



All Companies

04/27/2018

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COMMISSION STATEMENT

May 01, 2018

ROTHSCHILD/POOL

BROKER #: 9629

BRANCH: HOME OFFICE

, TX

COMMISSION STATEMENT for ROTHSCCHILD/POOL

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

04/16/2018	000000000016042	ANGELO, IRINEO FRK LIFESMART 2015 RTMT TARGET - CL B		88,624.95	0.00	0.00	0.00	100.0	0.00
	S.								
04/18/2018	00061397698	RIVARD, JOHN M	AMERICAN FUNDS INVESTMENT COMP OF A B	65.00	0.00	0.00	0.00	100.0	0.00
04/16/2018	00061957268	SMITH, MARK	AMERICAN FUNDS INVESTMENT COMP OF A B	100.00	0.00	0.00	0.00	100.0	0.00
04/13/2018	00062777037	MILLER, KIMMARIE	AMERICAN FUNDS CAPITAL WORLD GROWT B	1,390.00	0.00	0.00	0.00	100.0	0.00
04/13/2018	00062777037	MILLER, KIMMARIE	AMERICAN FUNDS INVESTMENT COMP OF A B	1,000.00	0.00	0.00	0.00	100.0	0.00
04/18/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS BD FD OF AMER FD B	62.50	0.00	0.00	0.00	100.0	0.00
04/18/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS INCOME FD OF AMERI B	62.50	0.00	0.00	0.00	100.0	0.00
04/18/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS NEW PERSPECTIVE FD B	62.50	0.00	0.00	0.00	100.0	0.00
04/18/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS WA MUTUAL INVES B	62.50	0.00	0.00	0.00	100.0	0.00
04/17/2018	00063465378	GONZALEZ, CHRISTINA	AMERICAN FUNDS INCOME FD OF AMERI B	2,550.00	0.00	0.00	0.00	100.0	0.00
04/17/2018	00063465378	GONZALEZ, CHRISTINA	AMERICAN FUNDS INVESTMENT COMP OF A B	2,550.00	0.00	0.00	0.00	100.0	0.00
04/16/2018	00063806455	ROBERTS, KEVIN	AMERICAN FUNDS INCOME FD OF AMERI B	50.00	0.00	0.00	0.00	100.0	0.00
04/16/2018	00063806455	ROBERTS, KEVIN	AMERICAN FUNDS INVESTMENT COMP OF A B	50.00	0.00	0.00	0.00	100.0	0.00
04/16/2018	00063806455	ROBERTS, KEVIN	AMERICAN FUNDS NEW PERSPECTIVE FD B	50.00	0.00	0.00	0.00	100.0	0.00
04/16/2018	00067724745	ANGELO, CONCORDIA/MILES	AMERICAN MUTUAL FUND-529A B	30.00	0.00	0.00	0.00	100.0	0.00
04/16/2018	00067724745	ANGELO, CONCORDIA/MILES	CAPITAL WORLD BOND FUND-529A B	30.00	0.00	0.00	0.00	100.0	0.00
04/16/2018	00067724745	ANGELO, CONCORDIA/MILES	THE INCOME FUND OF AMERICA-529A B	30.00	0.00	0.00	0.00	100.0	0.00
04/16/2018	00067724745	ANGELO, CONCORDIA/MILES	THE NEW ECONOMY FUND-529A B	110.00	0.00	0.00	0.00	100.0	0.00
04/09/2018	00068080307	PILAND, CALLEY S	AMERICAN FUNDS CAPITAL INCOME BUILD B	104.00	0.00	0.00	0.00	100.0	0.00
04/09/2018	00068080307	PILAND, CALLEY S	AMERICAN FUNDS INVESTMENT COMP OF A B	208.00	0.00	0.00	0.00	100.0	0.00
04/09/2018	00068080307	PILAND, CALLEY S	AMERICAN FUNDS NEW PERSPECTIVE FD B	105.00	0.00	0.00	0.00	100.0	0.00
04/13/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS BD FD OF AMER FD B	253.85	0.00	0.00	0.00	100.0	0.00
04/13/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS BD FD OF AMER FD B	253.85	0.00	0.00	0.00	100.0	0.00
04/13/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS INVESTMENT COMP OF A B	261.55	0.00	0.00	0.00	100.0	0.00

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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: MUTUAL FUNDS</u>									
04/13/2018	00069023045	EMBACH, PETE		AMERICAN FUNDS INVESTMENT COMP OF A B	261.55	0.00	0.00	0.00 100.0	0.00
04/13/2018	00069023045	EMBACH, PETE		AMERICAN FUNDS NEW PERSPECTIVE FD B	253.85	0.00	0.00	0.00 100.0	0.00
04/13/2018	00069023045	EMBACH, PETE		AMERICAN FUNDS NEW PERSPECTIVE FD B	253.85	0.00	0.00	0.00 100.0	0.00
04/17/2018	00074701525	ARCHER, SETH		AMERICAN FUNDS BD FD OF AMER FD B	5,500.00	0.00	0.00	0.00 100.0	0.00
04/10/2018	00081663389	BUSA, JOSEPHINE JANE		AMERICAN FUNDS HIGH INCOME TR FD B	50.00	0.00	0.00	0.00 100.0	0.00
04/10/2018	00081663389	BUSA, JOSEPHINE JANE		AMERICAN FUNDS NEW ECONOMY FD B	50.00	0.00	0.00	0.00 100.0	0.00
04/16/2018	00082838137	HODGES, MICHAEL L		AMERICAN FUNDS NEW PERSPECTIVE FD B	50.00	0.00	0.00	0.00 100.0	0.00
04/16/2018	00085777888	BABAO, ROMMEL/ISABELLE		NEW PERSPECTIVE FUND-529C B	100.00	0.00	0.00	0.00 100.0	0.00
04/16/2018	00085777888	BABAO, ROMMEL/ISABELLE		THE GROWTH FUND OF AMERICA-529C B	100.00	0.00	0.00	0.00 100.0	0.00
04/16/2018	00085777916	BABAO, ROMMEL/RAPHAEL		AMERICAN BALANCED FUND-529C B	50.00	0.00	0.00	0.00 100.0	0.00
04/20/2018	00087441316	DAMRON/HUPP, MARTHA/ABIGAIL		COLLEGE ENROLLMENT FUND-529A B	50.00	0.00	0.00	0.00 100.0	0.00
04/19/2018	00088056101	PYLE, DYLAN		AMERICAN FUNDS INVESTMENT COMP OF A B	45.00	0.00	0.00	0.00 100.0	0.00
04/16/2018	01000245775	WONGPANICH, MANERATANA		IVK COMSTOCK FUND - CLASS C B	6,500.00	0.00	0.00	0.00 100.0	0.00
04/09/2018	04000826735	WELBORN, THOMAS A.		AMERICAN FUNDS 2045 TARGET DATE-A B	417.00	0.00	0.00	0.00 100.0	0.00
				* MUTUAL FUNDS SUBTOTAL *	\$111,747.45	\$0.00	\$0.00	\$0.00	\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
05/01/2018	TRAIL COMMISSIONS	JOHN HANCOCK FEES			0.00	0.00	0.00	0.00 100.0	0.00
05/01/2018	TRAIL COMMISSIONS	MFS FUND DISTRIBUTORS, INC. FEES			0.00	0.00	0.00	0.00 100.0	0.00
				* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
				*** BROKER TRANSACTIONS TOTAL ***	\$111,747.45	\$0.00	\$0.00	\$0.00	\$0.00

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

Balance Forward	\$0.00
Year-to-date Earnings	\$0.00