



All Companies

01/11/2018  
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# COMMISSION STATEMENT

## January 16, 2018

JOHN J. O'REILLY  
25042 SUMMIT CREEK

BROKER #: 9585  
BRANCH: HOME OFFICE

San Antonio, TX 78258-

### COMMISSION STATEMENT for JOHN J. O'REILLY

| TRADE DATE                            | CLIENT                               | INVESTMENT                            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------|--------------------------------------|---------------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>     |                                      |                                       |     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS</b> |                                      |                                       |     |                      |                     |                    |                   |      |                      |
| 12/31/2017                            | TRAILS                               | -OPPENHEIMER FUNDS                    | B   | 377.45               | 377.45              | 0.00               | 377.45            | 70.0 | 264.22               |
| 12/31/2017                            | TRAILS                               | -SCHOLARS EDGE 529 PLAN               | B   | 1.05                 | 1.05                | 0.00               | 1.05              | 70.0 | 0.74                 |
| 12/31/2017                            | TRAILS                               | -SCHOLARS EDGE 529 PLAN               | B   | 40.24                | 40.24               | 0.00               | 40.24             | 70.0 | 28.17                |
| 11/30/2017                            | TRAILS                               | BLACK ROCK                            | B   | 0.42                 | 0.42                | 0.00               | 0.42              | 70.0 | 0.29                 |
| 11/30/2017                            | TRAILS                               | BLACK ROCK                            | B   | 0.42                 | 0.42                | 0.00               | 0.42              | 70.0 | 0.29                 |
| 12/19/2017                            | GONZALES, JACOB L.                   | FORESTERS FINANCIAL                   | B   | 30.00                | 1.42                | 0.00               | 1.42              | 70.0 | 0.99                 |
| 12/31/2017                            | TRAILS                               | FORESTERS FINANCIAL                   | B   | 11.41                | 11.41               | 0.00               | 11.41             | 70.0 | 7.99                 |
| 12/31/2017                            | TRAILS                               | FORESTERS FINANCIAL                   | B   | 29.29                | 29.29               | 0.00               | 29.29             | 70.0 | 20.50                |
| 12/26/2017                            | 000000000092231 TARPINIAN,<br>JOSEPH | FRK INTL SMALL CAP GROWTH FUND - CL B | B   | 50.00                | 2.50                | 0.00               | 2.50              | 70.0 | 1.75                 |
| 12/26/2017                            | 000000000092243 JONES, KAREN         | FRK INTL SMALL CAP GROWTH FUND - CL B | B   | 55.00                | 1.54                | 0.00               | 1.54              | 70.0 | 1.08                 |
| 12/26/2017                            | 000000001177637 JONES, KAREN<br>M.   | FRK AGGRESSIVE GRWTH - CL A           | B   | 96.25                | 2.70                | 0.00               | 2.70              | 70.0 | 1.89                 |
| 01/02/2018                            | 000000001292996 SCOTT, TAMMY         | FRANKLIN RISING DIVIDEND 2 FD         | B   | 50.00                | 0.50                | 0.00               | 0.50              | 70.0 | 0.35                 |
| 12/26/2017                            | 000006982462769 JONES, KAREN         | TEMPLETON GLOBAL BD FD CL I           | B   | 27.50                | 0.77                | 0.00               | 0.77              | 70.0 | 0.54                 |
| 12/26/2017                            | 000015813931074 TARPINIAN,<br>JOSEPH | FRANKLIN RISING DIVIDEND FD CL I      | B   | 50.00                | 2.50                | 0.00               | 2.50              | 70.0 | 1.75                 |
| 12/26/2017                            | 000015813931100 JONES, KAREN         | FRANKLIN RISING DIVIDEND FD CL I      | B   | 96.25                | 2.70                | 0.00               | 2.70              | 70.0 | 1.89                 |
| 12/29/2017                            | 00084586485 GUAJARDO, JORGE          | THE GROWTH FUND OF AMERICA-C          | B   | 150.00               | 1.50                | 0.00               | 1.50              | 70.0 | 1.05                 |
| 01/02/2018                            | 00084988489 KINZIE, CAROLINE         | INTERNATIONAL GROWTH AND INCOME-529 B | B   | 50.00                | 2.50                | 0.00               | 2.50              | 70.0 | 1.75                 |
| 12/21/2017                            | 01001201559 PLAN - 211696, PS        | INVESCO MID CAP CORE EQUITY FUND-CL B | B   | 11.60                | 0.09                | 0.00               | 0.09              | 70.0 | 0.06                 |
| 12/29/2017                            | 01001201559 PLAN - 211696, PS        | INVESCO MID CAP CORE EQUITY FUND-CL B | B   | 4.78                 | 0.04                | 0.00               | 0.04              | 70.0 | 0.03                 |
| 01/04/2018                            | 01001201559 PLAN - 211696, PS        | INVESCO MID CAP CORE EQUITY FUND-CL B | B   | 2.62                 | 0.02                | 0.00               | 0.02              | 70.0 | 0.01                 |
| 12/29/2017                            | 02000035695 RIOS, ELVIRA             | AGES 12-14 YEARS A                    | B   | 50.00                | 2.00                | 0.00               | 2.00              | 70.0 | 1.40                 |
| 12/21/2017                            | 1952247729 KINZIE, MELANIE           | INTERNATIONAL DIVERSIFIED FUND A      | B   | 50.00                | 2.38                | 0.00               | 2.38              | 70.0 | 1.67                 |
| 12/27/2017                            | 1970666875 PINA-HERNANDEZ,<br>DIANA  | INTERNATIONAL DIVERSIFIED FUND C      | B   | 131.25               | 1.31                | 0.00               | 1.31              | 70.0 | 0.92                 |
| 12/27/2017                            | 1970871068 MUSQUIZ, CYNTHIA          | INTERNATIONAL DIVERSIFIED FUND C      | B   | 30.00                | 0.30                | 0.00               | 0.30              | 70.0 | 0.21                 |
| 12/27/2017                            | 2270927927 MUSQUIZ, CYNTHIA          | OPPENHEIMER QUEST VALUE FD CL C B     | B   | 45.00                | 0.45                | 0.00               | 0.45              | 70.0 | 0.32                 |
| 12/27/2017                            | 2322742234 MUSQUIZ, CYNTHIA          | OPPENHEIMER STRATEGIC INCOME FD CL B  | B   | 15.00                | 0.15                | 0.00               | 0.15              | 70.0 | 0.11                 |
| 12/21/2017                            | 2513644465 WONG, FRANCESCA           | OPPENHEIMER QUEST SMALL CAP VALUE B   | B   | 100.00               | 4.00                | 0.00               | 4.00              | 70.0 | 2.80                 |

COMMISSION STATEMENT for JOHN J. O'REILLY

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

BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

|            |            |                          |                                       |   |       |      |      |      |      |      |
|------------|------------|--------------------------|---------------------------------------|---|-------|------|------|------|------|------|
| 12/27/2017 | 2931797433 | MUSQUIZ, CYNTHIA         | SENIOR FLOATING RATE FUND C           | B | 15.00 | 0.15 | 0.00 | 0.15 | 70.0 | 0.11 |
| 12/20/2017 | 3305138454 | DYKES, LORI LEE          | OPPENHEIMER GLOBAL FD CL A            | B | 56.25 | 2.67 | 0.00 | 2.67 | 70.0 | 1.87 |
| 12/27/2017 | 4120809215 | MUSQUIZ, CYNTHIA         | OPPENHEIMER GOLD & SPECIAL MINER B    | B | 15.00 | 0.15 | 0.00 | 0.15 | 70.0 | 0.11 |
| 12/27/2017 | 5020458436 | MUSQUIZ, CYNTHIA         | OPPENHEIMER DISCOVERY FD CL C         | B | 30.00 | 0.30 | 0.00 | 0.30 | 70.0 | 0.21 |
| 12/27/2017 | 5920295900 | MUSQUIZ, CYNTHIA         | REAL ESTATE FUND C                    | B | 15.00 | 0.15 | 0.00 | 0.15 | 70.0 | 0.11 |
| 12/27/2017 | 7872043426 | MUSQUIZ, CYNTHIA         | OPPENHEIMER DEVELOPING MARKET FD CL B | B | 30.00 | 0.30 | 0.00 | 0.30 | 70.0 | 0.21 |
| 12/27/2017 | 8270776754 | MUSQUIZ, CYNTHIA         | OPPENHEIMER INTL GROWTH FD CL C       | B | 45.00 | 0.45 | 0.00 | 0.45 | 70.0 | 0.32 |
| 12/21/2017 | 8351853291 | KINZIE, MELANIE          | OPPENHEIMER QUEST CAPITAL VALUE B     | B | 25.00 | 1.19 | 0.00 | 1.19 | 70.0 | 0.83 |
| 12/27/2017 | 8370475684 | MUSQUIZ, CYNTHIA         | EQUITY INCOME FUND, INC. C            | B | 60.00 | 0.60 | 0.00 | 0.60 | 70.0 | 0.42 |
| 12/20/2017 | 8806365271 | DYKES, LORI LEE          | OPPENHEIMER INTL BD FD CL A           | B | 18.75 | 0.75 | 0.00 | 0.75 | 70.0 | 0.53 |
| 12/21/2017 | 8809188872 | KINZIE, MELANIE          | OPPENHEIMER INTL BD FD CL A           | B | 25.00 | 1.00 | 0.00 | 1.00 | 70.0 | 0.70 |
| 12/27/2017 | 8821716979 | PINA-HERNANDEZ,<br>DIANA | OPPENHEIMER INTL BD FD CL C           | B | 43.75 | 0.44 | 0.00 | 0.44 | 70.0 | 0.31 |

|                           |            |          |        |          |          |
|---------------------------|------------|----------|--------|----------|----------|
| * MUTUAL FUNDS SUBTOTAL * | \$1,934.28 | \$497.80 | \$0.00 | \$497.80 | \$348.50 |
|---------------------------|------------|----------|--------|----------|----------|

PRODUCT CATEGORY: FIXED ANNUITIES

|                                   |                    |              |   |            |          |        |          |      |          |
|-----------------------------------|--------------------|--------------|---|------------|----------|--------|----------|------|----------|
| 11/16/2017                        | ANDRADE, MONICO V. | PACIFIC LIFE | B | 440.00     | 4.40     | 0.00   | 4.40     | 70.0 | 3.08     |
| 11/20/2017                        | WONG, GARY W       | PACIFIC LIFE | B | 550.40     | 5.50     | 0.00   | 5.50     | 70.0 | 3.85     |
| 11/20/2017                        | MCCANN, FRED E     | PACIFIC LIFE | B | 750.00     | 7.50     | 0.00   | 7.50     | 70.0 | 5.25     |
| * FIXED ANNUITIES SUBTOTAL *      |                    |              |   | \$1,740.40 | \$17.40  | \$0.00 | \$17.40  |      | \$12.18  |
| *** BROKER TRANSACTIONS TOTAL *** |                    |              |   | \$3,674.68 | \$515.20 | \$0.00 | \$515.20 |      | \$360.68 |

ADJUSTMENTS

|                           |                             |  |  |        |        |        |        |  |          |
|---------------------------|-----------------------------|--|--|--------|--------|--------|--------|--|----------|
| 01/16/2018                | TECH: MONTHLY TECH SERVICES |  |  | 0.00   | 0.00   | 0.00   | 0.00   |  | -27.50   |
| *** ADJUSTMENTS TOTAL *** |                             |  |  | \$0.00 | \$0.00 | \$0.00 | \$0.00 |  | \$-27.50 |

**BROKER COMMISSION TOTALS**

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$360.68 |
| Split Transactions    | \$0.00   |
| Override Transactions | \$0.00   |
| Adjustments           | \$-27.50 |
| Payroll Draw          | \$0.00   |
| Base Salary           | \$0.00   |
| Prior Period Balance  | \$0.00   |

|                              |                   |
|------------------------------|-------------------|
| <b>Check Amount</b>          | <b>\$333.18</b>   |
| <b>Year-to-date Earnings</b> | <b>\$4,319.15</b> |