

COMMISSION STATEMENT

July 31, 2017

JANICE GINSBURG
100 AQUEDUCT DRIVEBROKER #: 35
BRANCH: HOME OFFICE

NORTH WALES, PA 19454

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

06/09/2017 (None)	VARIOUS, GINSBURG	LINCOLN FINANCIAL GROUP LNAV3V023	B	0.00	22.59	0.00	22.59	50.0	0.00
07/11/2017 (None)	VARIOUS, GINSBURG	AC ALTERNATIVES DISCIPLINED LONG SH	B	0.00	115.11	0.00	115.11	50.0	57.56
07/10/2017 75501483	SPILLER, HELEN	**GUGGENHEIM FDS TR	S	500.00	0.00	0.00	0.00	50.0	0.00
07/10/2017 75501483	SPILLER, HELEN	PUTNAM 746745108	S	600.00	0.00	0.00	0.00	50.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$1,100.00	\$137.70	\$0.00	\$137.70		\$57.56

PRODUCT CATEGORY: STOCKS

07/12/2017 75501654	KINSLEY, GEORGE	CALIFORNIA WATER SERVICE GROUP	B	2,614.49	69.73	0.00	69.73	50.0	34.87
07/12/2017 75501654	KINSLEY, GEORGE	GENERAL ELECTRIC CO	B	4,484.02	121.95	0.00	121.95	50.0	60.98
07/14/2017 75501654	KINSLEY, GEORGE	ISHARES SILVER SHARES	B	1,508.50	52.25	0.00	52.25	50.0	26.13
07/12/2017 75501655	KINSLEY, GEORGE	HOME DEPOT INC	B	3,651.12	50.00	0.00	50.00	50.0	0.00
07/14/2017 75501655	KINSLEY, GEORGE	ISHARES SILVER SHARES	B	1,508.50	52.25	0.00	52.25	50.0	26.13
06/30/2017 75501739	STAUFFER, JUDITH	AUTOMATIC DATA PROCESSING INC	S	5,131.63	0.00	0.00	0.00	50.0	0.00
06/30/2017 75501739	STAUFFER, JUDITH	QUINTILES IMS HOLDINGS INC	B	8,924.99	0.00	0.00	0.00	50.0	0.00
06/30/2017 75501739	STAUFFER, JUDITH	ROCKWELL COLLINS INC DEL COM STK	B	10,521.18	0.00	0.00	0.00	50.0	0.00
06/30/2017 75501739	STAUFFER, JUDITH	SCHLUMBERGER LTD	S	9,886.91	0.00	0.00	0.00	50.0	0.00
06/30/2017 75501739	STAUFFER, JUDITH	VANGUARD INTL EQUITY IND FD FTSE AL B	B	9,999.99	0.00	0.00	0.00	50.0	0.00
* STOCKS SUBTOTAL *				\$58,231.33	\$346.18	\$0.00	\$346.18		\$148.11

PRODUCT CATEGORY: RIA

07/18/2017 75501739	STAUFFER, JUDITH	FAS FEES	B	0.00	571.67	0.00	571.67	50.0	285.84
07/18/2017 75501744	STAUFFER, ROBERT	FAS FEES	B	-571.67	0.00	0.00	0.00	50.0	0.00
07/18/2017 75501744	STAUFFER, ROBERT	FAS FEES	B	-947.00	947.00	0.00	947.00	50.0	473.50
07/18/2017 75501744	STAUFFER, ROBERT	FAS FEES	B	-201.01	0.00	0.00	0.00	50.0	0.00
07/18/2017 75501751	STAUFFER, ROBERT	FAS FEES	B	0.00	201.01	0.00	201.01	50.0	100.51
07/18/2017 75501824	ALANCRAIG, DIANE	FAS FEES	B	-329.24	329.24	0.00	329.24	50.0	164.62
07/18/2017 75501828	ALANCRAIG, DIANE	FAS FEES	B	-174.22	174.22	0.00	174.22	50.0	87.11
07/18/2017 75501829	SEPTIEN, ALFREDO	FAS FEES	B	-160.20	160.20	0.00	160.20	50.0	80.10
07/18/2017 75501830	SEPTIEN, ALFREDO	FAS FEES	B	-300.28	300.28	0.00	300.28	50.0	150.14
07/18/2017 75501832	WEXLER, SHEILA	FAS FEES	B	-375.44	375.44	0.00	375.44	50.0	187.72
07/18/2017 75501833	GIRGENTI, V JAMES	FAS FEES	B	-1,050.61	1,050.61	0.00	1,050.61	50.0	525.31
07/18/2017 75501834	BUGANSKI, TERRI	FAS FEES	B	-763.99	763.99	0.00	763.99	50.0	382.00

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: RIA										
07/18/2017	75501835	BUGANSKI, TERRI	FAS FEES	B	-86.52	86.52	0.00	86.52	50.0	43.26
07/18/2017	75501836	FARKAS, RONALD	FAS FEES	B	-618.90	618.90	0.00	618.90	50.0	309.45
07/18/2017	75501837	FARKAS, MARILYN	FAS FEES	B	-1,254.08	1,254.08	0.00	1,254.08	50.0	627.04
07/18/2017	75501868	ZEGEN, LOUIS	FAS FEES	B	-1,219.90	1,219.90	0.00	1,219.90	50.0	609.95
07/18/2017	75501869	ZEGEN, LOUIS	FAS FEES	B	-233.33	233.33	0.00	233.33	50.0	116.67
07/18/2017	75501879	LIBOVE, MICHAEL	FAS FEES	B	-1,269.13	1,269.13	0.00	1,269.13	50.0	634.57
* RIA SUBTOTAL *					\$-9,555.52	\$9,555.52	\$0.00	\$9,555.52		\$4,777.79

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

06/01/2017	00056159205	GIRGENTI, V	CAPITAL INCOME BUILDER-A	B	0.00	21.79	0.00	21.79	50.0	10.90
06/01/2017	00056159205	GIRGENTI, V	CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	15.15	0.00	15.15	50.0	7.58
06/01/2017	00056159205	GIRGENTI, V	FUNDAMENTAL INVESTORS-A	B	0.00	15.79	0.00	15.79	50.0	7.90
06/01/2017	00056159205	GIRGENTI, V	NEW WORLD FUND-A	B	0.00	12.20	0.00	12.20	50.0	6.10
06/01/2017	00056159205	GIRGENTI, V	THE GROWTH FUND OF AMERICA-A	B	0.00	37.54	0.00	37.54	50.0	18.77
06/01/2017	00056159205	GIRGENTI, V	THE INVESTMENT COMPANY OF AMERICA-A B		0.00	28.57	0.00	28.57	50.0	14.29
06/01/2017	00056159205	GIRGENTI, V	THE NEW ECONOMY FUND-A	B	0.00	15.43	0.00	15.43	50.0	7.72
06/01/2017	00067888652	UNTIL AGE 21,	AMERICAN BALANCED FUND-529A	B	0.00	0.85	0.00	0.85	50.0	0.00
06/01/2017	00067888652	UNTIL AGE 21,	CAPITAL INCOME BUILDER-529A	B	0.00	0.79	0.00	0.79	50.0	0.00
06/01/2017	00067888652	UNTIL AGE 21,	NEW PERSPECTIVE FUND-529A	B	0.00	1.07	0.00	1.07	50.0	0.54
06/01/2017	00067888652	UNTIL AGE 21,	NEW WORLD FUND-529A	B	0.00	2.21	0.00	2.21	50.0	1.11
06/01/2017	00067888652	UNTIL AGE 21,	THE GROWTH FUND OF AMERICA-529A	B	0.00	3.95	0.00	3.95	50.0	1.98
06/01/2017	00067888652	UNTIL AGE 21,	THE INVESTMENT COMPANY OF AMERICA-5 B		0.00	0.72	0.00	0.72	50.0	0.00
06/01/2017	00067888652	UNTIL AGE 21,	WASHINGTON MUTUAL INVESTORS FUND-52 B		0.00	14.53	0.00	14.53	50.0	7.27
06/01/2017	00075525420	ROSENBERG, KELETSO	EUROPACIFIC GROWTH FUND-529A	B	0.00	0.55	0.00	0.55	50.0	0.00
06/01/2017	00075525420	ROSENBERG, KELETSO	THE GROWTH FUND OF AMERICA-529A	B	0.00	0.71	0.00	0.71	50.0	0.00
06/01/2017	00075525420	ROSENBERG, KELETSO	THE INVESTMENT COMPANY OF AMERICA-5 B		0.00	0.67	0.00	0.67	50.0	0.00
06/01/2017	00075525420	ROSENBERG, KELETSO	WASHINGTON MUTUAL INVESTORS FUND-52 B		0.00	0.56	0.00	0.56	50.0	0.00
06/01/2017	00082704422	BLUM, ASHER	AMERICAN FUNDS	B	0.00	0.77	0.00	0.77	50.0	0.00
06/01/2017	00082704422	BLUM, ASHER	CAPITAL INCOME BUILDER-529C	B	0.00	4.89	0.00	4.89	50.0	2.45
06/01/2017	00082704422	BLUM, ASHER	CAPITAL WORLD BOND FUND-529C	B	0.00	1.97	0.00	1.97	50.0	0.99
06/01/2017	00082704422	BLUM, ASHER	CAPITAL WORLD GROWTH AND INCOME-529 B		0.00	2.35	0.00	2.35	50.0	1.18
06/01/2017	00082704422	BLUM, ASHER	NEW WORLD FUND-529C	B	0.00	1.54	0.00	1.54	50.0	0.77
06/01/2017	00082704422	BLUM, ASHER	THE GROWTH FUND OF AMERICA-529C	B	0.00	3.74	0.00	3.74	50.0	1.87
06/01/2017	00084570136	ALANCRAIG, SUSAN	AMCAP FUND-C	B	0.00	15.15	0.00	15.15	50.0	7.58
06/01/2017	00084570136	ALANCRAIG, SUSAN	AMERICAN BALANCED FUND-C	B	0.00	10.54	0.00	10.54	50.0	5.27
06/01/2017	00084570136	ALANCRAIG, SUSAN	AMERICAN HIGH-INCOME TRUST-C	B	0.00	12.18	0.00	12.18	50.0	6.09
06/01/2017	00084570136	ALANCRAIG, SUSAN	AMERICAN MUTUAL FUND-C	B	0.00	10.96	0.00	10.96	50.0	5.48
06/01/2017	00084570136	ALANCRAIG, SUSAN	CAPITAL INCOME BUILDER CLASS C	B	0.00	65.34	0.00	65.34	50.0	32.67
06/01/2017	00084570136	ALANCRAIG, SUSAN	CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	1.71	0.00	1.71	50.0	0.86
06/01/2017	00084570136	ALANCRAIG, SUSAN	FUNDAMENTAL INVESTORS-C	B	0.00	12.62	0.00	12.62	50.0	6.31

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
06/01/2017	00084570136	ALANCRAIG, SUSAN	NEW WORLD FUND-C	B	0.00	16.05	0.00	16.05	50.0	8.03
06/01/2017	00084570136	ALANCRAIG, SUSAN	THE GROWTH FUND OF AMERICA-C	B	0.00	12.96	0.00	12.96	50.0	6.48
06/01/2017	00084570136	ALANCRAIG, SUSAN	THE NEW ECONOMY FUND-C	B	0.00	15.00	0.00	15.00	50.0	7.50
06/01/2017	00084570136	ALANCRAIG, SUSAN	WASHINGTON MUTUAL INVESTORS FUND-C	B	0.00	9.22	0.00	9.22	50.0	4.61
06/01/2017	00086908092	BLUM, ASHER	AMERICAN MUTUAL FUND-529A	B	0.00	0.55	0.00	0.55	50.0	0.00
06/01/2017	00086908092	BLUM, ASHER	CAPITAL INCOME BUILDER-529A	B	0.00	0.37	0.00	0.37	50.0	0.00
06/01/2017	00086908092	BLUM, ASHER	CAPITAL WORLD GROWTH AND INCOME-529	B	0.00	0.14	0.00	0.14	50.0	0.00
06/01/2017	00086908092	BLUM, ASHER	EUROPACIFIC GROWTH FUND-529A	B	0.00	0.26	0.00	0.26	50.0	0.00
06/01/2017	00086908092	BLUM, ASHER	INTERMEDIATE BOND FUND OF AMERICA-5	B	0.00	0.22	0.00	0.22	50.0	0.00
06/01/2017	00086908092	BLUM, ASHER	NEW WORLD FUND-529A	B	0.00	0.21	0.00	0.21	50.0	0.00
06/01/2017	00086908092	BLUM, ASHER	THE GROWTH FUND OF AMERICA-529C	B	0.00	0.73	0.00	0.73	50.0	0.00
06/01/2017	00166154105	FL UNIF TFRS TO	THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	5.84	0.00	5.84	50.0	2.92
07/12/2017	75501483	SPILLER, HELEN	**GUGGENHEIM FDS TR	B	0.00	2.25	0.00	2.25	50.0	1.13
07/12/2017	75501483	SPILLER, HELEN	AMERICAN BALANCED FUND-A	B	0.00	3.44	0.00	3.44	50.0	1.72
07/12/2017	75501483	SPILLER, HELEN	BOND-DEBENTURE FUND CLASS A	B	0.00	1.08	0.00	1.08	50.0	0.54
07/12/2017	75501483	SPILLER, HELEN	PUTNAM 746745108	B	0.00	0.37	0.00	0.37	50.0	0.00
07/12/2017	75501483	SPILLER, HELEN	THE INCOME FUND OF AMERICA-A	B	0.00	4.04	0.00	4.04	50.0	2.02
07/12/2017	75501504	LERNER, JOAN	U.S. GOVERNMENT SECURITIES FUND CLA	B	0.00	2.26	0.00	2.26	50.0	1.13
07/12/2017	75501505	LERNER, JOAN	AMERICAN HIGH-INCOME TRUST-A	B	0.00	3.92	0.00	3.92	50.0	1.96
07/12/2017	75501505	LERNER, JOAN	CAPITAL INCOME BUILDER-A	B	0.00	0.68	0.00	0.68	50.0	0.00
07/12/2017	75501505	LERNER, JOAN	CAPITAL WORLD BOND FUND-A	B	0.00	1.75	0.00	1.75	50.0	0.88
07/12/2017	75501505	LERNER, JOAN	THE BOND FUND OF AMERICA-A	B	0.00	4.16	0.00	4.16	50.0	2.08
07/12/2017	75501621	WEXLER, SHEILA	EATON VANCE TAX- MANAGED EQUITY ASS	B	0.00	12.94	0.00	12.94	50.0	6.47
07/12/2017	75501621	WEXLER, SHEILA	THE HARTFORD CAPITAL APPRECIATION F	B	0.00	2.04	0.00	2.04	50.0	1.02
07/12/2017	75501621	WEXLER, SHEILA	THE HARTFORD MID CAP FUND-A	B	0.00	3.13	0.00	3.13	50.0	1.57
07/12/2017	75501622	ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL	B	0.00	10.42	0.00	10.42	50.0	5.21
07/12/2017	75501622	ABEL, STACEY	DAVIS NEW YORK VENTURE CLASS A	B	0.00	2.83	0.00	2.83	50.0	1.42
07/12/2017	75501622	ABEL, STACEY	INVESCO COMSTOCK FUND CLASS A	B	0.00	17.96	0.00	17.96	50.0	8.98
07/12/2017	75501622	ABEL, STACEY	MFS GLOBAL EQUITY FUND-A	B	0.00	2.03	0.00	2.03	50.0	1.02
07/12/2017	75501622	ABEL, STACEY	SHORT-TERM BOND FUND OF AMERICA - A	B	0.00	0.81	0.00	0.81	50.0	0.00
07/12/2017	75501622	ABEL, STACEY	THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	5.07	0.00	5.07	50.0	2.54
07/12/2017	75501624	ALANCRAIG, SUSAN	**GABELLI SRI FUND	B	0.00	10.86	0.00	10.86	50.0	5.43
07/12/2017	75501624	ALANCRAIG, SUSAN	NEUBERGER & BERMAN EQUITY FD SOCIAL	B	0.00	43.37	0.00	43.37	50.0	21.69
07/17/2017	75501624	ALANCRAIG, SUSAN	**IVA FIDUCIARY TR	B	0.00	31.40	0.00	31.40	50.0	15.70
07/17/2017	75501624	ALANCRAIG, SUSAN	CALVERT EQUITY PORTFOLIO CL C	B	0.00	12.18	0.00	12.18	50.0	6.09
07/12/2017	75501625	URQUHART, JOANNE	CALAMOS GROWTH FUND CLASS C	B	0.00	68.09	0.00	68.09	50.0	34.05
07/12/2017	75501626	URQUHART, THOMAS	THE GROWTH FUND OF AMERICA-A	B	0.00	5.54	0.00	5.54	50.0	2.77
07/12/2017	75501627	LEE, T ORIN	**AMG MANAGERS CADENCE MID CAP	B	0.00	1.03	0.00	1.03	50.0	0.52
07/26/2017	75501627	LEE, T ORIN	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.98	0.00	0.98	50.0	0.00
07/12/2017	75501628	MODES, VINCENT	ALL VALUE FUND CLASS A	B	0.00	5.28	0.00	5.28	50.0	2.64

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/12/2017	75501628	MODES, VINCENT		CAPITAL INCOME BUILDER-A	B	0.00	10.51	0.00	10.51 50.0 5.26
07/12/2017	75501628	MODES, VINCENT		CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	4.69	0.00	4.69 50.0 2.35
07/12/2017	75501628	MODES, VINCENT		LORD ABBETT CALIBRATED DIVIDEND GRO B		0.00	4.39	0.00	4.39 50.0 2.20
07/12/2017	75501628	MODES, VINCENT		LORD ABBETT AFFILIATED FUND CLASS A B		0.00	8.47	0.00	8.47 50.0 4.24
07/12/2017	75501628	MODES, VINCENT		MID-CAP VALUE FUND CLASS A	B	0.00	6.46	0.00	6.46 50.0 3.23
07/12/2017	75501628	MODES, VINCENT		NEW PERSPECTIVE FUND-A	B	0.00	8.69	0.00	8.69 50.0 4.35
07/12/2017	75501628	MODES, VINCENT		OPPENHEIMERFUNDS 68380G101	B	0.00	2.82	0.00	2.82 50.0 1.41
07/12/2017	75501628	MODES, VINCENT		THE HARTFORD CAPITAL APPRECIATION F B		0.00	8.94	0.00	8.94 50.0 4.47
07/12/2017	75501628	MODES, VINCENT		THE INVESTMENT COMPANY OF AMERICA-A B		0.00	4.33	0.00	4.33 50.0 2.17
07/17/2017	75501628	MODES, VINCENT		**IVA FIDUCIARY TR	B	0.00	125.30	0.00	125.30 50.0 62.65
07/12/2017	75501629	INOVATIVE INC		EATON VANCE MUT FDS TR FLTG RATE AD B		0.00	10.09	0.00	10.09 50.0 5.05
07/12/2017	75501629	INOVATIVE INC		HARTFORD FLOATING RATE FUND CLASS C B		0.00	12.94	0.00	12.94 50.0 6.47
07/12/2017	75501631	MODES, LOIS		LORD ABBETT RESEARCH FUND INC-SMALL B		0.00	5.30	0.00	5.30 50.0 2.65
07/12/2017	75501631	MODES, LOIS		LORD ABBETT CALIBRATED DIVIDEND GRO B		0.00	5.69	0.00	5.69 50.0 2.85
07/12/2017	75501631	MODES, LOIS		LORD ABBETT AFFILIATED FUND CLASS A B		0.00	4.99	0.00	4.99 50.0 2.50
07/12/2017	75501631	MODES, LOIS		MID-CAP VALUE FUND CLASS A	B	0.00	5.77	0.00	5.77 50.0 2.89
07/12/2017	75501631	MODES, LOIS		NEW PERSPECTIVE FUND-A	B	0.00	6.32	0.00	6.32 50.0 3.16
07/12/2017	75501631	MODES, LOIS		THE HARTFORD MID CAP FUND-A	B	0.00	6.45	0.00	6.45 50.0 3.23
07/17/2017	75501631	MODES, LOIS		**IVA FIDUCIARY TR	B	0.00	60.75	0.00	60.75 50.0 30.38
07/12/2017	75501632	NESHAMINY VALLEY		HARTFORD FLOATING RATE FUND CLASS C B		0.00	5.33	0.00	5.33 50.0 2.67
07/12/2017	75501633	MODES, VINCENT		**HENDERSON GLOBAL FDS	B	0.00	0.32	0.00	0.32 50.0 0.00
07/12/2017	75501633	MODES, VINCENT		AIM INTERNATIONAL SMALL CO FUND- CL B		0.00	7.47	0.00	7.47 50.0 3.74
07/12/2017	75501633	MODES, VINCENT		CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	16.12	0.00	16.12 50.0 8.06
07/12/2017	75501633	MODES, VINCENT		EATON VANCE TAX MANAGED VALUE FD CL B		0.00	6.23	0.00	6.23 50.0 3.12
07/12/2017	75501633	MODES, VINCENT		EHV 277911830	B	0.00	14.11	0.00	14.11 50.0 7.06
07/12/2017	75501633	MODES, VINCENT		HARTFORD ADVISERS FUND CLASS A	B	0.00	2.09	0.00	2.09 50.0 1.05
07/12/2017	75501633	MODES, VINCENT		INVESCO COMSTOCK FUND CLASS A	B	0.00	12.12	0.00	12.12 50.0 6.06
07/12/2017	75501633	MODES, VINCENT		JANUS INVT FD HENDERSON EURPEAN FCU B		0.00	9.09	0.00	9.09 50.0 4.55
07/12/2017	75501633	MODES, VINCENT		OPPENHEIMERFUNDS 68380G101	B	0.00	10.68	0.00	10.68 50.0 5.34
07/12/2017	75501633	MODES, VINCENT		THE GROWTH FUND OF AMERICA-A	B	0.00	7.45	0.00	7.45 50.0 3.73
07/12/2017	75501634	CROPANESE, CAROL		**PRUDENTIAL JENNISON NATURAL	B	0.00	9.59	0.00	9.59 50.0 4.80
07/12/2017	75501634	CROPANESE, CAROL		HARTFORD MUTUAL FUNDS INC DIVIDEND	B	0.00	12.23	0.00	12.23 50.0 6.12
07/12/2017	75501634	CROPANESE, CAROL		QUEST OPPORTUNITY VALUE A	B	0.00	0.20	0.00	0.20 50.0 0.00
07/12/2017	75501634	CROPANESE, CAROL		THE HARTFORD MID CAP FUND-C	B	0.00	16.01	0.00	16.01 50.0 8.01
07/12/2017	75501635	CROPANESE, CAROL		BLACKROCK CAP APPRECIATION FD INC C B		0.00	2.53	0.00	2.53 50.0 1.27
07/12/2017	75501635	CROPANESE, CAROL		BLACKROCK GLOBAL ALLOCATION FD INC B		0.00	11.55	0.00	11.55 50.0 5.78
07/12/2017	75501635	CROPANESE, CAROL		EATON VANCE GLOBAL MACRO ABSOLUTE R B		0.00	7.13	0.00	7.13 50.0 3.57
07/12/2017	75501635	CROPANESE, CAROL		EHV 277911772	B	0.00	1.58	0.00	1.58 50.0 0.79
07/12/2017	75501635	CROPANESE, CAROL		IVY ASSET STRATEGY FD CL C	B	0.00	9.89	0.00	9.89 50.0 4.95
07/26/2017	75501635	CROPANESE, CAROL		**VICTORY PORTFOLIOS	B	0.00	5.92	0.00	5.92 50.0 2.96

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
07/12/2017	75501636	URQUHART, THOMAS	FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	23.97	0.00	23.97	50.0	11.99
07/12/2017	75501637	ROTHSTEIN, HARRIET	LORD ABBETT SHORT DURATION INCOME F	B	0.00	1.83	0.00	1.83	50.0	0.92
07/12/2017	75501637	ROTHSTEIN, HARRIET	SHORT-TERM BOND FUND OF AMERICA - A	B	0.00	2.07	0.00	2.07	50.0	1.04
07/12/2017	75501637	ROTHSTEIN, HARRIET	STRATEGIC INCOME A	B	0.00	3.34	0.00	3.34	50.0	1.67
07/12/2017	75501638	CROPANESE,	**AMG MANAGERS CADENCE MID CAP	B	0.00	3.72	0.00	3.72	50.0	1.86
07/12/2017	75501638	CROPANESE,	**PRUDENTIAL JENNISON NATURAL	B	0.00	7.67	0.00	7.67	50.0	3.84
07/12/2017	75501638	CROPANESE,	EATON VANCE TAX MANAGED GROWTH FUND	B	0.00	2.87	0.00	2.87	50.0	1.44
07/12/2017	75501638	CROPANESE,	HARTFORD MUTUAL FUNDS INC DIVIDEND	B	0.00	9.14	0.00	9.14	50.0	4.57
07/12/2017	75501638	CROPANESE,	QUEST OPPORTUNITY VALUE A	B	0.00	5.94	0.00	5.94	50.0	2.97
07/12/2017	75501638	CROPANESE,	SHORT-TERM BOND FUND OF AMERICA - A	B	0.00	3.20	0.00	3.20	50.0	1.60
07/12/2017	75501638	CROPANESE,	THE HARTFORD MID CAP FUND-C	B	0.00	11.96	0.00	11.96	50.0	5.98
07/12/2017	75501639	CONNOLLY, EDWARD	AIM CHARTER FUND - CLASS A	B	0.00	2.52	0.00	2.52	50.0	1.26
07/12/2017	75501639	CONNOLLY, EDWARD	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	B	0.00	0.86	0.00	0.86	50.0	0.00
07/12/2017	75501639	CONNOLLY, EDWARD	BLACKROCK HEALTH SCIENCES OPPORTUNI	B	0.00	4.41	0.00	4.41	50.0	2.21
07/12/2017	75501639	CONNOLLY, EDWARD	FIDELITY ADVISOR FUNDS 315918474	B	0.00	3.33	0.00	3.33	50.0	1.67
07/12/2017	75501639	CONNOLLY, EDWARD	FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	4.61	0.00	4.61	50.0	2.31
07/12/2017	75501639	CONNOLLY, EDWARD	HARTFORD ADVISERS FUND CLASS A	B	0.00	1.41	0.00	1.41	50.0	0.71
07/12/2017	75501639	CONNOLLY, EDWARD	THE HARTFORD DIVIDEND & GROWTH FUND	B	0.00	0.81	0.00	0.81	50.0	0.00
07/12/2017	75501640	ROTHSTEIN, JOEL	FUNDAMENTAL INVESTORS-A	B	0.00	4.30	0.00	4.30	50.0	2.15
07/12/2017	75501640	ROTHSTEIN, JOEL	INVESCO COMSTOCK FUND CLASS A	B	0.00	6.00	0.00	6.00	50.0	3.00
07/12/2017	75501640	ROTHSTEIN, JOEL	THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	3.89	0.00	3.89	50.0	1.95
07/12/2017	75501640	ROTHSTEIN, JOEL	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	5.67	0.00	5.67	50.0	2.84
07/12/2017	75501643	CONNOLLY, MARCELLA	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	B	0.00	1.10	0.00	1.10	50.0	0.55
07/12/2017	75501643	CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A	B	0.00	1.84	0.00	1.84	50.0	0.92
07/12/2017	75501643	CONNOLLY, MARCELLA	THE HARTFORD MID CAP FUND-A	B	0.00	2.12	0.00	2.12	50.0	1.06
07/12/2017	75501643	CONNOLLY, MARCELLA	THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	2.31	0.00	2.31	50.0	1.16
07/12/2017	75501645	CONNOLLY, MARCELLA	AMERICAN MUTUAL FUND-A	B	0.00	10.30	0.00	10.30	50.0	5.15
07/12/2017	75501645	CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A	B	0.00	1.00	0.00	1.00	50.0	0.00
07/12/2017	75501645	CONNOLLY, MARCELLA	QUEST OPPORTUNITY VALUE A	B	0.00	1.05	0.00	1.05	50.0	0.53
07/17/2017	75501645	CONNOLLY, MARCELLA	**IVA FIDUCIARY TR	B	0.00	21.68	0.00	21.68	50.0	10.84
07/12/2017	75501646	DLUGOSZ, PATRICIA	INVESCO COMSTOCK FUND CLASS A	B	0.00	8.44	0.00	8.44	50.0	4.22
07/12/2017	75501646	DLUGOSZ, PATRICIA	THE HARTFORD DIVIDEND & GROWTH FUND	B	0.00	2.33	0.00	2.33	50.0	1.17
07/12/2017	75501648	GINSBURG, JANICE	EATON VANCE LARGE CAP VALUE FUND CL	B	0.00	0.27	0.00	0.27	50.0	0.00
07/12/2017	75501648	GINSBURG, JANICE	EATON VANCE UTILITIES FUND CLASS A	B	0.00	2.15	0.00	2.15	50.0	1.08
07/12/2017	75501648	GINSBURG, JANICE	MIDCAP GROWTH - CLASS A	B	0.00	1.45	0.00	1.45	50.0	0.73
07/12/2017	75501650	MODES, VINCENT	CAPITAL INCOME BUILDER-A	B	0.00	12.50	0.00	12.50	50.0	6.25
07/12/2017	75501650	MODES, VINCENT	DAVIS NEW YORK VENTURE CLASS C	B	0.00	15.77	0.00	15.77	50.0	7.89
07/12/2017	75501650	MODES, VINCENT	LORD ABBETT RESEARCH FUND INC-SMALL	B	0.00	7.06	0.00	7.06	50.0	3.53
07/12/2017	75501650	MODES, VINCENT	LORD ABBETT CALIBRATED DIVIDEND GRO	B	0.00	13.43	0.00	13.43	50.0	6.72
07/12/2017	75501650	MODES, VINCENT	LORD ABBETT MULTI ASSET BALANCED OP	B	0.00	15.69	0.00	15.69	50.0	7.85

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
07/12/2017	75501650	MODES, VINCENT		LORD ABBETT AFFILIATED FUND CLASS A B	0.00	8.49	0.00	8.49	50.0	4.25
07/12/2017	75501650	MODES, VINCENT		NEW PERSPECTIVE FUND-A B	0.00	3.72	0.00	3.72	50.0	1.86
07/12/2017	75501650	MODES, VINCENT		OPPENHEIMER DEVELOPING MARKETS CLAS B	0.00	1.12	0.00	1.12	50.0	0.56
07/12/2017	75501650	MODES, VINCENT		QUEST VALUE A B	0.00	2.55	0.00	2.55	50.0	1.28
07/12/2017	75501650	MODES, VINCENT		THE INVESTMENT COMPANY OF AMERICA-A B	0.00	4.33	0.00	4.33	50.0	2.17
07/12/2017	75501652	DLUGOSZ, JOHN		ALLIANZ NFJ DIVIDEND VALUE FUND CLA B	0.00	2.77	0.00	2.77	50.0	1.39
07/12/2017	75501652	DLUGOSZ, JOHN		AMERICAN MUTUAL FUND-A B	0.00	13.93	0.00	13.93	50.0	6.97
07/12/2017	75501652	DLUGOSZ, JOHN		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	7.82	0.00	7.82	50.0	3.91
07/12/2017	75501652	DLUGOSZ, JOHN		EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	18.05	0.00	18.05	50.0	9.03
07/12/2017	75501652	DLUGOSZ, JOHN		GLOBAL FUND A B	0.00	2.01	0.00	2.01	50.0	1.01
07/12/2017	75501652	DLUGOSZ, JOHN		NEW WORLD FUND-A B	0.00	2.72	0.00	2.72	50.0	1.36
07/12/2017	75501652	DLUGOSZ, JOHN		THE GROWTH FUND OF AMERICA-A B	0.00	2.05	0.00	2.05	50.0	1.03
07/12/2017	75501652	DLUGOSZ, JOHN		THE HARTFORD CAPITAL APPRECIATION F B	0.00	3.80	0.00	3.80	50.0	1.90
07/12/2017	75501652	DLUGOSZ, JOHN		THE HARTFORD MID CAP FUND-A B	0.00	3.68	0.00	3.68	50.0	1.84
07/12/2017	75501657	DLUGOSZ, JOHN		AMERICAN HIGH-INCOME TRUST-A B	0.00	2.62	0.00	2.62	50.0	1.31
07/12/2017	75501657	DLUGOSZ, JOHN		EATON VANCE TAX- MANAGED EQUITY ASS B	0.00	8.24	0.00	8.24	50.0	4.12
07/12/2017	75501657	DLUGOSZ, JOHN		EHV 277902813 B	0.00	1.77	0.00	1.77	50.0	0.89
07/12/2017	75501657	DLUGOSZ, JOHN		MAINSTAY HIGH-YIELD CORPORATE BOND B	0.00	2.75	0.00	2.75	50.0	1.38
07/12/2017	75501658	TANNENBAUM, ARLENE		BLACKROCK GLOBAL ALLOCATION FD INC B	0.00	14.64	0.00	14.64	50.0	7.32
07/12/2017	75501658	TANNENBAUM, ARLENE		EATON VANCE LARGE CAP VALUE FUND CL B	0.00	1.35	0.00	1.35	50.0	0.68
07/12/2017	75501658	TANNENBAUM, ARLENE		FUNDAMENTAL INVESTORS-A B	0.00	3.26	0.00	3.26	50.0	1.63
07/12/2017	75501658	TANNENBAUM, ARLENE		IVY ASSET STRATEGY FD CL C B	0.00	13.19	0.00	13.19	50.0	6.60
07/12/2017	75501658	TANNENBAUM, ARLENE		OPPENHEIMER GLOBAL CLASS C B	0.00	20.58	0.00	20.58	50.0	10.29
07/12/2017	75501660	ABEL, STACEY		**PRUDENTIAL JENNISON 20/20 B	0.00	13.29	0.00	13.29	50.0	6.65
07/12/2017	75501660	ABEL, STACEY		**PRUDENTIAL JENNISON NATURAL B	0.00	5.89	0.00	5.89	50.0	2.95
07/12/2017	75501660	ABEL, STACEY		**PRUDENTIAL NATIONAL MUNI B	0.00	10.06	0.00	10.06	50.0	5.03
07/12/2017	75501660	ABEL, STACEY		COLUMBIA SELIGMAN COMMUNICATIONS AN B	0.00	2.99	0.00	2.99	50.0	1.50
07/12/2017	75501660	ABEL, STACEY		EATON VANCE LARGE CAP VALUE FUND CL B	0.00	8.47	0.00	8.47	50.0	4.24
07/12/2017	75501660	ABEL, STACEY		EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	10.40	0.00	10.40	50.0	5.20
07/12/2017	75501660	ABEL, STACEY		EHV 277902813 B	0.00	5.97	0.00	5.97	50.0	2.99
07/12/2017	75501660	ABEL, STACEY		EUROPACIFIC GROWTH FUND CLASS F B	0.00	2.96	0.00	2.96	50.0	1.48
07/12/2017	75501660	ABEL, STACEY		FUNDAMENTAL INVESTORS FUND CLASS F B	0.00	7.73	0.00	7.73	50.0	3.87
07/12/2017	75501660	ABEL, STACEY		IVY ASSET STRATEGY FD CL C B	0.00	19.65	0.00	19.65	50.0	9.83
07/12/2017	75501660	ABEL, STACEY		OPPENHEIMER SMALL & MID CAP VALUE F B	0.00	3.47	0.00	3.47	50.0	1.74
07/12/2017	75501660	ABEL, STACEY		OPPENHEIMER DEVELOPING MARKETS FUND B	0.00	3.05	0.00	3.05	50.0	1.53
07/12/2017	75501660	ABEL, STACEY		PIMCO REAL RETURN FUND (A) B	0.00	5.14	0.00	5.14	50.0	2.57
07/12/2017	75501660	ABEL, STACEY		PIMCO SHORT TERM FUND-CL A B	0.00	6.44	0.00	6.44	50.0	3.22
07/12/2017	75501660	ABEL, STACEY		PIMCO SHORT TERM FUND-CL C B	0.00	1.41	0.00	1.41	50.0	0.71
07/12/2017	75501660	ABEL, STACEY		PIMCO TOTAL RETURN CLASS A B	0.00	6.01	0.00	6.01	50.0	3.01
07/12/2017	75501660	ABEL, STACEY		THORNBURG INVT TR INTL VALUE FD CL B	0.00	10.81	0.00	10.81	50.0	5.41

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
07/17/2017	75501660	ABEL, STACEY	**IVA FIDUCIARY TR	B	0.00	68.34	0.00	68.34	50.0	34.17
07/26/2017	75501660	ABEL, STACEY	**VICTORY PORTFOLIOS	B	0.00	1.95	0.00	1.95	50.0	0.98
07/12/2017	75501661	ABEL, STACEY	BLACKROCK GLOBAL ALLOCATION FUND IN	B	0.00	1.50	0.00	1.50	50.0	0.75
07/12/2017	75501662	LOWENSTEIN, ALLAN	EATON VANCE TAX- MANAGED EQUITY ASS	B	0.00	12.05	0.00	12.05	50.0	6.03
07/12/2017	75501662	LOWENSTEIN, ALLAN	LORD ABBETT AFFILIATED FUND CLASS A	B	0.00	4.38	0.00	4.38	50.0	2.19
07/12/2017	75501747	STAUFFER, JUDITH	EATON VANCE UTILITIES FUND CLASS A	B	0.00	4.06	0.00	4.06	50.0	2.03
07/12/2017	75501748	STAUFFER, JUDITH	MFS INTERNATIONAL VALUE FUND-A	B	0.00	1.15	0.00	1.15	50.0	0.58
07/12/2017	75501750	STAUFFER, ROBERT	MFS INTERNATIONAL VALUE FUND-A	B	0.00	1.36	0.00	1.36	50.0	0.68
07/12/2017	75501812	HALL, RUTH	INTERMEDIATE BOND FUND OF AMERICA-A	B	0.00	3.29	0.00	3.29	50.0	1.65
07/12/2017	75501825	SEPTIEN, ALFREDO	**GUGGENHEIM FDS TR	B	0.00	0.71	0.00	0.71	50.0	0.00
07/12/2017	75501825	SEPTIEN, ALFREDO	**PRUDENTIAL JENNISON 20/20	B	0.00	0.84	0.00	0.84	50.0	0.00
07/12/2017	75501825	SEPTIEN, ALFREDO	CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	1.41	0.00	1.41	50.0	0.71
07/12/2017	75501825	SEPTIEN, ALFREDO	NEW WORLD FUND-A	B	0.00	1.07	0.00	1.07	50.0	0.54
07/12/2017	75501847	GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	0.81	0.00	0.81	50.0	0.00
07/12/2017	75501847	GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	B	0.00	1.01	0.00	1.01	50.0	0.51
07/12/2017	75501848	JONAS, HILDA	JOHN HANCOCK FDS III JHF III SMALL	B	0.00	1.21	0.00	1.21	50.0	0.61
07/12/2017	75501853	FARKAS, RONALD	BLACKROCK MULTI ST MUN SER TR PA MU	B	0.00	2.36	0.00	2.36	50.0	1.18
07/12/2017	75501896	BLUM, STACEY	THE HARTFORD MID CAP FUND-A	B	0.00	2.50	0.00	2.50	50.0	1.25
07/12/2017	75501898	LIBOVE, MICHAEL	FIDELITY ADVISOR SMALL CAP FUND CLA	B	0.00	4.85	0.00	4.85	50.0	2.43
07/12/2017	75501898	LIBOVE, MICHAEL	THE INCOME FUND OF AMERICA-A	B	0.00	0.61	0.00	0.61	50.0	0.00
07/12/2017	75501899	O'NEILL, LINDA	**AMG MANAGERS CADENCE MID CAP	B	0.00	4.87	0.00	4.87	50.0	2.44
07/12/2017	75501899	O'NEILL, LINDA	**PRUDENTIAL JENNISON 20/20	B	0.00	4.33	0.00	4.33	50.0	2.17
07/12/2017	75501899	O'NEILL, LINDA	AIM CHARTER FUND - CLASS A	B	0.00	7.81	0.00	7.81	50.0	3.91
07/12/2017	75501899	O'NEILL, LINDA	AIM ENERGY FUND - CLASS A	B	0.00	4.53	0.00	4.53	50.0	2.27
07/12/2017	75501899	O'NEILL, LINDA	CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	2.71	0.00	2.71	50.0	1.36
07/12/2017	75501899	O'NEILL, LINDA	INVESCO COMSTOCK FUND CLASS A	B	0.00	32.94	0.00	32.94	50.0	16.47
07/12/2017	75501899	O'NEILL, LINDA	INVESCO GROWTH AND INCOME FUND CL A	B	0.00	8.39	0.00	8.39	50.0	4.20
07/12/2017	75501899	O'NEILL, LINDA	NEW PERSPECTIVE FUND-A	B	0.00	10.52	0.00	10.52	50.0	5.26
07/12/2017	75501899	O'NEILL, LINDA	NEW WORLD FUND-A	B	0.00	2.67	0.00	2.67	50.0	1.34
07/12/2017	75501899	O'NEILL, LINDA	OPPENHEIMER DEVELOPING MARKETS CLAS	B	0.00	2.49	0.00	2.49	50.0	1.25
07/12/2017	75501899	O'NEILL, LINDA	THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	3.00	0.00	3.00	50.0	1.50
07/17/2017	75501899	O'NEILL, LINDA	**IVA FIDUCIARY TR	B	0.00	54.78	0.00	54.78	50.0	27.39
07/12/2017	75501902	ARMSTRONG, AMANDA	**HENDERSON INTERNATIONAL	B	0.00	0.04	0.00	0.04	50.0	0.00
07/12/2017	75501902	ARMSTRONG, AMANDA	ALLIANZ NFJ LARGE CAP VALUE FUND CL	B	0.00	1.20	0.00	1.20	50.0	0.60
07/12/2017	75501902	ARMSTRONG, AMANDA	JANUS INVT FD HENDERSON INTL OPPrTN	B	0.00	1.07	0.00	1.07	50.0	0.54
07/12/2017	75501902	ARMSTRONG, AMANDA	TEMP GLOBAL BOND FND - CL A	B	0.00	1.03	0.00	1.03	50.0	0.52
07/12/2017	75501902	ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A	B	0.00	0.93	0.00	0.93	50.0	0.00
07/12/2017	75501902	ARMSTRONG, AMANDA	THE HARTFORD MID CAP FUND-A	B	0.00	5.79	0.00	5.79	50.0	2.90
07/12/2017	75501902	ARMSTRONG, AMANDA	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	2.23	0.00	2.23	50.0	1.12
07/26/2017	75501902	ARMSTRONG, AMANDA	**VICTORY PORTFOLIOS	B	0.00	0.85	0.00	0.85	50.0	0.00

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
07/12/2017	75501903	ARMSTRONG, AMANDA	**GUGGENHEIM FDS TR	B	0.00	1.56	0.00	1.56	50.0	0.78
07/12/2017	75501903	ARMSTRONG, AMANDA	EUROPACIFIC GROWTH FUND-A	B	0.00	1.42	0.00	1.42	50.0	0.71
07/12/2017	75501903	ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A	B	0.00	2.08	0.00	2.08	50.0	1.04
07/12/2017	75501905	TANCREDI, NICHOLAS	CAPITAL INCOME A	B	0.00	2.15	0.00	2.15	50.0	1.08
07/12/2017	75501905	TANCREDI, NICHOLAS	GLOBAL FUND A	B	0.00	1.50	0.00	1.50	50.0	0.75
07/12/2017	75501905	TANCREDI, NICHOLAS	GLOBAL OPPORTUNITIES A	B	0.00	4.42	0.00	4.42	50.0	2.21
07/12/2017	75501905	TANCREDI, NICHOLAS	LORD ABBETT INVT TR TOTAL RETURN FU B		0.00	0.91	0.00	0.91	50.0	0.00
07/12/2017	75501905	TANCREDI, NICHOLAS	OPPENHEIMER 68380L100	B	0.00	1.38	0.00	1.38	50.0	0.69
07/12/2017	75501905	TANCREDI, NICHOLAS	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	2.46	0.00	2.46	50.0	1.23
07/12/2017	75501905	TANCREDI, NICHOLAS	THE HARTFORD CAPITAL APPRECIATION F B		0.00	2.50	0.00	2.50	50.0	1.25
07/12/2017	75501905	TANCREDI, NICHOLAS	THE HARTFORD FLOATING RATE FUND - A B		0.00	1.48	0.00	1.48	50.0	0.74
07/17/2017	75501905	TANCREDI, NICHOLAS	**IVA FIDUCIARY TR	B	0.00	47.46	0.00	47.46	50.0	23.73
07/12/2017	75501921	TANCREDI, NICHOLAS	INVESCO COMSTOCK FUND CLASS A	B	0.00	2.66	0.00	2.66	50.0	1.33
07/12/2017	75501965	JACKSON, ROSALYN	**GUGGENHEIM FDS TR	B	0.00	0.98	0.00	0.98	50.0	0.00
07/12/2017	75501965	JACKSON, ROSALYN	DAVIS NEW YORK VENTURE CLASS A	B	0.00	1.08	0.00	1.08	50.0	0.54
07/12/2017	75501965	JACKSON, ROSALYN	FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	5.88	0.00	5.88	50.0	2.94
07/12/2017	75501995	SEPTIEN, ALEC	**GUGGENHEIM FDS TR	B	0.00	0.54	0.00	0.54	50.0	0.00
07/12/2017	75501995	SEPTIEN, ALEC	NEW WORLD FUND-A	B	0.00	0.78	0.00	0.78	50.0	0.00
07/12/2017	75502077	GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	8.09	0.00	8.09	50.0	4.05
07/12/2017	75502077	GINSBURG, VIVIAN	EATON VANCE LARGE CAP VALUE FUND CL B		0.00	1.36	0.00	1.36	50.0	0.68
07/12/2017	75502077	GINSBURG, VIVIAN	EATON VANCE NATIONAL MUNICIPAL FUND B		0.00	7.95	0.00	7.95	50.0	3.98
07/12/2017	75502077	GINSBURG, VIVIAN	FRK FL TF INC FND - CL A	B	0.00	3.47	0.00	3.47	50.0	1.74
07/12/2017	75502077	GINSBURG, VIVIAN	HIGH YIELD A	B	0.00	3.24	0.00	3.24	50.0	1.62
07/12/2017	75502077	GINSBURG, VIVIAN	INCOME FUND AMER INC CL F1	B	0.00	10.18	0.00	10.18	50.0	5.09
07/12/2017	75502077	GINSBURG, VIVIAN	MFS HIGH-YIELD OPPORTUNITIES FUND C B		0.00	0.87	0.00	0.87	50.0	0.00
07/12/2017	75502077	GINSBURG, VIVIAN	PIMCO COMMODITY REAL RETURN STRATEG B		0.00	1.08	0.00	1.08	50.0	0.54
07/12/2017	75502077	GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	B	0.00	2.50	0.00	2.50	50.0	1.25
07/12/2017	75502084	TREICHLER, CHARLES	ALLIANZ NFJ LARGE CAP VALUE FUND CL B		0.00	2.52	0.00	2.52	50.0	1.26
07/12/2017	75502084	TREICHLER, CHARLES	SHORT-TERM BOND FUND OF AMERICA - A B		0.00	0.99	0.00	0.99	50.0	0.00
07/17/2017	75502084	TREICHLER, CHARLES	**IVA FIDUCIARY TR	B	0.00	46.38	0.00	46.38	50.0	23.19
07/12/2017	75502085	GINSBURG, JANICE	**PRUDENTIAL JENNISON 20/20	B	0.00	1.83	0.00	1.83	50.0	0.92
07/12/2017	75502085	GINSBURG, JANICE	MAINSTAY MAP FUND A	B	0.00	1.73	0.00	1.73	50.0	0.87
07/12/2017	75502085	GINSBURG, JANICE	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	1.06	0.00	1.06	50.0	0.53
07/26/2017	75502085	GINSBURG, JANICE	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.98	0.00	0.98	50.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$2,055.14	\$0.00	\$2,055.14	\$1,015.55	
*** BROKER TRANSACTIONS TOTAL ***					\$49,775.81	\$12,094.54	\$0.00	\$12,094.54	\$5,999.01	

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS

07/31/2017		OTHER: OTHER-RBC		0.00	0.00	0.00	0.00		-288.50
07/31/2017		OTHER: OTHER-TOWER BRIDGE		0.00	0.00	0.00	0.00		-116.68
07/31/2017		OTHER: OTHER-ADJUST ADVISORY FEES		0.00	0.00	0.00	0.00		-3,185.33
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-3,590.51

BROKER COMMISSION TOTALS

Broker Transactions	\$5,999.01
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-3,590.51
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-15.12
SIPC Assessment	\$-30.24

Check Amount	\$2,363.14
Year-to-date Earnings	\$2,846.80