



COMMISSION STATEMENT

April 09, 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
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/26/2018	***-**-4427 - ZOGBY, MICHAEL	AMERICAN BALANCED FUND-A	116.00	3.19	0.00	3.19	75.0	2.39
	ACCOUNT #: 00084492487	BUY 4 Units @27.7100						
03/26/2018	***-**-7449 - JONES, D	AMERICAN BALANCED FUND-A	115.00	4.31	0.00	4.31	75.0	3.23
	ACCOUNT #: 00087990221	BUY 4 Units @28.0000						
03/26/2018	***-**-6900 - MILLER, KENNETH	AMERICAN BALANCED FUND-A	1,094.50	46.52	0.00	46.52	75.0	34.89
	ACCOUNT #: 00087633416	BUY 39 Units @28.1500						
03/28/2018	***-**-241R - BERTRAND, JOHN	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 00089941898	BUY 2 Units @28.1300						
04/02/2018	***-**-336J - GETCHELL, DIANNE	AMERICAN HIGH-INCOME TRUST-A	995.75	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR011100	SELL 98 Units @10.1700						
04/02/2018	***-**-336J - GETCHELL, DIANNE	AMERICAN TAX EXEMPT OF NEW YORK CL	1,053.65	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR011100	SELL 99 Units @10.6200						
03/20/2018	***-**-701N - KING, SUSAN	CAPITAL APPRECIATION A	60.00	1.80	0.00	1.80	75.0	1.35
	ACCOUNT #: 03210336612	BUY 0 Units @0.0000						
03/20/2018	***-**-481J - MERRILL, JASON	CAPITAL INCOME A	62.50	1.88	0.00	1.88	75.0	1.41
	ACCOUNT #: 03009145730	BUY 0 Units @0.0000						
03/26/2018	***-**-4932 - BAKER, STEVEN	CAPITAL INCOME A	262.50	12.47	0.00	12.47	75.0	9.35
	ACCOUNT #: 03008792487	BUY 0 Units @0.0000						
03/26/2018	***-**-030J - MERRILL,	CAPITAL INCOME A	62.50	1.88	0.00	1.88	75.0	1.41
	ACCOUNT #: 03009145719	BUY 0 Units @0.0000						
03/26/2018	***-**-7449 - JONES, D	CAPITAL INCOME BUILDER-A	50.00	1.88	0.00	1.88	75.0	1.41
	ACCOUNT #: 00087990221	BUY 1 Units @63.0800						
03/20/2018	***-**-331N - KING, JOHN	EQUITY INCOME FUND, INC. A	76.00	2.28	0.00	2.28	75.0	1.71
	ACCOUNT #: 08351548074	BUY 0 Units @0.0000						
03/26/2018	***-**-4932 - BAKER, STEVEN	EQUITY INCOME FUND, INC. A	262.50	12.47	0.00	12.47	75.0	9.35
	ACCOUNT #: 08352551208	BUY 0 Units @0.0000						
03/26/2018	***-**-4427 - ZOGBY, MICHAEL	EUROPACIFIC GROWTH FUND-A	85.00	2.34	0.00	2.34	75.0	1.76
	ACCOUNT #: 00084492487	BUY 1 Units @58.9400						
03/20/2018	***-**-481J - MERRILL, JASON	OPP PORT SERIES: MOD INV FD A	112.50	3.38	0.00	3.38	75.0	2.54
	ACCOUNT #: 05450490435	BUY 0 Units @0.0000						
03/26/2018	***-**-030J - MERRILL,	OPP PORT SERIES: MOD INV FD A	112.50	3.38	0.00	3.38	75.0	2.54
	ACCOUNT #: 05450490490	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
03/20/2018	***-**-33IN - KING, JOHN	OPPENHEIMER DEVELOPING MARKETS CLAS	76.00	2.28	0.00	2.28	75.0	1.71
	ACCOUNT #: 07859653204	BUY 0 Units @0.0000						
03/20/2018	***-**-481J - MERRILL, JASON	OPPENHEIMER INTERNATIONAL DIVERSIFI	12.50	0.38	0.00	0.38	75.0	0.29
	ACCOUNT #: 01951261073	BUY 0 Units @0.0000						
03/26/2018	***-**-030J - MERRILL,	OPPENHEIMER INTERNATIONAL DIVERSIFI	12.50	0.38	0.00	0.38	75.0	0.29
	ACCOUNT #: 01951261139	BUY 0 Units @0.0000						
03/20/2018	***-**-33IN - KING, JOHN	OPPENHEIMER MAIN STREET SMALL CAP F	76.00	2.28	0.00	2.28	75.0	1.71
	ACCOUNT #: 08476672325	BUY 0 Units @0.0000						
03/20/2018	***-**-33IN - KING, JOHN	OPPENHEIMER SMALL & MID CAP VALUE F	76.00	2.28	0.00	2.28	75.0	1.71
	ACCOUNT #: 02514166107	BUY 0 Units @0.0000						
03/20/2018	***-**-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						
03/26/2018	***-**-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						
03/20/2018	***-**-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						
03/20/2018	***-**-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						
03/26/2018	***-**-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						
03/20/2018	***-**-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						
03/26/2018	***-**-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						
03/26/2018	***-**-4427 - ZOGBY, MICHAEL	THE BOND FUND OF AMERICA-A	65.00	1.79	0.00	1.79	75.0	1.34
	ACCOUNT #: 00084492487	BUY 5 Units @13.0300						
03/26/2018	***-**-4427 - ZOGBY, MICHAEL	THE GROWTH FUND OF AMERICA-A	150.00	4.13	0.00	4.13	75.0	3.10
	ACCOUNT #: 00084492487	BUY 3 Units @53.7300						
03/26/2018	***-**-7449 - JONES, D	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	75.0	1.41
	ACCOUNT #: 00087990221	BUY 1 Units @54.2900						
03/28/2018	***-**-7823 - BERTRAND,	THE GROWTH FUND OF AMERICA-A	50.00	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 00089897908	BUY 1 Units @53.2800						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
03/28/2018	***-**-24IR - BERTRAND, JOHN	THE GROWTH FUND OF AMERICA-A	50.00	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 00089941898	BUY 1 Units @53.2800						
03/26/2018	***-**-7449 - JONES, D	THE INCOME FUND OF AMERICA-A	125.00	4.69	0.00	4.69	75.0	3.52
	ACCOUNT #: 00087990221	BUY 5 Units @23.7300						
03/26/2018	***-**-7449 - JONES, D	WASHINGTON MUTUAL INVESTORS FUND-A	118.33	4.44	0.00	4.44	75.0	3.33
	ACCOUNT #: 00087990221	BUY 3 Units @47.0600						
* MUTUAL FUNDS SUBTOTAL *			\$6,318.23	\$163.47	\$36.00	\$127.47		\$86.64
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
03/29/2018	***-**-9500 - KELLER, BILLIE	AXA EQUI VA 00248C360	0.00	18.73	0.00	18.73	75.0	14.05
	ACCOUNT #: 316022320	BUY 0 Units @0.0000						
03/29/2018	***-**-9002 - ANDERSON, BRYAN	AXA EQUI VA 00248C360	0.00	60.79	0.00	60.79	75.0	45.59
	ACCOUNT #: 316102600	BUY 0 Units @0.0000						
03/29/2018	***-**-2456 - VOELKER, ROBERT	AXA EQUI VA 00248C360	0.00	164.01	0.00	164.01	75.0	123.01
	ACCOUNT #: 316126418	BUY 0 Units @0.0000						
03/29/2018	***-**-143R - DRAKE, RONALD	AXA EQUI VA 00248C360	0.00	29.52	0.00	29.52	75.0	22.14
	ACCOUNT #: 317006112	BUY 0 Units @0.0000						
03/31/2018	***-**-59VA - SEYMOUR, DEBORAH	CHOICEPLUS ASSURANCE BONUS	0.00	16.41	0.00	16.41	75.0	12.31
	ACCOUNT #: 921058830	BUY 0 Units @0.0000						
03/31/2018	***-**-57VA - NELSON, IRENE	CHOICEPLUS ASSURANCE BONUS	0.00	26.73	0.00	26.73	75.0	20.05
	ACCOUNT #: 921059039	BUY 0 Units @0.0000						
03/31/2018	***-**-9692 - KELLER, KENNETH	CHOICEPLUS ASSURANCE BONUS	0.00	91.27	0.00	91.27	75.0	68.45
	ACCOUNT #: 921075402	BUY 0 Units @0.0000						
03/31/2018	***-**-7431 - PATANE, JOANNE	LINCOLN FIN VA 533787727	0.00	67.63	0.00	67.63	75.0	50.72
	ACCOUNT #: 951069509	BUY 0 Units @0.0000						
03/31/2018	***-**-61VA - BUDINE, JESSE	LINCOLN FIN VA 53404B676	0.00	105.38	0.00	105.38	75.0	79.04
	ACCOUNT #: 924689841	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$580.47	\$0.00	\$580.47		\$435.36
*** BROKER TRANSACTIONS TOTAL ***			\$6,318.23	\$743.94	\$36.00	\$707.94		\$522.00



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DATE	CLIENT	INVESTMENT	AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
						BROKER COMMISSION TOTALS			
						Broker Transactions		\$522.00	
						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		\$522.00	
						Year-to-date Earnings		\$11,145.72	