



COMMISSION STATEMENT

January 29, 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: MUTUAL FUNDS</u>								
01/10/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 03210336612	CAPITAL APPRECIATION A BUY 0 Units @0.0000	60.00	1.80	0.00	1.80	75.0	1.35
01/02/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 03008792487	CAPITAL INCOME A BUY 0 Units @0.0000	262.50	12.47	0.00	12.47	75.0	9.35
01/02/2018	***-**-030J - MERRILL, ACCOUNT #: 03009145719	CAPITAL INCOME A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	75.0	1.41
01/08/2018	***-**-453B - OHARA, DARLENE ACCOUNT #: 03008795809	CAPITAL INCOME A BUY 0 Units @0.0000	3,750.00	112.50	0.00	112.50	75.0	84.38
01/08/2018	***-**-481J - MERRILL, JASON ACCOUNT #: 03009145730	CAPITAL INCOME A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	75.0	1.41
01/02/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 08352551208	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	262.50	12.47	0.00	12.47	75.0	9.35
01/08/2018	***-**-453B - OHARA, DARLENE ACCOUNT #: 08352560668	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	3,750.00	112.50	0.00	112.50	75.0	84.38
01/10/2018	***-**-33IN - KING, JOHN ACCOUNT #: 08351548074	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	76.00	2.28	0.00	2.28	75.0	1.71
01/02/2018	***-**-030J - MERRILL, ACCOUNT #: 05450490490	OPP PORT SERIES: MOD INV FD A BUY 0 Units @0.0000	112.50	3.38	0.00	3.38	75.0	2.54
01/08/2018	***-**-481J - MERRILL, JASON ACCOUNT #: 05450490435	OPP PORT SERIES: MOD INV FD A BUY 0 Units @0.0000	112.50	3.38	0.00	3.38	75.0	2.54
01/10/2018	***-**-33IN - KING, JOHN ACCOUNT #: 07859653204	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	76.00	2.28	0.00	2.28	75.0	1.71
01/02/2018	***-**-030J - MERRILL, ACCOUNT #: 01951261139	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	12.50	0.38	0.00	0.38	75.0	0.29
01/08/2018	***-**-481J - MERRILL, JASON ACCOUNT #: 01951261073	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	12.50	0.38	0.00	0.38	75.0	0.29
01/10/2018	***-**-33IN - KING, JOHN ACCOUNT #: 08476672325	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	76.00	2.28	0.00	2.28	75.0	1.71
01/10/2018	***-**-33IN - KING, JOHN ACCOUNT #: 02514166107	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	76.00	2.28	0.00	2.28	75.0	1.71
01/02/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 02306510122	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	262.50	10.50	0.00	10.50	75.0	7.88



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/08/2018	***-**-453B - OHARA, DARLENE	OPPENHEIMER STRATEGIC INCOME FD CL	3,750.00	103.13	0.00	103.13	75.0	77.35
	ACCOUNT #: 02306518823	BUY 0 Units @0.0000						
01/10/2018	***-**-70IN - KING, SUSAN	OPPENHEIMER STRATEGIC INCOME FD CL	60.00	1.65	0.00	1.65	75.0	1.24
	ACCOUNT #: 02305070453	BUY 0 Units @0.0000						
01/02/2018	***-**-4932 - BAKER, STEVEN	RISING DIVIDENDS FUND A	262.50	12.47	0.00	12.47	75.0	9.35
	ACCOUNT #: 02254109468	BUY 0 Units @0.0000						
01/08/2018	***-**-453B - OHARA, DARLENE	RISING DIVIDENDS FUND A	3,750.00	112.50	0.00	112.50	75.0	84.38
	ACCOUNT #: 02254115661	BUY 0 Units @0.0000						
01/10/2018	***-**-70IN - KING, SUSAN	RISING DIVIDENDS FUND A	80.00	2.40	0.00	2.40	75.0	1.80
	ACCOUNT #: 02253478497	BUY 0 Units @0.0000						
01/10/2018	***-**-33IN - KING, JOHN	RISING DIVIDENDS FUND A	96.00	2.88	0.00	2.88	75.0	2.16
	ACCOUNT #: 02254507140	BUY 0 Units @0.0000						
01/02/2018	***-**-030J - MERRILL,	SELECT VALUE FUND A	62.50	1.88	0.00	1.88	75.0	1.41
	ACCOUNT #: 06000782386	BUY 0 Units @0.0000						
01/08/2018	***-**-481J - MERRILL, JASON	SELECT VALUE FUND A	62.50	1.88	0.00	1.88	75.0	1.41
	ACCOUNT #: 06000782397	BUY 0 Units @0.0000						
* MUTUAL FUNDS SUBTOTAL *			\$17,150.00	\$521.43	\$0.00	\$521.43		\$391.11
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/29/2018	***-**-108X - FOREST, NSPS	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	1.24	0.00	1.24	75.0	0.93
	ACCOUNT #: LSR010522	BUY 1 Units @0.0000						
01/29/2018	***-**-034X - JONES, KHRYSSTE	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.32	0.00	0.32	75.0	0.24
	ACCOUNT #: LSR010532	BUY 1 Units @0.0000						
01/29/2018	***-**-336J - GETCHELL, DIANNE	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.02	0.00	0.02	75.0	0.02
	ACCOUNT #: LSR011100	BUY 1 Units @0.0000						
01/29/2018	***-**-336I - GETCHELL, FBO	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.03	0.00	0.03	75.0	0.02
	ACCOUNT #: LSR011101	BUY 1 Units @0.0000						
01/29/2018	***-**-027I - DAVIS, KATHRYN	FRANKLIN INCOME FUND CLASS A	0.00	1.10	0.00	1.10	75.0	0.83
	ACCOUNT #: LSR010492	BUY 1 Units @0.0000						
01/29/2018	***-**-027I - DAVIS, KATHRYN	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	1.74	0.00	1.74	75.0	1.31
	ACCOUNT #: LSR010492	BUY 1 Units @0.0000						
01/29/2018	***-**-027I - DAVIS, KATHRYN	FRK STRAT INC FND - CL A	0.00	1.52	0.00	1.52	75.0	1.14
	ACCOUNT #: LSR010492	BUY 1 Units @0.0000						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u>								
01/29/2018	***-**-027I - DAVIS, KATHRYN	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.96	0.00	0.96	75.0	0.72
	ACCOUNT #: LSR010492	BUY 1 Units @0.0000						
01/29/2018	***-**-027I - DAVIS, KATHRYN	TEMP GLOBAL BOND FND - CL A	0.00	1.47	0.00	1.47	75.0	1.10
	ACCOUNT #: LSR010492	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$8.40	\$0.00	\$8.40		\$6.31
*** BROKER TRANSACTIONS TOTAL ***			\$17,150.00	\$529.83	\$0.00	\$529.83		\$397.42

BROKER COMMISSION TOTALS

Broker Transactions	\$397.42
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

Net Commission Earned	\$397.42
Year-to-date Earnings	\$2,636.00