



# COMMISSION STATEMENT

April 16, 2018

JAMES LOMBARDO  
231 Hill Road  
Rome, NY 13441

BROKER #: A08  
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/02/2018	***-**-6802 - NAKANO, AMELIA	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00082853395	BUY 2 Units @27.7800						
04/02/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 04000460394	BUY 2 Units @28.0000						
04/02/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 04000460402	BUY 2 Units @28.0000						
04/02/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	100.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00087068370	BUY 4 Units @28.0000						
04/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	110.00	5.50	0.00	5.50	80.0	4.40
	ACCOUNT #: 00088153955	BUY 4 Units @28.2100						
04/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 2 Units @27.8500						
04/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN MUTUAL FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @41.1200						
04/06/2018	***-**-2608 - GIAMAS, GREGORY	FUNDAMENTAL INVESTORS-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @63.8800						
04/05/2018	***-**-5506 - LOMBARDO, LEIGH	INVESCO AMERICAN FRANCHISE FUND -CL	300.00	12.00	0.00	12.00	80.0	9.60
	ACCOUNT #: 03809219276	BUY 14 Units @21.5300						
04/06/2018	***-**-2608 - GIAMAS, GREGORY	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @45.5800						
04/02/2018	***-**-6802 - NAKANO, AMELIA	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00082853395	BUY 4 Units @13.1300						
04/02/2018	***-**-3040 - KOTARY, BRANDY	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00087642268	BUY 4 Units @13.1300						
04/06/2018	***-**-2608 - GIAMAS, GREGORY	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @52.5200						
04/05/2018	***-**-3828 - DUSABLON, DANIEL	U.S. GOVERNMENT SECURITIES FUND CLA	150.00	4.50	0.00	4.50	80.0	3.60
	ACCOUNT #: 00084530390	BUY 11 Units @13.9200						
04/05/2018	***-**-5506 - LOMBARDO, LEIGH	VAN KAMPEN3	100.00	4.00	0.00	4.00	80.0	3.20
	ACCOUNT #: 03809219276	BUY 13 Units @7.4800						
* MUTUAL FUNDS SUBTOTAL *			\$1,260.00	\$50.53	\$0.00	\$50.53		\$40.40



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
04/02/2018	***-**-228I - EMMA, JACQUELINE	37252M108	0.00	1.05	0.00	1.05	80.0	0.84
	ACCOUNT #: 00551461545	BUY 0 Units @0.0000						
04/02/2018	***-**-5506 - LOMBARDO, LEIGH	37252M108	0.00	3.00	0.00	3.00	80.0	2.40
	ACCOUNT #: 00370935092	BUY 0 Units @0.0000						
04/02/2018	***-**-1748 - LOMBARDO, JAMES	37252M108	0.00	6.69	0.00	6.69	80.0	5.35
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
04/01/2018	***-**-51IR - HOKE, THOMAS	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	2.42	0.00	2.42	80.0	1.94
	ACCOUNT #: 03809514965	BUY 0 Units @0.0000						
04/01/2018	***-**-4160 - RUNICE, ARVID	AIM SHORT TERM BOND FUND - CLASS C	0.00	8.99	0.00	8.99	80.0	7.19
	ACCOUNT #: 03811143993	BUY 0 Units @0.0000						
04/03/2018	***-**-0683 - DAVIS, SHARON	HARTFORD INFLATION PLUS FUND CLASS	0.00	19.43	0.00	19.43	80.0	15.54
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
04/01/2018	***-**-5506 - LOMBARDO, LEIGH	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	23.36	0.00	23.36	80.0	18.69
	ACCOUNT #: 03809219276	BUY 0 Units @0.0000						
04/01/2018	***-**-6195 - BACKUS, THOMAS	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	9.21	0.00	9.21	80.0	7.37
	ACCOUNT #: 03908954377	BUY 0 Units @0.0000						
04/01/2018	***-**-6195 - BACKUS, THOMAS	IVK AMERICAN FRANCHISE FUND - CLASS	0.00	0.13	0.00	0.13	80.0	0.10
	ACCOUNT #: 03908954377	BUY 0 Units @0.0000						
04/02/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM ASSET ALLOC CONSERV-A	0.00	16.57	0.00	16.57	80.0	13.26
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
04/02/2018	***-**-7177 - RUNICE, MARGARET	PUTNAM EQUITY INCOME FUND-A	0.00	15.48	0.00	15.48	80.0	12.38
	ACCOUNT #: 00266380833	BUY 0 Units @0.0000						
04/02/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM EQUITY INCOME FUND-A	0.00	7.87	0.00	7.87	80.0	6.30
	ACCOUNT #: 00461190200	BUY 0 Units @0.0000						
04/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM EQUITY INCOME FUND-A	0.00	27.17	0.00	27.17	80.0	21.74
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						
04/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.52	0.00	0.52	80.0	0.42
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						
04/02/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM INVESTORS FUND-A	0.00	4.12	0.00	4.12	80.0	3.30
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
04/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM INVESTORS FUND-A	0.00	4.57	0.00	4.57	80.0	3.66
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						



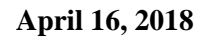
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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
04/02/2018	***-**-8491 - INCORVAIA, ACCOUNT #: 00517271868	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	3.03	0.00	3.03	80.0	2.42
04/02/2018	***-**-8201 - MAUTNER, LILLIAN ACCOUNT #: 00551326614	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	1.16	0.00	1.16	80.0	0.93
04/02/2018	***-**-6565 - MAUTNER, ARIANNY ACCOUNT #: 00551326624	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	1.16	0.00	1.16	80.0	0.93
04/02/2018	***-**-0935 - MINEO, JAMES ACCOUNT #: 00343384180	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	33.42	0.00	33.42	80.0	26.74
04/02/2018	***-**-0935 - MINEO, JAMES ACCOUNT #: 00452858253	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	33.01	0.00	33.01	80.0	26.41
04/02/2018	***-**-4379 - MATICIC, JOSEPH ACCOUNT #: 00461190200	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	3.80	0.00	3.80	80.0	3.04
04/02/2018	***-**-0935 - MINEO, JAMES ACCOUNT #: 00512402638	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	20.35	0.00	20.35	80.0	16.28
04/02/2018	***-**-0935 - MINEO, JAMES ACCOUNT #: 00452858253	PUTNAM NEW OPPORTUNITIES-B BUY 0 Units @0.0000	0.00	0.45	0.00	0.45	80.0	0.36
04/02/2018	***-**-4160 - RUNICE, ARVID ACCOUNT #: 00550388392	PUTNAM SHORT DURATION INCOME CL A BUY 0 Units @0.0000	0.00	5.07	0.00	5.07	80.0	4.06
03/31/2018	***-**-2582 - FERRAR, PATRICIA ACCOUNT #: 03651105500	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	76.82	0.00	76.82	80.0	61.46
03/31/2018	***-**-9195 - FERRAR, ROLFE ACCOUNT #: 03651253373	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	36.24	0.00	36.24	80.0	28.99
04/03/2018	***-**-0683 - DAVIS, SHARON ACCOUNT #: 00000598451	THE HARTFORD ADVISERS FUND-C BUY 0 Units @0.0000	0.00	16.73	0.00	16.73	80.0	13.38
04/03/2018	***-**-0683 - DAVIS, SHARON ACCOUNT #: 00000598451	THE HARTFORD DIVIDEND & GROWTH FUND BUY 0 Units @0.0000	0.00	21.38	0.00	21.38	80.0	17.10
04/01/2018	***-**-5506 - LOMBARDO, LEIGH ACCOUNT #: 03809219276	VAN KAMPEN3 BUY 0 Units @0.0000	0.00	7.75	0.00	7.75	80.0	6.20
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$410.95</b>	<b>\$0.00</b>	<b>\$410.95</b>		<b>\$328.78</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$1,260.00</b>	<b>\$461.48</b>	<b>\$0.00</b>	<b>\$461.48</b>		<b>\$369.18</b>



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<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$369.18
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$71.13
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$440.31
						Year-to-date Earnings		\$2,781.57