

COMMISSION STATEMENT
October 31, 2018

CALDWELL DPM

BROKER #: D113
BRANCH: DWA

, TX

COMMISSION STATEMENT for CALDWELL DPM

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	462238312	LIPSHIE, SAMUEL	S	ISHARES RUSSELL 2000 GROWTH FD	S	-5,108.73	15.00	15.00	0.00	0.0	0.00
10/11/2018	462238312	LIPSHIE, SAMUEL	S	SPDR S&P INSURANCE ETF	S	-3,027.51	15.00	15.00	0.00	0.0	0.00
10/24/2018	462238312	LIPSHIE, SAMUEL	S	HANESBRANDS INC	B	2,532.28	15.00	15.00	0.00	0.0	0.00
* STOCKS SUBTOTAL *						\$-5,603.96	\$45.00	\$45.00	\$0.00		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
10/19/2018	mfc704574	DPM CALDWELL 704574	MFT FRANKLIN TN MUNI BOND FD CL A	B		0.00	0.77	0.00	0.77	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *						\$0.00	\$0.77	\$0.00	\$0.77		\$0.00
*** CLEARING TRANSACTIONS TOTAL ***						\$-5,603.96	\$45.77	\$45.00	\$0.77		\$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