



COMMISSION STATEMENT

May 21, 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>								
05/07/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063412117	BUY 3 Units @33.6900						
05/07/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063451518	BUY 3 Units @33.6900						
05/07/2018	***-**-9501 - SHALLENBERGER,	AMCAP FUND-C	13.32	0.13	0.00	0.13	80.0	0.10
	ACCOUNT #: 00086494801	BUY 0 Units @29.2900						
05/07/2018	***-**-511I - ROOD, SCOTT	AMCAP FUND-C	10.09	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00088607840	BUY 0 Units @29.2900						
05/07/2018	***-**-511I - ROOD, SCOTT	AMCAP FUND-C	30.37	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00088607840	BUY 1 Units @29.2900						
05/07/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	80.0	0.46
	ACCOUNT #: 04000650661	BUY 2 Units @29.2900						
05/10/2018	***-**-8208 - KARNs, SHANNON	AMCAP FUND-C	225.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 04000591533	BUY 8 Units @29.7500						
05/07/2018	***-**-965P - SHAFER, PAUL	AMERICAN BALANCED FUND-A	17.00	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00073549401	BUY 1 Units @27.4600						
05/07/2018	***-**-625P - BORRELLI, LOUIS	AMERICAN BALANCED FUND-A	13.68	0.22	0.00	0.22	80.0	0.18
	ACCOUNT #: 00073550085	BUY 0 Units @27.4600						
05/07/2018	***-**-625P - BORRELLI, LOUIS	AMERICAN BALANCED FUND-A	64.00	1.02	0.00	1.02	80.0	0.82
	ACCOUNT #: 00073550085	BUY 2 Units @27.4600						
05/07/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089957234	BUY 2 Units @26.7200						
05/07/2018	***-**-6000 - SMITH, KENNETH	AMERICAN BALANCED FUND-C	17.14	0.17	0.00	0.17	80.0	0.14
	ACCOUNT #: 00083081099	BUY 1 Units @26.7200						
05/07/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	34.00	0.34	0.00	0.34	80.0	0.27
	ACCOUNT #: 00086979418	BUY 1 Units @26.7200						
05/07/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00086979418	BUY 1 Units @26.7200						
05/07/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089045192	BUY 1 Units @26.7200						
05/07/2018	***-**-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						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @26.7200	4.00	0.04	0.00	0.04	80.0	0.03
05/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @26.7200	40.80	0.41	0.00	0.41	80.0	0.33
05/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @26.7200	4.00	0.04	0.00	0.04	80.0	0.03
05/07/2018	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089244081	AMERICAN BALANCED FUND-C BUY 3 Units @26.7200	87.96	0.88	0.00	0.88	80.0	0.70
05/07/2018	***-**-0962 - TRETYAK, ACCOUNT #: 00089399972	AMERICAN BALANCED FUND-C BUY 1 Units @26.7200	18.40	0.18	0.00	0.18	80.0	0.14
05/07/2018	***-**-0962 - TRETYAK, ACCOUNT #: 00089399972	AMERICAN BALANCED FUND-C BUY 3 Units @26.7200	77.68	0.78	0.00	0.78	80.0	0.62
05/07/2018	***-**-035S - CAPIZZI, TRACIE ACCOUNT #: 00089679504	AMERICAN BALANCED FUND-C BUY 1 Units @26.7200	37.75	0.38	0.00	0.38	80.0	0.30
05/07/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @26.7200	120.00	1.20	0.00	1.20	80.0	0.96
05/08/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	AMERICAN BALANCED FUND-C BUY 7 Units @26.6800	187.00	1.87	0.00	1.87	80.0	1.50
05/10/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @27.0100	20.00	0.20	0.00	0.20	80.0	0.16
05/10/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @27.0100	40.80	0.41	0.00	0.41	80.0	0.33
05/10/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @27.0100	4.00	0.04	0.00	0.04	80.0	0.03
05/10/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @27.0100	4.00	0.04	0.00	0.04	80.0	0.03
05/10/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @27.0100	40.80	0.41	0.00	0.41	80.0	0.33
05/10/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @27.0100	20.77	0.21	0.00	0.21	80.0	0.17
05/10/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @27.0100	120.00	1.20	0.00	1.20	80.0	0.96



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/11/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 1 Units @26.9700						
05/11/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	3.63	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @26.9700						
05/11/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	1.78	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @26.9700						
05/11/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904181	BUY 0 Units @26.9700						
05/15/2018	***-**-6110 - BONACCI, FBO	AMERICAN BALANCED FUND-C	149.99	1.50	3.00	-1.50	100.0	-1.50
	ACCOUNT #: LSR011143	BUY 6 Units @26.8800						
05/11/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	44.93	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 04000820464	BUY 2 Units @19.0900						
05/11/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	7.49	0.07	0.00	0.07	80.0	0.06
	ACCOUNT #: 04000820464	BUY 0 Units @19.0900						
05/07/2018	***-**-5111 - ROOD, SCOTT	AMERICAN GLOBAL BALANCED CL C	8.66	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00088607840	BUY 0 Units @32.4000						
05/07/2018	***-**-5111 - ROOD, SCOTT	AMERICAN GLOBAL BALANCED CL C	26.03	0.26	0.00	0.26	80.0	0.21
	ACCOUNT #: 00088607840	BUY 1 Units @32.4000						
05/10/2018	***-**-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 @32.6900						
05/11/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	80.0	0.84
	ACCOUNT #: 00087236607	BUY 10 Units @10.1600						
05/11/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00087236607	BUY 0 Units @10.1600						
05/07/2018	***-**-5111 - ROOD, SCOTT	AMERICAN MUTUAL FUND-C	10.10	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00088607840	BUY 0 Units @39.4100						
05/07/2018	***-**-5111 - ROOD, SCOTT	AMERICAN MUTUAL FUND-C	30.37	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00088607840	BUY 1 Units @39.4100						
05/07/2018	***-**-4821 - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @39.4100						
05/11/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	1.49	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @40.2000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/11/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904181	BUY 0 Units @40.2000						
05/03/2018	***-**-7291 - GIAMBRONE, KELLY	CAPITAL APPRECIATION C	61.61	0.62	0.00	0.62	80.0	0.50
	ACCOUNT #: 03222325444	BUY 0 Units @0.0000						
05/11/2018	***-**-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						
05/11/2018	***-**-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						
05/11/2018	***-**-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						
05/07/2018	***-**-7171 - GIUDICE, JUSTIN	CAPITAL INCOME BUILDER CLASS C	16.37	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00086494794	BUY 0 Units @60.7200						
05/07/2018	***-**-7171 - GIUDICE, JUSTIN	CAPITAL INCOME BUILDER CLASS C	46.20	0.46	0.00	0.46	80.0	0.37
	ACCOUNT #: 00086494794	BUY 1 Units @60.7200						
05/07/2018	***-**-0962 - TRETYAK,	CAPITAL INCOME BUILDER CLASS C	18.40	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00089399972	BUY 0 Units @60.7200						
05/07/2018	***-**-0962 - TRETYAK,	CAPITAL INCOME BUILDER CLASS C	77.68	0.78	0.00	0.78	80.0	0.62
	ACCOUNT #: 00089399972	BUY 1 Units @60.7200						
05/07/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL INCOME BUILDER-A	13.68	0.22	0.00	0.22	80.0	0.18
	ACCOUNT #: 00073550085	BUY 0 Units @61.9200						
05/07/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL INCOME BUILDER-A	64.00	1.02	0.00	1.02	80.0	0.82
	ACCOUNT #: 00073550085	BUY 1 Units @61.9200						
05/07/2018	***-**-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 @20.1000						
05/07/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 1 Units @20.1000						
05/07/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL WORLD GROWTH AND INCOME FUN	13.68	0.22	0.00	0.22	80.0	0.18
	ACCOUNT #: 00073550085	BUY 0 Units @52.9100						
05/07/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL WORLD GROWTH AND INCOME FUN	64.00	1.02	0.00	1.02	80.0	0.82
	ACCOUNT #: 00073550085	BUY 1 Units @52.9100						
05/07/2018	***-**-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 @55.0100						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/07/2018	***-***-4036 - AMES, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	19.20	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 00083414092	BUY 0 Units @51.2600						
05/07/2018	***-***-4036 - AMES, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	32.00	0.32	0.00	0.32	80.0	0.26
	ACCOUNT #: 00083414092	BUY 1 Units @51.2600						
05/07/2018	***-***-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 @51.2600						
05/07/2018	***-***-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 @51.2600						
05/07/2018	***-***-4926 - HAUN, GARY	CAPITAL WORLD GROWTH AND INCOME FUN	16.92	0.17	0.00	0.17	80.0	0.14
	ACCOUNT #: 04000492822	BUY 0 Units @51.2600						
05/07/2018	***-***-4926 - HAUN, GARY	CAPITAL WORLD GROWTH AND INCOME FUN	84.60	0.85	0.00	0.85	80.0	0.68
	ACCOUNT #: 04000492822	BUY 2 Units @51.2600						
05/10/2018	***-***-625P - CENTOLA, ANITA	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00074256566	BUY 1 Units @52.0000						
05/10/2018	***-***-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 @52.0000						
05/10/2018	***-***-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 @52.0000						
05/11/2018	***-***-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	80.0	0.77
	ACCOUNT #: 00087038420	BUY 2 Units @52.1300						
05/11/2018	***-***-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	3.60	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00087038420	BUY 0 Units @52.1300						
05/11/2018	***-***-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						
05/03/2018	***-***-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						
05/03/2018	***-***-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						
05/07/2018	***-***-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00063412117	BUY 1 Units @57.8400						
05/07/2018	***-***-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00063451518	BUY 1 Units @57.8400						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/07/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	80.0	1.28
	ACCOUNT #: 00063412117	BUY 2 Units @63.4300						
05/07/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	80.0	1.28
	ACCOUNT #: 00063451518	BUY 2 Units @63.4300						
05/07/2018	***-**-925P - BURNS, JASON	FUNDAMENTAL INVESTORS-A	17.82	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00073550035	BUY 0 Units @63.7600						
05/07/2018	***-**-925P - BURNS, JASON	FUNDAMENTAL INVESTORS-A	106.92	1.71	0.00	1.71	80.0	1.37
	ACCOUNT #: 00073550035	BUY 2 Units @63.7600						
05/07/2018	***-**-7171 - GIUDICE, JUSTIN	FUNDAMENTAL INVESTORS-C	16.37	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00086494794	BUY 0 Units @62.1000						
05/07/2018	***-**-7171 - GIUDICE, JUSTIN	FUNDAMENTAL INVESTORS-C	46.20	0.46	0.00	0.46	80.0	0.37
	ACCOUNT #: 00086494794	BUY 1 Units @62.1000						
05/07/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @62.1000						
05/07/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @62.1000						
05/07/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @62.1000						
05/07/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @62.1000						
05/07/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @62.1000						
05/10/2018	***-**-6171 - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	225.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 04000591484	BUY 4 Units @63.2700						
05/10/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @63.2700						
05/10/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @63.2700						
05/10/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @63.2700						
05/10/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @63.2700						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/11/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	2.40	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @63.2000						
05/11/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00085902226	BUY 0 Units @63.2000						
05/11/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085904203	BUY 0 Units @63.2000						
05/11/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	2.29	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @63.2000						
05/03/2018	***-**-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						
05/03/2018	***-**-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						
05/11/2018	***-**-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						
05/11/2018	***-**-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						
05/15/2018	***-**-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						
05/15/2018	***-**-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						
05/11/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00087236607	BUY 2 Units @22.7600						
05/11/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	1.95	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087236607	BUY 0 Units @22.7600						
05/07/2018	***-**-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 @39.7800						
05/10/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	20.17	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089583477	BUY 0 Units @40.5000						
05/11/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00085902249	BUY 1 Units @40.5700						
05/11/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	3.74	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @40.5700						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/03/2018	***-**-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						
05/03/2018	***-**-262O - 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						
05/11/2018	***-**-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						
05/11/2018	***-**-733O - 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						
05/15/2018	***-**-498O - 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						
05/15/2018	***-**-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						
05/15/2018	***-**-953O - 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						
05/07/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063412117	BUY 0 Units @45.4700						
05/07/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 0 Units @45.4700						
05/07/2018	***-**-955P - ROSE, JUSTIN	NEW PERSPECTIVE FUND-A	20.11	0.32	0.00	0.32	80.0	0.26
	ACCOUNT #: 00073550044	BUY 0 Units @45.7000						
05/07/2018	***-**-955P - ROSE, JUSTIN	NEW PERSPECTIVE FUND-A	150.00	2.40	0.00	2.40	80.0	1.92
	ACCOUNT #: 00073550044	BUY 3 Units @45.7000						
05/07/2018	***-**-600O - SMITH, KENNETH	NEW PERSPECTIVE FUND-C	8.57	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00083081099	BUY 0 Units @42.9200						
05/07/2018	***-**-4036 - AMES, JOHN	NEW PERSPECTIVE FUND-C	14.40	0.14	0.00	0.14	80.0	0.11
	ACCOUNT #: 00083414092	BUY 0 Units @42.9200						
05/07/2018	***-**-4036 - AMES, JOHN	NEW PERSPECTIVE FUND-C	24.00	0.24	0.00	0.24	80.0	0.19
	ACCOUNT #: 00083414092	BUY 1 Units @42.9200						
05/07/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @42.9200						
05/07/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @42.9200						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @42.9200	20.40	0.20	0.00	0.20	80.0	0.16
05/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @42.9200	2.00	0.02	0.00	0.02	80.0	0.02
05/10/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @43.6100	20.40	0.20	0.00	0.20	80.0	0.16
05/10/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @43.6100	2.00	0.02	0.00	0.02	80.0	0.02
05/10/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @43.6100	2.00	0.02	0.00	0.02	80.0	0.02
05/10/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @43.6100	20.40	0.20	0.00	0.20	80.0	0.16
05/11/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @43.6800	2.80	0.03	0.00	0.03	80.0	0.02
05/11/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @43.6800	10.50	0.11	0.00	0.11	80.0	0.09
05/11/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	NEW PERSPECTIVE FUND-C BUY 0 Units @43.6800	2.50	0.03	0.00	0.03	80.0	0.02
05/11/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	NEW PERSPECTIVE FUND-C BUY 0 Units @43.6800	2.50	0.03	0.00	0.03	80.0	0.02
05/11/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @43.6800	21.00	0.21	0.00	0.21	80.0	0.17
05/11/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @43.6800	2.67	0.03	0.00	0.03	80.0	0.02
05/07/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	NEW WORLD FUND-C BUY 0 Units @64.6700	14.40	0.14	0.00	0.14	80.0	0.11
05/07/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	NEW WORLD FUND-C BUY 0 Units @64.6700	24.00	0.24	0.00	0.24	80.0	0.19
05/11/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @65.7800	2.80	0.03	0.00	0.03	80.0	0.02
05/11/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @65.7800	10.50	0.11	0.00	0.11	80.0	0.09



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
05/11/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @65.7800						
05/11/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.67	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @65.7800						
05/11/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @65.7800						
05/11/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @65.7800						
05/11/2018	***-**-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						
05/11/2018	***-**-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						
05/11/2018	***-**-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						
05/11/2018	***-**-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						
05/03/2018	***-**-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						
05/03/2018	***-**-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						
05/03/2018	***-**-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						
05/03/2018	***-**-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						
05/11/2018	***-**-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						
05/15/2018	***-**-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						
05/03/2018	***-**-8706 - BOSCO, REN	QUEST BALANCED FUND C	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 02590094105	BUY 0 Units @0.0000						
05/03/2018	***-**-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						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/15/2018	***-**-8706 - BOSCO, REN	QUEST BALANCED FUND C	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 02590094105	BUY 0 Units @0.0000						
05/03/2018	***-**-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						
05/11/2018	***-**-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						
05/15/2018	***-**-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						
05/11/2018	***-**-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						
05/15/2018	***-**-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						
05/07/2018	***-**-925P - BURNS, JASON	SMALLCAP WORLD FUND-A	17.82	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00073550035	BUY 0 Units @58.4800						
05/07/2018	***-**-925P - BURNS, JASON	SMALLCAP WORLD FUND-A	106.92	1.71	0.00	1.71	80.0	1.37
	ACCOUNT #: 00073550035	BUY 2 Units @58.4800						
05/07/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @50.2700						
05/07/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @50.2700						
05/07/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @50.2700						
05/07/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @50.2700						
05/10/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @50.8900						
05/10/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @50.8900						
05/10/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	2.00	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @50.8900						
05/10/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @50.8900						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @51.0800	48.20	0.48	0.00	0.48	80.0	0.38
05/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 0 Units @51.0800	1.80	0.02	0.00	0.02	80.0	0.02
05/03/2018	***-**-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
05/11/2018	***-**-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
05/07/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 4 Units @12.7000	44.50	0.53	0.00	0.53	80.0	0.42
05/07/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 4 Units @12.7000	44.50	0.53	0.00	0.53	80.0	0.42
05/07/2018	***-**-7171 - GIUDICE, JUSTIN ACCOUNT #: 00086494794	THE BOND FUND OF AMERICA-C BUY 1 Units @12.5100	16.87	0.17	0.00	0.17	80.0	0.14
05/07/2018	***-**-7171 - GIUDICE, JUSTIN ACCOUNT #: 00086494794	THE BOND FUND OF AMERICA-C BUY 4 Units @12.5100	47.60	0.48	0.00	0.48	80.0	0.38
05/10/2018	***-**-625P - CENTOLA, ANITA ACCOUNT #: 00074256566	THE BOND FUND OF AMERICA-C BUY 2 Units @12.4900	25.00	0.25	0.00	0.25	80.0	0.20
05/11/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.5000	28.05	0.28	0.00	0.28	80.0	0.22
05/11/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 0 Units @12.5000	3.63	0.04	0.00	0.04	80.0	0.03
05/11/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 0 Units @12.5000	2.67	0.03	0.00	0.03	80.0	0.02
05/11/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.5000	9.00	0.09	0.00	0.09	80.0	0.07
05/07/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.2000	66.75	0.80	0.00	0.80	80.0	0.64
05/07/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.2000	66.75	0.80	0.00	0.80	80.0	0.64
05/07/2018	***-**-965P - SHAFER, PAUL ACCOUNT #: 00073549401	THE GROWTH FUND OF AMERICA-A BUY 0 Units @53.4700	17.00	0.27	0.00	0.27	80.0	0.22



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/07/2018	***-**-925P - BURNS, JASON	THE GROWTH FUND OF AMERICA-A	18.36	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00073550035	BUY 0 Units @53.4700						
05/07/2018	***-**-925P - BURNS, JASON	THE GROWTH FUND OF AMERICA-A	110.16	1.76	0.00	1.76	80.0	1.41
	ACCOUNT #: 00073550035	BUY 2 Units @53.4700						
05/07/2018	***-**-955P - ROSE, JUSTIN	THE GROWTH FUND OF AMERICA-A	20.10	0.32	0.00	0.32	80.0	0.26
	ACCOUNT #: 00073550044	BUY 0 Units @53.4700						
05/07/2018	***-**-955P - ROSE, JUSTIN	THE GROWTH FUND OF AMERICA-A	150.00	2.40	0.00	2.40	80.0	1.92
	ACCOUNT #: 00073550044	BUY 3 Units @53.4700						
05/07/2018	***-**-625P - BORRELLI, LOUIS	THE GROWTH FUND OF AMERICA-A	27.36	0.44	0.00	0.44	80.0	0.35
	ACCOUNT #: 00073550085	BUY 1 Units @53.4700						
05/07/2018	***-**-625P - BORRELLI, LOUIS	THE GROWTH FUND OF AMERICA-A	128.00	2.05	0.00	2.05	80.0	1.64
	ACCOUNT #: 00073550085	BUY 2 Units @53.4700						
05/07/2018	***-**-425P - MEEKS, PERDITA	THE GROWTH FUND OF AMERICA-A	12.50	0.63	0.00	0.63	80.0	0.50
	ACCOUNT #: 00074210167	BUY 0 Units @55.6000						
05/10/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	1,000.00	37.50	0.00	37.50	80.0	30.00
	ACCOUNT #: 00086606929	BUY 18 Units @55.7600						
05/10/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	259.20	9.72	0.00	9.72	80.0	7.78
	ACCOUNT #: 00086606929	BUY 5 Units @55.7600						
05/07/2018	***-**-6000 - SMITH, KENNETH	THE GROWTH FUND OF AMERICA-C	8.56	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00083081099	BUY 0 Units @48.4700						
05/07/2018	***-**-05IN - RANDALL, ADAM	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085941585	BUY 1 Units @48.4700						
05/07/2018	***-**-9501 - SHALLENBERGER,	THE GROWTH FUND OF AMERICA-C	13.32	0.13	0.00	0.13	80.0	0.10
	ACCOUNT #: 00086494801	BUY 0 Units @48.4700						
05/07/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	15.00	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 00089045192	BUY 0 Units @48.4700						
05/07/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	68.56	0.69	0.00	0.69	80.0	0.55
	ACCOUNT #: 00089319958	BUY 1 Units @48.4700						
05/07/2018	***-**-482I - MARCONI, TODD	THE GROWTH FUND OF AMERICA-C	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089570936	BUY 0 Units @48.4700						
05/07/2018	***-**-4926 - HAUN, GARY	THE GROWTH FUND OF AMERICA-C	22.56	0.23	0.00	0.23	80.0	0.18
	ACCOUNT #: 04000492822	BUY 0 Units @48.4700						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/07/2018	***-**-4926 - HAUN, GARY	THE GROWTH FUND OF AMERICA-C	112.80	1.13	0.00	1.13	80.0	0.90
	ACCOUNT #: 04000492822	BUY 2 Units @48.4700						
05/07/2018	***-**-0006 - FORSYTH, KATHRYN	THE GROWTH FUND OF AMERICA-C	86.54	0.87	0.00	0.87	80.0	0.70
	ACCOUNT #: 04000650661	BUY 2 Units @48.4700						
05/08/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	176.00	1.76	0.00	1.76	80.0	1.41
	ACCOUNT #: 00073003754	BUY 4 Units @48.4900						
05/10/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	225.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 04000591484	BUY 5 Units @49.2600						
05/10/2018	***-**-1307 - BONACCI,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 00087952601	BUY 2 Units @49.2600						
05/10/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	15.00	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 00089045192	BUY 0 Units @49.2600						
05/10/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	20.16	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089583477	BUY 0 Units @49.2600						
05/10/2018	***-**-50IN - BONACCI,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 00089947853	BUY 2 Units @49.2600						
05/10/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	225.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 04000591533	BUY 5 Units @49.2600						
05/11/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @49.2600						
05/11/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @49.2600						
05/11/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @49.2600						
05/11/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @49.2600						
05/07/2018	***-**-63IN - DIAMOND, ANN	U.S. GOVERNMENT SECURITIES FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085468057	BUY 4 Units @13.2800						
05/07/2018	***-**-482I - MARCONI, TODD	WASHINGTON MUTUAL INVESTORS FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @44.8300						
05/07/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @44.8300						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/07/2018	***-**-4926 - HAUN, GARY	WASHINGTON MUTUAL INVESTORS FUND-C	16.92	0.17	0.00	0.17	80.0	0.14
	ACCOUNT #: 04000492822	BUY 0 Units @44.8300						
05/07/2018	***-**-4926 - HAUN, GARY	WASHINGTON MUTUAL INVESTORS FUND-C	84.60	0.85	0.00	0.85	80.0	0.68
	ACCOUNT #: 04000492822	BUY 2 Units @44.8300						
05/08/2018	***-**-435P - BOSCO, SOFIA	WASHINGTON MUTUAL INVESTORS FUND-C	187.00	1.87	0.00	1.87	80.0	1.50
	ACCOUNT #: 00073003754	BUY 4 Units @44.7900						
05/10/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @45.5800						
* MUTUAL FUNDS SUBTOTAL *			\$11,635.65	\$160.63	\$3.00	\$157.63		\$125.86
PRODUCT CATEGORY: LIFE INSURANCE								
05/17/2018	***-**-77IN - TASCIONE,	NATIONWIDE YOURLIFE ACCUMULATION VU	833.00	8.33	0.00	8.33	80.0	6.66
	ACCOUNT #: N550288500	BUY 1 Units @833.0000						
* LIFE INSURANCE SUBTOTAL *			\$833.00	\$8.33	\$0.00	\$8.33		\$6.66
PRODUCT CATEGORY: 529 PLAN								
05/21/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 COLLEGE PORT - C	47.10	0.47	0.00	0.47	80.0	0.38
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
05/21/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 COLLEGE PORT - C	45.71	0.46	0.00	0.46	80.0	0.37
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
05/21/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 EQUITY INCOME PORTF C	45.71	0.46	0.00	0.46	80.0	0.37
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
05/21/2018	***-**-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						
* 529 PLAN SUBTOTAL *			\$188.52	\$3.77	\$0.00	\$3.77		\$3.02
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
05/21/2018	***-**-14IN - BENEDETTO,	AMERICAN BALANCED FUND-C	0.00	26.05	0.00	26.05	80.0	20.84
	ACCOUNT #: LSR010421	BUY 1 Units @0.0000						
05/21/2018	***-**-19IN - LIPPA, MARISSA	AMERICAN BALANCED FUND-C	0.00	1.27	0.00	1.27	80.0	1.02
	ACCOUNT #: LSR011011	BUY 1 Units @0.0000						
05/21/2018	***-**-61IO - BONACCI, FBO	AMERICAN BALANCED FUND-C	0.00	5.67	0.00	5.67	80.0	4.54
	ACCOUNT #: LSR011143	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-497J - WARNEY, KENNETH	AMERICAN BALANCED FUND-C	0.00	3.52	0.00	3.52	80.0	2.82
	ACCOUNT #: LSR011248	BUY 1 Units @0.0000						
05/21/2018	***-**-58IR - HINDERLAND, GARY	AMERICAN BALANCED FUND-C	0.00	1.60	0.00	1.60	80.0	1.28
	ACCOUNT #: LSR011249	BUY 1 Units @0.0000						
05/21/2018	***-**-283I - RICCI, GABRIELLE	AMERICAN BALANCED FUND-C	0.00	3.20	0.00	3.20	80.0	2.56
	ACCOUNT #: LSR011473	BUY 1 Units @0.0000						
05/21/2018	***-**-95IO - KELLY, COURTNEY	AMERICAN BALANCED FUND-C	0.00	2.93	0.00	2.93	80.0	2.34
	ACCOUNT #: LSR011685	BUY 1 Units @0.0000						
05/21/2018	***-**-18IO - TAYLOR, GREGORY	AMERICAN BALANCED FUND-C	0.00	22.35	0.00	22.35	80.0	17.88
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - MOYER, COLLEEN	AMERICAN BALANCED FUND-C	0.00	12.50	0.00	12.50	80.0	10.00
	ACCOUNT #: LSR011724	BUY 1 Units @0.0000						
05/21/2018	***-**-80IR - MOYER, COLLEEN	AMERICAN BALANCED FUND-C	0.00	14.35	0.00	14.35	80.0	11.48
	ACCOUNT #: LSR011726	BUY 1 Units @0.0000						
05/21/2018	***-**-92IR - CHEN, CYNTHIA	AMERICAN BALANCED FUND-C	0.00	1.49	0.00	1.49	80.0	1.19
	ACCOUNT #: LSR011784	BUY 1 Units @0.0000						
05/21/2018	***-**-80IR - ROBERTS,	AMERICAN BALANCED FUND-C	0.00	0.22	0.00	0.22	80.0	0.18
	ACCOUNT #: LSR011795	BUY 1 Units @0.0000						
05/21/2018	***-**-11IN - RUSSELL, ALAN	AMERICAN FUND TAX - EXEMPT FUND OF	0.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: LSR011417	BUY 1 Units @0.0000						
05/21/2018	***-**-61IN - OLIVERI, WILLIAM	AMERICAN HIGH INCOME MUNI BOND CLAS	0.00	101.74	0.00	101.74	80.0	81.39
	ACCOUNT #: LSR011543	BUY 1 Units @0.0000						
05/21/2018	***-**-306I - SINCLAIR,	AMERICAN HIGH-INCOME TRUST-C	0.00	5.05	0.00	5.05	80.0	4.04
	ACCOUNT #: LSR010992	BUY 1 Units @0.0000						
05/21/2018	***-**-05IO - KIMBLE, LONNY	AMERICAN HIGH-INCOME TRUST-C	0.00	56.29	0.00	56.29	80.0	45.03
	ACCOUNT #: LSR011472	BUY 1 Units @0.0000						
05/21/2018	***-**-18IO - TAYLOR, GREGORY	AMERICAN HIGH-INCOME TRUST-C	0.00	20.98	0.00	20.98	80.0	16.78
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - MOYER, COLLEEN	AMERICAN HIGH-INCOME TRUST-C	0.00	11.70	0.00	11.70	80.0	9.36
	ACCOUNT #: LSR011724	BUY 1 Units @0.0000						
05/21/2018	***-**-14IN - BENEDETTO,	AMERICAN MUTUAL FUND-C	0.00	27.06	0.00	27.06	80.0	21.65
	ACCOUNT #: LSR010421	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-44IR - ROBERTSON, ACCOUNT #: LSR010558	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	80.0	1.26
05/21/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	7.14	0.00	7.14	80.0	5.71
05/21/2018	***-**-497J - WARNEY, KENNETH ACCOUNT #: LSR011248	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	80.0	1.09
05/21/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	91.28	0.00	91.28	80.0	73.02
05/21/2018	***-**-306I - SINCLAIR, ACCOUNT #: LSR010992	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.15	0.00	5.15	80.0	4.12
05/21/2018	***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	6.47	0.00	6.47	80.0	5.18
05/21/2018	***-**-92IR - CHEN, CYNTHIA ACCOUNT #: LSR011784	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.61	0.00	1.61	80.0	1.29
05/21/2018	***-**-540J - ARBORE, MARIA	COLUMBIA MF TRAILS BUY 0 Units @0.0000	0.00	2.18	0.00	2.18	80.0	1.74
05/21/2018	***-**-07IN - SCARPULLA,	COLUMBIA MF TRAILS BUY 0 Units @0.0000	0.00	15.26	0.00	15.26	80.0	12.21
05/04/2018	***-**-732J - ARBORE, MARIA ACCOUNT #: 00000108231	CORE BOND FUND - A BUY 0 Units @0.0000	0.00	4.10	0.00	4.10	80.0	3.28
05/21/2018	***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	24.15	0.00	24.15	80.0	19.32
05/21/2018	***-**-80IN - MOYER, COLLEEN ACCOUNT #: LSR011724	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	13.49	0.00	13.49	80.0	10.79
05/21/2018	***-**-80IR - MOYER, COLLEEN ACCOUNT #: LSR011726	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	7.67	0.00	7.67	80.0	6.14
05/21/2018	***-**-92IR - CHEN, CYNTHIA ACCOUNT #: LSR011412	GLOBAL OPPORTUNITIES A BUY 1 Units @0.0000	0.00	1.89	0.00	1.89	80.0	1.51
05/04/2018	***-**-39IN - ARBORE, MARIA ACCOUNT #: 00000176375	GROWTH AND INCOME FUND - A BUY 0 Units @0.0000	0.00	2.82	0.00	2.82	80.0	2.26
05/21/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	96.53	0.00	96.53	80.0	77.22



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-306I - SINCLAIR, ACCOUNT #: LSR010992	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	5.30	0.00	5.30	80.0	4.24
05/21/2018	***-**-05IO - KIMBLE, LONNY ACCOUNT #: LSR011472	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	57.51	0.00	57.51	80.0	46.01
05/21/2018	***-**-70UT - GALLETTS CUST, ACCOUNT #: LSR011191	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @0.0000	0.00	6.70	0.00	6.70	80.0	5.36
05/21/2018	***-**-92IR - CRISPINO, FBO ACCOUNT #: LSR011073	NEW PERSPECTIVE FUND-C BUY 1 Units @0.0000	0.00	11.96	0.00	11.96	80.0	9.57
05/21/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	NEW PERSPECTIVE FUND-C BUY 1 Units @0.0000	0.00	5.34	0.00	5.34	80.0	4.27
05/21/2018	***-**-825P - CRISPINO, DIANA ACCOUNT #: LSR011759	NEW PERSPECTIVE FUND-C BUY 1 Units @0.0000	0.00	5.73	0.00	5.73	80.0	4.58
05/11/2018	***-**-6836 - SMITH, ADRIENNE ACCOUNT #: 00100067156	OPPENHEIMER CORP BOND FND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
05/21/2018	***-**-20IN - GIANGRECO, TERRY ACCOUNT #: LSR010603	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	99.87	0.00	99.87	80.0	79.90
05/21/2018	***-**-92IR - CHEN, CYNTHIA ACCOUNT #: LSR011412	SELECT VALUE FUND A BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	80.0	0.98
05/04/2018	***-**-33UG - DELGAIZO, ALESHA ACCOUNT #: 00000413901	SMALL CAP EQUITY FUND - A BUY 0 Units @0.0000	0.00	1.61	0.00	1.61	80.0	1.29
05/21/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	THE BOND FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	5.83	0.00	5.83	80.0	4.66
05/21/2018	***-**-497J - WARNEY, KENNETH ACCOUNT #: LSR011248	THE GROWTH FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	80.0	1.10
05/21/2018	***-**-283I - RICCI, GABRIELLE ACCOUNT #: LSR011473	THE GROWTH FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	4.98	0.00	4.98	80.0	3.98
05/21/2018	***-**-20IN - GIANGRECO, TERRY ACCOUNT #: LSR010603	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 1 Units @0.0000	0.00	357.41	0.00	357.41	80.0	285.93
05/21/2018	***-**-61IN - OLIVERI, WILLIAM ACCOUNT #: LSR011543	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 1 Units @0.0000	0.00	148.12	0.00	148.12	80.0	118.50
05/21/2018	***-**-80IR - MOYER, COLLEEN ACCOUNT #: LSR011726	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @0.0000	0.00	7.51	0.00	7.51	80.0	6.01



COMMISSION STATEMENT

May 21, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-92IR - CHEN, CYNTHIA	WASHINGTON MUTUAL INVESTORS FUND-C	0.00	1.54	0.00	1.54	80.0	1.23
	ACCOUNT #: LSR011784	BUY 1 Units @0.0000						
05/03/2018	***-**-27IN - TINKLEPAUGH,	WELLS FGO AVTG DIVERSFD CAPITAL BLD	0.00	1.06	0.00	1.06	80.0	0.85
	ACCOUNT #: 01005412974	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$25.00	\$1,324.07	\$0.00	\$1,324.07		\$1,059.26
*** BROKER TRANSACTIONS TOTAL ***			\$12,682.17	\$1,496.80	\$3.00	\$1,493.80		\$1,194.80

BROKER COMMISSION TOTALS

Broker Transactions	\$1,194.80
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	\$1,194.80
Year-to-date Earnings	\$78,789.11