



All Companies
COMMISSION STATEMENT
March 01, 2018

02/27/2018
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JIM CHEN
6300 I-40 West
Ste. 102
Amarillo, TX 79106

BROKER #: 9651
BRANCH: HOME OFFICE

COMMISSION STATEMENT for JIM CHEN

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|------|--------|------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
|------|--------|------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|

BROKER TRANSACTIONS

PRODUCT CATEGORY: RIA

| | | | | | | | | | |
|------------|----------|------------------------------|-----------------------|------|--------|------|-------|------|-------|
| 01/12/2018 | 15240871 | BURNAM, DENNIS D | SIGNAL SECURITIES RIA | 0.00 | 75.33 | 75.0 | 56.50 | 0.00 | 56.50 |
| 01/12/2018 | 17058809 | BOLTON, WILMA | SIGNAL SECURITIES RIA | 0.00 | 113.67 | 75.0 | 85.25 | 0.00 | 85.25 |
| 01/12/2018 | 18127812 | TIFFEE, GAE L | SIGNAL SECURITIES RIA | 0.00 | 9.00 | 75.0 | 6.75 | 0.00 | 6.75 |
| 01/12/2018 | 19687002 | CARVER, DON | SIGNAL SECURITIES RIA | 0.00 | 117.67 | 75.0 | 88.25 | 0.00 | 88.25 |
| 01/12/2018 | 20208443 | SNYDER, DAVID J | SIGNAL SECURITIES RIA | 0.00 | 52.00 | 75.0 | 39.00 | 0.00 | 39.00 |
| 01/12/2018 | 21372067 | LAI, LISA | SIGNAL SECURITIES RIA | 0.00 | 5.33 | 75.0 | 4.00 | 0.00 | 4.00 |
| 01/12/2018 | 28820037 | GILBERT, PAUL | SIGNAL SECURITIES RIA | 0.00 | 41.33 | 75.0 | 31.00 | 0.00 | 31.00 |
| 01/12/2018 | 29488506 | LAI, LISA | SIGNAL SECURITIES RIA | 0.00 | 101.67 | 75.0 | 76.25 | 0.00 | 76.25 |
| 01/12/2018 | 39815176 | CARVER, CINDY L L. | SIGNAL SECURITIES RIA | 0.00 | 95.33 | 75.0 | 71.50 | 0.00 | 71.50 |
| 01/12/2018 | 49788125 | WATSON, KIMBRA R | SIGNAL SECURITIES RIA | 0.00 | 23.00 | 75.0 | 17.25 | 0.00 | 17.25 |
| 02/15/2018 | 53898308 | MEREDITH, JOHN C | SIGNAL SECURITIES RIA | 0.00 | 51.66 | 75.0 | 38.75 | 0.00 | 38.75 |
| 01/12/2018 | 55407278 | SHIEH, RICHARD | SIGNAL SECURITIES RIA | 0.00 | 73.67 | 75.0 | 55.25 | 0.00 | 55.25 |
| 01/12/2018 | 75737800 | TIFFEE, GAE L | SIGNAL SECURITIES RIA | 0.00 | 28.33 | 75.0 | 21.25 | 0.00 | 21.25 |
| 01/12/2018 | 87329027 | SOUTHWEST CHAPTER NATL AM | SIGNAL SECURITIES RIA | 0.00 | 12.00 | 75.0 | 9.00 | 0.00 | 9.00 |

| | | | | | |
|------------------|--------|----------|----------|--------|----------|
| * RIA SUBTOTAL * | \$0.00 | \$799.99 | \$600.00 | \$0.00 | \$600.00 |
|------------------|--------|----------|----------|--------|----------|

| | | | | | |
|-----------------------------------|--------|----------|----------|--------|----------|
| *** BROKER TRANSACTIONS TOTAL *** | \$0.00 | \$799.99 | \$600.00 | \$0.00 | \$600.00 |
|-----------------------------------|--------|----------|----------|--------|----------|

ADJUSTMENTS

| | | | | | | |
|---------------------------|---------------------------------|--------|--------|-----------|--------|-----------|
| 03/01/2018 | E & O INSURANCE: 1/2 MONTHLY | 0.00 | 0.00 | -100.00 | 0.00 | -100.00 |
| 03/01/2018 | TECH: 1/2 MONTHLY TECH SERVICES | 0.00 | 0.00 | -27.50 | 0.00 | -27.50 |
| *** ADJUSTMENTS TOTAL *** | | \$0.00 | \$0.00 | \$-127.50 | \$0.00 | \$-127.50 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-----------|
| Broker Transactions | \$600.00 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-127.50 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$28.97 |

| | |
|-----------------------|------------|
| Check Amount | \$501.47 |
| Year-to-date Earnings | \$1,360.64 |