

COMMISSION STATEMENT

October 15, 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	
DIRECT TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
09/17/2018	00000558055	WHITMIRE, GREGORY MF	THE HARTFORD SMALL COMPANY	B	50.00	2.00	0.00	2.00	70.0	1.40
09/17/2018	00000558055	WHITMIRE, GREGORY MF	THE HARTFORD CAPITAL	B	50.00	2.00	0.00	2.00	70.0	1.40
09/17/2018	00000558055	WHITMIRE, GREGORY MF	THE HARTFORD INTL SMALL COMPANY	B	50.00	2.00	0.00	2.00	70.0	1.40
09/17/2018	00000558055	WHITMIRE, GREGORY MF	THE HARTFORD SMALL CAP GROWTH	B	50.00	2.00	0.00	2.00	70.0	1.40
09/24/2018	00777016396	DECKER, SHARON MF	INVESCO AMERICAN FRANCHISE FUND	B	500.00	3.75	0.00	3.75	70.0	2.63
09/24/2018	00777016396	DECKER, SHARON MF	INVESCO EUROPEAN GROWTH FUND	B	1,500.00	11.25	0.00	11.25	70.0	7.88
10/01/2018	00777072207	MILLER, RICHARD MF	AIM MODERATE ALLOCATION - CLASS	B	123.75	3.71	0.00	3.71	70.0	2.60
10/01/2018	00777072207	MILLER, RICHARD MF	INVESCO EQUITY AND INCOME FUND	B	127.50	3.83	0.00	3.83	70.0	2.68
10/01/2018	00777072217	OLIPHINT, JO MF	AIM INTERMEDIATE GOVERNMENT FD	B	300.00	9.75	0.00	9.75	70.0	6.83
10/01/2018	00777072217	OLIPHINT, JO MF	AIM INTERMEDIATE GOVERNMENT FD	B	62.41	2.03	0.00	2.03	70.0	1.42
10/01/2018	00777186284	WEATHERFORD, MF	INVESCO BALANCED-RISK RTRMNT	B	350.00	10.50	0.00	10.50	70.0	7.35
10/01/2018	00777186284	WEATHERFORD, MF	INVESCO BALANCED-RISK RTRMNT	B	117.03	3.51	0.00	3.51	70.0	2.46
09/24/2018	05071263221	DECKER, SHARON MF	AIM GLOBAL AGGRESSIVE GROWTH	B	1,500.00	33.75	0.00	33.75	70.0	23.63
09/24/2018	05071263221	DECKER, SHARON MF	INVESCO CHARTER FUND - CLASS R	B	1,500.00	11.25	0.00	11.25	70.0	7.88
* MUTUAL FUNDS SUBTOTAL *					\$6,280.69	\$101.33	\$0.00	\$101.33		\$70.96
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
09/30/2018	(None)	VARIOUS, MARX-D376	MFT HARTFORD MUTUAL FUIND	B	0.00	17.82	0.00	17.82	70.0	12.47
10/01/2018	00777016396	DECKER, SHARON	MFT AIM GOLD & PRECIOUS METALS FD -	B	0.00	22.51	0.00	22.51	70.0	15.76
10/01/2018	00777016396	DECKER, SHARON	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	117.46	0.00	117.46	70.0	82.22
10/01/2018	00777016396	DECKER, SHARON	MFT INVESCO EUROPEAN GROWTH FUND	B	0.00	72.35	0.00	72.35	70.0	50.65
10/01/2018	00777072207	MILLER, RICHARD	MFT AIM CASH RESERVE SHARES	B	0.00	1.93	0.00	1.93	70.0	1.35
10/01/2018	00777072207	MILLER, RICHARD	MFT AIM MODERATE ALLOCATION - CLASS	B	0.00	23.28	0.00	23.28	70.0	16.30
10/01/2018	00777072207	MILLER, RICHARD	MFT GROWTH ALLOCATION A	B	123.75	3.71	0.00	3.71	70.0	2.60
10/01/2018	00777072207	MILLER, RICHARD	MFT GROWTH ALLOCATION A	B	0.00	24.09	0.00	24.09	70.0	16.86
10/01/2018	00777072207	MILLER, RICHARD	MFT INVESCO EQUITY AND INCOME FUND	B	0.00	26.59	0.00	26.59	70.0	18.61
10/01/2018	00777072217	OLIPHINT, JO	MFT AIM INTERMEDIATE GOVERNMENT FD	B	0.00	29.60	0.00	29.60	70.0	20.72
10/01/2018	00777186284	WEATHERFORD,	MFT INVESCO BALANCED-RISK RTRMNT	B	0.00	1.18	0.00	1.18	70.0	0.83
10/01/2018	05071263221	DECKER, SHARON	MFT AIM GLOBAL AGGRESSIVE GROWTH	B	0.00	42.16	0.00	42.16	70.0	29.51
10/01/2018	05071263221	DECKER, SHARON	MFT INVESCO CHARTER FUND - CLASS R	B	0.00	112.72	0.00	112.72	70.0	78.90
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$123.75	\$495.40	\$0.00	\$495.40		\$346.78

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>									
09/24/2018 (None)	BATULA, PRESTON	VAT VOYA	B	0.00	114.96	0.00	114.96	70.0	80.47
10/05/2018 (None)	SPAULDING, CRAIG	VAT AXA LIFE	B	0.00	2,962.27	0.00	2,962.27	70.0	2,073.59
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *				\$0.00	\$3,077.23	\$0.00	\$3,077.23		\$2,154.06
*** DIRECT TRANSACTIONS TOTAL ***				\$6,404.44	\$3,673.96	\$0.00	\$3,673.96		\$2,571.80

BROKER COMMISSION TOTALS

Broker Transactions	\$2,571.80
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	\$2,571.80
Year-to-date Commissions	\$2,647.38