



# COMMISSION STATEMENT

## July 16, 2018

JAMES LOMBARDO  
231 Hill Road  
Rome, NY 13441

BROKER #: A08  
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>								
07/02/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 04000460394	BUY 2 Units @28.8000						
07/02/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 04000460402	BUY 2 Units @28.8000						
07/02/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	100.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00087068370	BUY 3 Units @28.8000						
07/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	110.00	5.50	0.00	5.50	80.0	4.40
	ACCOUNT #: 00088153955	BUY 4 Units @28.7700						
07/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 2 Units @28.6700						
07/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN MUTUAL FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @43.1300						
07/06/2018	***-**-2608 - GIAMAS, GREGORY	FUNDAMENTAL INVESTORS-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @66.3700						
07/06/2018	***-**-2608 - GIAMAS, GREGORY	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @47.6300						
07/02/2018	***-**-3040 - KOTARY, BRANDY	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00087642268	BUY 4 Units @13.0300						
07/06/2018	***-**-2608 - GIAMAS, GREGORY	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @57.4000						
07/02/2018	***-**-6802 - NAKANO, AMELIA	THE NEW ECONOMY FUND-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00082853395	BUY 1 Units @50.9900						
07/05/2018	***-**-3828 - DUSABLON, DANIEL	U.S. GOVERNMENT SECURITIES FUND CLA	150.00	4.50	0.00	4.50	80.0	3.60
	ACCOUNT #: 00084530390	BUY 11 Units @13.8900						
07/02/2018	***-**-6802 - NAKANO, AMELIA	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00082853395	BUY 1 Units @46.7400						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$860.00</b>	<b>\$35.16</b>	<b>\$0.00</b>	<b>\$35.16</b>		<b>\$28.10</b>



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: 529 PLAN</b>								
07/16/2018	***-**-13CL - BERG, C, CLIENTS NEW YORK 529 TRAILS		0.00	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 77450911001	BUY 0 Units @0.0000						
		<b>* 529 PLAN SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$0.27</b>	<b>\$0.00</b>	<b>\$0.27</b>		<b>\$0.22</b>
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
07/02/2018	***-**-228I - EMMA, JACQUELINE	37252M108	0.00	1.23	0.00	1.23	80.0	0.98
	ACCOUNT #: 00551461545	BUY 0 Units @0.0000						
07/02/2018	***-**-5506 - LOMBARDO, LEIGH	37252M108	0.00	3.01	0.00	3.01	80.0	2.41
	ACCOUNT #: 00370935092	BUY 0 Units @0.0000						
07/02/2018	***-**-1748 - LOMBARDO, JAMES	37252M108	0.00	6.72	0.00	6.72	80.0	5.38
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
07/01/2018	***-**-51IR - HOKE, THOMAS	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	2.44	0.00	2.44	80.0	1.95
	ACCOUNT #: 03809514965	BUY 0 Units @0.0000						
07/01/2018	***-**-5506 - LOMBARDO, LEIGH	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	24.93	0.00	24.93	80.0	19.94
	ACCOUNT #: 03809219276	BUY 0 Units @0.0000						
07/01/2018	***-**-6195 - BACKUS, THOMAS	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	9.67	0.00	9.67	80.0	7.74
	ACCOUNT #: 03908954377	BUY 0 Units @0.0000						
07/02/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM ASSET ALLOC CONSERV-A	0.00	16.67	0.00	16.67	80.0	13.34
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
07/02/2018	***-**-7177 - RUNICE, MARGARET	PUTNAM EQUITY INCOME FUND-A	0.00	16.11	0.00	16.11	80.0	12.89
	ACCOUNT #: 00266380833	BUY 0 Units @0.0000						
07/02/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM EQUITY INCOME FUND-A	0.00	7.95	0.00	7.95	80.0	6.36
	ACCOUNT #: 00461190200	BUY 0 Units @0.0000						
07/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM EQUITY INCOME FUND-A	0.00	26.60	0.00	26.60	80.0	21.28
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						
07/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.54	0.00	0.54	80.0	0.43
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						
07/02/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM INVESTORS FUND-A	0.00	3.71	0.00	3.71	80.0	2.97
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
07/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM INVESTORS FUND-A	0.00	4.12	0.00	4.12	80.0	3.30
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						
07/02/2018	***-**-8491 - INCORVAIA,	PUTNAM INVESTORS FUND-A	0.00	2.73	0.00	2.73	80.0	2.18
	ACCOUNT #: 00517271868	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/02/2018	***-**-8201 - MAUTNER, LILLIAN	PUTNAM INVESTORS FUND-A	0.00	1.04	0.00	1.04	80.0	0.83
	ACCOUNT #: 00551326614	BUY 0 Units @0.0000						
07/02/2018	***-**-6565 - MAUTNER, ARIANNY	PUTNAM INVESTORS FUND-A	0.00	1.04	0.00	1.04	80.0	0.83
	ACCOUNT #: 00551326624	BUY 0 Units @0.0000						
07/02/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.41	0.00	0.41	80.0	0.33
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
07/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.46	0.00	0.46	80.0	0.37
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						
07/02/2018	***-**-8491 - INCORVAIA,	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00517271868	BUY 0 Units @0.0000						
07/02/2018	***-**-8201 - MAUTNER, LILLIAN	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.12	0.00	0.12	80.0	0.10
	ACCOUNT #: 00551326614	BUY 0 Units @0.0000						
07/02/2018	***-**-6565 - MAUTNER, ARIANNY	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.12	0.00	0.12	80.0	0.10
	ACCOUNT #: 00551326624	BUY 0 Units @0.0000						
07/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	34.28	0.00	34.28	80.0	27.42
	ACCOUNT #: 00343384180	BUY 0 Units @0.0000						
07/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	33.91	0.00	33.91	80.0	27.13
	ACCOUNT #: 00452858253	BUY 0 Units @0.0000						
07/02/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.90	0.00	3.90	80.0	3.12
	ACCOUNT #: 00461190200	BUY 0 Units @0.0000						
07/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	20.87	0.00	20.87	80.0	16.70
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						
07/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES-B	0.00	0.42	0.00	0.42	80.0	0.34
	ACCOUNT #: 00452858253	BUY 0 Units @0.0000						
07/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM SHORT DURATION INCOME CL A	0.00	5.15	0.00	5.15	80.0	4.12
	ACCOUNT #: 00550388392	BUY 0 Units @0.0000						
06/30/2018	***-**-2582 - FERRAR, PATRICIA	ROCHESTER FUND MUNICIPALS A	0.00	80.87	0.00	80.87	80.0	64.70
	ACCOUNT #: 03651105500	BUY 0 Units @0.0000						
06/30/2018	***-**-9195 - FERRAR, ROLFE	ROCHESTER FUND MUNICIPALS A	0.00	38.15	0.00	38.15	80.0	30.52
	ACCOUNT #: 03651253373	BUY 0 Units @0.0000						
07/01/2018	***-**-5506 - LOMBARDO, LEIGH	VAN KAMPEN3	0.00	8.06	0.00	8.06	80.0	6.45
	ACCOUNT #: 03809219276	BUY 0 Units @0.0000						



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<u>ADJUSTMENTS (continued)</u>								
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$355.53	\$0.00	\$355.53		\$284.45
		*** BROKER TRANSACTIONS TOTAL ***	\$860.00	\$390.96	\$0.00	\$390.96		\$312.77
<u>BROKER COMMISSION TOTALS</u>								
						Broker Transactions		\$312.77
						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		\$312.77
						Year-to-date Earnings		\$4,378.40