



COMMISSION STATEMENT

August 20, 2018

RONALD DRAKE
6968 Bolivar Road
Chittenango, NY 13037

BROKER #: A36
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: ALTERNATIVE INVESTMENTS</u>								
08/02/2018	***-**-1593 - LAZOR, MARIANNE	GWG L BOND - 3YR BUY 20 Units @1000.0000	20,000.00	1,000.00	0.00	1,000.00	75.0	750.00
		* ALTERNATIVE INVESTMENTS SUBTOTAL *	\$20,000.00	\$1,000.00	\$0.00	\$1,000.00		\$750.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/13/2018	***-**-2146 - JONES, KELLIE ACCOUNT #: 00087644930	AMERICAN BALANCED FUND-A BUY 3 Units @29.3100	100.00	5.00	0.00	5.00	75.0	3.75
08/15/2018	***-**-8906 - ISBELL, ACCOUNT #: 00073594886	AMERICAN BALANCED FUND-A BUY 2 Units @28.5300	50.00	1.38	0.00	1.38	75.0	1.04
08/15/2018	***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557	AMERICAN BALANCED FUND-A BUY 2 Units @28.5300	50.00	1.38	0.00	1.38	75.0	1.04
08/15/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912	AMERICAN BALANCED FUND-A BUY 4 Units @28.5300	100.00	2.75	0.00	2.75	75.0	2.06
08/17/2018	***-**-4906 - VAN ALSTINE, ACCOUNT #: 00086106101	AMERICAN BALANCED FUND-A BUY 2 Units @29.3900	50.00	2.50	0.00	2.50	75.0	1.88
08/15/2018	***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.5800	50.00	1.38	0.00	1.38	75.0	1.04
08/15/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.5800	50.00	1.38	0.00	1.38	75.0	1.04
08/15/2018	***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.9200	50.00	1.38	0.00	1.38	75.0	1.04
08/15/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912	EUROPACIFIC GROWTH FUND-A BUY 1 Units @53.9100	50.00	1.38	0.00	1.38	75.0	1.04
08/06/2018	***-**-6469 - BENNETT, DAVID ACCOUNT #: 000090239551269	FRANKLIN INCOME FUND CLASS A BUY 205 Units @2.4400	500.00	20.00	0.00	20.00	75.0	15.00
08/06/2018	***-**-6469 - BENNETT, DAVID ACCOUNT #: 000015815524857	FRANKLIN RISING DIVIDENDS FD CLASS BUY 7 Units @67.7900	500.00	25.00	0.00	25.00	75.0	18.75
08/15/2018	***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.4800	70.00	1.93	0.00	1.93	75.0	1.45
08/15/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912	THE GROWTH FUND OF AMERICA-A BUY 2 Units @56.4800	133.00	3.66	0.00	3.66	75.0	2.75
08/15/2018	***-**-9089 - REEDY, LISA ACCOUNT #: 00083100942	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.4800	50.00	1.38	0.00	1.38	75.0	1.04



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
08/13/2018	***-**-2146 - JONES, KELLIE	THE INCOME FUND OF AMERICA-A	100.00	5.00	0.00	5.00	75.0	3.75
	ACCOUNT #: 00087644930	BUY 4 Units @24.4600						
08/14/2018	***-**-7767 - DONOVAN, WILLIAM	THE INCOME FUND OF AMERICA-A	13,147.12	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR012405	SELL 569 Units @23.1100						
* MUTUAL FUNDS SUBTOTAL *			\$15,050.12	\$75.50	\$18.00	\$57.50		\$38.67

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

/ /	***-**-108X - FOREST, NSPS	AMCAP FUND-A	0.00	0.34	0.00	0.34	75.0	0.26
	ACCOUNT #: LSR010522	BUY 1 Units @0.0000						
/ /	***-**-78IO - DONOVAN, FBO	AMERICAN BALANCED FUND-A	0.00	0.72	0.00	0.72	75.0	0.54
	ACCOUNT #: LSR010557	BUY 1 Units @0.0000						
/ /	***-**-190X - HULL, JENNIFER	AMERICAN BALANCED FUND-A	0.00	0.25	0.00	0.25	75.0	0.19
	ACCOUNT #: LSR010646	BUY 1 Units @0.0000						
/ /	***-**-09IO - CAREY, FBO	AMERICAN BALANCED FUND-A	0.00	5.55	0.00	5.55	75.0	4.16
	ACCOUNT #: LSR011076	BUY 1 Units @0.0000						
/ /	***-**-108X - FOREST, NSPS	AMERICAN BALANCED FUND-A	0.00	1.73	0.00	1.73	75.0	1.30
	ACCOUNT #: LSR010522	BUY 1 Units @0.0000						
/ /	***-**-653X - WERNER, FBO EVAN	AMERICAN BALANCED FUND-A	0.00	1.70	0.00	1.70	75.0	1.28
	ACCOUNT #: LSR010638	BUY 1 Units @0.0000						
/ /	***-**-641X - BULLARO, FBO	AMERICAN BALANCED FUND-A	0.00	0.91	0.00	0.91	75.0	0.68
	ACCOUNT #: LSR010641	BUY 1 Units @0.0000						
/ /	***-**-435X - KEITH, FBO	AMERICAN BALANCED FUND-A	0.00	0.91	0.00	0.91	75.0	0.68
	ACCOUNT #: LSR010643	BUY 1 Units @0.0000						
/ /	***-**-721X - VAILLANCOURT,	AMERICAN BALANCED FUND-A	0.00	0.28	0.00	0.28	75.0	0.21
	ACCOUNT #: LSR010644	BUY 1 Units @0.0000						
/ /	***-**-008X - HICKS, FBO	AMERICAN BALANCED FUND-A	0.00	1.33	0.00	1.33	75.0	1.00
	ACCOUNT #: LSR010645	BUY 1 Units @0.0000						
/ /	***-**-653I - WERNER, EVAN	AMERICAN BALANCED FUND-A	0.00	2.59	0.00	2.59	75.0	1.94
	ACCOUNT #: LSR010661	BUY 1 Units @0.0000						
/ /	***-**-05IR - DAVIS, STEPHEN	AMERICAN BALANCED FUND-A	0.00	1.93	0.00	1.93	75.0	1.45
	ACCOUNT #: LSR010693	BUY 1 Units @0.0000						
/ /	***-**-722I - SCOONES, FBO	AMERICAN BALANCED FUND-A	0.00	6.66	0.00	6.66	75.0	5.00
	ACCOUNT #: LSR010722	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
/ /	***-**-7767 - DONOVAN, WILLIAM	AMERICAN BALANCED FUND-A	0.00	2.28	0.00	2.28	75.0	1.71
	ACCOUNT #: LSR012405	BUY 1 Units @0.0000						
/ /	***-**-06IO - MARVIN, BOBBI	AMERICAN BALANCED FUND-A	0.00	1.03	0.00	1.03	75.0	0.77
	ACCOUNT #: LSR012683	BUY 1 Units @0.0000						
/ /	***-**-09IO - CAREY, FBO	AMERICAN FUNDS 2035 TARGET DATE-A	0.00	5.34	0.00	5.34	75.0	4.01
	ACCOUNT #: LSR011076	BUY 1 Units @0.0000						
/ /	***-**-09IR - CAREY, FBO	AMERICAN FUNDS 2035 TARGET DATE-A	0.00	0.13	0.00	0.13	75.0	0.10
	ACCOUNT #: LSR011102	BUY 1 Units @0.0000						
/ /	***-**-595X - WERNER, FBO	AMERICAN HIGH-INCOME TRUST-A	0.00	0.68	0.00	0.68	75.0	0.51
	ACCOUNT #: LSR010640	BUY 1 Units @0.0000						
/ /	***-**-595I - WERNER, GWENN	AMERICAN HIGH-INCOME TRUST-A	0.00	2.66	0.00	2.66	75.0	2.00
	ACCOUNT #: LSR010658	BUY 1 Units @0.0000						
/ /	***-**-722I - SCOONES, FBO	AMERICAN HIGH-INCOME TRUST-A	0.00	4.86	0.00	4.86	75.0	3.65
	ACCOUNT #: LSR010722	BUY 1 Units @0.0000						
/ /	***-**-336I - GETCHELL, FBO	AMERICAN HIGH-INCOME TRUST-A	0.00	0.30	0.00	0.30	75.0	0.23
	ACCOUNT #: LSR011101	BUY 1 Units @0.0000						
/ /	***-**-7767 - DONOVAN, WILLIAM	AMERICAN HIGH-INCOME TRUST-A	0.00	2.11	0.00	2.11	75.0	1.58
	ACCOUNT #: LSR012405	BUY 1 Units @0.0000						
/ /	***-**-06IO - MARVIN, BOBBI	AMERICAN HIGH-INCOME TRUST-A	0.00	0.62	0.00	0.62	75.0	0.47
	ACCOUNT #: LSR012683	BUY 1 Units @0.0000						
/ /	***-**-595I - WERNER, GWENN	CAPITAL INCOME BUILDER-A	0.00	2.65	0.00	2.65	75.0	1.99
	ACCOUNT #: LSR010658	BUY 1 Units @0.0000						
/ /	***-**-7767 - DONOVAN, WILLIAM	CAPITAL INCOME BUILDER-A	0.00	2.06	0.00	2.06	75.0	1.55
	ACCOUNT #: LSR012405	BUY 1 Units @0.0000						
/ /	***-**-108X - FOREST, NSPS	CAPITAL WORLD BOND FUND-A	0.00	0.58	0.00	0.58	75.0	0.44
	ACCOUNT #: LSR010522	BUY 1 Units @0.0000						
/ /	***-**-108X - FOREST, NSPS	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.21	0.00	1.21	75.0	0.91
	ACCOUNT #: LSR010522	BUY 1 Units @0.0000						
/ /	***-**-653X - WERNER, FBO EVAN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.28	0.00	1.28	75.0	0.96
	ACCOUNT #: LSR010638	BUY 1 Units @0.0000						
/ /	***-**-653I - WERNER, EVAN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.89	0.00	1.89	75.0	1.42
	ACCOUNT #: LSR010661	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
/ /	***-**-722I - SCOONES, FBO	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.74	0.00	3.74	75.0	2.81
	ACCOUNT #: LSR010722	BUY 1 Units @0.0000						
/ /	***-**-06IO - MARVIN, BOBBI	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.50	0.00	0.50	75.0	0.38
	ACCOUNT #: LSR012683	BUY 1 Units @0.0000						
/ /	***-**-7767 - DONOVAN, WILLIAM	EUROPACIFIC GROWTH FUND-A	0.00	1.36	0.00	1.36	75.0	1.02
	ACCOUNT #: LSR012405	BUY 1 Units @0.0000						
/ /	***-**-595X - WERNER, FBO	FUNDAMENTAL INVESTORS-A	0.00	1.73	0.00	1.73	75.0	1.30
	ACCOUNT #: LSR010640	BUY 1 Units @0.0000						
/ /	***-**-595I - WERNER, GWENN	FUNDAMENTAL INVESTORS-A	0.00	3.41	0.00	3.41	75.0	2.56
	ACCOUNT #: LSR010658	BUY 1 Units @0.0000						
/ /	***-**-06IO - MARVIN, BOBBI	FUNDAMENTAL INVESTORS-A	0.00	0.93	0.00	0.93	75.0	0.70
	ACCOUNT #: LSR012683	BUY 1 Units @0.0000						
/ /	***-**-46IR - SWANCOTT, KELLIE	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	0.36	0.00	0.36	75.0	0.27
	ACCOUNT #: LSR010508	BUY 1 Units @0.0000						
/ /	***-**-46IR - SWANCOTT, KELLIE	IVK GROWTH AND INCOME FUND - CLASS	0.00	0.56	0.00	0.56	75.0	0.42
	ACCOUNT #: LSR010508	BUY 1 Units @0.0000						
/ /	***-**-108X - FOREST, NSPS	THE BOND FUND OF AMERICA-A	0.00	0.71	0.00	0.71	75.0	0.53
	ACCOUNT #: LSR010522	BUY 1 Units @0.0000						
/ /	***-**-722I - SCOONES, FBO	THE BOND FUND OF AMERICA-A	0.00	2.21	0.00	2.21	75.0	1.66
	ACCOUNT #: LSR010722	BUY 1 Units @0.0000						
/ /	***-**-09IO - CAREY, FBO	THE GROWTH FUND OF AMERICA-A	0.00	6.70	0.00	6.70	75.0	5.03
	ACCOUNT #: LSR011076	BUY 1 Units @0.0000						
/ /	***-**-653X - WERNER, FBO EVAN	THE GROWTH FUND OF AMERICA-A	0.00	1.83	0.00	1.83	75.0	1.37
	ACCOUNT #: LSR010638	BUY 1 Units @0.0000						
/ /	***-**-595I - WERNER, GWENN	THE GROWTH FUND OF AMERICA-A	0.00	3.61	0.00	3.61	75.0	2.71
	ACCOUNT #: LSR010658	BUY 1 Units @0.0000						
/ /	***-**-722I - SCOONES, FBO	THE GROWTH FUND OF AMERICA-A	0.00	6.00	0.00	6.00	75.0	4.50
	ACCOUNT #: LSR010722	BUY 1 Units @0.0000						
/ /	***-**-149X - PTAK, MATTHEW	THE GROWTH FUND OF AMERICA-A	0.00	0.14	0.00	0.14	75.0	0.11
	ACCOUNT #: LSR011220	BUY 1 Units @0.0000						
/ /	***-**-7767 - DONOVAN, WILLIAM	THE GROWTH FUND OF AMERICA-A	0.00	2.23	0.00	2.23	75.0	1.67
	ACCOUNT #: LSR012405	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
/ /	***-**-06IO - MARVIN, BOBBI	THE GROWTH FUND OF AMERICA-A	0.00	1.04	0.00	1.04	75.0	0.78
	ACCOUNT #: LSR012683	BUY 1 Units @0.0000						
/ /	***-**-09IO - CAREY, FBO	THE INCOME FUND OF AMERICA-A	0.00	5.38	0.00	5.38	75.0	4.04
	ACCOUNT #: LSR011076	BUY 1 Units @0.0000						
/ /	***-**-108X - FOREST, NSPS	THE INCOME FUND OF AMERICA-A	0.00	1.86	0.00	1.86	75.0	1.40
	ACCOUNT #: LSR010522	BUY 1 Units @0.0000						
/ /	***-**-595X - WERNER, FBO	THE INCOME FUND OF AMERICA-A	0.00	1.69	0.00	1.69	75.0	1.27
	ACCOUNT #: LSR010640	BUY 1 Units @0.0000						
/ /	***-**-595I - WERNER, GWENN	THE INCOME FUND OF AMERICA-A	0.00	2.84	0.00	2.84	75.0	2.13
	ACCOUNT #: LSR010658	BUY 1 Units @0.0000						
/ /	***-**-7767 - DONOVAN, WILLIAM	THE INCOME FUND OF AMERICA-A	0.00	2.78	0.00	2.78	75.0	2.09
	ACCOUNT #: LSR012405	BUY 1 Units @0.0000						
/ /	***-**-336I - GETCHELL, FBO	THE INVESTMENT COMPANY OF AMERICA-A	0.00	0.35	0.00	0.35	75.0	0.26
	ACCOUNT #: LSR011101	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$106.54	\$0.00	\$106.54		\$80.00
*** BROKER TRANSACTIONS TOTAL ***			\$35,050.12	\$1,182.04	\$18.00	\$1,164.04		\$868.67



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BROKER COMMISSION TOTALS								
						Broker Transactions		\$868.67
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$59.72
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$928.39
						Year-to-date Earnings		\$38,133.83