S   | -9,051.46            | 0.00                | 5.00               | -5.00             | 0.0  | 0.00                 |
| 10/23/2018 368441888                  | PHILLIPS, CHRISTINE | MF DREYFUS RESEARCH GROWTH FD A    | S   | -2,161.88            | 0.00                | 5.00               | -5.00             | 0.0  | 0.00                 |
| 10/23/2018 368441888                  | PHILLIPS, CHRISTINE | MF MARSICO FOCUS FD                | S   | -6,538.18            | 0.00                | 5.00               | -5.00             | 0.0  | 0.00                 |
| 10/23/2018 368441888                  | PHILLIPS, CHRISTINE | MF RUSSELL LIFEPOINTS GROWTH       | S   | -31,584.58           | 0.00                | 5.00               | -5.00             | 0.0  | 0.00                 |
| 10/23/2018 646121468                  | WURSTER, SUSANNE    | MF OPPENHEIMER CAPITAL INCOME FD   | S   | -7,883.62            | 0.00                | 5.00               | -5.00             | 0.0  | 0.00                 |
| 10/23/2018 677627409                  | CAREY, LESLEY       | MF AMERICAN FDS CAP WORLD GROW&INC | S   | -20,951.55           | 0.00                | 5.00               | -5.00             | 0.0  | 0.00                 |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>      |                     |                                    |     | <b>\$-88,645.87</b>  | <b>\$0.00</b>       | <b>\$35.00</b>     | <b>\$-35.00</b>   |      | <b>\$0.00</b>        |

## PRODUCT CATEGORY: STOCKS

|                      |                   |                                |   |            |       |       |      |     |      |
|----------------------|-------------------|--------------------------------|---|------------|-------|-------|------|-----|------|
| 10/10/2018 152901548 | BRUMELLE TOD,     | S COHEN & STEERS CLOSED-END    | S | -4,585.50  | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/08/2018 154105444 | BAKER, CLAUDE     | S INVESCO TRUST FOR INVESTMENT | S | -22,968.10 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/10/2018 154105444 | BAKER, CLAUDE     | S COHEN & STEERS CLOSED-END    | S | -12,854.59 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/11/2018 154105444 | BAKER, CLAUDE     | S INVESCO MUNICIPAL TRUST      | S | -23,241.37 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/08/2018 154119554 | BAKER, BEVERLY    | S INVESCO TRUST FOR INVESTMENT | S | -13,560.36 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/10/2018 154119554 | BAKER, BEVERLY    | S COHEN & STEERS CLOSED-END    | S | -9,176.31  | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/11/2018 154119554 | BAKER, BEVERLY    | S INVESCO MUNICIPAL TRUST      | S | -13,763.66 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/08/2018 307663507 | GOTHARD, CAROLYN  | S INVESCO TRUST FOR INVESTMENT | S | -4,569.42  | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/23/2018 307663507 | GOTHARD, CAROLYN  | S WESTERN ASSET GLOBAL HIGH    | S | -6,981.94  | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/10/2018 368259871 | ROBBINS, L        | S COHEN & STEERS CLOSED-END    | S | -15,219.61 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/10/2018 368260199 | ROBBINS, L        | S COHEN & STEERS CLOSED-END    | S | -26,646.20 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/10/2018 368261812 | WURSTER, SUSANNE  | S COHEN & STEERS CLOSED-END    | S | -40,970.03 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/23/2018 368261812 | WURSTER, SUSANNE  | S WESTERN ASSET GLOBAL HIGH    | S | -17,915.36 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/10/2018 368290532 | MARSHALL, RICHARD | S COHEN & STEERS CLOSED-END    | S | -21,885.01 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/25/2018 368290532 | MARSHALL, RICHARD | S ADVENT CLAYMORE CONVERTIBLE  | S | -21,895.47 | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/25/2018 368293615 | MARTIN, RONALD    | S ADVENT CLAYMORE CONVERTIBLE  | S | -6,768.82  | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/10/2018 368300440 | MARTIN, RONALD    | S COHEN & STEERS CLOSED-END    | S | -3,792.87  | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/29/2018 368300440 | MARTIN, RONALD    | S BROOKFIELD RENEWABLE ENRGY P | B | 4,004.23   | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/29/2018 368300440 | MARTIN, RONALD    | S BROOKFIELD INFRASTRUCTURE    | B | 6,006.76   | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/29/2018 368300440 | MARTIN, RONALD    | S DUKE REALTY CORPORATION      | B | 6,028.50   | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |
| 10/29/2018 368300440 | MARTIN, RONALD    | S TANGER FACTORY OUTLET CENTER | B | 5,989.34   | 15.00 | 15.00 | 0.00 | 0.0 | 0.00 |

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| TRADE DATE           | CLIENT              | INVESTMENT                     | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------|---------------------|--------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| 10/29/2018 368300440 | MARTIN, RONALD      | S VENTAS INCORPORATED          | B   | 6,016.77             | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/10/2018 368372647 | SORTWELL, FRED      | S COHEN & STEERS CLOSED-END    | S   | -14,816.44           | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/10/2018 368435724 | STAFF, RENEE        | S COHEN & STEERS CLOSED-END    | S   | -5,293.96            | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/25/2018 368435724 | STAFF, RENEE        | S ADVENT CLAYMORE CONVERTIBLE  | S   | -6,647.38            | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/10/2018 368441888 | PHILLIPS, CHRISTINE | S COHEN & STEERS CLOSED-END    | S   | -6,961.73            | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/10/2018 368462158 | PARSONS, JAMES      | S COHEN & STEERS CLOSED-END    | S   | -21,871.14           | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/10/2018 368462732 | GOTHARD, CAROLYN    | S COHEN & STEERS CLOSED-END    | S   | -21,663.50           | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/25/2018 368462732 | GOTHARD, CAROLYN    | S ADVENT CLAYMORE CONVERTIBLE  | S   | -16,974.57           | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/10/2018 368464494 | STUBBS, DAVID       | S COHEN & STEERS CLOSED-END    | S   | -8,283.30            | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/08/2018 492387904 | MATTHEWS, R ELLEN   | S INVESCO MUNICIPAL TRUST      | S   | -7,080.70            | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/08/2018 492387904 | MATTHEWS, R ELLEN   | S INVESCO TRUST FOR INVESTMENT | S   | -6,857.22            | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/12/2018 553224194 | TOD, MAURICE OHMAN  | S DUKE REALTY CORPORATION      | B   | 1,532.81             | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/17/2018 553224194 | TOD, MAURICE OHMAN  | S PHYSICIANS REALTY TRUST      | B   | 1,465.12             | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/17/2018 553224194 | TOD, MAURICE OHMAN  | S VENTAS INCORPORATED          | B   | 1,457.23             | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/19/2018 553224194 | TOD, MAURICE OHMAN  | S BROOKFIELD RENEWABLE ENRGY P | B   | 1,125.91             | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/19/2018 553224194 | TOD, MAURICE OHMAN  | S BROOKFIELD RENEWABLE ENRGY P | B   | 1,505.12             | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/12/2018 584306925 | ANN POWELL, MARY    | S DUKE REALTY CORPORATION      | B   | 7,437.10             | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/17/2018 584306925 | ANN POWELL, MARY    | S PHYSICIANS REALTY TRUST      | B   | 7,401.13             | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/17/2018 584306925 | ANN POWELL, MARY    | S VENTAS INCORPORATED          | B   | 7,383.99             | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/17/2018 584306925 | ANN POWELL, MARY    | S VENTAS INCORPORATED          | B   | 7,501.51             | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/17/2018 584306925 | ANN POWELL, MARY    | S VENTAS INCORPORATED          | B   | -7,501.51            | -15.00              | -15.00             | 0.00              | 0.0  | 0.00                 |
| 10/17/2018 584306925 | ANN POWELL, MARY    | S VENTAS INCORPORATED          | B   | 2,218.77             | 0.00                | 15.00              | -15.00            | 0.0  | 0.00                 |
| 10/17/2018 584306925 | ANN POWELL, MARY    | S VENTAS INCORPORATED          | B   | 5,284.01             | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/19/2018 584306925 | ANN POWELL, MARY    | S BROOKFIELD INFRASTRUCTURE    | B   | 7,434.76             | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/19/2018 584306925 | ANN POWELL, MARY    | S BROOKFIELD RENEWABLE ENRGY P | B   | 7,428.66             | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/25/2018 584415418 | PHILLIPS, TRAVIS    | S ADVENT CLAYMORE CONVERTIBLE  | S   | -4,224.91            | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/08/2018 646769616 | ROBBINS, BRIAN      | S INVESCO TRUST FOR INVESTMENT | S   | -4,569.38            | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/11/2018 646769616 | ROBBINS, BRIAN      | S INVESCO MUNICIPAL TRUST      | S   | -4,622.48            | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/10/2018 677627409 | CAREY, LESLEY       | S COHEN & STEERS CLOSED-END    | S   | -19,036.77           | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/08/2018 799809455 | WILFORD, NED        | S INVESCO TRUST FOR INVESTMENT | S   | -6,857.22            | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/10/2018 799809455 | WILFORD, NED        | S COHEN & STEERS CLOSED-END    | S   | -25,695.22           | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/11/2018 799809455 | WILFORD, NED        | S INVESCO MUNICIPAL TRUST      | S   | -7,051.37            | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/25/2018 799809455 | WILFORD, NED        | S ADVENT CLAYMORE CONVERTIBLE  | S   | -25,392.40           | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/08/2018 799810243 | WILFORD (TOD), DAN  | S INVESCO TRUST FOR INVESTMENT | S   | -6,857.22            | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/10/2018 799810243 | WILFORD (TOD), DAN  | S COHEN & STEERS CLOSED-END    | S   | -11,868.54           | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| 10/11/2018 799810243 | WILFORD (TOD), DAN  | S INVESCO MUNICIPAL TRUST      | S   | -6,953.34            | 15.00               | 15.00              | 0.00              | 0.0  | 0.00                 |
| * STOCKS SUBTOTAL *  |                     |                                |     | \$-426,653.20        | \$810.00            | \$825.00           | \$-15.00          |      | \$0.00               |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

|                      |                 |                                    |   |      |      |      |      |     |      |
|----------------------|-----------------|------------------------------------|---|------|------|------|------|-----|------|
| 10/19/2018 mfc539565 | DPM BRSITER TOM | MFT ALLIANZ OCC RENAISSANCE FUND   | B | 0.00 | 3.14 | 0.00 | 3.14 | 0.0 | 0.00 |
| 10/19/2018 mfc539565 | DPM BRSITER TOM | MFT ALLIANZ RCM TECHNOLOGY FUND    | B | 0.00 | 5.40 | 0.00 | 5.40 | 0.0 | 0.00 |
| 10/19/2018 mfc539565 | DPM BRSITER TOM | MFT ALLIANZGI GLOBAL ALLOCATION A  | B | 0.00 | 1.95 | 0.00 | 1.95 | 0.0 | 0.00 |
| 10/19/2018 mfc539565 | DPM BRSITER TOM | MFT ALLIANZGI GLOBAL ALLOCATION C  | B | 0.00 | 2.38 | 0.00 | 2.38 | 0.0 | 0.00 |
| 10/19/2018 mfc539565 | DPM BRSITER TOM | MFT AMG MANAGERS CADENCE MIDCAP FD | B | 0.00 | 6.59 | 0.00 | 6.59 | 0.0 | 0.00 |

COMMISSION STATEMENT for BRISTER TOM DPM

| TRADE DATE                           | CLIENT                    | INVESTMENT                          | B/S | INVESTMENT    | GROSS      | CLEARING | NET        | RATE | BROKER     |
|--------------------------------------|---------------------------|-------------------------------------|-----|---------------|------------|----------|------------|------|------------|
|                                      |                           |                                     |     | AMOUNT        | COMMISSION | CHARGE   | COMMISSION |      | COMMISSION |
| 10/19/2018                           | mfc539565 DPM BRSITER TOM | MFT AMG MANAGERS CADENCE MIDCAP FD  | B   | 0.00          | 6.67       | 0.00     | 6.67       | 0.0  | 0.00       |
| 10/19/2018                           | mfc539565 DPM BRSITER TOM | MFT CAPITAL WORLD GROWTH AND INCOME | B   | 0.00          | 4.99       | 0.00     | 4.99       | 0.0  | 0.00       |
| 10/19/2018                           | mfc539565 DPM BRSITER TOM | MFT DREYFUS RESEARCH GROWTH FD A    | B   | 0.00          | 0.48       | 0.00     | 0.48       | 0.0  | 0.00       |
| 10/19/2018                           | mfc539565 DPM BRSITER TOM | MFT MARSICO FOCUS FD                | B   | 0.00          | 1.45       | 0.00     | 1.45       | 0.0  | 0.00       |
| 10/19/2018                           | mfc539565 DPM BRSITER TOM | MFT OPPENHEIMER CAPITAL INCOME FD   | B   | 0.00          | 3.31       | 0.00     | 3.31       | 0.0  | 0.00       |
| 10/19/2018                           | mfc539565 DPM BRSITER TOM | MFT PIM 018919704                   | B   | 0.00          | 7.56       | 0.00     | 7.56       | 0.0  | 0.00       |
| 10/19/2018                           | mfc539565 DPM BRSITER TOM | MFT RUSSELL LIFEPOINTS GROWTH       | B   | 0.00          | 38.59      | 0.00     | 38.59      | 0.0  | 0.00       |
| 10/19/2018                           | mfc539565 DPM BRSITER TOM | MFT THE INCOME FUND OF AMERICA-A    | B   | 0.00          | 10.05      | 0.00     | 10.05      | 0.0  | 0.00       |
| 10/19/2018                           | mfc539565 DPM BRSITER TOM | MFT WASHINGTON MUTUAL INVESTORS     | B   | 0.00          | 33.17      | 0.00     | 33.17      | 0.0  | 0.00       |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * |                           |                                     |     | \$0.00        | \$125.73   | \$0.00   | \$125.73   |      | \$0.00     |
| *** CLEARING TRANSACTIONS TOTAL ***  |                           |                                     |     | \$-515,299.07 | \$935.73   | \$860.00 | \$75.73    |      | \$0.00     |

BROKER COMMISSION TOTALS

|                       |        |
|-----------------------|--------|
| Broker Transactions   | \$0.00 |
| 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          | \$0.00 |
| Year-to-date Commissions | \$0.00 |