



All Companies
COMMISSION STATEMENT
August 01, 2018

07/30/2018
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JEFFREY ROTHSCHILD
609 Gunnison Dr.

BROKER #: 9100
BRANCH: HOME OFFICE

ARLINGTON, TX 76006-

COMMISSION STATEMENT for JEFFREY ROTHSCHILD

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUNDS									
06/30/2018	TRAILS	-PRINCIPAL FUNDS	B	191.09	191.09	0.00	191.09	70.0	133.76
06/30/2018	TRAILS	COLLEGEBOUND 529	B	145.07	145.07	0.00	145.07	70.0	101.55
06/30/2018	TRAILS	DELAWARE - GENERAL	B	8.82	8.82	0.00	8.82	70.0	6.17
06/29/2018	TRAILS	PACIFIC LIFE FUNDS - GENERAL	B	158.84	158.84	0.00	158.84	70.0	111.19
07/19/2018	000000001763541 KUNZE REV LIV	FRNKLN FLOATING RATE DLY ACCESS FND	B	12,791.50	191.87	0.00	191.87	70.0	134.31
	TR, PAUL G/MILDRED								
07/19/2018	000006985945299 KUNZE REV LIV	TEMPLETON GLOBAL BD FD CL I	B	51,166.03	1,432.65	0.00	1,432.65	70.0	1,002.86
	TR, PAUL G/MILDRED								
07/19/2018	000013712301588 KUNZE REV LIV	FRANKLIN CONVERTIBLE FD CL I	B	19,187.25	537.24	0.00	537.24	70.0	376.07
	TR, PAUL G/MILDRED								
07/03/2018	00002032720 QUALMAN, LESLIE	LIFESTYLE GROWTH PORTFOLIO A	B	200.00	8.50	0.00	8.50	70.0	5.95
07/16/2018	000090238363748 MINATRA, ROYCE	FRANKLIN INCOME FD CL I	B	450.00	18.00	0.00	18.00	70.0	12.60
07/19/2018	000090239770390 KUNZE REV LIV	FRANKLIN INCOME FD CL I	B	44,770.27	1,253.57	0.00	1,253.57	70.0	877.50
	TR, PAUL G/MILDRED								
07/16/2018	00060669572 GAYLORD, CYNTHIA	AMERICAN FUNDS INVESTMENT COMP OF A	B	50.00	1.88	0.00	1.88	70.0	1.32
07/16/2018	00060669573 GAYLORD, THURMOND	AMERICAN FUNDS INVESTMENT COMP OF A	B	50.00	1.88	0.00	1.88	70.0	1.32
07/16/2018	00088220301 MINTON, SESSILY/KAIN A.	COLLEGE 2030 FUND-529A	B	100.00	3.50	0.00	3.50	70.0	2.45
07/16/2018	00088220301 MINTON, SESSILY/KAIN A.	THE INVESTMENT COMPANY OF AMERICA-5	B	50.00	2.50	0.00	2.50	70.0	1.75
07/16/2018	00088662742 BLUMKA, RONALD	AMERICAN FUNDS BALANCED FD	B	500.00	18.75	0.00	18.75	70.0	13.13
07/16/2018	00089743823 MINTON, SESSILY	CAPITAL INCOME BUILDER-529A	B	50.00	2.50	0.00	2.50	70.0	1.75
07/16/2018	00089743823 MINTON, SESSILY	COLLEGE 2033 FUND-529A	B	100.00	3.50	0.00	3.50	70.0	2.45
07/16/2018	00089743830 MINTON, SESSILY	CAPITAL INCOME BUILDER-529A	B	50.00	2.50	0.00	2.50	70.0	1.75
07/16/2018	00089743830 MINTON, SESSILY	COLLEGE 2033 FUND-529A	B	100.00	3.50	0.00	3.50	70.0	2.45
07/16/2018	01001396163 ROTHSCHILD, PAUL J	IVK EQUITY AND INCOME FUND - CLASS	B	75.00	3.75	0.00	3.75	70.0	2.63
07/16/2018	01001396163 ROTHSCHILD, PAUL J	IVK MID CAP GROWTH FUND - CLASS A	B	50.00	2.50	0.00	2.50	70.0	1.75
* MUTUAL FUNDS SUBTOTAL *				\$130,243.87	\$3,992.41	\$0.00	\$3,992.41		\$2,794.71

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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: STOCKS</u>									
07/30/2018	SECURITIES, HILLTOP	-HILLTOP SECURITIES	B	134.13	134.13	0.00	134.13	70.0	93.89
		* STOCKS SUBTOTAL *		\$134.13	\$134.13	\$0.00	\$134.13		\$93.89
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
07/09/2018	TRAILS	-JACKSON NATIONAL	B	9.49	9.49	0.00	9.49	70.0	6.64
07/09/2018	TRAILS	-JACKSON NATIONAL	B	20.04	20.04	0.00	20.04	70.0	14.03
07/06/2018	TRAILS	-JOHN HANCOCK	B	105.14	105.14	0.00	105.14	70.0	73.60
07/02/2018	TRAILS	BRIGHTHOUSE FINANCIAL	B	935.21	935.21	0.00	935.21	70.0	654.65
07/02/2018	TRAILS	BRIGHTHOUSE FINANCIAL	B	4,763.86	4,763.86	0.00	4,763.86	70.0	3,334.70
07/16/2018	GOETZ, CAROLYN S	CANADA LIFE VA	B	171.52	2.58	0.00	2.58	70.0	1.81
06/30/2018	TRAILS	INTEGRITY LIFE INSURANCE COMPANY	B	53.79	53.79	0.00	53.79	70.0	37.65
07/05/2018	TRAILS	TRANSAMERICA LIFE INSURANCE	B	475.03	475.03	0.00	475.03	70.0	332.52
		* VARIABLE ANNUITIES SUBTOTAL *		\$6,534.08	\$6,365.14	\$0.00	\$6,365.14		\$4,455.60
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
08/01/2018	TRAIL COMMISSIONS	JOHN HANCOCK FEES		0.00	24.20	0.00	24.20	70.0	16.95
08/01/2018	TRAIL COMMISSIONS	COLUMBIA THREADNEEDLE FEES		0.00	7.55	0.00	7.55	70.0	5.29
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$31.75	\$0.00	\$31.75		\$22.24
		*** BROKER TRANSACTIONS TOTAL ***		\$136,912.08	\$10,523.43	\$0.00	\$10,523.43		\$7,366.44
<u>SPLIT TRANSACTIONS</u>									
<u>BROKER: ROTHSCHILD/POOL #9629</u>									
06/30/2018	TRAILS	-FIDELITY ADVISOR FUNDS	B	113.20	67.92	0.00	67.92	70.0	47.54
06/30/2018	TRAILS	-PRUDENTIAL MUTUAL FUND	B	67.27	40.36	0.00	40.36	70.0	28.25
08/01/2018	TRAIL COMMISSIONS	JOHN HANCOCK FEES		0.00	8.06	0.00	8.06	70.0	5.64
07/18/2018	00061397698 RIVARD, JOHN M	AMERICAN FUNDS INVESTMENT COMP OF A B		65.00	1.07	0.00	1.07	70.0	0.75
07/16/2018	00061957268 SMITH, MARK	AMERICAN FUNDS INVESTMENT COMP OF A B		100.00	1.65	0.00	1.65	70.0	1.16
07/18/2018	00063348505 RIVARD, JOHN M	AMERICAN FUNDS BD FD OF AMER FD B		62.50	1.03	0.00	1.03	70.0	0.72
07/18/2018	00063348505 RIVARD, JOHN M	AMERICAN FUNDS INCOME FD OF AMERI B		62.50	1.03	0.00	1.03	70.0	0.72
07/18/2018	00063348505 RIVARD, JOHN M	AMERICAN FUNDS NEW PERSPECTIVE FD B		62.50	1.03	0.00	1.03	70.0	0.72
07/18/2018	00063348505 RIVARD, JOHN M	AMERICAN FUNDS WA MUTUAL INVES B		62.50	1.03	0.00	1.03	70.0	0.72
07/16/2018	00063666255 JACKSON, STACY	AMERICAN FUNDS NEW PERSPECTIVE FD B		100.00	3.00	0.00	3.00	70.0	2.10
07/16/2018	00063806455 ROBERTS, KEVIN	AMERICAN FUNDS INCOME FD OF AMERI B		50.00	1.50	0.00	1.50	70.0	1.05
07/16/2018	00063806455 ROBERTS, KEVIN	AMERICAN FUNDS INVESTMENT COMP OF A B		50.00	1.50	0.00	1.50	70.0	1.05
07/16/2018	00063806455 ROBERTS, KEVIN	AMERICAN FUNDS NEW PERSPECTIVE FD B		50.00	1.50	0.00	1.50	70.0	1.05
07/17/2018	00067724745 ANGELO, CONCORDIA/MILES	AMERICAN FUNDS - GENERAL	B	1,990.00	35.82	0.00	35.82	70.0	25.07
07/16/2018	00067724745 ANGELO,	AMERICAN MUTUAL FUND-529A	B	30.00	0.77	0.00	0.77	70.0	0.54

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<u>SPLIT TRANSACTIONS</u>									
BROKER: ROTHSCHILD/POOL #9629									
	CONCORDIA/MILES								
07/16/2018	00067724745 ANGELO,	CAPITAL WORLD BOND FUND-529A	B	30.00	0.54	0.00	0.54	70.0	0.38
	CONCORDIA/MILES								
07/16/2018	00067724745 ANGELO,	THE INCOME FUND OF AMERICA-529A	B	30.00	0.77	0.00	0.77	70.0	0.54
	CONCORDIA/MILES								
07/16/2018	00067724745 ANGELO,	THE NEW ECONOMY FUND-529A	B	110.00	2.81	0.00	2.81	70.0	1.97
	CONCORDIA/MILES								
07/09/2018	00068080307 PILAND, CALLEY S	AMERICAN FUNDS CAPITAL INCOME BUILD B		104.00	2.65	0.00	2.65	70.0	1.86
07/09/2018	00068080307 PILAND, CALLEY S	AMERICAN FUNDS INVESTMENT COMP OF A B		208.00	5.30	0.00	5.30	70.0	3.71
07/09/2018	00068080307 PILAND, CALLEY S	AMERICAN FUNDS NEW PERSPECTIVE FD B		105.00	2.68	0.00	2.68	70.0	1.88
07/13/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS BD FD OF AMER FD B		253.85	4.57	0.00	4.57	70.0	3.20
07/13/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS BD FD OF AMER FD B		100.88	1.82	0.00	1.82	70.0	1.27
07/13/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS INVESTMENT COMP OF A B		261.55	7.85	0.00	7.85	70.0	5.50
07/13/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS INVESTMENT COMP OF A B		103.94	3.12	0.00	3.12	70.0	2.18
07/13/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS NEW PERSPECTIVE FD B		253.85	7.61	0.00	7.61	70.0	5.33
07/13/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS NEW PERSPECTIVE FD B		100.88	3.02	0.00	3.02	70.0	2.11
07/16/2018	00082838137 HODGES, MICHAEL L	AMERICAN FUNDS INVESTMENT COMP OF A B		50.00	1.28	0.00	1.28	70.0	0.90
07/16/2018	00084382054 ROBERTS, ALEXXA	AMERICAN FUNDS BD FD OF AMER FD B		50.00	0.90	0.00	0.90	70.0	0.63
07/16/2018	00084382054 ROBERTS, ALEXXA	AMERICAN FUNDS INVESTMENT COMP OF A B		50.00	1.50	0.00	1.50	70.0	1.05
07/16/2018	00084382054 ROBERTS, ALEXXA	AMERICAN FUNDS NEW PERSPECTIVE FD B		50.00	1.50	0.00	1.50	70.0	1.05
07/16/2018	00085777888 BABAO,	NEW PERSPECTIVE FUND-529C	B	100.00	0.60	0.00	0.60	70.0	0.42
	ROMMEL/ISABELLE								
07/16/2018	00085777888 BABAO,	THE GROWTH FUND OF AMERICA-529C	B	100.00	0.60	0.00	0.60	70.0	0.42
	ROMMEL/ISABELLE								
07/16/2018	00085777916 BABAO,	AMERICAN BALANCED FUND-529C	B	100.00	0.60	0.00	0.60	70.0	0.42
	ROMMEL/RAPHAEL								
07/16/2018	00085777916 BABAO,	CAPITAL INCOME BUILDER-529C	B	100.00	0.60	0.00	0.60	70.0	0.42
	ROMMEL/RAPHAEL								
07/16/2018	00085777916 BABAO,	THE BOND FUND OF AMERICA-529C	B	100.00	0.60	0.00	0.60	70.0	0.42
	ROMMEL/RAPHAEL								
07/16/2018	00085777916 BABAO,	THE INCOME FUND OF AMERICA-529C	B	50.00	0.30	0.00	0.30	70.0	0.21
	ROMMEL/RAPHAEL								
07/16/2018	00085777916 BABAO,	U.S. GOVERNMENT SECURITIES FUND-529 B		100.00	0.60	0.00	0.60	70.0	0.42
	ROMMEL/RAPHAEL								
07/20/2018	00087441316 DAMRON/HUPP,	COLLEGE ENROLLMENT FUND-529A	B	50.00	0.60	0.00	0.60	70.0	0.42
	MARTHA/ABIGAIL								
07/19/2018	00088056101 PYLE, DYLAN	AMERICAN FUNDS INVESTMENT COMP OF A B		45.00	1.15	0.00	1.15	70.0	0.81
07/02/2018	00090021291 ATCHISON, STEPHEN	MFS - GENERAL	B	100.00	2.40	0.00	2.40	70.0	1.68
08/01/2018	TRAIL COMMISSIONS	MFS FUND DISTRIBUTORS, INC. FEES		0.00	133.62	0.00	133.62	70.0	93.53
* ROTHSCHILD/POOL SUBTOTAL *				\$5,572.42	\$356.86	\$0.00	\$356.86		\$249.81

COMMISSION STATEMENT for JEFFREY ROTHSCHILD

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

*** SPLIT TRANSACTIONS TOTAL ***	\$5,572.42	\$356.86	\$0.00	\$356.86	\$249.81
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ADJUSTMENTS

08/01/2018	POSTAGE: FEDEX CHARGE	0.00	0.00	0.00	0.00	-29.85
	*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00	\$-29.85

BROKER COMMISSION TOTALS

Broker Transactions	\$7,454.70
Split Transactions	\$161.55
Override Transactions	\$0.00
Adjustments	\$-29.85
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Check Amount	\$7,586.40
Year-to-date Earnings	\$42,711.76