



# COMMISSION STATEMENT

## December 17, 2018

JAMES LOMBARDO  
231 Hill Road  
Rome, NY 13441

BROKER #: A08  
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>								
12/12/2018	***-**-2885 - BISHOP, DAVID	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00068915116	BUY 2 Units @28.2300						
12/12/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	100.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00083088053	BUY 4 Units @28.4600						
12/13/2018	***-**-8806 - MABRY, REBECCA	CAPITAL INCOME BUILDER-A	75.00	2.81	0.00	2.81	80.0	2.25
	ACCOUNT #: 00082729374	BUY 1 Units @61.0400						
12/10/2018	***-**-98CL - ACOSTA, CLIENTS	EUROPACIFIC GROWTH FUND-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00083299252	BUY 1 Units @49.2600						
12/13/2018	***-**-8806 - MABRY, REBECCA	EUROPACIFIC GROWTH FUND-A	75.00	2.81	0.00	2.81	80.0	2.25
	ACCOUNT #: 00082729374	BUY 2 Units @49.9200						
12/10/2018	***-**-98CL - ACOSTA, CLIENTS	FUNDAMENTAL INVESTORS-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00083299252	BUY 1 Units @62.5300						
12/12/2018	***-**-2885 - BISHOP, DAVID	FUNDAMENTAL INVESTORS-A	75.00	3.19	0.00	3.19	80.0	2.55
	ACCOUNT #: 00068915116	BUY 1 Units @63.1700						
12/12/2018	***-**-2885 - BISHOP, DAVID	NEW PERSPECTIVE FUND-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00068915116	BUY 1 Units @44.5300						
11/15/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM EQUITY INCOME FUND-A	50.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00461190200	BUY 2 Units @25.7100						
12/12/2018	***-**-2885 - BISHOP, DAVID	THE GROWTH FUND OF AMERICA-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00068915116	BUY 1 Units @53.3700						
12/12/2018	***-**-1748 - LOMBARDO, JAMES	THE GROWTH FUND OF AMERICA-A	100.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00083088053	BUY 2 Units @53.7900						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$725.00</b>	<b>\$31.96</b>	<b>\$0.00</b>	<b>\$31.96</b>		<b>\$25.55</b>
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
12/17/2018	***-**-13CL - BERG, C, CLIENTS	NEW YORK 529 TRAILS	0.00	0.26	0.00	0.26	80.0	0.21
	ACCOUNT #: 77450911001	BUY 0 Units @0.0000						
<b>* 529 PLAN SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$0.26</b>	<b>\$0.00</b>	<b>\$0.26</b>		<b>\$0.21</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/03/2018	***-**-0935 - MINEO, JAMES	AMERICAN BALANCED FUND-529A	0.00	10.79	0.00	10.79	80.0	8.63
	ACCOUNT #: 00073571816	BUY 0 Units @0.0000						
12/03/2018	***-**-2885 - BISHOP, DAVID	AMERICAN BALANCED FUND-A	0.00	6.96	0.00	6.96	80.0	5.57
	ACCOUNT #: 00068915116	BUY 0 Units @0.0000						
12/03/2018	***-**-7067 - SMITH, CAROL	AMERICAN BALANCED FUND-A	0.00	3.20	0.00	3.20	80.0	2.56
	ACCOUNT #: 00073595941	BUY 0 Units @0.0000						
12/03/2018	***-**-2095 - MARONEY, ROBERT	AMERICAN BALANCED FUND-A	0.00	29.26	0.00	29.26	80.0	23.41
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						
12/03/2018	***-**-3510 - GUGINO, ROBIN	AMERICAN BALANCED FUND-A	0.00	9.10	0.00	9.10	80.0	7.28
	ACCOUNT #: 00075079307	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	0.00	8.88	0.00	8.88	80.0	7.10
	ACCOUNT #: 00075139902	BUY 0 Units @0.0000						
12/03/2018	***-**-1760 - MAJORS, JANET	AMERICAN BALANCED FUND-A	0.00	6.36	0.00	6.36	80.0	5.09
	ACCOUNT #: 00075488556	BUY 0 Units @0.0000						
12/03/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN BALANCED FUND-A	0.00	6.42	0.00	6.42	80.0	5.14
	ACCOUNT #: 00081315892	BUY 0 Units @0.0000						
12/03/2018	***-**-13CL - BERG, C, CLIENTS	AMERICAN BALANCED FUND-A	0.00	12.80	0.00	12.80	80.0	10.24
	ACCOUNT #: 00081534780	BUY 0 Units @0.0000						
12/03/2018	***-**-5484 - KULCZYNSKI,	AMERICAN BALANCED FUND-A	0.00	14.54	0.00	14.54	80.0	11.63
	ACCOUNT #: 00081538281	BUY 0 Units @0.0000						
12/03/2018	***-**-6802 - NAKANO, AMELIA	AMERICAN BALANCED FUND-A	0.00	5.97	0.00	5.97	80.0	4.78
	ACCOUNT #: 00082853395	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	0.00	7.11	0.00	7.11	80.0	5.69
	ACCOUNT #: 00083468095	BUY 0 Units @0.0000						
12/03/2018	***-**-8900 - MARTIN, JAMES	AMERICAN BALANCED FUND-A	0.00	1.59	0.00	1.59	80.0	1.27
	ACCOUNT #: 00084439788	BUY 0 Units @0.0000						
12/03/2018	***-**-1433 - ANDERSON, NANCY	AMERICAN BALANCED FUND-A	0.00	2.67	0.00	2.67	80.0	2.14
	ACCOUNT #: 00085338654	BUY 0 Units @0.0000						
12/03/2018	***-**-0229 - VINCENT, JOSEPH	AMERICAN BALANCED FUND-A	0.00	2.04	0.00	2.04	80.0	1.63
	ACCOUNT #: 00086823451	BUY 0 Units @0.0000						
12/03/2018	***-**-2509 - CLARK, GABRIELLE	AMERICAN BALANCED FUND-A	0.00	0.31	0.00	0.31	80.0	0.25
	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>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/03/2018	***-**-3040 - KOTARY, BRANDY	AMERICAN BALANCED FUND-A	0.00	1.21	0.00	1.21	80.0	0.97
	ACCOUNT #: 00087642268	BUY 0 Units @0.0000						
12/03/2018	***-**-4238 - STRASSER, JOANN	AMERICAN BALANCED FUND-A	0.00	2.98	0.00	2.98	80.0	2.38
	ACCOUNT #: 00087697498	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	0.00	0.65	0.00	0.65	80.0	0.52
	ACCOUNT #: 00088153955	BUY 0 Units @0.0000						
12/03/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	0.00	2.12	0.00	2.12	80.0	1.70
	ACCOUNT #: 04000460394	BUY 0 Units @0.0000						
12/03/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	0.00	2.65	0.00	2.65	80.0	2.12
	ACCOUNT #: 04000460402	BUY 0 Units @0.0000						
12/03/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	0.00	18.85	0.00	18.85	80.0	15.08
	ACCOUNT #: 00089228818	BUY 0 Units @0.0000						
12/03/2018	***-**-8238 - ASMUS, MICHAEL	AMERICAN BALANCED FUND-A	0.00	13.65	0.00	13.65	80.0	10.92
	ACCOUNT #: 00074487927	BUY 0 Units @0.0000						
12/03/2018	***-**-4165 - EICHHORN,	AMERICAN BALANCED FUND-A	0.00	8.89	0.00	8.89	80.0	7.11
	ACCOUNT #: 00075441363	BUY 0 Units @0.0000						
12/03/2018	***-**-7241 - LENIHAN IRR	AMERICAN BALANCED FUND-A	0.00	43.09	0.00	43.09	80.0	34.47
	ACCOUNT #: 00084513371	BUY 0 Units @0.0000						
12/03/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	0.00	5.68	0.00	5.68	80.0	4.54
	ACCOUNT #: 00087068370	BUY 0 Units @0.0000						
12/03/2018	***-**-9313 - DONNELLY, SUSAN	AMERICAN BALANCED FUND-A	0.00	11.97	0.00	11.97	80.0	9.58
	ACCOUNT #: 00088156132	BUY 0 Units @0.0000						
12/03/2018	***-**-2056 - DONNELLY,	AMERICAN BALANCED FUND-A	0.00	11.87	0.00	11.87	80.0	9.50
	ACCOUNT #: 00088230744	BUY 0 Units @0.0000						
12/03/2018	***-**-0147 - RIZZO, JAMES	AMERICAN BALANCED FUND-A	0.00	22.06	0.00	22.06	80.0	17.65
	ACCOUNT #: 00088432565	BUY 0 Units @0.0000						
12/03/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	0.00	7.93	0.00	7.93	80.0	6.34
	ACCOUNT #: 00089216358	BUY 0 Units @0.0000						
12/03/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	0.00	2.72	0.00	2.72	80.0	2.18
	ACCOUNT #: 00089665845	BUY 0 Units @0.0000						
12/03/2018	***-**-2704 - DOBRANSKY, ALAN	AMERICAN BALANCED FUND-A	0.00	4.53	0.00	4.53	80.0	3.62
	ACCOUNT #: 00089978644	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN HIGH-INCOME TRUST-A	0.00	3.67	0.00	3.67	80.0	2.94
	ACCOUNT #: 00082295499	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN HIGH-INCOME TRUST-A	0.00	0.88	0.00	0.88	80.0	0.70
	ACCOUNT #: 00083468095	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN HIGH-INCOME TRUST-A	0.00	0.67	0.00	0.67	80.0	0.54
	ACCOUNT #: 00084623430	BUY 0 Units @0.0000						
12/03/2018	***-**-5885 - HEPLER, MAY	AMERICAN HIGH-INCOME TRUST-A	0.00	1.01	0.00	1.01	80.0	0.81
	ACCOUNT #: 00084623446	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN HIGH-INCOME TRUST-A	0.00	0.95	0.00	0.95	80.0	0.76
	ACCOUNT #: 00086934940	BUY 0 Units @0.0000						
12/03/2018	***-**-7067 - SMITH, CAROL	AMERICAN MUTUAL FUND-A	0.00	1.22	0.00	1.22	80.0	0.98
	ACCOUNT #: 00073595941	BUY 0 Units @0.0000						
12/03/2018	***-**-2095 - MARONEY, ROBERT	AMERICAN MUTUAL FUND-A	0.00	7.69	0.00	7.69	80.0	6.15
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						
12/03/2018	***-**-3510 - GUGINO, ROBIN	AMERICAN MUTUAL FUND-A	0.00	3.40	0.00	3.40	80.0	2.72
	ACCOUNT #: 00075079307	BUY 0 Units @0.0000						
12/03/2018	***-**-1760 - MAJORS, JANET	AMERICAN MUTUAL FUND-A	0.00	2.70	0.00	2.70	80.0	2.16
	ACCOUNT #: 00075488556	BUY 0 Units @0.0000						
12/03/2018	***-**-2608 - GIMAS, GREGORY	AMERICAN MUTUAL FUND-A	0.00	7.63	0.00	7.63	80.0	6.10
	ACCOUNT #: 00081315892	BUY 0 Units @0.0000						
12/03/2018	***-**-13CL - BERG, C, CLIENTS	AMERICAN MUTUAL FUND-A	0.00	4.60	0.00	4.60	80.0	3.68
	ACCOUNT #: 00081534780	BUY 0 Units @0.0000						
12/03/2018	***-**-5484 - KULCZYNSKI,	AMERICAN MUTUAL FUND-A	0.00	2.59	0.00	2.59	80.0	2.07
	ACCOUNT #: 00081538281	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN MUTUAL FUND-A	0.00	3.65	0.00	3.65	80.0	2.92
	ACCOUNT #: 00082229843	BUY 0 Units @0.0000						
12/03/2018	***-**-9208 - COLUCCIO, MARY	AMERICAN MUTUAL FUND-A	0.00	17.09	0.00	17.09	80.0	13.67
	ACCOUNT #: 00060551224	BUY 0 Units @0.0000						
12/03/2018	***-**-4165 - EICHHORN,	AMERICAN MUTUAL FUND-A	0.00	1.90	0.00	1.90	80.0	1.52
	ACCOUNT #: 00075441363	BUY 0 Units @0.0000						
12/03/2018	***-**-2095 - MARONEY, ROBERT	CAPITAL INCOME BUILDER-A	0.00	13.78	0.00	13.78	80.0	11.02
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/03/2018	***-**-3510 - GUGINO, ROBIN	CAPITAL INCOME BUILDER-A	0.00	5.23	0.00	5.23	80.0	4.18
	ACCOUNT #: 00075079307	BUY 0 Units @0.0000						
12/03/2018	***-**-1760 - MAJORS, JANET	CAPITAL INCOME BUILDER-A	0.00	2.98	0.00	2.98	80.0	2.38
	ACCOUNT #: 00075488556	BUY 0 Units @0.0000						
12/03/2018	***-**-13CL - BERG, C, CLIENTS	CAPITAL INCOME BUILDER-A	0.00	8.29	0.00	8.29	80.0	6.63
	ACCOUNT #: 00081534780	BUY 0 Units @0.0000						
12/03/2018	***-**-5484 - KULCZYNSKI,	CAPITAL INCOME BUILDER-A	0.00	6.98	0.00	6.98	80.0	5.58
	ACCOUNT #: 00081538281	BUY 0 Units @0.0000						
12/03/2018	***-**-6403 - GARGUILO, JU	CAPITAL INCOME BUILDER-A	0.00	10.36	0.00	10.36	80.0	8.29
	ACCOUNT #: 00084100700	BUY 0 Units @0.0000						
12/03/2018	***-**-8900 - MARTIN, JAMES	CAPITAL INCOME BUILDER-A	0.00	0.23	0.00	0.23	80.0	0.18
	ACCOUNT #: 00084439788	BUY 0 Units @0.0000						
12/03/2018	***-**-78IR - LONGLAND, PAULA	CAPITAL INCOME BUILDER-A	0.00	9.27	0.00	9.27	80.0	7.42
	ACCOUNT #: 00086809974	BUY 0 Units @0.0000						
12/03/2018	***-**-7138 - KUHNAST, GELLENA	CAPITAL INCOME BUILDER-A	0.00	0.93	0.00	0.93	80.0	0.74
	ACCOUNT #: 00087360423	BUY 0 Units @0.0000						
12/03/2018	***-**-6948 - DIBBLE, MONTY	CAPITAL INCOME BUILDER-A	0.00	2.55	0.00	2.55	80.0	2.04
	ACCOUNT #: 00087557561	BUY 0 Units @0.0000						
12/03/2018	***-**-4165 - EICHHORN,	CAPITAL INCOME BUILDER-A	0.00	5.22	0.00	5.22	80.0	4.18
	ACCOUNT #: 00075441363	BUY 0 Units @0.0000						
12/03/2018	***-**-5925 - SANTA MARIA,	CAPITAL INCOME BUILDER-A	0.00	6.39	0.00	6.39	80.0	5.11
	ACCOUNT #: 00082083085	BUY 0 Units @0.0000						
12/03/2018	***-**-8806 - MABRY, REBECCA	CAPITAL INCOME BUILDER-A	0.00	8.10	0.00	8.10	80.0	6.48
	ACCOUNT #: 00082729374	BUY 0 Units @0.0000						
12/03/2018	***-**-7138 - KUHNAST, GELLENA	CAPITAL WORLD BOND FUND-A	0.00	0.32	0.00	0.32	80.0	0.26
	ACCOUNT #: 00087360423	BUY 0 Units @0.0000						
12/03/2018	***-**-6948 - DIBBLE, MONTY	CAPITAL WORLD BOND FUND-A	0.00	1.26	0.00	1.26	80.0	1.01
	ACCOUNT #: 00087557561	BUY 0 Units @0.0000						
12/03/2018	***-**-78IR - LONGLAND, PAULA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.78	0.00	3.78	80.0	3.02
	ACCOUNT #: 00086809974	BUY 0 Units @0.0000						
12/03/2018	***-**-7138 - KUHNAST, GELLENA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.86	0.00	0.86	80.0	0.69
	ACCOUNT #: 00087360423	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/03/2018	***-**-6948 - DIBBLE, MONTY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.26	0.00	2.26	80.0	1.81
	ACCOUNT #: 00087557561	BUY 0 Units @0.0000						
12/03/2018	***-**-3040 - KOTARY, BRANDY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.73	0.00	0.73	80.0	0.58
	ACCOUNT #: 00087642268	BUY 0 Units @0.0000						
12/03/2018	***-**-4238 - STRASSER, JOANN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.77	0.00	2.77	80.0	2.22
	ACCOUNT #: 00087697498	BUY 0 Units @0.0000						
12/03/2018	***-**-4017 - BURKEY, FRED	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	6.33	0.00	6.33	80.0	5.06
	ACCOUNT #: 00075679652	BUY 0 Units @0.0000						
12/03/2018	***-**-7077 - MISERCOLA, DIANE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.34	0.00	2.34	80.0	1.87
	ACCOUNT #: 00082441411	BUY 0 Units @0.0000						
12/03/2018	***-**-0147 - RIZZO, JAMES	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	21.40	0.00	21.40	80.0	17.12
	ACCOUNT #: 00088432565	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	EUROPACIFIC GROWTH FUND-A	0.00	2.30	0.00	2.30	80.0	1.84
	ACCOUNT #: 00082229843	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	EUROPACIFIC GROWTH FUND-A	0.00	3.58	0.00	3.58	80.0	2.86
	ACCOUNT #: 00083299252	BUY 0 Units @0.0000						
12/03/2018	***-**-78IR - LONGLAND, PAULA	EUROPACIFIC GROWTH FUND-A	0.00	1.64	0.00	1.64	80.0	1.31
	ACCOUNT #: 00086809974	BUY 0 Units @0.0000						
12/03/2018	***-**-8806 - MABRY, REBECCA	EUROPACIFIC GROWTH FUND-A	0.00	7.96	0.00	7.96	80.0	6.37
	ACCOUNT #: 00082729374	BUY 0 Units @0.0000						
12/03/2018	***-**-2885 - BISHOP, DAVID	FUNDAMENTAL INVESTORS-A	0.00	4.62	0.00	4.62	80.0	3.70
	ACCOUNT #: 00068915116	BUY 0 Units @0.0000						
12/03/2018	***-**-7067 - SMITH, CAROL	FUNDAMENTAL INVESTORS-A	0.00	3.76	0.00	3.76	80.0	3.01
	ACCOUNT #: 00073595941	BUY 0 Units @0.0000						
12/03/2018	***-**-2095 - MARONEY, ROBERT	FUNDAMENTAL INVESTORS-A	0.00	9.40	0.00	9.40	80.0	7.52
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						
12/03/2018	***-**-3510 - GUGINO, ROBIN	FUNDAMENTAL INVESTORS-A	0.00	3.97	0.00	3.97	80.0	3.18
	ACCOUNT #: 00075079307	BUY 0 Units @0.0000						
12/03/2018	***-**-1760 - MAJORS, JANET	FUNDAMENTAL INVESTORS-A	0.00	5.30	0.00	5.30	80.0	4.24
	ACCOUNT #: 00075488556	BUY 0 Units @0.0000						
12/03/2018	***-**-2608 - GIAMAS, GREGORY	FUNDAMENTAL INVESTORS-A	0.00	8.27	0.00	8.27	80.0	6.62
	ACCOUNT #: 00081315892	BUY 0 Units @0.0000						



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JAMES LOMBARDO  
231 Hill Road  
Rome, NY 13441

BROKER #: A08  
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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>								
12/03/2018	***-**-13CL - BERG, C, CLIENTS	FUNDAMENTAL INVESTORS-A	0.00	2.92	0.00	2.92	80.0	2.34
	ACCOUNT #: 00081534780	BUY 0 Units @0.0000						
12/03/2018	***-**-5484 - KULCZYNSKI,	FUNDAMENTAL INVESTORS-A	0.00	2.26	0.00	2.26	80.0	1.81
	ACCOUNT #: 00081538281	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	FUNDAMENTAL INVESTORS-A	0.00	5.37	0.00	5.37	80.0	4.30
	ACCOUNT #: 00083299252	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	FUNDAMENTAL INVESTORS-A	0.00	2.19	0.00	2.19	80.0	1.75
	ACCOUNT #: 00083468095	BUY 0 Units @0.0000						
12/03/2018	***-**-8900 - MARTIN, JAMES	FUNDAMENTAL INVESTORS-A	0.00	0.75	0.00	0.75	80.0	0.60
	ACCOUNT #: 00084439788	BUY 0 Units @0.0000						
12/03/2018	***-**-1433 - ANDERSON, NANCY	FUNDAMENTAL INVESTORS-A	0.00	1.73	0.00	1.73	80.0	1.38
	ACCOUNT #: 00085338654	BUY 0 Units @0.0000						
12/03/2018	***-**-4165 - EICHHORN,	FUNDAMENTAL INVESTORS-A	0.00	1.19	0.00	1.19	80.0	0.95
	ACCOUNT #: 00075441363	BUY 0 Units @0.0000						
12/03/2018	***-**-4017 - BURKEY, FRED	FUNDAMENTAL INVESTORS-A	0.00	4.09	0.00	4.09	80.0	3.27
	ACCOUNT #: 00075679652	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	FUNDAMENTAL INVESTORS-A	0.00	1.42	0.00	1.42	80.0	1.14
	ACCOUNT #: 00086934940	BUY 0 Units @0.0000						
12/04/2018	***-**-0683 - DAVIS, SHARON	HARTFORD ADVISERS FUND CLASS A	0.00	3.97	0.00	3.97	80.0	3.18
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
12/04/2018	***-**-0683 - DAVIS, SHARON	HARTFORD INFLATION PLUS FUND CLASS	0.00	4.67	0.00	4.67	80.0	3.74
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
12/03/2018	***-**-2608 - GIAMAS, GREGORY	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	1.58	0.00	1.58	80.0	1.26
	ACCOUNT #: 00081315892	BUY 0 Units @0.0000						
12/03/2018	***-**-7241 - LENIHAN IRR	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	19.88	0.00	19.88	80.0	15.90
	ACCOUNT #: 00084513371	BUY 0 Units @0.0000						
12/03/2018	***-**-2885 - BISHOP, DAVID	NEW PERSPECTIVE FUND-A	0.00	7.23	0.00	7.23	80.0	5.78
	ACCOUNT #: 00068915116	BUY 0 Units @0.0000						
12/03/2018	***-**-7067 - SMITH, CAROL	NEW PERSPECTIVE FUND-A	0.00	1.53	0.00	1.53	80.0	1.22
	ACCOUNT #: 00073595941	BUY 0 Units @0.0000						
12/03/2018	***-**-2095 - MARONEY, ROBERT	NEW PERSPECTIVE FUND-A	0.00	8.87	0.00	8.87	80.0	7.10
	ACCOUNT #: 00074101227	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>								
12/03/2018	***-**-1760 - MAJORS, JANET	NEW PERSPECTIVE FUND-A	0.00	2.85	0.00	2.85	80.0	2.28
	ACCOUNT #: 00075488556	BUY 0 Units @0.0000						
12/03/2018	***-**-2608 - GIMAS, GREGORY	NEW PERSPECTIVE FUND-A	0.00	7.72	0.00	7.72	80.0	6.18
	ACCOUNT #: 00081315892	BUY 0 Units @0.0000						
12/03/2018	***-**-13CL - BERG, C, CLIENTS	NEW PERSPECTIVE FUND-A	0.00	2.30	0.00	2.30	80.0	1.84
	ACCOUNT #: 00081534780	BUY 0 Units @0.0000						
12/03/2018	***-**-5484 - KULCZYNSKI,	NEW PERSPECTIVE FUND-A	0.00	3.11	0.00	3.11	80.0	2.49
	ACCOUNT #: 00081538281	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	NEW PERSPECTIVE FUND-A	0.00	3.42	0.00	3.42	80.0	2.74
	ACCOUNT #: 00082229843	BUY 0 Units @0.0000						
12/03/2018	***-**-3040 - KOTARY, BRANDY	NEW PERSPECTIVE FUND-A	0.00	1.06	0.00	1.06	80.0	0.85
	ACCOUNT #: 00087642268	BUY 0 Units @0.0000						
12/03/2018	***-**-4238 - STRASSER, JOANN	NEW PERSPECTIVE FUND-A	0.00	1.86	0.00	1.86	80.0	1.49
	ACCOUNT #: 00087697498	BUY 0 Units @0.0000						
12/03/2018	***-**-4165 - EICHHORN,	NEW PERSPECTIVE FUND-A	0.00	2.00	0.00	2.00	80.0	1.60
	ACCOUNT #: 00075441363	BUY 0 Units @0.0000						
12/03/2018	***-**-4017 - BURKEY, FRED	NEW WORLD FUND-A	0.00	1.47	0.00	1.47	80.0	1.18
	ACCOUNT #: 00075679652	BUY 0 Units @0.0000						
12/03/2018	***-**-2095 - MARONEY, ROBERT	THE BOND FUND OF AMERICA-A	0.00	1.63	0.00	1.63	80.0	1.30
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						
12/03/2018	***-**-3510 - GUGINO, ROBIN	THE BOND FUND OF AMERICA-A	0.00	1.12	0.00	1.12	80.0	0.90
	ACCOUNT #: 00075079307	BUY 0 Units @0.0000						
12/03/2018	***-**-1760 - MAJORS, JANET	THE BOND FUND OF AMERICA-A	0.00	0.85	0.00	0.85	80.0	0.68
	ACCOUNT #: 00075488556	BUY 0 Units @0.0000						
12/03/2018	***-**-5484 - KULCZYNSKI,	THE BOND FUND OF AMERICA-A	0.00	3.85	0.00	3.85	80.0	3.08
	ACCOUNT #: 00081538281	BUY 0 Units @0.0000						
12/03/2018	***-**-9134 - DARROW, DWIGHT	THE BOND FUND OF AMERICA-A	0.00	3.26	0.00	3.26	80.0	2.61
	ACCOUNT #: 00081787398	BUY 0 Units @0.0000						
12/03/2018	***-**-4982 - UPDEGROVE, ALMA	THE BOND FUND OF AMERICA-A	0.00	23.22	0.00	23.22	80.0	18.58
	ACCOUNT #: 00081820793	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	THE BOND FUND OF AMERICA-A	0.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00082229843	BUY 0 Units @0.0000						





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BROKER #: A08  
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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>								
12/03/2018	***-**-6802 - NAKANO, AMELIA	THE BOND FUND OF AMERICA-A	0.00	3.86	0.00	3.86	80.0	3.09
	ACCOUNT #: 00082853395	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	THE BOND FUND OF AMERICA-A	0.00	0.68	0.00	0.68	80.0	0.54
	ACCOUNT #: 00083468095	BUY 0 Units @0.0000						
12/03/2018	***-**-8900 - MARTIN, JAMES	THE BOND FUND OF AMERICA-A	0.00	0.43	0.00	0.43	80.0	0.34
	ACCOUNT #: 00084439788	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	THE BOND FUND OF AMERICA-A	0.00	1.01	0.00	1.01	80.0	0.81
	ACCOUNT #: 00084623430	BUY 0 Units @0.0000						
12/03/2018	***-**-5885 - HEPLER, MAY	THE BOND FUND OF AMERICA-A	0.00	1.29	0.00	1.29	80.0	1.03
	ACCOUNT #: 00084623446	BUY 0 Units @0.0000						
12/03/2018	***-**-1433 - ANDERSON, NANCY	THE BOND FUND OF AMERICA-A	0.00	0.70	0.00	0.70	80.0	0.56
	ACCOUNT #: 00085338654	BUY 0 Units @0.0000						
12/03/2018	***-**-78IR - LONGLAND, PAULA	THE BOND FUND OF AMERICA-A	0.00	2.16	0.00	2.16	80.0	1.73
	ACCOUNT #: 00086809974	BUY 0 Units @0.0000						
12/03/2018	***-**-3040 - KOTARY, BRANDY	THE BOND FUND OF AMERICA-A	0.00	1.69	0.00	1.69	80.0	1.35
	ACCOUNT #: 00087642268	BUY 0 Units @0.0000						
12/03/2018	***-**-4238 - STRASSER, JOANN	THE BOND FUND OF AMERICA-A	0.00	1.37	0.00	1.37	80.0	1.10
	ACCOUNT #: 00087697498	BUY 0 Units @0.0000						
12/03/2018	***-**-6759 - TARANTINO, GARY	THE BOND FUND OF AMERICA-A	0.00	0.63	0.00	0.63	80.0	0.50
	ACCOUNT #: 00089449406	BUY 0 Units @0.0000						
12/03/2018	***-**-9727 - GATES, DOROTHY	THE BOND FUND OF AMERICA-A	0.00	0.62	0.00	0.62	80.0	0.50
	ACCOUNT #: 04000215167	BUY 0 Units @0.0000						
12/03/2018	***-**-9208 - COLUCCIO, MARY	THE BOND FUND OF AMERICA-A	0.00	7.24	0.00	7.24	80.0	5.79
	ACCOUNT #: 00060551224	BUY 0 Units @0.0000						
12/03/2018	***-**-4165 - EICHHORN,	THE BOND FUND OF AMERICA-A	0.00	5.58	0.00	5.58	80.0	4.46
	ACCOUNT #: 00075441363	BUY 0 Units @0.0000						
12/03/2018	***-**-5925 - SANTA MARIA,	THE BOND FUND OF AMERICA-A	0.00	3.63	0.00	3.63	80.0	2.90
	ACCOUNT #: 00082083085	BUY 0 Units @0.0000						
12/03/2018	***-**-8806 - MABRY, REBECCA	THE BOND FUND OF AMERICA-A	0.00	6.75	0.00	6.75	80.0	5.40
	ACCOUNT #: 00082729374	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	THE BOND FUND OF AMERICA-A	0.00	3.40	0.00	3.40	80.0	2.72
	ACCOUNT #: 00086934940	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/03/2018	***-**-2885 - BISHOP, DAVID	THE GROWTH FUND OF AMERICA-A	0.00	8.05	0.00	8.05	80.0	6.44
	ACCOUNT #: 00068915116	BUY 0 Units @0.0000						
12/03/2018	***-**-7067 - SMITH, CAROL	THE GROWTH FUND OF AMERICA-A	0.00	4.20	0.00	4.20	80.0	3.36
	ACCOUNT #: 00073595941	BUY 0 Units @0.0000						
12/03/2018	***-**-2095 - MARONEY, ROBERT	THE GROWTH FUND OF AMERICA-A	0.00	11.12	0.00	11.12	80.0	8.90
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						
12/03/2018	***-**-3510 - GUGINO, ROBIN	THE GROWTH FUND OF AMERICA-A	0.00	4.94	0.00	4.94	80.0	3.95
	ACCOUNT #: 00075079307	BUY 0 Units @0.0000						
12/03/2018	***-**-1760 - MAJORS, JANET	THE GROWTH FUND OF AMERICA-A	0.00	7.49	0.00	7.49	80.0	5.99
	ACCOUNT #: 00075488556	BUY 0 Units @0.0000						
12/03/2018	***-**-2608 - GIAMAS, GREGORY	THE GROWTH FUND OF AMERICA-A	0.00	9.40	0.00	9.40	80.0	7.52
	ACCOUNT #: 00081315892	BUY 0 Units @0.0000						
12/03/2018	***-**-13CL - BERG, C, CLIENTS	THE GROWTH FUND OF AMERICA-A	0.00	5.12	0.00	5.12	80.0	4.10
	ACCOUNT #: 00081534780	BUY 0 Units @0.0000						
12/03/2018	***-**-5484 - KULCZYNSKI,	THE GROWTH FUND OF AMERICA-A	0.00	3.36	0.00	3.36	80.0	2.69
	ACCOUNT #: 00081538281	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	THE GROWTH FUND OF AMERICA-A	0.00	5.55	0.00	5.55	80.0	4.44
	ACCOUNT #: 00082295499	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	THE GROWTH FUND OF AMERICA-A	0.00	5.66	0.00	5.66	80.0	4.53
	ACCOUNT #: 00083299252	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	THE GROWTH FUND OF AMERICA-A	0.00	2.21	0.00	2.21	80.0	1.77
	ACCOUNT #: 00083468095	BUY 0 Units @0.0000						
12/03/2018	***-**-8900 - MARTIN, JAMES	THE GROWTH FUND OF AMERICA-A	0.00	0.86	0.00	0.86	80.0	0.69
	ACCOUNT #: 00084439788	BUY 0 Units @0.0000						
12/03/2018	***-**-1433 - ANDERSON, NANCY	THE GROWTH FUND OF AMERICA-A	0.00	3.35	0.00	3.35	80.0	2.68
	ACCOUNT #: 00085338654	BUY 0 Units @0.0000						
12/03/2018	***-**-78IR - LONGLAND, PAULA	THE GROWTH FUND OF AMERICA-A	0.00	8.33	0.00	8.33	80.0	6.66
	ACCOUNT #: 00086809974	BUY 0 Units @0.0000						
12/03/2018	***-**-3586 - WOODWORTH,	THE GROWTH FUND OF AMERICA-A	0.00	6.42	0.00	6.42	80.0	5.14
	ACCOUNT #: 00086918983	BUY 0 Units @0.0000						
12/03/2018	***-**-7138 - KUHNAST, GELLENA	THE GROWTH FUND OF AMERICA-A	0.00	1.23	0.00	1.23	80.0	0.98
	ACCOUNT #: 00087360423	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/03/2018	***-**-6948 - DIBBLE, MONTY	THE GROWTH FUND OF AMERICA-A	0.00	3.01	0.00	3.01	80.0	2.41
	ACCOUNT #: 00087557561	BUY 0 Units @0.0000						
12/03/2018	***-**-6759 - TARANTINO, GARY	THE GROWTH FUND OF AMERICA-A	0.00	1.53	0.00	1.53	80.0	1.22
	ACCOUNT #: 00089449406	BUY 0 Units @0.0000						
12/03/2018	***-**-4165 - EICHORN,	THE GROWTH FUND OF AMERICA-A	0.00	6.10	0.00	6.10	80.0	4.88
	ACCOUNT #: 00075441363	BUY 0 Units @0.0000						
12/03/2018	***-**-4017 - BURKEY, FRED	THE GROWTH FUND OF AMERICA-A	0.00	3.84	0.00	3.84	80.0	3.07
	ACCOUNT #: 00075679652	BUY 0 Units @0.0000						
12/03/2018	***-**-2270 - DANGLER, GINA	THE GROWTH FUND OF AMERICA-A	0.00	0.78	0.00	0.78	80.0	0.62
	ACCOUNT #: 00082492694	BUY 0 Units @0.0000						
12/03/2018	***-**-1748 - LOMBARDO, JAMES	THE GROWTH FUND OF AMERICA-A	0.00	14.42	0.00	14.42	80.0	11.54
	ACCOUNT #: 00083088053	BUY 0 Units @0.0000						
12/03/2018	***-**-3618 - VAILE, STACEY	THE GROWTH FUND OF AMERICA-A	0.00	4.47	0.00	4.47	80.0	3.58
	ACCOUNT #: 00083933946	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	THE GROWTH FUND OF AMERICA-A	0.00	10.58	0.00	10.58	80.0	8.46
	ACCOUNT #: 00086934940	BUY 0 Units @0.0000						
12/03/2018	***-**-0147 - RIZZO, JAMES	THE GROWTH FUND OF AMERICA-A	0.00	32.04	0.00	32.04	80.0	25.63
	ACCOUNT #: 00088432565	BUY 0 Units @0.0000						
12/03/2018	***-**-1748 - LOMBARDO, JAMES	THE GROWTH FUND OF AMERICA-A	0.00	8.39	0.00	8.39	80.0	6.71
	ACCOUNT #: 00089665845	BUY 0 Units @0.0000						
12/04/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	5.27	0.00	5.27	80.0	4.22
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
12/03/2018	***-**-2885 - BISHOP, DAVID	THE INCOME FUND OF AMERICA-A	0.00	4.62	0.00	4.62	80.0	3.70
	ACCOUNT #: 00068915116	BUY 0 Units @0.0000						
12/03/2018	***-**-7067 - SMITH, CAROL	THE INCOME FUND OF AMERICA-A	0.00	1.29	0.00	1.29	80.0	1.03
	ACCOUNT #: 00073595941	BUY 0 Units @0.0000						
12/03/2018	***-**-2095 - MARONEY, ROBERT	THE INCOME FUND OF AMERICA-A	0.00	15.03	0.00	15.03	80.0	12.02
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						
12/03/2018	***-**-3510 - GUGINO, ROBIN	THE INCOME FUND OF AMERICA-A	0.00	5.65	0.00	5.65	80.0	4.52
	ACCOUNT #: 00075079307	BUY 0 Units @0.0000						
12/03/2018	***-**-13CL - BERG, C, CLIENTS	THE INCOME FUND OF AMERICA-A	0.00	10.14	0.00	10.14	80.0	8.11
	ACCOUNT #: 00081534780	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/03/2018	***-**-5484 - KULCZYNSKI, ACCOUNT #: 00081538281	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	8.75	0.00	8.75	80.0	7.00
12/03/2018	***-**-98CL - ACOSTA, CLIENTS ACCOUNT #: 00082295499	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.98	0.00	3.98	80.0	3.18
12/03/2018	***-**-6403 - GARGUILO, JU ACCOUNT #: 00084100700	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	12.46	0.00	12.46	80.0	9.97
12/03/2018	***-**-8900 - MARTIN, JAMES ACCOUNT #: 00084439788	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.52	0.00	0.52	80.0	0.42
12/03/2018	***-**-1433 - ANDERSON, NANCY ACCOUNT #: 00085338654	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.40	0.00	0.40	80.0	0.32
12/03/2018	***-**-4165 - EICHORN, ACCOUNT #: 00075441363	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	6.07	0.00	6.07	80.0	4.86
12/03/2018	***-**-5925 - SANTA MARIA, ACCOUNT #: 00082083085	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	7.67	0.00	7.67	80.0	6.14
12/03/2018	***-**-7077 - MISERCOLA, DIANE ACCOUNT #: 00082441411	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.35	0.00	2.35	80.0	1.88
12/03/2018	***-**-5484 - KULCZYNSKI, ACCOUNT #: 00081538281	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	1.19	0.00	1.19	80.0	0.95
12/03/2018	***-**-7138 - KUHNAST, GELLENA ACCOUNT #: 00087360423	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	1.03	0.00	1.03	80.0	0.82
12/03/2018	***-**-5280 - KIRBY, JENNIFER ACCOUNT #: 00087401450	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	2.57	0.00	2.57	80.0	2.06
12/03/2018	***-**-6948 - DIBBLE, MONTY ACCOUNT #: 00087557561	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	2.67	0.00	2.67	80.0	2.14
12/03/2018	***-**-8238 - ASMUS, MICHAEL ACCOUNT #: 00074487927	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @0.0000	0.00	28.01	0.00	28.01	80.0	22.41
12/03/2018	***-**-3510 - GUGINO, ROBIN ACCOUNT #: 00075079307	THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	4.33	0.00	4.33	80.0	3.46
12/03/2018	***-**-6802 - NAKANO, AMELIA ACCOUNT #: 00082853395	THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	7.61	0.00	7.61	80.0	6.09
12/03/2018	***-**-3586 - WOODWORTH, ACCOUNT #: 00086918983	THE NEW ECONOMY FUND-A BUY 0 Units @0.0000	0.00	3.22	0.00	3.22	80.0	2.58



# COMMISSION STATEMENT

## December 17, 2018

JAMES LOMBARDO  
231 Hill Road  
Rome, NY 13441

BROKER #: A08  
BRANCH #01016 - 16 - CASPER

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>								
12/03/2018	***-**-7077 - MISERCOLA, DIANE	THE NEW ECONOMY FUND-A	0.00	3.27	0.00	3.27	80.0	2.62
	ACCOUNT #: 00082441411	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	5.15	0.00	5.15	80.0	4.12
	ACCOUNT #: 00084623418	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	10.08	0.00	10.08	80.0	8.06
	ACCOUNT #: 00084623430	BUY 0 Units @0.0000						
12/03/2018	***-**-5885 - HEPLER, MAY	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	15.17	0.00	15.17	80.0	12.14
	ACCOUNT #: 00084623446	BUY 0 Units @0.0000						
12/03/2018	***-**-9727 - GATES, DOROTHY	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	2.31	0.00	2.31	80.0	1.85
	ACCOUNT #: 04000215167	BUY 0 Units @0.0000						
12/03/2018	***-**-1063 - DUSABLON, ANGELA	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	5.14	0.00	5.14	80.0	4.11
	ACCOUNT #: 00084530289	BUY 0 Units @0.0000						
12/03/2018	***-**-3828 - DUSABLON, DANIEL	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	16.03	0.00	16.03	80.0	12.82
	ACCOUNT #: 00084530390	BUY 0 Units @0.0000						
12/03/2018	***-**-2095 - MARONEY, ROBERT	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	6.34	0.00	6.34	80.0	5.07
	ACCOUNT #: 00074101227	BUY 0 Units @0.0000						
12/03/2018	***-**-3510 - GUGINO, ROBIN	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	3.24	0.00	3.24	80.0	2.59
	ACCOUNT #: 00075079307	BUY 0 Units @0.0000						
12/03/2018	***-**-1760 - MAJORS, JANET	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	1.10	0.00	1.10	80.0	0.88
	ACCOUNT #: 00075488556	BUY 0 Units @0.0000						
12/03/2018	***-**-13CL - BERG, C, CLIENTS	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	3.34	0.00	3.34	80.0	2.67
	ACCOUNT #: 00081534780	BUY 0 Units @0.0000						
12/03/2018	***-**-5484 - KULCZYNSKI,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	2.79	0.00	2.79	80.0	2.23
	ACCOUNT #: 00081538281	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	5.02	0.00	5.02	80.0	4.02
	ACCOUNT #: 00082295499	BUY 0 Units @0.0000						
12/03/2018	***-**-6802 - NAKANO, AMELIA	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	6.79	0.00	6.79	80.0	5.43
	ACCOUNT #: 00082853395	BUY 0 Units @0.0000						
12/03/2018	***-**-98CL - ACOSTA, CLIENTS	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	5.15	0.00	5.15	80.0	4.12
	ACCOUNT #: 00083299252	BUY 0 Units @0.0000						
12/03/2018	***-**-78IR - LONGLAND, PAULA	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	14.67	0.00	14.67	80.0	11.74
	ACCOUNT #: 00086809974	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

## December 17, 2018

JAMES LOMBARDO  
231 Hill Road  
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BROKER #: A08  
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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>								
12/03/2018	***-**-3586 - WOODWORTH, ACCOUNT #: 00086918983	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	2.80	0.00	2.80	80.0	2.24
12/03/2018	***-**-3040 - KOTARY, BRANDY ACCOUNT #: 00087642268	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	0.78	0.00	0.78	80.0	0.62
12/03/2018	***-**-4238 - STRASSER, JOANN ACCOUNT #: 00087697498	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	2.69	0.00	2.69	80.0	2.15
12/03/2018	***-**-4165 - EICHHORN, ACCOUNT #: 00075441363	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	6.70	0.00	6.70	80.0	5.36
12/03/2018	***-**-7077 - MISERCOLA, DIANE ACCOUNT #: 00082441411	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	2.85	0.00	2.85	80.0	2.28
12/03/2018	***-**-8806 - MABRY, REBECCA ACCOUNT #: 00082729374	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	11.58	0.00	11.58	80.0	9.26
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$1,134.22</b>	<b>\$0.00</b>	<b>\$1,134.22</b>		<b>\$907.39</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$725.00</b>	<b>\$1,166.44</b>	<b>\$0.00</b>	<b>\$1,166.44</b>		<b>\$933.15</b>

### BROKER COMMISSION TOTALS

Broker Transactions	\$933.15
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$39.09
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

<b>Net Commission Earned</b>	<b>\$972.24</b>
<b>Year-to-date Earnings</b>	<b>\$7,185.85</b>