



All Companies

01/30/2018
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COMMISSION STATEMENT February 01, 2018

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
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

12/31/2017	TRAILS	-PUTNAM	B	39.23	39.23	0.00	39.23	70.0	27.46	
12/31/2017	TRAILS	COLLEGEBOUND 529	B	142.22	142.22	0.00	142.22	70.0	99.55	
12/31/2017	TRAILS	DELAWARE - GENERAL	B	7.47	7.47	0.00	7.47	70.0	5.23	
12/31/2017	TRAILS	PACIFIC LIFE FUNDS - GENERAL	B	160.44	160.44	0.00	160.44	70.0	112.31	
01/03/2018	00002032720	QUALMAN, LESLIE	LIFESTYLE GROWTH PORTFOLIO A	B	200.00	8.50	0.00	8.50	70.0	5.95
01/16/2018	000090238363748	MINATRA, ROYCE	FRANKLIN INCOME FD CL I	B	450.00	18.00	0.00	18.00	70.0	12.60
01/16/2018	00060669572	GAYLORD, CYNTHIA	AMERICAN FUNDS INVESTMENT COMP OF A B	B	50.00	1.88	0.00	1.88	70.0	1.32
01/16/2018	00060669573	GAYLORD, THURMOND	AMERICAN FUNDS INVESTMENT COMP OF A B	B	50.00	1.88	0.00	1.88	70.0	1.32
01/16/2018	00088220301	MINTON, SESSILY/KAIN A.	COLLEGE 2030 FUND-529A	B	100.00	3.50	0.00	3.50	70.0	2.45
01/16/2018	00088220301	MINTON, SESSILY/KAIN A.	THE INVESTMENT COMPANY OF AMERICA-5 B	B	50.00	2.50	0.00	2.50	70.0	1.75
01/16/2018	00088662742	BLUMKA, RONALD	AMERICAN FUNDS BALANCED FD	B	500.00	18.75	0.00	18.75	70.0	13.13
01/16/2018	00089743823	MINTON, SESSILY	CAPITAL INCOME BUILDER-529A	B	50.00	2.50	0.00	2.50	70.0	1.75
01/16/2018	00089743823	MINTON, SESSILY	COLLEGE 2033 FUND-529A	B	100.00	3.50	0.00	3.50	70.0	2.45
01/16/2018	00089743830	MINTON, SESSILY	CAPITAL INCOME BUILDER-529A	B	50.00	2.50	0.00	2.50	70.0	1.75
01/16/2018	00089743830	MINTON, SESSILY	COLLEGE 2033 FUND-529A	B	100.00	3.50	0.00	3.50	70.0	2.45
* MUTUAL FUNDS SUBTOTAL *					\$2,049.36	\$416.37	\$0.00	\$416.37		\$291.47

PRODUCT CATEGORY: STOCKS

01/30/2018	SECURITIES, HILLTOP	-HILLTOP SECURITIES	B	126.63	126.63	0.00	126.63	70.0	88.64
* STOCKS SUBTOTAL *				\$126.63	\$126.63	\$0.00	\$126.63		\$88.64

PRODUCT CATEGORY: VARIABLE ANNUITIES

12/31/2017	TRAILS	-JACKSON NATIONAL	B	9.23	9.23	0.00	9.23	70.0	6.46
12/31/2017	TRAILS	-JACKSON NATIONAL	B	20.44	20.44	0.00	20.44	70.0	14.31
01/05/2018	TRAILS	-JOHN HANCOCK	B	114.38	114.38	0.00	114.38	70.0	80.07
01/02/2018	TRAILS	BRIGHTHOUSE FINANCIAL	B	4,253.11	4,253.11	0.00	4,253.11	70.0	2,977.18
01/02/2018	TRAILS	BRIGHTHOUSE FINANCIAL	B	1,136.70	1,136.70	0.00	1,136.70	70.0	795.69
12/15/2017	GOETZ, CAROLYN S	CANADA LIFE VA	B	85.76	1.72	0.00	1.72	70.0	1.20
12/17/2017	GOETZ, CAROLYN S	CANADA LIFE VA	B	85.76	0.86	0.00	0.86	70.0	0.60
01/16/2018	GOETZ, CAROLYN S	CANADA LIFE VA	B	171.52	2.58	0.00	2.58	70.0	1.81

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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>									
12/31/2017	TRAILS	INTEGRITY LIFE INSURANCE COMPANY	B	56.35	56.35	0.00	56.35	70.0	39.45
01/05/2018	TRAILS	TRANSAMERICA LIFE INSURANCE	B	84.10	84.10	0.00	84.10	70.0	58.87
01/05/2018	TRAILS	TRANSAMERICA LIFE INSURANCE	B	2.58	2.58	0.00	2.58	70.0	1.81
01/05/2018	TRAILS	TRANSAMERICA LIFE INSURANCE	B	195.47	195.47	0.00	195.47	70.0	136.83
01/05/2018	TRAILS	TRANSAMERICA LIFE INSURANCE	B	88.77	88.77	0.00	88.77	70.0	62.14
* VARIABLE ANNUITIES SUBTOTAL *				\$6,304.17	\$5,966.29	\$0.00	\$5,966.29		\$4,176.42
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
02/01/2018	TRAIL COMMISSIONS	JOHN HANCOCK FEES		0.00	22.85	0.00	22.85	70.0	16.00
02/01/2018	TRAIL COMMISSIONS	INVESCO FAMILY OF FUNDS FEES		0.00	9.21	0.00	9.21	70.0	6.45
02/01/2018	TRAIL COMMISSIONS	INVESCO LTD FEES		0.00	56.38	0.00	56.38	70.0	39.47
02/01/2018	TRAIL COMMISSIONS	WM GROUP OF FUNDS FEES		0.00	195.37	0.00	195.37	70.0	136.76
02/01/2018	TRAIL COMMISSIONS	COLUMBIA THREADNEEDLE FEES		0.00	7.44	0.00	7.44	70.0	5.21
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$291.25	\$0.00	\$291.25		\$203.89
*** BROKER TRANSACTIONS TOTAL ***				\$8,480.16	\$6,800.54	\$0.00	\$6,800.54		\$4,760.42

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

12/31/2017	TRAILS	-FIDELITY ADVISOR FUNDS	B	115.17	69.10	0.00	69.10	70.0	48.37
12/29/2017	TRAILS	-PRUDENTIAL MUTUAL FUND	B	65.29	39.17	0.00	39.17	70.0	27.42
01/18/2018	00061397698 RIVARD, JOHN M	AMERICAN FUNDS INVESTMENT COMP OF A B		65.00	1.07	0.00	1.07	70.0	0.75
01/16/2018	00061957268 SMITH, MARK	AMERICAN FUNDS INVESTMENT COMP OF A B		100.00	1.65	0.00	1.65	70.0	1.16
01/18/2018	00063348505 RIVARD, JOHN M	AMERICAN FUNDS BD FD OF AMER FD	B	62.50	1.03	0.00	1.03	70.0	0.72
01/18/2018	00063348505 RIVARD, JOHN M	AMERICAN FUNDS INCOME FD OF AMERI B		62.50	1.03	0.00	1.03	70.0	0.72
01/18/2018	00063348505 RIVARD, JOHN M	AMERICAN FUNDS NEW PERSPECTIVE FD	B	62.50	1.03	0.00	1.03	70.0	0.72
01/18/2018	00063348505 RIVARD, JOHN M	AMERICAN FUNDS WA MUTUAL	INVES B	62.50	1.03	0.00	1.03	70.0	0.72
01/16/2018	00063806455 ROBERTS, KEVIN	AMERICAN FUNDS INCOME FD OF AMERI B		50.00	1.50	0.00	1.50	70.0	1.05
01/16/2018	00063806455 ROBERTS, KEVIN	AMERICAN FUNDS INVESTMENT COMP OF A B		50.00	1.50	0.00	1.50	70.0	1.05
01/16/2018	00063806455 ROBERTS, KEVIN	AMERICAN FUNDS NEW PERSPECTIVE FD	B	50.00	1.50	0.00	1.50	70.0	1.05
01/16/2018	00067724745 ANGELO, CONCORDIA/MILES	AMERICAN FUNDS - GENERAL	B	30.00	0.54	0.00	0.54	70.0	0.38
01/16/2018	00067724745 ANGELO, CONCORDIA/MILES	AMERICAN MUTUAL FUND-529A	B	30.00	0.77	0.00	0.77	70.0	0.54
01/16/2018	00067724745 ANGELO, CONCORDIA/MILES	CAPITAL WORLD BOND FUND-529A	B	30.00	0.54	0.00	0.54	70.0	0.38
01/16/2018	00067724745 ANGELO, CONCORDIA/MILES	THE INCOME FUND OF AMERICA-529A	B	30.00	0.77	0.00	0.77	70.0	0.54
01/16/2018	00067724745 ANGELO,	THE NEW ECONOMY FUND-529A	B	30.00	0.77	0.00	0.77	70.0	0.54

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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CONCORDIA/MILES											
01/12/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS BD FD OF AMER	FD	B	49.50	0.89	0.00	0.89	70.0	0.62
01/12/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS BD FD OF AMER	FD	B	49.50	0.89	0.00	0.89	70.0	0.62
01/12/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS INVESTMENT COMP OF A	B		51.00	1.53	0.00	1.53	70.0	1.07
01/12/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS INVESTMENT COMP OF A	B		51.00	1.53	0.00	1.53	70.0	1.07
01/12/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS NEW PERSPECTIVE	FD	B	49.50	1.49	0.00	1.49	70.0	1.04
01/12/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS NEW PERSPECTIVE	FD	B	49.50	1.49	0.00	1.49	70.0	1.04
01/16/2018	00081247942	UNTIL AGE 21,	AMERICAN FUNDS INVESTMENT COMP OF A	B		250.00	2.40	0.00	2.40	70.0	1.68
TX/UTMA											
01/16/2018	00082838137	HODGES, MICHAEL L	AMERICAN FUNDS INVESTMENT COMP OF A	B		50.00	1.28	0.00	1.28	70.0	0.90
01/16/2018	00084382054	ROBERTS, ALEXXA	AMERICAN FUNDS BD FD OF AMER	FD	B	50.00	0.90	0.00	0.90	70.0	0.63
01/16/2018	00084382054	ROBERTS, ALEXXA	AMERICAN FUNDS INVESTMENT COMP OF A	B		50.00	1.50	0.00	1.50	70.0	1.05
01/16/2018	00084382054	ROBERTS, ALEXXA	AMERICAN FUNDS NEW PERSPECTIVE	FD	B	50.00	1.50	0.00	1.50	70.0	1.05
02/01/2018	TRAIL COMMISSIONS		INVESCO LTD FEES			0.00	587.55	0.00	587.55	70.0	411.32
* ROTHSCHILD/POOL SUBTOTAL *						\$1,645.46	\$725.95	\$0.00	\$725.95		\$508.20
*** SPLIT TRANSACTIONS TOTAL ***						\$1,645.46	\$725.95	\$0.00	\$725.95		\$508.20

02/01/2018	HILLTOP: POSTAGE FEE	0.00	0.00	0.00	0.00	-45.00
	*** ADJUSTMENTS TOTAL ***	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$-45.00</u>

Broker Transactions	\$5,160.16
Split Transactions	\$108.46
Override Transactions	\$0.00
Adjustments	\$-45.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Check Amount	\$5,223.62
Year-to-date Earnings	\$8,586.25