



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/02/2018	***-**-435P - ANTINORE, EMILY	CAPITAL INCOME BUILDER-A	49.50	0.79	0.00	0.79	95.0	0.75
	ACCOUNT #: 00067185955	BUY 1 Units @61.0200						
04/16/2018	***-**-3500 - NIELSEN, JEFFREY	DELAWARE SELECT GROWTH FUND A CLASS	150.00	6.00	0.00	6.00	95.0	5.70
		BUY 0 Units @0.0000						
04/13/2018	***-**-68IN - WARNER, JANET	TCW VAL OPPORTUNITY CLASS N	1,524.04	18.00	18.00	0.00	95.0	0.00
	ACCOUNT #: LSR010222	SELL 62 Units @24.4500						
04/02/2018	***-**-6413 - KOZAK, LAUREN	THE GROWTH FUND OF AMERICA-A	50.00	2.13	0.00	2.13	95.0	2.02
	ACCOUNT #: 00086445258	BUY 1 Units @52.4500						
* MUTUAL FUNDS SUBTOTAL *			\$1,773.54	\$26.92	\$18.00	\$8.92		\$8.47
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
04/09/2018	***-**-60CL - KALINOWSKI,	LINCOLN 008148728	54.29	1.09	0.00	1.09	95.0	1.04
	ACCOUNT #: F1525479	BUY 0 Units @0.0000						
04/09/2018	***-**-575I - PALELLA, CHARLES	PRUDENTIAL VA TRAILS 74429P144	100.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: E1764889	BUY 0 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$154.29	\$1.09	\$0.00	\$1.09		\$1.04
<u>PRODUCT CATEGORY: 529 PLAN</u>								
04/02/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 00625264015	BUY 2 Units @25.4300						
04/02/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 01429492661	BUY 2 Units @25.4300						
04/02/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 01438811646	BUY 2 Units @25.4300						
* 529 PLAN SUBTOTAL *			\$150.00	\$1.50	\$0.00	\$1.50		\$1.44
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/01/2018	***-**-942I - LECHOWSKI, PIOTR	AIM CHARTER FUND - CLASS A	0.00	9.68	0.00	9.68	95.0	9.20
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
04/01/2018	***-**-022I - PERRY, JESSICA	AIM CHARTER FUND - CLASS C	0.00	0.34	0.00	0.34	95.0	0.32
	ACCOUNT #: 00777099026	BUY 0 Units @0.0000						
04/01/2018	***-**-498K - INDELICATO,	AIM CHARTER FUND - CLASS C	0.00	6.84	0.00	6.84	95.0	6.50
	ACCOUNT #: 00777153759	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/01/2018	***-**-51SI - KEATING, DANIEL	AIM CHARTER FUND - CLASS C	0.00	1.07	0.00	1.07	95.0	1.02
	ACCOUNT #: 00777158146	BUY 0 Units @0.0000						
04/01/2018	***-**-67IR - GAISSER, DARCY	AIM CHARTER FUND - CLASS C	0.00	1.88	0.00	1.88	95.0	1.79
	ACCOUNT #: 01000021673	BUY 0 Units @0.0000						
04/01/2018	***-**-267I - GAISSER, DARCY	AIM CHARTER FUND - CLASS C	0.00	4.68	0.00	4.68	95.0	4.45
	ACCOUNT #: 01000021706	BUY 0 Units @0.0000						
04/01/2018	***-**-537J - GOLDBLATT,	AIM CHARTER FUND - CLASS C	0.00	3.35	0.00	3.35	95.0	3.18
	ACCOUNT #: 01000217759	BUY 0 Units @0.0000						
04/01/2018	***-**-959P - HENNEKEY,	AIM CHARTER FUND - CLASS C	0.00	11.12	0.00	11.12	95.0	10.56
	ACCOUNT #: 02500011737	BUY 0 Units @0.0000						
04/01/2018	***-**-52IR - WASSEM, HEATH	AIM CHARTER FUND - CLASS C	0.00	1.65	0.00	1.65	95.0	1.57
	ACCOUNT #: 03810631782	BUY 0 Units @0.0000						
04/01/2018	***-**-501I - MCMANUS, MAUREEN	AIM CHARTER FUND - CLASS C	0.00	0.28	0.00	0.28	95.0	0.27
	ACCOUNT #: 03870029810	BUY 0 Units @0.0000						
04/01/2018	***-**-537J - GOLDBLATT,	AIM DEVELOPING MARKETS FUND - CLASS	0.00	0.33	0.00	0.33	95.0	0.31
	ACCOUNT #: 01000217759	BUY 0 Units @0.0000						
04/01/2018	***-**-229I - WALKER, ADAM	AIM DEVELOPING MARKETS FUND - CLASS	0.00	2.85	0.00	2.85	95.0	2.71
	ACCOUNT #: 02500049319	BUY 0 Units @0.0000						
04/01/2018	***-**-1352 - BAKER, DIANE	AIM DEVELOPING MARKETS FUND - CLASS	0.00	32.03	0.00	32.03	95.0	30.43
	ACCOUNT #: 02500079035	BUY 0 Units @0.0000						
04/01/2018	***-**-942I - LECHOWSKI, PIOTR	AIM DIVERSIFIED DIVIDEND FUND - CL	0.00	0.47	0.00	0.47	95.0	0.45
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
04/01/2018	***-**-51SI - KEATING, DANIEL	AIM ENERGY FUND - CLASS C	0.00	0.44	0.00	0.44	95.0	0.42
	ACCOUNT #: 00777158146	BUY 0 Units @0.0000						
04/01/2018	***-**-51SI - KEATING, DANIEL	AIM EUROPEAN GROWTH FUND - CLASS C	0.00	30.09	0.00	30.09	95.0	28.59
	ACCOUNT #: 00777158146	BUY 0 Units @0.0000						
04/01/2018	***-**-67IR - GAISSER, DARCY	AIM EUROPEAN SMALL COMPANY FUND - C	0.00	28.42	0.00	28.42	95.0	27.00
	ACCOUNT #: 01000021673	BUY 0 Units @0.0000						
04/01/2018	***-**-229I - WALKER, ADAM	AIM EUROPEAN SMALL COMPANY FUND - C	0.00	2.58	0.00	2.58	95.0	2.45
	ACCOUNT #: 02500049319	BUY 0 Units @0.0000						
04/01/2018	***-**-25IE - PRZEPIORA,	AIM GLOBAL AGGRESSIVE GROWTH FD -CL	0.00	0.65	0.00	0.65	95.0	0.62
	ACCOUNT #: 03911599169	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/01/2018	***-**-60CL - KALINOWSKI, ACCOUNT #: 05053804836	AIM GLOBAL EQUITY FUND - CLASS A BUY 0 Units @0.0000	0.00	8.19	0.00	8.19	95.0	7.78
04/01/2018	***-**-51SI - KEATING, DANIEL ACCOUNT #: 00777158146	AIM GLOBAL HEALTH CARE FUND - CLASS BUY 0 Units @0.0000	0.00	27.83	0.00	27.83	95.0	26.44
04/01/2018	***-**-5498 - INDELICATO, ACCOUNT #: 00777159873	AIM GLOBAL HEALTH CARE FUND - CLASS BUY 0 Units @0.0000	0.00	8.93	0.00	8.93	95.0	8.48
04/01/2018	***-**-942I - LECHOWSKI, PIOTR ACCOUNT #: 05056164907	AIM GLOBAL HEALTH CARE FUND CLASS A BUY 0 Units @0.0000	0.00	1.61	0.00	1.61	95.0	1.53
04/01/2018	***-**-8704 - LYNCH, TIMOHTY ACCOUNT #: 06700232960	AIM INTERMEDIATE GOVERNMENT FD - CL BUY 0 Units @0.0000	0.00	2.05	0.00	2.05	95.0	1.95
04/01/2018	***-**-695P - COLONEY, DANIEL ACCOUNT #: 01000152049	AIM INTERNATIONAL ALLOCATION FD-CL BUY 0 Units @0.0000	0.00	5.08	0.00	5.08	95.0	4.83
04/01/2018	***-**-165P - PRINCE, WILBUR ACCOUNT #: 01000157109	AIM INTERNATIONAL ALLOCATION FD-CL BUY 0 Units @0.0000	0.00	0.74	0.00	0.74	95.0	0.70
04/01/2018	***-**-127I - EVANS, LANCE ACCOUNT #: 01000176302	AIM INTERNATIONAL ALLOCATION FD-CL BUY 0 Units @0.0000	0.00	0.95	0.00	0.95	95.0	0.90
04/01/2018	***-**-022I - PERRY, JESSICA ACCOUNT #: 00777099026	AIM INTERNATIONAL ALLOCATION FD-CL BUY 0 Units @0.0000	0.00	0.77	0.00	0.77	95.0	0.73
04/01/2018	***-**-5498 - INDELICATO, ACCOUNT #: 00777159873	AIM INTERNATIONAL GROWTH FUND - CL BUY 0 Units @0.0000	0.00	2.99	0.00	2.99	95.0	2.84
04/01/2018	***-**-942I - LECHOWSKI, PIOTR ACCOUNT #: 05056164907	AIM MID-CAP EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	8.92	0.00	8.92	95.0	8.47
04/01/2018	***-**-498K - INDELICATO, ACCOUNT #: 00777153759	AIM SELECT REAL ESTATE INCOME FD-CL BUY 0 Units @0.0000	0.00	5.84	0.00	5.84	95.0	5.55
04/01/2018	***-**-59IR - HENNEKEY, ACCOUNT #: 02500013377	AIM SMALL CAP EQUITY FUND - CLASS C BUY 0 Units @0.0000	0.00	7.39	0.00	7.39	95.0	7.02
04/01/2018	***-**-74IN - KETCHUM, STEVEN ACCOUNT #: 03811119944	AIM SMALL CAP EQUITY FUND - CLASS C BUY 0 Units @0.0000	0.00	12.59	0.00	12.59	95.0	11.96
04/01/2018	***-**-942I - LECHOWSKI, PIOTR ACCOUNT #: 05056164907	AIM TECHNOLOGY FUND - CLASS A BUY 0 Units @0.0000	0.00	1.01	0.00	1.01	95.0	0.96
04/01/2018	***-**-161I - FANNING, MICHAEL ACCOUNT #: 07002253735	AIM TECHNOLOGY FUND - CLASS A BUY 0 Units @0.0000	0.00	0.60	0.00	0.60	95.0	0.57



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/01/2018	***-**-51SI - KEATING, DANIEL	AIM TECHNOLOGY FUND - CLASS C	0.00	39.63	0.00	39.63	95.0	37.65
	ACCOUNT #: 00777158146	BUY 0 Units @0.0000						
04/01/2018	***-**-959P - HENNEKEY,	AIM TECHNOLOGY FUND - CLASS C	0.00	21.93	0.00	21.93	95.0	20.83
	ACCOUNT #: 02500011737	BUY 0 Units @0.0000						
04/01/2018	***-**-400P - PIGNONE, LIDIA	AIM TECHNOLOGY FUND - CLASS C	0.00	5.21	0.00	5.21	95.0	4.95
	ACCOUNT #: 02500021797	BUY 0 Units @0.0000						
04/01/2018	***-**-52IR - WASSEM, HEATH	AIM TECHNOLOGY FUND - CLASS C	0.00	20.52	0.00	20.52	95.0	19.49
	ACCOUNT #: 03810631782	BUY 0 Units @0.0000						
04/01/2018	***-**-996I - MARTIN, MICHAEL	AIM TECHNOLOGY FUND - CLASS C	0.00	1.46	0.00	1.46	95.0	1.39
	ACCOUNT #: 03911370421	BUY 0 Units @0.0000						
04/01/2018	***-**-498K - INDELICATO,	AIM TRIMARK ENDEAVOR - CLASS C	0.00	7.02	0.00	7.02	95.0	6.67
	ACCOUNT #: 00777153759	BUY 0 Units @0.0000						
03/31/2018	***-**-8934 - BUCKWELL, JAMES	C-GLOBAL MULTI-ASSET GROWTH FUND	0.00	1.79	0.00	1.79	95.0	1.70
	ACCOUNT #: 00100013025	BUY 0 Units @0.0000						
03/31/2018	***-**-8934 - BUCKWELL, JAMES	C-INTERNATIONAL GROWTH AND INCOME F	0.00	1.75	0.00	1.75	95.0	1.66
	ACCOUNT #: 00100011034	BUY 0 Units @0.0000						
03/31/2018	***-**-5920 - SCHNECKENBURGER,	CAPITAL INCOME A	0.00	5.66	0.00	5.66	95.0	5.38
	ACCOUNT #: 03006210600	BUY 0 Units @0.0000						
03/31/2018	***-**-0588 - RUSSELL, JUDY	CAPITAL INCOME FUND C	0.00	10.48	0.00	10.48	95.0	9.96
	ACCOUNT #: 03020532070	BUY 0 Units @0.0000						
03/31/2018	***-**-8932 - KYTE, AGNES	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604582006	BUY 0 Units @0.0000						
03/31/2018	***-**-86CL - BOUQUIN, CLIENTS	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604582017	BUY 0 Units @0.0000						
03/31/2018	***-**-6682 - ROYSTON, EMMA	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604257616	BUY 0 Units @0.0000						
03/31/2018	***-**-6223 - PRESLEY, MICHAEL	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604259640	BUY 0 Units @0.0000						
03/31/2018	***-**-0577 - CUOZZO, FRANK	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604352029	BUY 0 Units @0.0000						
03/31/2018	***-**-3942 - HIBBERT, LEONA	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604391013	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-5209 - STARKWEATHER, ACCOUNT #: 07604399791	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
03/31/2018	***-**-1722 - LANDIN, ROBERT ACCOUNT #: 07604443582	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
03/31/2018	***-**-2636 - COLES, DEBORAH ACCOUNT #: 07604452701	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
03/31/2018	***-**-5733 - WHITTON, JEFFREY ACCOUNT #: 07604462018	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
03/31/2018	***-**-1659 - BOUQUIN, ACCOUNT #: 07604535124	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
03/31/2018	***-**-6657 - THOMAS, ALEXIS ACCOUNT #: 07604406820	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
03/31/2018	***-**-6657 - THOMAS, ALEXIS ACCOUNT #: 07604531142	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
03/31/2018	***-**-9281 - RUSSELL, AMY ACCOUNT #: 07604486999	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
03/31/2018	***-**-22IN - SAUTTER, TERRIE ACCOUNT #: 07621412807	CASH RESERVES C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
03/31/2018	***-**-8156 - SALAMONE, FLOY ACCOUNT #: 07621314335	CASH RESERVES C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
03/31/2018	***-**-0588 - RUSSELL, JUDY ACCOUNT #: 07621330285	CASH RESERVES C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
03/31/2018	***-**-0577 - CUOZZO, FRANK ACCOUNT #: 07621412048	CASH RESERVES C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
03/31/2018	***-**-0656 - SALAMONE, MARY ACCOUNT #: 07621314346	CASH RESERVES C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	95.0	0.00
03/31/2018	***-**-6223 - PRESLEY, MICHAEL ACCOUNT #: 02870560978	CORE BOND FND C BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	95.0	0.29
04/16/2018	***-**-00IN - NIELSEN, JEFFREY ACCOUNT #: 06000305476	DELAWARE MF TRAILS BUY 0 Units @0.0000	0.00	10.94	0.00	10.94	95.0	10.39
04/16/2018	***-**-175I - CURNS, DANIEL ACCOUNT #: 05164473846	DELAWARE MF TRAILS BUY 0 Units @0.0000	0.00	0.48	0.00	0.48	95.0	0.46



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/16/2018	***-**-552I - TODD, MARY	DELAWARE MF TRAILS	0.00	0.77	0.00	0.77	95.0	0.73
	ACCOUNT #: 5014398821	BUY 0 Units @0.0000						
04/16/2018	***-**-275J - LAMANNA/PATRICK,	DELAWARE MF TRAILS	0.00	3.09	0.00	3.09	95.0	2.94
	ACCOUNT #: 05014574054	BUY 0 Units @0.0000						
04/16/2018	***-**-626I - BALDWIN, GARY	DELAWARE MF TRAILS	0.00	1.24	0.00	1.24	95.0	1.18
	ACCOUNT #: 6000022944	BUY 0 Units @0.0000						
04/16/2018	***-**-007J - SMITH, WILLIAM	DELAWARE SMALL CAP VALUE FUND A CLA	0.00	0.31	0.00	0.31	95.0	0.29
	ACCOUNT #: LSR011603	BUY 1 Units @0.0000						
04/16/2018	***-**-007J - SMITH, WILLIAM	DELAWARE VALUE FD CL A	0.00	0.28	0.00	0.28	95.0	0.27
	ACCOUNT #: LSR011603	BUY 1 Units @0.0000						
03/31/2018	***-**-5142 - WASHINGTON	DEVELOPING MARKETS FUND B	0.00	0.10	0.00	0.10	95.0	0.10
	ACCOUNT #: 07860995401	BUY 0 Units @0.0000						
04/04/2018	***-**-837J - HARRIS, THOMAS	DYNAMIC SMALL CAP FUND - A	0.00	3.35	0.00	3.35	95.0	3.18
	ACCOUNT #: 00000442576	BUY 0 Units @0.0000						
04/04/2018	***-**-14UG - MANNO, PAUL A	DYNAMIC SMALL CAP FUND - A	0.00	7.45	0.00	7.45	95.0	7.08
	ACCOUNT #: 00000456570	BUY 0 Units @0.0000						
04/04/2018	***-**-73IN - PHILIPPY, MARK	DYNAMIC SMALL CAP FUND - A	0.00	2.90	0.00	2.90	95.0	2.76
	ACCOUNT #: 00000457290	BUY 0 Units @0.0000						
04/04/2018	***-**-380I - COOK, JANINE	DYNAMIC SMALL CAP FUND - A	0.00	8.19	0.00	8.19	95.0	7.78
	ACCOUNT #: 00000458187	BUY 0 Units @0.0000						
04/04/2018	***-**-14UG - MANNO, PAUL A	DYNAMIC SMALL CAP FUND - A	0.00	7.45	0.00	7.45	95.0	7.08
	ACCOUNT #: 00000476122	BUY 0 Units @0.0000						
04/04/2018	***-**-16IN - CURRAN, THOMAS	DYNAMIC SMALL CAP FUND - A	0.00	5.96	0.00	5.96	95.0	5.66
	ACCOUNT #: 00000478324	BUY 0 Units @0.0000						
04/04/2018	***-**-305P - MILGATE, PATRICK	DYNAMIC SMALL CAP FUND - A	0.00	4.34	0.00	4.34	95.0	4.12
	ACCOUNT #: 00000485407	BUY 0 Units @0.0000						
03/31/2018	***-**-5142 - WASHINGTON	EMERGING GROWTH FUND B	0.00	0.15	0.00	0.15	95.0	0.14
	ACCOUNT #: 07220197978	BUY 0 Units @0.0000						
03/31/2018	***-**-5142 - WASHINGTON	EQUITY INCOME FUND, INC. A	0.00	1.30	0.00	1.30	95.0	1.24
	ACCOUNT #: 08353172444	BUY 0 Units @0.0000						
03/31/2018	***-**-575I - PALELLA, CHARLES	EQUITY INCOME FUND, INC. A	0.00	46.35	0.00	46.35	95.0	44.03
	ACCOUNT #: 08350895037	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-5142 - WASHINGTON	EQUITY INCOME FUND, INC. B	0.00	0.30	0.00	0.30	95.0	0.29
	ACCOUNT #: 08360502755	BUY 0 Units @0.0000						
03/31/2018	***-**-9281 - RUSSELL, AMY	EQUITY INCOME FUND, INC. C	0.00	13.15	0.00	13.15	95.0	12.49
	ACCOUNT #: 08370662827	BUY 0 Units @0.0000						
03/31/2018	***-**-059I - D'AMBROSIA,	GLOBAL FUND A	0.00	31.94	0.00	31.94	95.0	30.34
	ACCOUNT #: 03308827797	BUY 0 Units @0.0000						
03/31/2018	***-**-345P - MOON, LINDA	GLOBAL FUND A	0.00	2.72	0.00	2.72	95.0	2.58
	ACCOUNT #: 03301651672	BUY 0 Units @0.0000						
03/31/2018	***-**-9061 - BROWN, WINSTON	GOLD & SPECIAL MINERALS A	0.00	0.87	0.00	0.87	95.0	0.83
	ACCOUNT #: 04104629482	BUY 0 Units @0.0000						
03/31/2018	***-**-9061 - BROWN, WINSTON	GOLD & SPECIAL MINERALS FUND B	0.00	0.11	0.00	0.11	95.0	0.10
	ACCOUNT #: 04110633116	BUY 0 Units @0.0000						
03/31/2018	***-**-5142 - WASHINGTON	INTERNATIONAL BOND A	0.00	1.36	0.00	1.36	95.0	1.29
	ACCOUNT #: 08810288553	BUY 0 Units @0.0000						
03/31/2018	***-**-6657 - THOMAS, ALEXIS	INTERNATIONAL SMALL COMPANY A	0.00	2.28	0.00	2.28	95.0	2.17
	ACCOUNT #: 08151884674	BUY 0 Units @0.0000						
04/01/2018	***-**-38IR - LEHR, ANDREA	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	2.95	0.00	2.95	95.0	2.80
	ACCOUNT #: 04039316379	BUY 0 Units @0.0000						
04/01/2018	***-**-87UG - FARRELL, TYLER	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	1.52	0.00	1.52	95.0	1.44
	ACCOUNT #: 04038987410	BUY 0 Units @0.0000						
04/01/2018	***-**-51SI - KEATING, DANIEL	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	37.19	0.00	37.19	95.0	35.33
	ACCOUNT #: 00777158146	BUY 0 Units @0.0000						
04/01/2018	***-**-5498 - INDELICATO,	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	3.78	0.00	3.78	95.0	3.59
	ACCOUNT #: 00777159873	BUY 0 Units @0.0000						
04/01/2018	***-**-59IR - HENNEKEY,	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	11.87	0.00	11.87	95.0	11.28
	ACCOUNT #: 02500013377	BUY 0 Units @0.0000						
04/01/2018	***-**-400P - PIGNONE, LIDIA	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	5.03	0.00	5.03	95.0	4.78
	ACCOUNT #: 02500021797	BUY 0 Units @0.0000						
04/01/2018	***-**-46IR - PICKETT, JEFFREY	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	3.54	0.00	3.54	95.0	3.36
	ACCOUNT #: 02500043932	BUY 0 Units @0.0000						
04/01/2018	***-**-44IE - WASSEM, CAROLYN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	0.78	0.00	0.78	95.0	0.74
	ACCOUNT #: 03809012069	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/01/2018	***-**-67IR - HEBBLETHWAITE, ACCOUNT #: 03809052578	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	1.55	0.00	1.55	95.0	1.47
04/01/2018	***-**-56IR - KOLUPSKI, GEORGE ACCOUNT #: 03810310445	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	8.22	0.00	8.22	95.0	7.81
04/01/2018	***-**-74IR - KETCHUM, STEVEN ACCOUNT #: 03810411342	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	8.27	0.00	8.27	95.0	7.86
04/01/2018	***-**-00IR - HOBSON, SCOTT ACCOUNT #: 03810416598	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	4.77	0.00	4.77	95.0	4.53
04/01/2018	***-**-74IN - KETCHUM, STEVEN ACCOUNT #: 03811119944	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	19.75	0.00	19.75	95.0	18.76
04/01/2018	***-**-501I - MCMANUS, MAUREEN ACCOUNT #: 03870029810	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	0.03	0.00	0.03	95.0	0.03
04/01/2018	***-**-059I - D'AMBROSIA, ACCOUNT #: 04040447544	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	8.92	0.00	8.92	95.0	8.47
04/01/2018	***-**-60CL - KALINOWSKI, ACCOUNT #: 05053804836	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	9.10	0.00	9.10	95.0	8.65
04/01/2018	***-**-60CL - KALINOWSKI, ACCOUNT #: 05053805049	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	3.36	0.00	3.36	95.0	3.19
04/01/2018	***-**-942I - LECHOWSKI, PIOTR ACCOUNT #: 05056164907	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	1.41	0.00	1.41	95.0	1.34
04/01/2018	***-**-74IN - KETCHUM, STEVEN ACCOUNT #: 03811119944	INVESCO AMERICAN VALUE FUND CL C BUY 0 Units @0.0000	0.00	8.68	0.00	8.68	95.0	8.25
04/01/2018	***-**-959P - HENNEKEY, ACCOUNT #: 02500011737	INVESCO EMERGING MARKETS EQTY FD-CL BUY 0 Units @0.0000	0.00	22.38	0.00	22.38	95.0	21.26
04/01/2018	***-**-59IR - HENNEKEY, ACCOUNT #: 02500013377	INVESCO EMERGING MARKETS EQTY FD-CL BUY 0 Units @0.0000	0.00	8.56	0.00	8.56	95.0	8.13
04/01/2018	***-**-35UG - COND, THOMAS ACCOUNT #: 03809012051	INVESCO SMALL CAP EQUITY FUND-CLASS BUY 0 Units @0.0000	0.00	1.75	0.00	1.75	95.0	1.66
04/01/2018	***-**-942I - LECHOWSKI, PIOTR ACCOUNT #: 05056164907	INVESCO SMALL CAP EQUITY FUND-CLASS BUY 0 Units @0.0000	0.00	9.89	0.00	9.89	95.0	9.40
04/01/2018	***-**-400P - PIGNONE, LIDIA ACCOUNT #: 02500021797	INVESCO SUMMIT FUND - CLASS C BUY 0 Units @0.0000	0.00	5.12	0.00	5.12	95.0	4.86



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/01/2018	***-**-91IR - HEBBLETHWAITE, ACCOUNT #: 03809052586	INVESCO VAN KAMPEN EQUITY AND INCOM BUY 0 Units @0.0000	0.00	2.29	0.00	2.29	95.0	2.18
04/01/2018	***-**-942I - LECHOWSKI, PIOTR ACCOUNT #: 05056164907	INVESCO VAN KAMPEN VALUE OPP CLASS BUY 0 Units @0.0000	0.00	7.57	0.00	7.57	95.0	7.19
04/01/2018	***-**-44IE - WASSEM, CAROLYN ACCOUNT #: 03809012069	IVK COMSTOCK FUND - CLASS C BUY 0 Units @0.0000	0.00	3.42	0.00	3.42	95.0	3.25
04/01/2018	***-**-52IR - WASSEM, HEATH ACCOUNT #: 03810631782	IVK COMSTOCK FUND - CLASS C BUY 0 Units @0.0000	0.00	20.52	0.00	20.52	95.0	19.49
04/01/2018	***-**-9648 - WALSH, LORI ACCOUNT #: 03810570998	IVK SMALL CAP GROWTH FUND - CLASS C BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	95.0	1.50
04/01/2018	***-**-498K - INDELICATO, ACCOUNT #: 00777153759	IVK VALUE OPPORTUNITIES FUND -CLASS BUY 0 Units @0.0000	0.00	7.29	0.00	7.29	95.0	6.93
04/01/2018	***-**-959P - HENNEKEY, ACCOUNT #: 02500011737	IVK VALUE OPPORTUNITIES FUND -CLASS BUY 0 Units @0.0000	0.00	5.39	0.00	5.39	95.0	5.12
04/01/2018	***-**-74IN - KETCHUM, STEVEN ACCOUNT #: 03811119944	IVK VALUE OPPORTUNITIES FUND -CLASS BUY 0 Units @0.0000	0.00	5.42	0.00	5.42	95.0	5.15
04/16/2018	***-**-60CL - KALINOWSKI, ACCOUNT #: 00060500705	JANUS MF TRAILS BUY 0 Units @0.0000	0.00	4.45	0.00	4.45	95.0	4.23
03/31/2018	***-**-1651 - ELLICOTT, AGNES ACCOUNT #: 08570735944	LIMITED-TERM GOVERNMENT FUND C BUY 0 Units @0.0000	0.00	2.85	0.00	2.85	95.0	2.71
03/31/2018	***-**-6223 - PRESLEY, MICHAEL ACCOUNT #: 08571238160	LIMITED-TERM GOVERNMENT FUND C BUY 0 Units @0.0000	0.00	10.15	0.00	10.15	95.0	9.64
03/31/2018	***-**-059I - D'AMBROSIA, ACCOUNT #: 07009471484	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	16.74	0.00	16.74	95.0	15.90
04/01/2018	***-**-6543 - PLAN, SEP ACCOUNT #: 00060156775	MASSACHUSETTS INVESTORS TRUST-A BUY 0 Units @0.0000	0.00	5.41	0.00	5.41	95.0	5.14
04/01/2018	***-**-853I - COOPER, LENORE ACCOUNT #: 00060156775	MASSACHUSETTS INVESTORS TRUST-A BUY 0 Units @0.0000	0.00	27.44	0.00	27.44	95.0	26.07
04/01/2018	***-**-41IR - SCHNEIDER, ACCOUNT #: 00090011368	MFS CORE EQUITY FUND-A BUY 0 Units @0.0000	0.00	3.58	0.00	3.58	95.0	3.40
04/01/2018	***-**-792I - SCHRANK, MARION ACCOUNT #: 00060212339	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	13.67	0.00	13.67	95.0	12.99



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/01/2018	***-**-937I - SCHRANK, ACCOUNT #: 00060212340	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	10.88	0.00	10.88	95.0	10.34
04/01/2018	***-**-876I - STAUB, DAVID ACCOUNT #: 00060236483	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	17.31	0.00	17.31	95.0	16.44
04/01/2018	***-**-828I - VISCO ., GEORGE ACCOUNT #: 00060237092	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	0.39	0.00	0.39	95.0	0.37
04/01/2018	***-**-7876 - STAUB, DAVID ACCOUNT #: 00060239694	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	22.27	0.00	22.27	95.0	21.16
04/01/2018	***-**-828I - VISCO ., GEORGE ACCOUNT #: 00060240181	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	0.29	0.00	0.29	95.0	0.28
04/01/2018	***-**-702I - VISCO, ROSEMARIE ACCOUNT #: 00060240182	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	7.36	0.00	7.36	95.0	6.99
04/01/2018	***-**-285P - VISCO, GEORGE ACCOUNT #: 00060254972	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	3.47	0.00	3.47	95.0	3.30
04/01/2018	***-**-4904 - ASITO, VINCENT ACCOUNT #: 00060296008	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	35.67	0.00	35.67	95.0	33.89
04/01/2018	***-**-9702 - VISCO, ROSE ACCOUNT #: 00060362861	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	0.96	0.00	0.96	95.0	0.91
04/01/2018	***-**-43IR - KEYMEL, JOHN ACCOUNT #: 00060565654	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	2.46	0.00	2.46	95.0	2.34
04/01/2018	***-**-2828 - DECSOURCE INC ACCOUNT #: 00060485178	MFS NEW DISCOVERY FUND-A BUY 0 Units @0.0000	0.00	3.18	0.00	3.18	95.0	3.02
04/01/2018	***-**-2669 - CORNELL, JAMES ACCOUNT #: 00060259738	MFS RESEARCH FUND-A BUY 0 Units @0.0000	0.00	8.22	0.00	8.22	95.0	7.81
04/01/2018	***-**-876I - STAUB, DAVID ACCOUNT #: 00060237685	MFS RESEARCH FUND-A BUY 0 Units @0.0000	0.00	19.77	0.00	19.77	95.0	18.78
04/01/2018	***-**-7876 - STAUB, DAVID ACCOUNT #: 00060240868	MFS RESEARCH FUND-A BUY 0 Units @0.0000	0.00	23.90	0.00	23.90	95.0	22.71
04/01/2018	***-**-7876 - STAUB, DAVID ACCOUNT #: 00060361120	MFS RESEARCH FUND-A BUY 0 Units @0.0000	0.00	11.06	0.00	11.06	95.0	10.51
04/01/2018	***-**-52UG - STAUB, KEITH ACCOUNT #: 00060565257	MFS RESEARCH FUND-A BUY 0 Units @0.0000	0.00	2.22	0.00	2.22	95.0	2.11



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/01/2018	***-**-6856 - STAUB SURVEYORS	MFS RESEARCH FUND-A	0.00	0.47	0.00	0.47	95.0	0.45
	ACCOUNT #: 00060585786	BUY 0 Units @0.0000						
04/01/2018	***-**-22IR - KEYMEL, KAREN	MFS TECHNOLOGY FUND CLASS A	0.00	3.91	0.00	3.91	95.0	3.71
	ACCOUNT #: 00060566745	BUY 0 Units @0.0000						
04/01/2018	***-**-43IR - KEYMEL, JOHN	MFS TECHNOLOGY FUND CLASS A	0.00	4.18	0.00	4.18	95.0	3.97
	ACCOUNT #: 00060566746	BUY 0 Units @0.0000						
04/01/2018	***-**-6543 - PLAN, SEP	MFS TOTAL RETURN FUND-A	0.00	4.59	0.00	4.59	95.0	4.36
	ACCOUNT #: 00060565488	BUY 0 Units @0.0000						
04/16/2018	***-**-588I - KELLOGG, THERESA	NATIXIS FUNDS TRAILS	0.00	1.15	0.00	1.15	95.0	1.09
		BUY 0 Units @0.0000						
03/31/2018	***-**-9137 - RAUTENSTAUCH,	OPPENHEIMER CORE BOND FUND A	0.00	0.61	0.00	0.61	95.0	0.58
	ACCOUNT #: 02850485199	BUY 0 Units @0.0000						
03/31/2018	***-**-5142 - WASHINGTON	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.18	0.00	0.18	95.0	0.17
	ACCOUNT #: 07862966624	BUY 0 Units @0.0000						
03/31/2018	***-**-9137 - RAUTENSTAUCH,	OPPENHEIMER DISCOVERY CLASS A	0.00	1.14	0.00	1.14	95.0	1.08
	ACCOUNT #: 07451494086	BUY 0 Units @0.0000						
03/31/2018	***-**-0588 - RUSSELL, JUDY	OPPENHEIMER GLOBAL CLASS C	0.00	3.17	0.00	3.17	95.0	3.01
	ACCOUNT #: 03322824404	BUY 0 Units @0.0000						
03/31/2018	***-**-0577 - CUOZZO, FRANK	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	5.92	0.00	5.92	95.0	5.62
	ACCOUNT #: 04120811305	BUY 0 Units @0.0000						
03/31/2018	***-**-0588 - RUSSELL, JUDY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	2.84	0.00	2.84	95.0	2.70
	ACCOUNT #: 04120852148	BUY 0 Units @0.0000						
03/31/2018	***-**-5209 - STARKWEATHER,	OPPENHEIMER INT'L BOND CLASS C	0.00	1.31	0.00	1.31	95.0	1.24
	ACCOUNT #: 08822057473	BUY 0 Units @0.0000						
03/31/2018	***-**-1210 - JOHNSON,	OPPENHEIMER INT'L BOND CLASS C	0.00	0.67	0.00	0.67	95.0	0.64
	ACCOUNT #: 08821835504	BUY 0 Units @0.0000						
03/31/2018	***-**-5142 - WASHINGTON	OPPENHEIMER INTL BOND CLASS B	0.00	0.55	0.00	0.55	95.0	0.52
	ACCOUNT #: 08811188429	BUY 0 Units @0.0000						
03/31/2018	***-**-5920 - SCHNECKENBURGER,	OPPENHEIMER MAIN STREET OPPORTUNITY	0.00	7.81	0.00	7.81	95.0	7.42
	ACCOUNT #: 07310151305	BUY 0 Units @0.0000						
03/31/2018	***-**-5920 - SCHNECKENBURGER,	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	6.10	0.00	6.10	95.0	5.80
	ACCOUNT #: 08470452232	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-0724 - DEMPSEY, ACCOUNT #: 08477254973	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	22.87	0.00	22.87	95.0	21.73
03/31/2018	***-**-8934 - BUCKWELL, JAMES ACCOUNT #: 02271216622	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	1.98	0.00	1.98	95.0	1.88
03/31/2018	***-**-8156 - SALAMONE, FLOY ACCOUNT #: 07970777744	OPPENHEIMER ROCHEST NATIONAL MUNI C BUY 0 Units @0.0000	0.00	11.22	0.00	11.22	95.0	10.66
03/31/2018	***-**-8934 - BUCKWELL, JAMES ACCOUNT #: 07970445643	OPPENHEIMER ROCHEST NATIONAL MUNI C BUY 0 Units @0.0000	0.00	1.78	0.00	1.78	95.0	1.69
03/31/2018	***-**-9137 - RAUTENSTAUCH, ACCOUNT #: 02510515240	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.98	0.00	1.98	95.0	1.88
03/31/2018	***-**-5142 - WASHINGTON ACCOUNT #: 02203684054	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	0.56	0.00	0.56	95.0	0.53
04/16/2018	***-**-207J - LUTE, MRS ACCOUNT #: LSR010583	PIONEER AMT-FREE MUNICIPAL FUND A BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	95.0	0.68
04/16/2018	***-**-207J - LUTE, MRS ACCOUNT #: LSR010583	PIONEER MID CAP VALUE FUND A BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	95.0	1.34
04/16/2018	***-**-9798 - MARCHESE, SANDRA	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	4.42	0.00	4.42	95.0	4.20
04/02/2018	***-**-06IN - HENNESSY, ACCOUNT #: 00119582596	PUTNAM ASSET ALLOC GROWTH-C BUY 0 Units @0.0000	0.00	1.52	0.00	1.52	95.0	1.44
04/02/2018	***-**-8207 - LUTE, DEBORAH ACCOUNT #: 00551417046	PUTNAM CAP. OPPORTUNITIES-C BUY 0 Units @0.0000	0.00	20.06	0.00	20.06	95.0	19.06
04/02/2018	***-**-28TR - DECHAMPLAIN, ACCOUNT #: 00182412002	PUTNAM DIVERSIFIED INCOME FUND CLAS BUY 0 Units @0.0000	0.00	52.48	0.00	52.48	95.0	49.86
04/02/2018	***-**-1651 - ELLICOTT, AGNES ACCOUNT #: 00502287250	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	0.78	0.00	0.78	95.0	0.74
04/02/2018	***-**-996I - MARTIN, MICHAEL ACCOUNT #: 00408076051	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	0.60	0.00	0.60	95.0	0.57
04/02/2018	***-**-8207 - LUTE, DEBORAH ACCOUNT #: 00551417046	PUTNAM EQUITY INCOME FUND-C BUY 0 Units @0.0000	0.00	21.46	0.00	21.46	95.0	20.39
04/02/2018	***-**-31IN - IASELLA, GINO ACCOUNT #: 00331489911	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	3.11	0.00	3.11	95.0	2.95



COMMISSION STATEMENT

April 16, 2018

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Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/02/2018	***-**-8207 - LUTE, DEBORAH	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	10.30	0.00	10.30	95.0	9.79
	ACCOUNT #: 00551417052	BUY 0 Units @0.0000						
04/02/2018	***-**-8207 - LUTE, DEBORAH	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	22.74	0.00	22.74	95.0	21.60
	ACCOUNT #: 00551417046	BUY 0 Units @0.0000						
04/02/2018	***-**-9859 - ERB, KENNETH	PUTNAM INVESTORS FUND-A	0.00	8.87	0.00	8.87	95.0	8.43
	ACCOUNT #: 00375212512	BUY 0 Units @0.0000						
04/02/2018	***-**-8207 - LUTE, DEBORAH	PUTNAM MF TRAILS 37252M306	0.00	20.11	0.00	20.11	95.0	19.10
	ACCOUNT #: 00551417046	BUY 0 Units @0.0000						
04/02/2018	***-**-095J - MORAN, MARY	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	9.60	0.00	9.60	95.0	9.12
	ACCOUNT #: 00476905514	BUY 0 Units @0.0000						
04/02/2018	***-**-31IN - IASELLA, GINO	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.64	0.00	4.64	95.0	4.41
	ACCOUNT #: 00331489911	BUY 0 Units @0.0000						
04/02/2018	***-**-157I - FORNEFELD,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.67	0.00	3.67	95.0	3.49
	ACCOUNT #: 00550828345	BUY 0 Units @0.0000						
04/02/2018	***-**-56IN - WOJTAN, GARY	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.33	0.00	4.33	95.0	4.11
	ACCOUNT #: 00550847104	BUY 0 Units @0.0000						
04/02/2018	***-**-095J - MORAN, MARY	PUTNAM NEW OPPORTUNITIES-B	0.00	5.07	0.00	5.07	95.0	4.82
	ACCOUNT #: 00476905514	BUY 0 Units @0.0000						
04/02/2018	***-**-095J - MORAN, MARY	PUTNAM NEW OPPORTUNITIES-C	0.00	0.06	0.00	0.06	95.0	0.06
	ACCOUNT #: 00476905514	BUY 0 Units @0.0000						
04/02/2018	***-**-82IN - HEIL, EVELYN	PUTNAM OH TAX EXEMPT INCOME-A	0.00	21.87	0.00	21.87	95.0	20.78
	ACCOUNT #: 00349901533	BUY 0 Units @0.0000						
04/16/2018	***-**-53AK - SUPERIOR	QUALIFIED PLAN SUMMARY	0.00	4.00	0.00	4.00	95.0	3.80
	ACCOUNT #: 07607400867	BUY 0 Units @0.0000						
03/31/2018	***-**-9137 - RAUTENSTAUCH,	QUEST BALANCED A	0.00	0.99	0.00	0.99	95.0	0.94
	ACCOUNT #: 02571681856	BUY 0 Units @0.0000						
03/31/2018	***-**-9061 - BROWN, WINSTON	QUEST OPPORTUNITY VALUE A	0.00	0.96	0.00	0.96	95.0	0.91
	ACCOUNT #: 02365535387	BUY 0 Units @0.0000						
03/31/2018	***-**-9061 - BROWN, WINSTON	QUEST OPPORTUNITY VALUE FUND B	0.00	0.13	0.00	0.13	95.0	0.12
	ACCOUNT #: 02373986873	BUY 0 Units @0.0000						
03/31/2018	***-**-6657 - THOMAS, ALEXIS	RISING DIVIDENDS FUND A	0.00	2.55	0.00	2.55	95.0	2.42
	ACCOUNT #: 02254036945	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-5733 - WHITTON, JEFFREY ROCH. LIMITED TERM NEW YORK MUNICI		0.00	16.77	0.00	16.77	95.0	15.93
	ACCOUNT #: 03570546095	BUY 0 Units @0.0000						
03/31/2018	***-**-1538 - TUCCI,	ROCHESTER FUND MUNICIPALS A	0.00	42.92	0.00	42.92	95.0	40.77
	ACCOUNT #: 03000071330	BUY 0 Units @0.0000						
03/31/2018	***-**-1659 - BOUQUIN,	ROCHESTER FUND MUNICIPALS A	0.00	14.51	0.00	14.51	95.0	13.78
	ACCOUNT #: 03651103025	BUY 0 Units @0.0000						
03/31/2018	***-**-27IN - PANTALEO, MARIE	ROCHESTER FUND MUNICIPALS A	0.00	9.12	0.00	9.12	95.0	8.66
	ACCOUNT #: 03000137080	BUY 0 Units @0.0000						
03/31/2018	***-**-925P - CAMPO, KATHLEEN	ROCHESTER FUND MUNICIPALS A	0.00	0.62	0.00	0.62	95.0	0.59
	ACCOUNT #: 03652205775	BUY 0 Units @0.0000						
03/31/2018	***-**-41IN - LOVELL, FLORENCE	ROCHESTER FUND MUNICIPALS A	0.00	9.00	0.00	9.00	95.0	8.55
	ACCOUNT #: 00028593000	BUY 0 Units @0.0000						
03/31/2018	***-**-976J - YOUNG, RICHARD &	ROCHESTER FUND MUNICIPALS A	0.00	9.52	0.00	9.52	95.0	9.04
	ACCOUNT #: 03651892671	BUY 0 Units @0.0000						
03/31/2018	***-**-1538 - TUCCI,	ROCHESTER FUND MUNICIPALS C	0.00	224.96	0.00	224.96	95.0	213.71
	ACCOUNT #: 03670274648	BUY 0 Units @0.0000						
03/31/2018	***-**-5733 - WHITTON, JEFFREY	ROCHESTER FUND MUNICIPALS C	0.00	28.66	0.00	28.66	95.0	27.23
	ACCOUNT #: 03670284284	BUY 0 Units @0.0000						
03/31/2018	***-**-8156 - SALAMONE, FLOY	ROCHESTER FUND MUNICIPALS C	0.00	7.11	0.00	7.11	95.0	6.75
	ACCOUNT #: 03670454993	BUY 0 Units @0.0000						
03/31/2018	***-**-3942 - HIBBERT, LEONA	ROCHESTER FUND MUNICIPALS C	0.00	6.03	0.00	6.03	95.0	5.73
	ACCOUNT #: 03670462660	BUY 0 Units @0.0000						
03/31/2018	***-**-9061 - BROWN, WINSTON	ROCHESTER FUND MUNICIPALS C	0.00	2.01	0.00	2.01	95.0	1.91
	ACCOUNT #: 03670698467	BUY 0 Units @0.0000						
03/31/2018	***-**-5393 - CAVALLARO, CAROL	ROCHESTER FUND MUNICIPALS C	0.00	22.08	0.00	22.08	95.0	20.98
	ACCOUNT #: 03670718289	BUY 0 Units @0.0000						
03/31/2018	***-**-0588 - RUSSELL, JUDY	ROCHESTER FUND MUNICIPALS C	0.00	25.86	0.00	25.86	95.0	24.57
	ACCOUNT #: 03670732919	BUY 0 Units @0.0000						
03/31/2018	***-**-7682 - SMITH, BRIAN	ROCHESTER FUND MUNICIPALS C	0.00	19.35	0.00	19.35	95.0	18.38
	ACCOUNT #: 03670736384	BUY 0 Units @0.0000						
03/31/2018	***-**-5015 - BECKER, KAREN	ROCHESTER FUND MUNICIPALS C	0.00	24.84	0.00	24.84	95.0	23.60
	ACCOUNT #: 03670736406	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-0656 - SALAMONE, MARY	ROCHESTER FUND MUNICIPALS C	0.00	20.95	0.00	20.95	95.0	19.90
	ACCOUNT #: 03670246686	BUY 0 Units @0.0000						
03/31/2018	***-**-5093 - LAVRINCIK, ANN	ROCHESTER FUND MUNICIPALS C	0.00	13.60	0.00	13.60	95.0	12.92
	ACCOUNT #: 03670483120	BUY 0 Units @0.0000						
03/31/2018	***-**-2989 - THOMPSON,	ROCHESTER FUND MUNICIPALS C	0.00	2.35	0.00	2.35	95.0	2.23
	ACCOUNT #: 03670736648	BUY 0 Units @0.0000						
03/31/2018	***-**-6657 - THOMAS, ALEXIS	ROCHESTER FUND MUNICIPALS C	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 03670742027	BUY 0 Units @0.0000						
03/31/2018	***-**-5733 - WHITTON, JEFFREY	SENIOR FLOATING RATE FUND C	0.00	17.28	0.00	17.28	95.0	16.42
	ACCOUNT #: 02931316535	BUY 0 Units @0.0000						
03/31/2018	***-**-0588 - RUSSELL, JUDY	SENIOR FLOATING RATE FUND C	0.00	25.89	0.00	25.89	95.0	24.60
	ACCOUNT #: 02931999074	BUY 0 Units @0.0000						
03/31/2018	***-**-0577 - CUOZZO, FRANK	SENIOR FLOATING RATE FUND C	0.00	15.58	0.00	15.58	95.0	14.80
	ACCOUNT #: 02932011790	BUY 0 Units @0.0000						
03/31/2018	***-**-2636 - COLES, DEBORAH	SENIOR FLOATING RATE FUND C	0.00	79.51	0.00	79.51	95.0	75.53
	ACCOUNT #: 02932103013	BUY 0 Units @0.0000						
03/31/2018	***-**-3942 - HIBBERT, LEONA	SENIOR FLOATING RATE FUND C	0.00	13.77	0.00	13.77	95.0	13.08
	ACCOUNT #: 02932103222	BUY 0 Units @0.0000						
03/31/2018	***-**-9281 - RUSSELL, AMY	SENIOR FLOATING RATE FUND C	0.00	8.18	0.00	8.18	95.0	7.77
	ACCOUNT #: 02932131646	BUY 0 Units @0.0000						
03/31/2018	***-**-659I - KYTE, ALBERT	SENIOR FLOATING RATE FUND-CL C	0.00	11.97	0.00	11.97	95.0	11.37
	ACCOUNT #: 00100020604	BUY 0 Units @0.0000						
03/31/2018	***-**-86CL - BOUQUIN, CLIENTS	SENIOR FLOATING RATE FUND-CL C	0.00	10.28	0.00	10.28	95.0	9.77
	ACCOUNT #: 00100020615	BUY 0 Units @0.0000						
03/31/2018	***-**-5142 - WASHINGTON	SMALL- & MID-CAP GROWTH FUND A	0.00	0.61	0.00	0.61	95.0	0.58
	ACCOUNT #: 07211008854	BUY 0 Units @0.0000						
03/31/2018	***-**-5142 - WASHINGTON	U.S. GOVERNMENT TRUST B	0.00	0.30	0.00	0.30	95.0	0.29
	ACCOUNT #: 02211116434	BUY 0 Units @0.0000						
03/31/2018	***-**-6223 - PRESLEY, MICHAEL	U.S. GOVERNMENT TRUST C	0.00	6.93	0.00	6.93	95.0	6.58
	ACCOUNT #: 02220583869	BUY 0 Units @0.0000						
03/31/2018	***-**-6536 - FOLEY, NELSON	U.S. GOVERNMENT TRUST C	0.00	9.13	0.00	9.13	95.0	8.67
	ACCOUNT #: 02220604846	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-0588 - RUSSELL, JUDY	U.S. GOVERNMENT TRUST C	0.00	1.25	0.00	1.25	95.0	1.19
	ACCOUNT #: 02220639023	BUY 0 Units @0.0000						
03/31/2018	***-**-2989 - THOMPSON,	U.S. GOVERNMENT TRUST C	0.00	11.53	0.00	11.53	95.0	10.95
	ACCOUNT #: 02220563222	BUY 0 Units @0.0000						
03/31/2018	***-**-5142 - WASHINGTON	VALUE B	0.00	0.11	0.00	0.11	95.0	0.10
	ACCOUNT #: 03760701316	BUY 0 Units @0.0000						
03/31/2018	***-**-5142 - WASHINGTON	VALUE FUND A	0.00	0.21	0.00	0.21	95.0	0.20
	ACCOUNT #: 03752577212	BUY 0 Units @0.0000						
03/31/2018	***-**-9281 - RUSSELL, AMY	VALUE FUND C	0.00	11.42	0.00	11.42	95.0	10.85
	ACCOUNT #: 03770519816	BUY 0 Units @0.0000						
04/01/2018	***-**-5498 - INDELICATO,	VAN KAMPEN7	0.00	3.42	0.00	3.42	95.0	3.25
	ACCOUNT #: 00777159873	BUY 0 Units @0.0000						
04/01/2018	***-**-400P - PIGNONE, LIDIA	VAN KAMPEN7	0.00	4.90	0.00	4.90	95.0	4.66
	ACCOUNT #: 02500021797	BUY 0 Units @0.0000						
04/01/2018	***-**-74IR - KETCHUM, STEVEN	VAN KAMPEN7	0.00	21.39	0.00	21.39	95.0	20.32
	ACCOUNT #: 03810411342	BUY 0 Units @0.0000						
04/01/2018	***-**-97IE - GENNARINO,	VAN KAMPEN7	0.00	1.22	0.00	1.22	95.0	1.16
	ACCOUNT #: 03910509201	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,069.55	\$0.00	\$2,069.55		\$1,966.11
*** BROKER TRANSACTIONS TOTAL ***			\$2,077.83	\$2,099.06	\$18.00	\$2,081.06		\$1,977.06

OVERRIDE TRANSACTIONS

BROKER: RICHARD BIRNS

04/01/2018	***-**-593I - LA, QUYEN	AIM CHARTER FUND - CLASS A	0.00	0.97	0.00	0.97	20.0	0.19
	ACCOUNT #: 03911712804	BUY 0 Units @0.0000						
04/01/2018	***-**-098P - TOKAR, STEPHANIE	AIM CHARTER FUND - CLASS A	0.00	4.34	0.00	4.34	20.0	0.87
	ACCOUNT #: 04027919598	BUY 0 Units @0.0000						
04/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHARTER FUND - CLASS A	0.00	16.01	0.00	16.01	20.0	3.20
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
04/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHINA FUND - CLASS A	0.00	13.93	0.00	13.93	20.0	2.79
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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400 West Metro Park
Rochester, NY 14623

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BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: RICHARD BIRNS (continued)</u>								
04/01/2018	***-**-712I - BIRNS, BONNIE	AIM GLOBAL AGGRESSIVE GROWTH FUND C	0.00	13.84	0.00	13.84	20.0	2.77
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
04/01/2018	***-**-593I - LA, QUYEN	AIM GLOBAL GROWTH FUND - CLASS A	0.00	0.45	0.00	0.45	20.0	0.09
	ACCOUNT #: 03911712804	BUY 0 Units @0.0000						
04/01/2018	***-**-712I - BIRNS, BONNIE	AIM UTILITIES FUND - CLASS A	0.00	17.07	0.00	17.07	20.0	3.41
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
04/09/2018	***-**-37UG - REID, JORDAN M	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	0.74	0.00	0.74	20.0	0.15
	ACCOUNT #: 04718913697	BUY 0 Units @0.0000						
04/09/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	17.58	0.00	17.58	20.0	3.52
	ACCOUNT #: 05000189227	BUY 0 Units @0.0000						
04/09/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCEBERNSTEIN GROWTH A	0.00	22.44	0.00	22.44	20.0	4.49
	ACCOUNT #: 03310152452	BUY 0 Units @0.0000						
03/31/2018	***-**-68IN - BIRNS, RICHARD	AMT-FREE NEW YORK MUNICIPALS A	0.00	8.75	0.00	8.75	20.0	1.75
	ACCOUNT #: 03600811899	BUY 0 Units @0.0000						
04/02/2018	***-**-48IN - BABCOCK, ROBERT	FRANKLIN INCOME FUND CLASS C	291.46	2.91	0.00	2.91	20.0	0.58
	ACCOUNT #: 000000006719583	BUY 128 Units @2.2800						
04/03/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	0.00	1.76	0.00	1.76	20.0	0.35
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
04/03/2018	***-**-68IN - BIRNS, RICHARD	HARTFORD CAPITAL APPRECIATION FUND	0.00	15.51	0.00	15.51	20.0	3.10
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
04/01/2018	***-**-593I - LA, QUYEN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	0.28	0.00	0.28	20.0	0.06
	ACCOUNT #: 03911712804	BUY 0 Units @0.0000						
04/01/2018	***-**-712I - BIRNS, BONNIE	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	16.89	0.00	16.89	20.0	3.38
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
04/09/2018	***-**-2276 - SIMANOFF, FRED	JACKSON NATIONAL PERSPECTIVE II NY	5,000.00	350.00	0.00	350.00	20.0	70.00
	ACCOUNT #: 1201274291	BUY 0 Units @0.0000						
04/09/2018	***-**-5790 - SIMANOFF,	JACKSON NATIONAL PERSPECTIVE II NY	5,000.00	350.00	0.00	350.00	20.0	70.00
	ACCOUNT #: 1201274364	BUY 0 Units @0.0000						
04/09/2018	***-**-5434 - JONES, THOMAS	LINCOLN 008148728	1,278.00	25.56	0.00	25.56	20.0	5.11
	ACCOUNT #: F1518903	BUY 0 Units @0.0000						
04/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM GLOBAL EQUITY FUND CLASS A	0.00	1.68	0.00	1.68	20.0	0.34
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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Rochester, NY 14623

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BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: RICHARD BIRNS (continued)</u> 								
04/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	6.58	0.00	6.58	20.0	1.32
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
04/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM INTERNATIONAL EQUITY-A	0.00	0.75	0.00	0.75	20.0	0.15
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
04/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM INTL NEW OPPORT-A	0.00	4.07	0.00	4.07	20.0	0.81
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
04/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	6.58	0.00	6.58	20.0	1.32
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
03/31/2018	***-**-7325 - BIRNS, EDWIN	ROCHESTER FUND MUNICIPALS A	0.00	44.62	0.00	44.62	20.0	8.92
	ACCOUNT #: 03653529251	BUY 0 Units @0.0000						
04/03/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.26	0.00	1.26	20.0	0.25
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
04/03/2018	***-**-447P - BIRNS, PHYLLIS	THE HARTFORD CAPITAL APPRECIATION F	0.00	2.70	0.00	2.70	20.0	0.54
	ACCOUNT #: 00000700389	BUY 0 Units @0.0000						
04/03/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD CAPITAL APPRECIATION F	0.00	22.09	0.00	22.09	20.0	4.42
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
04/03/2018	***-**-85IN - SEAMAN,	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.44	0.00	1.44	20.0	0.29
	ACCOUNT #: 00022087686	BUY 0 Units @0.0000						
04/03/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	9.39	0.00	9.39	20.0	1.88
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
04/03/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F	0.00	2.79	0.00	2.79	20.0	0.56
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
04/03/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND	0.00	1.20	0.00	1.20	20.0	0.24
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
04/03/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD INTL OPPORTUNITIES FD-	0.00	13.64	0.00	13.64	20.0	2.73
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
04/03/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD MID CAP FUND-A	0.00	22.19	0.00	22.19	20.0	4.44
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
04/03/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	0.00	2.58	0.00	2.58	20.0	0.52
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
 * RICHARD BIRNS SUBTOTAL * 			 \$11,569.46 	 \$1,022.59 	 \$0.00 	 \$1,022.59 		 \$204.54



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: BARRY BRESIN</u>								
04/01/2018	***-**-805P - HALM, MATILDA	AIM CHARTER FUND - CLASS A	0.00	87.54	0.00	87.54	15.0	13.13
	ACCOUNT #: 01001312723	BUY 0 Units @0.0000						
04/01/2018	***-**-805P - HALM, MATILDA	AIM MID-CAP EQUITY FUND CLASS A	0.00	13.98	0.00	13.98	15.0	2.10
	ACCOUNT #: 01001312723	BUY 0 Units @0.0000						
04/09/2018	***-**-716J - STERN, ROBERT	ALLIANCEBERNSTEIN MUNI INCOME-NY A	0.00	9.92	0.00	9.92	15.0	1.49
	ACCOUNT #: 04892903435	BUY 0 Units @0.0000						
04/05/2018	***-**-892K - STERN MD PC	AMERICAN FUNDS 401K TRAILS	0.00	891.67	0.00	891.67	15.0	133.75
	ACCOUNT #: BRK115201	BUY 0 Units @0.0000						
03/31/2018	***-**-459I - MONSON, DAVID	CAPITAL APPRECIATION A	0.00	1.78	0.00	1.78	15.0	0.27
	ACCOUNT #: 03209641225	BUY 0 Units @0.0000						
03/31/2018	***-**-595P - MONSON, DAVID	CAPITAL APPRECIATION B	0.00	0.44	0.00	0.44	15.0	0.07
	ACCOUNT #: 03214417611	BUY 0 Units @0.0000						
03/31/2018	***-**-459I - MONSON, DAVID	DISCOVERY FUND N	0.00	8.58	0.00	8.58	15.0	1.29
	ACCOUNT #: 05030064900	BUY 0 Units @0.0000						
03/31/2018	***-**-13IN - CLEMENT, SANDRA	EQUITY INCOME FUND, INC. A	0.00	11.50	0.00	11.50	15.0	1.73
	ACCOUNT #: 08352726779	BUY 0 Units @0.0000						
03/31/2018	***-**-595P - MONSON, DAVID	EQUITY INCOME FUND, INC. A	0.00	8.01	0.00	8.01	15.0	1.20
	ACCOUNT #: 08353042325	BUY 0 Units @0.0000						
03/31/2018	***-**-513I - CLEMENT, SANDRA	EQUITY INCOME FUND, INC. B	0.00	1.00	0.00	1.00	15.0	0.15
	ACCOUNT #: 08360372141	BUY 0 Units @0.0000						
03/31/2018	***-**-13IN - CLEMENT, SANDRA	GLOBAL OPPORTUNITIES A	0.00	15.92	0.00	15.92	15.0	2.39
	ACCOUNT #: 02156718118	BUY 0 Units @0.0000						
03/31/2018	***-**-459I - MONSON, DAVID	GLOBAL OPPORTUNITIES A	0.00	8.96	0.00	8.96	15.0	1.34
	ACCOUNT #: 02157358560	BUY 0 Units @0.0000						
03/31/2018	***-**-513I - CLEMENT, SANDRA	GLOBAL OPPORTUNITIES B	0.00	1.61	0.00	1.61	15.0	0.24
	ACCOUNT #: 02163199603	BUY 0 Units @0.0000						
03/31/2018	***-**-595P - MONSON, DAVID	GLOBAL OPPORTUNITIES B	0.00	0.76	0.00	0.76	15.0	0.11
	ACCOUNT #: 02163269486	BUY 0 Units @0.0000						
03/31/2018	***-**-459I - MONSON, DAVID	INTERNATIONAL BOND A	0.00	2.05	0.00	2.05	15.0	0.31
	ACCOUNT #: 08810284076	BUY 0 Units @0.0000						
03/31/2018	***-**-459I - MONSON, DAVID	INTERNATIONAL BOND FUND N	0.00	1.48	0.00	1.48	15.0	0.22
	ACCOUNT #: 08790188760	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: BARRY BRESIN (continued)</u>								
03/31/2018	***-**-459I - MONSON, DAVID	INTERNATIONAL GROWTH FUND A	0.00	1.63	0.00	1.63	15.0	0.24
	ACCOUNT #: 08259643414	BUY 0 Units @0.0000						
03/31/2018	***-**-459I - MONSON, DAVID	INTERNATIONAL SMALL COMPANY FUND N	0.00	17.96	0.00	17.96	15.0	2.69
	ACCOUNT #: 08180086526	BUY 0 Units @0.0000						
03/31/2018	***-**-459I - MONSON, DAVID	MAIN STREET FUND N	0.00	4.65	0.00	4.65	15.0	0.70
	ACCOUNT #: 07030194524	BUY 0 Units @0.0000						
03/31/2018	***-**-459I - MONSON, DAVID	MAIN STREET SMALL CAP FUND N	0.00	9.68	0.00	9.68	15.0	1.45
	ACCOUNT #: 08510229768	BUY 0 Units @0.0000						
03/31/2018	***-**-13IN - CLEMENT, SANDRA	OPP PORT SERIES: ACTIVE ALLOC A	0.00	9.95	0.00	9.95	15.0	1.49
	ACCOUNT #: 05502613248	BUY 0 Units @0.0000						
03/31/2018	***-**-13IN - CLEMENT, SANDRA	OPP PORT SERIES: MOD INV FD A	0.00	8.96	0.00	8.96	15.0	1.34
	ACCOUNT #: 05451268630	BUY 0 Units @0.0000						
03/31/2018	***-**-513I - CLEMENT, SANDRA	OPP PORT SERIES: MOD INV FD B	0.00	0.92	0.00	0.92	15.0	0.14
	ACCOUNT #: 05460141779	BUY 0 Units @0.0000						
03/31/2018	***-**-84JT - BECKER, SHERMAN	OPP ROCHSTR SH TRM MUNI FND A	0.00	28.64	0.00	28.64	15.0	4.30
	ACCOUNT #: 06210047762	BUY 0 Units @0.0000						
03/31/2018	***-**-915P - BECKER, HILDA	OPP ROCHSTR SH TRM MUNI FND A	0.00	32.71	0.00	32.71	15.0	4.91
	ACCOUNT #: 06210059488	BUY 0 Units @0.0000						
03/31/2018	***-**-595P - MONSON, DAVID	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.66	0.00	2.66	15.0	0.40
	ACCOUNT #: 07860596762	BUY 0 Units @0.0000						
03/31/2018	***-**-595P - MONSON, DAVID	OPPENHEIMER DISCOVERY CLASS A	0.00	4.26	0.00	4.26	15.0	0.64
	ACCOUNT #: 05005888982	BUY 0 Units @0.0000						
03/31/2018	***-**-459I - MONSON, DAVID	OPPENHEIMER GOLD & SPC MINERALS FUN	0.00	3.76	0.00	3.76	15.0	0.56
	ACCOUNT #: 04130157542	BUY 0 Units @0.0000						
03/31/2018	***-**-595P - MONSON, DAVID	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	1.81	0.00	1.81	15.0	0.27
	ACCOUNT #: 02306892999	BUY 0 Units @0.0000						
03/31/2018	***-**-595P - MONSON, DAVID	OPPENHEIMER STRATEGIC INCOME FUND C	0.00	0.24	0.00	0.24	15.0	0.04
	ACCOUNT #: 01911535798	BUY 0 Units @0.0000						
03/31/2018	***-**-459I - MONSON, DAVID	OPPENHEIMER U.S. GOVT TR CLASS A	0.00	1.47	0.00	1.47	15.0	0.22
	ACCOUNT #: 02203614732	BUY 0 Units @0.0000						
03/31/2018	***-**-196I - BRESIN, JANET	PORT SERIES: EQUITY INV FD A	0.00	32.95	0.00	32.95	15.0	4.94
	ACCOUNT #: 05550336127	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: BARRY BRESIN (continued) </u>								
03/31/2018	***-**-513I - CLEMENT, SANDRA	PORTFOLIO SERIES: ACTIVE ALLOCATION	0.00	1.01	0.00	1.01	15.0	0.15
	ACCOUNT #: 05510782067	BUY 0 Units @0.0000						
04/16/2018	***-**-4892 - STERN, ROBERT	PRINCIPAL FUNDS TRAILS	0.00	19.83	0.00	19.83	15.0	2.97
		BUY 0 Units @0.0000						
04/16/2018	***-**-010R - LOMBARD, LAURIE	PRINCIPAL FUNDS TRAILS	0.00	10.99	0.00	10.99	15.0	1.65
		BUY 0 Units @0.0000						
04/02/2018	***-**-13IN - CLEMENT, SANDRA	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	16.34	0.00	16.34	15.0	2.45
	ACCOUNT #: 00510129039	BUY 0 Units @0.0000						
03/31/2018	***-**-459I - MONSON, DAVID	QUEST BALANCED A	0.00	0.05	0.00	0.05	15.0	0.01
	ACCOUNT #: 02576958699	BUY 0 Units @0.0000						
03/31/2018	***-**-595P - MONSON, DAVID	REAL ESTATE FUND A	0.00	0.59	0.00	0.59	15.0	0.09
	ACCOUNT #: 05901279091	BUY 0 Units @0.0000						
03/31/2018	***-**-459I - MONSON, DAVID	REAL ESTATE FUND N	0.00	2.40	0.00	2.40	15.0	0.36
	ACCOUNT #: 05930110968	BUY 0 Units @0.0000						
03/31/2018	***-**-13IN - CLEMENT, SANDRA	ROCHESTER FUND MUNICIPALS A	0.00	3.80	0.00	3.80	15.0	0.57
	ACCOUNT #: 03652981220	BUY 0 Units @0.0000						
03/31/2018	***-**-196J - TEN WROS NOT TC,	ROCHESTER FUND MUNICIPALS A	0.00	1.03	0.00	1.03	15.0	0.15
	ACCOUNT #: 03653211373	BUY 0 Units @0.0000						
03/31/2018	***-**-7195 - SHARON M	ROCHESTER FUND MUNICIPALS A	0.00	8.62	0.00	8.62	15.0	1.29
	ACCOUNT #: 03653214959	BUY 0 Units @0.0000						
03/31/2018	***-**-7197 - LYNN M ABRAHAM,	ROCHESTER FUND MUNICIPALS A	0.00	8.61	0.00	8.61	15.0	1.29
	ACCOUNT #: 03653225497	BUY 0 Units @0.0000						
04/16/2018	***-**-21IN - BRESIN, EMMA	SAMMONS MF TRAILS	0.00	177.06	0.00	177.06	15.0	26.56
	ACCOUNT #: 7200036096	BUY 0 Units @0.0000						
04/16/2018	***-**-939I - BRESIN, HOWARD	SAMMONS MF TRAILS	0.00	313.20	0.00	313.20	15.0	46.98
	ACCOUNT #: 7200036177	BUY 0 Units @0.0000						
03/31/2018	***-**-459I - MONSON, DAVID	U.S. GOVERNMENT TRUST B	0.00	0.51	0.00	0.51	15.0	0.08
	ACCOUNT #: 02211138830	BUY 0 Units @0.0000						
 * BARRY BRESIN SUBTOTAL * 			\$0.00	\$1,791.49	\$0.00	\$1,791.49		\$268.72



COMMISSION STATEMENT

April 16, 2018

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BRANCH #01016 - 16 - CASPER

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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: WILLIAM ROBERTS </u>								
03/31/2018	***-**-11IN - ROBERTS NEEDS	EQUITY INCOME FUND, INC. A	0.00	106.61	0.00	106.61	10.0	10.66
	ACCOUNT #: 02401512863	BUY 0 Units @0.0000						
04/02/2018	***-**-1606 - REUS, MARTHA	PUTNAM EQUITY INCOME FUND-A	0.00	42.61	0.00	42.61	10.0	4.26
	ACCOUNT #: 00266280057	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - ROBERTS NEEDS	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	217.99	0.00	217.99	10.0	21.80
	ACCOUNT #: 03551129898	BUY 0 Units @0.0000						
03/31/2018	***-**-9904 - PRZYLUCHE,	ROCHESTER FUND MUNICIPALS A	0.00	201.53	0.00	201.53	10.0	20.15
	ACCOUNT #: 00011753000	BUY 0 Units @0.0000						
03/31/2018	***-**-07IN - MULLER,	ROCHESTER FUND MUNICIPALS A	0.00	149.03	0.00	149.03	10.0	14.90
	ACCOUNT #: 03650014091	BUY 0 Units @0.0000						
03/31/2018	***-**-74IN - KUBIAK, HENRY J	ROCHESTER FUND MUNICIPALS A	0.00	2.78	0.00	2.78	10.0	0.28
	ACCOUNT #: 03650163174	BUY 0 Units @0.0000						
03/31/2018	***-**-42IN - RUES, JAMES	ROCHESTER FUND MUNICIPALS A	0.00	90.79	0.00	90.79	10.0	9.08
	ACCOUNT #: 03651611720	BUY 0 Units @0.0000						
	* WILLIAM ROBERTS SUBTOTAL *		\$0.00	\$811.34	\$0.00	\$811.34		\$81.13
<u> BROKER: FREDERIC SCARPULLA </u>								
04/02/2018	***-**-3106 - LAMB, BERNICE	37252M108	0.00	0.95	0.00	0.95	10.0	0.10
	ACCOUNT #: 00551402351	BUY 0 Units @0.0000						
04/01/2018	***-**-397P - COTTONE, MARIA	AIM CHARTER FUND - CLASS A	0.00	5.38	0.00	5.38	10.0	0.54
	ACCOUNT #: 01000005000	BUY 0 Units @0.0000						
04/01/2018	***-**-88IR - KUBIAK, COLLEEN	AIM CHARTER FUND - CLASS A	0.00	1.37	0.00	1.37	10.0	0.14
	ACCOUNT #: 01000005154	BUY 0 Units @0.0000						
04/05/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063412117	BUY 3 Units @33.1000						
04/05/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063451518	BUY 3 Units @33.1000						
04/02/2018	***-**-539I - JALLOH, ABDULAI	AMCAP FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00084394270	BUY 2 Units @28.0700						
04/06/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 04000650661	BUY 2 Units @28.1900						
04/02/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198121	BUY 2 Units @26.3500						



COMMISSION STATEMENT

April 16, 2018

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BRANCH #01016 - 16 - CASPER

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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
04/02/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198137	BUY 2 Units @26.3500						
04/02/2018	***-**-395P - DIVASTA, ANTHONY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	10.0	0.19
	ACCOUNT #: 00059597416	BUY 2 Units @27.6300						
04/02/2018	***-**-05IN - RANDALL, ADAM	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	10.0	0.19
	ACCOUNT #: 00085941585	BUY 2 Units @27.6300						
04/02/2018	***-**-975P - COTTONE, MARIA	AMERICAN BALANCED FUND-A	250.00	9.38	0.00	9.38	10.0	0.94
	ACCOUNT #: 00086785798	BUY 9 Units @27.6300						
04/02/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @26.2200						
04/02/2018	***-**-984I - DELUCA, SHARI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00064868315	BUY 2 Units @26.2200						
04/02/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089045192	BUY 1 Units @26.2200						
04/02/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00089051066	BUY 2 Units @26.2200						
04/02/2018	***-**-255U - LIPPA, HARITINI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000385806	BUY 2 Units @26.2200						
04/03/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089045192	BUY 1 Units @26.4300						
04/03/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00089051066	BUY 2 Units @26.4300						
04/03/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	18.93	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00089583477	BUY 1 Units @26.4300						
04/03/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	67.20	0.67	0.00	0.67	10.0	0.07
	ACCOUNT #: 00089722785	BUY 3 Units @26.4300						
04/06/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @26.4300						
04/06/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089045192	BUY 1 Units @26.4300						
04/06/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00089051066	BUY 2 Units @26.4300						



COMMISSION STATEMENT

April 16, 2018

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400 West Metro Park
Rochester, NY 14623

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BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
04/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @26.4300	40.80	0.41	0.00	0.41	10.0	0.04
04/06/2018	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089244081	AMERICAN BALANCED FUND-C BUY 3 Units @26.4300	87.96	0.88	0.00	0.88	10.0	0.09
04/06/2018	***-**-281S - FLUGEL, AMANDA ACCOUNT #: 00089561651	AMERICAN BALANCED FUND-C BUY 2 Units @26.4300	40.00	0.40	0.00	0.40	10.0	0.04
04/06/2018	***-**-035S - CAPIZZI, TRACIE ACCOUNT #: 00089679504	AMERICAN BALANCED FUND-C BUY 1 Units @26.4300	20.00	0.20	0.00	0.20	10.0	0.02
04/06/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 5 Units @26.4300	120.00	1.20	0.00	1.20	10.0	0.12
04/05/2018	***-**-3043 - SCARPULLA, ACCOUNT #: IRK131856	AMERICAN FUNDS 401K TRAILS BUY 0 Units @0.0000	0.00	367.17	0.00	367.17	10.0	36.72
04/05/2018	***-**-278K - GUERRIERI DDS, ACCOUNT #: IRK101640	AMERICAN FUNDS 401K TRAILS BUY 0 Units @0.0000	0.00	1,232.64	0.00	1,232.64	10.0	123.26
04/02/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	AMERICAN MUTUAL FUND-C BUY 0 Units @38.4300	5.00	0.05	0.00	0.05	10.0	0.01
03/31/2018	***-**-765P - CRISPINO/, DAVID ACCOUNT #: 03601040820	AMT-FREE NEW YORK MUNICIPALS A BUY 0 Units @0.0000	0.00	24.73	0.00	24.73	10.0	2.47
03/31/2018	***-**-765P - CRISPINO/, DAVID ACCOUNT #: 03601040820	AMT-FREE NEW YORK MUNICIPALS A BUY 0 Units @0.0000	0.00	373.90	0.00	373.90	10.0	37.39
03/31/2018	***-**-225P - LILL, DONNA ACCOUNT #: 02704578761	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	0.55	0.00	0.55	10.0	0.06
03/31/2018	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 02705352545	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	21.59	0.00	21.59	10.0	2.16
03/31/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 02705352556	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	14.58	0.00	14.58	10.0	1.46
03/31/2018	***-**-3502 - CHUDYK, LUCIANA ACCOUNT #: 02705763802	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	11.68	0.00	11.68	10.0	1.17
03/31/2018	***-**-1346 - WEEKS S R ACCOUNT #: 02705801521	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	6.23	0.00	6.23	10.0	0.62
03/31/2018	***-**-225P - LILL, DONNA ACCOUNT #: 03201808213	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	44.82	0.00	44.82	10.0	4.48



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
03/31/2018	***-**-502I - CHUDYK, LUCIANA	CAPITAL APPRECIATION A	0.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 03205462138	BUY 0 Units @0.0000						
03/31/2018	***-**-8379 - ZLOTNICK, MAR	CAPITAL APPRECIATION A	0.00	17.92	0.00	17.92	10.0	1.79
	ACCOUNT #: 03207391131	BUY 0 Units @0.0000						
03/31/2018	***-**-206I - SANDERS, DAVID	CAPITAL APPRECIATION A	0.00	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 03208239693	BUY 0 Units @0.0000						
03/31/2018	***-**-772I - KERHAERT,	CAPITAL APPRECIATION A	0.00	10.87	0.00	10.87	10.0	1.09
	ACCOUNT #: 03208526705	BUY 0 Units @0.0000						
03/31/2018	***-**-206I - SANDERS, DAVID	CAPITAL APPRECIATION A	0.00	7.31	0.00	7.31	10.0	0.73
	ACCOUNT #: 03208526826	BUY 0 Units @0.0000						
03/31/2018	***-**-919I - WEST, HOLLY	CAPITAL APPRECIATION A	0.00	8.26	0.00	8.26	10.0	0.83
	ACCOUNT #: 03210593572	BUY 0 Units @0.0000						
03/31/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION A	0.00	6.77	0.00	6.77	10.0	0.68
	ACCOUNT #: 03210769528	BUY 0 Units @0.0000						
03/31/2018	***-**-7102 - FIGUEROA, CAM	CAPITAL APPRECIATION A	0.00	11.23	0.00	11.23	10.0	1.12
	ACCOUNT #: 03210829423	BUY 0 Units @0.0000						
03/31/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION A	0.00	8.30	0.00	8.30	10.0	0.83
	ACCOUNT #: 03211530607	BUY 0 Units @0.0000						
03/31/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION B	0.00	0.70	0.00	0.70	10.0	0.07
	ACCOUNT #: 02710316008	BUY 0 Units @0.0000						
03/31/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION B	0.00	0.23	0.00	0.23	10.0	0.02
	ACCOUNT #: 02710316019	BUY 0 Units @0.0000						
03/31/2018	***-**-3502 - CHUDYK, LUCIANA	CAPITAL APPRECIATION B	0.00	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 02710694155	BUY 0 Units @0.0000						
03/31/2018	***-**-1346 - WEEKS S R	CAPITAL APPRECIATION B	0.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 02712169299	BUY 0 Units @0.0000						
03/31/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION B	0.00	0.91	0.00	0.91	10.0	0.09
	ACCOUNT #: 03210042801	BUY 0 Units @0.0000						
03/31/2018	***-**-225P - LILL, DONNA	CAPITAL APPRECIATION B	0.00	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 03212039323	BUY 0 Units @0.0000						
03/31/2018	***-**-195P - WEST, HOLLY	CAPITAL APPRECIATION B	0.00	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 03215115066	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
03/31/2018	***-**-772I - KERHAERT, ACCOUNT #: 03215557673	CAPITAL APPRECIATION B BUY 0 Units @0.0000	0.00	0.08	0.00	0.08	10.0	0.01
03/31/2018	***-**-206I - SANDERS, DAVID ACCOUNT #: 03215557739	CAPITAL APPRECIATION B BUY 0 Units @0.0000	0.00	0.08	0.00	0.08	10.0	0.01
03/31/2018	***-**-293I - LIPPA, PAUL ACCOUNT #: 03220151525	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	51.64	0.00	51.64	10.0	5.16
03/31/2018	***-**-69UG - ATWOOD, CULLEN K ACCOUNT #: 03220369127	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	7.92	0.00	7.92	10.0	0.79
03/31/2018	***-**-97UG - ATWOOD, AUSTIN M ACCOUNT #: 03220369138	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	7.92	0.00	7.92	10.0	0.79
03/31/2018	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 03220387068	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	25.42	0.00	25.42	10.0	2.54
03/31/2018	***-**-37IR - COTTONE, CHARLES ACCOUNT #: 03220434863	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	41.54	0.00	41.54	10.0	4.15
03/31/2018	***-**-157I - TROINA, ANTHONY ACCOUNT #: 03221853368	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	156.01	0.00	156.01	10.0	15.60
03/31/2018	***-**-772I - KERHAERT, ACCOUNT #: 03222178044	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	11.45	0.00	11.45	10.0	1.15
03/31/2018	***-**-9206 - SANDER, DAVID ACCOUNT #: 03222178055	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	12.16	0.00	12.16	10.0	1.22
03/31/2018	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03222192157	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	22.94	0.00	22.94	10.0	2.29
03/31/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 03222200176	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	14.43	0.00	14.43	10.0	1.44
03/31/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 03222325444	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	11.66	0.00	11.66	10.0	1.17
03/31/2018	***-**-1346 - WEEKS S R ACCOUNT #: 03222329184	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	26.87	0.00	26.87	10.0	2.69
03/31/2018	***-**-6056 - PRICE, DEBORAH ACCOUNT #: 03007578725	CAPITAL INCOME A BUY 0 Units @0.0000	0.00	5.21	0.00	5.21	10.0	0.52
04/03/2018	***-**-4392 - GARCIA, MICHELLE ACCOUNT #: 00085764363	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @60.2300	25.00	0.25	0.00	0.25	10.0	0.03



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u> 								
04/02/2018	***-**-975P - COTTONE, MARIA	CAPITAL INCOME BUILDER-A	250.00	9.38	0.00	9.38	10.0	0.94
	ACCOUNT #: 00086785798	BUY 4 Units @62.6200						
04/05/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @20.5000						
04/05/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @20.5000						
04/02/2018	***-**-425P - MEEKS, PERDITA	CAPITAL WORLD GROWTH AND INCOME FUN	12.50	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00074210167	BUY 0 Units @53.3100						
04/02/2018	***-**-048I - DEAN, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 00065085393	BUY 10 Units @49.7000						
04/02/2018	***-**-05IN - RANDALL, ADAM	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085941585	BUY 1 Units @49.7000						
04/02/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00089045192	BUY 0 Units @49.7000						
04/03/2018	***-**-1209 - NATALE, KIMBERLY	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085764285	BUY 1 Units @50.2300						
04/03/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @50.2300						
04/03/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00089045192	BUY 0 Units @50.2300						
04/06/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00089045192	BUY 0 Units @50.0900						
04/06/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @50.0900						
04/09/2018	***-**-2801 - DEBREE, DAWN	CHOICEPLUS ASSURANCE BONUS	9.39	0.59	0.00	0.59	10.0	0.06
	ACCOUNT #: 921082404	BUY 0 Units @0.0000						
04/09/2018	***-**-4205 - DEBREE, ROBERT	CHOICEPLUS ASSURANCE BONUS	25.70	1.61	0.00	1.61	10.0	0.16
	ACCOUNT #: 921082401	BUY 0 Units @0.0000						
04/16/2018	***-**-540J - ARBORE, MARIA	COLUMBIA FUNDS MF TRAILS	0.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 03020030772	BUY 0 Units @0.0000						
04/16/2018	***-**-07IN - SCARPULLA,	COLUMBIA FUNDS MF TRAILS	0.00	15.78	0.00	15.78	10.0	1.58
	ACCOUNT #: 07600010039	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
04/04/2018	***-**-732J - ARBORE, MARIA	CORE BOND FUND - A	0.00	4.24	0.00	4.24	10.0	0.42
	ACCOUNT #: 00000108231	BUY 0 Units @0.0000						
03/31/2018	***-**-1346 - WEEKS S R	DISCOVERY FUND B	0.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 05011664641	BUY 0 Units @0.0000						
03/31/2018	***-**-432I - BORDEN, ROBERT	DISCOVERY FUND C	0.00	2.94	0.00	2.94	10.0	0.29
	ACCOUNT #: 05020305173	BUY 0 Units @0.0000						
03/31/2018	***-**-110I - SAENZ, KATIA	DISCOVERY FUND C	0.00	20.56	0.00	20.56	10.0	2.06
	ACCOUNT #: 07470796554	BUY 0 Units @0.0000						
04/11/2018	***-**-526I - CAVALLARO,	DREYFUS MF TRAILS	0.00	1.06	0.00	1.06	10.0	0.11
	ACCOUNT #: 3360045601	BUY 0 Units @0.0000						
03/31/2018	***-**-01UG - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	6.90	0.00	6.90	10.0	0.69
	ACCOUNT #: 00401973590	BUY 0 Units @0.0000						
03/31/2018	***-**-88UG - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	6.90	0.00	6.90	10.0	0.69
	ACCOUNT #: 00401973660	BUY 0 Units @0.0000						
03/31/2018	***-**-450J - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	8.22	0.00	8.22	10.0	0.82
	ACCOUNT #: 00402352440	BUY 0 Units @0.0000						
03/31/2018	***-**-264I - SIDOTI, LAURA	EQUITY INCOME FUND, INC. A	0.00	4.58	0.00	4.58	10.0	0.46
	ACCOUNT #: 02400798182	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - ROBERTS NEEDS	EQUITY INCOME FUND, INC. A	0.00	26.65	0.00	26.65	10.0	2.67
	ACCOUNT #: 02401512863	BUY 0 Units @0.0000						
03/31/2018	***-**-509I - ARBORE,	EQUITY INCOME FUND, INC. A	0.00	26.66	0.00	26.66	10.0	2.67
	ACCOUNT #: 02401570261	BUY 0 Units @0.0000						
03/31/2018	***-**-919I - WEST, HOLLY	EQUITY INCOME FUND, INC. A	0.00	7.02	0.00	7.02	10.0	0.70
	ACCOUNT #: 02401588994	BUY 0 Units @0.0000						
03/31/2018	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. A	0.00	10.98	0.00	10.98	10.0	1.10
	ACCOUNT #: 08352628747	BUY 0 Units @0.0000						
03/31/2018	***-**-805P - CONNORS, DOROTHY	EQUITY INCOME FUND, INC. A	0.00	2.22	0.00	2.22	10.0	0.22
	ACCOUNT #: 08353199856	BUY 0 Units @0.0000						
03/31/2018	***-**-85TR - CONNORS,	EQUITY INCOME FUND, INC. A	0.00	2.22	0.00	2.22	10.0	0.22
	ACCOUNT #: 08353199878	BUY 0 Units @0.0000						
03/31/2018	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. A	0.00	0.94	0.00	0.94	10.0	0.09
	ACCOUNT #: 08353215333	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
03/31/2018	***-**-195P - WEST, HOLLY	EQUITY INCOME FUND, INC. B	0.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 02410301037	BUY 0 Units @0.0000						
03/31/2018	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. B	0.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 08360575982	BUY 0 Units @0.0000						
03/31/2018	***-**-3432 - BORDEN, ROBERT	EQUITY INCOME FUND, INC. C	0.00	1.58	0.00	1.58	10.0	0.16
	ACCOUNT #: 08370550550	BUY 0 Units @0.0000						
03/31/2018	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. C	0.00	13.27	0.00	13.27	10.0	1.33
	ACCOUNT #: 08370596090	BUY 0 Units @0.0000						
03/31/2018	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. C	0.00	12.19	0.00	12.19	10.0	1.22
	ACCOUNT #: 08370627385	BUY 0 Units @0.0000						
04/05/2018	***-**-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @57.7100						
04/05/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @57.7100						
04/16/2018	***-**-721I - TABER, FBO LISA	FRANKLIN INCOME FUND CLASS A	0.00	1.18	0.00	1.18	10.0	0.12
	ACCOUNT #: LSR010434	BUY 1 Units @0.0000						
04/16/2018	***-**-721I - TABER, FBO LISA	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	2.44	0.00	2.44	10.0	0.24
	ACCOUNT #: LSR010434	BUY 1 Units @0.0000						
04/05/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063412117	BUY 2 Units @63.1600						
04/05/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063451518	BUY 2 Units @63.1600						
04/02/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @60.0700						
04/02/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @60.0700						
04/03/2018	***-**-7625 - PRINCE, ADAM	FUNDAMENTAL INVESTORS-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085764342	BUY 1 Units @60.8600						
04/03/2018	***-**-4392 - GARCIA, MICHELLE	FUNDAMENTAL INVESTORS-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @60.8600						
04/03/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @60.8600						



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
04/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @60.6800	20.40	0.20	0.00	0.20	10.0	0.02
04/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @60.6800	20.40	0.20	0.00	0.20	10.0	0.02
03/31/2018	***-**-502I - CHUDYK, LUCIANA ACCOUNT #: 03300288917	GLOBAL FUND A BUY 0 Units @0.0000	0.00	8.67	0.00	8.67	10.0	0.87
03/31/2018	***-**-8379 - ZLOTNICK, MAR ACCOUNT #: 03302795025	GLOBAL FUND A BUY 0 Units @0.0000	0.00	22.83	0.00	22.83	10.0	2.28
03/31/2018	***-**-8776 - LEVINE, TODD ACCOUNT #: 03302846910	GLOBAL FUND A BUY 0 Units @0.0000	0.00	51.99	0.00	51.99	10.0	5.20
03/31/2018	***-**-225P - LILL, DONNA ACCOUNT #: 03305836226	GLOBAL FUND A BUY 0 Units @0.0000	0.00	18.18	0.00	18.18	10.0	1.82
03/31/2018	***-**-7102 - FIGUEROA, CAM ACCOUNT #: 03306670149	GLOBAL FUND A BUY 0 Units @0.0000	0.00	3.86	0.00	3.86	10.0	0.39
03/31/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 03309004237	GLOBAL FUND A BUY 0 Units @0.0000	0.00	4.19	0.00	4.19	10.0	0.42
03/31/2018	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03309133960	GLOBAL FUND A BUY 0 Units @0.0000	0.00	37.40	0.00	37.40	10.0	3.74
03/31/2018	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03311085766	GLOBAL FUND B BUY 0 Units @0.0000	0.00	0.66	0.00	0.66	10.0	0.07
03/31/2018	***-**-225P - LILL, DONNA ACCOUNT #: 03313024164	GLOBAL FUND B BUY 0 Units @0.0000	0.00	0.47	0.00	0.47	10.0	0.05
03/31/2018	***-**-5378 - AGUILA, NANCY ACCOUNT #: 02152697871	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	109.61	0.00	109.61	10.0	10.96
03/31/2018	***-**-206I - SANDERS, DAVID ACCOUNT #: 02155093319	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	7.65	0.00	7.65	10.0	0.77
03/31/2018	***-**-206I - SANDERS, DAVID ACCOUNT #: 02163095642	GLOBAL OPPORTUNITIES B BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	10.0	0.02
03/31/2018	***-**-110I - SAENZ, KATIA ACCOUNT #: 02171397616	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	29.72	0.00	29.72	10.0	2.97
03/31/2018	***-**-9206 - SANDER, DAVID ACCOUNT #: 02171629936	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	17.18	0.00	17.18	10.0	1.72



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
03/31/2018	***-**-90FB - DIODATO, CAROL	GLOBAL OPPORTUNITIES FUND C	0.00	6.58	0.00	6.58	10.0	0.66
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
03/31/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	0.00	55.60	0.00	55.60	10.0	5.56
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						
03/31/2018	***-**-2620 - CUSIMANO, MEGAN	GLOBAL OPPORTUNITIES FUND C	0.00	1.13	0.00	1.13	10.0	0.11
	ACCOUNT #: 02171800557	BUY 0 Units @0.0000						
03/31/2018	***-**-509I - ARBORE,	GOLD & SPECIAL MINERALS A	0.00	3.55	0.00	3.55	10.0	0.36
	ACCOUNT #: 04103927770	BUY 0 Units @0.0000						
04/04/2018	***-**-39IN - ARBORE, MARIA	GROWTH AND INCOME FUND - A	0.00	2.95	0.00	2.95	10.0	0.30
	ACCOUNT #: 00000176375	BUY 0 Units @0.0000						
04/01/2018	***-**-290I - SAWDEY, MARILYN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	6.70	0.00	6.70	10.0	0.67
	ACCOUNT #: 04400053047	BUY 0 Units @0.0000						
04/01/2018	***-**-0008 - COZZO, LUIGI	INVESCO DIVERSIFIED DIVIDEND INVEST	0.00	23.16	0.00	23.16	10.0	2.32
	ACCOUNT #: 00009759201	BUY 0 Units @0.0000						
04/02/2018	***-**-564I - CARNEY, BARBARA	INVESTMENT COMPANY OF AMERICA CLASS	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089563161	BUY 0 Units @38.4800						
04/03/2018	***-**-1209 - NATALE, KIMBERLY	INVESTMENT COMPANY OF AMERICA CLASS	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085764285	BUY 1 Units @38.8800						
04/03/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	18.37	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @38.8800						
04/03/2018	***-**-96CL - SCARPULLA,	INVESTMENT COMPANY OF AMERICA CLASS	50.40	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089722785	BUY 1 Units @38.8800						
04/01/2018	***-**-39IN - ARBORE, MARIA	IVK GROWTH AND INCOME FUND - CLASS	0.00	36.57	0.00	36.57	10.0	3.66
	ACCOUNT #: 01001181454	BUY 0 Units @0.0000						
04/16/2018	***-**-63IR - DIAMOND, ANN	IVY SCIENCE AND TECHNOLOGY FUND CLA	0.00	2.39	0.00	2.39	10.0	0.24
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
04/16/2018	***-**-63IR - DIAMOND, ANN	IVY SMALL CAP GROWTH CL A	0.00	0.94	0.00	0.94	10.0	0.09
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
03/31/2018	***-**-37IN - COTTONE, CHARLES	LIMITED TERM GOVERNMENT A	0.00	1.96	0.00	1.96	10.0	0.20
	ACCOUNT #: 08551660824	BUY 0 Units @0.0000						
03/31/2018	***-**-502I - CHUDYK, LUCIANA	LIMITED TERM GOVERNMENT A	0.00	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 08552066097	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
03/31/2018	***-**-736I - TORNATORE,	MAIN STREET FUND A	0.00	80.89	0.00	80.89	10.0	8.09
	ACCOUNT #: 04204204530	BUY 0 Units @0.0000						
03/31/2018	***-**-206I - SANDERS, DAVID	MAIN STREET FUND A	0.00	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 07002254530	BUY 0 Units @0.0000						
03/31/2018	***-**-206I - SANDERS, DAVID	MAIN STREET FUND A	0.00	6.55	0.00	6.55	10.0	0.66
	ACCOUNT #: 07002573849	BUY 0 Units @0.0000						
03/31/2018	***-**-072I - SMITH, DEBORAH	MAIN STREET FUND A	0.00	57.93	0.00	57.93	10.0	5.79
	ACCOUNT #: 07002573882	BUY 0 Units @0.0000						
03/31/2018	***-**-446I - TROBIA, FRANK	MAIN STREET FUND A	0.00	31.50	0.00	31.50	10.0	3.15
	ACCOUNT #: 07005158191	BUY 0 Units @0.0000						
03/31/2018	***-**-264I - SIDOTI, LAURA	MAIN STREET FUND A	0.00	11.55	0.00	11.55	10.0	1.16
	ACCOUNT #: 07005274219	BUY 0 Units @0.0000						
03/31/2018	***-**-3526 - STONE, LINDA	MAIN STREET FUND A	0.00	1.13	0.00	1.13	10.0	0.11
	ACCOUNT #: 07005481380	BUY 0 Units @0.0000						
03/31/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND A	0.00	27.87	0.00	27.87	10.0	2.79
	ACCOUNT #: 07005548460	BUY 0 Units @0.0000						
03/31/2018	***-**-7072 - SMITH, DEBBIE	MAIN STREET FUND A	0.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 07005555335	BUY 0 Units @0.0000						
03/31/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND A	0.00	13.14	0.00	13.14	10.0	1.31
	ACCOUNT #: 07005773144	BUY 0 Units @0.0000						
03/31/2018	***-**-781I - NAVAS, MICHAEL	MAIN STREET FUND A	0.00	0.54	0.00	0.54	10.0	0.05
	ACCOUNT #: 07006127212	BUY 0 Units @0.0000						
03/31/2018	***-**-1346 - WEEKS S R	MAIN STREET FUND A	0.00	8.18	0.00	8.18	10.0	0.82
	ACCOUNT #: 07007936483	BUY 0 Units @0.0000						
03/31/2018	***-**-175I - BLEIER, WESLEY	MAIN STREET FUND A	0.00	14.61	0.00	14.61	10.0	1.46
	ACCOUNT #: 07009521154	BUY 0 Units @0.0000						
03/31/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND B	0.00	0.75	0.00	0.75	10.0	0.08
	ACCOUNT #: 07012971958	BUY 0 Units @0.0000						
03/31/2018	***-**-1346 - WEEKS S R	MAIN STREET FUND B	0.00	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 07014822493	BUY 0 Units @0.0000						
03/31/2018	***-**-206I - SANDERS, DAVID	MAIN STREET FUND B	0.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 07015737231	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
03/31/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	0.00	3.22	0.00	3.22	10.0	0.32
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
03/31/2018	***-**-435P - BOSCO, SOFIA	MAIN STREET FUND C	0.00	57.53	0.00	57.53	10.0	5.75
	ACCOUNT #: 07021348457	BUY 0 Units @0.0000						
03/31/2018	***-**-084I - ESPOSITO,	MAIN STREET FUND C	0.00	45.99	0.00	45.99	10.0	4.60
	ACCOUNT #: 07023120326	BUY 0 Units @0.0000						
03/31/2018	***-**-110I - SAENZ, KATIA	MAIN STREET FUND C	0.00	17.94	0.00	17.94	10.0	1.79
	ACCOUNT #: 07023933798	BUY 0 Units @0.0000						
03/31/2018	***-**-9206 - SANDER, DAVID	MAIN STREET FUND C	0.00	12.08	0.00	12.08	10.0	1.21
	ACCOUNT #: 07024170947	BUY 0 Units @0.0000						
03/31/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	0.00	21.97	0.00	21.97	10.0	2.20
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
03/31/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	0.00	11.44	0.00	11.44	10.0	1.14
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						
03/31/2018	***-**-1346 - WEEKS S R	MAIN STREET FUND C	0.00	27.03	0.00	27.03	10.0	2.70
	ACCOUNT #: 07024329974	BUY 0 Units @0.0000						
03/31/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	0.00	4.49	0.00	4.49	10.0	0.45
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
03/31/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	0.00	38.22	0.00	38.22	10.0	3.82
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
03/31/2018	***-**-2620 - CUSIMANO, MEGAN	MAIN STREET FUND C	0.00	1.81	0.00	1.81	10.0	0.18
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
03/31/2018	***-**-446I - TROBIA, FRANK	MAIN STREET FUND C	0.00	36.05	0.00	36.05	10.0	3.61
	ACCOUNT #: 07024429095	BUY 0 Units @0.0000						
04/01/2018	***-**-290I - SAWDEY, MARILYN	MFS GOVERNMENT SECURITIES FUND-A	0.00	4.61	0.00	4.61	10.0	0.46
	ACCOUNT #: 09896338263	BUY 0 Units @0.0000						
04/01/2018	***-**-96CL - SCARPULLA,	MFS TOTAL RETURN FUND-A	0.00	11.61	0.00	11.61	10.0	1.16
	ACCOUNT #: 08191357165	BUY 0 Units @0.0000						
04/16/2018	***-**-63IR - DIAMOND, ANN	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.71	0.00	0.71	10.0	0.07
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
04/05/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 0 Units @44.9700						



COMMISSION STATEMENT

April 16, 2018

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Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u> 								
04/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	NEW PERSPECTIVE FUND-A BUY 0 Units @44.9700	22.25	0.27	0.00	0.27	10.0	0.03
04/02/2018	***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	NEW PERSPECTIVE FUND-C BUY 1 Units @41.4000	50.00	0.50	0.00	0.50	10.0	0.05
04/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @41.4000	20.40	0.20	0.00	0.20	10.0	0.02
04/03/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @41.8900	20.40	0.20	0.00	0.20	10.0	0.02
04/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @41.7500	20.40	0.20	0.00	0.20	10.0	0.02
04/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @41.7500	20.40	0.20	0.00	0.20	10.0	0.02
03/31/2018	***-**-7072 - SMITH, DEBBIE ACCOUNT #: 05451118920	OPP PORT SERIES: MOD INV FD A BUY 0 Units @0.0000	0.00	12.75	0.00	12.75	10.0	1.28
03/31/2018	***-**-4143 - STONE, GEORGE ACCOUNT #: 05451503469	OPP PORT SERIES: MOD INV FD A BUY 0 Units @0.0000	0.00	0.62	0.00	0.62	10.0	0.06
03/31/2018	***-**-3526 - STONE, LINDA ACCOUNT #: 05451509926	OPP PORT SERIES: MOD INV FD A BUY 0 Units @0.0000	0.00	0.53	0.00	0.53	10.0	0.05
03/31/2018	***-**-072I - SMITH, DEBORAH ACCOUNT #: 06660004334	OPP PORT SERIES: MOD INV FD B BUY 0 Units @0.0000	0.00	0.48	0.00	0.48	10.0	0.05
03/31/2018	***-**-526I - STONE, LINDA ACCOUNT #: 06660004565	OPP PORT SERIES: MOD INV FD B BUY 0 Units @0.0000	0.00	0.33	0.00	0.33	10.0	0.03
03/31/2018	***-**-143I - STONE, GEORGE ACCOUNT #: 06660004576	OPP PORT SERIES: MOD INV FD B BUY 0 Units @0.0000	0.00	0.33	0.00	0.33	10.0	0.03
03/31/2018	***-**-3407 - TUTTELL, PAULA ACCOUNT #: 05470454740	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	0.00	27.59	0.00	27.59	10.0	2.76
03/31/2018	***-**-56SI - ODELL, JULIE ACCOUNT #: 05470419034	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	0.00	35.21	0.00	35.21	10.0	3.52
03/31/2018	***-**-7072 - SMITH, DEBBIE ACCOUNT #: 06670037664	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	0.00	64.27	0.00	64.27	10.0	6.43
03/31/2018	***-**-4143 - STONE, GEORGE ACCOUNT #: 06670037675	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	0.00	28.99	0.00	28.99	10.0	2.90



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u> 								
03/31/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD C	0.00	29.11	0.00	29.11	10.0	2.91
	ACCOUNT #: 06670037686	BUY 0 Units @0.0000						
03/31/2018	***-**-1346 - WEEKS S R	OPPENHEIMER DISCOVERY CLASS A	0.00	9.64	0.00	9.64	10.0	0.96
	ACCOUNT #: 05004178284	BUY 0 Units @0.0000						
03/31/2018	***-**-781J - NAVAS, MICHAEL &	OPPENHEIMER DISCOVERY CLASS A	0.00	30.57	0.00	30.57	10.0	3.06
	ACCOUNT #: 07450878086	BUY 0 Units @0.0000						
03/31/2018	***-**-240J - MACCABEE, ALFRED	OPPENHEIMER DISCOVERY CLASS A	0.00	12.38	0.00	12.38	10.0	1.24
	ACCOUNT #: 07451411520	BUY 0 Units @0.0000						
03/31/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	0.00	22.95	0.00	22.95	10.0	2.30
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
03/31/2018	***-**-6056 - PRICE, DEBORAH	OPPENHEIMER MAIN STREET OPPORTUNITY	0.00	9.14	0.00	9.14	10.0	0.91
	ACCOUNT #: 07311461350	BUY 0 Units @0.0000						
03/31/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	9.50	0.00	9.50	10.0	0.95
	ACCOUNT #: 08477407983	BUY 0 Units @0.0000						
03/31/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	10.85	0.00	10.85	10.0	1.09
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
03/31/2018	***-**-541P - SCHILLACI, AMY	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	2.26	0.00	2.26	10.0	0.23
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						
03/31/2018	***-**-4980 - MOYER, COLLEEN	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	6.48	0.00	6.48	10.0	0.65
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
03/31/2018	***-**-696J - ARBORE, JENNIFER	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	31.41	0.00	31.41	10.0	3.14
	ACCOUNT #: 02270749892	BUY 0 Units @0.0000						
03/31/2018	***-**-1314 - BENEDETTO,	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	37.91	0.00	37.91	10.0	3.79
	ACCOUNT #: 02270934318	BUY 0 Units @0.0000						
03/31/2018	***-**-1834 - BUTLER, KIM	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	21.37	0.00	21.37	10.0	2.14
	ACCOUNT #: 02510771804	BUY 0 Units @0.0000						
03/31/2018	***-**-5378 - AGUILA, NANCY	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	66.86	0.00	66.86	10.0	6.69
	ACCOUNT #: 02510954349	BUY 0 Units @0.0000						
03/31/2018	***-**-502I - CHUDYK, LUCIANA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 02511356146	BUY 0 Units @0.0000						
03/31/2018	***-**-8379 - ZLOTNICK, MAR	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	1.61	0.00	1.61	10.0	0.16
	ACCOUNT #: 01902486671	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
03/31/2018	***-**-509I - ARBORE, ACCOUNT #: 01903509704	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	8.08	0.00	8.08	10.0	0.81
03/31/2018	***-**-206I - SANDERS, DAVID ACCOUNT #: 02301774457	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	10.0	0.01
03/31/2018	***-**-206I - SANDERS, DAVID ACCOUNT #: 02302155970	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	10.0	0.17
03/31/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 02803612158	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	2.17	0.00	2.17	10.0	0.22
03/31/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 01911387672	OPPENHEIMER STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	0.07	0.00	0.07	10.0	0.01
03/31/2018	***-**-206I - SANDERS, DAVID ACCOUNT #: 02316725532	OPPENHEIMER STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	0.07	0.00	0.07	10.0	0.01
04/13/2018	***-**-5046 - GUERRIER, JOHN ACCOUNT #: 456938	PRINCIPAL VA TRAILS BUY 1 Units @0.0000	0.00	734.36	0.00	734.36	10.0	73.44
04/13/2018	***-**-4432 - WHITE HAVEN ACCOUNT #: 612565	PRINCIPAL VA TRAILS BUY 1 Units @0.0000	0.00	1,329.44	0.00	1,329.44	10.0	132.94
04/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 618072	PRINCIPAL VA TRAILS BUY 1 Units @0.0000	0.00	199.57	0.00	199.57	10.0	19.96
04/02/2018	***-**-642I - DELGAIZO, LISA ACCOUNT #: 00488983741	PUTNAM AMERICAN GOVERNMENT INCOME F BUY 0 Units @0.0000	0.00	1.55	0.00	1.55	10.0	0.16
04/02/2018	***-**-33IN - TESTA, BARBARA ACCOUNT #: 00214281708	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	21.59	0.00	21.59	10.0	2.16
04/02/2018	***-**-642J - DELGALZO, ACCOUNT #: 00364555089	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	2.14	0.00	2.14	10.0	0.21
04/02/2018	***-**-130I - CIRA, JOHN ACCOUNT #: 00415148688	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	4.51	0.00	4.51	10.0	0.45
04/02/2018	***-**-33UG - DELGAIZO, ALESHA ACCOUNT #: 00437911872	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	6.49	0.00	6.49	10.0	0.65
04/02/2018	***-**-73UG - DELGAIZO, ACCOUNT #: 00481564658	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	4.03	0.00	4.03	10.0	0.40
04/02/2018	***-**-642I - DELGAIZO, LISA ACCOUNT #: 00488983741	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	3.73	0.00	3.73	10.0	0.37



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
04/02/2018	***-**-939I - ARBORE, MARIA	PUTNAM EQUITY INCOME FUND-A	0.00	30.62	0.00	30.62	10.0	3.06
	ACCOUNT #: 00506910960	BUY 0 Units @0.0000						
04/02/2018	***-**-707I - BARON, ROBIN	PUTNAM EQUITY INCOME FUND-A	0.00	7.92	0.00	7.92	10.0	0.79
	ACCOUNT #: 00551086624	BUY 0 Units @0.0000						
04/02/2018	***-**-3939 - ARBORE, MARIA	PUTNAM EQUITY INCOME FUND-C	0.00	140.78	0.00	140.78	10.0	14.08
	ACCOUNT #: 00551310434	BUY 0 Units @0.0000						
04/02/2018	***-**-642J - DELGALZO,	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.51	0.00	1.51	10.0	0.15
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
04/02/2018	***-**-678I - BAKERINK, DIANE	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	6.39	0.00	6.39	10.0	0.64
	ACCOUNT #: 00273141121	BUY 0 Units @0.0000						
04/02/2018	***-**-178I - STAUB, KIRK	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.49	0.00	0.49	10.0	0.05
	ACCOUNT #: 00455134356	BUY 0 Units @0.0000						
04/02/2018	***-**-43IR - BOSCO, GIULIO	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	10.19	0.00	10.19	10.0	1.02
	ACCOUNT #: 00494908627	BUY 0 Units @0.0000						
04/02/2018	***-**-293I - LIPPA, PAUL	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	30.24	0.00	30.24	10.0	3.02
	ACCOUNT #: 00511940615	BUY 0 Units @0.0000						
04/02/2018	***-**-643I - BOSCO, GIULIO	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	2.18	0.00	2.18	10.0	0.22
	ACCOUNT #: 00514117077	BUY 0 Units @0.0000						
04/02/2018	***-**-73UG - DELGAIZO,	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	31.31	0.00	31.31	10.0	3.13
	ACCOUNT #: 00481564658	BUY 0 Units @0.0000						
04/02/2018	***-**-059I - JOHNSON, WILLIAM	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	33.23	0.00	33.23	10.0	3.32
	ACCOUNT #: 00020573802	BUY 0 Units @0.0000						
04/02/2018	***-**-59IN - SCARPULLA,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.49	0.00	4.49	10.0	0.45
	ACCOUNT #: 00066046582	BUY 0 Units @0.0000						
04/02/2018	***-**-642J - DELGALZO,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	1.68	0.00	1.68	10.0	0.17
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
04/02/2018	***-**-33UG - DELGAIZO, ALESHA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	21.83	0.00	21.83	10.0	2.18
	ACCOUNT #: 00437911872	BUY 0 Units @0.0000						
04/02/2018	***-**-178I - STAUB, KIRK	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.68	0.00	0.68	10.0	0.07
	ACCOUNT #: 00455134356	BUY 0 Units @0.0000						
04/02/2018	***-**-170J - CAMPOMIZZI, JOHN	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00475151691	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
04/02/2018	***-**-73UG - DELGAIZO, ACCOUNT #: 00481564658	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	3.13	0.00	3.13	10.0	0.31
04/02/2018	***-**-642I - DELGAIZO, LISA ACCOUNT #: 00488983741	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	4.67	0.00	4.67	10.0	0.47
04/02/2018	***-**-643I - BOSCO, GIULIO ACCOUNT #: 00514117077	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	7.80	0.00	7.80	10.0	0.78
04/02/2018	***-**-33UG - DELGAIZO, ALESHA ACCOUNT #: 00519031484	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	3.10	0.00	3.10	10.0	0.31
04/02/2018	***-**-170I - CAMPOMIZZI, ACCOUNT #: 00550825937	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	2.10	0.00	2.10	10.0	0.21
04/02/2018	***-**-06IN - BERNARD, CREGG ACCOUNT #: 00550826447	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	0.06	0.00	0.06	10.0	0.01
04/02/2018	***-**-18IN - RIEDEL, JAMES ACCOUNT #: 00048939595	PUTNAM NEW YORK TAX- EXEMPT INCOME BUY 0 Units @0.0000	0.00	1.46	0.00	1.46	10.0	0.15
04/02/2018	***-**-642J - DELGALZO, ACCOUNT #: 00364555089	PUTNAM NEW YORK TAX- EXEMPT INCOME BUY 0 Units @0.0000	0.00	0.87	0.00	0.87	10.0	0.09
04/02/2018	***-**-33IN - TESTA, BARBARA ACCOUNT #: 00214281708	PUTNAM U.S. GOVT INCOME TR-A BUY 0 Units @0.0000	0.00	18.22	0.00	18.22	10.0	1.82
03/31/2018	***-**-240J - MACCABEE, ALFRED ACCOUNT #: 02571141525	QUEST BALANCED A BUY 0 Units @0.0000	0.00	2.88	0.00	2.88	10.0	0.29
03/31/2018	***-**-502I - CHUDYK, LUCIANA ACCOUNT #: 02573443913	QUEST BALANCED A BUY 0 Units @0.0000	0.00	1.75	0.00	1.75	10.0	0.18
03/31/2018	***-**-772I - KERHAERT, ACCOUNT #: 02575859953	QUEST BALANCED A BUY 0 Units @0.0000	0.00	7.69	0.00	7.69	10.0	0.77
03/31/2018	***-**-772I - KERHAERT, ACCOUNT #: 02585781831	QUEST BALANCED B BUY 0 Units @0.0000	0.00	0.09	0.00	0.09	10.0	0.01
03/31/2018	***-**-8706 - BOSCO, REN ACCOUNT #: 02590094105	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	159.41	0.00	159.41	10.0	15.94
03/31/2018	***-**-110I - SAENZ, KATIA ACCOUNT #: 02592093355	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	10.77	0.00	10.77	10.0	1.08
03/31/2018	***-**-772I - KERHAERT, ACCOUNT #: 02592262304	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	9.50	0.00	9.50	10.0	0.95



COMMISSION STATEMENT

April 16, 2018

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400 West Metro Park
Rochester, NY 14623

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BRANCH #01016 - 16 - CASPER

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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
03/31/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 02592292741	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	71.57	0.00	71.57	10.0	7.16
03/31/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 02362932061	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	4.77	0.00	4.77	10.0	0.48
03/31/2018	***-**-502I - CHUDYK, LUCIANA ACCOUNT #: 02363615612	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	2.72	0.00	2.72	10.0	0.27
03/31/2018	***-**-1346 - WEEKS S R ACCOUNT #: 02363693492	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	4.26	0.00	4.26	10.0	0.43
03/31/2018	***-**-4143 - STONE, GEORGE ACCOUNT #: 02365376635	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	0.52	0.00	0.52	10.0	0.05
03/31/2018	***-**-1346 - WEEKS S R ACCOUNT #: 02373694251	QUEST OPPORTUNITY VALUE FUND B BUY 0 Units @0.0000	0.00	0.08	0.00	0.08	10.0	0.01
03/31/2018	***-**-432I - BORDEN, ROBERT ACCOUNT #: 02380867812	QUEST OPPORTUNITY VALUE FUND C BUY 0 Units @0.0000	0.00	5.10	0.00	5.10	10.0	0.51
03/31/2018	***-**-1346 - WEEKS S R ACCOUNT #: 02381169938	QUEST OPPORTUNITY VALUE FUND C BUY 0 Units @0.0000	0.00	20.00	0.00	20.00	10.0	2.00
03/31/2018	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 05920398266	REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	28.76	0.00	28.76	10.0	2.88
03/31/2018	***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 05920400103	REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	0.66	0.00	0.66	10.0	0.07
03/31/2018	***-**-509I - ARBORE, ACCOUNT #: 02253202056	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	9.53	0.00	9.53	10.0	0.95
03/31/2018	***-**-76IN - CRISPINO, JULIE ACCOUNT #: 03550283547	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	342.45	0.00	342.45	10.0	34.25
03/31/2018	***-**-76IN - CRISPINO, JULIE ACCOUNT #: 03550283547	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	380.49	0.00	380.49	10.0	38.05
03/31/2018	***-**-11IN - ROBERTS NEEDS ACCOUNT #: 03551129898	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	54.50	0.00	54.50	10.0	5.45
03/31/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 03551296515	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	321.99	0.00	321.99	10.0	32.20
03/31/2018	***-**-450J - DIGIOVANNI, ACCOUNT #: 03570496793	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	20.45	0.00	20.45	10.0	2.05



COMMISSION STATEMENT

April 16, 2018

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BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
03/31/2018	***-**-696J - ARBORE, JENNIFER ROCH.	LIMITED TERM NEW YORK MUNICIPAL	0.00	26.18	0.00	26.18	10.0	2.62
	ACCOUNT #: 03570590128	BUY 0 Units @0.0000						
03/31/2018	***-**-6188 - ROBERTS,	ROCH. LIMITED TERM NEW YORK MUNICIPAL	0.00	19.24	0.00	19.24	10.0	1.92
	ACCOUNT #: 03570646371	BUY 0 Units @0.0000						
04/09/2018	***-**-20IN - GIANGRECO, TERRY ROCH.	LIMITED TERM NEW YORK MUNICIPAL	10,003.00	47.01	0.00	47.01	10.0	4.70
	ACCOUNT #: LSR010603	BUY 3535 Units @2.8300						
04/04/2018	***-**-33UG - DELGAIZO, ALESHA	SMALL CAP EQUITY FUND - A	0.00	1.67	0.00	1.67	10.0	0.17
	ACCOUNT #: 00000413901	BUY 0 Units @0.0000						
03/31/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE B	0.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 02520033660	BUY 0 Units @0.0000						
03/31/2018	***-**-4980 - MOYER, COLLEEN	SMALL- & MID- CAP VALUE FUND C	0.00	3.00	0.00	3.00	10.0	0.30
	ACCOUNT #: 02531288969	BUY 0 Units @0.0000						
03/31/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	0.00	13.80	0.00	13.80	10.0	1.38
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
04/02/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @48.8500						
04/03/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @49.3800						
04/06/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @49.2700						
04/06/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @49.2700						
03/31/2018	***-**-1834 - BUTLER, KIM	STRATEGIC INCOME FUND C	0.00	5.18	0.00	5.18	10.0	0.52
	ACCOUNT #: 01920863291	BUY 0 Units @0.0000						
03/31/2018	***-**-9206 - SANDER, DAVID	STRATEGIC INCOME FUND C	0.00	8.78	0.00	8.78	10.0	0.88
	ACCOUNT #: 02322653794	BUY 0 Units @0.0000						
03/31/2018	***-**-1314 - BENEDETTO,	STRATEGIC INCOME FUND C	0.00	31.81	0.00	31.81	10.0	3.18
	ACCOUNT #: 02322751089	BUY 0 Units @0.0000						
04/05/2018	***-**-425P - DELGAIZO, LOUISA	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063412117	BUY 3 Units @12.7900						
04/05/2018	***-**-535P - DELGAIZO,	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063451518	BUY 3 Units @12.7900						



COMMISSION STATEMENT

April 16, 2018

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BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
04/02/2018	***-**-42IR - ADAMS, GRACE	THE GROWTH FUND OF AMERICA-A	50.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00073505114	BUY 1 Units @52.8700						
04/02/2018	***-**-425P - MEEKS, PERDITA	THE GROWTH FUND OF AMERICA-A	12.50	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00074210167	BUY 0 Units @52.8700						
04/05/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @52.0000						
04/05/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @52.0000						
04/02/2018	***-**-984I - DELUCA, SHARI	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00064868315	BUY 1 Units @46.1200						
04/02/2018	***-**-05IN - RANDALL, ADAM	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00085941585	BUY 2 Units @46.1200						
04/02/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00089045192	BUY 0 Units @46.1200						
04/02/2018	***-**-482I - MARCONI, TODD	THE GROWTH FUND OF AMERICA-C	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @46.1200						
04/03/2018	***-**-4392 - GARCIA, MICHELLE	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 1 Units @46.6400						
04/03/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00089045192	BUY 0 Units @46.6400						
04/03/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	18.37	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @46.6400						
04/03/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	50.40	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089722785	BUY 1 Units @46.6400						
04/06/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00089045192	BUY 0 Units @46.4300						
04/06/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	61.22	0.61	0.00	0.61	10.0	0.06
	ACCOUNT #: 00089319958	BUY 1 Units @46.4300						
04/06/2018	***-**-0006 - FORSYTH, KATHRYN	THE GROWTH FUND OF AMERICA-C	86.54	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 04000650661	BUY 2 Units @46.4300						
04/02/2018	***-**-545P - VISCA, ANGELO	THE INVESTMENT COMPANY OF AMERICA-A	100.00	2.75	0.00	2.75	10.0	0.28
	ACCOUNT #: 00063056262	BUY 2 Units @40.2900						



COMMISSION STATEMENT

April 16, 2018

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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u> 								
04/02/2018	***-**-395P - DIVASTA, ANTHONY	THE INVESTMENT COMPANY OF AMERICA-A	50.00	1.88	0.00	1.88	10.0	0.19
	ACCOUNT #: 00059597416	BUY 1 Units @40.7100						
04/02/2018	***-**-9024 - HACKETT, ETHAN	THE NEW ECONOMY FUND-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00088123299	BUY 1 Units @41.2900						
04/02/2018	***-**-935J - RUSH, DONNA	THE TAX-EXEMPT BOND FUND OF AMERICA	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085296459	BUY 4 Units @12.8100						
04/02/2018	***-**-44UG - GUERRIERI,	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00085399145	BUY 20 Units @12.8100						
04/09/2018	***-**-20IN - GIANGRECO, TERRY	THE TAX-EXEMPT BOND FUND OF AMERICA	10,003.00	97.03	0.00	97.03	10.0	9.70
	ACCOUNT #: LSR010603	BUY 782 Units @12.7900						
03/31/2018	***-**-206I - SANDERS, DAVID	VALUE B	0.00	0.13	0.00	0.13	10.0	0.01
	ACCOUNT #: 03760634293	BUY 0 Units @0.0000						
03/31/2018	***-**-206I - SANDERS, DAVID	VALUE FUND A	0.00	7.15	0.00	7.15	10.0	0.72
	ACCOUNT #: 03751730652	BUY 0 Units @0.0000						
03/31/2018	***-**-9206 - SANDER, DAVID	VALUE FUND C	0.00	11.56	0.00	11.56	10.0	1.16
	ACCOUNT #: 03770488829	BUY 0 Units @0.0000						
04/02/2018	***-**-545P - VISCA, ANGELO	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	1.38	0.00	1.38	10.0	0.14
	ACCOUNT #: 00063056262	BUY 1 Units @45.5300						
04/02/2018	***-**-984I - DELUCA, SHARI	WASHINGTON MUTUAL INVESTORS FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00064868315	BUY 1 Units @43.3800						
04/02/2018	***-**-482I - MARCONI, TODD	WASHINGTON MUTUAL INVESTORS FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @43.3800						
04/06/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @43.8300						
04/06/2018	***-**-7645 - SUSS, PATRICK	WASHINGTON MUTUAL INVESTORS FUND-C	2,000.00	20.00	0.00	20.00	10.0	2.00
	ACCOUNT #: 04000680953	BUY 46 Units @43.8300						
 * FREDERIC SCARPULLA SUBTOTAL * 			 \$26,901.17 	 \$8,748.73 	 \$0.00 	 \$8,748.73 		 \$875.13



COMMISSION STATEMENT

April 16, 2018

ANDREW KALINOWSKI
400 West Metro Park
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BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: WILLIAM AGNELLO</u>								
03/31/2018	***-**-91IN - IRWIN, STEVEN	CAPITAL APPRECIATION A	0.00	1.03	0.00	1.03	25.0	0.26
	ACCOUNT #: 03211657888	BUY 0 Units @0.0000						
04/06/2018	***-**-59T5 - ETHEL CUP TRUST	CHERRY HILL MTG INVT CORP COM UNSOL	980.00	22.16	0.00	22.16	25.0	5.54
	ACCOUNT #: LSR006963	BUY 56 Units @17.5000						
04/06/2018	***-**-59T5 - ETHEL CUP TRUST	CHERRY HILL MTG INVT CORP COM UNSOL	1,750.00	27.36	0.00	27.36	25.0	6.84
	ACCOUNT #: LSR006963	BUY 100 Units @17.5000						
04/06/2018	***-**-59T5 - ETHEL CUP TRUST	CHERRY HILL MTG INVT CORP COM UNSOL	332.88	2.20	0.00	2.20	25.0	0.55
	ACCOUNT #: LSR006963	BUY 19 Units @17.5200						
04/06/2018	***-**-59T5 - ETHEL CUP TRUST	CHERRY HILL MTG INVT CORP COM UNSOL	437.50	2.88	0.00	2.88	25.0	0.72
	ACCOUNT #: LSR006963	BUY 25 Units @17.5000						
04/06/2018	***-**-59T5 - ETHEL CUP TRUST	CHERRY HILL MTG INVT CORP COM UNSOL	1,750.00	11.55	0.00	11.55	25.0	2.89
	ACCOUNT #: LSR006963	BUY 100 Units @17.5000						
04/06/2018	***-**-11IO - CRANDALL,	CHERRY HILL MTG INVT CORP COM UNSOL	6,997.60	75.29	0.00	75.29	25.0	18.82
	ACCOUNT #: LSR007145	BUY 400 Units @17.4940						
04/06/2018	***-**-36IO - IRWIN, CHARLES	CHERRY HILL MTG INVT CORP COM UNSOL	7,022.00	75.37	0.00	75.37	25.0	18.84
	ACCOUNT #: LSR007200	BUY 400 Units @17.5550						
04/06/2018	***-**-657I - RIEL, KEVIN	CHERRY HILL MTG INVT CORP COM UNSOL	3,504.00	54.63	0.00	54.63	25.0	13.66
	ACCOUNT #: LSR007366	BUY 200 Units @17.5200						
04/16/2018	***-**-28IN - CHIAVETTA,	DELAWARE HIGH YIELD OPPS FUND A CLA	0.00	0.67	0.00	0.67	25.0	0.17
	ACCOUNT #: LSR008842	BUY 1 Units @0.0000						
04/16/2018	***-**-28IN - CUP, ANDREW	DELAWARE MF TRAILS	0.00	0.37	0.00	0.37	25.0	0.09
	ACCOUNT #: 4000021808	BUY 0 Units @0.0000						
04/16/2018	***-**-613K - HAGER	DREYFUS LIMITED TERM HIGH YIELD FUN	0.00	1.93	0.00	1.93	25.0	0.48
	ACCOUNT #: LSR006980	BUY 1 Units @0.0000						
04/06/2018	***-**-39IN - IRWIN, DIANE	INCOME FUND OF AMERICA CLASS C	2,999.99	2.00	0.00	2.00	25.0	0.50
	ACCOUNT #: LSR007234	SELL 134 Units @22.3800						
04/11/2018	***-**-43FB - CUP, NICHOLAS	JOHN HANCOCK 529 TRAILS	0.00	9.02	0.00	9.02	25.0	2.26
	ACCOUNT #: 00052280820	BUY 0 Units @0.0000						
03/31/2018	***-**-28IN - CUP, ANDREW	OPPENHEIMER DISCOVERY CLASS A	0.00	19.97	0.00	19.97	25.0	4.99
	ACCOUNT #: 05005497591	BUY 0 Units @0.0000						
04/16/2018	***-**-39IR - IRWIN	PRUDENTIAL GROWTH ALLOCATION CL B	0.00	1.46	0.00	1.46	25.0	0.37
	ACCOUNT #: LSR007242	BUY 1 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: WILLIAM AGNELLO (continued)</u> 								
04/16/2018	***-**-59T3 - ETHEL CUP IRREV ACCOUNT #: LSR006947	PRUDENTIAL JENNISON CONSERV GROWTH BUY 1 Units @0.0000	0.00	2.62	0.00	2.62	25.0	0.66
04/16/2018	***-**-59T3 - ETHEL CUP IRREV ACCOUNT #: LSR006947	PRUDENTIAL JENNISON CONSERV GROWTH BUY 1 Units @0.0000	0.00	1.92	0.00	1.92	25.0	0.48
04/16/2018	***-**-925I - DIPAOLO, JOSEPH ACCOUNT #: LSR006874	PRUDENTIAL TOTAL RETURN BOND CLASS BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	25.0	0.42
04/16/2018	***-**-963I - GAMMARIELLO, ACCOUNT #: LSR007102	PRUDENTIAL TOTAL RETURN BOND CLASS BUY 1 Units @0.0000	0.00	2.48	0.00	2.48	25.0	0.62
04/16/2018	***-**-39IN - IRWIN, DIANE ACCOUNT #: LSR007234	PRUDENTIAL TOTAL RETURN BOND CLASS BUY 1 Units @0.0000	0.00	8.23	0.00	8.23	25.0	2.06
04/16/2018	***-**-728X - CHIAVETTA, NSPS ACCOUNT #: LSR008699	PRUDENTIAL TOTAL RETURN BOND CLASS BUY 1 Units @0.0000	0.00	1.49	0.00	1.49	25.0	0.37
04/16/2018	***-**-28IN - CHIAVETTA, ACCOUNT #: LSR008842	PRUDENTIAL TOTAL RETURN BOND CLASS BUY 1 Units @0.0000	0.00	7.80	0.00	7.80	25.0	1.95
* WILLIAM AGNELLO SUBTOTAL *			\$25,773.97	\$334.10	\$0.00	\$334.10		\$83.54
 <u>BROKER: JAMES LOMBARDO</u> 								
04/02/2018	***-**-228I - EMMA, JACQUELINE ACCOUNT #: 00551461545	37252M108 BUY 0 Units @0.0000	0.00	1.05	0.00	1.05	15.0	0.16
04/02/2018	***-**-5506 - LOMBARDO, LEIGH ACCOUNT #: 00370935092	37252M108 BUY 0 Units @0.0000	0.00	3.00	0.00	3.00	15.0	0.45
04/02/2018	***-**-1748 - LOMBARDO, JAMES ACCOUNT #: 00394748552	37252M108 BUY 0 Units @0.0000	0.00	6.69	0.00	6.69	15.0	1.00
04/01/2018	***-**-51IR - HOKE, THOMAS ACCOUNT #: 03809514965	AIM INTERMEDIATE GOVERNMENT FD - CL BUY 0 Units @0.0000	0.00	2.42	0.00	2.42	15.0	0.36
04/01/2018	***-**-4160 - RUNICE, ARVID ACCOUNT #: 03811143993	AIM SHORT TERM BOND FUND - CLASS C BUY 0 Units @0.0000	0.00	8.99	0.00	8.99	15.0	1.35
04/02/2018	***-**-6802 - NAKANO, AMELIA ACCOUNT #: 00082853395	AMERICAN BALANCED FUND-A BUY 2 Units @27.7800	50.00	2.13	0.00	2.13	15.0	0.32
04/02/2018	***-**-9634 - STREIT, TERRY ACCOUNT #: 04000460394	AMERICAN BALANCED FUND-A BUY 2 Units @28.0000	50.00	2.50	0.00	2.50	15.0	0.38
04/02/2018	***-**-9634 - STREIT, TERRY ACCOUNT #: 04000460402	AMERICAN BALANCED FUND-A BUY 2 Units @28.0000	50.00	2.50	0.00	2.50	15.0	0.38



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: JAMES LOMBARDO (continued)								
04/02/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	100.00	5.00	0.00	5.00	15.0	0.75
	ACCOUNT #: 00087068370	BUY 4 Units @28.0000						
04/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	110.00	5.50	0.00	5.50	15.0	0.83
	ACCOUNT #: 00088153955	BUY 4 Units @28.2100						
04/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 2 Units @27.8500						
04/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN MUTUAL FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @41.1200						
04/06/2018	***-**-2608 - GIAMAS, GREGORY	FUNDAMENTAL INVESTORS-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @63.8800						
04/03/2018	***-**-0683 - DAVIS, SHARON	HARTFORD INFLATION PLUS FUND CLASS	0.00	19.43	0.00	19.43	15.0	2.91
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
04/01/2018	***-**-5506 - LOMBARDO, LEIGH	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	23.36	0.00	23.36	15.0	3.50
	ACCOUNT #: 03809219276	BUY 0 Units @0.0000						
04/01/2018	***-**-6195 - BACKUS, THOMAS	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	9.21	0.00	9.21	15.0	1.38
	ACCOUNT #: 03908954377	BUY 0 Units @0.0000						
04/05/2018	***-**-5506 - LOMBARDO, LEIGH	INVESCO AMERICAN FRANCHISE FUND -CL	300.00	12.00	0.00	12.00	15.0	1.80
	ACCOUNT #: 03809219276	BUY 14 Units @21.5300						
04/01/2018	***-**-6195 - BACKUS, THOMAS	IVK AMERICAN FRANCHISE FUND - CLASS	0.00	0.13	0.00	0.13	15.0	0.02
	ACCOUNT #: 03908954377	BUY 0 Units @0.0000						
04/06/2018	***-**-2608 - GIAMAS, GREGORY	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @45.5800						
04/02/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM ASSET ALLOC CONSERV-A	0.00	16.57	0.00	16.57	15.0	2.49
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
04/02/2018	***-**-7177 - RUNICE, MARGARET	PUTNAM EQUITY INCOME FUND-A	0.00	15.48	0.00	15.48	15.0	2.32
	ACCOUNT #: 00266380833	BUY 0 Units @0.0000						
04/02/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM EQUITY INCOME FUND-A	0.00	7.87	0.00	7.87	15.0	1.18
	ACCOUNT #: 00461190200	BUY 0 Units @0.0000						
04/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM EQUITY INCOME FUND-A	0.00	27.17	0.00	27.17	15.0	4.08
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						
04/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.52	0.00	0.52	15.0	0.08
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: JAMES LOMBARDO (continued)</u>								
04/02/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM INVESTORS FUND-A	0.00	4.12	0.00	4.12	15.0	0.62
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
04/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM INVESTORS FUND-A	0.00	4.57	0.00	4.57	15.0	0.69
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						
04/02/2018	***-**-8491 - INCORVAIA,	PUTNAM INVESTORS FUND-A	0.00	3.03	0.00	3.03	15.0	0.45
	ACCOUNT #: 00517271868	BUY 0 Units @0.0000						
04/02/2018	***-**-8201 - MAUTNER, LILLIAN	PUTNAM INVESTORS FUND-A	0.00	1.16	0.00	1.16	15.0	0.17
	ACCOUNT #: 00551326614	BUY 0 Units @0.0000						
04/02/2018	***-**-6565 - MAUTNER, ARIANNY	PUTNAM INVESTORS FUND-A	0.00	1.16	0.00	1.16	15.0	0.17
	ACCOUNT #: 00551326624	BUY 0 Units @0.0000						
04/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	33.42	0.00	33.42	15.0	5.01
	ACCOUNT #: 00343384180	BUY 0 Units @0.0000						
04/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	33.01	0.00	33.01	15.0	4.95
	ACCOUNT #: 00452858253	BUY 0 Units @0.0000						
04/02/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.80	0.00	3.80	15.0	0.57
	ACCOUNT #: 00461190200	BUY 0 Units @0.0000						
04/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	20.35	0.00	20.35	15.0	3.05
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						
04/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES-B	0.00	0.45	0.00	0.45	15.0	0.07
	ACCOUNT #: 00452858253	BUY 0 Units @0.0000						
04/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM SHORT DURATION INCOME CL A	0.00	5.07	0.00	5.07	15.0	0.76
	ACCOUNT #: 00550388392	BUY 0 Units @0.0000						
03/31/2018	***-**-2582 - FERRAR, PATRICIA	ROCHESTER FUND MUNICIPALS A	0.00	76.82	0.00	76.82	15.0	11.52
	ACCOUNT #: 03651105500	BUY 0 Units @0.0000						
03/31/2018	***-**-9195 - FERRAR, ROLFE	ROCHESTER FUND MUNICIPALS A	0.00	36.24	0.00	36.24	15.0	5.44
	ACCOUNT #: 03651253373	BUY 0 Units @0.0000						
04/02/2018	***-**-6802 - NAKANO, AMELIA	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	15.0	0.23
	ACCOUNT #: 00082853395	BUY 4 Units @13.1300						
04/02/2018	***-**-3040 - KOTARY, BRANDY	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	15.0	0.23
	ACCOUNT #: 00087642268	BUY 4 Units @13.1300						
04/06/2018	***-**-2608 - GIAMAS, GREGORY	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @52.5200						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: JAMES LOMBARDO (continued)</u> 								
04/03/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD ADVISERS FUND-C	0.00	16.73	0.00	16.73	15.0	2.51
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
04/03/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	21.38	0.00	21.38	15.0	3.21
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
04/05/2018	***-**-3828 - DUSABLON, DANIEL	U.S. GOVERNMENT SECURITIES FUND CLA	150.00	4.50	0.00	4.50	15.0	0.68
	ACCOUNT #: 00084530390	BUY 11 Units @13.9200						
04/01/2018	***-**-5506 - LOMBARDO, LEIGH	VAN KAMPEN3	0.00	7.75	0.00	7.75	15.0	1.16
	ACCOUNT #: 03809219276	BUY 0 Units @0.0000						
04/05/2018	***-**-5506 - LOMBARDO, LEIGH	VAN KAMPEN3	100.00	4.00	0.00	4.00	15.0	0.60
	ACCOUNT #: 03809219276	BUY 13 Units @7.4800						
* JAMES LOMBARDO SUBTOTAL *			\$1,260.00	\$461.48	\$0.00	\$461.48		\$69.23
*** OVERRIDE TRANSACTIONS TOTAL ***			\$65,504.60	\$13,169.73	\$0.00	\$13,169.73		\$1,582.29

BROKER COMMISSION TOTALS

Broker Transactions	\$1,977.06
Split Transactions	\$0.00
Override Transactions	\$1,582.29
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	\$3,559.35
Year-to-date Earnings	\$37,340.48