



COMMISSION STATEMENT

March 05, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
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>								
02/20/2018	***-**-5142 - WASHINGTON ACCOUNT #: 08353172444	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	25.00	1.19	0.00	1.19	95.0	1.13
02/20/2018	***-**-575I - PALELLA, CHARLES ACCOUNT #: 08350895037	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	250.00	10.00	0.00	10.00	95.0	9.50
02/28/2018	***-**-9281 - RUSSELL, AMY ACCOUNT #: 08370662827	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	95.0	0.24
02/27/2018	***-**-9061 - BROWN, WINSTON ACCOUNT #: 04104629482	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	30.00	1.43	0.00	1.43	95.0	1.36
02/20/2018	***-**-5142 - WASHINGTON ACCOUNT #: 08810288553	INTERNATIONAL BOND A BUY 0 Units @0.0000	25.00	1.00	0.00	1.00	95.0	0.95
02/20/2018	***-**-095J - MORAN, MARY ACCOUNT #: 00476905514	PUTNAM NEW OPPORTUNITIES-C BUY 1 Units @79.8800	50.00	0.50	0.00	0.50	95.0	0.48
02/20/2018	***-**-9061 - BROWN, WINSTON ACCOUNT #: 02365535387	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	30.00	1.43	0.00	1.43	95.0	1.36
02/27/2018	***-**-6657 - THOMAS, ALEXIS ACCOUNT #: 02254036945	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	25.00	1.19	0.00	1.19	95.0	1.13
02/20/2018	***-**-3942 - HIBBERT, LEONA ACCOUNT #: 03670462660	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	95.0	0.48
02/27/2018	***-**-6657 - THOMAS, ALEXIS ACCOUNT #: 03670742027	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	95.0	0.24
02/28/2018	***-**-9281 - RUSSELL, AMY ACCOUNT #: 02932131646	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	10.00	0.10	0.00	0.10	95.0	0.10
02/20/2018	***-**-5142 - WASHINGTON ACCOUNT #: 07211008854	SMALL- & MID-CAP GROWTH FUND A BUY 0 Units @0.0000	25.00	1.19	0.00	1.19	95.0	1.13
02/28/2018	***-**-9281 - RUSSELL, AMY ACCOUNT #: 03770519816	VALUE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	95.0	0.24
* MUTUAL FUNDS SUBTOTAL *			\$595.00	\$19.28	\$0.00	\$19.28		\$18.34
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/26/2018	***-**-575I - PALELLA, CHARLES ACCOUNT #: E1764889	PRUDENTIAL VA TRAILS 74429P144 BUY 0 Units @0.0000	100.00	0.00	0.00	0.00	95.0	0.00
* VARIABLE ANNUITIES SUBTOTAL *			\$100.00	\$0.00	\$0.00	\$0.00		\$0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/01/2018	***-**-1625 - SAFRANEK, EARL &	VICTORY TRAILS BUY 0 Units @0.0000	0.00	0.68	0.00	0.68	95.0	0.65
03/01/2018	***-**-7637 - SAFRANEK,	VICTORY TRAILS BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	95.0	1.50
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2.26	\$0.00	\$2.26		\$2.15
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
02/28/2018	***-**-06IN - VANROO, PAT	JOHN HANCOCK 41013R406 BUY 0 Units @0.0000	0.00	74.02	0.00	74.02	95.0	70.32
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$74.02	\$0.00	\$74.02		\$70.32
*** BROKER TRANSACTIONS TOTAL ***			\$695.00	\$95.56	\$0.00	\$95.56		\$90.81

OVERRIDE TRANSACTIONS

BROKER: RICHARD BIRNS

02/12/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND BUY 14 Units @19.1000	259.20	5.18	0.00	5.18	20.0	1.04
02/12/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND BUY 14 Units @19.1000	259.20	5.18	0.00	5.18	20.0	1.04
02/28/2018	***-**-107I - GERAKARIS,	JOHN HANCOCK 41014C143 BUY 0 Units @0.0000	0.00	1.88	0.00	1.88	20.0	0.38
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F BUY 7 Units @38.5500	259.20	5.18	0.00	5.18	20.0	1.04
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F BUY 7 Units @38.5500	259.20	5.18	0.00	5.18	20.0	1.04
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F BUY 6 Units @44.6600	259.20	5.18	0.00	5.18	20.0	1.04
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F BUY 6 Units @44.6600	259.20	5.18	0.00	5.18	20.0	1.04
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND BUY 16 Units @15.8100	259.20	5.18	0.00	5.18	20.0	1.04



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: RICHARD BIRNS (continued) </u>								
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND	259.20	5.18	0.00	5.18	20.0	1.04
	ACCOUNT #: 00000647924	BUY 16 Units @15.8100						
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	259.20	5.18	0.00	5.18	20.0	1.04
	ACCOUNT #: 00000647924	BUY 5 Units @56.6500						
02/12/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	259.20	5.18	0.00	5.18	20.0	1.04
	ACCOUNT #: 00000647924	BUY 5 Units @56.6500						
* RICHARD BIRNS SUBTOTAL *			\$2,592.00	\$53.68	\$0.00	\$53.68		\$10.78
<u> BROKER: BARRY BRESIN </u>								
02/28/2018	***-**-180I - HALM, MATILDA	JACKSON 468511654	0.00	39.10	0.00	39.10	15.0	5.87
	ACCOUNT #: 029010125A	BUY 0 Units @0.0000						
03/05/2018	***-**-717I - MARSJANIK,	SAMMONS LIVEWELL MUTUAL FUND	0.00	179.29	0.00	179.29	15.0	26.89
	ACCOUNT #: 7200008226	BUY 0 Units @0.0000						
03/05/2018	***-**-4892 - STERN, ROBERT	SAMMONS LIVEWELL MUTUAL FUND	0.00	16.87	0.00	16.87	15.0	2.53
	ACCOUNT #: 7200027682	BUY 0 Units @0.0000						
* BARRY BRESIN SUBTOTAL *			\$0.00	\$235.26	\$0.00	\$235.26		\$35.29
<u> BROKER: FREDERIC SCARPULLA </u>								
02/20/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063451518	BUY 3 Units @33.5000						
02/20/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063451518	BUY 3 Units @33.5000						
02/20/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063412117	BUY 3 Units @33.5000						
02/20/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063412117	BUY 3 Units @33.5000						
02/23/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	15.80	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 04000409714	BUY 1 Units @29.5200						
02/23/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	480.00	4.80	0.00	4.80	10.0	0.48
	ACCOUNT #: 04000409714	BUY 16 Units @29.5200						
02/20/2018	***-**-5899 - ARBORE, CARL	AMERICAN BALANCED FUND-529C	75.00	0.75	0.00	0.75	10.0	0.08
	ACCOUNT #: 00084503660	BUY 3 Units @27.1200						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
02/20/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @26.9900	40.80	0.41	0.00	0.41	10.0	0.04
02/20/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @26.9900	40.80	0.41	0.00	0.41	10.0	0.04
02/20/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @26.9900	20.00	0.20	0.00	0.20	10.0	0.02
02/20/2018	***-**-2459 - MASCARO, ANTHONY ACCOUNT #: 00085904215	AMERICAN BALANCED FUND-C BUY 0 Units @26.9900	5.94	0.06	0.00	0.06	10.0	0.01
02/20/2018	***-**-2459 - MASCARO, ANTHONY ACCOUNT #: 00085904215	AMERICAN BALANCED FUND-C BUY 1 Units @26.9900	20.00	0.20	0.00	0.20	10.0	0.02
02/20/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 1 Units @26.9900	16.00	0.16	0.00	0.16	10.0	0.02
02/20/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 0 Units @26.9900	4.75	0.05	0.00	0.05	10.0	0.01
02/20/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @26.9900	6.00	0.06	0.00	0.06	10.0	0.01
02/20/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @26.9900	28.05	0.28	0.00	0.28	10.0	0.03
02/20/2018	***-**-5142 - RICCI, ANTHONY ACCOUNT #: 04000777506	AMERICAN BALANCED FUND-C BUY 1068 Units @26.9900	28,819.34	288.19	0.00	288.19	10.0	28.82
02/20/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @26.9900	120.00	1.20	0.00	1.20	10.0	0.12
02/20/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @26.9900	14.12	0.14	0.00	0.14	10.0	0.01
02/20/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.3000	4.55	0.05	0.00	0.05	10.0	0.01
02/20/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.3000	105.00	1.05	0.00	1.05	10.0	0.11
02/20/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @40.4300	5.00	0.05	0.00	0.05	10.0	0.01
02/23/2018	***-**-6781 - KARNS, DANIELLE ACCOUNT #: 04000409710	AMERICAN MUTUAL FUND-C BUY 1 Units @40.7800	31.72	0.32	0.00	0.32	10.0	0.03



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
02/16/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
02/16/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	370.00	3.70	0.00	3.70	10.0	0.37
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
02/16/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	68.00	0.68	0.00	0.68	10.0	0.07
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						
02/16/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
02/21/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION C	61.61	0.62	0.00	0.62	10.0	0.06
	ACCOUNT #: 03222325444	BUY 0 Units @0.0000						
02/21/2018	***-**-9611 - MACDUFFIE, LINDA	CAPITAL INCOME BUILDER CLASS C	300.00	3.00	0.00	3.00	10.0	0.30
	ACCOUNT #: 00087299599	BUY 5 Units @61.9000						
02/20/2018	***-**-0447 - LEVINE, JACQUE	CAPITAL INCOME BUILDER-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00084996765	BUY 2 Units @65.1600						
02/20/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @20.4800						
02/20/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @20.4800						
02/20/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @20.4800						
02/20/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @20.4800						
02/20/2018	***-**-425P - MEEKS, PERDITA	CAPITAL WORLD GROWTH AND INCOME FUN	12.50	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00074210167	BUY 0 Units @55.7200						
02/20/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @51.9100						
02/20/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00089045192	BUY 0 Units @51.9100						
02/20/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	10.0	0.10
	ACCOUNT #: 00087038420	BUY 2 Units @51.9100						
02/21/2018	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 08370627385	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
02/21/2018	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. C	46.21	0.46	0.00	0.46	10.0	0.05
	ACCOUNT #: 08370596090	BUY 0 Units @0.0000						
02/20/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @58.5700						
02/20/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @58.5700						
02/20/2018	***-**-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @58.5700						
02/20/2018	***-**-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @58.5700						
02/20/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063451518	BUY 2 Units @64.6500						
02/20/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063451518	BUY 2 Units @64.6500						
02/20/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063412117	BUY 2 Units @64.6500						
02/20/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063412117	BUY 2 Units @64.6500						
02/20/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @63.2700						
02/20/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @63.2700						
02/20/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @63.2700						
02/20/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @63.2700						
02/23/2018	***-**-6171 - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	53.00	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 04000409801	BUY 1 Units @63.9000						
02/23/2018	***-**-6171 - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	480.00	4.80	0.00	4.80	10.0	0.48
	ACCOUNT #: 04000409801	BUY 8 Units @63.9000						
02/16/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
02/16/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	370.00	3.70	0.00	3.70	10.0	0.37
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						
02/21/2018	***-**-2620 - CUSIMANO, MEGAN	GLOBAL OPPORTUNITIES FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02171800557	BUY 0 Units @0.0000						
02/21/2018	***-**-9530 - MILAM, IAN	GLOBAL OPPORTUNITIES FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02171852708	BUY 0 Units @0.0000						
02/21/2018	***-**-90FB - DIODATO, CAROL	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
02/21/2018	***-**-729I - GIAMBRONE, KELLY	GLOBAL OPPORTUNITIES FUND C	77.02	0.77	0.00	0.77	10.0	0.08
	ACCOUNT #: 02171875445	BUY 0 Units @0.0000						
02/20/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00087236607	BUY 2 Units @22.9500						
02/20/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	13.70	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00089583477	BUY 0 Units @40.9500						
02/20/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @40.9500						
02/23/2018	***-**-6781 - KARNS, DANIELLE	INVESTMENT COMPANY OF AMERICA CLASS	31.72	0.32	0.00	0.32	10.0	0.03
	ACCOUNT #: 04000409710	BUY 1 Units @41.3400						
02/23/2018	***-**-3727 - D'ANGELO, ANDREW	INVESTMENT COMPANY OF AMERICA CLASS	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 04000409699	BUY 0 Units @41.3400						
02/23/2018	***-**-3727 - D'ANGELO, ANDREW	INVESTMENT COMPANY OF AMERICA CLASS	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 04000409699	BUY 1 Units @41.3400						
02/16/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	66.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
02/16/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
02/16/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	370.00	3.70	0.00	3.70	10.0	0.37
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
02/21/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
02/21/2018	***-**-2620 - CUSIMANO, MEGAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
02/21/2018	***-**-9530 - MILAM, IAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024469113	BUY 0 Units @0.0000						
02/21/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	77.02	0.77	0.00	0.77	10.0	0.08
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						
02/21/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
02/20/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 0 Units @45.6200						
02/20/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 0 Units @45.6200						
02/20/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 0 Units @45.6200						
02/20/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 0 Units @45.6200						
02/20/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @43.1400						
02/20/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @43.1400						
02/20/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @43.1400						
02/20/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @43.1400						
02/23/2018	***-**-9004 - MARCELLUS,	NEW PERSPECTIVE FUND-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 04000409785	BUY 2 Units @43.6800						
02/23/2018	***-**-9004 - MARCELLUS,	NEW PERSPECTIVE FUND-C	17.30	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 04000409785	BUY 0 Units @43.6800						
02/23/2018	***-**-1955 - MARCELLUS, JAMES	NEW PERSPECTIVE FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000409718	BUY 1 Units @43.6800						
02/23/2018	***-**-1955 - MARCELLUS, JAMES	NEW PERSPECTIVE FUND-C	23.08	0.23	0.00	0.23	10.0	0.02
	ACCOUNT #: 04000409718	BUY 1 Units @43.6800						
02/20/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @66.2300						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
02/20/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @66.2300						
02/20/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @66.2300						
03/05/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 EQUITY INCOME PORTF C	163.52	1.39	0.00	1.39	10.0	0.14
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
03/05/2018	***-**-80IN - MOYER, COLLEEN	NYA JPM 529 EQUITY INCOME PORTF C	0.00	0.76	0.00	0.76	10.0	0.08
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
03/05/2018	***-**-80IN - MOYER, COLLEEN	NYA JPM 529 MOD GROWTH AGE A	25.00	0.76	0.00	0.76	10.0	0.08
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
02/16/2018	***-**-3407 - TUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
02/16/2018	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
02/16/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER CORP BOND FND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00100067156	BUY 0 Units @0.0000						
02/16/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	66.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
02/21/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	46.20	0.46	0.00	0.46	10.0	0.05
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
02/16/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02271182830	BUY 0 Units @0.0000						
02/21/2018	***-**-4980 - MOYER, COLLEEN	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
02/21/2018	***-**-1314 - BENEDETTO,	OPPENHEIMER RISING DIVIDENDS FUND C	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 02270934318	BUY 0 Units @0.0000						
02/21/2018	***-**-541P - SCHILLACI, AMY	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						
02/21/2018	***-**-655P - DAVIS, BERTHA	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02271237808	BUY 0 Units @0.0000						
02/21/2018	***-**-1314 - BENEDETTO,	QUEST BALANCED FUND C	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 02592292741	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
02/22/2018	***-**-8706 - BOSCO, REN	QUEST BALANCED FUND C	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 02590094105	BUY 0 Units @0.0000						
02/16/2018	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
02/16/2018	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	370.00	3.70	0.00	3.70	10.0	0.37
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
02/21/2018	***-**-2620 - CUSIMANO, MEGAN	REAL ESTATE FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 05920400103	BUY 0 Units @0.0000						
02/21/2018	***-**-9530 - MILAM, IAN	REAL ESTATE FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 05920419496	BUY 0 Units @0.0000						
02/16/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
02/21/2018	***-**-4980 - MOYER, COLLEEN	SMALL- & MID- CAP VALUE FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02531288969	BUY 0 Units @0.0000						
02/20/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @50.1300						
02/20/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @50.1300						
02/20/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @50.1300						
02/16/2018	***-**-1834 - BUTLER, KIM	STRATEGIC INCOME FUND C	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 01920863291	BUY 0 Units @0.0000						
02/21/2018	***-**-1314 - BENEDETTO,	STRATEGIC INCOME FUND C	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 02322751089	BUY 0 Units @0.0000						
02/20/2018	***-**-535P - DELGAIZO,	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063451518	BUY 3 Units @12.7800						
02/20/2018	***-**-535P - DELGAIZO,	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063451518	BUY 3 Units @12.7800						
02/20/2018	***-**-425P - DELGAIZO, LOUISA	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063412117	BUY 3 Units @12.7800						
02/20/2018	***-**-425P - DELGAIZO, LOUISA	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063412117	BUY 3 Units @12.7800						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
02/20/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085904181	BUY 1 Units @12.5900						
02/20/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 2 Units @12.5900						
02/20/2018	***-**-315P - ARBORE, JENNIFER	THE GROWTH FUND OF AMERICA-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00081613426	BUY 1 Units @48.4100						
02/20/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @52.8800						
02/20/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @52.8800						
02/20/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @52.8800						
02/20/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @52.8800						
02/20/2018	***-**-425P - MEEKS, PERDITA	THE GROWTH FUND OF AMERICA-A	12.50	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00074210167	BUY 0 Units @55.2700						
02/20/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	13.70	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00089583477	BUY 0 Units @48.2600						
02/20/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00089045192	BUY 0 Units @48.2600						
02/20/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @48.2600						
02/23/2018	***-**-6375 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 04000598159	BUY 2 Units @48.8600						
02/23/2018	***-**-6375 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	24.00	0.24	0.00	0.24	10.0	0.02
	ACCOUNT #: 04000598159	BUY 0 Units @48.8600						
02/23/2018	***-**-9004 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 04000409785	BUY 2 Units @48.8600						
02/23/2018	***-**-9004 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	17.30	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 04000409785	BUY 0 Units @48.8600						
02/23/2018	***-**-1955 - MARCELLUS, JAMES	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000409718	BUY 1 Units @48.8600						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
02/23/2018	***-**-1955 - MARCELLUS, JAMES	THE GROWTH FUND OF AMERICA-C	23.08	0.23	0.00	0.23	10.0	0.02
	ACCOUNT #: 04000409718	BUY 0 Units @48.8600						
02/23/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	15.80	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 04000409714	BUY 0 Units @48.8600						
02/23/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	480.00	4.80	0.00	4.80	10.0	0.48
	ACCOUNT #: 04000409714	BUY 10 Units @48.8600						
02/23/2018	***-**-3727 - D'ANGELO, ANDREW	THE GROWTH FUND OF AMERICA-C	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 04000409699	BUY 0 Units @48.8600						
02/23/2018	***-**-3727 - D'ANGELO, ANDREW	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 04000409699	BUY 1 Units @48.8600						
02/23/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	53.00	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 04000409801	BUY 1 Units @48.8600						
02/23/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	480.00	4.80	0.00	4.80	10.0	0.48
	ACCOUNT #: 04000409801	BUY 10 Units @48.8600						
02/20/2018	***-**-8776 - LEVINE, TODD	THE INCOME FUND OF AMERICA-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00067996697	BUY 4 Units @24.3700						
02/20/2018	***-**-9024 - HACKETT, ETHAN	THE NEW ECONOMY FUND-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00088123299	BUY 1 Units @42.6700						
02/20/2018	***-**-279J - HERRMANN, KEVIN	THE TAX-EXEMPT BOND FUND OF AMERICA	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 00086046167	BUY 10 Units @12.8000						
02/20/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @45.6300						
 * FREDERIC SCARPULLA SUBTOTAL * 			\$39,439.48	\$405.48	\$0.00	\$405.48		\$40.74

BROKER: WILLIAM AGNELLO

02/22/2018	***-**-43IN - CUP, NICHOLAS	ARLINGTON ASSET INVT CORP CL A NEW	3,378.00	56.79	0.00	56.79	25.0	14.20
	ACCOUNT #: LSR006890	BUY 300 Units @11.2600						
02/22/2018	***-**-90IR - NFS/FMTC ROTH	ARLINGTON ASSET INVT CORP CL A NEW	2,250.00	48.75	0.00	48.75	25.0	12.19
	ACCOUNT #: LSR007110	BUY 200 Units @11.2500						
02/22/2018	***-**-28IN - CUP, ANDREW	ARLINGTON ASSET INVT CORP CL A NEW	3,379.50	56.80	0.00	56.80	25.0	14.20
	ACCOUNT #: LSR007137	BUY 300 Units @11.2650						
02/22/2018	***-**-36IO - IRWIN, CHARLES	ARLINGTON ASSET INVT CORP CL A NEW	3,378.90	56.80	0.00	56.80	25.0	14.20
	ACCOUNT #: LSR007200	BUY 300 Units @11.2630						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: WILLIAM AGNELLO (continued)</u>								
02/27/2018	***-**-461J - PANZARELLA, ACCOUNT #: LSR010004	ARLINGTON ASSET INVT CORP CL A NEW BUY 300 Units @11.1100	3,333.00	17.75	0.00	17.75	25.0	4.44
		* WILLIAM AGNELLO SUBTOTAL *	\$15,719.40	\$236.89	\$0.00	\$236.89		\$59.23
<u>BROKER: JAMES LOMBARDO</u>								
02/15/2018	***-**-6195 - BACKUS, THOMAS ACCOUNT #: 03908954377	INVESCO AMERICAN FRANCHISE FUND -CL BUY 2 Units @22.3100	50.00	2.50	0.00	2.50	15.0	0.38
02/15/2018	***-**-4379 - MATICIC, JOSEPH ACCOUNT #: 00461190200	PUTNAM EQUITY INCOME FUND-A BUY 2 Units @26.4000	50.00	2.50	0.00	2.50	15.0	0.38
02/20/2018	***-**-6759 - TARANTINO, GARY ACCOUNT #: 00089449406	THE BOND FUND OF AMERICA-A BUY 1 Units @13.0800	10.00	0.30	0.00	0.30	15.0	0.05
02/20/2018	***-**-6759 - TARANTINO, GARY ACCOUNT #: 00089449406	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.2700	40.00	2.00	0.00	2.00	15.0	0.30
		* JAMES LOMBARDO SUBTOTAL *	\$150.00	\$7.30	\$0.00	\$7.30		\$1.11
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$57,900.88	\$938.61	\$0.00	\$938.61		\$147.15

BROKER COMMISSION TOTALS

Broker Transactions	\$90.81
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

Please Retain for Your Records
THERE WILL BE NO PAYMENT THIS PERIOD

Balance Forward	\$0.00
Year-to-date Earnings	\$2,957.22