



COMMISSION STATEMENT

November 12, 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>								
11/01/2018	***-**-3246 - SGROI, TERESA	AMCAP FUND-A	50.00	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 00089976714	BUY 1 Units @34.4200						
10/29/2018	***-**-241R - BERTRAND, JOHN	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 00089941898	BUY 2 Units @28.0100						
10/29/2018	***-**-9037 - NOURSE, STACIA	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 04000247689	BUY 2 Units @28.0100						
10/29/2018	***-**-4639 - SCOONES,	AMERICAN BALANCED FUND-A	90.75	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 00084481157	BUY 3 Units @27.3600						
10/29/2018	***-**-408B - SNIZEK,	AMERICAN BALANCED FUND-A	125.00	3.44	0.00	3.44	75.0	2.58
	ACCOUNT #: 00085154620	BUY 5 Units @27.3600						
10/29/2018	***-**-5152 - DUNN, MICHELE	AMERICAN BALANCED FUND-A	400.00	11.00	0.00	11.00	75.0	8.25
	ACCOUNT #: 00087316793	BUY 15 Units @27.3600						
10/29/2018	***-**-5556 - BURNS, ROBERT	AMERICAN BALANCED FUND-A	37.50	1.59	0.00	1.59	75.0	1.19
	ACCOUNT #: 00085993216	BUY 1 Units @27.7900						
10/29/2018	***-**-0939 - LAWRENCE, JASON	AMERICAN BALANCED FUND-A	60.00	3.00	0.00	3.00	75.0	2.25
	ACCOUNT #: 00087909097	BUY 2 Units @28.0100						
11/01/2018	***-**-9408 - SNIZEK,	AMERICAN BALANCED FUND-A	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00085099445	BUY 2 Units @27.9400						
10/29/2018	***-**-9037 - NOURSE, STACIA	AMERICAN HIGH-INCOME TRUST-A	50.00	1.50	0.00	1.50	75.0	1.13
	ACCOUNT #: 04000247689	BUY 5 Units @10.4400						
10/29/2018	***-**-4848 - DOGETT, AMY	AMERICAN HIGH-INCOME TRUST-A	165.00	4.54	0.00	4.54	75.0	3.41
	ACCOUNT #: 00081620466	BUY 16 Units @10.4100						
10/29/2018	***-**-408B - SNIZEK,	AMERICAN HIGH-INCOME TRUST-A	100.00	2.75	0.00	2.75	75.0	2.06
	ACCOUNT #: 00085154620	BUY 10 Units @10.4100						
10/29/2018	***-**-7598 - HUMPF, MINDI	AMERICAN HIGH-INCOME TRUST-A	25.00	0.69	0.00	0.69	75.0	0.52
	ACCOUNT #: 00085514851	BUY 2 Units @10.4100						
10/29/2018	***-**-1909 - BASHANT, MATTHEW	AMERICAN HIGH-INCOME TRUST-A	38.25	1.05	0.00	1.05	75.0	0.79
	ACCOUNT #: 00085839015	BUY 4 Units @10.4100						
10/29/2018	***-**-5556 - BURNS, ROBERT	AMERICAN HIGH-INCOME TRUST-A	52.50	1.58	0.00	1.58	75.0	1.19
	ACCOUNT #: 00085993216	BUY 5 Units @10.4400						
11/01/2018	***-**-9408 - SNIZEK,	AMERICAN HIGH-INCOME TRUST-A	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00085099445	BUY 5 Units @10.4200						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
11/01/2018	***-**-9408 - SNIZEK, ACCOUNT #: 00085099445	AMERICAN MUTUAL FUND-A BUY 1 Units @42.7400	50.00	1.38	0.00	1.38	75.0	1.04
10/29/2018	***-**-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
10/29/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 03008792487	CAPITAL INCOME A BUY 0 Units @0.0000	262.50	10.50	0.00	10.50	75.0	7.88
10/29/2018	***-**-030J - MERRILL, ACCOUNT #: 03009145719	CAPITAL INCOME A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	75.0	1.41
10/29/2018	***-**-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
10/29/2018	***-**-5152 - DUNN, MICHELE ACCOUNT #: 00087316793	CAPITAL INCOME BUILDER-A BUY 7 Units @59.6500	400.00	11.00	0.00	11.00	75.0	8.25
11/01/2018	***-**-3246 - SGROI, TERESA ACCOUNT #: 00089976714	CAPITAL INCOME BUILDER-A BUY 1 Units @62.0600	50.00	2.50	0.00	2.50	75.0	1.88
10/29/2018	***-**-4848 - DOGGETT, AMY ACCOUNT #: 00081620466	CAPITAL WORLD GROWTH AND INCOME FUN BUY 3 Units @47.8300	165.00	4.54	0.00	4.54	75.0	3.41
10/29/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @47.8300	100.00	2.75	0.00	2.75	75.0	2.06
10/29/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00085514851	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @47.8300	25.00	0.69	0.00	0.69	75.0	0.52
10/29/2018	***-**-1909 - BASHANT, MATTHEW ACCOUNT #: 00085839015	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @47.8300	47.25	1.30	0.00	1.30	75.0	0.98
10/29/2018	***-**-5556 - BURNS, ROBERT ACCOUNT #: 00085993216	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @48.5900	37.50	1.59	0.00	1.59	75.0	1.19
10/29/2018	***-**-33IN - KING, JOHN ACCOUNT #: 08351548074	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	38.00	1.14	0.00	1.14	75.0	0.86
10/29/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 08352551208	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	262.50	10.50	0.00	10.50	75.0	7.88
10/29/2018	***-**-1909 - BASHANT, MATTHEW ACCOUNT #: 00085839015	EUROPACIFIC GROWTH FUND-A BUY 1 Units @48.7000	47.25	1.30	0.00	1.30	75.0	0.98
10/29/2018	***-**-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



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/29/2018	***-**-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
10/29/2018	***-**-33IN - KING, JOHN ACCOUNT #: 07859653204	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	38.00	1.14	0.00	1.14	75.0	0.86
10/29/2018	***-**-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
10/29/2018	***-**-030J - MERRILL, ACCOUNT #: 01951261139	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	12.50	0.38	0.00	0.38	75.0	0.29
10/29/2018	***-**-33IN - KING, JOHN ACCOUNT #: 08476672325	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	38.00	1.14	0.00	1.14	75.0	0.86
10/29/2018	***-**-33IN - KING, JOHN ACCOUNT #: 02514166107	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	38.00	1.14	0.00	1.14	75.0	0.86
10/29/2018	***-**-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
10/29/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 02306510122	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	262.50	9.84	0.00	9.84	75.0	7.38
10/29/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 02253478497	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	80.00	2.40	0.00	2.40	75.0	1.80
10/29/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 02254109468	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	262.50	10.50	0.00	10.50	75.0	7.88
10/29/2018	***-**-33IN - KING, JOHN ACCOUNT #: 02254507140	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	48.00	1.44	0.00	1.44	75.0	1.08
10/29/2018	***-**-030J - MERRILL, ACCOUNT #: 06000782386	SELECT VALUE FUND A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	75.0	1.41
10/29/2018	***-**-481J - MERRILL, JASON ACCOUNT #: 06000782397	SELECT VALUE FUND A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	75.0	1.41
10/29/2018	***-**-5556 - BURNS, ROBERT ACCOUNT #: 00085993216	SMALLCAP WORLD FUND-A BUY 0 Units @55.0300	22.50	0.96	0.00	0.96	75.0	0.72
10/29/2018	***-**-4639 - SCOONES, ACCOUNT #: 00084481157	THE BOND FUND OF AMERICA-A BUY 7 Units @12.8600	90.75	2.50	0.00	2.50	75.0	1.88
10/29/2018	***-**-7823 - BERTRAND, ACCOUNT #: 00089897908	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.6200	50.00	2.50	0.00	2.50	75.0	1.88



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/29/2018	***-**-24IR - BERTRAND, JOHN	THE GROWTH FUND OF AMERICA-A	50.00	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 00089941898	BUY 1 Units @52.6200						
10/29/2018	***-**-4848 - DOGETT, AMY	THE GROWTH FUND OF AMERICA-A	170.00	4.68	0.00	4.68	75.0	3.51
	ACCOUNT #: 00081620466	BUY 3 Units @51.3900						
10/29/2018	***-**-4639 - SCOONES,	THE GROWTH FUND OF AMERICA-A	93.50	2.57	0.00	2.57	75.0	1.93
	ACCOUNT #: 00084481157	BUY 2 Units @51.3900						
10/29/2018	***-**-408B - SNIZEK,	THE GROWTH FUND OF AMERICA-A	175.00	4.81	0.00	4.81	75.0	3.61
	ACCOUNT #: 00085154620	BUY 3 Units @51.3900						
10/29/2018	***-**-7598 - HUMPF, MINDI	THE GROWTH FUND OF AMERICA-A	25.00	0.69	0.00	0.69	75.0	0.52
	ACCOUNT #: 00085514851	BUY 0 Units @51.3900						
10/29/2018	***-**-1909 - BASHANT, MATTHEW	THE GROWTH FUND OF AMERICA-A	54.00	1.49	0.00	1.49	75.0	1.12
	ACCOUNT #: 00085839015	BUY 1 Units @51.3900						
11/01/2018	***-**-9408 - SNIZEK,	THE GROWTH FUND OF AMERICA-A	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00085099445	BUY 1 Units @54.0000						
10/29/2018	***-**-7598 - HUMPF, MINDI	THE INCOME FUND OF AMERICA-A	25.00	0.69	0.00	0.69	75.0	0.52
	ACCOUNT #: 00085514851	BUY 1 Units @22.8400						
10/29/2018	***-**-1909 - BASHANT, MATTHEW	THE INCOME FUND OF AMERICA-A	38.25	1.05	0.00	1.05	75.0	0.79
	ACCOUNT #: 00085839015	BUY 2 Units @22.8400						
10/29/2018	***-**-0939 - LAWRENCE, JASON	THE INCOME FUND OF AMERICA-A	60.00	3.00	0.00	3.00	75.0	2.25
	ACCOUNT #: 00087909097	BUY 3 Units @23.3800						
11/01/2018	***-**-6790 - DRAKE, ROBERT	THE INCOME FUND OF AMERICA-A	50.00	1.88	0.00	1.88	75.0	1.41
	ACCOUNT #: 00086643595	BUY 2 Units @23.5200						
* MUTUAL FUNDS SUBTOTAL *			\$5,220.00	\$169.88	\$0.00	\$169.88		\$127.57
PRODUCT CATEGORY: RIA								
11/12/2018	***-**-25FB - DUNN, BRENDAN	LIFEMARK INVESTMENT ADVISORY FEE	57.53	57.53	0.00	57.53	75.0	43.15
	ACCOUNT #: 925287945	BUY 0 Units @0.0000						
11/12/2018	***-**-25FB - DUNN, BRENDAN	LIFEMARK INVESTMENT ADVISORY FEE	120.42	120.42	0.00	120.42	75.0	90.32
	ACCOUNT #: 925287941	BUY 0 Units @0.0000						
11/12/2018	***-**-52FB - DUNN, MICHELE	LIFEMARK INVESTMENT ADVISORY FEE	125.29	125.29	0.00	125.29	75.0	93.97
	ACCOUNT #: 925287955	BUY 0 Units @0.0000						
* RIA SUBTOTAL *			\$303.24	\$303.24	\$0.00	\$303.24		\$227.44



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/31/2018	***-**-0403 - DONOVAN, HEATHER	FRANKLIN GROWTH FUND CLASS A	0.00	16.04	0.00	16.04	75.0	12.03
	ACCOUNT #: 000060177003031	BUY 0 Units @0.0000						
10/31/2018	***-**-1787 - ANO, MICHAEL	FRANKLIN GROWTH FUND CLASS A	0.00	3.61	0.00	3.61	75.0	2.71
	ACCOUNT #: 000060177122300	BUY 0 Units @0.0000						
10/31/2018	***-**-9217 - POLITIS, DEBRA	FRANKLIN GROWTH FUND CLASS A	0.00	33.56	0.00	33.56	75.0	25.17
	ACCOUNT #: 000060177196078	BUY 0 Units @0.0000						
10/31/2018	***-**-9217 - POLITIS, DEBRA	FRANKLIN INCOME FUND CLASS A	0.00	6.88	0.00	6.88	75.0	5.16
	ACCOUNT #: 000090236333236	BUY 0 Units @0.0000						
10/31/2018	***-**-00RO - KELLER, BILLIE	FRANKLIN INCOME FUND CLASS A	0.00	0.01	0.00	0.01	75.0	0.01
	ACCOUNT #: 000090237939359	BUY 0 Units @0.0000						
10/31/2018	***-**-9692 - KELLER, KENNETH	FRANKLIN INCOME FUND CLASS A	0.00	0.89	0.00	0.89	75.0	0.67
	ACCOUNT #: 000090237957306	BUY 0 Units @0.0000						
10/31/2018	***-**-9500 - KELLER, BILLIE	FRANKLIN INCOME FUND CLASS A	0.00	1.13	0.00	1.13	75.0	0.85
	ACCOUNT #: 000090238038740	BUY 0 Units @0.0000						
10/31/2018	***-**-5371 - SOUTHFIELD,	FRANKLIN INCOME FUND CLASS A	0.00	12.23	0.00	12.23	75.0	9.17
	ACCOUNT #: 000090239092353	BUY 0 Units @0.0000						
10/31/2018	***-**-6469 - BENNETT, DAVID	FRANKLIN INCOME FUND CLASS A	0.00	2.94	0.00	2.94	75.0	2.21
	ACCOUNT #: 000090239535847	BUY 0 Units @0.0000						
10/31/2018	***-**-6469 - BENNETT, DAVID	FRANKLIN INCOME FUND CLASS A	0.00	0.48	0.00	0.48	75.0	0.36
	ACCOUNT #: 000090239551269	BUY 0 Units @0.0000						
10/31/2018	***-**-481J - MERRILL, JASON	FRANKLIN NEW YORK TAX FREE CLASS C	0.00	10.72	0.00	10.72	75.0	8.04
	ACCOUNT #: 000000000426484	BUY 0 Units @0.0000						
10/31/2018	***-**-3756 - GAGNE, JOHN	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	6.09	0.00	6.09	75.0	4.57
	ACCOUNT #: 000011516893059	BUY 0 Units @0.0000						
10/31/2018	***-**-8526 - SPINELI, ELISE	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	2.14	0.00	2.14	75.0	1.61
	ACCOUNT #: 000011516901730	BUY 0 Units @0.0000						
10/31/2018	***-**-1787 - ANO, MICHAEL	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	2.36	0.00	2.36	75.0	1.77
	ACCOUNT #: 000011516948107	BUY 0 Units @0.0000						
10/31/2018	***-**-5559 - SEYMOUR, DEBORAH	FRANKLIN NY INTERM TERM TAX FREE A	0.00	0.80	0.00	0.80	75.0	0.60
	ACCOUNT #: 000015311057123	BUY 0 Units @0.0000						
10/31/2018	***-**-481J - MERRILL, JASON	FRANKLIN NY INTR-TRM TF INC FD	0.00	8.48	0.00	8.48	75.0	6.36
	ACCOUNT #: 000000000033504	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/31/2018	***-**-5371 - SOUTHFIELD, ACCOUNT #: 000015815231665	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	34.78	0.00	34.78	75.0	26.09
10/31/2018	***-**-0403 - DONOVAN, HEATHER ACCOUNT #: 000015813931694	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	20.95	0.00	20.95	75.0	15.71
10/31/2018	***-**-0961 - BUDINE, JESSE ACCOUNT #: 000015814136194	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	1.63	0.00	1.63	75.0	1.22
10/31/2018	***-**-4848 - DOGGETT, AMY ACCOUNT #: 000015814148023	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	2.87	0.00	2.87	75.0	2.15
10/31/2018	***-**-1787 - ANO, MICHAEL ACCOUNT #: 000015814180311	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	10.27	0.00	10.27	75.0	7.70
10/31/2018	***-**-3034 - DRAKE, CATHERINE ACCOUNT #: 000015814181008	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	1.17	0.00	1.17	75.0	0.88
10/31/2018	***-**-0608 - ANO, CHERYL ACCOUNT #: 000015814241626	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	10.04	0.00	10.04	75.0	7.53
10/31/2018	***-**-9217 - POLITIS, DEBRA ACCOUNT #: 000015814353890	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	62.91	0.00	62.91	75.0	47.18
10/31/2018	***-**-00RO - KELLER, BILLIE ACCOUNT #: 000015814920058	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	75.0	0.01
10/31/2018	***-**-9692 - KELLER, KENNETH ACCOUNT #: 000015814926861	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	1.92	0.00	1.92	75.0	1.44
10/31/2018	***-**-9500 - KELLER, BILLIE ACCOUNT #: 000015814954630	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	2.36	0.00	2.36	75.0	1.77
10/31/2018	***-**-9692 - KELLER, KENNETH ACCOUNT #: 000015814954705	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	2.39	0.00	2.39	75.0	1.79
10/31/2018	***-**-5371 - SOUTHFIELD, ACCOUNT #: 000015815282015	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	23.58	0.00	23.58	75.0	17.69
10/31/2018	***-**-6469 - BENNETT, DAVID ACCOUNT #: 000015815518754	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	5.62	0.00	5.62	75.0	4.22
10/31/2018	***-**-6469 - BENNETT, DAVID ACCOUNT #: 000015815524857	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	0.84	0.00	0.84	75.0	0.63
10/31/2018	***-**-0403 - DONOVAN, HEATHER ACCOUNT #: 000010187500957	FRANKLIN U.S. GOVERNMENT SECURITIES BUY 0 Units @0.0000	0.00	2.07	0.00	2.07	75.0	1.55



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BROKER #: A36
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/31/2018	***-**-0403 - DONOVAN, HEATHER	FRK EQUITY INC FND - CL A	0.00	19.38	0.00	19.38	75.0	14.54
	ACCOUNT #: 000013912505964	BUY 0 Units @0.0000						
10/31/2018	***-**-0961 - BUDINE, JESSE	FRK EQUITY INC FND - CL A	0.00	0.78	0.00	0.78	75.0	0.59
	ACCOUNT #: 000013912529800	BUY 0 Units @0.0000						
10/31/2018	***-**-1787 - ANO, MICHAEL	FRK EQUITY INC FND - CL A	0.00	5.91	0.00	5.91	75.0	4.43
	ACCOUNT #: 000013912534634	BUY 0 Units @0.0000						
10/31/2018	***-**-0608 - ANO, CHERYL	FRK EQUITY INC FND - CL A	0.00	3.62	0.00	3.62	75.0	2.72
	ACCOUNT #: 000013912540587	BUY 0 Units @0.0000						
10/31/2018	***-**-1787 - ANO, MICHAEL	FRK HIGH INC FND - CL A	0.00	1.89	0.00	1.89	75.0	1.42
	ACCOUNT #: 000050117882954	BUY 0 Units @0.0000						
10/31/2018	***-**-0608 - ANO, CHERYL	FRK HIGH INC FND - CL A	0.00	2.94	0.00	2.94	75.0	2.21
	ACCOUNT #: 000050117905563	BUY 0 Units @0.0000						
10/31/2018	***-**-4848 - DOGGETT, AMY	FRK STRAT INC FND - CL A	0.00	0.45	0.00	0.45	75.0	0.34
	ACCOUNT #: 000019413185810	BUY 0 Units @0.0000						
10/31/2018	***-**-1787 - ANO, MICHAEL	FRK STRAT INC FND - CL A	0.00	1.87	0.00	1.87	75.0	1.40
	ACCOUNT #: 000019413201563	BUY 0 Units @0.0000						
10/31/2018	***-**-0608 - ANO, CHERYL	FRK STRAT INC FND - CL A	0.00	4.47	0.00	4.47	75.0	3.35
	ACCOUNT #: 000019413236403	BUY 0 Units @0.0000						
10/31/2018	***-**-00RO - KELLER, BILLIE	FRK STRAT INC FND - CL A	0.00	0.01	0.00	0.01	75.0	0.01
	ACCOUNT #: 000019413732266	BUY 0 Units @0.0000						
10/31/2018	***-**-9692 - KELLER, KENNETH	FRK STRAT INC FND - CL A	0.00	1.32	0.00	1.32	75.0	0.99
	ACCOUNT #: 000019413735729	BUY 0 Units @0.0000						
10/31/2018	***-**-9500 - KELLER, BILLIE	FRK STRAT INC FND - CL A	0.00	1.70	0.00	1.70	75.0	1.28
	ACCOUNT #: 000019413751292	BUY 0 Units @0.0000						
10/31/2018	***-**-5371 - SOUTHFIELD,	FRK STRAT INC FND - CL A	0.00	11.32	0.00	11.32	75.0	8.49
	ACCOUNT #: 000019413960182	BUY 0 Units @0.0000						
10/31/2018	***-**-6469 - BENNETT, DAVID	FRK STRAT INC FND - CL A	0.00	4.51	0.00	4.51	75.0	3.38
	ACCOUNT #: 000019414041778	BUY 0 Units @0.0000						
10/31/2018	***-**-6469 - BENNETT, DAVID	FRK STRAT INC FND - CL A	0.00	0.40	0.00	0.40	75.0	0.30
	ACCOUNT #: 000019414044317	BUY 0 Units @0.0000						
10/31/2018	***-**-481J - MERRILL, JASON	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	3.05	0.00	3.05	75.0	2.29
	ACCOUNT #: 000000000369520	BUY 0 Units @0.0000						



COMMISSION STATEMENT

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/31/2018	***-**-4848 - DOGETT, AMY	FRK TOTAL RETURN FND - CL A	0.00	0.42	0.00	0.42	75.0	0.32
	ACCOUNT #: 00000000938415	BUY 0 Units @0.0000						
10/31/2018	***-**-1787 - ANO, MICHAEL	FRK TOTAL RETURN FND - CL A	0.00	4.67	0.00	4.67	75.0	3.50
	ACCOUNT #: 00000000947097	BUY 0 Units @0.0000						
10/31/2018	***-**-0608 - ANO, CHERYL	FRK TOTAL RETURN FND - CL A	0.00	5.30	0.00	5.30	75.0	3.98
	ACCOUNT #: 00000000963900	BUY 0 Units @0.0000						
10/31/2018	***-**-9217 - POLITIS, DEBRA	FRK TOTAL RETURN FND - CL A	0.00	7.88	0.00	7.88	75.0	5.91
	ACCOUNT #: 000000001004629	BUY 0 Units @0.0000						
10/31/2018	***-**-5371 - SOUTHFIELD,	FRK TOTAL RETURN FND - CL A	0.00	6.38	0.00	6.38	75.0	4.79
	ACCOUNT #: 000000001197399	BUY 0 Units @0.0000						
10/31/2018	***-**-00RO - KELLER, BILLIE	FRK UTIL FND - CL A	0.00	0.01	0.00	0.01	75.0	0.01
	ACCOUNT #: 000070188039260	BUY 0 Units @0.0000						
10/31/2018	***-**-9692 - KELLER, KENNETH	FRK UTIL FND - CL A	0.00	0.56	0.00	0.56	75.0	0.42
	ACCOUNT #: 000070188041136	BUY 0 Units @0.0000						
10/31/2018	***-**-9500 - KELLER, BILLIE	FRK UTIL FND - CL A	0.00	0.72	0.00	0.72	75.0	0.54
	ACCOUNT #: 000070188050820	BUY 0 Units @0.0000						
10/31/2018	***-**-0403 - DONOVAN, HEATHER	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	9.36	0.00	9.36	75.0	7.02
	ACCOUNT #: 000000007175262	BUY 0 Units @0.0000						
10/31/2018	***-**-0961 - BUDINE, JESSE	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.91	0.00	0.91	75.0	0.68
	ACCOUNT #: 000000007475698	BUY 0 Units @0.0000						
10/31/2018	***-**-4848 - DOGETT, AMY	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.83	0.00	0.83	75.0	0.62
	ACCOUNT #: 000000007485725	BUY 0 Units @0.0000						
10/31/2018	***-**-1787 - ANO, MICHAEL	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	3.08	0.00	3.08	75.0	2.31
	ACCOUNT #: 000000007508916	BUY 0 Units @0.0000						
10/31/2018	***-**-0608 - ANO, CHERYL	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	2.57	0.00	2.57	75.0	1.93
	ACCOUNT #: 000000007556347	BUY 0 Units @0.0000						
10/31/2018	***-**-9217 - POLITIS, DEBRA	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	22.50	0.00	22.50	75.0	16.88
	ACCOUNT #: 000000007691975	BUY 0 Units @0.0000						
10/31/2018	***-**-00RO - KELLER, BILLIE	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.01	0.00	0.01	75.0	0.01
	ACCOUNT #: 000000008294530	BUY 0 Units @0.0000						
10/31/2018	***-**-9692 - KELLER, KENNETH	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.77	0.00	0.77	75.0	0.58
	ACCOUNT #: 000000008301804	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/31/2018	***-**-9500 - KELLER, BILLIE	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.97	0.00	0.97	75.0	0.73
	ACCOUNT #: 000000008332761	BUY 0 Units @0.0000						
10/31/2018	***-**-5371 - SOUTHFIELD,	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	12.29	0.00	12.29	75.0	9.22
	ACCOUNT #: 000000008780278	BUY 0 Units @0.0000						
10/31/2018	***-**-6469 - BENNETT, DAVID	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	4.87	0.00	4.87	75.0	3.65
	ACCOUNT #: 000000008962250	BUY 0 Units @0.0000						
10/31/2018	***-**-0961 - BUDINE, JESSE	TEMP FRGN FND - CL A	0.00	0.78	0.00	0.78	75.0	0.59
	ACCOUNT #: 000004978424895	BUY 0 Units @0.0000						
10/31/2018	***-**-0403 - DONOVAN, HEATHER	TEMP GLOBAL BOND FND - CL A	0.00	4.53	0.00	4.53	75.0	3.40
	ACCOUNT #: 000006982468899	BUY 0 Units @0.0000						
10/31/2018	***-**-0961 - BUDINE, JESSE	TEMP GLOBAL BOND FND - CL A	0.00	0.77	0.00	0.77	75.0	0.58
	ACCOUNT #: 000006983356424	BUY 0 Units @0.0000						
10/31/2018	***-**-4848 - DOGGETT, AMY	TEMP GLOBAL BOND FND - CL A	0.00	0.52	0.00	0.52	75.0	0.39
	ACCOUNT #: 000006983376554	BUY 0 Units @0.0000						
10/31/2018	***-**-1787 - ANO, MICHAEL	TEMP GLOBAL BOND FND - CL A	0.00	4.92	0.00	4.92	75.0	3.69
	ACCOUNT #: 000006983429330	BUY 0 Units @0.0000						
10/31/2018	***-**-3034 - DRAKE, CATHERINE	TEMP GLOBAL BOND FND - CL A	0.00	0.51	0.00	0.51	75.0	0.38
	ACCOUNT #: 000006983437097	BUY 0 Units @0.0000						
10/31/2018	***-**-0608 - ANO, CHERYL	TEMP GLOBAL BOND FND - CL A	0.00	3.06	0.00	3.06	75.0	2.30
	ACCOUNT #: 000006983546669	BUY 0 Units @0.0000						
10/31/2018	***-**-9217 - POLITIS, DEBRA	TEMP GLOBAL BOND FND - CL A	0.00	26.34	0.00	26.34	75.0	19.76
	ACCOUNT #: 000006983894537	BUY 0 Units @0.0000						
10/31/2018	***-**-00RO - KELLER, BILLIE	TEMP GLOBAL BOND FND - CL A	0.00	0.01	0.00	0.01	75.0	0.01
	ACCOUNT #: 000006985204145	BUY 0 Units @0.0000						
10/31/2018	***-**-9692 - KELLER, KENNETH	TEMP GLOBAL BOND FND - CL A	0.00	1.30	0.00	1.30	75.0	0.98
	ACCOUNT #: 000006985212585	BUY 0 Units @0.0000						
10/31/2018	***-**-9500 - KELLER, BILLIE	TEMP GLOBAL BOND FND - CL A	0.00	1.65	0.00	1.65	75.0	1.24
	ACCOUNT #: 000006985253074	BUY 0 Units @0.0000						
10/31/2018	***-**-5371 - SOUTHFIELD,	TEMP GLOBAL BOND FND - CL A	0.00	10.87	0.00	10.87	75.0	8.15
	ACCOUNT #: 000006985760625	BUY 0 Units @0.0000						
10/31/2018	***-**-6469 - BENNETT, DAVID	TEMP GLOBAL BOND FND - CL A	0.00	4.35	0.00	4.35	75.0	3.26
	ACCOUNT #: 000006985886089	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/31/2018	***-**-6469 - BENNETT, DAVID	TEMP GLOBAL BOND FND - CL A	0.00	0.30	0.00	0.30	75.0	0.23
	ACCOUNT #: 000006985890265	BUY 0 Units @0.0000						
10/31/2018	***-**-0608 - ANO, CHERYL	TEMPLETON GROWTH FUND CLASS A	0.00	1.47	0.00	1.47	75.0	1.10
	ACCOUNT #: 000007077039626	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$500.87	\$0.00	\$500.87		\$375.75
*** BROKER TRANSACTIONS TOTAL ***			\$5,523.24	\$973.99	\$0.00	\$973.99		\$730.76

BROKER COMMISSION TOTALS

Broker Transactions	\$730.76
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

Net Commission Earned	\$730.76
Year-to-date Earnings	\$51,450.12