



# COMMISSION STATEMENT

April 02, 2018

RICK SOWERS

BROKER #: STPBR

BRANCH #01002 - 02 - SOWERS

| DATE   | CLIENT                         | INVESTMENT                                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                            |                                |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b> |                                |  |                      |                     |                    |                   |      |                      |
| 03/29/2018   | ***-**-9806 - KERINS, MARILYN  | GENWORTH 37250G327                               | 0.00                 | 11.06               | 0.00               | 11.06             | 90.0 | 9.95                 |
|  | ACCOUNT #: T06433169           | BUY 0 Units @0.0000                              |                      |                     |                    |                   |      |                      |
|  |                                | <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$11.06</b>      | <b>\$0.00</b>      | <b>\$11.06</b>    |      | <b>\$9.95</b>        |
|  |                                | <b>*** BROKER TRANSACTIONS TOTAL ***</b>         | <b>\$0.00</b>        | <b>\$11.06</b>      | <b>\$0.00</b>      | <b>\$11.06</b>    |      | <b>\$9.95</b>        |
| <b><u>OVERRIDE TRANSACTIONS</u></b>                          |                                |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: CHRISTOPHER MILGROOM</u></b>                   |                                |  |                      |                     |                    |                   |      |                      |
| 03/20/2018   | ***-**-461I - CAMPBELL, COLIN  | CAPITAL WORLD GROWTH AND INCOME FUN              | 180.00               | 4.95                | 0.00               | 4.95              | 15.0 | 0.74                 |
|  | ACCOUNT #: 00084984880         | BUY 3 Units @54.1500                             |                      |                     |                    |                   |      |                      |
| 03/20/2018   | ***-**-461I - CAMPBELL, COLIN  | EUROPACIFIC GROWTH FUND-A                        | 180.00               | 4.95                | 0.00               | 4.95              | 15.0 | 0.74                 |
|  | ACCOUNT #: 00084984880         | BUY 3 Units @59.6400                             |                      |                     |                    |                   |      |                      |
| 03/24/2018   | ***-**-9807 - IONESCU, EMANUEL | ING ADVANTAGE SELECT                             | 0.00                 | 3.21                | 0.00               | 3.21              | 15.0 | 0.48                 |
|  | ACCOUNT #: R080009-ZS          | BUY 0 Units @0.0000                              |                      |                     |                    |                   |      |                      |
| 03/27/2018   | ***-**-6062 - FIGUERAS,        | ING ADVANTAGE SELECT                             | 0.00                 | 10.92               | 0.00               | 10.92             | 15.0 | 1.64                 |
|  | ACCOUNT #: R077163-ZS          | BUY 0 Units @0.0000                              |                      |                     |                    |                   |      |                      |
| 03/27/2018   | ***-**-2107 - FIGUERAS, DAURIS | ING ADVANTAGE SELECT                             | 0.00                 | 26.07               | 0.00               | 26.07             | 15.0 | 3.91                 |
|  | ACCOUNT #: R077170-ZS          | BUY 0 Units @0.0000                              |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-67CL - MILGROOM,        | INVESCO GLOBAL REAL ESTATE FUND -CL              | 20.04                | 0.15                | 0.00               | 0.15              | 15.0 | 0.02                 |
|  | ACCOUNT #: 07123000351         | BUY 2 Units @13.1000                             |                      |                     |                    |                   |      |                      |
| 03/20/2018   | ***-**-461I - CAMPBELL, COLIN  | THE GROWTH FUND OF AMERICA-A                     | 180.00               | 4.95                | 0.00               | 4.95              | 15.0 | 0.74                 |
|  | ACCOUNT #: 00084984880         | BUY 3 Units @54.6300                             |                      |                     |                    |                   |      |                      |
|  |                                | <b>* CHRISTOPHER MILGROOM SUBTOTAL *</b>         | <b>\$560.04</b>      | <b>\$55.20</b>      | <b>\$0.00</b>      | <b>\$55.20</b>    |      | <b>\$8.27</b>        |
|  |                                | <b>*** OVERRIDE TRANSACTIONS TOTAL ***</b>       | <b>\$560.04</b>      | <b>\$55.20</b>      | <b>\$0.00</b>      | <b>\$55.20</b>    |      | <b>\$8.27</b>        |



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|------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|

## BROKER COMMISSION TOTALS

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$9.95  |
| Split Transactions    | \$0.00  |
| Override Transactions | \$8.27  |
| Adjustments           | \$0.00  |
| Payroll Draw          | \$0.00  |
| Base Salary           | \$0.00  |
| Prior Period Balance  | \$75.04 |
| FINRA Assessment      | \$0.00  |
| SIPC Assessment       | \$0.00  |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |                   |
|------------------------------|-------------------|
| <b>Balance Forward</b>       | <b>\$93.26</b>    |
| <b>Year-to-date Earnings</b> | <b>\$1,061.35</b> |