

STATEMENT

May 20, 2018

JEFF JONES
1601 Mier St

BROKER #: 016
BRANCH: LA BRANCH

Laredo, TX 78043-

COMMISSION STATEMENT for JEFF JONES

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>										
01/01/0018 #2000347795	PEREZ, SELINA	AGGRESSIVEC	B	0.00	2.51	0.00	0.00	2.51	85.0	2.13
01/01/0018 #2000347795	PEREZ, SELINA	CONSERVATIVE C	B	0.00	2.10	0.00	0.00	2.10	85.0	1.79
02/08/0018 #2000347795	PEREZ, SELINA	AGGRESSIVEC	B	0.00	2.24	0.00	0.00	2.24	85.0	1.90
02/08/0018 #2000347795	PEREZ, SELINA	CONSERVATIVE C	B	0.00	1.90	0.00	0.00	1.90	85.0	1.62
03/01/0018 #2000347795	PEREZ, SELINA	AGGRESSIVEC	B	0.00	2.53	0.00	0.00	2.53	85.0	2.15
03/01/0018 #2000347795	PEREZ, SELINA	CONSERVATIVE C	B	0.00	2.15	0.00	0.00	2.15	85.0	1.83
03/06/0018 #2000347795	PEREZ, SELINA	CONSERVATIVE C	B	50.00	0.50	0.00	0.00	0.50	85.0	0.43
03/06/0018 #2000347795	PEREZ, SELINA	SCHOLARS EDGE 807061174	B	50.00	0.50	0.00	0.00	0.50	85.0	0.43
04/05/0018 #IO4403	GARFAM LTD	DUNHAM AND ASSOCIATES	B	0.00	762.85	0.00	0.00	762.85	85.0	648.42
04/05/0018 #IO4948	BENAVIDES, ENRIQUE	DUNHAM AND ASSOCIATES	B	0.00	130.58	0.00	0.00	130.58	85.0	110.99
04/05/0018 #IO7506	VERGARA, MARIA	DUNHAM AND ASSOCIATES	B	0.00	396.11	0.00	0.00	396.11	85.0	336.69
04/05/2018 #	ROSILLO, MARIA	MUTUAL FD SER TR EMPIRIC 2500 FUND	B	10,400.00	0.00	20.00	0.00	-20.00	85.0	-17.00
04/16/2018 #00088848033	DELTORRER	INTERMEDIATE BOND FUND OF AMERICA-A	B	75.00	1.50	0.00	0.00	1.50	85.0	1.28
04/16/2018 #00084419230	MELLENDEZ, JA	INTERNATIONAL GROWTH AND INCOME-A	B	100.00	5.00	0.00	0.00	5.00	85.0	4.25
04/16/2018 #00089128773	VELACESARE	INVESTMENT CO AMER CL C	B	50.00	0.50	0.00	0.00	0.50	85.0	0.43
04/16/2018 #00089128773	VELACESARE	NEW PERSPECTIVE FUND INC CL C	B	20.00	0.20	0.00	0.00	0.20	85.0	0.17
04/16/2018 #00089778964	MILLER, THOMAS	NEW PERSPECTIVE FUND INC CL C	B	250.00	2.50	0.00	0.00	2.50	85.0	2.13
04/16/2018 #00088848033	DELTORRER	NEW WORLD FUND INC NEW CL C	B	30.00	0.30	0.00	0.00	0.30	85.0	0.26
04/16/2018 #00089128773	VELACESARE	NEW WORLD FUND INC NEW CL C	B	20.00	0.20	0.00	0.00	0.20	85.0	0.17
04/16/2018 #00088848033	DELTORRER	SMALLCAP WORLD FUND INC CL C	B	15.00	0.15	0.00	0.00	0.15	85.0	0.13
04/16/2018 #00089128773	VELACESARE	SMALLCAP WORLD FUND INC CL C	B	10.00	0.10	0.00	0.00	0.10	85.0	0.09
04/16/2018 #00088848033	DELTORRER	THE NEW ECONOMY FUND-C	B	30.00	0.30	0.00	0.00	0.30	85.0	0.26
04/16/2018 #00089778964	MILLER, THOMAS	THE NEW ECONOMY FUND-C	B	250.00	2.50	0.00	0.00	2.50	85.0	2.13
04/17/2018 #00074389206	HUMB, LAUREL	DEVELOPING WORLD GROWTH & INCOME-C	B	49.30	0.49	0.00	0.00	0.49	85.0	0.42
04/17/2018 #00074389206	HUMB, LAUREL	DEVELOPING WORLD GROWTH & INCOME-C	B	49.67	0.50	0.00	0.00	0.50	85.0	0.43
04/17/2018 #00074389206	HUMB, LAUREL	EURO PAC GROWTH FUND CL C	B	24.65	0.25	0.00	0.00	0.25	85.0	0.21
04/17/2018 #00074389206	HUMB, LAUREL	EURO PAC GROWTH FUND CL C	B	24.84	0.25	0.00	0.00	0.25	85.0	0.21
04/17/2018 #00074389206	HUMB, LAUREL	FUNDAMENTAL INVS INC CL C	B	49.30	0.49	0.00	0.00	0.49	85.0	0.42
04/17/2018 #00074389206	HUMB, LAUREL	FUNDAMENTAL INVS INC CL C	B	49.67	0.50	0.00	0.00	0.50	85.0	0.43
04/17/2018 #00074389206	HUMB, LAUREL	GROWTH FUND AMER INC CL C	B	49.30	0.49	0.00	0.00	0.49	85.0	0.42
04/17/2018 #00074389206	HUMB, LAUREL	GROWTH FUND AMER INC CL C	B	49.67	0.50	0.00	0.00	0.50	85.0	0.43

COMMISSION STATEMENT for JEFF JONES

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>										
04/17/2018	#00088859005	REGALADO, JOSE		INVESTMENT CO AMER CL C	B	132.77	1.33	0.00	0.00	1.33 85.0 1.13
04/17/2018	#00088859005	REGALADO, JOSE		INVESTMENT CO AMER CL C	B	103.88	1.04	0.00	0.00	1.04 85.0 0.88
04/17/2018	#00089051015	VELACESARE		INVESTMENT CO AMER CL C	B	117.21	1.17	0.00	0.00	1.17 85.0 0.99
04/17/2018	#00089051015	VELACESARE		INVESTMENT CO AMER CL C	B	118.10	1.18	0.00	0.00	1.18 85.0 1.00
04/17/2018	#00089125404	KELLETJULI		INVESTMENT CO AMER CLASS A	B	88.50	4.43	0.00	0.00	4.43 85.0 3.77
04/17/2018	#00089125404	KELLETJULI		NEW PERSPECTIVE FUND INC CL A	B	35.40	1.77	0.00	0.00	1.77 85.0 1.50
04/17/2018	#00088859005	REGALADO, JOSE		NEW PERSPECTIVE FUND INC CL C	B	53.11	0.53	0.00	0.00	0.53 85.0 0.45
04/17/2018	#00088859005	REGALADO, JOSE		NEW PERSPECTIVE FUND INC CL C	B	41.55	0.42	0.00	0.00	0.42 85.0 0.36
04/17/2018	#00089051015	VELACESARE		NEW PERSPECTIVE FUND INC CL C	B	46.88	0.47	0.00	0.00	0.47 85.0 0.40
04/17/2018	#00089051015	VELACESARE		NEW PERSPECTIVE FUND INC CL C	B	47.24	0.47	0.00	0.00	0.47 85.0 0.40
04/17/2018	#00089125404	KELLETJULI		NEW WORLD FUND INC NEW	B	35.40	1.77	0.00	0.00	1.77 85.0 1.50
04/17/2018	#00074389206	HUMB, LAUREL		NEW WORLD FUND INC NEW CL C	B	24.65	0.25	0.00	0.00	0.25 85.0 0.21
04/17/2018	#00074389206	HUMB, LAUREL		NEW WORLD FUND INC NEW CL C	B	24.84	0.25	0.00	0.00	0.25 85.0 0.21
04/17/2018	#00088859005	REGALADO, JOSE		NEW WORLD FUND INC NEW CL C	B	26.56	0.27	0.00	0.00	0.27 85.0 0.23
04/17/2018	#00088859005	REGALADO, JOSE		NEW WORLD FUND INC NEW CL C	B	20.77	0.21	0.00	0.00	0.21 85.0 0.18
04/17/2018	#00089051015	VELACESARE		NEW WORLD FUND INC NEW CL C	B	46.89	0.47	0.00	0.00	0.47 85.0 0.40
04/17/2018	#00089051015	VELACESARE		NEW WORLD FUND INC NEW CL C	B	47.24	0.47	0.00	0.00	0.47 85.0 0.40
04/17/2018	#00074389206	HUMB, LAUREL		SMALLCAP WORLD FUND INC CL C	B	24.65	0.25	0.00	0.00	0.25 85.0 0.21
04/17/2018	#00074389206	HUMB, LAUREL		SMALLCAP WORLD FUND INC CL C	B	24.84	0.25	0.00	0.00	0.25 85.0 0.21
04/17/2018	#00088859005	REGALADO, JOSE		SMALLCAP WORLD FUND INC CL C	B	53.11	0.53	0.00	0.00	0.53 85.0 0.45
04/17/2018	#00088859005	REGALADO, JOSE		SMALLCAP WORLD FUND INC CL C	B	41.55	0.42	0.00	0.00	0.42 85.0 0.36
04/17/2018	#00089051015	VELACESARE		SMALLCAP WORLD FUND INC CL C	B	23.44	0.23	0.00	0.00	0.23 85.0 0.20
04/17/2018	#00089051015	VELACESARE		SMALLCAP WORLD FUND INC CL C	B	23.62	0.24	0.00	0.00	0.24 85.0 0.20
04/17/2018	#00089125404	KELLETJULI		SMALLCAP WORLD FUND INC CLASS A	B	17.70	0.89	0.00	0.00	0.89 85.0 0.76
04/17/2018	#00074389206	HUMB, LAUREL		THE NEW ECONOMY FUND-C	B	24.65	0.25	0.00	0.00	0.25 85.0 0.21
04/17/2018	#00074389206	HUMB, LAUREL		THE NEW ECONOMY FUND-C	B	24.84	0.25	0.00	0.00	0.25 85.0 0.21
				* MUTUAL FUNDS SUBTOTAL *		\$12,965.79	\$1,340.50	\$20.00	\$0.00	\$1,320.50 \$1,122.47
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>										
03/01/0018	#1098000000	DEL NORTE,		JOHN HANCOCK ARA	B	556,854.38	185.27	0.00	0.00	185.27 85.0 157.48
04/06/2018	#702155	BARRERA, ADRIANA		JOHN HANCOCK LIFE TRAILS	B	0.00	55.86	0.00	0.00	55.86 85.0 47.48
				* VARIABLE ANNUITIES SUBTOTAL *		\$556,854.38	\$241.13	\$0.00	\$0.00	\$241.13 \$204.96
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
03/31/2018	#03322813525	VARIOUSJONES		GLOBAL FUND C	B	0.00	8.38	0.00	0.00	8.38 85.0 7.12
03/31/2018	#02330195305			GLOBAL STRATEGIC FUND	B	0.00	30.71	0.00	0.00	30.71 85.0 26.10
03/31/2018	#02330195305			GLOBAL STRATEGIC FUND	B	0.00	9.35	0.00	0.00	9.35 85.0 7.95
03/31/2018	#07862356377	VARIOUSJONES		OPPENHEIMER DEVELOPING MARKETS FUND B	B	0.00	0.97	0.00	0.00	0.97 85.0 0.82
03/31/2018	#07872207678	VARIOUSJONES		OPPENHEIMER DEVELOPING MARKETS FUND B	B	0.00	1.81	0.00	0.00	1.81 85.0 1.54
03/31/2018	#03307278900	VARIOUSJONES		OPPENHEIMER GLOBAL FUND CL A	B	0.00	4.83	0.00	0.00	4.83 85.0 4.11

COMMISSION STATEMENT for JEFF JONES

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>										
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>										
03/31/2018	#02254230567	VARIOUSJONES		OPPENHEIMER RISING DIVIDENDS FUND C B	0.00	5.25	0.00	0.00	5.25	85.0 4.46
03/31/2018	#02271150930	VARIOUSJONES		RISING DIVIDENDS FUND C B	0.00	8.99	0.00	0.00	8.99	85.0 7.64
04/01/2018	#07000331038	VARIOUSJONES		INVESCO GLOBAL GROWTH FUND - CLASS B	0.00	80.65	0.00	0.00	80.65	85.0 68.55
04/01/2018	#07000331046	VARIOUSJONES		INVESCO GLOBAL GROWTH FUND - CLASS B	0.00	89.22	0.00	0.00	89.22	85.0 75.84
04/01/2018	#07000331038	VARIOUSJONES		INVESCO GLOBAL HEALTH CARE FD-CL A B	0.00	57.95	0.00	0.00	57.95	85.0 49.26
04/01/2018	#07000331046	VARIOUSJONES		INVESCO GLOBAL HEALTH CARE FD-CL A B	0.00	47.01	0.00	0.00	47.01	85.0 39.96
04/05/2018	#	CANTU, VIDAL		DAIN TRAILER B	0.00	7.45	0.00	0.00	7.45	85.0 6.33
04/05/2018	#	ROSILLO, MARIA		DAIN TRAILER B	0.00	4.62	0.00	0.00	4.62	85.0 3.93
04/05/2018	#	BENAVIDES, ENRIQUE		DAIN TRAILER B	0.00	21.10	0.00	0.00	21.10	85.0 17.94
04/10/2018	#	LAMKIN, DYANNE		DAIN TRAILER B	0.00	0.94	0.00	0.00	0.94	85.0 0.80
04/10/2018	#	PENA, DIANA		DAIN TRAILER B	0.00	2.74	0.00	0.00	2.74	85.0 2.33
04/10/2018	#	PENA, DIANA		DAIN TRAILER B	0.00	1.09	0.00	0.00	1.09	85.0 0.93
04/10/2018	#	PENA, DIANA		DAIN TRAILER B	0.00	8.75	0.00	0.00	8.75	85.0 7.44
04/10/2018	#	PENA, DIANA		DAIN TRAILER B	0.00	3.42	0.00	0.00	3.42	85.0 2.91
04/10/2018	#	PENA, DIANA		DAIN TRAILER B	0.00	6.85	0.00	0.00	6.85	85.0 5.82
04/10/2018	#	PENA, DIANA		DAIN TRAILER B	0.00	17.04	0.00	0.00	17.04	85.0 14.48
04/10/2018	#	PENA, DIANA		DAIN TRAILER B	0.00	14.91	0.00	0.00	14.91	85.0 12.67
04/10/2018	#	PENA, DIANA		DAIN TRAILER B	0.00	8.60	0.00	0.00	8.60	85.0 7.31
04/10/2018	#	PENA, DIANA		DAIN TRAILER B	0.00	5.01	0.00	0.00	5.01	85.0 4.26
04/10/2018	#	PENA, DIANA		DAIN TRAILER B	0.00	0.06	0.00	0.00	0.06	85.0 0.05
04/10/2018	#	PENA, DIANA		DAIN TRAILER B	0.00	1.74	0.00	0.00	1.74	85.0 1.48
04/10/2018	#	GARCIA, YOLANDA		DAIN TRAILER B	0.00	6.73	0.00	0.00	6.73	85.0 5.72
04/10/2018	#	RAMIREZ, J EDMUNDO		DAIN TRAILER B	0.00	1.05	0.00	0.00	1.05	85.0 0.89
04/10/2018	#	RAMIREZ, J EDMUNDO		DAIN TRAILER B	0.00	0.47	0.00	0.00	0.47	85.0 0.40
04/10/2018	#	CARLOS J VERGARA EXEC		DAIN TRAILER B	0.00	5.32	0.00	0.00	5.32	85.0 4.52
04/10/2018	#	CARLOS J VERGARA EXEC		DAIN TRAILER B	0.00	3.33	0.00	0.00	3.33	85.0 2.83
04/10/2018	#	CARLOS J VERGARA EXEC		DAIN TRAILER B	0.00	1.67	0.00	0.00	1.67	85.0 1.42
04/10/2018	#	CARLOS J VERGARA EXEC		DAIN TRAILER B	0.00	2.54	0.00	0.00	2.54	85.0 2.16
04/10/2018	#	CARLOS J VERGARA EXEC		DAIN TRAILER B	0.00	11.92	0.00	0.00	11.92	85.0 10.13
04/10/2018	#	CARLOS J VERGARA EXEC		DAIN TRAILER B	0.00	4.68	0.00	0.00	4.68	85.0 3.98
04/10/2018	#	MARTINEZ, MARISSA		DAIN TRAILER B	0.00	0.24	0.00	0.00	0.24	85.0 0.20
04/10/2018	#	PENA, DIANA		DAIN TRAILER B	0.00	1.03	0.00	0.00	1.03	85.0 0.88
04/10/2018	#	PENA, DIANA		DAIN TRAILER B	0.00	7.92	0.00	0.00	7.92	85.0 6.73
04/10/2018	#	PENA, DIANA		DAIN TRAILER B	0.00	0.73	0.00	0.00	0.73	85.0 0.62
04/10/2018	#	BENAVIDES, ENRIQUE		DAIN TRAILER B	0.00	3.90	0.00	0.00	3.90	85.0 3.32
04/10/2018	#	BARRERA, ADRIANA		DAIN TRAILER B	0.00	7.26	0.00	0.00	7.26	85.0 6.17
04/27/2018	#	BENAVIDES, ENRIQUE		DAIN TRAILER B	100,000.00	2,800.00	0.00	0.00	2,800.00	85.0 2,380.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$100,000.00	\$3,308.23	\$0.00	\$0.00	\$3,308.23	\$2,812.00	
*** BROKER TRANSACTIONS TOTAL ***				\$669,820.17	\$4,889.86	\$20.00	\$0.00	\$4,869.86	\$4,139.43	

COMMISSION STATEMENT for JEFF JONES

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	POSTAGE	NET COMMISSION	RATE	BROKER COMMISSION
------------	--------	------------	-----	----------------------	---------------------	--------------------	---------	-------------------	------	----------------------

ADJUSTMENTS

05/20/2018		ADMIN FEE: ADMIN FEE								-390.00
05/20/2018		E & O INSURANCE: E & O INSURANCE								-179.00
*** ADJUSTMENTS TOTAL ***										<u>\$-569.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$4,139.43
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-569.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	<u>\$3,570.43</u>
--------------	-------------------