



COMMISSION STATEMENT

October 22, 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>								
10/18/2018	***-**-5434 - JONES, THOMAS	LINCOLN 008148728	1,278.00	25.56	0.00	25.56	75.0	19.17
	ACCOUNT #: F1518903	BUY 0 Units @0.0000						
		* VARIABLE ANNUITIES SUBTOTAL *	\$1,278.00	\$25.56	\$0.00	\$25.56		\$19.17
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/01/2018	***-**-098P - TOKAR, STEPHANIE	AIM CHARTER FUND - CLASS A	0.00	4.53	0.00	4.53	75.0	3.40
	ACCOUNT #: 04027919598	BUY 0 Units @0.0000						
10/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHARTER FUND - CLASS A	0.00	16.70	0.00	16.70	75.0	12.53
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
10/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHINA FUND - CLASS A	0.00	13.43	0.00	13.43	75.0	10.07
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
10/01/2018	***-**-712I - BIRNS, BONNIE	AIM GLOBAL AGGRESSIVE GROWTH FUND C	0.00	13.91	0.00	13.91	75.0	10.43
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
10/01/2018	***-**-712I - BIRNS, BONNIE	AIM UTILITIES FUND - CLASS A	0.00	17.69	0.00	17.69	75.0	13.27
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
10/22/2018	***-**-31UG - GIFT MIN ACT NY,	COLUMBIA MF TRAILS	0.00	2.30	0.00	2.30	75.0	1.73
		BUY 0 Units @0.0000						
10/01/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	0.00	1.75	0.00	1.75	75.0	1.31
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
10/01/2018	***-**-68IN - BIRNS, RICHARD	HARTFORD CAPITAL APPRECIATION FUND	0.00	15.44	0.00	15.44	75.0	11.58
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
10/01/2018	***-**-712I - BIRNS, BONNIE	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	18.61	0.00	18.61	75.0	13.96
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
10/01/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.31	0.00	1.31	75.0	0.98
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
10/01/2018	***-**-447P - BIRNS, PHYLLIS	THE HARTFORD CAPITAL APPRECIATION F	0.00	2.77	0.00	2.77	75.0	2.08
	ACCOUNT #: 00000700389	BUY 0 Units @0.0000						
10/01/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD CAPITAL APPRECIATION F	0.00	22.97	0.00	22.97	75.0	17.23
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
10/01/2018	***-**-85IN - SEAMAN,	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.48	0.00	1.48	75.0	1.11
	ACCOUNT #: 00022087686	BUY 0 Units @0.0000						
10/01/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	9.73	0.00	9.73	75.0	7.30
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/01/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F	0.00	3.07	0.00	3.07	75.0	2.30
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
10/01/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND	0.00	1.14	0.00	1.14	75.0	0.86
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
10/01/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD INTL OPPORTUNITIES FD-	0.00	12.67	0.00	12.67	75.0	9.50
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
10/01/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD MID CAP FUND-A	0.00	23.39	0.00	23.39	75.0	17.54
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
10/01/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	0.00	2.78	0.00	2.78	75.0	2.09
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$185.67	\$0.00	\$185.67		\$139.27
	*** BROKER TRANSACTIONS TOTAL ***		\$1,278.00	\$211.23	\$0.00	\$211.23		\$158.44

BROKER COMMISSION TOTALS

Broker Transactions	\$158.44
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$84.58
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$243.02
Year-to-date Earnings	\$36,695.55