



COMMISSION STATEMENT

January 22, 2018

FREDERIC SCARPULLA
400 West Metro Park
Rochester, NY 14623

BROKER #: 417
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 FUNDS</u>								
01/19/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	AMCAP FUND-A BUY 3 Units @33.8700	97.37	1.17	0.00	1.17	80.0	0.94
01/10/2018	***-**-8208 - KARNS, SHANNON ACCOUNT #: 04000591533	AMCAP FUND-C BUY 8 Units @28.7600	225.00	2.25	0.00	2.25	80.0	1.80
01/16/2018	***-**-0006 - FORSYTH, KATHRYN ACCOUNT #: 04000650661	AMCAP FUND-C BUY 2 Units @29.1300	57.69	0.58	0.00	0.58	80.0	0.46
01/12/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 13 Units @27.7400	357.05	3.57	0.00	3.57	80.0	2.86
01/12/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 4 Units @27.7400	103.62	1.04	0.00	1.04	80.0	0.83
01/12/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 11 Units @27.7400	299.40	2.99	0.00	2.99	80.0	2.39
01/12/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 2 Units @27.7400	47.25	0.47	0.00	0.47	80.0	0.38
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 13 Units @27.7400	368.21	3.68	0.00	3.68	80.0	2.94
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 1 Units @27.7400	15.56	0.16	0.00	0.16	80.0	0.13
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 11 Units @27.7400	298.45	2.98	0.00	2.98	80.0	2.38
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 0 Units @27.7400	10.50	0.11	0.00	0.11	80.0	0.09
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 13 Units @27.7400	368.21	3.68	0.00	3.68	80.0	2.94
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 1 Units @27.7400	22.50	0.23	0.00	0.23	80.0	0.18
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 11 Units @27.7400	298.45	2.98	0.00	2.98	80.0	2.38
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 1 Units @27.7400	18.00	0.18	0.00	0.18	80.0	0.14
01/12/2018	***-**-275P - BERMUDEZ, CARLOS ACCOUNT #: 00069016532	AMERICAN BALANCED FUND-A BUY 5 Units @27.7400	125.00	1.25	0.00	1.25	80.0	1.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/12/2018	***-**-275P - BERMUDEZ, CARLOS	AMERICAN BALANCED FUND-A	128.31	1.28	0.00	1.28	80.0	1.02
	ACCOUNT #: 00069016532	BUY 5 Units @27.7400						
01/12/2018	***-**-275P - BERMUDEZ, CARLOS	AMERICAN BALANCED FUND-A	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 00069016532	BUY 4 Units @27.7400						
01/12/2018	***-**-275P - BERMUDEZ, CARLOS	AMERICAN BALANCED FUND-A	91.20	0.91	0.00	0.91	80.0	0.73
	ACCOUNT #: 00069016532	BUY 3 Units @27.7400						
01/12/2018	***-**-8808 - LONDON, JODY	AMERICAN BALANCED FUND-A	36.48	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00083382430	BUY 1 Units @27.7400						
01/12/2018	***-**-8808 - LONDON, JODY	AMERICAN BALANCED FUND-A	36.48	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00083382430	BUY 1 Units @27.7400						
01/12/2018	***-**-8808 - LONDON, JODY	AMERICAN BALANCED FUND-A	30.40	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00083382430	BUY 1 Units @27.7400						
01/12/2018	***-**-8808 - LONDON, JODY	AMERICAN BALANCED FUND-A	30.40	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00083382430	BUY 1 Units @27.7400						
01/12/2018	***-**-3306 - MASTROSIMONE,	AMERICAN BALANCED FUND-A	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00083382475	BUY 2 Units @27.7400						
01/12/2018	***-**-3306 - MASTROSIMONE,	AMERICAN BALANCED FUND-A	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00083382475	BUY 2 Units @27.7400						
01/12/2018	***-**-3306 - MASTROSIMONE,	AMERICAN BALANCED FUND-A	36.00	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00083382475	BUY 1 Units @27.7400						
01/12/2018	***-**-3306 - MASTROSIMONE,	AMERICAN BALANCED FUND-A	36.00	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00083382475	BUY 1 Units @27.7400						
01/12/2018	***-**-3757 - MALONE, KENNETH	AMERICAN BALANCED FUND-A	53.82	0.54	0.00	0.54	80.0	0.43
	ACCOUNT #: 00083474112	BUY 2 Units @27.7400						
01/12/2018	***-**-3757 - MALONE, KENNETH	AMERICAN BALANCED FUND-A	43.29	0.43	0.00	0.43	80.0	0.34
	ACCOUNT #: 00083474112	BUY 2 Units @27.7400						
01/12/2018	***-**-3757 - MALONE, KENNETH	AMERICAN BALANCED FUND-A	30.95	0.31	0.00	0.31	80.0	0.25
	ACCOUNT #: 00083474112	BUY 1 Units @27.7400						
01/12/2018	***-**-3757 - MALONE, KENNETH	AMERICAN BALANCED FUND-A	41.26	0.41	0.00	0.41	80.0	0.33
	ACCOUNT #: 00083474112	BUY 1 Units @27.7400						
01/12/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	67.17	0.67	0.00	0.67	80.0	0.54
	ACCOUNT #: 00087870442	BUY 2 Units @27.7400						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	AMERICAN BALANCED FUND-A BUY 2 Units @27.7400	67.17	0.67	0.00	0.67	80.0	0.54
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	AMERICAN BALANCED FUND-A BUY 3 Units @27.7400	95.75	0.96	0.00	0.96	80.0	0.77
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	AMERICAN BALANCED FUND-A BUY 3 Units @27.7400	95.75	0.96	0.00	0.96	80.0	0.77
01/12/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	AMERICAN BALANCED FUND-A BUY 5 Units @27.7400	150.00	1.50	0.00	1.50	80.0	1.20
01/12/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	AMERICAN BALANCED FUND-A BUY 4 Units @27.7400	98.99	0.99	0.00	0.99	80.0	0.79
01/12/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	AMERICAN BALANCED FUND-A BUY 4 Units @27.7400	120.00	1.20	0.00	1.20	80.0	0.96
01/12/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	AMERICAN BALANCED FUND-A BUY 3 Units @27.7400	82.13	0.82	0.00	0.82	80.0	0.66
01/16/2018	***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	AMERICAN BALANCED FUND-A BUY 1 Units @27.7100	20.00	0.20	0.00	0.20	80.0	0.16
01/16/2018	***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	AMERICAN BALANCED FUND-A BUY 0 Units @27.7100	10.00	0.10	0.00	0.10	80.0	0.08
01/16/2018	***-**-395P - DIVASTA, ANTHONY ACCOUNT #: 00059597416	AMERICAN BALANCED FUND-A BUY 2 Units @29.0200	50.00	1.88	0.00	1.88	80.0	1.50
01/16/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00068454444	AMERICAN BALANCED FUND-A BUY 2 Units @29.1700	50.00	2.13	0.00	2.13	80.0	1.70
01/16/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00068454445	AMERICAN BALANCED FUND-A BUY 2 Units @29.1700	50.00	2.13	0.00	2.13	80.0	1.70
01/08/2018	***-**-7470 - SANFILIPPO, JOHN ACCOUNT #: 04000638933	AMERICAN BALANCED FUND-C BUY 0 Units @27.3700	12.42	0.12	0.00	0.12	80.0	0.10
01/08/2018	***-**-3834 - SWARTWOUT, ACCOUNT #: 00089957234	AMERICAN BALANCED FUND-C BUY 2 Units @27.3700	50.00	0.50	0.00	0.50	80.0	0.40
01/08/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 0 Units @27.3700	3.30	0.03	0.00	0.03	80.0	0.02
01/08/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @27.3700	28.05	0.28	0.00	0.28	80.0	0.22



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/08/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904181	BUY 0 Units @27.3700						
01/08/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	2.14	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @27.3700						
01/08/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	3.58	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @27.3700						
01/08/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00085904210	BUY 1 Units @27.3700						
01/08/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	6.08	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904215	BUY 0 Units @27.3700						
01/08/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00085904215	BUY 1 Units @27.3700						
01/08/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089045192	BUY 1 Units @27.3700						
01/08/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089045192	BUY 1 Units @27.3700						
01/08/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	80.0	0.96
	ACCOUNT #: 00089910177	BUY 4 Units @27.3700						
01/09/2018	***-**-5945 - INFANTINO,	AMERICAN BALANCED FUND-C	5,000.00	50.00	0.00	50.00	80.0	40.00
	ACCOUNT #: 04000722777	BUY 183 Units @27.3500						
01/10/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	80.0	0.96
	ACCOUNT #: 00089910177	BUY 4 Units @27.3100						
01/12/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089957234	BUY 2 Units @27.5600						
01/12/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089045192	BUY 1 Units @27.5600						
01/16/2018	***-**-80IR - ROBERTS,	AMERICAN BALANCED FUND-C	90.00	0.90	3.00	-2.10	100.0	-2.10
	ACCOUNT #: LSR011795	BUY 3 Units @27.5300						
01/16/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	3.30	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902249	BUY 0 Units @27.5300						
01/16/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 1 Units @27.5300						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/16/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	3.30	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902249	BUY 0 Units @27.5300						
01/16/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 1 Units @27.5300						
01/16/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904181	BUY 0 Units @27.5300						
01/16/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	1.91	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @27.5300						
01/16/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904181	BUY 0 Units @27.5300						
01/16/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	1.78	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @27.5300						
01/16/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.52	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904210	BUY 0 Units @27.5300						
01/16/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00085904210	BUY 1 Units @27.5300						
01/16/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	3.62	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @27.5300						
01/16/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00085904210	BUY 1 Units @27.5300						
01/16/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	5.12	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904215	BUY 0 Units @27.5300						
01/16/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00085904215	BUY 1 Units @27.5300						
01/16/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	5.02	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904215	BUY 0 Units @27.5300						
01/16/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00085904215	BUY 1 Units @27.5300						
01/16/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087429936	BUY 2 Units @27.5300						
01/16/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089045192	BUY 1 Units @27.5300						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @27.5300	11.12	0.11	0.00	0.11	80.0	0.09
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @27.5300	59.60	0.60	0.00	0.60	80.0	0.48
01/16/2018	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089244081	AMERICAN BALANCED FUND-C BUY 3 Units @27.5300	87.96	0.88	0.00	0.88	80.0	0.70
01/16/2018	***-**-281S - FLUGEL, AMANDA ACCOUNT #: 00089561651	AMERICAN BALANCED FUND-C BUY 1 Units @27.5300	40.00	0.40	0.00	0.40	80.0	0.32
01/16/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @27.5300	21.61	0.22	0.00	0.22	80.0	0.18
01/16/2018	***-**-035S - CAPIZZI, TRACIE ACCOUNT #: 00089679504	AMERICAN BALANCED FUND-C BUY 1 Units @27.5300	20.00	0.20	0.00	0.20	80.0	0.16
01/17/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	AMERICAN BALANCED FUND-C BUY 6 Units @27.7000	170.00	1.70	0.00	1.70	80.0	1.36
01/10/2018	***-**-7063 - ZIOTO, JULIA ACCOUNT #: 04000322984	AMERICAN GLOBAL BALANCED CL C BUY 3 Units @32.9100	100.00	1.00	0.00	1.00	80.0	0.80
01/12/2018	***-**-8274 - ROBERTS, ADELLA ACCOUNT #: 04000732000	AMERICAN HIGH INCOME MUNI BOND CLAS BUY 5970 Units @15.8900	94,856.04	948.56	0.00	948.56	80.0	758.85
01/08/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.4400	4.55	0.05	0.00	0.05	80.0	0.04
01/08/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.4400	105.00	1.05	0.00	1.05	80.0	0.84
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.4400	4.55	0.05	0.00	0.05	80.0	0.04
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.4400	105.00	1.05	0.00	1.05	80.0	0.84
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.4400	105.00	1.05	0.00	1.05	80.0	0.84
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.4400	4.55	0.05	0.00	0.05	80.0	0.04
01/16/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	AMERICAN MUTUAL FUND-A BUY 1 Units @41.9600	30.00	0.30	0.00	0.30	80.0	0.24



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FREDERIC SCARPULLA
400 West Metro Park
Rochester, NY 14623

BROKER #: 417
BRANCH #01016 - 16 - CASPER

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	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	721.73	7.22	0.00	7.22	80.0	5.78
	ACCOUNT #: 00066759711	BUY 17 Units @41.9600						
01/08/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904181	BUY 0 Units @41.0100						
01/08/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	1.79	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @41.0100						
01/16/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904181	BUY 0 Units @41.3500						
01/16/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	1.59	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @41.3500						
01/16/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904181	BUY 0 Units @41.3500						
01/16/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	1.49	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @41.3500						
01/16/2018	***-**-01UG - DIGIOVANNI,	AMERICAN MUTUAL FUND-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 00087087389	BUY 2 Units @41.3500						
01/19/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	24.35	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00063451518	BUY 1 Units @20.4700						
01/08/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	3.60	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00087038420	BUY 0 Units @51.9000						
01/08/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	80.0	0.77
	ACCOUNT #: 00087038420	BUY 2 Units @51.9000						
01/08/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	15.00	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 00089045192	BUY 0 Units @51.9000						
01/08/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00089045192	BUY 1 Units @51.9000						
01/08/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @51.9000						
01/10/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @51.8200						
01/12/2018	***-**-3306 - MASTROSIMONE,	CAPITAL WORLD GROWTH AND INCOME FUN	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00083382475	BUY 1 Units @53.1200						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/12/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @53.1200	45.00	0.45	0.00	0.45	80.0	0.36
01/12/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @53.1200	36.00	0.36	0.00	0.36	80.0	0.29
01/12/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @53.1200	36.00	0.36	0.00	0.36	80.0	0.29
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.5400	15.00	0.15	0.00	0.15	80.0	0.12
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @52.5100	96.40	0.96	0.00	0.96	80.0	0.77
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.5100	3.60	0.04	0.00	0.04	80.0	0.03
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.5100	3.60	0.04	0.00	0.04	80.0	0.03
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @52.5100	96.40	0.96	0.00	0.96	80.0	0.77
01/16/2018	***-**-01UG - DIGIOVANNI, ACCOUNT #: 00087087389	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @52.5100	100.00	1.00	0.00	1.00	80.0	0.80
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.5100	15.00	0.15	0.00	0.15	80.0	0.12
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.5200	51.00	0.51	0.00	0.51	80.0	0.41
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.5200	38.00	0.38	0.00	0.38	80.0	0.30
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.5200	40.80	0.41	0.00	0.41	80.0	0.33
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	EUROPACIFIC GROWTH FUND-A BUY 0 Units @58.5200	27.74	0.28	0.00	0.28	80.0	0.22
01/12/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	EUROPACIFIC GROWTH FUND-A BUY 2 Units @58.5200	99.00	0.99	0.00	0.99	80.0	0.79
01/12/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.5200	56.92	0.57	0.00	0.57	80.0	0.46



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/12/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.5200	79.20	0.79	0.00	0.79	80.0	0.63
01/12/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.5200	45.54	0.46	0.00	0.46	80.0	0.37
01/16/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	EUROPACIFIC GROWTH FUND-A BUY 0 Units @58.5500	19.80	0.20	0.00	0.20	80.0	0.16
01/19/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @60.1400	73.04	0.88	0.00	0.88	80.0	0.70
01/16/2018	***-**-495P - HARTER, EDWARD ACCOUNT #: 00066759710	FUNDAMENTAL INVESTORS-A BUY 0 Units @64.8200	25.00	0.25	0.00	0.25	80.0	0.20
01/19/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 2 Units @66.6800	146.07	1.75	0.00	1.75	80.0	1.40
01/08/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.6200	2.40	0.02	0.00	0.02	80.0	0.02
01/08/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.6200	9.00	0.09	0.00	0.09	80.0	0.07
01/08/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.6200	2.30	0.02	0.00	0.02	80.0	0.02
01/08/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.6200	18.00	0.18	0.00	0.18	80.0	0.14
01/10/2018	***-**-6171 - ROWE, KEVIN ACCOUNT #: 04000591484	FUNDAMENTAL INVESTORS-C BUY 4 Units @63.5900	225.00	2.25	0.00	2.25	80.0	1.80
01/16/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.4600	6.71	0.07	0.00	0.07	80.0	0.06
01/16/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.4600	9.00	0.09	0.00	0.09	80.0	0.07
01/16/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.4600	2.40	0.02	0.00	0.02	80.0	0.02
01/16/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.4600	9.00	0.09	0.00	0.09	80.0	0.07
01/16/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.4600	2.29	0.02	0.00	0.02	80.0	0.02



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/16/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085904203	BUY 0 Units @64.4600						
01/16/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	2.23	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @64.4600						
01/16/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085904203	BUY 0 Units @64.4600						
01/16/2018	***-**-845P - MARTHALLER,	FUNDAMENTAL INVESTORS-C	60.00	0.60	0.00	0.60	80.0	0.48
	ACCOUNT #: 00087023930	BUY 1 Units @64.4600						
01/16/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	5.56	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00089051066	BUY 0 Units @64.4600						
01/16/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	29.80	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00089051066	BUY 0 Units @64.4600						
01/08/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	1.95	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087236607	BUY 0 Units @23.3800						
01/08/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00087236607	BUY 2 Units @23.3800						
01/08/2018	***-**-7946 - CROTTY, MARGARET	INCOME FUND OF AMERICA CLASS C	10,000.00	100.00	0.00	100.00	80.0	80.00
	ACCOUNT #: 04000304747	BUY 428 Units @23.3800						
01/16/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	1.95	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087236607	BUY 0 Units @23.5300						
01/16/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00087236607	BUY 2 Units @23.5300						
01/16/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00087236607	BUY 2 Units @23.5300						
01/16/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	1.95	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087236607	BUY 0 Units @23.5300						
01/08/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	3.40	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902249	BUY 0 Units @40.9100						
01/08/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00085902249	BUY 1 Units @40.9100						
01/08/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	0.90	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @40.9100						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/08/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	4.00	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @40.9100						
01/16/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	3.40	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902249	BUY 0 Units @41.3900						
01/16/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00085902249	BUY 1 Units @41.3900						
01/16/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	3.40	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902249	BUY 0 Units @41.3900						
01/16/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00085902249	BUY 1 Units @41.3900						
01/16/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	1.13	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @41.3900						
01/16/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	4.00	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @41.3900						
01/16/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	0.91	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @41.3900						
01/16/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	4.00	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @41.3900						
01/16/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	20.97	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00089583477	BUY 1 Units @41.3900						
01/12/2018	***-**-825P - MASTROSIMONE,	NEW PERSPECTIVE FUND-A	103.63	1.04	0.00	1.04	80.0	0.83
	ACCOUNT #: 00067351603	BUY 2 Units @45.1800						
01/12/2018	***-**-825P - MASTROSIMONE,	NEW PERSPECTIVE FUND-A	357.05	3.57	0.00	3.57	80.0	2.86
	ACCOUNT #: 00067351603	BUY 8 Units @45.1800						
01/12/2018	***-**-825P - MASTROSIMONE,	NEW PERSPECTIVE FUND-A	299.40	2.99	0.00	2.99	80.0	2.39
	ACCOUNT #: 00067351603	BUY 7 Units @45.1800						
01/12/2018	***-**-825P - MASTROSIMONE,	NEW PERSPECTIVE FUND-A	47.25	0.47	0.00	0.47	80.0	0.38
	ACCOUNT #: 00067351603	BUY 1 Units @45.1800						
01/12/2018	***-**-815P - WEBER, ANTHONY	NEW PERSPECTIVE FUND-A	126.00	1.26	0.00	1.26	80.0	1.01
	ACCOUNT #: 00067400187	BUY 3 Units @45.1800						
01/12/2018	***-**-815P - WEBER, ANTHONY	NEW PERSPECTIVE FUND-A	55.49	0.55	0.00	0.55	80.0	0.44
	ACCOUNT #: 00067400187	BUY 1 Units @45.1800						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	40.03	0.40	0.00	0.40	80.0	0.32
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	NEW PERSPECTIVE FUND-A BUY 2 Units @45.1800	100.80	1.01	0.00	1.01	80.0	0.81
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	33.59	0.34	0.00	0.34	80.0	0.27
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	33.59	0.34	0.00	0.34	80.0	0.27
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	47.87	0.48	0.00	0.48	80.0	0.38
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	47.87	0.48	0.00	0.48	80.0	0.38
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	49.50	0.50	0.00	0.50	80.0	0.40
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 0 Units @45.1800	21.49	0.21	0.00	0.21	80.0	0.17
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	39.60	0.40	0.00	0.40	80.0	0.32
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 0 Units @45.1800	11.32	0.11	0.00	0.11	80.0	0.09
01/16/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	NEW PERSPECTIVE FUND-A BUY 0 Units @45.1200	19.80	0.20	0.00	0.20	80.0	0.16
01/19/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	NEW PERSPECTIVE FUND-A BUY 1 Units @46.5500	24.35	0.29	0.00	0.29	80.0	0.23
01/08/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @42.8600	2.80	0.03	0.00	0.03	80.0	0.02
01/08/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @42.8600	10.50	0.11	0.00	0.11	80.0	0.09
01/08/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	NEW PERSPECTIVE FUND-C BUY 0 Units @42.8600	2.50	0.03	0.00	0.03	80.0	0.02
01/08/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	NEW PERSPECTIVE FUND-C BUY 0 Units @42.8600	2.50	0.03	0.00	0.03	80.0	0.02



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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)								
01/08/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	2.67	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @42.8600						
01/08/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @42.8600						
01/16/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	7.83	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00085902226	BUY 0 Units @43.3500						
01/16/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @43.3500						
01/16/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @43.3500						
01/16/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @43.3500						
01/16/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @43.3500						
01/16/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @43.3500						
01/16/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @43.3500						
01/16/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @43.3500						
01/16/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	2.66	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @43.3500						
01/16/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @43.3500						
01/16/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	2.61	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @43.3500						
01/16/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @43.3500						
01/16/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	5.57	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00089051066	BUY 0 Units @43.3500						
01/16/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	29.80	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00089051066	BUY 1 Units @43.3500						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/08/2018	***-**-68IN - RANDALL, JASON	NEW WORLD FUND-C	850.00	8.50	0.00	8.50	80.0	6.80
	ACCOUNT #: 00083798896	BUY 13 Units @66.5100						
01/08/2018	***-**-68IN - RANDALL, JASON	NEW WORLD FUND-C	850.00	8.50	0.00	8.50	80.0	6.80
	ACCOUNT #: 00084905937	BUY 13 Units @66.5100						
01/08/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @66.5100						
01/08/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @66.5100						
01/08/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.68	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @66.5100						
01/08/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @66.5100						
01/08/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @66.5100						
01/08/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @66.5100						
01/08/2018	***-**-68IN - RANDALL, JASON	NEW WORLD FUND-C	850.00	8.50	0.00	8.50	80.0	6.80
	ACCOUNT #: 00088870923	BUY 13 Units @66.5100						
01/16/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	7.83	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00085902226	BUY 0 Units @67.1200						
01/16/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @67.1200						
01/16/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @67.1200						
01/16/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @67.1200						
01/16/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.67	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @67.1200						
01/16/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @67.1200						
01/16/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.60	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @67.1200						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/16/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @67.1200						
01/16/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @67.1200						
01/16/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @67.1200						
01/16/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @67.1200						
01/16/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @67.1200						
01/12/2018	***-**-685P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	368.21	3.68	0.00	3.68	80.0	2.94
	ACCOUNT #: 00067400188	BUY 37 Units @9.8800						
01/12/2018	***-**-685P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	15.56	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00067400188	BUY 2 Units @9.8800						
01/12/2018	***-**-685P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	298.45	2.98	0.00	2.98	80.0	2.38
	ACCOUNT #: 00067400188	BUY 30 Units @9.8800						
01/12/2018	***-**-685P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00067400188	BUY 1 Units @9.8800						
01/12/2018	***-**-305P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	368.21	3.68	0.00	3.68	80.0	2.94
	ACCOUNT #: 00067436327	BUY 37 Units @9.8800						
01/12/2018	***-**-305P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	22.50	0.23	0.00	0.23	80.0	0.18
	ACCOUNT #: 00067436327	BUY 2 Units @9.8800						
01/12/2018	***-**-305P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	298.45	2.98	0.00	2.98	80.0	2.38
	ACCOUNT #: 00067436327	BUY 30 Units @9.8800						
01/12/2018	***-**-305P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00067436327	BUY 2 Units @9.8800						
01/16/2018	***-**-445P - BURNS, DANIEL	SMALLCAP WORLD FUND-A	28.60	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00066758346	BUY 0 Units @57.5400						
01/08/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @50.2500						
01/08/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @50.2500						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @50.6000	48.20	0.48	0.00	0.48	80.0	0.38
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 0 Units @50.6000	1.80	0.02	0.00	0.02	80.0	0.02
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 0 Units @50.6000	1.80	0.02	0.00	0.02	80.0	0.02
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @50.6000	48.20	0.48	0.00	0.48	80.0	0.38
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @50.6000	5.56	0.06	0.00	0.06	80.0	0.05
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 1 Units @50.6000	29.80	0.30	0.00	0.30	80.0	0.24
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 7 Units @12.8200	87.00	0.87	0.00	0.87	80.0	0.70
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 3 Units @12.8200	38.32	0.38	0.00	0.38	80.0	0.30
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 2 Units @12.8200	27.64	0.28	0.00	0.28	80.0	0.22
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 5 Units @12.8200	69.60	0.70	0.00	0.70	80.0	0.56
01/12/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 5 Units @12.8200	60.00	0.60	0.00	0.60	80.0	0.48
01/12/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 5 Units @12.8200	60.00	0.60	0.00	0.60	80.0	0.48
01/12/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 4 Units @12.8200	48.00	0.48	0.00	0.48	80.0	0.38
01/12/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 4 Units @12.8200	48.00	0.48	0.00	0.48	80.0	0.38
01/12/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 6 Units @12.8200	71.76	0.72	0.00	0.72	80.0	0.58
01/12/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 5 Units @12.8200	57.72	0.58	0.00	0.58	80.0	0.46



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/12/2018	***-**-3757 - MALONE, KENNETH	THE BOND FUND OF AMERICA-A	41.26	0.41	0.00	0.41	80.0	0.33
	ACCOUNT #: 00083474112	BUY 3 Units @12.8200						
01/12/2018	***-**-3757 - MALONE, KENNETH	THE BOND FUND OF AMERICA-A	55.02	0.55	0.00	0.55	80.0	0.44
	ACCOUNT #: 00083474112	BUY 4 Units @12.8200						
01/16/2018	***-**-445P - BURNS, DANIEL	THE BOND FUND OF AMERICA-A	19.80	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00066758346	BUY 2 Units @12.8300						
01/19/2018	***-**-535P - DELGAIZO,	THE BOND FUND OF AMERICA-A	48.69	0.58	0.00	0.58	80.0	0.46
	ACCOUNT #: 00063451518	BUY 4 Units @12.9500						
01/08/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	3.30	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902249	BUY 0 Units @12.8500						
01/08/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 2 Units @12.8500						
01/08/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	9.00	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00085904181	BUY 1 Units @12.8500						
01/08/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	3.21	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @12.8500						
01/16/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	3.30	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902249	BUY 0 Units @12.8300						
01/16/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 2 Units @12.8300						
01/16/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	3.30	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902249	BUY 0 Units @12.8300						
01/16/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 2 Units @12.8300						
01/16/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	9.00	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00085904181	BUY 1 Units @12.8300						
01/16/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	2.86	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @12.8300						
01/16/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	9.00	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00085904181	BUY 1 Units @12.8300						
01/16/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	2.67	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @12.8300						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/12/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	49.50	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00067335866	BUY 1 Units @52.0800						
01/12/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	36.87	0.37	0.00	0.37	80.0	0.30
	ACCOUNT #: 00067335866	BUY 1 Units @52.0800						
01/12/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	39.60	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00067335866	BUY 1 Units @52.0800						
01/12/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	26.93	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00067335866	BUY 1 Units @52.0800						
01/12/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	357.05	3.57	0.00	3.57	80.0	2.86
	ACCOUNT #: 00067351603	BUY 7 Units @52.0800						
01/12/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	103.63	1.04	0.00	1.04	80.0	0.83
	ACCOUNT #: 00067351603	BUY 2 Units @52.0800						
01/12/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	299.40	2.99	0.00	2.99	80.0	2.39
	ACCOUNT #: 00067351603	BUY 6 Units @52.0800						
01/12/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	47.25	0.47	0.00	0.47	80.0	0.38
	ACCOUNT #: 00067351603	BUY 1 Units @52.0800						
01/12/2018	***-**-375P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	99.00	0.99	0.00	0.99	80.0	0.79
	ACCOUNT #: 00067351605	BUY 2 Units @52.0800						
01/12/2018	***-**-375P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	56.93	0.57	0.00	0.57	80.0	0.46
	ACCOUNT #: 00067351605	BUY 1 Units @52.0800						
01/12/2018	***-**-375P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	79.20	0.79	0.00	0.79	80.0	0.63
	ACCOUNT #: 00067351605	BUY 2 Units @52.0800						
01/12/2018	***-**-375P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	45.54	0.46	0.00	0.46	80.0	0.37
	ACCOUNT #: 00067351605	BUY 1 Units @52.0800						
01/12/2018	***-**-815P - WEBER, ANTHONY	THE GROWTH FUND OF AMERICA-A	87.00	0.87	0.00	0.87	80.0	0.70
	ACCOUNT #: 00067400187	BUY 2 Units @52.0800						
01/12/2018	***-**-815P - WEBER, ANTHONY	THE GROWTH FUND OF AMERICA-A	38.32	0.38	0.00	0.38	80.0	0.30
	ACCOUNT #: 00067400187	BUY 1 Units @52.0800						
01/12/2018	***-**-815P - WEBER, ANTHONY	THE GROWTH FUND OF AMERICA-A	69.60	0.70	0.00	0.70	80.0	0.56
	ACCOUNT #: 00067400187	BUY 1 Units @52.0800						
01/12/2018	***-**-815P - WEBER, ANTHONY	THE GROWTH FUND OF AMERICA-A	27.65	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00067400187	BUY 1 Units @52.0800						



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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)								
01/12/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A	53.82	0.54	0.00	0.54	80.0	0.43
	ACCOUNT #: 00083474112	BUY 1 Units @52.0800						
01/12/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A	43.29	0.43	0.00	0.43	80.0	0.34
	ACCOUNT #: 00083474112	BUY 1 Units @52.0800						
01/12/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A	41.26	0.41	0.00	0.41	80.0	0.33
	ACCOUNT #: 00083474112	BUY 1 Units @52.0800						
01/12/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A	30.94	0.31	0.00	0.31	80.0	0.25
	ACCOUNT #: 00083474112	BUY 1 Units @52.0800						
01/12/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	36.00	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00086553837	BUY 1 Units @52.0800						
01/12/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	36.00	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00086553837	BUY 1 Units @52.0800						
01/12/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	28.80	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00086553837	BUY 1 Units @52.0800						
01/12/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	28.80	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00086553837	BUY 1 Units @52.0800						
01/12/2018	***-**-1788 - SYKES, DANIEL	THE GROWTH FUND OF AMERICA-A	33.59	0.34	0.00	0.34	80.0	0.27
	ACCOUNT #: 00087870442	BUY 1 Units @52.0800						
01/12/2018	***-**-1788 - SYKES, DANIEL	THE GROWTH FUND OF AMERICA-A	33.59	0.34	0.00	0.34	80.0	0.27
	ACCOUNT #: 00087870442	BUY 1 Units @52.0800						
01/12/2018	***-**-1788 - SYKES, DANIEL	THE GROWTH FUND OF AMERICA-A	47.87	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087870442	BUY 1 Units @52.0800						
01/12/2018	***-**-1788 - SYKES, DANIEL	THE GROWTH FUND OF AMERICA-A	47.87	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087870442	BUY 1 Units @52.0800						
01/12/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-A	49.50	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089254350	BUY 1 Units @52.0800						
01/12/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-A	21.49	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00089254350	BUY 0 Units @52.0800						
01/12/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-A	39.60	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089254350	BUY 1 Units @52.0800						
01/12/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-A	11.33	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00089254350	BUY 0 Units @52.0800						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/12/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 2 Units @52.0800	100.00	1.00	0.00	1.00	80.0	0.80
01/12/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	66.00	0.66	0.00	0.66	80.0	0.53
01/12/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 2 Units @52.0800	80.00	0.80	0.00	0.80	80.0	0.64
01/12/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	54.75	0.55	0.00	0.55	80.0	0.44
01/16/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 5 Units @51.9400	250.00	2.50	0.00	2.50	80.0	2.00
01/16/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	THE GROWTH FUND OF AMERICA-A BUY 1 Units @51.9400	30.00	0.30	0.00	0.30	80.0	0.24
01/16/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	THE GROWTH FUND OF AMERICA-A BUY 1 Units @51.9400	72.60	0.73	0.00	0.73	80.0	0.58
01/16/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	THE GROWTH FUND OF AMERICA-A BUY 1 Units @51.9400	30.00	0.30	0.00	0.30	80.0	0.24
01/16/2018	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE GROWTH FUND OF AMERICA-A BUY 1 Units @51.9400	50.00	0.50	0.00	0.50	80.0	0.40
01/16/2018	***-**-095P - RIVERA, MIGUEL ACCOUNT #: 00074922243	THE GROWTH FUND OF AMERICA-A BUY 3 Units @51.9400	130.00	1.30	0.00	1.30	80.0	1.04
01/16/2018	***-**-4750 - OSCHMANN, MARK ACCOUNT #: 00083414110	THE GROWTH FUND OF AMERICA-A BUY 1 Units @51.9400	60.73	0.61	0.00	0.61	80.0	0.49
01/16/2018	***-**-9447 - ZAJONCZKOSKI, ACCOUNT #: 00087318332	THE GROWTH FUND OF AMERICA-A BUY 0 Units @51.9400	20.00	0.20	0.00	0.20	80.0	0.16
01/16/2018	***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	THE GROWTH FUND OF AMERICA-A BUY 0 Units @51.9400	10.00	0.10	0.00	0.10	80.0	0.08
01/19/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.4600	73.04	0.88	0.00	0.88	80.0	0.70
01/08/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	THE GROWTH FUND OF AMERICA-C BUY 0 Units @47.5100	2.50	0.03	0.00	0.03	80.0	0.02
01/08/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	THE GROWTH FUND OF AMERICA-C BUY 0 Units @47.5100	2.50	0.03	0.00	0.03	80.0	0.02



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/08/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 0 Units @47.5100	1.80	0.02	0.00	0.02	80.0	0.02
01/08/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 1 Units @47.5100	48.20	0.48	0.00	0.48	80.0	0.38
01/08/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @47.5100	15.00	0.15	0.00	0.15	80.0	0.12
01/08/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 1 Units @47.5100	30.00	0.30	0.00	0.30	80.0	0.24
01/09/2018	***-**-5945 - INFANTINO, ACCOUNT #: 04000722726	THE GROWTH FUND OF AMERICA-C BUY 5 Units @47.6000	250.00	2.50	0.00	2.50	80.0	2.00
01/10/2018	***-**-6171 - ROWE, KEVIN ACCOUNT #: 04000591484	THE GROWTH FUND OF AMERICA-C BUY 5 Units @47.5000	225.00	2.25	0.00	2.25	80.0	1.80
01/10/2018	***-**-1307 - BONACCI, ACCOUNT #: 00087952601	THE GROWTH FUND OF AMERICA-C BUY 2 Units @47.5000	100.00	1.00	0.00	1.00	80.0	0.80
01/10/2018	***-**-50IN - BONACCI, ACCOUNT #: 00089947853	THE GROWTH FUND OF AMERICA-C BUY 2 Units @47.5000	100.00	1.00	0.00	1.00	80.0	0.80
01/10/2018	***-**-8208 - KARNS, SHANNON ACCOUNT #: 04000591533	THE GROWTH FUND OF AMERICA-C BUY 5 Units @47.5000	225.00	2.25	0.00	2.25	80.0	1.80
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.2900	15.00	0.15	0.00	0.15	80.0	0.12
01/16/2018	***-**-3431 - SPENCER, ACCOUNT #: 04000347049	THE GROWTH FUND OF AMERICA-C BUY 2 Units @48.1600	100.00	1.00	0.00	1.00	80.0	0.80
01/16/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.1600	2.50	0.03	0.00	0.03	80.0	0.02
01/16/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.1600	2.50	0.03	0.00	0.03	80.0	0.02
01/16/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.1600	2.50	0.03	0.00	0.03	80.0	0.02
01/16/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.1600	2.50	0.03	0.00	0.03	80.0	0.02
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.1600	48.20	0.48	0.00	0.48	80.0	0.38



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.1600	1.80	0.02	0.00	0.02	80.0	0.02
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.1600	1.80	0.02	0.00	0.02	80.0	0.02
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.1600	48.20	0.48	0.00	0.48	80.0	0.38
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.1600	15.00	0.15	0.00	0.15	80.0	0.12
01/16/2018	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089319958	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.1600	55.97	0.56	0.00	0.56	80.0	0.45
01/16/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.1600	20.97	0.21	0.00	0.21	80.0	0.17
01/16/2018	***-**-0578 - DIODATO, ZACHARY ACCOUNT #: 04000618224	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.1600	50.00	0.50	0.00	0.50	80.0	0.40
01/16/2018	***-**-4232 - DIODATO, MELISSA ACCOUNT #: 04000618245	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.1600	50.00	0.50	0.00	0.50	80.0	0.40
01/16/2018	***-**-0006 - FORSYTH, KATHRYN ACCOUNT #: 04000650661	THE GROWTH FUND OF AMERICA-C BUY 2 Units @48.1600	86.54	0.87	0.00	0.87	80.0	0.70
01/17/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	THE GROWTH FUND OF AMERICA-C BUY 3 Units @48.5700	160.00	1.60	0.00	1.60	80.0	1.28
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 15 Units @23.8500	368.21	3.68	0.00	3.68	80.0	2.94
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.8500	15.56	0.16	0.00	0.16	80.0	0.13
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 13 Units @23.8500	298.45	2.98	0.00	2.98	80.0	2.38
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 0 Units @23.8500	10.50	0.11	0.00	0.11	80.0	0.09
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.8500	22.50	0.23	0.00	0.23	80.0	0.18
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 15 Units @23.8500	368.21	3.68	0.00	3.68	80.0	2.94



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 13 Units @23.8500	298.45	2.98	0.00	2.98	80.0	2.38
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.8500	18.00	0.18	0.00	0.18	80.0	0.14
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	49.50	0.50	0.00	0.50	80.0	0.40
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	36.87	0.37	0.00	0.37	80.0	0.30
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	39.60	0.40	0.00	0.40	80.0	0.32
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	26.93	0.27	0.00	0.27	80.0	0.22
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	33.59	0.34	0.00	0.34	80.0	0.27
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	33.59	0.34	0.00	0.34	80.0	0.27
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	47.87	0.48	0.00	0.48	80.0	0.38
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	47.87	0.48	0.00	0.48	80.0	0.38
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	51.00	0.51	0.00	0.51	80.0	0.41
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	22.14	0.22	0.00	0.22	80.0	0.18
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	40.80	0.41	0.00	0.41	80.0	0.33
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @41.9400	11.67	0.12	0.00	0.12	80.0	0.10
01/16/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE INVESTMENT COMPANY OF AMERICA-A BUY 6 Units @41.8300	250.00	2.50	0.00	2.50	80.0	2.00
01/16/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.8300	28.60	0.29	0.00	0.29	80.0	0.23



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/16/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00066758348	BUY 1 Units @41.8300						
01/16/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 0 Units @41.8300						
01/16/2018	***-**-395P - DIVASTA, ANTHONY	THE INVESTMENT COMPANY OF AMERICA-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00059597416	BUY 1 Units @43.8000						
01/17/2018	***-**-9024 - HACKETT, ETHAN	THE NEW ECONOMY FUND-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00088123299	BUY 1 Units @42.4900						
01/16/2018	***-**-8932 - RUSH, MICHELLE	THE TAX-EXEMPT BOND FUND OF AMERICA	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000574835	BUY 4 Units @12.9800						
01/18/2018	***-**-279J - HERRMANN, KEVIN	THE TAX-EXEMPT BOND FUND OF AMERICA	125.00	1.25	0.00	1.25	80.0	1.00
	ACCOUNT #: 00086046167	BUY 10 Units @12.9700						
01/08/2018	***-**-63IN - DIAMOND, ANN	U.S. GOVERNMENT SECURITIES FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085468057	BUY 4 Units @13.5900						
01/12/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	103.63	1.04	0.00	1.04	80.0	0.83
	ACCOUNT #: 00067351603	BUY 2 Units @47.4500						
01/12/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	357.05	3.57	0.00	3.57	80.0	2.86
	ACCOUNT #: 00067351603	BUY 8 Units @47.4500						
01/12/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	299.40	2.99	0.00	2.99	80.0	2.39
	ACCOUNT #: 00067351603	BUY 6 Units @47.4500						
01/12/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	47.25	0.47	0.00	0.47	80.0	0.38
	ACCOUNT #: 00067351603	BUY 1 Units @47.4500						
01/12/2018	***-**-375P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	102.00	1.02	0.00	1.02	80.0	0.82
	ACCOUNT #: 00067351605	BUY 2 Units @47.4500						
01/12/2018	***-**-375P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	58.65	0.59	0.00	0.59	80.0	0.47
	ACCOUNT #: 00067351605	BUY 1 Units @47.4500						
01/12/2018	***-**-375P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	81.60	0.82	0.00	0.82	80.0	0.66
	ACCOUNT #: 00067351605	BUY 2 Units @47.4500						
01/12/2018	***-**-375P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	46.92	0.47	0.00	0.47	80.0	0.38
	ACCOUNT #: 00067351605	BUY 1 Units @47.4500						
01/12/2018	***-**-685P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	368.22	3.68	0.00	3.68	80.0	2.94
	ACCOUNT #: 00067400188	BUY 8 Units @47.4500						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.4500	15.57	0.16	0.00	0.16	80.0	0.13
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	WASHINGTON MUTUAL INVESTORS FUND-A BUY 6 Units @47.4500	298.45	2.98	0.00	2.98	80.0	2.38
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.4500	10.50	0.11	0.00	0.11	80.0	0.09
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 8 Units @47.4500	368.22	3.68	0.00	3.68	80.0	2.94
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.4500	22.50	0.23	0.00	0.23	80.0	0.18
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 6 Units @47.4500	298.45	2.98	0.00	2.98	80.0	2.38
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.4500	18.00	0.18	0.00	0.18	80.0	0.14
01/16/2018	***-**-415P - MALOVICS, LASZLO ACCOUNT #: 00066758345	WASHINGTON MUTUAL INVESTORS FUND-A BUY 11 Units @47.3000	500.00	5.00	0.00	5.00	80.0	4.00
01/16/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @47.3000	30.80	0.31	0.00	0.31	80.0	0.25
01/08/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @46.1000	40.00	0.40	0.00	0.40	80.0	0.32
01/10/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @46.0900	40.00	0.40	0.00	0.40	80.0	0.32
01/11/2018	***-**-305P - MESH, RONALD ACCOUNT #: 00074720484	WASHINGTON MUTUAL INVESTORS FUND-C BUY 9 Units @46.4900	400.00	4.00	0.00	4.00	80.0	3.20
01/16/2018	***-**-436I - RAGO, LISA ACCOUNT #: 04000456708	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @46.6900	50.00	0.50	0.00	0.50	80.0	0.40
01/17/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	WASHINGTON MUTUAL INVESTORS FUND-C BUY 4 Units @47.1500	170.00	1.70	0.00	1.70	80.0	1.36
* MUTUAL FUNDS SUBTOTAL *			\$136,875.57	\$1,375.97	\$3.00	\$1,372.97		\$1,097.80



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: 529 PLAN</u>								
01/16/2018	***-**-195P - HECHT, ANDREW	AMERICAN BALANCED FUND-529A	200.00	10.00	0.00	10.00	80.0	8.00
	ACCOUNT #: 00068453142	BUY 7 Units @29.3500						
01/10/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-529C	400.00	4.00	0.00	4.00	80.0	3.20
	ACCOUNT #: 00067522496	BUY 15 Units @27.4400						
01/10/2018	***-**-643I - BOSCO, GIULIO	AMERICAN BALANCED FUND-529C	75.00	0.75	0.00	0.75	80.0	0.60
	ACCOUNT #: 00089514602	BUY 3 Units @27.4400						
01/16/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087198121	BUY 2 Units @27.6600						
01/16/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087198137	BUY 2 Units @27.6600						
01/16/2018	***-**-385P - ARBORE, TAYLER	CAPITAL WORLD GROWTH AND INCOME-529	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00081282910	BUY 1 Units @55.7100						
01/16/2018	***-**-385P - ARBORE, TAYLER	CAPITAL WORLD GROWTH AND INCOME-529	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00081283006	BUY 1 Units @55.7100						
01/19/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 EQUITY INCOME PORTF C	138.52	1.39	0.00	1.39	80.0	1.11
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
01/19/2018	***-**-6352 - GINERVA, ENZA	NYA JPM 529 EQUITY INCOME PORTF C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 77766297801	BUY 0 Units @0.0000						
01/19/2018	***-**-2942 - WARNEY, KENNETH	NYA JPM 529 EQUITY INCOME PORTF C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 77932712101	BUY 0 Units @0.0000						
01/19/2018	***-**-6352 - GINERVA, ENZA	NYA JPM 529 EQUITY INCOME PORTF C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 77766297801	BUY 0 Units @0.0000						
01/19/2018	***-**-503J - OBI, JEAN	NYA JPM 529 MOD AGE-BASED A	50.00	2.38	0.00	2.38	80.0	1.90
	ACCOUNT #: 77058060901	BUY 0 Units @0.0000						
01/19/2018	***-**-015P - FANTAUZZO,	NYA JPM 529 REALTY INCOME PORTF C	165.00	1.65	0.00	1.65	80.0	1.32
	ACCOUNT #: 77529133201	BUY 0 Units @0.0000						
01/16/2018	***-**-415P - SCHILLACI, AMY	THE GROWTH FUND OF AMERICA-529C	75.00	0.75	0.00	0.75	80.0	0.60
	ACCOUNT #: 00081268733	BUY 2 Units @48.3200						
* 529 PLAN SUBTOTAL *			\$1,353.52	\$26.68	\$0.00	\$26.68		\$21.33



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/02/2018	***-**-3106 - LAMB, BERNICE	37252M108	0.00	0.95	0.00	0.95	80.0	0.76
	ACCOUNT #: 00551402351	BUY 0 Units @0.0000						
01/01/2018	***-**-397P - COTTONE, MARIA	AIM CHARTER FUND - CLASS A	0.00	5.31	0.00	5.31	80.0	4.25
	ACCOUNT #: 01000005000	BUY 0 Units @0.0000						
01/01/2018	***-**-88IR - KUBIAK, COLLEEN	AIM CHARTER FUND - CLASS A	0.00	1.36	0.00	1.36	80.0	1.09
	ACCOUNT #: 01000005154	BUY 0 Units @0.0000						
01/22/2018	***-**-14IN - BENEDETTO,	AMERICAN BALANCED FUND-C	0.00	27.05	0.00	27.05	80.0	21.64
	ACCOUNT #: LSR010421	BUY 1 Units @0.0000						
01/22/2018	***-**-19IN - LIPPA, MARISSA	AMERICAN BALANCED FUND-C	0.00	1.05	0.00	1.05	80.0	0.84
	ACCOUNT #: LSR011011	BUY 1 Units @0.0000						
01/22/2018	***-**-61IO - BONACCI, FBO	AMERICAN BALANCED FUND-C	0.00	5.75	0.00	5.75	80.0	4.60
	ACCOUNT #: LSR011143	BUY 1 Units @0.0000						
01/22/2018	***-**-497J - WARNEY, KENNETH	AMERICAN BALANCED FUND-C	0.00	3.75	0.00	3.75	80.0	3.00
	ACCOUNT #: LSR011248	BUY 1 Units @0.0000						
01/22/2018	***-**-58IR - HINDERLAND, GARY	AMERICAN BALANCED FUND-C	0.00	1.11	0.00	1.11	80.0	0.89
	ACCOUNT #: LSR011249	BUY 1 Units @0.0000						
01/22/2018	***-**-283I - RICCI, GABRIELLE	AMERICAN BALANCED FUND-C	0.00	2.22	0.00	2.22	80.0	1.78
	ACCOUNT #: LSR011473	BUY 1 Units @0.0000						
01/22/2018	***-**-95IO - KELLY, COURTNEY	AMERICAN BALANCED FUND-C	0.00	3.04	0.00	3.04	80.0	2.43
	ACCOUNT #: LSR011685	BUY 1 Units @0.0000						
01/22/2018	***-**-18IO - TAYLOR, GREGORY	AMERICAN BALANCED FUND-C	0.00	23.21	0.00	23.21	80.0	18.57
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
01/22/2018	***-**-80IN - MOYER, COLLEEN	AMERICAN BALANCED FUND-C	0.00	10.90	0.00	10.90	80.0	8.72
	ACCOUNT #: LSR011724	BUY 1 Units @0.0000						
01/22/2018	***-**-11IN - RUSSELL, ALAN	AMERICAN FUND TAX - EXEMPT FUND OF	0.00	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: LSR011417	BUY 1 Units @0.0000						
01/22/2018	***-**-61IN - OLIVERI, WILLIAM	AMERICAN HIGH INCOME MUNI BOND CLAS	0.00	105.66	0.00	105.66	80.0	84.53
	ACCOUNT #: LSR011543	BUY 1 Units @0.0000						
01/22/2018	***-**-306I - SINCLAIR,	AMERICAN HIGH-INCOME TRUST-C	0.00	5.30	0.00	5.30	80.0	4.24
	ACCOUNT #: LSR010992	BUY 1 Units @0.0000						
01/22/2018	***-**-05IO - KIMBLE, LONNY	AMERICAN HIGH-INCOME TRUST-C	0.00	59.70	0.00	59.70	80.0	47.76
	ACCOUNT #: LSR011472	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	21.66	0.00	21.66	80.0	17.33
01/22/2018	***-**-80IN - MOYER, COLLEEN ACCOUNT #: LSR011724	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	10.13	0.00	10.13	80.0	8.10
01/22/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	28.38	0.00	28.38	80.0	22.70
01/22/2018	***-**-44IR - ROBERTSON, ACCOUNT #: LSR010558	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	1.50	0.00	1.50	80.0	1.20
01/22/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	7.49	0.00	7.49	80.0	5.99
01/22/2018	***-**-497J - WARNEY, KENNETH ACCOUNT #: LSR011248	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	1.47	0.00	1.47	80.0	1.18
01/22/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	96.27	0.00	96.27	80.0	77.02
01/22/2018	***-**-306I - SINCLAIR, ACCOUNT #: LSR010992	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.54	0.00	5.54	80.0	4.43
01/22/2018	***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	6.81	0.00	6.81	80.0	5.45
01/22/2018	***-**-07IN - SCARPULLA, ACCOUNT #: 07600010039	COLUMBIA FUNDS MF TRAILS BUY 0 Units @0.0000	0.00	10.47	0.00	10.47	80.0	8.38
01/22/2018	***-**-540J - ARBORE, MARIA ACCOUNT #: 03020030772	COLUMBIA FUNDS MF TRAILS BUY 0 Units @0.0000	0.00	2.28	0.00	2.28	80.0	1.82
01/05/2018	***-**-732J - ARBORE, MARIA ACCOUNT #: 00000108231	CORE BOND FUND - A BUY 0 Units @0.0000	0.00	4.31	0.00	4.31	80.0	3.45
01/22/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 0104134960	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	3.41	0.00	3.41	80.0	2.73
01/22/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 5054692727	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	1.87	0.00	1.87	80.0	1.50
01/22/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 5054692727	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	4.14	0.00	4.14	80.0	3.31
01/08/2018	***-**-4550 - JONES, JEFFREY ACCOUNT #: 00529631491	FA 529 PORT 2019-CL P BUY 0 Units @0.0000	0.00	10.08	0.00	10.08	80.0	8.06



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u>								
01/08/2018	***-**-7278 - GUERRIERI DDS, ACCOUNT #: 00655383206	FIDELITY ADV ASSET MANAGER 50 PERCE BUY 0 Units @0.0000	0.00	0.71	0.00	0.71	80.0	0.57
01/08/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475410302	FIDELITY ADV FREEDOM 2020-CL C BUY 0 Units @0.0000	0.00	1.77	0.00	1.77	80.0	1.42
01/08/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV INTL DISCOVERY-CL A BUY 0 Units @0.0000	0.00	5.62	0.00	5.62	80.0	4.50
01/08/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	7.60	0.00	7.60	80.0	6.08
01/08/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	8.82	0.00	8.82	80.0	7.06
01/08/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	8.46	0.00	8.46	80.0	6.77
01/08/2018	***-**-7352 - GEISELHART, ACCOUNT #: 00618796254	FIDELITY ADV STOCK SELECTOR ALL CAP BUY 0 Units @0.0000	0.00	30.43	0.00	30.43	80.0	24.34
01/08/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV TECHNOLOGY CL A BUY 0 Units @0.0000	0.00	8.36	0.00	8.36	80.0	6.69
01/08/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475410302	FIDELITY ADVISOR FREEDOM 2020 CL A BUY 0 Units @0.0000	0.00	0.92	0.00	0.92	80.0	0.74
01/22/2018	***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	24.79	0.00	24.79	80.0	19.83
01/22/2018	***-**-80IN - MOYER, COLLEEN ACCOUNT #: LSR011724	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	11.64	0.00	11.64	80.0	9.31
01/05/2018	***-**-39IN - ARBORE, MARIA ACCOUNT #: 00000176375	GROWTH AND INCOME FUND - A BUY 0 Units @0.0000	0.00	2.94	0.00	2.94	80.0	2.35
01/22/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	100.73	0.00	100.73	80.0	80.58
01/22/2018	***-**-306I - SINCLAIR, ACCOUNT #: LSR010992	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	5.64	0.00	5.64	80.0	4.51
01/22/2018	***-**-05IO - KIMBLE, LONNY ACCOUNT #: LSR011472	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	61.58	0.00	61.58	80.0	49.26
01/01/2018	***-**-290I - SAWDEY, MARILYN ACCOUNT #: 04400053047	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	6.54	0.00	6.54	80.0	5.23



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/01/2018	***-**-0008 - COZZO, LUIGI	INVESCO DIVERSIFIED DIVIDEND INVEST	0.00	23.54	0.00	23.54	80.0	18.83
	ACCOUNT #: 00009759201	BUY 0 Units @0.0000						
01/22/2018	***-**-70UT - GALLETTS CUST,	INVESTMENT COMPANY OF AMERICA CLASS	0.00	6.93	0.00	6.93	80.0	5.54
	ACCOUNT #: LSR011191	BUY 1 Units @0.0000						
01/01/2018	***-**-39IN - ARBORE, MARIA	IVK GROWTH AND INCOME FUND - CLASS	0.00	35.66	0.00	35.66	80.0	28.53
	ACCOUNT #: 01001181454	BUY 0 Units @0.0000						
01/16/2018	***-**-63IR - DIAMOND, ANN	IVY SCIENCE AND TECHNOLOGY FUND CLA	0.00	2.33	0.00	2.33	80.0	1.86
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
01/16/2018	***-**-63IR - DIAMOND, ANN	IVY SMALL CAP GROWTH CL A	0.00	0.89	0.00	0.89	80.0	0.71
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
01/01/2018	***-**-290I - SAWDEY, MARILYN	MFS GOVERNMENT SECURITIES FUND-A	0.00	4.78	0.00	4.78	80.0	3.82
	ACCOUNT #: 09896338263	BUY 0 Units @0.0000						
01/01/2018	***-**-96CL - SCARPULLA,	MFS TOTAL RETURN FUND-A	0.00	11.65	0.00	11.65	80.0	9.32
	ACCOUNT #: 08191357165	BUY 0 Units @0.0000						
01/22/2018	***-**-92IR - CRISPINO, FBO	NEW PERSPECTIVE FUND-C	0.00	10.91	0.00	10.91	80.0	8.73
	ACCOUNT #: LSR011073	BUY 1 Units @0.0000						
01/22/2018	***-**-61IO - BONACCI, FBO	NEW PERSPECTIVE FUND-C	0.00	5.35	0.00	5.35	80.0	4.28
	ACCOUNT #: LSR011143	BUY 1 Units @0.0000						
01/02/2018	***-**-642I - DELGAIZO, LISA	PUTNAM AMERICAN GOVERNMENT INCOME F	0.00	1.60	0.00	1.60	80.0	1.28
	ACCOUNT #: 00488983741	BUY 0 Units @0.0000						
01/02/2018	***-**-33IN - TESTA, BARBARA	PUTNAM EQUITY INCOME FUND-A	0.00	20.96	0.00	20.96	80.0	16.77
	ACCOUNT #: 00214281708	BUY 0 Units @0.0000						
01/02/2018	***-**-642J - DELGALZO,	PUTNAM EQUITY INCOME FUND-A	0.00	2.09	0.00	2.09	80.0	1.67
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
01/02/2018	***-**-130I - CIRA, JOHN	PUTNAM EQUITY INCOME FUND-A	0.00	4.42	0.00	4.42	80.0	3.54
	ACCOUNT #: 00415148688	BUY 0 Units @0.0000						
01/02/2018	***-**-33UG - DELGAIZO, ALESHA	PUTNAM EQUITY INCOME FUND-A	0.00	6.35	0.00	6.35	80.0	5.08
	ACCOUNT #: 00437911872	BUY 0 Units @0.0000						
01/02/2018	***-**-73UG - DELGAIZO,	PUTNAM EQUITY INCOME FUND-A	0.00	3.94	0.00	3.94	80.0	3.15
	ACCOUNT #: 00481564658	BUY 0 Units @0.0000						
01/02/2018	***-**-642I - DELGAIZO, LISA	PUTNAM EQUITY INCOME FUND-A	0.00	3.65	0.00	3.65	80.0	2.92
	ACCOUNT #: 00488983741	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/02/2018	***-**-939I - ARBORE, MARIA	PUTNAM EQUITY INCOME FUND-A	0.00	29.92	0.00	29.92	80.0	23.94
	ACCOUNT #: 00506910960	BUY 0 Units @0.0000						
01/02/2018	***-**-707I - BARON, ROBIN	PUTNAM EQUITY INCOME FUND-A	0.00	7.76	0.00	7.76	80.0	6.21
	ACCOUNT #: 00551086624	BUY 0 Units @0.0000						
01/02/2018	***-**-3939 - ARBORE, MARIA	PUTNAM EQUITY INCOME FUND-C	0.00	137.83	0.00	137.83	80.0	110.26
	ACCOUNT #: 00551310434	BUY 0 Units @0.0000						
01/02/2018	***-**-642J - DELGALZO,	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.51	0.00	1.51	80.0	1.21
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
01/02/2018	***-**-678I - BAKERINK, DIANE	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	6.09	0.00	6.09	80.0	4.87
	ACCOUNT #: 00273141121	BUY 0 Units @0.0000						
01/02/2018	***-**-178I - STAUB, KIRK	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.46	0.00	0.46	80.0	0.37
	ACCOUNT #: 00455134356	BUY 0 Units @0.0000						
01/02/2018	***-**-43IR - BOSCO, GIULIO	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	9.69	0.00	9.69	80.0	7.75
	ACCOUNT #: 00494908627	BUY 0 Units @0.0000						
01/02/2018	***-**-293I - LIPPA, PAUL	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	28.75	0.00	28.75	80.0	23.00
	ACCOUNT #: 00511940615	BUY 0 Units @0.0000						
01/02/2018	***-**-643I - BOSCO, GIULIO	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	2.07	0.00	2.07	80.0	1.66
	ACCOUNT #: 00514117077	BUY 0 Units @0.0000						
01/02/2018	***-**-73UG - DELGAIZO,	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	29.81	0.00	29.81	80.0	23.85
	ACCOUNT #: 00481564658	BUY 0 Units @0.0000						
01/02/2018	***-**-059I - JOHNSON, WILLIAM	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	31.73	0.00	31.73	80.0	25.38
	ACCOUNT #: 00020573802	BUY 0 Units @0.0000						
01/02/2018	***-**-59IN - SCARPULLA,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.16	0.00	4.16	80.0	3.33
	ACCOUNT #: 00066046582	BUY 0 Units @0.0000						
01/02/2018	***-**-37IR - MAMMANO, DAVID	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00235535776	BUY 0 Units @0.0000						
01/02/2018	***-**-642J - DELGALZO,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	1.60	0.00	1.60	80.0	1.28
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
01/02/2018	***-**-33UG - DELGAIZO, ALESHA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	20.84	0.00	20.84	80.0	16.67
	ACCOUNT #: 00437911872	BUY 0 Units @0.0000						
01/02/2018	***-**-178I - STAUB, KIRK	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 00455134356	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 22, 2018

FREDERIC SCARPULLA
400 West Metro Park
Rochester, NY 14623

BROKER #: 417
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/02/2018	***-**-170J - CAMPOMIZZI, JOHN	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.13	0.00	0.13	80.0	0.10
	ACCOUNT #: 00475151691	BUY 0 Units @0.0000						
01/02/2018	***-**-73UG - DELGAIZO,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	2.98	0.00	2.98	80.0	2.38
	ACCOUNT #: 00481564658	BUY 0 Units @0.0000						
01/02/2018	***-**-642I - DELGAIZO, LISA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.45	0.00	4.45	80.0	3.56
	ACCOUNT #: 00488983741	BUY 0 Units @0.0000						
01/02/2018	***-**-37IR - MAMMANO, DAVID	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00494866228	BUY 0 Units @0.0000						
01/02/2018	***-**-643I - BOSCO, GIULIO	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	7.46	0.00	7.46	80.0	5.97
	ACCOUNT #: 00514117077	BUY 0 Units @0.0000						
01/02/2018	***-**-33UG - DELGAIZO, ALESHA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	2.96	0.00	2.96	80.0	2.37
	ACCOUNT #: 00519031484	BUY 0 Units @0.0000						
01/02/2018	***-**-170I - CAMPOMIZZI,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	2.01	0.00	2.01	80.0	1.61
	ACCOUNT #: 00550825937	BUY 0 Units @0.0000						
01/02/2018	***-**-06IN - BERNARD, CREGG	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00550826447	BUY 0 Units @0.0000						
01/02/2018	***-**-18IN - RIEDEL, JAMES	PUTNAM NEW YORK TAX- EXEMPT INCOME	0.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00048939595	BUY 0 Units @0.0000						
01/02/2018	***-**-642J - DELGALZO,	PUTNAM NEW YORK TAX- EXEMPT INCOME	0.00	0.89	0.00	0.89	80.0	0.71
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
01/02/2018	***-**-33IN - TESTA, BARBARA	PUTNAM U.S. GOVT INCOME TR-A	0.00	18.98	0.00	18.98	80.0	15.18
	ACCOUNT #: 00214281708	BUY 0 Units @0.0000						
01/05/2018	***-**-33UG - DELGAIZO, ALESHA	SMALL CAP EQUITY FUND - A	0.00	1.65	0.00	1.65	80.0	1.32
	ACCOUNT #: 00000413901	BUY 0 Units @0.0000						
01/22/2018	***-**-61IO - BONACCI, FBO	THE BOND FUND OF AMERICA-C	0.00	6.15	0.00	6.15	80.0	4.92
	ACCOUNT #: LSR011143	BUY 1 Units @0.0000						
01/22/2018	***-**-497J - WARNEY, KENNETH	THE GROWTH FUND OF AMERICA-C	0.00	1.41	0.00	1.41	80.0	1.13
	ACCOUNT #: LSR011248	BUY 1 Units @0.0000						
01/22/2018	***-**-283I - RICCI, GABRIELLE	THE GROWTH FUND OF AMERICA-C	0.00	3.75	0.00	3.75	80.0	3.00
	ACCOUNT #: LSR011473	BUY 1 Units @0.0000						
01/22/2018	***-**-20IN - GIANGRECO, TERRY	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	373.46	0.00	373.46	80.0	298.77
	ACCOUNT #: LSR010603	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 22, 2018

FREDERIC SCARPULLA
400 West Metro Park
Rochester, NY 14623

BROKER #: 417
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u>								
01/22/2018	***-**-61IN - OLIVERI, WILLIAM THE TAX-EXEMPT BOND FUND OF AMERICA	BUY 1 Units @0.0000	0.00	154.76	0.00	154.76	80.0	123.81
	ACCOUNT #: LSR011543							
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$1,799.38	\$0.00	\$1,799.38		\$1,439.52
		*** BROKER TRANSACTIONS TOTAL ***	\$138,229.09	\$3,202.03	\$3.00	\$3,199.03		\$2,558.65

BROKER COMMISSION TOTALS

Broker Transactions	\$2,558.65
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	\$2,558.65
Year-to-date Earnings	\$15,485.48