



# COMMISSION STATEMENT

April 30, 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/16/2018	***-**-8906 - ISBELL, ACCOUNT #: 00073594886	AMERICAN BALANCED FUND-A BUY 2 Units @28.0100	50.00	1.38	0.00	1.38	75.0	1.04
04/16/2018	***-**-9037 - NOURSE, STACIA ACCOUNT #: 04000247689	AMERICAN BALANCED FUND-A BUY 2 Units @28.6800	50.00	2.50	0.00	2.50	75.0	1.88
04/16/2018	***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557	AMERICAN BALANCED FUND-A BUY 2 Units @28.0100	50.00	1.38	0.00	1.38	75.0	1.04
04/16/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912	AMERICAN BALANCED FUND-A BUY 4 Units @28.0100	100.00	2.75	0.00	2.75	75.0	2.06
04/16/2018	***-**-4639 - SCOONES, ACCOUNT #: 00084481157	AMERICAN BALANCED FUND-A BUY 3 Units @28.0100	90.75	2.50	0.00	2.50	75.0	1.88
04/16/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	AMERICAN BALANCED FUND-A BUY 4 Units @28.0100	125.00	3.44	0.00	3.44	75.0	2.58
04/16/2018	***-**-5152 - DUNN, MICHELE ACCOUNT #: 00087316793	AMERICAN BALANCED FUND-A BUY 14 Units @28.0100	400.00	11.00	0.00	11.00	75.0	8.25
04/16/2018	***-**-5556 - BURNS, ROBERT ACCOUNT #: 00085993216	AMERICAN BALANCED FUND-A BUY 1 Units @28.4500	37.50	1.59	0.00	1.59	75.0	1.19
04/16/2018	***-**-0939 - LAWRENCE, JASON ACCOUNT #: 00087909097	AMERICAN BALANCED FUND-A BUY 2 Units @28.6800	60.00	3.00	0.00	3.00	75.0	2.25
04/17/2018	***-**-4906 - VAN ALSTINE, ACCOUNT #: 00086106101	AMERICAN BALANCED FUND-A BUY 2 Units @28.8500	50.00	2.50	0.00	2.50	75.0	1.88
04/16/2018	***-**-9037 - NOURSE, STACIA ACCOUNT #: 04000247689	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.6800	50.00	1.50	0.00	1.50	75.0	1.13
04/16/2018	***-**-4848 - DOGETT, AMY ACCOUNT #: 00081620466	AMERICAN HIGH-INCOME TRUST-A BUY 15 Units @10.6500	165.00	4.54	0.00	4.54	75.0	3.41
04/16/2018	***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.6500	50.00	1.38	0.00	1.38	75.0	1.04
04/16/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.6500	50.00	1.38	0.00	1.38	75.0	1.04
04/16/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	AMERICAN HIGH-INCOME TRUST-A BUY 9 Units @10.6500	100.00	2.75	0.00	2.75	75.0	2.06
04/16/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00085514851	AMERICAN HIGH-INCOME TRUST-A BUY 2 Units @10.6500	25.00	0.69	0.00	0.69	75.0	0.52



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
04/16/2018	***-**-1909 - BASHANT, MATTHEW	AMERICAN HIGH-INCOME TRUST-A	25.50	0.70	0.00	0.70	75.0	0.53
	ACCOUNT #: 00085839015	BUY 2 Units @10.6500						
04/16/2018	***-**-5556 - BURNS, ROBERT	AMERICAN HIGH-INCOME TRUST-A	52.50	1.58	0.00	1.58	75.0	1.19
	ACCOUNT #: 00085993216	BUY 5 Units @10.6800						
04/20/2018	***-**-4932 - BAKER, STEVEN	AMERICAN HIGH-INCOME TRUST-A	75.00	2.06	0.00	2.06	75.0	1.55
	ACCOUNT #: 00086683340	BUY 7 Units @10.6100						
04/16/2018	***-**-5152 - DUNN, MICHELE	CAPITAL INCOME BUILDER-A	400.00	11.00	0.00	11.00	75.0	8.25
	ACCOUNT #: 00087316793	BUY 6 Units @63.5300						
04/20/2018	***-**-4932 - BAKER, STEVEN	CAPITAL INCOME BUILDER-A	100.00	2.75	0.00	2.75	75.0	2.06
	ACCOUNT #: 00086683340	BUY 2 Units @62.9800						
04/20/2018	***-**-4932 - BAKER, STEVEN	CAPITAL WORLD BOND FUND-A	75.00	2.06	0.00	2.06	75.0	1.55
	ACCOUNT #: 00086683340	BUY 4 Units @20.8400						
04/16/2018	***-**-4848 - DOGGETT, AMY	CAPITAL WORLD GROWTH AND INCOME FUN	165.00	4.54	0.00	4.54	75.0	3.41
	ACCOUNT #: 00081620466	BUY 3 Units @53.6900						
04/16/2018	***-**-3143 - HUMPF, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00082277557	BUY 1 Units @53.6900						
04/16/2018	***-**-408B - SNIZEK,	CAPITAL WORLD GROWTH AND INCOME FUN	100.00	2.75	0.00	2.75	75.0	2.06
	ACCOUNT #: 00085154620	BUY 2 Units @53.6900						
04/16/2018	***-**-7598 - HUMPF, MINDI	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.69	0.00	0.69	75.0	0.52
	ACCOUNT #: 00085514851	BUY 0 Units @53.6900						
04/16/2018	***-**-1909 - BASHANT, MATTHEW	CAPITAL WORLD GROWTH AND INCOME FUN	31.50	0.87	0.00	0.87	75.0	0.65
	ACCOUNT #: 00085839015	BUY 1 Units @53.6900						
04/16/2018	***-**-5556 - BURNS, ROBERT	CAPITAL WORLD GROWTH AND INCOME FUN	37.50	1.59	0.00	1.59	75.0	1.19
	ACCOUNT #: 00085993216	BUY 1 Units @54.5400						
04/20/2018	***-**-4932 - BAKER, STEVEN	CAPITAL WORLD GROWTH AND INCOME FUN	125.00	3.44	0.00	3.44	75.0	2.58
	ACCOUNT #: 00086683340	BUY 2 Units @53.7600						
04/16/2018	***-**-7598 - HUMPF, MINDI	EUROPACIFIC GROWTH FUND-A	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00082278912	BUY 1 Units @59.1600						
04/16/2018	***-**-1909 - BASHANT, MATTHEW	EUROPACIFIC GROWTH FUND-A	31.50	0.87	0.00	0.87	75.0	0.65
	ACCOUNT #: 00085839015	BUY 1 Units @59.1600						
04/16/2018	***-**-481J - MERRILL, JASON	FRANKLIN NEW YORK TAX FREE CLASS C	150.00	1.50	0.00	1.50	75.0	1.13
	ACCOUNT #: 000000000426484	BUY 14 Units @10.8200						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
04/16/2018	***-**-481J - MERRILL, JASON	FRANKLIN NY INTR-TRM TF INC FD	150.00	1.50	0.00	1.50	75.0	1.13
	ACCOUNT #: 000000000033504	BUY 13 Units @11.3600						
04/16/2018	***-**-5556 - BURNS, ROBERT	SMALLCAP WORLD FUND-A	22.50	0.96	0.00	0.96	75.0	0.72
	ACCOUNT #: 00085993216	BUY 0 Units @60.1300						
04/16/2018	***-**-4639 - SCOONES,	THE BOND FUND OF AMERICA-A	90.75	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 00084481157	BUY 7 Units @13.0600						
04/16/2018	***-**-4848 - DOGGETT, AMY	THE GROWTH FUND OF AMERICA-A	170.00	4.68	0.00	4.68	75.0	3.51
	ACCOUNT #: 00081620466	BUY 3 Units @53.6500						
04/16/2018	***-**-3143 - HUMPF, JOHN	THE GROWTH FUND OF AMERICA-A	70.00	1.93	0.00	1.93	75.0	1.45
	ACCOUNT #: 00082277557	BUY 1 Units @53.6500						
04/16/2018	***-**-7598 - HUMPF, MINDI	THE GROWTH FUND OF AMERICA-A	133.00	3.66	0.00	3.66	75.0	2.75
	ACCOUNT #: 00082278912	BUY 2 Units @53.6500						
04/16/2018	***-**-9089 - REEDY, LISA	THE GROWTH FUND OF AMERICA-A	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00083100942	BUY 1 Units @53.6500						
04/16/2018	***-**-4639 - SCOONES,	THE GROWTH FUND OF AMERICA-A	93.50	2.57	0.00	2.57	75.0	1.93
	ACCOUNT #: 00084481157	BUY 2 Units @53.6500						
04/16/2018	***-**-408B - SNIZEK,	THE GROWTH FUND OF AMERICA-A	175.00	4.81	0.00	4.81	75.0	3.61
	ACCOUNT #: 00085154620	BUY 3 Units @53.6500						
04/16/2018	***-**-7598 - HUMPF, MINDI	THE GROWTH FUND OF AMERICA-A	25.00	0.69	0.00	0.69	75.0	0.52
	ACCOUNT #: 00085514851	BUY 0 Units @53.6500						
04/16/2018	***-**-1909 - BASHANT, MATTHEW	THE GROWTH FUND OF AMERICA-A	36.00	0.99	0.00	0.99	75.0	0.74
	ACCOUNT #: 00085839015	BUY 1 Units @53.6500						
04/16/2018	***-**-7598 - HUMPF, MINDI	THE INCOME FUND OF AMERICA-A	25.00	0.69	0.00	0.69	75.0	0.52
	ACCOUNT #: 00085514851	BUY 1 Units @23.8700						
04/16/2018	***-**-1909 - BASHANT, MATTHEW	THE INCOME FUND OF AMERICA-A	25.50	0.70	0.00	0.70	75.0	0.53
	ACCOUNT #: 00085839015	BUY 1 Units @23.8700						
04/16/2018	***-**-0939 - LAWRENCE, JASON	THE INCOME FUND OF AMERICA-A	60.00	3.00	0.00	3.00	75.0	2.25
	ACCOUNT #: 00087909097	BUY 2 Units @24.4400						
04/20/2018	***-**-4932 - BAKER, STEVEN	THE INCOME FUND OF AMERICA-A	150.00	4.13	0.00	4.13	75.0	3.10
	ACCOUNT #: 00086683340	BUY 6 Units @23.7300						
* MUTUAL FUNDS SUBTOTAL *			\$4,223.00	\$117.63	\$0.00	\$117.63		\$88.33



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
03/19/2018	***-**-9089 - REEDY, LISA	AXA RETIREMENT CORNERSTONE SERIES B BUY 1 Units @98520.0000	98,512.90	4,925.65	0.00	4,925.65	75.0	3,694.24
04/13/2018	***-**-5453 - O'HARA, DARLENE	AXA RETIREMENT CORNERSTONE SERIES B BUY 1 Units @73000.0000	72,267.57	3,613.38	0.00	3,613.38	75.0	2,710.04
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$170,780.47</b>	<b>\$8,539.03</b>	<b>\$0.00</b>	<b>\$8,539.03</b>		<b>\$6,404.28</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
04/30/2018	***-**-108X - FOREST, NSPS ACCOUNT #: LSR010522	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	75.0	0.63
04/30/2018	***-**-336J - GETCHELL, DIANNE ACCOUNT #: LSR011100	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.02	0.00	0.02	75.0	0.02
04/30/2018	***-**-336I - GETCHELL, FBO ACCOUNT #: LSR011101	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.03	0.00	0.03	75.0	0.02
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$0.89</b>	<b>\$0.00</b>	<b>\$0.89</b>		<b>\$0.67</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$175,003.47</b>	<b>\$8,657.55</b>	<b>\$0.00</b>	<b>\$8,657.55</b>		<b>\$6,493.28</b>

## **BROKER COMMISSION TOTALS**

Broker Transactions	\$6,493.28
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

<b>Net Commission Earned</b>	<b>\$6,493.28</b>
<b>Year-to-date Earnings</b>	<b>\$19,456.82</b>