

# COMMISSION STATEMENT September 30, 2018

BRISKIN DPM

BROKER #: D109

BRANCH: DWA

, TX

## COMMISSION STATEMENT for BRISKIN DPM

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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### CLEARING TRANSACTIONS

#### PRODUCT CATEGORY: STOCKS

09/06/2018	368260050	RICE, GERALD	S	COHU INCORPORATED	S	-7,472.90	9.00	0.00	9.00	0.0	0.00
09/06/2018	368260050	RICE, GERALD	S	COHU INCORPORATED	S	-2,483.97	3.00	0.00	3.00	0.0	0.00
09/06/2018	368260050	RICE, GERALD	S	COHU INCORPORATED	S	-2,487.52	3.00	15.00	-12.00	0.0	0.00
09/11/2018	368260050	RICE, GERALD	S	ORION ENGINEERED CARBONS S A R	S	-3,249.96	5.00	0.00	5.00	0.0	0.00
09/11/2018	368260050	RICE, GERALD	S	ORION ENGINEERED CARBONS S A R	S	-3,249.96	5.00	0.00	5.00	0.0	0.00
09/11/2018	368260050	RICE, GERALD	S	ORION ENGINEERED CARBONS S A R	S	-3,087.46	4.75	0.00	4.75	0.0	0.00
09/11/2018	368260050	RICE, GERALD	S	ORION ENGINEERED CARBONS S A R	S	-160.05	0.25	15.00	-14.75	0.0	0.00
09/20/2018	368260050	RICE, GERALD	S	INNOVIVA INC	B	10,077.61	15.00	15.00	0.00	0.0	0.00
09/20/2018	368260050	RICE, GERALD	S	OSHKOSH TRUCK CORP	B	12,269.13	15.00	15.00	0.00	0.0	0.00
09/20/2018	368260050	RICE, GERALD	S	PFIZER INCORPORATED	B	11,853.98	15.00	15.00	0.00	0.0	0.00
09/20/2018	368260050	RICE, GERALD	S	WALGREENS BOOTS ALLIANCE INC	B	12,040.84	15.00	15.00	0.00	0.0	0.00
09/06/2018	368357506	DIAZ, LETICIA	S	COHU INCORPORATED	S	-9,931.87	12.00	0.00	12.00	0.0	0.00
09/06/2018	368357506	DIAZ, LETICIA	S	COHU INCORPORATED	S	-2,485.52	3.00	15.00	-12.00	0.0	0.00
09/11/2018	368357506	DIAZ, LETICIA	S	ORION ENGINEERED CARBONS S A R	S	-3,249.96	5.00	0.00	5.00	0.0	0.00
09/11/2018	368357506	DIAZ, LETICIA	S	ORION ENGINEERED CARBONS S A R	S	-3,249.96	5.00	0.00	5.00	0.0	0.00
09/11/2018	368357506	DIAZ, LETICIA	S	ORION ENGINEERED CARBONS S A R	S	-2,890.01	4.45	15.00	-10.55	0.0	0.00
09/11/2018	368357506	DIAZ, LETICIA	S	ORION ENGINEERED CARBONS S A R	S	-357.50	0.55	0.00	0.55	0.0	0.00
09/20/2018	368357506	DIAZ, LETICIA	S	INNOVIVA INC	B	10,084.01	15.00	15.00	0.00	0.0	0.00
09/20/2018	368357506	DIAZ, LETICIA	S	OSHKOSH TRUCK CORP	B	12,238.57	15.00	15.00	0.00	0.0	0.00
09/20/2018	368357506	DIAZ, LETICIA	S	PFIZER INCORPORATED	B	11,858.57	15.00	15.00	0.00	0.0	0.00
09/20/2018	368357506	DIAZ, LETICIA	S	WALGREENS BOOTS ALLIANCE INC	B	12,029.29	15.00	15.00	0.00	0.0	0.00
08/31/2018	430275860	KIMBRELL TRUST,	S	HUNTSMAN CORP	S	-6,024.54	9.38	0.00	9.38	0.0	0.00
08/31/2018	430275860	KIMBRELL TRUST,	S	HUNTSMAN CORP	S	-3,009.82	4.69	15.00	-10.31	0.0	0.00
08/31/2018	430275860	KIMBRELL TRUST,	S	HUNTSMAN CORP	S	-602.45	0.94	0.00	0.94	0.0	0.00
09/04/2018	430275860	KIMBRELL TRUST,	S	SEAGATE TECHNOLOGY	S	-8,426.51	15.00	15.00	0.00	0.0	0.00
09/06/2018	430275860	KIMBRELL TRUST,	S	COHU INCORPORATED	S	-9,931.87	12.00	0.00	12.00	0.0	0.00
09/06/2018	430275860	KIMBRELL TRUST,	S	COHU INCORPORATED	S	-2,484.52	3.00	15.00	-12.00	0.0	0.00
09/11/2018	430275860	KIMBRELL TRUST,	S	ORION ENGINEERED CARBONS S A R	S	-9,735.42	15.00	15.00	0.00	0.0	0.00
09/20/2018	430275860	KIMBRELL TRUST,	S	INNOVIVA INC	B	10,077.61	15.00	15.00	0.00	0.0	0.00
09/20/2018	430275860	KIMBRELL TRUST,	S	OSHKOSH TRUCK CORP	B	76.62	0.09	0.00	0.09	0.0	0.00
09/20/2018	430275860	KIMBRELL TRUST,	S	OSHKOSH TRUCK CORP	B	385.57	0.47	15.00	-14.53	0.0	0.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
09/20/2018 430275860	KIMBRELL TRUST,	S OSHKOSH TRUCK CORP	B	11,800.06	14.44	0.00	14.44	0.0	0.00
09/20/2018 430275860	KIMBRELL TRUST,	S PFIZER INCORPORATED	B	11,862.08	15.00	15.00	0.00	0.0	0.00
09/20/2018 430275860	KIMBRELL TRUST,	S WALGREENS BOOTS ALLIANCE INC	B	12,042.49	15.00	15.00	0.00	0.0	0.00
08/31/2018 583773480	PARKS, HUBBARD	S HUNTSMAN CORP	S	-3,014.01	3.95	0.00	3.95	0.0	0.00
08/31/2018 583773480	PARKS, HUBBARD	S HUNTSMAN CORP	S	-3,014.01	3.95	0.00	3.95	0.0	0.00
08/31/2018 583773480	PARKS, HUBBARD	S HUNTSMAN CORP	S	-3,011.56	3.95	15.00	-11.05	0.0	0.00
08/31/2018 583773480	PARKS, HUBBARD	S HUNTSMAN CORP	S	-2,411.21	3.16	0.00	3.16	0.0	0.00
09/06/2018 583773480	PARKS, HUBBARD	S COHU INCORPORATED	S	-7,448.90	9.00	0.00	9.00	0.0	0.00
09/06/2018 583773480	PARKS, HUBBARD	S COHU INCORPORATED	S	-2,485.97	3.00	0.00	3.00	0.0	0.00
09/06/2018 583773480	PARKS, HUBBARD	S COHU INCORPORATED	S	-2,483.52	3.00	15.00	-12.00	0.0	0.00
09/11/2018 583773480	PARKS, HUBBARD	S ORION ENGINEERED CARBONS S A R	S	-3,244.96	5.00	0.00	5.00	0.0	0.00
09/11/2018 583773480	PARKS, HUBBARD	S ORION ENGINEERED CARBONS S A R	S	-3,244.96	5.00	0.00	5.00	0.0	0.00
09/11/2018 583773480	PARKS, HUBBARD	S ORION ENGINEERED CARBONS S A R	S	-3,242.51	5.00	15.00	-10.00	0.0	0.00
09/24/2018 583773480	PARKS, HUBBARD	S INNOVIVA INC	B	10,003.25	15.00	15.00	0.00	0.0	0.00
* STOCKS SUBTOTAL *				\$30,526.30	\$360.02	\$360.00	\$0.02		\$0.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/21/2018 mfc513730	DPM BRISKIN 513730	MFT DREYFUS OPPORTUNISTIC MIDCAP	B	0.00	8.19	0.00	8.19	0.0	0.00
09/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG LTD TERM INCOME FD CL	B	0.00	6.96	0.00	6.96	0.0	0.00
09/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG INVESTMENT INCOME	B	0.00	1.00	0.00	1.00	0.0	0.00
09/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG INVESTMENT INCOME	B	0.00	3.64	0.00	3.64	0.0	0.00
09/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG INVESTMENT INCOME	B	0.00	5.36	0.00	5.36	0.0	0.00
09/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG STRATEGIC INCOME FD A	B	0.00	5.24	0.00	5.24	0.0	0.00
09/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG STRATEGIC MUNI INCOME	B	0.00	2.60	0.00	2.60	0.0	0.00
09/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG STRATEGIC MUNI INCOME	B	0.00	5.87	0.00	5.87	0.0	0.00
09/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG STRATEGIC MUNI INCOME	B	0.00	7.83	0.00	7.83	0.0	0.00
09/21/2018 mfc513730	DPM BRISKIN 513730	MFT TRANSAMERICA SMALL/MID CAP	B	0.00	0.91	0.00	0.91	0.0	0.00
09/24/2018 mfc513730	DPM BRISKIN 513730	MFT DREYFUS OPPORTUNISTIC MIDCAP	B	0.00	7.79	0.00	7.79	0.0	0.00
09/24/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG LTD TERM INCOME FD CL	B	0.00	6.53	0.00	6.53	0.0	0.00
09/24/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG INVESTMENT INCOME	B	0.00	0.93	0.00	0.93	0.0	0.00
09/24/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG INVESTMENT INCOME	B	0.00	3.41	0.00	3.41	0.0	0.00
09/24/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG INVESTMENT INCOME	B	0.00	5.01	0.00	5.01	0.0	0.00
09/24/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG STRATEGIC INCOME FD A	B	0.00	4.92	0.00	4.92	0.0	0.00
09/24/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG STRATEGIC MUNI INCOME	B	0.00	2.45	0.00	2.45	0.0	0.00
09/24/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG STRATEGIC MUNI INCOME	B	0.00	5.53	0.00	5.53	0.0	0.00
09/24/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG STRATEGIC MUNI INCOME	B	0.00	7.35	0.00	7.35	0.0	0.00
09/24/2018 mfc513730	DPM BRISKIN 513730	MFT TRANSAMERICA SMALL/MID CAP	B	0.00	0.86	0.00	0.86	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$92.38	\$0.00	\$92.38		\$0.00
*** CLEARING TRANSACTIONS TOTAL ***				\$30,526.30	\$452.40	\$360.00	\$92.40		\$0.00

**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	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

<b>Net Commissions</b>	<b>\$0.00</b>
<b>Year-to-date Commissions</b>	<b>\$0.00</b>