NET

04/17/2018

BROKER

Page No.



LIBERTY PARTNERS

STATEMENT April 20, 2018

RICHARD KLEIN

24 Aster Court

Commack, NY 11725-

BROKER #: 292

GROSS

BRANCH: LA BRANCH

CLEARING

## COMMISSION STATEMENT for RICHARD KLEIN

INVESTMENT

TRADE DATE CLIENT	INVESTMENT B/S	AMOUNT	COMMISSION	CHARGE	POSTAGE	COMMISSION RATE	COMMISSION
	BROKER TRANS	SACTIONS					
PRODUCT CATEGORY: STOCKS							
03/05/2018 # SOLOUNIAS, MICHEL	NATIONAL CINEMEDIA INC S	1,480.75	71.69	19.95	0.00	51.74 85.0	43.98
03/13/2018 # JOHNSON, JULIE	CORNERSTONE STRATEGIC VALUE FD COMM B	7,943.50	207.46	19.95	0.00	187.51 85.0	159.38
03/13/2018 # JOHNSON, JULIE	CORNERSTONE TOTAL RETURN FUND COMMO B	7,923.50	207.17	19.95	0.00	187.22 85.0	159.14
03/13/2018 # JOHNSON, EMILY	CORNERSTONE TOTAL RETURN FUND COMMO B	6,733.36	198.09	19.95	0.00	178.14 85.0	151.42
03/13/2018 # KLEIN, DANIELLE	CORNERSTONE TOTAL RETURN FUND COMMO B	7,920.00	20.00	19.95	0.00	0.05 85.0	0.04
03/13/2018 # JOHNSON, JULIE	WESTERN ASSET MORTGAGE CAPITAL CORP S	6,824.25	210.58	19.95	0.00	190.63 85.0	162.04
03/13/2018 # JOHNSON, EMILY	WESTERN ASSET MORTGAGE CAPITAL CORP S	1,955.12	84.05	19.95	0.00	64.10 85.0	54.49
03/13/2018 # JOHNSON, JULIE	WESTERN ASSET MORTGAGE CAPITAL CORP S	2,925.15	110.17	19.95	0.00	90.22 85.0	76.69
03/13/2018 # BRACE, STEPHEN	WESTERN ASSET MORTGAGE CAPITAL CORP S	9,735.10	281.94	19.95	0.00	261.99 85.0	222.69
	* STOCKS SUBTOTAL *	\$53,440.73	\$1,391.15	\$179.55	\$0.00	\$1,211.60	\$1,029.87
	*** BROKER TRANSACTIONS TOTAL ***	\$53,440.73	\$1,391.15	\$179.55	\$0.00	\$1,211.60	\$1,029.87
	ADJUSTM	ENTS					
04/20/2018	ADMIN FEE: ADMIN FEE	_					-390.00
04/20/2018	FINRA: FINRA ANNUAL ASSESMENT FEE						-215.00
	*** ADJUSTMENTS TOTAL ***					-	\$-605.00

## BROKER COMMISSION TOTALS \$1,029.87 Broker Transactions Split Transactions \$0.00 \$0.00 Override Transactions Adjustments \$-605.00 Payroll Draw \$0.00 Base Salary \$0.00 \$0.00 Prior Period Balance FINRA Assessment \$0.00 \$0.00 SIPC Assessment \$424.87 Check Amount