



COMMISSION STATEMENT

October 01, 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
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/17/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 PORT 2019-CL C	275.00	2.75	0.00	2.75	95.0	2.61
	ACCOUNT #: 00625374327	BUY 15 Units @18.2200						
09/19/2018	***-**-095J - MORAN, MARY	PUTNAM NEW OPPORTUNITIES-C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 00476905514	BUY 1 Units @87.2800						
* MUTUAL FUNDS SUBTOTAL *			\$325.00	\$3.25	\$0.00	\$3.25		\$3.09
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/24/2018	***-**-575I - PALELLA, CHARLES	PRUDENTIAL VA TRAILS 74429P144	100.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: E1764889	BUY 0 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$100.00	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: 529 PLAN</u>								
09/28/2018	***-**-605P - BONSIGNORE,	COLLEGE BOUND MF	50.00	0.20	0.00	0.20	95.0	0.19
		BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$50.00	\$0.20	\$0.00	\$0.20		\$0.19
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/28/2018	***-**-7637 - SAFRANEK,	VICTORY TRAILS	0.00	1.53	0.00	1.53	95.0	1.45
		BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1.53	\$0.00	\$1.53		\$1.45
*** BROKER TRANSACTIONS TOTAL ***			\$475.00	\$4.98	\$0.00	\$4.98		\$4.73

VERRIDE TRANSACTIONS

BROKER: RICHARD BIRNS

09/28/2018	***-**-4560 - KOENIG, RAE	ALLIANZ TRAILS 018812727	0.00	103.20	0.00	103.20	20.0	20.64
	ACCOUNT #: GAX20578	BUY 0 Units @0.0000						
09/28/2018	***-**-153P - BABCOCK,	ALLIANZ TRAILS 018817866	0.00	373.83	0.00	373.83	20.0	74.77
	ACCOUNT #: DA915753	BUY 0 Units @0.0000						
09/28/2018	***-**-48IN - BABCOCK, ROBERT	ALLIANZ TRAILS 018817866	0.00	340.77	0.00	340.77	20.0	68.15
	ACCOUNT #: DA915768	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: RICHARD BIRNS (continued)</u>								
09/10/2018	***-**-53IN - BABCOCK,	JACKSON ELITE ACCESS OPTION A BUY 1 Units @370000.000	330,698.48	17,361.67	0.00	17,361.67	20.0	3,472.33
		* RICHARD BIRNS SUBTOTAL *	\$330,698.48	\$18,179.47	\$0.00	\$18,179.47		\$3,635.89
<u>BROKER: BARRY BRESIN</u>								
09/28/2018	***-**-717I - MARSJANIK, ACCOUNT #: 7200008226	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	179.27	0.00	179.27	15.0	26.89
09/28/2018	***-**-4892 - STERN, ROBERT ACCOUNT #: 7200027682	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	21.09	0.00	21.09	15.0	3.16
		* BARRY BRESIN SUBTOTAL *	\$0.00	\$200.36	\$0.00	\$200.36		\$30.05
<u>BROKER: FREDERIC SCARPULLA</u>								
09/24/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	AMCAP FUND-A BUY 5 Units @35.6000	178.00	2.14	0.00	2.14	10.0	0.21
09/24/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	AMCAP FUND-A BUY 3 Units @35.6000	97.00	1.16	0.00	1.16	10.0	0.12
09/24/2018	***-**-0006 - FORSYTH, KATHRYN ACCOUNT #: 04000650661	AMCAP FUND-C BUY 2 Units @30.7500	57.69	0.58	0.00	0.58	10.0	0.06
09/27/2018	***-**-8208 - KARNS, SHANNON ACCOUNT #: 04000409714	AMCAP FUND-C BUY 16 Units @30.8800	480.00	4.80	0.00	4.80	10.0	0.48
09/27/2018	***-**-8208 - KARNS, SHANNON ACCOUNT #: 04000409714	AMCAP FUND-C BUY 1 Units @30.8800	15.80	0.16	0.00	0.16	10.0	0.02
09/25/2018	***-**-643I - BOSCO, GIULIO ACCOUNT #: 00089514602	AMERICAN BALANCED FUND-529C BUY 4 Units @27.9000	100.00	1.00	0.00	1.00	10.0	0.10
09/25/2018	***-**-435P - BOSCO, SOFIA ACCOUNT #: 00067522496	AMERICAN BALANCED FUND-529C BUY 9 Units @27.9000	250.00	2.50	0.00	2.50	10.0	0.25
09/24/2018	***-**-395P - DIVASTA, ANTHONY ACCOUNT #: 00059597416	AMERICAN BALANCED FUND-A BUY 2 Units @29.2900	50.00	1.88	0.00	1.88	10.0	0.19
09/28/2018	***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	AMERICAN BALANCED FUND-A BUY 1 Units @27.9300	20.00	0.20	0.00	0.20	10.0	0.02
09/28/2018	***-**-965P - MCGUIRE, SCOTT ACCOUNT #: 00073798048	AMERICAN BALANCED FUND-A BUY 1 Units @27.9300	28.50	0.29	0.00	0.29	10.0	0.03



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
09/28/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @27.9300						
09/28/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	18.91	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00089461113	BUY 1 Units @27.9300						
09/24/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 7 Units @27.8000						
09/24/2018	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	87.96	0.88	0.00	0.88	10.0	0.09
	ACCOUNT #: 00089244081	BUY 3 Units @27.8000						
09/24/2018	***-**-035S - CAPIZZI, TRACIE	AMERICAN BALANCED FUND-C	37.75	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00089679504	BUY 1 Units @27.8000						
09/25/2018	***-**-398I - GUERRIERI, PAUL	AMERICAN BALANCED FUND-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00086040659	BUY 4 Units @27.7700						
09/25/2018	***-**-8208 - KARNs, SHANNON	AMERICAN BALANCED FUND-C	1,000.00	10.00	0.00	10.00	10.0	1.00
	ACCOUNT #: 04000886858	BUY 36 Units @27.7700						
09/27/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @27.7500						
09/27/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @27.7500						
09/27/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.61	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @27.7500						
09/27/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @27.7500						
09/27/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	44.17	0.44	0.00	0.44	10.0	0.04
	ACCOUNT #: 04000820464	BUY 2 Units @19.5100						
09/27/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	7.36	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 04000820464	BUY 0 Units @19.5100						
09/27/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	4.55	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00087236607	BUY 0 Units @10.2500						
09/27/2018	***-**-96CL - SCARPULLA,	AMERICAN HIGH-INCOME TRUST-C	105.00	1.05	0.00	1.05	10.0	0.11
	ACCOUNT #: 00087236607	BUY 10 Units @10.2500						
09/28/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @42.8400						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u> 								
09/28/2018	***-**-275P - LAMANNA, DANIEL	AMERICAN MUTUAL FUND-A	41.74	0.42	0.00	0.42	10.0	0.04
	ACCOUNT #: 00066758347	BUY 1 Units @42.8400						
09/28/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	600.00	6.00	0.00	6.00	10.0	0.60
	ACCOUNT #: 00066759711	BUY 14 Units @42.8400						
09/28/2018	***-**-255P - EVANS, JAMES	AMERICAN MUTUAL FUND-A	36.47	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00066759711	BUY 1 Units @42.8400						
09/24/2018	***-**-482I - MARCONI, TODD	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @42.3600						
09/27/2018	***-**-3955 - EAST, MICHAEL	AMERICAN MUTUAL FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @42.2000						
09/27/2018	***-**-6781 - KARNS, DANIELLE	AMERICAN MUTUAL FUND-C	28.52	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 04000409710	BUY 1 Units @42.2000						
09/24/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063412117	BUY 2 Units @19.5200						
09/24/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	24.25	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @19.5200						
09/25/2018	***-**-398I - GUERRIERI, PAUL	CAPITAL WORLD BOND FUND-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 00086040659	BUY 5 Units @18.9000						
09/27/2018	***-**-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 @50.8500						
09/28/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00066758344	BUY 0 Units @51.1900						
09/28/2018	***-**-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 @51.1900						
09/24/2018	***-**-425P - DELGAIZO, LOUISA	EUROPACIFIC GROWTH FUND-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063412117	BUY 2 Units @53.8300						
09/24/2018	***-**-535P - DELGAIZO,	EUROPACIFIC GROWTH FUND-A	72.75	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 00063451518	BUY 1 Units @53.8300						
09/24/2018	***-**-425P - DELGAIZO, LOUISA	FUNDAMENTAL INVESTORS-A	267.00	3.20	0.00	3.20	10.0	0.32
	ACCOUNT #: 00063412117	BUY 4 Units @66.4900						
09/24/2018	***-**-535P - DELGAIZO,	FUNDAMENTAL INVESTORS-A	145.50	1.75	0.00	1.75	10.0	0.18
	ACCOUNT #: 00063451518	BUY 2 Units @66.4900						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
09/28/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00066759710	BUY 0 Units @65.3400						
09/28/2018	***-**-495P - HARTER, EDWARD	FUNDAMENTAL INVESTORS-A	70.44	0.70	0.00	0.70	10.0	0.07
	ACCOUNT #: 00066759710	BUY 1 Units @65.3400						
09/24/2018	***-**-482I - MARCONI, TODD	FUNDAMENTAL INVESTORS-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @65.1600						
09/25/2018	***-**-615P - LE, TU	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00075107985	BUY 2 Units @65.1400						
09/27/2018	***-**-1721 - TABER, LISA	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @65.1400						
09/27/2018	***-**-8667 - BRONGO, ROBERT	FUNDAMENTAL INVESTORS-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @65.1400						
09/27/2018	***-**-6171 - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	53.00	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 04000409801	BUY 1 Units @65.1400						
09/27/2018	***-**-6171 - ROWE, KEVIN	FUNDAMENTAL INVESTORS-C	480.00	4.80	0.00	4.80	10.0	0.48
	ACCOUNT #: 04000409801	BUY 7 Units @65.1400						
09/27/2018	***-**-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 @22.9100						
09/24/2018	***-**-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 @41.6600						
09/27/2018	***-**-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 @41.7000						
09/27/2018	***-**-3727 - D'ANGELO, ANDREW	INVESTMENT COMPANY OF AMERICA CLASS	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 04000409699	BUY 0 Units @41.7000						
09/27/2018	***-**-3727 - D'ANGELO, ANDREW	INVESTMENT COMPANY OF AMERICA CLASS	13.75	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 04000409699	BUY 0 Units @41.7000						
09/27/2018	***-**-6781 - KARNS, DANIELLE	INVESTMENT COMPANY OF AMERICA CLASS	28.53	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 04000409710	BUY 1 Units @41.7000						
09/24/2018	***-**-425P - DELGAIZO, LOUISA	NEW PERSPECTIVE FUND-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063412117	BUY 1 Units @47.5800						
09/24/2018	***-**-535P - DELGAIZO,	NEW PERSPECTIVE FUND-A	24.25	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @47.5800						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
09/27/2018	***-**-1721 - TABER, LISA	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @44.9800						
09/27/2018	***-**-8667 - BRONGO, ROBERT	NEW PERSPECTIVE FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @44.9800						
09/27/2018	***-**-1955 - MARCELLUS, JAMES	NEW PERSPECTIVE FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000409718	BUY 1 Units @44.9800						
09/27/2018	***-**-1955 - MARCELLUS, JAMES	NEW PERSPECTIVE FUND-C	23.08	0.23	0.00	0.23	10.0	0.02
	ACCOUNT #: 04000409718	BUY 1 Units @44.9800						
09/27/2018	***-**-9004 - MARCELLUS,	NEW PERSPECTIVE FUND-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 04000409785	BUY 2 Units @44.9800						
09/27/2018	***-**-9004 - MARCELLUS,	NEW PERSPECTIVE FUND-C	17.30	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 04000409785	BUY 0 Units @44.9800						
09/25/2018	***-**-398I - GUERRIERI, PAUL	NEW WORLD FUND-C	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00086040659	BUY 2 Units @61.5400						
09/27/2018	***-**-96CL - SCARPULLA,	NEW WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @61.6600						
09/27/2018	***-**-8667 - BRONGO, ROBERT	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085904203	BUY 0 Units @61.6600						
09/27/2018	***-**-1721 - TABER, LISA	NEW WORLD FUND-C	21.00	0.21	0.00	0.21	10.0	0.02
	ACCOUNT #: 00085902226	BUY 0 Units @61.6600						
09/28/2018	***-**-3758 - CONNORS, DAVID	NY 529 ADDITIONAL DEPOSIT	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 77162702001	BUY 0 Units @0.0000						
09/28/2018	***-**-80IN - MOYER, COLLEEN	NY 529 ADDITIONAL DEPOSIT	50.00	1.52	0.00	1.52	10.0	0.15
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
09/28/2018	***-**-275P - ROBERTS,	NY 529 ADDITIONAL DEPOSIT	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 77891325801	BUY 0 Units @0.0000						
09/28/2018	***-**-6793 - ESTEP, ARDEN	NY 529 ADDITIONAL DEPOSIT	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 77375699601	BUY 0 Units @0.0000						
09/28/2018	***-**-335P - JULIAN, GIOVANA	NY 529 ADDITIONAL DEPOSIT	226.25	2.27	0.00	2.27	10.0	0.23
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
09/27/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @52.6400						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
09/24/2018	***-**-425P - DELGAIZO, LOUISA	THE BOND FUND OF AMERICA-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063412117	BUY 7 Units @12.6400						
09/24/2018	***-**-535P - DELGAIZO,	THE BOND FUND OF AMERICA-A	48.50	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 00063451518	BUY 4 Units @12.6400						
09/27/2018	***-**-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 @12.4700						
09/27/2018	***-**-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 @12.4700						
09/24/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	133.50	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 00063412117	BUY 2 Units @57.3400						
09/24/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	72.75	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 00063451518	BUY 1 Units @57.3400						
09/28/2018	***-**-195P - OZMINKOWSKI,	THE GROWTH FUND OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00066758342	BUY 4 Units @56.6900						
09/28/2018	***-**-195P - OZMINKOWSKI,	THE GROWTH FUND OF AMERICA-A	87.07	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 00066758342	BUY 2 Units @56.6900						
09/28/2018	***-**-405P - FRISA, ALAN	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758344	BUY 1 Units @56.6900						
09/28/2018	***-**-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 @56.6900						
09/28/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @56.6900						
09/28/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	41.75	0.42	0.00	0.42	10.0	0.04
	ACCOUNT #: 00066758347	BUY 1 Units @56.6900						
09/28/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @56.6900						
09/28/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	36.10	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00066758348	BUY 1 Units @56.6900						
09/28/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	130.00	1.30	0.00	1.30	10.0	0.13
	ACCOUNT #: 00074922243	BUY 2 Units @56.6900						
09/28/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	50.03	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00074922243	BUY 1 Units @56.6900						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: FREDERIC SCARPULLA (continued)</u>								
09/28/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	69.50	0.70	0.00	0.70	10.0	0.07
	ACCOUNT #: 00083414110	BUY 1 Units @56.6900						
09/28/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	78.79	0.79	0.00	0.79	10.0	0.08
	ACCOUNT #: 00083414110	BUY 1 Units @56.6900						
09/28/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00087318332	BUY 0 Units @56.6900						
09/28/2018	***-**-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 @56.6900						
09/28/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @56.6900						
09/28/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	18.90	0.19	0.00	0.19	10.0	0.02
	ACCOUNT #: 00089461113	BUY 0 Units @56.6900						
09/28/2018	***-**-995P - ARBORE, CARL	THE GROWTH FUND OF AMERICA-A	50.00	1.38	0.00	1.38	10.0	0.14
	ACCOUNT #: 00081166789	BUY 1 Units @58.7500						
09/24/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	176.00	1.76	0.00	1.76	10.0	0.18
	ACCOUNT #: 00073003754	BUY 3 Units @52.0800						
09/24/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	55.97	0.56	0.00	0.56	10.0	0.06
	ACCOUNT #: 00089319958	BUY 1 Units @52.0800						
09/24/2018	***-**-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 @52.0800						
09/24/2018	***-**-0006 - FORSYTH, KATHRYN	THE GROWTH FUND OF AMERICA-C	86.54	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 04000650661	BUY 2 Units @52.0800						
09/25/2018	***-**-7186 - VELLA, DOMENICO	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000248474	BUY 1 Units @52.1900						
09/25/2018	***-**-2678 - VELLA, VINCENZO	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000248491	BUY 1 Units @52.1900						
09/27/2018	***-**-6375 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	18.00	0.18	0.00	0.18	10.0	0.02
	ACCOUNT #: 04000598159	BUY 0 Units @52.3700						
09/27/2018	***-**-6375 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	75.00	0.75	0.00	0.75	10.0	0.08
	ACCOUNT #: 04000598159	BUY 1 Units @52.3700						
09/27/2018	***-**-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 @52.3700						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u>								
09/27/2018	***-**-3727 - D'ANGELO, ANDREW	THE GROWTH FUND OF AMERICA-C	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 04000409699	BUY 0 Units @52.3700						
09/27/2018	***-**-3727 - D'ANGELO, ANDREW	THE GROWTH FUND OF AMERICA-C	13.75	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 04000409699	BUY 0 Units @52.3700						
09/27/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	480.00	4.80	0.00	4.80	10.0	0.48
	ACCOUNT #: 04000409714	BUY 9 Units @52.3700						
09/27/2018	***-**-8208 - KARNS, SHANNON	THE GROWTH FUND OF AMERICA-C	15.80	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 04000409714	BUY 0 Units @52.3700						
09/27/2018	***-**-1955 - MARCELLUS, JAMES	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000409718	BUY 1 Units @52.3700						
09/27/2018	***-**-1955 - MARCELLUS, JAMES	THE GROWTH FUND OF AMERICA-C	23.08	0.23	0.00	0.23	10.0	0.02
	ACCOUNT #: 04000409718	BUY 0 Units @52.3700						
09/27/2018	***-**-9004 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	100.00	1.00	0.00	1.00	10.0	0.10
	ACCOUNT #: 04000409785	BUY 2 Units @52.3700						
09/27/2018	***-**-9004 - MARCELLUS,	THE GROWTH FUND OF AMERICA-C	17.30	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 04000409785	BUY 0 Units @52.3700						
09/27/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	53.00	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 04000409801	BUY 1 Units @52.3700						
09/27/2018	***-**-6171 - ROWE, KEVIN	THE GROWTH FUND OF AMERICA-C	480.00	4.80	0.00	4.80	10.0	0.48
	ACCOUNT #: 04000409801	BUY 9 Units @52.3700						
09/28/2018	***-**-5945 - INFANTINO,	THE GROWTH FUND OF AMERICA-C	400.00	4.00	0.00	4.00	10.0	0.40
	ACCOUNT #: 04000722726	BUY 8 Units @52.2700						
09/24/2018	***-**-395P - DIVASTA, ANTHONY	THE INVESTMENT COMPANY OF AMERICA-A	50.00	1.88	0.00	1.88	10.0	0.19
	ACCOUNT #: 00059597416	BUY 1 Units @44.0700						
09/28/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00066758342	BUY 6 Units @42.1100						
09/28/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	87.07	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 00066758342	BUY 2 Units @42.1100						
09/28/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @42.1100						
09/28/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	36.09	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 00066758348	BUY 1 Units @42.1100						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: FREDERIC SCARPULLA (continued)</u> 								
09/28/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 0 Units @42.1100						
09/28/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	28.49	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00073798048	BUY 1 Units @42.1100						
09/28/2018	***-**-278J - GUERRIERI, JOHN	THE TAX-EXEMPT BOND FUND OF AMERICA	2,000.00	20.00	0.00	20.00	10.0	2.00
	ACCOUNT #: 00084395514	BUY 157 Units @12.7000						
09/28/2018	***-**-51IN - GUERRIERI, KIM	THE TAX-EXEMPT BOND FUND OF AMERICA	1,000.00	10.00	0.00	10.00	10.0	1.00
	ACCOUNT #: 00085399151	BUY 79 Units @12.7000						
09/28/2018	***-**-75UG - GUERRIERI, SOFIA	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00085399166	BUY 20 Units @12.7000						
09/28/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 00066758345	BUY 11 Units @46.7100						
09/28/2018	***-**-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 @46.7100						
09/24/2018	***-**-435P - BOSCO, SOFIA	WASHINGTON MUTUAL INVESTORS FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 4 Units @46.3800						
09/24/2018	***-**-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 @46.3800						
09/25/2018	***-**-398I - GUERRIERI, PAUL	WASHINGTON MUTUAL INVESTORS FUND-C	150.00	1.50	0.00	1.50	10.0	0.15
	ACCOUNT #: 00086040659	BUY 3 Units @46.2500						
 * FREDERIC SCARPULLA SUBTOTAL *			\$14,978.01	\$157.19	\$0.00	\$157.19		\$15.86
 <u>BROKER: WILLIAM AGNELLO</u> 								
09/28/2018	***-**-657I - RIEL, KEVIN	ALLIANZ TRAILS DTCC	0.00	107.47	0.00	107.47	25.0	26.87
	ACCOUNT #: GAX61148	BUY 0 Units @0.0000						
09/28/2018	***-**-25BA - DIPAOLO, JOSEPH	ALLIANZ TRAILS DTCC	0.00	47.66	0.00	47.66	25.0	11.92
	ACCOUNT #: GAX61419	BUY 0 Units @0.0000						
09/28/2018	***-**-43IN - CUP, NICHOLAS	ALLIANZ TRAILS DTCC	0.00	211.26	0.00	211.26	25.0	52.82
	ACCOUNT #: GAX61651	BUY 0 Units @0.0000						
09/28/2018	***-**-8172 - MAZZOCHETTI,	ALLIANZ VA TRAILS DTCC	0.00	69.46	0.00	69.46	25.0	17.37
	ACCOUNT #: GAP20277	BUY 0 Units @0.0000						
 * WILLIAM AGNELLO SUBTOTAL *			\$0.00	\$435.85	\$0.00	\$435.85		\$108.98



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: JAMES LOMBARDO</u>								
09/28/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 00083468095	BUY 2 Units @29.6300						
09/17/2018	***-**-5506 - LOMBARDO, LEIGH	INVESCO AMERICAN FRANCHISE FUND -CL	400.00	16.00	0.00	16.00	15.0	2.40
	ACCOUNT #: 03809219276	BUY 17 Units @23.7900						
09/17/2018	***-**-6195 - BACKUS, THOMAS	INVESCO AMERICAN FRANCHISE FUND -CL	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 03908954377	BUY 2 Units @24.0400						
08/15/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM EQUITY INCOME FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 00461190200	BUY 2 Units @26.7600						
09/17/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM EQUITY INCOME FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 00461190200	BUY 2 Units @27.4800						
09/27/2018	***-**-8806 - MABRY, REBECCA	THE BOND FUND OF AMERICA-A	75.00	2.25	0.00	2.25	15.0	0.34
	ACCOUNT #: 00082729374	BUY 6 Units @12.9600						
09/27/2018	***-**-8806 - MABRY, REBECCA	WASHINGTON MUTUAL INVESTORS FUND-A	75.00	2.81	0.00	2.81	15.0	0.42
	ACCOUNT #: 00082729374	BUY 2 Units @48.9100						
* JAMES LOMBARDO SUBTOTAL *			\$750.00	\$31.06	\$0.00	\$31.06		\$4.68
*** OVERRIDE TRANSACTIONS TOTAL ***			\$346,426.49	\$19,003.93	\$0.00	\$19,003.93		\$3,795.46



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<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$4.73
						Split Transactions		\$0.00
						Override Transactions		\$3,795.46
						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		\$3,800.19
						Year-to-date Earnings		\$88,572.26