



All Companies

03/29/2018
Page No. 1

COMMISSION STATEMENT

April 02, 2018

KAREN CARTER BROOKMAN
1840 Hurstview Drive

BROKER #: 9102
BRANCH: HOME OFFICE

Hurst, TX 76054

COMMISSION STATEMENT for KAREN CARTER BROOKMAN

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

02/28/2018	TRAILS	EATON VANCE - GENERAL	B	20.06	20.06	0.00	20.06	90.0	18.05	
03/15/2018	00067657556	GEIKEN, DARRYL	FUNDAMENTAL INVESTORS-C	B	50.00	0.50	0.00	0.50	90.0	0.45
03/15/2018	00067657556	GEIKEN, DARRYL	NEW PERSPECTIVE FUND-C	B	50.00	0.50	0.00	0.50	90.0	0.45
03/19/2018	00084567631	CUMMINGS, GRADY	AMERICAN FUNDS AMCAP FD	B	1,080.00	21.60	0.00	21.60	90.0	19.44
03/19/2018	00084567631	CUMMINGS, GRADY	AMERICAN FUNDS AMCAP FD	B	-1,080.00	-21.60	0.00	-21.60	90.0	-19.44
03/19/2018	00084567631	CUMMINGS, GRADY	AMERICAN FUNDS BALANCED FD	B	1,080.00	21.60	0.00	21.60	90.0	19.44
03/19/2018	00084567631	CUMMINGS, GRADY	AMERICAN FUNDS BALANCED FD	B	-1,080.00	-21.60	0.00	-21.60	90.0	-19.44
03/19/2018	00084567631	CUMMINGS, GRADY	AMERICAN FUNDS FUNDAMENTAL INVES	B	1,080.00	21.60	0.00	21.60	90.0	19.44
03/19/2018	00084567631	CUMMINGS, GRADY	AMERICAN FUNDS FUNDAMENTAL INVES	B	-1,080.00	-21.60	0.00	-21.60	90.0	-19.44
03/19/2018	00084567631	CUMMINGS, GRADY	AMERICAN FUNDS HIGH INCOME TR FD	B	540.00	10.80	0.00	10.80	90.0	9.72
03/19/2018	00084567631	CUMMINGS, GRADY	AMERICAN FUNDS HIGH INCOME TR FD	B	-540.00	-10.80	0.00	-10.80	90.0	-9.72
03/19/2018	00084567631	CUMMINGS, GRADY	AMERICAN FUNDS NEW PERSPECTIVE FD	B	540.00	10.80	0.00	10.80	90.0	9.72
03/19/2018	00084567631	CUMMINGS, GRADY	AMERICAN FUNDS NEW PERSPECTIVE FD	B	-540.00	-10.80	0.00	-10.80	90.0	-9.72
03/19/2018	00084567631	CUMMINGS, GRADY	AMERICAN FUNDS SMALL CAP WORLD FD	B	270.00	5.40	0.00	5.40	90.0	4.86
03/19/2018	00084567631	CUMMINGS, GRADY	AMERICAN FUNDS SMALL CAP WORLD FD	B	-270.00	-5.40	0.00	-5.40	90.0	-4.86
03/19/2018	00084567631	CUMMINGS, GRADY	AMERICAN FUNDS WA MUTUAL INVES	B	810.00	16.20	0.00	16.20	90.0	14.58
03/19/2018	00084567631	CUMMINGS, GRADY	AMERICAN FUNDS WA MUTUAL INVES	B	-810.00	-16.20	0.00	-16.20	90.0	-14.58
03/20/2018	00087480178	BRADLEY, MARGARET	AMERICAN FUNDS BALANCED FD	B	90.00	1.80	0.00	1.80	90.0	1.62
03/20/2018	00087480178	BRADLEY, MARGARET	AMERICAN FUNDS HIGH INCOME MUNI	B	90.00	1.80	0.00	1.80	90.0	1.62
03/20/2018	00087480178	BRADLEY, MARGARET	AMERICAN FUNDS INVESTMENT COMP OF A	B	60.00	1.20	0.00	1.20	90.0	1.08
03/20/2018	00087480178	BRADLEY, MARGARET	AMERICAN FUNDS WA MUTUAL INVES	B	60.00	1.20	0.00	1.20	90.0	1.08
* MUTUAL FUNDS SUBTOTAL *					\$420.06	\$27.06	\$0.00	\$27.06		\$24.35

PRODUCT CATEGORY: STOCKS

03/28/2018	SECURITIES, HILLTOP	-HILLTOP SECURITIES	B	0.79	0.79	0.00	0.79	90.0	0.71
* STOCKS SUBTOTAL *				\$0.79	\$0.79	\$0.00	\$0.79		\$0.71

PRODUCT CATEGORY: VARIABLE ANNUITIES

03/09/2018	TRAILS	AMERICAN GENERAL ANNUITY	B	194.13	194.13	0.00	194.13	90.0	174.72
03/22/2018	TRAILS	AMERICAN GENERAL ANNUITY	B	536.01	536.01	0.00	536.01	90.0	482.41
03/09/2018	TRAILS	TRANSAMERICA LIFE INSURANCE	B	172.05	172.05	0.00	172.05	90.0	154.85

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BROKER TRANSACTIONSPRODUCT CATEGORY: RIA

				* VARIABLE ANNUITIES SUBTOTAL *	\$902.19	\$902.19	\$0.00	\$902.19	\$811.98
<u>PRODUCT CATEGORY: RIA</u>									
01/12/2018	12706161	HALVORSON, DAVID E	SIGNAL SECURITIES RIA	B	0.00	361.00	0.00	361.00	324.90
01/12/2018	37791527	NORIS, SCOTT A	SIGNAL SECURITIES RIA	B	0.00	542.66	0.00	542.66	488.39
01/12/2018	82968618	BROWN, JACKIE L	SIGNAL SECURITIES RIA	B	0.00	90.34	0.00	90.34	81.31
				* RIA SUBTOTAL *	\$0.00	\$994.00	\$0.00	\$994.00	\$894.60

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

04/02/2018	TRAIL COMMISSIONS	AIG FUNDS FEES		0.00	59.07	0.00	59.07	90.0	53.16
04/02/2018	TRAIL COMMISSIONS	SUN AMERICA MUTUAL FUNDS FEES		0.00	52.26	0.00	52.26	90.0	47.03
				* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$111.33	\$0.00	\$111.33	\$100.19
				*** BROKER TRANSACTIONS TOTAL ***	\$1,323.04	\$2,035.37	\$0.00	\$2,035.37	\$1,831.83

ADJUSTMENTS

04/02/2018	E & O INSURANCE: 1/2 MONTHLY	0.00	0.00	0.00	0.00	-100.00
04/02/2018	TECH: MONTHLY TECH SERVICES	0.00	0.00	0.00	0.00	-27.50
*** ADJUSTMENTS TOTAL ***		<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$-127.50</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$1,831.83
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-127.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Check Amount	\$1,704.33
Year-to-date Earnings	\$41,614.12