



COMMISSION STATEMENT

April 23, 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>								
04/09/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063412117	BUY 3 Units @32.5300						
04/09/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063451518	BUY 3 Units @32.5300						
04/10/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	225.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 04000591533	BUY 8 Units @28.8100						
04/09/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	187.00	1.87	0.00	1.87	80.0	1.50
	ACCOUNT #: 00073003754	BUY 7 Units @26.4900						
04/10/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	80.0	0.33
	ACCOUNT #: 00089051066	BUY 2 Units @26.7200						
04/10/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	80.0	0.96
	ACCOUNT #: 00089910177	BUY 4 Units @26.7200						
04/10/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	4.00	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00089051066	BUY 0 Units @26.7200						
04/12/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	80.0	0.33
	ACCOUNT #: 00089051066	BUY 2 Units @26.7500						
04/12/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	4.00	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00089051066	BUY 0 Units @26.7500						
04/12/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089045192	BUY 1 Units @26.7500						
04/12/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	12.95	0.13	0.00	0.13	80.0	0.10
	ACCOUNT #: 00089583477	BUY 0 Units @26.7500						
04/16/2018	***-**-80IR - ROBERTS,	AMERICAN BALANCED FUND-C	90.00	0.90	3.00	-2.10	100.0	-2.10
	ACCOUNT #: LSR011795	BUY 3 Units @26.8500						
04/10/2018	***-**-7063 - ZIOTO, JULIA	AMERICAN GLOBAL BALANCED CL C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 04000322984	BUY 3 Units @32.6400						
04/09/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @38.8600						
04/02/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
04/02/2018	***-**-772I - KERHAERT,	CAPITAL APPRECIATION C	75.00	0.75	0.00	0.75	80.0	0.60
	ACCOUNT #: 03222178044	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/02/2018	***-**-9206 - SANDER, DAVID	CAPITAL APPRECIATION C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 03222178055	BUY 0 Units @0.0000						
04/02/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	68.00	0.68	0.00	0.68	80.0	0.54
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						
04/02/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
04/02/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION C	61.61	0.62	0.00	0.62	80.0	0.50
	ACCOUNT #: 03222325444	BUY 0 Units @0.0000						
04/13/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
04/13/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	68.00	0.68	0.00	0.68	80.0	0.54
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						
04/13/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
04/10/2018	***-**-355P - RUSH, DONNA	CAPITAL INCOME BUILDER CLASS C	3,855.65	38.56	0.00	38.56	80.0	30.85
	ACCOUNT #: 00075148100	BUY 63 Units @61.2300						
04/09/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063412117	BUY 1 Units @20.5900						
04/09/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 1 Units @20.5900						
04/10/2018	***-**-355P - RUSH, DONNA	CAPITAL WORLD BOND FUND-C	3,855.65	38.56	0.00	38.56	80.0	30.85
	ACCOUNT #: 00075148100	BUY 194 Units @19.9200						
04/10/2018	***-**-425P - MEEKS, PERDITA	CAPITAL WORLD GROWTH AND INCOME FUN	12.50	0.63	0.00	0.63	80.0	0.50
	ACCOUNT #: 00074210167	BUY 0 Units @54.8900						
04/10/2018	***-**-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 @51.1600						
04/12/2018	***-**-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 @51.1700						
04/02/2018	***-**-85IN - MAZZOLA, BARBARA	EMERGING MARKETS INNOVATORS FUND C	7.50	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00100051019	BUY 0 Units @0.0000						
04/13/2018	***-**-85IN - MAZZOLA, BARBARA	EMERGING MARKETS INNOVATORS FUND C	7.50	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00100051019	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/02/2018	***-**-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						
04/02/2018	***-**-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						
04/09/2018	***-**-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00063412117	BUY 1 Units @57.5900						
04/09/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00063451518	BUY 1 Units @57.5900						
04/09/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	80.0	1.28
	ACCOUNT #: 00063412117	BUY 2 Units @62.2400						
04/09/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	80.0	1.28
	ACCOUNT #: 00063451518	BUY 2 Units @62.2400						
04/09/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @60.9800						
04/10/2018	***-**-617I - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	225.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 04000591484	BUY 4 Units @61.9800						
04/10/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @61.9800						
04/10/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @61.9800						
04/12/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @62.1700						
04/12/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @62.1700						
04/02/2018	***-**-85IN - MAZZOLA, BARBARA	GLOBAL OPPORTUNITIES FUND C	15.00	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 02171893331	BUY 0 Units @0.0000						
04/02/2018	***-**-9206 - SANDER, DAVID	GLOBAL OPPORTUNITIES FUND C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 02171629936	BUY 0 Units @0.0000						
04/02/2018	***-**-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						
04/02/2018	***-**-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						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/02/2018	***-**-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						
04/02/2018	***-**-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						
04/02/2018	***-**-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						
04/13/2018	***-**-85IN - MAZZOLA, BARBARA	GLOBAL OPPORTUNITIES FUND C	15.00	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 02171893331	BUY 0 Units @0.0000						
04/13/2018	***-**-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						
04/09/2018	***-**-564I - CARNEY, BARBARA	INVESTMENT COMPANY OF AMERICA CLASS	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089563161	BUY 0 Units @38.9400						
04/12/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	12.58	0.13	0.00	0.13	80.0	0.10
	ACCOUNT #: 00089583477	BUY 0 Units @39.6200						
04/02/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
04/02/2018	***-**-9206 - SANDER, DAVID	MAIN STREET FUND C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 07024170947	BUY 0 Units @0.0000						
04/02/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
04/02/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	77.02	0.77	0.00	0.77	80.0	0.62
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						
04/02/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
04/02/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
04/02/2018	***-**-2620 - CUSIMANO, MEGAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
04/02/2018	***-**-9530 - MILAM, IAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024469113	BUY 0 Units @0.0000						
04/13/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/13/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
04/09/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063412117	BUY 1 Units @44.4800						
04/09/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 1 Units @44.4800						
04/10/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @42.6800						
04/10/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @42.6800						
04/12/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @42.7700						
04/12/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @42.7700						
04/18/2018	***-**-2942 - WARNEY, KENNETH	NYA JPM 529 AGGR AGE-BASE C	100.00	4.05	0.00	4.05	80.0	3.24
	ACCOUNT #: 77932712101	BUY 0 Units @0.0000						
04/18/2018	***-**-2942 - WARNEY, KENNETH	NYA JPM 529 COLLEGE AGE-BASED P A	250.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 77932712101	BUY 0 Units @0.0000						
04/18/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 EQUITY INCOME PORTF C	277.04	2.78	0.00	2.78	80.0	2.22
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
04/18/2018	***-**-6352 - GINERVA, ENZA	NYA JPM 529 EQUITY INCOME PORTF C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 77766297801	BUY 0 Units @0.0000						
04/18/2018	***-**-503J - OBI, JEAN	NYA JPM 529 MOD AGE-BASED A	50.00	2.38	0.00	2.38	80.0	1.90
		BUY 0 Units @0.0000						
04/18/2018	***-**-6793 - ESTEP, ARDEN	NYA JPM 529 MOD AGE-BASED A	50.00	0.50	0.00	0.50	80.0	0.40
		BUY 0 Units @0.0000						
04/18/2018	***-**-80IN - MOYER, COLLEEN	NYA JPM 529 MOD AGE-BASED A	50.00	1.52	0.00	1.52	80.0	1.22
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
04/18/2018	***-**-015P - FANTAUZZO,	NYA JPM 529 REALTY INCOME PORTF C	165.00	1.65	0.00	1.65	80.0	1.32
	ACCOUNT #: 77529133201	BUY 0 Units @0.0000						
04/02/2018	***-**-3407 - SUTTELL, 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						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/02/2018	***-**-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						
04/02/2018	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD C	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 06670037664	BUY 0 Units @0.0000						
04/02/2018	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD C	225.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 06670037675	BUY 0 Units @0.0000						
04/02/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD C	225.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 06670037686	BUY 0 Units @0.0000						
04/13/2018	***-**-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						
04/13/2018	***-**-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						
04/02/2018	***-**-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						
04/13/2018	***-**-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						
04/02/2018	***-**-85IN - MAZZOLA, BARBARA	OPPENHEIMER INTERNATIONAL DIVERSIFI	7.50	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 01971104114	BUY 0 Units @0.0000						
04/13/2018	***-**-85IN - MAZZOLA, BARBARA	OPPENHEIMER INTERNATIONAL DIVERSIFI	7.50	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 01971104114	BUY 0 Units @0.0000						
04/02/2018	***-**-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						
04/02/2018	***-**-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						
04/02/2018	***-**-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						
04/02/2018	***-**-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						
04/02/2018	***-**-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						
04/02/2018	***-**-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						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/13/2018	***-**-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						
04/02/2018	***-**-772I - KERHAERT,	QUEST BALANCED FUND C	75.00	0.75	0.00	0.75	80.0	0.60
	ACCOUNT #: 02592262304	BUY 0 Units @0.0000						
04/02/2018	***-**-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						
04/02/2018	***-**-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						
04/02/2018	***-**-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						
04/02/2018	***-**-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						
04/13/2018	***-**-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						
04/02/2018	***-**-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						
04/02/2018	***-**-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						
04/13/2018	***-**-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						
04/10/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @49.9200						
04/10/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @49.9200						
04/12/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @50.0800						
04/12/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @50.0800						
04/02/2018	***-**-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						
04/02/2018	***-**-9206 - SANDER, DAVID	STRATEGIC INCOME FUND C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 02322653794	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/02/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 02322751089	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	125.00	1.25	0.00	1.25	80.0	1.00
04/13/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 01920863291	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	10.00	0.10	0.00	0.10	80.0	0.08
04/09/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 3 Units @12.8200	44.50	0.53	0.00	0.53	80.0	0.42
04/09/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 3 Units @12.8200	44.50	0.53	0.00	0.53	80.0	0.42
04/09/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE GROWTH FUND OF AMERICA-A BUY 1 Units @51.1700	66.75	0.80	0.00	0.80	80.0	0.64
04/09/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE GROWTH FUND OF AMERICA-A BUY 1 Units @51.1700	66.75	0.80	0.00	0.80	80.0	0.64
04/10/2018	***-**-425P - MEEKS, PERDITA ACCOUNT #: 00074210167	THE GROWTH FUND OF AMERICA-A BUY 0 Units @54.4000	12.50	0.63	0.00	0.63	80.0	0.50
04/11/2018	***-**-975P - COTTONE, MARIA ACCOUNT #: 00086606929	THE GROWTH FUND OF AMERICA-A BUY 4 Units @53.5400	200.00	7.50	0.00	7.50	80.0	6.00
04/11/2018	***-**-975P - COTTONE, MARIA ACCOUNT #: 00086606929	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.5400	51.84	1.94	0.00	1.94	80.0	1.55
04/09/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	THE GROWTH FUND OF AMERICA-C BUY 0 Units @46.6400	10.00	0.10	0.00	0.10	80.0	0.08
04/09/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	THE GROWTH FUND OF AMERICA-C BUY 4 Units @46.6400	176.00	1.76	0.00	1.76	80.0	1.41
04/10/2018	***-**-6171 - ROWE, KEVIN ACCOUNT #: 04000591484	THE GROWTH FUND OF AMERICA-C BUY 5 Units @47.4500	225.00	2.25	0.00	2.25	80.0	1.80
04/10/2018	***-**-8208 - KARNS, SHANNON ACCOUNT #: 04000591533	THE GROWTH FUND OF AMERICA-C BUY 5 Units @47.4500	225.00	2.25	0.00	2.25	80.0	1.80
04/10/2018	***-**-50IN - BONACCI, ACCOUNT #: 00089947853	THE GROWTH FUND OF AMERICA-C BUY 2 Units @47.4500	100.00	1.00	0.00	1.00	80.0	0.80
04/10/2018	***-**-1307 - BONACCI, ACCOUNT #: 00087952601	THE GROWTH FUND OF AMERICA-C BUY 2 Units @47.4500	100.00	1.00	0.00	1.00	80.0	0.80
04/12/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	THE GROWTH FUND OF AMERICA-C BUY 0 Units @47.6900	12.57	0.13	0.00	0.13	80.0	0.10



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @47.6900	15.00	0.15	0.00	0.15	80.0	0.12
04/09/2018	***-**-63IN - DIAMOND, ANN ACCOUNT #: 00085468057	U.S. GOVERNMENT SECURITIES FUND-C BUY 4 Units @13.3900	50.00	0.50	0.00	0.50	80.0	0.40
04/02/2018	***-**-9206 - SANDER, DAVID ACCOUNT #: 03770488829	VALUE FUND C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	80.0	0.80
04/09/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @44.0000	5.00	0.05	0.00	0.05	80.0	0.04
04/09/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	WASHINGTON MUTUAL INVESTORS FUND-C BUY 4 Units @44.0000	187.00	1.87	0.00	1.87	80.0	1.50
04/10/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @44.7000	40.00	0.40	0.00	0.40	80.0	0.32
04/10/2018	***-**-305P - MESH, RONALD ACCOUNT #: 00074720484	WASHINGTON MUTUAL INVESTORS FUND-C BUY 9 Units @44.7000	400.00	4.00	0.00	4.00	80.0	3.20
* MUTUAL FUNDS SUBTOTAL *			\$17,025.34	\$183.69	\$3.00	\$180.69		\$144.16
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
04/23/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	27.04	0.00	27.04	80.0	21.63
04/23/2018	***-**-19IN - LIPPA, MARISSA ACCOUNT #: LSR011011	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	80.0	0.96
04/23/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	5.88	0.00	5.88	80.0	4.70
04/23/2018	***-**-497J - WARNEY, KENNETH ACCOUNT #: LSR011248	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	3.66	0.00	3.66	80.0	2.93
04/23/2018	***-**-58IR - HINDERLAND, GARY ACCOUNT #: LSR011249	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	80.0	1.12
04/23/2018	***-**-283I - RICCI, GABRIELLE ACCOUNT #: LSR011473	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	2.22	0.00	2.22	80.0	1.78
04/23/2018	***-**-95IO - KELLY, COURTNEY ACCOUNT #: LSR011685	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	3.04	0.00	3.04	80.0	2.43
04/23/2018	***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	23.20	0.00	23.20	80.0	18.56



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-80IN - MOYER, COLLEEN ACCOUNT #: LSR011724	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	12.97	0.00	12.97	80.0	10.38
04/23/2018	***-**-80IR - MOYER, COLLEEN ACCOUNT #: LSR011726	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	14.89	0.00	14.89	80.0	11.91
04/23/2018	***-**-92IR - CHEN, CYNTHIA ACCOUNT #: LSR011784	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	80.0	0.96
04/23/2018	***-**-80IR - ROBERTS, ACCOUNT #: LSR011795	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	0.19	0.00	0.19	80.0	0.15
04/23/2018	***-**-11IN - RUSSELL, ALAN ACCOUNT #: LSR011417	AMERICAN FUND TAX - EXEMPT FUND OF BUY 1 Units @0.0000	0.00	0.11	0.00	0.11	80.0	0.09
04/23/2018	***-**-61IN - OLIVERI, WILLIAM ACCOUNT #: LSR011543	AMERICAN HIGH INCOME MUNI BOND CLAS BUY 1 Units @0.0000	0.00	104.77	0.00	104.77	80.0	83.82
04/23/2018	***-**-306I - SINCLAIR, ACCOUNT #: LSR010992	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	5.23	0.00	5.23	80.0	4.18
04/23/2018	***-**-05IO - KIMBLE, LONNY ACCOUNT #: LSR011472	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	58.35	0.00	58.35	80.0	46.68
04/23/2018	***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	21.61	0.00	21.61	80.0	17.29
04/23/2018	***-**-80IN - MOYER, COLLEEN ACCOUNT #: LSR011724	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	12.05	0.00	12.05	80.0	9.64
04/23/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	28.28	0.00	28.28	80.0	22.62
04/23/2018	***-**-44IR - ROBERTSON, ACCOUNT #: LSR010558	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	1.63	0.00	1.63	80.0	1.30
04/23/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	7.47	0.00	7.47	80.0	5.98
04/23/2018	***-**-497J - WARNEY, KENNETH ACCOUNT #: LSR011248	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	1.42	0.00	1.42	80.0	1.14
04/23/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	94.66	0.00	94.66	80.0	75.73
04/23/2018	***-**-306I - SINCLAIR, ACCOUNT #: LSR010992	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.35	0.00	5.35	80.0	4.28



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-18IO - TAYLOR, GREGORY	CAPITAL INCOME BUILDER-A	0.00	6.71	0.00	6.71	80.0	5.37
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
04/23/2018	***-**-92IR - CHEN, CYNTHIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.30	0.00	1.30	80.0	1.04
	ACCOUNT #: LSR011784	BUY 1 Units @0.0000						
04/23/2018	***-**-63IR - DIAMOND, ANN	FEDERATED STRATEGIC INCOME FUND CLA	0.00	0.64	0.00	0.64	80.0	0.51
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
04/23/2018	***-**-18IO - TAYLOR, GREGORY	FUNDAMENTAL INVESTORS-C	0.00	25.29	0.00	25.29	80.0	20.23
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
04/23/2018	***-**-80IN - MOYER, COLLEEN	FUNDAMENTAL INVESTORS-C	0.00	14.13	0.00	14.13	80.0	11.30
	ACCOUNT #: LSR011724	BUY 1 Units @0.0000						
04/23/2018	***-**-80IR - MOYER, COLLEEN	FUNDAMENTAL INVESTORS-C	0.00	8.04	0.00	8.04	80.0	6.43
	ACCOUNT #: LSR011726	BUY 1 Units @0.0000						
04/23/2018	***-**-92IR - CHEN, CYNTHIA	GLOBAL OPPORTUNITIES A	0.00	1.97	0.00	1.97	80.0	1.58
	ACCOUNT #: LSR011412	BUY 1 Units @0.0000						
04/23/2018	***-**-14IN - BENEDETTO,	INCOME FUND OF AMERICA CLASS C	0.00	99.82	0.00	99.82	80.0	79.86
	ACCOUNT #: LSR010421	BUY 1 Units @0.0000						
04/23/2018	***-**-306I - SINCLAIR,	INCOME FUND OF AMERICA CLASS C	0.00	5.49	0.00	5.49	80.0	4.39
	ACCOUNT #: LSR010992	BUY 1 Units @0.0000						
04/23/2018	***-**-05IO - KIMBLE, LONNY	INCOME FUND OF AMERICA CLASS C	0.00	59.83	0.00	59.83	80.0	47.86
	ACCOUNT #: LSR011472	BUY 1 Units @0.0000						
04/23/2018	***-**-70UT - GALLETTS CUST,	INVESTMENT COMPANY OF AMERICA CLASS	0.00	7.06	0.00	7.06	80.0	5.65
	ACCOUNT #: LSR011191	BUY 1 Units @0.0000						
04/23/2018	***-**-92IR - CRISPINO, FBO	NEW PERSPECTIVE FUND-C	0.00	12.54	0.00	12.54	80.0	10.03
	ACCOUNT #: LSR011073	BUY 1 Units @0.0000						
04/23/2018	***-**-61IO - BONACCI, FBO	NEW PERSPECTIVE FUND-C	0.00	5.59	0.00	5.59	80.0	4.47
	ACCOUNT #: LSR011143	BUY 1 Units @0.0000						
04/23/2018	***-**-825P - CRISPINO, DIANA	NEW PERSPECTIVE FUND-C	0.00	6.00	0.00	6.00	80.0	4.80
	ACCOUNT #: LSR011759	BUY 1 Units @0.0000						
04/02/2018	***-**-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						
04/13/2018	***-**-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						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-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						
04/23/2018	***-**-20IN - GIANGRECO, TERRY	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	106.58	0.00	106.58	80.0	85.26
	ACCOUNT #: LSR010603	BUY 1 Units @0.0000						
04/23/2018	***-**-92IR - CHEN, CYNTHIA	SELECT VALUE FUND A	0.00	1.20	0.00	1.20	80.0	0.96
	ACCOUNT #: LSR011412	BUY 1 Units @0.0000						
04/23/2018	***-**-61IO - BONACCI, FBO	THE BOND FUND OF AMERICA-C	0.00	6.03	0.00	6.03	80.0	4.82
	ACCOUNT #: LSR011143	BUY 1 Units @0.0000						
04/23/2018	***-**-497J - WARNEY, KENNETH	THE GROWTH FUND OF AMERICA-C	0.00	1.44	0.00	1.44	80.0	1.15
	ACCOUNT #: LSR011248	BUY 1 Units @0.0000						
04/23/2018	***-**-283I - RICCI, GABRIELLE	THE GROWTH FUND OF AMERICA-C	0.00	3.98	0.00	3.98	80.0	3.18
	ACCOUNT #: LSR011473	BUY 1 Units @0.0000						
04/23/2018	***-**-20IN - GIANGRECO, TERRY	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	369.00	0.00	369.00	80.0	295.20
	ACCOUNT #: LSR010603	BUY 1 Units @0.0000						
04/23/2018	***-**-61IN - OLIVERI, WILLIAM	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	152.92	0.00	152.92	80.0	122.34
	ACCOUNT #: LSR011543	BUY 1 Units @0.0000						
04/23/2018	***-**-69IN - BUCK, LESLIE	TOUCHSTONE TRAILS	0.00	3.20	0.00	3.20	80.0	2.56
		BUY 0 Units @0.0000						
04/23/2018	***-**-80IR - MOYER, COLLEEN	WASHINGTON MUTUAL INVESTORS FUND-C	0.00	7.81	0.00	7.81	80.0	6.25
	ACCOUNT #: LSR011726	BUY 1 Units @0.0000						
04/23/2018	***-**-92IR - CHEN, CYNTHIA	WASHINGTON MUTUAL INVESTORS FUND-C	0.00	1.24	0.00	1.24	80.0	0.99
	ACCOUNT #: LSR011784	BUY 1 Units @0.0000						
04/06/2018	***-**-27IN - TINKLEPAUGH,	WELLS FGO AVTG DIVERSFD CAPITAL BLD	0.00	1.12	0.00	1.12	80.0	0.90
	ACCOUNT #: 01005412974	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$50.00	\$1,347.49	\$0.00	\$1,347.49		\$1,077.98
*** BROKER TRANSACTIONS TOTAL ***			\$17,075.34	\$1,531.18	\$3.00	\$1,528.18		\$1,222.14



BROKER #: 417
BRANCH #01016 - 16 - CASPER

			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$1,222.14
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$0.00
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$1,222.14
						Year-to-date Earnings		\$75,335.53