



COMMISSION STATEMENT

December 17, 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>								
12/17/2018	***-**-31UG - GIFT MIN ACT NY,	COLUMBIA THREADNEEDLE TRAILS BUY 0 Units @0.0000	0.00	2.08	0.00	2.08	75.0	1.56
12/04/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	HARTFORD MUTUAL FUND CUSIP 41664L38 BUY 0 Units @0.0000	0.00	1.62	0.00	1.62	75.0	1.22
12/04/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	HARTFORD MUTUAL FUND CUSIP 41664L38 BUY 0 Units @0.0000	0.00	14.35	0.00	14.35	75.0	10.76
12/04/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	1.24	0.00	1.24	75.0	0.93
12/04/2018	***-**-447P - BIRNS, PHYLLIS ACCOUNT #: 00000700389	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	2.59	0.00	2.59	75.0	1.94
12/04/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	21.69	0.00	21.69	75.0	16.27
12/04/2018	***-**-85IN - SEAMAN, ACCOUNT #: 00022087686	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	1.38	0.00	1.38	75.0	1.04
12/04/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD DIVIDEND & GROWTH FUND BUY 0 Units @0.0000	0.00	9.30	0.00	9.30	75.0	6.98
12/04/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD GROWTH OPPORTUNITIES F BUY 0 Units @0.0000	0.00	2.75	0.00	2.75	75.0	2.06
12/04/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD INTL CAPITAL APP. FUND BUY 0 Units @0.0000	0.00	1.06	0.00	1.06	75.0	0.80
12/04/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD INTL OPPORTUNITIES FD- BUY 0 Units @0.0000	0.00	11.70	0.00	11.70	75.0	8.78
12/04/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD MID CAP FUND-A BUY 0 Units @0.0000	0.00	21.22	0.00	21.22	75.0	15.92
12/04/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD SMALL CAP GROWTH FD-A BUY 0 Units @0.0000	0.00	2.41	0.00	2.41	75.0	1.81
12/03/2018	***-**-3921 - FINE, JANET ACCOUNT #: 04000418162	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	4.37	0.00	4.37	75.0	3.28
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$97.76	\$0.00	\$97.76		\$73.35
*** BROKER TRANSACTIONS TOTAL ***			\$0.00	\$97.76	\$0.00	\$97.76		\$73.35



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					BROKER
DATE	CLIENT	INVESTMENT	AMOUNT	GROSS COMMISSION	NET BROKER COMMISSION
BROKER COMMISSION TOTALS					
				Broker Transactions	\$73.35
				Split Transactions	\$0.00
				Override Transactions	\$0.00
				Adjustments	\$0.00
				Payroll Draw	\$0.00
				Base Salary	\$0.00
				Prior Period Balance	\$76.58
				FINRA Assessment	\$0.00
				SIPC Assessment	\$0.00
				Net Commission Earned	\$149.93
				Year-to-date Earnings	\$37,472.17