



All Companies

02/27/2018  
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# COMMISSION STATEMENT March 01, 2018

PAUL M. THOMPSON  
15455 Dallas Parkway, Ste.600

BROKER #: 9114  
BRANCH: HOME OFFICE

Addison, TX 75001

## COMMISSION STATEMENT for PAUL M. THOMPSON

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

02/12/2018	00063808760	DAVENPORT, CURTIS	AMERICAN FUNDS AMCAP FD	B	66.00	1.06	0.00	1.06	90.0	0.95
02/12/2018	00063808760	DAVENPORT, CURTIS	AMERICAN FUNDS AMCAP FD	B	220.00	3.52	0.00	3.52	90.0	3.17
02/12/2018	00068006068	SHERTZER, LUKE	INTERMEDIATE BOND FUND OF AMERICA-5	B	50.00	1.00	0.00	1.00	90.0	0.90
02/12/2018	00068487409	CARLSON, BRENT D.	AMERICAN FUNDS AMCAP FD	B	115.00	1.84	0.00	1.84	90.0	1.66
02/12/2018	00068487409	CARLSON, BRENT D.	AMERICAN FUNDS AMCAP FD	B	115.00	1.84	0.00	1.84	90.0	1.66
02/15/2018	00085020327	PROHASKA, DYLAN	AMERICAN BALANCED FUND-529C	B	250.00	2.50	0.00	2.50	90.0	2.25
02/12/2018	00087104938	RODRIGUEZ, OSCAR	BALANCED PORTFOLIO-A	B	81.90	1.31	0.00	1.31	90.0	1.18
02/12/2018	00087104938	RODRIGUEZ, OSCAR	BALANCED PORTFOLIO-A	B	136.50	2.18	0.00	2.18	90.0	1.96
02/12/2018	00087104958	BRAACK, ANDREW	GLOBAL GROWTH PORTFOLIO-A	B	90.41	1.45	0.00	1.45	90.0	1.31
02/12/2018	00087104958	BRAACK, ANDREW	GLOBAL GROWTH PORTFOLIO-A	B	90.41	1.45	0.00	1.45	90.0	1.31
02/12/2018	00088535675	CARPENTER, TERRY	AMERICAN FUNDS INVESTMENT COMP OF A	B	80.00	1.28	0.00	1.28	90.0	1.15
		D.								
02/12/2018	00088535675	CARPENTER, TERRY	AMERICAN FUNDS INVESTMENT COMP OF A	B	80.00	1.28	0.00	1.28	90.0	1.15
		D.								
02/12/2018	00089211120	BACON, VICTORIA	AMERICAN FUNDS 2025 TARGET DATE-A	B	68.75	1.10	0.00	1.10	90.0	0.99
02/12/2018	00089211120	BACON, VICTORIA	AMERICAN FUNDS 2025 TARGET DATE-A	B	68.75	1.10	0.00	1.10	90.0	0.99
02/15/2018	00671960399	GANTER, KEVIN	AIM GLOBAL VALUE FUND - CLASS A	B	3,100.00	54.25	0.00	54.25	90.0	48.83
02/15/2018	00671960399	GANTER, KEVIN	AIM UTILITIES FUND - CLASS A	B	4,650.00	81.38	0.00	81.38	90.0	73.24
02/15/2018	00671960399	GANTER, KEVIN	IVK EQUITY AND INCOME FUND - CLASS	B	750.00	13.13	0.00	13.13	90.0	11.82
02/15/2018	00671960399	GANTER, KEVIN	IVK MID CAP GROWTH FUND - CLASS A	B	1,550.00	27.13	0.00	27.13	90.0	24.42
02/15/2018	00671960399	GANTER, KEVIN	IVK SMALL CAP GROWTH FUND - CLASS A	B	1,550.00	27.13	0.00	27.13	90.0	24.42
02/15/2018	00671960400	ROADRUNNER	AIM GLOBAL VALUE FUND - CLASS A	B	2,500.00	43.75	0.00	43.75	90.0	39.38
		CLEANING SERVI								
02/15/2018	00671960400	ROADRUNNER	AIM UTILITIES FUND - CLASS A	B	3,750.00	65.63	0.00	65.63	90.0	59.07
		CLEANING SERVI								
02/15/2018	00671960400	ROADRUNNER	IVK EQUITY AND INCOME FUND - CLASS	B	450.00	7.88	0.00	7.88	90.0	7.09
		CLEANING SERVI								
02/15/2018	00671960400	ROADRUNNER	IVK MID CAP GROWTH FUND - CLASS A	B	1,250.00	21.88	0.00	21.88	90.0	19.69
		CLEANING SERVI								
02/15/2018	00671960400	ROADRUNNER	IVK SMALL CAP GROWTH FUND - CLASS A	B	1,250.00	21.88	0.00	21.88	90.0	19.69
		CLEANING SERVI								

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>									
02/01/2018	3009211158 RICHARDSON, BRUCE	OPPENHEIMER EQUITY INCOME FD	CL A B	250.00	11.88	0.00	11.88	90.0	10.69
		* MUTUAL FUNDS SUBTOTAL *		\$22,562.72	\$398.83	\$0.00	\$398.83		\$358.97
<b><u>PRODUCT CATEGORY: STOCKS</u></b>									
02/27/2018	SECURITIES, HILLTOP	-HILLTOP SECURITIES	B	312.77	312.77	0.00	312.77	90.0	281.49
		* STOCKS SUBTOTAL *		\$312.77	\$312.77	\$0.00	\$312.77		\$281.49
<b><u>PRODUCT CATEGORY: RIA</u></b>									
01/12/2018	11933608 MCADAMS, JOHN W	SIGNAL SECURITIES RIA	B	0.00	393.33	0.00	393.33	90.0	354.00
01/12/2018	12055626 GANTER, ELAINE M	SIGNAL SECURITIES RIA	B	0.00	878.33	0.00	878.33	90.0	790.50
01/12/2018	14459187 BROWN, PEGGY	SIGNAL SECURITIES RIA	B	0.00	110.33	0.00	110.33	90.0	99.30
01/12/2018	14607090 MANLEY, RORY	SIGNAL SECURITIES RIA	B	0.00	37.00	0.00	37.00	90.0	33.30
01/12/2018	17365377 LEFFORGE, JENNIFER L	SIGNAL SECURITIES RIA	B	0.00	101.00	0.00	101.00	90.0	90.90
02/15/2018	19010175 STATE FAIR PUB. INC.	SIGNAL SECURITIES RIA	B	0.00	152.33	0.00	152.33	90.0	137.10
01/12/2018	20011253 GLANCY, FRANCES M	SIGNAL SECURITIES RIA	B	0.00	63.00	0.00	63.00	90.0	56.70
01/12/2018	21441902 SANTOS, RAYMOND	SIGNAL SECURITIES RIA	B	0.00	903.67	0.00	903.67	90.0	813.30
01/12/2018	21575254 DOWNS LIV TRUST, WILLIAM/CAROLYN	SIGNAL SECURITIES RIA	B	0.00	1,295.00	0.00	1,295.00	90.0	1,165.50
01/12/2018	23275885 HUFFMAN, NANCY R.	SIGNAL SECURITIES RIA	B	0.00	709.33	0.00	709.33	90.0	638.40
01/12/2018	26419203 AHRING, DOROTHY J	SIGNAL SECURITIES RIA	B	0.00	940.33	0.00	940.33	90.0	846.30
01/12/2018	28060052 GRAY, ROCKFORD/SALLY	SIGNAL SECURITIES RIA	B	0.00	1,143.67	0.00	1,143.67	90.0	1,029.30
01/12/2018	28106533 LIKENS, LESLIE E	SIGNAL SECURITIES RIA	B	0.00	495.00	0.00	495.00	90.0	445.50
01/12/2018	28416413 BOWDON FAMILY FOUNDATION	SIGNAL SECURITIES RIA	B	0.00	3,622.67	0.00	3,622.67	90.0	3,260.40
01/12/2018	29733972 BOWERS, CINDA I	SIGNAL SECURITIES RIA	B	0.00	959.67	0.00	959.67	90.0	863.70
01/12/2018	30856518 JAYNE, DAVID JOE	SIGNAL SECURITIES RIA	B	0.00	69.33	0.00	69.33	90.0	62.40
01/12/2018	30889813 DALLAS CHRISTIAN CO	SIGNAL SECURITIES RIA	B	0.00	339.67	0.00	339.67	90.0	305.70
01/12/2018	30958570 DONNELL, MIKE	SIGNAL SECURITIES RIA	B	0.00	89.33	0.00	89.33	90.0	80.40
01/12/2018	32047427 COGSWELL, ROBERT J	SIGNAL SECURITIES RIA	B	0.00	18.33	0.00	18.33	90.0	16.50
01/12/2018	34663352 GLANCY, WILLIAM P.	SIGNAL SECURITIES RIA	B	0.00	45.33	0.00	45.33	90.0	40.80
01/12/2018	34739881 KENNY, STEPHEN O	SIGNAL SECURITIES RIA	B	0.00	219.33	0.00	219.33	90.0	197.40
01/12/2018	35962941 DOWNS, ALEXANDRA M	SIGNAL SECURITIES RIA	B	0.00	171.67	0.00	171.67	90.0	154.50
01/12/2018	37772604 DRONE, CRAIG A	SIGNAL SECURITIES RIA	B	0.00	242.00	0.00	242.00	90.0	217.80
01/12/2018	38803585 NEARY, GEORGE & LISA	SIGNAL SECURITIES RIA	B	0.00	80.00	0.00	80.00	90.0	72.00
01/12/2018	39355591 HARSHAW, ERICA	SIGNAL SECURITIES RIA	B	0.00	97.33	0.00	97.33	90.0	87.60
01/12/2018	42907147 JERNIGAN, KYLE	SIGNAL SECURITIES RIA	B	0.00	284.67	0.00	284.67	90.0	256.20
01/12/2018	43177248 ZIELINSKI, THOMAS L	SIGNAL SECURITIES RIA	B	0.00	643.67	0.00	643.67	90.0	579.30
01/12/2018	43404329 LEFFORGE, SCOTT/JENNIFER	SIGNAL SECURITIES RIA	B	0.00	16.33	0.00	16.33	90.0	14.70
01/12/2018	44412032 GETZ, RENEE E	SIGNAL SECURITIES RIA	B	0.00	197.00	0.00	197.00	90.0	177.30

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: RIA</u>									
01/12/2018 47335624	HANSEN, CHRIS A	SIGNAL SECURITIES RIA	B	0.00	247.67	0.00	247.67	90.0	222.90
01/12/2018 50230780	BLAIR, JR, DAVID D	SIGNAL SECURITIES RIA	B	0.00	663.00	0.00	663.00	90.0	596.70
01/12/2018 50550606	LIKENS, LESLIE E	SIGNAL SECURITIES RIA	B	0.00	305.33	0.00	305.33	90.0	274.80
01/12/2018 51058096	PENN, JR, ROLAND E	SIGNAL SECURITIES RIA	B	0.00	356.33	0.00	356.33	90.0	320.70
01/12/2018 51559301	DYCK, GARY A/TERESA L	SIGNAL SECURITIES RIA	B	0.00	90.00	0.00	90.00	90.0	81.00
01/12/2018 51666847	WILSON, JOHN DOUGLAS	SIGNAL SECURITIES RIA	B	0.00	849.33	0.00	849.33	90.0	764.40
01/12/2018 52129314	WAMRE FAMILY TRUST	SIGNAL SECURITIES RIA	B	0.00	448.33	0.00	448.33	90.0	403.50
01/12/2018 52178933	MARTINIE, GARY & KATHRYN	SIGNAL SECURITIES RIA	B	0.00	31.67	0.00	31.67	90.0	28.50
01/12/2018 53917162	MCCASH, GARY & SUZETTE	SIGNAL SECURITIES RIA	B	0.00	702.33	0.00	702.33	90.0	632.10
01/12/2018 54113355	DEE, EDWARD & RUTH	SIGNAL SECURITIES RIA	B	0.00	659.00	0.00	659.00	90.0	593.10
01/12/2018 54825568	NEARY, GEORGE & LISA	SIGNAL SECURITIES RIA	B	0.00	263.67	0.00	263.67	90.0	237.30
01/12/2018 55524343	MCGEEHON, DANIEL L	SIGNAL SECURITIES RIA	B	0.00	510.33	0.00	510.33	90.0	459.30
01/12/2018 56699985	LIKENS, KEVIN A	SIGNAL SECURITIES RIA	B	0.00	420.00	0.00	420.00	90.0	378.00
01/12/2018 57714569	DAVENPORT, CURTIS/SUSAN	SIGNAL SECURITIES RIA	B	0.00	956.67	0.00	956.67	90.0	861.00
01/12/2018 57788308	YAZELL, KIMBERLY A	SIGNAL SECURITIES RIA	B	0.00	634.33	0.00	634.33	90.0	570.90
01/12/2018 58441030	HARSHAW, JOHN	SIGNAL SECURITIES RIA	B	0.00	589.33	0.00	589.33	90.0	530.40
01/12/2018 59251730	GANTER, ELAINE M	SIGNAL SECURITIES RIA	B	0.00	22.67	0.00	22.67	90.0	20.40
01/12/2018 60681399	HERING, KAREN	SIGNAL SECURITIES RIA	B	0.00	581.33	0.00	581.33	90.0	523.20
01/12/2018 61024092	HADDIX, CAROLINE E	SIGNAL SECURITIES RIA	B	0.00	762.00	0.00	762.00	90.0	685.80
01/12/2018 63201352	MANLEY, KERRYANN K	SIGNAL SECURITIES RIA	B	0.00	65.67	0.00	65.67	90.0	59.10
01/12/2018 68409444	TURNER, LYNN D	SIGNAL SECURITIES RIA	B	0.00	662.67	0.00	662.67	90.0	596.40
01/12/2018 68570849	BLAIR, BRENDA	SIGNAL SECURITIES RIA	B	0.00	116.00	0.00	116.00	90.0	104.40
01/12/2018 68675276	BLAIR BYPASS TRUST	SIGNAL SECURITIES RIA	B	0.00	496.33	0.00	496.33	90.0	446.70
01/12/2018 70913435	BOWDON REV TRUST	SIGNAL SECURITIES RIA	B	0.00	504.67	0.00	504.67	90.0	454.20
01/12/2018 71239113	TURNER, J DWIGHT	SIGNAL SECURITIES RIA	B	0.00	156.33	0.00	156.33	90.0	140.70
01/12/2018 71695806	CHRISTIE, Nanci M	SIGNAL SECURITIES RIA	B	0.00	85.00	0.00	85.00	90.0	76.50
01/12/2018 71762114	BOWDON, HENRY & VIRGINI	SIGNAL SECURITIES RIA	B	0.00	129.00	0.00	129.00	90.0	116.10
01/12/2018 72285366	JOHNSON, ERIC W	SIGNAL SECURITIES RIA	B	0.00	179.67	0.00	179.67	90.0	161.70
01/12/2018 73298229	KENNY, STEPHEN O	SIGNAL SECURITIES RIA	B	0.00	231.33	0.00	231.33	90.0	208.20
01/12/2018 73451449	RALPH, MARK ALAN	SIGNAL SECURITIES RIA	B	0.00	532.00	0.00	532.00	90.0	478.80
01/12/2018 75602403	MANLEY, ROSS / KERRYANN	SIGNAL SECURITIES RIA	B	0.00	290.33	0.00	290.33	90.0	261.30
01/12/2018 80644541	TURNER, RITA	SIGNAL SECURITIES RIA	B	0.00	254.33	0.00	254.33	90.0	228.90
01/12/2018 80920481	PEIRSON, WILLIAM/CHRIS	SIGNAL SECURITIES RIA	B	0.00	1,527.00	0.00	1,527.00	90.0	1,374.30
01/12/2018 81013153	BOWDON, BOBBYE J	SIGNAL SECURITIES RIA	B	0.00	236.33	0.00	236.33	90.0	212.70

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: RIA										
01/12/2018	81290736	SICKLER, LEE/CHRIS	SIGNAL SECURITIES RIA	B	0.00	122.33	0.00	122.33	90.0	110.10
01/12/2018	81769883	GATLIN, EDWARD E	SIGNAL SECURITIES RIA	B	0.00	127.00	0.00	127.00	90.0	114.30
01/12/2018	81877335	WAMRE, RICK & SALLY	SIGNAL SECURITIES RIA	B	0.00	901.67	0.00	901.67	90.0	811.50
01/12/2018	83450493	GLANCY, WILLIAM P.	SIGNAL SECURITIES RIA	B	0.00	383.33	0.00	383.33	90.0	345.00
01/12/2018	83813956	COGSWELL, ROBERT J	SIGNAL SECURITIES RIA	B	0.00	191.67	0.00	191.67	90.0	172.50
01/12/2018	83898089	MJG PARTNERS LP	SIGNAL SECURITIES RIA	B	0.00	3,711.00	0.00	3,711.00	90.0	3,339.90
01/12/2018	85186147	JONES, LAURA JILL	SIGNAL SECURITIES RIA	B	0.00	118.33	0.00	118.33	90.0	106.50
01/12/2018	85289265	KLEIN, SHEILA M	SIGNAL SECURITIES RIA	B	0.00	372.33	0.00	372.33	90.0	335.10
01/12/2018	85475534	DOWNES, WILLIAM M	SIGNAL SECURITIES RIA	B	0.00	156.00	0.00	156.00	90.0	140.40
01/12/2018	85534947	MARTINIE, GARY & KATHRYN	SIGNAL SECURITIES RIA	B	0.00	638.67	0.00	638.67	90.0	574.80
01/12/2018	87153342	BLAIR, JR, DAVID D	SIGNAL SECURITIES RIA	B	0.00	98.33	0.00	98.33	90.0	88.50
01/12/2018	87804016	LEWIS, JR, JACK F	SIGNAL SECURITIES RIA	B	0.00	92.67	0.00	92.67	90.0	83.40
01/12/2018	88575440	LOHMAN, REBECCA LYNN	SIGNAL SECURITIES RIA	B	0.00	262.00	0.00	262.00	90.0	235.80
01/12/2018	89037743	BLAIR, JR, DAVID D	SIGNAL SECURITIES RIA	B	0.00	40.67	0.00	40.67	90.0	36.60
01/12/2018	90630517	GLANCY, FRANCES M	SIGNAL SECURITIES RIA	B	0.00	66.00	0.00	66.00	90.0	59.40
01/12/2018	90750567	VEGA, ROY (RAUL)	SIGNAL SECURITIES RIA	B	0.00	3,454.33	0.00	3,454.33	90.0	3,108.90
01/12/2018	90906864	SAVAGE, JANICE	SIGNAL SECURITIES RIA	B	0.00	536.33	0.00	536.33	90.0	482.70
01/12/2018	91566568	BOWDON, KENNETH S	SIGNAL SECURITIES RIA	B	0.00	368.67	0.00	368.67	90.0	331.80
01/12/2018	93139099	CHAPMAN, JOE & CARMEN	SIGNAL SECURITIES RIA	B	0.00	713.00	0.00	713.00	90.0	641.70
01/12/2018	93542283	BROWN, PEGGY	SIGNAL SECURITIES RIA	B	0.00	420.33	0.00	420.33	90.0	378.30
01/12/2018	98023364	MANLEY, ROSS / KERRYANN	SIGNAL SECURITIES RIA	B	0.00	65.67	0.00	65.67	90.0	59.10
01/12/2018	98899816	STRICKLIN, DONNA A	SIGNAL SECURITIES RIA	B	0.00	378.00	0.00	378.00	90.0	340.20
01/12/2018	98935139	ROBERTS, ROBERT M	SIGNAL SECURITIES RIA	B	0.00	103.00	0.00	103.00	90.0	92.70
01/12/2018	99600192	COGSWELL, ROBERT J	SIGNAL SECURITIES RIA	B	0.00	43.67	0.00	43.67	90.0	39.30
* RIA SUBTOTAL *					\$0.00	\$42,243.63	\$0.00	\$42,243.63		\$38,019.30
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
03/01/2018	TRAIL COMMISSIONS	JOHN HANCOCK FEES			0.00	26.65	0.00	26.65	90.0	23.99
03/01/2018	TRAIL COMMISSIONS	WM GROUP OF FUNDS FEES			0.00	12.12	0.00	12.12	90.0	10.91
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$38.77	\$0.00	\$38.77		\$34.90
*** BROKER TRANSACTIONS TOTAL ***					\$22,875.49	\$42,994.00	\$0.00	\$42,994.00		\$38,694.66

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ADJUSTMENTS

03/01/2018		TECH: MONTHLY TECH SERVICES		0.00	0.00	0.00	0.00		-27.50
		*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00		\$-27.50

BROKER COMMISSION TOTALS

Broker Transactions	\$38,694.66
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-27.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Check Amount	\$38,667.16
Year-to-date Earnings	\$120,844.48