



COMMISSION STATEMENT

August 13, 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
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
07/30/2018	***-**-228I - EMMA, JACQUELINE	37252M108	100.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00551461545	BUY 5 Units @21.7900						
07/30/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00083468095	BUY 2 Units @29.3600						
08/01/2018	***-**-6802 - NAKANO, AMELIA	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00082853395	BUY 2 Units @29.0800						
08/01/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 04000460394	BUY 2 Units @29.3200						
08/01/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 04000460402	BUY 2 Units @29.3200						
08/01/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	100.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00087068370	BUY 3 Units @29.3200						
08/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	110.00	5.50	0.00	5.50	80.0	4.40
	ACCOUNT #: 00088153955	BUY 4 Units @29.4200						
08/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 2 Units @29.0800						
08/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN MUTUAL FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @44.2000						
08/10/2018	***-**-98CL - ACOSTA, CLIENTS	EUROPACIFIC GROWTH FUND-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00083299252	BUY 1 Units @56.2100						
08/06/2018	***-**-2608 - GIAMAS, GREGORY	FUNDAMENTAL INVESTORS-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @67.5600						
08/10/2018	***-**-98CL - ACOSTA, CLIENTS	FUNDAMENTAL INVESTORS-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00083299252	BUY 1 Units @67.4100						
08/06/2018	***-**-2608 - GIAMAS, GREGORY	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @48.6000						
08/01/2018	***-**-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 @13.0000						
08/01/2018	***-**-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 @13.0000						
08/06/2018	***-**-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 @58.1500						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
08/06/2018	***-**-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 @13.8600						
		* MUTUAL FUNDS SUBTOTAL *	\$1,110.00	\$46.29	\$0.00	\$46.29		\$37.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/02/2018	***-**-0683 - DAVIS, SHARON	HARTFORD INFLATION PLUS FUND CLASS	0.00	19.63	0.00	19.63	80.0	15.70
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
08/02/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD ADVISERS FUND-C	0.00	16.93	0.00	16.93	80.0	13.54
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
08/02/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	21.88	0.00	21.88	80.0	17.50
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$58.44	\$0.00	\$58.44		\$46.74
		*** BROKER TRANSACTIONS TOTAL ***	\$1,110.00	\$104.73	\$0.00	\$104.73		\$83.74

BROKER COMMISSION TOTALS

Broker Transactions	\$83.74
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$76.08
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$159.82
Year-to-date Earnings	\$4,538.22