

February 05, 2018

ANDREW KALINOWSKI

400 West Metro Park Rochester, NY 14623 BROKER #: 20

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TRA	NSACTIONS					
PRODUCT	CATEGORY: ALTERNATIVE INVEST	TMENTS						
02/01/201	18 ***-**-4651 - CAPPELLINO,	TERRA INCOME FUND 6, INC. BUY 0 Units @0.0000	5,000.00	34.40	0.00	34.40	95.0	32.68
		* ALTERNATIVE INVESTMENTS SUBTOTAL *	\$5,000.00	\$34.40	\$0.00	\$34.40		\$32.68
PRODUCT	CATEGORY: MUTUAL FUNDS							
01/22/201	18 ***-**-5142 - WASHINGTON ACCOUNT #: 08353172444	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	25.00	1.19	0.00	1.19	95.0	1.13
01/22/201	18 ***-**-575I - PALELLA, CHARLES ACCOUNT #: 08350895037	S EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	250.00	10.00	0.00	10.00	95.0	9.50
01/30/201	18 ***-**-9281 - RUSSELL, AMY ACCOUNT #: 08370662827	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	95.0	0.24
01/29/201	18 ***-**-9061 - BROWN, WINSTON ACCOUNT #: 04104629482	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	30.00	1.43	0.00	1.43	95.0	1.36
01/22/201	18 ***-**-5142 - WASHINGTON ACCOUNT #: 08810288553	INTERNATIONAL BOND A BUY 0 Units @0.0000	25.00	1.00	0.00	1.00	95.0	0.95
01/22/201	18 ***-**-9061 - BROWN, WINSTON ACCOUNT #: 02365535387	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	30.00	1.43	0.00	1.43	95.0	1.36
01/29/201	18 ***-**-6657 - THOMAS, ALEXIS ACCOUNT #: 02254036945	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	25.00	1.19	0.00	1.19	95.0	1.13
01/16/201	18 ***-**-7727 - CUMMINGS, ACCOUNT #: 03670723437	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	95.0	0.95
01/22/201	18 ***-**-3942 - HIBBERT, LEONA ACCOUNT #: 03670462660	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	95.0	0.48
01/29/201	18 ***-**-6657 - THOMAS, ALEXIS ACCOUNT #: 03670742027	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	95.0	0.24
01/30/201	18 ***-**-7727 - CUMMINGS, ACCOUNT #: 03670723437	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	95.0	0.95
01/30/201	18 ***-**-9281 - RUSSELL, AMY ACCOUNT #: 02932131646	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	10.00	0.10	0.00	0.10	95.0	0.10
01/22/201	18 ***-**-5142 - WASHINGTON ACCOUNT #: 07211008854	SMALL- & MID-CAP GROWTH FUND A BUY 0 Units @0.0000	25.00	1.19	0.00	1.19	95.0	1.13
01/30/201	L8 ***-**-9281 - RUSSELL, AMY ACCOUNT #: 03770519816	VALUE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	95.0	0.24



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		* MUTUAL FUNDS SUBTOTAL *	\$745.00	\$20.78	\$0.00	\$20.78		\$19.76
PRODUCT	CATEGORY: VARIABLE ANNUITIE	<u>s</u>						
01/30/201	.8 ***-**-5751 - PALELLA, CHARLE ACCOUNT #: E1764889	S PRUDENTIAL VA TRAILS 74429P144 BUY 0 Units @0.0000	100.00	0.00	0.00	0.00	95.0	0.00
01/16/201	8 ***-**-1169 - THOMAS, ANDREW ACCOUNT #: 8027874	SBL 814121364 BUY 0 Units @0.0000	1,428.28	21.40	0.00	21.40	95.0	20.33
		* VARIABLE ANNUITIES SUBTOTAL *	\$1,528.28	\$21.40	\$0.00	\$21.40		\$20.33
PRODUCT	CATEGORY: VARIABLE UNIVERSA	L LIFE						
02/02/201	.8 ***-**-826I - NOEL, DARIN	VOYA INS TRAILS BUY 1 Units @0.0000	0.00	7.08	0.00	7.08	95.0	6.73
		* VARIABLE UNIVERSAL LIFE SUBTOTAL *	\$0.00	\$7.08	\$0.00	\$7.08		\$6.73
PRODUCT	CATEGORY: VARIABLE ANNUITY	12B1 TRAILS						
01/31/201	.8 ***-**-06IN - VANROO, PAT ACCOUNT #: 70043637	JOHN HANCOCK 41013R406 BUY 0 Units @0.0000	0.00	76.69	0.00	76.69	95.0	72.86
	* VA	ARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$76.69	\$0.00	\$76.69		\$72.86
		*** BROKER TRANSACTIONS TOTAL ***	\$7,273.28	\$160.35	\$0.00	\$160.35		\$152.36
		OVERRIDE TR	ANSACTIONS					
BROKER:	RICHARD BIRNS							
01/31/201	.8 ***-**-1071 - GERAKARIS, ACCOUNT #: 2419387	JOHN HANCOCK 41014C143 BUY 0 Units @0.0000	0.00	2.03	0.00	2.03	20.0	0.41
		* RICHARD BIRNS SUBTOTAL *	\$0.00	\$2.03	\$0.00	\$2.03		\$0.41
BROKER:	BARRY BRESIN							
01/31/201	.8 ***-**-1801 - HALM, MATILDA ACCOUNT #: 029010125A	JACKSON 468511654 BUY 0 Units @0.0000	0.00	40.92	0.00	40.92	15.0	6.14
		* BARRY BRESIN SUBTOTAL *	\$0.00	\$40.92	\$0.00	\$40.92		\$6.14



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		OVERRIDE TRANS	SACTIONS (contir	nued)				
BROKER:	FREDERIC SCARPULLA							
01/25/201	L8 ***-**-4115 - ROWE, BRITTNEY ACCOUNT #: 04000409792	AMCAP FUND-C BUY 1 Units @30.0000	44.50	0.45	0.00	0.45	10.0	0.05
01/25/201	L8 ***-**-8208 - KARNS, SHANNON ACCOUNT #: 04000409714	AMCAP FUND-C BUY 16 Units @30.0000	480.00	4.80	0.00	4.80	10.0	0.48
01/25/201	18 ***-**-8208 - KARNS, SHANNON ACCOUNT #: 04000409714	AMCAP FUND-C BUY 1 Units @30.0000	15.80	0.16	0.00	0.16	10.0	0.02
01/22/201	18 ***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	AMERICAN BALANCED FUND-A BUY 1 Units @28.0600	20.00	0.20	0.00	0.20	10.0	0.02
01/22/201	18 ***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	AMERICAN BALANCED FUND-A BUY 0 Units @28.0600	10.00	0.10	0.00	0.10	10.0	0.01
01/24/201	8 ***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	AMERICAN BALANCED FUND-A BUY 17 Units @29.4500	500.00	18.75	0.00	18.75	10.0	1.88
01/22/201	8 ***-**-3834 - SWARTWOUT, ACCOUNT #: 00089957234	AMERICAN BALANCED FUND-C BUY 2 Units @27.8700	50.00	0.50	0.00	0.50	10.0	0.05
01/22/201	8 ***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @27.8700	20.60	0.21	0.00	0.21	10.0	0.02
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @27.8700	11.11	0.11	0.00	0.11	10.0	0.01
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @27.8700	59.60	0.60	0.00	0.60	10.0	0.06
01/22/201	18 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @27.8700	11.12	0.11	0.00	0.11	10.0	0.01
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @27.8700	59.60	0.60	0.00	0.60	10.0	0.06
01/22/201	18 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @27.8700	20.00	0.20	0.00	0.20	10.0	0.02
01/22/201	.8 ***-**-2459 - MASCARO, ANTHON ACCOUNT #: 00085904215	Y AMERICAN BALANCED FUND-C BUY 0 Units @27.8700	6.69	0.07	0.00	0.07	10.0	0.01
01/22/201	8 ***-**-2459 - MASCARO, ANTHON ACCOUNT #: 00085904215	Y AMERICAN BALANCED FUND-C BUY 1 Units @27.8700	20.00	0.20	0.00	0.20	10.0	0.02
01/22/201	18 ***-**-2081 - SHELHAMER, DIANI ACCOUNT #: 00085904210	E AMERICAN BALANCED FUND-C BUY 1 Units @27.8700	16.00	0.16	0.00	0.16	10.0	0.02



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		OVERRIDE TRANSACT	IONS (conti	nued)				
	FREDERIC SCARPULLA (continue							
01/22/201	8 ***-**-2081 - SHELHAMER, DIANI ACCOUNT #: 00085904210	E AMERICAN BALANCED FUND-C BUY 0 Units @27.8700	4.67	0.05	0.00	0.05	10.0	0.01
01/22/201	8 ***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @27.8700	6.00	0.06	0.00	0.06	10.0	0.01
01/22/201	8 ***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @27.8700	28.05	0.28	0.00	0.28	10.0	0.03
01/24/201	8 ***-**-3834 - SWARTWOUT, ACCOUNT #: 00089957234	AMERICAN BALANCED FUND-C BUY 2 Units @27.9300	50.00	0.50	0.00	0.50	10.0	0.05
01/24/201	8 ***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @27.9300	120.00	1.20	0.00	1.20	10.0	0.12
01/24/201	8 ***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @27.9300	-120.00	-1.20	0.00	-1.20	10.0	-0.12
01/24/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @27.9300	11.11	0.11	0.00	0.11	10.0	0.01
01/24/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @27.9300	59.60	0.60	0.00	0.60	10.0	0.06
01/24/201	8 ***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @27.9300	120.00	1.20	0.00	1.20	10.0	0.12
01/24/201	8 ***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @27.9300	120.00	1.20	0.00	1.20	10.0	0.12
01/25/201	8 ***-**-398I - GUERRIERI, PAUL ACCOUNT #: 00086040659	AMERICAN BALANCED FUND-C BUY 4 Units @27.9000	100.00	1.00	0.00	1.00	10.0	0.10
01/26/201	8 ***-**-5838 - SPOLETA, BRENDA ACCOUNT #: 00087435959	AMERICAN BALANCED FUND-C BUY 2 Units @28.1100	50.00	0.50	0.00	0.50	10.0	0.05
01/26/201	8 ***-**-5838 - SPOLETA, BRENDA ACCOUNT #: 00088037501	AMERICAN GLOBAL BALANCED CL C BUY 3 Units @34.1100	100.00	1.00	0.00	1.00	10.0	0.10
01/26/201	8 ***-**-5838 - SPOLETA, BRENDA ACCOUNT #: 00087435959	AMERICAN HIGH INCOME MUNI BOND CLAS BUY 3 Units @15.8500	50.00	0.50	0.00	0.50	10.0	0.05
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.4200	4.55	0.05	0.00	0.05	10.0	0.01
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.4200	105.00	1.05	0.00	1.05	10.0	0.11



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		OVERRIDE TRANSACT	IONS (conti	nued)				
BROKER:	FREDERIC SCARPULLA (continue	<u>ed)</u>						
01/26/201	.8 ***-**-5838 - SPOLETA, BRENDA ACCOUNT #: 00087435959	AMERICAN HIGH-INCOME TRUST-C BUY 5 Units @10.4500	50.00	0.50	0.00	0.50	10.0	0.05
01/22/201	8 ***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	AMERICAN MUTUAL FUND-A BUY 1 Units @42.6600	30.00	0.30	0.00	0.30	10.0	0.03
01/22/201	.8 ***-**-255P - EVANS, JAMES ACCOUNT #: 00066759711	AMERICAN MUTUAL FUND-A BUY 17 Units @42.6600	729.02	7.29	0.00	7.29	10.0	0.73
01/22/201	.8 ***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @42.0400	5.00	0.05	0.00	0.05	10.0	0.01
01/25/201	.8 ***-**-6781 - KARNS, DANIELLE ACCOUNT #: 04000409710	AMERICAN MUTUAL FUND-C BUY 1 Units @42.0600	59.13	0.59	0.00	0.59	10.0	0.06
01/25/201	8 ***-**-6781 - KARNS, DANIELLE ACCOUNT #: 04000409710	AMERICAN MUTUAL FUND-C BUY 0 Units @42.0600	7.88	0.08	0.00	0.08	10.0	0.01
01/17/201	.8 ***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 03222325444	CAPITAL APPRECIATION C BUY 0 Units @0.0000	61.61	0.62	0.00	0.62	10.0	0.06
01/19/201	.8 ***-**-7330 - JOHNSON, DONALD ACCOUNT #: 03220387068	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
01/19/201	.8 ***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03222192157	CAPITAL APPRECIATION C BUY 0 Units @0.0000	68.00	0.68	0.00	0.68	10.0	0.07
01/19/201	8 ***-**-1834 - BUTLER, KIM ACCOUNT #: 03222200176	CAPITAL APPRECIATION C BUY 0 Units @0.0000	20.00	0.20	0.00	0.20	10.0	0.02
01/22/201	8 ***-**-9611 - MACDUFFIE, LINDA ACCOUNT #: 00087299599	A CAPITAL INCOME BUILDER CLASS C BUY 5 Units @64.6300	300.00	3.00	0.00	3.00	10.0	0.30
01/26/201	8 ***-**-5838 - SPOLETA, BRENDA ACCOUNT #: 00088037501	CAPITAL INCOME BUILDER CLASS C BUY 2 Units @65.3800	100.00	1.00	0.00	1.00	10.0	0.10
01/22/201	.8 ***-**-0447 - LEVINE, JACQUE ACCOUNT #: 00084996765	CAPITAL INCOME BUILDER-A BUY 1 Units @67.6100	100.00	3.75	0.00	3.75	10.0	0.38
01/25/201	.8 ***-**-398I - GUERRIERI, PAUL ACCOUNT #: 00086040659	CAPITAL WORLD BOND FUND-C BUY 5 Units @19.9900	100.00	1.00	0.00	1.00	10.0	0.10
01/22/201	.8 ***-**-425P - MEEKS, PERDITA ACCOUNT #: 00074210167	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @57.3500	12.50	0.63	0.00	0.63	10.0	0.06
01/22/201	.8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @53.4500	15.00	0.15	0.00	0.15	10.0	0.02



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		OVERRIDE TRANSACT	IONS (conti	nued)				
BROKER:	FREDERIC SCARPULLA (continu	ed)						
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @53.4500	96.40	0.96	0.00	0.96	10.0	0.10
01/24/201	8 ***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @53.7200	40.00	0.40	0.00	0.40	10.0	0.04
01/24/201	8 ***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @53.7200	40.00	0.40	0.00	0.40	10.0	0.04
01/24/201	8 ***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @53.7200	40.00	0.40	0.00	0.40	10.0	0.04
01/24/201	8 ***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @53.7200	-40.00	-0.40	0.00	-0.40	10.0	-0.04
01/24/201	8 ***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	CAPITAL WORLD GROWTH AND INCOME FUN BUY 9 Units @53.7200	500.00	5.00	0.00	5.00	10.0	0.50
02/01/201	8 ***-**-526I - CAVALLARO, ACCOUNT #: 04000198669	EAGLE ASSET MGMNT TRAILS BUY 0 Units @0.0000	0.00	31.72	0.00	31.72	10.0	3.17
01/17/201	8 ***-**-729I - GIAMBRONE, KELL ACCOUNT #: 08370596090	Y EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	46.21	0.46	0.00	0.46	10.0	0.05
01/31/201	8 ***-**-6188 - ROBERTS, ACCOUNT #: 08370627385	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
01/22/201	8 ***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	EUROPACIFIC GROWTH FUND-A BUY 0 Units @59.7400	19.80	0.20	0.00	0.20	10.0	0.02
01/22/201	8 ***-**-495P - HARTER, EDWARD ACCOUNT #: 00066759710	FUNDAMENTAL INVESTORS-A BUY 0 Units @66.1700	25.00	0.25	0.00	0.25	10.0	0.03
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.7900	5.56	0.06	0.00	0.06	10.0	0.01
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.7900	29.80	0.30	0.00	0.30	10.0	0.03
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.7900	5.56	0.06	0.00	0.06	10.0	0.01
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.7900	29.80	0.30	0.00	0.30	10.0	0.03
01/22/201	8 ***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.7900	18.00	0.18	0.00	0.18	10.0	0.02



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BDOKED.	FREDERIC SCARPULLA (continue	OVERRIDE TRANSACT	TIONS (conti	nued)				
	8 ***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.7900	9.00	0.09	0.00	0.09	10.0	0.01
01/24/2018	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.9400	5.56	0.06	0.00	0.06	10.0	0.01
01/24/2018	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.9400	29.80	0.30	0.00	0.30	10.0	0.03
01/25/2018	8 ***-**-6171 - ROWE, KEVIN ACCOUNT #: 04000409801	FUNDAMENTAL INVESTORS-C BUY 1 Units @65.7200	53.00	0.53	0.00	0.53	10.0	0.05
01/25/2018	8 ***-**-6171 - ROWE, KEVIN ACCOUNT #: 04000409801	FUNDAMENTAL INVESTORS-C BUY 7 Units @65.7200	480.00	4.80	0.00	4.80	10.0	0.48
01/25/2018	8 ***-**-615P - LE, TU ACCOUNT #: 00075107985	FUNDAMENTAL INVESTORS-C BUY 1 Units @65.7200	50.00	0.50	0.00	0.50	10.0	0.05
01/17/2018	8 ***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 02171800557	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
01/17/2018	8 ***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 02171875445	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	77.02	0.77	0.00	0.77	10.0	0.08
01/19/2018	8 ***-**-7330 - JOHNSON, DONALD ACCOUNT #: 02171798599	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
01/22/2018	8 ***-**-90FB - DIODATO, CAROL ACCOUNT #: 02171777391	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
01/22/2018	8 ***-**-9530 - MILAM, IAN ACCOUNT #: 02171852708	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
01/22/2018	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 2 Units @23.8200	45.00	0.45	0.00	0.45	10.0	0.05
01/22/2018	8 ***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @42.1700	20.00	0.20	0.00	0.20	10.0	0.02
01/22/2018	8 ***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @42.1700	28.90	0.29	0.00	0.29	10.0	0.03
01/25/2018	8 ***-**-4115 - ROWE, BRITTNEY ACCOUNT #: 04000409792	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @42.2900	44.51	0.45	0.00	0.45	10.0	0.05
01/25/2018	8 ***-**-6781 - KARNS, DANIELLE ACCOUNT #: 04000409710	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @42.2900	59.14	0.59	0.00	0.59	10.0	0.06



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		OVERRIDE TRANSACT	IONS (conti	nued)				
	FREDERIC SCARPULLA (continue							
01/25/201	L8 ***-**-6781 - KARNS, DANIELLE ACCOUNT #: 04000409710	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @42.2900	7.89	0.08	0.00	0.08	10.0	0.01
01/25/201	L8 ***-**-3727 - D'ANGELO, ANDREW ACCOUNT #: 04000409699	I INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @42.2900	12.00	0.12	0.00	0.12	10.0	0.01
01/25/201	8 ***-**-3727 - D'ANGELO, ANDREW ACCOUNT #: 04000409699	I INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @42.2900	20.00	0.20	0.00	0.20	10.0	0.02
01/17/201	8 ***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 07024326366	MAIN STREET FUND C BUY 0 Units @0.0000	77.02	0.77	0.00	0.77	10.0	0.08
01/17/201	8 ***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 07024397338	MAIN STREET FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
01/19/201	8 ***-**-6603 - JOHNSON, TERRY ACCOUNT #: 07024184114	MAIN STREET FUND C BUY 0 Units @0.0000	66.00	0.66	0.00	0.66	10.0	0.07
01/19/201	8 ***-**-7330 - JOHNSON, DONALD ACCOUNT #: 07024393312	MAIN STREET FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
01/22/201	8 ***-**-4980 - MOYER, COLLEEN ACCOUNT #: 07024431823	MAIN STREET FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
01/22/201	8 ***-**-90FB - DIODATO, CAROL ACCOUNT #: 07024358024	MAIN STREET FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
01/22/201	8 ***-**-9530 - MILAM, IAN ACCOUNT #: 07024469113	MAIN STREET FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
01/22/201	8 ***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	NEW PERSPECTIVE FUND-A BUY 0 Units @46.3200	19.80	0.20	0.00	0.20	10.0	0.02
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.4900	5.55	0.06	0.00	0.06	10.0	0.01
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 1 Units @44.4900	29.80	0.30	0.00	0.30	10.0	0.03
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.4900	5.57	0.06	0.00	0.06	10.0	0.01
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 1 Units @44.4900	29.80	0.30	0.00	0.30	10.0	0.03
01/22/201	L8 ***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @44.4900	21.00	0.21	0.00	0.21	10.0	0.02



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER: I	FREDERIC SCARPULLA (continue	OVERRIDE TRANSACT	IONS (contin	nued)				
01/22/2018	3 ***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @44.4900	10.50	0.11	0.00	0.11	10.0	0.01
01/24/2018	3 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.6500	5.55	0.06	0.00	0.06	10.0	0.01
01/24/2018	3 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 1 Units @44.6500	29.80	0.30	0.00	0.30	10.0	0.03
01/24/2018	3 ***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	NEW PERSPECTIVE FUND-C BUY 17 Units @44.6500	750.00	7.50	0.00	7.50	10.0	0.75
01/25/2018	3 ***-**-9004 - MARCELLUS, ACCOUNT #: 04000409785	NEW PERSPECTIVE FUND-C BUY 2 Units @44.5800	100.00	1.00	0.00	1.00	10.0	0.10
01/25/2018	3 ***-**-9004 - MARCELLUS, ACCOUNT #: 04000409785	NEW PERSPECTIVE FUND-C BUY 0 Units @44.5800	10.82	0.11	0.00	0.11	10.0	0.01
01/25/2018	3 ***-**-1955 - MARCELLUS, JAMES ACCOUNT #: 04000409718	NEW PERSPECTIVE FUND-C BUY 1 Units @44.5800	50.00	0.50	0.00	0.50	10.0	0.05
01/25/2018	3 ***-**-1955 - MARCELLUS, JAMES ACCOUNT #: 04000409718	NEW PERSPECTIVE FUND-C BUY 1 Units @44.5800	23.08	0.23	0.00	0.23	10.0	0.02
01/22/2018	3 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	NEW WORLD FUND-C BUY 1 Units @68.3400	48.20	0.48	0.00	0.48	10.0	0.05
01/22/2018	3 ***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @68.3400	21.00	0.21	0.00	0.21	10.0	0.02
01/22/2018	3 ***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @68.3400	10.50	0.11	0.00	0.11	10.0	0.01
01/24/2018	3 ***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	NEW WORLD FUND-C BUY 7 Units @68.7300	500.00	5.00	0.00	5.00	10.0	0.50
01/25/2018	3 ***-**-398I - GUERRIERI, PAUL ACCOUNT #: 00086040659	NEW WORLD FUND-C BUY 2 Units @68.7700	150.00	1.50	0.00	1.50	10.0	0.15
02/01/2018	3 ***-**-3758 - CONNORS, DAVID ACCOUNT #: 77162702001	NYA JPM 529 AGGR AGE-BASE C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
02/01/2018	3 ***-**-335P - JULIAN, GIOVANA ACCOUNT #: 77613466001	NYA JPM 529 AGGR AGE-BASE C BUY 0 Units @0.0000	138.52	1.39	0.00	1.39	10.0	0.14
02/05/2018	3 ***-**-335P - JULIAN, GIOVANA ACCOUNT #: 77613466001	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	138.52	1.39	0.00	1.39	10.0	0.14



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BDOVED.	FREDERIC SCARPULLA (continue	OVERRIDE TRANSACT	IONS (conti	nued)				
	L8 ***-**-80IN - MOYER, COLLEEN ACCOUNT #: 77705588101	NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000	50.00	1.52	0.00	1.52	10.0	0.15
01/19/201	8 ***-**-3407 - SUTTELL, PAULA ACCOUNT #: 05470454740	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	10.0	0.10
01/19/201	8 ***-**-56SI - ODELL, JULIE ACCOUNT #: 05470419034	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	10.0	0.10
01/19/201	18 ***-**-56SI - ODELL, JULIE ACCOUNT #: 05470419034	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	966.77	9.67	0.00	9.67	10.0	0.97
01/19/201	18 ***-**-6836 - SMITH, ADRIENNE ACCOUNT #: 00100067156	OPPENHEIMER CORP BOND FND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
01/19/201	8 ***-**-6836 - SMITH, ADRIENNE ACCOUNT #: 00100067156	OPPENHEIMER CORP BOND FND C BUY 0 Units @0.0000	353.23	3.53	0.00	3.53	10.0	0.35
01/19/201	8 ***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03322638581	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	66.00	0.66	0.00	0.66	10.0	0.07
01/17/201	18 ***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 08491596925	Y OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	46.20	0.46	0.00	0.46	10.0	0.05
01/17/201	18 ***-**-541P - SCHILLACI, AMY ACCOUNT #: 02271188506	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
01/17/201	18 ***-**-1314 - BENEDETTO, ACCOUNT #: 02270934318	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	125.00	1.25	0.00	1.25	10.0	0.13
01/17/201	18 ***-**-655P - DAVIS, BERTHA ACCOUNT #: 02271237808	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
01/19/201	L8 ***-**-6836 - SMITH, ADRIENNE ACCOUNT #: 02271182830	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
01/19/201	18 ***-**-6836 - SMITH, ADRIENNE ACCOUNT #: 02271182830	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	353.22	3.53	0.00	3.53	10.0	0.35
01/22/201	18 ***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02271217095	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
01/31/201	8 ***-**-541P - SCHILLACI, AMY ACCOUNT #: 02271188506	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
01/31/201	L8 ***-**-655P - DAVIS, BERTHA ACCOUNT #: 02271237808	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03



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		OVERRIDE TRANSAC	CTIONS (conti	nued)				
	FREDERIC SCARPULLA (continue		252.22	0.50		0.50		0.05
01/17/201	.8 ***-**-1314 - BENEDETTO, ACCOUNT #: 02592292741	QUEST BALANCED FUND C BUY 0 Units @0.0000	250.00	2.50	0.00	2.50	10.0	0.25
01/24/201	.8 ***-**-8706 - BOSCO, REN ACCOUNT #: 02590094105	QUEST BALANCED FUND C BUY 0 Units @0.0000	500.00	5.00	0.00	5.00	10.0	0.50
01/17/201	8 ***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 05920400103	REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
01/19/201	8 ***-**-7330 - JOHNSON, DONALD ACCOUNT #: 05920398266	REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
01/22/201	.8 ***-**-9530 - MILAM, IAN ACCOUNT #: 05920419496	REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
01/19/201	.8 ***-**-1834 - BUTLER, KIM ACCOUNT #: 02531162106	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	20.00	0.20	0.00	0.20	10.0	0.02
01/22/201	.8 ***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02531288969	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
01/22/201	.8 ***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	SMALLCAP WORLD FUND-A BUY 0 Units @58.9600	28.60	0.29	0.00	0.29	10.0	0.03
01/22/201	.8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @51.8400	5.56	0.06	0.00	0.06	10.0	0.01
01/22/201	.8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 1 Units @51.8400	29.80	0.30	0.00	0.30	10.0	0.03
01/22/201	.8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @51.8400	5.56	0.06	0.00	0.06	10.0	0.01
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 1 Units @51.8400	29.80	0.30	0.00	0.30	10.0	0.03
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @51.8400	48.20	0.48	0.00	0.48	10.0	0.05
01/24/201	.8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.1000	5.56	0.06	0.00	0.06	10.0	0.01
01/24/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 1 Units @52.1000	29.80	0.30	0.00	0.30	10.0	0.03
01/17/201	.8 ***-**-1314 - BENEDETTO, ACCOUNT #: 02322751089	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	125.00	1.25	0.00	1.25	10.0	0.13



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BROKER:	FREDERIC SCARPULLA (continue		SACTIONS (conti	nued)				
	8 ***-**-1834 - BUTLER, KIM ACCOUNT #: 01920863291	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	10.00	0.10	0.00	0.10	10.0	0.01
01/31/201	.8 ***-**-90FB - DIODATO, CAROL ACCOUNT #: 525805	SYMMETRY RIA BUY 0 Units @39.4780	394,780.99	986.95	0.00	986.95	10.0	98.70
01/31/201	8 ***-**-44FB - PIAZZA, ANNIE ACCOUNT #: 528418	SYMMETRY RIA BUY 0 Units @1.9604	19,604.39	49.01	0.00	49.01	10.0	4.90
01/31/201	.8 ***-**-22FB - WAGNER, LAUREL ACCOUNT #: 544373	SYMMETRY RIA BUY 0 Units @17.5220	175,220.72	438.05	0.00	438.05	10.0	43.81
01/31/201	.8 ***-**-58IR - HINDERLAND, GARY ACCOUNT #: 553934	Y SYMMETRY RIA BUY 0 Units @5.6020	56,020.94	140.05	0.00	140.05	10.0	14.01
01/22/201	.8 ***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	THE BOND FUND OF AMERICA-A BUY 2 Units @12.7600	19.80	0.20	0.00	0.20	10.0	0.02
01/22/201	.8 ***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.7600	9.00	0.09	0.00	0.09	10.0	0.01
01/22/201	8 ***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.7600	28.05	0.28	0.00	0.28	10.0	0.03
01/26/201	8 ***-**-5838 - SPOLETA, BRENDA ACCOUNT #: 00088037501	THE BOND FUND OF AMERICA-C BUY 8 Units @12.7600	100.00	1.00	0.00	1.00	10.0	0.10
01/22/201	8 ***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 5 Units @53.1400	250.00	2.50	0.00	2.50	10.0	0.25
01/22/201	8 ***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.1400	30.00	0.30	0.00	0.30	10.0	0.03
01/22/201	8 ***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.1400	72.60	0.73	0.00	0.73	10.0	0.07
01/22/201	.8 ***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.1400	30.00	0.30	0.00	0.30	10.0	0.03
01/22/201	.8 ***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.1400	50.00	0.50	0.00	0.50	10.0	0.05
01/22/201	.8 ***-**-095P - RIVERA, MIGUEL ACCOUNT #: 00074922243	THE GROWTH FUND OF AMERICA-A BUY 2 Units @53.1400	130.00	1.30	0.00	1.30	10.0	0.13
01/22/201	8 ***-**-4750 - OSCHMANN, MARK ACCOUNT #: 00083414110	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.1400	57.69	0.58	0.00	0.58	10.0	0.06

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		OVERRIDE TRANSACT	FIONS (conti	nued)				
BROKER:	FREDERIC SCARPULLA (continue	<u>ed)</u>						
01/22/201	.8 ***-**-9447 - ZAJONCZKOSKI, ACCOUNT #: 00087318332	THE GROWTH FUND OF AMERICA-A BUY 0 Units @53.1400	20.00	0.20	0.00	0.20	10.0	0.02
01/22/201	8 ***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	THE GROWTH FUND OF AMERICA-A BUY 0 Units @53.1400	10.00	0.10	0.00	0.10	10.0	0.01
01/22/201	.8 ***-**-425P - MEEKS, PERDITA ACCOUNT #: 00074210167	THE GROWTH FUND OF AMERICA-A BUY 0 Units @56.3800	12.50	0.63	0.00	0.63	10.0	0.06
01/22/201	.8 ***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	THE GROWTH FUND OF AMERICA-C BUY 0 Units @49.2600	20.00	0.20	0.00	0.20	10.0	0.02
01/22/201	.8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @49.2600	15.00	0.15	0.00	0.15	10.0	0.02
01/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 1 Units @49.2600	48.20	0.48	0.00	0.48	10.0	0.05
01/24/201	8 ***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	THE GROWTH FUND OF AMERICA-C BUY 23 Units @49.6300	1,150.00	11.50	0.00	11.50	10.0	1.15
01/25/201	.8 ***-**-6375 - MARCELLUS, ACCOUNT #: 04000598159	THE GROWTH FUND OF AMERICA-C BUY 2 Units @49.6700	100.00	1.00	0.00	1.00	10.0	0.10
01/25/201	.8 ***-**-6375 - MARCELLUS, ACCOUNT #: 04000598159	THE GROWTH FUND OF AMERICA-C BUY 0 Units @49.6700	24.00	0.24	0.00	0.24	10.0	0.02
01/25/201	.8 ***-**-9004 - MARCELLUS, ACCOUNT #: 04000409785	THE GROWTH FUND OF AMERICA-C BUY 2 Units @49.6700	100.00	1.00	0.00	1.00	10.0	0.10
01/25/201	8 ***-**-9004 - MARCELLUS, ACCOUNT #: 04000409785	THE GROWTH FUND OF AMERICA-C BUY 0 Units @49.6700	10.82	0.11	0.00	0.11	10.0	0.01
01/25/201	.8 ***-**-1955 - MARCELLUS, JAMES ACCOUNT #: 04000409718	THE GROWTH FUND OF AMERICA-C BUY 1 Units @49.6700	50.00	0.50	0.00	0.50	10.0	0.05
01/25/201	8 ***-**-1955 - MARCELLUS, JAMES ACCOUNT #: 04000409718	THE GROWTH FUND OF AMERICA-C BUY 0 Units @49.6700	23.08	0.23	0.00	0.23	10.0	0.02
01/25/201	8 ***-**-8208 - KARNS, SHANNON ACCOUNT #: 04000409714	THE GROWTH FUND OF AMERICA-C BUY 10 Units @49.6700	480.00	4.80	0.00	4.80	10.0	0.48
01/25/201	8 ***-**-8208 - KARNS, SHANNON ACCOUNT #: 04000409714	THE GROWTH FUND OF AMERICA-C BUY 0 Units @49.6700	15.80	0.16	0.00	0.16	10.0	0.02
01/25/201	.8 ***-**-3727 - D'ANGELO, ANDREW ACCOUNT #: 04000409699	N THE GROWTH FUND OF AMERICA-C BUY 0 Units @49.6700	12.00	0.12	0.00	0.12	10.0	0.01



February 05, 2018

ANDREW KALINOWSKI

400 West Metro Park Rochester, NY 14623 BROKER #: 20

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		OVERRIDE TRANSACT	IONS (conti	nued)				
BROKER:	FREDERIC SCARPULLA (continue	<u>ed)</u>						
01/25/201	.8 ***-**-3727 - D'ANGELO, ANDREW ACCOUNT #: 04000409699	W THE GROWTH FUND OF AMERICA-C BUY 0 Units @49.6700	20.00	0.20	0.00	0.20	10.0	0.02
01/25/201	8 ***-**-2678 - VELLA, VINCENZO ACCOUNT #: 04000248491	THE GROWTH FUND OF AMERICA-C BUY 1 Units @49.6700	50.00	0.50	0.00	0.50	10.0	0.05
01/25/201	.8 ***-**-7186 - VELLA, DOMENICO ACCOUNT #: 04000248474	THE GROWTH FUND OF AMERICA-C BUY 1 Units @49.6700	50.00	0.50	0.00	0.50	10.0	0.05
01/25/201	.8 ***-**-6171 - ROWE, KEVIN ACCOUNT #: 04000409801	THE GROWTH FUND OF AMERICA-C BUY 1 Units @49.6700	53.00	0.53	0.00	0.53	10.0	0.05
01/25/201	.8 ***-**-6171 - ROWE, KEVIN ACCOUNT #: 04000409801	THE GROWTH FUND OF AMERICA-C BUY 10 Units @49.6700	480.00	4.80	0.00	4.80	10.0	0.48
01/22/201	8 ***-**-8776 - LEVINE, TODD ACCOUNT #: 00067996697	THE INCOME FUND OF AMERICA-A BUY 4 Units @25.2700	100.00	3.75	0.00	3.75	10.0	0.38
01/22/201	.8 ***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE INVESTMENT COMPANY OF AMERICA-A BUY 6 Units @42.6300	250.00	2.50	0.00	2.50	10.0	0.25
01/22/201	8 ***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @42.6300	28.60	0.29	0.00	0.29	10.0	0.03
01/22/201	.8 ***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @42.6300	50.00	0.50	0.00	0.50	10.0	0.05
01/22/201	.8 ***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @42.6300	20.00	0.20	0.00	0.20	10.0	0.02
02/01/201	8 ***-**-69IN - BUCK, LESLIE	TOUCHSTONE TRAILS BUY 0 Units @0.0000	0.00	2.21	0.00	2.21	10.0	0.22
01/22/201	8 ***-**-415P - MALOVICS, LASZLO ACCOUNT #: 00066758345	WASHINGTON MUTUAL INVESTORS FUND-A BUY 10 Units @48.1900	500.00	5.00	0.00	5.00	10.0	0.50
01/22/201	8 ***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @48.1900	30.80	0.31	0.00	0.31	10.0	0.03
01/24/201	8 ***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @47.5800	40.00	0.40	0.00	0.40	10.0	0.04
01/24/201	8 ***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @47.5800	40.00	0.40	0.00	0.40	10.0	0.04
01/24/201	.8 ***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @47.5800	40.00	0.40	0.00	0.40	10.0	0.04



February 05, 2018

ANDREW KALINOWSKI

400 West Metro Park Rochester, NY 14623 BROKER #: 20

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		OVERRIDE TRANSACT	IONS (conti	nued)				
BROKER:	FREDERIC SCARPULLA (continue	ed)						
01/24/201	8 ***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @47.5800	-40.00	-0.40	0.00	-0.40	10.0	-0.04
01/25/201	8 ***-**-398I - GUERRIERI, PAUL ACCOUNT #: 00086040659	WASHINGTON MUTUAL INVESTORS FUND-C BUY 3 Units @47.5500	150.00	1.50	0.00	1.50	10.0	0.15
01/26/201	8 ***-**-7645 - SUSS, PATRICK ACCOUNT #: 04000680953	WASHINGTON MUTUAL INVESTORS FUND-C BUY 73 Units @48.1300	3,500.00	35.00	0.00	35.00	10.0	3.50
02/05/201	8 ***-**-96CL - SCARPULLA,	WELLS FARGO MF TRIALS BUY 0 Units @0.0000	0.00	0.74	0.00	0.74	10.0	0.07
		* FREDERIC SCARPULLA SUBTOTAL *	\$665,832.40	\$1,872.19	\$0.00	\$1,872.19		\$187.42
BROKER:	WILLIAM AGNELLO							
01/30/201	8 ***-**-43IN - CUP, NICHOLAS ACCOUNT #: LSR006890	FORD MTR CO DEL COM UNSOLICITED ORD SELL 200 Units @11.0880	2,217.60	48.20	0.00	48.20	25.0	12.05
01/30/201	8 ***-**-6571 - RIEL, KEVIN ACCOUNT #: LSR007366	FORD MTR CO DEL COM UNSOLICITED ORD SELL 200 Units @11.0810	2,216.20	48.18	0.00	48.18	25.0	12.05
01/31/201	8 ***-**-36FB - IRWIN, CHARLES ACCOUNT #: 413444	SYMMETRY RIA BUY 0 Units @12.5258	125,258.35	469.72	0.00	469.72	15.0	70.46
01/31/201	8 ***-**-43FB - CUP, NICHOLAS ACCOUNT #: 413590	SYMMETRY RIA BUY 0 Units @10.1359	101,359.63	380.10	0.00	380.10	15.0	57.02
01/31/201	8 ***-**-28FB - CUP, ANDREW ACCOUNT #: 414485	SYMMETRY RIA BUY 0 Units @2.6446	26,446.15	99.17	0.00	99.17	15.0	14.88
01/31/201	8 ***-**-99FB - LINTON, TELSA ACCOUNT #: 418389	SYMMETRY RIA BUY 0 Units @2.6258	26,258.37	98.47	0.00	98.47	15.0	14.77
		* WILLIAM AGNELLO SUBTOTAL *	\$283,756.30	\$1,143.84	\$0.00	\$1,143.84		\$181.23
BROKER:	JAMES LOMBARDO							
01/22/201	8 ***-**-5506 - LOMBARDO, LEIGH ACCOUNT #: 03809219276	INVESCO AMERICAN FRANCHISE FUND -CL BUY 13 Units @22.4200	300.00	12.00	0.00	12.00	15.0	1.80
01/22/201	8 ***-**-6759 - TARANTINO, GARY ACCOUNT #: 00089449406	THE BOND FUND OF AMERICA-A BUY 1 Units @13.2600	10.00	0.30	0.00	0.30	15.0	0.05
01/22/201	8 ***-**-6759 - TARANTINO, GARY ACCOUNT #: 00089449406	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.3800	40.00	2.00	0.00	2.00	15.0	0.30



February 05, 2018

ANDREW KALINOWSKI

400 West Metro Park Rochester, NY 14623 BROKER #: 20

CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
	OVERRIDE TRANSACT	IONS (contir	nued)				
JAMES LOMBARDO (continued)							
3 ***-**-5506 - LOMBARDO, LEIGH ACCOUNT #: 03809219276	VAN KAMPEN3 BUY 13 Units @7.6700	100.00	4.00	0.00	4.00	15.0	0.60
	* JAMES LOMBARDO SUBTOTAL *	\$450.00	\$18.30	\$0.00	\$18.30		\$2.75
	*** OVERRIDE TRANSACTIONS TOTAL ***	\$950,038.70	\$3,077.28	\$0.00	\$3,077.28		\$377.95
				Ī	ROKER COMMI	ssion	TOTALS
				Broke	r Transactions		\$152.36
				Spli	t Transactions		\$0.00
							\$377.95
							\$0.00
					Payroll Draw		\$0.00
					Base Salary		\$0.00
				Prior	Period Balance		\$0.00
				FI	NRA Assessment		\$0.00
				S	IPC Assessment		\$0.00
				Net Com	mission Earned		\$530.31
				Year-to	-date Earnings		\$152.36
	TAMES LOMBARDO (continued) ***-**-5506 - LOMBARDO, LEIGH	OVERRIDE TRANSACT VAMES LOMBARDO (continued) ***-**-5506 - LOMBARDO, LEIGH VAN KAMPEN3 ACCOUNT #: 03809219276 BUY 13 Units @7.6700 * JAMES LOMBARDO SUBTOTAL *	OVERRIDE TRANSACTIONS (CONTINUES LOMBARDO (CONTINUES) ***-**-5506 - LOMBARDO, LEIGH VAN KAMPEN3 100.00 ACCOUNT #: 03809219276 BUY 13 Units @7.6700 * JAMES LOMBARDO SUBTOTAL * \$450.00	OVERRIDE TRANSACTIONS (continued) ***-**-5506 - LOMBARDO, LEIGH VAN KAMPEN3 100.00 4.00 ACCOUNT #: 03809219276 BUY 13 Units @7.6700 * JAMES LOMBARDO SUBTOTAL * \$450.00 \$18.30	OVERTIDE TRANSACTIONS (continued) ***-**-5506 - LOMBARDO, LEIGH ACCOUNT #: 03809219276	CLIENT INVESTMENT OVERRIDE TRANSACTIONS (CONTINUED) TAMES LOMBARDO (CONTINUED) ***-**-5506 - LOMBARDO, LEIGH ACCOUNT #: 03809219276 *** JAMES LOMBARDO SUBTOTAL * \$450.00 \$18.30 \$0.00 \$18.30 \$0.00 \$18.30 \$0.77.28 *** OVERRIDE TRANSACTIONS TOTAL *** \$950,038.70 \$3,077.28 \$0.00 \$3,077.28 *** OVERRIDE TRANSACTIONS TOTAL *** \$950,038.70 \$3,077.28 \$0.00 \$3,077.28 Broker COMMINION TOTAL *** \$950,038.70 \$3,077.28 \$0.00 \$17 ansactions \$100.00 \$1	OVERRIDE TRANSACTIONS (CONTINUED) CHARGE COMMISSION CHARGE COMMISSION CHARGE COMMISSION CHARGE COMMISSION CONTINUED) CONTINUED CONTINUED