



COMMISSION STATEMENT

January 15, 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>								
01/03/2018	***-**-7264 - HOLLANDER, SHANE	AMERICAN MUTUAL FUND-529A	825.00	16.50	0.00	16.50	15.0	2.48
	ACCOUNT #: 00081895798	BUY 20 Units @42.1600						
01/03/2018	***-**-7264 - HOLLANDER, SHANE	AMERICAN MUTUAL FUND-529A	825.00	16.50	0.00	16.50	15.0	2.48
	ACCOUNT #: 00081895839	BUY 20 Units @42.1600						
01/03/2018	***-**-7264 - HOLLANDER, SHANE	AMERICAN MUTUAL FUND-529A	825.00	16.50	0.00	16.50	15.0	2.48
	ACCOUNT #: 00085243860	BUY 20 Units @42.1600						
01/03/2018	***-**-129I - HOLLANDER,	AMERICAN MUTUAL FUND-A	1,815.00	36.30	0.00	36.30	15.0	5.45
	ACCOUNT #: 00075689213	BUY 43 Units @42.2700						
01/03/2018	***-**-264I - HOLLANDER, TED	AMERICAN MUTUAL FUND-A	1,815.00	36.30	0.00	36.30	15.0	5.45
	ACCOUNT #: 00075689223	BUY 43 Units @42.2700						
12/31/2017	***-**-1427 - MERCIE, TIFFANY	CAPITAL APPRECIATION A	0.00	5.78	0.00	5.78	15.0	0.87
	ACCOUNT #: 03207265852	BUY 0 Units @0.0000						
12/31/2017	***-**-335P - BARBIC, TARA	CAPITAL APPRECIATION A	0.00	12.41	0.00	12.41	15.0	1.86
	ACCOUNT #: 03207695028	BUY 0 Units @0.0000						
12/31/2017	***-**-295P - AMEIJERAS, OMAR	CAPITAL APPRECIATION A	0.00	1.38	0.00	1.38	15.0	0.21
	ACCOUNT #: 03207759763	BUY 0 Units @0.0000						
01/03/2018	***-**-129I - HOLLANDER,	CAPITAL WORLD GROWTH AND INCOME FUN	1,870.00	37.40	0.00	37.40	15.0	5.61
	ACCOUNT #: 00075689213	BUY 35 Units @53.2700						
01/03/2018	***-**-264I - HOLLANDER, TED	CAPITAL WORLD GROWTH AND INCOME FUN	1,870.00	37.40	0.00	37.40	15.0	5.61
	ACCOUNT #: 00075689223	BUY 35 Units @53.2700						
01/02/2018	***-**-246I - CAMPBELL, HOPE	CAPITAL WORLD GROWTH AND INCOME-529	100.00	2.75	0.00	2.75	15.0	0.41
	ACCOUNT #: 00085796907	BUY 2 Units @53.3800						
01/03/2018	***-**-7264 - HOLLANDER, SHANE	CAPITAL WORLD GROWTH AND INCOME-529	850.00	17.00	0.00	17.00	15.0	2.55
	ACCOUNT #: 00081895798	BUY 16 Units @53.1000						
01/03/2018	***-**-7264 - HOLLANDER, SHANE	CAPITAL WORLD GROWTH AND INCOME-529	850.00	17.00	0.00	17.00	15.0	2.55
	ACCOUNT #: 00081895839	BUY 16 Units @53.1000						
01/03/2018	***-**-7264 - HOLLANDER, SHANE	CAPITAL WORLD GROWTH AND INCOME-529	850.00	17.00	0.00	17.00	15.0	2.55
	ACCOUNT #: 00085243860	BUY 16 Units @53.1000						
12/31/2017	***-**-07IN - DEBS, ARLENE	DEVELOPING MARKETS FUND N	0.00	23.32	0.00	23.32	15.0	3.50
	ACCOUNT #: 07890050677	BUY 0 Units @0.0000						
12/31/2017	***-**-07IN - DEBS, ARLENE	DEVELOPING MARKETS FUND N	0.00	44.21	0.00	44.21	15.0	6.63
	ACCOUNT #: 07890050677	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: CHRISTOPHER MILGROOM (continued)</u> 								
12/31/2017	***-**-59IN - DEBS, CARLOS	DEVELOPING MARKETS FUND N	0.00	28.15	0.00	28.15	15.0	4.22
	ACCOUNT #: 07890117106	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - DEBS, CARLOS	DEVELOPING MARKETS FUND N	0.00	49.76	0.00	49.76	15.0	7.46
	ACCOUNT #: 07890117106	BUY 0 Units @0.0000						
12/31/2017	***-**-729I - DIMON, DANIEL	EQUITY INCOME FUND, INC. A	0.00	0.10	0.00	0.10	15.0	0.02
	ACCOUNT #: 08351052898	BUY 0 Units @0.0000						
12/31/2017	***-**-829I - EGORT, MARC	EQUITY INCOME FUND, INC. A	0.00	14.07	0.00	14.07	15.0	2.11
	ACCOUNT #: 08351558117	BUY 0 Units @0.0000						
12/31/2017	***-**-3804 - LETOURNEAU,	EQUITY INCOME FUND, INC. A	0.00	2.85	0.00	2.85	15.0	0.43
	ACCOUNT #: 08352639846	BUY 0 Units @0.0000						
01/02/2018	***-**-2461 - CAMPBELL, HOPE	EUROPACIFIC GROWTH FUND-529A	100.00	2.75	0.00	2.75	15.0	0.41
	ACCOUNT #: 00085796907	BUY 2 Units @58.3300						
01/02/2018	***-**-2461 - CAMPBELL, HOPE	FUNDAMENTAL INVESTORS-529A	100.00	2.75	0.00	2.75	15.0	0.41
	ACCOUNT #: 00085796907	BUY 2 Units @65.0100						
12/31/2017	***-**-335P - BARBIC, TARA	GLOBAL FUND A	0.00	15.36	0.00	15.36	15.0	2.30
	ACCOUNT #: 03303170356	BUY 0 Units @0.0000						
12/31/2017	***-**-848I - HILLMAN, RICHARD	GLOBAL FUND A	0.00	2.16	0.00	2.16	15.0	0.32
	ACCOUNT #: 03303719641	BUY 0 Units @0.0000						
12/31/2017	***-**-97IR - CRAWFORD, JAMES	GLOBAL FUND A	0.00	2.56	0.00	2.56	15.0	0.38
	ACCOUNT #: 03305198767	BUY 0 Units @0.0000						
12/31/2017	***-**-3804 - LETOURNEAU,	GLOBAL OPPORTUNITIES A	0.00	4.02	0.00	4.02	15.0	0.60
	ACCOUNT #: 02156825863	BUY 0 Units @0.0000						
01/08/2018	***-**-4209 - DEBS, KEVIN	ING ADVANTAGE SELECT	4,500.00	45.00	0.00	45.00	15.0	6.75
	ACCOUNT #: R081292-ZS	BUY 0 Units @0.0000						
01/09/2018	***-**-4209 - DEBS, KEVIN	ING ADVANTAGE SELECT	1,000.00	10.00	0.00	10.00	15.0	1.50
	ACCOUNT #: R081292-ZS	BUY 0 Units @0.0000						
01/11/2018	***-**-67CL - MILGROOM,	ING ADVANTAGE SELECT	0.00	3.59	0.00	3.59	15.0	0.54
	ACCOUNT #: R096007-ZS	BUY 0 Units @0.0000						
01/11/2018	***-**-67CL - MILGROOM,	ING ADVANTAGE SELECT	0.00	5.89	0.00	5.89	15.0	0.88
	ACCOUNT #: R096023-ZS	BUY 0 Units @0.0000						
12/31/2017	***-**-97IR - CRAWFORD, JAMES	INTERNATIONAL BOND A	0.00	2.34	0.00	2.34	15.0	0.35
	ACCOUNT #: 08806519546	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: CHRISTOPHER MILGROOM (continued) </u>								
12/31/2017	***-**-07IN - DEBS, ARLENE	INTERNATIONAL BOND FUND N	0.00	17.27	0.00	17.27	15.0	2.59
	ACCOUNT #: 08790092598	BUY 0 Units @0.0000						
12/31/2017	***-**-07IN - DEBS, ARLENE	INTERNATIONAL BOND FUND N	0.00	42.77	0.00	42.77	15.0	6.42
	ACCOUNT #: 08790092598	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - DEBS, CARLOS	INTERNATIONAL BOND FUND N	0.00	22.65	0.00	22.65	15.0	3.40
	ACCOUNT #: 08790131087	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - DEBS, CARLOS	INTERNATIONAL BOND FUND N	0.00	49.79	0.00	49.79	15.0	7.47
	ACCOUNT #: 08790131087	BUY 0 Units @0.0000						
12/31/2017	***-**-67CL - MILGROOM,	INTERNATIONAL GROWTH FUND C	0.00	7.05	0.00	7.05	15.0	1.06
	ACCOUNT #: 08270868868	BUY 0 Units @0.0000						
12/31/2017	***-**-67CL - MILGROOM,	INTERNATIONAL GROWTH FUND C	0.00	49.77	0.00	49.77	15.0	7.47
	ACCOUNT #: 08270867328	BUY 0 Units @0.0000						
12/31/2017	***-**-5604 - GINN-REY, AMY	INTERNATIONAL GROWTH FUND N	0.00	2.01	0.00	2.01	15.0	0.30
	ACCOUNT #: 08280148071	BUY 0 Units @0.0000						
12/31/2017	***-**-67CL - MILGROOM,	INTERNATIONAL GROWTH FUND N	0.00	25.35	0.00	25.35	15.0	3.80
	ACCOUNT #: 08280195712	BUY 0 Units @0.0000						
12/31/2017	***-**-67CL - MILGROOM,	INTERNATIONAL GROWTH FUND N	0.00	8.47	0.00	8.47	15.0	1.27
	ACCOUNT #: 08280195723	BUY 0 Units @0.0000						
12/31/2017	***-**-67CL - MILGROOM,	INTERNATIONAL GROWTH FUND N	0.00	0.12	0.00	0.12	15.0	0.02
	ACCOUNT #: 08280206261	BUY 0 Units @0.0000						
12/31/2017	***-**-9679 - ZEDIKER, GARRETT	INTERNATIONAL SMALL COMPANY A	0.00	0.55	0.00	0.55	15.0	0.08
	ACCOUNT #: 08152373195	BUY 0 Units @0.0000						
12/31/2017	***-**-5604 - GINN-REY, AMY	INTERNATIONAL SMALL COMPANY FUND N	0.00	2.53	0.00	2.53	15.0	0.38
	ACCOUNT #: 08180043164	BUY 0 Units @0.0000						
01/10/2018	***-**-6927 - DEMAREST, DAVID	JACKSON NATIONAL PERSPECTIVE II	400.00	30.00	0.00	30.00	15.0	4.50
	ACCOUNT #: 1008530439	BUY 0 Units @0.0000						
12/31/2017	***-**-1427 - MERCEIE, TIFFANY	MAIN STREET FUND A	0.00	7.37	0.00	7.37	15.0	1.11
	ACCOUNT #: 07000836509	BUY 0 Units @0.0000						
12/31/2017	***-**-335P - BARBIC, TARA	MAIN STREET FUND A	0.00	14.36	0.00	14.36	15.0	2.15
	ACCOUNT #: 07001587259	BUY 0 Units @0.0000						
12/31/2017	***-**-295P - AMEIJERAS, OMAR	MAIN STREET FUND A	0.00	2.18	0.00	2.18	15.0	0.33
	ACCOUNT #: 07001661168	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CHRISTOPHER MILGROOM (continued)</u>								
12/31/2017	***-**-848I - HILLMAN, RICHARD	MAIN STREET FUND A	0.00	2.36	0.00	2.36	15.0	0.35
	ACCOUNT #: 07002116678	BUY 0 Units @0.0000						
01/03/2018	***-**-7264 - HOLLANDER, SHANE	NEW PERSPECTIVE FUND-529A	825.00	16.50	0.00	16.50	15.0	2.48
	ACCOUNT #: 00081895798	BUY 18 Units @44.6400						
01/03/2018	***-**-7264 - HOLLANDER, SHANE	NEW PERSPECTIVE FUND-529A	825.00	16.50	0.00	16.50	15.0	2.48
	ACCOUNT #: 00081895839	BUY 18 Units @44.6400						
01/03/2018	***-**-7264 - HOLLANDER, SHANE	NEW PERSPECTIVE FUND-529A	825.00	16.50	0.00	16.50	15.0	2.48
	ACCOUNT #: 00085243860	BUY 18 Units @44.6400						
01/03/2018	***-**-129I - HOLLANDER,	NEW PERSPECTIVE FUND-A	1,815.00	36.30	0.00	36.30	15.0	5.45
	ACCOUNT #: 00075689213	BUY 40 Units @45.1600						
01/03/2018	***-**-264I - HOLLANDER, TED	NEW PERSPECTIVE FUND-A	1,815.00	36.30	0.00	36.30	15.0	5.45
	ACCOUNT #: 00075689223	BUY 40 Units @45.1600						
12/31/2017	***-**-5604 - GINN-REY, AMY	OPP GLBL VALUE FUND R	0.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 06900007370	BUY 0 Units @0.0000						
12/31/2017	***-**-67CL - MILGROOM,	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	102.21	0.00	102.21	15.0	15.33
	ACCOUNT #: 07872097678	BUY 0 Units @0.0000						
12/31/2017	***-**-821I - MILGROOM,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	4.15	0.00	4.15	15.0	0.62
	ACCOUNT #: 07856807174	BUY 0 Units @0.0000						
12/31/2017	***-**-729I - DIMON, DANIEL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.76	0.00	0.76	15.0	0.11
	ACCOUNT #: 07856905151	BUY 0 Units @0.0000						
12/31/2017	***-**-67CL - MILGROOM,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	3.39	0.00	3.39	15.0	0.51
	ACCOUNT #: 07858396432	BUY 0 Units @0.0000						
12/31/2017	***-**-829I - EGORT, MARC	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	9.56	0.00	9.56	15.0	1.43
	ACCOUNT #: 07859875690	BUY 0 Units @0.0000						
12/31/2017	***-**-9679 - ZEDIKER, GARRETT	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.88	0.00	0.88	15.0	0.13
	ACCOUNT #: 07861840631	BUY 0 Units @0.0000						
12/31/2017	***-**-9679 - ZEDIKER, GARRETT	OPPENHEIMER DISCOVERY CLASS A	0.00	1.32	0.00	1.32	15.0	0.20
	ACCOUNT #: 05005620527	BUY 0 Units @0.0000						
12/31/2017	***-**-9679 - ZEDIKER, GARRETT	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	1.07	0.00	1.07	15.0	0.16
	ACCOUNT #: 01952600862	BUY 0 Units @0.0000						
12/31/2017	***-**-3804 - LETOURNEAU,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	2.88	0.00	2.88	15.0	0.43
	ACCOUNT #: 01952878018	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CHRISTOPHER MILGROOM (continued)</u>								
12/31/2017	***-**-4829 - EGORT, MARC	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	12.75	0.00	12.75	15.0	1.91
	ACCOUNT #: 02512289694	BUY 0 Units @0.0000						
12/31/2017	***-**-5604 - GINN-REY, AMY	QUEST CAPITAL VALUE FUND, INC. N	0.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 08380118041	BUY 0 Units @0.0000						
12/31/2017	***-**-07IN - DEBS, ARLENE	QUEST CAPITAL VALUE FUND, INC. N	0.00	20.16	0.00	20.16	15.0	3.02
	ACCOUNT #: 08380024233	BUY 0 Units @0.0000						
12/31/2017	***-**-07IN - DEBS, ARLENE	QUEST CAPITAL VALUE FUND, INC. N	0.00	48.94	0.00	48.94	15.0	7.34
	ACCOUNT #: 08380024233	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - DEBS, CARLOS	QUEST CAPITAL VALUE FUND, INC. N	0.00	30.68	0.00	30.68	15.0	4.60
	ACCOUNT #: 08380043758	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - DEBS, CARLOS	QUEST CAPITAL VALUE FUND, INC. N	0.00	59.52	0.00	59.52	15.0	8.93
	ACCOUNT #: 08380043758	BUY 0 Units @0.0000						
12/31/2017	***-**-97IR - CRAWFORD, JAMES	QUEST OPPORTUNITY VALUE A	0.00	0.44	0.00	0.44	15.0	0.07
	ACCOUNT #: 02364758930	BUY 0 Units @0.0000						
12/31/2017	***-**-9679 - ZEDIKER, GARRETT	QUEST OPPORTUNITY VALUE A	0.00	0.44	0.00	0.44	15.0	0.07
	ACCOUNT #: 02365534320	BUY 0 Units @0.0000						
12/31/2017	***-**-829I - EGORT, MARC	RISING DIVIDENDS FUND A	0.00	12.44	0.00	12.44	15.0	1.87
	ACCOUNT #: 02252163898	BUY 0 Units @0.0000						
12/31/2017	***-**-29IR - DIMON, DANIEL	RISING DIVIDENDS FUND A	0.00	0.06	0.00	0.06	15.0	0.01
	ACCOUNT #: 02252741959	BUY 0 Units @0.0000						
12/31/2017	***-**-729I - DIMON, DANIEL	RISING DIVIDENDS FUND A	0.00	0.23	0.00	0.23	15.0	0.03
	ACCOUNT #: 02252741981	BUY 0 Units @0.0000						
12/31/2017	***-**-07IN - DEBS, ARLENE	RISING DIVIDENDS FUND, INC. N	0.00	30.41	0.00	30.41	15.0	4.56
	ACCOUNT #: 02350047179	BUY 0 Units @0.0000						
12/31/2017	***-**-07IN - DEBS, ARLENE	RISING DIVIDENDS FUND, INC. N	0.00	58.11	0.00	58.11	15.0	8.72
	ACCOUNT #: 02350047179	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - DEBS, CARLOS	RISING DIVIDENDS FUND, INC. N	0.00	30.37	0.00	30.37	15.0	4.56
	ACCOUNT #: 02350078562	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - DEBS, CARLOS	RISING DIVIDENDS FUND, INC. N	0.00	64.71	0.00	64.71	15.0	9.71
	ACCOUNT #: 02350078562	BUY 0 Units @0.0000						
12/31/2017	***-**-07IN - DEBS, ARLENE	SMALL- & MID- CAP VALUE FUND N	0.00	28.28	0.00	28.28	15.0	4.24
	ACCOUNT #: 02690088583	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: CHRISTOPHER MILGROOM (continued)</u> 								
12/31/2017	***-**-07IN - DEBS, ARLENE	SMALL- & MID- CAP VALUE FUND N	0.00	44.41	0.00	44.41	15.0	6.66
	ACCOUNT #: 02690088583	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - DEBS, CARLOS	SMALL- & MID- CAP VALUE FUND N	0.00	39.15	0.00	39.15	15.0	5.87
	ACCOUNT #: 02690104610	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - DEBS, CARLOS	SMALL- & MID- CAP VALUE FUND N	0.00	51.77	0.00	51.77	15.0	7.77
	ACCOUNT #: 02690104610	BUY 0 Units @0.0000						
01/02/2018	***-**-2461 - CAMPBELL, HOPE	THE GROWTH FUND OF AMERICA-529A	100.00	2.75	0.00	2.75	15.0	0.41
	ACCOUNT #: 00085796907	BUY 2 Units @51.4400						
* CHRISTOPHER MILGROOM SUBTOTAL *			\$24,800.00	\$1,601.65	\$0.00	\$1,601.65		\$240.28
*** OVERRIDE TRANSACTIONS TOTAL ***			\$24,800.00	\$1,601.65	\$0.00	\$1,601.65		\$240.28

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$0.00
Override Transactions	\$240.28
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	\$240.28
Year-to-date Earnings	\$556.04