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R.F. Lafferty & Co., Inc.

## **COMMISSION STATEMENT**

### **September 29, 2017**

JANICE GINSBURG

100 AQUEDUCT DRIVE

NORTH WALES, PA 19454

#### BROKER #: 35

BRANCH: HOME OFFICE

#### COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE CI	LIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BPOKED	TDANG	ACTIONS					
		BROKER	INAMO	ACTIONS					
PRODUCT CATEGO	DRY: MUTUAL FUNDS								
09/14/2017 00000	0006009116 VARIOUS,	FRANKLIN-523	В	250.00	2.50	0.00	2.50	50.0	1.25
09/14/2017 00000	00006231218 VARIOUS,	FRANKLIN537	В	250.00	2.50	0.00	2.50	50.0	1.25
09/08/2017 75501	.483 SPILLER, HELEN	**GUGGENHEIM FDS TR	S	500.00	0.00	0.00	0.00	50.0	0.00
		* MUTUAL FUNDS SUBTO	OTAL *	\$1,000.00	\$5.00	\$0.00	\$5.00		\$2.50
PRODUCT CATEGO	ORY: VARIABLE ANNUITI	ES							
09/05/2017 (None	e) VARIOUS, GINSBURG	JACKSON	В	0.00	116.07	0.00	116.07	50.0	58.04
09/08/2017 (None	e) VARIOUS, GINSBURG	LINCOLN	В	0.00	23.37	0.00	23.37	50.0	11.69
		* VARIABLE ANNUITIES SUBTO	OTAL *	\$0.00	\$139.44	\$0.00	\$139.44		\$69.73
PRODUCT CATEGO	DRY: MISCELLANEOUS								
09/29/2017 VARI	OUS, GINSBURG	ADVISORY INCOME	В	0.00	3,185.33	0.00	3,185.33	50.0	1,592.67
		* MISCELLANEOUS SUBTO	OTAL *	\$0.00	\$3,185.33	\$0.00	\$3,185.33		\$1,592.67
PRODUCT CATEGO	ORY: MUTUAL FUND 12B1	TRAILS							
09/01/2017 00056	159205 GIRGENTI, V	CAPITAL INCOME BUILDER-A	В	0.00	22.55	0.00	22.55	50.0	11.28
09/01/2017 00056	159205 GIRGENTI, V	CAPITAL WORLD GROWTH AND INCOM	E FUN B	0.00	15.96	0.00	15.96	50.0	7.98
09/01/2017 00056	159205 GIRGENTI, V	FUNDAMENTAL INVESTORS-A	В	0.00	16.43	0.00	16.43	50.0	8.22
09/01/2017 00056	159205 GIRGENTI, V	NEW WORLD FUND-A	В	0.00	13.00	0.00	13.00	50.0	6.50
09/01/2017 00056	159205 GIRGENTI, V	THE GROWTH FUND OF AMERICA-A	В	0.00	39.29	0.00	39.29	50.0	19.65
09/01/2017 00056	159205 GIRGENTI, V	THE INVESTMENT COMPANY OF AMER	ICA-A B	0.00	29.35	0.00	29.35	50.0	14.68
09/01/2017 00056	159205 GIRGENTI, V	THE NEW ECONOMY FUND-A	В	0.00	16.47	0.00	16.47	50.0	8.24
09/01/2017 00067	888652 UNTIL AGE 21,	AMERICAN BALANCED FUND-529A	В	0.00	0.87	0.00	0.87	50.0	0.00
09/01/2017 00067	888652 UNTIL AGE 21,	CAPITAL INCOME BUILDER-529A	В	0.00	0.35	0.00	0.35	50.0	0.00
09/01/2017 00067	888652 UNTIL AGE 21,	NEW PERSPECTIVE FUND-529A	В	0.00	1.15	0.00	1.15	50.0	0.58
09/01/2017 00067	888652 UNTIL AGE 21,	NEW WORLD FUND-529A	В	0.00	2.35	0.00	2.35	50.0	1.18
09/01/2017 00067	888652 UNTIL AGE 21,	THE GROWTH FUND OF AMERICA-529.	А В	0.00	3.02	0.00	3.02	50.0	1.51
09/01/2017 00067	888652 UNTIL AGE 21,	THE INVESTMENT COMPANY OF AMER	ICA-5 B	0.00	0.74	0.00	0.74	50.0	0.00
09/01/2017 00067	888652 UNTIL AGE 21,	WASHINGTON MUTUAL INVESTORS FU	ND-52 B	0.00	12.87	0.00	12.87	50.0	6.44
09/01/2017 00075	525420 ROSENBERG, KELE	rso 529 American funds college 202	1 FUN B	0.00	16.14	0.00	16.14	50.0	8.07
09/01/2017 00075	525420 ROSENBERG, KELE	ISO EUROPACIFIC GROWTH FUND-529A	В	0.00	0.59	0.00	0.59	50.0	0.00
09/01/2017 00075	525420 ROSENBERG, KELE	ISO THE GROWTH FUND OF AMERICA-529.	A B	0.00	0.74	0.00	0.74	50.0	0.00

INVESTMENT

TRADE DATE

CLIENT

#### COMMISSION STATEMENT for JANICE GINSBURG

B/S

INVESTMENT

AMOUNT

GROSS

COMMISSION

CLEARING

CHARGE

NET

COMMISSION

2

BROKER

COMMISSION

RATE

99/01/2017 00085704422 HUM, ASHEN 529 INDRAMINTAL INVESTORS FUND-528 0.00 1.52 0.00 1.52 50.0 0.07 09/01/2017 00082704422 HUM, ASHEN 529 INDRAMINTAL H 0.00 1.00 1.00 1.00 1.00 1.00 0.07 09/01/2017 00082704422 HUM, ASHEN 529 INDRAMINTAL H 0.00 1.00 1.00 1.00 0.00 1.00 0.00 0.									
		BROKER TRA	NSACTIONS	<u> </u>					
99/01/2017 00085704422 HUM, ASHEN 529 INDRAMINTAL INVESTORS FUND-528 0.00 1.52 0.00 1.52 50.0 0.07 09/01/2017 00082704422 HUM, ASHEN 529 INDRAMINTAL H 0.00 1.00 1.00 1.00 1.00 1.00 0.07 09/01/2017 00082704422 HUM, ASHEN 529 INDRAMINTAL H 0.00 1.00 1.00 1.00 0.00 1.00 0.00 0.	PRODUCT CATEGORY: MUTUAL FUND 12B1	TRAILS							
99/01/2017 00082704422 BLUM, ASHEK 529 FUNDAMENTAL B 0.00 4.17 0.00 4.17 50.0 2.09 9/01/2017 00082704422 BLUM, ASHEK 529 FUNDAMENTAL B 0.00 4.17 0.00 4.17 50.0 0.70 09/01/2017 00082704422 BLUM, ASHEK 529 FUNDAMENTAL B 0.00 2.01 0.00 2.01 0.00 2.01 50.0 0.70 09/01/2017 00082704422 BLUM, ASHEK 529 FUNDAMENTAL B 0.00 2.01 0.00 2.01 0.00 2.01 0.00 09/01/2017 00082704422 BLUM, ASHEK 529 FUNDAMENTAL B 0.00 0.00 0.00 0.00 09/01/2017 00082704422 BLUM, ASHEK C CAPITAL ROCKED BUILDER-529C B 0.00 0.00 0.00 0.00 09/01/2017 00082704422 BLUM, ASHEK C CAPITAL ROCKED BUILDER-529C B 0.00 0.00 0.00 0.00 0.00 09/01/2017 00082704422 BLUM, ASHEK C CAPITAL ROCKED BUILDER-529C B 0.00 0.00 0.00 0.00 0.00 09/01/2017 00082704422 BLUM, ASHEK C CAPITAL ROCKED BUILDER-529C B 0.00 0.00 0.00 0.00 0.00 0.00 09/01/2017 00082704422 BLUM, ASHEK C CAPITAL ROCKED BUILDER-529C B 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0	09/01/2017 00075525420 ROSENBERG, KELETS	O THE INVESTMENT COMPANY OF AMERICA-5	В	0.00	0.69	0.00	0.69	50.0	0.00
09/01/2017 00083704422 BLUM, ASHER 529 FINDAMENTAL B 0.00 4.17 0.00 4.17 50.0 2.00 09/01/2017 00083704422 BLUM, ASHER 529 FINDAMENTAL B 0.00 1.00 1.00 0.00 1.40 50.0 0.70 09/01/2017 00083704422 BLUM, ASHER 529 FINDAMENTAL B 0.00 0.00 0.80 0.00 0.80 50.0 0.80 0.00 09/01/2017 00082704422 BLUM, ASHER 620 FINDAMENTAL B 0.00 0.00 0.80 0.00 0.80 50.0 0.80 0.00 0.80 0.00 09/01/2017 00082704422 BLUM, ASHER 620 FINDAMENTAL B 0.00 0.00 0.80 0.00 0	09/01/2017 00075525420 ROSENBERG, KELETS	O WASHINGTON MUTUAL INVESTORS FUND-52	В	0.00	0.58	0.00	0.58	50.0	0.00
09/01/2017 00082704422 BLUM, ASHER 529 THE NEW ECONOMY FIND 8 0.00 1.40 0.00 1.40 5.00 1.01 0.00 0.00 0.00 0.00 0.00 0.0	09/01/2017 00082704422 BLUM, ASHER	529 EUROPACIFIC	В	0.00	1.52	0.00	1.52	50.0	0.76
09/01/22017 000882704422 BLUM, ASHER	09/01/2017 00082704422 BLUM, ASHER	529 FUNDAMENTAL	В	0.00	4.17	0.00	4.17	50.0	2.09
09/01/2017 00082704422 BLUM, ASHER	09/01/2017 00082704422 BLUM, ASHER	529 INTERNATIONAL GROWTH	В	0.00	1.40	0.00	1.40	50.0	0.70
99/01/2017 00082704422 ELUM, ASHER CAPITAL INCOME BUILDRE-529C B 0.00 2.03 0.00 5.05 0.00 2.53 0.00 1.00 09/01/2017 00082704422 ELUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529 B 0.00 2.03 0.00 2.03 0.00 2.03 0.00 1.02 09/01/2017 00082704422 ELUM, ASHER NEW WORLD FUND-529C B 0.00 1.64 0.00 1.64 0.00 1.64 0.00 1.64 0.00 1.64 09/01/2017 00082704422 ELUM, ASHER NEW WORLD FUND-529C B 0.00 1.64 0.00	09/01/2017 00082704422 BLUM, ASHER	529 THE NEW ECONOMY FUND	В	0.00	2.01	0.00	2.01	50.0	1.01
09/01/2017 00082704422 ELUM, ASHER	09/01/2017 00082704422 BLUM, ASHER	AMERICAN FUNDS	В	0.00	0.80	0.00	0.80	50.0	0.00
09/01/2017 00082704422 BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529 B 0.00 1.64 0.00 1.64 5.0 0.0 0.82 09/01/2017 00082704422 BLUM, ASHER THE GROWTH FUND OF AMERICA-529 B 0.00 1.64 0.00 1.64 5.0 0.0 2.3 0.0 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 15.62 0.00 15.62 5.0 0.7 8.1 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN BALANCRAI FUND-C B 0.00 12.37 0.00 12.37 5.0 5.0 5.41 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 12.37 0.00 12.37 5.0 5.0 5.41 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 12.37 0.00 12.37 5.0 5.0 5.42 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 12.37 0.00 12.37 5.0 5.0 5.62 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 12.37 0.00 12.37 5.0 5.0 5.62 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 13.00 11.23 5.0 0 15.62 09/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL HORN DECEMBER B 0.00 13.10 0.0 12.37 5.0 5.0 5.6 09/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL HORN DECEMBER B 0.00 13.10 0.0 13.10 5.0 6.5 5.0 09/01/2017 00084570136 ALANCRAIG, SUSAN HIGH GROWTH AND INCOME FUN B 0.00 13.54 0.00 13.54 5.0 6.5 5.0 09/01/2017 00084570136 ALANCRAIG, SUSAN HIGH GROWTH AND INCOME FUN B 0.00 13.54 0.00 13.54 5.0 6.5 5.0 09/01/2017 00084570136 ALANCRAIG, SUSAN HIGH GROWTH FUND OF AMERICA-C B 0.00 13.54 0.00 13.54 5.0 0 15.9 09/01/2017 00084570136 ALANCRAIG, SUSAN HARM DECEMBER B 0.00 15.9 0.00 13.54 5.0 0 0.00 09/01/2017 00084570136 ALANCRAIG, SUSAN HARM DECEMBER B 0.00 15.9 0.00 13.54 5.0 0 0.00 09/01/2017 00084570136 ALANCRAIG, SUSAN HARM DECEMBER B 0.00 15.9 0.00 0.00 09/01/2017 00084570136 ALANCRAIG, SUSAN HARM DECEMBER B 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0	09/01/2017 00082704422 BLUM, ASHER	CAPITAL INCOME BUILDER-529C	В	0.00	5.05	0.00	5.05	50.0	2.53
09/01/2017 00082704422 BLUM, ASHER	09/01/2017 00082704422 BLUM, ASHER	CAPITAL WORLD BOND FUND-529C	В	0.00	2.03	0.00	2.03	50.0	1.02
09/01/2017 0008470136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 15.62 0.00 15.62 50.0 7.81 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN BALANCED FUND-C B 0.00 15.62 0.00 15.62 50.0 5.41 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN BALANCED FUND-C B 0.00 12.37 0.00 12.37 50.0 6.19 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 12.37 0.00 12.37 50.0 6.19 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 12.37 0.00 12.37 50.0 6.19 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 15.66 0.00 75.66 50.0 37.83 09/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL INCOME BUILDER CLASS C B 0.00 75.66 0.00 75.66 50.0 37.83 09/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL WORLD GROWTH AND INCOME FUNB 0.00 18.00 0.00 18.00 50.0 6.55 09/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL WORLD GROWTH AND INCOME FUNB 0.00 17.06 0.00 17.06 50.0 6.55 09/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL WORLD GROWTH AND INCOME FUNB 0.00 17.06 0.00 17.06 50.0 6.55 09/01/2017 00084570136 ALANCRAIG, SUSAN CHEMPOLO FUND-C B 0.00 15.98 0.00 15.98 50.0 7.99 09/01/2017 00084570136 ALANCRAIG, SUSAN CHEMPOLO FUND-C B 0.00 15.98 0.00 15.98 50.0 7.99 09/01/2017 00084570136 ALANCRAIG, SUSAN CHEMPOLO FUND-C B 0.00 15.98 0.00 15.98 50.0 7.99 09/01/2017 00084570136 ALANCRAIG, SUSAN CHEMPOLO FUND-C B 0.00 18.98 0.00 18.98 0.00 18.99 09/01/2017 00084570136 ALANCRAIG, SUSAN CHEMPOLO FUND-C B 0.00 18.98 0.00 18.99 0.00 18.99 09/01/2017 00084570136 ALANCRAIG, SUSAN CHEMPOLO FUND-C B 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0	09/01/2017 00082704422 BLUM, ASHER	CAPITAL WORLD GROWTH AND INCOME-529	В	0.00	2.47	0.00	2.47	50.0	1.24
09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN BLAINCED B 0.00 15.62 0.00 15.62 50.0 7.81 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN BLAINCED FUND-C B 0.00 10.82 0.00 10.82 50.0 5.41 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 12.37 0.00 12.37 50.0 5.61 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 11.23 0.00 11.23 50.0 5.62 09/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL INCOME BUILDER CLASS C B 0.00 75.66 0.00 75.66 50.0 37.83 09/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL INCOME BUILDER CLASS C B 0.00 1.80 0.00 1.80 50.0 50.0 09/01/2017 00084570136 ALANCRAIG, SUSAN FUNDAMENTAL INVESTORS-C B 0.00 17.06 0.00 13.10 50.0 6.55 09/01/2017 00084570136 ALANCRAIG, SUSAN HEN WORLD FUND-C B 0.00 17.06 0.00 17.06 50.0 8.53 09/01/2017 00084570136 ALANCRAIG, SUSAN HEN WORLD FUND-C B 0.00 17.06 0.00 17.06 50.0 8.53 09/01/2017 00084570136 ALANCRAIG, SUSAN HEN WORLD FUND-C B 0.00 13.54 0.00 15.98 50.0 7.99 09/01/2017 00084570136 ALANCRAIG, SUSAN HEN WORLD FUND-C B 0.00 15.98 0.00 15.98 50.0 7.99 09/01/2017 00084570136 ALANCRAIG, SUSAN HEN WORLD FUND-C B 0.00 15.98 0.00 15.98 50.0 7.99 09/01/2017 00084570136 ALANCRAIG, SUSAN HEN WORLD FUND-C B 0.00 15.98 0.00 15.98 50.0 7.99 09/01/2017 00086908092 BLUM, ASHER S529 FUNDAMENTAL HINVESTORS FUND-C B 0.00 0.66 0.00 0.66 50.0 0.66 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529 B 0.00 0.56 0.00 0.56 0.00 0.56 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529 B 0.00 0.02 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529 B 0.00 0.02 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH PUND-529A B 0.00 0.02 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH PUND-529A B 0.00 0.02 0.00 0.02 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH PUND-529A B 0.00 0.02 0.00 0.02 50.0 0.00 0.00 0.00	09/01/2017 00082704422 BLUM, ASHER	NEW WORLD FUND-529C	В	0.00	1.64	0.00	1.64	50.0	0.82
09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 12.37 0.00 12.37 50.0 5.41 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 12.37 0.00 12.37 50.0 5.66 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 12.37 0.00 12.37 50.0 5.66 09/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL INCOME BUILDER CLASS C B 0.00 75.66 0.00 75.66 0.00 15.00 09/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL NORLD GROWTH AND INCOME FUN B 0.00 13.00 0.00 13.00 0.00 13.00 0.00 0	09/01/2017 00082704422 BLUM, ASHER	THE GROWTH FUND OF AMERICA-529C	В	0.00	4.60	0.00	4.60	50.0	2.30
99/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN HIGH-INCOME TRUST-C B 0.00 12.37 0.00 12.37 50.0 6.19 09/01/2017 00084570136 ALANCRAIG, SUSAN AMERICAN MUTUAL FUND-C B 0.00 15.66 0.00 75.66 0.00 75.66 50.0 37.83 09/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL WORLD GROWTH AND INCOME FUN B 0.00 18.00 0.00 18.00 0.00 18.00 09/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL WORLD GROWTH AND INCOME FUN B 0.00 18.00 0.00 18.00 18.00 09/01/2017 00084570136 ALANCRAIG, SUSAN PUNDAMENTAL INVESTORS-C B 0.00 18.10 0.00 18.10 0.00 18.00 09/01/2017 00084570136 ALANCRAIG, SUSAN PUNDAMENTAL INVESTORS-C B 0.00 18.50 0.00 18.50 0.00 18.50 0.00 09/01/2017 00084570136 ALANCRAIG, SUSAN THE REW ECONOMY FUND-C B 0.00 18.54 0.00 18.54 0.00 18.55 0.00 09/01/2017 00084570136 ALANCRAIG, SUSAN THE NEW ECONOMY FUND-C B 0.00 18.59 0.00 18.59 0.00 18.59 0.00 18.59 0.00 09/01/2017 00084570136 ALANCRAIG, SUSAN THE NEW ECONOMY FUND-C B 0.00 18.59 0.00 18.59 0.00 18.59 0.00 09/01/2017 00084570136 ALANCRAIG, SUSAN THE NEW ECONOMY FUND-C B 0.00 18.59 0.00 18.59 0.00 18.59 0.00 09/01/2017 00084570136 ALANCRAIG, SUSAN THE NEW ECONOMY FUND-C B 0.00 09/01/2017 00084570136 ALANCRAIG, SUSAN MARINGTON MUTUAL INVESTORS FUND-C B 0.00 09/01/2017 00086908092 BLUM, ASHER AMERICAN MUTUAL FUND-529A B 0.00 09/01/2017 00086908092 BLUM, ASHER AMERICAN MUTUAL FUND-529A B 0.00 0.56 0.00 0.56 0.00 0.56 0.00 0.00	09/01/2017 00084570136 ALANCRAIG, SUSAN	AMCAP FUND-C	В	0.00	15.62	0.00	15.62	50.0	7.81
99/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL INCOME BUILDER CLASS C B 0.00 75.66 0.00 75.66 0.00 75.60 0.00 37.83 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0	09/01/2017 00084570136 ALANCRAIG, SUSAN	AMERICAN BALANCED FUND-C	В	0.00	10.82	0.00	10.82	50.0	5.41
09/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL INCOME BUILDER CLASS C B 0.00 75.66 0.00 75.66 5.0 37.83 09/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL WORLD GROWTH AND INCOME FUN B 0.00 1.80 0.00 1.80 5.0 0.90 09/01/2017 00084570136 ALANCRAIG, SUSAN FUNDAMENTAL INVESTORS C B 0.00 17.06 0.00 17.06 5.0 0.55 09/01/2017 00084570136 ALANCRAIG, SUSAN MEW MORLD FUND-C B 0.00 17.06 0.00 17.06 5.0 0.00 09/01/2017 00084570136 ALANCRAIG, SUSAN MEW MORLD FUND-C B 0.00 15.98 0.00 15.98 0.00 15.98 5.0 0.00 09/01/2017 00084570136 ALANCRAIG, SUSAN MEW ECONOMY FUND-C B 0.00 15.98 0.00 15.98 5.0 0.00 09/01/2017 00084570136 ALANCRAIG, SUSAN MASHINGTON MUTUAL INVESTORS FUND-C B 0.00 15.98 0.00 15.98 5.0 0.00 09/01/2017 00084570136 ALANCRAIG, SUSAN MASHINGTON MUTUAL INVESTORS FUND-C B 0.00 15.98 0.00 15.98 5.0 0.00 09/01/2017 00086908092 BLUM, ASHER AMERICAN MUTUAL INVESTORS FUND-C B 0.00 4.67 0.00 4.67 5.0 0.00 09/01/2017 00086908092 BLUM, ASHER AMERICAN MUTUAL FUND-529A B 0.00 0.56 0.00 0.56 5.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529 B 0.00 0.56 0.00 0.15 5.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.56 0.00 0.15 5.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.23 0.00 0.15 5.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.23 0.00 0.15 5.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.23 0.00 0.02 0.00 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.23 0.00 0.23 0.00 0.15 5.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.22 0.00 0.23 0.00 0.25 5.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.23 0.00 0.23 0.00 0.25 5.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.25 0.00 0.25 0.00 0.25 0.00 0.25 0.00 0.25 0.00 0.25 0.00 0.25 0.00 0.25 0.00 0.25 0.00 0.25 0.00 0.25 0.00 0.25 0.00 0.25 0.00 0.25 0.00 0.25 0.00 0.25 0.00 0.25 0.00 0.25 0.0	09/01/2017 00084570136 ALANCRAIG, SUSAN	AMERICAN HIGH-INCOME TRUST-C	В	0.00	12.37	0.00	12.37	50.0	6.19
09/01/2017 00084570136 ALANCRAIG, SUSAN CAPITAL WORLD GROWTH AND INCOME FUN B 0.00 1.80 0.00 1.80 50.0 0.90 09/01/2017 00084570136 ALANCRAIG, SUSAN FUNDAMENTAL INVESTORS—C B 0.00 17.06 0.00 17.06 50.0 8.53 09/01/2017 00084570136 ALANCRAIG, SUSAN THE GROWTH FUND OF AMERICA—C B 0.00 13.54 0.00 13.54 50.0 6.77 09/01/2017 00084570136 ALANCRAIG, SUSAN THE GROWTH FUND OF AMERICA—C B 0.00 15.98 0.00 15.98 50.0 15.98 50.0 7.99 09/01/2017 00084570136 ALANCRAIG, SUSAN THE REW ECONOMY FUND—C B 0.00 15.98 0.00 15.98 50.0 7.99 09/01/2017 00084570136 ALANCRAIG, SUSAN WASHINGTON MUTUAL INVESTORS FUND—C B 0.00 9.49 0.00 15.98 50.0 15.98 50.0 7.99 09/01/2017 000869508092 BLUM, ASHER 529 FUNDAMENTAL B 0.00 4.67 50.0 4.67 50.0 2.34 09/01/2017 00086908092 BLUM, ASHER AMERICAN MUTUAL FUND—529A B 0.00 0.56 0.00 0.56 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL INCOME BUILDER—529A B 0.00 0.39 0.00 0.39 0.00 0.39 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME—529 B 0.00 0.15 0.00 0.15 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND—529A B 0.00 0.28 0.00 0.15 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND—529A B 0.00 0.28 0.00 0.15 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND—529A B 0.00 0.28 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND—529A B 0.00 0.28 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND—529A B 0.00 0.28 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER HELEN NEW WORLD FUND—529A B 0.00 0.28 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER HELEN NEW WORLD FUND—529A B 0.00 0.22 0.00 0.22 0.00 0.22 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER HELEN NEW WORLD FUND—529A B 0.00 0.21 0.00 0.00 0.00 0.00 0.00 0.00	09/01/2017 00084570136 ALANCRAIG, SUSAN	AMERICAN MUTUAL FUND-C	В	0.00	11.23	0.00	11.23	50.0	5.62
09/01/2017 00084570136 ALANCRAIG, SUSAN FUNDAMENTAL INVESTORS-C B 0.00 13.10 0.00 13.10 50.0 6.55 09/01/2017 00084570136 ALANCRAIG, SUSAN NEW WORLD FUND-C B 0.00 17.06 0.00 17.06 50.0 8.53 09/01/2017 00084570136 ALANCRAIG, SUSAN THE GROWTH FUND OF AMERICA-C B 0.00 13.54 0.00 13.54 50.0 6.77 09/01/2017 00084570136 ALANCRAIG, SUSAN THE WORLD FUND-C B 0.00 15.98 0.00 15.98 50.0 7.99 09/01/2017 00084570136 ALANCRAIG, SUSAN WASHINGTON MUTUAL INVESTORS FUND-C B 0.00 9.49 0.00 9.49 50.0 4.67 50.0 4.67 50.0 4.67 50.0 4.67 50.0 4.67 50.0 50.0 50.0 50.0 50.0 50.0 50.0 50.	09/01/2017 00084570136 ALANCRAIG, SUSAN	CAPITAL INCOME BUILDER CLASS C	В	0.00	75.66	0.00	75.66	50.0	37.83
09/01/2017 00084570136 ALANCRAIG, SUSAN NEW WORLD FUND-C B 0.00 17.06 0.00 17.06 50.0 8.53 09/01/2017 00084570136 ALANCRAIG, SUSAN THE GROWTH FUND OF AMERICA-C B 0.00 13.54 0.00 13.54 50.0 6.77 09/01/2017 00084570136 ALANCRAIG, SUSAN THE NEW ECONOMY FUND-C B 0.00 15.98 0.00 15.98 50.0 7.99 09/01/2017 00084570136 ALANCRAIG, SUSAN WASHINGTON MUTUAL INVESTORS FUND-C B 0.00 9.49 0.00 9.49 50.0 4.67 09/01/2017 00086908092 BLUM, ASHER 529 FUNDAMENTAL B 0.00 4.67 0.00 4.67 50.0 2.34 09/01/2017 00086908092 BLUM, ASHER AMERICAN MUTUAL FUND-529A B 0.00 0.56 0.00 0.56 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529 B 0.00 0.15 0.00 0.15 50.0 0.15 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529 B 0.00 0.15 0.00 0.15 0.00 0.15 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.15 0.00 0.15 0.00 0.15 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.28 0.00 0.28 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER INTERMEDIATE BOND FUND OF AMERICA-5 B 0.00 0.22 0.00 0.22 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER INTERMEDIATE BOND FUND OF AMERICA-5 B 0.00 0.22 0.00 0.22 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-529C B 0.00 0.77 0.00 0.77 0.00 0.77 50.0 0.77 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-529C B 0.00 0.77 0.00 0.77 50.0 0.77 50.0 0.77 50.0 0.70 09/12/2017 75501483 SPILLER, HELEN **GUGGENHEM FDS TR B 0.00 0.11 0.00 0.11 0.00 0.11 0.00 0.11 0.00 09/12/2017 75501483 SPILLER, HELEN AMERICAN BALANCED FUND-A B 0.00 0.14 0.00 0.14 50.0 0.15 0.00 09/12/2017 75501483 SPILLER, HELEN BOND-EMBORY FUND OF AMERICA-A B 0.00 0.14 0.00 0.14 50.0 0.00 0.00 09/12/2017 75501483 SPILLER, HELEN BOND-EMBORY FUND OF AMERICA-A B 0.00 0.14 0.00 0.14 50.0 0.00 0.00 0.00 0.00 0.00 0.00 0.0	09/01/2017 00084570136 ALANCRAIG, SUSAN	CAPITAL WORLD GROWTH AND INCOME FUN	В	0.00	1.80	0.00	1.80	50.0	0.90
09/01/2017 00084570136 ALANCRAIG, SUSAN THE GROWTH FUND OF AMERICA-C B 0.00 13.54 0.00 13.54 50.0 6.77 09/01/2017 00084570136 ALANCRAIG, SUSAN THE NEW ECONOWY FUND-C B 0.00 15.98 0.00 15.98 50.0 7.99 09/01/2017 00084570136 ALANCRAIG, SUSAN WASHINGTON MUTUAL INVESTORS FUND-C B 0.00 9.49 0.00 9.49 50.0 4.75 09/01/2017 00086908092 BLUM, ASHER 529 FUNDAMENTAL B 0.00 0.56 0.00 0.56 0.00 0.56 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER AMERICAN MUTUAL FUND-529A B 0.00 0.56 0.00 0.56 50.0 0.39 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL MORLD GROWTH AND INCOME-529 B 0.00 0.15 0.00 0.15 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529 B 0.00 0.15 0.00 0.15 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH AND INCOME-529 B 0.00 0.15 0.00 0.15 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.15 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER INTERMEDIATE BOND FUND OF AMERICA-5 B 0.00 0.23 0.00 0.23 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER INTERMEDIATE BOND FUND OF AMERICA-5 B 0.00 0.23 0.00 0.22 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-529C B 0.00 0.77 0.00 0.77 50.0 0.77 50.0 0.70 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-529C B 0.00 0.77 0.00 0.77 50.0 0.00 0.77 50.0 0.77 5	09/01/2017 00084570136 ALANCRAIG, SUSAN	FUNDAMENTAL INVESTORS-C	В	0.00	13.10	0.00	13.10	50.0	6.55
09/01/2017 00084570136 ALANCRAIG, SUSAN MASHINGTON MUTUAL INVESTORS FUND-C B 0.00 15.98 0.00 9.49 0.00 9.49 5.00 4.75 09/01/2017 00086908092 BLUM, ASHER 529 FUNDAMENTAL B 0.00 4.67 0.00 4.67 50.0 2.34 09/01/2017 00086908092 BLUM, ASHER 6.29 FUNDAMENTAL B 0.00 0.56 0.00 0.56 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER 6.29 FUNDAMENTAL B 0.00 0.56 0.00 0.56 50.0 0.00 0.56 0.00 0.56 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER 6.20 FUNDAMENTAL FUND-529A B 0.00 0.39 0.00 0.39 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER 6.20 FUNDAMENTAL FUND-529A B 0.00 0.15 0.00 0.15 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER 6.20 FUNDAMENTAL FUND-529A B 0.00 0.15 0.00 0.15 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER 6.20 FUNDAMENTAL FUND-529A B 0.00 0.28 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER 6.20 FUNDAMENTAL FUND-529A B 0.00 0.28 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER 6.20 FUNDAMENTAL FU	09/01/2017 00084570136 ALANCRAIG, SUSAN	NEW WORLD FUND-C	В	0.00	17.06	0.00	17.06	50.0	8.53
09/01/2017 00084570136 ALANCRAIG, SUSAN WASHINGTON MUTUAL INVESTORS FUND-C B 0.00 9.49 0.00 9.49 50.0 4.75 09/01/2017 00086908092 BLUM, ASHER 529 FUNDAMENTAL B 0.00 4.67 0.00 4.67 50.0 2.34 09/01/2017 00086908092 BLUM, ASHER AMERICAN MUTUAL FUND-529A B 0.00 0.56 0.00 0.56 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529B 0.00 0.15 0.00 0.15 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529B 0.00 0.15 0.00 0.15 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.28 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER INTERMEDIATE BOND FUND OF AMERICA-5 B 0.00 0.23 0.00 0.23 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER INTERMEDIATE BOND FUND OF AMERICA-5 B 0.00 0.22 0.00 0.22 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER NEW WORLD FUND-529A B 0.00 0.22 0.00 0.22 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER NEW WORLD FUND-529A B 0.00 0.77 0.00 0.77 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER NEW WORLD FUND-529A B 0.00 0.77 0.00 0.77 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-529C B 0.00 0.77 0.00 0.77 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER THE INVESTMENT COMPANY OF AMERICA-A B 0.00 0.77 0.00 0.77 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN AMERICAN BALANCED FUND-A B 0.00 0.11 0.00 0.11 50.0 0.00 0.00 0.00	09/01/2017 00084570136 ALANCRAIG, SUSAN	THE GROWTH FUND OF AMERICA-C	В	0.00	13.54	0.00	13.54	50.0	6.77
09/01/2017 00086908092 BLUM, ASHER 529 FUNDAMENTAL B 0.00 4.67 0.00 4.67 50.0 2.34 09/01/2017 00086908092 BLUM, ASHER AMERICAN MUTUAL FUND-529A B 0.00 0.56 0.00 0.56 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL INCOME BUILDER-529A B 0.00 0.39 0.00 0.39 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529 B 0.00 0.15 0.00 0.15 50.0 0.15 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.28 0.00 0.28 50.0 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.28 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.23 0.00 0.23 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER INTERMEDIATE BOND FUND FAMERICA-5 B 0.00 0.22 0.00 0.22 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER INTERMEDIATE BOND FUND FAMERICA-5 B 0.00 0.22 0.00 0.22 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-59C B 0.00 0.77 0.00 0.77 50.0 0.77 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-B 0.00 0.77 0.00 0.77 50.0 0.77 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-B 0.00 0.77 0.00 0.77 50.0 0.77 50.0 0.00 09/01/2017 75501483 SPILLER, HELEN **CUGGENHEIM FDS TR B 0.00 0.11 0.00 0.11 0.00 0.11 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN AMERICAN BALANCED FUND-A B 0.00 0.01 0.00 0.00 0.00 0.00 0.00 0.	09/01/2017 00084570136 ALANCRAIG, SUSAN	THE NEW ECONOMY FUND-C	В	0.00	15.98	0.00	15.98	50.0	7.99
09/01/2017 00086908092 BLUM, ASHER AMERICAN MUTUAL FUND-529A B 0.00 0.56 0.00 0.56 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL INCOME BUILDER-529A B 0.00 0.39 0.00 0.39 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529 B 0.00 0.15 0.00 0.15 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.28 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND OF AMERICA-5 B 0.00 0.28 0.00 0.23 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER INTERMEDIATE BOND FUND OF AMERICA-5 B 0.00 0.22 0.00 0.22 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER NEW WORLD FUND-529A B 0.00 0.22 0.00 0.22 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-529C B 0.00 0.77 0.00 0.77 50.0 0.77 50.0 0.70 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-A B 0.00 0.77 0.00 0.77 50.0 0.77 50.0 0.70 09/12/2017 75501483 SPILLER, HELEN **GUGGENHEIM FDS TR B 0.00 0.00 0.00 0.00 0.00 0.00 0.00 0	09/01/2017 00084570136 ALANCRAIG, SUSAN	WASHINGTON MUTUAL INVESTORS FUND-C	В	0.00	9.49	0.00	9.49	50.0	4.75
09/01/2017 00086908092 BLUM, ASHER CAPITAL INCOME BUILDER-529A B 0.00 0.39 0.00 0.39 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529 B 0.00 0.15 0.00 0.15 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.28 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER INTERMEDIATE BOND FUND OF AMERICA-5 B 0.00 0.23 0.00 0.23 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER NEW WORLD FUND-529A B 0.00 0.22 0.00 0.22 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER NEW WORLD FUND-529A B 0.00 0.77 0.00 0.77 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-529C B 0.00 0.77 0.00 0.77 50.0 0.00 09/01/2017 00166154105 FL UNIF TFRS TO THE INVESTMENT COMPANY OF AMERICA-A B 0.00 0.77 0.00 0.77 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN **GUGGENHEIM FDS TR B 0.00 2.11 0.00 2.11 50.0 1.06 09/12/2017 75501483 SPILLER, HELEN AMERICAN BALANCED FUND-A B 0.00 3.58 0.00 3.58 50.0 1.79 09/12/2017 75501483 SPILLER, HELEN BOND-DEBENTURE FUND CLASS A B 0.00 1.12 0.00 1.12 50.0 0.56 09/12/2017 75501483 SPILLER, HELEN BOND-DEBENTURE FUND CLASS A B 0.00 0.14 0.00 0.14 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN FUND OF AMERICA-A B 0.00 0.14 0.00 0.14 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN BOND-DEBENTURE FUND CLASS A B 0.00 0.14 0.00 0.14 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN FUND OF AMERICA-A B 0.00 0.14 0.00 0.14 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 0.14 0.00 0.14 50.0 0.00 09/12/2017 75501504 LERNER, JOAN U.S. GOVERNMENT SECURITIES FUND CLAB 0.00 0.234 0.00 2.34 50.0 1.17 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 4.05 50.0 2.03	09/01/2017 00086908092 BLUM, ASHER	529 FUNDAMENTAL	В	0.00	4.67	0.00	4.67	50.0	2.34
09/01/2017 00086908092 BLUM, ASHER CAPITAL WORLD GROWTH AND INCOME-529 B 0.00 0.15 0.00 0.15 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.28 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER INTERMEDIATE BOND FUND OF AMERICA-5 B 0.00 0.23 0.00 0.23 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER NEW WORLD FUND-529A B 0.00 0.22 0.00 0.22 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-529C B 0.00 0.77 0.00 0.77 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-529C B 0.00 0.77 0.00 0.77 50.0 0.00 09/01/2017 00166154105 FL UNIF TFRS TO THE INVESTMENT COMPANY OF AMERICA-A B 0.00 0.00 6.00 0.00 6.00 50.0 3.00 09/12/2017 75501483 SPILLER, HELEN **GUGGENHEIM FDS TR B 0.00 2.11 0.00 2.11 50.0 1.06 09/12/2017 75501483 SPILLER, HELEN AMERICAN BALANCED FUND-A B 0.00 3.58 0.00 3.58 50.0 1.79 09/12/2017 75501483 SPILLER, HELEN BOND-DEBENTURE FUND CLASS A B 0.00 3.58 0.00 3.58 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN BOND-DEBENTURE FUND CLASS A B 0.00 0.14 0.00 0.14 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 4.18 0.00 4.18 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 4.18 0.00 4.18 50.0 0.00 09/12/2017 7550150148 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 4.18 0.00 4.18 50.0 0.00 09/12/2017 75501504 LERNER, JOAN 4.05 0.00 4.05 50.0 2.09 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 4.05 50.0 2.08 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 4.05 50.0 2.08 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.08 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 4.05 50.0 2.08 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 4.05 50.0 2.08 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 4.05 50.0 2.08 0.00 4.05 50.00	09/01/2017 00086908092 BLUM, ASHER	AMERICAN MUTUAL FUND-529A	В	0.00	0.56	0.00	0.56	50.0	0.00
09/01/2017 00086908092 BLUM, ASHER EUROPACIFIC GROWTH FUND-529A B 0.00 0.28 0.00 0.28 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER INTERMEDIATE BOND FUND OF AMERICA-5 B 0.00 0.23 0.00 0.23 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER NEW WORLD FUND-529A B 0.00 0.22 0.00 0.22 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-529C B 0.00 0.77 0.00 0.77 50.0 0.00 09/01/2017 00166154105 FL UNIF TFRS TO THE INVESTMENT COMPANY OF AMERICA-A B 0.00 0.00 6.00 0.00 6.00 50.0 3.00 09/12/2017 75501483 SPILLER, HELEN **GUGGENHEIM FDS TR B 0.00 2.11 0.00 2.11 50.0 1.06 09/12/2017 75501483 SPILLER, HELEN AMERICAN BALANCED FUND-A B 0.00 3.58 0.00 3.58 50.0 1.79 09/12/2017 75501483 SPILLER, HELEN BOND-DEBENTURE FUND CLASS A B 0.00 3.58 0.00 3.58 50.0 0.56 09/12/2017 75501483 SPILLER, HELEN PUTNAM 746745108 B 0.00 0.14 0.00 0.14 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 4.18 0.00 4.18 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 4.18 0.00 4.18 50.0 2.09 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.03 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.03 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.03 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.03 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 4.05 50.0 2.03 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 4.05 50.0 2.03 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 4.05 50.0 2.03 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 4.05 50.0 2.03 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 4.05 50.0 2.03 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 4.05 50.0 2.03	09/01/2017 00086908092 BLUM, ASHER	CAPITAL INCOME BUILDER-529A	В	0.00	0.39	0.00	0.39	50.0	0.00
09/01/2017 00086908092 BLUM, ASHER INTERMEDIATE BOND FUND OF AMERICA-5 B 0.00 0.23 0.00 0.23 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER NEW WORLD FUND-529A B 0.00 0.22 0.00 0.22 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-529C B 0.00 0.77 0.00 0.77 50.0 0.00 09/01/2017 00166154105 FL UNIF TFRS TO THE INVESTMENT COMPANY OF AMERICA-A B 0.00 6.00 0.00 6.00 50.0 3.00 09/12/2017 75501483 SPILLER, HELEN **GUGGENHEIM FDS TR B 0.00 2.11 0.00 2.11 50.0 1.06 09/12/2017 75501483 SPILLER, HELEN AMERICAN BALANCED FUND-A B 0.00 3.58 0.00 3.58 50.0 1.79 09/12/2017 75501483 SPILLER, HELEN BOND-DEBENTURE FUND CLASS A B 0.00 1.12 0.00 1.12 50.0 0.56 09/12/2017 75501483 SPILLER, HELEN PUTNAM 746745108 B 0.00 0.14 0.00 0.14 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 4.18 0.00 4.18 50.0 0.00 09/12/2017 75501504 LERNER, JOAN U.S. GOVERNMENT SECURITIES FUND CLAB 0.00 2.34 0.00 2.34 50.0 1.17 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.05 0.00 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.05 0.00 0.00 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.05 0.00 0.00 0.00 0.00 0.00 0	09/01/2017 00086908092 BLUM, ASHER	CAPITAL WORLD GROWTH AND INCOME-529	В	0.00	0.15	0.00	0.15	50.0	0.00
09/01/2017 00086908092 BLUM, ASHER NEW WORLD FUND-529A B 0.00 0.22 0.00 0.22 50.0 0.00 09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-529C B 0.00 0.77 0.00 0.77 50.0 0.00 09/01/2017 00166154105 FL UNIF TFRS TO THE INVESTMENT COMPANY OF AMERICA-A B 0.00 6.00 0.00 6.00 50.0 3.00 09/12/2017 75501483 SPILLER, HELEN **GUGGENHEIM FDS TR B 0.00 2.11 0.00 2.11 50.0 1.06 09/12/2017 75501483 SPILLER, HELEN AMERICAN BALANCED FUND-A B 0.00 3.58 0.00 3.58 50.0 1.79 09/12/2017 75501483 SPILLER, HELEN BOND-DEBENTURE FUND CLASS A B 0.00 1.12 0.00 1.12 50.0 0.56 09/12/2017 75501483 SPILLER, HELEN PUTNAM 746745108 B 0.00 0.14 0.00 0.14 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 4.18 0.00 4.18 50.0 2.09 09/12/2017 75501501483 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 4.18 0.00 4.18 50.0 2.09 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.03 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.03 0.00	09/01/2017 00086908092 BLUM, ASHER	EUROPACIFIC GROWTH FUND-529A	В	0.00	0.28	0.00	0.28	50.0	0.00
09/01/2017 00086908092 BLUM, ASHER THE GROWTH FUND OF AMERICA-529C B 0.00 0.77 0.00 0.77 50.0 0.00 09/01/2017 00166154105 FL UNIF TFRS TO THE INVESTMENT COMPANY OF AMERICA-A B 0.00 6.00 0.00 6.00 50.0 3.00 09/12/2017 75501483 SPILLER, HELEN **GUGGENHEIM FDS TR B 0.00 2.11 0.00 2.11 50.0 1.06 09/12/2017 75501483 SPILLER, HELEN AMERICAN BALANCED FUND-A B 0.00 3.58 50.0 1.79 09/12/2017 75501483 SPILLER, HELEN BOND-DEBENTURE FUND CLASS A B 0.00 1.12 0.00 1.12 50.0 0.56 09/12/2017 75501483 SPILLER, HELEN PUTNAM 746745108 B 0.00 0.14 0.00 0.14 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 4.18 0.00 4.18 50.0 2.09 09/12/2017 75501504 LERNER, JOAN U.S. GOVERNMENT SECURITIES FUND CLA B 0.00 4.05 0.00 4.05 50.0 2.08 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.08 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.08 0.00	09/01/2017 00086908092 BLUM, ASHER	INTERMEDIATE BOND FUND OF AMERICA-5	В	0.00	0.23	0.00	0.23	50.0	0.00
09/01/2017 00166154105 FL UNIF TFRS TO THE INVESTMENT COMPANY OF AMERICA-A B 0.00 6.00 0.00 6.00 50.0 3.00 09/12/2017 75501483 SPILLER, HELEN **GUGGENHEIM FDS TR B 0.00 2.11 0.00 2.11 50.0 1.06 09/12/2017 75501483 SPILLER, HELEN AMERICAN BALANCED FUND-A B 0.00 3.58 0.00 3.58 50.0 1.79 09/12/2017 75501483 SPILLER, HELEN BOND-DEBENTURE FUND CLASS A B 0.00 1.12 0.00 1.12 50.0 0.56 09/12/2017 75501483 SPILLER, HELEN PUTNAM 746745108 B 0.00 0.14 0.00 0.14 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 4.18 0.00 4.18 50.0 2.09 09/12/2017 75501501483 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 4.18 0.00 4.18 50.0 2.09 09/12/2017 75501501 LERNER, JOAN U.S. GOVERNMENT SECURITIES FUND CLA B 0.00 4.05 0.00 4.05 50.0 2.09 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.03	09/01/2017 00086908092 BLUM, ASHER	NEW WORLD FUND-529A	В	0.00	0.22	0.00	0.22	50.0	0.00
09/12/2017 75501483 SPILLER, HELEN **GUGGENHEIM FDS TR B 0.00 2.11 0.00 2.11 50.0 1.06 09/12/2017 75501483 SPILLER, HELEN AMERICAN BALANCED FUND-A B 0.00 3.58 0.00 3.58 50.0 1.79 09/12/2017 75501483 SPILLER, HELEN BOND-DEBENTURE FUND CLASS A B 0.00 1.12 0.00 1.12 50.0 0.56 09/12/2017 75501483 SPILLER, HELEN PUTNAM 746745108 B 0.00 0.14 0.00 0.14 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 4.18 0.00 4.18 50.0 2.09 09/12/2017 75501504 LERNER, JOAN U.S. GOVERNMENT SECURITIES FUND CLA B 0.00 4.05 0.00 4.05 50.0 2.08 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.08 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.08 0.00	09/01/2017 00086908092 BLUM, ASHER	THE GROWTH FUND OF AMERICA-529C	В	0.00	0.77	0.00	0.77	50.0	0.00
09/12/2017 75501483 SPILLER, HELEN AMERICAN BALANCED FUND-A B 0.00 3.58 50.0 1.79 09/12/2017 75501483 SPILLER, HELEN BOND-DEBENTURE FUND CLASS A B 0.00 1.12 0.00 1.12 50.0 0.56 09/12/2017 75501483 SPILLER, HELEN PUTNAM 746745108 B 0.00 0.14 0.00 0.14 50.0 0.00 09/12/2017 75501483 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 4.18 0.00 4.18 50.0 2.09 09/12/2017 75501504 LERNER, JOAN U.S. GOVERNMENT SECURITIES FUND CLA B 0.00 4.05 0.00 4.05 50.0 2.09	09/01/2017 00166154105 FL UNIF TFRS TO	THE INVESTMENT COMPANY OF AMERICA-A	В	0.00	6.00	0.00	6.00	50.0	3.00
09/12/2017 75501483 SPILLER, HELEN BOND-DEBENTURE FUND CLASS A B 0.00 1.12 0.00 1.12 50.0 0.56 0.56 0.56 0.56 0.56 0.56 0.56	09/12/2017 75501483 SPILLER, HELEN	**GUGGENHEIM FDS TR	В	0.00	2.11	0.00	2.11	50.0	1.06
09/12/2017 75501483 SPILLER, HELEN PUTNAM 746745108 B 0.00 0.14 0.00 0.14 50.0 0.00 0.9/12/2017 75501483 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 4.18 0.00 4.18 50.0 2.09/12/2017 75501504 LERNER, JOAN U.S. GOVERNMENT SECURITIES FUND CLA B 0.00 2.34 0.00 2.34 50.0 1.17 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.03	09/12/2017 75501483 SPILLER, HELEN	AMERICAN BALANCED FUND-A	В	0.00	3.58	0.00	3.58	50.0	1.79
09/12/2017 75501483 SPILLER, HELEN THE INCOME FUND OF AMERICA-A B 0.00 4.18 50.0 2.09 09/12/2017 75501504 LERNER, JOAN U.S. GOVERNMENT SECURITIES FUND CLA B 0.00 2.34 0.00 2.34 50.0 1.17 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.03	09/12/2017 75501483 SPILLER, HELEN	BOND-DEBENTURE FUND CLASS A	В	0.00	1.12	0.00	1.12	50.0	0.56
09/12/2017 75501504 LERNER, JOAN U.S. GOVERNMENT SECURITIES FUND CLAB 0.00 2.34 0.00 2.34 50.0 1.17 09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.03	09/12/2017 75501483 SPILLER, HELEN	PUTNAM 746745108	В	0.00	0.14	0.00	0.14	50.0	0.00
09/12/2017 75501505 LERNER, JOAN AMERICAN HIGH-INCOME TRUST-A B 0.00 4.05 0.00 4.05 50.0 2.03	09/12/2017 75501483 SPILLER, HELEN	THE INCOME FUND OF AMERICA-A	В	0.00	4.18	0.00	4.18	50.0	2.09
	09/12/2017 75501504 LERNER, JOAN	U.S. GOVERNMENT SECURITIES FUND CLA	В	0.00	2.34	0.00	2.34	50.0	1.17
09/12/2017 75501505 LERNER, JOAN CAPITAL INCOME BUILDER-A B 0.00 0.70 0.00 0.70 50.0 0.00	09/12/2017 75501505 LERNER, JOAN	AMERICAN HIGH-INCOME TRUST-A	В	0.00	4.05	0.00	4.05	50.0	2.03
, ,	09/12/2017 75501505 LERNER, JOAN	CAPITAL INCOME BUILDER-A	В	0.00	0.70	0.00	0.70	50.0	0.00

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TRADE DATE CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
	BROKER 1	'RANS	ACTIONS					
PRODUCT CATEGORY: MUTUAL FUND 1			<u></u>					
09/12/2017 75501505 LERNER, JOAN	CAPITAL WORLD BOND FUND-A	В	0.00	1.84	0.00	1.84	50.0	0.92
09/12/2017 75501505 LERNER, JOAN	THE BOND FUND OF AMERICA-A	В	0.00	4.31	0.00	4.31	50.0	2.16
09/12/2017 75501621 WEXLER, SHEILA	EATON VANCE TAX- MANAGED EQUITY A	ASS B	0.00	13.45	0.00	13.45	50.0	6.73
09/12/2017 75501621 WEXLER, SHEILA	THE HARTFORD CAPITAL APPRECIATION	N F B	0.00	2.11	0.00	2.11	50.0	1.06
09/12/2017 75501621 WEXLER, SHEILA	THE HARTFORD MID CAP FUND-A	В	0.00	3.21	0.00	3.21	50.0	1.61
09/12/2017 75501622 ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL	В	0.00	10.82	0.00	10.82	50.0	5.41
09/12/2017 75501622 ABEL, STACEY	DAVIS NEW YORK VENTURE CLASS A	В	0.00	2.96	0.00	2.96	50.0	1.48
09/12/2017 75501622 ABEL, STACEY	MFS GLOBAL EQUITY FUND-A	В	0.00	2.11	0.00	2.11	50.0	1.06
09/12/2017 75501622 ABEL, STACEY	SHORT-TERM BOND FUND OF AMERICA -	- A B	0.00	0.84	0.00	0.84	50.0	0.00
09/12/2017 75501622 ABEL, STACEY	THE INVESTMENT COMPANY OF AMERICA	A-A B	0.00	5.25	0.00	5.25	50.0	2.63
09/12/2017 75501624 ALANCRAIG, SUSAN	**GABELLI SRI FUND	В	0.00	11.19	0.00	11.19	50.0	5.60
09/13/2017 75501624 ALANCRAIG, SUSAN	CALVERT EQUITY PORTFOLIO CL C	В	0.00	12.64	0.00	12.64	50.0	6.32
09/12/2017 75501626 URQUHART, THOMAS	THE GROWTH FUND OF AMERICA-A	В	0.00	5.80	0.00	5.80	50.0	2.90
09/12/2017 75501627 LEE, T ORIN	**AMG MANAGERS CADENCE MID CAP	В	0.00	1.06	0.00	1.06	50.0	0.53
09/26/2017 75501627 LEE, T ORIN	**VICTORY PORTFOLIOS MUNDER	В	0.00	1.03	0.00	1.03	50.0	0.52
09/12/2017 75501628 MODES, VINCENT	ALL VALUE FUND CLASS A	В	0.00	5.47	0.00	5.47	50.0	2.74
09/12/2017 75501628 MODES, VINCENT	CAPITAL INCOME BUILDER-A	В	0.00	10.93	0.00	10.93	50.0	5.47
09/12/2017 75501628 MODES, VINCENT	CAPITAL WORLD GROWTH AND INCOME E	FUN B	0.00	4.94	0.00	4.94	50.0	2.47
09/12/2017 75501628 MODES, VINCENT	LORD ABBETT CALIBRATED DIVIDEND (	GRO B	0.00	4.51	0.00	4.51	50.0	2.26
09/12/2017 75501628 MODES, VINCENT	LORD ABBETT AFFILIATED FUND CLASS	SAB	0.00	8.73	0.00	8.73	50.0	4.37
09/12/2017 75501628 MODES, VINCENT	MID-CAP VALUE FUND CLASS A	В	0.00	6.56	0.00	6.56	50.0	3.28
09/12/2017 75501628 MODES, VINCENT	NEW PERSPECTIVE FUND-A	В	0.00	9.18	0.00	9.18	50.0	4.59
09/12/2017 75501628 MODES, VINCENT	OPPENHEIMERFUNDS 68380G101	В	0.00	3.00	0.00	3.00	50.0	1.50
09/12/2017 75501628 MODES, VINCENT	THE HARTFORD CAPITAL APPRECIATION	N F B	0.00	9.27	0.00	9.27	50.0	4.64
09/12/2017 75501628 MODES, VINCENT	THE INVESTMENT COMPANY OF AMERICA	A-A B	0.00	4.49	0.00	4.49	50.0	2.25
09/12/2017 75501629 INOVATIVE INC	EATON VANCE MUT FDS TR FLTG RATE	AD B	0.00	10.50	0.00	10.50	50.0	5.25
09/12/2017 75501629 INOVATIVE INC	HARTFORD FLOATING RATE FUND CLASS	5 СВ	0.00	13.43	0.00	13.43	50.0	6.72
09/12/2017 75501631 MODES, LOIS	LORD ABBETT RESEARCH FUND INC-SMA	ALL B	0.00	5.29	0.00	5.29	50.0	2.65
09/12/2017 75501631 MODES, LOIS	LORD ABBETT CALIBRATED DIVIDEND (	GRO B	0.00	5.85	0.00	5.85	50.0	2.93
09/12/2017 75501631 MODES, LOIS	LORD ABBETT AFFILIATED FUND CLASS	SAB	0.00	5.15	0.00	5.15	50.0	2.58
09/12/2017 75501631 MODES, LOIS	MID-CAP VALUE FUND CLASS A	В	0.00	5.87	0.00	5.87	50.0	2.94
09/12/2017 75501631 MODES, LOIS	NEW PERSPECTIVE FUND-A	В	0.00	6.68	0.00	6.68	50.0	3.34
09/12/2017 75501631 MODES, LOIS	THE HARTFORD MID CAP FUND-A	В	0.00	6.63	0.00	6.63	50.0	3.32
09/12/2017 75501632 NESHAMINY VALLEY	HARTFORD FLOATING RATE FUND CLASS	в Св	0.00	5.53	0.00	5.53		2.77
09/12/2017 75501633 MODES, VINCENT	CAPITAL WORLD GROWTH AND INCOME E	UN B	0.00	16.95	0.00	16.95	50.0	8.48
09/12/2017 75501633 MODES, VINCENT	EATON VANCE TAX MANAGED VALUE FD		0.00	6.48	0.00	6.48		3.24
09/12/2017 75501633 MODES, VINCENT	EHV 277911830	В	0.00	14.71	0.00	14.71		7.36
09/12/2017 75501633 MODES, VINCENT	HARTFORD ADVISERS FUND CLASS A	В	0.00	2.17	0.00	2.17		1.09
09/12/2017 75501633 MODES, VINCENT	JANUS INVT FD HENDERSON EURPEAN F		0.00	9.87	0.00	9.87		4.94
09/12/2017 75501633 MODES, VINCENT	OPPENHEIMERFUNDS 68380G101	В	0.00	11.33	0.00		50.0	5.67

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PRODUCT CATEGORY: MUTUAL FUND 12B1	TRAILS					
09/12/2017 75501633 MODES, VINCENT	THE GROWTH FUND OF AMERICA-A B	0.00	7.80	0.00	7.80 50.0	3.90
09/12/2017 75501634 CROPANESE, CAROL	**PRUDENTIAL JENNISON NATURAL B	0.00	9.96	0.00	9.96 50.0	4.98
09/12/2017 75501634 CROPANESE, CAROL	HARTFORD MUTUAL FUNDS INC DIVIDEND B	0.00	12.70	0.00	12.70 50.0	6.35
09/12/2017 75501634 CROPANESE, CAROL	QUEST OPPORTUNITY VALUE A B	0.00	0.21	0.00	0.21 50.0	0.00
09/12/2017 75501634 CROPANESE, CAROL	THE HARTFORD MID CAP FUND-C B	0.00	16.44	0.00	16.44 50.0	8.22
09/12/2017 75501635 CROPANESE, CAROL	BLACKROCK CAP APPRECIATION FD INC CB	0.00	2.70	0.00	2.70 50.0	1.35
09/12/2017 75501635 CROPANESE, CAROL	BLACKROCK GLOBAL ALLOCATION FD INC B	0.00	12.08	0.00	12.08 50.0	6.04
09/12/2017 75501635 CROPANESE, CAROL	EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	7.38	0.00	7.38 50.0	3.69
09/12/2017 75501635 CROPANESE, CAROL	EHV 277911772 B	0.00	1.64	0.00	1.64 50.0	0.82
09/12/2017 75501635 CROPANESE, CAROL	IVY ASSET STRATEGY FD CL C B	0.00	10.32	0.00	10.32 50.0	5.16
09/15/2017 75501635 CROPANESE, CAROL	VAN ECK FDS GLOBAL ASST CL C B	0.00	14.00	0.00	14.00 50.0	7.00
09/26/2017 75501635 CROPANESE, CAROL	**VICTORY PORTFOLIOS B	0.00	6.56	0.00	6.56 50.0	3.28
09/12/2017 75501636 URQUHART, THOMAS	FIRST EAGLE GLOBAL FUND CLASS C B	0.00	24.82	0.00	24.82 50.0	12.41
09/12/2017 75501637 ROTHSTEIN, HARRIET	LORD ABBETT SHORT DURATION INCOME F B	0.00	1.89	0.00	1.89 50.0	0.95
09/12/2017 75501637 ROTHSTEIN, HARRIET	SHORT-TERM BOND FUND OF AMERICA - A B	0.00	1.45	0.00	1.45 50.0	0.73
09/12/2017 75501637 ROTHSTEIN, HARRIET	STRATEGIC INCOME A B	0.00	3.48	0.00	3.48 50.0	1.74
09/12/2017 75501638 CROPANESE,	**AMG MANAGERS CADENCE MID CAP B	0.00	3.83	0.00	3.83 50.0	1.92
09/12/2017 75501638 CROPANESE,	**PRUDENTIAL JENNISON NATURAL B	0.00	7.97	0.00	7.97 50.0	3.99
09/12/2017 75501638 CROPANESE,	EATON VANCE TAX MANAGED GROWTH FUND B	0.00	2.99	0.00	2.99 50.0	1.50
09/12/2017 75501638 CROPANESE,	HARTFORD MUTUAL FUNDS INC DIVIDEND B	0.00	9.48	0.00	9.48 50.0	4.74
09/12/2017 75501638 CROPANESE,	QUEST OPPORTUNITY VALUE A B	0.00	6.10	0.00	6.10 50.0	3.05
09/12/2017 75501638 CROPANESE,	SHORT-TERM BOND FUND OF AMERICA - A B	0.00	3.32	0.00	3.32 50.0	1.66
09/12/2017 75501638 CROPANESE,	THE HARTFORD MID CAP FUND-C B	0.00	12.28	0.00	12.28 50.0	6.14
09/12/2017 75501639 CONNOLLY, EDWARD	ALLIANCEBERNSTEIN LARGE-CAP GROWTH B	0.00	0.90	0.00	0.90 50.0	0.00
09/12/2017 75501639 CONNOLLY, EDWARD	BLACKROCK HEALTH SCIENCES OPPORTUNI B	0.00	4.56	0.00	4.56 50.0	2.28
09/12/2017 75501639 CONNOLLY, EDWARD	FIDELITY ADVISOR FUNDS 315918474 B	0.00	3.58	0.00	3.58 50.0	1.79
09/12/2017 75501639 CONNOLLY, EDWARD	FIRST EAGLE GLOBAL FUND CLASS C B	0.00	4.77	0.00	4.77 50.0	2.39
09/12/2017 75501639 CONNOLLY, EDWARD	HARTFORD ADVISERS FUND CLASS A B	0.00	1.47	0.00	1.47 50.0	0.74
09/12/2017 75501639 CONNOLLY, EDWARD	THE HARTFORD DIVIDEND & GROWTH FUND B	0.00	0.85	0.00	0.85 50.0	0.00
09/12/2017 75501640 ROTHSTEIN, JOEL	FUNDAMENTAL INVESTORS-A B	0.00	4.50	0.00	4.50 50.0	2.25
09/12/2017 75501640 ROTHSTEIN, JOEL	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	4.03	0.00	4.03 50.0	2.02
09/12/2017 75501640 ROTHSTEIN, JOEL	WASHINGTON MUTUAL INVESTORS FUND-A B	0.00	5.95	0.00	5.95 50.0	2.98
09/12/2017 75501643 CONNOLLY, MARCELLA	ALLIANZ NFJ DIVIDEND VALUE FUND CLA B	0.00	1.16	0.00	1.16 50.0	0.58
09/12/2017 75501643 CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A B	0.00	1.92	0.00	1.92 50.0	0.96
09/12/2017 75501643 CONNOLLY, MARCELLA	THE HARTFORD MID CAP FUND-A B	0.00	2.18	0.00	2.18 50.0	1.09
09/12/2017 75501643 CONNOLLY, MARCELLA	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	2.39	0.00	2.39 50.0	1.20
09/12/2017 75501645 CONNOLLY, MARCELLA	AMERICAN MUTUAL FUND-A B	0.00	10.76	0.00	10.76 50.0	5.38
09/12/2017 75501645 CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A B	0.00	1.04	0.00	1.04 50.0	0.52
09/12/2017 75501645 CONNOLLY, MARCELLA	QUEST OPPORTUNITY VALUE A B	0.00	1.08	0.00	1.08 50.0	0.54
09/12/2017 75501646 DLUGOSZ, PATRICIA	THE HARTFORD DIVIDEND & GROWTH FUND B	0.00	2.43	0.00	2.43 50.0	1.22

#### COMMISSION STATEMENT for JANICE GINSBURG

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TR	ANS?	ACTIONS					
PRODUCT CAT	regory: MUTUAL FUND 12B1	TRAILS							
09/12/2017 75	5501648 GINSBURG, JANICE	EATON VANCE LARGE CAP VALUE FUND CI	ЪВ	0.00	0.28	0.00	0.28	50.0	0.00
09/12/2017 75	5501648 GINSBURG, JANICE	EATON VANCE UTILITIES FUND CLASS A	В	0.00	2.20	0.00	2.20	50.0	1.10
09/12/2017 75	5501650 MODES, VINCENT	CAPITAL INCOME BUILDER-A	В	0.00	13.00	0.00	13.00	50.0	6.50
09/12/2017 75	5501650 MODES, VINCENT	DAVIS NEW YORK VENTURE CLASS C	В	0.00	16.45	0.00	16.45	50.0	8.23
09/12/2017 75	5501650 MODES, VINCENT	LORD ABBETT RESEARCH FUND INC-SMALI	ЪВ	0.00	7.04	0.00	7.04	50.0	3.52
09/12/2017 75	5501650 MODES, VINCENT	LORD ABBETT CALIBRATED DIVIDEND GRO	В	0.00	13.80	0.00	13.80	50.0	6.90
09/12/2017 75	5501650 MODES, VINCENT	LORD ABBETT MULTI ASSET BALANCED OF	РΒ	0.00	16.23	0.00	16.23	50.0	8.12
09/12/2017 75	5501650 MODES, VINCENT	LORD ABBETT AFFILIATED FUND CLASS A	AВ	0.00	8.75	0.00	8.75	50.0	4.38
09/12/2017 75	5501650 MODES, VINCENT	NEW PERSPECTIVE FUND-A	В	0.00	3.93	0.00	3.93	50.0	1.97
09/12/2017 75	5501650 MODES, VINCENT	OPPENHEIMER DEVELOPING MARKETS CLAS	В В	0.00	1.22	0.00	1.22	50.0	0.61
09/12/2017 75	5501650 MODES, VINCENT	QUEST VALUE A	В	0.00	2.66	0.00	2.66	50.0	1.33
09/12/2017 75	5501650 MODES, VINCENT	THE INVESTMENT COMPANY OF AMERICA-	AВ	0.00	4.49	0.00	4.49	50.0	2.25
09/12/2017 75	5501652 DLUGOSZ, JOHN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	AВ	0.00	2.92	0.00	2.92	50.0	1.46
09/12/2017 75	5501652 DLUGOSZ, JOHN	AMERICAN MUTUAL FUND-A	В	0.00	14.56	0.00	14.56	50.0	7.28
09/12/2017 75	5501652 DLUGOSZ, JOHN	CAPITAL WORLD GROWTH AND INCOME FUR	1 B	0.00	8.22	0.00	8.22	50.0	4.11
09/12/2017 75	5501652 DLUGOSZ, JOHN	EATON VANCE GLOBAL MACRO ABSOLUTE F	RВ	0.00	18.72	0.00	18.72	50.0	9.36
09/12/2017 75	5501652 DLUGOSZ, JOHN	GLOBAL FUND A	В	0.00	2.12	0.00	2.12	50.0	1.06
09/12/2017 75	5501652 DLUGOSZ, JOHN	NEW WORLD FUND-A	В	0.00	2.91	0.00	2.91	50.0	1.46
09/12/2017 75	5501652 DLUGOSZ, JOHN	THE GROWTH FUND OF AMERICA-A	В	0.00	2.14	0.00	2.14	50.0	1.07
09/12/2017 75	5501652 DLUGOSZ, JOHN	THE HARTFORD CAPITAL APPRECIATION H	FВ	0.00	3.94	0.00	3.94	50.0	1.97
09/12/2017 75	5501652 DLUGOSZ, JOHN	THE HARTFORD MID CAP FUND-A	В	0.00	3.78	0.00	3.78	50.0	1.89
09/12/2017 75	5501657 DLUGOSZ, JOHN	AMERICAN HIGH-INCOME TRUST-A	В	0.00	2.70	0.00	2.70	50.0	1.35
09/12/2017 75	5501657 DLUGOSZ, JOHN	EATON VANCE TAX- MANAGED EQUITY ASS	В В	0.00	8.57	0.00	8.57	50.0	4.29
09/12/2017 75	5501657 DLUGOSZ, JOHN	EHV 277902813	В	0.00	1.83	0.00	1.83	50.0	0.92
09/12/2017 75	5501657 DLUGOSZ, JOHN	MAINSTAY HIGH-YIELD CORPORATE BOND	В	0.00	2.82	0.00	2.82	50.0	1.41
09/12/2017 75	5501658 TANNENBAUM, ARLENE	BLACKROCK GLOBAL ALLOCATION FD INC	В	0.00	15.31	0.00	15.31	50.0	7.66
09/12/2017 75	5501658 TANNENBAUM, ARLENE	EATON VANCE LARGE CAP VALUE FUND CI	ЪВ	0.00	1.39	0.00	1.39	50.0	0.70
09/12/2017 75	5501658 TANNENBAUM, ARLENE	FUNDAMENTAL INVESTORS-A	В	0.00	3.40	0.00	3.40	50.0	1.70
09/12/2017 75	5501658 TANNENBAUM, ARLENE	IVY ASSET STRATEGY FD CL C	В	0.00	13.78	0.00	13.78	50.0	6.89
09/12/2017 75	5501658 TANNENBAUM, ARLENE	OPPENHEIMER GLOBAL CLASS C	В	0.00	21.64	0.00	21.64	50.0	10.82
09/12/2017 75	5501660 ABEL, STACEY	**PRUDENTIAL JENNISON 20/20	В	0.00	14.19	0.00	14.19	50.0	7.10
09/12/2017 75	5501660 ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL	В	0.00	6.12	0.00		50.0	3.06
	5501660 ABEL, STACEY	**PRUDENTIAL NATIONAL MUNI	В	0.00	10.45	0.00	10.45		5.23
	5501660 ABEL, STACEY	COLUMBIA SELIGMAN COMMUNICATIONS AN		0.00	3.06	0.00		50.0	1.53
	5501660 ABEL, STACEY	EATON VANCE LARGE CAP VALUE FUND CI		0.00	8.74	0.00		50.0	4.37
	5501660 ABEL, STACEY	EATON VANCE GLOBAL MACRO ABSOLUTE F		0.00	10.78	0.00	10.78		5.39
	5501660 ABEL, STACEY	EHV 277902813	В	0.00	6.17	0.00		50.0	3.09
	5501660 ABEL, STACEY	EUROPACIFIC GROWTH FUND CLASS F	В	0.00	3.18	0.00		50.0	1.59
	5501660 ABEL, STACEY	FUNDAMENTAL INVESTORS FUND CLASS F		0.00	8.09	0.00		50.0	4.05
09/12/2017 75	5501660 ABEL, STACEY	IVY ASSET STRATEGY FD CL C	В	0.00	20.52	0.00	20.52	50.0	10.26

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	BROKER TRAI	NSACTIONS					
PRODUCT CATEGORY: MUTUAL FUND 12B1	TRAILS						
09/12/2017 75501660 ABEL, STACEY	OPPENHEIMER SMALL & MID CAP VALUE FE	0.00	3.57	0.00	3.57	50.0	1.79
09/12/2017 75501660 ABEL, STACEY	OPPENHEIMER DEVELOPING MARKETS FUND E	0.00	3.32	0.00	3.32	50.0	1.66
09/12/2017 75501660 ABEL, STACEY	THORNBURG INVT TR INTL VALUE FD CL E	0.00	11.39	0.00	11.39	50.0	5.70
09/15/2017 75501660 ABEL, STACEY	VAN ECK FDS GLOBAL ASST CL C	0.00	23.55	0.00	23.55	50.0	11.78
09/26/2017 75501660 ABEL, STACEY	**VICTORY PORTFOLIOS	0.00	2.02	0.00	2.02	50.0	1.01
09/12/2017 75501661 ABEL, STACEY	BLACKROCK GLOBAL ALLOCATION FUND IN E	0.00	1.58	0.00	1.58	50.0	0.79
09/12/2017 75501662 LOWENSTEIN, ALLAN	EATON VANCE TAX- MANAGED EQUITY ASS E	0.00	12.53	0.00	12.53	50.0	6.27
09/12/2017 75501662 LOWENSTEIN, ALLAN	LORD ABBETT AFFILIATED FUND CLASS A E	0.00	4.49	0.00	4.49	50.0	2.25
09/12/2017 75501747 STAUFFER, JUDITH	EATON VANCE UTILITIES FUND CLASS A E	0.00	4.18	0.00	4.18	50.0	2.09
09/12/2017 75501748 STAUFFER, JUDITH	MFS INTERNATIONAL VALUE FUND-A	0.00	1.19	0.00	1.19	50.0	0.60
09/12/2017 75501750 STAUFFER, ROBERT	MFS INTERNATIONAL VALUE FUND-A	0.00	1.40	0.00	1.40	50.0	0.70
09/12/2017 75501812 HALL, RUTH	INTERMEDIATE BOND FUND OF AMERICA-A E	0.00	3.41	0.00	3.41	50.0	1.71
09/12/2017 75501825 SEPTIEN, ALFREDO	**GUGGENHEIM FDS TR	0.00	0.75	0.00	0.75	50.0	0.00
09/12/2017 75501825 SEPTIEN, ALFREDO	**PRUDENTIAL JENNISON 20/20	0.00	0.90	0.00	0.90	50.0	0.00
09/12/2017 75501825 SEPTIEN, ALFREDO	CAPITAL WORLD GROWTH AND INCOME FUN E	0.00	1.48	0.00	1.48	50.0	0.74
09/12/2017 75501825 SEPTIEN, ALFREDO	NEW WORLD FUND-A	0.00	1.15	0.00	1.15	50.0	0.58
09/12/2017 75501847 GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN E	0.00	0.85	0.00	0.85	50.0	0.00
09/12/2017 75501847 GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	0.00	1.04	0.00	1.04	50.0	0.52
09/12/2017 75501848 JONAS, HILDA	JOHN HANCOCK FDS III JHF III SMALL E	0.00	1.23	0.00	1.23	50.0	0.62
09/12/2017 75501853 FARKAS, RONALD	BLACKROCK MULTI ST MUN SER TR PA MU E	0.00	2.45	0.00	2.45	50.0	1.23
09/12/2017 75501896 BLUM, STACEY	THE HARTFORD MID CAP FUND-A	0.00	2.57	0.00	2.57	50.0	1.29
09/12/2017 75501898 LIBOVE, MICHAEL	FIDELITY ADVISOR SMALL CAP FUND CLAE	0.00	4.95	0.00	4.95	50.0	2.48
09/12/2017 75501898 LIBOVE, MICHAEL	THE INCOME FUND OF AMERICA-A	0.00	0.64	0.00	0.64	50.0	0.00
09/12/2017 75501899 O'NEILL, LINDA	**AMG MANAGERS CADENCE MID CAP	0.00	5.01	0.00	5.01	50.0	2.51
09/12/2017 75501899 O'NEILL, LINDA	**PRUDENTIAL JENNISON 20/20	0.00	4.63	0.00	4.63	50.0	2.32
09/12/2017 75501899 O'NEILL, LINDA	CAPITAL WORLD GROWTH AND INCOME FUN E	0.00	2.85	0.00	2.85	50.0	1.43
09/12/2017 75501899 O'NEILL, LINDA	NEW PERSPECTIVE FUND-A	0.00	11.11	0.00	11.11	50.0	5.56
09/12/2017 75501899 O'NEILL, LINDA	NEW WORLD FUND-A	0.00	2.86	0.00	2.86	50.0	1.43
09/12/2017 75501899 O'NEILL, LINDA	OPPENHEIMER DEVELOPING MARKETS CLAS E	0.00	2.71	0.00	2.71	50.0	1.36
09/12/2017 75501899 O'NEILL, LINDA	THE INVESTMENT COMPANY OF AMERICA-A E	0.00	3.10	0.00	3.10	50.0	1.55
09/12/2017 75501902 ARMSTRONG, AMANDA	ALLIANZ NFJ LARGE CAP VALUE FUND CL E	0.00	1.26	0.00	1.26	50.0	0.63
09/12/2017 75501902 ARMSTRONG, AMANDA	JANUS INVT FD HENDERSON INTL OPPRTN E	0.00	1.16	0.00	1.16	50.0	0.58
09/12/2017 75501902 ARMSTRONG, AMANDA	TEMP GLOBAL BOND FND - CL A	0.00	1.06	0.00	1.06	50.0	0.53
09/12/2017 75501902 ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A	0.00	0.97	0.00	0.97	50.0	0.00
09/12/2017 75501902 ARMSTRONG, AMANDA	THE HARTFORD MID CAP FUND-A	0.00	5.95	0.00	5.95	50.0	2.98
09/12/2017 75501902 ARMSTRONG, AMANDA	WASHINGTON MUTUAL INVESTORS FUND-A E	0.00	2.34	0.00	2.34	50.0	1.17
09/26/2017 75501902 ARMSTRONG, AMANDA	**VICTORY PORTFOLIOS E	0.00	0.94	0.00	0.94	50.0	0.00
09/12/2017 75501903 ARMSTRONG, AMANDA	**GUGGENHEIM FDS TR E	0.00	1.61	0.00	1.61	50.0	0.81
09/12/2017 75501903 ARMSTRONG, AMANDA	EUROPACIFIC GROWTH FUND-A	0.00	1.52	0.00	1.52	50.0	0.76
09/12/2017 75501903 ARMSTRONG, AMANDA	THE GROWTH FUND OF AMERICA-A E		2.18	0.00		50.0	1.09

#### COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TR	ANSA	CTIONS					
PRODUCT CA	TEGORY: MUTUAL FUND 12	B1 TRAILS							
09/12/2017 7	5501905 TANCREDI, NICHOLA	S CAPITAL INCOME A	В	0.00	2.23	0.00	2.23	50.0	1.12
09/12/2017 7	75501905 TANCREDI, NICHOLA	S GLOBAL FUND A	В	0.00	1.58	0.00	1.58	50.0	0.79
09/12/2017 7	75501905 TANCREDI, NICHOLA	S GLOBAL OPPORTUNITIES A	В	0.00	4.54	0.00	4.54	50.0	2.27
09/12/2017 7	75501905 TANCREDI, NICHOLA	S LORD ABBETT INVT TR TOTAL RETURN FU	ЈВ	0.00	0.95	0.00	0.95	50.0	0.00
09/12/2017 7	75501905 TANCREDI, NICHOLA	S OPPENHEIMER 68380L100	В	0.00	1.44	0.00	1.44	50.0	0.72
09/12/2017 7	75501905 TANCREDI, NICHOLA	S OPPENHEIMER DEVELOPING MARKETS CLAS	5 B	0.00	2.68	0.00	2.68	50.0	1.34
09/12/2017 7	75501905 TANCREDI, NICHOLA	S THE HARTFORD CAPITAL APPRECIATION E	FВ	0.00	2.59	0.00	2.59	50.0	1.30
09/12/2017 7	75501905 TANCREDI, NICHOLA	S THE HARTFORD FLOATING RATE FUND - A	A B	0.00	1.54	0.00	1.54	50.0	0.77
09/12/2017 7	75501965 JACKSON, ROSALYN	**GUGGENHEIM FDS TR	В	0.00	0.98	0.00	0.98	50.0	0.00
09/12/2017 7	75501965 JACKSON, ROSALYN	DAVIS NEW YORK VENTURE CLASS A	В	0.00	1.13	0.00	1.13	50.0	0.57
09/12/2017 7	75501965 JACKSON, ROSALYN	FIRST EAGLE GLOBAL FUND CLASS C	В	0.00	6.08	0.00	6.08	50.0	3.04
09/12/2017 7	75501995 SEPTIEN, ALEC	**GUGGENHEIM FDS TR	В	0.00	0.56	0.00	0.56	50.0	0.00
09/12/2017 7	75501995 SEPTIEN, ALEC	NEW WORLD FUND-A	В	0.00	0.84	0.00	0.84	50.0	0.00
09/12/2017 7	75502077 GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN	IВ	0.00	8.51	0.00	8.51	50.0	4.26
09/12/2017 7	75502077 GINSBURG, VIVIAN	EATON VANCE LARGE CAP VALUE FUND CI	ЪВ	0.00	1.40	0.00	1.40	50.0	0.70
09/12/2017 7	75502077 GINSBURG, VIVIAN	EATON VANCE NATIONAL MUNICIPAL FUNI	ΟВ	0.00	8.29	0.00	8.29	50.0	4.15
09/12/2017 7	75502077 GINSBURG, VIVIAN	FRK FL TF INC FND - CL A	В	0.00	3.59	0.00	3.59	50.0	1.80
09/12/2017 7	75502077 GINSBURG, VIVIAN	HIGH YIELD A	В	0.00	3.38	0.00	3.38	50.0	1.69
09/12/2017 7	75502077 GINSBURG, VIVIAN	INCOME FUND AMER INC CL F1	В	0.00	10.56	0.00	10.56	50.0	5.28
09/12/2017 7	75502077 GINSBURG, VIVIAN	MFS HIGH-YIELD OPPORTUNITIES FUND (	СВ	0.00	0.91	0.00	0.91	50.0	0.00
09/12/2017 7	5502077 GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	В	0.00	2.57	0.00	2.57	50.0	1.29
09/12/2017 7	5502084 TREICHLER, CHARLE	S ALLIANZ NFJ LARGE CAP VALUE FUND CI	ЪВ	0.00	2.64	0.00	2.64	50.0	1.32
09/12/2017 7	5502084 TREICHLER, CHARLE	S SHORT-TERM BOND FUND OF AMERICA - A	A B	0.00	1.02	0.00	1.02	50.0	0.51
09/12/2017 7	75502085 GINSBURG, JANICE	**PRUDENTIAL JENNISON 20/20	В	0.00	1.95	0.00	1.95	50.0	0.98
09/12/2017 7	75502085 GINSBURG, JANICE	MAINSTAY MAP FUND A	В	0.00	1.81	0.00	1.81	50.0	0.91
09/12/2017 7	75502085 GINSBURG, JANICE	OPPENHEIMER DEVELOPING MARKETS CLAS	5 В	0.00	1.16	0.00	1.16	50.0	0.58
09/26/2017 7	5502085 GINSBURG, JANICE	**VICTORY PORTFOLIOS MUNDER	В	0.00	1.03	0.00	1.03	50.0	0.52
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL	*	\$0.00	\$1,482.06	\$0.00	\$1,482.06		\$730.94
		*** BROKER TRANSACTIONS TOTAL **	*	\$1,000.00	\$4,811.83	\$0.00	\$4,811.83		\$2,395.84

# 10/23/2017 Page No. S COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		<u> 2</u>	DJUSTME	NTS					
09/29/2017		OTHER: OTHER-RBC ADVISORY EX	PENSES	0.00	0.00	0.00	0.0		-288.50
09/29/2017		OTHER: OTHER-TOWER BRIDGE		0.00	0.00	0.00	0.0	0	-111.68
		*** ADJUSTMENTS TO	TAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$-400.18
						Ī	BROKER COMM	ISSION	TOTALS
						Broke	r Transaction	S	\$2,395.84
						Spli	t Transaction	S	\$0.00
						Overrid	e Transaction	S	\$0.00
							Adjustment	S	\$-400.18
							Payroll Dra	W	\$0.00
							Base Salar	Y	\$0.00
						Prior	Period Balanc	е	\$0.00
						FI	NRA Assessmen	t	\$-2.03
						S	IPC Assessmen	t	\$-4.07
							Check Amoun	t	\$1,989.56
						Year-to	-date Earning	S	\$6,608.93