



COMMISSION STATEMENT

September 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>								
09/04/2018	***-**-775P - KING, GREGORY	AMCAP FUND-A	0.00	21.40	0.00	21.40	15.0	3.21
	ACCOUNT #: 00082438825	BUY 0 Units @0.0000						
09/04/2018	***-**-985P - KEATING, EILEEN	AMERICAN BALANCED FUND-A	0.00	0.35	0.00	0.35	15.0	0.05
	ACCOUNT #: 00069168694	BUY 0 Units @0.0000						
09/04/2018	***-**-8357 - KEATING, ROBERT	AMERICAN BALANCED FUND-A	0.00	0.35	0.00	0.35	15.0	0.05
	ACCOUNT #: 00069168696	BUY 0 Units @0.0000						
09/04/2018	***-**-165P - COOPER-KEATING,	AMERICAN BALANCED FUND-A	0.00	4.43	0.00	4.43	15.0	0.66
	ACCOUNT #: 00081502206	BUY 0 Units @0.0000						
09/04/2018	***-**-964I - HARRELL, ZELDA	AMERICAN BALANCED FUND-A	0.00	16.51	0.00	16.51	15.0	2.48
	ACCOUNT #: 00085724317	BUY 0 Units @0.0000						
09/04/2018	***-**-3178 - IONESCU, MIHAELA	AMERICAN FUNDS 023375702	0.00	11.92	0.00	11.92	15.0	1.79
	ACCOUNT #: 00088835521	BUY 0 Units @0.0000						
09/04/2018	***-**-3178 - IONESCU, MIHAELA	AMERICAN FUNDS 023375702	0.00	12.12	0.00	12.12	15.0	1.82
	ACCOUNT #: 00088835540	BUY 0 Units @0.0000						
09/04/2018	***-**-0720 - COCKTAILS DREAMS	AMERICAN FUNDS MORTGAGE FUND-R3	0.00	9.02	0.00	9.02	15.0	1.35
	ACCOUNT #: 01847001648	BUY 0 Units @0.0000						
09/04/2018	***-**-0720 - COCKTAILS DREAMS	AMERICAN FUNDS MORTGAGE FUND-R3	0.00	24.01	0.00	24.01	15.0	3.60
	ACCOUNT #: 01847001667	BUY 0 Units @0.0000						
09/04/2018	***-**-2111 - SPECTRUM TOURS	AMERICAN FUNDS MORTGAGE FUND-R3	0.00	1.70	0.00	1.70	15.0	0.26
	ACCOUNT #: 01847002404	BUY 0 Units @0.0000						
09/04/2018	***-**-7264 - HOLLANDER, SHANE	AMERICAN MUTUAL FUND-529A	0.00	7.93	0.00	7.93	15.0	1.19
	ACCOUNT #: 00081895798	BUY 0 Units @0.0000						
09/04/2018	***-**-7264 - HOLLANDER, SHANE	AMERICAN MUTUAL FUND-529A	0.00	7.93	0.00	7.93	15.0	1.19
	ACCOUNT #: 00081895839	BUY 0 Units @0.0000						
09/04/2018	***-**-7264 - HOLLANDER, SHANE	AMERICAN MUTUAL FUND-529A	0.00	7.59	0.00	7.59	15.0	1.14
	ACCOUNT #: 00085243860	BUY 0 Units @0.0000						
09/04/2018	***-**-129I - HOLLANDER,	AMERICAN MUTUAL FUND-A	0.00	27.63	0.00	27.63	15.0	4.14
	ACCOUNT #: 00075689213	BUY 0 Units @0.0000						
09/04/2018	***-**-264I - HOLLANDER, TED	AMERICAN MUTUAL FUND-A	0.00	27.77	0.00	27.77	15.0	4.17
	ACCOUNT #: 00075689223	BUY 0 Units @0.0000						
09/04/2018	***-**-964I - HARRELL, ZELDA	AMERICAN MUTUAL FUND-A	0.00	4.87	0.00	4.87	15.0	0.73
	ACCOUNT #: 00085724317	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: CHRISTOPHER MILGROOM (continued)</u> 								
09/04/2018	***-**-1982 - HOHNECKER, LAURA	AMERICAN MUTUAL FUND-A	0.00	1.47	0.00	1.47	15.0	0.22
	ACCOUNT #: 00086976260	BUY 0 Units @0.0000						
09/04/2018	***-**-985P - KEATING, EILEEN	CAPITAL INCOME BUILDER-A	0.00	0.32	0.00	0.32	15.0	0.05
	ACCOUNT #: 00069168694	BUY 0 Units @0.0000						
09/04/2018	***-**-8357 - KEATING, ROBERT	CAPITAL INCOME BUILDER-A	0.00	0.32	0.00	0.32	15.0	0.05
	ACCOUNT #: 00069168696	BUY 0 Units @0.0000						
09/04/2018	***-**-6273 - ALICEA, JULIANNE	CAPITAL INCOME BUILDER-A	0.00	2.84	0.00	2.84	15.0	0.43
	ACCOUNT #: 00081274080	BUY 0 Units @0.0000						
09/04/2018	***-**-775P - KING, GREGORY	CAPITAL INCOME BUILDER-A	0.00	16.93	0.00	16.93	15.0	2.54
	ACCOUNT #: 00082438825	BUY 0 Units @0.0000						
09/04/2018	***-**-215P - KHAN, HUMAIRA	CAPITAL WORLD BOND FUND-A	0.00	0.24	0.00	0.24	15.0	0.04
	ACCOUNT #: 00075327976	BUY 0 Units @0.0000						
09/04/2018	***-**-165P - COOPER-KEATING,	CAPITAL WORLD BOND FUND-A	0.00	2.90	0.00	2.90	15.0	0.44
	ACCOUNT #: 00081502206	BUY 0 Units @0.0000						
09/04/2018	***-**-1982 - HOHNECKER, LAURA	CAPITAL WORLD BOND FUND-A	0.00	1.42	0.00	1.42	15.0	0.21
	ACCOUNT #: 00086976260	BUY 0 Units @0.0000						
09/04/2018	***-**-425P - SMOLLER, MICHAEL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	62.25	0.00	62.25	15.0	9.34
	ACCOUNT #: 00068829975	BUY 0 Units @0.0000						
09/04/2018	***-**-985P - KEATING, EILEEN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.42	0.00	0.42	15.0	0.06
	ACCOUNT #: 00069168694	BUY 0 Units @0.0000						
09/04/2018	***-**-8357 - KEATING, ROBERT	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.42	0.00	0.42	15.0	0.06
	ACCOUNT #: 00069168696	BUY 0 Units @0.0000						
09/04/2018	***-**-109I - PASCH, ROBERT	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	5.30	0.00	5.30	15.0	0.80
	ACCOUNT #: 00073775313	BUY 0 Units @0.0000						
09/04/2018	***-**-215P - KHAN, HUMAIRA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.26	0.00	0.26	15.0	0.04
	ACCOUNT #: 00075327976	BUY 0 Units @0.0000						
09/04/2018	***-**-129I - HOLLANDER,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	24.41	0.00	24.41	15.0	3.66
	ACCOUNT #: 00075689213	BUY 0 Units @0.0000						
09/04/2018	***-**-264I - HOLLANDER, TED	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	24.07	0.00	24.07	15.0	3.61
	ACCOUNT #: 00075689223	BUY 0 Units @0.0000						
09/04/2018	***-**-6273 - ALICEA, JULIANNE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.35	0.00	3.35	15.0	0.50
	ACCOUNT #: 00081274080	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: CHRISTOPHER MILGROOM (continued) </u>								
09/04/2018	***-**-165P - COOPER-KEATING, ACCOUNT #: 00081502206	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	3.94	0.00	3.94	15.0	0.59
09/04/2018	***-**-135P - PASCH, SHAHAR ACCOUNT #: 00081639466	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	1.05	0.00	1.05	15.0	0.16
09/04/2018	***-**-045P - DEANE, ZAIN ACCOUNT #: 00081785432	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	30.85	0.00	30.85	15.0	4.63
09/04/2018	***-**-075P - HUTCHINSON, ACCOUNT #: 00082192962	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	1.30	0.00	1.30	15.0	0.20
09/04/2018	***-**-635I - CAMPBELL, ACCOUNT #: 00084984847	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	0.38	0.00	0.38	15.0	0.06
09/04/2018	***-**-461I - CAMPBELL, COLIN ACCOUNT #: 00084984880	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	10.29	0.00	10.29	15.0	1.54
09/04/2018	***-**-964I - HARRELL, ZELDA ACCOUNT #: 00085724317	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	13.70	0.00	13.70	15.0	2.06
09/04/2018	***-**-1982 - HOHNECKER, LAURA ACCOUNT #: 00086976260	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	1.52	0.00	1.52	15.0	0.23
09/04/2018	***-**-7264 - HOLLANDER, SHANE ACCOUNT #: 00081895798	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	7.58	0.00	7.58	15.0	1.14
09/04/2018	***-**-7264 - HOLLANDER, SHANE ACCOUNT #: 00081895839	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	7.58	0.00	7.58	15.0	1.14
09/04/2018	***-**-7264 - HOLLANDER, SHANE ACCOUNT #: 00085243860	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	7.14	0.00	7.14	15.0	1.07
09/04/2018	***-**-2461 - CAMPBELL, HOPE ACCOUNT #: 00085796879	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	6.17	0.00	6.17	15.0	0.93
09/04/2018	***-**-2461 - CAMPBELL, HOPE ACCOUNT #: 00085796907	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	7.00	0.00	7.00	15.0	1.05
09/04/2018	***-**-275P - BUBLA, MADISON ACCOUNT #: 00085932755	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	0.44	0.00	0.44	15.0	0.07
09/04/2018	***-**-6927 - DEMAREST, DAVID ACCOUNT #: 00085340702	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	5.52	0.00	5.52	15.0	0.83
09/04/2018	***-**-425P - SMOLLER, MICHAEL ACCOUNT #: 00068829975	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 0 Units @0.0000	0.00	1.19	0.00	1.19	15.0	0.18



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CHRISTOPHER MILGROOM (continued)</u>								
09/04/2018	***-**-425P - SMOLLER, MICHAEL	EUROPACIFIC GROWTH FUND CLASS C	0.00	10.50	0.00	10.50	15.0	1.58
	ACCOUNT #: 00068829975	BUY 0 Units @0.0000						
09/04/2018	***-**-425P - SMOLLER, MICHAEL	EUROPACIFIC GROWTH FUND CLASS F	0.00	3.65	0.00	3.65	15.0	0.55
	ACCOUNT #: 00068829975	BUY 0 Units @0.0000						
09/04/2018	***-**-2461 - CAMPBELL, HOPE	EUROPACIFIC GROWTH FUND-529A	0.00	5.70	0.00	5.70	15.0	0.86
	ACCOUNT #: 00085796879	BUY 0 Units @0.0000						
09/04/2018	***-**-2461 - CAMPBELL, HOPE	EUROPACIFIC GROWTH FUND-529A	0.00	6.50	0.00	6.50	15.0	0.98
	ACCOUNT #: 00085796907	BUY 0 Units @0.0000						
09/04/2018	***-**-6927 - DEMAREST, DAVID	EUROPACIFIC GROWTH FUND-529E	0.00	4.84	0.00	4.84	15.0	0.73
	ACCOUNT #: 00085340702	BUY 0 Units @0.0000						
09/04/2018	***-**-425P - SMOLLER, MICHAEL	EUROPACIFIC GROWTH FUND-A	0.00	1.92	0.00	1.92	15.0	0.29
	ACCOUNT #: 00068829975	BUY 0 Units @0.0000						
09/04/2018	***-**-109I - PASCH, ROBERT	EUROPACIFIC GROWTH FUND-A	0.00	4.51	0.00	4.51	15.0	0.68
	ACCOUNT #: 00073775313	BUY 0 Units @0.0000						
09/04/2018	***-**-135P - PASCH, SHAHAR	EUROPACIFIC GROWTH FUND-A	0.00	0.92	0.00	0.92	15.0	0.14
	ACCOUNT #: 00081639466	BUY 0 Units @0.0000						
09/04/2018	***-**-635I - CAMPBELL,	EUROPACIFIC GROWTH FUND-A	0.00	0.34	0.00	0.34	15.0	0.05
	ACCOUNT #: 00084984847	BUY 0 Units @0.0000						
09/04/2018	***-**-461I - CAMPBELL, COLIN	EUROPACIFIC GROWTH FUND-A	0.00	9.77	0.00	9.77	15.0	1.47
	ACCOUNT #: 00084984880	BUY 0 Units @0.0000						
09/04/2018	***-**-0067 - UNCLE AL'S CAFE,	EUROPACIFIC GROWTH FUND-R2	0.00	89.98	0.00	89.98	15.0	13.50
	ACCOUNT #: 00086251301	BUY 0 Units @0.0000						
09/04/2018	***-**-2461 - CAMPBELL, HOPE	FUNDAMENTAL INVESTORS-529A	0.00	7.20	0.00	7.20	15.0	1.08
	ACCOUNT #: 00085796879	BUY 0 Units @0.0000						
09/04/2018	***-**-2461 - CAMPBELL, HOPE	FUNDAMENTAL INVESTORS-529A	0.00	8.11	0.00	8.11	15.0	1.22
	ACCOUNT #: 00085796907	BUY 0 Units @0.0000						
09/04/2018	***-**-3178 - IONESCU, MIHAELA	FUNDAMENTAL INVESTORS-529C	0.00	11.80	0.00	11.80	15.0	1.77
	ACCOUNT #: 00088835521	BUY 0 Units @0.0000						
09/04/2018	***-**-3178 - IONESCU, MIHAELA	FUNDAMENTAL INVESTORS-529C	0.00	12.00	0.00	12.00	15.0	1.80
	ACCOUNT #: 00088835540	BUY 0 Units @0.0000						
09/04/2018	***-**-894I - GARCIA, MARIANO	FUNDAMENTAL INVESTORS-529E	0.00	77.60	0.00	77.60	15.0	11.64
	ACCOUNT #: 00073051316	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: CHRISTOPHER MILGROOM (continued) </u>								
09/04/2018	***-**-4894 - GARCIA, MARIANO	FUNDAMENTAL INVESTORS-529E	0.00	43.65	0.00	43.65	15.0	6.55
	ACCOUNT #: 00083302737	BUY 0 Units @0.0000						
09/04/2018	***-**-215P - KHAN, HUMAIRA	FUNDAMENTAL INVESTORS-A	0.00	0.27	0.00	0.27	15.0	0.04
	ACCOUNT #: 00075327976	BUY 0 Units @0.0000						
09/04/2018	***-**-725P - MOLLE, PAUL	FUNDAMENTAL INVESTORS-C	0.00	54.11	0.00	54.11	15.0	8.12
	ACCOUNT #: 00068105507	BUY 0 Units @0.0000						
09/04/2018	***-**-425P - SMOLLER, MICHAEL	GROWTH FUND OF AMERICA CLASS F	0.00	2.09	0.00	2.09	15.0	0.31
	ACCOUNT #: 00068829975	BUY 0 Units @0.0000						
09/11/2018	***-**-67CL - MILGROOM,	ING ADVANTAGE SELECT	0.00	3.70	0.00	3.70	15.0	0.56
	ACCOUNT #: R096007-ZS	BUY 0 Units @0.0000						
09/11/2018	***-**-67CL - MILGROOM,	ING ADVANTAGE SELECT	0.00	6.08	0.00	6.08	15.0	0.91
	ACCOUNT #: R096023-ZS	BUY 0 Units @0.0000						
09/13/2018	***-**-4209 - DEBS, KEVIN	ING ADVANTAGE SELECT	0.00	14.37	0.00	14.37	15.0	2.16
	ACCOUNT #: R081292-ZS	BUY 0 Units @0.0000						
09/13/2018	***-**-6833 - FANO, DENNIS	ING ADVANTAGE SELECT	0.00	8.08	0.00	8.08	15.0	1.21
	ACCOUNT #: R110847-ZS	BUY 0 Units @0.0000						
08/28/2018	***-**-67CL - MILGROOM,	INVESCO GLOBAL REAL ESTATE FUND -CL	127.99	0.96	0.00	0.96	15.0	0.14
	ACCOUNT #: 07123000494	BUY 9 Units @13.6400						
09/04/2018	***-**-67CL - MILGROOM,	INVESCO GLOBAL REAL ESTATE FUND -CL	18.48	0.14	0.00	0.14	15.0	0.02
	ACCOUNT #: 07123000351	BUY 1 Units @13.4200						
09/10/2018	***-**-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						
09/17/2018	***-**-67CL - MILGROOM,	JANUS MF TRAILS	0.00	52.05	0.00	52.05	15.0	7.81
		BUY 0 Units @0.0000						
09/04/2018	***-**-7264 - HOLLANDER, SHANE	NEW PERSPECTIVE FUND-529A	0.00	7.63	0.00	7.63	15.0	1.14
	ACCOUNT #: 00081895798	BUY 0 Units @0.0000						
09/04/2018	***-**-7264 - HOLLANDER, SHANE	NEW PERSPECTIVE FUND-529A	0.00	7.63	0.00	7.63	15.0	1.14
	ACCOUNT #: 00081895839	BUY 0 Units @0.0000						
09/04/2018	***-**-7264 - HOLLANDER, SHANE	NEW PERSPECTIVE FUND-529A	0.00	7.20	0.00	7.20	15.0	1.08
	ACCOUNT #: 00085243860	BUY 0 Units @0.0000						
09/04/2018	***-**-3178 - IONESCU, MIHAELA	NEW PERSPECTIVE FUND-529C	0.00	11.53	0.00	11.53	15.0	1.73
	ACCOUNT #: 00088835521	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: CHRISTOPHER MILGROOM (continued) </u>								
09/04/2018	***-**-3178 - IONESCU, MIHAELA	NEW PERSPECTIVE FUND-529C	0.00	11.72	0.00	11.72	15.0	1.76
	ACCOUNT #: 00088835540	BUY 0 Units @0.0000						
09/04/2018	***-**-894I - GARCIA, MARIANO	NEW PERSPECTIVE FUND-529E	0.00	73.77	0.00	73.77	15.0	11.07
	ACCOUNT #: 00073051316	BUY 0 Units @0.0000						
09/04/2018	***-**-4894 - GARCIA, MARIANO	NEW PERSPECTIVE FUND-529E	0.00	42.83	0.00	42.83	15.0	6.42
	ACCOUNT #: 00083302737	BUY 0 Units @0.0000						
09/04/2018	***-**-129I - HOLLANDER,	NEW PERSPECTIVE FUND-A	0.00	24.30	0.00	24.30	15.0	3.65
	ACCOUNT #: 00075689213	BUY 0 Units @0.0000						
09/04/2018	***-**-264I - HOLLANDER, TED	NEW PERSPECTIVE FUND-A	0.00	24.30	0.00	24.30	15.0	3.65
	ACCOUNT #: 00075689223	BUY 0 Units @0.0000						
09/04/2018	***-**-0720 - COCKTAILS DREAMS	NEW PERSPECTIVE FUND-R2	0.00	52.70	0.00	52.70	15.0	7.91
	ACCOUNT #: 01230591027	BUY 0 Units @0.0000						
09/04/2018	***-**-0720 - COCKTAILS DREAMS	NEW PERSPECTIVE FUND-R2	0.00	7.77	0.00	7.77	15.0	1.17
	ACCOUNT #: 01230591048	BUY 0 Units @0.0000						
09/04/2018	***-**-0067 - UNCLE AL'S CAFE,	NEW PERSPECTIVE FUND-R2	0.00	96.18	0.00	96.18	15.0	14.43
	ACCOUNT #: 00086251301	BUY 0 Units @0.0000						
09/04/2018	***-**-9109 - PASCH, ROBERT	NEW WORLD FUND-R3	0.00	7.87	0.00	7.87	15.0	1.18
	ACCOUNT #: 01241470723	BUY 0 Units @0.0000						
09/04/2018	***-**-8780 - PALM BEACH	NEW WORLD FUND-R3	0.00	24.39	0.00	24.39	15.0	3.66
	ACCOUNT #: 01241471887	BUY 0 Units @0.0000						
09/04/2018	***-**-2111 - SPECTRUM TOURS	NEW WORLD FUND-R3	0.00	1.00	0.00	1.00	15.0	0.15
	ACCOUNT #: 01241474946	BUY 0 Units @0.0000						
09/04/2018	***-**-7574 - G-MEN CORP	NEW WORLD FUND-R3	0.00	4.99	0.00	4.99	15.0	0.75
	ACCOUNT #: 01241475290	BUY 0 Units @0.0000						
09/04/2018	***-**-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						
09/04/2018	***-**-725P - MOLLE, PAUL	THE GROWTH FUND OF AMERICA-529A	0.00	9.60	0.00	9.60	15.0	1.44
	ACCOUNT #: 00073116984	BUY 0 Units @0.0000						
09/04/2018	***-**-2461 - CAMPBELL, HOPE	THE GROWTH FUND OF AMERICA-529A	0.00	7.76	0.00	7.76	15.0	1.16
	ACCOUNT #: 00085796879	BUY 0 Units @0.0000						
09/04/2018	***-**-2461 - CAMPBELL, HOPE	THE GROWTH FUND OF AMERICA-529A	0.00	8.73	0.00	8.73	15.0	1.31
	ACCOUNT #: 00085796907	BUY 0 Units @0.0000						



COMMISSION STATEMENT

September 17, 2018

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> 								
09/04/2018	***-**-725P - MOLLE, PAUL	THE GROWTH FUND OF AMERICA-529C	0.00	12.72	0.00	12.72	15.0	1.91
	ACCOUNT #: 00073116984	BUY 0 Units @0.0000						
09/04/2018	***-**-3178 - IONESCU, MIHAELA	THE GROWTH FUND OF AMERICA-529C	0.00	12.54	0.00	12.54	15.0	1.88
	ACCOUNT #: 00088835521	BUY 0 Units @0.0000						
09/04/2018	***-**-3178 - IONESCU, MIHAELA	THE GROWTH FUND OF AMERICA-529C	0.00	12.75	0.00	12.75	15.0	1.91
	ACCOUNT #: 00088835540	BUY 0 Units @0.0000						
09/04/2018	***-**-894I - GARCIA, MARIANO	THE GROWTH FUND OF AMERICA-529E	0.00	90.48	0.00	90.48	15.0	13.57
	ACCOUNT #: 00073051316	BUY 0 Units @0.0000						
09/04/2018	***-**-4894 - GARCIA, MARIANO	THE GROWTH FUND OF AMERICA-529E	0.00	47.39	0.00	47.39	15.0	7.11
	ACCOUNT #: 00083302737	BUY 0 Units @0.0000						
09/04/2018	***-**-745P - BETTS, WILLIAM	THE GROWTH FUND OF AMERICA-A	0.00	0.32	0.00	0.32	15.0	0.05
	ACCOUNT #: 00066945923	BUY 0 Units @0.0000						
09/04/2018	***-**-725P - MOLLE, PAUL	THE GROWTH FUND OF AMERICA-A	0.00	28.25	0.00	28.25	15.0	4.24
	ACCOUNT #: 00068105507	BUY 0 Units @0.0000						
09/04/2018	***-**-425P - SMOLLER, MICHAEL	THE GROWTH FUND OF AMERICA-A	0.00	123.33	0.00	123.33	15.0	18.50
	ACCOUNT #: 00068829975	BUY 0 Units @0.0000						
09/04/2018	***-**-8357 - KEATING, ROBERT	THE GROWTH FUND OF AMERICA-A	0.00	0.49	0.00	0.49	15.0	0.07
	ACCOUNT #: 00069168696	BUY 0 Units @0.0000						
09/04/2018	***-**-109I - PASCH, ROBERT	THE GROWTH FUND OF AMERICA-A	0.00	6.64	0.00	6.64	15.0	1.00
	ACCOUNT #: 00073775313	BUY 0 Units @0.0000						
09/04/2018	***-**-215P - KHAN, HUMAIRA	THE GROWTH FUND OF AMERICA-A	0.00	0.29	0.00	0.29	15.0	0.04
	ACCOUNT #: 00075327976	BUY 0 Units @0.0000						
09/04/2018	***-**-6273 - ALICEA, JULIANNE	THE GROWTH FUND OF AMERICA-A	0.00	4.45	0.00	4.45	15.0	0.67
	ACCOUNT #: 00081274080	BUY 0 Units @0.0000						
09/04/2018	***-**-165P - COOPER-KEATING,	THE GROWTH FUND OF AMERICA-A	0.00	5.26	0.00	5.26	15.0	0.79
	ACCOUNT #: 00081502206	BUY 0 Units @0.0000						
09/04/2018	***-**-135P - PASCH, SHAHAR	THE GROWTH FUND OF AMERICA-A	0.00	1.45	0.00	1.45	15.0	0.22
	ACCOUNT #: 00081639466	BUY 0 Units @0.0000						
09/04/2018	***-**-045P - DEANE, ZAIN	THE GROWTH FUND OF AMERICA-A	0.00	42.46	0.00	42.46	15.0	6.37
	ACCOUNT #: 00081785432	BUY 0 Units @0.0000						
09/04/2018	***-**-675P - MONTEFUSCO,	THE GROWTH FUND OF AMERICA-A	0.00	0.25	0.00	0.25	15.0	0.04
	ACCOUNT #: 00081937980	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>								
09/04/2018	***-**-075P - HUTCHINSON, ACCOUNT #: 00082192962	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.25	0.00	1.25	15.0	0.19
09/04/2018	***-**-775P - KING, GREGORY ACCOUNT #: 00082438825	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	30.27	0.00	30.27	15.0	4.54
09/04/2018	***-**-635I - CAMPBELL, ACCOUNT #: 00084984847	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.43	0.00	0.43	15.0	0.06
09/04/2018	***-**-461I - CAMPBELL, COLIN ACCOUNT #: 00084984880	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	12.21	0.00	12.21	15.0	1.83
09/04/2018	***-**-1982 - HOHNECKER, LAURA ACCOUNT #: 00086976260	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.71	0.00	1.71	15.0	0.26
09/04/2018	***-**-425P - SMOLLER, MICHAEL ACCOUNT #: 00068829975	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	9.35	0.00	9.35	15.0	1.40
09/04/2018	***-**-215P - KHAN, HUMAIRA ACCOUNT #: 00075327976	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.25	0.00	0.25	15.0	0.04
09/04/2018	***-**-165P - COOPER-KEATING, ACCOUNT #: 00081502206	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.87	0.00	3.87	15.0	0.58
09/04/2018	***-**-045P - DEANE, ZAIN ACCOUNT #: 00081785432	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	29.83	0.00	29.83	15.0	4.47
09/04/2018	***-**-964I - HARRELL, ZELDA ACCOUNT #: 00085724317	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	4.76	0.00	4.76	15.0	0.71
09/05/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07748008823	TRANSAMERICA SMALL/MID CAP VALUE-C BUY 0 Units @0.0000	0.00	15.50	0.00	15.50	15.0	2.33
09/05/2018	***-**-67CL - MILGROOM, ACCOUNT #: 07748008142	TRANSAMERICA SMALL/MID CAP VALUE-C BUY 0 Units @0.0000	0.00	19.61	0.00	19.61	15.0	2.94
09/04/2018	***-**-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
09/04/2018	***-**-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
09/04/2018	***-**-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
09/04/2018	***-**-985P - KEATING, EILEEN ACCOUNT #: 00069168694	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	0.18	0.00	0.18	15.0	0.03



COMMISSION STATEMENT

September 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 (continued) </u>								
<u>BROKER: CHRISTOPHER MILGROOM (continued)</u>								
09/04/2018	***-**-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						
09/04/2018	***-**-6273 - ALICEA, JULIANNE	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	3.79	0.00	3.79	15.0	0.57
	ACCOUNT #: 00081274080	BUY 0 Units @0.0000						
09/04/2018	***-**-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						
09/06/2018	***-**-6647 - CABLE, ROBERT	WELLS FARGO SPECIAL MID CAP CL C	0.00	0.56	0.00	0.56	15.0	0.08
	ACCOUNT #: 08551051344	BUY 0 Units @0.0000						
09/06/2018	***-**-6647 - CABLE, ROBERT	WELLS FARGO SPECIAL MID CAP CL C	0.00	1.68	0.00	1.68	15.0	0.25
	ACCOUNT #: 08551051344	BUY 0 Units @0.0000						
* CHRISTOPHER MILGROOM SUBTOTAL *			\$246.47	\$1,845.07	\$0.00	\$1,845.07		\$276.88
*** OVERRIDE TRANSACTIONS TOTAL ***			\$246.47	\$1,845.07	\$0.00	\$1,845.07		\$276.88

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$0.00
Override Transactions	\$276.88
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$83.66
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$360.54
Year-to-date Earnings	\$2,982.08