

COMMISSION STATEMENT

February 28, 2018

JANICE GINSBURG
100 AQUEDUCT DRIVEBROKER #: 35
BRANCH: HOME OFFICE

NORTH WALES, PA 19454

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
02/09/2018	75501483 SPILLER, HELEN	**GUGGENHEIM FDS TR	S	500.00	0.00	0.00	0.00	50.0	0.00
02/06/2018	75501628 MODES, VINCENT	THE HARTFORD CAPITAL APPRECIATION F S		47,408.74	0.00	0.00	0.00	50.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$47,908.74	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>									
02/12/2018	75501654 KINSLEY, GEORGE	NEXTERA ENERGY PARTNERS LP COM UNIT B		3,928.73	90.00	0.00	90.00	50.0	45.00
02/13/2018	75501993 ZEGEN, LOUIS	SACHEM CAPITAL CORP COMMON SHARES S		7,336.00	249.34	0.00	249.34	50.0	124.67
* STOCKS SUBTOTAL *				\$11,264.73	\$339.34	\$0.00	\$339.34		\$169.67
<u>PRODUCT CATEGORY: MISCELLANEOUS</u>									
02/28/2018	VARIOUS, GINSBURG	JACKSON	B	0.00	126.30	0.00	126.30	50.0	63.15
02/28/2018	VARIOUS, GINSBURG	LINCOLN	B	0.00	26.98	0.00	26.98	50.0	13.49
* MISCELLANEOUS SUBTOTAL *				\$0.00	\$153.28	\$0.00	\$153.28		\$76.64
<u>PRODUCT CATEGORY: RIA</u>									
01/17/2018	75501739 STAUFFER, JUDITH	FAS FEES PT. II/III	B	0.00	197.00	0.00	197.00	50.0	98.50
01/17/2018	75501744 STAUFFER, ROBERT	FAS FEES PT. II/III	B	-197.00	0.00	0.00	0.00	50.0	0.00
01/17/2018	75501744 STAUFFER, ROBERT	FAS FEES PT. II/III	B	-332.27	332.27	0.00	332.27	50.0	166.14
01/17/2018	75501744 STAUFFER, ROBERT	FAS FEES PT. II/III	B	-62.50	0.00	0.00	0.00	50.0	0.00
01/17/2018	75501751 STAUFFER, ROBERT	FAS FEES PT. II/III	B	0.00	62.50	0.00	62.50	50.0	31.25
01/17/2018	75501824 ALANCRAIG, DIANE	FAS FEES PT. II/III	B	-114.82	114.82	0.00	114.82	50.0	57.41
01/17/2018	75501828 ALANCRAIG, DIANE	FAS FEES PT. II/III	B	-62.14	62.14	0.00	62.14	50.0	31.07
01/17/2018	75501829 SEPTIEN, ALFREDO	FAS FEES PT. II/III	B	-56.25	56.25	0.00	56.25	50.0	28.13
01/17/2018	75501830 SEPTIEN, ALFREDO	FAS FEES PT. II/III	B	-102.83	102.83	0.00	102.83	50.0	51.42
01/17/2018	75501832 WEXLER, SHEILA	FAS FEES PT. II/III	B	-140.48	140.48	0.00	140.48	50.0	70.24
01/17/2018	75501833 GIRGENTI, V JAMES	FAS FEES PT. II/III	B	-394.00	394.00	0.00	394.00	50.0	197.00
01/17/2018	75501834 BUGANSKI, TERRI	FAS FEES PT. II/III	B	-268.13	268.13	0.00	268.13	50.0	134.07
01/17/2018	75501835 BUGANSKI, TERRI	FAS FEES PT. II/III	B	-30.59	30.59	0.00	30.59	50.0	15.30
01/17/2018	75501836 FARKAS, RONALD	FAS FEES PT. II/III	B	-219.42	219.42	0.00	219.42	50.0	109.71
01/17/2018	75501837 FARKAS, MARILYN	FAS FEES PT. II/III	B	-443.78	443.78	0.00	443.78	50.0	221.89
01/17/2018	75501868 ZEGEN, LOUIS	FAS FEES PT. II/III	B	-425.38	425.38	0.00	425.38	50.0	212.69
01/17/2018	75501869 ZEGEN, LOUIS	FAS FEES PT. II/III	B	-76.20	76.20	0.00	76.20	50.0	38.10

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: RIA										
01/17/2018	75501879	LIBOVE, MICHAEL	FAS FEES PT. II/III	B	-426.24	426.24	0.00	426.24	50.0	213.12
			* RIA SUBTOTAL *		\$-3,352.03	\$3,352.03	\$0.00	\$3,352.03		\$1,676.04
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
01/31/2018	000000006009116	VARIOUS,	FRANKLIN-523	B	0.00	7.65	0.00	7.65	50.0	3.83
01/31/2018	000000006009116	VARIOUS,	FRANKLIN-645769647	B	0.00	1.17	0.00	1.17	50.0	0.59
01/31/2018	000000006231218	VARIOUS,	FRANKLIN 645769696	B	0.00	0.01	0.00	0.01	50.0	0.00
01/31/2018	000000006231218	VARIOUS,	FRANKLIN-645769688	B	0.00	1.21	0.00	1.21	50.0	0.61
01/31/2018	000000006231218	VARIOUS,	FRANKLIN537	B	0.00	7.98	0.00	7.98	50.0	3.99
02/09/2018	75501483	SPILLER, HELEN	**GUGGENHEIM FDS TR	B	0.00	1.81	0.00	1.81	50.0	0.91
02/09/2018	75501483	SPILLER, HELEN	AMERICAN BALANCED FUND-A	B	0.00	3.86	0.00	3.86	50.0	1.93
02/09/2018	75501483	SPILLER, HELEN	BOND-DEBENTURE FUND CLASS A	B	0.00	1.13	0.00	1.13	50.0	0.57
02/09/2018	75501483	SPILLER, HELEN	PUTNAM 746745108	B	0.00	0.11	0.00	0.11	50.0	0.00
02/09/2018	75501483	SPILLER, HELEN	THE INCOME FUND OF AMERICA-A	B	0.00	4.48	0.00	4.48	50.0	2.24
02/09/2018	75501504	LERNER, JOAN	U.S. GOVERNMENT SECURITIES FUND CLA B	B	0.00	1.26	0.00	1.26	50.0	0.63
02/09/2018	75501505	LERNER, JOAN	AMERICAN HIGH-INCOME TRUST-A	B	0.00	1.96	0.00	1.96	50.0	0.98
02/09/2018	75501505	LERNER, JOAN	CAPITAL INCOME BUILDER-A	B	0.00	0.35	0.00	0.35	50.0	0.00
02/09/2018	75501505	LERNER, JOAN	CAPITAL WORLD BOND FUND-A	B	0.00	0.88	0.00	0.88	50.0	0.00
02/09/2018	75501505	LERNER, JOAN	THE BOND FUND OF AMERICA-A	B	0.00	2.06	0.00	2.06	50.0	1.03
02/09/2018	75501621	WEXLER, SHEILA	EATON VANCE TAX- MANAGED EQUITY ASS B	B	0.00	14.99	0.00	14.99	50.0	7.50
02/09/2018	75501621	WEXLER, SHEILA	THE HARTFORD CAPITAL APPRECIATION F B	B	0.00	2.36	0.00	2.36	50.0	1.18
02/09/2018	75501621	WEXLER, SHEILA	THE HARTFORD MID CAP FUND-A	B	0.00	3.72	0.00	3.72	50.0	1.86
02/09/2018	75501622	ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL	B	0.00	13.44	0.00	13.44	50.0	6.72
02/09/2018	75501622	ABEL, STACEY	DAVIS NEW YORK VENTURE CLASS A	B	0.00	3.48	0.00	3.48	50.0	1.74
02/09/2018	75501622	ABEL, STACEY	MFS GLOBAL EQUITY FUND-A	B	0.00	2.33	0.00	2.33	50.0	1.17
02/09/2018	75501622	ABEL, STACEY	SHORT-TERM BOND FUND OF AMERICA - A B	B	0.00	0.84	0.00	0.84	50.0	0.00
02/09/2018	75501622	ABEL, STACEY	THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	6.01	0.00	6.01	50.0	3.01
02/09/2018	75501624	ALANCRAIG, SUSAN	**GABELLI SRI FUND	B	0.00	12.11	0.00	12.11	50.0	6.06
02/13/2018	75501624	ALANCRAIG, SUSAN	CALVERT EQUITY PORTFOLIO CL C	B	0.00	15.09	0.00	15.09	50.0	7.55
02/09/2018	75501626	URQUHART, THOMAS	THE GROWTH FUND OF AMERICA-A	B	0.00	6.29	0.00	6.29	50.0	3.15
02/09/2018	75501627	LEE, T ORIN	**AMG MANAGERS CADENCE MID CAP	B	0.00	1.22	0.00	1.22	50.0	0.61
02/26/2018	75501627	LEE, T ORIN	**VICTORY PORTFOLIOS MUNDER	B	0.00	1.22	0.00	1.22	50.0	0.61
02/09/2018	75501628	MODES, VINCENT	ALL VALUE FUND CLASS A	B	0.00	6.17	0.00	6.17	50.0	3.09
02/09/2018	75501628	MODES, VINCENT	CAPITAL INCOME BUILDER-A	B	0.00	11.64	0.00	11.64	50.0	5.82
02/09/2018	75501628	MODES, VINCENT	CAPITAL WORLD GROWTH AND INCOME FUN B	B	0.00	5.57	0.00	5.57	50.0	2.79
02/09/2018	75501628	MODES, VINCENT	LORD ABBETT CALIBRATED DIVIDEND GRO B	B	0.00	5.18	0.00	5.18	50.0	2.59
02/09/2018	75501628	MODES, VINCENT	LORD ABBETT AFFILIATED FUND CLASS A B	B	0.00	9.88	0.00	9.88	50.0	4.94
02/09/2018	75501628	MODES, VINCENT	MID-CAP VALUE FUND CLASS A	B	0.00	7.02	0.00	7.02	50.0	3.51
02/09/2018	75501628	MODES, VINCENT	NEW PERSPECTIVE FUND-A	B	0.00	10.34	0.00	10.34	50.0	5.17
02/09/2018	75501628	MODES, VINCENT	OPPENHEIMERFUNDS 68380G101	B	0.00	3.34	0.00	3.34	50.0	1.67

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
02/09/2018	75501628	MODES, VINCENT		THE HARTFORD CAPITAL APPRECIATION F B	0.00	10.36	0.00	10.36	50.0	5.18
02/09/2018	75501628	MODES, VINCENT		THE INVESTMENT COMPANY OF AMERICA-A B	0.00	5.14	0.00	5.14	50.0	2.57
02/09/2018	75501629	INOVATIVE INC		EATON VANCE MUT FDS TR FLTG RATE AD B	0.00	10.73	0.00	10.73	50.0	5.37
02/09/2018	75501629	INOVATIVE INC		HARTFORD FLOATING RATE FUND CLASS C B	0.00	13.67	0.00	13.67	50.0	6.84
02/09/2018	75501631	MODES, LOIS		LORD ABBETT RESEARCH FUND INC-SMALL B	0.00	3.80	0.00	3.80	50.0	1.90
02/09/2018	75501631	MODES, LOIS		LORD ABBETT CALIBRATED DIVIDEND GRO B	0.00	6.71	0.00	6.71	50.0	3.36
02/09/2018	75501631	MODES, LOIS		LORD ABBETT AFFILIATED FUND CLASS A B	0.00	5.83	0.00	5.83	50.0	2.92
02/09/2018	75501631	MODES, LOIS		MID-CAP VALUE FUND CLASS A B	0.00	6.28	0.00	6.28	50.0	3.14
02/09/2018	75501631	MODES, LOIS		NEW PERSPECTIVE FUND-A B	0.00	7.52	0.00	7.52	50.0	3.76
02/09/2018	75501631	MODES, LOIS		THE HARTFORD MID CAP FUND-A B	0.00	7.68	0.00	7.68	50.0	3.84
02/09/2018	75501632	NESHAMINY VALLEY		HARTFORD FLOATING RATE FUND CLASS C B	0.00	5.63	0.00	5.63	50.0	2.82
02/09/2018	75501633	MODES, VINCENT		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	19.15	0.00	19.15	50.0	9.58
02/09/2018	75501633	MODES, VINCENT		EATON VANCE TAX MANAGED VALUE FD CL B	0.00	7.49	0.00	7.49	50.0	3.75
02/09/2018	75501633	MODES, VINCENT		EHV 277911830 B	0.00	17.18	0.00	17.18	50.0	8.59
02/09/2018	75501633	MODES, VINCENT		HARTFORD ADVISERS FUND CLASS A B	0.00	2.38	0.00	2.38	50.0	1.19
02/09/2018	75501633	MODES, VINCENT		JANUS INVT FD HENDERSON EURPEAN FCU B	0.00	10.53	0.00	10.53	50.0	5.27
02/09/2018	75501633	MODES, VINCENT		OPPENHEIMERFUNDS 68380G101 B	0.00	12.63	0.00	12.63	50.0	6.32
02/09/2018	75501633	MODES, VINCENT		THE GROWTH FUND OF AMERICA-A B	0.00	9.05	0.00	9.05	50.0	4.53
02/09/2018	75501634	CROPANESE, CAROL		**PRUDENTIAL JENNISON NATURAL B	0.00	12.33	0.00	12.33	50.0	6.17
02/09/2018	75501634	CROPANESE, CAROL		HARTFORD MUTUAL FUNDS INC DIVIDEND B	0.00	14.01	0.00	14.01	50.0	7.01
02/09/2018	75501634	CROPANESE, CAROL		QUEST OPPORTUNITY VALUE A B	0.00	0.21	0.00	0.21	50.0	0.00
02/09/2018	75501634	CROPANESE, CAROL		THE HARTFORD MID CAP FUND-C B	0.00	18.68	0.00	18.68	50.0	9.34
02/09/2018	75501635	CROPANESE, CAROL		BLACKROCK CAP APPRECIATION FD INC C B	0.00	3.05	0.00	3.05	50.0	1.53
02/09/2018	75501635	CROPANESE, CAROL		BLACKROCK GLOBAL ALLOCATION FD INC B	0.00	12.67	0.00	12.67	50.0	6.34
02/09/2018	75501635	CROPANESE, CAROL		EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	7.47	0.00	7.47	50.0	3.74
02/09/2018	75501635	CROPANESE, CAROL		EHV 277911772 B	0.00	1.67	0.00	1.67	50.0	0.84
02/09/2018	75501635	CROPANESE, CAROL		IVY ASSET STRATEGY FD CL C B	0.00	11.56	0.00	11.56	50.0	5.78
02/26/2018	75501635	CROPANESE, CAROL		**VICTORY PORTFOLIOS B	0.00	7.67	0.00	7.67	50.0	3.84
02/09/2018	75501637	ROTHSTEIN, HARRIET		LORD ABBETT SHORT DURATION INCOME F B	0.00	1.90	0.00	1.90	50.0	0.95
02/09/2018	75501637	ROTHSTEIN, HARRIET		SHORT-TERM BOND FUND OF AMERICA - A B	0.00	1.44	0.00	1.44	50.0	0.72
02/09/2018	75501637	ROTHSTEIN, HARRIET		STRATEGIC INCOME A B	0.00	3.51	0.00	3.51	50.0	1.76
02/09/2018	75501638	CROPANESE,		**AMG MANAGERS CADENCE MID CAP B	0.00	4.41	0.00	4.41	50.0	2.21
02/09/2018	75501638	CROPANESE,		**PRUDENTIAL JENNISON NATURAL B	0.00	9.87	0.00	9.87	50.0	4.94
02/09/2018	75501638	CROPANESE,		EATON VANCE TAX MANAGED GROWTH FUND B	0.00	3.48	0.00	3.48	50.0	1.74
02/09/2018	75501638	CROPANESE,		HARTFORD MUTUAL FUNDS INC DIVIDEND B	0.00	10.46	0.00	10.46	50.0	5.23
02/09/2018	75501638	CROPANESE,		QUEST OPPORTUNITY VALUE A B	0.00	6.14	0.00	6.14	50.0	3.07
02/09/2018	75501638	CROPANESE,		SHORT-TERM BOND FUND OF AMERICA - A B	0.00	3.30	0.00	3.30	50.0	1.65
02/09/2018	75501638	CROPANESE,		THE HARTFORD MID CAP FUND-C B	0.00	13.95	0.00	13.95	50.0	6.98
02/09/2018	75501639	CONNOLLY, EDWARD		ALLIANCEBERNSTEIN LARGE-CAP GROWTH B	0.00	1.04	0.00	1.04	50.0	0.52
02/09/2018	75501639	CONNOLLY, EDWARD		BLACKROCK HEALTH SCIENCES OPPORTUNI B	0.00	5.07	0.00	5.07	50.0	2.54

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
02/09/2018	75501639	CONNOLLY, EDWARD	FIDELITY ADVISOR FUNDS 315918474	B	0.00	3.95	0.00	3.95	50.0	1.98
02/09/2018	75501639	CONNOLLY, EDWARD	FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	5.17	0.00	5.17	50.0	2.59
02/09/2018	75501639	CONNOLLY, EDWARD	HARTFORD ADVISERS FUND CLASS A	B	0.00	1.61	0.00	1.61	50.0	0.81
02/09/2018	75501639	CONNOLLY, EDWARD	THE HARTFORD DIVIDEND & GROWTH FUND B	B	0.00	0.96	0.00	0.96	50.0	0.00
02/09/2018	75501640	ROTHSTEIN, JOEL	FUNDAMENTAL INVESTORS-A	B	0.00	5.17	0.00	5.17	50.0	2.59
02/09/2018	75501640	ROTHSTEIN, JOEL	THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	4.61	0.00	4.61	50.0	2.31
02/09/2018	75501640	ROTHSTEIN, JOEL	WASHINGTON MUTUAL INVESTORS FUND-A B	B	0.00	6.81	0.00	6.81	50.0	3.41
02/09/2018	75501643	CONNOLLY, MARCELLA	ALLIANZ NFJ DIVIDEND VALUE FUND CLA B	B	0.00	1.33	0.00	1.33	50.0	0.67
02/09/2018	75501643	CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A	B	0.00	2.21	0.00	2.21	50.0	1.11
02/09/2018	75501643	CONNOLLY, MARCELLA	THE HARTFORD MID CAP FUND-A	B	0.00	2.53	0.00	2.53	50.0	1.27
02/09/2018	75501643	CONNOLLY, MARCELLA	THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	2.74	0.00	2.74	50.0	1.37
02/09/2018	75501645	CONNOLLY, MARCELLA	AMERICAN MUTUAL FUND-A	B	0.00	12.08	0.00	12.08	50.0	6.04
02/09/2018	75501645	CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A	B	0.00	1.20	0.00	1.20	50.0	0.60
02/09/2018	75501645	CONNOLLY, MARCELLA	QUEST OPPORTUNITY VALUE A	B	0.00	1.09	0.00	1.09	50.0	0.55
02/09/2018	75501646	DLUGOSZ, PATRICIA	THE HARTFORD DIVIDEND & GROWTH FUND B	B	0.00	2.54	0.00	2.54	50.0	1.27
02/09/2018	75501648	GINSBURG, JANICE	EATON VANCE LARGE CAP VALUE FUND CL B	B	0.00	0.30	0.00	0.30	50.0	0.00
02/09/2018	75501648	GINSBURG, JANICE	EATON VANCE UTILITIES FUND CLASS A B	B	0.00	2.35	0.00	2.35	50.0	1.18
02/09/2018	75501650	MODES, VINCENT	CAPITAL INCOME BUILDER-A	B	0.00	13.84	0.00	13.84	50.0	6.92
02/09/2018	75501650	MODES, VINCENT	DAVIS NEW YORK VENTURE CLASS C	B	0.00	19.27	0.00	19.27	50.0	9.64
02/09/2018	75501650	MODES, VINCENT	LORD ABBETT RESEARCH FUND INC-SMALL B	B	0.00	7.95	0.00	7.95	50.0	3.98
02/09/2018	75501650	MODES, VINCENT	LORD ABBETT CALIBRATED DIVIDEND GRO B	B	0.00	15.84	0.00	15.84	50.0	7.92
02/09/2018	75501650	MODES, VINCENT	LORD ABBETT MULTI ASSET BALANCED OP B	B	0.00	17.57	0.00	17.57	50.0	8.79
02/09/2018	75501650	MODES, VINCENT	LORD ABBETT AFFILIATED FUND CLASS A B	B	0.00	9.90	0.00	9.90	50.0	4.95
02/09/2018	75501650	MODES, VINCENT	NEW PERSPECTIVE FUND-A	B	0.00	4.43	0.00	4.43	50.0	2.22
02/09/2018	75501650	MODES, VINCENT	OPPENHEIMER DEVELOPING MARKETS CLAS B	B	0.00	1.38	0.00	1.38	50.0	0.69
02/09/2018	75501650	MODES, VINCENT	QUEST VALUE A	B	0.00	2.93	0.00	2.93	50.0	1.47
02/09/2018	75501650	MODES, VINCENT	THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	5.14	0.00	5.14	50.0	2.57
02/09/2018	75501652	DLUGOSZ, JOHN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA B	B	0.00	3.33	0.00	3.33	50.0	1.67
02/09/2018	75501652	DLUGOSZ, JOHN	AMERICAN MUTUAL FUND-A	B	0.00	16.34	0.00	16.34	50.0	8.17
02/09/2018	75501652	DLUGOSZ, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN B	B	0.00	9.29	0.00	9.29	50.0	4.65
02/09/2018	75501652	DLUGOSZ, JOHN	EATON VANCE GLOBAL MACRO ABSOLUTE R B	B	0.00	19.02	0.00	19.02	50.0	9.51
02/09/2018	75501652	DLUGOSZ, JOHN	GLOBAL FUND A	B	0.00	2.49	0.00	2.49	50.0	1.25
02/09/2018	75501652	DLUGOSZ, JOHN	NEW WORLD FUND-A	B	0.00	3.31	0.00	3.31	50.0	1.66
02/09/2018	75501652	DLUGOSZ, JOHN	THE GROWTH FUND OF AMERICA-A	B	0.00	2.49	0.00	2.49	50.0	1.25
02/09/2018	75501652	DLUGOSZ, JOHN	THE HARTFORD CAPITAL APPRECIATION F B	B	0.00	4.40	0.00	4.40	50.0	2.20
02/09/2018	75501652	DLUGOSZ, JOHN	THE HARTFORD MID CAP FUND-A	B	0.00	4.38	0.00	4.38	50.0	2.19
02/09/2018	75501657	DLUGOSZ, JOHN	AMERICAN HIGH-INCOME TRUST-A	B	0.00	2.70	0.00	2.70	50.0	1.35
02/09/2018	75501657	DLUGOSZ, JOHN	EATON VANCE TAX- MANAGED EQUITY ASS B	B	0.00	9.45	0.00	9.45	50.0	4.73
02/09/2018	75501657	DLUGOSZ, JOHN	EHV 277902813	B	0.00	1.90	0.00	1.90	50.0	0.95
02/09/2018	75501657	DLUGOSZ, JOHN	MAINSTAY HIGH-YIELD CORPORATE BOND B	B	0.00	2.82	0.00	2.82	50.0	1.41

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
02/09/2018	75501658	TANNENBAUM, ARLENE	BLACKROCK GLOBAL ALLOCATION FD INC B	0.00	16.26	0.00	16.26	50.0	8.13
02/09/2018	75501658	TANNENBAUM, ARLENE	EATON VANCE LARGE CAP VALUE FUND CL B	0.00	1.51	0.00	1.51	50.0	0.76
02/09/2018	75501658	TANNENBAUM, ARLENE	FUNDAMENTAL INVESTORS-A B	0.00	3.67	0.00	3.67	50.0	1.84
02/09/2018	75501658	TANNENBAUM, ARLENE	IVY ASSET STRATEGY FD CL C B	0.00	15.52	0.00	15.52	50.0	7.76
02/09/2018	75501658	TANNENBAUM, ARLENE	OPPENHEIMER GLOBAL CLASS C B	0.00	25.30	0.00	25.30	50.0	12.65
02/09/2018	75501660	ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL B	0.00	7.60	0.00	7.60	50.0	3.80
02/09/2018	75501660	ABEL, STACEY	**PRUDENTIAL NATIONAL MUNI B	0.00	10.46	0.00	10.46	50.0	5.23
02/09/2018	75501660	ABEL, STACEY	COLUMBIA SELIGMAN COMMUNICATIONS AN B	0.00	3.55	0.00	3.55	50.0	1.78
02/09/2018	75501660	ABEL, STACEY	EATON VANCE LARGE CAP VALUE FUND CL B	0.00	9.53	0.00	9.53	50.0	4.77
02/09/2018	75501660	ABEL, STACEY	EHV 277902813 B	0.00	7.23	0.00	7.23	50.0	3.62
02/09/2018	75501660	ABEL, STACEY	EUROPACIFIC GROWTH FUND CLASS F B	0.00	3.55	0.00	3.55	50.0	1.78
02/09/2018	75501660	ABEL, STACEY	FUNDAMENTAL INVESTORS FUND CLASS F B	0.00	9.30	0.00	9.30	50.0	4.65
02/09/2018	75501660	ABEL, STACEY	OPPENHEIMER SMALL & MID CAP VALUE F B	0.00	4.04	0.00	4.04	50.0	2.02
02/09/2018	75501660	ABEL, STACEY	OPPENHEIMER DEVELOPING MARKETS FUND B	0.00	3.76	0.00	3.76	50.0	1.88
02/09/2018	75501660	ABEL, STACEY	THORNBURG INVT TR INTL VALUE FD CL B	0.00	12.60	0.00	12.60	50.0	6.30
02/26/2018	75501660	ABEL, STACEY	**VICTORY PORTFOLIOS B	0.00	2.32	0.00	2.32	50.0	1.16
02/09/2018	75501661	ABEL, STACEY	BLACKROCK GLOBAL ALLOCATION FUND IN B	0.00	1.68	0.00	1.68	50.0	0.84
02/09/2018	75501662	LOWENSTEIN, ALLAN	EATON VANCE TAX- MANAGED EQUITY ASS B	0.00	13.81	0.00	13.81	50.0	6.91
02/09/2018	75501662	LOWENSTEIN, ALLAN	LORD ABBETT AFFILIATED FUND CLASS A B	0.00	4.57	0.00	4.57	50.0	2.29
02/09/2018	75501747	STAUFFER, JUDITH	EATON VANCE UTILITIES FUND CLASS A B	0.00	4.63	0.00	4.63	50.0	2.32
02/09/2018	75501748	STAUFFER, JUDITH	MFS INTERNATIONAL VALUE FUND-A B	0.00	1.32	0.00	1.32	50.0	0.66
02/09/2018	75501750	STAUFFER, ROBERT	MFS INTERNATIONAL VALUE FUND-A B	0.00	1.56	0.00	1.56	50.0	0.78
02/09/2018	75501812	HALL, RUTH	INTERMEDIATE BOND FUND OF AMERICA-A B	0.00	3.38	0.00	3.38	50.0	1.69
02/09/2018	75501825	SEPTIEN, ALFREDO	**GUGGENHEIM FDS TR B	0.00	0.83	0.00	0.83	50.0	0.00
02/09/2018	75501825	SEPTIEN, ALFREDO	**PRUDENTIAL JENNISON 20/20 B	0.00	1.03	0.00	1.03	50.0	0.52
02/09/2018	75501825	SEPTIEN, ALFREDO	CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	1.67	0.00	1.67	50.0	0.84
02/09/2018	75501825	SEPTIEN, ALFREDO	NEW WORLD FUND-A B	0.00	1.30	0.00	1.30	50.0	0.65
02/09/2018	75501847	GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	0.97	0.00	0.97	50.0	0.00
02/09/2018	75501847	GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A B	0.00	1.21	0.00	1.21	50.0	0.61
02/09/2018	75501848	JONAS, HILDA	JOHN HANCOCK FDS III JHF III SMALL B	0.00	1.40	0.00	1.40	50.0	0.70
02/09/2018	75501853	FARKAS, RONALD	BLACKROCK MULTI ST MUN SER TR PA MU B	0.00	2.47	0.00	2.47	50.0	1.24
02/09/2018	75501896	BLUM, STACEY	THE HARTFORD MID CAP FUND-A B	0.00	2.98	0.00	2.98	50.0	1.49
02/09/2018	75501898	LIBOVE, MICHAEL	FIDELITY ADVISOR SMALL CAP FUND CLA B	0.00	5.57	0.00	5.57	50.0	2.79
02/09/2018	75501898	LIBOVE, MICHAEL	THE INCOME FUND OF AMERICA-A B	0.00	0.69	0.00	0.69	50.0	0.00
02/09/2018	75501899	O'NEILL, LINDA	**AMG MANAGERS CADENCE MID CAP B	0.00	5.96	0.00	5.96	50.0	2.98
02/09/2018	75501899	O'NEILL, LINDA	**PRUDENTIAL JENNISON 20/20 B	0.00	5.31	0.00	5.31	50.0	2.66
02/09/2018	75501899	O'NEILL, LINDA	CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	3.22	0.00	3.22	50.0	1.61
02/09/2018	75501899	O'NEILL, LINDA	NEW PERSPECTIVE FUND-A B	0.00	12.51	0.00	12.51	50.0	6.26
02/09/2018	75501899	O'NEILL, LINDA	NEW WORLD FUND-A B	0.00	3.25	0.00	3.25	50.0	1.63
02/09/2018	75501899	O'NEILL, LINDA	OPPENHEIMER DEVELOPING MARKETS CLAS B	0.00	3.08	0.00	3.08	50.0	1.54

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
02/09/2018	75501899	O'NEILL, LINDA		THE INVESTMENT COMPANY OF AMERICA-A B	0.00	3.56	0.00	3.56	50.0	1.78
02/09/2018	75501902	ARMSTRONG, AMANDA		ALLIANZ NFJ LARGE CAP VALUE FUND CL B	0.00	1.45	0.00	1.45	50.0	0.73
02/09/2018	75501902	ARMSTRONG, AMANDA		JANUS INVT FD HENDERSON INTL OPPRTN B	0.00	1.28	0.00	1.28	50.0	0.64
02/09/2018	75501902	ARMSTRONG, AMANDA		TEMP GLOBAL BOND FND - CL A B	0.00	1.07	0.00	1.07	50.0	0.54
02/09/2018	75501902	ARMSTRONG, AMANDA		THE GROWTH FUND OF AMERICA-A B	0.00	1.13	0.00	1.13	50.0	0.57
02/09/2018	75501902	ARMSTRONG, AMANDA		THE HARTFORD MID CAP FUND-A B	0.00	6.90	0.00	6.90	50.0	3.45
02/09/2018	75501902	ARMSTRONG, AMANDA		WASHINGTON MUTUAL INVESTORS FUND-A B	0.00	2.67	0.00	2.67	50.0	1.34
02/26/2018	75501902	ARMSTRONG, AMANDA		**VICTORY PORTFOLIOS B	0.00	1.10	0.00	1.10	50.0	0.55
02/09/2018	75501903	ARMSTRONG, AMANDA		**GUGGENHEIM FDS TR B	0.00	1.82	0.00	1.82	50.0	0.91
02/09/2018	75501903	ARMSTRONG, AMANDA		EUROPACIFIC GROWTH FUND-A B	0.00	1.70	0.00	1.70	50.0	0.85
02/09/2018	75501903	ARMSTRONG, AMANDA		THE GROWTH FUND OF AMERICA-A B	0.00	2.53	0.00	2.53	50.0	1.27
02/09/2018	75501905	TANCREDI, NICHOLAS		CAPITAL INCOME A B	0.00	2.31	0.00	2.31	50.0	1.16
02/09/2018	75501905	TANCREDI, NICHOLAS		GLOBAL FUND A B	0.00	1.85	0.00	1.85	50.0	0.93
02/09/2018	75501905	TANCREDI, NICHOLAS		GLOBAL OPPORTUNITIES A B	0.00	5.92	0.00	5.92	50.0	2.96
02/09/2018	75501905	TANCREDI, NICHOLAS		LORD ABBETT INVT TR TOTAL RETURN FU B	0.00	0.95	0.00	0.95	50.0	0.00
02/09/2018	75501905	TANCREDI, NICHOLAS		OPPENHEIMER 68380L100 B	0.00	1.60	0.00	1.60	50.0	0.80
02/09/2018	75501905	TANCREDI, NICHOLAS		OPPENHEIMER DEVELOPING MARKETS CLAS B	0.00	3.05	0.00	3.05	50.0	1.53
02/09/2018	75501905	TANCREDI, NICHOLAS		THE HARTFORD CAPITAL APPRECIATION F B	0.00	2.90	0.00	2.90	50.0	1.45
02/09/2018	75501905	TANCREDI, NICHOLAS		THE HARTFORD FLOATING RATE FUND - A B	0.00	1.57	0.00	1.57	50.0	0.79
02/09/2018	75501965	JACKSON, ROSALYN		**GUGGENHEIM FDS TR B	0.00	0.90	0.00	0.90	50.0	0.00
02/09/2018	75501965	JACKSON, ROSALYN		DAVIS NEW YORK VENTURE CLASS A B	0.00	0.08	0.00	0.08	50.0	0.00
02/09/2018	75501965	JACKSON, ROSALYN		FIRST EAGLE GLOBAL FUND CLASS C B	0.00	6.59	0.00	6.59	50.0	3.30
02/09/2018	75501995	SEPTIEN, ALEC		**GUGGENHEIM FDS TR B	0.00	0.62	0.00	0.62	50.0	0.00
02/09/2018	75501995	SEPTIEN, ALEC		NEW WORLD FUND-A B	0.00	0.95	0.00	0.95	50.0	0.00
02/09/2018	75502077	GINSBURG, VIVIAN		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	9.61	0.00	9.61	50.0	4.81
02/09/2018	75502077	GINSBURG, VIVIAN		EATON VANCE LARGE CAP VALUE FUND CL B	0.00	1.53	0.00	1.53	50.0	0.77
02/09/2018	75502077	GINSBURG, VIVIAN		EATON VANCE NATIONAL MUNICIPAL FUND B	0.00	8.30	0.00	8.30	50.0	4.15
02/09/2018	75502077	GINSBURG, VIVIAN		FRK FL TF INC FND - CL A B	0.00	3.57	0.00	3.57	50.0	1.79
02/09/2018	75502077	GINSBURG, VIVIAN		HIGH YIELD A B	0.00	3.45	0.00	3.45	50.0	1.73
02/09/2018	75502077	GINSBURG, VIVIAN		INCOME FUND AMER INC CL F1 B	0.00	11.47	0.00	11.47	50.0	5.74
02/09/2018	75502077	GINSBURG, VIVIAN		MFS HIGH-YIELD OPPORTUNITIES FUND C B	0.00	0.92	0.00	0.92	50.0	0.00
02/09/2018	75502077	GINSBURG, VIVIAN		THE HARTFORD MID CAP FUND-A B	0.00	2.98	0.00	2.98	50.0	1.49
02/09/2018	75502084	TREICHLER, CHARLES		ALLIANZ NFJ LARGE CAP VALUE FUND CL B	0.00	3.04	0.00	3.04	50.0	1.52
02/09/2018	75502084	TREICHLER, CHARLES		SHORT-TERM BOND FUND OF AMERICA - A B	0.00	1.02	0.00	1.02	50.0	0.51
02/09/2018	75502085	GINSBURG, JANICE		**PRUDENTIAL JENNISON 20/20 B	0.00	2.24	0.00	2.24	50.0	1.12
02/09/2018	75502085	GINSBURG, JANICE		OPPENHEIMER DEVELOPING MARKETS CLAS B	0.00	1.31	0.00	1.31	50.0	0.66
02/26/2018	75502085	GINSBURG, JANICE		**VICTORY PORTFOLIOS MUNDER B	0.00	1.24	0.00	1.24	50.0	0.62
02/09/2018	75502161	LORI LERNER EXEC		AMERICAN HIGH-INCOME TRUST-A B	0.00	2.09	0.00	2.09	50.0	1.05
02/09/2018	75502161	LORI LERNER EXEC		CAPITAL INCOME BUILDER-A B	0.00	0.38	0.00	0.38	50.0	0.00
02/09/2018	75502161	LORI LERNER EXEC		CAPITAL WORLD BOND FUND-A B	0.00	0.95	0.00	0.95	50.0	0.00

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

02/09/2018	75502161	LORI LERNER EXEC	THE BOND FUND OF AMERICA-A	B	0.00	2.18	0.00	2.18	50.0	1.09
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$1,062.01	\$0.00	\$1,062.01		\$525.51
*** BROKER TRANSACTIONS TOTAL ***					\$55,821.44	\$4,906.66	\$0.00	\$4,906.66		\$2,447.86

ADJUSTMENTS

02/28/2018			OTHER: OTHER-TOWER BRIDGE AND RBC C		0.00	0.00	0.00	0.00		-416.69
*** ADJUSTMENTS TOTAL ***					\$0.00	\$0.00	\$0.00	\$0.00		\$-416.69

BROKER COMMISSION TOTALS

Broker Transactions	\$2,447.86
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-416.69
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-5.94
SIPC Assessment	\$-11.88

Check Amount	\$2,013.35
Year-to-date Earnings	\$4,515.14