



COMMISSION STATEMENT

November 12, 2018

ANDY KALINOWSKI

BROKER #: AK417

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>								
10/29/2018	***-**-336I - REEKIE, JANICE	AMERICAN FUNDS 2030 TARGET DATE-C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 04000004425	BUY 4 Units @13.6500						
10/29/2018	***-**-35RO - MARCOCCIA, ROBIN	INTERMEDIATE BOND FUND OF AMERICA-A	50.00	1.00	0.00	1.00	95.0	0.95
	ACCOUNT #: 00086583849	BUY 4 Units @13.4300						
* MUTUAL FUNDS SUBTOTAL *			\$100.00	\$1.50	\$0.00	\$1.50		\$1.43
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/31/2018	***-**-599P - IVINO, MARY	FRANKLIN GROWTH FUND CLASS A	0.00	1.69	0.00	1.69	95.0	1.61
	ACCOUNT #: 000060172289841	BUY 0 Units @0.0000						
10/31/2018	***-**-99IN - IVINO, MARY	FRK AGGRESSIVE GRWTH - CL A	0.00	0.96	0.00	0.96	95.0	0.91
	ACCOUNT #: 000000000901658	BUY 0 Units @0.0000						
10/31/2018	***-**-71IN - O'NEILL, RAYMOND	FRK STRAT INC FND - CL A	0.00	6.24	0.00	6.24	95.0	5.93
	ACCOUNT #: 000019400013468	BUY 0 Units @0.0000						
10/31/2018	***-**-599P - IVINO, MARY	TEMP FRGN FND - CL A	0.00	0.73	0.00	0.73	95.0	0.69
	ACCOUNT #: 000004960163604	BUY 0 Units @0.0000						
10/31/2018	***-**-83IN - BODE, DANA	TEMP GLOBAL SM CO FND - CL A	0.00	1.08	0.00	1.08	95.0	1.03
	ACCOUNT #: 000003971325531	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$10.70	\$0.00	\$10.70		\$10.17
*** BROKER TRANSACTIONS TOTAL ***			\$100.00	\$12.20	\$0.00	\$12.20		\$11.60

VERRIDE TRANSACTIONS

BROKER: RONALD DRAKE

11/01/2018	***-**-3246 - SGROI, TERESA	AMCAP FUND-A	50.00	2.50	0.00	2.50	20.0	0.50
	ACCOUNT #: 00089976714	BUY 1 Units @34.4200						
10/29/2018	***-**-24IR - BERTRAND, JOHN	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	20.0	0.50
	ACCOUNT #: 00089941898	BUY 2 Units @28.0100						
10/29/2018	***-**-9037 - NOURSE, STACIA	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	20.0	0.50
	ACCOUNT #: 04000247689	BUY 2 Units @28.0100						
10/29/2018	***-**-4639 - SCOONES,	AMERICAN BALANCED FUND-A	90.75	2.50	0.00	2.50	20.0	0.50
	ACCOUNT #: 00084481157	BUY 3 Units @27.3600						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: RONALD DRAKE (continued)</u>								
10/29/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	AMERICAN BALANCED FUND-A BUY 5 Units @27.3600	125.00	3.44	0.00	3.44	20.0	0.69
10/29/2018	***-**-5152 - DUNN, MICHELE ACCOUNT #: 00087316793	AMERICAN BALANCED FUND-A BUY 15 Units @27.3600	400.00	11.00	0.00	11.00	20.0	2.20
10/29/2018	***-**-5556 - BURNS, ROBERT ACCOUNT #: 00085993216	AMERICAN BALANCED FUND-A BUY 1 Units @27.7900	37.50	1.59	0.00	1.59	20.0	0.32
10/29/2018	***-**-0939 - LAWRENCE, JASON ACCOUNT #: 00087909097	AMERICAN BALANCED FUND-A BUY 2 Units @28.0100	60.00	3.00	0.00	3.00	20.0	0.60
11/01/2018	***-**-9408 - SNIZEK, ACCOUNT #: 00085099445	AMERICAN BALANCED FUND-A BUY 2 Units @27.9400	50.00	1.38	0.00	1.38	20.0	0.28
10/29/2018	***-**-9037 - NOURSE, STACIA ACCOUNT #: 04000247689	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.4400	50.00	1.50	0.00	1.50	20.0	0.30
10/29/2018	***-**-4848 - DOGGETT, AMY ACCOUNT #: 00081620466	AMERICAN HIGH-INCOME TRUST-A BUY 16 Units @10.4100	165.00	4.54	0.00	4.54	20.0	0.91
10/29/2018	***-**-408B - SNIZEK, ACCOUNT #: 00085154620	AMERICAN HIGH-INCOME TRUST-A BUY 10 Units @10.4100	100.00	2.75	0.00	2.75	20.0	0.55
10/29/2018	***-**-7598 - HUMPF, MINDI ACCOUNT #: 00085514851	AMERICAN HIGH-INCOME TRUST-A BUY 2 Units @10.4100	25.00	0.69	0.00	0.69	20.0	0.14
10/29/2018	***-**-1909 - BASHANT, MATTHEW ACCOUNT #: 00085839015	AMERICAN HIGH-INCOME TRUST-A BUY 4 Units @10.4100	38.25	1.05	0.00	1.05	20.0	0.21
10/29/2018	***-**-5556 - BURNS, ROBERT ACCOUNT #: 00085993216	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.4400	52.50	1.58	0.00	1.58	20.0	0.32
11/01/2018	***-**-9408 - SNIZEK, ACCOUNT #: 00085099445	AMERICAN HIGH-INCOME TRUST-A BUY 5 Units @10.4200	50.00	1.38	0.00	1.38	20.0	0.28
11/01/2018	***-**-9408 - SNIZEK, ACCOUNT #: 00085099445	AMERICAN MUTUAL FUND-A BUY 1 Units @42.7400	50.00	1.38	0.00	1.38	20.0	0.28
10/29/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 03210336612	CAPITAL APPRECIATION A BUY 0 Units @0.0000	60.00	1.80	0.00	1.80	20.0	0.36
10/29/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 03008792487	CAPITAL INCOME A BUY 0 Units @0.0000	262.50	10.50	0.00	10.50	20.0	2.10
10/29/2018	***-**-030J - MERRILL, ACCOUNT #: 03009145719	CAPITAL INCOME A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	20.0	0.38



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: RONALD DRAKE (continued) </u>								
10/29/2018	***-**-481J - MERRILL, JASON	CAPITAL INCOME A	62.50	1.88	0.00	1.88	20.0	0.38
	ACCOUNT #: 03009145730	BUY 0 Units @0.0000						
10/29/2018	***-**-5152 - DUNN, MICHELE	CAPITAL INCOME BUILDER-A	400.00	11.00	0.00	11.00	20.0	2.20
	ACCOUNT #: 00087316793	BUY 7 Units @59.6500						
11/01/2018	***-**-3246 - SGROI, TERESA	CAPITAL INCOME BUILDER-A	50.00	2.50	0.00	2.50	20.0	0.50
	ACCOUNT #: 00089976714	BUY 1 Units @62.0600						
10/29/2018	***-**-4848 - DOGGETT, AMY	CAPITAL WORLD GROWTH AND INCOME FUN	165.00	4.54	0.00	4.54	20.0	0.91
	ACCOUNT #: 00081620466	BUY 3 Units @47.8300						
10/29/2018	***-**-408B - SNIZEK,	CAPITAL WORLD GROWTH AND INCOME FUN	100.00	2.75	0.00	2.75	20.0	0.55
	ACCOUNT #: 00085154620	BUY 2 Units @47.8300						
10/29/2018	***-**-7598 - HUMPF, MINDI	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.69	0.00	0.69	20.0	0.14
	ACCOUNT #: 00085514851	BUY 1 Units @47.8300						
10/29/2018	***-**-1909 - BASHANT, MATTHEW	CAPITAL WORLD GROWTH AND INCOME FUN	47.25	1.30	0.00	1.30	20.0	0.26
	ACCOUNT #: 00085839015	BUY 1 Units @47.8300						
10/29/2018	***-**-5556 - BURNS, ROBERT	CAPITAL WORLD GROWTH AND INCOME FUN	37.50	1.59	0.00	1.59	20.0	0.32
	ACCOUNT #: 00085993216	BUY 1 Units @48.5900						
10/29/2018	***-**-33IN - KING, JOHN	EQUITY INCOME FUND, INC. A	38.00	1.14	0.00	1.14	20.0	0.23
	ACCOUNT #: 08351548074	BUY 0 Units @0.0000						
10/29/2018	***-**-4932 - BAKER, STEVEN	EQUITY INCOME FUND, INC. A	262.50	10.50	0.00	10.50	20.0	2.10
	ACCOUNT #: 08352551208	BUY 0 Units @0.0000						
10/29/2018	***-**-1909 - BASHANT, MATTHEW	EUROPACIFIC GROWTH FUND-A	47.25	1.30	0.00	1.30	20.0	0.26
	ACCOUNT #: 00085839015	BUY 1 Units @48.7000						
10/31/2018	***-**-0403 - DONOVAN, HEATHER	FRANKLIN GROWTH FUND CLASS A	0.00	16.04	0.00	16.04	20.0	3.21
	ACCOUNT #: 000060177003031	BUY 0 Units @0.0000						
10/31/2018	***-**-1787 - ANO, MICHAEL	FRANKLIN GROWTH FUND CLASS A	0.00	3.61	0.00	3.61	20.0	0.72
	ACCOUNT #: 000060177122300	BUY 0 Units @0.0000						
10/31/2018	***-**-9217 - POLITIS, DEBRA	FRANKLIN GROWTH FUND CLASS A	0.00	33.56	0.00	33.56	20.0	6.71
	ACCOUNT #: 000060177196078	BUY 0 Units @0.0000						
10/31/2018	***-**-9217 - POLITIS, DEBRA	FRANKLIN INCOME FUND CLASS A	0.00	6.88	0.00	6.88	20.0	1.38
	ACCOUNT #: 000090236333236	BUY 0 Units @0.0000						
10/31/2018	***-**-9692 - KELLER, KENNETH	FRANKLIN INCOME FUND CLASS A	0.00	0.89	0.00	0.89	20.0	0.18
	ACCOUNT #: 000090237957306	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: RONALD DRAKE (continued)</u>								
10/31/2018	***-**-9500 - KELLER, BILLIE	FRANKLIN INCOME FUND CLASS A	0.00	1.13	0.00	1.13	20.0	0.23
	ACCOUNT #: 000090238038740	BUY 0 Units @0.0000						
10/31/2018	***-**-5371 - SOUTHFIELD,	FRANKLIN INCOME FUND CLASS A	0.00	12.23	0.00	12.23	20.0	2.45
	ACCOUNT #: 000090239092353	BUY 0 Units @0.0000						
10/31/2018	***-**-6469 - BENNETT, DAVID	FRANKLIN INCOME FUND CLASS A	0.00	2.94	0.00	2.94	20.0	0.59
	ACCOUNT #: 000090239535847	BUY 0 Units @0.0000						
10/31/2018	***-**-6469 - BENNETT, DAVID	FRANKLIN INCOME FUND CLASS A	0.00	0.48	0.00	0.48	20.0	0.10
	ACCOUNT #: 000090239551269	BUY 0 Units @0.0000						
10/31/2018	***-**-481J - MERRILL, JASON	FRANKLIN NEW YORK TAX FREE CLASS C	0.00	10.72	0.00	10.72	20.0	2.14
	ACCOUNT #: 000000000426484	BUY 0 Units @0.0000						
10/31/2018	***-**-3756 - GAGNE, JOHN	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	6.09	0.00	6.09	20.0	1.22
	ACCOUNT #: 000011516893059	BUY 0 Units @0.0000						
10/31/2018	***-**-8526 - SPINELI, ELISE	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	2.14	0.00	2.14	20.0	0.43
	ACCOUNT #: 000011516901730	BUY 0 Units @0.0000						
10/31/2018	***-**-1787 - ANO, MICHAEL	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	2.36	0.00	2.36	20.0	0.47
	ACCOUNT #: 000011516948107	BUY 0 Units @0.0000						
10/31/2018	***-**-5559 - SEYMOUR, DEBORAH	FRANKLIN NY INTERM TERM TAX FREE A	0.00	0.80	0.00	0.80	20.0	0.16
	ACCOUNT #: 000015311057123	BUY 0 Units @0.0000						
10/31/2018	***-**-481J - MERRILL, JASON	FRANKLIN NY INTR-TRM TF INC FD	0.00	8.48	0.00	8.48	20.0	1.70
	ACCOUNT #: 000000000033504	BUY 0 Units @0.0000						
10/31/2018	***-**-5371 - SOUTHFIELD,	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	34.78	0.00	34.78	20.0	6.96
	ACCOUNT #: 000015815231665	BUY 0 Units @0.0000						
10/31/2018	***-**-0403 - DONOVAN, HEATHER	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	20.95	0.00	20.95	20.0	4.19
	ACCOUNT #: 000015813931694	BUY 0 Units @0.0000						
10/31/2018	***-**-0961 - BUDINE, JESSE	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	1.63	0.00	1.63	20.0	0.33
	ACCOUNT #: 000015814136194	BUY 0 Units @0.0000						
10/31/2018	***-**-4848 - DOGETT, AMY	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	2.87	0.00	2.87	20.0	0.57
	ACCOUNT #: 000015814148023	BUY 0 Units @0.0000						
10/31/2018	***-**-1787 - ANO, MICHAEL	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	10.27	0.00	10.27	20.0	2.05
	ACCOUNT #: 000015814180311	BUY 0 Units @0.0000						
10/31/2018	***-**-3034 - DRAKE, CATHERINE	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	1.17	0.00	1.17	20.0	0.23
	ACCOUNT #: 000015814181008	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: RONALD DRAKE (continued)</u>								
10/31/2018	***-**-0608 - ANO, CHERYL	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	10.04	0.00	10.04	20.0	2.01
	ACCOUNT #: 000015814241626	BUY 0 Units @0.0000						
10/31/2018	***-**-9217 - POLITIS, DEBRA	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	62.91	0.00	62.91	20.0	12.58
	ACCOUNT #: 000015814353890	BUY 0 Units @0.0000						
10/31/2018	***-**-9692 - KELLER, KENNETH	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	1.92	0.00	1.92	20.0	0.38
	ACCOUNT #: 000015814926861	BUY 0 Units @0.0000						
10/31/2018	***-**-9500 - KELLER, BILLIE	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	2.36	0.00	2.36	20.0	0.47
	ACCOUNT #: 000015814954630	BUY 0 Units @0.0000						
10/31/2018	***-**-9692 - KELLER, KENNETH	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	2.39	0.00	2.39	20.0	0.48
	ACCOUNT #: 000015814954705	BUY 0 Units @0.0000						
10/31/2018	***-**-5371 - SOUTHFIELD,	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	23.58	0.00	23.58	20.0	4.72
	ACCOUNT #: 000015815282015	BUY 0 Units @0.0000						
10/31/2018	***-**-6469 - BENNETT, DAVID	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	5.62	0.00	5.62	20.0	1.12
	ACCOUNT #: 000015815518754	BUY 0 Units @0.0000						
10/31/2018	***-**-6469 - BENNETT, DAVID	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	0.84	0.00	0.84	20.0	0.17
	ACCOUNT #: 000015815524857	BUY 0 Units @0.0000						
10/31/2018	***-**-0403 - DONOVAN, HEATHER	FRANKLIN U.S. GOVERNMENT SECURITIES	0.00	2.07	0.00	2.07	20.0	0.41
	ACCOUNT #: 000010187500957	BUY 0 Units @0.0000						
10/31/2018	***-**-0403 - DONOVAN, HEATHER	FRK EQUITY INC FND - CL A	0.00	19.38	0.00	19.38	20.0	3.88
	ACCOUNT #: 000013912505964	BUY 0 Units @0.0000						
10/31/2018	***-**-0961 - BUDINE, JESSE	FRK EQUITY INC FND - CL A	0.00	0.78	0.00	0.78	20.0	0.16
	ACCOUNT #: 000013912529800	BUY 0 Units @0.0000						
10/31/2018	***-**-1787 - ANO, MICHAEL	FRK EQUITY INC FND - CL A	0.00	5.91	0.00	5.91	20.0	1.18
	ACCOUNT #: 000013912534634	BUY 0 Units @0.0000						
10/31/2018	***-**-0608 - ANO, CHERYL	FRK EQUITY INC FND - CL A	0.00	3.62	0.00	3.62	20.0	0.72
	ACCOUNT #: 000013912540587	BUY 0 Units @0.0000						
10/31/2018	***-**-1787 - ANO, MICHAEL	FRK HIGH INC FND - CL A	0.00	1.89	0.00	1.89	20.0	0.38
	ACCOUNT #: 000050117882954	BUY 0 Units @0.0000						
10/31/2018	***-**-0608 - ANO, CHERYL	FRK HIGH INC FND - CL A	0.00	2.94	0.00	2.94	20.0	0.59
	ACCOUNT #: 000050117905563	BUY 0 Units @0.0000						
10/31/2018	***-**-4848 - DOGETT, AMY	FRK STRAT INC FND - CL A	0.00	0.45	0.00	0.45	20.0	0.09
	ACCOUNT #: 000019413185810	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: RONALD DRAKE (continued) </u>								
10/31/2018	***-**-1787 - ANO, MICHAEL	FRK STRAT INC FND - CL A	0.00	1.87	0.00	1.87	20.0	0.37
	ACCOUNT #: 000019413201563	BUY 0 Units @0.0000						
10/31/2018	***-**-0608 - ANO, CHERYL	FRK STRAT INC FND - CL A	0.00	4.47	0.00	4.47	20.0	0.89
	ACCOUNT #: 000019413236403	BUY 0 Units @0.0000						
10/31/2018	***-**-9692 - KELLER, KENNETH	FRK STRAT INC FND - CL A	0.00	1.32	0.00	1.32	20.0	0.26
	ACCOUNT #: 000019413735729	BUY 0 Units @0.0000						
10/31/2018	***-**-9500 - KELLER, BILLIE	FRK STRAT INC FND - CL A	0.00	1.70	0.00	1.70	20.0	0.34
	ACCOUNT #: 000019413751292	BUY 0 Units @0.0000						
10/31/2018	***-**-5371 - SOUTHFIELD,	FRK STRAT INC FND - CL A	0.00	11.32	0.00	11.32	20.0	2.26
	ACCOUNT #: 000019413960182	BUY 0 Units @0.0000						
10/31/2018	***-**-6469 - BENNETT, DAVID	FRK STRAT INC FND - CL A	0.00	4.51	0.00	4.51	20.0	0.90
	ACCOUNT #: 000019414041778	BUY 0 Units @0.0000						
10/31/2018	***-**-6469 - BENNETT, DAVID	FRK STRAT INC FND - CL A	0.00	0.40	0.00	0.40	20.0	0.08
	ACCOUNT #: 000019414044317	BUY 0 Units @0.0000						
10/31/2018	***-**-481J - MERRILL, JASON	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	3.05	0.00	3.05	20.0	0.61
	ACCOUNT #: 000000000369520	BUY 0 Units @0.0000						
10/31/2018	***-**-4848 - DOGGETT, AMY	FRK TOTAL RETURN FND - CL A	0.00	0.42	0.00	0.42	20.0	0.08
	ACCOUNT #: 000000000938415	BUY 0 Units @0.0000						
10/31/2018	***-**-1787 - ANO, MICHAEL	FRK TOTAL RETURN FND - CL A	0.00	4.67	0.00	4.67	20.0	0.93
	ACCOUNT #: 000000000947097	BUY 0 Units @0.0000						
10/31/2018	***-**-0608 - ANO, CHERYL	FRK TOTAL RETURN FND - CL A	0.00	5.30	0.00	5.30	20.0	1.06
	ACCOUNT #: 000000000963900	BUY 0 Units @0.0000						
10/31/2018	***-**-9217 - POLITIS, DEBRA	FRK TOTAL RETURN FND - CL A	0.00	7.88	0.00	7.88	20.0	1.58
	ACCOUNT #: 000000001004629	BUY 0 Units @0.0000						
10/31/2018	***-**-5371 - SOUTHFIELD,	FRK TOTAL RETURN FND - CL A	0.00	6.38	0.00	6.38	20.0	1.28
	ACCOUNT #: 000000001197399	BUY 0 Units @0.0000						
10/31/2018	***-**-9692 - KELLER, KENNETH	FRK UTIL FND - CL A	0.00	0.56	0.00	0.56	20.0	0.11
	ACCOUNT #: 000070188041136	BUY 0 Units @0.0000						
10/31/2018	***-**-9500 - KELLER, BILLIE	FRK UTIL FND - CL A	0.00	0.72	0.00	0.72	20.0	0.14
	ACCOUNT #: 000070188050820	BUY 0 Units @0.0000						
11/12/2018	***-**-25FB - DUNN, BRENDAN	LIFEMARK INVESTMENT ADVISORY FEE	57.53	57.53	0.00	57.53	15.0	8.63
	ACCOUNT #: 925287945	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: RONALD DRAKE (continued)</u>								
11/12/2018	***-**-25FB - DUNN, BRENDAN	LIFEMARK INVESTMENT ADVISORY FEE	120.42	120.42	0.00	120.42	15.0	18.06
	ACCOUNT #: 925287941	BUY 0 Units @0.0000						
11/12/2018	***-**-52FB - DUNN, MICHELE	LIFEMARK INVESTMENT ADVISORY FEE	125.29	125.29	0.00	125.29	15.0	18.79
	ACCOUNT #: 925287955	BUY 0 Units @0.0000						
10/31/2018	***-**-0403 - DONOVAN, HEATHER	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	9.36	0.00	9.36	20.0	1.87
	ACCOUNT #: 000000007175262	BUY 0 Units @0.0000						
10/31/2018	***-**-0961 - BUDINE, JESSE	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.91	0.00	0.91	20.0	0.18
	ACCOUNT #: 000000007475698	BUY 0 Units @0.0000						
10/31/2018	***-**-4848 - DOGGETT, AMY	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.83	0.00	0.83	20.0	0.17
	ACCOUNT #: 000000007485725	BUY 0 Units @0.0000						
10/31/2018	***-**-1787 - ANO, MICHAEL	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	3.08	0.00	3.08	20.0	0.62
	ACCOUNT #: 000000007508916	BUY 0 Units @0.0000						
10/31/2018	***-**-0608 - ANO, CHERYL	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	2.57	0.00	2.57	20.0	0.51
	ACCOUNT #: 000000007556347	BUY 0 Units @0.0000						
10/31/2018	***-**-9217 - POLITIS, DEBRA	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	22.50	0.00	22.50	20.0	4.50
	ACCOUNT #: 000000007691975	BUY 0 Units @0.0000						
10/31/2018	***-**-9692 - KELLER, KENNETH	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.77	0.00	0.77	20.0	0.15
	ACCOUNT #: 000000008301804	BUY 0 Units @0.0000						
10/31/2018	***-**-9500 - KELLER, BILLIE	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.97	0.00	0.97	20.0	0.19
	ACCOUNT #: 000000008332761	BUY 0 Units @0.0000						
10/31/2018	***-**-5371 - SOUTHFIELD,	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	12.29	0.00	12.29	20.0	2.46
	ACCOUNT #: 000000008780278	BUY 0 Units @0.0000						
10/31/2018	***-**-6469 - BENNETT, DAVID	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	4.87	0.00	4.87	20.0	0.97
	ACCOUNT #: 000000008962250	BUY 0 Units @0.0000						
10/29/2018	***-**-481J - MERRILL, JASON	OPP PORT SERIES: MOD INV FD A	112.50	3.38	0.00	3.38	20.0	0.68
	ACCOUNT #: 05450490435	BUY 0 Units @0.0000						
10/29/2018	***-**-030J - MERRILL,	OPP PORT SERIES: MOD INV FD A	112.50	3.38	0.00	3.38	20.0	0.68
	ACCOUNT #: 05450490490	BUY 0 Units @0.0000						
10/29/2018	***-**-33IN - KING, JOHN	OPPENHEIMER DEVELOPING MARKETS CLAS	38.00	1.14	0.00	1.14	20.0	0.23
	ACCOUNT #: 07859653204	BUY 0 Units @0.0000						
10/29/2018	***-**-481J - MERRILL, JASON	OPPENHEIMER INTERNATIONAL DIVERSIFI	12.50	0.38	0.00	0.38	20.0	0.08
	ACCOUNT #: 01951261073	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: RONALD DRAKE (continued) </u>								
10/29/2018	***-**-030J - MERRILL, ACCOUNT #: 01951261139	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	12.50	0.38	0.00	0.38	20.0	0.08
10/29/2018	***-**-33IN - KING, JOHN ACCOUNT #: 08476672325	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	38.00	1.14	0.00	1.14	20.0	0.23
10/29/2018	***-**-33IN - KING, JOHN ACCOUNT #: 02514166107	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	38.00	1.14	0.00	1.14	20.0	0.23
10/29/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 02305070453	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	60.00	1.65	0.00	1.65	20.0	0.33
10/29/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 02306510122	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	262.50	9.84	0.00	9.84	20.0	1.97
10/29/2018	***-**-70IN - KING, SUSAN ACCOUNT #: 02253478497	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	80.00	2.40	0.00	2.40	20.0	0.48
10/29/2018	***-**-4932 - BAKER, STEVEN ACCOUNT #: 02254109468	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	262.50	10.50	0.00	10.50	20.0	2.10
10/29/2018	***-**-33IN - KING, JOHN ACCOUNT #: 02254507140	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	48.00	1.44	0.00	1.44	20.0	0.29
10/29/2018	***-**-030J - MERRILL, ACCOUNT #: 06000782386	SELECT VALUE FUND A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	20.0	0.38
10/29/2018	***-**-481J - MERRILL, JASON ACCOUNT #: 06000782397	SELECT VALUE FUND A BUY 0 Units @0.0000	62.50	1.88	0.00	1.88	20.0	0.38
10/29/2018	***-**-5556 - BURNS, ROBERT ACCOUNT #: 00085993216	SMALLCAP WORLD FUND-A BUY 0 Units @55.0300	22.50	0.96	0.00	0.96	20.0	0.19
10/31/2018	***-**-0961 - BUDINE, JESSE ACCOUNT #: 000004978424895	TEMP FRGN FND - CL A BUY 0 Units @0.0000	0.00	0.78	0.00	0.78	20.0	0.16
10/31/2018	***-**-0403 - DONOVAN, HEATHER ACCOUNT #: 000006982468899	TEMP GLOBAL BOND FND - CL A BUY 0 Units @0.0000	0.00	4.53	0.00	4.53	20.0	0.91
10/31/2018	***-**-0961 - BUDINE, JESSE ACCOUNT #: 000006983356424	TEMP GLOBAL BOND FND - CL A BUY 0 Units @0.0000	0.00	0.77	0.00	0.77	20.0	0.15
10/31/2018	***-**-4848 - DOGETT, AMY ACCOUNT #: 000006983376554	TEMP GLOBAL BOND FND - CL A BUY 0 Units @0.0000	0.00	0.52	0.00	0.52	20.0	0.10
10/31/2018	***-**-1787 - ANO, MICHAEL ACCOUNT #: 000006983429330	TEMP GLOBAL BOND FND - CL A BUY 0 Units @0.0000	0.00	4.92	0.00	4.92	20.0	0.98



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: RONALD DRAKE (continued) </u>								
10/31/2018	***-**-3034 - DRAKE, CATHERINE	TEMP GLOBAL BOND FND - CL A	0.00	0.51	0.00	0.51	20.0	0.10
	ACCOUNT #: 000006983437097	BUY 0 Units @0.0000						
10/31/2018	***-**-0608 - ANO, CHERYL	TEMP GLOBAL BOND FND - CL A	0.00	3.06	0.00	3.06	20.0	0.61
	ACCOUNT #: 000006983546669	BUY 0 Units @0.0000						
10/31/2018	***-**-9217 - POLITIS, DEBRA	TEMP GLOBAL BOND FND - CL A	0.00	26.34	0.00	26.34	20.0	5.27
	ACCOUNT #: 000006983894537	BUY 0 Units @0.0000						
10/31/2018	***-**-9692 - KELLER, KENNETH	TEMP GLOBAL BOND FND - CL A	0.00	1.30	0.00	1.30	20.0	0.26
	ACCOUNT #: 000006985212585	BUY 0 Units @0.0000						
10/31/2018	***-**-9500 - KELLER, BILLIE	TEMP GLOBAL BOND FND - CL A	0.00	1.65	0.00	1.65	20.0	0.33
	ACCOUNT #: 000006985253074	BUY 0 Units @0.0000						
10/31/2018	***-**-5371 - SOUTHFIELD,	TEMP GLOBAL BOND FND - CL A	0.00	10.87	0.00	10.87	20.0	2.17
	ACCOUNT #: 000006985760625	BUY 0 Units @0.0000						
10/31/2018	***-**-6469 - BENNETT, DAVID	TEMP GLOBAL BOND FND - CL A	0.00	4.35	0.00	4.35	20.0	0.87
	ACCOUNT #: 000006985886089	BUY 0 Units @0.0000						
10/31/2018	***-**-6469 - BENNETT, DAVID	TEMP GLOBAL BOND FND - CL A	0.00	0.30	0.00	0.30	20.0	0.06
	ACCOUNT #: 000006985890265	BUY 0 Units @0.0000						
10/31/2018	***-**-0608 - ANO, CHERYL	TEMPLETON GROWTH FUND CLASS A	0.00	1.47	0.00	1.47	20.0	0.29
	ACCOUNT #: 000007077039626	BUY 0 Units @0.0000						
10/29/2018	***-**-4639 - SCOONES,	THE BOND FUND OF AMERICA-A	90.75	2.50	0.00	2.50	20.0	0.50
	ACCOUNT #: 00084481157	BUY 7 Units @12.8600						
10/29/2018	***-**-7823 - BERTRAND,	THE GROWTH FUND OF AMERICA-A	50.00	2.50	0.00	2.50	20.0	0.50
	ACCOUNT #: 00089897908	BUY 1 Units @52.6200						
10/29/2018	***-**-241R - BERTRAND, JOHN	THE GROWTH FUND OF AMERICA-A	50.00	2.50	0.00	2.50	20.0	0.50
	ACCOUNT #: 00089941898	BUY 1 Units @52.6200						
10/29/2018	***-**-4848 - DOGGETT, AMY	THE GROWTH FUND OF AMERICA-A	170.00	4.68	0.00	4.68	20.0	0.94
	ACCOUNT #: 00081620466	BUY 3 Units @51.3900						
10/29/2018	***-**-4639 - SCOONES,	THE GROWTH FUND OF AMERICA-A	93.50	2.57	0.00	2.57	20.0	0.51
	ACCOUNT #: 00084481157	BUY 2 Units @51.3900						
10/29/2018	***-**-408B - SNIZEK,	THE GROWTH FUND OF AMERICA-A	175.00	4.81	0.00	4.81	20.0	0.96
	ACCOUNT #: 00085154620	BUY 3 Units @51.3900						
10/29/2018	***-**-7598 - HUMPF, MINDI	THE GROWTH FUND OF AMERICA-A	25.00	0.69	0.00	0.69	20.0	0.14
	ACCOUNT #: 00085514851	BUY 0 Units @51.3900						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: RONALD DRAKE (continued)</u>								
10/29/2018	***-**-1909 - BASHANT, MATTHEW	THE GROWTH FUND OF AMERICA-A	54.00	1.49	0.00	1.49	20.0	0.30
	ACCOUNT #: 00085839015	BUY 1 Units @51.3900						
11/01/2018	***-**-9408 - SNIZEK,	THE GROWTH FUND OF AMERICA-A	50.00	1.38	0.00	1.38	20.0	0.28
	ACCOUNT #: 00085099445	BUY 1 Units @54.0000						
10/29/2018	***-**-7598 - HUMPF, MINDI	THE INCOME FUND OF AMERICA-A	25.00	0.69	0.00	0.69	20.0	0.14
	ACCOUNT #: 00085514851	BUY 1 Units @22.8400						
10/29/2018	***-**-1909 - BASHANT, MATTHEW	THE INCOME FUND OF AMERICA-A	38.25	1.05	0.00	1.05	20.0	0.21
	ACCOUNT #: 00085839015	BUY 2 Units @22.8400						
10/29/2018	***-**-0939 - LAWRENCE, JASON	THE INCOME FUND OF AMERICA-A	60.00	3.00	0.00	3.00	20.0	0.60
	ACCOUNT #: 00087909097	BUY 3 Units @23.3800						
11/01/2018	***-**-6790 - DRAKE, ROBERT	THE INCOME FUND OF AMERICA-A	50.00	1.88	0.00	1.88	20.0	0.38
	ACCOUNT #: 00086643595	BUY 2 Units @23.5200						
* RONALD DRAKE SUBTOTAL *			\$5,523.24	\$973.93	\$0.00	\$973.93		\$179.67
<u>BROKER: RONALD CIOTOLI</u>								
10/29/2018	***-**-923I - MILLER, DENISE	AMERICAN BALANCED FUND-A	100.00	3.75	0.00	3.75	35.0	1.31
	ACCOUNT #: 00068752100	BUY 4 Units @27.6400						
10/29/2018	***-**-3380 - DENTON, KELLI	CAPITAL APPRECIATION A	50.00	2.38	0.00	2.38	35.0	0.83
	ACCOUNT #: 03210124708	BUY 0 Units @0.0000						
11/12/2018	***-**-14FB - CONTI, THOMAS	LIFEMARK INVESTMENT ADVISORY FEE	92.48	92.48	0.00	92.48	35.0	32.37
	ACCOUNT #: 925530255	BUY 0 Units @0.0000						
11/12/2018	***-**-39FB - CONTI, ELLEN	LIFEMARK INVESTMENT ADVISORY FEE	197.35	197.35	0.00	197.35	35.0	69.07
	ACCOUNT #: 925300576	BUY 0 Units @0.0000						
11/12/2018	***-**-18FB - GORDON, DIANE	LIFEMARK INVESTMENT ADVISORY FEE	234.15	234.15	0.00	234.15	35.0	81.95
	ACCOUNT #: 925325360	BUY 0 Units @0.0000						
11/12/2018	***-**-1730 - BENZI, ROBERT	LIFEMARK INVESTMENT ADVISORY FEE	239.03	239.03	0.00	239.03	35.0	83.66
	ACCOUNT #: 925340599	BUY 0 Units @0.0000						
11/12/2018	***-**-08FB - KROH, TODD	LIFEMARK INVESTMENT ADVISORY FEE	819.99	819.99	0.00	819.99	35.0	287.00
	ACCOUNT #: 925550769	BUY 0 Units @0.0000						
* RONALD CIOTOLI SUBTOTAL *			\$1,733.00	\$1,589.13	\$0.00	\$1,589.13		\$556.19
*** OVERRIDE TRANSACTIONS TOTAL ***			\$7,256.24	\$2,563.06	\$0.00	\$2,563.06		\$735.86



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				GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
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