

COMMISSION STATEMENT December 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
<u>DIRECT TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
12/06/2018 00777072207	MILLER, RICHARD	MF AIM MODERATE ALLOCATION - CLASS B		123.75	3.71	0.00	3.71	70.0	2.60
12/06/2018 00777072207	MILLER, RICHARD	MF INVESCO EQUITY AND INCOME FUND B		127.50	3.83	0.00	3.83	70.0	2.68
12/06/2018 00777072217	OLIPHINT, JO	MF AIM INTERMEDIATE GOVERNMENT FD B		300.00	9.75	0.00	9.75	70.0	6.83
12/06/2018 00777072217	OLIPHINT, JO	MF AIM INTERMEDIATE GOVERNMENT FD B		49.38	1.60	0.00	1.60	70.0	1.12
12/06/2018 00777186284	WEATHERFORD,	MF INVESCO BALANCED-RISK RTRMNT B		200.00	6.00	0.00	6.00	70.0	4.20
12/06/2018 00777186284	WEATHERFORD,	MF INVESCO BALANCED-RISK RTRMNT B		87.63	2.63	0.00	2.63	70.0	1.84
* MUTUAL FUNDS SUBTOTAL *				\$888.26	\$27.52	\$0.00	\$27.52		\$19.27
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
11/30/2018 (None) VARIOUS, MARK-D376	MFT HARTFORD MUTUAL FUIND		B	0.00	15.89	0.00	15.89	70.0	11.12
12/06/2018 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	\$19.60	\$0.00	\$19.60		\$13.72
*** DIRECT TRANSACTIONS TOTAL ***				\$1,012.01	\$47.12	\$0.00	\$47.12		\$32.99

ADJUSTMENTS TRANSACTIONS

BROKER: #0

12/15/2018	: 2019 STATE BRANCH FEE			0.00	0.00	0.00	0.00		-25.00
* SUBTOTAL *				\$0.00	\$0.00	\$0.00	\$0.00		\$-25.00
*** ADJUSTMENTS TRANSACTIONS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-25.00

BROKER COMMISSION TOTALS

Broker Transactions	\$32.99
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-25.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-219.37
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	\$-211.38
Year-to-date Commissions	\$2,655.37