

COMMISSION STATEMENT

August 31, 2018

BATISTA-073757 DPM

BROKER #:

BRANCH: DWA

, TX

COMMISSION STATEMENT for BATISTA-073757 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: MUTUAL FUNDS</u>									
08/22/2018	646129503	ROTH, MARIA	MF	OPPENHEIMER INTL SMALLMID	S	-4,878.11	0.00	5.00	-5.00 0.0 0.00
08/22/2018	646157117	ROTH, MARIA	MF	MFS GROWTH FUND CL R6 QUAILFIED	S	-1,750.06	0.00	5.00	-5.00 0.0 0.00
08/22/2018	646157117	ROTH, MARIA	MF	OPPENHEIMER INTL SMALLMID	S	-1,800.02	0.00	5.00	-5.00 0.0 0.00
08/22/2018	646157117	ROTH, MARIA	MF	PRUDENTIAL SHORT TERM CORP BD	S	-975.62	0.00	5.00	-5.00 0.0 0.00
08/22/2018	646157117	ROTH, MARIA	MF	PRUDENTIAL TOTAL RETURN BD Q	S	-1,037.70	0.00	5.00	-5.00 0.0 0.00
08/24/2018	677283955	SCHUETTE, DAVID	MF	AMERICAN FDS INVEST CO OF AMER	S	-4,764.78	0.00	5.00	-5.00 0.0 0.00
08/24/2018	677283955	SCHUETTE, DAVID	MF	JOHN HANCOCK INVEST GRADE BOND	S	-11,168.09	0.00	5.00	-5.00 0.0 0.00
08/24/2018	677283955	SCHUETTE, DAVID	MF	JP MORGAN MIDCAP VALUE FD CL L	S	-5,763.84	0.00	5.00	-5.00 0.0 0.00
08/24/2018	677283955	SCHUETTE, DAVID	MF	MFS CORPORATE BOND FD R6	S	-8,259.42	0.00	5.00	-5.00 0.0 0.00
08/24/2018	677292134	SCHUETTE, DAVID	MF	JP MORGAN VALUE ADVANTAGE FD L	B	-1,497.55	0.00	5.00	-5.00 0.0 0.00
08/24/2018	677292134	SCHUETTE, DAVID	MF	OPPENHEIMER INTL SMALLMID	B	-1,497.55	0.00	5.00	-5.00 0.0 0.00
08/24/2018	677292134	SCHUETTE, DAVID	MF	PRUDENTIAL SHORT TERM CORP BD	S	-10,367.16	0.00	5.00	-5.00 0.0 0.00
				* MUTUAL FUNDS SUBTOTAL *		\$-53,759.90	\$0.00	\$60.00	\$-60.00 \$0.00
<u>PRODUCT CATEGORY: STOCKS</u>									
08/22/2018	646129503	ROTH, MARIA	S	CARVANA CO	B	5,099.03	15.00	15.00	0.00 0.0 0.00
08/22/2018	646129503	ROTH, MARIA	S	GLAXOSMITHKLINE PLC ADS	B	5,549.74	15.00	15.00	0.00 0.0 0.00
08/22/2018	646129503	ROTH, MARIA	S	ISHARES MSCI EAFE INDEX FUND	S	-3,485.79	15.00	15.00	0.00 0.0 0.00
08/22/2018	646129503	ROTH, MARIA	S	THE WALT DISNEY CO	S	-2,222.72	15.00	15.00	0.00 0.0 0.00
08/22/2018	646157117	ROTH, MARIA	S	ENBRIDGE INC ISIN CA29250N1050	B	3,633.45	15.00	15.00	0.00 0.0 0.00
08/22/2018	646157117	ROTH, MARIA	S	INNOVATIVE INDUSTRIAL	B	2,886.20	15.00	15.00	0.00 0.0 0.00
08/22/2018	646157117	ROTH, MARIA	S	ISHARES CORE S&P MID-CAP ETF	S	-999.89	15.00	15.00	0.00 0.0 0.00
08/24/2018	677283955	SCHUETTE, DAVID	S	LOCKHEED MARTIN CORPORATION	B	15,020.79	15.00	15.00	0.00 0.0 0.00
08/24/2018	677283955	SCHUETTE, DAVID	S	MICROSOFT CORPORATION	B	15,154.11	15.00	15.00	0.00 0.0 0.00
08/24/2018	677292134	SCHUETTE, DAVID	S	APPLE INC	B	9,069.71	15.00	15.00	0.00 0.0 0.00
08/24/2018	677292134	SCHUETTE, DAVID	S	ISHARE EDGE MSCI MIN VOL USA	S	-1,274.21	15.00	15.00	0.00 0.0 0.00
08/24/2018	677292134	SCHUETTE, DAVID	S	ISHARES CORE S&P 500 ETF	S	-1,425.23	15.00	15.00	0.00 0.0 0.00
08/24/2018	677292134	SCHUETTE, DAVID	S	ISHARES S&P 500 GROWTH INDEX	S	-2,056.00	15.00	15.00	0.00 0.0 0.00
08/24/2018	677292134	SCHUETTE, DAVID	S	MICROSOFT CORPORATION	B	9,110.45	15.00	15.00	0.00 0.0 0.00
				* STOCKS SUBTOTAL *		\$54,059.64	\$210.00	\$210.00	\$0.00 \$0.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
08/21/2018	mfc073757	VARIOUS,							
		MFT AMCAP FUND-A	B	0.00	0.62	0.00	0.62	0.0	0.00
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$0.62	\$0.00	\$0.62		\$0.00
		*** CLEARING TRANSACTIONS TOTAL ***		\$299.74	\$210.62	\$270.00	\$-59.38		\$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