



COMMISSION STATEMENT

August 27, 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: VARIABLE ANNUITIES</u> | | | | | | | | |
| 08/23/2018 | ***-**-2276 - SIMANOFF, FRED | JACKSON NATIONAL PERSPECTIVE II NY | 5,000.00 | 350.00 | 0.00 | 350.00 | 75.0 | 262.50 |
| | ACCOUNT #: 1201274291 | BUY 0 Units @0.0000 | | | | | | |
| 08/23/2018 | ***-**-5790 - SIMANOFF, | JACKSON NATIONAL PERSPECTIVE II NY | 5,000.00 | 350.00 | 0.00 | 350.00 | 75.0 | 262.50 |
| | ACCOUNT #: 1201274364 | BUY 0 Units @0.0000 | | | | | | |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$10,000.00 | \$700.00 | \$0.00 | \$700.00 | | \$525.00 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 07/31/2018 | ***-**-4068 - BIRNS, RICHARD A | FRANKLIN CONV SEC FUND - CLASS A | 0.00 | 17.99 | 0.00 | 17.99 | 75.0 | 13.49 |
| | ACCOUNT #: 000013712296687 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-068P - BIRNS, RICHARD | FRANKLIN INCOME FUND CLASS A | 0.00 | 41.69 | 0.00 | 41.69 | 75.0 | 31.27 |
| | ACCOUNT #: 000090220987300 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-68TR - BIRNS, RICHARD | FRANKLIN INCOME FUND CLASS A | 0.00 | 9.18 | 0.00 | 9.18 | 75.0 | 6.89 |
| | ACCOUNT #: 000090226290790 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-68TR - BIRNS, RICHARD | FRANKLIN INCOME FUND CLASS A | 0.00 | 9.18 | 0.00 | 9.18 | 75.0 | 6.89 |
| | ACCOUNT #: 000090226290889 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-0849 - PONTRELLO, MARIA | FRANKLIN INCOME FUND CLASS A | 0.00 | 5.30 | 0.00 | 5.30 | 75.0 | 3.98 |
| | ACCOUNT #: 000090238070622 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-0849 - PONTRELLO, MARIA | FRANKLIN INCOME FUND CLASS A | 0.00 | 0.34 | 0.00 | 0.34 | 75.0 | 0.26 |
| | ACCOUNT #: 000090238071410 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-4948 - PONTRELLO, | FRANKLIN INCOME FUND CLASS A | 0.00 | 4.34 | 0.00 | 4.34 | 75.0 | 3.26 |
| | ACCOUNT #: 000090238071461 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-4948 - PONTRELLO, | FRANKLIN INCOME FUND CLASS A | 0.00 | 0.34 | 0.00 | 0.34 | 75.0 | 0.26 |
| | ACCOUNT #: 000090238071473 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-365I - VINGELLI, | FRANKLIN INCOME FUND CLASS A | 0.00 | 2.00 | 0.00 | 2.00 | 75.0 | 1.50 |
| | ACCOUNT #: 000090239246971 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-48IN - BABCOCK, ROBERT | FRANKLIN INCOME FUND CLASS C | 0.00 | 576.72 | 0.00 | 576.72 | 75.0 | 432.54 |
| | ACCOUNT #: 000000006719583 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-0849 - PONTRELLO, MARIA | FRANKLIN RISING DIVIDENDS FD CLASS | 0.00 | 11.12 | 0.00 | 11.12 | 75.0 | 8.34 |
| | ACCOUNT #: 000015814965558 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-0849 - PONTRELLO, MARIA | FRANKLIN RISING DIVIDENDS FD CLASS | 0.00 | 0.72 | 0.00 | 0.72 | 75.0 | 0.54 |
| | ACCOUNT #: 000015814965735 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-4948 - PONTRELLO, | FRANKLIN RISING DIVIDENDS FD CLASS | 0.00 | 8.27 | 0.00 | 8.27 | 75.0 | 6.20 |
| | ACCOUNT #: 000015814965750 | BUY 0 Units @0.0000 | | | | | | |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 07/31/2018 | ***-**-4948 - PONTRELLO, ACCOUNT #: 000015814965762 | FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000 | 0.00 | 0.72 | 0.00 | 0.72 | 75.0 | 0.54 |
| 07/31/2018 | ***-**-485P - BABCOCK, ROBERT ACCOUNT #: 000050101725688 | FRK HIGH INC FND - CL A BUY 0 Units @0.0000 | 0.00 | 7.38 | 0.00 | 7.38 | 75.0 | 5.54 |
| 07/31/2018 | ***-**-068P - BIRNS, RICHARD ACCOUNT #: 000019211984885 | FRK REAL EST SEC FND - CL A BUY 0 Units @0.0000 | 0.00 | 55.78 | 0.00 | 55.78 | 75.0 | 41.84 |
| 07/31/2018 | ***-**-0849 - PONTRELLO, MARIA ACCOUNT #: 000019413757319 | FRK STRAT INC FND - CL A BUY 0 Units @0.0000 | 0.00 | 24.25 | 0.00 | 24.25 | 75.0 | 18.19 |
| 07/31/2018 | ***-**-0849 - PONTRELLO, MARIA ACCOUNT #: 000019413757473 | FRK STRAT INC FND - CL A BUY 0 Units @0.0000 | 0.00 | 1.56 | 0.00 | 1.56 | 75.0 | 1.17 |
| 07/31/2018 | ***-**-4948 - PONTRELLO, ACCOUNT #: 000019413757497 | FRK STRAT INC FND - CL A BUY 0 Units @0.0000 | 0.00 | 10.38 | 0.00 | 10.38 | 75.0 | 7.79 |
| 07/31/2018 | ***-**-4948 - PONTRELLO, ACCOUNT #: 000019413757509 | FRK STRAT INC FND - CL A BUY 0 Units @0.0000 | 0.00 | 1.56 | 0.00 | 1.56 | 75.0 | 1.17 |
| 07/31/2018 | ***-**-13IN - SANDAS, ANTHONY ACCOUNT #: 000000003159845 | FRK TEMP FOUNDING FUNDS ALLOC FND C BUY 0 Units @0.0000 | 0.00 | 4.25 | 0.00 | 4.25 | 75.0 | 3.19 |
| 07/31/2018 | ***-**-68CL - BIRNS, CLIENTS ACCOUNT #: 000000006103372 | FRK TEMP FOUNDING FUNDS ALLOC FND C BUY 0 Units @0.0000 | 0.00 | 35.11 | 0.00 | 35.11 | 75.0 | 26.33 |
| 07/31/2018 | ***-**-68CL - BIRNS, CLIENTS ACCOUNT #: 000000006103384 | FRK TEMP FOUNDING FUNDS ALLOC FND C BUY 0 Units @0.0000 | 0.00 | 20.17 | 0.00 | 20.17 | 75.0 | 15.13 |
| 07/31/2018 | ***-**-068P - BIRNS, RICHARD ACCOUNT #: 000070186599048 | FRK UTIL FND - CL A BUY 0 Units @0.0000 | 0.00 | 89.88 | 0.00 | 89.88 | 75.0 | 67.41 |
| 07/31/2018 | ***-**-365I - VINGELLI, ACCOUNT #: 000070188269204 | FRK UTIL FND - CL A BUY 0 Units @0.0000 | 0.00 | 1.87 | 0.00 | 1.87 | 75.0 | 1.40 |
| 07/31/2018 | ***-**-712I - BIRNS, BONNIE ACCOUNT #: 000000001796456 | TEMP DEV MRKTS TR FND - CL A BUY 0 Units @0.0000 | 0.00 | 8.95 | 0.00 | 8.95 | 75.0 | 6.71 |
| 07/31/2018 | ***-**-46IN - CANCELLA, ACCOUNT #: 000000005091121 | TEMP DEV MRKTS TR FND - CL A BUY 0 Units @0.0000 | 0.00 | 5.70 | 0.00 | 5.70 | 75.0 | 4.28 |
| 07/31/2018 | ***-**-73IN - BIRNS, ADAM ACCOUNT #: 000000008191482 | TEMP DEV MRKTS TR FND - CL A BUY 0 Units @0.0000 | 0.00 | 7.63 | 0.00 | 7.63 | 75.0 | 5.72 |
| 07/31/2018 | ***-**-04IN - BIRNS, EVAN ACCOUNT #: 000000008191506 | TEMP DEV MRKTS TR FND - CL A BUY 0 Units @0.0000 | 0.00 | 7.63 | 0.00 | 7.63 | 75.0 | 5.72 |



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|--|--------------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 07/31/2018 | ***-**-0849 - PONTRELLO, MARIA | TEMP GLOBAL BOND FND - CL A | 0.00 | 24.28 | 0.00 | 24.28 | 75.0 | 18.21 |
| | ACCOUNT #: 000006985268571 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-0849 - PONTRELLO, MARIA | TEMP GLOBAL BOND FND - CL A | 0.00 | 1.57 | 0.00 | 1.57 | 75.0 | 1.18 |
| | ACCOUNT #: 000006985269369 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-4948 - PONTRELLO, | TEMP GLOBAL BOND FND - CL A | 0.00 | 10.46 | 0.00 | 10.46 | 75.0 | 7.85 |
| | ACCOUNT #: 000006985269395 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-4948 - PONTRELLO, | TEMP GLOBAL BOND FND - CL A | 0.00 | 1.57 | 0.00 | 1.57 | 75.0 | 1.18 |
| | ACCOUNT #: 000006985269407 | BUY 0 Units @0.0000 | | | | | | |
| 07/31/2018 | ***-**-712I - BIRNS, BONNIE | TEMPLETON GROWTH FUND CLASS A | 0.00 | 24.75 | 0.00 | 24.75 | 75.0 | 18.56 |
| | ACCOUNT #: 000001950475080 | BUY 0 Units @0.0000 | | | | | | |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$1,032.64 | \$0.00 | \$1,032.64 | | \$774.53 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$10,000.00 | \$1,732.64 | \$0.00 | \$1,732.64 | | \$1,299.53 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$1,299.53 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$80.05 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|------------------------------|--------------------|
| Net Commission Earned | \$1,379.58 |
| Year-to-date Earnings | \$19,639.32 |