



COMMISSION STATEMENT

November 19, 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
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	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	80.0	1.70
	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	80.0	2.25
	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	80.0	1.50
	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	80.0	2.25
	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	80.0	2.25
	ACCOUNT #: 00082729374	BUY 1 Units @50.7000						
11/06/2018	***-**-2608 - GIAMAS, GREGORY	FUNDAMENTAL INVESTORS-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00081315892	BUY 1 Units @64.8500						
11/12/2018	***-**-2885 - BISHOP, DAVID	FUNDAMENTAL INVESTORS-A	75.00	3.19	0.00	3.19	80.0	2.55
	ACCOUNT #: 00068915116	BUY 1 Units @64.0500						
11/06/2018	***-**-2608 - GIAMAS, GREGORY	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	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	80.0	1.70
	ACCOUNT #: 00068915116	BUY 1 Units @44.6100						
11/06/2018	***-**-2608 - GIAMAS, GREGORY	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	80.0	1.50
	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	80.0	1.70
	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	80.0	1.70
	ACCOUNT #: 00083299252	BUY 1 Units @53.9500						
11/15/2018	***-**-8238 - ASMUS, MICHAEL	THE INVESTMENT COMPANY OF AMERICA-A	140.00	5.25	0.00	5.25	80.0	4.20
	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	80.0	3.60
	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	80.0	1.70
	ACCOUNT #: 00083299252	BUY 1 Units @47.4400						



COMMISSION STATEMENT

November 19, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
* MUTUAL FUNDS SUBTOTAL *			\$1,090.00	\$41.42	\$0.00	\$41.42		\$33.10
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
11/02/2018	***-**-0683 - DAVIS, SHARON	HARTFORD ADVISERS FUND CLASS A	0.00	1.86	0.00	1.86	80.0	1.49
	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	80.0	1.75
	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	80.0	8.52
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
11/19/2018	***-**-13CL - BERG, C, CLIENTS	NEW YORK 529 TRAILS	0.00	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 77450911001	BUY 0 Units @0.0000						
11/02/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD ADVISERS FUND-C	0.00	9.35	0.00	9.35	80.0	7.48
	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	80.0	1.94
	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	80.0	9.85
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$39.05	\$0.00	\$39.05		\$31.25
*** BROKER TRANSACTIONS TOTAL ***			\$1,090.00	\$80.47	\$0.00	\$80.47		\$64.35



BROKER #: A08
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER COMMISSION TOTALS								
						Broker Transactions		\$64.35
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$41.12
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$105.47
						Year-to-date Earnings		\$6,213.61