



# COMMISSION STATEMENT

## February 19, 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 FUND 12B1 TRAILS</u></b>								
02/02/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	0.00	1.70	0.00	1.70	75.0	1.28
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
02/02/2018	***-**-68IN - BIRNS, RICHARD	HARTFORD CAPITAL APPRECIATION FUND	0.00	15.50	0.00	15.50	75.0	11.63
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
02/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.16	0.00	1.16	75.0	0.87
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
02/02/2018	***-**-447P - BIRNS, PHYLLIS	THE HARTFORD CAPITAL APPRECIATION F	0.00	2.73	0.00	2.73	75.0	2.05
	ACCOUNT #: 00000700389	BUY 0 Units @0.0000						
02/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD CAPITAL APPRECIATION F	0.00	21.32	0.00	21.32	75.0	15.99
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
02/02/2018	***-**-85IN - SEAMAN,	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.46	0.00	1.46	75.0	1.10
	ACCOUNT #: 00022087686	BUY 0 Units @0.0000						
02/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	9.81	0.00	9.81	75.0	7.36
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
02/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F	0.00	2.62	0.00	2.62	75.0	1.97
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
02/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND	0.00	1.11	0.00	1.11	75.0	0.83
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
02/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD INTL OPPORTUNITIES FD-	0.00	13.35	0.00	13.35	75.0	10.01
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
02/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD MID CAP FUND-A	0.00	21.39	0.00	21.39	75.0	16.04
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
02/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	0.00	2.46	0.00	2.46	75.0	1.85
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$94.61</b>	<b>\$0.00</b>	<b>\$94.61</b>		<b>\$70.98</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$0.00</b>	<b>\$94.61</b>	<b>\$0.00</b>	<b>\$94.61</b>		<b>\$70.98</b>



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		INVESTMENT	GROSS	CLEARING	NET	BROKER
DATE	CLIENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	COMMISSION
<div>BROKER COMMISSION TOTALS</div>						
				Broker Transactions		\$70.98
				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
Please Retain for Your Records				<div>Balance Forward\$70.98</div> <div>Year-to-date Earnings\$0.00</div>		
THERE WILL BE NO PAYMENT THIS PERIOD						