



COMMISSION STATEMENT

June 25, 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>								
06/05/2018	***-**-0911 - SPAZIANI, ACCOUNT #: 00082570536	AMERICAN BALANCED FUND-A BUY 5 Units @28.5800	135.00	5.06	0.00	5.06	75.0	3.80
06/11/2018	***-**-9037 - NOURSE, STACIA ACCOUNT #: 04000247689	AMERICAN BALANCED FUND-A BUY 2 Units @29.2000	50.00	2.50	0.00	2.50	75.0	1.88
06/11/2018	***-**-4639 - SCOONES, ACCOUNT #: 00084481157	AMERICAN BALANCED FUND-A BUY 3 Units @28.5200	90.75	2.50	0.00	2.50	75.0	1.88
06/11/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	AMERICAN BALANCED FUND-A BUY 4 Units @28.5200	125.00	3.44	0.00	3.44	75.0	2.58
06/11/2018	***-**-5152 - DUNN, MICHELE ACCOUNT #: 00087316793	AMERICAN BALANCED FUND-A BUY 14 Units @28.5200	400.00	11.00	0.00	11.00	75.0	8.25
06/11/2018	***-**-5556 - BURNS, ROBERT ACCOUNT #: 00085993216	AMERICAN BALANCED FUND-A BUY 1 Units @28.9700	37.50	1.59	0.00	1.59	75.0	1.19
06/11/2018	***-**-0939 - LAWRENCE, JASON ACCOUNT #: 00087909097	AMERICAN BALANCED FUND-A BUY 2 Units @29.2000	60.00	3.00	0.00	3.00	75.0	2.25
06/12/2018	***-**-2146 - JONES, KELLIE ACCOUNT #: 00087644930	AMERICAN BALANCED FUND-A BUY 3 Units @29.2200	100.00	5.00	0.00	5.00	75.0	3.75
06/15/2018	***-**-8906 - ISBELL, ACCOUNT #: 00073594886	AMERICAN BALANCED FUND-A BUY 2 Units @28.3500	50.00	1.38	0.00	1.38	75.0	1.04
06/15/2018	***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557	AMERICAN BALANCED FUND-A BUY 2 Units @28.3500	50.00	1.38	0.00	1.38	75.0	1.04
06/15/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912	AMERICAN BALANCED FUND-A BUY 4 Units @28.3500	100.00	2.75	0.00	2.75	75.0	2.06
06/18/2018	***-**-4906 - VAN ALSTINE, ACCOUNT #: 00086106101	AMERICAN BALANCED FUND-A BUY 2 Units @28.9900	50.00	2.50	0.00	2.50	75.0	1.88
06/05/2018	***-**-0911 - SPAZIANI, ACCOUNT #: 00082570536	AMERICAN HIGH-INCOME TRUST-A BUY 8 Units @10.5500	80.00	2.40	0.00	2.40	75.0	1.80
06/11/2018	***-**-9037 - NOURSE, STACIA ACCOUNT #: 04000247689	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.5800	50.00	1.50	0.00	1.50	75.0	1.13
06/11/2018	***-**-4848 - DOGETT, AMY ACCOUNT #: 00081620466	AMERICAN HIGH-INCOME TRUST-A BUY 16 Units @10.5500	165.00	4.54	0.00	4.54	75.0	3.41
06/11/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	AMERICAN HIGH-INCOME TRUST-A BUY 9 Units @10.5500	100.00	2.75	0.00	2.75	75.0	2.06



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
06/11/2018	***-**-7598 - HUMPF, MINDI	AMERICAN HIGH-INCOME TRUST-A	25.00	0.69	0.00	0.69	75.0	0.52
	ACCOUNT #: 00085514851	BUY 2 Units @10.5500						
06/11/2018	***-**-1909 - BASHANT, MATTHEW	AMERICAN HIGH-INCOME TRUST-A	25.50	0.70	0.00	0.70	75.0	0.53
	ACCOUNT #: 00085839015	BUY 2 Units @10.5500						
06/11/2018	***-**-5556 - BURNS, ROBERT	AMERICAN HIGH-INCOME TRUST-A	52.50	1.58	0.00	1.58	75.0	1.19
	ACCOUNT #: 00085993216	BUY 5 Units @10.5800						
06/15/2018	***-**-3143 - HUMPF, JOHN	AMERICAN HIGH-INCOME TRUST-A	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00082277557	BUY 5 Units @10.5700						
06/15/2018	***-**-7598 - HUMPF, MINDI	AMERICAN HIGH-INCOME TRUST-A	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00082278912	BUY 5 Units @10.5700						
06/20/2018	***-**-4932 - BAKER, STEVEN	AMERICAN HIGH-INCOME TRUST-A	75.00	2.06	0.00	2.06	75.0	1.55
	ACCOUNT #: 00086683340	BUY 7 Units @10.5700						
06/11/2018	***-**-70IN - KING, SUSAN	CAPITAL APPRECIATION A	60.00	1.80	0.00	1.80	75.0	1.35
	ACCOUNT #: 03210336612	BUY 0 Units @0.0000						
06/04/2018	***-**-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						
06/04/2018	***-**-030J - MERRILL,	CAPITAL INCOME A	62.50	1.88	0.00	1.88	75.0	1.41
	ACCOUNT #: 03009145719	BUY 0 Units @0.0000						
06/11/2018	***-**-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						
06/11/2018	***-**-5152 - DUNN, MICHELE	CAPITAL INCOME BUILDER-A	400.00	11.00	0.00	11.00	75.0	8.25
	ACCOUNT #: 00087316793	BUY 6 Units @63.4800						
06/20/2018	***-**-4932 - BAKER, STEVEN	CAPITAL INCOME BUILDER-A	100.00	2.75	0.00	2.75	75.0	2.06
	ACCOUNT #: 00086683340	BUY 2 Units @62.2100						
06/20/2018	***-**-4932 - BAKER, STEVEN	CAPITAL WORLD BOND FUND-A	75.00	2.06	0.00	2.06	75.0	1.55
	ACCOUNT #: 00086683340	BUY 4 Units @20.1800						
06/11/2018	***-**-4848 - DOGGETT, AMY	CAPITAL WORLD GROWTH AND INCOME FUN	165.00	4.54	0.00	4.54	75.0	3.41
	ACCOUNT #: 00081620466	BUY 3 Units @54.6600						
06/11/2018	***-**-408B - SNIZEK,	CAPITAL WORLD GROWTH AND INCOME FUN	100.00	2.75	0.00	2.75	75.0	2.06
	ACCOUNT #: 00085154620	BUY 2 Units @54.6600						
06/11/2018	***-**-7598 - HUMPF, MINDI	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.69	0.00	0.69	75.0	0.52
	ACCOUNT #: 00085514851	BUY 0 Units @54.6600						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
06/11/2018	***-**-1909 - BASHANT, MATTHEW	CAPITAL WORLD GROWTH AND INCOME FUN	31.50	0.87	0.00	0.87	75.0	0.65
	ACCOUNT #: 00085839015	BUY 1 Units @54.6600						
06/11/2018	***-**-5556 - BURNS, ROBERT	CAPITAL WORLD GROWTH AND INCOME FUN	37.50	1.59	0.00	1.59	75.0	1.19
	ACCOUNT #: 00085993216	BUY 1 Units @55.5300						
06/15/2018	***-**-3143 - HUMPF, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00082277557	BUY 1 Units @53.6500						
06/20/2018	***-**-4932 - BAKER, STEVEN	CAPITAL WORLD GROWTH AND INCOME FUN	125.00	3.44	0.00	3.44	75.0	2.58
	ACCOUNT #: 00086683340	BUY 2 Units @53.2700						
06/04/2018	***-**-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						
06/11/2018	***-**-33IN - 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						
06/11/2018	***-**-1909 - BASHANT, MATTHEW	EUROPACIFIC GROWTH FUND-A	31.50	0.87	0.00	0.87	75.0	0.65
	ACCOUNT #: 00085839015	BUY 1 Units @59.4400						
06/15/2018	***-**-7598 - HUMPF, MINDI	EUROPACIFIC GROWTH FUND-A	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00082278912	BUY 1 Units @56.8700						
06/05/2018	***-**-0911 - SPAZIANI,	FUNDAMENTAL INVESTORS-A	135.00	5.06	0.00	5.06	75.0	3.80
	ACCOUNT #: 00082570536	BUY 2 Units @66.8200						
06/04/2018	***-**-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						
06/11/2018	***-**-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						
06/11/2018	***-**-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						
06/04/2018	***-**-030J - MERRILL,	OPPENHEIMER INTERNATIONAL DIVERSIFI	12.50	0.38	0.00	0.38	75.0	0.29
	ACCOUNT #: 01951261139	BUY 0 Units @0.0000						
06/11/2018	***-**-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						
06/11/2018	***-**-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						
06/11/2018	***-**-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						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
06/04/2018	***-**-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						
06/11/2018	***-**-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						
06/04/2018	***-**-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						
06/11/2018	***-**-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						
06/11/2018	***-**-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						
06/04/2018	***-**-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						
06/11/2018	***-**-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						
06/11/2018	***-**-5556 - BURNS, ROBERT	SMALLCAP WORLD FUND-A	22.50	0.96	0.00	0.96	75.0	0.72
	ACCOUNT #: 00085993216	BUY 0 Units @63.1600						
06/11/2018	***-**-4639 - SCOONES,	THE BOND FUND OF AMERICA-A	90.75	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 00084481157	BUY 7 Units @12.9500						
06/05/2018	***-**-0911 - SPAZIANI,	THE GROWTH FUND OF AMERICA-A	55.00	2.06	0.00	2.06	75.0	1.55
	ACCOUNT #: 00082570536	BUY 1 Units @56.6900						
06/11/2018	***-**-4848 - DOGETT, AMY	THE GROWTH FUND OF AMERICA-A	170.00	4.68	0.00	4.68	75.0	3.51
	ACCOUNT #: 00081620466	BUY 3 Units @56.5600						
06/11/2018	***-**-4639 - SCOONES,	THE GROWTH FUND OF AMERICA-A	93.50	2.57	0.00	2.57	75.0	1.93
	ACCOUNT #: 00084481157	BUY 2 Units @56.5600						
06/11/2018	***-**-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 @56.5600						
06/11/2018	***-**-7598 - HUMPF, MINDI	THE GROWTH FUND OF AMERICA-A	25.00	0.69	0.00	0.69	75.0	0.52
	ACCOUNT #: 00085514851	BUY 0 Units @56.5600						
06/11/2018	***-**-1909 - BASHANT, MATTHEW	THE GROWTH FUND OF AMERICA-A	36.00	0.99	0.00	0.99	75.0	0.74
	ACCOUNT #: 00085839015	BUY 1 Units @56.5600						
06/15/2018	***-**-3143 - HUMPF, JOHN	THE GROWTH FUND OF AMERICA-A	70.00	1.93	0.00	1.93	75.0	1.45
	ACCOUNT #: 00082277557	BUY 1 Units @56.9900						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
06/15/2018	***-**-7598 - HUMPF, MINDI	THE GROWTH FUND OF AMERICA-A	133.00	3.66	0.00	3.66	75.0	2.75
	ACCOUNT #: 00082278912	BUY 2 Units @56.9900						
06/15/2018	***-**-9089 - REEDY, LISA	THE GROWTH FUND OF AMERICA-A	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00083100942	BUY 1 Units @56.9900						
06/05/2018	***-**-0911 - SPAZIANI,	THE INCOME FUND OF AMERICA-A	135.00	5.06	0.00	5.06	75.0	3.80
	ACCOUNT #: 00082570536	BUY 6 Units @24.1700						
06/11/2018	***-**-7598 - HUMPF, MINDI	THE INCOME FUND OF AMERICA-A	25.00	0.69	0.00	0.69	75.0	0.52
	ACCOUNT #: 00085514851	BUY 1 Units @24.0900						
06/11/2018	***-**-1909 - BASHANT, MATTHEW	THE INCOME FUND OF AMERICA-A	25.50	0.70	0.00	0.70	75.0	0.53
	ACCOUNT #: 00085839015	BUY 1 Units @24.0900						
06/11/2018	***-**-0939 - LAWRENCE, JASON	THE INCOME FUND OF AMERICA-A	60.00	3.00	0.00	3.00	75.0	2.25
	ACCOUNT #: 00087909097	BUY 2 Units @24.6700						
06/12/2018	***-**-2146 - JONES, KELLIE	THE INCOME FUND OF AMERICA-A	100.00	5.00	0.00	5.00	75.0	3.75
	ACCOUNT #: 00087644930	BUY 4 Units @24.6800						
06/20/2018	***-**-4932 - BAKER, STEVEN	THE INCOME FUND OF AMERICA-A	150.00	4.13	0.00	4.13	75.0	3.10
	ACCOUNT #: 00086683340	BUY 6 Units @23.6100						
* MUTUAL FUNDS SUBTOTAL *			\$6,813.00	\$225.07	\$0.00	\$225.07		\$168.94

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

06/25/2018	***-**-027I - DAVIS, KATHRYN	FRANKLIN INCOME FUND CLASS A	0.00	1.07	0.00	1.07	75.0	0.80
	ACCOUNT #: LSR010492	BUY 1 Units @0.0000						
06/25/2018	***-**-027I - DAVIS, KATHRYN	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	1.74	0.00	1.74	75.0	1.31
	ACCOUNT #: LSR010492	BUY 1 Units @0.0000						
06/25/2018	***-**-027I - DAVIS, KATHRYN	FRK STRAT INC FND - CL A	0.00	1.47	0.00	1.47	75.0	1.10
	ACCOUNT #: LSR010492	BUY 1 Units @0.0000						
06/25/2018	***-**-46IR - SWANCOTT, KELLIE	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	0.36	0.00	0.36	75.0	0.27
	ACCOUNT #: LSR010508	BUY 1 Units @0.0000						
06/25/2018	***-**-46IR - SWANCOTT, KELLIE	IVK GROWTH AND INCOME FUND - CLASS	0.00	0.56	0.00	0.56	75.0	0.42
	ACCOUNT #: LSR010508	BUY 1 Units @0.0000						
06/25/2018	***-**-027I - DAVIS, KATHRYN	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.95	0.00	0.95	75.0	0.71
	ACCOUNT #: LSR010492	BUY 1 Units @0.0000						
06/25/2018	***-**-027I - DAVIS, KATHRYN	TEMP GLOBAL BOND FND - CL A	0.00	1.44	0.00	1.44	75.0	1.08
	ACCOUNT #: LSR010492	BUY 1 Units @0.0000						



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<u>ADJUSTMENTS (continued)</u>								
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$7.59	\$0.00	\$7.59		\$5.69
		*** BROKER TRANSACTIONS TOTAL ***	\$6,813.00	\$232.66	\$0.00	\$232.66		\$174.63
<u>BROKER COMMISSION TOTALS</u>								
						Broker Transactions		\$174.63
						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		\$174.63
						Year-to-date Earnings		\$35,493.07