

COMMISSION STATEMENT

November 30, 2017

JANICE GINSBURG
100 AQUEDUCT DRIVE

BROKER #: 35
BRANCH: HOME OFFICE

NORTH WALES, PA 19454

COMMISSION STATEMENT for JANICE GINSBURG

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

11/10/2017	75501483 SPILLER, HELEN	**GUGGENHEIM FDS TR	S	500.00	0.00	0.00	0.00	50.0	0.00
11/20/2017	75501879 LIBOVE, MICHAEL	IVY ASSET STRATEGY I	S	13,303.68	0.00	0.00	0.00	50.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$13,803.68	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

11/20/2017	75501879 LIBOVE, MICHAEL	FORD MOTOR CO PAR \$0.01	B	6,069.50	0.00	0.00	0.00	50.0	0.00
11/20/2017	75501879 LIBOVE, MICHAEL	PROSHARES TRUST PROSHARES SHORT S&P S	S	9,388.02	0.00	0.00	0.00	50.0	0.00
11/20/2017	75501879 LIBOVE, MICHAEL	VEOLIA ENVIRONNEMENT ADR	S	2,546.54	0.00	0.00	0.00	50.0	0.00
11/20/2017	75501898 LIBOVE, MICHAEL	ALPS ETF TR ALERIAN MLP	S	2,558.55	100.97	0.00	100.97	50.0	50.49
11/20/2017	75501898 LIBOVE, MICHAEL	EATON VANCE TAX-MANAGED GLOBAL BUY- S	S	1,778.01	70.43	0.00	70.43	50.0	35.22
11/20/2017	75501898 LIBOVE, MICHAEL	EATON VANCE TAX MANAGD GLBL DIVERSI S	S	2,323.35	97.10	0.00	97.10	50.0	48.55
11/20/2017	75501898 LIBOVE, MICHAEL	EATON VANCE TAX MANAGED BUY WRITE O S	S	2,278.79	81.09	0.00	81.09	50.0	40.55
11/20/2017	75501898 LIBOVE, MICHAEL	VERU INC COMMON STOCK	S	585.05	50.00	0.00	50.00	50.0	25.00
* STOCKS SUBTOTAL *				\$27,527.81	\$399.59	\$0.00	\$399.59		\$199.81

PRODUCT CATEGORY: VARIABLE ANNUITIES

11/30/2017 (None)	VARIOUS, GINSBURG	JACKSON	B	0.00	118.91	0.00	118.91	50.0	59.46
11/30/2017 (None)	VARIOUS, GINSBURG	LINCOLN	B	0.00	24.42	0.00	24.42	50.0	12.21
* VARIABLE ANNUITIES SUBTOTAL *				\$0.00	\$143.33	\$0.00	\$143.33		\$71.67

PRODUCT CATEGORY: MISCELLANEOUS

11/30/2017	VARIOUS, GINSBURG	RBC ADVISORY INCOME	B	0.00	3,317.33	0.00	3,317.33	50.0	1,658.67
* MISCELLANEOUS SUBTOTAL *				\$0.00	\$3,317.33	\$0.00	\$3,317.33		\$1,658.67

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/31/2017	000000006009116	VARIOUS, FRANKLIN-523	B	0.00	6.70	0.00	6.70	50.0	3.35
10/31/2017	000000006009116	VARIOUS, FRANKLIN-645769647	B	0.00	1.13	0.00	1.13	50.0	0.57
10/31/2017	000000006231218	VARIOUS, FRANKLIN-645769688	B	0.00	1.17	0.00	1.17	50.0	0.59
10/31/2017	000000006231218	VARIOUS, FRANKLIN537	B	0.00	6.91	0.00	6.91	50.0	3.46
11/09/2017	75501483 SPILLER, HELEN	**GUGGENHEIM FDS TR	B	0.00	2.01	0.00	2.01	50.0	1.01
11/09/2017	75501483 SPILLER, HELEN	AMERICAN BALANCED FUND-A	B	0.00	3.67	0.00	3.67	50.0	1.84
11/09/2017	75501483 SPILLER, HELEN	BOND-DEBENTURE FUND CLASS A	B	0.00	1.13	0.00	1.13	50.0	0.57

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
11/09/2017	75501483	SPILLER, HELEN		PUTNAM 746745108	B	0.00	0.10	0.00	0.10 50.0 0.00
11/09/2017	75501483	SPILLER, HELEN		THE INCOME FUND OF AMERICA-A	B	0.00	4.30	0.00	4.30 50.0 2.15
11/09/2017	75501504	LERNER, JOAN		U.S. GOVERNMENT SECURITIES FUND CLA B	B	0.00	2.32	0.00	2.32 50.0 1.16
11/09/2017	75501505	LERNER, JOAN		AMERICAN HIGH-INCOME TRUST-A	B	0.00	4.07	0.00	4.07 50.0 2.04
11/09/2017	75501505	LERNER, JOAN		CAPITAL INCOME BUILDER-A	B	0.00	0.72	0.00	0.72 50.0 0.00
11/09/2017	75501505	LERNER, JOAN		CAPITAL WORLD BOND FUND-A	B	0.00	1.82	0.00	1.82 50.0 0.91
11/09/2017	75501505	LERNER, JOAN		THE BOND FUND OF AMERICA-A	B	0.00	4.30	0.00	4.30 50.0 2.15
11/09/2017	75501621	WEXLER, SHEILA		EATON VANCE TAX- MANAGED EQUITY ASS B	B	0.00	14.05	0.00	14.05 50.0 7.03
11/09/2017	75501621	WEXLER, SHEILA		THE HARTFORD CAPITAL APPRECIATION F B	B	0.00	2.18	0.00	2.18 50.0 1.09
11/09/2017	75501621	WEXLER, SHEILA		THE HARTFORD MID CAP FUND-A	B	0.00	3.42	0.00	3.42 50.0 1.71
11/09/2017	75501622	ABEL, STACEY		**PRUDENTIAL JENNISON NATURAL	B	0.00	11.72	0.00	11.72 50.0 5.86
11/09/2017	75501622	ABEL, STACEY		DAVIS NEW YORK VENTURE CLASS A	B	0.00	3.12	0.00	3.12 50.0 1.56
11/09/2017	75501622	ABEL, STACEY		MFS GLOBAL EQUITY FUND-A	B	0.00	2.17	0.00	2.17 50.0 1.09
11/09/2017	75501622	ABEL, STACEY		SHORT-TERM BOND FUND OF AMERICA - A B	B	0.00	0.84	0.00	0.84 50.0 0.00
11/09/2017	75501622	ABEL, STACEY		THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	5.51	0.00	5.51 50.0 2.76
11/09/2017	75501624	ALANCRAIG, SUSAN		**GABELLI SRI FUND	B	0.00	11.41	0.00	11.41 50.0 5.71
11/09/2017	75501624	ALANCRAIG, SUSAN		CALVERT EQUITY PORTFOLIO CL C	B	0.00	13.26	0.00	13.26 50.0 6.63
11/09/2017	75501626	URQUHART, THOMAS		THE GROWTH FUND OF AMERICA-A	B	0.00	6.07	0.00	6.07 50.0 3.04
11/09/2017	75501627	LEE, T ORIN		**AMG MANAGERS CADENCE MID CAP	B	0.00	1.13	0.00	1.13 50.0 0.57
11/24/2017	75501627	LEE, T ORIN		**VICTORY PORTFOLIOS MUNDER	B	0.00	1.11	0.00	1.11 50.0 0.56
11/09/2017	75501628	MODES, VINCENT		ALL VALUE FUND CLASS A	B	0.00	5.70	0.00	5.70 50.0 2.85
11/09/2017	75501628	MODES, VINCENT		CAPITAL INCOME BUILDER-A	B	0.00	11.18	0.00	11.18 50.0 5.59
11/09/2017	75501628	MODES, VINCENT		CAPITAL WORLD GROWTH AND INCOME FUN B	B	0.00	5.14	0.00	5.14 50.0 2.57
11/09/2017	75501628	MODES, VINCENT		LORD ABBETT CALIBRATED DIVIDEND GRO B	B	0.00	4.73	0.00	4.73 50.0 2.37
11/09/2017	75501628	MODES, VINCENT		LORD ABBETT AFFILIATED FUND CLASS A B	B	0.00	9.08	0.00	9.08 50.0 4.54
11/09/2017	75501628	MODES, VINCENT		MID-CAP VALUE FUND CLASS A	B	0.00	6.73	0.00	6.73 50.0 3.37
11/09/2017	75501628	MODES, VINCENT		NEW PERSPECTIVE FUND-A	B	0.00	9.59	0.00	9.59 50.0 4.80
11/09/2017	75501628	MODES, VINCENT		OPPENHEIMERFUNDS 68380G101	B	0.00	3.12	0.00	3.12 50.0 1.56
11/09/2017	75501628	MODES, VINCENT		THE HARTFORD CAPITAL APPRECIATION F B	B	0.00	9.58	0.00	9.58 50.0 4.79
11/09/2017	75501628	MODES, VINCENT		THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	4.71	0.00	4.71 50.0 2.36
11/09/2017	75501629	INOVATIVE INC		EATON VANCE MUT FDS TR FLTG RATE AD B	B	0.00	10.60	0.00	10.60 50.0 5.30
11/09/2017	75501629	INOVATIVE INC		HARTFORD FLOATING RATE FUND CLASS C B	B	0.00	13.55	0.00	13.55 50.0 6.78
11/09/2017	75501631	MODES, LOIS		LORD ABBETT RESEARCH FUND INC-SMALL B	B	0.00	5.64	0.00	5.64 50.0 2.82
11/09/2017	75501631	MODES, LOIS		LORD ABBETT CALIBRATED DIVIDEND GRO B	B	0.00	6.13	0.00	6.13 50.0 3.07
11/09/2017	75501631	MODES, LOIS		LORD ABBETT AFFILIATED FUND CLASS A B	B	0.00	5.36	0.00	5.36 50.0 2.68
11/09/2017	75501631	MODES, LOIS		MID-CAP VALUE FUND CLASS A	B	0.00	6.02	0.00	6.02 50.0 3.01
11/09/2017	75501631	MODES, LOIS		NEW PERSPECTIVE FUND-A	B	0.00	6.97	0.00	6.97 50.0 3.49
11/09/2017	75501631	MODES, LOIS		THE HARTFORD MID CAP FUND-A	B	0.00	7.05	0.00	7.05 50.0 3.53
11/09/2017	75501632	NESHAMINY VALLEY		HARTFORD FLOATING RATE FUND CLASS C B	B	0.00	5.58	0.00	5.58 50.0 2.79
11/09/2017	75501633	MODES, VINCENT		CAPITAL WORLD GROWTH AND INCOME FUN B	B	0.00	17.66	0.00	17.66 50.0 8.83

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
11/09/2017	75501633	MODES, VINCENT	EATON VANCE TAX MANAGED VALUE FD CL B	0.00	6.79	0.00	6.79	50.0	3.40
11/09/2017	75501633	MODES, VINCENT	EHV 277911830 B	0.00	15.42	0.00	15.42	50.0	7.71
11/09/2017	75501633	MODES, VINCENT	HARTFORD ADVISERS FUND CLASS A B	0.00	2.24	0.00	2.24	50.0	1.12
11/09/2017	75501633	MODES, VINCENT	JANUS INVT FD HENDERSON EURPEAN FCU B	0.00	10.21	0.00	10.21	50.0	5.11
11/09/2017	75501633	MODES, VINCENT	OPPENHEIMERFUNDS 68380G101 B	0.00	11.80	0.00	11.80	50.0	5.90
11/09/2017	75501633	MODES, VINCENT	THE GROWTH FUND OF AMERICA-A B	0.00	8.16	0.00	8.16	50.0	4.08
11/09/2017	75501634	CROPANESE, CAROL	**PRUDENTIAL JENNISON NATURAL B	0.00	10.79	0.00	10.79	50.0	5.40
11/09/2017	75501634	CROPANESE, CAROL	HARTFORD MUTUAL FUNDS INC DIVIDEND B	0.00	13.32	0.00	13.32	50.0	6.66
11/09/2017	75501634	CROPANESE, CAROL	QUEST OPPORTUNITY VALUE A B	0.00	0.21	0.00	0.21	50.0	0.00
11/09/2017	75501634	CROPANESE, CAROL	THE HARTFORD MID CAP FUND-C B	0.00	17.47	0.00	17.47	50.0	8.74
11/09/2017	75501635	CROPANESE, CAROL	BLACKROCK CAP APPRECIATION FD INC C B	0.00	2.81	0.00	2.81	50.0	1.41
11/09/2017	75501635	CROPANESE, CAROL	BLACKROCK GLOBAL ALLOCATION FD INC B	0.00	12.26	0.00	12.26	50.0	6.13
11/09/2017	75501635	CROPANESE, CAROL	EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	7.42	0.00	7.42	50.0	3.71
11/09/2017	75501635	CROPANESE, CAROL	EHV 277911772 B	0.00	1.65	0.00	1.65	50.0	0.83
11/09/2017	75501635	CROPANESE, CAROL	IVY ASSET STRATEGY FD CL C B	0.00	10.77	0.00	10.77	50.0	5.39
11/24/2017	75501635	CROPANESE, CAROL	**VICTORY PORTFOLIOS B	0.00	6.91	0.00	6.91	50.0	3.46
11/09/2017	75501636	URQUHART, THOMAS	FIRST EAGLE GLOBAL FUND CLASS C B	0.00	25.46	0.00	25.46	50.0	12.73
11/09/2017	75501637	ROTHSTEIN, HARRIET	LORD ABBETT SHORT DURATION INCOME F B	0.00	1.90	0.00	1.90	50.0	0.95
11/09/2017	75501637	ROTHSTEIN, HARRIET	SHORT-TERM BOND FUND OF AMERICA - A B	0.00	1.45	0.00	1.45	50.0	0.73
11/09/2017	75501637	ROTHSTEIN, HARRIET	STRATEGIC INCOME A B	0.00	3.49	0.00	3.49	50.0	1.75
11/09/2017	75501638	CROPANESE,	**AMG MANAGERS CADENCE MID CAP B	0.00	4.10	0.00	4.10	50.0	2.05
11/09/2017	75501638	CROPANESE,	**PRUDENTIAL JENNISON NATURAL B	0.00	8.63	0.00	8.63	50.0	4.32
11/09/2017	75501638	CROPANESE,	EATON VANCE TAX MANAGED GROWTH FUND B	0.00	3.13	0.00	3.13	50.0	1.57
11/09/2017	75501638	CROPANESE,	HARTFORD MUTUAL FUNDS INC DIVIDEND B	0.00	9.95	0.00	9.95	50.0	4.98
11/09/2017	75501638	CROPANESE,	QUEST OPPORTUNITY VALUE A B	0.00	6.11	0.00	6.11	50.0	3.06
11/09/2017	75501638	CROPANESE,	SHORT-TERM BOND FUND OF AMERICA - A B	0.00	3.31	0.00	3.31	50.0	1.66
11/09/2017	75501638	CROPANESE,	THE HARTFORD MID CAP FUND-C B	0.00	13.05	0.00	13.05	50.0	6.53
11/09/2017	75501639	CONNOLLY, EDWARD	ALLIANCEBERNSTEIN LARGE-CAP GROWTH B	0.00	0.94	0.00	0.94	50.0	0.00
11/09/2017	75501639	CONNOLLY, EDWARD	BLACKROCK HEALTH SCIENCES OPPORTUNI B	0.00	4.77	0.00	4.77	50.0	2.39
11/09/2017	75501639	CONNOLLY, EDWARD	FIDELITY ADVISOR FUNDS 315918474 B	0.00	3.84	0.00	3.84	50.0	1.92
11/09/2017	75501639	CONNOLLY, EDWARD	FIRST EAGLE GLOBAL FUND CLASS C B	0.00	4.89	0.00	4.89	50.0	2.45
11/09/2017	75501639	CONNOLLY, EDWARD	HARTFORD ADVISERS FUND CLASS A B	0.00	1.51	0.00	1.51	50.0	0.76
11/09/2017	75501639	CONNOLLY, EDWARD	THE HARTFORD DIVIDEND & GROWTH FUND B	0.00	0.89	0.00	0.89	50.0	0.00
11/09/2017	75501640	ROTHSTEIN, JOEL	FUNDAMENTAL INVESTORS-A B	0.00	4.70	0.00	4.70	50.0	2.35
11/09/2017	75501640	ROTHSTEIN, JOEL	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	4.22	0.00	4.22	50.0	2.11
11/09/2017	75501640	ROTHSTEIN, JOEL	WASHINGTON MUTUAL INVESTORS FUND-A B	0.00	6.23	0.00	6.23	50.0	3.12
11/09/2017	75501643	CONNOLLY, MARCELLA	ALLIANZ NFJ DIVIDEND VALUE FUND CLA B	0.00	1.22	0.00	1.22	50.0	0.61
11/09/2017	75501643	CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A B	0.00	2.01	0.00	2.01	50.0	1.01
11/09/2017	75501643	CONNOLLY, MARCELLA	THE HARTFORD MID CAP FUND-A B	0.00	2.32	0.00	2.32	50.0	1.16
11/09/2017	75501643	CONNOLLY, MARCELLA	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	2.51	0.00	2.51	50.0	1.26

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
11/09/2017	75501645 CONNOLLY, MARCELLA	AMERICAN MUTUAL FUND-A	B	0.00	11.23	0.00	11.23	50.0	5.62
11/09/2017	75501645 CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A	B	0.00	1.09	0.00	1.09	50.0	0.55
11/09/2017	75501645 CONNOLLY, MARCELLA	QUEST OPPORTUNITY VALUE A	B	0.00	1.08	0.00	1.08	50.0	0.54
11/09/2017	75501646 DLUGOSZ, PATRICIA	THE HARTFORD DIVIDEND & GROWTH FUND B	B	0.00	2.55	0.00	2.55	50.0	1.28
11/09/2017	75501648 GINSBURG, JANICE	EATON VANCE LARGE CAP VALUE FUND CL B	B	0.00	0.29	0.00	0.29	50.0	0.00
11/09/2017	75501648 GINSBURG, JANICE	EATON VANCE UTILITIES FUND CLASS A B	B	0.00	2.30	0.00	2.30	50.0	1.15
11/09/2017	75501650 MODES, VINCENT	CAPITAL INCOME BUILDER-A	B	0.00	13.30	0.00	13.30	50.0	6.65
11/09/2017	75501650 MODES, VINCENT	DAVIS NEW YORK VENTURE CLASS C	B	0.00	17.31	0.00	17.31	50.0	8.66
11/09/2017	75501650 MODES, VINCENT	LORD ABBETT RESEARCH FUND INC-SMALL B	B	0.00	7.51	0.00	7.51	50.0	3.76
11/09/2017	75501650 MODES, VINCENT	LORD ABBETT CALIBRATED DIVIDEND GRO B	B	0.00	14.47	0.00	14.47	50.0	7.24
11/09/2017	75501650 MODES, VINCENT	LORD ABBETT MULTI ASSET BALANCED OP B	B	0.00	16.70	0.00	16.70	50.0	8.35
11/09/2017	75501650 MODES, VINCENT	LORD ABBETT AFFILIATED FUND CLASS A B	B	0.00	9.11	0.00	9.11	50.0	4.56
11/09/2017	75501650 MODES, VINCENT	NEW PERSPECTIVE FUND-A	B	0.00	4.11	0.00	4.11	50.0	2.06
11/09/2017	75501650 MODES, VINCENT	OPPENHEIMER DEVELOPING MARKETS CLAS B	B	0.00	1.27	0.00	1.27	50.0	0.64
11/09/2017	75501650 MODES, VINCENT	QUEST VALUE A	B	0.00	2.75	0.00	2.75	50.0	1.38
11/09/2017	75501650 MODES, VINCENT	THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	4.71	0.00	4.71	50.0	2.36
11/09/2017	75501652 DLUGOSZ, JOHN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA B	B	0.00	3.07	0.00	3.07	50.0	1.54
11/09/2017	75501652 DLUGOSZ, JOHN	AMERICAN MUTUAL FUND-A	B	0.00	15.19	0.00	15.19	50.0	7.60
11/09/2017	75501652 DLUGOSZ, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN B	B	0.00	8.56	0.00	8.56	50.0	4.28
11/09/2017	75501652 DLUGOSZ, JOHN	EATON VANCE GLOBAL MACRO ABSOLUTE R B	B	0.00	18.85	0.00	18.85	50.0	9.43
11/09/2017	75501652 DLUGOSZ, JOHN	GLOBAL FUND A	B	0.00	2.23	0.00	2.23	50.0	1.12
11/09/2017	75501652 DLUGOSZ, JOHN	NEW WORLD FUND-A	B	0.00	3.06	0.00	3.06	50.0	1.53
11/09/2017	75501652 DLUGOSZ, JOHN	THE GROWTH FUND OF AMERICA-A	B	0.00	2.24	0.00	2.24	50.0	1.12
11/09/2017	75501652 DLUGOSZ, JOHN	THE HARTFORD CAPITAL APPRECIATION F B	B	0.00	4.07	0.00	4.07	50.0	2.04
11/09/2017	75501652 DLUGOSZ, JOHN	THE HARTFORD MID CAP FUND-A	B	0.00	4.02	0.00	4.02	50.0	2.01
11/09/2017	75501657 DLUGOSZ, JOHN	AMERICAN HIGH-INCOME TRUST-A	B	0.00	2.72	0.00	2.72	50.0	1.36
11/09/2017	75501657 DLUGOSZ, JOHN	EATON VANCE TAX- MANAGED EQUITY ASS B	B	0.00	8.95	0.00	8.95	50.0	4.48
11/09/2017	75501657 DLUGOSZ, JOHN	EHV 277902813	B	0.00	1.89	0.00	1.89	50.0	0.95
11/09/2017	75501657 DLUGOSZ, JOHN	MAINSTAY HIGH-YIELD CORPORATE BOND B	B	0.00	2.83	0.00	2.83	50.0	1.42
11/09/2017	75501658 TANNENBAUM, ARLENE	BLACKROCK GLOBAL ALLOCATION FD INC B	B	0.00	15.54	0.00	15.54	50.0	7.77
11/09/2017	75501658 TANNENBAUM, ARLENE	EATON VANCE LARGE CAP VALUE FUND CL B	B	0.00	1.46	0.00	1.46	50.0	0.73
11/09/2017	75501658 TANNENBAUM, ARLENE	FUNDAMENTAL INVESTORS-A	B	0.00	3.54	0.00	3.54	50.0	1.77
11/09/2017	75501658 TANNENBAUM, ARLENE	IVY ASSET STRATEGY FD CL C	B	0.00	14.37	0.00	14.37	50.0	7.19
11/09/2017	75501658 TANNENBAUM, ARLENE	OPPENHEIMER GLOBAL CLASS C	B	0.00	22.79	0.00	22.79	50.0	11.40
11/09/2017	75501660 ABEL, STACEY	**PRUDENTIAL JENNISON 20/20	B	0.00	14.72	0.00	14.72	50.0	7.36
11/09/2017	75501660 ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL	B	0.00	6.63	0.00	6.63	50.0	3.32
11/09/2017	75501660 ABEL, STACEY	**PRUDENTIAL NATIONAL MUNI	B	0.00	10.45	0.00	10.45	50.0	5.23
11/09/2017	75501660 ABEL, STACEY	COLUMBIA SELIGMAN COMMUNICATIONS AN B	B	0.00	3.33	0.00	3.33	50.0	1.67
11/09/2017	75501660 ABEL, STACEY	EATON VANCE LARGE CAP VALUE FUND CL B	B	0.00	9.18	0.00	9.18	50.0	4.59
11/09/2017	75501660 ABEL, STACEY	EATON VANCE GLOBAL MACRO ABSOLUTE R B	B	0.00	10.86	0.00	10.86	50.0	5.43

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>									
11/09/2017	75501660 ABEL, STACEY	EHV 277902813	B	0.00	6.37	0.00	6.37	50.0	3.19
11/09/2017	75501660 ABEL, STACEY	EUROPACIFIC GROWTH FUND CLASS F	B	0.00	3.32	0.00	3.32	50.0	1.66
11/09/2017	75501660 ABEL, STACEY	FUNDAMENTAL INVESTORS FUND CLASS F	B	0.00	8.45	0.00	8.45	50.0	4.23
11/09/2017	75501660 ABEL, STACEY	IVY ASSET STRATEGY FD CL C	B	0.00	21.40	0.00	21.40	50.0	10.70
11/09/2017	75501660 ABEL, STACEY	OPPENHEIMER SMALL & MID CAP VALUE F	B	0.00	3.75	0.00	3.75	50.0	1.88
11/09/2017	75501660 ABEL, STACEY	OPPENHEIMER DEVELOPING MARKETS FUND	B	0.00	3.47	0.00	3.47	50.0	1.74
11/09/2017	75501660 ABEL, STACEY	THORNBURG INVT TR INTL VALUE FD CL	B	0.00	11.75	0.00	11.75	50.0	5.88
11/24/2017	75501660 ABEL, STACEY	**VICTORY PORTFOLIOS	B	0.00	2.14	0.00	2.14	50.0	1.07
11/09/2017	75501661 ABEL, STACEY	BLACKROCK GLOBAL ALLOCATION FUND IN	B	0.00	1.60	0.00	1.60	50.0	0.80
11/09/2017	75501662 LOWENSTEIN, ALLAN	EATON VANCE TAX- MANAGED EQUITY ASS	B	0.00	13.09	0.00	13.09	50.0	6.55
11/09/2017	75501662 LOWENSTEIN, ALLAN	LORD ABBETT AFFILIATED FUND CLASS A	B	0.00	4.65	0.00	4.65	50.0	2.33
11/09/2017	75501747 STAUFFER, JUDITH	EATON VANCE UTILITIES FUND CLASS A	B	0.00	4.39	0.00	4.39	50.0	2.20
11/09/2017	75501748 STAUFFER, JUDITH	MFS INTERNATIONAL VALUE FUND-A	B	0.00	1.23	0.00	1.23	50.0	0.62
11/09/2017	75501750 STAUFFER, ROBERT	MFS INTERNATIONAL VALUE FUND-A	B	0.00	1.45	0.00	1.45	50.0	0.73
11/09/2017	75501812 HALL, RUTH	INTERMEDIATE BOND FUND OF AMERICA-A	B	0.00	3.40	0.00	3.40	50.0	1.70
11/09/2017	75501825 SEPTIEN, ALFREDO	**GUGGENHEIM FDS TR	B	0.00	0.78	0.00	0.78	50.0	0.00
11/09/2017	75501825 SEPTIEN, ALFREDO	**PRUDENTIAL JENNISON 20/20	B	0.00	0.94	0.00	0.94	50.0	0.00
11/09/2017	75501825 SEPTIEN, ALFREDO	CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	1.54	0.00	1.54	50.0	0.77
11/09/2017	75501825 SEPTIEN, ALFREDO	NEW WORLD FUND-A	B	0.00	1.20	0.00	1.20	50.0	0.60
11/09/2017	75501847 GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	0.89	0.00	0.89	50.0	0.00
11/09/2017	75501847 GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	B	0.00	1.11	0.00	1.11	50.0	0.56
11/09/2017	75501848 JONAS, HILDA	JOHN HANCOCK FDS III JHF III SMALL	B	0.00	1.31	0.00	1.31	50.0	0.66
11/09/2017	75501853 FARKAS, RONALD	BLACKROCK MULTI ST MUN SER TR PA MU	B	0.00	2.46	0.00	2.46	50.0	1.23
11/09/2017	75501896 BLUM, STACEY	THE HARTFORD MID CAP FUND-A	B	0.00	2.74	0.00	2.74	50.0	1.37
11/09/2017	75501898 LIBOVE, MICHAEL	FIDELITY ADVISOR SMALL CAP FUND CLA	B	0.00	5.31	0.00	5.31	50.0	2.66
11/09/2017	75501898 LIBOVE, MICHAEL	THE INCOME FUND OF AMERICA-A	B	0.00	0.66	0.00	0.66	50.0	0.00
11/09/2017	75501899 O'NEILL, LINDA	**AMG MANAGERS CADENCE MID CAP	B	0.00	5.36	0.00	5.36	50.0	2.68
11/09/2017	75501899 O'NEILL, LINDA	**PRUDENTIAL JENNISON 20/20	B	0.00	4.81	0.00	4.81	50.0	2.41
11/09/2017	75501899 O'NEILL, LINDA	CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	2.97	0.00	2.97	50.0	1.49
11/09/2017	75501899 O'NEILL, LINDA	NEW PERSPECTIVE FUND-A	B	0.00	11.60	0.00	11.60	50.0	5.80
11/09/2017	75501899 O'NEILL, LINDA	NEW WORLD FUND-A	B	0.00	3.00	0.00	3.00	50.0	1.50
11/09/2017	75501899 O'NEILL, LINDA	OPPENHEIMER DEVELOPING MARKETS CLAS	B	0.00	2.84	0.00	2.84	50.0	1.42
11/09/2017	75501899 O'NEILL, LINDA	THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	3.26	0.00	3.26	50.0	1.63
11/09/2017	75501902 ARMSTRONG, AMANDA	ALLIANZ NFJ LARGE CAP VALUE FUND CL	B	0.00	1.33	0.00	1.33	50.0	0.67
11/09/2017	75501902 ARMSTRONG, AMANDA	JANUS INVT FD HENDERSON INTL OPPTN	B	0.00	1.21	0.00	1.21	50.0	0.61
11/09/2017	75501902 ARMSTRONG, AMANDA	TEMP GLOBAL BOND FND - CL A	B	0.00	1.07	0.00	1.07	50.0	0.54
11/09/2017	75501902 ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A	B	0.00	1.02	0.00	1.02	50.0	0.51
11/09/2017	75501902 ARMSTRONG, AMANDA	THE HARTFORD MID CAP FUND-A	B	0.00	6.33	0.00	6.33	50.0	3.17
11/09/2017	75501902 ARMSTRONG, AMANDA	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	2.45	0.00	2.45	50.0	1.23
11/24/2017	75501902 ARMSTRONG, AMANDA	**VICTORY PORTFOLIOS	B	0.00	0.99	0.00	0.99	50.0	0.00

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
11/09/2017	75501903	ARMSTRONG, AMANDA	**GUGGENHEIM FDS TR	B	0.00	1.70	0.00	1.70	50.0	0.85
11/09/2017	75501903	ARMSTRONG, AMANDA	EUROPACIFIC GROWTH FUND-A	B	0.00	1.59	0.00	1.59	50.0	0.80
11/09/2017	75501903	ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A	B	0.00	2.28	0.00	2.28	50.0	1.14
11/09/2017	75501905	TANCREDI, NICHOLAS	CAPITAL INCOME A	B	0.00	2.25	0.00	2.25	50.0	1.13
11/09/2017	75501905	TANCREDI, NICHOLAS	GLOBAL FUND A	B	0.00	1.67	0.00	1.67	50.0	0.84
11/09/2017	75501905	TANCREDI, NICHOLAS	GLOBAL OPPORTUNITIES A	B	0.00	4.90	0.00	4.90	50.0	2.45
11/09/2017	75501905	TANCREDI, NICHOLAS	LORD ABBETT INVT TR TOTAL RETURN FU B		0.00	0.95	0.00	0.95	50.0	0.00
11/09/2017	75501905	TANCREDI, NICHOLAS	OPPENHEIMER 68380L100	B	0.00	1.50	0.00	1.50	50.0	0.75
11/09/2017	75501905	TANCREDI, NICHOLAS	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	2.81	0.00	2.81	50.0	1.41
11/09/2017	75501905	TANCREDI, NICHOLAS	THE HARTFORD CAPITAL APPRECIATION F B		0.00	2.68	0.00	2.68	50.0	1.34
11/09/2017	75501905	TANCREDI, NICHOLAS	THE HARTFORD FLOATING RATE FUND - A B		0.00	1.55	0.00	1.55	50.0	0.78
11/09/2017	75501965	JACKSON, ROSALYN	**GUGGENHEIM FDS TR	B	0.00	1.03	0.00	1.03	50.0	0.52
11/09/2017	75501965	JACKSON, ROSALYN	DAVIS NEW YORK VENTURE CLASS A	B	0.00	1.19	0.00	1.19	50.0	0.60
11/09/2017	75501965	JACKSON, ROSALYN	FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	6.24	0.00	6.24	50.0	3.12
11/09/2017	75501995	SEPTIEN, ALEC	**GUGGENHEIM FDS TR	B	0.00	0.58	0.00	0.58	50.0	0.00
11/09/2017	75501995	SEPTIEN, ALEC	NEW WORLD FUND-A	B	0.00	0.88	0.00	0.88	50.0	0.00
11/09/2017	75502077	GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	8.86	0.00	8.86	50.0	4.43
11/09/2017	75502077	GINSBURG, VIVIAN	EATON VANCE LARGE CAP VALUE FUND CL B		0.00	1.47	0.00	1.47	50.0	0.74
11/09/2017	75502077	GINSBURG, VIVIAN	EATON VANCE NATIONAL MUNICIPAL FUND B		0.00	8.30	0.00	8.30	50.0	4.15
11/09/2017	75502077	GINSBURG, VIVIAN	FRK FL TF INC FND - CL A	B	0.00	3.57	0.00	3.57	50.0	1.79
11/09/2017	75502077	GINSBURG, VIVIAN	HIGH YIELD A	B	0.00	3.42	0.00	3.42	50.0	1.71
11/09/2017	75502077	GINSBURG, VIVIAN	INCOME FUND AMER INC CL F1	B	0.00	10.93	0.00	10.93	50.0	5.47
11/09/2017	75502077	GINSBURG, VIVIAN	MFS HIGH-YIELD OPPORTUNITIES FUND C B		0.00	0.92	0.00	0.92	50.0	0.00
11/09/2017	75502077	GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	B	0.00	2.74	0.00	2.74	50.0	1.37
11/09/2017	75502084	TREICHLER, CHARLES	ALLIANZ NFJ LARGE CAP VALUE FUND CL B		0.00	2.78	0.00	2.78	50.0	1.39
11/09/2017	75502084	TREICHLER, CHARLES	SHORT-TERM BOND FUND OF AMERICA - A B		0.00	1.02	0.00	1.02	50.0	0.51
11/09/2017	75502085	GINSBURG, JANICE	**PRUDENTIAL JENNISON 20/20	B	0.00	2.03	0.00	2.03	50.0	1.02
11/09/2017	75502085	GINSBURG, JANICE	MAINSTAY MAP FUND A	B	0.00	1.89	0.00	1.89	50.0	0.95
11/09/2017	75502085	GINSBURG, JANICE	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	1.21	0.00	1.21	50.0	0.61
11/24/2017	75502085	GINSBURG, JANICE	**VICTORY PORTFOLIOS MUNDER	B	0.00	1.10	0.00	1.10	50.0	0.55
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$1,071.33	\$0.00	\$1,071.33	\$530.38	
*** BROKER TRANSACTIONS TOTAL ***					\$41,331.49	\$4,931.58	\$0.00	\$4,931.58	\$2,460.53	

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

11/30/2017		OTHER: OTHER-RBC CHARGEW DUE TO ADV		0.00	0.00	0.00	0.00		-296.50
11/30/2017		OTHER: OTHER-TOWER BRIDGE		0.00	0.00	0.00	0.00		-116.76
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-413.26

BROKER COMMISSION TOTALS

Broker Transactions	\$2,460.53
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-413.26
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-2.02
SIPC Assessment	\$-4.04

Check Amount	\$2,041.21
Year-to-date Earnings	\$10,900.25