



# COMMISSION STATEMENT

November 19, 2018

FREDERIC SCARPULLA  
400 West Metro Park  
Rochester, NY 14623

BROKER #: 417  
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
11/05/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063412117	BUY 3 Units @32.8700						
11/05/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063412117	BUY 3 Units @32.8700						
11/05/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063451518	BUY 3 Units @32.8700						
11/05/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063451518	BUY 3 Units @32.8700						
11/08/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	57.63	0.69	0.00	0.69	80.0	0.55
	ACCOUNT #: 00063412117	BUY 2 Units @33.5800						
11/08/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	49.23	0.59	0.00	0.59	80.0	0.47
	ACCOUNT #: 00063451518	BUY 1 Units @33.5800						
11/05/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	80.0	0.46
	ACCOUNT #: 04000650661	BUY 2 Units @28.3700						
11/12/2018	***-**-8208 - KARNs, SHANNON	AMCAP FUND-C	225.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 04000591533	BUY 8 Units @28.0200						
11/07/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 1 Units @27.4600						
11/07/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @27.4600						
11/09/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 1 Units @27.2900						
11/09/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @27.2900						
11/12/2018	***-**-395P - DIVASTA, ANTHONY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00059597416	BUY 2 Units @28.2600						
11/15/2018	***-**-535P - DELGAIZO,	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00068454444	BUY 2 Units @28.4600						
11/15/2018	***-**-425P - DELGAIZO, LOUISA	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00068454445	BUY 2 Units @28.4600						
11/05/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	187.00	1.87	0.00	1.87	80.0	1.50
	ACCOUNT #: 00073003754	BUY 7 Units @26.8400						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @26.8400	40.00	0.40	0.00	0.40	80.0	0.32
11/05/2018	***-**-1134 - BARTON, WILLIAM ACCOUNT #: 00089244081	AMERICAN BALANCED FUND-C BUY 3 Units @26.8400	92.36	0.92	0.00	0.92	80.0	0.74
11/05/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @26.8400	20.95	0.21	0.00	0.21	80.0	0.17
11/05/2018	***-**-035S - CAPIZZI, TRACIE ACCOUNT #: 00089679504	AMERICAN BALANCED FUND-C BUY 1 Units @26.8400	36.10	0.36	0.00	0.36	80.0	0.29
11/06/2018	***-**-3834 - SWARTWOUT, ACCOUNT #: 00089957234	AMERICAN BALANCED FUND-C BUY 2 Units @26.9200	50.00	0.50	0.00	0.50	80.0	0.40
11/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @26.9200	12.00	0.12	0.00	0.12	80.0	0.10
11/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 6 Units @26.9200	160.00	1.60	0.00	1.60	80.0	1.28
11/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089722785	AMERICAN BALANCED FUND-C BUY 4 Units @26.9200	100.80	1.01	0.00	1.01	80.0	0.81
11/08/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @27.2000	120.00	1.20	0.00	1.20	80.0	0.96
11/12/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @26.7900	28.05	0.28	0.00	0.28	80.0	0.22
11/12/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 0 Units @26.7900	3.63	0.04	0.00	0.04	80.0	0.03
11/12/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @26.7900	1.73	0.02	0.00	0.02	80.0	0.02
11/12/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @26.7900	6.00	0.06	0.00	0.06	80.0	0.05
11/12/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 0 Units @26.7900	4.96	0.05	0.00	0.05	80.0	0.04
11/12/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 1 Units @26.7900	16.00	0.16	0.00	0.16	80.0	0.13
11/15/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	AMERICAN BALANCED FUND-C BUY 6 Units @26.8400	150.01	1.50	3.00	-1.50	100.0	-1.50



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/15/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087429936	AMERICAN BALANCED FUND-C BUY 2 Units @26.8400	50.00	0.50	0.00	0.50	80.0	0.40
11/16/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @26.9300	28.05	0.28	0.00	0.28	80.0	0.22
11/16/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 0 Units @26.9300	3.63	0.04	0.00	0.04	80.0	0.03
11/16/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @26.9300	6.00	0.06	0.00	0.06	80.0	0.05
11/16/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @26.9300	1.78	0.02	0.00	0.02	80.0	0.02
11/16/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 0 Units @26.9300	2.64	0.03	0.00	0.03	80.0	0.02
11/16/2018	***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 1 Units @26.9300	16.00	0.16	0.00	0.16	80.0	0.13
11/16/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @26.9300	120.00	1.20	0.00	1.20	80.0	0.96
11/05/2018	***-**-1102 - FINOCCHARIO, ACCOUNT #: 04001203455	AMERICAN FUNDS 2050 TARGET DATE-C BUY 2 Units @14.7000	25.00	0.25	0.00	0.25	80.0	0.20
11/12/2018	***-**-1102 - FINOCCHARIO, ACCOUNT #: 04001203455	AMERICAN FUNDS 2050 TARGET DATE-C BUY 2 Units @14.5300	25.00	0.25	0.00	0.25	80.0	0.20
11/12/2018	***-**-7063 - ZIOTO, JULIA ACCOUNT #: 04000322984	AMERICAN GLOBAL BALANCED CL C BUY 3 Units @30.3600	100.00	1.00	0.00	1.00	80.0	0.80
11/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.0700	105.00	1.05	0.00	1.05	80.0	0.84
11/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.0700	4.55	0.05	0.00	0.05	80.0	0.04
11/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 11 Units @9.9400	105.00	1.05	0.00	1.05	80.0	0.84
11/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @9.9400	4.55	0.05	0.00	0.05	80.0	0.04
11/07/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	AMERICAN MUTUAL FUND-A BUY 1 Units @42.3400	30.00	0.30	0.00	0.30	80.0	0.24



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/07/2018	***--255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	600.00	6.00	0.00	6.00	80.0	4.80
	ACCOUNT #: 00066759711	BUY 14 Units @42.3400						
11/09/2018	***--275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758347	BUY 1 Units @42.1500						
11/09/2018	***--255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	600.00	6.00	0.00	6.00	80.0	4.80
	ACCOUNT #: 00066759711	BUY 14 Units @42.1500						
11/05/2018	***--482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @40.8700						
11/12/2018	***--3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	1.44	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @41.0700						
11/12/2018	***--3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904181	BUY 0 Units @41.0700						
11/12/2018	***--482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @41.0700						
11/15/2018	***--01UG - DIGIOVANNI,	AMERICAN MUTUAL FUND-C	150.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00087087389	BUY 4 Units @41.1300						
11/16/2018	***--3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904181	BUY 0 Units @41.3700						
11/16/2018	***--3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	1.48	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @41.3700						
11/06/2018	***--4392 - GARCIA, MICHELLE	CAPITAL INCOME BUILDER CLASS C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085764363	BUY 0 Units @58.8900						
11/05/2018	***--425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063412117	BUY 1 Units @19.2700						
11/05/2018	***--425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063412117	BUY 1 Units @19.2700						
11/05/2018	***--535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 1 Units @19.2700						
11/05/2018	***--535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 1 Units @19.2700						
11/08/2018	***--425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	14.40	0.17	0.00	0.17	80.0	0.14
	ACCOUNT #: 00063412117	BUY 1 Units @19.2100						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/08/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	CAPITAL WORLD BOND FUND-A BUY 1 Units @19.2100	12.31	0.15	0.00	0.15	80.0	0.12
11/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @47.3100	30.00	0.30	0.00	0.30	80.0	0.24
11/06/2018	***-**-1209 - NATALE, KIMBERLY ACCOUNT #: 00085764285	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @47.4700	50.00	0.50	0.00	0.50	80.0	0.40
11/06/2018	***-**-4392 - GARCIA, MICHELLE ACCOUNT #: 00085764363	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @47.4700	25.00	0.25	0.00	0.25	80.0	0.20
11/07/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @48.8300	20.00	0.20	0.00	0.20	80.0	0.16
11/08/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @47.9900	40.00	0.40	0.00	0.40	80.0	0.32
11/09/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @47.9800	20.00	0.20	0.00	0.20	80.0	0.16
11/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @46.6100	96.40	0.96	0.00	0.96	80.0	0.77
11/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @46.6100	3.60	0.04	0.00	0.04	80.0	0.03
11/15/2018	***-**-01UG - DIGIOVANNI, ACCOUNT #: 00087087389	CAPITAL WORLD GROWTH AND INCOME FUN BUY 3 Units @46.9500	150.00	1.50	0.00	1.50	80.0	1.20
11/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @47.0000	3.60	0.04	0.00	0.04	80.0	0.03
11/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @47.0000	96.40	0.96	0.00	0.96	80.0	0.77
11/16/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @47.0000	40.00	0.40	0.00	0.40	80.0	0.32
11/15/2018	***-**-43IN - BISHOP, EVELYN ACCOUNT #: 04000849605	EUROPACIFIC GROWTH FUND CLASS C BUY 1 Units @47.2700	50.00	0.50	0.00	0.50	80.0	0.40
11/05/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @49.9100	66.75	0.80	0.00	0.80	80.0	0.64
11/05/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @49.9100	66.75	0.80	0.00	0.80	80.0	0.64



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @49.9100	66.75	0.80	0.00	0.80	80.0	0.64
11/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @49.9100	66.75	0.80	0.00	0.80	80.0	0.64
11/08/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @50.2100	43.21	0.52	0.00	0.52	80.0	0.42
11/08/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @50.2100	36.93	0.44	0.00	0.44	80.0	0.35
11/05/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	FUNDAMENTAL INVESTORS-A BUY 2 Units @62.5100	133.50	1.60	0.00	1.60	80.0	1.28
11/05/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	FUNDAMENTAL INVESTORS-A BUY 2 Units @62.5100	133.50	1.60	0.00	1.60	80.0	1.28
11/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 2 Units @62.5100	133.50	1.60	0.00	1.60	80.0	1.28
11/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 2 Units @62.5100	133.50	1.60	0.00	1.60	80.0	1.28
11/07/2018	***-**-495P - HARTER, EDWARD ACCOUNT #: 00066759710	FUNDAMENTAL INVESTORS-A BUY 0 Units @63.1600	25.00	0.25	0.00	0.25	80.0	0.20
11/08/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	FUNDAMENTAL INVESTORS-A BUY 1 Units @63.8600	86.43	1.04	0.00	1.04	80.0	0.83
11/08/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 1 Units @63.8600	73.85	0.89	0.00	0.89	80.0	0.71
11/09/2018	***-**-495P - HARTER, EDWARD ACCOUNT #: 00066759710	FUNDAMENTAL INVESTORS-A BUY 0 Units @62.2200	25.00	0.25	0.00	0.25	80.0	0.20
11/05/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	FUNDAMENTAL INVESTORS-C BUY 0 Units @61.2000	5.00	0.05	0.00	0.05	80.0	0.04
11/06/2018	***-**-7625 - PRINCE, ADAM ACCOUNT #: 00085764342	FUNDAMENTAL INVESTORS-C BUY 1 Units @61.5500	75.00	0.75	0.00	0.75	80.0	0.60
11/06/2018	***-**-4392 - GARCIA, MICHELLE ACCOUNT #: 00085764363	FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5500	25.00	0.25	0.00	0.25	80.0	0.20
11/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5500	6.00	0.06	0.00	0.06	80.0	0.05



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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 FUNDS (continued)</b>								
11/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 1 Units @61.5500	80.00	0.80	0.00	0.80	80.0	0.64
11/12/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @60.4700	18.00	0.18	0.00	0.18	80.0	0.14
11/12/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @60.4700	2.40	0.02	0.00	0.02	80.0	0.02
11/12/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @60.4700	2.26	0.02	0.00	0.02	80.0	0.02
11/12/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @60.4700	18.00	0.18	0.00	0.18	80.0	0.14
11/12/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	FUNDAMENTAL INVESTORS-C BUY 0 Units @60.4700	5.00	0.05	0.00	0.05	80.0	0.04
11/12/2018	***-**-6171 - ROWE, KEVIN ACCOUNT #: 04000591484	FUNDAMENTAL INVESTORS-C BUY 4 Units @60.4700	225.00	2.25	0.00	2.25	80.0	1.80
11/15/2018	***-**-845P - MARTHALLER, ACCOUNT #: 00087023930	FUNDAMENTAL INVESTORS-C BUY 1 Units @60.7800	60.00	0.60	0.00	0.60	80.0	0.48
11/16/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @60.8900	2.40	0.02	0.00	0.02	80.0	0.02
11/16/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @60.8900	18.00	0.18	0.00	0.18	80.0	0.14
11/16/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @60.8900	2.27	0.02	0.00	0.02	80.0	0.02
11/16/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @60.8900	18.00	0.18	0.00	0.18	80.0	0.14
11/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 2 Units @22.2100	45.00	0.45	0.00	0.45	80.0	0.36
11/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 0 Units @22.2100	1.95	0.02	0.00	0.02	80.0	0.02
11/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 2 Units @22.3600	45.00	0.45	0.00	0.45	80.0	0.36
11/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 0 Units @22.3600	1.95	0.02	0.00	0.02	80.0	0.02



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/05/2018	***-**-564I - CARNEY, BARBARA	INVESTMENT COMPANY OF AMERICA CLASS	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089563161	BUY 0 Units @39.2800						
11/05/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	20.34	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089583477	BUY 1 Units @39.2800						
11/06/2018	***-**-1209 - NATALE, KIMBERLY	INVESTMENT COMPANY OF AMERICA CLASS	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085764285	BUY 1 Units @39.5200						
11/06/2018	***-**-96CL - SCARPULLA,	INVESTMENT COMPANY OF AMERICA CLASS	75.60	0.76	0.00	0.76	80.0	0.61
	ACCOUNT #: 00089722785	BUY 2 Units @39.5200						
11/12/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00085902249	BUY 1 Units @39.0000						
11/12/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	3.74	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @39.0000						
11/12/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	1.24	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @39.0000						
11/12/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	4.00	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @39.0000						
11/12/2018	***-**-564I - CARNEY, BARBARA	INVESTMENT COMPANY OF AMERICA CLASS	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089563161	BUY 0 Units @39.0000						
11/16/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	3.74	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @39.1700						
11/16/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00085902249	BUY 1 Units @39.1700						
11/16/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	0.66	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @39.1700						
11/16/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	4.00	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @39.1700						
11/05/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063412117	BUY 1 Units @43.8900						
11/05/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063412117	BUY 1 Units @43.8900						
11/05/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 1 Units @43.8900						





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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	NEW PERSPECTIVE FUND-A BUY 1 Units @43.8900	22.25	0.27	0.00	0.27	80.0	0.22
11/08/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	NEW PERSPECTIVE FUND-A BUY 0 Units @44.6300	14.40	0.17	0.00	0.17	80.0	0.14
11/08/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	NEW PERSPECTIVE FUND-A BUY 0 Units @44.6300	12.31	0.15	0.00	0.15	80.0	0.12
11/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @41.4800	6.00	0.06	0.00	0.06	80.0	0.05
11/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 2 Units @41.4800	80.00	0.80	0.00	0.80	80.0	0.64
11/12/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 1 Units @40.4500	21.00	0.21	0.00	0.21	80.0	0.17
11/12/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @40.4500	2.80	0.03	0.00	0.03	80.0	0.02
11/12/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	NEW PERSPECTIVE FUND-C BUY 0 Units @40.4500	2.50	0.03	0.00	0.03	80.0	0.02
11/12/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	NEW PERSPECTIVE FUND-C BUY 0 Units @40.4500	2.50	0.03	0.00	0.03	80.0	0.02
11/12/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @40.4500	2.64	0.03	0.00	0.03	80.0	0.02
11/12/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 1 Units @40.4500	21.00	0.21	0.00	0.21	80.0	0.17
11/16/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @40.8300	2.80	0.03	0.00	0.03	80.0	0.02
11/16/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 1 Units @40.8300	21.00	0.21	0.00	0.21	80.0	0.17
11/16/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	NEW PERSPECTIVE FUND-C BUY 0 Units @40.8300	2.50	0.03	0.00	0.03	80.0	0.02
11/16/2018	***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	NEW PERSPECTIVE FUND-C BUY 0 Units @40.8300	2.50	0.03	0.00	0.03	80.0	0.02
11/16/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @40.8300	2.64	0.03	0.00	0.03	80.0	0.02



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/16/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 1 Units @40.8300						
11/12/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085902226	BUY 0 Units @56.6600						
11/12/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @56.6600						
11/12/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.64	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @56.6600						
11/12/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @56.6600						
11/12/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @56.6600						
11/12/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @56.6600						
11/16/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @58.0000						
11/16/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085902226	BUY 0 Units @58.0000						
11/16/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.64	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @58.0000						
11/16/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @58.0000						
11/16/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @58.0000						
11/16/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @58.0000						
11/14/2018	***-**-20IN - GIANGRECO, TERRY	ROCH. LIMITED TERM NEW YORK MUNICI	617,457.82	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR010603	SELL 210020 Units @2.9400						
11/06/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00089051066	BUY 0 Units @48.2000						
11/06/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	80.00	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00089051066	BUY 2 Units @48.2000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @46.8200	48.20	0.48	0.00	0.48	80.0	0.38
11/12/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 0 Units @46.8200	1.80	0.02	0.00	0.02	80.0	0.02
11/15/2018	***-**-43IN - BISHOP, EVELYN ACCOUNT #: 04000849605	SMALLCAP WORLD FUND-C BUY 1 Units @47.1500	50.00	0.50	0.00	0.50	80.0	0.40
11/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 0 Units @47.3200	1.80	0.02	0.00	0.02	80.0	0.02
11/16/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @47.3200	48.20	0.48	0.00	0.48	80.0	0.38
11/05/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5300	44.50	0.53	0.00	0.53	80.0	0.42
11/05/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5300	44.50	0.53	0.00	0.53	80.0	0.42
11/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5300	44.50	0.53	0.00	0.53	80.0	0.42
11/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5300	44.50	0.53	0.00	0.53	80.0	0.42
11/08/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 2 Units @12.5000	28.81	0.35	0.00	0.35	80.0	0.28
11/08/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 2 Units @12.5000	24.62	0.30	0.00	0.30	80.0	0.24
11/05/2018	***-**-625P - CENTOLA, ANITA ACCOUNT #: 00074256566	THE BOND FUND OF AMERICA-C BUY 3 Units @12.3400	40.00	0.40	0.00	0.40	80.0	0.32
11/12/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.3700	28.05	0.28	0.00	0.28	80.0	0.22
11/12/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 0 Units @12.3700	3.63	0.04	0.00	0.04	80.0	0.03
11/12/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 0 Units @12.3700	2.59	0.03	0.00	0.03	80.0	0.02
11/12/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.3700	9.00	0.09	0.00	0.09	80.0	0.07



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/16/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	3.63	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @12.4000						
11/16/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 2 Units @12.4000						
11/16/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	9.00	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00085904181	BUY 1 Units @12.4000						
11/16/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	2.67	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @12.4000						
11/05/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00063412117	BUY 1 Units @52.7500						
11/05/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00063412117	BUY 1 Units @52.7500						
11/05/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00063451518	BUY 1 Units @52.7500						
11/05/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00063451518	BUY 1 Units @52.7500						
11/05/2018	***-**-00IN - DIVASTA, JANINE	THE GROWTH FUND OF AMERICA-A	250.00	9.38	0.00	9.38	80.0	7.50
	ACCOUNT #: 00063669925	BUY 5 Units @54.4100						
11/07/2018	***-**-195P - OZMINKOWSKI,	THE GROWTH FUND OF AMERICA-A	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00066758342	BUY 5 Units @53.5700						
11/07/2018	***-**-405P - FRISA, ALAN	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758344	BUY 1 Units @53.5700						
11/07/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758347	BUY 1 Units @53.5700						
11/07/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00066758348	BUY 1 Units @53.5700						
11/07/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	60.00	0.60	0.00	0.60	80.0	0.48
	ACCOUNT #: 00074922243	BUY 1 Units @53.5700						
11/07/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	71.63	0.72	0.00	0.72	80.0	0.58
	ACCOUNT #: 00083414110	BUY 1 Units @53.5700						
11/07/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00087318332	BUY 0 Units @53.5700						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/07/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @53.5700						
11/08/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	43.21	0.52	0.00	0.52	80.0	0.42
	ACCOUNT #: 00063412117	BUY 1 Units @53.9800						
11/08/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	36.93	0.44	0.00	0.44	80.0	0.35
	ACCOUNT #: 00063451518	BUY 1 Units @53.9800						
11/09/2018	***-**-195P - OZMINKOWSKI,	THE GROWTH FUND OF AMERICA-A	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00066758342	BUY 5 Units @52.4600						
11/09/2018	***-**-405P - FRISA, ALAN	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758344	BUY 1 Units @52.4600						
11/09/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758347	BUY 1 Units @52.4600						
11/09/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00066758348	BUY 1 Units @52.4600						
11/09/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	60.00	0.60	0.00	0.60	80.0	0.48
	ACCOUNT #: 00074922243	BUY 1 Units @52.4600						
11/09/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	71.41	0.71	0.00	0.71	80.0	0.57
	ACCOUNT #: 00083414110	BUY 1 Units @52.4600						
11/09/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00087318332	BUY 0 Units @52.4600						
11/09/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @52.4600						
11/05/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	176.00	1.76	0.00	1.76	80.0	1.41
	ACCOUNT #: 00073003754	BUY 4 Units @47.8800						
11/05/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00089045192	BUY 1 Units @47.8800						
11/05/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	86.99	0.87	0.00	0.87	80.0	0.70
	ACCOUNT #: 00089319958	BUY 2 Units @47.8800						
11/05/2018	***-**-482I - MARCONI, TODD	THE GROWTH FUND OF AMERICA-C	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089570936	BUY 0 Units @47.8800						
11/05/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	20.33	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089583477	BUY 0 Units @47.8800						



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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 FUNDS (continued)</b>								
11/05/2018	***-**-0006 - FORSYTH, KATHRYN	THE GROWTH FUND OF AMERICA-C	86.54	0.87	0.00	0.87	80.0	0.70
	ACCOUNT #: 04000650661	BUY 2 Units @47.8800						
11/06/2018	***-**-4392 - GARCIA, MICHELLE	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085764363	BUY 1 Units @48.1100						
11/06/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	75.60	0.76	0.00	0.76	80.0	0.61
	ACCOUNT #: 00089722785	BUY 2 Units @48.1100						
11/06/2018	***-**-0338 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-C	10,000.00	100.00	0.00	100.00	80.0	80.00
	ACCOUNT #: 04001257722	BUY 208 Units @48.1100						
11/06/2018	***-**-0338 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-C	2,000.00	20.00	0.00	20.00	80.0	16.00
	ACCOUNT #: 04001257665	BUY 42 Units @48.1100						
11/12/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @47.2100						
11/12/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @47.2100						
11/12/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @47.2100						
11/12/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @47.2100						
11/12/2018	***-**-1307 - BONACCI,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 00087952601	BUY 2 Units @47.2100						
11/12/2018	***-**-482I - MARCONI, TODD	THE GROWTH FUND OF AMERICA-C	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089570936	BUY 0 Units @47.2100						
11/12/2018	***-**-50IN - BONACCI,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 00089947853	BUY 2 Units @47.2100						
11/12/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	225.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 04000591484	BUY 5 Units @47.2100						
11/12/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	225.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 04000591533	BUY 5 Units @47.2100						
11/15/2018	***-**-3431 - SPENCER,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 04000347049	BUY 2 Units @47.4600						
11/15/2018	***-**-0578 - DIODATO, ZACHARY	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000618224	BUY 1 Units @47.4600						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/15/2018	***-**-4232 - DIODATO, MELISSA	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000618245	BUY 1 Units @47.4600						
11/16/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @47.4800						
11/16/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @47.4800						
11/16/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @47.4800						
11/16/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @47.4800						
11/07/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00066758342	BUY 6 Units @40.7400						
11/07/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00066758348	BUY 1 Units @40.7400						
11/07/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 0 Units @40.7400						
11/09/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00066758342	BUY 6 Units @40.1800						
11/09/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00066758348	BUY 1 Units @40.1800						
11/09/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 0 Units @40.1800						
11/12/2018	***-**-395P - DIVASTA, ANTHONY	THE INVESTMENT COMPANY OF AMERICA-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00059597416	BUY 1 Units @41.3000						
11/14/2018	***-**-20IN - GIANGRECO, TERRY	THE TAX-EXEMPT BOND FUND OF AMERICA	98,500.00	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR010603	SELL 7830 Units @12.5800						
11/15/2018	***-**-8932 - RUSH, MICHELLE	THE TAX-EXEMPT BOND FUND OF AMERICA	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000574835	BUY 4 Units @12.5900						
11/07/2018	***-**-63IN - DIAMOND, ANN	U.S. GOVERNMENT SECURITIES FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085468057	BUY 4 Units @13.1200						
11/05/2018	***-**-00IN - DIVASTA, JANINE	WASHINGTON MUTUAL INVESTORS FUND-A	250.00	9.38	0.00	9.38	80.0	7.50
	ACCOUNT #: 00063669925	BUY 5 Units @47.1300						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/07/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00066758345	BUY 11 Units @46.1300						
11/09/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00066758345	BUY 11 Units @45.7900						
11/05/2018	***-**-435P - BOSCO, SOFIA	WASHINGTON MUTUAL INVESTORS FUND-C	187.00	1.87	0.00	1.87	80.0	1.50
	ACCOUNT #: 00073003754	BUY 4 Units @44.3800						
11/05/2018	***-**-482I - MARCONI, TODD	WASHINGTON MUTUAL INVESTORS FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @44.3800						
11/08/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @45.4000						
11/12/2018	***-**-482I - MARCONI, TODD	WASHINGTON MUTUAL INVESTORS FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @44.4300						
11/15/2018	***-**-436I - RAGO, LISA	WASHINGTON MUTUAL INVESTORS FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000456708	BUY 1 Units @44.5200						
11/16/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @44.7700						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$741,310.72</b>	<b>\$278.04</b>	<b>\$39.00</b>	<b>\$239.04</b>		<b>\$183.72</b>
<b>PRODUCT CATEGORY: 529 PLAN</b>								
11/15/2018	***-**-195P - HECHT, ANDREW	AMERICAN BALANCED FUND-529A	200.00	10.00	0.00	10.00	80.0	8.00
	ACCOUNT #: 00068453142	BUY 7 Units @28.6400						
11/15/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087198137	BUY 2 Units @26.9700						
11/15/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087198121	BUY 2 Units @26.9700						
11/15/2018	***-**-385P - ARBORE, TAYLER	CAPITAL WORLD GROWTH AND INCOME-529	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00081282910	BUY 1 Units @49.8200						
11/15/2018	***-**-385P - ARBORE, TAYLER	CAPITAL WORLD GROWTH AND INCOME-529	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00081283006	BUY 1 Units @49.8200						
11/15/2018	***-**-415P - SCHILLACI, AMY	THE GROWTH FUND OF AMERICA-529C	75.00	0.75	0.00	0.75	80.0	0.60
	ACCOUNT #: 00081268733	BUY 2 Units @47.5900						
<b>* 529 PLAN SUBTOTAL *</b>			<b>\$475.00</b>	<b>\$16.01</b>	<b>\$0.00</b>	<b>\$16.01</b>		<b>\$12.80</b>





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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
10/19/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	27.19	0.00	27.19	80.0	21.75
10/19/2018	***-**-19IN - LIPPA, MARISSA ACCOUNT #: LSR011011	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	1.48	0.00	1.48	80.0	1.18
10/19/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	6.19	0.00	6.19	80.0	4.95
10/19/2018	***-**-58IR - HINDERLAND, GARY ACCOUNT #: LSR011249	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	80.0	1.58
10/19/2018	***-**-283I - RICCI, GABRIELLE ACCOUNT #: LSR011473	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	4.78	0.00	4.78	80.0	3.82
10/19/2018	***-**-95IO - KELLY, COURTNEY ACCOUNT #: LSR011685	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	3.05	0.00	3.05	80.0	2.44
10/19/2018	***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	23.33	0.00	23.33	80.0	18.66
10/19/2018	***-**-80IN - MOYER, COLLEEN ACCOUNT #: LSR011724	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	13.04	0.00	13.04	80.0	10.43
10/19/2018	***-**-80IR - MOYER, COLLEEN ACCOUNT #: LSR011726	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	14.98	0.00	14.98	80.0	11.98
10/19/2018	***-**-92IR - CUSIMANO, ACCOUNT #: LSR011784	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	80.0	1.24
10/19/2018	***-**-80IR - ROBERTS, ACCOUNT #: LSR011795	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	80.0	0.29
10/19/2018	***-**-11IN - RUSSELL, ALAN ACCOUNT #: LSR011417	AMERICAN FUND TAX - EXEMPT FUND OF BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	80.0	0.08
10/19/2018	***-**-61IN - OLIVERI, WILLIAM ACCOUNT #: LSR011543	AMERICAN HIGH INCOME MUNI BOND CLAS BUY 1 Units @0.0000	0.00	103.10	0.00	103.10	80.0	82.48
10/19/2018	***-**-306I - SINCLAIR, ACCOUNT #: LSR010992	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	5.06	0.00	5.06	80.0	4.05
10/19/2018	***-**-05IO - KIMBLE, LONNY ACCOUNT #: LSR011472	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	51.91	0.00	51.91	80.0	41.53
10/19/2018	***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	21.49	0.00	21.49	80.0	17.19



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-80IN - MOYER, COLLEEN ACCOUNT #: LSR011724	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	11.99	0.00	11.99	80.0	9.59
10/19/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	29.11	0.00	29.11	80.0	23.29
10/19/2018	***-**-44IR - ROBERTSON, ACCOUNT #: LSR010558	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	80.0	1.58
10/19/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	7.69	0.00	7.69	80.0	6.15
10/19/2018	***-**-14IN - BENEDETTO, ACCOUNT #: LSR010421	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	91.41	0.00	91.41	80.0	73.13
10/19/2018	***-**-306I - SINCLAIR, ACCOUNT #: LSR010992	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.10	0.00	5.10	80.0	4.08
10/19/2018	***-**-18IO - TAYLOR, GREGORY ACCOUNT #: LSR011690	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	6.50	0.00	6.50	80.0	5.20
10/19/2018	***-**-92IR - CUSIMANO, ACCOUNT #: LSR011784	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.60	0.00	1.60	80.0	1.28
11/19/2018	***-**-540J - ARBORE, MARIA	COLUMBIA THREADNEEDLE TRAILS BUY 0 Units @0.0000	0.00	2.25	0.00	2.25	80.0	1.80
11/19/2018	***-**-07IN - SCARPULLA,	COLUMBIA THREADNEEDLE TRAILS BUY 0 Units @0.0000	0.00	15.58	0.00	15.58	80.0	12.46
11/19/2018	***-**-540J - ARBORE, MARIA	COLUMBIA THREADNEEDLE TRAILS BUY 0 Units @0.0000	0.00	3.89	0.00	3.89	80.0	3.11
11/07/2018	***-**-4550 - JONES, JEFFREY ACCOUNT #: 00529631491	FA 529 PORT 2019-CL P BUY 0 Units @0.0000	0.00	6.08	0.00	6.08	80.0	4.86
11/07/2018	***-**-7278 - GUERRIERI DDS, ACCOUNT #: 00655383206	FIDELITY ADV ASSET MANAGER 50 PERCE BUY 0 Units @0.0000	0.00	0.71	0.00	0.71	80.0	0.57
11/07/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475410302	FIDELITY ADV FREEDOM 2020-CL C BUY 0 Units @0.0000	0.00	1.75	0.00	1.75	80.0	1.40
11/07/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV INTL DISCOVERY-CL A BUY 0 Units @0.0000	0.00	1.56	0.00	1.56	80.0	1.25
11/07/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	3.57	0.00	3.57	80.0	2.86



# COMMISSION STATEMENT

## November 19, 2018

FREDERIC SCARPULLA  
400 West Metro Park  
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BROKER #: 417  
BRANCH #01016 - 16 - CASPER

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>								
11/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV MID CAP II-CL A	0.00	4.85	0.00	4.85	80.0	3.88
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
11/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV NEW INSIGHTS-CL A	0.00	4.92	0.00	4.92	80.0	3.94
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
11/07/2018	***-**-7352 - GEISELHART,	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	31.51	0.00	31.51	80.0	25.21
	ACCOUNT #: 00618796254	BUY 0 Units @0.0000						
11/07/2018	***-**-5703 - DIODATO,	FIDELITY ADV STRATEGIC INCOME CL C	0.00	0.47	0.00	0.47	80.0	0.38
	ACCOUNT #: 03900218260	BUY 0 Units @0.0000						
11/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADV TECHNOLOGY CL A	0.00	4.84	0.00	4.84	80.0	3.87
	ACCOUNT #: 01475423313	BUY 0 Units @0.0000						
11/07/2018	***-**-0471 - BONACCI, LAURIE	FIDELITY ADVISOR FREEDOM 2020 CL A	0.00	0.92	0.00	0.92	80.0	0.74
	ACCOUNT #: 01475410302	BUY 0 Units @0.0000						
10/19/2018	***-**-721I - TABER, FBO LISA	FRANKLIN INCOME FUND CLASS A	0.00	1.18	0.00	1.18	80.0	0.94
	ACCOUNT #: LSR010434	BUY 1 Units @0.0000						
10/19/2018	***-**-721I - TABER, FBO LISA	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	2.58	0.00	2.58	80.0	2.06
	ACCOUNT #: LSR010434	BUY 1 Units @0.0000						
10/19/2018	***-**-18IO - TAYLOR, GREGORY	FUNDAMENTAL INVESTORS-C	0.00	25.48	0.00	25.48	80.0	20.38
	ACCOUNT #: LSR011690	BUY 1 Units @0.0000						
10/19/2018	***-**-80IN - MOYER, COLLEEN	FUNDAMENTAL INVESTORS-C	0.00	14.23	0.00	14.23	80.0	11.38
	ACCOUNT #: LSR011724	BUY 1 Units @0.0000						
10/19/2018	***-**-80IR - MOYER, COLLEEN	FUNDAMENTAL INVESTORS-C	0.00	8.10	0.00	8.10	80.0	6.48
	ACCOUNT #: LSR011726	BUY 1 Units @0.0000						
10/19/2018	***-**-92IR - CUSIMANO,	GLOBAL OPPORTUNITIES A	0.00	2.01	0.00	2.01	80.0	1.61
	ACCOUNT #: LSR011412	BUY 1 Units @0.0000						
11/02/2018	***-**-572I - CRUZ, FELIX	GOLDMAN SACHS ASSET ALLOC GR & INC	0.00	4.88	0.00	4.88	80.0	3.90
	ACCOUNT #: 00519076596	BUY 0 Units @0.0000						
10/19/2018	***-**-14IN - BENEDETTO,	INCOME FUND OF AMERICA CLASS C	0.00	98.89	0.00	98.89	80.0	79.11
	ACCOUNT #: LSR010421	BUY 1 Units @0.0000						
10/19/2018	***-**-306I - SINCLAIR,	INCOME FUND OF AMERICA CLASS C	0.00	5.38	0.00	5.38	80.0	4.30
	ACCOUNT #: LSR010992	BUY 1 Units @0.0000						
10/19/2018	***-**-05IO - KIMBLE, LONNY	INCOME FUND OF AMERICA CLASS C	0.00	51.48	0.00	51.48	80.0	41.18
	ACCOUNT #: LSR011472	BUY 1 Units @0.0000						



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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>								
10/19/2018	***-**-70UT - GALLETTS CUST, ACCOUNT #: LSR011191	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @0.0000	0.00	7.11	0.00	7.11	80.0	5.69
10/19/2018	***-**-63IR - DIAMOND, ANN ACCOUNT #: LSR011725	MUTUAL GLOBAL DISCOVERY FUND - CLAS BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	80.0	0.56
10/19/2018	***-**-04IR - CANORI, AMOREENA ACCOUNT #: LSR012753	NEW PERSPECTIVE FUND-A BUY 1 Units @0.0000	0.00	1.78	0.00	1.78	80.0	1.42
10/19/2018	***-**-92IR - CRISPINO, FBO ACCOUNT #: LSR011073	NEW PERSPECTIVE FUND-C BUY 1 Units @0.0000	0.00	12.51	0.00	12.51	80.0	10.01
10/19/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	NEW PERSPECTIVE FUND-C BUY 1 Units @0.0000	0.00	5.58	0.00	5.58	80.0	4.46
10/19/2018	***-**-825P - CRISPINO, DIANA ACCOUNT #: LSR011759	NEW PERSPECTIVE FUND-C BUY 1 Units @0.0000	0.00	5.99	0.00	5.99	80.0	4.79
11/19/2018	***-**-503J - OBI, JEAN	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.37	0.00	2.37	80.0	1.90
11/19/2018	***-**-3758 - CONNORS, DAVID ACCOUNT #: 77162702001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.43	0.00	0.43	80.0	0.34
11/19/2018	***-**-015P - FANTAUZZO, ACCOUNT #: 77529133201	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.76	0.00	2.76	80.0	2.21
11/19/2018	***-**-335P - JULIAN, GIOVANA ACCOUNT #: 77613466001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	9.48	0.00	9.48	80.0	7.58
11/19/2018	***-**-80IN - MOYER, COLLEEN ACCOUNT #: 77705588101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	13.47	0.00	13.47	80.0	10.78
11/19/2018	***-**-6352 - GINERVA, ENZA ACCOUNT #: 77766297801	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.82	0.00	1.82	80.0	1.46
11/19/2018	***-**-3497 - WARNEY, KRISTIE	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.51	0.00	0.51	80.0	0.41
10/19/2018	***-**-20IN - GIANGRECO, TERRY ACCOUNT #: LSR010603	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	105.34	0.00	105.34	80.0	84.27
10/19/2018	***-**-92IR - CUSIMANO, ACCOUNT #: LSR011412	SELECT VALUE FUND A BUY 1 Units @0.0000	0.00	1.34	0.00	1.34	80.0	1.07
10/19/2018	***-**-61IO - BONACCI, FBO ACCOUNT #: LSR011143	THE BOND FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	5.83	0.00	5.83	80.0	4.66



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-497J - WARNEY, KENNETH	THE GROWTH FUND OF AMERICA-C	0.00	0.33	0.00	0.33	80.0	0.26
	ACCOUNT #: LSR011248	BUY 1 Units @0.0000						
10/19/2018	***-**-283I - RICCI, GABRIELLE	THE GROWTH FUND OF AMERICA-C	0.00	7.06	0.00	7.06	80.0	5.65
	ACCOUNT #: LSR011473	BUY 1 Units @0.0000						
10/19/2018	***-**-04IR - CANORI, AMOREENA	THE INCOME FUND OF AMERICA-A	0.00	0.69	0.00	0.69	80.0	0.55
	ACCOUNT #: LSR012753	BUY 1 Units @0.0000						
10/19/2018	***-**-20IN - GIANGRECO, TERRY	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	358.99	0.00	358.99	80.0	287.19
	ACCOUNT #: LSR010603	BUY 1 Units @0.0000						
10/19/2018	***-**-61IN - OLIVERI, WILLIAM	THE TAX-EXEMPT BOND FUND OF AMERICA	0.00	148.78	0.00	148.78	80.0	119.02
	ACCOUNT #: LSR011543	BUY 1 Units @0.0000						
10/19/2018	***-**-80IR - MOYER, COLLEEN	WASHINGTON MUTUAL INVESTORS FUND-C	0.00	8.04	0.00	8.04	80.0	6.43
	ACCOUNT #: LSR011726	BUY 1 Units @0.0000						
10/19/2018	***-**-92IR - CUSIMANO,	WASHINGTON MUTUAL INVESTORS FUND-C	0.00	1.65	0.00	1.65	80.0	1.32
	ACCOUNT #: LSR011784	BUY 1 Units @0.0000						
	<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$1,434.62</b>	<b>\$0.00</b>	<b>\$1,434.62</b>		<b>\$1,147.65</b>
	<b>*** BROKER TRANSACTIONS TOTAL ***</b>		<b>\$741,785.72</b>	<b>\$1,728.67</b>	<b>\$39.00</b>	<b>\$1,689.67</b>		<b>\$1,344.17</b>



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$1,344.17
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						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		\$1,344.17
						Year-to-date Earnings		\$193,140.45