



COMMISSION STATEMENT

October 08, 2018

JOSEPH FERRY
327 Church Street
Naugatuck, CT 06770

BROKER #: 180
BRANCH #01001 - LifeMark Home Office

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/04/2018	***-**-2831 - RINALDI, JAMES	AMCAP FUND-A	30.59	1.30	0.00	1.30	80.0	1.04
	ACCOUNT #: 04001030377	BUY 1 Units @36.5900						
10/04/2018	***-**-2831 - RINALDI, JAMES	AMCAP FUND-A	18.35	0.78	0.00	0.78	80.0	0.62
	ACCOUNT #: 04001030377	BUY 1 Units @36.5900						
10/01/2018	***-**-325X - WARD, JAMES	AMERICAN 2035 TARGET DATE RETIREMNT	100.00	1.00	3.00	-2.00	100.0	-2.00
	ACCOUNT #: LSR010789	BUY 7 Units @15.2700						
10/01/2018	***-**-007X - MONACO, CARMINE	AMERICAN 2035 TARGET DATE RETIREMNT	1,324.99	13.25	3.00	10.25	80.0	8.20
	ACCOUNT #: LSR010800	BUY 87 Units @15.2700						
10/01/2018	***-**-310X - HARDWICK, TODD	AMERICAN 2035 TARGET DATE RETIREMNT	90.00	0.90	3.00	-2.10	100.0	-2.10
	ACCOUNT #: LSR011310	BUY 6 Units @15.2700						
10/04/2018	***-**-7626 - OLSEN, BRANDON	AMERICAN 2055 TARGET DATE RETIREMEN	101.25	4.30	0.00	4.30	80.0	3.44
	ACCOUNT #: 04001030237	BUY 5 Units @20.6600						
10/04/2018	***-**-7626 - OLSEN, BRANDON	AMERICAN 2055 TARGET DATE RETIREMEN	28.93	1.23	0.00	1.23	80.0	0.98
	ACCOUNT #: 04001030237	BUY 1 Units @20.6600						
10/01/2018	***-**-6453 - BORDONARO, LINDA	AMERICAN BALANCED FUND-A	30.00	0.83	0.00	0.83	80.0	0.66
	ACCOUNT #: 00083064667	BUY 1 Units @29.0200						
10/01/2018	***-**-6453 - BORDONARO, LINDA	AMERICAN BALANCED FUND-A	33.74	0.93	0.00	0.93	80.0	0.74
	ACCOUNT #: 00083064667	BUY 1 Units @29.0200						
10/01/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	47.78	1.31	0.00	1.31	80.0	1.05
	ACCOUNT #: 04000563712	BUY 2 Units @29.0200						
10/01/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	159.28	4.38	0.00	4.38	80.0	3.50
	ACCOUNT #: 04000563712	BUY 5 Units @29.0200						
10/03/2018	***-**-1870 - WITHER, EDWARD	AMERICAN BALANCED FUND-A	21.36	0.91	0.00	0.91	80.0	0.73
	ACCOUNT #: 04000812765	BUY 1 Units @29.4300						
10/03/2018	***-**-1870 - WITHER, EDWARD	AMERICAN BALANCED FUND-A	31.54	1.34	0.00	1.34	80.0	1.07
	ACCOUNT #: 04000812765	BUY 1 Units @29.4300						
10/05/2018	***-**-875P - SHIMUNOV, ILICH	AMERICAN BALANCED FUND-A	30.00	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00081805810	BUY 1 Units @28.1300						
10/05/2018	***-**-707I - COLON, ANGEL	AMERICAN BALANCED FUND-A	25.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00081805964	BUY 1 Units @28.1300						
10/05/2018	***-**-707I - COLON, ANGEL	AMERICAN BALANCED FUND-A	25.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00081805964	BUY 1 Units @28.1300						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/05/2018	***-**-228I - FAULKNER, ACCOUNT #: 00081805988	AMERICAN BALANCED FUND-A BUY 11 Units @28.1300	298.08	3.58	0.00	3.58	80.0	2.86
10/05/2018	***-**-228I - FAULKNER, ACCOUNT #: 00081805988	AMERICAN BALANCED FUND-A BUY 11 Units @28.1300	298.08	3.58	0.00	3.58	80.0	2.86
10/05/2018	***-**-689I - FAULKNER, SANDRA ACCOUNT #: 00081806027	AMERICAN BALANCED FUND-A BUY 0 Units @28.1300	10.00	0.12	0.00	0.12	80.0	0.10
10/05/2018	***-**-689I - FAULKNER, SANDRA ACCOUNT #: 00081806027	AMERICAN BALANCED FUND-A BUY 11 Units @28.1300	298.08	3.58	0.00	3.58	80.0	2.86
10/05/2018	***-**-6453 - BORDONARO, LINDA ACCOUNT #: 00083064667	AMERICAN BALANCED FUND-A BUY 1 Units @28.7200	33.74	0.93	0.00	0.93	80.0	0.74
10/05/2018	***-**-6453 - BORDONARO, LINDA ACCOUNT #: 00083064667	AMERICAN BALANCED FUND-A BUY 1 Units @28.7200	30.00	0.83	0.00	0.83	80.0	0.66
10/05/2018	***-**-7973 - ROOSA, JOHN ACCOUNT #: 04000563712	AMERICAN BALANCED FUND-A BUY 2 Units @28.7200	47.78	1.31	0.00	1.31	80.0	1.05
10/05/2018	***-**-7973 - ROOSA, JOHN ACCOUNT #: 04000563712	AMERICAN BALANCED FUND-A BUY 6 Units @28.7200	159.28	4.38	0.00	4.38	80.0	3.50
10/01/2018	***-**-524X - CONLEY, WILLIAM ACCOUNT #: LSR012483	AMERICAN BALANCED FUND-C BUY 6 Units @27.8200	174.99	1.75	3.00	-1.25	100.0	-1.25
10/04/2018	***-**-3358 - WILCOX, JOANNE ACCOUNT #: 04001030342	AMERICAN BALANCED FUND-C BUY 14 Units @27.6300	400.00	4.00	0.00	4.00	80.0	3.20
10/04/2018	***-**-3358 - WILCOX, JOANNE ACCOUNT #: 04001030342	AMERICAN BALANCED FUND-C BUY 1 Units @27.6300	27.11	0.27	0.00	0.27	80.0	0.22
10/01/2018	***-**-309I - PARENT, NANCY ACCOUNT #: 00087513340	AMERICAN FUNDS 2020 TARGET DATE-A BUY 2 Units @13.3000	30.00	0.83	0.00	0.83	80.0	0.66
10/01/2018	***-**-309I - PARENT, NANCY ACCOUNT #: 00087513340	AMERICAN FUNDS 2020 TARGET DATE-A BUY 2 Units @13.3000	23.38	0.64	0.00	0.64	80.0	0.51
10/05/2018	***-**-309I - PARENT, NANCY ACCOUNT #: 00087513340	AMERICAN FUNDS 2020 TARGET DATE-A BUY 2 Units @13.1600	21.01	0.58	0.00	0.58	80.0	0.46
10/05/2018	***-**-309I - PARENT, NANCY ACCOUNT #: 00087513340	AMERICAN FUNDS 2020 TARGET DATE-A BUY 2 Units @13.1600	30.00	0.83	0.00	0.83	80.0	0.66
10/03/2018	***-**-6730 - GAUDIOSI, JAMES ACCOUNT #: 04000812746	AMERICAN FUNDS 2030 TARGET DATE-A BUY 5 Units @15.7300	81.00	3.44	0.00	3.44	80.0	2.75



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/03/2018	***-**-6730 - GAUDIOSI, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	365.00	15.51	0.00	15.51	80.0	12.41
	ACCOUNT #: 04000812746	BUY 23 Units @15.7300						
10/04/2018	***-**-8714 - LEACH, MICHELE	AMERICAN FUNDS 2030 TARGET DATE-A	65.32	2.78	0.00	2.78	80.0	2.22
	ACCOUNT #: 04001030247	BUY 4 Units @15.6000						
10/04/2018	***-**-8714 - LEACH, MICHELE	AMERICAN FUNDS 2030 TARGET DATE-A	27.99	1.19	0.00	1.19	80.0	0.95
	ACCOUNT #: 04001030247	BUY 2 Units @15.6000						
10/04/2018	***-**-857I - MUNDO, DIANE	AMERICAN FUNDS 2030 TARGET DATE-A	31.94	1.36	0.00	1.36	80.0	1.09
	ACCOUNT #: 04001030256	BUY 2 Units @15.6000						
10/04/2018	***-**-857I - MUNDO, DIANE	AMERICAN FUNDS 2030 TARGET DATE-A	31.94	1.36	0.00	1.36	80.0	1.09
	ACCOUNT #: 04001030256	BUY 2 Units @15.6000						
10/04/2018	***-**-0931 - LANGLOIS, JAMIE	AMERICAN FUNDS 2030 TARGET DATE-A	50.18	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 04001030268	BUY 3 Units @15.6000						
10/04/2018	***-**-0931 - LANGLOIS, JAMIE	AMERICAN FUNDS 2030 TARGET DATE-A	30.11	1.28	0.00	1.28	80.0	1.02
	ACCOUNT #: 04001030268	BUY 2 Units @15.6000						
10/04/2018	***-**-0777 - TUCKER, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	160.00	6.80	0.00	6.80	80.0	5.44
	ACCOUNT #: 04001030467	BUY 10 Units @15.6000						
10/04/2018	***-**-0777 - TUCKER, JAMES	AMERICAN FUNDS 2030 TARGET DATE-A	57.33	2.44	0.00	2.44	80.0	1.95
	ACCOUNT #: 04001030467	BUY 4 Units @15.6000						
10/01/2018	***-**-968X - GAW, LELAND	AMERICAN FUNDS 2030 TARGET DATE-C	1,220.00	12.20	3.00	9.20	80.0	7.36
	ACCOUNT #: LSR010777	BUY 83 Units @14.6800						
10/01/2018	***-**-552X - FAMIGLIETTI,	AMERICAN FUNDS 2030 TARGET DATE-C	800.00	8.00	3.00	5.00	80.0	4.00
	ACCOUNT #: LSR010780	BUY 54 Units @14.6800						
10/01/2018	***-**-558X - FAMIGLIETTI,	AMERICAN FUNDS 2030 TARGET DATE-C	100.00	1.00	3.00	-2.00	100.0	-2.00
	ACCOUNT #: LSR010788	BUY 7 Units @14.6800						
10/04/2018	***-**-7678 - LALIBERTE,	AMERICAN FUNDS 2030 TARGET DATE-C	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 04001030397	BUY 17 Units @14.5300						
10/04/2018	***-**-7678 - LALIBERTE,	AMERICAN FUNDS 2030 TARGET DATE-C	8.17	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 04001030397	BUY 1 Units @14.5300						
10/01/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	118.85	3.27	0.00	3.27	80.0	2.62
	ACCOUNT #: 04000563724	BUY 7 Units @16.1500						
10/01/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	44.57	1.23	0.00	1.23	80.0	0.98
	ACCOUNT #: 04000563724	BUY 3 Units @16.1500						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/03/2018	***-**-632I - GAUDIOSI, JANE	AMERICAN FUNDS 2035 TARGET DATE-A	365.00	15.51	0.00	15.51	80.0	12.41
	ACCOUNT #: 04000813270	BUY 22 Units @16.3600						
10/03/2018	***-**-632I - GAUDIOSI, JANE	AMERICAN FUNDS 2035 TARGET DATE-A	81.00	3.44	0.00	3.44	80.0	2.75
	ACCOUNT #: 04000813270	BUY 5 Units @16.3600						
10/05/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	44.57	1.23	0.00	1.23	80.0	0.98
	ACCOUNT #: 04000563724	BUY 3 Units @15.8500						
10/05/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	118.85	3.27	0.00	3.27	80.0	2.62
	ACCOUNT #: 04000563724	BUY 7 Units @15.8500						
10/01/2018	***-**-9875 - PETRO JR, JOHN	AMERICAN FUNDS 2040 TARGET DATE-A	302.13	11.33	0.00	11.33	80.0	9.06
	ACCOUNT #: 04000627489	BUY 18 Units @16.7600						
10/01/2018	***-**-9875 - PETRO JR, JOHN	AMERICAN FUNDS 2040 TARGET DATE-A	90.00	3.38	0.00	3.38	80.0	2.70
	ACCOUNT #: 04000627489	BUY 5 Units @16.7600						
10/03/2018	***-**-6609 - GAUDIOSI,	AMERICAN FUNDS 2040 TARGET DATE-A	300.00	12.75	0.00	12.75	80.0	10.20
	ACCOUNT #: 04000812733	BUY 18 Units @16.8100						
10/03/2018	***-**-6609 - GAUDIOSI,	AMERICAN FUNDS 2040 TARGET DATE-A	81.00	3.44	0.00	3.44	80.0	2.75
	ACCOUNT #: 04000812733	BUY 5 Units @16.8100						
10/03/2018	***-**-4516 - ST. AMAND, MARK	AMERICAN FUNDS 2040 TARGET DATE-A	10.00	0.43	0.00	0.43	80.0	0.34
	ACCOUNT #: 04000812773	BUY 1 Units @16.8100						
10/03/2018	***-**-4516 - ST. AMAND, MARK	AMERICAN FUNDS 2040 TARGET DATE-A	10.00	0.43	0.00	0.43	80.0	0.34
	ACCOUNT #: 04000812773	BUY 1 Units @16.8100						
10/04/2018	***-**-0258 - LALIBERTE,	AMERICAN FUNDS 2040 TARGET DATE-A	250.00	10.63	0.00	10.63	80.0	8.50
	ACCOUNT #: 04001030407	BUY 15 Units @16.6400						
10/04/2018	***-**-0258 - LALIBERTE,	AMERICAN FUNDS 2040 TARGET DATE-A	26.12	1.11	0.00	1.11	80.0	0.89
	ACCOUNT #: 04001030407	BUY 2 Units @16.6400						
10/04/2018	***-**-5529 - BINETTE, JASON	AMERICAN FUNDS 2040 TARGET DATE-A	64.31	2.73	0.00	2.73	80.0	2.18
	ACCOUNT #: 04001030412	BUY 4 Units @16.6400						
10/04/2018	***-**-5529 - BINETTE, JASON	AMERICAN FUNDS 2040 TARGET DATE-A	19.29	0.82	0.00	0.82	80.0	0.66
	ACCOUNT #: 04001030412	BUY 1 Units @16.6400						
10/04/2018	***-**-0355 - PERREAULT,	AMERICAN FUNDS 2040 TARGET DATE-A	240.00	10.20	0.00	10.20	80.0	8.16
	ACCOUNT #: 04001030442	BUY 14 Units @16.6400						
10/04/2018	***-**-0355 - PERREAULT,	AMERICAN FUNDS 2040 TARGET DATE-A	73.20	3.11	0.00	3.11	80.0	2.49
	ACCOUNT #: 04001030442	BUY 4 Units @16.6400						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/01/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @16.5600	45.41	1.25	0.00	1.25	80.0	1.00
10/01/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 11 Units @16.5600	187.00	5.14	0.00	5.14	80.0	4.11
10/01/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @16.5600	50.30	1.38	0.00	1.38	80.0	1.10
10/01/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 6 Units @16.5600	100.00	2.75	0.00	2.75	80.0	2.20
10/04/2018	***-**-7830 - COLELLA, CASEY ACCOUNT #: 04001030287	AMERICAN FUNDS 2050 TARGET DATE-A BUY 2 Units @16.6000	35.33	1.50	0.00	1.50	80.0	1.20
10/04/2018	***-**-7830 - COLELLA, CASEY ACCOUNT #: 04001030287	AMERICAN FUNDS 2050 TARGET DATE-A BUY 2 Units @16.6000	35.33	1.50	0.00	1.50	80.0	1.20
10/05/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @16.2400	45.41	1.25	0.00	1.25	80.0	1.00
10/05/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 12 Units @16.2400	187.00	5.14	0.00	5.14	80.0	4.11
10/05/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 6 Units @16.2400	100.00	2.75	0.00	2.75	80.0	2.20
10/05/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @16.2400	50.30	1.38	0.00	1.38	80.0	1.10
10/04/2018	***-**-5292 - BINETTE, JEREMY ACCOUNT #: 04001030422	AMERICAN FUNDS 2060 TARGET DATE-A BUY 2 Units @13.5900	23.35	0.99	0.00	0.99	80.0	0.79
10/04/2018	***-**-5292 - BINETTE, JEREMY ACCOUNT #: 04001030422	AMERICAN FUNDS 2060 TARGET DATE-A BUY 1 Units @13.5900	14.01	0.60	0.00	0.60	80.0	0.48
10/05/2018	***-**-0611 - FAULKNER, ACCOUNT #: 04000827629	AMERICAN FUNDS 2060 TARGET DATE-A BUY 6 Units @13.0300	75.00	0.90	0.00	0.90	80.0	0.72
10/05/2018	***-**-0611 - FAULKNER, ACCOUNT #: 04000827629	AMERICAN FUNDS 2060 TARGET DATE-A BUY 6 Units @13.0300	75.00	0.90	0.00	0.90	80.0	0.72
10/04/2018	***-**-2831 - RINALDI, JAMES ACCOUNT #: 04001030377	AMERICAN MUTUAL FUND-A BUY 1 Units @45.2200	30.58	1.30	0.00	1.30	80.0	1.04
10/04/2018	***-**-2831 - RINALDI, JAMES ACCOUNT #: 04001030377	AMERICAN MUTUAL FUND-A BUY 0 Units @45.2200	18.35	0.78	0.00	0.78	80.0	0.62



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
09/28/2018	***-**-01IN - PELLETIER, KELLY	FRANKLIN GROWTH FUND CLASS A	75.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 000060177222593	BUY 1 Units @111.4900						
09/28/2018	***-**-01IN - PELLETIER, KELLY	FRANKLIN INCOME FUND CLASS A	75.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 000090236508494	BUY 31 Units @2.4000						
09/28/2018	***-**-01IN - PELLETIER, KELLY	MUTUAL GLOBAL DISCOVERY FUND - CLAS	75.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 000000007745197	BUY 2 Units @33.5500						
09/28/2018	***-**-01IN - PELLETIER, KELLY	TEMP GLOBAL BOND FND - CL A	75.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 000006984020841	BUY 6 Units @11.8700						
10/04/2018	***-**-6749 - OLIVER, FAY	THE GROWTH FUND OF AMERICA-C	50.57	0.51	0.00	0.51	80.0	0.41
	ACCOUNT #: 04001030438	BUY 1 Units @51.4800						
10/04/2018	***-**-6749 - OLIVER, FAY	THE GROWTH FUND OF AMERICA-C	18.97	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 04001030438	BUY 0 Units @51.4800						
10/05/2018	***-**-875P - SHIMUNOV, ILICH	U.S. GOVERNMENT SECURITIES FUND CLA	30.00	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00081805810	BUY 2 Units @13.3500						
10/04/2018	***-**-6749 - OLIVER, FAY	WASHINGTON MUTUAL INVESTORS FUND-C	33.71	0.34	0.00	0.34	80.0	0.27
	ACCOUNT #: 04001030438	BUY 1 Units @46.2800						
10/04/2018	***-**-6749 - OLIVER, FAY	WASHINGTON MUTUAL INVESTORS FUND-C	12.64	0.13	0.00	0.13	80.0	0.10
	ACCOUNT #: 04001030438	BUY 0 Units @46.2800						
* MUTUAL FUNDS SUBTOTAL *			\$11,015.47	\$251.05	\$21.00	\$230.05		\$182.47

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/30/2018	***-**-367I - RAMADANOVIC,	CAPITAL APPRECIATION A	0.00	1.81	0.00	1.81	80.0	1.45
	ACCOUNT #: 03208406090	BUY 0 Units @0.0000						
09/30/2018	***-**-139I - STRATTON, RANIE	CAPITAL APPRECIATION A	0.00	133.61	0.00	133.61	80.0	106.89
	ACCOUNT #: 03209301380	BUY 0 Units @0.0000						
09/30/2018	***-**-833I - REYNOLDS, THOMAS	CAPITAL APPRECIATION A	0.00	26.44	0.00	26.44	80.0	21.15
	ACCOUNT #: 03210241880	BUY 0 Units @0.0000						
09/30/2018	***-**-966I - MASCARO, HOLLY	CAPITAL APPRECIATION A	0.00	6.49	0.00	6.49	80.0	5.19
	ACCOUNT #: 03210276288	BUY 0 Units @0.0000						
09/30/2018	***-**-2332 - DROZDENKO, ROBIN	CAPITAL APPRECIATION A	0.00	4.54	0.00	4.54	80.0	3.63
	ACCOUNT #: 03210716981	BUY 0 Units @0.0000						
09/30/2018	***-**-947I - LAMESA, MICHAEL	CAPITAL APPRECIATION A	0.00	0.75	0.00	0.75	80.0	0.60
	ACCOUNT #: 03211940049	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)								
09/30/2018	***-**-4155 - KOSTRAB, JUSTIN	CAPITAL APPRECIATION A	0.00	0.38	0.00	0.38	80.0	0.30
	ACCOUNT #: 03212086811	BUY 0 Units @0.0000						
09/30/2018	***-**-32SI - GAUDIOSI, JANE	CAPITAL APPRECIATION C	0.00	73.57	0.00	73.57	80.0	58.86
	ACCOUNT #: 03222239534	BUY 0 Units @0.0000						
09/30/2018	***-**-211I - POLLOCK, LINDA	CAPITAL INCOME A	0.00	5.60	0.00	5.60	80.0	4.48
	ACCOUNT #: 03008419994	BUY 0 Units @0.0000						
09/30/2018	***-**-632I - GAUDIOSI, JANE	CORE BOND FND C	0.00	78.20	0.00	78.20	80.0	62.56
	ACCOUNT #: 02870589061	BUY 0 Units @0.0000						
09/30/2018	***-**-833I - REYNOLDS, THOMAS	GLOBAL FUND A	0.00	25.69	0.00	25.69	80.0	20.55
	ACCOUNT #: 03306082694	BUY 0 Units @0.0000						
09/30/2018	***-**-211I - POLLOCK, LINDA	GLOBAL FUND A	0.00	16.34	0.00	16.34	80.0	13.07
	ACCOUNT #: 03306082705	BUY 0 Units @0.0000						
09/30/2018	***-**-966I - MASCARO, HOLLY	GLOBAL FUND A	0.00	6.38	0.00	6.38	80.0	5.10
	ACCOUNT #: 03306082716	BUY 0 Units @0.0000						
09/30/2018	***-**-2332 - DROZDENKO, ROBIN	GLOBAL FUND A	0.00	2.90	0.00	2.90	80.0	2.32
	ACCOUNT #: 03306541526	BUY 0 Units @0.0000						
09/30/2018	***-**-674I - TRAN, JOSEPH	GLOBAL FUND A	0.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 03306572557	BUY 0 Units @0.0000						
09/30/2018	***-**-523I - SCHIBI, FRANK	GLOBAL OPPORTUNITIES A	0.00	52.97	0.00	52.97	80.0	42.38
	ACCOUNT #: 02156130773	BUY 0 Units @0.0000						
09/30/2018	***-**-2332 - DROZDENKO, ROBIN	GLOBAL OPPORTUNITIES A	0.00	4.20	0.00	4.20	80.0	3.36
	ACCOUNT #: 02156318323	BUY 0 Units @0.0000						
09/30/2018	***-**-947I - LAMESA, MICHAEL	GLOBAL OPPORTUNITIES A	0.00	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 02157988211	BUY 0 Units @0.0000						
09/30/2018	***-**-2332 - DROZDENKO, ROBIN	INTERNATIONAL BOND A	0.00	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 08809205845	BUY 0 Units @0.0000						
09/30/2018	***-**-292I - VON, NGET	INTERNATIONAL BOND A	0.00	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 08809458174	BUY 0 Units @0.0000						
09/30/2018	***-**-292I - VON, NGET	INTERNATIONAL GROWTH FUND A	0.00	0.42	0.00	0.42	80.0	0.34
	ACCOUNT #: 08256913841	BUY 0 Units @0.0000						
09/30/2018	***-**-2332 - DROZDENKO, ROBIN	INTERNATIONAL SMALL COMPANY A	0.00	2.03	0.00	2.03	80.0	1.62
	ACCOUNT #: 08151787555	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-292I - VON, NGET	LIMITED TERM GOVERNMENT A	0.00	0.68	0.00	0.68	80.0	0.54
	ACCOUNT #: 08553654519	BUY 0 Units @0.0000						
09/30/2018	***-**-32SI - GAUDIOSI, JANE	LIMITED-TERM GOVERNMENT FUND C	0.00	77.35	0.00	77.35	80.0	61.88
	ACCOUNT #: 08571249215	BUY 0 Units @0.0000						
09/30/2018	***-**-367I - RAMADANOVIC,	MAIN STREET FUND A	0.00	0.95	0.00	0.95	80.0	0.76
	ACCOUNT #: 04205702378	BUY 0 Units @0.0000						
09/30/2018	***-**-674I - BORJA, FRANKLIN	MAIN STREET FUND A	0.00	1.04	0.00	1.04	80.0	0.83
	ACCOUNT #: 04206740943	BUY 0 Units @0.0000						
09/30/2018	***-**-019I - CALVANEZI,	MAIN STREET FUND A	0.00	60.39	0.00	60.39	80.0	48.31
	ACCOUNT #: 07002459680	BUY 0 Units @0.0000						
09/30/2018	***-**-245P - DUMAINE, ROBERT	MAIN STREET FUND A	0.00	3.67	0.00	3.67	80.0	2.94
	ACCOUNT #: 07003593678	BUY 0 Units @0.0000						
09/30/2018	***-**-674I - TRAN, JOSEPH	MAIN STREET FUND A	0.00	1.71	0.00	1.71	80.0	1.37
	ACCOUNT #: 07004976909	BUY 0 Units @0.0000						
09/30/2018	***-**-4155 - KOSTRAB, JUSTIN	MAIN STREET FUND A	0.00	0.74	0.00	0.74	80.0	0.59
	ACCOUNT #: 07005950761	BUY 0 Units @0.0000						
09/30/2018	***-**-947I - LAMESA, MICHAEL	MAIN STREET FUND A	0.00	0.79	0.00	0.79	80.0	0.63
	ACCOUNT #: 07006303773	BUY 0 Units @0.0000						
09/30/2018	***-**-632I - GAUDIOSI, JANE	MAIN STREET FUND C	0.00	169.39	0.00	169.39	80.0	135.51
	ACCOUNT #: 07024390705	BUY 0 Units @0.0000						
09/30/2018	***-**-615I - WANIK, MICHAEL	OPP PORT SERIES: ACTIVE ALLOC A	0.00	17.87	0.00	17.87	80.0	14.30
	ACCOUNT #: 05502613501	BUY 0 Units @0.0000						
09/30/2018	***-**-309I - GROODY, ASHLEY	OPP PORT SERIES: ACTIVE ALLOC A	0.00	6.66	0.00	6.66	80.0	5.33
	ACCOUNT #: 05502887731	BUY 0 Units @0.0000						
09/30/2018	***-**-1390 - MOHABIR,	OPP PORT SERIES: ACTIVE ALLOC A	0.00	0.86	0.00	0.86	80.0	0.69
	ACCOUNT #: 05502980461	BUY 0 Units @0.0000						
09/30/2018	***-**-378I - SZYMANSKI,	OPP PORT SERIES: MOD INV FD A	0.00	7.59	0.00	7.59	80.0	6.07
	ACCOUNT #: 05451083929	BUY 0 Units @0.0000						
09/30/2018	***-**-469I - DAPONTE, ELVC	OPP PORT SERIES: MOD INV FD A	0.00	2.46	0.00	2.46	80.0	1.97
	ACCOUNT #: 05451083940	BUY 0 Units @0.0000						
09/30/2018	***-**-1663 - MCNULTY, GARY	OPP PORT SERIES: MOD INV FD A	0.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 05451526723	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-378I - SZYMANSKI, ACCOUNT #: 04730033374	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	0.00	3.22	0.00	3.22	80.0	2.58
09/30/2018	***-**-139I - STRATTON, RANIE ACCOUNT #: 02851711479	OPPENHEIMER CORE BOND FUND A BUY 0 Units @0.0000	0.00	21.69	0.00	21.69	80.0	17.35
09/30/2018	***-**-523I - SCHIBI, FRANK ACCOUNT #: 05005268758	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	48.75	0.00	48.75	80.0	39.00
09/30/2018	***-**-367I - RAMADANOVIC, ACCOUNT #: 07453505403	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	1.09	0.00	1.09	80.0	0.87
09/30/2018	***-**-32SI - GAUDIOSI, JANE ACCOUNT #: 03322789446	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	74.93	0.00	74.93	80.0	59.94
09/30/2018	***-**-4155 - KOSTRAB, JUSTIN ACCOUNT #: 07315560632	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	1.18	0.00	1.18	80.0	0.94
09/30/2018	***-**-211I - POLLOCK, LINDA ACCOUNT #: 08476614080	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	6.85	0.00	6.85	80.0	5.48
09/30/2018	***-**-2332 - DROZDENKO, ROBIN ACCOUNT #: 08476873108	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	3.12	0.00	3.12	80.0	2.50
09/30/2018	***-**-4155 - KOSTRAB, JUSTIN ACCOUNT #: 08477445449	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	1.26	0.00	1.26	80.0	1.01
09/30/2018	***-**-32SI - GAUDIOSI, JANE ACCOUNT #: 02270965107	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	99.59	0.00	99.59	80.0	79.67
09/30/2018	***-**-292I - VON, NGET ACCOUNT #: 02514473502	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	0.54	0.00	0.54	80.0	0.43
09/30/2018	***-**-674I - BORJA, FRANKLIN ACCOUNT #: 02515003108	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.03	0.00	1.03	80.0	0.82
09/30/2018	***-**-211I - POLLOCK, LINDA ACCOUNT #: 01903469444	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	5.67	0.00	5.67	80.0	4.54
09/30/2018	***-**-741I - TRAN, JOSEPH ACCOUNT #: 02305255671	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	1.73	0.00	1.73	80.0	1.38
09/30/2018	***-**-2332 - DROZDENKO, ROBIN ACCOUNT #: 02305493172	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	1.41	0.00	1.41	80.0	1.13
10/02/2018	***-**-39IN - GRAZIOSA, ROBERT ACCOUNT #: 06206043710	PIONEER INDEPENDENCE FUND A BUY 0 Units @0.0000	0.00	0.72	0.00	0.72	80.0	0.58



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/02/2018	***-**-39IN - GRAZIOSA, ROBERT	PIONEER INDEPENDENCE FUND C	0.00	9.59	0.00	9.59	80.0	7.67
	ACCOUNT #: 06206043710	BUY 0 Units @0.0000						
10/02/2018	***-**-39IN - GRAZIOSA, ROBERT	PIONEER STRATEGIC INCOME FUND A	0.00	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 06206043710	BUY 0 Units @0.0000						
10/02/2018	***-**-39IN - GRAZIOSA, ROBERT	PIONEER STRATEGIC INCOME FUND C	0.00	3.99	0.00	3.99	80.0	3.19
	ACCOUNT #: 06206043710	BUY 0 Units @0.0000						
09/30/2018	***-**-833I - REYNOLDS, THOMAS	QUEST BALANCED A	0.00	22.84	0.00	22.84	80.0	18.27
	ACCOUNT #: 02577013424	BUY 0 Units @0.0000						
09/30/2018	***-**-966I - MASCARO, HOLLY	QUEST BALANCED A	0.00	5.68	0.00	5.68	80.0	4.54
	ACCOUNT #: 02577013435	BUY 0 Units @0.0000						
09/30/2018	***-**-2332 - DROZDENKO, ROBIN	QUEST BALANCED A	0.00	0.93	0.00	0.93	80.0	0.74
	ACCOUNT #: 02577297411	BUY 0 Units @0.0000						
09/30/2018	***-**-2332 - DROZDENKO, ROBIN	QUEST INTERNATIONAL VALUE FUND, INC	0.00	1.90	0.00	1.90	80.0	1.52
	ACCOUNT #: 02541058596	BUY 0 Units @0.0000						
09/30/2018	***-**-2332 - DROZDENKO, ROBIN	QUEST OPPORTUNITY VALUE A	0.00	0.76	0.00	0.76	80.0	0.61
	ACCOUNT #: 02365226518	BUY 0 Units @0.0000						
09/30/2018	***-**-292I - VON, NGET	REAL ESTATE FUND A	0.00	0.13	0.00	0.13	80.0	0.10
	ACCOUNT #: 05900879373	BUY 0 Units @0.0000						
09/30/2018	***-**-2332 - DROZDENKO, ROBIN	RISING DIVIDENDS FUND A	0.00	2.77	0.00	2.77	80.0	2.22
	ACCOUNT #: 02253493028	BUY 0 Units @0.0000						
09/30/2018	***-**-674I - BORJA, FRANKLIN	SELECT VALUE FUND A	0.00	0.89	0.00	0.89	80.0	0.71
	ACCOUNT #: 06000810777	BUY 0 Units @0.0000						
09/30/2018	***-**-292I - VON, NGET	SMALL- & MID-CAP GROWTH FUND A	0.00	0.62	0.00	0.62	80.0	0.50
	ACCOUNT #: 07210636713	BUY 0 Units @0.0000						
09/30/2018	***-**-674I - BORJA, FRANKLIN	SMALL- & MID-CAP GROWTH FUND A	0.00	1.20	0.00	1.20	80.0	0.96
	ACCOUNT #: 07211048630	BUY 0 Units @0.0000						
09/30/2018	***-**-32SI - GAUDIOSI, JANE	STRATEGIC INCOME FUND C	0.00	54.79	0.00	54.79	80.0	43.83
	ACCOUNT #: 02322798092	BUY 0 Units @0.0000						
09/30/2018	***-**-2332 - DROZDENKO, ROBIN	VALUE FUND A	0.00	1.29	0.00	1.29	80.0	1.03
	ACCOUNT #: 03752279541	BUY 0 Units @0.0000						
09/30/2018	***-**-4155 - KOSTRAB, JUSTIN	VALUE FUND A	0.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 03752505206	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)								
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$1,179.38	\$0.00	\$1,179.38		\$943.48
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
09/30/2018	***-**-72IN - ROSEN, THOMAS	JACKSON PERSEPCTIVE ADVANTAGE A	0.00	43.30	0.00	43.30	80.0	34.64
	ACCOUNT #: 009102606A	BUY 0 Units @0.0000						
09/30/2018	***-**-09IN - SILL, RONALD	LINCOLN FIN VA TRAILS DTCC 53422E51	0.00	241.15	0.00	241.15	80.0	192.92
	ACCOUNT #: 924094424	BUY 0 Units @0.0000						
09/30/2018	***-**-3912 - LAFUENTE, CARLOS	MASS MUTUAL VA DTCC TRAILS	0.00	203.97	0.00	203.97	80.0	163.18
	ACCOUNT #: EVN46018411	BUY 0 Units @0.0000						
		* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$488.42	\$0.00	\$488.42		\$390.74
		*** BROKER TRANSACTIONS TOTAL ***	\$11,015.47	\$1,918.85	\$21.00	\$1,897.85		\$1,516.69

BROKER COMMISSION TOTALS

Broker Transactions	\$1,516.69
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

Net Commission Earned	\$1,516.69
Year-to-date Earnings	\$81,109.04