



COMMISSION STATEMENT

May 07, 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>								
04/23/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063412117	BUY 3 Units @33.6500						
04/23/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063451518	BUY 3 Units @33.6500						
04/26/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063412117	BUY 3 Units @33.5300						
04/26/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063451518	BUY 3 Units @33.5300						
04/23/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	80.0	0.46
	ACCOUNT #: 04000650661	BUY 2 Units @29.2700						
04/26/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	15.80	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 04000409714	BUY 1 Units @29.1600						
04/26/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	480.00	4.80	0.00	4.80	80.0	3.84
	ACCOUNT #: 04000409714	BUY 16 Units @29.1600						
04/27/2018	***-**-511I - ROOD, SCOTT	AMCAP FUND-C	38.43	0.38	0.00	0.38	80.0	0.30
	ACCOUNT #: 00088607840	BUY 1 Units @29.2100						
04/27/2018	***-**-625P - BORRELLI, LOUIS	AMERICAN BALANCED FUND-A	16.10	0.26	0.00	0.26	80.0	0.21
	ACCOUNT #: 00073550085	BUY 1 Units @27.4800						
04/27/2018	***-**-625P - BORRELLI, LOUIS	AMERICAN BALANCED FUND-A	56.00	0.90	0.00	0.90	80.0	0.72
	ACCOUNT #: 00073550085	BUY 2 Units @27.4800						
04/23/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	187.00	1.87	0.00	1.87	80.0	1.50
	ACCOUNT #: 00073003754	BUY 7 Units @26.7200						
04/23/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 1 Units @26.7200						
04/23/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	3.63	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @26.7200						
04/23/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904181	BUY 0 Units @26.7200						
04/23/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @26.7200						
04/23/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	80.0	0.33
	ACCOUNT #: 00089051066	BUY 2 Units @26.7200						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/23/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @26.7200	4.00	0.04	0.00	0.04	80.0	0.03
04/23/2018	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089244081	AMERICAN BALANCED FUND-C BUY 3 Units @26.7200	87.96	0.88	0.00	0.88	80.0	0.70
04/23/2018	***-**-281S - FLUGEL, AMANDA ACCOUNT #: 00089561651	AMERICAN BALANCED FUND-C BUY 1 Units @26.7200	40.00	0.40	0.00	0.40	80.0	0.32
04/23/2018	***-**-035S - CAPIZZI, TRACIE ACCOUNT #: 00089679504	AMERICAN BALANCED FUND-C BUY 1 Units @26.7200	37.75	0.38	0.00	0.38	80.0	0.30
04/23/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @26.7200	120.00	1.20	0.00	1.20	80.0	0.96
04/24/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @26.5200	20.00	0.20	0.00	0.20	80.0	0.16
04/24/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @26.5200	40.80	0.41	0.00	0.41	80.0	0.33
04/24/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @26.5200	4.00	0.04	0.00	0.04	80.0	0.03
04/24/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @26.5200	18.76	0.19	0.00	0.19	80.0	0.15
04/25/2018	***-**-398I - GUERRIERI, PAUL ACCOUNT #: 00086040659	AMERICAN BALANCED FUND-C BUY 4 Units @26.5200	100.00	1.00	0.00	1.00	80.0	0.80
04/25/2018	***-**-8208 - KARNS, SHANNON ACCOUNT #: 04000886858	AMERICAN BALANCED FUND-C BUY 38 Units @26.5200	1,000.00	10.00	0.00	10.00	80.0	8.00
04/26/2018	***-**-3834 - SWARTWOUT, ACCOUNT #: 00089957234	AMERICAN BALANCED FUND-C BUY 2 Units @26.7100	50.00	0.50	0.00	0.50	80.0	0.40
04/26/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 0 Units @26.7100	3.63	0.04	0.00	0.04	80.0	0.03
04/26/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @26.7100	28.05	0.28	0.00	0.28	80.0	0.22
04/26/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @26.7100	6.00	0.06	0.00	0.06	80.0	0.05
04/26/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @26.7100	2.11	0.02	0.00	0.02	80.0	0.02



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @26.7100	20.00	0.20	0.00	0.20	80.0	0.16
04/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @26.7100	40.80	0.41	0.00	0.41	80.0	0.33
04/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @26.7100	4.00	0.04	0.00	0.04	80.0	0.03
04/26/2018	***-**-1277 - ROBSON, BONNIE ACCOUNT #: 04000868901	AMERICAN BALANCED FUND-C BUY 335 Units @26.7100	8,944.87	89.45	0.00	89.45	80.0	71.56
04/27/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00086979418	AMERICAN BALANCED FUND-C BUY 2 Units @26.7500	42.50	0.43	0.00	0.43	80.0	0.34
04/27/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00086979418	AMERICAN BALANCED FUND-C BUY 1 Units @26.7500	15.00	0.15	0.00	0.15	80.0	0.12
04/27/2018	***-**-0962 - TRETYAK, ACCOUNT #: 00089399972	AMERICAN BALANCED FUND-C BUY 1 Units @26.7500	21.00	0.21	0.00	0.21	80.0	0.17
04/27/2018	***-**-0962 - TRETYAK, ACCOUNT #: 00089399972	AMERICAN BALANCED FUND-C BUY 4 Units @26.7500	94.98	0.95	0.00	0.95	80.0	0.76
05/02/2018	***-**-497J - WARNEY, KENNETH ACCOUNT #: LSR011248	AMERICAN BALANCED FUND-C SELL 161 Units @26.5200	4,265.16	18.00	18.00	0.00	80.0	0.00
04/23/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 0 Units @18.7800	7.28	0.07	0.00	0.07	80.0	0.06
04/23/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 2 Units @18.7800	43.65	0.44	0.00	0.44	80.0	0.35
04/26/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 1 Units @18.7500	9.98	0.10	0.00	0.10	80.0	0.08
04/26/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 3 Units @18.7500	59.86	0.60	0.00	0.60	80.0	0.48
04/27/2018	***-**-511I - ROOD, SCOTT ACCOUNT #: 00088607840	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @32.5400	32.94	0.33	0.00	0.33	80.0	0.26
04/23/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.2100	105.00	1.05	0.00	1.05	80.0	0.84
04/23/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.2100	4.55	0.05	0.00	0.05	80.0	0.04



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.1800	4.55	0.05	0.00	0.05	80.0	0.04
04/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.1800	105.00	1.05	0.00	1.05	80.0	0.84
05/02/2018	***-**-05IO - KIMBLE, LONNY ACCOUNT #: LSR011472	AMERICAN HIGH-INCOME TRUST-C SELL 46 Units @10.1800	463.41	0.00	0.00	0.00	80.0	0.00
04/23/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @39.6000	1.67	0.02	0.00	0.02	80.0	0.02
04/23/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @39.6000	5.00	0.05	0.00	0.05	80.0	0.04
04/23/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	AMERICAN MUTUAL FUND-C BUY 0 Units @39.6000	6.25	0.06	0.00	0.06	80.0	0.05
04/26/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @39.6600	5.00	0.05	0.00	0.05	80.0	0.04
04/26/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @39.6600	1.76	0.02	0.00	0.02	80.0	0.02
04/26/2018	***-**-678I - KARNS, DANIELLE ACCOUNT #: 04000409710	AMERICAN MUTUAL FUND-C BUY 0 Units @39.6600	3.15	0.03	0.00	0.03	80.0	0.02
04/26/2018	***-**-678I - KARNS, DANIELLE ACCOUNT #: 04000409710	AMERICAN MUTUAL FUND-C BUY 1 Units @39.6600	38.64	0.39	0.00	0.39	80.0	0.31
04/27/2018	***-**-511I - ROOD, SCOTT ACCOUNT #: 00088607840	AMERICAN MUTUAL FUND-C BUY 1 Units @39.7500	38.43	0.38	0.00	0.38	80.0	0.30
05/02/2018	***-**-497J - WARNEY, KENNETH ACCOUNT #: LSR011248	AMERICAN MUTUAL FUND-C SELL 42 Units @39.0200	1,640.95	18.00	18.00	0.00	80.0	0.00
04/18/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 03222325444	CAPITAL APPRECIATION C BUY 0 Units @0.0000	61.61	0.62	0.00	0.62	80.0	0.50
04/27/2018	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 03220387068	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
04/27/2018	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03222192157	CAPITAL APPRECIATION C BUY 0 Units @0.0000	68.00	0.68	0.00	0.68	80.0	0.54
04/27/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 03222200176	CAPITAL APPRECIATION C BUY 0 Units @0.0000	20.00	0.20	0.00	0.20	80.0	0.16



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/23/2018	***-**-9611 - MACDUFFIE, LINDA	CAPITAL INCOME BUILDER CLASS C	300.00	3.00	0.00	3.00	80.0	2.40
	ACCOUNT #: 00087299599	BUY 5 Units @60.8700						
04/27/2018	***-**-7171 - GIUDICE, JUSTIN	CAPITAL INCOME BUILDER CLASS C	18.98	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 00086494794	BUY 0 Units @61.0800						
04/27/2018	***-**-7171 - GIUDICE, JUSTIN	CAPITAL INCOME BUILDER CLASS C	57.75	0.58	0.00	0.58	80.0	0.46
	ACCOUNT #: 00086494794	BUY 1 Units @61.0800						
04/27/2018	***-**-0962 - TRETYAK,	CAPITAL INCOME BUILDER CLASS C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00089399972	BUY 0 Units @61.0800						
04/27/2018	***-**-0962 - TRETYAK,	CAPITAL INCOME BUILDER CLASS C	94.99	0.95	0.00	0.95	80.0	0.76
	ACCOUNT #: 00089399972	BUY 2 Units @61.0800						
04/27/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL INCOME BUILDER-A	16.10	0.26	0.00	0.26	80.0	0.21
	ACCOUNT #: 00073550085	BUY 0 Units @62.2700						
04/27/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL INCOME BUILDER-A	56.00	0.90	0.00	0.90	80.0	0.72
	ACCOUNT #: 00073550085	BUY 1 Units @62.2700						
04/23/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063412117	BUY 1 Units @20.2800						
04/23/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 1 Units @20.2800						
04/26/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063412117	BUY 1 Units @20.2000						
04/26/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 1 Units @20.2000						
04/25/2018	***-**-398I - GUERRIERI, PAUL	CAPITAL WORLD BOND FUND-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 00086040659	BUY 5 Units @19.5500						
04/23/2018	***-**-425P - MEEKS, PERDITA	CAPITAL WORLD GROWTH AND INCOME FUN	12.50	0.63	0.00	0.63	80.0	0.50
	ACCOUNT #: 00074210167	BUY 0 Units @54.9400						
04/23/2018	***-**-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 @51.2000						
04/23/2018	***-**-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 @51.2000						
04/23/2018	***-**-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 @51.2000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/24/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @50.8000	15.00	0.15	0.00	0.15	80.0	0.12
04/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @51.2400	3.60	0.04	0.00	0.04	80.0	0.03
04/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @51.2400	96.40	0.96	0.00	0.96	80.0	0.77
04/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @51.2400	15.00	0.15	0.00	0.15	80.0	0.12
04/27/2018	***-**-625P - BORRELLI, LOUIS ACCOUNT #: 00073550085	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @53.0200	16.10	0.26	0.00	0.26	80.0	0.21
04/27/2018	***-**-625P - BORRELLI, LOUIS ACCOUNT #: 00073550085	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @53.0200	56.00	0.90	0.00	0.90	80.0	0.72
04/27/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @51.3800	24.00	0.24	0.00	0.24	80.0	0.19
04/27/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.3800	40.00	0.40	0.00	0.40	80.0	0.32
04/27/2018	***-**-4926 - HAUN, GARY ACCOUNT #: 04000492822	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @51.3800	21.15	0.21	0.00	0.21	80.0	0.17
04/27/2018	***-**-4926 - HAUN, GARY ACCOUNT #: 04000492822	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @51.3800	105.75	1.06	0.00	1.06	80.0	0.85
04/27/2018	***-**-85IN - MAZZOLA, BARBARA ACCOUNT #: 00100051019	EMERGING MARKETS INNOVATORS FUND C BUY 0 Units @0.0000	7.50	0.08	0.00	0.08	80.0	0.06
04/16/2018	***-**-6188 - ROBERTS, ACCOUNT #: 08370627385	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
04/18/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 08370596090	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	46.21	0.46	0.00	0.46	80.0	0.37
04/23/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @57.7700	66.75	0.80	0.00	0.80	80.0	0.64
04/23/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @57.7700	66.75	0.80	0.00	0.80	80.0	0.64
04/26/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @57.6600	66.75	0.80	0.00	0.80	80.0	0.64



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/26/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @57.6600	66.75	0.80	0.00	0.80	80.0	0.64
04/23/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	FUNDAMENTAL INVESTORS-A BUY 2 Units @63.3500	133.50	1.60	0.00	1.60	80.0	1.28
04/23/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 2 Units @63.3500	133.50	1.60	0.00	1.60	80.0	1.28
04/26/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	FUNDAMENTAL INVESTORS-A BUY 2 Units @63.2100	133.50	1.60	0.00	1.60	80.0	1.28
04/26/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 2 Units @63.2100	133.50	1.60	0.00	1.60	80.0	1.28
04/27/2018	***-**-925P - BURNS, JASON ACCOUNT #: 00073550035	FUNDAMENTAL INVESTORS-A BUY 0 Units @63.5200	19.18	0.31	0.00	0.31	80.0	0.25
04/27/2018	***-**-925P - BURNS, JASON ACCOUNT #: 00073550035	FUNDAMENTAL INVESTORS-A BUY 2 Units @63.5200	133.65	2.14	0.00	2.14	80.0	1.71
04/23/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.0400	9.00	0.09	0.00	0.09	80.0	0.07
04/23/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.0400	2.40	0.02	0.00	0.02	80.0	0.02
04/23/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.0400	2.26	0.02	0.00	0.02	80.0	0.02
04/23/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.0400	18.00	0.18	0.00	0.18	80.0	0.14
04/23/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.0400	20.40	0.20	0.00	0.20	80.0	0.16
04/23/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.0400	2.00	0.02	0.00	0.02	80.0	0.02
04/23/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.0400	6.25	0.06	0.00	0.06	80.0	0.05
04/24/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @61.2100	20.40	0.20	0.00	0.20	80.0	0.16
04/24/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @61.2100	2.00	0.02	0.00	0.02	80.0	0.02



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/25/2018	***-**-615P - LE, TU	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00075107985	BUY 2 Units @61.2900						
04/26/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	2.40	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @61.9000						
04/26/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00085902226	BUY 0 Units @61.9000						
04/26/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	2.33	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @61.9000						
04/26/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085904203	BUY 0 Units @61.9000						
04/26/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @61.9000						
04/26/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @61.9000						
04/26/2018	***-**-6171 - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	53.00	0.53	0.00	0.53	80.0	0.42
	ACCOUNT #: 04000409801	BUY 1 Units @61.9000						
04/26/2018	***-**-6171 - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	480.00	4.80	0.00	4.80	80.0	3.84
	ACCOUNT #: 04000409801	BUY 8 Units @61.9000						
04/27/2018	***-**-7171 - GIUDICE, JUSTIN	FUNDAMENTAL INVESTORS-C	18.98	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 00086494794	BUY 0 Units @61.8900						
04/27/2018	***-**-7171 - GIUDICE, JUSTIN	FUNDAMENTAL INVESTORS-C	57.75	0.58	0.00	0.58	80.0	0.46
	ACCOUNT #: 00086494794	BUY 1 Units @61.8900						
04/16/2018	***-**-90FB - DIODATO, CAROL	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
04/16/2018	***-**-2620 - CUSIMANO, MEGAN	GLOBAL OPPORTUNITIES FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02171800557	BUY 0 Units @0.0000						
04/16/2018	***-**-9530 - MILAM, IAN	GLOBAL OPPORTUNITIES FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02171852708	BUY 0 Units @0.0000						
04/18/2018	***-**-729I - GIAMBRONE, KELLY	GLOBAL OPPORTUNITIES FUND C	77.02	0.77	0.00	0.77	80.0	0.62
	ACCOUNT #: 02171875445	BUY 0 Units @0.0000						
04/27/2018	***-**-85IN - MAZZOLA, BARBARA	GLOBAL OPPORTUNITIES FUND C	15.00	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 02171893331	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/27/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						
04/30/2018	***-**-90FB - DIODATO, CAROL	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
04/30/2018	***-**-9530 - MILAM, IAN	GLOBAL OPPORTUNITIES FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02171852708	BUY 0 Units @0.0000						
04/23/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00087236607	BUY 2 Units @22.6300						
04/23/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	1.95	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087236607	BUY 0 Units @22.6300						
04/26/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	1.95	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087236607	BUY 0 Units @22.5300						
04/26/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00087236607	BUY 2 Units @22.5300						
05/02/2018	***-**-05IO - KIMBLE, LONNY	INCOME FUND OF AMERICA CLASS C	463.42	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: LSR011472	SELL 21 Units @22.3400						
04/23/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00085902249	BUY 1 Units @39.8300						
04/23/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	3.74	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @39.8300						
04/24/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	18.20	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00089583477	BUY 0 Units @39.3400						
04/26/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	3.74	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @39.8800						
04/26/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00085902249	BUY 1 Units @39.8800						
04/26/2018	***-**-3727 - D'ANGELO, ANDREW	INVESTMENT COMPANY OF AMERICA CLASS	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 04000409699	BUY 1 Units @39.8800						
04/26/2018	***-**-3727 - D'ANGELO, ANDREW	INVESTMENT COMPANY OF AMERICA CLASS	14.00	0.14	0.00	0.14	80.0	0.11
	ACCOUNT #: 04000409699	BUY 0 Units @39.8800						
04/26/2018	***-**-6781 - KARNS, DANIELLE	INVESTMENT COMPANY OF AMERICA CLASS	38.64	0.39	0.00	0.39	80.0	0.31
	ACCOUNT #: 04000409710	BUY 1 Units @39.8800						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/26/2018	***-**-6781 - KARNS, DANIELLE	INVESTMENT COMPANY OF AMERICA CLASS	3.16	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 04000409710	BUY 0 Units @39.8800						
04/16/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
04/16/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
04/16/2018	***-**-2620 - CUSIMANO, MEGAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
04/16/2018	***-**-9530 - MILAM, IAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024469113	BUY 0 Units @0.0000						
04/18/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	77.02	0.77	0.00	0.77	80.0	0.62
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						
04/27/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
04/27/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
04/30/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
04/30/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
04/30/2018	***-**-9530 - MILAM, IAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024469113	BUY 0 Units @0.0000						
04/23/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063412117	BUY 0 Units @45.2200						
04/23/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 0 Units @45.2200						
04/26/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063412117	BUY 0 Units @45.1400						
04/26/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 0 Units @45.1400						
04/27/2018	***-**-955P - ROSE, JUSTIN	NEW PERSPECTIVE FUND-A	187.50	3.00	0.00	3.00	80.0	2.40
	ACCOUNT #: 00073550044	BUY 4 Units @45.4900						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/23/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @42.7000						
04/23/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @42.7000						
04/23/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @42.7000						
04/23/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @42.7000						
04/23/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	2.63	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @42.7000						
04/23/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @42.7000						
04/23/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @42.7000						
04/23/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @42.7000						
04/24/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @42.1600						
04/24/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @42.1600						
04/26/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @42.6200						
04/26/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @42.6200						
04/26/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @42.6200						
04/26/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @42.6200						
04/26/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	2.71	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @42.6200						
04/26/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @42.6200						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @42.6200	20.40	0.20	0.00	0.20	80.0	0.16
04/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @42.6200	2.00	0.02	0.00	0.02	80.0	0.02
04/26/2018	***-**-1955 - MARCELLUS, JAMES ACCOUNT #: 04000409718	NEW PERSPECTIVE FUND-C BUY 1 Units @42.6200	23.08	0.23	0.00	0.23	80.0	0.18
04/26/2018	***-**-1955 - MARCELLUS, JAMES ACCOUNT #: 04000409718	NEW PERSPECTIVE FUND-C BUY 1 Units @42.6200	50.00	0.50	0.00	0.50	80.0	0.40
04/26/2018	***-**-9004 - MARCELLUS, ACCOUNT #: 04000409785	NEW PERSPECTIVE FUND-C BUY 0 Units @42.6200	17.30	0.17	0.00	0.17	80.0	0.14
04/26/2018	***-**-9004 - MARCELLUS, ACCOUNT #: 04000409785	NEW PERSPECTIVE FUND-C BUY 2 Units @42.6200	100.00	1.00	0.00	1.00	80.0	0.80
04/26/2018	***-**-1277 - ROBSON, BONNIE ACCOUNT #: 04000868901	NEW PERSPECTIVE FUND-C BUY 157 Units @42.6200	6,708.65	67.09	0.00	67.09	80.0	53.67
04/27/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	NEW PERSPECTIVE FUND-C BUY 0 Units @42.7300	18.00	0.18	0.00	0.18	80.0	0.14
04/27/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	NEW PERSPECTIVE FUND-C BUY 1 Units @42.7300	30.00	0.30	0.00	0.30	80.0	0.24
04/23/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @64.8700	10.50	0.11	0.00	0.11	80.0	0.09
04/23/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @64.8700	2.80	0.03	0.00	0.03	80.0	0.02
04/23/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @64.8700	2.63	0.03	0.00	0.03	80.0	0.02
04/23/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @64.8700	21.00	0.21	0.00	0.21	80.0	0.17
04/23/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	NEW WORLD FUND-C BUY 0 Units @64.8700	1.80	0.02	0.00	0.02	80.0	0.02
04/23/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	NEW WORLD FUND-C BUY 1 Units @64.8700	48.20	0.48	0.00	0.48	80.0	0.38
04/25/2018	***-**-398I - GUERRIERI, PAUL ACCOUNT #: 00086040659	NEW WORLD FUND-C BUY 2 Units @64.2000	150.00	1.50	0.00	1.50	80.0	1.20



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/26/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @64.6800						
04/26/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @64.6800						
04/26/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.72	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @64.6800						
04/26/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @64.6800						
04/26/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @64.6800						
04/26/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @64.6800						
04/27/2018	***-**-4036 - AMES, JOHN	NEW WORLD FUND-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00083414092	BUY 0 Units @64.9200						
04/27/2018	***-**-4036 - AMES, JOHN	NEW WORLD FUND-C	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00083414092	BUY 0 Units @64.9200						
04/27/2018	***-**-3407 - SUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
04/27/2018	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
04/27/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
04/27/2018	***-**-85IN - MAZZOLA, BARBARA	OPPENHEIMER INTERNATIONAL DIVERSIFI	7.50	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 01971104114	BUY 0 Units @0.0000						
04/18/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	46.20	0.46	0.00	0.46	80.0	0.37
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
04/16/2018	***-**-541P - SCHILLACI, AMY	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						
04/16/2018	***-**-4980 - MOYER, COLLEEN	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
04/16/2018	***-**-655P - DAVIS, BERTHA	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02271237808	BUY 0 Units @0.0000						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
04/18/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 02270934318	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	125.00	1.25	0.00	1.25	80.0	1.00
04/27/2018	***-**-6836 - SMITH, ADRIENNE ACCOUNT #: 02271182830	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
04/30/2018	***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02271217095	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
04/16/2018	***-**-8706 - BOSCO, REN ACCOUNT #: 02590094105	QUEST BALANCED FUND C BUY 0 Units @0.0000	500.00	5.00	0.00	5.00	80.0	4.00
04/18/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 02592292741	QUEST BALANCED FUND C BUY 0 Units @0.0000	250.00	2.50	0.00	2.50	80.0	2.00
04/16/2018	***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 05920400103	REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
04/16/2018	***-**-9530 - MILAM, IAN ACCOUNT #: 05920419496	REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
04/27/2018	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 05920398266	REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
04/30/2018	***-**-9530 - MILAM, IAN ACCOUNT #: 05920419496	REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
04/16/2018	***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02531288969	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
04/27/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 02531162106	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	20.00	0.20	0.00	0.20	80.0	0.16
04/30/2018	***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02531288969	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
04/27/2018	***-**-925P - BURNS, JASON ACCOUNT #: 00073550035	SMALLCAP WORLD FUND-A BUY 0 Units @58.0500	19.18	0.31	0.00	0.31	80.0	0.25
04/27/2018	***-**-925P - BURNS, JASON ACCOUNT #: 00073550035	SMALLCAP WORLD FUND-A BUY 2 Units @58.0500	133.65	2.14	0.00	2.14	80.0	1.71
04/23/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 0 Units @50.0600	1.80	0.02	0.00	0.02	80.0	0.02
04/23/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @50.0600	48.20	0.48	0.00	0.48	80.0	0.38



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/23/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @50.0600	2.00	0.02	0.00	0.02	80.0	0.02
04/23/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @50.0600	20.40	0.20	0.00	0.20	80.0	0.16
04/24/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @49.6400	20.40	0.20	0.00	0.20	80.0	0.16
04/24/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @49.6400	2.00	0.02	0.00	0.02	80.0	0.02
04/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 0 Units @49.8100	1.80	0.02	0.00	0.02	80.0	0.02
04/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @49.8100	48.20	0.48	0.00	0.48	80.0	0.38
04/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @49.8100	20.40	0.20	0.00	0.20	80.0	0.16
04/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @49.8100	2.00	0.02	0.00	0.02	80.0	0.02
04/18/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 02322751089	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	125.00	1.25	0.00	1.25	80.0	1.00
04/27/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 01920863291	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	10.00	0.10	0.00	0.10	80.0	0.08
04/23/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 4 Units @12.6900	44.50	0.53	0.00	0.53	80.0	0.42
04/23/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 4 Units @12.6900	44.50	0.53	0.00	0.53	80.0	0.42
04/26/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 4 Units @12.6800	44.50	0.53	0.00	0.53	80.0	0.42
04/26/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 4 Units @12.6800	44.50	0.53	0.00	0.53	80.0	0.42
04/23/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.5000	28.05	0.28	0.00	0.28	80.0	0.22
04/23/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 0 Units @12.5000	3.63	0.04	0.00	0.04	80.0	0.03



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/23/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	3.01	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @12.5000						
04/23/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	9.00	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00085904181	BUY 1 Units @12.5000						
04/26/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	3.63	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @12.4900						
04/26/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 2 Units @12.4900						
04/26/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	9.00	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00085904181	BUY 1 Units @12.4900						
04/26/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	3.17	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @12.4900						
04/27/2018	***-**-7171 - GIUDICE, JUSTIN	THE BOND FUND OF AMERICA-C	19.56	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00086494794	BUY 2 Units @12.5100						
04/27/2018	***-**-7171 - GIUDICE, JUSTIN	THE BOND FUND OF AMERICA-C	59.50	0.60	0.00	0.60	80.0	0.48
	ACCOUNT #: 00086494794	BUY 5 Units @12.5100						
04/23/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00063412117	BUY 1 Units @52.8600						
04/23/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00063451518	BUY 1 Units @52.8600						
04/23/2018	***-**-385P - BONACCI,	THE GROWTH FUND OF AMERICA-A	6,483.97	178.31	0.00	178.31	80.0	142.65
	ACCOUNT #: 00063160662	BUY 120 Units @53.9600						
04/23/2018	***-**-00IN - DIVASTA, JANINE	THE GROWTH FUND OF AMERICA-A	250.00	9.38	0.00	9.38	80.0	7.50
	ACCOUNT #: 00063669925	BUY 5 Units @54.5200						
04/23/2018	***-**-425P - MEEKS, PERDITA	THE GROWTH FUND OF AMERICA-A	12.50	0.63	0.00	0.63	80.0	0.50
	ACCOUNT #: 00074210167	BUY 0 Units @55.2500						
04/26/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00063412117	BUY 1 Units @52.7500						
04/26/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00063451518	BUY 1 Units @52.7500						
04/27/2018	***-**-925P - BURNS, JASON	THE GROWTH FUND OF AMERICA-A	19.77	0.32	0.00	0.32	80.0	0.26
	ACCOUNT #: 00073550035	BUY 0 Units @53.0800						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/27/2018	***-**-925P - BURNS, JASON	THE GROWTH FUND OF AMERICA-A	137.70	2.20	0.00	2.20	80.0	1.76
	ACCOUNT #: 00073550035	BUY 3 Units @53.0800						
04/27/2018	***-**-955P - ROSE, JUSTIN	THE GROWTH FUND OF AMERICA-A	187.50	3.00	0.00	3.00	80.0	2.40
	ACCOUNT #: 00073550044	BUY 4 Units @53.0800						
04/27/2018	***-**-625P - BORRELLI, LOUIS	THE GROWTH FUND OF AMERICA-A	32.20	0.52	0.00	0.52	80.0	0.42
	ACCOUNT #: 00073550085	BUY 1 Units @53.0800						
04/27/2018	***-**-625P - BORRELLI, LOUIS	THE GROWTH FUND OF AMERICA-A	112.00	1.79	0.00	1.79	80.0	1.43
	ACCOUNT #: 00073550085	BUY 2 Units @53.0800						
04/27/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	103.68	3.89	0.00	3.89	80.0	3.11
	ACCOUNT #: 00086606929	BUY 2 Units @54.4700						
04/27/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	400.00	15.00	0.00	15.00	80.0	12.00
	ACCOUNT #: 00086606929	BUY 7 Units @54.4700						
04/23/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	176.00	1.76	0.00	1.76	80.0	1.41
	ACCOUNT #: 00073003754	BUY 4 Units @48.1800						
04/23/2018	***-**-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 @48.1800						
04/23/2018	***-**-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 @48.1800						
04/23/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @48.1800						
04/23/2018	***-**-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 @48.1800						
04/23/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	53.17	0.53	0.00	0.53	80.0	0.42
	ACCOUNT #: 00089319958	BUY 1 Units @48.1800						
04/23/2018	***-**-482I - MARCONI, TODD	THE GROWTH FUND OF AMERICA-C	6.25	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00089570936	BUY 0 Units @48.1800						
04/23/2018	***-**-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 @48.1800						
04/24/2018	***-**-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 @47.3800						
04/24/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	18.21	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00089583477	BUY 0 Units @47.3800						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/25/2018	***-**-7186 - VELLA, DOMENICO	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000248474	BUY 1 Units @47.3700						
04/25/2018	***-**-2678 - VELLA, VINCENZO	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000248491	BUY 1 Units @47.3700						
04/26/2018	***-**-6375 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 04000598159	BUY 2 Units @48.0700						
04/26/2018	***-**-6375 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	24.00	0.24	0.00	0.24	80.0	0.19
	ACCOUNT #: 04000598159	BUY 0 Units @48.0700						
04/26/2018	***-**-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 @48.0700						
04/26/2018	***-**-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 @48.0700						
04/26/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @48.0700						
04/26/2018	***-**-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 @48.0700						
04/26/2018	***-**-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 @48.0700						
04/26/2018	***-**-3727 - D'ANGELO, ANDREW	THE GROWTH FUND OF AMERICA-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 04000409699	BUY 0 Units @48.0700						
04/26/2018	***-**-3727 - D'ANGELO, ANDREW	THE GROWTH FUND OF AMERICA-C	14.00	0.14	0.00	0.14	80.0	0.11
	ACCOUNT #: 04000409699	BUY 0 Units @48.0700						
04/26/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	15.80	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 04000409714	BUY 0 Units @48.0700						
04/26/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	480.00	4.80	0.00	4.80	80.0	3.84
	ACCOUNT #: 04000409714	BUY 10 Units @48.0700						
04/26/2018	***-**-1955 - MARCELLUS, JAMES	THE GROWTH FUND OF AMERICA-C	23.08	0.23	0.00	0.23	80.0	0.18
	ACCOUNT #: 04000409718	BUY 0 Units @48.0700						
04/26/2018	***-**-1955 - MARCELLUS, JAMES	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000409718	BUY 1 Units @48.0700						
04/26/2018	***-**-9004 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	17.30	0.17	0.00	0.17	80.0	0.14
	ACCOUNT #: 04000409785	BUY 0 Units @48.0700						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/26/2018	***-**-9004 - MARCELLUS, ACCOUNT #: 04000409785	THE GROWTH FUND OF AMERICA-C BUY 2 Units @48.0700	100.00	1.00	0.00	1.00	80.0	0.80
04/26/2018	***-**-6171 - ROWE, KEVIN ACCOUNT #: 04000409801	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.0700	53.00	0.53	0.00	0.53	80.0	0.42
04/26/2018	***-**-6171 - ROWE, KEVIN ACCOUNT #: 04000409801	THE GROWTH FUND OF AMERICA-C BUY 10 Units @48.0700	480.00	4.80	0.00	4.80	80.0	3.84
04/26/2018	***-**-1277 - ROBSON, BONNIE ACCOUNT #: 04000868901	THE GROWTH FUND OF AMERICA-C BUY 140 Units @48.0700	6,708.65	67.09	0.00	67.09	80.0	53.67
04/27/2018	***-**-4926 - HAUN, GARY ACCOUNT #: 04000492822	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.1200	28.20	0.28	0.00	0.28	80.0	0.22
04/27/2018	***-**-4926 - HAUN, GARY ACCOUNT #: 04000492822	THE GROWTH FUND OF AMERICA-C BUY 3 Units @48.1200	141.00	1.41	0.00	1.41	80.0	1.13
05/02/2018	***-**-497J - WARNEY, KENNETH ACCOUNT #: LSR011248	THE GROWTH FUND OF AMERICA-C SELL 27 Units @47.8000	1,300.02	18.00	18.00	0.00	80.0	0.00
04/23/2018	***-**-00IN - DIVASTA, JANINE ACCOUNT #: 00063669925	WASHINGTON MUTUAL INVESTORS FUND-A BUY 5 Units @47.8600	250.00	9.38	0.00	9.38	80.0	7.50
04/23/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	WASHINGTON MUTUAL INVESTORS FUND-C BUY 4 Units @45.1100	187.00	1.87	0.00	1.87	80.0	1.50
04/23/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @45.1100	6.25	0.06	0.00	0.06	80.0	0.05
04/23/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @45.1100	40.00	0.40	0.00	0.40	80.0	0.32
04/25/2018	***-**-398I - GUERRIERI, PAUL ACCOUNT #: 00086040659	WASHINGTON MUTUAL INVESTORS FUND-C BUY 3 Units @44.7000	150.00	1.50	0.00	1.50	80.0	1.20
04/27/2018	***-**-4926 - HAUN, GARY ACCOUNT #: 04000492822	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @45.0700	21.15	0.21	0.00	0.21	80.0	0.17
04/27/2018	***-**-4926 - HAUN, GARY ACCOUNT #: 04000492822	WASHINGTON MUTUAL INVESTORS FUND-C BUY 2 Units @45.0700	105.75	1.06	0.00	1.06	80.0	0.85
* MUTUAL FUNDS SUBTOTAL *			\$52,893.26	\$654.58	\$54.00	\$600.58		\$480.42



COMMISSION STATEMENT

May 07, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: 529 PLAN								
05/07/2018	***-**-335P - JULIAN, GIOVANA	AGE BASED INVESTMENT OPTION	138.52	1.39	0.00	1.39	80.0	1.11
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
05/07/2018	***-**-015P - FANTAUZZO,	NEW YORK 529 TRAILS	0.00	4.35	0.00	4.35	80.0	3.48
	ACCOUNT #: 77529133201	BUY 0 Units @0.0000						
05/07/2018	***-**-335P - JULIAN, GIOVANA	NEW YORK 529 TRAILS	0.00	6.01	0.00	6.01	80.0	4.81
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
05/07/2018	***-**-80IN - MOYER, COLLEEN	NEW YORK 529 TRAILS	0.00	13.42	0.00	13.42	80.0	10.74
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$138.52	\$25.17	\$0.00	\$25.17		\$20.14
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
05/07/2018	***-**-526I - CAVALLARO,	DREYFUS MF TRAILS	0.00	0.98	0.00	0.98	80.0	0.78
	ACCOUNT #: 3360045601	BUY 0 Units @0.0000						
04/06/2018	***-**-4550 - JONES, JEFFREY	FA 529 PORT 2019-CL P	0.00	7.84	0.00	7.84	80.0	6.27
	ACCOUNT #: 00529631491	BUY 0 Units @0.0000						
04/06/2018	***-**-7278 - GUERRIERI DDS,	FIDELITY ADV ASSET MANAGER 50 PERCE	0.00	0.72	0.00	0.72	80.0	0.58
	ACCOUNT #: 00655383206	BUY 0 Units @0.0000						
04/06/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV FREEDOM 2020-CL C	0.00	1.78	0.00	1.78	80.0	1.42
	ACCOUNT #: 01475410302	BUY 0 Units @0.0000						
04/06/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV INTL DISCOVERY-CL A	0.00	1.71	0.00	1.71	80.0	1.37
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
04/06/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	3.70	0.00	3.70	80.0	2.96
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
04/06/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV MID CAP II-CL A	0.00	4.99	0.00	4.99	80.0	3.99
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
04/06/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV NEW INSIGHTS-CL A	0.00	4.84	0.00	4.84	80.0	3.87
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
04/06/2018	***-**-7352 - GEISELHART,	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	31.42	0.00	31.42	80.0	25.14
	ACCOUNT #: 00618796254	BUY 0 Units @0.0000						
04/06/2018	***-**-5703 - DIODATO,	FIDELITY ADV STRATEGIC INCOME CL C	0.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 03900218260	BUY 0 Units @0.0000						
04/06/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV TECHNOLOGY CL A	0.00	4.88	0.00	4.88	80.0	3.90
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						



COMMISSION STATEMENT

May 07, 2018

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BROKER #: 417
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/06/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADVISOR FREEDOM 2020 CL A	0.00	0.93	0.00	0.93	80.0	0.74
	ACCOUNT #: 01475410302	BUY 0 Units @0.0000						
04/27/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER CORP BOND FND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00100067156	BUY 0 Units @0.0000						
05/04/2018	***-**-921R - CHEN, CYNTHIA	PIMCO TOTAL RETURN CLASS A	0.00	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: LSR011412	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$25.00	\$64.14	\$0.00	\$64.14		\$51.30
*** BROKER TRANSACTIONS TOTAL ***			\$53,056.78	\$743.89	\$54.00	\$689.89		\$551.86

BROKER COMMISSION TOTALS

Broker Transactions	\$551.86
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$551.86
Year-to-date Earnings	\$77,317.97