



All Companies

02/27/2018  
Page No. 1

# COMMISSION STATEMENT March 01, 2018

JUDE RAMON L. BARCENAS  
3201 WAREHAM CIRCLE

BROKER #: 9620 Terminated 11/17/2013  
BRANCH: HOME OFFICE

Richardson, TX 75082-

## COMMISSION STATEMENT for JUDE RAMON L. BARCENAS

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

### BROKER TRANSACTIONS

#### PRODUCT CATEGORY: MUTUAL FUNDS

01/31/2018	TRAILS	EATON VANCE - GENERAL	B	2.88	2.88	0.00	2.88	60.0	1.73
02/05/2018	000000000011193 CABRERA, IVY/CHARLES	FRK INTL SMALL CAP GROWTH FUND - CL B		50.00	0.50	0.00	0.50	60.0	0.30
02/05/2018	0000000000026245 BUSA, JOSEPHINE JANE	FRK INTL SMALL CAP GROWTH FUND - CL B		50.00	0.50	0.00	0.50	60.0	0.30
02/05/2018	0000000000188476 CABRERA, IVY/CHARLES	FRANKLIN TOTAL RETURN FUND - CLASS B		50.00	0.50	0.00	0.50	60.0	0.30
02/05/2018	0000000000870307 CABRERA, IVY/CHARLES	FRANKLIN STRATEGIC INC FD CL II B		50.00	0.50	0.00	0.50	60.0	0.30
02/05/2018	0000000001603101 CABRERA, IVY/CHARLES	FRANKLIN TEMPLETON DEVELOPING MARKE B		50.00	0.50	0.00	0.50	60.0	0.30
02/12/2018	0000000006329360 EVANGELISTA, AURELIO/MONIQUE	529 GROWTH & INCOME - C	B	50.00	0.50	0.00	0.50	60.0	0.30
02/12/2018	0000000006329360 EVANGELISTA, AURELIO/MONIQUE	529 SMALL-MID CAP GROWTH C	B	50.00	0.50	0.00	0.50	60.0	0.30
02/12/2018	0000000006330997 EVANGELISTA, AURELIO/BEATRIC	529 GROWTH & INCOME - C	B	75.00	0.75	0.00	0.75	60.0	0.45
02/12/2018	00059867817 AUSTRIA, FELIX	AMERICAN FUNDS INVESTMENT COMP OF A B		50.00	2.50	0.00	2.50	60.0	1.50
02/12/2018	00060555032 JOSE, ANTONIO C.	AMERICAN FUNDS NEW ECONOMY FD	B	50.00	1.88	0.00	1.88	60.0	1.13
02/12/2018	00060555033 JOSE, ANICIA P.	AMERICAN FUNDS AMERICAN MUTUAL FD	B	50.00	1.88	0.00	1.88	60.0	1.13
02/12/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS AMERICAN MUTUAL FD	B	40.00	1.50	0.00	1.50	60.0	0.90
02/12/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS CAPITAL WORLD BD FD B		40.00	1.20	0.00	1.20	60.0	0.72
02/12/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS HIGH INCOME TR FD	B	40.00	1.20	0.00	1.20	60.0	0.72
02/12/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS INCOME FD OF AMERI B		40.00	1.50	0.00	1.50	60.0	0.90
02/12/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS NEW ECONOMY FD	B	40.00	1.50	0.00	1.50	60.0	0.90
02/12/2018	00061689866 JAVELOSA, SANDRA M.	AMERICAN FUNDS GROWTH FUND OF AMERI B		200.00	8.50	0.00	8.50	60.0	5.10
02/15/2018	00062049074 CALUNGSUD, KELLY M.	AMERICAN FUNDS CAPITAL WORLD GROWT B		50.00	1.88	0.00	1.88	60.0	1.13
02/15/2018	00062049074 CALUNGSUD, KELLY M.	AMERICAN FUNDS GROWTH FUND OF AMERI B		50.00	1.88	0.00	1.88	60.0	1.13

COMMISSION STATEMENT for JUDE RAMON L. BARCENAS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>									
02/15/2018	00062049074 CALUNGSUD, KELLY M.	AMERICAN FUNDS HIGH INCOME TR FD	B	50.00	1.50	0.00	1.50	60.0	0.90
02/15/2018	00062049074 CALUNGSUD, KELLY M.	NEW WORLD FUND-A	B	50.00	1.88	0.00	1.88	60.0	1.13
02/15/2018	00064071443 LABRADOR, THERESA/DANIEL	AMERICAN FUNDS AMERICAN MUTUAL FD	B	20.00	1.00	0.00	1.00	60.0	0.60
02/15/2018	00064071443 LABRADOR, THERESA/DANIEL	AMERICAN FUNDS CAPITAL WORLD BD FD B	B	20.00	0.60	0.00	0.60	60.0	0.36
02/15/2018	00064071443 LABRADOR, THERESA/DANIEL	AMERICAN FUNDS HIGH INCOME TR FD	B	20.00	0.60	0.00	0.60	60.0	0.36
02/15/2018	00064071443 LABRADOR, THERESA/DANIEL	AMERICAN FUNDS INCOME FD OF AMERI B	B	20.00	1.00	0.00	1.00	60.0	0.60
02/15/2018	00064071443 LABRADOR, THERESA/DANIEL	AMERICAN FUNDS NEW ECONOMY FD	B	20.00	1.00	0.00	1.00	60.0	0.60
02/15/2018	00066945809 BARCENAS, RODOLFO L.	AMERICAN HIGH-INCOME TRUST-C	B	110.00	1.10	0.00	1.10	60.0	0.66
02/15/2018	00066945809 BARCENAS, RODOLFO L.	AMERICAN MUTUAL FUND-C	B	100.00	1.00	0.00	1.00	60.0	0.60
02/15/2018	00066945809 BARCENAS, RODOLFO L.	CAPITAL WORLD BOND FUND-C	B	80.00	0.80	0.00	0.80	60.0	0.48
02/15/2018	00066945809 BARCENAS, RODOLFO L.	THE INCOME FUND OF AMERICA-C	B	110.00	1.10	0.00	1.10	60.0	0.66
02/15/2018	00066945809 BARCENAS, RODOLFO L.	THE NEW ECONOMY FUND-C	B	100.00	1.00	0.00	1.00	60.0	0.60
02/12/2018	00073447265 JUMAO-AS, LAUREN	AMERICAN FUNDS - GENERAL	B	20.00	0.60	0.00	0.60	60.0	0.36
02/12/2018	00073447265 JUMAO-AS, LAUREN	AMERICAN MUTUAL FUND-529A	B	20.00	1.00	0.00	1.00	60.0	0.60
02/12/2018	00073447265 JUMAO-AS, LAUREN	CAPITAL WORLD BOND FUND-529A	B	20.00	0.60	0.00	0.60	60.0	0.36
02/12/2018	00073447265 JUMAO-AS, LAUREN	THE INCOME FUND OF AMERICA-529A	B	20.00	1.00	0.00	1.00	60.0	0.60
02/12/2018	00073447265 JUMAO-AS, LAUREN	THE NEW ECONOMY FUND-529A	B	20.00	1.00	0.00	1.00	60.0	0.60
02/15/2018	00073580088 FILOTEO-GONZALES, JUDELIA/ISABEL	AMERICAN FUNDS - GENERAL	B	30.00	0.83	0.00	0.83	60.0	0.50
02/15/2018	00073580088 FILOTEO-GONZALES, JUDELIA/ISABEL	AMERICAN MUTUAL FUND-529A	B	30.00	0.83	0.00	0.83	60.0	0.50
02/15/2018	00073580088 FILOTEO-GONZALES, JUDELIA/ISABEL	CAPITAL WORLD BOND FUND-529A	B	30.00	0.83	0.00	0.83	60.0	0.50
02/15/2018	00073580088 FILOTEO-GONZALES, JUDELIA/ISABEL	THE INCOME FUND OF AMERICA-529A	B	30.00	0.83	0.00	0.83	60.0	0.50
02/15/2018	00073580088 FILOTEO-GONZALES, JUDELIA/ISABEL	THE NEW ECONOMY FUND-529A	B	30.00	0.83	0.00	0.83	60.0	0.50
02/15/2018	00075871895 SEGUNDO,	CAPITAL WORLD GROWTH AND INCOME-529 B	B	50.00	2.50	0.00	2.50	60.0	1.50

COMMISSION STATEMENT for JUDE RAMON L. BARCENAS

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>									
	LORENCE/DANIEL								
02/15/2018	00081127981 GARCIA, RODOLFO/RODIVIC	AMERICAN FUNDS - GENERAL	B	30.00	0.90	0.00	0.90	60.0	0.54
02/15/2018	00081127981 GARCIA, RODOLFO/RODIVIC	AMERICAN MUTUAL FUND-529A	B	30.00	1.13	0.00	1.13	60.0	0.68
02/15/2018	00081127981 GARCIA, RODOLFO/RODIVIC	CAPITAL WORLD BOND FUND-529A	B	30.00	0.90	0.00	0.90	60.0	0.54
02/15/2018	00081127981 GARCIA, RODOLFO/RODIVIC	THE INCOME FUND OF AMERICA-529A	B	30.00	1.13	0.00	1.13	60.0	0.68
02/15/2018	00081127981 GARCIA, RODOLFO/RODIVIC	THE NEW ECONOMY FUND-529A	B	30.00	1.13	0.00	1.13	60.0	0.68
02/12/2018	00081663389 BUSA, JOSEPHINE JANE	AMERICAN FUNDS HIGH INCOME TR FD	B	50.00	1.50	0.00	1.50	60.0	0.90
02/12/2018	00081663389 BUSA, JOSEPHINE JANE	AMERICAN FUNDS NEW ECONOMY FD	B	50.00	2.50	0.00	2.50	60.0	1.50
02/15/2018	00082732703 CABRERA, IVY	AMERICAN FUNDS AMERICAN MUTUAL FD	B	100.00	4.25	0.00	4.25	60.0	2.55
02/15/2018	00083580212 MASINAG, NELSON/KEVIN	AMERICAN FUNDS - GENERAL	B	100.00	3.00	0.00	3.00	60.0	1.80
02/15/2018	00083580212 MASINAG, NELSON/KEVIN	AMERICAN MUTUAL FUND-529A	B	100.00	3.75	0.00	3.75	60.0	2.25
02/15/2018	00083580212 MASINAG, NELSON/KEVIN	CAPITAL WORLD BOND FUND-529A	B	100.00	3.00	0.00	3.00	60.0	1.80
02/15/2018	00083580212 MASINAG, NELSON/KEVIN	THE INCOME FUND OF AMERICA-529A	B	100.00	3.75	0.00	3.75	60.0	2.25
02/15/2018	00083580212 MASINAG, NELSON/KEVIN	THE NEW ECONOMY FUND-529A	B	100.00	3.75	0.00	3.75	60.0	2.25
02/15/2018	00085777888 BABAO, ROMMEL/ISABELLE	NEW PERSPECTIVE FUND-529C	B	100.00	1.00	0.00	1.00	60.0	0.60
02/15/2018	00085777888 BABAO, ROMMEL/ISABELLE	THE GROWTH FUND OF AMERICA-529C	B	100.00	1.00	0.00	1.00	60.0	0.60
02/15/2018	00085777916 BABAO, ROMMEL/RAPHAEL	AMERICAN BALANCED FUND-529C	B	50.00	0.50	0.00	0.50	60.0	0.30
02/15/2018	00085777916 BABAO, ROMMEL/RAPHAEL	FUNDAMENTAL INVESTORS-529C	B	100.00	1.00	0.00	1.00	60.0	0.60
02/15/2018	00085777916 BABAO, ROMMEL/RAPHAEL	NEW PERSPECTIVE FUND-529C	B	100.00	1.00	0.00	1.00	60.0	0.60
02/15/2018	00085777916 BABAO, ROMMEL/RAPHAEL	THE GROWTH FUND OF AMERICA-529C	B	200.00	2.00	0.00	2.00	60.0	1.20
02/12/2018	00087696729 LINUS L CUNANAN, MIGUEL	THE NEW ECONOMY FUND-529A	B	100.00	5.00	0.00	5.00	60.0	3.00

COMMISSION STATEMENT for JUDE RAMON L. BARCENAS

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

BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

02/12/2018	00087696759 LINUS L CUNANAN, MIGUEL	THE NEW ECONOMY FUND-529A	B	100.00	5.00	0.00	5.00	60.0	3.00
02/12/2018	04038841757 JOSE, ANTONIO C.	AIM ENERGY FUND - CLASS A	B	50.00	2.50	0.00	2.50	60.0	1.50
02/15/2018	2203006058 TACUYAN, EVA/ANGELINE	OPPENHEIMER US GOVT TRUST FD	CL A B	100.00	2.00	0.00	2.00	60.0	1.20
02/01/2018	2203006069 TACUYAN, JERRY	OPPENHEIMER US GOVT TRUST FD	CL A B	50.00	1.00	0.00	1.00	60.0	0.60
02/15/2018	2304545742 TACUYAN, EVA/ANGELINE	OPPENHEIMER STRATEGIC INCOME	FD CL B	100.00	3.75	0.00	3.75	60.0	2.25
02/01/2018	2304545753 TACUYAN, JERRY	OPPENHEIMER STRATEGIC INCOME	FD CL B	50.00	1.88	0.00	1.88	60.0	1.13
* MUTUAL FUNDS SUBTOTAL *				\$4,127.88	\$114.30	\$0.00	\$114.30		\$68.61

PRODUCT CATEGORY: VARIABLE ANNUITIES

02/15/2018	DEVEZA, NENITA	-PACIFIC LIFE INSURANCE	B	283.17	8.50	0.00	8.50	60.0	5.10
02/15/2018	ALONZO, KELLY/KYLE	-PACIFIC LIFE INSURANCE	B	72.10	1.44	0.00	1.44	60.0	0.86
02/15/2018	ALONZO, KELLY/KACEY	-PACIFIC LIFE INSURANCE	B	34.75	0.70	0.00	0.70	60.0	0.42
02/15/2018	ALONZO, KELLY/KYLER C.	-PACIFIC LIFE INSURANCE	B	17.83	0.36	0.00	0.36	60.0	0.22
02/06/2018	TRAILS	LINCOLN BENEFIT LIFE	B	2.19	2.19	0.00	2.19	60.0	1.31
* VARIABLE ANNUITIES SUBTOTAL *				\$410.04	\$13.19	\$0.00	\$13.19		\$7.91

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/01/2018	TRAIL COMMISSIONS	COLUMBIA THREADNEEDLE FEES		0.00	5.53	0.00	5.53	60.0	3.32
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$5.53	\$0.00	\$5.53		\$3.32
*** BROKER TRANSACTIONS TOTAL ***				\$4,537.92	\$133.02	\$0.00	\$133.02		\$79.84

BROKER COMMISSION TOTALS

Broker Transactions	\$79.84
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Check Amount	\$79.84
Year-to-date Earnings	\$3,174.12