



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
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>								
01/16/2018	***-**-35IN - LIGHT AND POWER,	AMERICAN HIGH-INCOME TRUST-A	75.00	2.06	0.00	2.06	95.0	1.96
	ACCOUNT #: 00081655418	BUY 7 Units @10.8200						
01/16/2018	***-**-35IN - LIGHT AND POWER,	CAPITAL INCOME BUILDER-A	125.00	3.44	0.00	3.44	95.0	3.27
	ACCOUNT #: 00081655418	BUY 2 Units @66.2500						
01/16/2018	***-**-2256 - SPITZER, HERSHEL	CAPITAL INCOME BUILDER-A	87.50	2.41	0.00	2.41	95.0	2.29
	ACCOUNT #: 00083997024	BUY 1 Units @66.2500						
01/19/2018	***-**-3500 - NIELSEN, JEFFREY	DELAWARE SMALL MID CAP GROWTH FUND	150.00	6.00	0.00	6.00	95.0	5.70
	ACCOUNT #: 6000305476	BUY 0 Units @0.0000						
01/16/2018	***-**-2256 - SPITZER, HERSHEL	EUROPACIFIC GROWTH FUND-A	87.50	2.41	0.00	2.41	95.0	2.29
	ACCOUNT #: 00083997024	BUY 1 Units @60.6700						
01/16/2018	***-**-2256 - SPITZER, HERSHEL	FUNDAMENTAL INVESTORS-A	137.50	3.78	0.00	3.78	95.0	3.59
	ACCOUNT #: 00083997024	BUY 2 Units @67.1700						
01/16/2018	***-**-2256 - SPITZER, HERSHEL	NEW PERSPECTIVE FUND-A	137.50	3.78	0.00	3.78	95.0	3.59
	ACCOUNT #: 00083997024	BUY 3 Units @46.7600						
01/16/2018	***-**-35IN - LIGHT AND POWER,	THE INCOME FUND OF AMERICA-A	150.00	4.13	0.00	4.13	95.0	3.92
	ACCOUNT #: 00081655418	BUY 6 Units @24.6900						
* MUTUAL FUNDS SUBTOTAL *			\$950.00	\$28.01	\$0.00	\$28.01		\$26.61
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
01/08/2018	***-**-60CL - KALINOWSKI,	LINCOLN 008148728	54.29	1.09	0.00	1.09	95.0	1.04
	ACCOUNT #: F1525479	BUY 0 Units @0.0000						
01/16/2018	***-**-8367 - RAGUSO, PAMELA	PRUDENTIAL VA TRAILS 74429P110	100.00	6.00	0.00	6.00	95.0	5.70
	ACCOUNT #: E1470506	BUY 0 Units @0.0000						
01/12/2018	***-**-575I - PALELLA, CHARLES	PRUDENTIAL VA TRAILS 74429P144	100.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: E1764889	BUY 0 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$254.29	\$7.09	\$0.00	\$7.09		\$6.74
<u>PRODUCT CATEGORY: RIA</u>								
01/18/2018	***-**-60FB - KALINOWSKI,	NEW FRONTIER ETF, PROFILE 3, MODERA	41,577.12	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 1681311	BUY 0 Units @415.7712						
01/18/2018	***-**-60FB - KALINOWSKI,	NEW FRONTIER ETF, PROFILE 4, MODERA	225,881.10	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 1681313	BUY 0 Units @2258.8110						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: RIA (continued)</u>								
01/18/2018	***-**-60FB - KALINOWSKI, ACCOUNT #: 1681312	NEW FRONTIER ETF, PROFILE 4, MODERA BUY 0 Units @254.5168	25,451.68	0.00	0.00	0.00	95.0	0.00
* RIA SUBTOTAL *			\$292,909.90	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: 529 PLAN</u>								
01/02/2018	***-**-975P - SCHEUING, WAYNE ACCOUNT #: 01438811646	FA 529 NEW INSIGHTS PORT-CL C BUY 2 Units @25.7500	50.00	0.50	0.00	0.50	95.0	0.48
01/02/2018	***-**-975P - SCHEUING, WAYNE ACCOUNT #: 01429492661	FA 529 NEW INSIGHTS PORT-CL C BUY 2 Units @25.7500	50.00	0.50	0.00	0.50	95.0	0.48
01/02/2018	***-**-975P - SCHEUING, WAYNE ACCOUNT #: 00625264015	FA 529 NEW INSIGHTS PORT-CL C BUY 2 Units @25.7500	50.00	0.50	0.00	0.50	95.0	0.48
01/05/2018	***-**-975P - SCHEUING, WAYNE ACCOUNT #: 01429492661	FA 529 NEW INSIGHTS PORT-CL C BUY 4 Units @26.2900	100.00	1.00	0.00	1.00	95.0	0.95
* 529 PLAN SUBTOTAL *			\$250.00	\$2.50	\$0.00	\$2.50		\$2.39
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/01/2018	***-**-942I - LECHOWSKI, PIOTR ACCOUNT #: 05056164907	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	9.55	0.00	9.55	95.0	9.07
01/01/2018	***-**-022I - PERRY, JESSICA ACCOUNT #: 00777099026	AIM CHARTER FUND - CLASS C BUY 0 Units @0.0000	0.00	0.36	0.00	0.36	95.0	0.34
01/01/2018	***-**-498K - INDELICATO, ACCOUNT #: 00777153759	AIM CHARTER FUND - CLASS C BUY 0 Units @0.0000	0.00	6.76	0.00	6.76	95.0	6.42
01/01/2018	***-**-51SI - KEATING, DANIEL ACCOUNT #: 00777158146	AIM CHARTER FUND - CLASS C BUY 0 Units @0.0000	0.00	1.06	0.00	1.06	95.0	1.01
01/01/2018	***-**-67IR - GAISSER, DARCY ACCOUNT #: 01000021673	AIM CHARTER FUND - CLASS C BUY 0 Units @0.0000	0.00	1.89	0.00	1.89	95.0	1.80
01/01/2018	***-**-267I - GAISSER, DARCY ACCOUNT #: 01000021706	AIM CHARTER FUND - CLASS C BUY 0 Units @0.0000	0.00	4.66	0.00	4.66	95.0	4.43
01/01/2018	***-**-537J - GOLDBLATT, ACCOUNT #: 01000217759	AIM CHARTER FUND - CLASS C BUY 0 Units @0.0000	0.00	3.31	0.00	3.31	95.0	3.14
01/01/2018	***-**-959P - HENNEKEY, ACCOUNT #: 02500011737	AIM CHARTER FUND - CLASS C BUY 0 Units @0.0000	0.00	10.98	0.00	10.98	95.0	10.43



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/01/2018	***-**-52IR - WASSEM, HEATH	AIM CHARTER FUND - CLASS C	0.00	1.66	0.00	1.66	95.0	1.58
	ACCOUNT #: 03810631782	BUY 0 Units @0.0000						
01/01/2018	***-**-501I - MCMANUS, MAUREEN	AIM CHARTER FUND - CLASS C	0.00	0.27	0.00	0.27	95.0	0.26
	ACCOUNT #: 03870029810	BUY 0 Units @0.0000						
01/01/2018	***-**-537J - GOLDBLATT,	AIM DEVELOPING MARKETS FUND - CLASS	0.00	0.33	0.00	0.33	95.0	0.31
	ACCOUNT #: 01000217759	BUY 0 Units @0.0000						
01/01/2018	***-**-229I - WALKER, ADAM	AIM DEVELOPING MARKETS FUND - CLASS	0.00	2.76	0.00	2.76	95.0	2.62
	ACCOUNT #: 02500049319	BUY 0 Units @0.0000						
01/01/2018	***-**-1352 - BAKER, DIANE	AIM DEVELOPING MARKETS FUND - CLASS	0.00	31.10	0.00	31.10	95.0	29.55
	ACCOUNT #: 02500079035	BUY 0 Units @0.0000						
01/01/2018	***-**-942I - LECHOWSKI, PIOTR	AIM DIVERSIFIED DIVIDEND FUND - CL	0.00	0.48	0.00	0.48	95.0	0.46
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
01/01/2018	***-**-51SI - KEATING, DANIEL	AIM EUROPEAN GROWTH FUND - CLASS C	0.00	29.81	0.00	29.81	95.0	28.32
	ACCOUNT #: 00777158146	BUY 0 Units @0.0000						
01/01/2018	***-**-67IR - GAISSER, DARCY	AIM EUROPEAN SMALL COMPANY FUND - C	0.00	27.72	0.00	27.72	95.0	26.33
	ACCOUNT #: 01000021673	BUY 0 Units @0.0000						
01/01/2018	***-**-229I - WALKER, ADAM	AIM EUROPEAN SMALL COMPANY FUND - C	0.00	2.55	0.00	2.55	95.0	2.42
	ACCOUNT #: 02500049319	BUY 0 Units @0.0000						
01/01/2018	***-**-25IE - PRZEPIORA,	AIM GLOBAL AGGRESSIVE GROWTH FD -CL	0.00	0.68	0.00	0.68	95.0	0.65
	ACCOUNT #: 03911599169	BUY 0 Units @0.0000						
01/01/2018	***-**-60CL - KALINOWSKI,	AIM GLOBAL EQUITY FUND - CLASS A	0.00	8.36	0.00	8.36	95.0	7.94
	ACCOUNT #: 05053804836	BUY 0 Units @0.0000						
01/01/2018	***-**-51SI - KEATING, DANIEL	AIM GLOBAL HEALTH CARE FUND - CLASS	0.00	28.41	0.00	28.41	95.0	26.99
	ACCOUNT #: 00777158146	BUY 0 Units @0.0000						
01/01/2018	***-**-5498 - INDELICATO,	AIM GLOBAL HEALTH CARE FUND - CLASS	0.00	9.11	0.00	9.11	95.0	8.65
	ACCOUNT #: 00777159873	BUY 0 Units @0.0000						
01/01/2018	***-**-942I - LECHOWSKI, PIOTR	AIM GLOBAL HEALTH CARE FUND CLASS A	0.00	1.64	0.00	1.64	95.0	1.56
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
01/01/2018	***-**-8704 - LYNCH, TIMOHTY	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	2.17	0.00	2.17	95.0	2.06
	ACCOUNT #: 06700232960	BUY 0 Units @0.0000						
01/01/2018	***-**-695P - COLONEY, DANIEL	AIM INTERNATIONAL ALLOCATION FD-CL	0.00	5.00	0.00	5.00	95.0	4.75
	ACCOUNT #: 01000152049	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/01/2018	***-**-165P - PRINCE, WILBUR	AIM INTERNATIONAL ALLOCATION FD-CL	0.00	0.74	0.00	0.74	95.0	0.70
	ACCOUNT #: 01000157109	BUY 0 Units @0.0000						
01/01/2018	***-**-127I - EVANS, LANCE	AIM INTERNATIONAL ALLOCATION FD-CL	0.00	1.25	0.00	1.25	95.0	1.19
	ACCOUNT #: 01000176302	BUY 0 Units @0.0000						
01/01/2018	***-**-78UG - GRIFFIN, MILTON	AIM INTERNATIONAL ALLOCATION FD-CL	0.00	2.32	0.00	2.32	95.0	2.20
	ACCOUNT #: 04038718195	BUY 0 Units @0.0000						
01/01/2018	***-**-022I - PERRY, JESSICA	AIM INTERNATIONAL ALLOCATION FD-CL	0.00	0.76	0.00	0.76	95.0	0.72
	ACCOUNT #: 00777099026	BUY 0 Units @0.0000						
01/01/2018	***-**-5498 - INDELICATO,	AIM INTERNATIONAL GROWTH FUND - CL	0.00	2.99	0.00	2.99	95.0	2.84
	ACCOUNT #: 00777159873	BUY 0 Units @0.0000						
01/01/2018	***-**-942I - LECHOWSKI, PIOTR	AIM MID-CAP EQUITY FUND CLASS A	0.00	8.90	0.00	8.90	95.0	8.46
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
01/01/2018	***-**-498K - INDELICATO,	AIM SELECT REAL ESTATE INCOME FD-CL	0.00	6.06	0.00	6.06	95.0	5.76
	ACCOUNT #: 00777153759	BUY 0 Units @0.0000						
01/01/2018	***-**-59IR - HENNEKEY,	AIM SMALL CAP EQUITY FUND - CLASS C	0.00	7.31	0.00	7.31	95.0	6.94
	ACCOUNT #: 02500013377	BUY 0 Units @0.0000						
01/01/2018	***-**-74IN - KETCHUM, STEVEN	AIM SMALL CAP EQUITY FUND - CLASS C	0.00	12.40	0.00	12.40	95.0	11.78
	ACCOUNT #: 03811119944	BUY 0 Units @0.0000						
01/01/2018	***-**-942I - LECHOWSKI, PIOTR	AIM TECHNOLOGY FUND - CLASS A	0.00	0.96	0.00	0.96	95.0	0.91
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
01/01/2018	***-**-161I - FANNING, MICHAEL	AIM TECHNOLOGY FUND - CLASS A	0.00	0.58	0.00	0.58	95.0	0.55
	ACCOUNT #: 07002253735	BUY 0 Units @0.0000						
01/01/2018	***-**-51SI - KEATING, DANIEL	AIM TECHNOLOGY FUND - CLASS C	0.00	37.73	0.00	37.73	95.0	35.84
	ACCOUNT #: 00777158146	BUY 0 Units @0.0000						
01/01/2018	***-**-959P - HENNEKEY,	AIM TECHNOLOGY FUND - CLASS C	0.00	20.88	0.00	20.88	95.0	19.84
	ACCOUNT #: 02500011737	BUY 0 Units @0.0000						
01/01/2018	***-**-400P - PIGNONE, LIDIA	AIM TECHNOLOGY FUND - CLASS C	0.00	4.96	0.00	4.96	95.0	4.71
	ACCOUNT #: 02500021797	BUY 0 Units @0.0000						
01/01/2018	***-**-52IR - WASSEM, HEATH	AIM TECHNOLOGY FUND - CLASS C	0.00	19.53	0.00	19.53	95.0	18.55
	ACCOUNT #: 03810631782	BUY 0 Units @0.0000						
01/01/2018	***-**-93IR - RATH, CHARLENE	AIM TECHNOLOGY FUND - CLASS C	0.00	7.74	0.00	7.74	95.0	7.35
	ACCOUNT #: 03811119720	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/01/2018	***-**-996I - MARTIN, MICHAEL	AIM TECHNOLOGY FUND - CLASS C	0.00	1.42	0.00	1.42	95.0	1.35
	ACCOUNT #: 03911370421	BUY 0 Units @0.0000						
01/01/2018	***-**-498K - INDELICATO,	AIM TRIMARK ENDEAVOR - CLASS C	0.00	6.93	0.00	6.93	95.0	6.58
	ACCOUNT #: 00777153759	BUY 0 Units @0.0000						
01/22/2018	***-**-68IN - WARNER, JANET	AMCAP FUND-F1	0.00	0.83	0.00	0.83	95.0	0.79
	ACCOUNT #: LSR010222	BUY 1 Units @0.0000						
01/22/2018	***-**-6468 - WARNER, JANET	AMCAP FUND-F1	0.00	0.65	0.00	0.65	95.0	0.62
	ACCOUNT #: LSR010223	BUY 1 Units @0.0000						
01/22/2018	***-**-007J - SMITH, WILLIAM	AMERICAN BALANCED FUND-A	0.00	0.12	0.00	0.12	95.0	0.11
	ACCOUNT #: LSR011603	BUY 1 Units @0.0000						
01/22/2018	***-**-20UT - SMITH UTMA VA,	AMERICAN BALANCED FUND-A	0.00	0.96	0.00	0.96	95.0	0.91
	ACCOUNT #: LSR011604	BUY 1 Units @0.0000						
01/22/2018	***-**-38IO - GRAHAM	AMERICAN GLOBAL BALANCED CLASS A	0.00	1.68	0.00	1.68	95.0	1.60
	ACCOUNT #: LSR005428	BUY 1 Units @0.0000						
01/22/2018	***-**-950I - JENKINS, JOHN	AMERICAN GLOBAL BALANCED CLASS A	0.00	1.75	0.00	1.75	95.0	1.66
	ACCOUNT #: LSR011619	BUY 1 Units @0.0000						
01/22/2018	***-**-149I - JENKINS, BARBARA	AMERICAN GLOBAL BALANCED CLASS A	0.00	1.80	0.00	1.80	95.0	1.71
	ACCOUNT #: LSR011620	BUY 1 Units @0.0000						
01/22/2018	***-**-22IN - SAUTTER, TERRIE	CAPITAL INCOME BUILDER-A	0.00	6.32	0.00	6.32	95.0	6.00
	ACCOUNT #: LSR011302	BUY 1 Units @0.0000						
01/22/2018	***-**-950I - JENKINS, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.05	0.00	1.05	95.0	1.00
	ACCOUNT #: LSR011619	BUY 1 Units @0.0000						
01/22/2018	***-**-149I - JENKINS, BARBARA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.08	0.00	1.08	95.0	1.03
	ACCOUNT #: LSR011620	BUY 1 Units @0.0000						
01/22/2018	***-**-68IN - WARNER, JANET	CAPITAL WORLD GROWTH AND INCOME-F1	0.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: LSR010222	BUY 1 Units @0.0000						
01/22/2018	***-**-6468 - WARNER, JANET	CAPITAL WORLD GROWTH AND INCOME-F1	0.00	0.48	0.00	0.48	95.0	0.46
	ACCOUNT #: LSR010223	BUY 1 Units @0.0000						
01/22/2018	***-**-605P - BONSIGNORE,	COLLEGEBOUND 529 TRAILS	0.00	5.76	0.00	5.76	95.0	5.47
		BUY 0 Units @0.0000						
01/22/2018	***-**-9069 - HAYES, DAVID	COLLEGEBOUND 529 TRAILS	0.00	27.65	0.00	27.65	95.0	26.27
		BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/16/2018	***-**-007J - SMITH, WILLIAM	DELAWARE SMALL CAP VALUE FUND A CLA	0.00	0.31	0.00	0.31	95.0	0.29
	ACCOUNT #: LSR011603	BUY 1 Units @0.0000						
01/16/2018	***-**-007J - SMITH, WILLIAM	DELAWARE VALUE FD CL A	0.00	0.28	0.00	0.28	95.0	0.27
	ACCOUNT #: LSR011603	BUY 1 Units @0.0000						
01/05/2018	***-**-837J - HARRIS, THOMAS	DYNAMIC SMALL CAP FUND - A	0.00	3.07	0.00	3.07	95.0	2.92
	ACCOUNT #: 00000442576	BUY 0 Units @0.0000						
01/05/2018	***-**-14UG - MANNO, PAUL A	DYNAMIC SMALL CAP FUND - A	0.00	6.82	0.00	6.82	95.0	6.48
	ACCOUNT #: 00000456570	BUY 0 Units @0.0000						
01/05/2018	***-**-73IN - PHILIPPY, MARK	DYNAMIC SMALL CAP FUND - A	0.00	2.66	0.00	2.66	95.0	2.53
	ACCOUNT #: 00000457290	BUY 0 Units @0.0000						
01/05/2018	***-**-380I - COOK, JANINE	DYNAMIC SMALL CAP FUND - A	0.00	7.51	0.00	7.51	95.0	7.13
	ACCOUNT #: 00000458187	BUY 0 Units @0.0000						
01/05/2018	***-**-14UG - MANNO, PAUL A	DYNAMIC SMALL CAP FUND - A	0.00	6.82	0.00	6.82	95.0	6.48
	ACCOUNT #: 00000476122	BUY 0 Units @0.0000						
01/05/2018	***-**-16IN - CURRAN, THOMAS	DYNAMIC SMALL CAP FUND - A	0.00	5.46	0.00	5.46	95.0	5.19
	ACCOUNT #: 00000478324	BUY 0 Units @0.0000						
01/05/2018	***-**-305P - MILGATE, PATRICK	DYNAMIC SMALL CAP FUND - A	0.00	3.98	0.00	3.98	95.0	3.78
	ACCOUNT #: 00000485407	BUY 0 Units @0.0000						
01/08/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 COLLEGE PORT-CL C	0.00	3.84	0.00	3.84	95.0	3.65
	ACCOUNT #: 00625374335	BUY 0 Units @0.0000						
01/08/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	2.66	0.00	2.66	95.0	2.53
	ACCOUNT #: 00625264015	BUY 0 Units @0.0000						
01/08/2018	***-**-2326 - SILLS, MICHAEL	FA 529 NEW INSIGHTS PORT-CL A	0.00	0.65	0.00	0.65	95.0	0.62
	ACCOUNT #: 00625388988	BUY 0 Units @0.0000						
01/08/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	4.77	0.00	4.77	95.0	4.53
	ACCOUNT #: 01429492661	BUY 0 Units @0.0000						
01/08/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	3.42	0.00	3.42	95.0	3.25
	ACCOUNT #: 01429492687	BUY 0 Units @0.0000						
01/08/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	2.04	0.00	2.04	95.0	1.94
	ACCOUNT #: 01438811646	BUY 0 Units @0.0000						
01/08/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	1.05	0.00	1.05	95.0	1.00
	ACCOUNT #: 01439435668	BUY 0 Units @0.0000						



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400 West Metro Park
Rochester, NY 14623

BROKER #: 20
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)								
01/08/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	1.34	0.00	1.34	95.0	1.27
	ACCOUNT #: 00625264015	BUY 0 Units @0.0000						
01/08/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	1.25	0.00	1.25	95.0	1.19
	ACCOUNT #: 01429492661	BUY 0 Units @0.0000						
01/08/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	1.34	0.00	1.34	95.0	1.27
	ACCOUNT #: 01429492687	BUY 0 Units @0.0000						
01/08/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	1.34	0.00	1.34	95.0	1.27
	ACCOUNT #: 01438811646	BUY 0 Units @0.0000						
01/08/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	0.10	0.00	0.10	95.0	0.10
	ACCOUNT #: 01439435668	BUY 0 Units @0.0000						
01/08/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 PORT 2016-CL C	0.00	3.28	0.00	3.28	95.0	3.12
	ACCOUNT #: 00625374335	BUY 0 Units @0.0000						
01/08/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 PORT 2019-CL A	0.00	0.59	0.00	0.59	95.0	0.56
	ACCOUNT #: 00625374327	BUY 0 Units @0.0000						
01/08/2018	***-**-0054 - OSCHMANN, PAMELA	FA 529 PORT 2019-CL A	0.00	1.17	0.00	1.17	95.0	1.11
	ACCOUNT #: 00704575869	BUY 0 Units @0.0000						
01/08/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 PORT 2019-CL C	0.00	4.59	0.00	4.59	95.0	4.36
	ACCOUNT #: 00625374327	BUY 0 Units @0.0000						
01/08/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV DIVIDEND GROWTH FD CL	0.00	2.06	0.00	2.06	95.0	1.96
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
01/08/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV EMERGING ASIA FUND CL	0.00	3.83	0.00	3.83	95.0	3.64
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
01/08/2018	***-**-305P - DI MARCO,	FIDELITY ADV EMERGING MKTS-CL C	0.00	2.93	0.00	2.93	95.0	2.78
	ACCOUNT #: 00701854093	BUY 0 Units @0.0000						
01/08/2018	***-**-4567 - HOWIE, GORDON	FIDELITY ADV EMERGING MKTS-CL C	0.00	2.35	0.00	2.35	95.0	2.23
	ACCOUNT #: 00704021278	BUY 0 Units @0.0000						
01/08/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV EMERGING MKTS-CL C	0.00	0.63	0.00	0.63	95.0	0.60
	ACCOUNT #: 00704021286	BUY 0 Units @0.0000						
01/08/2018	***-**-806I - MARYJANOWSKI,	FIDELITY ADV EMERGING MKTS-CL C	0.00	0.12	0.00	0.12	95.0	0.11
	ACCOUNT #: 00704164920	BUY 0 Units @0.0000						
01/08/2018	***-**-248I - STAAB, DONNA	FIDELITY ADV EMERGING MKTS-CL C	0.00	2.50	0.00	2.50	95.0	2.38
	ACCOUNT #: 00704192111	BUY 0 Units @0.0000						



COMMISSION STATEMENT

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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/08/2018	***-**-9194 - MARTIN, BRIAN ACCOUNT #: 00704224948	FIDELITY ADV EMERGING MKTS-CL C BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	95.0	0.35
01/08/2018	***-**-082I - MEYER, DENNIS ACCOUNT #: 00689728715	FIDELITY ADV EQUITY GROWTH CL A BUY 0 Units @0.0000	0.00	1.88	0.00	1.88	95.0	1.79
01/08/2018	***-**-7153 - MENARD, MICHAEL ACCOUNT #: 00009008138	FIDELITY ADV EQUITY GROWTH CL T BUY 0 Units @0.0000	0.00	92.50	0.00	92.50	95.0	87.88
01/08/2018	***-**-591I - HEBBLETHWAITE, ACCOUNT #: 00618187975	FIDELITY ADV FREEDOM 2015-CL C BUY 0 Units @0.0000	0.00	13.53	0.00	13.53	95.0	12.85
01/08/2018	***-**-986I - MERLAU, SANDRA ACCOUNT #: 01448393544	FIDELITY ADV GLOBAL CAP APP-CL C BUY 0 Units @0.0000	0.00	4.43	0.00	4.43	95.0	4.21
01/08/2018	***-**-0730 - TANCK, LISA ACCOUNT #: 01468853039	FIDELITY ADV GROWTH & INCOME CL C BUY 0 Units @0.0000	0.00	9.90	0.00	9.90	95.0	9.41
01/08/2018	***-**-215I - HILL, ROBERT ACCOUNT #: 00655371573	FIDELITY ADV HEALTH CARE CL C BUY 0 Units @0.0000	0.00	9.62	0.00	9.62	95.0	9.14
01/08/2018	***-**-540I - DEGNAN, SUSAN ACCOUNT #: 01483840300	FIDELITY ADV HEALTH CARE CL C BUY 0 Units @0.0000	0.00	3.00	0.00	3.00	95.0	2.85
01/08/2018	***-**-8490 - ALLYN, ANN ACCOUNT #: 00009045530	FIDELITY ADV HIGH INCOME ADVANTAGE BUY 0 Units @0.0000	0.00	0.03	0.00	0.03	95.0	0.03
01/08/2018	***-**-6747 - LAKE, DAVID ACCOUNT #: 00655990968	FIDELITY ADV INTL CAPITAL APP CL C BUY 0 Units @0.0000	0.00	1.55	0.00	1.55	95.0	1.47
01/08/2018	***-**-015I - COLONEY, SHIRLEY ACCOUNT #: 01438826586	FIDELITY ADV INTL SMALL CAP OPPS-CL BUY 0 Units @0.0000	0.00	3.50	0.00	3.50	95.0	3.33
01/08/2018	***-**-806I - MARYJANOWSKI, ACCOUNT #: 00704164920	FIDELITY ADV INTL SMALL CAP OPPS-CL BUY 0 Units @0.0000	0.00	0.55	0.00	0.55	95.0	0.52
01/08/2018	***-**-248I - STAAB, DONNA ACCOUNT #: 00704192111	FIDELITY ADV INTL SMALL CAP OPPS-CL BUY 0 Units @0.0000	0.00	3.64	0.00	3.64	95.0	3.46
01/08/2018	***-**-9194 - MARTIN, BRIAN ACCOUNT #: 00704224948	FIDELITY ADV INTL SMALL CAP OPPS-CL BUY 0 Units @0.0000	0.00	0.83	0.00	0.83	95.0	0.79
01/08/2018	***-**-423I - ACCOUNT #: 00625454525	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	1.81	0.00	1.81	95.0	1.72
01/08/2018	***-**-015I - COLONEY, SHIRLEY ACCOUNT #: 01438826586	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	3.57	0.00	3.57	95.0	3.39



COMMISSION STATEMENT

January 22, 2018

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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/08/2018	***-**-586I - BACH, LINDA ACCOUNT #: 01447589845	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	2.52	0.00	2.52	95.0	2.39
01/08/2018	***-**-3750 - RAY, CHRISTIAN ACCOUNT #: 01459576656	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	1.16	0.00	1.16	95.0	1.10
01/08/2018	***-**-0887 - RAY, JONATHAN ACCOUNT #: 01459576698	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	1.16	0.00	1.16	95.0	1.10
01/08/2018	***-**-92CL - HAWRYLIAK, ACCOUNT #: 01477333049	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	10.52	0.00	10.52	95.0	9.99
01/08/2018	***-**-677I - SADLER, MICHAEL ACCOUNT #: 01432592572	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	7.90	0.00	7.90	95.0	7.51
01/08/2018	***-**-986I - MERLAU, SANDRA ACCOUNT #: 01448393544	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	16.75	0.00	16.75	95.0	15.91
01/08/2018	***-**-9668 - TANCK, ALICIA ACCOUNT #: 01468650880	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	6.11	0.00	6.11	95.0	5.80
01/08/2018	***-**-0730 - TANCK, LISA ACCOUNT #: 01468853039	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	12.81	0.00	12.81	95.0	12.17
01/08/2018	***-**-72IN - HERTZEL, GERALD ACCOUNT #: 00704765932	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	15.52	0.00	15.52	95.0	14.74
01/08/2018	***-**-215I - HILL, ROBERT ACCOUNT #: 00655371573	FIDELITY ADV MID CAP CL C BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	95.0	0.05
01/08/2018	***-**-9156 - KOLUPSKI, KIM ACCOUNT #: 00701046575	FIDELITY ADV MID CAP CL C BUY 0 Units @0.0000	0.00	64.69	0.00	64.69	95.0	61.46
01/08/2018	***-**-4938 - KNAPP, M JOETTE ACCOUNT #: 00700271000	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	3.83	0.00	3.83	95.0	3.64
01/08/2018	***-**-4567 - HOWIE, GORDON ACCOUNT #: 00704021278	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	10.24	0.00	10.24	95.0	9.73
01/08/2018	***-**-806I - MARYJANOWSKI, ACCOUNT #: 00704164920	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	0.90	0.00	0.90	95.0	0.86
01/08/2018	***-**-248I - STAAB, DONNA ACCOUNT #: 00704192111	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	15.51	0.00	15.51	95.0	14.73
01/08/2018	***-**-9194 - MARTIN, BRIAN ACCOUNT #: 00704224948	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	0.53	0.00	0.53	95.0	0.50



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/08/2018	***-**-403I - MILLER, DANIEL ACCOUNT #: 00704257047	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	4.32	0.00	4.32	95.0	4.10
01/08/2018	***-**-9357 - MACKENZIE, ACCOUNT #: 00704417856	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	5.66	0.00	5.66	95.0	5.38
01/08/2018	***-**-986I - MERLAU, SANDRA ACCOUNT #: 01448393544	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	12.07	0.00	12.07	95.0	11.47
01/08/2018	***-**-72IN - HERTZEL, GERALD ACCOUNT #: 00704765932	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	22.10	0.00	22.10	95.0	21.00
01/08/2018	***-**-31IN - O'DONNELL, ACCOUNT #: 00704828987	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	8.52	0.00	8.52	95.0	8.09
01/08/2018	***-**-015I - COLONEY, SHIRLEY ACCOUNT #: 01438826586	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	4.11	0.00	4.11	95.0	3.90
01/08/2018	***-**-586I - BACH, LINDA ACCOUNT #: 01447589845	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	7.86	0.00	7.86	95.0	7.47
01/08/2018	***-**-3750 - RAY, CHRISTIAN ACCOUNT #: 01459576656	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	1.16	0.00	1.16	95.0	1.10
01/08/2018	***-**-0887 - RAY, JONATHAN ACCOUNT #: 01459576698	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	1.16	0.00	1.16	95.0	1.10
01/08/2018	***-**-92CL - HAWRYLIAK, ACCOUNT #: 01477333049	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	10.38	0.00	10.38	95.0	9.86
01/08/2018	***-**-9357 - MACKENZIE, ACCOUNT #: 07044928914	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	2.81	0.00	2.81	95.0	2.67
01/08/2018	***-**-423I - ACCOUNT #: 00625454525	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	6.75	0.00	6.75	95.0	6.41
01/08/2018	***-**-661I - LACY, KIMBERLY ACCOUNT #: 00704518646	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	0.27	0.00	0.27	95.0	0.26
01/08/2018	***-**-586I - BACH, LINDA ACCOUNT #: 01447589845	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	18.81	0.00	18.81	95.0	17.87
01/08/2018	***-**-3750 - RAY, CHRISTIAN ACCOUNT #: 01459576656	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	1.23	0.00	1.23	95.0	1.17
01/08/2018	***-**-0887 - RAY, JONATHAN ACCOUNT #: 01459576698	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	1.64	0.00	1.64	95.0	1.56



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/08/2018	***-**-92CL - HAWRYLIAK, ACCOUNT #: 01477333049	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	11.55	0.00	11.55	95.0	10.97
01/08/2018	***-**-9357 - MACKENZIE, ACCOUNT #: 07044928914	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	5.49	0.00	5.49	95.0	5.22
01/08/2018	***-**-0054 - OSCHMANN, PAMELA ACCOUNT #: 00700197569	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	12.11	0.00	12.11	95.0	11.50
01/08/2018	***-**-0178 - MILICH, SHELLEY ACCOUNT #: 00516849395	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	14.28	0.00	14.28	95.0	13.57
01/08/2018	***-**-4938 - KNAPP, M JOETTE ACCOUNT #: 00700271000	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	5.74	0.00	5.74	95.0	5.45
01/08/2018	***-**-9156 - KOLUPSKI, KIM ACCOUNT #: 00701046575	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	79.03	0.00	79.03	95.0	75.08
01/08/2018	***-**-996I - MARTIN, MICHAEL ACCOUNT #: 00701808818	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	2.63	0.00	2.63	95.0	2.50
01/08/2018	***-**-305P - DI MARCO, ACCOUNT #: 00701854093	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	28.84	0.00	28.84	95.0	27.40
01/08/2018	***-**-4567 - HOWIE, GORDON ACCOUNT #: 00704021278	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	22.01	0.00	22.01	95.0	20.91
01/08/2018	***-**-9194 - MARTIN, BRIAN ACCOUNT #: 00704021286	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	0.59	0.00	0.59	95.0	0.56
01/08/2018	***-**-0300 - LOGORY, DOUGLAS ACCOUNT #: 00704131911	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	4.23	0.00	4.23	95.0	4.02
01/08/2018	***-**-806I - MARYJANOWSKI, ACCOUNT #: 00704164920	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	0.46	0.00	0.46	95.0	0.44
01/08/2018	***-**-9194 - MARTIN, BRIAN ACCOUNT #: 00704224948	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	0.20	0.00	0.20	95.0	0.19
01/08/2018	***-**-403I - MILLER, DANIEL ACCOUNT #: 00704257047	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	14.91	0.00	14.91	95.0	14.16
01/08/2018	***-**-9357 - MACKENZIE, ACCOUNT #: 00704417856	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	11.02	0.00	11.02	95.0	10.47
01/08/2018	***-**-792I - PUTNAM, CARL ACCOUNT #: 00704929348	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	95.0	0.16



COMMISSION STATEMENT

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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/08/2018	***-**-677I - SADLER, MICHAEL	FIDELITY ADV NEW INSIGHTS-CL C	0.00	19.77	0.00	19.77	95.0	18.78
	ACCOUNT #: 01432592572	BUY 0 Units @0.0000						
01/08/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV NEW INSIGHTS-CL C	0.00	22.55	0.00	22.55	95.0	21.42
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
01/08/2018	***-**-1159 - WHITE, MICHELE	FIDELITY ADV NEW INSIGHTS-CL C	0.00	13.46	0.00	13.46	95.0	12.79
	ACCOUNT #: 01454801075	BUY 0 Units @0.0000						
01/08/2018	***-**-2338 - DEAN, WILLIAM	FIDELITY ADV NEW INSIGHTS-CL C	0.00	0.03	0.00	0.03	95.0	0.03
	ACCOUNT #: 01466906946	BUY 0 Units @0.0000						
01/08/2018	***-**-3936 - TANCK, AARON	FIDELITY ADV NEW INSIGHTS-CL C	0.00	4.25	0.00	4.25	95.0	4.04
	ACCOUNT #: 01468650799	BUY 0 Units @0.0000						
01/08/2018	***-**-9668 - TANCK, ALICIA	FIDELITY ADV NEW INSIGHTS-CL C	0.00	8.24	0.00	8.24	95.0	7.83
	ACCOUNT #: 01468650880	BUY 0 Units @0.0000						
01/08/2018	***-**-0730 - TANCK, LISA	FIDELITY ADV NEW INSIGHTS-CL C	0.00	15.17	0.00	15.17	95.0	14.41
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
01/08/2018	***-**-72IN - HERTZEL, GERALD	FIDELITY ADV NEW INSIGHTS-CL C	0.00	19.73	0.00	19.73	95.0	18.74
	ACCOUNT #: 00704765932	BUY 0 Units @0.0000						
01/08/2018	***-**-31IN - O'DONNELL,	FIDELITY ADV NEW INSIGHTS-CL C	0.00	8.72	0.00	8.72	95.0	8.28
	ACCOUNT #: 00704828987	BUY 0 Units @0.0000						
01/22/2018	***-**-546J - MRS CANDICE	FIDELITY ADV NEW INSIGHTS-CL C	0.00	2.62	0.00	2.62	95.0	2.49
	ACCOUNT #: LSR010748	BUY 1 Units @0.0000						
01/08/2018	***-**-7153 - MENARD, MICHAEL	FIDELITY ADV NEW INSIGHTS-CL T	0.00	61.05	0.00	61.05	95.0	58.00
	ACCOUNT #: 00009008138	BUY 0 Units @0.0000						
01/08/2018	***-**-6747 - LAKE, DAVID	FIDELITY ADV SMALL CAP CL C	0.00	0.06	0.00	0.06	95.0	0.06
	ACCOUNT #: 00655990968	BUY 0 Units @0.0000						
01/08/2018	***-**-305P - DI MARCO,	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	6.87	0.00	6.87	95.0	6.53
	ACCOUNT #: 00701854093	BUY 0 Units @0.0000						
01/08/2018	***-**-0817 - PFENNINGER,	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	0.02	0.00	0.02	95.0	0.02
	ACCOUNT #: 00702891466	BUY 0 Units @0.0000						
01/08/2018	***-**-772J - HERTZEL, ROBERTA	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	0.51	0.00	0.51	95.0	0.48
	ACCOUNT #: 00704694777	BUY 0 Units @0.0000						
01/08/2018	***-**-31IN - O'DONNELL,	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	0.99	0.00	0.99	95.0	0.94
	ACCOUNT #: 00704828987	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
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)								
01/08/2018	***-**-3750 - RAY, CHRISTIAN	FIDELITY ADV STRATEGIC INCOME CL A	0.00	0.87	0.00	0.87	95.0	0.83
	ACCOUNT #: 01459576656	BUY 0 Units @0.0000						
01/08/2018	***-**-0887 - RAY, JONATHAN	FIDELITY ADV STRATEGIC INCOME CL A	0.00	0.77	0.00	0.77	95.0	0.73
	ACCOUNT #: 01459576698	BUY 0 Units @0.0000						
01/08/2018	***-**-0054 - OSCHMANN, PAMELA	FIDELITY ADV STRATEGIC INCOME CL A	0.00	7.72	0.00	7.72	95.0	7.33
	ACCOUNT #: 00700197569	BUY 0 Units @0.0000						
01/08/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV STRATEGIC INCOME CL C	0.00	0.12	0.00	0.12	95.0	0.11
	ACCOUNT #: 00704021286	BUY 0 Units @0.0000						
01/08/2018	***-**-1128 - COOK PC, E	FIDELITY ADV STRATEGIC INCOME CL C	0.00	0.02	0.00	0.02	95.0	0.02
	ACCOUNT #: 00704075456	BUY 0 Units @0.0000						
01/08/2018	***-**-0730 - TANCK, LISA	FIDELITY ADV STRATEGIC INCOME CL C	0.00	7.68	0.00	7.68	95.0	7.30
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
01/08/2018	***-**-72IN - HERTZEL, GERALD	FIDELITY ADV STRATEGIC INCOME CL C	0.00	19.81	0.00	19.81	95.0	18.82
	ACCOUNT #: 00704765932	BUY 0 Units @0.0000						
01/08/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV TECHNOLOGY CL A	0.00	1.83	0.00	1.83	95.0	1.74
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
01/08/2018	***-**-215I - HILL, ROBERT	FIDELITY ADV TECHNOLOGY CLASS C	0.00	0.05	0.00	0.05	95.0	0.05
	ACCOUNT #: 00655371573	BUY 0 Units @0.0000						
01/08/2018	***-**-46IN - PICKETT, ANITA	FIDELITY ADV TECHNOLOGY CLASS C	0.00	0.05	0.00	0.05	95.0	0.05
	ACCOUNT #: 00655906360	BUY 0 Units @0.0000						
01/08/2018	***-**-8879 - FEIL, WILLIAM	FIDELITY ADV TECHNOLOGY CLASS C	0.00	0.83	0.00	0.83	95.0	0.79
	ACCOUNT #: 00656087202	BUY 0 Units @0.0000						
01/08/2018	***-**-9137 - RAUTENSTAUCH,	FIDELITY ADV TECHNOLOGY CLASS C	0.00	1.13	0.00	1.13	95.0	1.07
	ACCOUNT #: 00669891301	BUY 0 Units @0.0000						
01/08/2018	***-**-9156 - KOLUPSKI, KIM	FIDELITY ADV VALUE STRATEGIES CL C	0.00	37.66	0.00	37.66	95.0	35.78
	ACCOUNT #: 00701046575	BUY 0 Units @0.0000						
01/08/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV VALUE STRATEGIES-CL A	0.00	1.46	0.00	1.46	95.0	1.39
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
01/22/2018	***-**-61IR - TOTMAN, FBO	FIDELITY ADVISOR CAPITAL DEV CL A	0.00	0.39	0.00	0.39	95.0	0.37
	ACCOUNT #: LSR010019	BUY 1 Units @0.0000						
01/08/2018	***-**-0054 - OSCHMANN, PAMELA	FIDELITY ADVISOR DIVERSIFIED INTL F	0.00	7.12	0.00	7.12	95.0	6.76
	ACCOUNT #: 00700197569	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
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)								
01/08/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADVISOR EMERGING MARKETS F	0.00	1.43	0.00	1.43	95.0	1.36
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						
01/08/2018	***-**-26IR - SILLS, MICHAEL	FIDELITY ADVISOR EMERGING MARKETS F	0.00	0.26	0.00	0.26	95.0	0.25
	ACCOUNT #: 01440241196	BUY 0 Units @0.0000						
01/08/2018	***-**-8879 - FEIL, WILLIAM	FIDELITY ADVISOR EQUITY GROWTH CL C	0.00	0.20	0.00	0.20	95.0	0.19
	ACCOUNT #: 00656087202	BUY 0 Units @0.0000						
01/08/2018	***-**-540I - DEGNAN, SUSAN	FIDELITY ADVISOR JAPAN CLASS C	0.00	3.72	0.00	3.72	95.0	3.53
	ACCOUNT #: 01483840300	BUY 0 Units @0.0000						
01/08/2018	***-**-7832 - GEISELHART,	FIDELITY ADVISOR MID CAP STOCK CL T	0.00	19.38	0.00	19.38	95.0	18.41
	ACCOUNT #: 00062724182	BUY 0 Units @0.0000						
01/08/2018	***-**-0730 - TANCK, LISA	FIDELITY ADVISORS	0.00	10.70	0.00	10.70	95.0	10.17
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
01/08/2018	***-**-92CL - HAWRYLIAK,	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	6.30	0.00	6.30	95.0	5.99
	ACCOUNT #: 01477333049	BUY 0 Units @0.0000						
01/22/2018	***-**-01IN - SAUTTER, HOWARD	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.46	0.00	0.46	95.0	0.44
	ACCOUNT #: LSR011301	BUY 1 Units @0.0000						
01/22/2018	***-**-22IN - SAUTTER, TERRIE	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	1.84	0.00	1.84	95.0	1.75
	ACCOUNT #: LSR011302	BUY 1 Units @0.0000						
01/01/2018	***-**-38IR - LEHR, ANDREA	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	2.81	0.00	2.81	95.0	2.67
	ACCOUNT #: 04039316379	BUY 0 Units @0.0000						
01/01/2018	***-**-78UG - GRIFFIN, MILTON	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	2.63	0.00	2.63	95.0	2.50
	ACCOUNT #: 04038718195	BUY 0 Units @0.0000						
01/01/2018	***-**-87UG - FARRELL, TYLER	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	1.44	0.00	1.44	95.0	1.37
	ACCOUNT #: 04038987410	BUY 0 Units @0.0000						
01/01/2018	***-**-51SI - KEATING, DANIEL	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	35.45	0.00	35.45	95.0	33.68
	ACCOUNT #: 00777158146	BUY 0 Units @0.0000						
01/01/2018	***-**-5498 - INDELICATO,	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	3.60	0.00	3.60	95.0	3.42
	ACCOUNT #: 00777159873	BUY 0 Units @0.0000						
01/01/2018	***-**-59IR - HENNEKEY,	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	11.31	0.00	11.31	95.0	10.74
	ACCOUNT #: 02500013377	BUY 0 Units @0.0000						
01/01/2018	***-**-400P - PIGNONE, LIDIA	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	4.79	0.00	4.79	95.0	4.55
	ACCOUNT #: 02500021797	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
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)								
01/01/2018	***-**-46IR - PICKETT, JEFFREY	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	3.40	0.00	3.40	95.0	3.23
	ACCOUNT #: 02500043932	BUY 0 Units @0.0000						
01/01/2018	***-**-44IE - WASSEM, CAROLYN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	0.77	0.00	0.77	95.0	0.73
	ACCOUNT #: 03809012069	BUY 0 Units @0.0000						
01/01/2018	***-**-67IR - HEBBLETHWAITE,	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	1.61	0.00	1.61	95.0	1.53
	ACCOUNT #: 03809052578	BUY 0 Units @0.0000						
01/01/2018	***-**-56IR - KOLUPSKI, GEORGE	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	7.87	0.00	7.87	95.0	7.48
	ACCOUNT #: 03810310445	BUY 0 Units @0.0000						
01/01/2018	***-**-74IR - KETCHUM, STEVEN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	7.91	0.00	7.91	95.0	7.51
	ACCOUNT #: 03810411342	BUY 0 Units @0.0000						
01/01/2018	***-**-00IR - HOBSON, SCOTT	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	4.58	0.00	4.58	95.0	4.35
	ACCOUNT #: 03810416598	BUY 0 Units @0.0000						
01/01/2018	***-**-93IR - RATH, CHARLENE	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	5.85	0.00	5.85	95.0	5.56
	ACCOUNT #: 03811119720	BUY 0 Units @0.0000						
01/01/2018	***-**-74IN - KETCHUM, STEVEN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	18.83	0.00	18.83	95.0	17.89
	ACCOUNT #: 03811119944	BUY 0 Units @0.0000						
01/01/2018	***-**-501I - MCMANUS, MAUREEN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	0.06	0.00	0.06	95.0	0.06
	ACCOUNT #: 03870029810	BUY 0 Units @0.0000						
01/01/2018	***-**-059I - D'AMBROSIA,	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	8.49	0.00	8.49	95.0	8.07
	ACCOUNT #: 04040447544	BUY 0 Units @0.0000						
01/01/2018	***-**-60CL - KALINOWSKI,	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	8.66	0.00	8.66	95.0	8.23
	ACCOUNT #: 05053804836	BUY 0 Units @0.0000						
01/01/2018	***-**-60CL - KALINOWSKI,	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	3.20	0.00	3.20	95.0	3.04
	ACCOUNT #: 05053805049	BUY 0 Units @0.0000						
01/01/2018	***-**-942I - LECHOWSKI, PIOTR	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	1.34	0.00	1.34	95.0	1.27
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
01/01/2018	***-**-74IN - KETCHUM, STEVEN	INVESCO AMERICAN VALUE FUND CL C	0.00	8.35	0.00	8.35	95.0	7.93
	ACCOUNT #: 03811119944	BUY 0 Units @0.0000						
01/01/2018	***-**-959P - HENNEKEY,	INVESCO EMERGING MARKETS EQTY FD-CL	0.00	21.16	0.00	21.16	95.0	20.10
	ACCOUNT #: 02500011737	BUY 0 Units @0.0000						
01/01/2018	***-**-59IR - HENNEKEY,	INVESCO EMERGING MARKETS EQTY FD-CL	0.00	8.09	0.00	8.09	95.0	7.69
	ACCOUNT #: 02500013377	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
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)								
01/01/2018	***-**-35UG - COND, THOMAS	INVESCO SMALL CAP EQUITY FUND-CLASS	0.00	1.73	0.00	1.73	95.0	1.64
	ACCOUNT #: 03809012051	BUY 0 Units @0.0000						
01/01/2018	***-**-942I - LECHOWSKI, PIOTR	INVESCO SMALL CAP EQUITY FUND-CLASS	0.00	9.73	0.00	9.73	95.0	9.24
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
01/01/2018	***-**-400P - PIGNONE, LIDIA	INVESCO SUMMIT FUND - CLASS C	0.00	4.90	0.00	4.90	95.0	4.66
	ACCOUNT #: 02500021797	BUY 0 Units @0.0000						
01/01/2018	***-**-91IR - HEBBLETHWAITE,	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	2.46	0.00	2.46	95.0	2.34
	ACCOUNT #: 03809052586	BUY 0 Units @0.0000						
01/01/2018	***-**-78UG - GRIFFIN, MILTON	INVESCO VAN KAMPEN MID CAP GROWTH A	0.00	8.76	0.00	8.76	95.0	8.32
	ACCOUNT #: 04038718195	BUY 0 Units @0.0000						
01/01/2018	***-**-942I - LECHOWSKI, PIOTR	INVESCO VAN KAMPEN VALUE OPP CLASS	0.00	7.35	0.00	7.35	95.0	6.98
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
01/01/2018	***-**-44IE - WASSEM, CAROLYN	IVK COMSTOCK FUND - CLASS C	0.00	3.33	0.00	3.33	95.0	3.16
	ACCOUNT #: 03809012069	BUY 0 Units @0.0000						
01/01/2018	***-**-52IR - WASSEM, HEATH	IVK COMSTOCK FUND - CLASS C	0.00	19.99	0.00	19.99	95.0	18.99
	ACCOUNT #: 03810631782	BUY 0 Units @0.0000						
01/01/2018	***-**-9648 - WALSH, LORI	IVK SMALL CAP GROWTH FUND - CLASS C	0.00	1.54	0.00	1.54	95.0	1.46
	ACCOUNT #: 03810570998	BUY 0 Units @0.0000						
01/01/2018	***-**-498K - INDELICATO,	IVK VALUE OPPORTUNITIES FUND -CLASS	0.00	7.09	0.00	7.09	95.0	6.74
	ACCOUNT #: 00777153759	BUY 0 Units @0.0000						
01/01/2018	***-**-959P - HENNEKEY,	IVK VALUE OPPORTUNITIES FUND -CLASS	0.00	5.25	0.00	5.25	95.0	4.99
	ACCOUNT #: 02500011737	BUY 0 Units @0.0000						
01/01/2018	***-**-74IN - KETCHUM, STEVEN	IVK VALUE OPPORTUNITIES FUND -CLASS	0.00	5.27	0.00	5.27	95.0	5.01
	ACCOUNT #: 03811119944	BUY 0 Units @0.0000						
01/22/2018	***-**-60CL - KALINOWSKI,	JANUS MF TRAILS	0.00	4.05	0.00	4.05	95.0	3.85
		BUY 0 Units @0.0000						
01/01/2018	***-**-6543 - PLAN, SEP	MASSACHUSETTS INVESTORS TRUST-A	0.00	5.25	0.00	5.25	95.0	4.99
	ACCOUNT #: 00060500705	BUY 0 Units @0.0000						
01/01/2018	***-**-853I - COOPER, LENORE	MASSACHUSETTS INVESTORS TRUST-A	0.00	26.96	0.00	26.96	95.0	25.61
	ACCOUNT #: 00060156775	BUY 0 Units @0.0000						
01/01/2018	***-**-41IR - SCHNEIDER,	MFS CORE EQUITY FUND-A	0.00	3.49	0.00	3.49	95.0	3.32
	ACCOUNT #: 00090011368	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
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)								
01/01/2018	***-**-792I - SCHRANK, MARION	MFS EMERGING GROWTH FUND CLASS A	0.00	12.92	0.00	12.92	95.0	12.27
	ACCOUNT #: 00060212339	BUY 0 Units @0.0000						
01/01/2018	***-**-937I - SCHRANK,	MFS EMERGING GROWTH FUND CLASS A	0.00	10.29	0.00	10.29	95.0	9.78
	ACCOUNT #: 00060212340	BUY 0 Units @0.0000						
01/01/2018	***-**-876I - STAUB, DAVID	MFS EMERGING GROWTH FUND CLASS A	0.00	16.34	0.00	16.34	95.0	15.52
	ACCOUNT #: 00060236483	BUY 0 Units @0.0000						
01/01/2018	***-**-828I - VISCO ., GEORGE	MFS EMERGING GROWTH FUND CLASS A	0.00	0.37	0.00	0.37	95.0	0.35
	ACCOUNT #: 00060237092	BUY 0 Units @0.0000						
01/01/2018	***-**-7876 - STAUB, DAVID	MFS EMERGING GROWTH FUND CLASS A	0.00	21.02	0.00	21.02	95.0	19.97
	ACCOUNT #: 00060239694	BUY 0 Units @0.0000						
01/01/2018	***-**-828I - VISCO ., GEORGE	MFS EMERGING GROWTH FUND CLASS A	0.00	0.28	0.00	0.28	95.0	0.27
	ACCOUNT #: 00060240181	BUY 0 Units @0.0000						
01/01/2018	***-**-702I - VISCO, ROSEMARIE	MFS EMERGING GROWTH FUND CLASS A	0.00	6.96	0.00	6.96	95.0	6.61
	ACCOUNT #: 00060240182	BUY 0 Units @0.0000						
01/01/2018	***-**-285P - VISCO, GEORGE	MFS EMERGING GROWTH FUND CLASS A	0.00	3.28	0.00	3.28	95.0	3.12
	ACCOUNT #: 00060254972	BUY 0 Units @0.0000						
01/01/2018	***-**-4904 - ASITO, VINCENT	MFS EMERGING GROWTH FUND CLASS A	0.00	33.67	0.00	33.67	95.0	31.99
	ACCOUNT #: 00060296008	BUY 0 Units @0.0000						
01/01/2018	***-**-9702 - VISCO, ROSE	MFS EMERGING GROWTH FUND CLASS A	0.00	0.92	0.00	0.92	95.0	0.87
	ACCOUNT #: 00060362861	BUY 0 Units @0.0000						
01/01/2018	***-**-43IR - KEYMEL, JOHN	MFS GLOBAL TOTAL RETURN FUND-A	0.00	2.46	0.00	2.46	95.0	2.34
	ACCOUNT #: 00060565654	BUY 0 Units @0.0000						
01/01/2018	***-**-2828 - DECSOURCE INC	MFS NEW DISCOVERY FUND-A	0.00	3.06	0.00	3.06	95.0	2.91
	ACCOUNT #: 00060485178	BUY 0 Units @0.0000						
01/01/2018	***-**-2669 - CORNELL, JAMES	MFS RESEARCH FUND-A	0.00	7.99	0.00	7.99	95.0	7.59
	ACCOUNT #: 00060259738	BUY 0 Units @0.0000						
01/01/2018	***-**-876I - STAUB, DAVID	MFS RESEARCH FUND-A	0.00	19.20	0.00	19.20	95.0	18.24
	ACCOUNT #: 00060237685	BUY 0 Units @0.0000						
01/01/2018	***-**-7876 - STAUB, DAVID	MFS RESEARCH FUND-A	0.00	23.21	0.00	23.21	95.0	22.05
	ACCOUNT #: 00060240868	BUY 0 Units @0.0000						
01/01/2018	***-**-7876 - STAUB, DAVID	MFS RESEARCH FUND-A	0.00	10.74	0.00	10.74	95.0	10.20
	ACCOUNT #: 00060361120	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
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)								
01/01/2018	***-**-52UG - STAUB, KEITH	MFS RESEARCH FUND-A	0.00	2.15	0.00	2.15	95.0	2.04
	ACCOUNT #: 00060565257	BUY 0 Units @0.0000						
01/01/2018	***-**-6856 - STAUB SURVEYORS	MFS RESEARCH FUND-A	0.00	0.46	0.00	0.46	95.0	0.44
	ACCOUNT #: 00060585786	BUY 0 Units @0.0000						
01/01/2018	***-**-22IR - KEYMEL, KAREN	MFS TECHNOLOGY FUND CLASS A	0.00	3.67	0.00	3.67	95.0	3.49
	ACCOUNT #: 00060566745	BUY 0 Units @0.0000						
01/01/2018	***-**-43IR - KEYMEL, JOHN	MFS TECHNOLOGY FUND CLASS A	0.00	3.92	0.00	3.92	95.0	3.72
	ACCOUNT #: 00060566746	BUY 0 Units @0.0000						
01/01/2018	***-**-6543 - PLAN, SEP	MFS TOTAL RETURN FUND-A	0.00	4.61	0.00	4.61	95.0	4.38
	ACCOUNT #: 00060565488	BUY 0 Units @0.0000						
01/01/2018	***-**-61IN - UEBELACKER,	MFS TOTAL RETURN FUND-A	0.00	6.26	0.00	6.26	95.0	5.95
	ACCOUNT #: 00060442084	BUY 0 Units @0.0000						
01/22/2018	***-**-588I - KELLOGG, THERESA	NATIXIS FUNDS TRAILS	0.00	1.11	0.00	1.11	95.0	1.05
		BUY 0 Units @0.0000						
01/22/2018	***-**-950I - JENKINS, JOHN	NEW WORLD FUND-A	0.00	0.93	0.00	0.93	95.0	0.88
	ACCOUNT #: LSR011619	BUY 1 Units @0.0000						
01/16/2018	***-**-207J - LUTE, MRS	PIONEER AMT-FREE MUNICIPAL FUND A	0.00	0.73	0.00	0.73	95.0	0.69
	ACCOUNT #: LSR010583	BUY 1 Units @0.0000						
01/16/2018	***-**-207J - LUTE, MRS	PIONEER MID CAP VALUE FUND A	0.00	1.44	0.00	1.44	95.0	1.37
	ACCOUNT #: LSR010583	BUY 1 Units @0.0000						
01/22/2018	***-**-9798 - MARCHESE, SANDRA	PRUDENTIAL MF TRAILS	0.00	4.54	0.00	4.54	95.0	4.31
		BUY 0 Units @0.0000						
01/02/2018	***-**-06IN - HENNESSY,	PUTNAM ASSET ALLOC GROWTH-C	0.00	1.51	0.00	1.51	95.0	1.43
	ACCOUNT #: 00119582596	BUY 0 Units @0.0000						
01/02/2018	***-**-8207 - LUTE, DEBORAH	PUTNAM CAP. OPPORTUNITIES-C	0.00	20.45	0.00	20.45	95.0	19.43
	ACCOUNT #: 00551417046	BUY 0 Units @0.0000						
01/02/2018	***-**-28TR - DECHAMPLAIN,	PUTNAM DIVERSIFIED INCOME FUND CLAS	0.00	53.35	0.00	53.35	95.0	50.68
	ACCOUNT #: 00182412002	BUY 0 Units @0.0000						
01/02/2018	***-**-1651 - ELLICOTT, AGNES	PUTNAM EQUITY INCOME FUND-A	0.00	0.76	0.00	0.76	95.0	0.72
	ACCOUNT #: 00502287250	BUY 0 Units @0.0000						
01/02/2018	***-**-996I - MARTIN, MICHAEL	PUTNAM EQUITY INCOME FUND-A	0.00	0.60	0.00	0.60	95.0	0.57
	ACCOUNT #: 00408076051	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
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BROKER #: 20
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)								
01/02/2018	***-**-8207 - LUTE, DEBORAH ACCOUNT #: 00551417046	PUTNAM EQUITY INCOME FUND-C BUY 0 Units @0.0000	0.00	21.83	0.00	21.83	95.0	20.74
01/02/2018	***-**-31IN - IASELLA, GINO ACCOUNT #: 00331489911	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	2.96	0.00	2.96	95.0	2.81
01/02/2018	***-**-8207 - LUTE, DEBORAH ACCOUNT #: 00551417052	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	10.16	0.00	10.16	95.0	9.65
01/02/2018	***-**-8207 - LUTE, DEBORAH ACCOUNT #: 00551417046	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 0 Units @0.0000	0.00	22.49	0.00	22.49	95.0	21.37
01/02/2018	***-**-9859 - ERB, KENNETH ACCOUNT #: 00375212512	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	8.53	0.00	8.53	95.0	8.10
01/02/2018	***-**-8207 - LUTE, DEBORAH ACCOUNT #: 00551417046	PUTNAM MF TRAILS 37252M306 BUY 0 Units @0.0000	0.00	20.87	0.00	20.87	95.0	19.83
01/02/2018	***-**-095J - MORAN, MARY ACCOUNT #: 00476905514	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	8.93	0.00	8.93	95.0	8.48
01/02/2018	***-**-31IN - IASELLA, GINO ACCOUNT #: 00331489911	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	4.43	0.00	4.43	95.0	4.21
01/02/2018	***-**-157I - FORNEFELD, ACCOUNT #: 00550828345	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	3.52	0.00	3.52	95.0	3.34
01/02/2018	***-**-56IN - WOJTAN, GARY ACCOUNT #: 00550847104	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	4.14	0.00	4.14	95.0	3.93
01/02/2018	***-**-095J - MORAN, MARY ACCOUNT #: 00476905514	PUTNAM NEW OPPORTUNITIES-B BUY 0 Units @0.0000	0.00	5.09	0.00	5.09	95.0	4.84
01/02/2018	***-**-095J - MORAN, MARY ACCOUNT #: 00476905514	PUTNAM NEW OPPORTUNITIES-C BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	95.0	0.02
01/02/2018	***-**-82IN - HEIL, EVELYN ACCOUNT #: 00349901533	PUTNAM OH TAX EXEMPT INCOME-A BUY 0 Units @0.0000	0.00	22.46	0.00	22.46	95.0	21.34
01/22/2018	***-**-53AK - SUPERIOR ACCOUNT #: 07607400867	QUALIFIED PLAN SUMMARY BUY 0 Units @0.0000	0.00	3.72	0.00	3.72	95.0	3.53
01/22/2018	***-**-01IN - SAUTTER, HOWARD ACCOUNT #: LSR011301	THE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.69	0.00	1.69	95.0	1.61
01/22/2018	***-**-950I - JENKINS, JOHN ACCOUNT #: LSR011619	THE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	5.35	0.00	5.35	95.0	5.08



COMMISSION STATEMENT

January 22, 2018

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BRANCH #01016 - 16 - CASPER

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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-149I - JENKINS, BARBARA	THE BOND FUND OF AMERICA-A	0.00	5.38	0.00	5.38	95.0	5.11
	ACCOUNT #: LSR011620	BUY 1 Units @0.0000						
01/22/2018	***-**-950I - JENKINS, JOHN	THE INCOME FUND OF AMERICA-A	0.00	2.44	0.00	2.44	95.0	2.32
	ACCOUNT #: LSR011619	BUY 1 Units @0.0000						
01/22/2018	***-**-149I - JENKINS, BARBARA	THE INCOME FUND OF AMERICA-A	0.00	2.50	0.00	2.50	95.0	2.38
	ACCOUNT #: LSR011620	BUY 1 Units @0.0000						
01/22/2018	***-**-01IN - SAUTTER, HOWARD	THE INVESTMENT COMPANY OF AMERICA-A	0.00	7.52	0.00	7.52	95.0	7.14
	ACCOUNT #: LSR011301	BUY 1 Units @0.0000						
01/22/2018	***-**-22IN - SAUTTER, TERRIE	THE INVESTMENT COMPANY OF AMERICA-A	0.00	7.76	0.00	7.76	95.0	7.37
	ACCOUNT #: LSR011302	BUY 1 Units @0.0000						
01/01/2018	***-**-5498 - INDELICATO,	VAN KAMPEN7	0.00	3.30	0.00	3.30	95.0	3.14
	ACCOUNT #: 00777159873	BUY 0 Units @0.0000						
01/01/2018	***-**-400P - PIGNONE, LIDIA	VAN KAMPEN7	0.00	4.73	0.00	4.73	95.0	4.49
	ACCOUNT #: 02500021797	BUY 0 Units @0.0000						
01/01/2018	***-**-74IR - KETCHUM, STEVEN	VAN KAMPEN7	0.00	20.65	0.00	20.65	95.0	19.62
	ACCOUNT #: 03810411342	BUY 0 Units @0.0000						
01/01/2018	***-**-93IR - RATH, CHARLENE	VAN KAMPEN7	0.00	14.62	0.00	14.62	95.0	13.89
	ACCOUNT #: 03811119720	BUY 0 Units @0.0000						
01/01/2018	***-**-97IE - GENNARINO,	VAN KAMPEN7	0.00	1.21	0.00	1.21	95.0	1.15
	ACCOUNT #: 03910509201	BUY 0 Units @0.0000						
01/22/2018	***-**-01IN - SAUTTER, HOWARD	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	8.55	0.00	8.55	95.0	8.12
	ACCOUNT #: LSR011301	BUY 1 Units @0.0000						
01/22/2018	***-**-22IN - SAUTTER, TERRIE	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	9.41	0.00	9.41	95.0	8.94
	ACCOUNT #: LSR011302	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,231.14	\$0.00	\$2,231.14		\$2,119.64
*** BROKER TRANSACTIONS TOTAL ***			\$294,364.19	\$2,268.74	\$0.00	\$2,268.74		\$2,155.38



COMMISSION STATEMENT

January 22, 2018

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BRANCH #01016 - 16 - CASPER

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: RICHARD BIRNS</u>								
01/01/2018	***-**-593I - LA, QUYEN	AIM CHARTER FUND - CLASS A	0.00	2.22	0.00	2.22	20.0	0.44
	ACCOUNT #: 03911712804	BUY 0 Units @0.0000						
01/01/2018	***-**-098P - TOKAR, STEPHANIE	AIM CHARTER FUND - CLASS A	0.00	4.29	0.00	4.29	20.0	0.86
	ACCOUNT #: 04027919598	BUY 0 Units @0.0000						
01/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHARTER FUND - CLASS A	0.00	15.79	0.00	15.79	20.0	3.16
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
01/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHINA FUND - CLASS A	0.00	13.52	0.00	13.52	20.0	2.70
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
01/01/2018	***-**-712I - BIRNS, BONNIE	AIM GLOBAL AGGRESSIVE GROWTH FUND C	0.00	13.74	0.00	13.74	20.0	2.75
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
01/01/2018	***-**-593I - LA, QUYEN	AIM GLOBAL GROWTH FUND - CLASS A	0.00	1.04	0.00	1.04	20.0	0.21
	ACCOUNT #: 03911712804	BUY 0 Units @0.0000						
01/01/2018	***-**-712I - BIRNS, BONNIE	AIM UTILITIES FUND - CLASS A	0.00	17.57	0.00	17.57	20.0	3.51
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
01/08/2018	***-**-37UG - REID, JORDAN M	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	0.72	0.00	0.72	20.0	0.14
	ACCOUNT #: 04718913697	BUY 0 Units @0.0000						
01/08/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	17.17	0.00	17.17	20.0	3.43
	ACCOUNT #: 05000189227	BUY 0 Units @0.0000						
01/08/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCEBERNSTEIN GROWTH A	0.00	21.30	0.00	21.30	20.0	4.26
	ACCOUNT #: 03310152452	BUY 0 Units @0.0000						
01/22/2018	***-**-31UG - GIFT MIN ACT NY,	COLUMBIA FUNDS MF TRAILS	0.00	2.19	0.00	2.19	20.0	0.44
	ACCOUNT #: 08695273866	BUY 0 Units @0.0000						
01/02/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	0.00	1.62	0.00	1.62	20.0	0.32
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
01/02/2018	***-**-68IN - BIRNS, RICHARD	HARTFORD CAPITAL APPRECIATION FUND	0.00	14.79	0.00	14.79	20.0	2.96
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
01/01/2018	***-**-593I - LA, QUYEN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	0.63	0.00	0.63	20.0	0.13
	ACCOUNT #: 03911712804	BUY 0 Units @0.0000						
01/01/2018	***-**-712I - BIRNS, BONNIE	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	16.07	0.00	16.07	20.0	3.21
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
01/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM GLOBAL EQUITY FUND CLASS A	0.00	1.65	0.00	1.65	20.0	0.33
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 22, 2018

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BRANCH #01016 - 16 - CASPER

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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: RICHARD BIRNS (continued) </u>								
01/02/2018	***-**-068I - BIRNS, RICHARD ACCOUNT #: 00430357320	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	6.25	0.00	6.25	20.0	1.25
01/02/2018	***-**-068I - BIRNS, RICHARD ACCOUNT #: 00430357320	PUTNAM INTERNATIONAL EQUITY-A BUY 0 Units @0.0000	0.00	0.73	0.00	0.73	20.0	0.15
01/02/2018	***-**-068I - BIRNS, RICHARD ACCOUNT #: 00430357320	PUTNAM INTL NEW OPPORT-A BUY 0 Units @0.0000	0.00	3.97	0.00	3.97	20.0	0.79
01/02/2018	***-**-068I - BIRNS, RICHARD ACCOUNT #: 00430357320	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	6.29	0.00	6.29	20.0	1.26
01/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	1.11	0.00	1.11	20.0	0.22
01/02/2018	***-**-447P - BIRNS, PHYLLIS ACCOUNT #: 00000700389	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	2.61	0.00	2.61	20.0	0.52
01/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	20.35	0.00	20.35	20.0	4.07
01/02/2018	***-**-85IN - SEAMAN, ACCOUNT #: 00022087686	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	20.0	0.28
01/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD DIVIDEND & GROWTH FUND BUY 0 Units @0.0000	0.00	9.41	0.00	9.41	20.0	1.88
01/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD GROWTH OPPORTUNITIES F BUY 0 Units @0.0000	0.00	2.48	0.00	2.48	20.0	0.50
01/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD INTL CAPITAL APP. FUND BUY 0 Units @0.0000	0.00	1.04	0.00	1.04	20.0	0.21
01/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD INTL OPPORTUNITIES FD- BUY 0 Units @0.0000	0.00	12.52	0.00	12.52	20.0	2.50
01/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD MID CAP FUND-A BUY 0 Units @0.0000	0.00	20.49	0.00	20.49	20.0	4.10
01/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD SMALL CAP GROWTH FD-A BUY 0 Units @0.0000	0.00	2.35	0.00	2.35	20.0	0.47
* RICHARD BIRNS SUBTOTAL *			\$0.00	\$235.30	\$0.00	\$235.30		\$47.05



COMMISSION STATEMENT

January 22, 2018

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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: BARRY BRESIN</u>								
01/01/2018	***-**-805P - HALM, MATILDA	AIM CHARTER FUND - CLASS A	0.00	86.34	0.00	86.34	15.0	12.95
	ACCOUNT #: 01001312723	BUY 0 Units @0.0000						
01/01/2018	***-**-805P - HALM, MATILDA	AIM MID-CAP EQUITY FUND CLASS A	0.00	13.95	0.00	13.95	15.0	2.09
	ACCOUNT #: 01001312723	BUY 0 Units @0.0000						
01/08/2018	***-**-716J - STERN, ROBERT	ALLIANCEBERNSTEIN MUNI INCOME-NY A	0.00	10.21	0.00	10.21	15.0	1.53
	ACCOUNT #: 04892903435	BUY 0 Units @0.0000						
01/02/2018	***-**-13IN - CLEMENT, SANDRA	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	16.84	0.00	16.84	15.0	2.53
	ACCOUNT #: 00510129039	BUY 0 Units @0.0000						
01/22/2018	***-**-717I - MARSJANIK,	RESOURCE REAL ESTATE TRAILS	0.00	22.40	0.00	22.40	15.0	3.36
		BUY 0 Units @0.0000						
		* BARRY BRESIN SUBTOTAL *	\$0.00	\$149.74	\$0.00	\$149.74		\$22.46
<u>BROKER: WILLIAM ROBERTS</u>								
01/02/2018	***-**-1606 - REUS, MARTHA	PUTNAM EQUITY INCOME FUND-A	0.00	42.21	0.00	42.21	10.0	4.22
	ACCOUNT #: 00266280057	BUY 0 Units @0.0000						
		* WILLIAM ROBERTS SUBTOTAL *	\$0.00	\$42.21	\$0.00	\$42.21		\$4.22
<u>BROKER: FREDERIC SCARPULLA</u>								
01/02/2018	***-**-3106 - LAMB, BERNICE	37252M108	0.00	0.95	0.00	0.95	10.0	0.10
	ACCOUNT #: 00551402351	BUY 0 Units @0.0000						
01/01/2018	***-**-397P - COTTONE, MARIA	AIM CHARTER FUND - CLASS A	0.00	5.31	0.00	5.31	10.0	0.53
	ACCOUNT #: 01000005000	BUY 0 Units @0.0000						
01/01/2018	***-**-88IR - KUBIAK, COLLEEN	AIM CHARTER FUND - CLASS A	0.00	1.36	0.00	1.36	10.0	0.14
	ACCOUNT #: 01000005154	BUY 0 Units @0.0000						
01/19/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	97.37	1.17	0.00	1.17	10.0	0.12
	ACCOUNT #: 00063451518	BUY 3 Units @33.8700						
01/10/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591533	BUY 8 Units @28.7600						
01/16/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 04000650661	BUY 2 Units @29.1300						
01/16/2018	***-**-195P - HECHT, ANDREW	AMERICAN BALANCED FUND-529A	200.00	10.00	0.00	10.00	10.0	1.00
	ACCOUNT #: 00068453142	BUY 7 Units @29.3500						



COMMISSION STATEMENT

January 22, 2018

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BRANCH #01016 - 16 - CASPER

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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/10/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00067522496	AMERICAN BALANCED FUND-529C BUY 15 Units @27.4400	400.00	4.00	0.00	4.00	10.0	0.40
01/10/2018	***-**-643I - BOSCO, GIULIO ACCOUNT #: 00089514602	AMERICAN BALANCED FUND-529C BUY 3 Units @27.4400	75.00	0.75	0.00	0.75	10.0	0.08
01/16/2018	***-**-7255 - LIPPA, HARITINI ACCOUNT #: 00087198121	AMERICAN BALANCED FUND-529C BUY 2 Units @27.6600	50.00	0.50	0.00	0.50	10.0	0.05
01/16/2018	***-**-7255 - LIPPA, HARITINI ACCOUNT #: 00087198137	AMERICAN BALANCED FUND-529C BUY 2 Units @27.6600	50.00	0.50	0.00	0.50	10.0	0.05
01/12/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 13 Units @27.7400	357.05	3.57	0.00	3.57	10.0	0.36
01/12/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 4 Units @27.7400	103.62	1.04	0.00	1.04	10.0	0.10
01/12/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 11 Units @27.7400	299.40	2.99	0.00	2.99	10.0	0.30
01/12/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 2 Units @27.7400	47.25	0.47	0.00	0.47	10.0	0.05
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 13 Units @27.7400	368.21	3.68	0.00	3.68	10.0	0.37
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 1 Units @27.7400	15.56	0.16	0.00	0.16	10.0	0.02
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 11 Units @27.7400	298.45	2.98	0.00	2.98	10.0	0.30
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 0 Units @27.7400	10.50	0.11	0.00	0.11	10.0	0.01
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 13 Units @27.7400	368.21	3.68	0.00	3.68	10.0	0.37
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 1 Units @27.7400	22.50	0.23	0.00	0.23	10.0	0.02
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 11 Units @27.7400	298.45	2.98	0.00	2.98	10.0	0.30
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 1 Units @27.7400	18.00	0.18	0.00	0.18	10.0	0.02



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
01/12/2018	***-**-275P - BERMUDEZ, CARLOS	AMERICAN BALANCED FUND-A	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 00069016532	BUY 5 Units @27.7400						
01/12/2018	***-**-275P - BERMUDEZ, CARLOS	AMERICAN BALANCED FUND-A	128.31	1.28	0.00	1.28	10.0	0.13
	ACCOUNT #: 00069016532	BUY 5 Units @27.7400						
01/12/2018	***-**-275P - BERMUDEZ, CARLOS	AMERICAN BALANCED FUND-A	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00069016532	BUY 4 Units @27.7400						
01/12/2018	***-**-275P - BERMUDEZ, CARLOS	AMERICAN BALANCED FUND-A	91.20	0.91	0.00	0.91	10.0	0.09
	ACCOUNT #: 00069016532	BUY 3 Units @27.7400						
01/12/2018	***-**-8808 - LONDON, JODY	AMERICAN BALANCED FUND-A	36.48	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00083382430	BUY 1 Units @27.7400						
01/12/2018	***-**-8808 - LONDON, JODY	AMERICAN BALANCED FUND-A	36.48	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00083382430	BUY 1 Units @27.7400						
01/12/2018	***-**-8808 - LONDON, JODY	AMERICAN BALANCED FUND-A	30.40	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00083382430	BUY 1 Units @27.7400						
01/12/2018	***-**-8808 - LONDON, JODY	AMERICAN BALANCED FUND-A	30.40	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00083382430	BUY 1 Units @27.7400						
01/12/2018	***-**-3306 - MASTROSIMONE,	AMERICAN BALANCED FUND-A	45.00	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00083382475	BUY 2 Units @27.7400						
01/12/2018	***-**-3306 - MASTROSIMONE,	AMERICAN BALANCED FUND-A	45.00	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00083382475	BUY 2 Units @27.7400						
01/12/2018	***-**-3306 - MASTROSIMONE,	AMERICAN BALANCED FUND-A	36.00	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00083382475	BUY 1 Units @27.7400						
01/12/2018	***-**-3306 - MASTROSIMONE,	AMERICAN BALANCED FUND-A	36.00	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00083382475	BUY 1 Units @27.7400						
01/12/2018	***-**-3757 - MALONE, KENNETH	AMERICAN BALANCED FUND-A	53.82	0.54	0.00	0.54	10.0	0.05
	ACCOUNT #: 00083474112	BUY 2 Units @27.7400						
01/12/2018	***-**-3757 - MALONE, KENNETH	AMERICAN BALANCED FUND-A	43.29	0.43	0.00	0.43	10.0	0.04
	ACCOUNT #: 00083474112	BUY 2 Units @27.7400						
01/12/2018	***-**-3757 - MALONE, KENNETH	AMERICAN BALANCED FUND-A	30.95	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00083474112	BUY 1 Units @27.7400						
01/12/2018	***-**-3757 - MALONE, KENNETH	AMERICAN BALANCED FUND-A	41.26	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00083474112	BUY 1 Units @27.7400						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
01/12/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	67.17	0.67	0.00	0.67	10.0	0.07
	ACCOUNT #: 00087870442	BUY 2 Units @27.7400						
01/12/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	67.17	0.67	0.00	0.67	10.0	0.07
	ACCOUNT #: 00087870442	BUY 2 Units @27.7400						
01/12/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	95.75	0.96	0.00	0.96	10.0	0.10
	ACCOUNT #: 00087870442	BUY 3 Units @27.7400						
01/12/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	95.75	0.96	0.00	0.96	10.0	0.10
	ACCOUNT #: 00087870442	BUY 3 Units @27.7400						
01/12/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00089874312	BUY 5 Units @27.7400						
01/12/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	98.99	0.99	0.00	0.99	10.0	0.10
	ACCOUNT #: 00089874312	BUY 4 Units @27.7400						
01/12/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089874312	BUY 4 Units @27.7400						
01/12/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	82.13	0.82	0.00	0.82	10.0	0.08
	ACCOUNT #: 00089874312	BUY 3 Units @27.7400						
01/16/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 1 Units @27.7100						
01/16/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @27.7100						
01/16/2018	***-**-395P - DIVASTA, ANTHONY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	10.0	0.19
	ACCOUNT #: 00059597416	BUY 2 Units @29.0200						
01/16/2018	***-**-535P - DELGAIZO,	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	10.0	0.21
	ACCOUNT #: 00068454444	BUY 2 Units @29.1700						
01/16/2018	***-**-425P - DELGAIZO, LOUISA	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	10.0	0.21
	ACCOUNT #: 00068454445	BUY 2 Units @29.1700						
01/08/2018	***-**-7470 - SANFILIPPO, JOHN	AMERICAN BALANCED FUND-C	12.42	0.12	0.00	0.12	10.0	0.01
	ACCOUNT #: 04000638933	BUY 0 Units @27.3700						
01/08/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @27.3700						
01/08/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @27.3700						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/08/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @27.3700						
01/08/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @27.3700						
01/08/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	6.08	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904215	BUY 0 Units @27.3700						
01/08/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00085904215	BUY 1 Units @27.3700						
01/08/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089045192	BUY 1 Units @27.3700						
01/08/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089045192	BUY 1 Units @27.3700						
01/08/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089910177	BUY 4 Units @27.3700						
01/09/2018	***-**-5945 - INFANTINO,	AMERICAN BALANCED FUND-C	5,000.00	50.00	0.00	50.00	10.0	5.00
	ACCOUNT #: 04000722777	BUY 183 Units @27.3500						
01/10/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089910177	BUY 4 Units @27.3100						
01/12/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @27.5600						
01/12/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089045192	BUY 1 Units @27.5600						
01/16/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @27.5300						
01/16/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @27.5300						
01/16/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @27.5300						
01/16/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @27.5300						
01/16/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.52	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @27.5300						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/16/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @27.5300						
01/16/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @27.5300						
01/16/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	5.12	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904215	BUY 0 Units @27.5300						
01/16/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00085904215	BUY 1 Units @27.5300						
01/16/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	5.02	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904215	BUY 0 Units @27.5300						
01/16/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00085904215	BUY 1 Units @27.5300						
01/16/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087429936	BUY 2 Units @27.5300						
01/16/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089045192	BUY 1 Units @27.5300						
01/16/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	11.12	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @27.5300						
01/16/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	59.60	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00089051066	BUY 2 Units @27.5300						
01/16/2018	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	87.96	0.88	0.00	0.88	10.0	0.09
	ACCOUNT #: 00089244081	BUY 3 Units @27.5300						
01/16/2018	***-**-281S - FLUGEL, AMANDA	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089561651	BUY 1 Units @27.5300						
01/16/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	21.61	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 00089583477	BUY 1 Units @27.5300						
01/16/2018	***-**-035S - CAPIZZI, TRACIE	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089679504	BUY 1 Units @27.5300						
01/17/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	170.00	1.70	0.00	1.70	10.0	0.17
	ACCOUNT #: 00073003754	BUY 6 Units @27.7000						
01/22/2018	***-**-14IN - BENEDETTO,	AMERICAN BALANCED FUND-C	0.00	27.05	0.00	27.05	10.0	2.71
	ACCOUNT #: LSR010421	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
01/22/2018	***-**-19IN - LIPPA, MARISSA	AMERICAN BALANCED FUND-C	0.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: LSR011011	BUY 1 Units @0.0000						
01/22/2018	***-**-61IO - BONACCI, FBO	AMERICAN BALANCED FUND-C	0.00	5.75	0.00	5.75	10.0	0.58
	ACCOUNT #: LSR011143	BUY 1 Units @0.0000						
01/22/2018	***-**-497J - WARNEY, KENNETH	AMERICAN BALANCED FUND-C	0.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: LSR011248	BUY 1 Units @0.0000						
01/22/2018	***-**-58IR - HINDERLAND, GARY	AMERICAN BALANCED FUND-C	0.00	1.11	0.00	1.11	10.0	0.11
	ACCOUNT #: LSR011249	BUY 1 Units @0.0000						
01/22/2018	***-**-283I - RICCI, GABRIELLE	AMERICAN BALANCED FUND-C	0.00	2.22	0.00	2.22	10.0	0.22
	ACCOUNT #: LSR011473	BUY 1 Units @0.0000						
01/22/2018	***-**-95IO - KELLY, COURTNEY	AMERICAN BALANCED FUND-C	0.00	3.04	0.00	3.04	10.0	0.30
	ACCOUNT #: LSR011685	BUY 1 Units @0.0000						
01/22/2018	***-**-18IO - TAYLOR, GREGORY	AMERICAN BALANCED FUND-C	0.00	23.21	0.00	23.21	10.0	2.32
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
01/22/2018	***-**-80IN - MOYER, COLLEEN	AMERICAN BALANCED FUND-C	0.00	10.90	0.00	10.90	10.0	1.09
	ACCOUNT #: LSR011724	BUY 1 Units @0.0000						
01/22/2018	***-**-11IN - RUSSELL, ALAN	AMERICAN FUND TAX - EXEMPT FUND OF	0.00	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: LSR011417	BUY 1 Units @0.0000						
01/10/2018	***-**-7063 - ZIOTO, JULIA	AMERICAN GLOBAL BALANCED CL C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 04000322984	BUY 3 Units @32.9100						
01/12/2018	***-**-8274 - ROBERTS, ADELLA	AMERICAN HIGH INCOME MUNI BOND CLAS	94,856.04	948.56	0.00	948.56	10.0	94.86
	ACCOUNT #: 04000732000	BUY 5970 Units @15.8900						
01/22/2018	***-**-61IN - OLIVERI, WILLIAM	AMERICAN HIGH INCOME MUNI BOND CLAS	0.00	105.66	0.00	105.66	10.0	10.57
	ACCOUNT #: LSR011543	BUY 1 Units @0.0000						
01/08/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @10.4400						
01/08/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 10 Units @10.4400						
01/16/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @10.4400						
01/16/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 10 Units @10.4400						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 BROKER: FREDERIC SCARPULLA (continued)								
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.4400	105.00	1.05	0.00	1.05	10.0	0.11
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.4400	4.55	0.05	0.00	0.05	10.0	0.01
01/22/2018	***-**-306I - SINCLAIR, ACCOUNT #: LSR010992	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	5.30	0.00	5.30	10.0	0.53
01/22/2018	***-**-05IO - KIMBLE, LONNY ACCOUNT #: LSR011472	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	59.70	0.00	59.70	10.0	5.97
01/22/2018	***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	21.66	0.00	21.66	10.0	2.17
01/22/2018	***-**-80IN - MOYER, COLLEEN ACCOUNT #: LSR011724	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	10.13	0.00	10.13	10.0	1.01
01/16/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	AMERICAN MUTUAL FUND-A BUY 1 Units @41.9600	30.00	0.30	0.00	0.30	10.0	0.03
01/16/2018	***-**-255P - EVANS, JAMES ACCOUNT #: 00066759711	AMERICAN MUTUAL FUND-A BUY 17 Units @41.9600	721.73	7.22	0.00	7.22	10.0	0.72
01/08/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @41.0100	5.00	0.05	0.00	0.05	10.0	0.01
01/16/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @41.3500	5.00	0.05	0.00	0.05	10.0	0.01
01/16/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @41.3500	5.00	0.05	0.00	0.05	10.0	0.01
01/16/2018	***-**-01UG - DIGIOVANNI, ACCOUNT #: 00087087389	AMERICAN MUTUAL FUND-C BUY 2 Units @41.3500	100.00	1.00	0.00	1.00	10.0	0.10
01/22/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	28.38	0.00	28.38	10.0	2.84
01/22/2018	***-**-44IR - ROBERTSON, ACCOUNT #: LSR010558	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	1.50	0.00	1.50	10.0	0.15
01/22/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	7.49	0.00	7.49	10.0	0.75
01/22/2018	***-**-497J - WARNEY, KENNETH ACCOUNT #: LSR011248	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	1.47	0.00	1.47	10.0	0.15



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/22/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	96.27	0.00	96.27	10.0	9.63
01/22/2018	***-**-306I - SINCLAIR, ACCOUNT #: LSR010992	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.54	0.00	5.54	10.0	0.55
01/22/2018	***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	6.81	0.00	6.81	10.0	0.68
01/19/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	CAPITAL WORLD BOND FUND-A BUY 1 Units @20.4700	24.35	0.29	0.00	0.29	10.0	0.03
01/08/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @51.9000	96.40	0.96	0.00	0.96	10.0	0.10
01/08/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @51.9000	15.00	0.15	0.00	0.15	10.0	0.02
01/08/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.9000	30.00	0.30	0.00	0.30	10.0	0.03
01/08/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.9000	40.00	0.40	0.00	0.40	10.0	0.04
01/10/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.8200	40.00	0.40	0.00	0.40	10.0	0.04
01/12/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @53.1200	45.00	0.45	0.00	0.45	10.0	0.05
01/12/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @53.1200	45.00	0.45	0.00	0.45	10.0	0.05
01/12/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @53.1200	36.00	0.36	0.00	0.36	10.0	0.04
01/12/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @53.1200	36.00	0.36	0.00	0.36	10.0	0.04
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.5400	15.00	0.15	0.00	0.15	10.0	0.02
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @52.5100	96.40	0.96	0.00	0.96	10.0	0.10
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @52.5100	96.40	0.96	0.00	0.96	10.0	0.10



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
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Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/16/2018	***-**-01UG - DIGIOVANNI, ACCOUNT #: 00087087389	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @52.5100	100.00	1.00	0.00	1.00	10.0	0.10
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.5100	15.00	0.15	0.00	0.15	10.0	0.02
01/16/2018	***-**-385P - ARBORE, TAYLER ACCOUNT #: 00081282910	CAPITAL WORLD GROWTH AND INCOME-529 BUY 1 Units @55.7100	50.00	2.13	0.00	2.13	10.0	0.21
01/16/2018	***-**-385P - ARBORE, TAYLER ACCOUNT #: 00081283006	CAPITAL WORLD GROWTH AND INCOME-529 BUY 1 Units @55.7100	50.00	2.13	0.00	2.13	10.0	0.21
01/22/2018	***-**-07IN - SCARPULLA, ACCOUNT #: 07600010039	COLUMBIA FUNDS MF TRAILS BUY 0 Units @0.0000	0.00	10.47	0.00	10.47	10.0	1.05
01/22/2018	***-**-540J - ARBORE, MARIA ACCOUNT #: 03020030772	COLUMBIA FUNDS MF TRAILS BUY 0 Units @0.0000	0.00	2.28	0.00	2.28	10.0	0.23
01/05/2018	***-**-732J - ARBORE, MARIA ACCOUNT #: 00000108231	CORE BOND FUND - A BUY 0 Units @0.0000	0.00	4.31	0.00	4.31	10.0	0.43
01/22/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 0104134960	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	3.41	0.00	3.41	10.0	0.34
01/22/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 5054692727	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	1.87	0.00	1.87	10.0	0.19
01/22/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 5054692727	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	4.14	0.00	4.14	10.0	0.41
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.5200	51.00	0.51	0.00	0.51	10.0	0.05
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.5200	38.00	0.38	0.00	0.38	10.0	0.04
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.5200	40.80	0.41	0.00	0.41	10.0	0.04
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	EUROPACIFIC GROWTH FUND-A BUY 0 Units @58.5200	27.74	0.28	0.00	0.28	10.0	0.03
01/12/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	EUROPACIFIC GROWTH FUND-A BUY 2 Units @58.5200	99.00	0.99	0.00	0.99	10.0	0.10
01/12/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.5200	56.92	0.57	0.00	0.57	10.0	0.06



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/12/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.5200	79.20	0.79	0.00	0.79	10.0	0.08
01/12/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.5200	45.54	0.46	0.00	0.46	10.0	0.05
01/16/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	EUROPACIFIC GROWTH FUND-A BUY 0 Units @58.5500	19.80	0.20	0.00	0.20	10.0	0.02
01/19/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @60.1400	73.04	0.88	0.00	0.88	10.0	0.09
01/08/2018	***-**-4550 - JONES, JEFFREY ACCOUNT #: 00529631491	FA 529 PORT 2019-CL P BUY 0 Units @0.0000	0.00	10.08	0.00	10.08	10.0	1.01
01/08/2018	***-**-7278 - GUERRIERI DDS, ACCOUNT #: 00655383206	FIDELITY ADV ASSET MANAGER 50 PERCE BUY 0 Units @0.0000	0.00	0.71	0.00	0.71	10.0	0.07
01/08/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475410302	FIDELITY ADV FREEDOM 2020-CL C BUY 0 Units @0.0000	0.00	1.77	0.00	1.77	10.0	0.18
01/08/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV INTL DISCOVERY-CL A BUY 0 Units @0.0000	0.00	5.62	0.00	5.62	10.0	0.56
01/08/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	7.60	0.00	7.60	10.0	0.76
01/08/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	8.82	0.00	8.82	10.0	0.88
01/08/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	8.46	0.00	8.46	10.0	0.85
01/08/2018	***-**-7352 - GEISELHART, ACCOUNT #: 00618796254	FIDELITY ADV STOCK SELECTOR ALL CAP BUY 0 Units @0.0000	0.00	30.43	0.00	30.43	10.0	3.04
01/08/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV TECHNOLOGY CL A BUY 0 Units @0.0000	0.00	8.36	0.00	8.36	10.0	0.84
01/08/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475410302	FIDELITY ADVISOR FREEDOM 2020 CL A BUY 0 Units @0.0000	0.00	0.92	0.00	0.92	10.0	0.09
01/16/2018	***-**-495P - HARTER, EDWARD ACCOUNT #: 00066759710	FUNDAMENTAL INVESTORS-A BUY 0 Units @64.8200	25.00	0.25	0.00	0.25	10.0	0.03
01/19/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 2 Units @66.6800	146.07	1.75	0.00	1.75	10.0	0.18



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
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BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/08/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @63.6200						
01/08/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @63.6200						
01/10/2018	***-**-6171 - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591484	BUY 4 Units @63.5900						
01/16/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	6.71	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @64.4600						
01/16/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @64.4600						
01/16/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @64.4600						
01/16/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @64.4600						
01/16/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @64.4600						
01/16/2018	***-**-845P - MARTHALLER,	FUNDAMENTAL INVESTORS-C	60.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00087023930	BUY 1 Units @64.4600						
01/16/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	5.56	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @64.4600						
01/16/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	29.80	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00089051066	BUY 0 Units @64.4600						
01/22/2018	***-**-18IO - TAYLOR, GREGORY	FUNDAMENTAL INVESTORS-C	0.00	24.79	0.00	24.79	10.0	2.48
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
01/22/2018	***-**-80IN - MOYER, COLLEEN	FUNDAMENTAL INVESTORS-C	0.00	11.64	0.00	11.64	10.0	1.16
	ACCOUNT #: LSR011724	BUY 1 Units @0.0000						
01/05/2018	***-**-39IN - ARBORE, MARIA	GROWTH AND INCOME FUND - A	0.00	2.94	0.00	2.94	10.0	0.29
	ACCOUNT #: 00000176375	BUY 0 Units @0.0000						
01/08/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00087236607	BUY 2 Units @23.3800						
01/08/2018	***-**-7946 - CROTTY, MARGARET	INCOME FUND OF AMERICA CLASS C	10,000.00	100.00	0.00	100.00	10.0	10.00
	ACCOUNT #: 04000304747	BUY 428 Units @23.3800						



COMMISSION STATEMENT

January 22, 2018

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BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 2 Units @23.5300	45.00	0.45	0.00	0.45	10.0	0.05
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 2 Units @23.5300	45.00	0.45	0.00	0.45	10.0	0.05
01/22/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	100.73	0.00	100.73	10.0	10.07
01/22/2018	***-**-306I - SINCLAIR, ACCOUNT #: LSR010992	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	5.64	0.00	5.64	10.0	0.56
01/22/2018	***-**-05IO - KIMBLE, LONNY ACCOUNT #: LSR011472	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	61.58	0.00	61.58	10.0	6.16
01/01/2018	***-**-290I - SAWDEY, MARILYN ACCOUNT #: 04400053047	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	6.54	0.00	6.54	10.0	0.65
01/01/2018	***-**-0008 - COZZO, LUIGI ACCOUNT #: 00009759201	INVESCO DIVERSIFIED DIVIDEND INVEST BUY 0 Units @0.0000	0.00	23.54	0.00	23.54	10.0	2.35
01/08/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @40.9100	28.90	0.29	0.00	0.29	10.0	0.03
01/16/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @41.3900	28.90	0.29	0.00	0.29	10.0	0.03
01/16/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @41.3900	28.90	0.29	0.00	0.29	10.0	0.03
01/16/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @41.3900	20.97	0.21	0.00	0.21	10.0	0.02
01/22/2018	***-**-70UT - GALLETTS CUST, ACCOUNT #: LSR011191	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @0.0000	0.00	6.93	0.00	6.93	10.0	0.69
01/01/2018	***-**-39IN - ARBORE, MARIA ACCOUNT #: 01001181454	IVK GROWTH AND INCOME FUND - CLASS BUY 0 Units @0.0000	0.00	35.66	0.00	35.66	10.0	3.57
01/16/2018	***-**-63IR - DIAMOND, ANN ACCOUNT #: LSR011725	IVY SCIENCE AND TECHNOLOGY FUND CLA BUY 1 Units @0.0000	0.00	2.33	0.00	2.33	10.0	0.23
01/16/2018	***-**-63IR - DIAMOND, ANN ACCOUNT #: LSR011725	IVY SMALL CAP GROWTH CL A BUY 1 Units @0.0000	0.00	0.89	0.00	0.89	10.0	0.09
01/01/2018	***-**-290I - SAWDEY, MARILYN ACCOUNT #: 09896338263	MFS GOVERNMENT SECURITIES FUND-A BUY 0 Units @0.0000	0.00	4.78	0.00	4.78	10.0	0.48



COMMISSION STATEMENT

January 22, 2018

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BRANCH #01016 - 16 - CASPER

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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 08191357165	MFS TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	11.65	0.00	11.65	10.0	1.17
01/12/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	NEW PERSPECTIVE FUND-A BUY 2 Units @45.1800	103.63	1.04	0.00	1.04	10.0	0.10
01/12/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	NEW PERSPECTIVE FUND-A BUY 8 Units @45.1800	357.05	3.57	0.00	3.57	10.0	0.36
01/12/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	NEW PERSPECTIVE FUND-A BUY 7 Units @45.1800	299.40	2.99	0.00	2.99	10.0	0.30
01/12/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	47.25	0.47	0.00	0.47	10.0	0.05
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	NEW PERSPECTIVE FUND-A BUY 3 Units @45.1800	126.00	1.26	0.00	1.26	10.0	0.13
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	55.49	0.55	0.00	0.55	10.0	0.06
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	40.03	0.40	0.00	0.40	10.0	0.04
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	NEW PERSPECTIVE FUND-A BUY 2 Units @45.1800	100.80	1.01	0.00	1.01	10.0	0.10
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	33.59	0.34	0.00	0.34	10.0	0.03
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	33.59	0.34	0.00	0.34	10.0	0.03
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	47.87	0.48	0.00	0.48	10.0	0.05
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	47.87	0.48	0.00	0.48	10.0	0.05
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	49.50	0.50	0.00	0.50	10.0	0.05
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 0 Units @45.1800	21.49	0.21	0.00	0.21	10.0	0.02
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 1 Units @45.1800	39.60	0.40	0.00	0.40	10.0	0.04



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 0 Units @45.1800	11.32	0.11	0.00	0.11	10.0	0.01
01/16/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	NEW PERSPECTIVE FUND-A BUY 0 Units @45.1200	19.80	0.20	0.00	0.20	10.0	0.02
01/19/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	NEW PERSPECTIVE FUND-A BUY 1 Units @46.5500	24.35	0.29	0.00	0.29	10.0	0.03
01/08/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @42.8600	10.50	0.11	0.00	0.11	10.0	0.01
01/08/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @42.8600	21.00	0.21	0.00	0.21	10.0	0.02
01/16/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @43.3500	7.83	0.08	0.00	0.08	10.0	0.01
01/16/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @43.3500	10.50	0.11	0.00	0.11	10.0	0.01
01/16/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @43.3500	10.50	0.11	0.00	0.11	10.0	0.01
01/16/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @43.3500	21.00	0.21	0.00	0.21	10.0	0.02
01/16/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @43.3500	21.00	0.21	0.00	0.21	10.0	0.02
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @43.3500	5.57	0.06	0.00	0.06	10.0	0.01
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 1 Units @43.3500	29.80	0.30	0.00	0.30	10.0	0.03
01/22/2018	***-**-92IR - CRISPINO, FBO ACCOUNT #: LSR011073	NEW PERSPECTIVE FUND-C BUY 1 Units @0.0000	0.00	10.91	0.00	10.91	10.0	1.09
01/22/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	NEW PERSPECTIVE FUND-C BUY 1 Units @0.0000	0.00	5.35	0.00	5.35	10.0	0.54
01/08/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00083798896	NEW WORLD FUND-C BUY 13 Units @66.5100	850.00	8.50	0.00	8.50	10.0	0.85
01/08/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00084905937	NEW WORLD FUND-C BUY 13 Units @66.5100	850.00	8.50	0.00	8.50	10.0	0.85



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/08/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @66.5100						
01/08/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @66.5100						
01/08/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @66.5100						
01/08/2018	***-**-68IN - RANDALL, JASON	NEW WORLD FUND-C	850.00	8.50	0.00	8.50	10.0	0.85
	ACCOUNT #: 00088870923	BUY 13 Units @66.5100						
01/16/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	7.83	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @67.1200						
01/16/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @67.1200						
01/16/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @67.1200						
01/16/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @67.1200						
01/16/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @67.1200						
01/16/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @67.1200						
01/16/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @67.1200						
01/19/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 EQUITY INCOME PORTF C	138.52	1.39	0.00	1.39	10.0	0.14
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
01/19/2018	***-**-6352 - GINERVA, ENZA	NYA JPM 529 EQUITY INCOME PORTF C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 77766297801	BUY 0 Units @0.0000						
01/19/2018	***-**-2942 - WARNEY, KENNETH	NYA JPM 529 EQUITY INCOME PORTF C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 77932712101	BUY 0 Units @0.0000						
01/19/2018	***-**-6352 - GINERVA, ENZA	NYA JPM 529 EQUITY INCOME PORTF C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 77766297801	BUY 0 Units @0.0000						
01/19/2018	***-**-503J - OBI, JEAN	NYA JPM 529 MOD AGE-BASED A	50.00	2.38	0.00	2.38	10.0	0.24
	ACCOUNT #: 77058060901	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
01/19/2018	***-**-015P - FANTAUZZO, ACCOUNT #: 77529133201	NYA JPM 529 REALTY INCOME PORTF C BUY 0 Units @0.0000	165.00	1.65	0.00	1.65	10.0	0.17
01/02/2018	***-**-642I - DELGAIZO, LISA ACCOUNT #: 00488983741	PUTNAM AMERICAN GOVERNMENT INCOME F BUY 0 Units @0.0000	0.00	1.60	0.00	1.60	10.0	0.16
01/02/2018	***-**-33IN - TESTA, BARBARA ACCOUNT #: 00214281708	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	20.96	0.00	20.96	10.0	2.10
01/02/2018	***-**-642J - DELGALZO, ACCOUNT #: 00364555089	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	2.09	0.00	2.09	10.0	0.21
01/02/2018	***-**-130I - CIRA, JOHN ACCOUNT #: 00415148688	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	4.42	0.00	4.42	10.0	0.44
01/02/2018	***-**-33UG - DELGAIZO, ALESHA ACCOUNT #: 00437911872	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	6.35	0.00	6.35	10.0	0.64
01/02/2018	***-**-73UG - DELGAIZO, ACCOUNT #: 00481564658	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	3.94	0.00	3.94	10.0	0.39
01/02/2018	***-**-642I - DELGAIZO, LISA ACCOUNT #: 00488983741	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	3.65	0.00	3.65	10.0	0.37
01/02/2018	***-**-939I - ARBORE, MARIA ACCOUNT #: 00506910960	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	29.92	0.00	29.92	10.0	2.99
01/02/2018	***-**-707I - BARON, ROBIN ACCOUNT #: 00551086624	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	7.76	0.00	7.76	10.0	0.78
01/02/2018	***-**-3939 - ARBORE, MARIA ACCOUNT #: 00551310434	PUTNAM EQUITY INCOME FUND-C BUY 0 Units @0.0000	0.00	137.83	0.00	137.83	10.0	13.78
01/02/2018	***-**-642J - DELGALZO, ACCOUNT #: 00364555089	PUTNAM GLOBAL HEALTH CARE FD-A BUY 0 Units @0.0000	0.00	1.51	0.00	1.51	10.0	0.15
01/02/2018	***-**-678I - BAKERINK, DIANE ACCOUNT #: 00273141121	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	6.09	0.00	6.09	10.0	0.61
01/02/2018	***-**-178I - STAUB, KIRK ACCOUNT #: 00455134356	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	0.46	0.00	0.46	10.0	0.05
01/02/2018	***-**-43IR - BOSCO, GIULIO ACCOUNT #: 00494908627	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	9.69	0.00	9.69	10.0	0.97
01/02/2018	***-**-293I - LIPPA, PAUL ACCOUNT #: 00511940615	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	28.75	0.00	28.75	10.0	2.88



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
01/02/2018	***-**-643I - BOSCO, GIULIO	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	2.07	0.00	2.07	10.0	0.21
	ACCOUNT #: 00514117077	BUY 0 Units @0.0000						
01/02/2018	***-**-73UG - DELGAIZO,	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	29.81	0.00	29.81	10.0	2.98
	ACCOUNT #: 00481564658	BUY 0 Units @0.0000						
01/02/2018	***-**-059I - JOHNSON, WILLIAM	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	31.73	0.00	31.73	10.0	3.17
	ACCOUNT #: 00020573802	BUY 0 Units @0.0000						
01/02/2018	***-**-59IN - SCARPULLA,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.16	0.00	4.16	10.0	0.42
	ACCOUNT #: 00066046582	BUY 0 Units @0.0000						
01/02/2018	***-**-642J - DELGALZO,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
01/02/2018	***-**-33UG - DELGAIZO, ALESHA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	20.84	0.00	20.84	10.0	2.08
	ACCOUNT #: 00437911872	BUY 0 Units @0.0000						
01/02/2018	***-**-178I - STAUB, KIRK	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 00455134356	BUY 0 Units @0.0000						
01/02/2018	***-**-170J - CAMPOMIZZI, JOHN	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.13	0.00	0.13	10.0	0.01
	ACCOUNT #: 00475151691	BUY 0 Units @0.0000						
01/02/2018	***-**-73UG - DELGAIZO,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00481564658	BUY 0 Units @0.0000						
01/02/2018	***-**-642I - DELGAIZO, LISA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.45	0.00	4.45	10.0	0.45
	ACCOUNT #: 00488983741	BUY 0 Units @0.0000						
01/02/2018	***-**-643I - BOSCO, GIULIO	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	7.46	0.00	7.46	10.0	0.75
	ACCOUNT #: 00514117077	BUY 0 Units @0.0000						
01/02/2018	***-**-33UG - DELGAIZO, ALESHA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	2.96	0.00	2.96	10.0	0.30
	ACCOUNT #: 00519031484	BUY 0 Units @0.0000						
01/02/2018	***-**-170I - CAMPOMIZZI,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	2.01	0.00	2.01	10.0	0.20
	ACCOUNT #: 00550825937	BUY 0 Units @0.0000						
01/02/2018	***-**-06IN - BERNARD, CREGG	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00550826447	BUY 0 Units @0.0000						
01/02/2018	***-**-18IN - RIEDEL, JAMES	PUTNAM NEW YORK TAX- EXEMPT INCOME	0.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00048939595	BUY 0 Units @0.0000						
01/02/2018	***-**-642J - DELGALZO,	PUTNAM NEW YORK TAX- EXEMPT INCOME	0.00	0.89	0.00	0.89	10.0	0.09
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 22, 2018

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400 West Metro Park
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BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
01/02/2018	***-**-33IN - TESTA, BARBARA	PUTNAM U.S. GOVT INCOME TR-A	0.00	18.98	0.00	18.98	10.0	1.90
	ACCOUNT #: 00214281708	BUY 0 Units @0.0000						
01/12/2018	***-**-685P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	368.21	3.68	0.00	3.68	10.0	0.37
	ACCOUNT #: 00067400188	BUY 37 Units @9.8800						
01/12/2018	***-**-685P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	15.56	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00067400188	BUY 2 Units @9.8800						
01/12/2018	***-**-685P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	298.45	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00067400188	BUY 30 Units @9.8800						
01/12/2018	***-**-685P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00067400188	BUY 1 Units @9.8800						
01/12/2018	***-**-305P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	368.21	3.68	0.00	3.68	10.0	0.37
	ACCOUNT #: 00067436327	BUY 37 Units @9.8800						
01/12/2018	***-**-305P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	22.50	0.23	0.00	0.23	10.0	0.02
	ACCOUNT #: 00067436327	BUY 2 Units @9.8800						
01/12/2018	***-**-305P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	298.45	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00067436327	BUY 30 Units @9.8800						
01/12/2018	***-**-305P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00067436327	BUY 2 Units @9.8800						
01/05/2018	***-**-33UG - DELGAIZO, ALESHA	SMALL CAP EQUITY FUND - A	0.00	1.65	0.00	1.65	10.0	0.17
	ACCOUNT #: 00000413901	BUY 0 Units @0.0000						
01/16/2018	***-**-445P - BURNS, DANIEL	SMALLCAP WORLD FUND-A	28.60	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00066758346	BUY 0 Units @57.5400						
01/08/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @50.2500						
01/16/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @50.6000						
01/16/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @50.6000						
01/16/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	5.56	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @50.6000						
01/16/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	29.80	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00089051066	BUY 1 Units @50.6000						



COMMISSION STATEMENT

January 22, 2018

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BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 7 Units @12.8200	87.00	0.87	0.00	0.87	10.0	0.09
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 3 Units @12.8200	38.32	0.38	0.00	0.38	10.0	0.04
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 2 Units @12.8200	27.64	0.28	0.00	0.28	10.0	0.03
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 5 Units @12.8200	69.60	0.70	0.00	0.70	10.0	0.07
01/12/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 5 Units @12.8200	60.00	0.60	0.00	0.60	10.0	0.06
01/12/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 5 Units @12.8200	60.00	0.60	0.00	0.60	10.0	0.06
01/12/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 4 Units @12.8200	48.00	0.48	0.00	0.48	10.0	0.05
01/12/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 4 Units @12.8200	48.00	0.48	0.00	0.48	10.0	0.05
01/12/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 6 Units @12.8200	71.76	0.72	0.00	0.72	10.0	0.07
01/12/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 5 Units @12.8200	57.72	0.58	0.00	0.58	10.0	0.06
01/12/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 3 Units @12.8200	41.26	0.41	0.00	0.41	10.0	0.04
01/12/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 4 Units @12.8200	55.02	0.55	0.00	0.55	10.0	0.06
01/16/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	THE BOND FUND OF AMERICA-A BUY 2 Units @12.8300	19.80	0.20	0.00	0.20	10.0	0.02
01/19/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 4 Units @12.9500	48.69	0.58	0.00	0.58	10.0	0.06
01/08/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.8500	28.05	0.28	0.00	0.28	10.0	0.03
01/08/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.8500	9.00	0.09	0.00	0.09	10.0	0.01



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/16/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 2 Units @12.8300						
01/16/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 2 Units @12.8300						
01/16/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085904181	BUY 1 Units @12.8300						
01/16/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085904181	BUY 1 Units @12.8300						
01/22/2018	***-**-6110 - BONACCI, FBO	THE BOND FUND OF AMERICA-C	0.00	6.15	0.00	6.15	10.0	0.62
	ACCOUNT #: LSR011143	BUY 1 Units @0.0000						
01/16/2018	***-**-415P - SCHILLACI, AMY	THE GROWTH FUND OF AMERICA-529C	75.00	0.75	0.00	0.75	10.0	0.08
	ACCOUNT #: 00081268733	BUY 2 Units @48.3200						
01/12/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	49.50	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00067335866	BUY 1 Units @52.0800						
01/12/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	36.87	0.37	0.00	0.37	10.0	0.04
	ACCOUNT #: 00067335866	BUY 1 Units @52.0800						
01/12/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	39.60	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00067335866	BUY 1 Units @52.0800						
01/12/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	26.93	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00067335866	BUY 1 Units @52.0800						
01/12/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	357.05	3.57	0.00	3.57	10.0	0.36
	ACCOUNT #: 00067351603	BUY 7 Units @52.0800						
01/12/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	103.63	1.04	0.00	1.04	10.0	0.10
	ACCOUNT #: 00067351603	BUY 2 Units @52.0800						
01/12/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	299.40	2.99	0.00	2.99	10.0	0.30
	ACCOUNT #: 00067351603	BUY 6 Units @52.0800						
01/12/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	47.25	0.47	0.00	0.47	10.0	0.05
	ACCOUNT #: 00067351603	BUY 1 Units @52.0800						
01/12/2018	***-**-375P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	99.00	0.99	0.00	0.99	10.0	0.10
	ACCOUNT #: 00067351605	BUY 2 Units @52.0800						
01/12/2018	***-**-375P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	56.93	0.57	0.00	0.57	10.0	0.06
	ACCOUNT #: 00067351605	BUY 1 Units @52.0800						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
01/12/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	THE GROWTH FUND OF AMERICA-A BUY 2 Units @52.0800	79.20	0.79	0.00	0.79	10.0	0.08
01/12/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	45.54	0.46	0.00	0.46	10.0	0.05
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE GROWTH FUND OF AMERICA-A BUY 2 Units @52.0800	87.00	0.87	0.00	0.87	10.0	0.09
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	38.32	0.38	0.00	0.38	10.0	0.04
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	69.60	0.70	0.00	0.70	10.0	0.07
01/12/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	27.65	0.28	0.00	0.28	10.0	0.03
01/12/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	53.82	0.54	0.00	0.54	10.0	0.05
01/12/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	43.29	0.43	0.00	0.43	10.0	0.04
01/12/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	41.26	0.41	0.00	0.41	10.0	0.04
01/12/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	30.94	0.31	0.00	0.31	10.0	0.03
01/12/2018	***-**-8919 - MASTROSIMONE, ACCOUNT #: 00086553837	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	36.00	0.36	0.00	0.36	10.0	0.04
01/12/2018	***-**-8919 - MASTROSIMONE, ACCOUNT #: 00086553837	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	36.00	0.36	0.00	0.36	10.0	0.04
01/12/2018	***-**-8919 - MASTROSIMONE, ACCOUNT #: 00086553837	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	28.80	0.29	0.00	0.29	10.0	0.03
01/12/2018	***-**-8919 - MASTROSIMONE, ACCOUNT #: 00086553837	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	28.80	0.29	0.00	0.29	10.0	0.03
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	33.59	0.34	0.00	0.34	10.0	0.03
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	33.59	0.34	0.00	0.34	10.0	0.03



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
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BROKER #: 20
BRANCH #01016 - 16 - CASPER

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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	47.87	0.48	0.00	0.48	10.0	0.05
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	47.87	0.48	0.00	0.48	10.0	0.05
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	49.50	0.50	0.00	0.50	10.0	0.05
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE GROWTH FUND OF AMERICA-A BUY 0 Units @52.0800	21.49	0.21	0.00	0.21	10.0	0.02
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	39.60	0.40	0.00	0.40	10.0	0.04
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE GROWTH FUND OF AMERICA-A BUY 0 Units @52.0800	11.33	0.11	0.00	0.11	10.0	0.01
01/12/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 2 Units @52.0800	100.00	1.00	0.00	1.00	10.0	0.10
01/12/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	66.00	0.66	0.00	0.66	10.0	0.07
01/12/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 2 Units @52.0800	80.00	0.80	0.00	0.80	10.0	0.08
01/12/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.0800	54.75	0.55	0.00	0.55	10.0	0.06
01/16/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 5 Units @51.9400	250.00	2.50	0.00	2.50	10.0	0.25
01/16/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	THE GROWTH FUND OF AMERICA-A BUY 1 Units @51.9400	30.00	0.30	0.00	0.30	10.0	0.03
01/16/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	THE GROWTH FUND OF AMERICA-A BUY 1 Units @51.9400	72.60	0.73	0.00	0.73	10.0	0.07
01/16/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	THE GROWTH FUND OF AMERICA-A BUY 1 Units @51.9400	30.00	0.30	0.00	0.30	10.0	0.03
01/16/2018	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE GROWTH FUND OF AMERICA-A BUY 1 Units @51.9400	50.00	0.50	0.00	0.50	10.0	0.05
01/16/2018	***-**-095P - RIVERA, MIGUEL ACCOUNT #: 00074922243	THE GROWTH FUND OF AMERICA-A BUY 3 Units @51.9400	130.00	1.30	0.00	1.30	10.0	0.13



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
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BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/16/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	60.73	0.61	0.00	0.61	10.0	0.06
	ACCOUNT #: 00083414110	BUY 1 Units @51.9400						
01/16/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00087318332	BUY 0 Units @51.9400						
01/16/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @51.9400						
01/19/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	73.04	0.88	0.00	0.88	10.0	0.09
	ACCOUNT #: 00063451518	BUY 1 Units @53.4600						
01/08/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @47.5100						
01/08/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00089045192	BUY 0 Units @47.5100						
01/08/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00089045192	BUY 1 Units @47.5100						
01/09/2018	***-**-5945 - INFANTINO,	THE GROWTH FUND OF AMERICA-C	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 04000722726	BUY 5 Units @47.6000						
01/10/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591484	BUY 5 Units @47.5000						
01/10/2018	***-**-1307 - BONACCI,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00087952601	BUY 2 Units @47.5000						
01/10/2018	***-**-50IN - BONACCI,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00089947853	BUY 2 Units @47.5000						
01/10/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591533	BUY 5 Units @47.5000						
01/12/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00089045192	BUY 0 Units @48.2900						
01/16/2018	***-**-3431 - SPENCER,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 04000347049	BUY 2 Units @48.1600						
01/16/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @48.1600						
01/16/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @48.1600						



COMMISSION STATEMENT

January 22, 2018

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Rochester, NY 14623

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BRANCH #01016 - 16 - CASPER

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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.1600	15.00	0.15	0.00	0.15	10.0	0.02
01/16/2018	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089319958	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.1600	55.97	0.56	0.00	0.56	10.0	0.06
01/16/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.1600	20.97	0.21	0.00	0.21	10.0	0.02
01/16/2018	***-**-0578 - DIODATO, ZACHARY ACCOUNT #: 04000618224	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.1600	50.00	0.50	0.00	0.50	10.0	0.05
01/16/2018	***-**-4232 - DIODATO, MELISSA ACCOUNT #: 04000618245	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.1600	50.00	0.50	0.00	0.50	10.0	0.05
01/16/2018	***-**-0006 - FORSYTH, KATHRYN ACCOUNT #: 04000650661	THE GROWTH FUND OF AMERICA-C BUY 2 Units @48.1600	86.54	0.87	0.00	0.87	10.0	0.09
01/17/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	THE GROWTH FUND OF AMERICA-C BUY 3 Units @48.5700	160.00	1.60	0.00	1.60	10.0	0.16
01/22/2018	***-**-497J - WARNEY, KENNETH ACCOUNT #: LSR011248	THE GROWTH FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	10.0	0.14
01/22/2018	***-**-283I - RICCI, GABRIELLE ACCOUNT #: LSR011473	THE GROWTH FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	3.75	0.00	3.75	10.0	0.38
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 15 Units @23.8500	368.21	3.68	0.00	3.68	10.0	0.37
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.8500	15.56	0.16	0.00	0.16	10.0	0.02
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 13 Units @23.8500	298.45	2.98	0.00	2.98	10.0	0.30
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 0 Units @23.8500	10.50	0.11	0.00	0.11	10.0	0.01
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.8500	22.50	0.23	0.00	0.23	10.0	0.02
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 15 Units @23.8500	368.21	3.68	0.00	3.68	10.0	0.37
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 13 Units @23.8500	298.45	2.98	0.00	2.98	10.0	0.30



COMMISSION STATEMENT

January 22, 2018

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BRANCH #01016 - 16 - CASPER

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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.8500	18.00	0.18	0.00	0.18	10.0	0.02
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	49.50	0.50	0.00	0.50	10.0	0.05
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	36.87	0.37	0.00	0.37	10.0	0.04
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	39.60	0.40	0.00	0.40	10.0	0.04
01/12/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	26.93	0.27	0.00	0.27	10.0	0.03
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	33.59	0.34	0.00	0.34	10.0	0.03
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	33.59	0.34	0.00	0.34	10.0	0.03
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	47.87	0.48	0.00	0.48	10.0	0.05
01/12/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	47.87	0.48	0.00	0.48	10.0	0.05
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	51.00	0.51	0.00	0.51	10.0	0.05
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	22.14	0.22	0.00	0.22	10.0	0.02
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9400	40.80	0.41	0.00	0.41	10.0	0.04
01/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @41.9400	11.67	0.12	0.00	0.12	10.0	0.01
01/16/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE INVESTMENT COMPANY OF AMERICA-A BUY 6 Units @41.8300	250.00	2.50	0.00	2.50	10.0	0.25
01/16/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.8300	28.60	0.29	0.00	0.29	10.0	0.03
01/16/2018	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.8300	50.00	0.50	0.00	0.50	10.0	0.05



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
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BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/16/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 0 Units @41.8300						
01/16/2018	***-**-395P - DIVASTA, ANTHONY	THE INVESTMENT COMPANY OF AMERICA-A	50.00	1.88	0.00	1.88	10.0	0.19
	ACCOUNT #: 00059597416	BUY 1 Units @43.8000						
01/17/2018	***-**-9024 - HACKETT, ETHAN	THE NEW ECONOMY FUND-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00088123299	BUY 1 Units @42.4900						
01/16/2018	***-**-8932 - RUSH, MICHELLE	THE TAX-EXEMPT BOND FUND OF AMERICA	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000574835	BUY 4 Units @12.9800						
01/18/2018	***-**-279J - HERRMANN, KEVIN	THE TAX-EXEMPT BOND FUND OF AMERICA	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 00086046167	BUY 10 Units @12.9700						
01/22/2018	***-**-20IN - GIANGRECO, TERRY	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	373.46	0.00	373.46	10.0	37.35
	ACCOUNT #: LSR010603	BUY 1 Units @0.0000						
01/22/2018	***-**-61IN - OLIVERI, WILLIAM	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	154.76	0.00	154.76	10.0	15.48
	ACCOUNT #: LSR011543	BUY 1 Units @0.0000						
01/08/2018	***-**-63IN - DIAMOND, ANN	U.S. GOVERNMENT SECURITIES FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085468057	BUY 4 Units @13.5900						
01/12/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	103.63	1.04	0.00	1.04	10.0	0.10
	ACCOUNT #: 00067351603	BUY 2 Units @47.4500						
01/12/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	357.05	3.57	0.00	3.57	10.0	0.36
	ACCOUNT #: 00067351603	BUY 8 Units @47.4500						
01/12/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	299.40	2.99	0.00	2.99	10.0	0.30
	ACCOUNT #: 00067351603	BUY 6 Units @47.4500						
01/12/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	47.25	0.47	0.00	0.47	10.0	0.05
	ACCOUNT #: 00067351603	BUY 1 Units @47.4500						
01/12/2018	***-**-375P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	102.00	1.02	0.00	1.02	10.0	0.10
	ACCOUNT #: 00067351605	BUY 2 Units @47.4500						
01/12/2018	***-**-375P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	58.65	0.59	0.00	0.59	10.0	0.06
	ACCOUNT #: 00067351605	BUY 1 Units @47.4500						
01/12/2018	***-**-375P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	81.60	0.82	0.00	0.82	10.0	0.08
	ACCOUNT #: 00067351605	BUY 2 Units @47.4500						
01/12/2018	***-**-375P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	46.92	0.47	0.00	0.47	10.0	0.05
	ACCOUNT #: 00067351605	BUY 1 Units @47.4500						



COMMISSION STATEMENT

January 22, 2018

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BRANCH #01016 - 16 - CASPER

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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	WASHINGTON MUTUAL INVESTORS FUND-A BUY 8 Units @47.4500	368.22	3.68	0.00	3.68	10.0	0.37
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.4500	15.57	0.16	0.00	0.16	10.0	0.02
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	WASHINGTON MUTUAL INVESTORS FUND-A BUY 6 Units @47.4500	298.45	2.98	0.00	2.98	10.0	0.30
01/12/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.4500	10.50	0.11	0.00	0.11	10.0	0.01
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 8 Units @47.4500	368.22	3.68	0.00	3.68	10.0	0.37
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.4500	22.50	0.23	0.00	0.23	10.0	0.02
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 6 Units @47.4500	298.45	2.98	0.00	2.98	10.0	0.30
01/12/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.4500	18.00	0.18	0.00	0.18	10.0	0.02
01/16/2018	***-**-415P - MALOVICS, LASZLO ACCOUNT #: 00066758345	WASHINGTON MUTUAL INVESTORS FUND-A BUY 11 Units @47.3000	500.00	5.00	0.00	5.00	10.0	0.50
01/16/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @47.3000	30.80	0.31	0.00	0.31	10.0	0.03
01/08/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @46.1000	40.00	0.40	0.00	0.40	10.0	0.04
01/10/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @46.0900	40.00	0.40	0.00	0.40	10.0	0.04
01/11/2018	***-**-305P - MESH, RONALD ACCOUNT #: 00074720484	WASHINGTON MUTUAL INVESTORS FUND-C BUY 9 Units @46.4900	400.00	4.00	0.00	4.00	10.0	0.40
01/16/2018	***-**-436I - RAGO, LISA ACCOUNT #: 04000456708	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @46.6900	50.00	0.50	0.00	0.50	10.0	0.05
01/17/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	WASHINGTON MUTUAL INVESTORS FUND-C BUY 4 Units @47.1500	170.00	1.70	0.00	1.70	10.0	0.17
* FREDERIC SCARPULLA SUBTOTAL *			\$137,965.95	\$3,199.28	\$0.00	\$3,199.28		\$320.44



COMMISSION STATEMENT

January 22, 2018

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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: WILLIAM AGNELLO</u>								
01/22/2018	***-**-28IN - CHIAVETTA, ACCOUNT #: LSR008842	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	2.38	0.00	2.38	25.0	0.60
01/22/2018	***-**-93IO - WOJTAS, JEANETTE ACCOUNT #: LSR007323	AMERICAN HIGH-INCOME TRUST-A BUY 1 Units @0.0000	0.00	1.53	0.00	1.53	25.0	0.38
01/22/2018	***-**-75IO - DELCOUR ACCOUNT #: LSR007358	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	10.20	0.00	10.20	25.0	2.55
01/16/2018	***-**-28IN - CHIAVETTA, ACCOUNT #: LSR008842	DELAWARE HIGH YIELD OPPS FUND A CLA BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	25.0	0.17
01/22/2018	***-**-613K - HAGER ACCOUNT #: LSR006980	DREYFUS LIMITED TERM HIGH YIELD FUN BUY 1 Units @0.0000	0.00	1.95	0.00	1.95	25.0	0.49
01/22/2018	***-**-43IN - CUP, NICHOLAS ACCOUNT #: LSR006890	FIDELITY ADV HIGH INC ADVANTAGE CL BUY 1 Units @0.0000	0.00	16.08	0.00	16.08	25.0	4.02
01/22/2018	***-**-11IO - CRANDALL, ACCOUNT #: LSR007145	FIDELITY ADV HIGH INC ADVANTAGE CL BUY 1 Units @0.0000	0.00	17.04	0.00	17.04	25.0	4.26
01/22/2018	***-**-657I - RIEL, KEVIN ACCOUNT #: LSR007366	FIDELITY ADV SMALL CAP GROWTH-CL C BUY 1 Units @0.0000	0.00	6.12	0.00	6.12	25.0	1.53
01/22/2018	***-**-43IN - CUP, NICHOLAS ACCOUNT #: LSR006890	FIDELITY ADV STRATEGIC DIV & INCOME BUY 1 Units @0.0000	0.00	17.98	0.00	17.98	25.0	4.50
01/22/2018	***-**-43IN - CUP, NICHOLAS ACCOUNT #: LSR006890	FIDELITY ADVISOR BIOTECHNOLOGY CL C BUY 1 Units @0.0000	0.00	7.46	0.00	7.46	25.0	1.87
01/22/2018	***-**-36IO - IRWIN, CHARLES ACCOUNT #: LSR007200	FIDELITY ADVISOR BIOTECHNOLOGY CL C BUY 1 Units @0.0000	0.00	10.18	0.00	10.18	25.0	2.55
01/22/2018	***-**-657I - RIEL, KEVIN ACCOUNT #: LSR007366	FIDELITY ADVISOR BIOTECHNOLOGY CL C BUY 1 Units @0.0000	0.00	22.41	0.00	22.41	25.0	5.60
01/22/2018	***-**-43IN - CUP, NICHOLAS ACCOUNT #: LSR006890	FIDELITY ADVISOR FUNDS 316390350 BUY 1 Units @0.0000	0.00	7.10	0.00	7.10	25.0	1.78
01/18/2018	***-**-43IN - CUP, NICHOLAS ACCOUNT #: LSR006890	FORD MTR CO DEL COM UNSOLICITED ORD SELL 300 Units @12.0250	3,607.50	58.31	0.00	58.31	25.0	14.58
01/18/2018	***-**-36FB - IRWIN, CHARLES ACCOUNT #: 3128048	GPS ACCUMULATION, PROFILE 3, MODERA BUY 0 Units @1539.5417	153,954.17	379.50	0.00	379.50	15.0	56.93
01/22/2018	***-**-39IN - IRWIN, DIANE ACCOUNT #: LSR007234	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	5.04	0.00	5.04	25.0	1.26



COMMISSION STATEMENT

January 22, 2018

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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: WILLIAM AGNELLO (continued)</u>								
01/16/2018	***-**-39IR - IRWIN ACCOUNT #: LSR007242	PRUDENTIAL GROWTH ALLOCATION CL B BUY 1 Units @0.0000	0.00	1.44	0.00	1.44	25.0	0.36
01/16/2018	***-**-59T3 - ETHEL CUP IRREV ACCOUNT #: LSR006947	PRUDENTIAL JENNISON CONSERV GROWTH BUY 1 Units @0.0000	0.00	2.42	0.00	2.42	25.0	0.61
01/16/2018	***-**-59T3 - ETHEL CUP IRREV ACCOUNT #: LSR006947	PRUDENTIAL JENNISON CONSERV GROWTH BUY 1 Units @0.0000	0.00	1.78	0.00	1.78	25.0	0.45
01/16/2018	***-**-925I - DIPAOLO, JOSEPH ACCOUNT #: LSR006874	PRUDENTIAL TOTAL RETURN BOND CLASS BUY 1 Units @0.0000	0.00	1.70	0.00	1.70	25.0	0.43
01/16/2018	***-**-963I - GAMMARIELLO, ACCOUNT #: LSR007102	PRUDENTIAL TOTAL RETURN BOND CLASS BUY 1 Units @0.0000	0.00	2.52	0.00	2.52	25.0	0.63
01/16/2018	***-**-39IN - IRWIN, DIANE ACCOUNT #: LSR007234	PRUDENTIAL TOTAL RETURN BOND CLASS BUY 1 Units @0.0000	0.00	8.37	0.00	8.37	25.0	2.09
01/16/2018	***-**-728X - CHIAVETTA, NSPS ACCOUNT #: LSR008699	PRUDENTIAL TOTAL RETURN BOND CLASS BUY 1 Units @0.0000	0.00	1.52	0.00	1.52	25.0	0.38
01/16/2018	***-**-28IN - CHIAVETTA, ACCOUNT #: LSR008842	PRUDENTIAL TOTAL RETURN BOND CLASS BUY 1 Units @0.0000	0.00	7.96	0.00	7.96	25.0	1.99
01/22/2018	***-**-75IO - DELCOUR ACCOUNT #: LSR007358	THE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	6.05	0.00	6.05	25.0	1.51
01/22/2018	***-**-098I - AQUILINA, MARIAN ACCOUNT #: LSR007072	THE BOND FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	8.02	0.00	8.02	25.0	2.01
01/22/2018	***-**-963I - GAMMARIELLO, ACCOUNT #: LSR007102	THE BOND FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	17.97	0.00	17.97	25.0	4.49
01/22/2018	***-**-951I - SCHAEFER, ACCOUNT #: LSR007382	THE BOND FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	5.33	0.00	5.33	25.0	1.33
01/22/2018	***-**-59T4 - ETHEL CUP TRUST ACCOUNT #: LSR006955	THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	25.0	0.34
01/22/2018	***-**-613K - HAGER ACCOUNT #: LSR006980	THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	3.33	0.00	3.33	25.0	0.83
01/22/2018	***-**-39IN - IRWIN, DIANE ACCOUNT #: LSR007234	THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	7.36	0.00	7.36	25.0	1.84
01/22/2018	***-**-728X - CHIAVETTA, NSPS ACCOUNT #: LSR008699	THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.11	0.00	2.11	25.0	0.53



COMMISSION STATEMENT

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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: WILLIAM AGNELLO (continued)</u> 								
01/22/2018	***-**-43IN - CUP, NICHOLAS	THE GROWTH FUND OF AMERICA-C	0.00	24.43	0.00	24.43	25.0	6.11
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
01/22/2018	***-**-13IR - HAGER, MICHAEL	THE GROWTH FUND OF AMERICA-C	0.00	8.68	0.00	8.68	25.0	2.17
	ACCOUNT #: LSR006971	BUY 1 Units @0.0000						
01/22/2018	***-**-657I - RIEL, KEVIN	THE GROWTH FUND OF AMERICA-C	0.00	41.65	0.00	41.65	25.0	10.41
	ACCOUNT #: LSR007366	BUY 1 Units @0.0000						
01/22/2018	***-**-28IN - CHIAVETTA,	THE GROWTH FUND OF AMERICA-C	0.00	11.25	0.00	11.25	25.0	2.81
	ACCOUNT #: LSR008842	BUY 1 Units @0.0000						
01/18/2018	***-**-28IR - CUP, ANDREW	TWO HBRS INVT CORP COM NEW UNSOLICI	781.25	18.78	0.00	18.78	25.0	4.70
	ACCOUNT #: LSR007129	SELL 50 Units @15.6250						
01/22/2018	***-**-43IN - CUP, NICHOLAS	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	1.82	0.00	1.82	25.0	0.46
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
 * WILLIAM AGNELLO SUBTOTAL * 			 \$158,342.92 	 \$749.82 	 \$0.00 	 \$749.82 		 \$149.55
 <u>BROKER: JAMES LOMBARDO</u> 								
01/02/2018	***-**-228I - EMMA, JACQUELINE	37252M108	0.00	0.89	0.00	0.89	15.0	0.13
	ACCOUNT #: 00551461545	BUY 0 Units @0.0000						
01/02/2018	***-**-5506 - LOMBARDO, LEIGH	37252M108	0.00	3.00	0.00	3.00	15.0	0.45
	ACCOUNT #: 00370935092	BUY 0 Units @0.0000						
01/02/2018	***-**-1748 - LOMBARDO, JAMES	37252M108	0.00	6.67	0.00	6.67	15.0	1.00
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
01/01/2018	***-**-51IR - HOKE, THOMAS	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 03809514965	BUY 0 Units @0.0000						
01/01/2018	***-**-4160 - RUNICE, ARVID	AIM SHORT TERM BOND FUND - CLASS C	0.00	14.81	0.00	14.81	15.0	2.22
	ACCOUNT #: 03811143993	BUY 0 Units @0.0000						
01/22/2018	***-**-166I - BONN, FBO	AMCAP FUND-C	0.00	2.74	0.00	2.74	15.0	0.41
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
01/08/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 2 Units @28.8400						
01/12/2018	***-**-2885 - BISHOP, DAVID	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00068915116	BUY 2 Units @29.0500						
01/16/2018	***-**-8238 - ASMUS, MICHAEL	AMERICAN BALANCED FUND-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00074487927	BUY 3 Units @29.0200						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: JAMES LOMBARDO (continued)</u> 								
01/08/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN MUTUAL FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @43.5600						
01/22/2018	***-**-166I - BONN, FBO	AMERICAN MUTUAL FUND-C	0.00	3.71	0.00	3.71	15.0	0.56
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
01/16/2018	***-**-8806 - MABRY, REBECCA	CAPITAL INCOME BUILDER-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00082729374	BUY 1 Units @66.9400						
01/22/2018	***-**-166I - BONN, FBO	EUROPACIFIC GROWTH FUND CLASS C	0.00	2.43	0.00	2.43	15.0	0.36
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
01/16/2018	***-**-8806 - MABRY, REBECCA	EUROPACIFIC GROWTH FUND-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00082729374	BUY 1 Units @61.3100						
01/08/2018	***-**-2608 - GIAMAS, GREGORY	FUNDAMENTAL INVESTORS-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @66.9800						
01/12/2018	***-**-2885 - BISHOP, DAVID	FUNDAMENTAL INVESTORS-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00068915116	BUY 1 Units @68.0600						
01/22/2018	***-**-166I - BONN, FBO	FUNDAMENTAL INVESTORS-C	0.00	3.96	0.00	3.96	15.0	0.59
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
01/02/2018	***-**-0683 - DAVIS, SHARON	HARTFORD INFLATION PLUS FUND CLASS	0.00	19.69	0.00	19.69	15.0	2.95
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
01/22/2018	***-**-166I - BONN, FBO	INCOME FUND OF AMERICA CLASS C	0.00	1.26	0.00	1.26	15.0	0.19
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						
01/01/2018	***-**-5506 - LOMBARDO, LEIGH	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	21.50	0.00	21.50	15.0	3.23
	ACCOUNT #: 03809219276	BUY 0 Units @0.0000						
01/01/2018	***-**-6195 - BACKUS, THOMAS	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	8.28	0.00	8.28	15.0	1.24
	ACCOUNT #: 03908954377	BUY 0 Units @0.0000						
01/01/2018	***-**-6195 - BACKUS, THOMAS	IVK AMERICAN FRANCHISE FUND - CLASS	0.00	0.51	0.00	0.51	15.0	0.08
	ACCOUNT #: 03908954377	BUY 0 Units @0.0000						
01/08/2018	***-**-2608 - GIAMAS, GREGORY	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @46.7100						
01/12/2018	***-**-2885 - BISHOP, DAVID	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00068915116	BUY 1 Units @47.3100						
01/02/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM ASSET ALLOC CONSERV-A	0.00	16.88	0.00	16.88	15.0	2.53
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: JAMES LOMBARDO (continued)</u>								
01/02/2018	***-**-7177 - RUNICE, MARGARET	PUTNAM EQUITY INCOME FUND-A	0.00	12.05	0.00	12.05	15.0	1.81
	ACCOUNT #: 00266380833	BUY 0 Units @0.0000						
01/02/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM EQUITY INCOME FUND-A	0.00	7.61	0.00	7.61	15.0	1.14
	ACCOUNT #: 00461190200	BUY 0 Units @0.0000						
01/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM EQUITY INCOME FUND-A	0.00	27.10	0.00	27.10	15.0	4.07
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						
01/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.50	0.00	0.50	15.0	0.08
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						
01/02/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM INVESTORS FUND-A	0.00	3.96	0.00	3.96	15.0	0.59
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
01/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM INVESTORS FUND-A	0.00	4.39	0.00	4.39	15.0	0.66
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						
01/02/2018	***-**-8491 - INCORVAIA,	PUTNAM INVESTORS FUND-A	0.00	2.92	0.00	2.92	15.0	0.44
	ACCOUNT #: 00517271868	BUY 0 Units @0.0000						
01/02/2018	***-**-8201 - MAUTNER, LILLIAN	PUTNAM INVESTORS FUND-A	0.00	1.11	0.00	1.11	15.0	0.17
	ACCOUNT #: 00551326614	BUY 0 Units @0.0000						
01/02/2018	***-**-6565 - MAUTNER, ARIANNY	PUTNAM INVESTORS FUND-A	0.00	1.11	0.00	1.11	15.0	0.17
	ACCOUNT #: 00551326624	BUY 0 Units @0.0000						
01/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	31.91	0.00	31.91	15.0	4.79
	ACCOUNT #: 00343384180	BUY 0 Units @0.0000						
01/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	31.33	0.00	31.33	15.0	4.70
	ACCOUNT #: 00452858253	BUY 0 Units @0.0000						
01/02/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.63	0.00	3.63	15.0	0.54
	ACCOUNT #: 00461190200	BUY 0 Units @0.0000						
01/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	19.43	0.00	19.43	15.0	2.91
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						
01/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES-B	0.00	0.62	0.00	0.62	15.0	0.09
	ACCOUNT #: 00452858253	BUY 0 Units @0.0000						
01/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM SHORT DURATION INCOME CL A	0.00	5.16	0.00	5.16	15.0	0.77
	ACCOUNT #: 00550388392	BUY 0 Units @0.0000						
01/22/2018	***-**-1661 - BONN, FBO	SMALLCAP WORLD FUND-C	0.00	2.08	0.00	2.08	15.0	0.31
	ACCOUNT #: LSR011032	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 22, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: JAMES LOMBARDO (continued)</u>								
01/08/2018	***-**-2608 - GIAMAS, GREGORY	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @53.6400						
01/10/2018	***-**-98CL - ACOSTA, CLIENTS	THE GROWTH FUND OF AMERICA-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00083299252	BUY 1 Units @53.9200						
01/12/2018	***-**-2885 - BISHOP, DAVID	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00068915116	BUY 1 Units @54.5300						
01/02/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD ADVISERS FUND-C	0.00	16.70	0.00	16.70	15.0	2.51
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
01/02/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	21.47	0.00	21.47	15.0	3.22
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
01/16/2018	***-**-8238 - ASMUS, MICHAEL	THE INVESTMENT COMPANY OF AMERICA-A	140.00	5.25	0.00	5.25	15.0	0.79
	ACCOUNT #: 00074487927	BUY 3 Units @43.8000						
01/01/2018	***-**-5506 - LOMBARDO, LEIGH	VAN KAMPEN3	0.00	7.80	0.00	7.80	15.0	1.17
	ACCOUNT #: 03809219276	BUY 0 Units @0.0000						
01/10/2018	***-**-98CL - ACOSTA, CLIENTS	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00083299252	BUY 1 Units @49.1500						
* JAMES LOMBARDO SUBTOTAL *			\$940.00	\$345.50	\$0.00	\$345.50		\$51.81
*** OVERRIDE TRANSACTIONS TOTAL ***			\$297,248.87	\$4,721.85	\$0.00	\$4,721.85		\$595.53



BROKER #: 20
BRANCH #01016 - 16 - CASPER

			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$2,155.38
						Split Transactions		\$0.00
						Override Transactions		\$595.53
						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		\$2,750.91
						Year-to-date Earnings		\$11,152.28