



COMMISSION STATEMENT

January 22, 2018

JOSEPH FERRY
327 Church Street
Naugatuck, CT 06770

BROKER #: 180
BRANCH #01001 - LifeMark Home Office

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/16/2018	***-**-761I - HUSTEK, PETER	AMCAP FUND-A	42.70	0.85	0.00	0.85	80.0	0.68
	ACCOUNT #: 00087410644	BUY 1 Units @33.7600						
01/16/2018	***-**-761I - HUSTEK, PETER	AMCAP FUND-A	42.70	0.85	0.00	0.85	80.0	0.68
	ACCOUNT #: 00087410644	BUY 1 Units @33.7600						
01/16/2018	***-**-985P - PAPST, MEREDITH	AMCAP FUND-A	150.00	4.13	0.00	4.13	80.0	3.30
	ACCOUNT #: 00067807144	BUY 4 Units @34.1100						
01/11/2018	***-**-593X - WOODY, ROBERT	AMERICAN 2020 TARGET DATE RETIREMNT	2,010.01	18.00	18.00	0.00	80.0	0.00
	ACCOUNT #: LSR010802	SELL 160 Units @12.5700						
01/08/2018	***-**-6453 - BORDONARO, LINDA	AMERICAN BALANCED FUND-A	32.76	0.90	0.00	0.90	80.0	0.72
	ACCOUNT #: 00083064667	BUY 1 Units @28.5400						
01/08/2018	***-**-6453 - BORDONARO, LINDA	AMERICAN BALANCED FUND-A	20.00	0.55	0.00	0.55	80.0	0.44
	ACCOUNT #: 00083064667	BUY 1 Units @28.5400						
01/08/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	46.39	1.28	0.00	1.28	80.0	1.02
	ACCOUNT #: 04000563712	BUY 2 Units @28.5400						
01/08/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	154.64	4.25	0.00	4.25	80.0	3.40
	ACCOUNT #: 04000563712	BUY 5 Units @28.5400						
01/09/2018	***-**-6453 - BORDONARO, LINDA	AMERICAN BALANCED FUND-A	20.00	0.55	0.00	0.55	80.0	0.44
	ACCOUNT #: 00083064667	BUY 1 Units @28.5200						
01/09/2018	***-**-6453 - BORDONARO, LINDA	AMERICAN BALANCED FUND-A	32.76	0.90	0.00	0.90	80.0	0.72
	ACCOUNT #: 00083064667	BUY 1 Units @28.5200						
01/09/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	154.64	4.25	0.00	4.25	80.0	3.40
	ACCOUNT #: 04000563712	BUY 5 Units @28.5200						
01/09/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	46.39	1.28	0.00	1.28	80.0	1.02
	ACCOUNT #: 04000563712	BUY 2 Units @28.5200						
01/12/2018	***-**-875P - SHIMUNOV, ILICH	AMERICAN BALANCED FUND-A	30.00	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00081805810	BUY 1 Units @28.3100						
01/12/2018	***-**-875P - SHIMUNOV, ILICH	AMERICAN BALANCED FUND-A	30.00	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00081805810	BUY 1 Units @28.3100						
01/12/2018	***-**-707I - COLON, ANGEL	AMERICAN BALANCED FUND-A	25.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00081805964	BUY 1 Units @28.3100						
01/12/2018	***-**-707I - COLON, ANGEL	AMERICAN BALANCED FUND-A	25.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00081805964	BUY 1 Units @28.3100						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/12/2018	***-**-228I - FAULKNER, ACCOUNT #: 00081805988	AMERICAN BALANCED FUND-A BUY 11 Units @28.3100	298.08	4.77	0.00	4.77	80.0	3.82
01/12/2018	***-**-228I - FAULKNER, ACCOUNT #: 00081805988	AMERICAN BALANCED FUND-A BUY 11 Units @28.3100	298.08	4.77	0.00	4.77	80.0	3.82
01/12/2018	***-**-689I - FAULKNER, SANDRA ACCOUNT #: 00081806027	AMERICAN BALANCED FUND-A BUY 0 Units @28.3100	10.00	0.16	0.00	0.16	80.0	0.13
01/12/2018	***-**-689I - FAULKNER, SANDRA ACCOUNT #: 00081806027	AMERICAN BALANCED FUND-A BUY 11 Units @28.3100	298.08	4.77	0.00	4.77	80.0	3.82
01/16/2018	***-**-0514 - SMITLEY, DONALD ACCOUNT #: 00089895362	AMERICAN BALANCED FUND-A BUY 5 Units @28.4200	129.81	2.60	0.00	2.60	80.0	2.08
01/16/2018	***-**-0514 - SMITLEY, DONALD ACCOUNT #: 00089895362	AMERICAN BALANCED FUND-A BUY 3 Units @28.4200	77.89	1.56	0.00	1.56	80.0	1.25
01/16/2018	***-**-6453 - BORDONARO, LINDA ACCOUNT #: 00083064667	AMERICAN BALANCED FUND-A BUY 1 Units @28.7200	20.00	0.55	0.00	0.55	80.0	0.44
01/16/2018	***-**-6453 - BORDONARO, LINDA ACCOUNT #: 00083064667	AMERICAN BALANCED FUND-A BUY 1 Units @28.7200	32.76	0.90	0.00	0.90	80.0	0.72
01/16/2018	***-**-7973 - ROOSA, JOHN ACCOUNT #: 04000563712	AMERICAN BALANCED FUND-A BUY 5 Units @28.7200	154.64	4.25	0.00	4.25	80.0	3.40
01/16/2018	***-**-7973 - ROOSA, JOHN ACCOUNT #: 04000563712	AMERICAN BALANCED FUND-A BUY 2 Units @28.7200	46.39	1.28	0.00	1.28	80.0	1.02
01/19/2018	***-**-875P - SHIMUNOV, ILICH ACCOUNT #: 00081805810	AMERICAN BALANCED FUND-A BUY 1 Units @28.4900	30.00	0.48	0.00	0.48	80.0	0.38
01/19/2018	***-**-875P - SHIMUNOV, ILICH ACCOUNT #: 00081805810	AMERICAN BALANCED FUND-A BUY 1 Units @28.4900	30.00	0.48	0.00	0.48	80.0	0.38
01/19/2018	***-**-707I - COLON, ANGEL ACCOUNT #: 00081805964	AMERICAN BALANCED FUND-A BUY 1 Units @28.4900	25.00	0.40	0.00	0.40	80.0	0.32
01/19/2018	***-**-707I - COLON, ANGEL ACCOUNT #: 00081805964	AMERICAN BALANCED FUND-A BUY 1 Units @28.4900	25.00	0.40	0.00	0.40	80.0	0.32
01/19/2018	***-**-228I - FAULKNER, ACCOUNT #: 00081805988	AMERICAN BALANCED FUND-A BUY 10 Units @28.4900	298.08	4.77	0.00	4.77	80.0	3.82
01/19/2018	***-**-228I - FAULKNER, ACCOUNT #: 00081805988	AMERICAN BALANCED FUND-A BUY 10 Units @28.4900	298.08	4.77	0.00	4.77	80.0	3.82



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/19/2018	***-**-689I - FAULKNER, SANDRA	AMERICAN BALANCED FUND-A	10.00	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00081806027	BUY 0 Units @28.4900						
01/19/2018	***-**-689I - FAULKNER, SANDRA	AMERICAN BALANCED FUND-A	298.08	4.77	0.00	4.77	80.0	3.82
	ACCOUNT #: 00081806027	BUY 10 Units @28.4900						
01/16/2018	***-**-089I - RAFAEL, MANUEL	AMERICAN FUNDS 2015 TARGET DATE-A	270.00	5.40	0.00	5.40	80.0	4.32
	ACCOUNT #: 00084671422	BUY 22 Units @12.0700						
01/16/2018	***-**-089I - RAFAEL, MANUEL	AMERICAN FUNDS 2015 TARGET DATE-A	135.00	2.70	0.00	2.70	80.0	2.16
	ACCOUNT #: 00084671422	BUY 11 Units @12.0700						
01/16/2018	***-**-852I - ECKER, DAVID	AMERICAN FUNDS 2015 TARGET DATE-A	1,153.84	23.08	0.00	23.08	80.0	18.46
	ACCOUNT #: 00084671526	BUY 96 Units @12.0700						
01/16/2018	***-**-852I - ECKER, DAVID	AMERICAN FUNDS 2015 TARGET DATE-A	346.16	6.92	0.00	6.92	80.0	5.54
	ACCOUNT #: 00084671526	BUY 29 Units @12.0700						
01/08/2018	***-**-309I - PARENT, NANCY	AMERICAN FUNDS 2020 TARGET DATE-A	20.00	0.55	0.00	0.55	80.0	0.44
	ACCOUNT #: 00087513340	BUY 2 Units @13.1700						
01/08/2018	***-**-309I - PARENT, NANCY	AMERICAN FUNDS 2020 TARGET DATE-A	20.40	0.56	0.00	0.56	80.0	0.45
	ACCOUNT #: 00087513340	BUY 2 Units @13.1700						
01/09/2018	***-**-309I - PARENT, NANCY	AMERICAN FUNDS 2020 TARGET DATE-A	20.40	0.56	0.00	0.56	80.0	0.45
	ACCOUNT #: 00087513340	BUY 2 Units @13.1700						
01/09/2018	***-**-309I - PARENT, NANCY	AMERICAN FUNDS 2020 TARGET DATE-A	20.00	0.55	0.00	0.55	80.0	0.44
	ACCOUNT #: 00087513340	BUY 2 Units @13.1700						
01/16/2018	***-**-640I - SILVA, VICTOR	AMERICAN FUNDS 2020 TARGET DATE-A	81.00	1.62	0.00	1.62	80.0	1.30
	ACCOUNT #: 00087410616	BUY 6 Units @13.1200						
01/16/2018	***-**-640I - SILVA, VICTOR	AMERICAN FUNDS 2020 TARGET DATE-A	48.60	0.97	0.00	0.97	80.0	0.78
	ACCOUNT #: 00087410616	BUY 4 Units @13.1200						
01/16/2018	***-**-309I - PARENT, NANCY	AMERICAN FUNDS 2020 TARGET DATE-A	20.00	0.55	0.00	0.55	80.0	0.44
	ACCOUNT #: 00087513340	BUY 2 Units @13.2500						
01/16/2018	***-**-309I - PARENT, NANCY	AMERICAN FUNDS 2020 TARGET DATE-A	20.40	0.56	0.00	0.56	80.0	0.45
	ACCOUNT #: 00087513340	BUY 2 Units @13.2500						
01/16/2018	***-**-3575 - LUCARELLI, DONNA	AMERICAN FUNDS 2025 TARGET DATE-A	110.11	2.20	0.00	2.20	80.0	1.76
	ACCOUNT #: 00085997645	BUY 8 Units @14.1000						
01/16/2018	***-**-3575 - LUCARELLI, DONNA	AMERICAN FUNDS 2025 TARGET DATE-A	110.11	2.20	0.00	2.20	80.0	1.76
	ACCOUNT #: 00085997645	BUY 8 Units @14.1000						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/16/2018	***-**-3231 - CAIZA, HILDA	AMERICAN FUNDS 2025 TARGET DATE-A	142.83	2.86	0.00	2.86	80.0	2.29
	ACCOUNT #: 00085997891	BUY 10 Units @14.1000						
01/16/2018	***-**-3231 - CAIZA, HILDA	AMERICAN FUNDS 2025 TARGET DATE-A	107.12	2.14	0.00	2.14	80.0	1.71
	ACCOUNT #: 00085997891	BUY 8 Units @14.1000						
01/08/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	72.12	1.98	0.00	1.98	80.0	1.58
	ACCOUNT #: 04000563724	BUY 5 Units @15.7200						
01/08/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	43.27	1.19	0.00	1.19	80.0	0.95
	ACCOUNT #: 04000563724	BUY 3 Units @15.7200						
01/09/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	43.27	1.19	0.00	1.19	80.0	0.95
	ACCOUNT #: 04000563724	BUY 3 Units @15.7400						
01/09/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	72.12	1.98	0.00	1.98	80.0	1.58
	ACCOUNT #: 04000563724	BUY 5 Units @15.7400						
01/16/2018	***-**-111I - OJA, MARISSA	AMERICAN FUNDS 2035 TARGET DATE-A	89.33	1.79	0.00	1.79	80.0	1.43
	ACCOUNT #: 00087410497	BUY 6 Units @15.7100						
01/16/2018	***-**-111I - OJA, MARISSA	AMERICAN FUNDS 2035 TARGET DATE-A	89.33	1.79	0.00	1.79	80.0	1.43
	ACCOUNT #: 00087410497	BUY 6 Units @15.7100						
01/16/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	72.12	1.98	0.00	1.98	80.0	1.58
	ACCOUNT #: 04000563724	BUY 5 Units @15.8800						
01/16/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	43.27	1.19	0.00	1.19	80.0	0.95
	ACCOUNT #: 04000563724	BUY 3 Units @15.8800						
01/16/2018	***-**-2796 - ESTRELLA, JUDITH	AMERICAN FUNDS 2040 TARGET DATE-A	330.00	6.60	0.00	6.60	80.0	5.28
	ACCOUNT #: 00084671437	BUY 20 Units @16.1100						
01/16/2018	***-**-2796 - ESTRELLA, JUDITH	AMERICAN FUNDS 2040 TARGET DATE-A	165.00	3.30	0.00	3.30	80.0	2.64
	ACCOUNT #: 00084671437	BUY 10 Units @16.1100						
01/16/2018	***-**-6980 - ANDRADE,	AMERICAN FUNDS 2045 TARGET DATE-A	173.10	3.46	0.00	3.46	80.0	2.77
	ACCOUNT #: 00084670745	BUY 11 Units @16.3800						
01/16/2018	***-**-6980 - ANDRADE,	AMERICAN FUNDS 2045 TARGET DATE-A	173.10	3.46	0.00	3.46	80.0	2.77
	ACCOUNT #: 00084670745	BUY 11 Units @16.3800						
01/16/2018	***-**-6931 - MILANO, ANTHONY	AMERICAN FUNDS 2045 TARGET DATE-A	109.18	2.18	0.00	2.18	80.0	1.74
	ACCOUNT #: 00084671439	BUY 7 Units @16.3800						
01/16/2018	***-**-6931 - MILANO, ANTHONY	AMERICAN FUNDS 2045 TARGET DATE-A	109.18	2.18	0.00	2.18	80.0	1.74
	ACCOUNT #: 00084671439	BUY 7 Units @16.3800						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/08/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 12 Units @16.0400	187.00	5.14	0.00	5.14	80.0	4.11
01/08/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @16.0400	44.09	1.21	0.00	1.21	80.0	0.97
01/08/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @16.0400	48.83	1.34	0.00	1.34	80.0	1.07
01/08/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 6 Units @16.0400	100.00	2.75	0.00	2.75	80.0	2.20
01/09/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @16.0500	44.09	1.21	0.00	1.21	80.0	0.97
01/09/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 12 Units @16.0500	187.00	5.14	0.00	5.14	80.0	4.11
01/09/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 6 Units @16.0500	100.00	2.75	0.00	2.75	80.0	2.20
01/09/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @16.0500	48.83	1.34	0.00	1.34	80.0	1.07
01/16/2018	***-**-6979 - ECKER, ASHLEY ACCOUNT #: 00084671531	AMERICAN FUNDS 2050 TARGET DATE-A BUY 15 Units @16.0400	238.44	4.77	0.00	4.77	80.0	3.82
01/16/2018	***-**-6979 - ECKER, ASHLEY ACCOUNT #: 00084671531	AMERICAN FUNDS 2050 TARGET DATE-A BUY 15 Units @16.0400	238.44	4.77	0.00	4.77	80.0	3.82
01/16/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 12 Units @16.2100	187.00	5.14	0.00	5.14	80.0	4.11
01/16/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @16.2100	44.09	1.21	0.00	1.21	80.0	0.97
01/16/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @16.2100	48.83	1.34	0.00	1.34	80.0	1.07
01/16/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 6 Units @16.2100	100.00	2.75	0.00	2.75	80.0	2.20
01/16/2018	***-**-838I - TYSZKA, SEAN ACCOUNT #: 04000234338	AMERICAN FUNDS 2060 TARGET DATE-A BUY 5 Units @13.1400	69.56	1.39	0.00	1.39	80.0	1.11
01/16/2018	***-**-838I - TYSZKA, SEAN ACCOUNT #: 04000234338	AMERICAN FUNDS 2060 TARGET DATE-A BUY 5 Units @13.1400	69.56	1.39	0.00	1.39	80.0	1.11



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/16/2018	***-**-1540 - FROSCENO, KAYLA	AMERICAN FUNDS 2060 TARGET DATE-A	72.13	1.44	0.00	1.44	80.0	1.15
	ACCOUNT #: 04000234351	BUY 5 Units @13.1400						
01/16/2018	***-**-1540 - FROSCENO, KAYLA	AMERICAN FUNDS 2060 TARGET DATE-A	54.10	1.08	0.00	1.08	80.0	0.86
	ACCOUNT #: 04000234351	BUY 4 Units @13.1400						
01/18/2018	***-**-2954 - RESTO, NORBERTO	AMERICAN FUNDS GRWTH & INCOME PORT	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00069029798	BUY 2 Units @15.5800						
01/18/2018	***-**-2954 - RESTO, NORBERTO	AMERICAN FUNDS GRWTH & INCOME PORT	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00069029798	BUY 2 Units @15.5800						
01/18/2018	***-**-2954 - RESTO, NORBERTO	AMERICAN FUNDS GRWTH & INCOME PORT	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00069029798	BUY 2 Units @15.5800						
01/18/2018	***-**-2954 - RESTO, NORBERTO	AMERICAN FUNDS GRWTH & INCOME PORT	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00069029798	BUY 2 Units @15.5800						
01/18/2018	***-**-3307 - COUGHLAN, HARRY	AMERICAN FUNDS GRWTH & INCOME PORT	240.50	2.41	0.00	2.41	80.0	1.93
	ACCOUNT #: 00084434107	BUY 15 Units @15.5800						
01/18/2018	***-**-3307 - COUGHLAN, HARRY	AMERICAN FUNDS GRWTH & INCOME PORT	65.58	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 00084434107	BUY 4 Units @15.5800						
01/18/2018	***-**-3307 - COUGHLAN, HARRY	AMERICAN FUNDS GRWTH & INCOME PORT	240.50	2.41	0.00	2.41	80.0	1.93
	ACCOUNT #: 00084434107	BUY 15 Units @15.5800						
01/18/2018	***-**-3307 - COUGHLAN, HARRY	AMERICAN FUNDS GRWTH & INCOME PORT	65.58	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 00084434107	BUY 4 Units @15.5800						
01/18/2018	***-**-0391 - HERNANDEZ,	AMERICAN FUNDS GRWTH & INCOME PORT	26.28	0.26	0.00	0.26	80.0	0.21
	ACCOUNT #: 00085621852	BUY 2 Units @15.5800						
01/18/2018	***-**-0391 - HERNANDEZ,	AMERICAN FUNDS GRWTH & INCOME PORT	35.00	0.35	0.00	0.35	80.0	0.28
	ACCOUNT #: 00085621852	BUY 2 Units @15.5800						
01/18/2018	***-**-0391 - HERNANDEZ,	AMERICAN FUNDS GRWTH & INCOME PORT	35.00	0.35	0.00	0.35	80.0	0.28
	ACCOUNT #: 00085621852	BUY 2 Units @15.5800						
01/18/2018	***-**-0391 - HERNANDEZ,	AMERICAN FUNDS GRWTH & INCOME PORT	29.95	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00085621852	BUY 2 Units @15.5800						
01/16/2018	***-**-88SI - CROSSMAN, ROBERT	AMERICAN HIGH-INCOME TRUST-A	87.50	1.75	0.00	1.75	80.0	1.40
	ACCOUNT #: 00086854812	BUY 8 Units @10.7100						
01/16/2018	***-**-88SI - CROSSMAN, ROBERT	AMERICAN HIGH-INCOME TRUST-A	37.50	0.75	0.00	0.75	80.0	0.60
	ACCOUNT #: 00086854812	BUY 4 Units @10.7100						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/16/2018	***-**-88SI - CROSSMAN, ROBERT	AMERICAN MUTUAL FUND-A	175.00	3.50	0.00	3.50	80.0	2.80
	ACCOUNT #: 00086854812	BUY 4 Units @43.0400						
01/16/2018	***-**-88SI - CROSSMAN, ROBERT	AMERICAN MUTUAL FUND-A	75.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00086854812	BUY 2 Units @43.0400						
01/16/2018	***-**-761I - HUSTEK, PETER	AMERICAN MUTUAL FUND-A	32.03	0.64	0.00	0.64	80.0	0.51
	ACCOUNT #: 00087410644	BUY 1 Units @43.0400						
01/16/2018	***-**-761I - HUSTEK, PETER	AMERICAN MUTUAL FUND-A	32.03	0.64	0.00	0.64	80.0	0.51
	ACCOUNT #: 00087410644	BUY 1 Units @43.0400						
01/16/2018	***-**-88SI - CROSSMAN, ROBERT	CAPITAL INCOME BUILDER-A	87.50	1.75	0.00	1.75	80.0	1.40
	ACCOUNT #: 00086854812	BUY 1 Units @65.5700						
01/16/2018	***-**-88SI - CROSSMAN, ROBERT	CAPITAL INCOME BUILDER-A	37.50	0.75	0.00	0.75	80.0	0.60
	ACCOUNT #: 00086854812	BUY 1 Units @65.5700						
01/16/2018	***-**-985P - PAPST, MEREDITH	CAPITAL WORLD GROWTH AND INCOME FUN	125.00	3.44	0.00	3.44	80.0	2.75
	ACCOUNT #: 00067807144	BUY 2 Units @55.0300						
01/16/2018	***-**-761I - HUSTEK, PETER	EUROPACIFIC GROWTH FUND-A	32.03	0.64	0.00	0.64	80.0	0.51
	ACCOUNT #: 00087410644	BUY 1 Units @60.0500						
01/16/2018	***-**-761I - HUSTEK, PETER	EUROPACIFIC GROWTH FUND-A	32.03	0.64	0.00	0.64	80.0	0.51
	ACCOUNT #: 00087410644	BUY 1 Units @60.0500						
01/12/2018	***-**-875P - SHIMUNOV, ILICH	U.S. GOVERNMENT SECURITIES FUND CLA	30.00	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00081805810	BUY 2 Units @13.8600						
01/12/2018	***-**-875P - SHIMUNOV, ILICH	U.S. GOVERNMENT SECURITIES FUND CLA	30.00	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00081805810	BUY 2 Units @13.8600						
01/19/2018	***-**-875P - SHIMUNOV, ILICH	U.S. GOVERNMENT SECURITIES FUND CLA	30.00	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00081805810	BUY 2 Units @13.8100						
01/19/2018	***-**-875P - SHIMUNOV, ILICH	U.S. GOVERNMENT SECURITIES FUND CLA	30.00	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00081805810	BUY 2 Units @13.8100						
01/16/2018	***-**-985P - PAPST, MEREDITH	WASHINGTON MUTUAL INVESTORS FUND-A	150.00	4.13	0.00	4.13	80.0	3.30
	ACCOUNT #: 00067807144	BUY 3 Units @49.0200						
* MUTUAL FUNDS SUBTOTAL *			\$13,196.82	\$245.69	\$18.00	\$227.69		\$182.11



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: 529 PLAN</u>								
01/19/2018	***-**-963I - MORRO, JAMES	LIVEWELL MUTUAL FUND	0.00	64.43	0.00	64.43	80.0	51.54
	ACCOUNT #: 7200018502	BUY 0 Units @0.0000						
01/19/2018	***-**-176I - RIOS, CARLOS	LIVEWELL MUTUAL FUND	0.00	14.09	0.00	14.09	80.0	11.27
	ACCOUNT #: 7200020442	BUY 0 Units @0.0000						
01/19/2018	***-**-358I - KALLIPOLITES,	LIVEWELL MUTUAL FUND	0.00	46.56	0.00	46.56	80.0	37.25
	ACCOUNT #: 7200022756	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$0.00	\$125.08	\$0.00	\$125.08		\$100.06
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/02/2018	***-**-601J - RAAD, PAMELA	37252M108	0.00	0.67	0.00	0.67	80.0	0.54
	ACCOUNT #: 00431526031	BUY 0 Units @0.0000						
01/16/2018	***-**-90IN - GAW, PATRICIA	AIM CHARTER FUND - CLASS A	0.00	3.17	0.00	3.17	80.0	2.54
	ACCOUNT #: LSR011025	BUY 1 Units @0.0000						
01/22/2018	***-**-968X - GAW, LELAND	AMCAP FUND-A	0.00	6.54	0.00	6.54	80.0	5.23
	ACCOUNT #: LSR010777	BUY 1 Units @0.0000						
01/22/2018	***-**-552X - FAMIGLIETTI,	AMCAP FUND-A	0.00	2.99	0.00	2.99	80.0	2.39
	ACCOUNT #: LSR010780	BUY 1 Units @0.0000						
01/22/2018	***-**-593X - WOODY, ROBERT	AMERICAN 2020 TARGET DATE RETIREMNT	0.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: LSR010802	BUY 1 Units @0.0000						
01/22/2018	***-**-404X - SCHROETER, LAURA	AMERICAN 2025 TARGET DATE RETIREMNT	0.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: LSR010799	BUY 1 Units @0.0000						
01/22/2018	***-**-325X - WARD, JAMES	AMERICAN 2035 TARGET DATE RETIREMNT	0.00	1.49	0.00	1.49	80.0	1.19
	ACCOUNT #: LSR010789	BUY 1 Units @0.0000						
01/22/2018	***-**-007X - MONACO, CARMINE	AMERICAN 2035 TARGET DATE RETIREMNT	0.00	22.15	0.00	22.15	80.0	17.72
	ACCOUNT #: LSR010800	BUY 1 Units @0.0000						
01/22/2018	***-**-032X - MONACO, SARAH	AMERICAN 2035 TARGET DATE RETIREMNT	0.00	18.40	0.00	18.40	80.0	14.72
	ACCOUNT #: LSR010801	BUY 1 Units @0.0000						
01/22/2018	***-**-310X - HARDWICK, TODD	AMERICAN 2035 TARGET DATE RETIREMNT	0.00	0.94	0.00	0.94	80.0	0.75
	ACCOUNT #: LSR011310	BUY 1 Units @0.0000						
01/22/2018	***-**-968X - GAW, LELAND	AMERICAN FUNDS 2030 TARGET DATE-C	0.00	31.13	0.00	31.13	80.0	24.90
	ACCOUNT #: LSR010777	BUY 1 Units @0.0000						
01/22/2018	***-**-552X - FAMIGLIETTI,	AMERICAN FUNDS 2030 TARGET DATE-C	0.00	20.20	0.00	20.20	80.0	16.16
	ACCOUNT #: LSR010780	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-558X - FAMIGLIETTI, ACCOUNT #: LSR010788	AMERICAN FUNDS 2030 TARGET DATE-C BUY 1 Units @0.0000	0.00	2.20	0.00	2.20	80.0	1.76
01/22/2018	***-**-990I - GAW, PATRICIA ACCOUNT #: LSR010840	AMERICAN FUNDS 2030 TARGET DATE-C BUY 1 Units @0.0000	0.00	16.71	0.00	16.71	80.0	13.37
01/22/2018	***-**-90IN - GAW, PATRICIA ACCOUNT #: LSR011025	AMERICAN FUNDS 2030 TARGET DATE-C BUY 1 Units @0.0000	0.00	14.64	0.00	14.64	80.0	11.71
01/22/2018	***-**-796O - CARVAJAL, JUDITH ACCOUNT #: LSR011337	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	80.0	1.24
01/22/2018	***-**-968I - GAW, LELAND ACCOUNT #: LSR011682	AMERICAN FUNDS INCOME PORT CL A BUY 1 Units @0.0000	0.00	41.91	0.00	41.91	80.0	33.53
01/22/2018	***-**-968X - GAW, LELAND ACCOUNT #: LSR010777	AMERICAN MUTUAL FUND-A BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	80.0	0.99
01/22/2018	***-**-552X - FAMIGLIETTI, ACCOUNT #: LSR010780	AMERICAN MUTUAL FUND-A BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	80.0	0.86
01/22/2018	***-**-968X - GAW, LELAND ACCOUNT #: LSR010777	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	1.01	0.00	1.01	80.0	0.81
01/22/2018	***-**-552X - FAMIGLIETTI, ACCOUNT #: LSR010780	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	80.0	0.69
01/22/2018	***-**-968X - GAW, LELAND ACCOUNT #: LSR010777	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	5.19	0.00	5.19	80.0	4.15
01/22/2018	***-**-552X - FAMIGLIETTI, ACCOUNT #: LSR010780	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	2.41	0.00	2.41	80.0	1.93
01/22/2018	***-**-6967 - MEDER, BARBARA	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	5.54	0.00	5.54	80.0	4.43
01/16/2018	***-**-90IN - GAW, PATRICIA ACCOUNT #: LSR011025	INVESCO AMERICAN FRANCHISE FUND -CL BUY 1 Units @0.0000	0.00	8.21	0.00	8.21	80.0	6.57
01/16/2018	***-**-90IN - GAW, PATRICIA ACCOUNT #: LSR011025	INVESCO VAN KAMPEN VALUE OPP CLASS BUY 1 Units @0.0000	0.00	3.32	0.00	3.32	80.0	2.66
01/16/2018	***-**-552I - FAMIGLIETTI, ACCOUNT #: LSR011127	IVY BOND FUND CLASS A BUY 1 Units @0.0000	0.00	7.74	0.00	7.74	80.0	6.19
01/16/2018	***-**-552X - FAMIGLIETTI, ACCOUNT #: LSR010780	IVY DIVIDEND OPPORTUNITIES CL A BUY 1 Units @0.0000	0.00	20.00	0.00	20.00	80.0	16.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/16/2018	***-**-552I - FAMIGLIETTI, ACCOUNT #: LSR011127	IVY DIVIDEND OPPORTUNITIES CL A BUY 1 Units @0.0000	0.00	16.43	0.00	16.43	80.0	13.14
01/22/2018	***-**-968X - GAW, LELAND ACCOUNT #: LSR010777	MASSACHUSETTS INVESTORS TRUST-A BUY 1 Units @0.0000	0.00	6.70	0.00	6.70	80.0	5.36
01/22/2018	***-**-552I - FAMIGLIETTI, ACCOUNT #: LSR011127	MASSACHUSETTS INVESTORS TRUST-A BUY 1 Units @0.0000	0.00	6.65	0.00	6.65	80.0	5.32
01/22/2018	***-**-968X - GAW, LELAND ACCOUNT #: LSR010777	MFS LIMITED MATURITY FUND-A BUY 1 Units @0.0000	0.00	1.70	0.00	1.70	80.0	1.36
01/22/2018	***-**-552I - FAMIGLIETTI, ACCOUNT #: LSR011127	MFS RESEARCH BOND FUND CLASS A BUY 1 Units @0.0000	0.00	1.53	0.00	1.53	80.0	1.22
01/22/2018	***-**-968X - GAW, LELAND ACCOUNT #: LSR010777	MFS STRATEGIC INCOME FUND-A BUY 1 Units @0.0000	0.00	4.73	0.00	4.73	80.0	3.78
01/22/2018	***-**-552X - FAMIGLIETTI, ACCOUNT #: LSR010780	MFS STRATEGIC INCOME FUND-A BUY 1 Units @0.0000	0.00	5.19	0.00	5.19	80.0	4.15
01/22/2018	***-**-968X - GAW, LELAND ACCOUNT #: LSR010777	NEW PERSPECTIVE FUND-A BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	80.0	0.98
01/22/2018	***-**-552X - FAMIGLIETTI, ACCOUNT #: LSR010780	NEW PERSPECTIVE FUND-A BUY 1 Units @0.0000	0.00	1.05	0.00	1.05	80.0	0.84
01/02/2018	***-**-24IN - INS, CHITTENDEN ACCOUNT #: 00312906459	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	17.01	0.00	17.01	80.0	13.61
01/02/2018	***-**-601J - RAAD, PAMELA ACCOUNT #: 00431526031	PUTNAM GLOBAL EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	0.28	0.00	0.28	80.0	0.22
01/02/2018	***-**-601J - RAAD, PAMELA ACCOUNT #: 00431526031	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	80.0	0.24
01/02/2018	***-**-601J - RAAD, PAMELA ACCOUNT #: 00431526031	PUTNAM RESEARCH FUND-A BUY 0 Units @0.0000	0.00	0.79	0.00	0.79	80.0	0.63
01/02/2018	***-**-601J - RAAD, PAMELA ACCOUNT #: 00431526031	PUTNAM U.S. GOVT INCOME TR-A BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	80.0	0.24
01/22/2018	***-**-657Q - EDWARD SEGAL ACCOUNT #: 00670223965	QUALIFIED PLAN SUMMARY BUY 0 Units @0.0000	0.00	345.20	0.00	345.20	80.0	276.14
01/22/2018	***-**-968X - GAW, LELAND ACCOUNT #: LSR010777	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	80.0	0.86



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-552X - FAMIGLIETTI, ACCOUNT #: LSR010780	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	80.0	0.74
01/22/2018	***-**-968X - GAW, LELAND ACCOUNT #: LSR010777	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @0.0000	0.00	6.47	0.00	6.47	80.0	5.18
01/22/2018	***-**-552X - FAMIGLIETTI, ACCOUNT #: LSR010780	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @0.0000	0.00	2.95	0.00	2.95	80.0	2.36
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$662.59	\$0.00	\$662.59		\$530.04
*** BROKER TRANSACTIONS TOTAL ***			\$13,196.82	\$1,033.36	\$18.00	\$1,015.36		\$812.21

BROKER COMMISSION TOTALS

Broker Transactions	\$545.11
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	\$812.21
Year-to-date Earnings	\$9,829.91