

COMMISSION STATEMENT

November 30, 2018

BRISKIN DPM

BROKER #: D109

BRANCH: DWA

, TX

COMMISSION STATEMENT for BRISKIN DPM

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: STOCKS

10/31/2018 368260050	RICE, GERALD	S	INNOVIVA INC	S	-9,166.43	15.00	15.00	0.00	0.0	0.00
11/07/2018 368260050	RICE, GERALD	S	DELEK US HOLDINGS INC NEW COM	B	3,860.49	7.50	0.00	7.50	0.0	0.00
11/07/2018 368260050	RICE, GERALD	S	DELEK US HOLDINGS INC NEW COM	B	3,862.94	7.50	15.00	-7.50	0.0	0.00
11/12/2018 368260050	RICE, GERALD	S	BROOKS AUTOMATION INC	S	-9,420.69	15.00	15.00	0.00	0.0	0.00
11/14/2018 368260050	RICE, GERALD	S	DELEK US HOLDINGS INC NEW COM	S	-7,303.61	15.00	15.00	0.00	0.0	0.00
11/14/2018 368260050	RICE, GERALD	S	PROGRESSIVE CORP (OHIO)	S	-6,545.13	8.33	15.00	-6.67	0.0	0.00
11/14/2018 368260050	RICE, GERALD	S	PROGRESSIVE CORP (OHIO)	S	-5,238.06	6.67	0.00	6.67	0.0	0.00
11/15/2018 368260050	RICE, GERALD	S	COCA-COLA EUROPEAN PARTNERS PLC	B	12,129.93	15.00	15.00	0.00	0.0	0.00
11/28/2018 368260050	RICE, GERALD	S	BRINKER INTL INC	B	12,049.01	15.00	15.00	0.00	0.0	0.00
10/31/2018 368357506	DIAZ, LETICIA	S	INNOVIVA INC	S	-9,166.43	15.00	15.00	0.00	0.0	0.00
11/01/2018 368357506	DIAZ, LETICIA	S	DELEK US HOLDINGS INC NEW COM	B	7,543.05	15.00	15.00	0.00	0.0	0.00
11/14/2018 368357506	DIAZ, LETICIA	S	DELEK US HOLDINGS INC NEW COM	S	-3,652.45	7.50	0.00	7.50	0.0	0.00
11/14/2018 368357506	DIAZ, LETICIA	S	DELEK US HOLDINGS INC NEW COM	S	-3,651.00	7.50	15.00	-7.50	0.0	0.00
11/14/2018 368357506	DIAZ, LETICIA	S	PROGRESSIVE CORP (OHIO)	S	-6,545.13	8.33	15.00	-6.67	0.0	0.00
11/14/2018 368357506	DIAZ, LETICIA	S	PROGRESSIVE CORP (OHIO)	S	-5,238.06	6.67	0.00	6.67	0.0	0.00
11/15/2018 368357506	DIAZ, LETICIA	S	COCA-COLA EUROPEAN PARTNERS PLC	B	12,124.95	15.00	15.00	0.00	0.0	0.00
11/26/2018 368364854	DIAZ, LETICIA	S	SYSTEMAX INC	S	-8,216.24	15.00	15.00	0.00	0.0	0.00
10/31/2018 430275860	KIMBRELL TRUST,	S	INNOVIVA INC	S	-4,499.17	7.36	15.00	-7.64	0.0	0.00
10/31/2018 430275860	KIMBRELL TRUST,	S	INNOVIVA INC	S	-3,237.76	5.30	0.00	5.30	0.0	0.00
10/31/2018 430275860	KIMBRELL TRUST,	S	INNOVIVA INC	S	-1,433.64	2.34	0.00	2.34	0.0	0.00
11/01/2018 430275860	KIMBRELL TRUST,	S	DELEK US HOLDINGS INC NEW COM	B	3,768.50	7.50	0.00	7.50	0.0	0.00
11/01/2018 430275860	KIMBRELL TRUST,	S	DELEK US HOLDINGS INC NEW COM	B	3,770.95	7.50	15.00	-7.50	0.0	0.00
11/14/2018 430275860	KIMBRELL TRUST,	S	DELEK US HOLDINGS INC NEW COM	S	-3,653.45	7.50	0.00	7.50	0.0	0.00
11/14/2018 430275860	KIMBRELL TRUST,	S	DELEK US HOLDINGS INC NEW COM	S	-2,557.42	5.25	0.00	5.25	0.0	0.00
11/14/2018 430275860	KIMBRELL TRUST,	S	DELEK US HOLDINGS INC NEW COM	S	-1,093.89	2.25	15.00	-12.75	0.0	0.00
11/14/2018 430275860	KIMBRELL TRUST,	S	PROGRESSIVE CORP (OHIO)	S	-11,781.40	15.00	15.00	0.00	0.0	0.00
11/15/2018 430275860	KIMBRELL TRUST,	S	COCA-COLA EUROPEAN PARTNERS PLC	B	12,129.90	15.00	15.00	0.00	0.0	0.00
10/31/2018 583773480	PARKS, HUBBARD	S	INNOVIVA INC	S	-9,453.43	15.00	15.00	0.00	0.0	0.00
11/01/2018 583773480	PARKS, HUBBARD	S	DELEK US HOLDINGS INC NEW COM	B	7,529.05	15.00	15.00	0.00	0.0	0.00
11/14/2018 583773480	PARKS, HUBBARD	S	DELEK US HOLDINGS INC NEW COM	S	-4,749.49	9.75	0.00	9.75	0.0	0.00
11/14/2018 583773480	PARKS, HUBBARD	S	DELEK US HOLDINGS INC NEW COM	S	-1,826.23	3.75	0.00	3.75	0.0	0.00

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11/14/2018 583773480	PARKS, HUBBARD	S DELEK US HOLDINGS INC NEW COM	S	-365.35	0.75	0.00	0.75	0.0	0.00
11/14/2018 583773480	PARKS, HUBBARD	S DELEK US HOLDINGS INC NEW COM	S	-182.67	0.38	0.00	0.38	0.0	0.00
11/14/2018 583773480	PARKS, HUBBARD	S DELEK US HOLDINGS INC NEW COM	S	-180.22	0.38	15.00	-14.62	0.0	0.00
11/15/2018 583773480	PARKS, HUBBARD	S COCA-COLA EUROPEAN PARTNERS PLC	B	12,124.93	15.00	15.00	0.00	0.0	0.00
* STOCKS SUBTOTAL *				\$-28,263.65	\$330.01	\$330.00	\$0.01		\$0.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

11/21/2018 mfc513730	DPM BRISKIN 513730	MFT DREYFUS OPPORTUNISTIC MIDCAP	B	0.00	14.97	0.00	14.97	0.0	0.00
11/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG LTD TERM INCOME FD CL	B	0.00	13.46	0.00	13.46	0.0	0.00
11/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG INVESTMENT INCOME	B	0.00	1.91	0.00	1.91	0.0	0.00
11/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG INVESTMENT INCOME	B	0.00	6.95	0.00	6.95	0.0	0.00
11/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG INVESTMENT INCOME	B	0.00	10.22	0.00	10.22	0.0	0.00
11/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG STRATEGIC INCOME FD A	B	0.00	10.14	0.00	10.14	0.0	0.00
11/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG STRATEGIC MUNI INCOME	B	0.00	5.04	0.00	5.04	0.0	0.00
11/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG STRATEGIC MUNI INCOME	B	0.00	11.36	0.00	11.36	0.0	0.00
11/21/2018 mfc513730	DPM BRISKIN 513730	MFT THORNBURG STRATEGIC MUNI INCOME	B	0.00	15.13	0.00	15.13	0.0	0.00
11/21/2018 mfc513730	DPM BRISKIN 513730	MFT TRANSAMERICA SMALL/MID CAP	B	0.00	1.67	0.00	1.67	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$90.85	\$0.00	\$90.85		\$0.00
*** CLEARING TRANSACTIONS TOTAL ***				\$-28,263.65	\$420.86	\$330.00	\$90.86		\$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