



All Companies

12/28/2018

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COMMISSION STATEMENT

January 02, 2019

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
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BROKER TRANSACTIONS

PRODUCT CATEGORY: RIA

10/11/2018	14519994 YU, AUSTINE J	SIGNAL SECURITIES RIA	0.00	12.00	75.0	9.00	0.00	9.00
10/11/2018	15240871 BURNAM, DENNIS D	SIGNAL SECURITIES RIA	0.00	79.34	75.0	59.51	0.00	59.51
10/11/2018	15467902 YU, MICHAEL & AUSTI	SIGNAL SECURITIES RIA	0.00	165.00	75.0	123.75	0.00	123.75
10/11/2018	17058809 BOLTON, WILMA	SIGNAL SECURITIES RIA	0.00	116.00	75.0	87.00	0.00	87.00
10/11/2018	18127812 TIFFEE, GAE L	SIGNAL SECURITIES RIA	0.00	3.00	75.0	2.25	0.00	2.25
10/11/2018	19687002 CARVER, DON	SIGNAL SECURITIES RIA	0.00	123.34	75.0	92.51	0.00	92.51
10/11/2018	19795288 YU, AUSTINE J	SIGNAL SECURITIES RIA	0.00	6.66	75.0	5.00	0.00	5.00
10/11/2018	20208443 SNYDER, DAVID J	SIGNAL SECURITIES RIA	0.00	89.34	75.0	67.01	0.00	67.01
10/11/2018	21372067 LAI, LISA	SIGNAL SECURITIES RIA	0.00	7.00	75.0	5.25	0.00	5.25
10/11/2018	25639228 KIM, YEON M	SIGNAL SECURITIES RIA	0.00	33.66	75.0	25.25	0.00	25.25
10/11/2018	28820037 GILBERT, PAUL	SIGNAL SECURITIES RIA	0.00	43.34	75.0	32.51	0.00	32.51
10/11/2018	29488506 LAI, LISA	SIGNAL SECURITIES RIA	0.00	105.34	75.0	79.01	0.00	79.01
10/11/2018	33210997 DAVISON, GERALD & CHRIST	SIGNAL SECURITIES RIA	0.00	6.00	75.0	4.50	0.00	4.50
10/11/2018	39132331 BLESSEN, RONALD A	SIGNAL SECURITIES RIA	0.00	47.34	75.0	35.51	0.00	35.51
10/11/2018	39815176 CARVER, CINDY L L.	SIGNAL SECURITIES RIA	0.00	141.66	75.0	106.25	0.00	106.25
10/11/2018	43852443 SNYDER, DAVID J	SIGNAL SECURITIES RIA	0.00	10.34	75.0	7.76	0.00	7.76
10/11/2018	49788125 WATSON, KIMBRA R	SIGNAL SECURITIES RIA	0.00	24.34	75.0	18.26	0.00	18.26
10/11/2018	53898308 MEREDITH, JOHN C	SIGNAL SECURITIES RIA	0.00	57.00	75.0	42.75	0.00	42.75
10/11/2018	55407278 SHIEH, RICHARD	SIGNAL SECURITIES RIA	0.00	75.66	75.0	56.75	0.00	56.75
10/11/2018	60689039 YU, MICHAEL & AUSTI	SIGNAL SECURITIES RIA	0.00	19.66	75.0	14.75	0.00	14.75
10/11/2018	65075287 LUNA, CLAUDIA C	SIGNAL SECURITIES RIA	0.00	16.66	75.0	12.50	0.00	12.50
10/11/2018	66704122 LUNA, CLAUDIA C	SIGNAL SECURITIES RIA	0.00	9.66	75.0	7.25	0.00	7.25
10/11/2018	67902838 YU, MICHAEL & AUSTI	SIGNAL SECURITIES RIA	0.00	9.66	75.0	7.25	0.00	7.25
10/11/2018	75189448 GEHRING, MARIAN L	SIGNAL SECURITIES RIA	0.00	4.00	75.0	3.00	0.00	3.00
10/11/2018	75737800 TIFFEE, GAE L	SIGNAL SECURITIES RIA	0.00	9.66	75.0	7.25	0.00	7.25
10/11/2018	77812556 DAVISON, CHRISTINA K	SIGNAL SECURITIES RIA	0.00	6.66	75.0	5.00	0.00	5.00
10/11/2018	87329027 SOUTHWEST CHAPTER	SIGNAL SECURITIES RIA	0.00	14.00	75.0	10.50	0.00	10.50

COMMISSION STATEMENT for JIM CHEN

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
BROKER TRANSACTIONS								
PRODUCT CATEGORY: RIA								
NATL AM								
10/11/2018	87410823 DAVISON, GERALD & CHRIST	SIGNAL SECURITIES RIA	0.00	53.66	75.0	40.25	0.00	40.25
10/11/2018	94029064 KIM, YEON M	SIGNAL SECURITIES RIA	0.00	10.00	75.0	7.50	0.00	7.50
* RIA SUBTOTAL *			\$0.00	\$1,299.98		\$975.08	\$0.00	\$975.08
*** BROKER TRANSACTIONS TOTAL ***			\$0.00	\$1,299.98		\$975.08	\$0.00	\$975.08

ADJUSTMENTS

01/02/2019	E & O INSURANCE: 1/2 MONTHLY	0.00	0.00	-100.00	0.00	-100.00
01/02/2019	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	\$975.08
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	\$847.58
Year-to-date Earnings	\$847.58