

COMMISSION STATEMENT November 30, 2018

JOY LAWRENCE-D198

BROKER #: D198

BRANCH: DMA

, TX

COMMISSION STATEMENT for JOY LAWRENCE-D198

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
CLEARING TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUNDS									
11/23/2018	214776560	DUNLAP, TERRY	MF	AMERICAN BALANCED FUND-A	S	100.00	4.88	2.50	2.38 0.0 0.00
11/02/2018	368371758	SMITH, BARBARA	MF	BALANCED PORTFOLIO-C	B	-1,587.55	0.00	5.00	-5.00 0.0 0.00
				* MUTUAL FUNDS SUBTOTAL *		\$-1,487.55	\$4.88	\$7.50	\$-2.62 \$0.00
PRODUCT CATEGORY: MISCELLANEOUS									
11/05/2018	a03974464	LAWRENCE-D198, JOY	MI	MUTUAL FUND MISC FEE 368371758	S	0.00	10.00	0.00	10.00 0.0 0.00
				* MISCELLANEOUS SUBTOTAL *		\$0.00	\$10.00	\$0.00	\$10.00 \$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	ALLIANCEBERNSTEIN GROWTH AND	B	0.00	0.93	0.00	0.93 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	AMCAP FUND-A	B	0.00	3.45	0.00	3.45 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	AMCAP FUND-A	B	0.00	4.12	0.00	4.12 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	AMERICAN BALANCED FUND-A	B	0.00	0.65	0.00	0.65 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	AMERICAN BALANCED FUND-A	B	0.00	1.14	0.00	1.14 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	AMERICAN BALANCED FUND-A	B	0.00	3.30	0.00	3.30 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	AMERICAN BALANCED FUND-A	B	0.00	3.74	0.00	3.74 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	BALANCED PORTFOLIO-C	B	0.00	1.93	0.00	1.93 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	BALANCED PORTFOLIO-C	B	0.00	1.94	0.00	1.94 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	BALANCED PORTFOLIO-C	B	0.00	6.23	0.00	6.23 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	BALANCED PORTFOLIO-C	B	0.00	34.03	0.00	34.03 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	BALANCED PORTFOLIO-C	B	0.00	38.66	0.00	38.66 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	BALANCED PORTFOLIO-C	B	0.00	43.19	0.00	43.19 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	BALANCED PORTFOLIO-C	B	0.00	65.50	0.00	65.50 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	CAPITAL INCOME BUILDER-A	B	0.00	1.05	0.00	1.05 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	CAPITAL INCOME BUILDER-A	B	0.00	1.31	0.00	1.31 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	CAPITAL INCOME BUILDER-A	B	0.00	3.46	0.00	3.46 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	CAPITAL INCOME BUILDER-A	B	0.00	3.54	0.00	3.54 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	CAPITAL INCOME BUILDER-F1	B	0.00	2.01	0.00	2.01 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	CAPITAL WORLD BOND FUND-A	B	0.00	2.15	0.00	2.15 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	CAPITAL WORLD GROWTH AND INCOME	B	0.00	1.93	0.00	1.93 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	CAPITAL WORLD GROWTH AND INCOME	B	0.00	2.65	0.00	2.65 0.0 0.00
11/21/2018	mfc974464	LAWRENCE JOY 974464	MFT	EUROPACIFIC GROWTH FUND-A	B	0.00	0.79	0.00	0.79 0.0 0.00

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11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT FEDERATED KAUFMANN SMALL CAP FD	B	0.00	2.02	0.00	2.02	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT FEDERATED KAUFMANN FUND	B	0.00	2.20	0.00	2.20	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT FEDERATED EQUITY INCOME FUND	B	0.00	2.25	0.00	2.25	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT FUNDAMENTAL INVESTORS-A	B	0.00	3.51	0.00	3.51	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT GROWTH AND INCOME PORTFOLIO-C	B	0.00	16.89	0.00	16.89	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT GROWTH AND INCOME PORTFOLIO-C	B	0.00	17.35	0.00	17.35	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT GROWTH AND INCOME PORTFOLIO-C	B	0.00	24.03	0.00	24.03	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT GROWTH FUND OF AMERICA CLASS F	B	0.00	2.68	0.00	2.68	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT HARTFORD GLOBAL CAP APP FD-A	B	0.00	0.14	0.00	0.14	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT HARTFORD GLOBAL CAP	B	0.00	1.30	0.00	1.30	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT HARTFORD INTL EQUITY FD A	B	0.00	0.10	0.00	0.10	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT NEW PERSPECTIVE FUND-A	B	0.00	1.86	0.00	1.86	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT NEW PERSPECTIVE FUND-A	B	0.00	7.52	0.00	7.52	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT PIMCO ALL ASSET A	B	0.00	0.69	0.00	0.69	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT PUTNAM 746444504	B	0.00	5.49	0.00	5.49	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT PUTNAM 746444108	B	0.00	2.37	0.00	2.37	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT PUTNAM 746444108	B	0.00	2.50	0.00	2.50	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT PUTNAM 746745108	B	0.00	2.19	0.00	2.19	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT PUTNAM 74677Q109	B	0.00	1.27	0.00	1.27	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT PUTNAM ASSET ALLOCATION	B	0.00	4.01	0.00	4.01	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT PUTNAM DIVERSIFIED INCOME TRUST	B	0.00	1.32	0.00	1.32	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT PUTNAM GLOBAL EQUITY FUND CLASS	B	0.00	1.87	0.00	1.87	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT PUTNAM NEW OPPORTUNITIES FUND	B	0.00	0.99	0.00	0.99	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT PUTNAM SMALL CAP GROWTH FUND	B	0.00	0.36	0.00	0.36	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT SMALLCAP WORLD FUND-A	B	0.00	1.17	0.00	1.17	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT SMALLCAP WORLD FUND-A	B	0.00	1.31	0.00	1.31	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.93	0.00	0.93	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	2.82	0.00	2.82	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	3.45	0.00	3.45	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT THE INCOME FUND OF AMERICA-A	B	0.00	1.46	0.00	1.46	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT THE INCOME FUND OF AMERICA-A	B	0.00	2.61	0.00	2.61	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT THE INCOME FUND OF AMERICA-A	B	0.00	4.46	0.00	4.46	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT THE INCOME FUND OF AMERICA-F1	B	0.00	2.33	0.00	2.33	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT THE INVESTMENT COMPANY OF	B	0.00	2.44	0.00	2.44	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT TRANSAMERICA ASSET ALLOC	B	0.00	2.03	0.00	2.03	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	7.50	0.00	7.50	0.0	0.00
11/21/2018 mfc974464	LAWRENCE JOY 974464	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	2.43	0.00	2.43	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$367.55	\$0.00	\$367.55		\$0.00
*** CLEARING TRANSACTIONS TOTAL ***				\$-1,487.55	\$382.43	\$7.50	\$374.93		\$0.00

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DIRECT TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

11/16/2018	00483478258	SCHRAUBEN, DIANA MF	PUTNAM 746802800	B	100.00	5.00	0.00	5.00	0.0	0.00
* MUTUAL FUNDS SUBTOTAL *					\$100.00	\$5.00	\$0.00	\$5.00		\$0.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/31/2018	(None)	VARIOUS, JOY RIX	MFT HARTFORD MUTUAL FUIND	B	0.00	22.54	0.00	22.54	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$22.54	\$0.00	\$22.54		\$0.00
*** DIRECT TRANSACTIONS TOTAL ***					\$100.00	\$27.54	\$0.00	\$27.54		\$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