

# Bill Payment Stub

Check Date:	5/7/2018
Check No.:	ACH
Check Amount:	7,742.99

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
4/30/2018	Bill	COMMISSIONS	7,862.99	7,862.99		7,862.99
5/1/2018	Credit	E&O	-120.00	-120.00		-120.00

# COMMISSION STATEMENT

April 30, 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
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### CLEARING TRANSACTIONS

#### PRODUCT CATEGORY: MUTUAL FUNDS

04/20/2018 368459537	SMITH, GENE	MF	NEW PERSPECTIVE FUND-A	S	50,002.45	800.00	5.00	795.00	90.0	715.50
04/24/2018 429910076	KRAUSE, JEFFREY	MF	INVESCO MID CAP GROWTH FUND -	B	-112.55	0.00	5.00	-5.00	90.0	-4.50
				<b>* MUTUAL FUNDS SUBTOTAL *</b>	<b>\$49,889.90</b>	<b>\$800.00</b>	<b>\$10.00</b>	<b>\$790.00</b>		<b>\$711.00</b>

#### PRODUCT CATEGORY: STOCKS

04/24/2018 122505316	ANDERSON, BRIAN	S	GENERAL MILLS INCORPORATED	B	22,492.45	320.00	15.00	305.00	90.0	274.50
04/09/2018 183756909	CHRISTIAN TTEE,	S	KINDER MORGAN INC	B	10,855.75	235.00	15.00	220.00	90.0	198.00
03/29/2018 185012875	COOK, JOHN	S	COLLECTORS UNIVERSE INC NEW	B	1,591.45	24.00	15.00	9.00	90.0	8.10
03/29/2018 185012875	COOK, JOHN	S	COLLECTORS UNIVERSE INC NEW	B	7,989.45	120.00	15.00	105.00	90.0	94.50
03/29/2018 185012875	COOK, JOHN	S	KKR & CO L P DEL	S	-10,112.31	60.00	15.00	45.00	90.0	40.50
04/24/2018 368293321	NORRIS, CURTIS	S	GENERAL MILLS INCORPORATED	B	22,442.45	290.00	15.00	275.00	90.0	247.50
04/18/2018 368347337	WHITSON, JONATHAN	S	SOUTHERN COMPANY	B	4,627.75	73.75	0.00	73.75	90.0	66.38
04/18/2018 368347337	WHITSON, JONATHAN	S	SOUTHERN COMPANY	B	4,627.75	73.75	0.00	73.75	90.0	66.38
04/18/2018 368347337	WHITSON, JONATHAN	S	SOUTHERN COMPANY	B	9,257.95	147.50	15.00	132.50	90.0	119.25
04/24/2018 368347337	WHITSON, JONATHAN	S	GENERAL MILLS INCORPORATED	B	22,497.45	320.00	15.00	305.00	90.0	274.50
04/11/2018 368356408	DEADY, MYRNA	S	LOCKHEED MARTIN CORPORATION	S	-16,733.16	220.00	15.00	205.00	90.0	184.50
04/11/2018 368356408	DEADY, MYRNA	S	NUTRIEN LTD COM ISIN	S	-3,651.67	65.00	15.00	50.00	90.0	45.00
04/20/2018 368459537	SMITH, GENE	S	FLOWERS FOODS INCORPORATED	S	-21,797.04	320.00	15.00	305.00	90.0	274.50
04/24/2018 368459537	SMITH, GENE	S	GENERAL MILLS INCORPORATED	B	22,492.45	320.00	15.00	305.00	90.0	274.50
04/18/2018 368463638	FULLER, KAREN	S	SOUTHERN COMPANY	B	9,236.00	128.00	0.00	128.00	90.0	115.20
04/18/2018 368463638	FULLER, KAREN	S	SOUTHERN COMPANY	B	13,856.45	192.00	15.00	177.00	90.0	159.30
04/24/2018 368463638	FULLER, KAREN	S	GENERAL MILLS INCORPORATED	B	22,502.40	320.00	15.00	305.00	90.0	274.50
04/24/2018 368493081	SHAW JR, WILLIAM	S	GENERAL MILLS INCORPORATED	B	22,417.45	265.00	15.00	250.00	90.0	225.00
04/17/2018 399469831	JOE PAUL JONE IRR	S	TRACTOR SUPPLY COMPANY	B	59,040.85	370.00	15.00	355.00	90.0	319.50
04/06/2018 462138880	LAFON, DONNA	S	AT&T INC	B	1,863.40	60.00	15.00	45.00	90.0	40.50
04/20/2018 585248118	PEOPLES, MAUREEN	S	FLOWERS FOODS INCORPORATED	S	-15,236.19	245.00	15.00	230.00	90.0	207.00
04/24/2018 585248118	PEOPLES, MAUREEN	S	GENERAL MILLS INCORPORATED	B	22,502.40	320.00	15.00	305.00	90.0	274.50
04/24/2018 677020075	BANK, SOUTHWEST	S	GENERAL MILLS INCORPORATED	B	44,732.45	390.00	15.00	375.00	90.0	337.50
				<b>* STOCKS SUBTOTAL *</b>	<b>\$257,495.93</b>	<b>\$4,879.00</b>	<b>\$300.00</b>	<b>\$4,579.00</b>		<b>\$4,121.11</b>

COMMISSION STATEMENT for KATHERINE SMITH-DM31

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
04/20/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	2.51	0.00	2.51	90.0	2.26
04/20/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	2.54	0.00	2.54	90.0	2.29
04/20/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	4.72	0.00	4.72	90.0	4.25
04/20/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	5.11	0.00	5.11	90.0	4.60
04/20/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	10.58	0.00	10.58	90.0	9.52
04/20/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	10.61	0.00	10.61	90.0	9.55
04/20/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	15.12	0.00	15.12	90.0	13.61
04/20/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	34.20	0.00	34.20	90.0	30.78
04/20/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER-A	B	0.00	36.83	0.00	36.83	90.0	33.15
04/20/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER CLASS C	B	0.00	0.14	0.00	0.14	90.0	0.13
04/20/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.15	0.00	2.15	90.0	1.94
04/20/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	5.31	0.00	5.31	90.0	4.78
04/20/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	15.39	0.00	15.39	90.0	13.85
04/20/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA DISCIPLINED CORE	B	0.00	1.49	0.00	1.49	90.0	1.34
04/20/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA LARGE CAP GROWTH FUND	B	0.00	1.12	0.00	1.12	90.0	1.01
04/20/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA SELECT INTL EQUITY	B	0.00	0.83	0.00	0.83	90.0	0.75
04/20/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TAX-EXEMPT FUND-A	B	0.00	0.57	0.00	0.57	90.0	0.51
04/20/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TOTAL RETURN BOND FD A	B	0.00	0.56	0.00	0.56	90.0	0.50
04/20/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	0.58	0.00	0.58	90.0	0.52
04/20/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	1.68	0.00	1.68	90.0	1.51
04/20/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	0.65	0.00	0.65	90.0	0.59
04/20/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	2.77	0.00	2.77	90.0	2.49
04/20/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	15.63	0.00	15.63	90.0	14.07
04/20/2018	mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	17.13	0.00	17.13	90.0	15.42
04/20/2018	mfc932013	SMITH KATHERINE	MFT GROWTH FUND OF AMERICA CLASS F	B	0.00	5.72	0.00	5.72	90.0	5.15
04/20/2018	mfc932013	SMITH KATHERINE	MFT INTERMEDIATE BOND FUND OF	B	0.00	10.29	0.00	10.29	90.0	9.26
04/20/2018	mfc932013	SMITH KATHERINE	MFT INVESCO MID CAP GROWTH FUND -	B	0.00	0.72	0.00	0.72	90.0	0.65
04/20/2018	mfc932013	SMITH KATHERINE	MFT MASSACHUSETTS INVESTORS TRUST-A	B	0.00	5.42	0.00	5.42	90.0	4.88
04/20/2018	mfc932013	SMITH KATHERINE	MFT MORGAN STANLEY INS MIDCAP	B	0.00	11.11	0.00	11.11	90.0	10.00
04/20/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	5.05	0.00	5.05	90.0	4.55
04/20/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	5.96	0.00	5.96	90.0	5.36
04/20/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER STEELPATH MLP	B	0.00	161.91	0.00	161.91	90.0	145.72
04/20/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER SENIOR FLOATING	B	0.00	232.58	0.00	232.58	90.0	209.32
04/20/2018	mfc932013	SMITH KATHERINE	MFT PUTNAM TAX-FREE HIGH YIELD FUND	B	0.00	5.25	0.00	5.25	90.0	4.73
04/20/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.33	0.00	0.33	90.0	0.30
04/20/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.56	0.00	0.56	90.0	0.50
04/20/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.55	0.00	2.55	90.0	2.30
04/20/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.58	0.00	2.58	90.0	2.32
04/20/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.69	0.00	2.69	90.0	2.42
04/20/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	3.35	0.00	3.35	90.0	3.02
04/20/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	5.18	0.00	5.18	90.0	4.66
04/20/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	13.72	0.00	13.72	90.0	12.35
04/20/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	14.16	0.00	14.16	90.0	12.74

COMMISSION STATEMENT for KATHERINE SMITH-DM31

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
04/20/2018	mfc932013 SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	23.76	0.00	23.76	90.0	21.38
04/20/2018	mfc932013 SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	31.60	0.00	31.60	90.0	28.44
04/20/2018	mfc932013 SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	18.58	0.00	18.58	90.0	16.72
04/20/2018	mfc932013 SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	18.82	0.00	18.82	90.0	16.94
04/20/2018	mfc932013 SMITH KATHERINE	MFT THE INVESTMENT COMPANY OF	B	0.00	5.47	0.00	5.47	90.0	4.92
04/20/2018	mfc932013 SMITH KATHERINE	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	37.17	0.00	37.17	90.0	33.45
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$812.75</b>	<b>\$0.00</b>	<b>\$812.75</b>		<b>\$731.50</b>
<b>*** CLEARING TRANSACTIONS TOTAL ***</b>				<b>\$307,385.83</b>	<b>\$6,491.75</b>	<b>\$310.00</b>	<b>\$6,181.75</b>		<b>\$5,563.61</b>

DIRECT TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

04/20/2018	00083443944 MYERS, RICHARD	MF NEW PERSPECTIVE FUND-A	B	9,933.25	273.16	0.00	273.16	90.0	245.84
04/09/2018	04000143383 ZAVALA, GILBERT	MF AMERICAN BALANCED FUND-A	B	25.00	1.25	0.00	1.25	90.0	1.13
04/09/2018	04000143383 ZAVALA, GILBERT	MF THE GROWTH FUND OF AMERICA-A	B	25.00	1.25	0.00	1.25	90.0	1.13
04/13/2018	04000276196 PHILLIPS, JOHN	MF THE GROWTH FUND OF AMERICA-A	B	4,718.57	235.93	0.00	235.93	90.0	212.34
04/19/2018	04000869435 FBO SHELBY R	MF AMERICAN BALANCED FUND-A	B	2,495.55	124.78	0.00	124.78	90.0	112.30
04/19/2018	04000869435 FBO SHELBY R	MF THE GROWTH FUND OF AMERICA-A	B	2,500.00	125.00	0.00	125.00	90.0	112.50
04/19/2018	04000884234 KRAUSE, SHEILA	MF AMERICAN BALANCED FUND-A	B	2,500.00	93.75	0.00	93.75	90.0	84.38
04/19/2018	04000884234 KRAUSE, SHEILA	MF THE GROWTH FUND OF AMERICA-A	B	2,500.00	93.75	0.00	93.75	90.0	84.38
04/19/2018	04000887248 KRAUSE, JEFFREY	MF AMERICAN BALANCED FUND-A	B	5,000.00	250.00	0.00	250.00	90.0	225.00
04/19/2018	04000887248 KRAUSE, JEFFREY	MF THE GROWTH FUND OF AMERICA-A	B	5,000.00	250.00	0.00	250.00	90.0	225.00
04/19/2018	04000888377 WHITSON, BLAKE	MF AMERICAN BALANCED FUND-A	B	5,000.00	187.50	0.00	187.50	90.0	168.75
04/19/2018	04000888377 WHITSON, BLAKE	MF THE GROWTH FUND OF AMERICA-A	B	5,000.00	187.50	0.00	187.50	90.0	168.75
04/13/2018	04000907325 SPICHER, BEVERLY	MF AMERICAN BALANCED FUND-A	B	2,500.00	125.00	0.00	125.00	90.0	112.50
04/13/2018	04000907325 SPICHER, BEVERLY	MF THE GROWTH FUND OF AMERICA-A	B	2,500.00	125.00	0.00	125.00	90.0	112.50
<b>* MUTUAL FUNDS SUBTOTAL *</b>				<b>\$49,697.37</b>	<b>\$2,073.87</b>	<b>\$0.00</b>	<b>\$2,073.87</b>		<b>\$1,866.50</b>

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/31/2018	(None) SMITH, CLAY	MFT VOYA	B	0.00	3.19	0.00	3.19	90.0	2.87
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$3.19</b>	<b>\$0.00</b>	<b>\$3.19</b>		<b>\$2.87</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>				<b>\$49,697.37</b>	<b>\$2,077.06</b>	<b>\$0.00</b>	<b>\$2,077.06</b>		<b>\$1,869.37</b>

COMMISSION STATEMENT for KATHERINE SMITH-DM31

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
04/30/2018		: BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
04/30/2018		: E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
04/30/2018		: MONEY MARKET TRAILS		0.00	0.00	0.00	0.00		485.01
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$430.01

BROKER COMMISSION TOTALS

Broker Transactions	\$7,432.98
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$430.01
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$7,862.99
Year-to-date Commissions	\$34,715.61