



COMMISSION STATEMENT

January 15, 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>								
01/02/2018	***-**-6413 - KOZAK, LAUREN	THE GROWTH FUND OF AMERICA-A	50.00	2.13	0.00	2.13	90.0	1.92
	ACCOUNT #: 00086445258	BUY 1 Units @52.8000						
		* MUTUAL FUNDS SUBTOTAL *	\$50.00	\$2.13	\$0.00	\$2.13		\$1.92
<u>PRODUCT CATEGORY: 529 PLAN</u>								
01/12/2018	***-**-795P - SHARPSTENE,	NEST TRAILS	0.00	0.15	0.00	0.15	90.0	0.14
	ACCOUNT #: 74222267401	BUY 0 Units @0.0000						
01/12/2018	***-**-9194 - MARTIN, BRIAN	NEST TRAILS	0.00	0.15	0.00	0.15	90.0	0.14
	ACCOUNT #: 74414496301	BUY 0 Units @0.0000						
01/12/2018	***-**-885P - SPENCER, KRISTIN	NEST TRAILS	0.00	4.68	0.00	4.68	90.0	4.21
	ACCOUNT #: 74626689001	BUY 0 Units @0.0000						
01/12/2018	***-**-7545 - BUONGIORNE,	NEST TRAILS	0.00	0.36	0.00	0.36	90.0	0.32
	ACCOUNT #: 74717712801	BUY 0 Units @0.0000						
01/15/2018	***-**-1377 - MARCHESE, PAUL	NEW YORK 529 TRAILS	0.00	10.47	0.00	10.47	90.0	9.42
	ACCOUNT #: 77056237301	BUY 0 Units @0.0000						
		* 529 PLAN SUBTOTAL *	\$0.00	\$15.81	\$0.00	\$15.81		\$14.23
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/31/2017	***-**-8934 - BUCKWELL, JAMES	C-GLOBAL MULTI-ASSET GROWTH FUND	0.00	1.20	0.00	1.20	90.0	1.08
	ACCOUNT #: 00100013025	BUY 0 Units @0.0000						
12/31/2017	***-**-8934 - BUCKWELL, JAMES	C-INTERNATIONAL GROWTH AND INCOME F	0.00	1.18	0.00	1.18	90.0	1.06
	ACCOUNT #: 00100011034	BUY 0 Units @0.0000						
12/31/2017	***-**-5920 - SCHNECKENBURGER,	CAPITAL INCOME A	0.00	5.55	0.00	5.55	90.0	5.00
	ACCOUNT #: 03006210600	BUY 0 Units @0.0000						
12/31/2017	***-**-0588 - RUSSELL, JUDY	CAPITAL INCOME FUND C	0.00	10.64	0.00	10.64	90.0	9.58
	ACCOUNT #: 03020532070	BUY 0 Units @0.0000						
12/31/2017	***-**-7727 - CUMMINGS,	CAPITAL INCOME FUND C	0.00	4.89	0.00	4.89	90.0	4.40
	ACCOUNT #: 03020578270	BUY 0 Units @0.0000						
12/31/2017	***-**-8932 - KYTE, AGNES	CASH RESERVES A	0.00	0.00	0.00	0.00	90.0	0.00
	ACCOUNT #: 07604582006	BUY 0 Units @0.0000						
12/31/2017	***-**-86CL - BOUQUIN, CLIENTS	CASH RESERVES A	0.00	0.00	0.00	0.00	90.0	0.00
	ACCOUNT #: 07604582017	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/31/2017	***-**-6159 - BOSSELER, ACCOUNT #: 07604096840	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-6682 - ROYSTON, EMMA ACCOUNT #: 07604257616	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-6223 - PRESLEY, MICHAEL ACCOUNT #: 07604259640	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-0577 - CUOZZO, FRANK ACCOUNT #: 07604352029	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-3942 - HIBBERT, LEONA ACCOUNT #: 07604391013	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-5209 - STARKWEATHER, ACCOUNT #: 07604399791	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-1722 - LANDIN, ROBERT ACCOUNT #: 07604443582	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-2636 - COLES, DEBORAH ACCOUNT #: 07604452701	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-5733 - WHITTON, JEFFREY ACCOUNT #: 07604462018	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-7727 - CUMMINGS, ACCOUNT #: 07604517392	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-1659 - BOUQUIN, ACCOUNT #: 07604535124	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-6657 - THOMAS, ALEXIS ACCOUNT #: 07604406820	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-6657 - THOMAS, ALEXIS ACCOUNT #: 07604531142	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-9281 - RUSSELL, AMY ACCOUNT #: 07604486999	CASH RESERVES A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-22IN - SAUTTER, TERRIE ACCOUNT #: 07621412807	CASH RESERVES C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-8156 - SALAMONE, FLOY ACCOUNT #: 07621314335	CASH RESERVES C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/31/2017	***-**-6159 - BOSSELER, ACCOUNT #: 07621317767	CASH RESERVES C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-0588 - RUSSELL, JUDY ACCOUNT #: 07621330285	CASH RESERVES C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-0577 - CUOZZO, FRANK ACCOUNT #: 07621412048	CASH RESERVES C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-7727 - CUMMINGS, ACCOUNT #: 07621430000	CASH RESERVES C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-0656 - SALAMONE, MARY ACCOUNT #: 07621314346	CASH RESERVES C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-6159 - BOSSELER, ACCOUNT #: 07621470667	CASH RESERVES C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-6223 - PRESLEY, MICHAEL ACCOUNT #: 02870560978	CORE BOND FND C BUY 0 Units @0.0000	0.00	0.31	0.00	0.31	90.0	0.28
12/31/2017	***-**-5142 - WASHINGTON ACCOUNT #: 07860995401	DEVELOPING MARKETS FUND B BUY 0 Units @0.0000	0.00	0.27	0.00	0.27	90.0	0.24
12/31/2017	***-**-5142 - WASHINGTON ACCOUNT #: 07220197978	EMERGING GROWTH FUND B BUY 0 Units @0.0000	0.00	0.41	0.00	0.41	90.0	0.37
12/31/2017	***-**-5142 - WASHINGTON ACCOUNT #: 08353172444	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	0.27	0.00	0.27	90.0	0.24
12/31/2017	***-**-5751 - PALELLA, CHARLES ACCOUNT #: 08350895037	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	45.10	0.00	45.10	90.0	40.59
12/31/2017	***-**-5142 - WASHINGTON ACCOUNT #: 08360502755	EQUITY INCOME FUND, INC. B BUY 0 Units @0.0000	0.00	0.59	0.00	0.59	90.0	0.53
12/31/2017	***-**-6159 - BOSSELER, ACCOUNT #: 08370270952	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	2.31	0.00	2.31	90.0	2.08
12/31/2017	***-**-9281 - RUSSELL, AMY ACCOUNT #: 08370662827	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	12.88	0.00	12.88	90.0	11.59
12/31/2017	***-**-0591 - D'AMBROSIA, ACCOUNT #: 03308827797	GLOBAL FUND A BUY 0 Units @0.0000	0.00	30.74	0.00	30.74	90.0	27.67
12/31/2017	***-**-345P - MOON, LINDA ACCOUNT #: 03301651672	GLOBAL FUND A BUY 0 Units @0.0000	0.00	2.63	0.00	2.63	90.0	2.37



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/31/2017	***-**-9061 - BROWN, WINSTON ACCOUNT #: 04104629482	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.75	0.00	0.75	90.0	0.68
12/31/2017	***-**-9061 - BROWN, WINSTON ACCOUNT #: 04110633116	GOLD & SPECIAL MINERALS FUND B BUY 0 Units @0.0000	0.00	0.22	0.00	0.22	90.0	0.20
12/31/2017	***-**-5142 - WASHINGTON ACCOUNT #: 08810288553	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.26	0.00	0.26	90.0	0.23
12/31/2017	***-**-6657 - THOMAS, ALEXIS ACCOUNT #: 08151884674	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	0.00	2.16	0.00	2.16	90.0	1.94
12/31/2017	***-**-1651 - ELLICOTT, AGNES ACCOUNT #: 08570735944	LIMITED-TERM GOVERNMENT FUND C BUY 0 Units @0.0000	0.00	2.93	0.00	2.93	90.0	2.64
12/31/2017	***-**-6223 - PRESLEY, MICHAEL ACCOUNT #: 08571238160	LIMITED-TERM GOVERNMENT FUND C BUY 0 Units @0.0000	0.00	13.75	0.00	13.75	90.0	12.38
12/31/2017	***-**-059I - D'AMBROSIA, ACCOUNT #: 07009471484	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	16.68	0.00	16.68	90.0	15.01
12/31/2017	***-**-6159 - BOSSELER, ACCOUNT #: 04220403722	MAIN STREET FUND C BUY 0 Units @0.0000	0.00	4.62	0.00	4.62	90.0	4.16
12/31/2017	***-**-6159 - BOSSELER, ACCOUNT #: 00100033298	OPP STEELPATH MLP ALPHA+ FND C BUY 0 Units @0.0000	0.00	4.94	0.00	4.94	90.0	4.45
12/31/2017	***-**-9137 - RAUTENSTAUCH, ACCOUNT #: 02850485199	OPPENHEIMER CORE BOND FUND A BUY 0 Units @0.0000	0.00	0.64	0.00	0.64	90.0	0.58
12/31/2017	***-**-9137 - RAUTENSTAUCH, ACCOUNT #: 07451494086	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	1.09	0.00	1.09	90.0	0.98
12/31/2017	***-**-0588 - RUSSELL, JUDY ACCOUNT #: 03322824404	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	3.06	0.00	3.06	90.0	2.75
12/31/2017	***-**-0577 - CUOZZO, FRANK ACCOUNT #: 04120811305	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	6.11	0.00	6.11	90.0	5.50
12/31/2017	***-**-0588 - RUSSELL, JUDY ACCOUNT #: 04120852148	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	2.94	0.00	2.94	90.0	2.65
12/31/2017	***-**-7727 - CUMMINGS, ACCOUNT #: 04120865370	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	3.65	0.00	3.65	90.0	3.29
12/31/2017	***-**-5209 - STARKWEATHER, ACCOUNT #: 08822057473	OPPENHEIMER INT'L BOND CLASS C BUY 0 Units @0.0000	0.00	1.30	0.00	1.30	90.0	1.17



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u>								
12/31/2017	***-**-7727 - CUMMINGS, ACCOUNT #: 08822106038	OPPENHEIMER INT'L BOND CLASS C BUY 0 Units @0.0000	0.00	3.49	0.00	3.49	90.0	3.14
12/31/2017	***-**-1210 - JOHNSON, ACCOUNT #: 08821835504	OPPENHEIMER INT'L BOND CLASS C BUY 0 Units @0.0000	0.00	0.71	0.00	0.71	90.0	0.64
12/31/2017	***-**-5142 - WASHINGTON ACCOUNT #: 08811188429	OPPENHEIMER INTL BOND CLASS B BUY 0 Units @0.0000	0.00	1.59	0.00	1.59	90.0	1.43
12/31/2017	***-**-5920 - SCHNECKENBURGER, ACCOUNT #: 07310151305	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	7.70	0.00	7.70	90.0	6.93
12/31/2017	***-**-5920 - SCHNECKENBURGER, ACCOUNT #: 08470452232	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	5.83	0.00	5.83	90.0	5.25
12/31/2017	***-**-0724 - DEMPSEY, ACCOUNT #: 08477254973	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	22.35	0.00	22.35	90.0	20.12
12/31/2017	***-**-6159 - BOSSELER, ACCOUNT #: 02270812394	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	1.64	0.00	1.64	90.0	1.48
12/31/2017	***-**-8934 - BUCKWELL, JAMES ACCOUNT #: 02271216622	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	3.11	0.00	3.11	90.0	2.80
12/31/2017	***-**-8156 - SALAMONE, FLOY ACCOUNT #: 07970777744	OPPENHEIMER ROCHEST NATIONAL MUNI C BUY 0 Units @0.0000	0.00	11.36	0.00	11.36	90.0	10.22
12/31/2017	***-**-8934 - BUCKWELL, JAMES ACCOUNT #: 07970445643	OPPENHEIMER ROCHEST NATIONAL MUNI C BUY 0 Units @0.0000	0.00	1.60	0.00	1.60	90.0	1.44
12/31/2017	***-**-9137 - RAUTENSTAUCH, ACCOUNT #: 02510515240	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.97	0.00	1.97	90.0	1.77
12/31/2017	***-**-9137 - RAUTENSTAUCH, ACCOUNT #: 02571681856	QUEST BALANCED A BUY 0 Units @0.0000	0.00	0.99	0.00	0.99	90.0	0.89
12/31/2017	***-**-9061 - BROWN, WINSTON ACCOUNT #: 02365535387	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	0.82	0.00	0.82	90.0	0.74
12/31/2017	***-**-9061 - BROWN, WINSTON ACCOUNT #: 02373986873	QUEST OPPORTUNITY VALUE FUND B BUY 0 Units @0.0000	0.00	0.23	0.00	0.23	90.0	0.21
12/31/2017	***-**-6159 - BOSSELER, ACCOUNT #: 05920342353	REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	4.41	0.00	4.41	90.0	3.97
12/31/2017	***-**-6657 - THOMAS, ALEXIS ACCOUNT #: 02254036945	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	2.46	0.00	2.46	90.0	2.21



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u>								
12/31/2017	***-**-5733 - WHITTON, JEFFREY ROCH. LIMITED TERM NEW YORK MUNICI		0.00	17.12	0.00	17.12	90.0	15.41
	ACCOUNT #: 03570546095	BUY 0 Units @0.0000						
12/31/2017	***-**-1538 - TUCCI,	ROCHESTER FUND MUNICIPALS A	0.00	43.57	0.00	43.57	90.0	39.21
	ACCOUNT #: 03000071330	BUY 0 Units @0.0000						
12/31/2017	***-**-1659 - BOUQUIN,	ROCHESTER FUND MUNICIPALS A	0.00	14.74	0.00	14.74	90.0	13.27
	ACCOUNT #: 03651103025	BUY 0 Units @0.0000						
12/31/2017	***-**-27IN - PANTALEO, MARIE	ROCHESTER FUND MUNICIPALS A	0.00	9.26	0.00	9.26	90.0	8.33
	ACCOUNT #: 03000137080	BUY 0 Units @0.0000						
12/31/2017	***-**-925P - CAMPO, KATHLEEN	ROCHESTER FUND MUNICIPALS A	0.00	0.63	0.00	0.63	90.0	0.57
	ACCOUNT #: 03652205775	BUY 0 Units @0.0000						
12/31/2017	***-**-41IN - LOVELL, FLORENCE	ROCHESTER FUND MUNICIPALS A	0.00	9.23	0.00	9.23	90.0	8.31
	ACCOUNT #: 00028593000	BUY 0 Units @0.0000						
12/31/2017	***-**-976J - YOUNG, RICHARD &	ROCHESTER FUND MUNICIPALS A	0.00	9.67	0.00	9.67	90.0	8.70
	ACCOUNT #: 03651892671	BUY 0 Units @0.0000						
12/31/2017	***-**-1538 - TUCCI,	ROCHESTER FUND MUNICIPALS C	0.00	228.85	0.00	228.85	90.0	205.97
	ACCOUNT #: 03670274648	BUY 0 Units @0.0000						
12/31/2017	***-**-5733 - WHITTON, JEFFREY	ROCHESTER FUND MUNICIPALS C	0.00	29.15	0.00	29.15	90.0	26.24
	ACCOUNT #: 03670284284	BUY 0 Units @0.0000						
12/31/2017	***-**-8156 - SALAMONE, FLOY	ROCHESTER FUND MUNICIPALS C	0.00	7.24	0.00	7.24	90.0	6.52
	ACCOUNT #: 03670454993	BUY 0 Units @0.0000						
12/31/2017	***-**-3942 - HIBBERT, LEONA	ROCHESTER FUND MUNICIPALS C	0.00	5.75	0.00	5.75	90.0	5.18
	ACCOUNT #: 03670462660	BUY 0 Units @0.0000						
12/31/2017	***-**-9061 - BROWN, WINSTON	ROCHESTER FUND MUNICIPALS C	0.00	2.04	0.00	2.04	90.0	1.84
	ACCOUNT #: 03670698467	BUY 0 Units @0.0000						
12/31/2017	***-**-5393 - CAVALLARO, CAROL	ROCHESTER FUND MUNICIPALS C	0.00	22.47	0.00	22.47	90.0	20.22
	ACCOUNT #: 03670718289	BUY 0 Units @0.0000						
12/31/2017	***-**-7727 - CUMMINGS,	ROCHESTER FUND MUNICIPALS C	0.00	39.24	0.00	39.24	90.0	35.32
	ACCOUNT #: 03670723437	BUY 0 Units @0.0000						
12/31/2017	***-**-0588 - RUSSELL, JUDY	ROCHESTER FUND MUNICIPALS C	0.00	26.30	0.00	26.30	90.0	23.67
	ACCOUNT #: 03670732919	BUY 0 Units @0.0000						
12/31/2017	***-**-7682 - SMITH, BRIAN	ROCHESTER FUND MUNICIPALS C	0.00	20.21	0.00	20.21	90.0	18.19
	ACCOUNT #: 03670736384	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/31/2017	***-**-5015 - BECKER, KAREN ACCOUNT #: 03670736406	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	25.27	0.00	25.27	90.0	22.74
12/31/2017	***-**-0656 - SALAMONE, MARY ACCOUNT #: 03670246686	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	21.31	0.00	21.31	90.0	19.18
12/31/2017	***-**-5093 - LAVRINCIK, ANN ACCOUNT #: 03670483120	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	13.84	0.00	13.84	90.0	12.46
12/31/2017	***-**-2989 - THOMPSON, ACCOUNT #: 03670736648	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	2.70	0.00	2.70	90.0	2.43
12/31/2017	***-**-6159 - BOSSELER, ACCOUNT #: 03670737638	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	29.57	0.00	29.57	90.0	26.61
12/31/2017	***-**-6657 - THOMAS, ALEXIS ACCOUNT #: 03670742027	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	90.0	0.00
12/31/2017	***-**-6159 - BOSSELER, ACCOUNT #: 06380013849	ROCHESTER INTERMEDIATE TERM MUNICI BUY 0 Units @0.0000	0.00	7.48	0.00	7.48	90.0	6.73
12/31/2017	***-**-5733 - WHITTON, JEFFREY ACCOUNT #: 02931316535	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	17.39	0.00	17.39	90.0	15.65
12/31/2017	***-**-0588 - RUSSELL, JUDY ACCOUNT #: 02931999074	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	26.06	0.00	26.06	90.0	23.45
12/31/2017	***-**-0577 - CUOZZO, FRANK ACCOUNT #: 02932011790	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	15.68	0.00	15.68	90.0	14.11
12/31/2017	***-**-2636 - COLES, DEBORAH ACCOUNT #: 02932103013	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	82.23	0.00	82.23	90.0	74.01
12/31/2017	***-**-3942 - HIBBERT, LEONA ACCOUNT #: 02932103222	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	13.86	0.00	13.86	90.0	12.47
12/31/2017	***-**-9281 - RUSSELL, AMY ACCOUNT #: 02932131646	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	8.15	0.00	8.15	90.0	7.34
12/31/2017	***-**-659I - KYTE, ALBERT ACCOUNT #: 00100020604	SENIOR FLOATING RATE FUND-CL C BUY 0 Units @0.0000	0.00	12.27	0.00	12.27	90.0	11.04
12/31/2017	***-**-86CL - BOUQUIN, CLIENTS ACCOUNT #: 00100020615	SENIOR FLOATING RATE FUND-CL C BUY 0 Units @0.0000	0.00	10.80	0.00	10.80	90.0	9.72
12/31/2017	***-**-5142 - WASHINGTON ACCOUNT #: 07211008854	SMALL- & MID-CAP GROWTH FUND A BUY 0 Units @0.0000	0.00	0.28	0.00	0.28	90.0	0.25



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u>								
12/31/2017	***-**-61IN - UEBELACKER, ACCOUNT #: 07210418000	SMALL- & MID-CAP GROWTH FUND A BUY 0 Units @0.0000	0.00	5.86	0.00	5.86	90.0	5.27
12/31/2017	***-**-5142 - WASHINGTON ACCOUNT #: 02211116434	U.S. GOVERNMENT TRUST B BUY 0 Units @0.0000	0.00	0.88	0.00	0.88	90.0	0.79
12/31/2017	***-**-6223 - PRESLEY, MICHAEL ACCOUNT #: 02220583869	U.S. GOVERNMENT TRUST C BUY 0 Units @0.0000	0.00	8.22	0.00	8.22	90.0	7.40
12/31/2017	***-**-6536 - FOLEY, NELSON ACCOUNT #: 02220604846	U.S. GOVERNMENT TRUST C BUY 0 Units @0.0000	0.00	10.87	0.00	10.87	90.0	9.78
12/31/2017	***-**-0588 - RUSSELL, JUDY ACCOUNT #: 02220639023	U.S. GOVERNMENT TRUST C BUY 0 Units @0.0000	0.00	1.29	0.00	1.29	90.0	1.16
12/31/2017	***-**-6159 - BOSSELER, ACCOUNT #: 02220639463	U.S. GOVERNMENT TRUST C BUY 0 Units @0.0000	0.00	5.11	0.00	5.11	90.0	4.60
12/31/2017	***-**-2989 - THOMPSON, ACCOUNT #: 02220563222	U.S. GOVERNMENT TRUST C BUY 0 Units @0.0000	0.00	14.93	0.00	14.93	90.0	13.44
12/31/2017	***-**-5142 - WASHINGTON ACCOUNT #: 03760701316	VALUE B BUY 0 Units @0.0000	0.00	0.32	0.00	0.32	90.0	0.29
12/31/2017	***-**-9281 - RUSSELL, AMY ACCOUNT #: 03770519816	VALUE FUND C BUY 0 Units @0.0000	0.00	10.99	0.00	10.99	90.0	9.89
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,085.16	\$0.00	\$1,085.16		\$976.69
*** BROKER TRANSACTIONS TOTAL ***			\$50.00	\$1,103.10	\$0.00	\$1,103.10		\$992.84

VERRIDE TRANSACTIONS

BROKER: RICHARD BIRNS

12/31/2017	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 03600811899	AMT-FREE NEW YORK MUNICIPALS A BUY 0 Units @0.0000	0.00	8.89	0.00	8.89	5.0	0.44
01/02/2018	***-**-48IN - BABCOCK, ROBERT ACCOUNT #: 000000006719583	FRANKLIN INCOME FUND CLASS C BUY 120 Units @2.4200	291.46	2.91	0.00	2.91	5.0	0.15
12/31/2017	***-**-7325 - BIRNS, EDWIN ACCOUNT #: 03653529251	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	69.29	0.00	69.29	5.0	3.46
* RICHARD BIRNS SUBTOTAL *			\$291.46	\$81.09	\$0.00	\$81.09		\$4.05



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: BARRY BRESIN</u>								
12/31/2017	***-**-459I - MONSON, DAVID	CAPITAL APPRECIATION A	0.00	1.27	0.00	1.27	10.0	0.13
	ACCOUNT #: 03209641225	BUY 0 Units @0.0000						
12/31/2017	***-**-595P - MONSON, DAVID	CAPITAL APPRECIATION B	0.00	0.68	0.00	0.68	10.0	0.07
	ACCOUNT #: 03214417611	BUY 0 Units @0.0000						
12/31/2017	***-**-459I - MONSON, DAVID	DISCOVERY FUND N	0.00	8.22	0.00	8.22	10.0	0.82
	ACCOUNT #: 05030064900	BUY 0 Units @0.0000						
12/31/2017	***-**-13IN - CLEMENT, SANDRA	EQUITY INCOME FUND, INC. A	0.00	25.79	0.00	25.79	10.0	2.58
	ACCOUNT #: 08352726779	BUY 0 Units @0.0000						
12/31/2017	***-**-595P - MONSON, DAVID	EQUITY INCOME FUND, INC. A	0.00	7.96	0.00	7.96	10.0	0.80
	ACCOUNT #: 08353042325	BUY 0 Units @0.0000						
12/31/2017	***-**-513I - CLEMENT, SANDRA	EQUITY INCOME FUND, INC. B	0.00	3.63	0.00	3.63	10.0	0.36
	ACCOUNT #: 08360372141	BUY 0 Units @0.0000						
12/31/2017	***-**-13IN - CLEMENT, SANDRA	GLOBAL OPPORTUNITIES A	0.00	33.04	0.00	33.04	10.0	3.30
	ACCOUNT #: 02156718118	BUY 0 Units @0.0000						
12/31/2017	***-**-459I - MONSON, DAVID	GLOBAL OPPORTUNITIES A	0.00	7.24	0.00	7.24	10.0	0.72
	ACCOUNT #: 02157358560	BUY 0 Units @0.0000						
12/31/2017	***-**-513I - CLEMENT, SANDRA	GLOBAL OPPORTUNITIES B	0.00	5.11	0.00	5.11	10.0	0.51
	ACCOUNT #: 02163199603	BUY 0 Units @0.0000						
12/31/2017	***-**-595P - MONSON, DAVID	GLOBAL OPPORTUNITIES B	0.00	1.37	0.00	1.37	10.0	0.14
	ACCOUNT #: 02163269486	BUY 0 Units @0.0000						
12/31/2017	***-**-459I - MONSON, DAVID	INTERNATIONAL BOND A	0.00	2.03	0.00	2.03	10.0	0.20
	ACCOUNT #: 08810284076	BUY 0 Units @0.0000						
12/31/2017	***-**-459I - MONSON, DAVID	INTERNATIONAL BOND FUND N	0.00	1.47	0.00	1.47	10.0	0.15
	ACCOUNT #: 08790188760	BUY 0 Units @0.0000						
12/31/2017	***-**-459I - MONSON, DAVID	INTERNATIONAL GROWTH FUND A	0.00	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 08259643414	BUY 0 Units @0.0000						
12/31/2017	***-**-459I - MONSON, DAVID	INTERNATIONAL SMALL COMPANY FUND N	0.00	14.30	0.00	14.30	10.0	1.43
	ACCOUNT #: 08180086526	BUY 0 Units @0.0000						
12/31/2017	***-**-459I - MONSON, DAVID	MAIN STREET FUND N	0.00	4.63	0.00	4.63	10.0	0.46
	ACCOUNT #: 07030194524	BUY 0 Units @0.0000						
12/31/2017	***-**-459I - MONSON, DAVID	MAIN STREET SMALL CAP FUND N	0.00	9.46	0.00	9.46	10.0	0.95
	ACCOUNT #: 08510229768	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: BARRY BRESIN (continued) </u>								
01/15/2018	***-**-6421 - BRESIN, ROBIN	NATIONWIDE BOA LIFE PLAN SERIES	0.00	9.22	0.00	9.22	10.0	0.92
	ACCOUNT #: N100026420	BUY 1 Units @0.0000						
12/31/2017	***-**-13IN - CLEMENT, SANDRA	OPP PORT SERIES: ACTIVE ALLOC A	0.00	22.41	0.00	22.41	10.0	2.24
	ACCOUNT #: 05502613248	BUY 0 Units @0.0000						
12/31/2017	***-**-13IN - CLEMENT, SANDRA	OPP PORT SERIES: MOD INV FD A	0.00	20.40	0.00	20.40	10.0	2.04
	ACCOUNT #: 05451268630	BUY 0 Units @0.0000						
12/31/2017	***-**-513I - CLEMENT, SANDRA	OPP PORT SERIES: MOD INV FD B	0.00	3.17	0.00	3.17	10.0	0.32
	ACCOUNT #: 05460141779	BUY 0 Units @0.0000						
12/31/2017	***-**-84JT - BECKER, SHERMAN	OPP ROCHSTR SH TRM MUNI FND A	0.00	62.70	0.00	62.70	10.0	6.27
	ACCOUNT #: 06210047762	BUY 0 Units @0.0000						
12/31/2017	***-**-595P - MONSON, DAVID	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.55	0.00	2.55	10.0	0.26
	ACCOUNT #: 07860596762	BUY 0 Units @0.0000						
12/31/2017	***-**-595P - MONSON, DAVID	OPPENHEIMER DISCOVERY CLASS A	0.00	4.08	0.00	4.08	10.0	0.41
	ACCOUNT #: 05005888982	BUY 0 Units @0.0000						
12/31/2017	***-**-459I - MONSON, DAVID	OPPENHEIMER GOLD & SPC MINERALS FUN	0.00	3.87	0.00	3.87	10.0	0.39
	ACCOUNT #: 04130157542	BUY 0 Units @0.0000						
12/31/2017	***-**-595P - MONSON, DAVID	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	1.67	0.00	1.67	10.0	0.17
	ACCOUNT #: 02306892999	BUY 0 Units @0.0000						
12/31/2017	***-**-595P - MONSON, DAVID	OPPENHEIMER STRATEGIC INCOME FUND C	0.00	0.42	0.00	0.42	10.0	0.04
	ACCOUNT #: 01911535798	BUY 0 Units @0.0000						
12/31/2017	***-**-459I - MONSON, DAVID	OPPENHEIMER U.S. GOVT TR CLASS A	0.00	1.12	0.00	1.12	10.0	0.11
	ACCOUNT #: 02203614732	BUY 0 Units @0.0000						
12/31/2017	***-**-196I - BRESIN, JANET	PORT SERIES: EQUITY INV FD A	0.00	31.62	0.00	31.62	10.0	3.16
	ACCOUNT #: 05550336127	BUY 0 Units @0.0000						
12/31/2017	***-**-513I - CLEMENT, SANDRA	PORTFOLIO SERIES: ACTIVE ALLOCATION	0.00	3.45	0.00	3.45	10.0	0.35
	ACCOUNT #: 05510782067	BUY 0 Units @0.0000						
12/31/2017	***-**-459I - MONSON, DAVID	QUEST BALANCED A	0.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 02576958699	BUY 0 Units @0.0000						
12/31/2017	***-**-595P - MONSON, DAVID	REAL ESTATE FUND A	0.00	0.57	0.00	0.57	10.0	0.06
	ACCOUNT #: 05901279091	BUY 0 Units @0.0000						
12/31/2017	***-**-459I - MONSON, DAVID	REAL ESTATE FUND B	0.00	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 05910231187	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: BARRY BRESIN (continued)</u>								
12/31/2017	***-**-459I - MONSON, DAVID	REAL ESTATE FUND N	0.00	2.62	0.00	2.62	10.0	0.26
	ACCOUNT #: 05930110968	BUY 0 Units @0.0000						
12/31/2017	***-**-13IN - CLEMENT, SANDRA	ROCHESTER FUND MUNICIPALS A	0.00	3.86	0.00	3.86	10.0	0.39
	ACCOUNT #: 03652981220	BUY 0 Units @0.0000						
12/31/2017	***-**-196J - TEN WROS NOT TC,	ROCHESTER FUND MUNICIPALS A	0.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 03653211373	BUY 0 Units @0.0000						
12/31/2017	***-**-7195 - SHARON M	ROCHESTER FUND MUNICIPALS A	0.00	8.75	0.00	8.75	10.0	0.88
	ACCOUNT #: 03653214959	BUY 0 Units @0.0000						
12/31/2017	***-**-7197 - LYNN M ABRAHAM,	ROCHESTER FUND MUNICIPALS A	0.00	8.75	0.00	8.75	10.0	0.88
	ACCOUNT #: 03653225497	BUY 0 Units @0.0000						
12/31/2017	***-**-459I - MONSON, DAVID	U.S. GOVERNMENT TRUST B	0.00	0.90	0.00	0.90	10.0	0.09
	ACCOUNT #: 02211138830	BUY 0 Units @0.0000						
* BARRY BRESIN SUBTOTAL *			\$0.00	\$321.10	\$0.00	\$321.10		\$32.15
<u>BROKER: WILLIAM ROBERTS</u>								
12/31/2017	***-**-11IN - ROBERTS NEEDS	EQUITY INCOME FUND, INC. A	0.00	104.20	0.00	104.20	5.0	5.21
	ACCOUNT #: 02401512863	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - ROBERTS NEEDS	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	224.05	0.00	224.05	5.0	11.20
	ACCOUNT #: 03551129898	BUY 0 Units @0.0000						
12/31/2017	***-**-9904 - PRZYLUCHE,	ROCHESTER FUND MUNICIPALS A	0.00	209.40	0.00	209.40	5.0	10.47
	ACCOUNT #: 00011753000	BUY 0 Units @0.0000						
12/31/2017	***-**-07IN - MULLER,	ROCHESTER FUND MUNICIPALS A	0.00	158.92	0.00	158.92	5.0	7.95
	ACCOUNT #: 03650014091	BUY 0 Units @0.0000						
12/31/2017	***-**-74IN - KUBIAK, HENRY J	ROCHESTER FUND MUNICIPALS A	0.00	2.83	0.00	2.83	5.0	0.14
	ACCOUNT #: 03650163174	BUY 0 Units @0.0000						
12/31/2017	***-**-42IN - RUES, JAMES	ROCHESTER FUND MUNICIPALS A	0.00	93.09	0.00	93.09	5.0	4.65
	ACCOUNT #: 03651611720	BUY 0 Units @0.0000						
* WILLIAM ROBERTS SUBTOTAL *			\$0.00	\$792.49	\$0.00	\$792.49		\$39.62



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA</u>								
01/02/2018	***-**-539I - JALLOH, ABDULAI	AMCAP FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00084394270	BUY 2 Units @28.2200						
01/02/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	19.75	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 04000409714	BUY 1 Units @28.2200						
01/02/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	600.00	6.00	0.00	6.00	10.0	0.60
	ACCOUNT #: 04000409714	BUY 21 Units @28.2200						
01/02/2018	***-**-4115 - ROWE, BRITNEY	AMCAP FUND-C	35.47	0.35	0.00	0.35	10.0	0.04
	ACCOUNT #: 04000409792	BUY 1 Units @28.2200						
01/02/2018	***-**-5899 - ARBORE, CARL	AMERICAN BALANCED FUND-529C	200.00	2.00	0.00	2.00	10.0	0.20
	ACCOUNT #: 00084503660	BUY 7 Units @27.2000						
01/02/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198121	BUY 2 Units @27.2000						
01/02/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198137	BUY 2 Units @27.2000						
01/02/2018	***-**-975P - COTTONE, MARIA	AMERICAN BALANCED FUND-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00086785798	BUY 4 Units @28.5300						
01/04/2018	***-**-05IN - RANDALL, ADAM	AMERICAN BALANCED FUND-A	100.00	4.25	0.00	4.25	10.0	0.43
	ACCOUNT #: 00085941585	BUY 3 Units @28.8500						
01/02/2018	***-**-984I - DELUCA, SHARI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00064868315	BUY 2 Units @27.0700						
01/02/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089045192	BUY 1 Units @27.0700						
01/02/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	26.35	0.26	0.00	0.26	10.0	0.03
	ACCOUNT #: 00089583477	BUY 1 Units @27.0700						
01/02/2018	***-**-255U - LIPPA, HARITINI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000385806	BUY 2 Units @27.0700						
01/02/2018	***-**-6781 - KARNS, DANIELLE	AMERICAN MUTUAL FUND-C	31.17	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 04000409710	BUY 1 Units @40.4900						
12/31/2017	***-**-765P - CRISPINO/, DAVID	AMT-FREE NEW YORK MUNICIPALS A	0.00	25.32	0.00	25.32	10.0	2.53
	ACCOUNT #: 03601040820	BUY 0 Units @0.0000						
12/31/2017	***-**-765P - CRISPINO/, DAVID	AMT-FREE NEW YORK MUNICIPALS A	0.00	382.79	0.00	382.79	10.0	38.28
	ACCOUNT #: 03601040820	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
12/31/2017	***-**-225P - LILL, DONNA	CAPITAL APPRECIATION A	0.00	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 02704578761	BUY 0 Units @0.0000						
12/31/2017	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION A	0.00	20.51	0.00	20.51	10.0	2.05
	ACCOUNT #: 02705352545	BUY 0 Units @0.0000						
12/31/2017	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION A	0.00	13.69	0.00	13.69	10.0	1.37
	ACCOUNT #: 02705352556	BUY 0 Units @0.0000						
12/31/2017	***-**-3502 - CHUDYK, LUCIANA	CAPITAL APPRECIATION A	0.00	10.77	0.00	10.77	10.0	1.08
	ACCOUNT #: 02705763802	BUY 0 Units @0.0000						
12/31/2017	***-**-1346 - WEEKS S R	CAPITAL APPRECIATION A	0.00	5.94	0.00	5.94	10.0	0.59
	ACCOUNT #: 02705801521	BUY 0 Units @0.0000						
12/31/2017	***-**-225P - LILL, DONNA	CAPITAL APPRECIATION A	0.00	42.04	0.00	42.04	10.0	4.20
	ACCOUNT #: 03201808213	BUY 0 Units @0.0000						
12/31/2017	***-**-502I - CHUDYK, LUCIANA	CAPITAL APPRECIATION A	0.00	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 03205462138	BUY 0 Units @0.0000						
12/31/2017	***-**-8379 - ZLOTNICK, MAR	CAPITAL APPRECIATION A	0.00	17.26	0.00	17.26	10.0	1.73
	ACCOUNT #: 03207391131	BUY 0 Units @0.0000						
12/31/2017	***-**-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						
12/31/2017	***-**-772I - KERHAERT,	CAPITAL APPRECIATION A	0.00	10.28	0.00	10.28	10.0	1.03
	ACCOUNT #: 03208526705	BUY 0 Units @0.0000						
12/31/2017	***-**-206I - SANDERS, DAVID	CAPITAL APPRECIATION A	0.00	6.84	0.00	6.84	10.0	0.68
	ACCOUNT #: 03208526826	BUY 0 Units @0.0000						
12/31/2017	***-**-919I - WEST, HOLLY	CAPITAL APPRECIATION A	0.00	7.36	0.00	7.36	10.0	0.74
	ACCOUNT #: 03210593572	BUY 0 Units @0.0000						
12/31/2017	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION A	0.00	6.07	0.00	6.07	10.0	0.61
	ACCOUNT #: 03210769528	BUY 0 Units @0.0000						
12/31/2017	***-**-7102 - FIGUEROA, CAM	CAPITAL APPRECIATION A	0.00	12.12	0.00	12.12	10.0	1.21
	ACCOUNT #: 03210829423	BUY 0 Units @0.0000						
12/31/2017	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION A	0.00	8.00	0.00	8.00	10.0	0.80
	ACCOUNT #: 03211530607	BUY 0 Units @0.0000						
12/31/2017	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION B	0.00	0.98	0.00	0.98	10.0	0.10
	ACCOUNT #: 02710316008	BUY 0 Units @0.0000						



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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>								
12/31/2017	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION B	0.00	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 02710316019	BUY 0 Units @0.0000						
12/31/2017	***-**-3502 - CHUDYK, LUCIANA	CAPITAL APPRECIATION B	0.00	0.75	0.00	0.75	10.0	0.08
	ACCOUNT #: 02710694155	BUY 0 Units @0.0000						
12/31/2017	***-**-1346 - WEEKS S R	CAPITAL APPRECIATION B	0.00	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 02712169299	BUY 0 Units @0.0000						
12/31/2017	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION B	0.00	1.33	0.00	1.33	10.0	0.13
	ACCOUNT #: 03210042801	BUY 0 Units @0.0000						
12/31/2017	***-**-225P - LILL, DONNA	CAPITAL APPRECIATION B	0.00	2.69	0.00	2.69	10.0	0.27
	ACCOUNT #: 03212039323	BUY 0 Units @0.0000						
12/31/2017	***-**-195P - WEST, HOLLY	CAPITAL APPRECIATION B	0.00	0.73	0.00	0.73	10.0	0.07
	ACCOUNT #: 03215115066	BUY 0 Units @0.0000						
12/31/2017	***-**-772I - KERHAERT,	CAPITAL APPRECIATION B	0.00	0.26	0.00	0.26	10.0	0.03
	ACCOUNT #: 03215557673	BUY 0 Units @0.0000						
12/31/2017	***-**-206I - SANDERS, DAVID	CAPITAL APPRECIATION B	0.00	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 03215557739	BUY 0 Units @0.0000						
12/31/2017	***-**-293I - LIPPA, PAUL	CAPITAL APPRECIATION C	0.00	49.88	0.00	49.88	10.0	4.99
	ACCOUNT #: 03220151525	BUY 0 Units @0.0000						
12/31/2017	***-**-69UG - ATWOOD, CULLEN K	CAPITAL APPRECIATION C	0.00	7.65	0.00	7.65	10.0	0.77
	ACCOUNT #: 03220369127	BUY 0 Units @0.0000						
12/31/2017	***-**-97UG - ATWOOD, AUSTIN M	CAPITAL APPRECIATION C	0.00	7.65	0.00	7.65	10.0	0.77
	ACCOUNT #: 03220369138	BUY 0 Units @0.0000						
12/31/2017	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	0.00	23.05	0.00	23.05	10.0	2.31
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
12/31/2017	***-**-37IR - COTTONE, CHARLES	CAPITAL APPRECIATION C	0.00	40.14	0.00	40.14	10.0	4.01
	ACCOUNT #: 03220434863	BUY 0 Units @0.0000						
12/31/2017	***-**-157I - TROINA, ANTHONY	CAPITAL APPRECIATION C	0.00	150.59	0.00	150.59	10.0	15.06
	ACCOUNT #: 03221853368	BUY 0 Units @0.0000						
12/31/2017	***-**-772I - KERHAERT,	CAPITAL APPRECIATION C	0.00	10.54	0.00	10.54	10.0	1.05
	ACCOUNT #: 03222178044	BUY 0 Units @0.0000						
12/31/2017	***-**-9206 - SANDER, DAVID	CAPITAL APPRECIATION C	0.00	11.15	0.00	11.15	10.0	1.12
	ACCOUNT #: 03222178055	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
12/31/2017	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	0.00	20.68	0.00	20.68	10.0	2.07
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						
12/31/2017	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	0.00	12.58	0.00	12.58	10.0	1.26
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
12/31/2017	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION C	0.00	9.94	0.00	9.94	10.0	0.99
	ACCOUNT #: 03222325444	BUY 0 Units @0.0000						
12/31/2017	***-**-1346 - WEEKS S R	CAPITAL APPRECIATION C	0.00	24.11	0.00	24.11	10.0	2.41
	ACCOUNT #: 03222329184	BUY 0 Units @0.0000						
12/31/2017	***-**-6056 - PRICE, DEBORAH	CAPITAL INCOME A	0.00	5.29	0.00	5.29	10.0	0.53
	ACCOUNT #: 03007578725	BUY 0 Units @0.0000						
01/02/2018	***-**-975P - COTTONE, MARIA	CAPITAL INCOME BUILDER-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00086785798	BUY 2 Units @66.0200						
01/02/2018	***-**-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 @51.1400						
01/02/2018	***-**-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 @51.1400						
01/03/2018	***-**-625P - CENTOLA, ANITA	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00074256566	BUY 1 Units @51.3900						
01/04/2018	***-**-05IN - RANDALL, ADAM	CAPITAL WORLD GROWTH AND INCOME FUN	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00085941585	BUY 2 Units @51.5800						
12/31/2017	***-**-1346 - WEEKS S R	DISCOVERY FUND B	0.00	0.13	0.00	0.13	10.0	0.01
	ACCOUNT #: 05011664641	BUY 0 Units @0.0000						
12/31/2017	***-**-432I - BORDEN, ROBERT	DISCOVERY FUND C	0.00	3.56	0.00	3.56	10.0	0.36
	ACCOUNT #: 05020305173	BUY 0 Units @0.0000						
12/31/2017	***-**-110I - SAENZ, KATIA	DISCOVERY FUND C	0.00	19.71	0.00	19.71	10.0	1.97
	ACCOUNT #: 07470796554	BUY 0 Units @0.0000						
12/31/2017	***-**-01UG - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	6.86	0.00	6.86	10.0	0.69
	ACCOUNT #: 00401973590	BUY 0 Units @0.0000						
12/31/2017	***-**-88UG - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	6.86	0.00	6.86	10.0	0.69
	ACCOUNT #: 00401973660	BUY 0 Units @0.0000						
12/31/2017	***-**-450J - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	8.16	0.00	8.16	10.0	0.82
	ACCOUNT #: 00402352440	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
12/31/2017	***-**-264I - SIDOTI, LAURA	EQUITY INCOME FUND, INC. A	0.00	4.55	0.00	4.55	10.0	0.46
	ACCOUNT #: 02400798182	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - ROBERTS NEEDS	EQUITY INCOME FUND, INC. A	0.00	26.05	0.00	26.05	10.0	2.61
	ACCOUNT #: 02401512863	BUY 0 Units @0.0000						
12/31/2017	***-**-509I - ARBORE,	EQUITY INCOME FUND, INC. A	0.00	26.47	0.00	26.47	10.0	2.65
	ACCOUNT #: 02401570261	BUY 0 Units @0.0000						
12/31/2017	***-**-919I - WEST, HOLLY	EQUITY INCOME FUND, INC. A	0.00	6.54	0.00	6.54	10.0	0.65
	ACCOUNT #: 02401588994	BUY 0 Units @0.0000						
12/31/2017	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. A	0.00	10.91	0.00	10.91	10.0	1.09
	ACCOUNT #: 08352628747	BUY 0 Units @0.0000						
12/31/2017	***-**-805P - CONNORS, DOROTHY	EQUITY INCOME FUND, INC. A	0.00	2.20	0.00	2.20	10.0	0.22
	ACCOUNT #: 08353199856	BUY 0 Units @0.0000						
12/31/2017	***-**-85TR - CONNORS,	EQUITY INCOME FUND, INC. A	0.00	2.20	0.00	2.20	10.0	0.22
	ACCOUNT #: 08353199878	BUY 0 Units @0.0000						
12/31/2017	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. A	0.00	0.79	0.00	0.79	10.0	0.08
	ACCOUNT #: 08353215333	BUY 0 Units @0.0000						
12/31/2017	***-**-195P - WEST, HOLLY	EQUITY INCOME FUND, INC. B	0.00	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 02410301037	BUY 0 Units @0.0000						
12/31/2017	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. B	0.00	0.23	0.00	0.23	10.0	0.02
	ACCOUNT #: 08360575982	BUY 0 Units @0.0000						
12/31/2017	***-**-3432 - BORDEN, ROBERT	EQUITY INCOME FUND, INC. C	0.00	1.61	0.00	1.61	10.0	0.16
	ACCOUNT #: 08370550550	BUY 0 Units @0.0000						
12/31/2017	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. C	0.00	12.00	0.00	12.00	10.0	1.20
	ACCOUNT #: 08370596090	BUY 0 Units @0.0000						
12/31/2017	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. C	0.00	11.31	0.00	11.31	10.0	1.13
	ACCOUNT #: 08370627385	BUY 0 Units @0.0000						
01/02/2018	***-**-617I - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	66.25	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 04000409801	BUY 1 Units @62.4900						
01/02/2018	***-**-617I - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	600.00	6.00	0.00	6.00	10.0	0.60
	ACCOUNT #: 04000409801	BUY 10 Units @62.4900						
12/31/2017	***-**-502I - CHUDYK, LUCIANA	GLOBAL FUND A	0.00	8.35	0.00	8.35	10.0	0.84
	ACCOUNT #: 03300288917	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
12/31/2017	***-**-8379 - ZLOTNICK, MAR	GLOBAL FUND A	0.00	21.97	0.00	21.97	10.0	2.20
	ACCOUNT #: 03302795025	BUY 0 Units @0.0000						
12/31/2017	***-**-8776 - LEVINE, TODD	GLOBAL FUND A	0.00	50.03	0.00	50.03	10.0	5.00
	ACCOUNT #: 03302846910	BUY 0 Units @0.0000						
12/31/2017	***-**-225P - LILL, DONNA	GLOBAL FUND A	0.00	17.13	0.00	17.13	10.0	1.71
	ACCOUNT #: 03305836226	BUY 0 Units @0.0000						
12/31/2017	***-**-7102 - FIGUEROA, CAM	GLOBAL FUND A	0.00	15.06	0.00	15.06	10.0	1.51
	ACCOUNT #: 03306670149	BUY 0 Units @0.0000						
12/31/2017	***-**-264I - SIDOTI, LAURA	GLOBAL FUND A	0.00	4.05	0.00	4.05	10.0	0.41
	ACCOUNT #: 03309004237	BUY 0 Units @0.0000						
12/31/2017	***-**-6603 - JOHNSON, TERRY	GLOBAL FUND A	0.00	35.73	0.00	35.73	10.0	3.57
	ACCOUNT #: 03309133960	BUY 0 Units @0.0000						
12/31/2017	***-**-6603 - JOHNSON, TERRY	GLOBAL FUND B	0.00	0.90	0.00	0.90	10.0	0.09
	ACCOUNT #: 03311085766	BUY 0 Units @0.0000						
12/31/2017	***-**-225P - LILL, DONNA	GLOBAL FUND B	0.00	0.83	0.00	0.83	10.0	0.08
	ACCOUNT #: 03313024164	BUY 0 Units @0.0000						
12/31/2017	***-**-5378 - AGUILA, NANCY	GLOBAL OPPORTUNITIES A	0.00	96.58	0.00	96.58	10.0	9.66
	ACCOUNT #: 02152697871	BUY 0 Units @0.0000						
12/31/2017	***-**-206I - SANDERS, DAVID	GLOBAL OPPORTUNITIES A	0.00	7.46	0.00	7.46	10.0	0.75
	ACCOUNT #: 02155093319	BUY 0 Units @0.0000						
12/31/2017	***-**-5378 - AGUILA, NANCY	GLOBAL OPPORTUNITIES B	0.00	0.55	0.00	0.55	10.0	0.06
	ACCOUNT #: 02160066528	BUY 0 Units @0.0000						
12/31/2017	***-**-206I - SANDERS, DAVID	GLOBAL OPPORTUNITIES B	0.00	0.39	0.00	0.39	10.0	0.04
	ACCOUNT #: 02163095642	BUY 0 Units @0.0000						
12/31/2017	***-**-110I - SAENZ, KATIA	GLOBAL OPPORTUNITIES FUND C	0.00	26.38	0.00	26.38	10.0	2.64
	ACCOUNT #: 02171397616	BUY 0 Units @0.0000						
12/31/2017	***-**-9206 - SANDER, DAVID	GLOBAL OPPORTUNITIES FUND C	0.00	14.57	0.00	14.57	10.0	1.46
	ACCOUNT #: 02171629936	BUY 0 Units @0.0000						
12/31/2017	***-**-90FB - DIODATO, CAROL	GLOBAL OPPORTUNITIES FUND C	0.00	4.71	0.00	4.71	10.0	0.47
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
12/31/2017	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	0.00	47.59	0.00	47.59	10.0	4.76
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
12/31/2017	***-**-2620 - CUSIMANO, MEGAN	GLOBAL OPPORTUNITIES FUND C	0.00	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 02171800557	BUY 0 Units @0.0000						
12/31/2017	***-**-509I - ARBORE,	GOLD & SPECIAL MINERALS A	0.00	3.66	0.00	3.66	10.0	0.37
	ACCOUNT #: 04103927770	BUY 0 Units @0.0000						
01/02/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	25.58	0.26	0.00	0.26	10.0	0.03
	ACCOUNT #: 00089583477	BUY 1 Units @40.3400						
01/02/2018	***-**-3727 - D'ANGELO, ANDREW	INVESTMENT COMPANY OF AMERICA CLASS	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 04000409699	BUY 1 Units @40.3400						
01/02/2018	***-**-3727 - D'ANGELO, ANDREW	INVESTMENT COMPANY OF AMERICA CLASS	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 04000409699	BUY 0 Units @40.3400						
01/02/2018	***-**-6781 - KARNs, DANIELLE	INVESTMENT COMPANY OF AMERICA CLASS	31.18	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 04000409710	BUY 1 Units @40.3400						
01/02/2018	***-**-4115 - ROWE, BRITTNEY	INVESTMENT COMPANY OF AMERICA CLASS	35.47	0.35	0.00	0.35	10.0	0.04
	ACCOUNT #: 04000409792	BUY 1 Units @40.3400						
12/31/2017	***-**-37IN - COTTONE, CHARLES	LIMITED TERM GOVERNMENT A	0.00	2.01	0.00	2.01	10.0	0.20
	ACCOUNT #: 08551660824	BUY 0 Units @0.0000						
12/31/2017	***-**-502I - CHUDYK, LUCIANA	LIMITED TERM GOVERNMENT A	0.00	0.54	0.00	0.54	10.0	0.05
	ACCOUNT #: 08552066097	BUY 0 Units @0.0000						
12/31/2017	***-**-736I - TORNATORE,	MAIN STREET FUND A	0.00	80.59	0.00	80.59	10.0	8.06
	ACCOUNT #: 04204204530	BUY 0 Units @0.0000						
12/31/2017	***-**-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						
12/31/2017	***-**-206I - SANDERS, DAVID	MAIN STREET FUND A	0.00	6.31	0.00	6.31	10.0	0.63
	ACCOUNT #: 07002573849	BUY 0 Units @0.0000						
12/31/2017	***-**-072I - SMITH, DEBORAH	MAIN STREET FUND A	0.00	57.72	0.00	57.72	10.0	5.77
	ACCOUNT #: 07002573882	BUY 0 Units @0.0000						
12/31/2017	***-**-446I - TROBIA, FRANK	MAIN STREET FUND A	0.00	31.39	0.00	31.39	10.0	3.14
	ACCOUNT #: 07005158191	BUY 0 Units @0.0000						
12/31/2017	***-**-264I - SIDOTI, LAURA	MAIN STREET FUND A	0.00	11.51	0.00	11.51	10.0	1.15
	ACCOUNT #: 07005274219	BUY 0 Units @0.0000						
12/31/2017	***-**-3526 - STONE, LINDA	MAIN STREET FUND A	0.00	1.12	0.00	1.12	10.0	0.11
	ACCOUNT #: 07005481380	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
12/31/2017	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND A	0.00	27.50	0.00	27.50	10.0	2.75
	ACCOUNT #: 07005548460	BUY 0 Units @0.0000						
12/31/2017	***-**-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						
12/31/2017	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND A	0.00	13.09	0.00	13.09	10.0	1.31
	ACCOUNT #: 07005773144	BUY 0 Units @0.0000						
12/31/2017	***-**-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						
12/31/2017	***-**-1346 - WEEKS S R	MAIN STREET FUND A	0.00	8.06	0.00	8.06	10.0	0.81
	ACCOUNT #: 07007936483	BUY 0 Units @0.0000						
12/31/2017	***-**-175I - BLEIER, WESLEY	MAIN STREET FUND A	0.00	16.92	0.00	16.92	10.0	1.69
	ACCOUNT #: 07009521154	BUY 0 Units @0.0000						
12/31/2017	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND B	0.00	1.02	0.00	1.02	10.0	0.10
	ACCOUNT #: 07012971958	BUY 0 Units @0.0000						
12/31/2017	***-**-1346 - WEEKS S R	MAIN STREET FUND B	0.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 07014822493	BUY 0 Units @0.0000						
12/31/2017	***-**-206I - SANDERS, DAVID	MAIN STREET FUND B	0.00	0.32	0.00	0.32	10.0	0.03
	ACCOUNT #: 07015737231	BUY 0 Units @0.0000						
12/31/2017	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	0.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
12/31/2017	***-**-435P - BOSCO, SOFIA	MAIN STREET FUND C	0.00	57.47	0.00	57.47	10.0	5.75
	ACCOUNT #: 07021348457	BUY 0 Units @0.0000						
12/31/2017	***-**-084I - ESPOSITO,	MAIN STREET FUND C	0.00	45.94	0.00	45.94	10.0	4.59
	ACCOUNT #: 07023120326	BUY 0 Units @0.0000						
12/31/2017	***-**-110I - SAENZ, KATIA	MAIN STREET FUND C	0.00	17.90	0.00	17.90	10.0	1.79
	ACCOUNT #: 07023933798	BUY 0 Units @0.0000						
12/31/2017	***-**-9206 - SANDER, DAVID	MAIN STREET FUND C	0.00	11.51	0.00	11.51	10.0	1.15
	ACCOUNT #: 07024170947	BUY 0 Units @0.0000						
12/31/2017	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	0.00	20.58	0.00	20.58	10.0	2.06
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
12/31/2017	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	0.00	10.17	0.00	10.17	10.0	1.02
	ACCOUNT #: 07024326366	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: FREDERIC SCARPULLA (continued)</u>								
12/31/2017	***-**-1346 - WEEKS S R	MAIN STREET FUND C	0.00	25.26	0.00	25.26	10.0	2.53
	ACCOUNT #: 07024329974	BUY 0 Units @0.0000						
12/31/2017	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	0.00	3.61	0.00	3.61	10.0	0.36
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
12/31/2017	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	0.00	36.73	0.00	36.73	10.0	3.67
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
12/31/2017	***-**-2620 - CUSIMANO, MEGAN	MAIN STREET FUND C	0.00	0.96	0.00	0.96	10.0	0.10
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
12/31/2017	***-**-446I - TROBIA, FRANK	MAIN STREET FUND C	0.00	4.77	0.00	4.77	10.0	0.48
	ACCOUNT #: 07024429095	BUY 0 Units @0.0000						
01/02/2018	***-**-1955 - MARCELLUS, JAMES	NEW PERSPECTIVE FUND-C	28.85	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 04000409718	BUY 1 Units @41.9400						
01/02/2018	***-**-1955 - MARCELLUS, JAMES	NEW PERSPECTIVE FUND-C	62.50	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 04000409718	BUY 1 Units @41.9400						
01/02/2018	***-**-9004 - MARCELLUS,	NEW PERSPECTIVE FUND-C	15.15	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 04000409785	BUY 0 Units @41.9400						
01/02/2018	***-**-9004 - MARCELLUS,	NEW PERSPECTIVE FUND-C	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 04000409785	BUY 3 Units @41.9400						
01/04/2018	***-**-05IN - RANDALL, ADAM	NEW PERSPECTIVE FUND-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00085941585	BUY 2 Units @42.5100						
01/02/2018	***-**-42IR - ADAMS, GRACE	NEW WORLD FUND-A	50.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00073505114	BUY 1 Units @71.8900						
01/04/2018	***-**-05IN - RANDALL, ADAM	NEW WORLD FUND-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00085941585	BUY 2 Units @66.1800						
01/15/2018	***-**-503J - OBI, JEAN	NEW YORK 529 TRAILS	0.00	2.29	0.00	2.29	10.0	0.23
		BUY 0 Units @0.0000						
01/15/2018	***-**-015P - FANTAUZZO,	NEW YORK 529 TRAILS	0.00	1.30	0.00	1.30	10.0	0.13
	ACCOUNT #: 77529133201	BUY 0 Units @0.0000						
01/15/2018	***-**-335P - JULIAN, GIOVANA	NEW YORK 529 TRAILS	0.00	3.36	0.00	3.36	10.0	0.34
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
01/15/2018	***-**-80IN - MOYER, COLLEEN	NEW YORK 529 TRAILS	0.00	13.40	0.00	13.40	10.0	1.34
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/15/2018	***-**-2942 - WARNEY, KENNETH	NEW YORK 529 TRAILS	0.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 77932712101	BUY 0 Units @0.0000						
12/31/2017	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD A	0.00	11.94	0.00	11.94	10.0	1.19
	ACCOUNT #: 05451118920	BUY 0 Units @0.0000						
12/31/2017	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD A	0.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 05451503469	BUY 0 Units @0.0000						
12/31/2017	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD A	0.00	0.13	0.00	0.13	10.0	0.01
	ACCOUNT #: 05451509926	BUY 0 Units @0.0000						
12/31/2017	***-**-072I - SMITH, DEBORAH	OPP PORT SERIES: MOD INV FD B	0.00	1.21	0.00	1.21	10.0	0.12
	ACCOUNT #: 06660004334	BUY 0 Units @0.0000						
12/31/2017	***-**-526I - STONE, LINDA	OPP PORT SERIES: MOD INV FD B	0.00	0.74	0.00	0.74	10.0	0.07
	ACCOUNT #: 06660004565	BUY 0 Units @0.0000						
12/31/2017	***-**-143I - STONE, GEORGE	OPP PORT SERIES: MOD INV FD B	0.00	0.77	0.00	0.77	10.0	0.08
	ACCOUNT #: 06660004576	BUY 0 Units @0.0000						
12/31/2017	***-**-3407 - SUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	0.00	21.62	0.00	21.62	10.0	2.16
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
12/31/2017	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	0.00	31.03	0.00	31.03	10.0	3.10
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
12/31/2017	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD C	0.00	59.93	0.00	59.93	10.0	5.99
	ACCOUNT #: 06670037664	BUY 0 Units @0.0000						
12/31/2017	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD C	0.00	27.13	0.00	27.13	10.0	2.71
	ACCOUNT #: 06670037675	BUY 0 Units @0.0000						
12/31/2017	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD C	0.00	27.16	0.00	27.16	10.0	2.72
	ACCOUNT #: 06670037686	BUY 0 Units @0.0000						
12/31/2017	***-**-1346 - WEEKS S R	OPPENHEIMER DISCOVERY CLASS A	0.00	9.15	0.00	9.15	10.0	0.92
	ACCOUNT #: 05004178284	BUY 0 Units @0.0000						
12/31/2017	***-**-781J - NAVAS, MICHAEL &	OPPENHEIMER DISCOVERY CLASS A	0.00	29.26	0.00	29.26	10.0	2.93
	ACCOUNT #: 07450878086	BUY 0 Units @0.0000						
12/31/2017	***-**-240J - MACCABEE, ALFRED	OPPENHEIMER DISCOVERY CLASS A	0.00	11.85	0.00	11.85	10.0	1.19
	ACCOUNT #: 07451411520	BUY 0 Units @0.0000						
12/31/2017	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	0.00	20.60	0.00	20.60	10.0	2.06
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
12/31/2017	***-**-6056 - PRICE, DEBORAH	OPPENHEIMER MAIN STREET OPPORTUNITY	0.00	9.01	0.00	9.01	10.0	0.90
	ACCOUNT #: 07311461350	BUY 0 Units @0.0000						
12/31/2017	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	9.28	0.00	9.28	10.0	0.93
	ACCOUNT #: 08477407983	BUY 0 Units @0.0000						
12/31/2017	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	9.41	0.00	9.41	10.0	0.94
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
12/31/2017	***-**-541P - SCHILLACI, AMY	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	1.44	0.00	1.44	10.0	0.14
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						
12/31/2017	***-**-4980 - MOYER, COLLEEN	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
12/31/2017	***-**-696J - ARBORE, JENNIFER	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	30.93	0.00	30.93	10.0	3.09
	ACCOUNT #: 02270749892	BUY 0 Units @0.0000						
12/31/2017	***-**-1314 - BENEDETTO,	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	35.42	0.00	35.42	10.0	3.54
	ACCOUNT #: 02270934318	BUY 0 Units @0.0000						
12/31/2017	***-**-1834 - BUTLER, KIM	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	20.94	0.00	20.94	10.0	2.09
	ACCOUNT #: 02510771804	BUY 0 Units @0.0000						
12/31/2017	***-**-5378 - AGUILA, NANCY	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	66.23	0.00	66.23	10.0	6.62
	ACCOUNT #: 02510954349	BUY 0 Units @0.0000						
12/31/2017	***-**-502I - CHUDYK, LUCIANA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.37	0.00	0.37	10.0	0.04
	ACCOUNT #: 02511356146	BUY 0 Units @0.0000						
12/31/2017	***-**-8379 - ZLOTNICK, MAR	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	1.64	0.00	1.64	10.0	0.16
	ACCOUNT #: 01902486671	BUY 0 Units @0.0000						
12/31/2017	***-**-509I - ARBORE,	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	8.23	0.00	8.23	10.0	0.82
	ACCOUNT #: 01903509704	BUY 0 Units @0.0000						
12/31/2017	***-**-206I - SANDERS, DAVID	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 02301774457	BUY 0 Units @0.0000						
12/31/2017	***-**-206I - SANDERS, DAVID	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 02302155970	BUY 0 Units @0.0000						
12/31/2017	***-**-1834 - BUTLER, KIM	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	2.12	0.00	2.12	10.0	0.21
	ACCOUNT #: 02803612158	BUY 0 Units @0.0000						
12/31/2017	***-**-1834 - BUTLER, KIM	OPPENHEIMER STRATEGIC INCOME FUND C	0.00	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 01911387672	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
12/31/2017	***-**-206I - SANDERS, DAVID	OPPENHEIMER STRATEGIC INCOME FUND C	0.00	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 02316725532	BUY 0 Units @0.0000						
01/15/2018	***-**-5046 - GUERRIER, JOHN	PRINCIPAL VA TRAILS	0.00	738.20	0.00	738.20	10.0	73.82
	ACCOUNT #: 456938	BUY 1 Units @0.0000						
01/15/2018	***-**-4432 - WHITE HAVEN	PRINCIPAL VA TRAILS	0.00	1,315.39	0.00	1,315.39	10.0	131.54
	ACCOUNT #: 612565	BUY 1 Units @0.0000						
01/15/2018	***-**-96CL - SCARPULLA,	PRINCIPAL VA TRAILS	0.00	199.99	0.00	199.99	10.0	20.00
	ACCOUNT #: 618072	BUY 1 Units @0.0000						
12/31/2017	***-**-240J - MACCABEE, ALFRED	QUEST BALANCED A	0.00	2.88	0.00	2.88	10.0	0.29
	ACCOUNT #: 02571141525	BUY 0 Units @0.0000						
12/31/2017	***-**-502I - CHUDYK, LUCIANA	QUEST BALANCED A	0.00	1.75	0.00	1.75	10.0	0.18
	ACCOUNT #: 02573443913	BUY 0 Units @0.0000						
12/31/2017	***-**-772I - KERHAERT,	QUEST BALANCED A	0.00	7.56	0.00	7.56	10.0	0.76
	ACCOUNT #: 02575859953	BUY 0 Units @0.0000						
12/31/2017	***-**-772I - KERHAERT,	QUEST BALANCED B	0.00	0.23	0.00	0.23	10.0	0.02
	ACCOUNT #: 02585781831	BUY 0 Units @0.0000						
12/31/2017	***-**-8706 - BOSCO, REN	QUEST BALANCED FUND C	0.00	150.59	0.00	150.59	10.0	15.06
	ACCOUNT #: 02590094105	BUY 0 Units @0.0000						
12/31/2017	***-**-110I - SAENZ, KATIA	QUEST BALANCED FUND C	0.00	10.84	0.00	10.84	10.0	1.08
	ACCOUNT #: 02592093355	BUY 0 Units @0.0000						
12/31/2017	***-**-772I - KERHAERT,	QUEST BALANCED FUND C	0.00	9.04	0.00	9.04	10.0	0.90
	ACCOUNT #: 02592262304	BUY 0 Units @0.0000						
12/31/2017	***-**-1314 - BENEDETTO,	QUEST BALANCED FUND C	0.00	67.56	0.00	67.56	10.0	6.76
	ACCOUNT #: 02592292741	BUY 0 Units @0.0000						
12/31/2017	***-**-264I - SIDOTI, LAURA	QUEST OPPORTUNITY VALUE A	0.00	4.83	0.00	4.83	10.0	0.48
	ACCOUNT #: 02362932061	BUY 0 Units @0.0000						
12/31/2017	***-**-502I - CHUDYK, LUCIANA	QUEST OPPORTUNITY VALUE A	0.00	2.76	0.00	2.76	10.0	0.28
	ACCOUNT #: 02363615612	BUY 0 Units @0.0000						
12/31/2017	***-**-1346 - WEEKS S R	QUEST OPPORTUNITY VALUE A	0.00	4.27	0.00	4.27	10.0	0.43
	ACCOUNT #: 02363693492	BUY 0 Units @0.0000						
12/31/2017	***-**-4143 - STONE, GEORGE	QUEST OPPORTUNITY VALUE A	0.00	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 02365376635	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
12/31/2017	***-**-1346 - WEEKS S R	QUEST OPPORTUNITY VALUE FUND B	0.00	0.13	0.00	0.13	10.0	0.01
	ACCOUNT #: 02373694251	BUY 0 Units @0.0000						
12/31/2017	***-**-432I - BORDEN, ROBERT	QUEST OPPORTUNITY VALUE FUND C	0.00	5.18	0.00	5.18	10.0	0.52
	ACCOUNT #: 02380867812	BUY 0 Units @0.0000						
12/31/2017	***-**-1346 - WEEKS S R	QUEST OPPORTUNITY VALUE FUND C	0.00	18.76	0.00	18.76	10.0	1.88
	ACCOUNT #: 02381169938	BUY 0 Units @0.0000						
12/31/2017	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	0.00	30.13	0.00	30.13	10.0	3.01
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
12/31/2017	***-**-2620 - CUSIMANO, MEGAN	REAL ESTATE FUND C	0.00	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 05920400103	BUY 0 Units @0.0000						
12/31/2017	***-**-509I - ARBORE,	RISING DIVIDENDS FUND A	0.00	9.41	0.00	9.41	10.0	0.94
	ACCOUNT #: 02253202056	BUY 0 Units @0.0000						
12/31/2017	***-**-76IN - CRISPINO, JULIE	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	351.96	0.00	351.96	10.0	35.20
	ACCOUNT #: 03550283547	BUY 0 Units @0.0000						
12/31/2017	***-**-76IN - CRISPINO, JULIE	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	391.06	0.00	391.06	10.0	39.11
	ACCOUNT #: 03550283547	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - ROBERTS NEEDS	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	56.01	0.00	56.01	10.0	5.60
	ACCOUNT #: 03551129898	BUY 0 Units @0.0000						
12/31/2017	***-**-96CL - SCARPULLA,	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	330.93	0.00	330.93	10.0	33.09
	ACCOUNT #: 03551296515	BUY 0 Units @0.0000						
12/31/2017	***-**-450J - DIGIOVANNI,	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	189.78	0.00	189.78	10.0	18.98
	ACCOUNT #: 03570496793	BUY 0 Units @0.0000						
12/31/2017	***-**-696J - ARBORE, JENNIFER	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	26.89	0.00	26.89	10.0	2.69
	ACCOUNT #: 03570590128	BUY 0 Units @0.0000						
12/31/2017	***-**-6188 - ROBERTS,	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	19.65	0.00	19.65	10.0	1.97
	ACCOUNT #: 03570646371	BUY 0 Units @0.0000						
01/08/2018	***-**-20IN - GIANGRECO, TERRY	ROCH. LIMITED TERM NEW YORK MUNICI	10,003.00	47.01	0.00	47.01	10.0	4.70
	ACCOUNT #: LSR010603	BUY 3611 Units @2.7700						
12/31/2017	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE B	0.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 02520033660	BUY 0 Units @0.0000						
12/31/2017	***-**-5378 - AGUILA, NANCY	SMALL- & MID- CAP VALUE B	0.00	0.42	0.00	0.42	10.0	0.04
	ACCOUNT #: 02520118954	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 15, 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>								
12/31/2017	***-**-4980 - MOYER, COLLEEN	SMALL- & MID- CAP VALUE FUND C	0.00	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 02531288969	BUY 0 Units @0.0000						
12/31/2017	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	0.00	12.57	0.00	12.57	10.0	1.26
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
12/31/2017	***-**-1834 - BUTLER, KIM	STRATEGIC INCOME FUND C	0.00	4.70	0.00	4.70	10.0	0.47
	ACCOUNT #: 01920863291	BUY 0 Units @0.0000						
12/31/2017	***-**-9206 - SANDER, DAVID	STRATEGIC INCOME FUND C	0.00	8.45	0.00	8.45	10.0	0.85
	ACCOUNT #: 02322653794	BUY 0 Units @0.0000						
12/31/2017	***-**-1314 - BENEDETTO,	STRATEGIC INCOME FUND C	0.00	30.52	0.00	30.52	10.0	3.05
	ACCOUNT #: 02322751089	BUY 0 Units @0.0000						
01/03/2018	***-**-625P - CENTOLA, ANITA	THE BOND FUND OF AMERICA-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00074256566	BUY 2 Units @12.8700						
01/02/2018	***-**-315P - ARBORE, JENNIFER	THE GROWTH FUND OF AMERICA-529C	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00081613426	BUY 3 Units @46.6700						
01/02/2018	***-**-6375 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 04000598159	BUY 1 Units @46.5200						
01/02/2018	***-**-6375 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 04000598159	BUY 3 Units @46.5200						
01/02/2018	***-**-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 @46.5200						
01/02/2018	***-**-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 @46.5200						
01/02/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	25.58	0.26	0.00	0.26	10.0	0.03
	ACCOUNT #: 00089583477	BUY 1 Units @46.5200						
01/02/2018	***-**-3727 - D'ANGELO, ANDREW	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 04000409699	BUY 1 Units @46.5200						
01/02/2018	***-**-3727 - D'ANGELO, ANDREW	THE GROWTH FUND OF AMERICA-C	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 04000409699	BUY 0 Units @46.5200						
01/02/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	19.75	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 04000409714	BUY 0 Units @46.5200						
01/02/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	600.00	6.00	0.00	6.00	10.0	0.60
	ACCOUNT #: 04000409714	BUY 13 Units @46.5200						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/02/2018	***-**-1955 - MARCELLUS, JAMES	THE GROWTH FUND OF AMERICA-C	28.85	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 04000409718	BUY 1 Units @46.5200						
01/02/2018	***-**-1955 - MARCELLUS, JAMES	THE GROWTH FUND OF AMERICA-C	62.50	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 04000409718	BUY 1 Units @46.5200						
01/02/2018	***-**-9004 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	15.14	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 04000409785	BUY 0 Units @46.5200						
01/02/2018	***-**-9004 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 04000409785	BUY 3 Units @46.5200						
01/02/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	66.25	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 04000409801	BUY 1 Units @46.5200						
01/02/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	600.00	6.00	0.00	6.00	10.0	0.60
	ACCOUNT #: 04000409801	BUY 13 Units @46.5200						
01/04/2018	***-**-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 @47.0800						
01/02/2018	***-**-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 @42.2400						
01/02/2018	***-**-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 @40.8900						
01/02/2018	***-**-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 @13.0400						
01/02/2018	***-**-44UG - GUERRIERI,	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00085399145	BUY 19 Units @13.0400						
01/08/2018	***-**-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 768 Units @13.0300						
12/31/2017	***-**-206I - SANDERS, DAVID	VALUE B	0.00	0.32	0.00	0.32	10.0	0.03
	ACCOUNT #: 03760634293	BUY 0 Units @0.0000						
12/31/2017	***-**-206I - SANDERS, DAVID	VALUE FUND A	0.00	6.80	0.00	6.80	10.0	0.68
	ACCOUNT #: 03751730652	BUY 0 Units @0.0000						
12/31/2017	***-**-9206 - SANDER, DAVID	VALUE FUND C	0.00	10.80	0.00	10.80	10.0	1.08
	ACCOUNT #: 03770488829	BUY 0 Units @0.0000						
01/02/2018	***-**-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 @47.5900						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
01/02/2018	***-**-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 @45.3400						
01/03/2018	***-**-625P - CENTOLA, ANITA	WASHINGTON MUTUAL INVESTORS FUND-C	35.00	0.35	0.00	0.35	10.0	0.04
	ACCOUNT #: 00074256566	BUY 1 Units @45.5100						
* FREDERIC SCARPULLA SUBTOTAL *			\$26,056.79	\$6,663.71	\$0.00	\$6,663.71		\$666.58
<u> BROKER: WILLIAM AGNELLO </u>								
01/05/2018	***-**-36IO - IRWIN, CHARLES	ANNALY CAP MANGEMENT INC	2,295.00	49.52	0.00	49.52	20.0	9.90
	ACCOUNT #: LSR007200	BUY 200 Units @11.4750						
01/05/2018	***-**-657I - RIEL, KEVIN	ANNALY CAP MANGEMENT INC	2,297.40	49.56	0.00	49.56	20.0	9.91
	ACCOUNT #: LSR007366	BUY 200 Units @11.4870						
12/31/2017	***-**-91IN - IRWIN, STEVEN	CAPITAL APPRECIATION A	0.00	1.00	0.00	1.00	20.0	0.20
	ACCOUNT #: 03211657888	BUY 0 Units @0.0000						
01/15/2018	***-**-28IN - CUP, ANDREW	NEW YORK 529 TRAILS	0.00	11.26	0.00	11.26	20.0	2.25
	ACCOUNT #: 77133335101	BUY 0 Units @0.0000						
12/31/2017	***-**-28IN - CUP, ANDREW	OPPENHEIMER DISCOVERY CLASS A	0.00	19.12	0.00	19.12	20.0	3.82
	ACCOUNT #: 05005497591	BUY 0 Units @0.0000						
* WILLIAM AGNELLO SUBTOTAL *			\$4,592.40	\$130.46	\$0.00	\$130.46		\$26.08
<u> BROKER: JAMES LOMBARDO </u>								
01/02/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 04000460394	BUY 2 Units @28.9100						
01/02/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 04000460402	BUY 2 Units @28.9100						
01/02/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	100.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 00087068370	BUY 3 Units @28.9100						
01/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	80.00	4.00	0.00	4.00	10.0	0.40
	ACCOUNT #: 00088153955	BUY 3 Units @29.0100						
01/15/2018	***-**-13CL - BERG, C, CLIENTS	NEW YORK 529 TRAILS	0.00	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 77450911001	BUY 0 Units @0.0000						
12/31/2017	***-**-2582 - FERRAR, PATRICIA	ROCHESTER FUND MUNICIPALS A	0.00	78.77	0.00	78.77	10.0	7.88
	ACCOUNT #: 03651105500	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: JAMES LOMBARDO (continued)</u>								
12/31/2017	***-**-9195 - FERRAR, ROLFE	ROCHESTER FUND MUNICIPALS A	0.00	37.16	0.00	37.16	10.0	3.72
	ACCOUNT #: 03651253373	BUY 0 Units @0.0000						
01/02/2018	***-**-3040 - KOTARY, BRANDY	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00087642268	BUY 4 Units @13.3600						
01/02/2018	***-**-6802 - NAKANO, AMELIA	THE NEW ECONOMY FUND-A	50.00	2.13	0.00	2.13	10.0	0.21
	ACCOUNT #: 00082853395	BUY 1 Units @47.8000						
01/05/2018	***-**-3828 - DUSABLON, DANIEL	U.S. GOVERNMENT SECURITIES FUND CLA	150.00	4.50	0.00	4.50	10.0	0.45
	ACCOUNT #: 00084530390	BUY 11 Units @14.1500						
01/02/2018	***-**-6802 - NAKANO, AMELIA	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	2.13	0.00	2.13	10.0	0.21
	ACCOUNT #: 00082853395	BUY 1 Units @48.3400						
* JAMES LOMBARDO SUBTOTAL *			\$580.00	\$140.47	\$0.00	\$140.47		\$14.05
*** OVERRIDE TRANSACTIONS TOTAL ***			\$31,520.65	\$8,129.32	\$0.00	\$8,129.32		\$782.53

BROKER COMMISSION TOTALS

Broker Transactions	\$992.84
Split Transactions	\$0.00
Override Transactions	\$782.53
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	\$1,775.37
Year-to-date Earnings	\$8,401.37