

## COMMISSION STATEMENT

April 03, 2017

JANICE GINSBURG  
100 AQUEDUCT DRIVE

BROKER #:  
BRANCH: HOME OFFICE

NORTH WALES, PA 19454

## COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

03/10/2017	75501483	SPILLER, HELEN	**GUGGENHEIM FDS TR	S	500.00	0.00	0.00	0.00	50.0	0.00
03/10/2017	75501483	SPILLER, HELEN	PUTNAM 746745108	S	600.00	0.00	0.00	0.00	50.0	0.00
03/13/2017	75501628	MODES, VINCENT	DAVIS NEW YORK VENTURE CLASS C	S	22,404.19	0.00	0.00	0.00	50.0	0.00
* MUTUAL FUNDS SUBTOTAL *					\$23,504.19	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

03/02/2017	75501655	KINSLEY, GEORGE	CONSOLIDATED WATER CO LTD	B	1,037.50	50.00	0.00	50.00	50.0	0.00
03/02/2017	75501655	KINSLEY, GEORGE	VODAFONE GROUP PLC SPONSORED ADR NO B		2,527.66	75.28	0.00	75.28	50.0	37.64
* STOCKS SUBTOTAL *					\$3,565.16	\$125.28	\$0.00	\$125.28		\$37.64

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/10/2017	75501483	SPILLER, HELEN	**GUGGENHEIM FDS TR	B	0.00	2.47	0.00	2.47	50.0	1.24
03/10/2017	75501483	SPILLER, HELEN	AMERICAN BALANCED FUND-A	B	0.00	3.10	0.00	3.10	50.0	1.55
03/10/2017	75501483	SPILLER, HELEN	BOND-DEBENTURE FUND CLASS A	B	0.00	0.99	0.00	0.99	50.0	0.00
03/10/2017	75501483	SPILLER, HELEN	PUTNAM 746745108	B	0.00	0.81	0.00	0.81	50.0	0.00
03/10/2017	75501483	SPILLER, HELEN	THE INCOME FUND OF AMERICA-A	B	0.00	3.69	0.00	3.69	50.0	1.85
03/10/2017	75501504	LERNER, JOAN	U.S. GOVERNMENT SECURITIES FUND CLA B		0.00	2.09	0.00	2.09	50.0	1.05
03/10/2017	75501505	LERNER, JOAN	AMERICAN HIGH-INCOME TRUST-A	B	0.00	3.65	0.00	3.65	50.0	1.83
03/10/2017	75501505	LERNER, JOAN	CAPITAL INCOME BUILDER-A	B	0.00	0.61	0.00	0.61	50.0	0.00
03/10/2017	75501505	LERNER, JOAN	CAPITAL WORLD BOND FUND-A	B	0.00	1.58	0.00	1.58	50.0	0.79
03/10/2017	75501505	LERNER, JOAN	THE BOND FUND OF AMERICA-A	B	0.00	3.83	0.00	3.83	50.0	1.92
03/10/2017	75501621	WEXLER, SHEILA	EATON VANCE TAX- MANAGED EQUITY ASS B		0.00	11.56	0.00	11.56	50.0	5.78
03/10/2017	75501621	WEXLER, SHEILA	THE HARTFORD CAPITAL APPRECIATION F B		0.00	1.79	0.00	1.79	50.0	0.90
03/10/2017	75501621	WEXLER, SHEILA	THE HARTFORD MID CAP FUND-A	B	0.00	2.76	0.00	2.76	50.0	1.38
03/10/2017	75501622	ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL	B	0.00	11.25	0.00	11.25	50.0	5.63
03/10/2017	75501622	ABEL, STACEY	DAVIS NEW YORK VENTURE CLASS A	B	0.00	2.53	0.00	2.53	50.0	1.27
03/10/2017	75501622	ABEL, STACEY	MFS GLOBAL EQUITY FUND-A	B	0.00	1.72	0.00	1.72	50.0	0.86
03/10/2017	75501622	ABEL, STACEY	SHORT-TERM BOND FUND OF AMERICA - A B		0.00	0.45	0.00	0.45	50.0	0.00
03/10/2017	75501622	ABEL, STACEY	THE INVESTMENT COMPANY OF AMERICA-A B		0.00	4.54	0.00	4.54	50.0	2.27
03/10/2017	75501624	ALANCRAIG, SUSAN	**GABELLI SRI FUND	B	0.00	9.74	0.00	9.74	50.0	4.87
03/10/2017	75501626	URQUHART, THOMAS	THE GROWTH FUND OF AMERICA-A	B	0.00	4.86	0.00	4.86	50.0	2.43
03/10/2017	75501627	LEE, T ORIN	**AMG MANAGERS CADENCE MID CAP	B	0.00	0.91	0.00	0.91	50.0	0.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
03/28/2017	75501627	LEE, T ORIN	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.88	0.00	0.88	50.0	0.00
03/10/2017	75501628	MODES, VINCENT	ALL VALUE FUND CLASS A	B	0.00	4.87	0.00	4.87	50.0	2.44
03/10/2017	75501628	MODES, VINCENT	CAPITAL INCOME BUILDER-A	B	0.00	9.26	0.00	9.26	50.0	4.63
03/10/2017	75501628	MODES, VINCENT	CAPITAL WORLD GROWTH AND INCOME FUN B	B	0.00	4.05	0.00	4.05	50.0	2.03
03/10/2017	75501628	MODES, VINCENT	DAVIS NEW YORK VENTURE CLASS C	B	0.00	16.97	0.00	16.97	50.0	8.49
03/10/2017	75501628	MODES, VINCENT	LORD ABBETT CALIBRATED DIVIDEND GRO B	B	0.00	3.91	0.00	3.91	50.0	1.96
03/10/2017	75501628	MODES, VINCENT	LORD ABBETT AFFILIATED FUND CLASS A B	B	0.00	7.65	0.00	7.65	50.0	3.83
03/10/2017	75501628	MODES, VINCENT	MID-CAP VALUE FUND CLASS A	B	0.00	5.96	0.00	5.96	50.0	2.98
03/10/2017	75501628	MODES, VINCENT	NEW PERSPECTIVE FUND-A	B	0.00	7.31	0.00	7.31	50.0	3.66
03/10/2017	75501628	MODES, VINCENT	OPPENHEIMERFUNDS 68380G101	B	0.00	2.31	0.00	2.31	50.0	1.16
03/10/2017	75501628	MODES, VINCENT	THE HARTFORD CAPITAL APPRECIATION F B	B	0.00	7.84	0.00	7.84	50.0	3.92
03/10/2017	75501628	MODES, VINCENT	THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	3.89	0.00	3.89	50.0	1.95
03/10/2017	75501629	INOVATIVE INC	EATON VANCE MUT FDS TR FLTG RATE AD B	B	0.00	9.27	0.00	9.27	50.0	4.64
03/10/2017	75501629	INOVATIVE INC	HARTFORD FLOATING RATE FUND CLASS C B	B	0.00	11.96	0.00	11.96	50.0	5.98
03/10/2017	75501631	MODES, LOIS	LORD ABBETT RESEARCH FUND INC-SMALL B	B	0.00	4.96	0.00	4.96	50.0	2.48
03/10/2017	75501631	MODES, LOIS	LORD ABBETT CALIBRATED DIVIDEND GRO B	B	0.00	5.06	0.00	5.06	50.0	2.53
03/10/2017	75501631	MODES, LOIS	LORD ABBETT AFFILIATED FUND CLASS A B	B	0.00	4.51	0.00	4.51	50.0	2.26
03/10/2017	75501631	MODES, LOIS	MID-CAP VALUE FUND CLASS A	B	0.00	5.33	0.00	5.33	50.0	2.67
03/10/2017	75501631	MODES, LOIS	NEW PERSPECTIVE FUND-A	B	0.00	5.31	0.00	5.31	50.0	2.66
03/10/2017	75501631	MODES, LOIS	THE HARTFORD MID CAP FUND-A	B	0.00	5.69	0.00	5.69	50.0	2.85
03/10/2017	75501632	NESHAMINY VALLEY	HARTFORD FLOATING RATE FUND CLASS C B	B	0.00	4.93	0.00	4.93	50.0	2.47
03/10/2017	75501633	MODES, VINCENT	**HENDERSON GLOBAL FDS	B	0.00	8.22	0.00	8.22	50.0	4.11
03/10/2017	75501633	MODES, VINCENT	CAPITAL WORLD GROWTH AND INCOME FUN B	B	0.00	13.91	0.00	13.91	50.0	6.96
03/10/2017	75501633	MODES, VINCENT	EATON VANCE TAX MANAGED VALUE FD CL B	B	0.00	5.69	0.00	5.69	50.0	2.85
03/10/2017	75501633	MODES, VINCENT	EHV 277911830	B	0.00	12.56	0.00	12.56	50.0	6.28
03/10/2017	75501633	MODES, VINCENT	HARTFORD ADVISERS FUND CLASS A	B	0.00	1.87	0.00	1.87	50.0	0.94
03/10/2017	75501633	MODES, VINCENT	OPPENHEIMERFUNDS 68380G101	B	0.00	8.73	0.00	8.73	50.0	4.37
03/10/2017	75501633	MODES, VINCENT	THE GROWTH FUND OF AMERICA-A	B	0.00	6.53	0.00	6.53	50.0	3.27
03/10/2017	75501634	CROPANESE, CAROL	**PRUDENTIAL JENNISON NATURAL	B	0.00	10.35	0.00	10.35	50.0	5.18
03/10/2017	75501634	CROPANESE, CAROL	HARTFORD MUTUAL FUNDS INC DIVIDEND	B	0.00	11.08	0.00	11.08	50.0	5.54
03/10/2017	75501634	CROPANESE, CAROL	QUEST OPPORTUNITY VALUE A	B	0.00	0.19	0.00	0.19	50.0	0.00
03/10/2017	75501634	CROPANESE, CAROL	THE HARTFORD MID CAP FUND-C	B	0.00	14.16	0.00	14.16	50.0	7.08
03/10/2017	75501635	CROPANESE, CAROL	BLACKROCK CAP APPRECIATION FD INC C B	B	0.00	2.15	0.00	2.15	50.0	1.08
03/10/2017	75501635	CROPANESE, CAROL	BLACKROCK GLOBAL ALLOCATION FD INC B	B	0.00	10.32	0.00	10.32	50.0	5.16
03/10/2017	75501635	CROPANESE, CAROL	EATON VANCE GLOBAL MACRO ABSOLUTE R B	B	0.00	6.54	0.00	6.54	50.0	3.27
03/10/2017	75501635	CROPANESE, CAROL	EHV 277911772	B	0.00	1.45	0.00	1.45	50.0	0.73
03/10/2017	75501635	CROPANESE, CAROL	IVY ASSET STRATEGY FD CL C	B	0.00	8.83	0.00	8.83	50.0	4.42
03/17/2017	75501635	CROPANESE, CAROL	VAN ECK FDS GLOBAL ASST CL C	B	0.00	16.75	0.00	16.75	50.0	8.38
03/28/2017	75501635	CROPANESE, CAROL	**VICTORY PORTFOLIOS	B	0.00	5.11	0.00	5.11	50.0	2.56
03/10/2017	75501637	ROTHSTEIN, HARRIET	LORD ABBETT SHORT DURATION INCOME F B	B	0.00	1.69	0.00	1.69	50.0	0.85

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
03/10/2017	75501637	ROTHSTEIN, HARRIET	SHORT-TERM BOND FUND OF AMERICA - A B	0.00	1.29	0.00	1.29	50.0	0.65
03/10/2017	75501637	ROTHSTEIN, HARRIET	STRATEGIC INCOME A B	0.00	3.06	0.00	3.06	50.0	1.53
03/10/2017	75501638	CROPANESE,	**AMG MANAGERS CADENCE MID CAP B	0.00	3.30	0.00	3.30	50.0	1.65
03/10/2017	75501638	CROPANESE,	**PRUDENTIAL JENNISON NATURAL B	0.00	8.28	0.00	8.28	50.0	4.14
03/10/2017	75501638	CROPANESE,	EATON VANCE TAX MANAGED GROWTH FUND B	0.00	2.56	0.00	2.56	50.0	1.28
03/10/2017	75501638	CROPANESE,	HARTFORD MUTUAL FUNDS INC DIVIDEND B	0.00	8.27	0.00	8.27	50.0	4.14
03/10/2017	75501638	CROPANESE,	QUEST OPPORTUNITY VALUE A B	0.00	5.45	0.00	5.45	50.0	2.73
03/10/2017	75501638	CROPANESE,	SHORT-TERM BOND FUND OF AMERICA - A B	0.00	1.79	0.00	1.79	50.0	0.90
03/10/2017	75501638	CROPANESE,	THE HARTFORD MID CAP FUND-C B	0.00	10.58	0.00	10.58	50.0	5.29
03/10/2017	75501639	CONNOLLY, EDWARD	ALLIANCEBERNSTEIN LARGE-CAP GROWTH B	0.00	0.73	0.00	0.73	50.0	0.00
03/10/2017	75501639	CONNOLLY, EDWARD	BLACKROCK HEALTH SCIENCES OPPORTUNI B	0.00	3.75	0.00	3.75	50.0	1.88
03/10/2017	75501639	CONNOLLY, EDWARD	FIDELITY ADVISOR FUNDS 315918474 B	0.00	2.98	0.00	2.98	50.0	1.49
03/10/2017	75501639	CONNOLLY, EDWARD	HARTFORD ADVISERS FUND CLASS A B	0.00	1.27	0.00	1.27	50.0	0.64
03/10/2017	75501639	CONNOLLY, EDWARD	THE HARTFORD DIVIDEND & GROWTH FUND B	0.00	0.73	0.00	0.73	50.0	0.00
03/10/2017	75501640	ROTHSTEIN, JOEL	FUNDAMENTAL INVESTORS-A B	0.00	3.79	0.00	3.79	50.0	1.90
03/10/2017	75501640	ROTHSTEIN, JOEL	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	3.49	0.00	3.49	50.0	1.75
03/10/2017	75501640	ROTHSTEIN, JOEL	WASHINGTON MUTUAL INVESTORS FUND-A B	0.00	5.08	0.00	5.08	50.0	2.54
03/10/2017	75501643	CONNOLLY, MARCELLA	ALLIANZ NFJ DIVIDEND VALUE FUND CLA B	0.00	1.98	0.00	1.98	50.0	0.99
03/10/2017	75501643	CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A B	0.00	1.62	0.00	1.62	50.0	0.81
03/10/2017	75501643	CONNOLLY, MARCELLA	THE HARTFORD MID CAP FUND-A B	0.00	1.87	0.00	1.87	50.0	0.94
03/10/2017	75501643	CONNOLLY, MARCELLA	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	2.07	0.00	2.07	50.0	1.04
03/10/2017	75501645	CONNOLLY, MARCELLA	AMERICAN MUTUAL FUND-A B	0.00	9.28	0.00	9.28	50.0	4.64
03/10/2017	75501645	CONNOLLY, MARCELLA	FUNDAMENTAL INVESTORS-A B	0.00	0.88	0.00	0.88	50.0	0.00
03/10/2017	75501645	CONNOLLY, MARCELLA	QUEST OPPORTUNITY VALUE A B	0.00	0.96	0.00	0.96	50.0	0.00
03/10/2017	75501646	DLUGOSZ, PATRICIA	THE HARTFORD DIVIDEND & GROWTH FUND B	0.00	2.11	0.00	2.11	50.0	1.06
03/10/2017	75501648	GINSBURG, JANICE	EATON VANCE LARGE CAP VALUE FUND CL B	0.00	0.25	0.00	0.25	50.0	0.00
03/10/2017	75501648	GINSBURG, JANICE	EATON VANCE UTILITIES FUND CLASS A B	0.00	1.95	0.00	1.95	50.0	0.98
03/10/2017	75501650	MODES, VINCENT	CAPITAL INCOME BUILDER-A B	0.00	11.01	0.00	11.01	50.0	5.51
03/10/2017	75501650	MODES, VINCENT	DAVIS NEW YORK VENTURE CLASS C B	0.00	14.10	0.00	14.10	50.0	7.05
03/10/2017	75501650	MODES, VINCENT	LORD ABBETT RESEARCH FUND INC-SMALL B	0.00	6.61	0.00	6.61	50.0	3.31
03/10/2017	75501650	MODES, VINCENT	LORD ABBETT CALIBRATED DIVIDEND GRO B	0.00	11.94	0.00	11.94	50.0	5.97
03/10/2017	75501650	MODES, VINCENT	LORD ABBETT MULTI ASSET BALANCED OP B	0.00	14.35	0.00	14.35	50.0	7.18
03/10/2017	75501650	MODES, VINCENT	LORD ABBETT AFFILIATED FUND CLASS A B	0.00	7.67	0.00	7.67	50.0	3.84
03/10/2017	75501650	MODES, VINCENT	NEW PERSPECTIVE FUND-A B	0.00	3.13	0.00	3.13	50.0	1.57
03/10/2017	75501650	MODES, VINCENT	OPPENHEIMER DEVELOPING MARKETS CLAS B	0.00	0.94	0.00	0.94	50.0	0.00
03/10/2017	75501650	MODES, VINCENT	QUEST VALUE A B	0.00	2.27	0.00	2.27	50.0	1.14
03/10/2017	75501650	MODES, VINCENT	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	3.89	0.00	3.89	50.0	1.95
03/10/2017	75501652	DLUGOSZ, JOHN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA B	0.00	2.55	0.00	2.55	50.0	1.28
03/10/2017	75501652	DLUGOSZ, JOHN	AMERICAN MUTUAL FUND-A B	0.00	12.56	0.00	12.56	50.0	6.28
03/10/2017	75501652	DLUGOSZ, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	6.75	0.00	6.75	50.0	3.38

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
03/10/2017	75501652	DLUGOSZ, JOHN	EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	16.54	0.00	16.54	50.0	8.27
03/10/2017	75501652	DLUGOSZ, JOHN	GLOBAL FUND A B	0.00	1.66	0.00	1.66	50.0	0.83
03/10/2017	75501652	DLUGOSZ, JOHN	NEW WORLD FUND-A B	0.00	2.31	0.00	2.31	50.0	1.16
03/10/2017	75501652	DLUGOSZ, JOHN	THE GROWTH FUND OF AMERICA-A B	0.00	1.79	0.00	1.79	50.0	0.90
03/10/2017	75501652	DLUGOSZ, JOHN	THE HARTFORD CAPITAL APPRECIATION F B	0.00	3.33	0.00	3.33	50.0	1.67
03/10/2017	75501652	DLUGOSZ, JOHN	THE HARTFORD MID CAP FUND-A B	0.00	3.25	0.00	3.25	50.0	1.63
03/10/2017	75501657	DLUGOSZ, JOHN	AMERICAN HIGH-INCOME TRUST-A B	0.00	2.44	0.00	2.44	50.0	1.22
03/10/2017	75501657	DLUGOSZ, JOHN	EATON VANCE TAX- MANAGED EQUITY ASS B	0.00	7.37	0.00	7.37	50.0	3.69
03/10/2017	75501657	DLUGOSZ, JOHN	EHV 277902813 B	0.00	1.53	0.00	1.53	50.0	0.77
03/10/2017	75501657	DLUGOSZ, JOHN	MAINSTAY HIGH-YIELD CORPORATE BOND B	0.00	2.57	0.00	2.57	50.0	1.29
03/10/2017	75501658	TANNENBAUM, ARLENE	BLACKROCK GLOBAL ALLOCATION FD INC B	0.00	13.08	0.00	13.08	50.0	6.54
03/10/2017	75501658	TANNENBAUM, ARLENE	EATON VANCE LARGE CAP VALUE FUND CL B	0.00	1.26	0.00	1.26	50.0	0.63
03/10/2017	75501658	TANNENBAUM, ARLENE	FUNDAMENTAL INVESTORS-A B	0.00	2.91	0.00	2.91	50.0	1.46
03/10/2017	75501658	TANNENBAUM, ARLENE	IVY ASSET STRATEGY FD CL C B	0.00	11.78	0.00	11.78	50.0	5.89
03/10/2017	75501658	TANNENBAUM, ARLENE	OPPENHEIMER GLOBAL CLASS C B	0.00	17.05	0.00	17.05	50.0	8.53
03/10/2017	75501660	ABEL, STACEY	**PRUDENTIAL JENNISON 20/20 B	0.00	11.50	0.00	11.50	50.0	5.75
03/10/2017	75501660	ABEL, STACEY	**PRUDENTIAL JENNISON NATURAL B	0.00	6.36	0.00	6.36	50.0	3.18
03/10/2017	75501660	ABEL, STACEY	**PRUDENTIAL NATIONAL MUNI B	0.00	9.19	0.00	9.19	50.0	4.60
03/10/2017	75501660	ABEL, STACEY	COLUMBIA SELIGMAN COMMUNICATIONS AN B	0.00	2.51	0.00	2.51	50.0	1.26
03/10/2017	75501660	ABEL, STACEY	EATON VANCE LARGE CAP VALUE FUND CL B	0.00	7.82	0.00	7.82	50.0	3.91
03/10/2017	75501660	ABEL, STACEY	EATON VANCE GLOBAL MACRO ABSOLUTE R B	0.00	9.53	0.00	9.53	50.0	4.77
03/10/2017	75501660	ABEL, STACEY	EHV 277902813 B	0.00	5.16	0.00	5.16	50.0	2.58
03/10/2017	75501660	ABEL, STACEY	EUROPACIFIC GROWTH FUND CLASS F B	0.00	2.47	0.00	2.47	50.0	1.24
03/10/2017	75501660	ABEL, STACEY	FUNDAMENTAL INVESTORS FUND CLASS F B	0.00	6.82	0.00	6.82	50.0	3.41
03/10/2017	75501660	ABEL, STACEY	IVY ASSET STRATEGY FD CL C B	0.00	17.54	0.00	17.54	50.0	8.77
03/10/2017	75501660	ABEL, STACEY	OPPENHEIMER SMALL & MID CAP VALUE F B	0.00	3.25	0.00	3.25	50.0	1.63
03/10/2017	75501660	ABEL, STACEY	OPPENHEIMER DEVELOPING MARKETS FUND B	0.00	2.57	0.00	2.57	50.0	1.29
03/10/2017	75501660	ABEL, STACEY	THORNBURG INVT TR INTL VALUE FD CL B	0.00	28.49	0.00	28.49	50.0	14.25
03/17/2017	75501660	ABEL, STACEY	VAN ECK FDS GLOBAL ASST CL C B	0.00	28.18	0.00	28.18	50.0	14.09
03/28/2017	75501660	ABEL, STACEY	**VICTORY PORTFOLIOS B	0.00	1.73	0.00	1.73	50.0	0.87
03/10/2017	75501661	ABEL, STACEY	BLACKROCK GLOBAL ALLOCATION FUND IN B	0.00	1.34	0.00	1.34	50.0	0.67
03/10/2017	75501662	LOWENSTEIN, ALLAN	EATON VANCE TAX- MANAGED EQUITY ASS B	0.00	10.77	0.00	10.77	50.0	5.39
03/10/2017	75501662	LOWENSTEIN, ALLAN	LORD ABBETT AFFILIATED FUND CLASS A B	0.00	3.98	0.00	3.98	50.0	1.99
03/10/2017	75501747	STAUFFER, JUDITH	EATON VANCE UTILITIES FUND CLASS A B	0.00	3.63	0.00	3.63	50.0	1.82
03/10/2017	75501748	STAUFFER, JUDITH	MFS INTERNATIONAL VALUE FUND-A B	0.00	0.95	0.00	0.95	50.0	0.00
03/10/2017	75501750	STAUFFER, ROBERT	MFS INTERNATIONAL VALUE FUND-A B	0.00	1.12	0.00	1.12	50.0	0.56
03/10/2017	75501812	HALL, RUTH	INTERMEDIATE BOND FUND OF AMERICA-A B	0.00	3.04	0.00	3.04	50.0	1.52
03/10/2017	75501825	SEPTIEN, ALFREDO	**GUGGENHEIM FDS TR B	0.00	0.64	0.00	0.64	50.0	0.00
03/10/2017	75501825	SEPTIEN, ALFREDO	**PRUDENTIAL JENNISON 20/20 B	0.00	0.73	0.00	0.73	50.0	0.00
03/10/2017	75501825	SEPTIEN, ALFREDO	CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	1.21	0.00	1.21	50.0	0.61

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
03/10/2017	75501825	SEPTIEN, ALFREDO		NEW WORLD FUND-B	B	0.00	0.91	0.00	0.91 50.0 0.00
03/10/2017	75501836	FARKAS, RONALD		LOOMIS SAYLES GLOBAL BOND FUND RETA B	B	0.00	3.47	0.00	3.47 50.0 1.74
03/10/2017	75501847	GINSBURG, VIVIAN		CAPITAL WORLD GROWTH AND INCOME FUN B	B	0.00	0.70	0.00	0.70 50.0 0.00
03/10/2017	75501847	GINSBURG, VIVIAN		THE HARTFORD MID CAP FUND-A	B	0.00	0.90	0.00	0.90 50.0 0.00
03/10/2017	75501848	JONAS, HILDA		JOHN HANCOCK FDS III JHF III SMALL B	B	0.00	1.11	0.00	1.11 50.0 0.56
03/10/2017	75501853	FARKAS, RONALD		BLACKROCK MULTI ST MUN SER TR PA MU B	B	0.00	2.14	0.00	2.14 50.0 1.07
03/10/2017	75501868	ZEGEN, LOUIS		AMERICAN MUTUAL FUND-A	B	0.00	25.54	0.00	25.54 50.0 12.77
03/10/2017	75501868	ZEGEN, LOUIS		GLOBAL FUND A	B	0.00	3.90	0.00	3.90 50.0 1.95
03/10/2017	75501868	ZEGEN, LOUIS		THE INCOME FUND OF AMERICA-A	B	0.00	13.25	0.00	13.25 50.0 6.63
03/10/2017	75501896	BLUM, STACEY		THE HARTFORD MID CAP FUND-A	B	0.00	2.21	0.00	2.21 50.0 1.11
03/10/2017	75501897	KULL, MARY		**PRUDENTIAL GLOBAL REAL	B	0.00	1.81	0.00	1.81 50.0 0.91
03/10/2017	75501897	KULL, MARY		**PRUDENTIAL JENNISON NATURAL	B	0.00	1.20	0.00	1.20 50.0 0.60
03/10/2017	75501897	KULL, MARY		**PRUDENTIAL JENNISON HEALTH	B	0.00	4.02	0.00	4.02 50.0 2.01
03/10/2017	75501897	KULL, MARY		**PRUDENTIAL JENNISON UTILITY	B	0.00	4.94	0.00	4.94 50.0 2.47
03/10/2017	75501898	LIBOVE, MICHAEL		FIDELITY ADVISOR SMALL CAP FUND CLA B	B	0.00	4.39	0.00	4.39 50.0 2.20
03/10/2017	75501898	LIBOVE, MICHAEL		THE INCOME FUND OF AMERICA-A	B	0.00	0.55	0.00	0.55 50.0 0.00
03/10/2017	75501899	O'NEILL, LINDA		**AMG MANAGERS CADENCE MID CAP	B	0.00	4.32	0.00	4.32 50.0 2.16
03/10/2017	75501899	O'NEILL, LINDA		**PRUDENTIAL JENNISON 20/20	B	0.00	3.74	0.00	3.74 50.0 1.87
03/10/2017	75501899	O'NEILL, LINDA		CAPITAL WORLD GROWTH AND INCOME FUN B	B	0.00	2.34	0.00	2.34 50.0 1.17
03/10/2017	75501899	O'NEILL, LINDA		NEW PERSPECTIVE FUND-A	B	0.00	8.84	0.00	8.84 50.0 4.42
03/10/2017	75501899	O'NEILL, LINDA		NEW WORLD FUND-A	B	0.00	2.27	0.00	2.27 50.0 1.14
03/10/2017	75501899	O'NEILL, LINDA		OPPENHEIMER DEVELOPING MARKETS CLAS B	B	0.00	2.09	0.00	2.09 50.0 1.05
03/10/2017	75501899	O'NEILL, LINDA		THE INVESTMENT COMPANY OF AMERICA-A B	B	0.00	2.69	0.00	2.69 50.0 1.35
03/10/2017	75501902	ARMSTRONG, AMANDA		**HENDERSON INTERNATIONAL	B	0.00	0.95	0.00	0.95 50.0 0.00
03/10/2017	75501902	ARMSTRONG, AMANDA		ALLIANZ NFJ LARGE CAP VALUE FUND CL B	B	0.00	1.07	0.00	1.07 50.0 0.54
03/10/2017	75501902	ARMSTRONG, AMANDA		TEMP GLOBAL BOND FND - CL A	B	0.00	0.95	0.00	0.95 50.0 0.00
03/10/2017	75501902	ARMSTRONG, AMANDA		THE GROWTH FUND OF AMERICA-A	B	0.00	0.81	0.00	0.81 50.0 0.00
03/10/2017	75501902	ARMSTRONG, AMANDA		THE HARTFORD MID CAP FUND-A	B	0.00	5.10	0.00	5.10 50.0 2.55
03/10/2017	75501902	ARMSTRONG, AMANDA		WASHINGTON MUTUAL INVESTORS FUND-A B	B	0.00	1.99	0.00	1.99 50.0 1.00
03/28/2017	75501902	ARMSTRONG, AMANDA		**VICTORY PORTFOLIOS	B	0.00	0.73	0.00	0.73 50.0 0.00
03/10/2017	75501903	ARMSTRONG, AMANDA		**GUGGENHEIM FDS TR	B	0.00	1.45	0.00	1.45 50.0 0.73
03/10/2017	75501903	ARMSTRONG, AMANDA		EUROPACIFIC GROWTH FUND-A	B	0.00	1.18	0.00	1.18 50.0 0.59
03/10/2017	75501903	ARMSTRONG, AMANDA		THE GROWTH FUND OF AMERICA-A	B	0.00	1.83	0.00	1.83 50.0 0.92
03/10/2017	75501905	TANCREDI, NICHOLAS		CAPITAL INCOME A	B	0.00	1.96	0.00	1.96 50.0 0.98
03/10/2017	75501905	TANCREDI, NICHOLAS		GLOBAL FUND A	B	0.00	1.24	0.00	1.24 50.0 0.62
03/10/2017	75501905	TANCREDI, NICHOLAS		GLOBAL OPPORTUNITIES A	B	0.00	3.52	0.00	3.52 50.0 1.76
03/10/2017	75501905	TANCREDI, NICHOLAS		LORD ABBETT INVT TR TOTAL RETURN FU B	B	0.00	0.83	0.00	0.83 50.0 0.00
03/10/2017	75501905	TANCREDI, NICHOLAS		OPPENHEIMER 68380L100	B	0.00	1.14	0.00	1.14 50.0 0.57
03/10/2017	75501905	TANCREDI, NICHOLAS		OPPENHEIMER DEVELOPING MARKETS CLAS B	B	0.00	2.07	0.00	2.07 50.0 1.04
03/10/2017	75501905	TANCREDI, NICHOLAS		THE HARTFORD CAPITAL APPRECIATION F B	B	0.00	2.20	0.00	2.20 50.0 1.10

COMMISSION STATEMENT for JANICE GINSBURG

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
03/10/2017	75501905	TANCREDI, NICHOLAS	THE HARTFORD FLOATING RATE FUND - A	B	0.00	1.36	0.00	1.36	50.0	0.68
03/10/2017	75501965	JACKSON, ROSALYN	**GUGGENHEIM FDS TR	B	0.00	1.83	0.00	1.83	50.0	0.92
03/10/2017	75501965	JACKSON, ROSALYN	DAVIS NEW YORK VENTURE CLASS A	B	0.00	0.97	0.00	0.97	50.0	0.00
03/10/2017	75501995	SEPTIEN, ALEC	**GUGGENHEIM FDS TR	B	0.00	0.48	0.00	0.48	50.0	0.00
03/10/2017	75501995	SEPTIEN, ALEC	NEW WORLD FUND-A	B	0.00	0.67	0.00	0.67	50.0	0.00
03/10/2017	75502077	GINSBURG, VIVIAN	CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	6.98	0.00	6.98	50.0	3.49
03/10/2017	75502077	GINSBURG, VIVIAN	EATON VANCE LARGE CAP VALUE FUND CL	B	0.00	1.26	0.00	1.26	50.0	0.63
03/10/2017	75502077	GINSBURG, VIVIAN	EATON VANCE NATIONAL MUNICIPAL FUND	B	0.00	7.21	0.00	7.21	50.0	3.61
03/10/2017	75502077	GINSBURG, VIVIAN	FRK FL TF INC FND - CL A	B	0.00	3.20	0.00	3.20	50.0	1.60
03/10/2017	75502077	GINSBURG, VIVIAN	HIGH YIELD A	B	0.00	2.96	0.00	2.96	50.0	1.48
03/10/2017	75502077	GINSBURG, VIVIAN	INCOME FUND AMER INC CL F1	B	0.00	9.19	0.00	9.19	50.0	4.60
03/10/2017	75502077	GINSBURG, VIVIAN	MFS HIGH-YIELD OPPORTUNITIES FUND C	B	0.00	0.79	0.00	0.79	50.0	0.00
03/10/2017	75502077	GINSBURG, VIVIAN	THE HARTFORD MID CAP FUND-A	B	0.00	2.21	0.00	2.21	50.0	1.11
03/10/2017	75502084	TREICHLER, CHARLES	ALLIANZ NFJ LARGE CAP VALUE FUND CL	B	0.00	2.09	0.00	2.09	50.0	1.05
03/10/2017	75502084	TREICHLER, CHARLES	SHORT-TERM BOND FUND OF AMERICA - A	B	0.00	0.51	0.00	0.51	50.0	0.00
03/10/2017	75502085	GINSBURG, JANICE	**PRUDENTIAL JENNISON 20/20	B	0.00	1.58	0.00	1.58	50.0	0.79
03/10/2017	75502085	GINSBURG, JANICE	MAINSTAY MAP FUND A	B	0.00	1.53	0.00	1.53	50.0	0.77
03/10/2017	75502085	GINSBURG, JANICE	OPPENHEIMER DEVELOPING MARKETS CLAS	B	0.00	0.89	0.00	0.89	50.0	0.00
03/28/2017	75502085	GINSBURG, JANICE	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.88	0.00	0.88	50.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$972.46	\$0.00	\$972.46	\$474.62	
*** BROKER TRANSACTIONS TOTAL ***					\$27,069.35	\$1,097.74	\$0.00	\$1,097.74	\$512.26	

**BROKER COMMISSION TOTALS**

Broker Transactions	\$512.26
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-1.37
SIPC Assessment	\$-20.58

Check Amount	\$490.31
Year-to-date Earnings	\$1,960.61