

# COMMISSION STATEMENT

July 15, 2018

RON ROCCAFORTE-D055

BROKER #: D055 Terminated 12/31/2017

BRANCH: DMK

, TX

## COMMISSION STATEMENT for RON ROCCAFORTE-D055

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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### DIRECT TRANSACTIONS

#### PRODUCT CATEGORY: MUTUAL FUNDS

07/10/2018	08188197849	FORREST, DUANE	MF	MFS CORE EQUITY FUND-A	B	50.00	2.50	0.00	2.50	0.0	0.00
				* MUTUAL FUNDS SUBTOTAL *		\$50.00	\$2.50	\$0.00	\$2.50		\$0.00

#### PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

07/02/2018	00132774038	HERNANDEZ, THOMAS	MFT	PUTNAM NEW OPPORTUNITIES FUND	B	0.00	9.26	0.00	9.26	0.0	0.00
07/02/2018	00214197339	DAVID D DRUIVENGA	MFT	PUTNAM HEALTH SCIENCES TRUST	B	0.00	17.99	0.00	17.99	0.0	0.00
07/09/2018	00655443885	ABALOS, PEDRO	MFT	FIDELITY ADV EQUITY GROWTH CL T	B	0.00	1.86	0.00	1.86	0.0	0.00
07/09/2018	00655443893	ABALOS, NATHAN	MFT	FIDELITY ADV EQUITY GROWTH CL T	B	0.00	1.86	0.00	1.86	0.0	0.00
07/01/2018	00660438351	BRASHIER, EDWARD	MFT	INVESCO EQUITY AND INCOME FUND	B	0.00	7.23	0.00	7.23	0.0	0.00
07/01/2018	00671119753	LAMNEK, CARL	MFT	AIM HIGH YIELD FUND - CLASS A	B	0.00	10.12	0.00	10.12	0.0	0.00
07/01/2018	00671120253	THOMPSON, WILLIAM	MFT	INVESCO AMERICAN FRANCHISE FUND	B	0.00	28.57	0.00	28.57	0.0	0.00
07/01/2018	00671122306	LAMNEK, CAROL	MFT	AIM HIGH YIELD FUND - CLASS A	B	0.00	1.26	0.00	1.26	0.0	0.00
07/09/2018	00689739571	MEZA, ALBERT	MFT	FIDELITY ADV EQUITY GROWTH CL A	B	0.00	1.03	0.00	1.03	0.0	0.00
07/09/2018	00689857290	SMITH UTMA-TX,	MFT	FIDELITY ADV TECHNOLOGY CL A	B	0.00	0.90	0.00	0.90	0.0	0.00
07/09/2018	00704852615	JONATHAN Z	MFT	FA 529 PORT 2022 CL A	B	0.00	7.09	0.00	7.09	0.0	0.00
07/09/2018	00704852615	JONATHAN Z	MFT	FA 529 PORT 2022 CL C	B	0.00	1.50	0.00	1.50	0.0	0.00
07/09/2018	00704852623	CONNOR Z	MFT	FA 529 PORT 2022 CL A	B	0.00	7.07	0.00	7.07	0.0	0.00
07/09/2018	00704852623	CONNOR Z	MFT	FA 529 PORT 2022 CL C	B	0.00	1.50	0.00	1.50	0.0	0.00
07/01/2018	00818767243	MORGAN, RONALD	MFT	MFS CORE EQUITY FUND-A	B	0.00	6.09	0.00	6.09	0.0	0.00
07/01/2018	01001347308	THOMPSON, WILLIAM	MFT	INVESCO AMERICAN FRANCHISE FUND	B	0.00	32.72	0.00	32.72	0.0	0.00
07/01/2018	03809702867	COKER, JAMIE	MFT	AIM TECHNOLOGY FUND - CLASS A	B	0.00	6.54	0.00	6.54	0.0	0.00
07/01/2018	03809702867	COKER, JAMIE	MFT	INVESCO AMERICAN FRANCHISE FUND	B	0.00	1.66	0.00	1.66	0.0	0.00
07/01/2018	05022666076	BRASHIER, EDWARD	MFT	AIM CHARTER FUND - CLASS A	B	0.00	2.36	0.00	2.36	0.0	0.00
07/01/2018	05312119002	DAVIS, SONDR	MFT	MASS INVESTORS GROWTH STOCK	B	0.00	0.52	0.00	0.52	0.0	0.00
07/01/2018	05312119191	DAVIS, ARLO	MFT	MASS INVESTORS GROWTH STOCK	B	0.00	7.72	0.00	7.72	0.0	0.00
07/01/2018	06000815982	DAVIS, ARLO	MFT	MFS EMERGING GROWTH FUND CLASS	B	0.00	10.84	0.00	10.84	0.0	0.00
07/01/2018	06000815991	DAVIS, SONDR	MFT	MFS EMERGING GROWTH FUND CLASS	B	0.00	0.54	0.00	0.54	0.0	0.00
07/01/2018	06515359357	MORGAN, DEBRA	MFT	MFS TOTAL RETURN FUND-A	B	0.00	0.20	0.00	0.20	0.0	0.00
07/01/2018	08188197849	FORREST, DUANE	MFT	MFS CORE EQUITY FUND-A	B	0.00	15.82	0.00	15.82	0.0	0.00
07/01/2018	08191223351	JOHN F & LINDA J	MFT	MASS INVESTORS GROWTH STOCK	B	0.00	4.43	0.00	4.43	0.0	0.00
07/01/2018	08191223351	JOHN F & LINDA J	MFT	MASSACHUSETTS INVESTORS TRUST-A	B	0.00	2.63	0.00	2.63	0.0	0.00

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07/01/2018 08191223351	JOHN F & LINDA J	MFT MFS RESEARCH FUND-A	B	0.00	1.30	0.00	1.30	0.0	0.00
07/01/2018 08191223351	JOHN F & LINDA J	MFT MFS TECHNOLOGY FUND-A	B	0.00	7.17	0.00	7.17	0.0	0.00
07/01/2018 08191223351	JOHN F & LINDA J	MFT MFS VALUE FUND-A	B	0.00	0.25	0.00	0.25	0.0	0.00
07/01/2018 08191223476	JOHN F & LINDA J	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	7.00	0.00	7.00	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$205.03	\$0.00	\$205.03		\$0.00
*** DIRECT TRANSACTIONS TOTAL ***				\$50.00	\$207.53	\$0.00	\$207.53		\$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	\$1,419.92