



# COMMISSION STATEMENT

## September 10, 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>								
09/04/2018	***-**-435P - ANTINORE, EMILY	CAPITAL INCOME BUILDER-A	90.75	1.45	0.00	1.45	95.0	1.38
	ACCOUNT #: 00067185955	BUY 1 Units @61.5700						
08/20/2018	***-**-5142 - WASHINGTON	EQUITY INCOME FUND, INC. A	25.00	1.19	0.00	1.19	95.0	1.13
	ACCOUNT #: 08353172444	BUY 0 Units @0.0000						
08/30/2018	***-**-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						
08/27/2018	***-**-9061 - BROWN, WINSTON	GOLD & SPECIAL MINERALS A	30.00	1.43	0.00	1.43	95.0	1.36
	ACCOUNT #: 04104629482	BUY 0 Units @0.0000						
08/20/2018	***-**-5142 - WASHINGTON	INTERNATIONAL BOND A	25.00	1.00	0.00	1.00	95.0	0.95
	ACCOUNT #: 08810288553	BUY 0 Units @0.0000						
08/20/2018	***-**-9061 - BROWN, WINSTON	QUEST OPPORTUNITY VALUE A	30.00	1.43	0.00	1.43	95.0	1.36
	ACCOUNT #: 02365535387	BUY 0 Units @0.0000						
08/27/2018	***-**-6657 - THOMAS, ALEXIS	RISING DIVIDENDS FUND A	25.00	1.19	0.00	1.19	95.0	1.13
	ACCOUNT #: 02254036945	BUY 0 Units @0.0000						
08/20/2018	***-**-3942 - HIBBERT, LEONA	ROCHESTER FUND MUNICIPALS C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 03670462660	BUY 0 Units @0.0000						
08/27/2018	***-**-6657 - THOMAS, ALEXIS	ROCHESTER FUND MUNICIPALS C	25.00	0.25	0.00	0.25	95.0	0.24
	ACCOUNT #: 03670742027	BUY 0 Units @0.0000						
08/30/2018	***-**-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						
08/20/2018	***-**-5142 - WASHINGTON	SMALL- & MID-CAP GROWTH FUND A	25.00	1.19	0.00	1.19	95.0	1.13
	ACCOUNT #: 07211008854	BUY 0 Units @0.0000						
09/04/2018	***-**-6413 - KOZAK, LAUREN	THE GROWTH FUND OF AMERICA-A	50.00	2.13	0.00	2.13	95.0	2.02
	ACCOUNT #: 00086445258	BUY 1 Units @58.9900						
08/30/2018	***-**-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>\$435.75</b>	<b>\$12.36</b>	<b>\$0.00</b>	<b>\$12.36</b>		<b>\$11.76</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
08/27/2018	***-**-575I - PALELLA, CHARLES	PRUDENTIAL VA TRAILS 74429P144	100.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: E1764889	BUY 0 Units @0.0000						
		<b>* VARIABLE ANNUITIES SUBTOTAL *</b>	<b>\$100.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
08/27/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 01429492687	BUY 2 Units @28.7100						
		<b>* 529 PLAN SUBTOTAL *</b>	<b>\$50.00</b>	<b>\$0.50</b>	<b>\$0.00</b>	<b>\$0.50</b>		<b>\$0.48</b>
		<b>*** BROKER TRANSACTIONS TOTAL ***</b>	<b>\$585.75</b>	<b>\$12.86</b>	<b>\$0.00</b>	<b>\$12.86</b>		<b>\$12.24</b>

### VERRIDE TRANSACTIONS

#### **BROKER: RICHARD BIRNS**

08/31/2018	***-**-107I - GERAKARIS,	JOHN HANCOCK 41014C143	0.00	2.16	0.00	2.16	20.0	0.43
	ACCOUNT #: 2419387	BUY 0 Units @0.0000						
		<b>* RICHARD BIRNS SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$2.16</b>	<b>\$0.00</b>	<b>\$2.16</b>		<b>\$0.43</b>

#### **BROKER: BARRY BRESIN**

08/31/2018	***-**-180I - HALM, MATILDA	JACKSON 468511654	0.00	42.47	0.00	42.47	15.0	6.37
	ACCOUNT #: 029010125A	BUY 0 Units @0.0000						
		<b>* BARRY BRESIN SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$42.47</b>	<b>\$0.00</b>	<b>\$42.47</b>		<b>\$6.37</b>

#### **BROKER: FREDERIC SCARPULLA**

08/31/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063412117	BUY 3 Units @35.2200						
08/31/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063451518	BUY 3 Units @35.2200						
09/04/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063412117	BUY 3 Units @35.0700						
09/04/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063451518	BUY 3 Units @35.0700						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
08/27/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 04000650661	BUY 2 Units @30.4300						
09/04/2018	***-**-539I - JALLOH, ABDULAI	AMCAP FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00084394270	BUY 2 Units @30.3100						
09/04/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198121	BUY 2 Units @27.8000						
09/04/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198137	BUY 2 Units @27.8000						
09/04/2018	***-**-05IN - RANDALL, ADAM	AMERICAN BALANCED FUND-A	25.00	0.94	0.00	0.94	10.0	0.09
	ACCOUNT #: 00085941585	BUY 1 Units @29.1900						
09/04/2018	***-**-975P - COTTONE, MARIA	AMERICAN BALANCED FUND-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00086785798	BUY 3 Units @29.1900						
09/06/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 1 Units @27.8100						
09/06/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @27.8100						
09/07/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	56.99	0.57	0.00	0.57	10.0	0.06
	ACCOUNT #: 00073798048	BUY 2 Units @27.7600						
09/07/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	37.81	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00089461113	BUY 1 Units @27.7600						
08/27/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	2,206.46	22.06	0.00	22.06	10.0	2.21
	ACCOUNT #: 00073003754	BUY 79 Units @27.7800						
08/27/2018	***-**-398I - GUERRIERI, PAUL	AMERICAN BALANCED FUND-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00086040659	BUY 4 Units @27.7800						
08/27/2018	***-**-5838 - SPOLETA, BRENDA	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087435959	BUY 2 Units @27.7800						
08/27/2018	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	87.96	0.88	0.00	0.88	10.0	0.09
	ACCOUNT #: 00089244081	BUY 3 Units @27.7800						
08/27/2018	***-**-035S - CAPIZZI, TRACIE	AMERICAN BALANCED FUND-C	37.75	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00089679504	BUY 1 Units @27.7800						
08/27/2018	***-**-8208 - KARNS, SHANNON	AMERICAN BALANCED FUND-C	1,000.00	10.00	0.00	10.00	10.0	1.00
	ACCOUNT #: 04000886858	BUY 36 Units @27.7800						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
08/29/2018	***-**-3834 - SWARTWOUT, ACCOUNT #: 00089957234	AMERICAN BALANCED FUND-C BUY 2 Units @27.8500	50.00	0.50	0.00	0.50	10.0	0.05
08/29/2018	***-**-3834 - SWARTWOUT, ACCOUNT #: 00089957234	AMERICAN BALANCED FUND-C BUY 2 Units @27.8500	50.00	0.50	0.00	0.50	10.0	0.05
08/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @27.8500	40.00	0.40	0.00	0.40	10.0	0.04
08/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @27.8500	61.20	0.61	0.00	0.61	10.0	0.06
08/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.8500	16.32	0.16	0.00	0.16	10.0	0.02
08/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.8500	16.32	0.16	0.00	0.16	10.0	0.02
08/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.8500	40.80	0.41	0.00	0.41	10.0	0.04
08/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.8500	16.32	0.16	0.00	0.16	10.0	0.02
08/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 2 Units @27.8500	61.20	0.61	0.00	0.61	10.0	0.06
08/29/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @27.8500	14.40	0.14	0.00	0.14	10.0	0.01
08/29/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @27.8500	120.00	1.20	0.00	1.20	10.0	0.12
08/30/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @27.7700	28.05	0.28	0.00	0.28	10.0	0.03
08/30/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @27.7700	6.00	0.06	0.00	0.06	10.0	0.01
08/30/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 1 Units @27.7700	16.00	0.16	0.00	0.16	10.0	0.02
09/04/2018	***-**-3834 - SWARTWOUT, ACCOUNT #: 00089957234	AMERICAN BALANCED FUND-C BUY 2 Units @27.6700	50.00	0.50	0.00	0.50	10.0	0.05
09/04/2018	***-**-984I - DELUCA, SHARI ACCOUNT #: 00064868315	AMERICAN BALANCED FUND-C BUY 2 Units @27.6700	50.00	0.50	0.00	0.50	10.0	0.05



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @27.6700						
09/04/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @27.6700						
09/04/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @27.6700						
09/04/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.58	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @27.6700						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	16.32	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00089051066	BUY 1 Units @27.6700						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	61.20	0.61	0.00	0.61	10.0	0.06
	ACCOUNT #: 00089051066	BUY 2 Units @27.6700						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	65.93	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 00089722785	BUY 2 Units @27.6700						
09/04/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089910177	BUY 4 Units @27.6700						
09/04/2018	***-**-255U - LIPPA, HARITINI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000385806	BUY 2 Units @27.6700						
09/07/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089045192	BUY 1 Units @27.5500						
09/07/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00089051066	BUY 1 Units @27.5500						
09/07/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	16.32	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00089051066	BUY 1 Units @27.5500						
09/07/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00089583477	BUY 1 Units @27.5500						
08/30/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	7.28	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 04000820464	BUY 0 Units @19.4800						
08/30/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	43.65	0.44	0.00	0.44	10.0	0.04
	ACCOUNT #: 04000820464	BUY 2 Units @19.4800						
09/04/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	8.00	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 04000820464	BUY 0 Units @19.3300						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	48.03	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 04000820464	BUY 2 Units @19.3300						
08/27/2018	***-**-5838 - SPOLETA, BRENDA	AMERICAN GLOBAL BALANCED CL C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00088037501	BUY 3 Units @32.0800						
08/27/2018	***-**-5838 - SPOLETA, BRENDA	AMERICAN HIGH INCOME MUNI BOND CLAS	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087435959	BUY 3 Units @15.8100						
08/27/2018	***-**-5838 - SPOLETA, BRENDA	AMERICAN HIGH-INCOME TRUST-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087435959	BUY 5 Units @10.2500						
08/30/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @10.2400						
08/30/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 10 Units @10.2400						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @10.2300						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 10 Units @10.2300						
09/06/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @42.6400						
09/06/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	600.00	6.00	0.00	6.00	10.0	0.60
	ACCOUNT #: 00066759711	BUY 14 Units @42.6400						
09/07/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	83.49	0.83	0.00	0.83	10.0	0.08
	ACCOUNT #: 00066758347	BUY 2 Units @42.5500						
09/07/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	72.94	0.73	0.00	0.73	10.0	0.07
	ACCOUNT #: 00066759711	BUY 2 Units @42.5500						
08/29/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @42.2500						
08/30/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @42.0900						
09/04/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @41.9500						
09/04/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @41.9500						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
08/17/2018	***-**-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						
08/17/2018	***-**-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						
08/17/2018	***-**-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						
08/31/2018	***-**-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						
08/31/2018	***-**-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						
08/31/2018	***-**-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						
08/27/2018	***-**-5838 - SPOLETA, BRENDA	CAPITAL INCOME BUILDER CLASS C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00088037501	BUY 2 Units @60.9800						
09/04/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL INCOME BUILDER CLASS C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @60.3500						
09/04/2018	***-**-975P - COTTONE, MARIA	CAPITAL INCOME BUILDER-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00086785798	BUY 2 Units @63.1800						
08/31/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @19.6600						
08/31/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @19.6600						
09/04/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @19.5900						
09/04/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @19.5900						
08/27/2018	***-**-398I - GUERRIERI, PAUL	CAPITAL WORLD BOND FUND-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00086040659	BUY 5 Units @19.1000						
08/29/2018	***-**-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 @51.1800						
08/29/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @51.1800						



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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>								
08/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @50.9000	96.40	0.96	0.00	0.96	10.0	0.10
09/04/2018	***-**-048I - DEAN, MARY ACCOUNT #: 00065085393	CAPITAL WORLD GROWTH AND INCOME FUN BUY 10 Units @50.2800	500.00	5.00	0.00	5.00	10.0	0.50
09/04/2018	***-**-1209 - NATALE, KIMBERLY ACCOUNT #: 00085764285	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @50.2800	50.00	0.50	0.00	0.50	10.0	0.05
09/04/2018	***-**-4392 - GARCIA, MICHELLE ACCOUNT #: 00085764363	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @50.2800	25.00	0.25	0.00	0.25	10.0	0.03
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @50.2800	96.40	0.96	0.00	0.96	10.0	0.10
09/04/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @50.2800	40.00	0.40	0.00	0.40	10.0	0.04
09/06/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @50.2200	20.00	0.20	0.00	0.20	10.0	0.02
09/07/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @50.0800	47.94	0.48	0.00	0.48	10.0	0.05
09/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @49.4700	30.00	0.30	0.00	0.30	10.0	0.03
09/10/2018	***-**-526I - CAVALLARO, ACCOUNT #: 3360045601	DREYFUS MF TRAILS BUY 0 Units @0.0000	0.00	1.11	0.00	1.11	10.0	0.11
08/17/2018	***-**-85IN - MAZZOLA, BARBARA ACCOUNT #: 00100051019	EMERGING MARKETS INNOVATORS FUND C BUY 0 Units @0.0000	7.50	0.08	0.00	0.08	10.0	0.01
08/31/2018	***-**-85IN - MAZZOLA, BARBARA ACCOUNT #: 00100051019	EMERGING MARKETS INNOVATORS FUND C BUY 0 Units @0.0000	7.50	0.08	0.00	0.08	10.0	0.01
08/31/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @54.1700	66.75	0.80	0.00	0.80	10.0	0.08
08/31/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @54.1700	66.75	0.80	0.00	0.80	10.0	0.08
09/04/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @53.6200	66.75	0.80	0.00	0.80	10.0	0.08
09/04/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @53.6200	66.75	0.80	0.00	0.80	10.0	0.08





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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>								
08/31/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063412117	BUY 2 Units @65.9700						
08/31/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063451518	BUY 2 Units @65.9700						
09/04/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063412117	BUY 2 Units @65.6800						
09/04/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063451518	BUY 2 Units @65.6800						
09/06/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00066759710	BUY 0 Units @64.0900						
09/07/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	140.88	1.41	0.00	1.41	10.0	0.14
	ACCOUNT #: 00066759710	BUY 2 Units @64.1000						
08/27/2018	***-**-615P - LE, TU	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00075107985	BUY 2 Units @64.6000						
08/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 0 Units @64.9700						
08/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	8.16	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @64.9700						
08/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	8.16	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @64.9700						
08/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @64.9700						
08/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	8.16	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @64.9700						
08/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 0 Units @64.9700						
08/29/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @64.9700						
08/30/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @64.7000						
08/30/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @64.7000						



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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>								
09/04/2018	***-**-7625 - PRINCE, ADAM	FUNDAMENTAL INVESTORS-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085764342	BUY 1 Units @64.2600						
09/04/2018	***-**-4392 - GARCIA, MICHELLE	FUNDAMENTAL INVESTORS-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @64.2600						
09/04/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085902226	BUY 0 Units @64.2600						
09/04/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @64.2600						
09/04/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	8.16	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @64.2600						
09/04/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 0 Units @64.2600						
09/04/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @64.2600						
09/07/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @63.6600						
09/07/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	8.16	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @63.6600						
08/17/2018	***-**-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						
08/17/2018	***-**-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						
08/31/2018	***-**-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						
08/31/2018	***-**-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						
08/30/2018	***-**-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 @23.0700						
09/04/2018	***-**-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 @22.9300						
08/29/2018	***-**-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 @41.5100						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
08/29/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	13.97	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00089583477	BUY 0 Units @41.5100						
08/30/2018	***-**-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 @41.3000						
09/04/2018	***-**-1209 - NATALE, KIMBERLY	INVESTMENT COMPANY OF AMERICA CLASS	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085764285	BUY 1 Units @40.9900						
09/04/2018	***-**-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 @40.9900						
09/04/2018	***-**-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 @40.9900						
09/04/2018	***-**-96CL - SCARPULLA,	INVESTMENT COMPANY OF AMERICA CLASS	49.46	0.49	0.00	0.49	10.0	0.05
	ACCOUNT #: 00089722785	BUY 1 Units @40.9900						
09/07/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	20.37	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089583477	BUY 1 Units @40.7000						
08/17/2018	***-**-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						
08/17/2018	***-**-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						
08/31/2018	***-**-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						
08/31/2018	***-**-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						
08/31/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 0 Units @47.6000						
08/31/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 0 Units @47.6000						
09/04/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 0 Units @47.2600						
09/04/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 0 Units @47.2600						
08/29/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 1 Units @45.2500						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
08/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @45.2500	8.15	0.08	0.00	0.08	10.0	0.01
08/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @45.2500	8.15	0.08	0.00	0.08	10.0	0.01
08/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @45.2500	20.40	0.20	0.00	0.20	10.0	0.02
08/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @45.2500	8.15	0.08	0.00	0.08	10.0	0.01
08/29/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 1 Units @45.2500	30.60	0.31	0.00	0.31	10.0	0.03
08/30/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @45.0200	10.50	0.11	0.00	0.11	10.0	0.01
08/30/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @45.0200	21.00	0.21	0.00	0.21	10.0	0.02
09/04/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @44.5000	10.50	0.11	0.00	0.11	10.0	0.01
09/04/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @44.5000	21.00	0.21	0.00	0.21	10.0	0.02
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @44.5000	8.15	0.08	0.00	0.08	10.0	0.01
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 1 Units @44.5000	30.60	0.31	0.00	0.31	10.0	0.03
09/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @43.7600	20.40	0.20	0.00	0.20	10.0	0.02
09/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @43.7600	8.15	0.08	0.00	0.08	10.0	0.01
08/27/2018	***-**-398I - GUERRIERI, PAUL ACCOUNT #: 00086040659	NEW WORLD FUND-C BUY 2 Units @62.6900	150.00	1.50	0.00	1.50	10.0	0.15
08/30/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @62.1800	10.50	0.11	0.00	0.11	10.0	0.01
08/30/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @62.1800	21.00	0.21	0.00	0.21	10.0	0.02



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ANDREW KALINOWSKI  
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Rochester, NY 14623

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>								
08/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	NEW WORLD FUND-C BUY 1 Units @62.1800	48.20	0.48	0.00	0.48	10.0	0.05
09/04/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @61.3300	10.50	0.11	0.00	0.11	10.0	0.01
09/04/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @61.3300	21.00	0.21	0.00	0.21	10.0	0.02
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	NEW WORLD FUND-C BUY 1 Units @61.3300	48.20	0.48	0.00	0.48	10.0	0.05
09/10/2018	***-**-6793 - ESTEP, ARDEN ACCOUNT #: 77375699601	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	49.50	0.50	0.00	0.50	10.0	0.05
09/10/2018	***-**-335P - JULIAN, GIOVANA ACCOUNT #: 77613466001	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	223.98	2.27	0.00	2.27	10.0	0.23
08/17/2018	***-**-3407 - SUTTELL, PAULA ACCOUNT #: 05470454740	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	10.0	0.10
08/17/2018	***-**-56SI - ODELL, JULIE ACCOUNT #: 05470419034	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	10.0	0.10
08/31/2018	***-**-3407 - SUTTELL, PAULA ACCOUNT #: 05470454740	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	10.0	0.10
08/31/2018	***-**-56SI - ODELL, JULIE ACCOUNT #: 05470419034	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	10.0	0.10
08/17/2018	***-**-6836 - SMITH, ADRIENNE ACCOUNT #: 00100067156	OPPENHEIMER CORP BOND FND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
08/31/2018	***-**-6836 - SMITH, ADRIENNE ACCOUNT #: 00100067156	OPPENHEIMER CORP BOND FND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
08/17/2018	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03322638581	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	66.00	0.66	0.00	0.66	10.0	0.07
08/31/2018	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03322638581	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	66.00	0.66	0.00	0.66	10.0	0.07
08/17/2018	***-**-85IN - MAZZOLA, BARBARA ACCOUNT #: 01971104114	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	7.50	0.08	0.00	0.08	10.0	0.01
08/31/2018	***-**-85IN - MAZZOLA, BARBARA ACCOUNT #: 01971104114	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	7.50	0.08	0.00	0.08	10.0	0.01



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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>								
08/17/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02271182830	BUY 0 Units @0.0000						
08/31/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02271182830	BUY 0 Units @0.0000						
08/17/2018	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
08/31/2018	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
08/17/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
08/31/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
08/29/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 1 Units @53.5000						
08/29/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	8.16	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @53.5000						
08/29/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	8.16	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @53.5000						
08/29/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @53.5000						
08/29/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	8.16	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @53.5000						
08/29/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 1 Units @53.5000						
08/30/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @53.3900						
09/04/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @53.1200						
09/04/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	8.16	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @53.1200						
09/04/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 1 Units @53.1200						



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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>								
09/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.2500	20.40	0.20	0.00	0.20	10.0	0.02
09/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.2500	8.16	0.08	0.00	0.08	10.0	0.01
08/17/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 01920863291	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	10.00	0.10	0.00	0.10	10.0	0.01
08/31/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 01920863291	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	10.00	0.10	0.00	0.10	10.0	0.01
08/31/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 3 Units @12.7600	44.50	0.53	0.00	0.53	10.0	0.05
08/31/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 3 Units @12.7600	44.50	0.53	0.00	0.53	10.0	0.05
09/04/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 3 Units @12.7400	44.50	0.53	0.00	0.53	10.0	0.05
09/04/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 3 Units @12.7400	44.50	0.53	0.00	0.53	10.0	0.05
08/27/2018	***-**-5838 - SPOLETA, BRENDA ACCOUNT #: 00088037501	THE BOND FUND OF AMERICA-C BUY 8 Units @12.5900	100.00	1.00	0.00	1.00	10.0	0.10
08/30/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.5700	28.05	0.28	0.00	0.28	10.0	0.03
08/30/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.5700	9.00	0.09	0.00	0.09	10.0	0.01
09/04/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.5500	28.05	0.28	0.00	0.28	10.0	0.03
09/04/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.5500	9.00	0.09	0.00	0.09	10.0	0.01
08/28/2018	***-**-995P - ARBORE, CARL ACCOUNT #: 00081166789	THE GROWTH FUND OF AMERICA-A BUY 1 Units @58.2400	50.00	1.38	0.00	1.38	10.0	0.14
08/28/2018	***-**-975P - COTTONE, MARIA ACCOUNT #: 00086606929	THE GROWTH FUND OF AMERICA-A BUY 1 Units @58.8500	51.84	1.94	0.00	1.94	10.0	0.19
08/28/2018	***-**-975P - COTTONE, MARIA ACCOUNT #: 00086606929	THE GROWTH FUND OF AMERICA-A BUY 3 Units @58.8500	200.00	7.50	0.00	7.50	10.0	0.75



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
08/31/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @57.1700						
08/31/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @57.1700						
09/04/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @56.8900						
09/04/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @56.8900						
09/04/2018	***-**-42IR - ADAMS, GRACE	THE GROWTH FUND OF AMERICA-A	50.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00073505114	BUY 1 Units @59.4600						
09/06/2018	***-**-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 @55.1300						
09/06/2018	***-**-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 @55.1300						
09/06/2018	***-**-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 @55.1300						
09/06/2018	***-**-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 @55.1300						
09/06/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	130.00	1.30	0.00	1.30	10.0	0.13
	ACCOUNT #: 00074922243	BUY 2 Units @55.1300						
09/06/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	57.09	0.57	0.00	0.57	10.0	0.06
	ACCOUNT #: 00083414110	BUY 1 Units @55.1300						
09/06/2018	***-**-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 @55.1300						
09/06/2018	***-**-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 @55.1300						
09/07/2018	***-**-195P - OZMINKOWSKI,	THE GROWTH FUND OF AMERICA-A	174.14	1.74	0.00	1.74	10.0	0.17
	ACCOUNT #: 00066758342	BUY 3 Units @55.1400						
09/07/2018	***-**-405P - FRISA, ALAN	THE GROWTH FUND OF AMERICA-A	71.90	0.72	0.00	0.72	10.0	0.07
	ACCOUNT #: 00066758344	BUY 1 Units @55.1400						
09/07/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	83.49	0.83	0.00	0.83	10.0	0.08
	ACCOUNT #: 00066758347	BUY 2 Units @55.1400						





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/07/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	72.19	0.72	0.00	0.72	10.0	0.07
	ACCOUNT #: 00066758348	BUY 1 Units @55.1400						
09/07/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	100.06	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00074922243	BUY 2 Units @55.1400						
09/07/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	157.58	1.58	0.00	1.58	10.0	0.16
	ACCOUNT #: 00083414110	BUY 3 Units @55.1400						
09/07/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	116.72	1.17	0.00	1.17	10.0	0.12
	ACCOUNT #: 00087318332	BUY 2 Units @55.1400						
09/07/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	37.81	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00089461113	BUY 1 Units @55.1400						
09/07/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	400.00	15.00	0.00	15.00	10.0	1.50
	ACCOUNT #: 00086606929	BUY 7 Units @57.7400						
09/07/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	103.68	3.89	0.00	3.89	10.0	0.39
	ACCOUNT #: 00086606929	BUY 2 Units @57.7400						
08/27/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	2,076.67	20.77	0.00	20.77	10.0	2.08
	ACCOUNT #: 00073003754	BUY 40 Units @51.8500						
08/27/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	56.67	0.57	0.00	0.57	10.0	0.06
	ACCOUNT #: 00089319958	BUY 1 Units @51.8500						
08/27/2018	***-**-7186 - VELLA, DOMENICO	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000248474	BUY 1 Units @51.8500						
08/27/2018	***-**-2678 - VELLA, VINCENZO	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000248491	BUY 1 Units @51.8500						
08/27/2018	***-**-0006 - FORSYTH, KATHRYN	THE GROWTH FUND OF AMERICA-C	86.54	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 04000650661	BUY 2 Units @51.8500						
08/28/2018	***-**-5945 - INFANTINO,	THE GROWTH FUND OF AMERICA-C	400.00	4.00	0.00	4.00	10.0	0.40
	ACCOUNT #: 04000722726	BUY 8 Units @51.8500						
08/29/2018	***-**-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 @52.2300						
08/29/2018	***-**-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 @52.2300						
08/29/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	13.98	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00089583477	BUY 0 Units @52.2300						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
08/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 1 Units @52.0800	48.20	0.48	0.00	0.48	10.0	0.05
09/04/2018	***-**-984I - DELUCA, SHARI ACCOUNT #: 00064868315	THE GROWTH FUND OF AMERICA-C BUY 1 Units @51.7000	50.00	0.50	0.00	0.50	10.0	0.05
09/04/2018	***-**-4392 - GARCIA, MICHELLE ACCOUNT #: 00085764363	THE GROWTH FUND OF AMERICA-C BUY 0 Units @51.7000	25.00	0.25	0.00	0.25	10.0	0.03
09/04/2018	***-**-05IN - RANDALL, ADAM ACCOUNT #: 00085941585	THE GROWTH FUND OF AMERICA-C BUY 0 Units @51.7000	25.00	0.25	0.00	0.25	10.0	0.03
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 1 Units @51.7000	48.20	0.48	0.00	0.48	10.0	0.05
09/04/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	THE GROWTH FUND OF AMERICA-C BUY 0 Units @51.7000	10.00	0.10	0.00	0.10	10.0	0.01
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089722785	THE GROWTH FUND OF AMERICA-C BUY 1 Units @51.7000	49.46	0.49	0.00	0.49	10.0	0.05
09/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 1 Units @50.8700	30.00	0.30	0.00	0.30	10.0	0.03
09/07/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.8700	20.38	0.20	0.00	0.20	10.0	0.02
09/04/2018	***-**-545P - VISCA, ANGELO ACCOUNT #: 00063056262	THE INVESTMENT COMPANY OF AMERICA-A BUY 2 Units @42.9800	100.00	2.75	0.00	2.75	10.0	0.28
09/06/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE INVESTMENT COMPANY OF AMERICA-A BUY 6 Units @41.2300	250.00	2.50	0.00	2.50	10.0	0.25
09/06/2018	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.2300	50.00	0.50	0.00	0.50	10.0	0.05
09/06/2018	***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @41.2300	20.00	0.20	0.00	0.20	10.0	0.02
09/07/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE INVESTMENT COMPANY OF AMERICA-A BUY 4 Units @41.1900	174.14	1.74	0.00	1.74	10.0	0.17
09/07/2018	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE INVESTMENT COMPANY OF AMERICA-A BUY 2 Units @41.1900	72.19	0.72	0.00	0.72	10.0	0.07
09/07/2018	***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.1900	56.99	0.57	0.00	0.57	10.0	0.06



# COMMISSION STATEMENT

## September 10, 2018

ANDREW KALINOWSKI  
400 West Metro Park  
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BROKER #: 20  
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> BROKER: FREDERIC SCARPULLA (continued) </b>								
09/04/2018	***-**-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 @44.1600						
08/30/2018	***-**-278J - GUERRIERI, JOHN	THE TAX-EXEMPT BOND FUND OF AMERICA	2,000.00	20.00	0.00	20.00	10.0	2.00
	ACCOUNT #: 00084395514	BUY 156 Units @12.8000						
08/30/2018	***-**-51IN - GUERRIERI, KIM	THE TAX-EXEMPT BOND FUND OF AMERICA	1,000.00	10.00	0.00	10.00	10.0	1.00
	ACCOUNT #: 00085399151	BUY 78 Units @12.8000						
08/30/2018	***-**-75UG - GUERRIERI, SOFIA	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00085399166	BUY 20 Units @12.8000						
09/04/2018	***-**-935J - RUSH, DONNA	THE TAX-EXEMPT BOND FUND OF AMERICA	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085296459	BUY 4 Units @12.7900						
09/04/2018	***-**-44UG - GUERRIERI,	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00085399145	BUY 20 Units @12.7900						
09/07/2018	***-**-63IN - DIAMOND, ANN	U.S. GOVERNMENT SECURITIES FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085468057	BUY 4 Units @13.2900						
09/04/2018	***-**-545P - VISCA, ANGELO	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	1.38	0.00	1.38	10.0	0.14
	ACCOUNT #: 00063056262	BUY 1 Units @48.2100						
09/06/2018	***-**-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 @46.4100						
09/07/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	348.24	3.48	0.00	3.48	10.0	0.35
	ACCOUNT #: 00066758345	BUY 8 Units @46.4000						
08/27/2018	***-**-435P - BOSCO, SOFIA	WASHINGTON MUTUAL INVESTORS FUND-C	2,206.46	22.06	0.00	22.06	10.0	2.21
	ACCOUNT #: 00073003754	BUY 48 Units @46.0600						
08/27/2018	***-**-398I - GUERRIERI, PAUL	WASHINGTON MUTUAL INVESTORS FUND-C	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00086040659	BUY 3 Units @46.0600						
08/29/2018	***-**-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 @46.1700						
08/29/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @46.1700						
09/04/2018	***-**-984I - DELUCA, SHARI	WASHINGTON MUTUAL INVESTORS FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00064868315	BUY 1 Units @45.8500						
09/04/2018	***-**-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 @45.8500						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/04/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @45.8500						
		<b>* FREDERIC SCARPULLA SUBTOTAL *</b>	<b>\$26,198.33</b>	<b>\$299.15</b>	<b>\$0.00</b>	<b>\$299.15</b>		<b>\$30.22</b>
<b><u>BROKER: WILLIAM AGNELLO</u></b>								
08/31/2018	***-**-43IN - CUP, NICHOLAS	FORD MTR CO DEL COM UNSOLICITED ORD	1,922.00	43.17	0.00	43.17	25.0	10.79
	ACCOUNT #: LSR006890	SELL 200 Units @9.6100						
09/06/2018	***-**-43IN - CUP, NICHOLAS	VERIZON COMMUNICATIONS UNSOLICITED	5,380.00	37.00	0.00	37.00	25.0	9.25
	ACCOUNT #: LSR006890	BUY 100 Units @53.8000						
09/06/2018	***-**-002I - NFS/FMTC IRA	VERIZON COMMUNICATIONS UNSOLICITED	5,398.00	37.00	0.00	37.00	25.0	9.25
	ACCOUNT #: LSR007005	BUY 100 Units @53.9800						
		<b>* WILLIAM AGNELLO SUBTOTAL *</b>	<b>\$12,700.00</b>	<b>\$117.17</b>	<b>\$0.00</b>	<b>\$117.17</b>		<b>\$29.29</b>
<b><u>BROKER: JAMES LOMBARDO</u></b>								
08/28/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 00083468095	BUY 2 Units @29.6900						
09/04/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	110.00	5.50	0.00	5.50	15.0	0.83
	ACCOUNT #: 00088153955	BUY 4 Units @29.5800						
09/04/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 04000460394	BUY 2 Units @29.5800						
09/04/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 04000460402	BUY 2 Units @29.5800						
09/04/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	100.00	5.00	0.00	5.00	15.0	0.75
	ACCOUNT #: 00087068370	BUY 3 Units @29.5800						
09/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 2 Units @29.1200						
09/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN MUTUAL FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @44.6500						
09/06/2018	***-**-2608 - GIAMAS, GREGORY	FUNDAMENTAL INVESTORS-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @67.1100						
09/06/2018	***-**-2608 - GIAMAS, GREGORY	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @47.9600						



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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: JAMES LOMBARDO (continued)</u> </b>								
08/27/2018	***-**-8806 - MABRY, REBECCA ACCOUNT #: 00082729374	THE BOND FUND OF AMERICA-A BUY 6 Units @13.0800	75.00	2.25	0.00	2.25	15.0	0.34
09/04/2018	***-**-3040 - KOTARY, BRANDY ACCOUNT #: 00087642268	THE BOND FUND OF AMERICA-A BUY 4 Units @13.0400	50.00	1.50	0.00	1.50	15.0	0.23
09/06/2018	***-**-2608 - GIMAS, GREGORY ACCOUNT #: 00081315892	THE GROWTH FUND OF AMERICA-A BUY 1 Units @57.7300	50.00	1.88	0.00	1.88	15.0	0.28
09/04/2018	***-**-6802 - NAKANO, AMELIA ACCOUNT #: 00082853395	THE NEW ECONOMY FUND-A BUY 1 Units @51.8900	50.00	2.13	0.00	2.13	15.0	0.32
09/05/2018	***-**-3828 - DUSABLON, DANIEL ACCOUNT #: 00084530390	U.S. GOVERNMENT SECURITIES FUND CLA BUY 11 Units @13.8700	150.00	4.50	0.00	4.50	15.0	0.68
08/27/2018	***-**-8806 - MABRY, REBECCA ACCOUNT #: 00082729374	WASHINGTON MUTUAL INVESTORS FUND-A BUY 2 Units @48.9300	75.00	2.81	0.00	2.81	15.0	0.42
09/04/2018	***-**-6802 - NAKANO, AMELIA ACCOUNT #: 00082853395	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @48.9700	50.00	2.13	0.00	2.13	15.0	0.32
* JAMES LOMBARDO SUBTOTAL *			<b>\$1,060.00</b>	<b>\$42.72</b>	<b>\$0.00</b>	<b>\$42.72</b>		<b>\$6.43</b>
*** OVERRIDE TRANSACTIONS TOTAL ***			<b>\$39,958.33</b>	<b>\$503.67</b>	<b>\$0.00</b>	<b>\$503.67</b>		<b>\$72.74</b>



BROKER #: 20  
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				GROSS	CLEARING	NET	BROKER
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE COMMISSION
						BROKER COMMISSION TOTALS	
Broker Transactions							\$12.24
Split Transactions							\$0.00
Override Transactions							\$72.74
Adjustments							\$0.00
Payroll Draw							\$0.00
Base Salary							\$0.00
Prior Period Balance							\$32.75
FINRA Assessment							\$0.00
SIPC Assessment							\$0.00
<div>Net Commission Earned</div>							\$117.73
<div>Year-to-date Earnings</div>							\$76,193.90