



# COMMISSION STATEMENT

## October 08, 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>								
10/01/2018	***-**-435P - ANTINORE, EMILY	CAPITAL INCOME BUILDER-A	75.00	1.20	0.00	1.20	95.0	1.14
	ACCOUNT #: 00067185955	BUY 1 Units @61.6200						
10/01/2018	***-**-6413 - KOZAK, LAUREN	THE GROWTH FUND OF AMERICA-A	50.00	2.13	0.00	2.13	95.0	2.02
	ACCOUNT #: 00086445258	BUY 1 Units @59.8000						
* MUTUAL FUNDS SUBTOTAL *			<b>\$125.00</b>	<b>\$3.33</b>	<b>\$0.00</b>	<b>\$3.33</b>		<b>\$3.16</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/30/2018	***-**-8934 - BUCKWELL, JAMES	C-GLOBAL MULTI-ASSET GROWTH FUND	0.00	0.89	0.00	0.89	95.0	0.85
	ACCOUNT #: 00100013025	BUY 0 Units @0.0000						
09/30/2018	***-**-8934 - BUCKWELL, JAMES	C-INTERNATIONAL GROWTH AND INCOME F	0.00	0.76	0.00	0.76	95.0	0.72
	ACCOUNT #: 00100011034	BUY 0 Units @0.0000						
09/30/2018	***-**-5920 - SCHNECKENBURGER,	CAPITAL INCOME A	0.00	6.21	0.00	6.21	95.0	5.90
	ACCOUNT #: 03006210600	BUY 0 Units @0.0000						
09/30/2018	***-**-8932 - KYTE, AGNES	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604582006	BUY 0 Units @0.0000						
09/30/2018	***-**-86CL - BOUQUIN, CLIENTS	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604582017	BUY 0 Units @0.0000						
09/30/2018	***-**-6682 - ROYSTON, EMMA	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604257616	BUY 0 Units @0.0000						
09/30/2018	***-**-6223 - PRESLEY, MICHAEL	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604259640	BUY 0 Units @0.0000						
09/30/2018	***-**-0577 - CUOZZO, FRANK	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604352029	BUY 0 Units @0.0000						
09/30/2018	***-**-3942 - HIBBERT, LEONA	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604391013	BUY 0 Units @0.0000						
09/30/2018	***-**-5209 - STARKWEATHER,	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604399791	BUY 0 Units @0.0000						
09/30/2018	***-**-1722 - LANDIN, ROBERT	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604443582	BUY 0 Units @0.0000						
09/30/2018	***-**-2636 - COLES, DEBORAH	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604452701	BUY 0 Units @0.0000						
09/30/2018	***-**-6657 - THOMAS, ALEXIS	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604406820	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-6657 - THOMAS, ALEXIS	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604531142	BUY 0 Units @0.0000						
09/30/2018	***-**-9281 - RUSSELL, AMY	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604486999	BUY 0 Units @0.0000						
09/30/2018	***-**-22IN - SAUTTER, TERRIE	CASH RESERVES C	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07621412807	BUY 0 Units @0.0000						
09/30/2018	***-**-8156 - SALAMONE, FLOY	CASH RESERVES C	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07621314335	BUY 0 Units @0.0000						
09/30/2018	***-**-0577 - CUOZZO, FRANK	CASH RESERVES C	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07621412048	BUY 0 Units @0.0000						
09/30/2018	***-**-0656 - SALAMONE, MARY	CASH RESERVES C	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07621314346	BUY 0 Units @0.0000						
09/30/2018	***-**-6223 - PRESLEY, MICHAEL	CORE BOND FND C	0.00	0.31	0.00	0.31	95.0	0.29
	ACCOUNT #: 02870560978	BUY 0 Units @0.0000						
09/30/2018	***-**-5142 - WASHINGTON	EQUITY INCOME FUND, INC. A	0.00	1.99	0.00	1.99	95.0	1.89
	ACCOUNT #: 08353172444	BUY 0 Units @0.0000						
09/30/2018	***-**-575I - PALELLA, CHARLES	EQUITY INCOME FUND, INC. A	0.00	49.24	0.00	49.24	95.0	46.78
	ACCOUNT #: 08350895037	BUY 0 Units @0.0000						
09/30/2018	***-**-9281 - RUSSELL, AMY	EQUITY INCOME FUND, INC. C	0.00	13.89	0.00	13.89	95.0	13.20
	ACCOUNT #: 08370662827	BUY 0 Units @0.0000						
09/30/2018	***-**-059I - D'AMBROSIA,	GLOBAL FUND A	0.00	32.74	0.00	32.74	95.0	31.10
	ACCOUNT #: 03308827797	BUY 0 Units @0.0000						
09/30/2018	***-**-345P - MOON, LINDA	GLOBAL FUND A	0.00	2.78	0.00	2.78	95.0	2.64
	ACCOUNT #: 03301651672	BUY 0 Units @0.0000						
09/30/2018	***-**-9061 - BROWN, WINSTON	GOLD & SPECIAL MINERALS A	0.00	1.01	0.00	1.01	95.0	0.96
	ACCOUNT #: 04104629482	BUY 0 Units @0.0000						
09/30/2018	***-**-5142 - WASHINGTON	INTERNATIONAL BOND A	0.00	1.90	0.00	1.90	95.0	1.81
	ACCOUNT #: 08810288553	BUY 0 Units @0.0000						
09/30/2018	***-**-6657 - THOMAS, ALEXIS	INTERNATIONAL SMALL COMPANY A	0.00	2.43	0.00	2.43	95.0	2.31
	ACCOUNT #: 08151884674	BUY 0 Units @0.0000						
09/30/2018	***-**-1651 - ELLICOTT, AGNES	LIMITED-TERM GOVERNMENT FUND C	0.00	2.90	0.00	2.90	95.0	2.76
	ACCOUNT #: 08570735944	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-6223 - PRESLEY, MICHAEL LIMITED-TERM GOVERNMENT FUND C		0.00	7.04	0.00	7.04	95.0	6.69
	ACCOUNT #: 08571238160	BUY 0 Units @0.0000						
09/30/2018	***-**-0591 - D'AMBROSIA, MAIN STREET FUND A		0.00	17.71	0.00	17.71	95.0	16.82
	ACCOUNT #: 07009471484	BUY 0 Units @0.0000						
09/30/2018	***-**-8934 - BUCKWELL, JAMES OPP MAIN ST SMALL CAP FND C		0.00	0.06	0.00	0.06	95.0	0.06
	ACCOUNT #: 00100083689	BUY 0 Units @0.0000						
09/30/2018	***-**-9137 - RAUTENSTAUCH, OPPENHEIMER CORE BOND FUND A		0.00	0.61	0.00	0.61	95.0	0.58
	ACCOUNT #: 02850485199	BUY 0 Units @0.0000						
09/30/2018	***-**-5142 - WASHINGTON OPPENHEIMER DEVELOPING MARKETS CLAS		0.00	0.26	0.00	0.26	95.0	0.25
	ACCOUNT #: 07862966624	BUY 0 Units @0.0000						
09/30/2018	***-**-9137 - RAUTENSTAUCH, OPPENHEIMER DISCOVERY CLASS A		0.00	1.32	0.00	1.32	95.0	1.25
	ACCOUNT #: 07451494086	BUY 0 Units @0.0000						
09/30/2018	***-**-0577 - CUOZZO, FRANK OPPENHEIMER GOLD & SPECIAL MINERALS		0.00	5.44	0.00	5.44	95.0	5.17
	ACCOUNT #: 04120811305	BUY 0 Units @0.0000						
09/30/2018	***-**-5209 - STARKWEATHER, OPPENHEIMER INT'L BOND CLASS C		0.00	1.24	0.00	1.24	95.0	1.18
	ACCOUNT #: 08822057473	BUY 0 Units @0.0000						
09/30/2018	***-**-1210 - JOHNSON, OPPENHEIMER INT'L BOND CLASS C		0.00	0.58	0.00	0.58	95.0	0.55
	ACCOUNT #: 08821835504	BUY 0 Units @0.0000						
09/30/2018	***-**-5920 - SCHNECKENBURGER, OPPENHEIMER MAIN STREET OPPORTUNITY		0.00	8.33	0.00	8.33	95.0	7.91
	ACCOUNT #: 07310151305	BUY 0 Units @0.0000						
09/30/2018	***-**-5920 - SCHNECKENBURGER, OPPENHEIMER MAIN STREET SMALL CAP F		0.00	6.86	0.00	6.86	95.0	6.52
	ACCOUNT #: 08470452232	BUY 0 Units @0.0000						
09/30/2018	***-**-0724 - DEMPSEY, OPPENHEIMER MAIN STREET SMALL CAP F		0.00	24.64	0.00	24.64	95.0	23.41
	ACCOUNT #: 08477254973	BUY 0 Units @0.0000						
09/30/2018	***-**-8934 - BUCKWELL, JAMES OPPENHEIMER RISING DIVIDENDS FUND C		0.00	2.12	0.00	2.12	95.0	2.01
	ACCOUNT #: 02271216622	BUY 0 Units @0.0000						
09/30/2018	***-**-8156 - SALAMONE, FLOY OPPENHEIMER ROCHEST NATIONAL MUNI C		0.00	12.39	0.00	12.39	95.0	11.77
	ACCOUNT #: 07970777744	BUY 0 Units @0.0000						
09/30/2018	***-**-8934 - BUCKWELL, JAMES OPPENHEIMER ROCHEST NATIONAL MUNI C		0.00	2.24	0.00	2.24	95.0	2.13
	ACCOUNT #: 07970445643	BUY 0 Units @0.0000						
09/30/2018	***-**-9137 - RAUTENSTAUCH, OPPENHEIMER SMALL & MID CAP VALUE F		0.00	2.04	0.00	2.04	95.0	1.94
	ACCOUNT #: 02510515240	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-5142 - WASHINGTON	OPPENHEIMER U.S. GOVT TR CLASS A	0.00	0.88	0.00	0.88	95.0	0.84
	ACCOUNT #: 02203684054	BUY 0 Units @0.0000						
10/02/2018	***-**-291I - STOLTZFUS, AMOS	PIONEER EQUITY INCOME FUND A	0.00	16.85	0.00	16.85	95.0	16.01
	ACCOUNT #: 00110078530	BUY 0 Units @0.0000						
10/02/2018	***-**-2276 - CARPENTER,	PIONEER EQUITY INCOME FUND A	0.00	27.59	0.00	27.59	95.0	26.21
	ACCOUNT #: 04030008331	BUY 0 Units @0.0000						
10/02/2018	***-**-232I - GARDNER, WILLIAM	PIONEER EQUITY INCOME FUND A	0.00	0.83	0.00	0.83	95.0	0.79
	ACCOUNT #: 06201576832	BUY 0 Units @0.0000						
10/02/2018	***-**-61UG - CARPENTER,	PIONEER INDEPENDENCE FUND A	0.00	2.57	0.00	2.57	95.0	2.44
	ACCOUNT #: 06205429896	BUY 0 Units @0.0000						
10/02/2018	***-**-232I - GARDNER, WILLIAM	PIONEER MID CAP VALUE FUND A	0.00	2.35	0.00	2.35	95.0	2.23
	ACCOUNT #: 06201576841	BUY 0 Units @0.0000						
10/02/2018	***-**-8207 - LUTE, DEBORAH	PIONEER VALUE FUND A	0.00	1.35	0.00	1.35	95.0	1.28
	ACCOUNT #: 06202978479	BUY 0 Units @0.0000						
10/02/2018	***-**-8207 - LUTE, DEBORAH	PIONEER VALUE FUND A	0.00	1.35	0.00	1.35	95.0	1.28
	ACCOUNT #: 06202978488	BUY 0 Units @0.0000						
09/30/2018	***-**-9137 - RAUTENSTAUCH,	QUEST BALANCED A	0.00	1.00	0.00	1.00	95.0	0.95
	ACCOUNT #: 02571681856	BUY 0 Units @0.0000						
09/30/2018	***-**-9061 - BROWN, WINSTON	QUEST OPPORTUNITY VALUE A	0.00	1.22	0.00	1.22	95.0	1.16
	ACCOUNT #: 02365535387	BUY 0 Units @0.0000						
09/30/2018	***-**-6657 - THOMAS, ALEXIS	RISING DIVIDENDS FUND A	0.00	2.83	0.00	2.83	95.0	2.69
	ACCOUNT #: 02254036945	BUY 0 Units @0.0000						
09/30/2018	***-**-1538 - TUCCI,	ROCHESTER FUND MUNICIPALS A	0.00	47.69	0.00	47.69	95.0	45.31
	ACCOUNT #: 03000071330	BUY 0 Units @0.0000						
09/30/2018	***-**-27IN - PANTALEO, MARIE	ROCHESTER FUND MUNICIPALS A	0.00	10.13	0.00	10.13	95.0	9.62
	ACCOUNT #: 03000137080	BUY 0 Units @0.0000						
09/30/2018	***-**-925P - CAMPO, KATHLEEN	ROCHESTER FUND MUNICIPALS A	0.00	0.69	0.00	0.69	95.0	0.66
	ACCOUNT #: 03652205775	BUY 0 Units @0.0000						
09/30/2018	***-**-41IN - LOVELL, FLORENCE	ROCHESTER FUND MUNICIPALS A	0.00	9.83	0.00	9.83	95.0	9.34
	ACCOUNT #: 00028593000	BUY 0 Units @0.0000						
09/30/2018	***-**-976J - YOUNG, RICHARD &	ROCHESTER FUND MUNICIPALS A	0.00	9.08	0.00	9.08	95.0	8.63
	ACCOUNT #: 03651892671	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-1538 - TUCCI, ACCOUNT #: 03670274648	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	249.04	0.00	249.04	95.0	236.59
09/30/2018	***-**-8156 - SALAMONE, FLOY ACCOUNT #: 03670454993	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	7.87	0.00	7.87	95.0	7.48
09/30/2018	***-**-3942 - HIBBERT, LEONA ACCOUNT #: 03670462660	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	7.49	0.00	7.49	95.0	7.12
09/30/2018	***-**-9061 - BROWN, WINSTON ACCOUNT #: 03670698467	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	2.22	0.00	2.22	95.0	2.11
09/30/2018	***-**-5393 - CAVALLARO, CAROL ACCOUNT #: 03670718289	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	24.45	0.00	24.45	95.0	23.23
09/30/2018	***-**-7682 - SMITH, BRIAN ACCOUNT #: 03670736384	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	13.53	0.00	13.53	95.0	12.85
09/30/2018	***-**-5015 - BECKER, KAREN ACCOUNT #: 03670736406	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	27.50	0.00	27.50	95.0	26.13
09/30/2018	***-**-0656 - SALAMONE, MARY ACCOUNT #: 03670246686	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	23.19	0.00	23.19	95.0	22.03
09/30/2018	***-**-5093 - LAVRINCIK, ANN ACCOUNT #: 03670483120	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	15.06	0.00	15.06	95.0	14.31
09/30/2018	***-**-6657 - THOMAS, ALEXIS ACCOUNT #: 03670742027	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	0.83	0.00	0.83	95.0	0.79
09/30/2018	***-**-0577 - CUOZZO, FRANK ACCOUNT #: 02932011790	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	16.13	0.00	16.13	95.0	15.32
09/30/2018	***-**-2636 - COLES, DEBORAH ACCOUNT #: 02932103013	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	59.20	0.00	59.20	95.0	56.24
09/30/2018	***-**-3942 - HIBBERT, LEONA ACCOUNT #: 02932103222	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	14.25	0.00	14.25	95.0	13.54
09/30/2018	***-**-9281 - RUSSELL, AMY ACCOUNT #: 02932131646	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	8.62	0.00	8.62	95.0	8.19
09/30/2018	***-**-6591 - KYTE, ALBERT ACCOUNT #: 00100020604	SENIOR FLOATING RATE FUND-CL C BUY 0 Units @0.0000	0.00	12.18	0.00	12.18	95.0	11.57
09/30/2018	***-**-86CL - BOUQUIN, CLIENTS ACCOUNT #: 00100020615	SENIOR FLOATING RATE FUND-CL C BUY 0 Units @0.0000	0.00	10.22	0.00	10.22	95.0	9.71



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-8934 - BUCKWELL, JAMES	SMALL & MID-CAP GRWTH FND C	0.00	0.91	0.00	0.91	95.0	0.86
	ACCOUNT #: 07230332508	BUY 0 Units @0.0000						
09/30/2018	***-**-5142 - WASHINGTON	SMALL- & MID-CAP GROWTH FUND A	0.00	0.92	0.00	0.92	95.0	0.87
	ACCOUNT #: 07211008854	BUY 0 Units @0.0000						
09/30/2018	***-**-6223 - PRESLEY, MICHAEL	U.S. GOVERNMENT TRUST C	0.00	5.66	0.00	5.66	95.0	5.38
	ACCOUNT #: 02220583869	BUY 0 Units @0.0000						
09/30/2018	***-**-6536 - FOLEY, NELSON	U.S. GOVERNMENT TRUST C	0.00	6.31	0.00	6.31	95.0	5.99
	ACCOUNT #: 02220604846	BUY 0 Units @0.0000						
09/30/2018	***-**-5142 - WASHINGTON	VALUE FUND A	0.00	0.34	0.00	0.34	95.0	0.32
	ACCOUNT #: 03752577212	BUY 0 Units @0.0000						
09/30/2018	***-**-9281 - RUSSELL, AMY	VALUE FUND C	0.00	12.14	0.00	12.14	95.0	11.53
	ACCOUNT #: 03770519816	BUY 0 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$864.23</b>	<b>\$0.00</b>	<b>\$864.23</b>		<b>\$821.05</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>								
09/30/2018	***-**-1659 - BOUQUIN,	AS ADVISORS PLAN III	0.00	5.53	0.00	5.53	95.0	5.25
	ACCOUNT #: E0898819	BUY 0 Units @0.0000						
09/28/2018	***-**-6482 - CARLSON, JOHN	HARTFORD VA TRAILS 41659P656	0.00	97.80	0.00	97.80	95.0	92.91
	ACCOUNT #: 711701580	BUY 0 Units @0.0000						
09/28/2018	***-**-620I - ROSATI, RALPH	HARTFORD VA TRAILS 41659Q381	0.00	198.94	0.00	198.94	95.0	188.99
	ACCOUNT #: 712334293	BUY 0 Units @0.0000						
09/28/2018	***-**-0689 - MEPSTED, LAVINIA	HARTFORD VA TRAILS 41659Q712	0.00	262.02	0.00	262.02	95.0	248.92
	ACCOUNT #: 712386562	BUY 0 Units @0.0000						
09/30/2018	***-**-72VA - HERTZEL, GERALD	LINCOLN FINANCIAL CP ASSURANCE SERI	0.00	389.88	0.00	389.88	95.0	370.39
	ACCOUNT #: 922207530	BUY 0 Units @0.0000						
10/01/2018	***-**-16IN - HERMANSON, JAMES	NATIONAL INTEGRITY TRAILS DTCC	0.00	456.36	0.00	456.36	95.0	433.54
	ACCOUNT #: 1100024615	BUY 0 Units @0.0000						
10/01/2018	***-**-46IN - PICKETT, ANITA	NATIONAL INTEGRITY TRAILS DTCC	0.00	6.87	0.00	6.87	95.0	6.53
	ACCOUNT #: 1100031317	BUY 0 Units @0.0000						
10/01/2018	***-**-01IN - TORNATORE,	NATIONAL INTEGRITY VA TRAILS DTCC	0.00	69.34	0.00	69.34	95.0	65.87
	ACCOUNT #: 9810001439	BUY 0 Units @0.0000						
10/01/2018	***-**-20IN - ROSATI, RALPH	NATIONAL LIFE GROUP VA TRAILS	0.00	341.70	0.00	341.70	95.0	324.62
	ACCOUNT #: 1100075112	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

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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>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)</b>								
10/01/2018	***-**-6340 - SCHUCHARDT, ACCOUNT #: 1100106238	NATIONAL LIFE GROUP VA TRAILS BUY 0 Units @0.0000	0.00	246.39	0.00	246.39	95.0	234.07
09/30/2018	***-**-7820 - RICE, SANDRA ACCOUNT #: E1332037	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	309.75	0.00	309.75	95.0	294.26
09/30/2018	***-**-72IN - HERTZEL, GERALD ACCOUNT #: E1284871	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	739.35	0.00	739.35	95.0	702.38
09/30/2018	***-**-0057 - ROSE, MICHAEL ACCOUNT #: E1034845	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	135.83	0.00	135.83	95.0	129.04
09/30/2018	***-**-2636 - COLES, DEBORAH ACCOUNT #: E1637646	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	162.84	0.00	162.84	95.0	154.70
09/30/2018	***-**-8537 - KARNs, MARTIN ACCOUNT #: E1498856	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	202.07	0.00	202.07	95.0	191.97
09/30/2018	***-**-931I - O'DONNELL, ACCOUNT #: E1119573	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	190.28	0.00	190.28	95.0	180.77
09/30/2018	***-**-3992 - TISCHENDORF, ACCOUNT #: E1654013	PRUDENTIAL VA TRAILS 74429P144 BUY 0 Units @0.0000	0.00	219.83	0.00	219.83	95.0	208.84
09/30/2018	***-**-5721 - TISCHENDORF, ACCOUNT #: E1654152	PRUDENTIAL VA TRAILS 74429P144 BUY 0 Units @0.0000	0.00	123.71	0.00	123.71	95.0	117.52
09/30/2018	***-**-575I - PALELLA, CHARLES ACCOUNT #: E1764889	PRUDENTIAL VA TRAILS 74429P144 BUY 0 Units @0.0000	0.00	78.27	0.00	78.27	95.0	74.36
09/30/2018	***-**-72IN - TUREK, PATRICIA ACCOUNT #: E1763123	PRUDENTIAL VA TRAILS 74429P144 BUY 0 Units @0.0000	0.00	139.58	0.00	139.58	95.0	132.60
09/30/2018	***-**-1268 - KILBORN, MARILYN ACCOUNT #: E1499436	PRUDENTIAL VA TRAILS 74429P144 BUY 0 Units @0.0000	0.00	94.14	0.00	94.14	95.0	89.43
09/30/2018	***-**-6993 - CROWE, RALPH ACCOUNT #: E0531632	PRUDENTIAL VA TRAILS 74430A235 BUY 0 Units @0.0000	0.00	62.77	0.00	62.77	95.0	59.63
09/30/2018	***-**-6993 - CROWE, RALPH ACCOUNT #: E0531632	PRUDENTIAL VA TRAILS 74430A235 BUY 0 Units @0.0000	0.00	251.10	0.00	251.10	95.0	238.55
09/30/2018	***-**-0358 - GRUTTADAURIA, ACCOUNT #: E0689448	PRUDENTIAL VA TRAILS 74430A268 BUY 0 Units @0.0000	0.00	7.16	0.00	7.16	95.0	6.80
09/30/2018	***-**-0358 - GRUTTADAURIA, ACCOUNT #: E0689448	PRUDENTIAL VA TRAILS 74430A268 BUY 0 Units @0.0000	0.00	21.47	0.00	21.47	95.0	20.40



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-9903 - GILL, RENATE	PRUDENTIAL VA TRAILS 74430A268	0.00	13.57	0.00	13.57	95.0	12.89
	ACCOUNT #: 000665544	BUY 0 Units @0.0000						
09/30/2018	***-**-9903 - GILL, RENATE	PRUDENTIAL VA TRAILS 74430A268	0.00	40.72	0.00	40.72	95.0	38.68
	ACCOUNT #: 000665544	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$4,867.27	\$0.00	\$4,867.27		\$4,623.91
*** BROKER TRANSACTIONS TOTAL ***			\$125.00	\$5,734.83	\$0.00	\$5,734.83		\$5,448.12

### OVERRIDE TRANSACTIONS

#### BROKER: RICHARD BIRNS

09/30/2018	***-**-68IN - BIRNS, RICHARD	AMT-FREE NEW YORK MUNICIPALS A	0.00	9.47	0.00	9.47	20.0	1.89
	ACCOUNT #: 03600811899	BUY 0 Units @0.0000						
09/30/2018	***-**-13IN - SANDAS, ANTHONY	PRUDENTIAL AS ADVISORS PLAN III	0.00	178.21	0.00	178.21	20.0	35.64
	ACCOUNT #: E1051937	BUY 0 Units @0.0000						
09/30/2018	***-**-375P - SANDAS, JEAN	PRUDENTIAL AS ADVISORS PLAN III	0.00	15.07	0.00	15.07	20.0	3.01
	ACCOUNT #: E1123274	BUY 0 Units @0.0000						
09/30/2018	***-**-4630 - IELPI-MAJOR,	PRUDENTIAL VA TRAILS 74430A227	0.00	398.12	0.00	398.12	20.0	79.62
	ACCOUNT #: E0938463	BUY 0 Units @0.0000						
09/30/2018	***-**-7325 - BIRNS, EDWIN	ROCHESTER FUND MUNICIPALS A	0.00	32.50	0.00	32.50	20.0	6.50
	ACCOUNT #: 03653529251	BUY 0 Units @0.0000						
* RICHARD BIRNS SUBTOTAL *			\$0.00	\$633.37	\$0.00	\$633.37		\$126.66

#### BROKER: BARRY BRESIN

09/30/2018	***-**-196I - BRESIN, JANET	AS ADVISORS PLAN III	0.00	104.03	0.00	104.03	15.0	15.60
	ACCOUNT #: E0558828	BUY 0 Units @0.0000						
09/30/2018	***-**-196I - BRESIN, JANET	AS ADVISORS PLAN III	0.00	104.03	0.00	104.03	15.0	15.60
	ACCOUNT #: E0558828	BUY 0 Units @0.0000						
09/30/2018	***-**-910I - CLEMENT, JAMES	AS ADVISORS PLAN III	0.00	140.39	0.00	140.39	15.0	21.06
	ACCOUNT #: E0599491	BUY 0 Units @0.0000						
09/30/2018	***-**-910I - CLEMENT, JAMES	AS ADVISORS PLAN III	0.00	140.39	0.00	140.39	15.0	21.06
	ACCOUNT #: E0599491	BUY 0 Units @0.0000						





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: BARRY BRESIN (continued)</u></b>								
09/30/2018	***-**-892I - STERN, ROBERT	AS ADVISORS PLAN III	0.00	492.57	0.00	492.57	15.0	73.89
	ACCOUNT #: E0879974	BUY 0 Units @0.0000						
09/30/2018	***-**-892I - STERN, ROBERT	AS ADVISORS PLAN III	0.00	492.57	0.00	492.57	15.0	73.89
	ACCOUNT #: E0879974	BUY 0 Units @0.0000						
09/30/2018	***-**-54IN - MARSJANIK,	AS ADVISORS PLAN III	0.00	390.24	0.00	390.24	15.0	58.54
	ACCOUNT #: E0892522	BUY 0 Units @0.0000						
09/30/2018	***-**-54IN - MARSJANIK,	AS ADVISORS PLAN III	0.00	390.24	0.00	390.24	15.0	58.54
	ACCOUNT #: E0892522	BUY 0 Units @0.0000						
09/30/2018	***-**-910I - CLEMENT, JAMES	AS ADVISORS PLAN III	0.00	108.86	0.00	108.86	15.0	16.33
	ACCOUNT #: E0897411	BUY 0 Units @0.0000						
09/30/2018	***-**-910I - CLEMENT, JAMES	AS ADVISORS PLAN III	0.00	108.86	0.00	108.86	15.0	16.33
	ACCOUNT #: E0897411	BUY 0 Units @0.0000						
09/30/2018	***-**-513I - CLEMENT, SANDRA	AS ADVISORS PLAN III	0.00	28.35	0.00	28.35	15.0	4.25
	ACCOUNT #: E0894754	BUY 0 Units @0.0000						
09/30/2018	***-**-513I - CLEMENT, SANDRA	AS ADVISORS PLAN III	0.00	28.35	0.00	28.35	15.0	4.25
	ACCOUNT #: E0894754	BUY 0 Units @0.0000						
09/30/2018	***-**-459I - MONSON, DAVID	CAPITAL APPRECIATION A	0.00	2.83	0.00	2.83	15.0	0.42
	ACCOUNT #: 03209641225	BUY 0 Units @0.0000						
09/30/2018	***-**-459I - MONSON, DAVID	DISCOVERY FUND N	0.00	9.98	0.00	9.98	15.0	1.50
	ACCOUNT #: 05030064900	BUY 0 Units @0.0000						
09/30/2018	***-**-595P - MONSON, DAVID	EQUITY INCOME FUND, INC. A	0.00	8.24	0.00	8.24	15.0	1.24
	ACCOUNT #: 08353042325	BUY 0 Units @0.0000						
09/30/2018	***-**-459I - MONSON, DAVID	GLOBAL OPPORTUNITIES A	0.00	9.78	0.00	9.78	15.0	1.47
	ACCOUNT #: 02157358560	BUY 0 Units @0.0000						
09/30/2018	***-**-459I - MONSON, DAVID	INTERNATIONAL BOND A	0.00	1.95	0.00	1.95	15.0	0.29
	ACCOUNT #: 08810284076	BUY 0 Units @0.0000						
09/30/2018	***-**-459I - MONSON, DAVID	INTERNATIONAL BOND FUND N	0.00	1.40	0.00	1.40	15.0	0.21
	ACCOUNT #: 08790188760	BUY 0 Units @0.0000						
09/30/2018	***-**-459I - MONSON, DAVID	INTERNATIONAL GROWTH FUND A	0.00	1.57	0.00	1.57	15.0	0.24
	ACCOUNT #: 08259643414	BUY 0 Units @0.0000						
09/30/2018	***-**-459I - MONSON, DAVID	INTERNATIONAL SMALL COMPANY FUND N	0.00	24.25	0.00	24.25	15.0	3.64
	ACCOUNT #: 08180086526	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: BARRY BRESIN (continued) </u></b>								
09/30/2018	***-**-180I - HALM, MATILDA	JACKSON 468511654	0.00	41.86	0.00	41.86	15.0	6.28
	ACCOUNT #: 029010125A	BUY 0 Units @0.0000						
09/30/2018	***-**-459I - MONSON, DAVID	MAIN STREET FUND N	0.00	4.91	0.00	4.91	15.0	0.74
	ACCOUNT #: 07030194524	BUY 0 Units @0.0000						
09/30/2018	***-**-459I - MONSON, DAVID	MAIN STREET SMALL CAP FUND N	0.00	10.42	0.00	10.42	15.0	1.56
	ACCOUNT #: 08510229768	BUY 0 Units @0.0000						
09/30/2018	***-**-915P - BECKER, HILDA	OPP ROCHSTR SH TRM MUNI FND A	0.00	63.16	0.00	63.16	15.0	9.47
	ACCOUNT #: 06210059488	BUY 0 Units @0.0000						
09/30/2018	***-**-595P - MONSON, DAVID	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.52	0.00	2.52	15.0	0.38
	ACCOUNT #: 07860596762	BUY 0 Units @0.0000						
09/30/2018	***-**-595P - MONSON, DAVID	OPPENHEIMER DISCOVERY CLASS A	0.00	4.96	0.00	4.96	15.0	0.74
	ACCOUNT #: 05005888982	BUY 0 Units @0.0000						
09/30/2018	***-**-459I - MONSON, DAVID	OPPENHEIMER GOLD & SPC MINERALS FUN	0.00	3.46	0.00	3.46	15.0	0.52
	ACCOUNT #: 04130157542	BUY 0 Units @0.0000						
09/30/2018	***-**-595P - MONSON, DAVID	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	2.04	0.00	2.04	15.0	0.31
	ACCOUNT #: 02306892999	BUY 0 Units @0.0000						
09/30/2018	***-**-459I - MONSON, DAVID	OPPENHEIMER U.S. GOVT TR CLASS A	0.00	2.03	0.00	2.03	15.0	0.30
	ACCOUNT #: 02203614732	BUY 0 Units @0.0000						
09/30/2018	***-**-196I - BRESIN, JANET	PORT SERIES: EQUITY INV FD A	0.00	34.34	0.00	34.34	15.0	5.15
	ACCOUNT #: 05550336127	BUY 0 Units @0.0000						
09/30/2018	***-**-939I - BRESIN, HOWARD	PRUDENTIAL VA 74430T119	0.00	843.36	0.00	843.36	15.0	126.50
	ACCOUNT #: E1737618	BUY 0 Units @0.0000						
09/30/2018	***-**-13IN - CLEMENT, SANDRA	PRUDENTIAL VA TRAILS 74430A227	0.00	32.45	0.00	32.45	15.0	4.87
	ACCOUNT #: E0612770	BUY 0 Units @0.0000						
09/30/2018	***-**-13IN - CLEMENT, SANDRA	PRUDENTIAL VA TRAILS 74430A227	0.00	32.45	0.00	32.45	15.0	4.87
	ACCOUNT #: E0612770	BUY 0 Units @0.0000						
09/30/2018	***-**-513I - CLEMENT, SANDRA	PRUDENTIAL VA TRAILS 74430A227	0.00	100.19	0.00	100.19	15.0	15.03
	ACCOUNT #: E0612940	BUY 0 Units @0.0000						
09/30/2018	***-**-513I - CLEMENT, SANDRA	PRUDENTIAL VA TRAILS 74430A227	0.00	100.19	0.00	100.19	15.0	15.03
	ACCOUNT #: E0612940	BUY 0 Units @0.0000						
09/30/2018	***-**-459I - MONSON, DAVID	QUEST BALANCED A	0.00	0.05	0.00	0.05	15.0	0.01
	ACCOUNT #: 02576958699	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: BARRY BRESIN (continued) </u></b>								
09/30/2018	***-**-595P - MONSON, DAVID	REAL ESTATE FUND A	0.00	0.66	0.00	0.66	15.0	0.10
	ACCOUNT #: 05901279091	BUY 0 Units @0.0000						
09/30/2018	***-**-459I - MONSON, DAVID	REAL ESTATE FUND N	0.00	2.66	0.00	2.66	15.0	0.40
	ACCOUNT #: 05930110968	BUY 0 Units @0.0000						
09/30/2018	***-**-13IN - CLEMENT, SANDRA	ROCHESTER FUND MUNICIPALS A	0.00	4.22	0.00	4.22	15.0	0.63
	ACCOUNT #: 03652981220	BUY 0 Units @0.0000						
09/30/2018	***-**-196J - TEN WROS NOT TC,	ROCHESTER FUND MUNICIPALS A	0.00	1.15	0.00	1.15	15.0	0.17
	ACCOUNT #: 03653211373	BUY 0 Units @0.0000						
09/30/2018	***-**-7195 - SHARON M	ROCHESTER FUND MUNICIPALS A	0.00	9.57	0.00	9.57	15.0	1.44
	ACCOUNT #: 03653214959	BUY 0 Units @0.0000						
09/30/2018	***-**-7197 - LYNN M ABRAHAM,	ROCHESTER FUND MUNICIPALS A	0.00	9.57	0.00	9.57	15.0	1.44
	ACCOUNT #: 03653225497	BUY 0 Units @0.0000						
<b> * BARRY BRESIN SUBTOTAL * </b>			<b>\$0.00</b>	<b>\$3,895.10</b>	<b>\$0.00</b>	<b>\$3,895.10</b>		<b>\$584.29</b>
<b><u> BROKER: WILLIAM ROBERTS </u></b>								
09/30/2018	***-**-11IN - ROBERTS NEEDS	EQUITY INCOME FUND, INC. A	0.00	112.89	0.00	112.89	10.0	11.29
	ACCOUNT #: 02401512863	BUY 0 Units @0.0000						
09/30/2018	***-**-7981 - D'ANGELO,	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	108.13	0.00	108.13	10.0	10.81
	ACCOUNT #: 921039927	BUY 0 Units @0.0000						
09/30/2018	***-**-606A - REUS, MARTHA	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	373.49	0.00	373.49	10.0	37.35
	ACCOUNT #: 921040463	BUY 0 Units @0.0000						
09/30/2018	***-**-904I - PRZYLUCHE,	PRUDENTIAL VA TRAILS 74429P110	0.00	147.23	0.00	147.23	10.0	14.72
	ACCOUNT #: E1331165	BUY 0 Units @0.0000						
09/30/2018	***-**-904R - PRZYLUCHE,	PRUDENTIAL VA TRAILS 74429P110	0.00	34.64	0.00	34.64	10.0	3.46
	ACCOUNT #: E1434564	BUY 0 Units @0.0000						
09/30/2018	***-**-47IN - SIDARE, ANDREA	PRUDENTIAL VA TRAILS 74429P110	0.00	64.00	0.00	64.00	10.0	6.40
	ACCOUNT #: E1190180	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - PRZYLUCHE, PHILIP	PRUDENTIAL VA TRAILS 74429P110	0.00	10.72	0.00	10.72	10.0	1.07
	ACCOUNT #: E1094963	BUY 0 Units @0.0000						
09/30/2018	***-**-904I - PRZYLUCHE,	PRUDENTIAL VA TRAILS 74429P110	0.00	81.66	0.00	81.66	10.0	8.17
	ACCOUNT #: E1091145	BUY 0 Units @0.0000						
09/30/2018	***-**-274I - ROBERTS, ADELLA	PRUDENTIAL VA TRAILS 74430A227	0.00	40.16	0.00	40.16	10.0	4.02
	ACCOUNT #: E0728348	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: WILLIAM ROBERTS (continued)</u> </b>								
09/30/2018	***-**-7981 - D'ANGELO, ACCOUNT #: E0731699	PRUDENTIAL VA TRAILS 74430A235 BUY 0 Units @0.0000	0.00	409.01	0.00	409.01	10.0	40.90
09/30/2018	***-**-7981 - D'ANGELO, ACCOUNT #: E0731699	PRUDENTIAL VA TRAILS 74430A235 BUY 0 Units @0.0000	0.00	1,636.05	0.00	1,636.05	10.0	163.61
09/30/2018	***-**-11IN - ROBERTS NEEDS ACCOUNT #: 03551129898	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	235.54	0.00	235.54	10.0	23.55
09/30/2018	***-**-9904 - PRZYLKUE, ACCOUNT #: 00011753000	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	214.18	0.00	214.18	10.0	21.42
09/30/2018	***-**-07IN - MULLER, ACCOUNT #: 03650014091	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	150.03	0.00	150.03	10.0	15.00
09/30/2018	***-**-74IN - KUBIAK, HENRY J ACCOUNT #: 03650163174	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	3.09	0.00	3.09	10.0	0.31
09/30/2018	***-**-42IN - RUES, JAMES ACCOUNT #: 03651611720	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	99.19	0.00	99.19	10.0	9.92
<b> * WILLIAM ROBERTS SUBTOTAL * </b>			<b> \$0.00 </b>	<b> \$3,720.01 </b>	<b> \$0.00 </b>	<b> \$3,720.01 </b>		<b> \$372.00 </b>
<b> <u>BROKER: FREDERIC SCARPULLA</u> </b>								
09/30/2018	***-**-56IN - MALIN, RUTH ACCOUNT #: 921063935	533787818 BUY 0 Units @0.0000	0.00	49.45	0.00	49.45	10.0	4.95
09/30/2018	***-**-7336 - DELONG, SHIRLEY ACCOUNT #: 921065495	533787818 BUY 0 Units @0.0000	0.00	92.47	0.00	92.47	10.0	9.25
09/30/2018	***-**-0846 - MORROW, DONNA ACCOUNT #: 921069429	533787818 BUY 0 Units @0.0000	0.00	80.65	0.00	80.65	10.0	8.07
09/30/2018	***-**-97IN - WAGNER, PAUL ACCOUNT #: 921070651	533787818 BUY 0 Units @0.0000	0.00	63.86	0.00	63.86	10.0	6.39
09/30/2018	***-**-68IN - TASCHETTO, ACCOUNT #: 921073961	533787818 BUY 0 Units @0.0000	0.00	67.36	0.00	67.36	10.0	6.74
09/30/2018	***-**-68IN - TASCHETTO, ACCOUNT #: 921074365	533787818 BUY 0 Units @0.0000	0.00	235.71	0.00	235.71	10.0	23.57
09/30/2018	***-**-3939 - ARBORE, MARIA ACCOUNT #: 921078066	533787818 BUY 0 Units @0.0000	0.00	1,966.31	0.00	1,966.31	10.0	196.63
10/01/2018	***-**-539I - JALLOH, ABDULAI ACCOUNT #: 00084394270	AMCAP FUND-C BUY 2 Units @30.9500	50.00	0.50	0.00	0.50	10.0	0.05



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
10/01/2018	***-**-511I - ROOD, SCOTT	AMCAP FUND-C	11.59	0.12	0.00	0.12	10.0	0.01
	ACCOUNT #: 00088607840	BUY 0 Units @30.9500						
10/01/2018	***-**-511I - ROOD, SCOTT	AMCAP FUND-C	42.06	0.42	0.00	0.42	10.0	0.04
	ACCOUNT #: 00088607840	BUY 1 Units @30.9500						
10/01/2018	***-**-5822 - CURATALO, JAMES	AMCAP FUND-C	11.58	0.12	0.00	0.12	10.0	0.01
	ACCOUNT #: 04000783911	BUY 0 Units @30.9500						
10/01/2018	***-**-5822 - CURATALO, JAMES	AMCAP FUND-C	14.48	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 04000783911	BUY 0 Units @30.9500						
10/01/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198121	BUY 2 Units @27.9500						
10/01/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198137	BUY 2 Units @27.9500						
10/01/2018	***-**-965P - SHAFER, PAUL	AMERICAN BALANCED FUND-A	17.80	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00073549401	BUY 1 Units @28.5700						
10/01/2018	***-**-625P - BORRELLI, LOUIS	AMERICAN BALANCED FUND-A	13.68	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 00073550085	BUY 0 Units @28.5700						
10/01/2018	***-**-625P - BORRELLI, LOUIS	AMERICAN BALANCED FUND-A	92.00	1.47	0.00	1.47	10.0	0.15
	ACCOUNT #: 00073550085	BUY 3 Units @28.5700						
10/01/2018	***-**-975P - COTTONE, MARIA	AMERICAN BALANCED FUND-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00086785798	BUY 3 Units @29.3200						
10/05/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	28.47	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00073798048	BUY 1 Units @27.7100						
10/05/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	18.93	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00089461113	BUY 1 Units @27.7100						
10/01/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @27.8200						
10/01/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089957234	BUY 2 Units @27.8200						
10/01/2018	***-**-984I - DELUCA, SHARI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00064868315	BUY 2 Units @27.8200						
10/01/2018	***-**-6000 - SMITH, KENNETH	AMERICAN BALANCED FUND-C	18.40	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00083081099	BUY 1 Units @27.8200						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/01/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @27.8200						
10/01/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @27.8200						
10/01/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @27.8200						
10/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	34.00	0.34	0.00	0.34	10.0	0.03
	ACCOUNT #: 00086979418	BUY 1 Units @27.8200						
10/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00086979418	BUY 1 Units @27.8200						
10/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	15.18	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00089051066	BUY 1 Units @27.8200						
10/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	61.20	0.61	0.00	0.61	10.0	0.06
	ACCOUNT #: 00089051066	BUY 2 Units @27.8200						
10/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	15.18	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 00089051066	BUY 1 Units @27.8200						
10/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	61.20	0.61	0.00	0.61	10.0	0.06
	ACCOUNT #: 00089051066	BUY 2 Units @27.8200						
10/01/2018	***-**-0962 - TRETYAK,	AMERICAN BALANCED FUND-C	18.40	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00089399972	BUY 1 Units @27.8200						
10/01/2018	***-**-0962 - TRETYAK,	AMERICAN BALANCED FUND-C	85.89	0.86	0.00	0.86	10.0	0.09
	ACCOUNT #: 00089399972	BUY 3 Units @27.8200						
10/01/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	66.36	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 00089722785	BUY 2 Units @27.8200						
10/01/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089910177	BUY 4 Units @27.8200						
10/01/2018	***-**-255U - LIPPA, HARITINI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000385806	BUY 2 Units @27.8200						
10/01/2018	***-**-1277 - ROBSON, BONNIE	AMERICAN BALANCED FUND-C	26.95	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 04000868901	BUY 1 Units @27.8200						
10/01/2018	***-**-1277 - ROBSON, BONNIE	AMERICAN BALANCED FUND-C	33.69	0.34	0.00	0.34	10.0	0.03
	ACCOUNT #: 04000868901	BUY 1 Units @27.8200						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @27.8200	40.00	0.40	0.00	0.40	10.0	0.04
10/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.8200	15.18	0.15	0.00	0.15	10.0	0.02
10/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.8200	40.80	0.41	0.00	0.41	10.0	0.04
10/02/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @27.8200	18.11	0.18	0.00	0.18	10.0	0.02
10/04/2018	***-**-2825 - SPERANZA, JOHN ACCOUNT #: 00089910177	AMERICAN BALANCED FUND-C BUY 4 Units @27.6300	120.00	1.20	0.00	1.20	10.0	0.12
10/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @27.5300	40.00	0.40	0.00	0.40	10.0	0.04
10/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.5300	40.80	0.41	0.00	0.41	10.0	0.04
10/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 1 Units @27.5300	15.18	0.15	0.00	0.15	10.0	0.02
10/05/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @27.5300	17.54	0.18	0.00	0.18	10.0	0.02
10/01/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 2 Units @19.5100	45.66	0.46	0.00	0.46	10.0	0.05
10/01/2018	***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGET DATE-C BUY 0 Units @19.5100	7.61	0.08	0.00	0.08	10.0	0.01
10/01/2018	***-**-511I - ROOD, SCOTT ACCOUNT #: 00088607840	AMERICAN GLOBAL BALANCED CL C BUY 0 Units @31.9500	9.94	0.10	0.00	0.10	10.0	0.01
10/01/2018	***-**-511I - ROOD, SCOTT ACCOUNT #: 00088607840	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @31.9500	36.05	0.36	0.00	0.36	10.0	0.04
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.2600	105.00	1.05	0.00	1.05	10.0	0.11
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.2600	4.55	0.05	0.00	0.05	10.0	0.01
10/05/2018	***-**-255P - EVANS, JAMES ACCOUNT #: 00066759711	AMERICAN MUTUAL FUND-A BUY 1 Units @42.8100	36.42	0.36	0.00	0.36	10.0	0.04



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/05/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	41.77	0.42	0.00	0.42	10.0	0.04
	ACCOUNT #: 00066758347	BUY 1 Units @42.8100						
10/01/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @42.4700						
10/01/2018	***-**-511I - ROOD, SCOTT	AMERICAN MUTUAL FUND-C	11.60	0.12	0.00	0.12	10.0	0.01
	ACCOUNT #: 00088607840	BUY 0 Units @42.4700						
10/01/2018	***-**-511I - ROOD, SCOTT	AMERICAN MUTUAL FUND-C	42.06	0.42	0.00	0.42	10.0	0.04
	ACCOUNT #: 00088607840	BUY 1 Units @42.4700						
10/01/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @42.4700						
09/30/2018	***-**-765P - CRISPINO/, DAVID	AMT-FREE NEW YORK MUNICIPALS A	0.00	26.36	0.00	26.36	10.0	2.64
	ACCOUNT #: 03601040820	BUY 0 Units @0.0000						
09/30/2018	***-**-765P - CRISPINO/, DAVID	AMT-FREE NEW YORK MUNICIPALS A	0.00	398.53	0.00	398.53	10.0	39.85
	ACCOUNT #: 03601040820	BUY 0 Units @0.0000						
09/30/2018	***-**-44IN - GIULIANO, GEORGE	AS ADVISORS PLAN III	0.00	8.77	0.00	8.77	10.0	0.88
	ACCOUNT #: E0582476	BUY 0 Units @0.0000						
09/30/2018	***-**-44IN - GIULIANO, GEORGE	AS ADVISORS PLAN III	0.00	8.77	0.00	8.77	10.0	0.88
	ACCOUNT #: E0582476	BUY 0 Units @0.0000						
09/30/2018	***-**-225P - LILL, DONNA	CAPITAL APPRECIATION A	0.00	0.60	0.00	0.60	10.0	0.06
	ACCOUNT #: 02704578761	BUY 0 Units @0.0000						
09/30/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION A	0.00	24.27	0.00	24.27	10.0	2.43
	ACCOUNT #: 02705352545	BUY 0 Units @0.0000						
09/30/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION A	0.00	16.12	0.00	16.12	10.0	1.61
	ACCOUNT #: 02705352556	BUY 0 Units @0.0000						
09/30/2018	***-**-3502 - CHUDYK, LUCIANA	CAPITAL APPRECIATION A	0.00	13.00	0.00	13.00	10.0	1.30
	ACCOUNT #: 02705763802	BUY 0 Units @0.0000						
09/30/2018	***-**-1346 - WEEKS S R	CAPITAL APPRECIATION A	0.00	6.87	0.00	6.87	10.0	0.69
	ACCOUNT #: 02705801521	BUY 0 Units @0.0000						
09/30/2018	***-**-225P - LILL, DONNA	CAPITAL APPRECIATION A	0.00	50.52	0.00	50.52	10.0	5.05
	ACCOUNT #: 03201808213	BUY 0 Units @0.0000						
09/30/2018	***-**-502I - CHUDYK, LUCIANA	CAPITAL APPRECIATION A	0.00	0.66	0.00	0.66	10.0	0.07
	ACCOUNT #: 03205462138	BUY 0 Units @0.0000						





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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/30/2018	***-**-8379 - ZLOTNICK, MAR	CAPITAL APPRECIATION A	0.00	19.50	0.00	19.50	10.0	1.95
	ACCOUNT #: 03207391131	BUY 0 Units @0.0000						
09/30/2018	***-**-206I - SANDERS, DAVID	CAPITAL APPRECIATION A	0.00	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 03208239693	BUY 0 Units @0.0000						
09/30/2018	***-**-772I - KERHAERT,	CAPITAL APPRECIATION A	0.00	11.91	0.00	11.91	10.0	1.19
	ACCOUNT #: 03208526705	BUY 0 Units @0.0000						
09/30/2018	***-**-206I - SANDERS, DAVID	CAPITAL APPRECIATION A	0.00	6.03	0.00	6.03	10.0	0.60
	ACCOUNT #: 03208526826	BUY 0 Units @0.0000						
09/30/2018	***-**-919I - WEST, HOLLY	CAPITAL APPRECIATION A	0.00	9.15	0.00	9.15	10.0	0.92
	ACCOUNT #: 03210593572	BUY 0 Units @0.0000						
09/30/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION A	0.00	8.36	0.00	8.36	10.0	0.84
	ACCOUNT #: 03210769528	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION A	0.00	9.04	0.00	9.04	10.0	0.90
	ACCOUNT #: 03211530607	BUY 0 Units @0.0000						
09/30/2018	***-**-293I - LIPPA, PAUL	CAPITAL APPRECIATION C	0.00	55.93	0.00	55.93	10.0	5.59
	ACCOUNT #: 03220151525	BUY 0 Units @0.0000						
09/30/2018	***-**-69UG - ATWOOD, CULLEN K	CAPITAL APPRECIATION C	0.00	8.59	0.00	8.59	10.0	0.86
	ACCOUNT #: 03220369127	BUY 0 Units @0.0000						
09/30/2018	***-**-97UG - ATWOOD, AUSTIN M	CAPITAL APPRECIATION C	0.00	8.59	0.00	8.59	10.0	0.86
	ACCOUNT #: 03220369138	BUY 0 Units @0.0000						
09/30/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	0.00	30.26	0.00	30.26	10.0	3.03
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
09/30/2018	***-**-37IR - COTTONE, CHARLES	CAPITAL APPRECIATION C	0.00	44.98	0.00	44.98	10.0	4.50
	ACCOUNT #: 03220434863	BUY 0 Units @0.0000						
09/30/2018	***-**-157I - TROINA, ANTHONY	CAPITAL APPRECIATION C	0.00	169.15	0.00	169.15	10.0	16.92
	ACCOUNT #: 03221853368	BUY 0 Units @0.0000						
09/30/2018	***-**-772I - KERHAERT,	CAPITAL APPRECIATION C	0.00	13.42	0.00	13.42	10.0	1.34
	ACCOUNT #: 03222178044	BUY 0 Units @0.0000						
09/30/2018	***-**-9206 - SANDER, DAVID	CAPITAL APPRECIATION C	0.00	14.29	0.00	14.29	10.0	1.43
	ACCOUNT #: 03222178055	BUY 0 Units @0.0000						
09/30/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	0.00	28.86	0.00	28.86	10.0	2.89
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
09/30/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	0.00	16.53	0.00	16.53	10.0	1.65
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION C	0.00	15.78	0.00	15.78	10.0	1.58
	ACCOUNT #: 03222325444	BUY 0 Units @0.0000						
09/30/2018	***-**-1346 - WEEKS S R	CAPITAL APPRECIATION C	0.00	33.32	0.00	33.32	10.0	3.33
	ACCOUNT #: 03222329184	BUY 0 Units @0.0000						
09/30/2018	***-**-6056 - PRICE, DEBORAH	CAPITAL INCOME A	0.00	5.36	0.00	5.36	10.0	0.54
	ACCOUNT #: 03007578725	BUY 0 Units @0.0000						
10/01/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL INCOME BUILDER CLASS C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @60.4800						
10/01/2018	***-**-7171 - GIUDICE, JUSTIN	CAPITAL INCOME BUILDER CLASS C	15.65	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00086494794	BUY 0 Units @60.4800						
10/01/2018	***-**-7171 - GIUDICE, JUSTIN	CAPITAL INCOME BUILDER CLASS C	46.20	0.46	0.00	0.46	10.0	0.05
	ACCOUNT #: 00086494794	BUY 1 Units @60.4800						
10/01/2018	***-**-0962 - TRETYAK,	CAPITAL INCOME BUILDER CLASS C	18.40	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00089399972	BUY 0 Units @60.4800						
10/01/2018	***-**-0962 - TRETYAK,	CAPITAL INCOME BUILDER CLASS C	85.90	0.86	0.00	0.86	10.0	0.09
	ACCOUNT #: 00089399972	BUY 1 Units @60.4800						
10/01/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL INCOME BUILDER-A	13.68	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 00073550085	BUY 0 Units @61.6200						
10/01/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL INCOME BUILDER-A	92.00	1.47	0.00	1.47	10.0	0.15
	ACCOUNT #: 00073550085	BUY 1 Units @61.6200						
10/01/2018	***-**-975P - COTTONE, MARIA	CAPITAL INCOME BUILDER-A	100.00	3.75	0.00	3.75	10.0	0.38
	ACCOUNT #: 00086785798	BUY 2 Units @63.2400						
10/01/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL WORLD GROWTH AND INCOME FUN	13.68	0.22	0.00	0.22	10.0	0.02
	ACCOUNT #: 00073550085	BUY 0 Units @52.3000						
10/01/2018	***-**-625P - BORRELLI, LOUIS	CAPITAL WORLD GROWTH AND INCOME FUN	92.00	1.47	0.00	1.47	10.0	0.15
	ACCOUNT #: 00073550085	BUY 2 Units @52.3000						
10/01/2018	***-**-048I - DEAN, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 00065085393	BUY 10 Units @50.7000						
10/01/2018	***-**-4036 - AMES, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	19.20	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00083414092	BUY 0 Units @50.7000						



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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>								
10/01/2018	***-**-4036 - AMES, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	32.00	0.32	0.00	0.32	10.0	0.03
	ACCOUNT #: 00083414092	BUY 1 Units @50.7000						
10/01/2018	***-**-1209 - NATALE, KIMBERLY	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085764285	BUY 1 Units @50.7000						
10/01/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @50.7000						
10/01/2018	***-**-05IN - RANDALL, ADAM	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085941585	BUY 0 Units @50.7000						
10/01/2018	***-**-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 @50.7000						
10/01/2018	***-**-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 @50.7000						
10/01/2018	***-**-4926 - HAUN, GARY	CAPITAL WORLD GROWTH AND INCOME FUN	16.92	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 04000492822	BUY 0 Units @50.7000						
10/01/2018	***-**-4926 - HAUN, GARY	CAPITAL WORLD GROWTH AND INCOME FUN	84.60	0.85	0.00	0.85	10.0	0.09
	ACCOUNT #: 04000492822	BUY 2 Units @50.7000						
10/02/2018	***-**-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 @50.4600						
10/04/2018	***-**-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 @49.8800						
10/05/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	23.97	0.24	0.00	0.24	10.0	0.02
	ACCOUNT #: 00066758344	BUY 0 Units @50.1400						
10/05/2018	***-**-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 @49.6000						
09/30/2018	***-**-1314 - BENEDETTO,	CHOICEPLUS ASSURANCE BONUS	0.00	96.86	0.00	96.86	10.0	9.69
	ACCOUNT #: 921065489	BUY 0 Units @0.0000						
09/30/2018	***-**-04IN - KUBIAK, ANN	CHOICEPLUS ASSURANCE BONUS	0.00	44.15	0.00	44.15	10.0	4.42
	ACCOUNT #: 921065887	BUY 0 Units @0.0000						
09/30/2018	***-**-5242 - RUES TRUST,	CHOICEPLUS ASSURANCE BONUS	0.00	137.90	0.00	137.90	10.0	13.79
	ACCOUNT #: 921067171	BUY 0 Units @0.0000						
09/30/2018	***-**-306I - SINCLAIR,	CHOICEPLUS ASSURANCE BONUS	0.00	174.88	0.00	174.88	10.0	17.49
	ACCOUNT #: 921071862	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/30/2018	***-**-22IN - WAGNER, LAUREL	CHOICEPLUS ASSURANCE BONUS	0.00	79.67	0.00	79.67	10.0	7.97
	ACCOUNT #: 921071872	BUY 0 Units @0.0000						
09/30/2018	***-**-2163 - TRAPANI, JAMES	CHOICEPLUS ASSURANCE BONUS	0.00	67.14	0.00	67.14	10.0	6.71
	ACCOUNT #: 921075689	BUY 0 Units @0.0000						
09/30/2018	***-**-0242 - COZZO, JOSEPHINE	CHOICEPLUS ASSURANCE BONUS	0.00	744.26	0.00	744.26	10.0	74.43
	ACCOUNT #: 921077310	BUY 0 Units @0.0000						
09/30/2018	***-**-04IN - DIGIOVANNI,	CHOICEPLUS ASSURANCE BONUS	0.00	136.61	0.00	136.61	10.0	13.66
	ACCOUNT #: 921077311	BUY 0 Units @0.0000						
09/30/2018	***-**-50IN - DIGIOVANNI,	CHOICEPLUS ASSURANCE BONUS	0.00	44.71	0.00	44.71	10.0	4.47
	ACCOUNT #: 921077312	BUY 0 Units @0.0000						
09/30/2018	***-**-18IO - TAYLOR, GREGORY	CHOICEPLUS ASSURANCE BONUS	0.00	477.78	0.00	477.78	10.0	47.78
	ACCOUNT #: 921078308	BUY 0 Units @0.0000						
09/30/2018	***-**-58IO - WATT, JAMES	CHOICEPLUS ASSURANCE BONUS	0.00	121.49	0.00	121.49	10.0	12.15
	ACCOUNT #: 921078514	BUY 0 Units @0.0000						
09/30/2018	***-**-432I - BORDEN, ROBERT	DISCOVERY FUND C	0.00	1.77	0.00	1.77	10.0	0.18
	ACCOUNT #: 05020305173	BUY 0 Units @0.0000						
09/30/2018	***-**-110I - SAENZ, KATIA	DISCOVERY FUND C	0.00	23.86	0.00	23.86	10.0	2.39
	ACCOUNT #: 07470796554	BUY 0 Units @0.0000						
09/30/2018	***-**-01UG - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	7.10	0.00	7.10	10.0	0.71
	ACCOUNT #: 00401973590	BUY 0 Units @0.0000						
09/30/2018	***-**-88UG - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	7.10	0.00	7.10	10.0	0.71
	ACCOUNT #: 00401973660	BUY 0 Units @0.0000						
09/30/2018	***-**-450J - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	8.45	0.00	8.45	10.0	0.85
	ACCOUNT #: 00402352440	BUY 0 Units @0.0000						
09/30/2018	***-**-264I - SIDOTI, LAURA	EQUITY INCOME FUND, INC. A	0.00	4.71	0.00	4.71	10.0	0.47
	ACCOUNT #: 02400798182	BUY 0 Units @0.0000						
09/30/2018	***-**-11IN - ROBERTS NEEDS	EQUITY INCOME FUND, INC. A	0.00	28.22	0.00	28.22	10.0	2.82
	ACCOUNT #: 02401512863	BUY 0 Units @0.0000						
09/30/2018	***-**-509I - ARBORE,	EQUITY INCOME FUND, INC. A	0.00	27.42	0.00	27.42	10.0	2.74
	ACCOUNT #: 02401570261	BUY 0 Units @0.0000						
09/30/2018	***-**-919I - WEST, HOLLY	EQUITY INCOME FUND, INC. A	0.00	7.39	0.00	7.39	10.0	0.74
	ACCOUNT #: 02401588994	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
09/30/2018	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. A	0.00	11.30	0.00	11.30	10.0	1.13
	ACCOUNT #: 08352628747	BUY 0 Units @0.0000						
09/30/2018	***-**-805P - CONNORS, DOROTHY	EQUITY INCOME FUND, INC. A	0.00	1.32	0.00	1.32	10.0	0.13
	ACCOUNT #: 08353199856	BUY 0 Units @0.0000						
09/30/2018	***-**-85TR - CONNORS,	EQUITY INCOME FUND, INC. A	0.00	2.28	0.00	2.28	10.0	0.23
	ACCOUNT #: 08353199878	BUY 0 Units @0.0000						
09/30/2018	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. A	0.00	1.06	0.00	1.06	10.0	0.11
	ACCOUNT #: 08353215333	BUY 0 Units @0.0000						
09/30/2018	***-**-3432 - BORDEN, ROBERT	EQUITY INCOME FUND, INC. C	0.00	1.57	0.00	1.57	10.0	0.16
	ACCOUNT #: 08370550550	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. C	0.00	16.39	0.00	16.39	10.0	1.64
	ACCOUNT #: 08370596090	BUY 0 Units @0.0000						
09/30/2018	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. C	0.00	13.84	0.00	13.84	10.0	1.38
	ACCOUNT #: 08370627385	BUY 0 Units @0.0000						
10/01/2018	***-**-925P - BURNS, JASON	FUNDAMENTAL INVESTORS-A	17.82	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00073550035	BUY 0 Units @66.8600						
10/01/2018	***-**-925P - BURNS, JASON	FUNDAMENTAL INVESTORS-A	114.58	1.83	0.00	1.83	10.0	0.18
	ACCOUNT #: 00073550035	BUY 2 Units @66.8600						
10/05/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	70.50	0.71	0.00	0.71	10.0	0.07
	ACCOUNT #: 00066759710	BUY 1 Units @64.5700						
10/01/2018	***-**-7625 - PRINCE, ADAM	FUNDAMENTAL INVESTORS-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085764342	BUY 1 Units @65.1700						
10/01/2018	***-**-4392 - GARCIA, MICHELLE	FUNDAMENTAL INVESTORS-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @65.1700						
10/01/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @65.1700						
10/01/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @65.1700						
10/01/2018	***-**-7171 - GIUDICE, JUSTIN	FUNDAMENTAL INVESTORS-C	15.65	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00086494794	BUY 0 Units @65.1700						
10/01/2018	***-**-7171 - GIUDICE, JUSTIN	FUNDAMENTAL INVESTORS-C	46.20	0.46	0.00	0.46	10.0	0.05
	ACCOUNT #: 00086494794	BUY 1 Units @65.1700						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.1700	7.59	0.08	0.00	0.08	10.0	0.01
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.1700	30.60	0.31	0.00	0.31	10.0	0.03
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.1700	7.59	0.08	0.00	0.08	10.0	0.01
10/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.1700	30.60	0.31	0.00	0.31	10.0	0.03
10/01/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.1700	5.00	0.05	0.00	0.05	10.0	0.01
10/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.1300	7.59	0.08	0.00	0.08	10.0	0.01
10/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @65.1300	20.40	0.20	0.00	0.20	10.0	0.02
10/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.2200	20.40	0.20	0.00	0.20	10.0	0.02
10/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.2200	7.59	0.08	0.00	0.08	10.0	0.01
09/30/2018	***-**-502I - CHUDYK, LUCIANA ACCOUNT #: 03300288917	GLOBAL FUND A BUY 0 Units @0.0000	0.00	8.89	0.00	8.89	10.0	0.89
09/30/2018	***-**-8379 - ZLOTNICK, MAR ACCOUNT #: 03302795025	GLOBAL FUND A BUY 0 Units @0.0000	0.00	23.40	0.00	23.40	10.0	2.34
09/30/2018	***-**-8776 - LEVINE, TODD ACCOUNT #: 03302846910	GLOBAL FUND A BUY 0 Units @0.0000	0.00	53.28	0.00	53.28	10.0	5.33
09/30/2018	***-**-225P - LILL, DONNA ACCOUNT #: 03305836226	GLOBAL FUND A BUY 0 Units @0.0000	0.00	19.12	0.00	19.12	10.0	1.91
09/30/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 03309004237	GLOBAL FUND A BUY 0 Units @0.0000	0.00	4.28	0.00	4.28	10.0	0.43
09/30/2018	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03309133960	GLOBAL FUND A BUY 0 Units @0.0000	0.00	39.01	0.00	39.01	10.0	3.90
09/30/2018	***-**-5378 - AGUILA, NANCY ACCOUNT #: 02152697871	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	110.30	0.00	110.30	10.0	11.03



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/30/2018	***-**-206I - SANDERS, DAVID	GLOBAL OPPORTUNITIES A	0.00	7.07	0.00	7.07	10.0	0.71
	ACCOUNT #: 02155093319	BUY 0 Units @0.0000						
10/01/2018	***-**-92IR - CUSIMANO,	GLOBAL OPPORTUNITIES A	299.96	11.25	0.00	11.25	10.0	1.13
	ACCOUNT #: LSR011412	BUY 4 Units @79.2500						
09/30/2018	***-**-110I - SAENZ, KATIA	GLOBAL OPPORTUNITIES FUND C	0.00	29.79	0.00	29.79	10.0	2.98
	ACCOUNT #: 02171397616	BUY 0 Units @0.0000						
09/30/2018	***-**-9206 - SANDER, DAVID	GLOBAL OPPORTUNITIES FUND C	0.00	18.45	0.00	18.45	10.0	1.85
	ACCOUNT #: 02171629936	BUY 0 Units @0.0000						
09/30/2018	***-**-90FB - DIODATO, CAROL	GLOBAL OPPORTUNITIES FUND C	0.00	8.47	0.00	8.47	10.0	0.85
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
09/30/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	0.00	58.72	0.00	58.72	10.0	5.87
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						
09/30/2018	***-**-2620 - CUSIMANO, MEGAN	GLOBAL OPPORTUNITIES FUND C	0.00	1.98	0.00	1.98	10.0	0.20
	ACCOUNT #: 02171800557	BUY 0 Units @0.0000						
09/30/2018	***-**-9530 - MILAM, IAN	GLOBAL OPPORTUNITIES FUND C	0.00	0.23	0.00	0.23	10.0	0.02
	ACCOUNT #: 02171852708	BUY 0 Units @0.0000						
09/30/2018	***-**-509I - ARBORE,	GOLD & SPECIAL MINERALS A	0.00	3.28	0.00	3.28	10.0	0.33
	ACCOUNT #: 04103927770	BUY 0 Units @0.0000						
09/28/2018	***-**-1965 - IPPOLITO,	HARTFORD VA TRAILS 416594877	0.00	126.02	0.00	126.02	10.0	12.60
	ACCOUNT #: 510035420	BUY 0 Units @0.0000						
10/01/2018	***-**-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 @22.9500						
10/01/2018	***-**-1209 - NATALE, KIMBERLY	INVESTMENT COMPANY OF AMERICA CLASS	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085764285	BUY 1 Units @41.7800						
10/01/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @41.7800						
10/01/2018	***-**-564I - CARNEY, BARBARA	INVESTMENT COMPANY OF AMERICA CLASS	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089563161	BUY 0 Units @41.7800						
10/01/2018	***-**-96CL - SCARPULLA,	INVESTMENT COMPANY OF AMERICA CLASS	49.77	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089722785	BUY 1 Units @41.7800						
10/02/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	17.57	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @41.8100						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
10/05/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	17.03	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @41.3100						
09/30/2018	***-**-37IN - COTTONE, CHARLES	LIMITED TERM GOVERNMENT A	0.00	2.01	0.00	2.01	10.0	0.20
	ACCOUNT #: 08551660824	BUY 0 Units @0.0000						
09/30/2018	***-**-502I - CHUDYK, LUCIANA	LIMITED TERM GOVERNMENT A	0.00	0.54	0.00	0.54	10.0	0.05
	ACCOUNT #: 08552066097	BUY 0 Units @0.0000						
09/30/2018	***-**-7981 - D'ANGELO,	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	46.34	0.00	46.34	10.0	4.63
	ACCOUNT #: 921039927	BUY 0 Units @0.0000						
09/30/2018	***-**-606A - REUS, MARTHA	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	249.00	0.00	249.00	10.0	24.90
	ACCOUNT #: 921040463	BUY 0 Units @0.0000						
09/30/2018	***-**-42IN - SANFILIPPO,	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	560.84	0.00	560.84	10.0	56.08
	ACCOUNT #: 921055159	BUY 0 Units @0.0000						
09/30/2018	***-**-88VA - PRZYLUCHE, LAUREN	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	17.46	0.00	17.46	10.0	1.75
	ACCOUNT #: 921056190	BUY 0 Units @0.0000						
09/30/2018	***-**-0504 - DIGIOVANNI,	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	61.07	0.00	61.07	10.0	6.11
	ACCOUNT #: 921056263	BUY 0 Units @0.0000						
09/30/2018	***-**-966I - RAGO, RICHARD	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	411.57	0.00	411.57	10.0	41.16
	ACCOUNT #: 921056587	BUY 0 Units @0.0000						
09/30/2018	***-**-4856 - MALIN, RUTH	LINCOLN FIN VA TRAILS DTCC 53378542	0.00	29.24	0.00	29.24	10.0	2.92
	ACCOUNT #: 921056600	BUY 0 Units @0.0000						
09/30/2018	***-**-4856 - MALIN, RUTH	LINCOLN FIN VA TRAILS DTCC 53378545	0.00	28.92	0.00	28.92	10.0	2.89
	ACCOUNT #: 921056599	BUY 0 Units @0.0000						
09/30/2018	***-**-736I - TORNATORE,	MAIN STREET FUND A	0.00	85.56	0.00	85.56	10.0	8.56
	ACCOUNT #: 04204204530	BUY 0 Units @0.0000						
09/30/2018	***-**-206I - SANDERS, DAVID	MAIN STREET FUND A	0.00	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 07002254530	BUY 0 Units @0.0000						
09/30/2018	***-**-206I - SANDERS, DAVID	MAIN STREET FUND A	0.00	6.56	0.00	6.56	10.0	0.66
	ACCOUNT #: 07002573849	BUY 0 Units @0.0000						
09/30/2018	***-**-072I - SMITH, DEBORAH	MAIN STREET FUND A	0.00	61.28	0.00	61.28	10.0	6.13
	ACCOUNT #: 07002573882	BUY 0 Units @0.0000						
09/30/2018	***-**-446I - TROBIA, FRANK	MAIN STREET FUND A	0.00	33.32	0.00	33.32	10.0	3.33
	ACCOUNT #: 07005158191	BUY 0 Units @0.0000						





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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>								
09/30/2018	***-**-264I - SIDOTI, LAURA	MAIN STREET FUND A	0.00	12.22	0.00	12.22	10.0	1.22
	ACCOUNT #: 07005274219	BUY 0 Units @0.0000						
09/30/2018	***-**-3526 - STONE, LINDA	MAIN STREET FUND A	0.00	1.19	0.00	1.19	10.0	0.12
	ACCOUNT #: 07005481380	BUY 0 Units @0.0000						
09/30/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND A	0.00	30.28	0.00	30.28	10.0	3.03
	ACCOUNT #: 07005548460	BUY 0 Units @0.0000						
09/30/2018	***-**-7072 - SMITH, DEBBIE	MAIN STREET FUND A	0.00	0.26	0.00	0.26	10.0	0.03
	ACCOUNT #: 07005555335	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND A	0.00	13.90	0.00	13.90	10.0	1.39
	ACCOUNT #: 07005773144	BUY 0 Units @0.0000						
09/30/2018	***-**-781I - NAVAS, MICHAEL	MAIN STREET FUND A	0.00	0.57	0.00	0.57	10.0	0.06
	ACCOUNT #: 07006127212	BUY 0 Units @0.0000						
09/30/2018	***-**-1346 - WEEKS S R	MAIN STREET FUND A	0.00	8.73	0.00	8.73	10.0	0.87
	ACCOUNT #: 07007936483	BUY 0 Units @0.0000						
09/30/2018	***-**-175I - BLEIER, WESLEY	MAIN STREET FUND A	0.00	13.77	0.00	13.77	10.0	1.38
	ACCOUNT #: 07009521154	BUY 0 Units @0.0000						
09/30/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	0.00	5.75	0.00	5.75	10.0	0.58
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
09/30/2018	***-**-435P - BOSCO, SOFIA	MAIN STREET FUND C	0.00	60.55	0.00	60.55	10.0	6.06
	ACCOUNT #: 07021348457	BUY 0 Units @0.0000						
09/30/2018	***-**-110I - SAENZ, KATIA	MAIN STREET FUND C	0.00	18.90	0.00	18.90	10.0	1.89
	ACCOUNT #: 07023933798	BUY 0 Units @0.0000						
09/30/2018	***-**-9206 - SANDER, DAVID	MAIN STREET FUND C	0.00	13.75	0.00	13.75	10.0	1.38
	ACCOUNT #: 07024170947	BUY 0 Units @0.0000						
09/30/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	0.00	26.68	0.00	26.68	10.0	2.67
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	0.00	14.93	0.00	14.93	10.0	1.49
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						
09/30/2018	***-**-1346 - WEEKS S R	MAIN STREET FUND C	0.00	32.32	0.00	32.32	10.0	3.23
	ACCOUNT #: 07024329974	BUY 0 Units @0.0000						
09/30/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	0.00	6.24	0.00	6.24	10.0	0.62
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/30/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	0.00	42.74	0.00	42.74	10.0	4.27
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
09/30/2018	***-**-2620 - CUSIMANO, MEGAN	MAIN STREET FUND C	0.00	3.31	0.00	3.31	10.0	0.33
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
09/30/2018	***-**-446I - TROBIA, FRANK	MAIN STREET FUND C	0.00	37.99	0.00	37.99	10.0	3.80
	ACCOUNT #: 07024429095	BUY 0 Units @0.0000						
09/30/2018	***-**-9530 - MILAM, IAN	MAIN STREET FUND C	0.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 07024469113	BUY 0 Units @0.0000						
10/01/2018	***-**-955P - ROSE, JUSTIN	NEW PERSPECTIVE FUND-A	20.11	0.32	0.00	0.32	10.0	0.03
	ACCOUNT #: 00073550044	BUY 0 Units @47.9200						
10/01/2018	***-**-955P - ROSE, JUSTIN	NEW PERSPECTIVE FUND-A	150.00	2.40	0.00	2.40	10.0	0.24
	ACCOUNT #: 00073550044	BUY 3 Units @47.9200						
10/01/2018	***-**-6000 - SMITH, KENNETH	NEW PERSPECTIVE FUND-C	9.20	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00083081099	BUY 0 Units @44.8600						
10/01/2018	***-**-4036 - AMES, JOHN	NEW PERSPECTIVE FUND-C	14.40	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00083414092	BUY 0 Units @44.8600						
10/01/2018	***-**-4036 - AMES, JOHN	NEW PERSPECTIVE FUND-C	24.00	0.24	0.00	0.24	10.0	0.02
	ACCOUNT #: 00083414092	BUY 1 Units @44.8600						
10/01/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @44.8600						
10/01/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @44.8600						
10/01/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	7.58	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @44.8600						
10/01/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 1 Units @44.8600						
10/01/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	7.58	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @44.8600						
10/01/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 1 Units @44.8600						
10/01/2018	***-**-1277 - ROBSON, BONNIE	NEW PERSPECTIVE FUND-C	20.21	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 04000868901	BUY 0 Units @44.8600						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/01/2018	***-**-1277 - ROBSON, BONNIE	NEW PERSPECTIVE FUND-C	25.27	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 04000868901	BUY 1 Units @44.8600						
10/01/2018	***-**-5822 - CURATALO, JAMES	NEW PERSPECTIVE FUND-C	11.59	0.12	0.00	0.12	10.0	0.01
	ACCOUNT #: 04000783911	BUY 0 Units @44.8600						
10/01/2018	***-**-5822 - CURATALO, JAMES	NEW PERSPECTIVE FUND-C	14.48	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 04000783911	BUY 0 Units @44.8600						
10/02/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	7.58	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @44.6300						
10/02/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @44.6300						
10/05/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @43.4500						
10/05/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	7.58	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @43.4500						
10/01/2018	***-**-4036 - AMES, JOHN	NEW WORLD FUND-C	14.40	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00083414092	BUY 0 Units @61.4600						
10/01/2018	***-**-4036 - AMES, JOHN	NEW WORLD FUND-C	24.00	0.24	0.00	0.24	10.0	0.02
	ACCOUNT #: 00083414092	BUY 0 Units @61.4600						
10/01/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @61.4600						
10/01/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @61.4600						
10/01/2018	***-**-05IN - RANDALL, ADAM	NEW WORLD FUND-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085941585	BUY 0 Units @61.4600						
10/01/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @61.4600						
09/30/2018	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD A	0.00	13.59	0.00	13.59	10.0	1.36
	ACCOUNT #: 05451118920	BUY 0 Units @0.0000						
09/30/2018	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD A	0.00	0.97	0.00	0.97	10.0	0.10
	ACCOUNT #: 05451503469	BUY 0 Units @0.0000						
09/30/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD A	0.00	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 05451509926	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/30/2018	***-**-3407 - SUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	0.00	33.73	0.00	33.73	10.0	3.37
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
09/30/2018	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	0.00	40.22	0.00	40.22	10.0	4.02
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
09/30/2018	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD C	0.00	72.90	0.00	72.90	10.0	7.29
	ACCOUNT #: 06670037664	BUY 0 Units @0.0000						
09/30/2018	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD C	0.00	29.40	0.00	29.40	10.0	2.94
	ACCOUNT #: 06670037675	BUY 0 Units @0.0000						
09/30/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD C	0.00	29.53	0.00	29.53	10.0	2.95
	ACCOUNT #: 06670037686	BUY 0 Units @0.0000						
09/30/2018	***-**-1346 - WEEKS S R	OPPENHEIMER DISCOVERY CLASS A	0.00	11.30	0.00	11.30	10.0	1.13
	ACCOUNT #: 05004178284	BUY 0 Units @0.0000						
09/30/2018	***-**-781J - NAVAS, MICHAEL &	OPPENHEIMER DISCOVERY CLASS A	0.00	35.62	0.00	35.62	10.0	3.56
	ACCOUNT #: 07450878086	BUY 0 Units @0.0000						
09/30/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	0.00	27.29	0.00	27.29	10.0	2.73
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
09/30/2018	***-**-6056 - PRICE, DEBORAH	OPPENHEIMER MAIN STREET OPPORTUNITY	0.00	9.74	0.00	9.74	10.0	0.97
	ACCOUNT #: 07311461350	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	10.24	0.00	10.24	10.0	1.02
	ACCOUNT #: 08477407983	BUY 0 Units @0.0000						
09/30/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	14.58	0.00	14.58	10.0	1.46
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
09/30/2018	***-**-541P - SCHILLACI, AMY	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	3.79	0.00	3.79	10.0	0.38
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						
09/30/2018	***-**-4980 - MOYER, COLLEEN	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	11.78	0.00	11.78	10.0	1.18
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
09/30/2018	***-**-1314 - BENEDETTO,	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	44.16	0.00	44.16	10.0	4.42
	ACCOUNT #: 02270934318	BUY 0 Units @0.0000						
09/30/2018	***-**-655P - DAVIS, BERTHA	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	38.75	0.00	38.75	10.0	3.88
	ACCOUNT #: 02271237808	BUY 0 Units @0.0000						
09/30/2018	***-**-1834 - BUTLER, KIM	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	22.43	0.00	22.43	10.0	2.24
	ACCOUNT #: 02510771804	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/30/2018	***-**-5378 - AGUILA, NANCY	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	69.23	0.00	69.23	10.0	6.92
	ACCOUNT #: 02510954349	BUY 0 Units @0.0000						
09/30/2018	***-**-502I - CHUDYK, LUCIANA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.37	0.00	0.37	10.0	0.04
	ACCOUNT #: 02511356146	BUY 0 Units @0.0000						
09/30/2018	***-**-8379 - ZLOTNICK, MAR	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	1.61	0.00	1.61	10.0	0.16
	ACCOUNT #: 01902486671	BUY 0 Units @0.0000						
09/30/2018	***-**-509I - ARBORE,	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	8.06	0.00	8.06	10.0	0.81
	ACCOUNT #: 01903509704	BUY 0 Units @0.0000						
09/30/2018	***-**-206I - SANDERS, DAVID	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 02301774457	BUY 0 Units @0.0000						
09/30/2018	***-**-206I - SANDERS, DAVID	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	1.74	0.00	1.74	10.0	0.17
	ACCOUNT #: 02302155970	BUY 0 Units @0.0000						
09/30/2018	***-**-1834 - BUTLER, KIM	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	2.24	0.00	2.24	10.0	0.22
	ACCOUNT #: 02803612158	BUY 0 Units @0.0000						
09/30/2018	***-**-05IO - KIMBLE, LONNY	PRUDENTIAL VA 74430T119	0.00	1,277.36	0.00	1,277.36	10.0	127.74
	ACCOUNT #: E1832087	BUY 0 Units @0.0000						
09/30/2018	***-**-9360 - SPALLINA, DIANE	PRUDENTIAL VA TRAILS 74429P110	0.00	36.90	0.00	36.90	10.0	3.69
	ACCOUNT #: E1289869	BUY 0 Units @0.0000						
09/30/2018	***-**-904I - PRZYLUKE,	PRUDENTIAL VA TRAILS 74429P110	0.00	98.15	0.00	98.15	10.0	9.82
	ACCOUNT #: E1331165	BUY 0 Units @0.0000						
09/30/2018	***-**-928I - SPALLINA,	PRUDENTIAL VA TRAILS 74429P110	0.00	40.26	0.00	40.26	10.0	4.03
	ACCOUNT #: E1289944	BUY 0 Units @0.0000						
09/30/2018	***-**-904R - PRZYLUKE,	PRUDENTIAL VA TRAILS 74429P110	0.00	51.95	0.00	51.95	10.0	5.20
	ACCOUNT #: E1434564	BUY 0 Units @0.0000						
09/30/2018	***-**-54VA - FANTAUZZO, EVA	PRUDENTIAL VA TRAILS 74429P110	0.00	2.36	0.00	2.36	10.0	0.24
	ACCOUNT #: E1438479	BUY 0 Units @0.0000						
09/30/2018	***-**-47IN - SIDARE, ANDREA	PRUDENTIAL VA TRAILS 74429P110	0.00	42.67	0.00	42.67	10.0	4.27
	ACCOUNT #: E1190180	BUY 0 Units @0.0000						
09/30/2018	***-**-20VA -	PRUDENTIAL VA TRAILS 74429P110	0.00	169.64	0.00	169.64	10.0	16.96
	ACCOUNT #: E1490657	BUY 0 Units @0.0000						
09/30/2018	***-**-7470 - SANFILIPPO, JOHN	PRUDENTIAL VA TRAILS 74429P110	0.00	177.08	0.00	177.08	10.0	17.71
	ACCOUNT #: E1313272	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
09/30/2018	***-**-339I - SANFILIPPO, ACCOUNT #: E1313282	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	228.75	0.00	228.75	10.0	22.88
09/30/2018	***-**-7633 - FREDERICO, LEE ACCOUNT #: E1387199	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	51.11	0.00	51.11	10.0	5.11
09/30/2018	***-**-503J - OBI, JEAN ACCOUNT #: E1441415	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	73.91	0.00	73.91	10.0	7.39
09/30/2018	***-**-729I - PRZYLUCHE, PHILIP ACCOUNT #: E1094963	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	4.59	0.00	4.59	10.0	0.46
09/30/2018	***-**-214I - RUSH, ROBERT ACCOUNT #: E1071856	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	47.17	0.00	47.17	10.0	4.72
09/30/2018	***-**-904I - PRZYLUCHE, ACCOUNT #: E1091145	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	35.00	0.00	35.00	10.0	3.50
09/30/2018	***-**-0242 - COZZO, JOSEPHINE ACCOUNT #: E1120418	PRUDENTIAL VA TRAILS 74429P128 BUY 0 Units @0.0000	0.00	47.70	0.00	47.70	10.0	4.77
09/30/2018	***-**-5564 - BAUSCH, LEE ACCOUNT #: E0397149	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	24.40	0.00	24.40	10.0	2.44
09/30/2018	***-**-5564 - BAUSCH, LEE ACCOUNT #: E0397149	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	24.40	0.00	24.40	10.0	2.44
09/30/2018	***-**-307I - SCARPULLA, MARY ACCOUNT #: E0559154	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	83.81	0.00	83.81	10.0	8.38
09/30/2018	***-**-307I - SCARPULLA, MARY ACCOUNT #: E0559154	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	83.81	0.00	83.81	10.0	8.38
09/30/2018	***-**-274I - ROBERTS, ADELLA ACCOUNT #: E0728348	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	17.21	0.00	17.21	10.0	1.72
09/30/2018	***-**-1926 - VERCRUYSSSE, ACCOUNT #: 000618899	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	22.65	0.00	22.65	10.0	2.27
09/30/2018	***-**-1926 - VERCRUYSSSE, ACCOUNT #: 000618899	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	22.65	0.00	22.65	10.0	2.27
09/30/2018	***-**-054P - FANTAUZZO, EVA ACCOUNT #: 000619108	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	2.01	0.00	2.01	10.0	0.20
09/30/2018	***-**-054P - FANTAUZZO, EVA ACCOUNT #: 000619108	PRUDENTIAL VA TRAILS 74430A227 BUY 0 Units @0.0000	0.00	2.01	0.00	2.01	10.0	0.20



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/30/2018	***-**-598P - OLIVERI, ANNA	PRUDENTIAL VA TRAILS 74430A227	0.00	4.38	0.00	4.38	10.0	0.44
	ACCOUNT #: 000640985	BUY 0 Units @0.0000						
09/30/2018	***-**-598P - OLIVERI, ANNA	PRUDENTIAL VA TRAILS 74430A227	0.00	4.38	0.00	4.38	10.0	0.44
	ACCOUNT #: 000640985	BUY 0 Units @0.0000						
09/30/2018	***-**-7981 - D'ANGELO,	PRUDENTIAL VA TRAILS 74430A235	0.00	175.29	0.00	175.29	10.0	17.53
	ACCOUNT #: E0731699	BUY 0 Units @0.0000						
09/30/2018	***-**-7981 - D'ANGELO,	PRUDENTIAL VA TRAILS 74430A235	0.00	701.16	0.00	701.16	10.0	70.12
	ACCOUNT #: E0731699	BUY 0 Units @0.0000						
09/30/2018	***-**-0242 - COZZO, JOSEPHINE	PRUDENTIAL VA TRAILS 74430A235	0.00	60.55	0.00	60.55	10.0	6.06
	ACCOUNT #: E0939612	BUY 0 Units @0.0000						
09/30/2018	***-**-0242 - COZZO, JOSEPHINE	PRUDENTIAL VA TRAILS 74430A235	0.00	242.19	0.00	242.19	10.0	24.22
	ACCOUNT #: E0939612	BUY 0 Units @0.0000						
09/30/2018	***-**-291A - HERTZEL,	PRUDENTIAL VA TRAILS 74430A235	0.00	44.94	0.00	44.94	10.0	4.49
	ACCOUNT #: E0781856	BUY 0 Units @0.0000						
09/30/2018	***-**-291A - HERTZEL,	PRUDENTIAL VA TRAILS 74430A235	0.00	134.81	0.00	134.81	10.0	13.48
	ACCOUNT #: E0781856	BUY 0 Units @0.0000						
09/30/2018	***-**-0008 - COZZO, LUIGI	PRUDENTIAL VA TRAILS 74430A235	0.00	67.88	0.00	67.88	10.0	6.79
	ACCOUNT #: E0977978	BUY 0 Units @0.0000						
09/30/2018	***-**-0008 - COZZO, LUIGI	PRUDENTIAL VA TRAILS 74430A235	0.00	271.53	0.00	271.53	10.0	27.15
	ACCOUNT #: E0977978	BUY 0 Units @0.0000						
09/30/2018	***-**-502I - CHUDYK, LUCIANA	QUEST BALANCED A	0.00	1.76	0.00	1.76	10.0	0.18
	ACCOUNT #: 02573443913	BUY 0 Units @0.0000						
09/30/2018	***-**-772I - KERHAERT,	QUEST BALANCED A	0.00	7.82	0.00	7.82	10.0	0.78
	ACCOUNT #: 02575859953	BUY 0 Units @0.0000						
09/30/2018	***-**-8706 - BOSCO, REN	QUEST BALANCED FUND C	0.00	171.96	0.00	171.96	10.0	17.20
	ACCOUNT #: 02590094105	BUY 0 Units @0.0000						
09/30/2018	***-**-110I - SAENZ, KATIA	QUEST BALANCED FUND C	0.00	10.72	0.00	10.72	10.0	1.07
	ACCOUNT #: 02592093355	BUY 0 Units @0.0000						
09/30/2018	***-**-772I - KERHAERT,	QUEST BALANCED FUND C	0.00	10.32	0.00	10.32	10.0	1.03
	ACCOUNT #: 02592262304	BUY 0 Units @0.0000						
09/30/2018	***-**-1314 - BENEDETTO,	QUEST BALANCED FUND C	0.00	78.27	0.00	78.27	10.0	7.83
	ACCOUNT #: 02592292741	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
09/30/2018	***-**-264I - SIDOTI, LAURA	QUEST OPPORTUNITY VALUE A	0.00	4.88	0.00	4.88	10.0	0.49
	ACCOUNT #: 02362932061	BUY 0 Units @0.0000						
09/30/2018	***-**-502I - CHUDYK, LUCIANA	QUEST OPPORTUNITY VALUE A	0.00	2.79	0.00	2.79	10.0	0.28
	ACCOUNT #: 02363615612	BUY 0 Units @0.0000						
09/30/2018	***-**-1346 - WEEKS S R	QUEST OPPORTUNITY VALUE A	0.00	4.44	0.00	4.44	10.0	0.44
	ACCOUNT #: 02363693492	BUY 0 Units @0.0000						
09/30/2018	***-**-4143 - STONE, GEORGE	QUEST OPPORTUNITY VALUE A	0.00	0.52	0.00	0.52	10.0	0.05
	ACCOUNT #: 02365376635	BUY 0 Units @0.0000						
09/30/2018	***-**-432I - BORDEN, ROBERT	QUEST OPPORTUNITY VALUE FUND C	0.00	5.20	0.00	5.20	10.0	0.52
	ACCOUNT #: 02380867812	BUY 0 Units @0.0000						
09/30/2018	***-**-1346 - WEEKS S R	QUEST OPPORTUNITY VALUE FUND C	0.00	23.80	0.00	23.80	10.0	2.38
	ACCOUNT #: 02381169938	BUY 0 Units @0.0000						
09/30/2018	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	0.00	34.06	0.00	34.06	10.0	3.41
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
09/30/2018	***-**-2620 - CUSIMANO, MEGAN	REAL ESTATE FUND C	0.00	1.31	0.00	1.31	10.0	0.13
	ACCOUNT #: 05920400103	BUY 0 Units @0.0000						
09/30/2018	***-**-9530 - MILAM, IAN	REAL ESTATE FUND C	0.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 05920419496	BUY 0 Units @0.0000						
09/30/2018	***-**-509I - ARBORE,	RISEING DIVIDENDS FUND A	0.00	10.22	0.00	10.22	10.0	1.02
	ACCOUNT #: 02253202056	BUY 0 Units @0.0000						
09/30/2018	***-**-76IN - CRISPINO, JULIE	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	370.01	0.00	370.01	10.0	37.00
	ACCOUNT #: 03550283547	BUY 0 Units @0.0000						
09/30/2018	***-**-76IN - CRISPINO, JULIE	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	411.12	0.00	411.12	10.0	41.11
	ACCOUNT #: 03550283547	BUY 0 Units @0.0000						
09/30/2018	***-**-11IN - ROBERTS NEEDS	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	58.88	0.00	58.88	10.0	5.89
	ACCOUNT #: 03551129898	BUY 0 Units @0.0000						
09/30/2018	***-**-96CL - SCARPULLA,	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	347.90	0.00	347.90	10.0	34.79
	ACCOUNT #: 03551296515	BUY 0 Units @0.0000						
09/30/2018	***-**-6188 - ROBERTS,	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	20.99	0.00	20.99	10.0	2.10
	ACCOUNT #: 03570646371	BUY 0 Units @0.0000						
10/01/2018	***-**-92IR - CUSIMANO,	SELECT VALUE FUND A	299.99	11.25	0.00	11.25	10.0	1.13
	ACCOUNT #: LSR011412	BUY 12 Units @26.0700						





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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
09/30/2018	***-**-4980 - MOYER, COLLEEN	SMALL- & MID- CAP VALUE FUND C	0.00	5.33	0.00	5.33	10.0	0.53
	ACCOUNT #: 02531288969	BUY 0 Units @0.0000						
09/30/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	0.00	15.02	0.00	15.02	10.0	1.50
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
10/01/2018	***-**-925P - BURNS, JASON	SMALLCAP WORLD FUND-A	17.82	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00073550035	BUY 0 Units @61.0700						
10/01/2018	***-**-925P - BURNS, JASON	SMALLCAP WORLD FUND-A	114.58	1.83	0.00	1.83	10.0	0.18
	ACCOUNT #: 00073550035	BUY 2 Units @61.0700						
10/01/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @52.3400						
10/01/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	7.59	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @52.3400						
10/01/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 1 Units @52.3400						
10/01/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	7.59	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @52.3400						
10/01/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	30.60	0.31	0.00	0.31	10.0	0.03
	ACCOUNT #: 00089051066	BUY 1 Units @52.3400						
10/02/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	7.59	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @51.8300						
10/02/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @51.8300						
10/05/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @50.5900						
10/05/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	7.59	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @50.5900						
09/30/2018	***-**-1834 - BUTLER, KIM	STRATEGIC INCOME FUND C	0.00	5.50	0.00	5.50	10.0	0.55
	ACCOUNT #: 01920863291	BUY 0 Units @0.0000						
09/30/2018	***-**-9206 - SANDER, DAVID	STRATEGIC INCOME FUND C	0.00	9.62	0.00	9.62	10.0	0.96
	ACCOUNT #: 02322653794	BUY 0 Units @0.0000						
09/30/2018	***-**-1314 - BENEDETTO,	STRATEGIC INCOME FUND C	0.00	34.72	0.00	34.72	10.0	3.47
	ACCOUNT #: 02322751089	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/01/2018	***-**-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 @12.4600						
10/01/2018	***-**-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 @12.4600						
10/01/2018	***-**-7171 - GIUDICE, JUSTIN	THE BOND FUND OF AMERICA-C	16.12	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00086494794	BUY 1 Units @12.4600						
10/01/2018	***-**-7171 - GIUDICE, JUSTIN	THE BOND FUND OF AMERICA-C	47.60	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00086494794	BUY 4 Units @12.4600						
10/01/2018	***-**-965P - SHAFER, PAUL	THE GROWTH FUND OF AMERICA-A	17.80	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00073549401	BUY 0 Units @57.9700						
10/01/2018	***-**-925P - BURNS, JASON	THE GROWTH FUND OF AMERICA-A	18.36	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00073550035	BUY 0 Units @57.9700						
10/01/2018	***-**-925P - BURNS, JASON	THE GROWTH FUND OF AMERICA-A	118.04	1.89	0.00	1.89	10.0	0.19
	ACCOUNT #: 00073550035	BUY 2 Units @57.9700						
10/01/2018	***-**-955P - ROSE, JUSTIN	THE GROWTH FUND OF AMERICA-A	20.10	0.32	0.00	0.32	10.0	0.03
	ACCOUNT #: 00073550044	BUY 0 Units @57.9700						
10/01/2018	***-**-955P - ROSE, JUSTIN	THE GROWTH FUND OF AMERICA-A	150.00	2.40	0.00	2.40	10.0	0.24
	ACCOUNT #: 00073550044	BUY 3 Units @57.9700						
10/01/2018	***-**-625P - BORRELLI, LOUIS	THE GROWTH FUND OF AMERICA-A	27.36	0.44	0.00	0.44	10.0	0.04
	ACCOUNT #: 00073550085	BUY 0 Units @57.9700						
10/01/2018	***-**-625P - BORRELLI, LOUIS	THE GROWTH FUND OF AMERICA-A	184.00	2.94	0.00	2.94	10.0	0.29
	ACCOUNT #: 00073550085	BUY 3 Units @57.9700						
10/01/2018	***-**-42IR - ADAMS, GRACE	THE GROWTH FUND OF AMERICA-A	50.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00073505114	BUY 1 Units @60.2800						
10/05/2018	***-**-195P - OZMINKOWSKI,	THE GROWTH FUND OF AMERICA-A	87.09	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 00066758342	BUY 2 Units @55.3800						
10/05/2018	***-**-405P - FRISA, ALAN	THE GROWTH FUND OF AMERICA-A	35.95	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00066758344	BUY 1 Units @55.3800						
10/05/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	41.77	0.42	0.00	0.42	10.0	0.04
	ACCOUNT #: 00066758347	BUY 1 Units @55.3800						
10/05/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	36.08	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00066758348	BUY 1 Units @55.3800						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
10/05/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	50.01	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00074922243	BUY 1 Units @55.3800						
10/05/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	78.75	0.79	0.00	0.79	10.0	0.08
	ACCOUNT #: 00083414110	BUY 1 Units @55.3800						
10/05/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	58.36	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 00087318332	BUY 1 Units @55.3800						
10/05/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	18.92	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00089461113	BUY 0 Units @55.3800						
10/05/2018	***-**-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 @57.9900						
10/05/2018	***-**-975P - COTTONE, MARIA	THE GROWTH FUND OF AMERICA-A	200.00	7.50	0.00	7.50	10.0	0.75
	ACCOUNT #: 00086606929	BUY 3 Units @57.9900						
10/01/2018	***-**-984I - DELUCA, SHARI	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00064868315	BUY 1 Units @52.3800						
10/01/2018	***-**-6000 - SMITH, KENNETH	THE GROWTH FUND OF AMERICA-C	9.20	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00083081099	BUY 0 Units @52.3800						
10/01/2018	***-**-4392 - GARCIA, MICHELLE	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @52.3800						
10/01/2018	***-**-05IN - RANDALL, ADAM	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085941585	BUY 0 Units @52.3800						
10/01/2018	***-**-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 @52.3800						
10/01/2018	***-**-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 @52.3800						
10/01/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	49.77	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089722785	BUY 1 Units @52.3800						
10/01/2018	***-**-4926 - HAUN, GARY	THE GROWTH FUND OF AMERICA-C	22.56	0.23	0.00	0.23	10.0	0.02
	ACCOUNT #: 04000492822	BUY 0 Units @52.3800						
10/01/2018	***-**-4926 - HAUN, GARY	THE GROWTH FUND OF AMERICA-C	112.80	1.13	0.00	1.13	10.0	0.11
	ACCOUNT #: 04000492822	BUY 2 Units @52.3800						
10/01/2018	***-**-1277 - ROBSON, BONNIE	THE GROWTH FUND OF AMERICA-C	20.22	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 04000868901	BUY 0 Units @52.3800						



# COMMISSION STATEMENT

## October 08, 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: FREDERIC SCARPULLA (continued)</u></b>								
10/01/2018	***-**-1277 - ROBSON, BONNIE	THE GROWTH FUND OF AMERICA-C	25.27	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 04000868901	BUY 0 Units @52.3800						
10/01/2018	***-**-5822 - CURATALO, JAMES	THE GROWTH FUND OF AMERICA-C	15.45	0.15	0.00	0.15	10.0	0.02
	ACCOUNT #: 04000783911	BUY 0 Units @52.3800						
10/01/2018	***-**-5822 - CURATALO, JAMES	THE GROWTH FUND OF AMERICA-C	19.31	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 04000783911	BUY 0 Units @52.3800						
10/02/2018	***-**-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 @52.1700						
10/02/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	17.57	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @52.1700						
10/05/2018	***-**-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 @51.0600						
10/05/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	17.03	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @51.0600						
10/01/2018	***-**-275P - PADULA, ANN	THE INCOME FUND OF AMERICA-A	6,500.00	130.00	0.00	130.00	10.0	13.00
	ACCOUNT #: 00068229865	BUY 273 Units @23.8400						
10/01/2018	***-**-545P - VISCA, ANGELO	THE INVESTMENT COMPANY OF AMERICA-A	100.00	2.75	0.00	2.75	10.0	0.28
	ACCOUNT #: 00063056262	BUY 2 Units @43.7600						
10/05/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	87.09	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 00066758342	BUY 2 Units @41.7600						
10/05/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	36.07	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00066758348	BUY 1 Units @41.7600						
10/05/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	28.46	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00073798048	BUY 1 Units @41.7600						
10/01/2018	***-**-9024 - HACKETT, ETHAN	THE NEW ECONOMY FUND-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00088123299	BUY 1 Units @44.0500						
10/01/2018	***-**-935J - RUSH, DONNA	THE TAX-EXEMPT BOND FUND OF AMERICA	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085296459	BUY 4 Units @12.7000						
10/01/2018	***-**-44UG - GUERRIERI,	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00085399145	BUY 20 Units @12.7000						
09/30/2018	***-**-206I - SANDERS, DAVID	VALUE FUND A	0.00	7.02	0.00	7.02	10.0	0.70
	ACCOUNT #: 03751730652	BUY 0 Units @0.0000						



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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>								
09/30/2018	***-**-9206 - SANDER, DAVID	VALUE FUND C	0.00	12.88	0.00	12.88	10.0	1.29
	ACCOUNT #: 03770488829	BUY 0 Units @0.0000						
10/01/2018	***-**-545P - VISCA, ANGELO	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	1.38	0.00	1.38	10.0	0.14
	ACCOUNT #: 00063056262	BUY 1 Units @48.6800						
10/05/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	174.12	1.74	0.00	1.74	10.0	0.17
	ACCOUNT #: 00066758345	BUY 4 Units @46.6700						
10/01/2018	***-**-984I - DELUCA, SHARI	WASHINGTON MUTUAL INVESTORS FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00064868315	BUY 1 Units @46.3600						
10/01/2018	***-**-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 @46.3600						
10/01/2018	***-**-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 @46.3600						
10/01/2018	***-**-4926 - HAUN, GARY	WASHINGTON MUTUAL INVESTORS FUND-C	16.92	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 04000492822	BUY 0 Units @46.3600						
10/01/2018	***-**-4926 - HAUN, GARY	WASHINGTON MUTUAL INVESTORS FUND-C	84.60	0.85	0.00	0.85	10.0	0.09
	ACCOUNT #: 04000492822	BUY 2 Units @46.3600						
10/04/2018	***-**-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 @46.2800						
	<b>* FREDERIC SCARPULLA SUBTOTAL *</b>		<b>\$15,212.27</b>	<b>\$15,193.70</b>	<b>\$0.00</b>	<b>\$15,193.70</b>		<b>\$1,519.73</b>
<b> <u>BROKER: WILLIAM AGNELLO</u> </b>								
09/30/2018	***-**-91IN - IRWIN, STEVEN	CAPITAL APPRECIATION A	0.00	0.26	0.00	0.26	25.0	0.07
	ACCOUNT #: 03211657888	BUY 0 Units @0.0000						
09/30/2018	***-**-28IN - CUP, ANDREW	OPPENHEIMER DISCOVERY CLASS A	0.00	23.27	0.00	23.27	25.0	5.82
	ACCOUNT #: 05005497591	BUY 0 Units @0.0000						
09/30/2018	***-**-54VA - FANTAUZZO, EVA	PRUDENTIAL VA TRAILS 74429P110	0.00	2.36	0.00	2.36	25.0	0.59
	ACCOUNT #: E1438479	BUY 0 Units @0.0000						
09/30/2018	***-**-39IN - IRWIN, DIANE	PRUDENTIAL VA TRAILS 74429P128	0.00	85.38	0.00	85.38	25.0	21.35
	ACCOUNT #: E1312746	BUY 0 Units @0.0000						
09/30/2018	***-**-236I - IRWIN, CHARLES	PRUDENTIAL VA TRAILS 74429P128	0.00	409.82	0.00	409.82	25.0	102.46
	ACCOUNT #: E1442312	BUY 0 Units @0.0000						
	<b>* WILLIAM AGNELLO SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$521.09</b>	<b>\$0.00</b>	<b>\$521.09</b>		<b>\$130.29</b>



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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: JAMES LOMBARDO</u> </b>								
10/01/2018	***-**-6802 - NAKANO, AMELIA	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00082853395	BUY 2 Units @29.4700						
10/01/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 04000460394	BUY 2 Units @29.7100						
10/01/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 04000460402	BUY 2 Units @29.7100						
10/01/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	100.00	5.00	0.00	5.00	15.0	0.75
	ACCOUNT #: 00087068370	BUY 3 Units @29.7100						
10/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	110.00	5.50	0.00	5.50	15.0	0.83
	ACCOUNT #: 00088153955	BUY 4 Units @29.6700						
09/28/2018	***-**-2389 - SHAW, KIMBERLY	HARTFORD LIFE TRAILS	0.00	79.94	0.00	79.94	15.0	11.99
	ACCOUNT #: 711271021	BUY 0 Units @0.0000						
09/30/2018	***-**-2582 - FERRAR, PATRICIA	ROCHESTER FUND MUNICIPALS A	0.00	83.93	0.00	83.93	15.0	12.59
	ACCOUNT #: 03651105500	BUY 0 Units @0.0000						
09/30/2018	***-**-9195 - FERRAR, ROLFE	ROCHESTER FUND MUNICIPALS A	0.00	39.59	0.00	39.59	15.0	5.94
	ACCOUNT #: 03651253373	BUY 0 Units @0.0000						
10/01/2018	***-**-6802 - NAKANO, AMELIA	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	15.0	0.23
	ACCOUNT #: 00082853395	BUY 4 Units @12.9500						
10/01/2018	***-**-3040 - KOTARY, BRANDY	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	15.0	0.23
	ACCOUNT #: 00087642268	BUY 4 Units @12.9500						
10/05/2018	***-**-3828 - DUSABLON, DANIEL	U.S. GOVERNMENT SECURITIES FUND CLA	150.00	4.50	0.00	4.50	15.0	0.68
	ACCOUNT #: 00084530390	BUY 11 Units @13.6600						
<b> * JAMES LOMBARDO SUBTOTAL * </b>			<b> \$610.00 </b>	<b> \$228.59 </b>	<b> \$0.00 </b>	<b> \$228.59 </b>		<b> \$34.32 </b>
<b> *** OVERRIDE TRANSACTIONS TOTAL *** </b>			<b> \$15,822.27 </b>	<b> \$24,191.86 </b>	<b> \$0.00 </b>	<b> \$24,191.86 </b>		<b> \$2,767.29 </b>



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER COMMISSION TOTALS								
						Broker Transactions		\$5,448.12
						Split Transactions		\$0.00
						Override Transactions		\$2,767.29
						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		\$8,215.41
						Year-to-date Earnings		\$96,787.67