



COMMISSION STATEMENT

January 08, 2018

FREDERIC SCARPULLA
400 West Metro Park
Rochester, NY 14623

BROKER #: 417
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	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	80.0	0.46
	ACCOUNT #: 04000650661	BUY 2 Units @27.8900						
12/29/2017	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	80.0	0.46
	ACCOUNT #: 04000650661	BUY 2 Units @27.8700						
12/18/2017	***-**-395P - DIVASTA, ANTHONY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00059597416	BUY 2 Units @29.5500						
12/22/2017	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 1 Units @27.1200						
12/22/2017	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @27.1200						
12/22/2017	***-**-05IN - RANDALL, ADAM	AMERICAN BALANCED FUND-A	30.00	1.28	0.00	1.28	80.0	1.02
	ACCOUNT #: 00085941585	BUY 1 Units @28.5500						
12/26/2017	***-**-05IN - RANDALL, ADAM	AMERICAN BALANCED FUND-A	100.00	4.25	0.00	4.25	80.0	3.40
	ACCOUNT #: 00085941585	BUY 4 Units @28.5600						
12/18/2017	***-**-7470 - SANFILIPO, JOHN	AMERICAN BALANCED FUND-C	46,387.10	463.87	0.00	463.87	80.0	371.10
	ACCOUNT #: 04000638933	BUY 1656 Units @28.0100						
12/18/2017	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089957234	BUY 2 Units @28.0100						
12/18/2017	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	157.90	1.58	0.00	1.58	80.0	1.26
	ACCOUNT #: 00073003754	BUY 6 Units @28.0100						
12/18/2017	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089045192	BUY 1 Units @28.0100						
12/18/2017	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089045192	BUY 1 Units @28.0100						
12/18/2017	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	83.77	0.84	0.00	0.84	80.0	0.67
	ACCOUNT #: 00089244081	BUY 3 Units @28.0100						
12/18/2017	***-**-281S - FLUGEL, AMANDA	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089561651	BUY 1 Units @28.0100						
12/18/2017	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	33.08	0.33	0.00	0.33	80.0	0.26
	ACCOUNT #: 00089583477	BUY 1 Units @28.0100						
12/18/2017	***-**-035S - CAPIZZI, TRACIE	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089679504	BUY 1 Units @28.0100						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
12/21/2017	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 1 Units @26.9600						
12/21/2017	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	3.30	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902249	BUY 0 Units @26.9600						
12/21/2017	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904181	BUY 0 Units @26.9600						
12/21/2017	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	1.99	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @26.9600						
12/21/2017	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	3.65	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @26.9600						
12/21/2017	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00085904210	BUY 1 Units @26.9600						
12/21/2017	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00085904215	BUY 1 Units @26.9600						
12/21/2017	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	5.91	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904215	BUY 0 Units @26.9600						
12/26/2017	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089957234	BUY 2 Units @26.9600						
12/26/2017	***-**-3981 - GUERRIERI, PAUL	AMERICAN BALANCED FUND-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 00086040659	BUY 4 Units @26.9600						
12/26/2017	***-**-5838 - SPOLETA, BRENDA	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087435959	BUY 2 Units @26.9600						
12/26/2017	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089045192	BUY 1 Units @26.9600						
12/26/2017	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089045192	BUY 1 Units @26.9600						
12/26/2017	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	32.22	0.32	0.00	0.32	80.0	0.26
	ACCOUNT #: 00089583477	BUY 1 Units @26.9600						
12/26/2017	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	80.0	0.96
	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	80.0	0.96
	ACCOUNT #: 00089910177	BUY 4 Units @26.9600						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
12/29/2017	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	3.30	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902249	BUY 0 Units @26.9800						
12/29/2017	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	80.0	0.22
	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	80.0	0.05
	ACCOUNT #: 00085904181	BUY 0 Units @26.9800						
12/29/2017	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	1.56	0.02	0.00	0.02	80.0	0.02
	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	80.0	0.04
	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	80.0	0.13
	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	80.0	0.04
	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	80.0	0.16
	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	80.0	0.89
	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	80.0	0.32
	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	80.0	0.16
	ACCOUNT #: 00089679504	BUY 1 Units @26.9800						
12/29/2017	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	62.97	0.63	0.00	0.63	80.0	0.50
	ACCOUNT #: 00089722785	BUY 2 Units @26.9800						
12/29/2017	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	418.40	4.18	0.00	4.18	80.0	3.34
	ACCOUNT #: 00089722785	BUY 16 Units @26.9800						
01/02/2018	***-**-58IR - HINDERLAND, GARY	AMERICAN BALANCED FUND-C	299.99	3.00	3.00	0.00	80.0	0.00
	ACCOUNT #: LSR011249	BUY 11 Units @27.0700						
12/26/2017	***-**-5838 - SPOLETA, BRENDA	AMERICAN GLOBAL BALANCED CL C	100.00	1.00	0.00	1.00	80.0	0.80
	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	80.0	0.40
	ACCOUNT #: 00087435959	BUY 3 Units @15.9100						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
12/21/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.3600	4.55	0.05	0.00	0.05	80.0	0.04
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	80.0	0.84
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	80.0	0.40
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	80.0	0.04
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	80.0	0.84
01/03/2018	***-**-05IO - KIMBLE, LONNY ACCOUNT #: LSR011472	AMERICAN HIGH-INCOME TRUST-C SELL 45 Units @10.4100	463.41	0.00	0.00	0.00	80.0	0.00
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	80.0	0.24
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	80.0	5.54
12/21/2017	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @40.2300	1.66	0.02	0.00	0.02	80.0	0.02
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	80.0	0.04
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	80.0	0.04
12/29/2017	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @40.2300	1.30	0.01	0.00	0.01	80.0	0.01
12/18/2017	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 03222325444	CAPITAL APPRECIATION C BUY 0 Units @0.0000	61.61	0.62	0.00	0.62	80.0	0.50
12/22/2017	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 03220387068	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
12/22/2017	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03222192157	CAPITAL APPRECIATION C BUY 0 Units @0.0000	68.00	0.68	0.00	0.68	80.0	0.54
12/22/2017	***-**-1834 - BUTLER, KIM ACCOUNT #: 03222200176	CAPITAL APPRECIATION C BUY 0 Units @0.0000	20.00	0.20	0.00	0.20	80.0	0.16



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
12/22/2017	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	341.70	3.42	0.00	3.42	80.0	2.74
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
12/21/2017	***-**-9611 - MACDUFFIE, LINDA	CAPITAL INCOME BUILDER CLASS C	300.00	3.00	0.00	3.00	80.0	2.40
	ACCOUNT #: 00087299599	BUY 5 Units @63.9500						
12/26/2017	***-**-5838 - SPOLETA, BRENDA	CAPITAL INCOME BUILDER CLASS C	100.00	1.00	0.00	1.00	80.0	0.80
	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	80.0	1.08
	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	80.0	0.20
	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	80.0	3.00
	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	80.0	0.80
	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	80.0	0.12
	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	80.0	0.12
	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	80.0	0.77
	ACCOUNT #: 00087038420	BUY 2 Units @50.3800						
12/21/2017	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	3.60	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00087038420	BUY 0 Units @50.3800						
12/26/2017	***-**-05IN - RANDALL, ADAM	CAPITAL WORLD GROWTH AND INCOME FUN	100.00	1.00	0.00	1.00	80.0	0.80
	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	80.0	0.12
	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	80.0	0.12
	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	80.0	0.32
	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	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @50.2900						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
12/29/2017	***-**-1209 - NATALE, KIMBERLY	CAPITAL WORLD GROWTH AND INCOME FUN	270.00	2.70	0.00	2.70	80.0	2.16
	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	80.0	0.40
	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	80.0	1.08
	ACCOUNT #: 00085764363	BUY 3 Units @50.5600						
12/29/2017	***-**-4392 - GARCIA, MICHELLE	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085764363	BUY 0 Units @50.5600						
12/29/2017	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	3.60	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00087038420	BUY 0 Units @50.5600						
12/29/2017	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	80.0	0.77
	ACCOUNT #: 00087038420	BUY 2 Units @50.5600						
01/01/2018	***-**-526I - CAVALLARO,	DREYFUS MF TRAILS	0.00	2.20	0.00	2.20	80.0	1.76
	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	80.0	0.37
	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	80.0	0.40
	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	80.0	0.16
	ACCOUNT #: 00066758346	BUY 0 Units @55.8400						
12/22/2017	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00066759710	BUY 0 Units @62.2200						
12/21/2017	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00085902226	BUY 0 Units @61.9300						
12/21/2017	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	2.40	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @61.9300						
12/21/2017	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085904203	BUY 0 Units @61.9300						
12/21/2017	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	2.33	0.02	0.00	0.02	80.0	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	80.0	0.40
	ACCOUNT #: 00075107985	BUY 1 Units @61.8500						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
12/29/2017	***-**-7625 - PRINCE, ADAM	FUNDAMENTAL INVESTORS-C	1,471.00	14.71	0.00	14.71	80.0	11.77
	ACCOUNT #: 00085764342	BUY 24 Units @61.8800						
12/29/2017	***-**-7625 - PRINCE, ADAM	FUNDAMENTAL INVESTORS-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085764342	BUY 1 Units @61.8800						
12/29/2017	***-**-4392 - GARCIA, MICHELLE	FUNDAMENTAL INVESTORS-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085764363	BUY 0 Units @61.8800						
12/29/2017	***-**-4392 - GARCIA, MICHELLE	FUNDAMENTAL INVESTORS-C	135.00	1.35	0.00	1.35	80.0	1.08
	ACCOUNT #: 00085764363	BUY 2 Units @61.8800						
12/29/2017	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	2.40	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @61.8800						
12/29/2017	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00085902226	BUY 0 Units @61.8800						
12/29/2017	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	2.20	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @61.8800						
12/29/2017	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085904203	BUY 0 Units @61.8800						
01/02/2018	***-**-92IR - CHEN, CYNTHIA	GLOBAL OPPORTUNITIES A	300.01	14.25	3.00	11.25	80.0	9.00
	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	80.0	0.20
	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	80.0	0.62
	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	80.0	0.40
	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	80.0	0.20
	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	80.0	0.40
	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	80.0	0.36
	ACCOUNT #: 00087236607	BUY 2 Units @23.0000						
12/21/2017	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	1.95	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087236607	BUY 0 Units @23.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
12/29/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 0 Units @23.0800	1.95	0.02	0.00	0.02	80.0	0.02
12/29/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 2 Units @23.0800	45.00	0.45	0.00	0.45	80.0	0.36
01/03/2018	***-**-05IO - KIMBLE, LONNY ACCOUNT #: LSR011472	INCOME FUND OF AMERICA CLASS C SELL 20 Units @23.1900	463.41	0.00	0.00	0.00	80.0	0.00
12/18/2017	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @39.9500	32.11	0.32	0.00	0.32	80.0	0.26
12/21/2017	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @40.0500	28.90	0.29	0.00	0.29	80.0	0.23
12/21/2017	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @40.0500	3.40	0.03	0.00	0.03	80.0	0.02
12/21/2017	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @40.0500	0.91	0.01	0.00	0.01	80.0	0.01
12/21/2017	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @40.0500	4.00	0.04	0.00	0.04	80.0	0.03
12/26/2017	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @39.9800	31.27	0.31	0.00	0.31	80.0	0.25
12/29/2017	***-**-1209 - NATALE, KIMBERLY ACCOUNT #: 00085764285	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @39.9800	50.00	0.50	0.00	0.50	80.0	0.40
12/29/2017	***-**-1209 - NATALE, KIMBERLY ACCOUNT #: 00085764285	INVESTMENT COMPANY OF AMERICA CLASS BUY 7 Units @39.9800	270.00	2.70	0.00	2.70	80.0	2.16
12/29/2017	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @39.9800	3.40	0.03	0.00	0.03	80.0	0.02
12/29/2017	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @39.9800	28.90	0.29	0.00	0.29	80.0	0.23
12/29/2017	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @39.9800	1.19	0.01	0.00	0.01	80.0	0.01
12/29/2017	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @39.9800	4.00	0.04	0.00	0.04	80.0	0.03
12/29/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00089722785	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @39.9800	47.22	0.47	0.00	0.47	80.0	0.38



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
12/29/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00089722785	INVESTMENT COMPANY OF AMERICA CLASS BUY 8 Units @39.9800	313.80	3.14	0.00	3.14	80.0	2.51
12/18/2017	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 07024326366	MAIN STREET FUND C BUY 0 Units @0.0000	77.02	0.77	0.00	0.77	80.0	0.62
12/18/2017	***-**-262O - CUSIMANO, MEGAN ACCOUNT #: 07024397338	MAIN STREET FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
12/22/2017	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 07024184114	MAIN STREET FUND C BUY 0 Units @0.0000	66.00	0.66	0.00	0.66	80.0	0.53
12/22/2017	***-**-733O - JOHNSON, DONALD ACCOUNT #: 07024393312	MAIN STREET FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
12/27/2017	***-**-498O - MOYER, COLLEEN ACCOUNT #: 07024431823	MAIN STREET FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
12/27/2017	***-**-953O - MILAM, IAN ACCOUNT #: 07024469113	MAIN STREET FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
12/27/2017	***-**-90FB - DIODATO, CAROL ACCOUNT #: 07024358024	MAIN STREET FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
12/22/2017	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	NEW PERSPECTIVE FUND-A BUY 0 Units @43.0500	19.80	0.20	0.00	0.20	80.0	0.16
12/21/2017	***-**-172I - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @41.3900	10.50	0.11	0.00	0.11	80.0	0.09
12/21/2017	***-**-172I - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @41.3900	2.80	0.03	0.00	0.03	80.0	0.02
12/21/2017	***-**-650O - COOK, MARTIN ACCOUNT #: 00085902231	NEW PERSPECTIVE FUND-C BUY 0 Units @41.3900	2.50	0.03	0.00	0.03	80.0	0.02
12/21/2017	***-**-650O - COOK, MARTIN ACCOUNT #: 00085902231	NEW PERSPECTIVE FUND-C BUY 0 Units @41.3900	2.50	0.03	0.00	0.03	80.0	0.02
12/21/2017	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 1 Units @41.3900	21.00	0.21	0.00	0.21	80.0	0.17
12/21/2017	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @41.3900	2.73	0.03	0.00	0.03	80.0	0.02
12/26/2017	***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	NEW PERSPECTIVE FUND-C BUY 4 Units @41.3200	150.00	1.50	0.00	1.50	80.0	1.20



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
12/29/2017	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @41.4800						
12/29/2017	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @41.4800						
12/29/2017	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @41.4800						
12/29/2017	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @41.4800						
12/29/2017	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	2.57	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @41.4800						
12/29/2017	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 1 Units @41.4800						
12/21/2017	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @64.1900						
12/21/2017	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @64.1900						
12/21/2017	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.72	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @64.1900						
12/21/2017	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @64.1900						
12/21/2017	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @64.1900						
12/21/2017	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	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	80.0	0.80
	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	80.0	1.20
	ACCOUNT #: 00086040659	BUY 2 Units @64.2100						
12/29/2017	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @64.6900						
12/29/2017	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @64.6900						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
12/29/2017	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.57	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @64.6900						
12/29/2017	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @64.6900						
12/29/2017	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @64.6900						
12/29/2017	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @64.6900						
12/22/2017	***-**-3407 - TUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	80.0	0.80
	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	80.0	0.80
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
12/22/2017	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	66.00	0.66	0.00	0.66	80.0	0.53
	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	80.0	0.37
	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	80.0	0.40
	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	80.0	1.00
	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	80.0	0.20
	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	80.0	0.20
	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	80.0	0.40
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
12/18/2017	***-**-1314 - BENEDETTO,	QUEST BALANCED FUND C	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 02592292741	BUY 0 Units @0.0000						
12/18/2017	***-**-2620 - CUSIMANO, MEGAN	REAL ESTATE FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 05920400103	BUY 0 Units @0.0000						
12/22/2017	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
12/27/2017	***-**-9530 - MILAM, IAN	REAL ESTATE FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 05920419496	BUY 0 Units @0.0000						
01/02/2018	***-**-92IR - CHEN, CYNTHIA	SELECT VALUE FUND A	300.00	14.25	3.00	11.25	80.0	9.00
	ACCOUNT #: LSR011412	BUY 12 Units @25.7000						
12/22/2017	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
12/22/2017	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	341.70	3.42	0.00	3.42	80.0	2.74
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
12/27/2017	***-**-4980 - MOYER, COLLEEN	SMALL- & MID- CAP VALUE FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02531288969	BUY 0 Units @0.0000						
12/22/2017	***-**-445P - BURNS, DANIEL	SMALLCAP WORLD FUND-A	28.60	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00066758346	BUY 1 Units @55.5800						
12/21/2017	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @48.9500						
12/21/2017	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @48.9500						
12/29/2017	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @49.0900						
12/29/2017	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @49.0900						
12/18/2017	***-**-1314 - BENEDETTO,	STRATEGIC INCOME FUND C	125.00	1.25	0.00	1.25	80.0	1.00
	ACCOUNT #: 02322751089	BUY 0 Units @0.0000						
12/22/2017	***-**-1834 - BUTLER, KIM	STRATEGIC INCOME FUND C	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 01920863291	BUY 0 Units @0.0000						
12/22/2017	***-**-1834 - BUTLER, KIM	STRATEGIC INCOME FUND C	170.85	1.71	0.00	1.71	80.0	1.37
	ACCOUNT #: 01920863291	BUY 0 Units @0.0000						
12/22/2017	***-**-445P - BURNS, DANIEL	THE BOND FUND OF AMERICA-A	19.80	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00066758346	BUY 2 Units @12.8400						
12/21/2017	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 2 Units @12.8400						
12/21/2017	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	3.30	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902249	BUY 0 Units @12.8400						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
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	80.0	0.07
12/21/2017	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 0 Units @12.8400	2.98	0.03	0.00	0.03	80.0	0.02
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	80.0	0.80
12/29/2017	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 0 Units @12.8900	3.30	0.03	0.00	0.03	80.0	0.02
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	80.0	0.22
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	80.0	0.07
12/29/2017	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 0 Units @12.8900	2.34	0.02	0.00	0.02	80.0	0.02
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	80.0	2.00
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	80.0	0.24
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	80.0	0.58
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	80.0	0.24
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	80.0	0.40
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	80.0	1.04
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	80.0	0.47
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	80.0	0.16
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	80.0	0.08



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
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	80.0	1.10
12/28/2017	***-**-975P - COTTONE, MARIA ACCOUNT #: 00086606929	THE GROWTH FUND OF AMERICA-A BUY 15 Units @52.1500	800.00	30.00	0.00	30.00	80.0	24.00
12/28/2017	***-**-975P - COTTONE, MARIA ACCOUNT #: 00086606929	THE GROWTH FUND OF AMERICA-A BUY 4 Units @52.1500	207.36	7.78	0.00	7.78	80.0	6.22
12/18/2017	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	THE GROWTH FUND OF AMERICA-C BUY 3 Units @49.2100	148.61	1.49	0.00	1.49	80.0	1.19
12/18/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @49.2100	15.00	0.15	0.00	0.15	80.0	0.12
12/18/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @49.2100	15.00	0.15	0.00	0.15	80.0	0.12
12/18/2017	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089319958	THE GROWTH FUND OF AMERICA-C BUY 1 Units @49.2100	54.57	0.55	0.00	0.55	80.0	0.44
12/18/2017	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	THE GROWTH FUND OF AMERICA-C BUY 1 Units @49.2100	32.11	0.32	0.00	0.32	80.0	0.26
12/18/2017	***-**-0006 - FORSYTH, KATHRYN ACCOUNT #: 04000650661	THE GROWTH FUND OF AMERICA-C BUY 2 Units @49.2100	86.54	0.87	0.00	0.87	80.0	0.70
12/21/2017	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	THE GROWTH FUND OF AMERICA-C BUY 0 Units @46.0500	2.50	0.03	0.00	0.03	80.0	0.02
12/21/2017	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	THE GROWTH FUND OF AMERICA-C BUY 0 Units @46.0500	2.50	0.03	0.00	0.03	80.0	0.02
12/21/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 1 Units @46.0500	48.20	0.48	0.00	0.48	80.0	0.38
12/21/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 0 Units @46.0500	1.80	0.02	0.00	0.02	80.0	0.02
12/21/2017	***-**-50IN - BONACCI, ACCOUNT #: 00089947853	THE GROWTH FUND OF AMERICA-C BUY 8 Units @46.0500	350.00	3.50	0.00	3.50	80.0	2.80
12/22/2017	***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	THE GROWTH FUND OF AMERICA-C BUY 1 Units @46.0200	30.00	0.30	0.00	0.30	80.0	0.24
12/26/2017	***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	THE GROWTH FUND OF AMERICA-C BUY 2 Units @45.9700	100.00	1.00	0.00	1.00	80.0	0.80



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
12/26/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @45.9700	15.00	0.15	0.00	0.15	80.0	0.12
12/26/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @45.9700	15.00	0.15	0.00	0.15	80.0	0.12
12/26/2017	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	THE GROWTH FUND OF AMERICA-C BUY 1 Units @45.9700	31.27	0.31	0.00	0.31	80.0	0.25
12/26/2017	***-**-7186 - VELLA, DOMENICO ACCOUNT #: 04000248474	THE GROWTH FUND OF AMERICA-C BUY 1 Units @45.9700	50.00	0.50	0.00	0.50	80.0	0.40
12/26/2017	***-**-2678 - VELLA, VINCENZO ACCOUNT #: 04000248491	THE GROWTH FUND OF AMERICA-C BUY 1 Units @45.9700	50.00	0.50	0.00	0.50	80.0	0.40
12/27/2017	***-**-1307 - BONACCI, ACCOUNT #: 00087952601	THE GROWTH FUND OF AMERICA-C BUY 16 Units @46.0300	750.00	7.50	0.00	7.50	80.0	6.00
12/27/2017	***-**-50IN - BONACCI, ACCOUNT #: 00089947853	THE GROWTH FUND OF AMERICA-C BUY 16 Units @46.0300	750.00	7.50	0.00	7.50	80.0	6.00
12/28/2017	***-**-1307 - BONACCI, ACCOUNT #: 00087952601	THE GROWTH FUND OF AMERICA-C BUY 11 Units @46.1900	500.00	5.00	0.00	5.00	80.0	4.00
12/29/2017	***-**-4392 - GARCIA, MICHELLE ACCOUNT #: 00085764363	THE GROWTH FUND OF AMERICA-C BUY 3 Units @45.9500	135.00	1.35	0.00	1.35	80.0	1.08
12/29/2017	***-**-4392 - GARCIA, MICHELLE ACCOUNT #: 00085764363	THE GROWTH FUND OF AMERICA-C BUY 1 Units @45.9500	25.00	0.25	0.00	0.25	80.0	0.20
12/29/2017	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	THE GROWTH FUND OF AMERICA-C BUY 0 Units @45.9500	2.50	0.03	0.00	0.03	80.0	0.02
12/29/2017	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	THE GROWTH FUND OF AMERICA-C BUY 0 Units @45.9500	2.50	0.03	0.00	0.03	80.0	0.02
12/29/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 0 Units @45.9500	1.80	0.02	0.00	0.02	80.0	0.02
12/29/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 1 Units @45.9500	48.20	0.48	0.00	0.48	80.0	0.38
12/29/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00088445726	THE GROWTH FUND OF AMERICA-C BUY 8 Units @45.9500	366.59	3.67	0.00	3.67	80.0	2.94
12/29/2017	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089319958	THE GROWTH FUND OF AMERICA-C BUY 2 Units @45.9500	69.96	0.70	0.00	0.70	80.0	0.56



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
12/29/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00089722785	THE GROWTH FUND OF AMERICA-C BUY 1 Units @45.9500	47.22	0.47	0.00	0.47	80.0	0.38
12/29/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00089722785	THE GROWTH FUND OF AMERICA-C BUY 7 Units @45.9500	313.80	3.14	0.00	3.14	80.0	2.51
12/29/2017	***-**-0006 - FORSYTH, KATHRYN ACCOUNT #: 04000650661	THE GROWTH FUND OF AMERICA-C BUY 2 Units @45.9500	86.54	0.87	0.00	0.87	80.0	0.70
12/20/2017	***-**-8776 - LEVINE, TODD ACCOUNT #: 00067996697	THE INCOME FUND OF AMERICA-A BUY 4 Units @24.3100	100.00	3.75	0.00	3.75	80.0	3.00
12/18/2017	***-**-395P - DIVASTA, ANTHONY ACCOUNT #: 00059597416	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @42.2500	50.00	1.88	0.00	1.88	80.0	1.50
12/22/2017	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE INVESTMENT COMPANY OF AMERICA-A BUY 6 Units @40.4400	250.00	2.50	0.00	2.50	80.0	2.00
12/22/2017	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @40.4400	28.60	0.29	0.00	0.29	80.0	0.23
12/22/2017	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @40.4400	50.00	0.50	0.00	0.50	80.0	0.40
12/22/2017	***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @40.4400	20.00	0.20	0.00	0.20	80.0	0.16
12/18/2017	***-**-9024 - HACKETT, ETHAN ACCOUNT #: 00088123299	THE NEW ECONOMY FUND-C BUY 1 Units @44.0100	25.00	0.25	0.00	0.25	80.0	0.20
12/18/2017	***-**-279J - HERRMANN, KEVIN ACCOUNT #: 00086046167	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 10 Units @13.0200	125.00	1.25	0.00	1.25	80.0	1.00
12/29/2017	***-**-278J - GUERRIERI, JOHN ACCOUNT #: 00084395514	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 153 Units @13.0400	2,000.00	20.00	0.00	20.00	80.0	16.00
12/29/2017	***-**-51IN - GUERRIERI, KIM ACCOUNT #: 00085399151	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 77 Units @13.0400	1,000.00	10.00	0.00	10.00	80.0	8.00
12/29/2017	***-**-75UG - GUERRIERI, SOFIA ACCOUNT #: 00085399166	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 19 Units @13.0400	250.00	2.50	0.00	2.50	80.0	2.00
12/22/2017	***-**-415P - MALOVICS, LASZLO ACCOUNT #: 00066758345	WASHINGTON MUTUAL INVESTORS FUND-A BUY 11 Units @45.6700	500.00	5.00	0.00	5.00	80.0	4.00
12/22/2017	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @45.6700	30.80	0.31	0.00	0.31	80.0	0.25



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
12/18/2017	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	WASHINGTON MUTUAL INVESTORS FUND-C BUY 4 Units @45.0800	157.90	1.58	0.00	1.58	80.0	1.26
12/19/2017	***-**-7645 - SUSS, PATRICK	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	3,000.00	30.00	0.00	30.00	80.0	24.00
12/26/2017	***-**-398I - GUERRIERI, PAUL ACCOUNT #: 00086040659	WASHINGTON MUTUAL INVESTORS FUND-C BUY 3 Units @45.0900	150.00	1.50	0.00	1.50	80.0	1.20
12/26/2017	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @45.0900	40.00	0.40	0.00	0.40	80.0	0.32
12/26/2017	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @45.0900	40.00	0.40	0.00	0.40	80.0	0.32
12/29/2017	***-**-96CL - SCARPULLA, ACCOUNT #: 00088445726	WASHINGTON MUTUAL INVESTORS FUND-C BUY 8 Units @45.0800	366.59	3.67	0.00	3.67	80.0	2.94
* MUTUAL FUNDS SUBTOTAL *			\$73,799.89	\$794.62	\$9.00	\$785.62		\$628.44
PRODUCT CATEGORY: VARIABLE ANNUITIES								
01/02/2018	***-**-339I - SANFILIPPO, ACCOUNT #: E1313282	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	30,712.58	614.25	0.00	614.25	80.0	491.40
* VARIABLE ANNUITIES SUBTOTAL *			\$30,712.58	\$614.25	\$0.00	\$614.25		\$491.40
PRODUCT CATEGORY: 529 PLAN								
01/04/2018	***-**-3758 - CONNORS, DAVID ACCOUNT #: 77162702001	NYA JPM 529 AGGR AGE-BASE C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
01/04/2018	***-**-335P - JULIAN, GIOVANA ACCOUNT #: 77613466001	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	138.52	1.39	0.00	1.39	80.0	1.11
01/08/2018	***-**-335P - JULIAN, GIOVANA ACCOUNT #: 77613466001	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	138.52	1.39	0.00	1.39	80.0	1.11
01/08/2018	***-**-80IN - MOYER, COLLEEN ACCOUNT #: 77705588101	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	50.00	1.52	0.00	1.52	80.0	1.22
01/04/2018	***-**-80IN - MOYER, COLLEEN ACCOUNT #: 77705588101	NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000	25.00	0.76	0.00	0.76	80.0	0.61
01/04/2018	***-**-80IN - MOYER, COLLEEN ACCOUNT #: 77705588101	NYA JPM 529 MOD GROWTH AGE A BUY 0 Units @0.0000	25.00	0.76	0.00	0.76	80.0	0.61



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: 529 PLAN (continued)</u>								
01/04/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 MOD GROWTH POR C	138.52	1.39	0.00	1.39	80.0	1.11
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
		* 529 PLAN SUBTOTAL *	\$540.56	\$7.46	\$0.00	\$7.46		\$5.97
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/02/2018	***-**-44IR - ROBERTSON,	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: LSR010558	BUY 1 Units @0.0000						
01/02/2018	***-**-20IN - GIANGRECO, TERRY	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	1.08	0.00	1.08	80.0	0.86
	ACCOUNT #: LSR010603	BUY 1 Units @0.0000						
12/22/2017	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER CORP BOND FND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00100067156	BUY 0 Units @0.0000						
01/02/2018	***-**-92IR - CHEN, CYNTHIA	PIMCO TOTAL RETURN CLASS A	0.00	0.24	0.00	0.24	80.0	0.19
	ACCOUNT #: LSR011412	BUY 1 Units @0.0000						
01/08/2018	***-**-63IR - DIAMOND, ANN	SUNAMERICA FOCUSED DIVIDEND STRAT C	0.00	0.88	0.00	0.88	80.0	0.70
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$25.00	\$2.45	\$0.00	\$2.45		\$1.95
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
12/31/2017	***-**-44IN - GIULIANO, GEORGE	AS ADVISORS PLAN III	0.00	8.02	0.00	8.02	80.0	6.42
	ACCOUNT #: E0582476	BUY 0 Units @0.0000						
12/31/2017	***-**-44IN - GIULIANO, GEORGE	AS ADVISORS PLAN III	0.00	8.02	0.00	8.02	80.0	6.42
	ACCOUNT #: E0582476	BUY 0 Units @0.0000						
12/31/2017	***-**-04IN - KUBIAK, ANN	CHOICEPLUS ASSURANCE BONUS	0.00	44.28	0.00	44.28	80.0	35.42
	ACCOUNT #: 921065887	BUY 0 Units @0.0000						
12/31/2017	***-**-5242 - RUES TRUST,	CHOICEPLUS ASSURANCE BONUS	0.00	138.44	0.00	138.44	80.0	110.75
	ACCOUNT #: 921067171	BUY 0 Units @0.0000						
12/31/2017	***-**-306I - SINCLAIR,	CHOICEPLUS ASSURANCE BONUS	0.00	181.62	0.00	181.62	80.0	145.30
	ACCOUNT #: 921071862	BUY 0 Units @0.0000						
12/31/2017	***-**-22IN - WAGNER, LAUREL	CHOICEPLUS ASSURANCE BONUS	0.00	83.42	0.00	83.42	80.0	66.74
	ACCOUNT #: 921071872	BUY 0 Units @0.0000						
12/31/2017	***-**-2163 - TRAPANI, JAMES	CHOICEPLUS ASSURANCE BONUS	0.00	67.00	0.00	67.00	80.0	53.60
	ACCOUNT #: 921075689	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)								
12/31/2017	***-**-0242 - COZZO, JOSEPHINE	CHOICEPLUS ASSURANCE BONUS	0.00	741.28	0.00	741.28	80.0	593.02
	ACCOUNT #: 921077310	BUY 0 Units @0.0000						
12/31/2017	***-**-7981 - D'ANGELO,	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	46.97	0.00	46.97	80.0	37.58
	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	80.0	201.30
	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	80.0	456.88
	ACCOUNT #: 921055159	BUY 0 Units @0.0000						
12/31/2017	***-**-88VA - PRZYLKUE, LAUREN	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	16.63	0.00	16.63	80.0	13.30
	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	80.0	47.58
	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	80.0	327.00
	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	80.0	24.83
	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	80.0	24.87
	ACCOUNT #: 921056599	BUY 0 Units @0.0000						
12/31/2017	***-**-56IN - MALIN, RUTH	LINCOLN NATIONAL LIFE CUSIP 5337878	0.00	52.28	0.00	52.28	80.0	41.82
	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	80.0	79.15
	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	80.0	70.07
	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	80.0	53.22
	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	80.0	57.53
	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	80.0	198.69
	ACCOUNT #: 921074365	BUY 0 Units @0.0000						
12/31/2017	***-**-05IO - KIMBLE, LONNY	PRUDENTIAL VA 74430T119	0.00	1,409.61	0.00	1,409.61	80.0	1,127.69
	ACCOUNT #: E1832087	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 08, 2018

FREDERIC SCARPULLA
400 West Metro Park
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BROKER #: 417
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)								
12/31/2017	***-**-214I - RUSH, ROBERT ACCOUNT #: E1071856	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	48.07	0.00	48.07	80.0	38.46
12/31/2017	***-**-54VA - FANTAUZZO, EVA ACCOUNT #: E1438479	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	2.43	0.00	2.43	80.0	1.94
12/31/2017	***-**-503J - OBI, JEAN ACCOUNT #: E1441415	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	77.36	0.00	77.36	80.0	61.89
12/31/2017	***-**-339I - SANFILIPPO, ACCOUNT #: E1313282	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	228.32	0.00	228.32	80.0	182.66
12/31/2017	***-**-7470 - SANFILIPPO, JOHN ACCOUNT #: E1313272	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	176.77	0.00	176.77	80.0	141.42
12/31/2017	***-**-20VA - ACCOUNT #: E1490657	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	168.72	0.00	168.72	80.0	134.98
12/31/2017	***-**-7633 - FREDERICO, LEE ACCOUNT #: E1387199	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	50.11	0.00	50.11	80.0	40.09
12/31/2017	***-**-928I - SPALLINA, ACCOUNT #: E1289944	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	41.53	0.00	41.53	80.0	33.22
12/31/2017	***-**-9360 - SPALLINA, DIANE ACCOUNT #: E1289869	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	37.97	0.00	37.97	80.0	30.38
12/31/2017	***-**-0242 - COZZO, JOSEPHINE ACCOUNT #: E1120418	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	48.61	0.00	48.61	80.0	38.89
12/31/2017	***-**-054P - FANTAUZZO, EVA ACCOUNT #: 000619108	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	6.98	0.00	6.98	80.0	5.58
12/31/2017	***-**-054P - FANTAUZZO, EVA ACCOUNT #: 000619108	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	6.98	0.00	6.98	80.0	5.58
12/31/2017	***-**-1926 - VERCRUYSE, ACCOUNT #: 000618899	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	22.22	0.00	22.22	80.0	17.78
12/31/2017	***-**-1926 - VERCRUYSE, ACCOUNT #: 000618899	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	22.22	0.00	22.22	80.0	17.78
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	80.0	4.26
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	80.0	4.26



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)								
12/31/2017	***-**-274I - ROBERTS, ADELLA	PRUDENTIAL VA TRAILS 74430A227	0.00	18.95	0.00	18.95	80.0	15.16
	ACCOUNT #: E0728348	BUY 0 Units @0.0000						
12/31/2017	***-**-5564 - BAUSCH, LEE	PRUDENTIAL VA TRAILS 74430A227	0.00	32.79	0.00	32.79	80.0	26.23
	ACCOUNT #: E0397149	BUY 0 Units @0.0000						
12/31/2017	***-**-5564 - BAUSCH, LEE	PRUDENTIAL VA TRAILS 74430A227	0.00	32.79	0.00	32.79	80.0	26.23
	ACCOUNT #: E0397149	BUY 0 Units @0.0000						
12/31/2017	***-**-307I - SCARPULLA, MARY	PRUDENTIAL VA TRAILS 74430A227	0.00	83.29	0.00	83.29	80.0	66.63
	ACCOUNT #: E0559154	BUY 0 Units @0.0000						
12/31/2017	***-**-307I - SCARPULLA, MARY	PRUDENTIAL VA TRAILS 74430A227	0.00	83.29	0.00	83.29	80.0	66.63
	ACCOUNT #: E0559154	BUY 0 Units @0.0000						
12/31/2017	***-**-0242 - COZZO, JOSEPHINE	PRUDENTIAL VA TRAILS 74430A235	0.00	241.35	0.00	241.35	80.0	193.08
	ACCOUNT #: E0939612	BUY 0 Units @0.0000						
12/31/2017	***-**-0242 - COZZO, JOSEPHINE	PRUDENTIAL VA TRAILS 74430A235	0.00	60.34	0.00	60.34	80.0	48.27
	ACCOUNT #: E0939612	BUY 0 Units @0.0000						
12/31/2017	***-**-0008 - COZZO, LUIGI	PRUDENTIAL VA TRAILS 74430A235	0.00	288.22	0.00	288.22	80.0	230.58
	ACCOUNT #: E0977978	BUY 0 Units @0.0000						
12/31/2017	***-**-0008 - COZZO, LUIGI	PRUDENTIAL VA TRAILS 74430A235	0.00	72.05	0.00	72.05	80.0	57.64
	ACCOUNT #: E0977978	BUY 0 Units @0.0000						
12/31/2017	***-**-291A - HERTZEL,	PRUDENTIAL VA TRAILS 74430A235	0.00	134.31	0.00	134.31	80.0	107.45
	ACCOUNT #: E0781856	BUY 0 Units @0.0000						
12/31/2017	***-**-291A - HERTZEL,	PRUDENTIAL VA TRAILS 74430A235	0.00	44.77	0.00	44.77	80.0	35.82
	ACCOUNT #: E0781856	BUY 0 Units @0.0000						
12/31/2017	***-**-7981 - D'ANGELO,	PRUDENTIAL VA TRAILS 74430A235	0.00	697.31	0.00	697.31	80.0	557.85
	ACCOUNT #: E0731699	BUY 0 Units @0.0000						
12/31/2017	***-**-7981 - D'ANGELO,	PRUDENTIAL VA TRAILS 74430A235	0.00	174.33	0.00	174.33	80.0	139.46
	ACCOUNT #: E0731699	BUY 0 Units @0.0000						
01/08/2018	***-**-1314 - BENEDETTO,	QUALIFIED PLAN SUMMARY	0.00	97.38	0.00	97.38	80.0	77.90
	ACCOUNT #: 921065489	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$7,734.07	\$0.00	\$7,734.07		\$6,187.28
*** BROKER TRANSACTIONS TOTAL ***			\$105,078.03	\$9,152.85	\$9.00	\$9,143.85		\$7,315.04



COMMISSION STATEMENT

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BROKER #: 417
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: WILLIAM ROBERTS</u>								
12/31/2017	***-**-904R - PRZYLKUE, ACCOUNT #: E1434564	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	54.43	0.00	54.43	80.0	43.54
12/31/2017	***-**-47IN - SIDARE, ANDREA ACCOUNT #: E1190180	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	44.57	0.00	44.57	80.0	35.66
12/31/2017	***-**-904I - PRZYLKUE, ACCOUNT #: E1331165	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	98.48	0.00	98.48	80.0	78.78
12/31/2017	***-**-729I - PRZYLKUE, PHILIP ACCOUNT #: E1094963	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	4.63	0.00	4.63	80.0	3.70
12/31/2017	***-**-904I - PRZYLKUE, ACCOUNT #: E1091145	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	37.59	0.00	37.59	80.0	30.07
* WILLIAM ROBERTS SUBTOTAL *			\$0.00	\$239.70	\$0.00	\$239.70		\$191.75
*** SPLIT TRANSACTIONS TOTAL ***			\$0.00	\$239.70	\$0.00	\$239.70		\$191.75

BROKER COMMISSION TOTALS

Broker Transactions	\$7,315.04
Split Transactions	\$191.75
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$88.97
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$7,595.76
Year-to-date Earnings	\$7,595.76