

COMMISSION STATEMENT October 31, 2018

 FRANK WAGNER-879660
 605 Chamberlain Street

 BROKER #:
 BRANCH: D12

Corpus Christi, TX 78404

COMMISSION STATEMENT for FRANK WAGNER-879660

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
CLEARING TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUNDS									
10/01/2018	123648099	EVERY, ROBERT	MF	GLOBAL OPPORTUNITIES A	B	-54,997.55	0.00	5.00	-5.00 80.0 -4.00
10/09/2018	368251564	RICHARDSON, BRENDA	MF	FPA NEW INCOME FD (MF)	B	-20,997.55	0.00	5.00	-5.00 80.0 -4.00
10/10/2018	646437603	RICHARDSON, DOUGLAS	MF	THE GROWTH FUND OF AMERICA-A	S	60,002.45	2,250.00	2.50	2,247.50 80.0 1,798.00
09/19/2018	769599222	142 TRUST, VICTOR	MF	AMERICAN FD FUNDAMENTAL INV FD	S	-50,002.45	0.00	-5.00	5.00 80.0 4.00
10/08/2018	769599222	142 TRUST, VICTOR	MF	FUNDAMENTAL INVESTORS-A	S	50,002.45	800.00	5.00	795.00 80.0 636.00
				* MUTUAL FUNDS SUBTOTAL *		\$-15,992.65	\$3,050.00	\$12.50	\$3,037.50 \$2,430.00

PRODUCT CATEGORY: STOCKS

10/04/2018	368271956	RATHKE, CALVIN	S	FIREEYE INC	S	-2,570.04	15.00	15.00	0.00 80.0 0.00
10/19/2018	368271956	RATHKE, CALVIN	S	VENTAS INCORPORATED	B	4,496.62	15.00	15.00	0.00 80.0 0.00
10/19/2018	368271956	RATHKE, CALVIN	S	VERIZON COMMUNICATIONS INC	B	4,415.77	15.00	15.00	0.00 80.0 0.00
10/26/2018	368271956	RATHKE, CALVIN	S	ABBOTT LABORATORIES INC	B	4,020.07	0.15	15.00	-14.85 80.0 -11.88
10/26/2018	368271956	RATHKE, CALVIN	S	ABBOTT LABORATORIES INC	B	-4,020.07	-0.15	-15.00	14.85 80.0 11.88
10/26/2018	368271956	RATHKE, CALVIN	S	ABBOTT LABORATORIES INC	B	4,034.92	15.00	15.00	0.00 80.0 0.00
08/10/2018	645836913	ROWLING, DAVID	S	DOWDUPONT INC	B	-13,601.25	-15.00	-15.00	0.00 80.0 0.00
08/10/2018	645836913	ROWLING, DAVID	S	DOWDUPONT INC	B	-13,601.25	-15.00	-15.00	0.00 80.0 0.00
08/10/2018	645836913	ROWLING, DAVID	S	DOWDUPONT INC	B	13,601.25	15.00	15.00	0.00 80.0 0.00
08/10/2018	645836913	ROWLING, DAVID	S	DROPBOX INC CLASS A	B	-31,752.05	-60.00	-15.00	-45.00 80.0 -36.00
08/10/2018	645846940	ROWLING, DAVID	S	DOWDUPONT INC	B	-13,601.25	-15.00	-15.00	0.00 80.0 0.00
08/10/2018	645846940	ROWLING, DAVID	S	DOWDUPONT INC	B	13,601.25	15.00	15.00	0.00 80.0 0.00
08/10/2018	645846940	ROWLING, DAVID	S	DOWDUPONT INC	B	13,601.25	15.00	15.00	0.00 80.0 0.00
08/10/2018	645846940	ROWLING, DAVID	S	DOWDUPONT INC	B	13,601.25	15.00	15.00	0.00 80.0 0.00
08/10/2018	645846940	ROWLING, DAVID	S	DROPBOX INC CLASS A	B	31,752.05	60.00	15.00	45.00 80.0 36.00
10/04/2018	645846940	ROWLING, DAVID	S	FIREEYE INC	S	-30,813.33	108.00	15.00	93.00 80.0 74.40
10/10/2018	645846940	ROWLING, DAVID	S	VERIZON COMMUNICATIONS INC	B	38,313.45	42.00	15.00	27.00 80.0 21.60
10/17/2018	645846940	ROWLING, DAVID	S	AMARIN CORPORATION PLC	S	-20,197.39	60.00	15.00	45.00 80.0 36.00
10/17/2018	645846940	ROWLING, DAVID	S	TEXAS INSTRUMENTS INC	S	-40,581.06	24.00	15.00	9.00 80.0 7.20
10/19/2018	645846940	ROWLING, DAVID	S	VENTAS INCORPORATED	B	42,032.08	45.00	15.00	30.00 80.0 24.00
10/26/2018	645846940	ROWLING, DAVID	S	ABBOTT LABORATORIES INC	B	10,053.20	15.00	15.00	0.00 80.0 0.00
10/04/2018	677227782	SCHMIDT, RONALD	S	FIREEYE INC	S	-586.99	15.00	15.00	0.00 80.0 0.00
10/19/2018	677227782	SCHMIDT, RONALD	S	VENTAS INCORPORATED	B	857.15	15.00	15.00	0.00 80.0 0.00
10/19/2018	677227782	SCHMIDT, RONALD	S	VERIZON COMMUNICATIONS INC	B	842.29	15.00	15.00	0.00 80.0 0.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
* STOCKS SUBTOTAL *				\$10,296.67	\$399.00	\$195.00	\$204.00		\$163.20		
PRODUCT CATEGORY: BONDS											
10/09/2018	645836913	ROWLING, DAVID	B	*FEDERAL FARM CR BKS CONS BD	B	190,884.45	400.00	25.00	375.00	80.0	300.00
10/09/2018	645836913	ROWLING, DAVID	B	*FEDERAL FARM CR BKS CONS BD	B	-190,884.45	-400.00	-25.00	-375.00	80.0	-300.00
10/09/2018	645836913	ROWLING, DAVID	B	*FEDERAL FARM CR BKS CONS BD	B	190,873.45	400.00	25.00	375.00	80.0	300.00
10/09/2018	645836913	ROWLING, DAVID	B	*FEDERAL FARM CR BKS CONS BD	B	-190,873.45	-400.00	-25.00	-375.00	80.0	-300.00
10/09/2018	645836913	ROWLING, DAVID	B	*FEDERAL FARM CR BKS CONS BD	B	190,873.45	400.00	25.00	375.00	80.0	300.00
10/09/2018	645846940	ROWLING, DAVID	B	*FEDERAL FARM CR BKS CONS BD	B	-190,873.45	-400.00	-25.00	-375.00	80.0	-300.00
10/09/2018	645846940	ROWLING, DAVID	B	*FEDERAL FARM CR BKS CONS BD	B	190,873.45	400.00	25.00	375.00	80.0	300.00
* BONDS SUBTOTAL *				\$190,873.45	\$400.00	\$25.00	\$375.00		\$300.00		

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/19/2018	mfc879660	VARIOUS,	MFT AIM EUROPEAN GROWTH FUND -	B	0.00	14.62	0.00	14.62	80.0	11.70
10/19/2018	mfc879660	VARIOUS,	MFT AIM EUROPEAN GROWTH FUND -	B	0.00	15.56	0.00	15.56	80.0	12.45
10/19/2018	mfc879660	VARIOUS,	MFT AIM GLOBAL HEALTH CARE FUND	B	0.00	5.94	0.00	5.94	80.0	4.75
10/19/2018	mfc879660	VARIOUS,	MFT AIM GLOBAL HEALTH CARE FUND	B	0.00	6.00	0.00	6.00	80.0	4.80
10/19/2018	mfc879660	VARIOUS,	MFT AMCAP FUND-A	B	0.00	14.45	0.00	14.45	80.0	11.56
10/19/2018	mfc879660	VARIOUS,	MFT AMCAP FUND-A	B	0.00	18.33	0.00	18.33	80.0	14.66
10/19/2018	mfc879660	VARIOUS,	MFT AMCAP FUND-A	B	0.00	64.84	0.00	64.84	80.0	51.87
10/19/2018	mfc879660	VARIOUS,	MFT AMERICAN BALANCED FUND-A	B	0.00	11.08	0.00	11.08	80.0	8.86
10/19/2018	mfc879660	VARIOUS,	MFT AMERICAN BALANCED FUND-C	B	0.00	26.89	0.00	26.89	80.0	21.51
10/19/2018	mfc879660	VARIOUS,	MFT AMERICAN MUTUAL FUND-A	B	0.00	15.25	0.00	15.25	80.0	12.20
10/19/2018	mfc879660	VARIOUS,	MFT CALAMOS GROWTH FUND CLASS C	B	0.00	12.41	0.00	12.41	80.0	9.93
10/19/2018	mfc879660	VARIOUS,	MFT CALAMOS GROWTH FUND CLASS C	B	0.00	21.58	0.00	21.58	80.0	17.26
10/19/2018	mfc879660	VARIOUS,	MFT CALAMOS GROWTH FUND CLASS A	B	0.00	9.55	0.00	9.55	80.0	7.64
10/19/2018	mfc879660	VARIOUS,	MFT CALVERT INCOME FD CL A	B	0.00	16.58	0.00	16.58	80.0	13.26
10/19/2018	mfc879660	VARIOUS,	MFT CALVERT LONG TERM INCOME FD CL	B	0.00	18.58	0.00	18.58	80.0	14.86
10/19/2018	mfc879660	VARIOUS,	MFT CAPITAL APPRECIATION - CLASS A	B	0.00	15.85	0.00	15.85	80.0	12.68
10/19/2018	mfc879660	VARIOUS,	MFT CAPITAL WORLD GROWTH AND INCOME	B	0.00	1.14	0.00	1.14	80.0	0.91
10/19/2018	mfc879660	VARIOUS,	MFT EUROPACIFIC GROWTH FUND-A	B	0.00	1.24	0.00	1.24	80.0	0.99
10/19/2018	mfc879660	VARIOUS,	MFT EUROPACIFIC GROWTH FUND-A	B	0.00	55.04	0.00	55.04	80.0	44.03
10/19/2018	mfc879660	VARIOUS,	MFT FEDERATED EQUITY INCOME FUND	B	0.00	2.33	0.00	2.33	80.0	1.86
10/19/2018	mfc879660	VARIOUS,	MFT FEDERATED EQUITY INCOME FUND	B	0.00	3.37	0.00	3.37	80.0	2.70
10/19/2018	mfc879660	VARIOUS,	MFT FEDERATED EQUITY INCOME FUND	B	0.00	11.31	0.00	11.31	80.0	9.05
10/19/2018	mfc879660	VARIOUS,	MFT FEDERATED EQUITY INCOME FUND	B	0.00	13.56	0.00	13.56	80.0	10.85
10/19/2018	mfc879660	VARIOUS,	MFT FEDERATED EQUITY INCOME FUND	B	0.00	14.43	0.00	14.43	80.0	11.54
10/19/2018	mfc879660	VARIOUS,	MFT FUNDAMENTAL INVESTORS-A	B	0.00	4.24	0.00	4.24	80.0	3.39
10/19/2018	mfc879660	VARIOUS,	MFT FUNDAMENTAL INVESTORS-A	B	0.00	49.65	0.00	49.65	80.0	39.72
10/19/2018	mfc879660	VARIOUS,	MFT GLOBAL OPPORTUNITIES A	B	0.00	30.67	0.00	30.67	80.0	24.54
10/19/2018	mfc879660	VARIOUS,	MFT GLOBAL OPPORTUNITIES A	B	0.00	49.93	0.00	49.93	80.0	39.94
10/19/2018	mfc879660	VARIOUS,	MFT GROWTH FUND OF AMERICA CLASS F	B	0.00	7.56	0.00	7.56	80.0	6.05
10/19/2018	mfc879660	VARIOUS,	MFT GROWTH FUND OF AMERICA CLASS F	B	0.00	12.51	0.00	12.51	80.0	10.01
10/19/2018	mfc879660	VARIOUS,	MFT INVESCO COMSTOCK FUND - CLASS A	B	0.00	27.30	0.00	27.30	80.0	21.84
10/19/2018	mfc879660	VARIOUS,	MFT INVESCO COMSTOCK FUND - CLASS A	B	0.00	27.98	0.00	27.98	80.0	22.38

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10/19/2018 mfc879660	VARIOUS,	MFT INVESCO COMSTOCK FUND - CLASS A	B	0.00	46.48	0.00	46.48	80.0	37.18
10/19/2018 mfc879660	VARIOUS,	MFT INVESCO COMSTOCK FUND - CLASS A	B	0.00	47.63	0.00	47.63	80.0	38.10
10/19/2018 mfc879660	VARIOUS,	MFT INVESCO EQUITY AND INCOME FUND	B	0.00	21.74	0.00	21.74	80.0	17.39
10/19/2018 mfc879660	VARIOUS,	MFT INVESCO EQUITY AND INCOME FUND	B	0.00	22.48	0.00	22.48	80.0	17.98
10/19/2018 mfc879660	VARIOUS,	MFT KAR CAPITAL GROWTH	B	0.00	2.74	0.00	2.74	80.0	2.19
10/19/2018 mfc879660	VARIOUS,	MFT LORD ABBETT MULTI-ASSET GROWTH	B	0.00	17.38	0.00	17.38	80.0	13.90
10/19/2018 mfc879660	VARIOUS,	MFT MAIN STREET FUND A	B	0.00	10.97	0.00	10.97	80.0	8.78
10/19/2018 mfc879660	VARIOUS,	MFT MID-CAP VALUE FUND CLASS A	B	0.00	12.79	0.00	12.79	80.0	10.23
10/19/2018 mfc879660	VARIOUS,	MFT MID-CAP VALUE FUND CLASS A	B	0.00	13.13	0.00	13.13	80.0	10.50
10/19/2018 mfc879660	VARIOUS,	MFT MID-CAP VALUE FUND CLASS A	B	0.00	14.76	0.00	14.76	80.0	11.81
10/19/2018 mfc879660	VARIOUS,	MFT MID-CAP VALUE FUND CLASS A	B	0.00	28.93	0.00	28.93	80.0	23.14
10/19/2018 mfc879660	VARIOUS,	MFT NEW PERSPECTIVE FUND-A	B	0.00	47.75	0.00	47.75	80.0	38.20
10/19/2018 mfc879660	VARIOUS,	MFT NEW WORLD FUND-A	B	0.00	1.20	0.00	1.20	80.0	0.96
10/19/2018 mfc879660	VARIOUS,	MFT NEW WORLD FUND-A	B	0.00	11.33	0.00	11.33	80.0	9.06
10/19/2018 mfc879660	VARIOUS,	MFT NEW WORLD FUND-A	B	0.00	42.41	0.00	42.41	80.0	33.93
10/19/2018 mfc879660	VARIOUS,	MFT OPPENHEIMERFUNDS 68381A103	B	0.00	15.11	0.00	15.11	80.0	12.09
10/19/2018 mfc879660	VARIOUS,	MFT PIMCO REAL RETURN FUND (A)	B	0.00	3.19	0.00	3.19	80.0	2.55
10/19/2018 mfc879660	VARIOUS,	MFT PIMCO REAL RETURN FUND (A)	B	0.00	4.53	0.00	4.53	80.0	3.62
10/19/2018 mfc879660	VARIOUS,	MFT PIMCO REAL RETURN FUND (A)	B	0.00	8.96	0.00	8.96	80.0	7.17
10/19/2018 mfc879660	VARIOUS,	MFT PIMCO REAL RETURN FUND (A)	B	0.00	24.97	0.00	24.97	80.0	19.98
10/19/2018 mfc879660	VARIOUS,	MFT PIMCO REAL RETURN FUND (A)	B	0.00	34.54	0.00	34.54	80.0	27.63
10/19/2018 mfc879660	VARIOUS,	MFT SMALLCAP WORLD FUND-A	B	0.00	0.80	0.00	0.80	80.0	0.64
10/19/2018 mfc879660	VARIOUS,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	3.25	0.00	3.25	80.0	2.60
10/19/2018 mfc879660	VARIOUS,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	32.55	0.00	32.55	80.0	26.04
10/19/2018 mfc879660	VARIOUS,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	50.44	0.00	50.44	80.0	40.35
10/19/2018 mfc879660	VARIOUS,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	74.81	0.00	74.81	80.0	59.85
10/19/2018 mfc879660	VARIOUS,	MFT THE HARTFORD CAPITAL	B	0.00	0.19	0.00	0.19	80.0	0.15
10/19/2018 mfc879660	VARIOUS,	MFT THE INVESTMENT COMPANY OF	B	0.00	38.84	0.00	38.84	80.0	31.07
10/19/2018 mfc879660	VARIOUS,	MFT THE NEW ECONOMY FUND-A	B	0.00	10.67	0.00	10.67	80.0	8.54
10/19/2018 mfc879660	VARIOUS,	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	6.97	0.00	6.97	80.0	5.58
10/19/2018 mfc879660	VARIOUS,	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	18.91	0.00	18.91	80.0	15.13
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$1,270.22	\$0.00	\$1,270.22		\$1,016.13
*** CLEARING TRANSACTIONS TOTAL ***				\$185,177.47	\$5,119.22	\$232.50	\$4,886.72		\$3,909.33

COMMISSION STATEMENT for FRANK WAGNER-879660

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS TRANSACTIONSBROKER: #0

10/31/2018	:	BROKER WORKSTATION		0.00	0.00	0.00	0.00		-30.00
10/31/2018	:	E&O		0.00	0.00	0.00	0.00		-130.00
10/31/2018	:	E-MAIL ACCOUNT		0.00	0.00	0.00	0.00		-25.00
* SUBTOTAL *				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-185.00</u>
*** ADJUSTMENTS TRANSACTIONS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-185.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$3,909.33
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-185.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commissions	\$3,724.33
Year-to-date Commissions	\$15,932.30