



COMMISSION STATEMENT

November 26, 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>								
11/23/2018	***-**-9825 - OHARA, DAVID	AMCAP FUND-A	200.00	4.00	0.00	4.00	75.0	3.00
	ACCOUNT #: 00081132041	BUY 6 Units @31.9700						
11/19/2018	***-**-4906 - VAN ALSTINE,	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 00086106101	BUY 2 Units @28.5600						
11/23/2018	***-**-408B - SNIZEK,	AMERICAN BALANCED FUND-A	125.00	3.44	0.00	3.44	75.0	2.58
	ACCOUNT #: 00085154620	BUY 5 Units @27.5400						
11/23/2018	***-**-5152 - DUNN, MICHELE	AMERICAN BALANCED FUND-A	400.00	11.00	0.00	11.00	75.0	8.25
	ACCOUNT #: 00087316793	BUY 15 Units @27.5400						
11/23/2018	***-**-5556 - BURNS, ROBERT	AMERICAN BALANCED FUND-A	37.50	1.59	0.00	1.59	75.0	1.19
	ACCOUNT #: 00085993216	BUY 1 Units @27.9800						
11/20/2018	***-**-4932 - BAKER, STEVEN	AMERICAN HIGH-INCOME TRUST-A	75.00	2.06	0.00	2.06	75.0	1.55
	ACCOUNT #: 00086683340	BUY 7 Units @10.2300						
11/23/2018	***-**-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 @10.2400						
11/23/2018	***-**-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 @10.2400						
11/23/2018	***-**-408B - SNIZEK,	AMERICAN HIGH-INCOME TRUST-A	100.00	2.75	0.00	2.75	75.0	2.06
	ACCOUNT #: 00085154620	BUY 10 Units @10.2400						
11/23/2018	***-**-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 @10.2400						
11/23/2018	***-**-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 @10.2600						
11/14/2018	***-**-70IN - KING, SUSAN	CAPITAL APPRECIATION A	60.00	1.80	0.00	1.80	75.0	1.35
	ACCOUNT #: 03210336612	BUY 0 Units @0.0000						
11/13/2018	***-**-4932 - BAKER, STEVEN	CAPITAL INCOME A	262.50	10.50	0.00	10.50	75.0	7.88
	ACCOUNT #: 03008792487	BUY 0 Units @0.0000						
11/13/2018	***-**-030J - MERRILL,	CAPITAL INCOME A	62.50	1.88	0.00	1.88	75.0	1.41
	ACCOUNT #: 03009145719	BUY 0 Units @0.0000						
11/13/2018	***-**-481J - MERRILL, JASON	CAPITAL INCOME A	62.50	1.88	0.00	1.88	75.0	1.41
	ACCOUNT #: 03009145730	BUY 0 Units @0.0000						
11/20/2018	***-**-4932 - BAKER, STEVEN	CAPITAL INCOME BUILDER-A	100.00	2.75	0.00	2.75	75.0	2.06
	ACCOUNT #: 00086683340	BUY 2 Units @60.0400						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
11/23/2018	***-**-5152 - DUNN, MICHELE	CAPITAL INCOME BUILDER-A	400.00	11.00	0.00	11.00	75.0	8.25
	ACCOUNT #: 00087316793	BUY 7 Units @59.9400						
11/20/2018	***-**-4932 - BAKER, STEVEN	CAPITAL WORLD BOND FUND-A	75.00	2.06	0.00	2.06	75.0	1.55
	ACCOUNT #: 00086683340	BUY 4 Units @19.6600						
11/20/2018	***-**-4932 - BAKER, STEVEN	CAPITAL WORLD GROWTH AND INCOME FUN	125.00	3.44	0.00	3.44	75.0	2.58
	ACCOUNT #: 00086683340	BUY 3 Units @47.9500						
11/23/2018	***-**-4848 - DOGGETT, AMY	CAPITAL WORLD GROWTH AND INCOME FUN	165.00	4.54	0.00	4.54	75.0	3.41
	ACCOUNT #: 00081620466	BUY 3 Units @48.0000						
11/23/2018	***-**-7598 - HUMPF, MINDI	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.69	0.00	0.69	75.0	0.52
	ACCOUNT #: 00085514851	BUY 1 Units @48.0000						
11/23/2018	***-**-408B - SNIZEK,	CAPITAL WORLD GROWTH AND INCOME FUN	100.00	2.75	0.00	2.75	75.0	2.06
	ACCOUNT #: 00085154620	BUY 2 Units @48.0000						
11/23/2018	***-**-1909 - BASHANT, MATTHEW	CAPITAL WORLD GROWTH AND INCOME FUN	47.25	1.30	0.00	1.30	75.0	0.98
	ACCOUNT #: 00085839015	BUY 1 Units @48.0000						
11/23/2018	***-**-5556 - BURNS, ROBERT	CAPITAL WORLD GROWTH AND INCOME FUN	37.50	1.59	0.00	1.59	75.0	1.19
	ACCOUNT #: 00085993216	BUY 1 Units @48.7600						
11/13/2018	***-**-4932 - BAKER, STEVEN	EQUITY INCOME FUND, INC. A	262.50	10.50	0.00	10.50	75.0	7.88
	ACCOUNT #: 08352551208	BUY 0 Units @0.0000						
11/14/2018	***-**-33IN - KING, JOHN	EQUITY INCOME FUND, INC. A	38.00	1.14	0.00	1.14	75.0	0.86
	ACCOUNT #: 08351548074	BUY 0 Units @0.0000						
11/23/2018	***-**-1909 - BASHANT, MATTHEW	EUROPACIFIC GROWTH FUND-A	47.25	1.30	0.00	1.30	75.0	0.98
	ACCOUNT #: 00085839015	BUY 1 Units @49.4500						
11/15/2018	***-**-481J - MERRILL, JASON	FRANKLIN NEW YORK TAX FREE CLASS C	150.00	1.50	0.00	1.50	75.0	1.13
	ACCOUNT #: 000000000426484	BUY 14 Units @10.6000						
11/15/2018	***-**-481J - MERRILL, JASON	FRANKLIN NY INTR-TRM TF INC FD	150.00	1.50	0.00	1.50	75.0	1.13
	ACCOUNT #: 000000000033504	BUY 13 Units @11.1600						
11/13/2018	***-**-481J - MERRILL, JASON	OPP PORT SERIES: MOD INV FD A	112.50	3.38	0.00	3.38	75.0	2.54
	ACCOUNT #: 05450490435	BUY 0 Units @0.0000						
11/13/2018	***-**-030J - MERRILL,	OPP PORT SERIES: MOD INV FD A	112.50	3.38	0.00	3.38	75.0	2.54
	ACCOUNT #: 05450490490	BUY 0 Units @0.0000						
11/14/2018	***-**-33IN - KING, JOHN	OPPENHEIMER DEVELOPING MARKETS CLAS	38.00	1.14	0.00	1.14	75.0	0.86
	ACCOUNT #: 07859653204	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
11/13/2018	***-**-481J - MERRILL, JASON	OPPENHEIMER INTERNATIONAL DIVERSIFI	12.50	0.38	0.00	0.38	75.0	0.29
	ACCOUNT #: 01951261073	BUY 0 Units @0.0000						
11/13/2018	***-**-030J - MERRILL,	OPPENHEIMER INTERNATIONAL DIVERSIFI	12.50	0.38	0.00	0.38	75.0	0.29
	ACCOUNT #: 01951261139	BUY 0 Units @0.0000						
11/14/2018	***-**-33IN - KING, JOHN	OPPENHEIMER MAIN STREET SMALL CAP F	38.00	1.14	0.00	1.14	75.0	0.86
	ACCOUNT #: 08476672325	BUY 0 Units @0.0000						
11/14/2018	***-**-33IN - KING, JOHN	OPPENHEIMER SMALL & MID CAP VALUE F	38.00	1.14	0.00	1.14	75.0	0.86
	ACCOUNT #: 02514166107	BUY 0 Units @0.0000						
11/13/2018	***-**-4932 - BAKER, STEVEN	OPPENHEIMER STRATEGIC INCOME FD CL	262.50	9.84	0.00	9.84	75.0	7.38
	ACCOUNT #: 02306510122	BUY 0 Units @0.0000						
11/14/2018	***-**-70IN - KING, SUSAN	OPPENHEIMER STRATEGIC INCOME FD CL	60.00	1.65	0.00	1.65	75.0	1.24
	ACCOUNT #: 02305070453	BUY 0 Units @0.0000						
11/13/2018	***-**-4932 - BAKER, STEVEN	RISING DIVIDENDS FUND A	262.50	10.50	0.00	10.50	75.0	7.88
	ACCOUNT #: 02254109468	BUY 0 Units @0.0000						
11/14/2018	***-**-70IN - KING, SUSAN	RISING DIVIDENDS FUND A	80.00	2.40	0.00	2.40	75.0	1.80
	ACCOUNT #: 02253478497	BUY 0 Units @0.0000						
11/14/2018	***-**-33IN - KING, JOHN	RISING DIVIDENDS FUND A	48.00	1.44	0.00	1.44	75.0	1.08
	ACCOUNT #: 02254507140	BUY 0 Units @0.0000						
11/13/2018	***-**-030J - MERRILL,	SELECT VALUE FUND A	62.50	1.88	0.00	1.88	75.0	1.41
	ACCOUNT #: 06000782386	BUY 0 Units @0.0000						
11/13/2018	***-**-481J - MERRILL, JASON	SELECT VALUE FUND A	62.50	1.88	0.00	1.88	75.0	1.41
	ACCOUNT #: 06000782397	BUY 0 Units @0.0000						
11/23/2018	***-**-5556 - BURNS, ROBERT	SMALLCAP WORLD FUND-A	22.50	0.96	0.00	0.96	75.0	0.72
	ACCOUNT #: 00085993216	BUY 0 Units @55.6000						
11/23/2018	***-**-4848 - DOGGETT, AMY	THE GROWTH FUND OF AMERICA-A	170.00	4.68	0.00	4.68	75.0	3.51
	ACCOUNT #: 00081620466	BUY 3 Units @51.4400						
11/23/2018	***-**-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 @51.4400						
11/23/2018	***-**-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 @51.4400						
11/23/2018	***-**-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 @51.4400						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
11/20/2018	***-**-4932 - BAKER, STEVEN	THE INCOME FUND OF AMERICA-A	150.00	4.13	0.00	4.13	75.0	3.10
	ACCOUNT #: 00086683340	BUY 6 Units @23.0800						
11/23/2018	***-**-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 @23.0400						
11/23/2018	***-**-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 @23.0400						
* MUTUAL FUNDS SUBTOTAL *			<u>\$5,300.00</u>	<u>\$156.35</u>	<u>\$0.00</u>	<u>\$156.35</u>		<u>\$117.38</u>
*** BROKER TRANSACTIONS TOTAL ***			<u>\$5,300.00</u>	<u>\$156.35</u>	<u>\$0.00</u>	<u>\$156.35</u>		<u>\$117.38</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$117.38
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	\$117.38
Year-to-date Earnings	\$51,746.44