



COMMISSION STATEMENT

April 15, 2017

DAVID KOTZ
601 Mine Brook Rd

BROKER #: K135
BRANCH: DAVID KOTZ

Far Hills, NJ 07931

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/10/2017	VON DER LINDE, LAURA	AM FUNDS BOND FUND OF AMERICA C	0.00	4.15	0.00	4.15	80.0	3.32
03/10/2017	VON DER LINDE, PETER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	80.0	0.67
03/10/2017	VON DER LINDE, PETER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.55	0.00	2.55	80.0	2.04
03/10/2017	MILLER, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.84	0.00	4.84	80.0	3.87
03/10/2017	MILLER, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.08	0.00	8.08	80.0	6.46
03/10/2017	VON DER LINDE, PETER	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.92	0.00	5.92	80.0	4.74
03/10/2017	VON DER LINDE, PETER	OPPENHEIMER GLOBAL A	0.00	6.93	0.00	6.93	80.0	5.54
03/10/2017	MILLER, PATRICIA	OPPENHEIMER GLOBAL A	0.00	3.94	0.00	3.94	80.0	3.15
03/10/2017	MILLER, PATRICIA	OPPENHEIMER GLOBAL A	0.00	6.62	0.00	6.62	80.0	5.30
03/10/2017	MILLER, PATRICIA	PUTNAM CONV SECURITIES A	0.00	2.46	0.00	2.46	80.0	1.97
03/10/2017	MILLER, PATRICIA	PUTNAM INTL CAPITAL OPPS-A	0.00	1.93	0.00	1.93	80.0	1.54
* MUTUAL FUNDS SUBTOTAL *			\$0.00	\$48.26	\$0.00	\$48.26		\$38.60
<u>PRODUCT CATEGORY: RIA</u>								
03/14/2017	VON DER LINDE, ELIZABETH	RBC	300,000.00	-80.65	0.00	-80.65	90.0	-72.59
03/14/2017	VON DER LINDE, ELIZABETH	RBC	300,000.00	-182.86	0.00	-182.86	90.0	-164.57
04/01/2017	VON DER LINDE, PETER	RBC	0.00	-79.22	0.00	-79.22	90.0	-71.30
04/01/2017	VON DER LINDE, ELIZABETH	RBC	0.00	-13.28	0.00	-13.28	90.0	-11.95
04/01/2017	MILLER, PATRICIA	RBC	0.00	-49.28	0.00	-49.28	90.0	-44.35
04/01/2017	MILLER, PATRICIA	RBC	0.00	-59.55	0.00	-59.55	90.0	-53.60
04/01/2017	VON DER LINDE, ELIZABETH	RBC	0.00	-80.65	0.00	-80.65	90.0	-72.59
04/01/2017	VON DER LINDE, ELIZABETH	RBC	0.00	-182.86	0.00	-182.86	90.0	-164.57
* RIA SUBTOTAL *			\$600,000.00	\$-728.35	\$0.00	\$-728.35		\$-655.52
*** BROKER TRANSACTIONS TOTAL ***			\$600,000.00	\$-680.09	\$0.00	\$-680.09		\$-616.92

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
04/15/2017		*MANAGED FEE INCOME: PRORATED CLSD	0.00					-5.28
04/15/2017		*MANAGED FEE INCOME: PRORATED CLSD	0.00					-5.28
04/15/2017		*MANAGED FEE INCOME: PRORATED NEW A	0.00					5.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-5.56

BROKER COMMISSION TOTALS

Broker Transactions	\$-616.92
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-5.56
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-121.31
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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THERE WILL BE NO CHECK THIS PERIOD

Balance Forward	\$-743.79
Year-to-date Gross	\$4,487.51
Year-to-date Earnings	\$3,861.86

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