



COMMISSION STATEMENT

October 22, 2018

JAMES LOMBARDO
231 Hill Road
Rome, NY 13441

BROKER #: A08
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	***-**-8238 - ASMUS, MICHAEL	AMERICAN BALANCED FUND-A	75.00	2.81	0.00	2.81	80.0	2.25
	ACCOUNT #: 00074487927	BUY 3 Units @28.3000						
10/15/2018	***-**-8806 - MABRY, REBECCA	CAPITAL INCOME BUILDER-A	75.00	2.81	0.00	2.81	80.0	2.25
	ACCOUNT #: 00082729374	BUY 1 Units @61.2000						
10/15/2018	***-**-8806 - MABRY, REBECCA	EUROPACIFIC GROWTH FUND-A	75.00	2.81	0.00	2.81	80.0	2.25
	ACCOUNT #: 00082729374	BUY 1 Units @51.5100						
10/15/2018	***-**-8238 - ASMUS, MICHAEL	THE INVESTMENT COMPANY OF AMERICA-A	140.00	5.25	0.00	5.25	80.0	4.20
	ACCOUNT #: 00074487927	BUY 3 Units @41.9900						
* MUTUAL FUNDS SUBTOTAL *			\$365.00	\$13.68	\$0.00	\$13.68		\$10.95
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/01/2018	***-**-51IR - HOKE, THOMAS	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	2.47	0.00	2.47	80.0	1.98
	ACCOUNT #: 03809514965	BUY 0 Units @0.0000						
10/01/2018	***-**-0683 - DAVIS, SHARON	HARTFORD INFLATION PLUS FUND CLASS	0.00	18.93	0.00	18.93	80.0	15.14
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
10/01/2018	***-**-5506 - LOMBARDO, LEIGH	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	27.12	0.00	27.12	80.0	21.70
	ACCOUNT #: 03809219276	BUY 0 Units @0.0000						
10/01/2018	***-**-6195 - BACKUS, THOMAS	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	10.48	0.00	10.48	80.0	8.38
	ACCOUNT #: 03908954377	BUY 0 Units @0.0000						
10/01/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD ADVISERS FUND-C	0.00	16.65	0.00	16.65	80.0	13.32
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
10/01/2018	***-**-0683 - DAVIS, SHARON	THE HARTFORD DIVIDEND & GROWTH FUND	0.00	22.07	0.00	22.07	80.0	17.66
	ACCOUNT #: 00000598451	BUY 0 Units @0.0000						
10/01/2018	***-**-5506 - LOMBARDO, LEIGH	VAN KAMPEN3	0.00	8.28	0.00	8.28	80.0	6.62
	ACCOUNT #: 03809219276	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$106.00	\$0.00	\$106.00		\$84.80
*** BROKER TRANSACTIONS TOTAL ***			\$365.00	\$119.68	\$0.00	\$119.68		\$95.75



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<div>BROKER COMMISSION TOTALS</div>								
					Broker Transactions			\$95.75
					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
Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD					Balance Forward			\$95.75
					Year-to-date Earnings			\$5,988.90