



All Companies

04/27/2018  
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# COMMISSION STATEMENT

May 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>									
04/13/2018	15626417	VILBIG, MOLLYE S		SIGNAL SECURITIES RIA	B	0.00	340.00	0.00	340.00 100.0 340.00
				* RIA SUBTOTAL *		\$0.00	\$340.00	\$0.00	\$340.00 340.00
				*** BROKER TRANSACTIONS TOTAL ***		\$0.00	\$340.00	\$0.00	\$340.00 340.00

## SPLIT TRANSACTIONS

**BROKER: ROTHSCHILD/POOL #9629**

04/16/2018	000000000016042	ANGELO, IRINEO FRK LIFESMART 2015 RTMT TARGET - CL B		88,624.95		354.50	0.00	354.50	100.0	354.50
		S.								
05/01/2018	TRAIL COMMISSIONS	JOHN HANCOCK FEES		0.00		5.12	0.00	5.12	100.0	5.12
04/18/2018	00061397698	RIVARD, JOHN M	AMERICAN FUNDS INVESTMENT COMP OF A B	65.00		0.72	0.00	0.72	100.0	0.72
04/16/2018	00061957268	SMITH, MARK	AMERICAN FUNDS INVESTMENT COMP OF A B	100.00		1.10	0.00	1.10	100.0	1.10
04/13/2018	00062777037	MILLER, KIMMARIE	AMERICAN FUNDS CAPITAL WORLD GROWT B	1,390.00		11.12	0.00	11.12	100.0	11.12
04/13/2018	00062777037	MILLER, KIMMARIE	AMERICAN FUNDS INVESTMENT COMP OF A B	1,000.00		8.00	0.00	8.00	100.0	8.00
04/18/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS BD FD OF AMER FD B	62.50		0.69	0.00	0.69	100.0	0.69
04/18/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS INCOME FD OF AMERI B	62.50		0.69	0.00	0.69	100.0	0.69
04/18/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS NEW PERSPECTIVE FD B	62.50		0.69	0.00	0.69	100.0	0.69
04/18/2018	00063348505	RIVARD, JOHN M	AMERICAN FUNDS WA MUTUAL INVES B	62.50		0.69	0.00	0.69	100.0	0.69
04/17/2018	00063465378	GONZALEZ, CHRISTINA	AMERICAN FUNDS INCOME FD OF AMERI B	2,550.00		28.05	0.00	28.05	100.0	28.05
04/17/2018	00063465378	GONZALEZ, CHRISTINA	AMERICAN FUNDS INVESTMENT COMP OF A B	2,550.00		28.05	0.00	28.05	100.0	28.05
04/16/2018	00063806455	ROBERTS, KEVIN	AMERICAN FUNDS INCOME FD OF AMERI B	50.00		1.00	0.00	1.00	100.0	1.00
04/16/2018	00063806455	ROBERTS, KEVIN	AMERICAN FUNDS INVESTMENT COMP OF A B	50.00		1.00	0.00	1.00	100.0	1.00
04/16/2018	00063806455	ROBERTS, KEVIN	AMERICAN FUNDS NEW PERSPECTIVE FD B	50.00		1.00	0.00	1.00	100.0	1.00
04/16/2018	00067724745	ANGELO, CONCORDIA/MILES	AMERICAN MUTUAL FUND-529A B	30.00		0.51	0.00	0.51	100.0	0.51
04/16/2018	00067724745	ANGELO, CONCORDIA/MILES	CAPITAL WORLD BOND FUND-529A B	30.00		0.36	0.00	0.36	100.0	0.36
04/16/2018	00067724745	ANGELO, THE INCOME FUND OF AMERICA-529A	B	30.00		0.51	0.00	0.51	100.0	0.51

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>									
	CONCORDIA/MILES								
04/16/2018	00067724745 ANGELO,	THE NEW ECONOMY FUND-529A	B	110.00	1.87	0.00	1.87	100.0	1.87
	CONCORDIA/MILES								
04/09/2018	00068080307 PILAND, CALLEY S	AMERICAN FUNDS CAPITAL INCOME BUILD B		104.00	1.77	0.00	1.77	100.0	1.77
04/09/2018	00068080307 PILAND, CALLEY S	AMERICAN FUNDS INVESTMENT COMP OF A B		208.00	3.54	0.00	3.54	100.0	3.54
04/09/2018	00068080307 PILAND, CALLEY S	AMERICAN FUNDS NEW PERSPECTIVE FD B		105.00	1.78	0.00	1.78	100.0	1.78
04/13/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS BD FD OF AMER FD B		253.85	3.05	0.00	3.05	100.0	3.05
04/13/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS BD FD OF AMER FD B		253.85	3.05	0.00	3.05	100.0	3.05
04/13/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS INVESTMENT COMP OF A B		261.55	5.23	0.00	5.23	100.0	5.23
04/13/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS INVESTMENT COMP OF A B		261.55	5.23	0.00	5.23	100.0	5.23
04/13/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS NEW PERSPECTIVE FD B		253.85	5.08	0.00	5.08	100.0	5.08
04/13/2018	00069023045 EMBACH, PETE	AMERICAN FUNDS NEW PERSPECTIVE FD B		253.85	5.08	0.00	5.08	100.0	5.08
04/17/2018	00074701525 ARCHER, SETH	AMERICAN FUNDS BD FD OF AMER FD B		5,500.00	44.00	0.00	44.00	100.0	44.00
04/10/2018	00081663389 BUSA, JOSEPHINE	AMERICAN FUNDS HIGH INCOME TR FD B		50.00	0.60	0.00	0.60	100.0	0.60
	JANE								
04/10/2018	00081663389 BUSA, JOSEPHINE	AMERICAN FUNDS NEW ECONOMY FD B		50.00	1.00	0.00	1.00	100.0	1.00
	JANE								
04/16/2018	00082838137 HODGES, MICHAEL L	AMERICAN FUNDS NEW PERSPECTIVE FD B		50.00	0.85	0.00	0.85	100.0	0.85
04/16/2018	00085777888 BABAO,	NEW PERSPECTIVE FUND-529C B		100.00	0.40	0.00	0.40	100.0	0.40
	ROMMEL/ISABELLE								
04/16/2018	00085777888 BABAO,	THE GROWTH FUND OF AMERICA-529C B		100.00	0.40	0.00	0.40	100.0	0.40
	ROMMEL/ISABELLE								
04/16/2018	00085777916 BABAO,	AMERICAN BALANCED FUND-529C B		50.00	0.20	0.00	0.20	100.0	0.20
	ROMMEL/RAPHAEL								
04/20/2018	00087441316 DAMRON/HUPP,	COLLEGE ENROLLMENT FUND-529A B		50.00	0.40	0.00	0.40	100.0	0.40
	MARTHA/ABIGAIL								
04/19/2018	00088056101 PYLE, DYLAN	AMERICAN FUNDS INVESTMENT COMP OF A B		45.00	0.76	0.00	0.76	100.0	0.76
04/16/2018	01000245775 WONGPANICH,	IVK COMSTOCK FUND - CLASS C B		6,500.00	26.00	0.00	26.00	100.0	26.00
	MANERATANA								
04/09/2018	04000826735 WELBORN, THOMAS A.	AMERICAN FUNDS 2045 TARGET DATE-A B		417.00	7.09	0.00	7.09	100.0	7.09
05/01/2018	TRAIL COMMISSIONS	MFS FUND DISTRIBUTORS, INC. FEES		0.00	89.82	0.00	89.82	100.0	89.82
		<b>* ROTHSCHILD/POOL SUBTOTAL *</b>		<b>\$111,747.45</b>	<b>\$651.00</b>	<b>\$0.00</b>	<b>\$651.00</b>		<b>\$651.00</b>
<b><u>BROKER: WILLIAMS/HOUSE #9640</u></b>									
04/27/2018	SECURITIES, HILLTOP	-HILLTOP SECURITIES B		3.44	1.38	0.00	1.38	100.0	1.38
		<b>* WILLIAMS/HOUSE SUBTOTAL *</b>		<b>\$3.44</b>	<b>\$1.38</b>	<b>\$0.00</b>	<b>\$1.38</b>		<b>\$1.38</b>
		<b>*** SPLIT TRANSACTIONS TOTAL ***</b>		<b>\$111,750.89</b>	<b>\$652.38</b>	<b>\$0.00</b>	<b>\$652.38</b>		<b>\$652.38</b>

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<u> OVERRIDE TRANSACTIONS </u>									
<u>BROKER: JUDE RAMON L. BARCENAS #9620</u>									
04/13/2018	TRAILS	LINCOLN BENEFIT LIFE	B	8.85	8.85	0.00	8.85		0.09
04/20/2018	000000000894129 BUSA, JOSEPHINE JANE	FRANKLIN VALUE FD CL II	B	50.00	0.50	0.00	0.50		0.01
04/10/2018	0000000006329360 EVANGELISTA, AURELIO/MONIQUE	529 GROWTH & INCOME - C	B	50.00	0.50	0.00	0.50		0.01
04/10/2018	0000000006329360 EVANGELISTA, AURELIO/MONIQUE	529 SMALL-MID CAP GROWTH C	B	50.00	0.50	0.00	0.50		0.01
04/10/2018	0000000006330997 EVANGELISTA, AURELIO/BEATRIC	529 GROWTH & INCOME - C	B	75.00	0.75	0.00	0.75		0.01
04/10/2018	00059867817 AUSTRIA, FELIX	AMERICAN FUNDS INVESTMENT COMP OF A B		50.00	2.50	0.00	2.50		0.03
04/10/2018	00060555032 JOSE, ANTONIO C.	AMERICAN FUNDS NEW ECONOMY FD	B	50.00	1.88	0.00	1.88		0.02
04/10/2018	00060555033 JOSE, ANICIA P.	AMERICAN FUNDS AMERICAN MUTUAL FD	B	50.00	1.88	0.00	1.88		0.02
04/10/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS AMERICAN MUTUAL FD	B	40.00	1.50	0.00	1.50		0.02
04/10/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS CAPITAL WORLD BD FD B		40.00	1.20	0.00	1.20		0.01
04/10/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS HIGH INCOME TR FD	B	40.00	1.20	0.00	1.20		0.01
04/10/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS INCOME FD OF AMERI B		40.00	1.50	0.00	1.50		0.02
04/10/2018	00061616683 GERIO, EMMA B.	AMERICAN FUNDS NEW ECONOMY FD	B	40.00	1.50	0.00	1.50		0.02
04/10/2018	00061689866 JAVELOSA, SANDRA M.	AMERICAN FUNDS GROWTH FUND OF AMERI B		200.00	8.50	0.00	8.50		0.09
04/16/2018	00062049074 CALUNGSUD, KELLY M.	AMERICAN FUNDS CAPITAL WORLD GROWT B		50.00	1.88	0.00	1.88		0.02
04/16/2018	00062049074 CALUNGSUD, KELLY M.	AMERICAN FUNDS GROWTH FUND OF AMERI B		50.00	1.88	0.00	1.88		0.02
04/16/2018	00062049074 CALUNGSUD, KELLY M.	AMERICAN FUNDS HIGH INCOME TR FD	B	50.00	1.50	0.00	1.50		0.02
04/16/2018	00062049074 CALUNGSUD, KELLY M.	NEW WORLD FUND-A	B	50.00	1.88	0.00	1.88		0.02
04/16/2018	00066945809 BARCENAS, RODOLFO L.	AMERICAN HIGH-INCOME TRUST-C	B	100.00	1.00	0.00	1.00		0.01
04/16/2018	00066945809 BARCENAS, RODOLFO L.	AMERICAN MUTUAL FUND-C	B	110.00	1.10	0.00	1.10		0.01
04/16/2018	00066945809 BARCENAS, RODOLFO L.	CAPITAL WORLD BOND FUND-C	B	80.00	0.80	0.00	0.80		0.01
04/16/2018	00066945809 BARCENAS, RODOLFO L.	THE INCOME FUND OF AMERICA-C	B	100.00	1.00	0.00	1.00		0.01
04/16/2018	00066945809 BARCENAS, RODOLFO L.	THE NEW ECONOMY FUND-C	B	110.00	1.10	0.00	1.10		0.01
04/12/2018	00073447265 JUMAO-AS, LAUREN	AMERICAN FUNDS - GENERAL	B	20.00	0.60	0.00	0.60		0.01
04/12/2018	00073447265 JUMAO-AS, LAUREN	AMERICAN MUTUAL FUND-529A	B	20.00	1.00	0.00	1.00		0.01
04/12/2018	00073447265 JUMAO-AS, LAUREN	CAPITAL WORLD BOND FUND-529A	B	20.00	0.60	0.00	0.60		0.01

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<b><u>VERRIDE TRANSACTIONS</u></b>									
<b><u>BROKER: JUDE RAMON L. BARCENAS #9620</u></b>									
04/12/2018	00073447265	JUMAO-AS, LAUREN	THE INCOME FUND OF AMERICA-529A	B	20.00	1.00	0.00	1.00	0.01
04/12/2018	00073447265	JUMAO-AS, LAUREN	THE NEW ECONOMY FUND-529A	B	20.00	1.00	0.00	1.00	0.01
04/16/2018	00073580088	FILOTEO-GONZALES, JUDELIA/ISABEL	AMERICAN FUNDS - GENERAL	B	30.00	0.83	0.00	0.83	0.01
04/16/2018	00073580088	FILOTEO-GONZALES, JUDELIA/ISABEL	AMERICAN MUTUAL FUND-529A	B	30.00	0.83	0.00	0.83	0.01
04/16/2018	00073580088	FILOTEO-GONZALES, JUDELIA/ISABEL	CAPITAL WORLD BOND FUND-529A	B	30.00	0.83	0.00	0.83	0.01
04/16/2018	00073580088	FILOTEO-GONZALES, JUDELIA/ISABEL	THE INCOME FUND OF AMERICA-529A	B	30.00	0.83	0.00	0.83	0.01
04/16/2018	00073580088	FILOTEO-GONZALES, JUDELIA/ISABEL	THE NEW ECONOMY FUND-529A	B	30.00	0.83	0.00	0.83	0.01
04/16/2018	00075871895	SEGUNDO, LORENCE/DANIEL	CAPITAL WORLD GROWTH AND INCOME-529 B	B	50.00	2.50	0.00	2.50	0.03
04/20/2018	00075984574	GARCIA, RODOLFO C.	AMERICAN FUNDS AMERICAN MUTUAL FD	B	40.00	1.50	0.00	1.50	0.02
04/20/2018	00075984574	GARCIA, RODOLFO C.	AMERICAN FUNDS CAPITAL WORLD BD FD B	B	40.00	1.20	0.00	1.20	0.01
04/20/2018	00075984574	GARCIA, RODOLFO C.	AMERICAN FUNDS HIGH INCOME TR FD	B	40.00	1.20	0.00	1.20	0.01
04/20/2018	00075984574	GARCIA, RODOLFO C.	AMERICAN FUNDS INCOME FD OF AMERI B	B	40.00	1.50	0.00	1.50	0.02
04/20/2018	00075984574	GARCIA, RODOLFO C.	AMERICAN FUNDS NEW ECONOMY FD	B	40.00	1.50	0.00	1.50	0.02
04/20/2018	00075984620	GARCIA, MARIVIC D.	AMERICAN FUNDS AMERICAN MUTUAL FD	B	40.00	1.50	0.00	1.50	0.02
04/20/2018	00075984620	GARCIA, MARIVIC D.	AMERICAN FUNDS CAPITAL WORLD BD FD B	B	40.00	1.20	0.00	1.20	0.01
04/20/2018	00075984620	GARCIA, MARIVIC D.	AMERICAN FUNDS HIGH INCOME TR FD	B	40.00	1.20	0.00	1.20	0.01
04/20/2018	00075984620	GARCIA, MARIVIC D.	AMERICAN FUNDS INCOME FD OF AMERI B	B	40.00	1.50	0.00	1.50	0.02
04/20/2018	00075984620	GARCIA, MARIVIC D.	AMERICAN FUNDS NEW ECONOMY FD	B	40.00	1.50	0.00	1.50	0.02
04/16/2018	00081127981	GARCIA, RODOLFO/RODIVIC	AMERICAN FUNDS - GENERAL	B	30.00	0.90	0.00	0.90	0.01
04/16/2018	00081127981	GARCIA, RODOLFO/RODIVIC	AMERICAN MUTUAL FUND-529A	B	30.00	1.13	0.00	1.13	0.01
04/16/2018	00081127981	GARCIA, RODOLFO/RODIVIC	CAPITAL WORLD BOND FUND-529A	B	30.00	0.90	0.00	0.90	0.01
04/16/2018	00081127981	GARCIA, RODOLFO/RODIVIC	THE INCOME FUND OF AMERICA-529A	B	30.00	1.13	0.00	1.13	0.01
04/16/2018	00081127981	GARCIA, RODOLFO/RODIVIC	THE NEW ECONOMY FUND-529A	B	30.00	1.13	0.00	1.13	0.01
04/16/2018	00082732703	CABRERA, IVY	AMERICAN FUNDS AMERICAN MUTUAL FD	B	100.00	4.25	0.00	4.25	0.04
04/16/2018	00083580212	MASINAG, NELSON/KEVIN	AMERICAN FUNDS - GENERAL	B	100.00	3.00	0.00	3.00	0.03
04/16/2018	00083580212	MASINAG, NELSON/KEVIN	AMERICAN MUTUAL FUND-529A	B	100.00	3.75	0.00	3.75	0.04
04/16/2018	00083580212	MASINAG, NELSON/KEVIN	CAPITAL WORLD BOND FUND-529A	B	100.00	3.00	0.00	3.00	0.03

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<b><u> OVERRIDE TRANSACTIONS </u></b>									
<b><u> BROKER: JUDE RAMON L. BARCENAS #9620 </u></b>									
	NELSON/KEVIN								
04/16/2018	00083580212 MASINAG,	THE INCOME FUND OF AMERICA-529A	B	100.00	3.75	0.00	3.75		0.04
	NELSON/KEVIN								
04/16/2018	00083580212 MASINAG,	THE NEW ECONOMY FUND-529A	B	100.00	3.75	0.00	3.75		0.04
	NELSON/KEVIN								
04/10/2018	00087696729 LINUS L CUNANAN,	THE NEW ECONOMY FUND-529A	B	100.00	5.00	0.00	5.00		0.05
	MIGUEL								
04/10/2018	00087696759 LINUS L CUNANAN,	THE NEW ECONOMY FUND-529A	B	100.00	5.00	0.00	5.00		0.05
	MIGUEL								
04/10/2018	04038841757 JOSE, ANTONIO C.	AIM ENERGY FUND - CLASS A	B	50.00	2.50	0.00	2.50		0.03
04/04/2018	08695384489 KYSER, DICK DWAYNE	COLUMBIA SELIGMAN COMM & INFO FD A	B	0.00	5.75	0.00	5.75		0.06
04/02/2018	2203006069 TACUYAN, JERRY	OPPENHEIMER US GOVT TRUST FD CL A	B	50.00	1.00	0.00	1.00		0.01
04/02/2018	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>\$3,283.85</b>	<b>\$117.37</b>	<b>\$0.00</b>	<b>\$117.37</b>		<b>\$1.28</b>
<b><u> BROKER: THOMPSON/SIGNAL #9622 </u></b>									
04/13/2018	35296442 DAUM (SEPARATE PROP),	SIGNAL SECURITIES RIA	B	0.00	5,145.67	0.00	5,145.67		334.47
	JERRY F								
		<b>* THOMPSON/SIGNAL SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$5,145.67</b>	<b>\$0.00</b>	<b>\$5,145.67</b>		<b>\$334.47</b>
<b><u> BROKER: MATTHEW THOMAS KUNZ #9631 </u></b>									
04/02/2018	GIANNINO, ELLEN	CHET ADVISOR 529 PLAN	B	50.00	1.26	0.00	1.26		0.01
04/13/2018	13999807 ROBINSON, DALE &	SIGNAL SECURITIES RIA	B	0.00	82.67	0.00	82.67		0.83
	SANDRA								
04/13/2018	14454837 KUNZ, GEORGE JAMES	SIGNAL SECURITIES RIA	B	0.00	8.00	0.00	8.00		0.08
04/13/2018	18165138 GARCIA, ERICK	SIGNAL SECURITIES RIA	B	0.00	24.33	0.00	24.33		0.24
04/13/2018	19423693 MASSEY, ROY	SIGNAL SECURITIES RIA	B	0.00	69.67	0.00	69.67		0.70
04/13/2018	23188870 HARRIS, BETTIE SUE	SIGNAL SECURITIES RIA	B	0.00	10.67	0.00	10.67		0.11
04/13/2018	24243215 HARRIS, BETTIE SUE	SIGNAL SECURITIES RIA	B	0.00	39.00	0.00	39.00		0.39
04/13/2018	30098457 BITTNER, DEBBIE	SIGNAL SECURITIES RIA	B	0.00	47.67	0.00	47.67		0.48
04/13/2018	34357806 BITTNER, MARK &	SIGNAL SECURITIES RIA	B	0.00	5.33	0.00	5.33		0.05
	DEBBIE								
04/13/2018	35223174 COULTER, JEFF & MARY	SIGNAL SECURITIES RIA	B	0.00	145.33	0.00	145.33		1.45
04/13/2018	35861208 BRINEY, DAWN	SIGNAL SECURITIES RIA	B	0.00	8.00	0.00	8.00		0.08
04/13/2018	35873038 LARGE/OREO, LANCE C.	SIGNAL SECURITIES RIA	B	0.00	32.00	0.00	32.00		0.32
	& KARE								
04/13/2018	36130788 HABEGGER, TIM FBO	SIGNAL SECURITIES RIA	B	0.00	6.67	0.00	6.67		0.07
	RILEY								
04/13/2018	36635455 GIANNINO, RICHARD &	SIGNAL SECURITIES RIA	B	0.00	182.33	0.00	182.33		1.82
	ELLEN								

COMMISSION STATEMENT for SIGNAL POOL

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>									
<b>BROKER: MATTHEW THOMAS KUNZ #9631</b>									
04/13/2018	39035372 LAMMERS, JILL	SIGNAL SECURITIES RIA	B	0.00	44.00	0.00	44.00		0.44
04/13/2018	41063658 KUNZ, MARY SUE	SIGNAL SECURITIES RIA	B	0.00	8.00	0.00	8.00		0.08
04/13/2018	43007438 BRINEY, BYRON & DAWN	SIGNAL SECURITIES RIA	B	0.00	2.33	0.00	2.33		0.02
04/13/2018	43666774 DOSTER, JIM & STEPHANIE	SIGNAL SECURITIES RIA	B	0.00	199.33	0.00	199.33		1.99
04/13/2018	46130317 MCCLEARY, PAMELA R	SIGNAL SECURITIES RIA	B	0.00	10.00	0.00	10.00		0.10
04/13/2018	47094293 PASTORE, CRISTINA	SIGNAL SECURITIES RIA	B	0.00	37.00	0.00	37.00		0.37
04/13/2018	47342185 POPHAM, RICHARD (RICK)	SIGNAL SECURITIES RIA	B	0.00	57.33	0.00	57.33		0.57
04/13/2018	50152262 MEYERS REV. LIV TRST, ROBERT S	SIGNAL SECURITIES RIA	B	0.00	70.00	0.00	70.00		0.70
04/13/2018	56921472 GIANNINO, MARY ELLEN	SIGNAL SECURITIES RIA	B	0.00	112.00	0.00	112.00		1.12
04/13/2018	61467712 MCCLEARY, JR, JAMES & PAMELA	SIGNAL SECURITIES RIA	B	0.00	51.67	0.00	51.67		0.52
04/13/2018	62130162 MCCLEARY, JR, JAMES & PAMELA	SIGNAL SECURITIES RIA	B	0.00	29.33	0.00	29.33		0.29
04/13/2018	62263883 FERRARI, JAMES J	SIGNAL SECURITIES RIA	B	0.00	186.33	0.00	186.33		1.86
04/13/2018	63431955 FERRARI, JAMES J	SIGNAL SECURITIES RIA	B	0.00	3.33	0.00	3.33		0.03
04/13/2018	63575586 MCCLEARY, PAMELA R	SIGNAL SECURITIES RIA	B	0.00	9.00	0.00	9.00		0.09
04/13/2018	76118748 MCCLEARY, PAMELA R	SIGNAL SECURITIES RIA	B	0.00	56.00	0.00	56.00		0.56
04/13/2018	80576825 MCCLEARY, JR, JAMES & PAMELA	SIGNAL SECURITIES RIA	B	0.00	9.33	0.00	9.33		0.09
04/13/2018	83507537 BITTNER, MARK & DEBBIE	SIGNAL SECURITIES RIA	B	0.00	9.00	0.00	9.00		0.09
04/13/2018	85830018 WALLACE, RONALD G	SIGNAL SECURITIES RIA	B	0.00	889.33	0.00	889.33		8.89
04/13/2018	86727200 MCCLEARY, JR, JAMES & PAMELA	SIGNAL SECURITIES RIA	B	0.00	9.33	0.00	9.33		0.09
04/13/2018	86846823 LAMMERS, ROBERT & JILL	SIGNAL SECURITIES RIA	B	0.00	17.33	0.00	17.33		0.17
04/13/2018	88062363 PASTORE, CRISTINA	SIGNAL SECURITIES RIA	B	0.00	2.33	0.00	2.33		0.02
04/13/2018	89518307 KUNZ, MARY SUE	SIGNAL SECURITIES RIA	B	0.00	23.00	0.00	23.00		0.23
04/13/2018	92937702 WELCH, ITASKA	SIGNAL SECURITIES RIA	B	0.00	25.00	0.00	25.00		0.25
04/13/2018	93877838 MCCLEARY, JR, JAMES & PAMELA	SIGNAL SECURITIES RIA	B	0.00	179.33	0.00	179.33		1.79
04/13/2018	95921292 BITTNER, MARK & DEBBIE	SIGNAL SECURITIES RIA	B	0.00	129.33	0.00	129.33		1.29
04/13/2018	98256346 LAMMERS, ROBERT & JILL	SIGNAL SECURITIES RIA	B	0.00	23.00	0.00	23.00		0.23
04/13/2018	98398336 GIANNINO, ELLEN	SIGNAL SECURITIES RIA	B	0.00	3.67	0.00	3.67		0.04
04/13/2018	98523493 HABEGGER, DENISE M	SIGNAL SECURITIES RIA	B	0.00	38.00	0.00	38.00		0.38

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>									
04/13/2018	98811946 CREWS-MORRIS, SHONDEANA	SIGNAL SECURITIES RIA	B	0.00	283.33	0.00	283.33		2.83
04/13/2018	99183964 HABEGGER, TIMOTHY J	SIGNAL SECURITIES RIA	B	0.00	24.67	0.00	24.67		0.25
04/13/2018	99251079 POPHAM, RICHARD (RICK)	SIGNAL SECURITIES RIA	B	0.00	17.33	0.00	17.33		0.17
* MATTHEW THOMAS KUNZ SUBTOTAL *				<u>\$50.00</u>	<u>\$3,221.89</u>	<u>\$0.00</u>	<u>\$3,221.89</u>		<u>\$32.18</u>
<b><u> BROKER: JOHN HOWARD RUSSELL #9632 </u></b>									
04/06/2018	TRAILS	-JOHN HANCOCK	B	15.18	15.18	0.00	15.18		0.15
04/11/2018	TRAILS	BRIGHTHOUSE FINANCIAL	B	3,286.37	3,286.37	0.00	3,286.37		32.86
04/11/2018	TRAILS	BRIGHTHOUSE FINANCIAL	B	6,778.88	6,778.88	0.00	6,778.88		67.79
04/09/2018	00067852430 SADLER, PAULA/TAYLOR	CAPITAL INCOME BUILDER-529A	B	100.00	3.75	0.00	3.75		0.04
04/09/2018	00067852431 SADLER, PAULA/HAYDEN	CAPITAL INCOME BUILDER-529A	B	100.00	3.75	0.00	3.75		0.04
04/09/2018	00067852432 SADLER, PAULA/MICHAEL	CAPITAL INCOME BUILDER-529A	B	100.00	3.75	0.00	3.75		0.04
04/09/2018	00068646098 SADLER, PAULA/NATALIE	CAPITAL INCOME BUILDER-529A	B	100.00	3.75	0.00	3.75		0.04
04/16/2018	00073302989 RUSSELL, DAVID/NICKY	THE GROWTH FUND OF AMERICA-529C	B	50.00	0.50	0.00	0.50		0.01
04/17/2018	00073404499 SULLIVAN/POTTS, SHERRY/MEGAN	NEW WORLD FUND-529A	B	50.00	1.00	0.00	1.00		0.01
04/09/2018	00073552220 BARR, CHESTER A	CAPITAL WORLD GROWTH AND INCOME-529 B		75.00	2.81	0.00	2.81		0.03
04/09/2018	00073552220 BARR, CHESTER A	WASHINGTON MUTUAL INVESTORS FUND-52 B		75.00	2.81	0.00	2.81		0.03
04/17/2018	00075700317 BOZEMAN, LARRY K.	AMERICAN FUNDS CAPITAL INCOME BUILD B		504.20	10.08	0.00	10.08		0.10
04/17/2018	00075700317 BOZEMAN, LARRY K.	AMERICAN FUNDS CAPITAL INCOME BUILD B		252.10	5.04	0.00	5.04		0.05
04/17/2018	00075700331 BOZEMAN, HEATH	AMERICAN FUNDS AMERICAN MUTUAL FD B		173.47	3.47	0.00	3.47		0.03
04/17/2018	00075700331 BOZEMAN, HEATH	AMERICAN FUNDS AMERICAN MUTUAL FD B		57.82	1.16	0.00	1.16		0.01
04/17/2018	00075700331 BOZEMAN, HEATH	AMERICAN FUNDS FUNDAMENTAL INVES B		312.24	6.24	0.00	6.24		0.06
04/17/2018	00075700331 BOZEMAN, HEATH	AMERICAN FUNDS FUNDAMENTAL INVES B		104.08	2.08	0.00	2.08		0.02
04/17/2018	00075700331 BOZEMAN, HEATH	AMERICAN FUNDS INCOME FD OF AMERI B		208.16	4.16	0.00	4.16		0.04
04/17/2018	00075700331 BOZEMAN, HEATH	AMERICAN FUNDS INCOME FD OF AMERI B		69.39	1.39	0.00	1.39		0.01
04/17/2018	00075700380 COBBS, DONNY	AMERICAN FUNDS CAPITAL INCOME BUILD B		40.50	0.81	0.00	0.81		0.01
04/17/2018	00075700380 COBBS, DONNY	AMERICAN FUNDS CAPITAL INCOME BUILD B		100.00	2.00	0.00	2.00		0.02
04/17/2018	00075700380 COBBS, DONNY	AMERICAN FUNDS FUNDAMENTAL INVES B		40.51	0.81	0.00	0.81		0.01
04/17/2018	00075700380 COBBS, DONNY	AMERICAN FUNDS FUNDAMENTAL INVES B		100.00	2.00	0.00	2.00		0.02
04/17/2018	00082170622 SHEPHERD, ROY C	AMERICAN FUNDS CAPITAL WORLD GROWT B		52.23	1.04	0.00	1.04		0.01
04/17/2018	00082170622 SHEPHERD, ROY C	AMERICAN FUNDS CAPITAL WORLD GROWT B		52.23	1.04	0.00	1.04		0.01
04/17/2018	00083008236 RUSSWURM, CLAYTON	AMERICAN FUNDS EURO PACIFIC GROWT B		34.15	0.68	0.00	0.68		0.01

COMMISSION STATEMENT for SIGNAL POOL

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<u> OVERRIDE TRANSACTIONS </u>									
<u>BROKER: JOHN HOWARD RUSSELL #9632</u>									
	R								
04/17/2018	00083008236	RUSSWURM, CLAYTON	AMERICAN FUNDS EURO PACIFIC	GROWT B	85.37	1.71	0.00	1.71	0.02
	R								
04/17/2018	00083008236	RUSSWURM, CLAYTON	AMERICAN FUNDS GROWTH FUND OF AMERI	B	102.44	2.05	0.00	2.05	0.02
	R								
04/17/2018	00083008236	RUSSWURM, CLAYTON	AMERICAN FUNDS GROWTH FUND OF AMERI	B	256.11	5.12	0.00	5.12	0.05
	R								
04/17/2018	00083008373	BOZEMAN, DEREK K	AMERICAN FUNDS CAPITAL WORLD	GROWT B	98.95	1.98	0.00	1.98	0.02
04/17/2018	00083008373	BOZEMAN, DEREK K	AMERICAN FUNDS CAPITAL WORLD	GROWT B	197.89	3.96	0.00	3.96	0.04
04/17/2018	00083008373	BOZEMAN, DEREK K	AMERICAN FUNDS FUNDAMENTAL	INVES B	98.94	1.98	0.00	1.98	0.02
04/17/2018	00083008373	BOZEMAN, DEREK K	AMERICAN FUNDS FUNDAMENTAL	INVES B	197.89	3.96	0.00	3.96	0.04
04/09/2018	00083499515	SEYMORE, BENJAMIN	CAPITAL WORLD GROWTH AND INCOME FUN	B	200.00	2.00	0.00	2.00	0.02
04/16/2018	00083626829	SEYMORE, ROBERT	CAPITAL WORLD GROWTH AND INCOME FUN	B	150.00	1.50	0.00	1.50	0.02
04/16/2018	00084758983	HOWARD/BEAUDOIN,	GLOBAL BALANCED FUND-529A	B	50.00	2.13	0.00	2.13	0.02
	IRENE/LAUREN.								
04/16/2018	00084759195	HOWARD/BEAUDOIN,	GLOBAL BALANCED FUND-529A	B	50.00	2.13	0.00	2.13	0.02
	IRENE/LONDON								
04/16/2018	00084759209	HOWARD/BEAUDOIN,	GLOBAL BALANCED FUND-529A	B	50.00	2.13	0.00	2.13	0.02
	IRENE/AUSTIN								
04/16/2018	00084759232	HOWARD/BEAUDOIN,	THE INCOME FUND OF AMERICA-529A	B	50.00	2.13	0.00	2.13	0.02
	IRENE/DAKOTA								
04/20/2018	00085797272	RUSSELL/PEEPLES,	AMERICAN BALANCED FUND-529A	B	50.00	1.88	0.00	1.88	0.02
	DAVID/HAVEN								
04/20/2018	00085797295	RUSSELL/PEEPLES,	NEW PERSPECTIVE FUND-529A	B	50.00	1.88	0.00	1.88	0.02
	DAVID/KATE								
04/20/2018	00085797300	RUSSELL/PEEPLES,	NEW PERSPECTIVE FUND-529A	B	50.00	1.88	0.00	1.88	0.02
	DAVID/ELLE								
04/20/2018	00087000587	MORGAN,	CAPITAL INCOME BUILDER-529C	B	100.00	1.00	0.00	1.00	0.01
	CHERIE/CHASE								
04/20/2018	00087000599	MORGAN,	CAPITAL INCOME BUILDER-529C	B	100.00	1.00	0.00	1.00	0.01
	CHERIE/PIERCE								
04/16/2018	00087897269	ASHCRAFT OGDEN,	FUNDAMENTAL INVESTORS-529C	B	200.00	2.00	0.00	2.00	0.02
	ZOIE								
04/20/2018	00088263914	GREESON, JOHN D.	EUROPACIFIC GROWTH FUND-C	B	53.88	0.54	0.00	0.54	0.01
04/20/2018	00088263914	GREESON, JOHN D.	EUROPACIFIC GROWTH FUND-C	B	53.88	0.54	0.00	0.54	0.01
04/13/2018	00088272160	DUNN, CHESTER R.	SMALLCAP WORLD FUND-C	B	114.00	1.14	0.00	1.14	0.01
04/13/2018	00088272160	DUNN, CHESTER R.	SMALLCAP WORLD FUND-C	B	114.00	1.14	0.00	1.14	0.01
04/20/2018	00088272160	DUNN, CHESTER R.	SMALLCAP WORLD FUND-C	B	114.00	1.14	0.00	1.14	0.01
04/20/2018	00088272160	DUNN, CHESTER R.	SMALLCAP WORLD FUND-C	B	114.00	1.14	0.00	1.14	0.01
04/13/2018	00088753150	MCBRIDE, STEVEN M.	AMERICAN FUNDS 2040 TARGET DATE-C	B	61.56	0.62	0.00	0.62	0.01



COMMISSION STATEMENT for SIGNAL POOL

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
OVERRIDE TRANSACTIONS									
BROKER: JOHN HOWARD RUSSELL #9632									
04/13/2018	00088753150	MCBRIDE, STEVEN M. AMERICAN FUNDS 2040	TARGET DATE-C	B	61.56	0.62	0.00	0.62	0.01
04/20/2018	00088753150	MCBRIDE, STEVEN M. AMERICAN FUNDS 2040	TARGET DATE-C	B	61.56	0.62	0.00	0.62	0.01
04/20/2018	00088753150	MCBRIDE, STEVEN M. AMERICAN FUNDS 2040	TARGET DATE-C	B	61.56	0.62	0.00	0.62	0.01
04/16/2018	00089433187	SULLIVAN/WATSON, NEW WORLD FUND-529A		B	50.00	1.00	0.00	1.00	0.01
SHERRY/ASHYR									
04/16/2018	00089986176	YOUNG, MARCUS FUNDAMENTAL INVESTORS-529C		B	100.00	1.00	0.00	1.00	0.01
04/16/2018	04000108054	HAMILTON, JAMES FUNDAMENTAL INVESTORS-529C		B	50.00	0.50	0.00	0.50	0.01
04/17/2018	04000752171	BOZEMAN, JENNIFER NEW WORLD FUND-A		B	46.50	0.93	0.00	0.93	0.01
04/17/2018	04000752171	BOZEMAN, JENNIFER NEW WORLD FUND-A		B	31.00	0.62	0.00	0.62	0.01
04/04/2018	07210129905	MCMILLIAN, MARILYN COLUMBIA CAPITAL ALLOC MOD CONS	POR B		0.00	2.43	0.00	2.43	0.02
J									
04/05/2018	BRK104641	HAMILTON OD, JAMES AMERICAN FUNDS - 401K		B	0.00	4.45	0.00	4.45	0.04
* JOHN HOWARD RUSSELL SUBTOTAL *					\$16,056.60	\$10,206.02	\$0.00	\$10,206.02	\$102.09
*** OVERRIDE TRANSACTIONS TOTAL ***					\$19,390.45	\$18,690.95	\$0.00	\$18,690.95	\$470.02

BROKER COMMISSION TOTALS

Broker Transactions	\$424.23
Split Transactions	\$568.15
Override Transactions	\$470.02
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00

Check Amount	\$1,462.40
Year-to-date Earnings	\$10,770.16