



COMMISSION STATEMENT

October 08, 2018

FREDERIC SCARPULLA
400 West Metro Park
Rochester, NY 14623

BROKER #: 417
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>								
10/01/2018	***-**-539I - JALLOH, ABDULAI	AMCAP FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00084394270	BUY 2 Units @30.9500						
10/01/2018	***-**-511I - ROOD, SCOTT	AMCAP FUND-C	11.59	0.12	0.00	0.12	80.0	0.10
	ACCOUNT #: 00088607840	BUY 0 Units @30.9500						
10/01/2018	***-**-511I - ROOD, SCOTT	AMCAP FUND-C	42.06	0.42	0.00	0.42	80.0	0.34
	ACCOUNT #: 00088607840	BUY 1 Units @30.9500						
10/01/2018	***-**-5822 - CURATALO, JAMES	AMCAP FUND-C	11.58	0.12	0.00	0.12	80.0	0.10
	ACCOUNT #: 04000783911	BUY 0 Units @30.9500						
10/01/2018	***-**-5822 - CURATALO, JAMES	AMCAP FUND-C	14.48	0.14	0.00	0.14	80.0	0.11
	ACCOUNT #: 04000783911	BUY 0 Units @30.9500						
10/01/2018	***-**-965P - SHAFER, PAUL	AMERICAN BALANCED FUND-A	17.80	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00073549401	BUY 1 Units @28.5700						
10/01/2018	***-**-625P - BORRELLI, LOUIS	AMERICAN BALANCED FUND-A	13.68	0.22	0.00	0.22	80.0	0.18
	ACCOUNT #: 00073550085	BUY 0 Units @28.5700						
10/01/2018	***-**-625P - BORRELLI, LOUIS	AMERICAN BALANCED FUND-A	92.00	1.47	0.00	1.47	80.0	1.18
	ACCOUNT #: 00073550085	BUY 3 Units @28.5700						
10/01/2018	***-**-975P - COTTONE, MARIA	AMERICAN BALANCED FUND-A	100.00	3.75	0.00	3.75	80.0	3.00
	ACCOUNT #: 00086785798	BUY 3 Units @29.3200						
10/05/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	28.47	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00073798048	BUY 1 Units @27.7100						
10/05/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	18.93	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 00089461113	BUY 1 Units @27.7100						
10/01/2018	***-**-58IR - HINDERLAND, GARY	AMERICAN BALANCED FUND-C	300.01	3.00	3.00	0.00	80.0	0.00
	ACCOUNT #: LSR011249	BUY 11 Units @27.8200						
10/01/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089957234	BUY 2 Units @27.8200						
10/01/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089957234	BUY 2 Units @27.8200						
10/01/2018	***-**-984I - DELUCA, SHARI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00064868315	BUY 2 Units @27.8200						
10/01/2018	***-**-6000 - SMITH, KENNETH	AMERICAN BALANCED FUND-C	18.40	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00083081099	BUY 1 Units @27.8200						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/01/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 1 Units @27.8200						
10/01/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	3.63	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @27.8200						
10/01/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	2.09	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @27.8200						
10/01/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904181	BUY 0 Units @27.8200						
10/01/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00085904210	BUY 1 Units @27.8200						
10/01/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	3.97	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @27.8200						
10/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	34.00	0.34	0.00	0.34	80.0	0.27
	ACCOUNT #: 00086979418	BUY 1 Units @27.8200						
10/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00086979418	BUY 1 Units @27.8200						
10/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	15.18	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 00089051066	BUY 1 Units @27.8200						
10/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	61.20	0.61	0.00	0.61	80.0	0.49
	ACCOUNT #: 00089051066	BUY 2 Units @27.8200						
10/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	15.18	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 00089051066	BUY 1 Units @27.8200						
10/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	61.20	0.61	0.00	0.61	80.0	0.49
	ACCOUNT #: 00089051066	BUY 2 Units @27.8200						
10/01/2018	***-**-0962 - TRETYAK,	AMERICAN BALANCED FUND-C	18.40	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00089399972	BUY 1 Units @27.8200						
10/01/2018	***-**-0962 - TRETYAK,	AMERICAN BALANCED FUND-C	85.89	0.86	0.00	0.86	80.0	0.69
	ACCOUNT #: 00089399972	BUY 3 Units @27.8200						
10/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	66.36	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 00089722785	BUY 2 Units @27.8200						
10/01/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	80.0	0.96
	ACCOUNT #: 00089910177	BUY 4 Units @27.8200						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/01/2018	***-**-255U - LIPPA, HARITINI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000385806	BUY 2 Units @27.8200						
10/01/2018	***-**-1277 - ROBSON, BONNIE	AMERICAN BALANCED FUND-C	26.95	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 04000868901	BUY 1 Units @27.8200						
10/01/2018	***-**-1277 - ROBSON, BONNIE	AMERICAN BALANCED FUND-C	33.69	0.34	0.00	0.34	80.0	0.27
	ACCOUNT #: 04000868901	BUY 1 Units @27.8200						
10/02/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089045192	BUY 1 Units @27.8200						
10/02/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	15.18	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 00089051066	BUY 1 Units @27.8200						
10/02/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	80.0	0.33
	ACCOUNT #: 00089051066	BUY 1 Units @27.8200						
10/02/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	18.11	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00089583477	BUY 1 Units @27.8200						
10/04/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	80.0	0.96
	ACCOUNT #: 00089910177	BUY 4 Units @27.6300						
10/05/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089045192	BUY 1 Units @27.5300						
10/05/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	80.0	0.33
	ACCOUNT #: 00089051066	BUY 1 Units @27.5300						
10/05/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	15.18	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 00089051066	BUY 1 Units @27.5300						
10/05/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	17.54	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00089583477	BUY 1 Units @27.5300						
10/01/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	45.66	0.46	0.00	0.46	80.0	0.37
	ACCOUNT #: 04000820464	BUY 2 Units @19.5100						
10/01/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	7.61	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 04000820464	BUY 0 Units @19.5100						
10/01/2018	***-**-511I - ROOD, SCOTT	AMERICAN GLOBAL BALANCED CL C	9.94	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00088607840	BUY 0 Units @31.9500						
10/01/2018	***-**-511I - ROOD, SCOTT	AMERICAN GLOBAL BALANCED CL C	36.05	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00088607840	BUY 1 Units @31.9500						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.2600	105.00	1.05	0.00	1.05	80.0	0.84
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.2600	4.55	0.05	0.00	0.05	80.0	0.04
10/03/2018	***-**-05IO - KIMBLE, LONNY ACCOUNT #: LSR011472	AMERICAN HIGH-INCOME TRUST-C SELL 45 Units @10.2700	463.41	0.00	0.00	0.00	80.0	0.00
10/05/2018	***-**-255P - EVANS, JAMES ACCOUNT #: 00066759711	AMERICAN MUTUAL FUND-A BUY 1 Units @42.8100	36.42	0.36	0.00	0.36	80.0	0.29
10/05/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	AMERICAN MUTUAL FUND-A BUY 1 Units @42.8100	41.77	0.42	0.00	0.42	80.0	0.34
10/01/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @42.4700	1.75	0.02	0.00	0.02	80.0	0.02
10/01/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @42.4700	5.00	0.05	0.00	0.05	80.0	0.04
10/01/2018	***-**-511I - ROOD, SCOTT ACCOUNT #: 00088607840	AMERICAN MUTUAL FUND-C BUY 0 Units @42.4700	11.60	0.12	0.00	0.12	80.0	0.10
10/01/2018	***-**-511I - ROOD, SCOTT ACCOUNT #: 00088607840	AMERICAN MUTUAL FUND-C BUY 1 Units @42.4700	42.06	0.42	0.00	0.42	80.0	0.34
10/01/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	AMERICAN MUTUAL FUND-C BUY 0 Units @42.4700	5.00	0.05	0.00	0.05	80.0	0.04
10/01/2018	***-**-4392 - GARCIA, MICHELLE ACCOUNT #: 00085764363	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @60.4800	25.00	0.25	0.00	0.25	80.0	0.20
10/01/2018	***-**-7171 - GIUDICE, JUSTIN ACCOUNT #: 00086494794	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @60.4800	15.65	0.16	0.00	0.16	80.0	0.13
10/01/2018	***-**-7171 - GIUDICE, JUSTIN ACCOUNT #: 00086494794	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @60.4800	46.20	0.46	0.00	0.46	80.0	0.37
10/01/2018	***-**-0962 - TRETYAK, ACCOUNT #: 00089399972	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @60.4800	18.40	0.18	0.00	0.18	80.0	0.14
10/01/2018	***-**-0962 - TRETYAK, ACCOUNT #: 00089399972	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @60.4800	85.90	0.86	0.00	0.86	80.0	0.69
10/01/2018	***-**-625P - BORRELLI, LOUIS ACCOUNT #: 00073550085	CAPITAL INCOME BUILDER-A BUY 0 Units @61.6200	13.68	0.22	0.00	0.22	80.0	0.18



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/01/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL INCOME BUILDER-A	92.00	1.47	0.00	1.47	80.0	1.18
	ACCOUNT #: 00073550085	BUY 1 Units @61.6200						
10/01/2018	***-**-975P - COTTONE, MARIA	CAPITAL INCOME BUILDER-A	100.00	3.75	0.00	3.75	80.0	3.00
	ACCOUNT #: 00086785798	BUY 2 Units @63.2400						
10/01/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL WORLD GROWTH AND INCOME FUN	13.68	0.22	0.00	0.22	80.0	0.18
	ACCOUNT #: 00073550085	BUY 0 Units @52.3000						
10/01/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL WORLD GROWTH AND INCOME FUN	92.00	1.47	0.00	1.47	80.0	1.18
	ACCOUNT #: 00073550085	BUY 2 Units @52.3000						
10/01/2018	***-**-048I - DEAN, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00065085393	BUY 10 Units @50.7000						
10/01/2018	***-**-4036 - AMES, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	19.20	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 00083414092	BUY 0 Units @50.7000						
10/01/2018	***-**-4036 - AMES, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	32.00	0.32	0.00	0.32	80.0	0.26
	ACCOUNT #: 00083414092	BUY 1 Units @50.7000						
10/01/2018	***-**-1209 - NATALE, KIMBERLY	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085764285	BUY 1 Units @50.7000						
10/01/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085764363	BUY 0 Units @50.7000						
10/01/2018	***-**-05IN - RANDALL, ADAM	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085941585	BUY 0 Units @50.7000						
10/01/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	80.0	0.77
	ACCOUNT #: 00087038420	BUY 2 Units @50.7000						
10/01/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	3.60	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00087038420	BUY 0 Units @50.7000						
10/01/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @50.7000						
10/01/2018	***-**-4926 - HAUN, GARY	CAPITAL WORLD GROWTH AND INCOME FUN	16.92	0.17	0.00	0.17	80.0	0.14
	ACCOUNT #: 04000492822	BUY 0 Units @50.7000						
10/01/2018	***-**-4926 - HAUN, GARY	CAPITAL WORLD GROWTH AND INCOME FUN	84.60	0.85	0.00	0.85	80.0	0.68
	ACCOUNT #: 04000492822	BUY 2 Units @50.7000						
10/02/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00089045192	BUY 1 Units @50.4600						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/04/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @49.8800						
10/05/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	23.97	0.24	0.00	0.24	80.0	0.19
	ACCOUNT #: 00066758344	BUY 0 Units @50.1400						
10/05/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00089045192	BUY 1 Units @49.6000						
10/01/2018	***-**-925P - BURNS, JASON	FUNDAMENTAL INVESTORS-A	17.82	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00073550035	BUY 0 Units @66.8600						
10/01/2018	***-**-925P - BURNS, JASON	FUNDAMENTAL INVESTORS-A	114.58	1.83	0.00	1.83	80.0	1.46
	ACCOUNT #: 00073550035	BUY 2 Units @66.8600						
10/05/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	70.50	0.71	0.00	0.71	80.0	0.57
	ACCOUNT #: 00066759710	BUY 1 Units @64.5700						
10/01/2018	***-**-7625 - PRINCE, ADAM	FUNDAMENTAL INVESTORS-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085764342	BUY 1 Units @65.1700						
10/01/2018	***-**-4392 - GARCIA, MICHELLE	FUNDAMENTAL INVESTORS-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085764363	BUY 0 Units @65.1700						
10/01/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085902226	BUY 0 Units @65.1700						
10/01/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	2.40	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @65.1700						
10/01/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085904203	BUY 0 Units @65.1700						
10/01/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	2.27	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @65.1700						
10/01/2018	***-**-7171 - GIUDICE, JUSTIN	FUNDAMENTAL INVESTORS-C	15.65	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00086494794	BUY 0 Units @65.1700						
10/01/2018	***-**-7171 - GIUDICE, JUSTIN	FUNDAMENTAL INVESTORS-C	46.20	0.46	0.00	0.46	80.0	0.37
	ACCOUNT #: 00086494794	BUY 1 Units @65.1700						
10/01/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	7.59	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @65.1700						
10/01/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	30.60	0.31	0.00	0.31	80.0	0.25
	ACCOUNT #: 00089051066	BUY 0 Units @65.1700						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.1700	7.59	0.08	0.00	0.08	80.0	0.06
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.1700	30.60	0.31	0.00	0.31	80.0	0.25
10/01/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.1700	5.00	0.05	0.00	0.05	80.0	0.04
10/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.1300	7.59	0.08	0.00	0.08	80.0	0.06
10/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.1300	20.40	0.20	0.00	0.20	80.0	0.16
10/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.2200	20.40	0.20	0.00	0.20	80.0	0.16
10/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.2200	7.59	0.08	0.00	0.08	80.0	0.06
10/01/2018	***-**-92IR - CUSIMANO, ACCOUNT #: LSR011412	GLOBAL OPPORTUNITIES A BUY 4 Units @79.2500	299.96	14.25	3.00	11.25	80.0	9.00
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 2 Units @22.9500	45.00	0.45	0.00	0.45	80.0	0.36
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 0 Units @22.9500	1.95	0.02	0.00	0.02	80.0	0.02
10/03/2018	***-**-05IO - KIMBLE, LONNY ACCOUNT #: LSR011472	INCOME FUND OF AMERICA CLASS C SELL 20 Units @22.9600	463.40	0.00	0.00	0.00	80.0	0.00
10/01/2018	***-**-1209 - NATALE, KIMBERLY ACCOUNT #: 00085764285	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @41.7800	50.00	0.50	0.00	0.50	80.0	0.40
10/01/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @41.7800	28.90	0.29	0.00	0.29	80.0	0.23
10/01/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @41.7800	3.74	0.04	0.00	0.04	80.0	0.03
10/01/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @41.7800	4.00	0.04	0.00	0.04	80.0	0.03
10/01/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @41.7800	0.99	0.01	0.00	0.01	80.0	0.01



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/01/2018	***-**-564I - CARNEY, BARBARA	INVESTMENT COMPANY OF AMERICA CLASS	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089563161	BUY 0 Units @41.7800						
10/01/2018	***-**-96CL - SCARPULLA,	INVESTMENT COMPANY OF AMERICA CLASS	49.77	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089722785	BUY 1 Units @41.7800						
10/02/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	17.57	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00089583477	BUY 0 Units @41.8100						
10/05/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	17.03	0.17	0.00	0.17	80.0	0.14
	ACCOUNT #: 00089583477	BUY 0 Units @41.3100						
10/01/2018	***-**-955P - ROSE, JUSTIN	NEW PERSPECTIVE FUND-A	20.11	0.32	0.00	0.32	80.0	0.26
	ACCOUNT #: 00073550044	BUY 0 Units @47.9200						
10/01/2018	***-**-955P - ROSE, JUSTIN	NEW PERSPECTIVE FUND-A	150.00	2.40	0.00	2.40	80.0	1.92
	ACCOUNT #: 00073550044	BUY 3 Units @47.9200						
10/01/2018	***-**-6000 - SMITH, KENNETH	NEW PERSPECTIVE FUND-C	9.20	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00083081099	BUY 0 Units @44.8600						
10/01/2018	***-**-4036 - AMES, JOHN	NEW PERSPECTIVE FUND-C	14.40	0.14	0.00	0.14	80.0	0.11
	ACCOUNT #: 00083414092	BUY 0 Units @44.8600						
10/01/2018	***-**-4036 - AMES, JOHN	NEW PERSPECTIVE FUND-C	24.00	0.24	0.00	0.24	80.0	0.19
	ACCOUNT #: 00083414092	BUY 1 Units @44.8600						
10/01/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @44.8600						
10/01/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085902226	BUY 0 Units @44.8600						
10/01/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @44.8600						
10/01/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @44.8600						
10/01/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @44.8600						
10/01/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	2.66	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @44.8600						
10/01/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	7.58	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @44.8600						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 1 Units @44.8600	30.60	0.31	0.00	0.31	80.0	0.25
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.8600	7.58	0.08	0.00	0.08	80.0	0.06
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 1 Units @44.8600	30.60	0.31	0.00	0.31	80.0	0.25
10/01/2018	***-**-1277 - ROBSON, BONNIE ACCOUNT #: 04000868901	NEW PERSPECTIVE FUND-C BUY 0 Units @44.8600	20.21	0.20	0.00	0.20	80.0	0.16
10/01/2018	***-**-1277 - ROBSON, BONNIE ACCOUNT #: 04000868901	NEW PERSPECTIVE FUND-C BUY 1 Units @44.8600	25.27	0.25	0.00	0.25	80.0	0.20
10/01/2018	***-**-5822 - CURATALO, JAMES ACCOUNT #: 04000783911	NEW PERSPECTIVE FUND-C BUY 0 Units @44.8600	11.59	0.12	0.00	0.12	80.0	0.10
10/01/2018	***-**-5822 - CURATALO, JAMES ACCOUNT #: 04000783911	NEW PERSPECTIVE FUND-C BUY 0 Units @44.8600	14.48	0.14	0.00	0.14	80.0	0.11
10/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.6300	7.58	0.08	0.00	0.08	80.0	0.06
10/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.6300	20.40	0.20	0.00	0.20	80.0	0.16
10/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @43.4500	20.40	0.20	0.00	0.20	80.0	0.16
10/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @43.4500	7.58	0.08	0.00	0.08	80.0	0.06
10/01/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	NEW WORLD FUND-C BUY 0 Units @61.4600	14.40	0.14	0.00	0.14	80.0	0.11
10/01/2018	***-**-4036 - AMES, JOHN ACCOUNT #: 00083414092	NEW WORLD FUND-C BUY 0 Units @61.4600	24.00	0.24	0.00	0.24	80.0	0.19
10/01/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @61.4600	21.00	0.21	0.00	0.21	80.0	0.17
10/01/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @61.4600	2.80	0.03	0.00	0.03	80.0	0.02
10/01/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @61.4600	21.00	0.21	0.00	0.21	80.0	0.17



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/01/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.65	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @61.4600						
10/01/2018	***-**-05IN - RANDALL, ADAM	NEW WORLD FUND-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085941585	BUY 0 Units @61.4600						
10/01/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @61.4600						
10/01/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @61.4600						
10/01/2018	***-**-92IR - CUSIMANO,	SELECT VALUE FUND A	299.99	14.25	3.00	11.25	80.0	9.00
	ACCOUNT #: LSR011412	BUY 12 Units @26.0700						
10/01/2018	***-**-925P - BURNS, JASON	SMALLCAP WORLD FUND-A	17.82	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00073550035	BUY 0 Units @61.0700						
10/01/2018	***-**-925P - BURNS, JASON	SMALLCAP WORLD FUND-A	114.58	1.83	0.00	1.83	80.0	1.46
	ACCOUNT #: 00073550035	BUY 2 Units @61.0700						
10/01/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @52.3400						
10/01/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @52.3400						
10/01/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	7.59	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @52.3400						
10/01/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	30.60	0.31	0.00	0.31	80.0	0.25
	ACCOUNT #: 00089051066	BUY 1 Units @52.3400						
10/01/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	7.59	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @52.3400						
10/01/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	30.60	0.31	0.00	0.31	80.0	0.25
	ACCOUNT #: 00089051066	BUY 1 Units @52.3400						
10/02/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	7.59	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @51.8300						
10/02/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @51.8300						
10/05/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @50.5900						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @50.5900	7.59	0.08	0.00	0.08	80.0	0.06
10/01/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.4600	28.05	0.28	0.00	0.28	80.0	0.22
10/01/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 0 Units @12.4600	3.63	0.04	0.00	0.04	80.0	0.03
10/01/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 0 Units @12.4600	3.14	0.03	0.00	0.03	80.0	0.02
10/01/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.4600	9.00	0.09	0.00	0.09	80.0	0.07
10/01/2018	***-**-7171 - GIUDICE, JUSTIN ACCOUNT #: 00086494794	THE BOND FUND OF AMERICA-C BUY 1 Units @12.4600	16.12	0.16	0.00	0.16	80.0	0.13
10/01/2018	***-**-7171 - GIUDICE, JUSTIN ACCOUNT #: 00086494794	THE BOND FUND OF AMERICA-C BUY 4 Units @12.4600	47.60	0.48	0.00	0.48	80.0	0.38
10/01/2018	***-**-965P - SHAFER, PAUL ACCOUNT #: 00073549401	THE GROWTH FUND OF AMERICA-A BUY 0 Units @57.9700	17.80	0.28	0.00	0.28	80.0	0.22
10/01/2018	***-**-925P - BURNS, JASON ACCOUNT #: 00073550035	THE GROWTH FUND OF AMERICA-A BUY 0 Units @57.9700	18.36	0.29	0.00	0.29	80.0	0.23
10/01/2018	***-**-925P - BURNS, JASON ACCOUNT #: 00073550035	THE GROWTH FUND OF AMERICA-A BUY 2 Units @57.9700	118.04	1.89	0.00	1.89	80.0	1.51
10/01/2018	***-**-955P - ROSE, JUSTIN ACCOUNT #: 00073550044	THE GROWTH FUND OF AMERICA-A BUY 0 Units @57.9700	20.10	0.32	0.00	0.32	80.0	0.26
10/01/2018	***-**-955P - ROSE, JUSTIN ACCOUNT #: 00073550044	THE GROWTH FUND OF AMERICA-A BUY 3 Units @57.9700	150.00	2.40	0.00	2.40	80.0	1.92
10/01/2018	***-**-625P - BORRELLI, LOUIS ACCOUNT #: 00073550085	THE GROWTH FUND OF AMERICA-A BUY 0 Units @57.9700	27.36	0.44	0.00	0.44	80.0	0.35
10/01/2018	***-**-625P - BORRELLI, LOUIS ACCOUNT #: 00073550085	THE GROWTH FUND OF AMERICA-A BUY 3 Units @57.9700	184.00	2.94	0.00	2.94	80.0	2.35
10/01/2018	***-**-42IR - ADAMS, GRACE ACCOUNT #: 00073505114	THE GROWTH FUND OF AMERICA-A BUY 1 Units @60.2800	50.00	2.50	0.00	2.50	80.0	2.00
10/05/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 2 Units @55.3800	87.09	0.87	0.00	0.87	80.0	0.70



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/05/2018	***-**-405P - FRISA, ALAN	THE GROWTH FUND OF AMERICA-A	35.95	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00066758344	BUY 1 Units @55.3800						
10/05/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	41.77	0.42	0.00	0.42	80.0	0.34
	ACCOUNT #: 00066758347	BUY 1 Units @55.3800						
10/05/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	36.08	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00066758348	BUY 1 Units @55.3800						
10/05/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	50.01	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00074922243	BUY 1 Units @55.3800						
10/05/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	78.75	0.79	0.00	0.79	80.0	0.63
	ACCOUNT #: 00083414110	BUY 1 Units @55.3800						
10/05/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	58.36	0.58	0.00	0.58	80.0	0.46
	ACCOUNT #: 00087318332	BUY 1 Units @55.3800						
10/05/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	18.92	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 00089461113	BUY 0 Units @55.3800						
10/05/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	51.84	1.94	0.00	1.94	80.0	1.55
	ACCOUNT #: 00086606929	BUY 1 Units @57.9900						
10/05/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	200.00	7.50	0.00	7.50	80.0	6.00
	ACCOUNT #: 00086606929	BUY 3 Units @57.9900						
10/01/2018	***-**-984I - DELUCA, SHARI	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00064868315	BUY 1 Units @52.3800						
10/01/2018	***-**-6000 - SMITH, KENNETH	THE GROWTH FUND OF AMERICA-C	9.20	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00083081099	BUY 0 Units @52.3800						
10/01/2018	***-**-4392 - GARCIA, MICHELLE	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085764363	BUY 0 Units @52.3800						
10/01/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @52.3800						
10/01/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @52.3800						
10/01/2018	***-**-05IN - RANDALL, ADAM	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085941585	BUY 0 Units @52.3800						
10/01/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @52.3800						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 0 Units @52.3800	1.80	0.02	0.00	0.02	80.0	0.02
10/01/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	THE GROWTH FUND OF AMERICA-C BUY 0 Units @52.3800	10.00	0.10	0.00	0.10	80.0	0.08
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089722785	THE GROWTH FUND OF AMERICA-C BUY 1 Units @52.3800	49.77	0.50	0.00	0.50	80.0	0.40
10/01/2018	***-**-4926 - HAUN, GARY ACCOUNT #: 04000492822	THE GROWTH FUND OF AMERICA-C BUY 0 Units @52.3800	22.56	0.23	0.00	0.23	80.0	0.18
10/01/2018	***-**-4926 - HAUN, GARY ACCOUNT #: 04000492822	THE GROWTH FUND OF AMERICA-C BUY 2 Units @52.3800	112.80	1.13	0.00	1.13	80.0	0.90
10/01/2018	***-**-1277 - ROBSON, BONNIE ACCOUNT #: 04000868901	THE GROWTH FUND OF AMERICA-C BUY 0 Units @52.3800	20.22	0.20	0.00	0.20	80.0	0.16
10/01/2018	***-**-1277 - ROBSON, BONNIE ACCOUNT #: 04000868901	THE GROWTH FUND OF AMERICA-C BUY 0 Units @52.3800	25.27	0.25	0.00	0.25	80.0	0.20
10/01/2018	***-**-5822 - CURATALO, JAMES ACCOUNT #: 04000783911	THE GROWTH FUND OF AMERICA-C BUY 0 Units @52.3800	15.45	0.15	0.00	0.15	80.0	0.12
10/01/2018	***-**-5822 - CURATALO, JAMES ACCOUNT #: 04000783911	THE GROWTH FUND OF AMERICA-C BUY 0 Units @52.3800	19.31	0.19	0.00	0.19	80.0	0.15
10/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 1 Units @52.1700	30.00	0.30	0.00	0.30	80.0	0.24
10/02/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	THE GROWTH FUND OF AMERICA-C BUY 0 Units @52.1700	17.57	0.18	0.00	0.18	80.0	0.14
10/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 1 Units @51.0600	30.00	0.30	0.00	0.30	80.0	0.24
10/05/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	THE GROWTH FUND OF AMERICA-C BUY 0 Units @51.0600	17.03	0.17	0.00	0.17	80.0	0.14
10/01/2018	***-**-275P - PADULA, ANN ACCOUNT #: 00068229865	THE INCOME FUND OF AMERICA-A BUY 273 Units @23.8400	6,500.00	130.00	0.00	130.00	80.0	104.00
10/01/2018	***-**-545P - VISCA, ANGELO ACCOUNT #: 00063056262	THE INVESTMENT COMPANY OF AMERICA-A BUY 2 Units @43.7600	100.00	2.75	0.00	2.75	80.0	2.20
10/05/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE INVESTMENT COMPANY OF AMERICA-A BUY 2 Units @41.7600	87.09	0.87	0.00	0.87	80.0	0.70



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/05/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	36.07	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00066758348	BUY 1 Units @41.7600						
10/05/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	28.46	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00073798048	BUY 1 Units @41.7600						
10/01/2018	***-**-9024 - HACKETT, ETHAN	THE NEW ECONOMY FUND-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00088123299	BUY 1 Units @44.0500						
10/01/2018	***-**-935J - RUSH, DONNA	THE TAX-EXEMPT BOND FUND OF AMERICA	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085296459	BUY 4 Units @12.7000						
10/01/2018	***-**-44UG - GUERRIERI,	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00085399145	BUY 20 Units @12.7000						
10/01/2018	***-**-545P - VISCA, ANGELO	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	1.38	0.00	1.38	80.0	1.10
	ACCOUNT #: 00063056262	BUY 1 Units @48.6800						
10/05/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	174.12	1.74	0.00	1.74	80.0	1.39
	ACCOUNT #: 00066758345	BUY 4 Units @46.6700						
10/01/2018	***-**-984I - DELUCA, SHARI	WASHINGTON MUTUAL INVESTORS FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00064868315	BUY 1 Units @46.3600						
10/01/2018	***-**-482I - MARCONI, TODD	WASHINGTON MUTUAL INVESTORS FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @46.3600						
10/01/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @46.3600						
10/01/2018	***-**-4926 - HAUN, GARY	WASHINGTON MUTUAL INVESTORS FUND-C	16.92	0.17	0.00	0.17	80.0	0.14
	ACCOUNT #: 04000492822	BUY 0 Units @46.3600						
10/01/2018	***-**-4926 - HAUN, GARY	WASHINGTON MUTUAL INVESTORS FUND-C	84.60	0.85	0.00	0.85	80.0	0.68
	ACCOUNT #: 04000492822	BUY 2 Units @46.3600						
10/04/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @46.2800						
* MUTUAL FUNDS SUBTOTAL *			\$16,402.56	\$267.21	\$9.00	\$258.21		\$206.51



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: 529 PLAN</u>								
10/01/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087198121	BUY 2 Units @27.9500						
10/01/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087198137	BUY 2 Units @27.9500						
* 529 PLAN SUBTOTAL *			\$100.00	\$1.00	\$0.00	\$1.00		\$0.80
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/30/2018	***-**-765P - CRISPINO/, DAVID	AMT-FREE NEW YORK MUNICIPALS A	0.00	26.36	0.00	26.36	80.0	21.09
	ACCOUNT #: 03601040820	BUY 0 Units @0.0000						
09/30/2018	***-**-765P - CRISPINO/, DAVID	AMT-FREE NEW YORK MUNICIPALS A	0.00	398.53	0.00	398.53	80.0	318.82
	ACCOUNT #: 03601040820	BUY 0 Units @0.0000						
09/30/2018	***-**-225P - LILL, DONNA	CAPITAL APPRECIATION A	0.00	0.60	0.00	0.60	80.0	0.48
	ACCOUNT #: 02704578761	BUY 0 Units @0.0000						
09/30/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION A	0.00	24.27	0.00	24.27	80.0	19.42
	ACCOUNT #: 02705352545	BUY 0 Units @0.0000						
09/30/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION A	0.00	16.12	0.00	16.12	80.0	12.90
	ACCOUNT #: 02705352556	BUY 0 Units @0.0000						
09/30/2018	***-**-3502 - CHUDYK, LUCIANA	CAPITAL APPRECIATION A	0.00	13.00	0.00	13.00	80.0	10.40
	ACCOUNT #: 02705763802	BUY 0 Units @0.0000						
09/30/2018	***-**-1346 - WEEKS S R	CAPITAL APPRECIATION A	0.00	6.87	0.00	6.87	80.0	5.50
	ACCOUNT #: 02705801521	BUY 0 Units @0.0000						
09/30/2018	***-**-225P - LILL, DONNA	CAPITAL APPRECIATION A	0.00	50.52	0.00	50.52	80.0	40.42
	ACCOUNT #: 03201808213	BUY 0 Units @0.0000						
09/30/2018	***-**-502I - CHUDYK, LUCIANA	CAPITAL APPRECIATION A	0.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 03205462138	BUY 0 Units @0.0000						
09/30/2018	***-**-8379 - ZLOTNICK, MAR	CAPITAL APPRECIATION A	0.00	19.50	0.00	19.50	80.0	15.60
	ACCOUNT #: 03207391131	BUY 0 Units @0.0000						
09/30/2018	***-**-206I - SANDERS, DAVID	CAPITAL APPRECIATION A	0.00	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 03208239693	BUY 0 Units @0.0000						
09/30/2018	***-**-772I - KERHAERT,	CAPITAL APPRECIATION A	0.00	11.91	0.00	11.91	80.0	9.53
	ACCOUNT #: 03208526705	BUY 0 Units @0.0000						
09/30/2018	***-**-206I - SANDERS, DAVID	CAPITAL APPRECIATION A	0.00	6.03	0.00	6.03	80.0	4.82
	ACCOUNT #: 03208526826	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-919I - WEST, HOLLY	CAPITAL APPRECIATION A	0.00	9.15	0.00	9.15	80.0	7.32
	ACCOUNT #: 03210593572	BUY 0 Units @0.0000						
09/30/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION A	0.00	8.36	0.00	8.36	80.0	6.69
	ACCOUNT #: 03210769528	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION A	0.00	9.04	0.00	9.04	80.0	7.23
	ACCOUNT #: 03211530607	BUY 0 Units @0.0000						
09/30/2018	***-**-293I - LIPPA, PAUL	CAPITAL APPRECIATION C	0.00	55.93	0.00	55.93	80.0	44.74
	ACCOUNT #: 03220151525	BUY 0 Units @0.0000						
09/30/2018	***-**-69UG - ATWOOD, CULLEN K	CAPITAL APPRECIATION C	0.00	8.59	0.00	8.59	80.0	6.87
	ACCOUNT #: 03220369127	BUY 0 Units @0.0000						
09/30/2018	***-**-97UG - ATWOOD, AUSTIN M	CAPITAL APPRECIATION C	0.00	8.59	0.00	8.59	80.0	6.87
	ACCOUNT #: 03220369138	BUY 0 Units @0.0000						
09/30/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	0.00	30.26	0.00	30.26	80.0	24.21
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
09/30/2018	***-**-37IR - COTTONE, CHARLES	CAPITAL APPRECIATION C	0.00	44.98	0.00	44.98	80.0	35.98
	ACCOUNT #: 03220434863	BUY 0 Units @0.0000						
09/30/2018	***-**-157I - TROINA, ANTHONY	CAPITAL APPRECIATION C	0.00	169.15	0.00	169.15	80.0	135.32
	ACCOUNT #: 03221853368	BUY 0 Units @0.0000						
09/30/2018	***-**-772I - KERHAERT,	CAPITAL APPRECIATION C	0.00	13.42	0.00	13.42	80.0	10.74
	ACCOUNT #: 03222178044	BUY 0 Units @0.0000						
09/30/2018	***-**-9206 - SANDER, DAVID	CAPITAL APPRECIATION C	0.00	14.29	0.00	14.29	80.0	11.43
	ACCOUNT #: 03222178055	BUY 0 Units @0.0000						
09/30/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	0.00	28.86	0.00	28.86	80.0	23.09
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						
09/30/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	0.00	16.53	0.00	16.53	80.0	13.22
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION C	0.00	15.78	0.00	15.78	80.0	12.62
	ACCOUNT #: 03222325444	BUY 0 Units @0.0000						
09/30/2018	***-**-1346 - WEEKS S R	CAPITAL APPRECIATION C	0.00	33.32	0.00	33.32	80.0	26.66
	ACCOUNT #: 03222329184	BUY 0 Units @0.0000						
09/30/2018	***-**-6056 - PRICE, DEBORAH	CAPITAL INCOME A	0.00	5.36	0.00	5.36	80.0	4.29
	ACCOUNT #: 03007578725	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-432I - BORDEN, ROBERT	DISCOVERY FUND C	0.00	1.77	0.00	1.77	80.0	1.42
	ACCOUNT #: 05020305173	BUY 0 Units @0.0000						
09/30/2018	***-**-110I - SAENZ, KATIA	DISCOVERY FUND C	0.00	23.86	0.00	23.86	80.0	19.09
	ACCOUNT #: 07470796554	BUY 0 Units @0.0000						
09/30/2018	***-**-85IN - MAZZOLA, BARBARA	EMERGING MARKETS INNOVATORS FUND C	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 00100051019	BUY 0 Units @0.0000						
09/30/2018	***-**-01UG - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	7.10	0.00	7.10	80.0	5.68
	ACCOUNT #: 00401973590	BUY 0 Units @0.0000						
09/30/2018	***-**-88UG - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	7.10	0.00	7.10	80.0	5.68
	ACCOUNT #: 00401973660	BUY 0 Units @0.0000						
09/30/2018	***-**-450J - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	8.45	0.00	8.45	80.0	6.76
	ACCOUNT #: 00402352440	BUY 0 Units @0.0000						
09/30/2018	***-**-264I - SIDOTI, LAURA	EQUITY INCOME FUND, INC. A	0.00	4.71	0.00	4.71	80.0	3.77
	ACCOUNT #: 02400798182	BUY 0 Units @0.0000						
09/30/2018	***-**-11IN - ROBERTS NEEDS	EQUITY INCOME FUND, INC. A	0.00	28.22	0.00	28.22	80.0	22.58
	ACCOUNT #: 02401512863	BUY 0 Units @0.0000						
09/30/2018	***-**-509I - ARBORE,	EQUITY INCOME FUND, INC. A	0.00	27.42	0.00	27.42	80.0	21.94
	ACCOUNT #: 02401570261	BUY 0 Units @0.0000						
09/30/2018	***-**-919I - WEST, HOLLY	EQUITY INCOME FUND, INC. A	0.00	7.39	0.00	7.39	80.0	5.91
	ACCOUNT #: 02401588994	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. A	0.00	11.30	0.00	11.30	80.0	9.04
	ACCOUNT #: 08352628747	BUY 0 Units @0.0000						
09/30/2018	***-**-805P - CONNORS, DOROTHY	EQUITY INCOME FUND, INC. A	0.00	1.32	0.00	1.32	80.0	1.06
	ACCOUNT #: 08353199856	BUY 0 Units @0.0000						
09/30/2018	***-**-85TR - CONNORS,	EQUITY INCOME FUND, INC. A	0.00	2.28	0.00	2.28	80.0	1.82
	ACCOUNT #: 08353199878	BUY 0 Units @0.0000						
09/30/2018	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. A	0.00	1.06	0.00	1.06	80.0	0.85
	ACCOUNT #: 08353215333	BUY 0 Units @0.0000						
09/30/2018	***-**-3432 - BORDEN, ROBERT	EQUITY INCOME FUND, INC. C	0.00	1.57	0.00	1.57	80.0	1.26
	ACCOUNT #: 08370550550	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. C	0.00	16.39	0.00	16.39	80.0	13.11
	ACCOUNT #: 08370596090	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-6188 - ROBERTS, ACCOUNT #: 08370627385	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	13.84	0.00	13.84	80.0	11.07
09/30/2018	***-**-502I - CHUDYK, LUCIANA ACCOUNT #: 03300288917	GLOBAL FUND A BUY 0 Units @0.0000	0.00	8.89	0.00	8.89	80.0	7.11
09/30/2018	***-**-8379 - ZLOTNICK, MAR ACCOUNT #: 03302795025	GLOBAL FUND A BUY 0 Units @0.0000	0.00	23.40	0.00	23.40	80.0	18.72
09/30/2018	***-**-8776 - LEVINE, TODD ACCOUNT #: 03302846910	GLOBAL FUND A BUY 0 Units @0.0000	0.00	53.28	0.00	53.28	80.0	42.62
09/30/2018	***-**-225P - LILL, DONNA ACCOUNT #: 03305836226	GLOBAL FUND A BUY 0 Units @0.0000	0.00	19.12	0.00	19.12	80.0	15.30
09/30/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 03309004237	GLOBAL FUND A BUY 0 Units @0.0000	0.00	4.28	0.00	4.28	80.0	3.42
09/30/2018	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03309133960	GLOBAL FUND A BUY 0 Units @0.0000	0.00	39.01	0.00	39.01	80.0	31.21
09/30/2018	***-**-5378 - AGUILA, NANCY ACCOUNT #: 02152697871	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	110.30	0.00	110.30	80.0	88.24
09/30/2018	***-**-206I - SANDERS, DAVID ACCOUNT #: 02155093319	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	7.07	0.00	7.07	80.0	5.66
09/30/2018	***-**-85IN - MAZZOLA, BARBARA ACCOUNT #: 02171893331	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	80.0	0.00
09/30/2018	***-**-110I - SAENZ, KATIA ACCOUNT #: 02171397616	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	29.79	0.00	29.79	80.0	23.83
09/30/2018	***-**-9206 - SANDER, DAVID ACCOUNT #: 02171629936	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	18.45	0.00	18.45	80.0	14.76
09/30/2018	***-**-90FB - DIODATO, CAROL ACCOUNT #: 02171777391	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	8.47	0.00	8.47	80.0	6.78
09/30/2018	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 02171798599	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	58.72	0.00	58.72	80.0	46.98
09/30/2018	***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 02171800557	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	1.98	0.00	1.98	80.0	1.58
09/30/2018	***-**-9530 - MILAM, IAN ACCOUNT #: 02171852708	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	0.23	0.00	0.23	80.0	0.18



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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	***-**-729I - GIAMBRONE, KELLY	GLOBAL OPPORTUNITIES FUND C	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 02171875445	BUY 0 Units @0.0000						
09/30/2018	***-**-509I - ARBORE,	GOLD & SPECIAL MINERALS A	0.00	3.28	0.00	3.28	80.0	2.62
	ACCOUNT #: 04103927770	BUY 0 Units @0.0000						
09/30/2018	***-**-37IN - COTTONE, CHARLES	LIMITED TERM GOVERNMENT A	0.00	2.01	0.00	2.01	80.0	1.61
	ACCOUNT #: 08551660824	BUY 0 Units @0.0000						
09/30/2018	***-**-502I - CHUDYK, LUCIANA	LIMITED TERM GOVERNMENT A	0.00	0.54	0.00	0.54	80.0	0.43
	ACCOUNT #: 08552066097	BUY 0 Units @0.0000						
09/30/2018	***-**-736I - TORNATORE,	MAIN STREET FUND A	0.00	85.56	0.00	85.56	80.0	68.45
	ACCOUNT #: 04204204530	BUY 0 Units @0.0000						
09/30/2018	***-**-206I - SANDERS, DAVID	MAIN STREET FUND A	0.00	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 07002254530	BUY 0 Units @0.0000						
09/30/2018	***-**-206I - SANDERS, DAVID	MAIN STREET FUND A	0.00	6.56	0.00	6.56	80.0	5.25
	ACCOUNT #: 07002573849	BUY 0 Units @0.0000						
09/30/2018	***-**-072I - SMITH, DEBORAH	MAIN STREET FUND A	0.00	61.28	0.00	61.28	80.0	49.02
	ACCOUNT #: 07002573882	BUY 0 Units @0.0000						
09/30/2018	***-**-446I - TROBIA, FRANK	MAIN STREET FUND A	0.00	33.32	0.00	33.32	80.0	26.66
	ACCOUNT #: 07005158191	BUY 0 Units @0.0000						
09/30/2018	***-**-264I - SIDOTI, LAURA	MAIN STREET FUND A	0.00	12.22	0.00	12.22	80.0	9.78
	ACCOUNT #: 07005274219	BUY 0 Units @0.0000						
09/30/2018	***-**-3526 - STONE, LINDA	MAIN STREET FUND A	0.00	1.19	0.00	1.19	80.0	0.95
	ACCOUNT #: 07005481380	BUY 0 Units @0.0000						
09/30/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND A	0.00	30.28	0.00	30.28	80.0	24.22
	ACCOUNT #: 07005548460	BUY 0 Units @0.0000						
09/30/2018	***-**-7072 - SMITH, DEBBIE	MAIN STREET FUND A	0.00	0.26	0.00	0.26	80.0	0.21
	ACCOUNT #: 07005555335	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND A	0.00	13.90	0.00	13.90	80.0	11.12
	ACCOUNT #: 07005773144	BUY 0 Units @0.0000						
09/30/2018	***-**-781I - NAVAS, MICHAEL	MAIN STREET FUND A	0.00	0.57	0.00	0.57	80.0	0.46
	ACCOUNT #: 07006127212	BUY 0 Units @0.0000						
09/30/2018	***-**-1346 - WEEKS S R	MAIN STREET FUND A	0.00	8.73	0.00	8.73	80.0	6.98
	ACCOUNT #: 07007936483	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-175I - BLEIER, WESLEY	MAIN STREET FUND A	0.00	13.77	0.00	13.77	80.0	11.02
	ACCOUNT #: 07009521154	BUY 0 Units @0.0000						
09/30/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	0.00	5.75	0.00	5.75	80.0	4.60
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
09/30/2018	***-**-435P - BOSCO, SOFIA	MAIN STREET FUND C	0.00	60.55	0.00	60.55	80.0	48.44
	ACCOUNT #: 07021348457	BUY 0 Units @0.0000						
09/30/2018	***-**-110I - SAENZ, KATIA	MAIN STREET FUND C	0.00	18.90	0.00	18.90	80.0	15.12
	ACCOUNT #: 07023933798	BUY 0 Units @0.0000						
09/30/2018	***-**-9206 - SANDER, DAVID	MAIN STREET FUND C	0.00	13.75	0.00	13.75	80.0	11.00
	ACCOUNT #: 07024170947	BUY 0 Units @0.0000						
09/30/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	0.00	26.68	0.00	26.68	80.0	21.34
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	0.00	14.93	0.00	14.93	80.0	11.94
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						
09/30/2018	***-**-1346 - WEEKS S R	MAIN STREET FUND C	0.00	32.32	0.00	32.32	80.0	25.86
	ACCOUNT #: 07024329974	BUY 0 Units @0.0000						
09/30/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	0.00	6.24	0.00	6.24	80.0	4.99
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
09/30/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	0.00	42.74	0.00	42.74	80.0	34.19
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
09/30/2018	***-**-2620 - CUSIMANO, MEGAN	MAIN STREET FUND C	0.00	3.31	0.00	3.31	80.0	2.65
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
09/30/2018	***-**-446I - TROBIA, FRANK	MAIN STREET FUND C	0.00	37.99	0.00	37.99	80.0	30.39
	ACCOUNT #: 07024429095	BUY 0 Units @0.0000						
09/30/2018	***-**-9530 - MILAM, IAN	MAIN STREET FUND C	0.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 07024469113	BUY 0 Units @0.0000						
09/30/2018	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD A	0.00	13.59	0.00	13.59	80.0	10.87
	ACCOUNT #: 05451118920	BUY 0 Units @0.0000						
09/30/2018	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD A	0.00	0.97	0.00	0.97	80.0	0.78
	ACCOUNT #: 05451503469	BUY 0 Units @0.0000						
09/30/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD A	0.00	0.87	0.00	0.87	80.0	0.70
	ACCOUNT #: 05451509926	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-3407 - SUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	0.00	33.73	0.00	33.73	80.0	26.98
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
09/30/2018	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	0.00	40.22	0.00	40.22	80.0	32.18
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
09/30/2018	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD C	0.00	72.90	0.00	72.90	80.0	58.32
	ACCOUNT #: 06670037664	BUY 0 Units @0.0000						
09/30/2018	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD C	0.00	29.40	0.00	29.40	80.0	23.52
	ACCOUNT #: 06670037675	BUY 0 Units @0.0000						
09/30/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD C	0.00	29.53	0.00	29.53	80.0	23.62
	ACCOUNT #: 06670037686	BUY 0 Units @0.0000						
09/30/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER CORP BOND FND C	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 00100067156	BUY 0 Units @0.0000						
09/30/2018	***-**-1346 - WEEKS S R	OPPENHEIMER DISCOVERY CLASS A	0.00	11.30	0.00	11.30	80.0	9.04
	ACCOUNT #: 05004178284	BUY 0 Units @0.0000						
09/30/2018	***-**-781J - NAVAS, MICHAEL &	OPPENHEIMER DISCOVERY CLASS A	0.00	35.62	0.00	35.62	80.0	28.50
	ACCOUNT #: 07450878086	BUY 0 Units @0.0000						
09/30/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	0.00	27.29	0.00	27.29	80.0	21.83
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
09/30/2018	***-**-85IN - MAZZOLA, BARBARA	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 01971104114	BUY 0 Units @0.0000						
09/30/2018	***-**-6056 - PRICE, DEBORAH	OPPENHEIMER MAIN STREET OPPORTUNITY	0.00	9.74	0.00	9.74	80.0	7.79
	ACCOUNT #: 07311461350	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	10.24	0.00	10.24	80.0	8.19
	ACCOUNT #: 08477407983	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	14.58	0.00	14.58	80.0	11.66
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
09/30/2018	***-**-541P - SCHILLACI, AMY	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	3.79	0.00	3.79	80.0	3.03
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						
09/30/2018	***-**-4980 - MOYER, COLLEEN	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	11.78	0.00	11.78	80.0	9.42
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
09/30/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	0.00	0.00	0.00	80.0	0.00
	ACCOUNT #: 02271182830	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-655P - DAVIS, BERTHA ACCOUNT #: 02271237808	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	38.75	0.00	38.75	80.0	31.00
09/30/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 02510771804	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	22.43	0.00	22.43	80.0	17.94
09/30/2018	***-**-5378 - AGUILA, NANCY ACCOUNT #: 02510954349	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	69.23	0.00	69.23	80.0	55.38
09/30/2018	***-**-502I - CHUDYK, LUCIANA ACCOUNT #: 02511356146	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	80.0	0.30
09/30/2018	***-**-8379 - ZLOTNICK, MAR ACCOUNT #: 01902486671	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	1.61	0.00	1.61	80.0	1.29
09/30/2018	***-**-509I - ARBORE, ACCOUNT #: 01903509704	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	8.06	0.00	8.06	80.0	6.45
09/30/2018	***-**-206I - SANDERS, DAVID ACCOUNT #: 02301774457	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	80.0	0.04
09/30/2018	***-**-206I - SANDERS, DAVID ACCOUNT #: 02302155970	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	1.74	0.00	1.74	80.0	1.39
09/30/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 02803612158	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	2.24	0.00	2.24	80.0	1.79
10/08/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 02270934318	QUALIFIED PLAN SUMMARY BUY 0 Units @0.0000	0.00	157.15	0.00	157.15	80.0	125.73
09/30/2018	***-**-502I - CHUDYK, LUCIANA ACCOUNT #: 02573443913	QUEST BALANCED A BUY 0 Units @0.0000	0.00	1.76	0.00	1.76	80.0	1.41
09/30/2018	***-**-772I - KERHAERT, ACCOUNT #: 02575859953	QUEST BALANCED A BUY 0 Units @0.0000	0.00	7.82	0.00	7.82	80.0	6.26
09/30/2018	***-**-8706 - BOSCO, REN ACCOUNT #: 02590094105	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	171.96	0.00	171.96	80.0	137.57
09/30/2018	***-**-110I - SAENZ, KATIA ACCOUNT #: 02592093355	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	10.72	0.00	10.72	80.0	8.58
09/30/2018	***-**-772I - KERHAERT, ACCOUNT #: 02592262304	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	10.32	0.00	10.32	80.0	8.26
09/30/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 02362932061	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	4.88	0.00	4.88	80.0	3.90



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-502I - CHUDYK, LUCIANA	QUEST OPPORTUNITY VALUE A	0.00	2.79	0.00	2.79	80.0	2.23
	ACCOUNT #: 02363615612	BUY 0 Units @0.0000						
09/30/2018	***-**-1346 - WEEKS S R	QUEST OPPORTUNITY VALUE A	0.00	4.44	0.00	4.44	80.0	3.55
	ACCOUNT #: 02363693492	BUY 0 Units @0.0000						
09/30/2018	***-**-4143 - STONE, GEORGE	QUEST OPPORTUNITY VALUE A	0.00	0.52	0.00	0.52	80.0	0.42
	ACCOUNT #: 02365376635	BUY 0 Units @0.0000						
09/30/2018	***-**-432I - BORDEN, ROBERT	QUEST OPPORTUNITY VALUE FUND C	0.00	5.20	0.00	5.20	80.0	4.16
	ACCOUNT #: 02380867812	BUY 0 Units @0.0000						
09/30/2018	***-**-1346 - WEEKS S R	QUEST OPPORTUNITY VALUE FUND C	0.00	23.80	0.00	23.80	80.0	19.04
	ACCOUNT #: 02381169938	BUY 0 Units @0.0000						
09/30/2018	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	0.00	34.06	0.00	34.06	80.0	27.25
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
09/30/2018	***-**-2620 - CUSIMANO, MEGAN	REAL ESTATE FUND C	0.00	1.31	0.00	1.31	80.0	1.05
	ACCOUNT #: 05920400103	BUY 0 Units @0.0000						
09/30/2018	***-**-9530 - MILAM, IAN	REAL ESTATE FUND C	0.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 05920419496	BUY 0 Units @0.0000						
09/30/2018	***-**-509I - ARBORE,	RISING DIVIDENDS FUND A	0.00	10.22	0.00	10.22	80.0	8.18
	ACCOUNT #: 02253202056	BUY 0 Units @0.0000						
09/30/2018	***-**-76IN - CRISPINO, JULIE	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	370.01	0.00	370.01	80.0	296.01
	ACCOUNT #: 03550283547	BUY 0 Units @0.0000						
09/30/2018	***-**-76IN - CRISPINO, JULIE	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	411.12	0.00	411.12	80.0	328.90
	ACCOUNT #: 03550283547	BUY 0 Units @0.0000						
09/30/2018	***-**-11IN - ROBERTS NEEDS	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	58.88	0.00	58.88	80.0	47.10
	ACCOUNT #: 03551129898	BUY 0 Units @0.0000						
09/30/2018	***-**-96CL - SCARPULLA,	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	347.90	0.00	347.90	80.0	278.32
	ACCOUNT #: 03551296515	BUY 0 Units @0.0000						
09/30/2018	***-**-6188 - ROBERTS,	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	20.99	0.00	20.99	80.0	16.79
	ACCOUNT #: 03570646371	BUY 0 Units @0.0000						
09/30/2018	***-**-4980 - MOYER, COLLEEN	SMALL- & MID- CAP VALUE FUND C	0.00	5.33	0.00	5.33	80.0	4.26
	ACCOUNT #: 02531288969	BUY 0 Units @0.0000						
09/30/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	0.00	15.02	0.00	15.02	80.0	12.02
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-1834 - BUTLER, KIM	STRATEGIC INCOME FUND C	0.00	5.50	0.00	5.50	80.0	4.40
	ACCOUNT #: 01920863291	BUY 0 Units @0.0000						
09/30/2018	***-**-9206 - SANDER, DAVID	STRATEGIC INCOME FUND C	0.00	9.62	0.00	9.62	80.0	7.70
	ACCOUNT #: 02322653794	BUY 0 Units @0.0000						
09/30/2018	***-**-206I - SANDERS, DAVID	VALUE FUND A	0.00	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 03751582119	BUY 0 Units @0.0000						
09/30/2018	***-**-206I - SANDERS, DAVID	VALUE FUND A	0.00	7.02	0.00	7.02	80.0	5.62
	ACCOUNT #: 03751730652	BUY 0 Units @0.0000						
09/30/2018	***-**-9206 - SANDER, DAVID	VALUE FUND C	0.00	12.88	0.00	12.88	80.0	10.30
	ACCOUNT #: 03770488829	BUY 0 Units @0.0000						
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$4,331.28	\$0.00	\$4,331.28		\$3,465.05
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
09/30/2018	***-**-56IN - MALIN, RUTH	533787818	0.00	49.45	0.00	49.45	80.0	39.56
	ACCOUNT #: 921063935	BUY 0 Units @0.0000						
09/30/2018	***-**-7336 - DELONG, SHIRLEY	533787818	0.00	92.47	0.00	92.47	80.0	73.98
	ACCOUNT #: 921065495	BUY 0 Units @0.0000						
09/30/2018	***-**-0846 - MORROW, DONNA	533787818	0.00	80.65	0.00	80.65	80.0	64.52
	ACCOUNT #: 921069429	BUY 0 Units @0.0000						
09/30/2018	***-**-97IN - WAGNER, PAUL	533787818	0.00	63.86	0.00	63.86	80.0	51.09
	ACCOUNT #: 921070651	BUY 0 Units @0.0000						
09/30/2018	***-**-68IN - TASCHETTO,	533787818	0.00	67.36	0.00	67.36	80.0	53.89
	ACCOUNT #: 921073961	BUY 0 Units @0.0000						
09/30/2018	***-**-68IN - TASCHETTO,	533787818	0.00	235.71	0.00	235.71	80.0	188.57
	ACCOUNT #: 921074365	BUY 0 Units @0.0000						
09/30/2018	***-**-3939 - ARBORE, MARIA	533787818	0.00	1,966.31	0.00	1,966.31	80.0	1,573.05
	ACCOUNT #: 921078066	BUY 0 Units @0.0000						
09/30/2018	***-**-44IN - GIULIANO, GEORGE	AS ADVISORS PLAN III	0.00	8.77	0.00	8.77	80.0	7.02
	ACCOUNT #: E0582476	BUY 0 Units @0.0000						
09/30/2018	***-**-44IN - GIULIANO, GEORGE	AS ADVISORS PLAN III	0.00	8.77	0.00	8.77	80.0	7.02
	ACCOUNT #: E0582476	BUY 0 Units @0.0000						
09/30/2018	***-**-04IN - KUBIAK, ANN	CHOICEPLUS ASSURANCE BONUS	0.00	44.15	0.00	44.15	80.0	35.32
	ACCOUNT #: 921065887	BUY 0 Units @0.0000						



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Rochester, NY 14623

BROKER #: 417
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)								
09/30/2018	***-**-5242 - RUES TRUST, ACCOUNT #: 921067171	CHOICEPLUS ASSURANCE BONUS BUY 0 Units @0.0000	0.00	137.90	0.00	137.90	80.0	110.32
09/30/2018	***-**-306I - SINCLAIR, ACCOUNT #: 921071862	CHOICEPLUS ASSURANCE BONUS BUY 0 Units @0.0000	0.00	174.88	0.00	174.88	80.0	139.90
09/30/2018	***-**-22IN - WAGNER, LAUREL ACCOUNT #: 921071872	CHOICEPLUS ASSURANCE BONUS BUY 0 Units @0.0000	0.00	79.67	0.00	79.67	80.0	63.74
09/30/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 921075689	CHOICEPLUS ASSURANCE BONUS BUY 0 Units @0.0000	0.00	67.14	0.00	67.14	80.0	53.71
09/30/2018	***-**-0242 - COZZO, JOSEPHINE ACCOUNT #: 921077310	CHOICEPLUS ASSURANCE BONUS BUY 0 Units @0.0000	0.00	744.26	0.00	744.26	80.0	595.41
09/30/2018	***-**-04IN - DIGIOVANNI, ACCOUNT #: 921077311	CHOICEPLUS ASSURANCE BONUS BUY 0 Units @0.0000	0.00	136.61	0.00	136.61	80.0	109.29
09/30/2018	***-**-50IN - DIGIOVANNI, ACCOUNT #: 921077312	CHOICEPLUS ASSURANCE BONUS BUY 0 Units @0.0000	0.00	44.71	0.00	44.71	80.0	35.77
09/30/2018	***-**-18IO - TAYLOR, GREGORY ACCOUNT #: 921078308	CHOICEPLUS ASSURANCE BONUS BUY 0 Units @0.0000	0.00	477.78	0.00	477.78	80.0	382.22
09/30/2018	***-**-58IO - WATT, JAMES ACCOUNT #: 921078514	CHOICEPLUS ASSURANCE BONUS BUY 0 Units @0.0000	0.00	121.49	0.00	121.49	80.0	97.19
09/28/2018	***-**-1965 - IPPOLITO, ACCOUNT #: 510035420	HARTFORD VA TRAILS 416594877 BUY 0 Units @0.0000	0.00	126.02	0.00	126.02	80.0	100.82
09/30/2018	***-**-7981 - D'ANGELO, ACCOUNT #: 921039927	LINCOLN FIN VA TRAILS DTCC 53378542 BUY 0 Units @0.0000	0.00	46.34	0.00	46.34	80.0	37.07
09/30/2018	***-**-606A - REUS, MARTHA ACCOUNT #: 921040463	LINCOLN FIN VA TRAILS DTCC 53378542 BUY 0 Units @0.0000	0.00	249.00	0.00	249.00	80.0	199.20
09/30/2018	***-**-42IN - SANFILIPPO, ACCOUNT #: 921055159	LINCOLN FIN VA TRAILS DTCC 53378542 BUY 0 Units @0.0000	0.00	560.84	0.00	560.84	80.0	448.67
09/30/2018	***-**-88VA - PRZYLUCHE, LAUREN ACCOUNT #: 921056190	LINCOLN FIN VA TRAILS DTCC 53378542 BUY 0 Units @0.0000	0.00	17.46	0.00	17.46	80.0	13.97
09/30/2018	***-**-0504 - DIGIOVANNI, ACCOUNT #: 921056263	LINCOLN FIN VA TRAILS DTCC 53378542 BUY 0 Units @0.0000	0.00	61.07	0.00	61.07	80.0	48.86
09/30/2018	***-**-966I - RAGO, RICHARD ACCOUNT #: 921056587	LINCOLN FIN VA TRAILS DTCC 53378542 BUY 0 Units @0.0000	0.00	411.57	0.00	411.57	80.0	329.26



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)								
09/30/2018	***-**-4856 - MALIN, RUTH	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	29.24	0.00	29.24	80.0	23.39
	ACCOUNT #: 921056600	BUY 0 Units @0.0000						
09/30/2018	***-**-4856 - MALIN, RUTH	LINCOLN FIN VA TRAILS DTCC 53378545	0.00	28.92	0.00	28.92	80.0	23.14
	ACCOUNT #: 921056599	BUY 0 Units @0.0000						
09/30/2018	***-**-0510 - KIMBLE, LONNY	PRUDENTIAL VA 74430T119	0.00	1,277.36	0.00	1,277.36	80.0	1,021.89
	ACCOUNT #: E1832087	BUY 0 Units @0.0000						
09/30/2018	***-**-9360 - SPALLINA, DIANE	PRUDENTIAL VA TRAILS 74429P110	0.00	36.90	0.00	36.90	80.0	29.52
	ACCOUNT #: E1289869	BUY 0 Units @0.0000						
09/30/2018	***-**-9281 - SPALLINA,	PRUDENTIAL VA TRAILS 74429P110	0.00	40.26	0.00	40.26	80.0	32.21
	ACCOUNT #: E1289944	BUY 0 Units @0.0000						
09/30/2018	***-**-54VA - FANTAUZZO, EVA	PRUDENTIAL VA TRAILS 74429P110	0.00	2.36	0.00	2.36	80.0	1.89
	ACCOUNT #: E1438479	BUY 0 Units @0.0000						
09/30/2018	***-**-20VA -	PRUDENTIAL VA TRAILS 74429P110	0.00	169.64	0.00	169.64	80.0	135.71
	ACCOUNT #: E1490657	BUY 0 Units @0.0000						
09/30/2018	***-**-7470 - SANFILIPPO, JOHN	PRUDENTIAL VA TRAILS 74429P110	0.00	177.08	0.00	177.08	80.0	141.66
	ACCOUNT #: E1313272	BUY 0 Units @0.0000						
09/30/2018	***-**-3391 - SANFILIPPO,	PRUDENTIAL VA TRAILS 74429P110	0.00	228.75	0.00	228.75	80.0	183.00
	ACCOUNT #: E1313282	BUY 0 Units @0.0000						
09/30/2018	***-**-7633 - FREDERICO, LEE	PRUDENTIAL VA TRAILS 74429P110	0.00	51.11	0.00	51.11	80.0	40.89
	ACCOUNT #: E1387199	BUY 0 Units @0.0000						
09/30/2018	***-**-503J - OBI, JEAN	PRUDENTIAL VA TRAILS 74429P110	0.00	73.91	0.00	73.91	80.0	59.13
	ACCOUNT #: E1441415	BUY 0 Units @0.0000						
09/30/2018	***-**-2141 - RUSH, ROBERT	PRUDENTIAL VA TRAILS 74429P110	0.00	47.17	0.00	47.17	80.0	37.74
	ACCOUNT #: E1071856	BUY 0 Units @0.0000						
09/30/2018	***-**-0242 - COZZO, JOSEPHINE	PRUDENTIAL VA TRAILS 74429P128	0.00	47.70	0.00	47.70	80.0	38.16
	ACCOUNT #: E1120418	BUY 0 Units @0.0000						
09/30/2018	***-**-5564 - BAUSCH, LEE	PRUDENTIAL VA TRAILS 74430A227	0.00	24.40	0.00	24.40	80.0	19.52
	ACCOUNT #: E0397149	BUY 0 Units @0.0000						
09/30/2018	***-**-5564 - BAUSCH, LEE	PRUDENTIAL VA TRAILS 74430A227	0.00	24.40	0.00	24.40	80.0	19.52
	ACCOUNT #: E0397149	BUY 0 Units @0.0000						
09/30/2018	***-**-3071 - SCARPULLA, MARY	PRUDENTIAL VA TRAILS 74430A227	0.00	83.81	0.00	83.81	80.0	67.05
	ACCOUNT #: E0559154	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)								
09/30/2018	***-**-307I - SCARPULLA, MARY	PRUDENTIAL VA TRAILS 74430A227	0.00	83.81	0.00	83.81	80.0	67.05
	ACCOUNT #: E0559154	BUY 0 Units @0.0000						
09/30/2018	***-**-274I - ROBERTS, ADELLA	PRUDENTIAL VA TRAILS 74430A227	0.00	17.21	0.00	17.21	80.0	13.77
	ACCOUNT #: E0728348	BUY 0 Units @0.0000						
09/30/2018	***-**-1926 - VERCRUYSSSE,	PRUDENTIAL VA TRAILS 74430A227	0.00	22.65	0.00	22.65	80.0	18.12
	ACCOUNT #: 000618899	BUY 0 Units @0.0000						
09/30/2018	***-**-1926 - VERCRUYSSSE,	PRUDENTIAL VA TRAILS 74430A227	0.00	22.65	0.00	22.65	80.0	18.12
	ACCOUNT #: 000618899	BUY 0 Units @0.0000						
09/30/2018	***-**-054P - FANTAUZZO, EVA	PRUDENTIAL VA TRAILS 74430A227	0.00	2.01	0.00	2.01	80.0	1.61
	ACCOUNT #: 000619108	BUY 0 Units @0.0000						
09/30/2018	***-**-054P - FANTAUZZO, EVA	PRUDENTIAL VA TRAILS 74430A227	0.00	2.01	0.00	2.01	80.0	1.61
	ACCOUNT #: 000619108	BUY 0 Units @0.0000						
09/30/2018	***-**-598P - OLIVERI, ANNA	PRUDENTIAL VA TRAILS 74430A227	0.00	4.38	0.00	4.38	80.0	3.50
	ACCOUNT #: 000640985	BUY 0 Units @0.0000						
09/30/2018	***-**-598P - OLIVERI, ANNA	PRUDENTIAL VA TRAILS 74430A227	0.00	4.38	0.00	4.38	80.0	3.50
	ACCOUNT #: 000640985	BUY 0 Units @0.0000						
09/30/2018	***-**-7981 - D'ANGELO,	PRUDENTIAL VA TRAILS 74430A235	0.00	175.29	0.00	175.29	80.0	140.23
	ACCOUNT #: E0731699	BUY 0 Units @0.0000						
09/30/2018	***-**-7981 - D'ANGELO,	PRUDENTIAL VA TRAILS 74430A235	0.00	701.16	0.00	701.16	80.0	560.93
	ACCOUNT #: E0731699	BUY 0 Units @0.0000						
09/30/2018	***-**-0242 - COZZO, JOSEPHINE	PRUDENTIAL VA TRAILS 74430A235	0.00	60.55	0.00	60.55	80.0	48.44
	ACCOUNT #: E0939612	BUY 0 Units @0.0000						
09/30/2018	***-**-0242 - COZZO, JOSEPHINE	PRUDENTIAL VA TRAILS 74430A235	0.00	242.19	0.00	242.19	80.0	193.75
	ACCOUNT #: E0939612	BUY 0 Units @0.0000						
09/30/2018	***-**-291A - HERTZEL,	PRUDENTIAL VA TRAILS 74430A235	0.00	44.94	0.00	44.94	80.0	35.95
	ACCOUNT #: E0781856	BUY 0 Units @0.0000						
09/30/2018	***-**-291A - HERTZEL,	PRUDENTIAL VA TRAILS 74430A235	0.00	134.81	0.00	134.81	80.0	107.85
	ACCOUNT #: E0781856	BUY 0 Units @0.0000						
09/30/2018	***-**-0008 - COZZO, LUIGI	PRUDENTIAL VA TRAILS 74430A235	0.00	67.88	0.00	67.88	80.0	54.30
	ACCOUNT #: E0977978	BUY 0 Units @0.0000						
09/30/2018	***-**-0008 - COZZO, LUIGI	PRUDENTIAL VA TRAILS 74430A235	0.00	271.53	0.00	271.53	80.0	217.22
	ACCOUNT #: E0977978	BUY 0 Units @0.0000						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)</u>								
10/08/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 921065489	QUALIFIED PLAN SUMMARY BUY 0 Units @0.0000	0.00	96.86	0.00	96.86	80.0	77.49
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$10,371.56	\$0.00	\$10,371.56		\$8,297.28
*** BROKER TRANSACTIONS TOTAL ***			\$16,502.56	\$14,971.05	\$9.00	\$14,962.05		\$11,969.64

SPLIT TRANSACTIONS

BROKER: WILLIAM ROBERTS

09/30/2018	***-**-904I - PRZYLUKE, ACCOUNT #: E1331165	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	98.15	0.00	98.15	80.0	78.52
09/30/2018	***-**-904R - PRZYLUKE, ACCOUNT #: E1434564	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	51.95	0.00	51.95	80.0	41.56
09/30/2018	***-**-47IN - SIDARE, ANDREA ACCOUNT #: E1190180	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	42.67	0.00	42.67	80.0	34.14
09/30/2018	***-**-729I - PRZYLUKE, PHILIP ACCOUNT #: E1094963	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	4.59	0.00	4.59	80.0	3.67
09/30/2018	***-**-904I - PRZYLUKE, ACCOUNT #: E1091145	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	35.00	0.00	35.00	80.0	28.00
* WILLIAM ROBERTS SUBTOTAL *			\$0.00	\$232.36	\$0.00	\$232.36		\$185.89
*** SPLIT TRANSACTIONS TOTAL ***			\$0.00	\$232.36	\$0.00	\$232.36		\$185.89



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				GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
BROKER COMMISSION TOTALS								
Broker Transactions							\$11,879.24	
Split Transactions							\$185.89	
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							\$12,155.53	
Year-to-date Earnings							\$185,908.79	