



# COMMISSION STATEMENT

## September 10, 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>								
08/31/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063412117	BUY 3 Units @35.2200						
08/31/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063451518	BUY 3 Units @35.2200						
09/04/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063412117	BUY 3 Units @35.0700						
09/04/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	80.0	0.86
	ACCOUNT #: 00063451518	BUY 3 Units @35.0700						
08/27/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	80.0	0.46
	ACCOUNT #: 04000650661	BUY 2 Units @30.4300						
09/04/2018	***-**-539I - JALLOH, ABDULAI	AMCAP FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00084394270	BUY 2 Units @30.3100						
09/04/2018	***-**-05IN - RANDALL, ADAM	AMERICAN BALANCED FUND-A	25.00	0.94	0.00	0.94	80.0	0.75
	ACCOUNT #: 00085941585	BUY 1 Units @29.1900						
09/04/2018	***-**-975P - COTTONE, MARIA	AMERICAN BALANCED FUND-A	100.00	3.75	0.00	3.75	80.0	3.00
	ACCOUNT #: 00086785798	BUY 3 Units @29.1900						
09/06/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 1 Units @27.8100						
09/06/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @27.8100						
09/07/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	56.99	0.57	0.00	0.57	80.0	0.46
	ACCOUNT #: 00073798048	BUY 2 Units @27.7600						
09/07/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	37.81	0.38	0.00	0.38	80.0	0.30
	ACCOUNT #: 00089461113	BUY 1 Units @27.7600						
08/27/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	2,206.46	22.06	0.00	22.06	80.0	17.65
	ACCOUNT #: 00073003754	BUY 79 Units @27.7800						
08/27/2018	***-**-398I - GUERRIERI, PAUL	AMERICAN BALANCED FUND-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 00086040659	BUY 4 Units @27.7800						
08/27/2018	***-**-5838 - SPOLETA, BRENDA	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087435959	BUY 2 Units @27.7800						
08/27/2018	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	87.96	0.88	0.00	0.88	80.0	0.70
	ACCOUNT #: 00089244081	BUY 3 Units @27.7800						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
08/27/2018	***-**-035S - CAPIZZI, TRACIE	AMERICAN BALANCED FUND-C	37.75	0.38	0.00	0.38	80.0	0.30
	ACCOUNT #: 00089679504	BUY 1 Units @27.7800						
08/27/2018	***-**-8208 - KARNS, SHANNON	AMERICAN BALANCED FUND-C	1,000.00	10.00	0.00	10.00	80.0	8.00
	ACCOUNT #: 04000886858	BUY 36 Units @27.7800						
08/29/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089957234	BUY 2 Units @27.8500						
08/29/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089957234	BUY 2 Units @27.8500						
08/29/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089045192	BUY 1 Units @27.8500						
08/29/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	61.20	0.61	0.00	0.61	80.0	0.49
	ACCOUNT #: 00089051066	BUY 2 Units @27.8500						
08/29/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	16.32	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00089051066	BUY 1 Units @27.8500						
08/29/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	16.32	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00089051066	BUY 1 Units @27.8500						
08/29/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	80.0	0.33
	ACCOUNT #: 00089051066	BUY 1 Units @27.8500						
08/29/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	16.32	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00089051066	BUY 1 Units @27.8500						
08/29/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	61.20	0.61	0.00	0.61	80.0	0.49
	ACCOUNT #: 00089051066	BUY 2 Units @27.8500						
08/29/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	14.40	0.14	0.00	0.14	80.0	0.11
	ACCOUNT #: 00089583477	BUY 1 Units @27.8500						
08/29/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	80.0	0.96
	ACCOUNT #: 00089910177	BUY 4 Units @27.8500						
08/30/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	3.63	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @27.7700						
08/30/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 1 Units @27.7700						
08/30/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904181	BUY 0 Units @27.7700						



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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>								
08/30/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	1.63	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @27.7700						
08/30/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.43	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @27.7700						
08/30/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00085904210	BUY 1 Units @27.7700						
09/04/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089957234	BUY 2 Units @27.6700						
09/04/2018	***-**-9841 - DELUCA, SHARI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00064868315	BUY 2 Units @27.6700						
09/04/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 1 Units @27.6700						
09/04/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	3.63	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @27.6700						
09/04/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904181	BUY 0 Units @27.6700						
09/04/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	1.78	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @27.6700						
09/04/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00085904210	BUY 1 Units @27.6700						
09/04/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.58	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904210	BUY 0 Units @27.6700						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	16.32	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00089051066	BUY 1 Units @27.6700						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	61.20	0.61	0.00	0.61	80.0	0.49
	ACCOUNT #: 00089051066	BUY 2 Units @27.6700						
09/04/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	65.93	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 00089722785	BUY 2 Units @27.6700						
09/04/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	80.0	0.96
	ACCOUNT #: 00089910177	BUY 4 Units @27.6700						
09/04/2018	***-**-255U - LIPPA, HARITINI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000385806	BUY 2 Units @27.6700						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
09/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @27.5500	40.00	0.40	0.00	0.40	80.0	0.32
09/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.5500	40.80	0.41	0.00	0.41	80.0	0.33
09/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.5500	16.32	0.16	0.00	0.16	80.0	0.13
09/07/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @27.5500	21.00	0.21	0.00	0.21	80.0	0.17
08/30/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 0 Units @19.4800	7.28	0.07	0.00	0.07	80.0	0.06
08/30/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 2 Units @19.4800	43.65	0.44	0.00	0.44	80.0	0.35
09/04/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 0 Units @19.3300	8.00	0.08	0.00	0.08	80.0	0.06
09/04/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 2 Units @19.3300	48.03	0.48	0.00	0.48	80.0	0.38
08/27/2018	***-**-5838 - SPOLETA, BRENDA ACCOUNT #: 00088037501	AMERICAN GLOBAL BALANCED CL C BUY 3 Units @32.0800	100.00	1.00	0.00	1.00	80.0	0.80
08/27/2018	***-**-5838 - SPOLETA, BRENDA ACCOUNT #: 00087435959	AMERICAN HIGH INCOME MUNI BOND CLAS BUY 3 Units @15.8100	50.00	0.50	0.00	0.50	80.0	0.40
08/27/2018	***-**-5838 - SPOLETA, BRENDA ACCOUNT #: 00087435959	AMERICAN HIGH-INCOME TRUST-C BUY 5 Units @10.2500	50.00	0.50	0.00	0.50	80.0	0.40
08/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.2400	4.55	0.05	0.00	0.05	80.0	0.04
08/30/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.2400	105.00	1.05	0.00	1.05	80.0	0.84
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.2300	4.55	0.05	0.00	0.05	80.0	0.04
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.2300	105.00	1.05	0.00	1.05	80.0	0.84
09/06/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	AMERICAN MUTUAL FUND-A BUY 1 Units @42.6400	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>								
09/06/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	600.00	6.00	0.00	6.00	80.0	4.80
	ACCOUNT #: 00066759711	BUY 14 Units @42.6400						
09/07/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	83.49	0.83	0.00	0.83	80.0	0.66
	ACCOUNT #: 00066758347	BUY 2 Units @42.5500						
09/07/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	72.94	0.73	0.00	0.73	80.0	0.58
	ACCOUNT #: 00066759711	BUY 2 Units @42.5500						
08/29/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @42.2500						
08/30/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904181	BUY 0 Units @42.0900						
08/30/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	1.36	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @42.0900						
09/04/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904181	BUY 0 Units @41.9500						
09/04/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	1.48	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @41.9500						
09/04/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @41.9500						
09/05/2018	***-**-44IR - ROBERTSON,	AMERICAN MUTUAL FUND-C	146.99	1.47	3.00	-1.53	100.0	-1.53
	ACCOUNT #: LSR010558	BUY 3 Units @42.0100						
08/17/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
08/17/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	68.00	0.68	0.00	0.68	80.0	0.54
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						
08/17/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
08/31/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
08/31/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	68.00	0.68	0.00	0.68	80.0	0.54
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						
08/31/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
08/27/2018	***-**-5838 - SPOLETA, BRENDA	CAPITAL INCOME BUILDER CLASS C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 00088037501	BUY 2 Units @60.9800						
09/04/2018	***-**-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 @60.3500						
09/04/2018	***-**-975P - COTTONE, MARIA	CAPITAL INCOME BUILDER-A	100.00	3.75	0.00	3.75	80.0	3.00
	ACCOUNT #: 00086785798	BUY 2 Units @63.1800						
08/31/2018	***-**-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 @19.6600						
08/31/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 1 Units @19.6600						
09/04/2018	***-**-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 @19.5900						
09/04/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 1 Units @19.5900						
08/27/2018	***-**-398I - GUERRIERI, PAUL	CAPITAL WORLD BOND FUND-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 00086040659	BUY 5 Units @19.1000						
08/29/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00089045192	BUY 1 Units @51.1800						
08/29/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089910177	BUY 1 Units @51.1800						
08/30/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	3.60	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00087038420	BUY 0 Units @50.9000						
08/30/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	80.0	0.77
	ACCOUNT #: 00087038420	BUY 2 Units @50.9000						
09/04/2018	***-**-048I - DEAN, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00065085393	BUY 10 Units @50.2800						
09/04/2018	***-**-1209 - NATALE, KIMBERLY	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085764285	BUY 1 Units @50.2800						
09/04/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085764363	BUY 0 Units @50.2800						
09/04/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	80.0	0.77
	ACCOUNT #: 00087038420	BUY 2 Units @50.2800						



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**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>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @50.2800	3.60	0.04	0.00	0.04	80.0	0.03
09/04/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @50.2800	40.00	0.40	0.00	0.40	80.0	0.32
09/06/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @50.2200	20.00	0.20	0.00	0.20	80.0	0.16
09/07/2018	***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @50.0800	47.94	0.48	0.00	0.48	80.0	0.38
09/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @49.4700	30.00	0.30	0.00	0.30	80.0	0.24
08/17/2018	***-**-85IN - MAZZOLA, BARBARA ACCOUNT #: 00100051019	EMERGING MARKETS INNOVATORS FUND C BUY 0 Units @0.0000	7.50	0.08	0.00	0.08	80.0	0.06
08/31/2018	***-**-85IN - MAZZOLA, BARBARA ACCOUNT #: 00100051019	EMERGING MARKETS INNOVATORS FUND C BUY 0 Units @0.0000	7.50	0.08	0.00	0.08	80.0	0.06
08/31/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @54.1700	66.75	0.80	0.00	0.80	80.0	0.64
08/31/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @54.1700	66.75	0.80	0.00	0.80	80.0	0.64
09/04/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @53.6200	66.75	0.80	0.00	0.80	80.0	0.64
09/04/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @53.6200	66.75	0.80	0.00	0.80	80.0	0.64
08/31/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	FUNDAMENTAL INVESTORS-A BUY 2 Units @65.9700	133.50	1.60	0.00	1.60	80.0	1.28
08/31/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 2 Units @65.9700	133.50	1.60	0.00	1.60	80.0	1.28
09/04/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	FUNDAMENTAL INVESTORS-A BUY 2 Units @65.6800	133.50	1.60	0.00	1.60	80.0	1.28
09/04/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 2 Units @65.6800	133.50	1.60	0.00	1.60	80.0	1.28
09/06/2018	***-**-495P - HARTER, EDWARD ACCOUNT #: 00066759710	FUNDAMENTAL INVESTORS-A BUY 0 Units @64.0900	25.00	0.25	0.00	0.25	80.0	0.20



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**BROKER #: 417**  
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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>								
09/07/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	140.88	1.41	0.00	1.41	80.0	1.13
	ACCOUNT #: 00066759710	BUY 2 Units @64.1000						
08/27/2018	***-**-615P - LE, TU	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00075107985	BUY 2 Units @64.6000						
08/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	30.60	0.31	0.00	0.31	80.0	0.25
	ACCOUNT #: 00089051066	BUY 0 Units @64.9700						
08/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	8.16	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @64.9700						
08/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	8.16	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @64.9700						
08/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @64.9700						
08/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	8.16	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @64.9700						
08/29/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	30.60	0.31	0.00	0.31	80.0	0.25
	ACCOUNT #: 00089051066	BUY 0 Units @64.9700						
08/29/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @64.9700						
08/30/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	2.40	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @64.7000						
08/30/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00085902226	BUY 0 Units @64.7000						
08/30/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	2.18	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @64.7000						
08/30/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085904203	BUY 0 Units @64.7000						
09/04/2018	***-**-7625 - PRINCE, ADAM	FUNDAMENTAL INVESTORS-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085764342	BUY 1 Units @64.2600						
09/04/2018	***-**-4392 - GARCIA, MICHELLE	FUNDAMENTAL INVESTORS-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085764363	BUY 0 Units @64.2600						
09/04/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	2.40	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @64.2600						





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Rochester, NY 14623

BROKER #: 417  
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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>								
09/04/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	9.00	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 00085902226	BUY 0 Units @64.2600						
09/04/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085904203	BUY 0 Units @64.2600						
09/04/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	2.26	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @64.2600						
09/04/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	8.16	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @64.2600						
09/04/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	30.60	0.31	0.00	0.31	80.0	0.25
	ACCOUNT #: 00089051066	BUY 0 Units @64.2600						
09/04/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @64.2600						
09/07/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @63.6600						
09/07/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	8.16	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @63.6600						
08/17/2018	***-**-85IN - MAZZOLA, BARBARA	GLOBAL OPPORTUNITIES FUND C	15.00	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 02171893331	BUY 0 Units @0.0000						
08/17/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						
08/31/2018	***-**-85IN - MAZZOLA, BARBARA	GLOBAL OPPORTUNITIES FUND C	15.00	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 02171893331	BUY 0 Units @0.0000						
08/31/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						
08/30/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	1.95	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087236607	BUY 0 Units @23.0700						
08/30/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00087236607	BUY 2 Units @23.0700						
09/04/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	1.95	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087236607	BUY 0 Units @22.9300						
09/04/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00087236607	BUY 2 Units @22.9300						



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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>								
08/29/2018	***-**-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 @41.5100						
08/29/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	13.97	0.14	0.00	0.14	80.0	0.11
	ACCOUNT #: 00089583477	BUY 0 Units @41.5100						
08/30/2018	***-**-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 @41.3000						
08/30/2018	***-**-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 @41.3000						
08/30/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	1.11	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @41.3000						
08/30/2018	***-**-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 @41.3000						
09/04/2018	***-**-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 @40.9900						
09/04/2018	***-**-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 @40.9900						
09/04/2018	***-**-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 @40.9900						
09/04/2018	***-**-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 @40.9900						
09/04/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	1.14	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @40.9900						
09/04/2018	***-**-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 @40.9900						
09/04/2018	***-**-96CL - SCARPULLA,	INVESTMENT COMPANY OF AMERICA CLASS	49.46	0.49	0.00	0.49	80.0	0.39
	ACCOUNT #: 00089722785	BUY 1 Units @40.9900						
09/07/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	20.37	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089583477	BUY 1 Units @40.7000						
08/17/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
08/17/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024393312	BUY 0 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 FUNDS (continued)</b>								
08/31/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
08/31/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
08/31/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063412117	BUY 0 Units @47.6000						
08/31/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 0 Units @47.6000						
09/04/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063412117	BUY 0 Units @47.2600						
09/04/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	22.25	0.27	0.00	0.27	80.0	0.22
	ACCOUNT #: 00063451518	BUY 0 Units @47.2600						
08/29/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	30.60	0.31	0.00	0.31	80.0	0.25
	ACCOUNT #: 00089051066	BUY 1 Units @45.2500						
08/29/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	8.15	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @45.2500						
08/29/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	8.15	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @45.2500						
08/29/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @45.2500						
08/29/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	8.15	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @45.2500						
08/29/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	30.60	0.31	0.00	0.31	80.0	0.25
	ACCOUNT #: 00089051066	BUY 1 Units @45.2500						
08/30/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @45.0200						
08/30/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @45.0200						
08/30/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @45.0200						
08/30/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @45.0200						



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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>								
08/30/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	2.54	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @45.0200						
08/30/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @45.0200						
09/04/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @44.5000						
09/04/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @44.5000						
09/04/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @44.5000						
09/04/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @44.5000						
09/04/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @44.5000						
09/04/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	2.63	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @44.5000						
09/04/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	8.15	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @44.5000						
09/04/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	30.60	0.31	0.00	0.31	80.0	0.25
	ACCOUNT #: 00089051066	BUY 1 Units @44.5000						
09/07/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @43.7600						
09/07/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	8.15	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @43.7600						
08/27/2018	***-**-398I - GUERRIERI, PAUL	NEW WORLD FUND-C	150.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00086040659	BUY 2 Units @62.6900						
08/30/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @62.1800						
08/30/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @62.1800						
08/30/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.54	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @62.1800						



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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>								
08/30/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @62.1800						
08/30/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @62.1800						
08/30/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @62.1800						
09/04/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	2.80	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @61.3300						
09/04/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	10.50	0.11	0.00	0.11	80.0	0.09
	ACCOUNT #: 00085902226	BUY 0 Units @61.3300						
09/04/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @61.3300						
09/04/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.64	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @61.3300						
09/04/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @61.3300						
09/04/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @61.3300						
08/17/2018	***-**-3407 - SUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
08/17/2018	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
08/31/2018	***-**-3407 - SUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
08/31/2018	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
08/17/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
08/31/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
08/17/2018	***-**-85IN - MAZZOLA, BARBARA	OPPENHEIMER INTERNATIONAL DIVERSIFI	7.50	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 01971104114	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u></b>								
08/31/2018	***-**-85IN - MAZZOLA, BARBARA	OPPENHEIMER INTERNATIONAL DIVERSIFI	7.50	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 01971104114	BUY 0 Units @0.0000						
08/17/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02271182830	BUY 0 Units @0.0000						
08/31/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02271182830	BUY 0 Units @0.0000						
08/17/2018	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
08/31/2018	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
08/17/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
08/31/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
08/29/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	30.60	0.31	0.00	0.31	80.0	0.25
	ACCOUNT #: 00089051066	BUY 1 Units @53.5000						
08/29/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	8.16	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @53.5000						
08/29/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	8.16	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @53.5000						
08/29/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089051066	BUY 0 Units @53.5000						
08/29/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	8.16	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00089051066	BUY 0 Units @53.5000						
08/29/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	30.60	0.31	0.00	0.31	80.0	0.25
	ACCOUNT #: 00089051066	BUY 1 Units @53.5000						
08/30/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @53.3900						
08/30/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @53.3900						
09/04/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @53.1200						



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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>								
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 0 Units @53.1200	1.80	0.02	0.00	0.02	80.0	0.02
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @53.1200	8.16	0.08	0.00	0.08	80.0	0.06
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 1 Units @53.1200	30.60	0.31	0.00	0.31	80.0	0.25
09/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.2500	20.40	0.20	0.00	0.20	80.0	0.16
09/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @52.2500	8.16	0.08	0.00	0.08	80.0	0.06
08/17/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 01920863291	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	10.00	0.10	0.00	0.10	80.0	0.08
08/31/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 01920863291	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	10.00	0.10	0.00	0.10	80.0	0.08
08/31/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 3 Units @12.7600	44.50	0.53	0.00	0.53	80.0	0.42
08/31/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 3 Units @12.7600	44.50	0.53	0.00	0.53	80.0	0.42
09/04/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	THE BOND FUND OF AMERICA-A BUY 3 Units @12.7400	44.50	0.53	0.00	0.53	80.0	0.42
09/04/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	THE BOND FUND OF AMERICA-A BUY 3 Units @12.7400	44.50	0.53	0.00	0.53	80.0	0.42
08/27/2018	***-**-5838 - SPOLETA, BRENDA ACCOUNT #: 00088037501	THE BOND FUND OF AMERICA-C BUY 8 Units @12.5900	100.00	1.00	0.00	1.00	80.0	0.80
08/30/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 0 Units @12.5700	3.63	0.04	0.00	0.04	80.0	0.03
08/30/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.5700	28.05	0.28	0.00	0.28	80.0	0.22
08/30/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.5700	9.00	0.09	0.00	0.09	80.0	0.07
08/30/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 0 Units @12.5700	2.45	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>								
09/04/2018	***-**-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 @12.5500						
09/04/2018	***-**-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 @12.5500						
09/04/2018	***-**-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 @12.5500						
09/04/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	2.66	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @12.5500						
08/28/2018	***-**-995P - ARBORE, CARL	THE GROWTH FUND OF AMERICA-A	50.00	1.38	0.00	1.38	80.0	1.10
	ACCOUNT #: 00081166789	BUY 1 Units @58.2400						
08/28/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	51.84	1.94	0.00	1.94	80.0	1.55
	ACCOUNT #: 00086606929	BUY 1 Units @58.8500						
08/28/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	200.00	7.50	0.00	7.50	80.0	6.00
	ACCOUNT #: 00086606929	BUY 3 Units @58.8500						
08/31/2018	***-**-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 @57.1700						
08/31/2018	***-**-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 @57.1700						
09/04/2018	***-**-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 @56.8900						
09/04/2018	***-**-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 @56.8900						
09/04/2018	***-**-42IR - ADAMS, GRACE	THE GROWTH FUND OF AMERICA-A	50.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00073505114	BUY 1 Units @59.4600						
09/06/2018	***-**-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 @55.1300						
09/06/2018	***-**-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 @55.1300						
09/06/2018	***-**-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 @55.1300						
09/06/2018	***-**-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 @55.1300						





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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
09/06/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	130.00	1.30	0.00	1.30	80.0	1.04
	ACCOUNT #: 00074922243	BUY 2 Units @55.1300						
09/06/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	57.09	0.57	0.00	0.57	80.0	0.46
	ACCOUNT #: 00083414110	BUY 1 Units @55.1300						
09/06/2018	***-**-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 @55.1300						
09/06/2018	***-**-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 @55.1300						
09/07/2018	***-**-195P - OZMINKOWSKI,	THE GROWTH FUND OF AMERICA-A	174.14	1.74	0.00	1.74	80.0	1.39
	ACCOUNT #: 00066758342	BUY 3 Units @55.1400						
09/07/2018	***-**-405P - FRISA, ALAN	THE GROWTH FUND OF AMERICA-A	71.90	0.72	0.00	0.72	80.0	0.58
	ACCOUNT #: 00066758344	BUY 1 Units @55.1400						
09/07/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	83.49	0.83	0.00	0.83	80.0	0.66
	ACCOUNT #: 00066758347	BUY 2 Units @55.1400						
09/07/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	72.19	0.72	0.00	0.72	80.0	0.58
	ACCOUNT #: 00066758348	BUY 1 Units @55.1400						
09/07/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	100.06	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 00074922243	BUY 2 Units @55.1400						
09/07/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	157.58	1.58	0.00	1.58	80.0	1.26
	ACCOUNT #: 00083414110	BUY 3 Units @55.1400						
09/07/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	116.72	1.17	0.00	1.17	80.0	0.94
	ACCOUNT #: 00087318332	BUY 2 Units @55.1400						
09/07/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	37.81	0.38	0.00	0.38	80.0	0.30
	ACCOUNT #: 00089461113	BUY 1 Units @55.1400						
09/07/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	400.00	15.00	0.00	15.00	80.0	12.00
	ACCOUNT #: 00086606929	BUY 7 Units @57.7400						
09/07/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	103.68	3.89	0.00	3.89	80.0	3.11
	ACCOUNT #: 00086606929	BUY 2 Units @57.7400						
08/27/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	2,076.67	20.77	0.00	20.77	80.0	16.62
	ACCOUNT #: 00073003754	BUY 40 Units @51.8500						
08/27/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	56.67	0.57	0.00	0.57	80.0	0.46
	ACCOUNT #: 00089319958	BUY 1 Units @51.8500						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
08/27/2018	***-**-7186 - VELLA, DOMENICO	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000248474	BUY 1 Units @51.8500						
08/27/2018	***-**-2678 - VELLA, VINCENZO	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000248491	BUY 1 Units @51.8500						
08/27/2018	***-**-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 @51.8500						
08/28/2018	***-**-5945 - INFANTINO,	THE GROWTH FUND OF AMERICA-C	400.00	4.00	0.00	4.00	80.0	3.20
	ACCOUNT #: 04000722726	BUY 8 Units @51.8500						
08/29/2018	***-**-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 @52.2300						
08/29/2018	***-**-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 @52.2300						
08/29/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	13.98	0.14	0.00	0.14	80.0	0.11
	ACCOUNT #: 00089583477	BUY 0 Units @52.2300						
08/30/2018	***-**-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 @52.0800						
08/30/2018	***-**-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 @52.0800						
08/30/2018	***-**-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 @52.0800						
08/30/2018	***-**-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 @52.0800						
09/04/2018	***-**-984I - DELUCA, SHARI	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00064868315	BUY 1 Units @51.7000						
09/04/2018	***-**-4392 - GARCIA, MICHELLE	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085764363	BUY 0 Units @51.7000						
09/04/2018	***-**-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 @51.7000						
09/04/2018	***-**-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 @51.7000						
09/04/2018	***-**-05IN - RANDALL, ADAM	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00085941585	BUY 0 Units @51.7000						



# COMMISSION STATEMENT

## September 10, 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>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 1 Units @51.7000	48.20	0.48	0.00	0.48	80.0	0.38
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 0 Units @51.7000	1.80	0.02	0.00	0.02	80.0	0.02
09/04/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	THE GROWTH FUND OF AMERICA-C BUY 0 Units @51.7000	10.00	0.10	0.00	0.10	80.0	0.08
09/04/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089722785	THE GROWTH FUND OF AMERICA-C BUY 1 Units @51.7000	49.46	0.49	0.00	0.49	80.0	0.39
09/07/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 1 Units @50.8700	30.00	0.30	0.00	0.30	80.0	0.24
09/07/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.8700	20.38	0.20	0.00	0.20	80.0	0.16
09/04/2018	***-**-545P - VISCA, ANGELO ACCOUNT #: 00063056262	THE INVESTMENT COMPANY OF AMERICA-A BUY 2 Units @42.9800	100.00	2.75	0.00	2.75	80.0	2.20
09/06/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE INVESTMENT COMPANY OF AMERICA-A BUY 6 Units @41.2300	250.00	2.50	0.00	2.50	80.0	2.00
09/06/2018	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.2300	50.00	0.50	0.00	0.50	80.0	0.40
09/06/2018	***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @41.2300	20.00	0.20	0.00	0.20	80.0	0.16
09/07/2018	***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE INVESTMENT COMPANY OF AMERICA-A BUY 4 Units @41.1900	174.14	1.74	0.00	1.74	80.0	1.39
09/07/2018	***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE INVESTMENT COMPANY OF AMERICA-A BUY 2 Units @41.1900	72.19	0.72	0.00	0.72	80.0	0.58
09/07/2018	***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.1900	56.99	0.57	0.00	0.57	80.0	0.46
09/04/2018	***-**-9024 - HACKETT, ETHAN ACCOUNT #: 00088123299	THE NEW ECONOMY FUND-C BUY 1 Units @44.1600	25.00	0.25	0.00	0.25	80.0	0.20
08/30/2018	***-**-278J - GUERRIERI, JOHN ACCOUNT #: 00084395514	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 156 Units @12.8000	2,000.00	20.00	0.00	20.00	80.0	16.00
08/30/2018	***-**-51IN - GUERRIERI, KIM ACCOUNT #: 00085399151	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 78 Units @12.8000	1,000.00	10.00	0.00	10.00	80.0	8.00



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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>								
08/30/2018	***-**-75UG - GUERRIERI, SOFIA	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00085399166	BUY 20 Units @12.8000						
09/04/2018	***-**-935J - RUSH, DONNA	THE TAX-EXEMPT BOND FUND OF AMERICA	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00085296459	BUY 4 Units @12.7900						
09/04/2018	***-**-44UG - GUERRIERI,	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00085399145	BUY 20 Units @12.7900						
09/07/2018	***-**-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 @13.2900						
09/04/2018	***-**-545P - VISCA, ANGELO	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	1.38	0.00	1.38	80.0	1.10
	ACCOUNT #: 00063056262	BUY 1 Units @48.2100						
09/06/2018	***-**-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 @46.4100						
09/07/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	348.24	3.48	0.00	3.48	80.0	2.78
	ACCOUNT #: 00066758345	BUY 8 Units @46.4000						
08/27/2018	***-**-435P - BOSCO, SOFIA	WASHINGTON MUTUAL INVESTORS FUND-C	2,206.46	22.06	0.00	22.06	80.0	17.65
	ACCOUNT #: 00073003754	BUY 48 Units @46.0600						
08/27/2018	***-**-398I - GUERRIERI, PAUL	WASHINGTON MUTUAL INVESTORS FUND-C	150.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00086040659	BUY 3 Units @46.0600						
08/29/2018	***-**-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 @46.1700						
08/29/2018	***-**-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 @46.1700						
09/04/2018	***-**-984I - DELUCA, SHARI	WASHINGTON MUTUAL INVESTORS FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00064868315	BUY 1 Units @45.8500						
09/04/2018	***-**-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 @45.8500						
09/04/2018	***-**-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 @45.8500						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$26,042.57</b>	<b>\$296.53</b>	<b>\$3.00</b>	<b>\$293.53</b>		<b>\$234.43</b>



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## September 10, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
09/04/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087198121	BUY 2 Units @27.8000						
09/04/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087198137	BUY 2 Units @27.8000						
09/10/2018	***-**-6793 - ESTEP, ARDEN	NY 529 ADDITIONAL DEPOSIT	49.50	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 77375699601	BUY 0 Units @0.0000						
09/10/2018	***-**-335P - JULIAN, GIOVANA	NY 529 ADDITIONAL DEPOSIT	223.98	2.27	0.00	2.27	80.0	1.82
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			<b>\$373.48</b>	<b>\$3.77</b>	<b>\$0.00</b>	<b>\$3.77</b>		<b>\$3.02</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/10/2018	***-**-526I - CAVALLARO,	DREYFUS MF TRAILS	0.00	1.11	0.00	1.11	80.0	0.89
	ACCOUNT #: 3360045601	BUY 0 Units @0.0000						
08/17/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER CORP BOND FND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00100067156	BUY 0 Units @0.0000						
08/31/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER CORP BOND FND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00100067156	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			<b>\$50.00</b>	<b>\$1.61</b>	<b>\$0.00</b>	<b>\$1.61</b>		<b>\$1.29</b>
*** BROKER TRANSACTIONS TOTAL ***			<b>\$26,466.05</b>	<b>\$301.91</b>	<b>\$3.00</b>	<b>\$298.91</b>		<b>\$238.74</b>



BROKER #: 417  
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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		\$238.74
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$7.14
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$245.88
						Year-to-date Earnings		\$144,809.92