



All Companies

02/27/2018  
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# COMMISSION STATEMENT

March 01, 2018

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
<b>BROKER TRANSACTIONS</b>									
<b>PRODUCT CATEGORY: RIA</b>									
01/12/2018	15626417	VILBIG, MOLLYE S		SIGNAL SECURITIES RIA	B	0.00	347.33	0.00	347.33 100.0 347.33
				* RIA SUBTOTAL *		\$0.00	\$347.33	\$0.00	\$347.33
				*** BROKER TRANSACTIONS TOTAL ***		\$0.00	\$347.33	\$0.00	\$347.33

## SPLIT TRANSACTIONS

**BROKER: ROTHSCHILD/POOL #9629**

01/09/2018	ANGELO, CONCORDIA/DOMIN	-PACIFIC LIFE INSURANCE	B	145.50	1.16	0.00	1.16 100.0	1.16
01/09/2018	ANGELO, CONCORDIA/XAVIE	-PACIFIC LIFE INSURANCE	B	189.50	1.52	0.00	1.52 100.0	1.52
01/09/2018	ANGELO, CONCORDIA/MIKE	-PACIFIC LIFE INSURANCE	B	169.00	1.35	0.00	1.35 100.0	1.35
02/15/2018	00061957268 SMITH, MARK	AMERICAN FUNDS INVESTMENT COMP OF A B		100.00	1.10	0.00	1.10 100.0	1.10
02/15/2018	00063806455 ROBERTS, KEVIN	AMERICAN FUNDS INCOME FD OF AMERI B		50.00	1.00	0.00	1.00 100.0	1.00
02/15/2018	00063806455 ROBERTS, KEVIN	AMERICAN FUNDS INVESTMENT COMP OF A B		50.00	1.00	0.00	1.00 100.0	1.00
02/15/2018	00063806455 ROBERTS, KEVIN	AMERICAN FUNDS NEW PERSPECTIVE FD B		50.00	1.00	0.00	1.00 100.0	1.00
02/15/2018	00067724745 ANGELO, CONCORDIA/MILES	AMERICAN FUNDS - GENERAL	B	30.00	0.36	0.00	0.36 100.0	0.36
02/15/2018	00067724745 ANGELO, CONCORDIA/MILES	AMERICAN MUTUAL FUND-529A	B	30.00	0.51	0.00	0.51 100.0	0.51
02/15/2018	00067724745 ANGELO, CONCORDIA/MILES	CAPITAL WORLD BOND FUND-529A	B	30.00	0.36	0.00	0.36 100.0	0.36
02/15/2018	00067724745 ANGELO, CONCORDIA/MILES	THE INCOME FUND OF AMERICA-529A	B	30.00	0.51	0.00	0.51 100.0	0.51
02/15/2018	00067724745 ANGELO, CONCORDIA/MILES	THE NEW ECONOMY FUND-529A	B	30.00	0.51	0.00	0.51 100.0	0.51
02/15/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS BD FD OF AMER FD B		75.52	0.91	0.00	0.91 100.0	0.91
02/15/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS BD FD OF AMER FD B		75.52	0.91	0.00	0.91 100.0	0.91
02/15/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS INVESTMENT COMP OF A B		77.81	1.56	0.00	1.56 100.0	1.56
02/15/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS INVESTMENT COMP OF A B		77.81	1.56	0.00	1.56 100.0	1.56
02/15/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS NEW PERSPECTIVE FD B		75.52	1.51	0.00	1.51 100.0	1.51
02/15/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS NEW PERSPECTIVE FD B		75.52	1.51	0.00	1.51 100.0	1.51

COMMISSION STATEMENT for SIGNAL POOL

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>									
<b><u>BROKER: ROTHSCHILD/POOL #9629</u></b>									
02/16/2018	00081247942 UNTIL AGE 21, TX/UTMA	AMERICAN FUNDS INVESTMENT COMP OF A B		250.00	1.60	0.00	1.60	100.0	1.60
02/15/2018	00082838137 HODGES, MICHAEL L	AMERICAN FUNDS NEW PERSPECTIVE FD B		50.00	0.85	0.00	0.85	100.0	0.85
		* ROTHSCHILD/POOL SUBTOTAL *		<u>\$1,661.70</u>	<u>\$20.79</u>	<u>\$0.00</u>	<u>\$20.79</u>		<u>\$20.79</u>
<b><u>BROKER: WILLIAMS/HOUSE #9640</u></b>									
02/27/2018	SECURITIES, HILLTOP	-HILLTOP SECURITIES	B	3.49	1.40	0.00	1.40	100.0	1.40
		* WILLIAMS/HOUSE SUBTOTAL *		<u>\$3.49</u>	<u>\$1.40</u>	<u>\$0.00</u>	<u>\$1.40</u>		<u>\$1.40</u>
		*** SPLIT TRANSACTIONS TOTAL ***		<u>\$1,665.19</u>	<u>\$22.19</u>	<u>\$0.00</u>	<u>\$22.19</u>		<u>\$22.19</u>

VERRIDE TRANSACTIONS**BROKER: JUDE RAMON L. BARCENAS #9620**

02/15/2018	DEVEZA, NENITA	-PACIFIC LIFE INSURANCE	B	283.17	8.50	0.00	8.50		0.09
02/15/2018	ALONZO, KELLY/KYLE	-PACIFIC LIFE INSURANCE	B	72.10	1.44	0.00	1.44		0.01
02/15/2018	ALONZO, KELLY/KACEY	-PACIFIC LIFE INSURANCE	B	34.75	0.70	0.00	0.70		0.01
01/31/2018	TRAILS	EATON VANCE - GENERAL	B	2.88	2.88	0.00	2.88		0.03
02/06/2018	TRAILS	LINCOLN BENEFIT LIFE	B	2.19	2.19	0.00	2.19		0.02
02/05/2018	000000000011193 CABRERA, IVY/CHARLES	FRK INTL SMALL CAP GROWTH FUND - CL B		50.00	0.50	0.00	0.50		0.01
02/05/2018	000000000026245 BUSA, JOSEPHINE JANE	FRK INTL SMALL CAP GROWTH FUND - CL B		50.00	0.50	0.00	0.50		0.01
02/05/2018	0000000000188476 CABRERA, IVY/CHARLES	FRANKLIN TOTAL RETURN FUND - CLASS B		50.00	0.50	0.00	0.50		0.01
02/05/2018	0000000000870307 CABRERA, IVY/CHARLES	FRANKLIN STRATEGIC INC FD CL II B		50.00	0.50	0.00	0.50		0.01
02/05/2018	0000000001603101 CABRERA, IVY/CHARLES	FRANKLIN TEMPLETON DEVELOPING MARKE B		50.00	0.50	0.00	0.50		0.01
02/12/2018	0000000006329360 EVANGELISTA, AURELIO/MONIQUE	529 GROWTH & INCOME - C	B	50.00	0.50	0.00	0.50		0.01
02/12/2018	0000000006329360 EVANGELISTA, AURELIO/MONIQUE	529 SMALL-MID CAP GROWTH C	B	50.00	0.50	0.00	0.50		0.01
02/12/2018	0000000006330997 EVANGELISTA, AURELIO/BEATRIC	529 GROWTH & INCOME - C	B	75.00	0.75	0.00	0.75		0.01
02/12/2018	00059867817 AUSTRIA, FELIX	AMERICAN FUNDS INVESTMENT COMP OF A B		50.00	2.50	0.00	2.50		0.03
02/12/2018	00060555032 JOSE, ANTONIO C.	AMERICAN FUNDS NEW ECONOMY FD B		50.00	1.88	0.00	1.88		0.02
02/12/2018	00060555033 JOSE, ANICIA P.	AMERICAN FUNDS AMERICAN MUTUAL FD B		50.00	1.88	0.00	1.88		0.02
02/12/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS AMERICAN MUTUAL FD B		40.00	1.50	0.00	1.50		0.02
02/12/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS CAPITAL WORLD BD FD B		40.00	1.20	0.00	1.20		0.01

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<u> OVERRIDE TRANSACTIONS </u>									
<b>BROKER: JUDE RAMON L. BARCENAS #9620</b>									
02/12/2018	00061616683	GERIO, EMMA B.	AMERICAN FUNDS HIGH INCOME TR FD	B	40.00	1.20	0.00	1.20	0.01
02/12/2018	00061616683	GERIO, EMMA B.	AMERICAN FUNDS INCOME FD OF AMERI B		40.00	1.50	0.00	1.50	0.02
02/12/2018	00061616683	GERIO, EMMA B.	AMERICAN FUNDS NEW ECONOMY FD	B	40.00	1.50	0.00	1.50	0.02
02/12/2018	00061689866	JAVELOSA, SANDRA	AMERICAN FUNDS GROWTH FUND OF AMERI B		200.00	8.50	0.00	8.50	0.09
		M.							
02/15/2018	00062049074	CALUNGSUD, KELLY	AMERICAN FUNDS CAPITAL WORLD GROWT B		50.00	1.88	0.00	1.88	0.02
		M.							
02/15/2018	00062049074	CALUNGSUD, KELLY	AMERICAN FUNDS GROWTH FUND OF AMERI B		50.00	1.88	0.00	1.88	0.02
		M.							
02/15/2018	00062049074	CALUNGSUD, KELLY	AMERICAN FUNDS HIGH INCOME TR FD	B	50.00	1.50	0.00	1.50	0.02
		M.							
02/15/2018	00062049074	CALUNGSUD, KELLY	NEW WORLD FUND-A	B	50.00	1.88	0.00	1.88	0.02
		M.							
02/15/2018	00064071443	LABRADOR, THERESA/DANIEL	AMERICAN FUNDS AMERICAN MUTUAL FD	B	20.00	1.00	0.00	1.00	0.01
02/15/2018	00064071443	LABRADOR, THERESA/DANIEL	AMERICAN FUNDS CAPITAL WORLD BD FD B		20.00	0.60	0.00	0.60	0.01
02/15/2018	00064071443	LABRADOR, THERESA/DANIEL	AMERICAN FUNDS HIGH INCOME TR FD	B	20.00	0.60	0.00	0.60	0.01
02/15/2018	00064071443	LABRADOR, THERESA/DANIEL	AMERICAN FUNDS INCOME FD OF AMERI B		20.00	1.00	0.00	1.00	0.01
02/15/2018	00064071443	LABRADOR, THERESA/DANIEL	AMERICAN FUNDS NEW ECONOMY FD	B	20.00	1.00	0.00	1.00	0.01
02/15/2018	00066945809	BARCENAS, RODOLFO L.	AMERICAN HIGH-INCOME TRUST-C	B	110.00	1.10	0.00	1.10	0.01
02/15/2018	00066945809	BARCENAS, RODOLFO L.	AMERICAN MUTUAL FUND-C	B	100.00	1.00	0.00	1.00	0.01
02/15/2018	00066945809	BARCENAS, RODOLFO L.	CAPITAL WORLD BOND FUND-C	B	80.00	0.80	0.00	0.80	0.01
02/15/2018	00066945809	BARCENAS, RODOLFO L.	THE INCOME FUND OF AMERICA-C	B	110.00	1.10	0.00	1.10	0.01
02/15/2018	00066945809	BARCENAS, RODOLFO L.	THE NEW ECONOMY FUND-C	B	100.00	1.00	0.00	1.00	0.01
02/12/2018	00073447265	JUMAO-AS, LAUREN	AMERICAN FUNDS - GENERAL	B	20.00	0.60	0.00	0.60	0.01
02/12/2018	00073447265	JUMAO-AS, LAUREN	AMERICAN MUTUAL FUND-529A	B	20.00	1.00	0.00	1.00	0.01
02/12/2018	00073447265	JUMAO-AS, LAUREN	CAPITAL WORLD BOND FUND-529A	B	20.00	0.60	0.00	0.60	0.01
02/12/2018	00073447265	JUMAO-AS, LAUREN	THE INCOME FUND OF AMERICA-529A	B	20.00	1.00	0.00	1.00	0.01
02/12/2018	00073447265	JUMAO-AS, LAUREN	THE NEW ECONOMY FUND-529A	B	20.00	1.00	0.00	1.00	0.01
02/15/2018	00073580088	FILOTEO-GONZALES, JUDELIA/ISABEL	AMERICAN FUNDS - GENERAL	B	30.00	0.83	0.00	0.83	0.01

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<u> OVERRIDE TRANSACTIONS </u>									
<b><u>BROKER: JUDE RAMON L. BARCENAS #9620</u></b>									
02/15/2018	00073580088	FILOTEO-GONZALES, AMERICAN MUTUAL FUND-529A	B	30.00	0.83	0.00	0.83		0.01
		JUDELIA/ISABEL							
02/15/2018	00073580088	FILOTEO-GONZALES, CAPITAL WORLD BOND FUND-529A	B	30.00	0.83	0.00	0.83		0.01
		JUDELIA/ISABEL							
02/15/2018	00073580088	FILOTEO-GONZALES, THE INCOME FUND OF AMERICA-529A	B	30.00	0.83	0.00	0.83		0.01
		JUDELIA/ISABEL							
02/15/2018	00073580088	FILOTEO-GONZALES, THE NEW ECONOMY FUND-529A	B	30.00	0.83	0.00	0.83		0.01
		JUDELIA/ISABEL							
02/15/2018	00075871895	SEGUNDO, CAPITAL WORLD GROWTH AND INCOME-529	B	50.00	2.50	0.00	2.50		0.03
		LORENCE/DANIEL							
02/15/2018	00081127981	GARCIA, AMERICAN FUNDS - GENERAL	B	30.00	0.90	0.00	0.90		0.01
		RODOLFO/RODIVIC							
02/15/2018	00081127981	GARCIA, AMERICAN MUTUAL FUND-529A	B	30.00	1.13	0.00	1.13		0.01
		RODOLFO/RODIVIC							
02/15/2018	00081127981	GARCIA, CAPITAL WORLD BOND FUND-529A	B	30.00	0.90	0.00	0.90		0.01
		RODOLFO/RODIVIC							
02/15/2018	00081127981	GARCIA, THE INCOME FUND OF AMERICA-529A	B	30.00	1.13	0.00	1.13		0.01
		RODOLFO/RODIVIC							
02/15/2018	00081127981	GARCIA, THE NEW ECONOMY FUND-529A	B	30.00	1.13	0.00	1.13		0.01
		RODOLFO/RODIVIC							
02/12/2018	00081663389	BUSA, JOSEPHINE AMERICAN FUNDS HIGH INCOME TR FD	B	50.00	1.50	0.00	1.50		0.02
		JANE							
02/12/2018	00081663389	BUSA, JOSEPHINE AMERICAN FUNDS NEW ECONOMY FD	B	50.00	2.50	0.00	2.50		0.03
		JANE							
02/15/2018	00082732703	CABRERA, IVY AMERICAN FUNDS AMERICAN MUTUAL FD	B	100.00	4.25	0.00	4.25		0.04
02/15/2018	00083580212	MASINAG, AMERICAN FUNDS - GENERAL	B	100.00	3.00	0.00	3.00		0.03
		NELSON/KEVIN							
02/15/2018	00083580212	MASINAG, AMERICAN MUTUAL FUND-529A	B	100.00	3.75	0.00	3.75		0.04
		NELSON/KEVIN							
02/15/2018	00083580212	MASINAG, CAPITAL WORLD BOND FUND-529A	B	100.00	3.00	0.00	3.00		0.03
		NELSON/KEVIN							
02/15/2018	00083580212	MASINAG, THE INCOME FUND OF AMERICA-529A	B	100.00	3.75	0.00	3.75		0.04
		NELSON/KEVIN							
02/15/2018	00083580212	MASINAG, THE NEW ECONOMY FUND-529A	B	100.00	3.75	0.00	3.75		0.04
		NELSON/KEVIN							
02/15/2018	00085777888	BABAO, NEW PERSPECTIVE FUND-529C	B	100.00	1.00	0.00	1.00		0.01
		ROMMEL/ISABELLE							
02/15/2018	00085777888	BABAO, THE GROWTH FUND OF AMERICA-529C	B	100.00	1.00	0.00	1.00		0.01
		ROMMEL/ISABELLE							
02/15/2018	00085777916	BABAO, AMERICAN BALANCED FUND-529C	B	50.00	0.50	0.00	0.50		0.01

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<b><u> OVERRIDE TRANSACTIONS </u></b>									
<b><u> BROKER: JUDE RAMON L. BARCENAS #9620 </u></b>									
	ROMMEL/RAPHAEL								
02/15/2018	00085777916 BABAO,	FUNDAMENTAL INVESTORS-529C	B	100.00	1.00	0.00	1.00		0.01
	ROMMEL/RAPHAEL								
02/15/2018	00085777916 BABAO,	NEW PERSPECTIVE FUND-529C	B	100.00	1.00	0.00	1.00		0.01
	ROMMEL/RAPHAEL								
02/15/2018	00085777916 BABAO,	THE GROWTH FUND OF AMERICA-529C	B	200.00	2.00	0.00	2.00		0.02
	ROMMEL/RAPHAEL								
02/12/2018	00087696729 LINUS L CUNANAN,	THE NEW ECONOMY FUND-529A	B	100.00	5.00	0.00	5.00		0.05
	MIGUEL								
02/12/2018	00087696759 LINUS L CUNANAN,	THE NEW ECONOMY FUND-529A	B	100.00	5.00	0.00	5.00		0.05
	MIGUEL								
02/12/2018	04038841757 JOSE, ANTONIO C.	AIM ENERGY FUND - CLASS A	B	50.00	2.50	0.00	2.50		0.03
02/05/2018	08695384489 KYSER, DICK DWAYNE	COLUMBIA SELIGMAN COMM & INFO FD A	B	0.00	5.53	0.00	5.53		0.06
02/15/2018	2203006058 TACUYAN,	OPPENHEIMER US GOVT TRUST FD CL A	B	100.00	2.00	0.00	2.00		0.02
	EVA/ANGELINE								
02/01/2018	2203006069 TACUYAN, JERRY	OPPENHEIMER US GOVT TRUST FD CL A	B	50.00	1.00	0.00	1.00		0.01
02/15/2018	2304545742 TACUYAN,	OPPENHEIMER STRATEGIC INCOME FD CL B	B	100.00	3.75	0.00	3.75		0.04
	EVA/ANGELINE								
02/01/2018	2304545753 TACUYAN, JERRY	OPPENHEIMER STRATEGIC INCOME FD CL B	B	50.00	1.88	0.00	1.88		0.02
		<b>* JUDE RAMON L. BARCENAS SUBTOTAL *</b>		<b>\$4,520.09</b>	<b>\$132.66</b>	<b>\$0.00</b>	<b>\$132.66</b>		<b>\$1.46</b>
<b><u> BROKER: THOMPSON/SIGNAL #9622 </u></b>									
01/12/2018	35296442 DAUM (SEPARATE PROP),	SIGNAL SECURITIES RIA	B	0.00	5,603.67	0.00	5,603.67		364.24
	JERRY F								
		<b>* THOMPSON/SIGNAL SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$5,603.67</b>	<b>\$0.00</b>	<b>\$5,603.67</b>		<b>\$364.24</b>
<b><u> BROKER: MATTHEW THOMAS KUNZ #9631 </u></b>									
02/14/2018	TRAILS	OHIO LIFE	B	68.73	68.73	0.00	68.73		0.69
01/12/2018	11304428 OREO, KARENLEE M	SIGNAL SECURITIES RIA	B	0.00	7.00	0.00	7.00		0.07
01/12/2018	14454837 KUNZ, GEORGE JAMES	SIGNAL SECURITIES RIA	B	0.00	8.00	0.00	8.00		0.08
01/12/2018	18165138 GARCIA, ERICK	SIGNAL SECURITIES RIA	B	0.00	24.33	0.00	24.33		0.24
01/12/2018	19423693 MASSEY, ROY	SIGNAL SECURITIES RIA	B	0.00	70.00	0.00	70.00		0.70
01/12/2018	30098457 BITTNER, DEBBIE	SIGNAL SECURITIES RIA	B	0.00	47.67	0.00	47.67		0.48
01/12/2018	34357806 BITTNER, MARK &	SIGNAL SECURITIES RIA	B	0.00	5.33	0.00	5.33		0.05
	DEBBIE								
01/12/2018	35223174 COULTER, JEFF & MARY	SIGNAL SECURITIES RIA	B	0.00	145.33	0.00	145.33		1.45
01/12/2018	35873038 LARGE/OREO, LANCE C.	SIGNAL SECURITIES RIA	B	0.00	5.33	0.00	5.33		0.05
	& KARE								
01/12/2018	36130788 HABEGGER, TIM FBO	SIGNAL SECURITIES RIA	B	0.00	7.00	0.00	7.00		0.07
	RILEY								

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<u> OVERRIDE TRANSACTIONS </u>									
<b>BROKER: MATTHEW THOMAS KUNZ #9631</b>									
01/12/2018	36635455	GIANNINO, RICHARD & ELLEN	SIGNAL SECURITIES RIA	B	0.00	181.33	0.00	181.33	1.81
01/12/2018	39035372	LAMMERS, JILL	SIGNAL SECURITIES RIA	B	0.00	44.00	0.00	44.00	0.44
01/12/2018	41063658	KUNZ, MARY SUE	SIGNAL SECURITIES RIA	B	0.00	8.00	0.00	8.00	0.08
01/12/2018	43666774	DOSTER, JIM & STEPHANIE	SIGNAL SECURITIES RIA	B	0.00	199.67	0.00	199.67	2.00
01/12/2018	46130317	MCCLEARY, PAMELA R	SIGNAL SECURITIES RIA	B	0.00	10.33	0.00	10.33	0.10
01/12/2018	47094293	PASTORE, CRISTINA	SIGNAL SECURITIES RIA	B	0.00	37.33	0.00	37.33	0.37
01/12/2018	47342185	POPHAM, RICHARD (RICK)	SIGNAL SECURITIES RIA	B	0.00	55.67	0.00	55.67	0.56
01/12/2018	50152262	MEYERS REV. LIV TRST, ROBERT S	SIGNAL SECURITIES RIA	B	0.00	70.33	0.00	70.33	0.70
01/12/2018	56921472	GIANNINO, MARY ELLEN	SIGNAL SECURITIES RIA	B	0.00	113.33	0.00	113.33	1.13
01/12/2018	61467712	MCCLEARY, JR, JAMES & PAMELA	SIGNAL SECURITIES RIA	B	0.00	51.33	0.00	51.33	0.51
01/12/2018	62130162	MCCLEARY, JR, JAMES & PAMELA	SIGNAL SECURITIES RIA	B	0.00	29.67	0.00	29.67	0.30
01/12/2018	62263883	FERRARI, JAMES J	SIGNAL SECURITIES RIA	B	0.00	187.33	0.00	187.33	1.87
01/12/2018	63431955	FERRARI, JAMES J	SIGNAL SECURITIES RIA	B	0.00	3.33	0.00	3.33	0.03
01/12/2018	63575586	MCCLEARY, PAMELA R	SIGNAL SECURITIES RIA	B	0.00	9.00	0.00	9.00	0.09
01/12/2018	74491798	LARGE/OREO, LANCE C. & KARE	SIGNAL SECURITIES RIA	B	0.00	7.00	0.00	7.00	0.07
01/12/2018	76118748	MCCLEARY, PAMELA R	SIGNAL SECURITIES RIA	B	0.00	56.33	0.00	56.33	0.56
01/12/2018	80576825	MCCLEARY, JR, JAMES & PAMELA	SIGNAL SECURITIES RIA	B	0.00	9.33	0.00	9.33	0.09
01/12/2018	83507537	BITTNER, MARK & DEBBIE	SIGNAL SECURITIES RIA	B	0.00	9.00	0.00	9.00	0.09
01/12/2018	85830018	WALLACE, RONALD G	SIGNAL SECURITIES RIA	B	0.00	920.33	0.00	920.33	9.20
01/12/2018	86727200	MCCLEARY, JR, JAMES & PAMELA	SIGNAL SECURITIES RIA	B	0.00	9.67	0.00	9.67	0.10
01/12/2018	86846823	LAMMERS, ROBERT & JILL	SIGNAL SECURITIES RIA	B	0.00	17.33	0.00	17.33	0.17
01/12/2018	88062363	PASTORE, CRISTINA	SIGNAL SECURITIES RIA	B	0.00	2.33	0.00	2.33	0.02
01/12/2018	88968596	COULTER, JEFF & MARY	SIGNAL SECURITIES RIA	B	0.00	4.33	0.00	4.33	0.04
01/12/2018	89518307	KUNZ, MARY SUE	SIGNAL SECURITIES RIA	B	0.00	23.00	0.00	23.00	0.23
01/12/2018	92937702	WELCH, ITASKA	SIGNAL SECURITIES RIA	B	0.00	32.67	0.00	32.67	0.33
01/12/2018	93877838	MCCLEARY, JR, JAMES & PAMELA	SIGNAL SECURITIES RIA	B	0.00	177.00	0.00	177.00	1.77
01/12/2018	95921292	BITTNER, MARK & DEBBIE	SIGNAL SECURITIES RIA	B	0.00	130.00	0.00	130.00	1.30

COMMISSION STATEMENT for SIGNAL POOL

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS </u></b>									
<b><u>BROKER: MATTHEW THOMAS KUNZ #9631</u></b>									
01/12/2018	98256346 LAMMERS, ROBERT & JILL	SIGNAL SECURITIES RIA	B	0.00	23.00	0.00	23.00		0.23
01/12/2018	98398336 GIANNINO, ELLEN	SIGNAL SECURITIES RIA	B	0.00	3.67	0.00	3.67		0.04
01/12/2018	98523493 HABEGGER, DENISE M	SIGNAL SECURITIES RIA	B	0.00	34.00	0.00	34.00		0.34
01/12/2018	98811946 CREWS-MORRIS, SHONDEANA	SIGNAL SECURITIES RIA	B	0.00	285.00	0.00	285.00		2.85
01/12/2018	99183964 HABEGGER, TIMOTHY J	SIGNAL SECURITIES RIA	B	0.00	24.67	0.00	24.67		0.25
01/12/2018	99251079 POPHAM, RICHARD (RICK)	SIGNAL SECURITIES RIA	B	0.00	17.33	0.00	17.33		0.17
<b>* MATTHEW THOMAS KUNZ SUBTOTAL *</b>				<b>\$68.73</b>	<b>\$3,175.36</b>	<b>\$0.00</b>	<b>\$3,175.36</b>		<b>\$31.72</b>
<b><u>BROKER: JOHN HOWARD RUSSELL #9632</u></b>									
02/13/2018	00062722452 POFF, RICKY L	AMERICAN FUNDS AMERICAN MUTUAL FD	B	49.19	0.59	0.00	0.59		0.01
02/13/2018	00062722452 POFF, RICKY L	AMERICAN FUNDS AMERICAN MUTUAL FD	B	49.19	0.59	0.00	0.59		0.01
02/13/2018	00062936733 HOLDRIDGE, SANDI	AMERICAN FUNDS CAPITAL WORLD GROWT	B	200.00	2.40	0.00	2.40		0.02
02/13/2018	00062936733 HOLDRIDGE, SANDI	AMERICAN FUNDS CAPITAL WORLD GROWT	B	84.00	1.01	0.00	1.01		0.01
02/13/2018	00062936733 HOLDRIDGE, SANDI	AMERICAN FUNDS FUNDAMENTAL INVES	B	200.00	2.40	0.00	2.40		0.02
02/13/2018	00062936733 HOLDRIDGE, SANDI	AMERICAN FUNDS FUNDAMENTAL INVES	B	84.00	1.01	0.00	1.01		0.01
02/12/2018	00064112804 FORD, LAVOID	AMERICAN FUNDS CAPITAL WORLD GROWT	B	333.33	9.17	0.00	9.17		0.09
02/13/2018	00067425273 GREEN, ARTHUR C	AMERICAN FUNDS EURO PACIFIC GROWT	B	119.09	1.43	0.00	1.43		0.01
02/13/2018	00067425273 GREEN, ARTHUR C	AMERICAN FUNDS EURO PACIFIC GROWT	B	119.08	1.43	0.00	1.43		0.01
02/13/2018	00067425273 GREEN, ARTHUR C	AMERICAN FUNDS SMALL CAP WORLD FD	B	119.09	1.43	0.00	1.43		0.01
02/13/2018	00067425273 GREEN, ARTHUR C	AMERICAN FUNDS SMALL CAP WORLD FD	B	119.09	1.43	0.00	1.43		0.01
02/13/2018	00067425273 GREEN, ARTHUR C	NEW WORLD FUND-A	B	122.69	1.47	0.00	1.47		0.01
02/13/2018	00067425273 GREEN, ARTHUR C	NEW WORLD FUND-A	B	122.70	1.47	0.00	1.47		0.01
02/15/2018	00073302989 RUSSELL, DAVID/NICKY	THE GROWTH FUND OF AMERICA-529C	B	50.00	0.50	0.00	0.50		0.01
02/12/2018	00073552220 BARR, CHESTER A	CAPITAL WORLD GROWTH AND INCOME-529	B	75.00	2.81	0.00	2.81		0.03
02/12/2018	00073552220 BARR, CHESTER A	WASHINGTON MUTUAL INVESTORS FUND-52	B	75.00	2.81	0.00	2.81		0.03
02/13/2018	00074669049 BLACKBURN, CURTIS D	AMERICAN FUNDS AMCAP FD	B	80.66	0.97	0.00	0.97		0.01
02/13/2018	00074669049 BLACKBURN, CURTIS D	AMERICAN FUNDS AMCAP FD	B	80.66	0.97	0.00	0.97		0.01
02/13/2018	00074669049 BLACKBURN, CURTIS D	AMERICAN FUNDS CAPITAL WORLD GROWT	B	48.40	0.58	0.00	0.58		0.01
02/13/2018	00074669049 BLACKBURN, CURTIS D	AMERICAN FUNDS CAPITAL WORLD GROWT	B	48.40	0.58	0.00	0.58		0.01
02/13/2018	00074775427 BOONE, LONNIE	AMERICAN FUNDS AMCAP FD	B	111.01	1.33	0.00	1.33		0.01
02/13/2018	00074775427 BOONE, LONNIE	AMERICAN FUNDS CAPITAL INCOME BUILD	B	83.27	1.00	0.00	1.00		0.01
02/13/2018	00074775427 BOONE, LONNIE	AMERICAN FUNDS CAPITAL WORLD GROWT	B	83.27	1.00	0.00	1.00		0.01

COMMISSION STATEMENT for SIGNAL POOL

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS</u>									
<b>BROKER: JOHN HOWARD RUSSELL #9632</b>									
02/15/2018	00075700317	BOZEMAN, LARRY K.	AMERICAN FUNDS CAPITAL INCOME BUILD B	1,094.44	21.89	0.00	21.89		0.22
02/15/2018	00075700317	BOZEMAN, LARRY K.	AMERICAN FUNDS CAPITAL INCOME BUILD B	547.22	10.94	0.00	10.94		0.11
02/15/2018	00075700331	BOZEMAN, HEATH	AMERICAN FUNDS AMERICAN MUTUAL FD B	134.38	2.69	0.00	2.69		0.03
02/15/2018	00075700331	BOZEMAN, HEATH	AMERICAN FUNDS AMERICAN MUTUAL FD B	47.20	0.94	0.00	0.94		0.01
02/15/2018	00075700331	BOZEMAN, HEATH	AMERICAN FUNDS FUNDAMENTAL INVES B	84.96	1.70	0.00	1.70		0.02
02/15/2018	00075700331	BOZEMAN, HEATH	AMERICAN FUNDS FUNDAMENTAL INVES B	241.88	4.84	0.00	4.84		0.05
02/15/2018	00075700331	BOZEMAN, HEATH	AMERICAN FUNDS INCOME FD OF AMERI B	161.26	3.23	0.00	3.23		0.03
02/15/2018	00075700331	BOZEMAN, HEATH	AMERICAN FUNDS INCOME FD OF AMERI B	56.64	1.13	0.00	1.13		0.01
02/15/2018	00075700380	COBBS, DONNY	AMERICAN FUNDS CAPITAL INCOME BUILD B	30.02	0.60	0.00	0.60		0.01
02/15/2018	00075700380	COBBS, DONNY	AMERICAN FUNDS CAPITAL INCOME BUILD B	80.00	1.60	0.00	1.60		0.02
02/15/2018	00075700380	COBBS, DONNY	AMERICAN FUNDS FUNDAMENTAL INVES B	30.02	0.60	0.00	0.60		0.01
02/15/2018	00075700380	COBBS, DONNY	AMERICAN FUNDS FUNDAMENTAL INVES B	80.00	1.60	0.00	1.60		0.02
02/15/2018	00082170622	SHEPHERD, ROY C	AMERICAN FUNDS CAPITAL WORLD GROWT B	49.92	1.00	0.00	1.00		0.01
02/15/2018	00082170622	SHEPHERD, ROY C	AMERICAN FUNDS CAPITAL WORLD GROWT B	49.92	1.00	0.00	1.00		0.01
02/15/2018	00082474109	KUETHE, ALLAN	AMERICAN MUTUAL FUND-C B	300.00	3.00	0.00	3.00		0.03
02/15/2018	00083008236	RUSSWURM, CLAYTON	AMERICAN FUNDS EURO PACIFIC GROWT B	70.65	1.41	0.00	1.41		0.01
	R								
02/15/2018	00083008236	RUSSWURM, CLAYTON	AMERICAN FUNDS EURO PACIFIC GROWT B	28.26	0.57	0.00	0.57		0.01
	R								
02/15/2018	00083008236	RUSSWURM, CLAYTON	AMERICAN FUNDS GROWTH FUND OF AMERI B	211.95	4.24	0.00	4.24		0.04
	R								
02/15/2018	00083008236	RUSSWURM, CLAYTON	AMERICAN FUNDS GROWTH FUND OF AMERI B	84.78	1.70	0.00	1.70		0.02
	R								
02/15/2018	00083008373	BOZEMAN, DEREK K	AMERICAN FUNDS CAPITAL WORLD GROWT B	81.04	1.62	0.00	1.62		0.02
02/15/2018	00083008373	BOZEMAN, DEREK K	AMERICAN FUNDS CAPITAL WORLD GROWT B	81.04	1.62	0.00	1.62		0.02
02/15/2018	00083008373	BOZEMAN, DEREK K	AMERICAN FUNDS FUNDAMENTAL INVES B	81.04	1.62	0.00	1.62		0.02
02/15/2018	00083008373	BOZEMAN, DEREK K	AMERICAN FUNDS FUNDAMENTAL INVES B	81.04	1.62	0.00	1.62		0.02
02/16/2018	00083626829	SEYMORE, ROBERT	CAPITAL WORLD GROWTH AND INCOME FUN B	150.00	1.50	0.00	1.50		0.02
02/15/2018	00084758983	HOWARD/BEAUDOIN, IRENE/LAUREN.	GLOBAL BALANCED FUND-529A B	50.00	2.13	0.00	2.13		0.02
02/15/2018	00084759195	HOWARD/BEAUDOIN, IRENE/LANDON	GLOBAL BALANCED FUND-529A B	50.00	2.13	0.00	2.13		0.02
02/15/2018	00084759209	HOWARD/BEAUDOIN, IRENE/AUSTIN	GLOBAL BALANCED FUND-529A B	50.00	2.13	0.00	2.13		0.02
02/15/2018	00084759232	HOWARD/BEAUDOIN, IRENE/DAKOTA	THE INCOME FUND OF AMERICA-529A B	50.00	2.13	0.00	2.13		0.02
02/15/2018	00087897269	ASHCRAFT OGDEN, ZOIE	FUNDAMENTAL INVESTORS-529C B	200.00	2.00	0.00	2.00		0.02
02/16/2018	00088272160	DUNN, CHESTER R.	SMALLCAP WORLD FUND-C B	90.00	0.90	0.00	0.90		0.01
02/16/2018	00088272160	DUNN, CHESTER R.	SMALLCAP WORLD FUND-C B	90.00	0.90	0.00	0.90		0.01



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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OVERRIDE TRANSACTIONS

BROKER: JOHN HOWARD RUSSELL #9632

02/16/2018	00088753150	MCBRIDE, STEVEN M. AMERICAN FUNDS 2040 TARGET DATE-C	B	61.56	0.62	0.00	0.62		0.01
02/16/2018	00088753150	MCBRIDE, STEVEN M. AMERICAN FUNDS 2040 TARGET DATE-C	B	61.56	0.62	0.00	0.62		0.01
02/15/2018	00089433187	SULLIVAN/WATSON, NEW WORLD FUND-529A	B	50.00	1.00	0.00	1.00		0.01
		SHERRY/ASHYR							
02/13/2018	00089506836	HAWKINS, SAMUEL L. AMERICAN FUNDS FUNDAMENTAL	INVES B	89.44	1.07	0.00	1.07		0.01
02/13/2018	00089506836	HAWKINS, SAMUEL L. AMERICAN FUNDS FUNDAMENTAL	INVES B	57.44	0.69	0.00	0.69		0.01
02/13/2018	00089506836	HAWKINS, SAMUEL L. AMERICAN FUNDS NEW ECONOMY FD	B	89.45	1.07	0.00	1.07		0.01
02/13/2018	00089506836	HAWKINS, SAMUEL L. AMERICAN FUNDS NEW ECONOMY FD	B	57.45	0.69	0.00	0.69		0.01
02/15/2018	00089986176	YOUNG, MARCUS FUNDAMENTAL INVESTORS-529C	B	100.00	1.00	0.00	1.00		0.01
02/15/2018	04000108054	HAMILTON, JAMES FUNDAMENTAL INVESTORS-529C	B	50.00	0.50	0.00	0.50		0.01
02/13/2018	04000150405	BLAKE, MATTHEW THE GROWTH FUND OF AMERICA-C	B	375.33	3.75	0.00	3.75		0.04
02/13/2018	04000150405	BLAKE, MATTHEW THE GROWTH FUND OF AMERICA-C	B	375.33	3.75	0.00	3.75		0.04
02/13/2018	04000623745	BLAKE, DAVID THE GROWTH FUND OF AMERICA-C	B	132.00	1.32	0.00	1.32		0.01
02/13/2018	04000623745	BLAKE, DAVID THE GROWTH FUND OF AMERICA-C	B	132.00	1.32	0.00	1.32		0.01
02/13/2018	04000695668	GILBREATH, LAURA AMERICAN FUNDS FUNDAMENTAL	INVES B	100.00	1.20	0.00	1.20		0.01
		D.							
02/13/2018	04000695668	GILBREATH, LAURA AMERICAN FUNDS FUNDAMENTAL	INVES B	76.80	0.92	0.00	0.92		0.01
		D.							
02/05/2018	07210129905	MCMILLIAN, MARILYN COLUMBIA CAPITAL ALLOC MOD CONS POR B		0.00	2.48	0.00	2.48		0.02
		J							

* JOHN HOWARD RUSSELL SUBTOTAL *	\$8,703.14	\$145.36	\$0.00	\$145.36	\$1.49
*** OVERRIDE TRANSACTIONS TOTAL ***	\$13,291.96	\$9,057.05	\$0.00	\$9,057.05	\$398.91

BROKER COMMISSION TOTALS

Broker Transactions	\$347.33
Split Transactions	\$22.19
Override Transactions	\$398.91
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Check Amount	\$768.43
Year-to-date Earnings	\$4,680.45