



COMMISSION STATEMENT

April 16, 2018

RICHARD BIRNS
6800 Jericho Turnpike
Suite # 200AW
Syosset, NY 11791

BROKER #: 31
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>								
04/02/2018	***-**-48IN - BABCOCK, ROBERT	FRANKLIN INCOME FUND CLASS C	291.46	2.91	0.00	2.91	75.0	2.18
	ACCOUNT #: 000000006719583	BUY 128 Units @2.2800						
		* MUTUAL FUNDS SUBTOTAL *	\$291.46	\$2.91	\$0.00	\$2.91		\$2.18
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
04/09/2018	***-**-2276 - SIMANOFF, FRED	JACKSON NATIONAL PERSPECTIVE II NY	5,000.00	350.00	0.00	350.00	75.0	262.50
	ACCOUNT #: 1201274291	BUY 0 Units @0.0000						
04/09/2018	***-**-5790 - SIMANOFF,	JACKSON NATIONAL PERSPECTIVE II NY	5,000.00	350.00	0.00	350.00	75.0	262.50
	ACCOUNT #: 1201274364	BUY 0 Units @0.0000						
04/09/2018	***-**-5434 - JONES, THOMAS	LINCOLN 008148728	1,278.00	25.56	0.00	25.56	75.0	19.17
	ACCOUNT #: F1518903	BUY 0 Units @0.0000						
		* VARIABLE ANNUITIES SUBTOTAL *	\$11,278.00	\$725.56	\$0.00	\$725.56		\$544.17
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/01/2018	***-**-593I - LA, QUYEN	AIM CHARTER FUND - CLASS A	0.00	0.97	0.00	0.97	75.0	0.73
	ACCOUNT #: 03911712804	BUY 0 Units @0.0000						
04/01/2018	***-**-098P - TOKAR, STEPHANIE	AIM CHARTER FUND - CLASS A	0.00	4.34	0.00	4.34	75.0	3.26
	ACCOUNT #: 04027919598	BUY 0 Units @0.0000						
04/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHARTER FUND - CLASS A	0.00	16.01	0.00	16.01	75.0	12.01
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
04/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHINA FUND - CLASS A	0.00	13.93	0.00	13.93	75.0	10.45
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
04/01/2018	***-**-712I - BIRNS, BONNIE	AIM GLOBAL AGGRESSIVE GROWTH FUND C	0.00	13.84	0.00	13.84	75.0	10.38
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
04/01/2018	***-**-593I - LA, QUYEN	AIM GLOBAL GROWTH FUND - CLASS A	0.00	0.45	0.00	0.45	75.0	0.34
	ACCOUNT #: 03911712804	BUY 0 Units @0.0000						
04/01/2018	***-**-712I - BIRNS, BONNIE	AIM UTILITIES FUND - CLASS A	0.00	17.07	0.00	17.07	75.0	12.80
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
04/09/2018	***-**-37UG - REID, JORDAN M	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	0.74	0.00	0.74	75.0	0.56
	ACCOUNT #: 04718913697	BUY 0 Units @0.0000						
04/09/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	17.58	0.00	17.58	75.0	13.19
	ACCOUNT #: 05000189227	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/09/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCEBERNSTEIN GROWTH A	0.00	22.44	0.00	22.44	75.0	16.83
	ACCOUNT #: 03310152452	BUY 0 Units @0.0000						
03/31/2018	***-**-68IN - BIRNS, RICHARD	AMT-FREE NEW YORK MUNICIPALS A	0.00	8.75	0.00	8.75	75.0	6.56
	ACCOUNT #: 03600811899	BUY 0 Units @0.0000						
04/03/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	0.00	1.76	0.00	1.76	75.0	1.32
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
04/03/2018	***-**-68IN - BIRNS, RICHARD	HARTFORD CAPITAL APPRECIATION FUND	0.00	15.51	0.00	15.51	75.0	11.63
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
04/01/2018	***-**-593I - LA, QUYEN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	0.28	0.00	0.28	75.0	0.21
	ACCOUNT #: 03911712804	BUY 0 Units @0.0000						
04/01/2018	***-**-712I - BIRNS, BONNIE	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	16.89	0.00	16.89	75.0	12.67
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
04/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM GLOBAL EQUITY FUND CLASS A	0.00	1.68	0.00	1.68	75.0	1.26
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
04/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	6.58	0.00	6.58	75.0	4.94
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
04/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM INTERNATIONAL EQUITY-A	0.00	0.75	0.00	0.75	75.0	0.56
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
04/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM INTL NEW OPPORT-A	0.00	4.07	0.00	4.07	75.0	3.05
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
04/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	6.58	0.00	6.58	75.0	4.94
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
03/31/2018	***-**-7325 - BIRNS, EDWIN	ROCHESTER FUND MUNICIPALS A	0.00	44.62	0.00	44.62	75.0	33.47
	ACCOUNT #: 03653529251	BUY 0 Units @0.0000						
04/03/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.26	0.00	1.26	75.0	0.95
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
04/03/2018	***-**-447P - BIRNS, PHYLLIS	THE HARTFORD CAPITAL APPRECIATION F	0.00	2.70	0.00	2.70	75.0	2.03
	ACCOUNT #: 00000700389	BUY 0 Units @0.0000						
04/03/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD CAPITAL APPRECIATION F	0.00	22.09	0.00	22.09	75.0	16.57
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
04/03/2018	***-**-85IN - SEAMAN,	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.44	0.00	1.44	75.0	1.08
	ACCOUNT #: 00022087686	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/03/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	9.39	0.00	9.39	75.0	7.04
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
04/03/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F	0.00	2.79	0.00	2.79	75.0	2.09
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
04/03/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND	0.00	1.20	0.00	1.20	75.0	0.90
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
04/03/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD INTL OPPORTUNITIES FD-	0.00	13.64	0.00	13.64	75.0	10.23
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
04/03/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD MID CAP FUND-A	0.00	22.19	0.00	22.19	75.0	16.64
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
04/03/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	0.00	2.58	0.00	2.58	75.0	1.94
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$294.12	\$0.00	\$294.12		\$220.63
*** BROKER TRANSACTIONS TOTAL ***			\$11,569.46	\$1,022.59	\$0.00	\$1,022.59		\$766.98

BROKER COMMISSION TOTALS

Broker Transactions	\$766.98
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	\$766.98
Year-to-date Earnings	\$5,226.62