



All Companies
COMMISSION STATEMENT
April 16, 2018

04/12/2018
Page No. 1

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 |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

| | | | | | | | | | |
|------------|--|--|---|--------|--------|------|--------|------|--------|
| 03/31/2018 | TRAILS | -FIDELITY ADVISOR FUNDS | B | 78.14 | 78.14 | 0.00 | 78.14 | 90.0 | 70.33 |
| 03/31/2018 | TRAILS | -JOHN HANCOCK FREEDOM 529 | B | 6.89 | 6.89 | 0.00 | 6.89 | 90.0 | 6.20 |
| 03/31/2018 | TRAILS | -JOHN HANCOCK FREEDOM 529 | B | 15.87 | 15.87 | 0.00 | 15.87 | 90.0 | 14.28 |
| 03/31/2018 | TRAILS | -OPPENHEIMER FUNDS | B | 1.24 | 1.24 | 0.00 | 1.24 | 90.0 | 1.12 |
| 03/31/2018 | TRAILS | -OPPENHEIMER FUNDS | B | 31.82 | 31.82 | 0.00 | 31.82 | 90.0 | 28.64 |
| 03/31/2018 | TRAILS | -OPPENHEIMER FUNDS | B | 45.67 | 45.67 | 0.00 | 45.67 | 90.0 | 41.10 |
| 03/31/2018 | TRAILS | -PUTNAM | B | 24.37 | 24.37 | 0.00 | 24.37 | 90.0 | 21.93 |
| 03/01/2018 | TRAILS | -SCHOLARS EDGE 529 PLAN | B | 31.48 | 31.48 | 0.00 | 31.48 | 90.0 | 28.33 |
| 03/31/2018 | TRAILS | FORESTERS FINANCIAL | B | 7.95 | 7.95 | 0.00 | 7.95 | 90.0 | 7.16 |
| 03/31/2018 | TRAILS | FORESTERS FINANCIAL | B | 689.24 | 689.24 | 0.00 | 689.24 | 90.0 | 620.32 |
| 04/05/2018 | 000000005773748 DUNKIN, PHILLIP/COLBY | GROWTH ASSET ALLOC 13-16 YRS - CLAS B | B | 50.00 | 1.40 | 0.00 | 1.40 | 90.0 | 1.26 |
| 04/02/2018 | 000000006174104 COTE, PATTY S. | FRK TEMP FOUNDING FUNDS ALLOC FND C B | B | 250.00 | 12.50 | 0.00 | 12.50 | 90.0 | 11.25 |
| 03/19/2018 | 00001731052 MITCHELL, NATALIE | LIFESTYLE BALANCED PORTFOLIO A | B | 120.00 | 4.50 | 0.00 | 4.50 | 90.0 | 4.05 |
| 03/19/2018 | 00002119967 MATHIS, JANET | LIFESTYLE GROWTH PORTFOLIO A | B | 149.98 | 6.37 | 0.00 | 6.37 | 90.0 | 5.73 |
| 03/21/2018 | 00031779996 DOYLE, BLAKE | GLOBAL OPPORTUNITIES (A) | B | 140.00 | 4.20 | 0.00 | 4.20 | 90.0 | 3.78 |
| 03/21/2018 | 00031779996 DOYLE, BLAKE | PRINCIPAL INVESTORS LARGE CAP GROWTH B | B | 100.00 | 3.00 | 0.00 | 3.00 | 90.0 | 2.70 |
| 03/21/2018 | 00031779996 DOYLE, BLAKE | SMALL-MIDCAP DIVIDEND INCOME (A) | B | 140.00 | 4.20 | 0.00 | 4.20 | 90.0 | 3.78 |
| 03/21/2018 | 00031780010 DOYLE, BLAKE E. | EQUITY INCOME I (A) | B | 110.00 | 3.30 | 0.00 | 3.30 | 90.0 | 2.97 |
| 03/21/2018 | 00031780010 DOYLE, BLAKE E. | GLOBAL OPPORTUNITIES (A) | B | 110.00 | 3.30 | 0.00 | 3.30 | 90.0 | 2.97 |
| 04/02/2018 | 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 |
| 04/02/2018 | 00073345834 VASQUEZ, DAVID | AMERICAN FUNDS CAPITAL WORLD BD FD B | B | 26.15 | 0.72 | 0.00 | 0.72 | 90.0 | 0.65 |
| 04/02/2018 | 00073345834 VASQUEZ, DAVID | AMERICAN FUNDS CAPITAL WORLD BD FD B | B | 26.15 | 0.72 | 0.00 | 0.72 | 90.0 | 0.65 |
| 04/04/2018 | 00073689293 DE SMIT, PAUL | AMERICAN FUNDS NEW PERSPECTIVE FD B | B | 541.66 | 10.83 | 0.00 | 10.83 | 90.0 | 9.75 |
| 04/04/2018 | 00075036376 GOLDEN, BARBARA | AMERICAN FUNDS CAPITAL INCOME BUILD B | B | 150.00 | 4.13 | 0.00 | 4.13 | 90.0 | 3.72 |
| 04/04/2018 | 00075036376 GOLDEN, BARBARA | AMERICAN FUNDS CAPITAL WORLD GROWT B | B | 150.00 | 4.13 | 0.00 | 4.13 | 90.0 | 3.72 |
| 03/29/2018 | 00075979142 LARA-MONTGOMERY, JENNIFER A | AMERICAN FUNDS CAPITAL WORLD GROWT B | B | 100.00 | 2.00 | 0.00 | 2.00 | 90.0 | 1.80 |
| 04/02/2018 | 00082140597 DAVILA, JAIME A | AMERICAN FUNDS CAPITAL INCOME BUILD B | B | 26.90 | 0.74 | 0.00 | 0.74 | 90.0 | 0.67 |
| 04/02/2018 | 00082140597 DAVILA, JAIME A | AMERICAN FUNDS CAPITAL INCOME BUILD B | B | 25.00 | 0.69 | 0.00 | 0.69 | 90.0 | 0.62 |
| 04/02/2018 | 00084124051 PARISH/ALLEN, | CAPITAL WORLD GROWTH AND INCOME-529 B | B | 25.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.95 |

COMMISSION STATEMENT for MICHAEL C. MOYNIHAN

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION | |
|--------------------------------------|------------------|-------------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------------|----------------------|-------|
| BROKER TRANSACTIONS | | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | | | |
| VICTORIA/JULIE | | | | | | | | | | |
| 03/26/2018 | 00084917868 | SASSMAN, STETSON | FUNDAMENTAL INVESTORS-529A | B | 100.00 | 4.25 | 0.00 | 4.25 | 90.0 | 3.83 |
| 03/26/2018 | 00086510197 | SASSMAN, STETSON | FUNDAMENTAL INVESTORS-529A | B | 100.00 | 4.25 | 0.00 | 4.25 | 90.0 | 3.83 |
| 03/26/2018 | 00086510293 | SASSMAN, STETSON | FUNDAMENTAL INVESTORS-529A | B | 100.00 | 4.25 | 0.00 | 4.25 | 90.0 | 3.83 |
| 03/29/2018 | 00086824865 | BANKS, HEATHER | AMERICAN FUNDS CAPITAL WORLD GROWT | B | 148.81 | 5.58 | 0.00 | 5.58 | 90.0 | 5.02 |
| 03/29/2018 | 00086824865 | BANKS, HEATHER | AMERICAN FUNDS CAPITAL WORLD GROWT | B | 74.40 | 2.79 | 0.00 | 2.79 | 90.0 | 2.51 |
| 03/29/2018 | 00086824865 | BANKS, HEATHER | AMERICAN FUNDS NEW ECONOMY FD | B | 148.80 | 5.58 | 0.00 | 5.58 | 90.0 | 5.02 |
| 03/29/2018 | 00086824865 | BANKS, HEATHER | AMERICAN FUNDS NEW ECONOMY FD | B | 74.41 | 2.79 | 0.00 | 2.79 | 90.0 | 2.51 |
| 04/02/2018 | 00087416414 | WHITE, CINDY C. | GROWTH PORTFOLIO-A | B | 150.00 | 7.50 | 0.00 | 7.50 | 90.0 | 6.75 |
| 03/26/2018 | 00088005709 | GOTTWALD, KATY | GROWTH PORTFOLIO-A | B | 100.00 | 4.25 | 0.00 | 4.25 | 90.0 | 3.83 |
| WEBER | | | | | | | | | | |
| 04/02/2018 | 00088625904 | SHUMATE, BRENDA K | AMERICAN FUNDS 2020 TARGET DATE-A | B | 81.89 | 2.25 | 0.00 | 2.25 | 90.0 | 2.03 |
| 04/02/2018 | 00088625904 | SHUMATE, BRENDA K | AMERICAN FUNDS 2020 TARGET DATE-A | B | 150.00 | 4.13 | 0.00 | 4.13 | 90.0 | 3.72 |
| 04/02/2018 | 00088628251 | GRINDELE, RUSSELL | AMERICAN FUNDS 2025 TARGET DATE-A | B | 26.40 | 0.73 | 0.00 | 0.73 | 90.0 | 0.66 |
| G. | | | | | | | | | | |
| 04/02/2018 | 00088628251 | GRINDELE, RUSSELL | AMERICAN FUNDS 2025 TARGET DATE-A | B | 26.40 | 0.73 | 0.00 | 0.73 | 90.0 | 0.66 |
| G. | | | | | | | | | | |
| 04/02/2018 | 00089316769 | JIMENEZ, MANUEL | AMERICAN FUNDS 2020 TARGET DATE-A | B | 10.00 | 0.28 | 0.00 | 0.28 | 90.0 | 0.25 |
| 04/02/2018 | 00089316769 | JIMENEZ, MANUEL | AMERICAN FUNDS 2020 TARGET DATE-A | B | 10.00 | 0.28 | 0.00 | 0.28 | 90.0 | 0.25 |
| 04/02/2018 | 00089357575 | CONTRERAS, JUAN J. | AMERICAN FUNDS 2020 TARGET DATE-A | B | 28.80 | 0.79 | 0.00 | 0.79 | 90.0 | 0.71 |
| 04/02/2018 | 00089357575 | CONTRERAS, JUAN J. | AMERICAN FUNDS 2020 TARGET DATE-A | B | 70.00 | 1.93 | 0.00 | 1.93 | 90.0 | 1.74 |
| 03/26/2018 | 00089825255 | SASSMAN, | COLLEGE 2033 FUND-529A | B | 100.00 | 3.50 | 0.00 | 3.50 | 90.0 | 3.15 |
| KATHLEEN/SARAH | | | | | | | | | | |
| 04/02/2018 | 04000020963 | BURK, SHANNON | AMERICAN FUNDS 2050 TARGET DATE-A | B | 458.33 | 19.48 | 0.00 | 19.48 | 90.0 | 17.53 |
| KELLEY M. | | | | | | | | | | |
| 04/03/2018 | 04000037092 | KELLEY, JENNIFER | AMERICAN FUNDS 2040 TARGET DATE-A | B | 458.33 | 17.19 | 0.00 | 17.19 | 90.0 | 15.47 |
| F. | | | | | | | | | | |
| 04/02/2018 | 04000470737 | MINTER, ETHAN M. | AMERICAN FUNDS 2050 TARGET DATE-A | B | 300.00 | 15.00 | 0.00 | 15.00 | 90.0 | 13.50 |
| 04/02/2018 | 04000476660 | PARISH, WESLEY | COLLEGE 2033 FUND-529A | B | 50.00 | 1.75 | 0.00 | 1.75 | 90.0 | 1.58 |
| 04/02/2018 | 04000795732 | BETTIS, ZACHERY | GROWTH PORTFOLIO-529A | B | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 04/02/2018 | 04000795807 | BETTIS, ZACHERY | GROWTH PORTFOLIO-529A | B | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| * MUTUAL FUNDS SUBTOTAL * | | | | | \$6,581.74 | \$1,125.57 | \$0.00 | \$1,125.57 | \$1,013.06 | |
| PRODUCT CATEGORY: VARIABLE ANNUITIES | | | | | | | | | | |
| 03/30/2018 | TRAILS | -HARTFORD LIFE | | B | 3.66 | 3.66 | 0.00 | 3.66 | 90.0 | 3.29 |
| 03/31/2018 | TRAILS | -HARTFORD LIFE | | B | 31.03 | 31.03 | 0.00 | 31.03 | 90.0 | 27.93 |
| 04/02/2018 | HYDINGER, DANIEL | BRIGHTHOUSE FINANCIAL | | B | 200.00 | 4.00 | 0.00 | 4.00 | 90.0 | 3.60 |
| 03/31/2018 | TRAILS | LINCOLN NATIONAL LIFE INSURANCE COM | B | 207.28 | 207.28 | 0.00 | 207.28 | 90.0 | 186.55 | |
| * VARIABLE ANNUITIES SUBTOTAL * | | | | | \$441.97 | \$245.97 | \$0.00 | \$245.97 | \$221.37 | |

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|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | | |
|------------------------------|--------------------------------------|--|--|------------|------------|--------|------------|------|------------|
| 04/16/2018 TRAIL COMMISSIONS | INVESCO LTD FEES | | | 0.00 | 7.06 | 0.00 | 7.06 | 90.0 | 6.35 |
| | * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$7.06 | \$0.00 | \$7.06 | | \$6.35 |
| | *** BROKER TRANSACTIONS TOTAL *** | | | \$7,023.71 | \$1,378.60 | \$0.00 | \$1,378.60 | | \$1,240.78 |

SPLIT TRANSACTIONS

BROKER: SNOW/MOYNIHAN #9543

| | | | | | | | | | |
|-------------------|----------------------------------|---|--|----------|---------|--------|---------|------|---------|
| 03/31/2018 TRAILS | -FIDELITY ADVISOR FUNDS | B | | 181.64 | 72.66 | 0.00 | 72.66 | 90.0 | 65.39 |
| | * SNOW/MOYNIHAN SUBTOTAL * | | | \$181.64 | \$72.66 | \$0.00 | \$72.66 | | \$65.39 |
| | *** SPLIT TRANSACTIONS TOTAL *** | | | \$181.64 | \$72.66 | \$0.00 | \$72.66 | | \$65.39 |

ADJUSTMENTS

| | | | | | | | | | |
|------------|------------------------------|--|--|--------|--------|--------|--------|--|-----------|
| 04/16/2018 | E & O INSURANCE: 1/2 MONTHLY | | | 0.00 | 0.00 | 0.00 | 0.00 | | -100.00 |
| 04/16/2018 | RENT: 1/2 MONTH | | | 0.00 | 0.00 | 0.00 | 0.00 | | -125.00 |
| 04/16/2018 | TECH: MONTHLY TECH SERVICES | | | 0.00 | 0.00 | 0.00 | 0.00 | | -27.50 |
| | *** ADJUSTMENTS TOTAL *** | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-252.50 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$1,240.78 |
| Split Transactions | \$65.39 |
| Override Transactions | \$0.00 |
| Adjustments | \$-252.50 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |

| | |
|-----------------------|-------------|
| Check Amount | \$1,053.67 |
| Year-to-date Earnings | \$93,479.43 |