



# COMMISSION STATEMENT

## October 15, 2018

RICK SOWERS

BROKER #: STPBR

BRANCH #01002 - 02 - SOWERS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>OVERWRITE TRANSACTIONS</b>								
<b><u>BROKER: CHRISTOPHER MILGROOM</u></b>								
10/03/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07468200598	MID CAP GROWTH - R2 BUY 0 Units @0.0000	0.00	1.05	0.00	1.05	15.0	0.16
10/03/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07468200633	MID CAP GROWTH - R2 BUY 0 Units @0.0000	0.00	8.34	0.00	8.34	15.0	1.25
10/03/2018	***-**-2107 - FIGUERAS, DAURIS ACCOUNT #: 07468200945	MID CAP GROWTH - R2 BUY 0 Units @0.0000	0.00	1.50	0.00	1.50	15.0	0.23
10/03/2018	***-**-2111 - SPECTRUM TOURS ACCOUNT #: 07468201048	MID CAP GROWTH - R2 BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	15.0	0.03
10/03/2018	***-**-7574 - G-MEN CORP ACCOUNT #: 07468201148	MID CAP GROWTH - R2 BUY 0 Units @0.0000	0.00	2.49	0.00	2.49	15.0	0.37
10/08/2018	***-**-67CL - MILGROOM, ACCOUNT #: 04892189304	AB GLOBAL BOND R BUY 0 Units @0.0000	0.00	2.63	0.00	2.63	15.0	0.39
10/08/2018	***-**-67CL - MILGROOM, ACCOUNT #: 04892189311	AB GLOBAL BOND R BUY 0 Units @0.0000	0.00	1.03	0.00	1.03	15.0	0.15
10/08/2018	***-**-0720 - COCKTAILS DREAMS ACCOUNT #: 04892189770	AB GLOBAL BOND R BUY 0 Units @0.0000	0.00	0.23	0.00	0.23	15.0	0.03
10/15/2018	***-**-9109 - PASCH, ROBERT ACCOUNT #: 51554475	BLACKROCK TRAILS BUY 0 Units @0.0000	0.00	7.14	0.00	7.14	15.0	1.07
10/02/2018	***-**-1584 - CAMPBELL, COLIN ACCOUNT #: 00929501828	CALVERT LONG-TERM INCOME FUND BUY 0 Units @0.0000	0.00	0.16	0.00	0.16	15.0	0.02
09/17/2018	***-**-3804 - LETOURNEAU, ACCOUNT #: 08352639846	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	50.00	2.38	0.00	2.38	15.0	0.36
09/17/2018	***-**-3804 - LETOURNEAU, ACCOUNT #: 02156825863	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	50.00	2.38	0.00	2.38	15.0	0.36
10/06/2018	***-**-8694 - FLUSBERG, ACCOUNT #: R106699-ZS	ING ADVANTAGE SELECT BUY 0 Units @0.0000	0.00	104.11	0.00	104.11	15.0	15.62
10/11/2018	***-**-67CL - MILGROOM, ACCOUNT #: R096007-ZS	ING ADVANTAGE SELECT BUY 0 Units @0.0000	0.00	3.49	0.00	3.49	15.0	0.52
10/11/2018	***-**-67CL - MILGROOM, ACCOUNT #: R096023-ZS	ING ADVANTAGE SELECT BUY 0 Units @0.0000	0.00	5.74	0.00	5.74	15.0	0.86
09/25/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07123000494	INVESCO GLOBAL REAL ESTATE FUND -CL BUY 11 Units @13.1900	139.91	1.05	0.00	1.05	15.0	0.16



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: CHRISTOPHER MILGROOM (continued) </u></b>								
10/01/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07123000641	INVESCO GLOBAL REAL ESTATE FUND -CL BUY 8 Units @13.0900	105.00	0.79	0.00	0.79	15.0	0.12
10/02/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07123000351	INVESCO GLOBAL REAL ESTATE FUND -CL BUY 1 Units @12.9700	12.24	0.09	0.00	0.09	15.0	0.01
10/10/2018	***-**-6927 - DEMAREST, DAVID ACCOUNT #: 1008530439	JACKSON NATIONAL PERSPECTIVE II BUY 0 Units @0.0000	100.00	7.50	0.00	7.50	15.0	1.13
10/15/2018	***-**-67CL - MILGROOM,	JANUS MF TRAILS BUY 0 Units @0.0000	0.00	51.66	0.00	51.66	15.0	7.75
10/01/2018	***-**-67CL - MILGROOM, ACCOUNT #: 00090008712	MFS MID CAP VALUE FUND-R3 BUY 0 Units @0.0000	0.00	5.20	0.00	5.20	15.0	0.78
10/01/2018	***-**-67CL - MILGROOM, ACCOUNT #: 00090009135	MFS MID CAP VALUE FUND-R3 BUY 0 Units @0.0000	0.00	35.03	0.00	35.03	15.0	5.25
10/01/2018	***-**-0720 - COCKTAILS DREAMS ACCOUNT #: 00090010010	MFS MID CAP VALUE FUND-R3 BUY 0 Units @0.0000	0.00	0.65	0.00	0.65	15.0	0.10
10/01/2018	***-**-67CL - MILGROOM, ACCOUNT #: 00090000070	MFS NEW DISCOVERY VALUE FUND CL C BUY 0 Units @0.0000	0.00	7.89	0.00	7.89	15.0	1.18
10/01/2018	***-**-67CL - MILGROOM, ACCOUNT #: 00090003553	MFS VALUE FUND-R2 BUY 0 Units @0.0000	0.00	11.53	0.00	11.53	15.0	1.73
10/01/2018	***-**-67CL - MILGROOM, ACCOUNT #: 00090003620	MFS VALUE FUND-R2 BUY 0 Units @0.0000	0.00	55.42	0.00	55.42	15.0	8.31
10/01/2018	***-**-443K - FIGUERAS MD 401K ACCOUNT #: 00090004003	MFS VALUE FUND-R2 BUY 0 Units @0.0000	0.00	3.29	0.00	3.29	15.0	0.49
10/01/2018	***-**-0720 - COCKTAILS DREAMS ACCOUNT #: 00090004144	MFS VALUE FUND-R2 BUY 0 Units @0.0000	0.00	1.63	0.00	1.63	15.0	0.24
10/01/2018	***-**-7574 - G-MEN CORP ACCOUNT #: 00090004301	MFS VALUE FUND-R2 BUY 0 Units @0.0000	0.00	4.71	0.00	4.71	15.0	0.71
09/17/2018	***-**-3804 - LETOURNEAU, ACCOUNT #: 01952878018	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	50.00	2.38	0.00	2.38	15.0	0.36
10/15/2018	***-**-0834 - WIEBE, PHILIP	PORTFOLIO PLAN C BUY 0 Units @0.0000	150.00	1.50	0.00	1.50	15.0	0.23
10/15/2018	***-**-0067 - UNCLE AL'S CAFE, ACCOUNT #: 31523373	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	64.75	0.00	64.75	15.0	9.71



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: CHRISTOPHER MILGROOM (continued)</u> </b>								
10/01/2018	***-**-57IE - NIELSEN, GERT	PUTNAM ASSET ALLOC GROWTH-A	0.00	0.85	0.00	0.85	15.0	0.13
	ACCOUNT #: 00287535582	BUY 0 Units @0.0000						
10/01/2018	***-**-32IE - NIELSEN, GERT	PUTNAM ASSET ALLOC GROWTH-A	0.00	0.85	0.00	0.85	15.0	0.13
	ACCOUNT #: 00287599362	BUY 0 Units @0.0000						
10/01/2018	***-**-57IE - NIELSEN, GERT	PUTNAM EQUITY INCOME FUND-A	0.00	0.79	0.00	0.79	15.0	0.12
	ACCOUNT #: 00287535582	BUY 0 Units @0.0000						
10/01/2018	***-**-32IE - NIELSEN, GERT	PUTNAM EQUITY INCOME FUND-A	0.00	0.79	0.00	0.79	15.0	0.12
	ACCOUNT #: 00287599362	BUY 0 Units @0.0000						
10/01/2018	***-**-948I - JOHNSON,	PUTNAM MULTI-CAP CORE FUND CL A	0.00	3.16	0.00	3.16	15.0	0.47
	ACCOUNT #: 00370423037	BUY 0 Units @0.0000						
10/01/2018	***-**-948I - JOHNSON,	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.96	0.00	0.96	15.0	0.14
	ACCOUNT #: 00551324878	BUY 0 Units @0.0000						
10/01/2018	***-**-525P - LOYOLA, GILBERTO	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.28	0.00	0.28	15.0	0.04
	ACCOUNT #: 00282475603	BUY 0 Units @0.0000						
10/01/2018	***-**-203I - VERBURG, JOHN	PUTNAM MULTI-CAP CORE FUND CL A	0.00	15.24	0.00	15.24	15.0	2.29
	ACCOUNT #: 00313014737	BUY 0 Units @0.0000						
10/01/2018	***-**-12IR - JONGAKIEM,	PUTNAM MULTI-CAP CORE FUND CL A	0.00	1.79	0.00	1.79	15.0	0.27
	ACCOUNT #: 00314170955	BUY 0 Units @0.0000						
10/01/2018	***-**-203I - VERBURG, JOHN	PUTNAM MULTI-CAP CORE FUND CL A	0.00	3.05	0.00	3.05	15.0	0.46
	ACCOUNT #: 00550314209	BUY 0 Units @0.0000						
10/03/2018	***-**-67CL - MILGROOM,	SMALL CAP VALUE FUND - R2	0.00	2.45	0.00	2.45	15.0	0.37
	ACCOUNT #: 07418403711	BUY 0 Units @0.0000						
10/03/2018	***-**-67CL - MILGROOM,	SMALL CAP VALUE FUND - R2	0.00	0.68	0.00	0.68	15.0	0.10
	ACCOUNT #: 07418403731	BUY 0 Units @0.0000						
10/03/2018	***-**-7574 - G-MEN CORP	SMALL CAP VALUE FUND - R2	0.00	0.11	0.00	0.11	15.0	0.02
	ACCOUNT #: 07418404146	BUY 0 Units @0.0000						
10/02/2018	***-**-67CL - MILGROOM,	TRANSAMERICA SMALL/MID CAP VALUE-C	0.00	15.00	0.00	15.00	15.0	2.25
	ACCOUNT #: 07748008823	BUY 0 Units @0.0000						
10/02/2018	***-**-67CL - MILGROOM,	TRANSAMERICA SMALL/MID CAP VALUE-C	0.00	18.99	0.00	18.99	15.0	2.85
	ACCOUNT #: 07748008142	BUY 0 Units @0.0000						
10/03/2018	***-**-6647 - CABLE, ROBERT	WELLS FARGO SPECIAL MID CAP CL C	0.00	0.55	0.00	0.55	15.0	0.08
	ACCOUNT #: 08551051344	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: CHRISTOPHER MILGROOM (continued)</u></b>								
10/03/2018	***-**-6647 - CABLE, ROBERT	WELLS FARGO SPECIAL MID CAP CL C	0.00	1.64	0.00	1.64	15.0	0.25
	ACCOUNT #: 08551051344	BUY 0 Units @0.0000						
		* CHRISTOPHER MILGROOM SUBTOTAL *	\$657.15	\$465.09	\$0.00	\$465.09		\$69.77
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$657.15	\$465.09	\$0.00	\$465.09		\$69.77

**BROKER COMMISSION TOTALS**

Broker Transactions	\$0.00
Split Transactions	\$0.00
Override Transactions	\$69.77
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

Balance Forward	\$69.77
Year-to-date Earnings	\$3,134.47