

COMMISSION STATEMENT

August 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

08/10/2018 368293321	NORRIS, CURTIS	MF	AMERICAN BALANCED FUND-A	S	12,502.45	468.75	2.50	466.25	90.0	419.63
08/10/2018 368293321	NORRIS, CURTIS	MF	THE GROWTH FUND OF AMERICA-A	S	12,502.45	468.75	2.50	466.25	90.0	419.63
08/10/2018 368347337	WHITSON, JONATHAN	MF	AMERICAN BALANCED FUND-A	S	25,002.45	687.50	5.00	682.50	90.0	614.25
08/10/2018 368347337	WHITSON, JONATHAN	MF	THE GROWTH FUND OF AMERICA-A	S	25,002.45	687.50	5.00	682.50	90.0	614.25
08/10/2018 368459537	SMITH, GENE	MF	AMERICAN BALANCED FUND-A	S	25,002.45	400.00	2.50	397.50	90.0	357.75
08/10/2018 368459537	SMITH, GENE	MF	THE GROWTH FUND OF AMERICA-A	S	25,002.45	400.00	2.50	397.50	90.0	357.75
				* MUTUAL FUNDS SUBTOTAL *	\$125,014.70	\$3,112.50	\$20.00	\$3,092.50		\$2,783.26

PRODUCT CATEGORY: STOCKS

08/01/2018 216031482	DE BULLET, EUGENE	S	APPLE INC	S	-39,607.03	390.00	15.00	375.00	90.0	337.50
08/29/2018 368293321	NORRIS, CURTIS	S	PFIZER INCORPORATED	S	-20,537.28	245.00	15.00	230.00	90.0	207.00
08/02/2018 368356408	DEADY, MYRNA	S	GENERAL DYNAMICS CORPORATION	S	-9,653.92	95.00	15.00	80.00	90.0	72.00
08/22/2018 368434510	BROWN, ROBERT	S	ASTRAZENECA P L C-SPONS ADR	S	-19,003.95	325.00	15.00	310.00	90.0	279.00
08/29/2018 368459537	SMITH, GENE	S	PFIZER INCORPORATED	S	-20,537.28	245.00	15.00	230.00	90.0	207.00
08/03/2018 462138880	LAFON, DONNA	S	INTL BUSINESS MACHINES INC	B	783.75	60.00	15.00	45.00	90.0	40.50
07/30/2018 492360776	MOODY, DEBORAH	S	EXXON-MOBIL CORPORATION	S	-4,013.05	65.00	15.00	50.00	90.0	45.00
08/06/2018 676611756	SHAW JR (TOD),	S	PFIZER INCORPORATED	S	-4,025.00	65.00	15.00	50.00	90.0	45.00
				* STOCKS SUBTOTAL *	\$-116,593.76	\$1,490.00	\$120.00	\$1,370.00		\$1,233.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

08/21/2018 mfc932013	SMITH KATHERINE	MFT	AMERICAN BALANCED FUND-A	B	0.00	2.58	0.00	2.58	90.0	2.32
08/21/2018 mfc932013	SMITH KATHERINE	MFT	AMERICAN BALANCED FUND-A	B	0.00	2.61	0.00	2.61	90.0	2.35
08/21/2018 mfc932013	SMITH KATHERINE	MFT	AMERICAN BALANCED FUND-A	B	0.00	4.85	0.00	4.85	90.0	4.37
08/21/2018 mfc932013	SMITH KATHERINE	MFT	AMERICAN BALANCED FUND-A	B	0.00	5.25	0.00	5.25	90.0	4.73
08/21/2018 mfc932013	SMITH KATHERINE	MFT	AMERICAN BALANCED FUND-A	B	0.00	6.07	0.00	6.07	90.0	5.46
08/21/2018 mfc932013	SMITH KATHERINE	MFT	AMERICAN BALANCED FUND-A	B	0.00	10.87	0.00	10.87	90.0	9.78
08/21/2018 mfc932013	SMITH KATHERINE	MFT	AMERICAN BALANCED FUND-A	B	0.00	10.90	0.00	10.90	90.0	9.81
08/21/2018 mfc932013	SMITH KATHERINE	MFT	AMERICAN BALANCED FUND-A	B	0.00	15.54	0.00	15.54	90.0	13.99
08/21/2018 mfc932013	SMITH KATHERINE	MFT	AMERICAN BALANCED FUND-A	B	0.00	35.15	0.00	35.15	90.0	31.64
08/21/2018 mfc932013	SMITH KATHERINE	MFT	AMERICAN FDS TAX-ADV GROW & INC	B	0.00	3.99	0.00	3.99	90.0	3.59
08/21/2018 mfc932013	SMITH KATHERINE	MFT	CAPITAL INCOME BUILDER-A	B	0.00	36.90	0.00	36.90	90.0	33.21
08/21/2018 mfc932013	SMITH KATHERINE	MFT	CAPITAL INCOME BUILDER CLASS C	B	0.00	0.14	0.00	0.14	90.0	0.13

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08/21/2018 mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.14	0.00	2.14	90.0	1.93
08/21/2018 mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	5.30	0.00	5.30	90.0	4.77
08/21/2018 mfc932013	SMITH KATHERINE	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	15.35	0.00	15.35	90.0	13.82
08/21/2018 mfc932013	SMITH KATHERINE	MFT COLUMBIA DISCIPLINED CORE	B	0.00	1.55	0.00	1.55	90.0	1.40
08/21/2018 mfc932013	SMITH KATHERINE	MFT COLUMBIA LARGE CAP GROWTH FUND	B	0.00	1.18	0.00	1.18	90.0	1.06
08/21/2018 mfc932013	SMITH KATHERINE	MFT COLUMBIA SELECT INTL EQUITY	B	0.00	0.81	0.00	0.81	90.0	0.73
08/21/2018 mfc932013	SMITH KATHERINE	MFT COLUMBIA TAX-EXEMPT FUND-A	B	0.00	0.57	0.00	0.57	90.0	0.51
08/21/2018 mfc932013	SMITH KATHERINE	MFT COLUMBIA TOTAL RETURN BOND FD A	B	0.00	0.56	0.00	0.56	90.0	0.50
08/21/2018 mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	0.57	0.00	0.57	90.0	0.51
08/21/2018 mfc932013	SMITH KATHERINE	MFT DELAWARE AMERICAN GOVT BOND	B	0.00	1.64	0.00	1.64	90.0	1.48
08/21/2018 mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	0.64	0.00	0.64	90.0	0.58
08/21/2018 mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	2.73	0.00	2.73	90.0	2.46
08/21/2018 mfc932013	SMITH KATHERINE	MFT DELAWARE HIGH YIELD	B	0.00	15.37	0.00	15.37	90.0	13.83
08/21/2018 mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	0.86	0.00	0.86	90.0	0.77
08/21/2018 mfc932013	SMITH KATHERINE	MFT FUNDAMENTAL INVESTORS-A	B	0.00	17.61	0.00	17.61	90.0	15.85
08/21/2018 mfc932013	SMITH KATHERINE	MFT GROWTH FUND OF AMERICA CLASS F	B	0.00	6.03	0.00	6.03	90.0	5.43
08/21/2018 mfc932013	SMITH KATHERINE	MFT INTERMEDIATE BOND FUND OF	B	0.00	10.31	0.00	10.31	90.0	9.28
08/21/2018 mfc932013	SMITH KATHERINE	MFT MASSACHUSETTS INVESTORS TRUST-A	B	0.00	5.58	0.00	5.58	90.0	5.02
08/21/2018 mfc932013	SMITH KATHERINE	MFT MORGAN STANLEY INS MIDCAP	B	0.00	12.49	0.00	12.49	90.0	11.24
08/21/2018 mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	5.17	0.00	5.17	90.0	4.65
08/21/2018 mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	6.11	0.00	6.11	90.0	5.50
08/21/2018 mfc932013	SMITH KATHERINE	MFT NEW PERSPECTIVE FUND-A	B	0.00	10.71	0.00	10.71	90.0	9.64
08/21/2018 mfc932013	SMITH KATHERINE	MFT OPPENHEIMER STEELPATH MLP	B	0.00	164.51	0.00	164.51	90.0	148.06
08/21/2018 mfc932013	SMITH KATHERINE	MFT OPPENHEIMER SENIOR FLOATING	B	0.00	231.23	0.00	231.23	90.0	208.11
08/21/2018 mfc932013	SMITH KATHERINE	MFT PUTNAM TAX-FREE HIGH YIELD FUND	B	0.00	5.29	0.00	5.29	90.0	4.76
08/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.34	0.00	0.34	90.0	0.31
08/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.34	0.00	0.34	90.0	0.31
08/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.69	0.00	2.69	90.0	2.42
08/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.72	0.00	2.72	90.0	2.45
08/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.84	0.00	2.84	90.0	2.56
08/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	3.54	0.00	3.54	90.0	3.19
08/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	5.47	0.00	5.47	90.0	4.92
08/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	14.48	0.00	14.48	90.0	13.03
08/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	14.95	0.00	14.95	90.0	13.46
08/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	25.07	0.00	25.07	90.0	22.56
08/21/2018 mfc932013	SMITH KATHERINE	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	33.35	0.00	33.35	90.0	30.02
08/21/2018 mfc932013	SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	18.84	0.00	18.84	90.0	16.96
08/21/2018 mfc932013	SMITH KATHERINE	MFT THE INCOME FUND OF AMERICA-A	B	0.00	19.09	0.00	19.09	90.0	17.18
08/21/2018 mfc932013	SMITH KATHERINE	MFT THE INVESTMENT COMPANY OF	B	0.00	5.63	0.00	5.63	90.0	5.07
08/21/2018 mfc932013	SMITH KATHERINE	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	38.48	0.00	38.48	90.0	34.63
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$846.99	\$0.00	\$846.99		\$762.34
*** CLEARING TRANSACTIONS TOTAL ***				\$8,420.94	\$5,449.49	\$140.00	\$5,309.49		\$4,778.60

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
DIRECT TRANSACTIONS											
PRODUCT CATEGORY: MUTUAL FUNDS											
08/13/2018	00088810748	FELTON, MARK	MF	THE GROWTH FUND OF AMERICA-A	B	4,049.89	151.87	0.00	151.87	90.0	136.68
08/13/2018	00088810774	FELTON, WANDA	MF	THE NEW ECONOMY FUND-A	B	8,060.77	302.28	0.00	302.28	90.0	272.05
08/21/2018	00089064328	LOGSDON, TRACI	MF	THE GROWTH FUND OF AMERICA-A	B	50.00	1.88	0.00	1.88	90.0	1.69
08/15/2018	04000869435	FBO SHELBY R	MF	NEW PERSPECTIVE FUND-A	B	3,273.11	122.74	0.00	122.74	90.0	110.47
08/15/2018	04000869435	FBO SHELBY R	MF	THE GROWTH FUND OF AMERICA-A	B	3,254.81	122.06	0.00	122.06	90.0	109.85
08/15/2018	04000884234	KRAUSE, SHEILA	MF	THE GROWTH FUND OF AMERICA-A	B	4,971.02	186.41	0.00	186.41	90.0	167.77
08/15/2018	04000887248	KRAUSE, JEFFREY	MF	AMERICAN BALANCED FUND-A	B	3,000.00	112.50	0.00	112.50	90.0	101.25
08/15/2018	04000887248	KRAUSE, JEFFREY	MF	THE GROWTH FUND OF AMERICA-A	B	2,961.14	111.04	0.00	111.04	90.0	99.94
* MUTUAL FUNDS SUBTOTAL *						\$29,620.74	\$1,110.78	\$0.00	\$1,110.78		\$999.70

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

07/31/2018	(None)	SMITH, CLAY	MFT	VOYA	B	0.00	3.19	0.00	3.19	90.0	2.87
				* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$3.19	\$0.00	\$3.19		\$2.87
				*** DIRECT TRANSACTIONS TOTAL ***		\$29,620.74	\$1,113.97	\$0.00	\$1,113.97		\$1,002.57

ADJUSTMENTS TRANSACTIONS**BROKER: #0**

08/31/2018	:	BROKER WORKSTATION	0.00	0.00	0.00	0.00	-30.00
08/31/2018	:	E&O	0.00	0.00	0.00	0.00	-130.00
08/31/2018	:	E-MAIL ACCOUNT	0.00	0.00	0.00	0.00	-25.00
08/31/2018	:	MONEY MARKET TRAILS	0.00	0.00	0.00	0.00	528.23
* SUBTOTAL *			<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$343.23</u>
*** ADJUSTMENTS TRANSACTIONS TOTAL ***			<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$343.23</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$5,781.17
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$343.23
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$6,124.40
Year-to-date Commissions	\$60,457.42