



COMMISSION STATEMENT

November 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
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/19/2018	***-**-31UG - GIFT MIN ACT NY,	COLUMBIA THREADNEEDLE TRAILS BUY 0 Units @0.0000	0.00	2.22	0.00	2.22	75.0	1.67
11/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	HARTFORD CAPITAL APPRECIATION FUND BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	75.0	1.04
11/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	HARTFORD CAPITAL APPRECIATION FUND BUY 0 Units @0.0000	0.00	12.29	0.00	12.29	75.0	9.22
11/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	HARTFORD MUTUAL FUND CUSIP 41664L38 BUY 0 Units @0.0000	0.00	0.32	0.00	0.32	75.0	0.24
11/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	HARTFORD MUTUAL FUND CUSIP 41664L38 BUY 0 Units @0.0000	0.00	2.81	0.00	2.81	75.0	2.11
11/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	1.29	0.00	1.29	75.0	0.97
11/02/2018	***-**-447P - BIRNS, PHYLLIS ACCOUNT #: 00000700389	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	2.70	0.00	2.70	75.0	2.03
11/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	22.48	0.00	22.48	75.0	16.86
11/02/2018	***-**-85IN - SEAMAN, ACCOUNT #: 00022087686	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	1.44	0.00	1.44	75.0	1.08
11/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD DIVIDEND & GROWTH FUND BUY 0 Units @0.0000	0.00	9.70	0.00	9.70	75.0	7.28
11/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD GROWTH OPPORTUNITIES F BUY 0 Units @0.0000	0.00	2.92	0.00	2.92	75.0	2.19
11/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD INTL CAPITAL APP. FUND BUY 0 Units @0.0000	0.00	1.11	0.00	1.11	75.0	0.83
11/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD INTL OPPORTUNITIES FD- BUY 0 Units @0.0000	0.00	12.34	0.00	12.34	75.0	9.26
11/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD MID CAP FUND-A BUY 0 Units @0.0000	0.00	22.18	0.00	22.18	75.0	16.64
11/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD SMALL CAP GROWTH FD-A BUY 0 Units @0.0000	0.00	2.58	0.00	2.58	75.0	1.94
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$97.77	\$0.00	\$97.77		\$73.36
*** BROKER TRANSACTIONS TOTAL ***			\$0.00	\$97.77	\$0.00	\$97.77		\$73.36



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				GROSS	CLEARING	NET	BROKER
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE COMMISSION
						BROKER COMMISSION TOTALS	
						Broker Transactions	\$73.36
						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 THERE WILL BE NO PAYMENT THIS PERIOD							
						Balance Forward	\$73.36
						Year-to-date Earnings	\$37,322.24