



COMMISSION STATEMENT

January 15, 2018

JAMES LOMBARDO
231 Hill Road
Rome, NY 13441

BROKER #: A08
BRANCH #01016 - 16 - CASPER

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 01/02/2018 | ***-**-9634 - STREIT, TERRY | AMERICAN BALANCED FUND-A | 50.00 | 2.50 | 0.00 | 2.50 | 80.0 | 2.00 |
| | ACCOUNT #: 04000460394 | BUY 2 Units @28.9100 | | | | | | |
| 01/02/2018 | ***-**-9634 - STREIT, TERRY | AMERICAN BALANCED FUND-A | 50.00 | 2.50 | 0.00 | 2.50 | 80.0 | 2.00 |
| | ACCOUNT #: 04000460402 | BUY 2 Units @28.9100 | | | | | | |
| 01/02/2018 | ***-**-1748 - LOMBARDO, JAMES | AMERICAN BALANCED FUND-A | 100.00 | 5.00 | 0.00 | 5.00 | 80.0 | 4.00 |
| | ACCOUNT #: 00087068370 | BUY 3 Units @28.9100 | | | | | | |
| 01/03/2018 | ***-**-98CL - ACOSTA, CLIENTS | AMERICAN BALANCED FUND-A | 80.00 | 4.00 | 0.00 | 4.00 | 80.0 | 3.20 |
| | ACCOUNT #: 00088153955 | BUY 3 Units @29.0100 | | | | | | |
| 01/02/2018 | ***-**-3040 - KOTARY, BRANDY | THE BOND FUND OF AMERICA-A | 50.00 | 1.50 | 0.00 | 1.50 | 80.0 | 1.20 |
| | ACCOUNT #: 00087642268 | BUY 4 Units @13.3600 | | | | | | |
| 01/02/2018 | ***-**-6802 - NAKANO, AMELIA | THE NEW ECONOMY FUND-A | 50.00 | 2.13 | 0.00 | 2.13 | 80.0 | 1.70 |
| | ACCOUNT #: 00082853395 | BUY 1 Units @47.8000 | | | | | | |
| 01/05/2018 | ***-**-3828 - DUSABLON, DANIEL | U.S. GOVERNMENT SECURITIES FUND CLA | 150.00 | 4.50 | 0.00 | 4.50 | 80.0 | 3.60 |
| | ACCOUNT #: 00084530390 | BUY 11 Units @14.1500 | | | | | | |
| 01/02/2018 | ***-**-6802 - NAKANO, AMELIA | WASHINGTON MUTUAL INVESTORS FUND-A | 50.00 | 2.13 | 0.00 | 2.13 | 80.0 | 1.70 |
| | ACCOUNT #: 00082853395 | BUY 1 Units @48.3400 | | | | | | |
| * MUTUAL FUNDS SUBTOTAL * | | | \$580.00 | \$24.26 | \$0.00 | \$24.26 | | \$19.40 |
| <u>PRODUCT CATEGORY: 529 PLAN</u> | | | | | | | | |
| 01/15/2018 | ***-**-13CL - BERG, C, CLIENTS | NEW YORK 529 TRAILS | 0.00 | 0.28 | 0.00 | 0.28 | 80.0 | 0.22 |
| | ACCOUNT #: 77450911001 | BUY 0 Units @0.0000 | | | | | | |
| * 529 PLAN SUBTOTAL * | | | \$0.00 | \$0.28 | \$0.00 | \$0.28 | | \$0.22 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 12/31/2017 | ***-**-2582 - FERRAR, PATRICIA | ROCHESTER FUND MUNICIPALS A | 0.00 | 78.77 | 0.00 | 78.77 | 80.0 | 63.02 |
| | ACCOUNT #: 03651105500 | BUY 0 Units @0.0000 | | | | | | |
| 12/31/2017 | ***-**-9195 - FERRAR, ROLFE | ROCHESTER FUND MUNICIPALS A | 0.00 | 37.16 | 0.00 | 37.16 | 80.0 | 29.73 |
| | ACCOUNT #: 03651253373 | BUY 0 Units @0.0000 | | | | | | |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$115.93 | \$0.00 | \$115.93 | | \$92.75 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$580.00 | \$140.47 | \$0.00 | \$140.47 | | \$112.37 |



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| | | | INVESTMENT | GROSS | CLEARING | NET | BROKER | |
|-------------------------------------|--------|------------|------------|------------|----------|-----------------------|--------|------------|
| DATE | CLIENT | INVESTMENT | AMOUNT | COMMISSION | CHARGE | COMMISSION | RATE | COMMISSION |
| <div>BROKER COMMISSION TOTALS</div> | | | | | | | | |
| | | | | | | Broker Transactions | | \$112.37 |
| | | | | | | 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 | | \$112.37 |
| | | | | | | Year-to-date Earnings | | \$259.49 |