



COMMISSION STATEMENT

October 22, 2018

ALAN FISHMAN
3 Buckley Place
Hartsdale, NY 10530

BROKER #: 851
BRANCH #01033 - 33 - PASCALE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/10/2018	***-**-19IN - BLUMEN, IAN	AIM SMALL CAP GROWTH FUND - CLASS A	25.00	1.25	0.00	1.25	75.0	0.94
	ACCOUNT #: 05066338392	BUY 1 Units @41.3300						
		* MUTUAL FUNDS SUBTOTAL *	\$25.00	\$1.25	\$0.00	\$1.25		\$0.94
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/01/2018	***-**-305P - BLUMEN, ROBERT	AIM SMALL CAP GROWTH FUND - CLASS A	0.00	127.87	0.00	127.87	75.0	95.90
	ACCOUNT #: 05056135477	BUY 0 Units @0.0000						
10/01/2018	***-**-19IN - BLUMEN, IAN	AIM SMALL CAP GROWTH FUND - CLASS A	0.00	8.81	0.00	8.81	75.0	6.61
	ACCOUNT #: 05066338392	BUY 0 Units @0.0000						
10/01/2018	***-**-305P - BLUMEN, ROBERT	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	83.72	0.00	83.72	75.0	62.79
	ACCOUNT #: 05056135477	BUY 0 Units @0.0000						
10/01/2018	***-**-305P - BLUMEN, ROBERT	INVESCO VAN KAMPEN MID CAP GROWTH A	0.00	96.70	0.00	96.70	75.0	72.53
	ACCOUNT #: 05056135477	BUY 0 Units @0.0000						
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$317.10	\$0.00	\$317.10		\$237.83
		*** BROKER TRANSACTIONS TOTAL ***	\$25.00	\$318.35	\$0.00	\$318.35		\$238.77

BROKER COMMISSION TOTALS

Broker Transactions	\$238.77
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	\$238.77
Year-to-date Earnings	\$18,857.60