



All Companies

COMMISSION STATEMENT

April 02, 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 |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

| | | | | | | | | | |
|------------|------------------|-------------------------|---------------------------------------|---|-----------|------|------|------------|------|
| 03/19/2018 | 000000000026397 | BUSA, JOSEPHINE JANE | FRK LIFESMART 2015 RTMT TARGET - CL B | B | 75,121.98 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/20/2018 | 0000000000894129 | BUSA, JOSEPHINE JANE | FRANKLIN VALUE FD CL II | B | 50.00 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/19/2018 | 00061397698 | RIVARD, JOHN M | AMERICAN FUNDS INVESTMENT COMP OF A B | B | 65.00 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/15/2018 | 00061957268 | SMITH, MARK | AMERICAN FUNDS INVESTMENT COMP OF A B | B | 100.00 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/19/2018 | 00063348505 | RIVARD, JOHN M | AMERICAN FUNDS BD FD OF AMER FD | B | 62.50 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/19/2018 | 00063348505 | RIVARD, JOHN M | AMERICAN FUNDS INCOME FD OF AMERI B | B | 62.50 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/19/2018 | 00063348505 | RIVARD, JOHN M | AMERICAN FUNDS NEW PERSPECTIVE FD | B | 62.50 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/19/2018 | 00063348505 | RIVARD, JOHN M | AMERICAN FUNDS WA MUTUAL INVES B | B | 62.50 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/15/2018 | 00063806455 | ROBERTS, KEVIN | AMERICAN FUNDS INCOME FD OF AMERI B | B | 50.00 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/15/2018 | 00063806455 | ROBERTS, KEVIN | AMERICAN FUNDS INVESTMENT COMP OF A B | B | 50.00 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/15/2018 | 00063806455 | ROBERTS, KEVIN | AMERICAN FUNDS NEW PERSPECTIVE FD | B | 50.00 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/15/2018 | 00067724745 | ANGELO, CONCORDIA/MILES | AMERICAN FUNDS - GENERAL | B | 30.00 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/15/2018 | 00067724745 | ANGELO, CONCORDIA/MILES | AMERICAN MUTUAL FUND-529A | B | 30.00 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/15/2018 | 00067724745 | ANGELO, CONCORDIA/MILES | CAPITAL WORLD BOND FUND-529A | B | 30.00 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/15/2018 | 00067724745 | ANGELO, CONCORDIA/MILES | THE INCOME FUND OF AMERICA-529A | B | 30.00 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/15/2018 | 00067724745 | ANGELO, CONCORDIA/MILES | THE NEW ECONOMY FUND-529A | B | 30.00 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/16/2018 | 00069023045 | EMBACH, PETE | AMERICAN FUNDS BD FD OF AMER FD | B | 203.08 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/16/2018 | 00069023045 | EMBACH, PETE | AMERICAN FUNDS BD FD OF AMER FD | B | 203.08 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/16/2018 | 00069023045 | EMBACH, PETE | AMERICAN FUNDS INVESTMENT COMP OF A B | B | 209.24 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/16/2018 | 00069023045 | EMBACH, PETE | AMERICAN FUNDS INVESTMENT COMP OF A B | B | 209.24 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/16/2018 | 00069023045 | EMBACH, PETE | AMERICAN FUNDS NEW PERSPECTIVE FD | B | 203.08 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/16/2018 | 00069023045 | EMBACH, PETE | AMERICAN FUNDS NEW PERSPECTIVE FD | B | 203.08 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/23/2018 | 00075957331 | SEIBERT, STEVEN | AMERICAN FUNDS CAPITAL WORLD GROWT B | B | 665.00 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |
| 03/21/2018 | 00082344402 | BRISTOL, JR., | AMERICAN FUNDS NEW PERSPECTIVE FD | B | 6,500.00 | 0.00 | 0.00 | 0.00 100.0 | 0.00 |

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|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

| | | | | | | | | | |
|-----------------------------------|-------------|-----------------------------|---------------------------------------|-------------|--------|--------|--------|-------|--------|
| JAMES A | | | | | | | | | |
| 03/15/2018 | 00082838137 | HODGES, MICHAEL L | AMERICAN FUNDS INVESTMENT COMP OF A B | 50.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 03/15/2018 | 00084382054 | ROBERTS, ALEXXA | AMERICAN FUNDS BD FD OF AMER FD B | 50.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 03/15/2018 | 00084382054 | ROBERTS, ALEXXA | AMERICAN FUNDS INVESTMENT COMP OF A B | 50.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 03/15/2018 | 00084382054 | ROBERTS, ALEXXA | AMERICAN FUNDS NEW PERSPECTIVE FD B | 50.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 03/15/2018 | 00085777888 | BABAO, ROMMEL/ISABELLE | NEW PERSPECTIVE FUND-529C B | 100.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 03/15/2018 | 00085777888 | BABAO, ROMMEL/ISABELLE | THE GROWTH FUND OF AMERICA-529C B | 100.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 03/15/2018 | 00085777916 | BABAO, ROMMEL/RAPHAEL | AMERICAN BALANCED FUND-529C B | 50.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 03/15/2018 | 00085777916 | BABAO, ROMMEL/RAPHAEL | FUNDAMENTAL INVESTORS-529C B | 100.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 03/15/2018 | 00085777916 | BABAO, ROMMEL/RAPHAEL | NEW PERSPECTIVE FUND-529C B | 100.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 03/15/2018 | 00085777916 | BABAO, ROMMEL/RAPHAEL | THE GROWTH FUND OF AMERICA-529C B | 200.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 03/20/2018 | 00087441316 | DAMRON/HUPP, MARTHA/ABIGAIL | COLLEGE 2018 FUND-529A B | 50.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 03/20/2018 | 00087716306 | ARCHER, JENNIFER | GROWTH PORTFOLIO-A B | 5,500.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| 03/19/2018 | 00088056101 | PYLE, DYLAN | AMERICAN FUNDS INVESTMENT COMP OF A B | 45.00 | 0.00 | 0.00 | 0.00 | 100.0 | 0.00 |
| * MUTUAL FUNDS SUBTOTAL * | | | | \$90,727.78 | \$0.00 | \$0.00 | \$0.00 | | \$0.00 |
| *** BROKER TRANSACTIONS TOTAL *** | | | | \$90,727.78 | \$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 |