

## COMMISSION STATEMENT

October 31, 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
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>									
10/10/2017	75501483 SPILLER, HELEN	**GUGGENHEIM FDS TR	S	500.00	0.00	0.00	0.00	50.0	0.00
10/11/2017	75501833 GIRGENTI, V JAMES	MATTHEWS ASIAN GROWTH & INCOME FUND S	S	4,763.89	0.00	0.00	0.00	50.0	0.00
<b>* MUTUAL FUNDS SUBTOTAL *</b>				<b>\$5,263.89</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>									
09/28/2017	75501654 KINSLEY, GEORGE	SOUTHERN CO	B	4,874.76	100.00	0.00	100.00	50.0	50.00
10/18/2017	75501654 KINSLEY, GEORGE	DOMINION RESOURCES INC VA NEW	B	7,872.72	100.00	0.00	100.00	50.0	50.00
09/28/2017	75501656 KINSLEY, MARTI	SOUTHERN CO	B	682.36	50.00	0.00	50.00	50.0	25.00
10/04/2017	75501832 WEXLER, SHEILA	TEVA PHARMACEUTICAL INDUSTRIES LIM B	B	16,390.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501833 GIRGENTI, V JAMES	ARISTA NETWORKS INC COM	B	4,765.75	0.00	0.00	0.00	50.0	0.00
<b>* STOCKS SUBTOTAL *</b>				<b>\$34,585.59</b>	<b>\$250.00</b>	<b>\$0.00</b>	<b>\$250.00</b>		<b>\$125.00</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>									
10/23/2017	(None) VARIOUS, GINSBURG	JACKSON	B	0.00	118.00	0.00	118.00	50.0	59.00
10/23/2017	(None) VARIOUS, GINSBURG	LINCOLN	B	0.00	23.73	0.00	23.73	50.0	11.87
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$141.73</b>	<b>\$0.00</b>	<b>\$141.73</b>		<b>\$70.87</b>
<b><u>PRODUCT CATEGORY: MISCELLANEOUS</u></b>									
10/31/2017	VARIOUS, GINSBURG	ADVISORY INCOME	B	0.00	-6,634.66	0.00	-6,634.66	50.0	-3,317.33
<b>* MISCELLANEOUS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$-6,634.66</b>	<b>\$0.00</b>	<b>\$-6,634.66</b>		<b>\$-3,317.33</b>
<b><u>PRODUCT CATEGORY: RIA</u></b>									
10/16/2017	75501739 STAUFFER, JUDITH	FAS FEES	B	0.00	597.63	0.00	597.63	50.0	298.82
10/16/2017	75501744 STAUFFER, ROBERT	FAS FEES	B	-597.63	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501744 STAUFFER, ROBERT	FAS FEES	B	-202.40	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501744 STAUFFER, ROBERT	FAS FEES	B	-955.48	955.48	0.00	955.48	50.0	477.74
10/16/2017	75501751 STAUFFER, ROBERT	FAS FEES	B	0.00	202.40	0.00	202.40	50.0	101.20
10/16/2017	75501824 ALANCRAIG, DIANE	FAS FEES	B	-338.84	338.84	0.00	338.84	50.0	169.42
10/16/2017	75501828 ALANCRAIG, DIANE	FAS FEES	B	-184.46	184.46	0.00	184.46	50.0	92.23
10/16/2017	75501829 SEPTIEN, ALFREDO	FAS FEES	B	-166.74	166.74	0.00	166.74	50.0	83.37
10/16/2017	75501830 SEPTIEN, ALFREDO	FAS FEES	B	-309.46	309.46	0.00	309.46	50.0	154.73
10/16/2017	75501832 WEXLER, SHEILA	FAS FEES	B	-407.64	407.64	0.00	407.64	50.0	203.82

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: RIA										
10/16/2017	75501833	GIRGENTI, V JAMES	FAS FEES	B	-1,133.85	1,133.85	0.00	1,133.85	50.0	566.93
10/16/2017	75501834	BUGANSKI, TERRI	FAS FEES	B	-788.93	788.93	0.00	788.93	50.0	394.47
10/16/2017	75501835	BUGANSKI, TERRI	FAS FEES	B	-89.56	89.56	0.00	89.56	50.0	44.78
10/16/2017	75501836	FARKAS, RONALD	FAS FEES	B	-650.59	650.59	0.00	650.59	50.0	325.30
10/16/2017	75501837	FARKAS, MARILYN	FAS FEES	B	-1,320.15	1,320.15	0.00	1,320.15	50.0	660.08
10/16/2017	75501868	ZEGEN, LOUIS	FAS FEES	B	-1,258.33	1,258.33	0.00	1,258.33	50.0	629.17
10/16/2017	75501869	ZEGEN, LOUIS	FAS FEES	B	-232.81	232.81	0.00	232.81	50.0	116.41
10/16/2017	75501879	LIBOVE, MICHAEL	FAS FEES	B	-1,315.59	1,315.59	0.00	1,315.59	50.0	657.80
* RIA SUBTOTAL *					\$-9,952.46	\$9,952.46	\$0.00	\$9,952.46		\$4,976.27

**PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS**

10/10/2017	75501483	SPILLER, HELEN	**GUGGENHEIM FDS TR	B	0.00	1.98	0.00	1.98	50.0	0.99
10/10/2017	75501483	SPILLER, HELEN	AMERICAN BALANCED FUND-A	B	0.00	3.50	0.00	3.50	50.0	1.75
10/10/2017	75501483	SPILLER, HELEN	BOND-DEBENTURE FUND CLASS A	B	0.00	1.09	0.00	1.09	50.0	0.55
10/10/2017	75501483	SPILLER, HELEN	PUTNAM 746745108	B	0.00	0.10	0.00	0.10	50.0	0.00
10/10/2017	75501483	SPILLER, HELEN	THE INCOME FUND OF AMERICA-A	B	0.00	4.10	0.00	4.10	50.0	2.05
10/10/2017	75501504	LERNER, JOAN	U.S. GOVERNMENT SECURITIES FUND CLA B	B	0.00	2.26	0.00	2.26	50.0	1.13
10/10/2017	75501505	LERNER, JOAN	AMERICAN HIGH-INCOME TRUST-A	B	0.00	3.92	0.00	3.92	50.0	1.96
10/10/2017	75501505	LERNER, JOAN	CAPITAL INCOME BUILDER-A	B	0.00	0.69	0.00	0.69	50.0	0.00
10/10/2017	75501505	LERNER, JOAN	CAPITAL WORLD BOND FUND-A	B	0.00	1.78	0.00	1.78	50.0	0.89
10/10/2017	75501505	LERNER, JOAN	THE BOND FUND OF AMERICA-A	B	0.00	4.18	0.00	4.18	50.0	2.09
10/10/2017	75501621	WEXLER, SHEILA	EATON VANCE TAX- MANAGED EQUITY ASS B	B	0.00	13.23	0.00	13.23	50.0	6.62
10/10/2017	75501621	WEXLER, SHEILA	THE HARTFORD CAPITAL APPRECIATION F B	B	0.00	2.07	0.00	2.07	50.0	1.04
10/10/2017	75501621	WEXLER, SHEILA	THE HARTFORD MID CAP FUND-A	B	0.00	3.17	0.00	3.17	50.0	1.59
10/10/2017	75501622	ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL	B	0.00	10.97	0.00	10.97	50.0	5.49
10/10/2017	75501622	ABEL, STACEY	DAVIS NEW YORK VENTURE CLASS A	B	0.00	2.91	0.00	2.91	50.0	1.46
10/10/2017	75501622	ABEL, STACEY	INVESCO COMSTOCK FUND CLASS A	B	0.00	18.72	0.00	18.72	50.0	9.36
10/10/2017	75501622	ABEL, STACEY	MFS GLOBAL EQUITY FUND-A	B	0.00	2.07	0.00	2.07	50.0	1.04
10/10/2017	75501622	ABEL, STACEY	SHORT-TERM BOND FUND OF AMERICA - A B	B	0.00	0.82	0.00	0.82	50.0	0.00
10/10/2017	75501622	ABEL, STACEY	THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	5.19	0.00	5.19	50.0	2.60
10/10/2017	75501624	ALANCRAIG, SUSAN	**GABELLI SRI FUND	B	0.00	10.98	0.00	10.98	50.0	5.49
10/10/2017	75501624	ALANCRAIG, SUSAN	CALVERT EQUITY PORTFOLIO CL C	B	0.00	12.50	0.00	12.50	50.0	6.25
10/10/2017	75501624	ALANCRAIG, SUSAN	NEUBERGER & BERMAN EQUITY FD SOCIAL B	B	0.00	44.06	0.00	44.06	50.0	22.03
10/17/2017	75501624	ALANCRAIG, SUSAN	**IVA FIDUCIARY TR	B	0.00	32.44	0.00	32.44	50.0	16.22
10/10/2017	75501625	URQUHART, JOANNE	CALAMOS GROWTH FUND CLASS C	B	0.00	71.25	0.00	71.25	50.0	35.63
10/10/2017	75501626	URQUHART, THOMAS	THE GROWTH FUND OF AMERICA-A	B	0.00	5.72	0.00	5.72	50.0	2.86
10/10/2017	75501627	LEE, T ORIN	**AMG MANAGERS CADENCE MID CAP	B	0.00	1.05	0.00	1.05	50.0	0.53
10/25/2017	75501627	LEE, T ORIN	**VICTORY PORTFOLIOS MUNDER	B	0.00	1.02	0.00	1.02	50.0	0.51
10/10/2017	75501628	MODES, VINCENT	ALL VALUE FUND CLASS A	B	0.00	5.36	0.00	5.36	50.0	2.68
10/10/2017	75501628	MODES, VINCENT	CAPITAL INCOME BUILDER-A	B	0.00	10.73	0.00	10.73	50.0	5.37

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
10/10/2017	75501628	MODES, VINCENT		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	4.87	0.00	4.87	50.0 2.44
10/10/2017	75501628	MODES, VINCENT		LORD ABBETT CALIBRATED DIVIDEND GRO B	0.00	4.45	0.00	4.45	50.0 2.23
10/10/2017	75501628	MODES, VINCENT		LORD ABBETT AFFILIATED FUND CLASS A B	0.00	8.56	0.00	8.56	50.0 4.28
10/10/2017	75501628	MODES, VINCENT		MID-CAP VALUE FUND CLASS A B	0.00	6.36	0.00	6.36	50.0 3.18
10/10/2017	75501628	MODES, VINCENT		NEW PERSPECTIVE FUND-A B	0.00	9.05	0.00	9.05	50.0 4.53
10/10/2017	75501628	MODES, VINCENT		OPPENHEIMERFUNDS 68380G101 B	0.00	2.95	0.00	2.95	50.0 1.48
10/10/2017	75501628	MODES, VINCENT		THE HARTFORD CAPITAL APPRECIATION F B	0.00	9.10	0.00	9.10	50.0 4.55
10/10/2017	75501628	MODES, VINCENT		THE INVESTMENT COMPANY OF AMERICA-A B	0.00	4.44	0.00	4.44	50.0 2.22
10/17/2017	75501628	MODES, VINCENT		**IVA FIDUCIARY TR B	0.00	129.44	0.00	129.44	50.0 64.72
10/10/2017	75501629	INOVATIVE INC		EATON VANCE MUT FDS TR FLTG RATE AD B	0.00	10.19	0.00	10.19	50.0 5.10
10/10/2017	75501629	INOVATIVE INC		HARTFORD FLOATING RATE FUND CLASS C B	0.00	13.02	0.00	13.02	50.0 6.51
10/10/2017	75501631	MODES, LOIS		LORD ABBETT RESEARCH FUND INC-SMALL B	0.00	5.23	0.00	5.23	50.0 2.62
10/10/2017	75501631	MODES, LOIS		LORD ABBETT CALIBRATED DIVIDEND GRO B	0.00	5.77	0.00	5.77	50.0 2.89
10/10/2017	75501631	MODES, LOIS		LORD ABBETT AFFILIATED FUND CLASS A B	0.00	5.05	0.00	5.05	50.0 2.53
10/10/2017	75501631	MODES, LOIS		MID-CAP VALUE FUND CLASS A B	0.00	5.69	0.00	5.69	50.0 2.85
10/10/2017	75501631	MODES, LOIS		NEW PERSPECTIVE FUND-A B	0.00	6.58	0.00	6.58	50.0 3.29
10/10/2017	75501631	MODES, LOIS		THE HARTFORD MID CAP FUND-A B	0.00	6.53	0.00	6.53	50.0 3.27
10/17/2017	75501631	MODES, LOIS		**IVA FIDUCIARY TR B	0.00	62.76	0.00	62.76	50.0 31.38
10/10/2017	75501632	NESHAMINY VALLEY		HARTFORD FLOATING RATE FUND CLASS C B	0.00	5.36	0.00	5.36	50.0 2.68
10/10/2017	75501633	MODES, VINCENT		AIM INTERNATIONAL SMALL CO FUND- CL B	0.00	8.06	0.00	8.06	50.0 4.03
10/10/2017	75501633	MODES, VINCENT		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	16.73	0.00	16.73	50.0 8.37
10/10/2017	75501633	MODES, VINCENT		EATON VANCE TAX MANAGED VALUE FD CL B	0.00	6.35	0.00	6.35	50.0 3.18
10/10/2017	75501633	MODES, VINCENT		EHV 277911830 B	0.00	14.48	0.00	14.48	50.0 7.24
10/10/2017	75501633	MODES, VINCENT		HARTFORD ADVISERS FUND CLASS A B	0.00	2.13	0.00	2.13	50.0 1.07
10/10/2017	75501633	MODES, VINCENT		INVESCO COMSTOCK FUND CLASS A B	0.00	12.64	0.00	12.64	50.0 6.32
10/10/2017	75501633	MODES, VINCENT		JANUS INVT FD HENDERSON EURPEAN FCU B	0.00	9.81	0.00	9.81	50.0 4.91
10/10/2017	75501633	MODES, VINCENT		OPPENHEIMERFUNDS 68380G101 B	0.00	11.17	0.00	11.17	50.0 5.59
10/10/2017	75501633	MODES, VINCENT		THE GROWTH FUND OF AMERICA-A B	0.00	7.69	0.00	7.69	50.0 3.85
10/10/2017	75501634	CROPANESE, CAROL		**PRUDENTIAL JENNISON NATURAL B	0.00	10.10	0.00	10.10	50.0 5.05
10/10/2017	75501634	CROPANESE, CAROL		HARTFORD MUTUAL FUNDS INC DIVIDEND B	0.00	12.50	0.00	12.50	50.0 6.25
10/10/2017	75501634	CROPANESE, CAROL		QUEST OPPORTUNITY VALUE A B	0.00	0.20	0.00	0.20	50.0 0.00
10/10/2017	75501634	CROPANESE, CAROL		THE HARTFORD MID CAP FUND-C B	0.00	16.19	0.00	16.19	50.0 8.10
10/10/2017	75501635	CROPANESE, CAROL		BLACKROCK CAP APPRECIATION FD INC C B	0.00	2.65	0.00	2.65	50.0 1.33
10/10/2017	75501635	CROPANESE, CAROL		BLACKROCK GLOBAL ALLOCATION FD INC B	0.00	11.80	0.00	11.80	50.0 5.90
10/10/2017	75501635	CROPANESE, CAROL		EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	7.15	0.00	7.15	50.0 3.58
10/10/2017	75501635	CROPANESE, CAROL		EHV 277911772 B	0.00	1.59	0.00	1.59	50.0 0.80
10/10/2017	75501635	CROPANESE, CAROL		IVY ASSET STRATEGY FD CL C B	0.00	10.23	0.00	10.23	50.0 5.12
10/25/2017	75501635	CROPANESE, CAROL		**VICTORY PORTFOLIOS B	0.00	6.56	0.00	6.56	50.0 3.28
10/10/2017	75501636	URQUHART, THOMAS		FIRST EAGLE GLOBAL FUND CLASS C B	0.00	24.29	0.00	24.29	50.0 12.15
10/10/2017	75501637	ROTHSTEIN, HARRIET		LORD ABBETT SHORT DURATION INCOME F B	0.00	1.84	0.00	1.84	50.0 0.92

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
10/10/2017	75501637	ROTHSTEIN, HARRIET	SHORT-TERM BOND FUND OF AMERICA - A B	0.00	1.40	0.00	1.40	50.0	0.70
10/10/2017	75501637	ROTHSTEIN, HARRIET	STRATEGIC INCOME A B	0.00	3.37	0.00	3.37	50.0	1.69
10/10/2017	75501638	CROPANESE,	**AMG MANAGERS CADENCE MID CAP B	0.00	3.80	0.00	3.80	50.0	1.90
10/10/2017	75501638	CROPANESE,	**PRUDENTIAL JENNISON NATURAL B	0.00	8.08	0.00	8.08	50.0	4.04
10/10/2017	75501638	CROPANESE,	EATON VANCE TAX MANAGED GROWTH FUND B	0.00	2.94	0.00	2.94	50.0	1.47
10/10/2017	75501638	CROPANESE,	HARTFORD MUTUAL FUNDS INC DIVIDEND B	0.00	9.34	0.00	9.34	50.0	4.67
10/10/2017	75501638	CROPANESE,	QUEST OPPORTUNITY VALUE A B	0.00	5.91	0.00	5.91	50.0	2.96
10/10/2017	75501638	CROPANESE,	SHORT-TERM BOND FUND OF AMERICA - A B	0.00	3.21	0.00	3.21	50.0	1.61
10/10/2017	75501638	CROPANESE,	THE HARTFORD MID CAP FUND-C B	0.00	12.10	0.00	12.10	50.0	6.05
10/10/2017	75501639	CONNOLLY, EDWARD	AIM CHARTER FUND - CLASS A B	0.00	2.61	0.00	2.61	50.0	1.31
10/10/2017	75501639	CONNOLLY, EDWARD	ALLIANCEBERNSTEIN LARGE-CAP GROWTH B	0.00	0.89	0.00	0.89	50.0	0.00
10/10/2017	75501639	CONNOLLY, EDWARD	BLACKROCK HEALTH SCIENCES OPPORTUNI B	0.00	4.55	0.00	4.55	50.0	2.28
10/10/2017	75501639	CONNOLLY, EDWARD	FIDELITY ADVISOR FUNDS 315918474 B	0.00	3.73	0.00	3.73	50.0	1.87
10/10/2017	75501639	CONNOLLY, EDWARD	FIRST EAGLE GLOBAL FUND CLASS C B	0.00	4.67	0.00	4.67	50.0	2.34
10/10/2017	75501639	CONNOLLY, EDWARD	HARTFORD ADVISERS FUND CLASS A B	0.00	1.44	0.00	1.44	50.0	0.72
10/10/2017	75501639	CONNOLLY, EDWARD	THE HARTFORD DIVIDEND & GROWTH FUND B	0.00	0.83	0.00	0.83	50.0	0.00
10/10/2017	75501640	ROTHSTEIN, JOEL	FUNDAMENTAL INVESTORS-A B	0.00	4.43	0.00	4.43	50.0	2.22
10/10/2017	75501640	ROTHSTEIN, JOEL	INVESCO COMSTOCK FUND CLASS A B	0.00	4.25	0.00	4.25	50.0	2.13
10/10/2017	75501640	ROTHSTEIN, JOEL	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	3.98	0.00	3.98	50.0	1.99
10/10/2017	75501640	ROTHSTEIN, JOEL	WASHINGTON MUTUAL INVESTORS FUND-A B	0.00	5.86	0.00	5.86	50.0	2.93
10/10/2017	75501643	CONNOLLY, MARCELLA	ALLIANZ NFJ DIVIDEND VALUE FUND CLA B	0.00	1.14	0.00	1.14	50.0	0.57
10/10/2017	75501643	CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A B	0.00	1.89	0.00	1.89	50.0	0.95
10/10/2017	75501643	CONNOLLY, MARCELLA	THE HARTFORD MID CAP FUND-A B	0.00	2.15	0.00	2.15	50.0	1.08
10/10/2017	75501643	CONNOLLY, MARCELLA	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	2.36	0.00	2.36	50.0	1.18
10/10/2017	75501645	CONNOLLY, MARCELLA	AMERICAN MUTUAL FUND-A B	0.00	10.62	0.00	10.62	50.0	5.31
10/10/2017	75501645	CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A B	0.00	1.03	0.00	1.03	50.0	0.52
10/10/2017	75501645	CONNOLLY, MARCELLA	QUEST OPPORTUNITY VALUE A B	0.00	1.05	0.00	1.05	50.0	0.53
10/17/2017	75501645	CONNOLLY, MARCELLA	**IVA FIDUCIARY TR B	0.00	22.40	0.00	22.40	50.0	11.20
10/10/2017	75501646	DLUGOSZ, PATRICIA	INVESCO COMSTOCK FUND CLASS A B	0.00	8.80	0.00	8.80	50.0	4.40
10/10/2017	75501646	DLUGOSZ, PATRICIA	THE HARTFORD DIVIDEND & GROWTH FUND B	0.00	2.39	0.00	2.39	50.0	1.20
10/10/2017	75501648	GINSBURG, JANICE	EATON VANCE LARGE CAP VALUE FUND CL B	0.00	0.27	0.00	0.27	50.0	0.00
10/10/2017	75501648	GINSBURG, JANICE	EATON VANCE UTILITIES FUND CLASS A B	0.00	2.17	0.00	2.17	50.0	1.09
10/10/2017	75501648	GINSBURG, JANICE	MIDCAP GROWTH - CLASS A B	0.00	1.53	0.00	1.53	50.0	0.77
10/10/2017	75501650	MODES, VINCENT	CAPITAL INCOME BUILDER-A B	0.00	12.76	0.00	12.76	50.0	6.38
10/10/2017	75501650	MODES, VINCENT	DAVIS NEW YORK VENTURE CLASS C B	0.00	16.15	0.00	16.15	50.0	8.08
10/10/2017	75501650	MODES, VINCENT	LORD ABBETT RESEARCH FUND INC-SMALL B	0.00	6.97	0.00	6.97	50.0	3.49
10/10/2017	75501650	MODES, VINCENT	LORD ABBETT CALIBRATED DIVIDEND GRO B	0.00	13.61	0.00	13.61	50.0	6.81
10/10/2017	75501650	MODES, VINCENT	LORD ABBETT MULTI ASSET BALANCED OP B	0.00	15.87	0.00	15.87	50.0	7.94
10/10/2017	75501650	MODES, VINCENT	LORD ABBETT AFFILIATED FUND CLASS A B	0.00	8.59	0.00	8.59	50.0	4.30
10/10/2017	75501650	MODES, VINCENT	NEW PERSPECTIVE FUND-A B	0.00	3.88	0.00	3.88	50.0	1.94

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									
10/10/2017	75501650	MODES, VINCENT	OPPENHEIMER DEVELOPING MARKETS CLAS B	0.00	1.21	0.00	1.21	50.0	0.61
10/10/2017	75501650	MODES, VINCENT	QUEST VALUE A B	0.00	2.62	0.00	2.62	50.0	1.31
10/10/2017	75501650	MODES, VINCENT	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	4.44	0.00	4.44	50.0	2.22
10/10/2017	75501652	DLUGOSZ, JOHN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA B	0.00	2.85	0.00	2.85	50.0	1.43
10/10/2017	75501652	DLUGOSZ, JOHN	AMERICAN MUTUAL FUND-A B	0.00	14.37	0.00	14.37	50.0	7.19
10/10/2017	75501652	DLUGOSZ, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	8.12	0.00	8.12	50.0	4.06
10/10/2017	75501652	DLUGOSZ, JOHN	EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	18.15	0.00	18.15	50.0	9.08
10/10/2017	75501652	DLUGOSZ, JOHN	GLOBAL FUND A B	0.00	2.10	0.00	2.10	50.0	1.05
10/10/2017	75501652	DLUGOSZ, JOHN	NEW WORLD FUND-A B	0.00	2.90	0.00	2.90	50.0	1.45
10/10/2017	75501652	DLUGOSZ, JOHN	THE GROWTH FUND OF AMERICA-A B	0.00	2.11	0.00	2.11	50.0	1.06
10/10/2017	75501652	DLUGOSZ, JOHN	THE HARTFORD CAPITAL APPRECIATION F B	0.00	3.87	0.00	3.87	50.0	1.94
10/10/2017	75501652	DLUGOSZ, JOHN	THE HARTFORD MID CAP FUND-A B	0.00	3.72	0.00	3.72	50.0	1.86
10/10/2017	75501657	DLUGOSZ, JOHN	AMERICAN HIGH-INCOME TRUST-A B	0.00	2.62	0.00	2.62	50.0	1.31
10/10/2017	75501657	DLUGOSZ, JOHN	EATON VANCE TAX- MANAGED EQUITY ASS B	0.00	8.43	0.00	8.43	50.0	4.22
10/10/2017	75501657	DLUGOSZ, JOHN	EHV 277902813 B	0.00	1.83	0.00	1.83	50.0	0.92
10/10/2017	75501657	DLUGOSZ, JOHN	MAINSTAY HIGH-YIELD CORPORATE BOND B	0.00	2.74	0.00	2.74	50.0	1.37
10/10/2017	75501658	TANNENBAUM, ARLENE	BLACKROCK GLOBAL ALLOCATION FD INC B	0.00	14.96	0.00	14.96	50.0	7.48
10/10/2017	75501658	TANNENBAUM, ARLENE	EATON VANCE LARGE CAP VALUE FUND CL B	0.00	1.37	0.00	1.37	50.0	0.69
10/10/2017	75501658	TANNENBAUM, ARLENE	FUNDAMENTAL INVESTORS-A B	0.00	3.34	0.00	3.34	50.0	1.67
10/10/2017	75501658	TANNENBAUM, ARLENE	IVY ASSET STRATEGY FD CL C B	0.00	13.65	0.00	13.65	50.0	6.83
10/10/2017	75501658	TANNENBAUM, ARLENE	OPPENHEIMER GLOBAL CLASS C B	0.00	21.46	0.00	21.46	50.0	10.73
10/10/2017	75501660	ABEL, STACEY	**PRUDENTIAL JENNISON 20/20 B	0.00	13.99	0.00	13.99	50.0	7.00
10/10/2017	75501660	ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL B	0.00	6.21	0.00	6.21	50.0	3.11
10/10/2017	75501660	ABEL, STACEY	**PRUDENTIAL NATIONAL MUNI B	0.00	10.14	0.00	10.14	50.0	5.07
10/10/2017	75501660	ABEL, STACEY	COLUMBIA SELIGMAN COMMUNICATIONS AN B	0.00	3.08	0.00	3.08	50.0	1.54
10/10/2017	75501660	ABEL, STACEY	EATON VANCE LARGE CAP VALUE FUND CL B	0.00	8.61	0.00	8.61	50.0	4.31
10/10/2017	75501660	ABEL, STACEY	EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	10.46	0.00	10.46	50.0	5.23
10/10/2017	75501660	ABEL, STACEY	EHV 277902813 B	0.00	6.19	0.00	6.19	50.0	3.10
10/10/2017	75501660	ABEL, STACEY	EUROPACIFIC GROWTH FUND CLASS F B	0.00	3.14	0.00	3.14	50.0	1.57
10/10/2017	75501660	ABEL, STACEY	FUNDAMENTAL INVESTORS FUND CLASS F B	0.00	7.96	0.00	7.96	50.0	3.98
10/10/2017	75501660	ABEL, STACEY	IVY ASSET STRATEGY FD CL C B	0.00	20.33	0.00	20.33	50.0	10.17
10/10/2017	75501660	ABEL, STACEY	OPPENHEIMER SMALL & MID CAP VALUE F B	0.00	3.50	0.00	3.50	50.0	1.75
10/10/2017	75501660	ABEL, STACEY	OPPENHEIMER DEVELOPING MARKETS FUND B	0.00	3.31	0.00	3.31	50.0	1.66
10/10/2017	75501660	ABEL, STACEY	PIMCO REAL RETURN FUND (A) B	0.00	5.22	0.00	5.22	50.0	2.61
10/10/2017	75501660	ABEL, STACEY	PIMCO SHORT TERM FUND-CL A B	0.00	7.25	0.00	7.25	50.0	3.63
10/10/2017	75501660	ABEL, STACEY	PIMCO TOTAL RETURN CLASS A B	0.00	6.17	0.00	6.17	50.0	3.09
10/10/2017	75501660	ABEL, STACEY	THORNBURG INVT TR INTL VALUE FD CL B	0.00	11.16	0.00	11.16	50.0	5.58
10/17/2017	75501660	ABEL, STACEY	**IVA FIDUCIARY TR B	0.00	70.60	0.00	70.60	50.0	35.30
10/25/2017	75501660	ABEL, STACEY	**VICTORY PORTFOLIOS B	0.00	2.01	0.00	2.01	50.0	1.01
10/10/2017	75501661	ABEL, STACEY	BLACKROCK GLOBAL ALLOCATION FUND IN B	0.00	1.54	0.00	1.54	50.0	0.77

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>									
10/10/2017	75501662	LOWENSTEIN, ALLAN	EATON VANCE TAX- MANAGED EQUITY ASS B	0.00	12.33	0.00	12.33	50.0	6.17
10/10/2017	75501662	LOWENSTEIN, ALLAN	LORD ABBETT AFFILIATED FUND CLASS A B	0.00	4.40	0.00	4.40	50.0	2.20
10/10/2017	75501747	STAUFFER, JUDITH	EATON VANCE UTILITIES FUND CLASS A B	0.00	4.13	0.00	4.13	50.0	2.07
10/10/2017	75501748	STAUFFER, JUDITH	MFS INTERNATIONAL VALUE FUND-A B	0.00	1.16	0.00	1.16	50.0	0.58
10/10/2017	75501750	STAUFFER, ROBERT	MFS INTERNATIONAL VALUE FUND-A B	0.00	1.37	0.00	1.37	50.0	0.69
10/10/2017	75501812	HALL, RUTH	INTERMEDIATE BOND FUND OF AMERICA-A B	0.00	3.31	0.00	3.31	50.0	1.66
10/10/2017	75501825	SEPTIEN, ALFREDO	**GUGGENHEIM FDS TR B	0.00	0.74	0.00	0.74	50.0	0.00
10/10/2017	75501825	SEPTIEN, ALFREDO	**PRUDENTIAL JENNISON 20/20 B	0.00	0.89	0.00	0.89	50.0	0.00
10/10/2017	75501825	SEPTIEN, ALFREDO	CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	1.46	0.00	1.46	50.0	0.73
10/10/2017	75501825	SEPTIEN, ALFREDO	NEW WORLD FUND-A B	0.00	1.14	0.00	1.14	50.0	0.57
10/10/2017	75501847	GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	0.84	0.00	0.84	50.0	0.00
10/10/2017	75501847	GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A B	0.00	1.03	0.00	1.03	50.0	0.52
10/10/2017	75501848	JONAS, HILDA	JOHN HANCOCK FDS III JHF III SMALL B	0.00	1.22	0.00	1.22	50.0	0.61
10/10/2017	75501853	FARKAS, RONALD	BLACKROCK MULTI ST MUN SER TR PA MU B	0.00	2.38	0.00	2.38	50.0	1.19
10/10/2017	75501896	BLUM, STACEY	THE HARTFORD MID CAP FUND-A B	0.00	2.53	0.00	2.53	50.0	1.27
10/10/2017	75501898	LIBOVE, MICHAEL	FIDELITY ADVISOR SMALL CAP FUND CLA B	0.00	4.88	0.00	4.88	50.0	2.44
10/10/2017	75501898	LIBOVE, MICHAEL	THE INCOME FUND OF AMERICA-A B	0.00	0.63	0.00	0.63	50.0	0.00
10/10/2017	75501899	O'NEILL, LINDA	**AMG MANAGERS CADENCE MID CAP B	0.00	4.98	0.00	4.98	50.0	2.49
10/10/2017	75501899	O'NEILL, LINDA	**PRUDENTIAL JENNISON 20/20 B	0.00	4.57	0.00	4.57	50.0	2.29
10/10/2017	75501899	O'NEILL, LINDA	AIM CHARTER FUND - CLASS A B	0.00	8.10	0.00	8.10	50.0	4.05
10/10/2017	75501899	O'NEILL, LINDA	AIM ENERGY FUND - CLASS A B	0.00	4.31	0.00	4.31	50.0	2.16
10/10/2017	75501899	O'NEILL, LINDA	CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	2.81	0.00	2.81	50.0	1.41
10/10/2017	75501899	O'NEILL, LINDA	INVESCO COMSTOCK FUND CLASS A B	0.00	34.34	0.00	34.34	50.0	17.17
10/10/2017	75501899	O'NEILL, LINDA	INVESCO GROWTH AND INCOME FUND CL A B	0.00	8.70	0.00	8.70	50.0	4.35
10/10/2017	75501899	O'NEILL, LINDA	NEW PERSPECTIVE FUND-A B	0.00	10.96	0.00	10.96	50.0	5.48
10/10/2017	75501899	O'NEILL, LINDA	NEW WORLD FUND-A B	0.00	2.85	0.00	2.85	50.0	1.43
10/10/2017	75501899	O'NEILL, LINDA	OPPENHEIMER DEVELOPING MARKETS CLAS B	0.00	2.70	0.00	2.70	50.0	1.35
10/10/2017	75501899	O'NEILL, LINDA	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	3.07	0.00	3.07	50.0	1.54
10/17/2017	75501899	O'NEILL, LINDA	**IVA FIDUCIARY TR B	0.00	56.59	0.00	56.59	50.0	28.30
10/10/2017	75501902	ARMSTRONG, AMANDA	ALLIANZ NFJ LARGE CAP VALUE FUND CL B	0.00	1.24	0.00	1.24	50.0	0.62
10/10/2017	75501902	ARMSTRONG, AMANDA	JANUS INVT FD HENDERSON INTL OPPTN B	0.00	1.14	0.00	1.14	50.0	0.57
10/10/2017	75501902	ARMSTRONG, AMANDA	TEMP GLOBAL BOND FND - CL A B	0.00	1.03	0.00	1.03	50.0	0.52
10/10/2017	75501902	ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A B	0.00	0.96	0.00	0.96	50.0	0.00
10/10/2017	75501902	ARMSTRONG, AMANDA	THE HARTFORD MID CAP FUND-A B	0.00	5.86	0.00	5.86	50.0	2.93
10/10/2017	75501902	ARMSTRONG, AMANDA	WASHINGTON MUTUAL INVESTORS FUND-A B	0.00	2.30	0.00	2.30	50.0	1.15
10/25/2017	75501902	ARMSTRONG, AMANDA	**VICTORY PORTFOLIOS B	0.00	0.94	0.00	0.94	50.0	0.00
10/10/2017	75501903	ARMSTRONG, AMANDA	**GUGGENHEIM FDS TR B	0.00	1.59	0.00	1.59	50.0	0.80
10/10/2017	75501903	ARMSTRONG, AMANDA	EUROPACIFIC GROWTH FUND-A B	0.00	1.50	0.00	1.50	50.0	0.75
10/10/2017	75501903	ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A B	0.00	2.15	0.00	2.15	50.0	1.08
10/10/2017	75501905	TANCREDI, NICHOLAS	CAPITAL INCOME A B	0.00	2.16	0.00	2.16	50.0	1.08

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										
10/10/2017	75501905	TANCREDI, NICHOLAS	GLOBAL FUND A	B	0.00	1.57	0.00	1.57	50.0	0.79
10/10/2017	75501905	TANCREDI, NICHOLAS	GLOBAL OPPORTUNITIES A	B	0.00	4.60	0.00	4.60	50.0	2.30
10/10/2017	75501905	TANCREDI, NICHOLAS	LORD ABBETT INVT TR TOTAL RETURN FU B		0.00	0.92	0.00	0.92	50.0	0.00
10/10/2017	75501905	TANCREDI, NICHOLAS	OPPENHEIMER 68380L100	B	0.00	1.43	0.00	1.43	50.0	0.72
10/10/2017	75501905	TANCREDI, NICHOLAS	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	2.67	0.00	2.67	50.0	1.34
10/10/2017	75501905	TANCREDI, NICHOLAS	THE HARTFORD CAPITAL APPRECIATION F B		0.00	2.55	0.00	2.55	50.0	1.28
10/10/2017	75501905	TANCREDI, NICHOLAS	THE HARTFORD FLOATING RATE FUND - A B		0.00	1.49	0.00	1.49	50.0	0.75
10/17/2017	75501905	TANCREDI, NICHOLAS	**IVA FIDUCIARY TR	B	0.00	49.03	0.00	49.03	50.0	24.52
10/10/2017	75501921	TANCREDI, NICHOLAS	INVESCO COMSTOCK FUND CLASS A	B	0.00	2.77	0.00	2.77	50.0	1.39
10/10/2017	75501965	JACKSON, ROSALYN	**GUGGENHEIM FDS TR	B	0.00	0.97	0.00	0.97	50.0	0.00
10/10/2017	75501965	JACKSON, ROSALYN	DAVIS NEW YORK VENTURE CLASS A	B	0.00	1.11	0.00	1.11	50.0	0.56
10/10/2017	75501965	JACKSON, ROSALYN	FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	5.95	0.00	5.95	50.0	2.98
10/10/2017	75501995	SEPTIEN, ALEC	**GUGGENHEIM FDS TR	B	0.00	0.55	0.00	0.55	50.0	0.00
10/10/2017	75501995	SEPTIEN, ALEC	NEW WORLD FUND-A	B	0.00	0.84	0.00	0.84	50.0	0.00
10/10/2017	75502077	GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	8.40	0.00	8.40	50.0	4.20
10/10/2017	75502077	GINSBURG, VIVIAN	EATON VANCE LARGE CAP VALUE FUND CL B		0.00	1.38	0.00	1.38	50.0	0.69
10/10/2017	75502077	GINSBURG, VIVIAN	EATON VANCE NATIONAL MUNICIPAL FUND B		0.00	8.06	0.00	8.06	50.0	4.03
10/10/2017	75502077	GINSBURG, VIVIAN	FRK FL TF INC FND - CL A	B	0.00	3.48	0.00	3.48	50.0	1.74
10/10/2017	75502077	GINSBURG, VIVIAN	HIGH YIELD A	B	0.00	3.29	0.00	3.29	50.0	1.65
10/10/2017	75502077	GINSBURG, VIVIAN	INCOME FUND AMER INC CL F1	B	0.00	10.39	0.00	10.39	50.0	5.20
10/10/2017	75502077	GINSBURG, VIVIAN	MFS HIGH-YIELD OPPORTUNITIES FUND C B		0.00	0.88	0.00	0.88	50.0	0.00
10/10/2017	75502077	GINSBURG, VIVIAN	PIMCO COMMODITY REAL RETURN STRATEG B		0.00	1.10	0.00	1.10	50.0	0.55
10/10/2017	75502077	GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	B	0.00	2.53	0.00	2.53	50.0	1.27
10/10/2017	75502084	TREICHLER, CHARLES	ALLIANZ NFJ LARGE CAP VALUE FUND CL B		0.00	2.59	0.00	2.59	50.0	1.30
10/10/2017	75502084	TREICHLER, CHARLES	SHORT-TERM BOND FUND OF AMERICA - A B		0.00	0.99	0.00	0.99	50.0	0.00
10/17/2017	75502084	TREICHLER, CHARLES	**IVA FIDUCIARY TR	B	0.00	47.91	0.00	47.91	50.0	23.96
10/10/2017	75502085	GINSBURG, JANICE	**PRUDENTIAL JENNISON 20/20	B	0.00	1.93	0.00	1.93	50.0	0.97
10/10/2017	75502085	GINSBURG, JANICE	MAINSTAY MAP FUND A	B	0.00	1.78	0.00	1.78	50.0	0.89
10/10/2017	75502085	GINSBURG, JANICE	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	1.15	0.00	1.15	50.0	0.58
10/25/2017	75502085	GINSBURG, JANICE	**VICTORY PORTFOLIOS MUNDER	B	0.00	1.02	0.00	1.02	50.0	0.51
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$1,720.79	\$0.00	\$1,720.79	\$853.94	
*** BROKER TRANSACTIONS TOTAL ***					\$29,897.02	\$5,430.32	\$0.00	\$5,430.32	\$2,708.75	

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>									
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.36
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-20.27
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-26.46
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-18.41
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-15.18
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-30.81
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-29.45
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-12.50
10/31/2017		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-30.70
10/31/2017		:		0.00	0.00	0.00	0.00		-116.76
*** ADJUSTMENTS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-413.40</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$2,708.75
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-413.40
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-15.08
SIPC Assessment	\$-30.16

Check Amount	\$2,250.11
Year-to-date Earnings	\$8,859.04