



COMMISSION STATEMENT

October 15, 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>								
10/02/2018	***-**-5506 - LOMBARDO, LEIGH	INVESCO AMERICAN FRANCHISE FUND -CL	400.00	16.00	0.00	16.00	80.0	12.80
	ACCOUNT #: 03809219276	BUY 16 Units @24.3100						
10/02/2018	***-**-5506 - LOMBARDO, LEIGH	VAN KAMPEN3	100.00	4.00	0.00	4.00	80.0	3.20
	ACCOUNT #: 03809219276	BUY 14 Units @7.3600						
* MUTUAL FUNDS SUBTOTAL *			\$500.00	\$20.00	\$0.00	\$20.00		\$16.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/01/2018	***-**-228I - EMMA, JACQUELINE	37252M108	0.00	0.77	0.00	0.77	80.0	0.62
	ACCOUNT #: 00551461545	BUY 0 Units @0.0000						
10/01/2018	***-**-5506 - LOMBARDO, LEIGH	37252M108	0.00	3.16	0.00	3.16	80.0	2.53
	ACCOUNT #: 00370935092	BUY 0 Units @0.0000						
10/01/2018	***-**-1748 - LOMBARDO, JAMES	37252M108	0.00	7.05	0.00	7.05	80.0	5.64
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
10/15/2018	***-**-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						
10/01/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM ASSET ALLOC CONSERV-A	0.00	17.09	0.00	17.09	80.0	13.67
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
10/01/2018	***-**-7177 - RUNICE, MARGARET	PUTNAM EQUITY INCOME FUND-A	0.00	17.01	0.00	17.01	80.0	13.61
	ACCOUNT #: 00266380833	BUY 0 Units @0.0000						
10/01/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM EQUITY INCOME FUND-A	0.00	8.49	0.00	8.49	80.0	6.79
	ACCOUNT #: 00461190200	BUY 0 Units @0.0000						
10/01/2018	***-**-4160 - RUNICE, ARVID	PUTNAM EQUITY INCOME FUND-A	0.00	27.50	0.00	27.50	80.0	22.00
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						
10/01/2018	***-**-4160 - RUNICE, ARVID	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.59	0.00	0.59	80.0	0.47
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						
10/01/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM MULTI-CAP CORE FUND CL A	0.00	4.37	0.00	4.37	80.0	3.50
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
10/01/2018	***-**-0935 - MINEO, JAMES	PUTNAM MULTI-CAP CORE FUND CL A	0.00	4.86	0.00	4.86	80.0	3.89
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						
10/01/2018	***-**-8491 - INCORVAIA,	PUTNAM MULTI-CAP CORE FUND CL A	0.00	3.22	0.00	3.22	80.0	2.58
	ACCOUNT #: 00517271868	BUY 0 Units @0.0000						
10/01/2018	***-**-8201 - MAUTNER, LILLIAN	PUTNAM MULTI-CAP CORE FUND CL A	0.00	1.23	0.00	1.23	80.0	0.98
	ACCOUNT #: 00551326614	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 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)								
10/01/2018	***-**-6565 - MAUTNER, ARIANNY	PUTNAM MULTI-CAP CORE FUND CL A	0.00	1.23	0.00	1.23	80.0	0.98
	ACCOUNT #: 00551326624	BUY 0 Units @0.0000						
10/01/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	36.54	0.00	36.54	80.0	29.23
	ACCOUNT #: 00343384180	BUY 0 Units @0.0000						
10/01/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	36.29	0.00	36.29	80.0	29.03
	ACCOUNT #: 00452858253	BUY 0 Units @0.0000						
10/01/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.16	0.00	4.16	80.0	3.33
	ACCOUNT #: 00461190200	BUY 0 Units @0.0000						
10/01/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	22.25	0.00	22.25	80.0	17.80
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						
10/01/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES-B	0.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00452858253	BUY 0 Units @0.0000						
10/01/2018	***-**-4160 - RUNICE, ARVID	PUTNAM SHORT DURATION INCOME CL A	0.00	5.23	0.00	5.23	80.0	4.18
	ACCOUNT #: 00550388392	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$201.61	\$0.00	\$201.61		\$161.29
*** BROKER TRANSACTIONS TOTAL ***			\$500.00	\$221.61	\$0.00	\$221.61		\$177.29



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		\$177.29
						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		\$177.29
						Year-to-date Earnings		\$5,988.90