



COMMISSION STATEMENT

October 22, 2018

FREDERIC SCARPULLA
 400 West Metro Park
 Rochester, NY 14623

BROKER #: 417
 BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/15/2018	***-**-395P - DIVASTA, ANTHONY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00059597416	BUY 2 Units @28.3000						
10/15/2018	***-**-535P - DELGAIZO,	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00068454444	BUY 2 Units @28.4500						
10/15/2018	***-**-425P - DELGAIZO, LOUISA	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00068454445	BUY 2 Units @28.4500						
10/18/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 1 Units @27.0900						
10/18/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 1 Units @27.0900						
10/18/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @27.0900						
10/18/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @27.0900						
10/15/2018	***-**-80IR - ROBERTS,	AMERICAN BALANCED FUND-C	90.00	0.90	3.00	-2.10	100.0	-2.10
	ACCOUNT #: LSR011795	BUY 3 Units @26.8500						
10/15/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089957234	BUY 2 Units @26.8500						
10/15/2018	***-**-36IN - SILLUZIO, THOMAS	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00068088908	BUY 2 Units @26.8500						
10/15/2018	***-**-315P - SILLUZIO, JUSTIN	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00068803650	BUY 2 Units @26.8500						
10/15/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00087429936	BUY 2 Units @26.8500						
10/15/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	80.0	0.32
	ACCOUNT #: 00089045192	BUY 1 Units @26.8500						
10/15/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	12.00	0.12	0.00	0.12	80.0	0.10
	ACCOUNT #: 00089051066	BUY 0 Units @26.8500						
10/15/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	160.00	1.60	0.00	1.60	80.0	1.28
	ACCOUNT #: 00089051066	BUY 6 Units @26.8500						
10/15/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	20.47	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089583477	BUY 1 Units @26.8500						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/18/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	80.0	0.22
	ACCOUNT #: 00085902249	BUY 1 Units @26.9000						
10/18/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	3.63	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @26.9000						
10/18/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	1.78	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904181	BUY 0 Units @26.9000						
10/18/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00085904181	BUY 0 Units @26.9000						
10/18/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	80.0	0.13
	ACCOUNT #: 00085904210	BUY 1 Units @26.9000						
10/18/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.77	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904210	BUY 0 Units @26.9000						
10/19/2018	***-**-3834 - SWARTWOUT,	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00089957234	BUY 2 Units @26.8700						
10/19/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	12.00	0.12	0.00	0.12	80.0	0.10
	ACCOUNT #: 00089051066	BUY 0 Units @26.8700						
10/19/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	160.00	1.60	0.00	1.60	80.0	1.28
	ACCOUNT #: 00089051066	BUY 6 Units @26.8700						
10/18/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	9.32	0.09	0.00	0.09	80.0	0.07
	ACCOUNT #: 04000820464	BUY 1 Units @18.4600						
10/18/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	55.92	0.56	0.00	0.56	80.0	0.45
	ACCOUNT #: 04000820464	BUY 3 Units @18.4600						
10/18/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00087236607	BUY 0 Units @10.1600						
10/18/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	80.0	0.84
	ACCOUNT #: 00087236607	BUY 10 Units @10.1600						
10/18/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758347	BUY 1 Units @41.5400						
10/18/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758347	BUY 1 Units @41.5400						
10/18/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	600.00	6.00	0.00	6.00	80.0	4.80
	ACCOUNT #: 00066759711	BUY 14 Units @41.5400						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/18/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	561.68	5.62	0.00	5.62	80.0	4.50
	ACCOUNT #: 00066759711	BUY 14 Units @41.5400						
10/15/2018	***-**-01UG - DIGIOVANNI,	AMERICAN MUTUAL FUND-C	150.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00087087389	BUY 4 Units @40.7000						
10/15/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @40.7000						
10/18/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	1.48	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @40.9300						
10/18/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00085904181	BUY 0 Units @40.9300						
10/01/2018	***-**-772I - KERHAERT,	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 03222178044	BUY 0 Units @0.0000						
10/02/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION C	64.02	0.64	0.00	0.64	80.0	0.51
	ACCOUNT #: 03222325444	BUY 0 Units @0.0000						
10/04/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
10/04/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	68.00	0.68	0.00	0.68	80.0	0.54
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						
10/04/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
10/12/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
10/12/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	68.00	0.68	0.00	0.68	80.0	0.54
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						
10/12/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
10/15/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00089045192	BUY 1 Units @47.6700						
10/15/2018	***-**-01UG - DIGIOVANNI,	CAPITAL WORLD GROWTH AND INCOME FUN	150.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00087087389	BUY 3 Units @47.6700						
10/18/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00066758344	BUY 0 Units @48.1000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/18/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00066758344	BUY 0 Units @48.1000						
10/18/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	80.0	0.77
	ACCOUNT #: 00087038420	BUY 2 Units @47.5700						
10/18/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	3.60	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00087038420	BUY 0 Units @47.5700						
10/04/2018	***-**-85IN - MAZZOLA, BARBARA	EMERGING MARKETS INNOVATORS FUND C	7.50	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00100051019	BUY 0 Units @0.0000						
10/12/2018	***-**-85IN - MAZZOLA, BARBARA	EMERGING MARKETS INNOVATORS FUND C	7.50	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00100051019	BUY 0 Units @0.0000						
10/02/2018	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. C	48.01	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 08370596090	BUY 0 Units @0.0000						
10/02/2018	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 08370627385	BUY 0 Units @0.0000						
10/15/2018	***-**-43IN - BISHOP, EVELYN	EUROPACIFIC GROWTH FUND CLASS C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000849605	BUY 1 Units @47.8000						
10/18/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00066759710	BUY 0 Units @61.9100						
10/18/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00066759710	BUY 0 Units @61.9100						
10/15/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00089051066	BUY 0 Units @61.3900						
10/15/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	80.00	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00089051066	BUY 1 Units @61.3900						
10/15/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	80.0	0.04
	ACCOUNT #: 00089570936	BUY 0 Units @61.3900						
10/18/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085902226	BUY 0 Units @61.5600						
10/18/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	7.00	0.07	0.00	0.07	80.0	0.06
	ACCOUNT #: 00085902226	BUY 0 Units @61.5600						
10/18/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	80.0	0.14
	ACCOUNT #: 00085904203	BUY 0 Units @61.5600						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/18/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	2.24	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @61.5600						
10/19/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	80.00	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00089051066	BUY 1 Units @61.5300						
10/19/2018	***-**-96CL - SCARPULLA,	FUNDAMENTAL INVESTORS-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00089051066	BUY 0 Units @61.5300						
10/02/2018	***-**-90FB - DIODATO, CAROL	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
10/02/2018	***-**-2620 - CUSIMANO, MEGAN	GLOBAL OPPORTUNITIES FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02171800557	BUY 0 Units @0.0000						
10/02/2018	***-**-729I - GIAMBRONE, KELLY	GLOBAL OPPORTUNITIES FUND C	80.02	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 02171875445	BUY 0 Units @0.0000						
10/02/2018	***-**-9530 - MILAM, IAN	GLOBAL OPPORTUNITIES FUND C	37.50	0.38	0.00	0.38	80.0	0.30
	ACCOUNT #: 02171914814	BUY 0 Units @0.0000						
10/04/2018	***-**-85IN - MAZZOLA, BARBARA	GLOBAL OPPORTUNITIES FUND C	15.00	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 02171893331	BUY 0 Units @0.0000						
10/04/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						
10/12/2018	***-**-85IN - MAZZOLA, BARBARA	GLOBAL OPPORTUNITIES FUND C	15.00	0.15	0.00	0.15	80.0	0.12
	ACCOUNT #: 02171893331	BUY 0 Units @0.0000						
10/12/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						
10/15/2018	***-**-90FB - DIODATO, CAROL	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
10/18/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	80.0	0.36
	ACCOUNT #: 00087236607	BUY 2 Units @22.2100						
10/18/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	1.95	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087236607	BUY 0 Units @22.2100						
10/15/2018	***-**-564I - CARNEY, BARBARA	INVESTMENT COMPANY OF AMERICA CLASS	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089563161	BUY 0 Units @39.6700						
10/15/2018	***-**-312S - DISCH, JASMINE	INVESTMENT COMPANY OF AMERICA CLASS	19.86	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089583477	BUY 1 Units @39.6700						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
10/15/2018	***-**-0578 - DIODATO, ZACHARY	INVESTMENT COMPANY OF AMERICA CLASS	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000618224	BUY 1 Units @39.6700						
10/15/2018	***-**-4232 - DIODATO, MELISSA	INVESTMENT COMPANY OF AMERICA CLASS	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000618245	BUY 1 Units @39.6700						
10/18/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	80.0	0.23
	ACCOUNT #: 00085902249	BUY 1 Units @39.7500						
10/18/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	3.74	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085902249	BUY 0 Units @39.7500						
10/18/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	4.00	0.04	0.00	0.04	80.0	0.03
	ACCOUNT #: 00085904210	BUY 0 Units @39.7500						
10/18/2018	***-**-2081 - SHELHAMER, DIANE	INVESTMENT COMPANY OF AMERICA CLASS	1.19	0.01	0.00	0.01	80.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @39.7500						
10/02/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	80.02	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						
10/02/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
10/02/2018	***-**-2620 - CUSIMANO, MEGAN	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
10/02/2018	***-**-9530 - MILAM, IAN	MAIN STREET FUND C	75.00	0.75	0.00	0.75	80.0	0.60
	ACCOUNT #: 07024527061	BUY 0 Units @0.0000						
10/04/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
10/04/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
10/04/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
10/12/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
10/12/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
10/15/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/15/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
10/15/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00089051066	BUY 0 Units @41.4600						
10/15/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	80.00	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00089051066	BUY 2 Units @41.4600						
10/18/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085902226	BUY 1 Units @41.5500						
10/18/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	8.17	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00085902226	BUY 0 Units @41.5500						
10/18/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @41.5500						
10/18/2018	***-**-6500 - COOK, MARTIN	NEW PERSPECTIVE FUND-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @41.5500						
10/18/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 1 Units @41.5500						
10/18/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	2.62	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @41.5500						
10/19/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	80.00	0.80	0.00	0.80	80.0	0.64
	ACCOUNT #: 00089051066	BUY 2 Units @41.5000						
10/19/2018	***-**-96CL - SCARPULLA,	NEW PERSPECTIVE FUND-C	6.00	0.06	0.00	0.06	80.0	0.05
	ACCOUNT #: 00089051066	BUY 0 Units @41.5000						
10/18/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @57.5600						
10/18/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @57.5600						
10/18/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085904203	BUY 0 Units @57.5600						
10/18/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	2.62	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @57.5600						
10/18/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	8.17	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 00085902226	BUY 0 Units @57.5600						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/18/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	80.0	0.17
	ACCOUNT #: 00085902226	BUY 0 Units @57.5600						
10/01/2018	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD C	400.00	4.00	0.00	4.00	80.0	3.20
	ACCOUNT #: 06670037664	BUY 0 Units @0.0000						
10/01/2018	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD C	225.00	2.25	0.00	2.25	80.0	1.80
	ACCOUNT #: 06670037675	BUY 0 Units @0.0000						
10/01/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD C	180.00	1.80	0.00	1.80	80.0	1.44
	ACCOUNT #: 06670037686	BUY 0 Units @0.0000						
10/04/2018	***-**-3407 - SUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
10/04/2018	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
10/12/2018	***-**-3407 - SUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
10/12/2018	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
10/04/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
10/12/2018	***-**-6603 - JOHNSON, TERRY	OPPENHEIMER GLOBAL CLASS C	66.00	0.66	0.00	0.66	80.0	0.53
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
10/04/2018	***-**-85IN - MAZZOLA, BARBARA	OPPENHEIMER INTERNATIONAL DIVERSIFI	7.50	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 01971104114	BUY 0 Units @0.0000						
10/12/2018	***-**-85IN - MAZZOLA, BARBARA	OPPENHEIMER INTERNATIONAL DIVERSIFI	7.50	0.08	0.00	0.08	80.0	0.06
	ACCOUNT #: 01971104114	BUY 0 Units @0.0000						
10/02/2018	***-**-729I - GIAMBRONE, KELLY	OPPENHEIMER MAIN STREET SMALL CAP F	48.02	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
10/02/2018	***-**-541P - SCHILLACI, AMY	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						
10/02/2018	***-**-1314 - BENEDETTO,	OPPENHEIMER RISING DIVIDENDS FUND C	125.00	1.25	0.00	1.25	80.0	1.00
	ACCOUNT #: 02270934318	BUY 0 Units @0.0000						
10/02/2018	***-**-655P - DAVIS, BERTHA	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02271237808	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/04/2018	***-**-4980 - MOYER, COLLEEN	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
10/04/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02271182830	BUY 0 Units @0.0000						
10/12/2018	***-**-6836 - SMITH, ADRIENNE	OPPENHEIMER RISING DIVIDENDS FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02271182830	BUY 0 Units @0.0000						
10/15/2018	***-**-4980 - MOYER, COLLEEN	OPPENHEIMER RISING DIVIDENDS FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
10/01/2018	***-**-772I - KERHAERT,	QUEST BALANCED FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 02592262304	BUY 0 Units @0.0000						
10/02/2018	***-**-1314 - BENEDETTO,	QUEST BALANCED FUND C	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 02592292741	BUY 0 Units @0.0000						
10/04/2018	***-**-8706 - BOSCO, REN	QUEST BALANCED FUND C	500.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 02590094105	BUY 0 Units @0.0000						
10/02/2018	***-**-2620 - CUSIMANO, MEGAN	REAL ESTATE FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 05920400103	BUY 0 Units @0.0000						
10/02/2018	***-**-9530 - MILAM, IAN	REAL ESTATE FUND C	37.50	0.38	0.00	0.38	80.0	0.30
	ACCOUNT #: 05920429869	BUY 0 Units @0.0000						
10/04/2018	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
10/12/2018	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
10/04/2018	***-**-4980 - MOYER, COLLEEN	SMALL- & MID- CAP VALUE FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02531288969	BUY 0 Units @0.0000						
10/04/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
10/12/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
10/15/2018	***-**-4980 - MOYER, COLLEEN	SMALL- & MID- CAP VALUE FUND C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 02531288969	BUY 0 Units @0.0000						
10/15/2018	***-**-43IN - BISHOP, EVELYN	SMALLCAP WORLD FUND-C	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000849605	BUY 1 Units @48.3300						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/15/2018	***-**-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
10/15/2018	***-**-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
10/18/2018	***-**-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
10/18/2018	***-**-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
10/19/2018	***-**-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
10/19/2018	***-**-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
10/02/2018	***-**-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
10/04/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 01920863291	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	10.00	0.10	0.00	0.10	80.0	0.08
10/12/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 01920863291	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	10.00	0.10	0.00	0.10	80.0	0.08
10/18/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 2 Units @12.3700	28.05	0.28	0.00	0.28	80.0	0.22
10/18/2018	***-**-2163 - TRAPANI, JAMES ACCOUNT #: 00085902249	THE BOND FUND OF AMERICA-C BUY 0 Units @12.3700	3.63	0.04	0.00	0.04	80.0	0.03
10/18/2018	***-**-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
10/18/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	THE BOND FUND OF AMERICA-C BUY 1 Units @12.3700	9.00	0.09	0.00	0.09	80.0	0.07
10/18/2018	***-**-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
10/18/2018	***-**-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
10/18/2018	***-**-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



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/18/2018	***-**-405P - FRISA, ALAN	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758344	BUY 1 Units @53.0500						
10/18/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758347	BUY 1 Units @53.0500						
10/18/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00066758347	BUY 1 Units @53.0500						
10/18/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00066758348	BUY 1 Units @53.0500						
10/18/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00066758348	BUY 1 Units @53.0500						
10/18/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	60.00	0.60	0.00	0.60	80.0	0.48
	ACCOUNT #: 00074922243	BUY 1 Units @53.0500						
10/18/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	60.00	0.60	0.00	0.60	80.0	0.48
	ACCOUNT #: 00074922243	BUY 1 Units @53.0500						
10/18/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	70.31	0.70	0.00	0.70	80.0	0.56
	ACCOUNT #: 00083414110	BUY 1 Units @53.0500						
10/18/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	80.87	0.81	0.00	0.81	80.0	0.65
	ACCOUNT #: 00083414110	BUY 2 Units @53.0500						
10/18/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00087318332	BUY 0 Units @53.0500						
10/18/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00087318332	BUY 0 Units @53.0500						
10/18/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @53.0500						
10/18/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089461113	BUY 0 Units @53.0500						
10/15/2018	***-**-3431 - SPENCER,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	80.0	0.80
	ACCOUNT #: 04000347049	BUY 2 Units @48.6600						
10/15/2018	***-**-845P - MARTHALLER,	THE GROWTH FUND OF AMERICA-C	60.00	0.60	0.00	0.60	80.0	0.48
	ACCOUNT #: 00087023930	BUY 1 Units @48.6600						
10/15/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	30.00	0.30	0.00	0.30	80.0	0.24
	ACCOUNT #: 00089045192	BUY 1 Units @48.6600						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/15/2018	***-**-482I - MARCONI, TODD	THE GROWTH FUND OF AMERICA-C	10.00	0.10	0.00	0.10	80.0	0.08
	ACCOUNT #: 00089570936	BUY 0 Units @48.6600						
10/15/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	19.87	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00089583477	BUY 0 Units @48.6600						
10/18/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @48.9000						
10/18/2018	***-**-6500 - COOK, MARTIN	THE GROWTH FUND OF AMERICA-C	2.50	0.03	0.00	0.03	80.0	0.02
	ACCOUNT #: 00085902231	BUY 0 Units @48.9000						
10/18/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	1.80	0.02	0.00	0.02	80.0	0.02
	ACCOUNT #: 00087038420	BUY 0 Units @48.9000						
10/18/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	80.0	0.38
	ACCOUNT #: 00087038420	BUY 1 Units @48.9000						
10/15/2018	***-**-395P - DIVASTA, ANTHONY	THE INVESTMENT COMPANY OF AMERICA-A	50.00	1.88	0.00	1.88	80.0	1.50
	ACCOUNT #: 00059597416	BUY 1 Units @41.9900						
10/18/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00066758342	BUY 6 Units @40.1900						
10/18/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 00066758342	BUY 6 Units @40.1900						
10/18/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00066758348	BUY 1 Units @40.1900						
10/18/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 00066758348	BUY 1 Units @40.1900						
10/18/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 0 Units @40.1900						
10/18/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	80.0	0.16
	ACCOUNT #: 00073798048	BUY 0 Units @40.1900						
10/17/2018	***-**-9024 - HACKETT, ETHAN	THE NEW ECONOMY FUND-C	25.00	0.25	0.00	0.25	80.0	0.20
	ACCOUNT #: 00088123299	BUY 1 Units @41.9700						
10/15/2018	***-**-897J - GUERRIERI,	THE TAX-EXEMPT BOND FUND OF AMERICA	16,000.00	160.00	0.00	160.00	80.0	128.00
		BUY 0 Units @0.0000						
10/15/2018	***-**-8932 - RUSH, MICHELLE	THE TAX-EXEMPT BOND FUND OF AMERICA	50.00	0.50	0.00	0.50	80.0	0.40
	ACCOUNT #: 04000574835	BUY 4 Units @12.5900						



COMMISSION STATEMENT

October 22, 2018

FREDERIC SCARPULLA
400 West Metro Park
Rochester, NY 14623

BROKER #: 417
BRANCH #01016 - 16 - CASPER

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



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/22/2018	***-**-540J - ARBORE, MARIA	COLUMBIA MF TRAILS BUY 0 Units @0.0000	0.00	2.20	0.00	2.20	80.0	1.76
10/22/2018	***-**-07IN - SCARPULLA,	COLUMBIA MF TRAILS BUY 0 Units @0.0000	0.00	15.23	0.00	15.23	80.0	12.18
10/22/2018	***-**-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
10/22/2018	***-**-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
10/22/2018	***-**-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
10/01/2018	***-**-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
10/01/2018	***-**-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
10/01/2018	***-**-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
10/04/2018	***-**-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
10/12/2018	***-**-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
10/22/2018	***-**-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



BROKER #: 417
BRANCH #01016 - 16 - CASPER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$320.42
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$0.00
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$320.42
						Year-to-date Earnings		\$190,106.61