



All Companies
COMMISSION STATEMENT
March 15, 2018

03/14/2018
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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

02/28/2018	TRAILS	-FIDELITY ADVISOR FUNDS	B	69.35	69.35	0.00	69.35	90.0	62.42
02/28/2018	TRAILS	-JOHN HANCOCK FREEDOM 529	B	6.18	6.18	0.00	6.18	90.0	5.56
02/28/2018	TRAILS	-JOHN HANCOCK FREEDOM 529	B	14.20	14.20	0.00	14.20	90.0	12.78
02/21/2018	000000000378962 DUNKIN, STEPHEN	FRANKLIN TEMPLETON CONSERVATIVE TARG B	B	123.00	4.61	0.00	4.61	90.0	4.15
02/21/2018	000000000378962 DUNKIN, STEPHEN	FRANKLIN TEMPLETON CONSERVATIVE TARG B	B	360.00	13.50	0.00	13.50	90.0	12.15
02/21/2018	000000000501561 CHASTEEN, GARRY	FRANKLIN TEMPLTON ALLOC GROWTH TARG B	B	79.20	3.96	0.00	3.96	90.0	3.56
02/21/2018	000000000501561 CHASTEEN, GARRY	FRANKLIN TEMPLTON ALLOC GROWTH TARG B	B	132.80	6.64	0.00	6.64	90.0	5.98
02/21/2018	000000000709446 WALL, MATTHEW/ADRIENN A.	FRK TEMP COREFOLIO ALLOC FND CL - A B	B	500.14	25.01	0.00	25.01	90.0	22.51
02/21/2018	000000000730349 HARRY, CECIL	FRANKLIN TEMPLTON ALLOC GROWTH TARG B	B	91.20	4.56	0.00	4.56	90.0	4.10
02/21/2018	000000000730349 HARRY, CECIL	FRANKLIN TEMPLTON ALLOC GROWTH TARG B	B	91.20	4.56	0.00	4.56	90.0	4.10
02/21/2018	0000000001322181 PENGELLY, AMBER	FRK AGGRESSIVE GRWTH - CL A	B	61.20	3.06	0.00	3.06	90.0	2.75
02/21/2018	0000000001322181 PENGELLY, AMBER	FRK AGGRESSIVE GRWTH - CL A	B	88.00	4.40	0.00	4.40	90.0	3.96
02/21/2018	0000000007100441 DUNKIN, PHILLIP	MUTUAL DISC FND - CL A	B	560.00	15.68	0.00	15.68	90.0	14.11
02/21/2018	0000000007100441 DUNKIN, PHILLIP	MUTUAL DISC FND - CL A	B	57.60	1.61	0.00	1.61	90.0	1.45
02/21/2018	0000000007100466 THOMPSON, MICHAEL	MUTUAL DISC FND - CL A	B	42.24	1.58	0.00	1.58	90.0	1.42
02/21/2018	0000000007100466 THOMPSON, MICHAEL	MUTUAL DISC FND - CL A	B	107.52	4.03	0.00	4.03	90.0	3.63
02/21/2018	0000000007197306 DUNKIN, PHILLIP	FRANKLIN MUTUAL SHARES FD CL 1	B	43.20	1.21	0.00	1.21	90.0	1.09
02/21/2018	0000000007197306 DUNKIN, PHILLIP	FRANKLIN MUTUAL SHARES FD CL 1	B	420.00	11.76	0.00	11.76	90.0	10.58

COMMISSION STATEMENT for MICHAEL C. MOYNIHAN

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>									
02/21/2018	000000007197320 THOMPSON, MICHAEL	FRANKLIN MUTUAL SHARES FD CL 1	B	31.68	1.19	0.00	1.19	90.0	1.07
02/21/2018	000000007197320 THOMPSON, MICHAEL	FRANKLIN MUTUAL SHARES FD CL 1	B	80.64	3.02	0.00	3.02	90.0	2.72
02/16/2018	00001664121 HUTCHISON, VIKKI	LIFESTYLE GROWTH PORTFOLIO A	B	223.08	6.36	0.00	6.36	90.0	5.72
02/16/2018	00001664121 HUTCHISON, VIKKI	LIFESTYLE GROWTH PORTFOLIO A	B	223.08	6.36	0.00	6.36	90.0	5.72
03/02/2018	00001664121 HUTCHISON, VIKKI	LIFESTYLE GROWTH PORTFOLIO A	B	223.08	6.36	0.00	6.36	90.0	5.72
02/20/2018	00001731052 MITCHELL, NATALIE	LIFESTYLE BALANCED PORTFOLIO A	B	120.00	4.50	0.00	4.50	90.0	4.05
02/15/2018	00001827274 MARTIN, BECK/HEATHER	LIFESTYLE MODERATE PORTFOLIO A	B	100.00	3.75	0.00	3.75	90.0	3.38
03/01/2018	00001827877 LOTT, JEANNE	LIFESTYLE MODERATE PORTFOLIO C	B	100.00	1.00	0.00	1.00	90.0	0.90
02/15/2018	00001831315 THORNTON, JANICE	LIFESTYLE MODERATE PORTFOLIO A	B	541.66	15.44	0.00	15.44	90.0	13.90
02/21/2018	000019817816174 DUNKIN, PHILLIP	FRANKLIN SMALL CAP GROWTH FD CL I	B	420.00	11.76	0.00	11.76	90.0	10.58
02/21/2018	000019817816174 DUNKIN, PHILLIP	FRANKLIN SMALL CAP GROWTH FD CL I	B	43.20	1.21	0.00	1.21	90.0	1.09
02/21/2018	000019817816186 THOMPSON, MICHAEL	FRANKLIN SMALL CAP GROWTH FD CL I	B	31.68	1.19	0.00	1.19	90.0	1.07
02/21/2018	000019817816186 THOMPSON, MICHAEL	FRANKLIN SMALL CAP GROWTH FD CL I	B	80.64	3.02	0.00	3.02	90.0	2.72
02/15/2018	00002042873 MARTIN, BECK	US GLOBAL LEADERS GROWTH A	B	200.00	7.50	0.00	7.50	90.0	6.75
02/15/2018	00002108774 KIZA, EILEEN	LIFESTYLE BALANCED PORTFOLIO C	B	50.00	0.50	0.00	0.50	90.0	0.45
02/15/2018	00002109067 KIZA, EILEEN	LIFESTYLE GROWTH PORTFOLIO A	B	200.00	7.50	0.00	7.50	90.0	6.75
02/21/2018	00002119967 MATHIS, JANET	LIFESTYLE GROWTH PORTFOLIO A	B	149.99	6.37	0.00	6.37	90.0	5.73
02/16/2018	00002172270 HALL, HARRISON	JOHN HANCOCK GROWTH & INCOME FD CL	B	253.16	7.22	0.00	7.22	90.0	6.50
02/16/2018	00002172270 HALL, HARRISON	JOHN HANCOCK GROWTH & INCOME FD CL	B	82.50	2.35	0.00	2.35	90.0	2.12
02/16/2018	00002172271 HALL, HARRISON	CLASSIC VALUE A	B	253.16	7.22	0.00	7.22	90.0	6.50
02/16/2018	00002172271 HALL, HARRISON	CLASSIC VALUE A	B	82.50	2.35	0.00	2.35	90.0	2.12
02/16/2018	00002172273 HALL, HARRISON	NEW OPPORTUNITIES A	B	253.16	7.22	0.00	7.22	90.0	6.50
02/16/2018	00002172273 HALL, HARRISON	NEW OPPORTUNITIES A	B	82.50	2.35	0.00	2.35	90.0	2.12
02/16/2018	00002172274 HALL, HARRISON	GLOBAL SHAREHOLDER YIELD A	B	126.58	3.61	0.00	3.61	90.0	3.25
02/16/2018	00002172274 HALL, HARRISON	GLOBAL SHAREHOLDER YIELD A	B	41.25	1.18	0.00	1.18	90.0	1.06
02/16/2018	00002172275 HALL, HARRISON	JOHN HANCOCK HIGH YLD BD FD CL A	B	126.58	3.80	0.00	3.80	90.0	3.42
02/16/2018	00002172275 HALL, HARRISON	JOHN HANCOCK HIGH YLD BD FD CL A	B	41.25	1.24	0.00	1.24	90.0	1.12
02/16/2018	00002172276 HALL, HARRISON	JOHN HANCOCK SOVEREIGN BD FD CL A	B	126.58	3.80	0.00	3.80	90.0	3.42
02/16/2018	00002172276 HALL, HARRISON	JOHN HANCOCK SOVEREIGN BD FD CL A	B	41.25	1.24	0.00	1.24	90.0	1.12
02/16/2018	00002172277 HALL, HARRISON	FLOATING RATE INCOME A	B	126.58	1.90	0.00	1.90	90.0	1.71
02/16/2018	00002172277 HALL, HARRISON	FLOATING RATE INCOME A	B	41.25	0.62	0.00	0.62	90.0	0.56
02/16/2018	00002172323 WIGGINS, ASHLEY	LIFESTYLE GROWTH PORTFOLIO A	B	138.76	3.95	0.00	3.95	90.0	3.56
02/16/2018	00002172323 WIGGINS, ASHLEY	LIFESTYLE GROWTH PORTFOLIO A	B	138.76	3.95	0.00	3.95	90.0	3.56

COMMISSION STATEMENT for MICHAEL C. MOYNIHAN

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>									
02/16/2018	00002174074	TERRY, BRANDI		LIFESTYLE GROWTH PORTFOLIO A	B	91.66	2.61	0.00	2.61 90.0 2.35
02/16/2018	00002174074	TERRY, BRANDI		LIFESTYLE GROWTH PORTFOLIO A	B	91.66	2.61	0.00	2.61 90.0 2.35
02/16/2018	00002177456	KORKUTOVIC, SEVLIJA		LIFESTYLE MODERATE PORTFOLIO A	B	113.00	3.22	0.00	3.22 90.0 2.90
02/16/2018	00002177456	KORKUTOVIC, SEVLIJA		LIFESTYLE MODERATE PORTFOLIO A	B	113.00	3.22	0.00	3.22 90.0 2.90
02/16/2018	00002393597	CUTSHALL, ALISON N.		LIFESTYLE GROWTH PORTFOLIO A	B	81.90	2.33	0.00	2.33 90.0 2.10
02/16/2018	00002393597	CUTSHALL, ALISON N.		LIFESTYLE GROWTH PORTFOLIO A	B	81.90	2.33	0.00	2.33 90.0 2.10
02/16/2018	00002393605	EUBANKS, STEPHANIE A.		LIFESTYLE GROWTH PORTFOLIO A	B	95.00	2.71	0.00	2.71 90.0 2.44
02/16/2018	00002393605	EUBANKS, STEPHANIE A.		LIFESTYLE GROWTH PORTFOLIO A	B	95.00	2.71	0.00	2.71 90.0 2.44
02/21/2018	00031779996	DOYLE, BLAKE		GLOBAL OPPORTUNITIES (A)	B	140.00	4.20	0.00	4.20 90.0 3.78
02/21/2018	00031779996	DOYLE, BLAKE		PRINCIPAL INVESTORS LARGE CAP GROWTH B	B	100.00	3.00	0.00	3.00 90.0 2.70
02/21/2018	00031779996	DOYLE, BLAKE		SMALL-MIDCAP DIVIDEND INCOME (A)	B	140.00	4.20	0.00	4.20 90.0 3.78
02/21/2018	00031780010	DOYLE, BLAKE E.		EQUITY INCOME I (A)	B	110.00	3.30	0.00	3.30 90.0 2.97
02/21/2018	00031780010	DOYLE, BLAKE E.		GLOBAL OPPORTUNITIES (A)	B	110.00	3.30	0.00	3.30 90.0 2.97
03/01/2018	00052796859	LOTT, BRIAN K		PORTFOLIO 2025-2028 A	B	100.00	4.25	0.00	4.25 90.0 3.83
03/01/2018	00068047824	DE SMIT, DIANA D		AMERICAN FUNDS GROWTH FUND OF AMERI B	B	541.66	10.83	0.00	10.83 90.0 9.75
03/06/2018	00073345834	VASQUEZ, DAVID		AMERICAN FUNDS CAPITAL WORLD BD FD B	B	26.40	0.73	0.00	0.73 90.0 0.66
03/06/2018	00073345834	VASQUEZ, DAVID		AMERICAN FUNDS CAPITAL WORLD BD FD B	B	26.40	0.73	0.00	0.73 90.0 0.66
03/05/2018	00073689293	DE SMIT, PAUL		AMERICAN FUNDS NEW PERSPECTIVE FD B	B	541.66	10.83	0.00	10.83 90.0 9.75
03/05/2018	00075036376	GOLDEN, BARBARA		AMERICAN FUNDS CAPITAL INCOME BUILD B	B	150.00	4.13	0.00	4.13 90.0 3.72
03/05/2018	00075036376	GOLDEN, BARBARA		AMERICAN FUNDS CAPITAL WORLD GROWT B	B	150.00	4.13	0.00	4.13 90.0 3.72
02/28/2018	00075979142	LARA-MONTGOMERY, JENNIFER A		AMERICAN FUNDS CAPITAL WORLD GROWT B	B	100.00	2.00	0.00	2.00 90.0 1.80
03/06/2018	00082140597	DAVILA, JAIME A		AMERICAN FUNDS CAPITAL INCOME BUILD B	B	25.00	0.69	0.00	0.69 90.0 0.62
03/06/2018	00082140597	DAVILA, JAIME A		AMERICAN FUNDS CAPITAL INCOME BUILD B	B	26.65	0.73	0.00	0.73 90.0 0.66
03/01/2018	00084124051	PARISH/ALLEN, VICTORIA/JULIE		CAPITAL WORLD GROWTH AND INCOME-529 B	B	25.00	1.06	0.00	1.06 90.0 0.95
02/26/2018	00084917868	SASSMAN, STETSON		FUNDAMENTAL INVESTORS-529A	B	100.00	4.25	0.00	4.25 90.0 3.83
02/26/2018	00086510197	SASSMAN, STETSON		FUNDAMENTAL INVESTORS-529A	B	100.00	4.25	0.00	4.25 90.0 3.83
02/26/2018	00086510293	SASSMAN, STETSON		FUNDAMENTAL INVESTORS-529A	B	100.00	4.25	0.00	4.25 90.0 3.83
03/05/2018	00086824865	BANKS, HEATHER		AMERICAN FUNDS CAPITAL WORLD GROWT B	B	148.81	5.58	0.00	5.58 90.0 5.02
03/05/2018	00086824865	BANKS, HEATHER		AMERICAN FUNDS CAPITAL WORLD GROWT B	B	74.40	2.79	0.00	2.79 90.0 2.51
03/05/2018	00086824865	BANKS, HEATHER		AMERICAN FUNDS NEW ECONOMY FD	B	148.80	5.58	0.00	5.58 90.0 5.02
03/05/2018	00086824865	BANKS, HEATHER		AMERICAN FUNDS NEW ECONOMY FD	B	74.41	2.79	0.00	2.79 90.0 2.51
03/01/2018	00087416414	WHITE, CINDY C.		GROWTH PORTFOLIO-A	B	150.00	7.50	0.00	7.50 90.0 6.75

COMMISSION STATEMENT for MICHAEL C. MOYNIHAN

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>									
02/26/2018	00088005709 GOTTWALD, KATY WEBER	GROWTH PORTFOLIO-A	B	100.00	4.25	0.00	4.25	90.0	3.83
03/06/2018	00088625904 SHUMATE, BRENDA K	AMERICAN FUNDS 2020 TARGET DATE-A	B	150.00	4.13	0.00	4.13	90.0	3.72
03/06/2018	00088625904 SHUMATE, BRENDA K	AMERICAN FUNDS 2020 TARGET DATE-A	B	81.89	2.25	0.00	2.25	90.0	2.03
03/06/2018	00088628251 GRINDELE, RUSSELL G.	AMERICAN FUNDS 2025 TARGET DATE-A	B	26.40	0.73	0.00	0.73	90.0	0.66
03/06/2018	00088628251 GRINDELE, RUSSELL G.	AMERICAN FUNDS 2025 TARGET DATE-A	B	26.40	0.73	0.00	0.73	90.0	0.66
03/06/2018	00089316769 JIMENEZ, MANUEL	AMERICAN FUNDS 2020 TARGET DATE-A	B	10.00	0.28	0.00	0.28	90.0	0.25
03/06/2018	00089316769 JIMENEZ, MANUEL	AMERICAN FUNDS 2020 TARGET DATE-A	B	10.00	0.28	0.00	0.28	90.0	0.25
03/06/2018	00089357575 CONTRERAS, JUAN J.	AMERICAN FUNDS 2020 TARGET DATE-A	B	28.80	0.79	0.00	0.79	90.0	0.71
03/06/2018	00089357575 CONTRERAS, JUAN J.	AMERICAN FUNDS 2020 TARGET DATE-A	B	70.00	1.93	0.00	1.93	90.0	1.74
02/26/2018	00089825255 SASSMAN, KATHLEEN/SARAH	COLLEGE 2033 FUND-529A	B	100.00	3.50	0.00	3.50	90.0	3.15
03/01/2018	04000020963 BURK, SHANNON KELLEY M.	AMERICAN FUNDS 2050 TARGET DATE-A	B	458.33	19.48	0.00	19.48	90.0	17.53
03/05/2018	04000037092 KELLEY, JENNIFER F.	AMERICAN FUNDS 2040 TARGET DATE-A	B	458.33	17.19	0.00	17.19	90.0	15.47
03/01/2018	04000470737 MINTER, ETHAN M.	AMERICAN FUNDS 2050 TARGET DATE-A	B	300.00	15.00	0.00	15.00	90.0	13.50
03/01/2018	04000476660 PARISH, WESLEY	COLLEGE 2033 FUND-529A	B	50.00	1.75	0.00	1.75	90.0	1.58
03/01/2018	04000795732 BETTIS, ZACHERY	GROWTH PORTFOLIO-529A	B	50.00	2.50	0.00	2.50	90.0	2.25
03/01/2018	04000795807 BETTIS, ZACHERY	GROWTH PORTFOLIO-529A	B	50.00	2.50	0.00	2.50	90.0	2.25
* MUTUAL FUNDS SUBTOTAL *				\$13,564.04	\$531.06	\$0.00	\$531.06		\$478.04
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
02/28/2018	TRAILS	-HARTFORD LIFE	B	3.61	3.61	0.00	3.61	90.0	3.25
03/02/2018	TRAILS	-JOHN HANCOCK	B	109.87	109.87	0.00	109.87	90.0	98.88
03/01/2018	HYDINGER, DANIEL	BRIGHTHOUSE FINANCIAL	B	200.00	4.00	0.00	4.00	90.0	3.60
* VARIABLE ANNUITIES SUBTOTAL *				\$313.48	\$117.48	\$0.00	\$117.48		\$105.73
<u>PRODUCT CATEGORY: RIA</u>									
03/07/2018	SCHOUTEN, GERRIT & KIM S.	SIGNAL SECURITIES RIA	B	0.00	200.00	0.00	200.00	90.0	180.00
* RIA SUBTOTAL *				\$0.00	\$200.00	\$0.00	\$200.00		\$180.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
03/15/2018	TRAIL COMMISSIONS	PRINCIPAL MUTUAL FUNDS FEES		0.00	10.36	0.00	10.36	90.0	9.33
03/15/2018	TRAIL COMMISSIONS	WM GROUP OF FUNDS FEES		0.00	19.14	0.00	19.14	90.0	17.23
03/15/2018	TRAIL COMMISSIONS	AMERICAN FUNDS GROUP FEES		0.00	1,414.56	0.00	1,414.56	90.0	1,273.20
03/15/2018	TRAIL COMMISSIONS	COLUMBIA THREADNEEDLE FEES		0.00	2.65	0.00	2.65	90.0	2.39
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$1,446.71	\$0.00	\$1,446.71		\$1,302.15

COMMISSION STATEMENT for MICHAEL C. MOYNIHAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
SPLIT TRANSACTIONS									
*** BROKER TRANSACTIONS TOTAL ***				\$13,877.52	\$2,295.25	\$0.00	\$2,295.25		\$2,065.92

SPLIT TRANSACTIONS									
BROKER: SNOW/MOYNIHAN #9543									
03/12/2018	TRAILS	-AMERICAN FUNDS TRAILS	B	186.41	74.56	0.00	74.56	90.0	67.10
02/28/2018	TRAILS	-FIDELITY ADVISOR FUNDS	B	163.33	65.33	0.00	65.33	90.0	58.80
* SNOW/MOYNIHAN SUBTOTAL *				\$349.74	\$139.89	\$0.00	\$139.89		\$125.90
BROKER: SINGLETON/MOYNIHAN #9595									
03/15/2018	TRAIL COMMISSIONS	AMERICAN FUNDS GROUP FEES		0.00	7.52	0.00	7.52	90.0	6.76
* SINGLETON/MOYNIHAN SUBTOTAL *				\$0.00	\$7.52	\$0.00	\$7.52		\$6.76
*** SPLIT TRANSACTIONS TOTAL ***				\$349.74	\$147.41	\$0.00	\$147.41		\$132.66

ADJUSTMENTS									
03/15/2018		E & O INSURANCE: 1/2 MONTHLY		0.00	0.00	0.00	0.00		-100.00
03/15/2018		POSTAGE: POSTAGE		0.00	0.00	0.00	0.00		-11.10
03/15/2018		RENT: 1/2 MONTH		0.00	0.00	0.00	0.00		-125.00
03/15/2018		TECH: MONTHLY TECH SERVICES		0.00	0.00	0.00	0.00		-27.50
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-263.60

BROKER COMMISSION TOTALS	
Broker Transactions	\$2,069.30
Split Transactions	\$129.28
Override Transactions	\$0.00
Adjustments	\$-263.60
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
Check Amount	\$1,934.98
Year-to-date Earnings	\$71,851.84