



All Companies
COMMISSION STATEMENT
April 02, 2018

03/29/2018
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JEFFREY ROTHSCHILD
609 Gunnison Dr.

BROKER #: 9100
BRANCH: HOME OFFICE

ARLINGTON, TX 76006-

COMMISSION STATEMENT for JEFFREY ROTHSCHILD

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
02/28/2018	TRAILS	DELAWARE - GENERAL	B	7.35	7.35	0.00	7.35	70.0	5.15
03/05/2018	000000009020948 CRUMPLEY, EULA	MUTUAL DISC FND - CL A	B	10,728.51	402.32	0.00	402.32	70.0	281.62
	MARIE								
03/05/2018	000006985929016 CRUMPLEY, EULA	TEMPLETON GLOBAL BD FD CL I	B	10,728.50	429.14	0.00	429.14	70.0	300.40
	MARIE								
03/05/2018	000013813284048 CRUMPLEY, EULA	FRANKLIN ADJUSTABLE RATE US GOVT	B	10,728.50	214.57	0.00	214.57	70.0	150.20
	MARIE								
03/05/2018	000015815588332 CRUMPLEY, EULA	FRANKLIN RISING DIVIDEND FD CL I	B	10,728.51	402.32	0.00	402.32	70.0	281.62
	MARIE								
03/05/2018	00002032720 QUALMAN, LESLIE	LIFESTYLE GROWTH PORTFOLIO A	B	200.00	8.50	0.00	8.50	70.0	5.95
03/15/2018	000090238363748 MINATRA, ROYCE	FRANKLIN INCOME FD CL I	B	450.00	18.00	0.00	18.00	70.0	12.60
03/05/2018	000090239694071 CRUMPLEY, EULA	FRANKLIN INCOME FD CL I	B	10,728.50	429.14	0.00	429.14	70.0	300.40
	MARIE								
03/15/2018	00060669572 GAYLORD, CYNTHIA	AMERICAN FUNDS INVESTMENT COMP OF A	B	50.00	1.88	0.00	1.88	70.0	1.32
03/15/2018	00060669573 GAYLORD, THURMOND	AMERICAN FUNDS INVESTMENT COMP OF A	B	50.00	1.88	0.00	1.88	70.0	1.32
03/22/2018	00083784453 ROTHSCHILD, PAUL J	AMERICAN FUNDS CAPITAL WORLD GROWT	B	125.00	6.25	0.00	6.25	70.0	4.38
03/15/2018	00088220301 MINTON, SESSILY/KAIN A.	COLLEGE 2030 FUND-529A	B	100.00	3.50	0.00	3.50	70.0	2.45
03/15/2018	00088220301 MINTON, SESSILY/KAIN A.	THE INVESTMENT COMPANY OF AMERICA-5	B	50.00	2.50	0.00	2.50	70.0	1.75
03/15/2018	00088662742 BLUMKA, RONALD	AMERICAN FUNDS BALANCED FD	B	500.00	18.75	0.00	18.75	70.0	13.13
03/15/2018	00089743823 MINTON, SESSILY	CAPITAL INCOME BUILDER-529A	B	50.00	2.50	0.00	2.50	70.0	1.75
03/15/2018	00089743823 MINTON, SESSILY	COLLEGE 2033 FUND-529A	B	100.00	3.50	0.00	3.50	70.0	2.45
03/15/2018	00089743830 MINTON, SESSILY	CAPITAL INCOME BUILDER-529A	B	50.00	2.50	0.00	2.50	70.0	1.75
03/15/2018	00089743830 MINTON, SESSILY	COLLEGE 2033 FUND-529A	B	100.00	3.50	0.00	3.50	70.0	2.45
* MUTUAL FUNDS SUBTOTAL *				\$55,474.87	\$1,958.10	\$0.00	\$1,958.10		\$1,370.69
<u>PRODUCT CATEGORY: STOCKS</u>									
03/28/2018	SECURITIES, HILLTOP	-HILLTOP SECURITIES	B	136.28	136.28	0.00	136.28	70.0	95.40
* STOCKS SUBTOTAL *				\$136.28	\$136.28	\$0.00	\$136.28		\$95.40

COMMISSION STATEMENT for JEFFREY ROTHSCILD

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
03/15/2018	TRAILS	-PACIFIC LIFE INSURANCE	B	165.67	165.67	0.00	165.67	70.0	115.97
03/09/2018	TRAILS	TRANSAMERICA LIFE INSURANCE	B	212.67	212.67	0.00	212.67	70.0	148.87
03/09/2018	TRAILS	TRANSAMERICA LIFE INSURANCE	B	0.95	0.95	0.00	0.95	70.0	0.67
03/09/2018	TRAILS	TRANSAMERICA LIFE INSURANCE	B	196.75	196.75	0.00	196.75	70.0	137.73
03/09/2018	TRAILS	TRANSAMERICA LIFE INSURANCE	B	88.16	88.16	0.00	88.16	70.0	61.71
* VARIABLE ANNUITIES SUBTOTAL *				\$664.20	\$664.20	\$0.00	\$664.20		\$464.95
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/02/2018	TRAIL COMMISSIONS	JOHN HANCOCK FEES		0.00	21.25	0.00	21.25	70.0	14.87
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$21.25	\$0.00	\$21.25		\$14.87
*** BROKER TRANSACTIONS TOTAL ***				\$56,275.35	\$2,779.83	\$0.00	\$2,779.83		\$1,945.91

SPLIT TRANSACTIONS**BROKER: ROTHSCILD/POOL #9629**

03/19/2018	000000000026397	BUSA, JOSEPHINE JANE	FRK LIFESMART 2015 RTMT TARGET - CL B	75,121.98	1,262.05	0.00	1,262.05	70.0	883.44
03/20/2018	0000000000894129	BUSA, JOSEPHINE JANE	FRANKLIN VALUE FD CL II	50.00	0.30	0.00	0.30	70.0	0.21
03/19/2018	00061397698	RIVARD, JOHN M	AMERICAN FUNDS INVESTMENT COMP OF A B	65.00	1.07	0.00	1.07	70.0	0.75
03/15/2018	00061957268	SMITH, MARK	AMERICAN FUNDS INVESTMENT COMP OF A B	100.00	1.65	0.00	1.65	70.0	1.16
03/19/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS BD FD OF AMER FD B	62.50	1.03	0.00	1.03	70.0	0.72
03/19/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS INCOME FD OF AMERI B	62.50	1.03	0.00	1.03	70.0	0.72
03/19/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS NEW PERSPECTIVE FD B	62.50	1.03	0.00	1.03	70.0	0.72
03/19/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS WA MUTUAL INVES B	62.50	1.03	0.00	1.03	70.0	0.72
03/15/2018	00063806455	ROBERTS, KEVIN	AMERICAN FUNDS INCOME FD OF AMERI B	50.00	1.50	0.00	1.50	70.0	1.05
03/15/2018	00063806455	ROBERTS, KEVIN	AMERICAN FUNDS INVESTMENT COMP OF A B	50.00	1.50	0.00	1.50	70.0	1.05
03/15/2018	00063806455	ROBERTS, KEVIN	AMERICAN FUNDS NEW PERSPECTIVE FD B	50.00	1.50	0.00	1.50	70.0	1.05
03/15/2018	00067724745	ANGELO, CONCORDIA/MILES	AMERICAN FUNDS - GENERAL	30.00	0.54	0.00	0.54	70.0	0.38
03/15/2018	00067724745	ANGELO, CONCORDIA/MILES	AMERICAN MUTUAL FUND-529A	30.00	0.77	0.00	0.77	70.0	0.54
03/15/2018	00067724745	ANGELO, CONCORDIA/MILES	CAPITAL WORLD BOND FUND-529A	30.00	0.54	0.00	0.54	70.0	0.38
03/15/2018	00067724745	ANGELO, CONCORDIA/MILES	THE INCOME FUND OF AMERICA-529A	30.00	0.77	0.00	0.77	70.0	0.54
03/15/2018	00067724745	ANGELO, CONCORDIA/MILES	THE NEW ECONOMY FUND-529A	30.00	0.77	0.00	0.77	70.0	0.54
03/16/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS BD FD OF AMER FD B	203.08	3.65	0.00	3.65	70.0	2.56

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<u>SPLIT TRANSACTIONS</u>									
BROKER: ROTHSCILD/POOL #9629									
03/16/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS BD FD OF AMER FD B	203.08	3.65	0.00	3.65	70.0	2.56
03/16/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS INVESTMENT COMP OF A B	209.24	6.28	0.00	6.28	70.0	4.40
03/16/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS INVESTMENT COMP OF A B	209.24	6.28	0.00	6.28	70.0	4.40
03/16/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS NEW PERSPECTIVE FD B	203.08	6.09	0.00	6.09	70.0	4.26
03/16/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS NEW PERSPECTIVE FD B	203.08	6.09	0.00	6.09	70.0	4.26
03/23/2018	00075957331	SEIBERT, STEVEN	AMERICAN FUNDS CAPITAL WORLD GROWT B	665.00	7.98	0.00	7.98	70.0	5.59
03/21/2018	00082344402	BRISTOL, JR.,	AMERICAN FUNDS NEW PERSPECTIVE FD B	6,500.00	146.25	0.00	146.25	70.0	102.38
		JAMES A							
03/15/2018	00082838137	HODGES, MICHAEL L	AMERICAN FUNDS INVESTMENT COMP OF A B	50.00	1.28	0.00	1.28	70.0	0.90
03/15/2018	00084382054	ROBERTS, ALEXXA	AMERICAN FUNDS BD FD OF AMER FD B	50.00	0.90	0.00	0.90	70.0	0.63
03/15/2018	00084382054	ROBERTS, ALEXXA	AMERICAN FUNDS INVESTMENT COMP OF A B	50.00	1.50	0.00	1.50	70.0	1.05
03/15/2018	00084382054	ROBERTS, ALEXXA	AMERICAN FUNDS NEW PERSPECTIVE FD B	50.00	1.50	0.00	1.50	70.0	1.05
03/15/2018	00085777888	BABAO,	NEW PERSPECTIVE FUND-529C B	100.00	0.60	0.00	0.60	70.0	0.42
		ROMMEL/ISABELLE							
03/15/2018	00085777888	BABAO,	THE GROWTH FUND OF AMERICA-529C B	100.00	0.60	0.00	0.60	70.0	0.42
		ROMMEL/ISABELLE							
03/15/2018	00085777916	BABAO,	AMERICAN BALANCED FUND-529C B	50.00	0.30	0.00	0.30	70.0	0.21
		ROMMEL/RAPHAEL							
03/15/2018	00085777916	BABAO,	FUNDAMENTAL INVESTORS-529C B	100.00	0.60	0.00	0.60	70.0	0.42
		ROMMEL/RAPHAEL							
03/15/2018	00085777916	BABAO,	NEW PERSPECTIVE FUND-529C B	100.00	0.60	0.00	0.60	70.0	0.42
		ROMMEL/RAPHAEL							
03/15/2018	00085777916	BABAO,	THE GROWTH FUND OF AMERICA-529C B	200.00	1.20	0.00	1.20	70.0	0.84
		ROMMEL/RAPHAEL							
03/20/2018	00087441316	DAMRON/HUPP,	COLLEGE 2018 FUND-529A B	50.00	1.05	0.00	1.05	70.0	0.74
		MARTHA/ABIGAIL							
03/20/2018	00087716306	ARCHER, JENNIFER	GROWTH PORTFOLIO-A B	5,500.00	66.00	0.00	66.00	70.0	46.20
03/19/2018	00088056101	PYLE, DYLAN	AMERICAN FUNDS INVESTMENT COMP OF A B	45.00	1.15	0.00	1.15	70.0	0.81
		* ROTHSCILD/POOL SUBTOTAL *		\$90,727.78	\$1,540.63	\$0.00	\$1,540.63		\$1,078.49
		*** SPLIT TRANSACTIONS TOTAL ***		\$90,727.78	\$1,540.63	\$0.00	\$1,540.63		\$1,078.49

COMMISSION STATEMENT for JEFFREY ROTHSCHILD

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

04/02/2018		HILLTOP: CLEARING CHARGES		0.00	0.00	0.00	0.00		-119.50
04/02/2018		HILLTOP: CUSTOMER WRITE OFF		0.00	0.00	0.00	0.00		-47.00
04/02/2018		HILLTOP: MISC TICKET FEES		0.00	0.00	0.00	0.00		116.50
04/02/2018		POSTAGE: FEDEX CHARGES		0.00	0.00	0.00	0.00		-46.78
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-96.78

BROKER COMMISSION TOTALS

Broker Transactions	\$1,945.91
Split Transactions	\$1,078.49
Override Transactions	\$0.00
Adjustments	\$-96.78
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Check Amount	\$2,927.62
Year-to-date Earnings	\$17,192.04