



All Companies
COMMISSION STATEMENT
April 16, 2018

04/12/2018
 Page No. 1

SIGNAL POOL

BROKER #: 9623
 BRANCH: HOME OFFICE

, TX

COMMISSION STATEMENT for SIGNAL POOL

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

BROKER: SINGLETON/POOL #9626

04/16/2018	TRAIL COMMISSIONS	INVESCO LTD FEES		0.00	387.36	0.00	387.36	100.0	387.36
		* SINGLETON/POOL SUBTOTAL *		<u>\$0.00</u>	<u>\$387.36</u>	<u>\$0.00</u>	<u>\$387.36</u>		<u>\$387.36</u>

BROKER: ROTHSCHILD/POOL #9629

03/31/2018	TRAILS	-FIDELITY ADVISOR FUNDS	B	116.44	46.58	0.00	46.58	100.0	46.58
03/16/2001	CAMAGANACAN, SIXTO	RELIASTAR LIFE INSURANCE	B	768.00	9.22	0.00	9.22	100.0	9.22
03/28/2018	ANGELO, CONCORDIA/ORLAN	RELIASTAR LIFE INSURANCE	B	206.82	2.06	0.00	2.06	100.0	2.06
03/26/2018	000000000003549 CAMAGANACAN, SIXTO/ROSALINA	FRK INTL SMALL CAP GROWTH FUND - CL B		50.00	0.20	0.00	0.20	100.0	0.20
03/26/2018	0000000000817890 TEN, JT	FRANKLIN VALUE FD CL II	B	100.00	0.40	0.00	0.40	100.0	0.40
03/26/2018	000000001223650 TEN, JT	FRANKLIN 102 AGE HIGH INCOME FD	C B	50.00	0.20	0.00	0.20	100.0	0.20
03/26/2018	000000003564376 TEN, JT	TEMP GLOBAL BOND FND - CL C	B	50.00	0.20	0.00	0.20	100.0	0.20
04/02/2018	00064082782 KRAATZ, MATTHEW	AMERICAN FUNDS CAPITAL WORLD GROWT	B	50.00	0.85	0.00	0.85	100.0	0.85
03/29/2018	00064155711 UNTIL AGE 21, TX/UTMA	AMERICAN FUNDS INVESTMENT COMP OF A B		100.00	2.00	0.00	2.00	100.0	2.00
03/29/2018	00064155711 UNTIL AGE 21, TX/UTMA	AMERICAN FUNDS NEW PERSPECTIVE FD	B	100.00	2.00	0.00	2.00	100.0	2.00
03/29/2018	00064155711 UNTIL AGE 21, TX/UTMA	AMERICAN FUNDS WA MUTUAL	INVES B	100.00	2.00	0.00	2.00	100.0	2.00
04/02/2018	08191365977 ATCHISON, STEPHEN	MFS LIFETIME 2025 FUND-B	B	100.00	1.60	0.00	1.60	100.0	1.60
		* ROTHSCHILD/POOL SUBTOTAL *		<u>\$1,791.26</u>	<u>\$67.31</u>	<u>\$0.00</u>	<u>\$67.31</u>		<u>\$67.31</u>

BROKER: WILLIAMS/HOUSE #9640

03/31/2018	TRAILS	-OPPENHEIMER FUNDS	B	1.22	0.49	0.00	0.49	100.0	0.49
		* WILLIAMS/HOUSE SUBTOTAL *		<u>\$1.22</u>	<u>\$0.49</u>	<u>\$0.00</u>	<u>\$0.49</u>		<u>\$0.49</u>
		*** SPLIT TRANSACTIONS TOTAL ***		<u>\$1,792.48</u>	<u>\$455.16</u>	<u>\$0.00</u>	<u>\$455.16</u>		<u>\$455.16</u>

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>									
BROKER: JUDE RAMON L. BARCENAS #9620									
03/31/2018	TRAILS	-FIDELITY ADVISOR FUNDS	B	161.22	161.22	0.00	161.22		1.61
03/30/2018	TRAILS	-HARTFORD LIFE	B	50.02	50.02	0.00	50.02		0.50
03/31/2018	TRAILS	-NATIONWIDE LIFE	B	486.83	486.83	0.00	486.83		4.87
03/31/2018	TRAILS	-OPPENHEIMER FUNDS	B	388.67	388.67	0.00	388.67		3.89
03/15/2018	DEVEZA, NOEMLINA ONG	-PACIFIC LIFE INSURANCE	B	283.17	8.50	0.00	8.50		0.09
03/15/2018	ALONZO, KELLY/KYLE	-PACIFIC LIFE INSURANCE	B	72.10	1.44	0.00	1.44		0.01
03/15/2018	ALONZO, KELLY/KACEY	-PACIFIC LIFE INSURANCE	B	34.75	0.70	0.00	0.70		0.01
03/22/2018	KYSER, DICK DWAYNE	-PUTNAM	B	220.00	11.00	0.00	11.00		0.11
03/31/2018	TRAILS	-PUTNAM	B	4.33	4.33	0.00	4.33		0.04
03/08/2018	ANGELO, CONCORDIA	-SECURITY LIFE OF DENVER	B	2,750.00	55.00	0.00	55.00		0.55
03/31/2018	TRAILS	-SECURITY LIFE OF DENVER	B	4.65	4.65	0.00	4.65		0.05
03/18/2018	MELLENGER, PAUL J.	AMERITAS VARIABLE ANNUITY	B	249.00	9.96	0.00	9.96		0.10
03/20/2018	GATMAITAN, ANASTACIA H.	LINCOLN BENEFIT LIFE	B	43.97	2.64	0.00	2.64		0.03
03/31/2018	TRAILS	PRUDENTIAL INSURANCE CO.	B	494.47	494.47	0.00	494.47		4.94
04/05/2018	000000000011193 CABRERA, IVY/CHARLES	FRK INTL SMALL CAP GROWTH FUND - CL B		50.00	0.50	0.00	0.50		0.01
04/05/2018	000000000026245 BUSA, JOSEPHINE JANE	FRK INTL SMALL CAP GROWTH FUND - CL B		50.00	0.50	0.00	0.50		0.01
04/05/2018	0000000000188476 CABRERA, IVY/CHARLES	FRANKLIN TOTAL RETURN FUND - CLASS B		50.00	0.50	0.00	0.50		0.01
04/05/2018	0000000000870307 CABRERA, IVY/CHARLES	FRANKLIN STRATEGIC INC FD CL II B		50.00	0.50	0.00	0.50		0.01
04/05/2018	0000000001603101 CABRERA, IVY/CHARLES	FRANKLIN TEMPLETON DEVELOPING MARKE B		50.00	0.50	0.00	0.50		0.01
04/01/2018	00001418805 RUPERT, ALLEN	AIM HIGH YIELD FUND - CLASS A	B	0.00	4.03	0.00	4.03		0.04
04/02/2018	00086483831 KIM, ANDREW	AMERICAN BALANCED FUND-529A	B	50.00	2.13	0.00	2.13		0.02
04/02/2018	00086483831 KIM, ANDREW	AMERICAN FUNDS - GENERAL	B	50.00	1.50	0.00	1.50		0.02
04/02/2018	00086483831 KIM, ANDREW	AMERICAN MUTUAL FUND-529A	B	50.00	2.13	0.00	2.13		0.02
04/02/2018	00086483831 KIM, ANDREW	NEW PERSPECTIVE FUND-529A	B	50.00	2.13	0.00	2.13		0.02
04/02/2018	00086483831 KIM, ANDREW	THE NEW ECONOMY FUND-529A	B	50.00	2.13	0.00	2.13		0.02
04/02/2018	00086483875 KIM, ANDREW	AMERICAN BALANCED FUND-529A	B	50.00	2.13	0.00	2.13		0.02
04/02/2018	00086483875 KIM, ANDREW	AMERICAN FUNDS - GENERAL	B	50.00	1.50	0.00	1.50		0.02
04/02/2018	00086483875 KIM, ANDREW	AMERICAN MUTUAL FUND-529A	B	50.00	2.13	0.00	2.13		0.02
04/02/2018	00086483875 KIM, ANDREW	NEW PERSPECTIVE FUND-529A	B	50.00	2.13	0.00	2.13		0.02
04/02/2018	00086483875 KIM, ANDREW	THE NEW ECONOMY FUND-529A	B	50.00	2.13	0.00	2.13		0.02
04/01/2018	00115756356 OBRIEN, DAVID	AIM TECHNOLOGY FUND - CLASS A	B	0.00	4.05	0.00	4.05		0.04
04/01/2018	01000184916 MATSUMOTO, SACHIKO	AIM ASIAN GROWTH FD CL A	B	0.00	2.17	0.00	2.17		0.02
04/01/2018	01000184916 MATSUMOTO, SACHIKO	AIM HIGH YIELD FUND - CLASS A	B	0.00	13.56	0.00	13.56		0.14
04/01/2018	01000184916 MATSUMOTO, SACHIKO	INVESCO ENDEAVOR FUND - CLASS A	B	0.00	2.45	0.00	2.45		0.02
04/01/2018	01000184916 MATSUMOTO, SACHIKO	IVK AMERICAN VALUE FUND - CLASS A	B	0.00	3.32	0.00	3.32		0.03

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<u> OVERRIDE TRANSACTIONS </u>									
<u> BROKER: JUDE RAMON L. BARCENAS #9620 </u>									
04/01/2018	01000184916	MATSUMOTO, SACHIKO IVK CORPORATE BOND FUND - CLASS A	B	0.00	1.74	0.00	1.74		0.02
04/01/2018	01000184916	MATSUMOTO, SACHIKO IVK SMALL CAP VALUE FUND - CLASS A	B	0.00	1.06	0.00	1.06		0.01
04/01/2018	01000227835	RYAN, JEFFREY AIM ASIAN GROWTH FD CL C	B	0.00	41.22	0.00	41.22		0.41
04/01/2018	01000227835	RYAN, JEFFREY AIM DEVELOPING MARKETS FUND - CLASS B		0.00	208.18	0.00	208.18		2.08
04/01/2018	01000227835	RYAN, JEFFREY AIM ENERGY FUND - CLASS C	B	0.00	99.61	0.00	99.61		1.00
04/01/2018	01000227835	RYAN, JEFFREY AIM EUROPEAN DEVELOPMENT FD CL C	B	0.00	210.33	0.00	210.33		2.10
04/01/2018	01000227835	RYAN, JEFFREY AIM MID CAP CORE EQUITY FUND - CL C B		0.00	37.16	0.00	37.16		0.37
04/01/2018	01000227835	RYAN, JEFFREY INVESCO HIGH YIELD FUND - CLASS C	B	0.00	210.35	0.00	210.35		2.10
04/01/2018	01001253631	CONSULTING, NEW AIM ASIAN GROWTH FD CL C	B	0.00	5.92	0.00	5.92		0.06
04/01/2018	01001253631	CONSULTING, NEW INVESCO ENDEAVOR FUND - CLASS C	B	0.00	17.60	0.00	17.60		0.18
04/01/2018	01001253631	CONSULTING, NEW INVESCO HIGH YIELD FUND - CLASS C	B	0.00	4.39	0.00	4.39		0.04
04/01/2018	01001253631	CONSULTING, NEW IVK AMERICAN VALUE FUND - CLASS C	B	0.00	18.85	0.00	18.85		0.19
04/01/2018	01001279023	KIM, ANDREW AIM ASIAN GROWTH FD CL A	B	0.00	0.77	0.00	0.77		0.01
04/01/2018	01001279023	KIM, ANDREW AIM HIGH YIELD FUND - CLASS A	B	0.00	0.68	0.00	0.68		0.01
04/01/2018	01001279023	KIM, ANDREW INVESCO ENDEAVOR FUND - CLASS A	B	0.00	0.86	0.00	0.86		0.01
04/01/2018	01001279023	KIM, ANDREW IVK AMERICAN VALUE FUND - CLASS A	B	0.00	0.87	0.00	0.87		0.01
04/01/2018	01001279023	KIM, ANDREW IVK CORPORATE BOND FUND - CLASS A	B	0.00	0.71	0.00	0.71		0.01
04/01/2018	03810772545	PAGADUAN, JOY IVK VALUE OPPORTUNITIES FUND -CLASS B		0.00	1.04	0.00	1.04		0.01
04/01/2018	03810919013	SOSING, CARMENCITA AIM ASIAN GROWTH FD CL A	B	0.00	8.73	0.00	8.73		0.09
04/01/2018	03810919013	SOSING, CARMENCITA AIM DEVELOPING MARKETS FD CL A	B	0.00	6.27	0.00	6.27		0.06
04/01/2018	03810919013	SOSING, CARMENCITA AIM ENERGY FUND - CLASS A	B	0.00	3.22	0.00	3.22		0.03
04/01/2018	03810919013	SOSING, CARMENCITA AIM HIGH YIELD FUND - CLASS A	B	0.00	6.77	0.00	6.77		0.07
04/01/2018	03810919013	SOSING, CARMENCITA AIM MID CAP GROWTH FD CL A	B	0.00	7.78	0.00	7.78		0.08
04/01/2018	03811318249	RYAN, JEFFREY AIM ASIAN GROWTH FD CL A	B	0.00	0.74	0.00	0.74		0.01
04/01/2018	03811318249	RYAN, JEFFREY AIM DEVELOPING MARKETS FD CL A	B	0.00	0.54	0.00	0.54		0.01
04/01/2018	03811318249	RYAN, JEFFREY AIM HIGH YIELD FUND - CLASS A	B	0.00	0.55	0.00	0.55		0.01
04/01/2018	03811318249	RYAN, JEFFREY AIM MID CAP GROWTH FD CL A	B	0.00	0.62	0.00	0.62		0.01
04/01/2018	03911131500	JAVELOSA, SANDRA IVK VALUE OPPORTUNITIES FUND -CLASS B		0.00	2.19	0.00	2.19		0.02
04/01/2018	03911377848	GERARD M ROCELES, ERWIN IVK VALUE OPPORTUNITIES FUND -CLASS B		0.00	1.38	0.00	1.38		0.01
04/01/2018	04038841757	JOSE, ANTONIO C. AIM ENERGY FUND - CLASS A	B	0.00	2.93	0.00	2.93		0.03
04/01/2018	04040054761	UY, LORNA AIM ASIAN GROWTH FD CL A	B	0.00	1.34	0.00	1.34		0.01
* JUDE RAMON L. BARCENAS SUBTOTAL *				\$5,993.18	\$2,635.95	\$0.00	\$2,635.95		\$26.40
<u> BROKER: MATTHEW THOMAS KUNZ #9631 </u>									
03/29/2018	TRAILS	ALLIANZ - VARIABLE ANNUITY	B	172.12	172.12	0.00	172.12		1.72
03/31/2018	TRAILS	CHET ADVISOR 529 PLAN	B	1.03	1.03	0.00	1.03		0.01
04/04/2018	TRAILS	OHIO LIFE	B	88.68	88.68	0.00	88.68		0.89
01/12/2018	23188870	HARRIS, BETTIE SUE SIGNAL SECURITIES RIA	B	0.00	11.00	0.00	11.00		0.11
01/12/2018	23188870	HARRIS, BETTIE SUE SIGNAL SECURITIES RIA	B	0.00	11.00	0.00	11.00		0.11

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OVERRIDE TRANSACTIONS									
BROKER: MATTHEW THOMAS KUNZ #9631									
01/12/2018	23188870	HARRIS, BETTIE SUE	SIGNAL SECURITIES RIA	B	0.00	11.00	0.00	11.00	0.11
01/12/2018	24243215	HARRIS, BETTIE SUE	SIGNAL SECURITIES RIA	B	0.00	39.00	0.00	39.00	0.39
01/12/2018	24243215	HARRIS, BETTIE SUE	SIGNAL SECURITIES RIA	B	0.00	39.00	0.00	39.00	0.39
01/12/2018	24243215	HARRIS, BETTIE SUE	SIGNAL SECURITIES RIA	B	0.00	39.00	0.00	39.00	0.39
01/12/2018	35861208	BRINEY, DAWN	SIGNAL SECURITIES RIA	B	0.00	8.00	0.00	8.00	0.08
01/12/2018	35861208	BRINEY, DAWN	SIGNAL SECURITIES RIA	B	0.00	8.00	0.00	8.00	0.08
01/12/2018	35861208	BRINEY, DAWN	SIGNAL SECURITIES RIA	B	0.00	8.00	0.00	8.00	0.08
01/12/2018	43007438	BRINEY, BYRON & DAWN	SIGNAL SECURITIES RIA	B	0.00	2.33	0.00	2.33	0.02
01/12/2018	43007438	BRINEY, BYRON & DAWN	SIGNAL SECURITIES RIA	B	0.00	2.33	0.00	2.33	0.02
01/12/2018	43007438	BRINEY, BYRON & DAWN	SIGNAL SECURITIES RIA	B	0.00	2.34	0.00	2.34	0.02
* MATTHEW THOMAS KUNZ SUBTOTAL *					\$261.83	\$442.83	\$0.00	\$442.83	\$4.42
BROKER: JOHN HOWARD RUSSELL #9632									
03/31/2018	TRAILS	-NATIONWIDE LIFE	B	438.71	438.71	0.00	438.71		4.39
04/02/2018	BENDER, DAVID A.	BRIGHTHOUSE FINANCIAL	B	6,000.00	120.00	0.00	120.00		1.20
03/31/2018	TRAILS	LINCOLN NATIONAL LIFE INSURANCE COM	B	183.83	183.83	0.00	183.83		1.84
04/06/2018	00064112804	FORD, LAVOID	AMERICAN FUNDS CAPITAL WORLD GROWT	B	333.33	9.17	0.00	9.17	0.09
04/02/2018	00083626829	SEYMORE, ROBERT	CAPITAL WORLD GROWTH AND INCOME FUN	B	150.00	1.50	0.00	1.50	0.02
04/05/2018	00084635934	GIBSON/KIDD, ANTHONY/RYLAN	FUNDAMENTAL INVESTORS-529C	B	200.00	2.00	0.00	2.00	0.02
04/06/2018	00088263914	GREESON, JOHN D.	EUROPACIFIC GROWTH FUND-C	B	59.88	0.60	0.00	0.60	0.01
04/06/2018	00088263914	GREESON, JOHN D.	EUROPACIFIC GROWTH FUND-C	B	59.88	0.60	0.00	0.60	0.01
04/02/2018	00088272160	DUNN, CHESTER R.	SMALLCAP WORLD FUND-C	B	114.00	1.14	0.00	1.14	0.01
04/02/2018	00088272160	DUNN, CHESTER R.	SMALLCAP WORLD FUND-C	B	114.00	1.14	0.00	1.14	0.01
04/06/2018	00088272160	DUNN, CHESTER R.	SMALLCAP WORLD FUND-C	B	114.00	1.14	0.00	1.14	0.01
04/06/2018	00088272160	DUNN, CHESTER R.	SMALLCAP WORLD FUND-C	B	114.00	1.14	0.00	1.14	0.01
04/02/2018	00088753150	MCBRIDE, STEVEN M.	AMERICAN FUNDS 2040 TARGET DATE-C	B	61.56	0.62	0.00	0.62	0.01
04/02/2018	00088753150	MCBRIDE, STEVEN M.	AMERICAN FUNDS 2040 TARGET DATE-C	B	61.56	0.62	0.00	0.62	0.01
04/06/2018	00088753150	MCBRIDE, STEVEN M.	AMERICAN FUNDS 2040 TARGET DATE-C	B	61.56	0.62	0.00	0.62	0.01
04/06/2018	00088753150	MCBRIDE, STEVEN M.	AMERICAN FUNDS 2040 TARGET DATE-C	B	61.56	0.62	0.00	0.62	0.01
04/02/2018	00089514707	HAMILTON, JAMES	THE NEW ECONOMY FUND-529A	B	50.00	2.13	0.00	2.13	0.02
04/02/2018	00089985511	YOUNG, VICTORIA JOBE	FUNDAMENTAL INVESTORS-C	B	100.00	1.00	0.00	1.00	0.01
04/04/2018	04000234902	OTT, BRIAN L.	FUNDAMENTAL INVESTORS-529A	B	250.00	12.50	0.00	12.50	0.13
04/02/2018	04000660400	TAYLOR, ROBERT T.	AMERICAN FUNDS AMERICAN MUTUAL FD	B	18.04	0.50	0.00	0.50	0.01
04/02/2018	04000660400	TAYLOR, ROBERT T.	AMERICAN FUNDS AMERICAN MUTUAL FD	B	18.04	0.50	0.00	0.50	0.01
* JOHN HOWARD RUSSELL SUBTOTAL *					\$8,563.95	\$780.08	\$0.00	\$780.08	\$7.84
*** OVERRIDE TRANSACTIONS TOTAL ***					\$14,818.96	\$3,858.86	\$0.00	\$3,858.86	\$38.66

BROKER COMMISSION TOTALS

Broker Transactions	\$386.51
Split Transactions	\$68.65
Override Transactions	\$38.66
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Check Amount	\$493.82
Year-to-date Earnings	\$9,307.76