

COMMISSION STATEMENT November 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										
10/15/2018	00000558055	WHITMIRE, GREGORY MF	THE HARTFORD SMALL COMPANY	B	50.00	2.00	0.00	2.00	70.0	1.40
10/15/2018	00000558055	WHITMIRE, GREGORY MF	THE HARTFORD CAPITAL	B	50.00	2.00	0.00	2.00	70.0	1.40
10/15/2018	00000558055	WHITMIRE, GREGORY MF	THE HARTFORD INTL SMALL COMPANY	B	50.00	2.00	0.00	2.00	70.0	1.40
10/15/2018	00000558055	WHITMIRE, GREGORY MF	THE HARTFORD SMALL CAP GROWTH	B	50.00	2.00	0.00	2.00	70.0	1.40
11/01/2018	00777072207	MILLER, RICHARD MF	AIM MODERATE ALLOCATION - CLASS	B	123.75	3.71	0.00	3.71	70.0	2.60
11/01/2018	00777072207	MILLER, RICHARD MF	INVESCO EQUITY AND INCOME FUND	B	127.50	3.83	0.00	3.83	70.0	2.68
11/01/2018	00777072217	OLIPHINT, JO MF	AIM INTERMEDIATE GOVERNMENT FD	B	300.00	9.75	0.00	9.75	70.0	6.83
11/01/2018	00777072217	OLIPHINT, JO MF	AIM INTERMEDIATE GOVERNMENT FD	B	56.64	1.84	0.00	1.84	70.0	1.29
11/01/2018	00777186284	WEATHERFORD, MF	INVESCO BALANCED-RISK RTRMNT	B	200.00	6.00	0.00	6.00	70.0	4.20
11/01/2018	00777186284	WEATHERFORD, MF	INVESCO BALANCED-RISK RTRMNT	B	114.95	3.45	0.00	3.45	70.0	2.42
* MUTUAL FUNDS SUBTOTAL *				\$1,122.84	\$36.58	\$0.00	\$36.58		\$25.62	
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
11/01/2018	00777072207	MILLER, RICHARD	MFT GROWTH ALLOCATION A	B	123.75	3.71	0.00	3.71	70.0	2.60
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$123.75	\$3.71	\$0.00	\$3.71		\$2.60	
*** DIRECT TRANSACTIONS TOTAL ***				\$1,246.59	\$40.29	\$0.00	\$40.29		\$28.22	

BROKER COMMISSION TOTALS

Broker Transactions	\$28.22
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-109.99
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	\$-81.77
Year-to-date Commissions	\$2,675.60