

COMMISSION STATEMENT

October 31, 2018

GRAUMANN-268246 DPM

BROKER #:

BRANCH: DWA

, TX

COMMISSION STATEMENT for GRAUMANN-268246 DPM

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
CLEARING TRANSACTIONS											
PRODUCT CATEGORY: MUTUAL FUNDS											
10/05/2018	184300993	COOLEY, MELANY	MF	THE INCOME FUND OF AMERICA-A	S	-10,684.91	0.00	5.00	-5.00	0.0	0.00
09/28/2018	184303566	COOLEY, MELANY	MF	AMCAP FUND-A	S	-37,206.10	0.00	5.00	-5.00	0.0	0.00
09/28/2018	184303566	COOLEY, MELANY	MF	THE INCOME FUND OF AMERICA-A	S	-25,968.19	0.00	5.00	-5.00	0.0	0.00
10/03/2018	184384688	COOLEY, SCOTT	MF	FIDELITY GLBL HIGH INCM FD	S	-9,691.96	0.00	5.00	-5.00	0.0	0.00
10/03/2018	184384688	COOLEY, SCOTT	MF	OPPENHEIMER STEELPATH MLP	S	-19,646.24	0.00	5.00	-5.00	0.0	0.00
10/18/2018	184384688	COOLEY, SCOTT	MF	CREDIT SUISSE FLOATING RATE	S	25,002.45	0.00	5.00	-5.00	0.0	0.00
10/23/2018	184384688	COOLEY, SCOTT	MF	FIDELITY GLBL HIGH INCM FD	S	-34.63	0.00	5.00	-5.00	0.0	0.00
10/08/2018	184387613	COOLEY, SCOTT	MF	VANGUARD HIGH YLD CORP FD	S	-59,353.94	0.00	5.00	-5.00	0.0	0.00
10/18/2018	184390252	COOLEY, SCOTT	MF	OPPENHEIMER STEELPATH MLP	S	-48,579.43	0.00	5.00	-5.00	0.0	0.00
10/19/2018	184390252	COOLEY, SCOTT	MF	FIDELITY ADVISOR FLOAT RATE HI	S	50,002.45	0.00	5.00	-5.00	0.0	0.00
* MUTUAL FUNDS SUBTOTAL *						\$-136,160.50	\$0.00	\$50.00	\$-50.00		\$0.00

PRODUCT CATEGORY: STOCKS

10/23/2018	184105035	CUMBO, ROGER	S	INVESCO EXCHANGE-TRADED FD TR	B	5,054.72	15.00	15.00	0.00	0.0	0.00
10/23/2018	184300993	COOLEY, MELANY	S	VANGUARD MID-CAP GROWTH INDEX	B	4,525.45	15.00	15.00	0.00	0.0	0.00
10/26/2018	184300993	COOLEY, MELANY	S	SCHWAB INTERNATIONAL SMALL-CAP	B	3,457.63	15.00	15.00	0.00	0.0	0.00
10/11/2018	184303566	COOLEY, MELANY	S	FIRST TR DOW J SELECT MICROCAP	B	9,650.45	15.00	15.00	0.00	0.0	0.00
10/11/2018	184303566	COOLEY, MELANY	S	FIRST TRUST LARGE CAP GROWTH	B	19,293.44	15.00	15.00	0.00	0.0	0.00
10/11/2018	184303566	COOLEY, MELANY	S	VANGUARD FINANCIALS ETF	B	24,103.25	15.00	15.00	0.00	0.0	0.00
10/19/2018	184303566	COOLEY, MELANY	S	FIRST TRUST VII GLOBAL TACTICAL	B	9,976.45	15.00	15.00	0.00	0.0	0.00
10/19/2018	184303566	COOLEY, MELANY	S	VANGUARD GROUP INC (FORMELY)	B	19,968.25	15.00	15.00	0.00	0.0	0.00
10/23/2018	184303566	COOLEY, MELANY	S	VANGUARD MID-CAP GROWTH INDEX	B	15,469.79	15.00	15.00	0.00	0.0	0.00
10/26/2018	184303566	COOLEY, MELANY	S	SCHWAB INTERNATIONAL SMALL-CAP	B	3,457.63	15.00	15.00	0.00	0.0	0.00
10/05/2018	184384688	COOLEY, SCOTT	S	ENTERPRISE PRODS PARTNERS L	S	-2,220.57	84.62	15.00	69.62	0.0	0.00
10/05/2018	184384688	COOLEY, SCOTT	S	ENTERPRISE PRODS PARTNERS L	S	2,220.57	-84.62	-15.00	-69.62	0.0	0.00
10/05/2018	184384688	COOLEY, SCOTT	S	ENTERPRISE PRODS PARTNERS L	S	-2,305.19	0.00	15.00	-15.00	0.0	0.00
10/05/2018	184384688	COOLEY, SCOTT	S	PIMCO DYNAMIC INCOME FUND	S	-5,496.26	15.00	15.00	0.00	0.0	0.00
10/18/2018	184384688	COOLEY, SCOTT	S	ISHARES INTEREST RATE HEDGED	B	29,614.91	15.00	15.00	0.00	0.0	0.00
10/23/2018	184384688	COOLEY, SCOTT	S	INVESCO EXCHANGE-TRADED FD TR	B	29,879.88	15.00	15.00	0.00	0.0	0.00
10/26/2018	184384688	COOLEY, SCOTT	S	INVESCO TR II S&P 500 HIGH	B	10,854.65	15.00	15.00	0.00	0.0	0.00
10/03/2018	184390252	COOLEY, SCOTT	S	CHATHAM LODGING TRUST	S	-11,094.55	15.00	15.00	0.00	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
10/03/2018 184390252	COOLEY, SCOTT	S GABELLI DIVIDEND & INCOME TRUST	S	-12,107.49	15.00	15.00	0.00	0.0	0.00
10/19/2018 184390252	COOLEY, SCOTT	S SCHWAB U S TIPS ETF	B	9,857.42	15.00	15.00	0.00	0.0	0.00
10/26/2018 184390252	COOLEY, SCOTT	S INVESCO TR II S&P 500 HIGH	B	8,879.08	15.00	15.00	0.00	0.0	0.00
10/11/2018 306825389	GEERDES, MARILYN	S FIRST TRUST MID CAP GROWTH	B	7,230.95	15.00	15.00	0.00	0.0	0.00
10/11/2018 306825389	GEERDES, MARILYN	S VANGUARD DIVIDEND APPRECIATION	B	7,937.44	15.00	15.00	0.00	0.0	0.00
10/11/2018 306825389	GEERDES, MARILYN	S VANGUARD INFORMATION TECHNOLOGY	B	4,613.95	15.00	15.00	0.00	0.0	0.00
10/08/2018 676716626	SILVER, KEVIN	S MICROSOFT CORPORATION	B	19,919.33	15.00	15.00	0.00	0.0	0.00
10/11/2018 676716626	SILVER, KEVIN	S FIRST TRUST MID CAP GROWTH	B	9,291.95	15.00	15.00	0.00	0.0	0.00
10/11/2018 676716626	SILVER, KEVIN	S MICROSOFT CORPORATION	B	10,759.25	15.00	15.00	0.00	0.0	0.00
10/11/2018 676716626	SILVER, KEVIN	S VANGUARD DIVIDEND APPRECIATION	B	10,542.43	15.00	15.00	0.00	0.0	0.00
10/23/2018 676716626	SILVER, KEVIN	S SPDR DOW JONES INDUSTRIAL	B	10,050.61	15.00	15.00	0.00	0.0	0.00
10/23/2018 676716626	SILVER, KEVIN	S SPDR S&P 600 SMALL CAP VALUE	B	10,206.20	15.00	15.00	0.00	0.0	0.00
10/23/2018 676716626	SILVER, KEVIN	S VANGUARD REIT ETF	B	10,022.24	15.00	15.00	0.00	0.0	0.00
10/24/2018 676716626	SILVER, KEVIN	S FIRST TRUST MID CAP GROWTH	B	10,037.43	15.00	15.00	0.00	0.0	0.00
10/25/2018 676716626	SILVER, KEVIN	S ISHARES CURRENCY HEDGED MSCI	B	9,899.04	15.00	15.00	0.00	0.0	0.00
10/25/2018 676716626	SILVER, KEVIN	S VANGUARD FTSE EMERGING MARKETS	B	10,177.17	15.00	15.00	0.00	0.0	0.00
10/25/2018 707192090	THOMPSON, DR ROBERT	S FIRST TRUST LARGE CAP GROWTH	B	9,851.66	15.00	15.00	0.00	0.0	0.00
10/26/2018 707192090	THOMPSON, DR ROBERT	S VANGUARD MID-CAP GROWTH INDEX	B	7,417.84	15.00	15.00	0.00	0.0	0.00

* STOCKS SUBTOTAL *

\$320,997.00

\$495.00

\$510.00

\$-15.00

\$0.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/19/2018 mfc268246	VARIOUS,	MFT AMCAP FUND-A	B	0.00	0.76	0.00	0.76	0.0	0.00
10/19/2018 mfc268246	VARIOUS,	MFT CAPITAL INCOME BUILDER-A	B	0.00	1.03	0.00	1.03	0.0	0.00
10/19/2018 mfc268246	VARIOUS,	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	1.12	0.00	1.12	0.0	0.00
10/19/2018 mfc268246	VARIOUS,	MFT MERK HARD CURRENCY FD INV CL	B	0.00	3.30	0.00	3.30	0.0	0.00
10/19/2018 mfc268246	VARIOUS,	MFT THE INCOME FUND OF AMERICA-A	B	0.00	0.53	0.00	0.53	0.0	0.00
10/19/2018 mfc268246	VARIOUS,	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	1.39	0.00	1.39	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$8.13	\$0.00	\$8.13		\$0.00
*** CLEARING TRANSACTIONS TOTAL ***				\$184,836.50	\$503.13	\$560.00	\$-56.87		\$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

Net Commissions	\$0.00
Year-to-date Commissions	\$0.00