

**COMMISSION STATEMENT****October 15, 2017**DAVID KOTZ
601 Mine Brook RdBROKER #: 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>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/12/2017	VIGH, AGNES	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	4.37	0.00	4.37	0.0	0.00
09/12/2017	NAGY, ZOLLAN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.97	0.00	0.97	0.0	0.00
09/12/2017	MARGOLIN, BRUCE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	9.85	0.00	9.85	0.0	0.00
09/12/2017	WHITTLESEY, FRANK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	9.08	0.00	9.08	0.0	0.00
09/12/2017	FRENCH, ELAINE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	25.76	0.00	25.76	0.0	0.00
09/12/2017	VIGH, AGNES	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.95	0.00	2.95	0.0	0.00
09/12/2017	NAGY, ZOLLAN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.89	0.00	0.89	0.0	0.00
09/12/2017	FRENCH, ELAINE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.63	0.00	2.63	0.0	0.00
09/12/2017	VIGH, AGNES	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	1.73	0.00	1.73	0.0	0.00
09/12/2017	NAGY, ZOLLAN	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	2.38	0.00	2.38	0.0	0.00
09/12/2017	MARGOLIN, BRUCE	PRU JENNISON GROWTH	0.00	1.99	0.00	1.99	0.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$0.00	\$62.60	\$0.00	\$62.60		\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>								
09/11/2017	BROWNELL, STANLEY	CARRIZO OIL & GAS INC COM	2,330.68	22.00	22.00	0.00	0.0	0.00
09/11/2017	BROWNELL, STANLEY	SOUTHWESTERN ENERGY CO	2,696.50	22.00	22.00	0.00	0.0	0.00
* STOCKS SUBTOTAL *			\$5,027.18	\$44.00	\$44.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: BONDS</u>								
09/11/2017	BROWNELL, STANLEY	HSBC USA INC NEW SR IDX ZRO	9,230.08	28.00	28.00	0.00	0.0	0.00
* BONDS SUBTOTAL *			\$9,230.08	\$28.00	\$28.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: CERTIFICATES OF DEPOSIT</u>								
09/25/2017	FITZGERALD, SUSAN	HSBC BANK USA NA	5,450.00	28.00	28.00	0.00	0.0	0.00
* CERTIFICATES OF DEPOSIT SUBTOTAL *			\$5,450.00	\$28.00	\$28.00	\$0.00		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$19,707.26	\$162.60	\$100.00	\$62.60		\$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	\$8,790.27
Year-to-date Earnings	\$3,866.34