



COMMISSION STATEMENT

August 13, 2018

RICHARD BIRNS
6800 Jericho Turnpike
Suite # 200AW
Syosset, NY 11791

BROKER #: 31
BRANCH #01016 - 16 - CASPER

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 08/13/2018 | ***-**-31UG - GIFT MIN ACT NY, | COLUMBIA THREADNEEDLE TRAILS BUY 0 Units @0.0000 | 0.00 | 2.36 | 0.00 | 2.36 | 75.0 | 1.77 |
| 08/02/2018 | ***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924 | HARTFORD CAPITAL APPRECIATION FUND BUY 0 Units @0.0000 | 0.00 | 1.79 | 0.00 | 1.79 | 75.0 | 1.34 |
| 08/02/2018 | ***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066 | HARTFORD CAPITAL APPRECIATION FUND BUY 0 Units @0.0000 | 0.00 | 15.77 | 0.00 | 15.77 | 75.0 | 11.83 |
| 08/02/2018 | ***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924 | THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000 | 0.00 | 1.32 | 0.00 | 1.32 | 75.0 | 0.99 |
| 08/02/2018 | ***-**-447P - BIRNS, PHYLLIS ACCOUNT #: 00000700389 | THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000 | 0.00 | 2.81 | 0.00 | 2.81 | 75.0 | 2.11 |
| 08/02/2018 | ***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066 | THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000 | 0.00 | 23.17 | 0.00 | 23.17 | 75.0 | 17.38 |
| 08/02/2018 | ***-**-85IN - SEAMAN, ACCOUNT #: 00022087686 | THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000 | 0.00 | 1.50 | 0.00 | 1.50 | 75.0 | 1.13 |
| 08/02/2018 | ***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066 | THE HARTFORD DIVIDEND & GROWTH FUND BUY 0 Units @0.0000 | 0.00 | 9.63 | 0.00 | 9.63 | 75.0 | 7.22 |
| 08/02/2018 | ***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924 | THE HARTFORD GROWTH OPPORTUNITIES F BUY 0 Units @0.0000 | 0.00 | 3.07 | 0.00 | 3.07 | 75.0 | 2.30 |
| 08/02/2018 | ***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924 | THE HARTFORD INTL CAPITAL APP. FUND BUY 0 Units @0.0000 | 0.00 | 1.19 | 0.00 | 1.19 | 75.0 | 0.89 |
| 08/02/2018 | ***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066 | THE HARTFORD INTL OPPORTUNITIES FD- BUY 0 Units @0.0000 | 0.00 | 13.38 | 0.00 | 13.38 | 75.0 | 10.04 |
| 08/02/2018 | ***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066 | THE HARTFORD MID CAP FUND-A BUY 0 Units @0.0000 | 0.00 | 23.61 | 0.00 | 23.61 | 75.0 | 17.71 |
| 08/02/2018 | ***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924 | THE HARTFORD SMALL CAP GROWTH FD-A BUY 0 Units @0.0000 | 0.00 | 2.79 | 0.00 | 2.79 | 75.0 | 2.09 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$102.39 | \$0.00 | \$102.39 | | \$76.80 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$0.00 | \$102.39 | \$0.00 | \$102.39 | | \$76.80 |



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|------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|

BROKER COMMISSION TOTALS

| | |
|-----------------------|---------|
| Broker Transactions | \$76.80 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

Please Retain for Your Records
THERE WILL BE NO PAYMENT THIS PERIOD

| | |
|------------------------------|--------------------|
| Balance Forward | \$76.80 |
| Year-to-date Earnings | \$18,259.74 |