

COMMISSION STATEMENT

April 30, 2017

JANICE GINSBURG
100 AQUEDUCT DRIVEBROKER #:
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

04/10/2017	75501483	SPILLER, HELEN	**GUGGENHEIM FDS TR	S	500.00	0.00	0.00	0.00	50.0	0.00
04/10/2017	75501483	SPILLER, HELEN	PUTNAM 746745108	S	600.00	0.00	0.00	0.00	50.0	0.00
03/29/2017	75501643	CONNOLLY, MARCELLA	**IVA FIDUCIARY TR	S	7,765.71	0.00	0.00	0.00	50.0	0.00
04/12/2017	75501643	CONNOLLY, MARCELLA	ALLIANZ NFJ DIVIDEND VALUE FUND CLA S	S	5,000.00	0.00	0.00	0.00	50.0	0.00
				* MUTUAL FUNDS SUBTOTAL *	\$13,865.71	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

03/29/2017	75501833	GIRGENTI, V JAMES	ORBOTECH LTD ORD SHS ISIN#IL0010823 B	B	3,214.39	0.00	0.00	0.00	50.0	0.00
03/29/2017	75501833	GIRGENTI, V JAMES	PROSHARES SHORT MSCI EMERGING MARKE S	S	4,380.02	0.00	0.00	0.00	50.0	0.00
03/29/2017	75502080	GIRGENTI, V JAMES	NVIDIA CORP	B	10,791.66	94.50	0.00	94.50	50.0	47.25
03/29/2017	75502080	GIRGENTI, V JAMES	WALT DISNEY CO	B	11,272.66	94.50	0.00	94.50	50.0	47.25
				* STOCKS SUBTOTAL *	\$29,658.73	\$189.00	\$0.00	\$189.00		\$94.50

PRODUCT CATEGORY: RIA

04/18/2017	75501739	STAUFFER, JUDITH	FAS FEES	B	0.00	537.44	0.00	537.44	50.0	268.72
04/18/2017	75501744	STAUFFER, ROBERT	FAS FEES	B	-537.44	0.00	0.00	0.00	50.0	0.00
04/18/2017	75501744	STAUFFER, ROBERT	FAS FEES	B	-931.23	931.23	0.00	931.23	50.0	465.62
04/18/2017	75501744	STAUFFER, ROBERT	FAS FEES	B	-197.06	0.00	0.00	0.00	50.0	0.00
04/18/2017	75501751	STAUFFER, ROBERT	FAS FEES	B	0.00	197.06	0.00	197.06	50.0	98.53
04/18/2017	75501824	ALANCRAIG, DIANE	FAS FEES	B	-367.24	367.24	0.00	367.24	50.0	183.62
04/18/2017	75501828	ALANCRAIG, DIANE	FAS FEES	B	-174.21	174.21	0.00	174.21	50.0	87.11
04/18/2017	75501829	SEPTIEN, ALFREDO	FAS FEES	B	-152.67	152.67	0.00	152.67	50.0	76.34
04/18/2017	75501830	SEPTIEN, ALFREDO	FAS FEES	B	-290.86	290.86	0.00	290.86	50.0	145.43
04/18/2017	75501832	WEXLER, SHEILA	FAS FEES	B	-359.01	359.01	0.00	359.01	50.0	179.51
04/18/2017	75501833	GIRGENTI, V JAMES	FAS FEES	B	-991.36	991.36	0.00	991.36	50.0	495.68
04/18/2017	75501834	BUGANSKI, TERRI	FAS FEES	B	-734.55	734.55	0.00	734.55	50.0	367.28
04/18/2017	75501835	BUGANSKI, TERRI	FAS FEES	B	-84.09	84.09	0.00	84.09	50.0	42.05
04/18/2017	75501836	FARKAS, RONALD	FAS FEES	B	-599.22	599.22	0.00	599.22	50.0	299.61
04/18/2017	75501837	FARKAS, MARILYN	FAS FEES	B	-1,219.41	1,219.41	0.00	1,219.41	50.0	609.71
04/18/2017	75501868	ZEGEN, LOUIS	FAS FEES	B	-1,177.00	1,177.00	0.00	1,177.00	50.0	588.50
04/18/2017	75501869	ZEGEN, LOUIS	FAS FEES	B	-228.91	228.91	0.00	228.91	50.0	114.46
04/18/2017	75501879	LIBOVE, MICHAEL	FAS FEES	B	-1,214.94	1,214.94	0.00	1,214.94	50.0	607.47

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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										
		* RIA SUBTOTAL *		\$-9,259.20	\$9,259.20	\$0.00	\$9,259.20		\$4,629.64	
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
04/11/2017	75501483	SPILLER, HELEN	**GUGGENHEIM FDS TR	B	0.00	2.62	0.00	2.62	50.0	1.31
04/11/2017	75501483	SPILLER, HELEN	AMERICAN BALANCED FUND-A	B	0.00	3.45	0.00	3.45	50.0	1.73
04/11/2017	75501483	SPILLER, HELEN	BOND-DEBENTURE FUND CLASS A	B	0.00	1.10	0.00	1.10	50.0	0.55
04/11/2017	75501483	SPILLER, HELEN	PUTNAM 746745108	B	0.00	0.77	0.00	0.77	50.0	0.00
04/11/2017	75501483	SPILLER, HELEN	THE INCOME FUND OF AMERICA-A	B	0.00	4.09	0.00	4.09	50.0	2.05
04/11/2017	75501504	LERNER, JOAN	U.S. GOVERNMENT SECURITIES FUND CLA B	B	0.00	2.30	0.00	2.30	50.0	1.15
04/11/2017	75501505	LERNER, JOAN	AMERICAN HIGH-INCOME TRUST-A	B	0.00	4.02	0.00	4.02	50.0	2.01
04/11/2017	75501505	LERNER, JOAN	CAPITAL INCOME BUILDER-A	B	0.00	0.68	0.00	0.68	50.0	0.00
04/11/2017	75501505	LERNER, JOAN	CAPITAL WORLD BOND FUND-A	B	0.00	1.75	0.00	1.75	50.0	0.88
04/11/2017	75501505	LERNER, JOAN	THE BOND FUND OF AMERICA-A	B	0.00	4.22	0.00	4.22	50.0	2.11
04/11/2017	75501621	WEXLER, SHEILA	EATON VANCE TAX- MANAGED EQUITY ASS B	B	0.00	12.96	0.00	12.96	50.0	6.48
04/11/2017	75501621	WEXLER, SHEILA	THE HARTFORD CAPITAL APPRECIATION F B	B	0.00	2.01	0.00	2.01	50.0	1.01
04/11/2017	75501621	WEXLER, SHEILA	THE HARTFORD MID CAP FUND-A	B	0.00	3.07	0.00	3.07	50.0	1.54
04/11/2017	75501622	ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL	B	0.00	11.76	0.00	11.76	50.0	5.88
04/11/2017	75501622	ABEL, STACEY	DAVIS NEW YORK VENTURE CLASS A	B	0.00	2.82	0.00	2.82	50.0	1.41
04/11/2017	75501622	ABEL, STACEY	INVESCO COMSTOCK FUND CLASS A	B	0.00	17.84	0.00	17.84	50.0	8.92
04/11/2017	75501622	ABEL, STACEY	MFS GLOBAL EQUITY FUND-A	B	0.00	1.95	0.00	1.95	50.0	0.98
04/11/2017	75501622	ABEL, STACEY	SHORT-TERM BOND FUND OF AMERICA - A B	B	0.00	0.50	0.00	0.50	50.0	0.00
04/11/2017	75501622	ABEL, STACEY	THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	5.10	0.00	5.10	50.0	2.55
04/11/2017	75501624	ALANCRAIG, SUSAN	**GABELLI SRI FUND	B	0.00	10.88	0.00	10.88	50.0	5.44
04/11/2017	75501624	ALANCRAIG, SUSAN	NEUBERGER & BERMAN EQUITY FD SOCIAL B	B	0.00	42.09	0.00	42.09	50.0	21.05
04/12/2017	75501624	ALANCRAIG, SUSAN	**IVA FIDUCIARY TR	B	0.00	30.14	0.00	30.14	50.0	15.07
04/17/2017	75501624	ALANCRAIG, SUSAN	CALVERT EQUITY PORTFOLIO CL C	B	0.00	33.68	0.00	33.68	50.0	16.84
04/11/2017	75501625	URQUHART, JOANNE	CALAMOS GROWTH FUND CLASS C	B	0.00	63.87	0.00	63.87	50.0	31.94
04/11/2017	75501626	URQUHART, THOMAS	THE GROWTH FUND OF AMERICA-A	B	0.00	5.45	0.00	5.45	50.0	2.73
04/11/2017	75501627	LEE, T ORIN	**AMG MANAGERS CADENCE MID CAP	B	0.00	1.02	0.00	1.02	50.0	0.51
04/26/2017	75501627	LEE, T ORIN	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.98	0.00	0.98	50.0	0.00
04/11/2017	75501628	MODES, VINCENT	ALL VALUE FUND CLASS A	B	0.00	5.40	0.00	5.40	50.0	2.70
04/11/2017	75501628	MODES, VINCENT	CAPITAL INCOME BUILDER-A	B	0.00	10.41	0.00	10.41	50.0	5.21
04/11/2017	75501628	MODES, VINCENT	CAPITAL WORLD GROWTH AND INCOME FUN B	B	0.00	4.58	0.00	4.58	50.0	2.29
04/11/2017	75501628	MODES, VINCENT	DAVIS NEW YORK VENTURE CLASS C	B	0.00	7.36	0.00	7.36	50.0	3.68
04/11/2017	75501628	MODES, VINCENT	LORD ABBETT CALIBRATED DIVIDEND GRO B	B	0.00	4.41	0.00	4.41	50.0	2.21
04/11/2017	75501628	MODES, VINCENT	LORD ABBETT AFFILIATED FUND CLASS A B	B	0.00	8.59	0.00	8.59	50.0	4.30
04/11/2017	75501628	MODES, VINCENT	MID-CAP VALUE FUND CLASS A	B	0.00	6.55	0.00	6.55	50.0	3.28
04/11/2017	75501628	MODES, VINCENT	NEW PERSPECTIVE FUND-A	B	0.00	8.28	0.00	8.28	50.0	4.14
04/11/2017	75501628	MODES, VINCENT	OPPENHEIMERFUNDS 68380G101	B	0.00	2.62	0.00	2.62	50.0	1.31
04/11/2017	75501628	MODES, VINCENT	THE HARTFORD CAPITAL APPRECIATION F B	B	0.00	8.83	0.00	8.83	50.0	4.42

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/11/2017	75501628	MODES, VINCENT		THE INVESTMENT COMPANY OF AMERICA-A B	0.00	4.36	0.00	4.36	50.0 2.18
04/12/2017	75501628	MODES, VINCENT		**IVA FIDUCIARY TR B	0.00	120.26	0.00	120.26	50.0 60.13
04/11/2017	75501629	INOVATIVE INC		EATON VANCE MUT FDS TR FLTG RATE AD B	0.00	10.32	0.00	10.32	50.0 5.16
04/11/2017	75501629	INOVATIVE INC		HARTFORD FLOATING RATE FUND CLASS C B	0.00	13.29	0.00	13.29	50.0 6.65
04/11/2017	75501631	MODES, LOIS		LORD ABBETT RESEARCH FUND INC-SMALL B	0.00	5.43	0.00	5.43	50.0 2.72
04/11/2017	75501631	MODES, LOIS		LORD ABBETT CALIBRATED DIVIDEND GRO B	0.00	5.72	0.00	5.72	50.0 2.86
04/11/2017	75501631	MODES, LOIS		LORD ABBETT AFFILIATED FUND CLASS A B	0.00	5.07	0.00	5.07	50.0 2.54
04/11/2017	75501631	MODES, LOIS		MID-CAP VALUE FUND CLASS A B	0.00	5.86	0.00	5.86	50.0 2.93
04/11/2017	75501631	MODES, LOIS		NEW PERSPECTIVE FUND-A B	0.00	6.02	0.00	6.02	50.0 3.01
04/11/2017	75501631	MODES, LOIS		THE HARTFORD MID CAP FUND-A B	0.00	6.34	0.00	6.34	50.0 3.17
04/12/2017	75501631	MODES, LOIS		**IVA FIDUCIARY TR B	0.00	58.31	0.00	58.31	50.0 29.16
04/11/2017	75501632	NESHAMINY VALLEY		HARTFORD FLOATING RATE FUND CLASS C B	0.00	5.47	0.00	5.47	50.0 2.74
04/11/2017	75501633	MODES, VINCENT		**HENDERSON GLOBAL FDS B	0.00	9.22	0.00	9.22	50.0 4.61
04/11/2017	75501633	MODES, VINCENT		AIM INTERNATIONAL SMALL CO FUND- CL B	0.00	6.70	0.00	6.70	50.0 3.35
04/11/2017	75501633	MODES, VINCENT		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	15.73	0.00	15.73	50.0 7.87
04/11/2017	75501633	MODES, VINCENT		EATON VANCE TAX MANAGED VALUE FD CL B	0.00	6.34	0.00	6.34	50.0 3.17
04/11/2017	75501633	MODES, VINCENT		EHV 277911830 B	0.00	14.16	0.00	14.16	50.0 7.08
04/11/2017	75501633	MODES, VINCENT		HARTFORD ADVISERS FUND CLASS A B	0.00	2.10	0.00	2.10	50.0 1.05
04/11/2017	75501633	MODES, VINCENT		INVESCO COMSTOCK FUND CLASS A B	0.00	12.05	0.00	12.05	50.0 6.03
04/11/2017	75501633	MODES, VINCENT		OPPENHEIMERFUNDS 68380G101 B	0.00	9.92	0.00	9.92	50.0 4.96
04/11/2017	75501633	MODES, VINCENT		THE GROWTH FUND OF AMERICA-A B	0.00	7.32	0.00	7.32	50.0 3.66
04/11/2017	75501634	CROPANESE, CAROL		**PRUDENTIAL JENNISON NATURAL B	0.00	10.83	0.00	10.83	50.0 5.42
04/11/2017	75501634	CROPANESE, CAROL		HARTFORD MUTUAL FUNDS INC DIVIDEND B	0.00	12.44	0.00	12.44	50.0 6.22
04/11/2017	75501634	CROPANESE, CAROL		QUEST OPPORTUNITY VALUE A B	0.00	0.21	0.00	0.21	50.0 0.00
04/11/2017	75501634	CROPANESE, CAROL		THE HARTFORD MID CAP FUND-C B	0.00	15.76	0.00	15.76	50.0 7.88
04/11/2017	75501635	CROPANESE, CAROL		BLACKROCK CAP APPRECIATION FD INC C B	0.00	2.44	0.00	2.44	50.0 1.22
04/11/2017	75501635	CROPANESE, CAROL		BLACKROCK GLOBAL ALLOCATION FD INC B	0.00	11.52	0.00	11.52	50.0 5.76
04/11/2017	75501635	CROPANESE, CAROL		EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	7.30	0.00	7.30	50.0 3.65
04/11/2017	75501635	CROPANESE, CAROL		EHV 277911772 B	0.00	1.62	0.00	1.62	50.0 0.81
04/11/2017	75501635	CROPANESE, CAROL		IVY ASSET STRATEGY FD CL C B	0.00	9.93	0.00	9.93	50.0 4.97
04/26/2017	75501635	CROPANESE, CAROL		**VICTORY PORTFOLIOS B	0.00	5.74	0.00	5.74	50.0 2.87
04/11/2017	75501636	URQUHART, THOMAS		FIRST EAGLE GLOBAL FUND CLASS C B	0.00	69.42	0.00	69.42	50.0 34.71
04/11/2017	75501637	ROTHSTEIN, HARRIET		LORD ABBETT SHORT DURATION INCOME F B	0.00	1.87	0.00	1.87	50.0 0.94
04/11/2017	75501637	ROTHSTEIN, HARRIET		SHORT-TERM BOND FUND OF AMERICA - A B	0.00	1.43	0.00	1.43	50.0 0.72
04/11/2017	75501637	ROTHSTEIN, HARRIET		STRATEGIC INCOME A B	0.00	3.39	0.00	3.39	50.0 1.70
04/11/2017	75501638	CROPANESE,		**AMG MANAGERS CADENCE MID CAP B	0.00	3.70	0.00	3.70	50.0 1.85
04/11/2017	75501638	CROPANESE,		**PRUDENTIAL JENNISON NATURAL B	0.00	8.66	0.00	8.66	50.0 4.33
04/11/2017	75501638	CROPANESE,		EATON VANCE TAX MANAGED GROWTH FUND B	0.00	2.88	0.00	2.88	50.0 1.44
04/11/2017	75501638	CROPANESE,		HARTFORD MUTUAL FUNDS INC DIVIDEND B	0.00	9.29	0.00	9.29	50.0 4.65
04/11/2017	75501638	CROPANESE,		QUEST OPPORTUNITY VALUE A B	0.00	6.07	0.00	6.07	50.0 3.04

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/11/2017	75501638	CROPANESE,	SHORT-TERM BOND FUND OF AMERICA - A B	0.00	1.98	0.00	1.98	50.0	0.99
04/11/2017	75501638	CROPANESE,	THE HARTFORD MID CAP FUND-C B	0.00	11.78	0.00	11.78	50.0	5.89
04/11/2017	75501639	CONNOLLY, EDWARD	AIM CHARTER FUND - CLASS A B	0.00	2.42	0.00	2.42	50.0	1.21
04/11/2017	75501639	CONNOLLY, EDWARD	ALLIANCEBERNSTEIN LARGE-CAP GROWTH B	0.00	0.82	0.00	0.82	50.0	0.00
04/11/2017	75501639	CONNOLLY, EDWARD	BLACKROCK HEALTH SCIENCES OPPORTUNI B	0.00	4.30	0.00	4.30	50.0	2.15
04/11/2017	75501639	CONNOLLY, EDWARD	FIDELITY ADVISOR FUNDS 315918474 B	0.00	3.46	0.00	3.46	50.0	1.73
04/11/2017	75501639	CONNOLLY, EDWARD	FIRST EAGLE GLOBAL FUND CLASS C B	0.00	13.34	0.00	13.34	50.0	6.67
04/11/2017	75501639	CONNOLLY, EDWARD	HARTFORD ADVISERS FUND CLASS A B	0.00	1.42	0.00	1.42	50.0	0.71
04/11/2017	75501639	CONNOLLY, EDWARD	THE HARTFORD DIVIDEND & GROWTH FUND B	0.00	0.83	0.00	0.83	50.0	0.00
04/11/2017	75501640	ROTHSTEIN, JOEL	FUNDAMENTAL INVESTORS-A B	0.00	4.26	0.00	4.26	50.0	2.13
04/11/2017	75501640	ROTHSTEIN, JOEL	INVESCO COMSTOCK FUND CLASS A B	0.00	6.15	0.00	6.15	50.0	3.08
04/11/2017	75501640	ROTHSTEIN, JOEL	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	3.91	0.00	3.91	50.0	1.96
04/11/2017	75501640	ROTHSTEIN, JOEL	WASHINGTON MUTUAL INVESTORS FUND-A B	0.00	5.71	0.00	5.71	50.0	2.86
04/11/2017	75501643	CONNOLLY, MARCELLA	ALLIANZ NFJ DIVIDEND VALUE FUND CLA B	0.00	2.21	0.00	2.21	50.0	1.11
04/11/2017	75501643	CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A B	0.00	1.82	0.00	1.82	50.0	0.91
04/11/2017	75501643	CONNOLLY, MARCELLA	THE HARTFORD MID CAP FUND-A B	0.00	2.08	0.00	2.08	50.0	1.04
04/11/2017	75501643	CONNOLLY, MARCELLA	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	2.32	0.00	2.32	50.0	1.16
04/12/2017	75501643	CONNOLLY, MARCELLA	**IVA FIDUCIARY TR B	0.00	17.98	0.00	17.98	50.0	8.99
04/11/2017	75501645	CONNOLLY, MARCELLA	AMERICAN MUTUAL FUND-A B	0.00	10.43	0.00	10.43	50.0	5.22
04/11/2017	75501645	CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A B	0.00	0.99	0.00	0.99	50.0	0.00
04/11/2017	75501645	CONNOLLY, MARCELLA	QUEST OPPORTUNITY VALUE A B	0.00	1.07	0.00	1.07	50.0	0.54
04/12/2017	75501645	CONNOLLY, MARCELLA	**IVA FIDUCIARY TR B	0.00	20.81	0.00	20.81	50.0	10.41
04/11/2017	75501646	DLUGOSZ, PATRICIA	INVESCO COMSTOCK FUND CLASS A B	0.00	8.39	0.00	8.39	50.0	4.20
04/11/2017	75501646	DLUGOSZ, PATRICIA	THE HARTFORD DIVIDEND & GROWTH FUND B	0.00	2.37	0.00	2.37	50.0	1.19
04/11/2017	75501648	GINSBURG, JANICE	EATON VANCE LARGE CAP VALUE FUND CL B	0.00	0.28	0.00	0.28	50.0	0.00
04/11/2017	75501648	GINSBURG, JANICE	EATON VANCE UTILITIES FUND CLASS A B	0.00	2.18	0.00	2.18	50.0	1.09
04/11/2017	75501648	GINSBURG, JANICE	MIDCAP GROWTH - CLASS A B	0.00	1.35	0.00	1.35	50.0	0.68
04/11/2017	75501650	MODES, VINCENT	CAPITAL INCOME BUILDER-A B	0.00	12.37	0.00	12.37	50.0	6.19
04/11/2017	75501650	MODES, VINCENT	DAVIS NEW YORK VENTURE CLASS C B	0.00	15.72	0.00	15.72	50.0	7.86
04/11/2017	75501650	MODES, VINCENT	LORD ABBETT RESEARCH FUND INC-SMALL B	0.00	7.22	0.00	7.22	50.0	3.61
04/11/2017	75501650	MODES, VINCENT	LORD ABBETT CALIBRATED DIVIDEND GRO B	0.00	13.48	0.00	13.48	50.0	6.74
04/11/2017	75501650	MODES, VINCENT	LORD ABBETT MULTI ASSET BALANCED OP B	0.00	15.91	0.00	15.91	50.0	7.96
04/11/2017	75501650	MODES, VINCENT	LORD ABBETT AFFILIATED FUND CLASS A B	0.00	8.61	0.00	8.61	50.0	4.31
04/11/2017	75501650	MODES, VINCENT	NEW PERSPECTIVE FUND-A B	0.00	3.55	0.00	3.55	50.0	1.78
04/11/2017	75501650	MODES, VINCENT	OPPENHEIMER DEVELOPING MARKETS CLAS B	0.00	1.06	0.00	1.06	50.0	0.53
04/11/2017	75501650	MODES, VINCENT	QUEST VALUE A B	0.00	2.55	0.00	2.55	50.0	1.28
04/11/2017	75501650	MODES, VINCENT	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	4.36	0.00	4.36	50.0	2.18
04/11/2017	75501652	DLUGOSZ, JOHN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA B	0.00	2.86	0.00	2.86	50.0	1.43
04/11/2017	75501652	DLUGOSZ, JOHN	AMERICAN MUTUAL FUND-A B	0.00	14.12	0.00	14.12	50.0	7.06
04/11/2017	75501652	DLUGOSZ, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	7.63	0.00	7.63	50.0	3.82

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/11/2017	75501652	DLUGOSZ, JOHN	EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	18.45	0.00	18.45	50.0	9.23
04/11/2017	75501652	DLUGOSZ, JOHN	GLOBAL FUND A B	0.00	1.90	0.00	1.90	50.0	0.95
04/11/2017	75501652	DLUGOSZ, JOHN	NEW WORLD FUND-A B	0.00	2.61	0.00	2.61	50.0	1.31
04/11/2017	75501652	DLUGOSZ, JOHN	THE GROWTH FUND OF AMERICA-A B	0.00	2.01	0.00	2.01	50.0	1.01
04/11/2017	75501652	DLUGOSZ, JOHN	THE HARTFORD CAPITAL APPRECIATION F B	0.00	3.76	0.00	3.76	50.0	1.88
04/11/2017	75501652	DLUGOSZ, JOHN	THE HARTFORD MID CAP FUND-A B	0.00	3.62	0.00	3.62	50.0	1.81
04/11/2017	75501657	DLUGOSZ, JOHN	AMERICAN HIGH-INCOME TRUST-A B	0.00	2.68	0.00	2.68	50.0	1.34
04/11/2017	75501657	DLUGOSZ, JOHN	EATON VANCE TAX- MANAGED EQUITY ASS B	0.00	8.26	0.00	8.26	50.0	4.13
04/11/2017	75501657	DLUGOSZ, JOHN	EHV 277902813 B	0.00	1.75	0.00	1.75	50.0	0.88
04/11/2017	75501657	DLUGOSZ, JOHN	MAINSTAY HIGH-YIELD CORPORATE BOND B	0.00	2.82	0.00	2.82	50.0	1.41
04/11/2017	75501658	TANNENBAUM, ARLENE	BLACKROCK GLOBAL ALLOCATION FD INC B	0.00	14.60	0.00	14.60	50.0	7.30
04/11/2017	75501658	TANNENBAUM, ARLENE	EATON VANCE LARGE CAP VALUE FUND CL B	0.00	1.40	0.00	1.40	50.0	0.70
04/11/2017	75501658	TANNENBAUM, ARLENE	FUNDAMENTAL INVESTORS-A B	0.00	3.26	0.00	3.26	50.0	1.63
04/11/2017	75501658	TANNENBAUM, ARLENE	IVY ASSET STRATEGY FD CL C B	0.00	13.24	0.00	13.24	50.0	6.62
04/11/2017	75501658	TANNENBAUM, ARLENE	OPPENHEIMER GLOBAL CLASS C B	0.00	19.43	0.00	19.43	50.0	9.72
04/11/2017	75501660	ABEL, STACEY	**PRUDENTIAL JENNISON 20/20 B	0.00	12.93	0.00	12.93	50.0	6.47
04/11/2017	75501660	ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL B	0.00	6.65	0.00	6.65	50.0	3.33
04/11/2017	75501660	ABEL, STACEY	**PRUDENTIAL NATIONAL MUNI B	0.00	10.16	0.00	10.16	50.0	5.08
04/11/2017	75501660	ABEL, STACEY	COLUMBIA SELIGMAN COMMUNICATIONS AN B	0.00	2.83	0.00	2.83	50.0	1.42
04/11/2017	75501660	ABEL, STACEY	EATON VANCE LARGE CAP VALUE FUND CL B	0.00	8.72	0.00	8.72	50.0	4.36
04/11/2017	75501660	ABEL, STACEY	EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	10.63	0.00	10.63	50.0	5.32
04/11/2017	75501660	ABEL, STACEY	EHV 277902813 B	0.00	5.92	0.00	5.92	50.0	2.96
04/11/2017	75501660	ABEL, STACEY	EUROPACIFIC GROWTH FUND CLASS F B	0.00	2.80	0.00	2.80	50.0	1.40
04/11/2017	75501660	ABEL, STACEY	FUNDAMENTAL INVESTORS FUND CLASS F B	0.00	7.66	0.00	7.66	50.0	3.83
04/11/2017	75501660	ABEL, STACEY	IVY ASSET STRATEGY FD CL C B	0.00	19.72	0.00	19.72	50.0	9.86
04/11/2017	75501660	ABEL, STACEY	OPPENHEIMER SMALL & MID CAP VALUE F B	0.00	3.58	0.00	3.58	50.0	1.79
04/11/2017	75501660	ABEL, STACEY	OPPENHEIMER DEVELOPING MARKETS FUND B	0.00	2.90	0.00	2.90	50.0	1.45
04/11/2017	75501660	ABEL, STACEY	PIMCO REAL RETURN FUND (A) B	0.00	5.04	0.00	5.04	50.0	2.52
04/11/2017	75501660	ABEL, STACEY	PIMCO SHORT TERM FUND-CL C B	0.00	14.07	0.00	14.07	50.0	7.04
04/11/2017	75501660	ABEL, STACEY	PIMCO TOTAL RETURN CLASS A B	0.00	5.84	0.00	5.84	50.0	2.92
04/11/2017	75501660	ABEL, STACEY	THORNBURG INVT TR INTL VALUE FD CL B	0.00	10.18	0.00	10.18	50.0	5.09
04/12/2017	75501660	ABEL, STACEY	**IVA FIDUCIARY TR B	0.00	65.60	0.00	65.60	50.0	32.80
04/26/2017	75501660	ABEL, STACEY	**VICTORY PORTFOLIOS B	0.00	1.93	0.00	1.93	50.0	0.97
04/11/2017	75501661	ABEL, STACEY	BLACKROCK GLOBAL ALLOCATION FUND IN B	0.00	1.50	0.00	1.50	50.0	0.75
04/11/2017	75501662	LOWENSTEIN, ALLAN	EATON VANCE TAX- MANAGED EQUITY ASS B	0.00	12.07	0.00	12.07	50.0	6.04
04/11/2017	75501662	LOWENSTEIN, ALLAN	LORD ABBETT AFFILIATED FUND CLASS A B	0.00	4.47	0.00	4.47	50.0	2.24
04/11/2017	75501747	STAUFFER, JUDITH	EATON VANCE UTILITIES FUND CLASS A B	0.00	4.08	0.00	4.08	50.0	2.04
04/11/2017	75501748	STAUFFER, JUDITH	MFS INTERNATIONAL VALUE FUND-A B	0.00	1.07	0.00	1.07	50.0	0.54
04/11/2017	75501750	STAUFFER, ROBERT	MFS INTERNATIONAL VALUE FUND-A B	0.00	1.27	0.00	1.27	50.0	0.64
04/11/2017	75501812	HALL, RUTH	INTERMEDIATE BOND FUND OF AMERICA-A B	0.00	3.36	0.00	3.36	50.0	1.68

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										
04/11/2017	75501825	SEPTIEN, ALFREDO	**GUGGENHEIM FDS TR	B	0.00	0.72	0.00	0.72	50.0	0.00
04/11/2017	75501825	SEPTIEN, ALFREDO	**PRUDENTIAL JENNISON 20/20	B	0.00	0.82	0.00	0.82	50.0	0.00
04/11/2017	75501825	SEPTIEN, ALFREDO	CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	1.37	0.00	1.37	50.0	0.69
04/11/2017	75501825	SEPTIEN, ALFREDO	NEW WORLD FUND-B	B	0.00	1.03	0.00	1.03	50.0	0.52
04/11/2017	75501836	FARKAS, RONALD	LOOMIS SAYLES GLOBAL BOND FUND RETA	B	0.00	3.84	0.00	3.84	50.0	1.92
04/11/2017	75501847	GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	0.79	0.00	0.79	50.0	0.00
04/11/2017	75501847	GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	B	0.00	0.99	0.00	0.99	50.0	0.00
04/11/2017	75501848	JONAS, HILDA	JOHN HANCOCK FDS III JHF III SMALL	B	0.00	1.22	0.00	1.22	50.0	0.61
04/11/2017	75501853	FARKAS, RONALD	BLACKROCK MULTI ST MUN SER TR PA MU	B	0.00	2.37	0.00	2.37	50.0	1.19
04/11/2017	75501868	ZEGEN, LOUIS	AMERICAN MUTUAL FUND-A	B	0.00	28.72	0.00	28.72	50.0	14.36
04/11/2017	75501868	ZEGEN, LOUIS	GLOBAL FUND A	B	0.00	4.45	0.00	4.45	50.0	2.23
04/11/2017	75501868	ZEGEN, LOUIS	THE INCOME FUND OF AMERICA-A	B	0.00	14.77	0.00	14.77	50.0	7.39
04/12/2017	75501894	TREICHLER, BETTY	**IVA FIDUCIARY TR	B	0.00	16.13	0.00	16.13	50.0	8.07
04/11/2017	75501896	BLUM, STACEY	THE HARTFORD MID CAP FUND-A	B	0.00	2.46	0.00	2.46	50.0	1.23
04/11/2017	75501897	KULL, MARY	**PRUDENTIAL GLOBAL REAL	B	0.00	1.98	0.00	1.98	50.0	0.99
04/11/2017	75501897	KULL, MARY	**PRUDENTIAL JENNISON NATURAL	B	0.00	1.25	0.00	1.25	50.0	0.63
04/11/2017	75501897	KULL, MARY	**PRUDENTIAL JENNISON HEALTH	B	0.00	4.67	0.00	4.67	50.0	2.34
04/11/2017	75501897	KULL, MARY	**PRUDENTIAL JENNISON UTILITY	B	0.00	5.58	0.00	5.58	50.0	2.79
04/11/2017	75501898	LIBOVE, MICHAEL	FIDELITY ADVISOR SMALL CAP FUND CLA	B	0.00	4.82	0.00	4.82	50.0	2.41
04/11/2017	75501898	LIBOVE, MICHAEL	THE INCOME FUND OF AMERICA-A	B	0.00	0.62	0.00	0.62	50.0	0.00
04/11/2017	75501899	O'NEILL, LINDA	**AMG MANAGERS CADENCE MID CAP	B	0.00	4.85	0.00	4.85	50.0	2.43
04/11/2017	75501899	O'NEILL, LINDA	**PRUDENTIAL JENNISON 20/20	B	0.00	4.21	0.00	4.21	50.0	2.11
04/11/2017	75501899	O'NEILL, LINDA	AIM CHARTER FUND - CLASS A	B	0.00	7.51	0.00	7.51	50.0	3.76
04/11/2017	75501899	O'NEILL, LINDA	AIM ENERGY FUND - CLASS A	B	0.00	4.98	0.00	4.98	50.0	2.49
04/11/2017	75501899	O'NEILL, LINDA	CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	2.64	0.00	2.64	50.0	1.32
04/11/2017	75501899	O'NEILL, LINDA	INVESCO COMSTOCK FUND CLASS A	B	0.00	32.73	0.00	32.73	50.0	16.37
04/11/2017	75501899	O'NEILL, LINDA	INVESCO GROWTH AND INCOME FUND CL A	B	0.00	8.25	0.00	8.25	50.0	4.13
04/11/2017	75501899	O'NEILL, LINDA	NEW PERSPECTIVE FUND-A	B	0.00	10.02	0.00	10.02	50.0	5.01
04/11/2017	75501899	O'NEILL, LINDA	NEW WORLD FUND-A	B	0.00	2.56	0.00	2.56	50.0	1.28
04/11/2017	75501899	O'NEILL, LINDA	OPPENHEIMER DEVELOPING MARKETS CLAS	B	0.00	2.36	0.00	2.36	50.0	1.18
04/11/2017	75501899	O'NEILL, LINDA	THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	3.01	0.00	3.01	50.0	1.51
04/12/2017	75501899	O'NEILL, LINDA	**IVA FIDUCIARY TR	B	0.00	52.58	0.00	52.58	50.0	26.29
04/11/2017	75501902	ARMSTRONG, AMANDA	**HENDERSON INTERNATIONAL	B	0.00	1.07	0.00	1.07	50.0	0.54
04/11/2017	75501902	ARMSTRONG, AMANDA	ALLIANZ NFJ LARGE CAP VALUE FUND CL	B	0.00	1.20	0.00	1.20	50.0	0.60
04/11/2017	75501902	ARMSTRONG, AMANDA	TEMP GLOBAL BOND FND - CL A	B	0.00	1.07	0.00	1.07	50.0	0.54
04/11/2017	75501902	ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A	B	0.00	0.91	0.00	0.91	50.0	0.00
04/11/2017	75501902	ARMSTRONG, AMANDA	THE HARTFORD MID CAP FUND-A	B	0.00	5.69	0.00	5.69	50.0	2.85
04/11/2017	75501902	ARMSTRONG, AMANDA	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	2.24	0.00	2.24	50.0	1.12
04/26/2017	75501902	ARMSTRONG, AMANDA	**VICTORY PORTFOLIOS	B	0.00	0.82	0.00	0.82	50.0	0.00
04/11/2017	75501903	ARMSTRONG, AMANDA	**GUGGENHEIM FDS TR	B	0.00	1.60	0.00	1.60	50.0	0.80

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										
04/11/2017	75501903	ARMSTRONG, AMANDA	EUROPACIFIC GROWTH FUND-A	B	0.00	1.34	0.00	1.34	50.0	0.67
04/11/2017	75501903	ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A	B	0.00	2.05	0.00	2.05	50.0	1.03
04/11/2017	75501905	TANCREDI, NICHOLAS	CAPITAL INCOME A	B	0.00	2.18	0.00	2.18	50.0	1.09
04/11/2017	75501905	TANCREDI, NICHOLAS	GLOBAL FUND A	B	0.00	1.41	0.00	1.41	50.0	0.71
04/11/2017	75501905	TANCREDI, NICHOLAS	GLOBAL OPPORTUNITIES A	B	0.00	4.09	0.00	4.09	50.0	2.05
04/11/2017	75501905	TANCREDI, NICHOLAS	LORD ABBETT INVT TR TOTAL RETURN FU B		0.00	0.92	0.00	0.92	50.0	0.00
04/11/2017	75501905	TANCREDI, NICHOLAS	OPPENHEIMER 68380L100	B	0.00	1.29	0.00	1.29	50.0	0.65
04/11/2017	75501905	TANCREDI, NICHOLAS	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	2.34	0.00	2.34	50.0	1.17
04/11/2017	75501905	TANCREDI, NICHOLAS	THE HARTFORD CAPITAL APPRECIATION F B		0.00	2.47	0.00	2.47	50.0	1.24
04/11/2017	75501905	TANCREDI, NICHOLAS	THE HARTFORD FLOATING RATE FUND - A B		0.00	1.52	0.00	1.52	50.0	0.76
04/12/2017	75501905	TANCREDI, NICHOLAS	**IVA FIDUCIARY TR	B	0.00	45.55	0.00	45.55	50.0	22.78
04/11/2017	75501921	TANCREDI, NICHOLAS	INVESCO COMSTOCK FUND CLASS A	B	0.00	2.64	0.00	2.64	50.0	1.32
04/11/2017	75501965	JACKSON, ROSALYN	**GUGGENHEIM FDS TR	B	0.00	2.02	0.00	2.02	50.0	1.01
04/11/2017	75501965	JACKSON, ROSALYN	DAVIS NEW YORK VENTURE CLASS A	B	0.00	1.08	0.00	1.08	50.0	0.54
04/11/2017	75501965	JACKSON, ROSALYN	FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	17.02	0.00	17.02	50.0	8.51
04/11/2017	75501995	SEPTIEN, ALEC	**GUGGENHEIM FDS TR	B	0.00	0.54	0.00	0.54	50.0	0.00
04/11/2017	75501995	SEPTIEN, ALEC	NEW WORLD FUND-A	B	0.00	0.75	0.00	0.75	50.0	0.00
04/11/2017	75502077	GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	7.90	0.00	7.90	50.0	3.95
04/11/2017	75502077	GINSBURG, VIVIAN	EATON VANCE LARGE CAP VALUE FUND CL B		0.00	1.40	0.00	1.40	50.0	0.70
04/11/2017	75502077	GINSBURG, VIVIAN	EATON VANCE NATIONAL MUNICIPAL FUND B		0.00	7.99	0.00	7.99	50.0	4.00
04/11/2017	75502077	GINSBURG, VIVIAN	FRK FL TF INC FND - CL A	B	0.00	3.54	0.00	3.54	50.0	1.77
04/11/2017	75502077	GINSBURG, VIVIAN	HIGH YIELD A	B	0.00	3.28	0.00	3.28	50.0	1.64
04/11/2017	75502077	GINSBURG, VIVIAN	INCOME FUND AMER INC CL F1	B	0.00	10.24	0.00	10.24	50.0	5.12
04/11/2017	75502077	GINSBURG, VIVIAN	MFS HIGH-YIELD OPPORTUNITIES FUND C B		0.00	0.88	0.00	0.88	50.0	0.00
04/11/2017	75502077	GINSBURG, VIVIAN	PIMCO COMMODITY REAL RETURN STRATEG B		0.00	1.12	0.00	1.12	50.0	0.56
04/11/2017	75502077	GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	B	0.00	2.46	0.00	2.46	50.0	1.23
04/11/2017	75502084	TREICHLER, CHARLES	ALLIANZ NFJ LARGE CAP VALUE FUND CL B		0.00	2.52	0.00	2.52	50.0	1.26
04/11/2017	75502084	TREICHLER, CHARLES	SHORT-TERM BOND FUND OF AMERICA - A B		0.00	0.61	0.00	0.61	50.0	0.00
04/12/2017	75502084	TREICHLER, CHARLES	**IVA FIDUCIARY TR	B	0.00	28.38	0.00	28.38	50.0	14.19
04/11/2017	75502085	GINSBURG, JANICE	**PRUDENTIAL JENNISON 20/20	B	0.00	1.77	0.00	1.77	50.0	0.89
04/11/2017	75502085	GINSBURG, JANICE	MAINSTAY MAP FUND A	B	0.00	1.73	0.00	1.73	50.0	0.87
04/11/2017	75502085	GINSBURG, JANICE	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	1.01	0.00	1.01	50.0	0.51
04/26/2017	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	\$1,835.43	\$0.00	\$1,835.43		\$909.94
*** BROKER TRANSACTIONS TOTAL ***					\$34,265.24	\$11,283.63	\$0.00	\$11,283.63		\$5,634.08

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

04/30/2017		OTHER: OTHER-RBC CHARGES ON ADVISOR		0.00	0.00	0.00	0.00		-562.00
04/30/2017		OTHER: OTHER-REIMBURSEMENT OF 12BA		0.00	0.00	0.00	0.00		-51.78
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-613.78

BROKER COMMISSION TOTALS

Broker Transactions	\$5,634.08
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-613.78
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-14.10
SIPC Assessment	\$-211.57

Check Amount	\$4,794.63
Year-to-date Earnings	\$6,755.24