

COMMISSION STATEMENT November 30, 2018

JEFFREY KING-D379

BROKER #: D379

BRANCH: DMN

, TX

COMMISSION STATEMENT for JEFFREY KING-D379

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
11/19/2018 676965752	STADLER, DAVID ROY	MF AMCAP FUND-A	S	-18,218.52	0.00	5.00	-5.00	87.5	-4.38
11/19/2018 676965752	STADLER, DAVID ROY	MF GROWTH AND INCOME PORTFOLIO-A	S	-16,358.18	0.00	5.00	-5.00	87.5	-4.38
11/19/2018 676965752	STADLER, DAVID ROY	MF INVESCO EQUALLY-WGHTD S&P 500	S	-44,484.77	0.00	5.00	-5.00	87.5	-4.38
11/28/2018 676965752	STADLER, DAVID ROY	MF DODGE & COX STOCK FUND	S	30,002.45	0.00	5.00	-5.00	87.5	-4.38
11/28/2018 676965752	STADLER, DAVID ROY	MF FRANKLIN DYNATECH FUND CLASS A	S	45,002.45	2,250.00	5.00	2,245.00	87.5	1,964.38
11/28/2018 676965752	STADLER, DAVID ROY	MF GLOBAL OPPORTUNITIES A	S	31,002.45	1,472.50	5.00	1,467.50	87.5	1,284.06
11/28/2018 676965752	STADLER, DAVID ROY	MF MORGAN STANLEY US LARGE CAP FD	S	30,002.45	1,350.00	5.00	1,345.00	87.5	1,176.88
11/16/2018 676980812	STADLER, DAVID ROY	MF AMERICAN FD BALANCED FD CL F3	S	-13,411.84	0.00	5.00	-5.00	87.5	-4.38
11/16/2018 676980812	STADLER, DAVID ROY	MF AMERICAN FDS CAP INCOME BLDR FD	S	-22,104.58	0.00	5.00	-5.00	87.5	-4.38
11/16/2018 676980812	STADLER, DAVID ROY	MF INVESCO CORE PLUS BOND FD Y	S	-11,069.00	0.00	5.00	-5.00	87.5	-4.38
11/16/2018 676980812	STADLER, DAVID ROY	MF INVESCO EQUALLY-WGHTD S&P 500	S	-60,668.51	0.00	5.00	-5.00	87.5	-4.38
11/28/2018 676980812	STADLER, DAVID ROY	MF CLEARBRIDGE SLCT FD CL A	S	35,002.45	1,487.50	5.00	1,482.50	87.5	1,297.19
11/28/2018 676980812	STADLER, DAVID ROY	MF GLOBAL OPPORTUNITIES A	S	34,002.45	1,615.00	5.00	1,610.00	87.5	1,408.75
11/28/2018 676980812	STADLER, DAVID ROY	MF MORGAN STANLEY INST GBL OPPTY	S	35,002.45	1,575.00	5.00	1,570.00	87.5	1,373.75
* MUTUAL FUNDS SUBTOTAL *				\$53,701.75	\$9,750.00	\$70.00	\$9,680.00		\$8,469.97
<u>PRODUCT CATEGORY: STOCKS</u>									
11/19/2018 676965752	STADLER, DAVID ROY	S BRISTOL MYERS SQUIBB COMPANY	S	-12,625.92	147.00	15.00	132.00	87.5	115.50
11/19/2018 676965752	STADLER, DAVID ROY	S CENTURYLINK INC FORMERLY	S	-9,645.68	117.00	15.00	102.00	87.5	89.25
11/19/2018 676965752	STADLER, DAVID ROY	S QUALCOMM INC	S	-10,239.98	120.00	15.00	105.00	87.5	91.88
11/19/2018 676965752	STADLER, DAVID ROY	S VODAFONE GROUP PLC NEW - SPON	S	-9,966.35	120.00	15.00	105.00	87.5	91.88
11/19/2018 676965752	STADLER, DAVID ROY	S WELLTOWER INC	S	-18,340.32	205.00	15.00	190.00	87.5	166.25
11/16/2018 676980812	STADLER, DAVID ROY	S CENTURYLINK INC FORMERLY	S	-7,617.39	95.00	15.00	80.00	87.5	70.00
11/16/2018 676980812	STADLER, DAVID ROY	S VMWARE INC-CLASS A COM	S	-27,476.79	298.00	15.00	283.00	87.5	247.63
* STOCKS SUBTOTAL *				\$-95,912.43	\$1,102.00	\$105.00	\$997.00		\$872.39
*** CLEARING TRANSACTIONS TOTAL ***				\$-42,210.68	\$10,852.00	\$175.00	\$10,677.00		\$9,342.36

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ADJUSTMENTS TRANSACTIONSBROKER: #0

11/30/2018	:	BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
11/30/2018	:	E&O		0.00	0.00	0.00	0.00		-130.00
11/30/2018	:	E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
* SUBTOTAL *				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-185.00</u>
*** ADJUSTMENTS TRANSACTIONS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-185.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$9,342.36
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-185.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$9,157.36
Year-to-date Commissions	\$9,157.36