



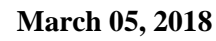
COMMISSION STATEMENT

March 05, 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>								
02/12/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	259.20	5.18	0.00	5.18	75.0	3.89
	ACCOUNT #: 00000647924	BUY 14 Units @19.1000						
02/12/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	259.20	5.18	0.00	5.18	75.0	3.89
	ACCOUNT #: 00000647924	BUY 14 Units @19.1000						
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F	259.20	5.18	0.00	5.18	75.0	3.89
	ACCOUNT #: 00000647924	BUY 7 Units @38.5500						
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F	259.20	5.18	0.00	5.18	75.0	3.89
	ACCOUNT #: 00000647924	BUY 7 Units @38.5500						
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F	259.20	5.18	0.00	5.18	75.0	3.89
	ACCOUNT #: 00000647924	BUY 6 Units @44.6600						
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F	259.20	5.18	0.00	5.18	75.0	3.89
	ACCOUNT #: 00000647924	BUY 6 Units @44.6600						
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND	259.20	5.18	0.00	5.18	75.0	3.89
	ACCOUNT #: 00000647924	BUY 16 Units @15.8100						
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND	259.20	5.18	0.00	5.18	75.0	3.89
	ACCOUNT #: 00000647924	BUY 16 Units @15.8100						
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	259.20	5.18	0.00	5.18	75.0	3.89
	ACCOUNT #: 00000647924	BUY 5 Units @56.6500						
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	259.20	5.18	0.00	5.18	75.0	3.89
	ACCOUNT #: 00000647924	BUY 5 Units @56.6500						
* MUTUAL FUNDS SUBTOTAL *			\$2,592.00	\$51.80	\$0.00	\$51.80		\$38.90
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
02/28/2018	***-**-1071 - GERAKARIS,	JOHN HANCOCK 41014C143	0.00	1.88	0.00	1.88	75.0	1.41
	ACCOUNT #: 2419387	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$1.88	\$0.00	\$1.88		\$1.41
*** BROKER TRANSACTIONS TOTAL ***			\$2,592.00	\$53.68	\$0.00	\$53.68		\$40.31



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BRANCH #01016 - 16 - CASPER

				INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div>BROKER COMMISSION TOTALS</div>									
							Broker Transactions		\$40.31
							Split Transactions		\$0.00
							Override Transactions		\$0.00
							Adjustments		\$0.00
							Payroll Draw		\$0.00
							Base Salary		\$0.00
							Prior Period Balance		\$72.71
							FINRA Assessment		\$0.00
							SIPC Assessment		\$0.00
							Net Commission Earned		\$113.02
							Year-to-date Earnings		\$3,070.24