



COMMISSION STATEMENT

February 26, 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> | | | | | | | | |
| 02/12/2018 | ***-**-425P - DELGAIZO, LOUISA | AMCAP FUND-A | 89.00 | 1.07 | 0.00 | 1.07 | 80.0 | 0.86 |
| | ACCOUNT #: 00063412117 | BUY 3 Units @32.6400 | | | | | | |
| 02/12/2018 | ***-**-425P - DELGAIZO, LOUISA | AMCAP FUND-A | 97.37 | 1.17 | 0.00 | 1.17 | 80.0 | 0.94 |
| | ACCOUNT #: 00063412117 | BUY 3 Units @32.6400 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | AMCAP FUND-A | 97.37 | 1.17 | 0.00 | 1.17 | 80.0 | 0.94 |
| | ACCOUNT #: 00063451518 | BUY 3 Units @32.6400 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | AMCAP FUND-A | 89.00 | 1.07 | 0.00 | 1.07 | 80.0 | 0.86 |
| | ACCOUNT #: 00063451518 | BUY 3 Units @32.6400 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | AMCAP FUND-A | 89.00 | 1.07 | 0.00 | 1.07 | 80.0 | 0.86 |
| | ACCOUNT #: 00063451518 | BUY 3 Units @32.6400 | | | | | | |
| 02/15/2018 | ***-**-425P - DELGAIZO, LOUISA | AMCAP FUND-A | 149.84 | 1.80 | 0.00 | 1.80 | 80.0 | 1.44 |
| | ACCOUNT #: 00063412117 | BUY 4 Units @33.6200 | | | | | | |
| 02/15/2018 | ***-**-535P - DELGAIZO, | AMCAP FUND-A | 166.04 | 1.99 | 0.00 | 1.99 | 80.0 | 1.59 |
| | ACCOUNT #: 00063451518 | BUY 5 Units @33.6200 | | | | | | |
| 02/12/2018 | ***-**-8208 - KARNs, SHANNON | AMCAP FUND-C | 225.00 | 2.25 | 0.00 | 2.25 | 80.0 | 1.80 |
| | ACCOUNT #: 04000591533 | BUY 8 Units @28.4300 | | | | | | |
| 02/12/2018 | ***-**-0006 - FORSYTH, KATHRYN | AMCAP FUND-C | 57.69 | 0.58 | 0.00 | 0.58 | 80.0 | 0.46 |
| | ACCOUNT #: 04000650661 | BUY 2 Units @28.4300 | | | | | | |
| 02/12/2018 | ***-**-965P - MCGUIRE, SCOTT | AMERICAN BALANCED FUND-A | 20.00 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00073798048 | BUY 1 Units @26.8800 | | | | | | |
| 02/12/2018 | ***-**-4263 - HARTER, IAN | AMERICAN BALANCED FUND-A | 10.00 | 0.10 | 0.00 | 0.10 | 80.0 | 0.08 |
| | ACCOUNT #: 00089461113 | BUY 0 Units @26.8800 | | | | | | |
| 02/15/2018 | ***-**-535P - DELGAIZO, | AMERICAN BALANCED FUND-A | 50.00 | 2.13 | 0.00 | 2.13 | 80.0 | 1.70 |
| | ACCOUNT #: 00068454444 | BUY 2 Units @28.6900 | | | | | | |
| 02/15/2018 | ***-**-425P - DELGAIZO, LOUISA | AMERICAN BALANCED FUND-A | 50.00 | 2.13 | 0.00 | 2.13 | 80.0 | 1.70 |
| | ACCOUNT #: 00068454445 | BUY 2 Units @28.6900 | | | | | | |
| 02/16/2018 | ***-**-965P - MCGUIRE, SCOTT | AMERICAN BALANCED FUND-A | 20.00 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00073798048 | BUY 1 Units @27.2600 | | | | | | |
| 02/16/2018 | ***-**-4263 - HARTER, IAN | AMERICAN BALANCED FUND-A | 10.00 | 0.10 | 0.00 | 0.10 | 80.0 | 0.08 |
| | ACCOUNT #: 00089461113 | BUY 0 Units @27.2600 | | | | | | |
| 02/12/2018 | ***-**-435P - BOSCO, SOFIA | AMERICAN BALANCED FUND-C | 170.00 | 1.70 | 0.00 | 1.70 | 80.0 | 1.36 |
| | ACCOUNT #: 00073003754 | BUY 6 Units @26.6900 | | | | | | |



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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) | | | | | | | | |
| 02/12/2018 | ***-**-1134 - BARTON, WILLIAM | AMERICAN BALANCED FUND-C | 87.96 | 0.88 | 0.00 | 0.88 | 80.0 | 0.70 |
| | ACCOUNT #: 00089244081 | BUY 3 Units @26.6900 | | | | | | |
| 02/12/2018 | ***-**-281S - FLUGEL, AMANDA | AMERICAN BALANCED FUND-C | 40.00 | 0.40 | 0.00 | 0.40 | 80.0 | 0.32 |
| | ACCOUNT #: 00089561651 | BUY 1 Units @26.6900 | | | | | | |
| 02/12/2018 | ***-**-035S - CAPIZZI, TRACIE | AMERICAN BALANCED FUND-C | 20.00 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00089679504 | BUY 1 Units @26.6900 | | | | | | |
| 02/13/2018 | ***-**-3834 - SWARTWOUT, | AMERICAN BALANCED FUND-C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 00089957234 | BUY 2 Units @26.7300 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | AMERICAN BALANCED FUND-C | 20.00 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00089045192 | BUY 1 Units @26.7300 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | AMERICAN BALANCED FUND-C | 40.80 | 0.41 | 0.00 | 0.41 | 80.0 | 0.33 |
| | ACCOUNT #: 00089051066 | BUY 2 Units @26.7300 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | AMERICAN BALANCED FUND-C | 4.00 | 0.04 | 0.00 | 0.04 | 80.0 | 0.03 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @26.7300 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | AMERICAN BALANCED FUND-C | 4.00 | 0.04 | 0.00 | 0.04 | 80.0 | 0.03 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @26.7300 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | AMERICAN BALANCED FUND-C | 40.80 | 0.41 | 0.00 | 0.41 | 80.0 | 0.33 |
| | ACCOUNT #: 00089051066 | BUY 2 Units @26.7300 | | | | | | |
| 02/13/2018 | ***-**-2825 - SPERANZA, JOHN | AMERICAN BALANCED FUND-C | 120.00 | 1.20 | 0.00 | 1.20 | 80.0 | 0.96 |
| | ACCOUNT #: 00089910177 | BUY 4 Units @26.7300 | | | | | | |
| 02/15/2018 | ***-**-61IO - BONACCI, FBO | AMERICAN BALANCED FUND-C | 149.99 | 1.50 | 3.00 | -1.50 | 100.0 | -1.50 |
| | ACCOUNT #: LSR011143 | BUY 6 Units @27.0600 | | | | | | |
| 02/15/2018 | ***-**-36IN - SILLUZIO, THOMAS | AMERICAN BALANCED FUND-C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 00068088908 | BUY 2 Units @27.0600 | | | | | | |
| 02/15/2018 | ***-**-315P - SILLUZIO, JUSTIN | AMERICAN BALANCED FUND-C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 00068803650 | BUY 2 Units @27.0600 | | | | | | |
| 02/15/2018 | ***-**-96CL - SCARPULLA, | AMERICAN BALANCED FUND-C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 00087429936 | BUY 2 Units @27.0600 | | | | | | |
| 02/15/2018 | ***-**-96CL - SCARPULLA, | AMERICAN BALANCED FUND-C | 20.00 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00089045192 | BUY 1 Units @27.0600 | | | | | | |
| 02/15/2018 | ***-**-96CL - SCARPULLA, | AMERICAN BALANCED FUND-C | 4.00 | 0.04 | 0.00 | 0.04 | 80.0 | 0.03 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @27.0600 | | | | | | |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS (continued) | | | | | | | | |
| 02/15/2018 | ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066 | AMERICAN BALANCED FUND-C BUY 2 Units @27.0600 | 40.80 | 0.41 | 0.00 | 0.41 | 80.0 | 0.33 |
| 02/15/2018 | ***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477 | AMERICAN BALANCED FUND-C BUY 1 Units @27.0600 | 16.19 | 0.16 | 0.00 | 0.16 | 80.0 | 0.13 |
| 02/16/2018 | ***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249 | AMERICAN BALANCED FUND-C BUY 0 Units @27.0600 | 3.63 | 0.04 | 0.00 | 0.04 | 80.0 | 0.03 |
| 02/16/2018 | ***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249 | AMERICAN BALANCED FUND-C BUY 1 Units @27.0600 | 28.05 | 0.28 | 0.00 | 0.28 | 80.0 | 0.22 |
| 02/16/2018 | ***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181 | AMERICAN BALANCED FUND-C BUY 0 Units @27.0600 | 6.00 | 0.06 | 0.00 | 0.06 | 80.0 | 0.05 |
| 02/16/2018 | ***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181 | AMERICAN BALANCED FUND-C BUY 0 Units @27.0600 | 1.72 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| 02/16/2018 | ***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210 | AMERICAN BALANCED FUND-C BUY 0 Units @27.0600 | 4.60 | 0.05 | 0.00 | 0.05 | 80.0 | 0.04 |
| 02/16/2018 | ***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210 | AMERICAN BALANCED FUND-C BUY 1 Units @27.0600 | 16.00 | 0.16 | 0.00 | 0.16 | 80.0 | 0.13 |
| 02/16/2018 | ***-**-2459 - MASCARO, ANTHONY ACCOUNT #: 00085904215 | AMERICAN BALANCED FUND-C BUY 1 Units @27.0600 | 20.00 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| 02/16/2018 | ***-**-2459 - MASCARO, ANTHONY ACCOUNT #: 00085904215 | AMERICAN BALANCED FUND-C BUY 0 Units @27.0600 | 5.69 | 0.06 | 0.00 | 0.06 | 80.0 | 0.05 |
| 02/12/2018 | ***-**-7063 - ZIOTO, JULIA ACCOUNT #: 04000322984 | AMERICAN GLOBAL BALANCED CL C BUY 3 Units @32.2400 | 100.00 | 1.00 | 0.00 | 1.00 | 80.0 | 0.80 |
| 02/16/2018 | ***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607 | AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.2900 | 105.00 | 1.05 | 0.00 | 1.05 | 80.0 | 0.84 |
| 02/16/2018 | ***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607 | AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.2900 | 4.55 | 0.05 | 0.00 | 0.05 | 80.0 | 0.04 |
| 02/16/2018 | ***-**-0785 - DWYER-SKINNER, ACCOUNT #: 04000807729 | AMERICAN HIGH-INCOME TRUST-C BUY 972 Units @10.2900 | 10,000.00 | 100.00 | 0.00 | 100.00 | 80.0 | 80.00 |
| 02/12/2018 | ***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347 | AMERICAN MUTUAL FUND-A BUY 1 Units @40.3500 | 30.00 | 0.30 | 0.00 | 0.30 | 80.0 | 0.24 |
| 02/12/2018 | ***-**-255P - EVANS, JAMES ACCOUNT #: 00066759711 | AMERICAN MUTUAL FUND-A BUY 18 Units @40.3500 | 720.34 | 7.20 | 0.00 | 7.20 | 80.0 | 5.76 |



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|---|--------------------------------|---------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS (continued) | | | | | | | | |
| 02/16/2018 | ***-**-275P - LAMANNA, DANIEL | AMERICAN MUTUAL FUND-A | 30.00 | 0.30 | 0.00 | 0.30 | 80.0 | 0.24 |
| | ACCOUNT #: 00066758347 | BUY 1 Units @41.3500 | | | | | | |
| 02/16/2018 | ***-**-255P - EVANS, JAMES | AMERICAN MUTUAL FUND-A | 136.19 | 1.36 | 0.00 | 1.36 | 80.0 | 1.09 |
| | ACCOUNT #: 00066759711 | BUY 3 Units @41.3500 | | | | | | |
| 02/15/2018 | ***-**-01UG - DIGIOVANNI, | AMERICAN MUTUAL FUND-C | 150.00 | 1.50 | 0.00 | 1.50 | 80.0 | 1.20 |
| | ACCOUNT #: 00087087389 | BUY 4 Units @40.6300 | | | | | | |
| 02/16/2018 | ***-**-3955 - EAST, MICHAEL | AMERICAN MUTUAL FUND-C | 5.00 | 0.05 | 0.00 | 0.05 | 80.0 | 0.04 |
| | ACCOUNT #: 00085904181 | BUY 0 Units @40.7300 | | | | | | |
| 02/16/2018 | ***-**-3955 - EAST, MICHAEL | AMERICAN MUTUAL FUND-C | 1.44 | 0.01 | 0.00 | 0.01 | 80.0 | 0.01 |
| | ACCOUNT #: 00085904181 | BUY 0 Units @40.7300 | | | | | | |
| 02/02/2018 | ***-**-7330 - JOHNSON, DONALD | CAPITAL APPRECIATION C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 03220387068 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-772I - KERHAERT, | CAPITAL APPRECIATION C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 03222178044 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-9206 - SANDER, DAVID | CAPITAL APPRECIATION C | 80.00 | 0.80 | 0.00 | 0.80 | 80.0 | 0.64 |
| | ACCOUNT #: 03222178055 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-6603 - JOHNSON, TERRY | CAPITAL APPRECIATION C | 68.00 | 0.68 | 0.00 | 0.68 | 80.0 | 0.54 |
| | ACCOUNT #: 03222192157 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-1834 - BUTLER, KIM | CAPITAL APPRECIATION C | 20.00 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 03222200176 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-729I - GIAMBRONE, KELLY | CAPITAL APPRECIATION C | 61.61 | 0.62 | 0.00 | 0.62 | 80.0 | 0.50 |
| | ACCOUNT #: 03222325444 | BUY 0 Units @0.0000 | | | | | | |
| 02/12/2018 | ***-**-425P - DELGAIZO, LOUISA | CAPITAL WORLD BOND FUND-A | 22.25 | 0.27 | 0.00 | 0.27 | 80.0 | 0.22 |
| | ACCOUNT #: 00063412117 | BUY 1 Units @20.4100 | | | | | | |
| 02/12/2018 | ***-**-425P - DELGAIZO, LOUISA | CAPITAL WORLD BOND FUND-A | 24.35 | 0.29 | 0.00 | 0.29 | 80.0 | 0.23 |
| | ACCOUNT #: 00063412117 | BUY 1 Units @20.4100 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | CAPITAL WORLD BOND FUND-A | 22.25 | 0.27 | 0.00 | 0.27 | 80.0 | 0.22 |
| | ACCOUNT #: 00063451518 | BUY 1 Units @20.4100 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | CAPITAL WORLD BOND FUND-A | 24.35 | 0.29 | 0.00 | 0.29 | 80.0 | 0.23 |
| | ACCOUNT #: 00063451518 | BUY 1 Units @20.4100 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | CAPITAL WORLD BOND FUND-A | 22.25 | 0.27 | 0.00 | 0.27 | 80.0 | 0.22 |
| | ACCOUNT #: 00063451518 | BUY 1 Units @20.4100 | | | | | | |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS (continued) | | | | | | | | |
| 02/15/2018 | ***-**-425P - DELGAIZO, LOUISA | CAPITAL WORLD BOND FUND-A | 37.46 | 0.45 | 0.00 | 0.45 | 80.0 | 0.36 |
| | ACCOUNT #: 00063412117 | BUY 2 Units @20.6000 | | | | | | |
| 02/15/2018 | ***-**-535P - DELGAIZO, | CAPITAL WORLD BOND FUND-A | 41.51 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 00063451518 | BUY 2 Units @20.6000 | | | | | | |
| 02/12/2018 | ***-**-425P - MEEKS, PERDITA | CAPITAL WORLD GROWTH AND INCOME FUN | 12.50 | 0.63 | 0.00 | 0.63 | 80.0 | 0.50 |
| | ACCOUNT #: 00074210167 | BUY 0 Units @54.2200 | | | | | | |
| 02/13/2018 | ***-**-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 @50.6000 | | | | | | |
| 02/13/2018 | ***-**-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 @50.6000 | | | | | | |
| 02/15/2018 | ***-**-01UG - DIGIOVANNI, | CAPITAL WORLD GROWTH AND INCOME FUN | 150.00 | 1.50 | 0.00 | 1.50 | 80.0 | 1.20 |
| | ACCOUNT #: 00087087389 | BUY 3 Units @52.1300 | | | | | | |
| 02/15/2018 | ***-**-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 @52.1300 | | | | | | |
| 02/16/2018 | ***-**-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 @52.1900 | | | | | | |
| 02/16/2018 | ***-**-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 @52.1900 | | | | | | |
| 02/06/2018 | ***-**-729I - GIAMBRONE, KELLY | EQUITY INCOME FUND, INC. C | 46.21 | 0.46 | 0.00 | 0.46 | 80.0 | 0.37 |
| | ACCOUNT #: 08370596090 | BUY 0 Units @0.0000 | | | | | | |
| 02/12/2018 | ***-**-445P - BURNS, DANIEL | EUROPACIFIC GROWTH FUND-A | 19.80 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00066758346 | BUY 0 Units @56.0500 | | | | | | |
| 02/12/2018 | ***-**-425P - DELGAIZO, LOUISA | EUROPACIFIC GROWTH FUND-A | 66.75 | 0.80 | 0.00 | 0.80 | 80.0 | 0.64 |
| | ACCOUNT #: 00063412117 | BUY 1 Units @56.9000 | | | | | | |
| 02/12/2018 | ***-**-425P - DELGAIZO, LOUISA | EUROPACIFIC GROWTH FUND-A | 73.04 | 0.88 | 0.00 | 0.88 | 80.0 | 0.70 |
| | ACCOUNT #: 00063412117 | BUY 1 Units @56.9000 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | EUROPACIFIC GROWTH FUND-A | 66.75 | 0.80 | 0.00 | 0.80 | 80.0 | 0.64 |
| | ACCOUNT #: 00063451518 | BUY 1 Units @56.9000 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | EUROPACIFIC GROWTH FUND-A | 73.04 | 0.88 | 0.00 | 0.88 | 80.0 | 0.70 |
| | ACCOUNT #: 00063451518 | BUY 1 Units @56.9000 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | EUROPACIFIC GROWTH FUND-A | 66.75 | 0.80 | 0.00 | 0.80 | 80.0 | 0.64 |
| | ACCOUNT #: 00063451518 | BUY 1 Units @56.9000 | | | | | | |



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| <u>BROKER TRANSACTIONS (continued)</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u> | | | | | | | | |
| 02/15/2018 | ***-**-425P - DELGAIZO, LOUISA | EUROPACIFIC GROWTH FUND-A | 112.39 | 1.35 | 0.00 | 1.35 | 80.0 | 1.08 |
| | ACCOUNT #: 00063412117 | BUY 2 Units @58.9900 | | | | | | |
| 02/15/2018 | ***-**-535P - DELGAIZO, | EUROPACIFIC GROWTH FUND-A | 124.54 | 1.49 | 0.00 | 1.49 | 80.0 | 1.19 |
| | ACCOUNT #: 00063451518 | BUY 2 Units @58.9900 | | | | | | |
| 02/16/2018 | ***-**-445P - BURNS, DANIEL | EUROPACIFIC GROWTH FUND-A | 19.80 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00066758346 | BUY 0 Units @58.0200 | | | | | | |
| 02/12/2018 | ***-**-5703 - DIODATO, | FIDELITY ADVISOR CONSUMER DISCRETIO | 37,520.83 | 375.21 | 0.00 | 375.21 | 80.0 | 300.17 |
| | ACCOUNT #: 3900218260 | BUY 0 Units @0.0000 | | | | | | |
| 02/12/2018 | ***-**-5703 - DIODATO, | FIDELITY ADVISOR REAL ESTATE CLASS | 37,520.83 | 375.21 | 0.00 | 375.21 | 80.0 | 300.17 |
| | ACCOUNT #: 3900218260 | BUY 0 Units @0.0000 | | | | | | |
| 02/12/2018 | ***-**-5703 - DIODATO, | FIDELITY ADVISOR STRATEGIC INCOME F | 37,520.84 | 375.21 | 0.00 | 375.21 | 80.0 | 300.17 |
| | ACCOUNT #: 3900218260 | BUY 0 Units @0.0000 | | | | | | |
| 02/12/2018 | ***-**-5703 - DIODATO, | FIDELITY ADVISOR UTILITIES FUND CLA | 37,520.84 | 375.21 | 0.00 | 375.21 | 80.0 | 300.17 |
| | ACCOUNT #: 3900218260 | BUY 0 Units @0.0000 | | | | | | |
| 02/12/2018 | ***-**-5703 - DIODATO, | FIDELITY GLOBAL EQUITY INCOME FUND | 37,520.83 | 375.21 | 0.00 | 375.21 | 80.0 | 300.17 |
| | ACCOUNT #: 3900218260 | BUY 0 Units @0.0000 | | | | | | |
| 02/12/2018 | ***-**-495P - HARTER, EDWARD | FUNDAMENTAL INVESTORS-A | 25.00 | 0.25 | 0.00 | 0.25 | 80.0 | 0.20 |
| | ACCOUNT #: 00066759710 | BUY 0 Units @62.0900 | | | | | | |
| 02/12/2018 | ***-**-425P - DELGAIZO, LOUISA | FUNDAMENTAL INVESTORS-A | 133.50 | 1.60 | 0.00 | 1.60 | 80.0 | 1.28 |
| | ACCOUNT #: 00063412117 | BUY 2 Units @63.0400 | | | | | | |
| 02/12/2018 | ***-**-425P - DELGAIZO, LOUISA | FUNDAMENTAL INVESTORS-A | 146.07 | 1.75 | 0.00 | 1.75 | 80.0 | 1.40 |
| | ACCOUNT #: 00063412117 | BUY 2 Units @63.0400 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | FUNDAMENTAL INVESTORS-A | 133.50 | 1.60 | 0.00 | 1.60 | 80.0 | 1.28 |
| | ACCOUNT #: 00063451518 | BUY 2 Units @63.0400 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | FUNDAMENTAL INVESTORS-A | 146.07 | 1.75 | 0.00 | 1.75 | 80.0 | 1.40 |
| | ACCOUNT #: 00063451518 | BUY 2 Units @63.0400 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | FUNDAMENTAL INVESTORS-A | 133.50 | 1.60 | 0.00 | 1.60 | 80.0 | 1.28 |
| | ACCOUNT #: 00063451518 | BUY 2 Units @63.0400 | | | | | | |
| 02/15/2018 | ***-**-425P - DELGAIZO, LOUISA | FUNDAMENTAL INVESTORS-A | 224.78 | 2.70 | 0.00 | 2.70 | 80.0 | 2.16 |
| | ACCOUNT #: 00063412117 | BUY 3 Units @64.9200 | | | | | | |
| 02/15/2018 | ***-**-535P - DELGAIZO, | FUNDAMENTAL INVESTORS-A | 249.08 | 2.99 | 0.00 | 2.99 | 80.0 | 2.39 |
| | ACCOUNT #: 00063451518 | BUY 4 Units @64.9200 | | | | | | |



COMMISSION STATEMENT

February 26, 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 FUNDS (continued) | | | | | | | | |
| 02/16/2018 | ***-**-495P - HARTER, EDWARD | FUNDAMENTAL INVESTORS-A | 25.00 | 0.25 | 0.00 | 0.25 | 80.0 | 0.20 |
| | ACCOUNT #: 00066759710 | BUY 0 Units @63.8900 | | | | | | |
| 02/12/2018 | ***-**-6171 - ROWE, KEVIN | FUNDAMENTAL INVESTORS-C | 225.00 | 2.25 | 0.00 | 2.25 | 80.0 | 1.80 |
| | ACCOUNT #: 04000591484 | BUY 4 Units @61.7000 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | FUNDAMENTAL INVESTORS-C | 2.00 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @61.8500 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | FUNDAMENTAL INVESTORS-C | 20.40 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @61.8500 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | FUNDAMENTAL INVESTORS-C | 2.00 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @61.8500 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | FUNDAMENTAL INVESTORS-C | 20.40 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @61.8500 | | | | | | |
| 02/15/2018 | ***-**-96CL - SCARPULLA, | FUNDAMENTAL INVESTORS-C | 2.00 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @63.5500 | | | | | | |
| 02/15/2018 | ***-**-96CL - SCARPULLA, | FUNDAMENTAL INVESTORS-C | 20.40 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @63.5500 | | | | | | |
| 02/16/2018 | ***-**-1721 - TABER, LISA | FUNDAMENTAL INVESTORS-C | 5.41 | 0.05 | 0.00 | 0.05 | 80.0 | 0.04 |
| | ACCOUNT #: 00085902226 | BUY 0 Units @63.4900 | | | | | | |
| 02/16/2018 | ***-**-1721 - TABER, LISA | FUNDAMENTAL INVESTORS-C | 9.00 | 0.09 | 0.00 | 0.09 | 80.0 | 0.07 |
| | ACCOUNT #: 00085902226 | BUY 0 Units @63.4900 | | | | | | |
| 02/16/2018 | ***-**-8667 - BRONGO, ROBERT | FUNDAMENTAL INVESTORS-C | 18.00 | 0.18 | 0.00 | 0.18 | 80.0 | 0.14 |
| | ACCOUNT #: 00085904203 | BUY 0 Units @63.4900 | | | | | | |
| 02/16/2018 | ***-**-8667 - BRONGO, ROBERT | FUNDAMENTAL INVESTORS-C | 1.99 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| | ACCOUNT #: 00085904203 | BUY 0 Units @63.4900 | | | | | | |
| 02/02/2018 | ***-**-9206 - SANDER, DAVID | GLOBAL OPPORTUNITIES FUND C | 80.00 | 0.80 | 0.00 | 0.80 | 80.0 | 0.64 |
| | ACCOUNT #: 02171629936 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-7330 - JOHNSON, DONALD | GLOBAL OPPORTUNITIES FUND C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 02171798599 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-90FB - DIODATO, CAROL | GLOBAL OPPORTUNITIES FUND C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 02171777391 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-2620 - CUSIMANO, MEGAN | GLOBAL OPPORTUNITIES FUND C | 25.00 | 0.25 | 0.00 | 0.25 | 80.0 | 0.20 |
| | ACCOUNT #: 02171800557 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

February 26, 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 FUNDS (continued)</u> | | | | | | | | |
| 02/06/2018 | ***-**-9530 - MILAM, IAN | GLOBAL OPPORTUNITIES FUND C | 25.00 | 0.25 | 0.00 | 0.25 | 80.0 | 0.20 |
| | ACCOUNT #: 02171852708 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-729I - GIAMBRONE, KELLY | GLOBAL OPPORTUNITIES FUND C | 77.02 | 0.77 | 0.00 | 0.77 | 80.0 | 0.62 |
| | ACCOUNT #: 02171875445 | BUY 0 Units @0.0000 | | | | | | |
| 02/16/2018 | ***-**-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 @23.0600 | | | | | | |
| 02/16/2018 | ***-**-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 @23.0600 | | | | | | |
| 02/15/2018 | ***-**-312S - DISCH, JASMINE | INVESTMENT COMPANY OF AMERICA CLASS | 15.72 | 0.16 | 0.00 | 0.16 | 80.0 | 0.13 |
| | ACCOUNT #: 00089583477 | BUY 0 Units @41.0400 | | | | | | |
| 02/15/2018 | ***-**-0578 - DIODATO, ZACHARY | INVESTMENT COMPANY OF AMERICA CLASS | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 04000618224 | BUY 1 Units @41.0400 | | | | | | |
| 02/15/2018 | ***-**-4232 - DIODATO, MELISSA | INVESTMENT COMPANY OF AMERICA CLASS | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 04000618245 | BUY 1 Units @41.0400 | | | | | | |
| 02/16/2018 | ***-**-2163 - TRAPANI, JAMES | INVESTMENT COMPANY OF AMERICA CLASS | 3.74 | 0.04 | 0.00 | 0.04 | 80.0 | 0.03 |
| | ACCOUNT #: 00085902249 | BUY 0 Units @41.1500 | | | | | | |
| 02/16/2018 | ***-**-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 @41.1500 | | | | | | |
| 02/16/2018 | ***-**-2081 - SHELHAMER, DIANE | INVESTMENT COMPANY OF AMERICA CLASS | 1.15 | 0.01 | 0.00 | 0.01 | 80.0 | 0.01 |
| | ACCOUNT #: 00085904210 | BUY 0 Units @41.1500 | | | | | | |
| 02/16/2018 | ***-**-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 @41.1500 | | | | | | |
| 02/02/2018 | ***-**-9206 - SANDER, DAVID | MAIN STREET FUND C | 80.00 | 0.80 | 0.00 | 0.80 | 80.0 | 0.64 |
| | ACCOUNT #: 07024170947 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-6603 - JOHNSON, TERRY | MAIN STREET FUND C | 66.00 | 0.66 | 0.00 | 0.66 | 80.0 | 0.53 |
| | ACCOUNT #: 07024184114 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-7330 - JOHNSON, DONALD | MAIN STREET FUND C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 07024393312 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-4980 - MOYER, COLLEEN | MAIN STREET FUND C | 25.00 | 0.25 | 0.00 | 0.25 | 80.0 | 0.20 |
| | ACCOUNT #: 07024431823 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-729I - GIAMBRONE, KELLY | MAIN STREET FUND C | 77.02 | 0.77 | 0.00 | 0.77 | 80.0 | 0.62 |
| | ACCOUNT #: 07024326366 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

February 26, 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 FUNDS (continued) | | | | | | | | |
| 02/06/2018 | ***-**-90FB - DIODATO, CAROL | MAIN STREET FUND C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 07024358024 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-2620 - CUSIMANO, MEGAN | MAIN STREET FUND C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 07024397338 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-9530 - MILAM, IAN | MAIN STREET FUND C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 07024469113 | BUY 0 Units @0.0000 | | | | | | |
| 02/12/2018 | ***-**-445P - BURNS, DANIEL | NEW PERSPECTIVE FUND-A | 19.80 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00066758346 | BUY 0 Units @43.7100 | | | | | | |
| 02/12/2018 | ***-**-425P - DELGAIZO, LOUISA | NEW PERSPECTIVE FUND-A | 22.25 | 0.27 | 0.00 | 0.27 | 80.0 | 0.22 |
| | ACCOUNT #: 00063412117 | BUY 1 Units @44.3800 | | | | | | |
| 02/12/2018 | ***-**-425P - DELGAIZO, LOUISA | NEW PERSPECTIVE FUND-A | 24.35 | 0.29 | 0.00 | 0.29 | 80.0 | 0.23 |
| | ACCOUNT #: 00063412117 | BUY 1 Units @44.3800 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | NEW PERSPECTIVE FUND-A | 22.25 | 0.27 | 0.00 | 0.27 | 80.0 | 0.22 |
| | ACCOUNT #: 00063451518 | BUY 1 Units @44.3800 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | NEW PERSPECTIVE FUND-A | 24.35 | 0.29 | 0.00 | 0.29 | 80.0 | 0.23 |
| | ACCOUNT #: 00063451518 | BUY 1 Units @44.3800 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | NEW PERSPECTIVE FUND-A | 22.25 | 0.27 | 0.00 | 0.27 | 80.0 | 0.22 |
| | ACCOUNT #: 00063451518 | BUY 1 Units @44.3800 | | | | | | |
| 02/15/2018 | ***-**-425P - DELGAIZO, LOUISA | NEW PERSPECTIVE FUND-A | 37.46 | 0.45 | 0.00 | 0.45 | 80.0 | 0.36 |
| | ACCOUNT #: 00063412117 | BUY 1 Units @45.8900 | | | | | | |
| 02/15/2018 | ***-**-535P - DELGAIZO, | NEW PERSPECTIVE FUND-A | 41.51 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 00063451518 | BUY 1 Units @45.8900 | | | | | | |
| 02/16/2018 | ***-**-445P - BURNS, DANIEL | NEW PERSPECTIVE FUND-A | 19.80 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00066758346 | BUY 0 Units @45.1400 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | NEW PERSPECTIVE FUND-C | 2.00 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @42.0700 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | NEW PERSPECTIVE FUND-C | 20.40 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @42.0700 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | NEW PERSPECTIVE FUND-C | 20.40 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @42.0700 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | NEW PERSPECTIVE FUND-C | 2.00 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @42.0700 | | | | | | |



COMMISSION STATEMENT

February 26, 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 FUNDS (continued) | | | | | | | | |
| 02/15/2018 | ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066 | NEW PERSPECTIVE FUND-C BUY 0 Units @43.4000 | 2.00 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| 02/15/2018 | ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066 | NEW PERSPECTIVE FUND-C BUY 0 Units @43.4000 | 20.40 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| 02/16/2018 | ***-**-1721 - TABER, LISA ACCOUNT #: 00085902226 | NEW PERSPECTIVE FUND-C BUY 0 Units @43.3300 | 6.32 | 0.06 | 0.00 | 0.06 | 80.0 | 0.05 |
| 02/16/2018 | ***-**-1721 - TABER, LISA ACCOUNT #: 00085902226 | NEW PERSPECTIVE FUND-C BUY 0 Units @43.3300 | 10.50 | 0.11 | 0.00 | 0.11 | 80.0 | 0.09 |
| 02/16/2018 | ***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231 | NEW PERSPECTIVE FUND-C BUY 0 Units @43.3300 | 2.50 | 0.03 | 0.00 | 0.03 | 80.0 | 0.02 |
| 02/16/2018 | ***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231 | NEW PERSPECTIVE FUND-C BUY 0 Units @43.3300 | 2.50 | 0.03 | 0.00 | 0.03 | 80.0 | 0.02 |
| 02/16/2018 | ***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203 | NEW PERSPECTIVE FUND-C BUY 0 Units @43.3300 | 21.00 | 0.21 | 0.00 | 0.21 | 80.0 | 0.17 |
| 02/16/2018 | ***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203 | NEW PERSPECTIVE FUND-C BUY 0 Units @43.3300 | 2.32 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| 02/16/2018 | ***-**-1721 - TABER, LISA ACCOUNT #: 00085902226 | NEW WORLD FUND-C BUY 0 Units @66.5000 | 6.31 | 0.06 | 0.00 | 0.06 | 80.0 | 0.05 |
| 02/16/2018 | ***-**-1721 - TABER, LISA ACCOUNT #: 00085902226 | NEW WORLD FUND-C BUY 0 Units @66.5000 | 10.50 | 0.11 | 0.00 | 0.11 | 80.0 | 0.09 |
| 02/16/2018 | ***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203 | NEW WORLD FUND-C BUY 0 Units @66.5000 | 21.00 | 0.21 | 0.00 | 0.21 | 80.0 | 0.17 |
| 02/16/2018 | ***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203 | NEW WORLD FUND-C BUY 0 Units @66.5000 | 2.32 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| 02/16/2018 | ***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420 | NEW WORLD FUND-C BUY 0 Units @66.5000 | 1.80 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| 02/16/2018 | ***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420 | NEW WORLD FUND-C BUY 1 Units @66.5000 | 48.20 | 0.48 | 0.00 | 0.48 | 80.0 | 0.38 |
| 02/26/2018 | ***-**-3758 - CONNORS, DAVID ACCOUNT #: 77162702001 | NYA JPM 529 AGGR AGE-BASE C BUY 0 Units @0.0000 | 25.00 | 0.25 | 0.00 | 0.25 | 80.0 | 0.20 |
| 02/26/2018 | ***-**-335P - JULIAN, GIOVANA ACCOUNT #: 77613466001 | NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000 | 138.52 | 1.39 | 0.00 | 1.39 | 80.0 | 1.11 |



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400 West Metro Park
Rochester, NY 14623

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BRANCH #01016 - 16 - CASPER

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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS (continued) | | | | | | | | |
| 02/02/2018 | ***-**-3407 - SUTTELL, PAULA | OPP PORT SERIES: MOD INV FD C | 100.00 | 1.00 | 0.00 | 1.00 | 80.0 | 0.80 |
| | ACCOUNT #: 05470454740 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-3407 - SUTTELL, PAULA | OPP PORT SERIES: MOD INV FD C | 871.59 | 8.72 | 0.00 | 8.72 | 80.0 | 6.98 |
| | ACCOUNT #: 05470454740 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-56SI - ODELL, JULIE | OPP PORT SERIES: MOD INV FD C | 100.00 | 1.00 | 0.00 | 1.00 | 80.0 | 0.80 |
| | ACCOUNT #: 05470419034 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-7072 - SMITH, DEBBIE | OPP PORT SERIES: MOD INV FD C | 400.00 | 4.00 | 0.00 | 4.00 | 80.0 | 3.20 |
| | ACCOUNT #: 06670037664 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-4143 - STONE, GEORGE | OPP PORT SERIES: MOD INV FD C | 180.00 | 1.80 | 0.00 | 1.80 | 80.0 | 1.44 |
| | ACCOUNT #: 06670037675 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-3526 - STONE, LINDA | OPP PORT SERIES: MOD INV FD C | 180.00 | 1.80 | 0.00 | 1.80 | 80.0 | 1.44 |
| | ACCOUNT #: 06670037686 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-6603 - JOHNSON, TERRY | OPPENHEIMER GLOBAL CLASS C | 66.00 | 0.66 | 0.00 | 0.66 | 80.0 | 0.53 |
| | ACCOUNT #: 03322638581 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-729I - GIAMBRONE, KELLY | OPPENHEIMER MAIN STREET SMALL CAP F | 46.20 | 0.46 | 0.00 | 0.46 | 80.0 | 0.37 |
| | ACCOUNT #: 08491596925 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-6836 - SMITH, ADRIENNE | OPPENHEIMER RISING DIVIDENDS FUND C | 25.00 | 0.25 | 0.00 | 0.25 | 80.0 | 0.20 |
| | ACCOUNT #: 02271182830 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-4980 - MOYER, COLLEEN | OPPENHEIMER RISING DIVIDENDS FUND C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 02271217095 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-1314 - BENEDETTO, | OPPENHEIMER RISING DIVIDENDS FUND C | 125.00 | 1.25 | 0.00 | 1.25 | 80.0 | 1.00 |
| | ACCOUNT #: 02270934318 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-772I - KERHAERT, | QUEST BALANCED FUND C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 02592262304 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-1314 - BENEDETTO, | QUEST BALANCED FUND C | 250.00 | 2.50 | 0.00 | 2.50 | 80.0 | 2.00 |
| | ACCOUNT #: 02592292741 | BUY 0 Units @0.0000 | | | | | | |
| 02/07/2018 | ***-**-8706 - BOSCO, REN | QUEST BALANCED FUND C | 500.00 | 5.00 | 0.00 | 5.00 | 80.0 | 4.00 |
| | ACCOUNT #: 02590094105 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-7330 - JOHNSON, DONALD | REAL ESTATE FUND C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 05920398266 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-2620 - CUSIMANO, MEGAN | REAL ESTATE FUND C | 25.00 | 0.25 | 0.00 | 0.25 | 80.0 | 0.20 |
| | ACCOUNT #: 05920400103 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

February 26, 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 FUNDS (continued) | | | | | | | | |
| 02/06/2018 | ***-**-9530 - MILAM, IAN | REAL ESTATE FUND C | 25.00 | 0.25 | 0.00 | 0.25 | 80.0 | 0.20 |
| | ACCOUNT #: 05920419496 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-1834 - BUTLER, KIM | SMALL- & MID- CAP VALUE FUND C | 20.00 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 02531162106 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-4980 - MOYER, COLLEEN | SMALL- & MID- CAP VALUE FUND C | 25.00 | 0.25 | 0.00 | 0.25 | 80.0 | 0.20 |
| | ACCOUNT #: 02531288969 | BUY 0 Units @0.0000 | | | | | | |
| 02/12/2018 | ***-**-445P - BURNS, DANIEL | SMALLCAP WORLD FUND-A | 28.60 | 0.29 | 0.00 | 0.29 | 80.0 | 0.23 |
| | ACCOUNT #: 00066758346 | BUY 1 Units @55.4600 | | | | | | |
| 02/16/2018 | ***-**-445P - BURNS, DANIEL | SMALLCAP WORLD FUND-A | 28.60 | 0.29 | 0.00 | 0.29 | 80.0 | 0.23 |
| | ACCOUNT #: 00066758346 | BUY 1 Units @57.2200 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | SMALLCAP WORLD FUND-C | 20.40 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @48.8600 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | SMALLCAP WORLD FUND-C | 2.00 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @48.8600 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | SMALLCAP WORLD FUND-C | 2.00 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @48.8600 | | | | | | |
| 02/13/2018 | ***-**-96CL - SCARPULLA, | SMALLCAP WORLD FUND-C | 20.40 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @48.8600 | | | | | | |
| 02/15/2018 | ***-**-96CL - SCARPULLA, | SMALLCAP WORLD FUND-C | 2.00 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @50.1300 | | | | | | |
| 02/15/2018 | ***-**-96CL - SCARPULLA, | SMALLCAP WORLD FUND-C | 20.40 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00089051066 | BUY 0 Units @50.1300 | | | | | | |
| 02/16/2018 | ***-**-96CL - SCARPULLA, | SMALLCAP WORLD FUND-C | 1.80 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| | ACCOUNT #: 00087038420 | BUY 0 Units @50.2900 | | | | | | |
| 02/16/2018 | ***-**-96CL - SCARPULLA, | SMALLCAP WORLD FUND-C | 48.20 | 0.48 | 0.00 | 0.48 | 80.0 | 0.38 |
| | ACCOUNT #: 00087038420 | BUY 1 Units @50.2900 | | | | | | |
| 02/02/2018 | ***-**-1834 - BUTLER, KIM | STRATEGIC INCOME FUND C | 10.00 | 0.10 | 0.00 | 0.10 | 80.0 | 0.08 |
| | ACCOUNT #: 01920863291 | BUY 0 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-9206 - SANDER, DAVID | STRATEGIC INCOME FUND C | 80.00 | 0.80 | 0.00 | 0.80 | 80.0 | 0.64 |
| | ACCOUNT #: 02322653794 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-1314 - BENEDETTO, | STRATEGIC INCOME FUND C | 125.00 | 1.25 | 0.00 | 1.25 | 80.0 | 1.00 |
| | ACCOUNT #: 02322751089 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

February 26, 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 FUNDS (continued) | | | | | | | | |
| 02/12/2018 | ***-**-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 @12.6300 | | | | | | |
| 02/12/2018 | ***-**-425P - DELGAIZO, LOUISA | THE BOND FUND OF AMERICA-A | 44.50 | 0.53 | 0.00 | 0.53 | 80.0 | 0.42 |
| | ACCOUNT #: 00063412117 | BUY 3 Units @12.8200 | | | | | | |
| 02/12/2018 | ***-**-425P - DELGAIZO, LOUISA | THE BOND FUND OF AMERICA-A | 48.69 | 0.58 | 0.00 | 0.58 | 80.0 | 0.46 |
| | ACCOUNT #: 00063412117 | BUY 4 Units @12.8200 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | THE BOND FUND OF AMERICA-A | 44.50 | 0.53 | 0.00 | 0.53 | 80.0 | 0.42 |
| | ACCOUNT #: 00063451518 | BUY 3 Units @12.8200 | | | | | | |
| 02/12/2018 | ***-**-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 @12.8200 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | THE BOND FUND OF AMERICA-A | 44.50 | 0.53 | 0.00 | 0.53 | 80.0 | 0.42 |
| | ACCOUNT #: 00063451518 | BUY 3 Units @12.8200 | | | | | | |
| 02/15/2018 | ***-**-425P - DELGAIZO, LOUISA | THE BOND FUND OF AMERICA-A | 74.93 | 0.90 | 0.00 | 0.90 | 80.0 | 0.72 |
| | ACCOUNT #: 00063412117 | BUY 6 Units @12.7800 | | | | | | |
| 02/15/2018 | ***-**-535P - DELGAIZO, | THE BOND FUND OF AMERICA-A | 83.03 | 1.00 | 0.00 | 1.00 | 80.0 | 0.80 |
| | ACCOUNT #: 00063451518 | BUY 6 Units @12.7800 | | | | | | |
| 02/16/2018 | ***-**-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 @12.6100 | | | | | | |
| 02/16/2018 | ***-**-2163 - TRAPANI, JAMES | THE BOND FUND OF AMERICA-C | 3.63 | 0.04 | 0.00 | 0.04 | 80.0 | 0.03 |
| | ACCOUNT #: 00085902249 | BUY 0 Units @12.6100 | | | | | | |
| 02/16/2018 | ***-**-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 @12.6100 | | | | | | |
| 02/16/2018 | ***-**-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 @12.6100 | | | | | | |
| 02/16/2018 | ***-**-3955 - EAST, MICHAEL | THE BOND FUND OF AMERICA-C | 2.58 | 0.03 | 0.00 | 0.03 | 80.0 | 0.02 |
| | ACCOUNT #: 00085904181 | BUY 0 Units @12.6100 | | | | | | |
| 02/12/2018 | ***-**-195P - OZMINKOWSKI, | THE GROWTH FUND OF AMERICA-A | 250.00 | 2.50 | 0.00 | 2.50 | 80.0 | 2.00 |
| | ACCOUNT #: 00066758342 | BUY 5 Units @50.5800 | | | | | | |
| 02/12/2018 | ***-**-405P - FRISA, ALAN | THE GROWTH FUND OF AMERICA-A | 30.00 | 0.30 | 0.00 | 0.30 | 80.0 | 0.24 |
| | ACCOUNT #: 00066758344 | BUY 1 Units @50.5800 | | | | | | |
| 02/12/2018 | ***-**-445P - BURNS, DANIEL | THE GROWTH FUND OF AMERICA-A | 72.60 | 0.73 | 0.00 | 0.73 | 80.0 | 0.58 |
| | ACCOUNT #: 00066758346 | BUY 1 Units @50.5800 | | | | | | |



COMMISSION STATEMENT

February 26, 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 FUNDS (continued) | | | | | | | | |
| 02/12/2018 | ***-**-275P - LAMANNA, DANIEL | THE GROWTH FUND OF AMERICA-A | 30.00 | 0.30 | 0.00 | 0.30 | 80.0 | 0.24 |
| | ACCOUNT #: 00066758347 | BUY 1 Units @50.5800 | | | | | | |
| 02/12/2018 | ***-**-945P - VEGA, EDWARD | THE GROWTH FUND OF AMERICA-A | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 00066758348 | BUY 1 Units @50.5800 | | | | | | |
| 02/12/2018 | ***-**-095P - RIVERA, MIGUEL | THE GROWTH FUND OF AMERICA-A | 130.00 | 1.30 | 0.00 | 1.30 | 80.0 | 1.04 |
| | ACCOUNT #: 00074922243 | BUY 3 Units @50.5800 | | | | | | |
| 02/12/2018 | ***-**-4750 - OSCHMANN, MARK | THE GROWTH FUND OF AMERICA-A | 61.28 | 0.61 | 0.00 | 0.61 | 80.0 | 0.49 |
| | ACCOUNT #: 00083414110 | BUY 1 Units @50.5800 | | | | | | |
| 02/12/2018 | ***-**-9447 - ZAJONCZKOSKI, | THE GROWTH FUND OF AMERICA-A | 20.00 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| | ACCOUNT #: 00087318332 | BUY 0 Units @50.5800 | | | | | | |
| 02/12/2018 | ***-**-4263 - HARTER, IAN | THE GROWTH FUND OF AMERICA-A | 10.00 | 0.10 | 0.00 | 0.10 | 80.0 | 0.08 |
| | ACCOUNT #: 00089461113 | BUY 0 Units @50.5800 | | | | | | |
| 02/12/2018 | ***-**-425P - DELGAIZO, LOUISA | THE GROWTH FUND OF AMERICA-A | 66.75 | 0.80 | 0.00 | 0.80 | 80.0 | 0.64 |
| | ACCOUNT #: 00063412117 | BUY 1 Units @51.3500 | | | | | | |
| 02/12/2018 | ***-**-425P - DELGAIZO, LOUISA | THE GROWTH FUND OF AMERICA-A | 73.04 | 0.88 | 0.00 | 0.88 | 80.0 | 0.70 |
| | ACCOUNT #: 00063412117 | BUY 1 Units @51.3500 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | THE GROWTH FUND OF AMERICA-A | 66.75 | 0.80 | 0.00 | 0.80 | 80.0 | 0.64 |
| | ACCOUNT #: 00063451518 | BUY 1 Units @51.3500 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | THE GROWTH FUND OF AMERICA-A | 73.04 | 0.88 | 0.00 | 0.88 | 80.0 | 0.70 |
| | ACCOUNT #: 00063451518 | BUY 1 Units @51.3500 | | | | | | |
| 02/12/2018 | ***-**-535P - DELGAIZO, | THE GROWTH FUND OF AMERICA-A | 66.75 | 0.80 | 0.00 | 0.80 | 80.0 | 0.64 |
| | ACCOUNT #: 00063451518 | BUY 1 Units @51.3500 | | | | | | |
| 02/12/2018 | ***-**-425P - MEEKS, PERDITA | THE GROWTH FUND OF AMERICA-A | 12.50 | 0.63 | 0.00 | 0.63 | 80.0 | 0.50 |
| | ACCOUNT #: 00074210167 | BUY 0 Units @53.6700 | | | | | | |
| 02/15/2018 | ***-**-425P - DELGAIZO, LOUISA | THE GROWTH FUND OF AMERICA-A | 112.39 | 1.35 | 0.00 | 1.35 | 80.0 | 1.08 |
| | ACCOUNT #: 00063412117 | BUY 2 Units @53.0600 | | | | | | |
| 02/15/2018 | ***-**-535P - DELGAIZO, | THE GROWTH FUND OF AMERICA-A | 124.54 | 1.49 | 0.00 | 1.49 | 80.0 | 1.19 |
| | ACCOUNT #: 00063451518 | BUY 2 Units @53.0600 | | | | | | |
| 02/16/2018 | ***-**-195P - OZMINKOWSKI, | THE GROWTH FUND OF AMERICA-A | 250.00 | 2.50 | 0.00 | 2.50 | 80.0 | 2.00 |
| | ACCOUNT #: 00066758342 | BUY 5 Units @52.1800 | | | | | | |
| 02/16/2018 | ***-**-405P - FRISA, ALAN | THE GROWTH FUND OF AMERICA-A | 30.00 | 0.30 | 0.00 | 0.30 | 80.0 | 0.24 |
| | ACCOUNT #: 00066758344 | BUY 1 Units @52.1800 | | | | | | |



COMMISSION STATEMENT

February 26, 2018

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Rochester, NY 14623

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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS (continued) | | | | | | | | |
| 02/16/2018 | ***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346 | THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.1800 | 72.60 | 0.73 | 0.00 | 0.73 | 80.0 | 0.58 |
| 02/16/2018 | ***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347 | THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.1800 | 30.00 | 0.30 | 0.00 | 0.30 | 80.0 | 0.24 |
| 02/16/2018 | ***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348 | THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.1800 | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| 02/16/2018 | ***-**-095P - RIVERA, MIGUEL ACCOUNT #: 00074922243 | THE GROWTH FUND OF AMERICA-A BUY 2 Units @52.1800 | 130.00 | 1.30 | 0.00 | 1.30 | 80.0 | 1.04 |
| 02/16/2018 | ***-**-4750 - OSCHMANN, MARK ACCOUNT #: 00083414110 | THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.1800 | 60.05 | 0.60 | 0.00 | 0.60 | 80.0 | 0.48 |
| 02/16/2018 | ***-**-9447 - ZAJONCZKOSKI, ACCOUNT #: 00087318332 | THE GROWTH FUND OF AMERICA-A BUY 0 Units @52.1800 | 20.00 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| 02/16/2018 | ***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113 | THE GROWTH FUND OF AMERICA-A BUY 0 Units @52.1800 | 10.00 | 0.10 | 0.00 | 0.10 | 80.0 | 0.08 |
| 02/12/2018 | ***-**-6171 - ROWE, KEVIN ACCOUNT #: 04000591484 | THE GROWTH FUND OF AMERICA-C BUY 5 Units @46.8700 | 225.00 | 2.25 | 0.00 | 2.25 | 80.0 | 1.80 |
| 02/12/2018 | ***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754 | THE GROWTH FUND OF AMERICA-C BUY 3 Units @46.8700 | 160.00 | 1.60 | 0.00 | 1.60 | 80.0 | 1.28 |
| 02/12/2018 | ***-**-1307 - BONACCI, ACCOUNT #: 00087952601 | THE GROWTH FUND OF AMERICA-C BUY 2 Units @46.8700 | 100.00 | 1.00 | 0.00 | 1.00 | 80.0 | 0.80 |
| 02/12/2018 | ***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089319958 | THE GROWTH FUND OF AMERICA-C BUY 1 Units @46.8700 | 55.97 | 0.56 | 0.00 | 0.56 | 80.0 | 0.45 |
| 02/12/2018 | ***-**-50IN - BONACCI, ACCOUNT #: 00089947853 | THE GROWTH FUND OF AMERICA-C BUY 2 Units @46.8700 | 100.00 | 1.00 | 0.00 | 1.00 | 80.0 | 0.80 |
| 02/12/2018 | ***-**-8208 - KARNS, SHANNON ACCOUNT #: 04000591533 | THE GROWTH FUND OF AMERICA-C BUY 5 Units @46.8700 | 225.00 | 2.25 | 0.00 | 2.25 | 80.0 | 1.80 |
| 02/12/2018 | ***-**-0006 - FORSYTH, KATHRYN ACCOUNT #: 04000650661 | THE GROWTH FUND OF AMERICA-C BUY 2 Units @46.8700 | 86.54 | 0.87 | 0.00 | 0.87 | 80.0 | 0.70 |
| 02/13/2018 | ***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192 | THE GROWTH FUND OF AMERICA-C BUY 0 Units @47.0200 | 15.00 | 0.15 | 0.00 | 0.15 | 80.0 | 0.12 |
| 02/15/2018 | ***-**-3431 - SPENCER, ACCOUNT #: 04000347049 | THE GROWTH FUND OF AMERICA-C BUY 2 Units @48.4200 | 100.00 | 1.00 | 0.00 | 1.00 | 80.0 | 0.80 |



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|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS (continued) | | | | | | | | |
| 02/15/2018 | ***-**-845P - MARTHALLER, ACCOUNT #: 00087023930 | THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.4200 | 60.00 | 0.60 | 0.00 | 0.60 | 80.0 | 0.48 |
| 02/15/2018 | ***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192 | THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.4200 | 15.00 | 0.15 | 0.00 | 0.15 | 80.0 | 0.12 |
| 02/15/2018 | ***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477 | THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.4200 | 15.71 | 0.16 | 0.00 | 0.16 | 80.0 | 0.13 |
| 02/16/2018 | ***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231 | THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.3500 | 2.50 | 0.03 | 0.00 | 0.03 | 80.0 | 0.02 |
| 02/16/2018 | ***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231 | THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.3500 | 2.50 | 0.03 | 0.00 | 0.03 | 80.0 | 0.02 |
| 02/16/2018 | ***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420 | THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.3500 | 1.80 | 0.02 | 0.00 | 0.02 | 80.0 | 0.02 |
| 02/16/2018 | ***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420 | THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.3500 | 48.20 | 0.48 | 0.00 | 0.48 | 80.0 | 0.38 |
| 02/12/2018 | ***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342 | THE INVESTMENT COMPANY OF AMERICA-A BUY 6 Units @40.4400 | 250.00 | 2.50 | 0.00 | 2.50 | 80.0 | 2.00 |
| 02/12/2018 | ***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346 | THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @40.4400 | 28.60 | 0.29 | 0.00 | 0.29 | 80.0 | 0.23 |
| 02/12/2018 | ***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348 | THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @40.4400 | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| 02/12/2018 | ***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048 | THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @40.4400 | 20.00 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| 02/16/2018 | ***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342 | THE INVESTMENT COMPANY OF AMERICA-A BUY 6 Units @41.6200 | 250.00 | 2.50 | 0.00 | 2.50 | 80.0 | 2.00 |
| 02/16/2018 | ***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346 | THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.6200 | 28.60 | 0.29 | 0.00 | 0.29 | 80.0 | 0.23 |
| 02/16/2018 | ***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348 | THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.6200 | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| 02/16/2018 | ***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048 | THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @41.6200 | 20.00 | 0.20 | 0.00 | 0.20 | 80.0 | 0.16 |
| 02/15/2018 | ***-**-8932 - RUSH, MICHELLE ACCOUNT #: 04000574835 | THE TAX-EXEMPT BOND FUND OF AMERICA BUY 4 Units @12.8000 | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |



COMMISSION STATEMENT

February 26, 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 FUNDS (continued) | | | | | | | | |
| 02/02/2018 | ***-**-9206 - SANDER, DAVID | VALUE FUND C | 80.00 | 0.80 | 0.00 | 0.80 | 80.0 | 0.64 |
| | ACCOUNT #: 03770488829 | BUY 0 Units @0.0000 | | | | | | |
| 02/12/2018 | ***-**-415P - MALOVICS, LASZLO | WASHINGTON MUTUAL INVESTORS FUND-A | 500.00 | 5.00 | 0.00 | 5.00 | 80.0 | 4.00 |
| | ACCOUNT #: 00066758345 | BUY 11 Units @45.4300 | | | | | | |
| 02/12/2018 | ***-**-445P - BURNS, DANIEL | WASHINGTON MUTUAL INVESTORS FUND-A | 30.80 | 0.31 | 0.00 | 0.31 | 80.0 | 0.25 |
| | ACCOUNT #: 00066758346 | BUY 1 Units @45.4300 | | | | | | |
| 02/16/2018 | ***-**-415P - MALOVICS, LASZLO | WASHINGTON MUTUAL INVESTORS FUND-A | 500.00 | 5.00 | 0.00 | 5.00 | 80.0 | 4.00 |
| | ACCOUNT #: 00066758345 | BUY 11 Units @46.5100 | | | | | | |
| 02/16/2018 | ***-**-445P - BURNS, DANIEL | WASHINGTON MUTUAL INVESTORS FUND-A | 30.80 | 0.31 | 0.00 | 0.31 | 80.0 | 0.25 |
| | ACCOUNT #: 00066758346 | BUY 1 Units @46.5100 | | | | | | |
| 02/12/2018 | ***-**-435P - BOSCO, SOFIA | WASHINGTON MUTUAL INVESTORS FUND-C | 170.00 | 1.70 | 0.00 | 1.70 | 80.0 | 1.36 |
| | ACCOUNT #: 00073003754 | BUY 4 Units @44.8200 | | | | | | |
| 02/12/2018 | ***-**-305P - MESH, RONALD | WASHINGTON MUTUAL INVESTORS FUND-C | 400.00 | 4.00 | 0.00 | 4.00 | 80.0 | 3.20 |
| | ACCOUNT #: 00074720484 | BUY 9 Units @44.8200 | | | | | | |
| 02/13/2018 | ***-**-2825 - SPERANZA, JOHN | WASHINGTON MUTUAL INVESTORS FUND-C | 40.00 | 0.40 | 0.00 | 0.40 | 80.0 | 0.32 |
| | ACCOUNT #: 00089910177 | BUY 1 Units @44.9200 | | | | | | |
| 02/15/2018 | ***-**-436I - RAGO, LISA | WASHINGTON MUTUAL INVESTORS FUND-C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 04000456708 | BUY 1 Units @45.8900 | | | | | | |
| * MUTUAL FUNDS SUBTOTAL * | | | \$215,409.64 | \$2,166.21 | \$3.00 | \$2,163.21 | | \$1,730.30 |
| PRODUCT CATEGORY: 529 PLAN | | | | | | | | |
| 02/15/2018 | ***-**-195P - HECHT, ANDREW | AMERICAN BALANCED FUND-529A | 200.00 | 10.00 | 0.00 | 10.00 | 80.0 | 8.00 |
| | ACCOUNT #: 00068453142 | BUY 7 Units @28.8700 | | | | | | |
| 02/15/2018 | ***-**-7255 - LIPPA, HARITINI | AMERICAN BALANCED FUND-529C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 00087198121 | BUY 2 Units @27.1800 | | | | | | |
| 02/15/2018 | ***-**-7255 - LIPPA, HARITINI | AMERICAN BALANCED FUND-529C | 50.00 | 0.50 | 0.00 | 0.50 | 80.0 | 0.40 |
| | ACCOUNT #: 00087198137 | BUY 2 Units @27.1800 | | | | | | |
| 02/15/2018 | ***-**-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 @55.3400 | | | | | | |
| 02/15/2018 | ***-**-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 @55.3400 | | | | | | |
| 02/21/2018 | ***-**-540J - ARBORE, MARIA | COLUMBIA MF TRAILS | 0.00 | 2.27 | 0.00 | 2.27 | 80.0 | 1.82 |
| | | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

February 26, 2018

FREDERIC SCARPULLA
400 West Metro Park
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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: 529 PLAN (continued) | | | | | | | | |
| 02/21/2018 | ***-**-07IN - SCARPULLA, | COLUMBIA MF TRAILS BUY 0 Units @0.0000 | 0.00 | 16.02 | 0.00 | 16.02 | 80.0 | 12.82 |
| 02/21/2018 | ***-**-503J - OBI, JEAN | NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000 | 0.00 | 2.38 | 0.00 | 2.38 | 80.0 | 1.90 |
| 02/21/2018 | ***-**-335P - JULIAN, GIOVANA ACCOUNT #: 77613466001 | NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000 | 0.00 | 0.46 | 0.00 | 0.46 | 80.0 | 0.37 |
| 02/21/2018 | ***-**-335P - JULIAN, GIOVANA ACCOUNT #: 77613466001 | NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000 | 0.00 | 0.93 | 0.00 | 0.93 | 80.0 | 0.74 |
| 02/21/2018 | ***-**-80IN - MOYER, COLLEEN ACCOUNT #: 77705588101 | NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000 | 0.00 | 1.52 | 0.00 | 1.52 | 80.0 | 1.22 |
| 02/15/2018 | ***-**-415P - SCHILLACI, AMY ACCOUNT #: 00081268733 | THE GROWTH FUND OF AMERICA-529C BUY 2 Units @48.5800 | 75.00 | 0.75 | 0.00 | 0.75 | 80.0 | 0.60 |
| * 529 PLAN SUBTOTAL * | | | \$475.00 | \$39.59 | \$0.00 | \$39.59 | | \$31.67 |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | |
|------------|--|---|------|-------|------|-------|------|-------|
| 02/20/2018 | ***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421 | AMERICAN BALANCED FUND-C BUY 1 Units @0.0000 | 0.00 | 27.83 | 0.00 | 27.83 | 80.0 | 22.26 |
| 02/20/2018 | ***-**-19IN - LIPPA, MARISSA ACCOUNT #: LSR011011 | AMERICAN BALANCED FUND-C BUY 1 Units @0.0000 | 0.00 | 1.21 | 0.00 | 1.21 | 80.0 | 0.97 |
| 02/20/2018 | ***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143 | AMERICAN BALANCED FUND-C BUY 1 Units @0.0000 | 0.00 | 5.91 | 0.00 | 5.91 | 80.0 | 4.73 |
| 02/20/2018 | ***-**-497J - WARNEY, KENNETH ACCOUNT #: LSR011248 | AMERICAN BALANCED FUND-C BUY 1 Units @0.0000 | 0.00 | 3.77 | 0.00 | 3.77 | 80.0 | 3.02 |
| 02/20/2018 | ***-**-58IR - HINDERLAND, GARY ACCOUNT #: LSR011249 | AMERICAN BALANCED FUND-C BUY 1 Units @0.0000 | 0.00 | 1.42 | 0.00 | 1.42 | 80.0 | 1.14 |
| 02/20/2018 | ***-**-283I - RICCI, GABRIELLE ACCOUNT #: LSR011473 | AMERICAN BALANCED FUND-C BUY 1 Units @0.0000 | 0.00 | 2.29 | 0.00 | 2.29 | 80.0 | 1.83 |
| 02/20/2018 | ***-**-95IO - KELLY, COURTNEY ACCOUNT #: LSR011685 | AMERICAN BALANCED FUND-C BUY 1 Units @0.0000 | 0.00 | 3.13 | 0.00 | 3.13 | 80.0 | 2.50 |
| 02/20/2018 | ***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690 | AMERICAN BALANCED FUND-C BUY 1 Units @0.0000 | 0.00 | 23.88 | 0.00 | 23.88 | 80.0 | 19.10 |
| 02/20/2018 | ***-**-80IN - MOYER, COLLEEN ACCOUNT #: LSR011724 | AMERICAN BALANCED FUND-C BUY 1 Units @0.0000 | 0.00 | 13.35 | 0.00 | 13.35 | 80.0 | 10.68 |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-80IR - MOYER, COLLEEN ACCOUNT #: LSR011726 | AMERICAN BALANCED FUND-C BUY 1 Units @0.0000 | 0.00 | 4.51 | 0.00 | 4.51 | 80.0 | 3.61 |
| 02/20/2018 | ***-**-11IN - RUSSELL, ALAN ACCOUNT #: LSR011417 | AMERICAN FUND TAX - EXEMPT FUND OF BUY 1 Units @0.0000 | 0.00 | 0.11 | 0.00 | 0.11 | 80.0 | 0.09 |
| 02/20/2018 | ***-**-61IN - OLIVERI, WILLIAM ACCOUNT #: LSR011543 | AMERICAN HIGH INCOME MUNI BOND CLAS BUY 1 Units @0.0000 | 0.00 | 105.65 | 0.00 | 105.65 | 80.0 | 84.52 |
| 02/20/2018 | ***-**-306I - SINCLAIR, ACCOUNT #: LSR010992 | AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000 | 0.00 | 5.32 | 0.00 | 5.32 | 80.0 | 4.26 |
| 02/20/2018 | ***-**-05IO - KIMBLE, LONNY ACCOUNT #: LSR011472 | AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000 | 0.00 | 59.82 | 0.00 | 59.82 | 80.0 | 47.86 |
| 02/20/2018 | ***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690 | AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000 | 0.00 | 21.85 | 0.00 | 21.85 | 80.0 | 17.48 |
| 02/20/2018 | ***-**-80IN - MOYER, COLLEEN ACCOUNT #: LSR011724 | AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000 | 0.00 | 12.19 | 0.00 | 12.19 | 80.0 | 9.75 |
| 02/20/2018 | ***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421 | AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000 | 0.00 | 29.43 | 0.00 | 29.43 | 80.0 | 23.54 |
| 02/20/2018 | ***-**-44IR - ROBERTSON, ACCOUNT #: LSR010558 | AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000 | 0.00 | 1.58 | 0.00 | 1.58 | 80.0 | 1.26 |
| 02/20/2018 | ***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143 | AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000 | 0.00 | 7.77 | 0.00 | 7.77 | 80.0 | 6.22 |
| 02/20/2018 | ***-**-497J - WARNEY, KENNETH ACCOUNT #: LSR011248 | AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000 | 0.00 | 1.48 | 0.00 | 1.48 | 80.0 | 1.18 |
| 02/20/2018 | ***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 98.68 | 0.00 | 98.68 | 80.0 | 78.94 |
| 02/20/2018 | ***-**-306I - SINCLAIR, ACCOUNT #: LSR010992 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 5.60 | 0.00 | 5.60 | 80.0 | 4.48 |
| 02/20/2018 | ***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690 | CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000 | 0.00 | 6.98 | 0.00 | 6.98 | 80.0 | 5.58 |
| 02/05/2018 | ***-**-732J - ARBORE, MARIA ACCOUNT #: 00000108231 | CORE BOND FUND - A BUY 0 Units @0.0000 | 0.00 | 4.29 | 0.00 | 4.29 | 80.0 | 3.43 |
| 02/21/2018 | ***-**-264I - SIDOTI, LAURA ACCOUNT #: 0104134960 | EATON VANCE MF TRAILS BUY 0 Units @0.0000 | 0.00 | 3.60 | 0.00 | 3.60 | 80.0 | 2.88 |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/21/2018 | ***-**-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 |
| 02/21/2018 | ***-**-96CL - SCARPULLA, ACCOUNT #: 5054692727 | EATON VANCE MF TRAILS BUY 0 Units @0.0000 | 0.00 | 4.13 | 0.00 | 4.13 | 80.0 | 3.30 |
| 02/21/2018 | ***-**-264I - SIDOTI, LAURA ACCOUNT #: 0104134960 | EATON VANCE MF TRAILS BUY 0 Units @0.0000 | 0.00 | 10.81 | 0.00 | 10.81 | 80.0 | 8.65 |
| 02/26/2018 | ***-**-63IR - DIAMOND, ANN ACCOUNT #: LSR011725 | FEDERATED STRATEGIC INCOME FUND CLA BUY 1 Units @0.0000 | 0.00 | 0.65 | 0.00 | 0.65 | 80.0 | 0.52 |
| 02/26/2018 | ***-**-44IR - ROBERTSON, ACCOUNT #: LSR010558 | FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000 | 0.00 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 02/20/2018 | ***-**-721I - TABER, FBO LISA ACCOUNT #: LSR010434 | FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000 | 0.00 | 1.23 | 0.00 | 1.23 | 80.0 | 0.98 |
| 02/20/2018 | ***-**-721I - TABER, FBO LISA ACCOUNT #: LSR010434 | FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000 | 0.00 | 2.57 | 0.00 | 2.57 | 80.0 | 2.06 |
| 02/20/2018 | ***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 26.14 | 0.00 | 26.14 | 80.0 | 20.91 |
| 02/20/2018 | ***-**-80IN - MOYER, COLLEEN ACCOUNT #: LSR011724 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 14.60 | 0.00 | 14.60 | 80.0 | 11.68 |
| 02/20/2018 | ***-**-80IR - MOYER, COLLEEN ACCOUNT #: LSR011726 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 2.46 | 0.00 | 2.46 | 80.0 | 1.97 |
| 02/26/2018 | ***-**-92IR - CHEN, CYNTHIA ACCOUNT #: LSR011412 | GLOBAL OPPORTUNITIES A BUY 1 Units @0.0000 | 0.00 | 1.90 | 0.00 | 1.90 | 80.0 | 1.52 |
| 02/05/2018 | ***-**-39IN - ARBORE, MARIA ACCOUNT #: 00000176375 | GROWTH AND INCOME FUND - A BUY 0 Units @0.0000 | 0.00 | 3.07 | 0.00 | 3.07 | 80.0 | 2.46 |
| 02/20/2018 | ***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 103.72 | 0.00 | 103.72 | 80.0 | 82.98 |
| 02/20/2018 | ***-**-306I - SINCLAIR, ACCOUNT #: LSR010992 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 5.72 | 0.00 | 5.72 | 80.0 | 4.58 |
| 02/20/2018 | ***-**-05IO - KIMBLE, LONNY ACCOUNT #: LSR011472 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 62.99 | 0.00 | 62.99 | 80.0 | 50.39 |
| 02/20/2018 | ***-**-70UT - GALLETTS CUST, ACCOUNT #: LSR011191 | INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @0.0000 | 0.00 | 7.28 | 0.00 | 7.28 | 80.0 | 5.82 |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-63IR - DIAMOND, ANN | LORD ABBETT SHORT DURATION INCOME C | 0.00 | 0.27 | 0.00 | 0.27 | 80.0 | 0.22 |
| | ACCOUNT #: LSR011725 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-63IR - DIAMOND, ANN | MUTUAL GLOBAL DISCOVERY FUND - CLAS | 0.00 | 0.74 | 0.00 | 0.74 | 80.0 | 0.59 |
| | ACCOUNT #: LSR011725 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-92IR - CRISPINO, FBO | NEW PERSPECTIVE FUND-C | 0.00 | 12.06 | 0.00 | 12.06 | 80.0 | 9.65 |
| | ACCOUNT #: LSR011073 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-61IO - BONACCI, FBO | NEW PERSPECTIVE FUND-C | 0.00 | 5.66 | 0.00 | 5.66 | 80.0 | 4.53 |
| | ACCOUNT #: LSR011143 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-825P - CRISPINO, DIANA | NEW PERSPECTIVE FUND-C | 0.00 | 3.97 | 0.00 | 3.97 | 80.0 | 3.18 |
| | ACCOUNT #: LSR011759 | BUY 1 Units @0.0000 | | | | | | |
| 02/02/2018 | ***-**-6836 - SMITH, ADRIENNE | OPPENHEIMER CORP BOND FND C | 25.00 | 0.25 | 0.00 | 0.25 | 80.0 | 0.20 |
| | ACCOUNT #: 00100067156 | BUY 0 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-92IR - CHEN, CYNTHIA | PIMCO TOTAL RETURN CLASS A | 0.00 | 0.25 | 0.00 | 0.25 | 80.0 | 0.20 |
| | ACCOUNT #: LSR011412 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-20IN - GIANGRECO, TERRY | ROCH. LIMITED TERM NEW YORK MUNICI | 0.00 | 112.34 | 0.00 | 112.34 | 80.0 | 89.87 |
| | ACCOUNT #: LSR010603 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-92IR - CHEN, CYNTHIA | SELECT VALUE FUND A | 0.00 | 1.26 | 0.00 | 1.26 | 80.0 | 1.01 |
| | ACCOUNT #: LSR011412 | BUY 1 Units @0.0000 | | | | | | |
| 02/05/2018 | ***-**-33UG - DELGAIZO, ALESHA | SMALL CAP EQUITY FUND - A | 0.00 | 1.70 | 0.00 | 1.70 | 80.0 | 1.36 |
| | ACCOUNT #: 00000413901 | BUY 0 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-61IO - BONACCI, FBO | THE BOND FUND OF AMERICA-C | 0.00 | 6.12 | 0.00 | 6.12 | 80.0 | 4.90 |
| | ACCOUNT #: LSR011143 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-497J - WARNEY, KENNETH | THE GROWTH FUND OF AMERICA-C | 0.00 | 1.44 | 0.00 | 1.44 | 80.0 | 1.15 |
| | ACCOUNT #: LSR011248 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-283I - RICCI, GABRIELLE | THE GROWTH FUND OF AMERICA-C | 0.00 | 3.99 | 0.00 | 3.99 | 80.0 | 3.19 |
| | ACCOUNT #: LSR011473 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-20IN - GIANGRECO, TERRY | THE TAX-EXEMPT BOND FUND OF AMERICA | 0.00 | 372.93 | 0.00 | 372.93 | 80.0 | 298.34 |
| | ACCOUNT #: LSR010603 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-61IN - OLIVERI, WILLIAM | THE TAX-EXEMPT BOND FUND OF AMERICA | 0.00 | 154.54 | 0.00 | 154.54 | 80.0 | 123.63 |
| | ACCOUNT #: LSR011543 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-80IR - MOYER, COLLEEN | WASHINGTON MUTUAL INVESTORS FUND-C | 0.00 | 2.40 | 0.00 | 2.40 | 80.0 | 1.92 |
| | ACCOUNT #: LSR011726 | BUY 1 Units @0.0000 | | | | | | |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/09/2018 | ***-**-27IN - TINKLEPAUGH, ACCOUNT #: 01005412974 | WELLS FGO AVTG DIVERSFD CAPITAL BLD BUY 0 Units @0.0000 | 0.00 | 1.14 | 0.00 | 1.14 | 80.0 | 0.91 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$25.00 | \$1,381.85 | \$0.00 | \$1,381.85 | | \$1,105.48 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$215,909.64 | \$3,587.65 | \$3.00 | \$3,584.65 | | \$2,867.45 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$2,867.45 |
| 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 | \$2,867.45 |
| Year-to-date Earnings | \$0.00 |