



COMMISSION STATEMENT

November 26, 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>								
11/21/2018	***-**-950I - JENKINS, JOHN	AMERICAN GLOBAL BALANCED CLASS A	341.54	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: LSR011619	SELL 11 Units @30.3400						
11/21/2018	***-**-149I - JENKINS, BARBARA	AMERICAN GLOBAL BALANCED CLASS A	293.33	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: LSR011620	SELL 10 Units @30.3400						
11/21/2018	***-**-950I - JENKINS, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	199.39	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: LSR011619	SELL 4 Units @46.6300						
11/21/2018	***-**-149I - JENKINS, BARBARA	CAPITAL WORLD GROWTH AND INCOME FUN	172.02	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: LSR011620	SELL 4 Units @46.6300						
11/26/2018	***-**-3500 - NIELSEN, JEFFREY	DELAWARE GROWTH OPPORTUNITIES FD CL	150.00	6.00	0.00	6.00	95.0	5.70
	ACCOUNT #: 6000305476	BUY 0 Units @0.0000						
11/14/2018	***-**-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						
11/15/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 PORT 2019-CL C	275.00	2.75	0.00	2.75	95.0	2.61
	ACCOUNT #: 00625374327	BUY 15 Units @17.8500						
11/21/2018	***-**-950I - JENKINS, JOHN	NEW WORLD FUND-A	170.44	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: LSR011619	SELL 3 Units @59.5100						
11/21/2018	***-**-950I - JENKINS, JOHN	THE BOND FUND OF AMERICA-A	1,075.46	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: LSR011619	SELL 87 Units @12.3800						
11/21/2018	***-**-149I - JENKINS, BARBARA	THE BOND FUND OF AMERICA-A	906.74	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: LSR011620	SELL 73 Units @12.3800						
11/21/2018	***-**-950I - JENKINS, JOHN	THE INCOME FUND OF AMERICA-A	491.12	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: LSR011619	SELL 22 Units @22.3400						
11/21/2018	***-**-149I - JENKINS, BARBARA	THE INCOME FUND OF AMERICA-A	421.78	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: LSR011620	SELL 19 Units @22.3400						
* MUTUAL FUNDS SUBTOTAL *			\$4,746.82	\$18.75	\$0.00	\$18.75		\$17.81
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
11/19/2018	***-**-575I - PALELLA, CHARLES	PRUDENTIAL VA TRAILS 74429P144	100.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: E1764889	BUY 0 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$100.00	\$0.00	\$0.00	\$0.00		\$0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: 529 PLAN								
11/15/2018	***-**-0054 - OSCHMANN, PAMELA FA 529 PORT 2028-CL A		100.00	2.00	0.00	2.00	95.0	1.90
	ACCOUNT #: 03900243724	BUY 4 Units @27.7500						
		* 529 PLAN SUBTOTAL *	\$100.00	\$2.00	\$0.00	\$2.00		\$1.90
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
11/05/2018	***-**-837J - HARRIS, THOMAS	DYNAMIC SMALL CAP FUND - A	0.00	2.04	0.00	2.04	95.0	1.94
	ACCOUNT #: 00000442576	BUY 0 Units @0.0000						
11/05/2018	***-**-14UG - MANNO, PAUL A	DYNAMIC SMALL CAP FUND - A	0.00	7.58	0.00	7.58	95.0	7.20
	ACCOUNT #: 00000456570	BUY 0 Units @0.0000						
11/05/2018	***-**-73IN - PHILIPPY, MARK	DYNAMIC SMALL CAP FUND - A	0.00	2.95	0.00	2.95	95.0	2.80
	ACCOUNT #: 00000457290	BUY 0 Units @0.0000						
11/05/2018	***-**-380I - COOK, JANINE	DYNAMIC SMALL CAP FUND - A	0.00	8.34	0.00	8.34	95.0	7.92
	ACCOUNT #: 00000458187	BUY 0 Units @0.0000						
11/05/2018	***-**-14UG - MANNO, PAUL A	DYNAMIC SMALL CAP FUND - A	0.00	7.58	0.00	7.58	95.0	7.20
	ACCOUNT #: 00000476122	BUY 0 Units @0.0000						
11/05/2018	***-**-16IN - CURRAN, THOMAS	DYNAMIC SMALL CAP FUND - A	0.00	6.07	0.00	6.07	95.0	5.77
	ACCOUNT #: 00000478324	BUY 0 Units @0.0000						
11/05/2018	***-**-305P - MILGATE, PATRICK	DYNAMIC SMALL CAP FUND - A	0.00	4.42	0.00	4.42	95.0	4.20
	ACCOUNT #: 00000485407	BUY 0 Units @0.0000						
11/26/2018	***-**-60CL - KALINOWSKI,	JANUS MF TRAILS	0.00	4.91	0.00	4.91	95.0	4.66
		BUY 0 Units @0.0000						
11/14/2018	***-**-35IN - EDWARDS, DEBORAH	LORD ABBETT AFFILIATED FUND CLASS A	0.00	23.98	0.00	23.98	95.0	22.78
	ACCOUNT #: 00400223307	BUY 0 Units @0.0000						
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$67.87	\$0.00	\$67.87		\$64.47
		*** BROKER TRANSACTIONS TOTAL ***	\$4,946.82	\$88.62	\$0.00	\$88.62		\$84.18



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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: RICHARD BIRNS</u>								
11/26/2018	***-**-192I - BIRNS, DAVID	HARTFORD ADDITIONAL DEPOSIT BUY 0 Units @0.0000	108.00	2.15	0.00	2.15	20.0	0.43
		* RICHARD BIRNS SUBTOTAL *	\$108.00	\$2.15	\$0.00	\$2.15		\$0.43
<u>BROKER: BARRY BRESIN</u>								
11/26/2018	***-**-16IN - STERN, PATRICIA ACCOUNT #: 7200027673	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	20.23	0.00	20.23	15.0	3.03
11/26/2018	***-**-939I - BRESIN, HOWARD ACCOUNT #: 7200036177	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	315.74	0.00	315.74	15.0	47.36
		* BARRY BRESIN SUBTOTAL *	\$0.00	\$335.97	\$0.00	\$335.97		\$50.39
<u>BROKER: FREDERIC SCARPULLA</u>								
11/19/2018	***-**-0006 - FORSYTH, KATHRYN ACCOUNT #: 04000650661	AMCAP FUND-C BUY 2 Units @27.6500	57.69	0.58	0.00	0.58	10.0	0.06
11/21/2018	***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	AMERICAN BALANCED FUND-A BUY 1 Units @26.6900	20.00	0.20	0.00	0.20	10.0	0.02
11/21/2018	***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	AMERICAN BALANCED FUND-A BUY 0 Units @26.6900	10.00	0.10	0.00	0.10	10.0	0.01
11/19/2018	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089244081	AMERICAN BALANCED FUND-C BUY 3 Units @26.7200	92.36	0.92	0.00	0.92	10.0	0.09
11/19/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @26.7200	40.00	0.40	0.00	0.40	10.0	0.04
11/19/2018	***-**-035S - CAPIZZI, TRACIE ACCOUNT #: 00089679504	AMERICAN BALANCED FUND-C BUY 1 Units @26.7200	37.52	0.38	0.00	0.38	10.0	0.04
11/19/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @26.7200	18.73	0.19	0.00	0.19	10.0	0.02
11/21/2018	***-**-3834 - SWARTWOUT, ACCOUNT #: 00089957234	AMERICAN BALANCED FUND-C BUY 2 Units @26.4900	50.00	0.50	0.00	0.50	10.0	0.05
11/21/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 6 Units @26.4900	160.00	1.60	0.00	1.60	10.0	0.16
11/21/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @26.4900	12.00	0.12	0.00	0.12	10.0	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/23/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @26.3800						
11/23/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @26.3800						
11/23/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @26.3800						
11/23/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 7 Units @26.3800						
11/23/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089910177	BUY 5 Units @26.3800						
11/21/2018	***-**-1102 - FINOCCHARIO,	AMERICAN FUNDS 2050 TARGET DATE-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 04001203455	BUY 2 Units @14.3300						
11/23/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @9.8800						
11/23/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 11 Units @9.8800						
11/21/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @41.1100						
11/21/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	600.00	6.00	0.00	6.00	10.0	0.60
	ACCOUNT #: 00066759711	BUY 15 Units @41.1100						
11/21/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @40.4800						
11/23/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @40.2700						
11/01/2018	***-**-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						
11/05/2018	***-**-772I - KERHAERT,	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 03222178044	BUY 0 Units @0.0000						
11/09/2018	***-**-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						
11/09/2018	***-**-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						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u> 								
11/09/2018	***-**-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						
11/21/2018	***-**-9611 - MACDUFFIE, LINDA	CAPITAL INCOME BUILDER CLASS C	300.00	3.00	0.00	3.00	10.0	0.30
	ACCOUNT #: 00087299599	BUY 5 Units @58.1300						
11/20/2018	***-**-0447 - LEVINE, JACQUE	CAPITAL INCOME BUILDER-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00084996765	BUY 2 Units @60.6700						
11/19/2018	***-**-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 @46.4300						
11/21/2018	***-**-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 @46.6300						
11/23/2018	***-**-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 @45.7700						
11/23/2018	***-**-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 @45.7700						
11/05/2018	***-**-732J - ARBORE, MARIA	CORE BOND FUND - A	0.00	4.22	0.00	4.22	10.0	0.42
	ACCOUNT #: 00000108231	BUY 0 Units @0.0000						
11/09/2018	***-**-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						
11/01/2018	***-**-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						
11/01/2018	***-**-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						
11/21/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00066759710	BUY 0 Units @59.6700						
11/21/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @59.2900						
11/21/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089051066	BUY 1 Units @59.2900						
11/21/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @59.2900						
11/23/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @58.8300						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/23/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @58.8300						
11/01/2018	***-**-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						
11/05/2018	***-**-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						
11/05/2018	***-**-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						
11/09/2018	***-**-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						
11/09/2018	***-**-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						
11/13/2018	***-**-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						
11/05/2018	***-**-39IN - ARBORE, MARIA	GROWTH AND INCOME FUND - A	0.00	2.97	0.00	2.97	10.0	0.30
	ACCOUNT #: 00000176375	BUY 0 Units @0.0000						
11/23/2018	***-**-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 @21.9300						
11/19/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	18.19	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @38.5500						
11/21/2018	***-**-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 @38.0900						
11/23/2018	***-**-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 @37.7900						
11/01/2018	***-**-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						
11/05/2018	***-**-2620 - 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						
11/05/2018	***-**-9530 - 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						
11/09/2018	***-**-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						



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 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: FREDERIC SCARPULLA (continued) 								
11/09/2018	***-**-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						
11/13/2018	***-**-4980 - 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						
11/13/2018	***-**-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						
11/21/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089051066	BUY 2 Units @39.8400						
11/21/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @39.8400						
11/23/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 1 Units @39.6200						
11/23/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 1 Units @39.6200						
11/23/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @56.8500						
11/23/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @56.8500						
11/23/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @56.8500						
11/05/2018	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD C	400.00	4.00	0.00	4.00	10.0	0.40
	ACCOUNT #: 06670037664	BUY 0 Units @0.0000						
11/05/2018	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD C	180.00	1.80	0.00	1.80	10.0	0.18
	ACCOUNT #: 06670037675	BUY 0 Units @0.0000						
11/05/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD C	180.00	1.80	0.00	1.80	10.0	0.18
	ACCOUNT #: 06670037686	BUY 0 Units @0.0000						
11/09/2018	***-**-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						
11/09/2018	***-**-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						
11/09/2018	***-**-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						



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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> 								
11/09/2018	***-**-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						
11/09/2018	***-**-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						
11/01/2018	***-**-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						
11/01/2018	***-**-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						
11/01/2018	***-**-1314 - BENEDETTO,	OPPENHEIMER RISING DIVIDENDS FUND C	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 02270934318	BUY 0 Units @0.0000						
11/01/2018	***-**-655P - DAVIS, BERTHA	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02271237808	BUY 0 Units @0.0000						
11/09/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02271182830	BUY 0 Units @0.0000						
11/13/2018	***-**-4980 - MOYER, COLLEEN	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
11/01/2018	***-**-8706 - BOSCO, REN	QUEST BALANCED FUND C	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 02590094105	BUY 0 Units @0.0000						
11/01/2018	***-**-1314 - BENEDETTO,	QUEST BALANCED FUND C	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 02592292741	BUY 0 Units @0.0000						
11/05/2018	***-**-772I - KERHAERT,	QUEST BALANCED FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02592262304	BUY 0 Units @0.0000						
11/14/2018	***-**-8706 - BOSCO, REN	QUEST BALANCED FUND C	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 02590094105	BUY 0 Units @0.0000						
11/05/2018	***-**-2620 - CUSIMANO, MEGAN	REAL ESTATE FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 05920400103	BUY 0 Units @0.0000						
11/05/2018	***-**-9530 - MILAM, IAN	REAL ESTATE FUND C	37.50	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 05920429869	BUY 0 Units @0.0000						
11/09/2018	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
11/05/2018	***-**-33UG - DELGAIZO, ALESHA	SMALL CAP EQUITY FUND - A	0.00	1.71	0.00	1.71	10.0	0.17
	ACCOUNT #: 00000413901	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/09/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
11/13/2018	***-**-4980 - MOYER, COLLEEN	SMALL- & MID- CAP VALUE FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02531288969	BUY 0 Units @0.0000						
11/21/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089051066	BUY 2 Units @46.0500						
11/21/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @46.0500						
11/23/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @46.1300						
11/01/2018	***-**-1314 - BENEDETTO,	STRATEGIC INCOME FUND C	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 02322751089	BUY 0 Units @0.0000						
11/09/2018	***-**-1834 - BUTLER, KIM	STRATEGIC INCOME FUND C	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 01920863291	BUY 0 Units @0.0000						
11/23/2018	***-**-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 @12.3900						
11/23/2018	***-**-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 @12.3900						
11/21/2018	***-**-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 @49.9800						
11/21/2018	***-**-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 @49.9800						
11/21/2018	***-**-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 @49.9800						
11/21/2018	***-**-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 @49.9800						
11/21/2018	***-**-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 @49.9800						
11/21/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	65.49	0.65	0.00	0.65	10.0	0.07
	ACCOUNT #: 00083414110	BUY 1 Units @49.9800						
11/21/2018	***-**-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 @49.9800						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: FREDERIC SCARPULLA (continued)								
11/21/2018	***-**-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 @49.9800						
11/19/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	71.11	0.71	0.00	0.71	10.0	0.07
	ACCOUNT #: 00089319958	BUY 2 Units @46.3600						
11/19/2018	***-**-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 @46.3600						
11/19/2018	***-**-0006 - FORSYTH, KATHRYN	THE GROWTH FUND OF AMERICA-C	86.54	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 04000650661	BUY 2 Units @46.3600						
11/19/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	18.18	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @46.3600						
11/21/2018	***-**-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 @46.0300						
11/23/2018	***-**-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 @45.7200						
11/23/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	176.00	1.76	0.00	1.76	10.0	0.18
	ACCOUNT #: 00073003754	BUY 4 Units @45.7200						
11/20/2018	***-**-8776 - LEVINE, TODD	THE INCOME FUND OF AMERICA-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00067996697	BUY 4 Units @23.3200						
11/21/2018	***-**-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 @38.5400						
11/21/2018	***-**-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 @38.5400						
11/21/2018	***-**-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 @38.5400						
11/19/2018	***-**-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 @39.3400						
11/19/2018	***-**-279J - HERRMANN, KEVIN	THE TAX-EXEMPT BOND FUND OF AMERICA	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 00086046167	BUY 10 Units @12.6100						
11/21/2018	***-**-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 @44.3100						
11/19/2018	***-**-305P - MESH, RONALD	WASHINGTON MUTUAL INVESTORS FUND-C	400.00	4.00	0.00	4.00	10.0	0.40
	ACCOUNT #: 00074720484	BUY 9 Units @44.3100						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
11/21/2018	***-**-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 @43.6700						
11/23/2018	***-**-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 @43.3900						
11/23/2018	***-**-435P - BOSCO, SOFIA	WASHINGTON MUTUAL INVESTORS FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 4 Units @43.3900						
11/05/2018	***-**-27IN - TINKLEPAUGH,	WELLS FGO AVTG DIVERSFD CAPITAL BLD	0.00	1.11	0.00	1.11	10.0	0.11
	ACCOUNT #: 01005412974	BUY 0 Units @0.0000						
		* FREDERIC SCARPULLA SUBTOTAL *	\$9,502.45	\$110.55	\$0.00	\$110.55		\$11.25
<u>BROKER: WILLIAM AGNELLO</u>								
11/21/2018	***-**-02IN - DEE, LILLIAN	EASTMAN CHEMICAL CO	8,135.00	37.00	0.00	37.00	25.0	9.25
	ACCOUNT #: LSR010251	BUY 100 Units @81.3500						
		* WILLIAM AGNELLO SUBTOTAL *	\$8,135.00	\$37.00	\$0.00	\$37.00		\$9.25
<u>BROKER: JAMES LOMBARDO</u>								
11/15/2018	***-**-6195 - BACKUS, THOMAS	INVESCO AMERICAN FRANCHISE FUND -CL	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 03908954377	BUY 2 Units @21.7100						
11/20/2018	***-**-6759 - TARANTINO, GARY	THE BOND FUND OF AMERICA-A	10.00	0.30	0.00	0.30	15.0	0.05
	ACCOUNT #: 00089449406	BUY 1 Units @12.8700						
11/20/2018	***-**-6759 - TARANTINO, GARY	THE GROWTH FUND OF AMERICA-A	40.00	2.00	0.00	2.00	15.0	0.30
	ACCOUNT #: 00089449406	BUY 1 Units @52.5900						
		* JAMES LOMBARDO SUBTOTAL *	\$100.00	\$4.80	\$0.00	\$4.80		\$0.73
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$17,845.45	\$490.47	\$0.00	\$490.47		\$72.05



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<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$84.18
						Split Transactions		\$0.00
						Override Transactions		\$72.05
						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		\$156.23
						Year-to-date Earnings		\$102,754.73