

**COMMISSION STATEMENT****November 15, 2017**DAVID KOTZ
601 Mine Brook Rd

BROKER #: K135 Terminated 05/04/2017

BRANCH: DAVID KOTZ

Far Hills, NJ 07931

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/10/2017	VIGH, AGNES	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	4.30	0.00	4.30	0.0	0.00
10/10/2017	NAGY, ZOLLAN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.96	0.00	0.96	0.0	0.00
10/10/2017	FRENCH, ELAINE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	25.40	0.00	25.40	0.0	0.00
10/10/2017	WHITTLESEY, FRANK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	8.95	0.00	8.95	0.0	0.00
10/10/2017	MARGOLIN, BRUCE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	9.71	0.00	9.71	0.0	0.00
10/10/2017	FRENCH, ELAINE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.59	0.00	2.59	0.0	0.00
10/10/2017	VIGH, AGNES	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.91	0.00	2.91	0.0	0.00
10/10/2017	NAGY, ZOLLAN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.88	0.00	0.88	0.0	0.00
10/10/2017	VIGH, AGNES	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	1.73	0.00	1.73	0.0	0.00
10/10/2017	NAGY, ZOLLAN	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	2.38	0.00	2.38	0.0	0.00
10/10/2017	MARGOLIN, BRUCE	PRU JENNISON GROWTH	0.00	1.98	0.00	1.98	0.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$0.00	\$61.79	\$0.00	\$61.79		\$0.00
<u>PRODUCT CATEGORY: BONDS</u>								
10/27/2017	MCKAY, ANN	HSBC USA INC NEW SR IDX ZRO	16,085.64	28.00	28.00	0.00	0.0	0.00
* BONDS SUBTOTAL *			\$16,085.64	\$28.00	\$28.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/31/2017	SHELLEY, SUZANNE	ASCENSUS 529 TRAILS	0.00	16.16	0.00	16.16	0.0	0.00
10/31/2017	SHELLEY, SUZANNE	ASCENSUS 529 TRAILS	0.00	16.16	0.00	16.16	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$32.32	\$0.00	\$32.32		\$0.00
*** DIRECT TRANSACTIONS TOTAL ***			\$16,085.64	\$122.11	\$28.00	\$94.11		\$0.00

NOTES: * - Indicates adjustment is not included in 1099 Earnings

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

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	\$51.10
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

Balance Forward	\$51.10
Year-to-date Gross	\$8,942.72
Year-to-date Earnings	\$3,866.34