

October 22, 2018

FREDERIC SCARPULLA

400 West Metro Park Rochester, NY 14623 BROKER #: 417

DATE	CLIENT	INVESTMENT		INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
PRODUCT	CATEGORY: MUTUAL FUNDS		BROKER	TRANSACTIONS					
	8 ***-**-395P - DIVASTA, ANTHONY ACCOUNT #: 00059597416	AMERICAN BALANCED FUND-ABUY 2 Units @28.3000		50.00	1.88	0.00	1.88	80.0	1.50
10/15/2018	8 ***-**-535P - DELGAIZO, ACCOUNT #: 00068454444	AMERICAN BALANCED FUND-ABUY 2 Units @28.4500		50.00	2.13	0.00	2.13	80.0	1.70
10/15/2018	8 ***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00068454445	AMERICAN BALANCED FUND-ABUY 2 Units @28.4500		50.00	2.13	0.00	2.13	80.0	1.70
10/18/2018	8 ***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	AMERICAN BALANCED FUND-ABUY 1 Units @27.0900		20.00	0.20	0.00	0.20	80.0	0.16
10/18/2018	8 ***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	AMERICAN BALANCED FUND-ABUY 1 Units @27.0900		20.00	0.20	0.00	0.20	80.0	0.16
10/18/2018	8 ***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	AMERICAN BALANCED FUND-ABUY 0 Units @27.0900		10.00	0.10	0.00	0.10	80.0	0.08
10/18/2018	8 ***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	AMERICAN BALANCED FUND-ABUY 0 Units @27.0900		10.00	0.10	0.00	0.10	80.0	0.08
10/15/2018	8 ***-**-801R - ROBERTS, ACCOUNT #: LSR011795	AMERICAN BALANCED FUND-C BUY 3 Units @26.8500	!	90.00	0.90	3.00	-2.10	100.0	-2.10
10/15/2018	8 ***-**-3834 - SWARTWOUT, ACCOUNT #: 00089957234	AMERICAN BALANCED FUND-C BUY 2 Units @26.8500	!	50.00	0.50	0.00	0.50	80.0	0.40
10/15/2018	8 ***-**-36IN - SILLUZIO, THOMAS ACCOUNT #: 00068088908	AMERICAN BALANCED FUND-C BUY 2 Units @26.8500	!	50.00	0.50	0.00	0.50	80.0	0.40
10/15/2018	8 ***-**-315P - SILLUZIO, JUSTIN ACCOUNT #: 00068803650	AMERICAN BALANCED FUND-C BUY 2 Units @26.8500	!	50.00	0.50	0.00	0.50	80.0	0.40
10/15/2018	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087429936	AMERICAN BALANCED FUND-C BUY 2 Units @26.8500	!	50.00	0.50	0.00	0.50	80.0	0.40
10/15/2018	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	AMERICAN BALANCED FUND-C BUY 1 Units @26.8500	!	40.00	0.40	0.00	0.40	80.0	0.32
10/15/2018	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @26.8500	!	12.00	0.12	0.00	0.12	80.0	0.10
10/15/2018	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 6 Units @26.8500	!	160.00	1.60	0.00	1.60	80.0	1.28
10/15/2018	8 ***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	AMERICAN BALANCED FUND-C BUY 1 Units @26.8500	!	20.47	0.20	0.00	0.20	80.0	0.16



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DDODUGE	GAMEGODY MININA HADDS (comb		TRANSACTIONS	(continu	ed)				
	CATEGORY: MUTUAL FUNDS (cont 8 ***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 1 Units @26.9000		28.05	0.28	0.00	0.28	80.0	0.22
10/18/201	8 ***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	AMERICAN BALANCED FUND-C BUY 0 Units @26.9000		3.63	0.04	0.00	0.04	80.0	0.03
10/18/201	8 ***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @26.9000		1.78	0.02	0.00	0.02	80.0	0.02
10/18/201	8 ***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN BALANCED FUND-C BUY 0 Units @26.9000		6.00	0.06	0.00	0.06	80.0	0.05
10/18/201	8 ***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 1 Units @26.9000		16.00	0.16	0.00	0.16	80.0	0.13
10/18/201	8 ***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	AMERICAN BALANCED FUND-C BUY 0 Units @26.9000		4.77	0.05	0.00	0.05	80.0	0.04
10/19/201	8 ***-**-3834 - SWARTWOUT, ACCOUNT #: 00089957234	AMERICAN BALANCED FUND-C BUY 2 Units @26.8700		50.00	0.50	0.00	0.50	80.0	0.40
10/19/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 0 Units @26.8700		12.00	0.12	0.00	0.12	80.0	0.10
10/19/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	AMERICAN BALANCED FUND-C BUY 6 Units @26.8700		160.00	1.60	0.00	1.60	80.0	1.28
10/18/201	8 ***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGE BUY 1 Units @18.4600	T DATE-C	9.32	0.09	0.00	0.09	80.0	0.07
10/18/201	8 ***-**-4478 - YACONO, JOSEPH ACCOUNT #: 04000820464	AMERICAN FUNDS 2055 TARGE BUY 3 Units @18.4600	T DATE-C	55.92	0.56	0.00	0.56	80.0	0.45
10/18/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUS	T-C	4.55	0.05	0.00	0.05	80.0	0.04
10/18/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUS	T-C	105.00	1.05	0.00	1.05	80.0	0.84
10/18/201	8 ***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	AMERICAN MUTUAL FUND-A BUY 1 Units @41.5400		30.00	0.30	0.00	0.30	80.0	0.24
10/18/201	8 ***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	AMERICAN MUTUAL FUND-A BUY 1 Units @41.5400		30.00	0.30	0.00	0.30	80.0	0.24
10/18/201	8 ***-**-255P - EVANS, JAMES ACCOUNT #: 00066759711	AMERICAN MUTUAL FUND-A BUY 14 Units @41.5400		600.00	6.00	0.00	6.00	80.0	4.80



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DDODIICT.	CATEGORY: MUTUAL FUNDS (cont		TRANSACTIONS	(continu	ed)				
	8 ***-**-255P - EVANS, JAMES ACCOUNT #: 00066759711	AMERICAN MUTUAL FUND-A BUY 14 Units @41.5400		561.68	5.62	0.00	5.62	80.0	4.50
10/15/201	8 ***-**-01UG - DIGIOVANNI, ACCOUNT #: 00087087389	AMERICAN MUTUAL FUND-C BUY 4 Units @40.7000		150.00	1.50	0.00	1.50	80.0	1.20
10/15/201	8 ***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	AMERICAN MUTUAL FUND-C BUY 0 Units @40.7000		5.00	0.05	0.00	0.05	80.0	0.04
10/18/201	8 ***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @40.9300		1.48	0.01	0.00	0.01	80.0	0.01
10/18/201	8 ***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @40.9300		5.00	0.05	0.00	0.05	80.0	0.04
10/01/201	8 ***-**-772I - KERHAERT, ACCOUNT #: 03222178044	CAPITAL APPRECIATION C BUY 0 Units @0.0000		50.00	0.50	0.00	0.50	80.0	0.40
10/02/201	8 ***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 03222325444	CAPITAL APPRECIATION C BUY 0 Units @0.0000		64.02	0.64	0.00	0.64	80.0	0.51
10/04/201	8 ***-**-7330 - JOHNSON, DONALD ACCOUNT #: 03220387068	CAPITAL APPRECIATION C BUY 0 Units @0.0000		50.00	0.50	0.00	0.50	80.0	0.40
10/04/201	8 ***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03222192157	CAPITAL APPRECIATION C BUY 0 Units @0.0000		68.00	0.68	0.00	0.68	80.0	0.54
10/04/201	8 ***-**-1834 - BUTLER, KIM ACCOUNT #: 03222200176	CAPITAL APPRECIATION C BUY 0 Units @0.0000		20.00	0.20	0.00	0.20	80.0	0.16
10/12/201	8 ***-**-7330 - JOHNSON, DONALD ACCOUNT #: 03220387068	CAPITAL APPRECIATION C BUY 0 Units @0.0000		50.00	0.50	0.00	0.50	80.0	0.40
10/12/201	8 ***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03222192157	CAPITAL APPRECIATION C BUY 0 Units @0.0000		68.00	0.68	0.00	0.68	80.0	0.54
10/12/201	8 ***-**-1834 - BUTLER, KIM ACCOUNT #: 03222200176	CAPITAL APPRECIATION C BUY 0 Units @0.0000		20.00	0.20	0.00	0.20	80.0	0.16
10/15/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	CAPITAL WORLD GROWTH AND BUY 1 Units @47.6700	INCOME FUN	30.00	0.30	0.00	0.30	80.0	0.24
10/15/201	8 ***-**-01ug - DIGIOVANNI, ACCOUNT #: 00087087389	CAPITAL WORLD GROWTH AND BUY 3 Units @47.6700	INCOME FUN	150.00	1.50	0.00	1.50	80.0	1.20
10/18/201	8 ***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	CAPITAL WORLD GROWTH AND BUY 0 Units @48.1000	INCOME FUN	20.00	0.20	0.00	0.20	80.0	0.16



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OUNT #: 00066758344 -**-96CL - SCARPULLA, OUNT #: 00087038420 -**-96CL - SCARPULLA, OUNT #: 00087038420 -**-85IN - MAZZOLA, BARBARA OUNT #: 00100051019 -**-85IN - MAZZOLA, BARBARA	inued) CAPITAL WORLD GROWTH AND BUY 0 Units @48.1000 CAPITAL WORLD GROWTH AND BUY 2 Units @47.5700 CAPITAL WORLD GROWTH AND BUY 0 Units @47.5700 EMERGING MARKETS INNOVATO BUY 0 Units @0.0000	INCOME FUN	20.00 96.40 3.60	0.20 0.96 0.04	0.00	0.96	80.0	0.16 0.77
-*-405P - FRISA, ALAN OUNT #: 00066758344 -**-96CL - SCARPULLA, OUNT #: 00087038420 -**-96CL - SCARPULLA, OUNT #: 00087038420 -**-85IN - MAZZOLA, BARBARA OUNT #: 00100051019 -**-85IN - MAZZOLA, BARBARA	CAPITAL WORLD GROWTH AND BUY 0 Units @48.1000 CAPITAL WORLD GROWTH AND BUY 2 Units @47.5700 CAPITAL WORLD GROWTH AND BUY 0 Units @47.5700 EMERGING MARKETS INNOVATO BUY 0 Units @0.0000	INCOME FUN	96.40	0.96	0.00	0.96		
OUNT #: 00066758344 -**-96CL - SCARPULLA, OUNT #: 00087038420 -**-96CL - SCARPULLA, OUNT #: 00087038420 -**-85IN - MAZZOLA, BARBARA OUNT #: 00100051019 -**-85IN - MAZZOLA, BARBARA	BUY 0 Units @48.1000 CAPITAL WORLD GROWTH AND BUY 2 Units @47.5700 CAPITAL WORLD GROWTH AND BUY 0 Units @47.5700 EMERGING MARKETS INNOVATO BUY 0 Units @0.0000	INCOME FUN	96.40	0.96	0.00	0.96		
OUNT #: 00087038420 -**-96CL - SCARPULLA, OUNT #: 00087038420 -**-85IN - MAZZOLA, BARBARA OUNT #: 00100051019 -**-85IN - MAZZOLA, BARBARA	BUY 2 Units @47.5700 CAPITAL WORLD GROWTH AND BUY 0 Units @47.5700 EMERGING MARKETS INNOVATO BUY 0 Units @0.0000	INCOME FUN					80.0	0.77
OUNT #: 00087038420 -**-85IN - MAZZOLA, BARBARA OUNT #: 00100051019 -**-85IN - MAZZOLA, BARBARA	BUY 0 Units @47.5700 EMERGING MARKETS INNOVATO BUY 0 Units @0.0000		3.60	0.04	0.00			
OUNT #: 00100051019 -**-85IN - MAZZOLA, BARBARA	BUY 0 Units @0.0000	RS FUND C				0.04	80.0	0.03
			7.50	0.08	0.00	0.08	80.0	0.06
OON1 #: 00T0002T0TA	BUY 0 Units @0.0000	RS FUND C	7.50	0.08	0.00	0.08	80.0	0.06
	EQUITY INCOME FUND, INC. BUY 0 Units @0.0000	С	48.01	0.48	0.00	0.48	80.0	0.38
	EQUITY INCOME FUND, INC. BUY 0 Units @0.0000	С	50.00	0.50	0.00	0.50	80.0	0.40
	EUROPACIFIC GROWTH FUND C BUY 1 Units @47.8000	LASS C	50.00	0.50	0.00	0.50	80.0	0.40
, , , , , , , , , , , , , , , , , , , ,	FUNDAMENTAL INVESTORS-A BUY 0 Units @61.9100		25.00	0.25	0.00	0.25	80.0	0.20
· ·	FUNDAMENTAL INVESTORS-A BUY 0 Units @61.9100		25.00	0.25	0.00	0.25	80.0	0.20
,	FUNDAMENTAL INVESTORS-C BUY 0 Units @61.3900		6.00	0.06	0.00	0.06	80.0	0.05
•	FUNDAMENTAL INVESTORS-C BUY 1 Units @61.3900		80.00	0.80	0.00	0.80	80.0	0.64
,	FUNDAMENTAL INVESTORS-C BUY 0 Units @61.3900		5.00	0.05	0.00	0.05	80.0	0.04
,	FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600		18.00	0.18	0.00	0.18	80.0	0.14
·	FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600		7.00	0.07	0.00	0.07	80.0	0.06
· · · · · · · · · · · · · · · · ·	FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600		18.00	0.18	0.00	0.18	80.0	0.14
	UNT #: 00100051019 **-729I - GIAMBRONE, KELLY UNT #: 08370596090 **-6188 - ROBERTS, UNT #: 08370627385 **-43IN - BISHOP, EVELYN UNT #: 04000849605 **-495P - HARTER, EDWARD UNT #: 00066759710 **-495P - HARTER, EDWARD UNT #: 00066759710 **-96CL - SCARPULLA, UNT #: 00089051066 **-96CL - SCARPULLA, UNT #: 00089051066 **-1721 - TABER, LISA UNT #: 00085902226 **-1721 - TABER, LISA UNT #: 00085902226	### 00100051019 ## -729I - GIAMBRONE, KELLY EQUITY INCOME FUND, INC. ## 08370596090 ## -6188 - ROBERTS, EQUITY INCOME FUND, INC. ## 08370627385 ## 04000849605 ## 04000849605 ## 1 Units @47.8000 ## -495P - HARTER, EDWARD ## 00066759710 ## 00066759710 ## 00066759710 ## 00089051066 ## -96CL - SCARPULLA, FUNDAMENTAL INVESTORS-C ## UNT #: 00089051066 ## -482I - MARCONI, TODD ## 00089570936 ## 1 Units @61.3900 ## -1721 - TABER, LISA ## 100085902226 ## -1721 - TABER, LISA ## FUNDAMENTAL INVESTORS-C ## 100085902226 ## -1721 - TABER, LISA ## 100085902226 ## -8667 - BRONGO, ROBERT ## 1000A0000 ## 100080000 ## 100080000 ## 100085902226 ## 10008590226 ## 10008590226 ## 10008590226 ## 10008590226 ## 10008590226 ## 10008590226 ## 10008590226 ## 10008590226 ## 10008590226 ## 10008590226 ## 10008590226 ## 10008590226 ## 10008590226 ## 10008590226 ## 10008590226 ## 10008590226 ## 1000859026 ## 1000859026 ## 1000859026 ## 1000859026 ## 1000859026 ## 1000859026 ## 10008	**-729I - GIAMBRONE, KELLY EQUITY INCOME FUND, INC. C UNT #: 08370596090 **-6188 - ROBERTS, EQUITY INCOME FUND, INC. C UNT #: 08370627385 BUY 0 Units @0.0000 **-43IN - BISHOP, EVELYN EUROPACIFIC GROWTH FUND CLASS C UNT #: 04000849605 BUY 1 Units @47.8000 **-495P - HARTER, EDWARD FUNDAMENTAL INVESTORS-A UNT #: 00066759710 BUY 0 Units @61.9100 **-495P - HARTER, EDWARD FUNDAMENTAL INVESTORS-A UNT #: 00066759710 BUY 0 Units @61.9100 **-96CL - SCARPULLA, FUNDAMENTAL INVESTORS-C UNT #: 00089051066 BUY 0 Units @61.3900 **-96CL - SCARPULLA, FUNDAMENTAL INVESTORS-C UNT #: 00089051066 BUY 1 Units @61.3900 **-482I - MARCONI, TODD FUNDAMENTAL INVESTORS-C UNT #: 00089570936 BUY 0 Units @61.3900 **-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C UNT #: 00085902226 BUY 0 Units @61.5600 **-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C UNT #: 00085902226 BUY 0 Units @61.5600 **-8667 - BRONGO, ROBERT FUNDAMENTAL INVESTORS-C	UNT #: 00100051019 BUY 0 Units @0.0000 **-729I - GIAMBRONE, KELLY EQUITY INCOME FUND, INC. C 48.01 UNT #: 08370596090 BUY 0 Units @0.0000 **-6188 - ROBERTS, EQUITY INCOME FUND, INC. C 50.00 UNT #: 08370627385 BUY 0 Units @0.0000 **-43IN - BISHOP, EVELYN EUROPACIFIC GROWTH FUND CLASS C 50.00 UNT #: 04000849605 BUY 1 Units @47.8000 **-495P - HARTER, EDWARD FUNDAMENTAL INVESTORS-A 25.00 UNT #: 00066759710 BUY 0 Units @61.9100 **-495P - HARTER, EDWARD FUNDAMENTAL INVESTORS-A 25.00 UNT #: 00066759710 BUY 0 Units @61.9100 **-96CL - SCARPULLA, FUNDAMENTAL INVESTORS-C 6.00 UNT #: 00089051066 BUY 0 Units @61.3900 **-96CL - SCARPULLA, FUNDAMENTAL INVESTORS-C 80.00 UNT #: 00089051066 BUY 1 Units @61.3900 **-482I - MARCONI, TODD FUNDAMENTAL INVESTORS-C 5.00 UNT #: 00089570936 BUY 0 Units @61.3900 **-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C 18.00 UNT #: 00085902226 BUY 0 Units @61.5600 **-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C 7.00 UNT #: 00085902226 BUY 0 Units @61.5600 **-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C 7.00 UNT #: 00085902226 BUY 0 Units @61.5600 **-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C 7.00 UNT #: 00085902226 BUY 0 Units @61.5600 **-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C 7.00 UNT #: 00085902226 BUY 0 Units @61.5600	#*-729I - GIAMBRONE, KELLY EQUITY INCOME FUND, INC. C 48.01 0.48 UNT #: 08370596090 BUY 0 Units @0.0000	UNT #: 0010051019 BUY 0 Units @0.0000 **-729I - GIAMBRONE, KELLY EQUITY INCOME FUND, INC. C 48.01 0.48 0.00 UNT #: 08370596090 BUY 0 Units @0.0000 **-6188 - ROBERTS, EQUITY INCOME FUND, INC. C 50.00 0.50 0.00 W*-6188 - ROBERTS, EQUITY INCOME FUND, INC. C 50.00 0.50 0.00 W*-43IN - BISHOP, EVELYN EUROPACIFIC GROWTH FUND CLASS C 50.00 0.50 0.00 UNT #: 04000849605 BUY 1 Units @47.8000 **-495P - HARTER, EDWARD FUNDAMENTAL INVESTORS-A 25.00 0.25 0.00 UNT #: 00066759710 BUY 0 Units @61.9100 **-495P - HARTER, EDWARD FUNDAMENTAL INVESTORS-A 25.00 0.25 0.00 UNT #: 00066759710 BUY 0 Units @61.9100 **-96CL - SCARPULLA, FUNDAMENTAL INVESTORS-C 6.00 0.06 0.00 UNT #: 00089051066 BUY 0 Units @61.3900 **-96CL - SCARPULLA, FUNDAMENTAL INVESTORS-C 80.00 0.80 0.00 UNT #: 00089051066 BUY 1 Units @61.3900 **-482I - MARCONI, TODD FUNDAMENTAL INVESTORS-C 5.00 0.05 0.00 UNT #: 00089570936 BUY 0 Units @61.3900 **-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C 18.00 0.18 0.00 UNT #: 00085902226 BUY 0 Units @61.5600 **-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C 7.00 0.07 0.00 UNT #: 00085902226 BUY 0 Units @61.5600 **-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C 7.00 0.07 0.00 UNT #: 00085902226 BUY 0 Units @61.5600 **-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C 7.00 0.07 0.00 UNT #: 00085902226 BUY 0 Units @61.5600 **-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C 7.00 0.07 0.00 UNT #: 0008590226 BUY 0 Units @61.5600	#**-799I - GIAMBRONE, KELLY EQUITY INCOME FUND, INC. C 48.01 0.48 0.00 0.48 UNT #: 08370596090 EUY 0 Units @0.0000 ***-799I - GIAMBRONE, KELLY EQUITY INCOME FUND, INC. C 48.01 0.48 0.00 0.48 UNT #: 08370596090 EUY 0 Units @0.0000 ***-6188 - ROBERTS, EQUITY INCOME FUND, INC. C 50.00 0.50 0.00 0.50 UNT #: 08370627385 EUY 0 Units @0.0000 ***-431N - BISHOP, EVELYN EUROPACIFIC GROWTH FUND CLASS C 50.00 0.50 0.00 0.50 0.00 0.50 UNT #: 04000849605 EUY 1 Units @47.8000 EUY 1 Units @47.8000 EUY 1 Units @47.8000 0.25 0.00 0.25 0.00 0.25 0.00 0.25 UNT #: 00066759710 EUY 0 Units @61.9100 E**-495P - HARTER, EDWARD FUNDAMENTAL INVESTORS-A EUY 0 Units @61.9100 E**-96CL - SCARFULLA, FUNDAMENTAL INVESTORS-C EUXT #: 00089051066 EUY 0 Units @61.3900 E**-96CL - SCARFULLA, FUNDAMENTAL INVESTORS-C EUXT #: 00089051066 EUY 1 Units @61.3900 E**-482I - MARCONI, TODD FUNDAMENTAL INVESTORS-C EUXT #: 00089051066 EUY 0 Units @61.3900 E**-482I - MARCONI, TODD FUNDAMENTAL INVESTORS-C EUXT #: 00089570936 EUY 0 Units @61.3900 E**-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C EUXT #: 00089570936 EUY 0 Units @61.3900 E**-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C EUXT #: 000895902226 EUY 0 Units @61.5600 EX**-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C EUXT #: 000895902226 EUY 0 Units @61.5600 EX**-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C EUXT #: 00085902226 EUY 0 Units @61.5600 EX**-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C EUXT #: 00085902226 EUX 0 Units @61.5600 EX**-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C EUXT #: 00085902226 EUX 0 Units @61.5600 EX**-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C EUXT #: 00085902226 EUX 0 Units @61.5600 EX**-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C EUXT #: 00085902226 EUX 0 Units @61.5600 EX**-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C EUXT #: 00085902226 EUX 0 Units @61.5600 EX**-1721 - TABER, LISA EUXT #: 00085902226 EUX 0 UNITS @61.5600 EX**-1721 - TABER, LISA EUXT #: 00085902226 EUX 0 UNITS @61.5600 EX**-1721 - TABER, LISA EUXT #: 00085902226 EUX 0 UNITS @61.5600 EX**-1721 - TABER, LISA EUXT #: 0008590	UNT #: 00100051019 BUY 0 Units @0.0000 **-729I - GIAMBRONE, KELLY EQUITY INCOME FUND, INC. C 48.01 0.48 0.00 0.48 80.0 UNT #: 08370596090 BUY 0 Units @0.0000 **-6188 - ROBERTS, EQUITY INCOME FUND, INC. C 50.00 0.50 0.00 0.50 80.0 **-431N - BISHOP, EVELYN EUROPACIFIC GROWTH FUND CLASS C UNT #: 0400849605 BUY 1 Units @47.8000 **-495P - HARTER, EDWARD FUNDAMENTAL INVESTORS-A BUY 0 Units @61.9100 **-495P - HARTER, EDWARD BUY 0 Units @61.9100 **-495P - HARTER, EDWARD BUY 0 Units @61.9100 **-96CL - SCARPULLA, FUNDAMENTAL INVESTORS-C BUY 0 Units @61.3900 **-96CL - SCARPULLA, FUNDAMENTAL INVESTORS-C BUY 0 Units @61.3900 **-482I - MARCONI, TODD FUNDAMENTAL INVESTORS-C BUY 1 Units @61.3900 **-482I - MARCONI, TODD FUNDAMENTAL INVESTORS-C BUY 1 Units @61.3900 **-1721 - TABER, LISA BUY 0 Units @61.5600 **-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600 **-1721 - TABER, LISA FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600 **-18667 - BRONGO, ROBERT FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600 **-8667 - BRONGO, ROBERT FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600 **-8667 - BRONGO, ROBERT FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600 **-8667 - BRONGO, ROBERT FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600 **-8667 - BRONGO, ROBERT FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600 **-8667 - BRONGO, ROBERT FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600 **-8667 - BRONGO, ROBERT FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600 **-8667 - BRONGO, ROBERT FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600 **-8667 - BRONGO, ROBERT FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600 **-8667 - BRONGO, ROBERT FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600



October 22, 2018

FREDERIC SCARPULLA

400 West Metro Park Rochester, NY 14623 BROKER #: 417

DATE	CLIENT	INVESTMENT		ESTMENT AMOUNT C	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
DBODII(#	CATEGORY: MUTUAL FUNDS (cont		TRANSACTIONS	(continue	d)				
	8 ***-*-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5600		2.24	0.02	0.00	0.02	80.0	0.02
10/19/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 1 Units @61.5300		80.00	0.80	0.00	0.80	80.0	0.64
10/19/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @61.5300		6.00	0.06	0.00	0.06	80.0	0.05
10/02/201	8 ***-**-90FB - DIODATO, CAROL ACCOUNT #: 02171777391	GLOBAL OPPORTUNITIES FUND BUY 0 Units @0.0000	С	50.00	0.50	0.00	0.50	80.0	0.40
10/02/201	8 ***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 02171800557	GLOBAL OPPORTUNITIES FUND BUY 0 Units @0.0000	С	25.00	0.25	0.00	0.25	80.0	0.20
10/02/201	8 ***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 02171875445	GLOBAL OPPORTUNITIES FUND BUY 0 Units @0.0000	С	80.02	0.80	0.00	0.80	80.0	0.64
10/02/201	8 ***-**-9530 - MILAM, IAN ACCOUNT #: 02171914814	GLOBAL OPPORTUNITIES FUND BUY 0 Units @0.0000	С	37.50	0.38	0.00	0.38	80.0	0.30
10/04/201	8 ***-**-85IN - MAZZOLA, BARBARA ACCOUNT #: 02171893331	GLOBAL OPPORTUNITIES FUND BUY 0 Units @0.0000	С	15.00	0.15	0.00	0.15	80.0	0.12
10/04/201	8 ***-**-7330 - JOHNSON, DONALD ACCOUNT #: 02171798599	GLOBAL OPPORTUNITIES FUND BUY 0 Units @0.0000	С	50.00	0.50	0.00	0.50	80.0	0.40
10/12/201	8 ***-**-85IN - MAZZOLA, BARBARA ACCOUNT #: 02171893331	GLOBAL OPPORTUNITIES FUND BUY 0 Units @0.0000	С	15.00	0.15	0.00	0.15	80.0	0.12
10/12/201	8 ***-**-7330 - JOHNSON, DONALD ACCOUNT #: 02171798599	GLOBAL OPPORTUNITIES FUND BUY 0 Units @0.0000	С	50.00	0.50	0.00	0.50	80.0	0.40
10/15/201	8 ***-**-90FB - DIODATO, CAROL ACCOUNT #: 02171777391	GLOBAL OPPORTUNITIES FUND BUY 0 Units @0.0000	С	50.00	0.50	0.00	0.50	80.0	0.40
10/18/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLA BUY 2 Units @22.2100	ASS C	45.00	0.45	0.00	0.45	80.0	0.36
10/18/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	INCOME FUND OF AMERICA CLA BUY 0 Units @22.2100	ASS C	1.95	0.02	0.00	0.02	80.0	0.02
10/15/201	8 ***-**-564I - CARNEY, BARBARA ACCOUNT #: 00089563161	INVESTMENT COMPANY OF AMED BUY 0 Units @39.6700	RICA CLASS	10.00	0.10	0.00	0.10	80.0	0.08
10/15/201	8 ***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	INVESTMENT COMPANY OF AMED BUY 1 Units @39.6700	RICA CLASS	19.86	0.20	0.00	0.20	80.0	0.16



October 22, 2018

FREDERIC SCARPULLA

400 West Metro Park Rochester, NY 14623 BROKER #: 417

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
PRODUCT (CATEGORY: MUTUAL FUNDS (cont	BROKER TRANSACTIO	ONS (continu	ıed)				
	· · · · · · · · · · · · · · · · · · ·	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @39.6700	50.00	0.50	0.00	0.50	80.0	0.40
10/15/2018	3 ***-**-4232 - DIODATO, MELISSA ACCOUNT #: 04000618245	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @39.6700	50.00	0.50	0.00	0.50	80.0	0.40
10/18/2018	3 ***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @39.7500	28.90	0.29	0.00	0.29	80.0	0.23
10/18/2018	3 ***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @39.7500	3.74	0.04	0.00	0.04	80.0	0.03
10/18/2018	3 ***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @39.7500	4.00	0.04	0.00	0.04	80.0	0.03
10/18/2018	3 ***-**-2081 - SHELHAMER, DIANE ACCOUNT #: 00085904210	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @39.7500	1.19	0.01	0.00	0.01	80.0	0.01
10/02/2018	3 ***-**-7291 - GIAMBRONE, KELLY ACCOUNT #: 07024326366	MAIN STREET FUND C BUY 0 Units @0.0000	80.02	0.80	0.00	0.80	80.0	0.64
10/02/2018	3 ***-**-90FB - DIODATO, CAROL ACCOUNT #: 07024358024	MAIN STREET FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
10/02/2018	3 ***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 07024397338	MAIN STREET FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
10/02/2018	3 ***-**-9530 - MILAM, IAN ACCOUNT #: 07024527061	MAIN STREET FUND C BUY 0 Units @0.0000	75.00	0.75	0.00	0.75	80.0	0.60
10/04/2018	3 ***-**-4980 - MOYER, COLLEEN ACCOUNT #: 07024431823	MAIN STREET FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
10/04/2018	3 ***-**-6603 - JOHNSON, TERRY ACCOUNT #: 07024184114	MAIN STREET FUND C BUY 0 Units @0.0000	66.00	0.66	0.00	0.66	80.0	0.53
10/04/2018	3 ***-**-7330 - JOHNSON, DONALD ACCOUNT #: 07024393312	MAIN STREET FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
10/12/2018	3 ***-**-6603 - JOHNSON, TERRY ACCOUNT #: 07024184114	MAIN STREET FUND C BUY 0 Units @0.0000	66.00	0.66	0.00	0.66	80.0	0.53
10/12/2018	3 ***-**-7330 - JOHNSON, DONALD ACCOUNT #: 07024393312	MAIN STREET FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
10/15/2018	3 ***-**-4980 - MOYER, COLLEEN ACCOUNT #: 07024431823	MAIN STREET FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20



October 22, 2018

FREDERIC SCARPULLA

400 West Metro Park Rochester, NY 14623 BROKER #: 417

DATE	CLIENT	INVESTMENT		/ESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
DDODUGE	GAMEGODY: MUNICIPAL HANDS (TRANSACTIONS	(continue	ed)				
	CATEGORY: MUTUAL FUNDS (CON: 8 ***-**-90FB - DIODATO, CAROL ACCOUNT #: 07024358024	MAIN STREET FUND C BUY 0 Units @0.0000		50.00	0.50	0.00	0.50	80.0	0.40
10/15/201	.8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @41.4600		6.00	0.06	0.00	0.06	80.0	0.05
10/15/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 2 Units @41.4600		80.00	0.80	0.00	0.80	80.0	0.64
10/18/201	.8 ***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 1 Units @41.5500		21.00	0.21	0.00	0.21	80.0	0.17
10/18/201	.8 ***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @41.5500		8.17	0.08	0.00	0.08	80.0	0.06
10/18/201	.8 ***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	NEW PERSPECTIVE FUND-C BUY 0 Units @41.5500		2.50	0.03	0.00	0.03	80.0	0.02
10/18/201	.8 ***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	NEW PERSPECTIVE FUND-C BUY 0 Units @41.5500		2.50	0.03	0.00	0.03	80.0	0.02
10/18/201	.8 ***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 1 Units @41.5500		21.00	0.21	0.00	0.21	80.0	0.17
10/18/201	.8 ***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @41.5500		2.62	0.03	0.00	0.03	80.0	0.02
10/19/201	.8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 2 Units @41.5000		80.00	0.80	0.00	0.80	80.0	0.64
10/19/201	.8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @41.5000		6.00	0.06	0.00	0.06	80.0	0.05
10/18/201	.8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	NEW WORLD FUND-C BUY 1 Units @57.5600		48.20	0.48	0.00	0.48	80.0	0.38
10/18/201	.8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	NEW WORLD FUND-C BUY 0 Units @57.5600		1.80	0.02	0.00	0.02	80.0	0.02
10/18/201	.8 ***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @57.5600		21.00	0.21	0.00	0.21	80.0	0.17
10/18/201	.8 ***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @57.5600		2.62	0.03	0.00	0.03	80.0	0.02
10/18/201	.8 ***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @57.5600		8.17	0.08	0.00	0.08	80.0	0.06



October 22, 2018

FREDERIC SCARPULLA

400 West Metro Park Rochester, NY 14623 BROKER #: 417

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
PRODUCT (CATEGORY: MUTUAL FUNDS (cont		CTIONS (continu	ıed)				
	8 ***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @57.5600	21.00	0.21	0.00	0.21	80.0	0.17
10/01/2018	3 ***-**-7072 - SMITH, DEBBIE ACCOUNT #: 06670037664	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	400.00	4.00	0.00	4.00	80.0	3.20
10/01/2018	3 ***-**-4143 - STONE, GEORGE ACCOUNT #: 06670037675	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	225.00	2.25	0.00	2.25	80.0	1.80
10/01/2018	8 ***-**-3526 - STONE, LINDA ACCOUNT #: 06670037686	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	180.00	1.80	0.00	1.80	80.0	1.44
10/04/2018	3 ***-**-3407 - SUTTELL, PAULA ACCOUNT #: 05470454740	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	80.0	0.80
10/04/2018	8 ***-**-56SI - ODELL, JULIE ACCOUNT #: 05470419034	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	80.0	0.80
10/12/2018	3 ***-**-3407 - SUTTELL, PAULA ACCOUNT #: 05470454740	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	80.0	0.80
10/12/2018	3 ***-**-56SI - ODELL, JULIE ACCOUNT #: 05470419034	OPP PORT SERIES: MOD INV FD C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	80.0	0.80
10/04/2018	8 ***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03322638581	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	66.00	0.66	0.00	0.66	80.0	0.53
10/12/2018	8 ***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03322638581	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	66.00	0.66	0.00	0.66	80.0	0.53
10/04/2018	8 ***-**-85IN - MAZZOLA, BARBARA ACCOUNT #: 01971104114	OPPENHEIMER INTERNATIONAL DIVERSIF BUY 0 Units @0.0000	7.50	0.08	0.00	0.08	80.0	0.06
10/12/2018	3 ***-**-85IN - MAZZOLA, BARBARA ACCOUNT #: 01971104114	OPPENHEIMER INTERNATIONAL DIVERSIF BUY 0 Units @0.0000	7.50	0.08	0.00	0.08	80.0	0.06
10/02/2018	8 ***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 08491596925	OPPENHEIMER MAIN STREET SMALL CAP BUY 0 Units @0.0000	F 48.02	0.48	0.00	0.48	80.0	0.38
10/02/2018	8 ***-**-541P - SCHILLACI, AMY ACCOUNT #: 02271188506	OPPENHEIMER RISING DIVIDENDS FUND BUY 0 Units @0.0000	C 50.00	0.50	0.00	0.50	80.0	0.40
10/02/2018	8 ***-**-1314 - BENEDETTO, ACCOUNT #: 02270934318	OPPENHEIMER RISING DIVIDENDS FUND BUY 0 Units @0.0000	C 125.00	1.25	0.00	1.25	80.0	1.00
10/02/2018	8 ***-**-655P - DAVIS, BERTHA ACCOUNT #: 02271237808	OPPENHEIMER RISING DIVIDENDS FUND BUY 0 Units @0.0000	C 25.00	0.25	0.00	0.25	80.0	0.20



October 22, 2018

FREDERIC SCARPULLA

400 West Metro Park Rochester, NY 14623 BROKER #: 417

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
PRODUCT	CATEGORY: MUTUAL FUNDS (cont	BROKER TRANSACTION	ONS (contin	ued)				
	8 ***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02271217095	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
10/04/201	.8 ***-**-6836 - SMITH, ADRIENNE ACCOUNT #: 02271182830	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
10/12/201	8 ***-**-6836 - SMITH, ADRIENNE ACCOUNT #: 02271182830	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
10/15/201	.8 ***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02271217095	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
10/01/201	.8 ***-**-772I - KERHAERT, ACCOUNT #: 02592262304	QUEST BALANCED FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
10/02/201	.8 ***-**-1314 - BENEDETTO, ACCOUNT #: 02592292741	QUEST BALANCED FUND C BUY 0 Units @0.0000	250.00	2.50	0.00	2.50	80.0	2.00
10/04/201	.8 ***-**-8706 - BOSCO, REN ACCOUNT #: 02590094105	QUEST BALANCED FUND C BUY 0 Units @0.0000	500.00	5.00	0.00	5.00	80.0	4.00
10/02/201	8 ***-**-2620 - CUSIMANO, MEGAN ACCOUNT #: 05920400103	REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
10/02/201	.8 ***-**-9530 - MILAM, IAN ACCOUNT #: 05920429869	REAL ESTATE FUND C BUY 0 Units @0.0000	37.50	0.38	0.00	0.38	80.0	0.30
10/04/201	.8 ***-**-7330 - JOHNSON, DONALD ACCOUNT #: 05920398266	REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
10/12/201	.8 ***-**-7330 - JOHNSON, DONALD ACCOUNT #: 05920398266	REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	80.0	0.40
10/04/201	.8 ***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02531288969	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
10/04/201	.8 ***-**-1834 - BUTLER, KIM ACCOUNT #: 02531162106	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	20.00	0.20	0.00	0.20	80.0	0.16
10/12/201	8 ***-**-1834 - BUTLER, KIM ACCOUNT #: 02531162106	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	20.00	0.20	0.00	0.20	80.0	0.16
10/15/201	.8 ***-**-4980 - MOYER, COLLEEN ACCOUNT #: 02531288969	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
10/15/201	8 ***-**-43IN - BISHOP, EVELYN ACCOUNT #: 04000849605	SMALLCAP WORLD FUND-C BUY 1 Units @48.3300	50.00	0.50	0.00	0.50	80.0	0.40

October 22, 2018

FREDERIC SCARPULLA

400 West Metro Park Rochester, NY 14623 BROKER #: 417

DATE	CLIENT	INVESTMENT		STMENT OUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
DDODUGE	CAMECODY, MUNICIPAL FUNDS (con-		ANSACTIONS (continu	ed)				
	CATEGORY: MUTUAL FUNDS (CON: 8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 2 Units @48.3300		80.00	0.80	0.00	0.80	80.0	0.64
10/15/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @48.3300		6.00	0.06	0.00	0.06	80.0	0.05
10/18/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 1 Units @48.5700		48.20	0.48	0.00	0.48	80.0	0.38
10/18/201	.8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	SMALLCAP WORLD FUND-C BUY 0 Units @48.5700		1.80	0.02	0.00	0.02	80.0	0.02
10/19/201	.8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 2 Units @48.1600		80.00	0.80	0.00	0.80	80.0	0.64
10/19/201	.8 ***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	SMALLCAP WORLD FUND-C BUY 0 Units @48.1600		6.00	0.06	0.00	0.06	80.0	0.05
10/02/201	.8 ***-**-1314 - BENEDETTO, ACCOUNT #: 02322751089	STRATEGIC INCOME FUND C BUY 0 Units @0.0000		125.00	1.25	0.00	1.25	80.0	1.00
10/04/201	.8 ***-**-1834 - BUTLER, KIM ACCOUNT #: 01920863291	STRATEGIC INCOME FUND C BUY 0 Units @0.0000		10.00	0.10	0.00	0.10	80.0	0.08
10/12/201	.8 ***-**-1834 - BUTLER, KIM ACCOUNT #: 01920863291	STRATEGIC INCOME FUND C BUY 0 Units @0.0000		10.00	0.10	0.00	0.10	80.0	0.08
10/18/201	.8 ***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.3700		28.05	0.28	0.00	0.28	80.0	0.22
10/18/201	.8 ***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 0 Units @12.3700		3.63	0.04	0.00	0.04	80.0	0.03
10/18/201	.8 ***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 0 Units @12.3700		2.66	0.03	0.00	0.03	80.0	0.02
10/18/201	.8 ***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.3700		9.00	0.09	0.00	0.09	80.0	0.07
10/18/201	.8 ***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 5 Units @53.0500		250.00	2.50	0.00	2.50	80.0	2.00
10/18/201	8 ***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE GROWTH FUND OF AMERICA-A BUY 5 Units @53.0500		250.00	2.50	0.00	2.50	80.0	2.00
10/18/201	.8 ***-**-405P - FRISA, ALAN ACCOUNT #: 00066758344	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.0500		30.00	0.30	0.00	0.30	80.0	0.24

October 22, 2018

FREDERIC SCARPULLA

400 West Metro Park Rochester, NY 14623 BROKER #: 417

	BROKER TRANSAC	TIONS (continu	ıed)				
•		30 00	0.30	0 00	0.30	80 O	0.24
ACCOUNT #: 00066758344	BUY 1 Units @53.0500	30.00	0.30	0.00	0.30	00.0	0.24
***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.0500	30.00	0.30	0.00	0.30	80.0	0.24
***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.0500	30.00	0.30	0.00	0.30	80.0	0.24
***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.0500	50.00	0.50	0.00	0.50	80.0	0.40
***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.0500	50.00	0.50	0.00	0.50	80.0	0.40
***-**-095P - RIVERA, MIGUEL ACCOUNT #: 00074922243	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.0500	60.00	0.60	0.00	0.60	80.0	0.48
***-**-095P - RIVERA, MIGUEL ACCOUNT #: 00074922243	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.0500	60.00	0.60	0.00	0.60	80.0	0.48
***-**-4750 - OSCHMANN, MARK ACCOUNT #: 00083414110	THE GROWTH FUND OF AMERICA-A BUY 1 Units @53.0500	70.31	0.70	0.00	0.70	80.0	0.56
***-**-4750 - OSCHMANN, MARK ACCOUNT #: 00083414110	THE GROWTH FUND OF AMERICA-A BUY 2 Units @53.0500	80.87	0.81	0.00	0.81	80.0	0.65
***-**-9447 - ZAJONCZKOSKI, ACCOUNT #: 00087318332	THE GROWTH FUND OF AMERICA-A BUY 0 Units @53.0500	20.00	0.20	0.00	0.20	80.0	0.16
***-**-9447 - ZAJONCZKOSKI, ACCOUNT #: 00087318332	THE GROWTH FUND OF AMERICA-A BUY 0 Units @53.0500	20.00	0.20	0.00	0.20	80.0	0.16
***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	THE GROWTH FUND OF AMERICA-A BUY 0 Units @53.0500	10.00	0.10	0.00	0.10	80.0	0.08
***-**-4263 - HARTER, IAN ACCOUNT #: 00089461113	THE GROWTH FUND OF AMERICA-A BUY 0 Units @53.0500	10.00	0.10	0.00	0.10	80.0	0.08
***-**-3431 - SPENCER, ACCOUNT #: 04000347049	THE GROWTH FUND OF AMERICA-C BUY 2 Units @48.6600	100.00	1.00	0.00	1.00	80.0	0.80
***-**-845P - MARTHALLER, ACCOUNT #: 00087023930	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.6600	60.00	0.60	0.00	0.60	80.0	0.48
***-**-96CL - SCARPULLA, ACCOUNT #: 00089045192	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.6600	30.00	0.30	0.00	0.30	80.0	0.24
* ^ * ^ * ^ * ^ * ^ * ^ * ^ * ^ * ^ * ^	**-*-405P - FRISA, ALAN CCOUNT #: 00066758344 **-**-275P - LAMANNA, DANIEL CCOUNT #: 00066758347 **-*-275P - LAMANNA, DANIEL CCOUNT #: 00066758347 **-*-275P - LAMANNA, DANIEL CCOUNT #: 00066758347 **-*-945P - VEGA, EDWARD CCOUNT #: 00066758348 **-*-945P - VEGA, EDWARD CCOUNT #: 00066758348 **-*-095P - RIVERA, MIGUEL CCOUNT #: 00074922243 **-*-095P - RIVERA, MIGUEL CCOUNT #: 00074922243 **-*-095P - RIVERA, MIGUEL CCOUNT #: 00074922243 **-*-095P - RIVERA, MIGUEL CCOUNT #: 00083414110 **-*-4750 - OSCHMANN, MARK CCOUNT #: 00083414110 **-*-9447 - ZAJONCZKOSKI, CCOUNT #: 00087318332 **-*-8458 - HARTER, IAN CCOUNT #: 00089461113 **-*-8459 - MARTHALLER, CCOUNT #: 04000347049 **-*-845P - MARTHALLER, CCOUNT #: 00087023930 **-**-96CL - SCARPULLA,	CCOUNT #: 00066758344 **-**-275P - LAMANNA, DANIEL CCOUNT #: 00066758347 **-**-275P - LAMANNA, DANIEL CCOUNT #: 00066758347 **-**-275P - LAMANNA, DANIEL CCOUNT #: 00066758347 **-**-945P - VEGA, EDWARD CCOUNT #: 00066758348 **-**-945P - VEGA, EDWARD CCOUNT #: 00066758348 **-**-095P - RIVERA, MIGUEL CCOUNT #: 00074922243 **-**-095P - RIVERA, MIGUEL CCOUNT #: 00083414110 **-**-095P - RIVERA, MIGUEL CCOUNT #: 00083414110 **-**-4750 - OSCHMANN, MARK CCOUNT #: 00083414110 **-**-4750 - OSCHMANN, MARK CCOUNT #: 00083414110 **-**-4750 - OSCHMANN, MARK CCOUNT #: 00083414110 **-**-9447 - ZAJONCZKOSKI, CCOUNT #: 00087318332 **-**-9447 - ZAJONCZKOSKI, CCOUNT #: 00087318332 **-**-9447 - ZAJONCZKOSKI, CCOUNT #: 00087318332 **-**-4263 - HARTER, IAN CCOUNT #: 00089461113 **-**-4263 - HARTER, IAN CCOUNT #: 00089461113 **-**-4263 - HARTER, IAN CCOUNT #: 00089461113 **-**-3431 - SPENCER, CCOUNT #: 04000347049 **-**-3431 - SPENCER, CCOUNT #: 04000347049 **-**-845P - MARTHALLER, CCOUNT #: 04000347049 **-**-96CL - SCARPULLA, THE GROWTH FUND OF AMERICA-C **-**-96CL - SCARPULLA, THE GROWTH FUND OF AMERICA-C	**-**-405P - FRISA, ALAN CCOUNT #: 00066758344 BUY 1 Units @53.0500 **-**-275P - LAMANNA, DANIEL CCOUNT #: 00066758347 BUY 1 Units @53.0500 **-**-275P - LAMANNA, DANIEL CCOUNT #: 00066758347 BUY 1 Units @53.0500 **-**-945P - VEGA, EDWARD CCOUNT #: 00066758348 BUY 1 Units @53.0500 **-**-095P - RIVERA, MIGUEL CCOUNT #: 00074922243 BUY 1 Units @53.0500 **-**-095P - RIVERA, MIGUEL CCOUNT #: 00074922243 BUY 1 Units @53.0500 **-**-095P - RIVERA, MIGUEL CCOUNT #: 00074922243 BUY 1 Units @53.0500 **-**-095P - OSCHMANN, MARK CCOUNT #: 00083414110 **-**-4750 - OSCHMANN, MARK CCOUNT #: 00083414110 **-**-9447 - ZAJONCZKOSKI, CCOUNT #: 00087318332 **-**-9447 - ZAJONCZKOSKI, CCOUNT #: 00087318332 **-**-9447 - ZAJONCZKOSKI, CCOUNT #: 00087318332 **-**-2463 - HARTER, IAN CCOUNT #: 00089461113 BUY 0 Units @53.0500 **-**-4263 - HARTER, IAN CCOUNT #: 00089461113 BUY 0 Units @53.0500 **-**-245P - MARTHALLER, THE GROWTH FUND OF AMERICA-A CCOUNT #: 00089461113 BUY 0 Units @63.0500 **-**-345P - MARTHALLER, THE GROWTH FUND OF AMERICA-A CCOUNT #: 00089461113 BUY 0 Units @63.0500 **-**-2465 - HARTER, IAN CCOUNT #: 00089461113 BUY 0 Units @63.0500 **-**-345P - MARTHALLER, THE GROWTH FUND OF AMERICA-A CCOUNT #: 00089461113 BUY 0 Units @63.0500 **-**-845P - MARTHALLER, THE GROWTH FUND OF AMERICA-C CCOUNT #: 00080347049 BUY 2 Units @48.6600 **-**-845P - MARTHALLER, THE GROWTH FUND OF AMERICA-C CCOUNT #: 00080347049 BUY 2 Units @48.6600 **-**-845P - MARTHALLER, THE GROWTH FUND OF AMERICA-C CCOUNT #: 0008032930 BUY 1 Units @48.6600 **-**-*-845P - MARTHALLER, THE GROWTH FUND OF AMERICA-C CCOUNT #: 00087022930 BUY 1 Units @48.6600 **-**-*-96CL - SCARPULLA, THE GROWTH FUND OF AMERICA-C 30.00 **-**-*-96CL - SCARPULLA, THE GROWTH FUND OF AMERICA-C 30.00 **-**-*-96CL - SCARPULLA, THE GROWTH FUND OF AMERICA-C 30.00 **-**-*-96CL - SCARPULLA, THE GROWTH FUND OF AMERICA-C 30.00 **-**-*-96CL - SCARPULLA, THE GROWTH FUND OF AMERICA-C 30.00 ***-**-*-96CL - SCARPULLA, THE GROWTH FUND OF AMERICA-C 30.00 ***	**-**-405P - FRISA, ALAN THE GROWTH FUND OF AMERICA-A 30.00 0.30 CCOUNT #: 00066758344 BUY 1 Units #53.0500 **-**-275P - LAMANNA, DANIEL DUY 1 Units #53.0500 **-**-275P - LAMANNA, DANIEL THE GROWTH FUND OF AMERICA-A 0.30 0.30 CCOUNT #: 00066758347 BUY 1 Units #53.0500 **-**-275P - LAMANNA, DANIEL THE GROWTH FUND OF AMERICA-A 0.30 0.30 CCOUNT #: 00066758347 BUY 1 Units #53.0500 **-**-945P - VEGA, EDWARD THE GROWTH FUND OF AMERICA-A 0.50 0.50 CCOUNT #: 00066758348 BUY 1 Units #53.0500 **-**-945P - VEGA, EDWARD CCOUNT #: 00066758348 BUY 1 Units #53.0500 **-**-095P - RIVERA, MIGUEL THE GROWTH FUND OF AMERICA-A 0.00 0.60 CCOUNT #: 00074922243 BUY 1 Units #53.0500 **-**-095P - RIVERA, MIGUEL THE GROWTH FUND OF AMERICA-A 0.00 0.60 CCOUNT #: 00074922243 BUY 1 Units #53.0500 **-**-095P - OSCHMANN, MARK THE GROWTH FUND OF AMERICA-A 0.00 0.60 CCOUNT #: 00074922243 BUY 1 Units #53.0500 **-**-095P - OSCHMANN, MARK CCOUNT #: 00083414110 BUY 2 Units #53.0500 **-**-4750 - OSCHMANN, MARK CCOUNT #: 00083414110 BUY 2 Units #53.0500 **-**-4750 - OSCHMANN, MARK CCOUNT #: 00083414110 BUY 2 Units #53.0500 **-**-9447 - ZAJONCZKOSKI, THE GROWTH FUND OF AMERICA-A CCOUNT #: 00087318332 BUY 0 Units #53.0500 **-**-9447 - ZAJONCZKOSKI, THE GROWTH FUND OF AMERICA-A CCOUNT #: 00087318332 BUY 0 Units #53.0500 **-**-9447 - ZAJONCZKOSKI, THE GROWTH FUND OF AMERICA-A CCOUNT #: 0008946113 BUY 0 Units #53.0500 **-**-4263 - HARTER, IAN THE GROWTH FUND OF AMERICA-A CCOUNT #: 0008946113 BUY 0 Units #53.0500 **-**-4263 - HARTER, IAN THE GROWTH FUND OF AMERICA-A CCOUNT #: 0008946113 BUY 0 Units #53.0500 **-**-4263 - HARTER, IAN THE GROWTH FUND OF AMERICA-A CCOUNT #: 0008946113 BUY 0 Units #53.0500 **-**-4263 - HARTER, IAN THE GROWTH FUND OF AMERICA-A CCOUNT #: 0008946113 BUY 0 Units #63.0500 **-**-4263 - HARTER, IAN THE GROWTH FUND OF AMERICA-A CCOUNT #: 0008946113 BUY 0 Units #63.0500 **-**-4263 - HARTER, IAN THE GROWTH FUND OF AMERICA-A CCOUNT #: 04000347049 BUY 2 Units #63.0500 **-**-45-645P - MARTHALLER, THE GROWTH FUND OF AMERICA	**-**-405P - FRISA, ALAN THE GROWTH FUND OF AMERICA-A 30.00 0.30 0.00 0.00 0.00 0.00 0.00 0.	**-**-405P - FRISA, ALAN THE GROWTH FUND OF AMERICA-A 30.00 0.30 0.30 0.00 0.30 0.30 0.00 0.30 0.30 0.00 0.30 0.30 0.00 0.30 0.30 0.00 0.30 0.30 0.00 0.30 0.30 0.30 0.00 0.30 0	**-**-405P - FRISA, ALAN THE GROWTH FUND OF AMERICA-A 30.00 0.30 0.00 0.30 80.0 CCOUNT #: 00066758344 BUY 1 Units #53.0500 30.00 0.30 0.00 0.30 80.0 CCOUNT #: 00066758347 BUY 1 Units #53.0500 30.00 0.30 0.00 0.30 80.0 CCOUNT #: 00066758347 BUY 1 Units #53.0500 30.00 0.30 0.00 0.30 80.0 CCOUNT #: 00066758347 BUY 1 Units #53.0500 30.00 0.30 0.00 0.30 80.0 CCOUNT #: 00066758347 BUY 1 Units #53.0500 30.00 0.30 0.00 0.30 80.0 CCOUNT #: 00066758348 BUY 1 Units #53.0500 50.00 0.50 0.00 0.50 80.0 CCOUNT #: 00066758348 BUY 1 Units #53.0500 50.00 0.50 0.00 0.50 80.0 CCOUNT #: 00066758348 BUY 1 Units #53.0500 50.00 0.50 0.00 0.50 0.00 0.50 80.0 CCOUNT #: 00066758348 BUY 1 Units #53.0500 50.00 0.60 0.60 0.00 0.60 80.0 CCOUNT #: 00066758348 BUY 1 Units #53.0500 50.00 0.60 0.00 0.60 80.0 CCOUNT #: 00066758348 BUY 1 Units #53.0500 50.00 0.60 0.00 0.60 80.0 CCOUNT #: 00066758348 BUY 1 Units #53.0500 50.00 0.60 0.00 0.60 80.0 CCOUNT #: 00074922243 BUY 1 Units #53.0500 50.00 0.60 0.60 0.00 0.60 80.0 CCOUNT #: 0007492243 BUY 1 Units #53.0500 50.00 0.60 0.60 0.00 0.60 80.0 CCOUNT #: 0007492243 BUY 1 Units #53.0500 50.0

October 22, 2018

FREDERIC SCARPULLA

400 West Metro Park Rochester, NY 14623 BROKER #: 417

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TRANSACTI	IONS (continu	ıed)				
PRODUCT	CATEGORY: MUTUAL FUNDS (con	tinued)						
10/15/20	18 ***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.6600	10.00	0.10	0.00	0.10	80.0	0.08
10/15/20	18 ***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.6600	19.87	0.20	0.00	0.20	80.0	0.16
10/18/20	18 ***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.9000	2.50	0.03	0.00	0.03	80.0	0.02
10/18/20	18 ***-**-6500 - COOK, MARTIN ACCOUNT #: 00085902231	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.9000	2.50	0.03	0.00	0.03	80.0	0.02
10/18/20	18 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 0 Units @48.9000	1.80	0.02	0.00	0.02	80.0	0.02
10/18/20	18 ***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.9000	48.20	0.48	0.00	0.48	80.0	0.38
10/15/20	18 ***-**-395P - DIVASTA, ANTHON ACCOUNT #: 00059597416	Y THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @41.9900	50.00	1.88	0.00	1.88	80.0	1.50
10/18/20	18 ***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE INVESTMENT COMPANY OF AMERICA-A BUY 6 Units @40.1900	250.00	2.50	0.00	2.50	80.0	2.00
10/18/20	18 ***-**-195P - OZMINKOWSKI, ACCOUNT #: 00066758342	THE INVESTMENT COMPANY OF AMERICA-A BUY 6 Units @40.1900	250.00	2.50	0.00	2.50	80.0	2.00
10/18/20	18 ***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @40.1900	50.00	0.50	0.00	0.50	80.0	0.40
10/18/20	18 ***-**-945P - VEGA, EDWARD ACCOUNT #: 00066758348	THE INVESTMENT COMPANY OF AMERICA-A BUY 1 Units @40.1900	50.00	0.50	0.00	0.50	80.0	0.40
10/18/20	18 ***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @40.1900	20.00	0.20	0.00	0.20	80.0	0.16
10/18/20	18 ***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	THE INVESTMENT COMPANY OF AMERICA-A BUY 0 Units @40.1900	20.00	0.20	0.00	0.20	80.0	0.16
10/17/20	18 ***-**-9024 - HACKETT, ETHAN ACCOUNT #: 00088123299	THE NEW ECONOMY FUND-C BUY 1 Units @41.9700	25.00	0.25	0.00	0.25	80.0	0.20
10/15/20	18 ***-**-897J - GUERRIERI,	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 0 Units @0.0000	16,000.00	160.00	0.00	160.00	80.0	128.00
10/15/20	18 ***-**-8932 - RUSH, MICHELLE ACCOUNT #: 04000574835	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 4 Units @12.5900	50.00	0.50	0.00	0.50	80.0	0.40



October 22, 2018

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400 West Metro Park Rochester, NY 14623 BROKER #: 417

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TRANSACTIO	ONS (continu	ued)				
PRODUCT	CATEGORY: MUTUAL FUNDS (cont	inued)						
10/18/2018	8 ***-**-279J - HERRMANN, KEVIN ACCOUNT #: 00086046167	THE TAX-EXEMPT BOND FUND OF AMERICA BUY 10 Units @12.5900	125.00	1.25	0.00	1.25	80.0	1.00
10/18/2018	8 ***-**-415P - MALOVICS, LASZLO ACCOUNT #: 00066758345	WASHINGTON MUTUAL INVESTORS FUND-A BUY 11 Units @44.9700	500.00	5.00	0.00	5.00	80.0	4.00
10/18/2018	8 ***-**-415P - MALOVICS, LASZLO ACCOUNT #: 00066758345	WASHINGTON MUTUAL INVESTORS FUND-A BUY 11 Units @44.9700	500.00	5.00	0.00	5.00	80.0	4.00
10/15/2018	8 ***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	WASHINGTON MUTUAL INVESTORS FUND-C BUY 0 Units @44.1600	5.00	0.05	0.00	0.05	80.0	0.04
10/15/2018	8 ***-**-436I - RAGO, LISA ACCOUNT #: 04000456708	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @44.1600	50.00	0.50	0.00	0.50	80.0	0.40
		* MUTUAL FUNDS SUBTOTAL *	\$27,758.59	\$283.67	\$3.00	\$280.67		\$224.06
PRODUCT	CATEGORY: 529 PLAN							
10/15/2018	8 ***-**-195P - HECHT, ANDREW ACCOUNT #: 00068453142	AMERICAN BALANCED FUND-529A BUY 7 Units @28.6300	200.00	10.00	0.00	10.00	80.0	8.00
10/15/2018	8 ***-**-7255 - LIPPA, HARITINI ACCOUNT #: 00087198137	AMERICAN BALANCED FUND-529C BUY 2 Units @26.9800	50.00	0.50	0.00	0.50	80.0	0.40
10/15/2018	8 ***-**-7255 - LIPPA, HARITINI ACCOUNT #: 00087198121	AMERICAN BALANCED FUND-529C BUY 2 Units @26.9800	50.00	0.50	0.00	0.50	80.0	0.40
10/15/2018	8 ***-**-385P - ARBORE, TAYLER ACCOUNT #: 00081282910	CAPITAL WORLD GROWTH AND INCOME-529 BUY 1 Units @50.5600	50.00	2.13	0.00	2.13	80.0	1.70
10/15/2018	8 ***-**-385P - ARBORE, TAYLER ACCOUNT #: 00081283006	CAPITAL WORLD GROWTH AND INCOME-529 BUY 1 Units @50.5600	50.00	2.13	0.00	2.13	80.0	1.70
10/15/2018	8 ***-**-415P - SCHILLACI, AMY ACCOUNT #: 00081268733	THE GROWTH FUND OF AMERICA-529C BUY 2 Units @48.8000	75.00	0.75	0.00	0.75	80.0	0.60
		* 529 PLAN SUBTOTAL *	\$475.00	\$16.01	\$0.00	\$16.01		\$12.80
PRODUCT	CATEGORY: MUTUAL FUND 12B1 T	RAILS						
10/01/2018	8 ***-**-397P - COTTONE, MARIA ACCOUNT #: 01000005000	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	4.71	0.00	4.71	80.0	3.77
10/01/2018	8 ***-**-88IR - KUBIAK, COLLEEN ACCOUNT #: 01000005154	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	1.42	0.00	1.42	80.0	1.14

October 22, 2018

FREDERIC SCARPULLA400 West Metro Park

400 West Metro Park Rochester, NY 14623 BROKER #: 417

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TRANSACTIO	ONS (continu	ıed)				
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/22/201	8 ***-**-540J - ARBORE, MARIA	COLUMBIA MF TRAILS BUY 0 Units @0.0000	0.00	2.20	0.00	2.20	80.0	1.76
10/22/201	8 ***-**-07IN - SCARPULLA,	COLUMBIA MF TRAILS BUY 0 Units @0.0000	0.00	15.23	0.00	15.23	80.0	12.18
10/22/201	8 ***-**-264I - SIDOTI, LAURA ACCOUNT #: 0104134960	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	2.80	0.00	2.80	80.0	2.24
10/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 5054692727	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	1.97	0.00	1.97	80.0	1.58
10/22/201	8 ***-**-96CL - SCARPULLA, ACCOUNT #: 5054692727	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	4.26	0.00	4.26	80.0	3.41
10/01/201	8 ***-**-290I - SAWDEY, MARILYN ACCOUNT #: 04400053047	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	7.38	0.00	7.38	80.0	5.90
10/01/201	8 ***-**-0008 - COZZO, LUIGI ACCOUNT #: 00009759201	INVESCO DIVERSIFIED DIVIDEND INVEST BUY 0 Units @0.0000	0.00	23.12	0.00	23.12	80.0	18.50
10/01/201	8 ***-**-39IN - ARBORE, MARIA ACCOUNT #: 01001181454	IVK GROWTH AND INCOME FUND - CLASS BUY 0 Units @0.0000	0.00	37.39	0.00	37.39	80.0	29.91
10/04/201	8 ***-**-6836 - SMITH, ADRIENNE ACCOUNT #: 00100067156	OPPENHEIMER CORP BOND FND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
10/12/201	8 ***-**-6836 - SMITH, ADRIENNE ACCOUNT #: 00100067156	OPPENHEIMER CORP BOND FND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	80.0	0.20
10/22/201	8 ***-**-69IN - BUCK, LESLIE	TOUCHSTONE TRAILS BUY 0 Units @0.0000	0.00	3.46	0.00	3.46	80.0	2.77
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$50.00	\$104.44	\$0.00	\$104.44		\$83.56
		*** BROKER TRANSACTIONS TOTAL ***	\$28,283.59	\$404.12	\$3.00	\$401.12		\$320.42



October 22, 2018

FREDERIC SCARPULLA

400 West Metro Park Rochester, NY 14623 BROKER #: 417

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
						BROKER COMM	ISSION	TOTALS
					Broke	er Transactions	3	\$320.42
					Spl	it Transactions	3	\$0.00
					Overrio	de Transactions	5	\$0.00
						Adjustments	5	\$0.00
						Payroll Draw	I	\$0.00
						Base Salary	7	\$0.00
					Prior	Period Balance	2	\$0.00
					F	INRA Assessment	:	\$0.00
					5	SIPC Assessment	:	\$0.00
							_	
					Net Cor	mmission Earned	l	\$320.42
					Year-to	o-date Earnings	s :	\$190,106.61