



COMMISSION STATEMENT

October 08, 2018

RICK SOWERS

BROKER #: STPBR

BRANCH #01002 - 02 - SOWERS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
09/28/2018	***-**-9806 - KERINS, MARILYN	GENWORTH 37250G327	0.00	11.49	0.00	11.49	90.0	10.34
	ACCOUNT #: T06433169	BUY 0 Units @0.0000						
		* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$11.49	\$0.00	\$11.49		\$10.34
		*** BROKER TRANSACTIONS TOTAL ***	\$0.00	\$11.49	\$0.00	\$11.49		\$10.34

<u>OVERVERRIDE TRANSACTIONS</u>								
<u>BROKER: CHRISTOPHER MILGROOM</u>								
09/30/2018	***-**-1427 - MERCIE, TIFFANY	CAPITAL APPRECIATION A	0.00	6.50	0.00	6.50	15.0	0.98
	ACCOUNT #: 03207265852	BUY 0 Units @0.0000						
09/30/2018	***-**-335P - BARBIC, TARA	CAPITAL APPRECIATION A	0.00	14.01	0.00	14.01	15.0	2.10
	ACCOUNT #: 03207695028	BUY 0 Units @0.0000						
09/30/2018	***-**-295P - AMEIJERAS, OMAR	CAPITAL APPRECIATION A	0.00	1.54	0.00	1.54	15.0	0.23
	ACCOUNT #: 03207759763	BUY 0 Units @0.0000						
10/01/2018	***-**-2461 - CAMPBELL, HOPE	CAPITAL WORLD GROWTH AND INCOME-529	100.00	2.75	0.00	2.75	15.0	0.41
	ACCOUNT #: 00085796907	BUY 2 Units @52.9200						
09/30/2018	***-**-729I - DIMON, DANIEL	EQUITY INCOME FUND, INC. A	0.00	0.08	0.00	0.08	15.0	0.01
	ACCOUNT #: 08351052898	BUY 0 Units @0.0000						
09/30/2018	***-**-829I - EGORT, MARC	EQUITY INCOME FUND, INC. A	0.00	14.58	0.00	14.58	15.0	2.19
	ACCOUNT #: 08351558117	BUY 0 Units @0.0000						
09/30/2018	***-**-3804 - LETOURNEAU,	EQUITY INCOME FUND, INC. A	0.00	3.19	0.00	3.19	15.0	0.48
	ACCOUNT #: 08352639846	BUY 0 Units @0.0000						
10/01/2018	***-**-2461 - CAMPBELL, HOPE	EUROPACIFIC GROWTH FUND-529A	100.00	2.75	0.00	2.75	15.0	0.41
	ACCOUNT #: 00085796907	BUY 2 Units @54.2300						
10/01/2018	***-**-2461 - CAMPBELL, HOPE	FUNDAMENTAL INVESTORS-529A	100.00	2.75	0.00	2.75	15.0	0.41
	ACCOUNT #: 00085796907	BUY 1 Units @67.7900						
09/30/2018	***-**-335P - BARBIC, TARA	GLOBAL FUND A	0.00	16.36	0.00	16.36	15.0	2.45
	ACCOUNT #: 03303170356	BUY 0 Units @0.0000						
09/30/2018	***-**-97IR - CRAWFORD, JAMES	GLOBAL FUND A	0.00	3.00	0.00	3.00	15.0	0.45
	ACCOUNT #: 03305198767	BUY 0 Units @0.0000						
09/30/2018	***-**-3804 - LETOURNEAU,	GLOBAL OPPORTUNITIES A	0.00	4.83	0.00	4.83	15.0	0.72
	ACCOUNT #: 02156825863	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CHRISTOPHER MILGROOM (continued)</u>								
10/01/2018	***-**-67CL - MILGROOM, ACCOUNT #: R074824-ZS	ING ADVANTAGE SELECT BUY 0 Units @0.0000	450.00	4.50	0.00	4.50	15.0	0.68
10/03/2018	***-**-719I - BAULDREE, ACCOUNT #: R131813-ZS	ING ADVANTAGE SELECT BUY 0 Units @0.0000	6,500.00	65.00	0.00	65.00	15.0	9.75
10/03/2018	***-**-9089 - PAGE, WILLIAM ACCOUNT #: R131816-ZS	ING ADVANTAGE SELECT BUY 0 Units @0.0000	6,500.00	65.00	0.00	65.00	15.0	9.75
10/04/2018	***-**-1022 - ZYLKA, VERONICA ACCOUNT #: R078851-ZS	ING ADVANTAGE SELECT BUY 0 Units @0.0000	0.00	4.51	0.00	4.51	15.0	0.68
09/30/2018	***-**-97IR - CRAWFORD, JAMES ACCOUNT #: 08806519546	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	2.50	0.00	2.50	15.0	0.38
09/30/2018	***-**-67CL - MILGROOM, ACCOUNT #: 08270868868	INTERNATIONAL GROWTH FUND C BUY 0 Units @0.0000	0.00	9.27	0.00	9.27	15.0	1.39
09/30/2018	***-**-67CL - MILGROOM, ACCOUNT #: 08270867328	INTERNATIONAL GROWTH FUND C BUY 0 Units @0.0000	0.00	62.23	0.00	62.23	15.0	9.33
09/30/2018	***-**-5604 - GINN-REY, AMY ACCOUNT #: 08280148071	INTERNATIONAL GROWTH FUND N BUY 0 Units @0.0000	0.00	1.97	0.00	1.97	15.0	0.30
09/30/2018	***-**-67CL - MILGROOM, ACCOUNT #: 08280195712	INTERNATIONAL GROWTH FUND N BUY 0 Units @0.0000	0.00	32.30	0.00	32.30	15.0	4.85
09/30/2018	***-**-67CL - MILGROOM, ACCOUNT #: 08280195723	INTERNATIONAL GROWTH FUND N BUY 0 Units @0.0000	0.00	9.73	0.00	9.73	15.0	1.46
09/30/2018	***-**-7574 - G-MEN CORP ACCOUNT #: 08280200959	INTERNATIONAL GROWTH FUND N BUY 0 Units @0.0000	0.00	3.08	0.00	3.08	15.0	0.46
09/30/2018	***-**-67CL - MILGROOM, ACCOUNT #: 08280206261	INTERNATIONAL GROWTH FUND N BUY 0 Units @0.0000	0.00	1.37	0.00	1.37	15.0	0.21
09/30/2018	***-**-7574 - G-MEN CORP ACCOUNT #: 08280212454	INTERNATIONAL GROWTH FUND N BUY 0 Units @0.0000	0.00	4.44	0.00	4.44	15.0	0.67
09/30/2018	***-**-9679 - ZEDIKER, GARRETT ACCOUNT #: 08152373195	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	0.00	0.62	0.00	0.62	15.0	0.09
09/30/2018	***-**-5604 - GINN-REY, AMY ACCOUNT #: 08180043164	INTERNATIONAL SMALL COMPANY FUND N BUY 0 Units @0.0000	0.00	2.84	0.00	2.84	15.0	0.43
09/30/2018	***-**-1427 - MERCIE, TIFFANY ACCOUNT #: 07000836509	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	7.83	0.00	7.83	15.0	1.17



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: CHRISTOPHER MILGROOM (continued)</u>								
09/30/2018	***-**-335P - BARBIC, TARA	MAIN STREET FUND A	0.00	15.24	0.00	15.24	15.0	2.29
	ACCOUNT #: 07001587259	BUY 0 Units @0.0000						
09/30/2018	***-**-295P - AMEIJERAS, OMAR	MAIN STREET FUND A	0.00	2.32	0.00	2.32	15.0	0.35
	ACCOUNT #: 07001661168	BUY 0 Units @0.0000						
09/30/2018	***-**-848I - HILLMAN, RICHARD	MAIN STREET FUND A	0.00	0.54	0.00	0.54	15.0	0.08
	ACCOUNT #: 07002116678	BUY 0 Units @0.0000						
09/30/2018	***-**-5604 - GINN-REY, AMY	OPP GLBL VALUE FUND R	0.00	2.31	0.00	2.31	15.0	0.35
	ACCOUNT #: 06900007370	BUY 0 Units @0.0000						
09/30/2018	***-**-67CL - MILGROOM,	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	119.76	0.00	119.76	15.0	17.96
	ACCOUNT #: 07872097678	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - DIMON, DANIEL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.75	0.00	0.75	15.0	0.11
	ACCOUNT #: 07856905151	BUY 0 Units @0.0000						
09/30/2018	***-**-67CL - MILGROOM,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	3.35	0.00	3.35	15.0	0.50
	ACCOUNT #: 07858396432	BUY 0 Units @0.0000						
09/30/2018	***-**-829I - EGORT, MARC	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	9.44	0.00	9.44	15.0	1.42
	ACCOUNT #: 07859875690	BUY 0 Units @0.0000						
09/30/2018	***-**-9679 - ZEDIKER, GARRETT	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.87	0.00	0.87	15.0	0.13
	ACCOUNT #: 07861840631	BUY 0 Units @0.0000						
09/30/2018	***-**-9679 - ZEDIKER, GARRETT	OPPENHEIMER DISCOVERY CLASS A	0.00	1.61	0.00	1.61	15.0	0.24
	ACCOUNT #: 05005620527	BUY 0 Units @0.0000						
09/30/2018	***-**-9679 - ZEDIKER, GARRETT	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	1.09	0.00	1.09	15.0	0.16
	ACCOUNT #: 01952600862	BUY 0 Units @0.0000						
09/30/2018	***-**-3804 - LETOURNEAU,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	3.18	0.00	3.18	15.0	0.48
	ACCOUNT #: 01952878018	BUY 0 Units @0.0000						
09/30/2018	***-**-4829 - EGORT, MARC	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	13.24	0.00	13.24	15.0	1.99
	ACCOUNT #: 02512289694	BUY 0 Units @0.0000						
10/02/2018	***-**-67CL - MILGROOM,	PIONEER FUNDAMENTAL GROWTH FUND R	0.00	65.82	0.00	65.82	15.0	9.87
	ACCOUNT #: 02554065885	BUY 0 Units @0.0000						
10/02/2018	***-**-67CL - MILGROOM,	PIONEER FUNDAMENTAL GROWTH FUND R	0.00	72.30	0.00	72.30	15.0	10.85
	ACCOUNT #: 02554066517	BUY 0 Units @0.0000						
10/02/2018	***-**-67CL - MILGROOM,	PIONEER FUNDAMENTAL GROWTH FUND R	0.00	5.24	0.00	5.24	15.0	0.79
	ACCOUNT #: 02554066523	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CHRISTOPHER MILGROOM (continued)</u>								
09/30/2018	***-**-5604 - GINN-REY, AMY	QUEST CAPITAL VALUE FUND, INC. N	0.00	1.90	0.00	1.90	15.0	0.29
	ACCOUNT #: 08380118041	BUY 0 Units @0.0000						
09/30/2018	***-**-971R - CRAWFORD, JAMES	QUEST OPPORTUNITY VALUE A	0.00	0.42	0.00	0.42	15.0	0.06
	ACCOUNT #: 02364758930	BUY 0 Units @0.0000						
09/30/2018	***-**-9679 - ZEDIKER, GARRETT	QUEST OPPORTUNITY VALUE A	0.00	0.41	0.00	0.41	15.0	0.06
	ACCOUNT #: 02365534320	BUY 0 Units @0.0000						
09/30/2018	***-**-829I - EGORT, MARC	RISING DIVIDENDS FUND A	0.00	13.51	0.00	13.51	15.0	2.03
	ACCOUNT #: 02252163898	BUY 0 Units @0.0000						
09/30/2018	***-**-291R - DIMON, DANIEL	RISING DIVIDENDS FUND A	0.00	0.04	0.00	0.04	15.0	0.01
	ACCOUNT #: 02252741959	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - DIMON, DANIEL	RISING DIVIDENDS FUND A	0.00	0.25	0.00	0.25	15.0	0.04
	ACCOUNT #: 02252741981	BUY 0 Units @0.0000						
10/01/2018	***-**-2461 - CAMPBELL, HOPE	THE GROWTH FUND OF AMERICA-529A	100.00	2.75	0.00	2.75	15.0	0.41
	ACCOUNT #: 00085796907	BUY 2 Units @58.2300						
		* CHRISTOPHER MILGROOM SUBTOTAL *	\$13,850.00	\$685.87	\$0.00	\$685.87		\$102.91
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$13,850.00	\$685.87	\$0.00	\$685.87		\$102.91



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			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
BROKER COMMISSION TOTALS								
Broker Transactions\$10.34								
Split Transactions\$0.00								
Override Transactions\$102.91								
Adjustments\$0.00								
Payroll Draw\$0.00								
Base Salary\$0.00								
Prior Period Balance\$39.14								
FINRA Assessment\$0.00								
SIPC Assessment\$0.00								
Net Commission Earned\$152.39								
Year-to-date Earnings\$3,134.47								