



COMMISSION STATEMENT

October 15, 2018

RONALD DRAKE
6968 Bolivar Road
Chittenango, NY 13037

BROKER #: A36
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 FUNDS</u>								
10/09/2018	***-**-28IO - BARNES, BROOKE ACCOUNT #: LSR012852	AMERICAN BALANCED FUND-A BUY 303 Units @29.2000	8,849.99	376.12	18.00	358.12	75.0	268.59
10/09/2018	***-**-28IO - BARNES, BROOKE ACCOUNT #: LSR012852	AMERICAN HIGH-INCOME TRUST-A BUY 501 Units @10.5800	5,300.00	159.00	18.00	141.00	75.0	105.75
09/18/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 03210336612	CAPITAL APPRECIATION A BUY 0 Units @0.0000	60.00	1.80	0.00	1.80	75.0	1.35
09/18/2018	***-**-030J - MERRILL, ACCOUNT #: 03009145719	CAPITAL INCOME A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	75.0	1.41
09/19/2018	***-**-481J - MERRILL, JASON ACCOUNT #: 03009145730	CAPITAL INCOME A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	75.0	1.41
09/18/2018	***-**-33IN - KING, JOHN ACCOUNT #: 08351548074	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	76.00	2.28	0.00	2.28	75.0	1.71
10/09/2018	***-**-28IO - BARNES, BROOKE ACCOUNT #: LSR012852	FUNDAMENTAL INVESTORS-A BUY 183 Units @67.7800	12,400.01	527.00	18.00	509.00	75.0	381.75
09/18/2018	***-**-030J - MERRILL, ACCOUNT #: 05450490490	OPP PORT SERIES: MOD INV FD A BUY 0 Units @0.0000	112.50	3.38	0.00	3.38	75.0	2.54
09/19/2018	***-**-481J - MERRILL, JASON ACCOUNT #: 05450490435	OPP PORT SERIES: MOD INV FD A BUY 0 Units @0.0000	112.50	3.38	0.00	3.38	75.0	2.54
09/18/2018	***-**-33IN - KING, JOHN ACCOUNT #: 07859653204	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	76.00	2.28	0.00	2.28	75.0	1.71
09/18/2018	***-**-030J - MERRILL, ACCOUNT #: 01951261139	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	12.50	0.38	0.00	0.38	75.0	0.29
09/19/2018	***-**-481J - MERRILL, JASON ACCOUNT #: 01951261073	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	12.50	0.38	0.00	0.38	75.0	0.29
09/18/2018	***-**-33IN - KING, JOHN ACCOUNT #: 08476672325	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	76.00	2.28	0.00	2.28	75.0	1.71
09/18/2018	***-**-33IN - KING, JOHN ACCOUNT #: 02514166107	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	76.00	2.28	0.00	2.28	75.0	1.71
09/18/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 02305070453	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	60.00	1.65	0.00	1.65	75.0	1.24
09/18/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 02253478497	RISEING DIVIDENDS FUND A BUY 0 Units @0.0000	80.00	2.40	0.00	2.40	75.0	1.80



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
09/18/2018	***-**-33IN - KING, JOHN	RISING DIVIDENDS FUND A	96.00	2.88	0.00	2.88	75.0	2.16
	ACCOUNT #: 02254507140	BUY 0 Units @0.0000						
09/18/2018	***-**-030J - MERRILL,	SELECT VALUE FUND A	62.50	1.88	0.00	1.88	75.0	1.41
	ACCOUNT #: 06000782386	BUY 0 Units @0.0000						
09/19/2018	***-**-481J - MERRILL, JASON	SELECT VALUE FUND A	62.50	1.88	0.00	1.88	75.0	1.41
	ACCOUNT #: 06000782397	BUY 0 Units @0.0000						
10/09/2018	***-**-28IO - BARNES, BROOKE	THE GROWTH FUND OF AMERICA-A	8,850.03	376.12	18.00	358.12	75.0	268.59
	ACCOUNT #: LSR012852	BUY 153 Units @57.9900						
* MUTUAL FUNDS SUBTOTAL *			\$36,500.03	\$1,471.13	\$72.00	\$1,399.13		\$1,049.37
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
10/15/2018	***-**-4427 - ZOGBY, MICHAEL	QUALIFIED PLAN SUMMARY	0.00	5.28	0.00	5.28	75.0	3.96
	ACCOUNT #: 00060558718	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$5.28	\$0.00	\$5.28		\$3.96
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
09/28/2018	***-**-9500 - KELLER, BILLIE	AXA EQUI VA 00248C360	0.00	28.33	0.00	28.33	75.0	21.25
	ACCOUNT #: 316022320	BUY 0 Units @0.0000						
09/28/2018	***-**-9002 - ANDERSON, BRYAN	AXA EQUI VA 00248C360	0.00	64.16	0.00	64.16	75.0	48.12
	ACCOUNT #: 316102600	BUY 0 Units @0.0000						
09/28/2018	***-**-2456 - VOELKER, ROBERT	AXA EQUI VA 00248C360	0.00	173.10	0.00	173.10	75.0	129.83
	ACCOUNT #: 316126418	BUY 0 Units @0.0000						
09/28/2018	***-**-143R - DRAKE, RONALD	AXA EQUI VA 00248C360	0.00	31.15	0.00	31.15	75.0	23.36
	ACCOUNT #: 317006112	BUY 0 Units @0.0000						
09/28/2018	***-**-4108 - FOREST, YVONNE	AXA EQUI VA 00248C360	0.00	25.96	0.00	25.96	75.0	19.47
	ACCOUNT #: 317062788	BUY 0 Units @0.0000						
09/28/2018	***-**-0457 - DEMARCHE,	AXA EQUI VA 00248C360	0.00	134.74	0.00	134.74	75.0	101.06
	ACCOUNT #: 317069932	BUY 0 Units @0.0000						
09/28/2018	***-**-1787 - ANO, MICHAEL	AXA EQUI VA 00248C360	0.00	179.71	0.00	179.71	75.0	134.78
	ACCOUNT #: 317070844	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$637.15	\$0.00	\$637.15		\$477.87
*** BROKER TRANSACTIONS TOTAL ***			\$36,500.03	\$2,113.56	\$72.00	\$2,041.56		\$1,531.20



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			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
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BROKER COMMISSION TOTALS								
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Broker Transactions\$1,531.20								
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								
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Net Commission Earned\$1,531.20								
Year-to-date Earnings\$49,131.54								