



COMMISSION STATEMENT

September 17, 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 FUND 12B1 TRAILS</u>								
09/17/2018	***-**-31UG - GIFT MIN ACT NY,	COLUMBIA FUNDS MF TRAILS	0.00	2.37	0.00	2.37	75.0	1.78
	ACCOUNT #: 08695273866	BUY 0 Units @0.0000						
09/05/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	0.00	1.80	0.00	1.80	75.0	1.35
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
09/05/2018	***-**-68IN - BIRNS, RICHARD	HARTFORD CAPITAL APPRECIATION FUND	0.00	15.88	0.00	15.88	75.0	11.91
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
09/05/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.34	0.00	1.34	75.0	1.01
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
09/05/2018	***-**-447P - BIRNS, PHYLLIS	THE HARTFORD CAPITAL APPRECIATION F	0.00	2.83	0.00	2.83	75.0	2.12
	ACCOUNT #: 00000700389	BUY 0 Units @0.0000						
09/05/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD CAPITAL APPRECIATION F	0.00	23.44	0.00	23.44	75.0	17.58
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
09/05/2018	***-**-85IN - SEAMAN,	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.51	0.00	1.51	75.0	1.13
	ACCOUNT #: 00022087686	BUY 0 Units @0.0000						
09/05/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	9.92	0.00	9.92	75.0	7.44
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
09/05/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F	0.00	3.08	0.00	3.08	75.0	2.31
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
09/05/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND	0.00	1.19	0.00	1.19	75.0	0.89
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
09/05/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD INTL OPPORTUNITIES FD-	0.00	13.25	0.00	13.25	75.0	9.94
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
09/05/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD MID CAP FUND-A	0.00	23.84	0.00	23.84	75.0	17.88
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
09/05/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	0.00	2.83	0.00	2.83	75.0	2.12
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
09/04/2018	***-**-3921 - FINE, JANET	THE INCOME FUND OF AMERICA-A	0.00	2.43	0.00	2.43	75.0	1.82
	ACCOUNT #: 04000418162	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$105.71	\$0.00	\$105.71		\$79.28
*** BROKER TRANSACTIONS TOTAL ***			\$0.00	\$105.71	\$0.00	\$105.71		\$79.28



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BROKER COMMISSION TOTALS

Broker Transactions	\$79.28
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$5.37
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	\$84.65
Year-to-date Earnings	\$19,639.32