

**COMMISSION STATEMENT**  
**September 30, 2018**

CALDWELL DPM

BROKER #: D113  
BRANCH: DWA

, TX

COMMISSION STATEMENT for CALDWELL DPM

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>CLEARING TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: STOCKS</u></b>									
08/31/2018	462238312 LIPSHIE, SAMUEL	S SPDR S&P INSURANCE ETF	B	3,205.44	15.00	15.00	0.00	0.0	0.00
				<b>* STOCKS SUBTOTAL *</b>	<b>\$3,205.44</b>	<b>\$15.00</b>	<b>\$15.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
09/21/2018	mfc704574 DPM CALDWELL	704574 MFT FRANKLIN TN MUNI BOND FD CL A	B	0.00	0.41	0.00	0.41	0.0	0.00
09/24/2018	mfc704574 DPM CALDWELL	704574 MFT FRANKLIN TN MUNI BOND FD CL A	B	0.00	0.39	0.00	0.39	0.0	0.00
				<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$0.80</b>	<b>\$0.00</b>	<b>\$0.80</b>	<b>\$0.00</b>
				<b>*** CLEARING TRANSACTIONS TOTAL ***</b>	<b>\$3,205.44</b>	<b>\$15.80</b>	<b>\$15.00</b>	<b>\$0.80</b>	<b>\$0.00</b>

**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

<b>Net Commissions</b>	<b>\$0.00</b>
<b>Year-to-date Commissions</b>	<b>\$0.00</b>