

COMMISSION STATEMENT

August 31, 2017

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
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BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

08/31/2017 (None) VARIOUS, GINSBURG	AC ALTERNATIVES DISCIPLINED LONG SH B			0.00	23.26	0.00	23.26	50.0	0.00
08/31/2017 (None) VARIOUS, GINSBURG	AC ALTERNATIVES DISCIPLINED LONG SH B			0.00	116.60	0.00	116.60	50.0	58.30
08/31/2017 (None) VARIOUS, GINSBURG	AC ALTERNATIVES DISCIPLINED LONG SH B			0.00	3,185.33	0.00	3,185.33	50.0	1,592.67
08/10/2017 75501483 SPILLER, HELEN	**GUGGENHEIM FDS TR		S	500.00	0.00	0.00	0.00	50.0	0.00
08/10/2017 75501483 SPILLER, HELEN	PUTNAM 746745108		S	600.00	0.00	0.00	0.00	50.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$1,100.00	\$3,325.19	\$0.00	\$3,325.19		\$1,650.97

PRODUCT CATEGORY: STOCKS

07/31/2017 75501654 KINSLEY, GEORGE	INDIA FUND INC (THE)		B	2,854.64	71.85	0.00	71.85	50.0	35.93
08/04/2017 75501739 STAUFFER, JUDITH	AUTOMATIC DATA PROCESSING INC		S	11,200.34	0.00	0.00	0.00	50.0	0.00
08/15/2017 75501739 STAUFFER, JUDITH	NIKE INC CL B		S	8,796.45	0.00	0.00	0.00	50.0	0.00
07/28/2017 75501836 FARKAS, RONALD	SACHEM CAPITAL CORP COMMON SHARES		S	4,900.00	0.00	0.00	0.00	50.0	0.00
* STOCKS SUBTOTAL *				\$27,751.43	\$71.85	\$0.00	\$71.85		\$35.93

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

08/09/2017 75501483 SPILLER, HELEN	**GUGGENHEIM FDS TR		B	0.00	2.24	0.00	2.24	50.0	1.12
08/09/2017 75501483 SPILLER, HELEN	AMERICAN BALANCED FUND-A		B	0.00	3.56	0.00	3.56	50.0	1.78
08/09/2017 75501483 SPILLER, HELEN	BOND-DEBENTURE FUND CLASS A		B	0.00	1.11	0.00	1.11	50.0	0.56
08/09/2017 75501483 SPILLER, HELEN	PUTNAM 746745108		B	0.00	0.26	0.00	0.26	50.0	0.00
08/09/2017 75501483 SPILLER, HELEN	THE INCOME FUND OF AMERICA-A		B	0.00	4.17	0.00	4.17	50.0	2.09
08/09/2017 75501504 LERNER, JOAN	U.S. GOVERNMENT SECURITIES FUND CLA B		B	0.00	2.32	0.00	2.32	50.0	1.16
08/09/2017 75501505 LERNER, JOAN	AMERICAN HIGH-INCOME TRUST-A		B	0.00	4.06	0.00	4.06	50.0	2.03
08/09/2017 75501505 LERNER, JOAN	CAPITAL INCOME BUILDER-A		B	0.00	0.70	0.00	0.70	50.0	0.00
08/09/2017 75501505 LERNER, JOAN	CAPITAL WORLD BOND FUND-A		B	0.00	1.81	0.00	1.81	50.0	0.91
08/09/2017 75501505 LERNER, JOAN	THE BOND FUND OF AMERICA-A		B	0.00	4.29	0.00	4.29	50.0	2.15
08/09/2017 75501621 WEXLER, SHEILA	EATON VANCE TAX- MANAGED EQUITY ASS B		B	0.00	13.49	0.00	13.49	50.0	6.75
08/09/2017 75501621 WEXLER, SHEILA	THE HARTFORD CAPITAL APPRECIATION F B		B	0.00	2.13	0.00	2.13	50.0	1.07
08/09/2017 75501621 WEXLER, SHEILA	THE HARTFORD MID CAP FUND-A		B	0.00	3.27	0.00	3.27	50.0	1.64
08/09/2017 75501622 ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL		B	0.00	10.99	0.00	10.99	50.0	5.50
08/09/2017 75501622 ABEL, STACEY	DAVIS NEW YORK VENTURE CLASS A		B	0.00	3.00	0.00	3.00	50.0	1.50
08/09/2017 75501622 ABEL, STACEY	MFS GLOBAL EQUITY FUND-A		B	0.00	2.11	0.00	2.11	50.0	1.06
08/09/2017 75501622 ABEL, STACEY	SHORT-TERM BOND FUND OF AMERICA - A B		B	0.00	0.84	0.00	0.84	50.0	0.00

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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>									
08/09/2017	75501622	ABEL, STACEY	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	5.28	0.00	5.28	50.0	2.64
08/09/2017	75501624	ALANCRAIG, SUSAN	**GABELLI SRI FUND B	0.00	11.19	0.00	11.19	50.0	5.60
08/11/2017	75501624	ALANCRAIG, SUSAN	CALVERT EQUITY PORTFOLIO CL C B	0.00	12.61	0.00	12.61	50.0	6.31
08/09/2017	75501626	URQUHART, THOMAS	THE GROWTH FUND OF AMERICA-A B	0.00	5.81	0.00	5.81	50.0	2.91
08/09/2017	75501627	LEE, T ORIN	**AMG MANAGERS CADENCE MID CAP B	0.00	1.07	0.00	1.07	50.0	0.54
08/25/2017	75501627	LEE, T ORIN	**VICTORY PORTFOLIOS MUNDER B	0.00	1.03	0.00	1.03	50.0	0.52
08/09/2017	75501628	MODES, VINCENT	ALL VALUE FUND CLASS A B	0.00	5.50	0.00	5.50	50.0	2.75
08/09/2017	75501628	MODES, VINCENT	CAPITAL INCOME BUILDER-A B	0.00	10.88	0.00	10.88	50.0	5.44
08/09/2017	75501628	MODES, VINCENT	CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	4.92	0.00	4.92	50.0	2.46
08/09/2017	75501628	MODES, VINCENT	LORD ABBETT CALIBRATED DIVIDEND GRO B	0.00	4.51	0.00	4.51	50.0	2.26
08/09/2017	75501628	MODES, VINCENT	LORD ABBETT AFFILIATED FUND CLASS A B	0.00	8.79	0.00	8.79	50.0	4.40
08/09/2017	75501628	MODES, VINCENT	MID-CAP VALUE FUND CLASS A B	0.00	6.71	0.00	6.71	50.0	3.36
08/09/2017	75501628	MODES, VINCENT	NEW PERSPECTIVE FUND-A B	0.00	9.10	0.00	9.10	50.0	4.55
08/09/2017	75501628	MODES, VINCENT	OPPENHEIMERFUNDS 68380G101 B	0.00	2.96	0.00	2.96	50.0	1.48
08/09/2017	75501628	MODES, VINCENT	THE HARTFORD CAPITAL APPRECIATION F B	0.00	9.36	0.00	9.36	50.0	4.68
08/09/2017	75501628	MODES, VINCENT	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	4.51	0.00	4.51	50.0	2.26
08/09/2017	75501629	INOVATIVE INC	EATON VANCE MUT FDS TR FLTG RATE AD B	0.00	10.47	0.00	10.47	50.0	5.24
08/09/2017	75501629	INOVATIVE INC	HARTFORD FLOATING RATE FUND CLASS C B	0.00	13.41	0.00	13.41	50.0	6.71
08/09/2017	75501631	MODES, LOIS	LORD ABBETT RESEARCH FUND INC-SMALL B	0.00	5.49	0.00	5.49	50.0	2.75
08/09/2017	75501631	MODES, LOIS	LORD ABBETT CALIBRATED DIVIDEND GRO B	0.00	5.84	0.00	5.84	50.0	2.92
08/09/2017	75501631	MODES, LOIS	LORD ABBETT AFFILIATED FUND CLASS A B	0.00	5.18	0.00	5.18	50.0	2.59
08/09/2017	75501631	MODES, LOIS	MID-CAP VALUE FUND CLASS A B	0.00	6.01	0.00	6.01	50.0	3.01
08/09/2017	75501631	MODES, LOIS	NEW PERSPECTIVE FUND-A B	0.00	6.62	0.00	6.62	50.0	3.31
08/09/2017	75501631	MODES, LOIS	THE HARTFORD MID CAP FUND-A B	0.00	6.74	0.00	6.74	50.0	3.37
08/09/2017	75501632	NESHAMINY VALLEY	HARTFORD FLOATING RATE FUND CLASS C B	0.00	5.52	0.00	5.52	50.0	2.76
08/09/2017	75501633	MODES, VINCENT	CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	16.91	0.00	16.91	50.0	8.46
08/09/2017	75501633	MODES, VINCENT	EATON VANCE TAX MANAGED VALUE FD CL B	0.00	6.49	0.00	6.49	50.0	3.25
08/09/2017	75501633	MODES, VINCENT	EHV 277911830 B	0.00	14.73	0.00	14.73	50.0	7.37
08/09/2017	75501633	MODES, VINCENT	HARTFORD ADVISERS FUND CLASS A B	0.00	2.18	0.00	2.18	50.0	1.09
08/09/2017	75501633	MODES, VINCENT	JANUS INVT FD HENDERSON EURPEAN FCU B	0.00	9.85	0.00	9.85	50.0	4.93
08/09/2017	75501633	MODES, VINCENT	OPPENHEIMERFUNDS 68380G101 B	0.00	11.19	0.00	11.19	50.0	5.60
08/09/2017	75501633	MODES, VINCENT	THE GROWTH FUND OF AMERICA-A B	0.00	7.81	0.00	7.81	50.0	3.91
08/09/2017	75501634	CROPANESE, CAROL	**PRUDENTIAL JENNISON NATURAL B	0.00	10.12	0.00	10.12	50.0	5.06
08/09/2017	75501634	CROPANESE, CAROL	HARTFORD MUTUAL FUNDS INC DIVIDEND B	0.00	12.74	0.00	12.74	50.0	6.37
08/09/2017	75501634	CROPANESE, CAROL	QUEST OPPORTUNITY VALUE A B	0.00	0.21	0.00	0.21	50.0	0.00
08/09/2017	75501634	CROPANESE, CAROL	THE HARTFORD MID CAP FUND-C B	0.00	16.73	0.00	16.73	50.0	8.37
08/09/2017	75501635	CROPANESE, CAROL	BLACKROCK CAP APPRECIATION FD INC C B	0.00	2.68	0.00	2.68	50.0	1.34
08/09/2017	75501635	CROPANESE, CAROL	BLACKROCK GLOBAL ALLOCATION FD INC B	0.00	11.97	0.00	11.97	50.0	5.99
08/09/2017	75501635	CROPANESE, CAROL	EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	7.36	0.00	7.36	50.0	3.68
08/09/2017	75501635	CROPANESE, CAROL	EHV 277911772 B	0.00	1.63	0.00	1.63	50.0	0.82

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
08/09/2017	75501635	CROPANESE, CAROL	IVY ASSET STRATEGY FD CL C	B	0.00	10.31	0.00	10.31	50.0	5.16
08/25/2017	75501635	CROPANESE, CAROL	**VICTORY PORTFOLIOS	B	0.00	6.36	0.00	6.36	50.0	3.18
08/09/2017	75501636	URQUHART, THOMAS	FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	24.77	0.00	24.77	50.0	12.39
08/09/2017	75501637	ROTHSTEIN, HARRIET	LORD ABBETT SHORT DURATION INCOME F B		0.00	1.89	0.00	1.89	50.0	0.95
08/09/2017	75501637	ROTHSTEIN, HARRIET	SHORT-TERM BOND FUND OF AMERICA - A B		0.00	1.44	0.00	1.44	50.0	0.72
08/09/2017	75501637	ROTHSTEIN, HARRIET	STRATEGIC INCOME A	B	0.00	3.46	0.00	3.46	50.0	1.73
08/09/2017	75501638	CROPANESE,	**AMG MANAGERS CADENCE MID CAP	B	0.00	3.87	0.00	3.87	50.0	1.94
08/09/2017	75501638	CROPANESE,	**PRUDENTIAL JENNISON NATURAL	B	0.00	8.09	0.00	8.09	50.0	4.05
08/09/2017	75501638	CROPANESE,	EATON VANCE TAX MANAGED GROWTH FUND B		0.00	3.00	0.00	3.00	50.0	1.50
08/09/2017	75501638	CROPANESE,	HARTFORD MUTUAL FUNDS INC DIVIDEND B		0.00	9.52	0.00	9.52	50.0	4.76
08/09/2017	75501638	CROPANESE,	QUEST OPPORTUNITY VALUE A	B	0.00	6.12	0.00	6.12	50.0	3.06
08/09/2017	75501638	CROPANESE,	SHORT-TERM BOND FUND OF AMERICA - A B		0.00	3.31	0.00	3.31	50.0	1.66
08/09/2017	75501638	CROPANESE,	THE HARTFORD MID CAP FUND-C	B	0.00	12.50	0.00	12.50	50.0	6.25
08/09/2017	75501639	CONNOLLY, EDWARD	ALLIANCEBERNSTEIN LARGE-CAP GROWTH B		0.00	0.89	0.00	0.89	50.0	0.00
08/09/2017	75501639	CONNOLLY, EDWARD	BLACKROCK HEALTH SCIENCES OPPORTUNI B		0.00	4.65	0.00	4.65	50.0	2.33
08/09/2017	75501639	CONNOLLY, EDWARD	FIDELITY ADVISOR FUNDS 315918474	B	0.00	3.64	0.00	3.64	50.0	1.82
08/09/2017	75501639	CONNOLLY, EDWARD	FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	4.76	0.00	4.76	50.0	2.38
08/09/2017	75501639	CONNOLLY, EDWARD	HARTFORD ADVISERS FUND CLASS A	B	0.00	1.47	0.00	1.47	50.0	0.74
08/09/2017	75501639	CONNOLLY, EDWARD	THE HARTFORD DIVIDEND & GROWTH FUND B		0.00	0.85	0.00	0.85	50.0	0.00
08/09/2017	75501640	ROTHSTEIN, JOEL	FUNDAMENTAL INVESTORS-A	B	0.00	4.48	0.00	4.48	50.0	2.24
08/09/2017	75501640	ROTHSTEIN, JOEL	THE INVESTMENT COMPANY OF AMERICA-A B		0.00	4.05	0.00	4.05	50.0	2.03
08/09/2017	75501640	ROTHSTEIN, JOEL	WASHINGTON MUTUAL INVESTORS FUND-A B		0.00	5.90	0.00	5.90	50.0	2.95
08/09/2017	75501643	CONNOLLY, MARCELLA	ALLIANZ NFJ DIVIDEND VALUE FUND CLA B	B	0.00	1.16	0.00	1.16	50.0	0.58
08/09/2017	75501643	CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A	B	0.00	1.91	0.00	1.91	50.0	0.96
08/09/2017	75501643	CONNOLLY, MARCELLA	THE HARTFORD MID CAP FUND-A	B	0.00	2.22	0.00	2.22	50.0	1.11
08/09/2017	75501643	CONNOLLY, MARCELLA	THE INVESTMENT COMPANY OF AMERICA-A B		0.00	2.40	0.00	2.40	50.0	1.20
08/09/2017	75501645	CONNOLLY, MARCELLA	AMERICAN MUTUAL FUND-A	B	0.00	10.70	0.00	10.70	50.0	5.35
08/09/2017	75501645	CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A	B	0.00	1.04	0.00	1.04	50.0	0.52
08/09/2017	75501645	CONNOLLY, MARCELLA	QUEST OPPORTUNITY VALUE A	B	0.00	1.08	0.00	1.08	50.0	0.54
08/09/2017	75501646	DLUGOSZ, PATRICIA	THE HARTFORD DIVIDEND & GROWTH FUND B		0.00	2.43	0.00	2.43	50.0	1.22
08/09/2017	75501648	GINSBURG, JANICE	EATON VANCE LARGE CAP VALUE FUND CL B		0.00	0.28	0.00	0.28	50.0	0.00
08/09/2017	75501648	GINSBURG, JANICE	EATON VANCE UTILITIES FUND CLASS A B		0.00	2.23	0.00	2.23	50.0	1.12
08/09/2017	75501650	MODES, VINCENT	CAPITAL INCOME BUILDER-A	B	0.00	12.94	0.00	12.94	50.0	6.47
08/09/2017	75501650	MODES, VINCENT	DAVIS NEW YORK VENTURE CLASS C	B	0.00	16.66	0.00	16.66	50.0	8.33
08/09/2017	75501650	MODES, VINCENT	LORD ABBETT RESEARCH FUND INC-SMALL B		0.00	7.31	0.00	7.31	50.0	3.66
08/09/2017	75501650	MODES, VINCENT	LORD ABBETT CALIBRATED DIVIDEND GRO B		0.00	13.79	0.00	13.79	50.0	6.90
08/09/2017	75501650	MODES, VINCENT	LORD ABBETT MULTI ASSET BALANCED OP B		0.00	16.31	0.00	16.31	50.0	8.16
08/09/2017	75501650	MODES, VINCENT	LORD ABBETT AFFILIATED FUND CLASS A B		0.00	8.81	0.00	8.81	50.0	4.41
08/09/2017	75501650	MODES, VINCENT	NEW PERSPECTIVE FUND-A	B	0.00	3.90	0.00	3.90	50.0	1.95
08/09/2017	75501650	MODES, VINCENT	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	1.18	0.00	1.18	50.0	0.59

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
08/09/2017	75501650	MODES, VINCENT		QUEST VALUE A	B	0.00	2.67	0.00	2.67 50.0 1.34
08/09/2017	75501650	MODES, VINCENT		THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	4.51	0.00	4.51 50.0 2.26
08/09/2017	75501652	DLUGOSZ, JOHN		ALLIANZ NFJ DIVIDEND VALUE FUND CLA	B	0.00	2.91	0.00	2.91 50.0 1.46
08/09/2017	75501652	DLUGOSZ, JOHN		AMERICAN MUTUAL FUND-A	B	0.00	14.47	0.00	14.47 50.0 7.24
08/09/2017	75501652	DLUGOSZ, JOHN		CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	8.20	0.00	8.20 50.0 4.10
08/09/2017	75501652	DLUGOSZ, JOHN		EATON VANCE GLOBAL MACRO ABSOLUTE R	B	0.00	18.66	0.00	18.66 50.0 9.33
08/09/2017	75501652	DLUGOSZ, JOHN		GLOBAL FUND A	B	0.00	2.11	0.00	2.11 50.0 1.06
08/09/2017	75501652	DLUGOSZ, JOHN		NEW WORLD FUND-A	B	0.00	2.86	0.00	2.86 50.0 1.43
08/09/2017	75501652	DLUGOSZ, JOHN		THE GROWTH FUND OF AMERICA-A	B	0.00	2.15	0.00	2.15 50.0 1.08
08/09/2017	75501652	DLUGOSZ, JOHN		THE HARTFORD CAPITAL APPRECIATION F	B	0.00	3.98	0.00	3.98 50.0 1.99
08/09/2017	75501652	DLUGOSZ, JOHN		THE HARTFORD MID CAP FUND-A	B	0.00	3.85	0.00	3.85 50.0 1.93
08/09/2017	75501657	DLUGOSZ, JOHN		AMERICAN HIGH-INCOME TRUST-A	B	0.00	2.71	0.00	2.71 50.0 1.36
08/09/2017	75501657	DLUGOSZ, JOHN		EATON VANCE TAX- MANAGED EQUITY ASS	B	0.00	8.60	0.00	8.60 50.0 4.30
08/09/2017	75501657	DLUGOSZ, JOHN		EHV 277902813	B	0.00	1.86	0.00	1.86 50.0 0.93
08/09/2017	75501657	DLUGOSZ, JOHN		MAINSTAY HIGH-YIELD CORPORATE BOND	B	0.00	2.83	0.00	2.83 50.0 1.42
08/09/2017	75501658	TANNENBAUM, ARLENE		BLACKROCK GLOBAL ALLOCATION FD INC	B	0.00	15.18	0.00	15.18 50.0 7.59
08/09/2017	75501658	TANNENBAUM, ARLENE		EATON VANCE LARGE CAP VALUE FUND CL	B	0.00	1.41	0.00	1.41 50.0 0.71
08/09/2017	75501658	TANNENBAUM, ARLENE		FUNDAMENTAL INVESTORS-A	B	0.00	3.38	0.00	3.38 50.0 1.69
08/09/2017	75501658	TANNENBAUM, ARLENE		IVY ASSET STRATEGY FD CL C	B	0.00	13.76	0.00	13.76 50.0 6.88
08/09/2017	75501658	TANNENBAUM, ARLENE		OPPENHEIMER GLOBAL CLASS C	B	0.00	21.52	0.00	21.52 50.0 10.76
08/09/2017	75501660	ABEL, STACEY		**PRUDENTIAL JENNISON 20/20	B	0.00	14.01	0.00	14.01 50.0 7.01
08/09/2017	75501660	ABEL, STACEY		**PRUDENTIAL JENNISON NATURAL	B	0.00	6.22	0.00	6.22 50.0 3.11
08/09/2017	75501660	ABEL, STACEY		**PRUDENTIAL NATIONAL MUNI	B	0.00	10.39	0.00	10.39 50.0 5.20
08/09/2017	75501660	ABEL, STACEY		COLUMBIA SELIGMAN COMMUNICATIONS AN	B	0.00	3.08	0.00	3.08 50.0 1.54
08/09/2017	75501660	ABEL, STACEY		EATON VANCE LARGE CAP VALUE FUND CL	B	0.00	8.82	0.00	8.82 50.0 4.41
08/09/2017	75501660	ABEL, STACEY		EATON VANCE GLOBAL MACRO ABSOLUTE R	B	0.00	10.75	0.00	10.75 50.0 5.38
08/09/2017	75501660	ABEL, STACEY		EHV 277902813	B	0.00	6.27	0.00	6.27 50.0 3.14
08/09/2017	75501660	ABEL, STACEY		EUROPACIFIC GROWTH FUND CLASS F	B	0.00	3.12	0.00	3.12 50.0 1.56
08/09/2017	75501660	ABEL, STACEY		FUNDAMENTAL INVESTORS FUND CLASS F	B	0.00	8.06	0.00	8.06 50.0 4.03
08/09/2017	75501660	ABEL, STACEY		IVY ASSET STRATEGY FD CL C	B	0.00	20.50	0.00	20.50 50.0 10.25
08/09/2017	75501660	ABEL, STACEY		OPPENHEIMER SMALL & MID CAP VALUE F	B	0.00	3.61	0.00	3.61 50.0 1.81
08/09/2017	75501660	ABEL, STACEY		OPPENHEIMER DEVELOPING MARKETS FUND	B	0.00	3.23	0.00	3.23 50.0 1.62
08/09/2017	75501660	ABEL, STACEY		THORNBURG INVT TR INTL VALUE FD CL	B	0.00	11.43	0.00	11.43 50.0 5.72
08/25/2017	75501660	ABEL, STACEY		**VICTORY PORTFOLIOS	B	0.00	2.03	0.00	2.03 50.0 1.02
08/09/2017	75501661	ABEL, STACEY		BLACKROCK GLOBAL ALLOCATION FUND IN	B	0.00	1.56	0.00	1.56 50.0 0.78
08/09/2017	75501662	LOWENSTEIN, ALLAN		EATON VANCE TAX- MANAGED EQUITY ASS	B	0.00	12.57	0.00	12.57 50.0 6.29
08/09/2017	75501662	LOWENSTEIN, ALLAN		LORD ABBETT AFFILIATED FUND CLASS A	B	0.00	4.52	0.00	4.52 50.0 2.26
08/09/2017	75501747	STAUFFER, JUDITH		EATON VANCE UTILITIES FUND CLASS A	B	0.00	4.23	0.00	4.23 50.0 2.12
08/09/2017	75501748	STAUFFER, JUDITH		MFS INTERNATIONAL VALUE FUND-A	B	0.00	1.18	0.00	1.18 50.0 0.59
08/09/2017	75501750	STAUFFER, ROBERT		MFS INTERNATIONAL VALUE FUND-A	B	0.00	1.40	0.00	1.40 50.0 0.70

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>									
08/09/2017	75501812 HALL, RUTH	INTERMEDIATE BOND FUND OF AMERICA-A B		0.00	3.40	0.00	3.40	50.0	1.70
08/09/2017	75501825 SEPTIEN, ALFREDO	**GUGGENHEIM FDS TR	B	0.00	0.74	0.00	0.74	50.0	0.00
08/09/2017	75501825 SEPTIEN, ALFREDO	**PRUDENTIAL JENNISON 20/20	B	0.00	0.89	0.00	0.89	50.0	0.00
08/09/2017	75501825 SEPTIEN, ALFREDO	CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	1.47	0.00	1.47	50.0	0.74
08/09/2017	75501825 SEPTIEN, ALFREDO	NEW WORLD FUND-A	B	0.00	1.13	0.00	1.13	50.0	0.57
08/09/2017	75501847 GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	0.85	0.00	0.85	50.0	0.00
08/09/2017	75501847 GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	B	0.00	1.06	0.00	1.06	50.0	0.53
08/09/2017	75501848 JONAS, HILDA	JOHN HANCOCK FDS III JHF III SMALL B		0.00	1.26	0.00	1.26	50.0	0.63
08/09/2017	75501853 FARKAS, RONALD	BLACKROCK MULTI ST MUN SER TR PA MU B		0.00	2.44	0.00	2.44	50.0	1.22
08/09/2017	75501896 BLUM, STACEY	THE HARTFORD MID CAP FUND-A	B	0.00	2.62	0.00	2.62	50.0	1.31
08/09/2017	75501898 LIBOVE, MICHAEL	FIDELITY ADVISOR SMALL CAP FUND CLA B		0.00	5.03	0.00	5.03	50.0	2.52
08/09/2017	75501898 LIBOVE, MICHAEL	THE INCOME FUND OF AMERICA-A	B	0.00	0.63	0.00	0.63	50.0	0.00
08/09/2017	75501899 O'NEILL, LINDA	**AMG MANAGERS CADENCE MID CAP	B	0.00	5.07	0.00	5.07	50.0	2.54
08/09/2017	75501899 O'NEILL, LINDA	**PRUDENTIAL JENNISON 20/20	B	0.00	4.57	0.00	4.57	50.0	2.29
08/09/2017	75501899 O'NEILL, LINDA	CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	2.84	0.00	2.84	50.0	1.42
08/09/2017	75501899 O'NEILL, LINDA	NEW PERSPECTIVE FUND-A	B	0.00	11.02	0.00	11.02	50.0	5.51
08/09/2017	75501899 O'NEILL, LINDA	NEW WORLD FUND-A	B	0.00	2.81	0.00	2.81	50.0	1.41
08/09/2017	75501899 O'NEILL, LINDA	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	2.63	0.00	2.63	50.0	1.32
08/09/2017	75501899 O'NEILL, LINDA	THE INVESTMENT COMPANY OF AMERICA-A B		0.00	3.12	0.00	3.12	50.0	1.56
08/09/2017	75501902 ARMSTRONG, AMANDA	ALLIANZ NFJ LARGE CAP VALUE FUND CL B		0.00	1.26	0.00	1.26	50.0	0.63
08/09/2017	75501902 ARMSTRONG, AMANDA	JANUS INVT FD HENDERSON INTL OPRTN B		0.00	1.15	0.00	1.15	50.0	0.58
08/09/2017	75501902 ARMSTRONG, AMANDA	TEMP GLOBAL BOND FND - CL A	B	0.00	1.07	0.00	1.07	50.0	0.54
08/09/2017	75501902 ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A	B	0.00	0.97	0.00	0.97	50.0	0.00
08/09/2017	75501902 ARMSTRONG, AMANDA	THE HARTFORD MID CAP FUND-A	B	0.00	6.05	0.00	6.05	50.0	3.03
08/09/2017	75501902 ARMSTRONG, AMANDA	WASHINGTON MUTUAL INVESTORS FUND-A B		0.00	2.31	0.00	2.31	50.0	1.16
08/25/2017	75501902 ARMSTRONG, AMANDA	**VICTORY PORTFOLIOS	B	0.00	0.91	0.00	0.91	50.0	0.00
08/09/2017	75501903 ARMSTRONG, AMANDA	**GUGGENHEIM FDS TR	B	0.00	1.63	0.00	1.63	50.0	0.82
08/09/2017	75501903 ARMSTRONG, AMANDA	EUROPACIFIC GROWTH FUND-A	B	0.00	1.49	0.00	1.49	50.0	0.75
08/09/2017	75501903 ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A	B	0.00	2.18	0.00	2.18	50.0	1.09
08/09/2017	75501905 TANCREDI, NICHOLAS	CAPITAL INCOME A	B	0.00	2.22	0.00	2.22	50.0	1.11
08/09/2017	75501905 TANCREDI, NICHOLAS	GLOBAL FUND A	B	0.00	1.57	0.00	1.57	50.0	0.79
08/09/2017	75501905 TANCREDI, NICHOLAS	GLOBAL OPPORTUNITIES A	B	0.00	4.65	0.00	4.65	50.0	2.33
08/09/2017	75501905 TANCREDI, NICHOLAS	LORD ABBETT INVT TR TOTAL RETURN FU B		0.00	0.94	0.00	0.94	50.0	0.00
08/09/2017	75501905 TANCREDI, NICHOLAS	OPPENHEIMER 68380L100	B	0.00	1.42	0.00	1.42	50.0	0.71
08/09/2017	75501905 TANCREDI, NICHOLAS	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	2.60	0.00	2.60	50.0	1.30
08/09/2017	75501905 TANCREDI, NICHOLAS	THE HARTFORD CAPITAL APPRECIATION F B		0.00	2.62	0.00	2.62	50.0	1.31
08/09/2017	75501905 TANCREDI, NICHOLAS	THE HARTFORD FLOATING RATE FUND - A B		0.00	1.53	0.00	1.53	50.0	0.77
08/09/2017	75501965 JACKSON, ROSALYN	**GUGGENHEIM FDS TR	B	0.00	0.99	0.00	0.99	50.0	0.00
08/09/2017	75501965 JACKSON, ROSALYN	DAVIS NEW YORK VENTURE CLASS A	B	0.00	1.14	0.00	1.14	50.0	0.57
08/09/2017	75501965 JACKSON, ROSALYN	FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	6.07	0.00	6.07	50.0	3.04

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										
08/09/2017	75501995	SEPTIEN, ALEC	**GUGGENHEIM FDS TR	B	0.00	0.56	0.00	0.56	50.0	0.00
08/09/2017	75501995	SEPTIEN, ALEC	NEW WORLD FUND-A	B	0.00	0.82	0.00	0.82	50.0	0.00
08/09/2017	75502077	GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	8.49	0.00	8.49	50.0	4.25
08/09/2017	75502077	GINSBURG, VIVIAN	EATON VANCE LARGE CAP VALUE FUND CL B		0.00	1.42	0.00	1.42	50.0	0.71
08/09/2017	75502077	GINSBURG, VIVIAN	EATON VANCE NATIONAL MUNICIPAL FUND B		0.00	8.22	0.00	8.22	50.0	4.11
08/09/2017	75502077	GINSBURG, VIVIAN	FRK FL TF INC FND - CL A	B	0.00	3.57	0.00	3.57	50.0	1.79
08/09/2017	75502077	GINSBURG, VIVIAN	HIGH YIELD A	B	0.00	3.38	0.00	3.38	50.0	1.69
08/09/2017	75502077	GINSBURG, VIVIAN	INCOME FUND AMER INC CL F1	B	0.00	10.53	0.00	10.53	50.0	5.27
08/09/2017	75502077	GINSBURG, VIVIAN	MFS HIGH-YIELD OPPORTUNITIES FUND C B		0.00	0.90	0.00	0.90	50.0	0.00
08/09/2017	75502077	GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	B	0.00	2.62	0.00	2.62	50.0	1.31
08/09/2017	75502084	TREICHLER, CHARLES	ALLIANZ NFJ LARGE CAP VALUE FUND CL B		0.00	2.64	0.00	2.64	50.0	1.32
08/09/2017	75502084	TREICHLER, CHARLES	SHORT-TERM BOND FUND OF AMERICA - A B		0.00	1.02	0.00	1.02	50.0	0.51
08/09/2017	75502085	GINSBURG, JANICE	**PRUDENTIAL JENNISON 20/20	B	0.00	1.93	0.00	1.93	50.0	0.97
08/09/2017	75502085	GINSBURG, JANICE	MAINSTAY MAP FUND A	B	0.00	1.81	0.00	1.81	50.0	0.91
08/09/2017	75502085	GINSBURG, JANICE	OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	1.12	0.00	1.12	50.0	0.56
08/25/2017	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	\$1,017.15	\$0.00	\$1,017.15		\$502.41
*** BROKER TRANSACTIONS TOTAL ***					\$28,851.43	\$4,414.19	\$0.00	\$4,414.19		\$2,189.31

ADJUSTMENTS

08/31/2017		OTHER: OTHER-RBC CHARGES		0.00	0.00	0.00	0.00		-288.50
08/31/2017		OTHER: OTHER-TOWER BRIDGE ADVISORS		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	\$2,189.31
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	\$-5.52
SIPC Assessment	\$-11.04

Check Amount	\$1,772.57
Year-to-date Earnings	\$4,619.37