

COMMISSION STATEMENT

January 15, 2018

RON ROCCA FORTE-D055

BROKER #: D055

BRANCH: DMK

, TX

COMMISSION STATEMENT for RON ROCCA FORTE-D055

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
12/29/2017 (None)	FORREST, DUANE	MFT VIRTUS	B	0.00	7.88	0.00	7.88	75.0	5.91
12/29/2017 (None)	LOWELDAVIB	MFT VIRTUS	B	0.00	0.14	0.00	0.14	75.0	0.11
12/31/2017 (None)	VARIOUS, ROCCA FORTE	MFT FIDELITY ADVISOR FDS	B	0.00	151.54	0.00	151.54	75.0	113.66
12/31/2017 00440013482	WOOD, MARTHA	MFT INVESCO INCOME ALLOCATION FUND	B	0.00	83.54	0.00	83.54	75.0	62.66
12/31/2017 00440013483	WOOD, NORMAN	MFT INVESCO INCOME ALLOCATION FUND	B	0.00	110.39	0.00	110.39	75.0	82.79
12/31/2017 00660438351	BRASHIER, EDWARD	MFT INVESCO EQUITY AND INCOME FUND	B	0.00	7.20	0.00	7.20	75.0	5.40
12/31/2017 00671001183	LAMNEK TEN COM,	MFT AIM GLOBAL VALUE FUND - CLASS A	B	0.00	18.79	0.00	18.79	75.0	14.09
12/31/2017 00671001183	LAMNEK TEN COM,	MFT INVESCO HIGH YIELD MUNICIPAL FD	B	0.00	229.57	0.00	229.57	75.0	172.18
12/31/2017 00671036074	MCCABE, KEVIN	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	16.78	0.00	16.78	75.0	12.59
12/31/2017 00671119753	LAMNEK, CARL	MFT AIM HIGH YIELD FUND - CLASS A	B	0.00	11.19	0.00	11.19	75.0	8.39
12/31/2017 00671120253	THOMPSON, WILLIAM	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	26.50	0.00	26.50	75.0	19.88
12/31/2017 00671122306	LAMNEK, CAROL	MFT AIM HIGH YIELD FUND - CLASS A	B	0.00	1.39	0.00	1.39	75.0	1.04
12/31/2017 00671890235	WYOMA A WILLIAMS,	MFT INVESCO EQUITY AND INCOME FUND	B	0.00	25.42	0.00	25.42	75.0	19.07
12/31/2017 00818767243	MORGAN, RONALD	MFT MFS CORE EQUITY FUND-A	B	0.00	5.86	0.00	5.86	75.0	4.40
12/31/2017 01001347308	THOMPSON, WILLIAM	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	30.92	0.00	30.92	75.0	23.19
12/31/2017 03809702867	COKER, JAMIE	MFT AIM TECHNOLOGY FUND - CLASS A	B	0.00	6.00	0.00	6.00	75.0	4.50
12/31/2017 03809702867	COKER, JAMIE	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	1.55	0.00	1.55	75.0	1.16
12/31/2017 03909158838	JOHN F & LINDA J	MFT AIM GLOBAL HEALTH CARE FUND	B	0.00	4.11	0.00	4.11	75.0	3.08
12/31/2017 03909158838	JOHN F & LINDA J	MFT INVESCO EQUALLY-WGHTD S&P 500	B	0.00	5.74	0.00	5.74	75.0	4.31
12/31/2017 05016280017	MCCABE, DANA	MFT AIM CHARTER FUND - CLASS A	B	0.00	14.28	0.00	14.28	75.0	10.71
12/31/2017 05016280017	MCCABE, DANA	MFT AIM INTERNATIONAL GROWTH FUND -	B	0.00	4.65	0.00	4.65	75.0	3.49
12/31/2017 05016280017	MCCABE, DANA	MFT AIM MID-CAP EQUITY FUND CLASS A	B	0.00	3.12	0.00	3.12	75.0	2.34
12/31/2017 05016280017	MCCABE, DANA	MFT AIM SMALL CAP EQUITY FUND -	B	0.00	3.32	0.00	3.32	75.0	2.49
12/31/2017 05022666076	BRASHIER, EDWARD	MFT AIM CHARTER FUND - CLASS A	B	0.00	2.35	0.00	2.35	75.0	1.76
12/31/2017 05312119002	DAVIS, SONDR A	MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.50	0.00	0.50	75.0	0.38
12/31/2017 05312119191	DAVIS, ARLON	MFT MASS INVESTORS GROWTH STOCK	B	0.00	7.27	0.00	7.27	75.0	5.45
12/31/2017 06000815982	DAVIS, ARLON	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	9.86	0.00	9.86	75.0	7.40
12/31/2017 06000815991	DAVIS, SONDR A	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	0.50	0.00	0.50	75.0	0.38
12/31/2017 06515359357	MORGAN, DEBRA	MFT MFS TOTAL RETURN FUND-A	B	0.00	0.22	0.00	0.22	75.0	0.17
12/31/2017 06900220552	MCCABE, KEVIN	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	35.82	0.00	35.82	75.0	26.87
12/31/2017 08188197849	FORREST, DUANE	MFT MFS CORE EQUITY FUND-A	B	0.00	15.02	0.00	15.02	75.0	11.27

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
12/31/2017 08191223351	JOHN F & LINDA J	MFT MASS INVESTORS GROWTH STOCK	B	0.00	4.17	0.00	4.17	75.0	3.13
12/31/2017 08191223351	JOHN F & LINDA J	MFT MASSACHUSETTS INVESTORS TRUST-A	B	0.00	2.55	0.00	2.55	75.0	1.91
12/31/2017 08191223351	JOHN F & LINDA J	MFT MFS RESEARCH FUND-A	B	0.00	1.26	0.00	1.26	75.0	0.95
12/31/2017 08191223351	JOHN F & LINDA J	MFT MFS TECHNOLOGY FUND-A	B	0.00	3.37	0.00	3.37	75.0	2.53
12/31/2017 08191223351	JOHN F & LINDA J	MFT MFS VALUE FUND-A	B	0.00	4.60	0.00	4.60	75.0	3.45
12/31/2017 08191223476	JOHN F & LINDA J	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	1.34	0.00	1.34	75.0	1.01
12/31/2017 08191270780	JOHN F & LINDA J	MFT MFS GLOBAL EQUITY FUND-A	B	0.00	0.94	0.00	0.94	75.0	0.71
12/31/2017 08191271841	JOHN F & LINDA J	MFT MFS MID CAP VALUE FUND-A	B	0.00	3.01	0.00	3.01	75.0	2.26
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$862.66	\$0.00	\$862.66		\$647.07
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>									
12/26/2017 (None)	RAYMOND, GREGORY	VAT ALLSTATE	B	0.00	5.75	0.00	5.75	75.0	4.31
12/30/2017 (None)	CONNOR TOD, BILLIE	VAT NATIONWIDE	B	0.00	14.77	0.00	14.77	75.0	11.08
12/31/2017 (None)	BERRY, ROBERT	VAT LINCOLN NATL LIFE	B	0.00	20.39	0.00	20.39	75.0	15.29
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$40.91	\$0.00	\$40.91		\$30.68
*** DIRECT TRANSACTIONS TOTAL ***				\$0.00	\$903.57	\$0.00	\$903.57		\$677.75

BROKER COMMISSION TOTALS

Broker Transactions	\$677.75
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	\$677.75
Year-to-date Commissions	\$1,380.35