



COMMISSION STATEMENT

January 22, 2018

JAMES LOMBARDO
231 Hill Road
Rome, NY 13441

BROKER #: A08
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/08/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 2 Units @28.8400						
01/12/2018	***-**-2885 - BISHOP, DAVID	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00068915116	BUY 2 Units @29.0500						
01/16/2018	***-**-8238 - ASMUS, MICHAEL	AMERICAN BALANCED FUND-A	75.00	2.81	0.00	2.81	80.0	2.25
	ACCOUNT #: 00074487927	BUY 3 Units @29.0200						
01/08/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN MUTUAL FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @43.5600						
01/16/2018	***-**-8806 - MABRY, REBECCA	CAPITAL INCOME BUILDER-A	75.00	2.81	0.00	2.81	80.0	2.25
	ACCOUNT #: 00082729374	BUY 1 Units @66.9400						
01/16/2018	***-**-8806 - MABRY, REBECCA	EUROPACIFIC GROWTH FUND-A	75.00	2.81	0.00	2.81	80.0	2.25
	ACCOUNT #: 00082729374	BUY 1 Units @61.3100						
01/08/2018	***-**-2608 - GIAMAS, GREGORY	FUNDAMENTAL INVESTORS-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @66.9800						
01/12/2018	***-**-2885 - BISHOP, DAVID	FUNDAMENTAL INVESTORS-A	75.00	2.81	0.00	2.81	80.0	2.25
	ACCOUNT #: 00068915116	BUY 1 Units @68.0600						
01/08/2018	***-**-2608 - GIAMAS, GREGORY	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @46.7100						
01/12/2018	***-**-2885 - BISHOP, DAVID	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00068915116	BUY 1 Units @47.3100						
01/08/2018	***-**-2608 - GIAMAS, GREGORY	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @53.6400						
01/10/2018	***-**-98CL - ACOSTA, CLIENTS	THE GROWTH FUND OF AMERICA-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00083299252	BUY 1 Units @53.9200						
01/12/2018	***-**-2885 - BISHOP, DAVID	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00068915116	BUY 1 Units @54.5300						
01/16/2018	***-**-8238 - ASMUS, MICHAEL	THE INVESTMENT COMPANY OF AMERICA-A	140.00	5.25	0.00	5.25	80.0	4.20
	ACCOUNT #: 00074487927	BUY 3 Units @43.8000						
01/10/2018	***-**-98CL - ACOSTA, CLIENTS	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00083299252	BUY 1 Units @49.1500						
* MUTUAL FUNDS SUBTOTAL *			\$940.00	\$35.79	\$0.00	\$35.79		\$28.60



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/02/2018	***-**-228I - EMMA, JACQUELINE	37252M108	0.00	0.89	0.00	0.89	80.0	0.71
	ACCOUNT #: 00551461545	BUY 0 Units @0.0000						
01/02/2018	***-**-5506 - LOMBARDO, LEIGH	37252M108	0.00	3.00	0.00	3.00	80.0	2.40
	ACCOUNT #: 00370935092	BUY 0 Units @0.0000						
01/02/2018	***-**-1748 - LOMBARDO, JAMES	37252M108	0.00	6.67	0.00	6.67	80.0	5.34
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
01/01/2018	***-**-51IR - HOKE, THOMAS	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 03809514965	BUY 0 Units @0.0000						
01/01/2018	***-**-4160 - RUNICE, ARVID	AIM SHORT TERM BOND FUND - CLASS C	0.00	14.81	0.00	14.81	80.0	11.85
	ACCOUNT #: 03811143993	BUY 0 Units @0.0000						
01/22/2018	***-**-166I - BONN, FBO	AMCAP FUND-C	0.00	2.74	0.00	2.74	80.0	2.19
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
01/22/2018	***-**-166I - BONN, FBO	AMERICAN MUTUAL FUND-C	0.00	3.71	0.00	3.71	80.0	2.97
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
01/22/2018	***-**-166I - BONN, FBO	EUROPACIFIC GROWTH FUND CLASS C	0.00	2.43	0.00	2.43	80.0	1.94
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
01/22/2018	***-**-166I - BONN, FBO	FUNDAMENTAL INVESTORS-C	0.00	3.96	0.00	3.96	80.0	3.17
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
01/02/2018	***-**-0683 - DAVIS, SHARON	HARTFORD INFLATION PLUS FUND CLASS	0.00	19.69	0.00	19.69	80.0	15.75
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
01/22/2018	***-**-166I - BONN, FBO	INCOME FUND OF AMERICA CLASS C	0.00	1.26	0.00	1.26	80.0	1.01
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
01/01/2018	***-**-5506 - LOMBARDO, LEIGH	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	21.50	0.00	21.50	80.0	17.20
	ACCOUNT #: 03809219276	BUY 0 Units @0.0000						
01/01/2018	***-**-6195 - BACKUS, THOMAS	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	8.28	0.00	8.28	80.0	6.62
	ACCOUNT #: 03908954377	BUY 0 Units @0.0000						
01/01/2018	***-**-6195 - BACKUS, THOMAS	IVK AMERICAN FRANCHISE FUND - CLASS	0.00	0.51	0.00	0.51	80.0	0.41
	ACCOUNT #: 03908954377	BUY 0 Units @0.0000						
01/02/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM ASSET ALLOC CONSERV-A	0.00	16.88	0.00	16.88	80.0	13.50
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
01/02/2018	***-**-7177 - RUNICE, MARGARET	PUTNAM EQUITY INCOME FUND-A	0.00	12.05	0.00	12.05	80.0	9.64
	ACCOUNT #: 00266380833	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/02/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM EQUITY INCOME FUND-A	0.00	7.61	0.00	7.61	80.0	6.09
	ACCOUNT #: 00461190200	BUY 0 Units @0.0000						
01/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM EQUITY INCOME FUND-A	0.00	27.10	0.00	27.10	80.0	21.68
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						
01/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						
01/02/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM INVESTORS FUND-A	0.00	3.96	0.00	3.96	80.0	3.17
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
01/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM INVESTORS FUND-A	0.00	4.39	0.00	4.39	80.0	3.51
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						
01/02/2018	***-**-8491 - INCORVAIA,	PUTNAM INVESTORS FUND-A	0.00	2.92	0.00	2.92	80.0	2.34
	ACCOUNT #: 00517271868	BUY 0 Units @0.0000						
01/02/2018	***-**-8201 - MAUTNER, LILLIAN	PUTNAM INVESTORS FUND-A	0.00	1.11	0.00	1.11	80.0	0.89
	ACCOUNT #: 00551326614	BUY 0 Units @0.0000						
01/02/2018	***-**-6565 - MAUTNER, ARIANNY	PUTNAM INVESTORS FUND-A	0.00	1.11	0.00	1.11	80.0	0.89
	ACCOUNT #: 00551326624	BUY 0 Units @0.0000						
01/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	31.91	0.00	31.91	80.0	25.53
	ACCOUNT #: 00343384180	BUY 0 Units @0.0000						
01/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	31.33	0.00	31.33	80.0	25.06
	ACCOUNT #: 00452858253	BUY 0 Units @0.0000						
01/02/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.63	0.00	3.63	80.0	2.90
	ACCOUNT #: 00461190200	BUY 0 Units @0.0000						
01/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	19.43	0.00	19.43	80.0	15.54
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						
01/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES-B	0.00	0.62	0.00	0.62	80.0	0.50
	ACCOUNT #: 00452858253	BUY 0 Units @0.0000						
01/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM SHORT DURATION INCOME CL A	0.00	5.16	0.00	5.16	80.0	4.13
	ACCOUNT #: 00550388392	BUY 0 Units @0.0000						
01/22/2018	***-**-1661 - BONN, FBO	SMALLCAP WORLD FUND-C	0.00	2.08	0.00	2.08	80.0	1.66
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
01/02/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD ADVISERS FUND-C	0.00	16.70	0.00	16.70	80.0	13.36
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u>								
01/02/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	21.47	0.00	21.47	80.0	17.18
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
01/01/2018	***-**-5506 - LOMBARDO, LEIGH	VAN KAMPEN3	0.00	7.80	0.00	7.80	80.0	6.24
	ACCOUNT #: 03809219276	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$309.71	\$0.00	\$309.71		\$247.77
*** BROKER TRANSACTIONS TOTAL ***			\$940.00	\$345.50	\$0.00	\$345.50		\$276.37

BROKER COMMISSION TOTALS

Broker Transactions	\$276.37
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$276.37
Year-to-date Earnings	\$535.86