

COMMISSION STATEMENT

June 09, 2017

JANICE GINSBURG
100 AQUEDUCT DRIVE

BROKER #: 35
BRANCH: HOME OFFICE

NORTH WALES, PA 19454

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
05/10/2017	75501483 SPILLER, HELEN	**GUGGENHEIM FDS TR	S	500.00	0.00	0.00	0.00	50.0	0.00
05/10/2017	75501483 SPILLER, HELEN	PUTNAM 746745108	S	600.00	0.00	0.00	0.00	50.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$1,100.00	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>									
05/03/2017	75501654 KINSLEY, GEORGE	COMCAST CORP CL A	B	3,819.66	93.24	0.00	93.24	50.0	0.00
05/04/2017	75501739 STAUFFER, JUDITH	COMMSCOPE HOLDING COMPANY INC COM	B	6,902.90	0.00	0.00	0.00	50.0	0.00
05/22/2017	75501739 STAUFFER, JUDITH	BLACKSTONE GROUP L P (THE) COMMON U S		7,850.85	0.00	0.00	0.00	50.0	0.00
05/15/2017	75502086 TREICHLER, CHARLES	TESLA MOTORS INC	B	29,972.49	94.50	0.00	94.50	50.0	0.00
* STOCKS SUBTOTAL *				\$48,545.90	\$187.74	\$0.00	\$187.74		\$0.00
<u>PRODUCT CATEGORY: RIA</u>									
05/15/2017	75501739 STAUFFER, JUDITH	FAS FEES	B	0.00	277.58	0.00	277.58	50.0	138.79
05/15/2017	75501739 STAUFFER, JUDITH	FAS FEES	B	0.00	-277.58	0.00	-277.58	50.0	-138.79
05/15/2017	75501744 STAUFFER, ROBERT	FAS FEES	B	0.00	480.96	0.00	480.96	50.0	240.48
05/15/2017	75501744 STAUFFER, ROBERT	FAS FEES	B	0.00	-480.96	0.00	-480.96	50.0	-240.48
05/15/2017	75501751 STAUFFER, ROBERT	FAS FEES	B	0.00	-101.78	0.00	-101.78	50.0	-50.89
05/15/2017	75501751 STAUFFER, ROBERT	FAS FEES	B	0.00	101.78	0.00	101.78	50.0	50.89
05/15/2017	75501824 ALANCRAIG, DIANE	FAS FEES	B	0.00	189.67	0.00	189.67	50.0	94.84
05/15/2017	75501824 ALANCRAIG, DIANE	FAS FEES	B	0.00	-189.67	0.00	-189.67	50.0	-94.84
05/15/2017	75501828 ALANCRAIG, DIANE	FAS FEES	B	0.00	-89.98	0.00	-89.98	50.0	-44.99
05/15/2017	75501828 ALANCRAIG, DIANE	FAS FEES	B	0.00	89.98	0.00	89.98	50.0	44.99
05/15/2017	75501829 SEPTIEN, ALFREDO	FAS FEES	B	0.00	-78.85	0.00	-78.85	50.0	-39.43
05/15/2017	75501829 SEPTIEN, ALFREDO	FAS FEES	B	0.00	78.85	0.00	78.85	50.0	39.43
05/15/2017	75501830 SEPTIEN, ALFREDO	FAS FEES	B	0.00	150.22	0.00	150.22	50.0	75.11
05/15/2017	75501830 SEPTIEN, ALFREDO	FAS FEES	B	0.00	-150.22	0.00	-150.22	50.0	-75.11
05/15/2017	75501832 WEXLER, SHEILA	FAS FEES	B	0.00	-185.42	0.00	-185.42	50.0	-92.71
05/15/2017	75501832 WEXLER, SHEILA	FAS FEES	B	0.00	185.42	0.00	185.42	50.0	92.71
05/15/2017	75501833 GIRGENTI, V JAMES	FAS FEES	B	0.00	512.02	0.00	512.02	50.0	256.01
05/15/2017	75501833 GIRGENTI, V JAMES	FAS FEES	B	0.00	-512.02	0.00	-512.02	50.0	-256.01
05/15/2017	75501834 BUGANSKI, TERRI	FAS FEES	B	0.00	379.38	0.00	379.38	50.0	189.69
05/15/2017	75501834 BUGANSKI, TERRI	FAS FEES	B	0.00	-379.38	0.00	-379.38	50.0	-189.69

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: RIA										
05/11/2017	75501835	BUGANSKI, TERRI	FAS FEES	B	0.00	47.13	0.00	47.13	50.0	23.57
05/11/2017	75501835	BUGANSKI, TERRI	FAS FEES	B	0.00	-47.13	0.00	-47.13	50.0	-23.57
05/15/2017	75501836	FARKAS, RONALD	FAS FEES	B	0.00	-309.49	0.00	-309.49	50.0	-154.75
05/15/2017	75501836	FARKAS, RONALD	FAS FEES	B	0.00	309.49	0.00	309.49	50.0	154.75
05/11/2017	75501837	FARKAS, MARILYN	FAS FEES	B	0.00	683.41	0.00	683.41	50.0	341.71
05/11/2017	75501837	FARKAS, MARILYN	FAS FEES	B	0.00	-683.41	0.00	-683.41	50.0	-341.71
05/15/2017	75501868	ZEGEN, LOUIS	FAS FEES	B	0.00	-607.90	0.00	-607.90	50.0	-303.95
05/15/2017	75501868	ZEGEN, LOUIS	FAS FEES	B	0.00	607.90	0.00	607.90	50.0	303.95
05/15/2017	75501869	ZEGEN, LOUIS	FAS FEES	B	0.00	-118.23	0.00	-118.23	50.0	-59.12
05/15/2017	75501869	ZEGEN, LOUIS	FAS FEES	B	0.00	118.23	0.00	118.23	50.0	59.12
05/15/2017	75501879	LIBOVE, MICHAEL	FAS FEES	B	0.00	627.50	0.00	627.50	50.0	313.75
05/15/2017	75501879	LIBOVE, MICHAEL	FAS FEES	B	0.00	-627.50	0.00	-627.50	50.0	-313.75
* RIA SUBTOTAL *					\$0.00	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

05/09/2017	75501483	SPILLER, HELEN	**GUGGENHEIM FDS TR	B	0.00	2.43	0.00	2.43	50.0	1.22
05/09/2017	75501483	SPILLER, HELEN	AMERICAN BALANCED FUND-A	B	0.00	3.35	0.00	3.35	50.0	1.68
05/09/2017	75501483	SPILLER, HELEN	BOND-DEBENTURE FUND CLASS A	B	0.00	1.07	0.00	1.07	50.0	0.54
05/09/2017	75501483	SPILLER, HELEN	PUTNAM 746745108	B	0.00	0.61	0.00	0.61	50.0	0.00
05/09/2017	75501483	SPILLER, HELEN	THE INCOME FUND OF AMERICA-A	B	0.00	3.95	0.00	3.95	50.0	1.98
05/09/2017	75501504	LERNER, JOAN	U.S. GOVERNMENT SECURITIES FUND CLA B	B	0.00	2.25	0.00	2.25	50.0	1.13
05/09/2017	75501505	LERNER, JOAN	AMERICAN HIGH-INCOME TRUST-A	B	0.00	3.91	0.00	3.91	50.0	1.96
05/09/2017	75501505	LERNER, JOAN	CAPITAL INCOME BUILDER-A	B	0.00	0.66	0.00	0.66	50.0	0.00
05/09/2017	75501505	LERNER, JOAN	CAPITAL WORLD BOND FUND-A	B	0.00	1.72	0.00	1.72	50.0	0.86
05/09/2017	75501505	LERNER, JOAN	THE BOND FUND OF AMERICA-A	B	0.00	4.13	0.00	4.13	50.0	2.07
05/09/2017	75501621	WEXLER, SHEILA	EATON VANCE TAX- MANAGED EQUITY ASS B	B	0.00	12.51	0.00	12.51	50.0	6.26
05/09/2017	75501621	WEXLER, SHEILA	THE HARTFORD CAPITAL APPRECIATION F B	B	0.00	1.94	0.00	1.94	50.0	0.97
05/09/2017	75501621	WEXLER, SHEILA	THE HARTFORD MID CAP FUND-A	B	0.00	2.94	0.00	2.94	50.0	1.47
05/09/2017	75501622	ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL	B	0.00	11.33	0.00	11.33	50.0	5.67
05/09/2017	75501622	ABEL, STACEY	DAVIS NEW YORK VENTURE CLASS A	B	0.00	2.73	0.00	2.73	50.0	1.37
05/09/2017	75501622	ABEL, STACEY	MFS GLOBAL EQUITY FUND-A	B	0.00	1.90	0.00	1.90	50.0	0.95
05/09/2017	75501622	ABEL, STACEY	SHORT-TERM BOND FUND OF AMERICA - A B	B	0.00	0.49	0.00	0.49	50.0	0.00
05/09/2017	75501622	ABEL, STACEY	THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	4.92	0.00	4.92	50.0	2.46
05/09/2017	75501624	ALANCRAIG, SUSAN	**GABELLI SRI FUND	B	0.00	10.60	0.00	10.60	50.0	5.30
05/15/2017	75501624	ALANCRAIG, SUSAN	CALVERT EQUITY PORTFOLIO CL C	B	0.00	11.54	0.00	11.54	50.0	5.77
05/09/2017	75501626	URQUHART, THOMAS	THE GROWTH FUND OF AMERICA-A	B	0.00	5.30	0.00	5.30	50.0	2.65
05/09/2017	75501627	LEE, T ORIN	**AMG MANAGERS CADENCE MID CAP	B	0.00	0.98	0.00	0.98	50.0	0.00
05/26/2017	75501627	LEE, T ORIN	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.94	0.00	0.94	50.0	0.00
05/09/2017	75501628	MODES, VINCENT	ALL VALUE FUND CLASS A	B	0.00	5.15	0.00	5.15	50.0	2.58
05/09/2017	75501628	MODES, VINCENT	CAPITAL INCOME BUILDER-A	B	0.00	10.15	0.00	10.15	50.0	5.08

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
05/09/2017	75501628	MODES, VINCENT		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	4.46	0.00	4.46	50.0 2.23
05/09/2017	75501628	MODES, VINCENT		LORD ABBETT CALIBRATED DIVIDEND GRO B	0.00	4.25	0.00	4.25	50.0 2.13
05/09/2017	75501628	MODES, VINCENT		LORD ABBETT AFFILIATED FUND CLASS A B	0.00	8.26	0.00	8.26	50.0 4.13
05/09/2017	75501628	MODES, VINCENT		MID-CAP VALUE FUND CLASS A B	0.00	6.35	0.00	6.35	50.0 3.18
05/09/2017	75501628	MODES, VINCENT		NEW PERSPECTIVE FUND-A B	0.00	8.12	0.00	8.12	50.0 4.06
05/09/2017	75501628	MODES, VINCENT		OPPENHEIMERFUNDS 68380G101 B	0.00	2.60	0.00	2.60	50.0 1.30
05/09/2017	75501628	MODES, VINCENT		THE HARTFORD CAPITAL APPRECIATION F B	0.00	8.51	0.00	8.51	50.0 4.26
05/09/2017	75501628	MODES, VINCENT		THE INVESTMENT COMPANY OF AMERICA-A B	0.00	4.21	0.00	4.21	50.0 2.11
05/09/2017	75501629	INOVATIVE INC		EATON VANCE MUT FDS TR FLTG RATE AD B	0.00	10.02	0.00	10.02	50.0 5.01
05/09/2017	75501629	INOVATIVE INC		HARTFORD FLOATING RATE FUND CLASS C B	0.00	12.89	0.00	12.89	50.0 6.45
05/09/2017	75501631	MODES, LOIS		LORD ABBETT RESEARCH FUND INC-SMALL B	0.00	5.25	0.00	5.25	50.0 2.63
05/09/2017	75501631	MODES, LOIS		LORD ABBETT CALIBRATED DIVIDEND GRO B	0.00	5.50	0.00	5.50	50.0 2.75
05/09/2017	75501631	MODES, LOIS		LORD ABBETT AFFILIATED FUND CLASS A B	0.00	4.87	0.00	4.87	50.0 2.44
05/09/2017	75501631	MODES, LOIS		MID-CAP VALUE FUND CLASS A B	0.00	5.68	0.00	5.68	50.0 2.84
05/09/2017	75501631	MODES, LOIS		NEW PERSPECTIVE FUND-A B	0.00	5.91	0.00	5.91	50.0 2.96
05/09/2017	75501631	MODES, LOIS		THE HARTFORD MID CAP FUND-A B	0.00	6.05	0.00	6.05	50.0 3.03
05/09/2017	75501632	NESHAMINY VALLEY		HARTFORD FLOATING RATE FUND CLASS C B	0.00	5.31	0.00	5.31	50.0 2.66
05/09/2017	75501633	MODES, VINCENT		**HENDERSON GLOBAL FDS B	0.00	9.00	0.00	9.00	50.0 4.50
05/09/2017	75501633	MODES, VINCENT		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	15.32	0.00	15.32	50.0 7.66
05/09/2017	75501633	MODES, VINCENT		EATON VANCE TAX MANAGED VALUE FD CL B	0.00	6.07	0.00	6.07	50.0 3.04
05/09/2017	75501633	MODES, VINCENT		EHV 277911830 B	0.00	13.62	0.00	13.62	50.0 6.81
05/09/2017	75501633	MODES, VINCENT		HARTFORD ADVISERS FUND CLASS A B	0.00	2.04	0.00	2.04	50.0 1.02
05/09/2017	75501633	MODES, VINCENT		OPPENHEIMERFUNDS 68380G101 B	0.00	9.82	0.00	9.82	50.0 4.91
05/09/2017	75501633	MODES, VINCENT		THE GROWTH FUND OF AMERICA-A B	0.00	7.12	0.00	7.12	50.0 3.56
05/09/2017	75501634	CROPANESE, CAROL		**PRUDENTIAL JENNISON NATURAL B	0.00	10.43	0.00	10.43	50.0 5.22
05/09/2017	75501634	CROPANESE, CAROL		HARTFORD MUTUAL FUNDS INC DIVIDEND B	0.00	11.90	0.00	11.90	50.0 5.95
05/09/2017	75501634	CROPANESE, CAROL		QUEST OPPORTUNITY VALUE A B	0.00	0.20	0.00	0.20	50.0 0.00
05/09/2017	75501634	CROPANESE, CAROL		THE HARTFORD MID CAP FUND-C B	0.00	15.05	0.00	15.05	50.0 7.53
05/09/2017	75501635	CROPANESE, CAROL		BLACKROCK CAP APPRECIATION FD INC C B	0.00	2.37	0.00	2.37	50.0 1.19
05/09/2017	75501635	CROPANESE, CAROL		BLACKROCK GLOBAL ALLOCATION FD INC B	0.00	11.20	0.00	11.20	50.0 5.60
05/09/2017	75501635	CROPANESE, CAROL		EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	7.09	0.00	7.09	50.0 3.55
05/09/2017	75501635	CROPANESE, CAROL		EHV 277911772 B	0.00	1.57	0.00	1.57	50.0 0.79
05/09/2017	75501635	CROPANESE, CAROL		IVY ASSET STRATEGY FD CL C B	0.00	9.65	0.00	9.65	50.0 4.83
05/26/2017	75501635	CROPANESE, CAROL		**VICTORY PORTFOLIOS B	0.00	5.66	0.00	5.66	50.0 2.83
05/09/2017	75501636	URQUHART, THOMAS		FIRST EAGLE GLOBAL FUND CLASS C B	0.00	23.51	0.00	23.51	50.0 11.76
05/09/2017	75501637	ROTHSTEIN, HARRIET		LORD ABBETT SHORT DURATION INCOME F B	0.00	1.82	0.00	1.82	50.0 0.91
05/09/2017	75501637	ROTHSTEIN, HARRIET		SHORT-TERM BOND FUND OF AMERICA - A B	0.00	1.39	0.00	1.39	50.0 0.70
05/09/2017	75501637	ROTHSTEIN, HARRIET		STRATEGIC INCOME A B	0.00	3.31	0.00	3.31	50.0 1.66
05/09/2017	75501638	CROPANESE,		**AMG MANAGERS CADENCE MID CAP B	0.00	3.57	0.00	3.57	50.0 1.79
05/09/2017	75501638	CROPANESE,		**PRUDENTIAL JENNISON NATURAL B	0.00	8.35	0.00	8.35	50.0 4.18

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
05/09/2017	75501638	CROPANESE, EATON VANCE TAX MANAGED GROWTH FUND B		0.00	2.77	0.00	2.77	50.0	1.39
05/09/2017	75501638	CROPANESE, HARTFORD MUTUAL FUNDS INC DIVIDEND B		0.00	8.89	0.00	8.89	50.0	4.45
05/09/2017	75501638	CROPANESE, QUEST OPPORTUNITY VALUE A B		0.00	5.84	0.00	5.84	50.0	2.92
05/09/2017	75501638	CROPANESE, SHORT-TERM BOND FUND OF AMERICA - A B		0.00	1.92	0.00	1.92	50.0	0.96
05/09/2017	75501638	CROPANESE, THE HARTFORD MID CAP FUND-C B		0.00	11.24	0.00	11.24	50.0	5.62
05/09/2017	75501639	CONNOLLY, EDWARD ALLIANCEBERNSTEIN LARGE-CAP GROWTH B		0.00	0.80	0.00	0.80	50.0	0.00
05/09/2017	75501639	CONNOLLY, EDWARD BLACKROCK HEALTH SCIENCES OPPORTUNI B		0.00	4.16	0.00	4.16	50.0	2.08
05/09/2017	75501639	CONNOLLY, EDWARD FIDELITY ADVISOR FUNDS 315918474 B		0.00	3.25	0.00	3.25	50.0	1.63
05/09/2017	75501639	CONNOLLY, EDWARD FIRST EAGLE GLOBAL FUND CLASS C B		0.00	4.52	0.00	4.52	50.0	2.26
05/09/2017	75501639	CONNOLLY, EDWARD HARTFORD ADVISERS FUND CLASS A B		0.00	1.38	0.00	1.38	50.0	0.69
05/09/2017	75501639	CONNOLLY, EDWARD THE HARTFORD DIVIDEND & GROWTH FUND B		0.00	0.80	0.00	0.80	50.0	0.00
05/09/2017	75501640	ROTHSTEIN, JOEL FUNDAMENTAL INVESTORS-A B		0.00	4.13	0.00	4.13	50.0	2.07
05/09/2017	75501640	ROTHSTEIN, JOEL THE INVESTMENT COMPANY OF AMERICA-A B		0.00	3.78	0.00	3.78	50.0	1.89
05/09/2017	75501640	ROTHSTEIN, JOEL WASHINGTON MUTUAL INVESTORS FUND-A B		0.00	5.50	0.00	5.50	50.0	2.75
05/09/2017	75501643	CONNOLLY, MARCELLA ALLIANZ NFJ DIVIDEND VALUE FUND CLA B		0.00	1.46	0.00	1.46	50.0	0.73
05/09/2017	75501643	CONNOLLY, MARCELLA FUNDAMENTAL INVESTORS-A B		0.00	1.77	0.00	1.77	50.0	0.89
05/09/2017	75501643	CONNOLLY, MARCELLA THE HARTFORD MID CAP FUND-A B		0.00	1.99	0.00	1.99	50.0	1.00
05/09/2017	75501643	CONNOLLY, MARCELLA THE INVESTMENT COMPANY OF AMERICA-A B		0.00	2.24	0.00	2.24	50.0	1.12
05/09/2017	75501645	CONNOLLY, MARCELLA AMERICAN MUTUAL FUND-A B		0.00	10.04	0.00	10.04	50.0	5.02
05/09/2017	75501645	CONNOLLY, MARCELLA FUNDAMENTAL INVESTORS-A B		0.00	0.96	0.00	0.96	50.0	0.00
05/09/2017	75501645	CONNOLLY, MARCELLA QUEST OPPORTUNITY VALUE A B		0.00	1.03	0.00	1.03	50.0	0.52
05/09/2017	75501646	DLUGOSZ, PATRICIA THE HARTFORD DIVIDEND & GROWTH FUND B		0.00	2.26	0.00	2.26	50.0	1.13
05/09/2017	75501648	GINSBURG, JANICE EATON VANCE LARGE CAP VALUE FUND CL B		0.00	0.27	0.00	0.27	50.0	0.00
05/09/2017	75501648	GINSBURG, JANICE EATON VANCE UTILITIES FUND CLASS A B		0.00	2.10	0.00	2.10	50.0	1.05
05/09/2017	75501650	MODES, VINCENT CAPITAL INCOME BUILDER-A B		0.00	12.06	0.00	12.06	50.0	6.03
05/09/2017	75501650	MODES, VINCENT DAVIS NEW YORK VENTURE CLASS C B		0.00	15.18	0.00	15.18	50.0	7.59
05/09/2017	75501650	MODES, VINCENT LORD ABBETT RESEARCH FUND INC-SMALL B		0.00	6.99	0.00	6.99	50.0	3.50
05/09/2017	75501650	MODES, VINCENT LORD ABBETT CALIBRATED DIVIDEND GRO B		0.00	12.98	0.00	12.98	50.0	6.49
05/09/2017	75501650	MODES, VINCENT LORD ABBETT MULTI ASSET BALANCED OP B		0.00	15.43	0.00	15.43	50.0	7.72
05/09/2017	75501650	MODES, VINCENT LORD ABBETT AFFILIATED FUND CLASS A B		0.00	8.28	0.00	8.28	50.0	4.14
05/09/2017	75501650	MODES, VINCENT NEW PERSPECTIVE FUND-A B		0.00	3.48	0.00	3.48	50.0	1.74
05/09/2017	75501650	MODES, VINCENT OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	1.05	0.00	1.05	50.0	0.53
05/09/2017	75501650	MODES, VINCENT QUEST VALUE A B		0.00	2.46	0.00	2.46	50.0	1.23
05/09/2017	75501650	MODES, VINCENT THE INVESTMENT COMPANY OF AMERICA-A B		0.00	4.21	0.00	4.21	50.0	2.11
05/09/2017	75501652	DLUGOSZ, JOHN ALLIANZ NFJ DIVIDEND VALUE FUND CLA B		0.00	2.73	0.00	2.73	50.0	1.37
05/09/2017	75501652	DLUGOSZ, JOHN AMERICAN MUTUAL FUND-A B		0.00	13.58	0.00	13.58	50.0	6.79
05/09/2017	75501652	DLUGOSZ, JOHN CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	7.43	0.00	7.43	50.0	3.72
05/09/2017	75501652	DLUGOSZ, JOHN EATON VANCE GLOBAL MACRO ABSOLUTE R B		0.00	17.93	0.00	17.93	50.0	8.97
05/09/2017	75501652	DLUGOSZ, JOHN GLOBAL FUND A B		0.00	1.86	0.00	1.86	50.0	0.93
05/09/2017	75501652	DLUGOSZ, JOHN NEW WORLD FUND-A B		0.00	2.59	0.00	2.59	50.0	1.30

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
05/09/2017	75501652	DLUGOSZ, JOHN		THE GROWTH FUND OF AMERICA-A	B	0.00	1.96	0.00	1.96 50.0 0.98
05/09/2017	75501652	DLUGOSZ, JOHN		THE HARTFORD CAPITAL APPRECIATION F B		0.00	3.61	0.00	3.61 50.0 1.81
05/09/2017	75501652	DLUGOSZ, JOHN		THE HARTFORD MID CAP FUND-A	B	0.00	3.45	0.00	3.45 50.0 1.73
05/09/2017	75501657	DLUGOSZ, JOHN		AMERICAN HIGH-INCOME TRUST-A	B	0.00	2.61	0.00	2.61 50.0 1.31
05/09/2017	75501657	DLUGOSZ, JOHN		EATON VANCE TAX- MANAGED EQUITY ASS B		0.00	7.97	0.00	7.97 50.0 3.99
05/09/2017	75501657	DLUGOSZ, JOHN		EHV 277902813	B	0.00	1.69	0.00	1.69 50.0 0.85
05/09/2017	75501657	DLUGOSZ, JOHN		MAINSTAY HIGH-YIELD CORPORATE BOND B		0.00	2.73	0.00	2.73 50.0 1.37
05/09/2017	75501658	TANNENBAUM, ARLENE		BLACKROCK GLOBAL ALLOCATION FD INC B		0.00	14.19	0.00	14.19 50.0 7.10
05/09/2017	75501658	TANNENBAUM, ARLENE		EATON VANCE LARGE CAP VALUE FUND CL B		0.00	1.34	0.00	1.34 50.0 0.67
05/09/2017	75501658	TANNENBAUM, ARLENE		FUNDAMENTAL INVESTORS-A	B	0.00	3.16	0.00	3.16 50.0 1.58
05/09/2017	75501658	TANNENBAUM, ARLENE		IVY ASSET STRATEGY FD CL C	B	0.00	12.87	0.00	12.87 50.0 6.44
05/09/2017	75501658	TANNENBAUM, ARLENE		OPPENHEIMER GLOBAL CLASS C	B	0.00	19.01	0.00	19.01 50.0 9.51
05/09/2017	75501660	ABEL, STACEY		**PRUDENTIAL JENNISON 20/20	B	0.00	12.59	0.00	12.59 50.0 6.30
05/09/2017	75501660	ABEL, STACEY		**PRUDENTIAL JENNISON NATURAL	B	0.00	6.41	0.00	6.41 50.0 3.21
05/09/2017	75501660	ABEL, STACEY		**PRUDENTIAL NATIONAL MUNI	B	0.00	9.93	0.00	9.93 50.0 4.97
05/09/2017	75501660	ABEL, STACEY		COLUMBIA SELIGMAN COMMUNICATIONS AN B		0.00	2.80	0.00	2.80 50.0 1.40
05/09/2017	75501660	ABEL, STACEY		EATON VANCE LARGE CAP VALUE FUND CL B		0.00	8.35	0.00	8.35 50.0 4.18
05/09/2017	75501660	ABEL, STACEY		EATON VANCE GLOBAL MACRO ABSOLUTE R B		0.00	10.33	0.00	10.33 50.0 5.17
05/09/2017	75501660	ABEL, STACEY		EHV 277902813	B	0.00	5.73	0.00	5.73 50.0 2.87
05/09/2017	75501660	ABEL, STACEY		EUROPACIFIC GROWTH FUND CLASS F	B	0.00	2.77	0.00	2.77 50.0 1.39
05/09/2017	75501660	ABEL, STACEY		FUNDAMENTAL INVESTORS FUND CLASS F B		0.00	7.44	0.00	7.44 50.0 3.72
05/09/2017	75501660	ABEL, STACEY		IVY ASSET STRATEGY FD CL C	B	0.00	19.17	0.00	19.17 50.0 9.59
05/09/2017	75501660	ABEL, STACEY		OPPENHEIMER SMALL & MID CAP VALUE F B		0.00	3.44	0.00	3.44 50.0 1.72
05/09/2017	75501660	ABEL, STACEY		OPPENHEIMER DEVELOPING MARKETS FUND B		0.00	2.88	0.00	2.88 50.0 1.44
05/09/2017	75501660	ABEL, STACEY		THORNBURG INVT TR INTL VALUE FD CL B		0.00	10.00	0.00	10.00 50.0 5.00
05/26/2017	75501660	ABEL, STACEY		**VICTORY PORTFOLIOS	B	0.00	1.86	0.00	1.86 50.0 0.93
05/09/2017	75501661	ABEL, STACEY		BLACKROCK GLOBAL ALLOCATION FUND IN B		0.00	1.46	0.00	1.46 50.0 0.73
05/09/2017	75501662	LOWENSTEIN, ALLAN		EATON VANCE TAX- MANAGED EQUITY ASS B		0.00	11.66	0.00	11.66 50.0 5.83
05/09/2017	75501662	LOWENSTEIN, ALLAN		LORD ABBETT AFFILIATED FUND CLASS A B		0.00	4.27	0.00	4.27 50.0 2.14
05/09/2017	75501747	STAUFFER, JUDITH		EATON VANCE UTILITIES FUND CLASS A B		0.00	3.93	0.00	3.93 50.0 1.97
05/09/2017	75501748	STAUFFER, JUDITH		MFS INTERNATIONAL VALUE FUND-A	B	0.00	1.06	0.00	1.06 50.0 0.53
05/09/2017	75501750	STAUFFER, ROBERT		MFS INTERNATIONAL VALUE FUND-A	B	0.00	1.25	0.00	1.25 50.0 0.63
05/09/2017	75501812	HALL, RUTH		INTERMEDIATE BOND FUND OF AMERICA-A B		0.00	3.28	0.00	3.28 50.0 1.64
05/09/2017	75501825	SEPTIEN, ALFREDO		**GUGGENHEIM FDS TR	B	0.00	0.69	0.00	0.69 50.0 0.00
05/09/2017	75501825	SEPTIEN, ALFREDO		**PRUDENTIAL JENNISON 20/20	B	0.00	0.80	0.00	0.80 50.0 0.00
05/09/2017	75501825	SEPTIEN, ALFREDO		CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	0.94	0.00	0.94 50.0 0.00
05/09/2017	75501825	SEPTIEN, ALFREDO		CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	0.40	0.00	0.40 50.0 0.00
05/09/2017	75501825	SEPTIEN, ALFREDO		NEW WORLD FUND-A	B	0.00	0.72	0.00	0.72 50.0 0.00
05/09/2017	75501825	SEPTIEN, ALFREDO		NEW WORLD FUND-B	B	0.00	0.30	0.00	0.30 50.0 0.00
05/09/2017	75501836	FARKAS, RONALD		LOOMIS SAYLES GLOBAL BOND FUND RETA B		0.00	3.77	0.00	3.77 50.0 1.89

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
05/09/2017	75501847	GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	0.77	0.00	0.77	50.0	0.00	
05/09/2017	75501847	GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	B	0.00	0.95	0.00	0.95	50.0	0.00
05/09/2017	75501848	JONAS, HILDA	JOHN HANCOCK FDS III JHF III SMALL B	0.00	1.18	0.00	1.18	50.0	0.59	
05/09/2017	75501853	FARKAS, RONALD	BLACKROCK MULTI ST MUN SER TR PA MU B	0.00	2.32	0.00	2.32	50.0	1.16	
05/09/2017	75501868	ZEGEN, LOUIS	AMERICAN MUTUAL FUND-A	B	0.00	27.62	0.00	27.62	50.0	13.81
05/09/2017	75501868	ZEGEN, LOUIS	GLOBAL FUND A	B	0.00	4.36	0.00	4.36	50.0	2.18
05/09/2017	75501868	ZEGEN, LOUIS	THE INCOME FUND OF AMERICA-A	B	0.00	14.31	0.00	14.31	50.0	7.16
05/09/2017	75501896	BLUM, STACEY	THE HARTFORD MID CAP FUND-A	B	0.00	2.35	0.00	2.35	50.0	1.18
05/09/2017	75501897	KULL, MARY	**PRUDENTIAL GLOBAL REAL	B	0.00	1.97	0.00	1.97	50.0	0.99
05/09/2017	75501897	KULL, MARY	**PRUDENTIAL JENNISON NATURAL	B	0.00	1.21	0.00	1.21	50.0	0.61
05/09/2017	75501897	KULL, MARY	**PRUDENTIAL JENNISON HEALTH	B	0.00	4.43	0.00	4.43	50.0	2.22
05/09/2017	75501897	KULL, MARY	**PRUDENTIAL JENNISON UTILITY	B	0.00	5.49	0.00	5.49	50.0	2.75
05/09/2017	75501898	LIBOVE, MICHAEL	FIDELITY ADVISOR SMALL CAP FUND CLA B	0.00	4.65	0.00	4.65	50.0	2.33	
05/09/2017	75501898	LIBOVE, MICHAEL	THE INCOME FUND OF AMERICA-A	B	0.00	0.60	0.00	0.60	50.0	0.00
05/09/2017	75501899	O'NEILL, LINDA	**AMG MANAGERS CADENCE MID CAP	B	0.00	4.67	0.00	4.67	50.0	2.34
05/09/2017	75501899	O'NEILL, LINDA	**PRUDENTIAL JENNISON 20/20	B	0.00	4.10	0.00	4.10	50.0	2.05
05/09/2017	75501899	O'NEILL, LINDA	CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	2.58	0.00	2.58	50.0	1.29	
05/09/2017	75501899	O'NEILL, LINDA	NEW PERSPECTIVE FUND-A	B	0.00	9.83	0.00	9.83	50.0	4.92
05/09/2017	75501899	O'NEILL, LINDA	NEW WORLD FUND-A	B	0.00	2.54	0.00	2.54	50.0	1.27
05/09/2017	75501899	O'NEILL, LINDA	OPPENHEIMER DEVELOPING MARKETS CLAS B	0.00	2.34	0.00	2.34	50.0	1.17	
05/09/2017	75501899	O'NEILL, LINDA	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	2.91	0.00	2.91	50.0	1.46	
05/09/2017	75501902	ARMSTRONG, AMANDA	**HENDERSON INTERNATIONAL	B	0.00	1.04	0.00	1.04	50.0	0.52
05/09/2017	75501902	ARMSTRONG, AMANDA	ALLIANZ NFJ LARGE CAP VALUE FUND CL B	0.00	1.15	0.00	1.15	50.0	0.58	
05/09/2017	75501902	ARMSTRONG, AMANDA	TEMP GLOBAL BOND FND - CL A	B	0.00	1.04	0.00	1.04	50.0	0.52
05/09/2017	75501902	ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A	B	0.00	0.89	0.00	0.89	50.0	0.00
05/09/2017	75501902	ARMSTRONG, AMANDA	THE HARTFORD MID CAP FUND-A	B	0.00	5.43	0.00	5.43	50.0	2.72
05/09/2017	75501902	ARMSTRONG, AMANDA	WASHINGTON MUTUAL INVESTORS FUND-A B	0.00	2.16	0.00	2.16	50.0	1.08	
05/26/2017	75501902	ARMSTRONG, AMANDA	**VICTORY PORTFOLIOS	B	0.00	0.81	0.00	0.81	50.0	0.00
05/09/2017	75501903	ARMSTRONG, AMANDA	**GUGGENHEIM FDS TR	B	0.00	1.54	0.00	1.54	50.0	0.77
05/09/2017	75501903	ARMSTRONG, AMANDA	EUROPACIFIC GROWTH FUND-A	B	0.00	1.32	0.00	1.32	50.0	0.66
05/09/2017	75501903	ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A	B	0.00	1.99	0.00	1.99	50.0	1.00
05/09/2017	75501905	TANCREDI, NICHOLAS	CAPITAL INCOME A	B	0.00	2.12	0.00	2.12	50.0	1.06
05/09/2017	75501905	TANCREDI, NICHOLAS	GLOBAL FUND A	B	0.00	1.38	0.00	1.38	50.0	0.69
05/09/2017	75501905	TANCREDI, NICHOLAS	GLOBAL OPPORTUNITIES A	B	0.00	4.07	0.00	4.07	50.0	2.04
05/09/2017	75501905	TANCREDI, NICHOLAS	LORD ABBETT INVT TR TOTAL RETURN FU B	0.00	0.90	0.00	0.90	50.0	0.00	
05/09/2017	75501905	TANCREDI, NICHOLAS	OPPENHEIMER 68380L100	B	0.00	1.28	0.00	1.28	50.0	0.64
05/09/2017	75501905	TANCREDI, NICHOLAS	OPPENHEIMER DEVELOPING MARKETS CLAS B	0.00	2.32	0.00	2.32	50.0	1.16	
05/09/2017	75501905	TANCREDI, NICHOLAS	THE HARTFORD CAPITAL APPRECIATION F B	0.00	2.38	0.00	2.38	50.0	1.19	
05/09/2017	75501905	TANCREDI, NICHOLAS	THE HARTFORD FLOATING RATE FUND - A B	0.00	1.48	0.00	1.48	50.0	0.74	
05/09/2017	75501965	JACKSON, ROSALYN	**GUGGENHEIM FDS TR	B	0.00	1.95	0.00	1.95	50.0	0.98

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
05/09/2017	75501965	JACKSON, ROSALYN	DAVIS NEW YORK VENTURE CLASS A	B	0.00	1.04	0.00	1.04	50.0	0.52
05/09/2017	75501965	JACKSON, ROSALYN	FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	5.76	0.00	5.76	50.0	2.88
05/09/2017	75501995	SEPTIEN, ALEC	**GUGGENHEIM FDS TR	B	0.00	0.52	0.00	0.52	50.0	0.00
05/09/2017	75501995	SEPTIEN, ALEC	NEW WORLD FUND-A	B	0.00	0.75	0.00	0.75	50.0	0.00
05/09/2017	75502077	GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	7.69	0.00	7.69	50.0	3.85
05/09/2017	75502077	GINSBURG, VIVIAN	EATON VANCE LARGE CAP VALUE FUND CL B		0.00	1.34	0.00	1.34	50.0	0.67
05/09/2017	75502077	GINSBURG, VIVIAN	EATON VANCE NATIONAL MUNICIPAL FUND B		0.00	7.83	0.00	7.83	50.0	3.92
05/09/2017	75502077	GINSBURG, VIVIAN	FRK FL TF INC FND - CL A	B	0.00	3.45	0.00	3.45	50.0	1.73
05/09/2017	75502077	GINSBURG, VIVIAN	HIGH YIELD A	B	0.00	3.21	0.00	3.21	50.0	1.61
05/09/2017	75502077	GINSBURG, VIVIAN	INCOME FUND AMER INC CL F1	B	0.00	9.92	0.00	9.92	50.0	4.96
05/09/2017	75502077	GINSBURG, VIVIAN	MFS HIGH-YIELD OPPORTUNITIES FUND C B		0.00	0.86	0.00	0.86	50.0	0.00
05/09/2017	75502077	GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	B	0.00	2.35	0.00	2.35	50.0	1.18
05/09/2017	75502084	TREICHLER, CHARLES	ALLIANZ NFJ LARGE CAP VALUE FUND CL B		0.00	2.41	0.00	2.41	50.0	1.21
05/09/2017	75502084	TREICHLER, CHARLES	SHORT-TERM BOND FUND OF AMERICA - A B		0.00	0.59	0.00	0.59	50.0	0.00
05/09/2017	75502085	GINSBURG, JANICE	**PRUDENTIAL JENNISON 20/20	B	0.00	1.73	0.00	1.73	50.0	0.87
05/09/2017	75502085	GINSBURG, JANICE	MAINSTAY MAP FUND A	B	0.00	1.67	0.00	1.67	50.0	0.84
05/09/2017	75502085	GINSBURG, JANICE	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	1.00	0.00	1.00	50.0	0.50
05/26/2017	75502085	GINSBURG, JANICE	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.94	0.00	0.94	50.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$1,009.45	\$0.00	\$1,009.45		\$495.62
*** BROKER TRANSACTIONS TOTAL ***					\$49,645.90	\$1,197.19	\$0.00	\$1,197.19		\$495.62

ADJUSTMENTS

06/09/2017		OTHER: OTHER-RBC		0.00	0.00	0.00	0.00		-281.00
06/09/2017		OTHER: OTHER-TOWER BRIDGE		0.00	0.00	0.00	0.00		-159.23
*** ADJUSTMENTS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-440.23</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$495.62
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-440.23
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-1.50
SIPC Assessment	\$-22.45

Check Amount	\$31.44
Year-to-date Earnings	\$6,786.68