



COMMISSION STATEMENT

December 17, 2018

RICK SOWERS

BROKER #: STPBR

BRANCH #01002 - 02 - SOWERS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: CHRISTOPHER MILGROOM</u>								
12/06/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07468200598	MID CAP GROWTH - R2 BUY 0 Units @0.0000	0.00	0.98	0.00	0.98	15.0	0.15
12/06/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07468200633	MID CAP GROWTH - R2 BUY 0 Units @0.0000	0.00	4.17	0.00	4.17	15.0	0.63
12/06/2018	***-**-2107 - FIGUERAS, DAURIS ACCOUNT #: 07468200945	MID CAP GROWTH - R2 BUY 0 Units @0.0000	0.00	1.34	0.00	1.34	15.0	0.20
12/06/2018	***-**-2111 - SPECTRUM TOURS ACCOUNT #: 07468201048	MID CAP GROWTH - R2 BUY 0 Units @0.0000	0.00	0.18	0.00	0.18	15.0	0.03
12/06/2018	***-**-7574 - G-MEN CORP ACCOUNT #: 07468201148	MID CAP GROWTH - R2 BUY 0 Units @0.0000	0.00	2.88	0.00	2.88	15.0	0.43
11/28/2018	***-**-6647 - CABLE, ROBERT ACCOUNT #: 07122874988	AIM SELECT REAL ESTATE INCOME FD-CL BUY 1 Units @8.8400	4.92	0.05	0.00	0.05	15.0	0.01
11/29/2018	***-**-6647 - CABLE, ROBERT ACCOUNT #: 07122874988	AIM SELECT REAL ESTATE INCOME FD-CL BUY 1 Units @8.8300	7.19	0.07	0.00	0.07	15.0	0.01
12/03/2018	***-**-775P - KING, GREGORY ACCOUNT #: 00082438825	AMCAP FUND-A BUY 0 Units @0.0000	0.00	20.82	0.00	20.82	15.0	3.12
12/03/2018	***-**-985P - KEATING, EILEEN ACCOUNT #: 00069168694	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.35	0.00	0.35	15.0	0.05
12/03/2018	***-**-8357 - KEATING, ROBERT ACCOUNT #: 00069168696	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.35	0.00	0.35	15.0	0.05
12/03/2018	***-**-165P - COOPER-KEATING, ACCOUNT #: 00081502206	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	4.37	0.00	4.37	15.0	0.66
12/03/2018	***-**-964I - HARRELL, ZELDA ACCOUNT #: 00085724317	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	16.00	0.00	16.00	15.0	2.40
12/03/2018	***-**-3178 - IONESCU, MIHAELA ACCOUNT #: 00088835521	AMERICAN FUNDS 023375702 BUY 0 Units @0.0000	0.00	11.57	0.00	11.57	15.0	1.74
12/03/2018	***-**-3178 - IONESCU, MIHAELA ACCOUNT #: 00088835540	AMERICAN FUNDS 023375702 BUY 0 Units @0.0000	0.00	11.77	0.00	11.77	15.0	1.77
12/17/2018	***-**-0067 - UNCLE AL'S CAFE, ACCOUNT #: 01241474508	AMERICAN FUNDS MF TRAILS BUY 0 Units @0.0000	0.00	3.86	0.00	3.86	15.0	0.58
12/03/2018	***-**-0720 - COCKTAILS DREAMS ACCOUNT #: 01847001648	AMERICAN FUNDS MORTGAGE FUND-R3 BUY 0 Units @0.0000	0.00	9.50	0.00	9.50	15.0	1.43



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: CHRISTOPHER MILGROOM (continued) </u>								
12/03/2018	***-**-0720 - COCKTAILS DREAMS	AMERICAN FUNDS MORTGAGE FUND-R3	0.00	29.20	0.00	29.20	15.0	4.38
	ACCOUNT #: 01847001667	BUY 0 Units @0.0000						
12/03/2018	***-**-2111 - SPECTRUM TOURS	AMERICAN FUNDS MORTGAGE FUND-R3	0.00	2.16	0.00	2.16	15.0	0.32
	ACCOUNT #: 01847002404	BUY 0 Units @0.0000						
12/03/2018	***-**-7264 - HOLLANDER, SHANE	AMERICAN MUTUAL FUND-529A	0.00	7.96	0.00	7.96	15.0	1.19
	ACCOUNT #: 00081895798	BUY 0 Units @0.0000						
12/03/2018	***-**-7264 - HOLLANDER, SHANE	AMERICAN MUTUAL FUND-529A	0.00	7.96	0.00	7.96	15.0	1.19
	ACCOUNT #: 00081895839	BUY 0 Units @0.0000						
12/03/2018	***-**-7264 - HOLLANDER, SHANE	AMERICAN MUTUAL FUND-529A	0.00	7.62	0.00	7.62	15.0	1.14
	ACCOUNT #: 00085243860	BUY 0 Units @0.0000						
12/03/2018	***-**-129I - HOLLANDER,	AMERICAN MUTUAL FUND-A	0.00	27.77	0.00	27.77	15.0	4.17
	ACCOUNT #: 00075689213	BUY 0 Units @0.0000						
12/03/2018	***-**-264I - HOLLANDER, TED	AMERICAN MUTUAL FUND-A	0.00	27.90	0.00	27.90	15.0	4.19
	ACCOUNT #: 00075689223	BUY 0 Units @0.0000						
12/03/2018	***-**-964I - HARRELL, ZELDA	AMERICAN MUTUAL FUND-A	0.00	4.80	0.00	4.80	15.0	0.72
	ACCOUNT #: 00085724317	BUY 0 Units @0.0000						
12/03/2018	***-**-1982 - HOHNECKER, LAURA	AMERICAN MUTUAL FUND-A	0.00	1.56	0.00	1.56	15.0	0.23
	ACCOUNT #: 00086976260	BUY 0 Units @0.0000						
12/17/2018	***-**-67CL - MILGROOM,	BLACKROCK TRAILS	0.00	8.21	0.00	8.21	15.0	1.23
		BUY 0 Units @0.0000						
12/03/2018	***-**-985P - KEATING, EILEEN	CAPITAL INCOME BUILDER-A	0.00	0.31	0.00	0.31	15.0	0.05
	ACCOUNT #: 00069168694	BUY 0 Units @0.0000						
12/03/2018	***-**-8357 - KEATING, ROBERT	CAPITAL INCOME BUILDER-A	0.00	0.31	0.00	0.31	15.0	0.05
	ACCOUNT #: 00069168696	BUY 0 Units @0.0000						
12/03/2018	***-**-6273 - ALICEA, JULIANNE	CAPITAL INCOME BUILDER-A	0.00	2.77	0.00	2.77	15.0	0.42
	ACCOUNT #: 00081274080	BUY 0 Units @0.0000						
12/03/2018	***-**-775P - KING, GREGORY	CAPITAL INCOME BUILDER-A	0.00	16.51	0.00	16.51	15.0	2.48
	ACCOUNT #: 00082438825	BUY 0 Units @0.0000						
12/03/2018	***-**-215P - KHAN, HUMAIRA	CAPITAL WORLD BOND FUND-A	0.00	0.27	0.00	0.27	15.0	0.04
	ACCOUNT #: 00075327976	BUY 0 Units @0.0000						
12/03/2018	***-**-165P - COOPER-KEATING,	CAPITAL WORLD BOND FUND-A	0.00	2.83	0.00	2.83	15.0	0.42
	ACCOUNT #: 00081502206	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CHRISTOPHER MILGROOM (continued)</u>								
12/03/2018	***-**-1982 - HOHNECKER, LAURA	CAPITAL WORLD BOND FUND-A	0.00	1.46	0.00	1.46	15.0	0.22
	ACCOUNT #: 00086976260	BUY 0 Units @0.0000						
12/03/2018	***-**-425P - SMOLLER, MICHAEL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	58.81	0.00	58.81	15.0	8.82
	ACCOUNT #: 00068829975	BUY 0 Units @0.0000						
12/03/2018	***-**-985P - KEATING, EILEEN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.40	0.00	0.40	15.0	0.06
	ACCOUNT #: 00069168694	BUY 0 Units @0.0000						
12/03/2018	***-**-8357 - KEATING, ROBERT	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.40	0.00	0.40	15.0	0.06
	ACCOUNT #: 00069168696	BUY 0 Units @0.0000						
12/03/2018	***-**-109I - PASCH, ROBERT	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	5.01	0.00	5.01	15.0	0.75
	ACCOUNT #: 00073775313	BUY 0 Units @0.0000						
12/03/2018	***-**-215P - KHAN, HUMAIRA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.28	0.00	0.28	15.0	0.04
	ACCOUNT #: 00075327976	BUY 0 Units @0.0000						
12/03/2018	***-**-129I - HOLLANDER,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	23.06	0.00	23.06	15.0	3.46
	ACCOUNT #: 00075689213	BUY 0 Units @0.0000						
12/03/2018	***-**-264I - HOLLANDER, TED	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	22.74	0.00	22.74	15.0	3.41
	ACCOUNT #: 00075689223	BUY 0 Units @0.0000						
12/03/2018	***-**-6273 - ALICEA, JULIANNE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.16	0.00	3.16	15.0	0.47
	ACCOUNT #: 00081274080	BUY 0 Units @0.0000						
12/03/2018	***-**-165P - COOPER-KEATING,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.72	0.00	3.72	15.0	0.56
	ACCOUNT #: 00081502206	BUY 0 Units @0.0000						
12/03/2018	***-**-135P - PASCH, SHAHAR	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.99	0.00	0.99	15.0	0.15
	ACCOUNT #: 00081639466	BUY 0 Units @0.0000						
12/03/2018	***-**-045P - DEANE, ZAIN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	29.15	0.00	29.15	15.0	4.37
	ACCOUNT #: 00081785432	BUY 0 Units @0.0000						
12/03/2018	***-**-075P - HUTCHINSON,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.23	0.00	1.23	15.0	0.18
	ACCOUNT #: 00082192962	BUY 0 Units @0.0000						
12/03/2018	***-**-635I - CAMPBELL,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.36	0.00	0.36	15.0	0.05
	ACCOUNT #: 00084984847	BUY 0 Units @0.0000						
12/03/2018	***-**-461I - CAMPBELL, COLIN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	10.12	0.00	10.12	15.0	1.52
	ACCOUNT #: 00084984880	BUY 0 Units @0.0000						
12/03/2018	***-**-964I - HARRELL, ZELDA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	12.72	0.00	12.72	15.0	1.91
	ACCOUNT #: 00085724317	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CHRISTOPHER MILGROOM (continued)</u>								
12/03/2018	***-**-1982 - HOHNECKER, LAURA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.51	0.00	1.51	15.0	0.23
	ACCOUNT #: 00086976260	BUY 0 Units @0.0000						
12/03/2018	***-**-7264 - HOLLANDER, SHANE	CAPITAL WORLD GROWTH AND INCOME-529	0.00	7.16	0.00	7.16	15.0	1.07
	ACCOUNT #: 00081895798	BUY 0 Units @0.0000						
12/03/2018	***-**-7264 - HOLLANDER, SHANE	CAPITAL WORLD GROWTH AND INCOME-529	0.00	7.16	0.00	7.16	15.0	1.07
	ACCOUNT #: 00081895839	BUY 0 Units @0.0000						
12/03/2018	***-**-7264 - HOLLANDER, SHANE	CAPITAL WORLD GROWTH AND INCOME-529	0.00	6.74	0.00	6.74	15.0	1.01
	ACCOUNT #: 00085243860	BUY 0 Units @0.0000						
12/03/2018	***-**-2461 - CAMPBELL, HOPE	CAPITAL WORLD GROWTH AND INCOME-529	0.00	5.98	0.00	5.98	15.0	0.90
	ACCOUNT #: 00085796879	BUY 0 Units @0.0000						
12/03/2018	***-**-2461 - CAMPBELL, HOPE	CAPITAL WORLD GROWTH AND INCOME-529	0.00	6.85	0.00	6.85	15.0	1.03
	ACCOUNT #: 00085796907	BUY 0 Units @0.0000						
12/03/2018	***-**-275P - BUBLA, MADISON	CAPITAL WORLD GROWTH AND INCOME-529	0.00	0.41	0.00	0.41	15.0	0.06
	ACCOUNT #: 00085932755	BUY 0 Units @0.0000						
12/03/2018	***-**-6927 - DEMAREST, DAVID	CAPITAL WORLD GROWTH AND INCOME-529	0.00	5.30	0.00	5.30	15.0	0.80
	ACCOUNT #: 00085340702	BUY 0 Units @0.0000						
12/03/2018	***-**-425P - SMOLLER, MICHAEL	CAPITAL WORLD GROWTH AND INCOME-F1	0.00	1.13	0.00	1.13	15.0	0.17
	ACCOUNT #: 00068829975	BUY 0 Units @0.0000						
12/03/2018	***-**-425P - SMOLLER, MICHAEL	EUROPACIFIC GROWTH FUND CLASS C	0.00	9.63	0.00	9.63	15.0	1.44
	ACCOUNT #: 00068829975	BUY 0 Units @0.0000						
12/03/2018	***-**-425P - SMOLLER, MICHAEL	EUROPACIFIC GROWTH FUND CLASS F	0.00	3.36	0.00	3.36	15.0	0.50
	ACCOUNT #: 00068829975	BUY 0 Units @0.0000						
12/03/2018	***-**-2461 - CAMPBELL, HOPE	EUROPACIFIC GROWTH FUND-529A	0.00	5.40	0.00	5.40	15.0	0.81
	ACCOUNT #: 00085796879	BUY 0 Units @0.0000						
12/03/2018	***-**-2461 - CAMPBELL, HOPE	EUROPACIFIC GROWTH FUND-529A	0.00	6.20	0.00	6.20	15.0	0.93
	ACCOUNT #: 00085796907	BUY 0 Units @0.0000						
12/03/2018	***-**-6927 - DEMAREST, DAVID	EUROPACIFIC GROWTH FUND-529E	0.00	4.53	0.00	4.53	15.0	0.68
	ACCOUNT #: 00085340702	BUY 0 Units @0.0000						
12/03/2018	***-**-425P - SMOLLER, MICHAEL	EUROPACIFIC GROWTH FUND-A	0.00	1.77	0.00	1.77	15.0	0.27
	ACCOUNT #: 00068829975	BUY 0 Units @0.0000						
12/03/2018	***-**-109I - PASCH, ROBERT	EUROPACIFIC GROWTH FUND-A	0.00	4.15	0.00	4.15	15.0	0.62
	ACCOUNT #: 00073775313	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: CHRISTOPHER MILGROOM (continued)</u>								
12/03/2018	***-**-135P - PASCH, SHAHAR	EUROPACIFIC GROWTH FUND-A	0.00	0.85	0.00	0.85	15.0	0.13
	ACCOUNT #: 00081639466	BUY 0 Units @0.0000						
12/03/2018	***-**-635I - CAMPBELL,	EUROPACIFIC GROWTH FUND-A	0.00	0.32	0.00	0.32	15.0	0.05
	ACCOUNT #: 00084984847	BUY 0 Units @0.0000						
12/03/2018	***-**-461I - CAMPBELL, COLIN	EUROPACIFIC GROWTH FUND-A	0.00	9.36	0.00	9.36	15.0	1.40
	ACCOUNT #: 00084984880	BUY 0 Units @0.0000						
12/03/2018	***-**-0067 - UNCLE AL'S CAFE,	EUROPACIFIC GROWTH FUND-R2	0.00	83.42	0.00	83.42	15.0	12.51
	ACCOUNT #: 00086251301	BUY 0 Units @0.0000						
12/03/2018	***-**-246I - CAMPBELL, HOPE	FUNDAMENTAL INVESTORS-529A	0.00	7.18	0.00	7.18	15.0	1.08
	ACCOUNT #: 00085796879	BUY 0 Units @0.0000						
12/03/2018	***-**-246I - CAMPBELL, HOPE	FUNDAMENTAL INVESTORS-529A	0.00	8.14	0.00	8.14	15.0	1.22
	ACCOUNT #: 00085796907	BUY 0 Units @0.0000						
12/03/2018	***-**-3178 - IONESCU, MIHAELA	FUNDAMENTAL INVESTORS-529C	0.00	11.47	0.00	11.47	15.0	1.72
	ACCOUNT #: 00088835521	BUY 0 Units @0.0000						
12/03/2018	***-**-3178 - IONESCU, MIHAELA	FUNDAMENTAL INVESTORS-529C	0.00	11.66	0.00	11.66	15.0	1.75
	ACCOUNT #: 00088835540	BUY 0 Units @0.0000						
12/03/2018	***-**-894I - GARCIA, MARIANO	FUNDAMENTAL INVESTORS-529E	0.00	71.25	0.00	71.25	15.0	10.69
	ACCOUNT #: 00073051316	BUY 0 Units @0.0000						
12/03/2018	***-**-4894 - GARCIA, MARIANO	FUNDAMENTAL INVESTORS-529E	0.00	43.09	0.00	43.09	15.0	6.46
	ACCOUNT #: 00083302737	BUY 0 Units @0.0000						
12/03/2018	***-**-215P - KHAN, HUMAIRA	FUNDAMENTAL INVESTORS-A	0.00	0.30	0.00	0.30	15.0	0.05
	ACCOUNT #: 00075327976	BUY 0 Units @0.0000						
12/03/2018	***-**-725P - MOLLE, PAUL	FUNDAMENTAL INVESTORS-C	0.00	52.61	0.00	52.61	15.0	7.89
	ACCOUNT #: 00068105507	BUY 0 Units @0.0000						
12/03/2018	***-**-425P - SMOLLER, MICHAEL	GROWTH FUND OF AMERICA CLASS F	0.00	2.02	0.00	2.02	15.0	0.30
	ACCOUNT #: 00068829975	BUY 0 Units @0.0000						
12/11/2018	***-**-67CL - MILGROOM,	ING ADVANTAGE SELECT	0.00	3.43	0.00	3.43	15.0	0.51
	ACCOUNT #: R096007-ZS	BUY 0 Units @0.0000						
12/11/2018	***-**-67CL - MILGROOM,	ING ADVANTAGE SELECT	0.00	5.65	0.00	5.65	15.0	0.85
	ACCOUNT #: R096023-ZS	BUY 0 Units @0.0000						
12/13/2018	***-**-4209 - DEBS, KEVIN	ING ADVANTAGE SELECT	0.00	13.32	0.00	13.32	15.0	2.00
	ACCOUNT #: R081292-ZS	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CHRISTOPHER MILGROOM (continued)</u>								
12/13/2018	***-**-6833 - FANO, DENNIS	ING ADVANTAGE SELECT	0.00	7.43	0.00	7.43	15.0	1.11
	ACCOUNT #: R110847-ZS	BUY 0 Units @0.0000						
11/19/2018	***-**-67CL - MILGROOM,	INVESCO GLOBAL REAL ESTATE FUND -CL	138.21	1.04	0.00	1.04	15.0	0.16
	ACCOUNT #: 07123000494	BUY 11 Units @12.9900						
11/20/2018	***-**-67CL - MILGROOM,	INVESCO GLOBAL REAL ESTATE FUND -CL	17.88	0.13	0.00	0.13	15.0	0.02
	ACCOUNT #: 07123000351	BUY 1 Units @12.8400						
12/03/2018	***-**-67CL - MILGROOM,	INVESCO GLOBAL REAL ESTATE FUND -CL	15.00	0.11	0.00	0.11	15.0	0.02
	ACCOUNT #: 07123000351	BUY 1 Units @13.2200						
12/04/2018	***-**-67CL - MILGROOM,	INVESCO GLOBAL REAL ESTATE FUND -CL	139.94	1.05	0.00	1.05	15.0	0.16
	ACCOUNT #: 07123000494	BUY 11 Units @13.0400						
12/10/2018	***-**-6927 - DEMAREST, DAVID	JACKSON NATIONAL PERSPECTIVE II	100.00	7.50	0.00	7.50	15.0	1.13
	ACCOUNT #: 1008530439	BUY 0 Units @0.0000						
12/17/2018	***-**-67CL - MILGROOM,	JANUS MF TRAILS	0.00	46.78	0.00	46.78	15.0	7.02
		BUY 0 Units @0.0000						
12/17/2018	***-**-8780 - PALM BEACH	NATIONWIDE TRAILS	0.00	15.38	0.00	15.38	15.0	2.31
		BUY 0 Units @0.0000						
12/17/2018	***-**-9109 - PASCH, ROBERT	NATIONWIDE TRAILS	0.00	4.50	0.00	4.50	15.0	0.68
		BUY 0 Units @0.0000						
12/17/2018	***-**-2111 - SPECTRUM TOURS	NATIONWIDE TRAILS	0.00	0.77	0.00	0.77	15.0	0.12
		BUY 0 Units @0.0000						
12/03/2018	***-**-7264 - HOLLANDER, SHANE	NEW PERSPECTIVE FUND-529A	0.00	7.28	0.00	7.28	15.0	1.09
	ACCOUNT #: 00081895798	BUY 0 Units @0.0000						
12/03/2018	***-**-7264 - HOLLANDER, SHANE	NEW PERSPECTIVE FUND-529A	0.00	7.28	0.00	7.28	15.0	1.09
	ACCOUNT #: 00081895839	BUY 0 Units @0.0000						
12/03/2018	***-**-7264 - HOLLANDER, SHANE	NEW PERSPECTIVE FUND-529A	0.00	6.87	0.00	6.87	15.0	1.03
	ACCOUNT #: 00085243860	BUY 0 Units @0.0000						
12/03/2018	***-**-3178 - IONESCU, MIHAELA	NEW PERSPECTIVE FUND-529C	0.00	10.97	0.00	10.97	15.0	1.65
	ACCOUNT #: 00088835521	BUY 0 Units @0.0000						
12/03/2018	***-**-3178 - IONESCU, MIHAELA	NEW PERSPECTIVE FUND-529C	0.00	11.15	0.00	11.15	15.0	1.67
	ACCOUNT #: 00088835540	BUY 0 Units @0.0000						
12/03/2018	***-**-894I - GARCIA, MARIANO	NEW PERSPECTIVE FUND-529E	0.00	66.06	0.00	66.06	15.0	9.91
	ACCOUNT #: 00073051316	BUY 0 Units @0.0000						



COMMISSION STATEMENT

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RICK SOWERS

BROKER #: STPBR

BRANCH #01002 - 02 - SOWERS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: CHRISTOPHER MILGROOM (continued)</u> 								
12/03/2018	***-**-4894 - GARCIA, MARIANO	NEW PERSPECTIVE FUND-529E	0.00	41.39	0.00	41.39	15.0	6.21
	ACCOUNT #: 00083302737	BUY 0 Units @0.0000						
12/03/2018	***-**-129I - HOLLANDER,	NEW PERSPECTIVE FUND-A	0.00	23.17	0.00	23.17	15.0	3.48
	ACCOUNT #: 00075689213	BUY 0 Units @0.0000						
12/03/2018	***-**-264I - HOLLANDER, TED	NEW PERSPECTIVE FUND-A	0.00	23.17	0.00	23.17	15.0	3.48
	ACCOUNT #: 00075689223	BUY 0 Units @0.0000						
12/03/2018	***-**-0067 - UNCLE AL'S CAFE,	NEW PERSPECTIVE FUND-R2	0.00	92.37	0.00	92.37	15.0	13.86
	ACCOUNT #: 00086251301	BUY 0 Units @0.0000						
12/03/2018	***-**-0720 - COCKTAILS DREAMS	NEW PERSPECTIVE FUND-R2	0.00	52.05	0.00	52.05	15.0	7.81
	ACCOUNT #: 01230591027	BUY 0 Units @0.0000						
12/03/2018	***-**-0720 - COCKTAILS DREAMS	NEW PERSPECTIVE FUND-R2	0.00	7.39	0.00	7.39	15.0	1.11
	ACCOUNT #: 01230591048	BUY 0 Units @0.0000						
12/03/2018	***-**-9109 - PASCH, ROBERT	NEW WORLD FUND-R3	0.00	7.78	0.00	7.78	15.0	1.17
	ACCOUNT #: 01241470723	BUY 0 Units @0.0000						
12/03/2018	***-**-8780 - PALM BEACH	NEW WORLD FUND-R3	0.00	26.03	0.00	26.03	15.0	3.90
	ACCOUNT #: 01241471887	BUY 0 Units @0.0000						
12/03/2018	***-**-2111 - SPECTRUM TOURS	NEW WORLD FUND-R3	0.00	1.21	0.00	1.21	15.0	0.18
	ACCOUNT #: 01241474946	BUY 0 Units @0.0000						
12/03/2018	***-**-7574 - G-MEN CORP	NEW WORLD FUND-R3	0.00	7.55	0.00	7.55	15.0	1.13
	ACCOUNT #: 01241475290	BUY 0 Units @0.0000						
12/06/2018	***-**-67CL - MILGROOM,	SMALL CAP VALUE FUND - R2	0.00	2.65	0.00	2.65	15.0	0.40
	ACCOUNT #: 07418403711	BUY 0 Units @0.0000						
12/06/2018	***-**-67CL - MILGROOM,	SMALL CAP VALUE FUND - R2	0.00	0.64	0.00	0.64	15.0	0.10
	ACCOUNT #: 07418403731	BUY 0 Units @0.0000						
12/06/2018	***-**-7574 - G-MEN CORP	SMALL CAP VALUE FUND - R2	0.00	0.12	0.00	0.12	15.0	0.02
	ACCOUNT #: 07418404146	BUY 0 Units @0.0000						
12/03/2018	***-**-985P - KEATING, EILEEN	THE BOND FUND OF AMERICA-A	0.00	0.19	0.00	0.19	15.0	0.03
	ACCOUNT #: 00069168694	BUY 0 Units @0.0000						
12/03/2018	***-**-725P - MOLLE, PAUL	THE GROWTH FUND OF AMERICA-529A	0.00	9.24	0.00	9.24	15.0	1.39
	ACCOUNT #: 00073116984	BUY 0 Units @0.0000						
12/03/2018	***-**-2461 - CAMPBELL, HOPE	THE GROWTH FUND OF AMERICA-529A	0.00	7.63	0.00	7.63	15.0	1.14
	ACCOUNT #: 00085796879	BUY 0 Units @0.0000						



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RICK SOWERS

BROKER #: STPBR

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CHRISTOPHER MILGROOM (continued)</u>								
12/03/2018	***-**-2461 - CAMPBELL, HOPE	THE GROWTH FUND OF AMERICA-529A	0.00	8.64	0.00	8.64	15.0	1.30
	ACCOUNT #: 00085796907	BUY 0 Units @0.0000						
12/03/2018	***-**-725P - MOLLE, PAUL	THE GROWTH FUND OF AMERICA-529C	0.00	12.22	0.00	12.22	15.0	1.83
	ACCOUNT #: 00073116984	BUY 0 Units @0.0000						
12/03/2018	***-**-3178 - IONESCU, MIHAELA	THE GROWTH FUND OF AMERICA-529C	0.00	12.04	0.00	12.04	15.0	1.81
	ACCOUNT #: 00088835521	BUY 0 Units @0.0000						
12/03/2018	***-**-3178 - IONESCU, MIHAELA	THE GROWTH FUND OF AMERICA-529C	0.00	12.25	0.00	12.25	15.0	1.84
	ACCOUNT #: 00088835540	BUY 0 Units @0.0000						
12/03/2018	***-**-894I - GARCIA, MARIANO	THE GROWTH FUND OF AMERICA-529E	0.00	82.74	0.00	82.74	15.0	12.41
	ACCOUNT #: 00073051316	BUY 0 Units @0.0000						
12/03/2018	***-**-4894 - GARCIA, MARIANO	THE GROWTH FUND OF AMERICA-529E	0.00	46.16	0.00	46.16	15.0	6.92
	ACCOUNT #: 00083302737	BUY 0 Units @0.0000						
12/03/2018	***-**-745P - BETTS, WILLIAM	THE GROWTH FUND OF AMERICA-A	0.00	0.31	0.00	0.31	15.0	0.05
	ACCOUNT #: 00066945923	BUY 0 Units @0.0000						
12/03/2018	***-**-725P - MOLLE, PAUL	THE GROWTH FUND OF AMERICA-A	0.00	27.19	0.00	27.19	15.0	4.08
	ACCOUNT #: 00068105507	BUY 0 Units @0.0000						
12/03/2018	***-**-425P - SMOLLER, MICHAEL	THE GROWTH FUND OF AMERICA-A	0.00	118.70	0.00	118.70	15.0	17.81
	ACCOUNT #: 00068829975	BUY 0 Units @0.0000						
12/03/2018	***-**-8357 - KEATING, ROBERT	THE GROWTH FUND OF AMERICA-A	0.00	0.47	0.00	0.47	15.0	0.07
	ACCOUNT #: 00069168696	BUY 0 Units @0.0000						
12/03/2018	***-**-109I - PASCH, ROBERT	THE GROWTH FUND OF AMERICA-A	0.00	6.39	0.00	6.39	15.0	0.96
	ACCOUNT #: 00073775313	BUY 0 Units @0.0000						
12/03/2018	***-**-215P - KHAN, HUMAIRA	THE GROWTH FUND OF AMERICA-A	0.00	0.32	0.00	0.32	15.0	0.05
	ACCOUNT #: 00075327976	BUY 0 Units @0.0000						
12/03/2018	***-**-6273 - ALICEA, JULIANNE	THE GROWTH FUND OF AMERICA-A	0.00	4.28	0.00	4.28	15.0	0.64
	ACCOUNT #: 00081274080	BUY 0 Units @0.0000						
12/03/2018	***-**-165P - COOPER-KEATING,	THE GROWTH FUND OF AMERICA-A	0.00	5.06	0.00	5.06	15.0	0.76
	ACCOUNT #: 00081502206	BUY 0 Units @0.0000						
12/03/2018	***-**-135P - PASCH, SHAHAR	THE GROWTH FUND OF AMERICA-A	0.00	1.39	0.00	1.39	15.0	0.21
	ACCOUNT #: 00081639466	BUY 0 Units @0.0000						
12/03/2018	***-**-045P - DEANE, ZAIN	THE GROWTH FUND OF AMERICA-A	0.00	40.86	0.00	40.86	15.0	6.13
	ACCOUNT #: 00081785432	BUY 0 Units @0.0000						



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RICK SOWERS

BROKER #: STPBR

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: CHRISTOPHER MILGROOM (continued) </u>								
12/03/2018	***-**-675P - MONTEFUSCO, ACCOUNT #: 00081937980	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.24	0.00	0.24	15.0	0.04
12/03/2018	***-**-075P - HUTCHINSON, ACCOUNT #: 00082192962	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.21	0.00	1.21	15.0	0.18
12/03/2018	***-**-775P - KING, GREGORY ACCOUNT #: 00082438825	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	29.13	0.00	29.13	15.0	4.37
12/03/2018	***-**-635I - CAMPBELL, ACCOUNT #: 00084984847	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.42	0.00	0.42	15.0	0.06
12/03/2018	***-**-461I - CAMPBELL, COLIN ACCOUNT #: 00084984880	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	12.15	0.00	12.15	15.0	1.82
12/03/2018	***-**-1982 - HOHNECKER, LAURA ACCOUNT #: 00086976260	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.72	0.00	1.72	15.0	0.26
12/03/2018	***-**-425P - SMOLLER, MICHAEL ACCOUNT #: 00068829975	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	8.98	0.00	8.98	15.0	1.35
12/03/2018	***-**-215P - KHAN, HUMAIRA ACCOUNT #: 00075327976	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.28	0.00	0.28	15.0	0.04
12/03/2018	***-**-165P - COOPER-KEATING, ACCOUNT #: 00081502206	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.80	0.00	3.80	15.0	0.57
12/03/2018	***-**-045P - DEANE, ZAIN ACCOUNT #: 00081785432	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	29.35	0.00	29.35	15.0	4.40
12/03/2018	***-**-964I - HARRELL, ZELDA ACCOUNT #: 00085724317	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	4.59	0.00	4.59	15.0	0.69
12/04/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07748008823	TRANSAMERICA SMALL/MID CAP VALUE-C BUY 0 Units @0.0000	0.00	13.91	0.00	13.91	15.0	2.09
12/04/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07748008142	TRANSAMERICA SMALL/MID CAP VALUE-C BUY 0 Units @0.0000	0.00	17.78	0.00	17.78	15.0	2.67
12/03/2018	***-**-815P - BETTS, ALICIA ACCOUNT #: 00066945925	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	0.25	0.00	0.25	15.0	0.04
12/03/2018	***-**-54IN - CECIARELLI, ACCOUNT #: 00067091901	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	0.58	0.00	0.58	15.0	0.09
12/03/2018	***-**-40IN - GEORGE, DORIS ACCOUNT #: 00069103756	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	0.42	0.00	0.42	15.0	0.06



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RICK SOWERS

BROKER #: STPBR

BRANCH #01002 - 02 - SOWERS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: CHRISTOPHER MILGROOM (continued)</u> 								
12/03/2018	***-**-985P - KEATING, EILEEN	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	0.18	0.00	0.18	15.0	0.03
	ACCOUNT #: 00069168694	BUY 0 Units @0.0000						
12/03/2018	***-**-8357 - KEATING, ROBERT	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	0.18	0.00	0.18	15.0	0.03
	ACCOUNT #: 00069168696	BUY 0 Units @0.0000						
12/03/2018	***-**-6273 - ALICEA, JULIANNE	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	3.78	0.00	3.78	15.0	0.57
	ACCOUNT #: 00081274080	BUY 0 Units @0.0000						
12/03/2018	***-**-075P - HUTCHINSON,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	0.79	0.00	0.79	15.0	0.12
	ACCOUNT #: 00082192962	BUY 0 Units @0.0000						
	 * CHRISTOPHER MILGROOM SUBTOTAL * 		 \$423.14 	 \$1,817.00 	 \$0.00 	 \$1,817.00 		 \$272.64
	 *** OVERRIDE TRANSACTIONS TOTAL *** 		 \$423.14 	 \$1,817.00 	 \$0.00 	 \$1,817.00 		 \$272.64

 BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$0.00
Override Transactions	\$272.64
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$83.83
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$356.47
Year-to-date Earnings	\$4,278.92