



# COMMISSION STATEMENT

## January 29, 2018

**FREDERIC SCARPULLA**  
400 West Metro Park  
Rochester, NY 14623

**BROKER #: 417**  
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>								
01/02/2018	***-**-772I - KERHAERT, ACCOUNT #: 03222178044	CAPITAL APPRECIATION C BUY 0 Units @0.0000	62.50	0.63	0.00	0.63	80.0	0.50
01/02/2018	***-**-9206 - SANDER, DAVID ACCOUNT #: 03222178055	CAPITAL APPRECIATION C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	80.0	0.80
01/02/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 03222325444	CAPITAL APPRECIATION C BUY 0 Units @0.0000	61.61	0.62	0.00	0.62	80.0	0.50
01/09/2018	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 03220387068	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
01/09/2018	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03222192157	CAPITAL APPRECIATION C BUY 0 Units @0.0000	68.00	0.68	0.00	0.68	80.0	0.54
01/09/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 03222200176	CAPITAL APPRECIATION C BUY 0 Units @0.0000	20.00	0.20	0.00	0.20	80.0	0.16
01/02/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 08370596090	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	46.21	0.46	0.00	0.46	80.0	0.37
01/02/2018	***-**-6188 - ROBERTS, ACCOUNT #: 08370627385	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
01/02/2018	***-**-9206 - SANDER, DAVID ACCOUNT #: 02171629936	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	80.0	0.80
01/02/2018	***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 02171800557	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
01/02/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 02171875445	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	77.02	0.77	0.00	0.77	80.0	0.62
01/08/2018	***-**-90FB - DIODATO, CAROL ACCOUNT #: 02171777391	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
01/08/2018	***-**-9530 - MILAM, IAN ACCOUNT #: 02171852708	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
01/09/2018	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 02171798599	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
01/02/2018	***-**-9206 - SANDER, DAVID ACCOUNT #: 07024170947	MAIN STREET FUND C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	80.0	0.80
01/02/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 07024326366	MAIN STREET FUND C BUY 0 Units @0.0000	77.01	0.77	0.00	0.77	80.0	0.62



# COMMISSION STATEMENT

## January 29, 2018

**FREDERIC SCARPULLA**  
400 West Metro Park  
Rochester, NY 14623

**BROKER #: 417**  
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u></b>								
01/02/2018	***-**-2620 - CUSIMANO, MEGAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
01/08/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
01/08/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
01/08/2018	***-**-9530 - MILAM, IAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024469113	BUY 0 Units @0.0000						
01/09/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
01/09/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
01/02/2018	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD C	600.00	6.00	0.00	6.00	80.0	4.80
	ACCOUNT #: 06670037664	BUY 0 Units @0.0000						
01/02/2018	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD C	315.00	3.15	0.00	3.15	80.0	2.52
	ACCOUNT #: 06670037675	BUY 0 Units @0.0000						
01/02/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD C	270.00	2.70	0.00	2.70	80.0	2.16
	ACCOUNT #: 06670037686	BUY 0 Units @0.0000						
01/09/2018	***-**-3407 - TUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
01/09/2018	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
01/09/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
01/02/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	46.21	0.46	0.00	0.46	80.0	0.37
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
01/02/2018	***-**-541P - SCHILLACI, AMY	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						
01/02/2018	***-**-1314 - BENEDETTO,	OPPENHEIMER RISING DIVIDENDS FUND C	125.00	1.25	0.00	1.25	80.0	1.00
	ACCOUNT #: 02270934318	BUY 0 Units @0.0000						
01/02/2018	***-**-655P - DAVIS, BERTHA	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02271237808	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

## January 29, 2018

**FREDERIC SCARPULLA**  
400 West Metro Park  
Rochester, NY 14623

**BROKER #: 417**  
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u></b>								
01/08/2018	***-**-4980 - MOYER, COLLEEN	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
01/09/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02271182830	BUY 0 Units @0.0000						
01/02/2018	***-**-8706 - BOSCO, REN	QUEST BALANCED FUND C	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 02590094105	BUY 0 Units @0.0000						
01/02/2018	***-**-7721 - KERHAERT,	QUEST BALANCED FUND C	62.50	0.63	0.00	0.63	80.0	0.50
	ACCOUNT #: 02592262304	BUY 0 Units @0.0000						
01/02/2018	***-**-1314 - BENEDETTO,	QUEST BALANCED FUND C	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 02592292741	BUY 0 Units @0.0000						
01/10/2018	***-**-8706 - BOSCO, REN	QUEST BALANCED FUND C	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 02590094105	BUY 0 Units @0.0000						
01/02/2018	***-**-2620 - CUSIMANO, MEGAN	REAL ESTATE FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 05920400103	BUY 0 Units @0.0000						
01/08/2018	***-**-9530 - MILAM, IAN	REAL ESTATE FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 05920419496	BUY 0 Units @0.0000						
01/09/2018	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
01/08/2018	***-**-4980 - MOYER, COLLEEN	SMALL- & MID- CAP VALUE FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02531288969	BUY 0 Units @0.0000						
01/09/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
01/02/2018	***-**-9206 - SANDER, DAVID	STRATEGIC INCOME FUND C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 02322653794	BUY 0 Units @0.0000						
01/02/2018	***-**-1314 - BENEDETTO,	STRATEGIC INCOME FUND C	125.00	1.25	0.00	1.25	80.0	1.00
	ACCOUNT #: 02322751089	BUY 0 Units @0.0000						
01/09/2018	***-**-1834 - BUTLER, KIM	STRATEGIC INCOME FUND C	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 01920863291	BUY 0 Units @0.0000						
01/02/2018	***-**-9206 - SANDER, DAVID	VALUE FUND C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 03770488829	BUY 0 Units @0.0000						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$4,818.06</b>	<b>\$48.19</b>	<b>\$0.00</b>	<b>\$48.19</b>		<b>\$38.56</b>



# COMMISSION STATEMENT

## January 29, 2018

FREDERIC SCARPULLA  
400 West Metro Park  
Rochester, NY 14623

BROKER #: 417  
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
01/26/2018	***-**-50IN - DIGIOVANNI, ACCOUNT #: 921077312	CHOICEPLUS ASSURANCE BONUS BUY 0 Units @0.0000	70,000.00	2,450.00	0.00	2,450.00	80.0	1,960.00
		<b>* VARIABLE ANNUITIES SUBTOTAL *</b>	<b>\$70,000.00</b>	<b>\$2,450.00</b>	<b>\$0.00</b>	<b>\$2,450.00</b>		<b>\$1,960.00</b>
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
01/26/2018	***-**-335P - JULIAN, GIOVANA ACCOUNT #: 77613466001	NYA JPM 529 CONSV GROWTH A BUY 0 Units @0.0000	138.52	1.39	0.00	1.39	80.0	1.11
01/26/2018	***-**-80IN - MOYER, COLLEEN ACCOUNT #: 77705588101	NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000	50.00	1.52	0.00	1.52	80.0	1.22
		<b>* 529 PLAN SUBTOTAL *</b>	<b>\$188.52</b>	<b>\$2.91</b>	<b>\$0.00</b>	<b>\$2.91</b>		<b>\$2.33</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
01/08/2018	***-**-3043 - SCARPULLA, ACCOUNT #: IRK131856	AMERICAN FUNDS 401K TRAILS BUY 0 Units @0.0000	0.00	331.38	0.00	331.38	80.0	265.10
01/29/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 0104134960	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	10.24	0.00	10.24	80.0	8.19
01/29/2018	***-**-63IR - DIAMOND, ANN ACCOUNT #: LSR011725	FEDERATED STRATEGIC INCOME FUND CLA BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	80.0	0.52
01/29/2018	***-**-44IR - ROBERTSON, ACCOUNT #: LSR010558	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	80.0	0.00
01/29/2018	***-**-20IN - GIANGRECO, TERRY ACCOUNT #: LSR010603	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	0.58	0.00	0.58	80.0	0.46
01/29/2018	***-**-721I - TABER, FBO LISA ACCOUNT #: LSR010434	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	80.0	0.96
01/29/2018	***-**-721I - TABER, FBO LISA ACCOUNT #: LSR010434	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	2.45	0.00	2.45	80.0	1.96
01/29/2018	***-**-92IR - CHEN, CYNTHIA ACCOUNT #: LSR011412	GLOBAL OPPORTUNITIES A BUY 1 Units @0.0000	0.00	1.69	0.00	1.69	80.0	1.35
01/29/2018	***-**-63IR - DIAMOND, ANN ACCOUNT #: LSR011725	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	80.0	0.22
01/29/2018	***-**-63IR - DIAMOND, ANN ACCOUNT #: LSR011725	MUTUAL GLOBAL DISCOVERY FUND - CLAS BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	80.0	0.57



# COMMISSION STATEMENT

## January 29, 2018

FREDERIC SCARPULLA  
400 West Metro Park  
Rochester, NY 14623

BROKER #: 417  
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b>								
01/09/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER CORP BOND FND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00100067156	BUY 0 Units @0.0000						
01/29/2018	***-**-92IR - CHEN, CYNTHIA	PIMCO TOTAL RETURN CLASS A	0.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: LSR011412	BUY 1 Units @0.0000						
01/29/2018	***-**-278K - GUERRIERI DDS,	QUALIFIED PLAN SUMMARY	0.00	1,200.55	0.00	1,200.55	80.0	960.44
	ACCOUNT #: IRK101640	BUY 0 Units @0.0000						
01/29/2018	***-**-20IN - GIANGRECO, TERRY	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	112.37	0.00	112.37	80.0	89.90
	ACCOUNT #: LSR010603	BUY 1 Units @0.0000						
01/29/2018	***-**-92IR - CHEN, CYNTHIA	SELECT VALUE FUND A	0.00	1.15	0.00	1.15	80.0	0.92
	ACCOUNT #: LSR011412	BUY 1 Units @0.0000						
01/04/2018	***-**-27IN - TINKLEPAUGH,	WELLS FGO AVTG DIVERSFD CAPITAL BLD	0.00	1.09	0.00	1.09	80.0	0.87
	ACCOUNT #: 01005412974	BUY 0 Units @0.0000						
	<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>		<b>\$25.00</b>	<b>\$1,664.83</b>	<b>\$0.00</b>	<b>\$1,664.83</b>		<b>\$1,331.86</b>
	<b>*** BROKER TRANSACTIONS TOTAL ***</b>		<b>\$75,031.58</b>	<b>\$4,165.93</b>	<b>\$0.00</b>	<b>\$4,165.93</b>		<b>\$3,332.75</b>

### **BROKER COMMISSION TOTALS**

Broker Transactions	\$3,332.75
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

<b>Net Commission Earned</b>	<b>\$3,332.75</b>
<b>Year-to-date Earnings</b>	<b>\$18,818.23</b>