



# COMMISSION STATEMENT

November 12, 2018

FREDERIC SCARPULLA  
400 West Metro Park  
Rochester, NY 14623

BROKER #: 417  
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>								
11/01/2018	***-**-539I - JALLOH, ABDULAI	AMCAP FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00084394270	BUY 2 Units @28.4200						
10/29/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 1 Units @26.4000						
10/29/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @26.4000						
11/01/2018	***-**-975P - COTTONE, MARIA	AMERICAN BALANCED FUND-A	100.00	3.75	0.00	3.75	80.0	3.00
	ACCOUNT #: 00086785798	BUY 4 Units @28.2300						
11/02/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 1 Units @26.8600						
11/02/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @26.8600						
10/29/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089957234	BUY 2 Units @26.2200						
10/29/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	12.00	0.12	0.00	0.12	80.0	0.10
	ACCOUNT #: 00089051066	BUY 0 Units @26.2200						
10/29/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	160.00	1.60	0.00	1.60	80.0	1.28
	ACCOUNT #: 00089051066	BUY 6 Units @26.2200						
10/30/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089045192	BUY 2 Units @26.4800						
10/30/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	20.04	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089583477	BUY 1 Units @26.4800						
11/01/2018	***-**-984I - DELUCA, SHARI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00064868315	BUY 2 Units @26.7700						
11/01/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	3.63	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @26.7700						
11/01/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 1 Units @26.7700						
11/01/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904181	BUY 0 Units @26.7700						
11/01/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	1.29	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @26.7700						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/01/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.47	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @26.7700						
11/01/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00085904210	BUY 1 Units @26.7700						
11/01/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	80.0	0.96
	ACCOUNT #: 00089910177	BUY 4 Units @26.7700						
11/01/2018	***-**-255U - LIPPA, HARITINI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000385806	BUY 2 Units @26.7700						
10/29/2018	***-**-1102 - FINOCCHARIO,	AMERICAN FUNDS 2050 TARGET DATE-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 04001203455	BUY 2 Units @14.1700						
11/01/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00087236607	BUY 0 Units @10.0600						
11/01/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	80.0	0.84
	ACCOUNT #: 00087236607	BUY 10 Units @10.0600						
11/02/2018	***-**-05IO - KIMBLE, LONNY	AMERICAN HIGH-INCOME TRUST-C	463.41	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: LSR011472	SELL 46 Units @10.0800						
10/29/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758347	BUY 1 Units @40.3100						
10/29/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	600.00	6.00	0.00	6.00	80.0	4.80
	ACCOUNT #: 00066759711	BUY 15 Units @40.3100						
11/01/2018	***-**-6410 - LEAHY, JEFFRIE	AMERICAN MUTUAL FUND-A	1,200.00	12.00	0.00	12.00	80.0	9.60
	ACCOUNT #: 00073513664	BUY 29 Units @41.2400						
11/02/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758347	BUY 1 Units @41.0800						
11/02/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	600.00	6.00	0.00	6.00	80.0	4.80
	ACCOUNT #: 00066759711	BUY 15 Units @41.0800						
10/29/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @39.7100						
11/01/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904181	BUY 0 Units @40.6300						
11/01/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	1.07	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @40.6300						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/17/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION C	64.02	0.64	0.00	0.64	80.0	0.51
	ACCOUNT #: 03222325444	BUY 0 Units @0.0000						
10/26/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
10/26/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	68.00	0.68	0.00	0.68	80.0	0.54
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						
10/26/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
11/01/2018	***-**-975P - COTTONE, MARIA	CAPITAL INCOME BUILDER-A	100.00	3.75	0.00	3.75	80.0	3.00
	ACCOUNT #: 00086785798	BUY 2 Units @61.2500						
10/29/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00066758344	BUY 0 Units @46.1600						
10/30/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00089045192	BUY 1 Units @46.1500						
11/01/2018	***-**-048I - DEAN, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00065085393	BUY 11 Units @47.2400						
11/01/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	3.60	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00087038420	BUY 0 Units @47.2400						
11/01/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	80.0	0.77
	ACCOUNT #: 00087038420	BUY 2 Units @47.2400						
11/01/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @47.2400						
11/02/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00066758344	BUY 0 Units @47.7500						
10/26/2018	***-**-85IN - MAZZOLA, BARBARA	EMERGING MARKETS INNOVATORS FUND C	7.50	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00100051019	BUY 0 Units @0.0000						
10/17/2018	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. C	48.01	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 08370596090	BUY 0 Units @0.0000						
10/17/2018	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 08370627385	BUY 0 Units @0.0000						
10/29/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00066759710	BUY 0 Units @59.0400						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/02/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00066759710	BUY 0 Units @61.2000						
10/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00089051066	BUY 0 Units @58.6900						
10/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	80.00	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00089051066	BUY 1 Units @58.6900						
10/29/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @58.6900						
11/01/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	2.40	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @61.2500						
11/01/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085902226	BUY 0 Units @61.2500						
11/01/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	2.23	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @61.2500						
11/01/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085904203	BUY 0 Units @61.2500						
10/17/2018	***-**-729I - GIAMBRONE, KELLY	GLOBAL OPPORTUNITIES FUND C	80.02	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 02171875445	BUY 0 Units @0.0000						
10/24/2018	***-**-2620 - CUSIMANO, MEGAN	GLOBAL OPPORTUNITIES FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02171800557	BUY 0 Units @0.0000						
10/24/2018	***-**-9530 - MILAM, IAN	GLOBAL OPPORTUNITIES FUND C	37.50	0.38	0.00	0.38	80.0	0.30
	ACCOUNT #: 02171914814	BUY 0 Units @0.0000						
10/26/2018	***-**-85IN - MAZZOLA, BARBARA	GLOBAL OPPORTUNITIES FUND C	15.00	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 02171893331	BUY 0 Units @0.0000						
10/26/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						
10/29/2018	***-**-90FB - DIODATO, CAROL	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
11/01/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	1.95	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087236607	BUY 0 Units @22.1700						
11/01/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00087236607	BUY 2 Units @22.1700						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/02/2018	***-**-05IO - KIMBLE, LONNY	INCOME FUND OF AMERICA CLASS C	463.41	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: LSR011472	SELL 21 Units @22.1000						
10/29/2018	***-**-564I - CARNEY, BARBARA	INVESTMENT COMPANY OF AMERICA CLASS	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089563161	BUY 0 Units @37.9900						
10/30/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	19.46	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 00089583477	BUY 1 Units @38.5200						
11/01/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	3.74	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @39.2100						
11/01/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00085902249	BUY 1 Units @39.2100						
11/01/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	1.12	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @39.2100						
11/01/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	4.00	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @39.2100						
10/17/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	80.02	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						
10/24/2018	***-**-2620 - CUSIMANO, MEGAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
10/24/2018	***-**-9530 - MILAM, IAN	MAIN STREET FUND C	75.00	0.75	0.00	0.75	80.0	0.60
	ACCOUNT #: 07024527061	BUY 0 Units @0.0000						
10/26/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
10/26/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
10/29/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
10/29/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
10/29/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00089051066	BUY 0 Units @39.4400						
10/29/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	80.00	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00089051066	BUY 2 Units @39.4400						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/01/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @41.3100						
11/01/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085902226	BUY 1 Units @41.3100						
11/01/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @41.3100						
11/01/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @41.3100						
11/01/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	2.61	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @41.3100						
11/01/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 1 Units @41.3100						
11/01/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @58.0700						
11/01/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085902226	BUY 0 Units @58.0700						
11/01/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.60	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @58.0700						
11/01/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @58.0700						
11/01/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @58.0700						
11/01/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @58.0700						
10/26/2018	***-**-3407 - TUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
10/26/2018	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
10/26/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
10/26/2018	***-**-85IN - MAZZOLA, BARBARA	OPPENHEIMER INTERNATIONAL DIVERSIFI	7.50	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 01971104114	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

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400 West Metro Park  
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BROKER #: 417  
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 FUNDS (continued)</b>								
10/17/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	48.02	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
10/17/2018	***-**-541P - SCHILLACI, AMY	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						
10/17/2018	***-**-1314 - BENEDETTO,	OPPENHEIMER RISING DIVIDENDS FUND C	125.00	1.25	0.00	1.25	80.0	1.00
	ACCOUNT #: 02270934318	BUY 0 Units @0.0000						
10/17/2018	***-**-655P - DAVIS, BERTHA	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02271237808	BUY 0 Units @0.0000						
10/26/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02271182830	BUY 0 Units @0.0000						
10/29/2018	***-**-4980 - MOYER, COLLEEN	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
10/17/2018	***-**-8706 - BOSCO, REN	QUEST BALANCED FUND C	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 02590094105	BUY 0 Units @0.0000						
10/17/2018	***-**-1314 - BENEDETTO,	QUEST BALANCED FUND C	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 02592292741	BUY 0 Units @0.0000						
10/24/2018	***-**-2620 - CUSIMANO, MEGAN	REAL ESTATE FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 05920400103	BUY 0 Units @0.0000						
10/24/2018	***-**-9530 - MILAM, IAN	REAL ESTATE FUND C	37.50	0.38	0.00	0.38	80.0	0.30
	ACCOUNT #: 05920429869	BUY 0 Units @0.0000						
10/26/2018	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
10/26/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
10/29/2018	***-**-4980 - MOYER, COLLEEN	SMALL- & MID- CAP VALUE FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02531288969	BUY 0 Units @0.0000						
10/29/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	80.00	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00089051066	BUY 2 Units @45.6900						
10/29/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00089051066	BUY 0 Units @45.6900						
11/01/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @48.0900						



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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 FUNDS (continued)</b>								
11/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 0 Units @48.0900	1.80	0.02	0.00	0.02	80.0	0.02
10/17/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 02322751089	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	125.00	1.25	0.00	1.25	80.0	1.00
10/26/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 01920863291	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	10.00	0.10	0.00	0.10	80.0	0.08
11/01/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 0 Units @12.3800	3.63	0.04	0.00	0.04	80.0	0.03
11/01/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.3800	28.05	0.28	0.00	0.28	80.0	0.22
11/01/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.3800	9.00	0.09	0.00	0.09	80.0	0.07
11/01/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 0 Units @12.3800	1.93	0.02	0.00	0.02	80.0	0.02
10/29/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 5 Units @49.5900	250.00	2.50	0.00	2.50	80.0	2.00
10/29/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	THE GROWTH FUND OF AMERICA-A BUY 1 Units @49.5900	30.00	0.30	0.00	0.30	80.0	0.24
10/29/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	THE GROWTH FUND OF AMERICA-A BUY 1 Units @49.5900	30.00	0.30	0.00	0.30	80.0	0.24
10/29/2018	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE GROWTH FUND OF AMERICA-A BUY 1 Units @49.5900	50.00	0.50	0.00	0.50	80.0	0.40
10/29/2018	***-**-095P - RIVERA, MIGUEL ACCOUNT #: 00074922243	THE GROWTH FUND OF AMERICA-A BUY 1 Units @49.5900	60.00	0.60	0.00	0.60	80.0	0.48
10/29/2018	***-**-4750 - OSCHMANN, MARK ACCOUNT #: 00083414110	THE GROWTH FUND OF AMERICA-A BUY 1 Units @49.5900	72.23	0.72	0.00	0.72	80.0	0.58
10/29/2018	***-**-9447 - ZAJONCZKOSKI, ACCOUNT #: 00087318332	THE GROWTH FUND OF AMERICA-A BUY 0 Units @49.5900	20.00	0.20	0.00	0.20	80.0	0.16
10/29/2018	***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	THE GROWTH FUND OF AMERICA-A BUY 0 Units @49.5900	10.00	0.10	0.00	0.10	80.0	0.08
10/29/2018	***-**-995P - ARBORE, CARL ACCOUNT #: 00081166789	THE GROWTH FUND OF AMERICA-A BUY 1 Units @51.3900	50.00	1.38	0.00	1.38	80.0	1.10





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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/01/2018	***-**-42IR - ADAMS, GRACE	THE GROWTH FUND OF AMERICA-A	50.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00073505114	BUY 1 Units @55.2900						
11/02/2018	***-**-195P - OZMINKOWSKI,	THE GROWTH FUND OF AMERICA-A	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00066758342	BUY 5 Units @51.8400						
11/02/2018	***-**-405P - FRISA, ALAN	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758344	BUY 1 Units @51.8400						
11/02/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758347	BUY 1 Units @51.8400						
11/02/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00066758348	BUY 1 Units @51.8400						
11/02/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	60.00	0.60	0.00	0.60	80.0	0.48
	ACCOUNT #: 00074922243	BUY 1 Units @51.8400						
11/02/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	81.64	0.82	0.00	0.82	80.0	0.66
	ACCOUNT #: 00083414110	BUY 2 Units @51.8400						
11/02/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00087318332	BUY 0 Units @51.8400						
11/02/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @51.8400						
11/02/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	200.00	7.50	0.00	7.50	80.0	6.00
	ACCOUNT #: 00086606929	BUY 4 Units @54.2800						
11/02/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	51.84	1.94	0.00	1.94	80.0	1.55
	ACCOUNT #: 00086606929	BUY 1 Units @54.2800						
10/29/2018	***-**-482I - MARCONI, TODD	THE GROWTH FUND OF AMERICA-C	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089570936	BUY 0 Units @45.6900						
10/29/2018	***-**-5945 - INFANTINO,	THE GROWTH FUND OF AMERICA-C	400.00	4.00	0.00	4.00	80.0	3.20
	ACCOUNT #: 04000722726	BUY 9 Units @45.6900						
10/30/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00089045192	BUY 1 Units @46.3900						
10/30/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	19.45	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 00089583477	BUY 0 Units @46.3900						
11/01/2018	***-**-984I - DELUCA, SHARI	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00064868315	BUY 1 Units @48.0100						



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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 FUNDS (continued)</b>								
11/01/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @48.0100						
11/01/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @48.0100						
11/01/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @48.0100						
11/01/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @48.0100						
10/29/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00066758342	BUY 7 Units @38.4100						
10/29/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00066758348	BUY 1 Units @38.4100						
10/29/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 1 Units @38.4100						
11/01/2018	***-**-545P - VISCA, ANGELO	THE INVESTMENT COMPANY OF AMERICA-A	100.00	2.75	0.00	2.75	80.0	2.20
	ACCOUNT #: 00063056262	BUY 2 Units @41.1000						
11/02/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00066758342	BUY 6 Units @39.4000						
11/02/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00066758348	BUY 1 Units @39.4000						
11/02/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 1 Units @39.4000						
11/01/2018	***-**-9024 - HACKETT, ETHAN	THE NEW ECONOMY FUND-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00088123299	BUY 1 Units @40.6300						
10/30/2018	***-**-278J - GUERRIERI, JOHN	THE TAX-EXEMPT BOND FUND OF AMERICA	2,000.00	20.00	0.00	20.00	80.0	16.00
	ACCOUNT #: 00084395514	BUY 159 Units @12.6100						
10/30/2018	***-**-511N - GUERRIERI, KIM	THE TAX-EXEMPT BOND FUND OF AMERICA	1,000.00	10.00	0.00	10.00	80.0	8.00
	ACCOUNT #: 00085399151	BUY 79 Units @12.6100						
10/30/2018	***-**-75UG - GUERRIERI, SOFIA	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00085399166	BUY 20 Units @12.6100						
11/01/2018	***-**-935J - RUSH, DONNA	THE TAX-EXEMPT BOND FUND OF AMERICA	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085296459	BUY 4 Units @12.5800						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/01/2018	***-**-44UG - GUERRIERI,	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00085399145	BUY 20 Units @12.5800						
10/29/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00066758345	BUY 12 Units @43.2900						
11/01/2018	***-**-545P - VISCA, ANGELO	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	1.38	0.00	1.38	80.0	1.10
	ACCOUNT #: 00063056262	BUY 1 Units @46.4500						
11/02/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00066758345	BUY 11 Units @44.6000						
10/29/2018	***-**-482I - MARCONI, TODD	WASHINGTON MUTUAL INVESTORS FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @42.6900						
11/01/2018	***-**-984I - DELUCA, SHARI	WASHINGTON MUTUAL INVESTORS FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00064868315	BUY 1 Units @44.1900						
11/01/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @44.1900						
* MUTUAL FUNDS SUBTOTAL *			\$15,854.39	\$167.25	\$0.00	\$167.25		\$133.75
<b>PRODUCT CATEGORY: 529 PLAN</b>								
11/01/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087198121	BUY 2 Units @26.9000						
11/01/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087198137	BUY 2 Units @26.9000						
11/12/2018	***-**-3758 - CONNORS, DAVID	NY 529 ADDITIONAL DEPOSIT	24.75	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 77162702001	BUY 0 Units @0.0000						
11/12/2018	***-**-7870 - CUSIMANO, CHAD	NY 529 ADDITIONAL DEPOSIT	990.00	10.00	0.00	10.00	80.0	8.00
		BUY 0 Units @0.0000						
11/12/2018	***-**-335P - JULIAN, GIOVANA	NY 529 ADDITIONAL DEPOSIT	223.98	2.27	0.00	2.27	80.0	1.82
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
11/12/2018	***-**-80IN - MOYER, COLLEEN	NY 529 ADDITIONAL DEPOSIT	48.25	1.52	0.00	1.52	80.0	1.22
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
11/12/2018	***-**-275P - ROBERTS,	NY 529 ADDITIONAL DEPOSIT	346.50	3.50	0.00	3.50	80.0	2.80
	ACCOUNT #: 77891325801	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$1,733.48	\$18.54	\$0.00	\$18.54		\$14.84



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
10/31/2018	***-**-27UG - RYAN, JOHN	FRANKLIN GROWTH FUND CLASS A	0.00	4.78	0.00	4.78	80.0	3.82
	ACCOUNT #: 000060171830130	BUY 0 Units @0.0000						
10/31/2018	***-**-45UG - SASSONE, RENEE	FRK GRWTH FND - CL C	0.00	4.52	0.00	4.52	80.0	3.62
	ACCOUNT #: 000000001261522	BUY 0 Units @0.0000						
10/31/2018	***-**-4956 - COOPER, KELI	FT MODERATE TARGET FUND - CLASS A	0.00	0.86	0.00	0.86	80.0	0.69
	ACCOUNT #: 000000000714840	BUY 0 Units @0.0000						
10/26/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER CORP BOND FND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00100067156	BUY 0 Units @0.0000						
10/31/2018	***-**-45UG - SASSONE, RENEE	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	1.21	0.00	1.21	80.0	0.97
	ACCOUNT #: 000000001981075	BUY 0 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$25.00</b>	<b>\$11.62</b>	<b>\$0.00</b>	<b>\$11.62</b>		<b>\$9.30</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$17,612.87</b>	<b>\$197.41</b>	<b>\$0.00</b>	<b>\$197.41</b>		<b>\$157.89</b>

## BROKER COMMISSION TOTALS

Broker Transactions	\$157.89
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

<b>Net Commission Earned</b>	<b>\$157.89</b>
<b>Year-to-date Earnings</b>	<b>\$191,796.28</b>