



# COMMISSION STATEMENT

February 12, 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 FUNDS</u></b>								
02/01/2018	***-**-48IN - BABCOCK, ROBERT	FRANKLIN INCOME FUND CLASS C	291.46	2.91	0.00	2.91	75.0	2.18
	ACCOUNT #: 000000006719583	BUY 119 Units @2.4400						
		<b>* MUTUAL FUNDS SUBTOTAL *</b>	<b>\$291.46</b>	<b>\$2.91</b>	<b>\$0.00</b>	<b>\$2.91</b>		<b>\$2.18</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
02/07/2018	***-**-2276 - SIMANOFF, FRED	JACKSON NATIONAL PERSPECTIVE II NY	3,000.00	210.00	0.00	210.00	75.0	157.50
	ACCOUNT #: 1201274291	BUY 0 Units @0.0000						
02/07/2018	***-**-5790 - SIMANOFF,	JACKSON NATIONAL PERSPECTIVE II NY	3,000.00	210.00	0.00	210.00	75.0	157.50
	ACCOUNT #: 1201274364	BUY 0 Units @0.0000						
		<b>* VARIABLE ANNUITIES SUBTOTAL *</b>	<b>\$6,000.00</b>	<b>\$420.00</b>	<b>\$0.00</b>	<b>\$420.00</b>		<b>\$315.00</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
01/31/2018	***-**-068P - BIRNS, RICHARD	FRANKLIN INCOME FUND CLASS A	0.00	41.81	0.00	41.81	75.0	31.36
	ACCOUNT #: 000090220987300	BUY 0 Units @0.0000						
01/31/2018	***-**-68TR - BIRNS, RICHARD	FRANKLIN INCOME FUND CLASS A	0.00	9.20	0.00	9.20	75.0	6.90
	ACCOUNT #: 000090226290790	BUY 0 Units @0.0000						
01/31/2018	***-**-68TR - BIRNS, RICHARD	FRANKLIN INCOME FUND CLASS A	0.00	9.20	0.00	9.20	75.0	6.90
	ACCOUNT #: 000090226290889	BUY 0 Units @0.0000						
01/31/2018	***-**-0849 - PONTRELLO, MARIA	FRANKLIN INCOME FUND CLASS A	0.00	5.32	0.00	5.32	75.0	3.99
	ACCOUNT #: 000090238070622	BUY 0 Units @0.0000						
01/31/2018	***-**-0849 - PONTRELLO, MARIA	FRANKLIN INCOME FUND CLASS A	0.00	0.35	0.00	0.35	75.0	0.26
	ACCOUNT #: 000090238071410	BUY 0 Units @0.0000						
01/31/2018	***-**-4948 - PONTRELLO,	FRANKLIN INCOME FUND CLASS A	0.00	6.24	0.00	6.24	75.0	4.68
	ACCOUNT #: 000090238071461	BUY 0 Units @0.0000						
01/31/2018	***-**-4948 - PONTRELLO,	FRANKLIN INCOME FUND CLASS A	0.00	0.35	0.00	0.35	75.0	0.26
	ACCOUNT #: 000090238071473	BUY 0 Units @0.0000						
01/31/2018	***-**-365I - VINGELLI,	FRANKLIN INCOME FUND CLASS A	0.00	2.00	0.00	2.00	75.0	1.50
	ACCOUNT #: 000090239246971	BUY 0 Units @0.0000						
01/31/2018	***-**-48IN - BABCOCK, ROBERT	FRANKLIN INCOME FUND CLASS C	0.00	558.85	0.00	558.85	75.0	419.14
	ACCOUNT #: 000000006719583	BUY 0 Units @0.0000						
01/31/2018	***-**-0849 - PONTRELLO, MARIA	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	10.97	0.00	10.97	75.0	8.23
	ACCOUNT #: 000015814965558	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/31/2018	***-**-0849 - PONTRELLO, MARIA	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	0.71	0.00	0.71	75.0	0.53
	ACCOUNT #: 000015814965735	BUY 0 Units @0.0000						
01/31/2018	***-**-4948 - PONTRELLO,	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	8.16	0.00	8.16	75.0	6.12
	ACCOUNT #: 000015814965750	BUY 0 Units @0.0000						
01/31/2018	***-**-4948 - PONTRELLO,	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	0.71	0.00	0.71	75.0	0.53
	ACCOUNT #: 000015814965762	BUY 0 Units @0.0000						
01/31/2018	***-**-485P - BABCOCK, ROBERT	FRK HIGH INC FND - CL A	0.00	7.40	0.00	7.40	75.0	5.55
	ACCOUNT #: 000050101725688	BUY 0 Units @0.0000						
01/31/2018	***-**-068P - BIRNS, RICHARD	FRK REAL EST SEC FND - CL A	0.00	56.28	0.00	56.28	75.0	42.21
	ACCOUNT #: 000019211984885	BUY 0 Units @0.0000						
01/31/2018	***-**-0849 - PONTRELLO, MARIA	FRK STRAT INC FND - CL A	0.00	24.55	0.00	24.55	75.0	18.41
	ACCOUNT #: 000019413757319	BUY 0 Units @0.0000						
01/31/2018	***-**-0849 - PONTRELLO, MARIA	FRK STRAT INC FND - CL A	0.00	1.58	0.00	1.58	75.0	1.19
	ACCOUNT #: 000019413757473	BUY 0 Units @0.0000						
01/31/2018	***-**-4948 - PONTRELLO,	FRK STRAT INC FND - CL A	0.00	15.56	0.00	15.56	75.0	11.67
	ACCOUNT #: 000019413757497	BUY 0 Units @0.0000						
01/31/2018	***-**-4948 - PONTRELLO,	FRK STRAT INC FND - CL A	0.00	1.58	0.00	1.58	75.0	1.19
	ACCOUNT #: 000019413757509	BUY 0 Units @0.0000						
01/31/2018	***-**-13IN - SANDAS, ANTHONY	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	4.27	0.00	4.27	75.0	3.20
	ACCOUNT #: 000000003159845	BUY 0 Units @0.0000						
01/31/2018	***-**-68CL - BIRNS, CLIENTS	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	35.26	0.00	35.26	75.0	26.45
	ACCOUNT #: 000000006103372	BUY 0 Units @0.0000						
01/31/2018	***-**-68CL - BIRNS, CLIENTS	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	20.26	0.00	20.26	75.0	15.20
	ACCOUNT #: 000000006103384	BUY 0 Units @0.0000						
01/31/2018	***-**-068P - BIRNS, RICHARD	FRK UTIL FND - CL A	0.00	92.88	0.00	92.88	75.0	69.66
	ACCOUNT #: 000070186599048	BUY 0 Units @0.0000						
01/31/2018	***-**-365I - VINGELLI,	FRK UTIL FND - CL A	0.00	1.93	0.00	1.93	75.0	1.45
	ACCOUNT #: 000070188269204	BUY 0 Units @0.0000						
01/31/2018	***-**-712I - BIRNS, BONNIE	TEMP DEV MRKTS TR FND - CL A	0.00	9.52	0.00	9.52	75.0	7.14
	ACCOUNT #: 000000001796456	BUY 0 Units @0.0000						
01/31/2018	***-**-46IN - CANCELLA,	TEMP DEV MRKTS TR FND - CL A	0.00	6.06	0.00	6.06	75.0	4.55
	ACCOUNT #: 000000005091121	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/31/2018	***-**-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						
01/31/2018	***-**-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						
01/31/2018	***-**-0849 - PONTRELLO, MARIA	TEMP GLOBAL BOND FND - CL A	0.00	24.53	0.00	24.53	75.0	18.40
	ACCOUNT #: 000006985268571	BUY 0 Units @0.0000						
01/31/2018	***-**-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						
01/31/2018	***-**-4948 - PONTRELLO,	TEMP GLOBAL BOND FND - CL A	0.00	15.60	0.00	15.60	75.0	11.70
	ACCOUNT #: 000006985269395	BUY 0 Units @0.0000						
01/31/2018	***-**-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						
01/31/2018	***-**-712I - BIRNS, BONNIE	TEMPLETON GROWTH FUND CLASS A	0.00	25.00	0.00	25.00	75.0	18.75
	ACCOUNT #: 000001950475080	BUY 0 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$1,015.55</b>	<b>\$0.00</b>	<b>\$1,015.55</b>		<b>\$761.70</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$6,291.46</b>	<b>\$1,438.46</b>	<b>\$0.00</b>	<b>\$1,438.46</b>		<b>\$1,078.88</b>



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			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$1,078.88
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$1.52
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$1,080.40
						Year-to-date Earnings		\$335.93