

COMMISSION STATEMENT

December 31, 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 TRANSACTIONS											
PRODUCT CATEGORY: MUTUAL FUNDS											
12/22/2017	00082704422	BLUM, ASHER		CAPITAL WORLD GROWTH AND INCOME-529 B	250.00	2.50	0.00	2.50	50.0	1.25	
12/08/2017	75501483	SPILLER, HELEN		**GUGGENHEIM FDS TR	S	500.00	0.00	0.00	50.0	0.00	
11/30/2017	75501631	MODES, LOIS		LORD ABBETT RESEARCH FUND INC-SMALL S	10,000.00	0.00	0.00	0.00	50.0	0.00	
12/19/2017	75501646	DLUGOSZ, PATRICIA		THE HARTFORD DIVIDEND & GROWTH FUND S	1,000.00	0.00	0.00	0.00	50.0	0.00	
12/26/2017	75501660	ABEL, STACEY		**PRUDENTIAL JENNISON 20/20	S	20,278.07	0.00	0.00	50.0	0.00	
12/26/2017	75501660	ABEL, STACEY		EATON VANCE GLOBAL MACRO ABSOLUTE R S	13,146.20	0.00	0.00	0.00	50.0	0.00	
12/26/2017	75501660	ABEL, STACEY		IVY ASSET STRATEGY FD CL C	S	26,001.80	0.00	0.00	50.0	0.00	
12/26/2017	75501660	ABEL, STACEY		VAN ECK GLOBAL HARD ASSETS FD CLASS S	10,800.32	0.00	0.00	0.00	50.0	0.00	
12/18/2017	75502085	GINSBURG, JANICE		MAINSTAY MAP FUND A	S	9,418.78	0.00	0.00	50.0	0.00	
				* MUTUAL FUNDS SUBTOTAL *	\$91,395.17	\$2.50	\$0.00	\$2.50		\$1.25	
PRODUCT CATEGORY: STOCKS											
12/12/2017	75501654	KINSLEY, GEORGE		ATLANTIC POWER CORPORATION	S	1,283.80	60.00	0.00	60.00	50.0	30.00
12/12/2017	75501654	KINSLEY, GEORGE		COEUR MINING INC	S	141.20	50.00	0.00	50.00	50.0	25.00
12/12/2017	75501654	KINSLEY, GEORGE		DYNEGY INC	S	11.62	0.00	0.00	0.00	50.0	0.00
12/12/2017	75501654	KINSLEY, GEORGE		FREEPORT MCMORAN INC	S	3,439.70	110.00	0.00	110.00	50.0	55.00
12/12/2017	75501654	KINSLEY, GEORGE		FUELCELL ENERGY INC COM NEW	S	30.40	0.00	0.00	0.00	50.0	0.00
12/12/2017	75501654	KINSLEY, GEORGE		LRAD CORPORATION	S	1,146.00	57.30	0.00	57.30	50.0	28.65
12/12/2017	75501654	KINSLEY, GEORGE		QEP RESOURCES INC	S	4,345.93	125.00	0.00	125.00	50.0	62.50
12/12/2017	75501654	KINSLEY, GEORGE		WPX ENERGY INC	S	959.05	50.00	0.00	50.00	50.0	25.00
12/06/2017	75501739	STAUFFER, JUDITH		URBAN OUTFITTERS INC	S	3,247.00	0.00	0.00	0.00	50.0	0.00
12/06/2017	75501739	STAUFFER, JUDITH		URBAN OUTFITTERS INC	S	3,247.00	0.00	0.00	0.00	50.0	0.00
12/06/2017	75501739	STAUFFER, JUDITH		URBAN OUTFITTERS INC	S	3,246.68	0.00	0.00	0.00	50.0	0.00
12/05/2017	75501751	STAUFFER, ROBERT		PPLUS TR GSG 2 TR CTF FLTG RATE	S	1,652.01	0.00	0.00	0.00	50.0	0.00
12/18/2017	75501868	ZEGEN, LOUIS		BLACKROCK GLOBAL OPPORTUNITIES EQUI S		3,421.94	0.00	0.00	0.00	50.0	0.00
12/18/2017	75501868	ZEGEN, LOUIS		BLACKROCK INTL GROWTH & INCOME TR	S	2,593.04	0.00	0.00	0.00	50.0	0.00
12/18/2017	75501868	ZEGEN, LOUIS		CALAMOS STRATEGIC TOTAL RETURN FUND S		12,320.10	0.00	0.00	0.00	50.0	0.00
12/18/2017	75501868	ZEGEN, LOUIS		EATON VANCE TAX-ADVANTAGED GLOBAL D S		12,680.75	0.00	0.00	0.00	50.0	0.00
				* STOCKS SUBTOTAL *	\$53,766.22	\$452.30	\$0.00	\$452.30		\$226.15	

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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: VARIABLE ANNUITIES</u>									
12/31/2017 (None)	VARIOUS, GINSBURG	JACKSON	B	0.00	119.00	0.00	119.00	50.0	59.50
12/31/2017 (None)	VARIOUS, GINSBURG	LINCOLN	B	0.00	24.84	0.00	24.84	50.0	12.42
12/31/2017 (None)	VARIOUS, GINSBURG	RBC	B	0.00	3,317.33	0.00	3,317.33	50.0	1,658.67
* VARIABLE ANNUITIES SUBTOTAL *				\$0.00	\$3,461.17	\$0.00	\$3,461.17		\$1,730.59
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017 00056159205	GIRGENTI, V	CAPITAL INCOME BUILDER-A	B	0.00	22.84	0.00	22.84	50.0	11.42
12/01/2017 00056159205	GIRGENTI, V	CAPITAL WORLD GROWTH AND INCOME FUN B	B	0.00	16.52	0.00	16.52	50.0	8.26
12/01/2017 00056159205	GIRGENTI, V	FUNDAMENTAL INVESTORS-A	B	0.00	17.02	0.00	17.02	50.0	8.51
12/01/2017 00056159205	GIRGENTI, V	NEW WORLD FUND-A	B	0.00	13.74	0.00	13.74	50.0	6.87
12/01/2017 00056159205	GIRGENTI, V	THE GROWTH FUND OF AMERICA-A	B	0.00	40.83	0.00	40.83	50.0	20.42
12/01/2017 00056159205	GIRGENTI, V	THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	30.26	0.00	30.26	50.0	15.13
12/01/2017 00056159205	GIRGENTI, V	THE NEW ECONOMY FUND-A	B	0.00	17.70	0.00	17.70	50.0	8.85
12/01/2017 00067888652	UNTIL AGE 21,	AMERICAN BALANCED FUND-529A	B	0.00	0.89	0.00	0.89	50.0	0.00
12/01/2017 00067888652	UNTIL AGE 21,	NEW PERSPECTIVE FUND-529A	B	0.00	1.19	0.00	1.19	50.0	0.60
12/01/2017 00067888652	UNTIL AGE 21,	NEW WORLD FUND-529A	B	0.00	2.49	0.00	2.49	50.0	1.25
12/01/2017 00067888652	UNTIL AGE 21,	THE GROWTH FUND OF AMERICA-529A	B	0.00	2.31	0.00	2.31	50.0	1.16
12/01/2017 00067888652	UNTIL AGE 21,	THE INVESTMENT COMPANY OF AMERICA-5 B	B	0.00	0.76	0.00	0.76	50.0	0.00
12/01/2017 00067888652	UNTIL AGE 21,	WASHINGTON MUTUAL INVESTORS FUND-52 B	B	0.00	11.77	0.00	11.77	50.0	5.89
12/01/2017 00075525420	ROSENBERG, KELETSO	529 AMERICAN FUNDS COLLEGE 2021 FUN B	B	0.00	16.06	0.00	16.06	50.0	8.03
12/01/2017 00075525420	ROSENBERG, KELETSO	EUROPACIFIC GROWTH FUND-529A	B	0.00	0.62	0.00	0.62	50.0	0.00
12/01/2017 00075525420	ROSENBERG, KELETSO	THE GROWTH FUND OF AMERICA-529A	B	0.00	0.77	0.00	0.77	50.0	0.00
12/01/2017 00075525420	ROSENBERG, KELETSO	THE INVESTMENT COMPANY OF AMERICA-5 B	B	0.00	0.71	0.00	0.71	50.0	0.00
12/01/2017 00075525420	ROSENBERG, KELETSO	WASHINGTON MUTUAL INVESTORS FUND-52 B	B	0.00	0.60	0.00	0.60	50.0	0.00
12/01/2017 00082704422	BLUM, ASHER	529 EUROPACIFIC	B	0.00	1.60	0.00	1.60	50.0	0.80
12/01/2017 00082704422	BLUM, ASHER	529 FUNDAMENTAL	B	0.00	4.31	0.00	4.31	50.0	2.16
12/01/2017 00082704422	BLUM, ASHER	529 INTERNATIONAL GROWTH	B	0.00	1.45	0.00	1.45	50.0	0.73
12/01/2017 00082704422	BLUM, ASHER	529 THE NEW ECONOMY FUND	B	0.00	2.16	0.00	2.16	50.0	1.08
12/01/2017 00082704422	BLUM, ASHER	AMERICAN FUNDS	B	0.00	0.83	0.00	0.83	50.0	0.00
12/01/2017 00082704422	BLUM, ASHER	CAPITAL INCOME BUILDER-529C	B	0.00	5.10	0.00	5.10	50.0	2.55
12/01/2017 00082704422	BLUM, ASHER	CAPITAL WORLD BOND FUND-529C	B	0.00	2.02	0.00	2.02	50.0	1.01
12/01/2017 00082704422	BLUM, ASHER	CAPITAL WORLD GROWTH AND INCOME-529 B	B	0.00	2.55	0.00	2.55	50.0	1.28
12/01/2017 00082704422	BLUM, ASHER	NEW WORLD FUND-529C	B	0.00	1.73	0.00	1.73	50.0	0.87
12/01/2017 00082704422	BLUM, ASHER	THE GROWTH FUND OF AMERICA-529C	B	0.00	4.84	0.00	4.84	50.0	2.42
12/01/2017 00084570136	ALANCRAIG, SUSAN	AMCAP FUND-C	B	0.00	16.31	0.00	16.31	50.0	8.16
12/01/2017 00084570136	ALANCRAIG, SUSAN	AMERICAN BALANCED FUND-C	B	0.00	11.03	0.00	11.03	50.0	5.52
12/01/2017 00084570136	ALANCRAIG, SUSAN	AMERICAN HIGH-INCOME TRUST-C	B	0.00	12.39	0.00	12.39	50.0	6.20
12/01/2017 00084570136	ALANCRAIG, SUSAN	AMERICAN MUTUAL FUND-C	B	0.00	11.57	0.00	11.57	50.0	5.79
12/01/2017 00084570136	ALANCRAIG, SUSAN	CAPITAL INCOME BUILDER CLASS C	B	0.00	76.49	0.00	76.49	50.0	38.25
12/01/2017 00084570136	ALANCRAIG, SUSAN	CAPITAL WORLD GROWTH AND INCOME FUN B	B	0.00	1.86	0.00	1.86	50.0	0.93

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
12/01/2017	00084570136	ALANCRAIG, SUSAN	FUNDAMENTAL INVESTORS-C	B	0.00	13.54	0.00	13.54	50.0	6.77
12/01/2017	00084570136	ALANCRAIG, SUSAN	NEW WORLD FUND-C	B	0.00	17.99	0.00	17.99	50.0	9.00
12/01/2017	00084570136	ALANCRAIG, SUSAN	THE GROWTH FUND OF AMERICA-C	B	0.00	14.04	0.00	14.04	50.0	7.02
12/01/2017	00084570136	ALANCRAIG, SUSAN	THE NEW ECONOMY FUND-C	B	0.00	17.14	0.00	17.14	50.0	8.57
12/01/2017	00084570136	ALANCRAIG, SUSAN	WASHINGTON MUTUAL INVESTORS FUND-C	B	0.00	9.83	0.00	9.83	50.0	4.92
12/01/2017	00086908092	BLUM, ASHER	529 FUNDAMENTAL	B	0.00	4.82	0.00	4.82	50.0	2.41
12/01/2017	00086908092	BLUM, ASHER	AMERICAN MUTUAL FUND-529A	B	0.00	0.58	0.00	0.58	50.0	0.00
12/01/2017	00086908092	BLUM, ASHER	CAPITAL INCOME BUILDER-529A	B	0.00	0.39	0.00	0.39	50.0	0.00
12/01/2017	00086908092	BLUM, ASHER	CAPITAL WORLD GROWTH AND INCOME-529	B	0.00	0.15	0.00	0.15	50.0	0.00
12/01/2017	00086908092	BLUM, ASHER	EUROPACIFIC GROWTH FUND-529A	B	0.00	0.29	0.00	0.29	50.0	0.00
12/01/2017	00086908092	BLUM, ASHER	INTERMEDIATE BOND FUND OF AMERICA-5	B	0.00	0.22	0.00	0.22	50.0	0.00
12/01/2017	00086908092	BLUM, ASHER	NEW WORLD FUND-529A	B	0.00	0.24	0.00	0.24	50.0	0.00
12/01/2017	00086908092	BLUM, ASHER	THE GROWTH FUND OF AMERICA-529C	B	0.00	0.79	0.00	0.79	50.0	0.00
12/01/2017	00166154105	FL UNIF TFRS TO	THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	6.19	0.00	6.19	50.0	3.10
12/11/2017	75501483	SPILLER, HELEN	**GUGGENHEIM FDS TR	B	0.00	1.85	0.00	1.85	50.0	0.93
12/11/2017	75501483	SPILLER, HELEN	AMERICAN BALANCED FUND-A	B	0.00	3.59	0.00	3.59	50.0	1.80
12/11/2017	75501483	SPILLER, HELEN	BOND-DEBENTURE FUND CLASS A	B	0.00	1.09	0.00	1.09	50.0	0.55
12/11/2017	75501483	SPILLER, HELEN	PUTNAM 746745108	B	0.00	0.10	0.00	0.10	50.0	0.00
12/11/2017	75501483	SPILLER, HELEN	THE INCOME FUND OF AMERICA-A	B	0.00	4.16	0.00	4.16	50.0	2.08
12/11/2017	75501504	LERNER, JOAN	U.S. GOVERNMENT SECURITIES FUND CLA	B	0.00	2.24	0.00	2.24	50.0	1.12
12/11/2017	75501505	LERNER, JOAN	AMERICAN HIGH-INCOME TRUST-A	B	0.00	3.91	0.00	3.91	50.0	1.96
12/11/2017	75501505	LERNER, JOAN	CAPITAL INCOME BUILDER-A	B	0.00	0.69	0.00	0.69	50.0	0.00
12/11/2017	75501505	LERNER, JOAN	CAPITAL WORLD BOND FUND-A	B	0.00	1.76	0.00	1.76	50.0	0.88
12/11/2017	75501505	LERNER, JOAN	THE BOND FUND OF AMERICA-A	B	0.00	4.15	0.00	4.15	50.0	2.08
12/11/2017	75501621	WEXLER, SHEILA	EATON VANCE TAX- MANAGED EQUITY ASS	B	0.00	13.79	0.00	13.79	50.0	6.90
12/11/2017	75501621	WEXLER, SHEILA	THE HARTFORD CAPITAL APPRECIATION F	B	0.00	2.14	0.00	2.14	50.0	1.07
12/11/2017	75501621	WEXLER, SHEILA	THE HARTFORD MID CAP FUND-A	B	0.00	3.36	0.00	3.36	50.0	1.68
12/11/2017	75501622	ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL	B	0.00	11.48	0.00	11.48	50.0	5.74
12/11/2017	75501622	ABEL, STACEY	DAVIS NEW YORK VENTURE CLASS A	B	0.00	3.07	0.00	3.07	50.0	1.54
12/11/2017	75501622	ABEL, STACEY	MFS GLOBAL EQUITY FUND-A	B	0.00	2.10	0.00	2.10	50.0	1.05
12/11/2017	75501622	ABEL, STACEY	SHORT-TERM BOND FUND OF AMERICA - A	B	0.00	0.81	0.00	0.81	50.0	0.00
12/11/2017	75501622	ABEL, STACEY	THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	5.38	0.00	5.38	50.0	2.69
12/11/2017	75501624	ALANCRAIG, SUSAN	**GABELLI SRI FUND	B	0.00	10.96	0.00	10.96	50.0	5.48
12/14/2017	75501624	ALANCRAIG, SUSAN	CALVERT EQUITY PORTFOLIO CL C	B	0.00	13.11	0.00	13.11	50.0	6.56
12/11/2017	75501626	URQUHART, THOMAS	THE GROWTH FUND OF AMERICA-A	B	0.00	6.03	0.00	6.03	50.0	3.02
12/11/2017	75501627	LEE, T ORIN	**AMG MANAGERS CADENCE MID CAP	B	0.00	1.12	0.00	1.12	50.0	0.56
12/22/2017	75501627	LEE, T ORIN	**VICTORY PORTFOLIOS MUNDER	B	0.00	1.10	0.00	1.10	50.0	0.55
12/11/2017	75501628	MODES, VINCENT	ALL VALUE FUND CLASS A	B	0.00	5.54	0.00	5.54	50.0	2.77
12/11/2017	75501628	MODES, VINCENT	CAPITAL INCOME BUILDER-A	B	0.00	10.83	0.00	10.83	50.0	5.42
12/11/2017	75501628	MODES, VINCENT	CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	5.05	0.00	5.05	50.0	2.53

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
12/11/2017	75501628	MODES, VINCENT		LORD ABBETT CALIBRATED DIVIDEND GRO B	0.00	4.65	0.00	4.65	50.0	2.33
12/11/2017	75501628	MODES, VINCENT		LORD ABBETT AFFILIATED FUND CLASS A B	0.00	8.85	0.00	8.85	50.0	4.43
12/11/2017	75501628	MODES, VINCENT		MID-CAP VALUE FUND CLASS A B	0.00	6.49	0.00	6.49	50.0	3.25
12/11/2017	75501628	MODES, VINCENT		NEW PERSPECTIVE FUND-A B	0.00	9.45	0.00	9.45	50.0	4.73
12/11/2017	75501628	MODES, VINCENT		OPPENHEIMERFUNDS 68380G101 B	0.00	3.09	0.00	3.09	50.0	1.55
12/11/2017	75501628	MODES, VINCENT		THE HARTFORD CAPITAL APPRECIATION F B	0.00	9.39	0.00	9.39	50.0	4.70
12/11/2017	75501628	MODES, VINCENT		THE INVESTMENT COMPANY OF AMERICA-A B	0.00	4.60	0.00	4.60	50.0	2.30
12/11/2017	75501629	INOVATIVE INC		EATON VANCE MUT FDS TR FLTG RATE AD B	0.00	10.28	0.00	10.28	50.0	5.14
12/11/2017	75501629	INOVATIVE INC		HARTFORD FLOATING RATE FUND CLASS C B	0.00	13.11	0.00	13.11	50.0	6.56
12/11/2017	75501631	MODES, LOIS		LORD ABBETT RESEARCH FUND INC-SMALL B	0.00	5.43	0.00	5.43	50.0	2.72
12/11/2017	75501631	MODES, LOIS		LORD ABBETT CALIBRATED DIVIDEND GRO B	0.00	6.02	0.00	6.02	50.0	3.01
12/11/2017	75501631	MODES, LOIS		LORD ABBETT AFFILIATED FUND CLASS A B	0.00	5.22	0.00	5.22	50.0	2.61
12/11/2017	75501631	MODES, LOIS		MID-CAP VALUE FUND CLASS A B	0.00	5.81	0.00	5.81	50.0	2.91
12/11/2017	75501631	MODES, LOIS		NEW PERSPECTIVE FUND-A B	0.00	6.88	0.00	6.88	50.0	3.44
12/11/2017	75501631	MODES, LOIS		THE HARTFORD MID CAP FUND-A B	0.00	6.94	0.00	6.94	50.0	3.47
12/11/2017	75501632	NESHAMINY VALLEY		HARTFORD FLOATING RATE FUND CLASS C B	0.00	5.40	0.00	5.40	50.0	2.70
12/11/2017	75501633	MODES, VINCENT		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	17.35	0.00	17.35	50.0	8.68
12/11/2017	75501633	MODES, VINCENT		EATON VANCE TAX MANAGED VALUE FD CL B	0.00	6.68	0.00	6.68	50.0	3.34
12/11/2017	75501633	MODES, VINCENT		EHV 277911830 B	0.00	15.20	0.00	15.20	50.0	7.60
12/11/2017	75501633	MODES, VINCENT		HARTFORD ADVISERS FUND CLASS A B	0.00	2.19	0.00	2.19	50.0	1.10
12/11/2017	75501633	MODES, VINCENT		JANUS INVT FD HENDERSON EURPEAN FCU B	0.00	9.77	0.00	9.77	50.0	4.89
12/11/2017	75501633	MODES, VINCENT		OPPENHEIMERFUNDS 68380G101 B	0.00	11.67	0.00	11.67	50.0	5.84
12/11/2017	75501633	MODES, VINCENT		THE GROWTH FUND OF AMERICA-A B	0.00	8.10	0.00	8.10	50.0	4.05
12/11/2017	75501634	CROPANESE, CAROL		**PRUDENTIAL JENNISON NATURAL B	0.00	10.56	0.00	10.56	50.0	5.28
12/11/2017	75501634	CROPANESE, CAROL		HARTFORD MUTUAL FUNDS INC DIVIDEND B	0.00	13.00	0.00	13.00	50.0	6.50
12/11/2017	75501634	CROPANESE, CAROL		QUEST OPPORTUNITY VALUE A B	0.00	0.20	0.00	0.20	50.0	0.00
12/11/2017	75501634	CROPANESE, CAROL		THE HARTFORD MID CAP FUND-C B	0.00	17.18	0.00	17.18	50.0	8.59
12/11/2017	75501635	CROPANESE, CAROL		BLACKROCK CAP APPRECIATION FD INC C B	0.00	2.81	0.00	2.81	50.0	1.41
12/11/2017	75501635	CROPANESE, CAROL		BLACKROCK GLOBAL ALLOCATION FD INC B	0.00	11.92	0.00	11.92	50.0	5.96
12/11/2017	75501635	CROPANESE, CAROL		EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	7.19	0.00	7.19	50.0	3.60
12/11/2017	75501635	CROPANESE, CAROL		EHV 277911772 B	0.00	1.60	0.00	1.60	50.0	0.80
12/11/2017	75501635	CROPANESE, CAROL		IVY ASSET STRATEGY FD CL C B	0.00	10.56	0.00	10.56	50.0	5.28
12/14/2017	75501635	CROPANESE, CAROL		VAN ECK FDS GLOBAL ASST CL C B	0.00	14.58	0.00	14.58	50.0	7.29
12/22/2017	75501635	CROPANESE, CAROL		**VICTORY PORTFOLIOS B	0.00	6.83	0.00	6.83	50.0	3.42
12/11/2017	75501636	URQUHART, THOMAS		FIRST EAGLE GLOBAL FUND CLASS C B	0.00	24.80	0.00	24.80	50.0	12.40
12/11/2017	75501637	ROTHSTEIN, HARRIET		LORD ABBETT SHORT DURATION INCOME F B	0.00	1.84	0.00	1.84	50.0	0.92
12/11/2017	75501637	ROTHSTEIN, HARRIET		SHORT-TERM BOND FUND OF AMERICA - A B	0.00	1.40	0.00	1.40	50.0	0.70
12/11/2017	75501637	ROTHSTEIN, HARRIET		STRATEGIC INCOME A B	0.00	3.37	0.00	3.37	50.0	1.69
12/11/2017	75501638	CROPANESE,		**AMG MANAGERS CADENCE MID CAP B	0.00	4.05	0.00	4.05	50.0	2.03
12/11/2017	75501638	CROPANESE,		**PRUDENTIAL JENNISON NATURAL B	0.00	8.45	0.00	8.45	50.0	4.23

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>									
12/11/2017	75501638	CROPANESE, EATON VANCE TAX MANAGED GROWTH FUND B		0.00	3.09	0.00	3.09	50.0	1.55
12/11/2017	75501638	CROPANESE, HARTFORD MUTUAL FUNDS INC DIVIDEND B		0.00	9.71	0.00	9.71	50.0	4.86
12/11/2017	75501638	CROPANESE, QUEST OPPORTUNITY VALUE A B		0.00	5.88	0.00	5.88	50.0	2.94
12/11/2017	75501638	CROPANESE, SHORT-TERM BOND FUND OF AMERICA - A B		0.00	3.20	0.00	3.20	50.0	1.60
12/11/2017	75501638	CROPANESE, THE HARTFORD MID CAP FUND-C B		0.00	12.84	0.00	12.84	50.0	6.42
12/11/2017	75501639	CONNOLLY, EDWARD ALLIANCEBERNSTEIN LARGE-CAP GROWTH B		0.00	0.94	0.00	0.94	50.0	0.00
12/11/2017	75501639	CONNOLLY, EDWARD BLACKROCK HEALTH SCIENCES OPPORTUNI B		0.00	4.60	0.00	4.60	50.0	2.30
12/11/2017	75501639	CONNOLLY, EDWARD FIDELITY ADVISOR FUNDS 315918474 B		0.00	3.49	0.00	3.49	50.0	1.75
12/11/2017	75501639	CONNOLLY, EDWARD FIRST EAGLE GLOBAL FUND CLASS C B		0.00	4.76	0.00	4.76	50.0	2.38
12/11/2017	75501639	CONNOLLY, EDWARD HARTFORD ADVISERS FUND CLASS A B		0.00	1.48	0.00	1.48	50.0	0.74
12/11/2017	75501639	CONNOLLY, EDWARD THE HARTFORD DIVIDEND & GROWTH FUND B		0.00	0.87	0.00	0.87	50.0	0.00
12/11/2017	75501640	ROTHSTEIN, JOEL FUNDAMENTAL INVESTORS-A B		0.00	4.63	0.00	4.63	50.0	2.32
12/11/2017	75501640	ROTHSTEIN, JOEL THE INVESTMENT COMPANY OF AMERICA-A B		0.00	4.13	0.00	4.13	50.0	2.07
12/11/2017	75501640	ROTHSTEIN, JOEL WASHINGTON MUTUAL INVESTORS FUND-A B		0.00	6.09	0.00	6.09	50.0	3.05
12/11/2017	75501643	CONNOLLY, MARCELLA ALLIANZ NFJ DIVIDEND VALUE FUND CLA B		0.00	1.19	0.00	1.19	50.0	0.60
12/11/2017	75501643	CONNOLLY, MARCELLA FUNDAMENTAL INVESTORS-A B		0.00	1.98	0.00	1.98	50.0	0.99
12/11/2017	75501643	CONNOLLY, MARCELLA THE HARTFORD MID CAP FUND-A B		0.00	2.28	0.00	2.28	50.0	1.14
12/11/2017	75501643	CONNOLLY, MARCELLA THE INVESTMENT COMPANY OF AMERICA-A B		0.00	2.45	0.00	2.45	50.0	1.23
12/11/2017	75501645	CONNOLLY, MARCELLA AMERICAN MUTUAL FUND-A B		0.00	10.93	0.00	10.93	50.0	5.47
12/11/2017	75501645	CONNOLLY, MARCELLA FUNDAMENTAL INVESTORS-A B		0.00	1.08	0.00	1.08	50.0	0.54
12/11/2017	75501645	CONNOLLY, MARCELLA QUEST OPPORTUNITY VALUE A B		0.00	1.04	0.00	1.04	50.0	0.52
12/11/2017	75501646	DLUGOSZ, PATRICIA THE HARTFORD DIVIDEND & GROWTH FUND B		0.00	2.49	0.00	2.49	50.0	1.25
12/11/2017	75501648	GINSBURG, JANICE EATON VANCE LARGE CAP VALUE FUND CL B		0.00	0.28	0.00	0.28	50.0	0.00
12/11/2017	75501648	GINSBURG, JANICE EATON VANCE UTILITIES FUND CLASS A B		0.00	2.26	0.00	2.26	50.0	1.13
12/11/2017	75501650	MODES, VINCENT CAPITAL INCOME BUILDER-A B		0.00	12.88	0.00	12.88	50.0	6.44
12/11/2017	75501650	MODES, VINCENT DAVIS NEW YORK VENTURE CLASS C B		0.00	17.03	0.00	17.03	50.0	8.52
12/11/2017	75501650	MODES, VINCENT LORD ABBETT RESEARCH FUND INC-SMALL B		0.00	7.33	0.00	7.33	50.0	3.67
12/11/2017	75501650	MODES, VINCENT LORD ABBETT CALIBRATED DIVIDEND GRO B		0.00	14.20	0.00	14.20	50.0	7.10
12/11/2017	75501650	MODES, VINCENT LORD ABBETT MULTI ASSET BALANCED OP B		0.00	16.26	0.00	16.26	50.0	8.13
12/11/2017	75501650	MODES, VINCENT LORD ABBETT AFFILIATED FUND CLASS A B		0.00	8.87	0.00	8.87	50.0	4.44
12/11/2017	75501650	MODES, VINCENT NEW PERSPECTIVE FUND-A B		0.00	4.05	0.00	4.05	50.0	2.03
12/11/2017	75501650	MODES, VINCENT OPPENHEIMER DEVELOPING MARKETS CLAS B		0.00	1.25	0.00	1.25	50.0	0.63
12/11/2017	75501650	MODES, VINCENT QUEST VALUE A B		0.00	2.68	0.00	2.68	50.0	1.34
12/11/2017	75501650	MODES, VINCENT THE INVESTMENT COMPANY OF AMERICA-A B		0.00	4.60	0.00	4.60	50.0	2.30
12/11/2017	75501652	DLUGOSZ, JOHN ALLIANZ NFJ DIVIDEND VALUE FUND CLA B		0.00	3.00	0.00	3.00	50.0	1.50
12/11/2017	75501652	DLUGOSZ, JOHN AMERICAN MUTUAL FUND-A B		0.00	14.79	0.00	14.79	50.0	7.40
12/11/2017	75501652	DLUGOSZ, JOHN CAPITAL WORLD GROWTH AND INCOME FUN B		0.00	8.41	0.00	8.41	50.0	4.21
12/11/2017	75501652	DLUGOSZ, JOHN EATON VANCE GLOBAL MACRO ABSOLUTE R B		0.00	18.29	0.00	18.29	50.0	9.15
12/11/2017	75501652	DLUGOSZ, JOHN GLOBAL FUND A B		0.00	2.23	0.00	2.23	50.0	1.12
12/11/2017	75501652	DLUGOSZ, JOHN NEW WORLD FUND-A B		0.00	3.02	0.00	3.02	50.0	1.51

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>									
12/11/2017	75501652	DLUGOSZ, JOHN		THE GROWTH FUND OF AMERICA-A	B	0.00	2.23	0.00	2.23 50.0 1.12
12/11/2017	75501652	DLUGOSZ, JOHN		THE HARTFORD CAPITAL APPRECIATION F B	B	0.00	3.99	0.00	3.99 50.0 2.00
12/11/2017	75501652	DLUGOSZ, JOHN		THE HARTFORD MID CAP FUND-A	B	0.00	3.96	0.00	3.96 50.0 1.98
12/11/2017	75501657	DLUGOSZ, JOHN		AMERICAN HIGH-INCOME TRUST-A	B	0.00	2.61	0.00	2.61 50.0 1.31
12/11/2017	75501657	DLUGOSZ, JOHN		EATON VANCE TAX- MANAGED EQUITY ASS B	B	0.00	8.79	0.00	8.79 50.0 4.40
12/11/2017	75501657	DLUGOSZ, JOHN		EHV 277902813	B	0.00	1.78	0.00	1.78 50.0 0.89
12/11/2017	75501657	DLUGOSZ, JOHN		MAINSTAY HIGH-YIELD CORPORATE BOND B	B	0.00	2.72	0.00	2.72 50.0 1.36
12/11/2017	75501658	TANNENBAUM, ARLENE		BLACKROCK GLOBAL ALLOCATION FD INC B	B	0.00	15.12	0.00	15.12 50.0 7.56
12/11/2017	75501658	TANNENBAUM, ARLENE		EATON VANCE LARGE CAP VALUE FUND CL B	B	0.00	1.42	0.00	1.42 50.0 0.71
12/11/2017	75501658	TANNENBAUM, ARLENE		FUNDAMENTAL INVESTORS-A	B	0.00	3.48	0.00	3.48 50.0 1.74
12/11/2017	75501658	TANNENBAUM, ARLENE		IVY ASSET STRATEGY FD CL C	B	0.00	14.09	0.00	14.09 50.0 7.05
12/11/2017	75501658	TANNENBAUM, ARLENE		OPPENHEIMER GLOBAL CLASS C	B	0.00	22.69	0.00	22.69 50.0 11.35
12/11/2017	75501660	ABEL, STACEY		**PRUDENTIAL JENNISON 20/20	B	0.00	14.50	0.00	14.50 50.0 7.25
12/11/2017	75501660	ABEL, STACEY		**PRUDENTIAL JENNISON NATURAL	B	0.00	6.49	0.00	6.49 50.0 3.25
12/11/2017	75501660	ABEL, STACEY		**PRUDENTIAL NATIONAL MUNI	B	0.00	10.11	0.00	10.11 50.0 5.06
12/11/2017	75501660	ABEL, STACEY		COLUMBIA SELIGMAN COMMUNICATIONS AN B	B	0.00	3.38	0.00	3.38 50.0 1.69
12/11/2017	75501660	ABEL, STACEY		EATON VANCE LARGE CAP VALUE FUND CL B	B	0.00	8.94	0.00	8.94 50.0 4.47
12/11/2017	75501660	ABEL, STACEY		EATON VANCE GLOBAL MACRO ABSOLUTE R B	B	0.00	10.53	0.00	10.53 50.0 5.27
12/11/2017	75501660	ABEL, STACEY		EHV 277902813	B	0.00	6.01	0.00	6.01 50.0 3.01
12/11/2017	75501660	ABEL, STACEY		EUROPACIFIC GROWTH FUND CLASS F	B	0.00	3.27	0.00	3.27 50.0 1.64
12/11/2017	75501660	ABEL, STACEY		FUNDAMENTAL INVESTORS FUND CLASS F B	B	0.00	8.33	0.00	8.33 50.0 4.17
12/11/2017	75501660	ABEL, STACEY		IVY ASSET STRATEGY FD CL C	B	0.00	20.98	0.00	20.98 50.0 10.49
12/11/2017	75501660	ABEL, STACEY		OPPENHEIMER SMALL & MID CAP VALUE F B	B	0.00	3.66	0.00	3.66 50.0 1.83
12/11/2017	75501660	ABEL, STACEY		OPPENHEIMER DEVELOPING MARKETS FUND B	B	0.00	3.40	0.00	3.40 50.0 1.70
12/11/2017	75501660	ABEL, STACEY		THORNBURG INVT TR INTL VALUE FD CL B	B	0.00	11.47	0.00	11.47 50.0 5.74
12/14/2017	75501660	ABEL, STACEY		VAN ECK FDS GLOBAL ASST CL C	B	0.00	24.52	0.00	24.52 50.0 12.26
12/22/2017	75501660	ABEL, STACEY		**VICTORY PORTFOLIOS	B	0.00	2.11	0.00	2.11 50.0 1.06
12/11/2017	75501661	ABEL, STACEY		BLACKROCK GLOBAL ALLOCATION FUND IN B	B	0.00	1.56	0.00	1.56 50.0 0.78
12/11/2017	75501662	LOWENSTEIN, ALLAN		EATON VANCE TAX- MANAGED EQUITY ASS B	B	0.00	12.85	0.00	12.85 50.0 6.43
12/11/2017	75501662	LOWENSTEIN, ALLAN		LORD ABBETT AFFILIATED FUND CLASS A B	B	0.00	4.39	0.00	4.39 50.0 2.20
12/11/2017	75501747	STAUFFER, JUDITH		EATON VANCE UTILITIES FUND CLASS A B	B	0.00	4.32	0.00	4.32 50.0 2.16
12/11/2017	75501748	STAUFFER, JUDITH		MFS INTERNATIONAL VALUE FUND-A	B	0.00	1.21	0.00	1.21 50.0 0.61
12/11/2017	75501750	STAUFFER, ROBERT		MFS INTERNATIONAL VALUE FUND-A	B	0.00	1.43	0.00	1.43 50.0 0.72
12/11/2017	75501812	HALL, RUTH		INTERMEDIATE BOND FUND OF AMERICA-A B	B	0.00	3.29	0.00	3.29 50.0 1.65
12/11/2017	75501825	SEPTIEN, ALFREDO		**GUGGENHEIM FDS TR	B	0.00	0.76	0.00	0.76 50.0 0.00
12/11/2017	75501825	SEPTIEN, ALFREDO		**PRUDENTIAL JENNISON 20/20	B	0.00	0.92	0.00	0.92 50.0 0.00
12/11/2017	75501825	SEPTIEN, ALFREDO		CAPITAL WORLD GROWTH AND INCOME FUN B	B	0.00	1.51	0.00	1.51 50.0 0.76
12/11/2017	75501825	SEPTIEN, ALFREDO		NEW WORLD FUND-A	B	0.00	1.19	0.00	1.19 50.0 0.60
12/11/2017	75501847	GINSBURG, VIVIAN		CAPITAL WORLD GROWTH AND INCOME FUN B	B	0.00	0.87	0.00	0.87 50.0 0.00
12/11/2017	75501847	GINSBURG, VIVIAN		THE HARTFORD MID CAP FUND-A	B	0.00	1.09	0.00	1.09 50.0 0.55

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										
12/11/2017	75501848	JONAS, HILDA	JOHN HANCOCK FDS III JHF III SMALL	B	0.00	1.26	0.00	1.26	50.0	0.63
12/11/2017	75501853	FARKAS, RONALD	BLACKROCK MULTI ST MUN SER TR PA MU	B	0.00	2.39	0.00	2.39	50.0	1.20
12/11/2017	75501896	BLUM, STACEY	THE HARTFORD MID CAP FUND-A	B	0.00	2.69	0.00	2.69	50.0	1.35
12/11/2017	75501898	LIBOVE, MICHAEL	FIDELITY ADVISOR SMALL CAP FUND CLA	B	0.00	5.11	0.00	5.11	50.0	2.56
12/11/2017	75501898	LIBOVE, MICHAEL	THE INCOME FUND OF AMERICA-A	B	0.00	0.64	0.00	0.64	50.0	0.00
12/11/2017	75501899	O'NEILL, LINDA	**AMG MANAGERS CADENCE MID CAP	B	0.00	5.31	0.00	5.31	50.0	2.66
12/11/2017	75501899	O'NEILL, LINDA	**PRUDENTIAL JENNISON 20/20	B	0.00	4.74	0.00	4.74	50.0	2.37
12/11/2017	75501899	O'NEILL, LINDA	CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	2.92	0.00	2.92	50.0	1.46
12/11/2017	75501899	O'NEILL, LINDA	NEW PERSPECTIVE FUND-A	B	0.00	11.44	0.00	11.44	50.0	5.72
12/11/2017	75501899	O'NEILL, LINDA	NEW WORLD FUND-A	B	0.00	2.96	0.00	2.96	50.0	1.48
12/11/2017	75501899	O'NEILL, LINDA	OPPENHEIMER DEVELOPING MARKETS CLAS	B	0.00	2.78	0.00	2.78	50.0	1.39
12/11/2017	75501899	O'NEILL, LINDA	THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	3.18	0.00	3.18	50.0	1.59
12/11/2017	75501902	ARMSTRONG, AMANDA	ALLIANZ NFJ LARGE CAP VALUE FUND CL	B	0.00	1.30	0.00	1.30	50.0	0.65
12/11/2017	75501902	ARMSTRONG, AMANDA	JANUS INVT FD HENDERSON INTL OPPRTN	B	0.00	1.18	0.00	1.18	50.0	0.59
12/11/2017	75501902	ARMSTRONG, AMANDA	TEMP GLOBAL BOND FND - CL A	B	0.00	1.03	0.00	1.03	50.0	0.52
12/11/2017	75501902	ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A	B	0.00	1.01	0.00	1.01	50.0	0.51
12/11/2017	75501902	ARMSTRONG, AMANDA	THE HARTFORD MID CAP FUND-A	B	0.00	6.23	0.00	6.23	50.0	3.12
12/11/2017	75501902	ARMSTRONG, AMANDA	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	2.39	0.00	2.39	50.0	1.20
12/22/2017	75501902	ARMSTRONG, AMANDA	**VICTORY PORTFOLIOS	B	0.00	0.98	0.00	0.98	50.0	0.00
12/11/2017	75501903	ARMSTRONG, AMANDA	**GUGGENHEIM FDS TR	B	0.00	1.65	0.00	1.65	50.0	0.83
12/11/2017	75501903	ARMSTRONG, AMANDA	EUROPACIFIC GROWTH FUND-A	B	0.00	1.56	0.00	1.56	50.0	0.78
12/11/2017	75501903	ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A	B	0.00	2.27	0.00	2.27	50.0	1.14
12/11/2017	75501905	TANCREDI, NICHOLAS	CAPITAL INCOME A	B	0.00	2.19	0.00	2.19	50.0	1.10
12/11/2017	75501905	TANCREDI, NICHOLAS	GLOBAL FUND A	B	0.00	1.66	0.00	1.66	50.0	0.83
12/11/2017	75501905	TANCREDI, NICHOLAS	GLOBAL OPPORTUNITIES A	B	0.00	5.06	0.00	5.06	50.0	2.53
12/11/2017	75501905	TANCREDI, NICHOLAS	LORD ABBETT INVT TR TOTAL RETURN FU	B	0.00	0.92	0.00	0.92	50.0	0.00
12/11/2017	75501905	TANCREDI, NICHOLAS	OPPENHEIMER 68380L100	B	0.00	1.47	0.00	1.47	50.0	0.74
12/11/2017	75501905	TANCREDI, NICHOLAS	OPPENHEIMER DEVELOPING MARKETS CLAS	B	0.00	2.75	0.00	2.75	50.0	1.38
12/11/2017	75501905	TANCREDI, NICHOLAS	THE HARTFORD CAPITAL APPRECIATION F	B	0.00	2.63	0.00	2.63	50.0	1.32
12/11/2017	75501905	TANCREDI, NICHOLAS	THE HARTFORD FLOATING RATE FUND - A	B	0.00	1.50	0.00	1.50	50.0	0.75
12/11/2017	75501965	JACKSON, ROSALYN	**GUGGENHEIM FDS TR	B	0.00	1.00	0.00	1.00	50.0	0.00
12/11/2017	75501965	JACKSON, ROSALYN	DAVIS NEW YORK VENTURE CLASS A	B	0.00	1.17	0.00	1.17	50.0	0.59
12/11/2017	75501965	JACKSON, ROSALYN	FIRST EAGLE GLOBAL FUND CLASS C	B	0.00	6.08	0.00	6.08	50.0	3.04
12/11/2017	75501995	SEPTIEN, ALEC	**GUGGENHEIM FDS TR	B	0.00	0.57	0.00	0.57	50.0	0.00
12/11/2017	75501995	SEPTIEN, ALEC	NEW WORLD FUND-A	B	0.00	0.87	0.00	0.87	50.0	0.00
12/11/2017	75502077	GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	8.71	0.00	8.71	50.0	4.36
12/11/2017	75502077	GINSBURG, VIVIAN	EATON VANCE LARGE CAP VALUE FUND CL	B	0.00	1.44	0.00	1.44	50.0	0.72
12/11/2017	75502077	GINSBURG, VIVIAN	EATON VANCE NATIONAL MUNICIPAL FUND	B	0.00	8.03	0.00	8.03	50.0	4.02
12/11/2017	75502077	GINSBURG, VIVIAN	FRK FL TF INC FND - CL A	B	0.00	3.45	0.00	3.45	50.0	1.73
12/11/2017	75502077	GINSBURG, VIVIAN	HIGH YIELD A	B	0.00	3.30	0.00	3.30	50.0	1.65

COMMISSION STATEMENT for JANICE GINSBURG

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

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/11/2017	75502077	GINSBURG, VIVIAN		INCOME FUND AMER INC CL F1	B	0.00	10.58	0.00	10.58	50.0	5.29
12/11/2017	75502077	GINSBURG, VIVIAN		MFS HIGH-YIELD OPPORTUNITIES FUND C	B	0.00	0.89	0.00	0.89	50.0	0.00
12/11/2017	75502077	GINSBURG, VIVIAN		THE HARTFORD MID CAP FUND-A	B	0.00	2.69	0.00	2.69	50.0	1.35
12/11/2017	75502084	TREICHLER, CHARLES		ALLIANZ NFJ LARGE CAP VALUE FUND CL	B	0.00	2.73	0.00	2.73	50.0	1.37
12/11/2017	75502084	TREICHLER, CHARLES		SHORT-TERM BOND FUND OF AMERICA - A	B	0.00	0.99	0.00	0.99	50.0	0.00
12/11/2017	75502085	GINSBURG, JANICE		**PRUDENTIAL JENNISON 20/20	B	0.00	2.00	0.00	2.00	50.0	1.00
12/11/2017	75502085	GINSBURG, JANICE		MAINSTAY MAP FUND A	B	0.00	1.85	0.00	1.85	50.0	0.93
12/11/2017	75502085	GINSBURG, JANICE		OPPENHEIMER DEVELOPING MARKETS CLAS	B	0.00	1.19	0.00	1.19	50.0	0.60
12/22/2017	75502085	GINSBURG, JANICE		**VICTORY PORTFOLIOS MUNDER	B	0.00	1.10	0.00	1.10	50.0	0.55
				* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$1,510.24	\$0.00	\$1,510.24		\$745.10
				*** BROKER TRANSACTIONS TOTAL ***		\$145,161.39	\$5,426.21	\$0.00	\$5,426.21		\$2,703.09

ADJUSTMENTS

12/31/2017	OTHER: OTHER-ADVISORY EXPENSE	0.00	0.00	0.00	0.00	-413.26
12/31/2017	:	0.00	0.00	0.00	0.00	0.00
	*** ADJUSTMENTS TOTAL ***	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$-413.26</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$2,703.09
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-413.26
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-6.78
SIPC Assessment	\$-13.57

Check Amount	\$2,269.48
Year-to-date Earnings	\$13,169.73