



# COMMISSION STATEMENT

## July 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/01/2018	***-**-098P - TOKAR, STEPHANIE	AIM CHARTER FUND - CLASS A	0.00	4.33	0.00	4.33	75.0	3.25
	ACCOUNT #: 04027919598	BUY 0 Units @0.0000						
07/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHARTER FUND - CLASS A	0.00	15.98	0.00	15.98	75.0	11.99
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
07/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHINA FUND - CLASS A	0.00	13.80	0.00	13.80	75.0	10.35
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
07/01/2018	***-**-712I - BIRNS, BONNIE	AIM GLOBAL AGGRESSIVE GROWTH FUND C	0.00	13.70	0.00	13.70	75.0	10.28
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
07/01/2018	***-**-712I - BIRNS, BONNIE	AIM UTILITIES FUND - CLASS A	0.00	16.75	0.00	16.75	75.0	12.56
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
07/09/2018	***-**-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						
07/09/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	17.60	0.00	17.60	75.0	13.20
	ACCOUNT #: 05000189227	BUY 0 Units @0.0000						
07/09/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCEBERNSTEIN GROWTH A	0.00	23.35	0.00	23.35	75.0	17.51
	ACCOUNT #: 03310152452	BUY 0 Units @0.0000						
06/30/2018	***-**-68IN - BIRNS, RICHARD	AMT-FREE NEW YORK MUNICIPALS A	0.00	9.13	0.00	9.13	75.0	6.85
	ACCOUNT #: 03600811899	BUY 0 Units @0.0000						
07/01/2018	***-**-712I - BIRNS, BONNIE	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	17.32	0.00	17.32	75.0	12.99
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
07/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM GLOBAL EQUITY FUND CLASS A	0.00	1.71	0.00	1.71	75.0	1.28
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
07/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	6.74	0.00	6.74	75.0	5.06
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
07/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM INTERNATIONAL EQUITY-A	0.00	0.74	0.00	0.74	75.0	0.56
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
07/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM INTL NEW OPPORT-A	0.00	4.14	0.00	4.14	75.0	3.11
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
07/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	6.75	0.00	6.75	75.0	5.06
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
06/30/2018	***-**-7325 - BIRNS, EDWIN	ROCHESTER FUND MUNICIPALS A	0.00	35.13	0.00	35.13	75.0	26.35
	ACCOUNT #: 03653529251	BUY 0 Units @0.0000						



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<div>ADJUSTMENTS (continued)</div>								
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$187.91	\$0.00	\$187.91		\$140.96
	*** BROKER TRANSACTIONS TOTAL ***		\$0.00	\$187.91	\$0.00	\$187.91		\$140.96
BROKER COMMISSION TOTALS								
						Broker Transactions		\$140.96
						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		\$140.96
						Year-to-date Earnings		\$18,149.62