



COMMISSION STATEMENT

November 12, 2018

ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/02/2018	***-**-435P - ANTINORE, EMILY	CAPITAL INCOME BUILDER-A	70.35	1.13	0.00	1.13	95.0	1.07
	ACCOUNT #: 00067185955	BUY 1 Units @59.4700						
10/22/2018	***-**-5142 - WASHINGTON	EQUITY INCOME FUND, INC. A	25.00	1.19	0.00	1.19	95.0	1.13
	ACCOUNT #: 08353172444	BUY 0 Units @0.0000						
10/29/2018	***-**-575I - PALELLA, CHARLES	EQUITY INCOME FUND, INC. A	250.00	10.00	0.00	10.00	95.0	9.50
	ACCOUNT #: 08350895037	BUY 0 Units @0.0000						
10/30/2018	***-**-9281 - RUSSELL, AMY	EQUITY INCOME FUND, INC. C	25.00	0.25	0.00	0.25	95.0	0.24
	ACCOUNT #: 08370662827	BUY 0 Units @0.0000						
11/07/2018	***-**-546J - MRS CANDICE	FIDELITY ADV NEW INSIGHTS-CL C	3,485.83	18.00	18.00	0.00	95.0	0.00
	ACCOUNT #: LSR010748	SELL 122 Units @28.6600						
10/29/2018	***-**-9061 - BROWN, WINSTON	GOLD & SPECIAL MINERALS A	30.00	1.43	0.00	1.43	95.0	1.36
	ACCOUNT #: 04104629482	BUY 0 Units @0.0000						
10/22/2018	***-**-5142 - WASHINGTON	INTERNATIONAL BOND A	25.00	1.00	0.00	1.00	95.0	0.95
	ACCOUNT #: 08810288553	BUY 0 Units @0.0000						
10/22/2018	***-**-9061 - BROWN, WINSTON	QUEST OPPORTUNITY VALUE A	30.00	1.43	0.00	1.43	95.0	1.36
	ACCOUNT #: 02365535387	BUY 0 Units @0.0000						
10/29/2018	***-**-6657 - THOMAS, ALEXIS	RISEING DIVIDENDS FUND A	25.00	1.19	0.00	1.19	95.0	1.13
	ACCOUNT #: 02254036945	BUY 0 Units @0.0000						
10/22/2018	***-**-3942 - HIBBERT, LEONA	ROCHESTER FUND MUNICIPALS C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 03670462660	BUY 0 Units @0.0000						
10/29/2018	***-**-6657 - THOMAS, ALEXIS	ROCHESTER FUND MUNICIPALS C	25.00	0.25	0.00	0.25	95.0	0.24
	ACCOUNT #: 03670742027	BUY 0 Units @0.0000						
10/30/2018	***-**-9281 - RUSSELL, AMY	SENIOR FLOATING RATE FUND C	10.00	0.10	0.00	0.10	95.0	0.10
	ACCOUNT #: 02932131646	BUY 0 Units @0.0000						
10/22/2018	***-**-5142 - WASHINGTON	SMALL- & MID-CAP GROWTH FUND A	25.00	1.19	0.00	1.19	95.0	1.13
	ACCOUNT #: 07211008854	BUY 0 Units @0.0000						
11/01/2018	***-**-6413 - KOZAK, LAUREN	THE GROWTH FUND OF AMERICA-A	50.00	2.13	0.00	2.13	95.0	2.02
	ACCOUNT #: 00086445258	BUY 1 Units @54.8500						
10/30/2018	***-**-9281 - RUSSELL, AMY	VALUE FUND C	25.00	0.25	0.00	0.25	95.0	0.24
	ACCOUNT #: 03770519816	BUY 0 Units @0.0000						
* MUTUAL FUNDS SUBTOTAL *			\$4,151.18	\$40.04	\$18.00	\$22.04		\$20.95



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
10/31/2018	***-**-445P - HILDRETH, ACCOUNT #: 000000000743841	FRANKLIN COREFOLIO ALLOCATION CL A BUY 0 Units @0.0000	0.00	2.13	0.00	2.13	95.0	2.02
10/31/2018	***-**-70IN - VOLKER, GARY ACCOUNT #: 000060171861200	FRANKLIN GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	10.77	0.00	10.77	95.0	10.23
10/31/2018	***-**-578P - PETRILLO, JEANNE ACCOUNT #: 000090214409840	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	2.87	0.00	2.87	95.0	2.73
10/31/2018	***-**-583I - MORRIS, MICHAEL ACCOUNT #: 000090220730852	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	0.48	0.00	0.48	95.0	0.46
10/31/2018	***-**-575I - PALELLA, CHARLES ACCOUNT #: 000090224020874	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	6.55	0.00	6.55	95.0	6.22
10/31/2018	***-**-978I - ROSICA, NICHOLAS ACCOUNT #: 000090209760773	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	4.34	0.00	4.34	95.0	4.12
10/31/2018	***-**-801P - GARY, PEARL ACCOUNT #: 000011515139062	FRANKLIN NEW YORK TAX-FREE INCOME F BUY 0 Units @0.0000	0.00	2.29	0.00	2.29	95.0	2.18
10/31/2018	***-**-583I - MORRIS, MICHAEL ACCOUNT #: 000013911080452	FRK EQUITY INC FND - CL A BUY 0 Units @0.0000	0.00	0.86	0.00	0.86	95.0	0.82
10/31/2018	***-**-575I - PALELLA, CHARLES ACCOUNT #: 000013912141554	FRK EQUITY INC FND - CL A BUY 0 Units @0.0000	0.00	8.45	0.00	8.45	95.0	8.03
10/31/2018	***-**-70IN - VOLKER, GARY ACCOUNT #: 000013900017901	FRK EQUITY INC FND - CL A BUY 0 Units @0.0000	0.00	0.15	0.00	0.15	95.0	0.14
10/31/2018	***-**-92CL - HAWRYLIAK, ACCOUNT #: 000000000092496	FRK RISING DIV FND - CL R BUY 0 Units @0.0000	0.00	13.55	0.00	13.55	95.0	12.87
10/31/2018	***-**-444I - HILDRETH, ACCOUNT #: 000000000020469	FRK TEMP COREFOLIO ALLOC FND CL - C BUY 0 Units @0.0000	0.00	59.51	0.00	59.51	95.0	56.53
10/31/2018	***-**-583I - MORRIS, MICHAEL ACCOUNT #: 000002930633294	TEMP WORLD FND - CL A BUY 0 Units @0.0000	0.00	0.64	0.00	0.64	95.0	0.61
10/31/2018	***-**-399I - RICHARDSON, ACCOUNT #: 000002950340836	TEMP WORLD FND - CL A BUY 0 Units @0.0000	0.00	0.72	0.00	0.72	95.0	0.68
10/31/2018	***-**-711I - RICHARDSON, ACCOUNT #: 000002950340847	TEMP WORLD FND - CL A BUY 0 Units @0.0000	0.00	1.38	0.00	1.38	95.0	1.31
10/31/2018	***-**-575I - PALELLA, CHARLES ACCOUNT #: 000002973108772	TEMP WORLD FND - CL A BUY 0 Units @0.0000	0.00	17.41	0.00	17.41	95.0	16.54



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/31/2018	***-**-095P - TAYLOR, JUDY	TEMP WORLD FND - CL A	0.00	3.78	0.00	3.78	95.0	3.59
	ACCOUNT #: 000002950093248	BUY 0 Units @0.0000						
10/31/2018	***-**-60IN - KALINOWSKI,	TEMP WORLD FND - CL A	0.00	68.78	0.00	68.78	95.0	65.34
	ACCOUNT #: 000002973991417	BUY 0 Units @0.0000						
10/31/2018	***-**-575P - TAYLOR, JAMES	TEMP WORLD FND - CL A	0.00	11.16	0.00	11.16	95.0	10.60
	ACCOUNT #: 000002974496560	BUY 0 Units @0.0000						
10/31/2018	***-**-60IN - KALINOWSKI,	TEMPLETON GROWTH FUND CLASS A	0.00	70.10	0.00	70.10	95.0	66.60
	ACCOUNT #: 000001980102156	BUY 0 Units @0.0000						
10/31/2018	***-**-70IN - VOLKER, GARY	TEMPLETON GROWTH FUND CLASS A	0.00	3.28	0.00	3.28	95.0	3.12
	ACCOUNT #: 000009701566104	BUY 0 Units @0.0000						
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$289.20	\$0.00	\$289.20		\$274.74
	*** BROKER TRANSACTIONS TOTAL ***		\$4,151.18	\$329.24	\$18.00	\$311.24		\$295.69

OVERRIDE TRANSACTIONS

BROKER: RICHARD BIRNS

10/31/2018	***-**-4068 - BIRNS, RICHARD A	FRANKLIN CONV SEC FUND - CLASS A	0.00	32.66	0.00	32.66	20.0	6.53
	ACCOUNT #: 000013712296687	BUY 0 Units @0.0000						
10/31/2018	***-**-068P - BIRNS, RICHARD	FRANKLIN INCOME FUND CLASS A	0.00	42.15	0.00	42.15	20.0	8.43
	ACCOUNT #: 000090220987300	BUY 0 Units @0.0000						
10/31/2018	***-**-68TR - BIRNS, RICHARD	FRANKLIN INCOME FUND CLASS A	0.00	9.28	0.00	9.28	20.0	1.86
	ACCOUNT #: 000090226290790	BUY 0 Units @0.0000						
10/31/2018	***-**-68TR - BIRNS, RICHARD	FRANKLIN INCOME FUND CLASS A	0.00	9.28	0.00	9.28	20.0	1.86
	ACCOUNT #: 000090226290889	BUY 0 Units @0.0000						
10/31/2018	***-**-0849 - PONTRELLO, MARIA	FRANKLIN INCOME FUND CLASS A	0.00	5.36	0.00	5.36	20.0	1.07
	ACCOUNT #: 000090238070622	BUY 0 Units @0.0000						
10/31/2018	***-**-0849 - PONTRELLO, MARIA	FRANKLIN INCOME FUND CLASS A	0.00	0.35	0.00	0.35	20.0	0.07
	ACCOUNT #: 000090238071410	BUY 0 Units @0.0000						
10/31/2018	***-**-4948 - PONTRELLO,	FRANKLIN INCOME FUND CLASS A	0.00	4.38	0.00	4.38	20.0	0.88
	ACCOUNT #: 000090238071461	BUY 0 Units @0.0000						
10/31/2018	***-**-4948 - PONTRELLO,	FRANKLIN INCOME FUND CLASS A	0.00	0.35	0.00	0.35	20.0	0.07
	ACCOUNT #: 000090238071473	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: RICHARD BIRNS (continued)</u>								
10/31/2018	***-**-365I - VINGELLI, ACCOUNT #: 000090239246971	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	2.02	0.00	2.02	20.0	0.40
10/31/2018	***-**-48IN - BABCOCK, ROBERT ACCOUNT #: 000000006719583	FRANKLIN INCOME FUND CLASS C BUY 0 Units @0.0000	0.00	367.47	0.00	367.47	20.0	73.49
10/31/2018	***-**-0849 - PONTRELLO, MARIA ACCOUNT #: 000015814965558	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	11.58	0.00	11.58	20.0	2.32
10/31/2018	***-**-0849 - PONTRELLO, MARIA ACCOUNT #: 000015814965735	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	0.75	0.00	0.75	20.0	0.15
10/31/2018	***-**-4948 - PONTRELLO, ACCOUNT #: 000015814965750	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	8.61	0.00	8.61	20.0	1.72
10/31/2018	***-**-4948 - PONTRELLO, ACCOUNT #: 000015814965762	FRANKLIN RISING DIVIDENDS FD CLASS BUY 0 Units @0.0000	0.00	0.75	0.00	0.75	20.0	0.15
10/31/2018	***-**-485P - BABCOCK, ROBERT ACCOUNT #: 000050101725688	FRK HIGH INC FND - CL A BUY 0 Units @0.0000	0.00	7.52	0.00	7.52	20.0	1.50
10/31/2018	***-**-068P - BIRNS, RICHARD ACCOUNT #: 000019211984885	FRK REAL EST SEC FND - CL A BUY 0 Units @0.0000	0.00	57.14	0.00	57.14	20.0	11.43
10/31/2018	***-**-0849 - PONTRELLO, MARIA ACCOUNT #: 000019413757319	FRK STRAT INC FND - CL A BUY 0 Units @0.0000	0.00	24.50	0.00	24.50	20.0	4.90
10/31/2018	***-**-0849 - PONTRELLO, MARIA ACCOUNT #: 000019413757473	FRK STRAT INC FND - CL A BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	20.0	0.32
10/31/2018	***-**-4948 - PONTRELLO, ACCOUNT #: 000019413757497	FRK STRAT INC FND - CL A BUY 0 Units @0.0000	0.00	5.53	0.00	5.53	20.0	1.11
10/31/2018	***-**-4948 - PONTRELLO, ACCOUNT #: 000019413757509	FRK STRAT INC FND - CL A BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	20.0	0.32
10/31/2018	***-**-13IN - SANDAS, ANTHONY ACCOUNT #: 000000003159845	FRK TEMP FOUNDING FUNDS ALLOC FND C BUY 0 Units @0.0000	0.00	4.28	0.00	4.28	20.0	0.86
10/31/2018	***-**-68CL - BIRNS, CLIENTS ACCOUNT #: 000000006103372	FRK TEMP FOUNDING FUNDS ALLOC FND C BUY 0 Units @0.0000	0.00	33.80	0.00	33.80	20.0	6.76
10/31/2018	***-**-68CL - BIRNS, CLIENTS ACCOUNT #: 000000006103384	FRK TEMP FOUNDING FUNDS ALLOC FND C BUY 0 Units @0.0000	0.00	20.30	0.00	20.30	20.0	4.06
10/31/2018	***-**-068P - BIRNS, RICHARD ACCOUNT #: 000070186599048	FRK UTIL FND - CL A BUY 0 Units @0.0000	0.00	94.73	0.00	94.73	20.0	18.95



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: RICHARD BIRNS (continued)</u> 								
10/31/2018	***-**-365I - VINGELLI, ACCOUNT #: 000070188269204	FRK UTIL FND - CL A BUY 0 Units @0.0000	0.00	1.97	0.00	1.97	20.0	0.39
10/31/2018	***-**-712I - BIRNS, BONNIE ACCOUNT #: 000000001796456	TEMP DEV MRKTS TR FND - CL A BUY 0 Units @0.0000	0.00	8.44	0.00	8.44	20.0	1.69
10/31/2018	***-**-46IN - CANCELLA, ACCOUNT #: 000000005091121	TEMP DEV MRKTS TR FND - CL A BUY 0 Units @0.0000	0.00	5.38	0.00	5.38	20.0	1.08
10/31/2018	***-**-73IN - BIRNS, ADAM ACCOUNT #: 000000008191482	TEMP DEV MRKTS TR FND - CL A BUY 0 Units @0.0000	0.00	7.21	0.00	7.21	20.0	1.44
10/31/2018	***-**-04IN - BIRNS, EVAN ACCOUNT #: 000000008191506	TEMP DEV MRKTS TR FND - CL A BUY 0 Units @0.0000	0.00	7.21	0.00	7.21	20.0	1.44
10/31/2018	***-**-0849 - PONTRELLO, MARIA ACCOUNT #: 000006985268571	TEMP GLOBAL BOND FND - CL A BUY 0 Units @0.0000	0.00	24.22	0.00	24.22	20.0	4.84
10/31/2018	***-**-0849 - PONTRELLO, MARIA ACCOUNT #: 000006985269369	TEMP GLOBAL BOND FND - CL A BUY 0 Units @0.0000	0.00	1.56	0.00	1.56	20.0	0.31
10/31/2018	***-**-4948 - PONTRELLO, ACCOUNT #: 000006985269395	TEMP GLOBAL BOND FND - CL A BUY 0 Units @0.0000	0.00	5.48	0.00	5.48	20.0	1.10
10/31/2018	***-**-4948 - PONTRELLO, ACCOUNT #: 000006985269407	TEMP GLOBAL BOND FND - CL A BUY 0 Units @0.0000	0.00	1.56	0.00	1.56	20.0	0.31
10/31/2018	***-**-712I - BIRNS, BONNIE ACCOUNT #: 000001950475080	TEMPLETON GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	24.47	0.00	24.47	20.0	4.89
 * RICHARD BIRNS SUBTOTAL * 			 \$0.00 	 \$833.45 	 \$0.00 	 \$833.45 		 \$166.70
 <u>BROKER: BARRY BRESIN</u> 								
10/31/2018	***-**-545P - MARSJANIK, ACCOUNT #: 000000003189317	FRANKLIN BIOTECHNOLOGY DISCOVERY FU BUY 0 Units @0.0000	0.00	9.57	0.00	9.57	15.0	1.44
10/31/2018	***-**-716I - STERN, PATRICIA ACCOUNT #: 000000003461237	FRANKLIN BIOTECHNOLOGY DISCOVERY FU BUY 0 Units @0.0000	0.00	5.27	0.00	5.27	15.0	0.79
10/31/2018	***-**-717H - MARSJANIK, ACCOUNT #: 000013712159170	FRANKLIN CONV SEC FUND - CLASS A BUY 0 Units @0.0000	0.00	33.40	0.00	33.40	15.0	5.01
10/31/2018	***-**-716I - STERN, PATRICIA ACCOUNT #: 000013712303291	FRANKLIN CONV SEC FUND - CLASS A BUY 0 Units @0.0000	0.00	11.11	0.00	11.11	15.0	1.67
10/31/2018	***-**-717I - MARSJANIK, ACCOUNT #: 000000000704938	FRANKLIN COREFOLIO ALLOCATION CL A BUY 0 Units @0.0000	0.00	37.76	0.00	37.76	15.0	5.66



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: BARRY BRESIN (continued) </u>								
10/31/2018	***-**-717I - MARSJANIK, ACCOUNT #: 000000000722138	FRANKLIN COREFOLIO ALLOCATION CL A BUY 0 Units @0.0000	0.00	8.94	0.00	8.94	15.0	1.34
10/31/2018	***-**-54IN - MARSJANIK, ACCOUNT #: 000000000722140	FRANKLIN COREFOLIO ALLOCATION CL A BUY 0 Units @0.0000	0.00	8.94	0.00	8.94	15.0	1.34
10/31/2018	***-**-010P - LOMBARD, LAURIE ACCOUNT #: 000080192066100	FRANKLIN DYNATECH FUND CLASS A BUY 0 Units @0.0000	0.00	25.65	0.00	25.65	15.0	3.85
10/31/2018	***-**-328P - HALM, VICKY ACCOUNT #: 000080192227013	FRANKLIN DYNATECH FUND CLASS A BUY 0 Units @0.0000	0.00	7.52	0.00	7.52	15.0	1.13
10/31/2018	***-**-717H - MARSJANIK, ACCOUNT #: 000080192940585	FRANKLIN DYNATECH FUND CLASS A BUY 0 Units @0.0000	0.00	39.54	0.00	39.54	15.0	5.93
10/31/2018	***-**-716I - STERN, PATRICIA ACCOUNT #: 000080193424771	FRANKLIN DYNATECH FUND CLASS A BUY 0 Units @0.0000	0.00	11.12	0.00	11.12	15.0	1.67
10/31/2018	***-**-97IN - BRESIN, ACCOUNT #: 000017411249873	FRANKLIN FEDERAL INTER TERM TAX-FRE BUY 0 Units @0.0000	0.00	7.73	0.00	7.73	15.0	1.16
10/31/2018	***-**-754I - MARSJANIK, ACCOUNT #: 000060177727189	FRANKLIN GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	9.46	0.00	9.46	15.0	1.42
10/31/2018	***-**-717I - MARSJANIK, ACCOUNT #: 000060177727191	FRANKLIN GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	9.58	0.00	9.58	15.0	1.44
10/31/2018	***-**-60TR - BRESIN, FLORENCE ACCOUNT #: 000090217170492	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	42.30	0.00	42.30	15.0	6.35
10/31/2018	***-**-328P - HALM, VICKY ACCOUNT #: 000090218155718	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	3.33	0.00	3.33	15.0	0.50
10/31/2018	***-**-180I - HALM, MATILDA ACCOUNT #: 000090218558321	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	46.38	0.00	46.38	15.0	6.96
10/31/2018	***-**-77IN - JAMES, WESLEY & ACCOUNT #: 000090219913489	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	36.09	0.00	36.09	15.0	5.41
10/31/2018	***-**-910I - CLEMENT, JAMES ACCOUNT #: 000090227083552	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	32.43	0.00	32.43	15.0	4.86
10/31/2018	***-**-13IN - CLEMENT, SANDRA ACCOUNT #: 000090227938571	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	9.74	0.00	9.74	15.0	1.46
10/31/2018	***-**-619J - JAMES, WESLEY & ACCOUNT #: 000090228004886	FRANKLIN INCOME FUND CLASS A BUY 0 Units @0.0000	0.00	6.81	0.00	6.81	15.0	1.02



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: BARRY BRESIN (continued) </u>								
10/31/2018	***-**-80IN - HALM, MATILDA	FRANKLIN INCOME FUND CLASS A	0.00	7.95	0.00	7.95	15.0	1.19
	ACCOUNT #: 000090229738252	BUY 0 Units @0.0000						
10/31/2018	***-**-717J - MARSJANIK,	FRANKLIN INCOME FUND CLASS A	0.00	13.30	0.00	13.30	15.0	2.00
	ACCOUNT #: 000090234599758	BUY 0 Units @0.0000						
10/31/2018	***-**-716J - STERN, ROBERT	FRANKLIN INCOME FUND CLASS A	0.00	16.61	0.00	16.61	15.0	2.49
	ACCOUNT #: 000090234599796	BUY 0 Units @0.0000						
10/31/2018	***-**-972I - BRENNAN, DANNIE	FRANKLIN INCOME FUND CLASS A	0.00	39.62	0.00	39.62	15.0	5.94
	ACCOUNT #: 000090234896467	BUY 0 Units @0.0000						
10/31/2018	***-**-030I - BRENNAN, BARBARA	FRANKLIN INCOME FUND CLASS A	0.00	7.25	0.00	7.25	15.0	1.09
	ACCOUNT #: 000090234945296	BUY 0 Units @0.0000						
10/31/2018	***-**-7195 - SHARON M	FRANKLIN INCOME FUND CLASS A	0.00	2.36	0.00	2.36	15.0	0.35
	ACCOUNT #: 000090235240721	BUY 0 Units @0.0000						
10/31/2018	***-**-7196 - BRESIN, BENE	FRANKLIN INCOME FUND CLASS A	0.00	3.64	0.00	3.64	15.0	0.55
	ACCOUNT #: 000090235240772	BUY 0 Units @0.0000						
10/31/2018	***-**-7197 - LYNN M ABRAHAM,	FRANKLIN INCOME FUND CLASS A	0.00	2.63	0.00	2.63	15.0	0.39
	ACCOUNT #: 000090235266512	BUY 0 Units @0.0000						
10/31/2018	***-**-7194 - RICHARD H	FRANKLIN INCOME FUND CLASS A	0.00	2.44	0.00	2.44	15.0	0.37
	ACCOUNT #: 000090235266777	BUY 0 Units @0.0000						
10/31/2018	***-**-006J - BECKER, MARK	FRANKLIN INCOME FUND CLASS A	0.00	106.98	0.00	106.98	15.0	16.05
	ACCOUNT #: 000090238436718	BUY 0 Units @0.0000						
10/31/2018	***-**-716I - STERN, PATRICIA	FRANKLIN INCOME FUND CLASS A	0.00	6.67	0.00	6.67	15.0	1.00
	ACCOUNT #: 000090239776583	BUY 0 Units @0.0000						
10/31/2018	***-**-1223 - MELLINA, ALBERTA	FRANKLIN INCOME FUND CLASS C	0.00	71.98	0.00	71.98	15.0	10.80
	ACCOUNT #: 000000012912527	BUY 0 Units @0.0000						
10/31/2018	***-**-99IN - GOTTHEIM, JOAN &	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	35.98	0.00	35.98	15.0	5.40
	ACCOUNT #: 000011503953850	BUY 0 Units @0.0000						
10/31/2018	***-**-97IN - BRESIN,	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	4.88	0.00	4.88	15.0	0.73
	ACCOUNT #: 000011516371052	BUY 0 Units @0.0000						
10/31/2018	***-**-716I - STERN, PATRICIA	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	5.81	0.00	5.81	15.0	0.87
	ACCOUNT #: 000011517046170	BUY 0 Units @0.0000						
10/31/2018	***-**-717H - MARSJANIK,	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	13.54	0.00	13.54	15.0	2.03
	ACCOUNT #: 000015814218883	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: BARRY BRESIN (continued) </u>								
10/31/2018	***-**-1223 - MELLINA, ALBERTA	FRK AGE HIGH INC FND - CL C	0.00	71.23	0.00	71.23	15.0	10.68
	ACCOUNT #: 000000001306998	BUY 0 Units @0.0000						
10/31/2018	***-**-4010 - LOMBARD, LAURIE	FRK AGGRESSIVE GRWTH - CL A	0.00	18.28	0.00	18.28	15.0	2.74
	ACCOUNT #: 000000000993093	BUY 0 Units @0.0000						
10/31/2018	***-**-4892 - STERN, ROBERT	FRK AGGRESSIVE GRWTH - CL A	0.00	12.64	0.00	12.64	15.0	1.90
	ACCOUNT #: 000000001039270	BUY 0 Units @0.0000						
10/31/2018	***-**-717J - MARSJANIK,	FRK AGGRESSIVE GRWTH - CL A	0.00	9.95	0.00	9.95	15.0	1.49
	ACCOUNT #: 000000001329921	BUY 0 Units @0.0000						
10/31/2018	***-**-54IN - MARSJANIK,	FRK EQUITY INC FND - CL A	0.00	10.29	0.00	10.29	15.0	1.54
	ACCOUNT #: 000013912701779	BUY 0 Units @0.0000						
10/31/2018	***-**-716I - STERN, PATRICIA	FRK EQUITY INC FND - CL A	0.00	11.31	0.00	11.31	15.0	1.70
	ACCOUNT #: 000013912710501	BUY 0 Units @0.0000						
10/31/2018	***-**-60TR - BRESIN, FLORENCE	FRK FL TF INC FND - CL A	0.00	45.36	0.00	45.36	15.0	6.80
	ACCOUNT #: 000016511756296	BUY 0 Units @0.0000						
10/31/2018	***-**-006J - BECKER, MARK	FRK FL TF INC FND - CL A	0.00	47.61	0.00	47.61	15.0	7.14
	ACCOUNT #: 000016512044563	BUY 0 Units @0.0000						
10/31/2018	***-**-560I - BRESIN-GOTTHEIM,	FRK HIGH INC FND - CL A	0.00	33.06	0.00	33.06	15.0	4.96
	ACCOUNT #: 000050116107381	BUY 0 Units @0.0000						
10/31/2018	***-**-910I - CLEMENT, JAMES	FRK HIGH INC FND - CL A	0.00	24.44	0.00	24.44	15.0	3.67
	ACCOUNT #: 000050116987436	BUY 0 Units @0.0000						
10/31/2018	***-**-717J - MARSJANIK,	FRK HIGH INC FND - CL A	0.00	14.27	0.00	14.27	15.0	2.14
	ACCOUNT #: 000050117717095	BUY 0 Units @0.0000						
10/31/2018	***-**-716J - STERN, ROBERT	FRK HIGH INC FND - CL A	0.00	1.95	0.00	1.95	15.0	0.29
	ACCOUNT #: 000050117717107	BUY 0 Units @0.0000						
10/31/2018	***-**-972I - BRENNAN, DANNIE	FRK HIGH INC FND - CL A	0.00	58.14	0.00	58.14	15.0	8.72
	ACCOUNT #: 000050117765058	BUY 0 Units @0.0000						
10/31/2018	***-**-030I - BRENNAN, BARBARA	FRK HIGH INC FND - CL A	0.00	6.60	0.00	6.60	15.0	0.99
	ACCOUNT #: 000050117771389	BUY 0 Units @0.0000						
10/31/2018	***-**-7195 - SHARON M	FRK HIGH INC FND - CL A	0.00	2.21	0.00	2.21	15.0	0.33
	ACCOUNT #: 000050117803073	BUY 0 Units @0.0000						
10/31/2018	***-**-7196 - BRESIN, BENE	FRK HIGH INC FND - CL A	0.00	3.40	0.00	3.40	15.0	0.51
	ACCOUNT #: 000050117803097	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: BARRY BRESIN (continued)</u>								
10/31/2018	***-**-7197 - LYNN M ABRAHAM, ACCOUNT #: 000050117806219	FRK HIGH INC FND - CL A BUY 0 Units @0.0000	0.00	2.49	0.00	2.49	15.0	0.37
10/31/2018	***-**-7194 - RICHARD H ACCOUNT #: 000050117806272	FRK HIGH INC FND - CL A BUY 0 Units @0.0000	0.00	2.30	0.00	2.30	15.0	0.35
10/31/2018	***-**-717H - MARSJANIK, ACCOUNT #: 000050117897234	FRK HIGH INC FND - CL A BUY 0 Units @0.0000	0.00	27.43	0.00	27.43	15.0	4.11
10/31/2018	***-**-006J - BECKER, MARK ACCOUNT #: 000050118219644	FRK HIGH INC FND - CL A BUY 0 Units @0.0000	0.00	56.85	0.00	56.85	15.0	8.53
10/31/2018	***-**-754I - MARSJANIK, ACCOUNT #: 000050118288714	FRK HIGH INC FND - CL A BUY 0 Units @0.0000	0.00	18.22	0.00	18.22	15.0	2.73
10/31/2018	***-**-716I - STERN, PATRICIA ACCOUNT #: 000050118365922	FRK HIGH INC FND - CL A BUY 0 Units @0.0000	0.00	6.71	0.00	6.71	15.0	1.01
10/31/2018	***-**-60TR - BRESIN, FLORENCE ACCOUNT #: 000019411071905	FRK STRAT INC FND - CL A BUY 0 Units @0.0000	0.00	66.02	0.00	66.02	15.0	9.90
10/31/2018	***-**-180P - HALM, MATILDA ACCOUNT #: 000019411672292	FRK STRAT INC FND - CL A BUY 0 Units @0.0000	0.00	24.00	0.00	24.00	15.0	3.60
10/31/2018	***-**-910I - CLEMENT, JAMES ACCOUNT #: 000019411777206	FRK STRAT INC FND - CL A BUY 0 Units @0.0000	0.00	28.25	0.00	28.25	15.0	4.24
10/31/2018	***-**-7195 - SHARON M ACCOUNT #: 000019413064395	FRK STRAT INC FND - CL A BUY 0 Units @0.0000	0.00	3.62	0.00	3.62	15.0	0.54
10/31/2018	***-**-7196 - BRESIN, BENE ACCOUNT #: 000019413064421	FRK STRAT INC FND - CL A BUY 0 Units @0.0000	0.00	3.98	0.00	3.98	15.0	0.60
10/31/2018	***-**-7197 - LYNN M ABRAHAM, ACCOUNT #: 000019413070018	FRK STRAT INC FND - CL A BUY 0 Units @0.0000	0.00	4.04	0.00	4.04	15.0	0.61
10/31/2018	***-**-7194 - RICHARD H ACCOUNT #: 000019413070069	FRK STRAT INC FND - CL A BUY 0 Units @0.0000	0.00	3.72	0.00	3.72	15.0	0.56
10/31/2018	***-**-716I - STERN, PATRICIA ACCOUNT #: 000070188385693	FRK UTIL FND - CL A BUY 0 Units @0.0000	0.00	6.74	0.00	6.74	15.0	1.01
10/31/2018	***-**-717H - MARSJANIK, ACCOUNT #: 000028212320647	FRK VAL FND - CL A BUY 0 Units @0.0000	0.00	13.80	0.00	13.80	15.0	2.07
10/31/2018	***-**-54IN - MARSJANIK, ACCOUNT #: 000028212618145	FRK VAL FND - CL A BUY 0 Units @0.0000	0.00	3.64	0.00	3.64	15.0	0.55



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: BARRY BRESIN (continued)</u>								
10/31/2018	***-**-716I - STERN, PATRICIA	FRK VAL FND - CL A	0.00	10.86	0.00	10.86	15.0	1.63
	ACCOUNT #: 000028212633906	BUY 0 Units @0.0000						
10/31/2018	***-**-60TR - BRESIN, FLORENCE	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	89.90	0.00	89.90	15.0	13.49
	ACCOUNT #: 000000000141895	BUY 0 Units @0.0000						
10/31/2018	***-**-180I - HALM, MATILDA	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	17.94	0.00	17.94	15.0	2.69
	ACCOUNT #: 000000000321745	BUY 0 Units @0.0000						
10/31/2018	***-**-180P - HALM, MATILDA	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	16.66	0.00	16.66	15.0	2.50
	ACCOUNT #: 000000000749907	BUY 0 Units @0.0000						
10/31/2018	***-**-7195 - SHARON M	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.59	0.00	2.59	15.0	0.39
	ACCOUNT #: 000000001477328	BUY 0 Units @0.0000						
10/31/2018	***-**-7197 - LYNN M ABRAHAM,	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.91	0.00	2.91	15.0	0.44
	ACCOUNT #: 000000001479789	BUY 0 Units @0.0000						
10/31/2018	***-**-7194 - RICHARD H	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	3.26	0.00	3.26	15.0	0.49
	ACCOUNT #: 000000001479827	BUY 0 Units @0.0000						
10/31/2018	***-**-717H - MARSJANIK,	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	156.82	0.00	156.82	15.0	23.52
	ACCOUNT #: 000000001641772	BUY 0 Units @0.0000						
10/31/2018	***-**-717I - MARSJANIK,	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	1.51	0.00	1.51	15.0	0.23
	ACCOUNT #: 000000001735834	BUY 0 Units @0.0000						
10/31/2018	***-**-54IN - MARSJANIK,	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	17.52	0.00	17.52	15.0	2.63
	ACCOUNT #: 000000001754872	BUY 0 Units @0.0000						
10/31/2018	***-**-717I - MARSJANIK,	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	16.81	0.00	16.81	15.0	2.52
	ACCOUNT #: 000000001754884	BUY 0 Units @0.0000						
10/31/2018	***-**-54IN - MARSJANIK,	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	35.42	0.00	35.42	15.0	5.31
	ACCOUNT #: 000000001755026	BUY 0 Units @0.0000						
10/31/2018	***-**-716I - STERN, PATRICIA	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	16.63	0.00	16.63	15.0	2.49
	ACCOUNT #: 000000001764226	BUY 0 Units @0.0000						
10/31/2018	***-**-1223 - MELLINA, ALBERTA	FRNKLN FLOATING RATE DLY ACCESS FUN	0.00	71.39	0.00	71.39	15.0	10.71
	ACCOUNT #: 000000000597120	BUY 0 Units @0.0000						
10/31/2018	***-**-717I - MARSJANIK,	FT MODERATE TARGET FUND - CLASS A	0.00	20.22	0.00	20.22	15.0	3.03
	ACCOUNT #: 000000000884054	BUY 0 Units @0.0000						
10/31/2018	***-**-716I - STERN, PATRICIA	FT MODERATE TARGET FUND - CLASS A	0.00	11.11	0.00	11.11	15.0	1.67
	ACCOUNT #: 000000000919833	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: BARRY BRESIN (continued)</u>								
10/31/2018	***-**-328P - HALM, VICKY	MUTUAL SERIES BEACON CLASS A	0.00	8.37	0.00	8.37	15.0	1.26
	ACCOUNT #: 000000001275991	BUY 0 Units @0.0000						
11/12/2018	***-**-21IN - BRESIN, EMMA	SAMMONS MF TRAILS	0.00	176.87	0.00	176.87	15.0	26.53
	ACCOUNT #: 7200036096	BUY 0 Units @0.0000						
10/31/2018	***-**-030I - BRENNAN, BARBARA	TEMP GLOBAL BOND FND - CL A	0.00	0.54	0.00	0.54	15.0	0.08
	ACCOUNT #: 000006982355546	BUY 0 Units @0.0000						
		* BARRY BRESIN SUBTOTAL *	\$0.00	\$2,064.19	\$0.00	\$2,064.19		\$309.65
<u>BROKER: WILLIAM ROBERTS</u>								
10/31/2018	***-**-42TR - RUES, JAMES	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	35.22	0.00	35.22	10.0	3.52
	ACCOUNT #: 000011516266163	BUY 0 Units @0.0000						
		* WILLIAM ROBERTS SUBTOTAL *	\$0.00	\$35.22	\$0.00	\$35.22		\$3.52
<u>BROKER: FREDERIC SCARPULLA</u>								
11/01/2018	***-**-539I - JALLOH, ABDULAI	AMCAP FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00084394270	BUY 2 Units @28.4200						
11/01/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198121	BUY 2 Units @26.9000						
11/01/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198137	BUY 2 Units @26.9000						
10/29/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 1 Units @26.4000						
10/29/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @26.4000						
11/01/2018	***-**-975P - COTTONE, MARIA	AMERICAN BALANCED FUND-A	100.00	3.75	0.00	3.75	10.0	0.38
	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	10.0	0.02
	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	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @26.8600						
10/29/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @26.2200						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
10/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @26.2200	12.00	0.12	0.00	0.12	10.0	0.01
10/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 6 Units @26.2200	160.00	1.60	0.00	1.60	10.0	0.16
10/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 2 Units @26.4800	40.00	0.40	0.00	0.40	10.0	0.04
10/30/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @26.4800	20.04	0.20	0.00	0.20	10.0	0.02
11/01/2018	***-**-984I - DELUCA, SHARI ACCOUNT #: 00064868315	AMERICAN BALANCED FUND-C BUY 2 Units @26.7700	50.00	0.50	0.00	0.50	10.0	0.05
11/01/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @26.7700	28.05	0.28	0.00	0.28	10.0	0.03
11/01/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @26.7700	6.00	0.06	0.00	0.06	10.0	0.01
11/01/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 1 Units @26.7700	16.00	0.16	0.00	0.16	10.0	0.02
11/01/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @26.7700	120.00	1.20	0.00	1.20	10.0	0.12
11/01/2018	***-**-255U - LIPPA, HARITINI ACCOUNT #: 04000385806	AMERICAN BALANCED FUND-C BUY 2 Units @26.7700	50.00	0.50	0.00	0.50	10.0	0.05
10/29/2018	***-**-1102 - FINOCCHARIO, ACCOUNT #: 04001203455	AMERICAN FUNDS 2050 TARGET DATE-C BUY 2 Units @14.1700	25.00	0.25	0.00	0.25	10.0	0.03
11/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.0600	4.55	0.05	0.00	0.05	10.0	0.01
11/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.0600	105.00	1.05	0.00	1.05	10.0	0.11
10/29/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	AMERICAN MUTUAL FUND-A BUY 1 Units @40.3100	30.00	0.30	0.00	0.30	10.0	0.03
10/29/2018	***-**-255P - EVANS, JAMES ACCOUNT #: 00066759711	AMERICAN MUTUAL FUND-A BUY 15 Units @40.3100	600.00	6.00	0.00	6.00	10.0	0.60
11/01/2018	***-**-641O - LEAHY, JEFFRIE ACCOUNT #: 00073513664	AMERICAN MUTUAL FUND-A BUY 29 Units @41.2400	1,200.00	12.00	0.00	12.00	10.0	1.20



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u> 								
11/02/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	10.0	0.03
	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	10.0	0.60
	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	10.0	0.01
	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	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @40.6300						
10/17/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION C	64.02	0.64	0.00	0.64	10.0	0.06
	ACCOUNT #: 03222325444	BUY 0 Units @0.0000						
10/26/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
10/26/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	68.00	0.68	0.00	0.68	10.0	0.07
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						
10/26/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	20.00	0.20	0.00	0.20	10.0	0.02
	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	10.0	0.38
	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	10.0	0.02
	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	10.0	0.03
	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	10.0	0.50
	ACCOUNT #: 00065085393	BUY 11 Units @47.2400						
11/01/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	10.0	0.10
	ACCOUNT #: 00087038420	BUY 2 Units @47.2400						
11/01/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @47.2400						
11/02/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00066758344	BUY 0 Units @47.7500						
10/26/2018	***-**-85IN - MAZZOLA, BARBARA	EMERGING MARKETS INNOVATORS FUND C	7.50	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00100051019	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
10/17/2018	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. C	48.01	0.48	0.00	0.48	10.0	0.05
	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	10.0	0.05
	ACCOUNT #: 08370627385	BUY 0 Units @0.0000						
10/31/2018	***-**-27UG - RYAN, JOHN	FRANKLIN GROWTH FUND CLASS A	0.00	4.78	0.00	4.78	10.0	0.48
	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	10.0	0.45
	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	10.0	0.09
	ACCOUNT #: 000000000714840	BUY 0 Units @0.0000						
10/29/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00066759710	BUY 0 Units @59.0400						
11/02/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00066759710	BUY 0 Units @61.2000						
10/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @58.6900						
10/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089051066	BUY 1 Units @58.6900						
10/29/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @58.6900						
11/01/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @61.2500						
11/01/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	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	10.0	0.08
	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	10.0	0.03
	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	10.0	0.04
	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	10.0	0.02
	ACCOUNT #: 02171893331	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
10/26/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	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	10.0	0.05
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
11/01/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00087236607	BUY 2 Units @22.1700						
10/29/2018	***-**-564I - CARNEY, BARBARA	INVESTMENT COMPANY OF AMERICA CLASS	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089563161	BUY 0 Units @37.9900						
10/30/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	19.46	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00089583477	BUY 1 Units @38.5200						
11/01/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @39.2100						
10/17/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	80.02	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						
10/24/2018	***-**-262O - CUSIMANO, MEGAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
10/24/2018	***-**-953O - MILAM, IAN	MAIN STREET FUND C	75.00	0.75	0.00	0.75	10.0	0.08
	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	10.0	0.07
	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	10.0	0.05
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
10/29/2018	***-**-498O - MOYER, COLLEEN	MAIN STREET FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	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	10.0	0.05
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
10/29/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @39.4400						
10/29/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089051066	BUY 2 Units @39.4400						
11/01/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 1 Units @41.3100						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/01/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 1 Units @41.3100						
11/01/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @58.0700						
11/01/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @58.0700						
11/01/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @58.0700						
11/12/2018	***-**-3758 - CONNORS, DAVID	NY 529 ADDITIONAL DEPOSIT	24.75	0.25	0.00	0.25	10.0	0.03
	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	10.0	1.00
		BUY 0 Units @0.0000						
11/12/2018	***-**-335P - JULIAN, GIOVANA	NY 529 ADDITIONAL DEPOSIT	223.98	2.27	0.00	2.27	10.0	0.23
	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	10.0	0.15
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
11/12/2018	***-**-275P - ROBERTS,	NY 529 ADDITIONAL DEPOSIT	346.50	3.50	0.00	3.50	10.0	0.35
	ACCOUNT #: 77891325801	BUY 0 Units @0.0000						
10/26/2018	***-**-3407 - TUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	10.0	0.10
	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	10.0	0.10
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
10/26/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER CORP BOND FND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00100067156	BUY 0 Units @0.0000						
10/26/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	66.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
10/26/2018	***-**-85IN - MAZZOLA, BARBARA	OPPENHEIMER INTERNATIONAL DIVERSIFI	7.50	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 01971104114	BUY 0 Units @0.0000						
10/17/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	48.02	0.48	0.00	0.48	10.0	0.05
	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	10.0	0.05
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
10/17/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 02270934318	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	125.00	1.25	0.00	1.25	10.0	0.13
10/17/2018	***-**-655P - DAVIS, BERTHA ACCOUNT #: 02271237808	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
10/26/2018	***-**-6836 - SMITH, ADRIENNE ACCOUNT #: 02271182830	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
10/29/2018	***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02271217095	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
10/17/2018	***-**-8706 - BOSCO, REN ACCOUNT #: 02590094105	QUEST BALANCED FUND C BUY 0 Units @0.0000	500.00	5.00	0.00	5.00	10.0	0.50
10/17/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 02592292741	QUEST BALANCED FUND C BUY 0 Units @0.0000	250.00	2.50	0.00	2.50	10.0	0.25
10/24/2018	***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 05920400103	REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
10/24/2018	***-**-9530 - MILAM, IAN ACCOUNT #: 05920429869	REAL ESTATE FUND C BUY 0 Units @0.0000	37.50	0.38	0.00	0.38	10.0	0.04
10/26/2018	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 05920398266	REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
10/26/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 02531162106	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	20.00	0.20	0.00	0.20	10.0	0.02
10/29/2018	***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02531288969	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
10/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 2 Units @45.6900	80.00	0.80	0.00	0.80	10.0	0.08
10/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @45.6900	6.00	0.06	0.00	0.06	10.0	0.01
11/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @48.0900	48.20	0.48	0.00	0.48	10.0	0.05
10/17/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 02322751089	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	125.00	1.25	0.00	1.25	10.0	0.13
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	10.0	0.01



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u> 								
10/31/2018	***-**-45UG - SASSONE, RENEE	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	1.21	0.00	1.21	10.0	0.12
	ACCOUNT #: 000000001981075	BUY 0 Units @0.0000						
11/01/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 2 Units @12.3800						
11/01/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085904181	BUY 1 Units @12.3800						
10/29/2018	***-**-195P - OZMINKOWSKI,	THE GROWTH FUND OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00066758342	BUY 5 Units @49.5900						
10/29/2018	***-**-405P - FRISA, ALAN	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758344	BUY 1 Units @49.5900						
10/29/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @49.5900						
10/29/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @49.5900						
10/29/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	60.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00074922243	BUY 1 Units @49.5900						
10/29/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	72.23	0.72	0.00	0.72	10.0	0.07
	ACCOUNT #: 00083414110	BUY 1 Units @49.5900						
10/29/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00087318332	BUY 0 Units @49.5900						
10/29/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @49.5900						
10/29/2018	***-**-995P - ARBORE, CARL	THE GROWTH FUND OF AMERICA-A	50.00	1.38	0.00	1.38	10.0	0.14
	ACCOUNT #: 00081166789	BUY 1 Units @51.3900						
11/01/2018	***-**-42IR - ADAMS, GRACE	THE GROWTH FUND OF AMERICA-A	50.00	2.50	0.00	2.50	10.0	0.25
	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	10.0	0.25
	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	10.0	0.03
	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	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @51.8400						



COMMISSION STATEMENT

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ANDREW KALINOWSKI
400 West Metro Park
Rochester, NY 14623

BROKER #: 20
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/02/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @51.8400						
11/02/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	60.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00074922243	BUY 1 Units @51.8400						
11/02/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	81.64	0.82	0.00	0.82	10.0	0.08
	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	10.0	0.02
	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	10.0	0.01
	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	10.0	0.75
	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	10.0	0.19
	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	10.0	0.01
	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	10.0	0.40
	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	10.0	0.03
	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	10.0	0.02
	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	10.0	0.05
	ACCOUNT #: 00064868315	BUY 1 Units @48.0100						
11/01/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @48.0100						
10/29/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	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	10.0	0.05
	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	10.0	0.02
	ACCOUNT #: 00073798048	BUY 1 Units @38.4100						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/01/2018	***-**-545P - VISCA, ANGELO	THE INVESTMENT COMPANY OF AMERICA-A	100.00	2.75	0.00	2.75	10.0	0.28
	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	10.0	0.25
	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	10.0	0.05
	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	10.0	0.02
	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	10.0	0.03
	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	10.0	2.00
	ACCOUNT #: 00084395514	BUY 159 Units @12.6100						
10/30/2018	***-**-51IN - GUERRIERI, KIM	THE TAX-EXEMPT BOND FUND OF AMERICA	1,000.00	10.00	0.00	10.00	10.0	1.00
	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	10.0	0.25
	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	10.0	0.05
	ACCOUNT #: 00085296459	BUY 4 Units @12.5800						
11/01/2018	***-**-44UG - GUERRIERI,	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	10.0	0.25
	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	10.0	0.50
	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	10.0	0.14
	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	10.0	0.50
	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	10.0	0.01
	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	10.0	0.05
	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	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @44.1900						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: JAMES LOMBARDO (continued) 								
		 * FREDERIC SCARPULLA SUBTOTAL *	 \$16,624.78 	 \$196.76 	 \$0.00 	 \$196.76 		 \$19.86
 BROKER: JAMES LOMBARDO 								
10/29/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 00083468095	BUY 2 Units @28.0100						
11/01/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 04000460394	BUY 2 Units @28.6000						
11/01/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 04000460402	BUY 2 Units @28.6000						
11/01/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	100.00	5.00	0.00	5.00	15.0	0.75
	ACCOUNT #: 00087068370	BUY 3 Units @28.6000						
10/31/2018	***-**-5506 - LOMBARDO, LEIGH	FRANKLIN HIGH-YIELD TAX-FREE INCOME	0.00	1.59	0.00	1.59	15.0	0.24
	ACCOUNT #: 000013014201858	BUY 0 Units @0.0000						
10/29/2018	***-**-8806 - MABRY, REBECCA	THE BOND FUND OF AMERICA-A	75.00	2.25	0.00	2.25	15.0	0.34
	ACCOUNT #: 00082729374	BUY 6 Units @12.8900						
11/01/2018	***-**-3040 - KOTARY, BRANDY	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	15.0	0.23
	ACCOUNT #: 00087642268	BUY 4 Units @12.8600						
10/29/2018	***-**-1748 - LOMBARDO, JAMES	THE GROWTH FUND OF AMERICA-A	250.00	12.50	0.00	12.50	15.0	1.88
	ACCOUNT #: 00083088053	BUY 5 Units @52.6200						
11/01/2018	***-**-6802 - NAKANO, AMELIA	THE NEW ECONOMY FUND-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00082853395	BUY 1 Units @47.8000						
10/29/2018	***-**-8806 - MABRY, REBECCA	WASHINGTON MUTUAL INVESTORS FUND-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00082729374	BUY 2 Units @45.3300						
11/01/2018	***-**-6802 - NAKANO, AMELIA	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00082853395	BUY 1 Units @47.1800						
		 * JAMES LOMBARDO SUBTOTAL *	 \$800.00 	 \$37.41 	 \$0.00 	 \$37.41 		 \$5.64
		 *** OVERRIDE TRANSACTIONS TOTAL *** 	 \$17,424.78 	 \$3,167.03 	 \$0.00 	 \$3,167.03 		 \$505.37



BROKER #: 20
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$295.69
						Split Transactions		\$0.00
						Override Transactions		\$505.37
						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		\$801.06
						Year-to-date Earnings		\$101,286.02