



All Companies

12/28/2018  
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# COMMISSION STATEMENT January 02, 2019

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

12/18/2018	00061397698	RIVARD, JOHN M	AMERICAN FUNDS INVESTMENT COMP OF A B	65.00	0.00	0.00	0.00	100.0	0.00
12/17/2018	00061957268	SMITH, MARK	AMERICAN FUNDS INVESTMENT COMP OF A B	100.00	0.00	0.00	0.00	100.0	0.00
12/18/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS BD FD OF AMER FD B	62.50	0.00	0.00	0.00	100.0	0.00
12/18/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS INCOME FD OF AMERI B	62.50	0.00	0.00	0.00	100.0	0.00
12/18/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS NEW PERSPECTIVE FD B	62.50	0.00	0.00	0.00	100.0	0.00
12/18/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS WA MUTUAL INVES B	62.50	0.00	0.00	0.00	100.0	0.00
12/17/2018	00063806455	ROBERTS, KEVIN	AMERICAN FUNDS INCOME FD OF AMERI B	50.00	0.00	0.00	0.00	100.0	0.00
12/17/2018	00063806455	ROBERTS, KEVIN	AMERICAN FUNDS INVESTMENT COMP OF A B	50.00	0.00	0.00	0.00	100.0	0.00
12/17/2018	00063806455	ROBERTS, KEVIN	AMERICAN FUNDS NEW PERSPECTIVE FD B	50.00	0.00	0.00	0.00	100.0	0.00
12/17/2018	00067724745	ANGELO, CONCORDIA/MILES	AMERICAN MUTUAL FUND-529A B	30.00	0.00	0.00	0.00	100.0	0.00
12/17/2018	00067724745	ANGELO, CONCORDIA/MILES	CAPITAL WORLD BOND FUND-529A B	30.00	0.00	0.00	0.00	100.0	0.00
12/17/2018	00067724745	ANGELO, CONCORDIA/MILES	THE INCOME FUND OF AMERICA-529A B	30.00	0.00	0.00	0.00	100.0	0.00
12/17/2018	00067724745	ANGELO, CONCORDIA/MILES	THE NEW ECONOMY FUND-529A B	110.00	0.00	0.00	0.00	100.0	0.00
12/14/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS BD FD OF AMER FD B	253.85	0.00	0.00	0.00	100.0	0.00
12/14/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS INVESTMENT COMP OF A B	261.55	0.00	0.00	0.00	100.0	0.00
12/14/2018	00069023045	EMBACH, PETE	AMERICAN FUNDS NEW PERSPECTIVE FD B	253.85	0.00	0.00	0.00	100.0	0.00
12/17/2018	00082838137	HODGES, MICHAEL L	AMERICAN FUNDS NEW PERSPECTIVE FD B	50.00	0.00	0.00	0.00	100.0	0.00
12/17/2018	00085777888	BABAO, ROMMEL/ISABELLE	NEW PERSPECTIVE FUND-529C B	100.00	0.00	0.00	0.00	100.0	0.00
12/17/2018	00085777888	BABAO, ROMMEL/ISABELLE	THE GROWTH FUND OF AMERICA-529C B	100.00	0.00	0.00	0.00	100.0	0.00
12/17/2018	00085777916	BABAO, ROMMEL/RAPHAEL	AMERICAN BALANCED FUND-529C B	100.00	0.00	0.00	0.00	100.0	0.00
12/17/2018	00085777916	BABAO, ROMMEL/RAPHAEL	CAPITAL INCOME BUILDER-529C B	100.00	0.00	0.00	0.00	100.0	0.00
12/17/2018	00085777916	BABAO, ROMMEL/RAPHAEL	THE BOND FUND OF AMERICA-529C B	100.00	0.00	0.00	0.00	100.0	0.00

COMMISSION STATEMENT for ROTHSCILD/POOL

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUNDS									
12/17/2018	00085777916 BABAO, ROMMEL/RAPHAEL	THE INCOME FUND OF AMERICA-529C	B	50.00	0.00	0.00	0.00	100.0	0.00
12/17/2018	00085777916 BABAO, ROMMEL/RAPHAEL	U.S. GOVERNMENT SECURITIES FUND-529 B	B	100.00	0.00	0.00	0.00	100.0	0.00
12/20/2018	00087441316 DAMRON/HUPP, MARTHA/ABIGAIL	COLLEGE ENROLLMENT FUND-529A	B	50.00	0.00	0.00	0.00	100.0	0.00
12/03/2018	08191365977 ATCHISON, STEPHEN	MFS LIFETIME 2025 FUND-B	B	100.00	0.00	0.00	0.00	100.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$2,384.25	\$0.00	\$0.00	\$0.00		\$0.00
PRODUCT CATEGORY: VARIABLE ANNUITIES									
12/06/2018	MANKUS, RICHARD/CYNTHIA	PRUDENTIAL INSURANCE CO.	B	176.83	0.00	0.00	0.00	100.0	0.00
* VARIABLE ANNUITIES SUBTOTAL *				\$176.83	\$0.00	\$0.00	\$0.00		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
01/02/2019	TRAIL COMMISSIONS	JOHN HANCOCK 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 ***				\$2,561.08	\$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