



# COMMISSION STATEMENT

## October 15, 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>								
09/20/2018	***-**-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						
09/28/2018	***-**-575I - PALELLA, CHARLES	EQUITY INCOME FUND, INC. A	250.00	10.00	0.00	10.00	95.0	9.50
	ACCOUNT #: 08350895037	BUY 0 Units @0.0000						
09/27/2018	***-**-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						
09/20/2018	***-**-5142 - WASHINGTON	INTERNATIONAL BOND A	25.00	1.00	0.00	1.00	95.0	0.95
	ACCOUNT #: 08810288553	BUY 0 Units @0.0000						
09/20/2018	***-**-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						
09/27/2018	***-**-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						
09/20/2018	***-**-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						
09/27/2018	***-**-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						
09/20/2018	***-**-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						
* MUTUAL FUNDS SUBTOTAL *			<b>\$485.00</b>	<b>\$18.18</b>	<b>\$0.00</b>	<b>\$18.18</b>		<b>\$17.28</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
10/08/2018	***-**-60CL - KALINOWSKI,	LINCOLN 008148728	54.29	1.09	0.00	1.09	95.0	1.04
	ACCOUNT #: F1525479	BUY 0 Units @0.0000						
10/09/2018	***-**-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>\$154.29</b>	<b>\$1.09</b>	<b>\$0.00</b>	<b>\$1.09</b>		<b>\$1.04</b>
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
09/27/2018	***-**-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 @28.8900						
10/01/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 01438811646	BUY 2 Units @28.8800						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: 529 PLAN (continued)</b>								
10/01/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 00625264015	BUY 2 Units @28.8800						
10/01/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 01429492661	BUY 2 Units @28.8800						
* 529 PLAN SUBTOTAL *			\$200.00	\$2.00	\$0.00	\$2.00		\$1.92
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
10/03/2018	***-**-837J - HARRIS, THOMAS	DYNAMIC SMALL CAP FUND - A	0.00	2.19	0.00	2.19	95.0	2.08
	ACCOUNT #: 00000442576	BUY 0 Units @0.0000						
10/03/2018	***-**-14UG - MANNO, PAUL A	DYNAMIC SMALL CAP FUND - A	0.00	8.13	0.00	8.13	95.0	7.72
	ACCOUNT #: 00000456570	BUY 0 Units @0.0000						
10/03/2018	***-**-73IN - PHILIPPY, MARK	DYNAMIC SMALL CAP FUND - A	0.00	3.17	0.00	3.17	95.0	3.01
	ACCOUNT #: 00000457290	BUY 0 Units @0.0000						
10/03/2018	***-**-380I - COOK, JANINE	DYNAMIC SMALL CAP FUND - A	0.00	8.94	0.00	8.94	95.0	8.49
	ACCOUNT #: 00000458187	BUY 0 Units @0.0000						
10/03/2018	***-**-14UG - MANNO, PAUL A	DYNAMIC SMALL CAP FUND - A	0.00	8.13	0.00	8.13	95.0	7.72
	ACCOUNT #: 00000476122	BUY 0 Units @0.0000						
10/03/2018	***-**-16IN - CURRAN, THOMAS	DYNAMIC SMALL CAP FUND - A	0.00	6.50	0.00	6.50	95.0	6.18
	ACCOUNT #: 00000478324	BUY 0 Units @0.0000						
10/03/2018	***-**-305P - MILGATE, PATRICK	DYNAMIC SMALL CAP FUND - A	0.00	4.74	0.00	4.74	95.0	4.50
	ACCOUNT #: 00000485407	BUY 0 Units @0.0000						
10/05/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 COLLEGE PORT-CL C	0.00	2.55	0.00	2.55	95.0	2.42
	ACCOUNT #: 00625374335	BUY 0 Units @0.0000						
10/05/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	2.93	0.00	2.93	95.0	2.78
	ACCOUNT #: 00625264015	BUY 0 Units @0.0000						
10/05/2018	***-**-2326 - SILLS, MICHAEL	FA 529 NEW INSIGHTS PORT-CL A	0.00	0.71	0.00	0.71	95.0	0.67
	ACCOUNT #: 00625388988	BUY 0 Units @0.0000						
10/05/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	5.23	0.00	5.23	95.0	4.97
	ACCOUNT #: 01429492661	BUY 0 Units @0.0000						
10/05/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	3.76	0.00	3.76	95.0	3.57
	ACCOUNT #: 01429492687	BUY 0 Units @0.0000						
10/05/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	2.24	0.00	2.24	95.0	2.13
	ACCOUNT #: 01438811646	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/05/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	1.18	0.00	1.18	95.0	1.12
	ACCOUNT #: 01439435668	BUY 0 Units @0.0000						
10/05/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	2.04	0.00	2.04	95.0	1.94
	ACCOUNT #: 00625264015	BUY 0 Units @0.0000						
10/05/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	1.96	0.00	1.96	95.0	1.86
	ACCOUNT #: 01429492661	BUY 0 Units @0.0000						
10/05/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	2.15	0.00	2.15	95.0	2.04
	ACCOUNT #: 01429492687	BUY 0 Units @0.0000						
10/05/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	2.02	0.00	2.02	95.0	1.92
	ACCOUNT #: 01438811646	BUY 0 Units @0.0000						
10/05/2018	***-**-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						
10/05/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV DIVIDEND GROWTH FD CL	0.00	2.12	0.00	2.12	95.0	2.01
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
10/05/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV EMERGING ASIA FUND CL	0.00	3.42	0.00	3.42	95.0	3.25
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
10/05/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADV EMERGING MKTS CL A	0.00	1.27	0.00	1.27	95.0	1.21
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						
10/05/2018	***-**-26IR - SILLS, MICHAEL	FIDELITY ADV EMERGING MKTS CL A	0.00	0.23	0.00	0.23	95.0	0.22
	ACCOUNT #: 01440241196	BUY 0 Units @0.0000						
10/05/2018	***-**-305P - DI MARCO,	FIDELITY ADV EMERGING MKTS-CL C	0.00	2.58	0.00	2.58	95.0	2.45
	ACCOUNT #: 00701854093	BUY 0 Units @0.0000						
10/05/2018	***-**-4567 - HOWIE, GORDON	FIDELITY ADV EMERGING MKTS-CL C	0.00	2.07	0.00	2.07	95.0	1.97
	ACCOUNT #: 00704021278	BUY 0 Units @0.0000						
10/05/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV EMERGING MKTS-CL C	0.00	0.56	0.00	0.56	95.0	0.53
	ACCOUNT #: 00704021286	BUY 0 Units @0.0000						
10/05/2018	***-**-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						
10/05/2018	***-**-248I - STAAB, DONNA	FIDELITY ADV EMERGING MKTS-CL C	0.00	2.20	0.00	2.20	95.0	2.09
	ACCOUNT #: 00704192111	BUY 0 Units @0.0000						
10/05/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV EMERGING MKTS-CL C	0.00	0.33	0.00	0.33	95.0	0.31
	ACCOUNT #: 00704224948	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/05/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV EQUITY GROWTH CL A	0.00	2.13	0.00	2.13	95.0	2.02
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
10/05/2018	***-**-7153 - MENARD, MICHAEL	FIDELITY ADV EQUITY GROWTH CL T	0.00	99.49	0.00	99.49	95.0	94.52
	ACCOUNT #: 00009008138	BUY 0 Units @0.0000						
10/05/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV GLOBAL CAP APP-CL C	0.00	4.35	0.00	4.35	95.0	4.13
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
10/05/2018	***-**-0730 - TANCK, LISA	FIDELITY ADV GROWTH & INCOME CL C	0.00	10.26	0.00	10.26	95.0	9.75
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
10/05/2018	***-**-215I - HILL, ROBERT	FIDELITY ADV HEALTH CARE CL C	0.00	11.51	0.00	11.51	95.0	10.93
	ACCOUNT #: 00655371573	BUY 0 Units @0.0000						
10/05/2018	***-**-540I - DEGNAN, SUSAN	FIDELITY ADV HEALTH CARE CL C	0.00	3.58	0.00	3.58	95.0	3.40
	ACCOUNT #: 01483840300	BUY 0 Units @0.0000						
10/05/2018	***-**-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						
10/05/2018	***-**-6747 - LAKE, DAVID	FIDELITY ADV INTL CAPITAL APP CL C	0.00	1.49	0.00	1.49	95.0	1.42
	ACCOUNT #: 00655990968	BUY 0 Units @0.0000						
10/05/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	0.91	0.00	0.91	95.0	0.86
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						
10/05/2018	***-**-806I - MARYJANOWSKI,	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	0.53	0.00	0.53	95.0	0.50
	ACCOUNT #: 00704164920	BUY 0 Units @0.0000						
10/05/2018	***-**-248I - STAAB, DONNA	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	3.51	0.00	3.51	95.0	3.33
	ACCOUNT #: 00704192111	BUY 0 Units @0.0000						
10/05/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	0.80	0.00	0.80	95.0	0.76
	ACCOUNT #: 00704224948	BUY 0 Units @0.0000						
10/05/2018	***-**-423I -	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	1.84	0.00	1.84	95.0	1.75
	ACCOUNT #: 00625454525	BUY 0 Units @0.0000						
10/05/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	1.95	0.00	1.95	95.0	1.85
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						
10/05/2018	***-**-586I - BACH, LINDA	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	2.56	0.00	2.56	95.0	2.43
	ACCOUNT #: 01447589845	BUY 0 Units @0.0000						
10/05/2018	***-**-3750 - RAY, CHRISTIAN	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	1.18	0.00	1.18	95.0	1.12
	ACCOUNT #: 01459576656	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/05/2018	***-**-0887 - RAY, JONATHAN ACCOUNT #: 01459576698	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	1.18	0.00	1.18	95.0	1.12
10/05/2018	***-**-92CL - HAWRYLIAK, ACCOUNT #: 01477333049	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	10.68	0.00	10.68	95.0	10.15
10/05/2018	***-**-677I - SADLER, MICHAEL ACCOUNT #: 01432592572	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	7.97	0.00	7.97	95.0	7.57
10/05/2018	***-**-986I - MERLAU, SANDRA ACCOUNT #: 01448393544	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	16.90	0.00	16.90	95.0	16.06
10/05/2018	***-**-0730 - TANCK, LISA ACCOUNT #: 01468853039	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	12.93	0.00	12.93	95.0	12.28
10/05/2018	***-**-72IN - HERTZEL, GERALD ACCOUNT #: 00704765932	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	15.66	0.00	15.66	95.0	14.88
10/05/2018	***-**-215I - HILL, ROBERT ACCOUNT #: 00655371573	FIDELITY ADV MID CAP CL C BUY 0 Units @0.0000	0.00	0.06	0.00	0.06	95.0	0.06
10/05/2018	***-**-9156 - KOLUPSKI, KIM ACCOUNT #: 00701046575	FIDELITY ADV MID CAP CL C BUY 0 Units @0.0000	0.00	69.23	0.00	69.23	95.0	65.77
10/05/2018	***-**-4567 - HOWIE, GORDON ACCOUNT #: 00704021278	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	10.55	0.00	10.55	95.0	10.02
10/05/2018	***-**-806I - MARYJANOWSKI, ACCOUNT #: 00704164920	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	0.93	0.00	0.93	95.0	0.88
10/05/2018	***-**-248I - STAAB, DONNA ACCOUNT #: 00704192111	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	15.98	0.00	15.98	95.0	15.18
10/05/2018	***-**-9194 - MARTIN, BRIAN ACCOUNT #: 00704224948	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	0.55	0.00	0.55	95.0	0.52
10/05/2018	***-**-403I - MILLER, DANIEL ACCOUNT #: 00704257047	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	4.45	0.00	4.45	95.0	4.23
10/05/2018	***-**-9357 - MACKENZIE, ACCOUNT #: 00704417856	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	5.00	0.00	5.00	95.0	4.75
10/05/2018	***-**-986I - MERLAU, SANDRA ACCOUNT #: 01448393544	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	12.44	0.00	12.44	95.0	11.82
10/05/2018	***-**-72IN - HERTZEL, GERALD ACCOUNT #: 00704765932	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	22.77	0.00	22.77	95.0	21.63



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/05/2018	***-**-31IN - O'DONNELL, ACCOUNT #: 00704828987	FIDELITY ADV MID CAP II - CL C BUY 0 Units @0.0000	0.00	8.78	0.00	8.78	95.0	8.34
10/05/2018	***-**-015I - COLONEY, SHIRLEY ACCOUNT #: 01438826586	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	1.66	0.00	1.66	95.0	1.58
10/05/2018	***-**-586I - BACH, LINDA ACCOUNT #: 01447589845	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	8.15	0.00	8.15	95.0	7.74
10/05/2018	***-**-3750 - RAY, CHRISTIAN ACCOUNT #: 01459576656	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	1.21	0.00	1.21	95.0	1.15
10/05/2018	***-**-0887 - RAY, JONATHAN ACCOUNT #: 01459576698	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	1.21	0.00	1.21	95.0	1.15
10/05/2018	***-**-92CL - HAWRYLIAK, ACCOUNT #: 01477333049	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	10.76	0.00	10.76	95.0	10.22
10/05/2018	***-**-9357 - MACKENZIE, ACCOUNT #: 07044928914	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	2.91	0.00	2.91	95.0	2.76
10/05/2018	***-**-423I - ACCOUNT #: 00625454525	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	7.42	0.00	7.42	95.0	7.05
10/05/2018	***-**-661I - LACY, KIMBERLY ACCOUNT #: 00704518646	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	95.0	0.29
10/05/2018	***-**-586I - BACH, LINDA ACCOUNT #: 01447589845	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	20.69	0.00	20.69	95.0	19.66
10/05/2018	***-**-3750 - RAY, CHRISTIAN ACCOUNT #: 01459576656	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	1.36	0.00	1.36	95.0	1.29
10/05/2018	***-**-0887 - RAY, JONATHAN ACCOUNT #: 01459576698	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	1.81	0.00	1.81	95.0	1.72
10/05/2018	***-**-92CL - HAWRYLIAK, ACCOUNT #: 01477333049	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	12.71	0.00	12.71	95.0	12.07
10/05/2018	***-**-9357 - MACKENZIE, ACCOUNT #: 07044928914	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	6.04	0.00	6.04	95.0	5.74
10/05/2018	***-**-0054 - OSCHMANN, PAMELA ACCOUNT #: 00700197569	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	13.33	0.00	13.33	95.0	12.66
10/05/2018	***-**-0178 - MILICH, SHELLEY ACCOUNT #: 00516849395	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	15.62	0.00	15.62	95.0	14.84



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/05/2018	***-**-9156 - KOLUPSKI, KIM ACCOUNT #: 00701046575	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	86.47	0.00	86.47	95.0	82.15
10/05/2018	***-**-996I - MARTIN, MICHAEL ACCOUNT #: 00701808818	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	2.87	0.00	2.87	95.0	2.73
10/05/2018	***-**-305P - DI MARCO, ACCOUNT #: 00701854093	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	31.55	0.00	31.55	95.0	29.97
10/05/2018	***-**-4567 - HOWIE, GORDON ACCOUNT #: 00704021278	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	24.07	0.00	24.07	95.0	22.87
10/05/2018	***-**-9194 - MARTIN, BRIAN ACCOUNT #: 00704021286	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	0.64	0.00	0.64	95.0	0.61
10/05/2018	***-**-0300 - LOGORY, DOUGLAS ACCOUNT #: 00704131911	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	4.63	0.00	4.63	95.0	4.40
10/05/2018	***-**-806I - MARYJANOWSKI, ACCOUNT #: 00704164920	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	0.50	0.00	0.50	95.0	0.48
10/05/2018	***-**-9194 - MARTIN, BRIAN ACCOUNT #: 00704224948	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	0.22	0.00	0.22	95.0	0.21
10/05/2018	***-**-403I - MILLER, DANIEL ACCOUNT #: 00704257047	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	16.31	0.00	16.31	95.0	15.49
10/05/2018	***-**-9357 - MACKENZIE, ACCOUNT #: 00704417856	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	6.93	0.00	6.93	95.0	6.58
10/05/2018	***-**-792I - PUTNAM, CARL ACCOUNT #: 00704929348	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	0.18	0.00	0.18	95.0	0.17
10/05/2018	***-**-677I - SADLER, MICHAEL ACCOUNT #: 01432592572	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	21.63	0.00	21.63	95.0	20.55
10/05/2018	***-**-986I - MERLAU, SANDRA ACCOUNT #: 01448393544	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	24.67	0.00	24.67	95.0	23.44
10/05/2018	***-**-1159 - WHITE, MICHELE ACCOUNT #: 01454801075	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	14.73	0.00	14.73	95.0	13.99
10/05/2018	***-**-2338 - DEAN, WILLIAM ACCOUNT #: 01466906946	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	0.03	0.00	0.03	95.0	0.03
10/05/2018	***-**-0730 - TANCK, LISA ACCOUNT #: 01468853039	FIDELITY ADV NEW INSIGHTS-CL C BUY 0 Units @0.0000	0.00	16.60	0.00	16.60	95.0	15.77



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/05/2018	***-**-72IN - HERTZEL, GERALD	FIDELITY ADV NEW INSIGHTS-CL C	0.00	21.59	0.00	21.59	95.0	20.51
	ACCOUNT #: 00704765932	BUY 0 Units @0.0000						
10/05/2018	***-**-31IN - O'DONNELL,	FIDELITY ADV NEW INSIGHTS-CL C	0.00	9.55	0.00	9.55	95.0	9.07
	ACCOUNT #: 00704828987	BUY 0 Units @0.0000						
10/05/2018	***-**-7153 - MENARD, MICHAEL	FIDELITY ADV NEW INSIGHTS-CL T	0.00	61.66	0.00	61.66	95.0	58.58
	ACCOUNT #: 00009008138	BUY 0 Units @0.0000						
10/05/2018	***-**-6747 - LAKE, DAVID	FIDELITY ADV SMALL CAP CL C	0.00	0.07	0.00	0.07	95.0	0.07
	ACCOUNT #: 00655990968	BUY 0 Units @0.0000						
10/05/2018	***-**-305P - DI MARCO,	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	7.32	0.00	7.32	95.0	6.95
	ACCOUNT #: 00701854093	BUY 0 Units @0.0000						
10/05/2018	***-**-0817 - PFENNINGER,	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	0.02	0.00	0.02	95.0	0.02
	ACCOUNT #: 00702891466	BUY 0 Units @0.0000						
10/05/2018	***-**-31IN - O'DONNELL,	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	0.99	0.00	0.99	95.0	0.94
	ACCOUNT #: 00704828987	BUY 0 Units @0.0000						
10/05/2018	***-**-3750 - RAY, CHRISTIAN	FIDELITY ADV STRATEGIC INCOME CL A	0.00	0.84	0.00	0.84	95.0	0.80
	ACCOUNT #: 01459576656	BUY 0 Units @0.0000						
10/05/2018	***-**-0887 - RAY, JONATHAN	FIDELITY ADV STRATEGIC INCOME CL A	0.00	0.74	0.00	0.74	95.0	0.70
	ACCOUNT #: 01459576698	BUY 0 Units @0.0000						
10/05/2018	***-**-0054 - OSCHMANN, PAMELA	FIDELITY ADV STRATEGIC INCOME CL A	0.00	7.46	0.00	7.46	95.0	7.09
	ACCOUNT #: 00700197569	BUY 0 Units @0.0000						
10/05/2018	***-**-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						
10/05/2018	***-**-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						
10/05/2018	***-**-0730 - TANCK, LISA	FIDELITY ADV STRATEGIC INCOME CL C	0.00	7.38	0.00	7.38	95.0	7.01
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
10/05/2018	***-**-72IN - HERTZEL, GERALD	FIDELITY ADV STRATEGIC INCOME CL C	0.00	13.58	0.00	13.58	95.0	12.90
	ACCOUNT #: 00704765932	BUY 0 Units @0.0000						
10/05/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV TECHNOLOGY CL A	0.00	2.06	0.00	2.06	95.0	1.96
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
10/05/2018	***-**-215I - HILL, ROBERT	FIDELITY ADV TECHNOLOGY CLASS C	0.00	0.06	0.00	0.06	95.0	0.06
	ACCOUNT #: 00655371573	BUY 0 Units @0.0000						





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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/05/2018	***-**-46IN - PICKETT, ANITA	FIDELITY ADV TECHNOLOGY CLASS C	0.00	0.05	0.00	0.05	95.0	0.05
	ACCOUNT #: 00655906360	BUY 0 Units @0.0000						
10/05/2018	***-**-8879 - FEIL, WILLIAM	FIDELITY ADV TECHNOLOGY CLASS C	0.00	0.93	0.00	0.93	95.0	0.88
	ACCOUNT #: 00656087202	BUY 0 Units @0.0000						
10/05/2018	***-**-9137 - RAUTENSTAUCH,	FIDELITY ADV TECHNOLOGY CLASS C	0.00	3.64	0.00	3.64	95.0	3.46
	ACCOUNT #: 00669891301	BUY 0 Units @0.0000						
10/05/2018	***-**-9156 - KOLUPSKI, KIM	FIDELITY ADV VALUE STRATEGIES CL C	0.00	37.05	0.00	37.05	95.0	35.20
	ACCOUNT #: 00701046575	BUY 0 Units @0.0000						
10/05/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV VALUE STRATEGIES-CL A	0.00	1.45	0.00	1.45	95.0	1.38
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
10/05/2018	***-**-0054 - OSCHMANN, PAMELA	FIDELITY ADVISOR DIVERSIFIED INTL F	0.00	6.82	0.00	6.82	95.0	6.48
	ACCOUNT #: 00700197569	BUY 0 Units @0.0000						
10/05/2018	***-**-8879 - FEIL, WILLIAM	FIDELITY ADVISOR EQUITY GROWTH CL C	0.00	0.22	0.00	0.22	95.0	0.21
	ACCOUNT #: 00656087202	BUY 0 Units @0.0000						
10/05/2018	***-**-540I - DEGNAN, SUSAN	FIDELITY ADVISOR JAPAN CLASS C	0.00	3.58	0.00	3.58	95.0	3.40
	ACCOUNT #: 01483840300	BUY 0 Units @0.0000						
10/05/2018	***-**-7832 - GEISELHART,	FIDELITY ADVISOR MID CAP STOCK CL T	0.00	20.82	0.00	20.82	95.0	19.78
	ACCOUNT #: 00062724182	BUY 0 Units @0.0000						
10/05/2018	***-**-0730 - TANCK, LISA	FIDELITY ADVISORS	0.00	10.57	0.00	10.57	95.0	10.04
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
10/05/2018	***-**-92CL - HAWRYLIAK,	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	6.14	0.00	6.14	95.0	5.83
	ACCOUNT #: 01477333049	BUY 0 Units @0.0000						
10/15/2018	***-**-60CL - KALINOWSKI,	IVY INVESTMENT TRAILS	0.00	14.75	0.00	14.75	95.0	14.01
		BUY 0 Units @0.0000						
10/15/2018	***-**-60CL - KALINOWSKI,	JANUS MF TRAILS	0.00	5.12	0.00	5.12	95.0	4.86
		BUY 0 Units @0.0000						
10/01/2018	***-**-6543 - PLAN, SEP	MASSACHUSETTS INVESTORS TRUST-A	0.00	5.73	0.00	5.73	95.0	5.44
	ACCOUNT #: 00060500705	BUY 0 Units @0.0000						
10/01/2018	***-**-853I - COOPER, LENORE	MASSACHUSETTS INVESTORS TRUST-A	0.00	28.25	0.00	28.25	95.0	26.84
	ACCOUNT #: 00060156775	BUY 0 Units @0.0000						
10/01/2018	***-**-41IR - SCHNEIDER,	MFS CORE EQUITY FUND-A	0.00	3.87	0.00	3.87	95.0	3.68
	ACCOUNT #: 00090011368	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/01/2018	***-**-792I - SCHRANK, MARION	MFS EMERGING GROWTH FUND CLASS A	0.00	15.36	0.00	15.36	95.0	14.59
	ACCOUNT #: 00060212339	BUY 0 Units @0.0000						
10/01/2018	***-**-876I - STAUB, DAVID	MFS EMERGING GROWTH FUND CLASS A	0.00	19.44	0.00	19.44	95.0	18.47
	ACCOUNT #: 00060236483	BUY 0 Units @0.0000						
10/01/2018	***-**-828I - VISCO ., GEORGE	MFS EMERGING GROWTH FUND CLASS A	0.00	0.43	0.00	0.43	95.0	0.41
	ACCOUNT #: 00060237092	BUY 0 Units @0.0000						
10/01/2018	***-**-7876 - STAUB, DAVID	MFS EMERGING GROWTH FUND CLASS A	0.00	25.02	0.00	25.02	95.0	23.77
	ACCOUNT #: 00060239694	BUY 0 Units @0.0000						
10/01/2018	***-**-828I - VISCO ., GEORGE	MFS EMERGING GROWTH FUND CLASS A	0.00	0.32	0.00	0.32	95.0	0.30
	ACCOUNT #: 00060240181	BUY 0 Units @0.0000						
10/01/2018	***-**-702I - VISCO, ROSEMARIE	MFS EMERGING GROWTH FUND CLASS A	0.00	8.27	0.00	8.27	95.0	7.86
	ACCOUNT #: 00060240182	BUY 0 Units @0.0000						
10/01/2018	***-**-285P - VISCO, GEORGE	MFS EMERGING GROWTH FUND CLASS A	0.00	3.89	0.00	3.89	95.0	3.70
	ACCOUNT #: 00060254972	BUY 0 Units @0.0000						
10/01/2018	***-**-4904 - ASITO, VINCENT	MFS EMERGING GROWTH FUND CLASS A	0.00	40.06	0.00	40.06	95.0	38.06
	ACCOUNT #: 00060296008	BUY 0 Units @0.0000						
10/01/2018	***-**-9702 - VISCO, ROSE	MFS EMERGING GROWTH FUND CLASS A	0.00	1.07	0.00	1.07	95.0	1.02
	ACCOUNT #: 00060362861	BUY 0 Units @0.0000						
10/01/2018	***-**-43IR - KEYMEL, JOHN	MFS GLOBAL TOTAL RETURN FUND-A	0.00	2.46	0.00	2.46	95.0	2.34
	ACCOUNT #: 00060565654	BUY 0 Units @0.0000						
10/01/2018	***-**-2828 - DECSOURCE INC	MFS NEW DISCOVERY FUND-A	0.00	3.73	0.00	3.73	95.0	3.54
	ACCOUNT #: 00060485178	BUY 0 Units @0.0000						
10/01/2018	***-**-2669 - CORNELL, JAMES	MFS RESEARCH FUND-A	0.00	8.87	0.00	8.87	95.0	8.43
	ACCOUNT #: 00060259738	BUY 0 Units @0.0000						
10/01/2018	***-**-876I - STAUB, DAVID	MFS RESEARCH FUND-A	0.00	21.32	0.00	21.32	95.0	20.25
	ACCOUNT #: 00060237685	BUY 0 Units @0.0000						
10/01/2018	***-**-7876 - STAUB, DAVID	MFS RESEARCH FUND-A	0.00	25.77	0.00	25.77	95.0	24.48
	ACCOUNT #: 00060240868	BUY 0 Units @0.0000						
10/01/2018	***-**-7876 - STAUB, DAVID	MFS RESEARCH FUND-A	0.00	11.93	0.00	11.93	95.0	11.33
	ACCOUNT #: 00060361120	BUY 0 Units @0.0000						
10/01/2018	***-**-52UG - STAUB, KEITH	MFS RESEARCH FUND-A	0.00	2.39	0.00	2.39	95.0	2.27
	ACCOUNT #: 00060565257	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/01/2018	***-**-6856 - STAUB SURVEYORS	MFS RESEARCH FUND-A	0.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 00060585786	BUY 0 Units @0.0000						
10/01/2018	***-**-22IR - KEYMEL, KAREN	MFS TECHNOLOGY FUND CLASS A	0.00	4.50	0.00	4.50	95.0	4.28
	ACCOUNT #: 00060566745	BUY 0 Units @0.0000						
10/01/2018	***-**-43IR - KEYMEL, JOHN	MFS TECHNOLOGY FUND CLASS A	0.00	4.81	0.00	4.81	95.0	4.57
	ACCOUNT #: 00060566746	BUY 0 Units @0.0000						
10/01/2018	***-**-6543 - PLAN, SEP	MFS TOTAL RETURN FUND-A	0.00	4.70	0.00	4.70	95.0	4.47
	ACCOUNT #: 00060565488	BUY 0 Units @0.0000						
10/15/2018	***-**-795P - SHARPSTENE,	NEST TRAILS	0.00	0.15	0.00	0.15	95.0	0.14
	ACCOUNT #: 74222267401	BUY 0 Units @0.0000						
10/15/2018	***-**-9194 - MARTIN, BRIAN	NEST TRAILS	0.00	0.15	0.00	0.15	95.0	0.14
	ACCOUNT #: 74414496301	BUY 0 Units @0.0000						
10/15/2018	***-**-885P - SPENCER, KRISTIN	NEST TRAILS	0.00	5.01	0.00	5.01	95.0	4.76
	ACCOUNT #: 74626689001	BUY 0 Units @0.0000						
10/15/2018	***-**-1377 - MARCHESE, PAUL	NEW YORK 529 TRAILS	0.00	7.19	0.00	7.19	95.0	6.83
	ACCOUNT #: 77056237301	BUY 0 Units @0.0000						
10/15/2018	***-**-9798 - MARCHESE, SANDRA	PRUDENTIAL MF TRAILS	0.00	4.59	0.00	4.59	95.0	4.36
		BUY 0 Units @0.0000						
10/01/2018	***-**-8207 - LUTE, DEBORAH	PUTNAM 746763523	0.00	9.00	0.00	9.00	95.0	8.55
	ACCOUNT #: 00551417046	BUY 0 Units @0.0000						
10/01/2018	***-**-06IN - HENNESSY,	PUTNAM ASSET ALLOC GROWTH-A	0.00	0.14	0.00	0.14	95.0	0.13
	ACCOUNT #: 00119582596	BUY 0 Units @0.0000						
10/01/2018	***-**-8207 - LUTE, DEBORAH	PUTNAM CAP. OPPORTUNITIES-C	0.00	12.51	0.00	12.51	95.0	11.88
	ACCOUNT #: 00551417046	BUY 0 Units @0.0000						
10/01/2018	***-**-28TR - DECHAMPLAIN,	PUTNAM DIVERSIFIED INCOME FUND CLAS	0.00	52.81	0.00	52.81	95.0	50.17
	ACCOUNT #: 00182412002	BUY 0 Units @0.0000						
10/01/2018	***-**-1651 - ELLICOTT, AGNES	PUTNAM EQUITY INCOME FUND-A	0.00	0.83	0.00	0.83	95.0	0.79
	ACCOUNT #: 00502287250	BUY 0 Units @0.0000						
10/01/2018	***-**-996I - MARTIN, MICHAEL	PUTNAM EQUITY INCOME FUND-A	0.00	0.63	0.00	0.63	95.0	0.60
	ACCOUNT #: 00408076051	BUY 0 Units @0.0000						
10/01/2018	***-**-8207 - LUTE, DEBORAH	PUTNAM EQUITY INCOME FUND-C	0.00	22.47	0.00	22.47	95.0	21.35
	ACCOUNT #: 00551417046	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/01/2018	***-**-31IN - IASELLA, GINO	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	3.49	0.00	3.49	95.0	3.32
	ACCOUNT #: 00331489911	BUY 0 Units @0.0000						
10/01/2018	***-**-8207 - LUTE, DEBORAH	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	11.48	0.00	11.48	95.0	10.91
	ACCOUNT #: 00551417052	BUY 0 Units @0.0000						
10/01/2018	***-**-8207 - LUTE, DEBORAH	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	25.26	0.00	25.26	95.0	24.00
	ACCOUNT #: 00551417046	BUY 0 Units @0.0000						
10/01/2018	***-**-8207 - LUTE, DEBORAH	PUTNAM MF TRAILS 37252M306	0.00	21.01	0.00	21.01	95.0	19.96
	ACCOUNT #: 00551417046	BUY 0 Units @0.0000						
10/01/2018	***-**-9859 - ERB, KENNETH	PUTNAM MULTI-CAP CORE FUND CL A	0.00	9.42	0.00	9.42	95.0	8.95
	ACCOUNT #: 00375212512	BUY 0 Units @0.0000						
10/01/2018	***-**-095J - MORAN, MARY	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	11.03	0.00	11.03	95.0	10.48
	ACCOUNT #: 00476905514	BUY 0 Units @0.0000						
10/01/2018	***-**-31IN - IASELLA, GINO	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	5.07	0.00	5.07	95.0	4.82
	ACCOUNT #: 00331489911	BUY 0 Units @0.0000						
10/01/2018	***-**-157I - FORNEFELD,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.01	0.00	4.01	95.0	3.81
	ACCOUNT #: 00550828345	BUY 0 Units @0.0000						
10/01/2018	***-**-56IN - WOJTAN, GARY	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.74	0.00	4.74	95.0	4.50
	ACCOUNT #: 00550847104	BUY 0 Units @0.0000						
10/01/2018	***-**-095J - MORAN, MARY	PUTNAM NEW OPPORTUNITIES-B	0.00	4.99	0.00	4.99	95.0	4.74
	ACCOUNT #: 00476905514	BUY 0 Units @0.0000						
10/01/2018	***-**-095J - MORAN, MARY	PUTNAM NEW OPPORTUNITIES-C	0.00	0.72	0.00	0.72	95.0	0.68
	ACCOUNT #: 00476905514	BUY 0 Units @0.0000						
10/01/2018	***-**-82IN - HEIL, EVELYN	PUTNAM OH TAX EXEMPT INCOME-A	0.00	22.54	0.00	22.54	95.0	21.41
	ACCOUNT #: 00349901533	BUY 0 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$1,529.46</b>	<b>\$0.00</b>	<b>\$1,529.46</b>		<b>\$1,453.00</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>								
09/28/2018	***-**-60CL - KALINOWSKI,	AXA EQUI VA 00248C360	0.00	58.14	0.00	58.14	95.0	55.23
	ACCOUNT #: 316003018	BUY 0 Units @0.0000						
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$58.14</b>	<b>\$0.00</b>	<b>\$58.14</b>		<b>\$55.23</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$839.29</b>	<b>\$1,608.87</b>	<b>\$0.00</b>	<b>\$1,608.87</b>		<b>\$1,528.47</b>



# COMMISSION STATEMENT

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BROKER #: 20  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: RICHARD BIRNS</u></b>								
10/08/2018	***-**-37UG - REID, JORDAN M	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	0.76	0.00	0.76	20.0	0.15
	ACCOUNT #: 04718913697	BUY 0 Units @0.0000						
10/08/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	18.04	0.00	18.04	20.0	3.61
	ACCOUNT #: 05000189227	BUY 0 Units @0.0000						
10/08/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCEBERNSTEIN GROWTH A	0.00	25.41	0.00	25.41	20.0	5.08
	ACCOUNT #: 03310152452	BUY 0 Units @0.0000						
10/05/2018	***-**-192I - BIRNS, DAVID	HARTFORD CAPITAL APPRECIATION FUND	43.20	0.86	0.00	0.86	20.0	0.17
	ACCOUNT #: 00000647924	BUY 2 Units @19.3700						
09/30/2018	***-**-107I - GERAARIS,	JOHN HANCOCK 41014C143	0.00	2.10	0.00	2.10	20.0	0.42
	ACCOUNT #: 2419387	BUY 0 Units @0.0000						
09/29/2018	***-**-4227 - GRANENA, MARC	NATIONWIDE CUSIP 638660696-NSCC	0.00	25.38	0.00	25.38	20.0	5.08
	ACCOUNT #: 015774378	BUY 0 Units @0.0000						
09/29/2018	***-**-991I - WEGENER, MICHAEL	NATIONWIDE CUSIP 638660696-NSCC	0.00	12.59	0.00	12.59	20.0	2.52
	ACCOUNT #: 015778719	BUY 0 Units @0.0000						
09/29/2018	***-**-667I - AGOSTI, IVAN	NATIONWIDE CUSIP 638660696-NSCC	0.00	3.06	0.00	3.06	20.0	0.61
	ACCOUNT #: 015778722	BUY 0 Units @0.0000						
10/01/2018	***-**-068I - BIRNS, RICHARD	PUTNAM GLOBAL EQUITY FUND CLASS A	0.00	1.73	0.00	1.73	20.0	0.35
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
10/01/2018	***-**-068I - BIRNS, RICHARD	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	7.37	0.00	7.37	20.0	1.47
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
10/01/2018	***-**-068I - BIRNS, RICHARD	PUTNAM INTERNATIONAL EQUITY-A	0.00	0.72	0.00	0.72	20.0	0.14
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
10/01/2018	***-**-068I - BIRNS, RICHARD	PUTNAM INTL NEW OPPORT-A	0.00	4.07	0.00	4.07	20.0	0.81
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
10/01/2018	***-**-068I - BIRNS, RICHARD	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	7.19	0.00	7.19	20.0	1.44
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
10/05/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD CAPITAL APPRECIATION F	43.20	0.86	0.00	0.86	20.0	0.17
	ACCOUNT #: 00000647924	BUY 1 Units @41.4100						
10/05/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD GROWTH OPPORTUNITIES F	43.20	0.86	0.00	0.86	20.0	0.17
	ACCOUNT #: 00000647924	BUY 1 Units @51.2400						
10/05/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD INTL CAPITAL APP. FUND	43.20	0.86	0.00	0.86	20.0	0.17
	ACCOUNT #: 00000647924	BUY 3 Units @15.1800						



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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: RICHARD BIRNS (continued)</u></b>								
10/05/2018	***-**-192I - BIRNS, DAVID	THE HARTFORD SMALL CAP GROWTH FD-A	43.20	0.86	0.00	0.86	20.0	0.17
	ACCOUNT #: 00000647924	BUY 1 Units @61.8100						
		<b>* RICHARD BIRNS SUBTOTAL *</b>	<b>\$216.00</b>	<b>\$112.72</b>	<b>\$0.00</b>	<b>\$112.72</b>		<b>\$22.53</b>
<b><u>BROKER: BARRY BRESIN</u></b>								
10/08/2018	***-**-716J - STERN, ROBERT	ALLIANCEBERNSTEIN MUNI INCOME-NY A	0.00	10.20	0.00	10.20	15.0	1.53
	ACCOUNT #: 04892903435	BUY 0 Units @0.0000						
10/04/2018	***-**-892K - STERN MD PC	AMERICAN FUNDS 401K TRAILS	0.00	800.82	0.00	800.82	15.0	120.12
	ACCOUNT #: BRK115201	BUY 0 Units @0.0000						
09/29/2018	***-**-716I - STERN, PATRICIA	NATIONWIDE CUSIP 638661330-NSCC	0.00	144.20	0.00	144.20	15.0	21.63
	ACCOUNT #: 015431641	BUY 0 Units @0.0000						
09/29/2018	***-**-010I - LOMBARD, LAURIE	NATIONWIDE CUSIP 638661330-NSCC	0.00	104.75	0.00	104.75	15.0	15.71
	ACCOUNT #: 015463968	BUY 0 Units @0.0000						
09/29/2018	***-**-470I - MELLINA, EDWARD	NATIONWIDE CUSIP 638661330-NSCC	0.00	89.15	0.00	89.15	15.0	13.37
	ACCOUNT #: 015465764	BUY 0 Units @0.0000						
09/29/2018	***-**-091I - BECKER, HILDA	NATIONWIDE CUSIP 638661330-NSCC	0.00	372.00	0.00	372.00	15.0	55.80
	ACCOUNT #: 015472817	BUY 0 Units @0.0000						
09/29/2018	***-**-084I - BECKER, SHERMAN	NATIONWIDE CUSIP 638661330-NSCC	0.00	116.41	0.00	116.41	15.0	17.46
	ACCOUNT #: 015473385	BUY 0 Units @0.0000						
09/29/2018	***-**-1223 - MELLINA, ALBERTA	NATIONWIDE CUSIP 638661330-NSCC	0.00	41.76	0.00	41.76	15.0	6.26
	ACCOUNT #: 015476838	BUY 0 Units @0.0000						
09/29/2018	***-**-60IN - BRESIN, FLORENCE	NATIONWIDE CUSIP 638661330-NSCC	0.00	402.84	0.00	402.84	15.0	60.43
	ACCOUNT #: 015631725	BUY 0 Units @0.0000						
09/29/2018	***-**-010I - LOMBARD, LAURIE	NATIONWIDE CUSIP 638661330-NSCC	0.00	113.72	0.00	113.72	15.0	17.06
	ACCOUNT #: 015730387	BUY 0 Units @0.0000						
09/29/2018	***-**-27IN - COOK, DOROTHY	NATIONWIDE CUSIP 638661397-NSCC	0.00	27.24	0.00	27.24	15.0	4.09
	ACCOUNT #: 016157940	BUY 0 Units @0.0000						
09/29/2018	***-**-27IN - COOK, DOROTHY	NATIONWIDE CUSIP 638661397-NSCC	0.00	17.84	0.00	17.84	15.0	2.68
	ACCOUNT #: 016157941	BUY 0 Units @0.0000						
09/29/2018	***-**-091I - BECKER, HILDA	NATIONWIDE CUSIP 638942714-NSCC	0.00	309.30	0.00	309.30	15.0	46.40
	ACCOUNT #: 015923184	BUY 0 Units @0.0000						
10/15/2018	***-**-4892 - STERN, ROBERT	PRINCIPAL FUNDS TRAILS	0.00	19.82	0.00	19.82	15.0	2.97
		BUY 0 Units @0.0000						



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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: BARRY BRESIN (continued)</u></b>								
10/15/2018	***-**-010R - LOMBARD, LAURIE	PRINCIPAL FUNDS TRAILS BUY 0 Units @0.0000	0.00	10.98	0.00	10.98	15.0	1.65
10/01/2018	***-**-13IN - CLEMENT, SANDRA ACCOUNT #: 00510129039	PUTNAM HIGH YIELD ADVANTAGE-A BUY 0 Units @0.0000	0.00	16.41	0.00	16.41	15.0	2.46
* BARRY BRESIN SUBTOTAL *			\$0.00	\$2,597.44	\$0.00	\$2,597.44		\$389.62
<b><u>BROKER: WILLIAM ROBERTS</u></b>								
10/01/2018	***-**-1606 - REUS, MARTHA ACCOUNT #: 00266280057	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	43.76	0.00	43.76	10.0	4.38
* WILLIAM ROBERTS SUBTOTAL *			\$0.00	\$43.76	\$0.00	\$43.76		\$4.38
<b><u>BROKER: FREDERIC SCARPULLA</u></b>								
10/01/2018	***-**-3106 - LAMB, BERNICE ACCOUNT #: 00551402351	37252M108 BUY 0 Units @0.0000	0.00	1.00	0.00	1.00	10.0	0.10
10/04/2018	***-**-3043 - SCARPULLA, ACCOUNT #: IRK131856	AMERICAN FUNDS 401K TRAILS BUY 0 Units @0.0000	0.00	460.19	0.00	460.19	10.0	46.02
10/04/2018	***-**-278K - GUERRIERI DDS, ACCOUNT #: IRK101640	AMERICAN FUNDS 401K TRAILS BUY 0 Units @0.0000	0.00	1,312.07	0.00	1,312.07	10.0	131.21
09/18/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 03222325444	CAPITAL APPRECIATION C BUY 0 Units @0.0000	64.02	0.64	0.00	0.64	10.0	0.06
10/03/2018	***-**-732J - ARBORE, MARIA ACCOUNT #: 00000108231	CORE BOND FUND - A BUY 0 Units @0.0000	0.00	4.11	0.00	4.11	10.0	0.41
10/15/2018	***-**-526I - CAVALLARO, ACCOUNT #: 3360045601	DREYFUS MF TRAILS BUY 0 Units @0.0000	0.00	1.09	0.00	1.09	10.0	0.11
10/15/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 0104134960	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	8.39	0.00	8.39	10.0	0.84
09/18/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 08370596090	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	48.01	0.48	0.00	0.48	10.0	0.05
09/18/2018	***-**-6188 - ROBERTS, ACCOUNT #: 08370627385	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
10/05/2018	***-**-4550 - JONES, JEFFREY ACCOUNT #: 00529631491	FA 529 PORT 2019-CL P BUY 0 Units @0.0000	0.00	5.98	0.00	5.98	10.0	0.60



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
10/05/2018	***-**-7278 - GUERRIERI DDS, ACCOUNT #: 00655383206	FIDELITY ADV ASSET MANAGER 50 PERCE BUY 0 Units @0.0000	0.00	0.71	0.00	0.71	10.0	0.07
10/05/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475410302	FIDELITY ADV FREEDOM 2020-CL C BUY 0 Units @0.0000	0.00	1.75	0.00	1.75	10.0	0.18
10/05/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV INTL DISCOVERY-CL A BUY 0 Units @0.0000	0.00	1.60	0.00	1.60	10.0	0.16
10/05/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	3.70	0.00	3.70	10.0	0.37
10/05/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	5.02	0.00	5.02	10.0	0.50
10/05/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	5.05	0.00	5.05	10.0	0.51
10/05/2018	***-**-7352 - GEISELHART, ACCOUNT #: 00618796254	FIDELITY ADV STOCK SELECTOR ALL CAP BUY 0 Units @0.0000	0.00	32.41	0.00	32.41	10.0	3.24
10/05/2018	***-**-5703 - DIODATO, ACCOUNT #: 03900218260	FIDELITY ADV STRATEGIC INCOME CL C BUY 0 Units @0.0000	0.00	0.40	0.00	0.40	10.0	0.04
10/05/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV TECHNOLOGY CL A BUY 0 Units @0.0000	0.00	5.04	0.00	5.04	10.0	0.50
10/05/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475410302	FIDELITY ADVISOR FREEDOM 2020 CL A BUY 0 Units @0.0000	0.00	0.92	0.00	0.92	10.0	0.09
09/18/2018	***-**-90FB - DIODATO, CAROL ACCOUNT #: 02171777391	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	10.0	0.05
09/18/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 02171875445	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	80.02	0.80	0.00	0.80	10.0	0.08
09/19/2018	***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 02171800557	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
10/03/2018	***-**-39IN - ARBORE, MARIA ACCOUNT #: 00000176375	GROWTH AND INCOME FUND - A BUY 0 Units @0.0000	0.00	3.01	0.00	3.01	10.0	0.30
09/18/2018	***-**-4980 - MOYER, COLLEEN ACCOUNT #: 07024431823	MAIN STREET FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	10.0	0.03
09/18/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 07024326366	MAIN STREET FUND C BUY 0 Units @0.0000	80.02	0.80	0.00	0.80	10.0	0.08





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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> BROKER: FREDERIC SCARPULLA (continued) </b>								
09/18/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
09/19/2018	***-**-2620 - CUSIMANO, MEGAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
10/01/2018	***-**-290I - SAWDEY, MARILYN	MFS GOVERNMENT SECURITIES FUND-A	0.00	4.72	0.00	4.72	10.0	0.47
	ACCOUNT #: 09896338263	BUY 0 Units @0.0000						
10/01/2018	***-**-96CL - SCARPULLA,	MFS TOTAL RETURN FUND-A	0.00	11.90	0.00	11.90	10.0	1.19
	ACCOUNT #: 08191357165	BUY 0 Units @0.0000						
10/15/2018	***-**-503J - OBI, JEAN	NEW YORK 529 TRAILS	0.00	2.37	0.00	2.37	10.0	0.24
		BUY 0 Units @0.0000						
10/15/2018	***-**-3758 - CONNORS, DAVID	NEW YORK 529 TRAILS	0.00	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 77162702001	BUY 0 Units @0.0000						
10/15/2018	***-**-015P - FANTAUZZO,	NEW YORK 529 TRAILS	0.00	2.66	0.00	2.66	10.0	0.27
	ACCOUNT #: 77529133201	BUY 0 Units @0.0000						
10/15/2018	***-**-335P - JULIAN, GIOVANA	NEW YORK 529 TRAILS	0.00	8.92	0.00	8.92	10.0	0.89
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
10/15/2018	***-**-80IN - MOYER, COLLEEN	NEW YORK 529 TRAILS	0.00	13.52	0.00	13.52	10.0	1.35
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
10/15/2018	***-**-6352 - GINERVA, ENZA	NEW YORK 529 TRAILS	0.00	1.82	0.00	1.82	10.0	0.18
	ACCOUNT #: 77766297801	BUY 0 Units @0.0000						
10/15/2018	***-**-2942 - WARNEY, KENNETH	NEW YORK 529 TRAILS	0.00	0.49	0.00	0.49	10.0	0.05
	ACCOUNT #: 77932712101	BUY 0 Units @0.0000						
10/15/2018	***-**-6793 - ESTEP, ARDEN	NY 529 ADDITIONAL DEPOSIT	49.50	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 77375699601	BUY 0 Units @0.0000						
10/15/2018	***-**-335P - JULIAN, GIOVANA	NY 529 ADDITIONAL DEPOSIT	447.96	4.54	0.00	4.54	10.0	0.45
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
10/15/2018	***-**-503J - OBI, JEAN	NY 529 ADDITIONAL DEPOSIT	47.39	2.38	0.00	2.38	10.0	0.24
		BUY 0 Units @0.0000						
10/15/2018	***-**-015P - FANTAUZZO,	NY 529 ADDITIONAL DEPOSIT	163.35	1.65	0.00	1.65	10.0	0.17
	ACCOUNT #: 77529133201	BUY 0 Units @0.0000						
10/15/2018	***-**-335P - JULIAN, GIOVANA	NY 529 ADDITIONAL DEPOSIT	223.98	2.27	0.00	2.27	10.0	0.23
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/15/2018	***-**-80IN - MOYER, COLLEEN	NY 529 ADDITIONAL DEPOSIT	48.25	1.52	0.00	1.52	10.0	0.15
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
10/15/2018	***-**-6352 - GINERVA, ENZA	NY 529 ADDITIONAL DEPOSIT	24.75	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 77766297801	BUY 0 Units @0.0000						
10/15/2018	***-**-2942 - WARNEY, KENNETH	NY 529 ADDITIONAL DEPOSIT	24.75	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 77932712101	BUY 0 Units @0.0000						
09/18/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	48.02	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
09/18/2018	***-**-4980 - MOYER, COLLEEN	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
09/18/2018	***-**-1314 - BENEDETTO,	OPPENHEIMER RISING DIVIDENDS FUND C	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 02270934318	BUY 0 Units @0.0000						
09/18/2018	***-**-655P - DAVIS, BERTHA	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02271237808	BUY 0 Units @0.0000						
09/24/2018	***-**-541P - SCHILLACI, AMY	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						
10/15/2018	***-**-5046 - GUERRIER, JOHN	PRINCIPAL VA	0.00	821.56	0.00	821.56	10.0	82.16
	ACCOUNT #: 456938	BUY 1 Units @0.0000						
10/15/2018	***-**-4432 - WHITE HAVEN	PRINCIPAL VA	0.00	1,452.42	0.00	1,452.42	10.0	145.24
	ACCOUNT #: 612565	BUY 1 Units @0.0000						
10/15/2018	***-**-96CL - SCARPULLA,	PRINCIPAL VA	0.00	209.75	0.00	209.75	10.0	20.98
	ACCOUNT #: 618072	BUY 1 Units @0.0000						
10/01/2018	***-**-33IN - TESTA, BARBARA	PUTNAM EQUITY INCOME FUND-A	0.00	23.13	0.00	23.13	10.0	2.31
	ACCOUNT #: 00214281708	BUY 0 Units @0.0000						
10/01/2018	***-**-642J - DELGALZO,	PUTNAM EQUITY INCOME FUND-A	0.00	2.26	0.00	2.26	10.0	0.23
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
10/01/2018	***-**-130I - CIRA, JOHN	PUTNAM EQUITY INCOME FUND-A	0.00	4.76	0.00	4.76	10.0	0.48
	ACCOUNT #: 00415148688	BUY 0 Units @0.0000						
10/01/2018	***-**-33UG - DELGAIZO, ALESHA	PUTNAM EQUITY INCOME FUND-A	0.00	6.86	0.00	6.86	10.0	0.69
	ACCOUNT #: 00437911872	BUY 0 Units @0.0000						
10/01/2018	***-**-73UG - DELGAIZO,	PUTNAM EQUITY INCOME FUND-A	0.00	4.26	0.00	4.26	10.0	0.43
	ACCOUNT #: 00481564658	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

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BROKER #: 20  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> BROKER: FREDERIC SCARPULLA (continued) </b>								
10/01/2018	***-**-642I - DELGAIZO, LISA	PUTNAM EQUITY INCOME FUND-A	0.00	3.93	0.00	3.93	10.0	0.39
	ACCOUNT #: 00488983741	BUY 0 Units @0.0000						
10/01/2018	***-**-939I - ARBORE, MARIA	PUTNAM EQUITY INCOME FUND-A	0.00	30.67	0.00	30.67	10.0	3.07
	ACCOUNT #: 00506910960	BUY 0 Units @0.0000						
10/01/2018	***-**-707I - BARON, ROBIN	PUTNAM EQUITY INCOME FUND-A	0.00	8.36	0.00	8.36	10.0	0.84
	ACCOUNT #: 00551086624	BUY 0 Units @0.0000						
10/01/2018	***-**-3939 - ARBORE, MARIA	PUTNAM EQUITY INCOME FUND-C	0.00	140.49	0.00	140.49	10.0	14.05
	ACCOUNT #: 00551310434	BUY 0 Units @0.0000						
10/01/2018	***-**-642J - DELGALZO,	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.61	0.00	1.61	10.0	0.16
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
10/01/2018	***-**-678I - BAKERINK, DIANE	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	7.15	0.00	7.15	10.0	0.72
	ACCOUNT #: 00273141121	BUY 0 Units @0.0000						
10/01/2018	***-**-178I - STAUB, KIRK	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.55	0.00	0.55	10.0	0.06
	ACCOUNT #: 00455134356	BUY 0 Units @0.0000						
10/01/2018	***-**-43IR - BOSCO, GIULIO	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	11.41	0.00	11.41	10.0	1.14
	ACCOUNT #: 00494908627	BUY 0 Units @0.0000						
10/01/2018	***-**-293I - LIPPA, PAUL	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	33.86	0.00	33.86	10.0	3.39
	ACCOUNT #: 00511940615	BUY 0 Units @0.0000						
10/01/2018	***-**-643I - BOSCO, GIULIO	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	2.44	0.00	2.44	10.0	0.24
	ACCOUNT #: 00514117077	BUY 0 Units @0.0000						
10/01/2018	***-**-73UG - DELGAIZO,	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	34.93	0.00	34.93	10.0	3.49
	ACCOUNT #: 00481564658	BUY 0 Units @0.0000						
10/01/2018	***-**-059I - JOHNSON, WILLIAM	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	36.27	0.00	36.27	10.0	3.63
	ACCOUNT #: 00020573802	BUY 0 Units @0.0000						
10/01/2018	***-**-59IN - SCARPULLA,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	5.18	0.00	5.18	10.0	0.52
	ACCOUNT #: 00066046582	BUY 0 Units @0.0000						
10/01/2018	***-**-642J - DELGALZO,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	1.84	0.00	1.84	10.0	0.18
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
10/01/2018	***-**-33UG - DELGAIZO, ALESHA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	23.87	0.00	23.87	10.0	2.39
	ACCOUNT #: 00437911872	BUY 0 Units @0.0000						
10/01/2018	***-**-178I - STAUB, KIRK	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.74	0.00	0.74	10.0	0.07
	ACCOUNT #: 00455134356	BUY 0 Units @0.0000						



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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>								
10/01/2018	***-**-170J - CAMPOMIZZI, JOHN	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00475151691	BUY 0 Units @0.0000						
10/01/2018	***-**-73UG - DELGAIZO,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.42	0.00	3.42	10.0	0.34
	ACCOUNT #: 00481564658	BUY 0 Units @0.0000						
10/01/2018	***-**-642I - DELGAIZO, LISA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	5.10	0.00	5.10	10.0	0.51
	ACCOUNT #: 00488983741	BUY 0 Units @0.0000						
10/01/2018	***-**-643I - BOSCO, GIULIO	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	8.53	0.00	8.53	10.0	0.85
	ACCOUNT #: 00514117077	BUY 0 Units @0.0000						
10/01/2018	***-**-33UG - DELGAIZO, ALESHA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.39	0.00	3.39	10.0	0.34
	ACCOUNT #: 00519031484	BUY 0 Units @0.0000						
10/01/2018	***-**-170I - CAMPOMIZZI,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	2.29	0.00	2.29	10.0	0.23
	ACCOUNT #: 00550825937	BUY 0 Units @0.0000						
10/01/2018	***-**-06IN - BERNARD, CREGG	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00550826447	BUY 0 Units @0.0000						
10/01/2018	***-**-18IN - RIEDEL, JAMES	PUTNAM NEW YORK TAX- EXEMPT INCOME	0.00	1.51	0.00	1.51	10.0	0.15
	ACCOUNT #: 00048939595	BUY 0 Units @0.0000						
10/01/2018	***-**-642J - DELGALZO,	PUTNAM NEW YORK TAX- EXEMPT INCOME	0.00	0.89	0.00	0.89	10.0	0.09
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
10/01/2018	***-**-33IN - TESTA, BARBARA	PUTNAM U.S. GOVT INCOME TR-A	0.00	18.47	0.00	18.47	10.0	1.85
	ACCOUNT #: 00214281708	BUY 0 Units @0.0000						
10/01/2018	***-**-642I - DELGAIZO, LISA	PUTNAM U.S. GOVT INCOME TR-A	0.00	1.59	0.00	1.59	10.0	0.16
	ACCOUNT #: 00488983741	BUY 0 Units @0.0000						
09/18/2018	***-**-1314 - BENEDETTO,	QUEST BALANCED FUND C	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 02592292741	BUY 0 Units @0.0000						
09/19/2018	***-**-8706 - BOSCO, REN	QUEST BALANCED FUND C	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 02590094105	BUY 0 Units @0.0000						
09/19/2018	***-**-2620 - CUSIMANO, MEGAN	REAL ESTATE FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 05920400103	BUY 0 Units @0.0000						
10/03/2018	***-**-33UG - DELGAIZO, ALESHA	SMALL CAP EQUITY FUND - A	0.00	1.79	0.00	1.79	10.0	0.18
	ACCOUNT #: 00000413901	BUY 0 Units @0.0000						
09/18/2018	***-**-4980 - MOYER, COLLEEN	SMALL- & MID- CAP VALUE FUND C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 02531288969	BUY 0 Units @0.0000						



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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>								
09/18/2018	***-**-1314 - BENEDETTO,	STRATEGIC INCOME FUND C	125.00	1.25	0.00	1.25	10.0	0.13
	ACCOUNT #: 02322751089	BUY 0 Units @0.0000						
10/03/2018	***-**-27IN - TINKLEPAUGH,	WELLS FGO AVTG DIVERSFD CAPITAL BLD	0.00	1.14	0.00	1.14	10.0	0.11
	ACCOUNT #: 01005412974	BUY 0 Units @0.0000						
		<b>* FREDERIC SCARPULLA SUBTOTAL *</b>	<b>\$2,775.02</b>	<b>\$4,846.69</b>	<b>\$0.00</b>	<b>\$4,846.69</b>		<b>\$484.76</b>
<b><u> BROKER: WILLIAM AGNELLO </u></b>								
10/15/2018	***-**-43FB - CUP, NICHOLAS	JOHN HANCOCK 529 TRAILS	0.00	8.83	0.00	8.83	25.0	2.21
	ACCOUNT #: 00052280820	BUY 0 Units @0.0000						
10/15/2018	***-**-28IN - CUP, ANDREW	NEW YORK 529 TRAILS	0.00	9.93	0.00	9.93	25.0	2.48
	ACCOUNT #: 77133335101	BUY 0 Units @0.0000						
		<b>* WILLIAM AGNELLO SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$18.76</b>	<b>\$0.00</b>	<b>\$18.76</b>		<b>\$4.69</b>
<b><u> BROKER: JAMES LOMBARDO </u></b>								
10/01/2018	***-**-228I - EMMA, JACQUELINE	37252M108	0.00	0.77	0.00	0.77	15.0	0.12
	ACCOUNT #: 00551461545	BUY 0 Units @0.0000						
10/01/2018	***-**-5506 - LOMBARDO, LEIGH	37252M108	0.00	3.16	0.00	3.16	15.0	0.47
	ACCOUNT #: 00370935092	BUY 0 Units @0.0000						
10/01/2018	***-**-1748 - LOMBARDO, JAMES	37252M108	0.00	7.05	0.00	7.05	15.0	1.06
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
10/02/2018	***-**-5506 - LOMBARDO, LEIGH	INVESCO AMERICAN FRANCHISE FUND -CL	400.00	16.00	0.00	16.00	15.0	2.40
	ACCOUNT #: 03809219276	BUY 16 Units @24.3100						
10/15/2018	***-**-13CL - BERG, C, CLIENTS	NEW YORK 529 TRAILS	0.00	0.27	0.00	0.27	15.0	0.04
	ACCOUNT #: 77450911001	BUY 0 Units @0.0000						
10/01/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM ASSET ALLOC CONSERV-A	0.00	17.09	0.00	17.09	15.0	2.56
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
10/01/2018	***-**-7177 - RUNICE, MARGARET	PUTNAM EQUITY INCOME FUND-A	0.00	17.01	0.00	17.01	15.0	2.55
	ACCOUNT #: 00266380833	BUY 0 Units @0.0000						
10/01/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM EQUITY INCOME FUND-A	0.00	8.49	0.00	8.49	15.0	1.27
	ACCOUNT #: 00461190200	BUY 0 Units @0.0000						
10/01/2018	***-**-4160 - RUNICE, ARVID	PUTNAM EQUITY INCOME FUND-A	0.00	27.50	0.00	27.50	15.0	4.13
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: JAMES LOMBARDO (continued)</u> </b>								
10/01/2018	***-**-4160 - RUNICE, ARVID	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.59	0.00	0.59	15.0	0.09
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						
10/01/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM MULTI-CAP CORE FUND CL A	0.00	4.37	0.00	4.37	15.0	0.66
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
10/01/2018	***-**-0935 - MINEO, JAMES	PUTNAM MULTI-CAP CORE FUND CL A	0.00	4.86	0.00	4.86	15.0	0.73
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						
10/01/2018	***-**-8491 - INCORVAIA,	PUTNAM MULTI-CAP CORE FUND CL A	0.00	3.22	0.00	3.22	15.0	0.48
	ACCOUNT #: 00517271868	BUY 0 Units @0.0000						
10/01/2018	***-**-8201 - MAUTNER, LILLIAN	PUTNAM MULTI-CAP CORE FUND CL A	0.00	1.23	0.00	1.23	15.0	0.18
	ACCOUNT #: 00551326614	BUY 0 Units @0.0000						
10/01/2018	***-**-6565 - MAUTNER, ARIANNY	PUTNAM MULTI-CAP CORE FUND CL A	0.00	1.23	0.00	1.23	15.0	0.18
	ACCOUNT #: 00551326624	BUY 0 Units @0.0000						
10/01/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	36.54	0.00	36.54	15.0	5.48
	ACCOUNT #: 00343384180	BUY 0 Units @0.0000						
10/01/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	36.29	0.00	36.29	15.0	5.44
	ACCOUNT #: 00452858253	BUY 0 Units @0.0000						
10/01/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.16	0.00	4.16	15.0	0.62
	ACCOUNT #: 00461190200	BUY 0 Units @0.0000						
10/01/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	22.25	0.00	22.25	15.0	3.34
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						
10/01/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES-B	0.00	0.30	0.00	0.30	15.0	0.05
	ACCOUNT #: 00452858253	BUY 0 Units @0.0000						
10/01/2018	***-**-4160 - RUNICE, ARVID	PUTNAM SHORT DURATION INCOME CL A	0.00	5.23	0.00	5.23	15.0	0.78
	ACCOUNT #: 00550388392	BUY 0 Units @0.0000						
10/02/2018	***-**-5506 - LOMBARDO, LEIGH	VAN KAMPEN3	100.00	4.00	0.00	4.00	15.0	0.60
	ACCOUNT #: 03809219276	BUY 14 Units @7.3600						
* JAMES LOMBARDO SUBTOTAL *			\$500.00	\$221.61	\$0.00	\$221.61		\$33.23
*** OVERRIDE TRANSACTIONS TOTAL ***			\$3,491.02	\$7,840.98	\$0.00	\$7,840.98		\$939.21



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER COMMISSION TOTALS								
						Broker Transactions		\$1,528.47
						Split Transactions		\$0.00
						Override Transactions		\$939.21
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$0.00
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$2,467.68
						Year-to-date Earnings		\$99,255.35