



COMMISSION STATEMENT

September 24, 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: ALTERNATIVE INVESTMENTS</u>								
09/06/2018	***-**-9125 - DUNN, BRENDAN	GWG L BOND - 2YR BUY 25 Units @1000.0000	25,000.00	1,000.00	0.00	1,000.00	75.0	750.00
09/06/2018	***-**-9125 - DUNN, BRENDAN	GWG L BOND - 3YR BUY 50 Units @1000.0000	50,000.00	2,500.00	0.00	2,500.00	75.0	1,875.00
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$75,000.00	\$3,500.00	\$0.00	\$3,500.00		\$2,625.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/17/2018	***-**-8906 - ISBELL, ACCOUNT #: 00073594886	AMERICAN BALANCED FUND-A BUY 2 Units @28.8100	50.00	1.38	0.00	1.38	75.0	1.04
09/17/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912	AMERICAN BALANCED FUND-A BUY 3 Units @28.8100	100.00	2.75	0.00	2.75	75.0	2.06
09/17/2018	***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557	AMERICAN BALANCED FUND-A BUY 2 Units @28.8100	50.00	1.38	0.00	1.38	75.0	1.04
09/17/2018	***-**-4906 - VAN ALSTINE, ACCOUNT #: 00086106101	AMERICAN BALANCED FUND-A BUY 2 Units @29.5000	50.00	2.50	0.00	2.50	75.0	1.88
09/18/2018	***-**-9037 - NOURSE, STACIA ACCOUNT #: 04000247689	AMERICAN BALANCED FUND-A BUY 2 Units @29.5800	50.00	2.50	0.00	2.50	75.0	1.88
09/18/2018	***-**-5152 - DUNN, MICHELE ACCOUNT #: 00087316793	AMERICAN BALANCED FUND-A BUY 14 Units @28.8900	400.00	11.00	0.00	11.00	75.0	8.25
09/18/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	AMERICAN BALANCED FUND-A BUY 4 Units @28.8900	125.00	3.44	0.00	3.44	75.0	2.58
09/18/2018	***-**-4639 - SCOONES, ACCOUNT #: 00084481157	AMERICAN BALANCED FUND-A BUY 3 Units @28.8900	90.75	2.50	0.00	2.50	75.0	1.88
09/18/2018	***-**-5556 - BURNS, ROBERT ACCOUNT #: 00085993216	AMERICAN BALANCED FUND-A BUY 1 Units @29.3500	37.50	1.59	0.00	1.59	75.0	1.19
09/18/2018	***-**-0939 - LAWRENCE, JASON ACCOUNT #: 00087909097	AMERICAN BALANCED FUND-A BUY 2 Units @29.5800	60.00	3.00	0.00	3.00	75.0	2.25
09/17/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.6400	50.00	1.38	0.00	1.38	75.0	1.04
09/17/2018	***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.6400	50.00	1.38	0.00	1.38	75.0	1.04
09/18/2018	***-**-9037 - NOURSE, STACIA ACCOUNT #: 04000247689	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.6700	50.00	1.50	0.00	1.50	75.0	1.13



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
09/18/2018	***-**-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 @10.6400						
09/18/2018	***-**-408B - SNIZEK,	AMERICAN HIGH-INCOME TRUST-A	100.00	2.75	0.00	2.75	75.0	2.06
	ACCOUNT #: 00085154620	BUY 9 Units @10.6400						
09/18/2018	***-**-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 @10.6400						
09/18/2018	***-**-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 @10.6400						
09/18/2018	***-**-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 @10.6700						
09/20/2018	***-**-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 @10.6400						
09/18/2018	***-**-5152 - DUNN, MICHELE	CAPITAL INCOME BUILDER-A	400.00	11.00	0.00	11.00	75.0	8.25
	ACCOUNT #: 00087316793	BUY 6 Units @62.3500						
09/20/2018	***-**-4932 - BAKER, STEVEN	CAPITAL INCOME BUILDER-A	100.00	2.75	0.00	2.75	75.0	2.06
	ACCOUNT #: 00086683340	BUY 2 Units @62.6900						
09/20/2018	***-**-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 @20.0500						
09/17/2018	***-**-3143 - HUMPF, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00082277557	BUY 1 Units @52.1000						
09/18/2018	***-**-7598 - HUMPF, MINDI	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.69	0.00	0.69	75.0	0.52
	ACCOUNT #: 00085514851	BUY 0 Units @52.5100						
09/18/2018	***-**-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 @52.5100						
09/18/2018	***-**-4848 - DOGETT, AMY	CAPITAL WORLD GROWTH AND INCOME FUN	165.00	4.54	0.00	4.54	75.0	3.41
	ACCOUNT #: 00081620466	BUY 3 Units @52.5100						
09/18/2018	***-**-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 @52.5100						
09/18/2018	***-**-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 @53.3400						
09/20/2018	***-**-4932 - BAKER, STEVEN	CAPITAL WORLD GROWTH AND INCOME FUN	125.00	3.44	0.00	3.44	75.0	2.58
	ACCOUNT #: 00086683340	BUY 2 Units @53.0800						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
09/17/2018	***-**-7598 - HUMPF, MINDI	EUROPACIFIC GROWTH FUND-A	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00082278912	BUY 1 Units @54.0000						
09/18/2018	***-**-1909 - BASHANT, MATTHEW	EUROPACIFIC GROWTH FUND-A	47.25	1.30	0.00	1.30	75.0	0.98
	ACCOUNT #: 00085839015	BUY 1 Units @54.3800						
09/18/2018	***-**-5556 - BURNS, ROBERT	SMALLCAP WORLD FUND-A	22.50	0.96	0.00	0.96	75.0	0.72
	ACCOUNT #: 00085993216	BUY 0 Units @63.2500						
09/18/2018	***-**-4639 - SCOONES,	THE BOND FUND OF AMERICA-A	90.75	2.50	0.00	2.50	75.0	1.88
	ACCOUNT #: 00084481157	BUY 7 Units @12.9100						
09/17/2018	***-**-9089 - REEDY, LISA	THE GROWTH FUND OF AMERICA-A	50.00	1.38	0.00	1.38	75.0	1.04
	ACCOUNT #: 00083100942	BUY 1 Units @57.5100						
09/17/2018	***-**-7598 - HUMPF, MINDI	THE GROWTH FUND OF AMERICA-A	133.00	3.66	0.00	3.66	75.0	2.75
	ACCOUNT #: 00082278912	BUY 2 Units @57.5100						
09/17/2018	***-**-3143 - HUMPF, JOHN	THE GROWTH FUND OF AMERICA-A	70.00	1.93	0.00	1.93	75.0	1.45
	ACCOUNT #: 00082277557	BUY 1 Units @57.5100						
09/18/2018	***-**-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 @58.0300						
09/18/2018	***-**-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 @58.0300						
09/18/2018	***-**-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 @58.0300						
09/18/2018	***-**-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 @58.0300						
09/18/2018	***-**-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 @58.0300						
09/18/2018	***-**-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 @24.0200						
09/18/2018	***-**-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 @24.0200						
09/18/2018	***-**-0939 - LAWRENCE, JASON	THE INCOME FUND OF AMERICA-A	60.00	3.00	0.00	3.00	75.0	2.25
	ACCOUNT #: 00087909097	BUY 2 Units @24.5900						
09/20/2018	***-**-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 @24.1700						



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<div>ADJUSTMENTS (continued)</div>								
		* MUTUAL FUNDS SUBTOTAL *	\$3,998.00	\$116.69	\$0.00	\$116.69		\$87.63
		*** BROKER TRANSACTIONS TOTAL ***	\$78,998.00	\$3,616.69	\$0.00	\$3,616.69		\$2,712.63
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$2,712.63
						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		\$2,712.63
						Year-to-date Earnings		\$45,005.55