

All Companies
STATEMENT
August 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>									
07/02/2018	#02500080766 HERVE, BRAND	INVESTCO ASIA PACIFIC GROWTH	60.00	0.60	95.0	0.00	0.57	0.00	0.57
07/09/2018	#01001229265 HERVEY UTMA/WI,	INVESCO ENERGY FUND CLASS C	60.00	0.60	95.0	0.00	0.57	0.00	0.57
* MUTUAL FUNDS SUBTOTAL *			\$120.00	\$1.20		\$0.00	\$1.14	\$0.00	\$1.14
<u>PRODUCT CATEGORY: STOCKS</u>									
06/29/2018	# GUEX, GREGORY	MGIC INVESTMENT CORP-WISC	21,700.00	513.86	95.0	0.00	488.17	18.00	470.17
07/09/2018	# DAVIS, KAREN	AT&T INC	9,645.00	212.80	95.0	0.00	202.16	18.00	184.16
07/09/2018	# BARTSCH, MICHAEL	AT&T INC	9,645.00	212.80	95.0	0.00	202.16	18.00	184.16
07/09/2018	# WIED, DEBRA	AT&T INC	6,430.00	156.40	95.0	0.00	148.58	18.00	130.58
07/09/2018	# REV TRUST, THOMAS & DORIS	CARA THERAPEUTICS INC	307,500.00	200.00	95.0	0.00	190.00	18.00	172.00
07/11/2018	# OLSON, MARTHA	AMAZON.COM INC	17,480.00	105.00	95.0	0.00	99.75	18.00	81.75
07/12/2018	# PRICE, THOMAS	AMAZON.COM INC	176,500.00	1,800.00	95.0	0.00	1,710.00	18.00	1,692.00
07/13/2018	# STIEHL, EDITH	***BAIDU INC	80,100.00	990.00	95.0	0.00	940.50	18.00	922.50
07/19/2018	# RAPALA, GARY	AT&T INC	9,495.00	210.62	95.0	0.00	200.09	18.00	182.09
07/20/2018	# PRICE, THOMAS	AMAZON.COM INC	175,000.00	1,800.00	95.0	0.00	1,710.00	18.00	1,692.00
* STOCKS SUBTOTAL *			\$813,495.00	\$6,201.48		\$0.00	\$5,891.41	\$180.00	\$5,711.41
<u>PRODUCT CATEGORY: OPTIONS</u>									
07/03/2018	# PRICE, THOMAS	CALL ALB 09/21/18 105	1,040.00	52.00	95.0	0.00	49.40	23.00	26.40
07/03/2018	# BLE, BALDWIN GROSSE	PUT TREE 12/21/18 180	6,250.00	174.78	95.0	0.00	166.04	24.25	141.79
07/05/2018	# BARTSCH, MICHAEL	CALL TOT 08/17/18 62.50	540.00	50.00	95.0	0.00	47.50	21.75	25.75
07/09/2018	# PRICE, THOMAS	CALL AMZN 07/20/18 1750	1,900.00	56.68	95.0	0.00	53.85	21.00	32.85
07/17/2018	# PRICE, THOMAS	CALL AMZN 07/27/18 1860	4,800.00	96.52	95.0	0.00	91.69	21.00	70.69
07/17/2018	# REV TRUST, THOMAS & DORIS	PUT NFLX 08/17/18 350	1,805.00	73.31	95.0	0.00	69.64	21.00	48.64
* OPTIONS SUBTOTAL *			\$16,335.00	\$503.29		\$0.00	\$478.12	\$132.00	\$346.12

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/01/2018	#02500056426	VARIOUS BARTSCH INVESCO ASIA PACIFIC GROWTH FD - CL	0.00	2.44	95.0	0.00	2.32	0.00	2.32
07/01/2018	#01001361252	VARIOUS BARTSCH INVESCO CASH RESERVE SHARES	0.00	0.51	95.0	0.00	0.48	0.00	0.48
07/01/2018	#01001362008	VARIOUS BARTSCH INVESCO CASH RESERVE SHARES	0.00	0.50	95.0	0.00	0.48	0.00	0.48
07/01/2018	#01000247207	VARIOUS BARTSCH INVESCO CASH RESERVE SHARES	0.00	2.28	95.0	0.00	2.17	0.00	2.17
07/01/2018	#02500037266	VARIOUS BARTSCH INVESCO CASH RESERVE SHARES	0.00	2.92	95.0	0.00	2.77	0.00	2.77
07/01/2018	#03911264087	VARIOUS BARTSCH INVESCO CASH RESERVE SHARES	0.00	5.38	95.0	0.00	5.11	0.00	5.11
07/01/2018	#05060207429	OLSON, MARTHA INVESCO CASH RESERVE SHARES	0.00	16.48	95.0	0.00	15.66	0.00	15.66
07/01/2018	#01001382598	VARIOUS BARTSCH INVESCO CHARTER FUND CL A	0.00	4.56	95.0	0.00	4.33	0.00	4.33
07/01/2018	#01000161316	VARIOUS BARTSCH INVESCO CHARTER FUND CL A	0.00	1.03	95.0	0.00	0.98	0.00	0.98
07/01/2018	#01000162036	VARIOUS BARTSCH INVESCO DIVERSIFIED DIVIDEND FD CL	0.00	3.69	95.0	0.00	3.51	0.00	3.51
07/01/2018	#02500056426	VARIOUS BARTSCH INVESCO DIVERSIFIED DIVIDEND FD CL	0.00	2.44	95.0	0.00	2.32	0.00	2.32
07/01/2018	#01001382598	VARIOUS BARTSCH INVESCO EMERGING MARKETS EQUITY	0.00	5.29	95.0	0.00	5.03	0.00	5.03
07/01/2018	#01001381647	VARIOUS BARTSCH INVESCO EMERGING MARKETS EQUITY	0.00	3.72	95.0	0.00	3.53	0.00	3.53
07/01/2018	#01001211886	VARIOUS BARTSCH INVESCO EMERGING MARKETS EQUITY	0.00	4.70	95.0	0.00	4.47	0.00	4.47
07/01/2018	#02500035760	VARIOUS BARTSCH INVESCO EMERGING MARKETS EQUITY	0.00	3.27	95.0	0.00	3.11	0.00	3.11
07/01/2018	#01000162036	VARIOUS BARTSCH INVESCO EMERGING MKT LCL CRCY DEBT	0.00	1.75	95.0	0.00	1.66	0.00	1.66
07/01/2018	#02500037266	VARIOUS BARTSCH INVESCO EMERGING MKT LCL CRCY DEBT	0.00	1.78	95.0	0.00	1.69	0.00	1.69
07/01/2018	#05060207429	OLSON, MARTHA INVESCO EMERGING MKT LCL CRCY DEBT	0.00	12.81	95.0	0.00	12.17	0.00	12.17
07/01/2018	#01000246661	VARIOUS BARTSCH INVESCO EMERGING MKT LCL CRCY DEBT	0.00	10.73	95.0	0.00	10.19	0.00	10.19
07/01/2018	#01001211886	VARIOUS BARTSCH INVESCO ENERGY FUND CLASS A	0.00	8.44	95.0	0.00	8.02	0.00	8.02
07/01/2018	#01000161860	VARIOUS BARTSCH INVESCO ENERGY FUND CLASS A	0.00	6.07	95.0	0.00	5.77	0.00	5.77
07/01/2018	#01000162036	VARIOUS BARTSCH INVESCO ENERGY FUND CLASS A	0.00	4.82	95.0	0.00	4.58	0.00	4.58
07/01/2018	#01000247207	VARIOUS BARTSCH INVESCO ENERGY FUND CLASS A	0.00	4.19	95.0	0.00	3.98	0.00	3.98
07/01/2018	#02500051532	VARIOUS BARTSCH INVESCO ENERGY FUND CLASS A	0.00	9.90	95.0	0.00	9.41	0.00	9.41
07/01/2018	#05060207429	OLSON, MARTHA INVESCO ENERGY FUND CLASS A	0.00	73.70	95.0	0.00	70.02	0.00	70.02
07/01/2018	#01000246661	VARIOUS BARTSCH INVESCO ENERGY FUND CLASS C	0.00	19.17	95.0	0.00	18.21	0.00	18.21
07/01/2018	#01001229265	HERVEY UTMA/WI, INVESCO ENERGY FUND CLASS C	0.00	8.45	95.0	0.00	8.03	0.00	8.03
07/01/2018	#02500002759	VARIOUS BARTSCH INVESCO ENERGY FUND CLASS C	0.00	17.26	95.0	0.00	16.40	0.00	16.40
07/01/2018	#02500037266	VARIOUS BARTSCH INVESCO ENERGY FUND CLASS C	0.00	27.44	95.0	0.00	26.07	0.00	26.07
07/01/2018	#03911264087	VARIOUS BARTSCH INVESCO ENERGY FUND CLASS C	0.00	37.48	95.0	0.00	35.61	0.00	35.61
07/01/2018	#01000247229	VARIOUS BARTSCH INVESCO EUROPEAN GROWTH FUND -CLASS	0.00	3.31	95.0	0.00	3.14	0.00	3.14
07/01/2018	#01001361252	VARIOUS BARTSCH INVESCO GLOBAL HEALTH CARE FD-CL A	0.00	0.72	95.0	0.00	0.68	0.00	0.68
07/01/2018	#01001362008	VARIOUS BARTSCH INVESCO GLOBAL HEALTH CARE FD-CL A	0.00	0.70	95.0	0.00	0.67	0.00	0.67
07/01/2018	#01001357750	VARIOUS BARTSCH INVESCO GLOBAL HEALTH CARE FD-CL A	0.00	0.67	95.0	0.00	0.64	0.00	0.64
07/01/2018	#01000247207	VARIOUS BARTSCH INVESCO GLOBAL HEALTH CARE FD-CL A	0.00	4.13	95.0	0.00	3.92	0.00	3.92
07/01/2018	#01001358412	VARIOUS BARTSCH INVESCO GLOBAL HEALTH CARE FD-CL A	0.00	4.09	95.0	0.00	3.89	0.00	3.89

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/01/2018	#02500037266	VARIOUS BARTSCH INVESCO GLOBAL HEALTH CARE FD-CL A	0.00	2.99	95.0	0.00	2.84	0.00	2.84
07/01/2018	#01001357750	VARIOUS BARTSCH INVESCO GLOBAL OPPORTUNTIES FUND A	0.00	0.83	95.0	0.00	0.79	0.00	0.79
07/01/2018	#01001382598	VARIOUS BARTSCH INVESCO GOLD & PRECIOUS METALS CL A	0.00	0.75	95.0	0.00	0.71	0.00	0.71
07/01/2018	#01001361252	VARIOUS BARTSCH INVESCO GOLD & PRECIOUS METALS CL A	0.00	1.01	95.0	0.00	0.96	0.00	0.96
07/01/2018	#01001362008	VARIOUS BARTSCH INVESCO GOLD & PRECIOUS METALS CL A	0.00	1.49	95.0	0.00	1.42	0.00	1.42
07/01/2018	#01000162036	VARIOUS BARTSCH INVESCO GOLD & PRECIOUS METALS CL A	0.00	1.40	95.0	0.00	1.33	0.00	1.33
07/01/2018	#01000247207	VARIOUS BARTSCH INVESCO GOLD & PRECIOUS METALS CL A	0.00	3.07	95.0	0.00	2.92	0.00	2.92
07/01/2018	#02500051532	VARIOUS BARTSCH INVESCO GOLD & PRECIOUS METALS CL A	0.00	0.80	95.0	0.00	0.76	0.00	0.76
07/01/2018	#03911264087	VARIOUS BARTSCH INVESCO GOLD & PRECIOUS METALS CL A	0.00	1.01	95.0	0.00	0.96	0.00	0.96
07/01/2018	#01000246661	VARIOUS BARTSCH INVESCO GOLD & PRECIOUS METALS FD -	0.00	1.66	95.0	0.00	1.58	0.00	1.58
07/01/2018	#02500002759	VARIOUS BARTSCH INVESCO GOLD & PRECIOUS METALS FD -	0.00	0.51	95.0	0.00	0.48	0.00	0.48
07/01/2018	#02500002759	VARIOUS BARTSCH INVESCO MONEY MARKET FUND - CLASS C	0.00	10.92	95.0	0.00	10.37	0.00	10.37
07/01/2018	#02500037266	VARIOUS BARTSCH INVESCO MONEY MARKET FUND - CLASS C	0.00	117.70	95.0	0.00	111.82	0.00	111.82
07/01/2018	#02500080766	HERVE, BRAND INVESCO MONEY MARKET FUND - CLASS C	0.00	13.47	95.0	0.00	12.80	0.00	12.80
07/01/2018	#03809836434	VARIOUS BARTSCH INVESCO MONEY MARKET FUND - CLASS C	0.00	8.00	95.0	0.00	7.60	0.00	7.60
07/01/2018	#01001358412	VARIOUS BARTSCH INVESCO REAL ESTATE FUND CL A	0.00	3.88	95.0	0.00	3.69	0.00	3.69
07/01/2018	#01000247207	VARIOUS BARTSCH INVESCO TECHNOLOGY FUND CL A	0.00	6.02	95.0	0.00	5.72	0.00	5.72
07/01/2018	#01001211886	VARIOUS BARTSCH INVESCO U.S. GOVERNMENT FUND CL A	0.00	12.12	95.0	0.00	11.51	0.00	11.51
07/01/2018	#01001361252	VARIOUS BARTSCH INVESCO UTILITIES FUND CL A	0.00	0.72	95.0	0.00	0.68	0.00	0.68
07/01/2018	#01001362008	VARIOUS BARTSCH INVESCO UTILITIES FUND CL A	0.00	0.71	95.0	0.00	0.67	0.00	0.67
07/01/2018	#01001382598	VARIOUS BARTSCH INVESCO VAN KAMPEN AMERICAN FRANCHI	0.00	14.72	95.0	0.00	13.98	0.00	13.98
07/01/2018	#01001361252	VARIOUS BARTSCH INVESCO VAN KAMPEN AMERICAN FRANCHI	0.00	6.50	95.0	0.00	6.18	0.00	6.18
07/01/2018	#01001362008	VARIOUS BARTSCH INVESCO VAN KAMPEN AMERICAN FRANCHI	0.00	6.49	95.0	0.00	6.17	0.00	6.17
07/01/2018	#01001381641	VARIOUS BARTSCH INVESCO VAN KAMPEN AMERICAN FRANCHI	0.00	0.36	95.0	0.00	0.34	0.00	0.34
07/01/2018	#01001381647	VARIOUS BARTSCH INVESCO VAN KAMPEN AMERICAN FRANCHI	0.00	3.71	95.0	0.00	3.52	0.00	3.52
07/01/2018	#01001211886	VARIOUS BARTSCH INVESCO VAN KAMPEN AMERICAN FRANCHI	0.00	10.45	95.0	0.00	9.93	0.00	9.93
07/01/2018	#01001383770	VARIOUS BARTSCH INVESCO VAN KAMPEN AMERICAN FRANCHI	0.00	3.71	95.0	0.00	3.52	0.00	3.52
07/01/2018	#01000247207	VARIOUS BARTSCH INVESCO VAN KAMPEN AMERICAN FRANCHI	0.00	4.70	95.0	0.00	4.47	0.00	4.47
07/01/2018	#01001358412	VARIOUS BARTSCH INVESCO VAN KAMPEN AMERICAN FRANCHI	0.00	4.75	95.0	0.00	4.51	0.00	4.51
07/01/2018	#01001401594	WIED, DENNIS INVESCO VAN KAMPEN AMERICAN FRANCHI	0.00	0.53	95.0	0.00	0.50	0.00	0.50
07/01/2018	#05012851738	VARIOUS BARTSCH INVESCO VAN KAMPEN AMERICAN FRANCHI	0.00	14.22	95.0	0.00	13.51	0.00	13.51
07/01/2018	#01001401797	WIED, HEAT INVESCO VAN KAMPEN AMERICAN FRANCHI	0.00	0.49	95.0	0.00	0.47	0.00	0.47
07/01/2018	#01001401803	WIED, LAUR INVESCO VAN KAMPEN AMERICAN FRANCHI	0.00	0.49	95.0	0.00	0.47	0.00	0.47
07/01/2018	#01001401814	WIED, MICHAEL INVESCO VAN KAMPEN AMERICAN FRANCHI	0.00	0.49	95.0	0.00	0.47	0.00	0.47
07/01/2018	#01000246661	VARIOUS BARTSCH INVESTCO ASIA PACIFIC GROWTH	0.00	19.74	95.0	0.00	18.75	0.00	18.75
07/01/2018	#02500080766	HERVE, BRAND INVESTCO ASIA PACIFIC GROWTH	0.00	15.67	95.0	0.00	14.89	0.00	14.89

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/01/2018	#01000162036	VARIOUS BARTSCH SHORT EQUITY FUND CLASS A	0.00	2.78	95.0	0.00	2.64	0.00	2.64
07/03/2018	#08050004572	MALLOKENW ALLIANZGI GLOBAL NATURAL RESOURCES	0.00	0.99	95.0	0.00	0.94	0.00	0.94
07/03/2018	#08050004572	MALLOKENW ALLIANZGI GLOBAL NATURAL RESOURCES	0.00	2.97	95.0	0.00	2.82	0.00	2.82
07/03/2018	#08050004572	MALLOKENW ALLIANZGI HEALTH SCIENCES FUND CLAS	0.00	1.20	95.0	0.00	1.14	0.00	1.14
07/03/2018	#08050004572	MALLOKENW ALLIANZGI HEALTH SCIENCES FUND CLAS	0.00	3.59	95.0	0.00	3.41	0.00	3.41
07/03/2018	#00958499628	PIONEER 724010103	0.00	8.43	95.0	0.00	8.01	0.00	8.01
07/11/2018	# GUEX, GREGORY	DAIN TRAILER	0.00	6.19	95.0	0.00	5.88	0.00	5.88
07/11/2018	# GUEX, GREGORY	DAIN TRAILER	0.00	11.64	95.0	0.00	11.06	0.00	11.06
07/11/2018	# DAVIS, KAREN	DAIN TRAILER	0.00	3.85	95.0	0.00	3.66	0.00	3.66
07/11/2018	# WIED, DEBRA	DAIN TRAILER	0.00	8.98	95.0	0.00	8.53	0.00	8.53
07/11/2018	# WIED, DEBRA	DAIN TRAILER	0.00	6.63	95.0	0.00	6.30	0.00	6.30
07/11/2018	# MILLER, JOYCE	DAIN TRAILER	0.00	6.37	95.0	0.00	6.05	0.00	6.05
07/11/2018	# WIED, DENNIS	DAIN TRAILER	0.00	2.01	95.0	0.00	1.91	0.00	1.91
07/11/2018	# WIED, DENNIS	DAIN TRAILER	0.00	5.01	95.0	0.00	4.76	0.00	4.76
07/11/2018	# WIED, MICHAEL	DAIN TRAILER	0.00	2.01	95.0	0.00	1.91	0.00	1.91
07/11/2018	# WIED, MICHAEL	DAIN TRAILER	0.00	5.01	95.0	0.00	4.76	0.00	4.76
07/11/2018	# REV TRUST, THOMAS & DORIS	DAIN TRAILER	0.00	19.77	95.0	0.00	18.78	0.00	18.78
07/11/2018	# WALTER, EARL	DAIN TRAILER	0.00	12.65	95.0	0.00	12.02	0.00	12.02
07/11/2018	# WALTER, EARL	DAIN TRAILER	0.00	18.18	95.0	0.00	17.27	0.00	17.27
07/11/2018	# SHORT, EDDIE	DAIN TRAILER	0.00	188.28	95.0	0.00	178.87	0.00	178.87
07/11/2018	# SHORT, EDDIE	DAIN TRAILER	0.00	0.17	95.0	0.00	0.16	0.00	0.16
07/11/2018	# SHORT, EDDIE	DAIN TRAILER	0.00	69.90	95.0	0.00	66.41	0.00	66.41
07/11/2018	# STIEHL, EDITH	DAIN TRAILER	0.00	9.68	95.0	0.00	9.20	0.00	9.20
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,009.19		\$0.00	\$958.80	\$0.00	\$958.80
*** BROKER TRANSACTIONS TOTAL ***			\$829,950.00	\$7,715.16		\$0.00	\$7,329.47	\$312.00	\$7,017.47

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ADJUSTMENTS

08/20/2018		ADMIN FEE: ADMIN FEE							-390.00
08/20/2018		E & O INSURANCE: E & O INSURANCE							-179.00
*** ADJUSTMENTS TOTAL ***									<u>\$-569.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$7,017.47
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-569.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	<u>\$6,448.47</u>
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