



# COMMISSION STATEMENT

April 16, 2018

ANDY KALINOWSKI

BROKER #: AK417

BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	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>								
04/02/2018	***-**-336I - REEKIE, JANICE	AMERICAN FUNDS 2030 TARGET DATE-C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 04000004425	BUY 4 Units @13.9800						
		<b>* MUTUAL FUNDS SUBTOTAL *</b>	<b>\$50.00</b>	<b>\$0.50</b>	<b>\$0.00</b>	<b>\$0.50</b>		<b>\$0.48</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
04/01/2018	***-**-47IN - CUTTITA, DIMITRI	AIM CASH RESERVE SHARES	0.00	11.84	0.00	11.84	95.0	11.25
	ACCOUNT #: 03809665049	BUY 0 Units @0.0000						
04/01/2018	***-**-647I - WOLFE, MARY	AIM CHARTER FUND - CLASS A	0.00	5.84	0.00	5.84	95.0	5.55
	ACCOUNT #: 05010859469	BUY 0 Units @0.0000						
04/01/2018	***-**-304I - COLE, REBECCA	AIM CHARTER FUND - CLASS A	0.00	0.72	0.00	0.72	95.0	0.68
	ACCOUNT #: 05037871018	BUY 0 Units @0.0000						
04/01/2018	***-**-41UG - GALIANO,	AIM GLOBAL AGGRESSIVE GROWTH FUND C	0.00	0.09	0.00	0.09	95.0	0.09
	ACCOUNT #: 03909166716	BUY 0 Units @0.0000						
04/01/2018	***-**-38IR - MALONE, KELLEY	AIM GROWTH ALLOCATION FUND - CLASS	0.00	28.63	0.00	28.63	95.0	27.20
	ACCOUNT #: 05033603886	BUY 0 Units @0.0000						
04/01/2018	***-**-47IR - MALONE, MICHAEL	AIM INTERNATIONAL GROWTH FUND - CL	0.00	0.25	0.00	0.25	95.0	0.24
	ACCOUNT #: 03910978265	BUY 0 Units @0.0000						
04/09/2018	***-**-25IN - HUGHES, SHIRLEY	ALLIANCEBERNSTEIN EMERG MKT DEBT A	0.00	7.48	0.00	7.48	95.0	7.11
	ACCOUNT #: 09500003132	BUY 0 Units @0.0000						
04/09/2018	***-**-25IN - HUGHES, SHIRLEY	ALLIANCEBERNSTEIN INTERMEDIATE BOND	0.00	7.71	0.00	7.71	95.0	7.32
	ACCOUNT #: 05200085306	BUY 0 Units @0.0000						
04/16/2018	***-**-43IN - AGLE, PATRICIA	COLUMBIA FUNDS MF TRAILS	0.00	30.82	0.00	30.82	95.0	29.28
	ACCOUNT #: 08694665062	BUY 0 Units @0.0000						
04/16/2018	***-**-43IN - AGLE, PATRICIA	COLUMBIA FUNDS MF TRAILS	0.00	42.05	0.00	42.05	95.0	39.95
	ACCOUNT #: 08694665062	BUY 0 Units @0.0000						
04/16/2018	***-**-919I - KITSON, THOMAS	COLUMBIA FUNDS MF TRAILS	0.00	6.87	0.00	6.87	95.0	6.53
	ACCOUNT #: 08695012229	BUY 0 Units @0.0000						
04/16/2018	***-**-804T - THE 403 (B)(7)	DELAWARE MF TRAILS	0.00	3.20	0.00	3.20	95.0	3.04
	ACCOUNT #: 5144004432	BUY 0 Units @0.0000						
04/16/2018	***-**-52IN - CAROSCIO,	DELAWARE MF TRAILS	0.00	0.86	0.00	0.86	95.0	0.82
	ACCOUNT #: 05163028425	BUY 0 Units @0.0000						
04/16/2018	***-**-52IR - CAROSCIO,	DELAWARE MF TRAILS	0.00	11.28	0.00	11.28	95.0	10.72
	ACCOUNT #: 06000218490	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
04/16/2018	***-**-4835 - MULLER, DIANE	DELAWARE MF TRAILS	0.00	10.81	0.00	10.81	95.0	10.27
	ACCOUNT #: 05014036647	BUY 0 Units @0.0000						
04/16/2018	***-**-238I - MC ELHANEY,	DELAWARE MF TRAILS	0.00	7.01	0.00	7.01	95.0	6.66
	ACCOUNT #: 5014164813	BUY 0 Units @0.0000						
04/16/2018	***-**-568I - SHAW, TIMOTHY	DELAWARE MF TRAILS	0.00	1.49	0.00	1.49	95.0	1.42
	ACCOUNT #: 5014173495	BUY 0 Units @0.0000						
04/16/2018	***-**-567I - SHAW, FAITH	DELAWARE MF TRAILS	0.00	1.49	0.00	1.49	95.0	1.42
	ACCOUNT #: 5014173507	BUY 0 Units @0.0000						
04/16/2018	***-**-0280 - KRIEL, KRISTEN	DELAWARE MF TRAILS	0.00	1.60	0.00	1.60	95.0	1.52
	ACCOUNT #: 6000500926	BUY 0 Units @0.0000						
04/16/2018	***-**-104I - MONTGOMERY,	DELAWARE MF TRAILS	0.00	0.03	0.00	0.03	95.0	0.03
	ACCOUNT #: 06000504388	BUY 0 Units @0.0000						
04/16/2018	***-**-413I - EDWARDS, ROBERT	DELAWARE MF TRAILS	0.00	6.54	0.00	6.54	95.0	6.21
	ACCOUNT #: 06000504389	BUY 0 Units @0.0000						
04/16/2018	***-**-419I - BILLOW, KIMBER	DELAWARE MF TRAILS	0.00	1.06	0.00	1.06	95.0	1.01
	ACCOUNT #: 06000504391	BUY 0 Units @0.0000						
04/16/2018	***-**-650I - AGLE, JONATHAN	DELAWARE MF TRAILS	0.00	12.75	0.00	12.75	95.0	12.11
	ACCOUNT #: 4000003326	BUY 0 Units @0.0000						
04/16/2018	***-**-39UG - KEOUGH, MARILYN	DELAWARE MF TRAILS	0.00	1.75	0.00	1.75	95.0	1.66
	ACCOUNT #: 05212097948	BUY 0 Units @0.0000						
04/16/2018	***-**-4930 - SCIFANO, VINCENT	DELAWARE MF TRAILS	0.00	0.48	0.00	0.48	95.0	0.46
	ACCOUNT #: 4000001135	BUY 0 Units @0.0000						
04/16/2018	***-**-919I - KITSON, THOMAS	DELAWARE MF TRAILS	0.00	0.48	0.00	0.48	95.0	0.46
	ACCOUNT #: 5014723354	BUY 0 Units @0.0000						
04/16/2018	***-**-919I - KITSON, THOMAS	DELAWARE MF TRAILS	0.00	1.12	0.00	1.12	95.0	1.06
	ACCOUNT #: 5014723354	BUY 0 Units @0.0000						
04/16/2018	***-**-919I - KITSON, THOMAS	DELAWARE MF TRAILS	0.00	-1.12	0.00	-1.12	95.0	-1.06
	ACCOUNT #: 5014723354	BUY 0 Units @0.0000						
04/16/2018	***-**-919I - KITSON, THOMAS	DELAWARE MF TRAILS	0.00	0.58	0.00	0.58	95.0	0.55
	ACCOUNT #: 5014723354	BUY 0 Units @0.0000						
04/01/2018	***-**-47IR - MALONE, MICHAEL	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	0.03	0.00	0.03	95.0	0.03
	ACCOUNT #: 03910978265	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
04/16/2018	***-**-00IN - LAMENDOLA,	NUVEEN MF TRAILS BUY 0 Units @0.0000	0.00	11.53	0.00	11.53	95.0	10.95
03/31/2018	***-**-001I - HUBBARD, ARLENE ACCOUNT #: 02850962500	OPPENHEIMER CORE BOND FUND A BUY 0 Units @0.0000	0.00	8.46	0.00	8.46	95.0	8.04
04/02/2018	***-**-59IN - JOHNSON, WILLIAM ACCOUNT #: 00020405739	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	4.01	0.00	4.01	95.0	3.81
03/31/2018	***-**-19IN - MELECA, FRANK ACCOUNT #: 00019757000	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	3.74	0.00	3.74	95.0	3.55
04/16/2018	***-**-6713 - KREMER, JOHN	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	6.24	0.00	6.24	95.0	5.93
04/16/2018	***-**-3782 - WEINERT-WILEY,	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	0.11	0.00	0.11	95.0	0.10
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$237.83</b>	<b>\$0.00</b>	<b>\$237.83</b>		<b>\$225.97</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$50.00</b>	<b>\$238.33</b>	<b>\$0.00</b>	<b>\$238.33</b>		<b>\$226.45</b>

## OVERRIDE TRANSACTIONS

### BROKER: RONALD DRAKE

04/02/2018	***-**-3246 - SGROI, TERESA ACCOUNT #: 00089976714	AMCAP FUND-A BUY 1 Units @33.7200	50.00	2.50	0.00	2.50	20.0	0.50
04/02/2018	***-**-4639 - SCOONES, ACCOUNT #: 00084481157	AMERICAN BALANCED FUND-A BUY 3 Units @27.3500	90.75	2.50	0.00	2.50	20.0	0.50
04/02/2018	***-**-9408 - SNIZEK, ACCOUNT #: 00085099445	AMERICAN BALANCED FUND-A BUY 2 Units @27.3500	50.00	1.38	0.00	1.38	20.0	0.28
04/02/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	AMERICAN BALANCED FUND-A BUY 5 Units @27.3500	125.00	3.44	0.00	3.44	20.0	0.69
04/02/2018	***-**-5152 - DUNN, MICHELE ACCOUNT #: 00087316793	AMERICAN BALANCED FUND-A BUY 15 Units @27.3500	400.00	11.00	0.00	11.00	20.0	2.20
04/05/2018	***-**-9037 - NOURSE, STACIA ACCOUNT #: 04000247689	AMERICAN BALANCED FUND-A BUY 2 Units @28.5100	50.00	2.50	0.00	2.50	20.0	0.50
04/05/2018	***-**-0911 - SPAZIANI, ACCOUNT #: 00082570536	AMERICAN BALANCED FUND-A BUY 5 Units @28.1400	135.00	5.06	0.00	5.06	20.0	1.01



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: RONALD DRAKE (continued) </u></b>								
04/02/2018	***-**-9408 - SNIZEK, ACCOUNT #: 00085099445	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.5400	50.00	1.38	0.00	1.38	20.0	0.28
04/02/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	AMERICAN HIGH-INCOME TRUST-A BUY 9 Units @10.5400	100.00	2.75	0.00	2.75	20.0	0.55
04/02/2018	***-**-1909 - BASHANT, MATTHEW ACCOUNT #: 00085839015	AMERICAN HIGH-INCOME TRUST-A BUY 2 Units @10.5400	25.50	0.70	0.00	0.70	20.0	0.14
04/02/2018	***-**-4848 - DOGGETT, AMY ACCOUNT #: 00081620466	AMERICAN HIGH-INCOME TRUST-A BUY 16 Units @10.5700	165.00	4.95	0.00	4.95	20.0	0.99
04/05/2018	***-**-9037 - NOURSE, STACIA ACCOUNT #: 04000247689	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.6100	50.00	1.50	0.00	1.50	20.0	0.30
04/05/2018	***-**-0911 - SPAZIANI, ACCOUNT #: 00082570536	AMERICAN HIGH-INCOME TRUST-A BUY 8 Units @10.6100	80.00	2.40	0.00	2.40	20.0	0.48
04/02/2018	***-**-6469 - BENNETT, DAVID ACCOUNT #: 00088370668	AMERICAN MUTUAL FUND-A BUY 1 Units @41.3600	50.00	2.50	0.00	2.50	20.0	0.50
04/02/2018	***-**-9408 - SNIZEK, ACCOUNT #: 00085099445	AMERICAN MUTUAL FUND-A BUY 1 Units @40.3900	50.00	1.38	0.00	1.38	20.0	0.28
04/02/2018	***-**-2119 - BENNETT, COLLEEN ACCOUNT #: 00088366890	AMERICAN MUTUAL FUND-A BUY 1 Units @41.3600	50.00	2.50	0.00	2.50	20.0	0.50
03/31/2018	***-**-5453 - O'HARA, DARLENE ACCOUNT #: 03209265036	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	3.66	0.00	3.66	20.0	0.73
03/31/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 03210336612	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	9.89	0.00	9.89	20.0	1.98
03/31/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 03008792487	CAPITAL INCOME A BUY 0 Units @0.0000	0.00	5.59	0.00	5.59	20.0	1.12
03/31/2018	***-**-453B - OHARA, DARLENE ACCOUNT #: 03008795809	CAPITAL INCOME A BUY 0 Units @0.0000	0.00	10.76	0.00	10.76	20.0	2.15
03/31/2018	***-**-030J - MERRILL, ACCOUNT #: 03009145719	CAPITAL INCOME A BUY 0 Units @0.0000	0.00	1.25	0.00	1.25	20.0	0.25
03/31/2018	***-**-481J - MERRILL, JASON ACCOUNT #: 03009145730	CAPITAL INCOME A BUY 0 Units @0.0000	0.00	1.20	0.00	1.20	20.0	0.24
04/02/2018	***-**-3246 - SGROI, TERESA ACCOUNT #: 00089976714	CAPITAL INCOME BUILDER-A BUY 1 Units @63.4500	50.00	2.50	0.00	2.50	20.0	0.50



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: RONALD DRAKE (continued) </u></b>								
04/02/2018	***-**-5152 - DUNN, MICHELE	CAPITAL INCOME BUILDER-A	400.00	11.00	0.00	11.00	20.0	2.20
	ACCOUNT #: 00087316793	BUY 6 Units @61.9700						
04/02/2018	***-**-408B - SNIZEK,	CAPITAL WORLD GROWTH AND INCOME FUN	100.00	2.75	0.00	2.75	20.0	0.55
	ACCOUNT #: 00085154620	BUY 2 Units @52.0600						
04/02/2018	***-**-1909 - BASHANT, MATTHEW	CAPITAL WORLD GROWTH AND INCOME FUN	31.50	0.87	0.00	0.87	20.0	0.17
	ACCOUNT #: 00085839015	BUY 1 Units @52.0600						
04/02/2018	***-**-4848 - DOGGETT, AMY	CAPITAL WORLD GROWTH AND INCOME FUN	165.00	6.19	0.00	6.19	20.0	1.24
	ACCOUNT #: 00081620466	BUY 3 Units @52.6100						
03/31/2018	***-**-5453 - O'HARA, DARLENE	EQUITY INCOME FUND, INC. A	0.00	5.69	0.00	5.69	20.0	1.14
	ACCOUNT #: 02401404062	BUY 0 Units @0.0000						
03/31/2018	***-**-70IN - KING, SUSAN	EQUITY INCOME FUND, INC. A	0.00	2.86	0.00	2.86	20.0	0.57
	ACCOUNT #: 08351548041	BUY 0 Units @0.0000						
03/31/2018	***-**-33IN - KING, JOHN	EQUITY INCOME FUND, INC. A	0.00	4.14	0.00	4.14	20.0	0.83
	ACCOUNT #: 08351548074	BUY 0 Units @0.0000						
03/31/2018	***-**-4932 - BAKER, STEVEN	EQUITY INCOME FUND, INC. A	0.00	6.00	0.00	6.00	20.0	1.20
	ACCOUNT #: 08352551208	BUY 0 Units @0.0000						
03/31/2018	***-**-453B - OHARA, DARLENE	EQUITY INCOME FUND, INC. A	0.00	11.49	0.00	11.49	20.0	2.30
	ACCOUNT #: 08352560668	BUY 0 Units @0.0000						
04/02/2018	***-**-1909 - BASHANT, MATTHEW	EUROPACIFIC GROWTH FUND-A	31.50	0.87	0.00	0.87	20.0	0.17
	ACCOUNT #: 00085839015	BUY 1 Units @58.1000						
04/16/2018	***-**-027I - DAVIS, KATHRYN	FRANKLIN INCOME FUND CLASS A	0.00	1.06	0.00	1.06	20.0	0.21
	ACCOUNT #: LSR010492	BUY 1 Units @0.0000						
04/16/2018	***-**-027I - DAVIS, KATHRYN	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	1.73	0.00	1.73	20.0	0.35
	ACCOUNT #: LSR010492	BUY 1 Units @0.0000						
04/16/2018	***-**-027I - DAVIS, KATHRYN	FRK STRAT INC FND - CL A	0.00	1.49	0.00	1.49	20.0	0.30
	ACCOUNT #: LSR010492	BUY 1 Units @0.0000						
04/05/2018	***-**-0911 - SPAZIANI,	FUNDAMENTAL INVESTORS-A	135.00	5.06	0.00	5.06	20.0	1.01
	ACCOUNT #: 00082570536	BUY 2 Units @65.1400						
03/31/2018	***-**-030J - MERRILL,	INTERNATIONAL DIVERSIFIED FUND N	0.00	1.26	0.00	1.26	20.0	0.25
	ACCOUNT #: 01980118393	BUY 0 Units @0.0000						
03/31/2018	***-**-030J - MERRILL,	INTERNATIONAL DIVERSIFIED FUND N	0.00	0.04	0.00	0.04	20.0	0.01
	ACCOUNT #: 01980118393	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: RONALD DRAKE (continued) </u></b>								
04/16/2018	***-**-46IR - SWANCOTT, KELLIE	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	0.36	0.00	0.36	20.0	0.07
	ACCOUNT #: LSR010508	BUY 1 Units @0.0000						
04/16/2018	***-**-46IR - SWANCOTT, KELLIE	IVK GROWTH AND INCOME FUND - CLASS	0.00	0.55	0.00	0.55	20.0	0.11
	ACCOUNT #: LSR010508	BUY 1 Units @0.0000						
03/31/2018	***-**-33IN - KING, JOHN	MAIN STREET FUND A	0.00	2.97	0.00	2.97	20.0	0.59
	ACCOUNT #: 04206247879	BUY 0 Units @0.0000						
04/01/2018	***-**-4427 - ZOGBY, MICHAEL	MASSACHUSETTS INVESTORS TRUST-A	0.00	5.00	0.00	5.00	20.0	1.00
	ACCOUNT #: 00060558718	BUY 0 Units @0.0000						
04/16/2018	***-**-027I - DAVIS, KATHRYN	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.93	0.00	0.93	20.0	0.19
	ACCOUNT #: LSR010492	BUY 1 Units @0.0000						
03/31/2018	***-**-481J - MERRILL, JASON	OPP PORT SERIES: MOD INV FD A	0.00	40.30	0.00	40.30	20.0	8.06
	ACCOUNT #: 05450490435	BUY 0 Units @0.0000						
03/31/2018	***-**-030J - MERRILL,	OPP PORT SERIES: MOD INV FD A	0.00	19.98	0.00	19.98	20.0	4.00
	ACCOUNT #: 05450490490	BUY 0 Units @0.0000						
03/31/2018	***-**-5453 - O'HARA, DARLENE	OPPENHEIMER CORE BOND FUND A	0.00	0.66	0.00	0.66	20.0	0.13
	ACCOUNT #: 02851702085	BUY 0 Units @0.0000						
03/31/2018	***-**-5453 - O'HARA, DARLENE	OPPENHEIMER CORE BOND FUND A	0.00	1.39	0.00	1.39	20.0	0.28
	ACCOUNT #: 02851702096	BUY 0 Units @0.0000						
03/31/2018	***-**-70IN - KING, SUSAN	OPPENHEIMER CORE BOND FUND A	0.00	0.77	0.00	0.77	20.0	0.15
	ACCOUNT #: 02852063622	BUY 0 Units @0.0000						
03/31/2018	***-**-33IN - KING, JOHN	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	6.82	0.00	6.82	20.0	1.36
	ACCOUNT #: 07859653204	BUY 0 Units @0.0000						
03/31/2018	***-**-70IN - KING, SUSAN	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.67	0.00	0.67	20.0	0.13
	ACCOUNT #: 07859845440	BUY 0 Units @0.0000						
03/31/2018	***-**-5453 - O'HARA, DARLENE	OPPENHEIMER DISCOVERY CLASS A	0.00	7.10	0.00	7.10	20.0	1.42
	ACCOUNT #: 07453729187	BUY 0 Units @0.0000						
03/31/2018	***-**-481J - MERRILL, JASON	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	3.78	0.00	3.78	20.0	0.76
	ACCOUNT #: 01951261073	BUY 0 Units @0.0000						
03/31/2018	***-**-030J - MERRILL,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	1.36	0.00	1.36	20.0	0.27
	ACCOUNT #: 01951261139	BUY 0 Units @0.0000						
03/31/2018	***-**-70IN - KING, SUSAN	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	2.91	0.00	2.91	20.0	0.58
	ACCOUNT #: 01951897060	BUY 0 Units @0.0000						



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ANDY KALINOWSKI

BROKER #: AK417

BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: RONALD DRAKE (continued) </u></b>								
03/31/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 07315104495	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	2.64	0.00	2.64	20.0	0.53
03/31/2018	***-**-5453 - O'HARA, DARLENE ACCOUNT #: 08475741681	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	8.50	0.00	8.50	20.0	1.70
03/31/2018	***-**-33IN - KING, JOHN ACCOUNT #: 08476672325	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	7.64	0.00	7.64	20.0	1.53
03/31/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 08476711969	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	5.60	0.00	5.60	20.0	1.12
03/31/2018	***-**-33IN - KING, JOHN ACCOUNT #: 02514166107	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	7.10	0.00	7.10	20.0	1.42
03/31/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 02305070453	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	4.62	0.00	4.62	20.0	0.92
03/31/2018	***-**-33IN - KING, JOHN ACCOUNT #: 02305070475	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	0.24	0.00	0.24	20.0	0.05
03/31/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 02306510122	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	5.52	0.00	5.52	20.0	1.10
03/31/2018	***-**-453B - OHARA, DARLENE ACCOUNT #: 02306518823	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	10.48	0.00	10.48	20.0	2.10
03/31/2018	***-**-030J - MERRILL, ACCOUNT #: 05480060203	PORTFOLIO SERIES: MODERATE INVESTOR BUY 0 Units @0.0000	0.00	10.36	0.00	10.36	20.0	2.07
03/31/2018	***-**-030J - MERRILL, ACCOUNT #: 05480060203	PORTFOLIO SERIES: MODERATE INVESTOR BUY 0 Units @0.0000	0.00	1.18	0.00	1.18	20.0	0.24
03/31/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 02253478497	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	5.57	0.00	5.57	20.0	1.11
03/31/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 02254109468	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	6.13	0.00	6.13	20.0	1.23
03/31/2018	***-**-453B - OHARA, DARLENE ACCOUNT #: 02254115661	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	11.74	0.00	11.74	20.0	2.35
03/31/2018	***-**-33IN - KING, JOHN ACCOUNT #: 02254507140	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	3.06	0.00	3.06	20.0	0.61
03/31/2018	***-**-030J - MERRILL, ACCOUNT #: 06000782386	SELECT VALUE FUND A BUY 0 Units @0.0000	0.00	1.33	0.00	1.33	20.0	0.27



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ANDY KALINOWSKI

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: RONALD DRAKE (continued) </u></b>								
03/31/2018	***-**-481J - MERRILL, JASON	SELECT VALUE FUND A	0.00	1.26	0.00	1.26	20.0	0.25
	ACCOUNT #: 06000782397	BUY 0 Units @0.0000						
04/16/2018	***-**-027I - DAVIS, KATHRYN	TEMP GLOBAL BOND FND - CL A	0.00	1.44	0.00	1.44	20.0	0.29
	ACCOUNT #: LSR010492	BUY 1 Units @0.0000						
04/02/2018	***-**-4639 - SCOONES,	THE BOND FUND OF AMERICA-A	90.75	2.50	0.00	2.50	20.0	0.50
	ACCOUNT #: 00084481157	BUY 7 Units @13.1000						
04/02/2018	***-**-6790 - DRAKE, ROBERT	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	20.0	0.30
	ACCOUNT #: 00086643595	BUY 4 Units @13.1300						
04/02/2018	***-**-4639 - SCOONES,	THE GROWTH FUND OF AMERICA-A	93.50	2.57	0.00	2.57	20.0	0.51
	ACCOUNT #: 00084481157	BUY 2 Units @51.6400						
04/02/2018	***-**-9408 - SNIZEK,	THE GROWTH FUND OF AMERICA-A	50.00	1.38	0.00	1.38	20.0	0.28
	ACCOUNT #: 00085099445	BUY 1 Units @51.6400						
04/02/2018	***-**-408B - SNIZEK,	THE GROWTH FUND OF AMERICA-A	175.00	4.81	0.00	4.81	20.0	0.96
	ACCOUNT #: 00085154620	BUY 3 Units @51.6400						
04/02/2018	***-**-1909 - BASHANT, MATTHEW	THE GROWTH FUND OF AMERICA-A	36.00	0.99	0.00	0.99	20.0	0.20
	ACCOUNT #: 00085839015	BUY 1 Units @51.6400						
04/02/2018	***-**-4848 - DOGETT, AMY	THE GROWTH FUND OF AMERICA-A	170.00	6.38	0.00	6.38	20.0	1.28
	ACCOUNT #: 00081620466	BUY 3 Units @52.1800						
04/05/2018	***-**-0911 - SPAZIANI,	THE GROWTH FUND OF AMERICA-A	55.00	2.06	0.00	2.06	20.0	0.41
	ACCOUNT #: 00082570536	BUY 1 Units @53.6300						
04/02/2018	***-**-1909 - BASHANT, MATTHEW	THE INCOME FUND OF AMERICA-A	25.50	0.70	0.00	0.70	20.0	0.14
	ACCOUNT #: 00085839015	BUY 1 Units @23.2800						
04/02/2018	***-**-6790 - DRAKE, ROBERT	THE INCOME FUND OF AMERICA-A	75.00	2.81	0.00	2.81	20.0	0.56
	ACCOUNT #: 00086643595	BUY 3 Units @23.5300						
04/05/2018	***-**-0911 - SPAZIANI,	THE INCOME FUND OF AMERICA-A	135.00	5.06	0.00	5.06	20.0	1.01
	ACCOUNT #: 00082570536	BUY 6 Units @23.9700						
03/31/2018	***-**-5453 - O'HARA, DARLENE	VALUE FUND A	0.00	6.21	0.00	6.21	20.0	1.24
	ACCOUNT #: 03751903044	BUY 0 Units @0.0000						
* RONALD DRAKE SUBTOTAL *			\$3,390.00	\$372.72	\$0.00	\$372.72		\$74.55





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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: RONALD CIOTOLI</u></b>								
04/02/2018	***-**-923I - MILLER, DENISE	AMERICAN BALANCED FUND-A	100.00	3.75	0.00	3.75	35.0	1.31
	ACCOUNT #: 00068752100	BUY 4 Units @27.6300						
03/31/2018	***-**-213I - CASTELLUCCI,	CAPITAL APPRECIATION A	0.00	22.18	0.00	22.18	35.0	7.76
	ACCOUNT #: 02704872989	BUY 0 Units @0.0000						
03/31/2018	***-**-213I - CASTELLUCCI,	CAPITAL APPRECIATION A	0.00	0.07	0.00	0.07	35.0	0.02
	ACCOUNT #: 03203076865	BUY 0 Units @0.0000						
03/31/2018	***-**-338O - DENTON, KELLI	CAPITAL APPRECIATION A	0.00	7.61	0.00	7.61	35.0	2.66
	ACCOUNT #: 03210124708	BUY 0 Units @0.0000						
03/31/2018	***-**-850I - BERG, SCOTT	CAPITAL APPRECIATION A	0.00	11.31	0.00	11.31	35.0	3.96
	ACCOUNT #: 03210694585	BUY 0 Units @0.0000						
03/31/2018	***-**-258I - JOHNSON,	CAPITAL INCOME A	0.00	28.01	0.00	28.01	35.0	9.80
	ACCOUNT #: 03009150416	BUY 0 Units @0.0000						
03/31/2018	***-**-793I - CIOTOLI, LOUIS	DISCOVERY FUND C	0.00	77.16	0.00	77.16	35.0	27.01
	ACCOUNT #: 07470601535	BUY 0 Units @0.0000						
03/31/2018	***-**-832I - FLETCHER, JAMES	EQUITY INCOME FUND, INC. A	0.00	21.75	0.00	21.75	35.0	7.61
	ACCOUNT #: 08352369477	BUY 0 Units @0.0000						
03/31/2018	***-**-753I - BRYAN, DEBRA	EQUITY INCOME FUND, INC. A	0.00	4.99	0.00	4.99	35.0	1.75
	ACCOUNT #: 08353019005	BUY 0 Units @0.0000						
03/31/2018	***-**-793I - CIOTOLI, LOUIS	EQUITY INCOME FUND, INC. C	0.00	253.22	0.00	253.22	35.0	88.63
	ACCOUNT #: 08370088704	BUY 0 Units @0.0000						
03/31/2018	***-**-832I - FLETCHER, JAMES	GLOBAL FUND A	0.00	12.76	0.00	12.76	35.0	4.47
	ACCOUNT #: 03307051794	BUY 0 Units @0.0000						
03/31/2018	***-**-753I - BRYAN, DEBRA	GLOBAL FUND A	0.00	2.77	0.00	2.77	35.0	0.97
	ACCOUNT #: 03307545892	BUY 0 Units @0.0000						
03/31/2018	***-**-717I - EWING, JOSEPH	GLOBAL FUND N	0.00	5.48	0.00	5.48	35.0	1.92
	ACCOUNT #: 03330205810	BUY 0 Units @0.0000						
03/31/2018	***-**-717I - EWING, JOSEPH	GLOBAL FUND N	0.00	0.64	0.00	0.64	35.0	0.22
	ACCOUNT #: 03330205810	BUY 0 Units @0.0000						
03/31/2018	***-**-832I - FLETCHER, JAMES	INTERNATIONAL BOND A	0.00	5.93	0.00	5.93	35.0	2.08
	ACCOUNT #: 08809946992	BUY 0 Units @0.0000						
03/31/2018	***-**-717I - EWING, JOSEPH	INTERNATIONAL BOND FUND N	0.00	12.64	0.00	12.64	35.0	4.42
	ACCOUNT #: 08790164604	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: RONALD CIOTOLI (continued)</b>								
03/31/2018	***-**-717I - EWING, JOSEPH	INTERNATIONAL BOND FUND N	0.00	3.42	0.00	3.42	35.0	1.20
	ACCOUNT #: 08790164604	BUY 0 Units @0.0000						
03/31/2018	***-**-850I - BERG, SCOTT	INTERNATIONAL GROWTH FUND A	0.00	9.78	0.00	9.78	35.0	3.42
	ACCOUNT #: 08254805537	BUY 0 Units @0.0000						
04/10/2018	***-**-630I - ROMA, JAMES	JACKSON 468511530	300.00	15.75	0.00	15.75	35.0	5.51
	ACCOUNT #: 1200802832	BUY 0 Units @0.0000						
03/31/2018	***-**-258I - JOHNSON,	MAIN STREET FUND A	0.00	30.16	0.00	30.16	35.0	10.56
	ACCOUNT #: 07006148794	BUY 0 Units @0.0000						
03/31/2018	***-**-354I - MASTRONARDI,	OPP PORT SERIES: ACTIVE ALLOC A	0.00	17.74	0.00	17.74	35.0	6.21
	ACCOUNT #: 05502014892	BUY 0 Units @0.0000						
03/31/2018	***-**-258I - JOHNSON,	OPPENHEIMER CORE BOND FUND A	0.00	26.61	0.00	26.61	35.0	9.31
	ACCOUNT #: 02852454661	BUY 0 Units @0.0000						
03/31/2018	***-**-258I - JOHNSON,	OPPENHEIMER DISCOVERY CLASS A	0.00	2.51	0.00	2.51	35.0	0.88
	ACCOUNT #: 05001906223	BUY 0 Units @0.0000						
03/31/2018	***-**-850I - BERG, SCOTT	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	12.20	0.00	12.20	35.0	4.27
	ACCOUNT #: 08476862416	BUY 0 Units @0.0000						
03/31/2018	***-**-753I - BRYAN, DEBRA	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	2.54	0.00	2.54	35.0	0.89
	ACCOUNT #: 08477449156	BUY 0 Units @0.0000						
03/31/2018	***-**-832I - FLETCHER, JAMES	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	6.50	0.00	6.50	35.0	2.28
	ACCOUNT #: 02912380983	BUY 0 Units @0.0000						
03/31/2018	***-**-717I - EWING, JOSEPH	OPPENHEIMER SENIOR FLOATING RATE FU	0.00	20.97	0.00	20.97	35.0	7.34
	ACCOUNT #: 00100013223	BUY 0 Units @0.0000						
03/31/2018	***-**-717I - EWING, JOSEPH	OPPENHEIMER SENIOR FLOATING RATE FU	0.00	17.48	0.00	17.48	35.0	6.12
	ACCOUNT #: 00100013223	BUY 0 Units @0.0000						
03/31/2018	***-**-832I - FLETCHER, JAMES	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	47.46	0.00	47.46	35.0	16.61
	ACCOUNT #: 02306352283	BUY 0 Units @0.0000						
03/31/2018	***-**-753I - BRYAN, DEBRA	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	9.37	0.00	9.37	35.0	3.28
	ACCOUNT #: 02306960198	BUY 0 Units @0.0000						
03/31/2018	***-**-717I - EWING, JOSEPH	PORT SERIES: EQUITY INV FD A	0.00	22.30	0.00	22.30	35.0	7.81
	ACCOUNT #: 05550672298	BUY 0 Units @0.0000						
03/31/2018	***-**-717I - EWING, JOSEPH	PORT SERIES: EQUITY INV FD B	0.00	0.77	0.00	0.77	35.0	0.27
	ACCOUNT #: 05560094699	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

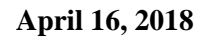
April 16, 2018

ANDY KALINOWSKI

BROKER #: AK417

BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: RONALD CIOTOLI (continued)</u></b>								
03/31/2018	***-**-717I - EWING, JOSEPH ACCOUNT #: 08380094006	QUEST CAPITAL VALUE FUND, INC. N BUY 0 Units @0.0000	0.00	9.60	0.00	9.60	35.0	3.36
03/31/2018	***-**-717I - EWING, JOSEPH ACCOUNT #: 08380094006	QUEST CAPITAL VALUE FUND, INC. N BUY 0 Units @0.0000	0.00	4.51	0.00	4.51	35.0	1.58
03/31/2018	***-**-850I - BERG, SCOTT ACCOUNT #: 02253463944	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	11.15	0.00	11.15	35.0	3.90
03/31/2018	***-**-832I - FLETCHER, JAMES ACCOUNT #: 02253984684	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	22.80	0.00	22.80	35.0	7.98
03/31/2018	***-**-354I - MASTRONARDI, ACCOUNT #: 02254007586	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	7.21	0.00	7.21	35.0	2.52
03/31/2018	***-**-753I - BRYAN, DEBRA ACCOUNT #: 02254472149	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	5.19	0.00	5.19	35.0	1.82
03/31/2018	***-**-717I - EWING, JOSEPH ACCOUNT #: 02350125422	RISING DIVIDENDS FUND, INC. N BUY 0 Units @0.0000	0.00	8.37	0.00	8.37	35.0	2.93
03/31/2018	***-**-717I - EWING, JOSEPH ACCOUNT #: 02350125422	RISING DIVIDENDS FUND, INC. N BUY 0 Units @0.0000	0.00	6.33	0.00	6.33	35.0	2.22
03/31/2018	***-**-354I - MASTRONARDI, ACCOUNT #: 03652709938	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	11.40	0.00	11.40	35.0	3.99
03/31/2018	***-**-258I - JOHNSON, ACCOUNT #: 06000784399	SELECT VALUE FUND A BUY 0 Units @0.0000	0.00	30.18	0.00	30.18	35.0	10.56
03/31/2018	***-**-793I - CIOTOLI, LOUIS ACCOUNT #: 02530273031	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	0.00	98.61	0.00	98.61	35.0	34.51
03/31/2018	***-**-717I - EWING, JOSEPH ACCOUNT #: 02330203984	STRATEGIC INCOME FUND N BUY 0 Units @0.0000	0.00	28.41	0.00	28.41	35.0	9.94
03/31/2018	***-**-717I - EWING, JOSEPH ACCOUNT #: 02330203984	STRATEGIC INCOME FUND N BUY 0 Units @0.0000	0.00	8.66	0.00	8.66	35.0	3.03
04/02/2018	***-**-5000 - CRAWFORD, ACCOUNT #: 00067346436	THE INCOME FUND OF AMERICA-A BUY 8 Units @23.0500	190.00	3.80	0.00	3.80	35.0	1.33
04/02/2018	***-**-5000 - CRAWFORD, ACCOUNT #: 00067346436	THE INCOME FUND OF AMERICA-A BUY 2 Units @23.0500	57.00	1.14	0.00	1.14	35.0	0.40
* RONALD CIOTOLI SUBTOTAL *			\$647.00	\$973.19	\$0.00	\$973.19		\$340.62
*** OVERRIDE TRANSACTIONS TOTAL ***			\$4,037.00	\$1,345.91	\$0.00	\$1,345.91		\$415.17



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			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$226.45
						Split Transactions		\$0.00
						Override Transactions		\$415.17
						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		\$641.62
						Year-to-date Earnings		\$7,421.89