



COMMISSION STATEMENT

November 12, 2018

RICHARD BIRNS
6800 Jericho Turnpike
Suite # 200AW
Syosset, NY 11791

BROKER #: 31
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 FUND 12B1 TRAILS</u>								
10/31/2018	***-**-4068 - BIRNS, RICHARD A	FRANKLIN CONV SEC FUND - CLASS A	0.00	32.66	0.00	32.66	75.0	24.50
	ACCOUNT #: 000013712296687	BUY 0 Units @0.0000						
10/31/2018	***-**-068P - BIRNS, RICHARD	FRANKLIN INCOME FUND CLASS A	0.00	42.15	0.00	42.15	75.0	31.61
	ACCOUNT #: 000090220987300	BUY 0 Units @0.0000						
10/31/2018	***-**-68TR - BIRNS, RICHARD	FRANKLIN INCOME FUND CLASS A	0.00	9.28	0.00	9.28	75.0	6.96
	ACCOUNT #: 000090226290790	BUY 0 Units @0.0000						
10/31/2018	***-**-68TR - BIRNS, RICHARD	FRANKLIN INCOME FUND CLASS A	0.00	9.28	0.00	9.28	75.0	6.96
	ACCOUNT #: 000090226290889	BUY 0 Units @0.0000						
10/31/2018	***-**-0849 - PONTRELLO, MARIA	FRANKLIN INCOME FUND CLASS A	0.00	5.36	0.00	5.36	75.0	4.02
	ACCOUNT #: 000090238070622	BUY 0 Units @0.0000						
10/31/2018	***-**-0849 - PONTRELLO, MARIA	FRANKLIN INCOME FUND CLASS A	0.00	0.35	0.00	0.35	75.0	0.26
	ACCOUNT #: 000090238071410	BUY 0 Units @0.0000						
10/31/2018	***-**-4948 - PONTRELLO,	FRANKLIN INCOME FUND CLASS A	0.00	4.38	0.00	4.38	75.0	3.29
	ACCOUNT #: 000090238071461	BUY 0 Units @0.0000						
10/31/2018	***-**-4948 - PONTRELLO,	FRANKLIN INCOME FUND CLASS A	0.00	0.35	0.00	0.35	75.0	0.26
	ACCOUNT #: 000090238071473	BUY 0 Units @0.0000						
10/31/2018	***-**-365I - VINGELLI,	FRANKLIN INCOME FUND CLASS A	0.00	2.02	0.00	2.02	75.0	1.52
	ACCOUNT #: 000090239246971	BUY 0 Units @0.0000						
10/31/2018	***-**-48IN - BABCOCK, ROBERT	FRANKLIN INCOME FUND CLASS C	0.00	367.47	0.00	367.47	75.0	275.60
	ACCOUNT #: 000000006719583	BUY 0 Units @0.0000						
10/31/2018	***-**-0849 - PONTRELLO, MARIA	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	11.58	0.00	11.58	75.0	8.69
	ACCOUNT #: 000015814965558	BUY 0 Units @0.0000						
10/31/2018	***-**-0849 - PONTRELLO, MARIA	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	0.75	0.00	0.75	75.0	0.56
	ACCOUNT #: 000015814965735	BUY 0 Units @0.0000						
10/31/2018	***-**-4948 - PONTRELLO,	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	8.61	0.00	8.61	75.0	6.46
	ACCOUNT #: 000015814965750	BUY 0 Units @0.0000						
10/31/2018	***-**-4948 - PONTRELLO,	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	0.75	0.00	0.75	75.0	0.56
	ACCOUNT #: 000015814965762	BUY 0 Units @0.0000						
10/31/2018	***-**-485P - BABCOCK, ROBERT	FRK HIGH INC FND - CL A	0.00	7.52	0.00	7.52	75.0	5.64
	ACCOUNT #: 000050101725688	BUY 0 Units @0.0000						
10/31/2018	***-**-068P - BIRNS, RICHARD	FRK REAL EST SEC FND - CL A	0.00	57.14	0.00	57.14	75.0	42.86
	ACCOUNT #: 000019211984885	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/31/2018	***-**-0849 - PONTRELLO, MARIA	FRK STRAT INC FND - CL A	0.00	24.50	0.00	24.50	75.0	18.38
	ACCOUNT #: 000019413757319	BUY 0 Units @0.0000						
10/31/2018	***-**-0849 - PONTRELLO, MARIA	FRK STRAT INC FND - CL A	0.00	1.58	0.00	1.58	75.0	1.19
	ACCOUNT #: 000019413757473	BUY 0 Units @0.0000						
10/31/2018	***-**-4948 - PONTRELLO,	FRK STRAT INC FND - CL A	0.00	5.53	0.00	5.53	75.0	4.15
	ACCOUNT #: 000019413757497	BUY 0 Units @0.0000						
10/31/2018	***-**-4948 - PONTRELLO,	FRK STRAT INC FND - CL A	0.00	1.58	0.00	1.58	75.0	1.19
	ACCOUNT #: 000019413757509	BUY 0 Units @0.0000						
10/31/2018	***-**-13IN - SANDAS, ANTHONY	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	4.28	0.00	4.28	75.0	3.21
	ACCOUNT #: 000000003159845	BUY 0 Units @0.0000						
10/31/2018	***-**-68CL - BIRNS, CLIENTS	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	33.80	0.00	33.80	75.0	25.35
	ACCOUNT #: 000000006103372	BUY 0 Units @0.0000						
10/31/2018	***-**-68CL - BIRNS, CLIENTS	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	20.30	0.00	20.30	75.0	15.23
	ACCOUNT #: 000000006103384	BUY 0 Units @0.0000						
10/31/2018	***-**-068P - BIRNS, RICHARD	FRK UTIL FND - CL A	0.00	94.73	0.00	94.73	75.0	71.05
	ACCOUNT #: 000070186599048	BUY 0 Units @0.0000						
10/31/2018	***-**-365I - VINGELLI,	FRK UTIL FND - CL A	0.00	1.97	0.00	1.97	75.0	1.48
	ACCOUNT #: 000070188269204	BUY 0 Units @0.0000						
10/31/2018	***-**-712I - BIRNS, BONNIE	TEMP DEV MRKTS TR FND - CL A	0.00	8.44	0.00	8.44	75.0	6.33
	ACCOUNT #: 000000001796456	BUY 0 Units @0.0000						
10/31/2018	***-**-46IN - CANCELLA,	TEMP DEV MRKTS TR FND - CL A	0.00	5.38	0.00	5.38	75.0	4.04
	ACCOUNT #: 000000005091121	BUY 0 Units @0.0000						
10/31/2018	***-**-73IN - BIRNS, ADAM	TEMP DEV MRKTS TR FND - CL A	0.00	7.21	0.00	7.21	75.0	5.41
	ACCOUNT #: 000000008191482	BUY 0 Units @0.0000						
10/31/2018	***-**-04IN - BIRNS, EVAN	TEMP DEV MRKTS TR FND - CL A	0.00	7.21	0.00	7.21	75.0	5.41
	ACCOUNT #: 000000008191506	BUY 0 Units @0.0000						
10/31/2018	***-**-0849 - PONTRELLO, MARIA	TEMP GLOBAL BOND FND - CL A	0.00	24.22	0.00	24.22	75.0	18.17
	ACCOUNT #: 000006985268571	BUY 0 Units @0.0000						
10/31/2018	***-**-0849 - PONTRELLO, MARIA	TEMP GLOBAL BOND FND - CL A	0.00	1.56	0.00	1.56	75.0	1.17
	ACCOUNT #: 000006985269369	BUY 0 Units @0.0000						
10/31/2018	***-**-4948 - PONTRELLO,	TEMP GLOBAL BOND FND - CL A	0.00	5.48	0.00	5.48	75.0	4.11
	ACCOUNT #: 000006985269395	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/31/2018	***-**-4948 - PONTRELLO, ACCOUNT #: 000006985269407	TEMP GLOBAL BOND FND - CL A BUY 0 Units @0.0000	0.00	1.56	0.00	1.56	75.0	1.17
10/31/2018	***-**-7121 - BIRNS, BONNIE ACCOUNT #: 000001950475080	TEMPLETON GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	24.47	0.00	24.47	75.0	18.35
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$833.45	\$0.00	\$833.45		\$625.14
*** BROKER TRANSACTIONS TOTAL ***			\$0.00	\$833.45	\$0.00	\$833.45		\$625.14

BROKER COMMISSION TOTALS

Broker Transactions	\$625.14
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$1.55
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$626.69
Year-to-date Earnings	\$37,322.24