

COMMISSION STATEMENT
November 30, 2018

ELLIS DPM

BROKER #:
BRANCH: DPM

, TX

COMMISSION STATEMENT for ELLIS DPM

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------|-------------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>CLEARING TRANSACTIONS</u> | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | | |
| 11/21/2018 mfc189886 | ELLIS-D335, VARIOUS | MFT MAINSTAY LARGE CAP GROWTH FUND | B | 0.00 | 0.28 | 0.00 | 0.28 | 0.0 | 0.00 |
| 11/21/2018 mfc189886 | ELLIS-D335, VARIOUS | MFT NATIXIS GATEWAY FD | B | 0.00 | 1.48 | 0.00 | 1.48 | 0.0 | 0.00 |
| 11/21/2018 mfc189886 | ELLIS-D335, VARIOUS | MFT PIMCO COMMODITY REAL RETURN | B | 0.00 | 0.12 | 0.00 | 0.12 | 0.0 | 0.00 |
| 11/21/2018 mfc189886 | ELLIS-D335, VARIOUS | MFT PIONEER CULLEN VALUE FUND CLASS | B | 0.00 | 0.35 | 0.00 | 0.35 | 0.0 | 0.00 |
| 11/21/2018 mfc189886 | ELLIS-D335, VARIOUS | MFT PUTNAM 746802859 | B | 0.00 | 0.19 | 0.00 | 0.19 | 0.0 | 0.00 |
| 11/21/2018 mfc189886 | ELLIS-D335, VARIOUS | MFT PUTNAM CAPITAL SPECTRUM FD A | B | 0.00 | 1.68 | 0.00 | 1.68 | 0.0 | 0.00 |
| 11/21/2018 mfc189886 | ELLIS-D335, VARIOUS | MFT ROYCE SMALLER CO GROWTH FD INV | B | 0.00 | 0.39 | 0.00 | 0.39 | 0.0 | 0.00 |
| 11/21/2018 mfc189886 | ELLIS-D335, VARIOUS | MFT VAN ECK GLOBAL HARD ASSETS FD | B | 0.00 | 0.14 | 0.00 | 0.14 | 0.0 | 0.00 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | \$0.00 | \$4.63 | \$0.00 | \$4.63 | | \$0.00 |
| *** CLEARING TRANSACTIONS TOTAL *** | | | | \$0.00 | \$4.63 | \$0.00 | \$4.63 | | \$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 | \$0.00 |