



# COMMISSION STATEMENT

## December 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>								
12/03/2018	***-**-435P - ANTINORE, EMILY	CAPITAL INCOME BUILDER-A	86.85	1.39	0.00	1.39	95.0	1.32
	ACCOUNT #: 00067185955	BUY 1 Units @60.6000						
12/03/2018	***-**-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 @55.6900						
* MUTUAL FUNDS SUBTOTAL *			<b>\$136.85</b>	<b>\$3.52</b>	<b>\$0.00</b>	<b>\$3.52</b>		<b>\$3.34</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
12/04/2018	***-**-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						
* VARIABLE ANNUITIES SUBTOTAL *			<b>\$100.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/07/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 COLLEGE PORT-CL C	0.00	2.82	0.00	2.82	95.0	2.68
	ACCOUNT #: 00625374335	BUY 0 Units @0.0000						
12/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	2.66	0.00	2.66	95.0	2.53
	ACCOUNT #: 00625264015	BUY 0 Units @0.0000						
12/07/2018	***-**-2326 - SILLS, MICHAEL	FA 529 NEW INSIGHTS PORT-CL A	0.00	0.65	0.00	0.65	95.0	0.62
	ACCOUNT #: 00625388988	BUY 0 Units @0.0000						
12/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	4.75	0.00	4.75	95.0	4.51
	ACCOUNT #: 01429492661	BUY 0 Units @0.0000						
12/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	3.41	0.00	3.41	95.0	3.24
	ACCOUNT #: 01429492687	BUY 0 Units @0.0000						
12/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	2.03	0.00	2.03	95.0	1.93
	ACCOUNT #: 01438811646	BUY 0 Units @0.0000						
12/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	1.07	0.00	1.07	95.0	1.02
	ACCOUNT #: 01439435668	BUY 0 Units @0.0000						
12/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	1.94	0.00	1.94	95.0	1.84
	ACCOUNT #: 00625264015	BUY 0 Units @0.0000						
12/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	1.86	0.00	1.86	95.0	1.77
	ACCOUNT #: 01429492661	BUY 0 Units @0.0000						
12/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	1.96	0.00	1.96	95.0	1.86
	ACCOUNT #: 01429492687	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/07/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	1.93	0.00	1.93	95.0	1.83
	ACCOUNT #: 01438811646	BUY 0 Units @0.0000						
12/07/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 PORT 2019-CL A	0.00	0.10	0.00	0.10	95.0	0.10
	ACCOUNT #: 00625374327	BUY 0 Units @0.0000						
12/07/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 PORT 2019-CL C	0.00	0.01	0.00	0.01	95.0	0.01
	ACCOUNT #: 00625374327	BUY 0 Units @0.0000						
12/07/2018	***-**-0054 - OSCHMANN, PAMELA	FA 529 PORT 2028-CL A	0.00	0.22	0.00	0.22	95.0	0.21
	ACCOUNT #: 03900243724	BUY 0 Units @0.0000						
12/07/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV DIVIDEND GROWTH FD CL	0.00	2.05	0.00	2.05	95.0	1.95
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
12/07/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV EMERGING ASIA FUND CL	0.00	3.19	0.00	3.19	95.0	3.03
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
12/07/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADV EMERGING MKTS CL A	0.00	1.19	0.00	1.19	95.0	1.13
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						
12/07/2018	***-**-26IR - SILLS, MICHAEL	FIDELITY ADV EMERGING MKTS CL A	0.00	0.21	0.00	0.21	95.0	0.20
	ACCOUNT #: 01440241196	BUY 0 Units @0.0000						
12/07/2018	***-**-305P - DI MARCO,	FIDELITY ADV EMERGING MKTS-CL C	0.00	2.40	0.00	2.40	95.0	2.28
	ACCOUNT #: 00701854093	BUY 0 Units @0.0000						
12/07/2018	***-**-4567 - HOWIE, GORDON	FIDELITY ADV EMERGING MKTS-CL C	0.00	1.93	0.00	1.93	95.0	1.83
	ACCOUNT #: 00704021278	BUY 0 Units @0.0000						
12/07/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV EMERGING MKTS-CL C	0.00	0.52	0.00	0.52	95.0	0.49
	ACCOUNT #: 00704021286	BUY 0 Units @0.0000						
12/07/2018	***-**-806I - MARYJANOWSKI,	FIDELITY ADV EMERGING MKTS-CL C	0.00	0.10	0.00	0.10	95.0	0.10
	ACCOUNT #: 00704164920	BUY 0 Units @0.0000						
12/07/2018	***-**-248I - STAAB, DONNA	FIDELITY ADV EMERGING MKTS-CL C	0.00	2.04	0.00	2.04	95.0	1.94
	ACCOUNT #: 00704192111	BUY 0 Units @0.0000						
12/07/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV EMERGING MKTS-CL C	0.00	0.31	0.00	0.31	95.0	0.29
	ACCOUNT #: 00704224948	BUY 0 Units @0.0000						
12/07/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV EQUITY GROWTH CL A	0.00	1.94	0.00	1.94	95.0	1.84
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
12/07/2018	***-**-7153 - MENARD, MICHAEL	FIDELITY ADV EQUITY GROWTH CL T	0.00	90.34	0.00	90.34	95.0	85.82
	ACCOUNT #: 00009008138	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/07/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV GLOBAL CAP APP-CL C	0.00	3.92	0.00	3.92	95.0	3.72
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
12/07/2018	***-**-0730 - TANCK, LISA	FIDELITY ADV GROWTH & INCOME CL C	0.00	9.67	0.00	9.67	95.0	9.19
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
12/07/2018	***-**-215I - HILL, ROBERT	FIDELITY ADV HEALTH CARE CL C	0.00	10.72	0.00	10.72	95.0	10.18
	ACCOUNT #: 00655371573	BUY 0 Units @0.0000						
12/07/2018	***-**-540I - DEGNAN, SUSAN	FIDELITY ADV HEALTH CARE CL C	0.00	3.34	0.00	3.34	95.0	3.17
	ACCOUNT #: 01483840300	BUY 0 Units @0.0000						
12/07/2018	***-**-8490 - ALLYN, ANN	FIDELITY ADV HIGH INCOME ADVANTAGE	0.00	0.03	0.00	0.03	95.0	0.03
	ACCOUNT #: 00009045530	BUY 0 Units @0.0000						
12/07/2018	***-**-6747 - LAKE, DAVID	FIDELITY ADV INTL CAPITAL APP CL C	0.00	1.35	0.00	1.35	95.0	1.28
	ACCOUNT #: 00655990968	BUY 0 Units @0.0000						
12/07/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	0.83	0.00	0.83	95.0	0.79
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						
12/07/2018	***-**-806I - MARYJANOWSKI,	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	0.49	0.00	0.49	95.0	0.47
	ACCOUNT #: 00704164920	BUY 0 Units @0.0000						
12/07/2018	***-**-248I - STAAB, DONNA	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	3.22	0.00	3.22	95.0	3.06
	ACCOUNT #: 00704192111	BUY 0 Units @0.0000						
12/07/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	0.74	0.00	0.74	95.0	0.70
	ACCOUNT #: 00704224948	BUY 0 Units @0.0000						
12/07/2018	***-**-423I -	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	1.64	0.00	1.64	95.0	1.56
	ACCOUNT #: 00625454525	BUY 0 Units @0.0000						
12/07/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	1.65	0.00	1.65	95.0	1.57
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						
12/07/2018	***-**-586I - BACH, LINDA	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	2.29	0.00	2.29	95.0	2.18
	ACCOUNT #: 01447589845	BUY 0 Units @0.0000						
12/07/2018	***-**-3750 - RAY, CHRISTIAN	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	1.05	0.00	1.05	95.0	1.00
	ACCOUNT #: 01459576656	BUY 0 Units @0.0000						
12/07/2018	***-**-0887 - RAY, JONATHAN	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	1.05	0.00	1.05	95.0	1.00
	ACCOUNT #: 01459576698	BUY 0 Units @0.0000						
12/07/2018	***-**-92CL - HAWRYLIAK,	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	9.57	0.00	9.57	95.0	9.09
	ACCOUNT #: 01477333049	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/07/2018	***-**-677I - SADLER, MICHAEL	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	7.12	0.00	7.12	95.0	6.76
	ACCOUNT #: 01432592572	BUY 0 Units @0.0000						
12/07/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	15.13	0.00	15.13	95.0	14.37
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
12/07/2018	***-**-0730 - TANCK, LISA	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	11.57	0.00	11.57	95.0	10.99
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
12/07/2018	***-**-72IN - HERTZEL, GERALD	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	14.02	0.00	14.02	95.0	13.32
	ACCOUNT #: 00704765932	BUY 0 Units @0.0000						
12/07/2018	***-**-215I - HILL, ROBERT	FIDELITY ADV MID CAP CL C	0.00	0.05	0.00	0.05	95.0	0.05
	ACCOUNT #: 00655371573	BUY 0 Units @0.0000						
12/07/2018	***-**-9156 - KOLUPSKI, KIM	FIDELITY ADV MID CAP CL C	0.00	63.75	0.00	63.75	95.0	60.56
	ACCOUNT #: 00701046575	BUY 0 Units @0.0000						
12/07/2018	***-**-4567 - HOWIE, GORDON	FIDELITY ADV MID CAP II - CL C	0.00	9.51	0.00	9.51	95.0	9.03
	ACCOUNT #: 00704021278	BUY 0 Units @0.0000						
12/07/2018	***-**-806I - MARYJANOWSKI,	FIDELITY ADV MID CAP II - CL C	0.00	0.84	0.00	0.84	95.0	0.80
	ACCOUNT #: 00704164920	BUY 0 Units @0.0000						
12/07/2018	***-**-248I - STAAB, DONNA	FIDELITY ADV MID CAP II - CL C	0.00	14.40	0.00	14.40	95.0	13.68
	ACCOUNT #: 00704192111	BUY 0 Units @0.0000						
12/07/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV MID CAP II - CL C	0.00	0.49	0.00	0.49	95.0	0.47
	ACCOUNT #: 00704224948	BUY 0 Units @0.0000						
12/07/2018	***-**-403I - MILLER, DANIEL	FIDELITY ADV MID CAP II - CL C	0.00	4.01	0.00	4.01	95.0	3.81
	ACCOUNT #: 00704257047	BUY 0 Units @0.0000						
12/07/2018	***-**-9357 - MACKENZIE,	FIDELITY ADV MID CAP II - CL C	0.00	4.50	0.00	4.50	95.0	4.28
	ACCOUNT #: 00704417856	BUY 0 Units @0.0000						
12/07/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV MID CAP II - CL C	0.00	11.21	0.00	11.21	95.0	10.65
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
12/07/2018	***-**-72IN - HERTZEL, GERALD	FIDELITY ADV MID CAP II - CL C	0.00	20.52	0.00	20.52	95.0	19.49
	ACCOUNT #: 00704765932	BUY 0 Units @0.0000						
12/07/2018	***-**-31IN - O'DONNELL,	FIDELITY ADV MID CAP II - CL C	0.00	7.91	0.00	7.91	95.0	7.51
	ACCOUNT #: 00704828987	BUY 0 Units @0.0000						
12/07/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADV MID CAP II-CL A	0.00	1.50	0.00	1.50	95.0	1.43
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/07/2018	***-**-586I - BACH, LINDA ACCOUNT #: 01447589845	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	7.35	0.00	7.35	95.0	6.98
12/07/2018	***-**-3750 - RAY, CHRISTIAN ACCOUNT #: 01459576656	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	1.09	0.00	1.09	95.0	1.04
12/07/2018	***-**-0887 - RAY, JONATHAN ACCOUNT #: 01459576698	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	1.09	0.00	1.09	95.0	1.04
12/07/2018	***-**-92CL - HAWRYLIAK, ACCOUNT #: 01477333049	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	9.71	0.00	9.71	95.0	9.22
12/07/2018	***-**-9357 - MACKENZIE, ACCOUNT #: 07044928914	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	2.63	0.00	2.63	95.0	2.50
12/07/2018	***-**-423I - ACCOUNT #: 00625454525	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	6.74	0.00	6.74	95.0	6.40
12/07/2018	***-**-661I - LACY, KIMBERLY ACCOUNT #: 00704518646	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	0.27	0.00	0.27	95.0	0.26
12/07/2018	***-**-586I - BACH, LINDA ACCOUNT #: 01447589845	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	18.78	0.00	18.78	95.0	17.84
12/07/2018	***-**-3750 - RAY, CHRISTIAN ACCOUNT #: 01459576656	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	1.23	0.00	1.23	95.0	1.17
12/07/2018	***-**-0887 - RAY, JONATHAN ACCOUNT #: 01459576698	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	1.64	0.00	1.64	95.0	1.56
12/07/2018	***-**-92CL - HAWRYLIAK, ACCOUNT #: 01477333049	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	11.54	0.00	11.54	95.0	10.96
12/07/2018	***-**-9357 - MACKENZIE, ACCOUNT #: 07044928914	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	5.48	0.00	5.48	95.0	5.21
12/07/2018	***-**-0054 - OSCHMANN, PAMELA ACCOUNT #: 00700197569	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	12.10	0.00	12.10	95.0	11.50
12/07/2018	***-**-0178 - MILICH, SHELLEY ACCOUNT #: 00516849395	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	14.15	0.00	14.15	95.0	13.44
12/07/2018	***-**-9156 - KOLUPSKI, KIM ACCOUNT #: 00701046575	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	78.38	0.00	78.38	95.0	74.46
12/07/2018	***-**-996I - MARTIN, MICHAEL ACCOUNT #: 00701808818	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	2.60	0.00	2.60	95.0	2.47



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/07/2018	***-**-305P - DI MARCO, ACCOUNT #: 00701854093	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	28.60	0.00	28.60	95.0	27.17
12/07/2018	***-**-4567 - HOWIE, GORDON ACCOUNT #: 00704021278	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	21.81	0.00	21.81	95.0	20.72
12/07/2018	***-**-9194 - MARTIN, BRIAN ACCOUNT #: 00704021286	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	0.58	0.00	0.58	95.0	0.55
12/07/2018	***-**-0300 - LOGORY, DOUGLAS ACCOUNT #: 00704131911	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	4.20	0.00	4.20	95.0	3.99
12/07/2018	***-**-806I - MARYJANOWSKI, ACCOUNT #: 00704164920	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	0.44	0.00	0.44	95.0	0.42
12/07/2018	***-**-9194 - MARTIN, BRIAN ACCOUNT #: 00704224948	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	95.0	0.18
12/07/2018	***-**-403I - MILLER, DANIEL ACCOUNT #: 00704257047	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	14.78	0.00	14.78	95.0	14.04
12/07/2018	***-**-9357 - MACKENZIE, ACCOUNT #: 00704417856	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	5.82	0.00	5.82	95.0	5.53
12/07/2018	***-**-792I - PUTNAM, CARL ACCOUNT #: 00704929348	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	0.16	0.00	0.16	95.0	0.15
12/07/2018	***-**-677I - SADLER, MICHAEL ACCOUNT #: 01432592572	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	19.61	0.00	19.61	95.0	18.63
12/07/2018	***-**-986I - MERLAU, SANDRA ACCOUNT #: 01448393544	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	22.36	0.00	22.36	95.0	21.24
12/07/2018	***-**-1159 - WHITE, MICHELE ACCOUNT #: 01454801075	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	13.34	0.00	13.34	95.0	12.67
12/07/2018	***-**-2338 - DEAN, WILLIAM ACCOUNT #: 01466906946	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	95.0	0.02
12/07/2018	***-**-0730 - TANCK, LISA ACCOUNT #: 01468853039	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	15.04	0.00	15.04	95.0	14.29
12/07/2018	***-**-72IN - HERTZEL, GERALD ACCOUNT #: 00704765932	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	19.57	0.00	19.57	95.0	18.59
12/07/2018	***-**-31IN - O'DONNELL, ACCOUNT #: 00704828987	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	8.65	0.00	8.65	95.0	8.22



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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>								
12/07/2018	***-**-7153 - MENARD, MICHAEL	FIDELITY ADV NEW INSIGHTS-CL T	0.00	55.94	0.00	55.94	95.0	53.14
	ACCOUNT #: 00009008138	BUY 0 Units @0.0000						
12/07/2018	***-**-6747 - LAKE, DAVID	FIDELITY ADV SMALL CAP CL C	0.00	0.06	0.00	0.06	95.0	0.06
	ACCOUNT #: 00655990968	BUY 0 Units @0.0000						
12/07/2018	***-**-305P - DI MARCO,	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	6.63	0.00	6.63	95.0	6.30
	ACCOUNT #: 00701854093	BUY 0 Units @0.0000						
12/07/2018	***-**-0817 - PFENNINGER,	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	0.01	0.00	0.01	95.0	0.01
	ACCOUNT #: 00702891466	BUY 0 Units @0.0000						
12/07/2018	***-**-31IN - O'DONNELL,	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	0.96	0.00	0.96	95.0	0.91
	ACCOUNT #: 00704828987	BUY 0 Units @0.0000						
12/07/2018	***-**-3750 - RAY, CHRISTIAN	FIDELITY ADV STRATEGIC INCOME CL A	0.00	0.83	0.00	0.83	95.0	0.79
	ACCOUNT #: 01459576656	BUY 0 Units @0.0000						
12/07/2018	***-**-0887 - RAY, JONATHAN	FIDELITY ADV STRATEGIC INCOME CL A	0.00	0.73	0.00	0.73	95.0	0.69
	ACCOUNT #: 01459576698	BUY 0 Units @0.0000						
12/07/2018	***-**-0054 - OSCHMANN, PAMELA	FIDELITY ADV STRATEGIC INCOME CL A	0.00	7.33	0.00	7.33	95.0	6.96
	ACCOUNT #: 00700197569	BUY 0 Units @0.0000						
12/07/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV STRATEGIC INCOME CL C	0.00	0.11	0.00	0.11	95.0	0.10
	ACCOUNT #: 00704021286	BUY 0 Units @0.0000						
12/07/2018	***-**-1128 - COOK PC, E	FIDELITY ADV STRATEGIC INCOME CL C	0.00	0.02	0.00	0.02	95.0	0.02
	ACCOUNT #: 00704075456	BUY 0 Units @0.0000						
12/07/2018	***-**-0730 - TANCK, LISA	FIDELITY ADV STRATEGIC INCOME CL C	0.00	7.25	0.00	7.25	95.0	6.89
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
12/07/2018	***-**-72IN - HERTZEL, GERALD	FIDELITY ADV STRATEGIC INCOME CL C	0.00	13.35	0.00	13.35	95.0	12.68
	ACCOUNT #: 00704765932	BUY 0 Units @0.0000						
12/07/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV TECHNOLOGY CL A	0.00	1.76	0.00	1.76	95.0	1.67
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
12/07/2018	***-**-215I - HILL, ROBERT	FIDELITY ADV TECHNOLOGY CLASS C	0.00	0.05	0.00	0.05	95.0	0.05
	ACCOUNT #: 00655371573	BUY 0 Units @0.0000						
12/07/2018	***-**-46IN - PICKETT, ANITA	FIDELITY ADV TECHNOLOGY CLASS C	0.00	0.04	0.00	0.04	95.0	0.04
	ACCOUNT #: 00655906360	BUY 0 Units @0.0000						
12/07/2018	***-**-8879 - FEIL, WILLIAM	FIDELITY ADV TECHNOLOGY CLASS C	0.00	0.79	0.00	0.79	95.0	0.75
	ACCOUNT #: 00656087202	BUY 0 Units @0.0000						



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b>								
12/07/2018	***-**-9137 - RAUTENSTAUCH, ACCOUNT #: 00669891301	FIDELITY ADV TECHNOLOGY CLASS C BUY 0 Units @0.0000	0.00	3.15	0.00	3.15	95.0	2.99
12/07/2018	***-**-9156 - KOLUPSKI, KIM ACCOUNT #: 00701046575	FIDELITY ADV VALUE STRATEGIES CL C BUY 0 Units @0.0000	0.00	33.48	0.00	33.48	95.0	31.81
12/07/2018	***-**-082I - MEYER, DENNIS ACCOUNT #: 00689728715	FIDELITY ADV VALUE STRATEGIES-CL A BUY 0 Units @0.0000	0.00	1.31	0.00	1.31	95.0	1.24
12/07/2018	***-**-0054 - OSCHMANN, PAMELA ACCOUNT #: 00700197569	FIDELITY ADVISOR DIVERSIFIED INTL F BUY 0 Units @0.0000	0.00	6.23	0.00	6.23	95.0	5.92
12/07/2018	***-**-8879 - FEIL, WILLIAM ACCOUNT #: 00656087202	FIDELITY ADVISOR EQUITY GROWTH CL C BUY 0 Units @0.0000	0.00	0.20	0.00	0.20	95.0	0.19
12/07/2018	***-**-540I - DEGNAN, SUSAN ACCOUNT #: 01483840300	FIDELITY ADVISOR JAPAN CLASS C BUY 0 Units @0.0000	0.00	3.26	0.00	3.26	95.0	3.10
12/07/2018	***-**-7832 - GEISELHART, ACCOUNT #: 00062724182	FIDELITY ADVISOR MID CAP STOCK CL T BUY 0 Units @0.0000	0.00	19.19	0.00	19.19	95.0	18.23
12/07/2018	***-**-0730 - TANCK, LISA ACCOUNT #: 01468853039	FIDELITY ADVISORS BUY 0 Units @0.0000	0.00	10.48	0.00	10.48	95.0	9.96
12/07/2018	***-**-92CL - HAWRYLIAK, ACCOUNT #: 01477333049	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 0 Units @0.0000	0.00	6.15	0.00	6.15	95.0	5.84
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$898.98</b>	<b>\$0.00</b>	<b>\$898.98</b>		<b>\$854.04</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$236.85</b>	<b>\$902.50</b>	<b>\$0.00</b>	<b>\$902.50</b>		<b>\$857.38</b>

### OVERRIDE TRANSACTIONS

**BROKER: RICHARD BIRNS**

11/30/2018	***-**-1071 - GERAKARIS, ACCOUNT #: 2419387	JOHN HANCOCK 41014C143 BUY 0 Units @0.0000	0.00	2.15	0.00	2.15	20.0	0.43
<b>* RICHARD BIRNS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$2.15</b>	<b>\$0.00</b>	<b>\$2.15</b>		<b>\$0.43</b>





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA</u></b>								
12/03/2018	***-**-539I - JALLOH, ABDULAI	AMCAP FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00084394270	BUY 2 Units @29.0300						
12/03/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 04000650661	BUY 2 Units @29.0300						
12/06/2018	***-**-20IN - GIANGRECO, TERRY	AMCAP FUND-C	80,000.00	782.00	0.00	782.00	10.0	78.20
	ACCOUNT #: LSR010603	BUY 2857 Units @28.0000						
12/03/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198121	BUY 2 Units @27.4400						
12/03/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198137	BUY 2 Units @27.4400						
12/04/2018	***-**-643I - BOSCO, GIULIO	AMERICAN BALANCED FUND-529C	75.00	0.75	0.00	0.75	10.0	0.08
	ACCOUNT #: 00089514602	BUY 3 Units @26.9600						
12/03/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 1 Units @27.5200						
12/03/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @27.5200						
12/03/2018	***-**-975P - COTTONE, MARIA	AMERICAN BALANCED FUND-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00086785798	BUY 3 Units @28.8200						
12/03/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @27.3100						
12/03/2018	***-**-984I - DELUCA, SHARI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00064868315	BUY 2 Units @27.3100						
12/03/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @27.3100						
12/03/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @27.3100						
12/03/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @27.3100						
12/03/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089051066	BUY 1 Units @27.3100						
12/03/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	12.00	0.12	0.00	0.12	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @27.3100						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
12/03/2018	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	92.36	0.92	0.00	0.92	10.0	0.09
	ACCOUNT #: 00089244081	BUY 3 Units @27.3100						
12/03/2018	***-**-035S - CAPIZZI, TRACIE	AMERICAN BALANCED FUND-C	42.53	0.43	0.00	0.43	10.0	0.04
	ACCOUNT #: 00089679504	BUY 2 Units @27.3100						
12/03/2018	***-**-255U - LIPPA, HARITINI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000385806	BUY 2 Units @27.3100						
12/04/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 7 Units @26.8300						
12/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089045192	BUY 1 Units @26.8300						
12/04/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	17.03	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 00089583477	BUY 1 Units @26.8300						
12/04/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089910177	BUY 4 Units @26.8300						
12/06/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	67.20	0.67	0.00	0.67	10.0	0.07
	ACCOUNT #: 00089722785	BUY 3 Units @26.7700						
12/07/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @26.4900						
12/07/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @26.4900						
12/07/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @26.4900						
12/03/2018	***-**-1102 - FINOCCHARIO,	AMERICAN FUNDS 2050 TARGET DATE-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 04001203455	BUY 2 Units @14.9300						
12/03/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @9.9500						
12/03/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 11 Units @9.9500						
12/07/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @9.8700						
12/07/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 11 Units @9.8700						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
12/03/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @42.5300						
12/03/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @41.8600						
12/03/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @41.8600						
12/07/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @40.2500						
12/06/2018	***-**-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 @58.3400						
12/03/2018	***-**-975P - COTTONE, MARIA	CAPITAL INCOME BUILDER-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00086785798	BUY 2 Units @62.1900						
12/03/2018	***-**-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 @48.4200						
12/03/2018	***-**-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 @47.8400						
12/04/2018	***-**-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 @46.6500						
12/04/2018	***-**-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 @46.6500						
12/06/2018	***-**-1209 - NATALE, KIMBERLY	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085764285	BUY 1 Units @46.2700						
12/06/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 1 Units @46.2700						
12/07/2018	***-**-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 @45.6200						
12/10/2018	***-**-526I - CAVALLARO,	DREYFUS MF TRAILS	0.00	0.95	0.00	0.95	10.0	0.10
	ACCOUNT #: 3360045601	BUY 0 Units @0.0000						
12/07/2018	***-**-4550 - JONES, JEFFREY	FA 529 PORT 2019-CL P	0.00	5.85	0.00	5.85	10.0	0.59
	ACCOUNT #: 00529631491	BUY 0 Units @0.0000						
12/07/2018	***-**-7278 - GUERRIERI DDS,	FIDELITY ADV ASSET MANAGER 50 PERCE	0.00	0.68	0.00	0.68	10.0	0.07
	ACCOUNT #: 00655383206	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
12/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV FREEDOM 2020-CL C	0.00	1.67	0.00	1.67	10.0	0.17
	ACCOUNT #: 01475410302	BUY 0 Units @0.0000						
12/06/2018	***-**-20IN - GIANGRECO, TERRY	FIDELITY ADV HEALTH CARE CL C	76,999.99	752.00	0.00	752.00	10.0	75.20
	ACCOUNT #: LSR010603	BUY 1938 Units @39.7400						
12/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV INTL DISCOVERY-CL A	0.00	1.46	0.00	1.46	10.0	0.15
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
12/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	3.32	0.00	3.32	10.0	0.33
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
12/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV MID CAP II-CL A	0.00	4.53	0.00	4.53	10.0	0.45
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
12/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV NEW INSIGHTS-CL A	0.00	4.58	0.00	4.58	10.0	0.46
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
12/07/2018	***-**-7352 - GEISELHART,	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	29.35	0.00	29.35	10.0	2.94
	ACCOUNT #: 00618796254	BUY 0 Units @0.0000						
12/07/2018	***-**-5703 - DIODATO,	FIDELITY ADV STRATEGIC INCOME CL C	0.00	0.52	0.00	0.52	10.0	0.05
	ACCOUNT #: 03900218260	BUY 0 Units @0.0000						
12/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV TECHNOLOGY CL A	0.00	4.33	0.00	4.33	10.0	0.43
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
12/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADVISOR FREEDOM 2020 CL A	0.00	0.88	0.00	0.88	10.0	0.09
	ACCOUNT #: 01475410302	BUY 0 Units @0.0000						
12/03/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00066759710	BUY 0 Units @62.6800						
12/03/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @62.2600						
12/03/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @62.2600						
12/03/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @62.2600						
12/03/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @62.2600						
12/03/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @62.2600						



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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>								
12/06/2018	***-**-7625 - PRINCE, ADAM	FUNDAMENTAL INVESTORS-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085764342	BUY 1 Units @59.9800						
12/06/2018	***-**-4392 - GARCIA, MICHELLE	FUNDAMENTAL INVESTORS-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @59.9800						
12/07/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @58.8400						
12/07/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @58.8400						
12/06/2018	***-**-20IN - GIANGRECO, TERRY	GLOBAL OPPORTUNITIES FUND C	76,000.02	742.00	0.00	742.00	10.0	74.20
	ACCOUNT #: LSR010603	BUY 1420 Units @53.5300						
12/03/2018	***-**-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 @22.5100						
12/07/2018	***-**-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 @21.8500						
12/03/2018	***-**-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						
12/03/2018	***-**-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 @39.7500						
12/04/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	16.54	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @38.6100						
12/06/2018	***-**-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 @38.4700						
12/06/2018	***-**-96CL - SCARPULLA,	INVESTMENT COMPANY OF AMERICA CLASS	50.40	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089722785	BUY 1 Units @38.4700						
12/07/2018	***-**-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 @37.7600						
11/30/2018	***-**-190I - BRONGO, TERESA	LINCOLN CHOICEPLUS ASSURANCE B	115,000.00	7,187.50	0.00	7,187.50	10.0	718.75
		BUY 1 Units @115000.000						
12/03/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 1 Units @41.8600						
12/03/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 1 Units @41.8600						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
12/03/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @41.8600	20.00	0.20	0.00	0.20	10.0	0.02
12/03/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @41.8600	6.00	0.06	0.00	0.06	10.0	0.01
12/07/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 1 Units @39.6700	21.00	0.21	0.00	0.21	10.0	0.02
12/07/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 1 Units @39.6700	21.00	0.21	0.00	0.21	10.0	0.02
12/03/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @59.4400	21.00	0.21	0.00	0.21	10.0	0.02
12/03/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @59.4400	21.00	0.21	0.00	0.21	10.0	0.02
12/03/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	NEW WORLD FUND-C BUY 1 Units @59.4400	48.20	0.48	0.00	0.48	10.0	0.05
12/07/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @56.9800	21.00	0.21	0.00	0.21	10.0	0.02
12/07/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @56.9800	21.00	0.21	0.00	0.21	10.0	0.02
12/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	NEW WORLD FUND-C BUY 1 Units @56.9800	48.20	0.48	0.00	0.48	10.0	0.05
12/10/2018	***-**-6793 - ESTEP, ARDEN ACCOUNT #: 77375699601	NYA JPM 529 CONSV GROWTH C BUY 0 Units @0.0000	526.25	5.27	0.00	5.27	10.0	0.53
12/03/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @48.3400	48.20	0.48	0.00	0.48	10.0	0.05
12/03/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @48.3400	20.00	0.20	0.00	0.20	10.0	0.02
12/03/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @48.3400	6.00	0.06	0.00	0.06	10.0	0.01
12/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @45.7800	48.20	0.48	0.00	0.48	10.0	0.05
12/03/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.4100	28.05	0.28	0.00	0.28	10.0	0.03



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
12/03/2018	***-**-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 @12.4100						
12/07/2018	***-**-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 @12.4800						
12/07/2018	***-**-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 @12.4800						
12/03/2018	***-**-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 @52.9100						
12/03/2018	***-**-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 @52.9100						
12/03/2018	***-**-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 @52.9100						
12/03/2018	***-**-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 @52.9100						
12/03/2018	***-**-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 @52.9100						
12/03/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	79.20	0.79	0.00	0.79	10.0	0.08
	ACCOUNT #: 00083414110	BUY 1 Units @52.9100						
12/03/2018	***-**-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 @52.9100						
12/03/2018	***-**-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 @52.9100						
12/03/2018	***-**-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 @56.1400						
12/03/2018	***-**-984I - DELUCA, SHARI	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00064868315	BUY 1 Units @48.7100						
12/03/2018	***-**-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 @48.7100						
12/03/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	59.88	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00089319958	BUY 1 Units @48.7100						
12/03/2018	***-**-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 @48.7100						



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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>								
12/03/2018	***-**-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 @48.7100						
12/04/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	176.00	1.76	0.00	1.76	10.0	0.18
	ACCOUNT #: 00073003754	BUY 4 Units @47.0800						
12/04/2018	***-**-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 @47.0800						
12/04/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	16.53	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @47.0800						
12/06/2018	***-**-4392 - GARCIA, MICHELLE	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 1 Units @47.0600						
12/06/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	50.40	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089722785	BUY 1 Units @47.0600						
12/07/2018	***-**-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 @45.9700						
12/03/2018	***-**-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 @40.2300						
12/03/2018	***-**-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 @40.2300						
12/03/2018	***-**-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 @40.2300						
12/03/2018	***-**-545P - VISCA, ANGELO	THE INVESTMENT COMPANY OF AMERICA-A	100.00	2.75	0.00	2.75	10.0	0.28
	ACCOUNT #: 00063056262	BUY 2 Units @41.6900						
12/03/2018	***-**-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 @41.4700						
12/03/2018	***-**-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 @12.6700						
12/03/2018	***-**-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 @12.6700						
12/07/2018	***-**-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 @13.3500						
12/03/2018	***-**-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 @46.2100						





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
12/03/2018	***-**-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 @47.8900						
12/03/2018	***-**-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 @45.5300						
12/03/2018	***-**-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 @45.5300						
12/04/2018	***-**-435P - BOSCO, SOFIA	WASHINGTON MUTUAL INVESTORS FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 4 Units @44.2800						
12/04/2018	***-**-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 @44.2800						
	<b>* FREDERIC SCARPULLA SUBTOTAL *</b>		<b>\$354,350.66</b>	<b>\$9,595.26</b>	<b>\$0.00</b>	<b>\$9,595.26</b>		<b>\$959.74</b>
<b><u>BROKER: WILLIAM AGNELLO</u></b>								
11/30/2018	***-**-36IO - IRWIN, CHARLES	ARLINGTON ASSET INVT CORP CL A NEW	2,554.50	51.36	0.00	51.36	25.0	12.84
	ACCOUNT #: LSR007200	SELL 300 Units @8.5150						
	<b>* WILLIAM AGNELLO SUBTOTAL *</b>		<b>\$2,554.50</b>	<b>\$51.36</b>	<b>\$0.00</b>	<b>\$51.36</b>		<b>\$12.84</b>
<b><u>BROKER: JAMES LOMBARDO</u></b>								
12/03/2018	***-**-6802 - NAKANO, AMELIA	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00082853395	BUY 2 Units @28.9700						
12/03/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 04000460394	BUY 2 Units @29.2000						
12/03/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 04000460402	BUY 2 Units @29.2000						
12/03/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	100.00	5.00	0.00	5.00	15.0	0.75
	ACCOUNT #: 00087068370	BUY 3 Units @29.2000						
12/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 2 Units @28.2500						
12/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN MUTUAL FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @43.4600						
12/06/2018	***-**-2608 - GIAMAS, GREGORY	FUNDAMENTAL INVESTORS-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @63.2400						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: JAMES LOMBARDO (continued)</u></b>								
12/06/2018	***-**-2608 - GIAMAS, GREGORY	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @44.4100						
12/03/2018	***-**-6802 - NAKANO, AMELIA	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	15.0	0.23
	ACCOUNT #: 00082853395	BUY 4 Units @12.8900						
12/03/2018	***-**-3040 - KOTARY, BRANDY	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	15.0	0.23
	ACCOUNT #: 00087642268	BUY 4 Units @12.8900						
12/06/2018	***-**-2608 - GIAMAS, GREGORY	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @53.5300						
12/06/2018	***-**-3828 - DUSABLON, DANIEL	U.S. GOVERNMENT SECURITIES FUND CLA	150.00	4.50	0.00	4.50	15.0	0.68
	ACCOUNT #: 00084530390	BUY 11 Units @13.8700						
* JAMES LOMBARDO SUBTOTAL *			\$750.00	\$29.03	\$0.00	\$29.03		\$4.37
*** OVERRIDE TRANSACTIONS TOTAL ***			\$357,655.16	\$9,677.80	\$0.00	\$9,677.80		\$977.38

## **BROKER COMMISSION TOTALS**

Broker Transactions	\$857.38
Split Transactions	\$0.00
Override Transactions	\$977.38
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$61.89
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$1,896.65
Year-to-date Earnings	\$104,651.38