



# COMMISSION STATEMENT

June 25, 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
06/15/2018	***-**-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 @10.5700						
06/04/2018	***-**-435P - ANTINORE, EMILY	CAPITAL INCOME BUILDER-A	84.60	1.35	0.00	1.35	95.0	1.28
	ACCOUNT #: 00067185955	BUY 1 Units @62.1400						
06/15/2018	***-**-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 @62.5400						
06/15/2018	***-**-2256 - SPITZER, HERSHEL	CAPITAL INCOME BUILDER-A	87.50	2.41	0.00	2.41	95.0	2.29
	ACCOUNT #: 00083997024	BUY 1 Units @62.5400						
06/11/2018	***-**-575I - PALELLA, CHARLES	EQUITY INCOME FUND, INC. A	250.00	10.00	0.00	10.00	95.0	9.50
	ACCOUNT #: 08350895037	BUY 0 Units @0.0000						
06/15/2018	***-**-2256 - SPITZER, HERSHEL	EUROPACIFIC GROWTH FUND-A	87.50	2.41	0.00	2.41	95.0	2.29
	ACCOUNT #: 00083997024	BUY 2 Units @56.8700						
06/15/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 COLLEGE PORT-CL C	200.00	2.00	0.00	2.00	95.0	1.90
	ACCOUNT #: 00625374335	BUY 13 Units @15.3300						
06/15/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 PORT 2019-CL C	150.00	1.50	0.00	1.50	95.0	1.43
	ACCOUNT #: 00625374327	BUY 8 Units @18.2300						
06/15/2018	***-**-2256 - SPITZER, HERSHEL	FUNDAMENTAL INVESTORS-A	137.50	3.78	0.00	3.78	95.0	3.59
	ACCOUNT #: 00083997024	BUY 2 Units @65.9900						
06/15/2018	***-**-2256 - SPITZER, HERSHEL	NEW PERSPECTIVE FUND-A	137.50	3.78	0.00	3.78	95.0	3.59
	ACCOUNT #: 00083997024	BUY 3 Units @47.9000						
06/15/2018	***-**-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 @23.7500						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$1,484.60</b>	<b>\$36.86</b>	<b>\$0.00</b>	<b>\$36.86</b>		<b>\$35.02</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
06/19/2018	***-**-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						
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$100.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>



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<b>BROKER TRANSACTIONS (continued)</b>								
<b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b>								
06/25/2018	***-**-826I - NOEL, DARIN	VOYA INS TRAILS BUY 1 Units @0.0000	0.00	2.95	0.00	2.95	95.0	2.80
		<b>* VARIABLE UNIVERSAL LIFE SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$2.95</b>	<b>\$0.00</b>	<b>\$2.95</b>		<b>\$2.80</b>
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
06/14/2018	***-**-605P - BONSIGNORE, ACCOUNT #: 81328824601	RIA INVSC COLLGBUND 2017-2018 PORT BUY 0 Units @0.0000	50.00	0.20	0.00	0.20	95.0	0.19
		<b>* 529 PLAN SUBTOTAL *</b>	<b>\$50.00</b>	<b>\$0.20</b>	<b>\$0.00</b>	<b>\$0.20</b>		<b>\$0.19</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
06/25/2018	***-**-01IN - SAUTTER, HOWARD ACCOUNT #: LSR011301	CAPITAL GROWTH FUND A BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	95.0	1.87
06/25/2018	***-**-22IN - SAUTTER, TERRIE ACCOUNT #: LSR011302	CAPITAL GROWTH FUND A BUY 1 Units @0.0000	0.00	2.32	0.00	2.32	95.0	2.20
06/25/2018	***-**-546J - MRS CANDICE ACCOUNT #: LSR010748	FIDELITY ADV NEW INSIGHTS-CL C BUY 1 Units @0.0000	0.00	2.67	0.00	2.67	95.0	2.54
06/25/2018	***-**-61IR - 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
06/25/2018	***-**-588X - RUSSELL, JUDY ACCOUNT #: LSR011098	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	1.28	0.00	1.28	95.0	1.22
06/25/2018	***-**-853J - SAUTTER ACCOUNT #: LSR006386	GOLDMAN SACHS CORE PLUS FIXED INCOM BUY 1 Units @0.0000	0.00	0.14	0.00	0.14	95.0	0.13
06/25/2018	***-**-01IN - SAUTTER, HOWARD ACCOUNT #: LSR011301	GOLDMAN SACHS CORE PLUS FIXED INCOM BUY 1 Units @0.0000	0.00	2.04	0.00	2.04	95.0	1.94
06/25/2018	***-**-22IN - SAUTTER, TERRIE ACCOUNT #: LSR011302	GOLDMAN SACHS CORE PLUS FIXED INCOM BUY 1 Units @0.0000	0.00	4.53	0.00	4.53	95.0	4.30
06/25/2018	***-**-6468 - WARNER, JANET ACCOUNT #: LSR010223	OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	95.0	0.33
06/25/2018	***-**-6468 - WARNER, JANET ACCOUNT #: LSR010223	PIMCO LOW DURATION CLASS A BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	95.0	0.34
06/25/2018	***-**-6468 - WARNER, JANET ACCOUNT #: LSR010223	PIMCO TOTAL RETURN CLASS A BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	95.0	0.37



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
06/25/2018	***-**-107J - SMITH, KRISTEN	PUTNAM EQUITY INCOME FUND-A	0.00	0.45	0.00	0.45	95.0	0.43
	ACCOUNT #: LSR011605	BUY 1 Units @0.0000						
06/25/2018	***-**-107J - SMITH, KRISTEN	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.93	0.00	0.93	95.0	0.88
	ACCOUNT #: LSR011605	BUY 1 Units @0.0000						
06/25/2018	***-**-107J - SMITH, KRISTEN	PUTNAM INVESTORS FUND-A	0.00	0.31	0.00	0.31	95.0	0.29
	ACCOUNT #: LSR011605	BUY 1 Units @0.0000						
06/25/2018	***-**-107J - SMITH, KRISTEN	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.63	0.00	0.63	95.0	0.60
	ACCOUNT #: LSR011605	BUY 1 Units @0.0000						
06/25/2018	***-**-43IR - D'ANGELO, DONNA	ROCHESTER FUND MUNICIPALS A	0.00	1.11	0.00	1.11	95.0	1.05
	ACCOUNT #: LSR003301	BUY 1 Units @0.0000						
06/25/2018	***-**-30IN - HALL, CHEREEZE	ROCHESTER FUND MUNICIPALS C	0.00	0.97	0.00	0.97	95.0	0.92
	ACCOUNT #: LSR010611	BUY 1 Units @0.0000						
06/25/2018	***-**-31IN - SMITH, MS VIVICA	ROCHESTER FUND MUNICIPALS C	0.00	0.88	0.00	0.88	95.0	0.84
	ACCOUNT #: LSR011147	BUY 1 Units @0.0000						
06/25/2018	***-**-66IN - BENNETT, KALENA	ROCHESTER FUND MUNICIPALS C	0.00	0.97	0.00	0.97	95.0	0.92
	ACCOUNT #: LSR011317	BUY 1 Units @0.0000						
06/25/2018	***-**-01IN - SAUTTER, HOWARD	STRUCTURED U.S. EQUITY CLASS A	0.00	1.69	0.00	1.69	95.0	1.61
	ACCOUNT #: LSR011301	BUY 1 Units @0.0000						
06/25/2018	***-**-22IN - SAUTTER, TERRIE	STRUCTURED U.S. EQUITY CLASS A	0.00	4.48	0.00	4.48	95.0	4.26
	ACCOUNT #: LSR011302	BUY 1 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$28.86</b>	<b>\$0.00</b>	<b>\$28.86</b>		<b>\$27.41</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$1,634.60</b>	<b>\$68.87</b>	<b>\$0.00</b>	<b>\$68.87</b>		<b>\$65.42</b>

## OVERRIDE TRANSACTIONS

### BROKER: BARRY BRESIN

06/25/2018	***-**-47UG - BECKER, DANIELLE	MASS MUTUAL VA	0.00	53.32	0.00	53.32	15.0	8.00
		BUY 1 Units @0.0000						
06/25/2018	***-**-717I - MARSJANIK,	RESOURCE REAL ESTATE TRAILS	0.00	22.92	0.00	22.92	15.0	3.44
		BUY 0 Units @0.0000						
06/25/2018	***-**-4892 - STERN, ROBERT	RESOURCE REAL ESTATE TRAILS	0.00	19.69	0.00	19.69	15.0	2.95
	ACCOUNT #: 20035472	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: BARRY BRESIN (continued)</u></b>								
06/08/2018	***-**-16IN - STERN, PATRICIA	SAMMONS MF TRAILS	0.00	20.39	0.00	20.39	15.0	3.06
	ACCOUNT #: 7200027673	BUY 0 Units @0.0000						
		<b>* BARRY BRESIN SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$116.32</b>	<b>\$0.00</b>	<b>\$116.32</b>		<b>\$17.45</b>
<b><u>BROKER: FREDERIC SCARPULLA</u></b>								
06/04/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063412117	BUY 3 Units @34.7800						
06/04/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063451518	BUY 3 Units @34.7800						
06/12/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063412117	BUY 3 Units @35.1900						
06/12/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063451518	BUY 3 Units @35.1900						
06/18/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063412117	BUY 3 Units @34.4400						
06/18/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063451518	BUY 3 Units @34.4400						
06/04/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 04000650661	BUY 2 Units @30.2200						
06/11/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591533	BUY 7 Units @30.5100						
06/15/2018	***-**-5670 - CONNORS,	AMCAP FUND-C	7,157.65	71.58	0.00	71.58	10.0	7.16
		BUY 0 Units @0.0000						
06/18/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 04000650661	BUY 2 Units @29.8100						
06/15/2018	***-**-195P - HECHT, ANDREW	AMERICAN BALANCED FUND-529A	200.00	10.00	0.00	10.00	10.0	1.00
	ACCOUNT #: 00068453142	BUY 7 Units @28.9800						
06/15/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198121	BUY 2 Units @27.3200						
06/15/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198137	BUY 2 Units @27.3200						
06/11/2018	***-**-825P - MASTROSIMONE,	AMERICAN BALANCED FUND-A	374.25	3.74	0.00	3.74	10.0	0.37
	ACCOUNT #: 00067351603	BUY 14 Units @27.5200						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 3 Units @27.5200	93.74	0.94	0.00	0.94	10.0	0.09
06/11/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 3 Units @27.5200	86.20	0.86	0.00	0.86	10.0	0.09
06/11/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 11 Units @27.5200	299.40	2.99	0.00	2.99	10.0	0.30
06/11/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 2 Units @27.5200	58.75	0.59	0.00	0.59	10.0	0.06
06/11/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 11 Units @27.5200	299.40	2.99	0.00	2.99	10.0	0.30
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 0 Units @27.5200	13.13	0.13	0.00	0.13	10.0	0.01
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 14 Units @27.5200	373.06	3.73	0.00	3.73	10.0	0.37
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 0 Units @27.5200	10.50	0.11	0.00	0.11	10.0	0.01
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 11 Units @27.5200	298.45	2.98	0.00	2.98	10.0	0.30
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 0 Units @27.5200	10.50	0.11	0.00	0.11	10.0	0.01
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 11 Units @27.5200	298.45	2.98	0.00	2.98	10.0	0.30
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 1 Units @27.5200	22.50	0.23	0.00	0.23	10.0	0.02
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 14 Units @27.5200	373.06	3.73	0.00	3.73	10.0	0.37
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 1 Units @27.5200	18.00	0.18	0.00	0.18	10.0	0.02
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 11 Units @27.5200	298.45	2.98	0.00	2.98	10.0	0.30
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 1 Units @27.5200	18.00	0.18	0.00	0.18	10.0	0.02



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 11 Units @27.5200	298.45	2.98	0.00	2.98	10.0	0.30
06/11/2018	***-**-275P - BERMUDEZ, CARLOS ACCOUNT #: 00069016532	AMERICAN BALANCED FUND-A BUY 4 Units @27.5200	114.00	1.14	0.00	1.14	10.0	0.11
06/11/2018	***-**-275P - BERMUDEZ, CARLOS ACCOUNT #: 00069016532	AMERICAN BALANCED FUND-A BUY 5 Units @27.5200	125.00	1.25	0.00	1.25	10.0	0.13
06/11/2018	***-**-275P - BERMUDEZ, CARLOS ACCOUNT #: 00069016532	AMERICAN BALANCED FUND-A BUY 3 Units @27.5200	91.20	0.91	0.00	0.91	10.0	0.09
06/11/2018	***-**-275P - BERMUDEZ, CARLOS ACCOUNT #: 00069016532	AMERICAN BALANCED FUND-A BUY 4 Units @27.5200	100.00	1.00	0.00	1.00	10.0	0.10
06/11/2018	***-**-275P - BERMUDEZ, CARLOS ACCOUNT #: 00069016532	AMERICAN BALANCED FUND-A BUY 4 Units @27.5200	105.31	1.05	0.00	1.05	10.0	0.11
06/11/2018	***-**-275P - BERMUDEZ, CARLOS ACCOUNT #: 00069016532	AMERICAN BALANCED FUND-A BUY 4 Units @27.5200	100.00	1.00	0.00	1.00	10.0	0.10
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	AMERICAN BALANCED FUND-A BUY 2 Units @27.5200	45.00	0.45	0.00	0.45	10.0	0.05
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	AMERICAN BALANCED FUND-A BUY 2 Units @27.5200	45.00	0.45	0.00	0.45	10.0	0.05
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	AMERICAN BALANCED FUND-A BUY 1 Units @27.5200	36.00	0.36	0.00	0.36	10.0	0.04
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	AMERICAN BALANCED FUND-A BUY 1 Units @27.5200	36.00	0.36	0.00	0.36	10.0	0.04
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	AMERICAN BALANCED FUND-A BUY 1 Units @27.5200	36.00	0.36	0.00	0.36	10.0	0.04
06/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	AMERICAN BALANCED FUND-A BUY 2 Units @27.5200	44.30	0.44	0.00	0.44	10.0	0.04
06/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	AMERICAN BALANCED FUND-A BUY 2 Units @27.5200	59.07	0.59	0.00	0.59	10.0	0.06
06/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	AMERICAN BALANCED FUND-A BUY 2 Units @27.5200	44.16	0.44	0.00	0.44	10.0	0.04



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-3757 - MALONE, KENNETH	AMERICAN BALANCED FUND-A	33.12	0.33	0.00	0.33	10.0	0.03
	ACCOUNT #: 00083474112	BUY 1 Units @27.5200						
06/11/2018	***-**-3757 - MALONE, KENNETH	AMERICAN BALANCED FUND-A	33.59	0.34	0.00	0.34	10.0	0.03
	ACCOUNT #: 00083474112	BUY 1 Units @27.5200						
06/11/2018	***-**-3757 - MALONE, KENNETH	AMERICAN BALANCED FUND-A	44.78	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00083474112	BUY 2 Units @27.5200						
06/11/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	64.00	0.64	0.00	0.64	10.0	0.06
	ACCOUNT #: 00087870442	BUY 2 Units @27.5200						
06/11/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	48.00	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087870442	BUY 2 Units @27.5200						
06/11/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	38.40	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00087870442	BUY 1 Units @27.5200						
06/11/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	102.40	1.02	0.00	1.02	10.0	0.10
	ACCOUNT #: 00087870442	BUY 4 Units @27.5200						
06/11/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	38.40	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00087870442	BUY 1 Units @27.5200						
06/11/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	102.40	1.02	0.00	1.02	10.0	0.10
	ACCOUNT #: 00087870442	BUY 4 Units @27.5200						
06/11/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	94.50	0.95	0.00	0.95	10.0	0.10
	ACCOUNT #: 00089874312	BUY 3 Units @27.5200						
06/11/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00089874312	BUY 5 Units @27.5200						
06/11/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089874312	BUY 4 Units @27.5200						
06/11/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	77.40	0.77	0.00	0.77	10.0	0.08
	ACCOUNT #: 00089874312	BUY 3 Units @27.5200						
06/11/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	75.15	0.75	0.00	0.75	10.0	0.08
	ACCOUNT #: 00089874312	BUY 3 Units @27.5200						
06/11/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089874312	BUY 4 Units @27.5200						
06/15/2018	***-**-535P - DELGAIZO,	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	10.0	0.21
	ACCOUNT #: 00068454444	BUY 2 Units @28.8000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
06/15/2018	***-**-425P - DELGAIZO, LOUISA	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	10.0	0.21
	ACCOUNT #: 00068454445	BUY 2 Units @28.8000						
06/04/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 7 Units @27.0700						
06/04/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @27.0700						
06/04/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @27.0700						
06/04/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @27.0700						
06/04/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @27.0700						
06/04/2018	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	87.96	0.88	0.00	0.88	10.0	0.09
	ACCOUNT #: 00089244081	BUY 3 Units @27.0700						
06/04/2018	***-**-035S - CAPIZZI, TRACIE	AMERICAN BALANCED FUND-C	37.75	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00089679504	BUY 1 Units @27.0700						
06/05/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089045192	BUY 1 Units @27.0800						
06/05/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	14.00	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00089051066	BUY 1 Units @27.0800						
06/05/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00089051066	BUY 2 Units @27.0800						
06/05/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	13.04	0.13	0.00	0.13	10.0	0.01
	ACCOUNT #: 00089583477	BUY 0 Units @27.0800						
06/05/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	97.44	0.97	0.00	0.97	10.0	0.10
	ACCOUNT #: 00089722785	BUY 4 Units @27.0800						
06/05/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089910177	BUY 4 Units @27.0800						
06/11/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @27.3000						
06/11/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @27.3000						





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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @27.3000						
06/11/2018	***-**-54IN - FANTAUZZO, EVA	AMERICAN BALANCED FUND-C	200.00	2.00	0.00	2.00	10.0	0.20
	ACCOUNT #: 00087406469	BUY 7 Units @27.3000						
06/11/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089045192	BUY 1 Units @27.3000						
06/11/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00089051066	BUY 1 Units @27.3000						
06/11/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	14.00	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00089051066	BUY 1 Units @27.3000						
06/11/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	20.59	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00089583477	BUY 1 Units @27.3000						
06/14/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @27.2400						
06/14/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @27.2400						
06/14/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089045192	BUY 1 Units @27.2400						
06/14/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089045192	BUY 1 Units @27.2400						
06/14/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	14.00	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00089051066	BUY 1 Units @27.2400						
06/14/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	61.20	0.61	0.00	0.61	10.0	0.06
	ACCOUNT #: 00089051066	BUY 2 Units @27.2400						
06/14/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	61.20	0.61	0.00	0.61	10.0	0.06
	ACCOUNT #: 00089051066	BUY 2 Units @27.2400						
06/14/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	14.00	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00089051066	BUY 1 Units @27.2400						
06/14/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089910177	BUY 4 Units @27.2400						
06/15/2018	***-**-36IN - SILLUZZIO, THOMAS	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00068088908	BUY 2 Units @27.1900						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/15/2018	***-**-315P - SILLUZZIO, JUSTIN	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00068803650	BUY 2 Units @27.1900						
06/15/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @27.1900						
06/15/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @27.1900						
06/15/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @27.1900						
06/15/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087429936	BUY 2 Units @27.1900						
06/15/2018	***-**-5670 - CONNORS,	AMERICAN BALANCED FUND-C	35,788.21	357.88	0.00	357.88	10.0	35.79
		BUY 0 Units @0.0000						
06/18/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089045192	BUY 1 Units @27.1600						
06/18/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	14.00	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00089051066	BUY 1 Units @27.1600						
06/18/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00089051066	BUY 2 Units @27.1600						
06/18/2018	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	87.96	0.88	0.00	0.88	10.0	0.09
	ACCOUNT #: 00089244081	BUY 3 Units @27.1600						
06/18/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	21.54	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 00089583477	BUY 1 Units @27.1600						
06/18/2018	***-**-035S - CAPIZZI, TRACIE	AMERICAN BALANCED FUND-C	37.75	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00089679504	BUY 1 Units @27.1600						
06/19/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 7 Units @27.1000						
06/21/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @27.0100						
06/21/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089045192	BUY 1 Units @27.0100						
06/21/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	61.20	0.61	0.00	0.61	10.0	0.06
	ACCOUNT #: 00089051066	BUY 2 Units @27.0100						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
06/21/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.0100	14.00	0.14	0.00	0.14	10.0	0.01
06/21/2018	***-**-1764 - HUGHES, KATHLEEN ACCOUNT #: 04000998901	AMERICAN BALANCED FUND-C BUY 2962 Units @27.0100	80,000.00	800.00	0.00	800.00	10.0	80.00
06/22/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @27.1000	28.05	0.28	0.00	0.28	10.0	0.03
06/22/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @27.1000	6.00	0.06	0.00	0.06	10.0	0.01
06/22/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 1 Units @27.1000	16.00	0.16	0.00	0.16	10.0	0.02
06/22/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @27.1000	120.00	1.20	0.00	1.20	10.0	0.12
06/04/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 0 Units @19.1400	7.35	0.07	0.00	0.07	10.0	0.01
06/04/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 2 Units @19.1400	44.12	0.44	0.00	0.44	10.0	0.04
06/11/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 4 Units @19.3000	72.76	0.73	0.00	0.73	10.0	0.07
06/11/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 1 Units @19.3000	12.13	0.12	0.00	0.12	10.0	0.01
06/15/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 0 Units @19.2400	7.74	0.08	0.00	0.08	10.0	0.01
06/15/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 2 Units @19.2400	46.44	0.46	0.00	0.46	10.0	0.05
06/22/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 2 Units @19.1200	43.49	0.43	0.00	0.43	10.0	0.04
06/22/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 0 Units @19.1200	7.25	0.07	0.00	0.07	10.0	0.01
06/11/2018	***-**-7063 - ZIOTO, JULIA ACCOUNT #: 04000322984	AMERICAN GLOBAL BALANCED CL C BUY 3 Units @32.5100	100.00	1.00	0.00	1.00	10.0	0.10
06/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.1400	4.55	0.05	0.00	0.05	10.0	0.01



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
06/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.1400	105.00	1.05	0.00	1.05	10.0	0.11
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.1800	4.55	0.05	0.00	0.05	10.0	0.01
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.1800	105.00	1.05	0.00	1.05	10.0	0.11
06/15/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.2000	4.55	0.05	0.00	0.05	10.0	0.01
06/15/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.2000	105.00	1.05	0.00	1.05	10.0	0.11
06/22/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.2000	105.00	1.05	0.00	1.05	10.0	0.11
06/22/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.2000	4.55	0.05	0.00	0.05	10.0	0.01
06/14/2018	***-**-6410 - LEAHY, JEFFRIE ACCOUNT #: 00073513664	AMERICAN MUTUAL FUND-A BUY 22 Units @41.2400	900.00	9.00	0.00	9.00	10.0	0.90
06/04/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @40.2900	5.00	0.05	0.00	0.05	10.0	0.01
06/04/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	AMERICAN MUTUAL FUND-C BUY 0 Units @40.2900	5.00	0.05	0.00	0.05	10.0	0.01
06/11/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @40.8000	5.00	0.05	0.00	0.05	10.0	0.01
06/11/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	AMERICAN MUTUAL FUND-C BUY 0 Units @40.8000	5.00	0.05	0.00	0.05	10.0	0.01
06/15/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @40.4400	5.00	0.05	0.00	0.05	10.0	0.01
06/15/2018	***-**-01UG - DIGIOVANNI, ACCOUNT #: 00087087389	AMERICAN MUTUAL FUND-C BUY 4 Units @40.4400	150.00	1.50	0.00	1.50	10.0	0.15
06/18/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	AMERICAN MUTUAL FUND-C BUY 0 Units @40.2900	5.00	0.05	0.00	0.05	10.0	0.01
06/22/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @40.2000	5.00	0.05	0.00	0.05	10.0	0.01



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BROKER #: 20  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/04/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION C	61.61	0.62	0.00	0.62	10.0	0.06
	ACCOUNT #: 03222325444	BUY 0 Units @0.0000						
06/08/2018	***-**-772I - KERHAERT,	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 03222178044	BUY 0 Units @0.0000						
06/08/2018	***-**-9206 - SANDER, DAVID	CAPITAL APPRECIATION C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 03222178055	BUY 0 Units @0.0000						
06/11/2018	***-**-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						
06/11/2018	***-**-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						
06/11/2018	***-**-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						
06/05/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL INCOME BUILDER CLASS C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @60.8100						
06/21/2018	***-**-9611 - MACDUFFIE, LINDA	CAPITAL INCOME BUILDER CLASS C	300.00	3.00	0.00	3.00	10.0	0.30
	ACCOUNT #: 00087299599	BUY 5 Units @59.8800						
06/20/2018	***-**-0447 - LEVINE, JACQUE	CAPITAL INCOME BUILDER-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00084996765	BUY 2 Units @62.8600						
06/04/2018	***-**-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 @19.9100						
06/04/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @19.9100						
06/12/2018	***-**-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 @19.8300						
06/12/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @19.8300						
06/18/2018	***-**-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 @19.7900						
06/18/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @19.7900						
06/04/2018	***-**-425P - MEEKS, PERDITA	CAPITAL WORLD GROWTH AND INCOME FUN	12.50	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00074210167	BUY 0 Units @55.5900						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @51.7600	96.40	0.96	0.00	0.96	10.0	0.10
06/05/2018	***-**-1209 - NATALE, KIMBERLY ACCOUNT #: 00085764285	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.7500	50.00	0.50	0.00	0.50	10.0	0.05
06/05/2018	***-**-4392 - GARCIA, MICHELLE ACCOUNT #: 00085764363	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @51.7500	25.00	0.25	0.00	0.25	10.0	0.03
06/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @51.7500	15.00	0.15	0.00	0.15	10.0	0.02
06/05/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.7500	40.00	0.40	0.00	0.40	10.0	0.04
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.7500	13.60	0.14	0.00	0.14	10.0	0.01
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.7500	13.60	0.14	0.00	0.14	10.0	0.01
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.7500	15.30	0.15	0.00	0.15	10.0	0.02
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.7500	27.20	0.27	0.00	0.27	10.0	0.03
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.7500	27.20	0.27	0.00	0.27	10.0	0.03
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.7500	15.30	0.15	0.00	0.15	10.0	0.02
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.7500	45.00	0.45	0.00	0.45	10.0	0.05
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.7500	45.00	0.45	0.00	0.45	10.0	0.05
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.7500	36.00	0.36	0.00	0.36	10.0	0.04
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.7500	36.00	0.36	0.00	0.36	10.0	0.04
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.7500	36.00	0.36	0.00	0.36	10.0	0.04



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.7500	36.00	0.36	0.00	0.36	10.0	0.04
06/11/2018	***-**-425P - MEEKS, PERDITA ACCOUNT #: 00074210167	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @55.9700	12.50	0.63	0.00	0.63	10.0	0.06
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @52.1000	96.40	0.96	0.00	0.96	10.0	0.10
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.1000	15.00	0.15	0.00	0.15	10.0	0.02
06/14/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @51.5400	15.00	0.15	0.00	0.15	10.0	0.02
06/14/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @51.5400	15.00	0.15	0.00	0.15	10.0	0.02
06/14/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.5400	40.00	0.40	0.00	0.40	10.0	0.04
06/15/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @51.2400	96.40	0.96	0.00	0.96	10.0	0.10
06/15/2018	***-**-01UG - DIGIOVANNI, ACCOUNT #: 00087087389	CAPITAL WORLD GROWTH AND INCOME FUN BUY 3 Units @51.2400	150.00	1.50	0.00	1.50	10.0	0.15
06/18/2018	***-**-425P - MEEKS, PERDITA ACCOUNT #: 00074210167	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @54.6700	12.50	0.63	0.00	0.63	10.0	0.06
06/18/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @50.9900	15.00	0.15	0.00	0.15	10.0	0.02
06/21/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @50.4200	15.00	0.15	0.00	0.15	10.0	0.02
06/22/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @50.8500	96.40	0.96	0.00	0.96	10.0	0.10
06/22/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @50.8500	40.00	0.40	0.00	0.40	10.0	0.04
06/15/2018	***-**-385P - ARBORE, TAYLER ACCOUNT #: 00081282910	CAPITAL WORLD GROWTH AND INCOME-529 BUY 1 Units @54.3200	50.00	2.13	0.00	2.13	10.0	0.21
06/15/2018	***-**-385P - ARBORE, TAYLER ACCOUNT #: 00081283006	CAPITAL WORLD GROWTH AND INCOME-529 BUY 1 Units @54.3200	50.00	2.13	0.00	2.13	10.0	0.21



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-85IN - MAZZOLA, BARBARA	EMERGING MARKETS INNOVATORS FUND C	7.50	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00100051019	BUY 0 Units @0.0000						
06/04/2018	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. C	46.21	0.46	0.00	0.46	10.0	0.05
	ACCOUNT #: 08370596090	BUY 0 Units @0.0000						
06/04/2018	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 08370627385	BUY 0 Units @0.0000						
06/15/2018	***-**-43IN - BISHOP, EVELYN	EUROPACIFIC GROWTH FUND CLASS C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000849605	BUY 1 Units @53.4600						
06/04/2018	***-**-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @57.9300						
06/04/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @57.9300						
06/11/2018	***-**-275P - HUGGINS, EDDISON	EUROPACIFIC GROWTH FUND-A	34.68	0.35	0.00	0.35	10.0	0.04
	ACCOUNT #: 00067335866	BUY 1 Units @57.3600						
06/11/2018	***-**-275P - HUGGINS, EDDISON	EUROPACIFIC GROWTH FUND-A	51.00	0.51	0.00	0.51	10.0	0.05
	ACCOUNT #: 00067335866	BUY 1 Units @57.3600						
06/11/2018	***-**-275P - HUGGINS, EDDISON	EUROPACIFIC GROWTH FUND-A	24.96	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00067335866	BUY 0 Units @57.3600						
06/11/2018	***-**-275P - HUGGINS, EDDISON	EUROPACIFIC GROWTH FUND-A	40.80	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00067335866	BUY 1 Units @57.3600						
06/11/2018	***-**-275P - HUGGINS, EDDISON	EUROPACIFIC GROWTH FUND-A	40.80	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00067335866	BUY 1 Units @57.3600						
06/11/2018	***-**-275P - HUGGINS, EDDISON	EUROPACIFIC GROWTH FUND-A	27.74	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00067335866	BUY 0 Units @57.3600						
06/11/2018	***-**-375P - MASTROSIMONE,	EUROPACIFIC GROWTH FUND-A	56.92	0.57	0.00	0.57	10.0	0.06
	ACCOUNT #: 00067351605	BUY 1 Units @57.3600						
06/11/2018	***-**-375P - MASTROSIMONE,	EUROPACIFIC GROWTH FUND-A	99.00	0.99	0.00	0.99	10.0	0.10
	ACCOUNT #: 00067351605	BUY 2 Units @57.3600						
06/11/2018	***-**-375P - MASTROSIMONE,	EUROPACIFIC GROWTH FUND-A	45.54	0.46	0.00	0.46	10.0	0.05
	ACCOUNT #: 00067351605	BUY 1 Units @57.3600						
06/11/2018	***-**-375P - MASTROSIMONE,	EUROPACIFIC GROWTH FUND-A	79.20	0.79	0.00	0.79	10.0	0.08
	ACCOUNT #: 00067351605	BUY 1 Units @57.3600						





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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	EUROPACIFIC GROWTH FUND-A BUY 1 Units @57.3600	45.54	0.46	0.00	0.46	10.0	0.05
06/11/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	EUROPACIFIC GROWTH FUND-A BUY 1 Units @57.3600	79.20	0.79	0.00	0.79	10.0	0.08
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	EUROPACIFIC GROWTH FUND-A BUY 1 Units @57.3600	28.80	0.29	0.00	0.29	10.0	0.03
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	EUROPACIFIC GROWTH FUND-A BUY 1 Units @57.3600	28.80	0.29	0.00	0.29	10.0	0.03
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	EUROPACIFIC GROWTH FUND-A BUY 1 Units @57.3600	32.40	0.32	0.00	0.32	10.0	0.03
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	EUROPACIFIC GROWTH FUND-A BUY 1 Units @57.3600	57.60	0.58	0.00	0.58	10.0	0.06
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	EUROPACIFIC GROWTH FUND-A BUY 1 Units @57.3600	32.40	0.32	0.00	0.32	10.0	0.03
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	EUROPACIFIC GROWTH FUND-A BUY 1 Units @57.3600	57.60	0.58	0.00	0.58	10.0	0.06
06/12/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.1700	66.75	0.80	0.00	0.80	10.0	0.08
06/12/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.1700	66.75	0.80	0.00	0.80	10.0	0.08
06/18/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @55.3300	66.75	0.80	0.00	0.80	10.0	0.08
06/18/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @55.3300	66.75	0.80	0.00	0.80	10.0	0.08
06/25/2018	***-**-721I - TABER, FBO LISA ACCOUNT #: LSR010434	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	1.19	0.00	1.19	10.0	0.12
06/25/2018	***-**-721I - TABER, FBO LISA ACCOUNT #: LSR010434	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	2.46	0.00	2.46	10.0	0.25
06/04/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	FUNDAMENTAL INVESTORS-A BUY 2 Units @64.7500	133.50	1.60	0.00	1.60	10.0	0.16
06/04/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 2 Units @64.7500	133.50	1.60	0.00	1.60	10.0	0.16



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-705P - SNYDER, STEVEN	FUNDAMENTAL INVESTORS-A	8.80	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00067400189	BUY 0 Units @64.5800						
06/11/2018	***-**-705P - SNYDER, STEVEN	FUNDAMENTAL INVESTORS-A	8.80	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00067400189	BUY 0 Units @64.5800						
06/11/2018	***-**-705P - SNYDER, STEVEN	FUNDAMENTAL INVESTORS-A	9.90	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00067400189	BUY 0 Units @64.5800						
06/11/2018	***-**-705P - SNYDER, STEVEN	FUNDAMENTAL INVESTORS-A	17.60	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00067400189	BUY 0 Units @64.5800						
06/11/2018	***-**-705P - SNYDER, STEVEN	FUNDAMENTAL INVESTORS-A	17.60	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00067400189	BUY 0 Units @64.5800						
06/11/2018	***-**-705P - SNYDER, STEVEN	FUNDAMENTAL INVESTORS-A	9.90	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00067400189	BUY 0 Units @64.5800						
06/12/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063412117	BUY 2 Units @65.6200						
06/12/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063451518	BUY 2 Units @65.6200						
06/18/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063412117	BUY 2 Units @64.4800						
06/18/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063451518	BUY 2 Units @64.4800						
06/04/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @63.3500						
06/04/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @63.3500						
06/04/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @63.3500						
06/05/2018	***-**-7625 - PRINCE, ADAM	FUNDAMENTAL INVESTORS-C	75.00	0.75	0.00	0.75	10.0	0.08
	ACCOUNT #: 00085764342	BUY 1 Units @63.3800						
06/05/2018	***-**-4392 - GARCIA, MICHELLE	FUNDAMENTAL INVESTORS-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @63.3800						
06/05/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	7.00	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @63.3800						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.3800	20.40	0.20	0.00	0.20	10.0	0.02
06/11/2018	***-**-6171 - ROWE, KEVIN ACCOUNT #: 04000591484	FUNDAMENTAL INVESTORS-C BUY 4 Units @64.1400	225.00	2.25	0.00	2.25	10.0	0.23
06/11/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.1400	4.86	0.05	0.00	0.05	10.0	0.01
06/11/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.1400	9.00	0.09	0.00	0.09	10.0	0.01
06/11/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.1400	18.00	0.18	0.00	0.18	10.0	0.02
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.1400	20.40	0.20	0.00	0.20	10.0	0.02
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.1400	7.00	0.07	0.00	0.07	10.0	0.01
06/11/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.1400	5.00	0.05	0.00	0.05	10.0	0.01
06/14/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.1700	7.00	0.07	0.00	0.07	10.0	0.01
06/14/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.1700	30.60	0.31	0.00	0.31	10.0	0.03
06/14/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.1700	30.60	0.31	0.00	0.31	10.0	0.03
06/14/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.1700	7.00	0.07	0.00	0.07	10.0	0.01
06/15/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.3600	9.00	0.09	0.00	0.09	10.0	0.01
06/15/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.3600	18.00	0.18	0.00	0.18	10.0	0.02
06/15/2018	***-**-5670 - CONNORS, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @0.0000	14,315.28	143.15	0.00	143.15	10.0	14.32
06/18/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.1900	7.00	0.07	0.00	0.07	10.0	0.01



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/18/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.1900	20.40	0.20	0.00	0.20	10.0	0.02
06/18/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.1900	5.00	0.05	0.00	0.05	10.0	0.01
06/21/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.5800	30.60	0.31	0.00	0.31	10.0	0.03
06/21/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.5800	7.00	0.07	0.00	0.07	10.0	0.01
06/22/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.9500	9.00	0.09	0.00	0.09	10.0	0.01
06/22/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.9500	18.00	0.18	0.00	0.18	10.0	0.02
06/25/2018	***-**-92IR - CHEN, CYNTHIA ACCOUNT #: LSR011412	GLOBAL OPPORTUNITIES A BUY 1 Units @0.0000	0.00	1.96	0.00	1.96	10.0	0.20
06/04/2018	***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 02171800557	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
06/04/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 02171875445	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	77.02	0.77	0.00	0.77	10.0	0.08
06/08/2018	***-**-9206 - SANDER, DAVID ACCOUNT #: 02171629936	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	80.00	0.80	0.00	0.80	10.0	0.08
06/11/2018	***-**-85IN - MAZZOLA, BARBARA ACCOUNT #: 02171893331	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	15.00	0.15	0.00	0.15	10.0	0.02
06/11/2018	***-**-90FB - DIODATO, CAROL ACCOUNT #: 02171777391	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
06/11/2018	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 02171798599	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
06/11/2018	***-**-9530 - MILAM, IAN ACCOUNT #: 02171852708	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
06/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 2 Units @22.7700	45.00	0.45	0.00	0.45	10.0	0.05
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 2 Units @22.9300	45.00	0.45	0.00	0.45	10.0	0.05



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
06/15/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 2 Units @22.6500	45.00	0.45	0.00	0.45	10.0	0.05
06/22/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 2 Units @22.5300	45.00	0.45	0.00	0.45	10.0	0.05
06/04/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @40.6700	28.90	0.29	0.00	0.29	10.0	0.03
06/04/2018	***-**-564I - CARNEY, BARBARA ACCOUNT #: 00089563161	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @40.6700	10.00	0.10	0.00	0.10	10.0	0.01
06/05/2018	***-**-1209 - NATALE, KIMBERLY ACCOUNT #: 00085764285	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @40.6600	50.00	0.50	0.00	0.50	10.0	0.05
06/05/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @40.6600	12.65	0.13	0.00	0.13	10.0	0.01
06/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089722785	INVESTMENT COMPANY OF AMERICA CLASS BUY 2 Units @40.6600	73.08	0.73	0.00	0.73	10.0	0.07
06/11/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @41.1400	28.90	0.29	0.00	0.29	10.0	0.03
06/11/2018	***-**-564I - CARNEY, BARBARA ACCOUNT #: 00089563161	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @41.1400	10.00	0.10	0.00	0.10	10.0	0.01
06/11/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @41.1400	19.98	0.20	0.00	0.20	10.0	0.02
06/15/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @40.4600	28.90	0.29	0.00	0.29	10.0	0.03
06/15/2018	***-**-0578 - DIODATO, ZACHARY ACCOUNT #: 04000618224	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @40.4600	50.00	0.50	0.00	0.50	10.0	0.05
06/15/2018	***-**-4232 - DIODATO, MELISSA ACCOUNT #: 04000618245	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @40.4600	50.00	0.50	0.00	0.50	10.0	0.05
06/18/2018	***-**-564I - CARNEY, BARBARA ACCOUNT #: 00089563161	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @40.3300	10.00	0.10	0.00	0.10	10.0	0.01
06/18/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @40.3300	20.90	0.21	0.00	0.21	10.0	0.02
06/21/2018	***-**-1764 - HUGHES, KATHLEEN ACCOUNT #: 04000998901	INVESTMENT COMPANY OF AMERICA CLASS BUY 749 Units @40.0500	30,000.00	300.00	0.00	300.00	10.0	30.00



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/22/2018	***-**-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 @40.2100						
06/25/2018	***-**-631R - DIAMOND, ANN	LORD ABBETT SHORT DURATION INCOME C	0.00	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
06/04/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	77.02	0.77	0.00	0.77	10.0	0.08
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						
06/04/2018	***-**-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						
06/08/2018	***-**-9206 - SANDER, DAVID	MAIN STREET FUND C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 07024170947	BUY 0 Units @0.0000						
06/11/2018	***-**-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						
06/11/2018	***-**-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						
06/11/2018	***-**-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						
06/11/2018	***-**-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						
06/13/2018	***-**-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						
06/25/2018	***-**-631R - DIAMOND, ANN	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.72	0.00	0.72	10.0	0.07
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
06/15/2018	***-**-5670 - CONNORS,	NEW ECONOMY - C	14,315.28	143.15	0.00	143.15	10.0	14.32
		BUY 0 Units @0.0000						
06/04/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 0 Units @46.5200						
06/04/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 0 Units @46.5200						
06/11/2018	***-**-825P - MASTROSIMONE,	NEW PERSPECTIVE FUND-A	374.25	3.74	0.00	3.74	10.0	0.37
	ACCOUNT #: 00067351603	BUY 8 Units @46.2600						
06/11/2018	***-**-825P - MASTROSIMONE,	NEW PERSPECTIVE FUND-A	93.74	0.94	0.00	0.94	10.0	0.09
	ACCOUNT #: 00067351603	BUY 2 Units @46.2600						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	NEW PERSPECTIVE FUND-A BUY 2 Units @46.2600	86.19	0.86	0.00	0.86	10.0	0.09
06/11/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	NEW PERSPECTIVE FUND-A BUY 6 Units @46.2600	299.40	2.99	0.00	2.99	10.0	0.30
06/11/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	NEW PERSPECTIVE FUND-A BUY 1 Units @46.2600	58.75	0.59	0.00	0.59	10.0	0.06
06/11/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	NEW PERSPECTIVE FUND-A BUY 6 Units @46.2600	299.40	2.99	0.00	2.99	10.0	0.30
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	NEW PERSPECTIVE FUND-A BUY 1 Units @46.2600	50.88	0.51	0.00	0.51	10.0	0.05
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	NEW PERSPECTIVE FUND-A BUY 3 Units @46.2600	136.50	1.37	0.00	1.37	10.0	0.14
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	NEW PERSPECTIVE FUND-A BUY 2 Units @46.2600	109.20	1.09	0.00	1.09	10.0	0.11
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	NEW PERSPECTIVE FUND-A BUY 1 Units @46.2600	41.33	0.41	0.00	0.41	10.0	0.04
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	NEW PERSPECTIVE FUND-A BUY 1 Units @46.2600	40.81	0.41	0.00	0.41	10.0	0.04
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	NEW PERSPECTIVE FUND-A BUY 2 Units @46.2600	109.20	1.09	0.00	1.09	10.0	0.11
06/11/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	NEW PERSPECTIVE FUND-A BUY 1 Units @46.2600	32.00	0.32	0.00	0.32	10.0	0.03
06/11/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	NEW PERSPECTIVE FUND-A BUY 1 Units @46.2600	24.00	0.24	0.00	0.24	10.0	0.02
06/11/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	NEW PERSPECTIVE FUND-A BUY 0 Units @46.2600	19.20	0.19	0.00	0.19	10.0	0.02
06/11/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	NEW PERSPECTIVE FUND-A BUY 1 Units @46.2600	51.20	0.51	0.00	0.51	10.0	0.05
06/11/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	NEW PERSPECTIVE FUND-A BUY 0 Units @46.2600	19.20	0.19	0.00	0.19	10.0	0.02
06/11/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	NEW PERSPECTIVE FUND-A BUY 1 Units @46.2600	51.20	0.51	0.00	0.51	10.0	0.05



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 1 Units @46.2600	66.00	0.66	0.00	0.66	10.0	0.07
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 0 Units @46.2600	15.06	0.15	0.00	0.15	10.0	0.02
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 0 Units @46.2600	16.63	0.17	0.00	0.17	10.0	0.02
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 1 Units @46.2600	52.80	0.53	0.00	0.53	10.0	0.05
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 0 Units @46.2600	15.14	0.15	0.00	0.15	10.0	0.02
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 1 Units @46.2600	52.80	0.53	0.00	0.53	10.0	0.05
06/12/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	NEW PERSPECTIVE FUND-A BUY 0 Units @47.0200	22.25	0.27	0.00	0.27	10.0	0.03
06/12/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	NEW PERSPECTIVE FUND-A BUY 0 Units @47.0200	22.25	0.27	0.00	0.27	10.0	0.03
06/18/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	NEW PERSPECTIVE FUND-A BUY 0 Units @46.7900	22.25	0.27	0.00	0.27	10.0	0.03
06/18/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	NEW PERSPECTIVE FUND-A BUY 0 Units @46.7900	22.25	0.27	0.00	0.27	10.0	0.03
06/04/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @43.8800	10.50	0.11	0.00	0.11	10.0	0.01
06/04/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @43.8800	21.00	0.21	0.00	0.21	10.0	0.02
06/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @43.9900	7.01	0.07	0.00	0.07	10.0	0.01
06/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @43.9900	20.40	0.20	0.00	0.20	10.0	0.02
06/11/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @44.3000	5.66	0.06	0.00	0.06	10.0	0.01
06/11/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @44.3000	10.50	0.11	0.00	0.11	10.0	0.01





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BROKER #: 20  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @44.3000						
06/11/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @44.3000						
06/11/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	7.01	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @44.3000						
06/14/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	7.01	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @44.3600						
06/14/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 1 Units @44.3600						
06/14/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 1 Units @44.3600						
06/14/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	7.01	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @44.3600						
06/15/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @44.2600						
06/15/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @44.2600						
06/18/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @44.1300						
06/18/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	7.01	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @44.1300						
06/21/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 1 Units @43.5800						
06/21/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	7.01	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @43.5800						
06/21/2018	***-**-1764 - HUGHES, KATHLEEN	NEW PERSPECTIVE FUND-C	30,000.00	300.00	0.00	300.00	10.0	30.00
	ACCOUNT #: 04000998901	BUY 688 Units @43.5800						
06/22/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @43.7600						
06/22/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @43.7600						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/04/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @65.3600						
06/04/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @65.3600						
06/04/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @65.3600						
06/11/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	5.67	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @65.3600						
06/11/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @65.3600						
06/11/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @65.3600						
06/11/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @65.3600						
06/15/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @64.4700						
06/15/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @64.4700						
06/15/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @64.4700						
06/22/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @63.7000						
06/22/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @63.7000						
06/22/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @63.7000						
06/15/2018	***-**-3758 - CONNORS, DAVID	NYA JPM 529 AGGR AGE-BASE C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 77162702001	BUY 0 Units @0.0000						
06/15/2018	***-**-6793 - ESTEP, ARDEN	NYA JPM 529 AGGR AGE-BASE C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 77375699601	BUY 0 Units @0.0000						
06/15/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 COLLEGE PORT - C	45.71	0.46	0.00	0.46	10.0	0.05
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
06/15/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 CONSV GROWTH C	47.10	0.47	0.00	0.47	10.0	0.05
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
06/15/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 EQUITY INCOME PORTF C	45.71	0.46	0.00	0.46	10.0	0.05
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
06/15/2018	***-**-80IN - MOYER, COLLEEN	NYA JPM 529 MOD AGE-BASED A	25.00	0.76	0.00	0.76	10.0	0.08
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
06/15/2018	***-**-4980 - MOYER, COLLEEN	NYA JPM 529 MOD GROWTH AGE A	25.00	0.76	0.00	0.76	10.0	0.08
	ACCOUNT #: 77705588102	BUY 0 Units @0.0000						
06/15/2018	***-**-275P - ROBERTS,	NYA JPM 529 MOD GROWTH POR C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 77891325801	BUY 0 Units @0.0000						
06/08/2018	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD C	400.00	4.00	0.00	4.00	10.0	0.40
	ACCOUNT #: 06670037664	BUY 0 Units @0.0000						
06/08/2018	***-**-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						
06/08/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD C	180.00	1.80	0.00	1.80	10.0	0.18
	ACCOUNT #: 06670037686	BUY 0 Units @0.0000						
06/11/2018	***-**-3407 - SUTTELL, 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						
06/11/2018	***-**-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						
06/11/2018	***-**-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						
06/11/2018	***-**-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						
06/11/2018	***-**-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						
06/04/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	46.20	0.46	0.00	0.46	10.0	0.05
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
06/04/2018	***-**-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						
06/04/2018	***-**-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						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
06/04/2018	***-**-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						
06/11/2018	***-**-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						
06/13/2018	***-**-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						
06/25/2018	***-**-92IR - CHEN, CYNTHIA	PIMCO TOTAL RETURN CLASS A	0.00	0.24	0.00	0.24	10.0	0.02
	ACCOUNT #: LSR011412	BUY 1 Units @0.0000						
06/04/2018	***-**-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						
06/08/2018	***-**-772I - KERHAERT,	QUEST BALANCED FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02592262304	BUY 0 Units @0.0000						
06/13/2018	***-**-8706 - BOSCO, REN	QUEST BALANCED FUND C	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 02590094105	BUY 0 Units @0.0000						
06/04/2018	***-**-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						
06/11/2018	***-**-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						
06/11/2018	***-**-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						
06/25/2018	***-**-20IN - GIANGRECO, TERRY	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	104.04	0.00	104.04	10.0	10.40
	ACCOUNT #: LSR010603	BUY 1 Units @0.0000						
06/25/2018	***-**-92IR - CHEN, CYNTHIA	SELECT VALUE FUND A	0.00	1.29	0.00	1.29	10.0	0.13
	ACCOUNT #: LSR011412	BUY 1 Units @0.0000						
06/11/2018	***-**-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						
06/11/2018	***-**-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						
06/11/2018	***-**-685P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00067400188	BUY 1 Units @9.8000						
06/11/2018	***-**-685P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	298.45	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00067400188	BUY 30 Units @9.8000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	SHORT-TERM BOND FUND OF AMERICA - A BUY 1 Units @9.8000	10.50	0.11	0.00	0.11	10.0	0.01
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	SHORT-TERM BOND FUND OF AMERICA - A BUY 30 Units @9.8000	298.45	2.98	0.00	2.98	10.0	0.30
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	SHORT-TERM BOND FUND OF AMERICA - A BUY 2 Units @9.8000	22.50	0.23	0.00	0.23	10.0	0.02
06/11/2018	***-**-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
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	SHORT-TERM BOND FUND OF AMERICA - A BUY 2 Units @9.8000	18.00	0.18	0.00	0.18	10.0	0.02
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	SHORT-TERM BOND FUND OF AMERICA - A BUY 30 Units @9.8000	298.45	2.98	0.00	2.98	10.0	0.30
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	SHORT-TERM BOND FUND OF AMERICA - A BUY 2 Units @9.8000	18.00	0.18	0.00	0.18	10.0	0.02
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	SHORT-TERM BOND FUND OF AMERICA - A BUY 30 Units @9.8000	298.45	2.98	0.00	2.98	10.0	0.30
06/11/2018	***-**-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
06/13/2018	***-**-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
06/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @51.9000	48.20	0.48	0.00	0.48	10.0	0.05
06/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.1800	7.00	0.07	0.00	0.07	10.0	0.01
06/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.1800	20.40	0.20	0.00	0.20	10.0	0.02
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @52.6000	48.20	0.48	0.00	0.48	10.0	0.05
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.6000	20.40	0.20	0.00	0.20	10.0	0.02
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.6000	7.00	0.07	0.00	0.07	10.0	0.01



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/14/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.8300	7.00	0.07	0.00	0.07	10.0	0.01
06/14/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 1 Units @52.8300	30.60	0.31	0.00	0.31	10.0	0.03
06/14/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 1 Units @52.8300	30.60	0.31	0.00	0.31	10.0	0.03
06/14/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.8300	7.00	0.07	0.00	0.07	10.0	0.01
06/15/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @52.5800	48.20	0.48	0.00	0.48	10.0	0.05
06/15/2018	***-**-43IN - BISHOP, EVELYN ACCOUNT #: 04000849605	SMALLCAP WORLD FUND-C BUY 1 Units @52.5800	50.00	0.50	0.00	0.50	10.0	0.05
06/18/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.5900	7.00	0.07	0.00	0.07	10.0	0.01
06/18/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.5900	20.40	0.20	0.00	0.20	10.0	0.02
06/21/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 1 Units @52.1200	30.60	0.31	0.00	0.31	10.0	0.03
06/21/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.1200	7.00	0.07	0.00	0.07	10.0	0.01
06/22/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @52.2900	48.20	0.48	0.00	0.48	10.0	0.05
06/04/2018	***-**-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
06/08/2018	***-**-9206 - SANDER, DAVID ACCOUNT #: 02322653794	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	80.00	0.80	0.00	0.80	10.0	0.08
06/11/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 01920863291	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	10.00	0.10	0.00	0.10	10.0	0.01
06/04/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 4 Units @12.7000	44.50	0.53	0.00	0.53	10.0	0.05
06/04/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 4 Units @12.7000	44.50	0.53	0.00	0.53	10.0	0.05



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 3 Units @12.5000	35.13	0.35	0.00	0.35	10.0	0.04
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 8 Units @12.5000	94.25	0.94	0.00	0.94	10.0	0.09
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 2 Units @12.5000	28.54	0.29	0.00	0.29	10.0	0.03
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 6 Units @12.5000	75.40	0.75	0.00	0.75	10.0	0.08
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 2 Units @12.5000	28.18	0.28	0.00	0.28	10.0	0.03
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 6 Units @12.5000	75.40	0.75	0.00	0.75	10.0	0.08
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 5 Units @12.5000	60.00	0.60	0.00	0.60	10.0	0.06
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 5 Units @12.5000	60.00	0.60	0.00	0.60	10.0	0.06
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5000	48.00	0.48	0.00	0.48	10.0	0.05
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5000	48.00	0.48	0.00	0.48	10.0	0.05
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5000	48.00	0.48	0.00	0.48	10.0	0.05
06/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5000	48.00	0.48	0.00	0.48	10.0	0.05
06/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 5 Units @12.5000	59.06	0.59	0.00	0.59	10.0	0.06
06/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 6 Units @12.5000	78.75	0.79	0.00	0.79	10.0	0.08
06/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 5 Units @12.5000	58.88	0.59	0.00	0.59	10.0	0.06
06/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5000	44.16	0.44	0.00	0.44	10.0	0.04



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-3757 - MALONE, KENNETH	THE BOND FUND OF AMERICA-A	44.78	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00083474112	BUY 4 Units @12.5000						
06/11/2018	***-**-3757 - MALONE, KENNETH	THE BOND FUND OF AMERICA-A	59.71	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00083474112	BUY 5 Units @12.5000						
06/12/2018	***-**-425P - DELGAIZO, LOUISA	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063412117	BUY 4 Units @12.6900						
06/12/2018	***-**-535P - DELGAIZO,	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063451518	BUY 4 Units @12.6900						
06/18/2018	***-**-425P - DELGAIZO, LOUISA	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063412117	BUY 4 Units @12.7000						
06/18/2018	***-**-535P - DELGAIZO,	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063451518	BUY 4 Units @12.7000						
06/04/2018	***-**-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 @12.5100						
06/04/2018	***-**-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 @12.5100						
06/11/2018	***-**-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 @12.5000						
06/11/2018	***-**-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 @12.5000						
06/12/2018	***-**-625P - CENTOLA, ANITA	THE BOND FUND OF AMERICA-C	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00074256566	BUY 2 Units @12.5000						
06/15/2018	***-**-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 @12.5100						
06/15/2018	***-**-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 @12.5100						
06/22/2018	***-**-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 @12.5200						
06/22/2018	***-**-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 @12.5200						
06/15/2018	***-**-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 @50.9800						





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/04/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @54.8700						
06/04/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @54.8700						
06/04/2018	***-**-425P - MEEKS, PERDITA	THE GROWTH FUND OF AMERICA-A	12.50	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00074210167	BUY 0 Units @57.3500						
06/11/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	33.66	0.34	0.00	0.34	10.0	0.03
	ACCOUNT #: 00067335866	BUY 1 Units @54.5800						
06/11/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	49.50	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00067335866	BUY 1 Units @54.5800						
06/11/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	24.24	0.24	0.00	0.24	10.0	0.02
	ACCOUNT #: 00067335866	BUY 0 Units @54.5800						
06/11/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	39.60	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00067335866	BUY 1 Units @54.5800						
06/11/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	26.93	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00067335866	BUY 0 Units @54.5800						
06/11/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	39.60	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00067335866	BUY 1 Units @54.5800						
06/11/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	374.25	3.74	0.00	3.74	10.0	0.37
	ACCOUNT #: 00067351603	BUY 7 Units @54.5800						
06/11/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	93.74	0.94	0.00	0.94	10.0	0.09
	ACCOUNT #: 00067351603	BUY 2 Units @54.5800						
06/11/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	86.19	0.86	0.00	0.86	10.0	0.09
	ACCOUNT #: 00067351603	BUY 2 Units @54.5800						
06/11/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	299.40	2.99	0.00	2.99	10.0	0.30
	ACCOUNT #: 00067351603	BUY 5 Units @54.5800						
06/11/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	58.75	0.59	0.00	0.59	10.0	0.06
	ACCOUNT #: 00067351603	BUY 1 Units @54.5800						
06/11/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	299.40	2.99	0.00	2.99	10.0	0.30
	ACCOUNT #: 00067351603	BUY 5 Units @54.5800						
06/11/2018	***-**-375P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	56.93	0.57	0.00	0.57	10.0	0.06
	ACCOUNT #: 00067351605	BUY 1 Units @54.5800						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	THE GROWTH FUND OF AMERICA-A BUY 2 Units @54.5800	99.00	0.99	0.00	0.99	10.0	0.10
06/11/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5800	45.54	0.46	0.00	0.46	10.0	0.05
06/11/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5800	79.20	0.79	0.00	0.79	10.0	0.08
06/11/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5800	45.54	0.46	0.00	0.46	10.0	0.05
06/11/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5800	79.20	0.79	0.00	0.79	10.0	0.08
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5800	35.14	0.35	0.00	0.35	10.0	0.04
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE GROWTH FUND OF AMERICA-A BUY 2 Units @54.5800	94.25	0.94	0.00	0.94	10.0	0.09
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5800	28.53	0.29	0.00	0.29	10.0	0.03
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5800	75.40	0.75	0.00	0.75	10.0	0.08
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5800	28.18	0.28	0.00	0.28	10.0	0.03
06/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5800	75.40	0.75	0.00	0.75	10.0	0.08
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5800	28.80	0.29	0.00	0.29	10.0	0.03
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5800	28.80	0.29	0.00	0.29	10.0	0.03
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5800	32.40	0.32	0.00	0.32	10.0	0.03
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5800	57.60	0.58	0.00	0.58	10.0	0.06
06/11/2018	***-**-705P - SNYDER, STEVEN ACCOUNT #: 00067400189	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.5800	57.60	0.58	0.00	0.58	10.0	0.06



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-705P - SNYDER, STEVEN	THE GROWTH FUND OF AMERICA-A	32.40	0.32	0.00	0.32	10.0	0.03
	ACCOUNT #: 00067400189	BUY 1 Units @54.5800						
06/11/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A	44.30	0.44	0.00	0.44	10.0	0.04
	ACCOUNT #: 00083474112	BUY 1 Units @54.5800						
06/11/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A	59.06	0.59	0.00	0.59	10.0	0.06
	ACCOUNT #: 00083474112	BUY 1 Units @54.5800						
06/11/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A	44.16	0.44	0.00	0.44	10.0	0.04
	ACCOUNT #: 00083474112	BUY 1 Units @54.5800						
06/11/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A	33.12	0.33	0.00	0.33	10.0	0.03
	ACCOUNT #: 00083474112	BUY 1 Units @54.5800						
06/11/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A	33.58	0.34	0.00	0.34	10.0	0.03
	ACCOUNT #: 00083474112	BUY 1 Units @54.5800						
06/11/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A	44.78	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00083474112	BUY 1 Units @54.5800						
06/11/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00086553837	BUY 2 Units @54.5800						
06/11/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00086553837	BUY 2 Units @54.5800						
06/11/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00086553837	BUY 1 Units @54.5800						
06/11/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00086553837	BUY 1 Units @54.5800						
06/11/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00086553837	BUY 1 Units @54.5800						
06/11/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00086553837	BUY 1 Units @54.5800						
06/11/2018	***-**-1788 - SYKES, DANIEL	THE GROWTH FUND OF AMERICA-A	32.00	0.32	0.00	0.32	10.0	0.03
	ACCOUNT #: 00087870442	BUY 1 Units @54.5800						
06/11/2018	***-**-1788 - SYKES, DANIEL	THE GROWTH FUND OF AMERICA-A	24.00	0.24	0.00	0.24	10.0	0.02
	ACCOUNT #: 00087870442	BUY 0 Units @54.5800						
06/11/2018	***-**-1788 - SYKES, DANIEL	THE GROWTH FUND OF AMERICA-A	19.20	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00087870442	BUY 0 Units @54.5800						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-1788 - SYKES, DANIEL	THE GROWTH FUND OF AMERICA-A	51.20	0.51	0.00	0.51	10.0	0.05
	ACCOUNT #: 00087870442	BUY 1 Units @54.5800						
06/11/2018	***-**-1788 - SYKES, DANIEL	THE GROWTH FUND OF AMERICA-A	19.20	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00087870442	BUY 0 Units @54.5800						
06/11/2018	***-**-1788 - SYKES, DANIEL	THE GROWTH FUND OF AMERICA-A	51.20	0.51	0.00	0.51	10.0	0.05
	ACCOUNT #: 00087870442	BUY 1 Units @54.5800						
06/11/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-A	15.06	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00089254350	BUY 0 Units @54.5800						
06/11/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-A	66.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 00089254350	BUY 1 Units @54.5800						
06/11/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-A	16.63	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 00089254350	BUY 0 Units @54.5800						
06/11/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-A	52.80	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00089254350	BUY 1 Units @54.5800						
06/11/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-A	15.15	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00089254350	BUY 0 Units @54.5800						
06/11/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-A	52.80	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00089254350	BUY 1 Units @54.5800						
06/11/2018	***-**-9535 - MITCHELL,	THE GROWTH FUND OF AMERICA-A	63.00	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00089874312	BUY 1 Units @54.5800						
06/11/2018	***-**-9535 - MITCHELL,	THE GROWTH FUND OF AMERICA-A	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00089874312	BUY 2 Units @54.5800						
06/11/2018	***-**-9535 - MITCHELL,	THE GROWTH FUND OF AMERICA-A	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089874312	BUY 1 Units @54.5800						
06/11/2018	***-**-9535 - MITCHELL,	THE GROWTH FUND OF AMERICA-A	51.60	0.52	0.00	0.52	10.0	0.05
	ACCOUNT #: 00089874312	BUY 1 Units @54.5800						
06/11/2018	***-**-9535 - MITCHELL,	THE GROWTH FUND OF AMERICA-A	50.10	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089874312	BUY 1 Units @54.5800						
06/11/2018	***-**-9535 - MITCHELL,	THE GROWTH FUND OF AMERICA-A	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089874312	BUY 1 Units @54.5800						
06/11/2018	***-**-425P - MEEKS, PERDITA	THE GROWTH FUND OF AMERICA-A	12.50	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00074210167	BUY 0 Units @57.9100						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
06/12/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @55.6000						
06/12/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @55.6000						
06/14/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	51.84	1.94	0.00	1.94	10.0	0.19
	ACCOUNT #: 00086606929	BUY 1 Units @57.7000						
06/14/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	200.00	7.50	0.00	7.50	10.0	0.75
	ACCOUNT #: 00086606929	BUY 3 Units @57.7000						
06/18/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @55.8500						
06/18/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @55.8500						
06/18/2018	***-**-00IN - DIVASTA, JANINE	THE GROWTH FUND OF AMERICA-A	250.00	9.38	0.00	9.38	10.0	0.94
	ACCOUNT #: 00063669925	BUY 4 Units @57.6000						
06/18/2018	***-**-425P - MEEKS, PERDITA	THE GROWTH FUND OF AMERICA-A	12.50	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00074210167	BUY 0 Units @58.3700						
06/22/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	200.00	7.50	0.00	7.50	10.0	0.75
	ACCOUNT #: 00086606929	BUY 3 Units @57.4100						
06/22/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	51.84	1.94	0.00	1.94	10.0	0.19
	ACCOUNT #: 00086606929	BUY 1 Units @57.4100						
06/04/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	176.00	1.76	0.00	1.76	10.0	0.18
	ACCOUNT #: 00073003754	BUY 4 Units @49.9600						
06/04/2018	***-**-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 @49.9600						
06/04/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	62.26	0.62	0.00	0.62	10.0	0.06
	ACCOUNT #: 00089319958	BUY 1 Units @49.9600						
06/04/2018	***-**-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 @49.9600						
06/04/2018	***-**-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 @49.9600						
06/05/2018	***-**-4392 - GARCIA, MICHELLE	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 1 Units @50.0500						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.0500	15.00	0.15	0.00	0.15	10.0	0.02
06/05/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.0500	12.66	0.13	0.00	0.13	10.0	0.01
06/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089722785	THE GROWTH FUND OF AMERICA-C BUY 1 Units @50.0500	73.08	0.73	0.00	0.73	10.0	0.07
06/11/2018	***-**-6171 - ROWE, KEVIN ACCOUNT #: 04000591484	THE GROWTH FUND OF AMERICA-C BUY 4 Units @50.4400	225.00	2.25	0.00	2.25	10.0	0.23
06/11/2018	***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	THE GROWTH FUND OF AMERICA-C BUY 1 Units @50.4400	50.00	0.50	0.00	0.50	10.0	0.05
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 1 Units @50.4400	48.20	0.48	0.00	0.48	10.0	0.05
06/11/2018	***-**-1307 - BONACCI, ACCOUNT #: 00087952601	THE GROWTH FUND OF AMERICA-C BUY 2 Units @50.4400	100.00	1.00	0.00	1.00	10.0	0.10
06/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.4400	15.00	0.15	0.00	0.15	10.0	0.02
06/11/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.4400	10.00	0.10	0.00	0.10	10.0	0.01
06/11/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.4400	19.98	0.20	0.00	0.20	10.0	0.02
06/11/2018	***-**-50IN - BONACCI, ACCOUNT #: 00089947853	THE GROWTH FUND OF AMERICA-C BUY 2 Units @50.4400	100.00	1.00	0.00	1.00	10.0	0.10
06/11/2018	***-**-8208 - KARNS, SHANNON ACCOUNT #: 04000591533	THE GROWTH FUND OF AMERICA-C BUY 4 Units @50.4400	225.00	2.25	0.00	2.25	10.0	0.23
06/14/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.9200	15.00	0.15	0.00	0.15	10.0	0.02
06/14/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.9200	15.00	0.15	0.00	0.15	10.0	0.02
06/15/2018	***-**-3431 - SPENCER, ACCOUNT #: 04000347049	THE GROWTH FUND OF AMERICA-C BUY 2 Units @50.8300	100.00	1.00	0.00	1.00	10.0	0.10
06/15/2018	***-**-845P - MARTHALLER, ACCOUNT #: 00087023930	THE GROWTH FUND OF AMERICA-C BUY 1 Units @50.8300	60.00	0.60	0.00	0.60	10.0	0.06



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/15/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 1 Units @50.8300	48.20	0.48	0.00	0.48	10.0	0.05
06/18/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.8300	15.00	0.15	0.00	0.15	10.0	0.02
06/18/2018	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089319958	THE GROWTH FUND OF AMERICA-C BUY 1 Units @50.8300	53.17	0.53	0.00	0.53	10.0	0.05
06/18/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.8300	10.00	0.10	0.00	0.10	10.0	0.01
06/18/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.8300	20.91	0.21	0.00	0.21	10.0	0.02
06/18/2018	***-**-0006 - FORSYTH, KATHRYN ACCOUNT #: 04000650661	THE GROWTH FUND OF AMERICA-C BUY 2 Units @50.8300	86.54	0.87	0.00	0.87	10.0	0.09
06/19/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	THE GROWTH FUND OF AMERICA-C BUY 3 Units @50.6700	176.00	1.76	0.00	1.76	10.0	0.18
06/21/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.5900	15.00	0.15	0.00	0.15	10.0	0.02
06/21/2018	***-**-1764 - HUGHES, KATHLEEN ACCOUNT #: 04000998901	THE GROWTH FUND OF AMERICA-C BUY 1186 Units @50.5900	60,000.00	600.00	0.00	600.00	10.0	60.00
06/22/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 1 Units @50.6600	48.20	0.48	0.00	0.48	10.0	0.05
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.2500	13.13	0.13	0.00	0.13	10.0	0.01
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 16 Units @23.2500	373.06	3.73	0.00	3.73	10.0	0.37
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 0 Units @23.2500	10.50	0.11	0.00	0.11	10.0	0.01
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 13 Units @23.2500	298.45	2.98	0.00	2.98	10.0	0.30
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 0 Units @23.2500	10.50	0.11	0.00	0.11	10.0	0.01
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 13 Units @23.2500	298.45	2.98	0.00	2.98	10.0	0.30



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.2500	22.50	0.23	0.00	0.23	10.0	0.02
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 16 Units @23.2500	373.06	3.73	0.00	3.73	10.0	0.37
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.2500	18.00	0.18	0.00	0.18	10.0	0.02
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 13 Units @23.2500	298.45	2.98	0.00	2.98	10.0	0.30
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.2500	18.00	0.18	0.00	0.18	10.0	0.02
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 13 Units @23.2500	298.45	2.98	0.00	2.98	10.0	0.30
06/20/2018	***-**-8776 - LEVINE, TODD ACCOUNT #: 00067996697	THE INCOME FUND OF AMERICA-A BUY 4 Units @23.8500	100.00	3.75	0.00	3.75	10.0	0.38
06/11/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.6300	33.66	0.34	0.00	0.34	10.0	0.03
06/11/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.6300	49.50	0.50	0.00	0.50	10.0	0.05
06/11/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.6300	24.24	0.24	0.00	0.24	10.0	0.02
06/11/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.6300	39.60	0.40	0.00	0.40	10.0	0.04
06/11/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.6300	39.60	0.40	0.00	0.40	10.0	0.04
06/11/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.6300	26.93	0.27	0.00	0.27	10.0	0.03
06/11/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.6300	32.00	0.32	0.00	0.32	10.0	0.03
06/11/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.6300	24.00	0.24	0.00	0.24	10.0	0.02
06/11/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @41.6300	19.20	0.19	0.00	0.19	10.0	0.02





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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-1788 - SYKES, DANIEL	THE INVESTMENT COMPANY OF AMERICA-A	51.20	0.51	0.00	0.51	10.0	0.05
	ACCOUNT #: 00087870442	BUY 1 Units @41.6300						
06/11/2018	***-**-1788 - SYKES, DANIEL	THE INVESTMENT COMPANY OF AMERICA-A	19.20	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00087870442	BUY 0 Units @41.6300						
06/11/2018	***-**-1788 - SYKES, DANIEL	THE INVESTMENT COMPANY OF AMERICA-A	51.20	0.51	0.00	0.51	10.0	0.05
	ACCOUNT #: 00087870442	BUY 1 Units @41.6300						
06/11/2018	***-**-96CL - SCARPULLA,	THE INVESTMENT COMPANY OF AMERICA-A	68.00	0.68	0.00	0.68	10.0	0.07
	ACCOUNT #: 00089254350	BUY 2 Units @41.6300						
06/11/2018	***-**-96CL - SCARPULLA,	THE INVESTMENT COMPANY OF AMERICA-A	15.51	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00089254350	BUY 0 Units @41.6300						
06/11/2018	***-**-96CL - SCARPULLA,	THE INVESTMENT COMPANY OF AMERICA-A	17.14	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 00089254350	BUY 0 Units @41.6300						
06/11/2018	***-**-96CL - SCARPULLA,	THE INVESTMENT COMPANY OF AMERICA-A	54.40	0.54	0.00	0.54	10.0	0.05
	ACCOUNT #: 00089254350	BUY 1 Units @41.6300						
06/11/2018	***-**-96CL - SCARPULLA,	THE INVESTMENT COMPANY OF AMERICA-A	15.61	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00089254350	BUY 0 Units @41.6300						
06/11/2018	***-**-96CL - SCARPULLA,	THE INVESTMENT COMPANY OF AMERICA-A	54.40	0.54	0.00	0.54	10.0	0.05
	ACCOUNT #: 00089254350	BUY 1 Units @41.6300						
06/18/2018	***-**-9024 - HACKETT, ETHAN	THE NEW ECONOMY FUND-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00088123299	BUY 1 Units @44.7700						
06/15/2018	***-**-8932 - RUSH, MICHELLE	THE TAX-EXEMPT BOND FUND OF AMERICA	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000574835	BUY 4 Units @12.8000						
06/18/2018	***-**-279J - HERRMANN, KEVIN	THE TAX-EXEMPT BOND FUND OF AMERICA	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 00086046167	BUY 10 Units @12.8000						
06/07/2018	***-**-63IN - DIAMOND, ANN	U.S. GOVERNMENT SECURITIES FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085468057	BUY 4 Units @13.3000						
06/08/2018	***-**-9206 - SANDER, DAVID	VALUE FUND C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 03770488829	BUY 0 Units @0.0000						
06/11/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	374.25	3.74	0.00	3.74	10.0	0.37
	ACCOUNT #: 00067351603	BUY 8 Units @47.2200						
06/11/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	93.74	0.94	0.00	0.94	10.0	0.09
	ACCOUNT #: 00067351603	BUY 2 Units @47.2200						



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<b><u>VERRIDE TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	WASHINGTON MUTUAL INVESTORS FUND-A BUY 2 Units @47.2200	86.19	0.86	0.00	0.86	10.0	0.09
06/11/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	WASHINGTON MUTUAL INVESTORS FUND-A BUY 6 Units @47.2200	299.40	2.99	0.00	2.99	10.0	0.30
06/11/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @47.2200	58.75	0.59	0.00	0.59	10.0	0.06
06/11/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	WASHINGTON MUTUAL INVESTORS FUND-A BUY 6 Units @47.2200	299.40	2.99	0.00	2.99	10.0	0.30
06/11/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @47.2200	58.65	0.59	0.00	0.59	10.0	0.06
06/11/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	WASHINGTON MUTUAL INVESTORS FUND-A BUY 2 Units @47.2200	102.00	1.02	0.00	1.02	10.0	0.10
06/11/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @47.2200	46.92	0.47	0.00	0.47	10.0	0.05
06/11/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	WASHINGTON MUTUAL INVESTORS FUND-A BUY 2 Units @47.2200	81.60	0.82	0.00	0.82	10.0	0.08
06/11/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @47.2200	46.92	0.47	0.00	0.47	10.0	0.05
06/11/2018	***-**-375P - MASTROSIMONE, ACCOUNT #: 00067351605	WASHINGTON MUTUAL INVESTORS FUND-A BUY 2 Units @47.2200	81.60	0.82	0.00	0.82	10.0	0.08
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.2200	13.11	0.13	0.00	0.13	10.0	0.01
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	WASHINGTON MUTUAL INVESTORS FUND-A BUY 8 Units @47.2200	373.07	3.73	0.00	3.73	10.0	0.37
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.2200	10.50	0.11	0.00	0.11	10.0	0.01
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	WASHINGTON MUTUAL INVESTORS FUND-A BUY 6 Units @47.2200	298.45	2.98	0.00	2.98	10.0	0.30
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.2200	10.50	0.11	0.00	0.11	10.0	0.01
06/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	WASHINGTON MUTUAL INVESTORS FUND-A BUY 6 Units @47.2200	298.45	2.98	0.00	2.98	10.0	0.30



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ANDREW KALINOWSKI  
400 West Metro Park  
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BROKER #: 20  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.2200	22.50	0.23	0.00	0.23	10.0	0.02
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 8 Units @47.2200	373.07	3.73	0.00	3.73	10.0	0.37
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.2200	18.00	0.18	0.00	0.18	10.0	0.02
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 6 Units @47.2200	298.45	2.98	0.00	2.98	10.0	0.30
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.2200	18.00	0.18	0.00	0.18	10.0	0.02
06/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 6 Units @47.2200	298.45	2.98	0.00	2.98	10.0	0.30
06/18/2018	***-**-00IN - DIVASTA, JANINE ACCOUNT #: 00063669925	WASHINGTON MUTUAL INVESTORS FUND-A BUY 5 Units @47.2500	250.00	9.38	0.00	9.38	10.0	0.94
06/04/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	WASHINGTON MUTUAL INVESTORS FUND-C BUY 4 Units @45.8800	187.00	1.87	0.00	1.87	10.0	0.19
06/04/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @45.8800	5.00	0.05	0.00	0.05	10.0	0.01
06/05/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @45.8700	40.00	0.40	0.00	0.40	10.0	0.04
06/11/2018	***-**-54IN - FANTAUZZO, EVA ACCOUNT #: 00087406469	WASHINGTON MUTUAL INVESTORS FUND-C BUY 2 Units @46.5500	100.00	1.00	0.00	1.00	10.0	0.10
06/11/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @46.5500	5.00	0.05	0.00	0.05	10.0	0.01
06/11/2018	***-**-7645 - SUSS, PATRICK ACCOUNT #: 04000680953	WASHINGTON MUTUAL INVESTORS FUND-C BUY 54 Units @46.5500	2,500.00	25.00	0.00	25.00	10.0	2.50
06/12/2018	***-**-625P - CENTOLA, ANITA ACCOUNT #: 00074256566	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @46.5600	30.00	0.30	0.00	0.30	10.0	0.03
06/12/2018	***-**-305P - MESH, RONALD ACCOUNT #: 00074720484	WASHINGTON MUTUAL INVESTORS FUND-C BUY 9 Units @46.5600	400.00	4.00	0.00	4.00	10.0	0.40
06/14/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @46.4000	40.00	0.40	0.00	0.40	10.0	0.04



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
06/15/2018	***-***-436I - RAGO, LISA	WASHINGTON MUTUAL INVESTORS FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000456708	BUY 1 Units @44.7200						
06/18/2018	***-***-482I - MARCONI, TODD	WASHINGTON MUTUAL INVESTORS FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @44.5400						
06/19/2018	***-***-435P - BOSCO, SOFIA	WASHINGTON MUTUAL INVESTORS FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 4 Units @44.2900						
06/22/2018	***-***-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @44.2800						
06/05/2018	***-***-27IN - TINKLEPAUGH,	WELLS FGO AVTG DIVERSFD CAPITAL BLD	0.00	1.11	0.00	1.11	10.0	0.11
	ACCOUNT #: 01005412974	BUY 0 Units @0.0000						
		<b> * FREDERIC SCARPULLA SUBTOTAL *</b>	<b> \$316,512.06 </b>	<b> \$3,335.46 </b>	<b> \$0.00 </b>	<b> \$3,335.46 </b>		<b> \$334.21 </b>
<b> <u>BROKER: WILLIAM AGNELLO</u> </b>								
06/20/2018	***-***-28IN - CUP, ANDREW	APOLLO COML REAL ESTATE FIN INC COM	1,891.50	30.00	0.00	30.00	25.0	7.50
	ACCOUNT #: LSR007137	BUY 100 Units @18.9150						
06/20/2018	***-***-43IN - CUP, NICHOLAS	CHERRY HILL MTG INVNT CORP COM UNSOL	1,862.50	30.00	0.00	30.00	25.0	7.50
	ACCOUNT #: LSR006890	BUY 100 Units @18.6250						
06/25/2018	***-***-613K - HAGER	DREYFUS LIMITED TERM HIGH YIELD FUN	0.00	1.94	0.00	1.94	25.0	0.49
	ACCOUNT #: LSR006980	BUY 1 Units @0.0000						
06/25/2018	***-***-43IN - CUP, NICHOLAS	FIDELITY ADV HIGH INC ADVANTAGE CL	0.00	15.94	0.00	15.94	25.0	3.99
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
06/25/2018	***-***-11IO - CRANDALL,	FIDELITY ADV HIGH INC ADVANTAGE CL	0.00	16.82	0.00	16.82	25.0	4.21
	ACCOUNT #: LSR007145	BUY 1 Units @0.0000						
06/25/2018	***-***-657I - RIEL, KEVIN	FIDELITY ADV SMALL CAP GROWTH-CL C	0.00	6.84	0.00	6.84	25.0	1.71
	ACCOUNT #: LSR007366	BUY 1 Units @0.0000						
06/25/2018	***-***-43IN - CUP, NICHOLAS	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	16.91	0.00	16.91	25.0	4.23
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
06/25/2018	***-***-43IN - CUP, NICHOLAS	FIDELITY ADVISOR BIOTECHNOLOGY CL C	0.00	7.90	0.00	7.90	25.0	1.98
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
06/25/2018	***-***-36IO - IRWIN, CHARLES	FIDELITY ADVISOR BIOTECHNOLOGY CL C	0.00	10.79	0.00	10.79	25.0	2.70
	ACCOUNT #: LSR007200	BUY 1 Units @0.0000						
06/25/2018	***-***-657I - RIEL, KEVIN	FIDELITY ADVISOR BIOTECHNOLOGY CL C	0.00	23.75	0.00	23.75	25.0	5.94
	ACCOUNT #: LSR007366	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: WILLIAM AGNELLO (continued)</u> </b>								
06/25/2018	***-**-43IN - CUP, NICHOLAS	FIDELITY ADVISOR FUNDS 316390350	0.00	6.90	0.00	6.90	25.0	1.73
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
06/20/2018	***-**-43IN - CUP, NICHOLAS	FORD MTR CO DEL COM UNSOLICITED ORD	2,380.00	50.96	0.00	50.96	25.0	12.74
	ACCOUNT #: LSR006890	BUY 200 Units @11.9000						
06/25/2018	***-**-87IN - IRWIN, IRENE	MAIN STREET FUND A	0.00	0.07	0.00	0.07	25.0	0.02
	ACCOUNT #: LSR010100	BUY 1 Units @0.0000						
06/25/2018	***-**-59T2 - ETHEL CUP IRREV	MAINSTAY COMMON STOCK FUND CLASS A	0.00	7.42	0.00	7.42	25.0	1.86
	ACCOUNT #: LSR006912	BUY 1 Units @0.0000						
06/25/2018	***-**-28IN - CHIAVETTA,	MAINSTAY FLOATING RATE FUND CL A	0.00	2.03	0.00	2.03	25.0	0.51
	ACCOUNT #: LSR008842	BUY 1 Units @0.0000						
06/25/2018	***-**-87IN - IRWIN, IRENE	OPPENHEIMER DISCOVERY CLASS A	0.00	0.21	0.00	0.21	25.0	0.05
	ACCOUNT #: LSR010100	BUY 1 Units @0.0000						
06/20/2018	***-**-43IN - CUP, NICHOLAS	PEOPLES UTD FINL INC UNSOLICITED OR	1,872.50	37.00	0.00	37.00	25.0	9.25
	ACCOUNT #: LSR006890	BUY 100 Units @18.7250						
06/25/2018	***-**-87IN - IRWIN, IRENE	PIMCO EMERG MKTS BOND NFS	0.00	0.42	0.00	0.42	25.0	0.11
	ACCOUNT #: LSR010100	BUY 1 Units @0.0000						
06/25/2018	***-**-36IO - IRWIN, CHARLES	PIMCO FLOATING INCOME FD CL A	0.00	2.01	0.00	2.01	25.0	0.50
	ACCOUNT #: LSR007200	BUY 1 Units @0.0000						
06/25/2018	***-**-28IN - CUP, ANDREW	PIMCO GLOBAL BOND	0.00	1.64	0.00	1.64	25.0	0.41
	ACCOUNT #: LSR007137	BUY 1 Units @0.0000						
06/25/2018	***-**-28IN - CUP, ANDREW	PIMCO GLOBAL BOND	0.00	0.63	0.00	0.63	25.0	0.16
	ACCOUNT #: LSR007137	BUY 1 Units @0.0000						
06/25/2018	***-**-002I - NFS/FMTC IRA	PIMCO HIGH YIELD CLASS A	0.00	2.95	0.00	2.95	25.0	0.74
	ACCOUNT #: LSR007005	BUY 1 Units @0.0000						
06/25/2018	***-**-963I - GAMMARIELLO,	PIMCO HIGH YIELD CLASS A	0.00	3.27	0.00	3.27	25.0	0.82
	ACCOUNT #: LSR007102	BUY 1 Units @0.0000						
06/25/2018	***-**-36IO - IRWIN, CHARLES	PIMCO HIGH YIELD CLASS A	0.00	7.16	0.00	7.16	25.0	1.79
	ACCOUNT #: LSR007200	BUY 1 Units @0.0000						
06/25/2018	***-**-90IR - NFS/FMTC ROTH	PIMCO HIGH YIELD CLASS C	0.00	3.17	0.00	3.17	25.0	0.79
	ACCOUNT #: LSR007110	BUY 1 Units @0.0000						
06/25/2018	***-**-28IR - CUP, ANDREW	PIMCO HIGH YIELD CLASS C	0.00	3.24	0.00	3.24	25.0	0.81
	ACCOUNT #: LSR007129	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: WILLIAM AGNELLO (continued)</u></b>								
06/25/2018	***-**-90IR - NFS/FMTC ROTH ACCOUNT #: LSR007110	PIMCO HIGH YIELD CLASS C BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	25.0	0.31
06/25/2018	***-**-28IR - CUP, ANDREW ACCOUNT #: LSR007129	PIMCO HIGH YIELD CLASS C BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	25.0	0.31
06/25/2018	***-**-43IN - CUP, NICHOLAS ACCOUNT #: LSR006890	PIMCO REAL RETURN FUND CLASS A BUY 1 Units @0.0000	0.00	1.94	0.00	1.94	25.0	0.49
06/25/2018	***-**-28IN - CUP, ANDREW ACCOUNT #: LSR007137	PIMCO REAL RETURN FUND CLASS A BUY 1 Units @0.0000	0.00	1.69	0.00	1.69	25.0	0.42
06/25/2018	***-**-39IN - IRWIN, DIANE ACCOUNT #: LSR007234	PIMPCO GLOBAL BOND CL A BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	25.0	0.31
06/25/2018	***-**-439I - IRWIN, DIANE ACCOUNT #: LSR007250	PIMPCO GLOBAL BOND CL A BUY 1 Units @0.0000	0.00	1.12	0.00	1.12	25.0	0.28
06/25/2018	***-**-93UT - CUP CUST, MARCIE ACCOUNT #: LSR011103	PORT SERIES: EQUITY INV FD A BUY 1 Units @0.0000	0.00	0.37	0.00	0.37	25.0	0.09
* WILLIAM AGNELLO SUBTOTAL *			\$8,006.50	\$298.77	\$0.00	\$298.77		\$74.75
<b> <u>BROKER: JAMES LOMBARDO</u></b>								
06/04/2018	***-**-98CL - ACOSTA, CLIENTS ACCOUNT #: 00088153955	AMERICAN BALANCED FUND-A BUY 4 Units @28.9400	110.00	5.50	0.00	5.50	15.0	0.83
06/06/2018	***-**-2608 - GIAMAS, GREGORY ACCOUNT #: 00081315892	AMERICAN BALANCED FUND-A BUY 2 Units @28.7100	50.00	1.88	0.00	1.88	15.0	0.28
06/12/2018	***-**-2885 - BISHOP, DAVID ACCOUNT #: 00068915116	AMERICAN BALANCED FUND-A BUY 2 Units @28.8400	50.00	1.88	0.00	1.88	15.0	0.28
06/15/2018	***-**-8238 - ASMUS, MICHAEL ACCOUNT #: 00074487927	AMERICAN BALANCED FUND-A BUY 3 Units @28.6500	75.00	2.81	0.00	2.81	15.0	0.42
06/06/2018	***-**-2608 - GIAMAS, GREGORY ACCOUNT #: 00081315892	AMERICAN MUTUAL FUND-A BUY 1 Units @43.1000	50.00	1.88	0.00	1.88	15.0	0.28
06/13/2018	***-**-8806 - MABRY, REBECCA ACCOUNT #: 00082729374	CAPITAL INCOME BUILDER-A BUY 1 Units @63.3300	75.00	2.81	0.00	2.81	15.0	0.42
06/11/2018	***-**-98CL - ACOSTA, CLIENTS ACCOUNT #: 00083299252	EUROPACIFIC GROWTH FUND-A BUY 1 Units @60.3800	50.00	2.13	0.00	2.13	15.0	0.32
06/13/2018	***-**-8806 - MABRY, REBECCA ACCOUNT #: 00082729374	EUROPACIFIC GROWTH FUND-A BUY 1 Units @58.2700	75.00	2.81	0.00	2.81	15.0	0.42



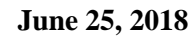
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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: JAMES LOMBARDO (continued)</u> </b>								
06/06/2018	***-**-2608 - GIAMAS, GREGORY	FUNDAMENTAL INVESTORS-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @67.4500						
06/11/2018	***-**-98CL - ACOSTA, CLIENTS	FUNDAMENTAL INVESTORS-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00083299252	BUY 1 Units @67.9800						
06/12/2018	***-**-2885 - BISHOP, DAVID	FUNDAMENTAL INVESTORS-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00068915116	BUY 1 Units @67.6900						
06/15/2018	***-**-6195 - BACKUS, THOMAS	INVESCO AMERICAN FRANCHISE FUND -CL	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 03908954377	BUY 2 Units @23.6400						
06/06/2018	***-**-2608 - GIAMAS, GREGORY	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @48.5900						
06/12/2018	***-**-2885 - BISHOP, DAVID	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00068915116	BUY 1 Units @48.4900						
06/15/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM EQUITY INCOME FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 00461190200	BUY 2 Units @26.3600						
06/20/2018	***-**-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 @12.9900						
06/06/2018	***-**-2608 - GIAMAS, GREGORY	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @57.1400						
06/12/2018	***-**-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 @57.3500						
06/18/2018	***-**-1748 - LOMBARDO, JAMES	THE GROWTH FUND OF AMERICA-A	100.00	5.00	0.00	5.00	15.0	0.75
	ACCOUNT #: 00083088053	BUY 2 Units @58.3700						
06/20/2018	***-**-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 @58.5500						
06/15/2018	***-**-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 @42.8000						
06/05/2018	***-**-3828 - DUSABLON, DANIEL	U.S. GOVERNMENT SECURITIES FUND CLA	150.00	4.50	0.00	4.50	15.0	0.68
	ACCOUNT #: 00084530390	BUY 11 Units @13.8700						
* JAMES LOMBARDO SUBTOTAL *			\$1,450.00	\$58.09	\$0.00	\$58.09		\$8.72
*** OVERRIDE TRANSACTIONS TOTAL ***			\$325,968.56	\$3,808.64	\$0.00	\$3,808.64		\$435.13



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						<b><u>BROKER COMMISSION TOTALS</u></b>		
						Broker Transactions		\$65.42
						Split Transactions		\$0.00
						Override Transactions		\$435.13
						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		\$500.55
						Year-to-date Earnings		\$60,209.87