

COMMISSION STATEMENT

September 29, 2017

JANICE GINSBURG
100 AQUEDUCT DRIVE

BROKER #: 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 |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

| | | | | | | | | | |
|---------------------------|-----------------|------------------------------------|---|------------|--------|--------|--------|------|--------|
| 09/14/2017 | 000000006009116 | VARIOUS, FRANKLIN-523 | B | 250.00 | 2.50 | 0.00 | 2.50 | 50.0 | 1.25 |
| 09/14/2017 | 000000006231218 | VARIOUS, FRANKLIN537 | B | 250.00 | 2.50 | 0.00 | 2.50 | 50.0 | 1.25 |
| 09/08/2017 | 75501483 | SPILLER, HELEN **GUGGENHEIM FDS TR | S | 500.00 | 0.00 | 0.00 | 0.00 | 50.0 | 0.00 |
| * MUTUAL FUNDS SUBTOTAL * | | | | \$1,000.00 | \$5.00 | \$0.00 | \$5.00 | | \$2.50 |

PRODUCT CATEGORY: VARIABLE ANNUITIES

| | | | | | | | | | |
|---------------------------------|--------|---------------------------|---|--------|----------|--------|----------|------|---------|
| 09/05/2017 | (None) | VARIOUS, GINSBURG JACKSON | B | 0.00 | 116.07 | 0.00 | 116.07 | 50.0 | 58.04 |
| 09/08/2017 | (None) | VARIOUS, GINSBURG LINCOLN | B | 0.00 | 23.37 | 0.00 | 23.37 | 50.0 | 11.69 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | | \$0.00 | \$139.44 | \$0.00 | \$139.44 | | \$69.73 |

PRODUCT CATEGORY: MISCELLANEOUS

| | | | | | | | | | |
|----------------------------|-------------------|-----------------|---|--------|------------|--------|------------|------|------------|
| 09/29/2017 | VARIOUS, GINSBURG | ADVISORY INCOME | B | 0.00 | 3,185.33 | 0.00 | 3,185.33 | 50.0 | 1,592.67 |
| * MISCELLANEOUS SUBTOTAL * | | | | \$0.00 | \$3,185.33 | \$0.00 | \$3,185.33 | | \$1,592.67 |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | | |
|------------|-------------|--|---|------|-------|------|-------|------|-------|
| 09/01/2017 | 00056159205 | GIRGENTI, V CAPITAL INCOME BUILDER-A | B | 0.00 | 22.55 | 0.00 | 22.55 | 50.0 | 11.28 |
| 09/01/2017 | 00056159205 | GIRGENTI, V CAPITAL WORLD GROWTH AND INCOME FUN B | B | 0.00 | 15.96 | 0.00 | 15.96 | 50.0 | 7.98 |
| 09/01/2017 | 00056159205 | GIRGENTI, V FUNDAMENTAL INVESTORS-A | B | 0.00 | 16.43 | 0.00 | 16.43 | 50.0 | 8.22 |
| 09/01/2017 | 00056159205 | GIRGENTI, V NEW WORLD FUND-A | B | 0.00 | 13.00 | 0.00 | 13.00 | 50.0 | 6.50 |
| 09/01/2017 | 00056159205 | GIRGENTI, V THE GROWTH FUND OF AMERICA-A | B | 0.00 | 39.29 | 0.00 | 39.29 | 50.0 | 19.65 |
| 09/01/2017 | 00056159205 | GIRGENTI, V THE INVESTMENT COMPANY OF AMERICA-A B | B | 0.00 | 29.35 | 0.00 | 29.35 | 50.0 | 14.68 |
| 09/01/2017 | 00056159205 | GIRGENTI, V THE NEW ECONOMY FUND-A | B | 0.00 | 16.47 | 0.00 | 16.47 | 50.0 | 8.24 |
| 09/01/2017 | 00067888652 | UNTIL AGE 21, AMERICAN BALANCED FUND-529A | B | 0.00 | 0.87 | 0.00 | 0.87 | 50.0 | 0.00 |
| 09/01/2017 | 00067888652 | UNTIL AGE 21, CAPITAL INCOME BUILDER-529A | B | 0.00 | 0.35 | 0.00 | 0.35 | 50.0 | 0.00 |
| 09/01/2017 | 00067888652 | UNTIL AGE 21, NEW PERSPECTIVE FUND-529A | B | 0.00 | 1.15 | 0.00 | 1.15 | 50.0 | 0.58 |
| 09/01/2017 | 00067888652 | UNTIL AGE 21, NEW WORLD FUND-529A | B | 0.00 | 2.35 | 0.00 | 2.35 | 50.0 | 1.18 |
| 09/01/2017 | 00067888652 | UNTIL AGE 21, THE GROWTH FUND OF AMERICA-529A | B | 0.00 | 3.02 | 0.00 | 3.02 | 50.0 | 1.51 |
| 09/01/2017 | 00067888652 | UNTIL AGE 21, THE INVESTMENT COMPANY OF AMERICA-5 B | B | 0.00 | 0.74 | 0.00 | 0.74 | 50.0 | 0.00 |
| 09/01/2017 | 00067888652 | UNTIL AGE 21, WASHINGTON MUTUAL INVESTORS FUND-52 B | B | 0.00 | 12.87 | 0.00 | 12.87 | 50.0 | 6.44 |
| 09/01/2017 | 00075525420 | ROSENBERG, KELETSO 529 AMERICAN FUNDS COLLEGE 2021 FUN B | B | 0.00 | 16.14 | 0.00 | 16.14 | 50.0 | 8.07 |
| 09/01/2017 | 00075525420 | ROSENBERG, KELETSO EUROPACIFIC GROWTH FUND-529A | B | 0.00 | 0.59 | 0.00 | 0.59 | 50.0 | 0.00 |
| 09/01/2017 | 00075525420 | ROSENBERG, KELETSO THE GROWTH FUND OF AMERICA-529A | B | 0.00 | 0.74 | 0.00 | 0.74 | 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 |
|--|-------------|--|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 09/01/2017 | 00075525420 | ROSENBERG, KELETSO THE INVESTMENT COMPANY OF AMERICA-5 B | | 0.00 | 0.69 | 0.00 | 0.69 | 50.0 | 0.00 |
| 09/01/2017 | 00075525420 | ROSENBERG, KELETSO WASHINGTON MUTUAL INVESTORS FUND-52 B | | 0.00 | 0.58 | 0.00 | 0.58 | 50.0 | 0.00 |
| 09/01/2017 | 00082704422 | BLUM, ASHER 529 EUROPACIFIC | B | 0.00 | 1.52 | 0.00 | 1.52 | 50.0 | 0.76 |
| 09/01/2017 | 00082704422 | BLUM, ASHER 529 FUNDAMENTAL | B | 0.00 | 4.17 | 0.00 | 4.17 | 50.0 | 2.09 |
| 09/01/2017 | 00082704422 | BLUM, ASHER 529 INTERNATIONAL GROWTH | B | 0.00 | 1.40 | 0.00 | 1.40 | 50.0 | 0.70 |
| 09/01/2017 | 00082704422 | BLUM, ASHER 529 THE NEW ECONOMY FUND | B | 0.00 | 2.01 | 0.00 | 2.01 | 50.0 | 1.01 |
| 09/01/2017 | 00082704422 | BLUM, ASHER AMERICAN FUNDS | B | 0.00 | 0.80 | 0.00 | 0.80 | 50.0 | 0.00 |
| 09/01/2017 | 00082704422 | BLUM, ASHER CAPITAL INCOME BUILDER-529C | B | 0.00 | 5.05 | 0.00 | 5.05 | 50.0 | 2.53 |
| 09/01/2017 | 00082704422 | BLUM, ASHER CAPITAL WORLD BOND FUND-529C | B | 0.00 | 2.03 | 0.00 | 2.03 | 50.0 | 1.02 |
| 09/01/2017 | 00082704422 | BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529 B | | 0.00 | 2.47 | 0.00 | 2.47 | 50.0 | 1.24 |
| 09/01/2017 | 00082704422 | BLUM, ASHER NEW WORLD FUND-529C | B | 0.00 | 1.64 | 0.00 | 1.64 | 50.0 | 0.82 |
| 09/01/2017 | 00082704422 | BLUM, ASHER THE GROWTH FUND OF AMERICA-529C | B | 0.00 | 4.60 | 0.00 | 4.60 | 50.0 | 2.30 |
| 09/01/2017 | 00084570136 | ALANCRAIG, SUSAN AMCAP FUND-C | B | 0.00 | 15.62 | 0.00 | 15.62 | 50.0 | 7.81 |
| 09/01/2017 | 00084570136 | ALANCRAIG, SUSAN AMERICAN BALANCED FUND-C | B | 0.00 | 10.82 | 0.00 | 10.82 | 50.0 | 5.41 |
| 09/01/2017 | 00084570136 | ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C | B | 0.00 | 12.37 | 0.00 | 12.37 | 50.0 | 6.19 |
| 09/01/2017 | 00084570136 | ALANCRAIG, SUSAN AMERICAN MUTUAL FUND-C | B | 0.00 | 11.23 | 0.00 | 11.23 | 50.0 | 5.62 |
| 09/01/2017 | 00084570136 | ALANCRAIG, SUSAN CAPITAL INCOME BUILDER CLASS C | B | 0.00 | 75.66 | 0.00 | 75.66 | 50.0 | 37.83 |
| 09/01/2017 | 00084570136 | ALANCRAIG, SUSAN CAPITAL WORLD GROWTH AND INCOME FUN B | | 0.00 | 1.80 | 0.00 | 1.80 | 50.0 | 0.90 |
| 09/01/2017 | 00084570136 | ALANCRAIG, SUSAN FUNDAMENTAL INVESTORS-C | B | 0.00 | 13.10 | 0.00 | 13.10 | 50.0 | 6.55 |
| 09/01/2017 | 00084570136 | ALANCRAIG, SUSAN NEW WORLD FUND-C | B | 0.00 | 17.06 | 0.00 | 17.06 | 50.0 | 8.53 |
| 09/01/2017 | 00084570136 | ALANCRAIG, SUSAN THE GROWTH FUND OF AMERICA-C | B | 0.00 | 13.54 | 0.00 | 13.54 | 50.0 | 6.77 |
| 09/01/2017 | 00084570136 | ALANCRAIG, SUSAN THE NEW ECONOMY FUND-C | B | 0.00 | 15.98 | 0.00 | 15.98 | 50.0 | 7.99 |
| 09/01/2017 | 00084570136 | ALANCRAIG, SUSAN WASHINGTON MUTUAL INVESTORS FUND-C | B | 0.00 | 9.49 | 0.00 | 9.49 | 50.0 | 4.75 |
| 09/01/2017 | 00086908092 | BLUM, ASHER 529 FUNDAMENTAL | B | 0.00 | 4.67 | 0.00 | 4.67 | 50.0 | 2.34 |
| 09/01/2017 | 00086908092 | BLUM, ASHER AMERICAN MUTUAL FUND-529A | B | 0.00 | 0.56 | 0.00 | 0.56 | 50.0 | 0.00 |
| 09/01/2017 | 00086908092 | BLUM, ASHER CAPITAL INCOME BUILDER-529A | B | 0.00 | 0.39 | 0.00 | 0.39 | 50.0 | 0.00 |
| 09/01/2017 | 00086908092 | BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529 B | | 0.00 | 0.15 | 0.00 | 0.15 | 50.0 | 0.00 |
| 09/01/2017 | 00086908092 | BLUM, ASHER EUROPACIFIC GROWTH FUND-529A | B | 0.00 | 0.28 | 0.00 | 0.28 | 50.0 | 0.00 |
| 09/01/2017 | 00086908092 | BLUM, ASHER INTERMEDIATE BOND FUND OF AMERICA-5 B | | 0.00 | 0.23 | 0.00 | 0.23 | 50.0 | 0.00 |
| 09/01/2017 | 00086908092 | BLUM, ASHER NEW WORLD FUND-529A | B | 0.00 | 0.22 | 0.00 | 0.22 | 50.0 | 0.00 |
| 09/01/2017 | 00086908092 | BLUM, ASHER THE GROWTH FUND OF AMERICA-529C | B | 0.00 | 0.77 | 0.00 | 0.77 | 50.0 | 0.00 |
| 09/01/2017 | 00166154105 | FL UNIF TFRS TO THE INVESTMENT COMPANY OF AMERICA-A B | | 0.00 | 6.00 | 0.00 | 6.00 | 50.0 | 3.00 |
| 09/12/2017 | 75501483 | SPILLER, HELEN **GUGGENHEIM FDS TR | B | 0.00 | 2.11 | 0.00 | 2.11 | 50.0 | 1.06 |
| 09/12/2017 | 75501483 | SPILLER, HELEN AMERICAN BALANCED FUND-A | B | 0.00 | 3.58 | 0.00 | 3.58 | 50.0 | 1.79 |
| 09/12/2017 | 75501483 | SPILLER, HELEN BOND-DEBENTURE FUND CLASS A | B | 0.00 | 1.12 | 0.00 | 1.12 | 50.0 | 0.56 |
| 09/12/2017 | 75501483 | SPILLER, HELEN PUTNAM 746745108 | B | 0.00 | 0.14 | 0.00 | 0.14 | 50.0 | 0.00 |
| 09/12/2017 | 75501483 | SPILLER, HELEN THE INCOME FUND OF AMERICA-A | B | 0.00 | 4.18 | 0.00 | 4.18 | 50.0 | 2.09 |
| 09/12/2017 | 75501504 | LERNER, JOAN U.S. GOVERNMENT SECURITIES FUND CLA B | | 0.00 | 2.34 | 0.00 | 2.34 | 50.0 | 1.17 |
| 09/12/2017 | 75501505 | LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A | B | 0.00 | 4.05 | 0.00 | 4.05 | 50.0 | 2.03 |
| 09/12/2017 | 75501505 | LERNER, JOAN CAPITAL INCOME BUILDER-A | B | 0.00 | 0.70 | 0.00 | 0.70 | 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 |
|--|----------|------------------|-----|---------------------------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 09/12/2017 | 75501505 | LENER, JOAN | | CAPITAL WORLD BOND FUND-A | B | 0.00 | 1.84 | 0.00 | 1.84 50.0 0.92 |
| 09/12/2017 | 75501505 | LENER, JOAN | | THE BOND FUND OF AMERICA-A | B | 0.00 | 4.31 | 0.00 | 4.31 50.0 2.16 |
| 09/12/2017 | 75501621 | WEXLER, SHEILA | | EATON VANCE TAX- MANAGED EQUITY ASS B | | 0.00 | 13.45 | 0.00 | 13.45 50.0 6.73 |
| 09/12/2017 | 75501621 | WEXLER, SHEILA | | THE HARTFORD CAPITAL APPRECIATION F B | | 0.00 | 2.11 | 0.00 | 2.11 50.0 1.06 |
| 09/12/2017 | 75501621 | WEXLER, SHEILA | | THE HARTFORD MID CAP FUND-A | B | 0.00 | 3.21 | 0.00 | 3.21 50.0 1.61 |
| 09/12/2017 | 75501622 | ABEL, STACEY | | **PRUDENTIAL JENNISON NATURAL | B | 0.00 | 10.82 | 0.00 | 10.82 50.0 5.41 |
| 09/12/2017 | 75501622 | ABEL, STACEY | | DAVIS NEW YORK VENTURE CLASS A | B | 0.00 | 2.96 | 0.00 | 2.96 50.0 1.48 |
| 09/12/2017 | 75501622 | ABEL, STACEY | | MFS GLOBAL EQUITY FUND-A | B | 0.00 | 2.11 | 0.00 | 2.11 50.0 1.06 |
| 09/12/2017 | 75501622 | ABEL, STACEY | | SHORT-TERM BOND FUND OF AMERICA - A B | | 0.00 | 0.84 | 0.00 | 0.84 50.0 0.00 |
| 09/12/2017 | 75501622 | ABEL, STACEY | | THE INVESTMENT COMPANY OF AMERICA-A B | | 0.00 | 5.25 | 0.00 | 5.25 50.0 2.63 |
| 09/12/2017 | 75501624 | ALANCRAIG, SUSAN | | **GABELLI SRI FUND | B | 0.00 | 11.19 | 0.00 | 11.19 50.0 5.60 |
| 09/13/2017 | 75501624 | ALANCRAIG, SUSAN | | CALVERT EQUITY PORTFOLIO CL C | B | 0.00 | 12.64 | 0.00 | 12.64 50.0 6.32 |
| 09/12/2017 | 75501626 | URQUHART, THOMAS | | THE GROWTH FUND OF AMERICA-A | B | 0.00 | 5.80 | 0.00 | 5.80 50.0 2.90 |
| 09/12/2017 | 75501627 | LEE, T ORIN | | **AMG MANAGERS CADENCE MID CAP | B | 0.00 | 1.06 | 0.00 | 1.06 50.0 0.53 |
| 09/26/2017 | 75501627 | LEE, T ORIN | | **VICTORY PORTFOLIOS MUNDER | B | 0.00 | 1.03 | 0.00 | 1.03 50.0 0.52 |
| 09/12/2017 | 75501628 | MODES, VINCENT | | ALL VALUE FUND CLASS A | B | 0.00 | 5.47 | 0.00 | 5.47 50.0 2.74 |
| 09/12/2017 | 75501628 | MODES, VINCENT | | CAPITAL INCOME BUILDER-A | B | 0.00 | 10.93 | 0.00 | 10.93 50.0 5.47 |
| 09/12/2017 | 75501628 | MODES, VINCENT | | CAPITAL WORLD GROWTH AND INCOME FUN B | | 0.00 | 4.94 | 0.00 | 4.94 50.0 2.47 |
| 09/12/2017 | 75501628 | MODES, VINCENT | | LORD ABBETT CALIBRATED DIVIDEND GRO B | | 0.00 | 4.51 | 0.00 | 4.51 50.0 2.26 |
| 09/12/2017 | 75501628 | MODES, VINCENT | | LORD ABBETT AFFILIATED FUND CLASS A B | | 0.00 | 8.73 | 0.00 | 8.73 50.0 4.37 |
| 09/12/2017 | 75501628 | MODES, VINCENT | | MID-CAP VALUE FUND CLASS A | B | 0.00 | 6.56 | 0.00 | 6.56 50.0 3.28 |
| 09/12/2017 | 75501628 | MODES, VINCENT | | NEW PERSPECTIVE FUND-A | B | 0.00 | 9.18 | 0.00 | 9.18 50.0 4.59 |
| 09/12/2017 | 75501628 | MODES, VINCENT | | OPPENHEIMERFUNDS 68380G101 | B | 0.00 | 3.00 | 0.00 | 3.00 50.0 1.50 |
| 09/12/2017 | 75501628 | MODES, VINCENT | | THE HARTFORD CAPITAL APPRECIATION F B | | 0.00 | 9.27 | 0.00 | 9.27 50.0 4.64 |
| 09/12/2017 | 75501628 | MODES, VINCENT | | THE INVESTMENT COMPANY OF AMERICA-A B | | 0.00 | 4.49 | 0.00 | 4.49 50.0 2.25 |
| 09/12/2017 | 75501629 | INOVATIVE INC | | EATON VANCE MUT FDS TR FLTG RATE AD B | | 0.00 | 10.50 | 0.00 | 10.50 50.0 5.25 |
| 09/12/2017 | 75501629 | INOVATIVE INC | | HARTFORD FLOATING RATE FUND CLASS C B | | 0.00 | 13.43 | 0.00 | 13.43 50.0 6.72 |
| 09/12/2017 | 75501631 | MODES, LOIS | | LORD ABBETT RESEARCH FUND INC-SMALL B | | 0.00 | 5.29 | 0.00 | 5.29 50.0 2.65 |
| 09/12/2017 | 75501631 | MODES, LOIS | | LORD ABBETT CALIBRATED DIVIDEND GRO B | | 0.00 | 5.85 | 0.00 | 5.85 50.0 2.93 |
| 09/12/2017 | 75501631 | MODES, LOIS | | LORD ABBETT AFFILIATED FUND CLASS A B | | 0.00 | 5.15 | 0.00 | 5.15 50.0 2.58 |
| 09/12/2017 | 75501631 | MODES, LOIS | | MID-CAP VALUE FUND CLASS A | B | 0.00 | 5.87 | 0.00 | 5.87 50.0 2.94 |
| 09/12/2017 | 75501631 | MODES, LOIS | | NEW PERSPECTIVE FUND-A | B | 0.00 | 6.68 | 0.00 | 6.68 50.0 3.34 |
| 09/12/2017 | 75501631 | MODES, LOIS | | THE HARTFORD MID CAP FUND-A | B | 0.00 | 6.63 | 0.00 | 6.63 50.0 3.32 |
| 09/12/2017 | 75501632 | NESHAMINY VALLEY | | HARTFORD FLOATING RATE FUND CLASS C B | | 0.00 | 5.53 | 0.00 | 5.53 50.0 2.77 |
| 09/12/2017 | 75501633 | MODES, VINCENT | | CAPITAL WORLD GROWTH AND INCOME FUN B | | 0.00 | 16.95 | 0.00 | 16.95 50.0 8.48 |
| 09/12/2017 | 75501633 | MODES, VINCENT | | EATON VANCE TAX MANAGED VALUE FD CL B | | 0.00 | 6.48 | 0.00 | 6.48 50.0 3.24 |
| 09/12/2017 | 75501633 | MODES, VINCENT | | EHV 277911830 | B | 0.00 | 14.71 | 0.00 | 14.71 50.0 7.36 |
| 09/12/2017 | 75501633 | MODES, VINCENT | | HARTFORD ADVISERS FUND CLASS A | B | 0.00 | 2.17 | 0.00 | 2.17 50.0 1.09 |
| 09/12/2017 | 75501633 | MODES, VINCENT | | JANUS INVT FD HENDERSON EURPEAN FCU B | | 0.00 | 9.87 | 0.00 | 9.87 50.0 4.94 |
| 09/12/2017 | 75501633 | MODES, VINCENT | | OPPENHEIMERFUNDS 68380G101 | B | 0.00 | 11.33 | 0.00 | 11.33 50.0 5.67 |

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> | | | | | | | | | |
| 09/12/2017 | 75501633 | MODES, VINCENT | | THE GROWTH FUND OF AMERICA-A | B | 0.00 | 7.80 | 0.00 | 7.80 50.0 3.90 |
| 09/12/2017 | 75501634 | CROPANESE, CAROL | | **PRUDENTIAL JENNISON NATURAL | B | 0.00 | 9.96 | 0.00 | 9.96 50.0 4.98 |
| 09/12/2017 | 75501634 | CROPANESE, CAROL | | HARTFORD MUTUAL FUNDS INC DIVIDEND | B | 0.00 | 12.70 | 0.00 | 12.70 50.0 6.35 |
| 09/12/2017 | 75501634 | CROPANESE, CAROL | | QUEST OPPORTUNITY VALUE A | B | 0.00 | 0.21 | 0.00 | 0.21 50.0 0.00 |
| 09/12/2017 | 75501634 | CROPANESE, CAROL | | THE HARTFORD MID CAP FUND-C | B | 0.00 | 16.44 | 0.00 | 16.44 50.0 8.22 |
| 09/12/2017 | 75501635 | CROPANESE, CAROL | | BLACKROCK CAP APPRECIATION FD INC C B | B | 0.00 | 2.70 | 0.00 | 2.70 50.0 1.35 |
| 09/12/2017 | 75501635 | CROPANESE, CAROL | | BLACKROCK GLOBAL ALLOCATION FD INC B | B | 0.00 | 12.08 | 0.00 | 12.08 50.0 6.04 |
| 09/12/2017 | 75501635 | CROPANESE, CAROL | | EATON VANCE GLOBAL MACRO ABSOLUTE R B | B | 0.00 | 7.38 | 0.00 | 7.38 50.0 3.69 |
| 09/12/2017 | 75501635 | CROPANESE, CAROL | | EHV 277911772 | B | 0.00 | 1.64 | 0.00 | 1.64 50.0 0.82 |
| 09/12/2017 | 75501635 | CROPANESE, CAROL | | IVY ASSET STRATEGY FD CL C | B | 0.00 | 10.32 | 0.00 | 10.32 50.0 5.16 |
| 09/15/2017 | 75501635 | CROPANESE, CAROL | | VAN ECK FDS GLOBAL ASST CL C | B | 0.00 | 14.00 | 0.00 | 14.00 50.0 7.00 |
| 09/26/2017 | 75501635 | CROPANESE, CAROL | | **VICTORY PORTFOLIOS | B | 0.00 | 6.56 | 0.00 | 6.56 50.0 3.28 |
| 09/12/2017 | 75501636 | URQUHART, THOMAS | | FIRST EAGLE GLOBAL FUND CLASS C | B | 0.00 | 24.82 | 0.00 | 24.82 50.0 12.41 |
| 09/12/2017 | 75501637 | ROTHSTEIN, HARRIET | | LORD ABBETT SHORT DURATION INCOME F B | B | 0.00 | 1.89 | 0.00 | 1.89 50.0 0.95 |
| 09/12/2017 | 75501637 | ROTHSTEIN, HARRIET | | SHORT-TERM BOND FUND OF AMERICA - A B | B | 0.00 | 1.45 | 0.00 | 1.45 50.0 0.73 |
| 09/12/2017 | 75501637 | ROTHSTEIN, HARRIET | | STRATEGIC INCOME A | B | 0.00 | 3.48 | 0.00 | 3.48 50.0 1.74 |
| 09/12/2017 | 75501638 | CROPANESE, | | **AMG MANAGERS CADENCE MID CAP | B | 0.00 | 3.83 | 0.00 | 3.83 50.0 1.92 |
| 09/12/2017 | 75501638 | CROPANESE, | | **PRUDENTIAL JENNISON NATURAL | B | 0.00 | 7.97 | 0.00 | 7.97 50.0 3.99 |
| 09/12/2017 | 75501638 | CROPANESE, | | EATON VANCE TAX MANAGED GROWTH FUND B | B | 0.00 | 2.99 | 0.00 | 2.99 50.0 1.50 |
| 09/12/2017 | 75501638 | CROPANESE, | | HARTFORD MUTUAL FUNDS INC DIVIDEND | B | 0.00 | 9.48 | 0.00 | 9.48 50.0 4.74 |
| 09/12/2017 | 75501638 | CROPANESE, | | QUEST OPPORTUNITY VALUE A | B | 0.00 | 6.10 | 0.00 | 6.10 50.0 3.05 |
| 09/12/2017 | 75501638 | CROPANESE, | | SHORT-TERM BOND FUND OF AMERICA - A B | B | 0.00 | 3.32 | 0.00 | 3.32 50.0 1.66 |
| 09/12/2017 | 75501638 | CROPANESE, | | THE HARTFORD MID CAP FUND-C | B | 0.00 | 12.28 | 0.00 | 12.28 50.0 6.14 |
| 09/12/2017 | 75501639 | CONNOLLY, EDWARD | | ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 0.90 | 0.00 | 0.90 50.0 0.00 |
| 09/12/2017 | 75501639 | CONNOLLY, EDWARD | | BLACKROCK HEALTH SCIENCES OPPORTUNI | B | 0.00 | 4.56 | 0.00 | 4.56 50.0 2.28 |
| 09/12/2017 | 75501639 | CONNOLLY, EDWARD | | FIDELITY ADVISOR FUNDS 315918474 | B | 0.00 | 3.58 | 0.00 | 3.58 50.0 1.79 |
| 09/12/2017 | 75501639 | CONNOLLY, EDWARD | | FIRST EAGLE GLOBAL FUND CLASS C | B | 0.00 | 4.77 | 0.00 | 4.77 50.0 2.39 |
| 09/12/2017 | 75501639 | CONNOLLY, EDWARD | | HARTFORD ADVISERS FUND CLASS A | B | 0.00 | 1.47 | 0.00 | 1.47 50.0 0.74 |
| 09/12/2017 | 75501639 | CONNOLLY, EDWARD | | THE HARTFORD DIVIDEND & GROWTH FUND B | B | 0.00 | 0.85 | 0.00 | 0.85 50.0 0.00 |
| 09/12/2017 | 75501640 | ROTHSTEIN, JOEL | | FUNDAMENTAL INVESTORS-A | B | 0.00 | 4.50 | 0.00 | 4.50 50.0 2.25 |
| 09/12/2017 | 75501640 | ROTHSTEIN, JOEL | | THE INVESTMENT COMPANY OF AMERICA-A B | B | 0.00 | 4.03 | 0.00 | 4.03 50.0 2.02 |
| 09/12/2017 | 75501640 | ROTHSTEIN, JOEL | | WASHINGTON MUTUAL INVESTORS FUND-A | B | 0.00 | 5.95 | 0.00 | 5.95 50.0 2.98 |
| 09/12/2017 | 75501643 | CONNOLLY, MARCELLA | | ALLIANZ NFJ DIVIDEND VALUE FUND CLA B | B | 0.00 | 1.16 | 0.00 | 1.16 50.0 0.58 |
| 09/12/2017 | 75501643 | CONNOLLY, MARCELLA | | FUNDAMENTAL INVESTORS-A | B | 0.00 | 1.92 | 0.00 | 1.92 50.0 0.96 |
| 09/12/2017 | 75501643 | CONNOLLY, MARCELLA | | THE HARTFORD MID CAP FUND-A | B | 0.00 | 2.18 | 0.00 | 2.18 50.0 1.09 |
| 09/12/2017 | 75501643 | CONNOLLY, MARCELLA | | THE INVESTMENT COMPANY OF AMERICA-A B | B | 0.00 | 2.39 | 0.00 | 2.39 50.0 1.20 |
| 09/12/2017 | 75501645 | CONNOLLY, MARCELLA | | AMERICAN MUTUAL FUND-A | B | 0.00 | 10.76 | 0.00 | 10.76 50.0 5.38 |
| 09/12/2017 | 75501645 | CONNOLLY, MARCELLA | | FUNDAMENTAL INVESTORS-A | B | 0.00 | 1.04 | 0.00 | 1.04 50.0 0.52 |
| 09/12/2017 | 75501645 | CONNOLLY, MARCELLA | | QUEST OPPORTUNITY VALUE A | B | 0.00 | 1.08 | 0.00 | 1.08 50.0 0.54 |
| 09/12/2017 | 75501646 | DLUGOSZ, PATRICIA | | THE HARTFORD DIVIDEND & GROWTH FUND B | B | 0.00 | 2.43 | 0.00 | 2.43 50.0 1.22 |

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> | | | | | | | | | |
| 09/12/2017 | 75501648 | GINSBURG, JANICE | EATON VANCE LARGE CAP VALUE FUND CL B | 0.00 | 0.28 | 0.00 | 0.28 | 50.0 | 0.00 |
| 09/12/2017 | 75501648 | GINSBURG, JANICE | EATON VANCE UTILITIES FUND CLASS A B | 0.00 | 2.20 | 0.00 | 2.20 | 50.0 | 1.10 |
| 09/12/2017 | 75501650 | MODES, VINCENT | CAPITAL INCOME BUILDER-A B | 0.00 | 13.00 | 0.00 | 13.00 | 50.0 | 6.50 |
| 09/12/2017 | 75501650 | MODES, VINCENT | DAVIS NEW YORK VENTURE CLASS C B | 0.00 | 16.45 | 0.00 | 16.45 | 50.0 | 8.23 |
| 09/12/2017 | 75501650 | MODES, VINCENT | LORD ABBETT RESEARCH FUND INC-SMALL B | 0.00 | 7.04 | 0.00 | 7.04 | 50.0 | 3.52 |
| 09/12/2017 | 75501650 | MODES, VINCENT | LORD ABBETT CALIBRATED DIVIDEND GRO B | 0.00 | 13.80 | 0.00 | 13.80 | 50.0 | 6.90 |
| 09/12/2017 | 75501650 | MODES, VINCENT | LORD ABBETT MULTI ASSET BALANCED OP B | 0.00 | 16.23 | 0.00 | 16.23 | 50.0 | 8.12 |
| 09/12/2017 | 75501650 | MODES, VINCENT | LORD ABBETT AFFILIATED FUND CLASS A B | 0.00 | 8.75 | 0.00 | 8.75 | 50.0 | 4.38 |
| 09/12/2017 | 75501650 | MODES, VINCENT | NEW PERSPECTIVE FUND-A B | 0.00 | 3.93 | 0.00 | 3.93 | 50.0 | 1.97 |
| 09/12/2017 | 75501650 | MODES, VINCENT | OPPENHEIMER DEVELOPING MARKETS CLAS B | 0.00 | 1.22 | 0.00 | 1.22 | 50.0 | 0.61 |
| 09/12/2017 | 75501650 | MODES, VINCENT | QUEST VALUE A B | 0.00 | 2.66 | 0.00 | 2.66 | 50.0 | 1.33 |
| 09/12/2017 | 75501650 | MODES, VINCENT | THE INVESTMENT COMPANY OF AMERICA-A B | 0.00 | 4.49 | 0.00 | 4.49 | 50.0 | 2.25 |
| 09/12/2017 | 75501652 | DLUGOSZ, JOHN | ALLIANZ NFJ DIVIDEND VALUE FUND CLA B | 0.00 | 2.92 | 0.00 | 2.92 | 50.0 | 1.46 |
| 09/12/2017 | 75501652 | DLUGOSZ, JOHN | AMERICAN MUTUAL FUND-A B | 0.00 | 14.56 | 0.00 | 14.56 | 50.0 | 7.28 |
| 09/12/2017 | 75501652 | DLUGOSZ, JOHN | CAPITAL WORLD GROWTH AND INCOME FUN B | 0.00 | 8.22 | 0.00 | 8.22 | 50.0 | 4.11 |
| 09/12/2017 | 75501652 | DLUGOSZ, JOHN | EATON VANCE GLOBAL MACRO ABSOLUTE R B | 0.00 | 18.72 | 0.00 | 18.72 | 50.0 | 9.36 |
| 09/12/2017 | 75501652 | DLUGOSZ, JOHN | GLOBAL FUND A B | 0.00 | 2.12 | 0.00 | 2.12 | 50.0 | 1.06 |
| 09/12/2017 | 75501652 | DLUGOSZ, JOHN | NEW WORLD FUND-A B | 0.00 | 2.91 | 0.00 | 2.91 | 50.0 | 1.46 |
| 09/12/2017 | 75501652 | DLUGOSZ, JOHN | THE GROWTH FUND OF AMERICA-A B | 0.00 | 2.14 | 0.00 | 2.14 | 50.0 | 1.07 |
| 09/12/2017 | 75501652 | DLUGOSZ, JOHN | THE HARTFORD CAPITAL APPRECIATION F B | 0.00 | 3.94 | 0.00 | 3.94 | 50.0 | 1.97 |
| 09/12/2017 | 75501652 | DLUGOSZ, JOHN | THE HARTFORD MID CAP FUND-A B | 0.00 | 3.78 | 0.00 | 3.78 | 50.0 | 1.89 |
| 09/12/2017 | 75501657 | DLUGOSZ, JOHN | AMERICAN HIGH-INCOME TRUST-A B | 0.00 | 2.70 | 0.00 | 2.70 | 50.0 | 1.35 |
| 09/12/2017 | 75501657 | DLUGOSZ, JOHN | EATON VANCE TAX- MANAGED EQUITY ASS B | 0.00 | 8.57 | 0.00 | 8.57 | 50.0 | 4.29 |
| 09/12/2017 | 75501657 | DLUGOSZ, JOHN | EHV 277902813 B | 0.00 | 1.83 | 0.00 | 1.83 | 50.0 | 0.92 |
| 09/12/2017 | 75501657 | DLUGOSZ, JOHN | MAINSTAY HIGH-YIELD CORPORATE BOND B | 0.00 | 2.82 | 0.00 | 2.82 | 50.0 | 1.41 |
| 09/12/2017 | 75501658 | TANNENBAUM, ARLENE | BLACKROCK GLOBAL ALLOCATION FD INC B | 0.00 | 15.31 | 0.00 | 15.31 | 50.0 | 7.66 |
| 09/12/2017 | 75501658 | TANNENBAUM, ARLENE | EATON VANCE LARGE CAP VALUE FUND CL B | 0.00 | 1.39 | 0.00 | 1.39 | 50.0 | 0.70 |
| 09/12/2017 | 75501658 | TANNENBAUM, ARLENE | FUNDAMENTAL INVESTORS-A B | 0.00 | 3.40 | 0.00 | 3.40 | 50.0 | 1.70 |
| 09/12/2017 | 75501658 | TANNENBAUM, ARLENE | IVY ASSET STRATEGY FD CL C B | 0.00 | 13.78 | 0.00 | 13.78 | 50.0 | 6.89 |
| 09/12/2017 | 75501658 | TANNENBAUM, ARLENE | OPPENHEIMER GLOBAL CLASS C B | 0.00 | 21.64 | 0.00 | 21.64 | 50.0 | 10.82 |
| 09/12/2017 | 75501660 | ABEL, STACEY | **PRUDENTIAL JENNISON 20/20 B | 0.00 | 14.19 | 0.00 | 14.19 | 50.0 | 7.10 |
| 09/12/2017 | 75501660 | ABEL, STACEY | **PRUDENTIAL JENNISON NATURAL B | 0.00 | 6.12 | 0.00 | 6.12 | 50.0 | 3.06 |
| 09/12/2017 | 75501660 | ABEL, STACEY | **PRUDENTIAL NATIONAL MUNI B | 0.00 | 10.45 | 0.00 | 10.45 | 50.0 | 5.23 |
| 09/12/2017 | 75501660 | ABEL, STACEY | COLUMBIA SELIGMAN COMMUNICATIONS AN B | 0.00 | 3.06 | 0.00 | 3.06 | 50.0 | 1.53 |
| 09/12/2017 | 75501660 | ABEL, STACEY | EATON VANCE LARGE CAP VALUE FUND CL B | 0.00 | 8.74 | 0.00 | 8.74 | 50.0 | 4.37 |
| 09/12/2017 | 75501660 | ABEL, STACEY | EATON VANCE GLOBAL MACRO ABSOLUTE R B | 0.00 | 10.78 | 0.00 | 10.78 | 50.0 | 5.39 |
| 09/12/2017 | 75501660 | ABEL, STACEY | EHV 277902813 B | 0.00 | 6.17 | 0.00 | 6.17 | 50.0 | 3.09 |
| 09/12/2017 | 75501660 | ABEL, STACEY | EUROPACIFIC GROWTH FUND CLASS F B | 0.00 | 3.18 | 0.00 | 3.18 | 50.0 | 1.59 |
| 09/12/2017 | 75501660 | ABEL, STACEY | FUNDAMENTAL INVESTORS FUND CLASS F B | 0.00 | 8.09 | 0.00 | 8.09 | 50.0 | 4.05 |
| 09/12/2017 | 75501660 | ABEL, STACEY | IVY ASSET STRATEGY FD CL C B | 0.00 | 20.52 | 0.00 | 20.52 | 50.0 | 10.26 |

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> | | | | | | | | | |
| 09/12/2017 | 75501660 ABEL, STACEY | OPPENHEIMER SMALL & MID CAP VALUE F B | | 0.00 | 3.57 | 0.00 | 3.57 | 50.0 | 1.79 |
| 09/12/2017 | 75501660 ABEL, STACEY | OPPENHEIMER DEVELOPING MARKETS FUND B | | 0.00 | 3.32 | 0.00 | 3.32 | 50.0 | 1.66 |
| 09/12/2017 | 75501660 ABEL, STACEY | THORNBURG INVT TR INTL VALUE FD CL B | | 0.00 | 11.39 | 0.00 | 11.39 | 50.0 | 5.70 |
| 09/15/2017 | 75501660 ABEL, STACEY | VAN ECK FDS GLOBAL ASST CL C B | | 0.00 | 23.55 | 0.00 | 23.55 | 50.0 | 11.78 |
| 09/26/2017 | 75501660 ABEL, STACEY | **VICTORY PORTFOLIOS B | | 0.00 | 2.02 | 0.00 | 2.02 | 50.0 | 1.01 |
| 09/12/2017 | 75501661 ABEL, STACEY | BLACKROCK GLOBAL ALLOCATION FUND IN B | | 0.00 | 1.58 | 0.00 | 1.58 | 50.0 | 0.79 |
| 09/12/2017 | 75501662 LOWENSTEIN, ALLAN | EATON VANCE TAX- MANAGED EQUITY ASS B | | 0.00 | 12.53 | 0.00 | 12.53 | 50.0 | 6.27 |
| 09/12/2017 | 75501662 LOWENSTEIN, ALLAN | LORD ABBETT AFFILIATED FUND CLASS A B | | 0.00 | 4.49 | 0.00 | 4.49 | 50.0 | 2.25 |
| 09/12/2017 | 75501747 STAUFFER, JUDITH | EATON VANCE UTILITIES FUND CLASS A B | | 0.00 | 4.18 | 0.00 | 4.18 | 50.0 | 2.09 |
| 09/12/2017 | 75501748 STAUFFER, JUDITH | MFS INTERNATIONAL VALUE FUND-A B | | 0.00 | 1.19 | 0.00 | 1.19 | 50.0 | 0.60 |
| 09/12/2017 | 75501750 STAUFFER, ROBERT | MFS INTERNATIONAL VALUE FUND-A B | | 0.00 | 1.40 | 0.00 | 1.40 | 50.0 | 0.70 |
| 09/12/2017 | 75501812 HALL, RUTH | INTERMEDIATE BOND FUND OF AMERICA-A B | | 0.00 | 3.41 | 0.00 | 3.41 | 50.0 | 1.71 |
| 09/12/2017 | 75501825 SEPTIEN, ALFREDO | **GUGGENHEIM FDS TR B | | 0.00 | 0.75 | 0.00 | 0.75 | 50.0 | 0.00 |
| 09/12/2017 | 75501825 SEPTIEN, ALFREDO | **PRUDENTIAL JENNISON 20/20 B | | 0.00 | 0.90 | 0.00 | 0.90 | 50.0 | 0.00 |
| 09/12/2017 | 75501825 SEPTIEN, ALFREDO | CAPITAL WORLD GROWTH AND INCOME FUN B | | 0.00 | 1.48 | 0.00 | 1.48 | 50.0 | 0.74 |
| 09/12/2017 | 75501825 SEPTIEN, ALFREDO | NEW WORLD FUND-A B | | 0.00 | 1.15 | 0.00 | 1.15 | 50.0 | 0.58 |
| 09/12/2017 | 75501847 GINSBURG, VIVIAN | CAPITAL WORLD GROWTH AND INCOME FUN B | | 0.00 | 0.85 | 0.00 | 0.85 | 50.0 | 0.00 |
| 09/12/2017 | 75501847 GINSBURG, VIVIAN | THE HARTFORD MID CAP FUND-A B | | 0.00 | 1.04 | 0.00 | 1.04 | 50.0 | 0.52 |
| 09/12/2017 | 75501848 JONAS, HILDA | JOHN HANCOCK FDS III JHF III SMALL B | | 0.00 | 1.23 | 0.00 | 1.23 | 50.0 | 0.62 |
| 09/12/2017 | 75501853 FARKAS, RONALD | BLACKROCK MULTI ST MUN SER TR PA MU B | | 0.00 | 2.45 | 0.00 | 2.45 | 50.0 | 1.23 |
| 09/12/2017 | 75501896 BLUM, STACEY | THE HARTFORD MID CAP FUND-A B | | 0.00 | 2.57 | 0.00 | 2.57 | 50.0 | 1.29 |
| 09/12/2017 | 75501898 LIBOVE, MICHAEL | FIDELITY ADVISOR SMALL CAP FUND CLA B | | 0.00 | 4.95 | 0.00 | 4.95 | 50.0 | 2.48 |
| 09/12/2017 | 75501898 LIBOVE, MICHAEL | THE INCOME FUND OF AMERICA-A B | | 0.00 | 0.64 | 0.00 | 0.64 | 50.0 | 0.00 |
| 09/12/2017 | 75501899 O'NEILL, LINDA | **AMG MANAGERS CADENCE MID CAP B | | 0.00 | 5.01 | 0.00 | 5.01 | 50.0 | 2.51 |
| 09/12/2017 | 75501899 O'NEILL, LINDA | **PRUDENTIAL JENNISON 20/20 B | | 0.00 | 4.63 | 0.00 | 4.63 | 50.0 | 2.32 |
| 09/12/2017 | 75501899 O'NEILL, LINDA | CAPITAL WORLD GROWTH AND INCOME FUN B | | 0.00 | 2.85 | 0.00 | 2.85 | 50.0 | 1.43 |
| 09/12/2017 | 75501899 O'NEILL, LINDA | NEW PERSPECTIVE FUND-A B | | 0.00 | 11.11 | 0.00 | 11.11 | 50.0 | 5.56 |
| 09/12/2017 | 75501899 O'NEILL, LINDA | NEW WORLD FUND-A B | | 0.00 | 2.86 | 0.00 | 2.86 | 50.0 | 1.43 |
| 09/12/2017 | 75501899 O'NEILL, LINDA | OPPENHEIMER DEVELOPING MARKETS CLAS B | | 0.00 | 2.71 | 0.00 | 2.71 | 50.0 | 1.36 |
| 09/12/2017 | 75501899 O'NEILL, LINDA | THE INVESTMENT COMPANY OF AMERICA-A B | | 0.00 | 3.10 | 0.00 | 3.10 | 50.0 | 1.55 |
| 09/12/2017 | 75501902 ARMSTRONG, AMANDA | ALLIANZ NFJ LARGE CAP VALUE FUND CL B | | 0.00 | 1.26 | 0.00 | 1.26 | 50.0 | 0.63 |
| 09/12/2017 | 75501902 ARMSTRONG, AMANDA | JANUS INVT FD HENDERSON INTL OPPTN B | | 0.00 | 1.16 | 0.00 | 1.16 | 50.0 | 0.58 |
| 09/12/2017 | 75501902 ARMSTRONG, AMANDA | TEMP GLOBAL BOND FND - CL A B | | 0.00 | 1.06 | 0.00 | 1.06 | 50.0 | 0.53 |
| 09/12/2017 | 75501902 ARMSTRONG, AMANDA | THE GROWTH FUND OF AMERICA-A B | | 0.00 | 0.97 | 0.00 | 0.97 | 50.0 | 0.00 |
| 09/12/2017 | 75501902 ARMSTRONG, AMANDA | THE HARTFORD MID CAP FUND-A B | | 0.00 | 5.95 | 0.00 | 5.95 | 50.0 | 2.98 |
| 09/12/2017 | 75501902 ARMSTRONG, AMANDA | WASHINGTON MUTUAL INVESTORS FUND-A B | | 0.00 | 2.34 | 0.00 | 2.34 | 50.0 | 1.17 |
| 09/26/2017 | 75501902 ARMSTRONG, AMANDA | **VICTORY PORTFOLIOS B | | 0.00 | 0.94 | 0.00 | 0.94 | 50.0 | 0.00 |
| 09/12/2017 | 75501903 ARMSTRONG, AMANDA | **GUGGENHEIM FDS TR B | | 0.00 | 1.61 | 0.00 | 1.61 | 50.0 | 0.81 |
| 09/12/2017 | 75501903 ARMSTRONG, AMANDA | EUROPACIFIC GROWTH FUND-A B | | 0.00 | 1.52 | 0.00 | 1.52 | 50.0 | 0.76 |
| 09/12/2017 | 75501903 ARMSTRONG, AMANDA | THE GROWTH FUND OF AMERICA-A B | | 0.00 | 2.18 | 0.00 | 2.18 | 50.0 | 1.09 |

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 | | | | | | | | | | | |
| 09/12/2017 | 75501905 | TANCREDI, NICHOLAS | | CAPITAL INCOME A | B | 0.00 | 2.23 | 0.00 | 2.23 | 50.0 | 1.12 |
| 09/12/2017 | 75501905 | TANCREDI, NICHOLAS | | GLOBAL FUND A | B | 0.00 | 1.58 | 0.00 | 1.58 | 50.0 | 0.79 |
| 09/12/2017 | 75501905 | TANCREDI, NICHOLAS | | GLOBAL OPPORTUNITIES A | B | 0.00 | 4.54 | 0.00 | 4.54 | 50.0 | 2.27 |
| 09/12/2017 | 75501905 | TANCREDI, NICHOLAS | | LORD ABBETT INVT TR TOTAL RETURN FU B | | 0.00 | 0.95 | 0.00 | 0.95 | 50.0 | 0.00 |
| 09/12/2017 | 75501905 | TANCREDI, NICHOLAS | | OPPENHEIMER 68380L100 | B | 0.00 | 1.44 | 0.00 | 1.44 | 50.0 | 0.72 |
| 09/12/2017 | 75501905 | TANCREDI, NICHOLAS | | OPPENHEIMER DEVELOPING MARKETS CLAS B | | 0.00 | 2.68 | 0.00 | 2.68 | 50.0 | 1.34 |
| 09/12/2017 | 75501905 | TANCREDI, NICHOLAS | | THE HARTFORD CAPITAL APPRECIATION F B | | 0.00 | 2.59 | 0.00 | 2.59 | 50.0 | 1.30 |
| 09/12/2017 | 75501905 | TANCREDI, NICHOLAS | | THE HARTFORD FLOATING RATE FUND - A B | | 0.00 | 1.54 | 0.00 | 1.54 | 50.0 | 0.77 |
| 09/12/2017 | 75501965 | JACKSON, ROSALYN | | **GUGGENHEIM FDS TR | B | 0.00 | 0.98 | 0.00 | 0.98 | 50.0 | 0.00 |
| 09/12/2017 | 75501965 | JACKSON, ROSALYN | | DAVIS NEW YORK VENTURE CLASS A | B | 0.00 | 1.13 | 0.00 | 1.13 | 50.0 | 0.57 |
| 09/12/2017 | 75501965 | JACKSON, ROSALYN | | FIRST EAGLE GLOBAL FUND CLASS C | B | 0.00 | 6.08 | 0.00 | 6.08 | 50.0 | 3.04 |
| 09/12/2017 | 75501995 | SEPTIEN, ALEC | | **GUGGENHEIM FDS TR | B | 0.00 | 0.56 | 0.00 | 0.56 | 50.0 | 0.00 |
| 09/12/2017 | 75501995 | SEPTIEN, ALEC | | NEW WORLD FUND-A | B | 0.00 | 0.84 | 0.00 | 0.84 | 50.0 | 0.00 |
| 09/12/2017 | 75502077 | GINSBURG, VIVIAN | | CAPITAL WORLD GROWTH AND INCOME FUN B | | 0.00 | 8.51 | 0.00 | 8.51 | 50.0 | 4.26 |
| 09/12/2017 | 75502077 | GINSBURG, VIVIAN | | EATON VANCE LARGE CAP VALUE FUND CL B | | 0.00 | 1.40 | 0.00 | 1.40 | 50.0 | 0.70 |
| 09/12/2017 | 75502077 | GINSBURG, VIVIAN | | EATON VANCE NATIONAL MUNICIPAL FUND B | | 0.00 | 8.29 | 0.00 | 8.29 | 50.0 | 4.15 |
| 09/12/2017 | 75502077 | GINSBURG, VIVIAN | | FRK FL TF INC FND - CL A | B | 0.00 | 3.59 | 0.00 | 3.59 | 50.0 | 1.80 |
| 09/12/2017 | 75502077 | GINSBURG, VIVIAN | | HIGH YIELD A | B | 0.00 | 3.38 | 0.00 | 3.38 | 50.0 | 1.69 |
| 09/12/2017 | 75502077 | GINSBURG, VIVIAN | | INCOME FUND AMER INC CL F1 | B | 0.00 | 10.56 | 0.00 | 10.56 | 50.0 | 5.28 |
| 09/12/2017 | 75502077 | GINSBURG, VIVIAN | | MFS HIGH-YIELD OPPORTUNITIES FUND C B | | 0.00 | 0.91 | 0.00 | 0.91 | 50.0 | 0.00 |
| 09/12/2017 | 75502077 | GINSBURG, VIVIAN | | THE HARTFORD MID CAP FUND-A | B | 0.00 | 2.57 | 0.00 | 2.57 | 50.0 | 1.29 |
| 09/12/2017 | 75502084 | TREICHLER, CHARLES | | ALLIANZ NFJ LARGE CAP VALUE FUND CL B | | 0.00 | 2.64 | 0.00 | 2.64 | 50.0 | 1.32 |
| 09/12/2017 | 75502084 | TREICHLER, CHARLES | | SHORT-TERM BOND FUND OF AMERICA - A B | | 0.00 | 1.02 | 0.00 | 1.02 | 50.0 | 0.51 |
| 09/12/2017 | 75502085 | GINSBURG, JANICE | | **PRUDENTIAL JENNISON 20/20 | B | 0.00 | 1.95 | 0.00 | 1.95 | 50.0 | 0.98 |
| 09/12/2017 | 75502085 | GINSBURG, JANICE | | MAINSTAY MAP FUND A | B | 0.00 | 1.81 | 0.00 | 1.81 | 50.0 | 0.91 |
| 09/12/2017 | 75502085 | GINSBURG, JANICE | | OPPENHEIMER DEVELOPING MARKETS CLAS B | | 0.00 | 1.16 | 0.00 | 1.16 | 50.0 | 0.58 |
| 09/26/2017 | 75502085 | GINSBURG, JANICE | | **VICTORY PORTFOLIOS MUNDER | B | 0.00 | 1.03 | 0.00 | 1.03 | 50.0 | 0.52 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | | | \$0.00 | \$1,482.06 | \$0.00 | \$1,482.06 | | \$730.94 |
| *** BROKER TRANSACTIONS TOTAL *** | | | | | | \$1,000.00 | \$4,811.83 | \$0.00 | \$4,811.83 | | \$2,395.84 |

COMMISSION STATEMENT for JANICE GINSBURG

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

ADJUSTMENTS

| | | | | | | | | | |
|---------------------------|--|------------------------------------|--|--------|--------|--------|--------|--|-----------|
| 09/29/2017 | | OTHER: OTHER-RBC ADVISORY EXPENSES | | 0.00 | 0.00 | 0.00 | 0.00 | | -288.50 |
| 09/29/2017 | | OTHER: OTHER-TOWER BRIDGE | | 0.00 | 0.00 | 0.00 | 0.00 | | -111.68 |
| *** ADJUSTMENTS TOTAL *** | | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-400.18 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$2,395.84 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-400.18 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$-2.03 |
| SIPC Assessment | \$-4.07 |

| | |
|-----------------------|------------|
| Check Amount | \$1,989.56 |
| Year-to-date Earnings | \$6,608.93 |