



All Companies  
**COMMISSION STATEMENT**  
**April 02, 2018**

03/29/2018  
Page No. 1

RAY WALKER  
P. O. Box 88

BROKER #: 2954  
BRANCH: HOME OFFICE

Cranfills Gap, TX 76637-

COMMISSION STATEMENT for RAY WALKER

| TRADE DATE   | CLIENT                               | INVESTMENT             | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------------|------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                  |                                      |                        |     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>       |                                      |                        |     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | 04000849161 LEE, KATIE LYNN          | COLLEGE 2036 FUND-529A | B   | 100,000.00           | 2,000.00            | 0.00               | 2,000.00          | 85.0 | 1,700.00             |
| 03/19/2018   | 04000849168 LEE, KATIE LYNN          | COLLEGE 2033 FUND-529A | B   | 110,000.00           | 2,200.00            | 0.00               | 2,200.00          | 85.0 | 1,870.00             |
| 03/19/2018   | 04000849169 LEE, KATIE LYNN          | COLLEGE 2033 FUND-529A | B   | 105,000.00           | 2,100.00            | 0.00               | 2,100.00          | 85.0 | 1,785.00             |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                   |                                      |                        |     | <b>\$315,000.00</b>  | <b>\$6,300.00</b>   | <b>\$0.00</b>      | <b>\$6,300.00</b> |      | <b>\$5,355.00</b>    |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b>             |                                      |                        |     |                      |                     |                    |                   |      |                      |
| 03/28/2018   | SECURITIES, HILLTOP                  | -HILLTOP SECURITIES    | B   | 402.75               | 402.75              | 0.00               | 402.75            | 85.0 | 342.34               |
| <b>* STOCKS SUBTOTAL *</b>                         |                                      |                        |     | <b>\$402.75</b>      | <b>\$402.75</b>     | <b>\$0.00</b>      | <b>\$402.75</b>   |      | <b>\$342.34</b>      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b> |                                      |                        |     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | TURNBOW, DEBBIE MCNEEL               | BRIGHTHOUSE FINANCIAL  | B   | 2,000.00             | 40.00               | 0.00               | 40.00             | 85.0 | 34.00                |
| <b>* VARIABLE ANNUITIES SUBTOTAL *</b>             |                                      |                        |     | <b>\$2,000.00</b>    | <b>\$40.00</b>      | <b>\$0.00</b>      | <b>\$40.00</b>    |      | <b>\$34.00</b>       |
| <b><u>PRODUCT CATEGORY: RIA</u></b>                |                                      |                        |     |                      |                     |                    |                   |      |                      |
| 01/12/2018   | 25597640 MACLEAN, JOHN R &<br>CAROL  | SIGNAL SECURITIES RIA  | B   | 0.00                 | 531.00              | 0.00               | 531.00            | 85.0 | 451.35               |
| 01/12/2018   | 26246524 JOSE, JOHN STUART           | SIGNAL SECURITIES RIA  | B   | 0.00                 | 61.66               | 0.00               | 61.66             | 85.0 | 52.41                |
| 01/12/2018   | 26706109 KELTNER, DAVID E &<br>LARIS | SIGNAL SECURITIES RIA  | B   | 0.00                 | 134.34              | 0.00               | 134.34            | 85.0 | 114.19               |
| 01/12/2018   | 34585794 MACLEAN III, JOHN R.        | SIGNAL SECURITIES RIA  | B   | 0.00                 | 76.34               | 0.00               | 76.34             | 85.0 | 64.89                |
| 01/12/2018   | 37021536 KELTNER, DAVID E &<br>LARIS | SIGNAL SECURITIES RIA  | B   | 0.00                 | 2,045.34            | 0.00               | 2,045.34          | 85.0 | 1,738.54             |
| 01/12/2018   | 40184316 MACLEAN III, JOHN R.        | SIGNAL SECURITIES RIA  | B   | 0.00                 | 482.34              | 0.00               | 482.34            | 85.0 | 409.99               |
| 01/12/2018   | 44016824 MARTIN, AIMEE WILSON        | SIGNAL SECURITIES RIA  | B   | 0.00                 | 192.00              | 0.00               | 192.00            | 85.0 | 163.20               |
| 01/12/2018   | 44459525 MILLIANS, DAN R &<br>SHARON | SIGNAL SECURITIES RIA  | B   | 0.00                 | 347.34              | 0.00               | 347.34            | 85.0 | 295.24               |
| 01/12/2018   | 45082495 MACLEAN, JOHN R &<br>CAROL  | SIGNAL SECURITIES RIA  | B   | 0.00                 | 136.00              | 0.00               | 136.00            | 85.0 | 115.60               |
| 01/12/2018   | 45866447 MACLEAN, JOHN R &<br>CAROL  | SIGNAL SECURITIES RIA  | B   | 0.00                 | 226.34              | 0.00               | 226.34            | 85.0 | 192.39               |
| 01/12/2018   | 50342706 KELTNER, DAVID E &<br>LARIS | SIGNAL SECURITIES RIA  | B   | 0.00                 | 1,380.66            | 0.00               | 1,380.66          | 85.0 | 1,173.56             |

COMMISSION STATEMENT for RAY WALKER

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

BROKER TRANSACTIONSPRODUCT CATEGORY: RIA

|            |   |                       |   |      |          |      |          |      |          |
|------------|---|-----------------------|---|------|----------|------|----------|------|----------|
| 01/12/2018 | 51306592 MILLIANS, SHARON S.                | SIGNAL SECURITIES RIA | B | 0.00 | 644.66   | 0.00 | 644.66   | 85.0 | 547.96   |
| 01/12/2018 | 58909071 RICE, CHRISTEL E                   | SIGNAL SECURITIES RIA | B | 0.00 | 73.00    | 0.00 | 73.00    | 85.0 | 62.05    |
| 01/12/2018 | 66032684 MILES O'LOUGHLIN,<br>MARITAL TRUST | SIGNAL SECURITIES RIA | B | 0.00 | 1,558.66 | 0.00 | 1,558.66 | 85.0 | 1,324.86 |
| 01/12/2018 | 70019589 CLANCY, LISE A                     | SIGNAL SECURITIES RIA | B | 0.00 | 19.34    | 0.00 | 19.34    | 85.0 | 16.44    |
| 01/12/2018 | 75505044 KELTNER, DAVID E &<br>LARIS        | SIGNAL SECURITIES RIA | B | 0.00 | 80.66    | 0.00 | 80.66    | 85.0 | 68.56    |
| 01/12/2018 | 78212467 ALVARADO, ANNA<br>KINGSLEY         | SIGNAL SECURITIES RIA | B | 0.00 | 539.34   | 0.00 | 539.34   | 85.0 | 458.44   |
| 01/12/2018 | 79494777 MACLEAN, CAROL JEAN                | SIGNAL SECURITIES RIA | B | 0.00 | 80.66    | 0.00 | 80.66    | 85.0 | 68.56    |
| 01/12/2018 | 86198628 KELTNER, DAVID E &<br>LARIS        | SIGNAL SECURITIES RIA | B | 0.00 | 27.34    | 0.00 | 27.34    | 85.0 | 23.24    |
| 01/12/2018 | 91894239 PRICE, MICHAEL D                   | SIGNAL SECURITIES RIA | B | 0.00 | 77.66    | 0.00 | 77.66    | 85.0 | 66.01    |
| 01/12/2018 | 97572617 RALPH, JEAN M                      | SIGNAL SECURITIES RIA | B | 0.00 | 216.66   | 0.00 | 216.66   | 85.0 | 184.16   |
| 01/12/2018 | 99078640 O'LOUGHLIN, LESLIE<br>WILSON       | SIGNAL SECURITIES RIA | B | 0.00 | 995.00   | 0.00 | 995.00   | 85.0 | 845.75   |

|                  |        |            |        |            |            |
|------------------|--------|------------|--------|------------|------------|
| * RIA SUBTOTAL * | \$0.00 | \$9,926.34 | \$0.00 | \$9,926.34 | \$8,437.39 |
|------------------|--------|------------|--------|------------|------------|

|                                   |              |             |        |             |             |
|-----------------------------------|--------------|-------------|--------|-------------|-------------|
| *** BROKER TRANSACTIONS TOTAL *** | \$317,402.75 | \$16,669.09 | \$0.00 | \$16,669.09 | \$14,168.73 |
|-----------------------------------|--------------|-------------|--------|-------------|-------------|

ADJUSTMENTS

|                           |                                     |        |        |        |        |           |
|---------------------------|-------------------------------------|--------|--------|--------|--------|-----------|
| 04/02/2018                | CABLE: 1/2 MONTHLY                  | 0.00   | 0.00   | 0.00   | 0.00   | -35.00    |
| 04/02/2018                | HILLTOP: CLEARING CHARGES           | 0.00   | 0.00   | 0.00   | 0.00   | -47.00    |
| 04/02/2018                | HILLTOP: CUSTOMER WRITE OFF         | 0.00   | 0.00   | 0.00   | 0.00   | -94.00    |
| 04/02/2018                | HILLTOP: FIXED INCOME TICKET CHARGE | 0.00   | 0.00   | 0.00   | 0.00   | -8.75     |
| 04/02/2018                | MISC: LONG DISTANCE CHARGES         | 0.00   | 0.00   | 0.00   | 0.00   | -25.00    |
| 04/02/2018                | RENT: 1/2 MONTHLY                   | 0.00   | 0.00   | 0.00   | 0.00   | -225.00   |
| *** ADJUSTMENTS TOTAL *** |                                     | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$-434.75 |

**BROKER COMMISSION TOTALS**

|                       |             |
|-----------------------|-------------|
| Broker Transactions   | \$14,168.73 |
| Split Transactions    | \$0.00      |
| Override Transactions | \$0.00      |
| Adjustments           | \$-434.75   |
| Payroll Draw          | \$0.00      |
| Base Salary           | \$0.00      |
| Prior Period Balance  | \$0.00      |

|                       |             |
|-----------------------|-------------|
| Check Amount          | \$13,733.98 |
| Year-to-date Earnings | \$67,546.90 |