

COMMISSION STATEMENT

November 30, 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											
11/01/2018	184300993	COOLEY, MELANY	MF	CAPITAL INCOME BUILDER-A	S	-10,003.64	0.00	5.00	-5.00	0.0	0.00
11/06/2018	184300993	COOLEY, MELANY	MF	CAPITAL WORLD GROWTH AND INCOME	S	-10,538.99	0.00	5.00	-5.00	0.0	0.00
11/07/2018	184300993	COOLEY, MELANY	MF	WASHINGTON MUTUAL INVESTORS	S	-13,426.22	0.00	5.00	-5.00	0.0	0.00
11/01/2018	184303566	COOLEY, MELANY	MF	CAPITAL INCOME BUILDER-A	S	-24,312.93	0.00	5.00	-5.00	0.0	0.00
11/01/2018	184303566	COOLEY, MELANY	MF	VANGUARD 500 INDEX FD ADMIRAL	S	-16,471.29	0.00	5.00	-5.00	0.0	0.00
11/06/2018	184303566	COOLEY, MELANY	MF	CAPITAL WORLD GROWTH AND INCOME	S	-25,553.73	0.00	5.00	-5.00	0.0	0.00
11/01/2018	184384688	COOLEY, SCOTT	MF	VANGUARD 500 INDEX FUND	S	-5,031.78	0.00	5.00	-5.00	0.0	0.00
11/06/2018	184384688	COOLEY, SCOTT	MF	VANGUARD HIGH DIV YIELD INDEX	S	-9,272.37	0.00	5.00	-5.00	0.0	0.00
11/08/2018	184384688	COOLEY, SCOTT	MF	JANUS PERKINS MIDCAP VALUE FD	S	-10,351.80	0.00	5.00	-5.00	0.0	0.00
11/01/2018	184390252	COOLEY, SCOTT	MF	VANGUARD HIGH DIV YIELD INDEX	S	-5,839.10	0.00	5.00	-5.00	0.0	0.00
11/06/2018	184390252	COOLEY, SCOTT	MF	VANGUARD 500 INDEX FD ADMIRAL	S	-22,131.85	0.00	5.00	-5.00	0.0	0.00
* MUTUAL FUNDS SUBTOTAL *						\$-152,933.70	\$0.00	\$55.00	\$-55.00		\$0.00

PRODUCT CATEGORY: STOCKS

11/06/2018	184300993	COOLEY, MELANY	S	VANGUARD FTSE EMERGING MARKETS	B	14,920.52	15.00	15.00	0.00	0.0	0.00
11/02/2018	184303566	COOLEY, MELANY	S	SCHWAB INTERNATIONAL SMALL-CAP	B	4,934.44	15.00	15.00	0.00	0.0	0.00
11/02/2018	184303566	COOLEY, MELANY	S	SCHWAB INTERNATIONAL EQUITY ETF	B	14,976.65	15.00	15.00	0.00	0.0	0.00
11/06/2018	184303566	COOLEY, MELANY	S	SCHWAB US REIT ETF	B	25,033.37	15.00	15.00	0.00	0.0	0.00
11/06/2018	184384688	COOLEY, SCOTT	S	INVESCO PREFERRED ETF	B	14,036.05	15.00	15.00	0.00	0.0	0.00
11/08/2018	184384688	COOLEY, SCOTT	S	INVESCO PREFERRED ETF	B	9,914.66	15.00	15.00	0.00	0.0	0.00
11/02/2018	184390252	COOLEY, SCOTT	S	INVESCO PREFERRED ETF	B	7,980.12	15.00	15.00	0.00	0.0	0.00
11/06/2018	184390252	COOLEY, SCOTT	S	INVESCO PREFERRED ETF	B	19,993.96	15.00	15.00	0.00	0.0	0.00
11/05/2018	676716626	SILVER, KEVIN	S	GENERAL ELECTRIC COMPANY	B	19,758.49	15.00	15.00	0.00	0.0	0.00
				* STOCKS SUBTOTAL *		\$131,548.26	\$135.00	\$135.00	\$0.00		\$0.00

PRODUCT CATEGORY: MISCELLANEOUS

11/02/2018	a03268246	VARIOUS, GRAUMANN	MI	MUTUAL FUND MISC FEE 184303566	S	0.00	15.00	0.00	15.00	0.0	0.00
11/02/2018	a03268246	VARIOUS, GRAUMANN	MI	MUTUAL FUND MISC FEE 184384688	S	0.00	15.00	0.00	15.00	0.0	0.00
11/02/2018	a03268246	VARIOUS, GRAUMANN	MI	MUTUAL FUND MISC FEE 184300993	S	0.00	15.00	0.00	15.00	0.0	0.00
11/02/2018	a03268246	VARIOUS, GRAUMANN	MI	MUTUAL FUND MISC FEE 184303566	S	0.00	15.00	0.00	15.00	0.0	0.00
11/02/2018	a03268246	VARIOUS, GRAUMANN	MI	MUTUAL FUND MISC FEE 184390252	S	0.00	15.00	0.00	15.00	0.0	0.00
11/07/2018	a03268246	VARIOUS, GRAUMANN	MI	MUTUAL FUND MISC FEE 184390252	S	0.00	15.00	0.00	15.00	0.0	0.00

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11/07/2018	a03268246	VARIOUS, GRAUMANN	MI	MUTUAL FUND MISC FEE 184384688	S	0.00	15.00	0.00	15.00	0.0	0.00
11/07/2018	a03268246	VARIOUS, GRAUMANN	MI	MUTUAL FUND MISC FEE 184300993	S	0.00	15.00	0.00	15.00	0.0	0.00
11/07/2018	a03268246	VARIOUS, GRAUMANN	MI	MUTUAL FUND MISC FEE 184303566	S	0.00	15.00	0.00	15.00	0.0	0.00
11/09/2018	a03268246	VARIOUS, GRAUMANN	MI	MUTUAL FUND MISC FEE 184384688	S	0.00	15.00	0.00	15.00	0.0	0.00
* MISCELLANEOUS SUBTOTAL *				\$0.00	\$150.00	\$0.00	\$150.00		\$0.00		

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

11/21/2018	mfc268246	VARIOUS,	MFT	AMCAP FUND-A	B	0.00	2.87	0.00	2.87	0.0	0.00
11/21/2018	mfc268246	VARIOUS,	MFT	CAPITAL INCOME BUILDER-A	B	0.00	2.07	0.00	2.07	0.0	0.00
11/21/2018	mfc268246	VARIOUS,	MFT	CAPITAL INCOME BUILDER-A	B	0.00	5.19	0.00	5.19	0.0	0.00
11/21/2018	mfc268246	VARIOUS,	MFT	CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.19	0.00	2.19	0.0	0.00
11/21/2018	mfc268246	VARIOUS,	MFT	CAPITAL WORLD GROWTH AND INCOME	B	0.00	5.48	0.00	5.48	0.0	0.00
11/21/2018	mfc268246	VARIOUS,	MFT	MERK HARD CURRENCY FD INV CL	B	0.00	3.39	0.00	3.39	0.0	0.00
11/21/2018	mfc268246	VARIOUS,	MFT	NEW PERSPECTIVE FUND-A	B	0.00	2.57	0.00	2.57	0.0	0.00
11/21/2018	mfc268246	VARIOUS,	MFT	NEW PERSPECTIVE FUND-A	B	0.00	6.57	0.00	6.57	0.0	0.00
11/21/2018	mfc268246	VARIOUS,	MFT	OPPENHEIMER STEELPATH MLP	B	0.00	0.27	0.00	0.27	0.0	0.00
11/21/2018	mfc268246	VARIOUS,	MFT	OPPENHEIMER STEELPATH MLP	B	0.00	1.00	0.00	1.00	0.0	0.00
11/21/2018	mfc268246	VARIOUS,	MFT	THE INCOME FUND OF AMERICA-A	B	0.00	0.22	0.00	0.22	0.0	0.00
11/21/2018	mfc268246	VARIOUS,	MFT	WASHINGTON MUTUAL INVESTORS	B	0.00	2.70	0.00	2.70	0.0	0.00
11/21/2018	mfc268246	VARIOUS,	MFT	WASHINGTON MUTUAL INVESTORS	B	0.00	6.95	0.00	6.95	0.0	0.00
				* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$41.47	\$0.00	\$41.47		\$0.00
				*** CLEARING TRANSACTIONS TOTAL ***		\$-21,385.44	\$326.47	\$190.00	\$136.47		\$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