



COMMISSION STATEMENT

November 19, 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
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/15/2018	***-**-35IN - LIGHT AND POWER,	AMERICAN HIGH-INCOME TRUST-A	75.00	2.06	0.00	2.06	95.0	1.96
	ACCOUNT #: 00081655418	BUY 7 Units @10.3100						
11/15/2018	***-**-35IN - LIGHT AND POWER,	CAPITAL INCOME BUILDER-A	125.00	3.44	0.00	3.44	95.0	3.27
	ACCOUNT #: 00081655418	BUY 2 Units @60.7000						
11/15/2018	***-**-2256 - SPITZER, HERSHEL	CAPITAL INCOME BUILDER-A	87.50	2.41	0.00	2.41	95.0	2.29
	ACCOUNT #: 00083997024	BUY 1 Units @60.7000						
11/15/2018	***-**-2256 - SPITZER, HERSHEL	EUROPACIFIC GROWTH FUND-A	87.50	2.41	0.00	2.41	95.0	2.29
	ACCOUNT #: 00083997024	BUY 2 Units @50.4600						
11/15/2018	***-**-2256 - SPITZER, HERSHEL	FUNDAMENTAL INVESTORS-A	137.50	3.78	0.00	3.78	95.0	3.59
	ACCOUNT #: 00083997024	BUY 2 Units @63.3900						
11/15/2018	***-**-2256 - SPITZER, HERSHEL	NEW PERSPECTIVE FUND-A	137.50	3.78	0.00	3.78	95.0	3.59
	ACCOUNT #: 00083997024	BUY 3 Units @44.3700						
11/15/2018	***-**-35IN - LIGHT AND POWER,	THE INCOME FUND OF AMERICA-A	150.00	4.13	0.00	4.13	95.0	3.92
	ACCOUNT #: 00081655418	BUY 6 Units @23.3900						
* MUTUAL FUNDS SUBTOTAL *			\$800.00	\$22.01	\$0.00	\$22.01		\$20.91
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
11/08/2018	***-**-60CL - KALINOWSKI,	LINCOLN 008148728	54.29	1.09	0.00	1.09	95.0	1.04
	ACCOUNT #: F1525479	BUY 0 Units @0.0000						
11/15/2018	***-**-8367 - RAGUSO, PAMELA	PRUDENTIAL VA TRAILS 74429P110	100.00	6.00	0.00	6.00	95.0	5.70
	ACCOUNT #: E1470506	BUY 0 Units @0.0000						
11/05/2018	***-**-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						
* VARIABLE ANNUITIES SUBTOTAL *			\$254.29	\$7.09	\$0.00	\$7.09		\$6.74
<u>PRODUCT CATEGORY: 529 PLAN</u>								
10/29/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 01429492687	BUY 2 Units @25.2700						
11/01/2018	***-**-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 @26.3600						
11/01/2018	***-**-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 @26.3600						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: 529 PLAN (continued)								
11/01/2018	***-**-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 @26.3600						
		* 529 PLAN SUBTOTAL *	\$200.00	\$2.00	\$0.00	\$2.00		\$1.92
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
10/19/2018	***-**-68IN - WARNER, JANET	AMCAP FUND-F1	0.00	0.91	0.00	0.91	95.0	0.86
	ACCOUNT #: LSR010222	BUY 1 Units @0.0000						
10/19/2018	***-**-6468 - WARNER, JANET	AMCAP FUND-F1	0.00	0.72	0.00	0.72	95.0	0.68
	ACCOUNT #: LSR010223	BUY 1 Units @0.0000						
10/19/2018	***-**-007J - SMITH, WILLIAM	AMERICAN BALANCED FUND-A	0.00	0.12	0.00	0.12	95.0	0.11
	ACCOUNT #: LSR011603	BUY 1 Units @0.0000						
10/19/2018	***-**-20UT - SMITH UTMA VA,	AMERICAN BALANCED FUND-A	0.00	0.98	0.00	0.98	95.0	0.93
	ACCOUNT #: LSR011604	BUY 1 Units @0.0000						
10/19/2018	***-**-38IO - GRAHAM	AMERICAN GLOBAL BALANCED CLASS A	0.00	1.62	0.00	1.62	95.0	1.54
	ACCOUNT #: LSR005428	BUY 1 Units @0.0000						
10/19/2018	***-**-950I - JENKINS, JOHN	AMERICAN GLOBAL BALANCED CLASS A	0.00	1.70	0.00	1.70	95.0	1.62
	ACCOUNT #: LSR011619	BUY 1 Units @0.0000						
10/19/2018	***-**-149I - JENKINS, BARBARA	AMERICAN GLOBAL BALANCED CLASS A	0.00	1.74	0.00	1.74	95.0	1.65
	ACCOUNT #: LSR011620	BUY 1 Units @0.0000						
11/02/2018	***-**-647J - HOOD IV,	CAPITAL GROWTH FUND A	0.00	2.99	0.00	2.99	95.0	2.84
	ACCOUNT #: 00519286739	BUY 0 Units @0.0000						
10/19/2018	***-**-22IN - SAUTTER, TERRIE	CAPITAL INCOME BUILDER-A	0.00	6.04	0.00	6.04	95.0	5.74
	ACCOUNT #: LSR011302	BUY 1 Units @0.0000						
10/19/2018	***-**-950I - JENKINS, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.03	0.00	1.03	95.0	0.98
	ACCOUNT #: LSR011619	BUY 1 Units @0.0000						
10/19/2018	***-**-149I - JENKINS, BARBARA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.06	0.00	1.06	95.0	1.01
	ACCOUNT #: LSR011620	BUY 1 Units @0.0000						
10/19/2018	***-**-68IN - WARNER, JANET	CAPITAL WORLD GROWTH AND INCOME-F1	0.00	0.49	0.00	0.49	95.0	0.47
	ACCOUNT #: LSR010222	BUY 1 Units @0.0000						
10/19/2018	***-**-6468 - WARNER, JANET	CAPITAL WORLD GROWTH AND INCOME-F1	0.00	0.47	0.00	0.47	95.0	0.45
	ACCOUNT #: LSR010223	BUY 1 Units @0.0000						
11/19/2018	***-**-00IN - NIELSEN, JEFFREY	DELAWARE MF TRAILS	0.00	12.02	0.00	12.02	95.0	11.42
	ACCOUNT #: 06000305476	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
11/19/2018	***-**-175I - CURNS, DANIEL	DELAWARE MF TRAILS	0.00	0.53	0.00	0.53	95.0	0.50
	ACCOUNT #: 05164473846	BUY 0 Units @0.0000						
11/19/2018	***-**-552I - TODD, MARY	DELAWARE MF TRAILS	0.00	0.81	0.00	0.81	95.0	0.77
	ACCOUNT #: 5014398821	BUY 0 Units @0.0000						
11/19/2018	***-**-2275 - LAMANNA, LISA M	DELAWARE MF TRAILS	0.00	3.26	0.00	3.26	95.0	3.10
	ACCOUNT #: 5014574054	BUY 0 Units @0.0000						
11/07/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 COLLEGE PORT-CL C	0.00	2.76	0.00	2.76	95.0	2.62
	ACCOUNT #: 00625374335	BUY 0 Units @0.0000						
11/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	2.85	0.00	2.85	95.0	2.71
	ACCOUNT #: 00625264015	BUY 0 Units @0.0000						
11/07/2018	***-**-2326 - SILLS, MICHAEL	FA 529 NEW INSIGHTS PORT-CL A	0.00	0.69	0.00	0.69	95.0	0.66
	ACCOUNT #: 00625388988	BUY 0 Units @0.0000						
11/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	5.10	0.00	5.10	95.0	4.85
	ACCOUNT #: 01429492661	BUY 0 Units @0.0000						
11/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	3.66	0.00	3.66	95.0	3.48
	ACCOUNT #: 01429492687	BUY 0 Units @0.0000						
11/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	2.18	0.00	2.18	95.0	2.07
	ACCOUNT #: 01438811646	BUY 0 Units @0.0000						
11/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	1.15	0.00	1.15	95.0	1.09
	ACCOUNT #: 01439435668	BUY 0 Units @0.0000						
11/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	2.03	0.00	2.03	95.0	1.93
	ACCOUNT #: 00625264015	BUY 0 Units @0.0000						
11/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	1.95	0.00	1.95	95.0	1.85
	ACCOUNT #: 01429492661	BUY 0 Units @0.0000						
11/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	2.10	0.00	2.10	95.0	2.00
	ACCOUNT #: 01429492687	BUY 0 Units @0.0000						
11/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	2.03	0.00	2.03	95.0	1.93
	ACCOUNT #: 01438811646	BUY 0 Units @0.0000						
11/07/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 PORT 2019-CL A	0.00	0.10	0.00	0.10	95.0	0.10
	ACCOUNT #: 00625374327	BUY 0 Units @0.0000						
11/07/2018	***-**-0054 - OSCHMANN, PAMELA	FA 529 PORT 2028-CL A	0.00	0.17	0.00	0.17	95.0	0.16
	ACCOUNT #: 03900243724	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
11/07/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV DIVIDEND GROWTH FD CL	0.00	2.12	0.00	2.12	95.0	2.01
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
11/07/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV EMERGING ASIA FUND CL	0.00	3.27	0.00	3.27	95.0	3.11
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
11/07/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADV EMERGING MKTS CL A	0.00	1.22	0.00	1.22	95.0	1.16
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						
11/07/2018	***-**-26IR - SILLS, MICHAEL	FIDELITY ADV EMERGING MKTS CL A	0.00	0.22	0.00	0.22	95.0	0.21
	ACCOUNT #: 01440241196	BUY 0 Units @0.0000						
11/07/2018	***-**-305P - DI MARCO,	FIDELITY ADV EMERGING MKTS-CL C	0.00	2.48	0.00	2.48	95.0	2.36
	ACCOUNT #: 00701854093	BUY 0 Units @0.0000						
11/07/2018	***-**-4567 - HOWIE, GORDON	FIDELITY ADV EMERGING MKTS-CL C	0.00	1.99	0.00	1.99	95.0	1.89
	ACCOUNT #: 00704021278	BUY 0 Units @0.0000						
11/07/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV EMERGING MKTS-CL C	0.00	0.54	0.00	0.54	95.0	0.51
	ACCOUNT #: 00704021286	BUY 0 Units @0.0000						
11/07/2018	***-**-806I - MARYJANOWSKI,	FIDELITY ADV EMERGING MKTS-CL C	0.00	0.10	0.00	0.10	95.0	0.10
	ACCOUNT #: 00704164920	BUY 0 Units @0.0000						
11/07/2018	***-**-248I - STAAB, DONNA	FIDELITY ADV EMERGING MKTS-CL C	0.00	2.10	0.00	2.10	95.0	2.00
	ACCOUNT #: 00704192111	BUY 0 Units @0.0000						
11/07/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV EMERGING MKTS-CL C	0.00	0.32	0.00	0.32	95.0	0.30
	ACCOUNT #: 00704224948	BUY 0 Units @0.0000						
11/07/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV EQUITY GROWTH CL A	0.00	2.06	0.00	2.06	95.0	1.96
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
11/07/2018	***-**-7153 - MENARD, MICHAEL	FIDELITY ADV EQUITY GROWTH CL T	0.00	96.34	0.00	96.34	95.0	91.52
	ACCOUNT #: 00009008138	BUY 0 Units @0.0000						
11/07/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV GLOBAL CAP APP-CL C	0.00	4.21	0.00	4.21	95.0	4.00
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
11/07/2018	***-**-0730 - TANCK, LISA	FIDELITY ADV GROWTH & INCOME CL C	0.00	10.24	0.00	10.24	95.0	9.73
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
11/07/2018	***-**-215I - HILL, ROBERT	FIDELITY ADV HEALTH CARE CL C	0.00	11.26	0.00	11.26	95.0	10.70
	ACCOUNT #: 00655371573	BUY 0 Units @0.0000						
11/07/2018	***-**-540I - DEGNAN, SUSAN	FIDELITY ADV HEALTH CARE CL C	0.00	3.51	0.00	3.51	95.0	3.33
	ACCOUNT #: 01483840300	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
11/07/2018	***-**-8490 - ALLYN, ANN	FIDELITY ADV HIGH INCOME ADVANTAGE	0.00	0.03	0.00	0.03	95.0	0.03
	ACCOUNT #: 00009045530	BUY 0 Units @0.0000						
11/07/2018	***-**-6747 - LAKE, DAVID	FIDELITY ADV INTL CAPITAL APP CL C	0.00	1.42	0.00	1.42	95.0	1.35
	ACCOUNT #: 00655990968	BUY 0 Units @0.0000						
11/07/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	0.89	0.00	0.89	95.0	0.85
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						
11/07/2018	***-**-806I - MARYJANOWSKI,	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	0.52	0.00	0.52	95.0	0.49
	ACCOUNT #: 00704164920	BUY 0 Units @0.0000						
11/07/2018	***-**-248I - STAAB, DONNA	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	3.43	0.00	3.43	95.0	3.26
	ACCOUNT #: 00704192111	BUY 0 Units @0.0000						
11/07/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	0.78	0.00	0.78	95.0	0.74
	ACCOUNT #: 00704224948	BUY 0 Units @0.0000						
11/07/2018	***-**-423I -	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	1.77	0.00	1.77	95.0	1.68
	ACCOUNT #: 00625454525	BUY 0 Units @0.0000						
11/07/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	1.77	0.00	1.77	95.0	1.68
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						
11/07/2018	***-**-586I - BACH, LINDA	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	2.47	0.00	2.47	95.0	2.35
	ACCOUNT #: 01447589845	BUY 0 Units @0.0000						
11/07/2018	***-**-3750 - RAY, CHRISTIAN	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	1.13	0.00	1.13	95.0	1.07
	ACCOUNT #: 01459576656	BUY 0 Units @0.0000						
11/07/2018	***-**-0887 - RAY, JONATHAN	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	1.13	0.00	1.13	95.0	1.07
	ACCOUNT #: 01459576698	BUY 0 Units @0.0000						
11/07/2018	***-**-92CL - HAWRYLIAK,	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	10.30	0.00	10.30	95.0	9.79
	ACCOUNT #: 01477333049	BUY 0 Units @0.0000						
11/07/2018	***-**-677I - SADLER, MICHAEL	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	7.67	0.00	7.67	95.0	7.29
	ACCOUNT #: 01432592572	BUY 0 Units @0.0000						
11/07/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	16.30	0.00	16.30	95.0	15.49
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
11/07/2018	***-**-0730 - TANCK, LISA	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	12.46	0.00	12.46	95.0	11.84
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
11/07/2018	***-**-72IN - HERTZEL, GERALD	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	15.10	0.00	15.10	95.0	14.35
	ACCOUNT #: 00704765932	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
11/07/2018	***-**-215I - HILL, ROBERT	FIDELITY ADV MID CAP CL C	0.00	0.05	0.00	0.05	95.0	0.05
	ACCOUNT #: 00655371573	BUY 0 Units @0.0000						
11/07/2018	***-**-9156 - KOLUPSKI, KIM	FIDELITY ADV MID CAP CL C	0.00	66.82	0.00	66.82	95.0	63.48
	ACCOUNT #: 00701046575	BUY 0 Units @0.0000						
11/07/2018	***-**-4567 - HOWIE, GORDON	FIDELITY ADV MID CAP II - CL C	0.00	10.19	0.00	10.19	95.0	9.68
	ACCOUNT #: 00704021278	BUY 0 Units @0.0000						
11/07/2018	***-**-806I - MARYJANOWSKI,	FIDELITY ADV MID CAP II - CL C	0.00	0.90	0.00	0.90	95.0	0.86
	ACCOUNT #: 00704164920	BUY 0 Units @0.0000						
11/07/2018	***-**-248I - STAAB, DONNA	FIDELITY ADV MID CAP II - CL C	0.00	15.42	0.00	15.42	95.0	14.65
	ACCOUNT #: 00704192111	BUY 0 Units @0.0000						
11/07/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV MID CAP II - CL C	0.00	0.53	0.00	0.53	95.0	0.50
	ACCOUNT #: 00704224948	BUY 0 Units @0.0000						
11/07/2018	***-**-403I - MILLER, DANIEL	FIDELITY ADV MID CAP II - CL C	0.00	4.29	0.00	4.29	95.0	4.08
	ACCOUNT #: 00704257047	BUY 0 Units @0.0000						
11/07/2018	***-**-9357 - MACKENZIE,	FIDELITY ADV MID CAP II - CL C	0.00	4.82	0.00	4.82	95.0	4.58
	ACCOUNT #: 00704417856	BUY 0 Units @0.0000						
11/07/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV MID CAP II - CL C	0.00	12.00	0.00	12.00	95.0	11.40
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
11/07/2018	***-**-72IN - HERTZEL, GERALD	FIDELITY ADV MID CAP II - CL C	0.00	21.98	0.00	21.98	95.0	20.88
	ACCOUNT #: 00704765932	BUY 0 Units @0.0000						
11/07/2018	***-**-31IN - O'DONNELL,	FIDELITY ADV MID CAP II - CL C	0.00	8.47	0.00	8.47	95.0	8.05
	ACCOUNT #: 00704828987	BUY 0 Units @0.0000						
11/07/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADV MID CAP II-CL A	0.00	1.61	0.00	1.61	95.0	1.53
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						
11/07/2018	***-**-586I - BACH, LINDA	FIDELITY ADV MID CAP II-CL A	0.00	7.87	0.00	7.87	95.0	7.48
	ACCOUNT #: 01447589845	BUY 0 Units @0.0000						
11/07/2018	***-**-3750 - RAY, CHRISTIAN	FIDELITY ADV MID CAP II-CL A	0.00	1.16	0.00	1.16	95.0	1.10
	ACCOUNT #: 01459576656	BUY 0 Units @0.0000						
11/07/2018	***-**-0887 - RAY, JONATHAN	FIDELITY ADV MID CAP II-CL A	0.00	1.16	0.00	1.16	95.0	1.10
	ACCOUNT #: 01459576698	BUY 0 Units @0.0000						
11/07/2018	***-**-92CL - HAWRYLIAK,	FIDELITY ADV MID CAP II-CL A	0.00	10.39	0.00	10.39	95.0	9.87
	ACCOUNT #: 01477333049	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
11/07/2018	***-**-9357 - MACKENZIE, ACCOUNT #: 07044928914	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	2.81	0.00	2.81	95.0	2.67
11/07/2018	***-**-423I - ACCOUNT #: 00625454525	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	7.23	0.00	7.23	95.0	6.87
11/07/2018	***-**-661I - LACY, KIMBERLY ACCOUNT #: 00704518646	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	0.29	0.00	0.29	95.0	0.28
11/07/2018	***-**-586I - BACH, LINDA ACCOUNT #: 01447589845	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	20.16	0.00	20.16	95.0	19.15
11/07/2018	***-**-3750 - RAY, CHRISTIAN ACCOUNT #: 01459576656	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	1.32	0.00	1.32	95.0	1.25
11/07/2018	***-**-0887 - RAY, JONATHAN ACCOUNT #: 01459576698	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	1.76	0.00	1.76	95.0	1.67
11/07/2018	***-**-92CL - HAWRYLIAK, ACCOUNT #: 01477333049	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	12.38	0.00	12.38	95.0	11.76
11/07/2018	***-**-9357 - MACKENZIE, ACCOUNT #: 07044928914	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	5.89	0.00	5.89	95.0	5.60
11/07/2018	***-**-0054 - OSCHMANN, PAMELA ACCOUNT #: 00700197569	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	12.99	0.00	12.99	95.0	12.34
10/19/2018	***-**-546J - MRS CANDICE ACCOUNT #: LSR010748	FIDELITY ADV NEW INSIGHTS-CL C BUY 1 Units @0.0000	0.00	2.75	0.00	2.75	95.0	2.61
11/07/2018	***-**-0178 - MILICH, SHELLEY ACCOUNT #: 00516849395	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	15.20	0.00	15.20	95.0	14.44
11/07/2018	***-**-9156 - KOLUPSKI, KIM ACCOUNT #: 00701046575	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	84.20	0.00	84.20	95.0	79.99
11/07/2018	***-**-996I - MARTIN, MICHAEL ACCOUNT #: 00701808818	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	2.79	0.00	2.79	95.0	2.65
11/07/2018	***-**-305P - DI MARCO, ACCOUNT #: 00701854093	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	30.72	0.00	30.72	95.0	29.18
11/07/2018	***-**-4567 - HOWIE, GORDON ACCOUNT #: 00704021278	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	23.43	0.00	23.43	95.0	22.26
11/07/2018	***-**-9194 - MARTIN, BRIAN ACCOUNT #: 00704021286	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	0.63	0.00	0.63	95.0	0.60



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
11/07/2018	***-**-0300 - LOGORY, DOUGLAS	FIDELITY ADV NEW INSIGHTS-CL C	0.00	4.51	0.00	4.51	95.0	4.28
	ACCOUNT #: 00704131911	BUY 0 Units @0.0000						
11/07/2018	***-**-806I - MARYJANOWSKI,	FIDELITY ADV NEW INSIGHTS-CL C	0.00	0.48	0.00	0.48	95.0	0.46
	ACCOUNT #: 00704164920	BUY 0 Units @0.0000						
11/07/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV NEW INSIGHTS-CL C	0.00	0.20	0.00	0.20	95.0	0.19
	ACCOUNT #: 00704224948	BUY 0 Units @0.0000						
11/07/2018	***-**-403I - MILLER, DANIEL	FIDELITY ADV NEW INSIGHTS-CL C	0.00	15.88	0.00	15.88	95.0	15.09
	ACCOUNT #: 00704257047	BUY 0 Units @0.0000						
11/07/2018	***-**-9357 - MACKENZIE,	FIDELITY ADV NEW INSIGHTS-CL C	0.00	6.75	0.00	6.75	95.0	6.41
	ACCOUNT #: 00704417856	BUY 0 Units @0.0000						
11/07/2018	***-**-792I - PUTNAM, CARL	FIDELITY ADV NEW INSIGHTS-CL C	0.00	0.17	0.00	0.17	95.0	0.16
	ACCOUNT #: 00704929348	BUY 0 Units @0.0000						
11/07/2018	***-**-677I - SADLER, MICHAEL	FIDELITY ADV NEW INSIGHTS-CL C	0.00	21.06	0.00	21.06	95.0	20.01
	ACCOUNT #: 01432592572	BUY 0 Units @0.0000						
11/07/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV NEW INSIGHTS-CL C	0.00	24.02	0.00	24.02	95.0	22.82
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
11/07/2018	***-**-1159 - WHITE, MICHELE	FIDELITY ADV NEW INSIGHTS-CL C	0.00	14.33	0.00	14.33	95.0	13.61
	ACCOUNT #: 01454801075	BUY 0 Units @0.0000						
11/07/2018	***-**-2338 - DEAN, WILLIAM	FIDELITY ADV NEW INSIGHTS-CL C	0.00	0.02	0.00	0.02	95.0	0.02
	ACCOUNT #: 01466906946	BUY 0 Units @0.0000						
11/07/2018	***-**-0730 - TANCK, LISA	FIDELITY ADV NEW INSIGHTS-CL C	0.00	16.16	0.00	16.16	95.0	15.35
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
11/07/2018	***-**-72IN - HERTZEL, GERALD	FIDELITY ADV NEW INSIGHTS-CL C	0.00	21.02	0.00	21.02	95.0	19.97
	ACCOUNT #: 00704765932	BUY 0 Units @0.0000						
11/07/2018	***-**-31IN - O'DONNELL,	FIDELITY ADV NEW INSIGHTS-CL C	0.00	9.29	0.00	9.29	95.0	8.83
	ACCOUNT #: 00704828987	BUY 0 Units @0.0000						
11/07/2018	***-**-7153 - MENARD, MICHAEL	FIDELITY ADV NEW INSIGHTS-CL T	0.00	60.07	0.00	60.07	95.0	57.07
	ACCOUNT #: 00009008138	BUY 0 Units @0.0000						
11/07/2018	***-**-6747 - LAKE, DAVID	FIDELITY ADV SMALL CAP CL C	0.00	0.06	0.00	0.06	95.0	0.06
	ACCOUNT #: 00655990968	BUY 0 Units @0.0000						
11/07/2018	***-**-305P - DI MARCO,	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	7.12	0.00	7.12	95.0	6.76
	ACCOUNT #: 00701854093	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
11/07/2018	***-**-0817 - PFENNINGER, ACCOUNT #: 00702891466	FIDELITY ADV STRATEGIC DIV & INCOME BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	95.0	0.01
11/07/2018	***-**-31IN - O'DONNELL, ACCOUNT #: 00704828987	FIDELITY ADV STRATEGIC DIV & INCOME BUY 0 Units @0.0000	0.00	1.00	0.00	1.00	95.0	0.95
11/07/2018	***-**-3750 - RAY, CHRISTIAN ACCOUNT #: 01459576656	FIDELITY ADV STRATEGIC INCOME CL A BUY 0 Units @0.0000	0.00	0.86	0.00	0.86	95.0	0.82
11/07/2018	***-**-0887 - RAY, JONATHAN ACCOUNT #: 01459576698	FIDELITY ADV STRATEGIC INCOME CL A BUY 0 Units @0.0000	0.00	0.76	0.00	0.76	95.0	0.72
11/07/2018	***-**-0054 - OSCHMANN, PAMELA ACCOUNT #: 00700197569	FIDELITY ADV STRATEGIC INCOME CL A BUY 0 Units @0.0000	0.00	7.64	0.00	7.64	95.0	7.26
11/07/2018	***-**-9194 - MARTIN, BRIAN ACCOUNT #: 00704021286	FIDELITY ADV STRATEGIC INCOME CL C BUY 0 Units @0.0000	0.00	0.12	0.00	0.12	95.0	0.11
11/07/2018	***-**-1128 - COOK PC, E ACCOUNT #: 00704075456	FIDELITY ADV STRATEGIC INCOME CL C BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	95.0	0.02
11/07/2018	***-**-0730 - TANCK, LISA ACCOUNT #: 01468853039	FIDELITY ADV STRATEGIC INCOME CL C BUY 0 Units @0.0000	0.00	7.55	0.00	7.55	95.0	7.17
11/07/2018	***-**-72IN - HERTZEL, GERALD ACCOUNT #: 00704765932	FIDELITY ADV STRATEGIC INCOME CL C BUY 0 Units @0.0000	0.00	13.91	0.00	13.91	95.0	13.21
11/07/2018	***-**-082I - MEYER, DENNIS ACCOUNT #: 00689728715	FIDELITY ADV TECHNOLOGY CL A BUY 0 Units @0.0000	0.00	1.97	0.00	1.97	95.0	1.87
11/07/2018	***-**-215I - HILL, ROBERT ACCOUNT #: 00655371573	FIDELITY ADV TECHNOLOGY CLASS C BUY 0 Units @0.0000	0.00	0.06	0.00	0.06	95.0	0.06
11/07/2018	***-**-46IN - PICKETT, ANITA ACCOUNT #: 00655906360	FIDELITY ADV TECHNOLOGY CLASS C BUY 0 Units @0.0000	0.00	0.04	0.00	0.04	95.0	0.04
11/07/2018	***-**-8879 - FEIL, WILLIAM ACCOUNT #: 00656087202	FIDELITY ADV TECHNOLOGY CLASS C BUY 0 Units @0.0000	0.00	0.88	0.00	0.88	95.0	0.84
11/07/2018	***-**-9137 - RAUTENSTAUCH, ACCOUNT #: 00669891301	FIDELITY ADV TECHNOLOGY CLASS C BUY 0 Units @0.0000	0.00	3.52	0.00	3.52	95.0	3.34
11/07/2018	***-**-9156 - KOLUPSKI, KIM ACCOUNT #: 00701046575	FIDELITY ADV VALUE STRATEGIES CL C BUY 0 Units @0.0000	0.00	35.91	0.00	35.91	95.0	34.11
11/07/2018	***-**-082I - MEYER, DENNIS ACCOUNT #: 00689728715	FIDELITY ADV VALUE STRATEGIES-CL A BUY 0 Units @0.0000	0.00	1.40	0.00	1.40	95.0	1.33



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-61IR - TOTMAN, FBO	FIDELITY ADVISOR CAPITAL DEV CL A	0.00	0.41	0.00	0.41	95.0	0.39
	ACCOUNT #: LSR010019	BUY 1 Units @0.0000						
11/07/2018	***-**-0054 - OSCHMANN, PAMELA	FIDELITY ADVISOR DIVERSIFIED INTL F	0.00	6.62	0.00	6.62	95.0	6.29
	ACCOUNT #: 00700197569	BUY 0 Units @0.0000						
11/07/2018	***-**-8879 - FEIL, WILLIAM	FIDELITY ADVISOR EQUITY GROWTH CL C	0.00	0.21	0.00	0.21	95.0	0.20
	ACCOUNT #: 00656087202	BUY 0 Units @0.0000						
11/07/2018	***-**-540I - DEGNAN, SUSAN	FIDELITY ADVISOR JAPAN CLASS C	0.00	3.52	0.00	3.52	95.0	3.34
	ACCOUNT #: 01483840300	BUY 0 Units @0.0000						
11/07/2018	***-**-7832 - GEISELHART,	FIDELITY ADVISOR MID CAP STOCK CL T	0.00	20.10	0.00	20.10	95.0	19.10
	ACCOUNT #: 00062724182	BUY 0 Units @0.0000						
11/07/2018	***-**-0730 - TANCK, LISA	FIDELITY ADVISORS	0.00	10.75	0.00	10.75	95.0	10.21
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
11/07/2018	***-**-92CL - HAWRYLIAK,	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	6.35	0.00	6.35	95.0	6.03
	ACCOUNT #: 01477333049	BUY 0 Units @0.0000						
11/14/2018	***-**-355I - CHRISTENSEN,	FINANCIAL INDUSTRIES A	0.00	0.19	0.00	0.19	95.0	0.18
	ACCOUNT #: 00777231908	BUY 0 Units @0.0000						
10/19/2018	***-**-01IN - SAUTTER, HOWARD	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.44	0.00	0.44	95.0	0.42
	ACCOUNT #: LSR011301	BUY 1 Units @0.0000						
10/19/2018	***-**-22IN - SAUTTER, TERRIE	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	1.77	0.00	1.77	95.0	1.68
	ACCOUNT #: LSR011302	BUY 1 Units @0.0000						
10/19/2018	***-**-60IN - KALINOWSKI,	JANUS GLOBAL	0.00	0.36	0.00	0.36	95.0	0.34
	ACCOUNT #: LSF000213	BUY 1 Units @0.0000						
11/14/2018	***-**-428J - MYKINS, RONALD	JOHN HANCOCK NEW OPPORTUNITIES CL A	0.00	0.86	0.00	0.86	95.0	0.82
	ACCOUNT #: 00008994438	BUY 0 Units @0.0000						
11/14/2018	***-**-355I - CHRISTENSEN,	JOHN HANCOCK NEW OPPORTUNITIES CL A	0.00	0.17	0.00	0.17	95.0	0.16
	ACCOUNT #: 00777230696	BUY 0 Units @0.0000						
11/14/2018	***-**-355I - CHRISTENSEN,	LARGE CAP EQUITY A	0.00	0.11	0.00	0.11	95.0	0.10
	ACCOUNT #: 00777230400	BUY 0 Units @0.0000						
10/19/2018	***-**-950I - JENKINS, JOHN	NEW WORLD FUND-A	0.00	0.87	0.00	0.87	95.0	0.83
	ACCOUNT #: LSR011619	BUY 1 Units @0.0000						
11/19/2018	***-**-1377 - MARCHESE, PAUL	NEW YORK 529 TRAILS	0.00	6.91	0.00	6.91	95.0	6.56
	ACCOUNT #: 77056237301	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-6468 - WARNER, JANET	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	0.36	0.00	0.36	95.0	0.34
	ACCOUNT #: LSR010223	BUY 1 Units @0.0000						
11/19/2018	***-**-53AK - SUPERIOR	QUALIFIED PLAN SUMMARY	0.00	3.92	0.00	3.92	95.0	3.72
		BUY 0 Units @0.0000						
10/19/2018	***-**-30IN - HALL, CHEREEZE	ROCHESTER FUND MUNICIPALS C	0.00	0.97	0.00	0.97	95.0	0.92
	ACCOUNT #: LSR010611	BUY 1 Units @0.0000						
10/19/2018	***-**-31IN - SMITH, MS VIVICA	ROCHESTER FUND MUNICIPALS C	0.00	0.89	0.00	0.89	95.0	0.85
	ACCOUNT #: LSR011147	BUY 1 Units @0.0000						
10/19/2018	***-**-66IN - BENNETT, KALENA	ROCHESTER FUND MUNICIPALS C	0.00	0.97	0.00	0.97	95.0	0.92
	ACCOUNT #: LSR011317	BUY 1 Units @0.0000						
10/19/2018	***-**-01IN - SAUTTER, HOWARD	THE BOND FUND OF AMERICA-A	0.00	1.61	0.00	1.61	95.0	1.53
	ACCOUNT #: LSR011301	BUY 1 Units @0.0000						
10/19/2018	***-**-950I - JENKINS, JOHN	THE BOND FUND OF AMERICA-A	0.00	5.11	0.00	5.11	95.0	4.85
	ACCOUNT #: LSR011619	BUY 1 Units @0.0000						
10/19/2018	***-**-149I - JENKINS, BARBARA	THE BOND FUND OF AMERICA-A	0.00	5.13	0.00	5.13	95.0	4.87
	ACCOUNT #: LSR011620	BUY 1 Units @0.0000						
10/19/2018	***-**-950I - JENKINS, JOHN	THE INCOME FUND OF AMERICA-A	0.00	2.41	0.00	2.41	95.0	2.29
	ACCOUNT #: LSR011619	BUY 1 Units @0.0000						
10/19/2018	***-**-149I - JENKINS, BARBARA	THE INCOME FUND OF AMERICA-A	0.00	2.47	0.00	2.47	95.0	2.35
	ACCOUNT #: LSR011620	BUY 1 Units @0.0000						
10/19/2018	***-**-01IN - SAUTTER, HOWARD	THE INVESTMENT COMPANY OF AMERICA-A	0.00	7.76	0.00	7.76	95.0	7.37
	ACCOUNT #: LSR011301	BUY 1 Units @0.0000						
10/19/2018	***-**-22IN - SAUTTER, TERRIE	THE INVESTMENT COMPANY OF AMERICA-A	0.00	8.01	0.00	8.01	95.0	7.61
	ACCOUNT #: LSR011302	BUY 1 Units @0.0000						
10/19/2018	***-**-01IN - SAUTTER, HOWARD	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	8.91	0.00	8.91	95.0	8.46
	ACCOUNT #: LSR011301	BUY 1 Units @0.0000						
10/19/2018	***-**-22IN - SAUTTER, TERRIE	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	9.80	0.00	9.80	95.0	9.31
	ACCOUNT #: LSR011302	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,069.37	\$0.00	\$1,069.37		\$1,015.94
*** BROKER TRANSACTIONS TOTAL ***			\$1,254.29	\$1,100.47	\$0.00	\$1,100.47		\$1,045.51



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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: RICHARD BIRNS</u>								
11/19/2018	***-**-31UG - GIFT MIN ACT NY,	COLUMBIA THREADNEEDLE TRAILS BUY 0 Units @0.0000	0.00	2.22	0.00	2.22	20.0	0.44
11/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	HARTFORD CAPITAL APPRECIATION FUND BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	20.0	0.28
11/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	HARTFORD CAPITAL APPRECIATION FUND BUY 0 Units @0.0000	0.00	12.29	0.00	12.29	20.0	2.46
11/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	HARTFORD MUTUAL FUND CUSIP 41664L38 BUY 0 Units @0.0000	0.00	0.32	0.00	0.32	20.0	0.06
11/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	HARTFORD MUTUAL FUND CUSIP 41664L38 BUY 0 Units @0.0000	0.00	2.81	0.00	2.81	20.0	0.56
11/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	1.29	0.00	1.29	20.0	0.26
11/02/2018	***-**-447P - BIRNS, PHYLLIS ACCOUNT #: 00000700389	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	2.70	0.00	2.70	20.0	0.54
11/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	22.48	0.00	22.48	20.0	4.50
11/02/2018	***-**-85IN - SEAMAN, ACCOUNT #: 00022087686	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	1.44	0.00	1.44	20.0	0.29
11/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD DIVIDEND & GROWTH FUND BUY 0 Units @0.0000	0.00	9.70	0.00	9.70	20.0	1.94
11/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD GROWTH OPPORTUNITIES F BUY 0 Units @0.0000	0.00	2.92	0.00	2.92	20.0	0.58
11/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD INTL CAPITAL APP. FUND BUY 0 Units @0.0000	0.00	1.11	0.00	1.11	20.0	0.22
11/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD INTL OPPORTUNITIES FD- BUY 0 Units @0.0000	0.00	12.34	0.00	12.34	20.0	2.47
11/02/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD MID CAP FUND-A BUY 0 Units @0.0000	0.00	22.18	0.00	22.18	20.0	4.44
11/02/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD SMALL CAP GROWTH FD-A BUY 0 Units @0.0000	0.00	2.58	0.00	2.58	20.0	0.52
* RICHARD BIRNS SUBTOTAL *			\$0.00	\$97.77	\$0.00	\$97.77		\$19.56



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: BARRY BRESIN</u>								
11/02/2018	***-**-13IN - CLEMENT, SANDRA	MUNICIPAL INCOME FUND A	0.00	3.85	0.00	3.85	15.0	0.58
	ACCOUNT #: 00519232005	BUY 0 Units @0.0000						
11/19/2018	***-**-4892 - STERN, ROBERT	PRINCIPAL FUNDS TRAILS	0.00	19.72	0.00	19.72	15.0	2.96
		BUY 0 Units @0.0000						
11/19/2018	***-**-010R - LOMBARD, LAURIE	PRINCIPAL FUNDS TRAILS	0.00	10.78	0.00	10.78	15.0	1.62
		BUY 0 Units @0.0000						
* BARRY BRESIN SUBTOTAL *			\$0.00	\$34.35	\$0.00	\$34.35		\$5.16
<u>BROKER: FREDERIC SCARPULLA</u>								
11/05/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063412117	BUY 3 Units @32.8700						
11/05/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063412117	BUY 3 Units @32.8700						
11/05/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063451518	BUY 3 Units @32.8700						
11/05/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063451518	BUY 3 Units @32.8700						
11/08/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	57.63	0.69	0.00	0.69	10.0	0.07
	ACCOUNT #: 00063412117	BUY 2 Units @33.5800						
11/08/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	49.23	0.59	0.00	0.59	10.0	0.06
	ACCOUNT #: 00063451518	BUY 1 Units @33.5800						
11/05/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 04000650661	BUY 2 Units @28.3700						
11/12/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591533	BUY 8 Units @28.0200						
11/15/2018	***-**-195P - HECHT, ANDREW	AMERICAN BALANCED FUND-529A	200.00	10.00	0.00	10.00	10.0	1.00
	ACCOUNT #: 00068453142	BUY 7 Units @28.6400						
11/15/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198137	BUY 2 Units @26.9700						
11/15/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198121	BUY 2 Units @26.9700						
11/07/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 1 Units @27.4600						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/07/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @27.4600						
11/09/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 1 Units @27.2900						
11/09/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @27.2900						
11/12/2018	***-**-395P - DIVASTA, ANTHONY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	10.0	0.19
	ACCOUNT #: 00059597416	BUY 2 Units @28.2600						
11/15/2018	***-**-535P - DELGAIZO,	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	10.0	0.21
	ACCOUNT #: 00068454444	BUY 2 Units @28.4600						
11/15/2018	***-**-425P - DELGAIZO, LOUISA	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	10.0	0.21
	ACCOUNT #: 00068454445	BUY 2 Units @28.4600						
10/19/2018	***-**-14IN - BENEDETTO,	AMERICAN BALANCED FUND-C	0.00	27.19	0.00	27.19	10.0	2.72
	ACCOUNT #: LSR010421	BUY 1 Units @0.0000						
10/19/2018	***-**-19IN - LIPPA, MARISSA	AMERICAN BALANCED FUND-C	0.00	1.48	0.00	1.48	10.0	0.15
	ACCOUNT #: LSR011011	BUY 1 Units @0.0000						
10/19/2018	***-**-61IO - BONACCI, FBO	AMERICAN BALANCED FUND-C	0.00	6.19	0.00	6.19	10.0	0.62
	ACCOUNT #: LSR011143	BUY 1 Units @0.0000						
10/19/2018	***-**-58IR - HINDERLAND, GARY	AMERICAN BALANCED FUND-C	0.00	1.97	0.00	1.97	10.0	0.20
	ACCOUNT #: LSR011249	BUY 1 Units @0.0000						
10/19/2018	***-**-283I - RICCI, GABRIELLE	AMERICAN BALANCED FUND-C	0.00	4.78	0.00	4.78	10.0	0.48
	ACCOUNT #: LSR011473	BUY 1 Units @0.0000						
10/19/2018	***-**-95IO - KELLY, COURTNEY	AMERICAN BALANCED FUND-C	0.00	3.05	0.00	3.05	10.0	0.31
	ACCOUNT #: LSR011685	BUY 1 Units @0.0000						
10/19/2018	***-**-18IO - TAYLOR, GREGORY	AMERICAN BALANCED FUND-C	0.00	23.33	0.00	23.33	10.0	2.33
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
10/19/2018	***-**-80IN - MOYER, COLLEEN	AMERICAN BALANCED FUND-C	0.00	13.04	0.00	13.04	10.0	1.30
	ACCOUNT #: LSR011724	BUY 1 Units @0.0000						
10/19/2018	***-**-80IR - MOYER, COLLEEN	AMERICAN BALANCED FUND-C	0.00	14.98	0.00	14.98	10.0	1.50
	ACCOUNT #: LSR011726	BUY 1 Units @0.0000						
10/19/2018	***-**-92IR - CUSIMANO,	AMERICAN BALANCED FUND-C	0.00	1.55	0.00	1.55	10.0	0.16
	ACCOUNT #: LSR011784	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
10/19/2018	***-**-80IR - ROBERTS, ACCOUNT #: LSR011795	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	10.0	0.04
11/05/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	AMERICAN BALANCED FUND-C BUY 7 Units @26.8400	187.00	1.87	0.00	1.87	10.0	0.19
11/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @26.8400	40.00	0.40	0.00	0.40	10.0	0.04
11/05/2018	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089244081	AMERICAN BALANCED FUND-C BUY 3 Units @26.8400	92.36	0.92	0.00	0.92	10.0	0.09
11/05/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @26.8400	20.95	0.21	0.00	0.21	10.0	0.02
11/05/2018	***-**-035S - CAPIZZI, TRACIE ACCOUNT #: 00089679504	AMERICAN BALANCED FUND-C BUY 1 Units @26.8400	36.10	0.36	0.00	0.36	10.0	0.04
11/06/2018	***-**-3834 - SWARTWOUT, ACCOUNT #: 00089957234	AMERICAN BALANCED FUND-C BUY 2 Units @26.9200	50.00	0.50	0.00	0.50	10.0	0.05
11/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @26.9200	12.00	0.12	0.00	0.12	10.0	0.01
11/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 6 Units @26.9200	160.00	1.60	0.00	1.60	10.0	0.16
11/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089722785	AMERICAN BALANCED FUND-C BUY 4 Units @26.9200	100.80	1.01	0.00	1.01	10.0	0.10
11/08/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @27.2000	120.00	1.20	0.00	1.20	10.0	0.12
11/12/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @26.7900	28.05	0.28	0.00	0.28	10.0	0.03
11/12/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @26.7900	6.00	0.06	0.00	0.06	10.0	0.01
11/12/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 0 Units @26.7900	4.96	0.05	0.00	0.05	10.0	0.01
11/12/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 1 Units @26.7900	16.00	0.16	0.00	0.16	10.0	0.02
11/15/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087429936	AMERICAN BALANCED FUND-C BUY 2 Units @26.8400	50.00	0.50	0.00	0.50	10.0	0.05



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/16/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @26.9300						
11/16/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @26.9300						
11/16/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @26.9300						
11/16/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089910177	BUY 4 Units @26.9300						
10/19/2018	***-**-11IN - RUSSELL, ALAN	AMERICAN FUND TAX - EXEMPT FUND OF	0.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: LSR011417	BUY 1 Units @0.0000						
11/05/2018	***-**-1102 - FINOCCHARIO,	AMERICAN FUNDS 2050 TARGET DATE-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 04001203455	BUY 2 Units @14.7000						
11/12/2018	***-**-1102 - FINOCCHARIO,	AMERICAN FUNDS 2050 TARGET DATE-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 04001203455	BUY 2 Units @14.5300						
11/12/2018	***-**-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 @30.3600						
10/19/2018	***-**-61IN - OLIVERI, WILLIAM	AMERICAN HIGH INCOME MUNI BOND CLAS	0.00	103.10	0.00	103.10	10.0	10.31
	ACCOUNT #: LSR011543	BUY 1 Units @0.0000						
10/19/2018	***-**-306I - SINCLAIR,	AMERICAN HIGH-INCOME TRUST-C	0.00	5.06	0.00	5.06	10.0	0.51
	ACCOUNT #: LSR010992	BUY 1 Units @0.0000						
10/19/2018	***-**-05IO - KIMBLE, LONNY	AMERICAN HIGH-INCOME TRUST-C	0.00	51.91	0.00	51.91	10.0	5.19
	ACCOUNT #: LSR011472	BUY 1 Units @0.0000						
10/19/2018	***-**-18IO - TAYLOR, GREGORY	AMERICAN HIGH-INCOME TRUST-C	0.00	21.49	0.00	21.49	10.0	2.15
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
10/19/2018	***-**-80IN - MOYER, COLLEEN	AMERICAN HIGH-INCOME TRUST-C	0.00	11.99	0.00	11.99	10.0	1.20
	ACCOUNT #: LSR011724	BUY 1 Units @0.0000						
11/12/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 10 Units @10.0700						
11/12/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @10.0700						
11/16/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 11 Units @9.9400						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @9.9400	4.55	0.05	0.00	0.05	10.0	0.01
11/07/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	AMERICAN MUTUAL FUND-A BUY 1 Units @42.3400	30.00	0.30	0.00	0.30	10.0	0.03
11/07/2018	***-**-255P - EVANS, JAMES ACCOUNT #: 00066759711	AMERICAN MUTUAL FUND-A BUY 14 Units @42.3400	600.00	6.00	0.00	6.00	10.0	0.60
11/09/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	AMERICAN MUTUAL FUND-A BUY 1 Units @42.1500	30.00	0.30	0.00	0.30	10.0	0.03
11/09/2018	***-**-255P - EVANS, JAMES ACCOUNT #: 00066759711	AMERICAN MUTUAL FUND-A BUY 14 Units @42.1500	600.00	6.00	0.00	6.00	10.0	0.60
10/19/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	29.11	0.00	29.11	10.0	2.91
10/19/2018	***-**-44IR - ROBERTSON, ACCOUNT #: LSR010558	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	10.0	0.20
10/19/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	7.69	0.00	7.69	10.0	0.77
11/05/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	AMERICAN MUTUAL FUND-C BUY 0 Units @40.8700	5.00	0.05	0.00	0.05	10.0	0.01
11/12/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @41.0700	5.00	0.05	0.00	0.05	10.0	0.01
11/12/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	AMERICAN MUTUAL FUND-C BUY 0 Units @41.0700	5.00	0.05	0.00	0.05	10.0	0.01
11/15/2018	***-**-01UG - DIGIOVANNI, ACCOUNT #: 00087087389	AMERICAN MUTUAL FUND-C BUY 4 Units @41.1300	150.00	1.50	0.00	1.50	10.0	0.15
11/16/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @41.3700	5.00	0.05	0.00	0.05	10.0	0.01
10/19/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	91.41	0.00	91.41	10.0	9.14
10/19/2018	***-**-306I - SINCLAIR, ACCOUNT #: LSR010992	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.10	0.00	5.10	10.0	0.51
11/06/2018	***-**-4392 - GARCIA, MICHELLE ACCOUNT #: 00085764363	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @58.8900	25.00	0.25	0.00	0.25	10.0	0.03



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: FREDERIC SCARPULLA (continued) </u>								
10/19/2018	***-**-18IO - TAYLOR, GREGORY	CAPITAL INCOME BUILDER-A	0.00	6.50	0.00	6.50	10.0	0.65
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
11/05/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @19.2700						
11/05/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @19.2700						
11/05/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @19.2700						
11/05/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @19.2700						
11/08/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	14.40	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 00063412117	BUY 1 Units @19.2100						
11/08/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	12.31	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00063451518	BUY 1 Units @19.2100						
10/19/2018	***-**-92IR - CUSIMANO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: LSR011784	BUY 1 Units @0.0000						
11/05/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00089045192	BUY 1 Units @47.3100						
11/06/2018	***-**-1209 - NATALE, KIMBERLY	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085764285	BUY 1 Units @47.4700						
11/06/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 1 Units @47.4700						
11/07/2018	***-**-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 @48.8300						
11/08/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @47.9900						
11/09/2018	***-**-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 @47.9800						
11/12/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	10.0	0.10
	ACCOUNT #: 00087038420	BUY 2 Units @46.6100						
11/15/2018	***-**-01UG - DIGIOVANNI,	CAPITAL WORLD GROWTH AND INCOME FUN	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00087087389	BUY 3 Units @46.9500						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @47.0000	96.40	0.96	0.00	0.96	10.0	0.10
11/16/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @47.0000	40.00	0.40	0.00	0.40	10.0	0.04
11/15/2018	***-**-385P - ARBORE, TAYLER ACCOUNT #: 00081282910	CAPITAL WORLD GROWTH AND INCOME-529 BUY 1 Units @49.8200	50.00	2.13	0.00	2.13	10.0	0.21
11/15/2018	***-**-385P - ARBORE, TAYLER ACCOUNT #: 00081283006	CAPITAL WORLD GROWTH AND INCOME-529 BUY 1 Units @49.8200	50.00	2.13	0.00	2.13	10.0	0.21
11/19/2018	***-**-540J - ARBORE, MARIA	COLUMBIA THREADNEEDLE TRAILS BUY 0 Units @0.0000	0.00	2.25	0.00	2.25	10.0	0.23
11/19/2018	***-**-07IN - SCARPULLA,	COLUMBIA THREADNEEDLE TRAILS BUY 0 Units @0.0000	0.00	15.58	0.00	15.58	10.0	1.56
11/19/2018	***-**-540J - ARBORE, MARIA	COLUMBIA THREADNEEDLE TRAILS BUY 0 Units @0.0000	0.00	3.89	0.00	3.89	10.0	0.39
11/15/2018	***-**-43IN - BISHOP, EVELYN ACCOUNT #: 04000849605	EUROPACIFIC GROWTH FUND CLASS C BUY 1 Units @47.2700	50.00	0.50	0.00	0.50	10.0	0.05
11/05/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @49.9100	66.75	0.80	0.00	0.80	10.0	0.08
11/05/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @49.9100	66.75	0.80	0.00	0.80	10.0	0.08
11/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @49.9100	66.75	0.80	0.00	0.80	10.0	0.08
11/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @49.9100	66.75	0.80	0.00	0.80	10.0	0.08
11/08/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @50.2100	43.21	0.52	0.00	0.52	10.0	0.05
11/08/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @50.2100	36.93	0.44	0.00	0.44	10.0	0.04
11/07/2018	***-**-4550 - JONES, JEFFREY ACCOUNT #: 00529631491	FA 529 PORT 2019-CL P BUY 0 Units @0.0000	0.00	6.08	0.00	6.08	10.0	0.61
11/07/2018	***-**-7278 - GUERRIERI DDS, ACCOUNT #: 00655383206	FIDELITY ADV ASSET MANAGER 50 PERCE BUY 0 Units @0.0000	0.00	0.71	0.00	0.71	10.0	0.07



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV FREEDOM 2020-CL C	0.00	1.75	0.00	1.75	10.0	0.18
	ACCOUNT #: 01475410302	BUY 0 Units @0.0000						
11/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV INTL DISCOVERY-CL A	0.00	1.56	0.00	1.56	10.0	0.16
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
11/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	3.57	0.00	3.57	10.0	0.36
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
11/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV MID CAP II-CL A	0.00	4.85	0.00	4.85	10.0	0.49
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
11/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV NEW INSIGHTS-CL A	0.00	4.92	0.00	4.92	10.0	0.49
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
11/07/2018	***-**-7352 - GEISELHART,	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	31.51	0.00	31.51	10.0	3.15
	ACCOUNT #: 00618796254	BUY 0 Units @0.0000						
11/07/2018	***-**-5703 - DIODATO,	FIDELITY ADV STRATEGIC INCOME CL C	0.00	0.47	0.00	0.47	10.0	0.05
	ACCOUNT #: 03900218260	BUY 0 Units @0.0000						
11/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV TECHNOLOGY CL A	0.00	4.84	0.00	4.84	10.0	0.48
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
11/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADVISOR FREEDOM 2020 CL A	0.00	0.92	0.00	0.92	10.0	0.09
	ACCOUNT #: 01475410302	BUY 0 Units @0.0000						
10/19/2018	***-**-721I - TABER, FBO LISA	FRANKLIN INCOME FUND CLASS A	0.00	1.18	0.00	1.18	10.0	0.12
	ACCOUNT #: LSR010434	BUY 1 Units @0.0000						
10/19/2018	***-**-721I - TABER, FBO LISA	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	2.58	0.00	2.58	10.0	0.26
	ACCOUNT #: LSR010434	BUY 1 Units @0.0000						
11/05/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063412117	BUY 2 Units @62.5100						
11/05/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063412117	BUY 2 Units @62.5100						
11/05/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063451518	BUY 2 Units @62.5100						
11/05/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063451518	BUY 2 Units @62.5100						
11/07/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00066759710	BUY 0 Units @63.1600						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/08/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	86.43	1.04	0.00	1.04	10.0	0.10
	ACCOUNT #: 00063412117	BUY 1 Units @63.8600						
11/08/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	73.85	0.89	0.00	0.89	10.0	0.09
	ACCOUNT #: 00063451518	BUY 1 Units @63.8600						
11/09/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00066759710	BUY 0 Units @62.2200						
10/19/2018	***-**-18IO - TAYLOR, GREGORY	FUNDAMENTAL INVESTORS-C	0.00	25.48	0.00	25.48	10.0	2.55
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
10/19/2018	***-**-80IN - MOYER, COLLEEN	FUNDAMENTAL INVESTORS-C	0.00	14.23	0.00	14.23	10.0	1.42
	ACCOUNT #: LSR011724	BUY 1 Units @0.0000						
10/19/2018	***-**-80IR - MOYER, COLLEEN	FUNDAMENTAL INVESTORS-C	0.00	8.10	0.00	8.10	10.0	0.81
	ACCOUNT #: LSR011726	BUY 1 Units @0.0000						
11/05/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @61.2000						
11/06/2018	***-**-7625 - PRINCE, ADAM	FUNDAMENTAL INVESTORS-C	75.00	0.75	0.00	0.75	10.0	0.08
	ACCOUNT #: 00085764342	BUY 1 Units @61.5500						
11/06/2018	***-**-4392 - GARCIA, MICHELLE	FUNDAMENTAL INVESTORS-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @61.5500						
11/06/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @61.5500						
11/06/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089051066	BUY 1 Units @61.5500						
11/12/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @60.4700						
11/12/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @60.4700						
11/12/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @60.4700						
11/12/2018	***-**-6171 - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591484	BUY 4 Units @60.4700						
11/15/2018	***-**-845P - MARTHALLER,	FUNDAMENTAL INVESTORS-C	60.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00087023930	BUY 1 Units @60.7800						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/16/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @60.8900						
11/16/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @60.8900						
10/19/2018	***-**-92IR - CUSIMANO,	GLOBAL OPPORTUNITIES A	0.00	2.01	0.00	2.01	10.0	0.20
	ACCOUNT #: LSR011412	BUY 1 Units @0.0000						
11/02/2018	***-**-572I - CRUZ, FELIX	GOLDMAN SACHS ASSET ALLOC GR & INC	0.00	4.88	0.00	4.88	10.0	0.49
	ACCOUNT #: 00519076596	BUY 0 Units @0.0000						
10/19/2018	***-**-14IN - BENEDETTO,	INCOME FUND OF AMERICA CLASS C	0.00	98.89	0.00	98.89	10.0	9.89
	ACCOUNT #: LSR010421	BUY 1 Units @0.0000						
10/19/2018	***-**-306I - SINCLAIR,	INCOME FUND OF AMERICA CLASS C	0.00	5.38	0.00	5.38	10.0	0.54
	ACCOUNT #: LSR010992	BUY 1 Units @0.0000						
10/19/2018	***-**-05IO - KIMBLE, LONNY	INCOME FUND OF AMERICA CLASS C	0.00	51.48	0.00	51.48	10.0	5.15
	ACCOUNT #: LSR011472	BUY 1 Units @0.0000						
11/12/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00087236607	BUY 2 Units @22.2100						
11/16/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00087236607	BUY 2 Units @22.3600						
10/19/2018	***-**-70UT - GALLETS CUST,	INVESTMENT COMPANY OF AMERICA CLASS	0.00	7.11	0.00	7.11	10.0	0.71
	ACCOUNT #: LSR011191	BUY 1 Units @0.0000						
11/05/2018	***-**-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 @39.2800						
11/05/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	20.34	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089583477	BUY 1 Units @39.2800						
11/06/2018	***-**-1209 - NATALE, KIMBERLY	INVESTMENT COMPANY OF AMERICA CLASS	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085764285	BUY 1 Units @39.5200						
11/06/2018	***-**-96CL - SCARPULLA,	INVESTMENT COMPANY OF AMERICA CLASS	75.60	0.76	0.00	0.76	10.0	0.08
	ACCOUNT #: 00089722785	BUY 2 Units @39.5200						
11/12/2018	***-**-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 @39.0000						
11/12/2018	***-**-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 @39.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/16/2018	***-**-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 @39.1700						
10/19/2018	***-**-631R - DIAMOND, ANN	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.70	0.00	0.70	10.0	0.07
	ACCOUNT #: LSR011725	BUY 1 Units @0.0000						
10/19/2018	***-**-041R - CANORI, AMOREENA	NEW PERSPECTIVE FUND-A	0.00	1.78	0.00	1.78	10.0	0.18
	ACCOUNT #: LSR012753	BUY 1 Units @0.0000						
11/05/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @43.8900						
11/05/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @43.8900						
11/05/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @43.8900						
11/05/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @43.8900						
11/08/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	14.40	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 00063412117	BUY 0 Units @44.6300						
11/08/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	12.31	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00063451518	BUY 0 Units @44.6300						
10/19/2018	***-**-921R - CRISPINO, FBO	NEW PERSPECTIVE FUND-C	0.00	12.51	0.00	12.51	10.0	1.25
	ACCOUNT #: LSR011073	BUY 1 Units @0.0000						
10/19/2018	***-**-611O - BONACCI, FBO	NEW PERSPECTIVE FUND-C	0.00	5.58	0.00	5.58	10.0	0.56
	ACCOUNT #: LSR011143	BUY 1 Units @0.0000						
10/19/2018	***-**-825P - CRISPINO, DIANA	NEW PERSPECTIVE FUND-C	0.00	5.99	0.00	5.99	10.0	0.60
	ACCOUNT #: LSR011759	BUY 1 Units @0.0000						
11/06/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @41.4800						
11/06/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089051066	BUY 2 Units @41.4800						
11/12/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 1 Units @40.4500						
11/12/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 1 Units @40.4500						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/16/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 1 Units @40.8300						
11/16/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 1 Units @40.8300						
11/12/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @56.6600						
11/12/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @56.6600						
11/12/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @56.6600						
11/16/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @58.0000						
11/16/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @58.0000						
11/16/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @58.0000						
11/19/2018	***-**-503J - OBI, JEAN	NEW YORK 529 TRAILS	0.00	2.37	0.00	2.37	10.0	0.24
		BUY 0 Units @0.0000						
11/19/2018	***-**-3758 - CONNORS, DAVID	NEW YORK 529 TRAILS	0.00	0.43	0.00	0.43	10.0	0.04
	ACCOUNT #: 77162702001	BUY 0 Units @0.0000						
11/19/2018	***-**-015P - FANTAUZZO,	NEW YORK 529 TRAILS	0.00	2.76	0.00	2.76	10.0	0.28
	ACCOUNT #: 77529133201	BUY 0 Units @0.0000						
11/19/2018	***-**-335P - JULIAN, GIOVANA	NEW YORK 529 TRAILS	0.00	9.48	0.00	9.48	10.0	0.95
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
11/19/2018	***-**-80IN - MOYER, COLLEEN	NEW YORK 529 TRAILS	0.00	13.47	0.00	13.47	10.0	1.35
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
11/19/2018	***-**-6352 - GINERVA, ENZA	NEW YORK 529 TRAILS	0.00	1.82	0.00	1.82	10.0	0.18
	ACCOUNT #: 77766297801	BUY 0 Units @0.0000						
11/19/2018	***-**-3497 - WARNEY, KRISTIE	NEW YORK 529 TRAILS	0.00	0.51	0.00	0.51	10.0	0.05
		BUY 0 Units @0.0000						
10/19/2018	***-**-20IN - GIANGRECO, TERRY	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	105.34	0.00	105.34	10.0	10.53
	ACCOUNT #: LSR010603	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: FREDERIC SCARPULLA (continued)								
10/19/2018	***-**-92IR - CUSIMANO, ACCOUNT #: LSR011412	SELECT VALUE FUND A BUY 1 Units @0.0000	0.00	1.34	0.00	1.34	10.0	0.13
11/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @48.2000	6.00	0.06	0.00	0.06	10.0	0.01
11/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 2 Units @48.2000	80.00	0.80	0.00	0.80	10.0	0.08
11/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @46.8200	48.20	0.48	0.00	0.48	10.0	0.05
11/15/2018	***-**-43IN - BISHOP, EVELYN ACCOUNT #: 04000849605	SMALLCAP WORLD FUND-C BUY 1 Units @47.1500	50.00	0.50	0.00	0.50	10.0	0.05
11/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @47.3200	48.20	0.48	0.00	0.48	10.0	0.05
11/05/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5300	44.50	0.53	0.00	0.53	10.0	0.05
11/05/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5300	44.50	0.53	0.00	0.53	10.0	0.05
11/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5300	44.50	0.53	0.00	0.53	10.0	0.05
11/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5300	44.50	0.53	0.00	0.53	10.0	0.05
11/08/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 2 Units @12.5000	28.81	0.35	0.00	0.35	10.0	0.04
11/08/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 2 Units @12.5000	24.62	0.30	0.00	0.30	10.0	0.03
10/19/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	THE BOND FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	5.83	0.00	5.83	10.0	0.58
11/05/2018	***-**-625P - CENTOLA, ANITA ACCOUNT #: 00074256566	THE BOND FUND OF AMERICA-C BUY 3 Units @12.3400	40.00	0.40	0.00	0.40	10.0	0.04
11/12/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.3700	28.05	0.28	0.00	0.28	10.0	0.03
11/12/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.3700	9.00	0.09	0.00	0.09	10.0	0.01



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 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: FREDERIC SCARPULLA (continued) 								
11/16/2018	***-**-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 @12.4000						
11/16/2018	***-**-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 @12.4000						
11/15/2018	***-**-415P - SCHILLACI, AMY	THE GROWTH FUND OF AMERICA-529C	75.00	0.75	0.00	0.75	10.0	0.08
	ACCOUNT #: 00081268733	BUY 2 Units @47.5900						
11/05/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @52.7500						
11/05/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @52.7500						
11/05/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @52.7500						
11/05/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @52.7500						
11/05/2018	***-**-00IN - DIVASTA, JANINE	THE GROWTH FUND OF AMERICA-A	250.00	9.38	0.00	9.38	10.0	0.94
	ACCOUNT #: 00063669925	BUY 5 Units @54.4100						
11/07/2018	***-**-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 @53.5700						
11/07/2018	***-**-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 @53.5700						
11/07/2018	***-**-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 @53.5700						
11/07/2018	***-**-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 @53.5700						
11/07/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	60.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00074922243	BUY 1 Units @53.5700						
11/07/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	71.63	0.72	0.00	0.72	10.0	0.07
	ACCOUNT #: 00083414110	BUY 1 Units @53.5700						
11/07/2018	***-**-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 @53.5700						
11/07/2018	***-**-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 @53.5700						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/08/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	43.21	0.52	0.00	0.52	10.0	0.05
	ACCOUNT #: 00063412117	BUY 1 Units @53.9800						
11/08/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	36.93	0.44	0.00	0.44	10.0	0.04
	ACCOUNT #: 00063451518	BUY 1 Units @53.9800						
11/09/2018	***-**-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 @52.4600						
11/09/2018	***-**-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 @52.4600						
11/09/2018	***-**-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 @52.4600						
11/09/2018	***-**-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 @52.4600						
11/09/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	60.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00074922243	BUY 1 Units @52.4600						
11/09/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	71.41	0.71	0.00	0.71	10.0	0.07
	ACCOUNT #: 00083414110	BUY 1 Units @52.4600						
11/09/2018	***-**-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 @52.4600						
11/09/2018	***-**-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 @52.4600						
10/19/2018	***-**-497J - WARNEY, KENNETH	THE GROWTH FUND OF AMERICA-C	0.00	0.33	0.00	0.33	10.0	0.03
	ACCOUNT #: LSR011248	BUY 1 Units @0.0000						
10/19/2018	***-**-283I - RICCI, GABRIELLE	THE GROWTH FUND OF AMERICA-C	0.00	7.06	0.00	7.06	10.0	0.71
	ACCOUNT #: LSR011473	BUY 1 Units @0.0000						
11/05/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	176.00	1.76	0.00	1.76	10.0	0.18
	ACCOUNT #: 00073003754	BUY 4 Units @47.8800						
11/05/2018	***-**-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 @47.8800						
11/05/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	86.99	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 00089319958	BUY 2 Units @47.8800						
11/05/2018	***-**-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 @47.8800						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/05/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	20.33	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @47.8800						
11/05/2018	***-**-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 @47.8800						
11/06/2018	***-**-4392 - GARCIA, MICHELLE	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 1 Units @48.1100						
11/06/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	75.60	0.76	0.00	0.76	10.0	0.08
	ACCOUNT #: 00089722785	BUY 2 Units @48.1100						
11/06/2018	***-**-0338 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-C	10,000.00	100.00	0.00	100.00	10.0	10.00
	ACCOUNT #: 04001257722	BUY 208 Units @48.1100						
11/06/2018	***-**-0338 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-C	2,000.00	20.00	0.00	20.00	10.0	2.00
	ACCOUNT #: 04001257665	BUY 42 Units @48.1100						
11/12/2018	***-**-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 @47.2100						
11/12/2018	***-**-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 @47.2100						
11/12/2018	***-**-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 @47.2100						
11/12/2018	***-**-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 @47.2100						
11/12/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591484	BUY 5 Units @47.2100						
11/12/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591533	BUY 5 Units @47.2100						
11/15/2018	***-**-3431 - SPENCER,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 04000347049	BUY 2 Units @47.4600						
11/15/2018	***-**-0578 - DIODATO, ZACHARY	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000618224	BUY 1 Units @47.4600						
11/15/2018	***-**-4232 - DIODATO, MELISSA	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000618245	BUY 1 Units @47.4600						
11/16/2018	***-**-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 @47.4800						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u> 								
10/19/2018	***-**-04IR - CANORI, AMOREENA	THE INCOME FUND OF AMERICA-A	0.00	0.69	0.00	0.69	10.0	0.07
	ACCOUNT #: LSR012753	BUY 1 Units @0.0000						
11/07/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00066758342	BUY 6 Units @40.7400						
11/07/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @40.7400						
11/07/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 0 Units @40.7400						
11/09/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00066758342	BUY 6 Units @40.1800						
11/09/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @40.1800						
11/09/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 0 Units @40.1800						
11/12/2018	***-**-395P - DIVASTA, ANTHONY	THE INVESTMENT COMPANY OF AMERICA-A	50.00	1.88	0.00	1.88	10.0	0.19
	ACCOUNT #: 00059597416	BUY 1 Units @41.3000						
10/19/2018	***-**-20IN - GIANGRECO, TERRY	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	358.99	0.00	358.99	10.0	35.90
	ACCOUNT #: LSR010603	BUY 1 Units @0.0000						
10/19/2018	***-**-61IN - OLIVERI, WILLIAM	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	148.78	0.00	148.78	10.0	14.88
	ACCOUNT #: LSR011543	BUY 1 Units @0.0000						
11/15/2018	***-**-8932 - RUSH, MICHELLE	THE TAX-EXEMPT BOND FUND OF AMERICA	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000574835	BUY 4 Units @12.5900						
11/07/2018	***-**-63IN - DIAMOND, ANN	U.S. GOVERNMENT SECURITIES FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085468057	BUY 4 Units @13.1200						
11/05/2018	***-**-00IN - DIVASTA, JANINE	WASHINGTON MUTUAL INVESTORS FUND-A	250.00	9.38	0.00	9.38	10.0	0.94
	ACCOUNT #: 00063669925	BUY 5 Units @47.1300						
11/07/2018	***-**-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 @46.1300						
11/09/2018	***-**-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 @45.7900						
10/19/2018	***-**-80IR - MOYER, COLLEEN	WASHINGTON MUTUAL INVESTORS FUND-C	0.00	8.04	0.00	8.04	10.0	0.80
	ACCOUNT #: LSR011726	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u> 								
10/19/2018	***-**-92IR - CUSIMANO, ACCOUNT #: LSR011784	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	10.0	0.17
11/05/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00073003754	WASHINGTON MUTUAL INVESTORS FUND-C BUY 4 Units @44.3800	187.00	1.87	0.00	1.87	10.0	0.19
11/05/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @44.3800	5.00	0.05	0.00	0.05	10.0	0.01
11/08/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @45.4000	40.00	0.40	0.00	0.40	10.0	0.04
11/12/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @44.4300	5.00	0.05	0.00	0.05	10.0	0.01
11/15/2018	***-**-436I - RAGO, LISA ACCOUNT #: 04000456708	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @44.5200	50.00	0.50	0.00	0.50	10.0	0.05
11/16/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @44.7700	40.00	0.40	0.00	0.40	10.0	0.04
 * FREDERIC SCARPULLA SUBTOTAL * 			 \$25,558.67 	 \$1,725.88 	 \$0.00 	 \$1,725.88 		 \$172.90
 <u>BROKER: WILLIAM AGNELLO</u> 								
10/19/2018	***-**-28IN - CHIAVETTA, ACCOUNT #: LSR008842	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	2.41	0.00	2.41	25.0	0.60
10/19/2018	***-**-93IO - WOJTAS, JEANETTE ACCOUNT #: LSR007323	AMERICAN HIGH-INCOME TRUST-A BUY 1 Units @0.0000	0.00	1.26	0.00	1.26	25.0	0.32
10/19/2018	***-**-75IO - DELCOUR ACCOUNT #: LSR007358	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	10.12	0.00	10.12	25.0	2.53
11/19/2018	***-**-28IN - CUP, ANDREW ACCOUNT #: 4000021808	DELAWARE MF TRAILS BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	25.0	0.09
10/19/2018	***-**-43IN - CUP, NICHOLAS ACCOUNT #: LSR006890	FIDELITY ADV HIGH INC ADVANTAGE CL BUY 1 Units @0.0000	0.00	21.22	0.00	21.22	25.0	5.31
10/19/2018	***-**-11IO - CRANDALL, ACCOUNT #: LSR007145	FIDELITY ADV HIGH INC ADVANTAGE CL BUY 1 Units @0.0000	0.00	16.45	0.00	16.45	25.0	4.11
10/19/2018	***-**-657I - RIEL, KEVIN ACCOUNT #: LSR007366	FIDELITY ADV SMALL CAP GROWTH-CL C BUY 1 Units @0.0000	0.00	2.42	0.00	2.42	25.0	0.61
10/19/2018	***-**-43IN - CUP, NICHOLAS ACCOUNT #: LSR006890	FIDELITY ADV STRATEGIC DIV & INCOME BUY 1 Units @0.0000	0.00	28.21	0.00	28.21	25.0	7.05



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: WILLIAM AGNELLO (continued)</u> 								
10/19/2018	***-**-02IN - DEE, LILLIAN ACCOUNT #: LSR010251	FIDELITY ADV STRATEGIC DIV & INCOME BUY 1 Units @0.0000	0.00	6.69	0.00	6.69	25.0	1.67
10/19/2018	***-**-43IN - CUP, NICHOLAS ACCOUNT #: LSR006890	FIDELITY ADVISOR BIOTECHNOLOGY CL C BUY 1 Units @0.0000	0.00	2.76	0.00	2.76	25.0	0.69
10/19/2018	***-**-36IO - IRWIN, CHARLES ACCOUNT #: LSR007200	FIDELITY ADVISOR BIOTECHNOLOGY CL C BUY 1 Units @0.0000	0.00	11.25	0.00	11.25	25.0	2.81
10/19/2018	***-**-657I - RIEL, KEVIN ACCOUNT #: LSR007366	FIDELITY ADVISOR BIOTECHNOLOGY CL C BUY 1 Units @0.0000	0.00	3.36	0.00	3.36	25.0	0.84
10/19/2018	***-**-43IN - CUP, NICHOLAS ACCOUNT #: LSR006890	FIDELITY ADVISOR FUNDS 316390350 BUY 1 Units @0.0000	0.00	2.88	0.00	2.88	25.0	0.72
10/19/2018	***-**-39IN - IRWIN, DIANE ACCOUNT #: LSR007234	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	2.41	0.00	2.41	25.0	0.60
10/19/2018	***-**-36IO - IRWIN, CHARLES ACCOUNT #: LSR007200	JANUS HIGH YIELD CLASS C BUY 1 Units @0.0000	0.00	4.47	0.00	4.47	25.0	1.12
10/19/2018	***-**-87IN - IRWIN, IRENE ACCOUNT #: LSR010100	MAIN STREET FUND A BUY 1 Units @0.0000	0.00	0.07	0.00	0.07	25.0	0.02
11/19/2018	***-**-28IN - CUP, ANDREW ACCOUNT #: 77133335101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	7.28	0.00	7.28	25.0	1.82
10/19/2018	***-**-87IN - IRWIN, IRENE ACCOUNT #: LSR010100	OPPENHEIMER DISCOVERY CLASS A BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	25.0	0.06
10/19/2018	***-**-93UT - CUP CUST, MARCIE ACCOUNT #: LSR011103	PORT SERIES: EQUITY INV FD A BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	25.0	0.09
10/19/2018	***-**-75IO - DELCOUR ACCOUNT #: LSR007358	THE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	5.41	0.00	5.41	25.0	1.35
10/19/2018	***-**-098I - AQUILINA, MARIAN ACCOUNT #: LSR007072	THE BOND FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	5.33	0.00	5.33	25.0	1.33
10/19/2018	***-**-963I - GAMMARIELLO, ACCOUNT #: LSR007102	THE BOND FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	17.03	0.00	17.03	25.0	4.26
10/19/2018	***-**-951I - SCHAEFER, ACCOUNT #: LSR007382	THE BOND FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	5.05	0.00	5.05	25.0	1.26
10/19/2018	***-**-59T4 - ETHEL CUP TRUST ACCOUNT #: LSR006955	THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.45	0.00	1.45	25.0	0.36



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: WILLIAM AGNELLO (continued)</u> 								
10/19/2018	***-**-613K - HAGER	THE GROWTH FUND OF AMERICA-A	0.00	3.68	0.00	3.68	25.0	0.92
	ACCOUNT #: LSR006980	BUY 1 Units @0.0000						
10/19/2018	***-**-39IN - IRWIN, DIANE	THE GROWTH FUND OF AMERICA-A	0.00	8.12	0.00	8.12	25.0	2.03
	ACCOUNT #: LSR007234	BUY 1 Units @0.0000						
10/19/2018	***-**-728X - CHIAVETTA, NSPS	THE GROWTH FUND OF AMERICA-A	0.00	2.23	0.00	2.23	25.0	0.56
	ACCOUNT #: LSR008699	BUY 1 Units @0.0000						
10/19/2018	***-**-43IN - CUP, NICHOLAS	THE GROWTH FUND OF AMERICA-C	0.00	26.79	0.00	26.79	25.0	6.70
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - HAGER, MICHAEL	THE GROWTH FUND OF AMERICA-C	0.00	9.52	0.00	9.52	25.0	2.38
	ACCOUNT #: LSR006971	BUY 1 Units @0.0000						
10/19/2018	***-**-657I - RIEL, KEVIN	THE GROWTH FUND OF AMERICA-C	0.00	6.11	0.00	6.11	25.0	1.53
	ACCOUNT #: LSR007366	BUY 1 Units @0.0000						
10/19/2018	***-**-28IN - CHIAVETTA,	THE GROWTH FUND OF AMERICA-C	0.00	12.34	0.00	12.34	25.0	3.09
	ACCOUNT #: LSR008842	BUY 1 Units @0.0000						
10/19/2018	***-**-43IN - CUP, NICHOLAS	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	1.78	0.00	1.78	25.0	0.45
	ACCOUNT #: LSR006890	BUY 1 Units @0.0000						
	* WILLIAM AGNELLO SUBTOTAL *		\$0.00	\$229.06	\$0.00	\$229.06		\$57.28
 <u>BROKER: JAMES LOMBARD</u> 								
11/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 2 Units @28.4000						
11/12/2018	***-**-2885 - BISHOP, DAVID	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00068915116	BUY 2 Units @28.4100						
11/15/2018	***-**-8238 - ASMUS, MICHAEL	AMERICAN BALANCED FUND-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00074487927	BUY 3 Units @28.3100						
11/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN MUTUAL FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @43.7000						
11/13/2018	***-**-8806 - MABRY, REBECCA	CAPITAL INCOME BUILDER-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00082729374	BUY 1 Units @61.2400						
11/13/2018	***-**-8806 - MABRY, REBECCA	EUROPACIFIC GROWTH FUND-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00082729374	BUY 1 Units @50.7000						
11/06/2018	***-**-2608 - GIAMAS, GREGORY	FUNDAMENTAL INVESTORS-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @64.8500						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: JAMES LOMBARDO (continued)</u>								
11/12/2018	***-**-2885 - BISHOP, DAVID	FUNDAMENTAL INVESTORS-A	75.00	3.19	0.00	3.19	15.0	0.48
	ACCOUNT #: 00068915116	BUY 1 Units @64.0500						
11/02/2018	***-**-0683 - DAVIS, SHARON	HARTFORD ADVISERS FUND CLASS A	0.00	1.86	0.00	1.86	15.0	0.28
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
11/02/2018	***-**-0683 - DAVIS, SHARON	HARTFORD INFLATION PLUS FUND CLASS	0.00	2.19	0.00	2.19	15.0	0.33
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
11/02/2018	***-**-0683 - DAVIS, SHARON	HARTFORD INFLATION PLUS FUND CLASS	0.00	10.65	0.00	10.65	15.0	1.60
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
11/06/2018	***-**-2608 - GIAMAS, GREGORY	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @45.5100						
11/12/2018	***-**-2885 - BISHOP, DAVID	NEW PERSPECTIVE FUND-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00068915116	BUY 1 Units @44.6100						
11/19/2018	***-**-13CL - BERG, C, CLIENTS	NEW YORK 529 TRAILS	0.00	0.27	0.00	0.27	15.0	0.04
	ACCOUNT #: 77450911001	BUY 0 Units @0.0000						
11/06/2018	***-**-2608 - GIAMAS, GREGORY	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @54.6800						
11/12/2018	***-**-2885 - BISHOP, DAVID	THE GROWTH FUND OF AMERICA-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00068915116	BUY 1 Units @53.9500						
11/12/2018	***-**-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 @53.9500						
11/02/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD ADVISERS FUND-C	0.00	9.35	0.00	9.35	15.0	1.40
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
11/02/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	2.42	0.00	2.42	15.0	0.36
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
11/02/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	12.31	0.00	12.31	15.0	1.85
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
11/15/2018	***-**-8238 - ASMUS, MICHAEL	THE INVESTMENT COMPANY OF AMERICA-A	140.00	5.25	0.00	5.25	15.0	0.79
	ACCOUNT #: 00074487927	BUY 3 Units @41.3300						
11/05/2018	***-**-3828 - DUSABLON, DANIEL	U.S. GOVERNMENT SECURITIES FUND CLA	150.00	4.50	0.00	4.50	15.0	0.68
	ACCOUNT #: 00084530390	BUY 11 Units @13.6800						
11/12/2018	***-**-98CL - ACOSTA, CLIENTS	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00083299252	BUY 1 Units @47.4400						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
		* JAMES LOMBARD SUBTOTAL *	\$1,090.00	\$80.47	\$0.00	\$80.47		\$12.07
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$26,648.67	\$2,167.53	\$0.00	\$2,167.53		\$266.97

BROKER COMMISSION TOTALS

Broker Transactions	\$1,045.51
Split Transactions	\$0.00
Override Transactions	\$266.97
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	\$1,312.48
Year-to-date Earnings	\$102,598.50