



COMMISSION STATEMENT

May 14, 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
BROKER TRANSACTIONS								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
05/07/2018	***-**-7543 - BORNSTEIN, ACCOUNT #: F1519574	LINCOLN 008148728 BUY 0 Units @0.0000	2,500.00	50.00	0.00	50.00	75.0	37.50
* VARIABLE ANNUITIES SUBTOTAL *			\$2,500.00	\$50.00	\$0.00	\$50.00		\$37.50
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
04/30/2018	***-**-068P - BIRNS, RICHARD ACCOUNT #: 000090220987300	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	41.07	0.00	41.07	75.0	30.80
04/30/2018	***-**-68TR - BIRNS, RICHARD ACCOUNT #: 000090226290790	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	9.04	0.00	9.04	75.0	6.78
04/30/2018	***-**-68TR - BIRNS, RICHARD ACCOUNT #: 000090226290889	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	9.04	0.00	9.04	75.0	6.78
04/30/2018	***-**-0849 - PONTRELLO, MARIA ACCOUNT #: 000090238070622	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	5.22	0.00	5.22	75.0	3.92
04/30/2018	***-**-0849 - PONTRELLO, MARIA ACCOUNT #: 000090238071410	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	0.34	0.00	0.34	75.0	0.26
04/30/2018	***-**-4948 - PONTRELLO, ACCOUNT #: 000090238071461	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	5.09	0.00	5.09	75.0	3.82
04/30/2018	***-**-4948 - PONTRELLO, ACCOUNT #: 000090238071473	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	0.34	0.00	0.34	75.0	0.26
04/30/2018	***-**-365I - VINGELLI, ACCOUNT #: 000090239246971	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	1.97	0.00	1.97	75.0	1.48
04/30/2018	***-**-48IN - BABCOCK, ROBERT ACCOUNT #: 000000006719583	FRANKLIN INCOME FUND CLASS C BUY 0 Units @0.0000	0.00	559.83	0.00	559.83	75.0	419.87
04/30/2018	***-**-0849 - PONTRELLO, MARIA ACCOUNT #: 000015814965558	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	10.83	0.00	10.83	75.0	8.12
04/30/2018	***-**-0849 - PONTRELLO, MARIA ACCOUNT #: 000015814965735	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	0.70	0.00	0.70	75.0	0.53
04/30/2018	***-**-4948 - PONTRELLO, ACCOUNT #: 000015814965750	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	8.06	0.00	8.06	75.0	6.05
04/30/2018	***-**-4948 - PONTRELLO, ACCOUNT #: 000015814965762	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	0.70	0.00	0.70	75.0	0.53
04/30/2018	***-**-485P - BABCOCK, ROBERT ACCOUNT #: 000050101725688	FRK HIGH INC FND - CL A BUY 0 Units @0.0000	0.00	7.35	0.00	7.35	75.0	5.51



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/30/2018	***-**-068P - BIRNS, RICHARD	FRK REAL EST SEC FND - CL A	0.00	52.12	0.00	52.12	75.0	39.09
	ACCOUNT #: 000019211984885	BUY 0 Units @0.0000						
04/30/2018	***-**-0849 - PONTRELLO, MARIA	FRK STRAT INC FND - CL A	0.00	24.29	0.00	24.29	75.0	18.22
	ACCOUNT #: 000019413757319	BUY 0 Units @0.0000						
04/30/2018	***-**-0849 - PONTRELLO, MARIA	FRK STRAT INC FND - CL A	0.00	1.57	0.00	1.57	75.0	1.18
	ACCOUNT #: 000019413757473	BUY 0 Units @0.0000						
04/30/2018	***-**-4948 - PONTRELLO,	FRK STRAT INC FND - CL A	0.00	12.59	0.00	12.59	75.0	9.44
	ACCOUNT #: 000019413757497	BUY 0 Units @0.0000						
04/30/2018	***-**-4948 - PONTRELLO,	FRK STRAT INC FND - CL A	0.00	1.57	0.00	1.57	75.0	1.18
	ACCOUNT #: 000019413757509	BUY 0 Units @0.0000						
04/30/2018	***-**-13IN - SANDAS, ANTHONY	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	4.22	0.00	4.22	75.0	3.17
	ACCOUNT #: 000000003159845	BUY 0 Units @0.0000						
04/30/2018	***-**-68CL - BIRNS, CLIENTS	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	34.87	0.00	34.87	75.0	26.15
	ACCOUNT #: 000000006103372	BUY 0 Units @0.0000						
04/30/2018	***-**-68CL - BIRNS, CLIENTS	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	20.03	0.00	20.03	75.0	15.02
	ACCOUNT #: 000000006103384	BUY 0 Units @0.0000						
04/30/2018	***-**-068P - BIRNS, RICHARD	FRK UTIL FND - CL A	0.00	86.81	0.00	86.81	75.0	65.11
	ACCOUNT #: 000070186599048	BUY 0 Units @0.0000						
04/30/2018	***-**-365I - VINGELLI,	FRK UTIL FND - CL A	0.00	1.81	0.00	1.81	75.0	1.36
	ACCOUNT #: 000070188269204	BUY 0 Units @0.0000						
05/02/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	0.00	1.69	0.00	1.69	75.0	1.27
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
05/02/2018	***-**-68IN - BIRNS, RICHARD	HARTFORD CAPITAL APPRECIATION FUND	0.00	14.85	0.00	14.85	75.0	11.14
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
04/30/2018	***-**-712I - BIRNS, BONNIE	TEMP DEV MRKTS TR FND - CL A	0.00	9.53	0.00	9.53	75.0	7.15
	ACCOUNT #: 000000001796456	BUY 0 Units @0.0000						
04/30/2018	***-**-46IN - CANCELLA,	TEMP DEV MRKTS TR FND - CL A	0.00	6.07	0.00	6.07	75.0	4.55
	ACCOUNT #: 000000005091121	BUY 0 Units @0.0000						
04/30/2018	***-**-73IN - BIRNS, ADAM	TEMP DEV MRKTS TR FND - CL A	0.00	8.13	0.00	8.13	75.0	6.10
	ACCOUNT #: 000000008191482	BUY 0 Units @0.0000						
04/30/2018	***-**-04IN - BIRNS, EVAN	TEMP DEV MRKTS TR FND - CL A	0.00	8.13	0.00	8.13	75.0	6.10
	ACCOUNT #: 000000008191506	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/30/2018	***-**-0849 - PONTRELLO, MARIA	TEMP GLOBAL BOND FND - CL A	0.00	24.47	0.00	24.47	75.0	18.35
	ACCOUNT #: 000006985268571	BUY 0 Units @0.0000						
04/30/2018	***-**-0849 - PONTRELLO, MARIA	TEMP GLOBAL BOND FND - CL A	0.00	1.58	0.00	1.58	75.0	1.19
	ACCOUNT #: 000006985269369	BUY 0 Units @0.0000						
04/30/2018	***-**-4948 - PONTRELLO,	TEMP GLOBAL BOND FND - CL A	0.00	12.74	0.00	12.74	75.0	9.56
	ACCOUNT #: 000006985269395	BUY 0 Units @0.0000						
04/30/2018	***-**-4948 - PONTRELLO,	TEMP GLOBAL BOND FND - CL A	0.00	1.58	0.00	1.58	75.0	1.19
	ACCOUNT #: 000006985269407	BUY 0 Units @0.0000						
04/30/2018	***-**-712I - BIRNS, BONNIE	TEMPLETON GROWTH FUND CLASS A	0.00	24.86	0.00	24.86	75.0	18.65
	ACCOUNT #: 000001950475080	BUY 0 Units @0.0000						
05/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.20	0.00	1.20	75.0	0.90
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
05/02/2018	***-**-447P - BIRNS, PHYLLIS	THE HARTFORD CAPITAL APPRECIATION F	0.00	2.56	0.00	2.56	75.0	1.92
	ACCOUNT #: 00000700389	BUY 0 Units @0.0000						
05/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD CAPITAL APPRECIATION F	0.00	20.91	0.00	20.91	75.0	15.68
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
05/02/2018	***-**-85IN - SEAMAN,	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.36	0.00	1.36	75.0	1.02
	ACCOUNT #: 00022087686	BUY 0 Units @0.0000						
05/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	9.00	0.00	9.00	75.0	6.75
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
05/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F	0.00	2.63	0.00	2.63	75.0	1.97
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
05/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND	0.00	1.16	0.00	1.16	75.0	0.87
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
05/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD INTL OPPORTUNITIES FD-	0.00	13.15	0.00	13.15	75.0	9.86
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
05/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD MID CAP FUND-A	0.00	21.09	0.00	21.09	75.0	15.82
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
05/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	0.00	2.47	0.00	2.47	75.0	1.85
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,088.62	\$0.00	\$1,088.62		\$816.52
*** BROKER TRANSACTIONS TOTAL ***			\$2,500.00	\$1,138.62	\$0.00	\$1,138.62		\$854.02



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER COMMISSION TOTALS								
						Broker Transactions		\$854.02
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$1.49
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$855.51
						Year-to-date Earnings		\$6,082.13