



# COMMISSION STATEMENT

## October 29, 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>								
10/29/2018	***-**-00IN - NIELSEN, JEFFREY	DELAWARE FUNDS ADDITIONAL DEPOSIT	150.00	6.00	0.00	6.00	95.0	5.70
	ACCOUNT #: 06000305476	BUY 0 Units @0.0000						
10/15/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 PORT 2019-CL C	275.00	2.75	0.00	2.75	95.0	2.61
	ACCOUNT #: 00625374327	BUY 15 Units @17.9400						
10/19/2018	***-**-095J - MORAN, MARY	PUTNAM NEW OPPORTUNITIES-C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 00476905514	BUY 1 Units @81.5900						
* MUTUAL FUNDS SUBTOTAL *			\$475.00	\$9.25	\$0.00	\$9.25		\$8.79
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
10/22/2018	***-**-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 *			\$100.00	\$0.00	\$0.00	\$0.00		\$0.00
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
10/08/2018	***-**-0054 - OSCHMANN, PAMELA	FA 529 PORT 2028-CL A	1,000.00	20.00	0.00	20.00	95.0	19.00
	ACCOUNT #: 03900243724	BUY 35 Units @28.6900						
10/15/2018	***-**-0054 - OSCHMANN, PAMELA	FA 529 PORT 2028-CL A	100.00	2.00	0.00	2.00	95.0	1.90
	ACCOUNT #: 03900243724	BUY 4 Units @28.0200						
* 529 PLAN SUBTOTAL *			\$1,100.00	\$22.00	\$0.00	\$22.00		\$20.90
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
10/29/2018	***-**-7637 - SAFRANEK,	VICTORY TRAILS	0.00	1.50	0.00	1.50	95.0	1.43
		BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1.50	\$0.00	\$1.50		\$1.43
*** BROKER TRANSACTIONS TOTAL ***			\$1,675.00	\$32.75	\$0.00	\$32.75		\$31.12



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<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: BARRY BRESIN</u></b>								
10/29/2018	***-**-717I - MARSJANIK,	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	22.77	0.00	22.77	15.0	3.42
10/29/2018	***-**-4892 - STERN, ROBERT ACCOUNT #: 20035472	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	25.22	0.00	25.22	15.0	3.78
10/29/2018	***-**-1223 - MELLINA, ALBERTA	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	41.44	0.00	41.44	15.0	6.22
10/29/2018	***-**-16IN - STERN, PATRICIA ACCOUNT #: 7200027673	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	20.77	0.00	20.77	15.0	3.12
10/29/2018	***-**-717I - MARSJANIK, ACCOUNT #: 7200008226	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	176.56	0.00	176.56	15.0	26.48
10/29/2018	***-**-4892 - STERN, ROBERT ACCOUNT #: 7200027682	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	19.73	0.00	19.73	15.0	2.96
<b>* BARRY BRESIN SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$306.49</b>	<b>\$0.00</b>	<b>\$306.49</b>		<b>\$45.98</b>
<b><u>BROKER: FREDERIC SCARPULLA</u></b>								
10/08/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	AMCAP FUND-A BUY 3 Units @34.8900	89.00	1.07	0.00	1.07	10.0	0.11
10/08/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	AMCAP FUND-A BUY 0 Units @34.8900	8.00	0.10	0.00	0.10	10.0	0.01
10/08/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	AMCAP FUND-A BUY 3 Units @34.8900	89.00	1.07	0.00	1.07	10.0	0.11
10/08/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	AMCAP FUND-A BUY 3 Units @34.8900	89.00	1.07	0.00	1.07	10.0	0.11
10/08/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	AMCAP FUND-A BUY 3 Units @34.8900	89.00	1.07	0.00	1.07	10.0	0.11
10/23/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	AMCAP FUND-A BUY 3 Units @32.9700	89.00	1.07	0.00	1.07	10.0	0.11
10/23/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	AMCAP FUND-A BUY 3 Units @32.9700	89.00	1.07	0.00	1.07	10.0	0.11
10/23/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	AMCAP FUND-A BUY 3 Units @32.9700	89.00	1.07	0.00	1.07	10.0	0.11
10/23/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	AMCAP FUND-A BUY 3 Units @32.9700	89.00	1.07	0.00	1.07	10.0	0.11



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/08/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 04000650661	BUY 2 Units @30.1300						
10/10/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591533	BUY 8 Units @29.0300						
10/23/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	67.93	0.68	0.00	0.68	10.0	0.07
	ACCOUNT #: 04000650661	BUY 2 Units @28.4700						
10/25/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	15.80	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 04000409714	BUY 1 Units @27.9500						
10/25/2018	***-**-8208 - KARNS, SHANNON	AMCAP FUND-C	480.00	4.80	0.00	4.80	10.0	0.48
	ACCOUNT #: 04000409714	BUY 17 Units @27.9500						
10/11/2018	***-**-825P - MASTROSIMONE,	AMERICAN BALANCED FUND-A	299.40	2.99	0.00	2.99	10.0	0.30
	ACCOUNT #: 00067351603	BUY 11 Units @26.9100						
10/11/2018	***-**-825P - MASTROSIMONE,	AMERICAN BALANCED FUND-A	226.81	2.27	0.00	2.27	10.0	0.23
	ACCOUNT #: 00067351603	BUY 8 Units @26.9100						
10/11/2018	***-**-685P - MASTROSIMONE,	AMERICAN BALANCED FUND-A	298.45	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00067400188	BUY 11 Units @26.9100						
10/11/2018	***-**-685P - MASTROSIMONE,	AMERICAN BALANCED FUND-A	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00067400188	BUY 0 Units @26.9100						
10/11/2018	***-**-305P - MASTROSIMONE,	AMERICAN BALANCED FUND-A	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00067436327	BUY 1 Units @26.9100						
10/11/2018	***-**-305P - MASTROSIMONE,	AMERICAN BALANCED FUND-A	298.45	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00067436327	BUY 11 Units @26.9100						
10/11/2018	***-**-275P - BERMUDEZ, CARLOS	AMERICAN BALANCED FUND-A	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00069016532	BUY 4 Units @26.9100						
10/11/2018	***-**-275P - BERMUDEZ, CARLOS	AMERICAN BALANCED FUND-A	98.91	0.99	0.00	0.99	10.0	0.10
	ACCOUNT #: 00069016532	BUY 4 Units @26.9100						
10/11/2018	***-**-3306 - MASTROSIMONE,	AMERICAN BALANCED FUND-A	36.00	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00083382475	BUY 1 Units @26.9100						
10/11/2018	***-**-3306 - MASTROSIMONE,	AMERICAN BALANCED FUND-A	36.00	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00083382475	BUY 1 Units @26.9100						
10/11/2018	***-**-3757 - MALONE, KENNETH	AMERICAN BALANCED FUND-A	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00083474112	BUY 1 Units @26.9100						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
10/11/2018	***-**-3757 - MALONE, KENNETH	AMERICAN BALANCED FUND-A	40.80	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00083474112	BUY 2 Units @26.9100						
10/11/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	38.40	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00087870442	BUY 1 Units @26.9100						
10/11/2018	***-**-1788 - SYKES, DANIEL	AMERICAN BALANCED FUND-A	102.40	1.02	0.00	1.02	10.0	0.10
	ACCOUNT #: 00087870442	BUY 4 Units @26.9100						
10/11/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	77.22	0.77	0.00	0.77	10.0	0.08
	ACCOUNT #: 00089874312	BUY 3 Units @26.9100						
10/11/2018	***-**-9535 - MITCHELL,	AMERICAN BALANCED FUND-A	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089874312	BUY 4 Units @26.9100						
10/12/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 1 Units @27.0900						
10/12/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @27.0900						
10/22/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 1 Units @26.9700						
10/22/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @26.9700						
10/23/2018	***-**-395P - DIVASTA, ANTHONY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	10.0	0.19
	ACCOUNT #: 00059597416	BUY 2 Units @28.1000						
10/08/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @27.5300						
10/08/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @27.5300						
10/08/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @27.5300						
10/08/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @27.5300						
10/08/2018	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	87.96	0.88	0.00	0.88	10.0	0.09
	ACCOUNT #: 00089244081	BUY 3 Units @27.5300						
10/08/2018	***-**-035S - CAPIZZI, TRACIE	AMERICAN BALANCED FUND-C	37.75	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00089679504	BUY 1 Units @27.5300						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
10/09/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 7 Units @27.5600						
10/09/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089045192	BUY 1 Units @27.5600						
10/09/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	9.81	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089583477	BUY 0 Units @27.5600						
10/09/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089910177	BUY 4 Units @27.5600						
10/22/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 7 Units @26.7800						
10/23/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089045192	BUY 2 Units @26.6500						
10/23/2018	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	94.56	0.95	0.00	0.95	10.0	0.10
	ACCOUNT #: 00089244081	BUY 4 Units @26.6500						
10/23/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	19.67	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089583477	BUY 1 Units @26.6500						
10/23/2018	***-**-035S - CAPIZZI, TRACIE	AMERICAN BALANCED FUND-C	37.75	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00089679504	BUY 1 Units @26.6500						
10/25/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @26.5400						
10/25/2018	***-**-398I - GUERRIERI, PAUL	AMERICAN BALANCED FUND-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00086040659	BUY 4 Units @26.5400						
10/25/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	160.00	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00089051066	BUY 6 Units @26.5400						
10/25/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	12.00	0.12	0.00	0.12	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @26.5400						
10/25/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089910177	BUY 5 Units @26.5400						
10/25/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089910177	BUY 5 Units @26.5400						
10/25/2018	***-**-8208 - KARNS, SHANNON	AMERICAN BALANCED FUND-C	1,000.00	10.00	0.00	10.00	10.0	1.00
	ACCOUNT #: 04000886858	BUY 38 Units @26.5400						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/26/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @26.3400						
10/26/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @26.3400						
10/26/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @26.3400						
10/26/2018	***-**-5838 - SPOLETA, BRENDA	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087435959	BUY 2 Units @26.3400						
10/08/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	98.82	0.99	0.00	0.99	10.0	0.10
	ACCOUNT #: 04000820464	BUY 5 Units @19.0700						
10/08/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	16.47	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 04000820464	BUY 1 Units @19.0700						
10/26/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	46.96	0.47	0.00	0.47	10.0	0.05
	ACCOUNT #: 04000820464	BUY 3 Units @17.8300						
10/26/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	7.83	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 04000820464	BUY 0 Units @17.8300						
10/10/2018	***-**-7063 - ZIOTO, JULIA	AMERICAN GLOBAL BALANCED CL C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 04000322984	BUY 3 Units @30.9800						
10/26/2018	***-**-5838 - SPOLETA, BRENDA	AMERICAN GLOBAL BALANCED CL C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00088037501	BUY 3 Units @30.2100						
10/26/2018	***-**-5838 - SPOLETA, BRENDA	AMERICAN HIGH INCOME MUNI BOND CLAS	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087435959	BUY 3 Units @15.5400						
10/08/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 10 Units @10.2000						
10/08/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @10.2000						
10/26/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 10 Units @10.0500						
10/26/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @10.0500						
10/26/2018	***-**-5838 - SPOLETA, BRENDA	AMERICAN HIGH-INCOME TRUST-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087435959	BUY 5 Units @10.0500						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/12/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @41.4100						
10/12/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	600.00	6.00	0.00	6.00	10.0	0.60
	ACCOUNT #: 00066759711	BUY 14 Units @41.4100						
10/22/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @41.3800						
10/22/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	600.00	6.00	0.00	6.00	10.0	0.60
	ACCOUNT #: 00066759711	BUY 15 Units @41.3800						
10/08/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @42.2900						
10/08/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @42.2900						
10/22/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @40.7800						
10/25/2018	***-**-6781 - KARNS, DANIELLE	AMERICAN MUTUAL FUND-C	30.53	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 04000409710	BUY 1 Units @40.1200						
10/26/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @39.7400						
10/22/2018	***-**-9611 - MACDUFFIE, LINDA	CAPITAL INCOME BUILDER CLASS C	300.00	3.00	0.00	3.00	10.0	0.30
	ACCOUNT #: 00087299599	BUY 5 Units @58.5500						
10/26/2018	***-**-5838 - SPOLETA, BRENDA	CAPITAL INCOME BUILDER CLASS C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00088037501	BUY 2 Units @57.6400						
10/22/2018	***-**-0447 - LEVINE, JACQUE	CAPITAL INCOME BUILDER-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00084996765	BUY 2 Units @61.2400						
10/08/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @19.2800						
10/08/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @19.2800						
10/08/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @19.2800						
10/08/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @19.2800						



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ANDREW KALINOWSKI  
400 West Metro Park  
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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>VERRIDE TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/23/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @19.3300						
10/23/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @19.3300						
10/23/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @19.3300						
10/23/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @19.3300						
10/25/2018	***-**-398I - GUERRIERI, PAUL	CAPITAL WORLD BOND FUND-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00086040659	BUY 5 Units @18.6800						
10/08/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	10.0	0.10
	ACCOUNT #: 00087038420	BUY 2 Units @49.4300						
10/09/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00089045192	BUY 1 Units @49.4400						
10/09/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @49.4400						
10/11/2018	***-**-705P - SNYDER, STEVEN	CAPITAL WORLD GROWTH AND INCOME FUN	27.20	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00067400189	BUY 1 Units @47.8900						
10/11/2018	***-**-705P - SNYDER, STEVEN	CAPITAL WORLD GROWTH AND INCOME FUN	15.30	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00067400189	BUY 0 Units @47.8900						
10/11/2018	***-**-3306 - MASTROSIMONE,	CAPITAL WORLD GROWTH AND INCOME FUN	36.00	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00083382475	BUY 1 Units @47.8900						
10/11/2018	***-**-3306 - MASTROSIMONE,	CAPITAL WORLD GROWTH AND INCOME FUN	36.00	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00083382475	BUY 1 Units @47.8900						
10/12/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00066758344	BUY 0 Units @48.4500						
10/22/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00066758344	BUY 0 Units @48.1100						
10/23/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00089045192	BUY 1 Units @47.1800						
10/25/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @46.5200						





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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>								
10/25/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @46.5200						
10/26/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	10.0	0.10
	ACCOUNT #: 00087038420	BUY 2 Units @46.0200						
10/29/2018	***-**-526I - CAVALLARO,	CARILLON FAMILY FUNDS TRAILS	0.00	9.09	0.00	9.09	10.0	0.91
		BUY 0 Units @0.0000						
10/29/2018	***-**-526I - CAVALLARO,	CARILLON FAMILY FUNDS TRAILS	0.00	4.90	0.00	4.90	10.0	0.49
		BUY 0 Units @0.0000						
10/29/2018	***-**-526I - CAVALLARO,	CARILLON FAMILY FUNDS TRAILS	0.00	0.31	0.00	0.31	10.0	0.03
		BUY 0 Units @0.0000						
10/08/2018	***-**-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @51.5900						
10/08/2018	***-**-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	6.00	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 00063412117	BUY 0 Units @51.5900						
10/08/2018	***-**-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @51.5900						
10/08/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @51.5900						
10/08/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @51.5900						
10/11/2018	***-**-275P - HUGGINS, EDDISON	EUROPACIFIC GROWTH FUND-A	29.38	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00067335866	BUY 1 Units @48.6800						
10/11/2018	***-**-275P - HUGGINS, EDDISON	EUROPACIFIC GROWTH FUND-A	40.80	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00067335866	BUY 1 Units @48.6800						
10/11/2018	***-**-375P - MASTROSIMONE,	EUROPACIFIC GROWTH FUND-A	49.50	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00067351605	BUY 1 Units @48.6800						
10/11/2018	***-**-375P - MASTROSIMONE,	EUROPACIFIC GROWTH FUND-A	79.20	0.79	0.00	0.79	10.0	0.08
	ACCOUNT #: 00067351605	BUY 2 Units @48.6800						
10/11/2018	***-**-705P - SNYDER, STEVEN	EUROPACIFIC GROWTH FUND-A	32.40	0.32	0.00	0.32	10.0	0.03
	ACCOUNT #: 00067400189	BUY 1 Units @48.6800						
10/11/2018	***-**-705P - SNYDER, STEVEN	EUROPACIFIC GROWTH FUND-A	57.60	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 00067400189	BUY 1 Units @48.6800						



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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>								
10/23/2018	***-**-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @49.3300						
10/23/2018	***-**-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @49.3300						
10/23/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @49.3300						
10/23/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @49.3300						
10/08/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063412117	BUY 2 Units @65.3900						
10/08/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	12.00	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00063412117	BUY 0 Units @65.3900						
10/08/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063412117	BUY 2 Units @65.3900						
10/08/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063451518	BUY 2 Units @65.3900						
10/08/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063451518	BUY 2 Units @65.3900						
10/11/2018	***-**-705P - SNYDER, STEVEN	FUNDAMENTAL INVESTORS-A	17.60	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00067400189	BUY 0 Units @61.2300						
10/11/2018	***-**-705P - SNYDER, STEVEN	FUNDAMENTAL INVESTORS-A	9.90	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00067400189	BUY 0 Units @61.2300						
10/11/2018	***-**-7063 - REGALI, JOHANNA	FUNDAMENTAL INVESTORS-A	21.96	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 04001141304	BUY 0 Units @61.2300						
10/11/2018	***-**-7063 - REGALI, JOHANNA	FUNDAMENTAL INVESTORS-A	21.96	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 04001141304	BUY 0 Units @61.2300						
10/12/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00066759710	BUY 0 Units @62.0300						
10/22/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00066759710	BUY 0 Units @61.6800						
10/23/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063412117	BUY 2 Units @62.1000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/23/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063412117	BUY 2 Units @62.1000						
10/23/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063451518	BUY 2 Units @62.1000						
10/23/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063451518	BUY 2 Units @62.1000						
10/08/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @64.0600						
10/08/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @64.0600						
10/08/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @64.0600						
10/10/2018	***-**-6171 - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591484	BUY 4 Units @61.9300						
10/22/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @61.3300						
10/25/2018	***-**-615P - LE, TU	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00075107985	BUY 2 Units @60.1300						
10/25/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089051066	BUY 1 Units @60.1300						
10/25/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @60.1300						
10/25/2018	***-**-6171 - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	480.00	4.80	0.00	4.80	10.0	0.48
	ACCOUNT #: 04000409801	BUY 8 Units @60.1300						
10/25/2018	***-**-6171 - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	53.00	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 04000409801	BUY 1 Units @60.1300						
10/26/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @59.2300						
10/26/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @59.2300						
10/08/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00087236607	BUY 2 Units @22.7900						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLASS C BUY 2 Units @21.7700	45.00	0.45	0.00	0.45	10.0	0.05
10/08/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @41.3200	28.90	0.29	0.00	0.29	10.0	0.03
10/08/2018	***-**-564I - CARNEY, BARBARA ACCOUNT #: 00089563161	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @41.3200	10.00	0.10	0.00	0.10	10.0	0.01
10/09/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @41.3100	9.52	0.10	0.00	0.10	10.0	0.01
10/22/2018	***-**-564I - CARNEY, BARBARA ACCOUNT #: 00089563161	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @39.5000	10.00	0.10	0.00	0.10	10.0	0.01
10/23/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @39.3200	19.09	0.19	0.00	0.19	10.0	0.02
10/25/2018	***-**-3727 - D'ANGELO, ANDREW ACCOUNT #: 04000409699	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @38.7700	20.00	0.20	0.00	0.20	10.0	0.02
10/25/2018	***-**-3727 - D'ANGELO, ANDREW ACCOUNT #: 04000409699	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @38.7700	14.00	0.14	0.00	0.14	10.0	0.01
10/25/2018	***-**-6781 - KARNS, DANIELLE ACCOUNT #: 04000409710	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @38.7700	30.54	0.31	0.00	0.31	10.0	0.03
10/26/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @38.2500	28.90	0.29	0.00	0.29	10.0	0.03
10/08/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	NEW PERSPECTIVE FUND-A BUY 0 Units @45.8400	22.25	0.27	0.00	0.27	10.0	0.03
10/08/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	NEW PERSPECTIVE FUND-A BUY 0 Units @45.8400	22.25	0.27	0.00	0.27	10.0	0.03
10/08/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	NEW PERSPECTIVE FUND-A BUY 0 Units @45.8400	22.25	0.27	0.00	0.27	10.0	0.03
10/08/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	NEW PERSPECTIVE FUND-A BUY 0 Units @45.8400	22.25	0.27	0.00	0.27	10.0	0.03
10/11/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	NEW PERSPECTIVE FUND-A BUY 7 Units @42.9600	299.40	2.99	0.00	2.99	10.0	0.30
10/11/2018	***-**-825P - MASTROSIMONE, ACCOUNT #: 00067351603	NEW PERSPECTIVE FUND-A BUY 5 Units @42.9600	226.80	2.27	0.00	2.27	10.0	0.23



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ANDREW KALINOWSKI  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>VERRIDE TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/11/2018	***-**-815P - WEBER, ANTHONY	NEW PERSPECTIVE FUND-A	44.35	0.44	0.00	0.44	10.0	0.04
	ACCOUNT #: 00067400187	BUY 1 Units @42.9600						
10/11/2018	***-**-815P - WEBER, ANTHONY	NEW PERSPECTIVE FUND-A	109.20	1.09	0.00	1.09	10.0	0.11
	ACCOUNT #: 00067400187	BUY 3 Units @42.9600						
10/11/2018	***-**-1788 - SYKES, DANIEL	NEW PERSPECTIVE FUND-A	19.20	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00087870442	BUY 0 Units @42.9600						
10/11/2018	***-**-1788 - SYKES, DANIEL	NEW PERSPECTIVE FUND-A	51.20	0.51	0.00	0.51	10.0	0.05
	ACCOUNT #: 00087870442	BUY 1 Units @42.9600						
10/11/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-A	16.18	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00089254350	BUY 0 Units @42.9600						
10/11/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-A	52.80	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00089254350	BUY 1 Units @42.9600						
10/11/2018	***-**-7063 - REGALI, JOHANNA	NEW PERSPECTIVE FUND-A	21.96	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 04001141304	BUY 1 Units @42.9600						
10/11/2018	***-**-7063 - REGALI, JOHANNA	NEW PERSPECTIVE FUND-A	21.96	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 04001141304	BUY 1 Units @42.9600						
10/23/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @43.7800						
10/23/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @43.7800						
10/23/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @43.7800						
10/23/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @43.7800						
10/08/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @43.1300						
10/08/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @43.1300						
10/25/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	80.00	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00089051066	BUY 2 Units @40.5900						
10/25/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @40.5900						



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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>								
10/25/2018	***-**-1955 - MARCELLUS, JAMES	NEW PERSPECTIVE FUND-C	23.08	0.23	0.00	0.23	10.0	0.02
	ACCOUNT #: 04000409718	BUY 1 Units @40.5900						
10/25/2018	***-**-1955 - MARCELLUS, JAMES	NEW PERSPECTIVE FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000409718	BUY 1 Units @40.5900						
10/25/2018	***-**-9004 - MARCELLUS,	NEW PERSPECTIVE FUND-C	17.30	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 04000409785	BUY 0 Units @40.5900						
10/25/2018	***-**-9004 - MARCELLUS,	NEW PERSPECTIVE FUND-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 04000409785	BUY 2 Units @40.5900						
10/26/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 1 Units @39.9500						
10/26/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 1 Units @39.9500						
10/08/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @59.2700						
10/08/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @59.2700						
10/08/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @59.2700						
10/25/2018	***-**-398I - GUERRIERI, PAUL	NEW WORLD FUND-C	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00086040659	BUY 3 Units @56.7300						
10/26/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @56.3300						
10/26/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @56.3300						
10/26/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @56.3300						
10/29/2018	***-**-335P - JULIAN, GIOVANA	NY 529 ADDITIONAL DEPOSIT	226.25	2.27	0.00	2.27	10.0	0.23
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
10/11/2018	***-**-685P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	298.45	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00067400188	BUY 31 Units @9.7700						
10/11/2018	***-**-685P - MASTROSIMONE,	SHORT-TERM BOND FUND OF AMERICA - A	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00067400188	BUY 1 Units @9.7700						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	SHORT-TERM BOND FUND OF AMERICA - A BUY 2 Units @9.7700	18.00	0.18	0.00	0.18	10.0	0.02
10/11/2018	***-**-305P - MASTROSIMONE, ACCOUNT #: 00067436327	SHORT-TERM BOND FUND OF AMERICA - A BUY 31 Units @9.7700	298.45	2.98	0.00	2.98	10.0	0.30
10/08/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @50.0800	48.20	0.48	0.00	0.48	10.0	0.05
10/25/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 2 Units @46.6900	80.00	0.80	0.00	0.80	10.0	0.08
10/25/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @46.6900	6.00	0.06	0.00	0.06	10.0	0.01
10/26/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @46.1300	48.20	0.48	0.00	0.48	10.0	0.05
10/08/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5500	44.50	0.53	0.00	0.53	10.0	0.05
10/08/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 0 Units @12.5500	4.00	0.05	0.00	0.05	10.0	0.01
10/08/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5500	44.50	0.53	0.00	0.53	10.0	0.05
10/08/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5500	44.50	0.53	0.00	0.53	10.0	0.05
10/08/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 4 Units @12.5500	44.50	0.53	0.00	0.53	10.0	0.05
10/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 2 Units @12.4000	30.62	0.31	0.00	0.31	10.0	0.03
10/11/2018	***-**-815P - WEBER, ANTHONY ACCOUNT #: 00067400187	THE BOND FUND OF AMERICA-A BUY 6 Units @12.4000	75.40	0.75	0.00	0.75	10.0	0.08
10/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 4 Units @12.4000	48.00	0.48	0.00	0.48	10.0	0.05
10/11/2018	***-**-3306 - MASTROSIMONE, ACCOUNT #: 00083382475	THE BOND FUND OF AMERICA-A BUY 4 Units @12.4000	48.00	0.48	0.00	0.48	10.0	0.05
10/11/2018	***-**-3757 - MALONE, KENNETH ACCOUNT #: 00083474112	THE BOND FUND OF AMERICA-A BUY 3 Units @12.4000	40.80	0.41	0.00	0.41	10.0	0.04



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/11/2018	***-**-3757 - MALONE, KENNETH	THE BOND FUND OF AMERICA-A	54.40	0.54	0.00	0.54	10.0	0.05
	ACCOUNT #: 00083474112	BUY 4 Units @12.4000						
10/23/2018	***-**-425P - DELGAIZO, LOUISA	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063412117	BUY 4 Units @12.5500						
10/23/2018	***-**-425P - DELGAIZO, LOUISA	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063412117	BUY 4 Units @12.5500						
10/23/2018	***-**-535P - DELGAIZO,	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063451518	BUY 4 Units @12.5500						
10/23/2018	***-**-535P - DELGAIZO,	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063451518	BUY 4 Units @12.5500						
10/08/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 2 Units @12.3600						
10/08/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085904181	BUY 1 Units @12.3600						
10/26/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 2 Units @12.4200						
10/26/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085904181	BUY 1 Units @12.4200						
10/26/2018	***-**-5838 - SPOLETA, BRENDA	THE BOND FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00088037501	BUY 8 Units @12.4200						
10/08/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @55.9000						
10/08/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	6.00	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 00063412117	BUY 0 Units @55.9000						
10/08/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @55.9000						
10/08/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @55.9000						
10/08/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @55.9000						
10/08/2018	***-**-00IN - DIVASTA, JANINE	THE GROWTH FUND OF AMERICA-A	150.00	5.63	0.00	5.63	10.0	0.56
	ACCOUNT #: 00063669925	BUY 3 Units @57.6500						





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/11/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00067335866 BUY 1 Units @52.1700	28.51	0.29	0.00	0.29	10.0	0.03
10/11/2018	***-**-275P - HUGGINS, EDDISON	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00067335866 BUY 1 Units @52.1700	39.60	0.40	0.00	0.40	10.0	0.04
10/11/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00067351603 BUY 4 Units @52.1700	226.80	2.27	0.00	2.27	10.0	0.23
10/11/2018	***-**-825P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00067351603 BUY 6 Units @52.1700	299.40	2.99	0.00	2.99	10.0	0.30
10/11/2018	***-**-375P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00067351605 BUY 2 Units @52.1700	79.20	0.79	0.00	0.79	10.0	0.08
10/11/2018	***-**-375P - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00067351605 BUY 1 Units @52.1700	49.50	0.50	0.00	0.50	10.0	0.05
10/11/2018	***-**-815P - WEBER, ANTHONY	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00067400187 BUY 1 Units @52.1700	30.63	0.31	0.00	0.31	10.0	0.03
10/11/2018	***-**-815P - WEBER, ANTHONY	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00067400187 BUY 1 Units @52.1700	75.40	0.75	0.00	0.75	10.0	0.08
10/11/2018	***-**-705P - SNYDER, STEVEN	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00067400189 BUY 1 Units @52.1700	32.40	0.32	0.00	0.32	10.0	0.03
10/11/2018	***-**-705P - SNYDER, STEVEN	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00067400189 BUY 1 Units @52.1700	57.60	0.58	0.00	0.58	10.0	0.06
10/11/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00083474112 BUY 1 Units @52.1700	30.60	0.31	0.00	0.31	10.0	0.03
10/11/2018	***-**-3757 - MALONE, KENNETH	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00083474112 BUY 1 Units @52.1700	40.80	0.41	0.00	0.41	10.0	0.04
10/11/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00086553837 BUY 2 Units @52.1700	80.00	0.80	0.00	0.80	10.0	0.08
10/11/2018	***-**-8919 - MASTROSIMONE,	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00086553837 BUY 2 Units @52.1700	80.00	0.80	0.00	0.80	10.0	0.08
10/11/2018	***-**-1788 - SYKES, DANIEL	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00087870442 BUY 0 Units @52.1700	19.20	0.19	0.00	0.19	10.0	0.02
10/11/2018	***-**-1788 - SYKES, DANIEL	THE GROWTH FUND OF AMERICA-A ACCOUNT #: 00087870442 BUY 1 Units @52.1700	51.20	0.51	0.00	0.51	10.0	0.05



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE GROWTH FUND OF AMERICA-A BUY 0 Units @52.1700	16.19	0.16	0.00	0.16	10.0	0.02
10/11/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089254350	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.1700	52.80	0.53	0.00	0.53	10.0	0.05
10/11/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.1700	51.48	0.51	0.00	0.51	10.0	0.05
10/11/2018	***-**-9535 - MITCHELL, ACCOUNT #: 00089874312	THE GROWTH FUND OF AMERICA-A BUY 2 Units @52.1700	80.00	0.80	0.00	0.80	10.0	0.08
10/11/2018	***-**-7063 - REGALI, JOHANNA ACCOUNT #: 04001141304	THE GROWTH FUND OF AMERICA-A BUY 0 Units @52.1700	21.96	0.22	0.00	0.22	10.0	0.02
10/11/2018	***-**-7063 - REGALI, JOHANNA ACCOUNT #: 04001141304	THE GROWTH FUND OF AMERICA-A BUY 0 Units @52.1700	21.96	0.22	0.00	0.22	10.0	0.02
10/12/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 5 Units @53.1600	250.00	2.50	0.00	2.50	10.0	0.25
10/12/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.1600	30.00	0.30	0.00	0.30	10.0	0.03
10/12/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.1600	30.00	0.30	0.00	0.30	10.0	0.03
10/12/2018	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.1600	50.00	0.50	0.00	0.50	10.0	0.05
10/12/2018	***-**-095P - RIVERA, MIGUEL ACCOUNT #: 00074922243	THE GROWTH FUND OF AMERICA-A BUY 2 Units @53.1600	130.00	1.30	0.00	1.30	10.0	0.13
10/12/2018	***-**-4750 - OSCHMANN, MARK ACCOUNT #: 00083414110	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.1600	61.00	0.61	0.00	0.61	10.0	0.06
10/12/2018	***-**-9447 - ZAJONCZKOSKI, ACCOUNT #: 00087318332	THE GROWTH FUND OF AMERICA-A BUY 0 Units @53.1600	20.00	0.20	0.00	0.20	10.0	0.02
10/12/2018	***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	THE GROWTH FUND OF AMERICA-A BUY 0 Units @53.1600	10.00	0.10	0.00	0.10	10.0	0.01
10/22/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 5 Units @52.6200	250.00	2.50	0.00	2.50	10.0	0.25
10/22/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.6200	30.00	0.30	0.00	0.30	10.0	0.03



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/22/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @52.6200						
10/22/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @52.6200						
10/22/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	60.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 00074922243	BUY 1 Units @52.6200						
10/22/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	77.83	0.78	0.00	0.78	10.0	0.08
	ACCOUNT #: 00083414110	BUY 1 Units @52.6200						
10/22/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00087318332	BUY 0 Units @52.6200						
10/22/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @52.6200						
10/23/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @53.0100						
10/23/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @53.0100						
10/23/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @53.0100						
10/23/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @53.0100						
10/23/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	200.00	7.50	0.00	7.50	10.0	0.75
	ACCOUNT #: 00086606929	BUY 4 Units @54.6700						
10/23/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	51.84	1.94	0.00	1.94	10.0	0.19
	ACCOUNT #: 00086606929	BUY 1 Units @54.6700						
10/08/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @50.7600						
10/08/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	55.97	0.56	0.00	0.56	10.0	0.06
	ACCOUNT #: 00089319958	BUY 1 Units @50.7600						
10/08/2018	***-**-482I - MARCONI, TODD	THE GROWTH FUND OF AMERICA-C	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @50.7600						
10/08/2018	***-**-0006 - FORSYTH, KATHRYN	THE GROWTH FUND OF AMERICA-C	86.54	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 04000650661	BUY 2 Units @50.7600						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
10/09/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	176.00	1.76	0.00	1.76	10.0	0.18
	ACCOUNT #: 00073003754	BUY 3 Units @50.7900						
10/09/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00089045192	BUY 1 Units @50.7900						
10/09/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	9.52	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089583477	BUY 0 Units @50.7900						
10/10/2018	***-**-1307 - BONACCI,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00087952601	BUY 2 Units @48.8100						
10/10/2018	***-**-50IN - BONACCI,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00089947853	BUY 2 Units @48.8100						
10/10/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591484	BUY 5 Units @48.8100						
10/10/2018	***-**-8208 - KARNs, SHANNON	THE GROWTH FUND OF AMERICA-C	225.00	2.25	0.00	2.25	10.0	0.23
	ACCOUNT #: 04000591533	BUY 5 Units @48.8100						
10/22/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	176.00	1.76	0.00	1.76	10.0	0.18
	ACCOUNT #: 00073003754	BUY 4 Units @48.5000						
10/22/2018	***-**-482I - MARCONI, TODD	THE GROWTH FUND OF AMERICA-C	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @48.5000						
10/22/2018	***-**-3497 - WARNEY, KRISTIE	THE GROWTH FUND OF AMERICA-C	6,000.00	60.00	0.00	60.00	10.0	6.00
	ACCOUNT #: 04001232997	BUY 124 Units @48.5000						
10/23/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00089045192	BUY 1 Units @48.1200						
10/23/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	59.12	0.59	0.00	0.59	10.0	0.06
	ACCOUNT #: 00089319958	BUY 1 Units @48.1200						
10/23/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	19.09	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @48.1200						
10/23/2018	***-**-0006 - FORSYTH, KATHRYN	THE GROWTH FUND OF AMERICA-C	101.89	1.02	0.00	1.02	10.0	0.10
	ACCOUNT #: 04000650661	BUY 2 Units @48.1200						
10/25/2018	***-**-7186 - VELLA, DOMENICO	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000248474	BUY 1 Units @47.3800						
10/25/2018	***-**-2678 - VELLA, VINCENZO	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000248491	BUY 1 Units @47.3800						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/25/2018	***-**-3727 - D'ANGELO, ANDREW	THE GROWTH FUND OF AMERICA-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 04000409699	BUY 0 Units @47.3800						
10/25/2018	***-**-3727 - D'ANGELO, ANDREW	THE GROWTH FUND OF AMERICA-C	14.00	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 04000409699	BUY 0 Units @47.3800						
10/25/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	15.80	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 04000409714	BUY 0 Units @47.3800						
10/25/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	480.00	4.80	0.00	4.80	10.0	0.48
	ACCOUNT #: 04000409714	BUY 10 Units @47.3800						
10/25/2018	***-**-1955 - MARCELLUS, JAMES	THE GROWTH FUND OF AMERICA-C	23.08	0.23	0.00	0.23	10.0	0.02
	ACCOUNT #: 04000409718	BUY 0 Units @47.3800						
10/25/2018	***-**-1955 - MARCELLUS, JAMES	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000409718	BUY 1 Units @47.3800						
10/25/2018	***-**-9004 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	17.30	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 04000409785	BUY 0 Units @47.3800						
10/25/2018	***-**-9004 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 04000409785	BUY 2 Units @47.3800						
10/25/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	480.00	4.80	0.00	4.80	10.0	0.48
	ACCOUNT #: 04000409801	BUY 10 Units @47.3800						
10/25/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	53.00	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 04000409801	BUY 1 Units @47.3800						
10/26/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @46.4400						
10/11/2018	***-**-685P - MASTROSIMONE,	THE INCOME FUND OF AMERICA-A	298.45	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00067400188	BUY 13 Units @22.4000						
10/11/2018	***-**-685P - MASTROSIMONE,	THE INCOME FUND OF AMERICA-A	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00067400188	BUY 0 Units @22.4000						
10/11/2018	***-**-305P - MASTROSIMONE,	THE INCOME FUND OF AMERICA-A	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00067436327	BUY 1 Units @22.4000						
10/11/2018	***-**-305P - MASTROSIMONE,	THE INCOME FUND OF AMERICA-A	298.45	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00067436327	BUY 13 Units @22.4000						
10/22/2018	***-**-8776 - LEVINE, TODD	THE INCOME FUND OF AMERICA-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00067996697	BUY 4 Units @23.5200						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/11/2018	***-**-275P - HUGGINS, EDDISON	THE INVESTMENT COMPANY OF AMERICA-A	28.51	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00067335866	BUY 1 Units @39.8600						
10/11/2018	***-**-275P - HUGGINS, EDDISON	THE INVESTMENT COMPANY OF AMERICA-A	39.60	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00067335866	BUY 1 Units @39.8600						
10/11/2018	***-**-1788 - SYKES, DANIEL	THE INVESTMENT COMPANY OF AMERICA-A	19.20	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00087870442	BUY 0 Units @39.8600						
10/11/2018	***-**-1788 - SYKES, DANIEL	THE INVESTMENT COMPANY OF AMERICA-A	51.20	0.51	0.00	0.51	10.0	0.05
	ACCOUNT #: 00087870442	BUY 1 Units @39.8600						
10/11/2018	***-**-96CL - SCARPULLA,	THE INVESTMENT COMPANY OF AMERICA-A	16.68	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 00089254350	BUY 0 Units @39.8600						
10/11/2018	***-**-96CL - SCARPULLA,	THE INVESTMENT COMPANY OF AMERICA-A	54.40	0.54	0.00	0.54	10.0	0.05
	ACCOUNT #: 00089254350	BUY 1 Units @39.8600						
10/12/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00066758342	BUY 6 Units @40.2300						
10/12/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @40.2300						
10/12/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 0 Units @40.2300						
10/22/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00066758342	BUY 6 Units @39.9400						
10/22/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @39.9400						
10/22/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 1 Units @39.9400						
10/23/2018	***-**-395P - DIVASTA, ANTHONY	THE INVESTMENT COMPANY OF AMERICA-A	50.00	1.88	0.00	1.88	10.0	0.19
	ACCOUNT #: 00059597416	BUY 1 Units @41.6200						
10/11/2018	***-**-7063 - REGALI, JOHANNA	THE NEW ECONOMY FUND-A	21.96	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 04001141304	BUY 0 Units @45.0900						
10/11/2018	***-**-7063 - REGALI, JOHANNA	THE NEW ECONOMY FUND-A	21.96	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 04001141304	BUY 0 Units @45.0900						
10/08/2018	***-**-63IN - DIAMOND, ANN	U.S. GOVERNMENT SECURITIES FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085468057	BUY 4 Units @13.1200						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/08/2018	***-**-00IN - DIVASTA, JANINE	WASHINGTON MUTUAL INVESTORS FUND-A	150.00	5.63	0.00	5.63	10.0	0.56
	ACCOUNT #: 00063669925	BUY 3 Units @48.9200						
10/11/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	299.40	2.99	0.00	2.99	10.0	0.30
	ACCOUNT #: 00067351603	BUY 7 Units @44.4700						
10/11/2018	***-**-825P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	226.80	2.27	0.00	2.27	10.0	0.23
	ACCOUNT #: 00067351603	BUY 5 Units @44.4700						
10/11/2018	***-**-375P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	51.00	0.51	0.00	0.51	10.0	0.05
	ACCOUNT #: 00067351605	BUY 1 Units @44.4700						
10/11/2018	***-**-375P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	81.60	0.82	0.00	0.82	10.0	0.08
	ACCOUNT #: 00067351605	BUY 2 Units @44.4700						
10/11/2018	***-**-685P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	298.45	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00067400188	BUY 7 Units @44.4700						
10/11/2018	***-**-685P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	10.50	0.11	0.00	0.11	10.0	0.01
	ACCOUNT #: 00067400188	BUY 0 Units @44.4700						
10/11/2018	***-**-305P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00067436327	BUY 0 Units @44.4700						
10/11/2018	***-**-305P - MASTROSIMONE,	WASHINGTON MUTUAL INVESTORS FUND-A	298.45	2.98	0.00	2.98	10.0	0.30
	ACCOUNT #: 00067436327	BUY 7 Units @44.4700						
10/12/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 00066758345	BUY 11 Units @44.9100						
10/22/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 00066758345	BUY 11 Units @44.7300						
10/08/2018	***-**-625P - CENTOLA, ANITA	WASHINGTON MUTUAL INVESTORS FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00074256566	BUY 1 Units @46.0900						
10/08/2018	***-**-482I - MARCONI, TODD	WASHINGTON MUTUAL INVESTORS FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @46.0900						
10/09/2018	***-**-435P - BOSCO, SOFIA	WASHINGTON MUTUAL INVESTORS FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 4 Units @46.0300						
10/09/2018	***-**-305P - MESH, RONALD	WASHINGTON MUTUAL INVESTORS FUND-C	400.00	4.00	0.00	4.00	10.0	0.40
	ACCOUNT #: 00074720484	BUY 9 Units @46.0300						
10/09/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @46.0300						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/22/2018	***-**-435P - BOSCO, SOFIA	WASHINGTON MUTUAL INVESTORS FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 4 Units @44.1200						
10/22/2018	***-**-482I - MARCONI, TODD	WASHINGTON MUTUAL INVESTORS FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @44.1200						
10/25/2018	***-**-398I - GUERRIERI, PAUL	WASHINGTON MUTUAL INVESTORS FUND-C	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00086040659	BUY 3 Units @43.3700						
10/25/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @43.3700						
10/25/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @43.3700						
<b>* FREDERIC SCARPULLA SUBTOTAL *</b>			<b>\$33,992.69</b>	<b>\$384.88</b>	<b>\$0.00</b>	<b>\$384.88</b>		<b>\$38.81</b>
<b><u>BROKER: JAMES LOMBARDO</u></b>								
10/08/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 2 Units @29.0300						
10/12/2018	***-**-2885 - BISHOP, DAVID	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00068915116	BUY 2 Units @28.3700						
10/08/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN MUTUAL FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @44.9300						
10/10/2018	***-**-98CL - ACOSTA, CLIENTS	EUROPACIFIC GROWTH FUND-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00083299252	BUY 1 Units @51.8800						
10/08/2018	***-**-2608 - GIAMAS, GREGORY	FUNDAMENTAL INVESTORS-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @67.4500						
10/10/2018	***-**-98CL - ACOSTA, CLIENTS	FUNDAMENTAL INVESTORS-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00083299252	BUY 1 Units @65.5500						
10/12/2018	***-**-2885 - BISHOP, DAVID	FUNDAMENTAL INVESTORS-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00068915116	BUY 1 Units @64.9500						
10/15/2018	***-**-6195 - BACKUS, THOMAS	INVESCO AMERICAN FRANCHISE FUND -CL	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 03908954377	BUY 2 Units @22.6900						
10/08/2018	***-**-2608 - GIAMAS, GREGORY	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @47.2800						
10/12/2018	***-**-2885 - BISHOP, DAVID	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00068915116	BUY 1 Units @45.8600						





# COMMISSION STATEMENT

## October 29, 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> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: JAMES LOMBARDO (continued)</u> </b>								
10/15/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM EQUITY INCOME FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 00461190200	BUY 2 Units @26.2400						
10/22/2018	***-**-6759 - TARANTINO, GARY	THE BOND FUND OF AMERICA-A	10.00	0.30	0.00	0.30	15.0	0.05
	ACCOUNT #: 00089449406	BUY 1 Units @12.8300						
10/08/2018	***-**-2608 - GIMAS, GREGORY	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @57.6500						
10/12/2018	***-**-2885 - BISHOP, DAVID	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00068915116	BUY 1 Units @55.6600						
10/22/2018	***-**-6759 - TARANTINO, GARY	THE GROWTH FUND OF AMERICA-A	40.00	2.00	0.00	2.00	15.0	0.30
	ACCOUNT #: 00089449406	BUY 1 Units @55.8300						
* JAMES LOMBARDO SUBTOTAL *			\$725.00	\$29.41	\$0.00	\$29.41		\$4.41
*** OVERRIDE TRANSACTIONS TOTAL ***			\$34,717.69	\$720.78	\$0.00	\$720.78		\$89.20

### BROKER COMMISSION TOTALS

Broker Transactions	\$31.12
Split Transactions	\$0.00
Override Transactions	\$89.20
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	\$120.32
Year-to-date Earnings	\$100,169.81