



COMMISSION STATEMENT

January 15, 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>								
01/02/2018	***-**-3246 - SGROI, TERESA	AMCAP FUND-A	50.00	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 00089976714	BUY 1 Units @33.8400						
01/02/2018	***-**-9408 - SNIZEK,	AMERICAN BALANCED FUND-A	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00085099445	BUY 2 Units @28.2400						
01/05/2018	***-**-0911 - SPAZIANI,	AMERICAN BALANCED FUND-A	135.00	5.06	0.00	5.06	75.0	3.80
	ACCOUNT #: 00082570536	BUY 5 Units @28.8400						
01/02/2018	***-**-9408 - SNIZEK,	AMERICAN HIGH-INCOME TRUST-A	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00085099445	BUY 5 Units @10.7600						
01/05/2018	***-**-0911 - SPAZIANI,	AMERICAN HIGH-INCOME TRUST-A	80.00	2.40	0.00	2.40	75.0	1.80
	ACCOUNT #: 00082570536	BUY 7 Units @10.8600						
01/02/2018	***-**-6469 - BENNETT, DAVID	AMERICAN MUTUAL FUND-A	50.00	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 00088370668	BUY 1 Units @43.5800						
01/02/2018	***-**-9408 - SNIZEK,	AMERICAN MUTUAL FUND-A	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00085099445	BUY 1 Units @42.5600						
01/02/2018	***-**-2119 - BENNETT, COLLEEN	AMERICAN MUTUAL FUND-A	50.00	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 00088366890	BUY 1 Units @43.5800						
01/02/2018	***-**-3246 - SGROI, TERESA	CAPITAL INCOME BUILDER-A	50.00	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 00089976714	BUY 1 Units @66.9000						
01/05/2018	***-**-0911 - SPAZIANI,	FUNDAMENTAL INVESTORS-A	135.00	5.06	0.00	5.06	75.0	3.80
	ACCOUNT #: 00082570536	BUY 2 Units @66.9100						
01/02/2018	***-**-6790 - DRAKE, ROBERT	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	75.0	1.13
	ACCOUNT #: 00086643595	BUY 4 Units @13.3600						
01/02/2018	***-**-9408 - SNIZEK,	THE GROWTH FUND OF AMERICA-A	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00085099445	BUY 1 Units @51.9800						
01/05/2018	***-**-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 @53.5600						
01/02/2018	***-**-6790 - DRAKE, ROBERT	THE INCOME FUND OF AMERICA-A	75.00	2.81	0.00	2.81	75.0	2.11
	ACCOUNT #: 00086643595	BUY 3 Units @24.5400						
01/05/2018	***-**-0911 - SPAZIANI,	THE INCOME FUND OF AMERICA-A	135.00	5.06	0.00	5.06	75.0	3.80
	ACCOUNT #: 00082570536	BUY 5 Units @24.7700						
* MUTUAL FUNDS SUBTOTAL *			\$1,065.00	\$39.47	\$0.00	\$39.47		\$29.67



COMMISSION STATEMENT

January 15, 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 (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/31/2017	***-**-5453 - O'HARA, DARLENE	CAPITAL APPRECIATION A	0.00	3.53	0.00	3.53	75.0	2.65
	ACCOUNT #: 03209265036	BUY 0 Units @0.0000						
12/31/2017	***-**-70IN - KING, SUSAN	CAPITAL APPRECIATION A	0.00	9.31	0.00	9.31	75.0	6.98
	ACCOUNT #: 03210336612	BUY 0 Units @0.0000						
12/31/2017	***-**-4932 - BAKER, STEVEN	CAPITAL INCOME A	0.00	4.66	0.00	4.66	75.0	3.50
	ACCOUNT #: 03008792487	BUY 0 Units @0.0000						
12/31/2017	***-**-453B - OHARA, DARLENE	CAPITAL INCOME A	0.00	8.84	0.00	8.84	75.0	6.63
	ACCOUNT #: 03008795809	BUY 0 Units @0.0000						
12/31/2017	***-**-030J - MERRILL,	CAPITAL INCOME A	0.00	1.03	0.00	1.03	75.0	0.77
	ACCOUNT #: 03009145719	BUY 0 Units @0.0000						
12/31/2017	***-**-481J - MERRILL, JASON	CAPITAL INCOME A	0.00	0.97	0.00	0.97	75.0	0.73
	ACCOUNT #: 03009145730	BUY 0 Units @0.0000						
12/31/2017	***-**-481J - MERRILL, JASON	CASH RESERVES A	0.00	0.00	0.00	0.00	75.0	0.00
	ACCOUNT #: 07603703689	BUY 0 Units @0.0000						
12/31/2017	***-**-030J - MERRILL,	CASH RESERVES A	0.00	0.00	0.00	0.00	75.0	0.00
	ACCOUNT #: 07603703755	BUY 0 Units @0.0000						
12/31/2017	***-**-5453 - O'HARA, DARLENE	EQUITY INCOME FUND, INC. A	0.00	5.65	0.00	5.65	75.0	4.24
	ACCOUNT #: 02401404062	BUY 0 Units @0.0000						
12/31/2017	***-**-70IN - KING, SUSAN	EQUITY INCOME FUND, INC. A	0.00	2.84	0.00	2.84	75.0	2.13
	ACCOUNT #: 08351548041	BUY 0 Units @0.0000						
12/31/2017	***-**-33IN - KING, JOHN	EQUITY INCOME FUND, INC. A	0.00	3.83	0.00	3.83	75.0	2.87
	ACCOUNT #: 08351548074	BUY 0 Units @0.0000						
12/31/2017	***-**-4932 - BAKER, STEVEN	EQUITY INCOME FUND, INC. A	0.00	4.97	0.00	4.97	75.0	3.73
	ACCOUNT #: 08352551208	BUY 0 Units @0.0000						
12/31/2017	***-**-453B - OHARA, DARLENE	EQUITY INCOME FUND, INC. A	0.00	9.40	0.00	9.40	75.0	7.05
	ACCOUNT #: 08352560668	BUY 0 Units @0.0000						
12/31/2017	***-**-030J - MERRILL,	INTERNATIONAL DIVERSIFIED FUND N	0.00	1.23	0.00	1.23	75.0	0.92
	ACCOUNT #: 01980118393	BUY 0 Units @0.0000						
12/31/2017	***-**-030J - MERRILL,	INTERNATIONAL DIVERSIFIED FUND N	0.00	0.03	0.00	0.03	75.0	0.02
	ACCOUNT #: 01980118393	BUY 0 Units @0.0000						
12/31/2017	***-**-33IN - KING, JOHN	MAIN STREET FUND A	0.00	2.96	0.00	2.96	75.0	2.22
	ACCOUNT #: 04206247879	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 15, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/31/2017	***-**-481J - MERRILL, JASON	OPP PORT SERIES: MOD INV FD A	0.00	39.60	0.00	39.60	75.0	29.70
	ACCOUNT #: 05450490435	BUY 0 Units @0.0000						
12/31/2017	***-**-030J - MERRILL,	OPP PORT SERIES: MOD INV FD A	0.00	19.41	0.00	19.41	75.0	14.56
	ACCOUNT #: 05450490490	BUY 0 Units @0.0000						
12/31/2017	***-**-5453 - O'HARA, DARLENE	OPPENHEIMER CORE BOND FUND A	0.00	0.68	0.00	0.68	75.0	0.51
	ACCOUNT #: 02851702085	BUY 0 Units @0.0000						
12/31/2017	***-**-5453 - O'HARA, DARLENE	OPPENHEIMER CORE BOND FUND A	0.00	1.43	0.00	1.43	75.0	1.07
	ACCOUNT #: 02851702096	BUY 0 Units @0.0000						
12/31/2017	***-**-70IN - KING, SUSAN	OPPENHEIMER CORE BOND FUND A	0.00	0.79	0.00	0.79	75.0	0.59
	ACCOUNT #: 02852063622	BUY 0 Units @0.0000						
12/31/2017	***-**-33IN - KING, JOHN	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	6.26	0.00	6.26	75.0	4.70
	ACCOUNT #: 07859653204	BUY 0 Units @0.0000						
12/31/2017	***-**-70IN - KING, SUSAN	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.64	0.00	0.64	75.0	0.48
	ACCOUNT #: 07859845440	BUY 0 Units @0.0000						
12/31/2017	***-**-5453 - O'HARA, DARLENE	OPPENHEIMER DISCOVERY CLASS A	0.00	6.79	0.00	6.79	75.0	5.09
	ACCOUNT #: 07453729187	BUY 0 Units @0.0000						
12/31/2017	***-**-481J - MERRILL, JASON	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	3.63	0.00	3.63	75.0	2.72
	ACCOUNT #: 01951261073	BUY 0 Units @0.0000						
12/31/2017	***-**-030J - MERRILL,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	1.28	0.00	1.28	75.0	0.96
	ACCOUNT #: 01951261139	BUY 0 Units @0.0000						
12/31/2017	***-**-70IN - KING, SUSAN	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	2.82	0.00	2.82	75.0	2.12
	ACCOUNT #: 01951897060	BUY 0 Units @0.0000						
12/31/2017	***-**-70IN - KING, SUSAN	OPPENHEIMER MAIN STREET OPPORTUNITY	0.00	2.60	0.00	2.60	75.0	1.95
	ACCOUNT #: 07315104495	BUY 0 Units @0.0000						
12/31/2017	***-**-5453 - O'HARA, DARLENE	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	8.31	0.00	8.31	75.0	6.23
	ACCOUNT #: 08475741681	BUY 0 Units @0.0000						
12/31/2017	***-**-33IN - KING, JOHN	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	7.18	0.00	7.18	75.0	5.39
	ACCOUNT #: 08476672325	BUY 0 Units @0.0000						
12/31/2017	***-**-70IN - KING, SUSAN	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	5.47	0.00	5.47	75.0	4.10
	ACCOUNT #: 08476711969	BUY 0 Units @0.0000						
12/31/2017	***-**-33IN - KING, JOHN	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	6.80	0.00	6.80	75.0	5.10
	ACCOUNT #: 02514166107	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 15, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/31/2017	***-**-70IN - KING, SUSAN	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	4.47	0.00	4.47	75.0	3.35
	ACCOUNT #: 02305070453	BUY 0 Units @0.0000						
12/31/2017	***-**-33IN - KING, JOHN	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	0.25	0.00	0.25	75.0	0.19
	ACCOUNT #: 02305070475	BUY 0 Units @0.0000						
12/31/2017	***-**-4932 - BAKER, STEVEN	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	4.61	0.00	4.61	75.0	3.46
	ACCOUNT #: 02306510122	BUY 0 Units @0.0000						
12/31/2017	***-**-453B - OHARA, DARLENE	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	8.60	0.00	8.60	75.0	6.45
	ACCOUNT #: 02306518823	BUY 0 Units @0.0000						
12/31/2017	***-**-030J - MERRILL,	PORTFOLIO SERIES: MODERATE INVESTOR	0.00	10.45	0.00	10.45	75.0	7.84
	ACCOUNT #: 05480060203	BUY 0 Units @0.0000						
12/31/2017	***-**-030J - MERRILL,	PORTFOLIO SERIES: MODERATE INVESTOR	0.00	0.88	0.00	0.88	75.0	0.66
	ACCOUNT #: 05480060203	BUY 0 Units @0.0000						
12/31/2017	***-**-70IN - KING, SUSAN	RISING DIVIDENDS FUND A	0.00	5.20	0.00	5.20	75.0	3.90
	ACCOUNT #: 02253478497	BUY 0 Units @0.0000						
12/31/2017	***-**-4932 - BAKER, STEVEN	RISING DIVIDENDS FUND A	0.00	5.07	0.00	5.07	75.0	3.80
	ACCOUNT #: 02254109468	BUY 0 Units @0.0000						
12/31/2017	***-**-453B - OHARA, DARLENE	RISING DIVIDENDS FUND A	0.00	9.58	0.00	9.58	75.0	7.19
	ACCOUNT #: 02254115661	BUY 0 Units @0.0000						
12/31/2017	***-**-33IN - KING, JOHN	RISING DIVIDENDS FUND A	0.00	2.67	0.00	2.67	75.0	2.00
	ACCOUNT #: 02254507140	BUY 0 Units @0.0000						
12/31/2017	***-**-030J - MERRILL,	SELECT VALUE FUND A	0.00	1.07	0.00	1.07	75.0	0.80
	ACCOUNT #: 06000782386	BUY 0 Units @0.0000						
12/31/2017	***-**-481J - MERRILL, JASON	SELECT VALUE FUND A	0.00	1.01	0.00	1.01	75.0	0.76
	ACCOUNT #: 06000782397	BUY 0 Units @0.0000						
12/31/2017	***-**-5453 - O'HARA, DARLENE	VALUE FUND A	0.00	6.08	0.00	6.08	75.0	4.56
	ACCOUNT #: 03751903044	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$232.88	\$0.00	\$232.88		\$174.67
*** BROKER TRANSACTIONS TOTAL ***			\$1,065.00	\$272.35	\$0.00	\$272.35		\$204.34



BROKER #: A36
BRANCH #01016 - 16 - CASPER

			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$204.34
						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		\$204.34
						Year-to-date Earnings		\$1,646.01