



# COMMISSION STATEMENT

## October 22, 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/24/2018	***-**-8573 - LILLY, KATHLEEN	AMCAP FUND A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	75.0	0.00
09/24/2018	***-**-8573 - LILLY, KATHLEEN	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	75.0	0.00
10/15/2018	***-**-641X - BULLARO, FBO ACCOUNT #: LSR010641	AMERICAN BALANCED FUND-A BUY 11 Units @28.6800	325.00	16.25	0.00	16.25	75.0	12.19
10/15/2018	***-**-435X - KEITH, FBO ACCOUNT #: LSR010643	AMERICAN BALANCED FUND-A BUY 11 Units @28.6800	325.00	16.25	0.00	16.25	75.0	12.19
10/15/2018	***-**-721X - VAILLANCOURT, ACCOUNT #: LSR010644	AMERICAN BALANCED FUND-A BUY 3 Units @28.6800	100.01	5.00	0.00	5.00	75.0	3.75
10/15/2018	***-**-008X - HICKS, FBO ACCOUNT #: LSR010645	AMERICAN BALANCED FUND-A BUY 17 Units @28.6800	475.00	23.75	0.00	23.75	75.0	17.81
10/15/2018	***-**-435X - KEITH, FBO ACCOUNT #: LSR010643	AMERICAN BALANCED FUND-A CANCEL 11 Units @28.6800	-325.00	-16.25	0.00	-16.25	75.0	-12.19
10/15/2018	***-**-8906 - ISBELL, ACCOUNT #: 00073594886	AMERICAN BALANCED FUND-A BUY 2 Units @28.0100	50.00	1.38	0.00	1.38	75.0	1.04
10/15/2018	***-**-9037 - NOURSE, STACIA ACCOUNT #: 04000247689	AMERICAN BALANCED FUND-A BUY 2 Units @28.6800	50.00	2.50	0.00	2.50	75.0	1.88
10/15/2018	***-**-5152 - DUNN, MICHELE ACCOUNT #: 00087316793	AMERICAN BALANCED FUND-A BUY 14 Units @28.0100	400.00	11.00	0.00	11.00	75.0	8.25
10/15/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	AMERICAN BALANCED FUND-A BUY 4 Units @28.0100	125.00	3.44	0.00	3.44	75.0	2.58
10/15/2018	***-**-4639 - SCOONES, ACCOUNT #: 00084481157	AMERICAN BALANCED FUND-A BUY 3 Units @28.0100	90.75	2.50	0.00	2.50	75.0	1.88
10/15/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912	AMERICAN BALANCED FUND-A BUY 4 Units @28.0100	100.00	2.75	0.00	2.75	75.0	2.06
10/15/2018	***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557	AMERICAN BALANCED FUND-A BUY 2 Units @28.0100	50.00	1.38	0.00	1.38	75.0	1.04
10/15/2018	***-**-5556 - BURNS, ROBERT ACCOUNT #: 00085993216	AMERICAN BALANCED FUND-A BUY 1 Units @28.4500	37.50	1.59	0.00	1.59	75.0	1.19
10/15/2018	***-**-0939 - LAWRENCE, JASON ACCOUNT #: 00087909097	AMERICAN BALANCED FUND-A BUY 2 Units @28.6800	60.00	3.00	0.00	3.00	75.0	2.25



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/17/2018	***-**-4906 - VAN ALSTINE, ACCOUNT #: 00086106101	AMERICAN BALANCED FUND-A BUY 2 Units @28.9500	50.00	2.50	0.00	2.50	75.0	1.88
09/24/2018	***-**-8573 - LILLY, KATHLEEN	AMERICAN HIGH-INCOME TRUST-A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	75.0	0.00
10/15/2018	***-**-9037 - NOURSE, STACIA ACCOUNT #: 04000247689	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.5600	50.00	1.50	0.00	1.50	75.0	1.13
10/15/2018	***-**-1909 - BASHANT, MATTHEW ACCOUNT #: 00085839015	AMERICAN HIGH-INCOME TRUST-A BUY 4 Units @10.5300	38.25	1.05	0.00	1.05	75.0	0.79
10/15/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00085514851	AMERICAN HIGH-INCOME TRUST-A BUY 2 Units @10.5300	25.00	0.69	0.00	0.69	75.0	0.52
10/15/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	AMERICAN HIGH-INCOME TRUST-A BUY 9 Units @10.5300	100.00	2.75	0.00	2.75	75.0	2.06
10/15/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.5300	50.00	1.38	0.00	1.38	75.0	1.04
10/15/2018	***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.5300	50.00	1.38	0.00	1.38	75.0	1.04
10/15/2018	***-**-4848 - DOGGETT, AMY ACCOUNT #: 00081620466	AMERICAN HIGH-INCOME TRUST-A BUY 16 Units @10.5300	165.00	4.54	0.00	4.54	75.0	3.41
10/15/2018	***-**-5556 - BURNS, ROBERT ACCOUNT #: 00085993216	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.5600	52.50	1.58	0.00	1.58	75.0	1.19
10/02/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 03210336612	CAPITAL APPRECIATION A BUY 0 Units @0.0000	60.00	1.80	0.00	1.80	75.0	1.35
10/15/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 03210336612	CAPITAL APPRECIATION A BUY 0 Units @0.0000	60.00	1.80	0.00	1.80	75.0	1.35
10/02/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 03008792487	CAPITAL INCOME A BUY 0 Units @0.0000	262.50	10.50	0.00	10.50	75.0	7.88
10/02/2018	***-**-030J - MERRILL, ACCOUNT #: 03009145719	CAPITAL INCOME A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	75.0	1.41
10/02/2018	***-**-481J - MERRILL, JASON ACCOUNT #: 03009145730	CAPITAL INCOME A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	75.0	1.41
10/15/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 03008792487	CAPITAL INCOME A BUY 0 Units @0.0000	262.50	10.50	0.00	10.50	75.0	7.88



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/15/2018	***-**-030J - MERRILL, ACCOUNT #: 03009145719	CAPITAL INCOME A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	75.0	1.41
10/15/2018	***-**-481J - MERRILL, JASON ACCOUNT #: 03009145730	CAPITAL INCOME A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	75.0	1.41
10/15/2018	***-**-5152 - DUNN, MICHELE ACCOUNT #: 00087316793	CAPITAL INCOME BUILDER-A BUY 7 Units @60.5700	400.00	11.00	0.00	11.00	75.0	8.25
10/15/2018	***-**-4848 - DOGGETT, AMY ACCOUNT #: 00081620466	CAPITAL WORLD GROWTH AND INCOME FUN BUY 3 Units @49.9500	165.00	4.54	0.00	4.54	75.0	3.41
10/15/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @49.9500	100.00	2.75	0.00	2.75	75.0	2.06
10/15/2018	***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @49.9500	50.00	1.38	0.00	1.38	75.0	1.04
10/15/2018	***-**-1909 - BASHANT, MATTHEW ACCOUNT #: 00085839015	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @49.9500	47.25	1.30	0.00	1.30	75.0	0.98
10/15/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00085514851	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @49.9500	25.00	0.69	0.00	0.69	75.0	0.52
10/15/2018	***-**-5556 - BURNS, ROBERT ACCOUNT #: 00085993216	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @50.7400	37.50	1.59	0.00	1.59	75.0	1.19
10/02/2018	***-**-33IN - KING, JOHN ACCOUNT #: 08351548074	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	76.00	2.28	0.00	2.28	75.0	1.71
10/02/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 08352551208	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	262.50	10.50	0.00	10.50	75.0	7.88
10/15/2018	***-**-33IN - KING, JOHN ACCOUNT #: 08351548074	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	76.00	2.28	0.00	2.28	75.0	1.71
10/15/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 08352551208	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	262.50	10.50	0.00	10.50	75.0	7.88
10/15/2018	***-**-1909 - BASHANT, MATTHEW ACCOUNT #: 00085839015	EUROPACIFIC GROWTH FUND-A BUY 1 Units @50.9700	47.25	1.30	0.00	1.30	75.0	0.98
10/15/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912	EUROPACIFIC GROWTH FUND-A BUY 1 Units @50.9700	50.00	1.38	0.00	1.38	75.0	1.04
09/24/2018	***-**-8573 - LILLY, KATHLEEN	INCOME FUND OF AMERICA CLASS A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	75.0	0.00



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/02/2018	***-**-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						
10/02/2018	***-**-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						
10/15/2018	***-**-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						
10/15/2018	***-**-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						
10/02/2018	***-**-33IN - KING, JOHN	OPPENHEIMER DEVELOPING MARKETS CLAS	76.00	2.28	0.00	2.28	75.0	1.71
	ACCOUNT #: 07859653204	BUY 0 Units @0.0000						
10/15/2018	***-**-33IN - KING, JOHN	OPPENHEIMER DEVELOPING MARKETS CLAS	76.00	2.28	0.00	2.28	75.0	1.71
	ACCOUNT #: 07859653204	BUY 0 Units @0.0000						
10/02/2018	***-**-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						
10/02/2018	***-**-030J - MERRILL,	OPPENHEIMER INTERNATIONAL DIVERSIFI	12.50	0.38	0.00	0.38	75.0	0.29
	ACCOUNT #: 01951261139	BUY 0 Units @0.0000						
10/15/2018	***-**-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						
10/15/2018	***-**-030J - MERRILL,	OPPENHEIMER INTERNATIONAL DIVERSIFI	12.50	0.38	0.00	0.38	75.0	0.29
	ACCOUNT #: 01951261139	BUY 0 Units @0.0000						
10/02/2018	***-**-33IN - KING, JOHN	OPPENHEIMER MAIN STREET SMALL CAP F	76.00	2.28	0.00	2.28	75.0	1.71
	ACCOUNT #: 08476672325	BUY 0 Units @0.0000						
10/15/2018	***-**-33IN - KING, JOHN	OPPENHEIMER MAIN STREET SMALL CAP F	76.00	2.28	0.00	2.28	75.0	1.71
	ACCOUNT #: 08476672325	BUY 0 Units @0.0000						
10/02/2018	***-**-33IN - KING, JOHN	OPPENHEIMER SMALL & MID CAP VALUE F	76.00	2.28	0.00	2.28	75.0	1.71
	ACCOUNT #: 02514166107	BUY 0 Units @0.0000						
10/15/2018	***-**-33IN - KING, JOHN	OPPENHEIMER SMALL & MID CAP VALUE F	76.00	2.28	0.00	2.28	75.0	1.71
	ACCOUNT #: 02514166107	BUY 0 Units @0.0000						
10/02/2018	***-**-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						
10/02/2018	***-**-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						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/15/2018	***-**-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						
10/15/2018	***-**-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						
10/02/2018	***-**-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						
10/02/2018	***-**-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						
10/02/2018	***-**-33IN - KING, JOHN	RISING DIVIDENDS FUND A	96.00	2.88	0.00	2.88	75.0	2.16
	ACCOUNT #: 02254507140	BUY 0 Units @0.0000						
10/15/2018	***-**-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						
10/15/2018	***-**-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						
10/15/2018	***-**-33IN - KING, JOHN	RISING DIVIDENDS FUND A	96.00	2.88	0.00	2.88	75.0	2.16
	ACCOUNT #: 02254507140	BUY 0 Units @0.0000						
10/02/2018	***-**-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						
10/02/2018	***-**-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						
10/15/2018	***-**-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						
10/15/2018	***-**-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						
10/15/2018	***-**-5556 - BURNS, ROBERT	SMALLCAP WORLD FUND-A	22.50	0.96	0.00	0.96	75.0	0.72
	ACCOUNT #: 00085993216	BUY 0 Units @58.1900						
10/15/2018	***-**-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 @12.8400						
10/15/2018	***-**-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 @54.7000						
10/15/2018	***-**-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 @54.7000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/15/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	THE GROWTH FUND OF AMERICA-A BUY 3 Units @54.7000	175.00	4.81	0.00	4.81	75.0	3.61
10/15/2018	***-**-4639 - SCOONES, ACCOUNT #: 00084481157	THE GROWTH FUND OF AMERICA-A BUY 2 Units @54.7000	93.50	2.57	0.00	2.57	75.0	1.93
10/15/2018	***-**-9089 - REEDY, LISA ACCOUNT #: 00083100942	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.7000	50.00	1.38	0.00	1.38	75.0	1.04
10/15/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00082278912	THE GROWTH FUND OF AMERICA-A BUY 2 Units @54.7000	133.00	3.66	0.00	3.66	75.0	2.75
10/15/2018	***-**-3143 - HUMPF, JOHN ACCOUNT #: 00082277557	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.7000	70.00	1.93	0.00	1.93	75.0	1.45
10/15/2018	***-**-4848 - DOGETT, AMY ACCOUNT #: 00081620466	THE GROWTH FUND OF AMERICA-A BUY 3 Units @54.7000	170.00	4.68	0.00	4.68	75.0	3.51
10/15/2018	***-**-1909 - BASHANT, MATTHEW ACCOUNT #: 00085839015	THE INCOME FUND OF AMERICA-A BUY 2 Units @23.2600	38.25	1.05	0.00	1.05	75.0	0.79
10/15/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00085514851	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.2600	25.00	0.69	0.00	0.69	75.0	0.52
10/15/2018	***-**-0939 - LAWRENCE, JASON ACCOUNT #: 00087909097	THE INCOME FUND OF AMERICA-A BUY 3 Units @23.8200	60.00	3.00	0.00	3.00	75.0	2.25
* MUTUAL FUNDS SUBTOTAL *			<b>\$8,673.01</b>	<b>\$295.71</b>	<b>\$0.00</b>	<b>\$295.71</b>		<b>\$221.96</b>
*** BROKER TRANSACTIONS TOTAL ***			<b>\$8,673.01</b>	<b>\$295.71</b>	<b>\$0.00</b>	<b>\$295.71</b>		<b>\$221.96</b>



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