



COMMISSION STATEMENT

January 22, 2018

RICK SOWERS

BROKER #: STPBR

BRANCH #01002 - 02 - SOWERS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: CHRISTOPHER MILGROOM</u>								
01/05/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07468200598	MID CAP GROWTH - R2 BUY 0 Units @0.0000	0.00	1.56	0.00	1.56	15.0	0.23
01/05/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07468200633	MID CAP GROWTH - R2 BUY 0 Units @0.0000	0.00	5.90	0.00	5.90	15.0	0.89
01/05/2018	***-**-2111 - SPECTRUM TOURS ACCOUNT #: 07468201048	MID CAP GROWTH - R2 BUY 0 Units @0.0000	0.00	0.04	0.00	0.04	15.0	0.01
01/08/2018	***-**-67CL - MILGROOM, ACCOUNT #: 04892189304	AB GLOBAL BOND R BUY 0 Units @0.0000	0.00	2.56	0.00	2.56	15.0	0.38
01/08/2018	***-**-67CL - MILGROOM, ACCOUNT #: 04892189311	AB GLOBAL BOND R BUY 0 Units @0.0000	0.00	1.38	0.00	1.38	15.0	0.21
01/01/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07122775310	AIM GLOBAL REAL ESTATE FUND - CLASS BUY 0 Units @0.0000	0.00	33.71	0.00	33.71	15.0	5.06
12/29/2017	***-**-6647 - CABLE, ROBERT ACCOUNT #: 07122874988	AIM SELECT REAL ESTATE INCOME FD-CL BUY 183 Units @9.1100	1,666.80	16.67	0.00	16.67	15.0	2.50
01/01/2018	***-**-6647 - CABLE, ROBERT ACCOUNT #: 07122874988	AIM SELECT REAL ESTATE INCOME FD-CL BUY 0 Units @0.0000	0.00	33.23	0.00	33.23	15.0	4.98
01/01/2018	***-**-6647 - CABLE, ROBERT ACCOUNT #: 07122877590	AIM SELECT REAL ESTATE INCOME FD-CL BUY 0 Units @0.0000	0.00	6.12	0.00	6.12	15.0	0.92
01/10/2018	***-**-1584 - CAMPBELL, COLIN ACCOUNT #: 00929501828	CALVERT LONG-TERM INCOME FUND BUY 0 Units @0.0000	0.00	0.18	0.00	0.18	15.0	0.03
01/04/2018	***-**-84IN - CAMPBELL, COLIN ACCOUNT #: 00456000642	CAPITAL APPRECIATION INST - CLASS R BUY 0 Units @0.0000	0.00	0.27	0.00	0.27	15.0	0.04
01/16/2018	***-**-2461 - CAMPBELL, HOPE ACCOUNT #: 00085796879	CAPITAL WORLD GROWTH AND INCOME-529 BUY 1 Units @54.8400	75.00	2.06	0.00	2.06	15.0	0.31
01/22/2018	***-**-844P - COLIN CAMPBELL ACCOUNT #: 5045816922	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	0.23	0.00	0.23	15.0	0.03
01/16/2018	***-**-2461 - CAMPBELL, HOPE ACCOUNT #: 00085796879	EUROPACIFIC GROWTH FUND-529A BUY 1 Units @59.9700	75.00	2.06	0.00	2.06	15.0	0.31
01/16/2018	***-**-2461 - CAMPBELL, HOPE ACCOUNT #: 00085796879	FUNDAMENTAL INVESTORS-529A BUY 1 Units @67.0700	75.00	2.06	0.00	2.06	15.0	0.31
01/13/2018	***-**-4209 - DEBS, KEVIN ACCOUNT #: R081292-ZS	ING ADVANTAGE SELECT BUY 0 Units @0.0000	0.00	13.86	0.00	13.86	15.0	2.08



COMMISSION STATEMENT

January 22, 2018

RICK SOWERS

BROKER #: STPBR

BRANCH #01002 - 02 - SOWERS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CHRISTOPHER MILGROOM (continued)</u>								
01/16/2018	***-**-67CL - MILGROOM, ACCOUNT #: R074824-ZS	ING ADVANTAGE SELECT BUY 0 Units @0.0000	0.00	13.05	0.00	13.05	15.0	1.96
01/16/2018	***-**-3178 - IONESCU, MIHAELA ACCOUNT #: R081736-ZS	ING ADVANTAGE SELECT BUY 0 Units @0.0000	0.00	4.12	0.00	4.12	15.0	0.62
12/29/2017	***-**-67CL - MILGROOM, ACCOUNT #: 07123000641	INVESCO GLOBAL REAL ESTATE FUND -CL BUY 4 Units @13.5100	52.50	0.39	0.00	0.39	15.0	0.06
01/01/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07123000494	INVESCO GLOBAL REAL ESTATE FUND -CL BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	15.0	0.15
01/01/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07123000641	INVESCO GLOBAL REAL ESTATE FUND -CL BUY 0 Units @0.0000	0.00	0.34	0.00	0.34	15.0	0.05
01/02/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07123000351	INVESCO GLOBAL REAL ESTATE FUND -CL BUY 4 Units @13.5800	57.24	0.43	0.00	0.43	15.0	0.06
01/03/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07123000494	INVESCO GLOBAL REAL ESTATE FUND -CL BUY 12 Units @13.6000	160.89	1.21	0.00	1.21	15.0	0.18
01/22/2018	***-**-67CL - MILGROOM,	JANUS MF TRAILS BUY 0 Units @0.0000	0.00	42.19	0.00	42.19	15.0	6.33
01/01/2018	***-**-67CL - MILGROOM, ACCOUNT #: 00090008712	MFS MID CAP VALUE FUND-R3 BUY 0 Units @0.0000	0.00	4.46	0.00	4.46	15.0	0.67
01/01/2018	***-**-67CL - MILGROOM, ACCOUNT #: 00090009135	MFS MID CAP VALUE FUND-R3 BUY 0 Units @0.0000	0.00	26.98	0.00	26.98	15.0	4.05
01/01/2018	***-**-0720 - COCKTAILS DREAMS ACCOUNT #: 00090010010	MFS MID CAP VALUE FUND-R3 BUY 0 Units @0.0000	0.00	0.06	0.00	0.06	15.0	0.01
01/01/2018	***-**-67CL - MILGROOM, ACCOUNT #: 00090000070	MFS NEW DISCOVERY VALUE FUND CL C BUY 0 Units @0.0000	0.00	5.42	0.00	5.42	15.0	0.81
01/01/2018	***-**-67CL - MILGROOM, ACCOUNT #: 00090003553	MFS VALUE FUND-R2 BUY 0 Units @0.0000	0.00	6.48	0.00	6.48	15.0	0.97
01/01/2018	***-**-67CL - MILGROOM, ACCOUNT #: 00090003620	MFS VALUE FUND-R2 BUY 0 Units @0.0000	0.00	34.23	0.00	34.23	15.0	5.13
01/01/2018	***-**-0720 - COCKTAILS DREAMS ACCOUNT #: 00090004144	MFS VALUE FUND-R2 BUY 0 Units @0.0000	0.00	0.10	0.00	0.10	15.0	0.02
01/22/2018	***-**-67CL - MILGROOM,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	70.95	0.00	70.95	15.0	10.64



COMMISSION STATEMENT

January 22, 2018

RICK SOWERS

BROKER #: STPBR

BRANCH #01002 - 02 - SOWERS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: CHRISTOPHER MILGROOM (continued) 								
01/02/2018	***-**-57IE - NIELSEN, GERT	PUTNAM ASSET ALLOC GROWTH-A	0.00	0.81	0.00	0.81	15.0	0.12
	ACCOUNT #: 00287535582	BUY 0 Units @0.0000						
01/02/2018	***-**-32IE - NIELSEN, GERT	PUTNAM ASSET ALLOC GROWTH-A	0.00	0.81	0.00	0.81	15.0	0.12
	ACCOUNT #: 00287599362	BUY 0 Units @0.0000						
01/02/2018	***-**-57IE - NIELSEN, GERT	PUTNAM EQUITY INCOME FUND-A	0.00	0.75	0.00	0.75	15.0	0.11
	ACCOUNT #: 00287535582	BUY 0 Units @0.0000						
01/02/2018	***-**-32IE - NIELSEN, GERT	PUTNAM EQUITY INCOME FUND-A	0.00	0.75	0.00	0.75	15.0	0.11
	ACCOUNT #: 00287599362	BUY 0 Units @0.0000						
01/02/2018	***-**-948I - JOHNSON,	PUTNAM INVESTORS FUND-A	0.00	2.87	0.00	2.87	15.0	0.43
	ACCOUNT #: 00370423037	BUY 0 Units @0.0000						
01/02/2018	***-**-948I - JOHNSON,	PUTNAM INVESTORS FUND-A	0.00	0.87	0.00	0.87	15.0	0.13
	ACCOUNT #: 00551324878	BUY 0 Units @0.0000						
01/02/2018	***-**-525P - LOYOLA, GILBERTO	PUTNAM INVESTORS FUND-A	0.00	0.27	0.00	0.27	15.0	0.04
	ACCOUNT #: 00282475603	BUY 0 Units @0.0000						
01/02/2018	***-**-203I - VERBURG, JOHN	PUTNAM INVESTORS FUND-A	0.00	13.78	0.00	13.78	15.0	2.07
	ACCOUNT #: 00313014737	BUY 0 Units @0.0000						
01/02/2018	***-**-12IR - JONGAKIEM,	PUTNAM INVESTORS FUND-A	0.00	1.63	0.00	1.63	15.0	0.24
	ACCOUNT #: 00314170955	BUY 0 Units @0.0000						
01/02/2018	***-**-203I - VERBURG, JOHN	PUTNAM INVESTORS FUND-A	0.00	2.76	0.00	2.76	15.0	0.41
	ACCOUNT #: 00550314209	BUY 0 Units @0.0000						
01/05/2018	***-**-67CL - MILGROOM,	SMALL CAP VALUE FUND - R2	0.00	1.86	0.00	1.86	15.0	0.28
	ACCOUNT #: 07418403711	BUY 0 Units @0.0000						
01/05/2018	***-**-67CL - MILGROOM,	SMALL CAP VALUE FUND - R2	0.00	0.71	0.00	0.71	15.0	0.11
	ACCOUNT #: 07418403731	BUY 0 Units @0.0000						
01/16/2018	***-**-246I - CAMPBELL, HOPE	THE GROWTH FUND OF AMERICA-529A	75.00	2.06	0.00	2.06	15.0	0.31
	ACCOUNT #: 00085796879	BUY 1 Units @53.2600						
01/03/2018	***-**-67CL - MILGROOM,	TRANSAMERICA SMALL/MID CAP VALUE-C	0.00	14.27	0.00	14.27	15.0	2.14
	ACCOUNT #: 07748008823	BUY 0 Units @0.0000						
01/03/2018	***-**-67CL - MILGROOM,	TRANSAMERICA SMALL/MID CAP VALUE-C	0.00	19.11	0.00	19.11	15.0	2.87
	ACCOUNT #: 07748008142	BUY 0 Units @0.0000						
* CHRISTOPHER MILGROOM SUBTOTAL *			\$2,237.43	\$396.63	\$0.00	\$396.63		\$59.49
*** OVERRIDE TRANSACTIONS TOTAL ***			\$2,237.43	\$396.63	\$0.00	\$396.63		\$59.49



COMMISSION STATEMENT

January 22, 2018

RICK SOWERS

BROKER #: STPBR

BRANCH #01002 - 02 - SOWERS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
------	--------	------------	----------------------	---------------------	--------------------	-------------------	------	----------------------

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$0.00
Override Transactions	\$59.49
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	\$59.49
Year-to-date Earnings	\$615.53