



COMMISSION STATEMENT

January 08, 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>								
12/18/2017	***-**-435P - ANTINORE, EMILY	CAPITAL INCOME BUILDER-A	64.60	1.03	0.00	1.03	90.0	0.93
	ACCOUNT #: 00067185955	BUY 1 Units @65.4100						
01/04/2018	***-**-605P - BONSIGNORE,	COLLEGE BOUND MF	50.00	0.20	0.00	0.20	90.0	0.18
		BUY 0 Units @0.0000						
12/20/2017	***-**-5142 - WASHINGTON	EQUITY INCOME FUND, INC. A	25.00	1.19	0.00	1.19	90.0	1.07
	ACCOUNT #: 08353172444	BUY 0 Units @0.0000						
12/26/2017	***-**-575I - PALELLA, CHARLES	EQUITY INCOME FUND, INC. A	250.00	10.00	0.00	10.00	90.0	9.00
	ACCOUNT #: 08350895037	BUY 0 Units @0.0000						
12/29/2017	***-**-72IN - HERTZEL, GERALD	FIDELITY ADV STRATEGIC INCOME CL C	4,000.00	40.00	0.00	40.00	90.0	36.00
	ACCOUNT #: 00704765932	BUY 326 Units @12.2800						
12/27/2017	***-**-9061 - BROWN, WINSTON	GOLD & SPECIAL MINERALS A	30.00	1.43	0.00	1.43	90.0	1.29
	ACCOUNT #: 04104629482	BUY 0 Units @0.0000						
12/20/2017	***-**-5142 - WASHINGTON	INTERNATIONAL BOND A	25.00	1.00	0.00	1.00	90.0	0.90
	ACCOUNT #: 08810288553	BUY 0 Units @0.0000						
12/19/2017	***-**-095J - MORAN, MARY	PUTNAM NEW OPPORTUNITIES-C	50.00	0.50	0.00	0.50	90.0	0.45
	ACCOUNT #: 00476905514	BUY 1 Units @76.8400						
12/20/2017	***-**-9061 - BROWN, WINSTON	QUEST OPPORTUNITY VALUE A	30.00	1.43	0.00	1.43	90.0	1.29
	ACCOUNT #: 02365535387	BUY 0 Units @0.0000						
12/27/2017	***-**-6657 - THOMAS, ALEXIS	RISEING DIVIDENDS FUND A	50.00	2.38	0.00	2.38	90.0	2.14
	ACCOUNT #: 02254036945	BUY 0 Units @0.0000						
12/20/2017	***-**-3942 - HIBBERT, LEONA	ROCHESTER FUND MUNICIPALS C	50.00	0.50	0.00	0.50	90.0	0.45
	ACCOUNT #: 03670462660	BUY 0 Units @0.0000						
12/27/2017	***-**-6657 - THOMAS, ALEXIS	ROCHESTER FUND MUNICIPALS C	100.00	1.00	0.00	1.00	90.0	0.90
	ACCOUNT #: 03670742027	BUY 0 Units @0.0000						
12/20/2017	***-**-5142 - WASHINGTON	SMALL- & MID-CAP GROWTH FUND A	25.00	1.19	0.00	1.19	90.0	1.07
	ACCOUNT #: 07211008854	BUY 0 Units @0.0000						
* MUTUAL FUNDS SUBTOTAL *			\$4,749.60	\$61.85	\$0.00	\$61.85		\$55.67
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
01/05/2018	***-**-85CL - KREMPIN, CLIENTS	MASS MUTUAL VA	0.00	8.61	0.00	8.61	90.0	7.75
		BUY 1 Units @0.0000						
01/02/2018	***-**-575I - PALELLA, CHARLES	PRUDENTIAL VA TRAILS 74429P144	100.00	0.00	0.00	0.00	90.0	0.00
	ACCOUNT #: E1764889	BUY 0 Units @0.0000						



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* VARIABLE ANNUITIES SUBTOTAL *			\$100.00	\$8.61	\$0.00	\$8.61		\$7.75
PRODUCT CATEGORY: 529 PLAN								
12/27/2017	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	90.0	0.45
	ACCOUNT #: 01429492687	BUY 2 Units @25.5600						
* 529 PLAN SUBTOTAL *			\$50.00	\$0.50	\$0.00	\$0.50		\$0.45
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
01/02/2018	***-**-565J - KASE, LEROY	FIDELITY CASH MM	0.00	0.00	0.00	0.00	90.0	0.00
	ACCOUNT #: LSR010786	BUY 1 Units @0.0000						
01/02/2018	***-**-588X - RUSSELL, JUDY	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	90.0	0.00
	ACCOUNT #: LSR011098	BUY 1 Units @0.0000						
01/02/2018	***-**-31IN - SMITH, MS VIVICA	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	90.0	0.00
	ACCOUNT #: LSR011147	BUY 1 Units @0.0000						
01/02/2018	***-**-01IN - SAUTTER, HOWARD	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	90.0	0.00
	ACCOUNT #: LSR011301	BUY 1 Units @0.0000						
01/02/2018	***-**-38IO - GRAHAM	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.83	0.00	0.83	90.0	0.75
	ACCOUNT #: LSR005428	BUY 1 Units @0.0000						
01/02/2018	***-**-853J - SAUTTER	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.40	0.00	0.40	90.0	0.36
	ACCOUNT #: LSR006386	BUY 1 Units @0.0000						
01/02/2018	***-**-43IO - MCGUIRE, NANCY	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	8.82	0.00	8.82	90.0	7.94
	ACCOUNT #: LSR011708	BUY 1 Units @0.0000						
01/02/2018	***-**-7545 - LACY, LEEANNE	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.02	0.00	0.02	90.0	0.02
	ACCOUNT #: LSR102873	BUY 1 Units @0.0000						
01/02/2018	***-**-4205 - SPECIAL RISK	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.35	0.00	0.35	90.0	0.32
	ACCOUNT #: LSR107948	BUY 1 Units @0.0000						
01/02/2018	***-**-68IN - WARNER, JANET	PIMCO LOW DURATION CLASS A	0.00	0.68	0.00	0.68	90.0	0.61
	ACCOUNT #: LSR010222	BUY 1 Units @0.0000						
01/02/2018	***-**-6468 - WARNER, JANET	PIMCO LOW DURATION CLASS A	0.00	0.35	0.00	0.35	90.0	0.32
	ACCOUNT #: LSR010223	BUY 1 Units @0.0000						
01/02/2018	***-**-68IN - WARNER, JANET	PIMCO TOTAL RETURN CLASS A	0.00	0.74	0.00	0.74	90.0	0.67
	ACCOUNT #: LSR010222	BUY 1 Units @0.0000						
01/02/2018	***-**-6468 - WARNER, JANET	PIMCO TOTAL RETURN CLASS A	0.00	0.39	0.00	0.39	90.0	0.35
	ACCOUNT #: LSR010223	BUY 1 Units @0.0000						
01/03/2018	***-**-291I - STOLTZFUS, AMOS	PIONEER EQUITY INCOME FUND A	0.00	16.65	0.00	16.65	90.0	14.99
	ACCOUNT #: 00110078530	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/03/2018	***-**-2276 - CARPENTER, ACCOUNT #: 04030008331	PIONEER EQUITY INCOME FUND A BUY 0 Units @0.0000	0.00	26.06	0.00	26.06	90.0	23.45
01/03/2018	***-**-232I - GARDNER, WILLIAM ACCOUNT #: 06201576832	PIONEER EQUITY INCOME FUND A BUY 0 Units @0.0000	0.00	0.79	0.00	0.79	90.0	0.71
01/03/2018	***-**-61UG - CARPENTER, ACCOUNT #: 06205429896	PIONEER INDEPENDENCE FUND A BUY 0 Units @0.0000	0.00	2.33	0.00	2.33	90.0	2.10
01/03/2018	***-**-232I - GARDNER, WILLIAM ACCOUNT #: 06201576841	PIONEER MID CAP VALUE FUND A BUY 0 Units @0.0000	0.00	2.34	0.00	2.34	90.0	2.11
01/03/2018	***-**-8207 - LUTE, DEBORAH ACCOUNT #: 06202978479	PIONEER VALUE FUND A BUY 0 Units @0.0000	0.00	1.23	0.00	1.23	90.0	1.11
01/03/2018	***-**-8207 - LUTE, DEBORAH ACCOUNT #: 06202978488	PIONEER VALUE FUND A BUY 0 Units @0.0000	0.00	1.23	0.00	1.23	90.0	1.11
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$63.21	\$0.00	\$63.21		\$56.92
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
12/31/2017	***-**-1659 - BOUQUIN, ACCOUNT #: E0898819	AS ADVISORS PLAN III BUY 0 Units @0.0000	0.00	5.39	0.00	5.39	90.0	4.85
12/29/2017	***-**-60CL - KALINOWSKI, ACCOUNT #: 316003018	AXA EQUI VA 00248C360 BUY 0 Units @0.0000	0.00	58.24	0.00	58.24	90.0	52.42
12/29/2017	***-**-6482 - CARLSON, JOHN ACCOUNT #: 711701580	HARTFORD VA TRAILS 41659P656 BUY 0 Units @0.0000	0.00	103.65	0.00	103.65	90.0	93.29
12/29/2017	***-**-620I - ROSATI, RALPH ACCOUNT #: 712334293	HARTFORD VA TRAILS 41659Q381 BUY 0 Units @0.0000	0.00	189.25	0.00	189.25	90.0	170.33
12/29/2017	***-**-0689 - MEPSTED, LAVINIA ACCOUNT #: 712386562	HARTFORD VA TRAILS 41659Q712 BUY 0 Units @0.0000	0.00	238.61	0.00	238.61	90.0	214.75
12/31/2017	***-**-06IN - VANROO, PAT ACCOUNT #: 70043637	JOHN HANCOCK 41013R406 BUY 0 Units @0.0000	0.00	74.32	0.00	74.32	90.0	66.89
12/31/2017	***-**-72VA - HERTZEL, GERALD ACCOUNT #: 922207530	LINCOLN NATIONAL LIFE CUSIP 53404B6 BUY 0 Units @0.0000	0.00	407.89	0.00	407.89	90.0	367.10
01/02/2018	***-**-46IN - PICKETT, ANITA ACCOUNT #: 1100031317	NATIONAL INTEGRITY TRAILS DTCC BUY 0 Units @0.0000	0.00	22.27	0.00	22.27	90.0	20.04
01/02/2018	***-**-20IN - ROSATI, RALPH ACCOUNT #: 1100075112	NATIONAL LIFE GROUP VA TRAILS BUY 0 Units @0.0000	0.00	355.20	0.00	355.20	90.0	319.68



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)								
01/02/2018	***-**-6340 - SCHUCHARDT, ACCOUNT #: 1100106238	NATIONAL LIFE GROUP VA TRAILS BUY 0 Units @0.0000	0.00	231.22	0.00	231.22	90.0	208.10
12/31/2017	***-**-2636 - COLES, DEBORAH ACCOUNT #: E1637646	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	163.38	0.00	163.38	90.0	147.04
12/31/2017	***-**-3395 - POLITO, EVA ACCOUNT #: E1602736	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	8.44	0.00	8.44	90.0	7.60
12/31/2017	***-**-72IN - HERTZEL, GERALD ACCOUNT #: E1284871	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	775.43	0.00	775.43	90.0	697.89
12/31/2017	***-**-931I - O'DONNELL, ACCOUNT #: E1119573	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	194.23	0.00	194.23	90.0	174.81
12/31/2017	***-**-0057 - ROSE, MICHAEL ACCOUNT #: E1034845	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	134.27	0.00	134.27	90.0	120.84
12/31/2017	***-**-8537 - KARNS, MARTIN ACCOUNT #: E1498856	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	188.16	0.00	188.16	90.0	169.34
12/31/2017	***-**-563I - MILLSLAGLE, FRED ACCOUNT #: E1407186	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	290.60	0.00	290.60	90.0	261.54
12/31/2017	***-**-7820 - RICE, SANDRA ACCOUNT #: E1332037	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	299.87	0.00	299.87	90.0	269.88
12/31/2017	***-**-572I - TISCHENDORF, ACCOUNT #: E1654152	PRUDENTIAL VA TRAILS 74429P144 BUY 0 Units @0.0000	0.00	123.71	0.00	123.71	90.0	111.34
12/31/2017	***-**-0588 - RUSSELL, JUDY ACCOUNT #: E1638235	PRUDENTIAL VA TRAILS 74429P144 BUY 0 Units @0.0000	0.00	98.42	0.00	98.42	90.0	88.58
12/31/2017	***-**-72IN - TUREK, PATRICIA ACCOUNT #: E1763123	PRUDENTIAL VA TRAILS 74429P144 BUY 0 Units @0.0000	0.00	140.05	0.00	140.05	90.0	126.05
12/31/2017	***-**-575I - PALELLA, CHARLES ACCOUNT #: E1764889	PRUDENTIAL VA TRAILS 74429P144 BUY 0 Units @0.0000	0.00	73.36	0.00	73.36	90.0	66.02
12/31/2017	***-**-1268 - KILBORN, MARILYN ACCOUNT #: E1499436	PRUDENTIAL VA TRAILS 74429P144 BUY 0 Units @0.0000	0.00	93.98	0.00	93.98	90.0	84.58
12/31/2017	***-**-3992 - TISCHENDORF, ACCOUNT #: E1654013	PRUDENTIAL VA TRAILS 74429P144 BUY 0 Units @0.0000	0.00	219.77	0.00	219.77	90.0	197.79
12/31/2017	***-**-6993 - CROWE, RALPH ACCOUNT #: E0531632	PRUDENTIAL VA TRAILS 74430A235 BUY 0 Units @0.0000	0.00	256.86	0.00	256.86	90.0	231.17



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)								
12/31/2017	***-**-6993 - CROWE, RALPH	PRUDENTIAL VA TRAILS 74430A235	0.00	64.22	0.00	64.22	90.0	57.80
	ACCOUNT #: E0531632	BUY 0 Units @0.0000						
12/31/2017	***-**-0358 - GRUTTADAURIA,	PRUDENTIAL VA TRAILS 74430A268	0.00	22.25	0.00	22.25	90.0	20.03
	ACCOUNT #: E0689448	BUY 0 Units @0.0000						
12/31/2017	***-**-0358 - GRUTTADAURIA,	PRUDENTIAL VA TRAILS 74430A268	0.00	7.42	0.00	7.42	90.0	6.68
	ACCOUNT #: E0689448	BUY 0 Units @0.0000						
12/31/2017	***-**-9903 - GILL, RENATE	PRUDENTIAL VA TRAILS 74430A268	0.00	42.12	0.00	42.12	90.0	37.91
	ACCOUNT #: 000665544	BUY 0 Units @0.0000						
12/31/2017	***-**-9903 - GILL, RENATE	PRUDENTIAL VA TRAILS 74430A268	0.00	14.04	0.00	14.04	90.0	12.64
	ACCOUNT #: 000665544	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$4,896.62	\$0.00	\$4,896.62		\$4,406.98
*** BROKER TRANSACTIONS TOTAL ***			\$4,899.60	\$5,030.79	\$0.00	\$5,030.79		\$4,527.77

OVERRIDE TRANSACTIONS

BROKER: RICHARD BIRNS

12/29/2017	***-**-3510 - NUGENT, PATRICIA	ALLIANZ CUSIP 018815308-NFS	0.00	350.91	0.00	350.91	5.0	17.55
	ACCOUNT #: DAX87471	BUY 0 Units @0.0000						
12/29/2017	***-**-4560 - KOENIG, RAE	ALLIANZ TRAILS 018812727	0.00	102.90	0.00	102.90	5.0	5.15
	ACCOUNT #: GAX20578	BUY 0 Units @0.0000						
12/29/2017	***-**-153P - BABCOCK,	ALLIANZ TRAILS 018817866	0.00	362.00	0.00	362.00	5.0	18.10
	ACCOUNT #: DA915753	BUY 0 Units @0.0000						
12/29/2017	***-**-48IN - BABCOCK, ROBERT	ALLIANZ TRAILS 018817866	0.00	329.94	0.00	329.94	5.0	16.50
	ACCOUNT #: DA915768	BUY 0 Units @0.0000						
12/29/2017	***-**-2276 - SIMANOFF, FRED	JACKSON NATIONAL PERSPECTIVE II NY	2,000.00	140.00	0.00	140.00	5.0	7.00
	ACCOUNT #: 1201274291	BUY 0 Units @0.0000						
12/29/2017	***-**-5790 - SIMANOFF,	JACKSON NATIONAL PERSPECTIVE II NY	2,000.00	140.00	0.00	140.00	5.0	7.00
	ACCOUNT #: 1201274364	BUY 0 Units @0.0000						
12/31/2017	***-**-1071 - GERAKARIS,	JOHN HANCOCK 41014C143	0.00	2.09	0.00	2.09	5.0	0.10
	ACCOUNT #: 2419387	BUY 0 Units @0.0000						
01/05/2018	***-**-0987 - PINCUS, LARRY	LINCOLN 008148728	1,212.00	24.24	0.00	24.24	5.0	1.21
	ACCOUNT #: F1522305	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: RICHARD BIRNS (continued) </u>								
12/30/2017	***-**-4227 - GRANENA, MARC	NATIONWIDE CUSIP 638660696-NSCC	0.00	24.56	0.00	24.56	5.0	1.23
	ACCOUNT #: 015774378	BUY 0 Units @0.0000						
12/30/2017	***-**-991I - WEGENER, MICHAEL	NATIONWIDE CUSIP 638660696-NSCC	0.00	11.90	0.00	11.90	5.0	0.60
	ACCOUNT #: 015778719	BUY 0 Units @0.0000						
12/30/2017	***-**-667I - AGOSTI, IVAN	NATIONWIDE CUSIP 638660696-NSCC	0.00	3.04	0.00	3.04	5.0	0.15
	ACCOUNT #: 015778722	BUY 0 Units @0.0000						
12/31/2017	***-**-13IN - SANDAS, ANTHONY	PRUDENTIAL AS ADVISORS PLAN III	0.00	174.03	0.00	174.03	5.0	8.70
	ACCOUNT #: E1051937	BUY 0 Units @0.0000						
12/31/2017	***-**-375P - SANDAS, JEAN	PRUDENTIAL AS ADVISORS PLAN III	0.00	14.73	0.00	14.73	5.0	0.74
	ACCOUNT #: E1123274	BUY 0 Units @0.0000						
12/31/2017	***-**-4630 - IELPI-MAJOR,	PRUDENTIAL VA TRAILS 74430A227	0.00	414.83	0.00	414.83	5.0	20.74
	ACCOUNT #: E0938463	BUY 0 Units @0.0000						
* RICHARD BIRNS SUBTOTAL *			\$5,212.00	\$2,095.17	\$0.00	\$2,095.17		\$104.77
<u> BROKER: BARRY BRESIN </u>								
12/31/2017	***-**-513I - CLEMENT, SANDRA	AS ADVISORS PLAN III	0.00	27.74	0.00	27.74	10.0	2.77
	ACCOUNT #: E0894754	BUY 0 Units @0.0000						
12/31/2017	***-**-513I - CLEMENT, SANDRA	AS ADVISORS PLAN III	0.00	27.74	0.00	27.74	10.0	2.77
	ACCOUNT #: E0894754	BUY 0 Units @0.0000						
12/31/2017	***-**-54IN - MARSJANIK,	AS ADVISORS PLAN III	0.00	378.75	0.00	378.75	10.0	37.88
	ACCOUNT #: E0892522	BUY 0 Units @0.0000						
12/31/2017	***-**-54IN - MARSJANIK,	AS ADVISORS PLAN III	0.00	378.75	0.00	378.75	10.0	37.88
	ACCOUNT #: E0892522	BUY 0 Units @0.0000						
12/31/2017	***-**-910I - CLEMENT, JAMES	AS ADVISORS PLAN III	0.00	106.89	0.00	106.89	10.0	10.69
	ACCOUNT #: E0897411	BUY 0 Units @0.0000						
12/31/2017	***-**-910I - CLEMENT, JAMES	AS ADVISORS PLAN III	0.00	106.89	0.00	106.89	10.0	10.69
	ACCOUNT #: E0897411	BUY 0 Units @0.0000						
12/31/2017	***-**-892I - STERN, ROBERT	AS ADVISORS PLAN III	0.00	477.08	0.00	477.08	10.0	47.71
	ACCOUNT #: E0879974	BUY 0 Units @0.0000						
12/31/2017	***-**-892I - STERN, ROBERT	AS ADVISORS PLAN III	0.00	477.08	0.00	477.08	10.0	47.71
	ACCOUNT #: E0879974	BUY 0 Units @0.0000						
12/31/2017	***-**-910I - CLEMENT, JAMES	AS ADVISORS PLAN III	0.00	139.90	0.00	139.90	10.0	13.99
	ACCOUNT #: E0599491	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: BARRY BRESIN (continued)</u>								
12/31/2017	***-**-910I - CLEMENT, JAMES	AS ADVISORS PLAN III	0.00	139.90	0.00	139.90	10.0	13.99
	ACCOUNT #: E0599491	BUY 0 Units @0.0000						
12/31/2017	***-**-754I - MARSJANIK,	AS ADVISORS PLAN III	0.00	365.46	0.00	365.46	10.0	36.55
	ACCOUNT #: E0482001	BUY 0 Units @0.0000						
12/31/2017	***-**-754I - MARSJANIK,	AS ADVISORS PLAN III	0.00	365.46	0.00	365.46	10.0	36.55
	ACCOUNT #: E0482001	BUY 0 Units @0.0000						
12/31/2017	***-**-196I - BRESIN, JANET	AS ADVISORS PLAN III	0.00	94.92	0.00	94.92	10.0	9.49
	ACCOUNT #: E0558828	BUY 0 Units @0.0000						
12/31/2017	***-**-196I - BRESIN, JANET	AS ADVISORS PLAN III	0.00	94.92	0.00	94.92	10.0	9.49
	ACCOUNT #: E0558828	BUY 0 Units @0.0000						
12/31/2017	***-**-180I - HALM, MATILDA	JACKSON 468511654	0.00	39.77	0.00	39.77	10.0	3.98
	ACCOUNT #: 029010125A	BUY 0 Units @0.0000						
01/05/2018	***-**-06TD - BECKER, MARK	MASS MUTUAL VA	0.00	49.93	0.00	49.93	10.0	4.99
	ACCOUNT #: CM15598111	BUY 1 Units @0.0000						
12/30/2017	***-**-716I - STERN, PATRICIA	NATIONWIDE CUSIP 638661330-NSCC	0.00	135.29	0.00	135.29	10.0	13.53
	ACCOUNT #: 015431641	BUY 0 Units @0.0000						
12/30/2017	***-**-010I - LOMBARD, LAURIE	NATIONWIDE CUSIP 638661330-NSCC	0.00	96.97	0.00	96.97	10.0	9.70
	ACCOUNT #: 015463968	BUY 0 Units @0.0000						
12/30/2017	***-**-470I - MELLINA, EDWARD	NATIONWIDE CUSIP 638661330-NSCC	0.00	88.57	0.00	88.57	10.0	8.86
	ACCOUNT #: 015465764	BUY 0 Units @0.0000						
12/30/2017	***-**-091I - BECKER, HILDA	NATIONWIDE CUSIP 638661330-NSCC	0.00	360.43	0.00	360.43	10.0	36.04
	ACCOUNT #: 015472817	BUY 0 Units @0.0000						
12/30/2017	***-**-084I - BECKER, SHERMAN	NATIONWIDE CUSIP 638661330-NSCC	0.00	111.37	0.00	111.37	10.0	11.14
	ACCOUNT #: 015473385	BUY 0 Units @0.0000						
12/30/2017	***-**-1223 - MELLINA, ALBERTA	NATIONWIDE CUSIP 638661330-NSCC	0.00	43.39	0.00	43.39	10.0	4.34
	ACCOUNT #: 015476838	BUY 0 Units @0.0000						
12/30/2017	***-**-60IN - BRESIN, FLORENCE	NATIONWIDE CUSIP 638661330-NSCC	0.00	376.14	0.00	376.14	10.0	37.61
	ACCOUNT #: 015631725	BUY 0 Units @0.0000						
12/30/2017	***-**-010I - LOMBARD, LAURIE	NATIONWIDE CUSIP 638661330-NSCC	0.00	105.23	0.00	105.23	10.0	10.52
	ACCOUNT #: 015730387	BUY 0 Units @0.0000						
12/30/2017	***-**-27IN - COOK, DOROTHY	NATIONWIDE CUSIP 638661397-NSCC	0.00	27.68	0.00	27.68	10.0	2.77
	ACCOUNT #: 016157940	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: BARRY BRESIN (continued)</u> 								
12/30/2017	***-**-27IN - COOK, DOROTHY ACCOUNT #: 016157941	NATIONWIDE CUSIP 638661397-NSCC BUY 0 Units @0.0000	0.00	18.63	0.00	18.63	10.0	1.86
12/30/2017	***-**-091I - BECKER, HILDA ACCOUNT #: 015923184	NATIONWIDE CUSIP 638942714-NSCC BUY 0 Units @0.0000	0.00	296.31	0.00	296.31	10.0	29.63
12/31/2017	***-**-939I - BRESIN, HOWARD ACCOUNT #: E1737618	PRUDENTIAL VA 74430T119 BUY 0 Units @0.0000	0.00	930.86	0.00	930.86	10.0	93.09
12/31/2017	***-**-513I - CLEMENT, SANDRA ACCOUNT #: E0612940	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	99.88	0.00	99.88	10.0	9.99
12/31/2017	***-**-513I - CLEMENT, SANDRA ACCOUNT #: E0612940	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	99.88	0.00	99.88	10.0	9.99
12/31/2017	***-**-13IN - CLEMENT, SANDRA ACCOUNT #: E0612770	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	31.26	0.00	31.26	10.0	3.13
12/31/2017	***-**-13IN - CLEMENT, SANDRA ACCOUNT #: E0612770	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	31.26	0.00	31.26	10.0	3.13
01/08/2018	***-**-717I - MARSJANIK, ACCOUNT #: 7200008226	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	176.29	0.00	176.29	10.0	17.63
01/08/2018	***-**-4892 - STERN, ROBERT ACCOUNT #: 7200027682	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	16.49	0.00	16.49	10.0	1.65
 * BARRY BRESIN SUBTOTAL * 			 \$0.00 	 \$6,317.11 	 \$0.00 	 \$6,317.11 		 \$631.74
 <u>BROKER: WILLIAM ROBERTS</u> 								
12/31/2017	***-**-7981 - D'ANGELO, ACCOUNT #: 921039927	LINCOLN FIN VA TRAILS DTCC 53378542 BUY 0 Units @0.0000	0.00	109.61	0.00	109.61	5.0	5.48
12/31/2017	***-**-606A - REUS, MARTHA ACCOUNT #: 921040463	LINCOLN FIN VA TRAILS DTCC 53378542 BUY 0 Units @0.0000	0.00	377.44	0.00	377.44	5.0	18.87
12/31/2017	***-**-904R - PRZYLUCHE, ACCOUNT #: E1434564	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	36.28	0.00	36.28	5.0	1.81
12/31/2017	***-**-47IN - SIDARE, ANDREA ACCOUNT #: E1190180	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	66.85	0.00	66.85	5.0	3.34
12/31/2017	***-**-904I - PRZYLUCHE, ACCOUNT #: E1331165	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	147.71	0.00	147.71	5.0	7.39
12/31/2017	***-**-729I - PRZYLUCHE, PHILIP ACCOUNT #: E1094963	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	10.79	0.00	10.79	5.0	0.54



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: WILLIAM ROBERTS (continued) </u>								
12/31/2017	***-**-904I - PRZYLUKE, ACCOUNT #: E1091145	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	87.72	0.00	87.72	5.0	4.39
12/31/2017	***-**-274I - ROBERTS, ADELLA ACCOUNT #: E0728348	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	44.22	0.00	44.22	5.0	2.21
12/31/2017	***-**-7981 - D'ANGELO, ACCOUNT #: E0731699	PRUDENTIAL VA TRAILS 74430A235 BUY 0 Units @0.0000	0.00	1,627.07	0.00	1,627.07	5.0	81.35
12/31/2017	***-**-7981 - D'ANGELO, ACCOUNT #: E0731699	PRUDENTIAL VA TRAILS 74430A235 BUY 0 Units @0.0000	0.00	406.76	0.00	406.76	5.0	20.34
* WILLIAM ROBERTS SUBTOTAL *			\$0.00	\$2,914.45	\$0.00	\$2,914.45		\$145.72
<u> BROKER: FREDERIC SCARPULLA </u>								
12/18/2017	***-**-0006 - FORSYTH, KATHRYN ACCOUNT #: 04000650661	AMCAP FUND-C BUY 2 Units @27.8900	57.69	0.58	0.00	0.58	10.0	0.06
12/29/2017	***-**-0006 - FORSYTH, KATHRYN ACCOUNT #: 04000650661	AMCAP FUND-C BUY 2 Units @27.8700	57.69	0.58	0.00	0.58	10.0	0.06
12/18/2017	***-**-395P - DIVASTA, ANTHONY ACCOUNT #: 00059597416	AMERICAN BALANCED FUND-A BUY 2 Units @29.5500	50.00	1.88	0.00	1.88	10.0	0.19
12/22/2017	***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	AMERICAN BALANCED FUND-A BUY 1 Units @27.1200	20.00	0.20	0.00	0.20	10.0	0.02
12/22/2017	***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	AMERICAN BALANCED FUND-A BUY 0 Units @27.1200	10.00	0.10	0.00	0.10	10.0	0.01
12/22/2017	***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	AMERICAN BALANCED FUND-A BUY 1 Units @28.5500	30.00	1.28	0.00	1.28	10.0	0.13
12/26/2017	***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	AMERICAN BALANCED FUND-A BUY 4 Units @28.5600	100.00	4.25	0.00	4.25	10.0	0.43
12/18/2017	***-**-7470 - SANFILIPPO, JOHN ACCOUNT #: 04000638933	AMERICAN BALANCED FUND-C BUY 1656 Units @28.0100	46,387.10	463.87	0.00	463.87	10.0	46.39
12/18/2017	***-**-3834 - SWARTWOUT, ACCOUNT #: 00089957234	AMERICAN BALANCED FUND-C BUY 2 Units @28.0100	50.00	0.50	0.00	0.50	10.0	0.05
12/18/2017	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	AMERICAN BALANCED FUND-C BUY 6 Units @28.0100	157.90	1.58	0.00	1.58	10.0	0.16
12/18/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @28.0100	20.00	0.20	0.00	0.20	10.0	0.02



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
12/18/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @28.0100	20.00	0.20	0.00	0.20	10.0	0.02
12/18/2017	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089244081	AMERICAN BALANCED FUND-C BUY 3 Units @28.0100	83.77	0.84	0.00	0.84	10.0	0.08
12/18/2017	***-**-281S - FLUGEL, AMANDA ACCOUNT #: 00089561651	AMERICAN BALANCED FUND-C BUY 1 Units @28.0100	40.00	0.40	0.00	0.40	10.0	0.04
12/18/2017	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @28.0100	33.08	0.33	0.00	0.33	10.0	0.03
12/18/2017	***-**-035S - CAPIZZI, TRACIE ACCOUNT #: 00089679504	AMERICAN BALANCED FUND-C BUY 1 Units @28.0100	20.00	0.20	0.00	0.20	10.0	0.02
12/21/2017	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @26.9600	28.05	0.28	0.00	0.28	10.0	0.03
12/21/2017	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @26.9600	6.00	0.06	0.00	0.06	10.0	0.01
12/21/2017	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 1 Units @26.9600	16.00	0.16	0.00	0.16	10.0	0.02
12/21/2017	***-**-2459 - MASCARO, ANTHONY ACCOUNT #: 00085904215	AMERICAN BALANCED FUND-C BUY 1 Units @26.9600	20.00	0.20	0.00	0.20	10.0	0.02
12/21/2017	***-**-2459 - MASCARO, ANTHONY ACCOUNT #: 00085904215	AMERICAN BALANCED FUND-C BUY 0 Units @26.9600	5.91	0.06	0.00	0.06	10.0	0.01
12/26/2017	***-**-3834 - SWARTWOUT, ACCOUNT #: 00089957234	AMERICAN BALANCED FUND-C BUY 2 Units @26.9600	50.00	0.50	0.00	0.50	10.0	0.05
12/26/2017	***-**-398I - GUERRIERI, PAUL ACCOUNT #: 00086040659	AMERICAN BALANCED FUND-C BUY 4 Units @26.9600	100.00	1.00	0.00	1.00	10.0	0.10
12/26/2017	***-**-5838 - SPOLETA, BRENDA ACCOUNT #: 00087435959	AMERICAN BALANCED FUND-C BUY 2 Units @26.9600	50.00	0.50	0.00	0.50	10.0	0.05
12/26/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @26.9600	20.00	0.20	0.00	0.20	10.0	0.02
12/26/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @26.9600	20.00	0.20	0.00	0.20	10.0	0.02
12/26/2017	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @26.9600	32.22	0.32	0.00	0.32	10.0	0.03



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
12/26/2017	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089910177	BUY 4 Units @26.9600						
12/26/2017	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089910177	BUY 4 Units @26.9600						
12/29/2017	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @26.9800						
12/29/2017	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @26.9800						
12/29/2017	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.74	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @26.9800						
12/29/2017	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @26.9800						
12/29/2017	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	5.44	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904215	BUY 0 Units @26.9800						
12/29/2017	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00085904215	BUY 1 Units @26.9800						
12/29/2017	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	111.06	1.11	0.00	1.11	10.0	0.11
	ACCOUNT #: 00089244081	BUY 4 Units @26.9800						
12/29/2017	***-**-281S - FLUGEL, AMANDA	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089561651	BUY 1 Units @26.9800						
12/29/2017	***-**-035S - CAPIZZI, TRACIE	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089679504	BUY 1 Units @26.9800						
12/29/2017	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	62.97	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00089722785	BUY 2 Units @26.9800						
12/29/2017	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	418.40	4.18	0.00	4.18	10.0	0.42
	ACCOUNT #: 00089722785	BUY 16 Units @26.9800						
12/26/2017	***-**-5838 - SPOLETA, BRENDA	AMERICAN GLOBAL BALANCED CL C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00088037501	BUY 3 Units @32.2800						
12/26/2017	***-**-5838 - SPOLETA, BRENDA	AMERICAN HIGH INCOME MUNI BOND CLAS	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087435959	BUY 3 Units @15.9100						
12/21/2017	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @10.3600						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
12/21/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.3600	105.00	1.05	0.00	1.05	10.0	0.11
12/26/2017	***-**-5838 - SPOLETA, BRENDA ACCOUNT #: 00087435959	AMERICAN HIGH-INCOME TRUST-C BUY 5 Units @10.3500	50.00	0.50	0.00	0.50	10.0	0.05
12/29/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.3700	4.55	0.05	0.00	0.05	10.0	0.01
12/29/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.3700	105.00	1.05	0.00	1.05	10.0	0.11
12/22/2017	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	AMERICAN MUTUAL FUND-A BUY 1 Units @40.8200	30.00	0.30	0.00	0.30	10.0	0.03
12/22/2017	***-**-255P - EVANS, JAMES ACCOUNT #: 00066759711	AMERICAN MUTUAL FUND-A BUY 17 Units @40.8200	692.72	6.93	0.00	6.93	10.0	0.69
12/21/2017	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @40.2300	5.00	0.05	0.00	0.05	10.0	0.01
12/29/2017	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @40.2300	5.00	0.05	0.00	0.05	10.0	0.01
12/31/2017	***-**-44IN - GIULIANO, GEORGE ACCOUNT #: E0582476	AS ADVISORS PLAN III BUY 0 Units @0.0000	0.00	8.02	0.00	8.02	10.0	0.80
12/31/2017	***-**-44IN - GIULIANO, GEORGE ACCOUNT #: E0582476	AS ADVISORS PLAN III BUY 0 Units @0.0000	0.00	8.02	0.00	8.02	10.0	0.80
12/18/2017	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 03222325444	CAPITAL APPRECIATION C BUY 0 Units @0.0000	61.61	0.62	0.00	0.62	10.0	0.06
12/22/2017	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 03220387068	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
12/22/2017	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03222192157	CAPITAL APPRECIATION C BUY 0 Units @0.0000	68.00	0.68	0.00	0.68	10.0	0.07
12/22/2017	***-**-1834 - BUTLER, KIM ACCOUNT #: 03222200176	CAPITAL APPRECIATION C BUY 0 Units @0.0000	20.00	0.20	0.00	0.20	10.0	0.02
12/22/2017	***-**-1834 - BUTLER, KIM ACCOUNT #: 03222200176	CAPITAL APPRECIATION C BUY 0 Units @0.0000	341.70	3.42	0.00	3.42	10.0	0.34
12/21/2017	***-**-9611 - MACDUFFIE, LINDA ACCOUNT #: 00087299599	CAPITAL INCOME BUILDER CLASS C BUY 5 Units @63.9500	300.00	3.00	0.00	3.00	10.0	0.30



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
12/26/2017	***-**-5838 - SPOLETA, BRENDA	CAPITAL INCOME BUILDER CLASS C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00088037501	BUY 2 Units @62.5900						
12/29/2017	***-**-4392 - GARCIA, MICHELLE	CAPITAL INCOME BUILDER CLASS C	135.00	1.35	0.00	1.35	10.0	0.14
	ACCOUNT #: 00085764363	BUY 2 Units @62.9000						
12/29/2017	***-**-4392 - GARCIA, MICHELLE	CAPITAL INCOME BUILDER CLASS C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @62.9000						
12/20/2017	***-**-0447 - LEVINE, JACQUE	CAPITAL INCOME BUILDER-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00084996765	BUY 1 Units @66.8300						
12/26/2017	***-**-398I - GUERRIERI, PAUL	CAPITAL WORLD BOND FUND-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00086040659	BUY 5 Units @19.5100						
12/18/2017	***-**-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 @52.9200						
12/18/2017	***-**-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 @52.9200						
12/21/2017	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	10.0	0.10
	ACCOUNT #: 00087038420	BUY 2 Units @50.3800						
12/26/2017	***-**-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 @50.2900						
12/26/2017	***-**-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 @50.2900						
12/26/2017	***-**-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 @50.2900						
12/26/2017	***-**-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 @50.2900						
12/26/2017	***-**-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 @50.2900						
12/29/2017	***-**-1209 - NATALE, KIMBERLY	CAPITAL WORLD GROWTH AND INCOME FUN	270.00	2.70	0.00	2.70	10.0	0.27
	ACCOUNT #: 00085764285	BUY 5 Units @50.5600						
12/29/2017	***-**-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 @50.5600						
12/29/2017	***-**-4392 - GARCIA, MICHELLE	CAPITAL WORLD GROWTH AND INCOME FUN	135.00	1.35	0.00	1.35	10.0	0.14
	ACCOUNT #: 00085764363	BUY 3 Units @50.5600						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
12/29/2017	***-**-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 @50.5600						
12/29/2017	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	10.0	0.10
	ACCOUNT #: 00087038420	BUY 2 Units @50.5600						
12/31/2017	***-**-1314 - BENEDETTO,	CHOICEPLUS ASSURANCE BONUS	0.00	97.38	0.00	97.38	10.0	9.74
	ACCOUNT #: 921065489	BUY 0 Units @0.0000						
12/31/2017	***-**-04IN - KUBIAK, ANN	CHOICEPLUS ASSURANCE BONUS	0.00	44.28	0.00	44.28	10.0	4.43
	ACCOUNT #: 921065887	BUY 0 Units @0.0000						
12/31/2017	***-**-5242 - RUES TRUST,	CHOICEPLUS ASSURANCE BONUS	0.00	138.44	0.00	138.44	10.0	13.84
	ACCOUNT #: 921067171	BUY 0 Units @0.0000						
12/31/2017	***-**-306I - SINCLAIR,	CHOICEPLUS ASSURANCE BONUS	0.00	181.62	0.00	181.62	10.0	18.16
	ACCOUNT #: 921071862	BUY 0 Units @0.0000						
12/31/2017	***-**-22IN - WAGNER, LAUREL	CHOICEPLUS ASSURANCE BONUS	0.00	83.42	0.00	83.42	10.0	8.34
	ACCOUNT #: 921071872	BUY 0 Units @0.0000						
12/31/2017	***-**-2163 - TRAPANI, JAMES	CHOICEPLUS ASSURANCE BONUS	0.00	67.00	0.00	67.00	10.0	6.70
	ACCOUNT #: 921075689	BUY 0 Units @0.0000						
12/31/2017	***-**-0242 - COZZO, JOSEPHINE	CHOICEPLUS ASSURANCE BONUS	0.00	741.28	0.00	741.28	10.0	74.13
	ACCOUNT #: 921077310	BUY 0 Units @0.0000						
01/01/2018	***-**-526I - CAVALLARO,	DREYFUS MF TRAILS	0.00	2.20	0.00	2.20	10.0	0.22
	ACCOUNT #: 3360045601	BUY 0 Units @0.0000						
12/18/2017	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. C	46.21	0.46	0.00	0.46	10.0	0.05
	ACCOUNT #: 08370596090	BUY 0 Units @0.0000						
12/18/2017	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 08370627385	BUY 0 Units @0.0000						
12/22/2017	***-**-445P - BURNS, DANIEL	EUROPACIFIC GROWTH FUND-A	19.80	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00066758346	BUY 0 Units @55.8400						
01/02/2018	***-**-20IN - GIANGRECO, TERRY	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	1.08	0.00	1.08	10.0	0.11
	ACCOUNT #: LSR010603	BUY 1 Units @0.0000						
12/22/2017	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00066759710	BUY 0 Units @62.2200						
12/21/2017	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @61.9300						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
12/21/2017	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @61.9300						
12/26/2017	***-**-615P - LE, TU	FUNDAMENTAL INVESTORS-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00075107985	BUY 1 Units @61.8500						
12/29/2017	***-**-7625 - PRINCE, ADAM	FUNDAMENTAL INVESTORS-C	1,471.00	14.71	0.00	14.71	10.0	1.47
	ACCOUNT #: 00085764342	BUY 24 Units @61.8800						
12/29/2017	***-**-7625 - PRINCE, ADAM	FUNDAMENTAL INVESTORS-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085764342	BUY 1 Units @61.8800						
12/29/2017	***-**-4392 - GARCIA, MICHELLE	FUNDAMENTAL INVESTORS-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @61.8800						
12/29/2017	***-**-4392 - GARCIA, MICHELLE	FUNDAMENTAL INVESTORS-C	135.00	1.35	0.00	1.35	10.0	0.14
	ACCOUNT #: 00085764363	BUY 2 Units @61.8800						
12/29/2017	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @61.8800						
12/29/2017	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @61.8800						
01/02/2018	***-**-92IR - CHEN, CYNTHIA	GLOBAL OPPORTUNITIES A	300.01	11.25	0.00	11.25	10.0	1.13
	ACCOUNT #: LSR011412	BUY 4 Units @73.4600						
12/18/2017	***-**-2620 - CUSIMANO, MEGAN	GLOBAL OPPORTUNITIES FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02171800557	BUY 0 Units @0.0000						
12/18/2017	***-**-729I - GIAMBRONE, KELLY	GLOBAL OPPORTUNITIES FUND C	77.02	0.77	0.00	0.77	10.0	0.08
	ACCOUNT #: 02171875445	BUY 0 Units @0.0000						
12/22/2017	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						
12/27/2017	***-**-9530 - MILAM, IAN	GLOBAL OPPORTUNITIES FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02171852708	BUY 0 Units @0.0000						
12/27/2017	***-**-90FB - DIODATO, CAROL	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
12/21/2017	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00087236607	BUY 2 Units @23.0000						
12/29/2017	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00087236607	BUY 2 Units @23.0800						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
12/18/2017	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	32.11	0.32	0.00	0.32	10.0	0.03
	ACCOUNT #: 00089583477	BUY 1 Units @39.9500						
12/21/2017	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @40.0500						
12/26/2017	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	31.27	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089583477	BUY 1 Units @39.9800						
12/29/2017	***-**-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 @39.9800						
12/29/2017	***-**-1209 - NATALE, KIMBERLY	INVESTMENT COMPANY OF AMERICA CLASS	270.00	2.70	0.00	2.70	10.0	0.27
	ACCOUNT #: 00085764285	BUY 7 Units @39.9800						
12/29/2017	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @39.9800						
12/29/2017	***-**-96CL - SCARPULLA,	INVESTMENT COMPANY OF AMERICA CLASS	47.22	0.47	0.00	0.47	10.0	0.05
	ACCOUNT #: 00089722785	BUY 1 Units @39.9800						
12/29/2017	***-**-96CL - SCARPULLA,	INVESTMENT COMPANY OF AMERICA CLASS	313.80	3.14	0.00	3.14	10.0	0.31
	ACCOUNT #: 00089722785	BUY 8 Units @39.9800						
12/31/2017	***-**-7981 - D'ANGELO,	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	46.97	0.00	46.97	10.0	4.70
	ACCOUNT #: 921039927	BUY 0 Units @0.0000						
12/31/2017	***-**-606A - REUS, MARTHA	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	251.62	0.00	251.62	10.0	25.16
	ACCOUNT #: 921040463	BUY 0 Units @0.0000						
12/31/2017	***-**-42IN - SANFILIPPO,	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	571.10	0.00	571.10	10.0	57.11
	ACCOUNT #: 921055159	BUY 0 Units @0.0000						
12/31/2017	***-**-88VA - PRZYLUCHE, LAUREN	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	16.63	0.00	16.63	10.0	1.66
	ACCOUNT #: 921056190	BUY 0 Units @0.0000						
12/31/2017	***-**-0504 - DIGIOVANNI,	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	59.47	0.00	59.47	10.0	5.95
	ACCOUNT #: 921056263	BUY 0 Units @0.0000						
12/31/2017	***-**-966I - RAGO, RICHARD	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	408.75	0.00	408.75	10.0	40.88
	ACCOUNT #: 921056587	BUY 0 Units @0.0000						
12/31/2017	***-**-4856 - MALIN, RUTH	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	31.04	0.00	31.04	10.0	3.10
	ACCOUNT #: 921056600	BUY 0 Units @0.0000						
12/31/2017	***-**-4856 - MALIN, RUTH	LINCOLN FIN VA TRAILS DTCC 53378545	0.00	31.09	0.00	31.09	10.0	3.11
	ACCOUNT #: 921056599	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
12/31/2017	***-**-56IN - MALIN, RUTH	LINCOLN NATIONAL LIFE CUSIP 5337878	0.00	52.28	0.00	52.28	10.0	5.23
	ACCOUNT #: 921063935	BUY 0 Units @0.0000						
12/31/2017	***-**-7336 - DELONG, SHIRLEY	LINCOLN NATIONAL LIFE CUSIP 5337878	0.00	98.94	0.00	98.94	10.0	9.89
	ACCOUNT #: 921065495	BUY 0 Units @0.0000						
12/31/2017	***-**-0846 - MORROW, DONNA	LINCOLN NATIONAL LIFE CUSIP 5337878	0.00	87.59	0.00	87.59	10.0	8.76
	ACCOUNT #: 921069429	BUY 0 Units @0.0000						
12/31/2017	***-**-97IN - WAGNER, PAUL	LINCOLN NATIONAL LIFE CUSIP 5337878	0.00	66.53	0.00	66.53	10.0	6.65
	ACCOUNT #: 921070651	BUY 0 Units @0.0000						
12/31/2017	***-**-68IN - TASCHETTO,	LINCOLN NATIONAL LIFE CUSIP 5337878	0.00	71.91	0.00	71.91	10.0	7.19
	ACCOUNT #: 921073961	BUY 0 Units @0.0000						
12/31/2017	***-**-68IN - TASCHETTO,	LINCOLN NATIONAL LIFE CUSIP 5337878	0.00	248.36	0.00	248.36	10.0	24.84
	ACCOUNT #: 921074365	BUY 0 Units @0.0000						
12/18/2017	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	77.02	0.77	0.00	0.77	10.0	0.08
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						
12/18/2017	***-**-262O - CUSIMANO, MEGAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
12/22/2017	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	66.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
12/22/2017	***-**-733O - JOHNSON, DONALD	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
12/27/2017	***-**-498O - MOYER, COLLEEN	MAIN STREET FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
12/27/2017	***-**-953O - MILAM, IAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024469113	BUY 0 Units @0.0000						
12/27/2017	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
12/22/2017	***-**-445P - BURNS, DANIEL	NEW PERSPECTIVE FUND-A	19.80	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00066758346	BUY 0 Units @43.0500						
12/21/2017	***-**-172I - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @41.3900						
12/21/2017	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 1 Units @41.3900						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
12/26/2017	***-**-05IN - RANDALL, ADAM	NEW PERSPECTIVE FUND-C	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00085941585	BUY 4 Units @41.3200						
12/29/2017	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @41.4800						
12/29/2017	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 1 Units @41.4800						
12/21/2017	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @64.1900						
12/21/2017	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @64.1900						
12/21/2017	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @64.1900						
12/26/2017	***-**-05IN - RANDALL, ADAM	NEW WORLD FUND-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00085941585	BUY 2 Units @64.2100						
12/26/2017	***-**-398I - GUERRIERI, PAUL	NEW WORLD FUND-C	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00086040659	BUY 2 Units @64.2100						
12/29/2017	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @64.6900						
12/29/2017	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @64.6900						
12/29/2017	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @64.6900						
01/04/2018	***-**-3758 - CONNORS, DAVID	NYA JPM 529 AGGR AGE-BASE C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 77162702001	BUY 0 Units @0.0000						
01/04/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 EQUITY INCOME PORTF C	138.52	1.39	0.00	1.39	10.0	0.14
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
01/08/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 EQUITY INCOME PORTF C	138.52	1.39	0.00	1.39	10.0	0.14
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
01/08/2018	***-**-80IN - MOYER, COLLEEN	NYA JPM 529 EQUITY INCOME PORTF C	50.00	1.52	0.00	1.52	10.0	0.15
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
01/04/2018	***-**-80IN - MOYER, COLLEEN	NYA JPM 529 MOD AGE-BASED A	25.00	0.76	0.00	0.76	10.0	0.08
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/04/2018	***-**-80IN - MOYER, COLLEEN	NYA JPM 529 MOD GROWTH AGE A	25.00	0.76	0.00	0.76	10.0	0.08
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
01/04/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 MOD GROWTH POR C	138.52	1.39	0.00	1.39	10.0	0.14
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
12/22/2017	***-**-3407 - SUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
12/22/2017	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
12/22/2017	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER CORP BOND FND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00100067156	BUY 0 Units @0.0000						
12/22/2017	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	66.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
12/18/2017	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	46.20	0.46	0.00	0.46	10.0	0.05
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
12/18/2017	***-**-541P - SCHILLACI, AMY	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						
12/18/2017	***-**-1314 - BENEDETTO,	OPPENHEIMER RISING DIVIDENDS FUND C	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 02270934318	BUY 0 Units @0.0000						
12/18/2017	***-**-655P - DAVIS, BERTHA	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02271237808	BUY 0 Units @0.0000						
12/22/2017	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02271182830	BUY 0 Units @0.0000						
12/27/2017	***-**-4980 - MOYER, COLLEEN	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
01/02/2018	***-**-92IR - CHEN, CYNTHIA	PIMCO TOTAL RETURN CLASS A	0.00	0.24	0.00	0.24	10.0	0.02
	ACCOUNT #: LSR011412	BUY 1 Units @0.0000						
12/31/2017	***-**-05IO - KIMBLE, LONNY	PRUDENTIAL VA 74430T119	0.00	1,409.61	0.00	1,409.61	10.0	140.96
	ACCOUNT #: E1832087	BUY 0 Units @0.0000						
12/31/2017	***-**-214I - RUSH, ROBERT	PRUDENTIAL VA TRAILS 74429P110	0.00	48.07	0.00	48.07	10.0	4.81
	ACCOUNT #: E1071856	BUY 0 Units @0.0000						
12/31/2017	***-**-54VA - FANTAUZZO, EVA	PRUDENTIAL VA TRAILS 74429P110	0.00	2.43	0.00	2.43	10.0	0.24
	ACCOUNT #: E1438479	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
12/31/2017	***-**-503J - OBI, JEAN	PRUDENTIAL VA TRAILS 74429P110	0.00	77.36	0.00	77.36	10.0	7.74
	ACCOUNT #: E1441415	BUY 0 Units @0.0000						
12/31/2017	***-**-339I - SANFILIPPO,	PRUDENTIAL VA TRAILS 74429P110	0.00	228.32	0.00	228.32	10.0	22.83
	ACCOUNT #: E1313282	BUY 0 Units @0.0000						
12/31/2017	***-**-7470 - SANFILIPPO, JOHN	PRUDENTIAL VA TRAILS 74429P110	0.00	176.77	0.00	176.77	10.0	17.68
	ACCOUNT #: E1313272	BUY 0 Units @0.0000						
12/31/2017	***-**-904R - PRZYLUCHE,	PRUDENTIAL VA TRAILS 74429P110	0.00	54.43	0.00	54.43	10.0	5.44
	ACCOUNT #: E1434564	BUY 0 Units @0.0000						
12/31/2017	***-**-20VA -	PRUDENTIAL VA TRAILS 74429P110	0.00	168.72	0.00	168.72	10.0	16.87
	ACCOUNT #: E1490657	BUY 0 Units @0.0000						
12/31/2017	***-**-47IN - SIDARE, ANDREA	PRUDENTIAL VA TRAILS 74429P110	0.00	44.57	0.00	44.57	10.0	4.46
	ACCOUNT #: E1190180	BUY 0 Units @0.0000						
12/31/2017	***-**-7633 - FREDERICO, LEE	PRUDENTIAL VA TRAILS 74429P110	0.00	50.11	0.00	50.11	10.0	5.01
	ACCOUNT #: E1387199	BUY 0 Units @0.0000						
12/31/2017	***-**-928I - SPALLINA,	PRUDENTIAL VA TRAILS 74429P110	0.00	41.53	0.00	41.53	10.0	4.15
	ACCOUNT #: E1289944	BUY 0 Units @0.0000						
12/31/2017	***-**-9360 - SPALLINA, DIANE	PRUDENTIAL VA TRAILS 74429P110	0.00	37.97	0.00	37.97	10.0	3.80
	ACCOUNT #: E1289869	BUY 0 Units @0.0000						
12/31/2017	***-**-904I - PRZYLUCHE,	PRUDENTIAL VA TRAILS 74429P110	0.00	98.48	0.00	98.48	10.0	9.85
	ACCOUNT #: E1331165	BUY 0 Units @0.0000						
12/31/2017	***-**-729I - PRZYLUCHE, PHILIP	PRUDENTIAL VA TRAILS 74429P110	0.00	4.63	0.00	4.63	10.0	0.46
	ACCOUNT #: E1094963	BUY 0 Units @0.0000						
12/31/2017	***-**-904I - PRZYLUCHE,	PRUDENTIAL VA TRAILS 74429P110	0.00	37.59	0.00	37.59	10.0	3.76
	ACCOUNT #: E1091145	BUY 0 Units @0.0000						
01/02/2018	***-**-339I - SANFILIPPO,	PRUDENTIAL VA TRAILS 74429P110	30,712.58	614.25	0.00	614.25	10.0	61.43
	ACCOUNT #: E1313282	BUY 0 Units @0.0000						
12/31/2017	***-**-0242 - COZZO, JOSEPHINE	PRUDENTIAL VA TRAILS 74429P128	0.00	48.61	0.00	48.61	10.0	4.86
	ACCOUNT #: E1120418	BUY 0 Units @0.0000						
12/31/2017	***-**-054P - FANTAUZZO, EVA	PRUDENTIAL VA TRAILS 74430A227	0.00	6.98	0.00	6.98	10.0	0.70
	ACCOUNT #: 000619108	BUY 0 Units @0.0000						
12/31/2017	***-**-054P - FANTAUZZO, EVA	PRUDENTIAL VA TRAILS 74430A227	0.00	6.98	0.00	6.98	10.0	0.70
	ACCOUNT #: 000619108	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
12/31/2017	***-**-1926 - VERCRUYSE, ACCOUNT #: 000618899	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	22.22	0.00	22.22	10.0	2.22
12/31/2017	***-**-1926 - VERCRUYSE, ACCOUNT #: 000618899	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	22.22	0.00	22.22	10.0	2.22
12/31/2017	***-**-598P - OLIVERI, ANNA ACCOUNT #: 000640985	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	5.32	0.00	5.32	10.0	0.53
12/31/2017	***-**-598P - OLIVERI, ANNA ACCOUNT #: 000640985	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	5.32	0.00	5.32	10.0	0.53
12/31/2017	***-**-274I - ROBERTS, ADELLA ACCOUNT #: E0728348	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	18.95	0.00	18.95	10.0	1.90
12/31/2017	***-**-5564 - BAUSCH, LEE ACCOUNT #: E0397149	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	32.79	0.00	32.79	10.0	3.28
12/31/2017	***-**-5564 - BAUSCH, LEE ACCOUNT #: E0397149	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	32.79	0.00	32.79	10.0	3.28
12/31/2017	***-**-307I - SCARPULLA, MARY ACCOUNT #: E0559154	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	83.29	0.00	83.29	10.0	8.33
12/31/2017	***-**-307I - SCARPULLA, MARY ACCOUNT #: E0559154	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	83.29	0.00	83.29	10.0	8.33
12/31/2017	***-**-0242 - COZZO, JOSEPHINE ACCOUNT #: E0939612	PRUDENTIAL VA TRAILS 74430A235 BUY 0 Units @0.0000	0.00	241.35	0.00	241.35	10.0	24.14
12/31/2017	***-**-0242 - COZZO, JOSEPHINE ACCOUNT #: E0939612	PRUDENTIAL VA TRAILS 74430A235 BUY 0 Units @0.0000	0.00	60.34	0.00	60.34	10.0	6.03
12/31/2017	***-**-0008 - COZZO, LUIGI ACCOUNT #: E0977978	PRUDENTIAL VA TRAILS 74430A235 BUY 0 Units @0.0000	0.00	288.22	0.00	288.22	10.0	28.82
12/31/2017	***-**-0008 - COZZO, LUIGI ACCOUNT #: E0977978	PRUDENTIAL VA TRAILS 74430A235 BUY 0 Units @0.0000	0.00	72.05	0.00	72.05	10.0	7.21
12/31/2017	***-**-291A - HERTZEL, ACCOUNT #: E0781856	PRUDENTIAL VA TRAILS 74430A235 BUY 0 Units @0.0000	0.00	134.31	0.00	134.31	10.0	13.43
12/31/2017	***-**-291A - HERTZEL, ACCOUNT #: E0781856	PRUDENTIAL VA TRAILS 74430A235 BUY 0 Units @0.0000	0.00	44.77	0.00	44.77	10.0	4.48
12/31/2017	***-**-7981 - D'ANGELO, ACCOUNT #: E0731699	PRUDENTIAL VA TRAILS 74430A235 BUY 0 Units @0.0000	0.00	697.31	0.00	697.31	10.0	69.73



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
12/31/2017	***-**-7981 - D'ANGELO, ACCOUNT #: E0731699	PRUDENTIAL VA TRAILS 74430A235 BUY 0 Units @0.0000	0.00	174.33	0.00	174.33	10.0	17.43
12/18/2017	***-**-1314 - BENEDETTO, ACCOUNT #: 02592292741	QUEST BALANCED FUND C BUY 0 Units @0.0000	250.00	2.50	0.00	2.50	10.0	0.25
12/18/2017	***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 05920400103	REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
12/22/2017	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 05920398266	REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
12/27/2017	***-**-9530 - MILAM, IAN ACCOUNT #: 05920419496	REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
01/02/2018	***-**-921R - CHEN, CYNTHIA ACCOUNT #: LSR011412	SELECT VALUE FUND A BUY 12 Units @25.7000	300.00	11.25	0.00	11.25	10.0	1.13
12/22/2017	***-**-1834 - BUTLER, KIM ACCOUNT #: 02531162106	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	20.00	0.20	0.00	0.20	10.0	0.02
12/22/2017	***-**-1834 - BUTLER, KIM ACCOUNT #: 02531162106	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	341.70	3.42	0.00	3.42	10.0	0.34
12/27/2017	***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02531288969	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
12/22/2017	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	SMALLCAP WORLD FUND-A BUY 1 Units @55.5800	28.60	0.29	0.00	0.29	10.0	0.03
12/21/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @48.9500	48.20	0.48	0.00	0.48	10.0	0.05
12/29/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @49.0900	48.20	0.48	0.00	0.48	10.0	0.05
12/18/2017	***-**-1314 - BENEDETTO, ACCOUNT #: 02322751089	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	125.00	1.25	0.00	1.25	10.0	0.13
12/22/2017	***-**-1834 - BUTLER, KIM ACCOUNT #: 01920863291	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	10.00	0.10	0.00	0.10	10.0	0.01
12/22/2017	***-**-1834 - BUTLER, KIM ACCOUNT #: 01920863291	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	170.85	1.71	0.00	1.71	10.0	0.17
01/08/2018	***-**-631R - DIAMOND, ANN ACCOUNT #: LSR011725	SUNAMERICA FOCUSED DIVIDEND STRAT C BUY 1 Units @0.0000	0.00	0.88	0.00	0.88	10.0	0.09



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
12/22/2017	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	THE BOND FUND OF AMERICA-A BUY 2 Units @12.8400	19.80	0.20	0.00	0.20	10.0	0.02
12/21/2017	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.8400	28.05	0.28	0.00	0.28	10.0	0.03
12/21/2017	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.8400	9.00	0.09	0.00	0.09	10.0	0.01
12/26/2017	***-**-5838 - SPOLETA, BRENDA ACCOUNT #: 00088037501	THE BOND FUND OF AMERICA-C BUY 8 Units @12.8500	100.00	1.00	0.00	1.00	10.0	0.10
12/29/2017	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.8900	28.05	0.28	0.00	0.28	10.0	0.03
12/29/2017	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.8900	9.00	0.09	0.00	0.09	10.0	0.01
12/22/2017	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 5 Units @49.6100	250.00	2.50	0.00	2.50	10.0	0.25
12/22/2017	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	THE GROWTH FUND OF AMERICA-A BUY 1 Units @49.6100	30.00	0.30	0.00	0.30	10.0	0.03
12/22/2017	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	THE GROWTH FUND OF AMERICA-A BUY 1 Units @49.6100	72.60	0.73	0.00	0.73	10.0	0.07
12/22/2017	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	THE GROWTH FUND OF AMERICA-A BUY 1 Units @49.6100	30.00	0.30	0.00	0.30	10.0	0.03
12/22/2017	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE GROWTH FUND OF AMERICA-A BUY 1 Units @49.6100	50.00	0.50	0.00	0.50	10.0	0.05
12/22/2017	***-**-095P - RIVERA, MIGUEL ACCOUNT #: 00074922243	THE GROWTH FUND OF AMERICA-A BUY 3 Units @49.6100	130.00	1.30	0.00	1.30	10.0	0.13
12/22/2017	***-**-4750 - OSCHMANN, MARK ACCOUNT #: 00083414110	THE GROWTH FUND OF AMERICA-A BUY 1 Units @49.6100	58.91	0.59	0.00	0.59	10.0	0.06
12/22/2017	***-**-9447 - ZAJONCZKOSKI, ACCOUNT #: 00087318332	THE GROWTH FUND OF AMERICA-A BUY 0 Units @49.6100	20.00	0.20	0.00	0.20	10.0	0.02
12/22/2017	***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	THE GROWTH FUND OF AMERICA-A BUY 0 Units @49.6100	10.00	0.10	0.00	0.10	10.0	0.01
12/28/2017	***-**-995P - ARBORE, CARL ACCOUNT #: 00081166789	THE GROWTH FUND OF AMERICA-A BUY 1 Units @51.6100	50.00	1.38	0.00	1.38	10.0	0.14



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
12/28/2017	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	800.00	30.00	0.00	30.00	10.0	3.00
	ACCOUNT #: 00086606929	BUY 15 Units @52.1500						
12/28/2017	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	207.36	7.78	0.00	7.78	10.0	0.78
	ACCOUNT #: 00086606929	BUY 4 Units @52.1500						
12/18/2017	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	148.61	1.49	0.00	1.49	10.0	0.15
	ACCOUNT #: 00073003754	BUY 3 Units @49.2100						
12/18/2017	***-**-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 @49.2100						
12/18/2017	***-**-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 @49.2100						
12/18/2017	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	54.57	0.55	0.00	0.55	10.0	0.06
	ACCOUNT #: 00089319958	BUY 1 Units @49.2100						
12/18/2017	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	32.11	0.32	0.00	0.32	10.0	0.03
	ACCOUNT #: 00089583477	BUY 1 Units @49.2100						
12/18/2017	***-**-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 @49.2100						
12/21/2017	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @46.0500						
12/21/2017	***-**-50IN - BONACCI,	THE GROWTH FUND OF AMERICA-C	350.00	3.50	0.00	3.50	10.0	0.35
	ACCOUNT #: 00089947853	BUY 8 Units @46.0500						
12/22/2017	***-**-05IN - RANDALL, ADAM	THE GROWTH FUND OF AMERICA-C	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00085941585	BUY 1 Units @46.0200						
12/26/2017	***-**-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 @45.9700						
12/26/2017	***-**-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 @45.9700						
12/26/2017	***-**-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 @45.9700						
12/26/2017	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	31.27	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089583477	BUY 1 Units @45.9700						
12/26/2017	***-**-7186 - VELLA, DOMENICO	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000248474	BUY 1 Units @45.9700						



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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>								
12/26/2017	***-**-2678 - VELLA, VINCENZO	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000248491	BUY 1 Units @45.9700						
12/27/2017	***-**-1307 - BONACCI,	THE GROWTH FUND OF AMERICA-C	750.00	7.50	0.00	7.50	10.0	0.75
	ACCOUNT #: 00087952601	BUY 16 Units @46.0300						
12/27/2017	***-**-50IN - BONACCI,	THE GROWTH FUND OF AMERICA-C	750.00	7.50	0.00	7.50	10.0	0.75
	ACCOUNT #: 00089947853	BUY 16 Units @46.0300						
12/28/2017	***-**-1307 - BONACCI,	THE GROWTH FUND OF AMERICA-C	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 00087952601	BUY 11 Units @46.1900						
12/29/2017	***-**-4392 - GARCIA, MICHELLE	THE GROWTH FUND OF AMERICA-C	135.00	1.35	0.00	1.35	10.0	0.14
	ACCOUNT #: 00085764363	BUY 3 Units @45.9500						
12/29/2017	***-**-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 @45.9500						
12/29/2017	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @45.9500						
12/29/2017	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	366.59	3.67	0.00	3.67	10.0	0.37
	ACCOUNT #: 00088445726	BUY 8 Units @45.9500						
12/29/2017	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	69.96	0.70	0.00	0.70	10.0	0.07
	ACCOUNT #: 00089319958	BUY 2 Units @45.9500						
12/29/2017	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	47.22	0.47	0.00	0.47	10.0	0.05
	ACCOUNT #: 00089722785	BUY 1 Units @45.9500						
12/29/2017	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	313.80	3.14	0.00	3.14	10.0	0.31
	ACCOUNT #: 00089722785	BUY 7 Units @45.9500						
12/29/2017	***-**-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 @45.9500						
12/20/2017	***-**-8776 - LEVINE, TODD	THE INCOME FUND OF AMERICA-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00067996697	BUY 4 Units @24.3100						
12/18/2017	***-**-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 @42.2500						
12/22/2017	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00066758342	BUY 6 Units @40.4400						
12/22/2017	***-**-445P - BURNS, DANIEL	THE INVESTMENT COMPANY OF AMERICA-A	28.60	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00066758346	BUY 1 Units @40.4400						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
12/22/2017	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @40.4400						
12/22/2017	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 0 Units @40.4400						
12/18/2017	***-**-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 @44.0100						
12/18/2017	***-**-279J - HERRMANN, KEVIN	THE TAX-EXEMPT BOND FUND OF AMERICA	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 00086046167	BUY 10 Units @13.0200						
12/29/2017	***-**-278J - GUERRIERI, JOHN	THE TAX-EXEMPT BOND FUND OF AMERICA	2,000.00	20.00	0.00	20.00	10.0	2.00
	ACCOUNT #: 00084395514	BUY 153 Units @13.0400						
12/29/2017	***-**-51IN - GUERRIERI, KIM	THE TAX-EXEMPT BOND FUND OF AMERICA	1,000.00	10.00	0.00	10.00	10.0	1.00
	ACCOUNT #: 00085399151	BUY 77 Units @13.0400						
12/29/2017	***-**-75UG - GUERRIERI, SOFIA	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00085399166	BUY 19 Units @13.0400						
12/22/2017	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 00066758345	BUY 11 Units @45.6700						
12/22/2017	***-**-445P - BURNS, DANIEL	WASHINGTON MUTUAL INVESTORS FUND-A	30.80	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00066758346	BUY 1 Units @45.6700						
12/18/2017	***-**-435P - BOSCO, SOFIA	WASHINGTON MUTUAL INVESTORS FUND-C	157.90	1.58	0.00	1.58	10.0	0.16
	ACCOUNT #: 00073003754	BUY 4 Units @45.0800						
12/19/2017	***-**-7645 - SUSS, PATRICK	WASHINGTON MUTUAL INVESTORS FUND-C	3,000.00	30.00	0.00	30.00	10.0	3.00
		BUY 0 Units @0.0000						
12/26/2017	***-**-398I - GUERRIERI, PAUL	WASHINGTON MUTUAL INVESTORS FUND-C	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00086040659	BUY 3 Units @45.0900						
12/26/2017	***-**-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 @45.0900						
12/26/2017	***-**-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 @45.0900						
12/29/2017	***-**-96CL - SCARPULLA,	WASHINGTON MUTUAL INVESTORS FUND-C	366.59	3.67	0.00	3.67	10.0	0.37
	ACCOUNT #: 00088445726	BUY 8 Units @45.0800						
* FREDERIC SCARPULLA SUBTOTAL *			\$103,732.62	\$9,382.31	\$0.00	\$9,382.31		\$938.56



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: WILLIAM AGNELLO</u>								
12/29/2017	***-**-657I - RIEL, KEVIN	ALLIANZ TRAILS DTCC	0.00	112.86	0.00	112.86	20.0	22.57
	ACCOUNT #: GAX61148	BUY 0 Units @0.0000						
12/29/2017	***-**-25BA - DIPAOLO, JOSEPH	ALLIANZ TRAILS DTCC	0.00	49.99	0.00	49.99	20.0	10.00
	ACCOUNT #: GAX61419	BUY 0 Units @0.0000						
12/29/2017	***-**-43IN - CUP, NICHOLAS	ALLIANZ TRAILS DTCC	0.00	216.61	0.00	216.61	20.0	43.32
	ACCOUNT #: GAX61651	BUY 0 Units @0.0000						
12/29/2017	***-**-8172 - MAZZOCHETTI,	ALLIANZ VA TRAILS DTCC	0.00	74.65	0.00	74.65	20.0	14.93
	ACCOUNT #: GAP20277	BUY 0 Units @0.0000						
01/02/2018	***-**-925I - DIPAOLO, JOSEPH	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	1.59	0.00	1.59	20.0	0.32
	ACCOUNT #: LSR006874	BUY 1 Units @0.0000						
01/02/2018	***-**-43IN - CUP, NICHOLAS	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	4.80	0.00	4.80	20.0	0.96
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
01/02/2018	***-**-59T2 - ETHEL CUP IRREV	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.15	0.00	0.15	20.0	0.03
	ACCOUNT #: LSR006912	BUY 1 Units @0.0000						
01/02/2018	***-**-59T3 - ETHEL CUP IRREV	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.03	0.00	0.03	20.0	0.01
	ACCOUNT #: LSR006947	BUY 1 Units @0.0000						
01/02/2018	***-**-59T4 - ETHEL CUP TRUST	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.09	0.00	0.09	20.0	0.02
	ACCOUNT #: LSR006955	BUY 1 Units @0.0000						
01/02/2018	***-**-59T5 - ETHEL CUP TRUST	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.66	0.00	0.66	20.0	0.13
	ACCOUNT #: LSR006963	BUY 1 Units @0.0000						
01/02/2018	***-**-13IR - HAGER, MICHAEL	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.05	0.00	0.05	20.0	0.01
	ACCOUNT #: LSR006971	BUY 1 Units @0.0000						
01/02/2018	***-**-613K - HAGER	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.26	0.00	0.26	20.0	0.05
	ACCOUNT #: LSR006980	BUY 1 Units @0.0000						
01/02/2018	***-**-002I - NFS/FMTC IRA	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	2.06	0.00	2.06	20.0	0.41
	ACCOUNT #: LSR007005	BUY 1 Units @0.0000						
01/02/2018	***-**-098I - AQUILINA, MARIAN	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.08	0.00	0.08	20.0	0.02
	ACCOUNT #: LSR007072	BUY 1 Units @0.0000						
01/02/2018	***-**-963I - GAMMARIELLO,	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.96	0.00	0.96	20.0	0.19
	ACCOUNT #: LSR007102	BUY 1 Units @0.0000						
01/02/2018	***-**-90IR - NFS/FMTC ROTH	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.39	0.00	0.39	20.0	0.08
	ACCOUNT #: LSR007110	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: WILLIAM AGNELLO (continued)</u>								
01/02/2018	***-**-28IR - CUP, ANDREW ACCOUNT #: LSR007129	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.17	0.00	0.17	20.0	0.03
01/02/2018	***-**-28IN - CUP, ANDREW ACCOUNT #: LSR007137	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	20.0	0.06
01/02/2018	***-**-11IO - CRANDALL, ACCOUNT #: LSR007145	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	2.06	0.00	2.06	20.0	0.41
01/02/2018	***-**-36IO - IRWIN, CHARLES ACCOUNT #: LSR007200	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	2.62	0.00	2.62	20.0	0.52
01/02/2018	***-**-39IR - IRWIN ACCOUNT #: LSR007242	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	20.0	0.01
01/02/2018	***-**-439I - IRWIN, DIANE ACCOUNT #: LSR007250	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.08	0.00	0.08	20.0	0.02
01/02/2018	***-**-93IO - WOJTAS, JEANETTE ACCOUNT #: LSR007323	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.07	0.00	0.07	20.0	0.01
01/02/2018	***-**-82IO - PARISI ACCOUNT #: LSR007331	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	20.0	0.02
01/02/2018	***-**-75IO - DELCOUR ACCOUNT #: LSR007358	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.03	0.00	0.03	20.0	0.01
01/02/2018	***-**-657I - RIEL, KEVIN ACCOUNT #: LSR007366	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.58	0.00	0.58	20.0	0.12
01/02/2018	***-**-951I - SCHAEFER, ACCOUNT #: LSR007382	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.16	0.00	0.16	20.0	0.03
01/02/2018	***-**-728X - CHIAVETTA, NSPS ACCOUNT #: LSR008699	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.07	0.00	0.07	20.0	0.01
01/02/2018	***-**-28IN - CHIAVETTA, ACCOUNT #: LSR008842	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.05	0.00	0.05	20.0	0.01
01/02/2018	***-**-461J - PANZARELLA, ACCOUNT #: LSR010004	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.03	0.00	0.03	20.0	0.01
01/02/2018	***-**-72IN - MAZZOCHETTI, ACCOUNT #: LSR010021	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	20.0	0.06
01/02/2018	***-**-87IN - IRWIN, IRENE ACCOUNT #: LSR010100	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.44	0.00	0.44	20.0	0.09



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: WILLIAM AGNELLO (continued) </u>								
01/02/2018	***-**-25IN - DIPAOLO, JOSEPH	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.66	0.00	0.66	20.0	0.13
	ACCOUNT #: LSR010260	BUY 1 Units @0.0000						
01/02/2018	***-**-87IN - IRWIN, IRENE	PIMCO EMERG MKTS BOND NFS	0.00	0.42	0.00	0.42	20.0	0.08
	ACCOUNT #: LSR010100	BUY 1 Units @0.0000						
01/02/2018	***-**-36IO - IRWIN, CHARLES	PIMCO FLOATING INCOME FD CL A	0.00	1.93	0.00	1.93	20.0	0.39
	ACCOUNT #: LSR007200	BUY 1 Units @0.0000						
01/02/2018	***-**-28IN - CUP, ANDREW	PIMCO GLOBAL BOND	0.00	1.60	0.00	1.60	20.0	0.32
	ACCOUNT #: LSR007137	BUY 1 Units @0.0000						
01/02/2018	***-**-28IN - CUP, ANDREW	PIMCO GLOBAL BOND	0.00	0.62	0.00	0.62	20.0	0.12
	ACCOUNT #: LSR007137	BUY 1 Units @0.0000						
01/02/2018	***-**-002I - NFS/FMTC IRA	PIMCO HIGH YIELD CLASS A	0.00	2.89	0.00	2.89	20.0	0.58
	ACCOUNT #: LSR007005	BUY 1 Units @0.0000						
01/02/2018	***-**-963I - GAMMARELLO,	PIMCO HIGH YIELD CLASS A	0.00	3.19	0.00	3.19	20.0	0.64
	ACCOUNT #: LSR007102	BUY 1 Units @0.0000						
01/02/2018	***-**-36IO - IRWIN, CHARLES	PIMCO HIGH YIELD CLASS A	0.00	6.99	0.00	6.99	20.0	1.40
	ACCOUNT #: LSR007200	BUY 1 Units @0.0000						
01/02/2018	***-**-90IR - NFS/FMTC ROTH	PIMCO HIGH YIELD CLASS C	0.00	3.11	0.00	3.11	20.0	0.62
	ACCOUNT #: LSR007110	BUY 1 Units @0.0000						
01/02/2018	***-**-28IR - CUP, ANDREW	PIMCO HIGH YIELD CLASS C	0.00	3.17	0.00	3.17	20.0	0.63
	ACCOUNT #: LSR007129	BUY 1 Units @0.0000						
01/02/2018	***-**-90IR - NFS/FMTC ROTH	PIMCO HIGH YIELD CLASS C	0.00	1.20	0.00	1.20	20.0	0.24
	ACCOUNT #: LSR007110	BUY 1 Units @0.0000						
01/02/2018	***-**-28IR - CUP, ANDREW	PIMCO HIGH YIELD CLASS C	0.00	1.22	0.00	1.22	20.0	0.24
	ACCOUNT #: LSR007129	BUY 1 Units @0.0000						
01/02/2018	***-**-43IN - CUP, NICHOLAS	PIMCO REAL RETURN FUND CLASS A	0.00	1.89	0.00	1.89	20.0	0.38
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
01/02/2018	***-**-28IN - CUP, ANDREW	PIMCO REAL RETURN FUND CLASS A	0.00	1.65	0.00	1.65	20.0	0.33
	ACCOUNT #: LSR007137	BUY 1 Units @0.0000						
01/02/2018	***-**-39IN - IRWIN, DIANE	PIMCO GLOBAL BOND CL A	0.00	1.21	0.00	1.21	20.0	0.24
	ACCOUNT #: LSR007234	BUY 1 Units @0.0000						
01/02/2018	***-**-439I - IRWIN, DIANE	PIMCO GLOBAL BOND CL A	0.00	1.09	0.00	1.09	20.0	0.22
	ACCOUNT #: LSR007250	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: WILLIAM AGNELLO (continued)</u>								
12/31/2017	***-**-54VA - FANTAUZZO, EVA	PRUDENTIAL VA TRAILS 74429P110	0.00	2.43	0.00	2.43	20.0	0.49
	ACCOUNT #: E1438479	BUY 0 Units @0.0000						
12/31/2017	***-**-236I - IRWIN, CHARLES	PRUDENTIAL VA TRAILS 74429P128	0.00	403.77	0.00	403.77	20.0	80.75
	ACCOUNT #: E1442312	BUY 0 Units @0.0000						
12/31/2017	***-**-657I - RIEL, KEVIN	PRUDENTIAL VA TRAILS 74429P128	0.00	77.72	0.00	77.72	20.0	15.54
	ACCOUNT #: E1318507	BUY 0 Units @0.0000						
12/31/2017	***-**-39IN - IRWIN, DIANE	PRUDENTIAL VA TRAILS 74429P128	0.00	84.73	0.00	84.73	20.0	16.95
	ACCOUNT #: E1312746	BUY 0 Units @0.0000						
		* WILLIAM AGNELLO SUBTOTAL *	\$0.00	\$1,073.84	\$0.00	\$1,073.84		\$214.76
<u>BROKER: JAMES LOMBARDO</u>								
12/28/2017	***-**-228I - EMMA, JACQUELINE	37252M108	100.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 00551461545	BUY 5 Units @21.2800						
12/29/2017	***-**-2389 - SHAW, KIMBERLY	HARTFORD LIFE TRAILS	0.00	73.22	0.00	73.22	10.0	7.32
	ACCOUNT #: 711271021	BUY 0 Units @0.0000						
12/21/2017	***-**-5506 - LOMBARDO, LEIGH	INVESCO AMERICAN FRANCHISE FUND -CL	400.00	16.00	0.00	16.00	10.0	1.60
	ACCOUNT #: 03809219276	BUY 19 Units @20.7900						
12/20/2017	***-**-6759 - TARANTINO, GARY	THE BOND FUND OF AMERICA-A	10.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00089449406	BUY 1 Units @13.3400						
12/27/2017	***-**-8806 - MABRY, REBECCA	THE BOND FUND OF AMERICA-A	75.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 00082729374	BUY 6 Units @13.3900						
12/20/2017	***-**-6759 - TARANTINO, GARY	THE GROWTH FUND OF AMERICA-A	40.00	2.00	0.00	2.00	10.0	0.20
	ACCOUNT #: 00089449406	BUY 1 Units @52.4900						
12/21/2017	***-**-5506 - LOMBARDO, LEIGH	VAN KAMPEN3	100.00	4.00	0.00	4.00	10.0	0.40
	ACCOUNT #: 03809219276	BUY 13 Units @7.6900						
12/27/2017	***-**-8806 - MABRY, REBECCA	WASHINGTON MUTUAL INVESTORS FUND-A	75.00	2.81	0.00	2.81	10.0	0.28
	ACCOUNT #: 00082729374	BUY 2 Units @47.8700						
		* JAMES LOMBARDO SUBTOTAL *	\$800.00	\$105.58	\$0.00	\$105.58		\$10.56
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$109,744.62	\$21,888.46	\$0.00	\$21,888.46		\$2,046.11



BROKER #: 20
BRANCH #01016 - 16 - CASPER

			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$4,527.77
						Split Transactions		\$0.00
						Override Transactions		\$2,046.11
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$52.12
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$6,626.00
						Year-to-date Earnings		\$6,626.00