



COMMISSION STATEMENT

January 22, 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
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/01/2018	***-**-593I - LA, QUYEN	AIM CHARTER FUND - CLASS A	0.00	2.22	0.00	2.22	75.0	1.67
	ACCOUNT #: 03911712804	BUY 0 Units @0.0000						
01/01/2018	***-**-098P - TOKAR, STEPHANIE	AIM CHARTER FUND - CLASS A	0.00	4.29	0.00	4.29	75.0	3.22
	ACCOUNT #: 04027919598	BUY 0 Units @0.0000						
01/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHARTER FUND - CLASS A	0.00	15.79	0.00	15.79	75.0	11.84
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
01/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHINA FUND - CLASS A	0.00	13.52	0.00	13.52	75.0	10.14
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
01/01/2018	***-**-712I - BIRNS, BONNIE	AIM GLOBAL AGGRESSIVE GROWTH FUND C	0.00	13.74	0.00	13.74	75.0	10.31
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
01/01/2018	***-**-593I - LA, QUYEN	AIM GLOBAL GROWTH FUND - CLASS A	0.00	1.04	0.00	1.04	75.0	0.78
	ACCOUNT #: 03911712804	BUY 0 Units @0.0000						
01/01/2018	***-**-712I - BIRNS, BONNIE	AIM UTILITIES FUND - CLASS A	0.00	17.57	0.00	17.57	75.0	13.18
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
01/08/2018	***-**-37UG - REID, JORDAN M	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	0.72	0.00	0.72	75.0	0.54
	ACCOUNT #: 04718913697	BUY 0 Units @0.0000						
01/08/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	17.17	0.00	17.17	75.0	12.88
	ACCOUNT #: 05000189227	BUY 0 Units @0.0000						
01/08/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCEBERNSTEIN GROWTH A	0.00	21.30	0.00	21.30	75.0	15.98
	ACCOUNT #: 03310152452	BUY 0 Units @0.0000						
01/22/2018	***-**-31UG - GIFT MIN ACT NY,	COLUMBIA FUNDS MF TRAILS	0.00	2.19	0.00	2.19	75.0	1.64
	ACCOUNT #: 08695273866	BUY 0 Units @0.0000						
01/02/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	0.00	1.62	0.00	1.62	75.0	1.22
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
01/02/2018	***-**-68IN - BIRNS, RICHARD	HARTFORD CAPITAL APPRECIATION FUND	0.00	14.79	0.00	14.79	75.0	11.09
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
01/01/2018	***-**-593I - LA, QUYEN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	0.63	0.00	0.63	75.0	0.47
	ACCOUNT #: 03911712804	BUY 0 Units @0.0000						
01/01/2018	***-**-712I - BIRNS, BONNIE	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	16.07	0.00	16.07	75.0	12.05
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
01/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM GLOBAL EQUITY FUND CLASS A	0.00	1.65	0.00	1.65	75.0	1.24
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	6.25	0.00	6.25	75.0	4.69
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
01/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM INTERNATIONAL EQUITY-A	0.00	0.73	0.00	0.73	75.0	0.55
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
01/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM INTL NEW OPPORT-A	0.00	3.97	0.00	3.97	75.0	2.98
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
01/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	6.29	0.00	6.29	75.0	4.72
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
01/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.11	0.00	1.11	75.0	0.83
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
01/02/2018	***-**-447P - BIRNS, PHYLLIS	THE HARTFORD CAPITAL APPRECIATION F	0.00	2.61	0.00	2.61	75.0	1.96
	ACCOUNT #: 00000700389	BUY 0 Units @0.0000						
01/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD CAPITAL APPRECIATION F	0.00	20.35	0.00	20.35	75.0	15.26
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
01/02/2018	***-**-85IN - SEAMAN,	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.39	0.00	1.39	75.0	1.04
	ACCOUNT #: 00022087686	BUY 0 Units @0.0000						
01/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	9.41	0.00	9.41	75.0	7.06
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
01/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F	0.00	2.48	0.00	2.48	75.0	1.86
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
01/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND	0.00	1.04	0.00	1.04	75.0	0.78
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
01/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD INTL OPPORTUNITIES FD-	0.00	12.52	0.00	12.52	75.0	9.39
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
01/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD MID CAP FUND-A	0.00	20.49	0.00	20.49	75.0	15.37
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
01/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	0.00	2.35	0.00	2.35	75.0	1.76
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$235.30	\$0.00	\$235.30		\$176.50
*** BROKER TRANSACTIONS TOTAL ***			\$0.00	\$235.30	\$0.00	\$235.30		\$176.50



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BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER COMMISSION TOTALS								
Broker Transactions \$176.50								
Split Transactions \$0.00								
Override Transactions \$0.00								
Adjustments \$0.00								
Payroll Draw \$0.00								
Base Salary \$0.00								
Prior Period Balance \$60.82								
FINRA Assessment \$0.00								
SIPC Assessment \$0.00								
Net Commission Earned \$237.32								
Year-to-date Earnings \$1,816.00								