

COMMISSION STATEMENT

January 31, 2018

JANICE GINSBURG
100 AQUEDUCT DRIVEBROKER #: 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

01/10/2018	75501483	SPILLER, HELEN	**GUGGENHEIM FDS TR	S	500.00	0.00	0.00	0.00	50.0	0.00
01/18/2018	75501504	LENER, JOAN	U.S. GOVERNMENT SECURITIES FUND CLA	S	10,750.45	0.00	0.00	0.00	50.0	0.00
01/03/2018	75501965	JACKSON, ROSALYN	**GUGGENHEIM FDS TR	S	1,000.00	0.00	0.00	0.00	50.0	0.00
01/03/2018	75501965	JACKSON, ROSALYN	DAVIS NEW YORK VENTURE CLASS A	S	6,066.67	0.00	0.00	0.00	50.0	0.00
* MUTUAL FUNDS SUBTOTAL *					\$18,317.12	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

01/22/2018	75501647	GINSBURG, JANICE	ADVISORSHARES TR RANGER EQUITY BEAR	S	6,779.70	50.00	0.00	50.00	50.0	25.00
01/22/2018	75501647	GINSBURG, JANICE	AMPLIFY TRANSFORMATIONAL DATA SHARI	B	10,538.00	50.00	0.00	50.00	50.0	25.00
01/22/2018	75501647	GINSBURG, JANICE	OKTA INC CL A COMMON STOCK	B	7,488.99	50.00	0.00	50.00	50.0	25.00
01/03/2018	75501654	KINSLEY, GEORGE	PFIZER INCORPORATED	B	3,643.50	81.71	0.00	81.71	50.0	40.86
01/10/2018	75501739	STAUFFER, JUDITH	INTERNATIONAL BUSINESS MACHINES COR	B	16,406.50	0.00	0.00	0.00	50.0	0.00
01/04/2018	75501836	FARKAS, RONALD	VISA INC CL A COMMON STOCK	B	11,625.00	0.00	0.00	0.00	50.0	0.00
01/04/2018	75501837	FARKAS, MARILYN	VISA INC CL A COMMON STOCK	B	11,625.00	0.00	0.00	0.00	50.0	0.00
* STOCKS SUBTOTAL *					\$68,106.69	\$231.71	\$0.00	\$231.71		\$115.86

PRODUCT CATEGORY: BONDS

01/17/2018	75502161	LORI LERNER EXEC	FEDERAL NATIONAL MTG ASSN SERIES 20	S	1,902.41	50.00	0.00	50.00	50.0	25.00
01/17/2018	75502161	LORI LERNER EXEC	FREDDIE MAC CMO/SERIES 2761 QB-FIXE	S	975.96	50.00	0.00	50.00	50.0	25.00
01/17/2018	75502161	LORI LERNER EXEC	GAP INC/THE SR UNSECURED	S	26,500.00	250.00	0.00	250.00	50.0	125.00
* BONDS SUBTOTAL *					\$29,378.37	\$350.00	\$0.00	\$350.00		\$175.00

PRODUCT CATEGORY: MISCELLANEOUS

01/31/2018	VARIOUS,	GINSBURG	JACKSON	B	0.00	122.68	0.00	122.68	50.0	61.34
01/31/2018	VARIOUS,	GINSBURG	LINCOLN	B	0.00	25.05	0.00	25.05	50.0	12.53
* MISCELLANEOUS SUBTOTAL *					\$0.00	\$147.73	\$0.00	\$147.73		\$73.87

PRODUCT CATEGORY: RIA

01/17/2018	75501739	STAUFFER, JUDITH	FAS FEES PT. I/III	B	0.00	197.00	0.00	197.00	50.0	98.50
01/17/2018	75501744	STAUFFER, ROBERT	FAS FEES PT. I/III	B	-197.00	0.00	0.00	0.00	50.0	0.00
01/17/2018	75501744	STAUFFER, ROBERT	FAS FEES PT. I/III	B	-332.27	332.27	0.00	332.27	50.0	166.14
01/17/2018	75501744	STAUFFER, ROBERT	FAS FEES PT. I/III	B	-62.50	0.00	0.00	0.00	50.0	0.00

COMMISSION STATEMENT for JANICE GINSBURG

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: RIA										
01/17/2018	75501751	STAUFFER, ROBERT	FAS FEES PT. I/III	B	0.00	62.50	0.00	62.50	50.0	31.25
01/17/2018	75501824	ALANCRAIG, DIANE	FAS FEES PT. I/III	B	-114.82	114.82	0.00	114.82	50.0	57.41
01/17/2018	75501828	ALANCRAIG, DIANE	FAS FEES PT. I/III	B	-62.14	62.14	0.00	62.14	50.0	31.07
01/17/2018	75501829	SEPTIEN, ALFREDO	FAS FEES PT. I/III	B	-56.25	56.25	0.00	56.25	50.0	28.13
01/17/2018	75501830	SEPTIEN, ALFREDO	FAS FEES PT. I/III	B	-102.83	102.83	0.00	102.83	50.0	51.42
01/17/2018	75501832	WEXLER, SHEILA	FAS FEES PT. I/III	B	-140.48	140.48	0.00	140.48	50.0	70.24
01/17/2018	75501833	GIRGENTI, V JAMES	FAS FEES PT. I/III	B	-394.00	394.00	0.00	394.00	50.0	197.00
01/17/2018	75501834	BUGANSKI, TERRI	FAS FEES PT. I/III	B	-268.13	268.13	0.00	268.13	50.0	134.07
01/17/2018	75501835	BUGANSKI, TERRI	FAS FEES PT. I/III	B	-30.59	30.59	0.00	30.59	50.0	15.30
01/17/2018	75501836	FARKAS, RONALD	FAS FEES PT. I/III	B	-219.42	219.42	0.00	219.42	50.0	109.71
01/17/2018	75501837	FARKAS, MARILYN	FAS FEES PT. I/III	B	-443.78	443.78	0.00	443.78	50.0	221.89
01/17/2018	75501868	ZEGEN, LOUIS	FAS FEES PT. I/III	B	-425.38	425.38	0.00	425.38	50.0	212.69
01/17/2018	75501869	ZEGEN, LOUIS	FAS FEES PT. I/III	B	-76.20	76.20	0.00	76.20	50.0	38.10
01/17/2018	75501879	LIBOVE, MICHAEL	FAS FEES PT. I/III	B	-426.24	426.24	0.00	426.24	50.0	213.12
* RIA SUBTOTAL *					\$-3,352.03	\$3,352.03	\$0.00	\$3,352.03		\$1,676.04

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

01/10/2018	75501483	SPILLER, HELEN	**GUGGENHEIM FDS TR	B	0.00	1.86	0.00	1.86	50.0	0.93
01/10/2018	75501483	SPILLER, HELEN	AMERICAN BALANCED FUND-A	B	0.00	3.77	0.00	3.77	50.0	1.89
01/10/2018	75501483	SPILLER, HELEN	BOND-DEBENTURE FUND CLASS A	B	0.00	1.13	0.00	1.13	50.0	0.57
01/10/2018	75501483	SPILLER, HELEN	PUTNAM 746745108	B	0.00	0.11	0.00	0.11	50.0	0.00
01/10/2018	75501483	SPILLER, HELEN	THE INCOME FUND OF AMERICA-A	B	0.00	4.36	0.00	4.36	50.0	2.18
01/10/2018	75501504	LERNER, JOAN	U.S. GOVERNMENT SECURITIES FUND CLA B	B	0.00	2.30	0.00	2.30	50.0	1.15
01/10/2018	75501505	LERNER, JOAN	AMERICAN HIGH-INCOME TRUST-A	B	0.00	4.03	0.00	4.03	50.0	2.02
01/10/2018	75501505	LERNER, JOAN	CAPITAL INCOME BUILDER-A	B	0.00	0.72	0.00	0.72	50.0	0.00
01/10/2018	75501505	LERNER, JOAN	CAPITAL WORLD BOND FUND-A	B	0.00	1.82	0.00	1.82	50.0	0.91
01/10/2018	75501505	LERNER, JOAN	THE BOND FUND OF AMERICA-A	B	0.00	4.27	0.00	4.27	50.0	2.14
01/10/2018	75501621	WEXLER, SHEILA	EATON VANCE TAX- MANAGED EQUITY ASS B	B	0.00	14.54	0.00	14.54	50.0	7.27
01/10/2018	75501621	WEXLER, SHEILA	THE HARTFORD MID CAP FUND-A	B	0.00	3.57	0.00	3.57	50.0	1.79
01/10/2018	75501621	WEXLER, SHEILA	THE HARTFORD CAPITAL APPRECIATION F B	B	0.00	2.25	0.00	2.25	50.0	1.13
01/10/2018	75501622	ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL	B	0.00	12.19	0.00	12.19	50.0	6.10
01/10/2018	75501622	ABEL, STACEY	DAVIS NEW YORK VENTURE CLASS A	B	0.00	3.26	0.00	3.26	50.0	1.63
01/10/2018	75501622	ABEL, STACEY	INVESCO COMSTOCK FUND CLASS A	B	0.00	20.24	0.00	20.24	50.0	10.12
01/10/2018	75501622	ABEL, STACEY	MFS GLOBAL EQUITY FUND-A	B	0.00	2.23	0.00	2.23	50.0	1.12
01/10/2018	75501622	ABEL, STACEY	SHORT-TERM BOND FUND OF AMERICA - A B	B	0.00	0.84	0.00	0.84	50.0	0.00
01/10/2018	75501622	ABEL, STACEY	THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	5.73	0.00	5.73	50.0	2.87
01/10/2018	75501624	ALANCRAIG, SUSAN	**GABELLI SRI FUND	B	0.00	11.69	0.00	11.69	50.0	5.85
01/10/2018	75501624	ALANCRAIG, SUSAN	CALVERT EQUITY PORTFOLIO CL C	B	0.00	15.01	0.00	15.01	50.0	7.51
01/10/2018	75501624	ALANCRAIG, SUSAN	NEUBERGER & BERMAN EQUITY FD SOCIAL B	B	0.00	45.70	0.00	45.70	50.0	22.85
01/16/2018	75501624	ALANCRAIG, SUSAN	**IVA FIDUCIARY TR	B	0.00	33.22	0.00	33.22	50.0	16.61

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
01/10/2018	75501625	URQUHART, JOANNE		CALAMOS GROWTH FUND CLASS C	B	0.00	75.41	0.00	75.41 50.0 37.71
01/10/2018	75501626	URQUHART, THOMAS		THE GROWTH FUND OF AMERICA-A	B	0.00	6.17	0.00	6.17 50.0 3.09
01/10/2018	75501627	LEE, T ORIN		**AMG MANAGERS CADENCE MID CAP	B	0.00	1.19	0.00	1.19 50.0 0.60
01/26/2018	75501627	LEE, T ORIN		**VICTORY PORTFOLIOS MUNDER	B	0.00	1.18	0.00	1.18 50.0 0.59
01/10/2018	75501628	MODES, VINCENT		ALL VALUE FUND CLASS A	B	0.00	5.90	0.00	5.90 50.0 2.95
01/10/2018	75501628	MODES, VINCENT		CAPITAL INCOME BUILDER-A	B	0.00	11.35	0.00	11.35 50.0 5.68
01/10/2018	75501628	MODES, VINCENT		CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	5.28	0.00	5.28 50.0 2.64
01/10/2018	75501628	MODES, VINCENT		LORD ABBETT CALIBRATED DIVIDEND GRO B		0.00	4.98	0.00	4.98 50.0 2.49
01/10/2018	75501628	MODES, VINCENT		LORD ABBETT AFFILIATED FUND CLASS A B		0.00	9.48	0.00	9.48 50.0 4.74
01/10/2018	75501628	MODES, VINCENT		MID-CAP VALUE FUND CLASS A	B	0.00	6.81	0.00	6.81 50.0 3.41
01/10/2018	75501628	MODES, VINCENT		NEW PERSPECTIVE FUND-A	B	0.00	9.77	0.00	9.77 50.0 4.89
01/10/2018	75501628	MODES, VINCENT		OPPENHEIMERFUNDS 68380G101	B	0.00	3.17	0.00	3.17 50.0 1.59
01/10/2018	75501628	MODES, VINCENT		THE HARTFORD CAPITAL APPRECIATION F B		0.00	9.89	0.00	9.89 50.0 4.95
01/10/2018	75501628	MODES, VINCENT		THE INVESTMENT COMPANY OF AMERICA-A B		0.00	4.90	0.00	4.90 50.0 2.45
01/16/2018	75501628	MODES, VINCENT		**IVA FIDUCIARY TR	B	0.00	132.56	0.00	132.56 50.0 66.28
01/10/2018	75501629	INOVATIVE INC		EATON VANCE MUT FDS TR FLTG RATE AD B		0.00	10.66	0.00	10.66 50.0 5.33
01/10/2018	75501629	INOVATIVE INC		HARTFORD FLOATING RATE FUND CLASS C B		0.00	13.59	0.00	13.59 50.0 6.80
01/10/2018	75501631	MODES, LOIS		LORD ABBETT RESEARCH FUND INC-SMALL B		0.00	3.69	0.00	3.69 50.0 1.85
01/10/2018	75501631	MODES, LOIS		LORD ABBETT CALIBRATED DIVIDEND GRO B		0.00	6.45	0.00	6.45 50.0 3.23
01/10/2018	75501631	MODES, LOIS		LORD ABBETT AFFILIATED FUND CLASS A B		0.00	5.59	0.00	5.59 50.0 2.80
01/10/2018	75501631	MODES, LOIS		MID-CAP VALUE FUND CLASS A	B	0.00	6.09	0.00	6.09 50.0 3.05
01/10/2018	75501631	MODES, LOIS		NEW PERSPECTIVE FUND-A	B	0.00	7.11	0.00	7.11 50.0 3.56
01/10/2018	75501631	MODES, LOIS		THE HARTFORD MID CAP FUND-A	B	0.00	7.36	0.00	7.36 50.0 3.68
01/16/2018	75501631	MODES, LOIS		**IVA FIDUCIARY TR	B	0.00	64.27	0.00	64.27 50.0 32.14
01/10/2018	75501632	NESHAMINY VALLEY		HARTFORD FLOATING RATE FUND CLASS C B		0.00	5.60	0.00	5.60 50.0 2.80
01/10/2018	75501633	MODES, VINCENT		AIM INTERNATIONAL SMALL CO FUND- CL B		0.00	8.37	0.00	8.37 50.0 4.19
01/10/2018	75501633	MODES, VINCENT		CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	18.15	0.00	18.15 50.0 9.08
01/10/2018	75501633	MODES, VINCENT		EATON VANCE TAX MANAGED VALUE FD CL B		0.00	7.19	0.00	7.19 50.0 3.60
01/10/2018	75501633	MODES, VINCENT		EHV 277911830	B	0.00	16.26	0.00	16.26 50.0 8.13
01/10/2018	75501633	MODES, VINCENT		HARTFORD ADVISERS FUND CLASS A	B	0.00	2.31	0.00	2.31 50.0 1.16
01/10/2018	75501633	MODES, VINCENT		INVESCO COMSTOCK FUND CLASS A	B	0.00	13.66	0.00	13.66 50.0 6.83
01/10/2018	75501633	MODES, VINCENT		JANUS INVT FD HENDERSON EURPEAN FCU B		0.00	10.17	0.00	10.17 50.0 5.09
01/10/2018	75501633	MODES, VINCENT		OPPENHEIMERFUNDS 68380G101	B	0.00	11.99	0.00	11.99 50.0 6.00
01/10/2018	75501633	MODES, VINCENT		THE GROWTH FUND OF AMERICA-A	B	0.00	8.51	0.00	8.51 50.0 4.26
01/10/2018	75501634	CROPANESE, CAROL		**PRUDENTIAL JENNISON NATURAL	B	0.00	11.20	0.00	11.20 50.0 5.60
01/10/2018	75501634	CROPANESE, CAROL		HARTFORD MUTUAL FUNDS INC DIVIDEND	B	0.00	13.62	0.00	13.62 50.0 6.81
01/10/2018	75501634	CROPANESE, CAROL		QUEST OPPORTUNITY VALUE A	B	0.00	0.21	0.00	0.21 50.0 0.00
01/10/2018	75501634	CROPANESE, CAROL		THE HARTFORD MID CAP FUND-C	B	0.00	18.04	0.00	18.04 50.0 9.02
01/10/2018	75501635	CROPANESE, CAROL		BLACKROCK CAP APPRECIATION FD INC C B		0.00	2.85	0.00	2.85 50.0 1.43
01/10/2018	75501635	CROPANESE, CAROL		BLACKROCK GLOBAL ALLOCATION FD INC B		0.00	12.36	0.00	12.36 50.0 6.18

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
01/10/2018	75501635	CROPANESE, CAROL	EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	7.43	0.00	7.43	50.0	3.72
01/10/2018	75501635	CROPANESE, CAROL	EHV 277911772	B	0.00	1.65	0.00	1.65	0.83
01/10/2018	75501635	CROPANESE, CAROL	IVY ASSET STRATEGY FD CL C	B	0.00	10.99	0.00	10.99	5.50
01/26/2018	75501635	CROPANESE, CAROL	**VICTORY PORTFOLIOS	B	0.00	7.04	0.00	7.04	3.52
01/10/2018	75501636	URQUHART, THOMAS	FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	25.86	0.00	25.86	12.93
01/10/2018	75501637	ROTHSTEIN, HARRIET	LORD ABBETT SHORT DURATION INCOME F B	B	0.00	1.90	0.00	1.90	0.95
01/10/2018	75501637	ROTHSTEIN, HARRIET	SHORT-TERM BOND FUND OF AMERICA - A B	B	0.00	1.44	0.00	1.44	0.72
01/10/2018	75501637	ROTHSTEIN, HARRIET	STRATEGIC INCOME A	B	0.00	3.49	0.00	3.49	1.75
01/10/2018	75501638	CROPANESE,	**AMG MANAGERS CADENCE MID CAP	B	0.00	4.30	0.00	4.30	2.15
01/10/2018	75501638	CROPANESE,	**PRUDENTIAL JENNISON NATURAL	B	0.00	8.96	0.00	8.96	4.48
01/10/2018	75501638	CROPANESE,	EATON VANCE TAX MANAGED GROWTH FUND B	B	0.00	3.30	0.00	3.30	1.65
01/10/2018	75501638	CROPANESE,	HARTFORD MUTUAL FUNDS INC DIVIDEND B	B	0.00	10.18	0.00	10.18	5.09
01/10/2018	75501638	CROPANESE,	QUEST OPPORTUNITY VALUE A	B	0.00	6.08	0.00	6.08	3.04
01/10/2018	75501638	CROPANESE,	SHORT-TERM BOND FUND OF AMERICA - A B	B	0.00	3.30	0.00	3.30	1.65
01/10/2018	75501638	CROPANESE,	THE HARTFORD MID CAP FUND-C	B	0.00	13.48	0.00	13.48	6.74
01/10/2018	75501639	CONNOLLY, EDWARD	AIM CHARTER FUND - CLASS A	B	0.00	2.67	0.00	2.67	1.34
01/10/2018	75501639	CONNOLLY, EDWARD	ALLIANCEBERNSTEIN LARGE-CAP GROWTH B	B	0.00	0.99	0.00	0.99	0.00
01/10/2018	75501639	CONNOLLY, EDWARD	BLACKROCK HEALTH SCIENCES OPPORTUNI B	B	0.00	4.81	0.00	4.81	2.41
01/10/2018	75501639	CONNOLLY, EDWARD	FIDELITY ADVISOR FUNDS 315918474	B	0.00	3.67	0.00	3.67	1.84
01/10/2018	75501639	CONNOLLY, EDWARD	FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	4.97	0.00	4.97	2.49
01/10/2018	75501639	CONNOLLY, EDWARD	HARTFORD ADVISERS FUND CLASS A	B	0.00	1.56	0.00	1.56	0.78
01/10/2018	75501639	CONNOLLY, EDWARD	THE HARTFORD DIVIDEND & GROWTH FUND B	B	0.00	0.92	0.00	0.92	0.00
01/10/2018	75501640	ROTHSTEIN, JOEL	FUNDAMENTAL INVESTORS-A	B	0.00	4.90	0.00	4.90	2.45
01/10/2018	75501640	ROTHSTEIN, JOEL	INVESCO COMSTOCK FUND CLASS A	B	0.00	4.60	0.00	4.60	2.30
01/10/2018	75501640	ROTHSTEIN, JOEL	THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	4.39	0.00	4.39	2.20
01/10/2018	75501640	ROTHSTEIN, JOEL	WASHINGTON MUTUAL INVESTORS FUND-A B	B	0.00	6.51	0.00	6.51	3.26
01/10/2018	75501643	CONNOLLY, MARCELLA	ALLIANZ NFJ DIVIDEND VALUE FUND CLA B	B	0.00	1.27	0.00	1.27	0.64
01/10/2018	75501643	CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A	B	0.00	2.09	0.00	2.09	1.05
01/10/2018	75501643	CONNOLLY, MARCELLA	THE HARTFORD MID CAP FUND-A	B	0.00	2.42	0.00	2.42	1.21
01/10/2018	75501643	CONNOLLY, MARCELLA	THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	2.61	0.00	2.61	1.31
01/10/2018	75501645	CONNOLLY, MARCELLA	AMERICAN MUTUAL FUND-A	B	0.00	11.64	0.00	11.64	5.82
01/10/2018	75501645	CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A	B	0.00	1.14	0.00	1.14	0.57
01/10/2018	75501645	CONNOLLY, MARCELLA	QUEST OPPORTUNITY VALUE A	B	0.00	1.08	0.00	1.08	0.54
01/16/2018	75501645	CONNOLLY, MARCELLA	**IVA FIDUCIARY TR	B	0.00	22.94	0.00	22.94	11.47
01/10/2018	75501646	DLUGOSZ, PATRICIA	INVESCO COMSTOCK FUND CLASS A	B	0.00	9.51	0.00	9.51	4.76
01/10/2018	75501646	DLUGOSZ, PATRICIA	THE HARTFORD DIVIDEND & GROWTH FUND B	B	0.00	2.56	0.00	2.56	1.28
01/10/2018	75501648	GINSBURG, JANICE	EATON VANCE LARGE CAP VALUE FUND CL B	B	0.00	0.30	0.00	0.30	0.00
01/10/2018	75501648	GINSBURG, JANICE	EATON VANCE UTILITIES FUND CLASS A B	B	0.00	2.31	0.00	2.31	1.16
01/10/2018	75501648	GINSBURG, JANICE	MIDCAP GROWTH - CLASS A	B	0.00	1.64	0.00	1.64	0.82
01/10/2018	75501650	MODES, VINCENT	CAPITAL INCOME BUILDER-A	B	0.00	13.50	0.00	13.50	6.75

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>									
01/10/2018	75501650	MODES, VINCENT		DAVIS NEW YORK VENTURE CLASS C	B	0.00	18.09	0.00	18.09 50.0 9.05
01/10/2018	75501650	MODES, VINCENT		LORD ABBETT RESEARCH FUND INC-SMALL B		0.00	7.71	0.00	7.71 50.0 3.86
01/10/2018	75501650	MODES, VINCENT		LORD ABBETT CALIBRATED DIVIDEND GRO B		0.00	15.22	0.00	15.22 50.0 7.61
01/10/2018	75501650	MODES, VINCENT		LORD ABBETT MULTI ASSET BALANCED OP B		0.00	16.99	0.00	16.99 50.0 8.50
01/10/2018	75501650	MODES, VINCENT		LORD ABBETT AFFILIATED FUND CLASS A B		0.00	9.50	0.00	9.50 50.0 4.75
01/10/2018	75501650	MODES, VINCENT		NEW PERSPECTIVE FUND-A	B	0.00	4.19	0.00	4.19 50.0 2.10
01/10/2018	75501650	MODES, VINCENT		OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	1.28	0.00	1.28 50.0 0.64
01/10/2018	75501650	MODES, VINCENT		QUEST VALUE A	B	0.00	2.83	0.00	2.83 50.0 1.42
01/10/2018	75501650	MODES, VINCENT		THE INVESTMENT COMPANY OF AMERICA-A B		0.00	4.90	0.00	4.90 50.0 2.45
01/10/2018	75501652	DLUGOSZ, JOHN		ALLIANZ NFJ DIVIDEND VALUE FUND CLA B		0.00	3.20	0.00	3.20 50.0 1.60
01/10/2018	75501652	DLUGOSZ, JOHN		AMERICAN MUTUAL FUND-A	B	0.00	15.75	0.00	15.75 50.0 7.88
01/10/2018	75501652	DLUGOSZ, JOHN		CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	8.80	0.00	8.80 50.0 4.40
01/10/2018	75501652	DLUGOSZ, JOHN		EATON VANCE GLOBAL MACRO ABSOLUTE R B		0.00	18.90	0.00	18.90 50.0 9.45
01/10/2018	75501652	DLUGOSZ, JOHN		GLOBAL FUND A	B	0.00	2.34	0.00	2.34 50.0 1.17
01/10/2018	75501652	DLUGOSZ, JOHN		NEW WORLD FUND-A	B	0.00	3.13	0.00	3.13 50.0 1.57
01/10/2018	75501652	DLUGOSZ, JOHN		THE GROWTH FUND OF AMERICA-A	B	0.00	2.34	0.00	2.34 50.0 1.17
01/10/2018	75501652	DLUGOSZ, JOHN		THE HARTFORD CAPITAL APPRECIATION F B		0.00	4.21	0.00	4.21 50.0 2.11
01/10/2018	75501652	DLUGOSZ, JOHN		THE HARTFORD MID CAP FUND-A	B	0.00	4.20	0.00	4.20 50.0 2.10
01/10/2018	75501657	DLUGOSZ, JOHN		AMERICAN HIGH-INCOME TRUST-A	B	0.00	2.69	0.00	2.69 50.0 1.35
01/10/2018	75501657	DLUGOSZ, JOHN		EATON VANCE TAX- MANAGED EQUITY ASS B		0.00	9.23	0.00	9.23 50.0 4.62
01/10/2018	75501657	DLUGOSZ, JOHN		EHV 277902813	B	0.00	1.85	0.00	1.85 50.0 0.93
01/10/2018	75501657	DLUGOSZ, JOHN		MAINSTAY HIGH-YIELD CORPORATE BOND B		0.00	2.81	0.00	2.81 50.0 1.41
01/10/2018	75501658	TANNENBAUM, ARLENE		BLACKROCK GLOBAL ALLOCATION FD INC B		0.00	15.75	0.00	15.75 50.0 7.88
01/10/2018	75501658	TANNENBAUM, ARLENE		EATON VANCE LARGE CAP VALUE FUND CL B		0.00	1.49	0.00	1.49 50.0 0.75
01/10/2018	75501658	TANNENBAUM, ARLENE		FUNDAMENTAL INVESTORS-A	B	0.00	3.61	0.00	3.61 50.0 1.81
01/10/2018	75501658	TANNENBAUM, ARLENE		IVY ASSET STRATEGY FD CL C	B	0.00	14.72	0.00	14.72 50.0 7.36
01/10/2018	75501658	TANNENBAUM, ARLENE		OPPENHEIMER GLOBAL CLASS C	B	0.00	23.85	0.00	23.85 50.0 11.93
01/10/2018	75501660	ABEL, STACEY		**PRUDENTIAL JENNISON 20/20	B	0.00	12.72	0.00	12.72 50.0 6.36
01/10/2018	75501660	ABEL, STACEY		**PRUDENTIAL JENNISON NATURAL	B	0.00	6.90	0.00	6.90 50.0 3.45
01/10/2018	75501660	ABEL, STACEY		**PRUDENTIAL NATIONAL MUNI	B	0.00	10.47	0.00	10.47 50.0 5.24
01/10/2018	75501660	ABEL, STACEY		COLUMBIA SELIGMAN COMMUNICATIONS AN B		0.00	3.39	0.00	3.39 50.0 1.70
01/10/2018	75501660	ABEL, STACEY		EATON VANCE LARGE CAP VALUE FUND CL B		0.00	9.37	0.00	9.37 50.0 4.69
01/10/2018	75501660	ABEL, STACEY		EHV 277902813	B	0.00	6.73	0.00	6.73 50.0 3.37
01/10/2018	75501660	ABEL, STACEY		EUROPACIFIC GROWTH FUND CLASS F	B	0.00	3.36	0.00	3.36 50.0 1.68
01/10/2018	75501660	ABEL, STACEY		FUNDAMENTAL INVESTORS FUND CLASS F B		0.00	8.81	0.00	8.81 50.0 4.41
01/10/2018	75501660	ABEL, STACEY		IVY ASSET STRATEGY FD CL C	B	0.00	17.64	0.00	17.64 50.0 8.82
01/10/2018	75501660	ABEL, STACEY		OPPENHEIMER SMALL & MID CAP VALUE F B		0.00	3.87	0.00	3.87 50.0 1.94
01/10/2018	75501660	ABEL, STACEY		OPPENHEIMER DEVELOPING MARKETS FUND B		0.00	3.47	0.00	3.47 50.0 1.74
01/10/2018	75501660	ABEL, STACEY		PIMCO REAL RETURN FUND (A)	B	0.00	5.24	0.00	5.24 50.0 2.62
01/10/2018	75501660	ABEL, STACEY		PIMCO SHORT TERM FUND-CL A	B	0.00	7.31	0.00	7.31 50.0 3.66

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>									
01/10/2018	75501660 ABEL, STACEY	PIMCO TOTAL RETURN CLASS A	B	0.00	6.18	0.00	6.18	50.0	3.09
01/10/2018	75501660 ABEL, STACEY	THORNBURG INVT TR INTL VALUE FD CL	B	0.00	11.93	0.00	11.93	50.0	5.97
01/16/2018	75501660 ABEL, STACEY	**IVA FIDUCIARY TR	B	0.00	72.31	0.00	72.31	50.0	36.16
01/26/2018	75501660 ABEL, STACEY	**VICTORY PORTFOLIOS	B	0.00	2.22	0.00	2.22	50.0	1.11
01/10/2018	75501661 ABEL, STACEY	BLACKROCK GLOBAL ALLOCATION FUND IN B		0.00	1.62	0.00	1.62	50.0	0.81
01/10/2018	75501662 LOWENSTEIN, ALLAN	EATON VANCE TAX- MANAGED EQUITY ASS B		0.00	13.49	0.00	13.49	50.0	6.75
01/10/2018	75501662 LOWENSTEIN, ALLAN	LORD ABBETT AFFILIATED FUND CLASS A B		0.00	4.40	0.00	4.40	50.0	2.20
01/10/2018	75501747 STAUFFER, JUDITH	EATON VANCE UTILITIES FUND CLASS A B		0.00	4.49	0.00	4.49	50.0	2.25
01/10/2018	75501748 STAUFFER, JUDITH	MFS INTERNATIONAL VALUE FUND-A	B	0.00	1.27	0.00	1.27	50.0	0.64
01/10/2018	75501750 STAUFFER, ROBERT	MFS INTERNATIONAL VALUE FUND-A	B	0.00	1.50	0.00	1.50	50.0	0.75
01/10/2018	75501812 HALL, RUTH	INTERMEDIATE BOND FUND OF AMERICA-A B		0.00	3.39	0.00	3.39	50.0	1.70
01/10/2018	75501825 SEPTIEN, ALFREDO	**GUGGENHEIM FDS TR	B	0.00	0.79	0.00	0.79	50.0	0.00
01/10/2018	75501825 SEPTIEN, ALFREDO	**PRUDENTIAL JENNISON 20/20	B	0.00	0.97	0.00	0.97	50.0	0.00
01/10/2018	75501825 SEPTIEN, ALFREDO	CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	1.58	0.00	1.58	50.0	0.79
01/10/2018	75501825 SEPTIEN, ALFREDO	NEW WORLD FUND-A	B	0.00	1.23	0.00	1.23	50.0	0.62
01/10/2018	75501847 GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	0.92	0.00	0.92	50.0	0.00
01/10/2018	75501847 GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	B	0.00	1.16	0.00	1.16	50.0	0.58
01/10/2018	75501848 JONAS, HILDA	JOHN HANCOCK FDS III JHF III SMALL B		0.00	1.35	0.00	1.35	50.0	0.68
01/10/2018	75501853 FARKAS, RONALD	BLACKROCK MULTI ST MUN SER TR PA MU B		0.00	2.47	0.00	2.47	50.0	1.24
01/10/2018	75501896 BLUM, STACEY	THE HARTFORD MID CAP FUND-A	B	0.00	2.86	0.00	2.86	50.0	1.43
01/10/2018	75501898 LIBOVE, MICHAEL	FIDELITY ADVISOR SMALL CAP FUND CLA B		0.00	5.38	0.00	5.38	50.0	2.69
01/10/2018	75501898 LIBOVE, MICHAEL	THE INCOME FUND OF AMERICA-A	B	0.00	0.67	0.00	0.67	50.0	0.00
01/10/2018	75501899 O'NEILL, LINDA	**AMG MANAGERS CADENCE MID CAP	B	0.00	5.66	0.00	5.66	50.0	2.83
01/10/2018	75501899 O'NEILL, LINDA	**PRUDENTIAL JENNISON 20/20	B	0.00	4.98	0.00	4.98	50.0	2.49
01/10/2018	75501899 O'NEILL, LINDA	AIM CHARTER FUND - CLASS A	B	0.00	8.28	0.00	8.28	50.0	4.14
01/10/2018	75501899 O'NEILL, LINDA	AIM ENERGY FUND - CLASS A	B	0.00	4.63	0.00	4.63	50.0	2.32
01/10/2018	75501899 O'NEILL, LINDA	CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	3.05	0.00	3.05	50.0	1.53
01/10/2018	75501899 O'NEILL, LINDA	INVESCO COMSTOCK FUND CLASS A	B	0.00	37.12	0.00	37.12	50.0	18.56
01/10/2018	75501899 O'NEILL, LINDA	INVESCO GROWTH AND INCOME FUND CL A B		0.00	9.15	0.00	9.15	50.0	4.58
01/10/2018	75501899 O'NEILL, LINDA	NEW PERSPECTIVE FUND-A	B	0.00	11.83	0.00	11.83	50.0	5.92
01/10/2018	75501899 O'NEILL, LINDA	NEW WORLD FUND-A	B	0.00	3.07	0.00	3.07	50.0	1.54
01/10/2018	75501899 O'NEILL, LINDA	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	2.85	0.00	2.85	50.0	1.43
01/10/2018	75501899 O'NEILL, LINDA	THE INVESTMENT COMPANY OF AMERICA-A B		0.00	3.39	0.00	3.39	50.0	1.70
01/16/2018	75501899 O'NEILL, LINDA	**IVA FIDUCIARY TR	B	0.00	57.96	0.00	57.96	50.0	28.98
01/10/2018	75501902 ARMSTRONG, AMANDA	ALLIANZ NFJ LARGE CAP VALUE FUND CL B		0.00	1.39	0.00	1.39	50.0	0.70
01/10/2018	75501902 ARMSTRONG, AMANDA	JANUS INVT FD HENDERSON INTL OPRTN B		0.00	1.21	0.00	1.21	50.0	0.61
01/10/2018	75501902 ARMSTRONG, AMANDA	TEMP GLOBAL BOND FND - CL A	B	0.00	1.06	0.00	1.06	50.0	0.53
01/10/2018	75501902 ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A	B	0.00	1.06	0.00	1.06	50.0	0.53
01/10/2018	75501902 ARMSTRONG, AMANDA	THE HARTFORD MID CAP FUND-A	B	0.00	6.61	0.00	6.61	50.0	3.31
01/10/2018	75501902 ARMSTRONG, AMANDA	WASHINGTON MUTUAL INVESTORS FUND-A B		0.00	2.55	0.00	2.55	50.0	1.28

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										
01/26/2018	75501902	ARMSTRONG, AMANDA	**VICTORY PORTFOLIOS	B	0.00	1.01	0.00	1.01	50.0	0.51
01/10/2018	75501903	ARMSTRONG, AMANDA	**GUGGENHEIM FDS TR	B	0.00	1.76	0.00	1.76	50.0	0.88
01/10/2018	75501903	ARMSTRONG, AMANDA	EUROPACIFIC GROWTH FUND-A	B	0.00	1.60	0.00	1.60	50.0	0.80
01/10/2018	75501903	ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A	B	0.00	2.38	0.00	2.38	50.0	1.19
01/10/2018	75501905	TANCREDI, NICHOLAS	CAPITAL INCOME A	B	0.00	2.28	0.00	2.28	50.0	1.14
01/10/2018	75501905	TANCREDI, NICHOLAS	GLOBAL FUND A	B	0.00	1.75	0.00	1.75	50.0	0.88
01/10/2018	75501905	TANCREDI, NICHOLAS	GLOBAL OPPORTUNITIES A	B	0.00	5.44	0.00	5.44	50.0	2.72
01/10/2018	75501905	TANCREDI, NICHOLAS	LORD ABBETT INVT TR TOTAL RETURN FU B		0.00	0.95	0.00	0.95	50.0	0.00
01/10/2018	75501905	TANCREDI, NICHOLAS	OPPENHEIMER 68380L100	B	0.00	1.52	0.00	1.52	50.0	0.76
01/10/2018	75501905	TANCREDI, NICHOLAS	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	2.81	0.00	2.81	50.0	1.41
01/10/2018	75501905	TANCREDI, NICHOLAS	THE HARTFORD CAPITAL APPRECIATION F B		0.00	2.77	0.00	2.77	50.0	1.39
01/10/2018	75501905	TANCREDI, NICHOLAS	THE HARTFORD FLOATING RATE FUND - A B		0.00	1.56	0.00	1.56	50.0	0.78
01/16/2018	75501905	TANCREDI, NICHOLAS	**IVA FIDUCIARY TR	B	0.00	50.21	0.00	50.21	50.0	25.11
01/10/2018	75501921	TANCREDI, NICHOLAS	INVESCO COMSTOCK FUND CLASS A	B	0.00	3.00	0.00	3.00	50.0	1.50
01/10/2018	75501965	JACKSON, ROSALYN	**GUGGENHEIM FDS TR	B	0.00	1.07	0.00	1.07	50.0	0.54
01/10/2018	75501965	JACKSON, ROSALYN	DAVIS NEW YORK VENTURE CLASS A	B	0.00	1.25	0.00	1.25	50.0	0.63
01/10/2018	75501965	JACKSON, ROSALYN	FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	6.34	0.00	6.34	50.0	3.17
01/10/2018	75501995	SEPTIEN, ALEC	**GUGGENHEIM FDS TR	B	0.00	0.60	0.00	0.60	50.0	0.00
01/10/2018	75501995	SEPTIEN, ALEC	NEW WORLD FUND-A	B	0.00	0.90	0.00	0.90	50.0	0.00
01/10/2018	75502077	GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	9.11	0.00	9.11	50.0	4.56
01/10/2018	75502077	GINSBURG, VIVIAN	EATON VANCE LARGE CAP VALUE FUND CL B		0.00	1.51	0.00	1.51	50.0	0.76
01/10/2018	75502077	GINSBURG, VIVIAN	EATON VANCE NATIONAL MUNICIPAL FUND B		0.00	8.30	0.00	8.30	50.0	4.15
01/10/2018	75502077	GINSBURG, VIVIAN	FRK FL TF INC FND - CL A	B	0.00	3.57	0.00	3.57	50.0	1.79
01/10/2018	75502077	GINSBURG, VIVIAN	HIGH YIELD A	B	0.00	3.42	0.00	3.42	50.0	1.71
01/10/2018	75502077	GINSBURG, VIVIAN	INCOME FUND AMER INC CL F1	B	0.00	11.13	0.00	11.13	50.0	5.57
01/10/2018	75502077	GINSBURG, VIVIAN	MFS HIGH-YIELD OPPORTUNITIES FUND C B		0.00	0.92	0.00	0.92	50.0	0.00
01/10/2018	75502077	GINSBURG, VIVIAN	PIMCO COMMODITY REAL RETURN STRATEG B		0.00	1.14	0.00	1.14	50.0	0.57
01/10/2018	75502077	GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	B	0.00	2.86	0.00	2.86	50.0	1.43
01/10/2018	75502084	TREICHLER, CHARLES	ALLIANZ NFJ LARGE CAP VALUE FUND CL B		0.00	2.91	0.00	2.91	50.0	1.46
01/10/2018	75502084	TREICHLER, CHARLES	SHORT-TERM BOND FUND OF AMERICA - A B		0.00	1.02	0.00	1.02	50.0	0.51
01/16/2018	75502084	TREICHLER, CHARLES	**IVA FIDUCIARY TR	B	0.00	49.07	0.00	49.07	50.0	24.54
01/10/2018	75502085	GINSBURG, JANICE	**PRUDENTIAL JENNISON 20/20	B	0.00	2.10	0.00	2.10	50.0	1.05
01/10/2018	75502085	GINSBURG, JANICE	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	1.21	0.00	1.21	50.0	0.61
01/26/2018	75502085	GINSBURG, JANICE	**VICTORY PORTFOLIOS MUNDER	B	0.00	1.18	0.00	1.18	50.0	0.59
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$1,808.12	\$0.00	\$1,808.12		\$899.19
*** BROKER TRANSACTIONS TOTAL ***					\$112,450.15	\$5,889.59	\$0.00	\$5,889.59		\$2,939.96

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.07
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-21.15
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-27.58
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-18.77
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-15.36
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-31.07
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-29.78
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
01/31/2018		DEUNB:UNBUNDLED QTRTRY FEE (LPCM):		0.00	0.00	0.00	0.00		-29.84
01/31/2018		OTHER: OTHER-TOWER BRIDGE		0.00	0.00	0.00	0.00		-118.02
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-416.64

BROKER COMMISSION TOTALS

Broker Transactions	\$2,939.96
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-416.64
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-7.18
SIPC Assessment	\$-14.35

Check Amount	\$2,501.79
Year-to-date Earnings	\$2,501.79