



COMMISSION STATEMENT

February 12, 2018

FREDERIC SCARPULLA
400 West Metro Park
Rochester, NY 14623

BROKER #: 417
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/30/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	80.0	0.46
	ACCOUNT #: 04000650661	BUY 2 Units @29.9700						
01/30/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	115.38	1.15	0.00	1.15	80.0	0.92
	ACCOUNT #: 04000650661	BUY 4 Units @29.9700						
02/01/2018	***-**-539I - JALLOH, ABDULAI	AMCAP FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00084394270	BUY 2 Units @29.9300						
02/01/2018	***-**-9501 - SHALLENBERGER,	AMCAP FUND-C	13.32	0.13	0.00	0.13	80.0	0.10
	ACCOUNT #: 00086494801	BUY 0 Units @29.9300						
02/01/2018	***-**-511I - ROOD, SCOTT	AMCAP FUND-C	9.10	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00088607840	BUY 0 Units @29.9300						
02/01/2018	***-**-511I - ROOD, SCOTT	AMCAP FUND-C	24.57	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00088607840	BUY 1 Units @29.9300						
02/01/2018	***-**-965P - SHAFER, PAUL	AMERICAN BALANCED FUND-A	16.95	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00073549401	BUY 1 Units @28.4900						
02/01/2018	***-**-625P - BORRELLI, LOUIS	AMERICAN BALANCED FUND-A	11.28	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00073550085	BUY 0 Units @28.4900						
02/01/2018	***-**-625P - BORRELLI, LOUIS	AMERICAN BALANCED FUND-A	32.00	0.51	0.00	0.51	80.0	0.41
	ACCOUNT #: 00073550085	BUY 1 Units @28.4900						
02/01/2018	***-**-975P - COTTONE, MARIA	AMERICAN BALANCED FUND-A	100.00	3.75	0.00	3.75	80.0	3.00
	ACCOUNT #: 00086785798	BUY 3 Units @29.2400						
01/29/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	170.00	1.70	0.00	1.70	80.0	1.36
	ACCOUNT #: 00073003754	BUY 6 Units @27.9600						
01/30/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089957234	BUY 2 Units @27.7500						
01/30/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089045192	BUY 1 Units @27.7500						
01/30/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089045192	BUY 1 Units @27.7500						
01/30/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	80.0	0.33
	ACCOUNT #: 00089051066	BUY 1 Units @27.7500						
01/30/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	4.00	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00089051066	BUY 0 Units @27.7500						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.7500	40.80	0.41	0.00	0.41	80.0	0.33
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @27.7500	4.00	0.04	0.00	0.04	80.0	0.03
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @27.7500	4.00	0.04	0.00	0.04	80.0	0.03
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.7500	40.80	0.41	0.00	0.41	80.0	0.33
01/30/2018	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089244081	AMERICAN BALANCED FUND-C BUY 3 Units @27.7500	87.96	0.88	0.00	0.88	80.0	0.70
01/30/2018	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089244081	AMERICAN BALANCED FUND-C BUY 79 Units @27.7500	2,205.31	22.05	0.00	22.05	80.0	17.64
01/30/2018	***-**-281S - FLUGEL, AMANDA ACCOUNT #: 00089561651	AMERICAN BALANCED FUND-C BUY 1 Units @27.7500	40.00	0.40	0.00	0.40	80.0	0.32
01/30/2018	***-**-281S - FLUGEL, AMANDA ACCOUNT #: 00089561651	AMERICAN BALANCED FUND-C BUY 37 Units @27.7500	1,040.00	10.40	0.00	10.40	80.0	8.32
01/30/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @27.7500	18.14	0.18	0.00	0.18	80.0	0.14
01/30/2018	***-**-035S - CAPIZZI, TRACIE ACCOUNT #: 00089679504	AMERICAN BALANCED FUND-C BUY 1 Units @27.7500	20.00	0.20	0.00	0.20	80.0	0.16
01/30/2018	***-**-035S - CAPIZZI, TRACIE ACCOUNT #: 00089679504	AMERICAN BALANCED FUND-C BUY 19 Units @27.7500	520.00	5.20	0.00	5.20	80.0	4.16
01/30/2018	***-**-282S - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @27.7500	120.00	1.20	0.00	1.20	80.0	0.96
02/01/2018	***-**-984I - DELUCA, SHARI ACCOUNT #: 00064868315	AMERICAN BALANCED FUND-C BUY 2 Units @27.7300	50.00	0.50	0.00	0.50	80.0	0.40
02/01/2018	***-**-6000 - SMITH, KENNETH ACCOUNT #: 00083081099	AMERICAN BALANCED FUND-C BUY 1 Units @27.7300	17.60	0.18	0.00	0.18	80.0	0.14
02/01/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @27.7300	28.05	0.28	0.00	0.28	80.0	0.22
02/01/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 0 Units @27.7300	3.63	0.04	0.00	0.04	80.0	0.03



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
02/01/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	2.01	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @27.7300						
02/01/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904181	BUY 0 Units @27.7300						
02/01/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00085904210	BUY 1 Units @27.7300						
02/01/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.49	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @27.7300						
02/01/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00085904215	BUY 1 Units @27.7300						
02/01/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	5.44	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904215	BUY 0 Units @27.7300						
02/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	34.00	0.34	0.00	0.34	80.0	0.27
	ACCOUNT #: 00086979418	BUY 1 Units @27.7300						
02/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00086979418	BUY 1 Units @27.7300						
02/01/2018	***-**-0962 - TRETYAK,	AMERICAN BALANCED FUND-C	18.40	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00089399972	BUY 1 Units @27.7300						
02/01/2018	***-**-0962 - TRETYAK,	AMERICAN BALANCED FUND-C	78.94	0.79	0.00	0.79	80.0	0.63
	ACCOUNT #: 00089399972	BUY 3 Units @27.7300						
02/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	64.44	0.64	0.00	0.64	80.0	0.51
	ACCOUNT #: 00089722785	BUY 2 Units @27.7300						
02/01/2018	***-**-255U - LIPPA, HARITINI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000385806	BUY 2 Units @27.7300						
02/01/2018	***-**-511I - ROOD, SCOTT	AMERICAN GLOBAL BALANCED CL C	7.80	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00088607840	BUY 0 Units @33.6700						
02/01/2018	***-**-511I - ROOD, SCOTT	AMERICAN GLOBAL BALANCED CL C	21.06	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00088607840	BUY 1 Units @33.6700						
02/01/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	80.0	0.84
	ACCOUNT #: 00087236607	BUY 10 Units @10.4000						
02/01/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00087236607	BUY 0 Units @10.4000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
02/02/2018	***-**-05IO - KIMBLE, LONNY ACCOUNT #: LSR011472	AMERICAN HIGH-INCOME TRUST-C SELL 45 Units @10.3700	463.41	0.00	0.00	0.00	80.0	0.00
02/01/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @41.9700	1.68	0.02	0.00	0.02	80.0	0.02
02/01/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @41.9700	5.00	0.05	0.00	0.05	80.0	0.04
02/01/2018	***-**-511I - ROOD, SCOTT ACCOUNT #: 00088607840	AMERICAN MUTUAL FUND-C BUY 0 Units @41.9700	9.10	0.09	0.00	0.09	80.0	0.07
02/01/2018	***-**-511I - ROOD, SCOTT ACCOUNT #: 00088607840	AMERICAN MUTUAL FUND-C BUY 1 Units @41.9700	24.57	0.25	0.00	0.25	80.0	0.20
02/01/2018	***-**-4392 - GARCIA, MICHELLE ACCOUNT #: 00085764363	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @64.5100	25.00	0.25	0.00	0.25	80.0	0.20
02/01/2018	***-**-7171 - GIUDICE, JUSTIN ACCOUNT #: 00086494794	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @64.5100	15.19	0.15	0.00	0.15	80.0	0.12
02/01/2018	***-**-7171 - GIUDICE, JUSTIN ACCOUNT #: 00086494794	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @64.5100	46.20	0.46	0.00	0.46	80.0	0.37
02/01/2018	***-**-0962 - TRETYAK, ACCOUNT #: 00089399972	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @64.5100	18.40	0.18	0.00	0.18	80.0	0.14
02/01/2018	***-**-0962 - TRETYAK, ACCOUNT #: 00089399972	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @64.5100	78.94	0.79	0.00	0.79	80.0	0.63
02/01/2018	***-**-625P - BORRELLI, LOUIS ACCOUNT #: 00073550085	CAPITAL INCOME BUILDER-A BUY 0 Units @65.7900	11.28	0.18	0.00	0.18	80.0	0.14
02/01/2018	***-**-625P - BORRELLI, LOUIS ACCOUNT #: 00073550085	CAPITAL INCOME BUILDER-A BUY 0 Units @65.7900	32.00	0.51	0.00	0.51	80.0	0.41
02/01/2018	***-**-975P - COTTONE, MARIA ACCOUNT #: 00086785798	CAPITAL INCOME BUILDER-A BUY 1 Units @67.5100	100.00	3.75	0.00	3.75	80.0	3.00
01/29/2018	***-**-425P - MEEKS, PERDITA ACCOUNT #: 00074210167	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @58.1600	12.50	0.63	0.00	0.63	80.0	0.50
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @53.5100	15.00	0.15	0.00	0.15	80.0	0.12
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @53.5100	15.00	0.15	0.00	0.15	80.0	0.12



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/30/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @53.5100						
02/01/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL WORLD GROWTH AND INCOME FUN	11.28	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00073550085	BUY 0 Units @55.3500						
02/01/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL WORLD GROWTH AND INCOME FUN	32.00	0.51	0.00	0.51	80.0	0.41
	ACCOUNT #: 00073550085	BUY 1 Units @55.3500						
02/01/2018	***-**-048I - DEAN, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00065085393	BUY 9 Units @53.6300						
02/01/2018	***-**-4036 - AMES, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	19.20	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 00083414092	BUY 0 Units @53.6300						
02/01/2018	***-**-4036 - AMES, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	32.00	0.32	0.00	0.32	80.0	0.26
	ACCOUNT #: 00083414092	BUY 1 Units @53.6300						
02/01/2018	***-**-68IN - RANDALL, JASON	CAPITAL WORLD GROWTH AND INCOME FUN	1,694.50	16.95	0.00	16.95	80.0	13.56
	ACCOUNT #: 00083798896	BUY 32 Units @53.6300						
02/01/2018	***-**-1209 - NATALE, KIMBERLY	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085764285	BUY 1 Units @53.6300						
02/01/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085764363	BUY 0 Units @53.6300						
02/01/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	3.60	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00087038420	BUY 0 Units @53.6300						
02/01/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	80.0	0.77
	ACCOUNT #: 00087038420	BUY 2 Units @53.6300						
02/01/2018	***-**-68IN - RANDALL, JASON	CAPITAL WORLD GROWTH AND INCOME FUN	1,694.50	16.95	0.00	16.95	80.0	13.56
	ACCOUNT #: 00088870923	BUY 32 Units @53.6300						
02/01/2018	***-**-4926 - HAUN, GARY	CAPITAL WORLD GROWTH AND INCOME FUN	13.82	0.14	0.00	0.14	80.0	0.11
	ACCOUNT #: 04000492822	BUY 0 Units @53.6300						
02/01/2018	***-**-4926 - HAUN, GARY	CAPITAL WORLD GROWTH AND INCOME FUN	84.60	0.85	0.00	0.85	80.0	0.68
	ACCOUNT #: 04000492822	BUY 2 Units @53.6300						
02/01/2018	***-**-925P - BURNS, JASON	FUNDAMENTAL INVESTORS-A	15.35	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00073550035	BUY 0 Units @67.1400						
02/01/2018	***-**-925P - BURNS, JASON	FUNDAMENTAL INVESTORS-A	125.83	2.01	0.00	2.01	80.0	1.61
	ACCOUNT #: 00073550035	BUY 2 Units @67.1400						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.4400	20.40	0.20	0.00	0.20	80.0	0.16
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.4400	2.00	0.02	0.00	0.02	80.0	0.02
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.4400	20.40	0.20	0.00	0.20	80.0	0.16
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.4400	2.00	0.02	0.00	0.02	80.0	0.02
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.4400	2.00	0.02	0.00	0.02	80.0	0.02
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.4400	20.40	0.20	0.00	0.20	80.0	0.16
02/01/2018	***-**-7625 - PRINCE, ADAM ACCOUNT #: 00085764342	FUNDAMENTAL INVESTORS-C BUY 1 Units @65.4100	50.00	0.50	0.00	0.50	80.0	0.40
02/01/2018	***-**-4392 - GARCIA, MICHELLE ACCOUNT #: 00085764363	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.4100	25.00	0.25	0.00	0.25	80.0	0.20
02/01/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.4100	9.00	0.09	0.00	0.09	80.0	0.07
02/01/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.4100	2.40	0.02	0.00	0.02	80.0	0.02
02/01/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.4100	18.00	0.18	0.00	0.18	80.0	0.14
02/01/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.4100	2.30	0.02	0.00	0.02	80.0	0.02
02/01/2018	***-**-7171 - GIUDICE, JUSTIN ACCOUNT #: 00086494794	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.4100	15.19	0.15	0.00	0.15	80.0	0.12
02/01/2018	***-**-7171 - GIUDICE, JUSTIN ACCOUNT #: 00086494794	FUNDAMENTAL INVESTORS-C BUY 1 Units @65.4100	46.20	0.46	0.00	0.46	80.0	0.37
02/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 2 Units @23.7400	45.00	0.45	0.00	0.45	80.0	0.36
02/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 0 Units @23.7400	1.95	0.02	0.00	0.02	80.0	0.02



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Rochester, NY 14623

BROKER #: 417
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
02/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00088577991	INCOME FUND OF AMERICA CLASS C BUY 2 Units @23.7400	50.00	0.50	0.00	0.50	80.0	0.40
02/02/2018	***-**-05IO - KIMBLE, LONNY ACCOUNT #: LSR011472	INCOME FUND OF AMERICA CLASS C SELL 20 Units @23.3700	463.40	0.00	0.00	0.00	80.0	0.00
01/30/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @42.3600	17.60	0.18	0.00	0.18	80.0	0.14
02/01/2018	***-**-1209 - NATALE, KIMBERLY ACCOUNT #: 00085764285	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @42.3600	50.00	0.50	0.00	0.50	80.0	0.40
02/01/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @42.3600	28.90	0.29	0.00	0.29	80.0	0.23
02/01/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @42.3600	3.74	0.04	0.00	0.04	80.0	0.03
02/01/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @42.3600	4.00	0.04	0.00	0.04	80.0	0.03
02/01/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @42.3600	1.12	0.01	0.00	0.01	80.0	0.01
02/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089722785	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @42.3600	48.33	0.48	0.00	0.48	80.0	0.38
02/01/2018	***-**-955P - ROSE, JUSTIN ACCOUNT #: 00073550044	NEW PERSPECTIVE FUND-A BUY 0 Units @47.1400	21.62	0.35	0.00	0.35	80.0	0.28
02/01/2018	***-**-955P - ROSE, JUSTIN ACCOUNT #: 00073550044	NEW PERSPECTIVE FUND-A BUY 3 Units @47.1400	150.00	2.40	0.00	2.40	80.0	1.92
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.2900	20.40	0.20	0.00	0.20	80.0	0.16
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.2900	2.00	0.02	0.00	0.02	80.0	0.02
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.2900	20.40	0.20	0.00	0.20	80.0	0.16
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.2900	2.00	0.02	0.00	0.02	80.0	0.02
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.2900	2.00	0.02	0.00	0.02	80.0	0.02



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.2900	20.40	0.20	0.00	0.20	80.0	0.16
02/01/2018	***-**-6000 - SMITH, KENNETH ACCOUNT #: 00083081099	NEW PERSPECTIVE FUND-C BUY 0 Units @44.3600	8.80	0.09	0.00	0.09	80.0	0.07
02/01/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	NEW PERSPECTIVE FUND-C BUY 0 Units @44.3600	14.40	0.14	0.00	0.14	80.0	0.11
02/01/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	NEW PERSPECTIVE FUND-C BUY 1 Units @44.3600	24.00	0.24	0.00	0.24	80.0	0.19
02/01/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00083798896	NEW PERSPECTIVE FUND-C BUY 38 Units @44.3600	1,694.50	16.95	0.00	16.95	80.0	13.56
02/01/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00084905937	NEW PERSPECTIVE FUND-C BUY 38 Units @44.3600	1,694.50	16.95	0.00	16.95	80.0	13.56
02/01/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @44.3600	10.50	0.11	0.00	0.11	80.0	0.09
02/01/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @44.3600	2.80	0.03	0.00	0.03	80.0	0.02
02/01/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	NEW PERSPECTIVE FUND-C BUY 0 Units @44.3600	2.50	0.03	0.00	0.03	80.0	0.02
02/01/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	NEW PERSPECTIVE FUND-C BUY 0 Units @44.3600	2.50	0.03	0.00	0.03	80.0	0.02
02/01/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @44.3600	21.00	0.21	0.00	0.21	80.0	0.17
02/01/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @44.3600	2.69	0.03	0.00	0.03	80.0	0.02
02/01/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00088870923	NEW PERSPECTIVE FUND-C BUY 38 Units @44.3600	1,694.50	16.95	0.00	16.95	80.0	13.56
02/01/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	NEW WORLD FUND-C BUY 0 Units @68.3400	14.40	0.14	0.00	0.14	80.0	0.11
02/01/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	NEW WORLD FUND-C BUY 0 Units @68.3400	24.00	0.24	0.00	0.24	80.0	0.19
02/01/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00084905937	NEW WORLD FUND-C BUY 25 Units @68.3400	1,694.50	16.95	0.00	16.95	80.0	13.56



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
02/01/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @68.3400						
02/01/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @68.3400						
02/01/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @68.3400						
02/01/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.68	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @68.3400						
02/01/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @68.3400						
02/01/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @68.3400						
02/07/2018	***-**-20IN - GIANGRECO, TERRY	ROCH. LIMITED TERM NEW YORK MUNICI	10,003.00	50.01	3.00	47.01	80.0	37.61
	ACCOUNT #: LSR010603	BUY 3624 Units @2.7600						
02/01/2018	***-**-925P - BURNS, JASON	SMALLCAP WORLD FUND-A	15.35	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00073550035	BUY 0 Units @59.9600						
02/01/2018	***-**-925P - BURNS, JASON	SMALLCAP WORLD FUND-A	125.83	2.01	0.00	2.01	80.0	1.61
	ACCOUNT #: 00073550035	BUY 2 Units @59.9600						
01/30/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @51.4900						
01/30/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @51.4900						
01/30/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @51.4900						
01/30/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @51.4900						
01/30/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @51.4900						
01/30/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @51.4900						
02/01/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @51.6500						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
02/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @51.6500	48.20	0.48	0.00	0.48	80.0	0.38
02/01/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.6900	28.05	0.28	0.00	0.28	80.0	0.22
02/01/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 0 Units @12.6900	3.63	0.04	0.00	0.04	80.0	0.03
02/01/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 0 Units @12.6900	3.02	0.03	0.00	0.03	80.0	0.02
02/01/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.6900	9.00	0.09	0.00	0.09	80.0	0.07
02/01/2018	***-**-7171 - GIUDICE, JUSTIN ACCOUNT #: 00086494794	THE BOND FUND OF AMERICA-C BUY 1 Units @12.6900	15.64	0.16	0.00	0.16	80.0	0.13
02/01/2018	***-**-7171 - GIUDICE, JUSTIN ACCOUNT #: 00086494794	THE BOND FUND OF AMERICA-C BUY 4 Units @12.6900	47.60	0.48	0.00	0.48	80.0	0.38
01/29/2018	***-**-995P - ARBORE, CARL ACCOUNT #: 00081166789	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.9900	50.00	1.38	0.00	1.38	80.0	1.10
01/29/2018	***-**-425P - MEEKS, PERDITA ACCOUNT #: 00074210167	THE GROWTH FUND OF AMERICA-A BUY 0 Units @57.3300	12.50	0.63	0.00	0.63	80.0	0.50
02/01/2018	***-**-965P - SHAFER, PAUL ACCOUNT #: 00073549401	THE GROWTH FUND OF AMERICA-A BUY 0 Units @54.5200	16.94	0.27	0.00	0.27	80.0	0.22
02/01/2018	***-**-925P - BURNS, JASON ACCOUNT #: 00073550035	THE GROWTH FUND OF AMERICA-A BUY 0 Units @54.5200	15.80	0.25	0.00	0.25	80.0	0.20
02/01/2018	***-**-925P - BURNS, JASON ACCOUNT #: 00073550035	THE GROWTH FUND OF AMERICA-A BUY 2 Units @54.5200	129.64	2.07	0.00	2.07	80.0	1.66
02/01/2018	***-**-955P - ROSE, JUSTIN ACCOUNT #: 00073550044	THE GROWTH FUND OF AMERICA-A BUY 0 Units @54.5200	21.61	0.35	0.00	0.35	80.0	0.28
02/01/2018	***-**-955P - ROSE, JUSTIN ACCOUNT #: 00073550044	THE GROWTH FUND OF AMERICA-A BUY 3 Units @54.5200	150.00	2.40	0.00	2.40	80.0	1.92
02/01/2018	***-**-625P - BORRELLI, LOUIS ACCOUNT #: 00073550085	THE GROWTH FUND OF AMERICA-A BUY 0 Units @54.5200	22.56	0.36	0.00	0.36	80.0	0.29
02/01/2018	***-**-625P - BORRELLI, LOUIS ACCOUNT #: 00073550085	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5200	64.00	1.02	0.00	1.02	80.0	0.82



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
02/01/2018	***-**-42IR - ADAMS, GRACE	THE GROWTH FUND OF AMERICA-A	50.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00073505114	BUY 1 Units @56.6900						
01/29/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	160.00	1.60	0.00	1.60	80.0	1.28
	ACCOUNT #: 00073003754	BUY 3 Units @50.0900						
01/30/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	15.00	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 00089045192	BUY 0 Units @49.5900						
01/30/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	15.00	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 00089045192	BUY 0 Units @49.5900						
01/30/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	53.52	0.54	0.00	0.54	80.0	0.43
	ACCOUNT #: 00089319958	BUY 1 Units @49.5900						
01/30/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	1,487.43	14.87	0.00	14.87	80.0	11.90
	ACCOUNT #: 00089319958	BUY 30 Units @49.5900						
01/30/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	17.61	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00089583477	BUY 0 Units @49.5900						
01/30/2018	***-**-0006 - FORSYTH, KATHRYN	THE GROWTH FUND OF AMERICA-C	86.54	0.87	0.00	0.87	80.0	0.70
	ACCOUNT #: 04000650661	BUY 2 Units @49.5900						
01/30/2018	***-**-0006 - FORSYTH, KATHRYN	THE GROWTH FUND OF AMERICA-C	173.08	1.73	0.00	1.73	80.0	1.38
	ACCOUNT #: 04000650661	BUY 3 Units @49.5900						
02/01/2018	***-**-984I - DELUCA, SHARI	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00064868315	BUY 1 Units @49.5200						
02/01/2018	***-**-6000 - SMITH, KENNETH	THE GROWTH FUND OF AMERICA-C	8.80	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00083081099	BUY 0 Units @49.5200						
02/01/2018	***-**-4392 - GARCIA, MICHELLE	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085764363	BUY 1 Units @49.5200						
02/01/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @49.5200						
02/01/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @49.5200						
02/01/2018	***-**-9501 - SHALLENBERGER,	THE GROWTH FUND OF AMERICA-C	13.32	0.13	0.00	0.13	80.0	0.10
	ACCOUNT #: 00086494801	BUY 0 Units @49.5200						
02/01/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @49.5200						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
02/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 0 Units @49.5200	1.80	0.02	0.00	0.02	80.0	0.02
02/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089722785	THE GROWTH FUND OF AMERICA-C BUY 1 Units @49.5200	48.33	0.48	0.00	0.48	80.0	0.38
02/01/2018	***-**-4926 - HAUN, GARY ACCOUNT #: 04000492822	THE GROWTH FUND OF AMERICA-C BUY 0 Units @49.5200	18.42	0.18	0.00	0.18	80.0	0.14
02/01/2018	***-**-4926 - HAUN, GARY ACCOUNT #: 04000492822	THE GROWTH FUND OF AMERICA-C BUY 2 Units @49.5200	112.80	1.13	0.00	1.13	80.0	0.90
02/02/2018	***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.6300	50.00	0.50	0.00	0.50	80.0	0.40
02/01/2018	***-**-545P - VISCA, ANGELO ACCOUNT #: 00063056262	THE INVESTMENT COMPANY OF AMERICA-A BUY 2 Units @44.3800	100.00	2.75	0.00	2.75	80.0	2.20
02/01/2018	***-**-9024 - HACKETT, ETHAN ACCOUNT #: 00088123299	THE NEW ECONOMY FUND-C BUY 1 Units @43.4700	25.00	0.25	0.00	0.25	80.0	0.20
01/30/2018	***-**-278J - GUERRIERI, JOHN ACCOUNT #: 00084395514	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 155 Units @12.8700	2,000.00	20.00	0.00	20.00	80.0	16.00
01/30/2018	***-**-51IN - GUERRIERI, KIM ACCOUNT #: 00085399151	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 78 Units @12.8700	1,000.00	10.00	0.00	10.00	80.0	8.00
01/30/2018	***-**-75UG - GUERRIERI, SOFIA ACCOUNT #: 00085399166	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 19 Units @12.8700	250.00	2.50	0.00	2.50	80.0	2.00
02/01/2018	***-**-935J - RUSH, DONNA ACCOUNT #: 00085296459	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 4 Units @12.8600	50.00	0.50	0.00	0.50	80.0	0.40
02/01/2018	***-**-44UG - GUERRIERI, ACCOUNT #: 00085399145	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 19 Units @12.8600	250.00	2.50	0.00	2.50	80.0	2.00
02/07/2018	***-**-20IN - GIANGRECO, TERRY ACCOUNT #: LSR010603	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 778 Units @12.8500	10,003.01	100.03	3.00	97.03	80.0	77.62
02/01/2018	***-**-545P - VISCA, ANGELO ACCOUNT #: 00063056262	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @49.7500	50.00	1.38	0.00	1.38	80.0	1.10
01/29/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	WASHINGTON MUTUAL INVESTORS FUND-C BUY 4 Units @47.8100	170.00	1.70	0.00	1.70	80.0	1.36
01/30/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @47.2900	40.00	0.40	0.00	0.40	80.0	0.32



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
02/01/2018	***-**-984I - DELUCA, SHARI	WASHINGTON MUTUAL INVESTORS FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00064868315	BUY 1 Units @47.3700						
02/01/2018	***-**-4926 - HAUN, GARY	WASHINGTON MUTUAL INVESTORS FUND-C	13.82	0.14	0.00	0.14	80.0	0.11
	ACCOUNT #: 04000492822	BUY 0 Units @47.3700						
02/01/2018	***-**-4926 - HAUN, GARY	WASHINGTON MUTUAL INVESTORS FUND-C	84.60	0.85	0.00	0.85	80.0	0.68
	ACCOUNT #: 04000492822	BUY 2 Units @47.3700						
* MUTUAL FUNDS SUBTOTAL *			\$46,303.23	\$421.92	\$6.00	\$415.92		\$332.66
PRODUCT CATEGORY: 529 PLAN								
01/29/2018	***-**-7989 - SMITH, MICHAEL	AMERICAN BALANCED FUND-529C	1,100.00	-99.00	0.00	-99.00	80.0	-79.20
	ACCOUNT #: 00084869153	BUY 39 Units @28.0800						
02/01/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087198121	BUY 2 Units @27.8500						
02/01/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087198137	BUY 2 Units @27.8500						
* 529 PLAN SUBTOTAL *			\$1,200.00	\$-98.00	\$0.00	\$-98.00		\$-78.40
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
02/12/2018	***-**-526I - CAVALLARO,	DREYFUS MF TRAILS	0.00	1.02	0.00	1.02	80.0	0.82
	ACCOUNT #: 3360045601	BUY 0 Units @0.0000						
02/07/2018	***-**-4550 - JONES, JEFFREY	FA 529 PORT 2019-CL P	0.00	8.73	0.00	8.73	80.0	6.98
	ACCOUNT #: 00529631491	BUY 0 Units @0.0000						
02/07/2018	***-**-7278 - GUERRIERI DDS,	FIDELITY ADV ASSET MANAGER 50 PERCE	0.00	0.73	0.00	0.73	80.0	0.58
	ACCOUNT #: 00655383206	BUY 0 Units @0.0000						
02/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV FREEDOM 2020-CL C	0.00	1.82	0.00	1.82	80.0	1.46
	ACCOUNT #: 01475410302	BUY 0 Units @0.0000						
02/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV INTL DISCOVERY-CL A	0.00	5.95	0.00	5.95	80.0	4.76
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
02/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	8.06	0.00	8.06	80.0	6.45
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
02/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV MID CAP II-CL A	0.00	9.33	0.00	9.33	80.0	7.46
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						



COMMISSION STATEMENT

February 12, 2018

FREDERIC SCARPULLA
400 West Metro Park
Rochester, NY 14623

BROKER #: 417
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u>								
02/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV NEW INSIGHTS-CL A	0.00	8.97	0.00	8.97	80.0	7.18
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
02/07/2018	***-**-7352 - GEISELHART,	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	31.99	0.00	31.99	80.0	25.59
	ACCOUNT #: 00618796254	BUY 0 Units @0.0000						
02/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV TECHNOLOGY CL A	0.00	8.88	0.00	8.88	80.0	7.10
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
02/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADVISOR FREEDOM 2020 CL A	0.00	0.95	0.00	0.95	80.0	0.76
	ACCOUNT #: 01475410302	BUY 0 Units @0.0000						
01/31/2018	***-**-27UG - RYAN, JOHN	FRANKLIN GROWTH FUND CLASS A	0.00	9.86	0.00	9.86	80.0	7.89
	ACCOUNT #: 000060171830130	BUY 0 Units @0.0000						
01/31/2018	***-**-45UG - SASSONE, RENEE	FRK GRWTH FND - CL C	0.00	4.17	0.00	4.17	80.0	3.34
	ACCOUNT #: 000000001261522	BUY 0 Units @0.0000						
01/31/2018	***-**-4956 - COOPER, KELI	FT MODERATE TARGET FUND - CLASS A	0.00	0.85	0.00	0.85	80.0	0.68
	ACCOUNT #: 000000000714840	BUY 0 Units @0.0000						
02/05/2018	***-**-572I - CRUZ, FELIX	GOLDMAN SACHS ASSET ALLOC GR & INC	0.00	4.97	0.00	4.97	80.0	3.98
	ACCOUNT #: 00519076596	BUY 0 Units @0.0000						
02/12/2018	***-**-63IR - DIAMOND, ANN	SUNAMERICA FOCUSED DIVIDEND STRAT C	0.00	0.91	0.00	0.91	80.0	0.73
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
01/31/2018	***-**-45UG - SASSONE, RENEE	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	1.23	0.00	1.23	80.0	0.98
	ACCOUNT #: 000000001981075	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$108.42	\$0.00	\$108.42		\$86.74
*** BROKER TRANSACTIONS TOTAL ***			\$47,503.23	\$432.34	\$6.00	\$426.34		\$341.00

SPLIT TRANSACTIONS

BROKER: FREDERIC SCARPULLA

01/29/2018	***-**-7989 - SMITH, MICHAEL	AMERICAN BALANCED FUND-529C	1,100.00	44.00	0.00	44.00	80.0	35.20
	ACCOUNT #: 00084869153	BUY 39 Units @28.0800						
* FREDERIC SCARPULLA SUBTOTAL *			\$1,100.00	\$44.00	\$0.00	\$44.00		\$35.20
*** SPLIT TRANSACTIONS TOTAL ***			\$1,100.00	\$44.00	\$0.00	\$44.00		\$35.20



BROKER #: 417
BRANCH #01016 - 16 - CASPER

			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$341.00
						Split Transactions		\$35.20
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$0.00
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$376.20
						Year-to-date Earnings		\$253.46