



# COMMISSION STATEMENT

## May 21, 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>								
05/07/2018	***-**-0911 - SPAZIANI, ACCOUNT #: 00082570536	AMERICAN BALANCED FUND-A BUY 5 Units @28.1800	135.00	5.06	0.00	5.06	75.0	3.80
05/07/2018	***-**-0911 - SPAZIANI, ACCOUNT #: 00082570536	AMERICAN HIGH-INCOME TRUST-A BUY 8 Units @10.5700	80.00	2.40	0.00	2.40	75.0	1.80
05/15/2018	***-**-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
05/08/2018	***-**-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
05/08/2018	***-**-030J - MERRILL, ACCOUNT #: 03009145719	CAPITAL INCOME A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	75.0	1.41
05/15/2018	***-**-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
05/08/2018	***-**-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
05/15/2018	***-**-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
05/07/2018	***-**-0911 - SPAZIANI, ACCOUNT #: 00082570536	FUNDAMENTAL INVESTORS-A BUY 2 Units @65.4200	135.00	5.06	0.00	5.06	75.0	3.80
05/08/2018	***-**-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
05/15/2018	***-**-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
05/15/2018	***-**-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
05/08/2018	***-**-030J - MERRILL, ACCOUNT #: 01951261139	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	12.50	0.38	0.00	0.38	75.0	0.29
05/15/2018	***-**-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
05/15/2018	***-**-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
05/15/2018	***-**-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



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
05/08/2018	***-**-4932 - BAKER, STEVEN	OPPENHEIMER STRATEGIC INCOME FD CL	262.50	10.50	0.00	10.50	75.0	7.88
	ACCOUNT #: 02306510122	BUY 0 Units @0.0000						
05/15/2018	***-**-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						
05/08/2018	***-**-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						
05/15/2018	***-**-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						
05/15/2018	***-**-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						
05/08/2018	***-**-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						
05/15/2018	***-**-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						
05/07/2018	***-**-0911 - SPAZIANI,	THE GROWTH FUND OF AMERICA-A	55.00	2.06	0.00	2.06	75.0	1.55
	ACCOUNT #: 00082570536	BUY 1 Units @54.8700						
05/07/2018	***-**-0911 - SPAZIANI,	THE INCOME FUND OF AMERICA-A	135.00	5.06	0.00	5.06	75.0	3.80
	ACCOUNT #: 00082570536	BUY 6 Units @23.8500						
* MUTUAL FUNDS SUBTOTAL *			<b>\$2,690.00</b>	<b>\$100.44</b>	<b>\$0.00</b>	<b>\$100.44</b>		<b>\$75.37</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>								
05/16/2018	***-**-989I - WOODCOCK,	AXA RETIREMENT CORNERSTONE SERIES B	175,274.26	8,763.71	0.00	8,763.71	75.0	6,572.78
		BUY 1 Units @175274.260						
* VARIABLE ANNUITIES SUBTOTAL *			<b>\$175,274.26</b>	<b>\$8,763.71</b>	<b>\$0.00</b>	<b>\$8,763.71</b>		<b>\$6,572.78</b>
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
05/21/2018	***-**-108X - FOREST, NSPS	AMCAP FUND-A	0.00	0.31	0.00	0.31	75.0	0.23
	ACCOUNT #: LSR010522	BUY 1 Units @0.0000						
05/21/2018	***-**-78IO - DONOVAN, FBO	AMERICAN BALANCED FUND-A	0.00	0.67	0.00	0.67	75.0	0.50
	ACCOUNT #: LSR010557	BUY 1 Units @0.0000						
05/21/2018	***-**-190X - HULL, JENNIFER	AMERICAN BALANCED FUND-A	0.00	0.23	0.00	0.23	75.0	0.17
	ACCOUNT #: LSR010646	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
05/21/2018	***-**-09IO - CAREY, FBO	AMERICAN BALANCED FUND-A	0.00	5.21	0.00	5.21	75.0	3.91
	ACCOUNT #: LSR011076	BUY 1 Units @0.0000						
05/21/2018	***-**-108X - FOREST, NSPS	AMERICAN BALANCED FUND-A	0.00	1.63	0.00	1.63	75.0	1.22
	ACCOUNT #: LSR010522	BUY 1 Units @0.0000						
05/21/2018	***-**-653X - WERNER, FBO EVAN	AMERICAN BALANCED FUND-A	0.00	1.41	0.00	1.41	75.0	1.06
	ACCOUNT #: LSR010638	BUY 1 Units @0.0000						
05/21/2018	***-**-641X - BULLARO, FBO	AMERICAN BALANCED FUND-A	0.00	0.72	0.00	0.72	75.0	0.54
	ACCOUNT #: LSR010641	BUY 1 Units @0.0000						
05/21/2018	***-**-435X - KEITH, FBO	AMERICAN BALANCED FUND-A	0.00	0.72	0.00	0.72	75.0	0.54
	ACCOUNT #: LSR010643	BUY 1 Units @0.0000						
05/21/2018	***-**-721X - VAILLANCOURT,	AMERICAN BALANCED FUND-A	0.00	0.22	0.00	0.22	75.0	0.17
	ACCOUNT #: LSR010644	BUY 1 Units @0.0000						
05/21/2018	***-**-008X - HICKS, FBO	AMERICAN BALANCED FUND-A	0.00	1.06	0.00	1.06	75.0	0.80
	ACCOUNT #: LSR010645	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - WERNER, EVAN	AMERICAN BALANCED FUND-A	0.00	2.43	0.00	2.43	75.0	1.82
	ACCOUNT #: LSR010661	BUY 1 Units @0.0000						
05/21/2018	***-**-05IR - DAVIS, STEPHEN	AMERICAN BALANCED FUND-A	0.00	1.81	0.00	1.81	75.0	1.36
	ACCOUNT #: LSR010693	BUY 1 Units @0.0000						
05/21/2018	***-**-722I - SCOONES, FBO	AMERICAN BALANCED FUND-A	0.00	6.25	0.00	6.25	75.0	4.69
	ACCOUNT #: LSR010722	BUY 1 Units @0.0000						
05/21/2018	***-**-7767 - DONOVAN, WILLIAM	AMERICAN BALANCED FUND-A	0.00	2.66	0.00	2.66	75.0	2.00
	ACCOUNT #: LSR012405	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - CAREY, FBO	AMERICAN FUNDS 2035 TARGET DATE-A	0.00	5.03	0.00	5.03	75.0	3.77
	ACCOUNT #: LSR011076	BUY 1 Units @0.0000						
05/21/2018	***-**-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						
05/21/2018	***-**-595X - WERNER, FBO	AMERICAN HIGH-INCOME TRUST-A	0.00	0.65	0.00	0.65	75.0	0.49
	ACCOUNT #: LSR010640	BUY 1 Units @0.0000						
05/21/2018	***-**-595I - WERNER, GWENN	AMERICAN HIGH-INCOME TRUST-A	0.00	2.55	0.00	2.55	75.0	1.91
	ACCOUNT #: LSR010658	BUY 1 Units @0.0000						
05/21/2018	***-**-722I - SCOONES, FBO	AMERICAN HIGH-INCOME TRUST-A	0.00	4.66	0.00	4.66	75.0	3.50
	ACCOUNT #: LSR010722	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
05/21/2018	***-**-336J - GETCHELL, DIANNE	AMERICAN HIGH-INCOME TRUST-A	0.00	0.01	0.00	0.01	75.0	0.01
	ACCOUNT #: LSR011100	BUY 1 Units @0.0000						
05/21/2018	***-**-336I - GETCHELL, FBO	AMERICAN HIGH-INCOME TRUST-A	0.00	0.29	0.00	0.29	75.0	0.22
	ACCOUNT #: LSR011101	BUY 1 Units @0.0000						
05/21/2018	***-**-7767 - DONOVAN, WILLIAM	AMERICAN HIGH-INCOME TRUST-A	0.00	2.72	0.00	2.72	75.0	2.04
	ACCOUNT #: LSR012405	BUY 1 Units @0.0000						
05/21/2018	***-**-336J - GETCHELL, DIANNE	AMERICAN TAX EXEMPT OF NEW YORK CL	0.00	0.01	0.00	0.01	75.0	0.01
	ACCOUNT #: LSR011100	BUY 1 Units @0.0000						
05/21/2018	***-**-595I - WERNER, GWENN	CAPITAL INCOME BUILDER-A	0.00	2.55	0.00	2.55	75.0	1.91
	ACCOUNT #: LSR010658	BUY 1 Units @0.0000						
05/21/2018	***-**-7767 - DONOVAN, WILLIAM	CAPITAL INCOME BUILDER-A	0.00	1.98	0.00	1.98	75.0	1.49
	ACCOUNT #: LSR012405	BUY 1 Units @0.0000						
05/21/2018	***-**-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						
05/21/2018	***-**-108X - FOREST, NSPS	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.17	0.00	1.17	75.0	0.88
	ACCOUNT #: LSR010522	BUY 1 Units @0.0000						
05/21/2018	***-**-653X - WERNER, FBO EVAN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.23	0.00	1.23	75.0	0.92
	ACCOUNT #: LSR010638	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - WERNER, EVAN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.83	0.00	1.83	75.0	1.37
	ACCOUNT #: LSR010661	BUY 1 Units @0.0000						
05/21/2018	***-**-722I - SCOONES, FBO	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.61	0.00	3.61	75.0	2.71
	ACCOUNT #: LSR010722	BUY 1 Units @0.0000						
05/21/2018	***-**-7767 - DONOVAN, WILLIAM	EUROPACIFIC GROWTH FUND-A	0.00	1.35	0.00	1.35	75.0	1.01
	ACCOUNT #: LSR012405	BUY 1 Units @0.0000						
05/21/2018	***-**-595X - WERNER, FBO	FUNDAMENTAL INVESTORS-A	0.00	1.41	0.00	1.41	75.0	1.06
	ACCOUNT #: LSR010640	BUY 1 Units @0.0000						
05/21/2018	***-**-595I - WERNER, GWENN	FUNDAMENTAL INVESTORS-A	0.00	3.17	0.00	3.17	75.0	2.38
	ACCOUNT #: LSR010658	BUY 1 Units @0.0000						
05/21/2018	***-**-108X - FOREST, NSPS	THE BOND FUND OF AMERICA-A	0.00	0.69	0.00	0.69	75.0	0.52
	ACCOUNT #: LSR010522	BUY 1 Units @0.0000						
05/21/2018	***-**-722I - SCOONES, FBO	THE BOND FUND OF AMERICA-A	0.00	2.13	0.00	2.13	75.0	1.60
	ACCOUNT #: LSR010722	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
05/21/2018	***-**-09IO - CAREY, FBO	THE GROWTH FUND OF AMERICA-A	0.00	6.04	0.00	6.04	75.0	4.53
	ACCOUNT #: LSR011076	BUY 1 Units @0.0000						
05/21/2018	***-**-653X - WERNER, FBO EVAN	THE GROWTH FUND OF AMERICA-A	0.00	1.45	0.00	1.45	75.0	1.09
	ACCOUNT #: LSR010638	BUY 1 Units @0.0000						
05/21/2018	***-**-595I - WERNER, GWENN	THE GROWTH FUND OF AMERICA-A	0.00	3.25	0.00	3.25	75.0	2.44
	ACCOUNT #: LSR010658	BUY 1 Units @0.0000						
05/21/2018	***-**-722I - SCOONES, FBO	THE GROWTH FUND OF AMERICA-A	0.00	5.42	0.00	5.42	75.0	4.07
	ACCOUNT #: LSR010722	BUY 1 Units @0.0000						
05/21/2018	***-**-149X - PTAK, MATTHEW	THE GROWTH FUND OF AMERICA-A	0.00	0.13	0.00	0.13	75.0	0.10
	ACCOUNT #: LSR011220	BUY 1 Units @0.0000						
05/21/2018	***-**-7767 - DONOVAN, WILLIAM	THE GROWTH FUND OF AMERICA-A	0.00	2.01	0.00	2.01	75.0	1.51
	ACCOUNT #: LSR012405	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - CAREY, FBO	THE INCOME FUND OF AMERICA-A	0.00	5.13	0.00	5.13	75.0	3.85
	ACCOUNT #: LSR011076	BUY 1 Units @0.0000						
05/21/2018	***-**-108X - FOREST, NSPS	THE INCOME FUND OF AMERICA-A	0.00	1.78	0.00	1.78	75.0	1.34
	ACCOUNT #: LSR010522	BUY 1 Units @0.0000						
05/21/2018	***-**-595X - WERNER, FBO	THE INCOME FUND OF AMERICA-A	0.00	1.42	0.00	1.42	75.0	1.07
	ACCOUNT #: LSR010640	BUY 1 Units @0.0000						
05/21/2018	***-**-595I - WERNER, GWENN	THE INCOME FUND OF AMERICA-A	0.00	2.71	0.00	2.71	75.0	2.03
	ACCOUNT #: LSR010658	BUY 1 Units @0.0000						
05/21/2018	***-**-7767 - DONOVAN, WILLIAM	THE INCOME FUND OF AMERICA-A	0.00	2.65	0.00	2.65	75.0	1.99
	ACCOUNT #: LSR012405	BUY 1 Units @0.0000						
05/21/2018	***-**-336I - GETCHELL, FBO	THE INVESTMENT COMPANY OF AMERICA-A	0.00	0.33	0.00	0.33	75.0	0.25
	ACCOUNT #: LSR011101	BUY 1 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$95.40</b>	<b>\$0.00</b>	<b>\$95.40</b>		<b>\$71.62</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$177,964.26</b>	<b>\$8,959.55</b>	<b>\$0.00</b>	<b>\$8,959.55</b>		<b>\$6,719.77</b>



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			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$6,719.77
						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		\$6,719.77
						Year-to-date Earnings		\$27,366.32