

COMMISSION STATEMENT November 30, 2018

JOY LAWRENCE-D098
 9000 Highway 2147 West
 Suite 201
 Horseshoe Bay, TX 78657

BROKER #: D098
 BRANCH: DMA

COMMISSION STATEMENT for JOY LAWRENCE-D098

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
CLEARING TRANSACTIONS											
PRODUCT CATEGORY: MUTUAL FUNDS											
11/07/2018	184047863	CHHEN, KUONG	MF	FIDELITY ADVISOR MID CAP STOCK	S	102.45	2.75	2.50	0.25	50.0	0.13
11/07/2018	184047863	CHHEN, KUONG	MF	FIDELITY ADVISOR LARGE CAP	S	102.45	2.75	2.50	0.25	50.0	0.13
11/21/2018	a03946954	LAWRENCE-D098, JOY	MF	PUTNAM 746802800	B	0.00	50.05	0.00	50.05	50.0	25.03
* MUTUAL FUNDS SUBTOTAL *						\$204.90	\$55.55	\$5.00	\$50.55		\$25.29
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT AB HIGH INCOME A	B	0.00	4.92	0.00	4.92	50.0	2.46
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT ALLIANCE BERNSTEIN SMALL/MID	B	0.00	2.52	0.00	2.52	50.0	1.26
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT ALLIANCE BERNSTEIN GLOBAL	B	0.00	4.67	0.00	4.67	50.0	2.34
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT ALLIANCEBERNSTEIN GLO GOVT INC	B	0.00	12.83	0.00	12.83	50.0	6.42
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT ALLIANCEBERNSTEIN LARGE-CAP	B	0.00	4.28	0.00	4.28	50.0	2.14
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT ALLIANCEBERNSTEIN GLOBAL	B	0.00	8.95	0.00	8.95	50.0	4.48
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT ALLIANCEBERNSTEIN UTILITY	B	0.00	3.19	0.00	3.19	50.0	1.60
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT ALLIANCEBERNSTEIN UTILITY	B	0.00	10.17	0.00	10.17	50.0	5.09
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT ALLIANCEBERNSTEIN MID-CAP GRO A	B	0.00	2.09	0.00	2.09	50.0	1.05
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT EATON VANCE GOVT OBLIGATIONS	B	0.00	6.36	0.00	6.36	50.0	3.18
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT EMPIRIC 2500 FD A	B	0.00	6.96	0.00	6.96	50.0	3.48
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT FIDELITY ADVISOR LARGE CAP	B	0.00	8.98	0.00	8.98	50.0	4.49
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT FIDELITY ADVISOR MID CAP STOCK	B	0.00	8.48	0.00	8.48	50.0	4.24
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT FIDELITY ADVISOR EMERGING MKT	B	0.00	21.24	0.00	21.24	50.0	10.62
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT FIDELITY ADVISOR FUNDS	B	0.00	21.00	0.00	21.00	50.0	10.50
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT MFS MID CAP GROWTH FUND-C	B	0.00	17.99	0.00	17.99	50.0	9.00
11/21/2018	mfc946954	LAWRENCE JOY	946954	MFT PUTNAM 746802800	B	0.00	14.74	0.00	14.74	50.0	7.37
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *						\$0.00	\$159.37	\$0.00	\$159.37		\$79.72
*** CLEARING TRANSACTIONS TOTAL ***						\$204.90	\$214.92	\$5.00	\$209.92		\$105.01

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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DIRECT TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

11/15/2018	00551135830	CHHEN, KUONG	MF	PUTNAM ABSOLUTE RETURN 700-A	B	540.00	14.85	0.00	14.85	50.0	7.43
11/15/2018	00551137086	CHHEN, CHAN	MF	PUTNAM ABSOLUTE RETURN 700-A	B	540.00	14.85	0.00	14.85	50.0	7.43
* MUTUAL FUNDS SUBTOTAL *						\$1,080.00	\$29.70	\$0.00	\$29.70		\$14.86
*** DIRECT TRANSACTIONS TOTAL ***						\$1,080.00	\$29.70	\$0.00	\$29.70		\$14.86

ADJUSTMENTS TRANSACTIONS

BROKER: #0

11/30/2018				: MONEY MARKET TRAILS		0.00	0.00	0.00	0.00		24.39
* SUBTOTAL *						\$0.00	\$0.00	\$0.00	\$0.00		\$24.39
*** ADJUSTMENTS TRANSACTIONS TOTAL ***						\$0.00	\$0.00	\$0.00	\$0.00		\$24.39

BROKER COMMISSION TOTALS

Broker Transactions	\$119.87
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$24.39
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$144.26
Year-to-date Commissions	\$14,229.03