

COMMISSION STATEMENT October 31, 2018

 KENNETH MARX-D376
 2419 GENESEO OAKS

 BROKER #: D376
 BRANCH: DMN

NEW BRAUNFELS, TX 78132

COMMISSION STATEMENT for KENNETH MARX-D376

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|----------------|------------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | | |
| 10/08/2018 00777016396 | DECKER, SHARON | MF INVESCO EUROPEAN GROWTH FUND | B | 1,607.70 | 12.06 | 0.00 | 12.06 | 70.0 | 8.44 |
| 10/08/2018 00777016396 | DECKER, SHARON | MF INVESCO AMERICAN FRANCHISE FUND | B | 535.90 | 4.02 | 0.00 | 4.02 | 70.0 | 2.81 |
| 10/08/2018 05071263221 | DECKER, SHARON | MF AIM GLOBAL AGGRESSIVE GROWTH | B | 1,607.70 | 36.17 | 0.00 | 36.17 | 70.0 | 25.32 |
| 10/08/2018 05071263221 | DECKER, SHARON | MF INVESCO CHARTER FUND - CLASS R | B | 1,607.70 | 12.06 | 0.00 | 12.06 | 70.0 | 8.44 |
| * MUTUAL FUNDS SUBTOTAL * | | | | <u>\$5,359.00</u> | <u>\$64.31</u> | <u>\$0.00</u> | <u>\$64.31</u> | | <u>\$45.01</u> |
| *** DIRECT TRANSACTIONS TOTAL *** | | | | <u>\$5,359.00</u> | <u>\$64.31</u> | <u>\$0.00</u> | <u>\$64.31</u> | | <u>\$45.01</u> |

ADJUSTMENTS TRANSACTIONS

BROKER: #0

| | | | | | | |
|--|------------------|---------------|---------------|---------------|---------------|------------------|
| 10/31/2018 | : E&O | 0.00 | 0.00 | 0.00 | 0.00 | -130.00 |
| 10/31/2018 | : 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>\$-155.00</u> |
| *** ADJUSTMENTS TRANSACTIONS TOTAL *** | | <u>\$0.00</u> | <u>\$0.00</u> | <u>\$0.00</u> | <u>\$0.00</u> | <u>\$-155.00</u> |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-----------|
| Broker Transactions | \$45.01 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-155.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

| | |
|---------------------------------|-------------------|
| Balance Forward | \$-109.99 |
| Year-to-date Commissions | \$2,757.37 |