

February 26, 2018

JEFFREY HANRETTY

8365 Seneca Turnpike
New Hartford, NY 13413

BROKER #: B08

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
DP/INT/CT	CATEGORY: MUTUAL FUNDS	BROKER T	'RANSACTIONS					
	8 ***-**-3811 - ZARNOCK, MARTIN ACCOUNT #: 00073744276	AMCAP FUND-A BUY 0 Units @32.9700	5.53	0.11	0.00	0.11	75.0	0.08
02/12/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	AMCAP FUND-A BUY 2 Units @32.9700	62.50	1.25	0.00	1.25	75.0	0.94
02/12/201	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	AMCAP FUND-A BUY 0 Units @32.9700	6.24	0.12	0.00	0.12	75.0	0.09
02/12/201	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	AMCAP FUND-A BUY 1 Units @32.9700	18.75	0.38	0.00	0.38	75.0	0.29
02/12/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	AMERICAN BALANCED FUND-A BUY 0 Units @27.5700	5.53	0.11	0.00	0.11	75.0	0.08
02/12/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	AMERICAN BALANCED FUND-A BUY 2 Units @27.5700	62.50	1.25	0.00	1.25	75.0	0.94
02/15/201	8 ***-**-5376 - CARROCK, LOUIS ACCOUNT #: 00069250497	AMERICAN BALANCED FUND-A BUY 3 Units @28.9200	100.00	5.00	0.00	5.00	75.0	3.75
02/12/201	8 ***-**-5124 - DEE, ALAN ACCOUNT #: 00086069280	AMERICAN FUNDS 2020 TARGET DATE-A BUY 1 Units @12.7900	11.25	0.23	0.00	0.23	75.0	0.17
02/12/201	8 ***-**-5124 - DEE, ALAN ACCOUNT #: 00086069280	AMERICAN FUNDS 2020 TARGET DATE-A BUY 2 Units @12.7900	25.00	0.50	0.00	0.50	75.0	0.38
02/12/201	8 ***-**-1060 - DUNLAP, DONNA ACCOUNT #: 00085629087	AMERICAN FUNDS 2020 TARGET DATE-A BUY 2 Units @13.0600	25.87	0.97	0.00	0.97	75.0	0.73
02/12/201	8 ***-**-1060 - DUNLAP, DONNA ACCOUNT #: 00085629087	AMERICAN FUNDS 2020 TARGET DATE-A BUY 4 Units @13.0600	50.00	1.88	0.00	1.88	75.0	1.41
02/15/201	8 ***-**-4459 - CRAFT, ROSEANNE ACCOUNT #: 00081619958	AMERICAN FUNDS 2020 TARGET DATE-A BUY 8 Units @13.3100	100.00	4.25	0.00	4.25	75.0	3.19
02/12/201	8 ***-**-8758 - RIOLO, LAWRENCE ACCOUNT #: 04000070058	AMERICAN FUNDS 2035 TARGET DATE-A BUY 4 Units @15.5300	58.55	2.20	0.00	2.20	75.0	1.65
02/12/201	8 ***-**-8758 - RIOLO, LAWRENCE ACCOUNT #: 04000070058	AMERICAN FUNDS 2035 TARGET DATE-A BUY 3 Units @15.5300	49.20	1.85	0.00	1.85	75.0	1.39
02/14/201	8 ***-**-3291 - REILLY, BETHANY ACCOUNT #: 04000139353	AMERICAN FUNDS 2045 TARGET DATE-A BUY 4 Units @16.0100	61.05	0.98	0.00	0.98	75.0	0.74
02/14/201	8 ***-**-3291 - REILLY, BETHANY ACCOUNT #: 04000139353	AMERICAN FUNDS 2045 TARGET DATE-A BUY 10 Units @16.0100	160.00	2.56	0.00	2.56	75.0	1.92



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PRODUCT	CATEGORY: MUTUAL FUNDS (cont	BROKER TRANSACTI	ONS (continu	ued)				
	.8 ***-**-3335 - SPENCER, DAVID ACCOUNT #: 03220677006	CAPITAL APPRECIATION C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	75.0	0.19
02/12/201	.8 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @61.4700	1.82	0.02	0.00	0.02	75.0	0.02
02/12/201	8 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @61.4700	6.25	0.06	0.00	0.06	75.0	0.05
02/12/201	.8 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @61.4700	3.70	0.04	0.00	0.04	75.0	0.03
02/12/201	.8 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @61.4700	12.50	0.13	0.00	0.13	75.0	0.10
02/12/201	.8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @61.4700	3.17	0.03	0.00	0.03	75.0	0.02
02/12/201	.8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @61.4700	35.77	0.36	0.00	0.36	75.0	0.27
02/14/201	8 ***-**-7671 - REILLY, RICHARD ACCOUNT #: 00063488673	CAPITAL INCOME BUILDER-A BUY 3 Units @63.2400	192.00	3.07	0.00	3.07	75.0	2.30
02/14/201	8 ***-**-7671 - REILLY, RICHARD ACCOUNT #: 00063488673	CAPITAL INCOME BUILDER-A BUY 0 Units @63.2400	19.20	0.31	0.00	0.31	75.0	0.23
02/14/201	8 ***-**-8307 - REILLY, KATHY ACCOUNT #: 00063488674	CAPITAL INCOME BUILDER-A BUY 3 Units @63.2400	192.00	3.07	0.00	3.07	75.0	2.30
02/14/201	8 ***-**-8307 - REILLY, KATHY ACCOUNT #: 00063488674	CAPITAL INCOME BUILDER-A BUY 0 Units @63.2400	9.60	0.15	0.00	0.15	75.0	0.11
02/14/201	8 ***-**-7671 - REILLY, RICHARD ACCOUNT #: 00063488673	CAPITAL WORLD BOND FUND-A BUY 9 Units @20.6300	192.00	3.07	0.00	3.07	75.0	2.30
02/14/201	8 ***-**-7671 - REILLY, RICHARD ACCOUNT #: 00063488673	CAPITAL WORLD BOND FUND-A BUY 1 Units @20.6300	19.20	0.31	0.00	0.31	75.0	0.23
02/12/201	.8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	CAPITAL WORLD BOND FUND-C BUY 0 Units @19.7400	1.58	0.02	0.00	0.02	75.0	0.02
02/12/201	.8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	CAPITAL WORLD BOND FUND-C BUY 1 Units @19.7400	17.88	0.18	0.00	0.18	75.0	0.14
02/12/201	.8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.4100	7.40	0.15	0.00	0.15	75.0	0.11



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			TRANSACTIONS	(continu	ıed)				
PRODUCT	CATEGORY: MUTUAL FUNDS (cont	cinued)							
02/12/201	8 ***-**-3811 - ZARNOCK, MARTIN ACCOUNT #: 00073744335	CAPITAL WORLD GROWTH AND BUY 1 Units @52.4100	INCOME FUN	31.25	0.63	0.00	0.63	75.0	0.47
02/12/201	8 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	CAPITAL WORLD GROWTH AND BUY 0 Units @52.4100	INCOME FUN	5.45	0.11	0.00	0.11	75.0	0.08
02/12/201	8 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	CAPITAL WORLD GROWTH AND BUY 1 Units @52.4100	INCOME FUN	31.25	0.63	0.00	0.63	75.0	0.47
02/12/201	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	CAPITAL WORLD GROWTH AND BUY 0 Units @53.5100	INCOME FUN	20.40	0.77	0.00	0.77	75.0	0.58
02/12/201	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	CAPITAL WORLD GROWTH AND BUY 1 Units @53.5100	INCOME FUN	53.00	1.99	0.00	1.99	75.0	1.49
02/12/201	8 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	CAPITAL WORLD GROWTH AND BUY 0 Units @50.5100	INCOME FUN	1.82	0.02	0.00	0.02	75.0	0.02
02/12/201	8 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	CAPITAL WORLD GROWTH AND BUY 0 Units @50.5100	INCOME FUN	6.25	0.06	0.00	0.06	75.0	0.05
02/12/201	8 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	CAPITAL WORLD GROWTH AND BUY 0 Units @50.5100	INCOME FUN	3.70	0.04	0.00	0.04	75.0	0.03
02/12/201	8 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	CAPITAL WORLD GROWTH AND BUY 0 Units @50.5100	INCOME FUN	12.50	0.13	0.00	0.13	75.0	0.10
02/12/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	CAPITAL WORLD GROWTH AND BUY 0 Units @50.5100	INCOME FUN	3.17	0.03	0.00	0.03	75.0	0.02
02/12/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	CAPITAL WORLD GROWTH AND BUY 1 Units @50.5100	INCOME FUN	35.75	0.36	0.00	0.36	75.0	0.27
02/15/201	8 ***-**-9311 - YOZZO, JOSEPH ACCOUNT #: 00068838818	CAPITAL WORLD GROWTH AND BUY 2 Units @54.1000	INCOME FUN	125.00	2.50	0.00	2.50	75.0	1.88
02/15/201	8 ***-**-1701 - NOFFER, THOMAS ACCOUNT #: 00083444381	CAPITAL WORLD GROWTH AND BUY 1 Units @55.5300	INCOME FUN	50.00	2.13	0.00	2.13	75.0	1.60
02/01/201	8 ***-**-8166 - SUYDAM, JERRY ACCOUNT #: 08370430485	EQUITY INCOME FUND, INC. BUY 0 Units @0.0000	C	87.50	0.88	0.00	0.88	75.0	0.66
02/15/201	8 ***-**-9311 - YOZZO, JOSEPH ACCOUNT #: 00068838818	EUROPACIFIC GROWTH FUND-ABUY 3 Units @59.6000	A	166.00	3.32	0.00	3.32	75.0	2.49
02/12/201	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	FUNDAMENTAL INVESTORS-A BUY 0 Units @63.6800		6.23	0.12	0.00	0.12	75.0	0.09



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PRODUCT	CATEGORY: MUTUAL FUNDS (cont	BROKER TRANSACT	IONS (continu	ued)				
	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	FUNDAMENTAL INVESTORS-A BUY 0 Units @63.6800	18.75	0.38	0.00	0.38	75.0	0.29
02/12/2018	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	FUNDAMENTAL INVESTORS-C BUY 0 Units @61.7000	2.90	0.03	0.00	0.03	75.0	0.02
02/12/2018	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	FUNDAMENTAL INVESTORS-C BUY 1 Units @61.7000	32.79	0.33	0.00	0.33	75.0	0.25
02/06/2018	8 ***-**-3203 - COMPION, ELLEN ACCOUNT #: 03307715985	GLOBAL FUND A BUY 0 Units @0.0000	25.00	1.19	0.00	1.19	75.0	0.89
02/12/2018	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	INCOME FUND OF AMERICA CLASS C BUY 0 Units @22.7000	2.90	0.03	0.00	0.03	75.0	0.02
02/12/2018	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	INCOME FUND OF AMERICA CLASS C BUY 1 Units @22.7000	32.79	0.33	0.00	0.33	75.0	0.25
02/14/2018	8 ***-**-8307 - REILLY, KATHY ACCOUNT #: 00063488674	INTERMEDIATE BOND FUND OF AMERICA-A BUY 14 Units @13.4400	192.00	3.07	0.00	3.07	75.0	2.30
02/14/2018	8 ***-**-8307 - REILLY, KATHY ACCOUNT #: 00063488674	INTERMEDIATE BOND FUND OF AMERICA-A BUY 1 Units @13.4400	9.60	0.15	0.00	0.15	75.0	0.11
02/01/2018	8 ***-**-1837 - WAMPFLER-SUYDAM, ACCOUNT #: 07024172894	MAIN STREET FUND C BUY 0 Units @0.0000	75.00	0.75	0.00	0.75	75.0	0.56
02/01/2018	8 ***-**-8166 - SUYDAM, JERRY ACCOUNT #: 07024172916	MAIN STREET FUND C BUY 0 Units @0.0000	87.50	0.88	0.00	0.88	75.0	0.66
02/15/2018	8 ***-**-3335 - SPENCER, DAVID ACCOUNT #: 07022642860	MAIN STREET FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	75.0	0.19
02/12/2018	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	NEW PERSPECTIVE FUND-A BUY 0 Units @44.8300	6.24	0.12	0.00	0.12	75.0	0.09
02/12/2018	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	NEW PERSPECTIVE FUND-A BUY 0 Units @44.8300	18.75	0.38	0.00	0.38	75.0	0.29
02/12/2018	8 ***-**-3811 - ZARNOCK, MARTIN ACCOUNT #: 00073744276	NEW WORLD FUND-A BUY 0 Units @68.2100	5.51	0.11	0.00	0.11	75.0	0.08
02/12/2018	8 ***-**-3811 - ZARNOCK, MARTIN ACCOUNT #: 00073744276	NEW WORLD FUND-A BUY 1 Units @68.2100	62.50	1.25	0.00	1.25	75.0	0.94
02/12/2018	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	NEW WORLD FUND-A BUY 0 Units @69.6300	20.40	0.77	0.00	0.77	75.0	0.58



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PRODUCT (CATEGORY: MUTUAL FUNDS (cont	BROKER TRANSACTI	CONS (continu	ued)				
	3 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	NEW WORLD FUND-A BUY 1 Units @69.6300	53.00	1.99	0.00	1.99	75.0	1.49
02/14/2018	3 ***-**-7671 - REILLY, RICHARD ACCOUNT #: 00063488673	NEW WORLD FUND-A BUY 3 Units @69.4800	192.00	3.07	0.00	3.07	75.0	2.30
02/14/2018	3 ***-**-7671 - REILLY, RICHARD ACCOUNT #: 00063488673	NEW WORLD FUND-A BUY 0 Units @69.4800	19.20	0.31	0.00	0.31	75.0	0.23
02/15/2018	3 ***-**-9311 - YOZZO, JOSEPH ACCOUNT #: 00068838818	NEW WORLD FUND-A BUY 2 Units @70.7800	125.00	2.50	0.00	2.50	75.0	1.88
02/12/2018	3 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	NEW WORLD FUND-C BUY 0 Units @64.2300	2.90	0.03	0.00	0.03	75.0	0.02
02/12/2018	3 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	NEW WORLD FUND-C BUY 1 Units @64.2300	32.79	0.33	0.00	0.33	75.0	0.25
02/06/2018	3 ***-**-3203 - COMPION, ELLEN ACCOUNT #: 02852429284	OPPENHEIMER CORE BOND FUND A BUY 0 Units @0.0000	25.00	1.00	0.00	1.00	75.0	0.75
02/01/2018	3 ***-**-1837 - WAMPFLER-SUYDAM, ACCOUNT #: 03322626976	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	75.00	0.75	0.00	0.75	75.0	0.56
02/01/2018	3 ***-**-1837 - WAMPFLER-SUYDAM, ACCOUNT #: 07331164691	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	75.0	0.75
02/01/2018	3 ***-**-8166 - SUYDAM, JERRY ACCOUNT #: 07331164724	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	87.50	0.88	0.00	0.88	75.0	0.66
02/06/2018	3 ***-**-3203 - COMPION, ELLEN ACCOUNT #: 02514937295	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	25.00	1.19	0.00	1.19	75.0	0.89
02/26/2018	3 ***-**-9311 - YOZZO, JOSEPH	PIM72200Q216 BUY 0 Units @0.0000	150.00	1.50	0.00	1.50	75.0	1.13
02/01/2018	3 ***-**-1837 - WAMPFLER-SUYDAM, ACCOUNT #: 02592264273	QUEST BALANCED FUND C BUY 0 Units @0.0000	75.00	0.75	0.00	0.75	75.0	0.56
02/01/2018	3 ***-**-8166 - SUYDAM, JERRY ACCOUNT #: 02592264306	QUEST BALANCED FUND C BUY 0 Units @0.0000	87.50	0.88	0.00	0.88	75.0	0.66
02/06/2018	3 ***-**-3203 - COMPION, ELLEN ACCOUNT #: 06000770220	SELECT VALUE FUND A BUY 0 Units @0.0000	25.00	1.19	0.00	1.19	75.0	0.89
02/12/2018	3 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	SMALLCAP WORLD FUND-A BUY 0 Units @56.8800	5.53	0.11	0.00	0.11	75.0	0.08



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PRODUCT	CATEGORY: MUTUAL FUNDS (cont		RANSACTIONS	(continu	ıed)				
	8 ***-**-3811 - ZARNOCK, MARTIN ACCOUNT #: 00073744276	SMALLCAP WORLD FUND-A BUY 1 Units @56.8800		62.50	1.25	0.00	1.25	75.0	0.94
02/12/201	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	SMALLCAP WORLD FUND-A BUY 0 Units @56.8800		6.24	0.12	0.00	0.12	75.0	0.09
02/12/201	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	SMALLCAP WORLD FUND-A BUY 0 Units @56.8800		18.75	0.38	0.00	0.38	75.0	0.29
02/12/201	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	SMALLCAP WORLD FUND-A BUY 0 Units @58.0700		20.40	0.77	0.00	0.77	75.0	0.58
02/12/201	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	SMALLCAP WORLD FUND-A BUY 1 Units @58.0700		53.00	1.99	0.00	1.99	75.0	1.49
02/12/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	SMALLCAP WORLD FUND-C BUY 0 Units @48.7400		2.90	0.03	0.00	0.03	75.0	0.02
02/12/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	SMALLCAP WORLD FUND-C BUY 1 Units @48.7400		32.79	0.33	0.00	0.33	75.0	0.25
02/12/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE BOND FUND OF AMERICA-A BUY 1 Units @12.9500		7.40	0.15	0.00	0.15	75.0	0.11
02/12/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE BOND FUND OF AMERICA-A BUY 2 Units @12.9500		31.25	0.63	0.00	0.63	75.0	0.47
02/12/201	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	THE BOND FUND OF AMERICA-A BUY 2 Units @13.1200		20.40	0.61	0.00	0.61	75.0	0.46
02/12/201	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	THE BOND FUND OF AMERICA-A BUY 4 Units @13.1200		53.00	1.59	0.00	1.59	75.0	1.19
02/14/201	8 ***-**-8307 - REILLY, KATHY ACCOUNT #: 00063488674	THE BOND FUND OF AMERICA-A BUY 15 Units @12.8300		192.00	3.07	0.00	3.07	75.0	2.30
02/14/201	8 ***-**-8307 - REILLY, KATHY ACCOUNT #: 00063488674	THE BOND FUND OF AMERICA-A BUY 1 Units @12.8300		9.60	0.15	0.00	0.15	75.0	0.11
02/15/201	8 ***-**-9311 - YOZZO, JOSEPH ACCOUNT #: 00068838818	THE BOND FUND OF AMERICA-A BUY 10 Units @12.9100		125.00	2.50	0.00	2.50	75.0	1.88
02/12/201	8 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	THE BOND FUND OF AMERICA-C BUY 0 Units @12.6300		1.80	0.02	0.00	0.02	75.0	0.02
02/12/201	8 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	THE BOND FUND OF AMERICA-C BUY 0 Units @12.6300		6.25	0.06	0.00	0.06	75.0	0.05



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PRODUCT	CATEGORY: MUTUAL FUNDS (cont	BROKER TRANSACTION	ONS (contin	ued)				
	8 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	THE BOND FUND OF AMERICA-C BUY 0 Units @12.6300	3.71	0.04	0.00	0.04	75.0	0.03
02/12/201	8 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	THE BOND FUND OF AMERICA-C BUY 1 Units @12.6300	12.50	0.13	0.00	0.13	75.0	0.10
02/12/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	THE BOND FUND OF AMERICA-C BUY 0 Units @12.6300	2.39	0.02	0.00	0.02	75.0	0.02
02/12/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	THE BOND FUND OF AMERICA-C BUY 2 Units @12.6300	26.83	0.27	0.00	0.27	75.0	0.20
02/12/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE GROWTH FUND OF AMERICA-A BUY 0 Units @51.8800	7.40	0.15	0.00	0.15	75.0	0.11
02/12/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE GROWTH FUND OF AMERICA-A BUY 1 Units @51.8800	31.25	0.63	0.00	0.63	75.0	0.47
02/12/201	8 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	THE GROWTH FUND OF AMERICA-A BUY 0 Units @51.8800	5.45	0.11	0.00	0.11	75.0	0.08
02/12/201	8 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	THE GROWTH FUND OF AMERICA-A BUY 1 Units @51.8800	31.25	0.63	0.00	0.63	75.0	0.47
02/12/201	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	THE GROWTH FUND OF AMERICA-A BUY 0 Units @52.9600	20.40	0.77	0.00	0.77	75.0	0.58
02/12/201	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.9600	53.00	1.99	0.00	1.99	75.0	1.49
02/14/201	8 ***-**-7671 - REILLY, RICHARD ACCOUNT #: 00063488673	THE GROWTH FUND OF AMERICA-A BUY 4 Units @52.7000	192.00	3.07	0.00	3.07	75.0	2.30
02/14/201	8 ***-**-7671 - REILLY, RICHARD ACCOUNT #: 00063488673	THE GROWTH FUND OF AMERICA-A BUY 0 Units @52.7000	19.20	0.31	0.00	0.31	75.0	0.23
02/14/201	8 ***-**-8307 - REILLY, KATHY ACCOUNT #: 00063488674	THE GROWTH FUND OF AMERICA-A BUY 4 Units @52.7000	192.00	3.07	0.00	3.07	75.0	2.30
02/14/201	8 ***-**-8307 - REILLY, KATHY ACCOUNT #: 00063488674	THE GROWTH FUND OF AMERICA-A BUY 0 Units @52.7000	9.60	0.15	0.00	0.15	75.0	0.11
02/15/201	8 ***-**-1701 - NOFFER, THOMAS ACCOUNT #: 00083444381	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.0100	50.00	2.13	0.00	2.13	75.0	1.60
02/12/201	8 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	THE GROWTH FUND OF AMERICA-C BUY 0 Units @46.8700	1.82	0.02	0.00	0.02	75.0	0.02



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JEFFREY HANRETTY

8365 Seneca Turnpike
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DATE	CLIENT	INVESTMENT		ESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
PRODUCT (CATEGORY: MUTUAL FUNDS (cont	·	RANSACTIONS	(continu	ued)				
	3 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	THE GROWTH FUND OF AMERICA-C BUY 0 Units @46.8700		6.25	0.06	0.00	0.06	75.0	0.05
02/12/2018	3 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	THE GROWTH FUND OF AMERICA-C BUY 0 Units @46.8700		3.70	0.04	0.00	0.04	75.0	0.03
02/12/2018	3 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	THE GROWTH FUND OF AMERICA-C BUY 0 Units @46.8700		12.50	0.13	0.00	0.13	75.0	0.10
02/12/2018	3 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	THE GROWTH FUND OF AMERICA-C BUY 0 Units @46.8700		2.38	0.02	0.00	0.02	75.0	0.02
02/12/2018	3 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	THE GROWTH FUND OF AMERICA-C BUY 1 Units @46.8700		26.83	0.27	0.00	0.27	75.0	0.20
02/12/2018	3 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE INCOME FUND OF AMERICA-ABUY 0 Units @23.6000	A	7.38	0.15	0.00	0.15	75.0	0.11
02/12/2018	3 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE INCOME FUND OF AMERICA-ABUY 1 Units @23.6000	A	31.25	0.63	0.00	0.63	75.0	0.47
02/12/2018	3 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	THE INCOME FUND OF AMERICA-ABUY 0 Units @23.6000	A	5.45	0.11	0.00	0.11	75.0	0.08
02/12/2018	3 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	THE INCOME FUND OF AMERICA-ABUY 1 Units @23.6000	A	31.25	0.63	0.00	0.63	75.0	0.47
02/14/2018	3 ***-**-7671 - REILLY, RICHARD ACCOUNT #: 00063488673	U.S. GOVERNMENT SECURITIES F BUY 14 Units @13.6400	FUND CLA	192.00	3.07	0.00	3.07	75.0	2.30
02/14/2018	3 ***-**-7671 - REILLY, RICHARD ACCOUNT #: 00063488673	U.S. GOVERNMENT SECURITIES F BUY 1 Units @13.6400	FUND CLA	19.20	0.31	0.00	0.31	75.0	0.23
02/14/2018	3 ***-**-8307 - REILLY, KATHY ACCOUNT #: 00063488674	U.S. GOVERNMENT SECURITIES F BUY 14 Units @13.6400	FUND CLA	192.00	3.07	0.00	3.07	75.0	2.30
02/14/2018	3 ***-**-8307 - REILLY, KATHY ACCOUNT #: 00063488674	U.S. GOVERNMENT SECURITIES F BUY 1 Units @13.6400	FUND CLA	9.60	0.15	0.00	0.15	75.0	0.11
02/12/2018	3 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	U.S. GOVERNMENT SECURITIES F BUY 0 Units @13.4000	FUND-C	2.11	0.02	0.00	0.02	75.0	0.02
02/12/2018	3 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	U.S. GOVERNMENT SECURITIES F BUY 2 Units @13.4000	FUND-C	23.85	0.24	0.00	0.24	75.0	0.18
02/12/2018	3 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	WASHINGTON MUTUAL INVESTORS BUY 0 Units @46.5900	FUND-A	5.45	0.11	0.00	0.11	75.0	0.08



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
PRODUCT	CATEGORY: MUTUAL FUNDS (cont	BROKER TRANSACTI	ONS (contin	ued)				
	18 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @46.5900	31.25	0.63	0.00	0.63	75.0	0.47
		* MUTUAL FUNDS SUBTOTAL *	\$5,782.89	\$112.86	\$0.00	\$112.86		\$84.67
PRODUCT	CATEGORY: MUTUAL FUND 12B1 1	TRAILS						
02/20/201	18 ***-**-491I - JONES, CECILE ACCOUNT #: LSR012023	AIM GLOBAL AGGRESSIVE GROWTH FUND C BUY 1 Units @0.0000	0.00	2.05	0.00	2.05	75.0	1.54
02/26/201	18 ***-**-949I - ZAGER, YVONNE ACCOUNT #: LSR012050	ALLIANZ OCC RENAISSANCE FUND CLASS BUY 1 Units @0.0000	0.00	4.58	0.00	4.58	75.0	3.44
02/20/201	18 ***-**-84IN - ROBINSON, CHERYI ACCOUNT #: LSR012404	AMERICAN FUNDS 2025 TARGET DATE-A BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	75.0	0.70
02/20/201	18 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: LSR012021	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	3.23	0.00	3.23	75.0	2.42
02/20/201	18 ***-**-24IO - ALLEN, GERTRUDE ACCOUNT #: LSR012146	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	4.35	0.00	4.35	75.0	3.26
02/20/201	18 ***-**-89IN - CAPPELLI, ACCOUNT #: LSR012125	CAPITAL INCOME BUILDER-F1 BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	75.0	0.24
02/20/201	18 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: LSR012021	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	2.61	0.00	2.61	75.0	1.96
02/20/201	18 ***-**-84IN - ROBINSON, CHERYI ACCOUNT #: LSR012404	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	75.0	0.09
02/20/201	18 ***-**-89IN - CAPPELLI, ACCOUNT #: LSR012125	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 1 Units @0.0000	0.00	0.28	0.00	0.28	75.0	0.21
02/20/201	18 ***-**-33IN - CHRISTIANO, ACCOUNT #: LSR012034	COLUMBIA DISCIPLINED CORE A BUY 1 Units @0.0000	0.00	26.72	0.00	26.72	75.0	20.04
02/20/201	18 ***-**-633J - CHRISTIANO, ACCOUNT #: LSR012035	COLUMBIA DISCIPLINED CORE A BUY 1 Units @0.0000	0.00	16.06	0.00	16.06	75.0	12.05
02/01/201	18 ***-**-1837 - WAMPFLER-SUYDAM, ACCOUNT #: 02870496166	CORE BOND FND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	75.0	0.19
02/20/201	18 ***-**-84IN - ROBINSON, CHERYI ACCOUNT #: LSR012404	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	75.0	0.08
02/20/201	18 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: LSR012021	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.72	0.00	1.72	75.0	1.29

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PRODUCT	CATEGORY: MUTUAL FUND 12B1	BROKER TRANSACTI	ONS (contin	ued)				
	.8 ***-**-381J - ZARNOCK, MARTIN ACCOUNT #: LSR012033	` _	0.00	1.76	0.00	1.76	75.0	1.32
02/20/201	8 ***-**-84IN - ROBINSON, CHERYI ACCOUNT #: LSR012404	L FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	0.16	0.00	0.16	75.0	0.12
02/20/201	8 ***-**-2410 - ALLEN, GERTRUDE ACCOUNT #: LSR012146	INTERMEDIATE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	75.0	0.77
02/20/201	8 ***-**-491I - JONES, CECILE ACCOUNT #: LSR012023	INVESCO STRUCTURED CORE FUND -CLASS BUY 1 Units @0.0000	0.00	1.88	0.00	1.88	75.0	1.41
02/26/201	8 ***-**-781I - GOULD, ROBERT ACCOUNT #: LSR012003	LORD ABBETT AFFILIATED CLASS C BUY 1 Units @0.0000	0.00	14.34	0.00	14.34	75.0	10.76
02/20/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: LSR012021	NEW WORLD FUND-A BUY 1 Units @0.0000	0.00	1.61	0.00	1.61	75.0	1.21
02/20/201	8 ***-**-84IN - ROBINSON, CHERYI ACCOUNT #: LSR012404	L NEW WORLD FUND-A BUY 1 Units @0.0000	0.00	0.15	0.00	0.15	75.0	0.11
02/26/201	8 ***-**-84IN - ROBINSON, CHERYI ACCOUNT #: LSR012404	L OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	75.0	0.09
02/26/201	8 ***-**-781I - GOULD, ROBERT ACCOUNT #: LSR012003	PUTNAM EQUITY INCOME FUND-M BUY 1 Units @0.0000	0.00	5.32	0.00	5.32	75.0	3.99
02/26/201	8 ***-**-13IN - KUPIEC, RICHARD ACCOUNT #: LSR012014	ROCHESTER FUND MUNICIPALS A BUY 1 Units @0.0000	0.00	1.70	0.00	1.70	75.0	1.28
02/26/201	8 ***-**-84IN - ROBINSON, CHERYI ACCOUNT #: LSR012404	L SELECT VALUE FUND A BUY 1 Units @0.0000	0.00	0.13	0.00	0.13	75.0	0.10
02/20/201	8 ***-**-781I - GOULD, ROBERT ACCOUNT #: LSR012003	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	3.96	0.00	3.96	75.0	2.97
02/20/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: LSR012021	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	3.23	0.00	3.23	75.0	2.42
02/20/201	8 ***-**-84IN - ROBINSON, CHERYI ACCOUNT #: LSR012404	L SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.13	0.00	0.13	75.0	0.10
02/20/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: LSR012021	THE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.16	0.00	2.16	75.0	1.62
02/20/201	.8 ***-**-3811 - ZARNOCK, MARTIN ACCOUNT #: LSR012021	THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	4.86	0.00	4.86	75.0	3.65

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TRANSACTI	ONS (continu	ued)				
PRODUCT	CATEGORY: MUTUAL FUND 12B1	TRAILS (continued)						
02/20/201	L8 ***-**-84IN - ROBINSON, CHER ACCOUNT #: LSR012404	YL THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	0.13	0.00	0.13	75.0	0.10
02/20/201	L8 ***-**-381J - ZARNOCK, MARTI ACCOUNT #: LSR012033	N THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.35	0.00	1.35	75.0	1.01
02/20/201	18 ***-**-2410 - ALLEN, GERTRUD ACCOUNT #: LSR012146	E THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	3.82	0.00	3.82	75.0	2.87
02/20/201	18 ***-**-89IN - CAPPELLI, ACCOUNT #: LSR012125	THE INCOME FUND OF AMERICA-F1 BUY 1 Units @0.0000	0.00	0.43	0.00	0.43	75.0	0.32
02/20/201	8 ***-**-84IN - ROBINSON, CHER ACCOUNT #: LSR012404	YL THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	75.0	0.05
02/20/201	8 ***-**-89IN - CAPPELLI, ACCOUNT #: LSR012125	THE INVESTMENT COMPANY OF AMERICA-F BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	75.0	0.22
02/20/201	8 ***-**-381J - ZARNOCK, MARTI ACCOUNT #: LSR012033	N U.S. GOVERNMENT SECURITIES FUND CLA BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	75.0	0.50
02/26/201	8 ***-**-381I - ZARNOCK, MARTI ACCOUNT #: LSR012021	N VOYA SMALL CAP OPPORTUNITIES CL C BUY 1 Units @0.0000	0.00	10.61	0.00	10.61	75.0	7.96
02/26/201	8 ***-**-381J - ZARNOCK, MARTI ACCOUNT #: LSR012033	N VOYA SMALL CAP OPPORTUNITIES CL C BUY 1 Units @0.0000	0.00	12.00	0.00	12.00	75.0	9.00
02/20/201	8 ***-**-381I - ZARNOCK, MARTI ACCOUNT #: LSR012021	N WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @0.0000	0.00	1.44	0.00	1.44	75.0	1.08
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$25.00	\$136.66	\$0.00	\$136.66		\$102.54
		*** BROKER TRANSACTIONS TOTAL ***	\$5,807.89	\$249.52	\$0.00	\$249.52		\$187.21



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8365 Seneca Turnpike New Hartford, NY 13413 BROKER #: B08

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
						BROKER COMMI	SSION	TOTALS
					Brok	er Transactions		\$187.21
					Spl	it Transactions		\$0.00
					Overri	de Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
					Prior	Period Balance		\$0.00
					F	INRA Assessment		\$0.00
					i	SIPC Assessment		\$0.00
					Net Co	mmission Earned		\$187.21
					Year-to	o-date Earnings		\$0.00