



COMMISSION STATEMENT

July 16, 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>								
07/05/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063412117	BUY 3 Units @33.9700						
07/05/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063451518	BUY 3 Units @33.9700						
07/02/2018	***-**-539I - JALLOH, ABDULAI	AMCAP FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00084394270	BUY 2 Units @29.2600						
07/03/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	80.0	0.46
	ACCOUNT #: 04000650661	BUY 2 Units @29.1400						
07/02/2018	***-**-975P - COTTONE, MARIA	AMERICAN BALANCED FUND-A	250.00	9.38	0.00	9.38	80.0	7.50
	ACCOUNT #: 00086785798	BUY 9 Units @28.4200						
07/03/2018	***-**-395P - DIVASTA, ANTHONY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00059597416	BUY 2 Units @28.4000						
07/06/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 1 Units @27.3800						
07/06/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @27.3800						
07/02/2018	***-**-984I - DELUCA, SHARI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00064868315	BUY 2 Units @26.9700						
07/02/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	3.63	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @26.9700						
07/02/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 1 Units @26.9700						
07/02/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904181	BUY 0 Units @26.9700						
07/02/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	2.03	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @26.9700						
07/02/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.57	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904210	BUY 0 Units @26.9700						
07/02/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00085904210	BUY 1 Units @26.9700						
07/02/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	80.0	0.96
	ACCOUNT #: 00089910177	BUY 4 Units @26.9700						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
07/02/2018	***-**-255U - LIPPA, HARITINI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000385806	BUY 2 Units @26.9700						
07/03/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	187.00	1.87	0.00	1.87	80.0	1.50
	ACCOUNT #: 00073003754	BUY 7 Units @26.9400						
07/03/2018	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	87.96	0.88	0.00	0.88	80.0	0.70
	ACCOUNT #: 00089244081	BUY 3 Units @26.9400						
07/03/2018	***-**-035S - CAPIZZI, TRACIE	AMERICAN BALANCED FUND-C	37.75	0.38	0.00	0.38	80.0	0.30
	ACCOUNT #: 00089679504	BUY 1 Units @26.9400						
07/05/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	66.77	0.67	0.00	0.67	80.0	0.54
	ACCOUNT #: 00089722785	BUY 2 Units @27.0800						
07/06/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089045192	BUY 1 Units @27.2000						
07/06/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	80.0	0.33
	ACCOUNT #: 00089051066	BUY 2 Units @27.2000						
07/06/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	16.32	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00089051066	BUY 1 Units @27.2000						
07/06/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	16.64	0.17	0.00	0.17	80.0	0.14
	ACCOUNT #: 00089583477	BUY 1 Units @27.2000						
07/02/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	7.58	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 04000820464	BUY 0 Units @18.8500						
07/02/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	45.47	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 04000820464	BUY 2 Units @18.8500						
07/02/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00087236607	BUY 0 Units @10.1100						
07/02/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	80.0	0.84
	ACCOUNT #: 00087236607	BUY 10 Units @10.1100						
07/06/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758347	BUY 1 Units @41.1900						
07/06/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	600.00	6.00	0.00	6.00	80.0	4.80
	ACCOUNT #: 00066759711	BUY 15 Units @41.1900						
07/02/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904181	BUY 0 Units @40.0900						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
07/02/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	1.69	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @40.0900						
07/02/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @40.0900						
07/05/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL INCOME BUILDER CLASS C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085764363	BUY 0 Units @60.3900						
07/02/2018	***-**-975P - COTTONE, MARIA	CAPITAL INCOME BUILDER-A	250.00	9.38	0.00	9.38	80.0	7.50
	ACCOUNT #: 00086785798	BUY 4 Units @62.4600						
07/05/2018	***-**-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 @19.8100						
07/05/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 1 Units @19.8100						
07/02/2018	***-**-048I - DEAN, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00065085393	BUY 10 Units @49.8900						
07/02/2018	***-**-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 @49.8900						
07/02/2018	***-**-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 @49.8900						
07/02/2018	***-**-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 @49.8900						
07/05/2018	***-**-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 @53.9200						
07/05/2018	***-**-1209 - NATALE, KIMBERLY	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085764285	BUY 1 Units @50.2700						
07/05/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085764363	BUY 0 Units @50.2700						
07/06/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00066758344	BUY 0 Units @51.2500						
07/06/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00089045192	BUY 1 Units @50.7000						
07/05/2018	***-**-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00063412117	BUY 1 Units @53.7500						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
07/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @53.7500	66.75	0.80	0.00	0.80	80.0	0.64
07/06/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	EUROPACIFIC GROWTH FUND-A BUY 1 Units @53.4200	28.80	0.29	0.00	0.29	80.0	0.23
07/05/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	FUNDAMENTAL INVESTORS-A BUY 2 Units @63.8300	133.50	1.60	0.00	1.60	80.0	1.28
07/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 2 Units @63.8300	133.50	1.60	0.00	1.60	80.0	1.28
07/06/2018	***-**-495P - HARTER, EDWARD ACCOUNT #: 00066759710	FUNDAMENTAL INVESTORS-A BUY 0 Units @63.3800	25.00	0.25	0.00	0.25	80.0	0.20
07/02/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.2500	2.40	0.02	0.00	0.02	80.0	0.02
07/02/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.2500	9.00	0.09	0.00	0.09	80.0	0.07
07/02/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.2500	2.08	0.02	0.00	0.02	80.0	0.02
07/02/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.2500	18.00	0.18	0.00	0.18	80.0	0.14
07/02/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.2500	5.00	0.05	0.00	0.05	80.0	0.04
07/05/2018	***-**-7625 - PRINCE, ADAM ACCOUNT #: 00085764342	FUNDAMENTAL INVESTORS-C BUY 1 Units @62.5300	50.00	0.50	0.00	0.50	80.0	0.40
07/05/2018	***-**-4392 - GARCIA, MICHELLE ACCOUNT #: 00085764363	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.5300	25.00	0.25	0.00	0.25	80.0	0.20
07/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.0400	20.40	0.20	0.00	0.20	80.0	0.16
07/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.0400	8.16	0.08	0.00	0.08	80.0	0.06
07/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 0 Units @22.3600	1.95	0.02	0.00	0.02	80.0	0.02
07/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 2 Units @22.3600	45.00	0.45	0.00	0.45	80.0	0.36



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
07/02/2018	***-**-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 @39.8900						
07/02/2018	***-**-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 @39.8900						
07/02/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	1.14	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @39.8900						
07/02/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	4.00	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @39.8900						
07/02/2018	***-**-564I - CARNEY, BARBARA	INVESTMENT COMPANY OF AMERICA CLASS	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089563161	BUY 0 Units @39.8900						
07/05/2018	***-**-1209 - NATALE, KIMBERLY	INVESTMENT COMPANY OF AMERICA CLASS	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085764285	BUY 1 Units @40.1800						
07/05/2018	***-**-96CL - SCARPULLA,	INVESTMENT COMPANY OF AMERICA CLASS	50.09	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089722785	BUY 1 Units @40.1800						
07/06/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	16.16	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00089583477	BUY 0 Units @40.5500						
07/05/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063412117	BUY 0 Units @45.7300						
07/05/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 0 Units @45.7300						
07/06/2018	***-**-445P - BURNS, DANIEL	NEW PERSPECTIVE FUND-A	28.80	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00066758346	BUY 1 Units @45.4900						
07/02/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @43.0100						
07/02/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @43.0100						
07/02/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @43.0100						
07/02/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @43.0100						
07/02/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	2.43	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @43.0100						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
07/02/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @43.0100						
07/06/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	8.15	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @43.5400						
07/06/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @43.5400						
07/02/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @62.0600						
07/02/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @62.0600						
07/02/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @62.0600						
07/02/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.43	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @62.0600						
07/02/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @62.0600						
07/02/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @62.0600						
07/09/2018	***-**-20IN - GIANGRECO, TERRY	ROCH. LIMITED TERM NEW YORK MUNICIP	10,003.00	50.01	3.00	47.01	80.0	37.61
	ACCOUNT #: LSR010603	BUY 3461 Units @2.8900						
07/06/2018	***-**-445P - BURNS, DANIEL	SMALLCAP WORLD FUND-A	41.60	0.42	0.00	0.42	80.0	0.34
	ACCOUNT #: 00066758346	BUY 1 Units @58.9400						
07/02/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @50.9100						
07/02/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @50.9100						
07/06/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @51.6400						
07/06/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	8.16	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @51.6400						
07/05/2018	***-**-425P - DELGAIZO, LOUISA	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	80.0	0.42
	ACCOUNT #: 00063412117	BUY 3 Units @12.7500						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
07/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 3 Units @12.7500	44.50	0.53	0.00	0.53	80.0	0.42
07/06/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	THE BOND FUND OF AMERICA-A BUY 2 Units @12.5800	28.80	0.29	0.00	0.29	80.0	0.23
07/02/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 0 Units @12.5400	3.63	0.04	0.00	0.04	80.0	0.03
07/02/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.5400	28.05	0.28	0.00	0.28	80.0	0.22
07/02/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.5400	9.00	0.09	0.00	0.09	80.0	0.07
07/02/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 0 Units @12.5400	3.04	0.03	0.00	0.03	80.0	0.02
07/02/2018	***-**-42IR - ADAMS, GRACE ACCOUNT #: 00073505114	THE GROWTH FUND OF AMERICA-A BUY 1 Units @57.3800	50.00	2.50	0.00	2.50	80.0	2.00
07/05/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.0800	66.75	0.80	0.00	0.80	80.0	0.64
07/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.0800	66.75	0.80	0.00	0.80	80.0	0.64
07/05/2018	***-**-425P - MEEKS, PERDITA ACCOUNT #: 00074210167	THE GROWTH FUND OF AMERICA-A BUY 0 Units @57.5600	12.50	0.63	0.00	0.63	80.0	0.50
07/06/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 5 Units @54.8200	250.00	2.50	0.00	2.50	80.0	2.00
07/06/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.8200	30.00	0.30	0.00	0.30	80.0	0.24
07/06/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	THE GROWTH FUND OF AMERICA-A BUY 2 Units @54.8200	105.60	1.06	0.00	1.06	80.0	0.85
07/06/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.8200	30.00	0.30	0.00	0.30	80.0	0.24
07/06/2018	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.8200	50.00	0.50	0.00	0.50	80.0	0.40
07/06/2018	***-**-095P - RIVERA, MIGUEL ACCOUNT #: 00074922243	THE GROWTH FUND OF AMERICA-A BUY 2 Units @54.8200	130.00	1.30	0.00	1.30	80.0	1.04



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
07/06/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	62.72	0.63	0.00	0.63	80.0	0.50
	ACCOUNT #: 00083414110	BUY 1 Units @54.8200						
07/06/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00087318332	BUY 0 Units @54.8200						
07/06/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @54.8200						
07/02/2018	***-**-984I - DELUCA, SHARI	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00064868315	BUY 1 Units @49.9600						
07/02/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @49.9600						
07/02/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @49.9600						
07/02/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @49.9600						
07/02/2018	***-**-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 @49.9600						
07/02/2018	***-**-482I - MARCONI, TODD	THE GROWTH FUND OF AMERICA-C	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089570936	BUY 0 Units @49.9600						
07/03/2018	***-**-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 @49.6800						
07/03/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	58.77	0.59	0.00	0.59	80.0	0.47
	ACCOUNT #: 00089319958	BUY 1 Units @49.6800						
07/03/2018	***-**-0006 - FORSYTH, KATHRYN	THE GROWTH FUND OF AMERICA-C	86.54	0.87	0.00	0.87	80.0	0.70
	ACCOUNT #: 04000650661	BUY 2 Units @49.6800						
07/05/2018	***-**-4392 - GARCIA, MICHELLE	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085764363	BUY 0 Units @50.1100						
07/05/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	50.09	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089722785	BUY 1 Units @50.1100						
07/06/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00089045192	BUY 1 Units @50.6400						
07/06/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	16.15	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00089583477	BUY 0 Units @50.6400						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
07/02/2018	***-**-545P - VISCA, ANGELO	THE INVESTMENT COMPANY OF AMERICA-A	100.00	2.75	0.00	2.75	80.0	2.20
	ACCOUNT #: 00063056262	BUY 2 Units @41.7800						
07/03/2018	***-**-395P - DIVASTA, ANTHONY	THE INVESTMENT COMPANY OF AMERICA-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00059597416	BUY 1 Units @42.1500						
07/06/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00066758342	BUY 6 Units @40.9800						
07/06/2018	***-**-445P - BURNS, DANIEL	THE INVESTMENT COMPANY OF AMERICA-A	41.60	0.42	0.00	0.42	80.0	0.34
	ACCOUNT #: 00066758346	BUY 1 Units @40.9800						
07/06/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00066758348	BUY 1 Units @40.9800						
07/06/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 0 Units @40.9800						
07/02/2018	***-**-9024 - HACKETT, ETHAN	THE NEW ECONOMY FUND-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00088123299	BUY 1 Units @43.4500						
07/02/2018	***-**-935J - RUSH, DONNA	THE TAX-EXEMPT BOND FUND OF AMERICA	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085296459	BUY 4 Units @12.8200						
07/02/2018	***-**-44UG - GUERRIERI,	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00085399145	BUY 20 Units @12.8200						
07/09/2018	***-**-20IN - GIANGRECO, TERRY	THE TAX-EXEMPT BOND FUND OF AMERICA	10,003.00	100.03	3.00	97.03	80.0	77.62
	ACCOUNT #: LSR010603	BUY 779 Units @12.8400						
07/02/2018	***-**-545P - VISCA, ANGELO	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	1.38	0.00	1.38	80.0	1.10
	ACCOUNT #: 00063056262	BUY 1 Units @46.0100						
07/06/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00066758345	BUY 11 Units @44.9100						
07/06/2018	***-**-445P - BURNS, DANIEL	WASHINGTON MUTUAL INVESTORS FUND-A	44.80	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00066758346	BUY 1 Units @44.9100						
07/02/2018	***-**-984I - DELUCA, SHARI	WASHINGTON MUTUAL INVESTORS FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00064868315	BUY 1 Units @43.8200						
07/02/2018	***-**-482I - MARCONI, TODD	WASHINGTON MUTUAL INVESTORS FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @43.8200						
07/02/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @43.8200						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
07/03/2018	***-**-435P - BOSCO, SOFIA	WASHINGTON MUTUAL INVESTORS FUND-C	187.00	1.87	0.00	1.87	80.0	1.50
	ACCOUNT #: 00073003754	BUY 4 Units @43.6900						
* MUTUAL FUNDS SUBTOTAL *			\$27,769.08	\$251.67	\$6.00	\$245.67		\$196.51
PRODUCT CATEGORY: 529 PLAN								
07/02/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087198121	BUY 2 Units @27.0900						
07/02/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087198137	BUY 2 Units @27.0900						
07/16/2018	***-**-503J - OBI, JEAN	NEW YORK 529 TRAILS	0.00	2.30	0.00	2.30	80.0	1.84
		BUY 0 Units @0.0000						
07/16/2018	***-**-3758 - CONNORS, DAVID	NEW YORK 529 TRAILS	0.00	0.34	0.00	0.34	80.0	0.27
	ACCOUNT #: 77162702001	BUY 0 Units @0.0000						
07/16/2018	***-**-015P - FANTAUZZO,	NEW YORK 529 TRAILS	0.00	2.16	0.00	2.16	80.0	1.73
	ACCOUNT #: 77529133201	BUY 0 Units @0.0000						
07/16/2018	***-**-335P - JULIAN, GIOVANA	NEW YORK 529 TRAILS	0.00	7.14	0.00	7.14	80.0	5.71
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
07/16/2018	***-**-80IN - MOYER, COLLEEN	NEW YORK 529 TRAILS	0.00	13.28	0.00	13.28	80.0	10.62
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
07/16/2018	***-**-2942 - WARNEY, KENNETH	NEW YORK 529 TRAILS	0.00	0.42	0.00	0.42	80.0	0.34
	ACCOUNT #: 77932712101	BUY 0 Units @0.0000						
06/29/2018	***-**-6793 - ESTEP, ARDEN	NYA JPM 529 AGGR AGE-BASE C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 77375699601	BUY 0 Units @0.0000						
06/29/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 COLLEGE PORT - C	45.71	0.46	0.00	0.46	80.0	0.37
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
06/29/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 CONSV GROWTH C	47.10	0.47	0.00	0.47	80.0	0.38
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
06/29/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 EQUITY INCOME PORTF C	45.71	0.46	0.00	0.46	80.0	0.37
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
06/26/2018	***-**-80IN - MOYER, COLLEEN	NYA JPM 529 MOD AGE-BASED A	25.00	0.76	0.00	0.76	80.0	0.61
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
06/26/2018	***-**-4980 - MOYER, COLLEEN	NYA JPM 529 MOD GROWTH AGE A	25.00	0.76	0.00	0.76	80.0	0.61
	ACCOUNT #: 77705588102	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
* 529 PLAN SUBTOTAL *			\$338.52	\$30.05	\$0.00	\$30.05		\$24.05
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
07/02/2018	***-**-3106 - LAMB, BERNICE	37252M108	0.00	0.95	0.00	0.95	80.0	0.76
	ACCOUNT #: 00551402351	BUY 0 Units @0.0000						
07/01/2018	***-**-397P - COTTONE, MARIA	AIM CHARTER FUND - CLASS A	0.00	5.37	0.00	5.37	80.0	4.30
	ACCOUNT #: 01000005000	BUY 0 Units @0.0000						
07/01/2018	***-**-88IR - KUBIAK, COLLEEN	AIM CHARTER FUND - CLASS A	0.00	1.36	0.00	1.36	80.0	1.09
	ACCOUNT #: 01000005154	BUY 0 Units @0.0000						
07/09/2018	***-**-3043 - SCARPULLA,	AMERICAN FUNDS 401K TRAILS	0.00	383.89	0.00	383.89	80.0	307.11
	ACCOUNT #: IRK131856	BUY 0 Units @0.0000						
06/30/2018	***-**-765P - CRISPINO/, DAVID	AMT-FREE NEW YORK MUNICIPALS A	0.00	25.59	0.00	25.59	80.0	20.47
	ACCOUNT #: 03601040820	BUY 0 Units @0.0000						
06/30/2018	***-**-765P - CRISPINO/, DAVID	AMT-FREE NEW YORK MUNICIPALS A	0.00	386.96	0.00	386.96	80.0	309.57
	ACCOUNT #: 03601040820	BUY 0 Units @0.0000						
06/30/2018	***-**-225P - LILL, DONNA	CAPITAL APPRECIATION A	0.00	0.55	0.00	0.55	80.0	0.44
	ACCOUNT #: 02704578761	BUY 0 Units @0.0000						
06/30/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION A	0.00	22.41	0.00	22.41	80.0	17.93
	ACCOUNT #: 02705352545	BUY 0 Units @0.0000						
06/30/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION A	0.00	14.88	0.00	14.88	80.0	11.90
	ACCOUNT #: 02705352556	BUY 0 Units @0.0000						
06/30/2018	***-**-3502 - CHUDYK, LUCIANA	CAPITAL APPRECIATION A	0.00	12.03	0.00	12.03	80.0	9.62
	ACCOUNT #: 02705763802	BUY 0 Units @0.0000						
06/30/2018	***-**-1346 - WEEKS S R	CAPITAL APPRECIATION A	0.00	6.33	0.00	6.33	80.0	5.06
	ACCOUNT #: 02705801521	BUY 0 Units @0.0000						
06/30/2018	***-**-225P - LILL, DONNA	CAPITAL APPRECIATION A	0.00	46.36	0.00	46.36	80.0	37.09
	ACCOUNT #: 03201808213	BUY 0 Units @0.0000						
06/30/2018	***-**-502I - CHUDYK, LUCIANA	CAPITAL APPRECIATION A	0.00	0.61	0.00	0.61	80.0	0.49
	ACCOUNT #: 03205462138	BUY 0 Units @0.0000						
06/30/2018	***-**-8379 - ZLOTNICK, MAR	CAPITAL APPRECIATION A	0.00	18.04	0.00	18.04	80.0	14.43
	ACCOUNT #: 03207391131	BUY 0 Units @0.0000						
06/30/2018	***-**-206I - SANDERS, DAVID	CAPITAL APPRECIATION A	0.00	0.07	0.00	0.07	80.0	0.06
	ACCOUNT #: 03208239693	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-772I - KERHAERT, ACCOUNT #: 03208526705	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	11.02	0.00	11.02	80.0	8.82
06/30/2018	***-**-206I - SANDERS, DAVID ACCOUNT #: 03208526826	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	7.21	0.00	7.21	80.0	5.77
06/30/2018	***-**-919I - WEST, HOLLY ACCOUNT #: 03210593572	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	8.43	0.00	8.43	80.0	6.74
06/30/2018	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 03210769528	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	7.73	0.00	7.73	80.0	6.18
06/30/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 03211530607	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	8.36	0.00	8.36	80.0	6.69
06/30/2018	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 02710316008	CAPITAL APPRECIATION B BUY 0 Units @0.0000	0.00	0.04	0.00	0.04	80.0	0.03
06/30/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 02710316019	CAPITAL APPRECIATION B BUY 0 Units @0.0000	0.00	0.03	0.00	0.03	80.0	0.02
06/30/2018	***-**-1346 - WEEKS S R ACCOUNT #: 02712169299	CAPITAL APPRECIATION B BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	80.0	0.02
06/30/2018	***-**-225P - LILL, DONNA ACCOUNT #: 03212039323	CAPITAL APPRECIATION B BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	80.0	0.30
06/30/2018	***-**-195P - WEST, HOLLY ACCOUNT #: 03215115066	CAPITAL APPRECIATION B BUY 0 Units @0.0000	0.00	0.04	0.00	0.04	80.0	0.03
06/30/2018	***-**-772I - KERHAERT, ACCOUNT #: 03215557673	CAPITAL APPRECIATION B BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	80.0	0.00
06/30/2018	***-**-206I - SANDERS, DAVID ACCOUNT #: 03215557739	CAPITAL APPRECIATION B BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	80.0	0.00
06/30/2018	***-**-293I - LIPPA, PAUL ACCOUNT #: 03220151525	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	51.89	0.00	51.89	80.0	41.51
06/30/2018	***-**-69UG - ATWOOD, CULLEN K ACCOUNT #: 03220369127	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	7.96	0.00	7.96	80.0	6.37
06/30/2018	***-**-97UG - ATWOOD, AUSTIN M ACCOUNT #: 03220369138	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	7.96	0.00	7.96	80.0	6.37
06/30/2018	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 03220387068	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	27.14	0.00	27.14	80.0	21.71



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-37IR - COTTONE, CHARLES	CAPITAL APPRECIATION C	0.00	41.74	0.00	41.74	80.0	33.39
	ACCOUNT #: 03220434863	BUY 0 Units @0.0000						
06/30/2018	***-**-157I - TROINA, ANTHONY	CAPITAL APPRECIATION C	0.00	156.77	0.00	156.77	80.0	125.42
	ACCOUNT #: 03221853368	BUY 0 Units @0.0000						
06/30/2018	***-**-772I - KERHAERT,	CAPITAL APPRECIATION C	0.00	11.98	0.00	11.98	80.0	9.58
	ACCOUNT #: 03222178044	BUY 0 Units @0.0000						
06/30/2018	***-**-9206 - SANDER, DAVID	CAPITAL APPRECIATION C	0.00	12.78	0.00	12.78	80.0	10.22
	ACCOUNT #: 03222178055	BUY 0 Units @0.0000						
06/30/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	0.00	25.52	0.00	25.52	80.0	20.42
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						
06/30/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	0.00	14.96	0.00	14.96	80.0	11.97
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
06/30/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION C	0.00	13.06	0.00	13.06	80.0	10.45
	ACCOUNT #: 03222325444	BUY 0 Units @0.0000						
06/30/2018	***-**-1346 - WEEKS S R	CAPITAL APPRECIATION C	0.00	28.99	0.00	28.99	80.0	23.19
	ACCOUNT #: 03222329184	BUY 0 Units @0.0000						
06/30/2018	***-**-6056 - PRICE, DEBORAH	CAPITAL INCOME A	0.00	5.22	0.00	5.22	80.0	4.18
	ACCOUNT #: 03007578725	BUY 0 Units @0.0000						
07/05/2018	***-**-732J - ARBORE, MARIA	CORE BOND FUND - A	0.00	4.10	0.00	4.10	80.0	3.28
	ACCOUNT #: 00000108231	BUY 0 Units @0.0000						
06/30/2018	***-**-1346 - WEEKS S R	DISCOVERY FUND B	0.00	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 05011664641	BUY 0 Units @0.0000						
06/30/2018	***-**-432I - BORDEN, ROBERT	DISCOVERY FUND C	0.00	2.34	0.00	2.34	80.0	1.87
	ACCOUNT #: 05020305173	BUY 0 Units @0.0000						
06/30/2018	***-**-110I - SAENZ, KATIA	DISCOVERY FUND C	0.00	21.86	0.00	21.86	80.0	17.49
	ACCOUNT #: 07470796554	BUY 0 Units @0.0000						
06/30/2018	***-**-85IN - MAZZOLA, BARBARA	EMERGING MARKETS INNOVATORS FUND C	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 00100051019	BUY 0 Units @0.0000						
06/30/2018	***-**-01UG - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	6.83	0.00	6.83	80.0	5.46
	ACCOUNT #: 00401973590	BUY 0 Units @0.0000						
06/30/2018	***-**-88UG - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	6.83	0.00	6.83	80.0	5.46
	ACCOUNT #: 00401973660	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-450J - DIGIOVANNI, ACCOUNT #: 00402352440	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	8.13	0.00	8.13	80.0	6.50
06/30/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 02400798182	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	4.53	0.00	4.53	80.0	3.62
06/30/2018	***-**-11IN - ROBERTS NEEDS ACCOUNT #: 02401512863	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	26.76	0.00	26.76	80.0	21.41
06/30/2018	***-**-509I - ARBORE, ACCOUNT #: 02401570261	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	26.37	0.00	26.37	80.0	21.10
06/30/2018	***-**-919I - WEST, HOLLY ACCOUNT #: 02401588994	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	7.06	0.00	7.06	80.0	5.65
06/30/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 08352628747	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	10.87	0.00	10.87	80.0	8.70
06/30/2018	***-**-805P - CONNORS, DOROTHY ACCOUNT #: 08353199856	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	1.78	0.00	1.78	80.0	1.42
06/30/2018	***-**-85TR - CONNORS, ACCOUNT #: 08353199878	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	2.20	0.00	2.20	80.0	1.76
06/30/2018	***-**-6188 - ROBERTS, ACCOUNT #: 08353215333	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	80.0	0.82
06/30/2018	***-**-195P - WEST, HOLLY ACCOUNT #: 02410301037	EQUITY INCOME FUND, INC. B BUY 0 Units @0.0000	0.00	0.04	0.00	0.04	80.0	0.03
06/30/2018	***-**-6188 - ROBERTS, ACCOUNT #: 08360575982	EQUITY INCOME FUND, INC. B BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	80.0	0.00
06/30/2018	***-**-3432 - BORDEN, ROBERT ACCOUNT #: 08370550550	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	1.56	0.00	1.56	80.0	1.25
06/30/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 08370596090	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	14.32	0.00	14.32	80.0	11.46
06/30/2018	***-**-6188 - ROBERTS, ACCOUNT #: 08370627385	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	12.84	0.00	12.84	80.0	10.27
07/09/2018	***-**-4550 - JONES, JEFFREY ACCOUNT #: 00529631491	FA 529 PORT 2019-CL P BUY 0 Units @0.0000	0.00	7.60	0.00	7.60	80.0	6.08
07/09/2018	***-**-7278 - GUERRIERI DDS, ACCOUNT #: 00655383206	FIDELITY ADV ASSET MANAGER 50 PERCE BUY 0 Units @0.0000	0.00	0.70	0.00	0.70	80.0	0.56



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/09/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV FREEDOM 2020-CL C	0.00	1.73	0.00	1.73	80.0	1.38
	ACCOUNT #: 01475410302	BUY 0 Units @0.0000						
07/09/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV INTL DISCOVERY-CL A	0.00	1.64	0.00	1.64	80.0	1.31
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
07/09/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	3.74	0.00	3.74	80.0	2.99
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
07/09/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV MID CAP II-CL A	0.00	4.95	0.00	4.95	80.0	3.96
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
07/09/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV NEW INSIGHTS-CL A	0.00	4.86	0.00	4.86	80.0	3.89
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
07/09/2018	***-**-7352 - GEISELHART,	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	31.33	0.00	31.33	80.0	25.06
	ACCOUNT #: 00618796254	BUY 0 Units @0.0000						
07/09/2018	***-**-5703 - DIODATO,	FIDELITY ADV STRATEGIC INCOME CL C	0.00	0.22	0.00	0.22	80.0	0.18
	ACCOUNT #: 03900218260	BUY 0 Units @0.0000						
07/09/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV TECHNOLOGY CL A	0.00	4.95	0.00	4.95	80.0	3.96
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
07/09/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADVISOR FREEDOM 2020 CL A	0.00	0.91	0.00	0.91	80.0	0.73
	ACCOUNT #: 01475410302	BUY 0 Units @0.0000						
06/30/2018	***-**-502I - CHUDYK, LUCIANA	GLOBAL FUND A	0.00	8.66	0.00	8.66	80.0	6.93
	ACCOUNT #: 03300288917	BUY 0 Units @0.0000						
06/30/2018	***-**-8379 - ZLOTNICK, MAR	GLOBAL FUND A	0.00	22.81	0.00	22.81	80.0	18.25
	ACCOUNT #: 03302795025	BUY 0 Units @0.0000						
06/30/2018	***-**-8776 - LEVINE, TODD	GLOBAL FUND A	0.00	51.95	0.00	51.95	80.0	41.56
	ACCOUNT #: 03302846910	BUY 0 Units @0.0000						
06/30/2018	***-**-225P - LILL, DONNA	GLOBAL FUND A	0.00	18.52	0.00	18.52	80.0	14.82
	ACCOUNT #: 03305836226	BUY 0 Units @0.0000						
06/30/2018	***-**-264I - SIDOTI, LAURA	GLOBAL FUND A	0.00	4.19	0.00	4.19	80.0	3.35
	ACCOUNT #: 03309004237	BUY 0 Units @0.0000						
06/30/2018	***-**-6603 - JOHNSON, TERRY	GLOBAL FUND A	0.00	37.98	0.00	37.98	80.0	30.38
	ACCOUNT #: 03309133960	BUY 0 Units @0.0000						
06/30/2018	***-**-6603 - JOHNSON, TERRY	GLOBAL FUND B	0.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 03311085766	BUY 0 Units @0.0000						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u>								
06/30/2018	***-**-225P - LILL, DONNA	GLOBAL FUND B	0.00	0.13	0.00	0.13	80.0	0.10
	ACCOUNT #: 03313024164	BUY 0 Units @0.0000						
06/30/2018	***-**-5378 - AGUILA, NANCY	GLOBAL OPPORTUNITIES A	0.00	108.98	0.00	108.98	80.0	87.18
	ACCOUNT #: 02152697871	BUY 0 Units @0.0000						
06/30/2018	***-**-206I - SANDERS, DAVID	GLOBAL OPPORTUNITIES A	0.00	7.47	0.00	7.47	80.0	5.98
	ACCOUNT #: 02155093319	BUY 0 Units @0.0000						
06/30/2018	***-**-206I - SANDERS, DAVID	GLOBAL OPPORTUNITIES B	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 02163095642	BUY 0 Units @0.0000						
06/30/2018	***-**-85IN - MAZZOLA, BARBARA	GLOBAL OPPORTUNITIES FUND C	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 02171893331	BUY 0 Units @0.0000						
06/30/2018	***-**-110I - SAENZ, KATIA	GLOBAL OPPORTUNITIES FUND C	0.00	29.49	0.00	29.49	80.0	23.59
	ACCOUNT #: 02171397616	BUY 0 Units @0.0000						
06/30/2018	***-**-9206 - SANDER, DAVID	GLOBAL OPPORTUNITIES FUND C	0.00	17.71	0.00	17.71	80.0	14.17
	ACCOUNT #: 02171629936	BUY 0 Units @0.0000						
06/30/2018	***-**-90FB - DIODATO, CAROL	GLOBAL OPPORTUNITIES FUND C	0.00	7.65	0.00	7.65	80.0	6.12
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
06/30/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	0.00	57.08	0.00	57.08	80.0	45.66
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						
06/30/2018	***-**-2620 - CUSIMANO, MEGAN	GLOBAL OPPORTUNITIES FUND C	0.00	1.65	0.00	1.65	80.0	1.32
	ACCOUNT #: 02171800557	BUY 0 Units @0.0000						
06/30/2018	***-**-9530 - MILAM, IAN	GLOBAL OPPORTUNITIES FUND C	0.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 02171852708	BUY 0 Units @0.0000						
06/30/2018	***-**-729I - GIAMBRONE, KELLY	GLOBAL OPPORTUNITIES FUND C	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 02171875445	BUY 0 Units @0.0000						
06/30/2018	***-**-509I - ARBORE,	GOLD & SPECIAL MINERALS A	0.00	3.53	0.00	3.53	80.0	2.82
	ACCOUNT #: 04103927770	BUY 0 Units @0.0000						
07/05/2018	***-**-39IN - ARBORE, MARIA	GROWTH AND INCOME FUND - A	0.00	2.89	0.00	2.89	80.0	2.31
	ACCOUNT #: 00000176375	BUY 0 Units @0.0000						
07/01/2018	***-**-290I - SAWDEY, MARILYN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	6.87	0.00	6.87	80.0	5.50
	ACCOUNT #: 04400053047	BUY 0 Units @0.0000						
07/01/2018	***-**-0008 - COZZO, LUIGI	INVESCO DIVERSIFIED DIVIDEND INVEST	0.00	22.23	0.00	22.23	80.0	17.78
	ACCOUNT #: 00009759201	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/01/2018	***-**-39IN - ARBORE, MARIA	IVK GROWTH AND INCOME FUND - CLASS	0.00	36.17	0.00	36.17	80.0	28.94
	ACCOUNT #: 01001181454	BUY 0 Units @0.0000						
06/30/2018	***-**-37IN - COTTONE, CHARLES	LIMITED TERM GOVERNMENT A	0.00	1.98	0.00	1.98	80.0	1.58
	ACCOUNT #: 08551660824	BUY 0 Units @0.0000						
06/30/2018	***-**-502I - CHUDYK, LUCIANA	LIMITED TERM GOVERNMENT A	0.00	0.54	0.00	0.54	80.0	0.43
	ACCOUNT #: 08552066097	BUY 0 Units @0.0000						
06/30/2018	***-**-736I - TORNATORE,	MAIN STREET FUND A	0.00	80.23	0.00	80.23	80.0	64.18
	ACCOUNT #: 04204204530	BUY 0 Units @0.0000						
06/30/2018	***-**-206I - SANDERS, DAVID	MAIN STREET FUND A	0.00	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 07002254530	BUY 0 Units @0.0000						
06/30/2018	***-**-206I - SANDERS, DAVID	MAIN STREET FUND A	0.00	6.60	0.00	6.60	80.0	5.28
	ACCOUNT #: 07002573849	BUY 0 Units @0.0000						
06/30/2018	***-**-072I - SMITH, DEBORAH	MAIN STREET FUND A	0.00	57.46	0.00	57.46	80.0	45.97
	ACCOUNT #: 07002573882	BUY 0 Units @0.0000						
06/30/2018	***-**-446I - TROBIA, FRANK	MAIN STREET FUND A	0.00	31.24	0.00	31.24	80.0	24.99
	ACCOUNT #: 07005158191	BUY 0 Units @0.0000						
06/30/2018	***-**-264I - SIDOTI, LAURA	MAIN STREET FUND A	0.00	11.46	0.00	11.46	80.0	9.17
	ACCOUNT #: 07005274219	BUY 0 Units @0.0000						
06/30/2018	***-**-3526 - STONE, LINDA	MAIN STREET FUND A	0.00	1.12	0.00	1.12	80.0	0.90
	ACCOUNT #: 07005481380	BUY 0 Units @0.0000						
06/30/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND A	0.00	28.34	0.00	28.34	80.0	22.67
	ACCOUNT #: 07005548460	BUY 0 Units @0.0000						
06/30/2018	***-**-7072 - SMITH, DEBBIE	MAIN STREET FUND A	0.00	0.24	0.00	0.24	80.0	0.19
	ACCOUNT #: 07005555335	BUY 0 Units @0.0000						
06/30/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND A	0.00	13.03	0.00	13.03	80.0	10.42
	ACCOUNT #: 07005773144	BUY 0 Units @0.0000						
06/30/2018	***-**-781I - NAVAS, MICHAEL	MAIN STREET FUND A	0.00	0.54	0.00	0.54	80.0	0.43
	ACCOUNT #: 07006127212	BUY 0 Units @0.0000						
06/30/2018	***-**-1346 - WEEKS S R	MAIN STREET FUND A	0.00	8.17	0.00	8.17	80.0	6.54
	ACCOUNT #: 07007936483	BUY 0 Units @0.0000						
06/30/2018	***-**-175I - BLEIER, WESLEY	MAIN STREET FUND A	0.00	13.51	0.00	13.51	80.0	10.81
	ACCOUNT #: 07009521154	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND B	0.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 07012971958	BUY 0 Units @0.0000						
06/30/2018	***-**-1346 - WEEKS S R	MAIN STREET FUND B	0.00	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 07014822493	BUY 0 Units @0.0000						
06/30/2018	***-**-206I - SANDERS, DAVID	MAIN STREET FUND B	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 07015737231	BUY 0 Units @0.0000						
06/30/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	0.00	4.50	0.00	4.50	80.0	3.60
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
06/30/2018	***-**-435P - BOSCO, SOFIA	MAIN STREET FUND C	0.00	56.94	0.00	56.94	80.0	45.55
	ACCOUNT #: 07021348457	BUY 0 Units @0.0000						
06/30/2018	***-**-084I - ESPOSITO,	MAIN STREET FUND C	0.00	18.17	0.00	18.17	80.0	14.54
	ACCOUNT #: 07023120326	BUY 0 Units @0.0000						
06/30/2018	***-**-110I - SAENZ, KATIA	MAIN STREET FUND C	0.00	17.75	0.00	17.75	80.0	14.20
	ACCOUNT #: 07023933798	BUY 0 Units @0.0000						
06/30/2018	***-**-9206 - SANDER, DAVID	MAIN STREET FUND C	0.00	12.48	0.00	12.48	80.0	9.98
	ACCOUNT #: 07024170947	BUY 0 Units @0.0000						
06/30/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	0.00	23.95	0.00	23.95	80.0	19.16
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
06/30/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	0.00	12.56	0.00	12.56	80.0	10.05
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						
06/30/2018	***-**-1346 - WEEKS S R	MAIN STREET FUND C	0.00	28.59	0.00	28.59	80.0	22.87
	ACCOUNT #: 07024329974	BUY 0 Units @0.0000						
06/30/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	0.00	5.33	0.00	5.33	80.0	4.26
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
06/30/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	0.00	39.30	0.00	39.30	80.0	31.44
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
06/30/2018	***-**-2620 - CUSIMANO, MEGAN	MAIN STREET FUND C	0.00	2.61	0.00	2.61	80.0	2.09
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
06/30/2018	***-**-446I - TROBIA, FRANK	MAIN STREET FUND C	0.00	35.69	0.00	35.69	80.0	28.55
	ACCOUNT #: 07024429095	BUY 0 Units @0.0000						
06/30/2018	***-**-9530 - MILAM, IAN	MAIN STREET FUND C	0.00	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 07024469113	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/01/2018	***-**-290I - SAWDEY, MARILYN	MFS GOVERNMENT SECURITIES FUND-A	0.00	4.65	0.00	4.65	80.0	3.72
	ACCOUNT #: 09896338263	BUY 0 Units @0.0000						
07/01/2018	***-**-96CL - SCARPULLA,	MFS TOTAL RETURN FUND-A	0.00	11.51	0.00	11.51	80.0	9.21
	ACCOUNT #: 08191357165	BUY 0 Units @0.0000						
06/30/2018	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD A	0.00	13.27	0.00	13.27	80.0	10.62
	ACCOUNT #: 05451118920	BUY 0 Units @0.0000						
06/30/2018	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD A	0.00	0.95	0.00	0.95	80.0	0.76
	ACCOUNT #: 05451503469	BUY 0 Units @0.0000						
06/30/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD A	0.00	0.86	0.00	0.86	80.0	0.69
	ACCOUNT #: 05451509926	BUY 0 Units @0.0000						
06/30/2018	***-**-072I - SMITH, DEBORAH	OPP PORT SERIES: MOD INV FD B	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 06660004334	BUY 0 Units @0.0000						
06/30/2018	***-**-526I - STONE, LINDA	OPP PORT SERIES: MOD INV FD B	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 06660004565	BUY 0 Units @0.0000						
06/30/2018	***-**-143I - STONE, GEORGE	OPP PORT SERIES: MOD INV FD B	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 06660004576	BUY 0 Units @0.0000						
06/30/2018	***-**-3407 - SUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	0.00	31.34	0.00	31.34	80.0	25.07
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
06/30/2018	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	0.00	37.70	0.00	37.70	80.0	30.16
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
06/30/2018	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD C	0.00	67.84	0.00	67.84	80.0	54.27
	ACCOUNT #: 06670037664	BUY 0 Units @0.0000						
06/30/2018	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD C	0.00	30.59	0.00	30.59	80.0	24.47
	ACCOUNT #: 06670037675	BUY 0 Units @0.0000						
06/30/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD C	0.00	30.72	0.00	30.72	80.0	24.58
	ACCOUNT #: 06670037686	BUY 0 Units @0.0000						
06/30/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER CORP BOND FND C	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 00100067156	BUY 0 Units @0.0000						
06/30/2018	***-**-1346 - WEEKS S R	OPPENHEIMER DISCOVERY CLASS A	0.00	10.32	0.00	10.32	80.0	8.26
	ACCOUNT #: 05004178284	BUY 0 Units @0.0000						
06/30/2018	***-**-781J - NAVAS, MICHAEL &	OPPENHEIMER DISCOVERY CLASS A	0.00	32.57	0.00	32.57	80.0	26.06
	ACCOUNT #: 07450878086	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-240J - MACCABEE, ALFRED	OPPENHEIMER DISCOVERY CLASS A	0.00	4.01	0.00	4.01	80.0	3.21
	ACCOUNT #: 07451411520	BUY 0 Units @0.0000						
06/30/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	0.00	25.43	0.00	25.43	80.0	20.34
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
06/30/2018	***-**-85IN - MAZZOLA, BARBARA	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 01971104114	BUY 0 Units @0.0000						
06/30/2018	***-**-6056 - PRICE, DEBORAH	OPPENHEIMER MAIN STREET OPPORTUNITY	0.00	9.21	0.00	9.21	80.0	7.37
	ACCOUNT #: 07311461350	BUY 0 Units @0.0000						
06/30/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	9.71	0.00	9.71	80.0	7.77
	ACCOUNT #: 08477407983	BUY 0 Units @0.0000						
06/30/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	12.33	0.00	12.33	80.0	9.86
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
06/30/2018	***-**-541P - SCHILLACI, AMY	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	3.13	0.00	3.13	80.0	2.50
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						
06/30/2018	***-**-4980 - MOYER, COLLEEN	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	9.26	0.00	9.26	80.0	7.41
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
06/30/2018	***-**-696J - ARBORE, JENNIFER	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	25.04	0.00	25.04	80.0	20.03
	ACCOUNT #: 02270749892	BUY 0 Units @0.0000						
06/30/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 02271182830	BUY 0 Units @0.0000						
06/30/2018	***-**-655P - DAVIS, BERTHA	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 02271237808	BUY 0 Units @0.0000						
06/30/2018	***-**-1834 - BUTLER, KIM	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	21.61	0.00	21.61	80.0	17.29
	ACCOUNT #: 02510771804	BUY 0 Units @0.0000						
06/30/2018	***-**-5378 - AGUILA, NANCY	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	66.83	0.00	66.83	80.0	53.46
	ACCOUNT #: 02510954349	BUY 0 Units @0.0000						
06/30/2018	***-**-502I - CHUDYK, LUCIANA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 02511356146	BUY 0 Units @0.0000						
06/30/2018	***-**-8379 - ZLOTNICK, MAR	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	1.60	0.00	1.60	80.0	1.28
	ACCOUNT #: 01902486671	BUY 0 Units @0.0000						
06/30/2018	***-**-509I - ARBORE,	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	8.04	0.00	8.04	80.0	6.43
	ACCOUNT #: 01903509704	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-206I - SANDERS, DAVID	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 02301774457	BUY 0 Units @0.0000						
06/30/2018	***-**-206I - SANDERS, DAVID	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	1.73	0.00	1.73	80.0	1.38
	ACCOUNT #: 02302155970	BUY 0 Units @0.0000						
06/30/2018	***-**-1834 - BUTLER, KIM	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	2.22	0.00	2.22	80.0	1.78
	ACCOUNT #: 02803612158	BUY 0 Units @0.0000						
06/30/2018	***-**-1834 - BUTLER, KIM	OPPENHEIMER STRATEGIC INCOME FUND C	0.00	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 01911387672	BUY 0 Units @0.0000						
06/30/2018	***-**-206I - SANDERS, DAVID	OPPENHEIMER STRATEGIC INCOME FUND C	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 02316725532	BUY 0 Units @0.0000						
07/02/2018	***-**-642I - DELGAIZO, LISA	PUTNAM AMERICAN GOVERNMENT INCOME F	0.00	0.33	0.00	0.33	80.0	0.26
	ACCOUNT #: 00488983741	BUY 0 Units @0.0000						
07/02/2018	***-**-33IN - TESTA, BARBARA	PUTNAM EQUITY INCOME FUND-A	0.00	21.74	0.00	21.74	80.0	17.39
	ACCOUNT #: 00214281708	BUY 0 Units @0.0000						
07/02/2018	***-**-642J - DELGALZO,	PUTNAM EQUITY INCOME FUND-A	0.00	2.14	0.00	2.14	80.0	1.71
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
07/02/2018	***-**-130I - CIRA, JOHN	PUTNAM EQUITY INCOME FUND-A	0.00	4.51	0.00	4.51	80.0	3.61
	ACCOUNT #: 00415148688	BUY 0 Units @0.0000						
07/02/2018	***-**-33UG - DELGAIZO, ALESHA	PUTNAM EQUITY INCOME FUND-A	0.00	6.50	0.00	6.50	80.0	5.20
	ACCOUNT #: 00437911872	BUY 0 Units @0.0000						
07/02/2018	***-**-73UG - DELGAIZO,	PUTNAM EQUITY INCOME FUND-A	0.00	4.04	0.00	4.04	80.0	3.23
	ACCOUNT #: 00481564658	BUY 0 Units @0.0000						
07/02/2018	***-**-642I - DELGAIZO, LISA	PUTNAM EQUITY INCOME FUND-A	0.00	3.73	0.00	3.73	80.0	2.98
	ACCOUNT #: 00488983741	BUY 0 Units @0.0000						
07/02/2018	***-**-939I - ARBORE, MARIA	PUTNAM EQUITY INCOME FUND-A	0.00	29.07	0.00	29.07	80.0	23.26
	ACCOUNT #: 00506910960	BUY 0 Units @0.0000						
07/02/2018	***-**-707I - BARON, ROBIN	PUTNAM EQUITY INCOME FUND-A	0.00	7.92	0.00	7.92	80.0	6.34
	ACCOUNT #: 00551086624	BUY 0 Units @0.0000						
07/02/2018	***-**-3939 - ARBORE, MARIA	PUTNAM EQUITY INCOME FUND-C	0.00	133.42	0.00	133.42	80.0	106.74
	ACCOUNT #: 00551310434	BUY 0 Units @0.0000						
07/02/2018	***-**-642J - DELGALZO,	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.51	0.00	1.51	80.0	1.21
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/02/2018	***-**-678I - BAKERINK, DIANE	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	6.54	0.00	6.54	80.0	5.23
	ACCOUNT #: 00273141121	BUY 0 Units @0.0000						
07/02/2018	***-**-178I - STAUB, KIRK	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00455134356	BUY 0 Units @0.0000						
07/02/2018	***-**-43IR - BOSCO, GIULIO	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	10.44	0.00	10.44	80.0	8.35
	ACCOUNT #: 00494908627	BUY 0 Units @0.0000						
07/02/2018	***-**-293I - LIPPA, PAUL	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	30.98	0.00	30.98	80.0	24.78
	ACCOUNT #: 00511940615	BUY 0 Units @0.0000						
07/02/2018	***-**-643I - BOSCO, GIULIO	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	2.24	0.00	2.24	80.0	1.79
	ACCOUNT #: 00514117077	BUY 0 Units @0.0000						
07/02/2018	***-**-73UG - DELGAIZO,	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	32.02	0.00	32.02	80.0	25.62
	ACCOUNT #: 00481564658	BUY 0 Units @0.0000						
07/02/2018	***-**-059I - JOHNSON, WILLIAM	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	34.08	0.00	34.08	80.0	27.26
	ACCOUNT #: 00020573802	BUY 0 Units @0.0000						
07/02/2018	***-**-59IN - SCARPULLA,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.74	0.00	4.74	80.0	3.79
	ACCOUNT #: 00066046582	BUY 0 Units @0.0000						
07/02/2018	***-**-37IR - MAMMANO, DAVID	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00235535776	BUY 0 Units @0.0000						
07/02/2018	***-**-642J - DELGALZO,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	1.72	0.00	1.72	80.0	1.38
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
07/02/2018	***-**-33UG - DELGAIZO, ALESHA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	22.39	0.00	22.39	80.0	17.91
	ACCOUNT #: 00437911872	BUY 0 Units @0.0000						
07/02/2018	***-**-178I - STAUB, KIRK	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.70	0.00	0.70	80.0	0.56
	ACCOUNT #: 00455134356	BUY 0 Units @0.0000						
07/02/2018	***-**-170J - CAMPOMIZZI, JOHN	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.14	0.00	0.14	80.0	0.11
	ACCOUNT #: 00475151691	BUY 0 Units @0.0000						
07/02/2018	***-**-73UG - DELGAIZO,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.21	0.00	3.21	80.0	2.57
	ACCOUNT #: 00481564658	BUY 0 Units @0.0000						
07/02/2018	***-**-642I - DELGAIZO, LISA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.79	0.00	4.79	80.0	3.83
	ACCOUNT #: 00488983741	BUY 0 Units @0.0000						
07/02/2018	***-**-37IR - MAMMANO, DAVID	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00494866228	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/02/2018	***-**-643I - BOSCO, GIULIO	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	8.00	0.00	8.00	80.0	6.40
	ACCOUNT #: 00514117077	BUY 0 Units @0.0000						
07/02/2018	***-**-33UG - DELGAIZO, ALESHA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.18	0.00	3.18	80.0	2.54
	ACCOUNT #: 00519031484	BUY 0 Units @0.0000						
07/02/2018	***-**-170I - CAMPOMIZZI,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	2.15	0.00	2.15	80.0	1.72
	ACCOUNT #: 00550825937	BUY 0 Units @0.0000						
07/02/2018	***-**-06IN - BERNARD, CREGG	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00550826447	BUY 0 Units @0.0000						
07/02/2018	***-**-18IN - RIEDEL, JAMES	PUTNAM NEW YORK TAX- EXEMPT INCOME	0.00	1.48	0.00	1.48	80.0	1.18
	ACCOUNT #: 00048939595	BUY 0 Units @0.0000						
07/02/2018	***-**-642J - DELGALZO,	PUTNAM NEW YORK TAX- EXEMPT INCOME	0.00	0.88	0.00	0.88	80.0	0.70
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
07/02/2018	***-**-33IN - TESTA, BARBARA	PUTNAM U.S. GOVT INCOME TR-A	0.00	18.34	0.00	18.34	80.0	14.67
	ACCOUNT #: 00214281708	BUY 0 Units @0.0000						
07/02/2018	***-**-642I - DELGAIZO, LISA	PUTNAM U.S. GOVT INCOME TR-A	0.00	1.24	0.00	1.24	80.0	0.99
	ACCOUNT #: 00488983741	BUY 0 Units @0.0000						
07/16/2018	***-**-1314 - BENEDETTO,	QUALIFIED PLAN SUMMARY	0.00	149.12	0.00	149.12	80.0	119.30
	ACCOUNT #: 02270934318	BUY 0 Units @0.0000						
07/16/2018	***-**-278K - GUERRIERI DDS,	QUALIFIED PLAN SUMMARY	0.00	1,244.20	0.00	1,244.20	80.0	995.36
	ACCOUNT #: IRK101640	BUY 0 Units @0.0000						
06/30/2018	***-**-240J - MACCABEE, ALFRED	QUEST BALANCED A	0.00	0.91	0.00	0.91	80.0	0.73
	ACCOUNT #: 02571141525	BUY 0 Units @0.0000						
06/30/2018	***-**-502I - CHUDYK, LUCIANA	QUEST BALANCED A	0.00	1.74	0.00	1.74	80.0	1.39
	ACCOUNT #: 02573443913	BUY 0 Units @0.0000						
06/30/2018	***-**-772I - KERHAERT,	QUEST BALANCED A	0.00	7.74	0.00	7.74	80.0	6.19
	ACCOUNT #: 02575859953	BUY 0 Units @0.0000						
06/30/2018	***-**-772I - KERHAERT,	QUEST BALANCED B	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 02585781831	BUY 0 Units @0.0000						
06/30/2018	***-**-8706 - BOSCO, REN	QUEST BALANCED FUND C	0.00	165.93	0.00	165.93	80.0	132.74
	ACCOUNT #: 02590094105	BUY 0 Units @0.0000						
06/30/2018	***-**-110I - SAENZ, KATIA	QUEST BALANCED FUND C	0.00	10.70	0.00	10.70	80.0	8.56
	ACCOUNT #: 02592093355	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-772I - KERHAERT, ACCOUNT #: 02592262304	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	9.86	0.00	9.86	80.0	7.89
06/30/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 02362932061	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	4.76	0.00	4.76	80.0	3.81
06/30/2018	***-**-502I - CHUDYK, LUCIANA ACCOUNT #: 02363615612	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	2.72	0.00	2.72	80.0	2.18
06/30/2018	***-**-1346 - WEEKS S R ACCOUNT #: 02363693492	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	4.31	0.00	4.31	80.0	3.45
06/30/2018	***-**-4143 - STONE, GEORGE ACCOUNT #: 02365376635	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	0.52	0.00	0.52	80.0	0.42
06/30/2018	***-**-1346 - WEEKS S R ACCOUNT #: 02373694251	QUEST OPPORTUNITY VALUE FUND B BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	80.0	0.02
06/30/2018	***-**-432I - BORDEN, ROBERT ACCOUNT #: 02380867812	QUEST OPPORTUNITY VALUE FUND C BUY 0 Units @0.0000	0.00	5.08	0.00	5.08	80.0	4.06
06/30/2018	***-**-1346 - WEEKS S R ACCOUNT #: 02381169938	QUEST OPPORTUNITY VALUE FUND C BUY 0 Units @0.0000	0.00	21.58	0.00	21.58	80.0	17.26
06/30/2018	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 05920398266	REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	30.95	0.00	30.95	80.0	24.76
06/30/2018	***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 05920400103	REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	1.04	0.00	1.04	80.0	0.83
06/30/2018	***-**-9530 - MILAM, IAN ACCOUNT #: 05920419496	REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	80.0	0.00
06/30/2018	***-**-509I - ARBORE, ACCOUNT #: 02253202056	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	9.62	0.00	9.62	80.0	7.70
06/30/2018	***-**-76IN - CRISPINO, JULIE ACCOUNT #: 03550283547	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	356.62	0.00	356.62	80.0	285.30
06/30/2018	***-**-76IN - CRISPINO, JULIE ACCOUNT #: 03550283547	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	396.24	0.00	396.24	80.0	316.99
06/30/2018	***-**-11IN - ROBERTS NEEDS ACCOUNT #: 03551129898	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	56.75	0.00	56.75	80.0	45.40
06/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 03551296515	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	335.31	0.00	335.31	80.0	268.25



COMMISSION STATEMENT

July 16, 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: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-696J - ARBORE, JENNIFER ROCH.	LIMITED TERM NEW YORK MUNICIPAL	0.00	21.50	0.00	21.50	80.0	17.20
	ACCOUNT #: 03570590128	BUY 0 Units @0.0000						
06/30/2018	***-**-6188 - ROBERTS,	ROCH. LIMITED TERM NEW YORK MUNICIPAL	0.00	20.14	0.00	20.14	80.0	16.11
	ACCOUNT #: 03570646371	BUY 0 Units @0.0000						
07/05/2018	***-**-33UG - DELGAIZO, ALESHA	SMALL CAP EQUITY FUND - A	0.00	1.71	0.00	1.71	80.0	1.37
	ACCOUNT #: 00000413901	BUY 0 Units @0.0000						
06/30/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE B	0.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 02520033660	BUY 0 Units @0.0000						
06/30/2018	***-**-4980 - MOYER, COLLEEN	SMALL- & MID- CAP VALUE FUND C	0.00	4.29	0.00	4.29	80.0	3.43
	ACCOUNT #: 02531288969	BUY 0 Units @0.0000						
06/30/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	0.00	14.18	0.00	14.18	80.0	11.34
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
06/30/2018	***-**-1834 - BUTLER, KIM	STRATEGIC INCOME FUND C	0.00	5.34	0.00	5.34	80.0	4.27
	ACCOUNT #: 01920863291	BUY 0 Units @0.0000						
06/30/2018	***-**-9206 - SANDER, DAVID	STRATEGIC INCOME FUND C	0.00	9.20	0.00	9.20	80.0	7.36
	ACCOUNT #: 02322653794	BUY 0 Units @0.0000						
06/30/2018	***-**-206I - SANDERS, DAVID	VALUE B	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 03760634293	BUY 0 Units @0.0000						
06/30/2018	***-**-206I - SANDERS, DAVID	VALUE FUND A	0.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 03751582119	BUY 0 Units @0.0000						
06/30/2018	***-**-206I - SANDERS, DAVID	VALUE FUND A	0.00	7.25	0.00	7.25	80.0	5.80
	ACCOUNT #: 03751730652	BUY 0 Units @0.0000						
06/30/2018	***-**-9206 - SANDER, DAVID	VALUE FUND C	0.00	12.03	0.00	12.03	80.0	9.62
	ACCOUNT #: 03770488829	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$6,344.30	\$0.00	\$6,344.30		\$5,075.41
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
07/16/2018	***-**-5046 - GUERRIER, JOHN	PRINCIPAL VA TRAILS	0.00	775.50	0.00	775.50	80.0	620.40
	ACCOUNT #: 456938	BUY 1 Units @0.0000						
07/16/2018	***-**-4432 - WHITE HAVEN	PRINCIPAL VA TRAILS	0.00	1,380.62	0.00	1,380.62	80.0	1,104.50
	ACCOUNT #: 612565	BUY 1 Units @0.0000						
07/16/2018	***-**-96CL - SCARPULLA,	PRINCIPAL VA TRAILS	0.00	201.84	0.00	201.84	80.0	161.47
	ACCOUNT #: 618072	BUY 1 Units @0.0000						



BROKER #: 417
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS (continued)</u>								
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,357.96	\$0.00	\$2,357.96		\$1,886.37
*** BROKER TRANSACTIONS TOTAL ***			\$28,107.60	\$8,983.98	\$6.00	\$8,977.98		\$7,182.34
<u>BROKER COMMISSION TOTALS</u>								
					Broker Transactions			\$7,095.35
					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			\$7,182.34
					Year-to-date Earnings			\$139,780.80