

STATEMENT

January 20, 2018

RON BARTSCH
S12 W29085 Summitt Ave
SUITE 620
Waukesha, WI 53188

BROKER #: 037
BRANCH: LM BRANCH

COMMISSION STATEMENT for RON BARTSCH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
11/13/2017	#01001358412	VARIOUS BARTSCH INVESCO GLOBAL HEALTH CARE FD-CL A	542.00	27.10	95.0	0.00	25.75	0.00	25.75
11/13/2017	#01001358412	VARIOUS BARTSCH INVESCO REAL ESTATE FUND CL A	541.00	27.05	95.0	0.00	25.70	0.00	25.70
11/13/2017	#01001358412	VARIOUS BARTSCH INVESCO VAN KAMPEN AMERICAN FRANCHI	542.00	27.10	95.0	0.00	25.75	0.00	25.75
12/04/2017	#02500080766	HERVE, BRAND INVESTCO ASIA PACIFIC GROWTH	60.00	0.60	95.0	0.00	0.57	0.00	0.57
12/06/2017	#01001229230	HERVEY UTMA/WI, INVESCO TECHNOLOGY FUND CL C	60.00	0.60	95.0	0.00	0.57	0.00	0.57
12/08/2017	#01001229265	HERVEY UTMA/WI, INVESCO ENERGY FUND CLASS C	60.00	0.60	95.0	0.00	0.57	0.00	0.57
12/22/2017	#01001358412	VARIOUS BARTSCH INVESCO GLOBAL HEALTH CARE FD-CL A	542.00	27.10	95.0	0.00	25.75	0.00	25.75
12/22/2017	#01001358412	VARIOUS BARTSCH INVESCO REAL ESTATE FUND CL A	542.00	27.10	95.0	0.00	25.75	0.00	25.75
12/22/2017	#01001358412	VARIOUS BARTSCH INVESCO VAN KAMPEN AMERICAN FRANCHI	541.00	27.05	95.0	0.00	25.70	0.00	25.70
* MUTUAL FUNDS SUBTOTAL *			\$3,430.00	\$164.30		\$0.00	\$156.11	\$0.00	\$156.11
<u>PRODUCT CATEGORY: STOCKS</u>									
11/30/2017	# PRICE, THOMAS	NVIDIA CORP	60,000.00	315.00	95.0	0.00	299.25	18.00	281.25
12/14/2017	# PRICE, THOMAS	MGIC INVESTMENT CORP-WISC	587,600.00	8,300.00	95.0	0.00	7,885.00	18.00	7,867.00
12/15/2017	# YOKES, DIANE	***BAIDU INC	46,000.00	400.00	95.0	0.00	380.00	18.00	362.00
* STOCKS SUBTOTAL *			\$693,600.00	\$9,015.00		\$0.00	\$8,564.25	\$54.00	\$8,510.25
<u>PRODUCT CATEGORY: OPTIONS</u>									
11/30/2017	# PRICE, THOMAS	CALL ICE 03/16/18 75	2,100.00	105.00	95.0	0.00	99.75	33.00	66.75
12/01/2017	# PRICE, THOMAS	CALL LVS 01/19/18 70	6,200.00	310.00	95.0	0.00	294.50	68.00	226.50
12/01/2017	# DAVIS, KAREN	CALL LVS 01/19/18 70	660.00	50.00	95.0	0.00	47.50	23.00	24.50
12/20/2017	# PRICE, THOMAS	CALL MTG 01/19/18 15	26,000.00	1,300.00	95.0	0.00	1,235.00	518.00	717.00
* OPTIONS SUBTOTAL *			\$34,960.00	\$1,765.00		\$0.00	\$1,676.75	\$642.00	\$1,034.75
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017	#00074366739	GUEX, GREGORY AMERICAN BALANCED FUND INC CLASS A	0.00	6.85	95.0	0.00	6.51	0.00	6.51
12/01/2017	#00074366799	GUEX, ANNETTE AMERICAN BALANCED FUND INC CLASS A	0.00	5.31	95.0	0.00	5.04	0.00	5.04
12/01/2017	#00074366739	GUEX, GREGORY CAPITAL WORLD GROWTH & INCOME FUND	0.00	3.30	95.0	0.00	3.14	0.00	3.14
12/01/2017	#00074366799	GUEX, ANNETTE CAPITAL WORLD GROWTH & INCOME FUND	0.00	1.52	95.0	0.00	1.44	0.00	1.44

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017	#00073724677 BARTSCH, GINGER	EURO PAC GROWTH FUND CL F1	0.00	5.08	95.0	0.00	4.83	0.00	4.83
12/01/2017	#00073724677 BARTSCH, GINGER	EURO PACIFIC GROWTH FUND CLASS A	0.00	1.42	95.0	0.00	1.35	0.00	1.35
12/01/2017	#00074366739 GUEX, GREGORY	INVESTMENT CO AMER CLASS A	0.00	1.62	95.0	0.00	1.54	0.00	1.54
12/01/2017	#00074366799 GUEX, ANNETTE	INVESTMENT CO AMER CLASS A	0.00	1.64	95.0	0.00	1.56	0.00	1.56
12/01/2017	#00073724677 BARTSCH, GINGER	NEW WORLD FUND INC NEW	0.00	0.35	95.0	0.00	0.33	0.00	0.33
12/11/2017	# DAVIS, KAREN	DAIN TRAILER	0.00	3.59	95.0	0.00	3.41	0.00	3.41
12/11/2017	# STIEHL, EDITH	DAIN TRAILER	0.00	9.55	95.0	0.00	9.07	0.00	9.07
12/11/2017	# GUEX, GREGORY	DAIN TRAILER	0.00	5.21	95.0	0.00	4.95	0.00	4.95
12/11/2017	# GUEX, GREGORY	DAIN TRAILER	0.00	11.45	95.0	0.00	10.88	0.00	10.88
12/11/2017	# WIED, DEBRA	DAIN TRAILER	0.00	6.55	95.0	0.00	6.22	0.00	6.22
12/11/2017	# WIED, DENNIS	DAIN TRAILER	0.00	1.90	95.0	0.00	1.81	0.00	1.81
12/11/2017	# WIED, DENNIS	DAIN TRAILER	0.00	4.97	95.0	0.00	4.72	0.00	4.72
12/11/2017	# WIED, MICHAEL	DAIN TRAILER	0.00	1.90	95.0	0.00	1.81	0.00	1.81
12/11/2017	# WIED, MICHAEL	DAIN TRAILER	0.00	4.97	95.0	0.00	4.72	0.00	4.72
12/11/2017	# WALTER, EARL	DAIN TRAILER	0.00	12.20	95.0	0.00	11.59	0.00	11.59
12/27/2017	# WALTER, EARL	DAIN TRAILER	10,000.00	0.00	95.0	0.00	0.00	0.00	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$10,000.00	\$89.38		\$0.00	\$84.92	\$0.00	\$84.92
*** BROKER TRANSACTIONS TOTAL ***			\$741,990.00	\$11,033.68		\$0.00	\$10,482.03	\$696.00	\$9,786.03

ADJUSTMENTS

01/20/2018	ADMIN FEE: ADMIN FEE	-320.00
01/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
01/20/2018	ADVANCE: ADVANCE	-5,000.00
*** ADJUSTMENTS TOTAL ***		\$-5,499.00

BROKER COMMISSION TOTALS

Broker Transactions	\$9,786.03
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-5,499.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$4,287.03
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