

COMMISSION STATEMENT

November 30, 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

11/02/2018 584422137	PHILLIPS, KAREN	MF AMERICAN BALANCED FUND-A	S	49,202.45	787.20	5.00	782.20	90.0	703.98
* MUTUAL FUNDS SUBTOTAL *				\$49,202.45	\$787.20	\$5.00	\$782.20		\$703.98

PRODUCT CATEGORY: STOCKS

11/27/2018 153846345	BOOTH, MARTHA	S FREEPORT-MCMORAN INC CL B	S	-5,543.68	60.00	15.00	45.00	90.0	40.50
11/27/2018 153846345	BOOTH, MARTHA	S GENERAL ELECTRIC COMPANY	S	-4,398.49	60.00	15.00	45.00	90.0	40.50
11/27/2018 153846345	BOOTH, MARTHA	S KINDER MORGAN INC	S	-8,287.49	60.00	15.00	45.00	90.0	40.50
11/27/2018 153846345	BOOTH, MARTHA	S SIERRA WIRELESS INC ISIN	S	-1,380.24	60.00	15.00	45.00	90.0	40.50
11/27/2018 153846345	BOOTH, MARTHA	S SOUTHERN COMPANY	S	-13,786.48	60.00	15.00	45.00	90.0	40.50
11/06/2018 216031482	DE BULLET, EUGENE	S APPLE INC	B	15,380.70	145.00	15.00	130.00	90.0	117.00
11/07/2018 216031482	DE BULLET, EUGENE	S PFIZER INCORPORATED	S	-10,908.24	195.00	15.00	180.00	90.0	162.00
10/31/2018 277285841	FOSTER, MARSHA	S NOVARTIS AG-ADR	S	-3,833.50	25.00	15.00	10.00	90.0	9.00
11/12/2018 368293321	NORRIS, CURTIS	S APPLE INC	B	19,926.32	220.00	15.00	205.00	90.0	184.50
11/19/2018 368434510	BROWN, ROBERT	S BP PLC-SPONS ADR	B	12,410.03	195.00	15.00	180.00	90.0	162.00
11/12/2018 368459537	SMITH, GENE	S APPLE INC	B	18,104.34	195.00	15.00	180.00	90.0	162.00
11/12/2018 368463638	FULLER, KAREN	S APPLE INC	B	19,915.35	220.00	15.00	205.00	90.0	184.50
11/27/2018 368493081	SHAW JR, WILLIAM	S WEYERHAEUSER COMPANY	B	18,781.38	250.00	15.00	235.00	90.0	211.50
10/31/2018 399453070	BANK TTEE, ED	S THE COCA-COLA COMPANY	S	-47,646.93	370.00	15.00	355.00	90.0	319.50
11/27/2018 399453070	BANK TTEE, ED	S WEYERHAEUSER COMPANY	B	26,852.35	370.00	15.00	355.00	90.0	319.50
11/28/2018 399469831	JOE PAUL JONE IRR	S COMCAST CORPORATION CL A NEW	S	-38,647.04	350.00	15.00	335.00	90.0	301.50
10/30/2018 584422137	PHILLIPS, KAREN	S ALTRIA GROUP INCORPORATED	S	-12,941.88	206.00	15.00	191.00	90.0	171.90
10/30/2018 584422137	PHILLIPS, KAREN	S FREEPORT-MCMORAN INC CL B	S	-5,594.88	95.00	15.00	80.00	90.0	72.00
10/30/2018 584422137	PHILLIPS, KAREN	S GENERAL ELECTRIC COMPANY	S	-4,952.48	95.00	15.00	80.00	90.0	72.00
10/30/2018 584422137	PHILLIPS, KAREN	S NUTRIEN LTD COM ISIN	S	-4,032.10	95.00	15.00	80.00	90.0	72.00
10/30/2018 584422137	PHILLIPS, KAREN	S PHILIP MORRIS INTERNATIONAL	S	-17,865.34	206.00	15.00	191.00	90.0	171.90
10/30/2018 584422137	PHILLIPS, KAREN	S QUORUM HEALTH CORP	S	-3,984.90	95.00	15.00	80.00	90.0	72.00
11/27/2018 585248118	PEOPLES, MAUREEN	S WEYERHAEUSER COMPANY	B	16,184.85	295.00	15.00	280.00	90.0	252.00
11/27/2018 646550313	KAREN SMITH FAMILY	S WEYERHAEUSER COMPANY	B	18,794.38	270.00	15.00	255.00	90.0	229.50
* STOCKS SUBTOTAL *				\$-17,453.97	\$4,192.00	\$360.00	\$3,832.00		\$3,448.80

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
11/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	1.63	0.00	1.63	90.0	1.47
11/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	4.19	0.00	4.19	90.0	3.77
11/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	4.81	0.00	4.81	90.0	4.33
11/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	5.08	0.00	5.08	90.0	4.57
11/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	6.01	0.00	6.01	90.0	5.41
11/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	7.18	0.00	7.18	90.0	6.46
11/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	10.76	0.00	10.76	90.0	9.68
11/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	10.79	0.00	10.79	90.0	9.71
11/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	15.38	0.00	15.38	90.0	13.84
11/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	15.60	0.00	15.60	90.0	14.04
11/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN BALANCED FUND-A	B	0.00	34.80	0.00	34.80	90.0	31.32
11/21/2018	mfc932013	SMITH KATHERINE	MFT AMERICAN FDS TAX-ADV GROW & INC	B	0.00	3.94	0.00	3.94	90.0	3.55
11/21/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER-A	B	0.00	36.10	0.00	36.10	90.0	32.49
11/21/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL INCOME BUILDER CLASS C	B	0.00	0.13	0.00	0.13	90.0	0.12
11/21/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.03	0.00	2.03	90.0	1.83
11/21/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	5.02	0.00	5.02	90.0	4.52
11/21/2018	mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	14.54	0.00	14.54	90.0	13.09
11/21/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA DISCIPLINED CORE	B	0.00	1.55	0.00	1.55	90.0	1.40
11/21/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA LARGE CAP GROWTH FUND	B	0.00	1.15	0.00	1.15	90.0	1.04
11/21/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA SELECT INTL EQUITY	B	0.00	0.75	0.00	0.75	90.0	0.68
11/21/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TAX-EXEMPT FUND-A	B	0.00	0.56	0.00	0.56	90.0	0.50
11/21/2018	mfc932013	SMITH KATHERINE	MFT COLUMBIA TOTAL RETURN BOND FD A	B	0.00	0.55	0.00	0.55	90.0	0.50
11/21/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	0.56	0.00	0.56	90.0	0.50
11/21/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	4.02	0.00	4.02	90.0	3.62
11/21/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	0.63	0.00	0.63	90.0	0.57
11/21/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	2.71	0.00	2.71	90.0	2.44
11/21/2018	mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	15.28	0.00	15.28	90.0	13.75
11/21/2018	mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.84	0.00	0.84	90.0	0.76
11/21/2018	mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	17.20	0.00	17.20	90.0	15.48
11/21/2018	mfc932013	SMITH KATHERINE	MFT GROWTH FUND OF AMERICA CLASS F	B	0.00	5.81	0.00	5.81	90.0	5.23
11/21/2018	mfc932013	SMITH KATHERINE	MFT INTERMEDIATE BOND FUND OF	B	0.00	10.31	0.00	10.31	90.0	9.28
11/21/2018	mfc932013	SMITH KATHERINE	MFT MASSACHUSETTS INVESTORS TRUST-A	B	0.00	5.51	0.00	5.51	90.0	4.96
11/21/2018	mfc932013	SMITH KATHERINE	MFT MORGAN STANLEY INS MIDCAP	B	0.00	12.18	0.00	12.18	90.0	10.96
11/21/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	4.92	0.00	4.92	90.0	4.43
11/21/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	5.82	0.00	5.82	90.0	5.24
11/21/2018	mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	10.20	0.00	10.20	90.0	9.18
11/21/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER STEELPATH MLP	B	0.00	164.90	0.00	164.90	90.0	148.41
11/21/2018	mfc932013	SMITH KATHERINE	MFT OPPENHEIMER SENIOR FLOATING	B	0.00	231.54	0.00	231.54	90.0	208.39
11/21/2018	mfc932013	SMITH KATHERINE	MFT PUTNAM TAX-FREE HIGH YIELD FUND	B	0.00	5.18	0.00	5.18	90.0	4.66
11/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.33	0.00	0.33	90.0	0.30
11/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.25	0.00	1.25	90.0	1.13
11/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	1.60	0.00	1.60	90.0	1.44
11/21/2018	mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.74	0.00	2.74	90.0	2.47

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11/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	3.41	0.00	3.41	90.0	3.07
11/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	4.19	0.00	4.19	90.0	3.77
11/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	5.06	0.00	5.06	90.0	4.55
11/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	7.04	0.00	7.04	90.0	6.34
11/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	13.95	0.00	13.95	90.0	12.56
11/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	14.40	0.00	14.40	90.0	12.96
11/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	15.54	0.00	15.54	90.0	13.99
11/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	24.15	0.00	24.15	90.0	21.74
11/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	32.13	0.00	32.13	90.0	28.92
11/21/2018 mfc932013	SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	18.64	0.00	18.64	90.0	16.78
11/21/2018 mfc932013	SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	18.88	0.00	18.88	90.0	16.99
11/21/2018 mfc932013	SMITH KATHERINE	MFT THE INVESTMENT COMPANY OF	B	0.00	5.54	0.00	5.54	90.0	4.99
11/21/2018 mfc932013	SMITH KATHERINE	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	38.46	0.00	38.46	90.0	34.61
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$887.47	\$0.00	\$887.47		\$798.79
*** CLEARING TRANSACTIONS TOTAL ***				\$31,748.48	\$5,866.67	\$365.00	\$5,501.67		\$4,951.57

DIRECT TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

11/13/2018 00089064328	LOGSDON, TRACI	MF THE GROWTH FUND OF AMERICA-A	B	50.00	2.13	0.00	2.13	90.0	1.92
11/19/2018 00089064328	LOGSDON, TRACI	MF THE GROWTH FUND OF AMERICA-A	B	50.00	2.13	0.00	2.13	90.0	1.92
11/19/2018 04000143383	ZAVALA, GILBERT	MF AMERICAN BALANCED FUND-A	B	25.00	1.25	0.00	1.25	90.0	1.13
11/19/2018 04000143383	ZAVALA, GILBERT	MF THE GROWTH FUND OF AMERICA-A	B	25.00	1.25	0.00	1.25	90.0	1.13
11/12/2018 04000850515	WHITSON, MELONYE	MF AMERICAN BALANCED FUND-A	B	5,000.00	100.00	0.00	100.00	90.0	90.00
11/12/2018 04000850515	WHITSON, MELONYE	MF THE GROWTH FUND OF AMERICA-A	B	4,949.54	98.99	0.00	98.99	90.0	89.09
11/12/2018 04000888377	WHITSON, BLAKE	MF AMERICAN BALANCED FUND-A	B	5,000.00	187.50	0.00	187.50	90.0	168.75
11/12/2018 04000888377	WHITSON, BLAKE	MF THE GROWTH FUND OF AMERICA-A	B	4,921.58	184.56	0.00	184.56	90.0	166.10
11/15/2018 04001213703	MCCOY, RYAN	MF AMERICAN BALANCED FUND-529A	B	175.00	4.81	0.00	4.81	90.0	4.33
11/15/2018 04001213703	MCCOY, RYAN	MF THE GROWTH FUND OF AMERICA-529A	B	175.00	4.81	0.00	4.81	90.0	4.33
11/15/2018 04001213734	MCCOY, RYAN	MF AMERICAN BALANCED FUND-529A	B	125.00	3.44	0.00	3.44	90.0	3.10
11/15/2018 04001213734	MCCOY, RYAN	MF THE GROWTH FUND OF AMERICA-529A	B	125.00	3.44	0.00	3.44	90.0	3.10
11/15/2018 04001213743	MCCOY, RYAN	MF AMERICAN BALANCED FUND-529A	B	75.00	2.06	0.00	2.06	90.0	1.85
11/15/2018 04001213743	MCCOY, RYAN	MF THE GROWTH FUND OF AMERICA-529A	B	75.00	2.06	0.00	2.06	90.0	1.85
* MUTUAL FUNDS SUBTOTAL *				\$20,771.12	\$598.43	\$0.00	\$598.43		\$538.60

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/31/2018 (None)	SMITH, CLAY	MFT VOYA	B	0.00	3.08	0.00	3.08	90.0	2.77
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$3.08	\$0.00	\$3.08		\$2.77
*** DIRECT TRANSACTIONS TOTAL ***				\$20,771.12	\$601.51	\$0.00	\$601.51		\$541.37

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS TRANSACTIONS</u>									
<u>BROKER: #0</u>									
11/30/2018		: 2019 FINRA RENEWALS		0.00	0.00	0.00	0.00		-692.00
11/30/2018		: BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
11/30/2018		: CUSTOMER WRITE OFF 583733140		0.00	0.00	0.00	0.00		-25.00
11/30/2018		: E&O		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		530.12
* SUBTOTAL *				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-371.88</u>
*** ADJUSTMENTS TRANSACTIONS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-371.88</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$5,492.94
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-371.88
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$5,121.06
Year-to-date Commissions	\$80,257.16