



# COMMISSION STATEMENT

## September 17, 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>								
09/17/2018	***-**-3500 - NIELSEN, JEFFREY	DELAWARE INV MF TRAILS	150.00	6.00	0.00	6.00	95.0	5.70
	ACCOUNT #: 6000305476	BUY 0 Units @0.0000						
		<b>* MUTUAL FUNDS SUBTOTAL *</b>	<b>\$150.00</b>	<b>\$6.00</b>	<b>\$0.00</b>	<b>\$6.00</b>		<b>\$5.70</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
09/10/2018	***-**-60CL - KALINOWSKI,	LINCOLN 008148728	54.29	1.09	0.00	1.09	95.0	1.04
	ACCOUNT #: F1525479	BUY 0 Units @0.0000						
09/10/2018	***-**-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						
09/14/2018	***-**-1169 - THOMAS, ANDREW	SBL 814121364	1,187.60	17.80	0.00	17.80	95.0	16.91
	ACCOUNT #: 8027874	BUY 0 Units @0.0000						
		<b>* VARIABLE ANNUITIES SUBTOTAL *</b>	<b>\$1,341.89</b>	<b>\$18.89</b>	<b>\$0.00</b>	<b>\$18.89</b>		<b>\$17.95</b>
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
09/04/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 01438811646	BUY 2 Units @28.7600						
09/04/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 01429492661	BUY 2 Units @28.7600						
09/04/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 00625264015	BUY 2 Units @28.7600						
		<b>* 529 PLAN SUBTOTAL *</b>	<b>\$150.00</b>	<b>\$1.50</b>	<b>\$0.00</b>	<b>\$1.50</b>		<b>\$1.44</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/04/2018	***-**-365P - SIRIANNI, CAROL	AMCAP FUND-A	0.00	3.46	0.00	3.46	95.0	3.29
	ACCOUNT #: 00066757942	BUY 0 Units @0.0000						
09/04/2018	***-**-02IN - RIDD, HERBERT	AMERICAN BALANCED FUND-A	0.00	2.91	0.00	2.91	95.0	2.76
	ACCOUNT #: 00059436097	BUY 0 Units @0.0000						
09/04/2018	***-**-085P - DOW, EVELYN	AMERICAN BALANCED FUND-A	0.00	14.13	0.00	14.13	95.0	13.42
	ACCOUNT #: 00060629652	BUY 0 Units @0.0000						
09/04/2018	***-**-575P - MICHIELSEN,	AMERICAN BALANCED FUND-A	0.00	4.04	0.00	4.04	95.0	3.84
	ACCOUNT #: 00060629654	BUY 0 Units @0.0000						
09/04/2018	***-**-575P - MICHIELSEN,	AMERICAN BALANCED FUND-A	0.00	65.23	0.00	65.23	95.0	61.97
	ACCOUNT #: 00062297157	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/04/2018	***-**-785P - BEITER, MITCHELL	AMERICAN BALANCED FUND-A	0.00	0.96	0.00	0.96	95.0	0.91
	ACCOUNT #: 00063796408	BUY 0 Units @0.0000						
09/04/2018	***-**-115P - RICHARDSON,	AMERICAN BALANCED FUND-A	0.00	6.95	0.00	6.95	95.0	6.60
	ACCOUNT #: 00067172975	BUY 0 Units @0.0000						
09/04/2018	***-**-4924 - SHEWAN, ROBERT	AMERICAN BALANCED FUND-A	0.00	3.90	0.00	3.90	95.0	3.71
	ACCOUNT #: 00067460220	BUY 0 Units @0.0000						
09/04/2018	***-**-624I - MICHIENSEN,	AMERICAN BALANCED FUND-A	0.00	44.20	0.00	44.20	95.0	41.99
	ACCOUNT #: 00073038560	BUY 0 Units @0.0000						
09/04/2018	***-**-41IN - DOW, EVELYN	AMERICAN BALANCED FUND-A	0.00	16.18	0.00	16.18	95.0	15.37
	ACCOUNT #: 00073395699	BUY 0 Units @0.0000						
09/04/2018	***-**-32UG - UNTIL AGE 21,	AMERICAN BALANCED FUND-A	0.00	0.30	0.00	0.30	95.0	0.29
	ACCOUNT #: 00075762655	BUY 0 Units @0.0000						
09/04/2018	***-**-985P - PUM, STEPHEN	AMERICAN BALANCED FUND-A	0.00	9.81	0.00	9.81	95.0	9.32
	ACCOUNT #: 00082002053	BUY 0 Units @0.0000						
09/04/2018	***-**-999J - FEDIGAN, KAREN	AMERICAN BALANCED FUND-A	0.00	0.76	0.00	0.76	95.0	0.72
	ACCOUNT #: 00084200734	BUY 0 Units @0.0000						
09/04/2018	***-**-286I - SANCHEZ,	AMERICAN BALANCED FUND-A	0.00	1.11	0.00	1.11	95.0	1.05
	ACCOUNT #: 00060481746	BUY 0 Units @0.0000						
09/04/2018	***-**-4924 - SHEWAN, ROBERT	AMERICAN BALANCED FUND-F1	0.00	57.36	0.00	57.36	95.0	54.49
	ACCOUNT #: 00067460220	BUY 0 Units @0.0000						
09/04/2018	***-**-35IN - LIGHT AND POWER,	AMERICAN HIGH-INCOME TRUST-A	0.00	9.10	0.00	9.10	95.0	8.65
	ACCOUNT #: 00081655418	BUY 0 Units @0.0000						
09/04/2018	***-**-381I - LEIBERT,	AMERICAN HIGH-INCOME TRUST-A	0.00	2.83	0.00	2.83	95.0	2.69
	ACCOUNT #: 00064092230	BUY 0 Units @0.0000						
09/04/2018	***-**-555P - BOUGHNER,	AMERICAN HIGH-INCOME TRUST-A	0.00	0.69	0.00	0.69	95.0	0.66
	ACCOUNT #: 00067430532	BUY 0 Units @0.0000						
09/04/2018	***-**-871I - JONG, CHENG	AMERICAN HIGH-INCOME TRUST-A	0.00	3.07	0.00	3.07	95.0	2.92
	ACCOUNT #: 00075328621	BUY 0 Units @0.0000						
09/04/2018	***-**-32UG - UNTIL AGE 21,	AMERICAN HIGH-INCOME TRUST-A	0.00	0.22	0.00	0.22	95.0	0.21
	ACCOUNT #: 00075762655	BUY 0 Units @0.0000						
09/04/2018	***-**-454I - CONNELLY, JOSEPH	AMERICAN HIGH-INCOME TRUST-A	0.00	1.73	0.00	1.73	95.0	1.64
	ACCOUNT #: 00081872960	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/04/2018	***-**-20UG - BERKOVIC, SAMUEL	AMERICAN HIGH-INCOME TRUST-A	0.00	0.22	0.00	0.22	95.0	0.21
	ACCOUNT #: 00083926270	BUY 0 Units @0.0000						
09/04/2018	***-**-9334 - COX, CAROL	AMERICAN HIGH-INCOME TRUST-A	0.00	1.92	0.00	1.92	95.0	1.82
	ACCOUNT #: 00084721969	BUY 0 Units @0.0000						
09/04/2018	***-**-265P - COLEMAN, FRANCES	AMERICAN HIGH-INCOME TRUST-C	0.00	42.18	0.00	42.18	95.0	40.07
	ACCOUNT #: 00061321044	BUY 0 Units @0.0000						
09/04/2018	***-**-1684 - PLUMERI, RICHARD	AMERICAN MUTUAL FUND-A	0.00	2.14	0.00	2.14	95.0	2.03
	ACCOUNT #: 00085863359	BUY 0 Units @0.0000						
09/04/2018	***-**-265P - COLEMAN, FRANCES	CAPITAL INCOME BUILDER CLASS C	0.00	51.51	0.00	51.51	95.0	48.93
	ACCOUNT #: 00061321044	BUY 0 Units @0.0000						
09/04/2018	***-**-6152 - WANNER, ROBERT	CAPITAL INCOME BUILDER-A	0.00	7.08	0.00	7.08	95.0	6.73
	ACCOUNT #: 00059744795	BUY 0 Units @0.0000						
09/04/2018	***-**-9824 - WANNER, BEVERLY	CAPITAL INCOME BUILDER-A	0.00	2.64	0.00	2.64	95.0	2.51
	ACCOUNT #: 00084710710	BUY 0 Units @0.0000						
09/04/2018	***-**-731J - BERKOVIC, MIRIAM	CAPITAL INCOME BUILDER-A	0.00	1.51	0.00	1.51	95.0	1.43
	ACCOUNT #: 00081557490	BUY 0 Units @0.0000						
09/04/2018	***-**-35IN - LIGHT AND POWER,	CAPITAL INCOME BUILDER-A	0.00	15.31	0.00	15.31	95.0	14.54
	ACCOUNT #: 00081655418	BUY 0 Units @0.0000						
09/04/2018	***-**-619I - LEIFER, BLIMA	CAPITAL INCOME BUILDER-A	0.00	0.37	0.00	0.37	95.0	0.35
	ACCOUNT #: 00083694007	BUY 0 Units @0.0000						
09/04/2018	***-**-240I - LEIFER, JOEL	CAPITAL INCOME BUILDER-A	0.00	0.37	0.00	0.37	95.0	0.35
	ACCOUNT #: 00083694075	BUY 0 Units @0.0000						
09/04/2018	***-**-2256 - SPITZER, HERSHEL	CAPITAL INCOME BUILDER-A	0.00	6.59	0.00	6.59	95.0	6.26
	ACCOUNT #: 00083997024	BUY 0 Units @0.0000						
09/04/2018	***-**-01IN - GARY, PEARL	CAPITAL INCOME BUILDER-A	0.00	5.76	0.00	5.76	95.0	5.47
	ACCOUNT #: 00059748655	BUY 0 Units @0.0000						
09/04/2018	***-**-239I - LEIBERT, JOHN	CAPITAL INCOME BUILDER-A	0.00	8.62	0.00	8.62	95.0	8.19
	ACCOUNT #: 00059945953	BUY 0 Units @0.0000						
09/04/2018	***-**-075P - STRABEL, LEISA	CAPITAL INCOME BUILDER-A	0.00	3.55	0.00	3.55	95.0	3.37
	ACCOUNT #: 00064401709	BUY 0 Units @0.0000						
09/04/2018	***-**-085P - DOW, EVELYN	CAPITAL INCOME BUILDER-A	0.00	4.86	0.00	4.86	95.0	4.62
	ACCOUNT #: 00064977301	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/04/2018	***-**-0851 - WADEIKIS, WANDA	CAPITAL INCOME BUILDER-A	0.00	4.57	0.00	4.57	95.0	4.34
	ACCOUNT #: 00066573086	BUY 0 Units @0.0000						
09/04/2018	***-**-435P - ANTINORE, EMILY	CAPITAL INCOME BUILDER-A	0.00	0.92	0.00	0.92	95.0	0.87
	ACCOUNT #: 00067185955	BUY 0 Units @0.0000						
09/04/2018	***-**-4924 - SHEWAN, ROBERT	CAPITAL INCOME BUILDER-A	0.00	13.51	0.00	13.51	95.0	12.83
	ACCOUNT #: 00067460220	BUY 0 Units @0.0000						
09/04/2018	***-**-41IN - DOW, EVELYN	CAPITAL INCOME BUILDER-A	0.00	11.63	0.00	11.63	95.0	11.05
	ACCOUNT #: 00073395699	BUY 0 Units @0.0000						
09/04/2018	***-**-963P - NOLAN, SARAH	CAPITAL INCOME BUILDER-A	0.00	11.56	0.00	11.56	95.0	10.98
	ACCOUNT #: 00075862818	BUY 0 Units @0.0000						
09/04/2018	***-**-395P - LEIBERT, JOHN	CAPITAL INCOME BUILDER-A	0.00	11.32	0.00	11.32	95.0	10.75
	ACCOUNT #: 00067874306	BUY 0 Units @0.0000						
09/04/2018	***-**-731J - BERKOVIC, MIRIAM	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.80	0.00	1.80	95.0	1.71
	ACCOUNT #: 00081557490	BUY 0 Units @0.0000						
09/04/2018	***-**-619I - LEIFER, BLIMA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.41	0.00	0.41	95.0	0.39
	ACCOUNT #: 00083694007	BUY 0 Units @0.0000						
09/04/2018	***-**-240I - LEIFER, JOEL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.41	0.00	0.41	95.0	0.39
	ACCOUNT #: 00083694075	BUY 0 Units @0.0000						
09/04/2018	***-**-62IN - HORN, SIMON	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	9.97	0.00	9.97	95.0	9.47
	ACCOUNT #: 00083726303	BUY 0 Units @0.0000						
09/04/2018	***-**-107I - EHRMENTRAUT,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	8.06	0.00	8.06	95.0	7.66
	ACCOUNT #: 00060874410	BUY 0 Units @0.0000						
09/04/2018	***-**-381I - LEIBERT,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	18.44	0.00	18.44	95.0	17.52
	ACCOUNT #: 00064092230	BUY 0 Units @0.0000						
09/04/2018	***-**-295P - MICHIELSEN,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	35.32	0.00	35.32	95.0	33.55
	ACCOUNT #: 00064215253	BUY 0 Units @0.0000						
09/04/2018	***-**-575P - TAYLOR, JAMES	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	4.57	0.00	4.57	95.0	4.34
	ACCOUNT #: 00064615317	BUY 0 Units @0.0000						
09/04/2018	***-**-41IN - DOW, EVELYN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	14.99	0.00	14.99	95.0	14.24
	ACCOUNT #: 00073395699	BUY 0 Units @0.0000						
09/04/2018	***-**-454I - CONNELLY, JOSEPH	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.82	0.00	1.82	95.0	1.73
	ACCOUNT #: 00081872960	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/04/2018	***-**-77IR - FEDIGAN, GEORGE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.12	0.00	0.12	95.0	0.11
	ACCOUNT #: 00083145278	BUY 0 Units @0.0000						
09/04/2018	***-**-0596 - ANTONELLI, LORI	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	7.48	0.00	7.48	95.0	7.11
	ACCOUNT #: 00084193573	BUY 0 Units @0.0000						
09/04/2018	***-**-1684 - PLUMERI, RICHARD	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.86	0.00	1.86	95.0	1.77
	ACCOUNT #: 00085863359	BUY 0 Units @0.0000						
09/04/2018	***-**-619I - LEIFER, BLIMA	EUROPACIFIC GROWTH FUND-A	0.00	0.35	0.00	0.35	95.0	0.33
	ACCOUNT #: 00083694007	BUY 0 Units @0.0000						
09/04/2018	***-**-240I - LEIFER, JOEL	EUROPACIFIC GROWTH FUND-A	0.00	0.35	0.00	0.35	95.0	0.33
	ACCOUNT #: 00083694075	BUY 0 Units @0.0000						
09/04/2018	***-**-2256 - SPITZER, HERSHEL	EUROPACIFIC GROWTH FUND-A	0.00	6.93	0.00	6.93	95.0	6.58
	ACCOUNT #: 00083997024	BUY 0 Units @0.0000						
09/04/2018	***-**-826I - NOEL, DARIN	EUROPACIFIC GROWTH FUND-A	0.00	15.96	0.00	15.96	95.0	15.16
	ACCOUNT #: 00061353388	BUY 0 Units @0.0000						
09/04/2018	***-**-2950 - LYAU, EDWARD	EUROPACIFIC GROWTH FUND-A	0.00	2.72	0.00	2.72	95.0	2.58
	ACCOUNT #: 00083978411	BUY 0 Units @0.0000						
09/04/2018	***-**-9824 - WANNER, BEVERLY	FUNDAMENTAL INVESTORS-A	0.00	3.60	0.00	3.60	95.0	3.42
	ACCOUNT #: 00084710710	BUY 0 Units @0.0000						
09/04/2018	***-**-619I - LEIFER, BLIMA	FUNDAMENTAL INVESTORS-A	0.00	1.11	0.00	1.11	95.0	1.05
	ACCOUNT #: 00083694007	BUY 0 Units @0.0000						
09/04/2018	***-**-240I - LEIFER, JOEL	FUNDAMENTAL INVESTORS-A	0.00	1.11	0.00	1.11	95.0	1.05
	ACCOUNT #: 00083694075	BUY 0 Units @0.0000						
09/04/2018	***-**-2256 - SPITZER, HERSHEL	FUNDAMENTAL INVESTORS-A	0.00	17.13	0.00	17.13	95.0	16.27
	ACCOUNT #: 00083997024	BUY 0 Units @0.0000						
09/04/2018	***-**-32UG - UNTIL AGE 21,	FUNDAMENTAL INVESTORS-A	0.00	0.35	0.00	0.35	95.0	0.33
	ACCOUNT #: 00075762655	BUY 0 Units @0.0000						
09/04/2018	***-**-454I - CONNELLY, JOSEPH	FUNDAMENTAL INVESTORS-A	0.00	2.22	0.00	2.22	95.0	2.11
	ACCOUNT #: 00081872960	BUY 0 Units @0.0000						
09/04/2018	***-**-705P - SAMSON, ELENA	GROWTH FUND OF AMERICA CLASS F	0.00	4.59	0.00	4.59	95.0	4.36
	ACCOUNT #: 00067294522	BUY 0 Units @0.0000						
09/04/2018	***-**-1684 - PLUMERI, RICHARD	INCOME FUND OF AMERICA CLASS C	0.00	413.90	0.00	413.90	95.0	393.21
	ACCOUNT #: 00088375169	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/04/2018	***-**-01IN - GARY, PEARL	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.70	0.00	0.70	95.0	0.67
	ACCOUNT #: 00059748655	BUY 0 Units @0.0000						
09/04/2018	***-**-881I - RUSSELL, WILLIAM	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	3.89	0.00	3.89	95.0	3.70
	ACCOUNT #: 00064817174	BUY 0 Units @0.0000						
09/04/2018	***-**-116I - RUSSELL, BARBARA	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	4.04	0.00	4.04	95.0	3.84
	ACCOUNT #: 00064817175	BUY 0 Units @0.0000						
09/04/2018	***-**-855I - SEARS, SCOTT	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 00073606520	BUY 0 Units @0.0000						
09/04/2018	***-**-06IR - FREDERES, AIMEE	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.69	0.00	0.69	95.0	0.66
	ACCOUNT #: 00084225968	BUY 0 Units @0.0000						
09/17/2018	***-**-60CL - KALINOWSKI,	JANUS MF TRAILS	0.00	5.11	0.00	5.11	95.0	4.85
		BUY 0 Units @0.0000						
09/04/2018	***-**-2256 - SPITZER, HERSHEL	NEW PERSPECTIVE FUND-A	0.00	15.39	0.00	15.39	95.0	14.62
	ACCOUNT #: 00083997024	BUY 0 Units @0.0000						
09/04/2018	***-**-56IN - LOVELL, KATHLEEN	NEW PERSPECTIVE FUND-A	0.00	20.95	0.00	20.95	95.0	19.90
	ACCOUNT #: 00058095452	BUY 0 Units @0.0000						
09/04/2018	***-**-413I - STEVENSON,	NEW PERSPECTIVE FUND-A	0.00	14.97	0.00	14.97	95.0	14.22
	ACCOUNT #: 00058276228	BUY 0 Units @0.0000						
09/04/2018	***-**-239I - LEIBERT, JOHN	NEW PERSPECTIVE FUND-A	0.00	6.95	0.00	6.95	95.0	6.60
	ACCOUNT #: 00059945953	BUY 0 Units @0.0000						
09/04/2018	***-**-96IN - SAVAGE, COLETTE	NEW PERSPECTIVE FUND-A	0.00	0.32	0.00	0.32	95.0	0.30
	ACCOUNT #: 00059979619	BUY 0 Units @0.0000						
09/04/2018	***-**-145P - WYBLE/SAR SEP,	NEW PERSPECTIVE FUND-A	0.00	14.09	0.00	14.09	95.0	13.39
	ACCOUNT #: 00060419912	BUY 0 Units @0.0000						
09/04/2018	***-**-27IN - EHRMENTRAUT,	NEW PERSPECTIVE FUND-A	0.00	2.21	0.00	2.21	95.0	2.10
	ACCOUNT #: 00060884074	BUY 0 Units @0.0000						
09/04/2018	***-**-435P - KELLOGG, RICHARD	NEW PERSPECTIVE FUND-A	0.00	0.27	0.00	0.27	95.0	0.26
	ACCOUNT #: 00061322116	BUY 0 Units @0.0000						
09/04/2018	***-**-741I - FESTA, LARA	NEW PERSPECTIVE FUND-A	0.00	2.20	0.00	2.20	95.0	2.09
	ACCOUNT #: 00061665453	BUY 0 Units @0.0000						
09/04/2018	***-**-810I - SULLIVAN,	NEW PERSPECTIVE FUND-A	0.00	8.76	0.00	8.76	95.0	8.32
	ACCOUNT #: 00062083139	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/04/2018	***-**-415P - FESTA, LARA	NEW PERSPECTIVE FUND-A	0.00	7.60	0.00	7.60	95.0	7.22
	ACCOUNT #: 00062296694	BUY 0 Units @0.0000						
09/04/2018	***-**-8190 - MURPHY, DAVID	NEW PERSPECTIVE FUND-A	0.00	11.27	0.00	11.27	95.0	10.71
	ACCOUNT #: 00062296696	BUY 0 Units @0.0000						
09/04/2018	***-**-035P - STEVENSON,	NEW PERSPECTIVE FUND-A	0.00	11.63	0.00	11.63	95.0	11.05
	ACCOUNT #: 00062824311	BUY 0 Units @0.0000						
09/04/2018	***-**-375P - ASITO, VINCENT	NEW PERSPECTIVE FUND-A	0.00	2.82	0.00	2.82	95.0	2.68
	ACCOUNT #: 00063116804	BUY 0 Units @0.0000						
09/04/2018	***-**-265P - HARRIS,	NEW PERSPECTIVE FUND-A	0.00	22.20	0.00	22.20	95.0	21.09
	ACCOUNT #: 00063558802	BUY 0 Units @0.0000						
09/04/2018	***-**-405P - WILSON, JUSTIN	NEW PERSPECTIVE FUND-A	0.00	1.95	0.00	1.95	95.0	1.85
	ACCOUNT #: 00064487007	BUY 0 Units @0.0000						
09/04/2018	***-**-505P - KACHMARYK,	NEW PERSPECTIVE FUND-A	0.00	0.57	0.00	0.57	95.0	0.54
	ACCOUNT #: 00064746204	BUY 0 Units @0.0000						
09/04/2018	***-**-305P - GRIFFIN, THOMAS	NEW PERSPECTIVE FUND-A	0.00	6.30	0.00	6.30	95.0	5.99
	ACCOUNT #: 00066572457	BUY 0 Units @0.0000						
09/04/2018	***-**-365P - SIRIANNI, CAROL	NEW PERSPECTIVE FUND-A	0.00	2.06	0.00	2.06	95.0	1.96
	ACCOUNT #: 00066757942	BUY 0 Units @0.0000						
09/04/2018	***-**-685P - COLUNIO, DYLAN	NEW PERSPECTIVE FUND-A	0.00	1.08	0.00	1.08	95.0	1.03
	ACCOUNT #: 00074422643	BUY 0 Units @0.0000						
09/04/2018	***-**-685P - HARRIS,	NEW PERSPECTIVE FUND-A	0.00	11.56	0.00	11.56	95.0	10.98
	ACCOUNT #: 00074422738	BUY 0 Units @0.0000						
09/04/2018	***-**-20UG - BERKOVIC, SAMUEL	NEW PERSPECTIVE FUND-A	0.00	0.35	0.00	0.35	95.0	0.33
	ACCOUNT #: 00083926270	BUY 0 Units @0.0000						
09/04/2018	***-**-1493 -	NEW PERSPECTIVE FUND-A	0.00	27.42	0.00	27.42	95.0	26.05
	ACCOUNT #: 00084268361	BUY 0 Units @0.0000						
09/04/2018	***-**-395P - LEIBERT, JOHN	NEW PERSPECTIVE FUND-A	0.00	7.48	0.00	7.48	95.0	7.11
	ACCOUNT #: 00067874306	BUY 0 Units @0.0000						
09/04/2018	***-**-381I - LEIBERT,	NEW WORLD FUND-A	0.00	6.14	0.00	6.14	95.0	5.83
	ACCOUNT #: 00064092230	BUY 0 Units @0.0000						
09/04/2018	***-**-4924 - SHEWAN, ROBERT	NEW WORLD FUND-A	0.00	4.62	0.00	4.62	95.0	4.39
	ACCOUNT #: 00067460220	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/04/2018	***-**-365P - KOENIG, DAVID	NEW WORLD FUND-A	0.00	3.30	0.00	3.30	95.0	3.14
	ACCOUNT #: 00074845577	BUY 0 Units @0.0000						
09/04/2018	***-**-995P - RICHARDSON,	NEW WORLD FUND-A	0.00	12.57	0.00	12.57	95.0	11.94
	ACCOUNT #: 00075949235	BUY 0 Units @0.0000						
09/04/2018	***-**-454I - CONNELLY, JOSEPH	NEW WORLD FUND-A	0.00	1.66	0.00	1.66	95.0	1.58
	ACCOUNT #: 00081872960	BUY 0 Units @0.0000						
09/04/2018	***-**-7163 - HARVILL, DARREN	NEW WORLD FUND-A	0.00	0.72	0.00	0.72	95.0	0.68
	ACCOUNT #: 00083806914	BUY 0 Units @0.0000						
09/04/2018	***-**-92CL - HAWRYLIAK,	NEW WORLD FUND-R3	0.00	34.49	0.00	34.49	95.0	32.77
	ACCOUNT #: 01241468992	BUY 0 Units @0.0000						
09/17/2018	***-**-53AK - SUPERIOR	QUALIFIED PLAN SUMMARY	0.00	4.12	0.00	4.12	95.0	3.91
	ACCOUNT #: 07607400867	BUY 0 Units @0.0000						
09/04/2018	***-**-619I - LEIFER, BLIMA	SMALLCAP WORLD FUND-A	0.00	0.51	0.00	0.51	95.0	0.48
	ACCOUNT #: 00083694007	BUY 0 Units @0.0000						
09/04/2018	***-**-240I - LEIFER, JOEL	SMALLCAP WORLD FUND-A	0.00	0.51	0.00	0.51	95.0	0.48
	ACCOUNT #: 00083694075	BUY 0 Units @0.0000						
09/04/2018	***-**-826I - NOEL, DARIN	SMALLCAP WORLD FUND-A	0.00	8.96	0.00	8.96	95.0	8.51
	ACCOUNT #: 00061353388	BUY 0 Units @0.0000						
09/04/2018	***-**-871I - JONG, CHENG	SMALLCAP WORLD FUND-A	0.00	0.82	0.00	0.82	95.0	0.78
	ACCOUNT #: 00075328621	BUY 0 Units @0.0000						
09/04/2018	***-**-32UG - UNTIL AGE 21,	SMALLCAP WORLD FUND-A	0.00	0.30	0.00	0.30	95.0	0.29
	ACCOUNT #: 00075762655	BUY 0 Units @0.0000						
09/04/2018	***-**-9824 - WANNER, BEVERLY	THE BOND FUND OF AMERICA-A	0.00	1.32	0.00	1.32	95.0	1.25
	ACCOUNT #: 00084710710	BUY 0 Units @0.0000						
09/04/2018	***-**-413I - STEVENSON,	THE BOND FUND OF AMERICA-A	0.00	1.94	0.00	1.94	95.0	1.84
	ACCOUNT #: 00058276228	BUY 0 Units @0.0000						
09/04/2018	***-**-239I - LEIBERT, JOHN	THE BOND FUND OF AMERICA-A	0.00	4.66	0.00	4.66	95.0	4.43
	ACCOUNT #: 00059945953	BUY 0 Units @0.0000						
09/04/2018	***-**-085P - DOW, EVELYN	THE BOND FUND OF AMERICA-A	0.00	35.55	0.00	35.55	95.0	33.77
	ACCOUNT #: 00062297155	BUY 0 Units @0.0000						
09/04/2018	***-**-035P - STEVENSON,	THE BOND FUND OF AMERICA-A	0.00	4.27	0.00	4.27	95.0	4.06
	ACCOUNT #: 00062824311	BUY 0 Units @0.0000						





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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/04/2018	***-**-275P - EHRMENTRAUT, ACCOUNT #: 00064007329	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.31	0.00	3.31	95.0	3.14
09/04/2018	***-**-381I - LEIBERT, ACCOUNT #: 00064092230	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	4.89	0.00	4.89	95.0	4.65
09/04/2018	***-**-32UG - UNTIL AGE 21, ACCOUNT #: 00075762655	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.18	0.00	0.18	95.0	0.17
09/04/2018	***-**-9334 - COX, CAROL ACCOUNT #: 00084721969	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	6.75	0.00	6.75	95.0	6.41
09/04/2018	***-**-85IR - ARADINE, BRANDON ACCOUNT #: 00085499361	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.16	0.00	0.16	95.0	0.15
09/04/2018	***-**-545I - LACY, LEEANNE ACCOUNT #: 00085679830	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	29.29	0.00	29.29	95.0	27.83
09/04/2018	***-**-395P - LEIBERT, JOHN ACCOUNT #: 00067874306	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	7.22	0.00	7.22	95.0	6.86
09/04/2018	***-**-555P - BOUGHNER, ACCOUNT #: 00067430532	THE BOND FUND OF AMERICA-F1 BUY 0 Units @0.0000	0.00	0.09	0.00	0.09	95.0	0.09
09/04/2018	***-**-245P - KROETZ, BRIAN ACCOUNT #: 00067696473	THE GROWTH FUND OF AMERICA-529A BUY 0 Units @0.0000	0.00	9.90	0.00	9.90	95.0	9.41
09/04/2018	***-**-6152 - WANNER, ROBERT ACCOUNT #: 00059744795	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	14.25	0.00	14.25	95.0	13.54
09/04/2018	***-**-9824 - WANNER, BEVERLY ACCOUNT #: 00084710710	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.90	0.00	3.90	95.0	3.71
09/04/2018	***-**-6413 - KOZAK, LAUREN ACCOUNT #: 00086445258	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	11.13	0.00	11.13	95.0	10.57
09/04/2018	***-**-12IN - KATZ, NUCHEM ACCOUNT #: 00074530952	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.10	0.00	2.10	95.0	2.00
09/04/2018	***-**-619I - LEIFER, BLIMA ACCOUNT #: 00083694007	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.21	0.00	1.21	95.0	1.15
09/04/2018	***-**-240I - LEIFER, JOEL ACCOUNT #: 00083694075	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.21	0.00	1.21	95.0	1.15
09/04/2018	***-**-62IN - HORN, SIMON ACCOUNT #: 00083726303	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	14.59	0.00	14.59	95.0	13.86



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/04/2018	***-**-305P - GRIFFIN, THOMAS	THE GROWTH FUND OF AMERICA-A	0.00	5.97	0.00	5.97	95.0	5.67
	ACCOUNT #: 00066572457	BUY 0 Units @0.0000						
09/04/2018	***-**-425P - D'AMBROSIA,	THE GROWTH FUND OF AMERICA-A	0.00	20.95	0.00	20.95	95.0	19.90
	ACCOUNT #: 00066757936	BUY 0 Units @0.0000						
09/04/2018	***-**-32UG - UNTIL AGE 21,	THE GROWTH FUND OF AMERICA-A	0.00	7.55	0.00	7.55	95.0	7.17
	ACCOUNT #: 00075762655	BUY 0 Units @0.0000						
09/04/2018	***-**-2950 - LYAU, EDWARD	THE GROWTH FUND OF AMERICA-A	0.00	9.11	0.00	9.11	95.0	8.65
	ACCOUNT #: 00083978411	BUY 0 Units @0.0000						
09/04/2018	***-**-1493 -	THE GROWTH FUND OF AMERICA-A	0.00	31.70	0.00	31.70	95.0	30.12
	ACCOUNT #: 00084268361	BUY 0 Units @0.0000						
09/04/2018	***-**-2861 - SANCHEZ,	THE GROWTH FUND OF AMERICA-A	0.00	1.40	0.00	1.40	95.0	1.33
	ACCOUNT #: 00060481746	BUY 0 Units @0.0000						
09/04/2018	***-**-35IN - LIGHT AND POWER,	THE INCOME FUND OF AMERICA-A	0.00	20.95	0.00	20.95	95.0	19.90
	ACCOUNT #: 00081655418	BUY 0 Units @0.0000						
09/04/2018	***-**-01IN - GARY, PEARL	THE INCOME FUND OF AMERICA-A	0.00	15.57	0.00	15.57	95.0	14.79
	ACCOUNT #: 00059748655	BUY 0 Units @0.0000						
09/04/2018	***-**-02RO - ANDERSON, BRYAN	THE INCOME FUND OF AMERICA-A	0.00	0.20	0.00	0.20	95.0	0.19
	ACCOUNT #: 00087907579	BUY 0 Units @0.0000						
09/04/2018	***-**-02IN - RIDD, HERBERT	THE INCOME FUND OF AMERICA-A	0.00	9.27	0.00	9.27	95.0	8.81
	ACCOUNT #: 00059436097	BUY 0 Units @0.0000						
09/04/2018	***-**-239I - LEIBERT, JOHN	THE INCOME FUND OF AMERICA-A	0.00	9.71	0.00	9.71	95.0	9.22
	ACCOUNT #: 00059945953	BUY 0 Units @0.0000						
09/04/2018	***-**-826I - NOEL, DARIN	THE INCOME FUND OF AMERICA-A	0.00	11.43	0.00	11.43	95.0	10.86
	ACCOUNT #: 00061353388	BUY 0 Units @0.0000						
09/04/2018	***-**-085P - DOW, EVELYN	THE INCOME FUND OF AMERICA-A	0.00	19.10	0.00	19.10	95.0	18.15
	ACCOUNT #: 00062297155	BUY 0 Units @0.0000						
09/04/2018	***-**-887P - IVISON,	THE INCOME FUND OF AMERICA-A	0.00	20.52	0.00	20.52	95.0	19.49
	ACCOUNT #: 00063684899	BUY 0 Units @0.0000						
09/04/2018	***-**-381I - LEIBERT,	THE INCOME FUND OF AMERICA-A	0.00	19.91	0.00	19.91	95.0	18.91
	ACCOUNT #: 00064092230	BUY 0 Units @0.0000						
09/04/2018	***-**-0851 - WADEIKIS, WANDA	THE INCOME FUND OF AMERICA-A	0.00	3.57	0.00	3.57	95.0	3.39
	ACCOUNT #: 00066573086	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/04/2018	***-**-624I - MICHELSEN, ACCOUNT #: 00073038560	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	42.73	0.00	42.73	95.0	40.59
09/04/2018	***-**-32UG - UNTIL AGE 21, ACCOUNT #: 00075762655	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.27	0.00	0.27	95.0	0.26
09/04/2018	***-**-2950 - LYAU, EDWARD ACCOUNT #: 00083978411	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.49	0.00	3.49	95.0	3.32
09/04/2018	***-**-1684 - PLUMERI, RICHARD ACCOUNT #: 00085863359	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	19.84	0.00	19.84	95.0	18.85
09/04/2018	***-**-395P - LEIBERT, JOHN ACCOUNT #: 00067874306	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	12.65	0.00	12.65	95.0	12.02
09/04/2018	***-**-555I - BOUGHNER, ACCOUNT #: 00067457994	THE INCOME FUND OF AMERICA-F1 BUY 0 Units @0.0000	0.00	0.34	0.00	0.34	95.0	0.32
09/04/2018	***-**-563P - SEAMANS, HEIDE ACCOUNT #: 00067070348	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	2.05	0.00	2.05	95.0	1.95
09/04/2018	***-**-619I - LEIFER, BLIMA ACCOUNT #: 00083694007	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	0.97	0.00	0.97	95.0	0.92
09/04/2018	***-**-240I - LEIFER, JOEL ACCOUNT #: 00083694075	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	0.97	0.00	0.97	95.0	0.92
09/04/2018	***-**-81UG - MASON, STEPHANIE ACCOUNT #: 00062754646	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	2.86	0.00	2.86	95.0	2.72
09/04/2018	***-**-413I - STEVENSON, ACCOUNT #: 00058276228	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	6.27	0.00	6.27	95.0	5.96
09/04/2018	***-**-445P - RYAN/SEP, SANDRA ACCOUNT #: 00058720868	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	14.74	0.00	14.74	95.0	14.00
09/04/2018	***-**-96IN - SAVAGE, COLETTE ACCOUNT #: 00059979619	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	0.34	0.00	0.34	95.0	0.32
09/04/2018	***-**-826I - NOEL, DARIN ACCOUNT #: 00061353388	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	13.02	0.00	13.02	95.0	12.37
09/04/2018	***-**-57IN - TAYLOR, JAMES ACCOUNT #: 00061402987	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	1.24	0.00	1.24	95.0	1.18
09/04/2018	***-**-785P - BEITER, MITCHELL ACCOUNT #: 00063796406	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	1.15	0.00	1.15	95.0	1.09



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/04/2018	***-**-425P - D'AMBROSIA, ACCOUNT #: 00066757936	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	16.99	0.00	16.99	95.0	16.14
09/04/2018	***-**-365P - SIRIANNI, CAROL ACCOUNT #: 00066757942	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	3.29	0.00	3.29	95.0	3.13
09/04/2018	***-**-105P - HARRIS, BRIAN ACCOUNT #: 00066927861	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	23.10	0.00	23.10	95.0	21.95
09/04/2018	***-**-525P - HARRIS, ACCOUNT #: 00067048773	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	33.88	0.00	33.88	95.0	32.19
09/04/2018	***-**-135P - CANNON, CYNTHIA ACCOUNT #: 00067064127	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	2.16	0.00	2.16	95.0	2.05
09/04/2018	***-**-624I - MICHIENSEN, ACCOUNT #: 00073038560	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	49.58	0.00	49.58	95.0	47.10
09/04/2018	***-**-855I - SEARS, SCOTT ACCOUNT #: 00073606520	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	4.21	0.00	4.21	95.0	4.00
09/04/2018	***-**-575P - MALECKI, JADWIGA ACCOUNT #: 00074908057	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	8.68	0.00	8.68	95.0	8.25
09/04/2018	***-**-748J - FEDIGAN, GEORGE ACCOUNT #: 00084200738	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	7.07	0.00	7.07	95.0	6.72
09/04/2018	***-**-1684 - PLUMERI, RICHARD ACCOUNT #: 00085863359	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	2.34	0.00	2.34	95.0	2.22
09/04/2018	***-**-745P - MARASCO, DANIEL ACCOUNT #: 00088345345	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	15.54	0.00	15.54	95.0	14.76
09/04/2018	***-**-286I - SANCHEZ, ACCOUNT #: 00060481746	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	1.38	0.00	1.38	95.0	1.31
09/04/2018	***-**-96IN - SAVAGE, COLETTE ACCOUNT #: 00059979619	THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	0.39	0.00	0.39	95.0	0.37
09/04/2018	***-**-826I - NOEL, DARIN ACCOUNT #: 00061353388	THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	24.68	0.00	24.68	95.0	23.45
09/04/2018	***-**-175P - GRIFFIN, DONALD ACCOUNT #: 00063797688	THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	2.85	0.00	2.85	95.0	2.71
09/04/2018	***-**-31IN - KROETZ, BRIAN ACCOUNT #: 00064711186	THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	5.38	0.00	5.38	95.0	5.11



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/04/2018	***-**-624I - MICHELSEN, ACCOUNT #: 00073038560	THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	42.56	0.00	42.56	95.0	40.43
09/04/2018	***-**-31IN - KROETZ, BRIAN ACCOUNT #: 04001076508	THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	4.88	0.00	4.88	95.0	4.64
09/04/2018	***-**-731J - BERKOVIC, MIRIAM ACCOUNT #: 00081557490	U.S. GOVERNMENT SECURITIES FUND CLA BUY 0 Units @0.0000	0.00	0.81	0.00	0.81	95.0	0.77
09/04/2018	***-**-32UG - UNTIL AGE 21, ACCOUNT #: 00075762655	U.S. GOVERNMENT SECURITIES FUND CLA BUY 0 Units @0.0000	0.00	0.35	0.00	0.35	95.0	0.33
09/04/2018	***-**-5439 - JACOBS, JERRY ACCOUNT #: 00083752488	U.S. GOVERNMENT SECURITIES FUND CLA BUY 0 Units @0.0000	0.00	25.62	0.00	25.62	95.0	24.34
09/04/2018	***-**-94IN - SMITH, LAWRENCE ACCOUNT #: 00062143121	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	75.44	0.00	75.44	95.0	71.67
09/04/2018	***-**-035P - STEVENSON, ACCOUNT #: 00062824311	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	6.48	0.00	6.48	95.0	6.16
09/04/2018	***-**-785P - BEITER, MITCHELL ACCOUNT #: 00063796406	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	0.91	0.00	0.91	95.0	0.86
09/04/2018	***-**-85TR - HINES, KEVIN ACCOUNT #: 00064331015	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	2.85	0.00	2.85	95.0	2.71
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$2,175.88</b>	<b>\$0.00</b>	<b>\$2,175.88</b>		<b>\$2,067.09</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$1,641.89</b>	<b>\$2,202.27</b>	<b>\$0.00</b>	<b>\$2,202.27</b>		<b>\$2,092.18</b>

### VERRIDE TRANSACTIONS

#### **BROKER: RICHARD BIRNS**

09/17/2018	***-**-31UG - GIFT MIN ACT NY, ACCOUNT #: 08695273866	COLUMBIA FUNDS MF TRAILS BUY 0 Units @0.0000	0.00	2.37	0.00	2.37	20.0	0.47
09/05/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	HARTFORD CAPITAL APPRECIATION FUND BUY 0 Units @0.0000	0.00	1.80	0.00	1.80	20.0	0.36
09/05/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	HARTFORD CAPITAL APPRECIATION FUND BUY 0 Units @0.0000	0.00	15.88	0.00	15.88	20.0	3.18
09/05/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	1.34	0.00	1.34	20.0	0.27



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: RICHARD BIRNS (continued)</u></b>								
09/05/2018	***-**-447P - BIRNS, PHYLLIS	THE HARTFORD CAPITAL APPRECIATION F	0.00	2.83	0.00	2.83	20.0	0.57
	ACCOUNT #: 00000700389	BUY 0 Units @0.0000						
09/05/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD CAPITAL APPRECIATION F	0.00	23.44	0.00	23.44	20.0	4.69
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
09/05/2018	***-**-85IN - SEAMAN,	THE HARTFORD CAPITAL APPRECIATION F	0.00	1.51	0.00	1.51	20.0	0.30
	ACCOUNT #: 00022087686	BUY 0 Units @0.0000						
09/05/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	9.92	0.00	9.92	20.0	1.98
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
09/05/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F	0.00	3.08	0.00	3.08	20.0	0.62
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
09/05/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND	0.00	1.19	0.00	1.19	20.0	0.24
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
09/05/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD INTL OPPORTUNITIES FD-	0.00	13.25	0.00	13.25	20.0	2.65
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
09/05/2018	***-**-68IN - BIRNS, RICHARD	THE HARTFORD MID CAP FUND-A	0.00	23.84	0.00	23.84	20.0	4.77
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
09/05/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	0.00	2.83	0.00	2.83	20.0	0.57
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
09/04/2018	***-**-392I - FINE, JANET	THE INCOME FUND OF AMERICA-A	0.00	2.43	0.00	2.43	20.0	0.49
	ACCOUNT #: 04000418162	BUY 0 Units @0.0000						
<b>* RICHARD BIRNS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$105.71</b>	<b>\$0.00</b>	<b>\$105.71</b>		<b>\$21.16</b>
<b><u>BROKER: BARRY BRESIN</u></b>								
09/17/2018	***-**-21IN - BRESIN, EMMA	SAMMONS LIVEWELL MUTUAL FUND	0.00	196.33	0.00	196.33	15.0	29.45
	ACCOUNT #: 7200036096	BUY 0 Units @0.0000						
09/17/2018	***-**-939I - BRESIN, HOWARD	SAMMONS MF TRAILS	0.00	333.71	0.00	333.71	15.0	50.06
	ACCOUNT #: 7200036177	BUY 0 Units @0.0000						
09/04/2018	***-**-595P - MONSON, DAVID	THE INVESTMENT COMPANY OF AMERICA-A	0.00	6.33	0.00	6.33	15.0	0.95
	ACCOUNT #: 00064388607	BUY 0 Units @0.0000						
<b>* BARRY BRESIN SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$536.37</b>	<b>\$0.00</b>	<b>\$536.37</b>		<b>\$80.46</b>



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: WILLIAM ROBERTS</u> </b>								
09/04/2018	***-**-7989 - SMITH, MICHAEL	AMERICAN BALANCED FUND-529C	0.00	190.20	0.00	190.20	10.0	19.02
	ACCOUNT #: 00084869153	BUY 0 Units @0.0000						
09/04/2018	***-**-1606 - REUS, MARTHA	AMERICAN HIGH INCOME MUNI BOND CLAS	0.00	190.34	0.00	190.34	10.0	19.03
	ACCOUNT #: 00087392550	BUY 0 Units @0.0000						
09/04/2018	***-**-92IN - MULLER FAMILY	AMERICAN HIGH-INCOME TRUST-A	0.00	161.03	0.00	161.03	10.0	16.10
	ACCOUNT #: 00083914711	BUY 0 Units @0.0000						
09/04/2018	***-**-41EF - LEAHY, JEFFRIE	AMERICAN MUTUAL FUND-A	0.00	6,453.80	0.00	6,453.80	10.0	645.38
	ACCOUNT #: 00074805551	BUY 0 Units @0.0000						
<b> * WILLIAM ROBERTS SUBTOTAL * </b>			<b> \$0.00 </b>	<b> \$6,995.37 </b>	<b> \$0.00 </b>	<b> \$6,995.37 </b>		<b> \$699.53 </b>
<b> <u>BROKER: FREDERIC SCARPULLA</u> </b>								
09/04/2018	***-**-526I - CAVALLARO,	AMCAP FUND-A	0.00	2.48	0.00	2.48	10.0	0.25
	ACCOUNT #: 00067409966	BUY 0 Units @0.0000						
09/04/2018	***-**-765P - CRISPINO/, DAVID	AMCAP FUND-A	0.00	48.72	0.00	48.72	10.0	4.87
	ACCOUNT #: 00059085342	BUY 0 Units @0.0000						
09/04/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	0.00	61.51	0.00	61.51	10.0	6.15
	ACCOUNT #: 00063412117	BUY 0 Units @0.0000						
09/04/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	0.00	59.13	0.00	59.13	10.0	5.91
	ACCOUNT #: 00063451518	BUY 0 Units @0.0000						
09/04/2018	***-**-984P - DELUCA, SHARI	AMCAP FUND-A	0.00	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00065146525	BUY 0 Units @0.0000						
09/04/2018	***-**-515P - GUERRIERI,	AMCAP FUND-A	0.00	19.73	0.00	19.73	10.0	1.97
	ACCOUNT #: 00066746363	BUY 0 Units @0.0000						
09/04/2018	***-**-195P - OZMINKOWSKI,	AMCAP FUND-A	0.00	84.20	0.00	84.20	10.0	8.42
	ACCOUNT #: 00066758342	BUY 0 Units @0.0000						
09/04/2018	***-**-126I - GIAMBRONE,	AMCAP FUND-A	0.00	32.51	0.00	32.51	10.0	3.25
	ACCOUNT #: 00068322646	BUY 0 Units @0.0000						
09/04/2018	***-**-062P - CRISPINO, DIANE	AMCAP FUND-A	0.00	36.83	0.00	36.83	10.0	3.68
	ACCOUNT #: 00068622801	BUY 0 Units @0.0000						
09/04/2018	***-**-539I - JALLOH, ABDULAI	AMCAP FUND-C	0.00	3.44	0.00	3.44	10.0	0.34
	ACCOUNT #: 00084394270	BUY 0 Units @0.0000						
09/04/2018	***-**-9501 - SHALLENBERGER,	AMCAP FUND-C	0.00	9.49	0.00	9.49	10.0	0.95
	ACCOUNT #: 00086494801	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: FREDERIC SCARPULLA (continued)</b>								
09/04/2018	***-**-511I - ROOD, SCOTT	AMCAP FUND-C	0.00	4.76	0.00	4.76	10.0	0.48
	ACCOUNT #: 00088607840	BUY 0 Units @0.0000						
09/04/2018	***-**-5225 - BOWERMAN, DAWN	AMCAP FUND-C	0.00	0.55	0.00	0.55	10.0	0.06
	ACCOUNT #: 04000089664	BUY 0 Units @0.0000						
09/04/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	0.00	0.56	0.00	0.56	10.0	0.06
	ACCOUNT #: 04000409714	BUY 0 Units @0.0000						
09/04/2018	***-**-8388 - ROWE, RYAN	AMCAP FUND-C	0.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 04000409804	BUY 0 Units @0.0000						
09/10/2018	***-**-511I - ROOD, SCOTT	AMCAP FUND-C	25.10	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00088607840	BUY 1 Units @30.0900						
09/10/2018	***-**-511I - ROOD, SCOTT	AMCAP FUND-C	74.77	0.75	0.00	0.75	10.0	0.08
	ACCOUNT #: 00088607840	BUY 2 Units @30.0900						
09/10/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591533	BUY 7 Units @30.0900						
09/10/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 04000650661	BUY 2 Units @30.0900						
09/04/2018	***-**-526I - CAVALLARO,	AMCAP FUND-F1	0.00	2.42	0.00	2.42	10.0	0.24
	ACCOUNT #: 00067409966	BUY 0 Units @0.0000						
09/04/2018	***-**-355P - RUSH, DONNA	AMCAP FUND-F1	0.00	3.99	0.00	3.99	10.0	0.40
	ACCOUNT #: 00075148100	BUY 0 Units @0.0000						
09/04/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-529A	0.00	2.42	0.00	2.42	10.0	0.24
	ACCOUNT #: 00067522496	BUY 0 Units @0.0000						
09/04/2018	***-**-195P - HECHT, ANDREW	AMERICAN BALANCED FUND-529A	0.00	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00068453142	BUY 0 Units @0.0000						
09/04/2018	***-**-685P - SPEACH, HANNAH	AMERICAN BALANCED FUND-529A	0.00	17.72	0.00	17.72	10.0	1.77
	ACCOUNT #: 00073714504	BUY 0 Units @0.0000						
09/04/2018	***-**-685P - SPEACH, HANNAH	AMERICAN BALANCED FUND-529A	0.00	1.91	0.00	1.91	10.0	0.19
	ACCOUNT #: 00073714525	BUY 0 Units @0.0000						
09/04/2018	***-**-965P - MAAR, NATHANIEL	AMERICAN BALANCED FUND-529A	0.00	1.83	0.00	1.83	10.0	0.18
	ACCOUNT #: 00073850845	BUY 0 Units @0.0000						
09/04/2018	***-**-965P - MAAR, NATHANIEL	AMERICAN BALANCED FUND-529A	0.00	1.83	0.00	1.83	10.0	0.18
	ACCOUNT #: 00073850866	BUY 0 Units @0.0000						





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-375P - FONTANA, ACCOUNT #: 00074129219	AMERICAN BALANCED FUND-529A BUY 0 Units @0.0000	0.00	0.26	0.00	0.26	10.0	0.03
09/04/2018	***-**-965P - MAAR, NATHANIEL ACCOUNT #: 00075731640	AMERICAN BALANCED FUND-529A BUY 0 Units @0.0000	0.00	0.33	0.00	0.33	10.0	0.03
09/04/2018	***-**-315P - ARBORE, JENNIFER ACCOUNT #: 00081613426	AMERICAN BALANCED FUND-529A BUY 0 Units @0.0000	0.00	3.64	0.00	3.64	10.0	0.36
09/04/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00067522496	AMERICAN BALANCED FUND-529C BUY 0 Units @0.0000	0.00	32.22	0.00	32.22	10.0	3.22
09/04/2018	***-**-965P - MAAR, NATHANIEL ACCOUNT #: 00073850845	AMERICAN BALANCED FUND-529C BUY 0 Units @0.0000	0.00	1.03	0.00	1.03	10.0	0.10
09/04/2018	***-**-965P - MAAR, NATHANIEL ACCOUNT #: 00073850866	AMERICAN BALANCED FUND-529C BUY 0 Units @0.0000	0.00	1.03	0.00	1.03	10.0	0.10
09/04/2018	***-**-965P - MAAR, NATHANIEL ACCOUNT #: 00075731640	AMERICAN BALANCED FUND-529C BUY 0 Units @0.0000	0.00	0.90	0.00	0.90	10.0	0.09
09/04/2018	***-**-315P - ARBORE, JENNIFER ACCOUNT #: 00081613426	AMERICAN BALANCED FUND-529C BUY 0 Units @0.0000	0.00	5.45	0.00	5.45	10.0	0.55
09/04/2018	***-**-5899 - ARBORE, CARL ACCOUNT #: 00084503660	AMERICAN BALANCED FUND-529C BUY 0 Units @0.0000	0.00	13.20	0.00	13.20	10.0	1.32
09/04/2018	***-**-7989 - SMITH, MICHAEL ACCOUNT #: 00084869153	AMERICAN BALANCED FUND-529C BUY 0 Units @0.0000	0.00	-285.30	0.00	-285.30	10.0	-28.53
09/04/2018	***-**-7989 - SMITH, MICHAEL ACCOUNT #: 00084869153	AMERICAN BALANCED FUND-529C BUY 0 Units @0.0000	0.00	126.80	0.00	126.80	10.0	12.68
09/04/2018	***-**-7255 - LIPPA, HARITINI ACCOUNT #: 00087198121	AMERICAN BALANCED FUND-529C BUY 0 Units @0.0000	0.00	17.76	0.00	17.76	10.0	1.78
09/04/2018	***-**-7255 - LIPPA, HARITINI ACCOUNT #: 00087198137	AMERICAN BALANCED FUND-529C BUY 0 Units @0.0000	0.00	18.29	0.00	18.29	10.0	1.83
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087225254	AMERICAN BALANCED FUND-529C BUY 0 Units @0.0000	0.00	2.79	0.00	2.79	10.0	0.28
09/04/2018	***-**-643I - BOSCO, GIULIO ACCOUNT #: 00089514602	AMERICAN BALANCED FUND-529C BUY 0 Units @0.0000	0.00	6.77	0.00	6.77	10.0	0.68
09/04/2018	***-**-8776 - LEVINE, TODD ACCOUNT #: 00066829688	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	5.25	0.00	5.25	10.0	0.53



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-145P - SCARPULLA, ACCOUNT #: 00058728614	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	66.26	0.00	66.26	10.0	6.63
09/04/2018	***-**-575P - DREXLER, DEANNA ACCOUNT #: 00059180971	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.21	0.00	0.21	10.0	0.02
09/04/2018	***-**-543I - MCSHANE, ELAINE ACCOUNT #: 00059264718	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	24.05	0.00	24.05	10.0	2.41
09/04/2018	***-**-99IN - ARBORE, CARL ACCOUNT #: 00059377247	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	19.99	0.00	19.99	10.0	2.00
09/04/2018	***-**-395P - DIVASTA, ANTHONY ACCOUNT #: 00059597416	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	10.66	0.00	10.66	10.0	1.07
09/04/2018	***-**-395P - DREXLER, ROBERT ACCOUNT #: 00060009689	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.84	0.00	0.84	10.0	0.08
09/04/2018	***-**-50IN - BONACCI, ACCOUNT #: 00060494752	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	2.73	0.00	2.73	10.0	0.27
09/04/2018	***-**-837I - PADULA, JOHN ACCOUNT #: 00060627928	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	13.15	0.00	13.15	10.0	1.32
09/04/2018	***-**-0785 - DWYER-SKINNER, ACCOUNT #: 00062084359	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	25.65	0.00	25.65	10.0	2.57
09/04/2018	***-**-385P - BONACCI, ACCOUNT #: 00063160662	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	62.85	0.00	62.85	10.0	6.29
09/04/2018	***-**-09IN - ARBORE, ACCOUNT #: 00063715252	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	12.43	0.00	12.43	10.0	1.24
09/04/2018	***-**-984I - DELUCA, SHARI ACCOUNT #: 00064868315	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	14.47	0.00	14.47	10.0	1.45
09/04/2018	***-**-985P - WASHINGTON, ACCOUNT #: 00067073172	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	18.48	0.00	18.48	10.0	1.85
09/04/2018	***-**-065P - MASTROSIMONE, ACCOUNT #: 00067185133	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	1.21	0.00	1.21	10.0	0.12
09/04/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	60.39	0.00	60.39	10.0	6.04
09/04/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	46.28	0.00	46.28	10.0	4.63



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	61.29	0.00	61.29	10.0	6.13
09/04/2018	***-**-375I - BORK, LISA ACCOUNT #: 00067497897	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	24.75	0.00	24.75	10.0	2.48
09/04/2018	***-**-605P - MULVANEY, CORY ACCOUNT #: 00067510163	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	1.72	0.00	1.72	10.0	0.17
09/04/2018	***-**-695P - CURRY, JUDY ACCOUNT #: 00067859734	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	10.0	0.04
09/04/2018	***-**-855P - JASON, MICHAEL ACCOUNT #: 00067944415	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.60	0.00	0.60	10.0	0.06
09/04/2018	***-**-465P - MONTEMALO, ACCOUNT #: 00068133068	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	1.10	0.00	1.10	10.0	0.11
09/04/2018	***-**-035P - MONTEMALO, ANNA ACCOUNT #: 00068133070	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	1.10	0.00	1.10	10.0	0.11
09/04/2018	***-**-165P - CLEMENT, SCOTT ACCOUNT #: 00068190881	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.14	0.00	0.14	10.0	0.01
09/04/2018	***-**-126I - GIAMBRONE, ACCOUNT #: 00068322646	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	14.39	0.00	14.39	10.0	1.44
09/04/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00068454444	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	10.91	0.00	10.91	10.0	1.09
09/04/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00068454445	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	10.91	0.00	10.91	10.0	1.09
09/04/2018	***-**-062P - CRISPINO, DIANE ACCOUNT #: 00068622801	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	63.60	0.00	63.60	10.0	6.36
09/04/2018	***-**-315P - SILLUZIO, JUSTIN ACCOUNT #: 00068803650	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.80	0.00	0.80	10.0	0.08
09/04/2018	***-**-275P - BERMUDEZ, CARLOS ACCOUNT #: 00069016532	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	5.41	0.00	5.41	10.0	0.54
09/04/2018	***-**-745P - POLASKI, ASHLEY ACCOUNT #: 00069327236	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.40	0.00	0.40	10.0	0.04
09/04/2018	***-**-495P - UTZ, TINA ACCOUNT #: 00073370225	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.08	0.00	0.08	10.0	0.01



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-42IR - ADAMS, GRACE	AMERICAN BALANCED FUND-A	0.00	2.53	0.00	2.53	10.0	0.25
	ACCOUNT #: 00073505114	BUY 0 Units @0.0000						
09/04/2018	***-**-965P - SHAFER, PAUL	AMERICAN BALANCED FUND-A	0.00	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00073549401	BUY 0 Units @0.0000						
09/04/2018	***-**-625P - BORRELLI, LOUIS	AMERICAN BALANCED FUND-A	0.00	13.91	0.00	13.91	10.0	1.39
	ACCOUNT #: 00073550085	BUY 0 Units @0.0000						
09/04/2018	***-**-801I - MASTROSIMONE,	AMERICAN BALANCED FUND-A	0.00	6.91	0.00	6.91	10.0	0.69
	ACCOUNT #: 00073753943	BUY 0 Units @0.0000						
09/04/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	0.00	10.45	0.00	10.45	10.0	1.05
	ACCOUNT #: 00073798048	BUY 0 Units @0.0000						
09/04/2018	***-**-215P - HINKEL, VICTORIA	AMERICAN BALANCED FUND-A	0.00	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00074107112	BUY 0 Units @0.0000						
09/04/2018	***-**-825P - GAGNIER,	AMERICAN BALANCED FUND-A	0.00	5.35	0.00	5.35	10.0	0.54
	ACCOUNT #: 00082149035	BUY 0 Units @0.0000						
09/04/2018	***-**-415P - CASCINO, JULIANA	AMERICAN BALANCED FUND-A	0.00	1.45	0.00	1.45	10.0	0.15
	ACCOUNT #: 00082252976	BUY 0 Units @0.0000						
09/04/2018	***-**-635P - CASCINO, LORI	AMERICAN BALANCED FUND-A	0.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00082478975	BUY 0 Units @0.0000						
09/04/2018	***-**-937I - PELLICANE, MARY	AMERICAN BALANCED FUND-A	0.00	1.47	0.00	1.47	10.0	0.15
	ACCOUNT #: 00082678067	BUY 0 Units @0.0000						
09/04/2018	***-**-505I - LICALSI, KAREN	AMERICAN BALANCED FUND-A	0.00	51.22	0.00	51.22	10.0	5.12
	ACCOUNT #: 00082861748	BUY 0 Units @0.0000						
09/04/2018	***-**-436I - RAGO, LISA	AMERICAN BALANCED FUND-A	0.00	8.98	0.00	8.98	10.0	0.90
	ACCOUNT #: 00083139532	BUY 0 Units @0.0000						
09/04/2018	***-**-8808 - LONDON, JODY	AMERICAN BALANCED FUND-A	0.00	2.52	0.00	2.52	10.0	0.25
	ACCOUNT #: 00083382430	BUY 0 Units @0.0000						
09/04/2018	***-**-3306 - MASTROSIMONE,	AMERICAN BALANCED FUND-A	0.00	2.66	0.00	2.66	10.0	0.27
	ACCOUNT #: 00083382475	BUY 0 Units @0.0000						
09/04/2018	***-**-3757 - MALONE, KENNETH	AMERICAN BALANCED FUND-A	0.00	2.70	0.00	2.70	10.0	0.27
	ACCOUNT #: 00083474112	BUY 0 Units @0.0000						
09/04/2018	***-**-36IN - LEWIS, SUE	AMERICAN BALANCED FUND-A	0.00	15.99	0.00	15.99	10.0	1.60
	ACCOUNT #: 00084396204	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-A	0.00	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @0.0000						
09/04/2018	***-**-05IN - RANDALL, ADAM	AMERICAN BALANCED FUND-A	0.00	3.12	0.00	3.12	10.0	0.31
	ACCOUNT #: 00085941585	BUY 0 Units @0.0000						
09/04/2018	***-**-44IN - RAAB, TAMMY	AMERICAN BALANCED FUND-A	0.00	6.64	0.00	6.64	10.0	0.66
	ACCOUNT #: 00086754409	BUY 0 Units @0.0000						
09/04/2018	***-**-455P - RAAB, JOHN	AMERICAN BALANCED FUND-A	0.00	6.64	0.00	6.64	10.0	0.66
	ACCOUNT #: 00086754452	BUY 0 Units @0.0000						
09/04/2018	***-**-135P - RAAB, NATALIE	AMERICAN BALANCED FUND-A	0.00	5.49	0.00	5.49	10.0	0.55
	ACCOUNT #: 00086754493	BUY 0 Units @0.0000						
09/04/2018	***-**-975P - COTTONE, MARIA	AMERICAN BALANCED FUND-A	0.00	9.87	0.00	9.87	10.0	0.99
	ACCOUNT #: 00086785798	BUY 0 Units @0.0000						
09/04/2018	***-**-455P - RAAB, JOHN	AMERICAN BALANCED FUND-A	0.00	4.91	0.00	4.91	10.0	0.49
	ACCOUNT #: 00086788038	BUY 0 Units @0.0000						
09/04/2018	***-**-135P - RAAB, NATALIE	AMERICAN BALANCED FUND-A	0.00	5.06	0.00	5.06	10.0	0.51
	ACCOUNT #: 00086788848	BUY 0 Units @0.0000						
09/04/2018	***-**-44IN - RAAB, TAMMY	AMERICAN BALANCED FUND-A	0.00	4.91	0.00	4.91	10.0	0.49
	ACCOUNT #: 00086789318	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-A	0.00	22.88	0.00	22.88	10.0	2.29
	ACCOUNT #: 00087118596	BUY 0 Units @0.0000						
09/04/2018	***-**-385P - SIMMONS, MEGAN	AMERICAN BALANCED FUND-A	0.00	4.12	0.00	4.12	10.0	0.41
	ACCOUNT #: 00087273922	BUY 0 Units @0.0000						
09/04/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	0.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00087870442	BUY 0 Units @0.0000						
09/04/2018	***-**-1841 - ROTOLI, CHERYL	AMERICAN BALANCED FUND-A	0.00	52.78	0.00	52.78	10.0	5.28
	ACCOUNT #: 00087899407	BUY 0 Units @0.0000						
09/04/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	0.00	1.12	0.00	1.12	10.0	0.11
	ACCOUNT #: 00089874312	BUY 0 Units @0.0000						
09/04/2018	***-**-7935 - BOERMAN, HAROLD	AMERICAN BALANCED FUND-A	0.00	12.18	0.00	12.18	10.0	1.22
	ACCOUNT #: 04000151961	BUY 0 Units @0.0000						
09/04/2018	***-**-7268 - DIVASTA, ANTHONY	AMERICAN BALANCED FUND-A	0.00	9.64	0.00	9.64	10.0	0.96
	ACCOUNT #: 04000255152	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-635P - RAAB, SARAH	AMERICAN BALANCED FUND-A	0.00	7.05	0.00	7.05	10.0	0.71
	ACCOUNT #: 04000424268	BUY 0 Units @0.0000						
09/04/2018	***-**-5912 - BELLAVIA,	AMERICAN BALANCED FUND-A	0.00	12.25	0.00	12.25	10.0	1.23
	ACCOUNT #: 04000971773	BUY 0 Units @0.0000						
09/10/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 1 Units @27.7900						
09/10/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @27.7900						
09/10/2018	***-**-965P - SHAFER, PAUL	AMERICAN BALANCED FUND-A	39.55	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00073549401	BUY 1 Units @28.3600						
09/10/2018	***-**-625P - BORRELLI, LOUIS	AMERICAN BALANCED FUND-A	34.20	0.55	0.00	0.55	10.0	0.06
	ACCOUNT #: 00073550085	BUY 1 Units @28.3600						
09/10/2018	***-**-625P - BORRELLI, LOUIS	AMERICAN BALANCED FUND-A	186.00	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00073550085	BUY 7 Units @28.3600						
09/10/2018	***-**-395P - DIVASTA, ANTHONY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	10.0	0.19
	ACCOUNT #: 00059597416	BUY 2 Units @29.1000						
09/11/2018	***-**-825P - MASTROSIMONE,	AMERICAN BALANCED FUND-A	299.40	2.99	0.00	2.99	10.0	0.30
	ACCOUNT #: 00067351603	BUY 11 Units @27.8200						
09/11/2018	***-**-825P - MASTROSIMONE,	AMERICAN BALANCED FUND-A	61.53	0.62	0.00	0.62	10.0	0.06
	ACCOUNT #: 00067351603	BUY 2 Units @27.8200						
09/11/2018	***-**-825P - MASTROSIMONE,	AMERICAN BALANCED FUND-A	217.50	2.18	0.00	2.18	10.0	0.22
	ACCOUNT #: 00067351603	BUY 8 Units @27.8200						
09/11/2018	***-**-825P - MASTROSIMONE,	AMERICAN BALANCED FUND-A	374.25	3.74	0.00	3.74	10.0	0.37
	ACCOUNT #: 00067351603	BUY 13 Units @27.8200						
09/11/2018	***-**-685P - MASTROSIMONE,	AMERICAN BALANCED FUND-A	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00067400188	BUY 0 Units @27.8200						
09/11/2018	***-**-685P - MASTROSIMONE,	AMERICAN BALANCED FUND-A	298.45	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00067400188	BUY 11 Units @27.8200						
09/11/2018	***-**-685P - MASTROSIMONE,	AMERICAN BALANCED FUND-A	13.13	0.13	0.00	0.13	10.0	0.01
	ACCOUNT #: 00067400188	BUY 0 Units @27.8200						
09/11/2018	***-**-685P - MASTROSIMONE,	AMERICAN BALANCED FUND-A	373.06	3.73	0.00	3.73	10.0	0.37
	ACCOUNT #: 00067400188	BUY 13 Units @27.8200						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 1 Units @27.8200	18.00	0.18	0.00	0.18	10.0	0.02
09/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 11 Units @27.8200	298.45	2.98	0.00	2.98	10.0	0.30
09/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 1 Units @27.8200	22.50	0.23	0.00	0.23	10.0	0.02
09/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	AMERICAN BALANCED FUND-A BUY 13 Units @27.8200	373.06	3.73	0.00	3.73	10.0	0.37
09/11/2018	***-**-275P - BERMUDEZ, CARLOS ACCOUNT #: 00069016532	AMERICAN BALANCED FUND-A BUY 6 Units @27.8200	153.45	1.53	0.00	1.53	10.0	0.15
09/11/2018	***-**-275P - BERMUDEZ, CARLOS ACCOUNT #: 00069016532	AMERICAN BALANCED FUND-A BUY 5 Units @27.8200	150.00	1.50	0.00	1.50	10.0	0.15
09/11/2018	***-**-275P - BERMUDEZ, CARLOS ACCOUNT #: 00069016532	AMERICAN BALANCED FUND-A BUY 4 Units @27.8200	123.48	1.23	0.00	1.23	10.0	0.12
09/11/2018	***-**-275P - BERMUDEZ, CARLOS ACCOUNT #: 00069016532	AMERICAN BALANCED FUND-A BUY 4 Units @27.8200	125.00	1.25	0.00	1.25	10.0	0.13
09/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	AMERICAN BALANCED FUND-A BUY 1 Units @27.8200	36.00	0.36	0.00	0.36	10.0	0.04
09/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	AMERICAN BALANCED FUND-A BUY 1 Units @27.8200	36.00	0.36	0.00	0.36	10.0	0.04
09/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	AMERICAN BALANCED FUND-A BUY 2 Units @27.8200	45.00	0.45	0.00	0.45	10.0	0.05
09/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	AMERICAN BALANCED FUND-A BUY 2 Units @27.8200	45.00	0.45	0.00	0.45	10.0	0.05
09/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	AMERICAN BALANCED FUND-A BUY 2 Units @27.8200	49.37	0.49	0.00	0.49	10.0	0.05
09/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	AMERICAN BALANCED FUND-A BUY 2 Units @27.8200	65.82	0.66	0.00	0.66	10.0	0.07
09/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	AMERICAN BALANCED FUND-A BUY 2 Units @27.8200	60.30	0.60	0.00	0.60	10.0	0.06
09/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	AMERICAN BALANCED FUND-A BUY 2 Units @27.8200	45.23	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>								
09/11/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	102.40	1.02	0.00	1.02	10.0	0.10
	ACCOUNT #: 00087870442	BUY 4 Units @27.8200						
09/11/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	38.40	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00087870442	BUY 1 Units @27.8200						
09/11/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	48.00	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087870442	BUY 2 Units @27.8200						
09/11/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	128.00	1.28	0.00	1.28	10.0	0.13
	ACCOUNT #: 00087870442	BUY 5 Units @27.8200						
09/11/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	108.12	1.08	0.00	1.08	10.0	0.11
	ACCOUNT #: 00089874312	BUY 4 Units @27.8200						
09/11/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	180.00	1.80	0.00	1.80	10.0	0.18
	ACCOUNT #: 00089874312	BUY 6 Units @27.8200						
09/11/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00089874312	BUY 5 Units @27.8200						
09/11/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	79.09	0.79	0.00	0.79	10.0	0.08
	ACCOUNT #: 00089874312	BUY 3 Units @27.8200						
09/12/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	56.99	0.57	0.00	0.57	10.0	0.06
	ACCOUNT #: 00073798048	BUY 2 Units @27.7400						
09/12/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	37.81	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00089461113	BUY 1 Units @27.7400						
09/04/2018	***-**-4435 - HORNE, JUANITA	AMERICAN BALANCED FUND-C	0.00	25.56	0.00	25.56	10.0	2.56
	ACCOUNT #: 04000366903	BUY 0 Units @0.0000						
09/04/2018	***-**-984I - DELUCA, SHARI	AMERICAN BALANCED FUND-C	0.00	20.12	0.00	20.12	10.0	2.01
	ACCOUNT #: 00064868315	BUY 0 Units @0.0000						
09/04/2018	***-**-613J - RAAB, CHARLES	AMERICAN BALANCED FUND-C	0.00	21.00	0.00	21.00	10.0	2.10
	ACCOUNT #: 00066965869	BUY 0 Units @0.0000						
09/04/2018	***-**-985P - WASHINGTON,	AMERICAN BALANCED FUND-C	0.00	56.38	0.00	56.38	10.0	5.64
	ACCOUNT #: 00067073172	BUY 0 Units @0.0000						
09/04/2018	***-**-126I - GIAMBRONE,	AMERICAN BALANCED FUND-C	0.00	33.04	0.00	33.04	10.0	3.30
	ACCOUNT #: 00068322646	BUY 0 Units @0.0000						
09/04/2018	***-**-315P - SILLUZZIO, JUSTIN	AMERICAN BALANCED FUND-C	0.00	5.92	0.00	5.92	10.0	0.59
	ACCOUNT #: 00068803650	BUY 0 Units @0.0000						





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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>								
09/04/2018	***-**-275P - BERMUDEZ, CARLOS	AMERICAN BALANCED FUND-C	0.00	24.36	0.00	24.36	10.0	2.44
	ACCOUNT #: 00069016532	BUY 0 Units @0.0000						
09/04/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	0.00	132.19	0.00	132.19	10.0	13.22
	ACCOUNT #: 00073003754	BUY 0 Units @0.0000						
09/04/2018	***-**-620I -	AMERICAN BALANCED FUND-C	0.00	86.45	0.00	86.45	10.0	8.65
	ACCOUNT #: 00074021540	BUY 0 Units @0.0000						
09/04/2018	***-**-215P - HINKEL, VICTORIA	AMERICAN BALANCED FUND-C	0.00	18.17	0.00	18.17	10.0	1.82
	ACCOUNT #: 00074107112	BUY 0 Units @0.0000						
09/04/2018	***-**-355P - RUSH, DONNA	AMERICAN BALANCED FUND-C	0.00	33.68	0.00	33.68	10.0	3.37
	ACCOUNT #: 00075148100	BUY 0 Units @0.0000						
09/04/2018	***-**-435P - MOORE, SARA	AMERICAN BALANCED FUND-C	0.00	0.82	0.00	0.82	10.0	0.08
	ACCOUNT #: 00081602977	BUY 0 Units @0.0000						
09/04/2018	***-**-875P - TOOLE, NORA	AMERICAN BALANCED FUND-C	0.00	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00081801403	BUY 0 Units @0.0000						
09/04/2018	***-**-85IN - CANORI, JOSEPH	AMERICAN BALANCED FUND-C	0.00	5.81	0.00	5.81	10.0	0.58
	ACCOUNT #: 00082908831	BUY 0 Units @0.0000						
09/04/2018	***-**-6000 - SMITH, KENNETH	AMERICAN BALANCED FUND-C	0.00	10.17	0.00	10.17	10.0	1.02
	ACCOUNT #: 00083081099	BUY 0 Units @0.0000						
09/04/2018	***-**-3084 - STRATON, SCOTT	AMERICAN BALANCED FUND-C	0.00	6.36	0.00	6.36	10.0	0.64
	ACCOUNT #: 00083382293	BUY 0 Units @0.0000						
09/04/2018	***-**-8808 - LONDON, JODY	AMERICAN BALANCED FUND-C	0.00	18.05	0.00	18.05	10.0	1.81
	ACCOUNT #: 00083382430	BUY 0 Units @0.0000						
09/04/2018	***-**-3306 - MASTROSIMONE,	AMERICAN BALANCED FUND-C	0.00	23.21	0.00	23.21	10.0	2.32
	ACCOUNT #: 00083382475	BUY 0 Units @0.0000						
09/04/2018	***-**-3757 - MALONE, KENNETH	AMERICAN BALANCED FUND-C	0.00	19.94	0.00	19.94	10.0	1.99
	ACCOUNT #: 00083474112	BUY 0 Units @0.0000						
09/04/2018	***-**-673I - TEATOR, JAMES	AMERICAN BALANCED FUND-C	0.00	20.98	0.00	20.98	10.0	2.10
	ACCOUNT #: 00083687369	BUY 0 Units @0.0000						
09/04/2018	***-**-8651 - JACKSON, WILLIE	AMERICAN BALANCED FUND-C	0.00	0.39	0.00	0.39	10.0	0.04
	ACCOUNT #: 00084058016	BUY 0 Units @0.0000						
09/04/2018	***-**-36IN - LEWIS, SUE	AMERICAN BALANCED FUND-C	0.00	54.16	0.00	54.16	10.0	5.42
	ACCOUNT #: 00084396204	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-595I - MUSCATE, SHERRY	AMERICAN BALANCED FUND-C	0.00	17.91	0.00	17.91	10.0	1.79
	ACCOUNT #: 00084455861	BUY 0 Units @0.0000						
09/04/2018	***-**-2612 - UCAR, AHMET	AMERICAN BALANCED FUND-C	0.00	0.23	0.00	0.23	10.0	0.02
	ACCOUNT #: 00084700980	BUY 0 Units @0.0000						
09/04/2018	***-**-90UG - UNTIL AGE 21,	AMERICAN BALANCED FUND-C	0.00	1.22	0.00	1.22	10.0	0.12
	ACCOUNT #: 00085631036	BUY 0 Units @0.0000						
09/04/2018	***-**-3505 - MYGA, ROMAN	AMERICAN BALANCED FUND-C	0.00	7.95	0.00	7.95	10.0	0.80
	ACCOUNT #: 00085712873	BUY 0 Units @0.0000						
09/04/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	0.00	37.68	0.00	37.68	10.0	3.77
	ACCOUNT #: 00085902249	BUY 0 Units @0.0000						
09/04/2018	***-**-3425 - DOROFY, ROSALBA	AMERICAN BALANCED FUND-C	0.00	11.55	0.00	11.55	10.0	1.16
	ACCOUNT #: 00085904195	BUY 0 Units @0.0000						
09/04/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	0.00	8.56	0.00	8.56	10.0	0.86
	ACCOUNT #: 00085904210	BUY 0 Units @0.0000						
09/04/2018	***-**-2459 - MASCARO, ANTHONY	AMERICAN BALANCED FUND-C	0.00	23.69	0.00	23.69	10.0	2.37
	ACCOUNT #: 00085904215	BUY 0 Units @0.0000						
09/04/2018	***-**-398I - GUERRIERI, PAUL	AMERICAN BALANCED FUND-C	0.00	16.77	0.00	16.77	10.0	1.68
	ACCOUNT #: 00086040659	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	0.00	88.63	0.00	88.63	10.0	8.86
	ACCOUNT #: 00086082668	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	0.00	34.23	0.00	34.23	10.0	3.42
	ACCOUNT #: 00086979418	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	0.00	1.03	0.00	1.03	10.0	0.10
	ACCOUNT #: 00087036503	BUY 0 Units @0.0000						
09/04/2018	***-**-3425 - DOROFY, ROSALBA	AMERICAN BALANCED FUND-C	0.00	177.07	0.00	177.07	10.0	17.71
	ACCOUNT #: 00087191245	BUY 0 Units @0.0000						
09/04/2018	***-**-54IN - FANTAUZZO, EVA	AMERICAN BALANCED FUND-C	0.00	25.31	0.00	25.31	10.0	2.53
	ACCOUNT #: 00087406469	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	0.00	9.86	0.00	9.86	10.0	0.99
	ACCOUNT #: 00087429936	BUY 0 Units @0.0000						
09/04/2018	***-**-5838 - SPOLETA, BRENDA	AMERICAN BALANCED FUND-C	0.00	266.15	0.00	266.15	10.0	26.62
	ACCOUNT #: 00087435959	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-85IR - SMITH, GLENN	AMERICAN BALANCED FUND-C	0.00	9.39	0.00	9.39	10.0	0.94
	ACCOUNT #: 00088065308	BUY 0 Units @0.0000						
09/04/2018	***-**-7072 - SMITH, DEBBIE	AMERICAN BALANCED FUND-C	0.00	2.97	0.00	2.97	10.0	0.30
	ACCOUNT #: 00088065327	BUY 0 Units @0.0000						
09/04/2018	***-**-8081 - RICHARDSON,	AMERICAN BALANCED FUND-C	0.00	174.43	0.00	174.43	10.0	17.44
	ACCOUNT #: 00088192906	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	0.00	1.39	0.00	1.39	10.0	0.14
	ACCOUNT #: 00088294534	BUY 0 Units @0.0000						
09/04/2018	***-**-9373 - CLINE, KIMBERLY	AMERICAN BALANCED FUND-C	0.00	21.70	0.00	21.70	10.0	2.17
	ACCOUNT #: 00088773853	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	0.00	12.29	0.00	12.29	10.0	1.23
	ACCOUNT #: 00089045192	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	0.00	54.12	0.00	54.12	10.0	5.41
	ACCOUNT #: 00089051066	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	0.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00089055530	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	0.00	32.04	0.00	32.04	10.0	3.20
	ACCOUNT #: 00089104864	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	0.00	32.04	0.00	32.04	10.0	3.20
	ACCOUNT #: 00089104943	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	0.00	4.36	0.00	4.36	10.0	0.44
	ACCOUNT #: 00089215183	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	0.00	3.83	0.00	3.83	10.0	0.38
	ACCOUNT #: 00089215207	BUY 0 Units @0.0000						
09/04/2018	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	0.00	14.83	0.00	14.83	10.0	1.48
	ACCOUNT #: 00089244081	BUY 0 Units @0.0000						
09/04/2018	***-**-0962 - TRETYAK,	AMERICAN BALANCED FUND-C	0.00	3.18	0.00	3.18	10.0	0.32
	ACCOUNT #: 00089399972	BUY 0 Units @0.0000						
09/04/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-C	0.00	0.92	0.00	0.92	10.0	0.09
	ACCOUNT #: 00089461113	BUY 0 Units @0.0000						
09/04/2018	***-**-281S - FLUGEL, AMANDA	AMERICAN BALANCED FUND-C	0.00	6.21	0.00	6.21	10.0	0.62
	ACCOUNT #: 00089561651	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	0.00	3.47	0.00	3.47	10.0	0.35
	ACCOUNT #: 00089583477	BUY 0 Units @0.0000						
09/04/2018	***-**-035S - CAPIZZI, TRACIE	AMERICAN BALANCED FUND-C	0.00	2.48	0.00	2.48	10.0	0.25
	ACCOUNT #: 00089679504	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	0.00	3.12	0.00	3.12	10.0	0.31
	ACCOUNT #: 00089722785	BUY 0 Units @0.0000						
09/04/2018	***-**-282S - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	0.00	13.59	0.00	13.59	10.0	1.36
	ACCOUNT #: 00089910177	BUY 0 Units @0.0000						
09/04/2018	***-**-5703 - DIODATO,	AMERICAN BALANCED FUND-C	0.00	359.06	0.00	359.06	10.0	35.91
	ACCOUNT #: 04000262459	BUY 0 Units @0.0000						
09/04/2018	***-**-4267 - DESSO, PATRICIA	AMERICAN BALANCED FUND-C	0.00	4.73	0.00	4.73	10.0	0.47
	ACCOUNT #: 04000296625	BUY 0 Units @0.0000						
09/04/2018	***-**-7063 - ZIOTO, JULIA	AMERICAN BALANCED FUND-C	0.00	8.39	0.00	8.39	10.0	0.84
	ACCOUNT #: 04000323242	BUY 0 Units @0.0000						
09/04/2018	***-**-255U - LIPPA, HARITINI	AMERICAN BALANCED FUND-C	0.00	0.59	0.00	0.59	10.0	0.06
	ACCOUNT #: 04000385806	BUY 0 Units @0.0000						
09/04/2018	***-**-0742 - D'ERCOLE,	AMERICAN BALANCED FUND-C	0.00	1.37	0.00	1.37	10.0	0.14
	ACCOUNT #: 04000473339	BUY 0 Units @0.0000						
09/04/2018	***-**-0742 - D'ERCOLE,	AMERICAN BALANCED FUND-C	0.00	10.55	0.00	10.55	10.0	1.06
	ACCOUNT #: 04000473367	BUY 0 Units @0.0000						
09/04/2018	***-**-1764 - HUGHES, KATHLEEN	AMERICAN BALANCED FUND-C	0.00	160.07	0.00	160.07	10.0	16.01
	ACCOUNT #: 04000998901	BUY 0 Units @0.0000						
09/10/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @27.5700						
09/10/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 7 Units @27.5700						
09/10/2018	***-**-6000 - SMITH, KENNETH	AMERICAN BALANCED FUND-C	40.60	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00083081099	BUY 1 Units @27.5700						
09/10/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	85.00	0.85	0.00	0.85	10.0	0.09
	ACCOUNT #: 00086979418	BUY 3 Units @27.5700						
09/10/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	45.00	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00086979418	BUY 2 Units @27.5700						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/10/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @27.5700	61.20	0.61	0.00	0.61	10.0	0.06
09/10/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.5700	15.18	0.15	0.00	0.15	10.0	0.02
09/10/2018	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089244081	AMERICAN BALANCED FUND-C BUY 3 Units @27.5700	87.96	0.88	0.00	0.88	10.0	0.09
09/10/2018	***-**-0962 - TRETYAK, ACCOUNT #: 00089399972	AMERICAN BALANCED FUND-C BUY 2 Units @27.5700	46.00	0.46	0.00	0.46	10.0	0.05
09/10/2018	***-**-0962 - TRETYAK, ACCOUNT #: 00089399972	AMERICAN BALANCED FUND-C BUY 7 Units @27.5700	194.83	1.95	0.00	1.95	10.0	0.20
09/10/2018	***-**-035S - CAPIZZI, TRACIE ACCOUNT #: 00089679504	AMERICAN BALANCED FUND-C BUY 1 Units @27.5700	37.75	0.38	0.00	0.38	10.0	0.04
09/13/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @27.6500	28.05	0.28	0.00	0.28	10.0	0.03
09/13/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @27.6500	6.00	0.06	0.00	0.06	10.0	0.01
09/13/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 1 Units @27.6500	16.00	0.16	0.00	0.16	10.0	0.02
09/13/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 0 Units @27.6500	4.59	0.05	0.00	0.05	10.0	0.01
09/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @27.6500	40.00	0.40	0.00	0.40	10.0	0.04
09/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.6500	40.80	0.41	0.00	0.41	10.0	0.04
09/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.6500	15.18	0.15	0.00	0.15	10.0	0.02
09/13/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @27.6500	20.52	0.21	0.00	0.21	10.0	0.02
09/14/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @27.6600	120.00	1.20	0.00	1.20	10.0	0.12
09/04/2018	***-**-855P - DIVASTA, ERASMO ACCOUNT #: 00067943068	AMERICAN BALANCED FUND-F1 BUY 0 Units @0.0000	0.00	5.24	0.00	5.24	10.0	0.52



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-155P - MANCZYK, SANDRA	AMERICAN BALANCED FUND-F1	0.00	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00068561804	BUY 0 Units @0.0000						
09/04/2018	***-**-275P - BERMUDEZ, CARLOS	AMERICAN BALANCED FUND-F1	0.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00069016532	BUY 0 Units @0.0000						
09/04/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-F1	0.00	8.00	0.00	8.00	10.0	0.80
	ACCOUNT #: 00069040847	BUY 0 Units @0.0000						
09/04/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-F1	0.00	9.67	0.00	9.67	10.0	0.97
	ACCOUNT #: 00073003754	BUY 0 Units @0.0000						
09/04/2018	***-**-265P - SMITH, WILLIAM	AMERICAN BALANCED FUND-F1	0.00	11.03	0.00	11.03	10.0	1.10
	ACCOUNT #: 00073715215	BUY 0 Units @0.0000						
09/04/2018	***-**-620I -	AMERICAN BALANCED FUND-F1	0.00	42.48	0.00	42.48	10.0	4.25
	ACCOUNT #: 00074021540	BUY 0 Units @0.0000						
09/04/2018	***-**-845P - BUKOLT, LEONARD	AMERICAN BALANCED FUND-F1	0.00	33.70	0.00	33.70	10.0	3.37
	ACCOUNT #: 00074390043	BUY 0 Units @0.0000						
09/04/2018	***-**-195P - WEST, HOLLY	AMERICAN BALANCED FUND-F1	0.00	9.84	0.00	9.84	10.0	0.98
	ACCOUNT #: 00075135342	BUY 0 Units @0.0000						
09/04/2018	***-**-355P - RUSH, DONNA	AMERICAN BALANCED FUND-F1	0.00	3.01	0.00	3.01	10.0	0.30
	ACCOUNT #: 00075148100	BUY 0 Units @0.0000						
09/04/2018	***-**-214I - RUSH, ROBERT	AMERICAN BALANCED FUND-F1	0.00	11.96	0.00	11.96	10.0	1.20
	ACCOUNT #: 00075148251	BUY 0 Units @0.0000						
09/04/2018	***-**-435P - MOORE, SARA	AMERICAN BALANCED FUND-F1	0.00	5.21	0.00	5.21	10.0	0.52
	ACCOUNT #: 00081602977	BUY 0 Units @0.0000						
09/04/2018	***-**-875P - TOOLE, NORA	AMERICAN BALANCED FUND-F1	0.00	2.04	0.00	2.04	10.0	0.20
	ACCOUNT #: 00081801403	BUY 0 Units @0.0000						
09/04/2018	***-**-85IN - CANORI, JOSEPH	AMERICAN BALANCED FUND-F1	0.00	2.61	0.00	2.61	10.0	0.26
	ACCOUNT #: 00082908831	BUY 0 Units @0.0000						
09/04/2018	***-**-6000 - SMITH, KENNETH	AMERICAN BALANCED FUND-F1	0.00	1.59	0.00	1.59	10.0	0.16
	ACCOUNT #: 00083081099	BUY 0 Units @0.0000						
09/04/2018	***-**-3084 - STRATON, SCOTT	AMERICAN BALANCED FUND-F1	0.00	0.82	0.00	0.82	10.0	0.08
	ACCOUNT #: 00083382293	BUY 0 Units @0.0000						
09/04/2018	***-**-8808 - LONDON, JODY	AMERICAN BALANCED FUND-F1	0.00	0.26	0.00	0.26	10.0	0.03
	ACCOUNT #: 00083382430	BUY 0 Units @0.0000						



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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>								
09/04/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	AMERICAN BALANCED FUND-F1 BUY 0 Units @0.0000	0.00	0.42	0.00	0.42	10.0	0.04
09/04/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	AMERICAN BALANCED FUND-F1 BUY 0 Units @0.0000	0.00	0.39	0.00	0.39	10.0	0.04
09/04/2018	***-**-673I - TEATOR, JAMES ACCOUNT #: 00083687369	AMERICAN BALANCED FUND-F1 BUY 0 Units @0.0000	0.00	4.63	0.00	4.63	10.0	0.46
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00086082668	AMERICAN BALANCED FUND-F1 BUY 0 Units @0.0000	0.00	30.30	0.00	30.30	10.0	3.03
09/04/2018	***-**-54IN - FANTAUZZO, EVA ACCOUNT #: 00087406469	AMERICAN BALANCED FUND-F1 BUY 0 Units @0.0000	0.00	4.29	0.00	4.29	10.0	0.43
09/04/2018	***-**-4399 - CAPUTO, MARILYN ACCOUNT #: 00088050157	AMERICAN BALANCED FUND-F1 BUY 0 Units @0.0000	0.00	1.26	0.00	1.26	10.0	0.13
09/04/2018	***-**-0242 - COZZO, JOSEPHINE ACCOUNT #: 00087049914	AMERICAN FUND TAX - EXEMPT FUND OF BUY 0 Units @0.0000	0.00	334.97	0.00	334.97	10.0	33.50
09/04/2018	***-**-4205 - DEBREE, ROBERT ACCOUNT #: 00087911542	AMERICAN FUND TAX - EXEMPT FUND OF BUY 0 Units @0.0000	0.00	136.69	0.00	136.69	10.0	13.67
09/04/2018	***-**-7072 - SMITH, DEBBIE ACCOUNT #: 00088065344	AMERICAN FUND TAX - EXEMPT FUND OF BUY 0 Units @0.0000	0.00	2.03	0.00	2.03	10.0	0.20
09/13/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 0 Units @19.2900	7.20	0.07	0.00	0.07	10.0	0.01
09/13/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 2 Units @19.2900	43.20	0.43	0.00	0.43	10.0	0.04
09/04/2018	***-**-5703 - DIODATO, ACCOUNT #: 04000262459	AMERICAN FUNDS INCOME PORT CL C BUY 0 Units @0.0000	0.00	472.84	0.00	472.84	10.0	47.28
09/04/2018	***-**-5838 - SPOLETA, BRENDA ACCOUNT #: 00088037501	AMERICAN GLOBAL BALANCED CL C BUY 0 Units @0.0000	0.00	55.27	0.00	55.27	10.0	5.53
09/04/2018	***-**-4399 - CAPUTO, MARILYN ACCOUNT #: 00088050157	AMERICAN GLOBAL BALANCED CL C BUY 0 Units @0.0000	0.00	56.50	0.00	56.50	10.0	5.65
09/04/2018	***-**-511I - ROOD, SCOTT ACCOUNT #: 00088607840	AMERICAN GLOBAL BALANCED CL C BUY 0 Units @0.0000	0.00	3.41	0.00	3.41	10.0	0.34
09/04/2018	***-**-7063 - ZIOTO, JULIA ACCOUNT #: 04000322984	AMERICAN GLOBAL BALANCED CL C BUY 0 Units @0.0000	0.00	6.04	0.00	6.04	10.0	0.60



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/10/2018	***-**-511I - ROOD, SCOTT	AMERICAN GLOBAL BALANCED CL C	21.52	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 00088607840	BUY 1 Units @31.4200						
09/10/2018	***-**-511I - ROOD, SCOTT	AMERICAN GLOBAL BALANCED CL C	64.10	0.64	0.00	0.64	10.0	0.06
	ACCOUNT #: 00088607840	BUY 2 Units @31.4200						
09/10/2018	***-**-7063 - ZIOTO, JULIA	AMERICAN GLOBAL BALANCED CL C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 04000322984	BUY 3 Units @31.4200						
09/04/2018	***-**-620I -	AMERICAN HIGH INCOME CLASS F1	0.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00074021540	BUY 0 Units @0.0000						
09/04/2018	***-**-5838 - SPOLETA, BRENDA	AMERICAN HIGH INCOME MUNI BOND CLAS	0.00	226.46	0.00	226.46	10.0	22.65
	ACCOUNT #: 00087435959	BUY 0 Units @0.0000						
09/04/2018	***-**-3160 - DEBREE, CHARLES	AMERICAN HIGH INCOME MUNI BOND CLAS	0.00	26.43	0.00	26.43	10.0	2.64
	ACCOUNT #: 00087458614	BUY 0 Units @0.0000						
09/04/2018	***-**-4205 - DEBREE, ROBERT	AMERICAN HIGH INCOME MUNI BOND CLAS	0.00	151.77	0.00	151.77	10.0	15.18
	ACCOUNT #: 00087911542	BUY 0 Units @0.0000						
09/04/2018	***-**-3758 - CONNORS, DAVID	AMERICAN HIGH INCOME MUNI BOND CLAS	0.00	59.38	0.00	59.38	10.0	5.94
	ACCOUNT #: 04000430331	BUY 0 Units @0.0000						
09/04/2018	***-**-062P - CRISPINO, DIANE	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	51.77	0.00	51.77	10.0	5.18
	ACCOUNT #: 00068622801	BUY 0 Units @0.0000						
09/04/2018	***-**-765P - CRISPINO/, DAVID	AMERICAN HIGH-INCOME TRUST-A	0.00	145.68	0.00	145.68	10.0	14.57
	ACCOUNT #: 00059085342	BUY 0 Units @0.0000						
09/04/2018	***-**-062P - CRISPINO, DIANE	AMERICAN HIGH-INCOME TRUST-A	0.00	52.35	0.00	52.35	10.0	5.24
	ACCOUNT #: 00068622801	BUY 0 Units @0.0000						
09/04/2018	***-**-278I - GUERRIERI, JOHN	AMERICAN HIGH-INCOME TRUST-A	0.00	33.68	0.00	33.68	10.0	3.37
	ACCOUNT #: 00082579230	BUY 0 Units @0.0000						
09/04/2018	***-**-92IN - MULLER FAMILY	AMERICAN HIGH-INCOME TRUST-A	0.00	69.01	0.00	69.01	10.0	6.90
	ACCOUNT #: 00083914711	BUY 0 Units @0.0000						
09/04/2018	***-**-975P - COTTONE, MARIA	AMERICAN HIGH-INCOME TRUST-A	0.00	8.06	0.00	8.06	10.0	0.81
	ACCOUNT #: 00086785798	BUY 0 Units @0.0000						
09/04/2018	***-**-620I -	AMERICAN HIGH-INCOME TRUST-C	0.00	241.90	0.00	241.90	10.0	24.19
	ACCOUNT #: 00074021540	BUY 0 Units @0.0000						
09/04/2018	***-**-83IR - COTTONE, HEATHER	AMERICAN HIGH-INCOME TRUST-C	0.00	11.54	0.00	11.54	10.0	1.15
	ACCOUNT #: 00085914099	BUY 0 Units @0.0000						





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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
09/04/2018	***-**-503J - OBI, JEAN	AMERICAN HIGH-INCOME TRUST-C	0.00	45.13	0.00	45.13	10.0	4.51
	ACCOUNT #: 00086750937	BUY 0 Units @0.0000						
09/04/2018	***-**-375P - COTTONE, CHARLES	AMERICAN HIGH-INCOME TRUST-C	0.00	70.11	0.00	70.11	10.0	7.01
	ACCOUNT #: 00086771782	BUY 0 Units @0.0000						
09/04/2018	***-**-35IR - GAMBACURTA,	AMERICAN HIGH-INCOME TRUST-C	0.00	85.32	0.00	85.32	10.0	8.53
	ACCOUNT #: 00086918053	BUY 0 Units @0.0000						
09/04/2018	***-**-3425 - DOROFY, ROSALBA	AMERICAN HIGH-INCOME TRUST-C	0.00	89.07	0.00	89.07	10.0	8.91
	ACCOUNT #: 00087191245	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	0.00	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 00087233373	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	0.00	84.12	0.00	84.12	10.0	8.41
	ACCOUNT #: 00087236607	BUY 0 Units @0.0000						
09/04/2018	***-**-0472 - SPOTTS, MARGARET	AMERICAN HIGH-INCOME TRUST-C	0.00	59.53	0.00	59.53	10.0	5.95
	ACCOUNT #: 00087294821	BUY 0 Units @0.0000						
09/04/2018	***-**-5838 - SPOLETA, BRENDA	AMERICAN HIGH-INCOME TRUST-C	0.00	76.65	0.00	76.65	10.0	7.67
	ACCOUNT #: 00087435959	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	0.00	1.76	0.00	1.76	10.0	0.18
	ACCOUNT #: 00089050957	BUY 0 Units @0.0000						
09/04/2018	***-**-3043 - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	0.00	535.48	0.00	535.48	10.0	53.55
	ACCOUNT #: 00089920138	BUY 0 Units @0.0000						
09/13/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @10.2700						
09/13/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 10 Units @10.2700						
09/04/2018	***-**-41EF - LEAHY, JEFFRIE	AMERICAN MUTUAL FUND-A	0.00	1,613.45	0.00	1,613.45	10.0	161.35
	ACCOUNT #: 00074805551	BUY 0 Units @0.0000						
09/04/2018	***-**-526I - CAVALLARO,	AMERICAN MUTUAL FUND-A	0.00	0.56	0.00	0.56	10.0	0.06
	ACCOUNT #: 00067409966	BUY 0 Units @0.0000						
09/04/2018	***-**-14IN - SCARPULLA,	AMERICAN MUTUAL FUND-A	0.00	46.02	0.00	46.02	10.0	4.60
	ACCOUNT #: 00062082815	BUY 0 Units @0.0000						
09/04/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	0.00	16.23	0.00	16.23	10.0	1.62
	ACCOUNT #: 00066758347	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	0.00	113.23	0.00	113.23	10.0	11.32
	ACCOUNT #: 00066759711	BUY 0 Units @0.0000						
09/04/2018	***-**-126I - GIAMBRONE,	AMERICAN MUTUAL FUND-A	0.00	22.21	0.00	22.21	10.0	2.22
	ACCOUNT #: 00068322646	BUY 0 Units @0.0000						
09/04/2018	***-**-641O - LEAHY, JEFFRIE	AMERICAN MUTUAL FUND-A	0.00	147.59	0.00	147.59	10.0	14.76
	ACCOUNT #: 00073513664	BUY 0 Units @0.0000						
09/04/2018	***-**-4926 - HAUN, GARY	AMERICAN MUTUAL FUND-A	0.00	3.13	0.00	3.13	10.0	0.31
	ACCOUNT #: 04000492822	BUY 0 Units @0.0000						
09/10/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @42.6700						
09/10/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	600.00	6.00	0.00	6.00	10.0	0.60
	ACCOUNT #: 00066759711	BUY 14 Units @42.6700						
09/12/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	83.49	0.83	0.00	0.83	10.0	0.08
	ACCOUNT #: 00066758347	BUY 2 Units @42.7500						
09/12/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	72.94	0.73	0.00	0.73	10.0	0.07
	ACCOUNT #: 00066759711	BUY 2 Units @42.7500						
09/04/2018	***-**-895P - ARBORE,	AMERICAN MUTUAL FUND-C	0.00	11.15	0.00	11.15	10.0	1.12
	ACCOUNT #: 00081632761	BUY 0 Units @0.0000						
09/04/2018	***-**-23UG - ARBORE,	AMERICAN MUTUAL FUND-C	0.00	16.10	0.00	16.10	10.0	1.61
	ACCOUNT #: 00084503705	BUY 0 Units @0.0000						
09/04/2018	***-**-2638 - DIAK, APRIL	AMERICAN MUTUAL FUND-C	0.00	9.77	0.00	9.77	10.0	0.98
	ACCOUNT #: 00085791891	BUY 0 Units @0.0000						
09/04/2018	***-**-503J - OBI, JEAN	AMERICAN MUTUAL FUND-C	0.00	34.43	0.00	34.43	10.0	3.44
	ACCOUNT #: 00086750937	BUY 0 Units @0.0000						
09/04/2018	***-**-375P - COTTONE, CHARLES	AMERICAN MUTUAL FUND-C	0.00	53.03	0.00	53.03	10.0	5.30
	ACCOUNT #: 00086771782	BUY 0 Units @0.0000						
09/04/2018	***-**-01UG - DIGIOVANNI,	AMERICAN MUTUAL FUND-C	0.00	15.68	0.00	15.68	10.0	1.57
	ACCOUNT #: 00087087389	BUY 0 Units @0.0000						
09/04/2018	***-**-3425 - DOROFY, ROSALBA	AMERICAN MUTUAL FUND-C	0.00	40.53	0.00	40.53	10.0	4.05
	ACCOUNT #: 00087191245	BUY 0 Units @0.0000						
09/04/2018	***-**-511I - ROOD, SCOTT	AMERICAN MUTUAL FUND-C	0.00	4.49	0.00	4.49	10.0	0.45
	ACCOUNT #: 00088607840	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089215280	AMERICAN MUTUAL FUND-C BUY 0 Units @0.0000	0.00	5.21	0.00	5.21	10.0	0.52
09/04/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	AMERICAN MUTUAL FUND-C BUY 0 Units @0.0000	0.00	0.48	0.00	0.48	10.0	0.05
09/04/2018	***-**-3043 - SCARPULLA, ACCOUNT #: 00089920138	AMERICAN MUTUAL FUND-C BUY 0 Units @0.0000	0.00	670.72	0.00	670.72	10.0	67.07
09/04/2018	***-**-6781 - KARNS, DANIELLE ACCOUNT #: 04000409710	AMERICAN MUTUAL FUND-C BUY 0 Units @0.0000	0.00	0.06	0.00	0.06	10.0	0.01
09/04/2018	***-**-8388 - ROWE, RYAN ACCOUNT #: 04000409804	AMERICAN MUTUAL FUND-C BUY 0 Units @0.0000	0.00	0.07	0.00	0.07	10.0	0.01
09/10/2018	***-**-511I - ROOD, SCOTT ACCOUNT #: 00088607840	AMERICAN MUTUAL FUND-C BUY 1 Units @42.0000	25.10	0.25	0.00	0.25	10.0	0.03
09/10/2018	***-**-511I - ROOD, SCOTT ACCOUNT #: 00088607840	AMERICAN MUTUAL FUND-C BUY 2 Units @42.0000	74.78	0.75	0.00	0.75	10.0	0.08
09/10/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	AMERICAN MUTUAL FUND-C BUY 0 Units @42.0000	5.00	0.05	0.00	0.05	10.0	0.01
09/13/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @42.2600	5.00	0.05	0.00	0.05	10.0	0.01
09/04/2018	***-**-526I - CAVALLARO, ACCOUNT #: 00067409966	AMERICAN MUTUAL FUND-F1 BUY 0 Units @0.0000	0.00	0.54	0.00	0.54	10.0	0.05
09/04/2018	***-**-895P - ARBORE, ACCOUNT #: 00081632761	AMERICAN MUTUAL FUND-F1 BUY 0 Units @0.0000	0.00	1.72	0.00	1.72	10.0	0.17
09/04/2018	***-**-526I - CAVALLARO, ACCOUNT #: 00067409966	AMERICAN WASHINGTON MUTUAL INVESTOR BUY 0 Units @0.0000	0.00	0.55	0.00	0.55	10.0	0.06
09/04/2018	***-**-255P - VELKY, JOHN ACCOUNT #: 00063204896	AMERICAN WASHINGTON MUTUAL INVESTOR BUY 0 Units @0.0000	0.00	0.06	0.00	0.06	10.0	0.01
09/04/2018	***-**-855P - DIVASTA, ERASMO ACCOUNT #: 00067943068	AMERICAN WASHINGTON MUTUAL INVESTOR BUY 0 Units @0.0000	0.00	4.27	0.00	4.27	10.0	0.43
09/04/2018	***-**-862I - BOAS, JOHANNA ACCOUNT #: 00069029472	AMERICAN WASHINGTON MUTUAL INVESTOR BUY 0 Units @0.0000	0.00	3.01	0.00	3.01	10.0	0.30
09/04/2018	***-**-7255 - LIPPA, HARITINI ACCOUNT #: 00069040847	AMERICAN WASHINGTON MUTUAL INVESTOR BUY 0 Units @0.0000	0.00	8.99	0.00	8.99	10.0	0.90



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-435P - BOSCO, SOFIA	AMERICAN WASHINGTON MUTUAL INVESTOR	0.00	10.08	0.00	10.08	10.0	1.01
	ACCOUNT #: 00073003754	BUY 0 Units @0.0000						
09/04/2018	***-**-625P - CENTOLA, ANITA	AMERICAN WASHINGTON MUTUAL INVESTOR	0.00	0.98	0.00	0.98	10.0	0.10
	ACCOUNT #: 00074256566	BUY 0 Units @0.0000						
09/04/2018	***-**-845P - BUKOLT, LEONARD	AMERICAN WASHINGTON MUTUAL INVESTOR	0.00	39.20	0.00	39.20	10.0	3.92
	ACCOUNT #: 00074390043	BUY 0 Units @0.0000						
09/04/2018	***-**-435P - MOORE, SARA	AMERICAN WASHINGTON MUTUAL INVESTOR	0.00	3.50	0.00	3.50	10.0	0.35
	ACCOUNT #: 00081602977	BUY 0 Units @0.0000						
09/04/2018	***-**-0693 - POWELL, KRISTIN	AMERICAN WASHINGTON MUTUAL INVESTOR	0.00	7.66	0.00	7.66	10.0	0.77
	ACCOUNT #: 00083026630	BUY 0 Units @0.0000						
09/04/2018	***-**-673I - TEATOR, JAMES	AMERICAN WASHINGTON MUTUAL INVESTOR	0.00	4.86	0.00	4.86	10.0	0.49
	ACCOUNT #: 00083687369	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN WASHINGTON MUTUAL INVESTOR	0.00	37.29	0.00	37.29	10.0	3.73
	ACCOUNT #: 00086082668	BUY 0 Units @0.0000						
09/04/2018	***-**-63IN - DIAMOND, ANN	AMERICAN WASHINGTON MUTUAL INVESTOR	0.00	7.66	0.00	7.66	10.0	0.77
	ACCOUNT #: 00089876011	BUY 0 Units @0.0000						
09/04/2018	***-**-215P - HINKEL, VICTORIA	CAPITAL INCOME BUILDER CLASS C	0.00	13.72	0.00	13.72	10.0	1.37
	ACCOUNT #: 00074107112	BUY 0 Units @0.0000						
09/04/2018	***-**-355P - RUSH, DONNA	CAPITAL INCOME BUILDER CLASS C	0.00	21.56	0.00	21.56	10.0	2.16
	ACCOUNT #: 00075148100	BUY 0 Units @0.0000						
09/04/2018	***-**-844I - PIAZZA, ANNIE	CAPITAL INCOME BUILDER CLASS C	0.00	51.85	0.00	51.85	10.0	5.19
	ACCOUNT #: 00083884556	BUY 0 Units @0.0000						
09/04/2018	***-**-03UG - JAY, JONATHON	CAPITAL INCOME BUILDER CLASS C	0.00	12.16	0.00	12.16	10.0	1.22
	ACCOUNT #: 00085704943	BUY 0 Units @0.0000						
09/04/2018	***-**-56UG - JAY, AIDEN	CAPITAL INCOME BUILDER CLASS C	0.00	12.16	0.00	12.16	10.0	1.22
	ACCOUNT #: 00085704960	BUY 0 Units @0.0000						
09/04/2018	***-**-07UG - JAY, JASEN	CAPITAL INCOME BUILDER CLASS C	0.00	12.16	0.00	12.16	10.0	1.22
	ACCOUNT #: 00085704971	BUY 0 Units @0.0000						
09/04/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL INCOME BUILDER CLASS C	0.00	8.36	0.00	8.36	10.0	0.84
	ACCOUNT #: 00085764363	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	CAPITAL INCOME BUILDER CLASS C	0.00	78.83	0.00	78.83	10.0	7.88
	ACCOUNT #: 00086082668	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-7171 - GIUDICE, JUSTIN	CAPITAL INCOME BUILDER CLASS C	0.00	1.82	0.00	1.82	10.0	0.18
	ACCOUNT #: 00086494794	BUY 0 Units @0.0000						
09/04/2018	***-**-6711 - LEGRETTE, TRICIA	CAPITAL INCOME BUILDER CLASS C	0.00	13.34	0.00	13.34	10.0	1.33
	ACCOUNT #: 00086616175	BUY 0 Units @0.0000						
09/04/2018	***-**-503J - OBI, JEAN	CAPITAL INCOME BUILDER CLASS C	0.00	25.58	0.00	25.58	10.0	2.56
	ACCOUNT #: 00086750937	BUY 0 Units @0.0000						
09/04/2018	***-**-351R - GAMBACURTA,	CAPITAL INCOME BUILDER CLASS C	0.00	150.66	0.00	150.66	10.0	15.07
	ACCOUNT #: 00086918053	BUY 0 Units @0.0000						
09/04/2018	***-**-0472 - SPOTTS, MARGARET	CAPITAL INCOME BUILDER CLASS C	0.00	48.86	0.00	48.86	10.0	4.89
	ACCOUNT #: 00087294821	BUY 0 Units @0.0000						
09/04/2018	***-**-9611 - MACDUFFIE, LINDA	CAPITAL INCOME BUILDER CLASS C	0.00	76.35	0.00	76.35	10.0	7.64
	ACCOUNT #: 00087299599	BUY 0 Units @0.0000						
09/04/2018	***-**-5838 - SPOLETA, BRENDA	CAPITAL INCOME BUILDER CLASS C	0.00	56.83	0.00	56.83	10.0	5.68
	ACCOUNT #: 00088037501	BUY 0 Units @0.0000						
09/04/2018	***-**-0962 - TRETYAK,	CAPITAL INCOME BUILDER CLASS C	0.00	3.02	0.00	3.02	10.0	0.30
	ACCOUNT #: 00089399972	BUY 0 Units @0.0000						
09/10/2018	***-**-7171 - GIUDICE, JUSTIN	CAPITAL INCOME BUILDER CLASS C	36.03	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00086494794	BUY 1 Units @60.2300						
09/10/2018	***-**-7171 - GIUDICE, JUSTIN	CAPITAL INCOME BUILDER CLASS C	103.95	1.04	0.00	1.04	10.0	0.10
	ACCOUNT #: 00086494794	BUY 2 Units @60.2300						
09/10/2018	***-**-0962 - TRETYAK,	CAPITAL INCOME BUILDER CLASS C	46.00	0.46	0.00	0.46	10.0	0.05
	ACCOUNT #: 00089399972	BUY 1 Units @60.2300						
09/10/2018	***-**-0962 - TRETYAK,	CAPITAL INCOME BUILDER CLASS C	194.83	1.95	0.00	1.95	10.0	0.20
	ACCOUNT #: 00089399972	BUY 3 Units @60.2300						
09/04/2018	***-**-0447 - LEVINE, JACQUE	CAPITAL INCOME BUILDER-A	0.00	22.08	0.00	22.08	10.0	2.21
	ACCOUNT #: 00084996765	BUY 0 Units @0.0000						
09/04/2018	***-**-145P - SCARPULLA,	CAPITAL INCOME BUILDER-A	0.00	2.21	0.00	2.21	10.0	0.22
	ACCOUNT #: 00058728614	BUY 0 Units @0.0000						
09/04/2018	***-**-069I - BUCK, LESLIE	CAPITAL INCOME BUILDER-A	0.00	6.61	0.00	6.61	10.0	0.66
	ACCOUNT #: 00060471066	BUY 0 Units @0.0000						
09/04/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL INCOME BUILDER-A	0.00	11.57	0.00	11.57	10.0	1.16
	ACCOUNT #: 00073550085	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-415P - VAN ORMAN, LOUIS	CAPITAL INCOME BUILDER-A	0.00	45.96	0.00	45.96	10.0	4.60
	ACCOUNT #: 00081940220	BUY 0 Units @0.0000						
09/04/2018	***-**-01IN - MASTROSIMONE,	CAPITAL INCOME BUILDER-A	0.00	3.87	0.00	3.87	10.0	0.39
	ACCOUNT #: 00082324069	BUY 0 Units @0.0000						
09/04/2018	***-**-635P - CASCINO, LORI	CAPITAL INCOME BUILDER-A	0.00	0.13	0.00	0.13	10.0	0.01
	ACCOUNT #: 00082478975	BUY 0 Units @0.0000						
09/04/2018	***-**-975P - COTTONE, MARIA	CAPITAL INCOME BUILDER-A	0.00	8.40	0.00	8.40	10.0	0.84
	ACCOUNT #: 00086785798	BUY 0 Units @0.0000						
09/10/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL INCOME BUILDER-A	34.20	0.55	0.00	0.55	10.0	0.06
	ACCOUNT #: 00073550085	BUY 1 Units @61.4500						
09/10/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL INCOME BUILDER-A	186.00	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00073550085	BUY 3 Units @61.4500						
09/04/2018	***-**-613J - RAAB, CHARLES	CAPITAL INCOME BUILDER-F1	0.00	4.50	0.00	4.50	10.0	0.45
	ACCOUNT #: 00066965869	BUY 0 Units @0.0000						
09/04/2018	***-**-355P - RUSH, DONNA	CAPITAL INCOME BUILDER-F1	0.00	2.16	0.00	2.16	10.0	0.22
	ACCOUNT #: 00075148100	BUY 0 Units @0.0000						
09/04/2018	***-**-222J - WAGNER, PAUL	CAPITAL INCOME BUILDER-F1	0.00	6.14	0.00	6.14	10.0	0.61
	ACCOUNT #: 00082698727	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	CAPITAL INCOME BUILDER-F1	0.00	26.82	0.00	26.82	10.0	2.68
	ACCOUNT #: 00086082668	BUY 0 Units @0.0000						
09/04/2018	***-**-4399 - CAPUTO, MARILYN	CAPITAL INCOME BUILDER-F1	0.00	0.69	0.00	0.69	10.0	0.07
	ACCOUNT #: 00088050157	BUY 0 Units @0.0000						
09/04/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	0.00	8.12	0.00	8.12	10.0	0.81
	ACCOUNT #: 00063412117	BUY 0 Units @0.0000						
09/04/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	0.00	7.81	0.00	7.81	10.0	0.78
	ACCOUNT #: 00063451518	BUY 0 Units @0.0000						
09/04/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD BOND FUND-A	0.00	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 00066758344	BUY 0 Units @0.0000						
09/04/2018	***-**-355P - RUSH, DONNA	CAPITAL WORLD BOND FUND-C	0.00	14.35	0.00	14.35	10.0	1.44
	ACCOUNT #: 00075148100	BUY 0 Units @0.0000						
09/04/2018	***-**-398I - GUERRIERI, PAUL	CAPITAL WORLD BOND FUND-C	0.00	9.92	0.00	9.92	10.0	0.99
	ACCOUNT #: 00086040659	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-671I - LEGRETTE, TRICIA	CAPITAL WORLD BOND FUND-C	0.00	18.62	0.00	18.62	10.0	1.86
	ACCOUNT #: 00086616175	BUY 0 Units @0.0000						
09/04/2018	***-**-3425 - DOROFY, ROSALBA	CAPITAL WORLD BOND FUND-C	0.00	18.47	0.00	18.47	10.0	1.85
	ACCOUNT #: 00087191245	BUY 0 Units @0.0000						
09/04/2018	***-**-526I - CAVALLARO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.68	0.00	0.68	10.0	0.07
	ACCOUNT #: 00067409966	BUY 0 Units @0.0000						
09/04/2018	***-**-765P - CRISPINO/, DAVID	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	216.76	0.00	216.76	10.0	21.68
	ACCOUNT #: 00059085342	BUY 0 Units @0.0000						
09/04/2018	***-**-069I - BUCK, LESLIE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	7.70	0.00	7.70	10.0	0.77
	ACCOUNT #: 00060471066	BUY 0 Units @0.0000						
09/04/2018	***-**-09IN - ARBORE,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	10.29	0.00	10.29	10.0	1.03
	ACCOUNT #: 00063715252	BUY 0 Units @0.0000						
09/04/2018	***-**-048I - DEAN, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	25.42	0.00	25.42	10.0	2.54
	ACCOUNT #: 00065085393	BUY 0 Units @0.0000						
09/04/2018	***-**-515P - GUERRIERI,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	6.65	0.00	6.65	10.0	0.67
	ACCOUNT #: 00066746363	BUY 0 Units @0.0000						
09/04/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.63	0.00	1.63	10.0	0.16
	ACCOUNT #: 00066758344	BUY 0 Units @0.0000						
09/04/2018	***-**-415P - MALOVICS, LASZLO	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	65.87	0.00	65.87	10.0	6.59
	ACCOUNT #: 00066758345	BUY 0 Units @0.0000						
09/04/2018	***-**-855P - GREENE, DARRIS	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00066758349	BUY 0 Units @0.0000						
09/04/2018	***-**-275P - LAMANNA, DANIEL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.89	0.00	0.89	10.0	0.09
	ACCOUNT #: 00066898425	BUY 0 Units @0.0000						
09/04/2018	***-**-705P - SNYDER, STEVEN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	6.16	0.00	6.16	10.0	0.62
	ACCOUNT #: 00067400189	BUY 0 Units @0.0000						
09/04/2018	***-**-515P - GUERRIERI,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	6.47	0.00	6.47	10.0	0.65
	ACCOUNT #: 00069141953	BUY 0 Units @0.0000						
09/04/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	14.12	0.00	14.12	10.0	1.41
	ACCOUNT #: 00073550085	BUY 0 Units @0.0000						
09/04/2018	***-**-115P - MASTROSIMONE,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	8.33	0.00	8.33	10.0	0.83
	ACCOUNT #: 00073591575	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
09/04/2018	***-**-801I - MASTROSIMONE, ACCOUNT #: 00073753943	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	7.29	0.00	7.29	10.0	0.73
09/04/2018	***-**-425P - MEEKS, PERDITA ACCOUNT #: 00074210167	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	0.76	0.00	0.76	10.0	0.08
09/04/2018	***-**-338P - ARBORE, JENNIFER ACCOUNT #: 00081283898	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	0.33	0.00	0.33	10.0	0.03
09/04/2018	***-**-535P - MCLARK, ADRIENNE ACCOUNT #: 00081674394	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	6.27	0.00	6.27	10.0	0.63
09/04/2018	***-**-415P - VAN ORMAN, LOUIS ACCOUNT #: 00081940220	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	54.16	0.00	54.16	10.0	5.42
09/04/2018	***-**-825P - GAGNIER, ACCOUNT #: 00082149035	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	4.46	0.00	4.46	10.0	0.45
09/04/2018	***-**-635P - CASCINO, LORI ACCOUNT #: 00082478975	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	10.0	0.02
09/04/2018	***-**-278I - GUERRIERI, JOHN ACCOUNT #: 00082579230	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	32.44	0.00	32.44	10.0	3.24
09/04/2018	***-**-937I - PELLICANE, MARY ACCOUNT #: 00082678067	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	2.74	0.00	2.74	10.0	0.27
09/04/2018	***-**-436I - RAGO, LISA ACCOUNT #: 00083139532	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	5.61	0.00	5.61	10.0	0.56
09/04/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	2.69	0.00	2.69	10.0	0.27
09/04/2018	***-**-43UG - UNTIL AGE 21, ACCOUNT #: 00083403071	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	5.22	0.00	5.22	10.0	0.52
09/04/2018	***-**-71UG - UNTIL AGE 21, ACCOUNT #: 00083403093	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	5.22	0.00	5.22	10.0	0.52
09/04/2018	***-**-296I - TEUMER, ACCOUNT #: 00083577034	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	5.99	0.00	5.99	10.0	0.60
09/04/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00083798896	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	2.81	0.00	2.81	10.0	0.28
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00086082668	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	3.53	0.00	3.53	10.0	0.35





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-5912 - BELLAVIA, ACCOUNT #: 04000971773	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	11.29	0.00	11.29	10.0	1.13
09/04/2018	***-**-048I - DEAN, MARY ACCOUNT #: 00065085393	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	160.50	0.00	160.50	10.0	16.05
09/04/2018	***-**-126I - GIAMBRONE, ACCOUNT #: 00068322646	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	86.08	0.00	86.08	10.0	8.61
09/04/2018	***-**-115P - MASTROSIMONE, ACCOUNT #: 00073591575	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	4.31	0.00	4.31	10.0	0.43
09/04/2018	***-**-620I - ACCOUNT #: 00074021540	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	167.39	0.00	167.39	10.0	16.74
09/04/2018	***-**-625P - CENTOLA, ANITA ACCOUNT #: 00074256566	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	5.21	0.00	5.21	10.0	0.52
09/04/2018	***-**-075P - BARON, ROBIN ACCOUNT #: 00081304092	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	9.69	0.00	9.69	10.0	0.97
09/04/2018	***-**-278I - GUERRIERI, JOHN ACCOUNT #: 00082579230	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	0.13	0.00	0.13	10.0	0.01
09/04/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	22.17	0.00	22.17	10.0	2.22
09/04/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	10.57	0.00	10.57	10.0	1.06
09/04/2018	***-**-673I - TEATOR, JAMES ACCOUNT #: 00083687369	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	18.42	0.00	18.42	10.0	1.84
09/04/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00083798896	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	20.92	0.00	20.92	10.0	2.09
09/04/2018	***-**-844I - PIAZZA, ANNIE ACCOUNT #: 00083884556	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	50.64	0.00	50.64	10.0	5.06
09/04/2018	***-**-75IR - GUERRIERI, SOFIA ACCOUNT #: 00084649198	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	155.62	0.00	155.62	10.0	15.56
09/04/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00084905937	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	27.36	0.00	27.36	10.0	2.74
09/04/2018	***-**-383I - OUKES, CHARLENE ACCOUNT #: 00084968205	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	21.71	0.00	21.71	10.0	2.17



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-1209 - NATALE, KIMBERLY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	15.93	0.00	15.93	10.0	1.59
	ACCOUNT #: 00085764285	BUY 0 Units @0.0000						
09/04/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	9.77	0.00	9.77	10.0	0.98
	ACCOUNT #: 00085764363	BUY 0 Units @0.0000						
09/04/2018	***-**-44IR - GUERRIERI,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	109.06	0.00	109.06	10.0	10.91
	ACCOUNT #: 00085876068	BUY 0 Units @0.0000						
09/04/2018	***-**-3425 - DOROFY, ROSALBA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	7.83	0.00	7.83	10.0	0.78
	ACCOUNT #: 00085904195	BUY 0 Units @0.0000						
09/04/2018	***-**-83IR - COTTONE, HEATHER	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	11.52	0.00	11.52	10.0	1.15
	ACCOUNT #: 00085914099	BUY 0 Units @0.0000						
09/04/2018	***-**-05IN - RANDALL, ADAM	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	34.98	0.00	34.98	10.0	3.50
	ACCOUNT #: 00085941585	BUY 0 Units @0.0000						
09/04/2018	***-**-671I - LEGRETTE, TRICIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	16.28	0.00	16.28	10.0	1.63
	ACCOUNT #: 00086616175	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	78.45	0.00	78.45	10.0	7.85
	ACCOUNT #: 00087038420	BUY 0 Units @0.0000						
09/04/2018	***-**-01UG - DIGIOVANNI,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	15.20	0.00	15.20	10.0	1.52
	ACCOUNT #: 00087087389	BUY 0 Units @0.0000						
09/04/2018	***-**-68IN - RANDALL, JASON	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.59	0.00	3.59	10.0	0.36
	ACCOUNT #: 00088870923	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	9.71	0.00	9.71	10.0	0.97
	ACCOUNT #: 00089045192	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089055722	BUY 0 Units @0.0000						
09/04/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	4.74	0.00	4.74	10.0	0.47
	ACCOUNT #: 00089910177	BUY 0 Units @0.0000						
09/04/2018	***-**-3043 - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	640.46	0.00	640.46	10.0	64.05
	ACCOUNT #: 00089920138	BUY 0 Units @0.0000						
09/04/2018	***-**-5225 - BOWERMAN, DAWN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.54	0.00	0.54	10.0	0.05
	ACCOUNT #: 04000089664	BUY 0 Units @0.0000						
09/04/2018	***-**-4267 - DESSO, PATRICIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.49	0.00	3.49	10.0	0.35
	ACCOUNT #: 04000296625	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/10/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00066758344	BUY 0 Units @50.1300						
09/10/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL WORLD GROWTH AND INCOME FUN	34.20	0.55	0.00	0.55	10.0	0.06
	ACCOUNT #: 00073550085	BUY 1 Units @51.1500						
09/10/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL WORLD GROWTH AND INCOME FUN	186.00	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00073550085	BUY 4 Units @51.1500						
09/10/2018	***-**-4036 - AMES, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	48.00	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00083414092	BUY 1 Units @49.5200						
09/10/2018	***-**-4036 - AMES, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	72.00	0.72	0.00	0.72	10.0	0.07
	ACCOUNT #: 00083414092	BUY 1 Units @49.5200						
09/10/2018	***-**-4926 - HAUN, GARY	CAPITAL WORLD GROWTH AND INCOME FUN	42.30	0.42	0.00	0.42	10.0	0.04
	ACCOUNT #: 04000492822	BUY 1 Units @49.5200						
09/10/2018	***-**-4926 - HAUN, GARY	CAPITAL WORLD GROWTH AND INCOME FUN	190.35	1.90	0.00	1.90	10.0	0.19
	ACCOUNT #: 04000492822	BUY 4 Units @49.5200						
09/11/2018	***-**-705P - SNYDER, STEVEN	CAPITAL WORLD GROWTH AND INCOME FUN	27.20	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00067400189	BUY 1 Units @50.0900						
09/11/2018	***-**-705P - SNYDER, STEVEN	CAPITAL WORLD GROWTH AND INCOME FUN	27.20	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00067400189	BUY 1 Units @50.0900						
09/11/2018	***-**-705P - SNYDER, STEVEN	CAPITAL WORLD GROWTH AND INCOME FUN	22.02	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 00067400189	BUY 0 Units @50.0900						
09/11/2018	***-**-705P - SNYDER, STEVEN	CAPITAL WORLD GROWTH AND INCOME FUN	34.00	0.34	0.00	0.34	10.0	0.03
	ACCOUNT #: 00067400189	BUY 1 Units @50.0900						
09/11/2018	***-**-3306 - MASTROSIMONE,	CAPITAL WORLD GROWTH AND INCOME FUN	36.00	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00083382475	BUY 1 Units @50.0900						
09/11/2018	***-**-3306 - MASTROSIMONE,	CAPITAL WORLD GROWTH AND INCOME FUN	36.00	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00083382475	BUY 1 Units @50.0900						
09/11/2018	***-**-3306 - MASTROSIMONE,	CAPITAL WORLD GROWTH AND INCOME FUN	45.00	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00083382475	BUY 1 Units @50.0900						
09/11/2018	***-**-3306 - MASTROSIMONE,	CAPITAL WORLD GROWTH AND INCOME FUN	45.00	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00083382475	BUY 1 Units @50.0900						
09/12/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	47.94	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00066758344	BUY 1 Units @50.0300						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @49.8200	96.40	0.96	0.00	0.96	10.0	0.10
09/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @49.8200	30.00	0.30	0.00	0.30	10.0	0.03
09/14/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @49.9700	40.00	0.40	0.00	0.40	10.0	0.04
09/04/2018	***-**-385P - ARBORE, TAYLER ACCOUNT #: 00081282910	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	7.26	0.00	7.26	10.0	0.73
09/04/2018	***-**-385P - ARBORE, TAYLER ACCOUNT #: 00081283006	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	7.26	0.00	7.26	10.0	0.73
09/04/2018	***-**-4399 - CAPUTO, MARILYN ACCOUNT #: 00084706767	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	19.44	0.00	19.44	10.0	1.94
09/04/2018	***-**-526I - CAVALLARO, ACCOUNT #: 00067409966	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 0 Units @0.0000	0.00	0.67	0.00	0.67	10.0	0.07
09/04/2018	***-**-7255 - LIPPA, HARITINI ACCOUNT #: 00069040847	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 0 Units @0.0000	0.00	10.19	0.00	10.19	10.0	1.02
09/04/2018	***-**-115P - MASTROSIMONE, ACCOUNT #: 00073591575	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 0 Units @0.0000	0.00	1.76	0.00	1.76	10.0	0.18
09/04/2018	***-**-620I - ACCOUNT #: 00074021540	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 0 Units @0.0000	0.00	21.21	0.00	21.21	10.0	2.12
09/04/2018	***-**-625P - CENTOLA, ANITA ACCOUNT #: 00074256566	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 0 Units @0.0000	0.00	1.06	0.00	1.06	10.0	0.11
09/04/2018	***-**-195P - WEST, HOLLY ACCOUNT #: 00075135342	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 0 Units @0.0000	0.00	5.09	0.00	5.09	10.0	0.51
09/04/2018	***-**-355P - RUSH, DONNA ACCOUNT #: 00075148100	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 0 Units @0.0000	0.00	3.08	0.00	3.08	10.0	0.31
09/04/2018	***-**-214I - RUSH, ROBERT ACCOUNT #: 00075148251	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 0 Units @0.0000	0.00	12.31	0.00	12.31	10.0	1.23
09/04/2018	***-**-075P - BARON, ROBIN ACCOUNT #: 00081304092	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 0 Units @0.0000	0.00	7.83	0.00	7.83	10.0	0.78
09/04/2018	***-**-995P - CAPUTO, MARILYN ACCOUNT #: 00082091777	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 0 Units @0.0000	0.00	1.14	0.00	1.14	10.0	0.11



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 0 Units @0.0000	0.00	0.33	0.00	0.33	10.0	0.03
09/04/2018	***-**-673I - TEATOR, JAMES ACCOUNT #: 00083687369	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 0 Units @0.0000	0.00	3.73	0.00	3.73	10.0	0.37
09/04/2018	***-**-355P - RUSH, DONNA ACCOUNT #: 00075148100	CAPITAL WPRLD BOND FUND-F1 BUY 0 Units @0.0000	0.00	0.79	0.00	0.79	10.0	0.08
09/17/2018	***-**-540J - ARBORE, MARIA ACCOUNT #: 03020030772	COLUMBIA FUNDS MF TRAILS BUY 0 Units @0.0000	0.00	2.28	0.00	2.28	10.0	0.23
09/17/2018	***-**-07IN - SCARPULLA, ACCOUNT #: 07600010039	COLUMBIA FUNDS MF TRAILS BUY 0 Units @0.0000	0.00	15.82	0.00	15.82	10.0	1.58
09/17/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 0104134960	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	11.07	0.00	11.07	10.0	1.11
09/04/2018	***-**-2638 - DIAK, APRIL ACCOUNT #: 00085791891	EUROPACIFIC GROWTH FUND CLASS C BUY 0 Units @0.0000	0.00	9.63	0.00	9.63	10.0	0.96
09/04/2018	***-**-7615 - MCGINNIS, ACCOUNT #: 00085902209	EUROPACIFIC GROWTH FUND CLASS C BUY 0 Units @0.0000	0.00	1.06	0.00	1.06	10.0	0.11
09/04/2018	***-**-8776 - LEVINE, TODD ACCOUNT #: 00066829688	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	2.92	0.00	2.92	10.0	0.29
09/04/2018	***-**-18IN - RIEDEL, JAMES ACCOUNT #: 00058934237	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	9.59	0.00	9.59	10.0	0.96
09/04/2018	***-**-160I - HEBERGER, ACCOUNT #: 00059221008	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	12.12	0.00	12.12	10.0	1.21
09/04/2018	***-**-701I - MCSHANE, THOMAS ACCOUNT #: 00059264717	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	6.04	0.00	6.04	10.0	0.60
09/04/2018	***-**-543I - MCSHANE, ELAINE ACCOUNT #: 00059264718	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	9.94	0.00	9.94	10.0	0.99
09/04/2018	***-**-99IN - ARBORE, CARL ACCOUNT #: 00059377247	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	32.83	0.00	32.83	10.0	3.28
09/04/2018	***-**-14IN - SCARPULLA, ACCOUNT #: 00062082815	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	8.49	0.00	8.49	10.0	0.85
09/04/2018	***-**-604I - CAPEZZUTO, MARIA ACCOUNT #: 00062579023	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	65.31	0.00	65.31	10.0	6.53



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	0.00	30.13	0.00	30.13	10.0	3.01
	ACCOUNT #: 00063412117	BUY 0 Units @0.0000						
09/04/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	0.00	28.89	0.00	28.89	10.0	2.89
	ACCOUNT #: 00063451518	BUY 0 Units @0.0000						
09/04/2018	***-**-465P - CANNON, PAULA	EUROPACIFIC GROWTH FUND-A	0.00	1.55	0.00	1.55	10.0	0.16
	ACCOUNT #: 00065090950	BUY 0 Units @0.0000						
09/04/2018	***-**-984P - DELUCA, SHARI	EUROPACIFIC GROWTH FUND-A	0.00	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 00065146525	BUY 0 Units @0.0000						
09/04/2018	***-**-275P - HUGGINS, EDDISON	EUROPACIFIC GROWTH FUND-A	0.00	1.53	0.00	1.53	10.0	0.15
	ACCOUNT #: 00067335866	BUY 0 Units @0.0000						
09/04/2018	***-**-375P - MASTROSIMONE,	EUROPACIFIC GROWTH FUND-A	0.00	27.94	0.00	27.94	10.0	2.79
	ACCOUNT #: 00067351605	BUY 0 Units @0.0000						
09/04/2018	***-**-705P - SNYDER, STEVEN	EUROPACIFIC GROWTH FUND-A	0.00	12.97	0.00	12.97	10.0	1.30
	ACCOUNT #: 00067400189	BUY 0 Units @0.0000						
09/04/2018	***-**-2243 - SPENCER, JANICE	EUROPACIFIC GROWTH FUND-A	0.00	9.08	0.00	9.08	10.0	0.91
	ACCOUNT #: 00068185254	BUY 0 Units @0.0000						
09/04/2018	***-**-141I - MALOVICS, LASZLO	EUROPACIFIC GROWTH FUND-A	0.00	6.50	0.00	6.50	10.0	0.65
	ACCOUNT #: 00081215719	BUY 0 Units @0.0000						
09/04/2018	***-**-825P - GAGNIER,	EUROPACIFIC GROWTH FUND-A	0.00	3.87	0.00	3.87	10.0	0.39
	ACCOUNT #: 00082149035	BUY 0 Units @0.0000						
09/04/2018	***-**-937I - PELLICANE, MARY	EUROPACIFIC GROWTH FUND-A	0.00	2.37	0.00	2.37	10.0	0.24
	ACCOUNT #: 00082678067	BUY 0 Units @0.0000						
09/04/2018	***-**-2638 - DIAK, APRIL	EUROPACIFIC GROWTH FUND-A	0.00	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 00085791891	BUY 0 Units @0.0000						
09/04/2018	***-**-895P - LIBEY, ERIK	EUROPACIFIC GROWTH FUND-A	0.00	5.36	0.00	5.36	10.0	0.54
	ACCOUNT #: 00086828942	BUY 0 Units @0.0000						
09/11/2018	***-**-275P - HUGGINS, EDDISON	EUROPACIFIC GROWTH FUND-A	41.66	0.42	0.00	0.42	10.0	0.04
	ACCOUNT #: 00067335866	BUY 1 Units @51.5700						
09/11/2018	***-**-275P - HUGGINS, EDDISON	EUROPACIFIC GROWTH FUND-A	61.20	0.61	0.00	0.61	10.0	0.06
	ACCOUNT #: 00067335866	BUY 1 Units @51.5700						
09/11/2018	***-**-275P - HUGGINS, EDDISON	EUROPACIFIC GROWTH FUND-A	51.00	0.51	0.00	0.51	10.0	0.05
	ACCOUNT #: 00067335866	BUY 1 Units @51.5700						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/11/2018	***-**-275P - HUGGINS, EDDISON	EUROPACIFIC GROWTH FUND-A	34.52	0.35	0.00	0.35	10.0	0.04
	ACCOUNT #: 00067335866	BUY 1 Units @51.5700						
09/11/2018	***-**-375P - MASTROSIMONE,	EUROPACIFIC GROWTH FUND-A	46.53	0.47	0.00	0.47	10.0	0.05
	ACCOUNT #: 00067351605	BUY 1 Units @51.5700						
09/11/2018	***-**-375P - MASTROSIMONE,	EUROPACIFIC GROWTH FUND-A	79.20	0.79	0.00	0.79	10.0	0.08
	ACCOUNT #: 00067351605	BUY 2 Units @51.5700						
09/11/2018	***-**-375P - MASTROSIMONE,	EUROPACIFIC GROWTH FUND-A	63.26	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00067351605	BUY 1 Units @51.5700						
09/11/2018	***-**-375P - MASTROSIMONE,	EUROPACIFIC GROWTH FUND-A	99.00	0.99	0.00	0.99	10.0	0.10
	ACCOUNT #: 00067351605	BUY 2 Units @51.5700						
09/11/2018	***-**-705P - SNYDER, STEVEN	EUROPACIFIC GROWTH FUND-A	57.60	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 00067400189	BUY 1 Units @51.5700						
09/11/2018	***-**-705P - SNYDER, STEVEN	EUROPACIFIC GROWTH FUND-A	57.60	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 00067400189	BUY 1 Units @51.5700						
09/11/2018	***-**-705P - SNYDER, STEVEN	EUROPACIFIC GROWTH FUND-A	46.62	0.47	0.00	0.47	10.0	0.05
	ACCOUNT #: 00067400189	BUY 1 Units @51.5700						
09/11/2018	***-**-705P - SNYDER, STEVEN	EUROPACIFIC GROWTH FUND-A	72.00	0.72	0.00	0.72	10.0	0.07
	ACCOUNT #: 00067400189	BUY 1 Units @51.5700						
09/04/2018	***-**-385P - MASTROSIMONE,	FUNDAMENTAL INVESTORS FUND CLASS F	0.00	12.43	0.00	12.43	10.0	1.24
	ACCOUNT #: 00068834568	BUY 0 Units @0.0000						
09/04/2018	***-**-615P - LE, TU	FUNDAMENTAL INVESTORS FUND CLASS F	0.00	1.09	0.00	1.09	10.0	0.11
	ACCOUNT #: 00075107985	BUY 0 Units @0.0000						
09/04/2018	***-**-145P - SCARPULLA,	FUNDAMENTAL INVESTORS-A	0.00	51.71	0.00	51.71	10.0	5.17
	ACCOUNT #: 00058728614	BUY 0 Units @0.0000						
09/04/2018	***-**-0785 - DWYER-SKINNER,	FUNDAMENTAL INVESTORS-A	0.00	31.72	0.00	31.72	10.0	3.17
	ACCOUNT #: 00062084359	BUY 0 Units @0.0000						
09/04/2018	***-**-604I - CAPEZZUTO, MARIA	FUNDAMENTAL INVESTORS-A	0.00	85.41	0.00	85.41	10.0	8.54
	ACCOUNT #: 00062579023	BUY 0 Units @0.0000						
09/04/2018	***-**-545P - VISCA, ANGELO	FUNDAMENTAL INVESTORS-A	0.00	4.18	0.00	4.18	10.0	0.42
	ACCOUNT #: 00063056262	BUY 0 Units @0.0000						
09/04/2018	***-**-385P - BONACCI,	FUNDAMENTAL INVESTORS-A	0.00	25.18	0.00	25.18	10.0	2.52
	ACCOUNT #: 00063160662	BUY 0 Units @0.0000						



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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>								
09/04/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	0.00	85.99	0.00	85.99	10.0	8.60
	ACCOUNT #: 00063412117	BUY 0 Units @0.0000						
09/04/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	0.00	82.38	0.00	82.38	10.0	8.24
	ACCOUNT #: 00063451518	BUY 0 Units @0.0000						
09/04/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	0.00	37.41	0.00	37.41	10.0	3.74
	ACCOUNT #: 00066759710	BUY 0 Units @0.0000						
09/04/2018	***-**-705P - SNYDER, STEVEN	FUNDAMENTAL INVESTORS-A	0.00	5.13	0.00	5.13	10.0	0.51
	ACCOUNT #: 00067400189	BUY 0 Units @0.0000						
09/04/2018	***-**-605P - MULVANEY, CORY	FUNDAMENTAL INVESTORS-A	0.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00067510163	BUY 0 Units @0.0000						
09/04/2018	***-**-1540 - COTA, GRETCHEN	FUNDAMENTAL INVESTORS-A	0.00	3.08	0.00	3.08	10.0	0.31
	ACCOUNT #: 00068099713	BUY 0 Units @0.0000						
09/04/2018	***-**-165P - CLEMENT, SCOTT	FUNDAMENTAL INVESTORS-A	0.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00068190881	BUY 0 Units @0.0000						
09/04/2018	***-**-126I - GIAMBRONE,	FUNDAMENTAL INVESTORS-A	0.00	24.74	0.00	24.74	10.0	2.47
	ACCOUNT #: 00068322646	BUY 0 Units @0.0000						
09/04/2018	***-**-495P - UTZ, TINA	FUNDAMENTAL INVESTORS-A	0.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00073370225	BUY 0 Units @0.0000						
09/04/2018	***-**-42IR - ADAMS, GRACE	FUNDAMENTAL INVESTORS-A	0.00	2.55	0.00	2.55	10.0	0.26
	ACCOUNT #: 00073505114	BUY 0 Units @0.0000						
09/04/2018	***-**-925P - BURNS, JASON	FUNDAMENTAL INVESTORS-A	0.00	41.95	0.00	41.95	10.0	4.20
	ACCOUNT #: 00073550035	BUY 0 Units @0.0000						
09/04/2018	***-**-415P - BEAHM, NATHAN	FUNDAMENTAL INVESTORS-A	0.00	4.74	0.00	4.74	10.0	0.47
	ACCOUNT #: 00073550069	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-A	0.00	18.00	0.00	18.00	10.0	1.80
	ACCOUNT #: 00086084236	BUY 0 Units @0.0000						
09/04/2018	***-**-845P - MARTHALLER,	FUNDAMENTAL INVESTORS-A	0.00	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00087023930	BUY 0 Units @0.0000						
09/04/2018	***-**-1841 - ROTOLI, CHERYL	FUNDAMENTAL INVESTORS-A	0.00	11.01	0.00	11.01	10.0	1.10
	ACCOUNT #: 00087899407	BUY 0 Units @0.0000						
09/10/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00066759710	BUY 0 Units @64.2900						





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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/10/2018	***-**-925P - BURNS, JASON	FUNDAMENTAL INVESTORS-A	44.55	0.71	0.00	0.71	10.0	0.07
	ACCOUNT #: 00073550035	BUY 1 Units @65.6000						
09/10/2018	***-**-925P - BURNS, JASON	FUNDAMENTAL INVESTORS-A	290.82	4.65	0.00	4.65	10.0	0.47
	ACCOUNT #: 00073550035	BUY 4 Units @65.6000						
09/11/2018	***-**-705P - SNYDER, STEVEN	FUNDAMENTAL INVESTORS-A	17.60	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00067400189	BUY 0 Units @64.4000						
09/11/2018	***-**-705P - SNYDER, STEVEN	FUNDAMENTAL INVESTORS-A	17.60	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00067400189	BUY 0 Units @64.4000						
09/11/2018	***-**-705P - SNYDER, STEVEN	FUNDAMENTAL INVESTORS-A	14.25	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00067400189	BUY 0 Units @64.4000						
09/11/2018	***-**-705P - SNYDER, STEVEN	FUNDAMENTAL INVESTORS-A	22.00	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 00067400189	BUY 0 Units @64.4000						
09/11/2018	***-**-7063 - REGALI, JOHANNA	FUNDAMENTAL INVESTORS-A	10.98	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 04001141304	BUY 0 Units @64.4000						
09/11/2018	***-**-7063 - REGALI, JOHANNA	FUNDAMENTAL INVESTORS-A	10.98	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 04001141304	BUY 0 Units @64.4000						
09/12/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	140.88	1.41	0.00	1.41	10.0	0.14
	ACCOUNT #: 00066759710	BUY 2 Units @64.4600						
09/04/2018	***-**-385P - MASTROSIMONE,	FUNDAMENTAL INVESTORS-C	0.00	34.47	0.00	34.47	10.0	3.45
	ACCOUNT #: 00068834568	BUY 0 Units @0.0000						
09/04/2018	***-**-615P - LE, TU	FUNDAMENTAL INVESTORS-C	0.00	9.95	0.00	9.95	10.0	1.00
	ACCOUNT #: 00075107985	BUY 0 Units @0.0000						
09/04/2018	***-**-7625 - PRINCE, ADAM	FUNDAMENTAL INVESTORS-C	0.00	46.70	0.00	46.70	10.0	4.67
	ACCOUNT #: 00085764342	BUY 0 Units @0.0000						
09/04/2018	***-**-4392 - GARCIA, MICHELLE	FUNDAMENTAL INVESTORS-C	0.00	11.40	0.00	11.40	10.0	1.14
	ACCOUNT #: 00085764363	BUY 0 Units @0.0000						
09/04/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	0.00	15.53	0.00	15.53	10.0	1.55
	ACCOUNT #: 00085902226	BUY 0 Units @0.0000						
09/04/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	0.00	31.73	0.00	31.73	10.0	3.17
	ACCOUNT #: 00085904203	BUY 0 Units @0.0000						
09/04/2018	***-**-4052 - DOROFY, STEPHEN	FUNDAMENTAL INVESTORS-C	0.00	8.81	0.00	8.81	10.0	0.88
	ACCOUNT #: 00085904206	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-7171 - GIUDICE, JUSTIN	FUNDAMENTAL INVESTORS-C	0.00	2.11	0.00	2.11	10.0	0.21
	ACCOUNT #: 00086494794	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	0.00	19.93	0.00	19.93	10.0	1.99
	ACCOUNT #: 00086770612	BUY 0 Units @0.0000						
09/04/2018	***-**-845P - MARTHALLER,	FUNDAMENTAL INVESTORS-C	0.00	6.19	0.00	6.19	10.0	0.62
	ACCOUNT #: 00087023930	BUY 0 Units @0.0000						
09/04/2018	***-**-138I - ARBORE, JENNIFER	FUNDAMENTAL INVESTORS-C	0.00	9.77	0.00	9.77	10.0	0.98
	ACCOUNT #: 00087821859	BUY 0 Units @0.0000						
09/04/2018	***-**-3104 - DODANE, SABINE	FUNDAMENTAL INVESTORS-C	0.00	0.89	0.00	0.89	10.0	0.09
	ACCOUNT #: 00087946898	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	0.00	30.25	0.00	30.25	10.0	3.03
	ACCOUNT #: 00089051066	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	0.00	0.26	0.00	0.26	10.0	0.03
	ACCOUNT #: 00089055530	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	0.00	17.82	0.00	17.82	10.0	1.78
	ACCOUNT #: 00089104864	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	0.00	17.82	0.00	17.82	10.0	1.78
	ACCOUNT #: 00089104943	BUY 0 Units @0.0000						
09/04/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	0.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089570936	BUY 0 Units @0.0000						
09/04/2018	***-**-5703 - DIODATO,	FUNDAMENTAL INVESTORS-C	0.00	375.78	0.00	375.78	10.0	37.58
	ACCOUNT #: 04000262459	BUY 0 Units @0.0000						
09/04/2018	***-**-6171 - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	0.00	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 04000409801	BUY 0 Units @0.0000						
09/04/2018	***-**-6171 - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	0.00	8.08	0.00	8.08	10.0	0.81
	ACCOUNT #: 04000414580	BUY 0 Units @0.0000						
09/10/2018	***-**-7171 - GIUDICE, JUSTIN	FUNDAMENTAL INVESTORS-C	36.03	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00086494794	BUY 1 Units @63.8500						
09/10/2018	***-**-7171 - GIUDICE, JUSTIN	FUNDAMENTAL INVESTORS-C	103.95	1.04	0.00	1.04	10.0	0.10
	ACCOUNT #: 00086494794	BUY 2 Units @63.8500						
09/10/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 0 Units @63.8500						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/10/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.8500	7.59	0.08	0.00	0.08	10.0	0.01
09/10/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.8500	5.00	0.05	0.00	0.05	10.0	0.01
09/10/2018	***-**-617I - ROWE, KEVIN ACCOUNT #: 04000591484	FUNDAMENTAL INVESTORS-C BUY 4 Units @63.8500	225.00	2.25	0.00	2.25	10.0	0.23
09/13/2018	***-**-172I - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.3000	9.00	0.09	0.00	0.09	10.0	0.01
09/13/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.3000	18.00	0.18	0.00	0.18	10.0	0.02
09/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.3000	20.40	0.20	0.00	0.20	10.0	0.02
09/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.3000	7.59	0.08	0.00	0.08	10.0	0.01
09/04/2018	***-**-526I - CAVALLARO, ACCOUNT #: 00067409966	GROWTH FUND OF AMERICA CLASS F BUY 0 Units @0.0000	0.00	2.65	0.00	2.65	10.0	0.27
09/04/2018	***-**-397P - COTTONE, MARIA ACCOUNT #: 00066766778	GROWTH FUND OF AMERICA CLASS F BUY 0 Units @0.0000	0.00	21.32	0.00	21.32	10.0	2.13
09/04/2018	***-**-275P - REYES, ISAIH ACCOUNT #: 00069016230	GROWTH FUND OF AMERICA CLASS F BUY 0 Units @0.0000	0.00	0.45	0.00	0.45	10.0	0.05
09/04/2018	***-**-7255 - LIPPA, HARITINI ACCOUNT #: 00069040847	GROWTH FUND OF AMERICA CLASS F BUY 0 Units @0.0000	0.00	11.32	0.00	11.32	10.0	1.13
09/04/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	GROWTH FUND OF AMERICA CLASS F BUY 0 Units @0.0000	0.00	12.03	0.00	12.03	10.0	1.20
09/04/2018	***-**-625P - BORRELLI, LOUIS ACCOUNT #: 00073550085	GROWTH FUND OF AMERICA CLASS F BUY 0 Units @0.0000	0.00	5.35	0.00	5.35	10.0	0.54
09/04/2018	***-**-620I - ACCOUNT #: 00074021540	GROWTH FUND OF AMERICA CLASS F BUY 0 Units @0.0000	0.00	28.62	0.00	28.62	10.0	2.86
09/04/2018	***-**-555P - ALKORIRI, AMIRA ACCOUNT #: 00074865176	GROWTH FUND OF AMERICA CLASS F BUY 0 Units @0.0000	0.00	4.77	0.00	4.77	10.0	0.48
09/04/2018	***-**-195P - WEST, HOLLY ACCOUNT #: 00075135342	GROWTH FUND OF AMERICA CLASS F BUY 0 Units @0.0000	0.00	6.14	0.00	6.14	10.0	0.61



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-214I - RUSH, ROBERT	GROWTH FUND OF AMERICA CLASS F	0.00	15.18	0.00	15.18	10.0	1.52
	ACCOUNT #: 00075148251	BUY 0 Units @0.0000						
09/04/2018	***-**-305P - JORDAN,	GROWTH FUND OF AMERICA CLASS F	0.00	0.65	0.00	0.65	10.0	0.07
	ACCOUNT #: 00081346085	BUY 0 Units @0.0000						
09/04/2018	***-**-995P - CAPUTO, MARILYN	GROWTH FUND OF AMERICA CLASS F	0.00	1.43	0.00	1.43	10.0	0.14
	ACCOUNT #: 00082091777	BUY 0 Units @0.0000						
09/04/2018	***-**-85IN - CANORI, JOSEPH	GROWTH FUND OF AMERICA CLASS F	0.00	4.44	0.00	4.44	10.0	0.44
	ACCOUNT #: 00082908831	BUY 0 Units @0.0000						
09/04/2018	***-**-0693 - POWELL, KRISTIN	GROWTH FUND OF AMERICA CLASS F	0.00	2.94	0.00	2.94	10.0	0.29
	ACCOUNT #: 00083026630	BUY 0 Units @0.0000						
09/04/2018	***-**-6000 - SMITH, KENNETH	GROWTH FUND OF AMERICA CLASS F	0.00	0.83	0.00	0.83	10.0	0.08
	ACCOUNT #: 00083081099	BUY 0 Units @0.0000						
09/04/2018	***-**-3757 - MALONE, KENNETH	GROWTH FUND OF AMERICA CLASS F	0.00	0.43	0.00	0.43	10.0	0.04
	ACCOUNT #: 00083474112	BUY 0 Units @0.0000						
09/04/2018	***-**-673I - TEATOR, JAMES	GROWTH FUND OF AMERICA CLASS F	0.00	2.73	0.00	2.73	10.0	0.27
	ACCOUNT #: 00083687369	BUY 0 Units @0.0000						
09/04/2018	***-**-4435 - HORNE, JUANITA	INCOME FUND OF AMERICA CLASS C	0.00	25.43	0.00	25.43	10.0	2.54
	ACCOUNT #: 04000366903	BUY 0 Units @0.0000						
09/04/2018	***-**-36IN - LEWIS, SUE	INCOME FUND OF AMERICA CLASS C	0.00	50.60	0.00	50.60	10.0	5.06
	ACCOUNT #: 00084396204	BUY 0 Units @0.0000						
09/04/2018	***-**-383I - OUKES, CHARLENE	INCOME FUND OF AMERICA CLASS C	0.00	44.46	0.00	44.46	10.0	4.45
	ACCOUNT #: 00084968205	BUY 0 Units @0.0000						
09/04/2018	***-**-503J - OBI, JEAN	INCOME FUND OF AMERICA CLASS C	0.00	28.70	0.00	28.70	10.0	2.87
	ACCOUNT #: 00086750937	BUY 0 Units @0.0000						
09/04/2018	***-**-35IR - GAMBACURTA,	INCOME FUND OF AMERICA CLASS C	0.00	151.47	0.00	151.47	10.0	15.15
	ACCOUNT #: 00086918053	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	0.00	39.21	0.00	39.21	10.0	3.92
	ACCOUNT #: 00087236607	BUY 0 Units @0.0000						
09/04/2018	***-**-0472 - SPOTTS, MARGARET	INCOME FUND OF AMERICA CLASS C	0.00	54.49	0.00	54.49	10.0	5.45
	ACCOUNT #: 00087294821	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	0.00	0.13	0.00	0.13	10.0	0.01
	ACCOUNT #: 00088578113	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089215280	INCOME FUND OF AMERICA CLASS C BUY 0 Units @0.0000	0.00	4.90	0.00	4.90	10.0	0.49
09/04/2018	***-**-3043 - SCARPULLA, ACCOUNT #: 00089920138	INCOME FUND OF AMERICA CLASS C BUY 0 Units @0.0000	0.00	608.51	0.00	608.51	10.0	60.85
09/04/2018	***-**-4267 - DESSO, PATRICIA ACCOUNT #: 04000296625	INCOME FUND OF AMERICA CLASS C BUY 0 Units @0.0000	0.00	3.44	0.00	3.44	10.0	0.34
09/04/2018	***-**-7946 - CROTTY, MARGARET ACCOUNT #: 04000304747	INCOME FUND OF AMERICA CLASS C BUY 0 Units @0.0000	0.00	122.70	0.00	122.70	10.0	12.27
09/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 2 Units @22.8300	45.00	0.45	0.00	0.45	10.0	0.05
09/04/2018	***-**-4435 - HORNE, JUANITA ACCOUNT #: 04000366903	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @0.0000	0.00	26.01	0.00	26.01	10.0	2.60
09/04/2018	***-**-445P - PIAZZA, ANNIE ACCOUNT #: 00067750908	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @0.0000	0.00	17.48	0.00	17.48	10.0	1.75
09/04/2018	***-**-383I - OUKES, CHARLENE ACCOUNT #: 00084968205	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @0.0000	0.00	27.33	0.00	27.33	10.0	2.73
09/04/2018	***-**-1209 - NATALE, KIMBERLY ACCOUNT #: 00085764285	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @0.0000	0.00	17.38	0.00	17.38	10.0	1.74
09/04/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @0.0000	0.00	43.90	0.00	43.90	10.0	4.39
09/04/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @0.0000	0.00	2.93	0.00	2.93	10.0	0.29
09/04/2018	***-**-564I - CARNEY, BARBARA ACCOUNT #: 00089563161	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @0.0000	0.00	0.89	0.00	0.89	10.0	0.09
09/04/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @0.0000	0.00	3.50	0.00	3.50	10.0	0.35
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089722785	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @0.0000	0.00	2.40	0.00	2.40	10.0	0.24
09/04/2018	***-**-6781 - KARNS, DANIELLE ACCOUNT #: 04000409710	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @0.0000	0.00	0.07	0.00	0.07	10.0	0.01
09/04/2018	***-**-3758 - CONNORS, DAVID ACCOUNT #: 04000430331	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @0.0000	0.00	36.30	0.00	36.30	10.0	3.63



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-1764 - HUGHES, KATHLEEN	INVESTMENT COMPANY OF AMERICA CLASS	0.00	60.20	0.00	60.20	10.0	6.02
	ACCOUNT #: 04000998901	BUY 0 Units @0.0000						
09/10/2018	***-**-564I - CARNEY, BARBARA	INVESTMENT COMPANY OF AMERICA CLASS	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089563161	BUY 0 Units @40.8200						
09/13/2018	***-**-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 @41.2600						
09/13/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	19.91	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @41.2600						
09/04/2018	***-**-526I - CAVALLARO,	NEW PERSPECTIVE FUND-A	0.00	0.71	0.00	0.71	10.0	0.07
	ACCOUNT #: 00067409966	BUY 0 Units @0.0000						
09/04/2018	***-**-145P - SCARPULLA,	NEW PERSPECTIVE FUND-A	0.00	58.37	0.00	58.37	10.0	5.84
	ACCOUNT #: 00058728614	BUY 0 Units @0.0000						
09/04/2018	***-**-565P - VISCA, STACY	NEW PERSPECTIVE FUND-A	0.00	1.62	0.00	1.62	10.0	0.16
	ACCOUNT #: 00062374424	BUY 0 Units @0.0000						
09/04/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	0.00	13.44	0.00	13.44	10.0	1.34
	ACCOUNT #: 00063412117	BUY 0 Units @0.0000						
09/04/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	0.00	12.99	0.00	12.99	10.0	1.30
	ACCOUNT #: 00063451518	BUY 0 Units @0.0000						
09/04/2018	***-**-225P - LILL, DONNA	NEW PERSPECTIVE FUND-A	0.00	21.03	0.00	21.03	10.0	2.10
	ACCOUNT #: 00065016915	BUY 0 Units @0.0000						
09/04/2018	***-**-465P - CANNON, PAULA	NEW PERSPECTIVE FUND-A	0.00	2.05	0.00	2.05	10.0	0.21
	ACCOUNT #: 00065090950	BUY 0 Units @0.0000						
09/04/2018	***-**-515P - GUERRIERI,	NEW PERSPECTIVE FUND-A	0.00	7.33	0.00	7.33	10.0	0.73
	ACCOUNT #: 00066746363	BUY 0 Units @0.0000						
09/04/2018	***-**-275P - LAMANNA, DANIEL	NEW PERSPECTIVE FUND-A	0.00	0.95	0.00	0.95	10.0	0.10
	ACCOUNT #: 00066898425	BUY 0 Units @0.0000						
09/04/2018	***-**-825P - MASTROSIMONE,	NEW PERSPECTIVE FUND-A	0.00	79.90	0.00	79.90	10.0	7.99
	ACCOUNT #: 00067351603	BUY 0 Units @0.0000						
09/04/2018	***-**-815P - WEBER, ANTHONY	NEW PERSPECTIVE FUND-A	0.00	37.07	0.00	37.07	10.0	3.71
	ACCOUNT #: 00067400187	BUY 0 Units @0.0000						
09/04/2018	***-**-185P - WARREN, STEVEN	NEW PERSPECTIVE FUND-A	0.00	0.47	0.00	0.47	10.0	0.05
	ACCOUNT #: 00067400190	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-545P - JOHNS, IAN	NEW PERSPECTIVE FUND-A	0.00	3.97	0.00	3.97	10.0	0.40
	ACCOUNT #: 00067863131	BUY 0 Units @0.0000						
09/04/2018	***-**-126I - GIAMBRONE,	NEW PERSPECTIVE FUND-A	0.00	32.14	0.00	32.14	10.0	3.21
	ACCOUNT #: 00068322646	BUY 0 Units @0.0000						
09/04/2018	***-**-955P - ROSE, JUSTIN	NEW PERSPECTIVE FUND-A	0.00	7.81	0.00	7.81	10.0	0.78
	ACCOUNT #: 00073550044	BUY 0 Units @0.0000						
09/04/2018	***-**-415P - BEAHM, NATHAN	NEW PERSPECTIVE FUND-A	0.00	4.50	0.00	4.50	10.0	0.45
	ACCOUNT #: 00073550069	BUY 0 Units @0.0000						
09/04/2018	***-**-170I - SNYDER, STEVEN	NEW PERSPECTIVE FUND-A	0.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00074577742	BUY 0 Units @0.0000						
09/04/2018	***-**-54IN - VISCA, ANGELO	NEW PERSPECTIVE FUND-A	0.00	1.26	0.00	1.26	10.0	0.13
	ACCOUNT #: 00074704820	BUY 0 Units @0.0000						
09/04/2018	***-**-141I - MALOVICS, LASZLO	NEW PERSPECTIVE FUND-A	0.00	9.12	0.00	9.12	10.0	0.91
	ACCOUNT #: 00081215719	BUY 0 Units @0.0000						
09/04/2018	***-**-415P - VAN ORMAN, LOUIS	NEW PERSPECTIVE FUND-A	0.00	86.79	0.00	86.79	10.0	8.68
	ACCOUNT #: 00081940220	BUY 0 Units @0.0000						
09/04/2018	***-**-825P - GAGNIER,	NEW PERSPECTIVE FUND-A	0.00	5.59	0.00	5.59	10.0	0.56
	ACCOUNT #: 00082149035	BUY 0 Units @0.0000						
09/04/2018	***-**-296I - TEUMER,	NEW PERSPECTIVE FUND-A	0.00	4.96	0.00	4.96	10.0	0.50
	ACCOUNT #: 00083577034	BUY 0 Units @0.0000						
09/04/2018	***-**-68IN - RANDALL, JASON	NEW PERSPECTIVE FUND-A	0.00	3.46	0.00	3.46	10.0	0.35
	ACCOUNT #: 00083798896	BUY 0 Units @0.0000						
09/04/2018	***-**-895P - LIBEY, ERIK	NEW PERSPECTIVE FUND-A	0.00	7.22	0.00	7.22	10.0	0.72
	ACCOUNT #: 00086828942	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-A	0.00	20.67	0.00	20.67	10.0	2.07
	ACCOUNT #: 00087118596	BUY 0 Units @0.0000						
09/04/2018	***-**-1788 - SYKES, DANIEL	NEW PERSPECTIVE FUND-A	0.00	0.12	0.00	0.12	10.0	0.01
	ACCOUNT #: 00087870442	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-A	0.00	1.59	0.00	1.59	10.0	0.16
	ACCOUNT #: 00088058999	BUY 0 Units @0.0000						
09/04/2018	***-**-54IN - VISCA, ANGELO	NEW PERSPECTIVE FUND-A	0.00	3.07	0.00	3.07	10.0	0.31
	ACCOUNT #: 00190943536	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/10/2018	***-**-955P - ROSE, JUSTIN	NEW PERSPECTIVE FUND-A	45.24	0.72	0.00	0.72	10.0	0.07
	ACCOUNT #: 00073550044	BUY 1 Units @46.8100						
09/10/2018	***-**-955P - ROSE, JUSTIN	NEW PERSPECTIVE FUND-A	337.50	5.40	0.00	5.40	10.0	0.54
	ACCOUNT #: 00073550044	BUY 7 Units @46.8100						
09/11/2018	***-**-825P - MASTROSIMONE,	NEW PERSPECTIVE FUND-A	299.40	2.99	0.00	2.99	10.0	0.30
	ACCOUNT #: 00067351603	BUY 7 Units @45.9700						
09/11/2018	***-**-825P - MASTROSIMONE,	NEW PERSPECTIVE FUND-A	61.52	0.62	0.00	0.62	10.0	0.06
	ACCOUNT #: 00067351603	BUY 1 Units @45.9700						
09/11/2018	***-**-825P - MASTROSIMONE,	NEW PERSPECTIVE FUND-A	217.50	2.18	0.00	2.18	10.0	0.22
	ACCOUNT #: 00067351603	BUY 5 Units @45.9700						
09/11/2018	***-**-825P - MASTROSIMONE,	NEW PERSPECTIVE FUND-A	374.25	3.74	0.00	3.74	10.0	0.37
	ACCOUNT #: 00067351603	BUY 8 Units @45.9700						
09/11/2018	***-**-815P - WEBER, ANTHONY	NEW PERSPECTIVE FUND-A	65.52	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 00067400187	BUY 1 Units @45.9700						
09/11/2018	***-**-815P - WEBER, ANTHONY	NEW PERSPECTIVE FUND-A	163.80	1.64	0.00	1.64	10.0	0.16
	ACCOUNT #: 00067400187	BUY 4 Units @45.9700						
09/11/2018	***-**-815P - WEBER, ANTHONY	NEW PERSPECTIVE FUND-A	54.61	0.55	0.00	0.55	10.0	0.06
	ACCOUNT #: 00067400187	BUY 1 Units @45.9700						
09/11/2018	***-**-815P - WEBER, ANTHONY	NEW PERSPECTIVE FUND-A	136.50	1.37	0.00	1.37	10.0	0.14
	ACCOUNT #: 00067400187	BUY 3 Units @45.9700						
09/11/2018	***-**-1788 - SYKES, DANIEL	NEW PERSPECTIVE FUND-A	51.20	0.51	0.00	0.51	10.0	0.05
	ACCOUNT #: 00087870442	BUY 1 Units @45.9700						
09/11/2018	***-**-1788 - SYKES, DANIEL	NEW PERSPECTIVE FUND-A	19.20	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00087870442	BUY 0 Units @45.9700						
09/11/2018	***-**-1788 - SYKES, DANIEL	NEW PERSPECTIVE FUND-A	24.00	0.24	0.00	0.24	10.0	0.02
	ACCOUNT #: 00087870442	BUY 1 Units @45.9700						
09/11/2018	***-**-1788 - SYKES, DANIEL	NEW PERSPECTIVE FUND-A	64.00	0.64	0.00	0.64	10.0	0.06
	ACCOUNT #: 00087870442	BUY 1 Units @45.9700						
09/11/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-A	26.58	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00089254350	BUY 1 Units @45.9700						
09/11/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-A	79.20	0.79	0.00	0.79	10.0	0.08
	ACCOUNT #: 00089254350	BUY 2 Units @45.9700						





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 0 Units @45.9700	16.93	0.17	0.00	0.17	10.0	0.02
09/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	NEW PERSPECTIVE FUND-A BUY 1 Units @45.9700	66.00	0.66	0.00	0.66	10.0	0.07
09/11/2018	***-**-7063 - REGALI, JOHANNA ACCOUNT #: 04001141304	NEW PERSPECTIVE FUND-A BUY 0 Units @45.9700	10.98	0.11	0.00	0.11	10.0	0.01
09/11/2018	***-**-7063 - REGALI, JOHANNA ACCOUNT #: 04001141304	NEW PERSPECTIVE FUND-A BUY 0 Units @45.9700	10.98	0.11	0.00	0.11	10.0	0.01
09/04/2018	***-**-225P - LILL, DONNA ACCOUNT #: 00065016915	NEW PERSPECTIVE FUND-C BUY 0 Units @0.0000	0.00	27.24	0.00	27.24	10.0	2.72
09/04/2018	***-**-620I - ACCOUNT #: 00074021540	NEW PERSPECTIVE FUND-C BUY 0 Units @0.0000	0.00	136.36	0.00	136.36	10.0	13.64
09/04/2018	***-**-6000 - SMITH, KENNETH ACCOUNT #: 00083081099	NEW PERSPECTIVE FUND-C BUY 0 Units @0.0000	0.00	5.73	0.00	5.73	10.0	0.57
09/04/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	NEW PERSPECTIVE FUND-C BUY 0 Units @0.0000	0.00	8.73	0.00	8.73	10.0	0.87
09/04/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00083798896	NEW PERSPECTIVE FUND-C BUY 0 Units @0.0000	0.00	18.47	0.00	18.47	10.0	1.85
09/04/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00084905937	NEW PERSPECTIVE FUND-C BUY 0 Units @0.0000	0.00	26.19	0.00	26.19	10.0	2.62
09/04/2018	***-**-7615 - MCGINNIS, ACCOUNT #: 00085902209	NEW PERSPECTIVE FUND-C BUY 0 Units @0.0000	0.00	1.13	0.00	1.13	10.0	0.11
09/04/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @0.0000	0.00	16.86	0.00	16.86	10.0	1.69
09/04/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	NEW PERSPECTIVE FUND-C BUY 0 Units @0.0000	0.00	0.85	0.00	0.85	10.0	0.09
09/04/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @0.0000	0.00	34.88	0.00	34.88	10.0	3.49
09/04/2018	***-**-4052 - DOROFY, STEPHEN ACCOUNT #: 00085904206	NEW PERSPECTIVE FUND-C BUY 0 Units @0.0000	0.00	5.73	0.00	5.73	10.0	0.57
09/04/2018	***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	NEW PERSPECTIVE FUND-C BUY 0 Units @0.0000	0.00	22.88	0.00	22.88	10.0	2.29



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
09/04/2018	***-**-68IN - RANDALL, JASON	NEW PERSPECTIVE FUND-C	0.00	5.07	0.00	5.07	10.0	0.51
	ACCOUNT #: 00088870923	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	0.00	30.04	0.00	30.04	10.0	3.00
	ACCOUNT #: 00089051066	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	0.00	17.97	0.00	17.97	10.0	1.80
	ACCOUNT #: 00089104943	BUY 0 Units @0.0000						
09/04/2018	***-**-1955 - MARCELLUS, JAMES	NEW PERSPECTIVE FUND-C	0.00	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 04000409718	BUY 0 Units @0.0000						
09/04/2018	***-**-9004 - MARCELLUS,	NEW PERSPECTIVE FUND-C	0.00	0.13	0.00	0.13	10.0	0.01
	ACCOUNT #: 04000409785	BUY 0 Units @0.0000						
09/04/2018	***-**-9004 - MARCELLUS,	NEW PERSPECTIVE FUND-C	0.00	5.59	0.00	5.59	10.0	0.56
	ACCOUNT #: 04000414551	BUY 0 Units @0.0000						
09/04/2018	***-**-1764 - HUGHES, KATHLEEN	NEW PERSPECTIVE FUND-C	0.00	59.77	0.00	59.77	10.0	5.98
	ACCOUNT #: 04000998901	BUY 0 Units @0.0000						
09/10/2018	***-**-6000 - SMITH, KENNETH	NEW PERSPECTIVE FUND-C	20.30	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00083081099	BUY 0 Units @43.8400						
09/10/2018	***-**-4036 - AMES, JOHN	NEW PERSPECTIVE FUND-C	36.00	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00083414092	BUY 1 Units @43.8400						
09/10/2018	***-**-4036 - AMES, JOHN	NEW PERSPECTIVE FUND-C	54.00	0.54	0.00	0.54	10.0	0.05
	ACCOUNT #: 00083414092	BUY 1 Units @43.8400						
09/10/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	7.58	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @43.8400						
09/10/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 1 Units @43.8400						
09/13/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	4.85	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @44.2500						
09/13/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @44.2500						
09/13/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @44.2500						
09/13/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @44.2500						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
09/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.2500	7.58	0.08	0.00	0.08	10.0	0.01
09/04/2018	***-**-526I - CAVALLARO, ACCOUNT #: 00067409966	NEW PERSPECTIVE FUND-F1 BUY 0 Units @0.0000	0.00	0.70	0.00	0.70	10.0	0.07
09/04/2018	***-**-620I - ACCOUNT #: 00074021540	NEW PERSPECTIVE FUND-F1 BUY 0 Units @0.0000	0.00	24.36	0.00	24.36	10.0	2.44
09/04/2018	***-**-6000 - SMITH, KENNETH ACCOUNT #: 00083081099	NEW PERSPECTIVE FUND-F1 BUY 0 Units @0.0000	0.00	0.78	0.00	0.78	10.0	0.08
09/04/2018	***-**-145P - SCARPULLA, ACCOUNT #: 00058728614	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	2.09	0.00	2.09	10.0	0.21
09/04/2018	***-**-415P - MALOVICS, LASZLO ACCOUNT #: 00066758345	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	61.38	0.00	61.38	10.0	6.14
09/04/2018	***-**-855P - GREENE, DARRIS ACCOUNT #: 00066758349	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	0.51	0.00	0.51	10.0	0.05
09/04/2018	***-**-062P - CRISPINO, DIANE ACCOUNT #: 00068622801	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	19.52	0.00	19.52	10.0	1.95
09/04/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00083798896	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	2.53	0.00	2.53	10.0	0.25
09/04/2018	***-**-540I - ARBORE, CHARLES ACCOUNT #: 00085068481	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	0.41	0.00	0.41	10.0	0.04
09/04/2018	***-**-2638 - DIAK, APRIL ACCOUNT #: 00085791891	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	10.0	0.02
09/04/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	7.29	0.00	7.29	10.0	0.73
09/04/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00083798896	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	19.48	0.00	19.48	10.0	1.95
09/04/2018	***-**-1650 - CAPPON, DOUGLAS ACCOUNT #: 00084731688	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	4.23	0.00	4.23	10.0	0.42
09/04/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00084905937	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	20.41	0.00	20.41	10.0	2.04
09/04/2018	***-**-2638 - DIAK, APRIL ACCOUNT #: 00085791891	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	9.63	0.00	9.63	10.0	0.96



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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>								
09/04/2018	***-**-7615 - MCGINNIS, ACCOUNT #: 00085902209	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	0.95	0.00	0.95	10.0	0.10
09/04/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	13.75	0.00	13.75	10.0	1.38
09/04/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	28.47	0.00	28.47	10.0	2.85
09/04/2018	***-**-4052 - DOROFY, STEPHEN ACCOUNT #: 00085904206	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	4.37	0.00	4.37	10.0	0.44
09/04/2018	***-**-83IR - COTTONE, HEATHER ACCOUNT #: 00085914099	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	8.71	0.00	8.71	10.0	0.87
09/04/2018	***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	15.86	0.00	15.86	10.0	1.59
09/04/2018	***-**-398I - GUERRIERI, PAUL ACCOUNT #: 00086040659	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	22.39	0.00	22.39	10.0	2.24
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	36.77	0.00	36.77	10.0	3.68
09/04/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00088870923	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	5.10	0.00	5.10	10.0	0.51
09/10/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	NEW WORLD FUND-C BUY 1 Units @60.0000	36.00	0.36	0.00	0.36	10.0	0.04
09/10/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	NEW WORLD FUND-C BUY 1 Units @60.0000	54.00	0.54	0.00	0.54	10.0	0.05
09/13/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @60.4100	4.85	0.05	0.00	0.05	10.0	0.01
09/13/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @60.4100	10.50	0.11	0.00	0.11	10.0	0.01
09/13/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @60.4100	21.00	0.21	0.00	0.21	10.0	0.02
09/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	NEW WORLD FUND-C BUY 1 Units @60.4100	48.20	0.48	0.00	0.48	10.0	0.05
09/04/2018	***-**-3043 - SCARPULLA, ACCOUNT #: 04000319849	RTMT INCOME PORTFOLIO ENHANCED-R2 BUY 0 Units @0.0000	0.00	556.04	0.00	556.04	10.0	55.60



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	SHORT-TERM BOND FUND OF AMERICA - A BUY 0 Units @0.0000	0.00	42.39	0.00	42.39	10.0	4.24
09/04/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	SHORT-TERM BOND FUND OF AMERICA - A BUY 0 Units @0.0000	0.00	39.51	0.00	39.51	10.0	3.95
09/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	SHORT-TERM BOND FUND OF AMERICA - A BUY 1 Units @9.7900	10.50	0.11	0.00	0.11	10.0	0.01
09/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	SHORT-TERM BOND FUND OF AMERICA - A BUY 30 Units @9.7900	298.45	2.98	0.00	2.98	10.0	0.30
09/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	SHORT-TERM BOND FUND OF AMERICA - A BUY 1 Units @9.7900	13.13	0.13	0.00	0.13	10.0	0.01
09/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	SHORT-TERM BOND FUND OF AMERICA - A BUY 38 Units @9.7900	373.06	3.73	0.00	3.73	10.0	0.37
09/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	SHORT-TERM BOND FUND OF AMERICA - A BUY 2 Units @9.7900	18.00	0.18	0.00	0.18	10.0	0.02
09/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	SHORT-TERM BOND FUND OF AMERICA - A BUY 30 Units @9.7900	298.45	2.98	0.00	2.98	10.0	0.30
09/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	SHORT-TERM BOND FUND OF AMERICA - A BUY 2 Units @9.7900	22.50	0.23	0.00	0.23	10.0	0.02
09/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	SHORT-TERM BOND FUND OF AMERICA - A BUY 38 Units @9.7900	373.06	3.73	0.00	3.73	10.0	0.37
09/04/2018	***-**-2243 - SPENCER, JANICE ACCOUNT #: 00068185254	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	12.24	0.00	12.24	10.0	1.22
09/04/2018	***-**-925P - BURNS, JASON ACCOUNT #: 00073550035	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	39.33	0.00	39.33	10.0	3.93
09/04/2018	***-**-415P - BEAHM, NATHAN ACCOUNT #: 00073550069	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	4.55	0.00	4.55	10.0	0.46
09/04/2018	***-**-825P - GAGNIER, ACCOUNT #: 00082149035	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	4.23	0.00	4.23	10.0	0.42
09/10/2018	***-**-925P - BURNS, JASON ACCOUNT #: 00073550035	SMALLCAP WORLD FUND-A BUY 1 Units @60.9400	44.55	0.71	0.00	0.71	10.0	0.07
09/10/2018	***-**-925P - BURNS, JASON ACCOUNT #: 00073550035	SMALLCAP WORLD FUND-A BUY 5 Units @60.9400	290.82	4.65	0.00	4.65	10.0	0.47



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 0 Units @0.0000	0.00	42.66	0.00	42.66	10.0	4.27
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @0.0000	0.00	30.22	0.00	30.22	10.0	3.02
09/10/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 1 Units @52.2500	30.60	0.31	0.00	0.31	10.0	0.03
09/10/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.2500	7.59	0.08	0.00	0.08	10.0	0.01
09/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @52.4500	48.20	0.48	0.00	0.48	10.0	0.05
09/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.4500	20.40	0.20	0.00	0.20	10.0	0.02
09/13/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.4500	7.59	0.08	0.00	0.08	10.0	0.01
09/04/2018	***-**-76IN - CRISPINO, JULIE ACCOUNT #: 00059092005	TAX-EXEMPT BOND FUND OF AMERICA BUY 0 Units @0.0000	0.00	734.81	0.00	734.81	10.0	73.48
09/04/2018	***-**-365P - CRISPINO, JULIE ACCOUNT #: 00066582235	TAX-EXEMPT BOND FUND OF AMERICA BUY 0 Units @0.0000	0.00	321.68	0.00	321.68	10.0	32.17
09/04/2018	***-**-062P - CRISPINO, DIANE ACCOUNT #: 00068622801	TAX-EXEMPT BOND FUND OF AMERICA BUY 0 Units @0.0000	0.00	44.14	0.00	44.14	10.0	4.41
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00086084236	TAX-EXEMPT BOND FUND OF AMERICA BUY 0 Units @0.0000	0.00	12.72	0.00	12.72	10.0	1.27
09/04/2018	***-**-765P - CRISPINO/, DAVID ACCOUNT #: 00059085342	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	129.40	0.00	129.40	10.0	12.94
09/04/2018	***-**-99IN - ARBORE, CARL ACCOUNT #: 00059377247	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	6.01	0.00	6.01	10.0	0.60
09/04/2018	***-**-069I - BUCK, LESLIE ACCOUNT #: 00060471066	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	10.30	0.00	10.30	10.0	1.03
09/04/2018	***-**-97IN - WAGNER, PAUL ACCOUNT #: 00062900111	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	13.65	0.00	13.65	10.0	1.37
09/04/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	16.12	0.00	16.12	10.0	1.61



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	15.42	0.00	15.42	10.0	1.54
09/04/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	13.34	0.00	13.34	10.0	1.33
09/04/2018	***-**-165P - CLEMENT, SCOTT ACCOUNT #: 00068190881	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	10.0	0.01
09/04/2018	***-**-062P - CRISPINO, DIANE ACCOUNT #: 00068622801	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	35.00	0.00	35.00	10.0	3.50
09/04/2018	***-**-215P - HINKEL, VICTORIA ACCOUNT #: 00074107112	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.74	0.00	0.74	10.0	0.07
09/04/2018	***-**-415P - VAN ORMAN, LOUIS ACCOUNT #: 00081940220	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	38.53	0.00	38.53	10.0	3.85
09/04/2018	***-**-505I - LICALSI, KAREN ACCOUNT #: 00082861748	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	7.74	0.00	7.74	10.0	0.77
09/04/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.84	0.00	2.84	10.0	0.28
09/04/2018	***-**-143I - MEEKS, KAMIKA ACCOUNT #: 00083473970	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.08	0.00	0.08	10.0	0.01
09/04/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.92	0.00	2.92	10.0	0.29
09/04/2018	***-**-36IN - LEWIS, SUE ACCOUNT #: 00084396204	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	5.01	0.00	5.01	10.0	0.50
09/04/2018	***-**-44IN - RAAB, TAMMY ACCOUNT #: 00086754409	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.10	0.00	3.10	10.0	0.31
09/04/2018	***-**-455P - RAAB, JOHN ACCOUNT #: 00086754452	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.65	0.00	3.65	10.0	0.37
09/04/2018	***-**-135P - RAAB, NATALIE ACCOUNT #: 00086754493	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.76	0.00	3.76	10.0	0.38
09/04/2018	***-**-975P - COTTONE, MARIA ACCOUNT #: 00086785798	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	6.90	0.00	6.90	10.0	0.69
09/04/2018	***-**-3758 - CONNORS, DAVID ACCOUNT #: 00089033223	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.37	0.00	2.37	10.0	0.24



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-5670 - CONNORS, ACCOUNT #: 00089167547	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.37	0.00	2.37	10.0	0.24
09/04/2018	***-**-7935 - BOERMAN, HAROLD ACCOUNT #: 04000151961	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	6.41	0.00	6.41	10.0	0.64
09/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5000	45.24	0.45	0.00	0.45	10.0	0.05
09/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 9 Units @12.5000	113.10	1.13	0.00	1.13	10.0	0.11
09/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 3 Units @12.5000	37.71	0.38	0.00	0.38	10.0	0.04
09/11/2018	***-**-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
09/11/2018	***-**-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
09/11/2018	***-**-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
09/11/2018	***-**-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
09/11/2018	***-**-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
09/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 5 Units @12.5000	65.82	0.66	0.00	0.66	10.0	0.07
09/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 7 Units @12.5000	87.76	0.88	0.00	0.88	10.0	0.09
09/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 6 Units @12.5000	80.40	0.80	0.00	0.80	10.0	0.08
09/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 5 Units @12.5000	60.30	0.60	0.00	0.60	10.0	0.06
09/04/2018	***-**-215P - HINKEL, VICTORIA ACCOUNT #: 00074107112	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	17.30	0.00	17.30	10.0	1.73
09/04/2018	***-**-625P - CENTOLA, ANITA ACCOUNT #: 00074256566	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	3.68	0.00	3.68	10.0	0.37





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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
09/04/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	17.99	0.00	17.99	10.0	1.80
09/04/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	15.56	0.00	15.56	10.0	1.56
09/04/2018	***-**-673I - TEATOR, JAMES ACCOUNT #: 00083687369	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	5.94	0.00	5.94	10.0	0.59
09/04/2018	***-**-844I - PIAZZA, ANNIE ACCOUNT #: 00083884556	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	49.13	0.00	49.13	10.0	4.91
09/04/2018	***-**-8651 - JACKSON, WILLIE ACCOUNT #: 00084058016	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	0.18	0.00	0.18	10.0	0.02
09/04/2018	***-**-36IN - LEWIS, SUE ACCOUNT #: 00084396204	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	20.50	0.00	20.50	10.0	2.05
09/04/2018	***-**-2612 - UCAR, AHMET ACCOUNT #: 00084700980	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	0.47	0.00	0.47	10.0	0.05
09/04/2018	***-**-2479 - THRASH, MARK ACCOUNT #: 00084737002	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	0.18	0.00	0.18	10.0	0.02
09/04/2018	***-**-383I - OUKES, CHARLENE ACCOUNT #: 00084968205	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	35.91	0.00	35.91	10.0	3.59
09/04/2018	***-**-03UG - JAY, JONATHON ACCOUNT #: 00085704943	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	10.0	0.14
09/04/2018	***-**-56UG - JAY, AIDEN ACCOUNT #: 00085704960	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	10.0	0.14
09/04/2018	***-**-07UG - JAY, JASEN ACCOUNT #: 00085704971	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	10.0	0.14
09/04/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	26.96	0.00	26.96	10.0	2.70
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00086082668	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	64.90	0.00	64.90	10.0	6.49
09/04/2018	***-**-7171 - GIUDICE, JUSTIN ACCOUNT #: 00086494794	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	1.66	0.00	1.66	10.0	0.17
09/04/2018	***-**-5180 - BUCHIERE, MARK ACCOUNT #: 00086494804	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	9.55	0.00	9.55	10.0	0.96



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
09/04/2018	***-**-5502 - TORELLA, CECELIA	THE BOND FUND OF AMERICA-C	0.00	12.80	0.00	12.80	10.0	1.28
	ACCOUNT #: 00086652945	BUY 0 Units @0.0000						
09/04/2018	***-**-463I - MARRA, MICHAEL	THE BOND FUND OF AMERICA-C	0.00	2.41	0.00	2.41	10.0	0.24
	ACCOUNT #: 00087161117	BUY 0 Units @0.0000						
09/04/2018	***-**-5838 - SPOLETA, BRENDA	THE BOND FUND OF AMERICA-C	0.00	81.39	0.00	81.39	10.0	8.14
	ACCOUNT #: 00088037501	BUY 0 Units @0.0000						
09/04/2018	***-**-9373 - CLINE, KIMBERLY	THE BOND FUND OF AMERICA-C	0.00	7.17	0.00	7.17	10.0	0.72
	ACCOUNT #: 00088773853	BUY 0 Units @0.0000						
09/10/2018	***-**-7171 - GIUDICE, JUSTIN	THE BOND FUND OF AMERICA-C	37.13	0.37	0.00	0.37	10.0	0.04
	ACCOUNT #: 00086494794	BUY 3 Units @12.5300						
09/10/2018	***-**-7171 - GIUDICE, JUSTIN	THE BOND FUND OF AMERICA-C	107.10	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00086494794	BUY 9 Units @12.5300						
09/13/2018	***-**-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						
09/13/2018	***-**-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						
09/04/2018	***-**-855P - DIVASTA, ERASMO	THE BOND FUND OF AMERICA-F1	0.00	2.89	0.00	2.89	10.0	0.29
	ACCOUNT #: 00067943068	BUY 0 Units @0.0000						
09/04/2018	***-**-155P - MANCZYK, SANDRA	THE BOND FUND OF AMERICA-F1	0.00	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00068561804	BUY 0 Units @0.0000						
09/04/2018	***-**-862I - BOAS, JOHANNA	THE BOND FUND OF AMERICA-F1	0.00	2.82	0.00	2.82	10.0	0.28
	ACCOUNT #: 00069029472	BUY 0 Units @0.0000						
09/04/2018	***-**-265P - SMITH, WILLIAM	THE BOND FUND OF AMERICA-F1	0.00	9.69	0.00	9.69	10.0	0.97
	ACCOUNT #: 00073715215	BUY 0 Units @0.0000						
09/04/2018	***-**-625P - CENTOLA, ANITA	THE BOND FUND OF AMERICA-F1	0.00	0.55	0.00	0.55	10.0	0.06
	ACCOUNT #: 00074256566	BUY 0 Units @0.0000						
09/04/2018	***-**-845P - BUKOLT, LEONARD	THE BOND FUND OF AMERICA-F1	0.00	51.12	0.00	51.12	10.0	5.11
	ACCOUNT #: 00074390043	BUY 0 Units @0.0000						
09/04/2018	***-**-195P - WEST, HOLLY	THE BOND FUND OF AMERICA-F1	0.00	2.86	0.00	2.86	10.0	0.29
	ACCOUNT #: 00075135342	BUY 0 Units @0.0000						
09/04/2018	***-**-214I - RUSH, ROBERT	THE BOND FUND OF AMERICA-F1	0.00	6.95	0.00	6.95	10.0	0.70
	ACCOUNT #: 00075148251	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-F1 BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	10.0	0.03
09/04/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-F1 BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	10.0	0.03
09/04/2018	***-**-673I - TEATOR, JAMES ACCOUNT #: 00083687369	THE BOND FUND OF AMERICA-F1 BUY 0 Units @0.0000	0.00	4.46	0.00	4.46	10.0	0.45
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00086082668	THE BOND FUND OF AMERICA-F1 BUY 0 Units @0.0000	0.00	12.51	0.00	12.51	10.0	1.25
09/04/2018	***-**-985P - WASHINGTON, ACCOUNT #: 00073318350	THE GROWTH FUND OF AMERICA-529A BUY 0 Units @0.0000	0.00	5.54	0.00	5.54	10.0	0.55
09/04/2018	***-**-465P - HILL V, RICHARD ACCOUNT #: 00074071629	THE GROWTH FUND OF AMERICA-529A BUY 0 Units @0.0000	0.00	2.11	0.00	2.11	10.0	0.21
09/04/2018	***-**-415P - SCHILLACI, AMY ACCOUNT #: 00081268733	THE GROWTH FUND OF AMERICA-529A BUY 0 Units @0.0000	0.00	1.75	0.00	1.75	10.0	0.18
09/04/2018	***-**-315P - ARBORE, JENNIFER ACCOUNT #: 00081613426	THE GROWTH FUND OF AMERICA-529A BUY 0 Units @0.0000	0.00	3.18	0.00	3.18	10.0	0.32
09/04/2018	***-**-415P - SCHILLACI, AMY ACCOUNT #: 00081268733	THE GROWTH FUND OF AMERICA-529C BUY 0 Units @0.0000	0.00	6.70	0.00	6.70	10.0	0.67
09/04/2018	***-**-315P - ARBORE, JENNIFER ACCOUNT #: 00081613426	THE GROWTH FUND OF AMERICA-529C BUY 0 Units @0.0000	0.00	22.60	0.00	22.60	10.0	2.26
09/04/2018	***-**-5899 - ARBORE, CARL ACCOUNT #: 00084503660	THE GROWTH FUND OF AMERICA-529C BUY 0 Units @0.0000	0.00	19.56	0.00	19.56	10.0	1.96
09/04/2018	***-**-8776 - LEVINE, TODD ACCOUNT #: 00066829688	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	7.34	0.00	7.34	10.0	0.73
09/04/2018	***-**-526I - CAVALLARO, ACCOUNT #: 00067409966	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.71	0.00	2.71	10.0	0.27
09/04/2018	***-**-145P - SCARPULLA, ACCOUNT #: 00058728614	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	119.43	0.00	119.43	10.0	11.94
09/04/2018	***-**-76IN - CRISPINO, JULIE ACCOUNT #: 00059092005	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2,269.83	0.00	2,269.83	10.0	226.98
09/04/2018	***-**-655P - CRISPINO, JULIE ACCOUNT #: 00059209317	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	97.01	0.00	97.01	10.0	9.70



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-062I - CRISPINO, DIANE	THE GROWTH FUND OF AMERICA-A	0.00	42.71	0.00	42.71	10.0	4.27
	ACCOUNT #: 00059659617	BUY 0 Units @0.0000						
09/04/2018	***-**-069I - BUCK, LESLIE	THE GROWTH FUND OF AMERICA-A	0.00	22.50	0.00	22.50	10.0	2.25
	ACCOUNT #: 00060471066	BUY 0 Units @0.0000						
09/04/2018	***-**-935P - CHARLES, VICKI	THE GROWTH FUND OF AMERICA-A	0.00	24.09	0.00	24.09	10.0	2.41
	ACCOUNT #: 00060985028	BUY 0 Units @0.0000						
09/04/2018	***-**-935P - CHARLES, VICKI	THE GROWTH FUND OF AMERICA-A	0.00	43.00	0.00	43.00	10.0	4.30
	ACCOUNT #: 00061113092	BUY 0 Units @0.0000						
09/04/2018	***-**-54IN - VISCA, ANGELO	THE GROWTH FUND OF AMERICA-A	0.00	2.87	0.00	2.87	10.0	0.29
	ACCOUNT #: 00062120859	BUY 0 Units @0.0000						
09/04/2018	***-**-565P - VISCA, STACY	THE GROWTH FUND OF AMERICA-A	0.00	1.69	0.00	1.69	10.0	0.17
	ACCOUNT #: 00062374424	BUY 0 Units @0.0000						
09/04/2018	***-**-604I - CAPEZZUTO, MARIA	THE GROWTH FUND OF AMERICA-A	0.00	83.05	0.00	83.05	10.0	8.31
	ACCOUNT #: 00062579023	BUY 0 Units @0.0000						
09/04/2018	***-**-97IN - WAGNER, PAUL	THE GROWTH FUND OF AMERICA-A	0.00	19.47	0.00	19.47	10.0	1.95
	ACCOUNT #: 00062900111	BUY 0 Units @0.0000						
09/04/2018	***-**-385P - BONACCI,	THE GROWTH FUND OF AMERICA-A	0.00	21.20	0.00	21.20	10.0	2.12
	ACCOUNT #: 00063160662	BUY 0 Units @0.0000						
09/04/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	0.00	46.35	0.00	46.35	10.0	4.64
	ACCOUNT #: 00063412117	BUY 0 Units @0.0000						
09/04/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	0.00	44.41	0.00	44.41	10.0	4.44
	ACCOUNT #: 00063451518	BUY 0 Units @0.0000						
09/04/2018	***-**-00IN - DIVASTA, JANINE	THE GROWTH FUND OF AMERICA-A	0.00	8.32	0.00	8.32	10.0	0.83
	ACCOUNT #: 00063669925	BUY 0 Units @0.0000						
09/04/2018	***-**-6250 - BONACCI,	THE GROWTH FUND OF AMERICA-A	0.00	2.79	0.00	2.79	10.0	0.28
	ACCOUNT #: 00063920779	BUY 0 Units @0.0000						
09/04/2018	***-**-375P - PADULA, JOHN	THE GROWTH FUND OF AMERICA-A	0.00	133.32	0.00	133.32	10.0	13.33
	ACCOUNT #: 00064009806	BUY 0 Units @0.0000						
09/04/2018	***-**-605P - WAGNER, NASTASIA	THE GROWTH FUND OF AMERICA-A	0.00	2.35	0.00	2.35	10.0	0.24
	ACCOUNT #: 00064165818	BUY 0 Units @0.0000						
09/04/2018	***-**-685P - WAGNER, CALISTA	THE GROWTH FUND OF AMERICA-A	0.00	3.16	0.00	3.16	10.0	0.32
	ACCOUNT #: 00064208783	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-145P - MACCARONE, ACCOUNT #: 00064814649	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	5.42	0.00	5.42	10.0	0.54
09/04/2018	***-**-984I - DELUCA, SHARI ACCOUNT #: 00064868315	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	10.58	0.00	10.58	10.0	1.06
09/04/2018	***-**-245P - LILL, KAREN ACCOUNT #: 00065011647	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.44	0.00	3.44	10.0	0.34
09/04/2018	***-**-24IN - LILL, DONNA ACCOUNT #: 00065011648	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	85.26	0.00	85.26	10.0	8.53
09/04/2018	***-**-465P - CANNON, PAULA ACCOUNT #: 00065090950	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	5.60	0.00	5.60	10.0	0.56
09/04/2018	***-**-984P - DELUCA, SHARI ACCOUNT #: 00065146525	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.74	0.00	0.74	10.0	0.07
09/04/2018	***-**-515P - GUERRIERI, ACCOUNT #: 00066746363	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	6.95	0.00	6.95	10.0	0.70
09/04/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	72.55	0.00	72.55	10.0	7.26
09/04/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	19.80	0.00	19.80	10.0	1.98
09/04/2018	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	26.99	0.00	26.99	10.0	2.70
09/04/2018	***-**-825P - WARREN, TREVOR ACCOUNT #: 00066882360	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	10.0	0.01
09/04/2018	***-**-185P - CAMPOMIZZI, ACCOUNT #: 00066945211	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	26.40	0.00	26.40	10.0	2.64
09/04/2018	***-**-115P - CAMPOMIZZI, JAX ACCOUNT #: 00066945212	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	28.48	0.00	28.48	10.0	2.85
09/04/2018	***-**-465P - WASHINGTON, ACCOUNT #: 00067014718	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	6.14	0.00	6.14	10.0	0.61
09/04/2018	***-**-015P - OZMINKOWSKI, ACCOUNT #: 00067027831	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	18.47	0.00	18.47	10.0	1.85
09/04/2018	***-**-065P - MASTROSIMONE, ACCOUNT #: 00067185133	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.73	0.00	1.73	10.0	0.17



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
09/04/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	0.00	2.18	0.00	2.18	10.0	0.22
	ACCOUNT #: 00067335866	BUY 0 Units @0.0000						
09/04/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	0.00	80.53	0.00	80.53	10.0	8.05
	ACCOUNT #: 00067351603	BUY 0 Units @0.0000						
09/04/2018	***-**-375P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	0.00	39.98	0.00	39.98	10.0	4.00
	ACCOUNT #: 00067351605	BUY 0 Units @0.0000						
09/04/2018	***-**-815P - WEBER, ANTHONY	THE GROWTH FUND OF AMERICA-A	0.00	27.59	0.00	27.59	10.0	2.76
	ACCOUNT #: 00067400187	BUY 0 Units @0.0000						
09/04/2018	***-**-705P - SNYDER, STEVEN	THE GROWTH FUND OF AMERICA-A	0.00	17.32	0.00	17.32	10.0	1.73
	ACCOUNT #: 00067400189	BUY 0 Units @0.0000						
09/04/2018	***-**-185P - WARREN, STEVEN	THE GROWTH FUND OF AMERICA-A	0.00	0.49	0.00	0.49	10.0	0.05
	ACCOUNT #: 00067400190	BUY 0 Units @0.0000						
09/04/2018	***-**-605P - MULVANEY, CORY	THE GROWTH FUND OF AMERICA-A	0.00	2.29	0.00	2.29	10.0	0.23
	ACCOUNT #: 00067510163	BUY 0 Units @0.0000						
09/04/2018	***-**-577I - HERMAN, TIMOTHY	THE GROWTH FUND OF AMERICA-A	0.00	4.80	0.00	4.80	10.0	0.48
	ACCOUNT #: 00067626135	BUY 0 Units @0.0000						
09/04/2018	***-**-515P - WAGNER, RUTGER	THE GROWTH FUND OF AMERICA-A	0.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00067636670	BUY 0 Units @0.0000						
09/04/2018	***-**-695P - CURRY, JUDY	THE GROWTH FUND OF AMERICA-A	0.00	0.24	0.00	0.24	10.0	0.02
	ACCOUNT #: 00067859734	BUY 0 Units @0.0000						
09/04/2018	***-**-545P - JOHNS, IAN	THE GROWTH FUND OF AMERICA-A	0.00	5.12	0.00	5.12	10.0	0.51
	ACCOUNT #: 00067863131	BUY 0 Units @0.0000						
09/04/2018	***-**-855P - JASON, MICHAEL	THE GROWTH FUND OF AMERICA-A	0.00	0.57	0.00	0.57	10.0	0.06
	ACCOUNT #: 00067944415	BUY 0 Units @0.0000						
09/04/2018	***-**-2243 - SPENCER, JANICE	THE GROWTH FUND OF AMERICA-A	0.00	33.80	0.00	33.80	10.0	3.38
	ACCOUNT #: 00068185254	BUY 0 Units @0.0000						
09/04/2018	***-**-126I - GIAMBRONE,	THE GROWTH FUND OF AMERICA-A	0.00	35.17	0.00	35.17	10.0	3.52
	ACCOUNT #: 00068322646	BUY 0 Units @0.0000						
09/04/2018	***-**-42IR - ADAMS, GRACE	THE GROWTH FUND OF AMERICA-A	0.00	2.97	0.00	2.97	10.0	0.30
	ACCOUNT #: 00073505114	BUY 0 Units @0.0000						
09/04/2018	***-**-965P - SHAFER, PAUL	THE GROWTH FUND OF AMERICA-A	0.00	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00073549401	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
09/04/2018	***-**-925P - BURNS, JASON	THE GROWTH FUND OF AMERICA-A	0.00	44.86	0.00	44.86	10.0	4.49
	ACCOUNT #: 00073550035	BUY 0 Units @0.0000						
09/04/2018	***-**-955P - ROSE, JUSTIN	THE GROWTH FUND OF AMERICA-A	0.00	8.55	0.00	8.55	10.0	0.86
	ACCOUNT #: 00073550044	BUY 0 Units @0.0000						
09/04/2018	***-**-415P - BEAHM, NATHAN	THE GROWTH FUND OF AMERICA-A	0.00	4.52	0.00	4.52	10.0	0.45
	ACCOUNT #: 00073550069	BUY 0 Units @0.0000						
09/04/2018	***-**-625P - BORRELLI, LOUIS	THE GROWTH FUND OF AMERICA-A	0.00	36.15	0.00	36.15	10.0	3.62
	ACCOUNT #: 00073550085	BUY 0 Units @0.0000						
09/04/2018	***-**-801I - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	0.00	8.81	0.00	8.81	10.0	0.88
	ACCOUNT #: 00073753943	BUY 0 Units @0.0000						
09/04/2018	***-**-365P - SILLUZZIO, GINENE	THE GROWTH FUND OF AMERICA-A	0.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00074112090	BUY 0 Units @0.0000						
09/04/2018	***-**-425P - MEEKS, PERDITA	THE GROWTH FUND OF AMERICA-A	0.00	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00074210167	BUY 0 Units @0.0000						
09/04/2018	***-**-54IN - VISCA, ANGELO	THE GROWTH FUND OF AMERICA-A	0.00	1.96	0.00	1.96	10.0	0.20
	ACCOUNT #: 00074704820	BUY 0 Units @0.0000						
09/04/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	0.00	29.67	0.00	29.67	10.0	2.97
	ACCOUNT #: 00074922243	BUY 0 Units @0.0000						
09/04/2018	***-**-305P - BROWN, GEOVANNI	THE GROWTH FUND OF AMERICA-A	0.00	3.05	0.00	3.05	10.0	0.31
	ACCOUNT #: 00081157672	BUY 0 Units @0.0000						
09/04/2018	***-**-995P - ARBORE, CARL	THE GROWTH FUND OF AMERICA-A	0.00	10.02	0.00	10.02	10.0	1.00
	ACCOUNT #: 00081166789	BUY 0 Units @0.0000						
09/04/2018	***-**-895P - ARBORE,	THE GROWTH FUND OF AMERICA-A	0.00	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00081888388	BUY 0 Units @0.0000						
09/04/2018	***-**-075P - CAMPOMIZZI, JOHN	THE GROWTH FUND OF AMERICA-A	0.00	8.72	0.00	8.72	10.0	0.87
	ACCOUNT #: 00081920102	BUY 0 Units @0.0000						
09/04/2018	***-**-825P - GAGNIER,	THE GROWTH FUND OF AMERICA-A	0.00	3.60	0.00	3.60	10.0	0.36
	ACCOUNT #: 00082149035	BUY 0 Units @0.0000						
09/04/2018	***-**-278I - GUERRIERI, JOHN	THE GROWTH FUND OF AMERICA-A	0.00	54.64	0.00	54.64	10.0	5.46
	ACCOUNT #: 00082579230	BUY 0 Units @0.0000						
09/04/2018	***-**-436I - RAGO, LISA	THE GROWTH FUND OF AMERICA-A	0.00	8.16	0.00	8.16	10.0	0.82
	ACCOUNT #: 00083139532	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
09/04/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A	0.00	3.20	0.00	3.20	10.0	0.32
	ACCOUNT #: 00083474112	BUY 0 Units @0.0000						
09/04/2018	***-**-296I - TEUMER,	THE GROWTH FUND OF AMERICA-A	0.00	5.79	0.00	5.79	10.0	0.58
	ACCOUNT #: 00083577034	BUY 0 Units @0.0000						
09/04/2018	***-**-68IN - RANDALL, JASON	THE GROWTH FUND OF AMERICA-A	0.00	4.12	0.00	4.12	10.0	0.41
	ACCOUNT #: 00083798896	BUY 0 Units @0.0000						
09/04/2018	***-**-97UG - GIAMBRONE, LUCIA	THE GROWTH FUND OF AMERICA-A	0.00	0.54	0.00	0.54	10.0	0.05
	ACCOUNT #: 00085054008	BUY 0 Units @0.0000						
09/04/2018	***-**-291I - HAMMOND, LAURA	THE GROWTH FUND OF AMERICA-A	0.00	47.10	0.00	47.10	10.0	4.71
	ACCOUNT #: 00085380651	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-A	0.00	8.42	0.00	8.42	10.0	0.84
	ACCOUNT #: 00086082668	BUY 0 Units @0.0000						
09/04/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	0.00	2.01	0.00	2.01	10.0	0.20
	ACCOUNT #: 00086553837	BUY 0 Units @0.0000						
09/04/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	0.00	46.89	0.00	46.89	10.0	4.69
	ACCOUNT #: 00086606929	BUY 0 Units @0.0000						
09/04/2018	***-**-895P - LIBEY, ERIK	THE GROWTH FUND OF AMERICA-A	0.00	7.49	0.00	7.49	10.0	0.75
	ACCOUNT #: 00086828942	BUY 0 Units @0.0000						
09/04/2018	***-**-845P - MARTHALLER,	THE GROWTH FUND OF AMERICA-A	0.00	0.61	0.00	0.61	10.0	0.06
	ACCOUNT #: 00087023930	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-A	0.00	29.50	0.00	29.50	10.0	2.95
	ACCOUNT #: 00087118596	BUY 0 Units @0.0000						
09/04/2018	***-**-9611 - MACDUFFIE, LINDA	THE GROWTH FUND OF AMERICA-A	0.00	16.23	0.00	16.23	10.0	1.62
	ACCOUNT #: 00087299599	BUY 0 Units @0.0000						
09/04/2018	***-**-1788 - SYKES, DANIEL	THE GROWTH FUND OF AMERICA-A	0.00	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00087870442	BUY 0 Units @0.0000						
09/04/2018	***-**-1841 - ROTOLI, CHERYL	THE GROWTH FUND OF AMERICA-A	0.00	11.25	0.00	11.25	10.0	1.13
	ACCOUNT #: 00087899407	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-A	0.00	1.72	0.00	1.72	10.0	0.17
	ACCOUNT #: 00088058999	BUY 0 Units @0.0000						
09/04/2018	***-**-9535 - MITCHELL,	THE GROWTH FUND OF AMERICA-A	0.00	0.85	0.00	0.85	10.0	0.09
	ACCOUNT #: 00089874312	BUY 0 Units @0.0000						





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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>								
09/04/2018	***-**-7182 - CRISPINO, DIANA	THE GROWTH FUND OF AMERICA-A	0.00	106.23	0.00	106.23	10.0	10.62
	ACCOUNT #: 04000864809	BUY 0 Units @0.0000						
09/10/2018	***-**-195P - OZMINKOWSKI,	THE GROWTH FUND OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00066758342	BUY 5 Units @55.2500						
09/10/2018	***-**-405P - FRISA, ALAN	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758344	BUY 1 Units @55.2500						
09/10/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @55.2500						
09/10/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @55.2500						
09/10/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	130.00	1.30	0.00	1.30	10.0	0.13
	ACCOUNT #: 00074922243	BUY 2 Units @55.2500						
09/10/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	61.01	0.61	0.00	0.61	10.0	0.06
	ACCOUNT #: 00083414110	BUY 1 Units @55.2500						
09/10/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00087318332	BUY 0 Units @55.2500						
09/10/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @55.2500						
09/10/2018	***-**-965P - SHAFER, PAUL	THE GROWTH FUND OF AMERICA-A	39.55	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00073549401	BUY 1 Units @56.3800						
09/10/2018	***-**-925P - BURNS, JASON	THE GROWTH FUND OF AMERICA-A	45.90	0.73	0.00	0.73	10.0	0.07
	ACCOUNT #: 00073550035	BUY 1 Units @56.3800						
09/10/2018	***-**-925P - BURNS, JASON	THE GROWTH FUND OF AMERICA-A	299.62	4.79	0.00	4.79	10.0	0.48
	ACCOUNT #: 00073550035	BUY 5 Units @56.3800						
09/10/2018	***-**-955P - ROSE, JUSTIN	THE GROWTH FUND OF AMERICA-A	45.23	0.72	0.00	0.72	10.0	0.07
	ACCOUNT #: 00073550044	BUY 1 Units @56.3800						
09/10/2018	***-**-955P - ROSE, JUSTIN	THE GROWTH FUND OF AMERICA-A	337.50	5.40	0.00	5.40	10.0	0.54
	ACCOUNT #: 00073550044	BUY 6 Units @56.3800						
09/10/2018	***-**-625P - BORRELLI, LOUIS	THE GROWTH FUND OF AMERICA-A	68.40	1.09	0.00	1.09	10.0	0.11
	ACCOUNT #: 00073550085	BUY 1 Units @56.3800						
09/10/2018	***-**-625P - BORRELLI, LOUIS	THE GROWTH FUND OF AMERICA-A	372.00	5.95	0.00	5.95	10.0	0.60
	ACCOUNT #: 00073550085	BUY 7 Units @56.3800						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
09/11/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	40.43	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00067335866	BUY 1 Units @55.5900						
09/11/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	59.40	0.59	0.00	0.59	10.0	0.06
	ACCOUNT #: 00067335866	BUY 1 Units @55.5900						
09/11/2018	***-**-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 @55.5900						
09/11/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A	33.50	0.34	0.00	0.34	10.0	0.03
	ACCOUNT #: 00067335866	BUY 1 Units @55.5900						
09/11/2018	***-**-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 @55.5900						
09/11/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	61.52	0.62	0.00	0.62	10.0	0.06
	ACCOUNT #: 00067351603	BUY 1 Units @55.5900						
09/11/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	217.50	2.18	0.00	2.18	10.0	0.22
	ACCOUNT #: 00067351603	BUY 4 Units @55.5900						
09/11/2018	***-**-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 @55.5900						
09/11/2018	***-**-375P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	46.53	0.47	0.00	0.47	10.0	0.05
	ACCOUNT #: 00067351605	BUY 1 Units @55.5900						
09/11/2018	***-**-375P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	79.20	0.79	0.00	0.79	10.0	0.08
	ACCOUNT #: 00067351605	BUY 1 Units @55.5900						
09/11/2018	***-**-375P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	63.25	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00067351605	BUY 1 Units @55.5900						
09/11/2018	***-**-375P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	99.00	0.99	0.00	0.99	10.0	0.10
	ACCOUNT #: 00067351605	BUY 2 Units @55.5900						
09/11/2018	***-**-815P - WEBER, ANTHONY	THE GROWTH FUND OF AMERICA-A	45.23	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00067400187	BUY 1 Units @55.5900						
09/11/2018	***-**-815P - WEBER, ANTHONY	THE GROWTH FUND OF AMERICA-A	113.10	1.13	0.00	1.13	10.0	0.11
	ACCOUNT #: 00067400187	BUY 2 Units @55.5900						
09/11/2018	***-**-815P - WEBER, ANTHONY	THE GROWTH FUND OF AMERICA-A	37.70	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00067400187	BUY 1 Units @55.5900						
09/11/2018	***-**-815P - WEBER, ANTHONY	THE GROWTH FUND OF AMERICA-A	94.25	0.94	0.00	0.94	10.0	0.09
	ACCOUNT #: 00067400187	BUY 2 Units @55.5900						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/11/2018	***-**-705P - SNYDER, STEVEN	THE GROWTH FUND OF AMERICA-A	57.60	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 00067400189	BUY 1 Units @55.5900						
09/11/2018	***-**-705P - SNYDER, STEVEN	THE GROWTH FUND OF AMERICA-A	57.60	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 00067400189	BUY 1 Units @55.5900						
09/11/2018	***-**-705P - SNYDER, STEVEN	THE GROWTH FUND OF AMERICA-A	46.62	0.47	0.00	0.47	10.0	0.05
	ACCOUNT #: 00067400189	BUY 1 Units @55.5900						
09/11/2018	***-**-705P - SNYDER, STEVEN	THE GROWTH FUND OF AMERICA-A	72.00	0.72	0.00	0.72	10.0	0.07
	ACCOUNT #: 00067400189	BUY 1 Units @55.5900						
09/11/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A	49.36	0.49	0.00	0.49	10.0	0.05
	ACCOUNT #: 00083474112	BUY 1 Units @55.5900						
09/11/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A	65.82	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 00083474112	BUY 1 Units @55.5900						
09/11/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A	60.30	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00083474112	BUY 1 Units @55.5900						
09/11/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A	45.22	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00083474112	BUY 1 Units @55.5900						
09/11/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00086553837	BUY 2 Units @55.5900						
09/11/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00086553837	BUY 2 Units @55.5900						
09/11/2018	***-**-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 @55.5900						
09/11/2018	***-**-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 @55.5900						
09/11/2018	***-**-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 @55.5900						
09/11/2018	***-**-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 @55.5900						
09/11/2018	***-**-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 @55.5900						
09/11/2018	***-**-1788 - SYKES, DANIEL	THE GROWTH FUND OF AMERICA-A	64.00	0.64	0.00	0.64	10.0	0.06
	ACCOUNT #: 00087870442	BUY 1 Units @55.5900						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE GROWTH FUND OF AMERICA-A BUY 0 Units @55.5900	26.58	0.27	0.00	0.27	10.0	0.03
09/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.5900	79.20	0.79	0.00	0.79	10.0	0.08
09/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE GROWTH FUND OF AMERICA-A BUY 0 Units @55.5900	16.93	0.17	0.00	0.17	10.0	0.02
09/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.5900	66.00	0.66	0.00	0.66	10.0	0.07
09/11/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.5900	72.08	0.72	0.00	0.72	10.0	0.07
09/11/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 2 Units @55.5900	120.00	1.20	0.00	1.20	10.0	0.12
09/11/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 2 Units @55.5900	100.00	1.00	0.00	1.00	10.0	0.10
09/11/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.5900	52.73	0.53	0.00	0.53	10.0	0.05
09/11/2018	***-**-7063 - REGALI, JOHANNA ACCOUNT #: 04001141304	THE GROWTH FUND OF AMERICA-A BUY 0 Units @55.5900	10.98	0.11	0.00	0.11	10.0	0.01
09/11/2018	***-**-7063 - REGALI, JOHANNA ACCOUNT #: 04001141304	THE GROWTH FUND OF AMERICA-A BUY 0 Units @55.5900	10.98	0.11	0.00	0.11	10.0	0.01
09/12/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 3 Units @55.6900	174.14	1.74	0.00	1.74	10.0	0.17
09/12/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6900	71.90	0.72	0.00	0.72	10.0	0.07
09/12/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6900	83.49	0.83	0.00	0.83	10.0	0.08
09/12/2018	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6900	72.19	0.72	0.00	0.72	10.0	0.07
09/12/2018	***-**-095P - RIVERA, MIGUEL ACCOUNT #: 00074922243	THE GROWTH FUND OF AMERICA-A BUY 2 Units @55.6900	100.06	1.00	0.00	1.00	10.0	0.10
09/12/2018	***-**-4750 - OSCHMANN, MARK ACCOUNT #: 00083414110	THE GROWTH FUND OF AMERICA-A BUY 3 Units @55.6900	157.58	1.58	0.00	1.58	10.0	0.16



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/12/2018	***-**-9447 - ZAJONCZKOSKI, ACCOUNT #: 00087318332	THE GROWTH FUND OF AMERICA-A BUY 2 Units @55.6900	116.72	1.17	0.00	1.17	10.0	0.12
09/12/2018	***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.6900	37.81	0.38	0.00	0.38	10.0	0.04
09/14/2018	***-**-975P - COTTONE, MARIA ACCOUNT #: 00086606929	THE GROWTH FUND OF AMERICA-A BUY 1 Units @58.6900	51.84	1.94	0.00	1.94	10.0	0.19
09/14/2018	***-**-975P - COTTONE, MARIA ACCOUNT #: 00086606929	THE GROWTH FUND OF AMERICA-A BUY 3 Units @58.6900	200.00	7.50	0.00	7.50	10.0	0.75
09/04/2018	***-**-3431 - SPENCER, ACCOUNT #: 04000347049	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	2.78	0.00	2.78	10.0	0.28
09/04/2018	***-**-984I - DELUCA, SHARI ACCOUNT #: 00064868315	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	26.02	0.00	26.02	10.0	2.60
09/04/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	24.24	0.00	24.24	10.0	2.42
09/04/2018	***-**-465P - WASHINGTON, ACCOUNT #: 00067014718	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	46.29	0.00	46.29	10.0	4.63
09/04/2018	***-**-595P - WATKINS, KALI ACCOUNT #: 00067062585	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	43.32	0.00	43.32	10.0	4.33
09/04/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	158.34	0.00	158.34	10.0	15.83
09/04/2018	***-**-620I - ACCOUNT #: 00074021540	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	148.03	0.00	148.03	10.0	14.80
09/04/2018	***-**-85IN - CANORI, JOSEPH ACCOUNT #: 00082908831	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	13.67	0.00	13.67	10.0	1.37
09/04/2018	***-**-0693 - POWELL, KRISTIN ACCOUNT #: 00083026630	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	29.97	0.00	29.97	10.0	3.00
09/04/2018	***-**-6000 - SMITH, KENNETH ACCOUNT #: 00083081099	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	6.68	0.00	6.68	10.0	0.67
09/04/2018	***-**-4750 - OSCHMANN, MARK ACCOUNT #: 00083414110	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	3.60	0.00	3.60	10.0	0.36
09/04/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	26.55	0.00	26.55	10.0	2.66



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
09/04/2018	***-**-673I - TEATOR, JAMES	THE GROWTH FUND OF AMERICA-C	0.00	9.13	0.00	9.13	10.0	0.91
	ACCOUNT #: 00083687369	BUY 0 Units @0.0000						
09/04/2018	***-**-68IN - RANDALL, JASON	THE GROWTH FUND OF AMERICA-C	0.00	27.61	0.00	27.61	10.0	2.76
	ACCOUNT #: 00083798896	BUY 0 Units @0.0000						
09/04/2018	***-**-865I - JACKSON, WILLIE	THE GROWTH FUND OF AMERICA-C	0.00	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00084058016	BUY 0 Units @0.0000						
09/04/2018	***-**-539I - JALLOH, ABDULAI	THE GROWTH FUND OF AMERICA-C	0.00	0.62	0.00	0.62	10.0	0.06
	ACCOUNT #: 00084394270	BUY 0 Units @0.0000						
09/04/2018	***-**-1650 - CAPPON, DOUGLAS	THE GROWTH FUND OF AMERICA-C	0.00	21.71	0.00	21.71	10.0	2.17
	ACCOUNT #: 00084731688	BUY 0 Units @0.0000						
09/04/2018	***-**-68IN - RANDALL, JASON	THE GROWTH FUND OF AMERICA-C	0.00	30.49	0.00	30.49	10.0	3.05
	ACCOUNT #: 00084905937	BUY 0 Units @0.0000						
09/04/2018	***-**-4392 - GARCIA, MICHELLE	THE GROWTH FUND OF AMERICA-C	0.00	12.04	0.00	12.04	10.0	1.20
	ACCOUNT #: 00085764363	BUY 0 Units @0.0000						
09/04/2018	***-**-135I - MORROW, JENNIFER	THE GROWTH FUND OF AMERICA-C	0.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00085895371	BUY 0 Units @0.0000						
09/04/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	0.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00085902231	BUY 0 Units @0.0000						
09/04/2018	***-**-05IN - RANDALL, ADAM	THE GROWTH FUND OF AMERICA-C	0.00	35.83	0.00	35.83	10.0	3.58
	ACCOUNT #: 00085941585	BUY 0 Units @0.0000						
09/04/2018	***-**-950I - SHALLENBERGER,	THE GROWTH FUND OF AMERICA-C	0.00	10.32	0.00	10.32	10.0	1.03
	ACCOUNT #: 00086494801	BUY 0 Units @0.0000						
09/04/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-C	0.00	5.20	0.00	5.20	10.0	0.52
	ACCOUNT #: 00086553837	BUY 0 Units @0.0000						
09/04/2018	***-**-671I - LEGRETTE, TRICIA	THE GROWTH FUND OF AMERICA-C	0.00	21.72	0.00	21.72	10.0	2.17
	ACCOUNT #: 00086616175	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	0.00	21.20	0.00	21.20	10.0	2.12
	ACCOUNT #: 00086770612	BUY 0 Units @0.0000						
09/04/2018	***-**-375P - COTTONE, CHARLES	THE GROWTH FUND OF AMERICA-C	0.00	66.39	0.00	66.39	10.0	6.64
	ACCOUNT #: 00086771782	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	0.00	3.17	0.00	3.17	10.0	0.32
	ACCOUNT #: 00086981859	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
09/04/2018	***-**-845P - MARTHALLER, ACCOUNT #: 00087023930	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	6.54	0.00	6.54	10.0	0.65
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	47.52	0.00	47.52	10.0	4.75
09/04/2018	***-**-463I - MARRA, MICHAEL ACCOUNT #: 00087161117	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	3.61	0.00	3.61	10.0	0.36
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087233373	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	0.25	0.00	0.25	10.0	0.03
09/04/2018	***-**-9447 - ZAJONCZKOSKI, ACCOUNT #: 00087318332	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	16.53	0.00	16.53	10.0	1.65
09/04/2018	***-**-3572 - GIANGRECO, ACCOUNT #: 00087777483	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	171.41	0.00	171.41	10.0	17.14
09/04/2018	***-**-1439 - GIANGRECO, ACCOUNT #: 00087777516	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	171.41	0.00	171.41	10.0	17.14
09/04/2018	***-**-1307 - BONACCI, ACCOUNT #: 00087952601	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	27.27	0.00	27.27	10.0	2.73
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00088445726	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	23.44	0.00	23.44	10.0	2.34
09/04/2018	***-**-9373 - CLINE, KIMBERLY ACCOUNT #: 00088773853	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	14.44	0.00	14.44	10.0	1.44
09/04/2018	***-**-68IN - RANDALL, JASON ACCOUNT #: 00088870923	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	5.33	0.00	5.33	10.0	0.53
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	10.89	0.00	10.89	10.0	1.09
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089055530	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	0.15	0.00	0.15	10.0	0.02
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089055722	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	10.0	0.01
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089104864	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	18.97	0.00	18.97	10.0	1.90
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089104943	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	18.97	0.00	18.97	10.0	1.90



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	0.00	12.38	0.00	12.38	10.0	1.24
	ACCOUNT #: 00089319958	BUY 0 Units @0.0000						
09/04/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-C	0.00	1.03	0.00	1.03	10.0	0.10
	ACCOUNT #: 00089461113	BUY 0 Units @0.0000						
09/04/2018	***-**-482I - MARCONI, TODD	THE GROWTH FUND OF AMERICA-C	0.00	1.09	0.00	1.09	10.0	0.11
	ACCOUNT #: 00089570936	BUY 0 Units @0.0000						
09/04/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	0.00	3.95	0.00	3.95	10.0	0.40
	ACCOUNT #: 00089583477	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	0.00	2.73	0.00	2.73	10.0	0.27
	ACCOUNT #: 00089722785	BUY 0 Units @0.0000						
09/04/2018	***-**-50IN - BONACCI,	THE GROWTH FUND OF AMERICA-C	0.00	13.91	0.00	13.91	10.0	1.39
	ACCOUNT #: 00089947853	BUY 0 Units @0.0000						
09/04/2018	***-**-5502 - BEACHER, BRETT	THE GROWTH FUND OF AMERICA-C	0.00	18.23	0.00	18.23	10.0	1.82
	ACCOUNT #: 04000017020	BUY 0 Units @0.0000						
09/04/2018	***-**-7691 - SCISM, KYLE	THE GROWTH FUND OF AMERICA-C	0.00	1.67	0.00	1.67	10.0	0.17
	ACCOUNT #: 04000017039	BUY 0 Units @0.0000						
09/04/2018	***-**-5225 - BOWERMAN, DAWN	THE GROWTH FUND OF AMERICA-C	0.00	1.18	0.00	1.18	10.0	0.12
	ACCOUNT #: 04000089664	BUY 0 Units @0.0000						
09/04/2018	***-**-7186 - VELLA, DOMENICO	THE GROWTH FUND OF AMERICA-C	0.00	2.09	0.00	2.09	10.0	0.21
	ACCOUNT #: 04000248474	BUY 0 Units @0.0000						
09/04/2018	***-**-2678 - VELLA, VINCENZO	THE GROWTH FUND OF AMERICA-C	0.00	2.09	0.00	2.09	10.0	0.21
	ACCOUNT #: 04000248491	BUY 0 Units @0.0000						
09/04/2018	***-**-5703 - DIODATO,	THE GROWTH FUND OF AMERICA-C	0.00	468.49	0.00	468.49	10.0	46.85
	ACCOUNT #: 04000262459	BUY 0 Units @0.0000						
09/04/2018	***-**-6260 - ZIOTO, ANDREW	THE GROWTH FUND OF AMERICA-C	0.00	4.44	0.00	4.44	10.0	0.44
	ACCOUNT #: 04000324997	BUY 0 Units @0.0000						
09/04/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	0.00	0.57	0.00	0.57	10.0	0.06
	ACCOUNT #: 04000409714	BUY 0 Units @0.0000						
09/04/2018	***-**-1955 - MARCELLUS, JAMES	THE GROWTH FUND OF AMERICA-C	0.00	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 04000409718	BUY 0 Units @0.0000						
09/04/2018	***-**-9004 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	0.00	0.12	0.00	0.12	10.0	0.01
	ACCOUNT #: 04000409785	BUY 0 Units @0.0000						





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
09/04/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	0.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 04000409801	BUY 0 Units @0.0000						
09/04/2018	***-**-9004 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	0.00	5.97	0.00	5.97	10.0	0.60
	ACCOUNT #: 04000414551	BUY 0 Units @0.0000						
09/04/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	0.00	8.55	0.00	8.55	10.0	0.86
	ACCOUNT #: 04000414580	BUY 0 Units @0.0000						
09/04/2018	***-**-3758 - CONNORS, DAVID	THE GROWTH FUND OF AMERICA-C	0.00	41.38	0.00	41.38	10.0	4.14
	ACCOUNT #: 04000430331	BUY 0 Units @0.0000						
09/04/2018	***-**-0742 - D'ERCOLE,	THE GROWTH FUND OF AMERICA-C	0.00	1.54	0.00	1.54	10.0	0.15
	ACCOUNT #: 04000473339	BUY 0 Units @0.0000						
09/04/2018	***-**-1764 - HUGHES, KATHLEEN	THE GROWTH FUND OF AMERICA-C	0.00	119.11	0.00	119.11	10.0	11.91
	ACCOUNT #: 04000998901	BUY 0 Units @0.0000						
09/10/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	176.00	1.76	0.00	1.76	10.0	0.18
	ACCOUNT #: 00073003754	BUY 3 Units @50.9700						
09/10/2018	***-**-6000 - SMITH, KENNETH	THE GROWTH FUND OF AMERICA-C	20.30	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00083081099	BUY 0 Units @50.9700						
09/10/2018	***-**-1307 - BONACCI,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00087952601	BUY 2 Units @50.9700						
09/10/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	70.66	0.71	0.00	0.71	10.0	0.07
	ACCOUNT #: 00089319958	BUY 1 Units @50.9700						
09/10/2018	***-**-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 @50.9700						
09/10/2018	***-**-50IN - BONACCI,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00089947853	BUY 2 Units @50.9700						
09/10/2018	***-**-4926 - HAUN, GARY	THE GROWTH FUND OF AMERICA-C	56.40	0.56	0.00	0.56	10.0	0.06
	ACCOUNT #: 04000492822	BUY 1 Units @50.9700						
09/10/2018	***-**-4926 - HAUN, GARY	THE GROWTH FUND OF AMERICA-C	253.80	2.54	0.00	2.54	10.0	0.25
	ACCOUNT #: 04000492822	BUY 5 Units @50.9700						
09/10/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591484	BUY 4 Units @50.9700						
09/10/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591533	BUY 4 Units @50.9700						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
09/10/2018	***-**-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 @50.9700						
09/13/2018	***-**-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 @51.6400						
09/13/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00089045192	BUY 1 Units @51.6400						
09/13/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	19.92	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @51.6400						
09/04/2018	***-**-8776 - LEVINE, TODD	THE INCOME FUND OF AMERICA-A	0.00	33.18	0.00	33.18	10.0	3.32
	ACCOUNT #: 00067996697	BUY 0 Units @0.0000						
09/04/2018	***-**-765P - CRISPINO/, DAVID	THE INCOME FUND OF AMERICA-A	0.00	256.31	0.00	256.31	10.0	25.63
	ACCOUNT #: 00059085342	BUY 0 Units @0.0000						
09/04/2018	***-**-474I - ADDY, MICHELLE	THE INCOME FUND OF AMERICA-A	0.00	12.86	0.00	12.86	10.0	1.29
	ACCOUNT #: 00059509617	BUY 0 Units @0.0000						
09/04/2018	***-**-97IN - WAGNER, PAUL	THE INCOME FUND OF AMERICA-A	0.00	14.80	0.00	14.80	10.0	1.48
	ACCOUNT #: 00062900111	BUY 0 Units @0.0000						
09/04/2018	***-**-515P - GUERRIERI,	THE INCOME FUND OF AMERICA-A	0.00	6.22	0.00	6.22	10.0	0.62
	ACCOUNT #: 00066746363	BUY 0 Units @0.0000						
09/04/2018	***-**-275P - HUGGINS, EDDISON	THE INCOME FUND OF AMERICA-A	0.00	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00067335866	BUY 0 Units @0.0000						
09/04/2018	***-**-685P - MASTROSIMONE,	THE INCOME FUND OF AMERICA-A	0.00	44.03	0.00	44.03	10.0	4.40
	ACCOUNT #: 00067400188	BUY 0 Units @0.0000						
09/04/2018	***-**-305P - MASTROSIMONE,	THE INCOME FUND OF AMERICA-A	0.00	58.47	0.00	58.47	10.0	5.85
	ACCOUNT #: 00067436327	BUY 0 Units @0.0000						
09/04/2018	***-**-275P - PADULA, ANN	THE INCOME FUND OF AMERICA-A	0.00	15.53	0.00	15.53	10.0	1.55
	ACCOUNT #: 00068229865	BUY 0 Units @0.0000						
09/04/2018	***-**-062P - CRISPINO, DIANE	THE INCOME FUND OF AMERICA-A	0.00	61.61	0.00	61.61	10.0	6.16
	ACCOUNT #: 00068622801	BUY 0 Units @0.0000						
09/04/2018	***-**-115P - MACDUFFIE, LINDA	THE INCOME FUND OF AMERICA-A	0.00	22.29	0.00	22.29	10.0	2.23
	ACCOUNT #: 00074048292	BUY 0 Units @0.0000						
09/04/2018	***-**-36IN - LEWIS, SUE	THE INCOME FUND OF AMERICA-A	0.00	14.36	0.00	14.36	10.0	1.44
	ACCOUNT #: 00084396204	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00086084236	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	9.42	0.00	9.42	10.0	0.94
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00088058999	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.36	0.00	1.36	10.0	0.14
09/04/2018	***-**-3758 - CONNORS, DAVID ACCOUNT #: 00089033223	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	6.81	0.00	6.81	10.0	0.68
09/04/2018	***-**-5670 - CONNORS, ACCOUNT #: 00089167547	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	10.77	0.00	10.77	10.0	1.08
09/04/2018	***-**-2979 - AIMOLA, ADRIANO ACCOUNT #: 00089367879	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.44	0.00	0.44	10.0	0.04
09/04/2018	***-**-7935 - BOERMAN, HAROLD ACCOUNT #: 04000151961	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	11.26	0.00	11.26	10.0	1.13
09/04/2018	***-**-4926 - HAUN, GARY ACCOUNT #: 04000492822	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.72	0.00	2.72	10.0	0.27
09/04/2018	***-**-5912 - BELLAVIA, ACCOUNT #: 04000971773	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	11.51	0.00	11.51	10.0	1.15
09/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 0 Units @23.1600	10.50	0.11	0.00	0.11	10.0	0.01
09/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 13 Units @23.1600	298.45	2.98	0.00	2.98	10.0	0.30
09/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.1600	13.13	0.13	0.00	0.13	10.0	0.01
09/11/2018	***-**-685P - MASTROSIMONE, ACCOUNT #: 00067400188	THE INCOME FUND OF AMERICA-A BUY 16 Units @23.1600	373.06	3.73	0.00	3.73	10.0	0.37
09/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.1600	18.00	0.18	0.00	0.18	10.0	0.02
09/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 13 Units @23.1600	298.45	2.98	0.00	2.98	10.0	0.30
09/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.1600	22.50	0.23	0.00	0.23	10.0	0.02
09/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	THE INCOME FUND OF AMERICA-A BUY 16 Units @23.1600	373.06	3.73	0.00	3.73	10.0	0.37



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
09/04/2018	***-**-862I - BOAS, JOHANNA	THE INCOME FUND OF AMERICA-F1	0.00	2.79	0.00	2.79	10.0	0.28
	ACCOUNT #: 00069029472	BUY 0 Units @0.0000						
09/04/2018	***-**-265P - SMITH, WILLIAM	THE INCOME FUND OF AMERICA-F1	0.00	10.27	0.00	10.27	10.0	1.03
	ACCOUNT #: 00073715215	BUY 0 Units @0.0000						
09/04/2018	***-**-214I - RUSH, ROBERT	THE INCOME FUND OF AMERICA-F1	0.00	11.11	0.00	11.11	10.0	1.11
	ACCOUNT #: 00075148251	BUY 0 Units @0.0000						
09/04/2018	***-**-545P - VISCA, ANGELO	THE INVESTMENT COMPANY OF AMERICA-5	0.00	1.30	0.00	1.30	10.0	0.13
	ACCOUNT #: 00074389946	BUY 0 Units @0.0000						
09/04/2018	***-**-545P - VISCA, ANGELO	THE INVESTMENT COMPANY OF AMERICA-5	0.00	0.93	0.00	0.93	10.0	0.09
	ACCOUNT #: 00074389959	BUY 0 Units @0.0000						
09/04/2018	***-**-545P - VISCA, ANGELO	THE INVESTMENT COMPANY OF AMERICA-5	0.00	3.07	0.00	3.07	10.0	0.31
	ACCOUNT #: 00074389969	BUY 0 Units @0.0000						
09/04/2018	***-**-8776 - LEVINE, TODD	THE INVESTMENT COMPANY OF AMERICA-A	0.00	5.79	0.00	5.79	10.0	0.58
	ACCOUNT #: 00066829688	BUY 0 Units @0.0000						
09/04/2018	***-**-526I - CAVALLARO,	THE INVESTMENT COMPANY OF AMERICA-A	0.00	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 00067409966	BUY 0 Units @0.0000						
09/04/2018	***-**-88IN - ALLETTO, ALFONSO	THE INVESTMENT COMPANY OF AMERICA-A	0.00	7.36	0.00	7.36	10.0	0.74
	ACCOUNT #: 00057171072	BUY 0 Units @0.0000						
09/04/2018	***-**-18IN - RIEDEL, JAMES	THE INVESTMENT COMPANY OF AMERICA-A	0.00	9.64	0.00	9.64	10.0	0.96
	ACCOUNT #: 00058934237	BUY 0 Units @0.0000						
09/04/2018	***-**-76IN - CRISPINO, JULIE	THE INVESTMENT COMPANY OF AMERICA-A	0.00	3,119.03	0.00	3,119.03	10.0	311.90
	ACCOUNT #: 00059092005	BUY 0 Units @0.0000						
09/04/2018	***-**-318I - RIEDEL, JAMES	THE INVESTMENT COMPANY OF AMERICA-A	0.00	7.15	0.00	7.15	10.0	0.72
	ACCOUNT #: 00059148109	BUY 0 Units @0.0000						
09/04/2018	***-**-160I - HEBERGER,	THE INVESTMENT COMPANY OF AMERICA-A	0.00	63.12	0.00	63.12	10.0	6.31
	ACCOUNT #: 00059221008	BUY 0 Units @0.0000						
09/04/2018	***-**-701I - MCSHANE, THOMAS	THE INVESTMENT COMPANY OF AMERICA-A	0.00	7.36	0.00	7.36	10.0	0.74
	ACCOUNT #: 00059264717	BUY 0 Units @0.0000						
09/04/2018	***-**-543I - MCSHANE, ELAINE	THE INVESTMENT COMPANY OF AMERICA-A	0.00	19.20	0.00	19.20	10.0	1.92
	ACCOUNT #: 00059264718	BUY 0 Units @0.0000						
09/04/2018	***-**-99IN - ARBORE, CARL	THE INVESTMENT COMPANY OF AMERICA-A	0.00	16.96	0.00	16.96	10.0	1.70
	ACCOUNT #: 00059377247	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-474I - ADDY, MICHELLE	THE INVESTMENT COMPANY OF AMERICA-A	0.00	14.91	0.00	14.91	10.0	1.49
	ACCOUNT #: 00059509617	BUY 0 Units @0.0000						
09/04/2018	***-**-395P - DIVASTA, ANTHONY	THE INVESTMENT COMPANY OF AMERICA-A	0.00	13.07	0.00	13.07	10.0	1.31
	ACCOUNT #: 00059597416	BUY 0 Units @0.0000						
09/04/2018	***-**-062I - CRISPINO, DIANE	THE INVESTMENT COMPANY OF AMERICA-A	0.00	44.40	0.00	44.40	10.0	4.44
	ACCOUNT #: 00059659617	BUY 0 Units @0.0000						
09/04/2018	***-**-395P - DREXLER, ROBERT	THE INVESTMENT COMPANY OF AMERICA-A	0.00	1.08	0.00	1.08	10.0	0.11
	ACCOUNT #: 00060009689	BUY 0 Units @0.0000						
09/04/2018	***-**-50IN - BONACCI,	THE INVESTMENT COMPANY OF AMERICA-A	0.00	4.79	0.00	4.79	10.0	0.48
	ACCOUNT #: 00060494752	BUY 0 Units @0.0000						
09/04/2018	***-**-837I - PADULA, JOHN	THE INVESTMENT COMPANY OF AMERICA-A	0.00	15.34	0.00	15.34	10.0	1.53
	ACCOUNT #: 00060627928	BUY 0 Units @0.0000						
09/04/2018	***-**-675I - QUARANTO, PAUL	THE INVESTMENT COMPANY OF AMERICA-A	0.00	3.07	0.00	3.07	10.0	0.31
	ACCOUNT #: 00060720715	BUY 0 Units @0.0000						
09/04/2018	***-**-984I - QUARANTO,	THE INVESTMENT COMPANY OF AMERICA-A	0.00	3.24	0.00	3.24	10.0	0.32
	ACCOUNT #: 00061233835	BUY 0 Units @0.0000						
09/04/2018	***-**-285P - GALLETS, BARBARA	THE INVESTMENT COMPANY OF AMERICA-A	0.00	5.48	0.00	5.48	10.0	0.55
	ACCOUNT #: 00062124529	BUY 0 Units @0.0000						
09/04/2018	***-**-305P - GALLETS, TIMOTHY	THE INVESTMENT COMPANY OF AMERICA-A	0.00	3.29	0.00	3.29	10.0	0.33
	ACCOUNT #: 00062162110	BUY 0 Units @0.0000						
09/04/2018	***-**-565P - VISCA, STACY	THE INVESTMENT COMPANY OF AMERICA-A	0.00	2.52	0.00	2.52	10.0	0.25
	ACCOUNT #: 00062374424	BUY 0 Units @0.0000						
09/04/2018	***-**-545P - VISCA, ANGELO	THE INVESTMENT COMPANY OF AMERICA-A	0.00	15.06	0.00	15.06	10.0	1.51
	ACCOUNT #: 00063056262	BUY 0 Units @0.0000						
09/04/2018	***-**-46UG - ALLETTO, JESSICA	THE INVESTMENT COMPANY OF AMERICA-A	0.00	4.73	0.00	4.73	10.0	0.47
	ACCOUNT #: 00063773936	BUY 0 Units @0.0000						
09/04/2018	***-**-515P - GUERRIERI,	THE INVESTMENT COMPANY OF AMERICA-A	0.00	17.47	0.00	17.47	10.0	1.75
	ACCOUNT #: 00066746363	BUY 0 Units @0.0000						
09/04/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	0.00	63.99	0.00	63.99	10.0	6.40
	ACCOUNT #: 00066758342	BUY 0 Units @0.0000						
09/04/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	0.00	22.99	0.00	22.99	10.0	2.30
	ACCOUNT #: 00066758348	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-275P - LAMANNA, DANIEL	THE INVESTMENT COMPANY OF AMERICA-A	0.00	0.51	0.00	0.51	10.0	0.05
	ACCOUNT #: 00066898425	BUY 0 Units @0.0000						
09/04/2018	***-**-275P - HUGGINS, EDDISON	THE INVESTMENT COMPANY OF AMERICA-A	0.00	1.71	0.00	1.71	10.0	0.17
	ACCOUNT #: 00067335866	BUY 0 Units @0.0000						
09/04/2018	***-**-577I - HERMAN, TIMOTHY	THE INVESTMENT COMPANY OF AMERICA-A	0.00	3.46	0.00	3.46	10.0	0.35
	ACCOUNT #: 00067626135	BUY 0 Units @0.0000						
09/04/2018	***-**-445P - PIAZZA, ANNIE	THE INVESTMENT COMPANY OF AMERICA-A	0.00	2.73	0.00	2.73	10.0	0.27
	ACCOUNT #: 00067750908	BUY 0 Units @0.0000						
09/04/2018	***-**-2243 - SPENCER, JANICE	THE INVESTMENT COMPANY OF AMERICA-A	0.00	33.77	0.00	33.77	10.0	3.38
	ACCOUNT #: 00068185254	BUY 0 Units @0.0000						
09/04/2018	***-**-535P - ARBORE, TAYLER	THE INVESTMENT COMPANY OF AMERICA-A	0.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00068832852	BUY 0 Units @0.0000						
09/04/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	0.00	11.53	0.00	11.53	10.0	1.15
	ACCOUNT #: 00073798048	BUY 0 Units @0.0000						
09/04/2018	***-**-54IN - VISCA, ANGELO	THE INVESTMENT COMPANY OF AMERICA-A	0.00	3.18	0.00	3.18	10.0	0.32
	ACCOUNT #: 00074704820	BUY 0 Units @0.0000						
09/04/2018	***-**-605P - ARBORE, ALESSA	THE INVESTMENT COMPANY OF AMERICA-A	0.00	0.61	0.00	0.61	10.0	0.06
	ACCOUNT #: 00081283934	BUY 0 Units @0.0000						
09/04/2018	***-**-291I - HAMMOND, LAURA	THE INVESTMENT COMPANY OF AMERICA-A	0.00	54.79	0.00	54.79	10.0	5.48
	ACCOUNT #: 00085380651	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	THE INVESTMENT COMPANY OF AMERICA-A	0.00	44.00	0.00	44.00	10.0	4.40
	ACCOUNT #: 00086084236	BUY 0 Units @0.0000						
09/04/2018	***-**-455P - RAAB, JOHN	THE INVESTMENT COMPANY OF AMERICA-A	0.00	6.08	0.00	6.08	10.0	0.61
	ACCOUNT #: 00086788038	BUY 0 Units @0.0000						
09/04/2018	***-**-135P - RAAB, NATALIE	THE INVESTMENT COMPANY OF AMERICA-A	0.00	6.26	0.00	6.26	10.0	0.63
	ACCOUNT #: 00086788848	BUY 0 Units @0.0000						
09/04/2018	***-**-44IN - RAAB, TAMMY	THE INVESTMENT COMPANY OF AMERICA-A	0.00	6.08	0.00	6.08	10.0	0.61
	ACCOUNT #: 00086789318	BUY 0 Units @0.0000						
09/04/2018	***-**-385P - SIMMONS, MEGAN	THE INVESTMENT COMPANY OF AMERICA-A	0.00	4.38	0.00	4.38	10.0	0.44
	ACCOUNT #: 00087273922	BUY 0 Units @0.0000						
09/04/2018	***-**-1788 - SYKES, DANIEL	THE INVESTMENT COMPANY OF AMERICA-A	0.00	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00087870442	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00088058999	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	1.50	0.00	1.50	10.0	0.15
09/04/2018	***-**-3758 - CONNORS, DAVID ACCOUNT #: 00089033223	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	7.85	0.00	7.85	10.0	0.79
09/04/2018	***-**-5670 - CONNORS, ACCOUNT #: 00089167547	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	14.01	0.00	14.01	10.0	1.40
09/04/2018	***-**-54IN - VISCA, ANGELO ACCOUNT #: 00166067563	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	5.31	0.00	5.31	10.0	0.53
09/04/2018	***-**-7268 - DIVASTA, ANTHONY ACCOUNT #: 04000255152	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	9.03	0.00	9.03	10.0	0.90
09/04/2018	***-**-635P - RAAB, SARAH ACCOUNT #: 04000424268	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	6.91	0.00	6.91	10.0	0.69
09/04/2018	***-**-4926 - HAUN, GARY ACCOUNT #: 04000492822	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	3.91	0.00	3.91	10.0	0.39
09/10/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE INVESTMENT COMPANY OF AMERICA-A BUY 6 Units @41.3200	250.00	2.50	0.00	2.50	10.0	0.25
09/10/2018	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.3200	50.00	0.50	0.00	0.50	10.0	0.05
09/10/2018	***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @41.3200	20.00	0.20	0.00	0.20	10.0	0.02
09/10/2018	***-**-395P - DIVASTA, ANTHONY ACCOUNT #: 00059597416	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @43.2700	50.00	1.88	0.00	1.88	10.0	0.19
09/11/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.3800	40.43	0.40	0.00	0.40	10.0	0.04
09/11/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.3800	59.40	0.59	0.00	0.59	10.0	0.06
09/11/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.3800	49.50	0.50	0.00	0.50	10.0	0.05
09/11/2018	***-**-275P - HUGGINS, EDDISON ACCOUNT #: 00067335866	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.3800	33.50	0.34	0.00	0.34	10.0	0.03
09/11/2018	***-**-1788 - SYKES, DANIEL ACCOUNT #: 00087870442	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.3800	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>								
09/11/2018	***-**-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 @41.3800						
09/11/2018	***-**-1788 - SYKES, DANIEL	THE INVESTMENT COMPANY OF AMERICA-A	24.00	0.24	0.00	0.24	10.0	0.02
	ACCOUNT #: 00087870442	BUY 1 Units @41.3800						
09/11/2018	***-**-1788 - SYKES, DANIEL	THE INVESTMENT COMPANY OF AMERICA-A	64.00	0.64	0.00	0.64	10.0	0.06
	ACCOUNT #: 00087870442	BUY 2 Units @41.3800						
09/11/2018	***-**-96CL - SCARPULLA,	THE INVESTMENT COMPANY OF AMERICA-A	27.39	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00089254350	BUY 1 Units @41.3800						
09/11/2018	***-**-96CL - SCARPULLA,	THE INVESTMENT COMPANY OF AMERICA-A	81.60	0.82	0.00	0.82	10.0	0.08
	ACCOUNT #: 00089254350	BUY 2 Units @41.3800						
09/11/2018	***-**-96CL - SCARPULLA,	THE INVESTMENT COMPANY OF AMERICA-A	17.44	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 00089254350	BUY 0 Units @41.3800						
09/11/2018	***-**-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 @41.3800						
09/12/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	174.14	1.74	0.00	1.74	10.0	0.17
	ACCOUNT #: 00066758342	BUY 4 Units @41.5200						
09/12/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	72.19	0.72	0.00	0.72	10.0	0.07
	ACCOUNT #: 00066758348	BUY 2 Units @41.5200						
09/12/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	56.99	0.57	0.00	0.57	10.0	0.06
	ACCOUNT #: 00073798048	BUY 1 Units @41.5200						
09/04/2018	***-**-526I - CAVALLARO,	THE INVESTMENT COMPANY OF AMERICA-F	0.00	0.56	0.00	0.56	10.0	0.06
	ACCOUNT #: 00067409966	BUY 0 Units @0.0000						
09/04/2018	***-**-155P - MANCZYK, SANDRA	THE INVESTMENT COMPANY OF AMERICA-F	0.00	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00068561804	BUY 0 Units @0.0000						
09/04/2018	***-**-275P - REYES, ISAIH	THE INVESTMENT COMPANY OF AMERICA-F	0.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00069016230	BUY 0 Units @0.0000						
09/04/2018	***-**-675I - QUARANTO, PAUL	THE NEW ECONOMY FUND-A	0.00	2.10	0.00	2.10	10.0	0.21
	ACCOUNT #: 00060720715	BUY 0 Units @0.0000						
09/04/2018	***-**-984I - QUARANTO,	THE NEW ECONOMY FUND-A	0.00	0.73	0.00	0.73	10.0	0.07
	ACCOUNT #: 00061233835	BUY 0 Units @0.0000						
09/04/2018	***-**-385P - BONACCI,	THE NEW ECONOMY FUND-A	0.00	3.46	0.00	3.46	10.0	0.35
	ACCOUNT #: 00064219744	BUY 0 Units @0.0000						





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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-405P - FRISA, ALAN	THE NEW ECONOMY FUND-A	0.00	1.93	0.00	1.93	10.0	0.19
	ACCOUNT #: 00066758344	BUY 0 Units @0.0000						
09/04/2018	***-**-275P - LAMANNA, DANIEL	THE NEW ECONOMY FUND-A	0.00	1.04	0.00	1.04	10.0	0.10
	ACCOUNT #: 00066898425	BUY 0 Units @0.0000						
09/04/2018	***-**-2243 - SPENCER, JANICE	THE NEW ECONOMY FUND-A	0.00	13.57	0.00	13.57	10.0	1.36
	ACCOUNT #: 00068185254	BUY 0 Units @0.0000						
09/04/2018	***-**-2638 - DIAK, APRIL	THE NEW ECONOMY FUND-A	0.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085791891	BUY 0 Units @0.0000						
09/04/2018	***-**-925P - CRISPINO, JOSEPH	THE NEW ECONOMY FUND-A	0.00	121.56	0.00	121.56	10.0	12.16
	ACCOUNT #: 00089032090	BUY 0 Units @0.0000						
09/04/2018	***-**-2979 - AIMOLA, ADRIANO	THE NEW ECONOMY FUND-A	0.00	1.04	0.00	1.04	10.0	0.10
	ACCOUNT #: 00089367879	BUY 0 Units @0.0000						
09/11/2018	***-**-7063 - REGALI, JOHANNA	THE NEW ECONOMY FUND-A	10.98	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 04001141304	BUY 0 Units @48.3800						
09/11/2018	***-**-7063 - REGALI, JOHANNA	THE NEW ECONOMY FUND-A	10.98	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 04001141304	BUY 0 Units @48.3800						
09/04/2018	***-**-2638 - DIAK, APRIL	THE NEW ECONOMY FUND-C	0.00	22.12	0.00	22.12	10.0	2.21
	ACCOUNT #: 00085791891	BUY 0 Units @0.0000						
09/04/2018	***-**-9024 - HACKETT, ETHAN	THE NEW ECONOMY FUND-C	0.00	28.05	0.00	28.05	10.0	2.81
	ACCOUNT #: 00088123299	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	THE NEW ECONOMY FUND-C	0.00	19.47	0.00	19.47	10.0	1.95
	ACCOUNT #: 00089104864	BUY 0 Units @0.0000						
09/04/2018	***-**-98IN - WASHINGTON,	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	25.22	0.00	25.22	10.0	2.52
	ACCOUNT #: 00066908385	BUY 0 Units @0.0000						
09/04/2018	***-**-278J - GUERRIERI, JOHN	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	310.46	0.00	310.46	10.0	31.05
	ACCOUNT #: 00084395514	BUY 0 Units @0.0000						
09/04/2018	***-**-897J - GUERRIERI,	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	239.62	0.00	239.62	10.0	23.96
	ACCOUNT #: 00084493231	BUY 0 Units @0.0000						
09/04/2018	***-**-935J - RUSH, DONNA	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	121.19	0.00	121.19	10.0	12.12
	ACCOUNT #: 00085296459	BUY 0 Units @0.0000						
09/04/2018	***-**-44UG - GUERRIERI,	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	47.27	0.00	47.27	10.0	4.73
	ACCOUNT #: 00085399145	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-51IN - GUERRIERI, KIM	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	89.09	0.00	89.09	10.0	8.91
	ACCOUNT #: 00085399151	BUY 0 Units @0.0000						
09/04/2018	***-**-75UG - GUERRIERI, SOFIA	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	58.85	0.00	58.85	10.0	5.89
	ACCOUNT #: 00085399166	BUY 0 Units @0.0000						
09/04/2018	***-**-279J - HERRMANN, KEVIN	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	74.13	0.00	74.13	10.0	7.41
	ACCOUNT #: 00086046167	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	147.66	0.00	147.66	10.0	14.77
	ACCOUNT #: 00086084236	BUY 0 Units @0.0000						
09/04/2018	***-**-671I - LEGRETTE, TRICIA	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	0.74	0.00	0.74	10.0	0.07
	ACCOUNT #: 00086592195	BUY 0 Units @0.0000						
09/04/2018	***-**-503J - OBI, JEAN	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	249.48	0.00	249.48	10.0	24.95
	ACCOUNT #: 00086612257	BUY 0 Units @0.0000						
09/04/2018	***-**-3425 - DOROFY, ROSALBA	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	25.34	0.00	25.34	10.0	2.53
	ACCOUNT #: 00087191252	BUY 0 Units @0.0000						
09/04/2018	***-**-98IN - WASHINGTON,	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	27.21	0.00	27.21	10.0	2.72
	ACCOUNT #: 00066908385	BUY 0 Units @0.0000						
09/04/2018	***-**-46IN - WASHINGTON,	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	1.58	0.00	1.58	10.0	0.16
	ACCOUNT #: 00068293525	BUY 0 Units @0.0000						
09/04/2018	***-**-222J - WAGNER, PAUL	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	6.34	0.00	6.34	10.0	0.63
	ACCOUNT #: 00082698727	BUY 0 Units @0.0000						
09/04/2018	***-**-937J - MAMMANO, LUISA	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 00083403056	BUY 0 Units @0.0000						
09/04/2018	***-**-76IN - CRISPINO, JULIE	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	462.39	0.00	462.39	10.0	46.24
	ACCOUNT #: 00059092005	BUY 0 Units @0.0000						
09/04/2018	***-**-07IN - SCARPULLA,	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	0.32	0.00	0.32	10.0	0.03
	ACCOUNT #: 00059467672	BUY 0 Units @0.0000						
09/04/2018	***-**-09IN - ARBORE,	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	26.53	0.00	26.53	10.0	2.65
	ACCOUNT #: 00063715252	BUY 0 Units @0.0000						
09/04/2018	***-**-825P - WARREN, TREVOR	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 00066882360	BUY 0 Units @0.0000						
09/04/2018	***-**-305P - BROWN, GEOVANNI	U.S. GOVERNMENT SECURITIES FUND-C	0.00	9.29	0.00	9.29	10.0	0.93
	ACCOUNT #: 00081157672	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
09/04/2018	***-**-595I - MUSCATE, SHERRY	U.S. GOVERNMENT SECURITIES FUND-C	0.00	69.27	0.00	69.27	10.0	6.93
	ACCOUNT #: 00084455861	BUY 0 Units @0.0000						
09/04/2018	***-**-63IN - DIAMOND, ANN	U.S. GOVERNMENT SECURITIES FUND-C	0.00	13.61	0.00	13.61	10.0	1.36
	ACCOUNT #: 00085468057	BUY 0 Units @0.0000						
09/04/2018	***-**-557I - YARID, CHARLES	U.S. GOVERNMENT SECURITIES FUND-C	0.00	2.63	0.00	2.63	10.0	0.26
	ACCOUNT #: 00086494799	BUY 0 Units @0.0000						
09/04/2018	***-**-526I - CAVALLARO,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00067409966	BUY 0 Units @0.0000						
09/04/2018	***-**-145P - SCARPULLA,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	90.60	0.00	90.60	10.0	9.06
	ACCOUNT #: 00058728614	BUY 0 Units @0.0000						
09/04/2018	***-**-765P - CRISPINO/, DAVID	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	299.14	0.00	299.14	10.0	29.91
	ACCOUNT #: 00059085342	BUY 0 Units @0.0000						
09/04/2018	***-**-97IN - WAGNER, PAUL	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	18.13	0.00	18.13	10.0	1.81
	ACCOUNT #: 00062900111	BUY 0 Units @0.0000						
09/04/2018	***-**-405P - CARTONIA,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	2.33	0.00	2.33	10.0	0.23
	ACCOUNT #: 00063002661	BUY 0 Units @0.0000						
09/04/2018	***-**-545P - VISCA, ANGELO	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	10.21	0.00	10.21	10.0	1.02
	ACCOUNT #: 00063056262	BUY 0 Units @0.0000						
09/04/2018	***-**-385P - BONACCI,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	30.20	0.00	30.20	10.0	3.02
	ACCOUNT #: 00063160662	BUY 0 Units @0.0000						
09/04/2018	***-**-00IN - DIVASTA, JANINE	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	8.01	0.00	8.01	10.0	0.80
	ACCOUNT #: 00063669925	BUY 0 Units @0.0000						
09/04/2018	***-**-40IN - ARBORE, MARIA	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00063715251	BUY 0 Units @0.0000						
09/04/2018	***-**-09IN - ARBORE,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	12.85	0.00	12.85	10.0	1.29
	ACCOUNT #: 00063715252	BUY 0 Units @0.0000						
09/04/2018	***-**-739I - BONACCI,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	4.29	0.00	4.29	10.0	0.43
	ACCOUNT #: 00063790194	BUY 0 Units @0.0000						
09/04/2018	***-**-984I - DELUCA, SHARI	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	6.82	0.00	6.82	10.0	0.68
	ACCOUNT #: 00064868315	BUY 0 Units @0.0000						
09/04/2018	***-**-515P - GUERRIERI,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	6.01	0.00	6.01	10.0	0.60
	ACCOUNT #: 00066746363	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	4.10	0.00	4.10	10.0	0.41
	ACCOUNT #: 00066758345	BUY 0 Units @0.0000						
09/04/2018	***-**-065P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	1.12	0.00	1.12	10.0	0.11
	ACCOUNT #: 00067185133	BUY 0 Units @0.0000						
09/04/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	72.22	0.00	72.22	10.0	7.22
	ACCOUNT #: 00067351603	BUY 0 Units @0.0000						
09/04/2018	***-**-375P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	35.90	0.00	35.90	10.0	3.59
	ACCOUNT #: 00067351605	BUY 0 Units @0.0000						
09/04/2018	***-**-685P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	51.55	0.00	51.55	10.0	5.16
	ACCOUNT #: 00067400188	BUY 0 Units @0.0000						
09/04/2018	***-**-185P - WARREN, STEVEN	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00067400190	BUY 0 Units @0.0000						
09/04/2018	***-**-305P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	68.75	0.00	68.75	10.0	6.88
	ACCOUNT #: 00067436327	BUY 0 Units @0.0000						
09/04/2018	***-**-1540 - COTA, GRETCHEN	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	2.37	0.00	2.37	10.0	0.24
	ACCOUNT #: 00068099713	BUY 0 Units @0.0000						
09/04/2018	***-**-062P - CRISPINO, DIANE	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	72.39	0.00	72.39	10.0	7.24
	ACCOUNT #: 00068622801	BUY 0 Units @0.0000						
09/04/2018	***-**-305P - MESH, RONALD	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	6.76	0.00	6.76	10.0	0.68
	ACCOUNT #: 00074720484	BUY 0 Units @0.0000						
09/04/2018	***-**-296I - TEUMER,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	7.59	0.00	7.59	10.0	0.76
	ACCOUNT #: 00083577034	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	11.24	0.00	11.24	10.0	1.12
	ACCOUNT #: 00086084236	BUY 0 Units @0.0000						
09/04/2018	***-**-96CL - SCARPULLA,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	22.14	0.00	22.14	10.0	2.21
	ACCOUNT #: 00087118596	BUY 0 Units @0.0000						
09/04/2018	***-**-1841 - ROTOLI, CHERYL	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	20.33	0.00	20.33	10.0	2.03
	ACCOUNT #: 00087899407	BUY 0 Units @0.0000						
09/04/2018	***-**-925P - CRISPINO, JOSEPH	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	109.91	0.00	109.91	10.0	10.99
	ACCOUNT #: 00089032090	BUY 0 Units @0.0000						
09/04/2018	***-**-7935 - BOERMAN, HAROLD	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	16.33	0.00	16.33	10.0	1.63
	ACCOUNT #: 04000151961	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-7182 - CRISPINO, DIANA	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	103.22	0.00	103.22	10.0	10.32
	ACCOUNT #: 04000864809	BUY 0 Units @0.0000						
09/04/2018	***-**-5912 - BELLAVIA,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	5.26	0.00	5.26	10.0	0.53
	ACCOUNT #: 04000971773	BUY 0 Units @0.0000						
09/10/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 00066758345	BUY 11 Units @46.4900						
09/11/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	299.40	2.99	0.00	2.99	10.0	0.30
	ACCOUNT #: 00067351603	BUY 6 Units @46.5900						
09/11/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	61.52	0.62	0.00	0.62	10.0	0.06
	ACCOUNT #: 00067351603	BUY 1 Units @46.5900						
09/11/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	217.50	2.18	0.00	2.18	10.0	0.22
	ACCOUNT #: 00067351603	BUY 5 Units @46.5900						
09/11/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	374.25	3.74	0.00	3.74	10.0	0.37
	ACCOUNT #: 00067351603	BUY 8 Units @46.5900						
09/11/2018	***-**-375P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	47.94	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00067351605	BUY 1 Units @46.5900						
09/11/2018	***-**-375P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	81.60	0.82	0.00	0.82	10.0	0.08
	ACCOUNT #: 00067351605	BUY 2 Units @46.5900						
09/11/2018	***-**-375P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	65.17	0.65	0.00	0.65	10.0	0.07
	ACCOUNT #: 00067351605	BUY 1 Units @46.5900						
09/11/2018	***-**-375P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	102.00	1.02	0.00	1.02	10.0	0.10
	ACCOUNT #: 00067351605	BUY 2 Units @46.5900						
09/11/2018	***-**-685P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00067400188	BUY 0 Units @46.5900						
09/11/2018	***-**-685P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	298.45	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00067400188	BUY 6 Units @46.5900						
09/11/2018	***-**-685P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	13.11	0.13	0.00	0.13	10.0	0.01
	ACCOUNT #: 00067400188	BUY 0 Units @46.5900						
09/11/2018	***-**-685P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	373.07	3.73	0.00	3.73	10.0	0.37
	ACCOUNT #: 00067400188	BUY 8 Units @46.5900						
09/11/2018	***-**-305P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00067436327	BUY 0 Units @46.5900						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 6 Units @46.5900	298.45	2.98	0.00	2.98	10.0	0.30
09/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @46.5900	22.50	0.23	0.00	0.23	10.0	0.02
09/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 8 Units @46.5900	373.07	3.73	0.00	3.73	10.0	0.37
09/12/2018	***-**-415P - MALOVICS, LASZLO ACCOUNT #: 00066758345	WASHINGTON MUTUAL INVESTORS FUND-A BUY 7 Units @46.6000	348.24	3.48	0.00	3.48	10.0	0.35
09/04/2018	***-**-984I - DELUCA, SHARI ACCOUNT #: 00064868315	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	23.54	0.00	23.54	10.0	2.35
09/04/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	153.87	0.00	153.87	10.0	15.39
09/04/2018	***-**-625P - CENTOLA, ANITA ACCOUNT #: 00074256566	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	5.22	0.00	5.22	10.0	0.52
09/04/2018	***-**-305P - MESH, RONALD ACCOUNT #: 00074720484	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	118.40	0.00	118.40	10.0	11.84
09/04/2018	***-**-435P - MOORE, SARA ACCOUNT #: 00081602977	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	0.64	0.00	0.64	10.0	0.06
09/04/2018	***-**-0693 - POWELL, KRISTIN ACCOUNT #: 00083026630	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	83.19	0.00	83.19	10.0	8.32
09/04/2018	***-**-673I - TEATOR, JAMES ACCOUNT #: 00083687369	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	19.98	0.00	19.98	10.0	2.00
09/04/2018	***-**-595I - MUSCATE, SHERRY ACCOUNT #: 00084455861	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	20.03	0.00	20.03	10.0	2.00
09/04/2018	***-**-398I - GUERRIERI, PAUL ACCOUNT #: 00086040659	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	28.66	0.00	28.66	10.0	2.87
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00086082668	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	138.34	0.00	138.34	10.0	13.83
09/04/2018	***-**-375P - COTTONE, CHARLES ACCOUNT #: 00086771782	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	56.57	0.00	56.57	10.0	5.66
09/04/2018	***-**-54IN - FANTAUZZO, EVA ACCOUNT #: 00087406469	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	1.07	0.00	1.07	10.0	0.11



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ANDREW KALINOWSKI  
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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><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00088445726	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	20.74	0.00	20.74	10.0	2.07
09/04/2018	***-**-9373 - CLINE, KIMBERLY ACCOUNT #: 00088773853	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	12.30	0.00	12.30	10.0	1.23
09/04/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	0.43	0.00	0.43	10.0	0.04
09/04/2018	***-**-63IN - DIAMOND, ANN ACCOUNT #: 00089876011	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	37.80	0.00	37.80	10.0	3.78
09/04/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	4.72	0.00	4.72	10.0	0.47
09/04/2018	***-**-255P - VELKY, JOHN ACCOUNT #: 04000414756	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	12.19	0.00	12.19	10.0	1.22
09/04/2018	***-**-436I - RAGO, LISA ACCOUNT #: 04000456708	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @0.0000	0.00	0.14	0.00	0.14	10.0	0.01
09/10/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	WASHINGTON MUTUAL INVESTORS FUND-C BUY 4 Units @45.8100	187.00	1.87	0.00	1.87	10.0	0.19
09/10/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @45.8100	5.00	0.05	0.00	0.05	10.0	0.01
09/10/2018	***-**-4926 - HAUN, GARY ACCOUNT #: 04000492822	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @45.8100	42.30	0.42	0.00	0.42	10.0	0.04
09/10/2018	***-**-4926 - HAUN, GARY ACCOUNT #: 04000492822	WASHINGTON MUTUAL INVESTORS FUND-C BUY 4 Units @45.8100	190.35	1.90	0.00	1.90	10.0	0.19
09/11/2018	***-**-305P - MESH, RONALD ACCOUNT #: 00074720484	WASHINGTON MUTUAL INVESTORS FUND-C BUY 9 Units @45.9100	400.00	4.00	0.00	4.00	10.0	0.40
09/14/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @46.0900	40.00	0.40	0.00	0.40	10.0	0.04
09/06/2018	***-**-27IN - TINKLEPAUGH, ACCOUNT #: 01005412974	WELLS FGO AVTG DIVERSFD CAPITAL BLD BUY 0 Units @0.0000	0.00	1.17	0.00	1.17	10.0	0.12
<b> * FREDERIC SCARPULLA SUBTOTAL * </b>			<b>\$30,839.04</b>	<b>\$34,774.51</b>	<b>\$0.00</b>	<b>\$34,774.51</b>		<b>\$3,478.06</b>



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: WILLIAM AGNELLO </u></b>								
09/12/2018	***-**-613K - HAGER	ANNALY CAP MANGEMENT INC	7,112.70	21.00	0.00	21.00	25.0	5.25
	ACCOUNT #: LSR006980	SELL 700 Units @10.1610						
09/04/2018	***-**-77IR - AGNELLO, TINA	CAPITAL INCOME BUILDER CLASS C	0.00	15.05	0.00	15.05	25.0	3.76
	ACCOUNT #: 00085661999	BUY 0 Units @0.0000						
09/11/2018	***-**-43IN - CUP, NICHOLAS	ENBRIDGE ENERGY PARTNERS LP UNSOLIC	1,153.00	25.10	0.00	25.10	25.0	6.28
	ACCOUNT #: LSR006890	BUY 100 Units @11.5300						
09/11/2018	***-**-43IN - CUP, NICHOLAS	FIDELITY ADV HIGH INC ADVANTAGE CL	9,940.89	9.00	0.00	9.00	25.0	2.25
	ACCOUNT #: LSR006890	BUY 880 Units @11.3000						
09/04/2018	***-**-8929 - AGNELLO, JEFFREY	GROWTH FUND OF AMERICA CLASS F	0.00	7.52	0.00	7.52	25.0	1.88
	ACCOUNT #: 00073261400	BUY 0 Units @0.0000						
09/04/2018	***-**-8216 - AGNELLO,	GROWTH FUND OF AMERICA CLASS F	0.00	1.33	0.00	1.33	25.0	0.33
	ACCOUNT #: 00082175073	BUY 0 Units @0.0000						
09/04/2018	***-**-5428 - AGNELLO,	GROWTH FUND OF AMERICA CLASS F	0.00	1.33	0.00	1.33	25.0	0.33
	ACCOUNT #: 00082175298	BUY 0 Units @0.0000						
09/04/2018	***-**-4882 - AGNELLO,	GROWTH FUND OF AMERICA CLASS F	0.00	1.33	0.00	1.33	25.0	0.33
	ACCOUNT #: 00082175305	BUY 0 Units @0.0000						
09/17/2018	***-**-43FB - CUP, NICHOLAS	JOHN HANCOCK 529 TRAILS	0.00	9.11	0.00	9.11	25.0	2.28
	ACCOUNT #: 00052280820	BUY 0 Units @0.0000						
09/04/2018	***-**-8929 - AGNELLO, JEFFREY	THE GROWTH FUND OF AMERICA-C	0.00	51.23	0.00	51.23	25.0	12.81
	ACCOUNT #: 00073261400	BUY 0 Units @0.0000						
09/04/2018	***-**-77IR - AGNELLO, TINA	THE GROWTH FUND OF AMERICA-C	0.00	20.25	0.00	20.25	25.0	5.06
	ACCOUNT #: 00085661999	BUY 0 Units @0.0000						
09/04/2018	***-**-3829 - AGNELLO,	THE GROWTH FUND OF AMERICA-C	0.00	4.65	0.00	4.65	25.0	1.16
	ACCOUNT #: 00087597414	BUY 0 Units @0.0000						
09/12/2018	***-**-613K - HAGER	VERIZON COMMUNICATIONS UNSOLICITED	5,512.00	37.00	0.00	37.00	25.0	9.25
	ACCOUNT #: LSR006980	BUY 100 Units @55.1200						
09/12/2018	***-**-963I - GAMMARIELLO,	VERIZON COMMUNICATIONS UNSOLICITED	5,499.00	37.00	0.00	37.00	25.0	9.25
	ACCOUNT #: LSR007102	BUY 100 Units @54.9900						
09/12/2018	***-**-25IN - DIPAOLO, JOSEPH	VERIZON COMMUNICATIONS UNSOLICITED	5,499.90	37.00	0.00	37.00	25.0	9.25
	ACCOUNT #: LSR010260	BUY 100 Units @54.9990						
<b> * WILLIAM AGNELLO SUBTOTAL * </b>			<b>\$34,717.49</b>	<b>\$277.90</b>	<b>\$0.00</b>	<b>\$277.90</b>		<b>\$69.47</b>





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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: JAMES LOMBARDO</u> </b>								
09/04/2018	***-**-0935 - MINEO, JAMES	AMERICAN BALANCED FUND-529A	0.00	10.95	0.00	10.95	15.0	1.64
	ACCOUNT #: 00073571816	BUY 0 Units @0.0000						
09/04/2018	***-**-2885 - BISHOP, DAVID	AMERICAN BALANCED FUND-A	0.00	8.31	0.00	8.31	15.0	1.25
	ACCOUNT #: 00068915116	BUY 0 Units @0.0000						
09/04/2018	***-**-7067 - SMITH, CAROL	AMERICAN BALANCED FUND-A	0.00	3.24	0.00	3.24	15.0	0.49
	ACCOUNT #: 00073595941	BUY 0 Units @0.0000						
09/04/2018	***-**-2095 - MARONEY, ROBERT	AMERICAN BALANCED FUND-A	0.00	29.67	0.00	29.67	15.0	4.45
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						
09/04/2018	***-**-3510 - GUGINO, ROBIN	AMERICAN BALANCED FUND-A	0.00	9.23	0.00	9.23	15.0	1.38
	ACCOUNT #: 00075079307	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	0.00	9.21	0.00	9.21	15.0	1.38
	ACCOUNT #: 00075139902	BUY 0 Units @0.0000						
09/04/2018	***-**-1760 - MAJORS, JANET	AMERICAN BALANCED FUND-A	0.00	6.70	0.00	6.70	15.0	1.01
	ACCOUNT #: 00075488556	BUY 0 Units @0.0000						
09/04/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN BALANCED FUND-A	0.00	6.39	0.00	6.39	15.0	0.96
	ACCOUNT #: 00081315892	BUY 0 Units @0.0000						
09/04/2018	***-**-13CL - BERG, C, CLIENTS	AMERICAN BALANCED FUND-A	0.00	13.33	0.00	13.33	15.0	2.00
	ACCOUNT #: 00081534780	BUY 0 Units @0.0000						
09/04/2018	***-**-5484 - KULCZYNSKI,	AMERICAN BALANCED FUND-A	0.00	14.75	0.00	14.75	15.0	2.21
	ACCOUNT #: 00081538281	BUY 0 Units @0.0000						
09/04/2018	***-**-6802 - NAKANO, AMELIA	AMERICAN BALANCED FUND-A	0.00	6.00	0.00	6.00	15.0	0.90
	ACCOUNT #: 00082853395	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	0.00	7.10	0.00	7.10	15.0	1.07
	ACCOUNT #: 00083468095	BUY 0 Units @0.0000						
09/04/2018	***-**-8900 - MARTIN, JAMES	AMERICAN BALANCED FUND-A	0.00	2.22	0.00	2.22	15.0	0.33
	ACCOUNT #: 00084439788	BUY 0 Units @0.0000						
09/04/2018	***-**-1433 - ANDERSON, NANCY	AMERICAN BALANCED FUND-A	0.00	2.71	0.00	2.71	15.0	0.41
	ACCOUNT #: 00085338654	BUY 0 Units @0.0000						
09/04/2018	***-**-0229 - VINCENT, JOSEPH	AMERICAN BALANCED FUND-A	0.00	2.07	0.00	2.07	15.0	0.31
	ACCOUNT #: 00086823451	BUY 0 Units @0.0000						
09/04/2018	***-**-2509 - CLARK, GABRIELLE	AMERICAN BALANCED FUND-A	0.00	0.32	0.00	0.32	15.0	0.05
	ACCOUNT #: 00087536824	BUY 0 Units @0.0000						



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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: JAMES LOMBARDO (continued)</u></b>								
09/04/2018	***-**-3040 - KOTARY, BRANDY	AMERICAN BALANCED FUND-A	0.00	1.23	0.00	1.23	15.0	0.18
	ACCOUNT #: 00087642268	BUY 0 Units @0.0000						
09/04/2018	***-**-4238 - STRASSER, JOANN	AMERICAN BALANCED FUND-A	0.00	3.02	0.00	3.02	15.0	0.45
	ACCOUNT #: 00087697498	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	0.00	1.34	0.00	1.34	15.0	0.20
	ACCOUNT #: 00088153955	BUY 0 Units @0.0000						
09/04/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	0.00	0.73	0.00	0.73	15.0	0.11
	ACCOUNT #: 04000460394	BUY 0 Units @0.0000						
09/04/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	0.00	0.86	0.00	0.86	15.0	0.13
	ACCOUNT #: 04000460402	BUY 0 Units @0.0000						
09/04/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	0.00	19.32	0.00	19.32	15.0	2.90
	ACCOUNT #: 00089228818	BUY 0 Units @0.0000						
09/04/2018	***-**-8238 - ASMUS, MICHAEL	AMERICAN BALANCED FUND-A	0.00	13.68	0.00	13.68	15.0	2.05
	ACCOUNT #: 00074487927	BUY 0 Units @0.0000						
09/04/2018	***-**-4165 - EICHHORN,	AMERICAN BALANCED FUND-A	0.00	9.20	0.00	9.20	15.0	1.38
	ACCOUNT #: 00075441363	BUY 0 Units @0.0000						
09/04/2018	***-**-7241 - LENIHAN IRR	AMERICAN BALANCED FUND-A	0.00	44.06	0.00	44.06	15.0	6.61
	ACCOUNT #: 00084513371	BUY 0 Units @0.0000						
09/04/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	0.00	5.53	0.00	5.53	15.0	0.83
	ACCOUNT #: 00087068370	BUY 0 Units @0.0000						
09/04/2018	***-**-9313 - DONNELLY, SUSAN	AMERICAN BALANCED FUND-A	0.00	12.14	0.00	12.14	15.0	1.82
	ACCOUNT #: 00088156132	BUY 0 Units @0.0000						
09/04/2018	***-**-2056 - DONNELLY,	AMERICAN BALANCED FUND-A	0.00	12.04	0.00	12.04	15.0	1.81
	ACCOUNT #: 00088230744	BUY 0 Units @0.0000						
09/04/2018	***-**-0147 - RIZZO, JAMES	AMERICAN BALANCED FUND-A	0.00	22.37	0.00	22.37	15.0	3.36
	ACCOUNT #: 00088432565	BUY 0 Units @0.0000						
09/04/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	0.00	8.05	0.00	8.05	15.0	1.21
	ACCOUNT #: 00089216358	BUY 0 Units @0.0000						
09/04/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	0.00	3.57	0.00	3.57	15.0	0.54
	ACCOUNT #: 00089665845	BUY 0 Units @0.0000						
09/04/2018	***-**-2704 - DOBRANSKY, ALAN	AMERICAN BALANCED FUND-A	0.00	4.60	0.00	4.60	15.0	0.69
	ACCOUNT #: 00089978644	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: JAMES LOMBARDO (continued)</u></b>								
09/12/2018	***-**-2885 - BISHOP, DAVID	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00068915116	BUY 2 Units @29.0500						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN HIGH-INCOME TRUST-A	0.00	3.68	0.00	3.68	15.0	0.55
	ACCOUNT #: 00082295499	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN HIGH-INCOME TRUST-A	0.00	0.88	0.00	0.88	15.0	0.13
	ACCOUNT #: 00083468095	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN HIGH-INCOME TRUST-A	0.00	0.68	0.00	0.68	15.0	0.10
	ACCOUNT #: 00084623430	BUY 0 Units @0.0000						
09/04/2018	***-**-5885 - HEPLER, MAY	AMERICAN HIGH-INCOME TRUST-A	0.00	1.01	0.00	1.01	15.0	0.15
	ACCOUNT #: 00084623446	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN HIGH-INCOME TRUST-A	0.00	1.38	0.00	1.38	15.0	0.21
	ACCOUNT #: 00086934940	BUY 0 Units @0.0000						
09/04/2018	***-**-7067 - SMITH, CAROL	AMERICAN MUTUAL FUND-A	0.00	1.21	0.00	1.21	15.0	0.18
	ACCOUNT #: 00073595941	BUY 0 Units @0.0000						
09/04/2018	***-**-2095 - MARONEY, ROBERT	AMERICAN MUTUAL FUND-A	0.00	7.65	0.00	7.65	15.0	1.15
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						
09/04/2018	***-**-3510 - GUGINO, ROBIN	AMERICAN MUTUAL FUND-A	0.00	3.39	0.00	3.39	15.0	0.51
	ACCOUNT #: 00075079307	BUY 0 Units @0.0000						
09/04/2018	***-**-1760 - MAJORS, JANET	AMERICAN MUTUAL FUND-A	0.00	2.79	0.00	2.79	15.0	0.42
	ACCOUNT #: 00075488556	BUY 0 Units @0.0000						
09/04/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN MUTUAL FUND-A	0.00	7.47	0.00	7.47	15.0	1.12
	ACCOUNT #: 00081315892	BUY 0 Units @0.0000						
09/04/2018	***-**-13CL - BERG, C, CLIENTS	AMERICAN MUTUAL FUND-A	0.00	4.57	0.00	4.57	15.0	0.69
	ACCOUNT #: 00081534780	BUY 0 Units @0.0000						
09/04/2018	***-**-5484 - KULCZYNSKI,	AMERICAN MUTUAL FUND-A	0.00	2.58	0.00	2.58	15.0	0.39
	ACCOUNT #: 00081538281	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN MUTUAL FUND-A	0.00	3.63	0.00	3.63	15.0	0.54
	ACCOUNT #: 00082229843	BUY 0 Units @0.0000						
09/04/2018	***-**-9208 - COLUCCIO, MARY	AMERICAN MUTUAL FUND-A	0.00	17.01	0.00	17.01	15.0	2.55
	ACCOUNT #: 00060551224	BUY 0 Units @0.0000						
09/04/2018	***-**-4165 - EICHHORN,	AMERICAN MUTUAL FUND-A	0.00	1.94	0.00	1.94	15.0	0.29
	ACCOUNT #: 00075441363	BUY 0 Units @0.0000						



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ANDREW KALINOWSKI  
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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: JAMES LOMBARDO (continued)</u></b>								
09/04/2018	***-**-2095 - MARONEY, ROBERT	CAPITAL INCOME BUILDER-A	0.00	14.13	0.00	14.13	15.0	2.12
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						
09/04/2018	***-**-3510 - GUGINO, ROBIN	CAPITAL INCOME BUILDER-A	0.00	5.37	0.00	5.37	15.0	0.81
	ACCOUNT #: 00075079307	BUY 0 Units @0.0000						
09/04/2018	***-**-1760 - MAJORS, JANET	CAPITAL INCOME BUILDER-A	0.00	3.18	0.00	3.18	15.0	0.48
	ACCOUNT #: 00075488556	BUY 0 Units @0.0000						
09/04/2018	***-**-13CL - BERG, C, CLIENTS	CAPITAL INCOME BUILDER-A	0.00	8.78	0.00	8.78	15.0	1.32
	ACCOUNT #: 00081534780	BUY 0 Units @0.0000						
09/04/2018	***-**-5484 - KULCZYNSKI,	CAPITAL INCOME BUILDER-A	0.00	7.16	0.00	7.16	15.0	1.07
	ACCOUNT #: 00081538281	BUY 0 Units @0.0000						
09/04/2018	***-**-6403 - GARGUILO, JU	CAPITAL INCOME BUILDER-A	0.00	10.63	0.00	10.63	15.0	1.59
	ACCOUNT #: 00084100700	BUY 0 Units @0.0000						
09/04/2018	***-**-8900 - MARTIN, JAMES	CAPITAL INCOME BUILDER-A	0.00	0.24	0.00	0.24	15.0	0.04
	ACCOUNT #: 00084439788	BUY 0 Units @0.0000						
09/04/2018	***-**-78IR - LONGLAND, PAULA	CAPITAL INCOME BUILDER-A	0.00	9.51	0.00	9.51	15.0	1.43
	ACCOUNT #: 00086809974	BUY 0 Units @0.0000						
09/04/2018	***-**-7138 - KUHNAST, GELLENA	CAPITAL INCOME BUILDER-A	0.00	1.03	0.00	1.03	15.0	0.15
	ACCOUNT #: 00087360423	BUY 0 Units @0.0000						
09/04/2018	***-**-6948 - DIBBLE, MONTY	CAPITAL INCOME BUILDER-A	0.00	2.61	0.00	2.61	15.0	0.39
	ACCOUNT #: 00087557561	BUY 0 Units @0.0000						
09/04/2018	***-**-4165 - EICHHORN,	CAPITAL INCOME BUILDER-A	0.00	5.45	0.00	5.45	15.0	0.82
	ACCOUNT #: 00075441363	BUY 0 Units @0.0000						
09/04/2018	***-**-5925 - SANTA MARIA,	CAPITAL INCOME BUILDER-A	0.00	8.57	0.00	8.57	15.0	1.29
	ACCOUNT #: 00082083085	BUY 0 Units @0.0000						
09/04/2018	***-**-8806 - MABRY, REBECCA	CAPITAL INCOME BUILDER-A	0.00	8.14	0.00	8.14	15.0	1.22
	ACCOUNT #: 00082729374	BUY 0 Units @0.0000						
09/13/2018	***-**-8806 - MABRY, REBECCA	CAPITAL INCOME BUILDER-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00082729374	BUY 1 Units @62.8500						
09/04/2018	***-**-7138 - KUHNAST, GELLENA	CAPITAL WORLD BOND FUND-A	0.00	0.44	0.00	0.44	15.0	0.07
	ACCOUNT #: 00087360423	BUY 0 Units @0.0000						
09/04/2018	***-**-6948 - DIBBLE, MONTY	CAPITAL WORLD BOND FUND-A	0.00	1.29	0.00	1.29	15.0	0.19
	ACCOUNT #: 00087557561	BUY 0 Units @0.0000						



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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: JAMES LOMBARDO (continued)</u></b>								
09/04/2018	***-**-78IR - LONGLAND, PAULA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	4.00	0.00	4.00	15.0	0.60
	ACCOUNT #: 00086809974	BUY 0 Units @0.0000						
09/04/2018	***-**-7138 - KUHNAST, GELLENA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.99	0.00	0.99	15.0	0.15
	ACCOUNT #: 00087360423	BUY 0 Units @0.0000						
09/04/2018	***-**-6948 - DIBBLE, MONTY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.40	0.00	2.40	15.0	0.36
	ACCOUNT #: 00087557561	BUY 0 Units @0.0000						
09/04/2018	***-**-3040 - KOTARY, BRANDY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.78	0.00	0.78	15.0	0.12
	ACCOUNT #: 00087642268	BUY 0 Units @0.0000						
09/04/2018	***-**-4238 - STRASSER, JOANN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.93	0.00	2.93	15.0	0.44
	ACCOUNT #: 00087697498	BUY 0 Units @0.0000						
09/04/2018	***-**-4017 - BURKEY, FRED	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	6.70	0.00	6.70	15.0	1.01
	ACCOUNT #: 00075679652	BUY 0 Units @0.0000						
09/04/2018	***-**-7077 - MISERCOLA, DIANE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.47	0.00	2.47	15.0	0.37
	ACCOUNT #: 00082441411	BUY 0 Units @0.0000						
09/04/2018	***-**-0147 - RIZZO, JAMES	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	22.65	0.00	22.65	15.0	3.40
	ACCOUNT #: 00088432565	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	EUROPACIFIC GROWTH FUND-A	0.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 00082229843	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	EUROPACIFIC GROWTH FUND-A	0.00	3.82	0.00	3.82	15.0	0.57
	ACCOUNT #: 00083299252	BUY 0 Units @0.0000						
09/04/2018	***-**-78IR - LONGLAND, PAULA	EUROPACIFIC GROWTH FUND-A	0.00	1.79	0.00	1.79	15.0	0.27
	ACCOUNT #: 00086809974	BUY 0 Units @0.0000						
09/04/2018	***-**-8806 - MABRY, REBECCA	EUROPACIFIC GROWTH FUND-A	0.00	8.50	0.00	8.50	15.0	1.28
	ACCOUNT #: 00082729374	BUY 0 Units @0.0000						
09/13/2018	***-**-8806 - MABRY, REBECCA	EUROPACIFIC GROWTH FUND-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00082729374	BUY 1 Units @54.5000						
09/04/2018	***-**-2885 - BISHOP, DAVID	FUNDAMENTAL INVESTORS-A	0.00	4.58	0.00	4.58	15.0	0.69
	ACCOUNT #: 00068915116	BUY 0 Units @0.0000						
09/04/2018	***-**-7067 - SMITH, CAROL	FUNDAMENTAL INVESTORS-A	0.00	3.86	0.00	3.86	15.0	0.58
	ACCOUNT #: 00073595941	BUY 0 Units @0.0000						
09/04/2018	***-**-2095 - MARONEY, ROBERT	FUNDAMENTAL INVESTORS-A	0.00	9.65	0.00	9.65	15.0	1.45
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: JAMES LOMBARDO (continued)</u></b>								
09/04/2018	***-**-3510 - GUGINO, ROBIN	FUNDAMENTAL INVESTORS-A	0.00	4.07	0.00	4.07	15.0	0.61
	ACCOUNT #: 00075079307	BUY 0 Units @0.0000						
09/04/2018	***-**-1760 - MAJORS, JANET	FUNDAMENTAL INVESTORS-A	0.00	5.65	0.00	5.65	15.0	0.85
	ACCOUNT #: 00075488556	BUY 0 Units @0.0000						
09/04/2018	***-**-2608 - GIAMAS, GREGORY	FUNDAMENTAL INVESTORS-A	0.00	8.36	0.00	8.36	15.0	1.25
	ACCOUNT #: 00081315892	BUY 0 Units @0.0000						
09/04/2018	***-**-13CL - BERG, C, CLIENTS	FUNDAMENTAL INVESTORS-A	0.00	3.00	0.00	3.00	15.0	0.45
	ACCOUNT #: 00081534780	BUY 0 Units @0.0000						
09/04/2018	***-**-5484 - KULCZYNSKI,	FUNDAMENTAL INVESTORS-A	0.00	2.32	0.00	2.32	15.0	0.35
	ACCOUNT #: 00081538281	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	FUNDAMENTAL INVESTORS-A	0.00	5.44	0.00	5.44	15.0	0.82
	ACCOUNT #: 00083299252	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	FUNDAMENTAL INVESTORS-A	0.00	2.25	0.00	2.25	15.0	0.34
	ACCOUNT #: 00083468095	BUY 0 Units @0.0000						
09/04/2018	***-**-8900 - MARTIN, JAMES	FUNDAMENTAL INVESTORS-A	0.00	0.77	0.00	0.77	15.0	0.12
	ACCOUNT #: 00084439788	BUY 0 Units @0.0000						
09/04/2018	***-**-1433 - ANDERSON, NANCY	FUNDAMENTAL INVESTORS-A	0.00	1.78	0.00	1.78	15.0	0.27
	ACCOUNT #: 00085338654	BUY 0 Units @0.0000						
09/04/2018	***-**-4165 - EICHHORN,	FUNDAMENTAL INVESTORS-A	0.00	1.28	0.00	1.28	15.0	0.19
	ACCOUNT #: 00075441363	BUY 0 Units @0.0000						
09/04/2018	***-**-4017 - BURKEY, FRED	FUNDAMENTAL INVESTORS-A	0.00	4.20	0.00	4.20	15.0	0.63
	ACCOUNT #: 00075679652	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	FUNDAMENTAL INVESTORS-A	0.00	2.10	0.00	2.10	15.0	0.32
	ACCOUNT #: 00086934940	BUY 0 Units @0.0000						
09/12/2018	***-**-2885 - BISHOP, DAVID	FUNDAMENTAL INVESTORS-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00068915116	BUY 1 Units @67.5000						
09/05/2018	***-**-0683 - DAVIS, SHARON	HARTFORD INFLATION PLUS FUND CLASS	0.00	19.63	0.00	19.63	15.0	2.94
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
09/04/2018	***-**-2608 - GIAMAS, GREGORY	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	1.59	0.00	1.59	15.0	0.24
	ACCOUNT #: 00081315892	BUY 0 Units @0.0000						
09/04/2018	***-**-7241 - LENIHAN IRR	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	20.47	0.00	20.47	15.0	3.07
	ACCOUNT #: 00084513371	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: JAMES LOMBARDO (continued)</u></b>								
09/04/2018	***-**-2885 - BISHOP, DAVID	NEW PERSPECTIVE FUND-A	0.00	8.86	0.00	8.86	15.0	1.33
	ACCOUNT #: 00068915116	BUY 0 Units @0.0000						
09/04/2018	***-**-7067 - SMITH, CAROL	NEW PERSPECTIVE FUND-A	0.00	1.60	0.00	1.60	15.0	0.24
	ACCOUNT #: 00073595941	BUY 0 Units @0.0000						
09/04/2018	***-**-2095 - MARONEY, ROBERT	NEW PERSPECTIVE FUND-A	0.00	9.31	0.00	9.31	15.0	1.40
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						
09/04/2018	***-**-1760 - MAJORS, JANET	NEW PERSPECTIVE FUND-A	0.00	3.10	0.00	3.10	15.0	0.47
	ACCOUNT #: 00075488556	BUY 0 Units @0.0000						
09/04/2018	***-**-2608 - GIAMAS, GREGORY	NEW PERSPECTIVE FUND-A	0.00	7.97	0.00	7.97	15.0	1.20
	ACCOUNT #: 00081315892	BUY 0 Units @0.0000						
09/04/2018	***-**-13CL - BERG, C, CLIENTS	NEW PERSPECTIVE FUND-A	0.00	2.41	0.00	2.41	15.0	0.36
	ACCOUNT #: 00081534780	BUY 0 Units @0.0000						
09/04/2018	***-**-5484 - KULCZYNSKI,	NEW PERSPECTIVE FUND-A	0.00	3.26	0.00	3.26	15.0	0.49
	ACCOUNT #: 00081538281	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	NEW PERSPECTIVE FUND-A	0.00	3.59	0.00	3.59	15.0	0.54
	ACCOUNT #: 00082229843	BUY 0 Units @0.0000						
09/04/2018	***-**-3040 - KOTARY, BRANDY	NEW PERSPECTIVE FUND-A	0.00	1.12	0.00	1.12	15.0	0.17
	ACCOUNT #: 00087642268	BUY 0 Units @0.0000						
09/04/2018	***-**-4238 - STRASSER, JOANN	NEW PERSPECTIVE FUND-A	0.00	1.95	0.00	1.95	15.0	0.29
	ACCOUNT #: 00087697498	BUY 0 Units @0.0000						
09/04/2018	***-**-4165 - EICHHORN,	NEW PERSPECTIVE FUND-A	0.00	2.14	0.00	2.14	15.0	0.32
	ACCOUNT #: 00075441363	BUY 0 Units @0.0000						
09/12/2018	***-**-2885 - BISHOP, DAVID	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00068915116	BUY 1 Units @48.2400						
09/04/2018	***-**-4017 - BURKEY, FRED	NEW WORLD FUND-A	0.00	1.59	0.00	1.59	15.0	0.24
	ACCOUNT #: 00075679652	BUY 0 Units @0.0000						
09/04/2018	***-**-2323 - BOLTON, DIANE	THE BOND FUND OF AMERICA-A	0.00	0.61	0.00	0.61	15.0	0.09
	ACCOUNT #: 00073510289	BUY 0 Units @0.0000						
09/04/2018	***-**-2095 - MARONEY, ROBERT	THE BOND FUND OF AMERICA-A	0.00	1.66	0.00	1.66	15.0	0.25
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						
09/04/2018	***-**-3510 - GUGINO, ROBIN	THE BOND FUND OF AMERICA-A	0.00	1.14	0.00	1.14	15.0	0.17
	ACCOUNT #: 00075079307	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: JAMES LOMBARDO (continued)</u></b>								
09/04/2018	***-**-1760 - MAJORS, JANET ACCOUNT #: 00075488556	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.90	0.00	0.90	15.0	0.14
09/04/2018	***-**-5484 - KULCZYNSKI, ACCOUNT #: 00081538281	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.91	0.00	3.91	15.0	0.59
09/04/2018	***-**-9134 - DARROW, DWIGHT ACCOUNT #: 00081787398	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.42	0.00	3.42	15.0	0.51
09/04/2018	***-**-4982 - UPDEGROVE, ALMA ACCOUNT #: 00081820793	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	23.59	0.00	23.59	15.0	3.54
09/04/2018	***-**-98CL - ACOSTA, CLIENTS ACCOUNT #: 00082229843	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.90	0.00	1.90	15.0	0.29
09/04/2018	***-**-6802 - NAKANO, AMELIA ACCOUNT #: 00082853395	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.86	0.00	3.86	15.0	0.58
09/04/2018	***-**-98CL - ACOSTA, CLIENTS ACCOUNT #: 00083468095	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.70	0.00	0.70	15.0	0.11
09/04/2018	***-**-8900 - MARTIN, JAMES ACCOUNT #: 00084439788	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.44	0.00	0.44	15.0	0.07
09/04/2018	***-**-98CL - ACOSTA, CLIENTS ACCOUNT #: 00084623430	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	15.0	0.15
09/04/2018	***-**-5885 - HEPLER, MAY ACCOUNT #: 00084623446	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.31	0.00	1.31	15.0	0.20
09/04/2018	***-**-1433 - ANDERSON, NANCY ACCOUNT #: 00085338654	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.71	0.00	0.71	15.0	0.11
09/04/2018	***-**-78IR - LONGLAND, PAULA ACCOUNT #: 00086809974	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.19	0.00	2.19	15.0	0.33
09/04/2018	***-**-3040 - KOTARY, BRANDY ACCOUNT #: 00087642268	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.59	0.00	1.59	15.0	0.24
09/04/2018	***-**-4238 - STRASSER, JOANN ACCOUNT #: 00087697498	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	15.0	0.21
09/04/2018	***-**-6759 - TARANTINO, GARY ACCOUNT #: 00089449406	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.62	0.00	0.62	15.0	0.09
09/04/2018	***-**-9727 - GATES, DOROTHY ACCOUNT #: 04000215167	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.63	0.00	0.63	15.0	0.09





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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: JAMES LOMBARDO (continued)</u> </b>								
09/04/2018	***-**-9208 - COLUCCIO, MARY	THE BOND FUND OF AMERICA-A	0.00	7.35	0.00	7.35	15.0	1.10
	ACCOUNT #: 00060551224	BUY 0 Units @0.0000						
09/04/2018	***-**-4165 - EICHORN,	THE BOND FUND OF AMERICA-A	0.00	5.86	0.00	5.86	15.0	0.88
	ACCOUNT #: 00075441363	BUY 0 Units @0.0000						
09/04/2018	***-**-5925 - SANTA MARIA,	THE BOND FUND OF AMERICA-A	0.00	4.82	0.00	4.82	15.0	0.72
	ACCOUNT #: 00082083085	BUY 0 Units @0.0000						
09/04/2018	***-**-8806 - MABRY, REBECCA	THE BOND FUND OF AMERICA-A	0.00	6.68	0.00	6.68	15.0	1.00
	ACCOUNT #: 00082729374	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	THE BOND FUND OF AMERICA-A	0.00	5.00	0.00	5.00	15.0	0.75
	ACCOUNT #: 00086934940	BUY 0 Units @0.0000						
09/04/2018	***-**-2885 - BISHOP, DAVID	THE GROWTH FUND OF AMERICA-A	0.00	8.26	0.00	8.26	15.0	1.24
	ACCOUNT #: 00068915116	BUY 0 Units @0.0000						
09/04/2018	***-**-7067 - SMITH, CAROL	THE GROWTH FUND OF AMERICA-A	0.00	4.37	0.00	4.37	15.0	0.66
	ACCOUNT #: 00073595941	BUY 0 Units @0.0000						
09/04/2018	***-**-2095 - MARONEY, ROBERT	THE GROWTH FUND OF AMERICA-A	0.00	11.55	0.00	11.55	15.0	1.73
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						
09/04/2018	***-**-3510 - GUGINO, ROBIN	THE GROWTH FUND OF AMERICA-A	0.00	5.13	0.00	5.13	15.0	0.77
	ACCOUNT #: 00075079307	BUY 0 Units @0.0000						
09/04/2018	***-**-1760 - MAJORS, JANET	THE GROWTH FUND OF AMERICA-A	0.00	8.07	0.00	8.07	15.0	1.21
	ACCOUNT #: 00075488556	BUY 0 Units @0.0000						
09/04/2018	***-**-2608 - GIAMAS, GREGORY	THE GROWTH FUND OF AMERICA-A	0.00	9.64	0.00	9.64	15.0	1.45
	ACCOUNT #: 00081315892	BUY 0 Units @0.0000						
09/04/2018	***-**-13CL - BERG, C, CLIENTS	THE GROWTH FUND OF AMERICA-A	0.00	5.33	0.00	5.33	15.0	0.80
	ACCOUNT #: 00081534780	BUY 0 Units @0.0000						
09/04/2018	***-**-5484 - KULCZYNSKI,	THE GROWTH FUND OF AMERICA-A	0.00	3.50	0.00	3.50	15.0	0.53
	ACCOUNT #: 00081538281	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	THE GROWTH FUND OF AMERICA-A	0.00	5.77	0.00	5.77	15.0	0.87
	ACCOUNT #: 00082295499	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	THE GROWTH FUND OF AMERICA-A	0.00	5.82	0.00	5.82	15.0	0.87
	ACCOUNT #: 00083299252	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	THE GROWTH FUND OF AMERICA-A	0.00	2.30	0.00	2.30	15.0	0.35
	ACCOUNT #: 00083468095	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

## September 17, 2018

ANDREW KALINOWSKI  
400 West Metro Park  
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BROKER #: 20  
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: JAMES LOMBARDO (continued)</u></b>								
09/04/2018	***-**-8900 - MARTIN, JAMES	THE GROWTH FUND OF AMERICA-A	0.00	0.90	0.00	0.90	15.0	0.14
	ACCOUNT #: 00084439788	BUY 0 Units @0.0000						
09/04/2018	***-**-1433 - ANDERSON, NANCY	THE GROWTH FUND OF AMERICA-A	0.00	3.48	0.00	3.48	15.0	0.52
	ACCOUNT #: 00085338654	BUY 0 Units @0.0000						
09/04/2018	***-**-78IR - LONGLAND, PAULA	THE GROWTH FUND OF AMERICA-A	0.00	8.66	0.00	8.66	15.0	1.30
	ACCOUNT #: 00086809974	BUY 0 Units @0.0000						
09/04/2018	***-**-3586 - WOODWORTH,	THE GROWTH FUND OF AMERICA-A	0.00	6.67	0.00	6.67	15.0	1.00
	ACCOUNT #: 00086918983	BUY 0 Units @0.0000						
09/04/2018	***-**-7138 - KUHNAST, GELLENA	THE GROWTH FUND OF AMERICA-A	0.00	1.35	0.00	1.35	15.0	0.20
	ACCOUNT #: 00087360423	BUY 0 Units @0.0000						
09/04/2018	***-**-6948 - DIBBLE, MONTY	THE GROWTH FUND OF AMERICA-A	0.00	3.13	0.00	3.13	15.0	0.47
	ACCOUNT #: 00087557561	BUY 0 Units @0.0000						
09/04/2018	***-**-6759 - TARANTINO, GARY	THE GROWTH FUND OF AMERICA-A	0.00	1.50	0.00	1.50	15.0	0.23
	ACCOUNT #: 00089449406	BUY 0 Units @0.0000						
09/04/2018	***-**-4165 - EICHHORN,	THE GROWTH FUND OF AMERICA-A	0.00	6.34	0.00	6.34	15.0	0.95
	ACCOUNT #: 00075441363	BUY 0 Units @0.0000						
09/04/2018	***-**-4017 - BURKEY, FRED	THE GROWTH FUND OF AMERICA-A	0.00	3.99	0.00	3.99	15.0	0.60
	ACCOUNT #: 00075679652	BUY 0 Units @0.0000						
09/04/2018	***-**-2270 - DANGLER, GINA	THE GROWTH FUND OF AMERICA-A	0.00	0.81	0.00	0.81	15.0	0.12
	ACCOUNT #: 00082492694	BUY 0 Units @0.0000						
09/04/2018	***-**-1748 - LOMBARDO, JAMES	THE GROWTH FUND OF AMERICA-A	0.00	14.82	0.00	14.82	15.0	2.22
	ACCOUNT #: 00083088053	BUY 0 Units @0.0000						
09/04/2018	***-**-3618 - VAILE, STACEY	THE GROWTH FUND OF AMERICA-A	0.00	4.65	0.00	4.65	15.0	0.70
	ACCOUNT #: 00083933946	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	THE GROWTH FUND OF AMERICA-A	0.00	15.88	0.00	15.88	15.0	2.38
	ACCOUNT #: 00086934940	BUY 0 Units @0.0000						
09/04/2018	***-**-0147 - RIZZO, JAMES	THE GROWTH FUND OF AMERICA-A	0.00	33.29	0.00	33.29	15.0	4.99
	ACCOUNT #: 00088432565	BUY 0 Units @0.0000						
09/04/2018	***-**-1748 - LOMBARDO, JAMES	THE GROWTH FUND OF AMERICA-A	0.00	9.52	0.00	9.52	15.0	1.43
	ACCOUNT #: 00089665845	BUY 0 Units @0.0000						
09/10/2018	***-**-98CL - ACOSTA, CLIENTS	THE GROWTH FUND OF AMERICA-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00083299252	BUY 1 Units @58.1600						



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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: JAMES LOMBARDO (continued)</u></b>								
09/12/2018	***-**-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 @58.3100						
09/05/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD ADVISERS FUND-C	0.00	17.11	0.00	17.11	15.0	2.57
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
09/05/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	22.51	0.00	22.51	15.0	3.38
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
09/04/2018	***-**-2885 - BISHOP, DAVID	THE INCOME FUND OF AMERICA-A	0.00	4.69	0.00	4.69	15.0	0.70
	ACCOUNT #: 00068915116	BUY 0 Units @0.0000						
09/04/2018	***-**-7067 - SMITH, CAROL	THE INCOME FUND OF AMERICA-A	0.00	1.31	0.00	1.31	15.0	0.20
	ACCOUNT #: 00073595941	BUY 0 Units @0.0000						
09/04/2018	***-**-2095 - MARONEY, ROBERT	THE INCOME FUND OF AMERICA-A	0.00	15.28	0.00	15.28	15.0	2.29
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						
09/04/2018	***-**-3510 - GUGINO, ROBIN	THE INCOME FUND OF AMERICA-A	0.00	5.74	0.00	5.74	15.0	0.86
	ACCOUNT #: 00075079307	BUY 0 Units @0.0000						
09/04/2018	***-**-13CL - BERG, C, CLIENTS	THE INCOME FUND OF AMERICA-A	0.00	10.30	0.00	10.30	15.0	1.55
	ACCOUNT #: 00081534780	BUY 0 Units @0.0000						
09/04/2018	***-**-5484 - KULCZYNSKI,	THE INCOME FUND OF AMERICA-A	0.00	8.89	0.00	8.89	15.0	1.33
	ACCOUNT #: 00081538281	BUY 0 Units @0.0000						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	THE INCOME FUND OF AMERICA-A	0.00	4.05	0.00	4.05	15.0	0.61
	ACCOUNT #: 00082295499	BUY 0 Units @0.0000						
09/04/2018	***-**-6403 - GARGUILO, JU	THE INCOME FUND OF AMERICA-A	0.00	12.66	0.00	12.66	15.0	1.90
	ACCOUNT #: 00084100700	BUY 0 Units @0.0000						
09/04/2018	***-**-8900 - MARTIN, JAMES	THE INCOME FUND OF AMERICA-A	0.00	0.53	0.00	0.53	15.0	0.08
	ACCOUNT #: 00084439788	BUY 0 Units @0.0000						
09/04/2018	***-**-1433 - ANDERSON, NANCY	THE INCOME FUND OF AMERICA-A	0.00	0.40	0.00	0.40	15.0	0.06
	ACCOUNT #: 00085338654	BUY 0 Units @0.0000						
09/04/2018	***-**-4165 - EICHORN,	THE INCOME FUND OF AMERICA-A	0.00	6.26	0.00	6.26	15.0	0.94
	ACCOUNT #: 00075441363	BUY 0 Units @0.0000						
09/04/2018	***-**-5925 - SANTA MARIA,	THE INCOME FUND OF AMERICA-A	0.00	10.19	0.00	10.19	15.0	1.53
	ACCOUNT #: 00082083085	BUY 0 Units @0.0000						
09/04/2018	***-**-7077 - MISERCOLA, DIANE	THE INCOME FUND OF AMERICA-A	0.00	2.39	0.00	2.39	15.0	0.36
	ACCOUNT #: 00082441411	BUY 0 Units @0.0000						



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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: JAMES LOMBARDO (continued)</u></b>								
09/04/2018	***-**-5484 - KULCZYNSKI, ACCOUNT #: 00081538281	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	1.22	0.00	1.22	15.0	0.18
09/04/2018	***-**-7138 - KUHNAST, GELLENA ACCOUNT #: 00087360423	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	1.12	0.00	1.12	15.0	0.17
09/04/2018	***-**-5280 - KIRBY, JENNIFER ACCOUNT #: 00087401450	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	2.63	0.00	2.63	15.0	0.39
09/04/2018	***-**-6948 - DIBBLE, MONTY ACCOUNT #: 00087557561	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	2.73	0.00	2.73	15.0	0.41
09/04/2018	***-**-8238 - ASMUS, MICHAEL ACCOUNT #: 00074487927	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	28.34	0.00	28.34	15.0	4.25
09/04/2018	***-**-3510 - GUGINO, ROBIN ACCOUNT #: 00075079307	THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	4.62	0.00	4.62	15.0	0.69
09/04/2018	***-**-6802 - NAKANO, AMELIA ACCOUNT #: 00082853395	THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	8.06	0.00	8.06	15.0	1.21
09/04/2018	***-**-3586 - WOODWORTH, ACCOUNT #: 00086918983	THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	3.43	0.00	3.43	15.0	0.51
09/04/2018	***-**-7077 - MISERCOLA, DIANE ACCOUNT #: 00082441411	THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	3.46	0.00	3.46	15.0	0.52
09/04/2018	***-**-98CL - ACOSTA, CLIENTS ACCOUNT #: 00084623418	U.S. GOVERNMENT SECURITIES FUND CLA BUY 0 Units @0.0000	0.00	5.23	0.00	5.23	15.0	0.78
09/04/2018	***-**-98CL - ACOSTA, CLIENTS ACCOUNT #: 00084623430	U.S. GOVERNMENT SECURITIES FUND CLA BUY 0 Units @0.0000	0.00	10.24	0.00	10.24	15.0	1.54
09/04/2018	***-**-5885 - HEPLER, MAY ACCOUNT #: 00084623446	U.S. GOVERNMENT SECURITIES FUND CLA BUY 0 Units @0.0000	0.00	15.41	0.00	15.41	15.0	2.31
09/04/2018	***-**-9727 - GATES, DOROTHY ACCOUNT #: 04000215167	U.S. GOVERNMENT SECURITIES FUND CLA BUY 0 Units @0.0000	0.00	2.35	0.00	2.35	15.0	0.35
09/04/2018	***-**-1063 - DUSABLON, ANGELA ACCOUNT #: 00084530289	U.S. GOVERNMENT SECURITIES FUND CLA BUY 0 Units @0.0000	0.00	5.22	0.00	5.22	15.0	0.78
09/04/2018	***-**-3828 - DUSABLON, DANIEL ACCOUNT #: 00084530390	U.S. GOVERNMENT SECURITIES FUND CLA BUY 0 Units @0.0000	0.00	15.91	0.00	15.91	15.0	2.39
09/04/2018	***-**-2095 - MARONEY, ROBERT ACCOUNT #: 00074101227	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	6.36	0.00	6.36	15.0	0.95



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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: JAMES LOMBARDO (continued)</u> </b>								
09/04/2018	***-**-3510 - GUGINO, ROBIN ACCOUNT #: 00075079307	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	3.25	0.00	3.25	15.0	0.49
09/04/2018	***-**-1760 - MAJORS, JANET ACCOUNT #: 00075488556	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	1.15	0.00	1.15	15.0	0.17
09/04/2018	***-**-13CL - BERG, C, CLIENTS ACCOUNT #: 00081534780	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	3.36	0.00	3.36	15.0	0.50
09/04/2018	***-**-5484 - KULCZYNSKI, ACCOUNT #: 00081538281	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	2.80	0.00	2.80	15.0	0.42
09/04/2018	***-**-98CL - ACOSTA, CLIENTS ACCOUNT #: 00082295499	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	5.04	0.00	5.04	15.0	0.76
09/04/2018	***-**-6802 - NAKANO, AMELIA ACCOUNT #: 00082853395	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	6.75	0.00	6.75	15.0	1.01
09/04/2018	***-**-98CL - ACOSTA, CLIENTS ACCOUNT #: 00083299252	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	5.11	0.00	5.11	15.0	0.77
09/04/2018	***-**-78IR - LONGLAND, PAULA ACCOUNT #: 00086809974	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	14.73	0.00	14.73	15.0	2.21
09/04/2018	***-**-3586 - WOODWORTH, ACCOUNT #: 00086918983	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	2.81	0.00	2.81	15.0	0.42
09/04/2018	***-**-3040 - KOTARY, BRANDY ACCOUNT #: 00087642268	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	0.79	0.00	0.79	15.0	0.12
09/04/2018	***-**-4238 - STRASSER, JOANN ACCOUNT #: 00087697498	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	2.70	0.00	2.70	15.0	0.41
09/04/2018	***-**-4165 - EICHHORN, ACCOUNT #: 00075441363	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	6.73	0.00	6.73	15.0	1.01
09/04/2018	***-**-7077 - MISERCOLA, DIANE ACCOUNT #: 00082441411	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	2.86	0.00	2.86	15.0	0.43
09/04/2018	***-**-8806 - MABRY, REBECCA ACCOUNT #: 00082729374	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	11.45	0.00	11.45	15.0	1.72
09/10/2018	***-**-98CL - ACOSTA, CLIENTS ACCOUNT #: 00083299252	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @48.9400	50.00	2.13	0.00	2.13	15.0	0.32
<b> * JAMES LOMBARDO SUBTOTAL * </b>			<b>\$475.00</b>	<b>\$1,240.30</b>	<b>\$0.00</b>	<b>\$1,240.30</b>		<b>\$186.16</b>
<b> *** OVERRIDE TRANSACTIONS TOTAL *** </b>			<b>\$66,031.53</b>	<b>\$43,930.16</b>	<b>\$0.00</b>	<b>\$43,930.16</b>		<b>\$4,534.84</b>



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$2,092.18
						Split Transactions		\$0.00
						Override Transactions		\$4,534.84
						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		\$6,627.02
						Year-to-date Earnings		\$82,820.92