

STATEMENT

January 20, 2018

NORM PIETTE
2911 Su Siempre Place
SUITE 620
Escondido, CA 92025

BROKER #: 143
BRANCH:

COMMISSION STATEMENT for NORM PIETTE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

11/15/2017	#00086988893	HOROWITZ, LEE	AMCAP FUND-529A	50.00	1.38	93.0	0.00	1.28	0.00	1.28
11/15/2017	#00086988893	HOROWITZ, LEE	CAPITAL WORLD BOND FUND-529A	50.00	1.38	93.0	0.00	1.28	0.00	1.28
11/16/2017	#01457799623	ROHMER, STEVEN	FIDELITY ADV NEW INSIGHTS FD CL T	150.00	4.50	93.0	0.00	4.19	0.00	4.19
11/16/2017	#01479116327	JACOBS, DUSTIN	FIDELITY ADV NEW INSIGHTS-CL A	225.00	8.44	93.0	0.00	7.85	0.00	7.85
11/20/2017	#01475349922	SMITH, JOSH	FIDELITY ADV INDUSTRIALS-CL C	100.00	1.00	93.0	0.00	0.93	0.00	0.93
11/27/2017	#01425568712	MERRILL, TODD	FIDELITY ADV NEW INSIGHTS-CL A	350.00	9.63	93.0	0.00	8.96	0.00	8.96
12/05/2017	#01440268678	AZCONA, VALERIE	FA 529 PORT 2025-CL A	50.00	2.50	93.0	0.00	2.33	0.00	2.33
12/13/2017	#00088670069		AMCAP FUND INC CLASS A	100.00	2.00	93.0	0.00	1.86	0.00	1.86
12/13/2017	#00088670069		AMCAP FUND INC CLASS A	100.00	2.00	93.0	0.00	1.86	0.00	1.86
12/13/2017	#00067617189	MERRILL, TODD	GROWTH FUND AMERICA INC CLASS A	150.00	3.00	93.0	0.00	2.79	0.00	2.79
12/13/2017	#00067617189	MERRILL, TODD	GROWTH FUND AMERICA INC CLASS A	150.00	3.00	93.0	0.00	2.79	0.00	2.79
12/13/2017	#00082724941	LAKE, JOSHUA	GROWTH FUND AMERICA INC CLASS A	50.00	1.00	93.0	0.00	0.93	0.00	0.93
12/13/2017	#00082724941	LAKE, JOSHUA	GROWTH FUND AMERICA INC CLASS A	50.00	1.00	93.0	0.00	0.93	0.00	0.93
12/15/2017	#00086988893	HOROWITZ, LEE	AMCAP FUND-529A	50.00	1.38	93.0	0.00	1.28	0.00	1.28
12/15/2017	#00086988893	HOROWITZ, LEE	CAPITAL WORLD BOND FUND-529A	50.00	1.38	93.0	0.00	1.28	0.00	1.28
12/18/2017	#00088670069		AMCAP FUND INC CLASS A	100.00	2.00	93.0	0.00	1.86	0.00	1.86
12/18/2017	#01475349922	SMITH, JOSH	FIDELITY ADV INDUSTRIALS-CL C	100.00	1.00	93.0	0.00	0.93	0.00	0.93
12/18/2017	#01457799623	ROHMER, STEVEN	FIDELITY ADV NEW INSIGHTS FD CL T	150.00	4.50	93.0	0.00	4.19	0.00	4.19
12/18/2017	#01479116327	JACOBS, DUSTIN	FIDELITY ADV NEW INSIGHTS-CL A	225.00	8.44	93.0	0.00	7.85	0.00	7.85
12/18/2017	#00067617189	MERRILL, TODD	GROWTH FUND AMERICA INC CLASS A	150.00	3.00	93.0	0.00	2.79	0.00	2.79
12/18/2017	#00082724941	LAKE, JOSHUA	GROWTH FUND AMERICA INC CLASS A	50.00	1.00	93.0	0.00	0.93	0.00	0.93
12/26/2017	#01425568712	MERRILL, TODD	FIDELITY ADV NEW INSIGHTS-CL A	350.00	9.63	93.0	0.00	8.96	0.00	8.96
* MUTUAL FUNDS SUBTOTAL *				\$2,800.00	\$73.16		\$0.00	\$68.05	\$0.00	\$68.05

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/01/2017	#00088670069		AMCAP FUND INC CLASS A	0.00	1.90	93.0	0.00	1.77	0.00	1.77
12/01/2017	#00067170085	SULLIVAN,	AMCAP FUND INC CLASS A	0.00	25.06	93.0	0.00	23.31	0.00	23.31
12/01/2017	#00067874643	SULLIVAN,	AMCAP FUND INC CLASS A	0.00	40.66	93.0	0.00	37.81	0.00	37.81

COMMISSION STATEMENT for NORM PIETTE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017	#00073844264	SKALKA, YVETTE	AMCAP FUND INC CLASS A	0.00	3.26	93.0	0.00	3.03	3.03
12/01/2017	#00074041373	HOROWITZ, LEE	AMCAP FUND INC CLASS A	0.00	14.52	93.0	0.00	13.50	13.50
12/01/2017	#00075396124	PIETTE, RAOUL	AMCAP FUND INC CLASS A	0.00	6.49	93.0	0.00	6.04	6.04
12/01/2017	#00075396163	PIETTE, BARBARA	AMCAP FUND INC CLASS A	0.00	6.44	93.0	0.00	5.99	5.99
12/01/2017	#04000165808	PIETTE, RAOUL	AMCAP FUND INC CLASS A	0.00	0.73	93.0	0.00	0.68	0.68
12/01/2017	#00087642427	WESTFALL, FRED	AMCAP FUND INC CLASS A	0.00	11.83	93.0	0.00	11.00	11.00
12/01/2017	#00088043003		AMCAP FUND INC CLASS A	0.00	3.00	93.0	0.00	2.79	2.79
12/01/2017	#00088307894	AZCONA, ALAIN	AMCAP FUND INC CLASS A	0.00	18.77	93.0	0.00	17.46	17.46
12/01/2017	#00088485639	SKALKA, YVETTE	AMCAP FUND INC CLASS A	0.00	3.06	93.0	0.00	2.85	2.85
12/01/2017	#00089286851		AMCAP FUND INC CLASS A	0.00	7.28	93.0	0.00	6.77	6.77
12/01/2017	#00089286872		AMCAP FUND INC CLASS A	0.00	7.29	93.0	0.00	6.78	6.78
12/01/2017	#00089286881		AMCAP FUND INC CLASS A	0.00	7.14	93.0	0.00	6.64	6.64
12/01/2017	#00086057920	GLASER, WILLIAM	AMCAP FUND INC CLASS A	0.00	10.51	93.0	0.00	9.77	9.77
12/01/2017	#00085515224	KANODE, TIMOTHY	AMCAP FUND INC CLASS A	0.00	7.31	93.0	0.00	6.80	6.80
12/01/2017	#00086988893	HOROWITZ, LEE	AMCAP FUND-529A	0.00	1.35	93.0	0.00	1.26	1.26
12/01/2017	#00087004800	HOROWITZ	AMCAP FUND-529A	0.00	2.44	93.0	0.00	2.27	2.27
12/01/2017	#00067617189	MERRILL, TODD	AMERICAN BALANCED FUND INC CLASS A	0.00	87.65	93.0	0.00	81.51	81.51
12/01/2017	#00082214617	BOSSALLER, EARL	AMERICAN BALANCED FUND INC CLASS A	0.00	3.79	93.0	0.00	3.52	3.52
12/01/2017	#00066735063	07/14/2008, UDT	AMERICAN BALANCED FUND INC CLASS A	0.00	11.08	93.0	0.00	10.30	10.30
12/01/2017	#00067797110	WESTFALL, FRED	AMERICAN BALANCED FUND INC CLASS A	0.00	55.33	93.0	0.00	51.46	51.46
12/01/2017	#00068725121	ANDOW-HEGLE,	AMERICAN BALANCED FUND INC CLASS A	0.00	74.98	93.0	0.00	69.73	69.73
12/01/2017	#00073605349	KREIGER, ROBERT	AMERICAN BALANCED FUND INC CLASS A	0.00	9.63	93.0	0.00	8.96	8.96
12/01/2017	#00073679183	KREIGER, ROBERT	AMERICAN BALANCED FUND INC CLASS A	0.00	4.50	93.0	0.00	4.19	4.19
12/01/2017	#00074504463	HEGLE, RODNEY	AMERICAN BALANCED FUND INC CLASS A	0.00	24.02	93.0	0.00	22.34	22.34
12/01/2017	#04000031035		AMERICAN BALANCED FUND INC CLASS A	0.00	1.10	93.0	0.00	1.02	1.02
12/01/2017	#00089286851		AMERICAN BALANCED FUND INC CLASS A	0.00	42.89	93.0	0.00	39.89	39.89
12/01/2017	#00089286872		AMERICAN BALANCED FUND INC CLASS A	0.00	42.95	93.0	0.00	39.94	39.94
12/01/2017	#00089286881		AMERICAN BALANCED FUND INC CLASS A	0.00	42.05	93.0	0.00	39.11	39.11
12/01/2017	#00089577414	PIETTE, SHARON	AMERICAN BALANCED FUND INC CLASS A	0.00	2.33	93.0	0.00	2.17	2.17
12/01/2017	#00089578265		AMERICAN BALANCED FUND INC CLASS A	0.00	1.28	93.0	0.00	1.19	1.19
12/01/2017	#00089761196		AMERICAN BALANCED FUND INC CLASS A	0.00	11.88	93.0	0.00	11.05	11.05
12/01/2017	#00081138051	WESTFALL, FRED	AMERICAN BALANCED FUND INC CLASS A	0.00	40.87	93.0	0.00	38.01	38.01
12/01/2017	#00081138294	WESTFALL, TERRI	AMERICAN BALANCED FUND INC CLASS A	0.00	29.50	93.0	0.00	27.44	27.44
12/01/2017	#00081782394		AMERICAN BALANCED FUND INC CLASS A	0.00	7.07	93.0	0.00	6.58	6.58
12/01/2017	#00083419629	REIDER, MICHAEL	AMERICAN BALANCED FUND INC CLASS A	0.00	15.03	93.0	0.00	13.98	13.98
12/01/2017	#00083419645	REIDER, MICHAEL	AMERICAN BALANCED FUND INC CLASS A	0.00	33.42	93.0	0.00	31.08	31.08

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017	#00073844264	SKALKA, YVETTE	AMERICAN FUNDS INCOME SERIES U S GO	0.00	8.24	93.0	0.00	7.66	7.66
12/01/2017	#00088485639	SKALKA, YVETTE	AMERICAN FUNDS INCOME SERIES U S GO	0.00	8.17	93.0	0.00	7.60	7.60
12/01/2017	#00083721903	WRAY, PATRICKA	AMERICAN HIGH INCOME TR SH BEN INT	0.00	12.48	93.0	0.00	11.61	11.61
12/01/2017	#00067170085	SULLIVAN,	AMERICAN HIGH INCOME TR SH BEN INT	0.00	8.56	93.0	0.00	7.96	7.96
12/01/2017	#00067797110	WESTFALL, FRED	AMERICAN HIGH INCOME TR SH BEN INT	0.00	2.01	93.0	0.00	1.87	1.87
12/01/2017	#00067874643	SULLIVAN,	AMERICAN HIGH INCOME TR SH BEN INT	0.00	12.38	93.0	0.00	11.51	11.51
12/01/2017	#04000165808	PIETTE, RAOUL	AMERICAN HIGH INCOME TR SH BEN INT	0.00	0.66	93.0	0.00	0.61	0.61
12/01/2017	#00088043003		AMERICAN HIGH INCOME TR SH BEN INT	0.00	1.58	93.0	0.00	1.47	1.47
12/01/2017	#00089286851		AMERICAN HIGH INCOME TR SH BEN INT	0.00	4.15	93.0	0.00	3.86	3.86
12/01/2017	#00089286872		AMERICAN HIGH INCOME TR SH BEN INT	0.00	4.15	93.0	0.00	3.86	3.86
12/01/2017	#00089286881		AMERICAN HIGH INCOME TR SH BEN INT	0.00	4.07	93.0	0.00	3.79	3.79
12/01/2017	#00081138051	WESTFALL, FRED	AMERICAN HIGH INCOME TR SH BEN INT	0.00	1.70	93.0	0.00	1.58	1.58
12/01/2017	#00081138294	WESTFALL, TERRI	AMERICAN HIGH INCOME TR SH BEN INT	0.00	1.58	93.0	0.00	1.47	1.47
12/01/2017	#00081549795	NELSON, GERALD	AMERICAN HIGH INCOME TR SH BEN INT	0.00	18.18	93.0	0.00	16.91	16.91
12/01/2017	#00083721903	WRAY, PATRICKA	BOND FUND OF AMERICA INC CL A	0.00	14.04	93.0	0.00	13.06	13.06
12/01/2017	#00089286851		BOND FUND OF AMERICA INC CL A	0.00	3.15	93.0	0.00	2.93	2.93
12/01/2017	#00089286872		BOND FUND OF AMERICA INC CL A	0.00	3.15	93.0	0.00	2.93	2.93
12/01/2017	#00089286881		BOND FUND OF AMERICA INC CL A	0.00	3.09	93.0	0.00	2.87	2.87
12/01/2017	#00086057920	GLASER, WILLIAM	BOND FUND OF AMERICA INC CL A	0.00	8.91	93.0	0.00	8.29	8.29
12/01/2017	#00081549795	NELSON, GERALD	BOND FUND OF AMERICA INC CL A	0.00	20.88	93.0	0.00	19.42	19.42
12/01/2017	#00082214617	BOSSALLER, EARL	CAPITAL INCOME BUILDER FD CL A	0.00	32.77	93.0	0.00	30.48	30.48
12/01/2017	#00083721903	WRAY, PATRICKA	CAPITAL INCOME BUILDER FD CL A	0.00	19.21	93.0	0.00	17.87	17.87
12/01/2017	#00073679183	KREIGER, ROBERT	CAPITAL INCOME BUILDER FD CL A	0.00	14.96	93.0	0.00	13.91	13.91
12/01/2017	#00081549795	NELSON, GERALD	CAPITAL INCOME BUILDER FD CL A	0.00	20.76	93.0	0.00	19.31	19.31
12/01/2017	#00086988893	HOROWITZ, LEE	CAPITAL WORLD BOND FUND-529A	0.00	1.27	93.0	0.00	1.18	1.18
12/01/2017	#00087004800	HOROWITZ	CAPITAL WORLD BOND FUND-529A	0.00	1.59	93.0	0.00	1.48	1.48
12/01/2017	#00083721903	WRAY, PATRICKA	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	12.35	93.0	0.00	11.49	11.49
12/01/2017	#00067170085	SULLIVAN,	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	16.16	93.0	0.00	15.03	15.03
12/01/2017	#00067797110	WESTFALL, FRED	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	1.66	93.0	0.00	1.54	1.54
12/01/2017	#00067874643	SULLIVAN,	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	23.98	93.0	0.00	22.30	22.30
12/01/2017	#00073679183	KREIGER, ROBERT	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	9.69	93.0	0.00	9.01	9.01
12/01/2017	#00073844264	SKALKA, YVETTE	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	4.37	93.0	0.00	4.06	4.06
12/01/2017	#00074041373	HOROWITZ, LEE	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	16.23	93.0	0.00	15.09	15.09
12/01/2017	#00074504463	HEGLE, RODNEY	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	3.16	93.0	0.00	2.94	2.94
12/01/2017	#00074899870	KANODE, FRANCES	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	3.64	93.0	0.00	3.39	3.39
12/01/2017	#00075396124	PIETTE, RAOUL	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	4.98	93.0	0.00	4.63	4.63

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017	#00075396163	PIETTE, BARBARA	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	4.94	93.0	0.00	4.59	4.59
12/01/2017	#04000164504	PIETTE, SHARON	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	2.37	93.0	0.00	2.20	2.20
12/01/2017	#04000164518	PIETTE, SHARON	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	0.30	93.0	0.00	0.28	0.28
12/01/2017	#04000164647	PIETTE, RAOUL	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	2.37	93.0	0.00	2.20	2.20
12/01/2017	#04000165015	PIETTE, RAOUL	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	0.30	93.0	0.00	0.28	0.28
12/01/2017	#04000165808	PIETTE, RAOUL	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	0.65	93.0	0.00	0.60	0.60
12/01/2017	#00087642427	WESTFALL, FRED	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	8.02	93.0	0.00	7.46	7.46
12/01/2017	#00088307894	AZCONA, ALAIN	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	3.68	93.0	0.00	3.42	3.42
12/01/2017	#00088485639	SKALKA, YVETTE	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	3.27	93.0	0.00	3.04	3.04
12/01/2017	#00089286851		CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	3.03	93.0	0.00	2.82	2.82
12/01/2017	#00089286872		CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	3.04	93.0	0.00	2.83	2.83
12/01/2017	#00089286881		CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	2.97	93.0	0.00	2.76	2.76
12/01/2017	#00086057920	GLASER, WILLIAM	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	9.16	93.0	0.00	8.52	8.52
12/01/2017	#00089761196		CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	1.33	93.0	0.00	1.24	1.24
12/01/2017	#00085515224	KANODE, TIMOTHY	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	6.03	93.0	0.00	5.61	5.61
12/01/2017	#00081138051	WESTFALL, FRED	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	1.41	93.0	0.00	1.31	1.31
12/01/2017	#00081138294	WESTFALL, TERRI	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	2.06	93.0	0.00	1.92	1.92
12/01/2017	#00081782394		CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	3.23	93.0	0.00	3.00	3.00
12/01/2017	#00082839027	AZCONA, ALAIN	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	2.27	93.0	0.00	2.11	2.11
12/01/2017	#00082839237	AZCONA, VALERIE	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	2.88	93.0	0.00	2.68	2.68
12/01/2017	#00083280499	AZCONA, ALAIN	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	3.93	93.0	0.00	3.65	3.65
12/01/2017	#00083419645	REIDER, MICHAEL	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	14.91	93.0	0.00	13.87	13.87
12/01/2017	#00081549795	NELSON, GERALD	CAPITAL WORLD BOND FUND-SBI CLASS A	0.00	12.78	93.0	0.00	11.89	11.89
12/01/2017	#00082214617	BOSSALLER, EARL	CAPITAL WORLD GROWTH & INCOME FUND	0.00	3.78	93.0	0.00	3.52	3.52
12/01/2017	#00066735063	07/14/2008, UDT	CAPITAL WORLD GROWTH & INCOME FUND	0.00	1.99	93.0	0.00	1.85	1.85
12/01/2017	#00067170085	SULLIVAN,	CAPITAL WORLD GROWTH & INCOME FUND	0.00	14.16	93.0	0.00	13.17	13.17
12/01/2017	#00067874643	SULLIVAN,	CAPITAL WORLD GROWTH & INCOME FUND	0.00	21.00	93.0	0.00	19.53	19.53
12/01/2017	#00073679183	KREIGER, ROBERT	CAPITAL WORLD GROWTH & INCOME FUND	0.00	16.06	93.0	0.00	14.94	14.94
12/01/2017	#00074899870	KANODE, FRANCES	CAPITAL WORLD GROWTH & INCOME FUND	0.00	3.75	93.0	0.00	3.49	3.49
12/01/2017	#00075396124	PIETTE, RAOUL	CAPITAL WORLD GROWTH & INCOME FUND	0.00	4.95	93.0	0.00	4.60	4.60
12/01/2017	#00075396163	PIETTE, BARBARA	CAPITAL WORLD GROWTH & INCOME FUND	0.00	4.90	93.0	0.00	4.56	4.56
12/01/2017	#00085515224	KANODE, TIMOTHY	CAPITAL WORLD GROWTH & INCOME FUND	0.00	6.90	93.0	0.00	6.42	6.42
12/01/2017	#00082839027	AZCONA, ALAIN	CAPITAL WORLD GROWTH & INCOME FUND	0.00	3.72	93.0	0.00	3.46	3.46
12/01/2017	#00082839237	AZCONA, VALERIE	CAPITAL WORLD GROWTH & INCOME FUND	0.00	3.47	93.0	0.00	3.23	3.23
12/01/2017	#00083280499	AZCONA, ALAIN	CAPITAL WORLD GROWTH & INCOME FUND	0.00	6.44	93.0	0.00	5.99	5.99
12/01/2017	#00087964256	PIETTE, RAOUL	COLLEGE 2021 FUND-529A	0.00	3.39	93.0	0.00	3.15	3.15

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017	#00087964304	PIETTE, RAOUL COLLEGE 2021 FUND-529A	0.00	3.39	93.0	0.00	3.15	0.00	3.15
12/01/2017	#00087964213	PIETTE, RAOUL COLLEGE 2024 FUND 529A	0.00	3.52	93.0	0.00	3.27	0.00	3.27
12/01/2017	#00074041373	HOROWITZ, LEE EURO PACIFIC GROWTH FUND CLASS A	0.00	6.52	93.0	0.00	6.06	0.00	6.06
12/01/2017	#00074504463	HEGLE, RODNEY EURO PACIFIC GROWTH FUND CLASS A	0.00	3.60	93.0	0.00	3.35	0.00	3.35
12/01/2017	#00075396124	PIETTE, RAOUL EURO PACIFIC GROWTH FUND CLASS A	0.00	2.91	93.0	0.00	2.71	0.00	2.71
12/01/2017	#00075396163	PIETTE, BARBARA EURO PACIFIC GROWTH FUND CLASS A	0.00	2.88	93.0	0.00	2.68	0.00	2.68
12/01/2017	#04000165808	PIETTE, RAOUL EURO PACIFIC GROWTH FUND CLASS A	0.00	0.71	93.0	0.00	0.66	0.00	0.66
12/01/2017	#00088043003	EURO PACIFIC GROWTH FUND CLASS A	0.00	1.33	93.0	0.00	1.24	0.00	1.24
12/01/2017	#00089286851	EURO PACIFIC GROWTH FUND CLASS A	0.00	3.46	93.0	0.00	3.22	0.00	3.22
12/01/2017	#00089286872	EURO PACIFIC GROWTH FUND CLASS A	0.00	3.46	93.0	0.00	3.22	0.00	3.22
12/01/2017	#00089286881	EURO PACIFIC GROWTH FUND CLASS A	0.00	3.38	93.0	0.00	3.14	0.00	3.14
12/01/2017	#00086057920	GLASER, WILLIAM EURO PACIFIC GROWTH FUND CLASS A	0.00	10.63	93.0	0.00	9.89	0.00	9.89
12/01/2017	#00088670054	EURO PACIFIC GROWTH FUND CLASS A	0.00	1.32	93.0	0.00	1.23	0.00	1.23
12/01/2017	#00083419645	REIDER, MICHAEL EURO PACIFIC GROWTH FUND CLASS A	0.00	13.60	93.0	0.00	12.65	0.00	12.65
12/01/2017	#00086988893	HOROWITZ, LEE EUROPACIFIC GROWTH FUND-529A	0.00	1.34	93.0	0.00	1.25	0.00	1.25
12/01/2017	#00087004800	HOROWITZ EUROPACIFIC GROWTH FUND-529A	0.00	2.39	93.0	0.00	2.22	0.00	2.22
12/01/2017	#00082214617	BOSSALLER, EARL FUNDAMENTAL INVESTORS INC CLASS A	0.00	13.32	93.0	0.00	12.39	0.00	12.39
12/01/2017	#00067170085	SULLIVAN, FUNDAMENTAL INVESTORS INC CLASS A	0.00	41.96	93.0	0.00	39.02	0.00	39.02
12/01/2017	#00067874643	SULLIVAN, FUNDAMENTAL INVESTORS INC CLASS A	0.00	62.20	93.0	0.00	57.85	0.00	57.85
12/01/2017	#00074041373	HOROWITZ, LEE FUNDAMENTAL INVESTORS INC CLASS A	0.00	17.87	93.0	0.00	16.62	0.00	16.62
12/01/2017	#00074504463	HEGLE, RODNEY FUNDAMENTAL INVESTORS INC CLASS A	0.00	4.94	93.0	0.00	4.59	0.00	4.59
12/01/2017	#00075396124	PIETTE, RAOUL FUNDAMENTAL INVESTORS INC CLASS A	0.00	6.43	93.0	0.00	5.98	0.00	5.98
12/01/2017	#00075396163	PIETTE, BARBARA FUNDAMENTAL INVESTORS INC CLASS A	0.00	6.38	93.0	0.00	5.93	0.00	5.93
12/01/2017	#04000164504	PIETTE, SHARON FUNDAMENTAL INVESTORS INC CLASS A	0.00	3.06	93.0	0.00	2.85	0.00	2.85
12/01/2017	#04000164518	PIETTE, SHARON FUNDAMENTAL INVESTORS INC CLASS A	0.00	0.39	93.0	0.00	0.36	0.00	0.36
12/01/2017	#04000164647	PIETTE, RAOUL FUNDAMENTAL INVESTORS INC CLASS A	0.00	3.06	93.0	0.00	2.85	0.00	2.85
12/01/2017	#04000165015	PIETTE, RAOUL FUNDAMENTAL INVESTORS INC CLASS A	0.00	0.39	93.0	0.00	0.36	0.00	0.36
12/01/2017	#00087642427	WESTFALL, FRED FUNDAMENTAL INVESTORS INC CLASS A	0.00	12.21	93.0	0.00	11.36	0.00	11.36
12/01/2017	#00088043003	FUNDAMENTAL INVESTORS INC CLASS A	0.00	3.58	93.0	0.00	3.33	0.00	3.33
12/01/2017	#00088307894	AZCONA, ALAIN FUNDAMENTAL INVESTORS INC CLASS A	0.00	17.42	93.0	0.00	16.20	0.00	16.20
12/01/2017	#00085515224	KANODE, TIMOTHY FUNDAMENTAL INVESTORS INC CLASS A	0.00	7.24	93.0	0.00	6.73	0.00	6.73
12/01/2017	#00081782394	FUNDAMENTAL INVESTORS INC CLASS A	0.00	5.50	93.0	0.00	5.12	0.00	5.12
12/01/2017	#00083419645	REIDER, MICHAEL FUNDAMENTAL INVESTORS INC CLASS A	0.00	35.12	93.0	0.00	32.66	0.00	32.66
12/01/2017	#00086988893	HOROWITZ, LEE FUNDAMENTAL INVESTORS-529A	0.00	1.04	93.0	0.00	0.97	0.00	0.97
12/01/2017	#00087004800	HOROWITZ FUNDAMENTAL INVESTORS-529A	0.00	2.39	93.0	0.00	2.22	0.00	2.22
12/01/2017	#00067617189	MERRILL, TODD GLOBAL BALANCED FUND-A	0.00	8.95	93.0	0.00	8.32	0.00	8.32

COMMISSION STATEMENT for NORM PIETTE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017	#00082214617	BOSSALLER, EARL	GLOBAL BALANCED FUND-A	0.00	3.79	93.0	0.00	3.52	3.52
12/01/2017	#00068725121	ANDOW-HEGLE,	GLOBAL BALANCED FUND-A	0.00	49.97	93.0	0.00	46.47	46.47
12/01/2017	#00074504463	HEGLE, RODNEY	GLOBAL BALANCED FUND-A	0.00	15.99	93.0	0.00	14.87	14.87
12/01/2017	#00067617189	MERRILL, TODD	GROWTH FUND AMERICA INC CLASS A	0.00	9.76	93.0	0.00	9.08	9.08
12/01/2017	#00082214617	BOSSALLER, EARL	GROWTH FUND AMERICA INC CLASS A	0.00	6.22	93.0	0.00	5.78	5.78
12/01/2017	#00082724941	LAKE, JOSHUA	GROWTH FUND AMERICA INC CLASS A	0.00	0.57	93.0	0.00	0.53	0.53
12/01/2017	#00066735063	07/14/2008, UDT	GROWTH FUND AMERICA INC CLASS A	0.00	6.22	93.0	0.00	5.78	5.78
12/01/2017	#00073679183	KREIGER, ROBERT	GROWTH FUND AMERICA INC CLASS A	0.00	17.89	93.0	0.00	16.64	16.64
12/01/2017	#00074504463	HEGLE, RODNEY	GROWTH FUND AMERICA INC CLASS A	0.00	3.79	93.0	0.00	3.52	3.52
12/01/2017	#00074899870	KANODE, FRANCES	GROWTH FUND AMERICA INC CLASS A	0.00	5.01	93.0	0.00	4.66	4.66
12/01/2017	#04000164504	PIETTE, SHARON	GROWTH FUND AMERICA INC CLASS A	0.00	2.30	93.0	0.00	2.14	2.14
12/01/2017	#04000164518	PIETTE, SHARON	GROWTH FUND AMERICA INC CLASS A	0.00	0.29	93.0	0.00	0.27	0.27
12/01/2017	#04000164647	PIETTE, RAOUL	GROWTH FUND AMERICA INC CLASS A	0.00	2.30	93.0	0.00	2.14	2.14
12/01/2017	#04000165015	PIETTE, RAOUL	GROWTH FUND AMERICA INC CLASS A	0.00	0.29	93.0	0.00	0.27	0.27
12/01/2017	#00088670054		GROWTH FUND AMERICA INC CLASS A	0.00	2.87	93.0	0.00	2.67	2.67
12/01/2017	#00082839027	AZCONA, ALAIN	GROWTH FUND AMERICA INC CLASS A	0.00	4.96	93.0	0.00	4.61	4.61
12/01/2017	#00082839237	AZCONA, VALERIE	GROWTH FUND AMERICA INC CLASS A	0.00	4.62	93.0	0.00	4.30	4.30
12/01/2017	#00083280499	AZCONA, ALAIN	GROWTH FUND AMERICA INC CLASS A	0.00	8.64	93.0	0.00	8.04	8.04
12/01/2017	#00083406367	REIDER, MICHAEL	GROWTH FUND AMERICA INC CLASS A	0.00	26.20	93.0	0.00	24.37	24.37
12/01/2017	#00083419645	REIDER, MICHAEL	GROWTH FUND AMERICA INC CLASS A	0.00	8.46	93.0	0.00	7.87	7.87
12/01/2017	#00074899870	KANODE, FRANCES	INCOME FUND OF AMERICA INC CLASS A	0.00	5.16	93.0	0.00	4.80	4.80
12/01/2017	#00089761149		INCOME PORTFOLIO A	0.00	77.00	93.0	0.00	71.61	71.61
12/01/2017	#00088043003		INFLATION LINKED BOND FUND-A	0.00	2.04	93.0	0.00	1.90	1.90
12/01/2017	#00073679183	KREIGER, ROBERT	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	8.80	93.0	0.00	8.18	8.18
12/01/2017	#04000164647	PIETTE, RAOUL	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	2.20	93.0	0.00	2.05	2.05
12/01/2017	#04000165015	PIETTE, RAOUL	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.28	93.0	0.00	0.26	0.26
12/01/2017	#00088307894	AZCONA, ALAIN	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	5.67	93.0	0.00	5.27	5.27
12/01/2017	#00089286851		INTERMEDIATE BOND FUND OF AMERICA-A	0.00	5.21	93.0	0.00	4.85	4.85
12/01/2017	#00089286872		INTERMEDIATE BOND FUND OF AMERICA-A	0.00	5.21	93.0	0.00	4.85	4.85
12/01/2017	#00089286881		INTERMEDIATE BOND FUND OF AMERICA-A	0.00	5.11	93.0	0.00	4.75	4.75
12/01/2017	#00089761196		INTERMEDIATE BOND FUND OF AMERICA-A	0.00	1.31	93.0	0.00	1.22	1.22
12/01/2017	#00074041373	HOROWITZ, LEE	INTERNATIONAL GROWTH AND INCOME-A	0.00	5.49	93.0	0.00	5.11	5.11
12/01/2017	#00073844264	SKALKA, YVETTE	INVESTMENT CO AMER CLASS A	0.00	3.20	93.0	0.00	2.98	2.98
12/01/2017	#00088485639	SKALKA, YVETTE	INVESTMENT CO AMER CLASS A	0.00	3.07	93.0	0.00	2.86	2.86
12/01/2017	#00073679183	KREIGER, ROBERT	NEW PERSPECTIVE FUND INC CL A	0.00	18.26	93.0	0.00	16.98	16.98
12/01/2017	#00086988893	HOROWITZ, LEE	SHORT-TERM BOND FUND OF AMERICA-529	0.00	0.96	93.0	0.00	0.89	0.89

COMMISSION STATEMENT for NORM PIETTE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/01/2017	#00087004800	HOROWITZ	SHORT-TERM BOND FUND OF AMERICA-529	0.00	1.59	93.0	0.00	1.48	1.48
12/01/2017	#00067617189	MERRILL, TODD	SHORT-TERM BOND FUND OF AMERICA-A	0.00	12.77	93.0	0.00	11.88	11.88
12/01/2017	#00067170085	SULLIVAN,	SHORT-TERM BOND FUND OF AMERICA-A	0.00	14.21	93.0	0.00	13.22	13.22
12/01/2017	#00067874643	SULLIVAN,	SHORT-TERM BOND FUND OF AMERICA-A	0.00	21.07	93.0	0.00	19.60	19.60
12/01/2017	#00068725121	ANDOW-HEGLE,	SHORT-TERM BOND FUND OF AMERICA-A	0.00	4.43	93.0	0.00	4.12	4.12
12/01/2017	#00074041373	HOROWITZ, LEE	SHORT-TERM BOND FUND OF AMERICA-A	0.00	7.69	93.0	0.00	7.15	7.15
12/01/2017	#00074504463	HEGLE, RODNEY	SHORT-TERM BOND FUND OF AMERICA-A	0.00	5.27	93.0	0.00	4.90	4.90
12/01/2017	#00075396124	PIETTE, RAOUL	SHORT-TERM BOND FUND OF AMERICA-A	0.00	2.63	93.0	0.00	2.45	2.45
12/01/2017	#00075396163	PIETTE, BARBARA	SHORT-TERM BOND FUND OF AMERICA-A	0.00	2.61	93.0	0.00	2.43	2.43
12/01/2017	#04000165808	PIETTE, RAOUL	SHORT-TERM BOND FUND OF AMERICA-A	0.00	0.62	93.0	0.00	0.58	0.58
12/01/2017	#00087642427	WESTFALL, FRED	SHORT-TERM BOND FUND OF AMERICA-A	0.00	7.82	93.0	0.00	7.27	7.27
12/01/2017	#00088043003		SHORT-TERM BOND FUND OF AMERICA-A	0.00	2.24	93.0	0.00	2.08	2.08
12/01/2017	#00081782394		SHORT-TERM BOND FUND OF AMERICA-A	0.00	7.65	93.0	0.00	7.11	7.11
12/01/2017	#00083419645	REIDER, MICHAEL	SHORT-TERM BOND FUND OF AMERICA-A	0.00	8.02	93.0	0.00	7.46	7.46
12/01/2017	#00067617189	MERRILL, TODD	SMALLCAP WORLD FUND INC CLASS A	0.00	4.02	93.0	0.00	3.74	3.74
12/01/2017	#00082214617	BOSSALLER, EARL	SMALLCAP WORLD FUND INC CLASS A	0.00	0.29	93.0	0.00	0.27	0.27
12/01/2017	#00066735063	07/14/2008, UDT	SMALLCAP WORLD FUND INC CLASS A	0.00	4.11	93.0	0.00	3.82	3.82
12/01/2017	#00074041373	HOROWITZ, LEE	SMALLCAP WORLD FUND INC CLASS A	0.00	5.02	93.0	0.00	4.67	4.67
12/01/2017	#00074899870	KANODE, FRANCES	SMALLCAP WORLD FUND INC CLASS A	0.00	3.82	93.0	0.00	3.55	3.55
12/01/2017	#00075396124	PIETTE, RAOUL	SMALLCAP WORLD FUND INC CLASS A	0.00	1.87	93.0	0.00	1.74	1.74
12/01/2017	#00075396163	PIETTE, BARBARA	SMALLCAP WORLD FUND INC CLASS A	0.00	1.86	93.0	0.00	1.73	1.73
12/01/2017	#00089286851		SMALLCAP WORLD FUND INC CLASS A	0.00	1.93	93.0	0.00	1.79	1.79
12/01/2017	#00089286872		SMALLCAP WORLD FUND INC CLASS A	0.00	1.93	93.0	0.00	1.79	1.79
12/01/2017	#00089286881		SMALLCAP WORLD FUND INC CLASS A	0.00	1.89	93.0	0.00	1.76	1.76
12/01/2017	#00082839027	AZCONA, ALAIN	SMALLCAP WORLD FUND INC CLASS A	0.00	3.95	93.0	0.00	3.67	3.67
12/01/2017	#00082839237	AZCONA, VALERIE	SMALLCAP WORLD FUND INC CLASS A	0.00	3.85	93.0	0.00	3.58	3.58
12/01/2017	#00083280499	AZCONA, ALAIN	SMALLCAP WORLD FUND INC CLASS A	0.00	6.84	93.0	0.00	6.36	6.36
12/01/2017	#00083419645	REIDER, MICHAEL	SMALLCAP WORLD FUND INC CLASS A	0.00	4.70	93.0	0.00	4.37	4.37
12/01/2017	#00082214617	BOSSALLER, EARL	THE TAX-EXEMPT FUND OF CALIFORNIA-A	0.00	25.06	93.0	0.00	23.31	23.31
12/01/2017	#00088089923		WASHINGTON MUTUAL INVS FD CLASS A	0.00	10.62	93.0	0.00	9.88	9.88
12/01/2017	#00082614122	KANODE, FRANCES	WASHINGTON MUTUAL INVS FD CLASS A	0.00	2.85	93.0	0.00	2.65	2.65
01/02/2018	#00483382457	GILMORE	PUTNAM GROWTH OPPORTUNITIES FUND-CL	0.00	29.70	93.0	0.00	27.62	27.62
01/02/2018	#00483382457	GILMORE	PUTNAM INTERNATIONAL EQUITY CLASS A	0.00	26.33	93.0	0.00	24.49	24.49
01/02/2018	#00483382457	GILMORE	PUTNAM MULTI CAP GROWTH FUND CL A	0.00	38.26	93.0	0.00	35.58	35.58
01/08/2018	#01440268678	AZCONA, VALERIE	FA 529 PORT 2025-CL A	0.00	1.84	93.0	0.00	1.71	1.71
01/08/2018	#01468237324	VARIOUS PIETTE	FA EQUITY INCOME FUND	0.00	0.21	93.0	0.00	0.20	0.20

COMMISSION STATEMENT for NORM PIETTE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
01/08/2018	#01430481000	VARIOUS PIETTE FA FOREIGN LARGE GROWTH	0.00	8.48	93.0	0.00	7.89	0.00	7.89
01/08/2018	#01436951972	VARIOUS PIETTE FA FOREIGN LARGE GROWTH	0.00	1.29	93.0	0.00	1.20	0.00	1.20
01/08/2018	#01436958837	VARIOUS PIETTE FA FOREIGN LARGE GROWTH	0.00	0.67	93.0	0.00	0.62	0.00	0.62
01/08/2018	#01468200199	VARIOUS PIETTE FA INTERNATIONAL GROWTH FUND - CLAS	0.00	1.54	93.0	0.00	1.43	0.00	1.43
01/08/2018	#01430481000	VARIOUS PIETTE FA INTERNATIONAL SMALL CAP FUND	0.00	5.61	93.0	0.00	5.22	0.00	5.22
01/08/2018	#01436951972	VARIOUS PIETTE FA INTERNATIONAL SMALL CAP FUND	0.00	1.55	93.0	0.00	1.44	0.00	1.44
01/08/2018	#01436958837	VARIOUS PIETTE FA INTERNATIONAL SMALL CAP FUND	0.00	0.77	93.0	0.00	0.72	0.00	0.72
01/08/2018	#01447744085	VARIOUS PIETTE FA SHORT TERM BOND FUND	0.00	0.38	93.0	0.00	0.35	0.00	0.35
01/08/2018	#01471524056	VARIOUS PIETTE FA SHORT TERM BOND FUND	0.00	0.38	93.0	0.00	0.35	0.00	0.35
01/08/2018	#01447744085	VARIOUS PIETTE FID INSTITUTIONAL ASSET MANAGEMENT	0.00	3.97	93.0	0.00	3.69	0.00	3.69
01/08/2018	#00701925208	VARIOUS PIETTE FIDELITY ADV ASSET MANAGER 20 PERCE	0.00	7.20	93.0	0.00	6.70	0.00	6.70
01/08/2018	#01485567794	VARIOUS PIETTE FIDELITY ADV ASSET MANAGER 30 PERCE	0.00	0.93	93.0	0.00	0.86	0.00	0.86
01/08/2018	#01485567885	FIDELITY ADV ASSET MANAGER 30 PERCE	0.00	0.93	93.0	0.00	0.86	0.00	0.86
01/08/2018	#01485567935	VARIOUS PIETTE FIDELITY ADV ASSET MANAGER 30 PERCE	0.00	0.91	93.0	0.00	0.85	0.00	0.85
01/08/2018	#01425568647	VARIOUS PIETTE FIDELITY ADV ASSET MANAGER 50 PERCE	0.00	19.99	93.0	0.00	18.59	0.00	18.59
01/08/2018	#01425568712	MERRILL, TODD FIDELITY ADV ASSET MANAGER 50 PERCE	0.00	9.14	93.0	0.00	8.50	0.00	8.50
01/08/2018	#01425568902	VARIOUS PIETTE FIDELITY ADV ASSET MANAGER 50 PERCE	0.00	10.09	93.0	0.00	9.38	0.00	9.38
01/08/2018	#01425569215	VARIOUS PIETTE FIDELITY ADV ASSET MANAGER 50 PERCE	0.00	5.24	93.0	0.00	4.87	0.00	4.87
01/08/2018	#01435869704	VARIOUS PIETTE FIDELITY ADV ASSET MANAGER 50 PERCE	0.00	4.58	93.0	0.00	4.26	0.00	4.26
01/08/2018	#01435869704	VARIOUS PIETTE FIDELITY ADV ASSET MANAGER 85 PERCE	0.00	0.71	93.0	0.00	0.66	0.00	0.66
01/08/2018	#00701925208	VARIOUS PIETTE FIDELITY ADV CONSUMER STAPLES-CL A	0.00	12.49	93.0	0.00	11.62	0.00	11.62
01/08/2018	#01436951972	VARIOUS PIETTE FIDELITY ADV CONSUMER STAPLES-CL A	0.00	5.16	93.0	0.00	4.80	0.00	4.80
01/08/2018	#01436958837	VARIOUS PIETTE FIDELITY ADV CONSUMER STAPLES-CL A	0.00	2.59	93.0	0.00	2.41	0.00	2.41
01/08/2018	#01485567794	VARIOUS PIETTE FIDELITY ADV CONSUMER STAPLES-CL A	0.00	0.52	93.0	0.00	0.48	0.00	0.48
01/08/2018	#01485567885	FIDELITY ADV CONSUMER STAPLES-CL A	0.00	0.52	93.0	0.00	0.48	0.00	0.48
01/08/2018	#01485567935	VARIOUS PIETTE FIDELITY ADV CONSUMER STAPLES-CL A	0.00	0.51	93.0	0.00	0.47	0.00	0.47
01/08/2018	#01475316616	VARIOUS PIETTE FIDELITY ADV DIVERSIFIED STOCK CL A	0.00	1.13	93.0	0.00	1.05	0.00	1.05
01/08/2018	#01475316640	PIETTE, SHARON FIDELITY ADV DIVERSIFIED STOCK CL A	0.00	1.13	93.0	0.00	1.05	0.00	1.05
01/08/2018	#01485567976	VARIOUS PIETTE FIDELITY ADV DIVERSIFIED STOCK CL A	0.00	2.29	93.0	0.00	2.13	0.00	2.13
01/08/2018	#01456252806	VARIOUS PIETTE FIDELITY ADV EMERGING ASIA-CL A	0.00	0.05	93.0	0.00	0.05	0.00	0.05
01/08/2018	#01456252848	VARIOUS PIETTE FIDELITY ADV EMERGING ASIA-CL A	0.00	0.09	93.0	0.00	0.08	0.00	0.08
01/08/2018	#01450086176	VARIOUS PIETTE FIDELITY ADV EMERGING MKTS-CL T	0.00	3.48	93.0	0.00	3.24	0.00	3.24
01/08/2018	#01430481000	VARIOUS PIETTE FIDELITY ADV EQUITY INCOME-CL A	0.00	10.83	93.0	0.00	10.07	0.00	10.07
01/08/2018	#01485567794	VARIOUS PIETTE FIDELITY ADV FLOATING RATE HIGH INC	0.00	1.29	93.0	0.00	1.20	0.00	1.20
01/08/2018	#01485567885	FIDELITY ADV FLOATING RATE HIGH INC	0.00	1.29	93.0	0.00	1.20	0.00	1.20
01/08/2018	#01485567935	VARIOUS PIETTE FIDELITY ADV FLOATING RATE HIGH INC	0.00	1.27	93.0	0.00	1.18	0.00	1.18

COMMISSION STATEMENT for NORM PIETTE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
01/08/2018	#00701925208	VARIOUS PIETTE FIDELITY ADV HEALTH CARE-CL A	0.00	16.22	93.0	0.00	15.08	0.00	15.08
01/08/2018	#01436951972	VARIOUS PIETTE FIDELITY ADV HEALTH CARE-CL A	0.00	2.80	93.0	0.00	2.60	0.00	2.60
01/08/2018	#01436958837	VARIOUS PIETTE FIDELITY ADV HEALTH CARE-CL A	0.00	1.41	93.0	0.00	1.31	0.00	1.31
01/08/2018	#01475349922	SMITH, JOSH FIDELITY ADV INDUSTRIALS-CL C	0.00	3.53	93.0	0.00	3.28	0.00	3.28
01/08/2018	#01436951972	VARIOUS PIETTE FIDELITY ADV INFLATION PROTECTED BD	0.00	1.75	93.0	0.00	1.63	0.00	1.63
01/08/2018	#01436958837	VARIOUS PIETTE FIDELITY ADV INFLATION PROTECTED BD	0.00	0.88	93.0	0.00	0.82	0.00	0.82
01/08/2018	#01485567794	VARIOUS PIETTE FIDELITY ADV INFLATION PROTECTED BD	0.00	4.82	93.0	0.00	4.48	0.00	4.48
01/08/2018	#01485567885	FIDELITY ADV INFLATION PROTECTED BD	0.00	4.82	93.0	0.00	4.48	0.00	4.48
01/08/2018	#01485567935	VARIOUS PIETTE FIDELITY ADV INFLATION PROTECTED BD	0.00	4.75	93.0	0.00	4.42	0.00	4.42
01/08/2018	#01442009617	VARIOUS PIETTE FIDELITY ADV INTL DISCOVERY-CL A	0.00	0.58	93.0	0.00	0.54	0.00	0.54
01/08/2018	#01455708758	SKALKA, VINCENT FIDELITY ADV INTL DISCOVERY-CL A	0.00	3.55	93.0	0.00	3.30	0.00	3.30
01/08/2018	#01456252806	VARIOUS PIETTE FIDELITY ADV INTL DISCOVERY-CL A	0.00	0.05	93.0	0.00	0.05	0.00	0.05
01/08/2018	#01456252848	VARIOUS PIETTE FIDELITY ADV INTL DISCOVERY-CL A	0.00	0.09	93.0	0.00	0.08	0.00	0.08
01/08/2018	#01442009617	VARIOUS PIETTE FIDELITY ADV INTL DISCOVERY-CL T	0.00	1.21	93.0	0.00	1.13	0.00	1.13
01/08/2018	#01471524056	VARIOUS PIETTE FIDELITY ADV INTL DISCOVERY-CL T	0.00	1.78	93.0	0.00	1.66	0.00	1.66
01/08/2018	#01450086176	VARIOUS PIETTE FIDELITY ADV MATERIALS-CL T	0.00	2.25	93.0	0.00	2.09	0.00	2.09
01/08/2018	#01468200199	VARIOUS PIETTE FIDELITY ADV MID CAP II-CL C	0.00	3.79	93.0	0.00	3.52	0.00	3.52
01/08/2018	#00701925208	VARIOUS PIETTE FIDELITY ADV MID CAP-CL A	0.00	15.38	93.0	0.00	14.30	0.00	14.30
01/08/2018	#01468200199	VARIOUS PIETTE FIDELITY ADV NEW INSIGHTS CL C	0.00	4.03	93.0	0.00	3.75	0.00	3.75
01/08/2018	#01475366827	VARIOUS PIETTE FIDELITY ADV NEW INSIGHTS CL C	0.00	5.26	93.0	0.00	4.89	0.00	4.89
01/08/2018	#01475366850	DELONCANTHF FIDELITY ADV NEW INSIGHTS CL C	0.00	2.69	93.0	0.00	2.50	0.00	2.50
01/08/2018	#01442009617	VARIOUS PIETTE FIDELITY ADV NEW INSIGHTS FD CL T	0.00	1.43	93.0	0.00	1.33	0.00	1.33
01/08/2018	#01447744085	VARIOUS PIETTE FIDELITY ADV NEW INSIGHTS FD CL T	0.00	1.68	93.0	0.00	1.56	0.00	1.56
01/08/2018	#01450086176	VARIOUS PIETTE FIDELITY ADV NEW INSIGHTS FD CL T	0.00	9.07	93.0	0.00	8.44	0.00	8.44
01/08/2018	#01457799623	ROHMER, STEVEN FIDELITY ADV NEW INSIGHTS FD CL T	0.00	4.48	93.0	0.00	4.17	0.00	4.17
01/08/2018	#01471524056	VARIOUS PIETTE FIDELITY ADV NEW INSIGHTS FD CL T	0.00	4.03	93.0	0.00	3.75	0.00	3.75
01/08/2018	#00701925208	VARIOUS PIETTE FIDELITY ADV NEW INSIGHTS-CL A	0.00	2.82	93.0	0.00	2.62	0.00	2.62
01/08/2018	#01425568712	MERRILL, TODD FIDELITY ADV NEW INSIGHTS-CL A	0.00	4.51	93.0	0.00	4.19	0.00	4.19
01/08/2018	#01430481000	VARIOUS PIETTE FIDELITY ADV NEW INSIGHTS-CL A	0.00	13.16	93.0	0.00	12.24	0.00	12.24
01/08/2018	#01442009617	VARIOUS PIETTE FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.89	93.0	0.00	0.83	0.00	0.83
01/08/2018	#01455086924	JACOBS, DUSTIN FIDELITY ADV NEW INSIGHTS-CL A	0.00	10.32	93.0	0.00	9.60	0.00	9.60
01/08/2018	#01455708758	SKALKA, VINCENT FIDELITY ADV NEW INSIGHTS-CL A	0.00	17.56	93.0	0.00	16.33	0.00	16.33
01/08/2018	#01456252806	VARIOUS PIETTE FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.33	93.0	0.00	0.31	0.00	0.31
01/08/2018	#01456252848	VARIOUS PIETTE FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.57	93.0	0.00	0.53	0.00	0.53
01/08/2018	#01479116327	JACOBS, DUSTIN FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.26	93.0	0.00	1.17	0.00	1.17
01/08/2018	#01485567794	VARIOUS PIETTE FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.93	93.0	0.00	0.86	0.00	0.86

COMMISSION STATEMENT for NORM PIETTE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
01/08/2018	#01485567885	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.92	93.0	0.00	0.86	0.00	0.86
01/08/2018	#01485567935	VARIOUS PIETTE FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.91	93.0	0.00	0.85	0.00	0.85
01/08/2018	#01485567976	VARIOUS PIETTE FIDELITY ADV NEW INSIGHTS-CL A	0.00	2.26	93.0	0.00	2.10	0.00	2.10
01/08/2018	#01450086176	VARIOUS PIETTE FIDELITY ADV SMALL CAP-CL T	0.00	4.74	93.0	0.00	4.41	0.00	4.41
01/08/2018	#01430481000	VARIOUS PIETTE FIDELITY ADV TOTAL BOND-CL A	0.00	18.03	93.0	0.00	16.77	0.00	16.77
01/08/2018	#01436951972	VARIOUS PIETTE FIDELITY ADV TOTAL BOND-CL A	0.00	2.75	93.0	0.00	2.56	0.00	2.56
01/08/2018	#01436958837	VARIOUS PIETTE FIDELITY ADV TOTAL BOND-CL A	0.00	1.22	93.0	0.00	1.13	0.00	1.13
01/08/2018	#01455708758	SKALKA, VINCENT FIDELITY ADV TOTAL BOND-CL A	0.00	8.22	93.0	0.00	7.64	0.00	7.64
01/08/2018	#01456252806	VARIOUS PIETTE FIDELITY ADV TOTAL BOND-CL A	0.00	0.14	93.0	0.00	0.13	0.00	0.13
01/08/2018	#01456252848	VARIOUS PIETTE FIDELITY ADV TOTAL BOND-CL A	0.00	0.24	93.0	0.00	0.22	0.00	0.22
01/08/2018	#01485567976	VARIOUS PIETTE FIDELITY ADV TOTAL BOND-CL A	0.00	1.06	93.0	0.00	0.99	0.00	0.99
01/08/2018	#01455086924	JACOBS, DUSTIN FIDELITY ADVISOR EMERGING MARKET FU	0.00	1.48	93.0	0.00	1.38	0.00	1.38
01/08/2018	#01468200199	VARIOUS PIETTE FIDELITY ADVISOR EMERGING MARKETS F	0.00	1.62	93.0	0.00	1.51	0.00	1.51
01/08/2018	#01436951972	VARIOUS PIETTE FIDELITY ADVISOR SER 1	0.00	3.07	93.0	0.00	2.86	0.00	2.86
01/08/2018	#01436958837	VARIOUS PIETTE FIDELITY ADVISOR SER 1	0.00	1.54	93.0	0.00	1.43	0.00	1.43
01/08/2018	#01455708758	SKALKA, VINCENT FIDELITY ADVISOR SER 1	0.00	5.33	93.0	0.00	4.96	0.00	4.96
01/08/2018	#01456252806	VARIOUS PIETTE FIDELITY ADVISOR SER 1	0.00	0.11	93.0	0.00	0.10	0.00	0.10
01/08/2018	#01456252848	VARIOUS PIETTE FIDELITY ADVISOR SER 1	0.00	0.19	93.0	0.00	0.18	0.00	0.18
01/08/2018	#01430481000	VARIOUS PIETTE FIDELITY ADVISOR SER II MID CAP II	0.00	12.22	93.0	0.00	11.36	0.00	11.36
01/08/2018	#01455086924	JACOBS, DUSTIN FIDELITY ADVISOR SER II MID CAP II	0.00	3.06	93.0	0.00	2.85	0.00	2.85
01/08/2018	#01475316616	VARIOUS PIETTE FIDELITY ADVISOR SER II MID CAP II	0.00	0.84	93.0	0.00	0.78	0.00	0.78
01/08/2018	#01475316640	PIETTE, SHARON FIDELITY ADVISOR SER II MID CAP II	0.00	0.84	93.0	0.00	0.78	0.00	0.78
01/08/2018	#01485567976	VARIOUS PIETTE FIDELITY ADVISOR SER II MID CAP II	0.00	2.80	93.0	0.00	2.60	0.00	2.60
01/08/2018	#01430481000	VARIOUS PIETTE FIDELITY ADVISOR STRATEGIC INCOME F	0.00	6.11	93.0	0.00	5.68	0.00	5.68
01/08/2018	#01436951972	VARIOUS PIETTE FIDELITY ADVISOR STRATEGIC INCOME F	0.00	2.14	93.0	0.00	1.99	0.00	1.99
01/08/2018	#01436958837	VARIOUS PIETTE FIDELITY ADVISOR STRATEGIC INCOME F	0.00	1.07	93.0	0.00	1.00	0.00	1.00
01/08/2018	#01442009617	VARIOUS PIETTE FIDELITY ADVISOR STRATEGIC INCOME F	0.00	0.43	93.0	0.00	0.40	0.00	0.40
01/08/2018	#01455086924	JACOBS, DUSTIN FIDELITY ADVISOR STRATEGIC INCOME F	0.00	4.01	93.0	0.00	3.73	0.00	3.73
01/08/2018	#01455708758	SKALKA, VINCENT FIDELITY ADVISOR STRATEGIC INCOME F	0.00	12.24	93.0	0.00	11.38	0.00	11.38
01/08/2018	#01456252806	VARIOUS PIETTE FIDELITY ADVISOR STRATEGIC INCOME F	0.00	0.26	93.0	0.00	0.24	0.00	0.24
01/08/2018	#01456252848	VARIOUS PIETTE FIDELITY ADVISOR STRATEGIC INCOME F	0.00	0.46	93.0	0.00	0.43	0.00	0.43
01/08/2018	#01485567794	VARIOUS PIETTE FIDELITY ADVISOR STRATEGIC INCOME F	0.00	4.10	93.0	0.00	3.81	0.00	3.81
01/08/2018	#01485567885	FIDELITY ADVISOR STRATEGIC INCOME F	0.00	4.10	93.0	0.00	3.81	0.00	3.81
01/08/2018	#01485567935	VARIOUS PIETTE FIDELITY ADVISOR STRATEGIC INCOME F	0.00	4.04	93.0	0.00	3.76	0.00	3.76
01/08/2018	#01442009617	VARIOUS PIETTE FIDELITY ADVISOR STRATEGIC INCOME F	0.00	0.45	93.0	0.00	0.42	0.00	0.42
01/08/2018	#01450086176	VARIOUS PIETTE FIDELITY ADVISOR STRATEGIC INCOME F	0.00	1.80	93.0	0.00	1.67	0.00	1.67

COMMISSION STATEMENT for NORM PIETTE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
01/08/2018	#01430481000	VARIOUS PIETTE FIDELITY HEREFORD STR TR GOVT MONEY	0.00	10.85	93.0	0.00	10.09	0.00	10.09
01/08/2018	#01475316616	VARIOUS PIETTE FIDELITY HEREFORD STR TR GOVT MONEY	0.00	3.25	93.0	0.00	3.02	0.00	3.02
01/08/2018	#01475316640	PIETTE, SHARON FIDELITY HEREFORD STR TR GOVT MONEY	0.00	3.24	93.0	0.00	3.01	0.00	3.01
01/08/2018	#01485567794	VARIOUS PIETTE FIDELITY HEREFORD STR TR GOVT MONEY	0.00	1.98	93.0	0.00	1.84	0.00	1.84
01/08/2018	#01485567885	FIDELITY HEREFORD STR TR GOVT MONEY	0.00	1.97	93.0	0.00	1.83	0.00	1.83
01/08/2018	#01485567935	VARIOUS PIETTE FIDELITY HEREFORD STR TR GOVT MONEY	0.00	1.95	93.0	0.00	1.81	0.00	1.81
01/08/2018	#01485567976	VARIOUS PIETTE FIDELITY HEREFORD STR TR GOVT MONEY	0.00	6.97	93.0	0.00	6.48	0.00	6.48
01/08/2018	#01485567794	VARIOUS PIETTE FIDELITY INVT TR ADVISOR GBL COMMOD	0.00	0.21	93.0	0.00	0.20	0.00	0.20
01/08/2018	#01485567885	FIDELITY INVT TR ADVISOR GBL COMMOD	0.00	0.21	93.0	0.00	0.20	0.00	0.20
01/08/2018	#01485567935	VARIOUS PIETTE FIDELITY INVT TR ADVISOR GBL COMMOD	0.00	0.21	93.0	0.00	0.20	0.00	0.20
01/08/2018	#01468598287	VARIOUS PIETTE FIDELITY LEVERAGED COMPANY STOCK FU	0.00	0.27	93.0	0.00	0.25	0.00	0.25
01/08/2018	#01468237324	VARIOUS PIETTE FIDELITY SMALL CAP BLEND	0.00	0.14	93.0	0.00	0.13	0.00	0.13
01/08/2018	#01436951972	VARIOUS PIETTE TREASURY FUND - DAILY MONEY CLASS	0.00	3.18	93.0	0.00	2.96	0.00	2.96
01/08/2018	#01436958837	VARIOUS PIETTE TREASURY FUND - DAILY MONEY CLASS	0.00	1.74	93.0	0.00	1.62	0.00	1.62
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,598.96		\$0.00	\$2,417.10	\$0.00	\$2,417.10
*** BROKER TRANSACTIONS TOTAL ***			\$2,800.00	\$2,672.12		\$0.00	\$2,485.15	\$0.00	\$2,485.15

ADJUSTMENTS

01/20/2018	BETA BACK OFFICE: ADMIN FEE	-320.00
01/20/2018	E & O INSURANCE: E & O INSURANCE	-179.00
*** ADJUSTMENTS TOTAL ***		\$-499.00

BROKER COMMISSION TOTALS

Broker Transactions	\$2,485.15
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-499.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,986.15
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