



All Companies

12/28/2018
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COMMISSION STATEMENT January 02, 2019

RICHARD E. FENGLER
513 HARBOR LANE

BROKER #: 2990
BRANCH: HOME OFFICE

Hickory Creek, TX 75065-7546

COMMISSION STATEMENT for RICHARD E. FENGLER

| 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> | | | | | | | | | |
| 12/27/2018 | TRAILS | -VOYA | B | 689.06 | 689.06 | 0.00 | 689.06 | 85.0 | 585.70 |
| 12/06/2018 | 00002404574 BLACKWOOD, PATRICIA J | LIFESTYLE GROWTH PORTFOLIO C | B | 400.00 | 4.00 | 0.00 | 4.00 | 85.0 | 3.40 |
| 12/03/2018 | 00689654523 BOYLE, JOHN /MARION | -FIDELITY ADVISOR FUNDS | B | 1,500.00 | 30.00 | 0.00 | 30.00 | 85.0 | 25.50 |
| 12/10/2018 | 00700914989 EPPERSON, JOANN | -FIDELITY ADVISOR FUNDS | B | 100.00 | 2.50 | 0.00 | 2.50 | 85.0 | 2.13 |
| 12/07/2018 | 00701154544 DUNFORD, GINA | FIDELITY ADV DIVERSIFIED INTL FD-CL B | B | 100.00 | 5.00 | 0.00 | 5.00 | 85.0 | 4.25 |
| 12/03/2018 | 00704636216 MICHAEL A SCHOEMEHL, BENE | FA 529 PORT 2025-CL A | B | 50.00 | 1.50 | 0.00 | 1.50 | 85.0 | 1.28 |
| 12/07/2018 | 01481958690 KLING, MELISSA K. | FA 529 PORT 2019-CL C | B | 1,000.00 | 10.00 | 0.00 | 10.00 | 85.0 | 8.50 |
| 12/07/2018 | 01481958690 KLING, MELISSA K. | FA 529 PORT 2019-CL C | B | 400.00 | 4.00 | 0.00 | 4.00 | 85.0 | 3.40 |
| 12/07/2018 | 01481958708 KLING, MELISSA K. | FA 529 DIVIDEND GROWTH PORT-CL C | B | 400.00 | 4.00 | 0.00 | 4.00 | 85.0 | 3.40 |
| 12/07/2018 | 03900222320 BEGNOCHE, RACHEL SANTCHI | FIDELITY ADV NEW INSIGHTS-CL A | B | 200.00 | 10.00 | 0.00 | 10.00 | 85.0 | 8.50 |
| * MUTUAL FUNDS SUBTOTAL * | | | | \$4,839.06 | \$760.06 | \$0.00 | \$760.06 | | \$646.06 |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | | |
| 12/28/2018 | SECURITIES, HILLTOP | -HILLTOP SECURITIES | B | 947.24 | 947.24 | 0.00 | 947.24 | 85.0 | 805.15 |
| * STOCKS SUBTOTAL * | | | | \$947.24 | \$947.24 | \$0.00 | \$947.24 | | \$805.15 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | | |
| 12/19/2018 | TRAILS | -JOHN HANCOCK | B | 8.89 | 8.89 | 0.00 | 8.89 | 85.0 | 7.56 |
| 12/18/2018 | TRAILS | TRANSAMERICA LIFE INSURANCE | B | 980.93 | 980.93 | 0.00 | 980.93 | 85.0 | 833.79 |
| 12/18/2018 | TRAILS | TRANSAMERICA LIFE INSURANCE | B | 899.81 | 899.81 | 0.00 | 899.81 | 85.0 | 764.84 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | | \$1,889.63 | \$1,889.63 | \$0.00 | \$1,889.63 | | \$1,606.19 |
| <u>PRODUCT CATEGORY: RIA</u> | | | | | | | | | |
| 10/11/2018 | 12982384 BEGNOCHE, KELLEN & RACHEL | SIGNAL SECURITIES RIA | B | 0.00 | 62.00 | 0.00 | 62.00 | 85.0 | 52.70 |
| 10/11/2018 | 48690341 STOCKGLAUSNER, ERIC V | SIGNAL SECURITIES RIA | B | 0.00 | 256.00 | 0.00 | 256.00 | 85.0 | 217.60 |
| 10/11/2018 | 85905056 WILLIAMS, DIANA R | SIGNAL SECURITIES RIA | B | 0.00 | 514.34 | 0.00 | 514.34 | 85.0 | 437.19 |

COMMISSION STATEMENT for RICHARD E. FENGLER

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

BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | |
|------------------|--------|----------|--------|----------|----------|
| * RIA SUBTOTAL * | \$0.00 | \$832.34 | \$0.00 | \$832.34 | \$707.49 |
|------------------|--------|----------|--------|----------|----------|

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | |
|--------------------------------------|------------------------|------------|------------|--------|------------|------|------------|
| 01/02/2019 TRAIL COMMISSIONS | JOHN HANCOCK FEES | 0.00 | 331.37 | 0.00 | 331.37 | 85.0 | 281.65 |
| 01/02/2019 TRAIL COMMISSIONS | WM GROUP OF FUNDS FEES | 0.00 | 240.43 | 0.00 | 240.43 | 85.0 | 204.36 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | \$0.00 | \$571.80 | \$0.00 | \$571.80 | | \$486.01 |
| *** BROKER TRANSACTIONS TOTAL *** | | \$7,675.93 | \$5,001.07 | \$0.00 | \$5,001.07 | | \$4,250.90 |

ADJUSTMENTS

| | | | | | | |
|---------------------------|------------------------------|--------|--------|--------|--------|-----------|
| 01/02/2019 | E & O INSURANCE: 1/2 MONTHLY | 0.00 | 0.00 | 0.00 | 0.00 | -100.00 |
| 01/02/2019 | HILLTOP: CLEARING CHARGES | 0.00 | 0.00 | 0.00 | 0.00 | -183.50 |
| 01/02/2019 | TECH: MONTHLY TECH SERVICES | 0.00 | 0.00 | 0.00 | 0.00 | -27.50 |
| *** ADJUSTMENTS TOTAL *** | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$-311.00 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$4,250.90 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-311.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |

| | |
|-----------------------|------------|
| Check Amount | \$3,939.90 |
| Year-to-date Earnings | \$3,939.90 |