



COMMISSION STATEMENT

May 07, 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>								
04/23/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	AMERICAN BALANCED FUND-A BUY 4 Units @27.8800	125.00	3.44	0.00	3.44	75.0	2.58
04/23/2018	***-**-5152 - DUNN, MICHELE ACCOUNT #: 00087316793	AMERICAN BALANCED FUND-A BUY 14 Units @27.8800	400.00	11.00	0.00	11.00	75.0	8.25
04/24/2018	***-**-5423 - MIGNACCA, PHILIP ACCOUNT #: 04000943937	AMERICAN BALANCED FUND-A BUY 69 Units @28.1100	1,950.00	82.88	0.00	82.88	75.0	62.16
04/24/2018	***-**-5132 - MIGNACCA, DAWN ACCOUNT #: 04000943969	AMERICAN BALANCED FUND-A BUY 69 Units @28.1100	1,950.00	82.88	0.00	82.88	75.0	62.16
04/25/2018	***-**-4427 - ZOGBY, MICHAEL ACCOUNT #: 00084492487	AMERICAN BALANCED FUND-A BUY 4 Units @27.6800	116.00	3.19	0.00	3.19	75.0	2.39
04/25/2018	***-**-7449 - JONES, D ACCOUNT #: 00087990221	AMERICAN BALANCED FUND-A BUY 4 Units @27.9700	115.00	4.31	0.00	4.31	75.0	3.23
05/02/2018	***-**-7767 - DONOVAN, WILLIAM ACCOUNT #: LSR012405	AMERICAN BALANCED FUND-A SELL 94 Units @26.7100	2,500.00	0.00	18.00	-18.00	100.0	-18.00
04/23/2018	***-**-4848 - DOGGETT, AMY ACCOUNT #: 00081620466	AMERICAN HIGH-INCOME TRUST-A BUY 16 Units @10.5800	165.00	4.54	0.00	4.54	75.0	3.41
04/23/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	AMERICAN HIGH-INCOME TRUST-A BUY 9 Units @10.5800	100.00	2.75	0.00	2.75	75.0	2.06
04/24/2018	***-**-5423 - MIGNACCA, PHILIP ACCOUNT #: 04000943937	AMERICAN HIGH-INCOME TRUST-A BUY 92 Units @10.6000	975.00	29.25	0.00	29.25	75.0	21.94
04/24/2018	***-**-5132 - MIGNACCA, DAWN ACCOUNT #: 04000943969	AMERICAN HIGH-INCOME TRUST-A BUY 92 Units @10.6000	975.00	29.25	0.00	29.25	75.0	21.94
05/02/2018	***-**-7767 - DONOVAN, WILLIAM ACCOUNT #: LSR012405	AMERICAN HIGH-INCOME TRUST-A SELL 334 Units @10.1800	3,400.00	0.00	18.00	-18.00	100.0	-18.00
04/16/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 03210336612	CAPITAL APPRECIATION A BUY 0 Units @0.0000	60.00	1.80	0.00	1.80	75.0	1.35
04/23/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 03210336612	CAPITAL APPRECIATION A BUY 0 Units @0.0000	60.00	1.80	0.00	1.80	75.0	1.35
04/16/2018	***-**-481J - MERRILL, JASON ACCOUNT #: 03009145730	CAPITAL INCOME A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	75.0	1.41
04/23/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 03008792487	CAPITAL INCOME A BUY 0 Units @0.0000	262.50	12.47	0.00	12.47	75.0	9.35



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/23/2018	***-**-030J - MERRILL, ACCOUNT #: 03009145719	CAPITAL INCOME A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	75.0	1.41
04/30/2018	***-**-481J - MERRILL, JASON ACCOUNT #: 03009145730	CAPITAL INCOME A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	75.0	1.41
04/23/2018	***-**-5152 - DUNN, MICHELE ACCOUNT #: 00087316793	CAPITAL INCOME BUILDER-A BUY 6 Units @63.0200	400.00	11.00	0.00	11.00	75.0	8.25
04/24/2018	***-**-5423 - MIGNACCA, PHILIP ACCOUNT #: 04000943937	CAPITAL INCOME BUILDER-A BUY 15 Units @63.7100	975.00	41.44	0.00	41.44	75.0	31.08
04/24/2018	***-**-5132 - MIGNACCA, DAWN ACCOUNT #: 04000943969	CAPITAL INCOME BUILDER-A BUY 15 Units @63.7100	975.00	41.44	0.00	41.44	75.0	31.08
04/25/2018	***-**-7449 - JONES, D ACCOUNT #: 00087990221	CAPITAL INCOME BUILDER-A BUY 1 Units @63.3600	50.00	1.88	0.00	1.88	75.0	1.41
04/23/2018	***-**-4848 - DOGGETT, AMY ACCOUNT #: 00081620466	CAPITAL WORLD GROWTH AND INCOME FUN BUY 3 Units @53.6600	165.00	4.54	0.00	4.54	75.0	3.41
04/23/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @53.6600	100.00	2.75	0.00	2.75	75.0	2.06
04/16/2018	***-**-33IN - KING, JOHN ACCOUNT #: 08351548074	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	76.00	2.28	0.00	2.28	75.0	1.71
04/23/2018	***-**-33IN - KING, JOHN ACCOUNT #: 08351548074	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	76.00	2.28	0.00	2.28	75.0	1.71
04/23/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 08352551208	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	262.50	12.47	0.00	12.47	75.0	9.35
04/25/2018	***-**-4427 - ZOGBY, MICHAEL ACCOUNT #: 00084492487	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.4200	85.00	2.34	0.00	2.34	75.0	1.76
04/16/2018	***-**-481J - MERRILL, JASON ACCOUNT #: 05450490435	OPP PORT SERIES: MOD INV FD A BUY 0 Units @0.0000	112.50	3.38	0.00	3.38	75.0	2.54
04/23/2018	***-**-030J - MERRILL, ACCOUNT #: 05450490490	OPP PORT SERIES: MOD INV FD A BUY 0 Units @0.0000	112.50	3.38	0.00	3.38	75.0	2.54
04/30/2018	***-**-481J - MERRILL, JASON ACCOUNT #: 05450490435	OPP PORT SERIES: MOD INV FD A BUY 0 Units @0.0000	112.50	3.38	0.00	3.38	75.0	2.54
04/16/2018	***-**-33IN - KING, JOHN ACCOUNT #: 07859653204	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	76.00	2.28	0.00	2.28	75.0	1.71



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/23/2018	***-**-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						
04/16/2018	***-**-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						
04/23/2018	***-**-030J - MERRILL,	OPPENHEIMER INTERNATIONAL DIVERSIFI	12.50	0.38	0.00	0.38	75.0	0.29
	ACCOUNT #: 01951261139	BUY 0 Units @0.0000						
04/30/2018	***-**-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						
04/16/2018	***-**-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						
04/23/2018	***-**-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						
04/16/2018	***-**-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						
04/23/2018	***-**-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						
04/16/2018	***-**-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						
04/23/2018	***-**-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						
04/23/2018	***-**-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						
04/16/2018	***-**-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						
04/16/2018	***-**-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						
04/23/2018	***-**-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						
04/23/2018	***-**-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						
04/23/2018	***-**-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						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/16/2018	***-**-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						
04/23/2018	***-**-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						
04/30/2018	***-**-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						
04/25/2018	***-**-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 @12.9200						
04/23/2018	***-**-4848 - DOGGETT, AMY	THE GROWTH FUND OF AMERICA-A	170.00	4.68	0.00	4.68	75.0	3.51
	ACCOUNT #: 00081620466	BUY 3 Units @53.9600						
04/23/2018	***-**-408B - SNIZEK,	THE GROWTH FUND OF AMERICA-A	175.00	4.81	0.00	4.81	75.0	3.61
	ACCOUNT #: 00085154620	BUY 3 Units @53.9600						
04/24/2018	***-**-5423 - MIGNACCA, PHILIP	THE GROWTH FUND OF AMERICA-A	1,300.00	55.25	0.00	55.25	75.0	41.44
	ACCOUNT #: 04000943937	BUY 24 Units @53.8900						
04/24/2018	***-**-5132 - MIGNACCA, DAWN	THE GROWTH FUND OF AMERICA-A	1,300.00	55.25	0.00	55.25	75.0	41.44
	ACCOUNT #: 04000943969	BUY 24 Units @53.8900						
04/25/2018	***-**-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 @53.0600						
04/25/2018	***-**-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 @53.6100						
04/25/2018	***-**-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 @23.8100						
04/24/2018	***-**-5423 - MIGNACCA, PHILIP	THE INVESTMENT COMPANY OF AMERICA-A	1,300.00	55.25	0.00	55.25	75.0	41.44
	ACCOUNT #: 04000943937	BUY 31 Units @41.8600						
04/24/2018	***-**-5132 - MIGNACCA, DAWN	THE INVESTMENT COMPANY OF AMERICA-A	1,300.00	55.25	0.00	55.25	75.0	41.44
	ACCOUNT #: 04000943969	BUY 31 Units @41.8600						
04/25/2018	***-**-7449 - JONES, D	WASHINGTON MUTUAL INVESTORS FUND-A	118.33	4.44	0.00	4.44	75.0	3.33
	ACCOUNT #: 00087990221	BUY 2 Units @47.4200						
* MUTUAL FUNDS SUBTOTAL *			\$24,574.33	\$712.47	\$36.00	\$676.47		\$498.41



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: RIA</u>								
05/08/2018	***-**-25FB - DUNN, BRENDAN	LIFEMARK INVESTMENT ADVISORY FEE	123.74	123.74	0.00	123.74	75.0	92.81
	ACCOUNT #: 925287941	BUY 0 Units @0.0000						
05/08/2018	***-**-25FB - DUNN, BRENDAN	LIFEMARK INVESTMENT ADVISORY FEE	58.95	58.95	0.00	58.95	75.0	44.21
	ACCOUNT #: 925287945	BUY 0 Units @0.0000						
05/08/2018	***-**-52FB - DUNN, MICHELE	LIFEMARK INVESTMENT ADVISORY FEE	127.81	127.81	0.00	127.81	75.0	95.86
	ACCOUNT #: 925287955	BUY 0 Units @0.0000						
* RIA SUBTOTAL *			\$310.50	\$310.50	\$0.00	\$310.50		\$232.88
*** BROKER TRANSACTIONS TOTAL ***			\$24,884.83	\$1,022.97	\$36.00	\$986.97		\$731.29

BROKER COMMISSION TOTALS

Broker Transactions	\$731.29
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	\$731.29
Year-to-date Earnings	\$20,188.11