

# COMMISSION STATEMENT

October 31, 2018

 REYNALDO BATISTA-D367  
 3207 Fitzgerald Drive

 BROKER #: D367  
 BRANCH: D12

Montgomery, TX 77356

## COMMISSION STATEMENT for REYNALDO BATISTA-D367

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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### CLEARING TRANSACTIONS

#### PRODUCT CATEGORY: MUTUAL FUNDS

10/19/2018	308090291	GOZA, CLIFTON	MF	ALLIANZ GLOBAL INVESTORS SOL	S	35,007.45	700.00	5.00	695.00	90.0	625.50
10/19/2018	308090291	GOZA, CLIFTON	MF	ALLIANZ GLOBAL INVESTORS SOL	S	-35,007.45	-700.00	-5.00	-695.00	90.0	-625.50
10/19/2018	308090291	GOZA, CLIFTON	MF	AMERICAN BALANCED FUND-A	S	35,007.45	700.00	5.00	695.00	90.0	625.50
10/19/2018	308090291	GOZA, CLIFTON	MF	FIDELITY ADV STRATEGIC INCOME	S	-3,750.71	0.00	5.00	-5.00	90.0	-4.50
10/19/2018	308090291	GOZA, CLIFTON	MF	FIDELITY CONSERVATIVE INCOME	S	-7,257.92	0.00	5.00	-5.00	90.0	-4.50
10/19/2018	308090291	GOZA, CLIFTON	MF	FIDELITY INFLATION -PROT BD IDX	S	-2,690.27	0.00	5.00	-5.00	90.0	-4.50
10/19/2018	308090291	GOZA, CLIFTON	MF	FIDELITY INTL ENHANCED INDEX FD	S	-2,322.83	0.00	5.00	-5.00	90.0	-4.50
10/19/2018	308090291	GOZA, CLIFTON	MF	FIDELITY US BOND INDEX INSTL	S	-43,090.06	0.00	5.00	-5.00	90.0	-4.50
10/19/2018	308090291	GOZA, CLIFTON	MF	THE INVESTMENT COMPANY OF	S	35,007.45	700.00	5.00	695.00	90.0	625.50
10/24/2018	308090291	GOZA, CLIFTON	MF	EUROPACIFIC GROWTH FUND-A	S	33,876.96	677.39	5.00	672.39	90.0	605.15
10/24/2018	308090291	GOZA, CLIFTON	MF	THE GROWTH FUND OF AMERICA-A	S	56,461.60	1,129.08	5.00	1,124.08	90.0	1,011.67
10/25/2018	308090291	GOZA, CLIFTON	MF	AMCAP FUND-A	S	50,815.45	1,016.16	5.00	1,011.16	90.0	910.04
10/25/2018	308090291	GOZA, CLIFTON	MF	FUNDAMENTAL INVESTORS-A	S	56,461.45	1,129.08	5.00	1,124.08	90.0	1,011.67
10/25/2018	308090291	GOZA, CLIFTON	MF	SMALLCAP WORLD FUND-A	S	14,115.45	282.16	5.00	277.16	90.0	249.44
10/25/2018	308090291	GOZA, CLIFTON	MF	THE INVESTMENT COMPANY OF	S	2,808.44	56.02	2.50	53.52	90.0	48.17
09/28/2018	338811526	HOUSTON, HOLLY	MF	THE GROWTH FUND OF AMERICA-A	S	315.03	15.38	5.00	10.38	90.0	9.34
10/12/2018	338811526	HOUSTON, HOLLY	MF	THE GROWTH FUND OF AMERICA-A	S	210.00	10.13	2.50	7.63	90.0	6.87
10/23/2018	338811526	HOUSTON, HOLLY	MF	THE GROWTH FUND OF AMERICA-A	S	207.45	10.00	2.50	7.50	90.0	6.75
10/25/2018	338819910	HOUSTON, MASON REID	MF	THE INVESTMENT COMPANY OF	S	267.45	13.00	5.00	8.00	90.0	7.20
09/28/2018	338826306	HOUSTON, DAVID	MF	THE INVESTMENT COMPANY OF	S	315.03	15.38	5.00	10.38	90.0	9.34
10/12/2018	338826306	HOUSTON, DAVID	MF	THE INVESTMENT COMPANY OF	S	210.00	10.13	2.50	7.63	90.0	6.87
10/23/2018	338826306	HOUSTON, DAVID	MF	THE INVESTMENT COMPANY OF	S	207.45	10.00	2.50	7.50	90.0	6.75
10/05/2018	584994161	PICKETT, FREDDIE	MF	AMCAP FUND-A	S	631.90	26.54	5.00	21.54	90.0	19.39
10/25/2018	584994161	PICKETT, FREDDIE	MF	AMCAP FUND-A	S	200.00	9.63	2.50	7.13	90.0	6.42
10/05/2018	585012522	PICKETT, EMILY	MF	THE INVESTMENT COMPANY OF	S	100.02	4.63	2.50	2.13	90.0	1.92
10/25/2018	585012522	PICKETT, EMILY	MF	THE INVESTMENT COMPANY OF	S	100.00	4.63	2.50	2.13	90.0	1.92
10/05/2018	585023916	CUST, FREDDIE	MF	THE INVESTMENT COMPANY OF	S	200.00	9.63	2.50	7.13	90.0	6.42
10/25/2018	585023916	CUST, FREDDIE	MF	THE INVESTMENT COMPANY OF	S	200.00	9.63	2.50	7.13	90.0	6.42
10/25/2018	676692502	SALAZAR, RUBEN	MF	THE INVESTMENT COMPANY OF	S	549.04	27.08	5.00	22.08	90.0	19.87
10/12/2018	799656471	WILLARD, JAMES	MF	MFS VALUE FD CL I	B	-392.55	0.00	5.00	-5.00	90.0	-4.50
10/25/2018	800267737	RE, EDWARDS WYKA	MF	THE GROWTH FUND OF AMERICA-A	S	200.08	9.63	2.50	7.13	90.0	6.42

TRADE DATE	CLIENT		INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
* MUTUAL FUNDS SUBTOTAL *					\$228,963.36	\$5,875.31	\$117.50	\$5,757.81		\$5,182.04	
<b>PRODUCT CATEGORY: STOCKS</b>											
10/19/2018	308090291	GOZA, CLIFTON	S	ISHARES CORE MSCI EMERGING	S	-4,989.83	94.73	15.00	79.73	90.0	71.76
10/19/2018	308090291	GOZA, CLIFTON	S	ISHARES CORE S&P SMALL-CAP ETF	S	-4,739.26	91.88	15.00	76.88	90.0	69.19
10/19/2018	308090291	GOZA, CLIFTON	S	ISHARES MSCI EAFE SMALL CAP	S	-1,053.02	45.00	15.00	30.00	90.0	27.00
10/19/2018	308090291	GOZA, CLIFTON	S	ISHARES MSCI EAFE GROWTH ETF	S	-1,065.60	45.00	15.00	30.00	90.0	27.00
10/19/2018	308090291	GOZA, CLIFTON	S	SELECT SECTOR SPDR TR-ENERGY	S	-2,092.75	61.77	15.00	46.77	90.0	42.09
* STOCKS SUBTOTAL *					\$-13,940.46	\$338.38	\$75.00	\$263.38		\$237.04	
<b>PRODUCT CATEGORY: MISCELLANEOUS</b>											
10/01/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 338826306	S	0.00	5.00	0.00	5.00	90.0	4.50
10/01/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 338811526	S	0.00	5.00	0.00	5.00	90.0	4.50
10/08/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 584994161	S	0.00	5.00	0.00	5.00	90.0	4.50
10/08/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 585023916	S	0.00	5.00	0.00	5.00	90.0	4.50
10/08/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 585012522	S	0.00	5.00	0.00	5.00	90.0	4.50
10/15/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 338811526	S	0.00	5.00	0.00	5.00	90.0	4.50
10/15/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 338826306	S	0.00	5.00	0.00	5.00	90.0	4.50
10/15/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 799656471	S	0.00	5.00	0.00	5.00	90.0	4.50
10/22/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 308090291	S	0.00	5.00	0.00	5.00	90.0	4.50
10/22/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 308090291	S	0.00	5.00	0.00	5.00	90.0	4.50
10/22/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 308090291	S	0.00	5.00	0.00	5.00	90.0	4.50
10/22/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 308090291	S	0.00	5.00	0.00	5.00	90.0	4.50
10/22/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 308090291	S	0.00	5.00	0.00	5.00	90.0	4.50
10/22/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 308090291	S	0.00	5.00	0.00	5.00	90.0	4.50
10/22/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 308090291	S	0.00	5.00	0.00	5.00	90.0	4.50
10/22/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 308090291	S	0.00	5.00	0.00	5.00	90.0	4.50
10/23/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 308090291	S	0.00	-5.00	0.00	-5.00	90.0	-4.50
10/23/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 308090291	S	0.00	5.00	0.00	5.00	90.0	4.50
10/24/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 338826306	S	0.00	5.00	0.00	5.00	90.0	4.50
10/24/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 338811526	S	0.00	5.00	0.00	5.00	90.0	4.50
10/25/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 308090291	S	0.00	5.00	0.00	5.00	90.0	4.50
10/25/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 308090291	S	0.00	5.00	0.00	5.00	90.0	4.50
10/26/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 308090291	S	0.00	5.00	0.00	5.00	90.0	4.50
10/26/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 800267737	S	0.00	5.00	0.00	5.00	90.0	4.50
10/26/2018	a03073300	VARIOUS,	MI	MUTUAL FUND MISC FEE 308090291	S	0.00	5.0				

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>									
10/19/2018	mfc073300 VARIOUS,	MFT AMERICAN BALANCED FUND-A	B	0.00	1.24	0.00	1.24	90.0	1.12
10/19/2018	mfc073300 VARIOUS,	MFT AMERICAN BALANCED FUND-A	B	0.00	1.59	0.00	1.59	90.0	1.43
10/19/2018	mfc073300 VARIOUS,	MFT AMERICAN BALANCED FUND-A	B	0.00	5.92	0.00	5.92	90.0	5.33
10/19/2018	mfc073300 VARIOUS,	MFT AMERICAN BALANCED FUND-A	B	0.00	10.83	0.00	10.83	90.0	9.75
10/19/2018	mfc073300 VARIOUS,	MFT CAPITAL INCOME BUILDER-A	B	0.00	4.37	0.00	4.37	90.0	3.93
10/19/2018	mfc073300 VARIOUS,	MFT CAPITAL INCOME BUILDER-A	B	0.00	4.83	0.00	4.83	90.0	4.35
10/19/2018	mfc073300 VARIOUS,	MFT FUNDAMENTAL INVESTORS-A	B	0.00	1.55	0.00	1.55	90.0	1.40
10/19/2018	mfc073300 VARIOUS,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.06	0.00	0.06	90.0	0.05
10/19/2018	mfc073300 VARIOUS,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	0.94	0.00	0.94	90.0	0.85
10/19/2018	mfc073300 VARIOUS,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	3.75	0.00	3.75	90.0	3.38
10/19/2018	mfc073300 VARIOUS,	MFT THE GROWTH FUND OF AMERICA-A	B	0.00	3.99	0.00	3.99	90.0	3.59
10/19/2018	mfc073300 VARIOUS,	MFT THE HARTFORD CAPITAL	B	0.00	7.07	0.00	7.07	90.0	6.36
10/19/2018	mfc073300 VARIOUS,	MFT THE INCOME FUND OF AMERICA-A	B	0.00	5.16	0.00	5.16	90.0	4.64
10/19/2018	mfc073300 VARIOUS,	MFT THE INVESTMENT COMPANY OF	B	0.00	1.54	0.00	1.54	90.0	1.39
10/19/2018	mfc073300 VARIOUS,	MFT THE INVESTMENT COMPANY OF	B	0.00	2.24	0.00	2.24	90.0	2.02
10/19/2018	mfc073300 VARIOUS,	MFT THE INVESTMENT COMPANY OF	B	0.00	2.84	0.00	2.84	90.0	2.56
10/19/2018	mfc073300 VARIOUS,	MFT WASHINGTON MUTUAL INVESTORS	B	0.00	3.75	0.00	3.75	90.0	3.38
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$61.67</b>	<b>\$0.00</b>	<b>\$61.67</b>		<b>\$55.53</b>
<b>*** CLEARING TRANSACTIONS TOTAL ***</b>				<b>\$215,022.90</b>	<b>\$6,420.36</b>	<b>\$192.50</b>	<b>\$6,227.86</b>		<b>\$5,605.11</b>

ADJUSTMENTS TRANSACTIONS**BROKER: #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
<b>* SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$-185.00</b>
<b>*** ADJUSTMENTS TRANSACTIONS TOTAL ***</b>			<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$-185.00</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$5,605.11
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

<b>Net Commissions</b>	<b>\$5,420.11</b>
<b>Year-to-date Commissions</b>	<b>\$15,935.54</b>