



COMMISSION STATEMENT

June 18, 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 FUNDS</u>								
06/04/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	64.80	1.30	0.00	1.30	75.0	0.98
	ACCOUNT #: 00000647924	BUY 3 Units @19.6400						
06/04/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F	64.80	1.30	0.00	1.30	75.0	0.98
	ACCOUNT #: 00000647924	BUY 2 Units @40.9100						
06/04/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F	64.80	1.30	0.00	1.30	75.0	0.98
	ACCOUNT #: 00000647924	BUY 1 Units @50.3300						
06/04/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND	64.80	1.30	0.00	1.30	75.0	0.98
	ACCOUNT #: 00000647924	BUY 4 Units @16.3900						
06/04/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	64.80	1.30	0.00	1.30	75.0	0.98
	ACCOUNT #: 00000647924	BUY 1 Units @62.7000						
* MUTUAL FUNDS SUBTOTAL *			\$324.00	\$6.50	\$0.00	\$6.50		\$4.90
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
06/11/2018	***-**-2276 - SIMANOFF, FRED	JACKSON NATIONAL PERSPECTIVE II NY	15,000.00	1,050.00	0.00	1,050.00	75.0	787.50
	ACCOUNT #: 1201274291	BUY 0 Units @0.0000						
06/11/2018	***-**-5790 - SIMANOFF,	JACKSON NATIONAL PERSPECTIVE II NY	15,000.00	1,050.00	0.00	1,050.00	75.0	787.50
	ACCOUNT #: 1201274364	BUY 0 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$30,000.00	\$2,100.00	\$0.00	\$2,100.00		\$1,575.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/18/2018	***-**-31UG - GIFT MIN ACT NY,	COLUMBIA THREADNEEDLE TRAILS	0.00	2.32	0.00	2.32	75.0	1.74
		BUY 0 Units @0.0000						
06/04/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	0.00	1.76	0.00	1.76	75.0	1.32
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
06/04/2018	***-**-68IN - BIRNS, RICHARD	HARTFORD CAPITAL APPRECIATION FUND	0.00	15.53	0.00	15.53	75.0	11.65
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
06/04/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.27	0.00	1.27	75.0	0.95
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
06/04/2018	***-**-447P - BIRNS, PHYLLIS	THE HARTFORD CAPITAL APPRECIATION F	0.00	2.71	0.00	2.71	75.0	2.03
	ACCOUNT #: 00000700389	BUY 0 Units @0.0000						
06/04/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD CAPITAL APPRECIATION F	0.00	22.18	0.00	22.18	75.0	16.64
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						



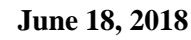
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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/04/2018	***-**-85IN - SEAMAN, ACCOUNT #: 00022087686	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	1.45	0.00	1.45	75.0	1.09
06/04/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD DIVIDEND & GROWTH FUND BUY 0 Units @0.0000	0.00	9.41	0.00	9.41	75.0	7.06
06/04/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD GROWTH OPPORTUNITIES F BUY 0 Units @0.0000	0.00	2.85	0.00	2.85	75.0	2.14
06/04/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD INTL CAPITAL APP. FUND BUY 0 Units @0.0000	0.00	1.21	0.00	1.21	75.0	0.91
06/04/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD INTL OPPORTUNITIES FD- BUY 0 Units @0.0000	0.00	13.65	0.00	13.65	75.0	10.24
06/04/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD MID CAP FUND-A BUY 0 Units @0.0000	0.00	22.42	0.00	22.42	75.0	16.82
06/04/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD SMALL CAP GROWTH FD-A BUY 0 Units @0.0000	0.00	2.63	0.00	2.63	75.0	1.97
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$99.39	\$0.00	\$99.39		\$74.56
*** BROKER TRANSACTIONS TOTAL ***			\$30,324.00	\$2,205.89	\$0.00	\$2,205.89		\$1,654.46



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BROKER COMMISSION TOTALS								
						Broker Transactions		\$1,654.46
						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		\$1,655.98
						Year-to-date Earnings		\$16,687.36