

COMMISSION STATEMENT

October 31, 2018

KATHERINE SMITH-DM31
 1701 River Run Road
 Suite 1116
 Forth Worth, TX 76107

BROKER #: DM31
 BRANCH: DMW

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

10/19/2018 368347337	WHITSON, JONATHAN	MF	AMERICAN BALANCED FUND-A	S	25,002.45	500.00	2.50	497.50	90.0	447.75
10/19/2018 368347337	WHITSON, JONATHAN	MF	THE GROWTH FUND OF AMERICA-A	S	25,002.45	500.00	2.50	497.50	90.0	447.75
10/11/2018 368459537	SMITH, GENE	MF	AMERICAN BALANCED FUND-A	S	37,507.45	600.00	2.50	597.50	90.0	537.75
10/11/2018 368459537	SMITH, GENE	MF	THE GROWTH FUND OF AMERICA-A	S	37,507.45	600.00	2.50	597.50	90.0	537.75
10/22/2018 368463638	FULLER, KAREN	MF	AMERICAN BALANCED FUND-A	S	25,002.45	687.50	2.50	685.00	90.0	616.50
10/22/2018 368463638	FULLER, KAREN	MF	THE GROWTH FUND OF AMERICA-A	S	25,002.45	687.50	2.50	685.00	90.0	616.50
10/19/2018 491472374	MYERS III, RICHARD	MF	THE GROWTH FUND OF AMERICA-A	S	15,002.45	412.50	5.00	407.50	90.0	366.75
10/22/2018 492704310	MCCOY, RYAN	MF	AMERICAN BALANCED FUND-A	S	25,002.45	687.50	5.00	682.50	90.0	614.25
10/22/2018 492704310	MCCOY, RYAN	MF	THE GROWTH FUND OF AMERICA-A	S	25,002.45	687.50	5.00	682.50	90.0	614.25
* MUTUAL FUNDS SUBTOTAL *					\$240,032.05	\$5,362.50	\$30.00	\$5,332.50		\$4,799.25

PRODUCT CATEGORY: STOCKS

10/03/2018 216031482	DE BULLET, EUGENE	S	GREEN THUMB INDUSTRIES INC ISIN	S	-7,957.55	60.00	15.00	45.00	90.0	40.50
10/03/2018 216031482	DE BULLET, EUGENE	S	TILRAY INC COM CL 2 ORDER	B	15,757.35	95.00	15.00	80.00	90.0	72.00
10/25/2018 216031482	DE BULLET, EUGENE	S	HUNTINTON INGALLS INDUSTRIES	S	-3,448.36	65.00	15.00	50.00	90.0	45.00
10/11/2018 368356408	DEADY, MYRNA	S	LOCKHEED MARTIN CORPORATION	S	-4,887.79	60.00	15.00	45.00	90.0	40.50
10/22/2018 368356408	DEADY, MYRNA	S	GENERAL DYNAMICS CORPORATION	S	-3,740.72	60.00	15.00	45.00	90.0	40.50
10/22/2018 368356408	DEADY, MYRNA	S	NORDIC AMERICAN TANKER LIMITED	S	-1,149.88	20.00	15.00	5.00	90.0	4.50
10/12/2018 462138880	LAFON, DONNA	S	SOUTHERN COMPANY	B	921.45	50.00	15.00	35.00	90.0	31.50
10/24/2018 492360776	MOODY, DEBORAH	S	EXXON-MOBIL CORPORATION	S	-3,832.51	65.00	15.00	50.00	90.0	45.00
* STOCKS SUBTOTAL *					\$-8,338.01	\$475.00	\$120.00	\$355.00		\$319.50

PRODUCT CATEGORY: MISCELLANEOUS

10/12/2018 a03932013	SMITH-DM31,	MI	MUTUAL FUND MISC FEE 368459537	S	0.00	5.00	0.00	5.00	90.0	4.50
10/12/2018 a03932013	SMITH-DM31,	MI	MUTUAL FUND MISC FEE 368459537	S	0.00	5.00	0.00	5.00	90.0	4.50
* MISCELLANEOUS SUBTOTAL *					\$0.00	\$10.00	\$0.00	\$10.00		\$9.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/19/2018 mfc932013	SMITH KATHERINE	MFT	AMERICAN BALANCED FUND-A	B	0.00	2.54	0.00	2.54	90.0	2.29
10/19/2018 mfc932013	SMITH KATHERINE	MFT	AMERICAN BALANCED FUND-A	B	0.00	4.77	0.00	4.77	90.0	4.29
10/19/2018 mfc932013	SMITH KATHERINE	MFT	AMERICAN BALANCED FUND-A	B	0.00	5.00	0.00	5.00	90.0	4.50
10/19/2018 mfc932013	SMITH KATHERINE	MFT	AMERICAN BALANCED FUND-A	B	0.00	5.04	0.00	5.04	90.0	4.54

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
10/19/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	5.97	0.00	5.97	90.0	5.37
10/19/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	10.24	0.00	10.24	90.0	9.22
10/19/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	10.68	0.00	10.68	90.0	9.61
10/19/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	10.71	0.00	10.71	90.0	9.64
10/19/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	15.27	0.00	15.27	90.0	13.74
10/19/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	34.53	0.00	34.53	90.0	31.08
10/19/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN FDS TAX-ADV GROW & INC	B	0.00	3.89	0.00	3.89	90.0	3.50
10/19/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER-A	B	0.00	35.71	0.00	35.71	90.0	32.14
10/19/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER CLASS C	B	0.00	0.13	0.00	0.13	90.0	0.12
10/19/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.05	0.00	2.05	90.0	1.85
10/19/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	5.08	0.00	5.08	90.0	4.57
10/19/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	14.71	0.00	14.71	90.0	13.24
10/19/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA DISCIPLINED CORE	B	0.00	1.57	0.00	1.57	90.0	1.41
10/19/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA LARGE CAP GROWTH FUND	B	0.00	1.18	0.00	1.18	90.0	1.06
10/19/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA SELECT INTL EQUITY	B	0.00	0.77	0.00	0.77	90.0	0.69
10/19/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TAX-EXEMPT FUND-A	B	0.00	0.54	0.00	0.54	90.0	0.49
10/19/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TOTAL RETURN BOND FD A	B	0.00	0.54	0.00	0.54	90.0	0.49
10/19/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	0.55	0.00	0.55	90.0	0.50
10/19/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	3.93	0.00	3.93	90.0	3.54
10/19/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	0.62	0.00	0.62	90.0	0.56
10/19/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	2.66	0.00	2.66	90.0	2.39
10/19/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	14.97	0.00	14.97	90.0	13.47
10/19/2018	mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.84	0.00	0.84	90.0	0.76
10/19/2018	mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	17.33	0.00	17.33	90.0	15.60
10/19/2018	mfc932013	SMITH KATHERINE	MFT GROWTH FUND OF AMERICA CLASS F	B	0.00	5.93	0.00	5.93	90.0	5.34
10/19/2018	mfc932013	SMITH KATHERINE	MFT INTERMEDIATE BOND FUND OF	B	0.00	9.99	0.00	9.99	90.0	8.99
10/19/2018	mfc932013	SMITH KATHERINE	MFT INVESCO MID CAP GROWTH FUND -	B	0.00	2.17	0.00	2.17	90.0	1.95
10/19/2018	mfc932013	SMITH KATHERINE	MFT INVESCO MID CAP GROWTH FUND -	B	0.00	2.21	0.00	2.21	90.0	1.99
10/19/2018	mfc932013	SMITH KATHERINE	MFT MASSACHUSETTS INVESTORS TRUST-A	B	0.00	5.58	0.00	5.58	90.0	5.02
10/19/2018	mfc932013	SMITH KATHERINE	MFT MORGAN STANLEY INS MIDCAP	B	0.00	12.98	0.00	12.98	90.0	11.68
10/19/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	5.05	0.00	5.05	90.0	4.55
10/19/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	5.97	0.00	5.97	90.0	5.37
10/19/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	10.47	0.00	10.47	90.0	9.42
10/19/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER STEELPATH MLP	B	0.00	163.67	0.00	163.67	90.0	147.30
10/19/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER SENIOR FLOATING	B	0.00	224.23	0.00	224.23	90.0	201.81
10/19/2018	mfc932013	SMITH KATHERINE	MFT PUTNAM TAX-FREE HIGH YIELD FUND	B	0.00	5.08	0.00	5.08	90.0	4.57
10/19/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.34	0.00	0.34	90.0	0.31
10/19/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.65	0.00	2.65	90.0	2.39
10/19/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.79	0.00	2.79	90.0	2.51
10/19/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	3.48	0.00	3.48	90.0	3.13
10/19/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	5.02	0.00	5.02	90.0	4.52
10/19/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	5.16	0.00	5.16	90.0	4.64
10/19/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	10.48	0.00	10.48	90.0	9.43
10/19/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	14.24	0.00	14.24	90.0	12.82

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10/19/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	14.69	0.00	14.69	90.0	13.22
10/19/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	24.65	0.00	24.65	90.0	22.19
10/19/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	32.78	0.00	32.78	90.0	29.50
10/19/2018 mfc932013	SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	18.48	0.00	18.48	90.0	16.63
10/19/2018 mfc932013	SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	18.72	0.00	18.72	90.0	16.85
10/19/2018 mfc932013	SMITH KATHERINE	MFT THE INVESTMENT COMPANY OF	B	0.00	5.53	0.00	5.53	90.0	4.98
10/19/2018 mfc932013	SMITH KATHERINE	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	38.42	0.00	38.42	90.0	34.58
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$862.58	\$0.00	\$862.58		\$776.35
*** CLEARING TRANSACTIONS TOTAL ***				\$231,694.04	\$6,710.08	\$150.00	\$6,560.08		\$5,904.10

DIRECT TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

10/10/2018 00083443944	MYERS, RICHARD	MF AMERICAN BALANCED FUND-A	B	10,000.00	275.00	0.00	275.00	90.0	247.50
10/10/2018 00083443944	MYERS, RICHARD	MF THE GROWTH FUND OF AMERICA-A	B	9,860.49	271.16	0.00	271.16	90.0	244.04
10/08/2018 00089064328	LOGSDON, TRACI	MF THE GROWTH FUND OF AMERICA-A	B	50.00	1.88	0.00	1.88	90.0	1.69
10/19/2018 00089064328	LOGSDON, TRACI	MF THE GROWTH FUND OF AMERICA-A	B	50.00	1.88	0.00	1.88	90.0	1.69
10/11/2018 04000143383	ZAVALA, GILBERT	MF AMERICAN BALANCED FUND-A	B	25.00	1.25	0.00	1.25	90.0	1.13
10/11/2018 04000143383	ZAVALA, GILBERT	MF THE GROWTH FUND OF AMERICA-A	B	25.00	1.25	0.00	1.25	90.0	1.13
10/24/2018 04000143383	ZAVALA, GILBERT	MF AMERICAN BALANCED FUND-A	B	25.00	1.25	0.00	1.25	90.0	1.13
10/24/2018 04000143383	ZAVALA, GILBERT	MF THE GROWTH FUND OF AMERICA-A	B	25.00	1.25	0.00	1.25	90.0	1.13
10/10/2018 04000206633	SMITH, KAREN	MF AMERICAN BALANCED FUND-A	B	2,500.00	40.00	0.00	40.00	90.0	36.00
10/10/2018 04000206633	SMITH, KAREN	MF THE GROWTH FUND OF AMERICA-A	B	2,336.23	37.38	0.00	37.38	90.0	33.64
10/10/2018 04000850515	WHITSON, MELONYE	MF THE GROWTH FUND OF AMERICA-A	B	9,884.60	197.69	0.00	197.69	90.0	177.92
10/11/2018 04000907325	SPICHER, BEVERLY	MF THE GROWTH FUND OF AMERICA-A	B	2,510.27	125.51	0.00	125.51	90.0	112.96
10/10/2018 04001068916	WHITE,	MF THE GROWTH FUND OF AMERICA-A	B	2,493.68	124.68	0.00	124.68	90.0	112.21
10/10/2018 04001213703	MCCOY, RYAN	MF AMERICAN BALANCED FUND-529A	B	550.00	15.13	0.00	15.13	90.0	13.62
10/10/2018 04001213703	MCCOY, RYAN	MF THE GROWTH FUND OF AMERICA-529A	B	550.00	15.13	0.00	15.13	90.0	13.62
10/10/2018 04001213734	MCCOY, RYAN	MF AMERICAN BALANCED FUND-529A	B	350.00	9.63	0.00	9.63	90.0	8.67
10/10/2018 04001213734	MCCOY, RYAN	MF THE GROWTH FUND OF AMERICA-529A	B	350.00	9.63	0.00	9.63	90.0	8.67
10/10/2018 04001213743	MCCOY, RYAN	MF AMERICAN BALANCED FUND-529A	B	200.00	5.50	0.00	5.50	90.0	4.95
10/10/2018 04001213743	MCCOY, RYAN	MF THE GROWTH FUND OF AMERICA-529A	B	200.00	5.50	0.00	5.50	90.0	4.95
* MUTUAL FUNDS SUBTOTAL *				\$41,985.27	\$1,140.70	\$0.00	\$1,140.70		\$1,026.65
*** DIRECT TRANSACTIONS TOTAL ***				\$41,985.27	\$1,140.70	\$0.00	\$1,140.70		\$1,026.65

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS TRANSACTIONSBROKER: #0

10/31/2018	:	BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
10/31/2018	:	CUSTOMER WRITE OFF 492715968		0.00	0.00	0.00	0.00		-40.00
10/31/2018	:	E&O		0.00	0.00	0.00	0.00		-130.00
10/31/2018	:	E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
10/31/2018	:	MONEY MARKET TRAILS		0.00	0.00	0.00	0.00		523.42
* SUBTOTAL *				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$298.42</u>
*** ADJUSTMENTS TRANSACTIONS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$298.42</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$6,930.75
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$298.42
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$7,229.17
Year-to-date Commissions	\$75,107.42