

COMMISSION STATEMENT

October 31, 2018

JOE CUMLEY
 9270 Glenwood
 Suite B
 Overland Park, KS 66212

BROKER #: 113971
 BRANCH: D12

COMMISSION STATEMENT for JOE CUMLEY

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
CLEARING TRANSACTIONS											
PRODUCT CATEGORY: STOCKS											
10/05/2018	245627817	ENGLE, LEROY	S	ANNALY CAPITAL MANAGEMENT	S	-8,380.05	178.42	15.00	163.42	85.0	138.91
10/22/2018	646200276	TOLLIVER, JAKE	S	ISHARES RUSSELL MIDCAP VALUE	S	-1,519.10	15.00	15.00	0.00	85.0	0.00
* STOCKS SUBTOTAL *						\$-9,899.15	\$193.42	\$30.00	\$163.42		\$138.91
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
10/05/2018	mfc113971	VARIOUS, CUMLEY	MFT	MADISON AGGRESSIVE ALLOCATION	B	0.00	1.10	0.00	1.10	85.0	0.94
10/19/2018	mfc113971	VARIOUS, CUMLEY	MFT	FRANKLIN INCOME FUND CLASS A	B	0.00	0.56	0.00	0.56	85.0	0.48
10/19/2018	mfc113971	VARIOUS, CUMLEY	MFT	FRANKLIN RISING DIVIDENDS FD	B	0.00	3.71	0.00	3.71	85.0	3.15
10/19/2018	mfc113971	VARIOUS, CUMLEY	MFT	MFS GROWTH ALLOCATION FUND-A	B	0.00	2.10	0.00	2.10	85.0	1.79
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *						\$0.00	\$7.47	\$0.00	\$7.47		\$6.36
*** CLEARING TRANSACTIONS TOTAL ***						\$-9,899.15	\$200.89	\$30.00	\$170.89		\$145.27

OVERRIDE TRANSACTIONS

BROKER: CHELSEA SCHLOSSER-687888 #154

09/28/2018	368461983	CADY, SHERRY	MF	BLK 091928846	S	19,002.45	712.50	2.50	710.00		142.00
09/28/2018	368461983	CADY, SHERRY	MF	CAPITAL APPRECIATION - CLASS A	S	56,502.45	2,118.75	5.00	2,113.75		422.75
09/28/2018	646489023	RUSSELL, PENNY	MF	NATIXIS US DIVERS PORTFOLIO A	B	-1,887.55	0.00	5.00	-5.00		-1.00
09/28/2018	368461983	CADY, SHERRY	MFT	SENTINEL SMALL COMPANY FUND -	S	27,502.45	1,168.75	5.00	1,163.75		232.75
10/19/2018	mfc687888	VARIOUS,	MFT	ALLIANZ OCC RENAISSANCE FUND	B	0.00	3.92	0.00	3.92		0.78
10/19/2018	mfc687888	VARIOUS,	MFT	ALLIANZ OCC RENAISSANCE FUND	B	0.00	3.92	0.00	3.92		0.78
10/19/2018	mfc687888	VARIOUS,	MFT	ALLIANZ OCC RENAISSANCE FUND	B	0.00	7.82	0.00	7.82		1.56
10/19/2018	mfc687888	VARIOUS,	MFT	BLK 091928846	B	0.00	5.08	0.00	5.08		1.02
10/19/2018	mfc687888	VARIOUS,	MFT	BLK 091928846	B	0.00	6.02	0.00	6.02		1.20
10/19/2018	mfc687888	VARIOUS,	MFT	BLK 091928846	B	0.00	6.04	0.00	6.04		1.21
10/19/2018	mfc687888	VARIOUS,	MFT	BLK 091928846	B	0.00	6.54	0.00	6.54		1.31
10/19/2018	mfc687888	VARIOUS,	MFT	BLK 091928846	B	0.00	6.70	0.00	6.70		1.34
10/19/2018	mfc687888	VARIOUS,	MFT	BLK 091928846	B	0.00	7.03	0.00	7.03		1.41
10/19/2018	mfc687888	VARIOUS,	MFT	BLK 091928846	B	0.00	7.27	0.00	7.27		1.45
10/19/2018	mfc687888	VARIOUS,	MFT	BLK 091928846	B	0.00	7.45	0.00	7.45		1.49

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10/19/2018	mfc687888	VARIOUS, MFT BLK 091928846	B	0.00	9.74	0.00	9.74		1.95
10/19/2018	mfc687888	VARIOUS, MFT BLK 091928846	B	0.00	10.02	0.00	10.02		2.00
10/19/2018	mfc687888	VARIOUS, MFT BLK 091928846	B	0.00	11.07	0.00	11.07		2.21
10/19/2018	mfc687888	VARIOUS, MFT BLK 091928846	B	0.00	11.66	0.00	11.66		2.33
10/19/2018	mfc687888	VARIOUS, MFT BLK 091928846	B	0.00	12.35	0.00	12.35		2.47
10/19/2018	mfc687888	VARIOUS, MFT LARGE CAP EQUITY A	B	0.00	3.95	0.00	3.95		0.79
10/19/2018	mfc687888	VARIOUS, MFT LARGE CAP EQUITY A	B	0.00	6.89	0.00	6.89		1.38
10/19/2018	mfc687888	VARIOUS, MFT LARGE CAP EQUITY A	B	0.00	7.29	0.00	7.29		1.46
10/19/2018	mfc687888	VARIOUS, MFT LARGE CAP EQUITY A	B	0.00	7.68	0.00	7.68		1.54
10/19/2018	mfc687888	VARIOUS, MFT LARGE CAP EQUITY A	B	0.00	8.49	0.00	8.49		1.70
10/19/2018	mfc687888	VARIOUS, MFT LARGE CAP EQUITY A	B	0.00	9.14	0.00	9.14		1.83
10/19/2018	mfc687888	VARIOUS, MFT LARGE CAP EQUITY A	B	0.00	11.23	0.00	11.23		2.25
10/19/2018	mfc687888	VARIOUS, MFT LARGE CAP EQUITY A	B	0.00	11.27	0.00	11.27		2.25
10/19/2018	mfc687888	VARIOUS, MFT LARGE CAP EQUITY A	B	0.00	11.81	0.00	11.81		2.36
10/19/2018	mfc687888	VARIOUS, MFT LARGE CAP EQUITY A	B	0.00	11.84	0.00	11.84		2.37
10/19/2018	mfc687888	VARIOUS, MFT LARGE CAP EQUITY A	B	0.00	12.21	0.00	12.21		2.44
10/19/2018	mfc687888	VARIOUS, MFT LARGE CAP EQUITY A	B	0.00	12.62	0.00	12.62		2.52
10/19/2018	mfc687888	VARIOUS, MFT LARGE CAP EQUITY A	B	0.00	27.25	0.00	27.25		5.45
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	1.52	0.00	1.52		0.30
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	2.90	0.00	2.90		0.58
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	3.00	0.00	3.00		0.60
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	4.47	0.00	4.47		0.89
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	4.54	0.00	4.54		0.91
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	4.75	0.00	4.75		0.95
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	4.81	0.00	4.81		0.96
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	4.87	0.00	4.87		0.97
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	5.40	0.00	5.40		1.08
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	6.40	0.00	6.40		1.28
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	6.51	0.00	6.51		1.30
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	7.28	0.00	7.28		1.46
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	7.38	0.00	7.38		1.48
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	7.80	0.00	7.80		1.56
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	7.85	0.00	7.85		1.57
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	8.21	0.00	8.21		1.64
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	9.05	0.00	9.05		1.81
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	10.53	0.00	10.53		2.11
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	11.76	0.00	11.76		2.35
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	14.43	0.00	14.43		2.89
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	16.43	0.00	16.43		3.29
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	19.13	0.00	19.13		3.83
10/19/2018	mfc687888	VARIOUS, MFT NATIXIS US DIVERS PORTFOLIO A	B	0.00	19.90	0.00	19.90		3.98
10/19/2018	mfc687888	VARIOUS, MFT SENTINEL SMALL COMPANY FUND -	B	0.00	4.23	0.00	4.23		0.85
10/19/2018	mfc687888	VARIOUS, MFT SENTINEL SMALL COMPANY FUND -	B	0.00	4.59	0.00	4.59		0.92
10/19/2018	mfc687888	VARIOUS, MFT SENTINEL SMALL COMPANY FUND -	B	0.00	4.84	0.00	4.84		0.97

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10/19/2018	mfc687888	VARIOUS,	MFT SENTINEL SMALL COMPANY FUND -	B	0.00	4.98	0.00	4.98	1.00
10/19/2018	mfc687888	VARIOUS,	MFT SENTINEL SMALL COMPANY FUND -	B	0.00	5.08	0.00	5.08	1.02
10/19/2018	mfc687888	VARIOUS,	MFT SENTINEL SMALL COMPANY FUND -	B	0.00	5.81	0.00	5.81	1.16
10/19/2018	mfc687888	VARIOUS,	MFT SENTINEL SMALL COMPANY FUND -	B	0.00	6.12	0.00	6.12	1.22
10/19/2018	mfc687888	VARIOUS,	MFT SENTINEL SMALL COMPANY FUND -	B	0.00	7.74	0.00	7.74	1.55
10/19/2018	mfc687888	VARIOUS,	MFT SENTINEL SMALL COMPANY FUND -	B	0.00	10.29	0.00	10.29	2.06
10/19/2018	mfc687888	VARIOUS,	MFT SENTINEL SMALL COMPANY FUND -	B	0.00	17.24	0.00	17.24	3.45
10/19/2018	mfc687888	VARIOUS,	MFT THE HARTFORD MID CAP FUND-A	B	0.00	1.26	0.00	1.26	0.25
10/19/2018	mfc687888	VARIOUS,	MFT THE HARTFORD MID CAP FUND-A	B	0.00	5.37	0.00	5.37	1.07
10/19/2018	mfc687888	VARIOUS,	MFT THE HARTFORD MID CAP FUND-A	B	0.00	6.03	0.00	6.03	1.21
10/19/2018	mfc687888	VARIOUS,	MFT THE HARTFORD MID CAP FUND-A	B	0.00	6.53	0.00	6.53	1.31
10/19/2018	mfc687888	VARIOUS,	MFT THE HARTFORD MID CAP FUND-A	B	0.00	8.04	0.00	8.04	1.61
10/19/2018	mfc687888	VARIOUS,	MFT THE HARTFORD MID CAP FUND-A	B	0.00	11.47	0.00	11.47	2.29
10/19/2018	mfc687888	VARIOUS,	MFT THE HARTFORD MID CAP FUND-A	B	0.00	12.56	0.00	12.56	2.51
10/19/2018	mfc687888	VARIOUS,	MFT THE HARTFORD MID CAP FUND-A	B	0.00	13.21	0.00	13.21	2.64
10/19/2018	mfc687888	VARIOUS,	MFT THE HARTFORD MID CAP FUND-A	B	0.00	15.84	0.00	15.84	3.17
* CHELSEA SCHLOSSER-687888 SUBTOTAL *				\$101,119.80	\$4,604.45	\$17.50	\$4,586.95		\$917.40
*** OVERRIDE TRANSACTIONS TOTAL ***				\$101,119.80	\$4,604.45	\$17.50	\$4,586.95		\$917.40

ADJUSTMENTS TRANSACTIONSBROKER: #0

10/31/2018	: BROKER WORKSTATION	0.00	0.00	0.00	0.00	-30.00
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 *		\$0.00	\$0.00	\$0.00	\$0.00	\$-185.00
*** ADJUSTMENTS TRANSACTIONS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-185.00

BROKER COMMISSION TOTALS

Broker Transactions	\$145.27
Split Transactions	\$0.00
Override Transactions	\$917.40
Adjustments	\$-185.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-118.34
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$759.33
Year-to-date Commissions	\$11,218.60