



All Companies

01/30/2018
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COMMISSION STATEMENT February 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
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

12/31/2017	TRAILS	-FIDELITY ADVISOR FUNDS	B	155.31	155.31	0.00	155.31	60.0	93.19
12/31/2017	TRAILS	-PUTNAM	B	19.63	19.63	0.00	19.63	60.0	11.78
01/10/2018	000000006329360 EVANGELISTA, AURELIO/MONIQUE	529 GROWTH & INCOME - C	B	50.00	0.50	0.00	0.50	60.0	0.30
01/10/2018	000000006329360 EVANGELISTA, AURELIO/MONIQUE	529 SMALL-MID CAP GROWTH C	B	50.00	0.50	0.00	0.50	60.0	0.30
01/10/2018	000000006330997 EVANGELISTA, AURELIO/BEATRIC	529 GROWTH & INCOME - C	B	75.00	0.75	0.00	0.75	60.0	0.45
01/16/2018	00006634371 JOSE, ANICIA P.	FIDELITY ADVISORS EQUITY INCM FD CL B		100.00	2.50	0.00	2.50	60.0	1.50
01/16/2018	00006634379 JOSE, ANTONIO C.	FIDELITY ADVISORS GRWTH OPPOR FD C B		100.00	2.50	0.00	2.50	60.0	1.50
01/10/2018	00059867817 AUSTRIA, FELIX	AMERICAN FUNDS INVESTMENT COMP OF A B		50.00	2.50	0.00	2.50	60.0	1.50
01/10/2018	00060555032 JOSE, ANTONIO C.	AMERICAN FUNDS NEW ECONOMY FD	B	50.00	1.88	0.00	1.88	60.0	1.13
01/10/2018	00060555033 JOSE, ANICIA P.	AMERICAN FUNDS AMERICAN MUTUAL FD	B	50.00	1.88	0.00	1.88	60.0	1.13
01/10/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS AMERICAN MUTUAL FD	B	40.00	1.50	0.00	1.50	60.0	0.90
01/10/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS CAPITAL WORLD BD FD B		40.00	1.20	0.00	1.20	60.0	0.72
01/10/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS HIGH INCOME TR FD	B	40.00	1.20	0.00	1.20	60.0	0.72
01/10/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS INCOME FD OF AMERI B		40.00	1.50	0.00	1.50	60.0	0.90
01/10/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS NEW ECONOMY FD	B	40.00	1.50	0.00	1.50	60.0	0.90
01/10/2018	00061689866 JAVELOSA, SANDRA M.	AMERICAN FUNDS GROWTH FUND OF AMERI B		200.00	8.50	0.00	8.50	60.0	5.10
01/16/2018	00062049074 CALUNGSUD, KELLY M.	AMERICAN FUNDS CAPITAL WORLD GROWT B		50.00	1.88	0.00	1.88	60.0	1.13
01/16/2018	00062049074 CALUNGSUD, KELLY M.	AMERICAN FUNDS GROWTH FUND OF AMERI B		50.00	1.88	0.00	1.88	60.0	1.13
01/16/2018	00062049074 CALUNGSUD, KELLY M.	AMERICAN FUNDS HIGH INCOME TR FD	B	50.00	1.50	0.00	1.50	60.0	0.90
01/16/2018	00062049074 CALUNGSUD, KELLY M.	NEW WORLD FUND-A	B	50.00	1.88	0.00	1.88	60.0	1.13
01/16/2018	00064071443 LABRADOR, THERESA/DANIEL	AMERICAN FUNDS AMERICAN MUTUAL FD	B	20.00	1.00	0.00	1.00	60.0	0.60
01/16/2018	00064071443 LABRADOR,	AMERICAN FUNDS CAPITAL WORLD BD FD B		20.00	0.60	0.00	0.60	60.0	0.36

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									
	THERESA/DANIEL								
01/16/2018	00064071443 LABRADOR,	AMERICAN FUNDS HIGH INCOME TR FD	B	20.00	0.60	0.00	0.60	60.0	0.36
	THERESA/DANIEL								
01/16/2018	00064071443 LABRADOR,	AMERICAN FUNDS INCOME FD OF AMERI	B	20.00	1.00	0.00	1.00	60.0	0.60
	THERESA/DANIEL								
01/16/2018	00064071443 LABRADOR,	AMERICAN FUNDS NEW ECONOMY FD	B	20.00	1.00	0.00	1.00	60.0	0.60
	THERESA/DANIEL								
01/16/2018	00066945809 BARCENAS, RODOLFO	AMERICAN HIGH-INCOME TRUST-C	B	110.00	1.10	0.00	1.10	60.0	0.66
	L.								
01/16/2018	00066945809 BARCENAS, RODOLFO	AMERICAN MUTUAL FUND-C	B	100.00	1.00	0.00	1.00	60.0	0.60
	L.								
01/16/2018	00066945809 BARCENAS, RODOLFO	CAPITAL WORLD BOND FUND-C	B	80.00	0.80	0.00	0.80	60.0	0.48
	L.								
01/16/2018	00066945809 BARCENAS, RODOLFO	THE INCOME FUND OF AMERICA-C	B	110.00	1.10	0.00	1.10	60.0	0.66
	L.								
01/16/2018	00066945809 BARCENAS, RODOLFO	THE NEW ECONOMY FUND-C	B	100.00	1.00	0.00	1.00	60.0	0.60
	L.								
01/12/2018	00073447265 JUMAO-AS, LAUREN	AMERICAN FUNDS - GENERAL	B	20.00	0.60	0.00	0.60	60.0	0.36
01/12/2018	00073447265 JUMAO-AS, LAUREN	AMERICAN MUTUAL FUND-529A	B	20.00	1.00	0.00	1.00	60.0	0.60
01/12/2018	00073447265 JUMAO-AS, LAUREN	CAPITAL WORLD BOND FUND-529A	B	20.00	0.60	0.00	0.60	60.0	0.36
01/12/2018	00073447265 JUMAO-AS, LAUREN	THE INCOME FUND OF AMERICA-529A	B	20.00	1.00	0.00	1.00	60.0	0.60
01/12/2018	00073447265 JUMAO-AS, LAUREN	THE NEW ECONOMY FUND-529A	B	20.00	1.00	0.00	1.00	60.0	0.60
01/16/2018	00073580088 FILOTEO-GONZALES,	AMERICAN FUNDS - GENERAL	B	30.00	0.83	0.00	0.83	60.0	0.50
	JUDELIA/ISABEL								
01/16/2018	00073580088 FILOTEO-GONZALES,	AMERICAN MUTUAL FUND-529A	B	30.00	0.83	0.00	0.83	60.0	0.50
	JUDELIA/ISABEL								
01/16/2018	00073580088 FILOTEO-GONZALES,	CAPITAL WORLD BOND FUND-529A	B	30.00	0.83	0.00	0.83	60.0	0.50
	JUDELIA/ISABEL								
01/16/2018	00073580088 FILOTEO-GONZALES,	THE INCOME FUND OF AMERICA-529A	B	30.00	0.83	0.00	0.83	60.0	0.50
	JUDELIA/ISABEL								
01/16/2018	00073580088 FILOTEO-GONZALES,	THE NEW ECONOMY FUND-529A	B	30.00	0.83	0.00	0.83	60.0	0.50
	JUDELIA/ISABEL								
01/16/2018	00075871895 SEGUNDO,	CAPITAL WORLD GROWTH AND INCOME-529	B	50.00	2.50	0.00	2.50	60.0	1.50
	LORENCE/DANIEL								
01/16/2018	00081127981 GARCIA,	AMERICAN FUNDS - GENERAL	B	30.00	0.90	0.00	0.90	60.0	0.54
	RODOLFO/RODIVIC								
01/16/2018	00081127981 GARCIA,	AMERICAN MUTUAL FUND-529A	B	30.00	1.13	0.00	1.13	60.0	0.68
	RODOLFO/RODIVIC								
01/16/2018	00081127981 GARCIA,	CAPITAL WORLD BOND FUND-529A	B	30.00	0.90	0.00	0.90	60.0	0.54
	RODOLFO/RODIVIC								

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
01/16/2018	00081127981 GARCIA, RODOLFO/RODIVIC	THE INCOME FUND OF AMERICA-529A	B	30.00	1.13	0.00	1.13	60.0	0.68
01/16/2018	00081127981 GARCIA, RODOLFO/RODIVIC	THE NEW ECONOMY FUND-529A	B	30.00	1.13	0.00	1.13	60.0	0.68
01/10/2018	00081663389 BUSA, JOSEPHINE JANE	AMERICAN FUNDS HIGH INCOME TR FD	B	50.00	1.50	0.00	1.50	60.0	0.90
01/10/2018	00081663389 BUSA, JOSEPHINE JANE	AMERICAN FUNDS NEW ECONOMY FD	B	50.00	2.50	0.00	2.50	60.0	1.50
01/16/2018	00082732703 CABRERA, IVY	AMERICAN FUNDS AMERICAN MUTUAL FD	B	100.00	4.25	0.00	4.25	60.0	2.55
01/16/2018	00083580212 MASINAG, NELSON/KEVIN	AMERICAN FUNDS - GENERAL	B	100.00	3.00	0.00	3.00	60.0	1.80
01/16/2018	00083580212 MASINAG, NELSON/KEVIN	AMERICAN MUTUAL FUND-529A	B	100.00	3.75	0.00	3.75	60.0	2.25
01/16/2018	00083580212 MASINAG, NELSON/KEVIN	CAPITAL WORLD BOND FUND-529A	B	100.00	3.00	0.00	3.00	60.0	1.80
01/16/2018	00083580212 MASINAG, NELSON/KEVIN	THE INCOME FUND OF AMERICA-529A	B	100.00	3.75	0.00	3.75	60.0	2.25
01/16/2018	00083580212 MASINAG, NELSON/KEVIN	THE NEW ECONOMY FUND-529A	B	100.00	3.75	0.00	3.75	60.0	2.25
01/16/2018	00085777888 BABAO, ROMMEL/ISABELLE	NEW PERSPECTIVE FUND-529C	B	100.00	1.00	0.00	1.00	60.0	0.60
01/16/2018	00085777888 BABAO, ROMMEL/ISABELLE	THE GROWTH FUND OF AMERICA-529C	B	100.00	1.00	0.00	1.00	60.0	0.60
01/16/2018	00085777916 BABAO, ROMMEL/RAPHAEL	AMERICAN BALANCED FUND-529C	B	50.00	0.50	0.00	0.50	60.0	0.30
01/16/2018	00085777916 BABAO, ROMMEL/RAPHAEL	FUNDAMENTAL INVESTORS-529C	B	100.00	1.00	0.00	1.00	60.0	0.60
01/16/2018	00085777916 BABAO, ROMMEL/RAPHAEL	NEW PERSPECTIVE FUND-529C	B	100.00	1.00	0.00	1.00	60.0	0.60
01/16/2018	00085777916 BABAO, ROMMEL/RAPHAEL	THE GROWTH FUND OF AMERICA-529C	B	200.00	2.00	0.00	2.00	60.0	1.20
01/10/2018	00087696729 LINUS L CUNANAN, MIGUEL	THE NEW ECONOMY FUND-529A	B	100.00	5.00	0.00	5.00	60.0	3.00
01/10/2018	00087696759 LINUS L CUNANAN, MIGUEL	THE NEW ECONOMY FUND-529A	B	100.00	5.00	0.00	5.00	60.0	3.00
01/10/2018	04038841757 JOSE, ANTONIO C.	AIM ENERGY FUND - CLASS A	B	50.00	2.50	0.00	2.50	60.0	1.50
01/02/2018	2203006069 TACUYAN, JERRY	OPPENHEIMER US GOVT TRUST FD CL A	B	50.00	1.00	0.00	1.00	60.0	0.60
01/02/2018	2304545753 TACUYAN, JERRY	OPPENHEIMER STRATEGIC INCOME FD CL B	B	50.00	1.88	0.00	1.88	60.0	1.13

* MUTUAL FUNDS SUBTOTAL *

\$4,049.94

\$283.11

\$0.00

\$283.11

\$169.90

COMMISSION STATEMENT for JUDE RAMON L. BARCENAS

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: VARIABLE ANNUITIES

01/16/2018	DEVEZA, NOEMLINA ONG	-PACIFIC LIFE INSURANCE	B	283.17	8.50	0.00	8.50	60.0	5.10
01/16/2018	ALONZO, KELLY/KYLE	-PACIFIC LIFE INSURANCE	B	72.10	1.44	0.00	1.44	60.0	0.86
01/16/2018	ALONZO, KELLY/KACEY	-PACIFIC LIFE INSURANCE	B	34.75	0.70	0.00	0.70	60.0	0.42
01/16/2018	ALONZO, KELLY/KYLER C.	-PACIFIC LIFE INSURANCE	B	17.83	0.36	0.00	0.36	60.0	0.22
01/02/2018	TRAILS	BRIGHTHOUSE FINANCIAL	B	487.84	487.84	0.00	487.84	60.0	292.70
01/12/2018	TRAILS	LINCOLN BENEFIT LIFE	B	8.85	8.85	0.00	8.85	60.0	5.31
01/24/2018	TRAILS	TRANSAMERICA LIFE INSURANCE	B	27.73	27.73	0.00	27.73	60.0	16.64
* VARIABLE ANNUITIES SUBTOTAL *				\$932.27	\$535.42	\$0.00	\$535.42		\$321.25

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

02/01/2018	TRAIL COMMISSIONS	INVESCO FAMILY OF FUNDS FEES		0.00	0.14	0.00	0.14	60.0	0.08
02/01/2018	TRAIL COMMISSIONS	INVESCO LTD FEES		0.00	940.07	0.00	940.07	60.0	564.07
02/01/2018	TRAIL COMMISSIONS	COLUMBIA THREADNEEDLE FEES		0.00	5.28	0.00	5.28	60.0	3.17
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$945.49	\$0.00	\$945.49		\$567.32
*** BROKER TRANSACTIONS TOTAL ***				\$4,982.21	\$1,764.02	\$0.00	\$1,764.02		\$1,058.47

BROKER COMMISSION TOTALS

Broker Transactions	\$1,058.47
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	\$1,058.47
Year-to-date Earnings	\$2,400.67