

COMMISSION STATEMENT September 30, 2018

ELLIS DPM

 BROKER #:
 BRANCH: DPM

, TX

COMMISSION STATEMENT for ELLIS DPM

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
<u>CLEARING TRANSACTIONS</u>											
<u>PRODUCT CATEGORY: STOCKS</u>											
09/07/2018	768389426	VIRGINA F NITZ	S	SPDR PORTFOLIO EMERGING MARKETS	S	-22,206.26	15.00	15.00	0.00	0.0	0.00
09/07/2018	768389426	VIRGINA F NITZ	S	SPDR PORTFOLIO EMERGING MARKETS	S	22,206.26	-15.00	-15.00	0.00	0.0	0.00
09/07/2018	768389426	VIRGINA F NITZ	S	SPDR PORTFOLIO EMERGING MARKETS	S	-22,226.26	15.00	15.00	0.00	0.0	0.00
09/24/2018	768389426	VIRGINA F NITZ	S	SPDR PORTFOLIO S&P 500 HIGH	B	4,009.40	15.00	15.00	0.00	0.0	0.00
09/24/2018	768389426	VIRGINA F NITZ	S	SPDR PORTFOLIO S&P GROWTH ETF	B	12,000.02	15.00	15.00	0.00	0.0	0.00
09/24/2018	768389426	VIRGINA F NITZ	S	SPDR SER TR RUSSELL 2000 ETF	B	11,991.90	15.00	15.00	0.00	0.0	0.00
* STOCKS SUBTOTAL *					\$5,775.06	\$60.00	\$60.00	\$0.00			\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>											
09/21/2018	mfc189886	ELLIS-D335, VARIOUS	MFT MAINSTAY LARGE CAP GROWTH FUND	B	0.00	0.15	0.00	0.15	0.0	0.00	
09/21/2018	mfc189886	ELLIS-D335, VARIOUS	MFT NATIXIS GATEWAY FD	B	0.00	0.77	0.00	0.77	0.0	0.00	
09/21/2018	mfc189886	ELLIS-D335, VARIOUS	MFT PIMCO COMMODITY REAL RETURN	B	0.00	0.06	0.00	0.06	0.0	0.00	
09/21/2018	mfc189886	ELLIS-D335, VARIOUS	MFT PIONEER CULLEN VALUE FUND CLASS	B	0.00	0.19	0.00	0.19	0.0	0.00	
09/21/2018	mfc189886	ELLIS-D335, VARIOUS	MFT PUTNAM 746802859	B	0.00	0.10	0.00	0.10	0.0	0.00	
09/21/2018	mfc189886	ELLIS-D335, VARIOUS	MFT PUTNAM CAPITAL SPECTRUM FD A	B	0.00	0.93	0.00	0.93	0.0	0.00	
09/21/2018	mfc189886	ELLIS-D335, VARIOUS	MFT ROYCE SMALLER CO GROWTH FD INV	B	0.00	0.21	0.00	0.21	0.0	0.00	
09/21/2018	mfc189886	ELLIS-D335, VARIOUS	MFT VAN ECK GLOBAL HARD ASSETS FD	B	0.00	0.08	0.00	0.08	0.0	0.00	
09/24/2018	mfc189886	ELLIS-D335, VARIOUS	MFT MAINSTAY LARGE CAP GROWTH FUND	B	0.00	0.14	0.00	0.14	0.0	0.00	
09/24/2018	mfc189886	ELLIS-D335, VARIOUS	MFT NATIXIS GATEWAY FD	B	0.00	0.73	0.00	0.73	0.0	0.00	
09/24/2018	mfc189886	ELLIS-D335, VARIOUS	MFT PIMCO COMMODITY REAL RETURN	B	0.00	0.05	0.00	0.05	0.0	0.00	
09/24/2018	mfc189886	ELLIS-D335, VARIOUS	MFT PIONEER CULLEN VALUE FUND CLASS	B	0.00	0.18	0.00	0.18	0.0	0.00	
09/24/2018	mfc189886	ELLIS-D335, VARIOUS	MFT PUTNAM 746802859	B	0.00	0.10	0.00	0.10	0.0	0.00	
09/24/2018	mfc189886	ELLIS-D335, VARIOUS	MFT PUTNAM CAPITAL SPECTRUM FD A	B	0.00	0.89	0.00	0.89	0.0	0.00	
09/24/2018	mfc189886	ELLIS-D335, VARIOUS	MFT ROYCE SMALLER CO GROWTH FD INV	B	0.00	0.21	0.00	0.21	0.0	0.00	
09/24/2018	mfc189886	ELLIS-D335, VARIOUS	MFT VAN ECK GLOBAL HARD ASSETS FD	B	0.00	0.07	0.00	0.07	0.0	0.00	
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$4.86	\$0.00	\$4.86		\$0.00	
*** CLEARING TRANSACTIONS TOTAL ***					\$5,775.06	\$64.86	\$60.00	\$4.86		\$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