

# COMMISSION STATEMENT

October 15, 2018

RON ROCCAFORTE-D055

BROKER #: D055 Terminated 12/31/2017

BRANCH: DMK

, TX

## COMMISSION STATEMENT for RON ROCCAFORTE-D055

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>									
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>									
10/01/2018 00132774038	HERNANDEZ, THOMAS	MFT PUTNAM NEW OPPORTUNITIES FUND	B	0.00	9.96	0.00	9.96	0.0	0.00
10/01/2018 00214197339	DAVID D DRUIVENGA	MFT PUTNAM HEALTH SCIENCES TRUST	B	0.00	19.23	0.00	19.23	0.0	0.00
10/05/2018 00655443885	ABALOS, PEDRO	MFT FIDELITY ADV EQUITY GROWTH CL T B	B	0.00	1.95	0.00	1.95	0.0	0.00
10/05/2018 00655443893	ABALOS, NATHAN	MFT FIDELITY ADV EQUITY GROWTH CL T B	B	0.00	1.95	0.00	1.95	0.0	0.00
10/01/2018 00660438351	BRASHIER, EDWARD	MFT INVESCO EQUITY AND INCOME FUND	B	0.00	7.44	0.00	7.44	0.0	0.00
10/01/2018 00671119753	LAMNEK, CARL	MFT AIM HIGH YIELD FUND - CLASS A	B	0.00	10.34	0.00	10.34	0.0	0.00
10/01/2018 00671120253	THOMPSON, WILLIAM	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	30.70	0.00	30.70	0.0	0.00
10/01/2018 00671122306	LAMNEK, CAROL	MFT AIM HIGH YIELD FUND - CLASS A	B	0.00	1.29	0.00	1.29	0.0	0.00
10/05/2018 00689739571	MEZA, ALBERT	MFT FIDELITY ADV EQUITY GROWTH CL A B	B	0.00	1.08	0.00	1.08	0.0	0.00
10/05/2018 00689857290	SMITH UTMA-TX,	MFT FIDELITY ADV TECHNOLOGY CL A	B	0.00	0.91	0.00	0.91	0.0	0.00
10/05/2018 00704852615	JONATHAN Z	MFT FA 529 PORT 2022 CL A	B	0.00	7.17	0.00	7.17	0.0	0.00
10/05/2018 00704852615	JONATHAN Z	MFT FA 529 PORT 2022 CL C	B	0.00	1.37	0.00	1.37	0.0	0.00
10/05/2018 00704852623	CONNOR Z	MFT FA 529 PORT 2022 CL A	B	0.00	7.16	0.00	7.16	0.0	0.00
10/05/2018 00704852623	CONNOR Z	MFT FA 529 PORT 2022 CL C	B	0.00	1.37	0.00	1.37	0.0	0.00
10/01/2018 00818767243	MORGAN, RONALD	MFT MFS CORE EQUITY FUND-A	B	0.00	6.50	0.00	6.50	0.0	0.00
10/01/2018 01001347308	THOMPSON, WILLIAM	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	34.85	0.00	34.85	0.0	0.00
10/01/2018 03809702867	COKER, JAMIE	MFT AIM TECHNOLOGY FUND - CLASS A	B	0.00	7.07	0.00	7.07	0.0	0.00
10/01/2018 03809702867	COKER, JAMIE	MFT INVESCO AMERICAN FRANCHISE FUND	B	0.00	1.78	0.00	1.78	0.0	0.00
10/08/2018 04703679706	ABALOS, PEDRO	MFT ALLIANCEBERNSTEIN LARGE-CAP	B	0.00	6.42	0.00	6.42	0.0	0.00
10/08/2018 04705730522	FBO NATHAN P	MFT ALLIANCEBERNSTEIN LARGE-CAP	B	0.00	4.91	0.00	4.91	0.0	0.00
10/01/2018 05022666076	BRASHIER, EDWARD	MFT AIM CHARTER FUND - CLASS A	B	0.00	2.47	0.00	2.47	0.0	0.00
10/01/2018 05312119002	DAVIS, SONDR	MFT MASS INVESTORS GROWTH STOCK	B	0.00	0.56	0.00	0.56	0.0	0.00
10/01/2018 05312119191	DAVIS, ARLO	MFT MASS INVESTORS GROWTH STOCK	B	0.00	8.30	0.00	8.30	0.0	0.00
10/01/2018 06000815982	DAVIS, ARLO	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	11.72	0.00	11.72	0.0	0.00
10/01/2018 06000815991	DAVIS, SONDR	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	0.59	0.00	0.59	0.0	0.00
10/01/2018 06515359357	MORGAN, DEBRA	MFT MFS TOTAL RETURN FUND-A	B	0.00	0.21	0.00	0.21	0.0	0.00
10/01/2018 08188197849	FORREST, DUANE	MFT MFS CORE EQUITY FUND-A	B	0.00	16.99	0.00	16.99	0.0	0.00
10/01/2018 08191223351	JOHN F & LINDA J	MFT MASS INVESTORS GROWTH STOCK	B	0.00	4.76	0.00	4.76	0.0	0.00
10/01/2018 08191223351	JOHN F & LINDA J	MFT MASSACHUSETTS INVESTORS TRUST-A	B	0.00	0.23	0.00	0.23	0.0	0.00
10/01/2018 08191223351	JOHN F & LINDA J	MFT MFS RESEARCH FUND-A	B	0.00	0.12	0.00	0.12	0.0	0.00
10/01/2018 08191223351	JOHN F & LINDA J	MFT MFS TECHNOLOGY FUND-A	B	0.00	9.02	0.00	9.02	0.0	0.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
10/01/2018	08191223476 JOHN F & LINDA J	MFT MFS EMERGING GROWTH FUND CLASS	B	0.00	10.38	0.00	10.38	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$228.80	\$0.00	\$228.80		\$0.00
*** DIRECT TRANSACTIONS TOTAL ***				\$0.00	\$228.80	\$0.00	\$228.80		\$0.00

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

Net Commissions	\$0.00
Year-to-date Commissions	\$1,419.92