



COMMISSION STATEMENT

October 01, 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>								
09/24/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	178.00	2.14	0.00	2.14	80.0	1.71
	ACCOUNT #: 00063412117	BUY 5 Units @35.6000						
09/24/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	97.00	1.16	0.00	1.16	80.0	0.93
	ACCOUNT #: 00063451518	BUY 3 Units @35.6000						
09/24/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	80.0	0.46
	ACCOUNT #: 04000650661	BUY 2 Units @30.7500						
09/27/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	480.00	4.80	0.00	4.80	80.0	3.84
	ACCOUNT #: 04000409714	BUY 16 Units @30.8800						
09/27/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	15.80	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 04000409714	BUY 1 Units @30.8800						
09/24/2018	***-**-395P - DIVASTA, ANTHONY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00059597416	BUY 2 Units @29.2900						
09/28/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 1 Units @27.9300						
09/28/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	28.50	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00073798048	BUY 1 Units @27.9300						
09/28/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @27.9300						
09/28/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	18.91	0.19	0.00	0.19	80.0	0.15
	ACCOUNT #: 00089461113	BUY 1 Units @27.9300						
09/24/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	187.00	1.87	0.00	1.87	80.0	1.50
	ACCOUNT #: 00073003754	BUY 7 Units @27.8000						
09/24/2018	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	87.96	0.88	0.00	0.88	80.0	0.70
	ACCOUNT #: 00089244081	BUY 3 Units @27.8000						
09/24/2018	***-**-035S - CAPIZZI, TRACIE	AMERICAN BALANCED FUND-C	37.75	0.38	0.00	0.38	80.0	0.30
	ACCOUNT #: 00089679504	BUY 1 Units @27.8000						
09/25/2018	***-**-398I - GUERRIERI, PAUL	AMERICAN BALANCED FUND-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 00086040659	BUY 4 Units @27.7700						
09/25/2018	***-**-8208 - KARNS, SHANNON	AMERICAN BALANCED FUND-C	1,000.00	10.00	0.00	10.00	80.0	8.00
	ACCOUNT #: 04000886858	BUY 36 Units @27.7700						
09/26/2018	***-**-19IN - LIPPA, MARISSA	AMERICAN BALANCED FUND-C	149.99	1.50	3.00	-1.50	100.0	-1.50
	ACCOUNT #: LSR011011	BUY 5 Units @27.7100						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
09/27/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	3.63	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @27.7500						
09/27/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 1 Units @27.7500						
09/27/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904181	BUY 0 Units @27.7500						
09/27/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	1.87	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @27.7500						
09/27/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.61	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904210	BUY 0 Units @27.7500						
09/27/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00085904210	BUY 1 Units @27.7500						
09/27/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	44.17	0.44	0.00	0.44	80.0	0.35
	ACCOUNT #: 04000820464	BUY 2 Units @19.5100						
09/27/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	7.36	0.07	0.00	0.07	80.0	0.06
	ACCOUNT #: 04000820464	BUY 0 Units @19.5100						
09/27/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00087236607	BUY 0 Units @10.2500						
09/27/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	80.0	0.84
	ACCOUNT #: 00087236607	BUY 10 Units @10.2500						
09/28/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758347	BUY 1 Units @42.8400						
09/28/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	41.74	0.42	0.00	0.42	80.0	0.34
	ACCOUNT #: 00066758347	BUY 1 Units @42.8400						
09/28/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	600.00	6.00	0.00	6.00	80.0	4.80
	ACCOUNT #: 00066759711	BUY 14 Units @42.8400						
09/28/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	36.47	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00066759711	BUY 1 Units @42.8400						
09/24/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @42.3600						
09/27/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904181	BUY 0 Units @42.2000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
09/27/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	1.56	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @42.2000						
09/27/2018	***-**-6781 - KARNS, DANIELLE	AMERICAN MUTUAL FUND-C	28.52	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 04000409710	BUY 1 Units @42.2000						
09/27/2018	***-**-6781 - KARNS, DANIELLE	AMERICAN MUTUAL FUND-C	3.80	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 04000409710	BUY 0 Units @42.2000						
09/24/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	44.50	0.53	0.00	0.53	80.0	0.42
	ACCOUNT #: 00063412117	BUY 2 Units @19.5200						
09/24/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	24.25	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00063451518	BUY 1 Units @19.5200						
09/25/2018	***-**-398I - GUERRIERI, PAUL	CAPITAL WORLD BOND FUND-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 00086040659	BUY 5 Units @18.9000						
09/27/2018	***-**-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 @50.8500						
09/27/2018	***-**-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 @50.8500						
09/28/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00066758344	BUY 0 Units @51.1900						
09/28/2018	***-**-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 @51.1900						
09/24/2018	***-**-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	133.50	1.60	0.00	1.60	80.0	1.28
	ACCOUNT #: 00063412117	BUY 2 Units @53.8300						
09/24/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	72.75	0.87	0.00	0.87	80.0	0.70
	ACCOUNT #: 00063451518	BUY 1 Units @53.8300						
09/24/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	267.00	3.20	0.00	3.20	80.0	2.56
	ACCOUNT #: 00063412117	BUY 4 Units @66.4900						
09/24/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	145.50	1.75	0.00	1.75	80.0	1.40
	ACCOUNT #: 00063451518	BUY 2 Units @66.4900						
09/28/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00066759710	BUY 0 Units @65.3400						
09/28/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	70.44	0.70	0.00	0.70	80.0	0.56
	ACCOUNT #: 00066759710	BUY 1 Units @65.3400						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
09/24/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @65.1600						
09/25/2018	***-**-615P - LE, TU	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00075107985	BUY 2 Units @65.1400						
09/27/2018	***-**-172I - TABER, LISA	FUNDAMENTAL INVESTORS-C	2.40	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @65.1400						
09/27/2018	***-**-172I - TABER, LISA	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085902226	BUY 0 Units @65.1400						
09/27/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	2.20	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @65.1400						
09/27/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085904203	BUY 0 Units @65.1400						
09/27/2018	***-**-617I - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	53.00	0.53	0.00	0.53	80.0	0.42
	ACCOUNT #: 04000409801	BUY 1 Units @65.1400						
09/27/2018	***-**-617I - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	480.00	4.80	0.00	4.80	80.0	3.84
	ACCOUNT #: 04000409801	BUY 7 Units @65.1400						
09/27/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	1.95	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087236607	BUY 0 Units @22.9100						
09/27/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00087236607	BUY 2 Units @22.9100						
09/24/2018	***-**-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 @41.6600						
09/27/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	3.74	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @41.7000						
09/27/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00085902249	BUY 1 Units @41.7000						
09/27/2018	***-**-208I - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	1.15	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @41.7000						
09/27/2018	***-**-208I - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	4.00	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @41.7000						
09/27/2018	***-**-3727 - D'ANGELO, ANDREW	INVESTMENT COMPANY OF AMERICA CLASS	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 04000409699	BUY 0 Units @41.7000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
09/27/2018	***-**-3727 - D'ANGELO, ANDREW	INVESTMENT COMPANY OF AMERICA CLASS	13.75	0.14	0.00	0.14	80.0	0.11
	ACCOUNT #: 04000409699	BUY 0 Units @41.7000						
09/27/2018	***-**-6781 - KARNS, DANIELLE	INVESTMENT COMPANY OF AMERICA CLASS	28.53	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 04000409710	BUY 1 Units @41.7000						
09/27/2018	***-**-6781 - KARNS, DANIELLE	INVESTMENT COMPANY OF AMERICA CLASS	3.81	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 04000409710	BUY 0 Units @41.7000						
09/24/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	44.50	0.53	0.00	0.53	80.0	0.42
	ACCOUNT #: 00063412117	BUY 1 Units @47.5800						
09/24/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	24.25	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00063451518	BUY 1 Units @47.5800						
09/27/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @44.9800						
09/27/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085902226	BUY 0 Units @44.9800						
09/27/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @44.9800						
09/27/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @44.9800						
09/27/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	2.56	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @44.9800						
09/27/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @44.9800						
09/27/2018	***-**-1955 - MARCELLUS, JAMES	NEW PERSPECTIVE FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000409718	BUY 1 Units @44.9800						
09/27/2018	***-**-1955 - MARCELLUS, JAMES	NEW PERSPECTIVE FUND-C	23.08	0.23	0.00	0.23	80.0	0.18
	ACCOUNT #: 04000409718	BUY 1 Units @44.9800						
09/27/2018	***-**-9004 - MARCELLUS,	NEW PERSPECTIVE FUND-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 04000409785	BUY 2 Units @44.9800						
09/27/2018	***-**-9004 - MARCELLUS,	NEW PERSPECTIVE FUND-C	17.30	0.17	0.00	0.17	80.0	0.14
	ACCOUNT #: 04000409785	BUY 0 Units @44.9800						
09/25/2018	***-**-398I - GUERRIERI, PAUL	NEW WORLD FUND-C	150.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00086040659	BUY 2 Units @61.5400						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
09/27/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	NEW WORLD FUND-C BUY 1 Units @61.6600	48.20	0.48	0.00	0.48	80.0	0.38
09/27/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	NEW WORLD FUND-C BUY 0 Units @61.6600	1.80	0.02	0.00	0.02	80.0	0.02
09/27/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @61.6600	21.00	0.21	0.00	0.21	80.0	0.17
09/27/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @61.6600	2.56	0.03	0.00	0.03	80.0	0.02
09/27/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @61.6600	21.00	0.21	0.00	0.21	80.0	0.17
09/27/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @61.6600	2.80	0.03	0.00	0.03	80.0	0.02
09/27/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @52.6400	48.20	0.48	0.00	0.48	80.0	0.38
09/27/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 0 Units @52.6400	1.80	0.02	0.00	0.02	80.0	0.02
09/24/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 7 Units @12.6400	89.00	1.07	0.00	1.07	80.0	0.86
09/24/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 4 Units @12.6400	48.50	0.58	0.00	0.58	80.0	0.46
09/27/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 0 Units @12.4700	3.63	0.04	0.00	0.04	80.0	0.03
09/27/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.4700	28.05	0.28	0.00	0.28	80.0	0.22
09/27/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.4700	9.00	0.09	0.00	0.09	80.0	0.07
09/27/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 0 Units @12.4700	2.81	0.03	0.00	0.03	80.0	0.02
09/24/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE GROWTH FUND OF AMERICA-A BUY 2 Units @57.3400	133.50	1.60	0.00	1.60	80.0	1.28
09/24/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE GROWTH FUND OF AMERICA-A BUY 1 Units @57.3400	72.75	0.87	0.00	0.87	80.0	0.70



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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)								
09/28/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 4 Units @56.6900	250.00	2.50	0.00	2.50	80.0	2.00
09/28/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 2 Units @56.6900	87.07	0.87	0.00	0.87	80.0	0.70
09/28/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.6900	30.00	0.30	0.00	0.30	80.0	0.24
09/28/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.6900	35.95	0.36	0.00	0.36	80.0	0.29
09/28/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.6900	30.00	0.30	0.00	0.30	80.0	0.24
09/28/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.6900	41.75	0.42	0.00	0.42	80.0	0.34
09/28/2018	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.6900	50.00	0.50	0.00	0.50	80.0	0.40
09/28/2018	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.6900	36.10	0.36	0.00	0.36	80.0	0.29
09/28/2018	***-**-095P - RIVERA, MIGUEL ACCOUNT #: 00074922243	THE GROWTH FUND OF AMERICA-A BUY 2 Units @56.6900	130.00	1.30	0.00	1.30	80.0	1.04
09/28/2018	***-**-095P - RIVERA, MIGUEL ACCOUNT #: 00074922243	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.6900	50.03	0.50	0.00	0.50	80.0	0.40
09/28/2018	***-**-4750 - OSCHMANN, MARK ACCOUNT #: 00083414110	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.6900	69.50	0.70	0.00	0.70	80.0	0.56
09/28/2018	***-**-4750 - OSCHMANN, MARK ACCOUNT #: 00083414110	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.6900	78.79	0.79	0.00	0.79	80.0	0.63
09/28/2018	***-**-9447 - ZAJONCZKOSKI, ACCOUNT #: 00087318332	THE GROWTH FUND OF AMERICA-A BUY 0 Units @56.6900	20.00	0.20	0.00	0.20	80.0	0.16
09/28/2018	***-**-9447 - ZAJONCZKOSKI, ACCOUNT #: 00087318332	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.6900	58.36	0.58	0.00	0.58	80.0	0.46
09/28/2018	***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	THE GROWTH FUND OF AMERICA-A BUY 0 Units @56.6900	10.00	0.10	0.00	0.10	80.0	0.08
09/28/2018	***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	THE GROWTH FUND OF AMERICA-A BUY 0 Units @56.6900	18.90	0.19	0.00	0.19	80.0	0.15



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
09/28/2018	***-**-995P - ARBORE, CARL	THE GROWTH FUND OF AMERICA-A	50.00	1.38	0.00	1.38	80.0	1.10
	ACCOUNT #: 00081166789	BUY 1 Units @58.7500						
09/24/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	176.00	1.76	0.00	1.76	80.0	1.41
	ACCOUNT #: 00073003754	BUY 3 Units @52.0800						
09/24/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	55.97	0.56	0.00	0.56	80.0	0.45
	ACCOUNT #: 00089319958	BUY 1 Units @52.0800						
09/24/2018	***-**-482I - MARCONI, TODD	THE GROWTH FUND OF AMERICA-C	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089570936	BUY 0 Units @52.0800						
09/24/2018	***-**-0006 - FORSYTH, KATHRYN	THE GROWTH FUND OF AMERICA-C	86.54	0.87	0.00	0.87	80.0	0.70
	ACCOUNT #: 04000650661	BUY 2 Units @52.0800						
09/25/2018	***-**-7186 - VELLA, DOMENICO	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000248474	BUY 1 Units @52.1900						
09/25/2018	***-**-2678 - VELLA, VINCENZO	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000248491	BUY 1 Units @52.1900						
09/27/2018	***-**-6375 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 04000598159	BUY 0 Units @52.3700						
09/27/2018	***-**-6375 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	75.00	0.75	0.00	0.75	80.0	0.60
	ACCOUNT #: 04000598159	BUY 1 Units @52.3700						
09/27/2018	***-**-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 @52.3700						
09/27/2018	***-**-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 @52.3700						
09/27/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @52.3700						
09/27/2018	***-**-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 @52.3700						
09/27/2018	***-**-3727 - D'ANGELO, ANDREW	THE GROWTH FUND OF AMERICA-C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 04000409699	BUY 0 Units @52.3700						
09/27/2018	***-**-3727 - D'ANGELO, ANDREW	THE GROWTH FUND OF AMERICA-C	13.75	0.14	0.00	0.14	80.0	0.11
	ACCOUNT #: 04000409699	BUY 0 Units @52.3700						
09/27/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	480.00	4.80	0.00	4.80	80.0	3.84
	ACCOUNT #: 04000409714	BUY 9 Units @52.3700						



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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)								
09/27/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	15.80	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 04000409714	BUY 0 Units @52.3700						
09/27/2018	***-**-1955 - MARCELLUS, JAMES	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000409718	BUY 1 Units @52.3700						
09/27/2018	***-**-1955 - MARCELLUS, JAMES	THE GROWTH FUND OF AMERICA-C	23.08	0.23	0.00	0.23	80.0	0.18
	ACCOUNT #: 04000409718	BUY 0 Units @52.3700						
09/27/2018	***-**-9004 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 04000409785	BUY 2 Units @52.3700						
09/27/2018	***-**-9004 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	17.30	0.17	0.00	0.17	80.0	0.14
	ACCOUNT #: 04000409785	BUY 0 Units @52.3700						
09/27/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	53.00	0.53	0.00	0.53	80.0	0.42
	ACCOUNT #: 04000409801	BUY 1 Units @52.3700						
09/27/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	480.00	4.80	0.00	4.80	80.0	3.84
	ACCOUNT #: 04000409801	BUY 9 Units @52.3700						
09/28/2018	***-**-5945 - INFANTINO,	THE GROWTH FUND OF AMERICA-C	400.00	4.00	0.00	4.00	80.0	3.20
	ACCOUNT #: 04000722726	BUY 8 Units @52.2700						
09/24/2018	***-**-395P - DIVASTA, ANTHONY	THE INVESTMENT COMPANY OF AMERICA-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00059597416	BUY 1 Units @44.0700						
09/28/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00066758342	BUY 6 Units @42.1100						
09/28/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	87.07	0.87	0.00	0.87	80.0	0.70
	ACCOUNT #: 00066758342	BUY 2 Units @42.1100						
09/28/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00066758348	BUY 1 Units @42.1100						
09/28/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	36.09	0.36	0.00	0.36	80.0	0.29
	ACCOUNT #: 00066758348	BUY 1 Units @42.1100						
09/28/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 0 Units @42.1100						
09/28/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	28.49	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00073798048	BUY 1 Units @42.1100						
09/28/2018	***-**-278J - GUERRIERI, JOHN	THE TAX-EXEMPT BOND FUND OF AMERICA	2,000.00	20.00	0.00	20.00	80.0	16.00
	ACCOUNT #: 00084395514	BUY 157 Units @12.7000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
09/28/2018	***-**-51IN - GUERRIERI, KIM	THE TAX-EXEMPT BOND FUND OF AMERICA	1,000.00	10.00	0.00	10.00	80.0	8.00
	ACCOUNT #: 00085399151	BUY 79 Units @12.7000						
09/28/2018	***-**-75UG - GUERRIERI, SOFIA	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00085399166	BUY 20 Units @12.7000						
09/28/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00066758345	BUY 11 Units @46.7100						
09/28/2018	***-**-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 @46.7100						
09/24/2018	***-**-435P - BOSCO, SOFIA	WASHINGTON MUTUAL INVESTORS FUND-C	187.00	1.87	0.00	1.87	80.0	1.50
	ACCOUNT #: 00073003754	BUY 4 Units @46.3800						
09/24/2018	***-**-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 @46.3800						
09/25/2018	***-**-398I - GUERRIERI, PAUL	WASHINGTON MUTUAL INVESTORS FUND-C	150.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00086040659	BUY 3 Units @46.2500						
* MUTUAL FUNDS SUBTOTAL *			\$14,468.02	\$151.12	\$3.00	\$148.12		\$118.14
PRODUCT CATEGORY: 529 PLAN								
09/25/2018	***-**-643I - BOSCO, GIULIO	AMERICAN BALANCED FUND-529C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 00089514602	BUY 4 Units @27.9000						
09/25/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-529C	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00067522496	BUY 9 Units @27.9000						
09/28/2018	***-**-3758 - CONNORS, DAVID	NY 529 ADDITIONAL DEPOSIT	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 77162702001	BUY 0 Units @0.0000						
09/28/2018	***-**-80IN - MOYER, COLLEEN	NY 529 ADDITIONAL DEPOSIT	50.00	1.52	0.00	1.52	80.0	1.22
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
09/28/2018	***-**-275P - ROBERTS,	NY 529 ADDITIONAL DEPOSIT	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 77891325801	BUY 0 Units @0.0000						
09/28/2018	***-**-6793 - ESTEP, ARDEN	NY 529 ADDITIONAL DEPOSIT	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 77375699601	BUY 0 Units @0.0000						
09/28/2018	***-**-335P - JULIAN, GIOVANA	NY 529 ADDITIONAL DEPOSIT	226.25	2.27	0.00	2.27	80.0	1.82
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$726.25	\$8.29	\$0.00	\$8.29		\$6.64



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<div>ADJUSTMENTS (continued)</div> <div>*** BROKER TRANSACTIONS TOTAL ***</div> <div>\$15,194.27</div> <div>\$159.41</div> <div>\$3.00</div> <div>\$156.41</div> <div>\$124.78</div>								
<div>BROKER COMMISSION TOTALS</div> <div>Broker Transactions</div> <div>\$124.78</div> <div>Split Transactions</div> <div>\$0.00</div> <div>Override Transactions</div> <div>\$0.00</div> <div>Adjustments</div> <div>\$0.00</div> <div>Payroll Draw</div> <div>\$0.00</div> <div>Base Salary</div> <div>\$0.00</div> <div>Prior Period Balance</div> <div>\$0.00</div> <div>FINRA Assessment</div> <div>\$0.00</div> <div>SIPC Assessment</div> <div>\$0.00</div>								
<div>Net Commission Earned</div> <div>\$124.78</div> <div>Year-to-date Earnings</div> <div>\$173,753.26</div>								