



COMMISSION STATEMENT

July 23, 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>								
07/16/2018	***-**-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 @10.5500						
07/16/2018	***-**-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 @62.8100						
07/16/2018	***-**-2256 - SPITZER, HERSHEL	CAPITAL INCOME BUILDER-A	87.50	2.41	0.00	2.41	95.0	2.29
	ACCOUNT #: 00083997024	BUY 1 Units @62.8100						
07/02/2018	***-**-9281 - RUSSELL, AMY	EQUITY INCOME FUND, INC. C	25.00	0.25	0.00	0.25	95.0	0.24
	ACCOUNT #: 08370662827	BUY 0 Units @0.0000						
07/16/2018	***-**-2256 - SPITZER, HERSHEL	EUROPACIFIC GROWTH FUND-A	87.50	2.41	0.00	2.41	95.0	2.29
	ACCOUNT #: 00083997024	BUY 2 Units @56.1900						
07/16/2018	***-**-2256 - SPITZER, HERSHEL	FUNDAMENTAL INVESTORS-A	137.50	3.78	0.00	3.78	95.0	3.59
	ACCOUNT #: 00083997024	BUY 2 Units @66.1900						
07/16/2018	***-**-2256 - SPITZER, HERSHEL	NEW PERSPECTIVE FUND-A	137.50	3.78	0.00	3.78	95.0	3.59
	ACCOUNT #: 00083997024	BUY 3 Units @47.8300						
07/02/2018	***-**-9281 - RUSSELL, AMY	SENIOR FLOATING RATE FUND C	10.00	0.10	0.00	0.10	95.0	0.10
	ACCOUNT #: 02932131646	BUY 0 Units @0.0000						
07/16/2018	***-**-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 @23.8500						
07/02/2018	***-**-9281 - RUSSELL, AMY	VALUE FUND C	25.00	0.25	0.00	0.25	95.0	0.24
	ACCOUNT #: 03770519816	BUY 0 Units @0.0000						
* MUTUAL FUNDS SUBTOTAL *			\$860.00	\$22.61	\$0.00	\$22.61		\$21.49
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
07/16/2018	***-**-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						
07/16/2018	***-**-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 *			\$200.00	\$6.00	\$0.00	\$6.00		\$5.70



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: RIA								
/ /	***-**-60FB - KALINOWSKI, ACCOUNT #: 1681311	NEW FRONTIER ETF, PROFILE 3, MODERA BUY 0 Units @411.6818	41,168.18	0.00	0.00	0.00	95.0	0.00
/ /	***-**-60FB - KALINOWSKI, ACCOUNT #: 1681313	NEW FRONTIER ETF, PROFILE 4, MODERA BUY 0 Units @2244.4849	224,448.49	0.00	0.00	0.00	95.0	0.00
/ /	***-**-60FB - KALINOWSKI, ACCOUNT #: 1681312	NEW FRONTIER ETF, PROFILE 4, MODERA BUY 0 Units @252.5623	25,256.23	0.00	0.00	0.00	95.0	0.00
* RIA SUBTOTAL *			\$290,872.90	\$0.00	\$0.00	\$0.00		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
07/23/2018	***-**-68IN - WARNER, JANET ACCOUNT #: LSR010222	AMCAP FUND-F1 BUY 1 Units @0.0000	0.00	0.88	0.00	0.88	95.0	0.84
07/23/2018	***-**-6468 - WARNER, JANET ACCOUNT #: LSR010223	AMCAP FUND-F1 BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	95.0	0.67
07/23/2018	***-**-007J - SMITH, WILLIAM ACCOUNT #: LSR011603	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.11	0.00	0.11	95.0	0.10
07/23/2018	***-**-20UT - SMITH UTMA VA, ACCOUNT #: LSR011604	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	95.0	0.90
07/23/2018	***-**-38IO - GRAHAM ACCOUNT #: LSR005428	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	1.63	0.00	1.63	95.0	1.55
07/23/2018	***-**-950I - JENKINS, JOHN ACCOUNT #: LSR011619	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	1.71	0.00	1.71	95.0	1.62
07/23/2018	***-**-149I - JENKINS, BARBARA ACCOUNT #: LSR011620	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	1.75	0.00	1.75	95.0	1.66
07/23/2018	***-**-22IN - SAUTTER, TERRIE ACCOUNT #: LSR011302	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	6.00	0.00	6.00	95.0	5.70
07/23/2018	***-**-950I - JENKINS, JOHN ACCOUNT #: LSR011619	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.05	0.00	1.05	95.0	1.00
07/23/2018	***-**-149I - JENKINS, BARBARA ACCOUNT #: LSR011620	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	95.0	1.03
07/23/2018	***-**-68IN - WARNER, JANET ACCOUNT #: LSR010222	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	95.0	0.48
07/23/2018	***-**-6468 - WARNER, JANET ACCOUNT #: LSR010223	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	95.0	0.46



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-605P - BONSIGNORE,	COLLEGEBOUND 529 TRAILS BUY 0 Units @0.0000	0.00	5.92	0.00	5.92	95.0	5.62
07/23/2018	***-**-605P - BONSIGNORE,	COLLEGEBOUND 529 TRAILS BUY 0 Units @0.0000	0.00	9.56	0.00	9.56	95.0	9.08
07/23/2018	***-**-9069 - HAYES, DAVID	COLLEGEBOUND 529 TRAILS BUY 0 Units @0.0000	0.00	4.05	0.00	4.05	95.0	3.85
07/23/2018	***-**-9069 - HAYES, DAVID	COLLEGEBOUND 529 TRAILS BUY 0 Units @0.0000	0.00	13.99	0.00	13.99	95.0	13.29
07/23/2018	***-**-3500 - NIELSEN, JEFFREY	DELAWARE MF TRAILS BUY 0 Units @0.0000	0.00	14.65	0.00	14.65	95.0	13.92
07/23/2018	***-**-175I - CURNS, DANIEL ACCOUNT #: 05164473846	DELAWARE MF TRAILS BUY 0 Units @0.0000	0.00	0.52	0.00	0.52	95.0	0.49
07/23/2018	***-**-552I - TODD, MARY ACCOUNT #: 5014398821	DELAWARE MF TRAILS BUY 0 Units @0.0000	0.00	0.77	0.00	0.77	95.0	0.73
07/23/2018	***-**-2275 - LAMANNA, LISA M ACCOUNT #: 5014574054	DELAWARE MF TRAILS BUY 0 Units @0.0000	0.00	1.77	0.00	1.77	95.0	1.68
07/23/2018	***-**-5289 - UGMA/NY ACCOUNT #: 5014578471	DELAWARE MF TRAILS BUY 0 Units @0.0000	0.00	1.30	0.00	1.30	95.0	1.24
07/17/2018	***-**-007J - SMITH, WILLIAM ACCOUNT #: LSR011603	DELAWARE SMALL CAP VALUE FUND A CLA BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	95.0	0.29
07/17/2018	***-**-007J - SMITH, WILLIAM ACCOUNT #: LSR011603	DELAWARE VALUE FD CL A BUY 1 Units @0.0000	0.00	0.28	0.00	0.28	95.0	0.27
07/23/2018	***-**-546J - MRS CANDICE ACCOUNT #: LSR010748	FIDELITY ADV NEW INSIGHTS-CL C BUY 1 Units @0.0000	0.00	2.65	0.00	2.65	95.0	2.52
07/23/2018	***-**-611R - TOTMAN, FBO ACCOUNT #: LSR010019	FIDELITY ADVISOR CAPITAL DEV CL A BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	95.0	0.37
07/16/2018	***-**-355I - CHRISTENSEN, ACCOUNT #: 00777231908	FINANCIAL INDUSTRIES A BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	95.0	0.18
07/23/2018	***-**-011N - SAUTTER, HOWARD ACCOUNT #: LSR011301	INTERMEDIATE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	0.44	0.00	0.44	95.0	0.42
07/23/2018	***-**-22IN - SAUTTER, TERRIE ACCOUNT #: LSR011302	INTERMEDIATE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.76	0.00	1.76	95.0	1.67



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-60CL - KALINOWSKI,	IVY INVESTMENT TRAILS BUY 0 Units @0.0000	0.00	13.14	0.00	13.14	95.0	12.48
07/23/2018	***-**-60IN - KALINOWSKI, ACCOUNT #: LSF000213	JANUS GLOBAL BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	95.0	0.34
07/16/2018	***-**-428J - MYKINS, RONALD ACCOUNT #: 00008994438	JOHN HANCOCK NEW OPPORTUNITIES CL A BUY 0 Units @0.0000	0.00	0.89	0.00	0.89	95.0	0.85
07/16/2018	***-**-355I - CHRISTENSEN, ACCOUNT #: 00777230696	JOHN HANCOCK NEW OPPORTUNITIES CL A BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	95.0	0.16
07/16/2018	***-**-355I - CHRISTENSEN, ACCOUNT #: 00777230400	LARGE CAP EQUITY A BUY 0 Units @0.0000	0.00	0.10	0.00	0.10	95.0	0.10
07/23/2018	***-**-950I - JENKINS, JOHN ACCOUNT #: LSR011619	NEW WORLD FUND-A BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	95.0	0.87
07/23/2018	***-**-6468 - WARNER, JANET ACCOUNT #: LSR010223	PIMCO LOW DURATION CLASS A BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	95.0	0.33
07/23/2018	***-**-6468 - WARNER, JANET ACCOUNT #: LSR010223	PIMCO TOTAL RETURN CLASS A BUY 1 Units @0.0000	0.00	0.38	0.00	0.38	95.0	0.36
07/23/2018	***-**-207J - LUTE, MRS ACCOUNT #: LSR010583	PIONEER AMT-FREE MUNICIPAL FUND A BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	95.0	0.67
07/23/2018	***-**-207J - LUTE, MRS ACCOUNT #: LSR010583	PIONEER MID CAP VALUE FUND A BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	95.0	1.29
07/23/2018	***-**-53AK - SUPERIOR ACCOUNT #: 07607400867	QUALIFIED PLAN SUMMARY BUY 0 Units @0.0000	0.00	4.03	0.00	4.03	95.0	3.83
07/23/2018	***-**-01IN - SAUTTER, HOWARD ACCOUNT #: LSR011301	THE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.60	0.00	1.60	95.0	1.52
07/23/2018	***-**-950I - JENKINS, JOHN ACCOUNT #: LSR011619	THE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	5.08	0.00	5.08	95.0	4.83
07/23/2018	***-**-149I - JENKINS, BARBARA ACCOUNT #: LSR011620	THE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	5.11	0.00	5.11	95.0	4.85
07/23/2018	***-**-950I - JENKINS, JOHN ACCOUNT #: LSR011619	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.37	0.00	2.37	95.0	2.25
07/23/2018	***-**-149I - JENKINS, BARBARA ACCOUNT #: LSR011620	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.42	0.00	2.42	95.0	2.30



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-01IN - SAUTTER, HOWARD	THE INVESTMENT COMPANY OF AMERICA-A	0.00	7.53	0.00	7.53	95.0	7.15
	ACCOUNT #: LSR011301	BUY 1 Units @0.0000						
07/23/2018	***-**-22IN - SAUTTER, TERRIE	THE INVESTMENT COMPANY OF AMERICA-A	0.00	7.77	0.00	7.77	95.0	7.38
	ACCOUNT #: LSR011302	BUY 1 Units @0.0000						
07/23/2018	***-**-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						
07/23/2018	***-**-22IN - SAUTTER, TERRIE	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	9.40	0.00	9.40	95.0	8.93
	ACCOUNT #: LSR011302	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$147.63	\$0.00	\$147.63		\$140.24
*** BROKER TRANSACTIONS TOTAL ***			\$291,932.90	\$176.24	\$0.00	\$176.24		\$167.43

VERRIDE TRANSACTIONS

BROKER: RICHARD BIRNS

07/23/2018	***-**-31UG - GIFT MIN ACT NY,	COLUMBIA FUNDS MF TRAILS	0.00	2.31	0.00	2.31	20.0	0.46
	ACCOUNT #: 08695273866	BUY 0 Units @0.0000						
07/02/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	0.00	1.73	0.00	1.73	20.0	0.35
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
07/02/2018	***-**-68IN - BIRNS, RICHARD	HARTFORD CAPITAL APPRECIATION FUND	0.00	15.25	0.00	15.25	20.0	3.05
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
07/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.27	0.00	1.27	20.0	0.25
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
07/02/2018	***-**-447P - BIRNS, PHYLLIS	THE HARTFORD CAPITAL APPRECIATION F	0.00	2.70	0.00	2.70	20.0	0.54
	ACCOUNT #: 00000700389	BUY 0 Units @0.0000						
07/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD CAPITAL APPRECIATION F	0.00	22.25	0.00	22.25	20.0	4.45
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
07/02/2018	***-**-85IN - SEAMAN,	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.44	0.00	1.44	20.0	0.29
	ACCOUNT #: 00022087686	BUY 0 Units @0.0000						
07/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	9.20	0.00	9.20	20.0	1.84
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
07/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F	0.00	2.94	0.00	2.94	20.0	0.59
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: RICHARD BIRNS (continued)</u>								
07/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND	0.00	1.17	0.00	1.17	20.0	0.23
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
07/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD INTL OPPORTUNITIES FD-	0.00	13.10	0.00	13.10	20.0	2.62
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
07/02/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD MID CAP FUND-A	0.00	22.65	0.00	22.65	20.0	4.53
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
07/02/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	0.00	2.68	0.00	2.68	20.0	0.54
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
		* RICHARD BIRNS SUBTOTAL *	\$0.00	\$98.69	\$0.00	\$98.69		\$19.74
<u>BROKER: BARRY BRESIN</u>								
07/23/2018	***-**-16IN - STERN, PATRICIA	SAMMONS MF TRAILS	0.00	4.38	0.00	4.38	15.0	0.66
	ACCOUNT #: 7200027673	BUY 0 Units @0.0000						
07/23/2018	***-**-16IN - STERN, PATRICIA	SAMMONS MF TRAILS	0.00	20.44	0.00	20.44	15.0	3.07
	ACCOUNT #: 7200027673	BUY 0 Units @0.0000						
		* BARRY BRESIN SUBTOTAL *	\$0.00	\$24.82	\$0.00	\$24.82		\$3.73
<u>BROKER: FREDERIC SCARPULLA</u>								
07/16/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063412117	BUY 3 Units @34.5300						
07/16/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063451518	BUY 3 Units @34.5300						
07/10/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591533	BUY 7 Units @30.0600						
07/17/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 04000650661	BUY 2 Units @29.9200						
07/16/2018	***-**-195P - HECHT, ANDREW	AMERICAN BALANCED FUND-529A	200.00	10.00	0.00	10.00	10.0	1.00
	ACCOUNT #: 00068453142	BUY 7 Units @29.2000						
07/16/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198121	BUY 2 Units @27.5100						
07/16/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198137	BUY 2 Units @27.5100						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/13/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	AMERICAN BALANCED FUND-A BUY 4 Units @27.6100	98.77	0.99	0.00	0.99	10.0	0.10
07/13/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	AMERICAN BALANCED FUND-A BUY 5 Units @27.6100	150.00	1.50	0.00	1.50	10.0	0.15
07/13/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	AMERICAN BALANCED FUND-A BUY 4 Units @27.6100	103.92	1.04	0.00	1.04	10.0	0.10
07/13/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	AMERICAN BALANCED FUND-A BUY 10 Units @27.6100	277.08	2.77	0.00	2.77	10.0	0.28
07/13/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	AMERICAN BALANCED FUND-A BUY 1 Units @27.6100	40.37	0.40	0.00	0.40	10.0	0.04
07/13/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	AMERICAN BALANCED FUND-A BUY 2 Units @27.6100	53.82	0.54	0.00	0.54	10.0	0.05
07/13/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	AMERICAN BALANCED FUND-A BUY 2 Units @27.6100	45.00	0.45	0.00	0.45	10.0	0.05
07/13/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	AMERICAN BALANCED FUND-A BUY 2 Units @27.6100	45.00	0.45	0.00	0.45	10.0	0.05
07/13/2018	***-**-275P - BERMUDEZ, CARLOS ACCOUNT #: 00069016532	AMERICAN BALANCED FUND-A BUY 5 Units @27.6100	136.66	1.37	0.00	1.37	10.0	0.14
07/13/2018	***-**-275P - BERMUDEZ, CARLOS ACCOUNT #: 00069016532	AMERICAN BALANCED FUND-A BUY 5 Units @27.6100	125.00	1.25	0.00	1.25	10.0	0.13
07/13/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 1 Units @27.6100	22.50	0.23	0.00	0.23	10.0	0.02
07/13/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 14 Units @27.6100	373.06	3.73	0.00	3.73	10.0	0.37
07/13/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 0 Units @27.6100	13.13	0.13	0.00	0.13	10.0	0.01
07/13/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 14 Units @27.6100	373.06	3.73	0.00	3.73	10.0	0.37
07/13/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 2 Units @27.6100	67.50	0.68	0.00	0.68	10.0	0.07
07/13/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 14 Units @27.6100	374.25	3.74	0.00	3.74	10.0	0.37



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/16/2018	***-**-05IN - RANDALL, ADAM	AMERICAN BALANCED FUND-A	25.00	0.94	0.00	0.94	10.0	0.09
	ACCOUNT #: 00085941585	BUY 1 Units @28.8600						
07/16/2018	***-**-535P - DELGAIZO,	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	10.0	0.21
	ACCOUNT #: 00068454444	BUY 2 Units @29.0100						
07/16/2018	***-**-425P - DELGAIZO, LOUISA	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	10.0	0.21
	ACCOUNT #: 00068454445	BUY 2 Units @29.0100						
07/12/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @27.3800						
07/12/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.94	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @27.3800						
07/12/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @27.3800						
07/12/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @27.3800						
07/13/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	16.32	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00089051066	BUY 1 Units @27.4300						
07/13/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089045192	BUY 1 Units @27.4300						
07/13/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	18.51	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00089583477	BUY 1 Units @27.4300						
07/13/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00089051066	BUY 1 Units @27.4300						
07/16/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @27.3800						
07/16/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @27.3800						
07/16/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087429936	BUY 2 Units @27.3800						
07/16/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	61.20	0.61	0.00	0.61	10.0	0.06
	ACCOUNT #: 00089051066	BUY 2 Units @27.3800						
07/16/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	16.32	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00089051066	BUY 1 Units @27.3800						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.3800	16.32	0.16	0.00	0.16	10.0	0.02
07/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @27.3800	61.20	0.61	0.00	0.61	10.0	0.06
07/16/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @27.3800	120.00	1.20	0.00	1.20	10.0	0.12
07/17/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	AMERICAN BALANCED FUND-C BUY 7 Units @27.4000	187.00	1.87	0.00	1.87	10.0	0.19
07/17/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @27.4000	40.00	0.40	0.00	0.40	10.0	0.04
07/17/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.4000	16.32	0.16	0.00	0.16	10.0	0.02
07/17/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.4000	40.80	0.41	0.00	0.41	10.0	0.04
07/17/2018	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089244081	AMERICAN BALANCED FUND-C BUY 3 Units @27.4000	87.96	0.88	0.00	0.88	10.0	0.09
07/17/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 0 Units @27.4000	9.81	0.10	0.00	0.10	10.0	0.01
07/17/2018	***-**-035S - CAPIZZI, TRACIE ACCOUNT #: 00089679504	AMERICAN BALANCED FUND-C BUY 1 Units @27.4000	37.75	0.38	0.00	0.38	10.0	0.04
07/19/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @27.4200	28.05	0.28	0.00	0.28	10.0	0.03
07/19/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @27.4200	6.00	0.06	0.00	0.06	10.0	0.01
07/19/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 1 Units @27.4200	16.00	0.16	0.00	0.16	10.0	0.02
07/19/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 0 Units @27.4200	4.77	0.05	0.00	0.05	10.0	0.01
07/19/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @27.4200	120.00	1.20	0.00	1.20	10.0	0.12
07/23/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	26.54	0.00	26.54	10.0	2.65



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
07/23/2018	***-**-19IN - LIPPA, MARISSA	AMERICAN BALANCED FUND-C	0.00	1.31	0.00	1.31	10.0	0.13
	ACCOUNT #: LSR011011	BUY 1 Units @0.0000						
07/23/2018	***-**-61IO - BONACCI, FBO	AMERICAN BALANCED FUND-C	0.00	5.91	0.00	5.91	10.0	0.59
	ACCOUNT #: LSR011143	BUY 1 Units @0.0000						
07/23/2018	***-**-58IR - HINDERLAND, GARY	AMERICAN BALANCED FUND-C	0.00	1.65	0.00	1.65	10.0	0.17
	ACCOUNT #: LSR011249	BUY 1 Units @0.0000						
07/23/2018	***-**-283I - RICCI, GABRIELLE	AMERICAN BALANCED FUND-C	0.00	4.67	0.00	4.67	10.0	0.47
	ACCOUNT #: LSR011473	BUY 1 Units @0.0000						
07/23/2018	***-**-95IO - KELLY, COURTNEY	AMERICAN BALANCED FUND-C	0.00	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: LSR011685	BUY 1 Units @0.0000						
07/23/2018	***-**-18IO - TAYLOR, GREGORY	AMERICAN BALANCED FUND-C	0.00	22.77	0.00	22.77	10.0	2.28
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
07/23/2018	***-**-80IN - MOYER, COLLEEN	AMERICAN BALANCED FUND-C	0.00	12.73	0.00	12.73	10.0	1.27
	ACCOUNT #: LSR011724	BUY 1 Units @0.0000						
07/23/2018	***-**-80IR - MOYER, COLLEEN	AMERICAN BALANCED FUND-C	0.00	14.62	0.00	14.62	10.0	1.46
	ACCOUNT #: LSR011726	BUY 1 Units @0.0000						
07/23/2018	***-**-92IR - CHEN, CYNTHIA	AMERICAN BALANCED FUND-C	0.00	1.52	0.00	1.52	10.0	0.15
	ACCOUNT #: LSR011784	BUY 1 Units @0.0000						
07/23/2018	***-**-80IR - ROBERTS,	AMERICAN BALANCED FUND-C	0.00	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: LSR011795	BUY 1 Units @0.0000						
07/23/2018	***-**-11IN - RUSSELL, ALAN	AMERICAN FUND TAX - EXEMPT FUND OF	0.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: LSR011417	BUY 1 Units @0.0000						
07/12/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	82.03	0.82	0.00	0.82	10.0	0.08
	ACCOUNT #: 04000820464	BUY 4 Units @19.2600						
07/12/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	13.67	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 04000820464	BUY 1 Units @19.2600						
07/19/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	7.48	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 04000820464	BUY 0 Units @19.2400						
07/19/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	44.90	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 04000820464	BUY 2 Units @19.2400						
07/10/2018	***-**-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 @32.4500						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/23/2018	***-**-61IN - OLIVERI, WILLIAM	AMERICAN HIGH INCOME MUNI BOND CLAS	0.00	102.66	0.00	102.66	10.0	10.27
	ACCOUNT #: LSR011543	BUY 1 Units @0.0000						
07/12/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 10 Units @10.1800						
07/12/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @10.1800						
07/19/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 10 Units @10.1800						
07/19/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @10.1800						
07/23/2018	***-**-306I - SINCLAIR,	AMERICAN HIGH-INCOME TRUST-C	0.00	5.03	0.00	5.03	10.0	0.50
	ACCOUNT #: LSR010992	BUY 1 Units @0.0000						
07/23/2018	***-**-05IO - KIMBLE, LONNY	AMERICAN HIGH-INCOME TRUST-C	0.00	53.82	0.00	53.82	10.0	5.38
	ACCOUNT #: LSR011472	BUY 1 Units @0.0000						
07/23/2018	***-**-18IO - TAYLOR, GREGORY	AMERICAN HIGH-INCOME TRUST-C	0.00	21.07	0.00	21.07	10.0	2.11
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
07/23/2018	***-**-80IN - MOYER, COLLEEN	AMERICAN HIGH-INCOME TRUST-C	0.00	11.75	0.00	11.75	10.0	1.18
	ACCOUNT #: LSR011724	BUY 1 Units @0.0000						
07/09/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @40.8100						
07/12/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @40.9700						
07/16/2018	***-**-01UG - DIGIOVANNI,	AMERICAN MUTUAL FUND-C	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00087087389	BUY 4 Units @40.9900						
07/16/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @40.9900						
07/19/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @40.9200						
07/23/2018	***-**-14IN - BENEDETTO,	AMERICAN MUTUAL FUND-C	0.00	27.75	0.00	27.75	10.0	2.78
	ACCOUNT #: LSR010421	BUY 1 Units @0.0000						
07/23/2018	***-**-44IR - ROBERTSON,	AMERICAN MUTUAL FUND-C	0.00	1.74	0.00	1.74	10.0	0.17
	ACCOUNT #: LSR010558	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/23/2018	***-**-61IO - BONACCI, FBO	AMERICAN MUTUAL FUND-C	0.00	7.33	0.00	7.33	10.0	0.73
	ACCOUNT #: LSR011143	BUY 1 Units @0.0000						
07/02/2018	***-**-772I - KERHAERT,	CAPITAL APPRECIATION C	62.50	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 03222178044	BUY 0 Units @0.0000						
07/02/2018	***-**-9206 - SANDER, DAVID	CAPITAL APPRECIATION C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 03222178055	BUY 0 Units @0.0000						
07/03/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION C	308.06	3.08	0.00	3.08	10.0	0.31
	ACCOUNT #: 03222325444	BUY 0 Units @0.0000						
07/06/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
07/06/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	68.00	0.68	0.00	0.68	10.0	0.07
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						
07/06/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
07/23/2018	***-**-14IN - BENEDETTO,	CAPITAL INCOME BUILDER CLASS C	0.00	90.99	0.00	90.99	10.0	9.10
	ACCOUNT #: LSR010421	BUY 1 Units @0.0000						
07/23/2018	***-**-306I - SINCLAIR,	CAPITAL INCOME BUILDER CLASS C	0.00	5.11	0.00	5.11	10.0	0.51
	ACCOUNT #: LSR010992	BUY 1 Units @0.0000						
07/20/2018	***-**-0447 - LEVINE, JACQUE	CAPITAL INCOME BUILDER-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00084996765	BUY 2 Units @63.4300						
07/23/2018	***-**-18IO - TAYLOR, GREGORY	CAPITAL INCOME BUILDER-A	0.00	6.46	0.00	6.46	10.0	0.65
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
07/16/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @19.8100						
07/16/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @19.8100						
07/12/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	10.0	0.10
	ACCOUNT #: 00087038420	BUY 2 Units @50.9300						
07/13/2018	***-**-705P - SNYDER, STEVEN	CAPITAL WORLD GROWTH AND INCOME FUN	22.02	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 00067400189	BUY 0 Units @51.6400						
07/13/2018	***-**-705P - SNYDER, STEVEN	CAPITAL WORLD GROWTH AND INCOME FUN	34.00	0.34	0.00	0.34	10.0	0.03
	ACCOUNT #: 00067400189	BUY 1 Units @51.6400						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/13/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.6400	45.00	0.45	0.00	0.45	10.0	0.05
07/13/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.6400	45.00	0.45	0.00	0.45	10.0	0.05
07/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.0800	30.00	0.30	0.00	0.30	10.0	0.03
07/16/2018	***-**-01UG - DIGIOVANNI, ACCOUNT #: 00087087389	CAPITAL WORLD GROWTH AND INCOME FUN BUY 3 Units @50.9600	150.00	1.50	0.00	1.50	10.0	0.15
07/16/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @50.9600	40.00	0.40	0.00	0.40	10.0	0.04
07/17/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @50.9400	30.00	0.30	0.00	0.30	10.0	0.03
07/19/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @50.6200	96.40	0.96	0.00	0.96	10.0	0.10
07/19/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @50.6200	40.00	0.40	0.00	0.40	10.0	0.04
07/23/2018	***-**-92IR - CHEN, CYNTHIA ACCOUNT #: LSR011784	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.62	0.00	1.62	10.0	0.16
07/16/2018	***-**-385P - ARBORE, TAYLER ACCOUNT #: 00081282910	CAPITAL WORLD GROWTH AND INCOME-529 BUY 1 Units @54.0400	50.00	2.13	0.00	2.13	10.0	0.21
07/16/2018	***-**-385P - ARBORE, TAYLER ACCOUNT #: 00081283006	CAPITAL WORLD GROWTH AND INCOME-529 BUY 1 Units @54.0400	50.00	2.13	0.00	2.13	10.0	0.21
07/23/2018	***-**-540J - ARBORE, MARIA ACCOUNT #: 03020030772	COLUMBIA FUNDS MF TRAILS BUY 0 Units @0.0000	0.00	2.19	0.00	2.19	10.0	0.22
07/23/2018	***-**-07IN - SCARPULLA, ACCOUNT #: 07600010039	COLUMBIA FUNDS MF TRAILS BUY 0 Units @0.0000	0.00	15.26	0.00	15.26	10.0	1.53
07/23/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 0104134960	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	10.37	0.00	10.37	10.0	1.04
07/06/2018	***-**-85IN - MAZZOLA, BARBARA ACCOUNT #: 00100051019	EMERGING MARKETS INNOVATORS FUND C BUY 0 Units @0.0000	7.50	0.08	0.00	0.08	10.0	0.01
07/03/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 08370596090	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	231.05	2.31	0.00	2.31	10.0	0.23



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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>								
07/03/2018	***-**-6188 - ROBERTS, ACCOUNT #: 08370627385	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
07/16/2018	***-**-43IN - BISHOP, EVELYN ACCOUNT #: 04000849605	EUROPACIFIC GROWTH FUND CLASS C BUY 1 Units @52.7800	50.00	0.50	0.00	0.50	10.0	0.05
07/13/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	EUROPACIFIC GROWTH FUND-A BUY 1 Units @54.3000	58.66	0.59	0.00	0.59	10.0	0.06
07/13/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	EUROPACIFIC GROWTH FUND-A BUY 2 Units @54.3000	99.00	0.99	0.00	0.99	10.0	0.10
07/13/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	EUROPACIFIC GROWTH FUND-A BUY 1 Units @54.3000	34.68	0.35	0.00	0.35	10.0	0.04
07/13/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	EUROPACIFIC GROWTH FUND-A BUY 1 Units @54.3000	51.00	0.51	0.00	0.51	10.0	0.05
07/13/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	EUROPACIFIC GROWTH FUND-A BUY 1 Units @54.3000	46.62	0.47	0.00	0.47	10.0	0.05
07/13/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	EUROPACIFIC GROWTH FUND-A BUY 1 Units @54.3000	72.00	0.72	0.00	0.72	10.0	0.07
07/16/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @55.0500	66.75	0.80	0.00	0.80	10.0	0.08
07/16/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @55.0500	66.75	0.80	0.00	0.80	10.0	0.08
07/17/2018	***-**-721I - TABER, FBO LISA ACCOUNT #: LSR010434	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	1.16	0.00	1.16	10.0	0.12
07/17/2018	***-**-721I - TABER, FBO LISA ACCOUNT #: LSR010434	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	2.43	0.00	2.43	10.0	0.24
07/13/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	FUNDAMENTAL INVESTORS-A BUY 0 Units @64.0100	14.25	0.14	0.00	0.14	10.0	0.01
07/13/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	FUNDAMENTAL INVESTORS-A BUY 0 Units @64.0100	22.00	0.22	0.00	0.22	10.0	0.02
07/16/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	FUNDAMENTAL INVESTORS-A BUY 2 Units @64.8400	133.50	1.60	0.00	1.60	10.0	0.16
07/16/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 2 Units @64.8400	133.50	1.60	0.00	1.60	10.0	0.16



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/09/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @63.7000						
07/10/2018	***-**-6171 - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591484	BUY 4 Units @63.8800						
07/12/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @63.5700						
07/12/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @63.5700						
07/13/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @63.6500						
07/13/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	8.16	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @63.6500						
07/16/2018	***-**-845P - MARTHALLER,	FUNDAMENTAL INVESTORS-C	60.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00087023930	BUY 1 Units @63.5100						
07/16/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 0 Units @63.5100						
07/16/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	8.16	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @63.5100						
07/16/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	8.16	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @63.5100						
07/16/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 0 Units @63.5100						
07/16/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @63.5100						
07/17/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	8.16	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @63.7400						
07/17/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @63.7400						
07/19/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	5.67	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @63.6500						
07/19/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @63.6500						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/19/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @63.6500						
07/23/2018	***-**-18IO - TAYLOR, GREGORY	FUNDAMENTAL INVESTORS-C	0.00	24.83	0.00	24.83	10.0	2.48
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
07/23/2018	***-**-80IN - MOYER, COLLEEN	FUNDAMENTAL INVESTORS-C	0.00	13.87	0.00	13.87	10.0	1.39
	ACCOUNT #: LSR011724	BUY 1 Units @0.0000						
07/23/2018	***-**-80IR - MOYER, COLLEEN	FUNDAMENTAL INVESTORS-C	0.00	7.89	0.00	7.89	10.0	0.79
	ACCOUNT #: LSR011726	BUY 1 Units @0.0000						
07/02/2018	***-**-9206 - SANDER, DAVID	GLOBAL OPPORTUNITIES FUND C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 02171629936	BUY 0 Units @0.0000						
07/03/2018	***-**-2620 - CUSIMANO, MEGAN	GLOBAL OPPORTUNITIES FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02171800557	BUY 0 Units @0.0000						
07/03/2018	***-**-729I - GIAMBRONE, KELLY	GLOBAL OPPORTUNITIES FUND C	385.08	3.85	0.00	3.85	10.0	0.39
	ACCOUNT #: 02171875445	BUY 0 Units @0.0000						
07/06/2018	***-**-85IN - MAZZOLA, BARBARA	GLOBAL OPPORTUNITIES FUND C	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 02171893331	BUY 0 Units @0.0000						
07/06/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						
07/09/2018	***-**-90FB - DIODATO, CAROL	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
07/09/2018	***-**-9530 - MILAM, IAN	GLOBAL OPPORTUNITIES FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02171852708	BUY 0 Units @0.0000						
07/12/2018	***-**-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 @22.7300						
07/19/2018	***-**-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 @22.7100						
07/23/2018	***-**-14IN - BENEDETTO,	INCOME FUND OF AMERICA CLASS C	0.00	97.15	0.00	97.15	10.0	9.72
	ACCOUNT #: LSR010421	BUY 1 Units @0.0000						
07/23/2018	***-**-306I - SINCLAIR,	INCOME FUND OF AMERICA CLASS C	0.00	5.32	0.00	5.32	10.0	0.53
	ACCOUNT #: LSR010992	BUY 1 Units @0.0000						
07/23/2018	***-**-05IO - KIMBLE, LONNY	INCOME FUND OF AMERICA CLASS C	0.00	54.31	0.00	54.31	10.0	5.43
	ACCOUNT #: LSR011472	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
07/09/2018	***-**-564I - CARNEY, BARBARA	INVESTMENT COMPANY OF AMERICA CLASS	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089563161	BUY 0 Units @40.8800						
07/12/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @40.8900						
07/13/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	17.97	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @40.9900						
07/16/2018	***-**-564I - CARNEY, BARBARA	INVESTMENT COMPANY OF AMERICA CLASS	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089563161	BUY 0 Units @40.8500						
07/17/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	9.52	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089583477	BUY 0 Units @40.8900						
07/19/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @40.7100						
07/23/2018	***-**-70UT - GALLETTS CUST,	INVESTMENT COMPANY OF AMERICA CLASS	0.00	6.91	0.00	6.91	10.0	0.69
	ACCOUNT #: LSR011191	BUY 1 Units @0.0000						
07/17/2018	***-**-63IR - DIAMOND, ANN	IVY SCIENCE AND TECHNOLOGY FUND CLA	0.00	2.45	0.00	2.45	10.0	0.25
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
07/17/2018	***-**-63IR - DIAMOND, ANN	IVY SMALL CAP GROWTH CL A	0.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
07/02/2018	***-**-9206 - SANDER, DAVID	MAIN STREET FUND C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 07024170947	BUY 0 Units @0.0000						
07/03/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
07/03/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	385.08	3.85	0.00	3.85	10.0	0.39
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						
07/03/2018	***-**-2620 - CUSIMANO, MEGAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
07/06/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	66.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
07/06/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
07/09/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/09/2018	***-**-9530 - MILAM, IAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024469113	BUY 0 Units @0.0000						
07/17/2018	***-**-631R - DIAMOND, ANN	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.69	0.00	0.69	10.0	0.07
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
07/13/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-A	66.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 00089254350	BUY 1 Units @46.2500						
07/13/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-A	19.38	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00089254350	BUY 0 Units @46.2500						
07/13/2018	***-**-1788 - SYKES, DANIEL	NEW PERSPECTIVE FUND-A	51.95	0.52	0.00	0.52	10.0	0.05
	ACCOUNT #: 00087870442	BUY 1 Units @46.2500						
07/13/2018	***-**-1788 - SYKES, DANIEL	NEW PERSPECTIVE FUND-A	138.54	1.39	0.00	1.39	10.0	0.14
	ACCOUNT #: 00087870442	BUY 3 Units @46.2500						
07/13/2018	***-**-815P - WEBER, ANTHONY	NEW PERSPECTIVE FUND-A	54.50	0.55	0.00	0.55	10.0	0.06
	ACCOUNT #: 00067400187	BUY 1 Units @46.2500						
07/13/2018	***-**-815P - WEBER, ANTHONY	NEW PERSPECTIVE FUND-A	136.50	1.37	0.00	1.37	10.0	0.14
	ACCOUNT #: 00067400187	BUY 3 Units @46.2500						
07/13/2018	***-**-825P - MASTROSIMONE,	NEW PERSPECTIVE FUND-A	67.50	0.68	0.00	0.68	10.0	0.07
	ACCOUNT #: 00067351603	BUY 1 Units @46.2500						
07/13/2018	***-**-825P - MASTROSIMONE,	NEW PERSPECTIVE FUND-A	374.25	3.74	0.00	3.74	10.0	0.37
	ACCOUNT #: 00067351603	BUY 8 Units @46.2500						
07/16/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 0 Units @46.8600						
07/16/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 0 Units @46.8600						
07/12/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @44.1600						
07/12/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @44.1600						
07/13/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @44.2500						
07/13/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	8.15	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @44.2500						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 1 Units @44.1700	30.60	0.31	0.00	0.31	10.0	0.03
07/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.1700	8.15	0.08	0.00	0.08	10.0	0.01
07/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.1700	8.15	0.08	0.00	0.08	10.0	0.01
07/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 1 Units @44.1700	30.60	0.31	0.00	0.31	10.0	0.03
07/17/2018	***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	NEW PERSPECTIVE FUND-C BUY 9 Units @44.3800	400.00	4.00	0.00	4.00	10.0	0.40
07/17/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.3800	8.15	0.08	0.00	0.08	10.0	0.01
07/17/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.3800	20.40	0.20	0.00	0.20	10.0	0.02
07/19/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @44.2300	6.62	0.07	0.00	0.07	10.0	0.01
07/19/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @44.2300	10.50	0.11	0.00	0.11	10.0	0.01
07/19/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @44.2300	21.00	0.21	0.00	0.21	10.0	0.02
07/23/2018	***-**-92IR - CRISPINO, FBO ACCOUNT #: LSR011073	NEW PERSPECTIVE FUND-C BUY 1 Units @0.0000	0.00	12.33	0.00	12.33	10.0	1.23
07/23/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	NEW PERSPECTIVE FUND-C BUY 1 Units @0.0000	0.00	5.50	0.00	5.50	10.0	0.55
07/23/2018	***-**-825P - CRISPINO, DIANA ACCOUNT #: LSR011759	NEW PERSPECTIVE FUND-C BUY 1 Units @0.0000	0.00	5.90	0.00	5.90	10.0	0.59
07/12/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @63.4200	21.00	0.21	0.00	0.21	10.0	0.02
07/12/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @63.4200	10.50	0.11	0.00	0.11	10.0	0.01
07/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	NEW WORLD FUND-C BUY 1 Units @63.4200	48.20	0.48	0.00	0.48	10.0	0.05



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/19/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	6.62	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @63.2200						
07/19/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @63.2200						
07/19/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @63.2200						
07/19/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @63.2200						
07/23/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 EQUITY INCOME PORTF C	138.52	1.38	0.00	1.38	10.0	0.14
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
07/23/2018	***-**-6352 - GINERVA, ENZA	NYA JPM 529 EQUITY INCOME PORTF C	20.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 77766297801	BUY 0 Units @0.0000						
07/23/2018	***-**-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						
07/23/2018	***-**-503J - OBI, JEAN	NYA JPM 529 MOD AGE-BASED A	50.00	2.38	0.00	2.38	10.0	0.24
		BUY 0 Units @0.0000						
07/23/2018	***-**-015P - FANTAUZZO,	NYA JPM 529 REALTY INCOME PORTF C	165.00	1.65	0.00	1.65	10.0	0.17
	ACCOUNT #: 77529133201	BUY 0 Units @0.0000						
07/02/2018	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD C	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 06670037664	BUY 0 Units @0.0000						
07/02/2018	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 06670037675	BUY 0 Units @0.0000						
07/02/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 06670037686	BUY 0 Units @0.0000						
07/06/2018	***-**-3407 - TUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
07/06/2018	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
07/06/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER CORP BOND FND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00100067156	BUY 0 Units @0.0000						
07/06/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	66.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/06/2018	***-**-85IN - MAZZOLA, BARBARA	OPPENHEIMER INTERNATIONAL DIVERSIFI	7.50	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 01971104114	BUY 0 Units @0.0000						
07/03/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	231.04	2.31	0.00	2.31	10.0	0.23
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
07/03/2018	***-**-541P - SCHILLACI, AMY	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						
07/03/2018	***-**-4980 - MOYER, COLLEEN	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
07/03/2018	***-**-1314 - BENEDETTO,	OPPENHEIMER RISING DIVIDENDS FUND C	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 02270934318	BUY 0 Units @0.0000						
07/03/2018	***-**-655P - DAVIS, BERTHA	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02271237808	BUY 0 Units @0.0000						
07/06/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02271182830	BUY 0 Units @0.0000						
07/23/2018	***-**-92IR - CHEN, CYNTHIA	PIMCO TOTAL RETURN CLASS A	0.00	0.23	0.00	0.23	10.0	0.02
	ACCOUNT #: LSR011412	BUY 1 Units @0.0000						
07/02/2018	***-**-772I - KERHAERT,	QUEST BALANCED FUND C	62.50	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 02592262304	BUY 0 Units @0.0000						
07/03/2018	***-**-1314 - BENEDETTO,	QUEST BALANCED FUND C	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 02592292741	BUY 0 Units @0.0000						
07/03/2018	***-**-2620 - CUSIMANO, MEGAN	REAL ESTATE FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 05920400103	BUY 0 Units @0.0000						
07/06/2018	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
07/09/2018	***-**-9530 - MILAM, IAN	REAL ESTATE FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 05920419496	BUY 0 Units @0.0000						
07/13/2018	***-**-685P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	373.06	3.73	0.00	3.73	10.0	0.37
	ACCOUNT #: 00067400188	BUY 38 Units @9.8000						
07/13/2018	***-**-685P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	13.13	0.13	0.00	0.13	10.0	0.01
	ACCOUNT #: 00067400188	BUY 1 Units @9.8000						
07/13/2018	***-**-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 @9.8000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/13/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	SHORT-TERM BOND FUND OF AMERICA - A BUY 38 Units @9.8000	373.06	3.73	0.00	3.73	10.0	0.37
07/03/2018	***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02531288969	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
07/06/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 02531162106	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	20.00	0.20	0.00	0.20	10.0	0.02
07/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @52.1400	48.20	0.48	0.00	0.48	10.0	0.05
07/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.2600	8.16	0.08	0.00	0.08	10.0	0.01
07/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.2600	20.40	0.20	0.00	0.20	10.0	0.02
07/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 1 Units @52.1700	30.60	0.31	0.00	0.31	10.0	0.03
07/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.1700	8.16	0.08	0.00	0.08	10.0	0.01
07/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.1700	8.16	0.08	0.00	0.08	10.0	0.01
07/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 1 Units @52.1700	30.60	0.31	0.00	0.31	10.0	0.03
07/16/2018	***-**-43IN - BISHOP, EVELYN ACCOUNT #: 04000849605	SMALLCAP WORLD FUND-C BUY 1 Units @52.1700	50.00	0.50	0.00	0.50	10.0	0.05
07/17/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.3400	8.16	0.08	0.00	0.08	10.0	0.01
07/17/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.3400	20.40	0.20	0.00	0.20	10.0	0.02
07/19/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @52.3600	48.20	0.48	0.00	0.48	10.0	0.05
07/02/2018	***-**-9206 - SANDER, DAVID ACCOUNT #: 02322653794	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	10.0	0.10
07/03/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 02322751089	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	125.00	1.25	0.00	1.25	10.0	0.13



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/06/2018	***-**-1834 - BUTLER, KIM	STRATEGIC INCOME FUND C	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 01920863291	BUY 0 Units @0.0000						
07/23/2018	***-**-631R - DIAMOND, ANN	SUNAMERICA FOCUSED DIVIDEND STRAT C	0.00	0.83	0.00	0.83	10.0	0.08
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
07/13/2018	***-**-3306 - MASTROSIMONE,	THE BOND FUND OF AMERICA-A	60.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00083382475	BUY 5 Units @12.5900						
07/13/2018	***-**-3306 - MASTROSIMONE,	THE BOND FUND OF AMERICA-A	60.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00083382475	BUY 5 Units @12.5900						
07/13/2018	***-**-815P - WEBER, ANTHONY	THE BOND FUND OF AMERICA-A	37.63	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00067400187	BUY 3 Units @12.5900						
07/13/2018	***-**-815P - WEBER, ANTHONY	THE BOND FUND OF AMERICA-A	94.25	0.94	0.00	0.94	10.0	0.09
	ACCOUNT #: 00067400187	BUY 7 Units @12.5900						
07/13/2018	***-**-3757 - MALONE, KENNETH	THE BOND FUND OF AMERICA-A	53.82	0.54	0.00	0.54	10.0	0.05
	ACCOUNT #: 00083474112	BUY 4 Units @12.5900						
07/13/2018	***-**-3757 - MALONE, KENNETH	THE BOND FUND OF AMERICA-A	71.76	0.72	0.00	0.72	10.0	0.07
	ACCOUNT #: 00083474112	BUY 6 Units @12.5900						
07/16/2018	***-**-425P - DELGAIZO, LOUISA	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063412117	BUY 3 Units @12.7600						
07/16/2018	***-**-535P - DELGAIZO,	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063451518	BUY 3 Units @12.7600						
07/12/2018	***-**-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 @12.5700						
07/12/2018	***-**-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 @12.5700						
07/19/2018	***-**-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 @12.5800						
07/19/2018	***-**-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 @12.5800						
07/23/2018	***-**-611O - BONACCI, FBO	THE BOND FUND OF AMERICA-C	0.00	5.82	0.00	5.82	10.0	0.58
	ACCOUNT #: LSR011143	BUY 1 Units @0.0000						
07/16/2018	***-**-415P - SCHILLACI, AMY	THE GROWTH FUND OF AMERICA-529C	75.00	0.75	0.00	0.75	10.0	0.08
	ACCOUNT #: 00081268733	BUY 1 Units @51.4000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/13/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6100	65.85	0.66	0.00	0.66	10.0	0.07
07/13/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 2 Units @55.6100	100.00	1.00	0.00	1.00	10.0	0.10
07/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6100	66.00	0.66	0.00	0.66	10.0	0.07
07/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE GROWTH FUND OF AMERICA-A BUY 0 Units @55.6100	19.38	0.19	0.00	0.19	10.0	0.02
07/13/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6100	51.95	0.52	0.00	0.52	10.0	0.05
07/13/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE GROWTH FUND OF AMERICA-A BUY 2 Units @55.6100	138.54	1.39	0.00	1.39	10.0	0.14
07/13/2018	***-**-8919 - MASTROSIMONE, ACCOUNT #: 00086553837	THE GROWTH FUND OF AMERICA-A BUY 2 Units @55.6100	100.00	1.00	0.00	1.00	10.0	0.10
07/13/2018	***-**-8919 - MASTROSIMONE, ACCOUNT #: 00086553837	THE GROWTH FUND OF AMERICA-A BUY 2 Units @55.6100	100.00	1.00	0.00	1.00	10.0	0.10
07/13/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6100	40.36	0.40	0.00	0.40	10.0	0.04
07/13/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6100	53.82	0.54	0.00	0.54	10.0	0.05
07/13/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6100	46.63	0.47	0.00	0.47	10.0	0.05
07/13/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6100	72.00	0.72	0.00	0.72	10.0	0.07
07/13/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6100	37.64	0.38	0.00	0.38	10.0	0.04
07/13/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE GROWTH FUND OF AMERICA-A BUY 2 Units @55.6100	94.25	0.94	0.00	0.94	10.0	0.09
07/13/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6100	58.66	0.59	0.00	0.59	10.0	0.06
07/13/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	THE GROWTH FUND OF AMERICA-A BUY 2 Units @55.6100	99.00	0.99	0.00	0.99	10.0	0.10



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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>								
07/13/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6100	67.50	0.68	0.00	0.68	10.0	0.07
07/13/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	THE GROWTH FUND OF AMERICA-A BUY 7 Units @55.6100	374.25	3.74	0.00	3.74	10.0	0.37
07/13/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6100	49.50	0.50	0.00	0.50	10.0	0.05
07/13/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6100	33.66	0.34	0.00	0.34	10.0	0.03
07/13/2018	***-**-975P - COTTONE, MARIA ACCOUNT #: 00086606929	THE GROWTH FUND OF AMERICA-A BUY 3 Units @58.2300	200.00	7.50	0.00	7.50	10.0	0.75
07/13/2018	***-**-975P - COTTONE, MARIA ACCOUNT #: 00086606929	THE GROWTH FUND OF AMERICA-A BUY 1 Units @58.2300	51.84	1.94	0.00	1.94	10.0	0.19
07/16/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.3200	66.75	0.80	0.00	0.80	10.0	0.08
07/16/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.3200	66.75	0.80	0.00	0.80	10.0	0.08
07/09/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	THE GROWTH FUND OF AMERICA-C BUY 0 Units @51.2200	10.00	0.10	0.00	0.10	10.0	0.01
07/10/2018	***-**-617I - ROWE, KEVIN ACCOUNT #: 04000591484	THE GROWTH FUND OF AMERICA-C BUY 4 Units @51.3100	225.00	2.25	0.00	2.25	10.0	0.23
07/10/2018	***-**-1307 - BONACCI, ACCOUNT #: 00087952601	THE GROWTH FUND OF AMERICA-C BUY 2 Units @51.3100	100.00	1.00	0.00	1.00	10.0	0.10
07/10/2018	***-**-8208 - KARNS, SHANNON ACCOUNT #: 04000591533	THE GROWTH FUND OF AMERICA-C BUY 4 Units @51.3100	225.00	2.25	0.00	2.25	10.0	0.23
07/10/2018	***-**-50IN - BONACCI, ACCOUNT #: 00089947853	THE GROWTH FUND OF AMERICA-C BUY 2 Units @51.3100	100.00	1.00	0.00	1.00	10.0	0.10
07/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 1 Units @51.3700	48.20	0.48	0.00	0.48	10.0	0.05
07/13/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	THE GROWTH FUND OF AMERICA-C BUY 0 Units @51.3600	17.97	0.18	0.00	0.18	10.0	0.02
07/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 1 Units @51.3600	30.00	0.30	0.00	0.30	10.0	0.03



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/13/2018	***-**-05IN - RANDALL, ADAM	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085941585	BUY 1 Units @51.3600						
07/16/2018	***-**-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 @51.2400						
07/16/2018	***-**-482I - MARCONI, TODD	THE GROWTH FUND OF AMERICA-C	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @51.2400						
07/16/2018	***-**-0578 - DIODATO, ZACHARY	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000618224	BUY 1 Units @51.2400						
07/16/2018	***-**-4232 - DIODATO, MELISSA	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000618245	BUY 1 Units @51.2400						
07/17/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	176.00	1.76	0.00	1.76	10.0	0.18
	ACCOUNT #: 00073003754	BUY 3 Units @51.3500						
07/17/2018	***-**-05IN - RANDALL, ADAM	THE GROWTH FUND OF AMERICA-C	400.00	4.00	0.00	4.00	10.0	0.40
	ACCOUNT #: 00085941585	BUY 8 Units @51.3500						
07/17/2018	***-**-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 @51.3500						
07/17/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	61.56	0.62	0.00	0.62	10.0	0.06
	ACCOUNT #: 00089319958	BUY 1 Units @51.3500						
07/17/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	9.52	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089583477	BUY 0 Units @51.3500						
07/17/2018	***-**-0006 - FORSYTH, KATHRYN	THE GROWTH FUND OF AMERICA-C	86.54	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 04000650661	BUY 2 Units @51.3500						
07/19/2018	***-**-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 @51.1500						
07/23/2018	***-**-497J - WARNEY, KENNETH	THE GROWTH FUND OF AMERICA-C	0.00	0.32	0.00	0.32	10.0	0.03
	ACCOUNT #: LSR011248	BUY 1 Units @0.0000						
07/23/2018	***-**-283I - RICCI, GABRIELLE	THE GROWTH FUND OF AMERICA-C	0.00	6.87	0.00	6.87	10.0	0.69
	ACCOUNT #: LSR011473	BUY 1 Units @0.0000						
07/13/2018	***-**-305P - MASTROSIMONE,	THE INCOME FUND OF AMERICA-A	22.50	0.23	0.00	0.23	10.0	0.02
	ACCOUNT #: 00067436327	BUY 1 Units @23.0600						
07/13/2018	***-**-305P - MASTROSIMONE,	THE INCOME FUND OF AMERICA-A	373.06	3.73	0.00	3.73	10.0	0.37
	ACCOUNT #: 00067436327	BUY 16 Units @23.0600						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/13/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.0600	13.13	0.13	0.00	0.13	10.0	0.01
07/13/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 16 Units @23.0600	373.06	3.73	0.00	3.73	10.0	0.37
07/20/2018	***-**-8776 - LEVINE, TODD ACCOUNT #: 00067996697	THE INCOME FUND OF AMERICA-A BUY 4 Units @24.1400	100.00	3.75	0.00	3.75	10.0	0.38
07/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @41.4300	19.97	0.20	0.00	0.20	10.0	0.02
07/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE INVESTMENT COMPANY OF AMERICA-A BUY 2 Units @41.4300	68.00	0.68	0.00	0.68	10.0	0.07
07/13/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.4300	51.95	0.52	0.00	0.52	10.0	0.05
07/13/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE INVESTMENT COMPANY OF AMERICA-A BUY 3 Units @41.4300	138.54	1.39	0.00	1.39	10.0	0.14
07/13/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.4300	49.50	0.50	0.00	0.50	10.0	0.05
07/13/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.4300	33.66	0.34	0.00	0.34	10.0	0.03
07/17/2018	***-**-9024 - HACKETT, ETHAN ACCOUNT #: 00088123299	THE NEW ECONOMY FUND-C BUY 1 Units @44.5200	25.00	0.25	0.00	0.25	10.0	0.03
07/16/2018	***-**-8932 - RUSH, MICHELLE ACCOUNT #: 04000574835	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 4 Units @12.8500	50.00	0.50	0.00	0.50	10.0	0.05
07/18/2018	***-**-279J - HERRMANN, KEVIN ACCOUNT #: 00086046167	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 10 Units @12.8400	125.00	1.25	0.00	1.25	10.0	0.13
07/23/2018	***-**-20IN - GIANGRECO, TERRY ACCOUNT #: LSR010603	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 1 Units @0.0000	0.00	359.43	0.00	359.43	10.0	35.94
07/23/2018	***-**-61IN - OLIVERI, WILLIAM ACCOUNT #: LSR011543	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 1 Units @0.0000	0.00	148.95	0.00	148.95	10.0	14.90
07/09/2018	***-**-63IN - DIAMOND, ANN ACCOUNT #: 00085468057	U.S. GOVERNMENT SECURITIES FUND-C BUY 4 Units @13.3400	50.00	0.50	0.00	0.50	10.0	0.05
07/02/2018	***-**-9206 - SANDER, DAVID ACCOUNT #: 03770488829	VALUE FUND C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	10.0	0.10



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
07/13/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @45.5400	22.50	0.23	0.00	0.23	10.0	0.02
07/13/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 8 Units @45.5400	373.07	3.73	0.00	3.73	10.0	0.37
07/13/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @45.5400	13.11	0.13	0.00	0.13	10.0	0.01
07/13/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	WASHINGTON MUTUAL INVESTORS FUND-A BUY 8 Units @45.5400	373.07	3.73	0.00	3.73	10.0	0.37
07/13/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @45.5400	60.44	0.60	0.00	0.60	10.0	0.06
07/13/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	WASHINGTON MUTUAL INVESTORS FUND-A BUY 2 Units @45.5400	102.00	1.02	0.00	1.02	10.0	0.10
07/13/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @45.5400	67.50	0.68	0.00	0.68	10.0	0.07
07/13/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	WASHINGTON MUTUAL INVESTORS FUND-A BUY 8 Units @45.5400	374.25	3.74	0.00	3.74	10.0	0.37
07/09/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @44.7300	5.00	0.05	0.00	0.05	10.0	0.01
07/12/2018	***-**-305P - MESH, RONALD ACCOUNT #: 00074720484	WASHINGTON MUTUAL INVESTORS FUND-C BUY 9 Units @44.8400	400.00	4.00	0.00	4.00	10.0	0.40
07/16/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @44.9100	5.00	0.05	0.00	0.05	10.0	0.01
07/16/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @44.9100	40.00	0.40	0.00	0.40	10.0	0.04
07/16/2018	***-**-436I - RAGO, LISA ACCOUNT #: 04000456708	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @44.9100	50.00	0.50	0.00	0.50	10.0	0.05
07/17/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	WASHINGTON MUTUAL INVESTORS FUND-C BUY 4 Units @44.9900	187.00	1.87	0.00	1.87	10.0	0.19
07/19/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @44.9800	40.00	0.40	0.00	0.40	10.0	0.04
07/23/2018	***-**-80IR - MOYER, COLLEEN ACCOUNT #: LSR011726	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @0.0000	0.00	7.73	0.00	7.73	10.0	0.77



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 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: FREDERIC SCARPULLA (continued) 								
07/23/2018	***-**-92IR - CHEN, CYNTHIA	WASHINGTON MUTUAL INVESTORS FUND-C	0.00	1.58	0.00	1.58	10.0	0.16
	ACCOUNT #: LSR011784	BUY 1 Units @0.0000						
07/05/2018	***-**-27IN - TINKLEPAUGH,	WELLS FGO AVTG DIVERSFD CAPITAL BLD	0.00	1.09	0.00	1.09	10.0	0.11
	ACCOUNT #: 01005412974	BUY 0 Units @0.0000						
* FREDERIC SCARPULLA SUBTOTAL *			\$23,577.91	\$1,500.04	\$0.00	\$1,500.04		\$150.32
 BROKER: WILLIAM AGNELLO 								
07/23/2018	***-**-28IN - CHIAVETTA,	AMERICAN BALANCED FUND-A	0.00	2.35	0.00	2.35	25.0	0.59
	ACCOUNT #: LSR008842	BUY 1 Units @0.0000						
07/23/2018	***-**-93IO - WOJTAS, JEANETTE	AMERICAN HIGH-INCOME TRUST-A	0.00	1.45	0.00	1.45	25.0	0.36
	ACCOUNT #: LSR007323	BUY 1 Units @0.0000						
07/23/2018	***-**-75IO - DELCOUR	AMERICAN HIGH-INCOME TRUST-C	0.00	9.92	0.00	9.92	25.0	2.48
	ACCOUNT #: LSR007358	BUY 1 Units @0.0000						
07/17/2018	***-**-28IN - CHIAVETTA,	DELAWARE HIGH YIELD OPPS FUND A CLA	0.00	0.65	0.00	0.65	25.0	0.16
	ACCOUNT #: LSR008842	BUY 1 Units @0.0000						
07/23/2018	***-**-28IN - CUP, ANDREW	DELAWARE MF TRAILS	0.00	0.35	0.00	0.35	25.0	0.09
	ACCOUNT #: 4000021808	BUY 0 Units @0.0000						
07/17/2018	***-**-613K - HAGER	DREYFUS LIMITED TERM HIGH YIELD FUN	0.00	1.88	0.00	1.88	25.0	0.47
	ACCOUNT #: LSR006980	BUY 1 Units @0.0000						
07/23/2018	***-**-43IN - CUP, NICHOLAS	FIDELITY ADV HIGH INC ADVANTAGE CL	0.00	15.58	0.00	15.58	25.0	3.90
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
07/23/2018	***-**-11IO - CRANDALL,	FIDELITY ADV HIGH INC ADVANTAGE CL	0.00	16.41	0.00	16.41	25.0	4.10
	ACCOUNT #: LSR007145	BUY 1 Units @0.0000						
07/23/2018	***-**-657I - RIEL, KEVIN	FIDELITY ADV SMALL CAP GROWTH-CL C	0.00	16.96	0.00	16.96	25.0	4.24
	ACCOUNT #: LSR007366	BUY 1 Units @0.0000						
07/23/2018	***-**-43IN - CUP, NICHOLAS	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	24.77	0.00	24.77	25.0	6.19
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
07/23/2018	***-**-02IN - DEE, LILLIAN	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	6.49	0.00	6.49	25.0	1.62
	ACCOUNT #: LSR010251	BUY 1 Units @0.0000						
07/23/2018	***-**-43IN - CUP, NICHOLAS	FIDELITY ADVISOR BIOTECHNOLOGY CL C	0.00	7.98	0.00	7.98	25.0	2.00
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
07/23/2018	***-**-36IO - IRWIN, CHARLES	FIDELITY ADVISOR BIOTECHNOLOGY CL C	0.00	10.89	0.00	10.89	25.0	2.72
	ACCOUNT #: LSR007200	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: WILLIAM AGNELLO (continued)</u>								
07/23/2018	***-**-657I - RIEL, KEVIN ACCOUNT #: LSR007366	FIDELITY ADVISOR BIOTECHNOLOGY CL C BUY 1 Units @0.0000	0.00	23.98	0.00	23.98	25.0	6.00
07/23/2018	***-**-43IN - CUP, NICHOLAS ACCOUNT #: LSR006890	FIDELITY ADVISOR FUNDS 316390350 BUY 1 Units @0.0000	0.00	6.57	0.00	6.57	25.0	1.64
/ /	***-**-36FB - IRWIN, CHARLES ACCOUNT #: 3128048	GPS ACCUMULATION, PROFILE 3, MODERA BUY 0 Units @1525.4484	152,544.84	384.41	0.00	384.41	15.0	57.66
07/23/2018	***-**-39IN - IRWIN, DIANE ACCOUNT #: LSR007234	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	2.36	0.00	2.36	25.0	0.59
07/23/2018	***-**-36IO - IRWIN, CHARLES ACCOUNT #: LSR007200	JANUS HIGH YIELD CLASS C BUY 1 Units @0.0000	0.00	4.41	0.00	4.41	25.0	1.10
07/23/2018	***-**-59T2 - ETHEL CUP IRREV ACCOUNT #: LSR006912	MAINSTAY COMMON STOCK FUND CLASS A BUY 1 Units @0.0000	0.00	7.36	0.00	7.36	25.0	1.84
07/23/2018	***-**-28IN - CHIAVETTA, ACCOUNT #: LSR008842	MAINSTAY FLOATING RATE FUND CL A BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	25.0	0.49
07/17/2018	***-**-39IR - IRWIN ACCOUNT #: LSR007242	PGIM GROWTH ALLOCATION CL A BUY 1 Units @0.0000	0.00	0.88	0.00	0.88	25.0	0.22
07/23/2018	***-**-87IN - IRWIN, IRENE ACCOUNT #: LSR010100	PIMCO EMERG MKTS BOND NFS BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	25.0	0.10
07/23/2018	***-**-36IO - IRWIN, CHARLES ACCOUNT #: LSR007200	PIMCO FLOATING INCOME FD CL A BUY 1 Units @0.0000	0.00	1.94	0.00	1.94	25.0	0.49
07/23/2018	***-**-28IN - CUP, ANDREW ACCOUNT #: LSR007137	PIMCO GLOBAL BOND BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	25.0	0.40
07/23/2018	***-**-28IN - CUP, ANDREW ACCOUNT #: LSR007137	PIMCO GLOBAL BOND BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	25.0	0.15
07/23/2018	***-**-002I - NFS/FMTC IRA ACCOUNT #: LSR007005	PIMCO HIGH YIELD CLASS A BUY 1 Units @0.0000	0.00	2.87	0.00	2.87	25.0	0.72
07/23/2018	***-**-963I - GAMMARIELLO, ACCOUNT #: LSR007102	PIMCO HIGH YIELD CLASS A BUY 1 Units @0.0000	0.00	3.18	0.00	3.18	25.0	0.80
07/23/2018	***-**-36IO - IRWIN, CHARLES ACCOUNT #: LSR007200	PIMCO HIGH YIELD CLASS A BUY 1 Units @0.0000	0.00	6.96	0.00	6.96	25.0	1.74
07/23/2018	***-**-90IR - NFS/FMTC ROTH ACCOUNT #: LSR007110	PIMCO HIGH YIELD CLASS C BUY 1 Units @0.0000	0.00	3.08	0.00	3.08	25.0	0.77



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: WILLIAM AGNELLO (continued)</u>								
07/23/2018	***-**-28IR - CUP, ANDREW ACCOUNT #: LSR007129	PIMCO HIGH YIELD CLASS C BUY 1 Units @0.0000	0.00	3.14	0.00	3.14	25.0	0.79
07/23/2018	***-**-90IR - NFS/FMTC ROTH ACCOUNT #: LSR007110	PIMCO HIGH YIELD CLASS C BUY 1 Units @0.0000	0.00	1.19	0.00	1.19	25.0	0.30
07/23/2018	***-**-28IR - CUP, ANDREW ACCOUNT #: LSR007129	PIMCO HIGH YIELD CLASS C BUY 1 Units @0.0000	0.00	1.21	0.00	1.21	25.0	0.30
07/23/2018	***-**-43IN - CUP, NICHOLAS ACCOUNT #: LSR006890	PIMCO REAL RETURN FUND CLASS A BUY 1 Units @0.0000	0.00	1.89	0.00	1.89	25.0	0.47
07/23/2018	***-**-28IN - CUP, ANDREW ACCOUNT #: LSR007137	PIMCO REAL RETURN FUND CLASS A BUY 1 Units @0.0000	0.00	1.64	0.00	1.64	25.0	0.41
07/23/2018	***-**-39IN - IRWIN, DIANE ACCOUNT #: LSR007234	PIMPCO GLOBAL BOND CL A BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	25.0	0.29
07/23/2018	***-**-439I - IRWIN, DIANE ACCOUNT #: LSR007250	PIMPCO GLOBAL BOND CL A BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	25.0	0.27
07/17/2018	***-**-39IR - IRWIN ACCOUNT #: LSR007242	PRUDENTIAL GROWTH ALLOCATION CL B BUY 1 Units @0.0000	0.00	0.55	0.00	0.55	25.0	0.14
07/17/2018	***-**-59T3 - ETHEL CUP IRREV ACCOUNT #: LSR006947	PRUDENTIAL JENNISON CONSERV GROWTH BUY 1 Units @0.0000	0.00	3.66	0.00	3.66	25.0	0.92
07/17/2018	***-**-59T3 - ETHEL CUP IRREV ACCOUNT #: LSR006947	PRUDENTIAL JENNISON CONSERV GROWTH BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	25.0	0.23
07/17/2018	***-**-657I - RIEL, KEVIN ACCOUNT #: LSR007366	PRUDENTIAL JENNISON SMALL COMPANY C BUY 1 Units @0.0000	0.00	8.68	0.00	8.68	25.0	2.17
07/17/2018	***-**-925I - DIPAOLO, JOSEPH ACCOUNT #: LSR006874	PRUDENTIAL TOTAL RETURN BOND CLASS BUY 1 Units @0.0000	0.00	1.61	0.00	1.61	25.0	0.40
07/17/2018	***-**-963I - GAMMARIELLO, ACCOUNT #: LSR007102	PRUDENTIAL TOTAL RETURN BOND CLASS BUY 1 Units @0.0000	0.00	2.39	0.00	2.39	25.0	0.60
07/17/2018	***-**-39IN - IRWIN, DIANE ACCOUNT #: LSR007234	PRUDENTIAL TOTAL RETURN BOND CLASS BUY 1 Units @0.0000	0.00	7.93	0.00	7.93	25.0	1.98
07/17/2018	***-**-728X - CHIAVETTA, NSPS ACCOUNT #: LSR008699	PRUDENTIAL TOTAL RETURN BOND CLASS BUY 1 Units @0.0000	0.00	1.44	0.00	1.44	25.0	0.36
07/17/2018	***-**-28IN - CHIAVETTA, ACCOUNT #: LSR008842	PRUDENTIAL TOTAL RETURN BOND CLASS BUY 1 Units @0.0000	0.00	7.52	0.00	7.52	25.0	1.88



COMMISSION STATEMENT

July 23, 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: WILLIAM AGNELLO (continued) </u>								
07/23/2018	***-**-75IO - DELCOUR	THE BOND FUND OF AMERICA-A	0.00	5.75	0.00	5.75	25.0	1.44
	ACCOUNT #: LSR007358	BUY 1 Units @0.0000						
07/23/2018	***-**-098I - AQUILINA, MARIAN	THE BOND FUND OF AMERICA-C	0.00	6.07	0.00	6.07	25.0	1.52
	ACCOUNT #: LSR007072	BUY 1 Units @0.0000						
07/23/2018	***-**-963I - GAMMARIELLO,	THE BOND FUND OF AMERICA-C	0.00	17.00	0.00	17.00	25.0	4.25
	ACCOUNT #: LSR007102	BUY 1 Units @0.0000						
07/23/2018	***-**-951I - SCHAEFER,	THE BOND FUND OF AMERICA-C	0.00	5.04	0.00	5.04	25.0	1.26
	ACCOUNT #: LSR007382	BUY 1 Units @0.0000						
07/23/2018	***-**-59T4 - ETHEL CUP TRUST	THE GROWTH FUND OF AMERICA-A	0.00	1.41	0.00	1.41	25.0	0.35
	ACCOUNT #: LSR006955	BUY 1 Units @0.0000						
07/23/2018	***-**-613K - HAGER	THE GROWTH FUND OF AMERICA-A	0.00	3.57	0.00	3.57	25.0	0.89
	ACCOUNT #: LSR006980	BUY 1 Units @0.0000						
07/23/2018	***-**-39IN - IRWIN, DIANE	THE GROWTH FUND OF AMERICA-A	0.00	7.88	0.00	7.88	25.0	1.97
	ACCOUNT #: LSR007234	BUY 1 Units @0.0000						
07/23/2018	***-**-728X - CHIAVETTA, NSPS	THE GROWTH FUND OF AMERICA-A	0.00	2.17	0.00	2.17	25.0	0.54
	ACCOUNT #: LSR008699	BUY 1 Units @0.0000						
07/23/2018	***-**-43IN - CUP, NICHOLAS	THE GROWTH FUND OF AMERICA-C	0.00	26.07	0.00	26.07	25.0	6.52
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
07/23/2018	***-**-13IR - HAGER, MICHAEL	THE GROWTH FUND OF AMERICA-C	0.00	9.26	0.00	9.26	25.0	2.32
	ACCOUNT #: LSR006971	BUY 1 Units @0.0000						
07/23/2018	***-**-657I - RIEL, KEVIN	THE GROWTH FUND OF AMERICA-C	0.00	44.45	0.00	44.45	25.0	11.11
	ACCOUNT #: LSR007366	BUY 1 Units @0.0000						
07/23/2018	***-**-28IN - CHIAVETTA,	THE GROWTH FUND OF AMERICA-C	0.00	12.01	0.00	12.01	25.0	3.00
	ACCOUNT #: LSR008842	BUY 1 Units @0.0000						
07/23/2018	***-**-43IN - CUP, NICHOLAS	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	1.74	0.00	1.74	25.0	0.44
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
* WILLIAM AGNELLO SUBTOTAL *			\$152,544.84	\$756.69	\$0.00	\$756.69		\$150.75



COMMISSION STATEMENT

July 23, 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: JAMES LOMBARDO</u> 								
07/12/2018	***-**-2885 - BISHOP, DAVID	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00068915116	BUY 2 Units @28.8600						
07/16/2018	***-**-8238 - ASMUS, MICHAEL	AMERICAN BALANCED FUND-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00074487927	BUY 3 Units @28.8600						
07/13/2018	***-**-8806 - MABRY, REBECCA	CAPITAL INCOME BUILDER-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00082729374	BUY 1 Units @63.6200						
07/13/2018	***-**-8806 - MABRY, REBECCA	EUROPACIFIC GROWTH FUND-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00082729374	BUY 1 Units @56.8600						
07/12/2018	***-**-2885 - BISHOP, DAVID	FUNDAMENTAL INVESTORS-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00068915116	BUY 1 Units @66.9300						
07/02/2018	***-**-0683 - DAVIS, SHARON	HARTFORD INFLATION PLUS FUND CLASS	0.00	18.94	0.00	18.94	15.0	2.84
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
07/12/2018	***-**-2885 - BISHOP, DAVID	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00068915116	BUY 1 Units @48.3100						
07/20/2018	***-**-6759 - TARANTINO, GARY	THE BOND FUND OF AMERICA-A	10.00	0.30	0.00	0.30	15.0	0.05
	ACCOUNT #: 00089449406	BUY 1 Units @13.0500						
07/10/2018	***-**-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 @58.4700						
07/12/2018	***-**-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 @58.2400						
07/20/2018	***-**-6759 - TARANTINO, GARY	THE GROWTH FUND OF AMERICA-A	40.00	2.00	0.00	2.00	15.0	0.30
	ACCOUNT #: 00089449406	BUY 1 Units @58.8000						
07/02/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD ADVISERS FUND-C	0.00	16.24	0.00	16.24	15.0	2.44
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
07/02/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	20.91	0.00	20.91	15.0	3.14
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
07/16/2018	***-**-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 @43.2400						
07/10/2018	***-**-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 @47.9400						
 * JAMES LOMBARDO SUBTOTAL * 			 \$740.00 	 \$84.78 	 \$0.00 	 \$84.78 		 \$12.72
 *** OVERRIDE TRANSACTIONS TOTAL *** 			 \$176,862.75 	 \$2,465.02 	 \$0.00 	 \$2,465.02 		 \$337.26



BROKER #: 20
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				GROSS	CLEARING	NET	BROKER
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE COMMISSION
						<u>BROKER COMMISSION TOTALS</u>	
						Broker Transactions	\$167.43
						Split Transactions	\$0.00
						Override Transactions	\$337.26
						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	\$504.69
						Year-to-date Earnings	\$73,002.05