



# COMMISSION STATEMENT

October 01, 2018

JAMES LOMBARDO  
231 Hill Road  
Rome, NY 13441

BROKER #: A08  
BRANCH #01016 - 16 - CASPER

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                               |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 09/28/2018                                   | ***-**-98CL - ACOSTA, CLIENTS | AMERICAN BALANCED FUND-A            | 50.00                | 2.50                | 0.00               | 2.50              | 80.0 | 2.00                 |
|  | ACCOUNT #: 00083468095        | BUY 2 Units @29.6300                |                      |                     |                    |                   |      |                      |
| 09/17/2018                                   | ***-**-5506 - LOMBARDO, LEIGH | INVESCO AMERICAN FRANCHISE FUND -CL | 400.00               | 16.00               | 0.00               | 16.00             | 80.0 | 12.80                |
|  | ACCOUNT #: 03809219276        | BUY 17 Units @23.7900               |                      |                     |                    |                   |      |                      |
| 09/17/2018                                   | ***-**-6195 - BACKUS, THOMAS  | INVESCO AMERICAN FRANCHISE FUND -CL | 50.00                | 2.50                | 0.00               | 2.50              | 80.0 | 2.00                 |
|  | ACCOUNT #: 03908954377        | BUY 2 Units @24.0400                |                      |                     |                    |                   |      |                      |
| 08/15/2018                                   | ***-**-4379 - MATICIC, JOSEPH | PUTNAM EQUITY INCOME FUND-A         | 50.00                | 2.50                | 0.00               | 2.50              | 80.0 | 2.00                 |
|  | ACCOUNT #: 00461190200        | BUY 2 Units @26.7600                |                      |                     |                    |                   |      |                      |
| 09/17/2018                                   | ***-**-4379 - MATICIC, JOSEPH | PUTNAM EQUITY INCOME FUND-A         | 50.00                | 2.50                | 0.00               | 2.50              | 80.0 | 2.00                 |
|  | ACCOUNT #: 00461190200        | BUY 2 Units @27.4800                |                      |                     |                    |                   |      |                      |
| 09/27/2018                                   | ***-**-8806 - MABRY, REBECCA  | THE BOND FUND OF AMERICA-A          | 75.00                | 2.25                | 0.00               | 2.25              | 80.0 | 1.80                 |
|  | ACCOUNT #: 00082729374        | BUY 6 Units @12.9600                |                      |                     |                    |                   |      |                      |
| 09/27/2018                                   | ***-**-8806 - MABRY, REBECCA  | WASHINGTON MUTUAL INVESTORS FUND-A  | 75.00                | 2.81                | 0.00               | 2.81              | 80.0 | 2.25                 |
|  | ACCOUNT #: 00082729374        | BUY 2 Units @48.9100                |                      |                     |                    |                   |      |                      |
| * MUTUAL FUNDS SUBTOTAL *                    |                               |                                     | \$750.00             | \$31.06             | \$0.00             | \$31.06           |      | \$24.85              |
| *** BROKER TRANSACTIONS TOTAL ***            |                               |                                     | \$750.00             | \$31.06             | \$0.00             | \$31.06           |      | \$24.85              |



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|------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|

## BROKER COMMISSION TOTALS

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$24.85 |
| Split Transactions    | \$0.00  |
| Override Transactions | \$0.00  |
| Adjustments           | \$0.00  |
| Payroll Draw          | \$0.00  |
| Base Salary           | \$0.00  |
| Prior Period Balance  | \$16.51 |
| FINRA Assessment      | \$0.00  |
| SIPC Assessment       | \$0.00  |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |                   |
|------------------------------|-------------------|
| <b>Balance Forward</b>       | <b>\$41.36</b>    |
| <b>Year-to-date Earnings</b> | <b>\$5,587.39</b> |