



All Companies

07/12/2018

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# COMMISSION STATEMENT

July 16, 2018

MICHAEL C. MOYNIHAN  
700 Throckmorton

BROKER #: 9528  
BRANCH: HOME OFFICE

Fort Worth, TX 76102

## COMMISSION STATEMENT for MICHAEL C. MOYNIHAN

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

#### PRODUCT CATEGORY: MUTUAL FUNDS

06/30/2018	TRAILS	-OPPENHEIMER FUNDS	B	1.24	1.24	0.00	1.24	90.0	1.12
06/30/2018	TRAILS	-OPPENHEIMER FUNDS	B	32.27	32.27	0.00	32.27	90.0	29.04
06/30/2018	TRAILS	-OPPENHEIMER FUNDS	B	45.73	45.73	0.00	45.73	90.0	41.16
06/30/2018	TRAILS	-PUTNAM	B	68.97	68.97	0.00	68.97	90.0	62.07
06/30/2018	TRAILS	-PUTNAM	B	24.84	24.84	0.00	24.84	90.0	22.36
06/30/2018	TRAILS	-SCHOLARS EDGE 529 PLAN	B	29.30	29.30	0.00	29.30	90.0	26.37
06/30/2018	TRAILS	FORESTERS FINANCIAL	B	7.85	7.85	0.00	7.85	90.0	7.07
06/30/2018	TRAILS	FORESTERS FINANCIAL	B	697.01	697.01	0.00	697.01	90.0	627.31
06/21/2018	DOYLE, BLAKE	PRINCIPAL MUTUAL FUND	B	210.00	6.30	0.00	6.30	90.0	5.67
07/05/2018	000000000693996 OWENS, RYAN T.	FRK TEMP COREFOLIO ALLOC FND CL - A B		300.00	15.00	0.00	15.00	90.0	13.50
06/25/2018	000000000709446 WALL, MATTHEW/ADRIENN A.	FRK TEMP COREFOLIO ALLOC FND CL - A B		458.60	22.92	0.00	22.92	90.0	20.63
07/05/2018	000000005773748 DUNKIN, PHILLIP/COLBY	GROWTH ASSET ALLOC 13-16 YRS - CLAS B		50.00	1.40	0.00	1.40	90.0	1.26
07/02/2018	000000006174104 COTE, PATTY S.	FRK TEMP FOUNDING FUNDS ALLOC FND C B		250.00	12.50	0.00	12.50	90.0	11.25
07/05/2018	000000007610491 QUIROZ, ORLANDO	GROWTH ASSET ALLOC NEWBORN-8 YRS-CL B		50.00	2.50	0.00	2.50	90.0	2.25
06/22/2018	00001664121 HUTCHISON, VIKKI	LIFESTYLE GROWTH PORTFOLIO A	B	223.08	6.36	0.00	6.36	90.0	5.72
06/18/2018	00001731052 MITCHELL, NATALIE	LIFESTYLE BALANCED PORTFOLIO A	B	230.00	8.63	0.00	8.63	90.0	7.77
06/21/2018	00002119967 MATHIS, JANET	LIFESTYLE GROWTH PORTFOLIO A	B	150.05	6.38	0.00	6.38	90.0	5.74
06/21/2018	00031779996 DOYLE, BLAKE	GLOBAL OPPORTUNITIES (A)	B	140.00	4.20	0.00	4.20	90.0	3.78
06/21/2018	00031779996 DOYLE, BLAKE	SMALL-MIDCAP DIVIDEND INCOME (A)	B	140.00	4.20	0.00	4.20	90.0	3.78
06/21/2018	00031780010 DOYLE, BLAKE E.	GLOBAL OPPORTUNITIES (A)	B	110.00	3.30	0.00	3.30	90.0	2.97
06/15/2018	00052962457 BELCHER, JAMES W/JAMES C	PORTFOLIO 2033-2036 A	B	50.00	2.13	0.00	2.13	90.0	1.92
07/02/2018	00068047824 DE SMIT, DIANA D	AMERICAN FUNDS GROWTH FUND OF AMERI B		541.66	10.83	0.00	10.83	90.0	9.75
07/06/2018	00073345834 VASQUEZ, DAVID	AMERICAN FUNDS CAPITAL WORLD BD FD B		26.77	0.74	0.00	0.74	90.0	0.67
07/06/2018	00073345834 VASQUEZ, DAVID	AMERICAN FUNDS CAPITAL WORLD BD FD B		26.77	0.74	0.00	0.74	90.0	0.67
07/05/2018	00073689293 DE SMIT, PAUL	AMERICAN FUNDS NEW PERSPECTIVE FD B		541.66	10.83	0.00	10.83	90.0	9.75
07/02/2018	00074961084 MONTGOMERY, JERMAINE	AMERICAN FUNDS CAPITAL WORLD GROWT B		100.00	2.00	0.00	2.00	90.0	1.80

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
07/02/2018	00074961084	MONTGOMERY, JERMAINE		AMERICAN FUNDS GROWTH FUND OF AMERI B	100.00	2.00	0.00	2.00	90.0 1.80
07/02/2018	00074961084	MONTGOMERY, JERMAINE		AMERICAN FUNDS INCOME FD OF AMERI B	100.00	2.00	0.00	2.00	90.0 1.80
07/05/2018	00075036376	GOLDEN, BARBARA		AMERICAN FUNDS CAPITAL INCOME BUILD B	150.00	5.63	0.00	5.63	90.0 5.07
07/05/2018	00075036376	GOLDEN, BARBARA		AMERICAN FUNDS CAPITAL WORLD GROWT B	150.00	5.63	0.00	5.63	90.0 5.07
06/29/2018	00075979142	LARA-MONTGOMERY, JENNIFER A		AMERICAN FUNDS CAPITAL WORLD GROWT B	100.00	2.00	0.00	2.00	90.0 1.80
07/06/2018	00082140597	DAVILA, JAIME A		AMERICAN FUNDS CAPITAL INCOME BUILD B	13.86	0.38	0.00	0.38	90.0 0.34
07/06/2018	00082140597	DAVILA, JAIME A		AMERICAN FUNDS CAPITAL INCOME BUILD B	25.00	0.69	0.00	0.69	90.0 0.62
07/02/2018	00084124051	PARISH/ALLEN, VICTORIA/JULIE		CAPITAL WORLD GROWTH AND INCOME-529 B	25.00	1.06	0.00	1.06	90.0 0.95
06/25/2018	00084917868	SASSMAN, STETSON		FUNDAMENTAL INVESTORS-529A B	100.00	4.25	0.00	4.25	90.0 3.83
06/25/2018	00086510197	SASSMAN, STETSON		FUNDAMENTAL INVESTORS-529A B	100.00	4.25	0.00	4.25	90.0 3.83
06/25/2018	00086510293	SASSMAN, STETSON		FUNDAMENTAL INVESTORS-529A B	100.00	4.25	0.00	4.25	90.0 3.83
06/26/2018	00086824865	BANKS, HEATHER		AMERICAN FUNDS CAPITAL WORLD GROWT B	148.81	5.58	0.00	5.58	90.0 5.02
06/26/2018	00086824865	BANKS, HEATHER		AMERICAN FUNDS CAPITAL WORLD GROWT B	74.40	2.79	0.00	2.79	90.0 2.51
07/06/2018	00086824865	BANKS, HEATHER		AMERICAN FUNDS CAPITAL WORLD GROWT B	74.40	2.79	0.00	2.79	90.0 2.51
07/06/2018	00086824865	BANKS, HEATHER		AMERICAN FUNDS CAPITAL WORLD GROWT B	148.81	5.58	0.00	5.58	90.0 5.02
06/26/2018	00086824865	BANKS, HEATHER		AMERICAN FUNDS NEW ECONOMY FD B	148.80	5.58	0.00	5.58	90.0 5.02
06/26/2018	00086824865	BANKS, HEATHER		AMERICAN FUNDS NEW ECONOMY FD B	74.41	2.79	0.00	2.79	90.0 2.51
07/06/2018	00086824865	BANKS, HEATHER		AMERICAN FUNDS NEW ECONOMY FD B	74.41	2.79	0.00	2.79	90.0 2.51
07/06/2018	00086824865	BANKS, HEATHER		AMERICAN FUNDS NEW ECONOMY FD B	148.80	5.58	0.00	5.58	90.0 5.02
07/02/2018	00087416414	WHITE, CINDY C.		GROWTH PORTFOLIO-A B	150.00	7.50	0.00	7.50	90.0 6.75
06/25/2018	00088005709	GOTTWALD, KATY WEBER		GROWTH PORTFOLIO-A B	100.00	4.25	0.00	4.25	90.0 3.83
07/06/2018	00088625904	SHUMATE, BRENDA K		AMERICAN FUNDS 2020 TARGET DATE-A B	150.00	4.13	0.00	4.13	90.0 3.72
07/06/2018	00088625904	SHUMATE, BRENDA K		AMERICAN FUNDS 2020 TARGET DATE-A B	51.18	1.41	0.00	1.41	90.0 1.27
07/06/2018	00088628251	GRINDELE, RUSSELL G.		AMERICAN FUNDS 2025 TARGET DATE-A B	26.40	0.73	0.00	0.73	90.0 0.66
07/06/2018	00088628251	GRINDELE, RUSSELL G.		AMERICAN FUNDS 2025 TARGET DATE-A B	26.40	0.73	0.00	0.73	90.0 0.66
07/06/2018	00089316769	JIMENEZ, MANUEL		AMERICAN FUNDS 2020 TARGET DATE-A B	10.00	0.28	0.00	0.28	90.0 0.25
07/06/2018	00089316769	JIMENEZ, MANUEL		AMERICAN FUNDS 2020 TARGET DATE-A B	10.00	0.28	0.00	0.28	90.0 0.25
07/06/2018	00089357575	CONTRERAS, JUAN J.		AMERICAN FUNDS 2020 TARGET DATE-A B	70.00	1.93	0.00	1.93	90.0 1.74
07/06/2018	00089357575	CONTRERAS, JUAN J.		AMERICAN FUNDS 2020 TARGET DATE-A B	28.80	0.79	0.00	0.79	90.0 0.71
06/25/2018	00089825255	SASSMAN, KATHLEEN/SARAH		COLLEGE 2033 FUND-529A B	100.00	3.50	0.00	3.50	90.0 3.15
06/15/2018	00207266994	INGRAM, MEGAN L/MONDRAE		PORTFOLIO 2029-2032 A B	50.00	2.13	0.00	2.13	90.0 1.92

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>									
07/02/2018	04000020963 BURK, SHANNON KELLEY M.	AMERICAN FUNDS 2050 TARGET DATE-A	B	458.33	19.48	0.00	19.48	90.0	17.53
07/03/2018	04000037092 KELLEY, JENNIFER F.	AMERICAN FUNDS 2040 TARGET DATE-A	B	458.33	17.19	0.00	17.19	90.0	15.47
07/02/2018	04000470737 MINTER, ETHAN M.	AMERICAN FUNDS 2050 TARGET DATE-A	B	300.00	15.00	0.00	15.00	90.0	13.50
07/02/2018	04000476660 PARISH, WESLEY	COLLEGE 2033 FUND-529A	B	50.00	1.75	0.00	1.75	90.0	1.58
07/02/2018	04000795732 BETTIS, ZACHERY	GROWTH PORTFOLIO-529A	B	50.00	2.50	0.00	2.50	90.0	2.25
07/02/2018	04000795807 BETTIS, ZACHERY	GROWTH PORTFOLIO-529A	B	50.00	2.50	0.00	2.50	90.0	2.25
06/15/2018	07004631807 INGRAM, MEGAN /MORGHAN	PORTFOLIO 2033-2036 A	B	50.00	2.13	0.00	2.13	90.0	1.92
* MUTUAL FUNDS SUBTOTAL *				<u>\$8,551.94</u>	<u>\$1,182.00</u>	<u>\$0.00</u>	<u>\$1,182.00</u>		<u>\$1,063.85</u>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>									
06/30/2018	TRAILS	-HARTFORD LIFE	B	3.88	3.88	0.00	3.88	90.0	3.49
06/30/2018	TRAILS	-HARTFORD LIFE	B	31.35	31.35	0.00	31.35	90.0	28.22
07/02/2018	HYDINGER, DANIEL	BRIGHTHOUSE FINANCIAL	B	200.00	0.00	0.00	0.00	90.0	0.00
07/02/2018	HYDINGER, DANIEL	BRIGHTHOUSE FINANCIAL	B	200.00	4.00	0.00	4.00	90.0	3.60
06/30/2018	TRAILS	LINCOLN NATIONAL LIFE INSURANCE COM B		214.80	0.00	0.00	0.00	90.0	0.00
06/30/2018	TRAILS	LINCOLN NATIONAL LIFE INSURANCE COM B		214.80	214.80	0.00	214.80	90.0	193.32
* VARIABLE ANNUITIES SUBTOTAL *				<u>\$864.83</u>	<u>\$254.03</u>	<u>\$0.00</u>	<u>\$254.03</u>		<u>\$228.63</u>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
07/16/2018	TRAIL COMMISSIONS	INVESCO LTD FEES		0.00	6.97	0.00	6.97	90.0	6.27
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				<u>\$0.00</u>	<u>\$6.97</u>	<u>\$0.00</u>	<u>\$6.97</u>		<u>\$6.27</u>
*** BROKER TRANSACTIONS TOTAL ***				<u>\$9,416.77</u>	<u>\$1,443.00</u>	<u>\$0.00</u>	<u>\$1,443.00</u>		<u>\$1,298.75</u>
<b><u>ADJUSTMENTS</u></b>									
07/16/2018		E & O INSURANCE: 1/2 MONTHLY		0.00	0.00	0.00	0.00		-100.00
07/16/2018		POSTAGE: POSTAGE		0.00	0.00	0.00	0.00		-5.64
07/16/2018		RENT: 1/2 MONTH		0.00	0.00	0.00	0.00		-125.00
07/16/2018		TECH: MONTHLY TECH SERVICES		0.00	0.00	0.00	0.00		-27.50
*** ADJUSTMENTS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-258.14</u>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$1,298.75
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-258.14
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Check Amount	\$1,040.61
Year-to-date Earnings	\$160,896.88