



# COMMISSION STATEMENT

## October 15, 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/05/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	43.20	0.86	0.00	0.86	75.0	0.65
	ACCOUNT #: 00000647924	BUY 2 Units @19.3700						
10/05/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F	43.20	0.86	0.00	0.86	75.0	0.65
	ACCOUNT #: 00000647924	BUY 1 Units @41.4100						
10/05/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F	43.20	0.86	0.00	0.86	75.0	0.65
	ACCOUNT #: 00000647924	BUY 1 Units @51.2400						
10/05/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND	43.20	0.86	0.00	0.86	75.0	0.65
	ACCOUNT #: 00000647924	BUY 3 Units @15.1800						
10/05/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	43.20	0.86	0.00	0.86	75.0	0.65
	ACCOUNT #: 00000647924	BUY 1 Units @61.8100						
* MUTUAL FUNDS SUBTOTAL *			\$216.00	\$4.30	\$0.00	\$4.30		\$3.25
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
10/08/2018	***-**-37UG - REID, JORDAN M	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	0.76	0.00	0.76	75.0	0.57
	ACCOUNT #: 04718913697	BUY 0 Units @0.0000						
10/08/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	18.04	0.00	18.04	75.0	13.53
	ACCOUNT #: 05000189227	BUY 0 Units @0.0000						
10/08/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCEBERNSTEIN GROWTH A	0.00	25.41	0.00	25.41	75.0	19.06
	ACCOUNT #: 03310152452	BUY 0 Units @0.0000						
10/01/2018	***-**-068I - BIRNS, RICHARD	PUTNAM GLOBAL EQUITY FUND CLASS A	0.00	1.73	0.00	1.73	75.0	1.30
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
10/01/2018	***-**-068I - BIRNS, RICHARD	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	7.37	0.00	7.37	75.0	5.53
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
10/01/2018	***-**-068I - BIRNS, RICHARD	PUTNAM INTERNATIONAL EQUITY-A	0.00	0.72	0.00	0.72	75.0	0.54
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
10/01/2018	***-**-068I - BIRNS, RICHARD	PUTNAM INTL NEW OPPORT-A	0.00	4.07	0.00	4.07	75.0	3.05
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
10/01/2018	***-**-068I - BIRNS, RICHARD	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	7.19	0.00	7.19	75.0	5.39
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$65.29	\$0.00	\$65.29		\$48.97



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>								
09/30/2018	***-**-1071 - GERAKARIS,	JOHN HANCOCK 41014C143	0.00	2.10	0.00	2.10	75.0	1.58
	ACCOUNT #: 2419387	BUY 0 Units @0.0000						
09/29/2018	***-**-4227 - GRANENA, MARC	NATIONWIDE CUSIP 638660696-NSCC	0.00	25.38	0.00	25.38	75.0	19.04
	ACCOUNT #: 015774378	BUY 0 Units @0.0000						
09/29/2018	***-**-991I - WEGENER, MICHAEL	NATIONWIDE CUSIP 638660696-NSCC	0.00	12.59	0.00	12.59	75.0	9.44
	ACCOUNT #: 015778719	BUY 0 Units @0.0000						
09/29/2018	***-**-667I - AGOSTI, IVAN	NATIONWIDE CUSIP 638660696-NSCC	0.00	3.06	0.00	3.06	75.0	2.30
	ACCOUNT #: 015778722	BUY 0 Units @0.0000						
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$43.13</b>	<b>\$0.00</b>	<b>\$43.13</b>		<b>\$32.36</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$216.00</b>	<b>\$112.72</b>	<b>\$0.00</b>	<b>\$112.72</b>		<b>\$84.58</b>

## BROKER COMMISSION TOTALS

Broker Transactions	\$84.58
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

<b>Balance Forward</b>	<b>\$84.58</b>
<b>Year-to-date Earnings</b>	<b>\$36,452.53</b>