



# COMMISSION STATEMENT

## October 22, 2018

ANDREW KALINOWSKI  
400 West Metro Park  
Rochester, NY 14623

BROKER #: 20  
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/15/2018	***-**-35IN - LIGHT AND POWER,	AMERICAN HIGH-INCOME TRUST-A	75.00	2.06	0.00	2.06	95.0	1.96
	ACCOUNT #: 00081655418	BUY 7 Units @10.5300						
10/15/2018	***-**-35IN - LIGHT AND POWER,	CAPITAL INCOME BUILDER-A	125.00	3.44	0.00	3.44	95.0	3.27
	ACCOUNT #: 00081655418	BUY 2 Units @60.5700						
10/15/2018	***-**-2256 - SPITZER, HERSHEL	CAPITAL INCOME BUILDER-A	87.50	2.41	0.00	2.41	95.0	2.29
	ACCOUNT #: 00083997024	BUY 1 Units @60.5700						
10/15/2018	***-**-575I - PALELLA, CHARLES	EQUITY INCOME FUND, INC. A	250.00	10.00	0.00	10.00	95.0	9.50
	ACCOUNT #: 08350895037	BUY 0 Units @0.0000						
10/01/2018	***-**-9281 - RUSSELL, AMY	EQUITY INCOME FUND, INC. C	25.00	0.25	0.00	0.25	95.0	0.24
	ACCOUNT #: 08370662827	BUY 0 Units @0.0000						
10/15/2018	***-**-2256 - SPITZER, HERSHEL	EUROPACIFIC GROWTH FUND-A	87.50	2.41	0.00	2.41	95.0	2.29
	ACCOUNT #: 00083997024	BUY 2 Units @50.9700						
10/15/2018	***-**-2256 - SPITZER, HERSHEL	FUNDAMENTAL INVESTORS-A	137.50	3.78	0.00	3.78	95.0	3.59
	ACCOUNT #: 00083997024	BUY 2 Units @63.9800						
10/15/2018	***-**-2256 - SPITZER, HERSHEL	NEW PERSPECTIVE FUND-A	137.50	3.78	0.00	3.78	95.0	3.59
	ACCOUNT #: 00083997024	BUY 3 Units @44.9900						
10/01/2018	***-**-9281 - RUSSELL, AMY	SENIOR FLOATING RATE FUND C	10.00	0.10	0.00	0.10	95.0	0.10
	ACCOUNT #: 02932131646	BUY 0 Units @0.0000						
10/15/2018	***-**-35IN - LIGHT AND POWER,	THE INCOME FUND OF AMERICA-A	150.00	4.13	0.00	4.13	95.0	3.92
	ACCOUNT #: 00081655418	BUY 6 Units @23.2600						
10/01/2018	***-**-9281 - RUSSELL, AMY	VALUE FUND C	25.00	0.25	0.00	0.25	95.0	0.24
	ACCOUNT #: 03770519816	BUY 0 Units @0.0000						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$1,110.00</b>	<b>\$32.61</b>	<b>\$0.00</b>	<b>\$32.61</b>		<b>\$30.99</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
10/15/2018	***-**-8367 - RAGUSO, PAMELA	PRUDENTIAL VA TRAILS 74429P110	100.00	6.00	0.00	6.00	95.0	5.70
	ACCOUNT #: E1470506	BUY 0 Units @0.0000						
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$100.00</b>	<b>\$6.00</b>	<b>\$0.00</b>	<b>\$6.00</b>		<b>\$5.70</b>



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: RIA</b>								
10/23/2018	***-**-60FB - KALINOWSKI, ACCOUNT #: 1681311	NEW FRONTIER ETF, PROFILE 3, MODERA BUY 0 Units @419.5724	41,957.24	0.00	0.00	0.00	95.0	0.00
10/23/2018	***-**-60FB - KALINOWSKI, ACCOUNT #: 1681313	NEW FRONTIER ETF, PROFILE 4, MODERA BUY 0 Units @2299.2882	229,928.82	0.00	0.00	0.00	95.0	0.00
10/23/2018	***-**-60FB - KALINOWSKI, ACCOUNT #: 1681312	NEW FRONTIER ETF, PROFILE 4, MODERA BUY 0 Units @258.5868	25,858.68	0.00	0.00	0.00	95.0	0.00
* RIA SUBTOTAL *			<b>\$297,744.74</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
10/01/2018	***-**-942I - LECHOWSKI, PIOTR ACCOUNT #: 05056164907	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	10.09	0.00	10.09	95.0	9.59
10/01/2018	***-**-022I - PERRY, JESSICA ACCOUNT #: 00777099026	AIM CHARTER FUND - CLASS C BUY 0 Units @0.0000	0.00	0.34	0.00	0.34	95.0	0.32
10/01/2018	***-**-498K - INDELICATO, ACCOUNT #: 00777153759	AIM CHARTER FUND - CLASS C BUY 0 Units @0.0000	0.00	7.10	0.00	7.10	95.0	6.75
10/01/2018	***-**-67IR - GAISSER, DARCY ACCOUNT #: 01000021673	AIM CHARTER FUND - CLASS C BUY 0 Units @0.0000	0.00	1.95	0.00	1.95	95.0	1.85
10/01/2018	***-**-267I - GAISSER, DARCY ACCOUNT #: 01000021706	AIM CHARTER FUND - CLASS C BUY 0 Units @0.0000	0.00	4.86	0.00	4.86	95.0	4.62
10/01/2018	***-**-537J - GOLDBLATT, ACCOUNT #: 01000217759	AIM CHARTER FUND - CLASS C BUY 0 Units @0.0000	0.00	3.48	0.00	3.48	95.0	3.31
10/01/2018	***-**-959P - HENNEKEY, ACCOUNT #: 02500011737	AIM CHARTER FUND - CLASS C BUY 0 Units @0.0000	0.00	11.55	0.00	11.55	95.0	10.97
10/01/2018	***-**-52IR - WASSEM, HEATH ACCOUNT #: 03810631782	AIM CHARTER FUND - CLASS C BUY 0 Units @0.0000	0.00	1.70	0.00	1.70	95.0	1.62
10/01/2018	***-**-501I - MCMANUS, MAUREEN ACCOUNT #: 03870029810	AIM CHARTER FUND - CLASS C BUY 0 Units @0.0000	0.00	0.29	0.00	0.29	95.0	0.28
10/01/2018	***-**-537J - GOLDBLATT, ACCOUNT #: 01000217759	AIM DEVELOPING MARKETS FUND - CLASS BUY 0 Units @0.0000	0.00	0.28	0.00	0.28	95.0	0.27
10/01/2018	***-**-229I - WALKER, ADAM ACCOUNT #: 02500049319	AIM DEVELOPING MARKETS FUND - CLASS BUY 0 Units @0.0000	0.00	2.42	0.00	2.42	95.0	2.30
10/01/2018	***-**-1352 - BAKER, DIANE ACCOUNT #: 02500079035	AIM DEVELOPING MARKETS FUND - CLASS BUY 0 Units @0.0000	0.00	27.21	0.00	27.21	95.0	25.85



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/01/2018	***-**-942I - LECHOWSKI, PIOTR	AIM DIVERSIFIED DIVIDEND FUND - CL	0.00	0.49	0.00	0.49	95.0	0.47
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
10/01/2018	***-**-67IR - GAISSER, DARCY	AIM EUROPEAN SMALL COMPANY FUND - C	0.00	27.23	0.00	27.23	95.0	25.87
	ACCOUNT #: 01000021673	BUY 0 Units @0.0000						
10/01/2018	***-**-229I - WALKER, ADAM	AIM EUROPEAN SMALL COMPANY FUND - C	0.00	2.47	0.00	2.47	95.0	2.35
	ACCOUNT #: 02500049319	BUY 0 Units @0.0000						
10/01/2018	***-**-25IE - PRZEPIORA,	AIM GLOBAL AGGRESSIVE GROWTH FD -CL	0.00	0.64	0.00	0.64	95.0	0.61
	ACCOUNT #: 03911599169	BUY 0 Units @0.0000						
10/01/2018	***-**-60CL - KALINOWSKI,	AIM GLOBAL EQUITY FUND - CLASS A	0.00	8.66	0.00	8.66	95.0	8.23
	ACCOUNT #: 05053804836	BUY 0 Units @0.0000						
10/01/2018	***-**-5498 - INDELICATO,	AIM GLOBAL HEALTH CARE FUND - CLASS	0.00	9.89	0.00	9.89	95.0	9.40
	ACCOUNT #: 00777159873	BUY 0 Units @0.0000						
10/01/2018	***-**-942I - LECHOWSKI, PIOTR	AIM GLOBAL HEALTH CARE FUND CLASS A	0.00	1.79	0.00	1.79	95.0	1.70
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
10/01/2018	***-**-8704 - LYNCH, TIMOHTY	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	2.02	0.00	2.02	95.0	1.92
	ACCOUNT #: 06700232960	BUY 0 Units @0.0000						
10/01/2018	***-**-695P - COLONEY, DANIEL	AIM INTERNATIONAL ALLOCATION FD-CL	0.00	4.85	0.00	4.85	95.0	4.61
	ACCOUNT #: 01000152049	BUY 0 Units @0.0000						
10/01/2018	***-**-165P - PRINCE, WILBUR	AIM INTERNATIONAL ALLOCATION FD-CL	0.00	0.71	0.00	0.71	95.0	0.67
	ACCOUNT #: 01000157109	BUY 0 Units @0.0000						
10/01/2018	***-**-022I - PERRY, JESSICA	AIM INTERNATIONAL ALLOCATION FD-CL	0.00	0.74	0.00	0.74	95.0	0.70
	ACCOUNT #: 00777099026	BUY 0 Units @0.0000						
10/01/2018	***-**-5498 - INDELICATO,	AIM INTERNATIONAL GROWTH FUND - CL	0.00	2.86	0.00	2.86	95.0	2.72
	ACCOUNT #: 00777159873	BUY 0 Units @0.0000						
10/01/2018	***-**-942I - LECHOWSKI, PIOTR	AIM MID-CAP EQUITY FUND CLASS A	0.00	9.13	0.00	9.13	95.0	8.67
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
10/01/2018	***-**-498K - INDELICATO,	AIM SELECT REAL ESTATE INCOME FD-CL	0.00	6.12	0.00	6.12	95.0	5.81
	ACCOUNT #: 00777153759	BUY 0 Units @0.0000						
10/01/2018	***-**-59IR - HENNEKEY,	AIM SMALL CAP EQUITY FUND - CLASS C	0.00	7.90	0.00	7.90	95.0	7.51
	ACCOUNT #: 02500013377	BUY 0 Units @0.0000						
10/01/2018	***-**-74IN - KETCHUM, STEVEN	AIM SMALL CAP EQUITY FUND - CLASS C	0.00	13.48	0.00	13.48	95.0	12.81
	ACCOUNT #: 03811119944	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/01/2018	***-**-942I - LECHOWSKI, PIOTR	AIM TECHNOLOGY FUND - CLASS A	0.00	1.14	0.00	1.14	95.0	1.08
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
10/01/2018	***-**-161I - FANNING, MICHAEL	AIM TECHNOLOGY FUND - CLASS A	0.00	0.67	0.00	0.67	95.0	0.64
	ACCOUNT #: 07002253735	BUY 0 Units @0.0000						
10/01/2018	***-**-959P - HENNEKEY,	AIM TECHNOLOGY FUND - CLASS C	0.00	24.48	0.00	24.48	95.0	23.26
	ACCOUNT #: 02500011737	BUY 0 Units @0.0000						
10/01/2018	***-**-400P - PIGNONE, LIDIA	AIM TECHNOLOGY FUND - CLASS C	0.00	5.81	0.00	5.81	95.0	5.52
	ACCOUNT #: 02500021797	BUY 0 Units @0.0000						
10/01/2018	***-**-52IR - WASSEM, HEATH	AIM TECHNOLOGY FUND - CLASS C	0.00	22.90	0.00	22.90	95.0	21.76
	ACCOUNT #: 03810631782	BUY 0 Units @0.0000						
10/01/2018	***-**-996I - MARTIN, MICHAEL	AIM TECHNOLOGY FUND - CLASS C	0.00	1.62	0.00	1.62	95.0	1.54
	ACCOUNT #: 03911370421	BUY 0 Units @0.0000						
10/01/2018	***-**-498K - INDELICATO,	AIM TRIMARK ENDEAVOR - CLASS C	0.00	7.14	0.00	7.14	95.0	6.78
	ACCOUNT #: 00777153759	BUY 0 Units @0.0000						
10/22/2018	***-**-605P - BONSIGNORE,	COLLEGEBOUND 529 TRAILS	0.00	6.10	0.00	6.10	95.0	5.80
		BUY 0 Units @0.0000						
10/22/2018	***-**-9069 - HAYES, DAVID	COLLEGEBOUND 529 TRAILS	0.00	12.09	0.00	12.09	95.0	11.49
		BUY 0 Units @0.0000						
10/22/2018	***-**-9069 - HAYES, DAVID	COLLEGEBOUND 529 TRAILS	0.00	6.15	0.00	6.15	95.0	5.84
		BUY 0 Units @0.0000						
10/08/2018	***-**-276I - CASTROP, SAMUEL	DEUTSCHE GNMA FUND - A	0.00	1.70	0.00	1.70	95.0	1.62
	ACCOUNT #: 00916127221	BUY 0 Units @0.0000						
10/08/2018	***-**-659I - CASTROP, CARLA	DEUTSCHE GNMA FUND - A	0.00	0.19	0.00	0.19	95.0	0.18
	ACCOUNT #: 00916127222	BUY 0 Units @0.0000						
10/12/2018	***-**-355I - CHRISTENSEN,	FINANCIAL INDUSTRIES A	0.00	0.20	0.00	0.20	95.0	0.19
	ACCOUNT #: 00777231908	BUY 0 Units @0.0000						
10/01/2018	***-**-38IR - LEHR, ANDREA	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	3.25	0.00	3.25	95.0	3.09
	ACCOUNT #: 04039316379	BUY 0 Units @0.0000						
10/01/2018	***-**-87UG - FARRELL, TYLER	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	1.67	0.00	1.67	95.0	1.59
	ACCOUNT #: 04038987410	BUY 0 Units @0.0000						
10/01/2018	***-**-5498 - INDELICATO,	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	4.15	0.00	4.15	95.0	3.94
	ACCOUNT #: 00777159873	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/01/2018	***-**-59IR - HENNEKEY, ACCOUNT #: 02500013377	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	13.03	0.00	13.03	95.0	12.38
10/01/2018	***-**-400P - PIGNONE, LIDIA ACCOUNT #: 02500021797	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	5.52	0.00	5.52	95.0	5.24
10/01/2018	***-**-46IR - PICKETT, JEFFREY ACCOUNT #: 02500043932	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	3.88	0.00	3.88	95.0	3.69
10/01/2018	***-**-44IE - WASSEM, CAROLYN ACCOUNT #: 03809012069	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	0.85	0.00	0.85	95.0	0.81
10/01/2018	***-**-56IR - KOLUPSKI, GEORGE ACCOUNT #: 03810310445	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	9.02	0.00	9.02	95.0	8.57
10/01/2018	***-**-74IR - KETCHUM, STEVEN ACCOUNT #: 03810411342	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	9.07	0.00	9.07	95.0	8.62
10/01/2018	***-**-00IR - HOBSON, SCOTT ACCOUNT #: 03810416598	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	5.23	0.00	5.23	95.0	4.97
10/01/2018	***-**-74IN - KETCHUM, STEVEN ACCOUNT #: 03811119944	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	21.69	0.00	21.69	95.0	20.61
10/01/2018	***-**-501I - MCMANUS, MAUREEN ACCOUNT #: 03870029810	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	95.0	0.02
10/01/2018	***-**-059I - D'AMBROSIA, ACCOUNT #: 04040447544	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	9.83	0.00	9.83	95.0	9.34
10/01/2018	***-**-60CL - KALINOWSKI, ACCOUNT #: 05053804836	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	10.03	0.00	10.03	95.0	9.53
10/01/2018	***-**-60CL - KALINOWSKI, ACCOUNT #: 05053805049	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	3.70	0.00	3.70	95.0	3.52
10/01/2018	***-**-942I - LECHOWSKI, PIOTR ACCOUNT #: 05056164907	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	1.55	0.00	1.55	95.0	1.47
10/01/2018	***-**-74IN - KETCHUM, STEVEN ACCOUNT #: 03811119944	INVESCO AMERICAN VALUE FUND CL C BUY 0 Units @0.0000	0.00	9.20	0.00	9.20	95.0	8.74
10/01/2018	***-**-959P - HENNEKEY, ACCOUNT #: 02500011737	INVESCO EMERGING MARKETS EQTY FD-CL BUY 0 Units @0.0000	0.00	19.61	0.00	19.61	95.0	18.63
10/01/2018	***-**-59IR - HENNEKEY, ACCOUNT #: 02500013377	INVESCO EMERGING MARKETS EQTY FD-CL BUY 0 Units @0.0000	0.00	7.50	0.00	7.50	95.0	7.13



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/01/2018	***-**-35UG - COND, THOMAS	INVESCO SMALL CAP EQUITY FUND-CLASS	0.00	1.89	0.00	1.89	95.0	1.80
	ACCOUNT #: 03809012051	BUY 0 Units @0.0000						
10/01/2018	***-**-942I - LECHOWSKI, PIOTR	INVESCO SMALL CAP EQUITY FUND-CLASS	0.00	10.64	0.00	10.64	95.0	10.11
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
10/01/2018	***-**-400P - PIGNONE, LIDIA	INVESCO SUMMIT FUND - CLASS C	0.00	5.68	0.00	5.68	95.0	5.40
	ACCOUNT #: 02500021797	BUY 0 Units @0.0000						
10/01/2018	***-**-942I - LECHOWSKI, PIOTR	INVESCO VAN KAMPEN VALUE OPP CLASS	0.00	7.50	0.00	7.50	95.0	7.13
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
10/01/2018	***-**-44IE - WASSEM, CAROLYN	IVK COMSTOCK FUND - CLASS C	0.00	3.56	0.00	3.56	95.0	3.38
	ACCOUNT #: 03809012069	BUY 0 Units @0.0000						
10/01/2018	***-**-52IR - WASSEM, HEATH	IVK COMSTOCK FUND - CLASS C	0.00	21.37	0.00	21.37	95.0	20.30
	ACCOUNT #: 03810631782	BUY 0 Units @0.0000						
10/01/2018	***-**-9648 - WALSH, LORI	IVK SMALL CAP GROWTH FUND - CLASS C	0.00	1.82	0.00	1.82	95.0	1.73
	ACCOUNT #: 03810570998	BUY 0 Units @0.0000						
10/01/2018	***-**-498K - INDELICATO,	IVK VALUE OPPORTUNITIES FUND -CLASS	0.00	7.20	0.00	7.20	95.0	6.84
	ACCOUNT #: 00777153759	BUY 0 Units @0.0000						
10/01/2018	***-**-959P - HENNEKEY,	IVK VALUE OPPORTUNITIES FUND -CLASS	0.00	5.33	0.00	5.33	95.0	5.06
	ACCOUNT #: 02500011737	BUY 0 Units @0.0000						
10/01/2018	***-**-74IN - KETCHUM, STEVEN	IVK VALUE OPPORTUNITIES FUND -CLASS	0.00	5.35	0.00	5.35	95.0	5.08
	ACCOUNT #: 03811119944	BUY 0 Units @0.0000						
10/12/2018	***-**-428J - MYKINS, RONALD	JOHN HANCOCK NEW OPPORTUNITIES CL A	0.00	0.91	0.00	0.91	95.0	0.86
	ACCOUNT #: 00008994438	BUY 0 Units @0.0000						
10/12/2018	***-**-355I - CHRISTENSEN,	JOHN HANCOCK NEW OPPORTUNITIES CL A	0.00	0.18	0.00	0.18	95.0	0.17
	ACCOUNT #: 00777230696	BUY 0 Units @0.0000						
10/12/2018	***-**-355I - CHRISTENSEN,	LARGE CAP EQUITY A	0.00	0.11	0.00	0.11	95.0	0.10
	ACCOUNT #: 00777230400	BUY 0 Units @0.0000						
10/22/2018	***-**-588I - KELLOGG, THERESA	NATIXIS FUNDS TRAILS	0.00	1.22	0.00	1.22	95.0	1.16
		BUY 0 Units @0.0000						
10/22/2018	***-**-53AK - SUPERIOR	QUALIFIED PLAN SUMMARY	0.00	4.04	0.00	4.04	95.0	3.84
		BUY 0 Units @0.0000						
10/01/2018	***-**-5498 - INDELICATO,	VAN KAMPEN7	0.00	3.76	0.00	3.76	95.0	3.57
	ACCOUNT #: 00777159873	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/01/2018	***-**-400P - PIGNONE, LIDIA	VAN KAMPEN7	0.00	5.40	0.00	5.40	95.0	5.13
	ACCOUNT #: 02500021797	BUY 0 Units @0.0000						
10/01/2018	***-**-74IR - KETCHUM, STEVEN	VAN KAMPEN7	0.00	23.54	0.00	23.54	95.0	22.36
	ACCOUNT #: 03810411342	BUY 0 Units @0.0000						
10/01/2018	***-**-97IE - GENNARINO,	VAN KAMPEN7	0.00	0.36	0.00	0.36	95.0	0.34
	ACCOUNT #: 03910509201	BUY 0 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$509.10</b>	<b>\$0.00</b>	<b>\$509.10</b>		<b>\$483.73</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$298,954.74</b>	<b>\$547.71</b>	<b>\$0.00</b>	<b>\$547.71</b>		<b>\$520.42</b>

### VERRIDE TRANSACTIONS

#### BROKER: RICHARD BIRNS

10/01/2018	***-**-098P - TOKAR, STEPHANIE	AIM CHARTER FUND - CLASS A	0.00	4.53	0.00	4.53	20.0	0.91
	ACCOUNT #: 04027919598	BUY 0 Units @0.0000						
10/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHARTER FUND - CLASS A	0.00	16.70	0.00	16.70	20.0	3.34
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
10/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHINA FUND - CLASS A	0.00	13.43	0.00	13.43	20.0	2.69
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
10/01/2018	***-**-712I - BIRNS, BONNIE	AIM GLOBAL AGGRESSIVE GROWTH FUND C	0.00	13.91	0.00	13.91	20.0	2.78
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
10/01/2018	***-**-712I - BIRNS, BONNIE	AIM UTILITIES FUND - CLASS A	0.00	17.69	0.00	17.69	20.0	3.54
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
10/22/2018	***-**-31UG - GIFT MIN ACT NY,	COLUMBIA MF TRAILS	0.00	2.30	0.00	2.30	20.0	0.46
		BUY 0 Units @0.0000						
10/01/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	0.00	1.75	0.00	1.75	20.0	0.35
	ACCOUNT #: 00000647924	BUY 0 Units @0.0000						
10/01/2018	***-**-68IN - BIRNS, RICHARD	HARTFORD CAPITAL APPRECIATION FUND	0.00	15.44	0.00	15.44	20.0	3.09
	ACCOUNT #: 00022050066	BUY 0 Units @0.0000						
10/01/2018	***-**-712I - BIRNS, BONNIE	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	18.61	0.00	18.61	20.0	3.72
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
10/18/2018	***-**-5434 - JONES, THOMAS	LINCOLN 008148728	1,278.00	25.56	0.00	25.56	20.0	5.11
	ACCOUNT #: F1518903	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: RICHARD BIRNS (continued) </u></b>								
10/01/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	1.31	0.00	1.31	20.0	0.26
10/01/2018	***-**-447P - BIRNS, PHYLLIS ACCOUNT #: 00000700389	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	2.77	0.00	2.77	20.0	0.55
10/01/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	22.97	0.00	22.97	20.0	4.59
10/01/2018	***-**-85IN - SEAMAN, ACCOUNT #: 00022087686	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	1.48	0.00	1.48	20.0	0.30
10/01/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD DIVIDEND & GROWTH FUND BUY 0 Units @0.0000	0.00	9.73	0.00	9.73	20.0	1.95
10/01/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD GROWTH OPPORTUNITIES F BUY 0 Units @0.0000	0.00	3.07	0.00	3.07	20.0	0.61
10/01/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD INTL CAPITAL APP. FUND BUY 0 Units @0.0000	0.00	1.14	0.00	1.14	20.0	0.23
10/01/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD INTL OPPORTUNITIES FD- BUY 0 Units @0.0000	0.00	12.67	0.00	12.67	20.0	2.53
10/01/2018	***-**-68IN - BIRNS, RICHARD ACCOUNT #: 00022050066	THE HARTFORD MID CAP FUND-A BUY 0 Units @0.0000	0.00	23.39	0.00	23.39	20.0	4.68
10/01/2018	***-**-192I - BIRNS, DAVID ACCOUNT #: 00000647924	THE HARTFORD SMALL CAP GROWTH FD-A BUY 0 Units @0.0000	0.00	2.78	0.00	2.78	20.0	0.56
<b>* RICHARD BIRNS SUBTOTAL *</b>			<b>\$1,278.00</b>	<b>\$211.23</b>	<b>\$0.00</b>	<b>\$211.23</b>		<b>\$42.25</b>
<b><u> BROKER: BARRY BRESIN </u></b>								
10/01/2018	***-**-805P - HALM, MATILDA ACCOUNT #: 01001312723	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	91.28	0.00	91.28	15.0	13.69
10/01/2018	***-**-805P - HALM, MATILDA ACCOUNT #: 01001312723	AIM MID-CAP EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	14.30	0.00	14.30	15.0	2.15
10/22/2018	***-**-21IN - BRESIN, EMMA ACCOUNT #: 7200036096	SAMMONS LIVEWELL MUTUAL FUND BUY 0 Units @0.0000	0.00	196.45	0.00	196.45	15.0	29.47
10/22/2018	***-**-939I - BRESIN, HOWARD ACCOUNT #: 7200036177	SAMMONS LIVEWELL MUTUAL FUND BUY 0 Units @0.0000	0.00	332.84	0.00	332.84	15.0	49.93
<b>* BARRY BRESIN SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$634.87</b>	<b>\$0.00</b>	<b>\$634.87</b>		<b>\$95.24</b>





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA</u></b>								
10/01/2018	***-**-397P - COTTONE, MARIA	AIM CHARTER FUND - CLASS A	0.00	4.71	0.00	4.71	10.0	0.47
	ACCOUNT #: 01000005000	BUY 0 Units @0.0000						
10/01/2018	***-**-88IR - KUBIAK, COLLEEN	AIM CHARTER FUND - CLASS A	0.00	1.42	0.00	1.42	10.0	0.14
	ACCOUNT #: 01000005154	BUY 0 Units @0.0000						
10/15/2018	***-**-195P - HECHT, ANDREW	AMERICAN BALANCED FUND-529A	200.00	10.00	0.00	10.00	10.0	1.00
	ACCOUNT #: 00068453142	BUY 7 Units @28.6300						
10/15/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198137	BUY 2 Units @26.9800						
10/15/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198121	BUY 2 Units @26.9800						
10/15/2018	***-**-395P - DIVASTA, ANTHONY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	10.0	0.19
	ACCOUNT #: 00059597416	BUY 2 Units @28.3000						
10/15/2018	***-**-535P - DELGAIZO,	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	10.0	0.21
	ACCOUNT #: 00068454444	BUY 2 Units @28.4500						
10/15/2018	***-**-425P - DELGAIZO, LOUISA	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	10.0	0.21
	ACCOUNT #: 00068454445	BUY 2 Units @28.4500						
10/18/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 1 Units @27.0900						
10/18/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 1 Units @27.0900						
10/18/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @27.0900						
10/18/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @27.0900						
10/15/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @26.8500						
10/15/2018	***-**-36IN - SILLUZIO, THOMAS	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00068088908	BUY 2 Units @26.8500						
10/15/2018	***-**-315P - SILLUZIO, JUSTIN	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00068803650	BUY 2 Units @26.8500						
10/15/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087429936	BUY 2 Units @26.8500						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/15/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @26.8500	40.00	0.40	0.00	0.40	10.0	0.04
10/15/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @26.8500	12.00	0.12	0.00	0.12	10.0	0.01
10/15/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 6 Units @26.8500	160.00	1.60	0.00	1.60	10.0	0.16
10/15/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @26.8500	20.47	0.20	0.00	0.20	10.0	0.02
10/18/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @26.9000	28.05	0.28	0.00	0.28	10.0	0.03
10/18/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @26.9000	6.00	0.06	0.00	0.06	10.0	0.01
10/18/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 1 Units @26.9000	16.00	0.16	0.00	0.16	10.0	0.02
10/18/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 0 Units @26.9000	4.77	0.05	0.00	0.05	10.0	0.01
10/19/2018	***-**-3834 - SWARTWOUT, ACCOUNT #: 00089957234	AMERICAN BALANCED FUND-C BUY 2 Units @26.8700	50.00	0.50	0.00	0.50	10.0	0.05
10/19/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @26.8700	12.00	0.12	0.00	0.12	10.0	0.01
10/19/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 6 Units @26.8700	160.00	1.60	0.00	1.60	10.0	0.16
10/18/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 1 Units @18.4600	9.32	0.09	0.00	0.09	10.0	0.01
10/18/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 3 Units @18.4600	55.92	0.56	0.00	0.56	10.0	0.06
10/18/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.1600	4.55	0.05	0.00	0.05	10.0	0.01
10/18/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.1600	105.00	1.05	0.00	1.05	10.0	0.11
10/18/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	AMERICAN MUTUAL FUND-A BUY 1 Units @41.5400	30.00	0.30	0.00	0.30	10.0	0.03



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/18/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @41.5400						
10/18/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	600.00	6.00	0.00	6.00	10.0	0.60
	ACCOUNT #: 00066759711	BUY 14 Units @41.5400						
10/18/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	561.68	5.62	0.00	5.62	10.0	0.56
	ACCOUNT #: 00066759711	BUY 14 Units @41.5400						
10/15/2018	***-**-01UG - DIGIOVANNI,	AMERICAN MUTUAL FUND-C	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00087087389	BUY 4 Units @40.7000						
10/15/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @40.7000						
10/18/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @40.9300						
10/01/2018	***-**-772I - KERHAERT,	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 03222178044	BUY 0 Units @0.0000						
10/02/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION C	64.02	0.64	0.00	0.64	10.0	0.06
	ACCOUNT #: 03222325444	BUY 0 Units @0.0000						
10/04/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
10/04/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	68.00	0.68	0.00	0.68	10.0	0.07
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						
10/04/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
10/12/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
10/12/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	68.00	0.68	0.00	0.68	10.0	0.07
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						
10/12/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
10/15/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00089045192	BUY 1 Units @47.6700						
10/15/2018	***-**-01UG - DIGIOVANNI,	CAPITAL WORLD GROWTH AND INCOME FUN	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00087087389	BUY 3 Units @47.6700						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/18/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00066758344	BUY 0 Units @48.1000						
10/18/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00066758344	BUY 0 Units @48.1000						
10/18/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	10.0	0.10
	ACCOUNT #: 00087038420	BUY 2 Units @47.5700						
10/15/2018	***-**-385P - ARBORE, TAYLER	CAPITAL WORLD GROWTH AND INCOME-529	50.00	2.13	0.00	2.13	10.0	0.21
	ACCOUNT #: 00081282910	BUY 1 Units @50.5600						
10/15/2018	***-**-385P - ARBORE, TAYLER	CAPITAL WORLD GROWTH AND INCOME-529	50.00	2.13	0.00	2.13	10.0	0.21
	ACCOUNT #: 00081283006	BUY 1 Units @50.5600						
10/22/2018	***-**-540J - ARBORE, MARIA	COLUMBIA MF TRAILS	0.00	2.20	0.00	2.20	10.0	0.22
		BUY 0 Units @0.0000						
10/22/2018	***-**-07IN - SCARPULLA,	COLUMBIA MF TRAILS	0.00	15.23	0.00	15.23	10.0	1.52
		BUY 0 Units @0.0000						
10/22/2018	***-**-264I - SIDOTI, LAURA	EATON VANCE MF TRAILS	0.00	2.80	0.00	2.80	10.0	0.28
	ACCOUNT #: 0104134960	BUY 0 Units @0.0000						
10/22/2018	***-**-96CL - SCARPULLA,	EATON VANCE MF TRAILS	0.00	1.97	0.00	1.97	10.0	0.20
	ACCOUNT #: 5054692727	BUY 0 Units @0.0000						
10/22/2018	***-**-96CL - SCARPULLA,	EATON VANCE MF TRAILS	0.00	4.26	0.00	4.26	10.0	0.43
	ACCOUNT #: 5054692727	BUY 0 Units @0.0000						
10/04/2018	***-**-85IN - MAZZOLA, BARBARA	EMERGING MARKETS INNOVATORS FUND C	7.50	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00100051019	BUY 0 Units @0.0000						
10/12/2018	***-**-85IN - MAZZOLA, BARBARA	EMERGING MARKETS INNOVATORS FUND C	7.50	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00100051019	BUY 0 Units @0.0000						
10/02/2018	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. C	48.01	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 08370596090	BUY 0 Units @0.0000						
10/02/2018	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 08370627385	BUY 0 Units @0.0000						
10/15/2018	***-**-43IN - BISHOP, EVELYN	EUROPACIFIC GROWTH FUND CLASS C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000849605	BUY 1 Units @47.8000						
10/18/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00066759710	BUY 0 Units @61.9100						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/18/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00066759710	BUY 0 Units @61.9100						
10/15/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @61.3900						
10/15/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089051066	BUY 1 Units @61.3900						
10/15/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @61.3900						
10/18/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @61.5600						
10/18/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	7.00	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @61.5600						
10/18/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @61.5600						
10/19/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089051066	BUY 1 Units @61.5300						
10/19/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @61.5300						
10/02/2018	***-**-90FB - DIODATO, CAROL	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
10/02/2018	***-**-2620 - CUSIMANO, MEGAN	GLOBAL OPPORTUNITIES FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02171800557	BUY 0 Units @0.0000						
10/02/2018	***-**-729I - GIAMBRONE, KELLY	GLOBAL OPPORTUNITIES FUND C	80.02	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 02171875445	BUY 0 Units @0.0000						
10/02/2018	***-**-9530 - MILAM, IAN	GLOBAL OPPORTUNITIES FUND C	37.50	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 02171914814	BUY 0 Units @0.0000						
10/04/2018	***-**-85IN - MAZZOLA, BARBARA	GLOBAL OPPORTUNITIES FUND C	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 02171893331	BUY 0 Units @0.0000						
10/04/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						
10/12/2018	***-**-85IN - MAZZOLA, BARBARA	GLOBAL OPPORTUNITIES FUND C	15.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 02171893331	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
10/12/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						
10/15/2018	***-**-90FB - DIODATO, CAROL	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
10/18/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00087236607	BUY 2 Units @22.2100						
10/01/2018	***-**-290I - SAWDEY, MARILYN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	7.38	0.00	7.38	10.0	0.74
	ACCOUNT #: 04400053047	BUY 0 Units @0.0000						
10/01/2018	***-**-0008 - COZZO, LUIGI	INVESCO DIVERSIFIED DIVIDEND INVEST	0.00	23.12	0.00	23.12	10.0	2.31
	ACCOUNT #: 00009759201	BUY 0 Units @0.0000						
10/15/2018	***-**-564I - CARNEY, BARBARA	INVESTMENT COMPANY OF AMERICA CLASS	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089563161	BUY 0 Units @39.6700						
10/15/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	19.86	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089583477	BUY 1 Units @39.6700						
10/15/2018	***-**-0578 - DIODATO, ZACHARY	INVESTMENT COMPANY OF AMERICA CLASS	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000618224	BUY 1 Units @39.6700						
10/15/2018	***-**-4232 - DIODATO, MELISSA	INVESTMENT COMPANY OF AMERICA CLASS	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000618245	BUY 1 Units @39.6700						
10/18/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @39.7500						
10/01/2018	***-**-39IN - ARBORE, MARIA	IVK GROWTH AND INCOME FUND - CLASS	0.00	37.39	0.00	37.39	10.0	3.74
	ACCOUNT #: 01001181454	BUY 0 Units @0.0000						
10/02/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	80.02	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						
10/02/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
10/02/2018	***-**-2620 - CUSIMANO, MEGAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
10/02/2018	***-**-9530 - MILAM, IAN	MAIN STREET FUND C	75.00	0.75	0.00	0.75	10.0	0.08
	ACCOUNT #: 07024527061	BUY 0 Units @0.0000						
10/04/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
10/04/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	66.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
10/04/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
10/12/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	66.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
10/12/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
10/15/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
10/15/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
10/15/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @41.4600						
10/15/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089051066	BUY 2 Units @41.4600						
10/18/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 1 Units @41.5500						
10/18/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	8.17	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @41.5500						
10/18/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 1 Units @41.5500						
10/19/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089051066	BUY 2 Units @41.5000						
10/19/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @41.5000						
10/18/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @57.5600						
10/18/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @57.5600						
10/18/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	8.17	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @57.5600						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
10/18/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @57.5600						
10/01/2018	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD C	400.00	4.00	0.00	4.00	10.0	0.40
	ACCOUNT #: 06670037664	BUY 0 Units @0.0000						
10/01/2018	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 06670037675	BUY 0 Units @0.0000						
10/01/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD C	180.00	1.80	0.00	1.80	10.0	0.18
	ACCOUNT #: 06670037686	BUY 0 Units @0.0000						
10/04/2018	***-**-3407 - SUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
10/04/2018	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
10/12/2018	***-**-3407 - SUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
10/12/2018	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
10/04/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER CORP BOND FND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00100067156	BUY 0 Units @0.0000						
10/12/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER CORP BOND FND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00100067156	BUY 0 Units @0.0000						
10/04/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	66.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
10/12/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	66.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
10/04/2018	***-**-85IN - MAZZOLA, BARBARA	OPPENHEIMER INTERNATIONAL DIVERSIFI	7.50	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 01971104114	BUY 0 Units @0.0000						
10/12/2018	***-**-85IN - MAZZOLA, BARBARA	OPPENHEIMER INTERNATIONAL DIVERSIFI	7.50	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 01971104114	BUY 0 Units @0.0000						
10/02/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	48.02	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
10/02/2018	***-**-541P - SCHILLACI, AMY	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						





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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/02/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 02270934318	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	125.00	1.25	0.00	1.25	10.0	0.13
10/02/2018	***-**-655P - DAVIS, BERTHA ACCOUNT #: 02271237808	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
10/04/2018	***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02271217095	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
10/04/2018	***-**-6836 - SMITH, ADRIENNE ACCOUNT #: 02271182830	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
10/12/2018	***-**-6836 - SMITH, ADRIENNE ACCOUNT #: 02271182830	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
10/15/2018	***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02271217095	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
10/01/2018	***-**-772I - KERHAERT, ACCOUNT #: 02592262304	QUEST BALANCED FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
10/02/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 02592292741	QUEST BALANCED FUND C BUY 0 Units @0.0000	250.00	2.50	0.00	2.50	10.0	0.25
10/04/2018	***-**-8706 - BOSCO, REN ACCOUNT #: 02590094105	QUEST BALANCED FUND C BUY 0 Units @0.0000	500.00	5.00	0.00	5.00	10.0	0.50
10/02/2018	***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 05920400103	REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
10/02/2018	***-**-9530 - MILAM, IAN ACCOUNT #: 05920429869	REAL ESTATE FUND C BUY 0 Units @0.0000	37.50	0.38	0.00	0.38	10.0	0.04
10/04/2018	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 05920398266	REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
10/12/2018	***-**-7330 - JOHNSON, DONALD ACCOUNT #: 05920398266	REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
10/04/2018	***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02531288969	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
10/04/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 02531162106	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	20.00	0.20	0.00	0.20	10.0	0.02
10/12/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 02531162106	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	20.00	0.20	0.00	0.20	10.0	0.02



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/15/2018	***-**-4980 - MOYER, COLLEEN	SMALL- & MID- CAP VALUE FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02531288969	BUY 0 Units @0.0000						
10/15/2018	***-**-43IN - BISHOP, EVELYN	SMALLCAP WORLD FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000849605	BUY 1 Units @48.3300						
10/15/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089051066	BUY 2 Units @48.3300						
10/15/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @48.3300						
10/18/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @48.5700						
10/19/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089051066	BUY 2 Units @48.1600						
10/19/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @48.1600						
10/02/2018	***-**-1314 - BENEDETTO,	STRATEGIC INCOME FUND C	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 02322751089	BUY 0 Units @0.0000						
10/04/2018	***-**-1834 - BUTLER, KIM	STRATEGIC INCOME FUND C	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 01920863291	BUY 0 Units @0.0000						
10/12/2018	***-**-1834 - BUTLER, KIM	STRATEGIC INCOME FUND C	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 01920863291	BUY 0 Units @0.0000						
10/18/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 2 Units @12.3700						
10/18/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085904181	BUY 1 Units @12.3700						
10/15/2018	***-**-415P - SCHILLACI, AMY	THE GROWTH FUND OF AMERICA-529C	75.00	0.75	0.00	0.75	10.0	0.08
	ACCOUNT #: 00081268733	BUY 2 Units @48.8000						
10/18/2018	***-**-195P - OZMINKOWSKI,	THE GROWTH FUND OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00066758342	BUY 5 Units @53.0500						
10/18/2018	***-**-195P - OZMINKOWSKI,	THE GROWTH FUND OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00066758342	BUY 5 Units @53.0500						
10/18/2018	***-**-405P - FRISA, ALAN	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758344	BUY 1 Units @53.0500						



# COMMISSION STATEMENT

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BROKER #: 20  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/18/2018	***-**-405P - FRISA, ALAN	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758344	BUY 1 Units @53.0500						
10/18/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @53.0500						
10/18/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @53.0500						
10/18/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @53.0500						
10/18/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @53.0500						
10/18/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	60.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00074922243	BUY 1 Units @53.0500						
10/18/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	60.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00074922243	BUY 1 Units @53.0500						
10/18/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	70.31	0.70	0.00	0.70	10.0	0.07
	ACCOUNT #: 00083414110	BUY 1 Units @53.0500						
10/18/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	80.87	0.81	0.00	0.81	10.0	0.08
	ACCOUNT #: 00083414110	BUY 2 Units @53.0500						
10/18/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00087318332	BUY 0 Units @53.0500						
10/18/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00087318332	BUY 0 Units @53.0500						
10/18/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @53.0500						
10/18/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @53.0500						
10/15/2018	***-**-3431 - SPENCER,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 04000347049	BUY 2 Units @48.6600						
10/15/2018	***-**-845P - MARTHALLER,	THE GROWTH FUND OF AMERICA-C	60.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00087023930	BUY 1 Units @48.6600						
10/15/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00089045192	BUY 1 Units @48.6600						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/15/2018	***-**-482I - MARCONI, TODD	THE GROWTH FUND OF AMERICA-C	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @48.6600						
10/15/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	19.87	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @48.6600						
10/18/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @48.9000						
10/15/2018	***-**-395P - DIVASTA, ANTHONY	THE INVESTMENT COMPANY OF AMERICA-A	50.00	1.88	0.00	1.88	10.0	0.19
	ACCOUNT #: 00059597416	BUY 1 Units @41.9900						
10/18/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00066758342	BUY 6 Units @40.1900						
10/18/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00066758342	BUY 6 Units @40.1900						
10/18/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @40.1900						
10/18/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @40.1900						
10/18/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 0 Units @40.1900						
10/18/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 0 Units @40.1900						
10/17/2018	***-**-9024 - HACKETT, ETHAN	THE NEW ECONOMY FUND-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00088123299	BUY 1 Units @41.9700						
10/15/2018	***-**-897J - GUERRIERI,	THE TAX-EXEMPT BOND FUND OF AMERICA	16,000.00	160.00	0.00	160.00	10.0	16.00
		BUY 0 Units @0.0000						
10/15/2018	***-**-8932 - RUSH, MICHELLE	THE TAX-EXEMPT BOND FUND OF AMERICA	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000574835	BUY 4 Units @12.5900						
10/18/2018	***-**-279J - HERRMANN, KEVIN	THE TAX-EXEMPT BOND FUND OF AMERICA	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 00086046167	BUY 10 Units @12.5900						
10/22/2018	***-**-69IN - BUCK, LESLIE	TOUCHSTONE TRAILS	0.00	3.46	0.00	3.46	10.0	0.35
		BUY 0 Units @0.0000						
10/18/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 00066758345	BUY 11 Units @44.9700						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
10/18/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 00066758345	BUY 11 Units @44.9700						
10/15/2018	***-**-482I - MARCONI, TODD	WASHINGTON MUTUAL INVESTORS FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @44.1600						
10/15/2018	***-**-436I - RAGO, LISA	WASHINGTON MUTUAL INVESTORS FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000456708	BUY 1 Units @44.1600						
		<b> * FREDERIC SCARPULLA SUBTOTAL * </b>	<b> \$28,143.05 </b>	<b> \$402.67 </b>	<b> \$0.00 </b>	<b> \$402.67 </b>		<b> \$40.50 </b>
<b> <u>BROKER: WILLIAM AGNELLO</u> </b>								
10/23/2018	***-**-36FB - IRWIN, CHARLES	GPS ACCUMULATION, PROFILE 3, MODERA	156,811.81	395.17	0.00	395.17	15.0	59.28
	ACCOUNT #: 3128048	BUY 0 Units @1568.1181						
10/17/2018	***-**-43IN - CUP, NICHOLAS	PEOPLES UTD FINL INC UNSOLICITED OR	1,633.80	37.00	0.00	37.00	25.0	9.25
	ACCOUNT #: LSR006890	BUY 100 Units @16.3380						
10/17/2018	***-**-43IN - CUP, NICHOLAS	VERIZON COMMUNICATIONS UNSOLICITED	5,408.00	37.00	0.00	37.00	25.0	9.25
	ACCOUNT #: LSR006890	BUY 100 Units @54.0800						
		<b> * WILLIAM AGNELLO SUBTOTAL * </b>	<b> \$163,853.61 </b>	<b> \$469.17 </b>	<b> \$0.00 </b>	<b> \$469.17 </b>		<b> \$77.78 </b>
<b> <u>BROKER: JAMES LOMBARDO</u> </b>								
10/01/2018	***-**-51IR - HOKE, THOMAS	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	2.47	0.00	2.47	15.0	0.37
	ACCOUNT #: 03809514965	BUY 0 Units @0.0000						
10/15/2018	***-**-8238 - ASMUS, MICHAEL	AMERICAN BALANCED FUND-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00074487927	BUY 3 Units @28.3000						
10/15/2018	***-**-8806 - MABRY, REBECCA	CAPITAL INCOME BUILDER-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00082729374	BUY 1 Units @61.2000						
10/15/2018	***-**-8806 - MABRY, REBECCA	EUROPACIFIC GROWTH FUND-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00082729374	BUY 1 Units @51.5100						
10/01/2018	***-**-0683 - DAVIS, SHARON	HARTFORD INFLATION PLUS FUND CLASS	0.00	18.93	0.00	18.93	15.0	2.84
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
10/01/2018	***-**-5506 - LOMBARDO, LEIGH	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	27.12	0.00	27.12	15.0	4.07
	ACCOUNT #: 03809219276	BUY 0 Units @0.0000						
10/01/2018	***-**-6195 - BACKUS, THOMAS	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	10.48	0.00	10.48	15.0	1.57
	ACCOUNT #: 03908954377	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: JAMES LOMBARDO (continued)</u></b>								
10/01/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD ADVISERS FUND-C	0.00	16.65	0.00	16.65	15.0	2.50
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
10/01/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	22.07	0.00	22.07	15.0	3.31
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
10/15/2018	***-**-8238 - ASMUS, MICHAEL	THE INVESTMENT COMPANY OF AMERICA-A	140.00	5.25	0.00	5.25	15.0	0.79
	ACCOUNT #: 00074487927	BUY 3 Units @41.9900						
10/01/2018	***-**-5506 - LOMBARDO, LEIGH	VAN KAMPEN3	0.00	8.28	0.00	8.28	15.0	1.24
	ACCOUNT #: 03809219276	BUY 0 Units @0.0000						
* JAMES LOMBARDO SUBTOTAL *			\$365.00	\$119.68	\$0.00	\$119.68		\$17.95
*** OVERRIDE TRANSACTIONS TOTAL ***			\$193,639.66	\$1,837.62	\$0.00	\$1,837.62		\$273.72

## **BROKER COMMISSION TOTALS**

Broker Transactions	\$520.42
Split Transactions	\$0.00
Override Transactions	\$273.72
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	\$794.14
Year-to-date Earnings	\$100,049.49