



# COMMISSION STATEMENT

## February 26, 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
02/15/2018	***-**-35IN - LIGHT AND POWER,	AMERICAN HIGH-INCOME TRUST-A	75.00	2.06	0.00	2.06	95.0	1.96
	ACCOUNT #: 00081655418	BUY 7 Units @10.6400						
02/15/2018	***-**-35IN - LIGHT AND POWER,	CAPITAL INCOME BUILDER-A	125.00	3.44	0.00	3.44	95.0	3.27
	ACCOUNT #: 00081655418	BUY 2 Units @64.7200						
02/15/2018	***-**-2256 - SPITZER, HERSHEL	CAPITAL INCOME BUILDER-A	87.50	2.41	0.00	2.41	95.0	2.29
	ACCOUNT #: 00083997024	BUY 1 Units @64.7200						
02/26/2018	***-**-605P - BONSIGNORE,	COLLEGE BOUND MF	50.00	0.20	0.00	0.20	95.0	0.19
		BUY 0 Units @0.0000						
02/07/2018	***-**-575I - PALELLA, CHARLES	EQUITY INCOME FUND, INC. A	250.00	10.00	0.00	10.00	95.0	9.50
	ACCOUNT #: 08350895037	BUY 0 Units @0.0000						
02/15/2018	***-**-2256 - SPITZER, HERSHEL	EUROPACIFIC GROWTH FUND-A	87.50	2.41	0.00	2.41	95.0	2.29
	ACCOUNT #: 00083997024	BUY 1 Units @60.2200						
02/15/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 COLLEGE PORT-CL C	200.00	2.00	0.00	2.00	95.0	1.90
	ACCOUNT #: 00625374335	BUY 13 Units @15.3300						
02/15/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 PORT 2019-CL C	150.00	1.50	0.00	1.50	95.0	1.43
	ACCOUNT #: 00625374327	BUY 8 Units @18.2200						
02/15/2018	***-**-2256 - SPITZER, HERSHEL	FUNDAMENTAL INVESTORS-A	137.50	3.78	0.00	3.78	95.0	3.59
	ACCOUNT #: 00083997024	BUY 2 Units @66.2700						
02/15/2018	***-**-2256 - SPITZER, HERSHEL	NEW PERSPECTIVE FUND-A	137.50	3.78	0.00	3.78	95.0	3.59
	ACCOUNT #: 00083997024	BUY 3 Units @46.8400						
02/15/2018	***-**-7727 - CUMMINGS,	ROCHESTER FUND MUNICIPALS C	100.00	1.00	0.00	1.00	95.0	0.95
	ACCOUNT #: 03670723437	BUY 0 Units @0.0000						
02/15/2018	***-**-35IN - LIGHT AND POWER,	THE INCOME FUND OF AMERICA-A	150.00	4.13	0.00	4.13	95.0	3.92
	ACCOUNT #: 00081655418	BUY 6 Units @24.2300						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$1,550.00</b>	<b>\$36.71</b>	<b>\$0.00</b>	<b>\$36.71</b>		<b>\$34.88</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
02/15/2018	***-**-8367 - RAGUSO, PAMELA	PRUDENTIAL VA TRAILS 74429P110	100.00	6.00	0.00	6.00	95.0	5.70
	ACCOUNT #: E1470506	BUY 0 Units @0.0000						
02/12/2018	***-**-575I - PALELLA, CHARLES	PRUDENTIAL VA TRAILS 74429P144	100.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: E1764889	BUY 0 Units @0.0000						
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$200.00</b>	<b>\$6.00</b>	<b>\$0.00</b>	<b>\$6.00</b>		<b>\$5.70</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b>								
02/26/2018	***-**-826I - NOEL, DARIN	VOYA INS TRAILS BUY 1 Units @0.0000	0.00	2.94	0.00	2.94	95.0	2.79
		<b>* VARIABLE UNIVERSAL LIFE SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$2.94</b>	<b>\$0.00</b>	<b>\$2.94</b>		<b>\$2.79</b>
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
02/21/2018	***-**-53AK - SUPERIOR	COLUMBIA MF TRAILS BUY 0 Units @0.0000	0.00	4.00	0.00	4.00	95.0	3.80
		<b>* 529 PLAN SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$4.00</b>	<b>\$0.00</b>	<b>\$4.00</b>		<b>\$3.80</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
02/20/2018	***-**-68IN - WARNER, JANET ACCOUNT #: LSR010222	AMCAP FUND-F1 BUY 1 Units @0.0000	0.00	0.88	0.00	0.88	95.0	0.84
02/20/2018	***-**-6468 - WARNER, JANET ACCOUNT #: LSR010223	AMCAP FUND-F1 BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	95.0	0.66
02/20/2018	***-**-007J - SMITH, WILLIAM ACCOUNT #: LSR011603	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	95.0	0.11
02/20/2018	***-**-20UT - SMITH UTMA VA, ACCOUNT #: LSR011604	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.99	0.00	0.99	95.0	0.94
02/20/2018	***-**-38IO - GRAHAM ACCOUNT #: LSR005428	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	1.73	0.00	1.73	95.0	1.64
02/20/2018	***-**-950I - JENKINS, JOHN ACCOUNT #: LSR011619	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	1.82	0.00	1.82	95.0	1.73
02/20/2018	***-**-149I - JENKINS, BARBARA ACCOUNT #: LSR011620	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	1.86	0.00	1.86	95.0	1.77
02/26/2018	***-**-50IN - RAYMOND, TODD ACCOUNT #: LSR011520	BLACKROCK GLOBAL ALLOCATION FUND IN BUY 1 Units @0.0000	0.00	4.72	0.00	4.72	95.0	4.48
02/26/2018	***-**-50IN - RAYMOND, TODD ACCOUNT #: LSR011520	BLACKROCK GLOBAL DIVIDEND PORT CL A BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	95.0	0.68
02/26/2018	***-**-50IN - RAYMOND, TODD ACCOUNT #: LSR011520	BLACKROCK HEALTH SCIENCES FUND CLAS BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	95.0	0.70
02/26/2018	***-**-50IN - RAYMOND, TODD ACCOUNT #: LSR011520	BLACKROCK SMALL CAP GROWTH EQUITY C BUY 1 Units @0.0000	0.00	0.91	0.00	0.91	95.0	0.86



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/26/2018	***-**-50IN - RAYMOND, TODD	BLACKROCK TOTAL RETURN FUND CL A	0.00	1.47	0.00	1.47	95.0	1.40
	ACCOUNT #: LSR011520	BUY 1 Units @0.0000						
02/20/2018	***-**-01IN - SAUTTER, HOWARD	CAPITAL GROWTH FUND A	0.00	1.97	0.00	1.97	95.0	1.87
	ACCOUNT #: LSR011301	BUY 1 Units @0.0000						
02/20/2018	***-**-22IN - SAUTTER, TERRIE	CAPITAL GROWTH FUND A	0.00	2.32	0.00	2.32	95.0	2.20
	ACCOUNT #: LSR011302	BUY 1 Units @0.0000						
02/20/2018	***-**-22IN - SAUTTER, TERRIE	CAPITAL INCOME BUILDER-A	0.00	6.48	0.00	6.48	95.0	6.16
	ACCOUNT #: LSR011302	BUY 1 Units @0.0000						
02/20/2018	***-**-950I - JENKINS, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.11	0.00	1.11	95.0	1.05
	ACCOUNT #: LSR011619	BUY 1 Units @0.0000						
02/20/2018	***-**-149I - JENKINS, BARBARA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.14	0.00	1.14	95.0	1.08
	ACCOUNT #: LSR011620	BUY 1 Units @0.0000						
02/20/2018	***-**-68IN - WARNER, JANET	CAPITAL WORLD GROWTH AND INCOME-F1	0.00	0.53	0.00	0.53	95.0	0.50
	ACCOUNT #: LSR010222	BUY 1 Units @0.0000						
02/20/2018	***-**-6468 - WARNER, JANET	CAPITAL WORLD GROWTH AND INCOME-F1	0.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: LSR010223	BUY 1 Units @0.0000						
02/22/2018	***-**-3500 - NIELSEN, JEFFREY	DELAWARE INV MF TRAILS	0.00	10.88	0.00	10.88	95.0	10.34
	ACCOUNT #: 6000305476	BUY 0 Units @0.0000						
02/22/2018	***-**-1852 - CAROSCIO,	DELAWARE INV MF TRAILS	0.00	0.85	0.00	0.85	95.0	0.81
	ACCOUNT #: 5163028425	BUY 0 Units @0.0000						
02/22/2018	***-**-175I - CURNS, DANIEL	DELAWARE INV MF TRAILS	0.00	0.47	0.00	0.47	95.0	0.45
	ACCOUNT #: 5164473846	BUY 0 Units @0.0000						
02/22/2018	***-**-2568 - SHAW, TIMOTHY	DELAWARE INV MF TRAILS	0.00	1.55	0.00	1.55	95.0	1.47
		BUY 0 Units @0.0000						
02/22/2018	***-**-626I - BALDWIN, GARY	DELAWARE INV MF TRAILS	0.00	1.29	0.00	1.29	95.0	1.23
		BUY 0 Units @0.0000						
02/22/2018	***-**-287I - TODD, BRADLEY	DELAWARE INV MF TRAILS	0.00	0.97	0.00	0.97	95.0	0.92
		BUY 0 Units @0.0000						
02/22/2018	***-**-552I - TODD, MARY	DELAWARE INV MF TRAILS	0.00	0.80	0.00	0.80	95.0	0.76
		BUY 0 Units @0.0000						
02/22/2018	***-**-2275 - LAMANNA, LISA M	DELAWARE INV MF TRAILS	0.00	1.85	0.00	1.85	95.0	1.76
		BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/22/2018	***-**-89UG - LAMANNA, ANGELA	DELAWARE INV MF TRAILS BUY 0 Units @0.0000	0.00	1.36	0.00	1.36	95.0	1.29
02/05/2018	***-**-837J - HARRIS, THOMAS ACCOUNT #: 00000442576	DYNAMIC SMALL CAP FUND - A BUY 0 Units @0.0000	0.00	3.24	0.00	3.24	95.0	3.08
02/05/2018	***-**-14UG - MANNO, PAUL A ACCOUNT #: 00000456570	DYNAMIC SMALL CAP FUND - A BUY 0 Units @0.0000	0.00	7.20	0.00	7.20	95.0	6.84
02/05/2018	***-**-73IN - PHILIPPY, MARK ACCOUNT #: 00000457290	DYNAMIC SMALL CAP FUND - A BUY 0 Units @0.0000	0.00	2.81	0.00	2.81	95.0	2.67
02/05/2018	***-**-380I - COOK, JANINE ACCOUNT #: 00000458187	DYNAMIC SMALL CAP FUND - A BUY 0 Units @0.0000	0.00	7.93	0.00	7.93	95.0	7.53
02/05/2018	***-**-14UG - MANNO, PAUL A ACCOUNT #: 00000476122	DYNAMIC SMALL CAP FUND - A BUY 0 Units @0.0000	0.00	7.20	0.00	7.20	95.0	6.84
02/05/2018	***-**-16IN - CURRAN, THOMAS ACCOUNT #: 00000478324	DYNAMIC SMALL CAP FUND - A BUY 0 Units @0.0000	0.00	5.77	0.00	5.77	95.0	5.48
02/05/2018	***-**-305P - MILGATE, PATRICK ACCOUNT #: 00000485407	DYNAMIC SMALL CAP FUND - A BUY 0 Units @0.0000	0.00	4.20	0.00	4.20	95.0	3.99
02/26/2018	***-**-546J - MRS CANDICE ACCOUNT #: LSR010748	FIDELITY ADV NEW INSIGHTS-CL C BUY 1 Units @0.0000	0.00	2.73	0.00	2.73	95.0	2.59
02/26/2018	***-**-61IR - TOTMAN, FBO ACCOUNT #: LSR010019	FIDELITY ADVISOR CAPITAL DEV CL A BUY 1 Units @0.0000	0.00	0.41	0.00	0.41	95.0	0.39
02/26/2018	***-**-565J - KASE, LEROY ACCOUNT #: LSR010786	FIDELITY CASH MM BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
02/26/2018	***-**-31IN - SMITH, MS VIVICA ACCOUNT #: LSR011147	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
02/26/2018	***-**-01IN - SAUTTER, HOWARD ACCOUNT #: LSR011301	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
02/26/2018	***-**-38IO - GRAHAM ACCOUNT #: LSR005428	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.53	0.00	0.53	95.0	0.50
02/26/2018	***-**-853J - SAUTTER ACCOUNT #: LSR006386	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	95.0	0.30
02/26/2018	***-**-43IO - MCGUIRE, NANCY ACCOUNT #: LSR011708	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	7.06	0.00	7.06	95.0	6.71



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/26/2018	***-**-7545 - LACY, LEEANNE ACCOUNT #: LSR102873	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	95.0	0.01
02/26/2018	***-**-4205 - SPECIAL RISK ACCOUNT #: LSR107948	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	95.0	0.28
02/26/2018	***-**-588X - RUSSELL, JUDY ACCOUNT #: LSR011098	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	95.0	1.31
02/20/2018	***-**-853J - SAUTTER ACCOUNT #: LSR006386	GOLDMAN SACHS CORE PLUS FIXED INCOM BUY 1 Units @0.0000	0.00	0.15	0.00	0.15	95.0	0.14
02/20/2018	***-**-01IN - SAUTTER, HOWARD ACCOUNT #: LSR011301	GOLDMAN SACHS CORE PLUS FIXED INCOM BUY 1 Units @0.0000	0.00	2.09	0.00	2.09	95.0	1.99
02/20/2018	***-**-22IN - SAUTTER, TERRIE ACCOUNT #: LSR011302	GOLDMAN SACHS CORE PLUS FIXED INCOM BUY 1 Units @0.0000	0.00	4.63	0.00	4.63	95.0	4.40
02/20/2018	***-**-01IN - SAUTTER, HOWARD ACCOUNT #: LSR011301	INTERMEDIATE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	95.0	0.43
02/20/2018	***-**-22IN - SAUTTER, TERRIE ACCOUNT #: LSR011302	INTERMEDIATE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.83	0.00	1.83	95.0	1.74
02/26/2018	***-**-60IN - KALINOWSKI, ACCOUNT #: LSF000213	JANUS GLOBAL BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	95.0	0.37
02/14/2018	***-**-35IN - EDWARDS, DEBORAH ACCOUNT #: 00400223307	LORD ABBETT AFFILIATED FUND CLASS A BUY 0 Units @0.0000	0.00	24.07	0.00	24.07	95.0	22.87
02/20/2018	***-**-950I - JENKINS, JOHN ACCOUNT #: LSR011619	NEW WORLD FUND-A BUY 1 Units @0.0000	0.00	0.99	0.00	0.99	95.0	0.94
02/26/2018	***-**-6468 - WARNER, JANET ACCOUNT #: LSR010223	OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	95.0	0.33
02/26/2018	***-**-68IN - WARNER, JANET ACCOUNT #: LSR010222	OPPENHEIMER SENIOR FLOATING RATE CL BUY 1 Units @0.0000	0.00	0.42	0.00	0.42	95.0	0.40
02/26/2018	***-**-68IN - WARNER, JANET ACCOUNT #: LSR010222	PIMCO LOW DURATION CLASS A BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	95.0	0.67
02/26/2018	***-**-6468 - WARNER, JANET ACCOUNT #: LSR010223	PIMCO LOW DURATION CLASS A BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	95.0	0.34
02/26/2018	***-**-68IN - WARNER, JANET ACCOUNT #: LSR010222	PIMCO TOTAL RETURN CLASS A BUY 1 Units @0.0000	0.00	0.76	0.00	0.76	95.0	0.72



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/26/2018	***-**-6468 - WARNER, JANET ACCOUNT #: LSR010223	PIMCO TOTAL RETURN CLASS A BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	95.0	0.38
02/20/2018	***-**-207J - LUTE, MRS ACCOUNT #: LSR010583	PIONEER AMT-FREE MUNICIPAL FUND A BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	95.0	0.69
02/20/2018	***-**-207J - LUTE, MRS ACCOUNT #: LSR010583	PIONEER MID CAP VALUE FUND A BUY 1 Units @0.0000	0.00	1.50	0.00	1.50	95.0	1.43
02/26/2018	***-**-107J - SMITH, KRISTEN ACCOUNT #: LSR011605	PUTNAM EQUITY INCOME FUND-A BUY 1 Units @0.0000	0.00	0.46	0.00	0.46	95.0	0.44
02/26/2018	***-**-107J - SMITH, KRISTEN ACCOUNT #: LSR011605	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	95.0	0.87
02/26/2018	***-**-107J - SMITH, KRISTEN ACCOUNT #: LSR011605	PUTNAM INVESTORS FUND-A BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	95.0	0.30
02/26/2018	***-**-107J - SMITH, KRISTEN ACCOUNT #: LSR011605	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 1 Units @0.0000	0.00	0.62	0.00	0.62	95.0	0.59
02/26/2018	***-**-431R - D'ANGELO, DONNA ACCOUNT #: LSR003301	ROCHESTER FUND MUNICIPALS A BUY 1 Units @0.0000	0.00	1.56	0.00	1.56	95.0	1.48
02/26/2018	***-**-30IN - HALL, CHEREEZE ACCOUNT #: LSR010611	ROCHESTER FUND MUNICIPALS C BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	95.0	0.87
02/26/2018	***-**-31IN - SMITH, MS VIVICA ACCOUNT #: LSR011147	ROCHESTER FUND MUNICIPALS C BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	95.0	0.80
02/26/2018	***-**-66IN - BENNETT, KALENA ACCOUNT #: LSR011317	ROCHESTER FUND MUNICIPALS C BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	95.0	0.87
02/20/2018	***-**-01IN - SAUTTER, HOWARD ACCOUNT #: LSR011301	STRUCTURED U.S. EQUITY CLASS A BUY 1 Units @0.0000	0.00	1.72	0.00	1.72	95.0	1.63
02/20/2018	***-**-22IN - SAUTTER, TERRIE ACCOUNT #: LSR011302	STRUCTURED U.S. EQUITY CLASS A BUY 1 Units @0.0000	0.00	4.54	0.00	4.54	95.0	4.31
02/20/2018	***-**-01IN - SAUTTER, HOWARD ACCOUNT #: LSR011301	THE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.68	0.00	1.68	95.0	1.60
02/20/2018	***-**-950I - JENKINS, JOHN ACCOUNT #: LSR011619	THE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	5.33	0.00	5.33	95.0	5.06
02/20/2018	***-**-149I - JENKINS, BARBARA ACCOUNT #: LSR011620	THE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	5.35	0.00	5.35	95.0	5.08



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b>								
02/20/2018	***-**-950I - JENKINS, JOHN	THE INCOME FUND OF AMERICA-A	0.00	2.52	0.00	2.52	95.0	2.39
	ACCOUNT #: LSR011619	BUY 1 Units @0.0000						
02/20/2018	***-**-149I - JENKINS, BARBARA	THE INCOME FUND OF AMERICA-A	0.00	2.58	0.00	2.58	95.0	2.45
	ACCOUNT #: LSR011620	BUY 1 Units @0.0000						
02/20/2018	***-**-01IN - SAUTTER, HOWARD	THE INVESTMENT COMPANY OF AMERICA-A	0.00	7.90	0.00	7.90	95.0	7.51
	ACCOUNT #: LSR011301	BUY 1 Units @0.0000						
02/20/2018	***-**-22IN - SAUTTER, TERRIE	THE INVESTMENT COMPANY OF AMERICA-A	0.00	8.15	0.00	8.15	95.0	7.74
	ACCOUNT #: LSR011302	BUY 1 Units @0.0000						
02/20/2018	***-**-01IN - SAUTTER, HOWARD	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	8.95	0.00	8.95	95.0	8.50
	ACCOUNT #: LSR011301	BUY 1 Units @0.0000						
02/20/2018	***-**-22IN - SAUTTER, TERRIE	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	9.85	0.00	9.85	95.0	9.36
	ACCOUNT #: LSR011302	BUY 1 Units @0.0000						
	<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$206.75</b>	<b>\$0.00</b>	<b>\$206.75</b>		<b>\$196.39</b>
	<b>*** BROKER TRANSACTIONS TOTAL ***</b>		<b>\$1,750.00</b>	<b>\$256.40</b>	<b>\$0.00</b>	<b>\$256.40</b>		<b>\$243.56</b>

### OVERRIDE TRANSACTIONS

#### **BROKER: RICHARD BIRNS**

02/21/2018	***-**-31UG - GIFT MIN ACT NY,	COLUMBIA MF TRAILS	0.00	2.30	0.00	2.30	20.0	0.46
		BUY 0 Units @0.0000						
	<b>* RICHARD BIRNS SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$2.30</b>	<b>\$0.00</b>	<b>\$2.30</b>		<b>\$0.46</b>

#### **BROKER: BARRY BRESIN**

01/30/2018	***-**-513I - CLEMENT, SANDRA	COLUMBIA CONTRARIAN CORE R	194,707.37	1,947.07	0.00	1,947.07	15.0	292.06
		BUY 0 Units @0.0000						
01/26/2018	***-**-21IN - BRESIN, EMMA	LIVEWELL MUTUAL FUND	46,011.02	460.11	0.00	460.11	15.0	69.02
		BUY 0 Units @0.0000						
02/22/2018	***-**-4892 - STERN, ROBERT	PRINCIPAL FUNDS TRAILS	0.00	9.90	0.00	9.90	15.0	1.49
		BUY 0 Units @0.0000						
02/22/2018	***-**-4892 - STERN, ROBERT	PRINCIPAL FUNDS TRAILS	0.00	10.51	0.00	10.51	15.0	1.58
		BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: BARRY BRESIN (continued) </u></b>								
02/22/2018	***-**-010R - LOMBARD, LAURIE	PRINCIPAL FUNDS TRAILS BUY 0 Units @0.0000	0.00	11.36	0.00	11.36	15.0	1.70
02/20/2018	***-**-717I - MARSJANIK, ACCOUNT #: E1920142	PRUDENTIAL VA 74430T119 BUY 0 Units @0.0000	37,856.77	378.57	0.00	378.57	15.0	56.79
02/20/2018	***-**-717I - MARSJANIK, ACCOUNT #: E1920142	PRUDENTIAL VA 74430T119 BUY 0 Units @0.0000	6,715.23	67.15	0.00	67.15	15.0	10.07
02/20/2018	***-**-717I - MARSJANIK, ACCOUNT #: E1920142	PRUDENTIAL VA 74430T119 BUY 0 Units @0.0000	35,954.51	359.55	0.00	359.55	15.0	53.93
02/20/2018	***-**-717I - MARSJANIK, ACCOUNT #: E1920142	PRUDENTIAL VA 74430T119 BUY 0 Units @0.0000	17,122.58	171.23	0.00	171.23	15.0	25.68
02/20/2018	***-**-717I - MARSJANIK, ACCOUNT #: E1920142	PRUDENTIAL VA 74430T119 BUY 0 Units @0.0000	1,873.06	18.73	0.00	18.73	15.0	2.81
02/20/2018	***-**-717I - MARSJANIK, ACCOUNT #: E1920142	PRUDENTIAL VA 74430T119 BUY 0 Units @0.0000	5,692.19	56.92	0.00	56.92	15.0	8.54
02/20/2018	***-**-717I - MARSJANIK, ACCOUNT #: E1920142	PRUDENTIAL VA 74430T119 BUY 0 Units @0.0000	11,402.74	114.03	0.00	114.03	15.0	17.10
02/20/2018	***-**-717I - MARSJANIK, ACCOUNT #: E1920142	PRUDENTIAL VA 74430T119 BUY 0 Units @0.0000	10,973.17	109.73	0.00	109.73	15.0	16.46
02/20/2018	***-**-717I - MARSJANIK, ACCOUNT #: E1920142	PRUDENTIAL VA 74430T119 BUY 0 Units @0.0000	8,066.49	80.66	0.00	80.66	15.0	12.10
02/20/2018	***-**-717I - MARSJANIK, ACCOUNT #: E1920142	PRUDENTIAL VA 74430T119 BUY 0 Units @0.0000	18,513.82	185.14	0.00	185.14	15.0	27.77
02/20/2018	***-**-717I - MARSJANIK, ACCOUNT #: E1920142	PRUDENTIAL VA 74430T119 BUY 0 Units @0.0000	7,472.90	74.73	0.00	74.73	15.0	11.21
02/20/2018	***-**-717I - MARSJANIK, ACCOUNT #: E1920142	PRUDENTIAL VA 74430T119 BUY 0 Units @0.0000	9,417.25	94.17	0.00	94.17	15.0	14.13
02/20/2018	***-**-717I - MARSJANIK, ACCOUNT #: E1920142	PRUDENTIAL VA 74430T119 BUY 0 Units @0.0000	16,785.59	167.86	0.00	167.86	15.0	25.18
02/20/2018	***-**-717I - MARSJANIK, ACCOUNT #: E1920142	PRUDENTIAL VA 74430T119 BUY 0 Units @0.0000	112,153.70	1,121.54	0.00	1,121.54	15.0	168.23
<b>* BARRY BRESIN SUBTOTAL *</b>			<b>\$540,718.39</b>	<b>\$5,438.96</b>	<b>\$0.00</b>	<b>\$5,438.96</b>		<b>\$815.85</b>





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA</u></b>								
02/12/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063412117	BUY 3 Units @32.6400						
02/12/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	97.37	1.17	0.00	1.17	10.0	0.12
	ACCOUNT #: 00063412117	BUY 3 Units @32.6400						
02/12/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	97.37	1.17	0.00	1.17	10.0	0.12
	ACCOUNT #: 00063451518	BUY 3 Units @32.6400						
02/12/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063451518	BUY 3 Units @32.6400						
02/12/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063451518	BUY 3 Units @32.6400						
02/15/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	149.84	1.80	0.00	1.80	10.0	0.18
	ACCOUNT #: 00063412117	BUY 4 Units @33.6200						
02/15/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	166.04	1.99	0.00	1.99	10.0	0.20
	ACCOUNT #: 00063451518	BUY 5 Units @33.6200						
02/12/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591533	BUY 8 Units @28.4300						
02/12/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 04000650661	BUY 2 Units @28.4300						
02/15/2018	***-**-195P - HECHT, ANDREW	AMERICAN BALANCED FUND-529A	200.00	10.00	0.00	10.00	10.0	1.00
	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	10.0	0.05
	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	10.0	0.05
	ACCOUNT #: 00087198137	BUY 2 Units @27.1800						
02/12/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	10.0	0.02
	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	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @26.8800						
02/15/2018	***-**-535P - DELGAIZO,	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	10.0	0.21
	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	10.0	0.21
	ACCOUNT #: 00068454445	BUY 2 Units @28.6900						



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<b><u>VERRIDE TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
02/16/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	10.0	0.02
	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	10.0	0.01
	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	10.0	0.17
	ACCOUNT #: 00073003754	BUY 6 Units @26.6900						
02/12/2018	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	87.96	0.88	0.00	0.88	10.0	0.09
	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	10.0	0.04
	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	10.0	0.02
	ACCOUNT #: 00089679504	BUY 1 Units @26.6900						
02/13/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @26.7300						
02/13/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089045192	BUY 1 Units @26.7300						
02/13/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00089051066	BUY 2 Units @26.7300						
02/13/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	10.0	0.04
	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	10.0	0.12
	ACCOUNT #: 00089910177	BUY 4 Units @26.7300						
02/15/2018	***-**-36IN - SILLUZZIO, THOMAS	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00068088908	BUY 2 Units @27.0600						
02/15/2018	***-**-315P - SILLUZZIO, JUSTIN	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00068803650	BUY 2 Units @27.0600						
02/15/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087429936	BUY 2 Units @27.0600						
02/15/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089045192	BUY 1 Units @27.0600						
02/15/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00089051066	BUY 2 Units @27.0600						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
02/15/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	16.19	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00089583477	BUY 1 Units @27.0600						
02/16/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @27.0600						
02/16/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @27.0600						
02/16/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.60	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @27.0600						
02/16/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @27.0600						
02/16/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00085904215	BUY 1 Units @27.0600						
02/16/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	5.69	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904215	BUY 0 Units @27.0600						
02/20/2018	***-**-14IN - BENEDETTO,	AMERICAN BALANCED FUND-C	0.00	27.83	0.00	27.83	10.0	2.78
	ACCOUNT #: LSR010421	BUY 1 Units @0.0000						
02/20/2018	***-**-19IN - LIPPA, MARISSA	AMERICAN BALANCED FUND-C	0.00	1.21	0.00	1.21	10.0	0.12
	ACCOUNT #: LSR011011	BUY 1 Units @0.0000						
02/20/2018	***-**-61IO - BONACCI, FBO	AMERICAN BALANCED FUND-C	0.00	5.91	0.00	5.91	10.0	0.59
	ACCOUNT #: LSR011143	BUY 1 Units @0.0000						
02/20/2018	***-**-497J - WARNEY, KENNETH	AMERICAN BALANCED FUND-C	0.00	3.77	0.00	3.77	10.0	0.38
	ACCOUNT #: LSR011248	BUY 1 Units @0.0000						
02/20/2018	***-**-58IR - HINDERLAND, GARY	AMERICAN BALANCED FUND-C	0.00	1.42	0.00	1.42	10.0	0.14
	ACCOUNT #: LSR011249	BUY 1 Units @0.0000						
02/20/2018	***-**-283I - RICCI, GABRIELLE	AMERICAN BALANCED FUND-C	0.00	2.29	0.00	2.29	10.0	0.23
	ACCOUNT #: LSR011473	BUY 1 Units @0.0000						
02/20/2018	***-**-95IO - KELLY, COURTNEY	AMERICAN BALANCED FUND-C	0.00	3.13	0.00	3.13	10.0	0.31
	ACCOUNT #: LSR011685	BUY 1 Units @0.0000						
02/20/2018	***-**-18IO - TAYLOR, GREGORY	AMERICAN BALANCED FUND-C	0.00	23.88	0.00	23.88	10.0	2.39
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
02/20/2018	***-**-80IN - MOYER, COLLEEN	AMERICAN BALANCED FUND-C	0.00	13.35	0.00	13.35	10.0	1.34
	ACCOUNT #: LSR011724	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
02/20/2018	***-**-80IR - MOYER, COLLEEN	AMERICAN BALANCED FUND-C	0.00	4.51	0.00	4.51	10.0	0.45
	ACCOUNT #: LSR011726	BUY 1 Units @0.0000						
02/20/2018	***-**-11IN - RUSSELL, ALAN	AMERICAN FUND TAX - EXEMPT FUND OF	0.00	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: LSR011417	BUY 1 Units @0.0000						
02/12/2018	***-**-7063 - ZIOTO, JULIA	AMERICAN GLOBAL BALANCED CL C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 04000322984	BUY 3 Units @32.2400						
02/20/2018	***-**-61IN - OLIVERI, WILLIAM	AMERICAN HIGH INCOME MUNI BOND CLAS	0.00	105.65	0.00	105.65	10.0	10.57
	ACCOUNT #: LSR011543	BUY 1 Units @0.0000						
02/16/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 10 Units @10.2900						
02/16/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @10.2900						
02/16/2018	***-**-0785 - DWYER-SKINNER,	AMERICAN HIGH-INCOME TRUST-C	10,000.00	100.00	0.00	100.00	10.0	10.00
	ACCOUNT #: 04000807729	BUY 972 Units @10.2900						
02/20/2018	***-**-306I - SINCLAIR,	AMERICAN HIGH-INCOME TRUST-C	0.00	5.32	0.00	5.32	10.0	0.53
	ACCOUNT #: LSR010992	BUY 1 Units @0.0000						
02/20/2018	***-**-05IO - KIMBLE, LONNY	AMERICAN HIGH-INCOME TRUST-C	0.00	59.82	0.00	59.82	10.0	5.98
	ACCOUNT #: LSR011472	BUY 1 Units @0.0000						
02/20/2018	***-**-18IO - TAYLOR, GREGORY	AMERICAN HIGH-INCOME TRUST-C	0.00	21.85	0.00	21.85	10.0	2.19
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
02/20/2018	***-**-80IN - MOYER, COLLEEN	AMERICAN HIGH-INCOME TRUST-C	0.00	12.19	0.00	12.19	10.0	1.22
	ACCOUNT #: LSR011724	BUY 1 Units @0.0000						
02/12/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @40.3500						
02/12/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	720.34	7.20	0.00	7.20	10.0	0.72
	ACCOUNT #: 00066759711	BUY 18 Units @40.3500						
02/16/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	10.0	0.03
	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	10.0	0.14
	ACCOUNT #: 00066759711	BUY 3 Units @41.3500						
02/15/2018	***-**-01UG - DIGIOVANNI,	AMERICAN MUTUAL FUND-C	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00087087389	BUY 4 Units @40.6300						



# COMMISSION STATEMENT

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ANDREW KALINOWSKI  
400 West Metro Park  
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BROKER #: 20  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
02/16/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @40.7300						
02/20/2018	***-**-14IN - BENEDETTO,	AMERICAN MUTUAL FUND-C	0.00	29.43	0.00	29.43	10.0	2.94
	ACCOUNT #: LSR010421	BUY 1 Units @0.0000						
02/20/2018	***-**-44IR - ROBERTSON,	AMERICAN MUTUAL FUND-C	0.00	1.58	0.00	1.58	10.0	0.16
	ACCOUNT #: LSR010558	BUY 1 Units @0.0000						
02/20/2018	***-**-61IO - BONACCI, FBO	AMERICAN MUTUAL FUND-C	0.00	7.77	0.00	7.77	10.0	0.78
	ACCOUNT #: LSR011143	BUY 1 Units @0.0000						
02/20/2018	***-**-497J - WARNEY, KENNETH	AMERICAN MUTUAL FUND-C	0.00	1.48	0.00	1.48	10.0	0.15
	ACCOUNT #: LSR011248	BUY 1 Units @0.0000						
02/02/2018	***-**-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						
02/02/2018	***-**-772I - KERHAERT,	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 03222178044	BUY 0 Units @0.0000						
02/02/2018	***-**-9206 - SANDER, DAVID	CAPITAL APPRECIATION C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 03222178055	BUY 0 Units @0.0000						
02/02/2018	***-**-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						
02/02/2018	***-**-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						
02/06/2018	***-**-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						
02/20/2018	***-**-14IN - BENEDETTO,	CAPITAL INCOME BUILDER CLASS C	0.00	98.68	0.00	98.68	10.0	9.87
	ACCOUNT #: LSR010421	BUY 1 Units @0.0000						
02/20/2018	***-**-306I - SINCLAIR,	CAPITAL INCOME BUILDER CLASS C	0.00	5.60	0.00	5.60	10.0	0.56
	ACCOUNT #: LSR010992	BUY 1 Units @0.0000						
02/20/2018	***-**-18IO - TAYLOR, GREGORY	CAPITAL INCOME BUILDER-A	0.00	6.98	0.00	6.98	10.0	0.70
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
02/12/2018	***-**-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 @20.4100						
02/12/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	24.35	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @20.4100						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>VERRIDE TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
02/12/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	CAPITAL WORLD BOND FUND-A BUY 1 Units @20.4100	22.25	0.27	0.00	0.27	10.0	0.03
02/12/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	CAPITAL WORLD BOND FUND-A BUY 1 Units @20.4100	24.35	0.29	0.00	0.29	10.0	0.03
02/12/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	CAPITAL WORLD BOND FUND-A BUY 1 Units @20.4100	22.25	0.27	0.00	0.27	10.0	0.03
02/15/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	CAPITAL WORLD BOND FUND-A BUY 2 Units @20.6000	37.46	0.45	0.00	0.45	10.0	0.05
02/15/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	CAPITAL WORLD BOND FUND-A BUY 2 Units @20.6000	41.51	0.50	0.00	0.50	10.0	0.05
02/12/2018	***-**-425P - MEEKS, PERDITA ACCOUNT #: 00074210167	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @54.2200	12.50	0.63	0.00	0.63	10.0	0.06
02/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @50.6000	15.00	0.15	0.00	0.15	10.0	0.02
02/13/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @50.6000	40.00	0.40	0.00	0.40	10.0	0.04
02/15/2018	***-**-01UG - DIGIOVANNI, ACCOUNT #: 00087087389	CAPITAL WORLD GROWTH AND INCOME FUN BUY 3 Units @52.1300	150.00	1.50	0.00	1.50	10.0	0.15
02/15/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.1300	15.00	0.15	0.00	0.15	10.0	0.02
02/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @52.1900	96.40	0.96	0.00	0.96	10.0	0.10
02/15/2018	***-**-385P - ARBORE, TAYLER ACCOUNT #: 00081282910	CAPITAL WORLD GROWTH AND INCOME-529 BUY 1 Units @55.3400	50.00	2.13	0.00	2.13	10.0	0.21
02/15/2018	***-**-385P - ARBORE, TAYLER ACCOUNT #: 00081283006	CAPITAL WORLD GROWTH AND INCOME-529 BUY 1 Units @55.3400	50.00	2.13	0.00	2.13	10.0	0.21
02/21/2018	***-**-540J - ARBORE, MARIA	COLUMBIA MF TRAILS BUY 0 Units @0.0000	0.00	2.27	0.00	2.27	10.0	0.23
02/21/2018	***-**-07IN - SCARPULLA,	COLUMBIA MF TRAILS BUY 0 Units @0.0000	0.00	16.02	0.00	16.02	10.0	1.60
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	10.0	0.43



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
02/21/2018	***-**-264I - SIDOTI, LAURA	EATON VANCE MF TRAILS	0.00	3.60	0.00	3.60	10.0	0.36
	ACCOUNT #: 0104134960	BUY 0 Units @0.0000						
02/21/2018	***-**-96CL - SCARPULLA,	EATON VANCE MF TRAILS	0.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 5054692727	BUY 0 Units @0.0000						
02/21/2018	***-**-96CL - SCARPULLA,	EATON VANCE MF TRAILS	0.00	4.13	0.00	4.13	10.0	0.41
	ACCOUNT #: 5054692727	BUY 0 Units @0.0000						
02/21/2018	***-**-264I - SIDOTI, LAURA	EATON VANCE MF TRAILS	0.00	10.81	0.00	10.81	10.0	1.08
	ACCOUNT #: 0104134960	BUY 0 Units @0.0000						
02/06/2018	***-**-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						
02/12/2018	***-**-445P - BURNS, DANIEL	EUROPACIFIC GROWTH FUND-A	19.80	0.20	0.00	0.20	10.0	0.02
	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	10.0	0.08
	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	10.0	0.09
	ACCOUNT #: 00063412117	BUY 1 Units @56.9000						
02/12/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @56.9000						
02/12/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	73.04	0.88	0.00	0.88	10.0	0.09
	ACCOUNT #: 00063451518	BUY 1 Units @56.9000						
02/12/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @56.9000						
02/15/2018	***-**-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	112.39	1.35	0.00	1.35	10.0	0.14
	ACCOUNT #: 00063412117	BUY 2 Units @58.9900						
02/15/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	124.54	1.49	0.00	1.49	10.0	0.15
	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	10.0	0.02
	ACCOUNT #: 00066758346	BUY 0 Units @58.0200						
02/26/2018	***-**-63IR - DIAMOND, ANN	FEDERATED STRATEGIC INCOME FUND CLA	0.00	0.65	0.00	0.65	10.0	0.07
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
02/12/2018	***-**-5703 - DIODATO,	FIDELITY ADVISOR CONSUMER DISCRETIO	37,520.83	375.21	0.00	375.21	10.0	37.52
	ACCOUNT #: 3900218260	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
02/12/2018	***-**-5703 - DIODATO, ACCOUNT #: 3900218260	FIDELITY ADVISOR REAL ESTATE CLASS BUY 0 Units @0.0000	37,520.83	375.21	0.00	375.21	10.0	37.52
02/12/2018	***-**-5703 - DIODATO, ACCOUNT #: 3900218260	FIDELITY ADVISOR STRATEGIC INCOME F BUY 0 Units @0.0000	37,520.84	375.21	0.00	375.21	10.0	37.52
02/12/2018	***-**-5703 - DIODATO, ACCOUNT #: 3900218260	FIDELITY ADVISOR UTILITIES FUND CLA BUY 0 Units @0.0000	37,520.84	375.21	0.00	375.21	10.0	37.52
02/12/2018	***-**-5703 - DIODATO, ACCOUNT #: 3900218260	FIDELITY GLOBAL EQUITY INCOME FUND BUY 0 Units @0.0000	37,520.83	375.21	0.00	375.21	10.0	37.52
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	10.0	0.12
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	10.0	0.26
02/12/2018	***-**-495P - HARTER, EDWARD ACCOUNT #: 00066759710	FUNDAMENTAL INVESTORS-A BUY 0 Units @62.0900	25.00	0.25	0.00	0.25	10.0	0.03
02/12/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	FUNDAMENTAL INVESTORS-A BUY 2 Units @63.0400	133.50	1.60	0.00	1.60	10.0	0.16
02/12/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	FUNDAMENTAL INVESTORS-A BUY 2 Units @63.0400	146.07	1.75	0.00	1.75	10.0	0.18
02/12/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 2 Units @63.0400	133.50	1.60	0.00	1.60	10.0	0.16
02/12/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 2 Units @63.0400	146.07	1.75	0.00	1.75	10.0	0.18
02/12/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 2 Units @63.0400	133.50	1.60	0.00	1.60	10.0	0.16
02/15/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	FUNDAMENTAL INVESTORS-A BUY 3 Units @64.9200	224.78	2.70	0.00	2.70	10.0	0.27
02/15/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 4 Units @64.9200	249.08	2.99	0.00	2.99	10.0	0.30
02/16/2018	***-**-495P - HARTER, EDWARD ACCOUNT #: 00066759710	FUNDAMENTAL INVESTORS-A BUY 0 Units @63.8900	25.00	0.25	0.00	0.25	10.0	0.03
02/12/2018	***-**-617I - ROWE, KEVIN ACCOUNT #: 04000591484	FUNDAMENTAL INVESTORS-C BUY 4 Units @61.7000	225.00	2.25	0.00	2.25	10.0	0.23





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<b><u>VERRIDE TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
02/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @61.8500	20.40	0.20	0.00	0.20	10.0	0.02
02/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @61.8500	20.40	0.20	0.00	0.20	10.0	0.02
02/15/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.5500	20.40	0.20	0.00	0.20	10.0	0.02
02/16/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.4900	5.41	0.05	0.00	0.05	10.0	0.01
02/16/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.4900	9.00	0.09	0.00	0.09	10.0	0.01
02/16/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.4900	18.00	0.18	0.00	0.18	10.0	0.02
02/20/2018	***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	26.14	0.00	26.14	10.0	2.61
02/20/2018	***-**-80IN - MOYER, COLLEEN ACCOUNT #: LSR011724	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	14.60	0.00	14.60	10.0	1.46
02/20/2018	***-**-80IR - MOYER, COLLEEN ACCOUNT #: LSR011726	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	2.46	0.00	2.46	10.0	0.25
02/26/2018	***-**-92IR - CHEN, CYNTHIA ACCOUNT #: LSR011412	GLOBAL OPPORTUNITIES A BUY 1 Units @0.0000	0.00	1.90	0.00	1.90	10.0	0.19
02/02/2018	***-**-9206 - SANDER, DAVID ACCOUNT #: 02171629936	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	80.00	0.80	0.00	0.80	10.0	0.08
02/02/2018	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 02171798599	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
02/06/2018	***-**-90FB - DIODATO, CAROL ACCOUNT #: 02171777391	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
02/06/2018	***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 02171800557	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
02/06/2018	***-**-9530 - MILAM, IAN ACCOUNT #: 02171852708	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
02/06/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 02171875445	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	77.02	0.77	0.00	0.77	10.0	0.08



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
02/05/2018	***-**-39IN - ARBORE, MARIA	GROWTH AND INCOME FUND - A	0.00	3.07	0.00	3.07	10.0	0.31
	ACCOUNT #: 00000176375	BUY 0 Units @0.0000						
02/16/2018	***-**-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 @23.0600						
02/20/2018	***-**-14IN - BENEDETTO,	INCOME FUND OF AMERICA CLASS C	0.00	103.72	0.00	103.72	10.0	10.37
	ACCOUNT #: LSR010421	BUY 1 Units @0.0000						
02/20/2018	***-**-306I - SINCLAIR,	INCOME FUND OF AMERICA CLASS C	0.00	5.72	0.00	5.72	10.0	0.57
	ACCOUNT #: LSR010992	BUY 1 Units @0.0000						
02/20/2018	***-**-05IO - KIMBLE, LONNY	INCOME FUND OF AMERICA CLASS C	0.00	62.99	0.00	62.99	10.0	6.30
	ACCOUNT #: LSR011472	BUY 1 Units @0.0000						
02/15/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	15.72	0.16	0.00	0.16	10.0	0.02
	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	10.0	0.05
	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	10.0	0.05
	ACCOUNT #: 04000618245	BUY 1 Units @41.0400						
02/16/2018	***-**-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 @41.1500						
02/20/2018	***-**-70UT - GALLETS CUST,	INVESTMENT COMPANY OF AMERICA CLASS	0.00	7.28	0.00	7.28	10.0	0.73
	ACCOUNT #: LSR011191	BUY 1 Units @0.0000						
02/26/2018	***-**-63IR - DIAMOND, ANN	LORD ABBETT SHORT DURATION INCOME C	0.00	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
02/02/2018	***-**-9206 - SANDER, DAVID	MAIN STREET FUND C	80.00	0.80	0.00	0.80	10.0	0.08
	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	10.0	0.07
	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	10.0	0.05
	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	10.0	0.03
	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	10.0	0.08
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
02/06/2018	***-**-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						
02/06/2018	***-**-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						
02/06/2018	***-**-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						
02/20/2018	***-**-63IR - DIAMOND, ANN	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.74	0.00	0.74	10.0	0.07
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
02/12/2018	***-**-445P - BURNS, DANIEL	NEW PERSPECTIVE FUND-A	19.80	0.20	0.00	0.20	10.0	0.02
	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	10.0	0.03
	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	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @44.3800						
02/12/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @44.3800						
02/12/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	24.35	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @44.3800						
02/12/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	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	10.0	0.05
	ACCOUNT #: 00063412117	BUY 1 Units @45.8900						
02/15/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	41.51	0.50	0.00	0.50	10.0	0.05
	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	10.0	0.02
	ACCOUNT #: 00066758346	BUY 0 Units @45.1400						
02/13/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	10.0	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	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @42.0700						
02/15/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @43.4000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
02/16/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	6.32	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @43.3300						
02/16/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @43.3300						
02/16/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @43.3300						
02/20/2018	***-**-92IR - CRISPINO, FBO	NEW PERSPECTIVE FUND-C	0.00	12.06	0.00	12.06	10.0	1.21
	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	10.0	0.57
	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	10.0	0.40
	ACCOUNT #: LSR011759	BUY 1 Units @0.0000						
02/16/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	6.31	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @66.5000						
02/16/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @66.5000						
02/16/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @66.5000						
02/16/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @66.5000						
02/26/2018	***-**-3758 - CONNORS, DAVID	NYA JPM 529 AGGR AGE-BASE C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 77162702001	BUY 0 Units @0.0000						
02/26/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 EQUITY INCOME PORTF C	138.52	1.39	0.00	1.39	10.0	0.14
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
02/21/2018	***-**-503J - OBI, JEAN	NYA JPM 529 MOD AGE-BASED A	0.00	2.38	0.00	2.38	10.0	0.24
		BUY 0 Units @0.0000						
02/21/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 MOD AGE-BASED A	0.00	0.46	0.00	0.46	10.0	0.05
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
02/21/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 MOD AGE-BASED A	0.00	0.93	0.00	0.93	10.0	0.09
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
02/21/2018	***-**-80IN - MOYER, COLLEEN	NYA JPM 529 MOD AGE-BASED A	0.00	1.52	0.00	1.52	10.0	0.15
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
02/02/2018	***-**-3407 - SUTTELL, 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						
02/02/2018	***-**-3407 - SUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	871.59	8.72	0.00	8.72	10.0	0.87
	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	10.0	0.10
	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	10.0	0.40
	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	10.0	0.18
	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	10.0	0.18
	ACCOUNT #: 06670037686	BUY 0 Units @0.0000						
02/02/2018	***-**-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						
02/02/2018	***-**-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						
02/06/2018	***-**-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						
02/02/2018	***-**-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						
02/06/2018	***-**-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						
02/06/2018	***-**-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						
02/26/2018	***-**-92IR - CHEN, CYNTHIA	PIMCO TOTAL RETURN CLASS A	0.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: LSR011412	BUY 1 Units @0.0000						
02/02/2018	***-**-772I - KERHAERT,	QUEST BALANCED FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02592262304	BUY 0 Units @0.0000						
02/06/2018	***-**-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						
02/07/2018	***-**-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						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
02/02/2018	***-**-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						
02/06/2018	***-**-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						
02/06/2018	***-**-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						
02/26/2018	***-**-20IN - GIANGRECO, TERRY	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	112.34	0.00	112.34	10.0	11.23
	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	10.0	0.13
	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	10.0	0.17
	ACCOUNT #: 00000413901	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	10.0	0.02
	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	10.0	0.03
	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	10.0	0.03
	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	10.0	0.03
	ACCOUNT #: 00066758346	BUY 1 Units @57.2200						
02/13/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	10.0	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	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @48.8600						
02/15/2018	***-**-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						
02/16/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @50.2900						
02/02/2018	***-**-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						
02/02/2018	***-**-9206 - SANDER, DAVID	STRATEGIC INCOME FUND C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 02322653794	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
02/06/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 02322751089	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	125.00	1.25	0.00	1.25	10.0	0.13
02/12/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	THE BOND FUND OF AMERICA-A BUY 2 Units @12.6300	19.80	0.20	0.00	0.20	10.0	0.02
02/12/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 3 Units @12.8200	44.50	0.53	0.00	0.53	10.0	0.05
02/12/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 4 Units @12.8200	48.69	0.58	0.00	0.58	10.0	0.06
02/12/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 3 Units @12.8200	44.50	0.53	0.00	0.53	10.0	0.05
02/12/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 4 Units @12.8200	48.69	0.58	0.00	0.58	10.0	0.06
02/12/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 3 Units @12.8200	44.50	0.53	0.00	0.53	10.0	0.05
02/15/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 6 Units @12.7800	74.93	0.90	0.00	0.90	10.0	0.09
02/15/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 6 Units @12.7800	83.03	1.00	0.00	1.00	10.0	0.10
02/16/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	THE BOND FUND OF AMERICA-A BUY 2 Units @12.6100	19.80	0.20	0.00	0.20	10.0	0.02
02/16/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.6100	28.05	0.28	0.00	0.28	10.0	0.03
02/16/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.6100	9.00	0.09	0.00	0.09	10.0	0.01
02/20/2018	***-**-6110 - BONACCI, FBO ACCOUNT #: LSR011143	THE BOND FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	6.12	0.00	6.12	10.0	0.61
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	10.0	0.08
02/12/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 5 Units @50.5800	250.00	2.50	0.00	2.50	10.0	0.25
02/12/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	THE GROWTH FUND OF AMERICA-A BUY 1 Units @50.5800	30.00	0.30	0.00	0.30	10.0	0.03



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
02/12/2018	***-**-445P - BURNS, DANIEL	THE GROWTH FUND OF AMERICA-A	72.60	0.73	0.00	0.73	10.0	0.07
	ACCOUNT #: 00066758346	BUY 1 Units @50.5800						
02/12/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	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	10.0	0.05
	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	10.0	0.13
	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	10.0	0.06
	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	10.0	0.02
	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	10.0	0.01
	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	10.0	0.08
	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	10.0	0.09
	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	10.0	0.08
	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	10.0	0.09
	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	10.0	0.08
	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	10.0	0.06
	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	10.0	0.14
	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	10.0	0.15
	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	10.0	0.25
	ACCOUNT #: 00066758342	BUY 5 Units @52.1800						





# COMMISSION STATEMENT

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>VERRIDE TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
02/16/2018	***-**-405P - FRISA, ALAN	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758344	BUY 1 Units @52.1800						
02/16/2018	***-**-445P - BURNS, DANIEL	THE GROWTH FUND OF AMERICA-A	72.60	0.73	0.00	0.73	10.0	0.07
	ACCOUNT #: 00066758346	BUY 1 Units @52.1800						
02/16/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @52.1800						
02/16/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @52.1800						
02/16/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	130.00	1.30	0.00	1.30	10.0	0.13
	ACCOUNT #: 00074922243	BUY 2 Units @52.1800						
02/16/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	60.05	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00083414110	BUY 1 Units @52.1800						
02/16/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00087318332	BUY 0 Units @52.1800						
02/16/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @52.1800						
02/12/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591484	BUY 5 Units @46.8700						
02/12/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	160.00	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00073003754	BUY 3 Units @46.8700						
02/12/2018	***-**-1307 - BONACCI,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00087952601	BUY 2 Units @46.8700						
02/12/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	55.97	0.56	0.00	0.56	10.0	0.06
	ACCOUNT #: 00089319958	BUY 1 Units @46.8700						
02/12/2018	***-**-50IN - BONACCI,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00089947853	BUY 2 Units @46.8700						
02/12/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591533	BUY 5 Units @46.8700						
02/12/2018	***-**-0006 - FORSYTH, KATHRYN	THE GROWTH FUND OF AMERICA-C	86.54	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 04000650661	BUY 2 Units @46.8700						
02/13/2018	***-**-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 @47.0200						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
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	10.0	0.10
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	10.0	0.06
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	10.0	0.02
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	10.0	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	10.0	0.05
02/20/2018	***-**-497J - WARNEY, KENNETH ACCOUNT #: LSR011248	THE GROWTH FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	1.44	0.00	1.44	10.0	0.14
02/20/2018	***-**-283I - RICCI, GABRIELLE ACCOUNT #: LSR011473	THE GROWTH FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	3.99	0.00	3.99	10.0	0.40
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	10.0	0.25
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	10.0	0.03
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	10.0	0.05
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	10.0	0.02
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	10.0	0.25
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	10.0	0.03
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	10.0	0.05
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	10.0	0.02
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	10.0	0.05



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
02/20/2018	***-**-20IN - GIANGRECO, TERRY	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	372.93	0.00	372.93	10.0	37.29
	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	10.0	15.45
	ACCOUNT #: LSR011543	BUY 1 Units @0.0000						
02/02/2018	***-**-9206 - SANDER, DAVID	VALUE FUND C	80.00	0.80	0.00	0.80	10.0	0.08
	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	10.0	0.50
	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	10.0	0.03
	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	10.0	0.50
	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	10.0	0.03
	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	10.0	0.17
	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	10.0	0.40
	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	10.0	0.04
	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	10.0	0.05
	ACCOUNT #: 04000456708	BUY 1 Units @45.8900						
02/20/2018	***-**-80IR - MOYER, COLLEEN	WASHINGTON MUTUAL INVESTORS FUND-C	0.00	2.40	0.00	2.40	10.0	0.24
	ACCOUNT #: LSR011726	BUY 1 Units @0.0000						
02/09/2018	***-**-27IN - TINKLEPAUGH,	WELLS FGO AVTG DIVERSFD CAPITAL BLD	0.00	1.14	0.00	1.14	10.0	0.11
	ACCOUNT #: 01005412974	BUY 0 Units @0.0000						
	<b>* FREDERIC SCARPULLA SUBTOTAL *</b>		<b>\$215,680.18</b>	<b>\$3,585.32</b>	<b>\$0.00</b>	<b>\$3,585.32</b>		<b>\$358.82</b>
<b> <u>BROKER: WILLIAM AGNELLO</u> </b>								
02/20/2018	***-**-28IN - CHIAVETTA,	AMERICAN BALANCED FUND-A	0.00	2.45	0.00	2.45	25.0	0.61
	ACCOUNT #: LSR008842	BUY 1 Units @0.0000						
02/20/2018	***-**-93IO - WOJTAS, JEANETTE	AMERICAN HIGH-INCOME TRUST-A	0.00	1.54	0.00	1.54	25.0	0.39
	ACCOUNT #: LSR007323	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: WILLIAM AGNELLO (continued)</u></b>								
02/20/2018	***-**-75IO - DELCOUR	AMERICAN HIGH-INCOME TRUST-C	0.00	10.29	0.00	10.29	25.0	2.57
	ACCOUNT #: LSR007358	BUY 1 Units @0.0000						
02/22/2018	***-**-28IN - CUP, ANDREW	DELAWARE INV MF TRAILS	0.00	0.37	0.00	0.37	25.0	0.09
		BUY 0 Units @0.0000						
02/20/2018	***-**-613K - HAGER	DREYFUS LIMITED TERM HIGH YIELD FUN	0.00	1.96	0.00	1.96	25.0	0.49
	ACCOUNT #: LSR006980	BUY 1 Units @0.0000						
02/26/2018	***-**-963I - GAMMARIELLO,	FEDERATED REAL RETRN BOND FUND CL A	0.00	1.11	0.00	1.11	25.0	0.28
	ACCOUNT #: LSR007102	BUY 1 Units @0.0000						
02/26/2018	***-**-963I - GAMMARIELLO,	FEDERATED TOTAL RETURN BOND CL A	0.00	2.06	0.00	2.06	25.0	0.52
	ACCOUNT #: LSR007102	BUY 1 Units @0.0000						
02/26/2018	***-**-43IN - CUP, NICHOLAS	FIDELITY ADV HIGH INC ADVANTAGE CL	0.00	16.29	0.00	16.29	25.0	4.07
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
02/26/2018	***-**-11IO - CRANDALL,	FIDELITY ADV HIGH INC ADVANTAGE CL	0.00	17.25	0.00	17.25	25.0	4.31
	ACCOUNT #: LSR007145	BUY 1 Units @0.0000						
02/26/2018	***-**-657I - RIEL, KEVIN	FIDELITY ADV SMALL CAP GROWTH-CL C	0.00	6.45	0.00	6.45	25.0	1.61
	ACCOUNT #: LSR007366	BUY 1 Units @0.0000						
02/26/2018	***-**-43IN - CUP, NICHOLAS	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	17.55	0.00	17.55	25.0	4.39
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
02/26/2018	***-**-43IN - CUP, NICHOLAS	FIDELITY ADVISOR BIOTECHNOLOGY CL C	0.00	8.02	0.00	8.02	25.0	2.01
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
02/26/2018	***-**-36IO - IRWIN, CHARLES	FIDELITY ADVISOR BIOTECHNOLOGY CL C	0.00	10.95	0.00	10.95	25.0	2.74
	ACCOUNT #: LSR007200	BUY 1 Units @0.0000						
02/26/2018	***-**-657I - RIEL, KEVIN	FIDELITY ADVISOR BIOTECHNOLOGY CL C	0.00	24.10	0.00	24.10	25.0	6.03
	ACCOUNT #: LSR007366	BUY 1 Units @0.0000						
02/26/2018	***-**-43IN - CUP, NICHOLAS	FIDELITY ADVISOR FUNDS 316390350	0.00	7.54	0.00	7.54	25.0	1.89
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
02/26/2018	***-**-925I - DIPALO, JOSEPH	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	1.26	0.00	1.26	25.0	0.32
	ACCOUNT #: LSR006874	BUY 1 Units @0.0000						
02/26/2018	***-**-43IN - CUP, NICHOLAS	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	5.92	0.00	5.92	25.0	1.48
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
02/26/2018	***-**-59T2 - ETHEL CUP IRREV	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.12	0.00	0.12	25.0	0.03
	ACCOUNT #: LSR006912	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: WILLIAM AGNELLO (continued)</u></b>								
02/26/2018	***-**-59T3 - ETHEL CUP IRREV ACCOUNT #: LSR006947	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.02	0.00	0.02	25.0	0.01
02/26/2018	***-**-59T4 - ETHEL CUP TRUST ACCOUNT #: LSR006955	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.09	0.00	0.09	25.0	0.02
02/26/2018	***-**-59T5 - ETHEL CUP TRUST ACCOUNT #: LSR006963	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.55	0.00	0.55	25.0	0.14
02/26/2018	***-**-13IR - HAGER, MICHAEL ACCOUNT #: LSR006971	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.04	0.00	0.04	25.0	0.01
02/26/2018	***-**-613K - HAGER ACCOUNT #: LSR006980	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	25.0	0.06
02/26/2018	***-**-002I - NFS/FMTC IRA ACCOUNT #: LSR007005	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	1.59	0.00	1.59	25.0	0.40
02/26/2018	***-**-963I - GAMMARIELLO, ACCOUNT #: LSR007102	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	25.0	0.21
02/26/2018	***-**-90IR - NFS/FMTC ROTH ACCOUNT #: LSR007110	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	25.0	0.14
02/26/2018	***-**-28IR - CUP, ANDREW ACCOUNT #: LSR007129	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	25.0	0.17
02/26/2018	***-**-28IN - CUP, ANDREW ACCOUNT #: LSR007137	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	25.0	0.21
02/26/2018	***-**-11IO - CRANDALL, ACCOUNT #: LSR007145	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	1.48	0.00	1.48	25.0	0.37
02/26/2018	***-**-36IO - IRWIN, CHARLES ACCOUNT #: LSR007200	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	2.68	0.00	2.68	25.0	0.67
02/26/2018	***-**-39IN - IRWIN, DIANE ACCOUNT #: LSR007234	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.02	0.00	0.02	25.0	0.01
02/26/2018	***-**-39IR - IRWIN ACCOUNT #: LSR007242	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.05	0.00	0.05	25.0	0.01
02/26/2018	***-**-439I - IRWIN, DIANE ACCOUNT #: LSR007250	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	25.0	0.02
02/26/2018	***-**-93IO - WOJTAS, JEANETTE ACCOUNT #: LSR007323	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.03	0.00	0.03	25.0	0.01



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: WILLIAM AGNELLO (continued)</u></b>								
02/26/2018	***-**-82IO - PARISI ACCOUNT #: LSR007331	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	25.0	0.06
02/26/2018	***-**-75IO - DELCOUR ACCOUNT #: LSR007358	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.03	0.00	0.03	25.0	0.01
02/26/2018	***-**-657I - RIEL, KEVIN ACCOUNT #: LSR007366	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	1.04	0.00	1.04	25.0	0.26
02/26/2018	***-**-951I - SCHAEFER, ACCOUNT #: LSR007382	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.11	0.00	0.11	25.0	0.03
02/26/2018	***-**-728X - CHIAVETTA, NSPS ACCOUNT #: LSR008699	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.05	0.00	0.05	25.0	0.01
02/26/2018	***-**-28IN - CHIAVETTA, ACCOUNT #: LSR008842	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.04	0.00	0.04	25.0	0.01
02/26/2018	***-**-461J - PANZARELLA, ACCOUNT #: LSR010004	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	25.0	0.09
02/26/2018	***-**-72IN - MAZZOCHETTI, ACCOUNT #: LSR010021	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	25.0	0.07
02/26/2018	***-**-87IN - IRWIN, IRENE ACCOUNT #: LSR010100	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	25.0	0.09
02/26/2018	***-**-25IN - DIPAOLO, JOSEPH ACCOUNT #: LSR010260	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.53	0.00	0.53	25.0	0.13
02/20/2018	***-**-39IN - IRWIN, DIANE ACCOUNT #: LSR007234	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	5.19	0.00	5.19	25.0	1.30
02/26/2018	***-**-36IO - IRWIN, CHARLES ACCOUNT #: LSR007200	JANUS HIGH YIELD CLASS C BUY 1 Units @0.0000	0.00	4.61	0.00	4.61	25.0	1.15
02/26/2018	***-**-87IN - IRWIN, IRENE ACCOUNT #: LSR010100	MAIN STREET FUND A BUY 1 Units @0.0000	0.00	0.08	0.00	0.08	25.0	0.02
02/26/2018	***-**-59T2 - ETHEL CUP IRREV ACCOUNT #: LSR006912	MAINSTAY COMMON STOCK FUND CLASS A BUY 1 Units @0.0000	0.00	7.60	0.00	7.60	25.0	1.90
02/26/2018	***-**-28IN - CHIAVETTA, ACCOUNT #: LSR008842	MAINSTAY FLOATING RATE FUND CL A BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	25.0	0.51
02/26/2018	***-**-87IN - IRWIN, IRENE ACCOUNT #: LSR010100	OPPENHEIMER DISCOVERY CLASS A BUY 1 Units @0.0000	0.00	0.20	0.00	0.20	25.0	0.05



# COMMISSION STATEMENT

## February 26, 2018

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BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: WILLIAM AGNELLO (continued)</u></b>								
02/26/2018	***-**-87IN - IRWIN, IRENE ACCOUNT #: LSR010100	PIMCO EMERG MKTS BOND NFS BUY 1 Units @0.0000	0.00	0.44	0.00	0.44	25.0	0.11
02/26/2018	***-**-36IO - IRWIN, CHARLES ACCOUNT #: LSR007200	PIMCO FLOATING INCOME FD CL A BUY 1 Units @0.0000	0.00	2.00	0.00	2.00	25.0	0.50
02/26/2018	***-**-28IN - CUP, ANDREW ACCOUNT #: LSR007137	PIMCO GLOBAL BOND BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	25.0	0.41
02/26/2018	***-**-28IN - CUP, ANDREW ACCOUNT #: LSR007137	PIMCO GLOBAL BOND BUY 1 Units @0.0000	0.00	0.64	0.00	0.64	25.0	0.16
02/26/2018	***-**-002I - NFS/FMTC IRA ACCOUNT #: LSR007005	PIMCO HIGH YIELD CLASS A BUY 1 Units @0.0000	0.00	3.01	0.00	3.01	25.0	0.75
02/26/2018	***-**-963I - GAMMARIELLO, ACCOUNT #: LSR007102	PIMCO HIGH YIELD CLASS A BUY 1 Units @0.0000	0.00	3.33	0.00	3.33	25.0	0.83
02/26/2018	***-**-36IO - IRWIN, CHARLES ACCOUNT #: LSR007200	PIMCO HIGH YIELD CLASS A BUY 1 Units @0.0000	0.00	7.29	0.00	7.29	25.0	1.82
02/26/2018	***-**-90IR - NFS/FMTC ROTH ACCOUNT #: LSR007110	PIMCO HIGH YIELD CLASS C BUY 1 Units @0.0000	0.00	3.24	0.00	3.24	25.0	0.81
02/26/2018	***-**-28IR - CUP, ANDREW ACCOUNT #: LSR007129	PIMCO HIGH YIELD CLASS C BUY 1 Units @0.0000	0.00	3.30	0.00	3.30	25.0	0.83
02/26/2018	***-**-90IR - NFS/FMTC ROTH ACCOUNT #: LSR007110	PIMCO HIGH YIELD CLASS C BUY 1 Units @0.0000	0.00	1.25	0.00	1.25	25.0	0.31
02/26/2018	***-**-28IR - CUP, ANDREW ACCOUNT #: LSR007129	PIMCO HIGH YIELD CLASS C BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	25.0	0.32
02/26/2018	***-**-43IN - CUP, NICHOLAS ACCOUNT #: LSR006890	PIMCO REAL RETURN FUND CLASS A BUY 1 Units @0.0000	0.00	1.96	0.00	1.96	25.0	0.49
02/26/2018	***-**-28IN - CUP, ANDREW ACCOUNT #: LSR007137	PIMCO REAL RETURN FUND CLASS A BUY 1 Units @0.0000	0.00	1.71	0.00	1.71	25.0	0.43
02/26/2018	***-**-39IN - IRWIN, DIANE ACCOUNT #: LSR007234	PIMPCO GLOBAL BOND CL A BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	25.0	0.31
02/26/2018	***-**-439I - IRWIN, DIANE ACCOUNT #: LSR007250	PIMPCO GLOBAL BOND CL A BUY 1 Units @0.0000	0.00	1.12	0.00	1.12	25.0	0.28
02/26/2018	***-**-93UT - CUP CUST, MARCIE ACCOUNT #: LSR011103	PORT SERIES: EQUITY INV FD A BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	25.0	0.09



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: WILLIAM AGNELLO (continued)</u> </b>								
02/26/2018	***-**-93UT - CUP CUST, MARCIE	PORT SERIES: EQUITY INV FD B	0.00	0.03	0.00	0.03	25.0	0.01
	ACCOUNT #: LSR011103	BUY 1 Units @0.0000						
02/20/2018	***-**-75IO - DELCOUR	THE BOND FUND OF AMERICA-A	0.00	6.02	0.00	6.02	25.0	1.51
	ACCOUNT #: LSR007358	BUY 1 Units @0.0000						
02/20/2018	***-**-098I - AQUILINA, MARIAN	THE BOND FUND OF AMERICA-C	0.00	7.75	0.00	7.75	25.0	1.94
	ACCOUNT #: LSR007072	BUY 1 Units @0.0000						
02/20/2018	***-**-963I - GAMMARIELLO,	THE BOND FUND OF AMERICA-C	0.00	17.86	0.00	17.86	25.0	4.47
	ACCOUNT #: LSR007102	BUY 1 Units @0.0000						
02/20/2018	***-**-951I - SCHAEFER,	THE BOND FUND OF AMERICA-C	0.00	5.29	0.00	5.29	25.0	1.32
	ACCOUNT #: LSR007382	BUY 1 Units @0.0000						
02/20/2018	***-**-59T4 - ETHEL CUP TRUST	THE GROWTH FUND OF AMERICA-A	0.00	1.40	0.00	1.40	25.0	0.35
	ACCOUNT #: LSR006955	BUY 1 Units @0.0000						
02/20/2018	***-**-613K - HAGER	THE GROWTH FUND OF AMERICA-A	0.00	3.55	0.00	3.55	25.0	0.89
	ACCOUNT #: LSR006980	BUY 1 Units @0.0000						
02/20/2018	***-**-39IN - IRWIN, DIANE	THE GROWTH FUND OF AMERICA-A	0.00	7.82	0.00	7.82	25.0	1.96
	ACCOUNT #: LSR007234	BUY 1 Units @0.0000						
02/20/2018	***-**-728X - CHIAVETTA, NSPS	THE GROWTH FUND OF AMERICA-A	0.00	2.15	0.00	2.15	25.0	0.54
	ACCOUNT #: LSR008699	BUY 1 Units @0.0000						
02/20/2018	***-**-43IN - CUP, NICHOLAS	THE GROWTH FUND OF AMERICA-C	0.00	25.95	0.00	25.95	25.0	6.49
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
02/20/2018	***-**-13IR - HAGER, MICHAEL	THE GROWTH FUND OF AMERICA-C	0.00	9.22	0.00	9.22	25.0	2.31
	ACCOUNT #: LSR006971	BUY 1 Units @0.0000						
02/20/2018	***-**-657I - RIEL, KEVIN	THE GROWTH FUND OF AMERICA-C	0.00	44.25	0.00	44.25	25.0	11.06
	ACCOUNT #: LSR007366	BUY 1 Units @0.0000						
02/20/2018	***-**-28IN - CHIAVETTA,	THE GROWTH FUND OF AMERICA-C	0.00	11.95	0.00	11.95	25.0	2.99
	ACCOUNT #: LSR008842	BUY 1 Units @0.0000						
02/20/2018	***-**-43IN - CUP, NICHOLAS	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	1.86	0.00	1.86	25.0	0.47
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
<b> * WILLIAM AGNELLO SUBTOTAL * </b>			<b> \$0.00 </b>	<b> \$346.54 </b>	<b> \$0.00 </b>	<b> \$346.54 </b>		<b> \$86.74 </b>





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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: JAMES LOMBARDO</u></b>								
02/20/2018	***-**-166I - BONN, FBO	AMCAP FUND-C	0.00	2.90	0.00	2.90	15.0	0.44
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
02/12/2018	***-**-2885 - BISHOP, DAVID	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00068915116	BUY 2 Units @28.1500						
02/15/2018	***-**-8238 - ASMUS, MICHAEL	AMERICAN BALANCED FUND-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00074487927	BUY 3 Units @28.5400						
02/20/2018	***-**-166I - BONN, FBO	AMERICAN MUTUAL FUND-C	0.00	3.85	0.00	3.85	15.0	0.58
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
02/13/2018	***-**-8806 - MABRY, REBECCA	CAPITAL INCOME BUILDER-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00082729374	BUY 1 Units @64.3800						
02/20/2018	***-**-166I - BONN, FBO	EUROPACIFIC GROWTH FUND CLASS C	0.00	2.57	0.00	2.57	15.0	0.39
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
02/12/2018	***-**-98CL - ACOSTA, CLIENTS	EUROPACIFIC GROWTH FUND-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00083299252	BUY 1 Units @59.0000						
02/13/2018	***-**-8806 - MABRY, REBECCA	EUROPACIFIC GROWTH FUND-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00082729374	BUY 1 Units @58.8600						
02/12/2018	***-**-2885 - BISHOP, DAVID	FUNDAMENTAL INVESTORS-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00068915116	BUY 1 Units @65.0200						
02/12/2018	***-**-98CL - ACOSTA, CLIENTS	FUNDAMENTAL INVESTORS-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00083299252	BUY 1 Units @65.3600						
02/20/2018	***-**-166I - BONN, FBO	FUNDAMENTAL INVESTORS-C	0.00	4.17	0.00	4.17	15.0	0.63
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
02/20/2018	***-**-166I - BONN, FBO	INCOME FUND OF AMERICA CLASS C	0.00	1.30	0.00	1.30	15.0	0.20
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
02/09/2018	***-**-5506 - LOMBARDO, LEIGH	INVESCO AMERICAN FRANCHISE FUND -CL	300.00	12.00	0.00	12.00	15.0	1.80
	ACCOUNT #: 03809219276	BUY 14 Units @20.9400						
02/12/2018	***-**-2885 - BISHOP, DAVID	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00068915116	BUY 1 Units @45.7700						
02/20/2018	***-**-166I - BONN, FBO	SMALLCAP WORLD FUND-C	0.00	2.19	0.00	2.19	15.0	0.33
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
02/12/2018	***-**-2885 - BISHOP, DAVID	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00068915116	BUY 1 Units @52.9600						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: JAMES LOMBARDO (continued)</u></b>								
02/12/2018	***-**-1748 - LOMBARDO, JAMES	THE GROWTH FUND OF AMERICA-A	200.00	10.00	0.00	10.00	15.0	1.50
	ACCOUNT #: 00083088053	BUY 4 Units @53.6700						
02/15/2018	***-**-8238 - ASMUS, MICHAEL	THE INVESTMENT COMPANY OF AMERICA-A	140.00	5.25	0.00	5.25	15.0	0.79
	ACCOUNT #: 00074487927	BUY 3 Units @43.4700						
02/09/2018	***-**-5506 - LOMBARDO, LEIGH	VAN KAMPEN3	100.00	4.00	0.00	4.00	15.0	0.60
	ACCOUNT #: 03809219276	BUY 13 Units @7.5200						
* JAMES LOMBARDO SUBTOTAL *			<u>\$1,290.00</u>	<u>\$69.37</u>	<u>\$0.00</u>	<u>\$69.37</u>		<u>\$10.42</u>
*** OVERRIDE TRANSACTIONS TOTAL ***			<u>\$757,688.57</u>	<u>\$9,442.49</u>	<u>\$0.00</u>	<u>\$9,442.49</u>		<u>\$1,272.29</u>

## **BROKER COMMISSION TOTALS**

Broker Transactions	\$243.56
Split Transactions	\$0.00
Override Transactions	\$1,272.29
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	\$1,515.85
Year-to-date Earnings	\$0.00