

September 10, 2018

JEFFREY HANRETTY

8365 Seneca Turnpike New Hartford, NY 13413 BROKER #: B08

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TR	ANSACTIONS					
PRODUCT	CATEGORY: MUTUAL FUNDS							
08/31/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	AMCAP FUND-A BUY 0 Units @35.5800	6.41	0.13	0.00	0.13	75.0	0.10
08/31/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	AMCAP FUND-A BUY 2 Units @35.5800	62.50	1.25	0.00	1.25	75.0	0.94
08/31/201	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	AMCAP FUND-A BUY 0 Units @35.5800	6.24	0.12	0.00	0.12	75.0	0.09
08/31/201	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	AMCAP FUND-A BUY 1 Units @35.5800	18.75	0.38	0.00	0.38	75.0	0.29
09/07/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	AMCAP FUND-A BUY 0 Units @35.0800	6.41	0.13	0.00	0.13	75.0	0.10
09/07/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	AMCAP FUND-A BUY 2 Units @35.0800	62.50	1.25	0.00	1.25	75.0	0.94
09/07/201	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	AMCAP FUND-A BUY 0 Units @35.0800	6.24	0.12	0.00	0.12	75.0	0.09
09/07/201	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	AMCAP FUND-A BUY 1 Units @35.0800	18.75	0.38	0.00	0.38	75.0	0.29
08/31/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	AMERICAN BALANCED FUND-A BUY 0 Units @28.6800	6.41	0.13	0.00	0.13	75.0	0.10
08/31/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	AMERICAN BALANCED FUND-A BUY 2 Units @28.6800	62.50	1.25	0.00	1.25	75.0	0.94
09/07/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	AMERICAN BALANCED FUND-A BUY 0 Units @28.4700	6.41	0.13	0.00	0.13	75.0	0.10
09/07/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	AMERICAN BALANCED FUND-A BUY 2 Units @28.4700	62.50	1.25	0.00	1.25	75.0	0.94
08/29/201	8 ***-**-1060 - DUNLAP, DONNA ACCOUNT #: 00085629087	AMERICAN FUNDS 2020 TARGET DATE-A BUY 3 Units @13.4700	40.66	1.52	0.00	1.52	75.0	1.14
08/29/201	8 ***-**-1060 - DUNLAP, DONNA ACCOUNT #: 00085629087	AMERICAN FUNDS 2020 TARGET DATE-A BUY 4 Units @13.4700	50.00	1.88	0.00	1.88	75.0	1.41
08/31/201	8 ***-**-5124 - DEE, ALAN ACCOUNT #: 00086069280	AMERICAN FUNDS 2020 TARGET DATE-A BUY 1 Units @13.1400	11.25	0.23	0.00	0.23	75.0	0.17
08/31/201	8 ***-**-5124 - DEE, ALAN ACCOUNT #: 00086069280	AMERICAN FUNDS 2020 TARGET DATE-A BUY 2 Units @13.1400	25.00	0.50	0.00	0.50	75.0	0.38



September 10, 2018

JEFFREY HANRETTY

8365 Seneca Turnpike New Hartford, NY 13413 BROKER #: B08

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TRANSACTI	ONS (continu	ıed)				
PRODUCT (CATEGORY: MUTUAL FUNDS (cont	inued)						
09/07/2018	3 ***-**-5124 - DEE, ALAN ACCOUNT #: 00086069280	AMERICAN FUNDS 2020 TARGET DATE-A BUY 1 Units @13.0400	11.25	0.23	0.00	0.23	75.0	0.17
09/07/2018	3 ***-**-5124 - DEE, ALAN ACCOUNT #: 00086069280	AMERICAN FUNDS 2020 TARGET DATE-A BUY 2 Units @13.0400	25.00	0.50	0.00	0.50	75.0	0.38
09/05/2018	3 ***-**-4547 - NORWOOD, CLINTON ACCOUNT #: 00083594601	AMERICAN FUNDS 2025 TARGET DATE-A BUY 21 Units @14.5500	300.00	15.00	0.00	15.00	75.0	11.25
08/29/2018	3 ***-**-8758 - RIOLO, LAWRENCE ACCOUNT #: 04000070058	AMERICAN FUNDS 2035 TARGET DATE-A BUY 3 Units @16.3600	47.63	1.79	0.00	1.79	75.0	1.34
08/29/2018	3 ***-**-8758 - RIOLO, LAWRENCE ACCOUNT #: 04000070058	AMERICAN FUNDS 2035 TARGET DATE-A BUY 3 Units @16.3600	46.26	1.73	0.00	1.73	75.0	1.30
09/05/2018	3 ***-**-627J - KALWARA, TREVOR ACCOUNT #: 04000868759	AMERICAN FUNDS 2045 TARGET DATE-A BUY 6 Units @17.0300	100.00	5.00	0.00	5.00	75.0	3.75
08/31/2018	3 ***-**-7692 - SCHERMERHORN, ACCOUNT #: 00087922386	AMERICAN FUNDS BALANCED PORT CL C BUY 7 Units @14.9500	108.06	1.08	0.00	1.08	75.0	0.81
08/31/2018	3 ***-**-7692 - SCHERMERHORN, ACCOUNT #: 00087922386	AMERICAN FUNDS BALANCED PORT CL C BUY 4 Units @14.9500	64.84	0.65	0.00	0.65	75.0	0.49
08/31/2018	3 ***-**-0481 - WILDER, MARTIN ACCOUNT #: 00087922392	AMERICAN FUNDS BALANCED PORT CL C BUY 19 Units @14.9500	289.40	2.89	0.00	2.89	75.0	2.17
08/31/2018	3 ***-**-0481 - WILDER, MARTIN ACCOUNT #: 00087922392	AMERICAN FUNDS BALANCED PORT CL C BUY 8 Units @14.9500	124.05	1.24	0.00	1.24	75.0	0.93
08/31/2018	3 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @60.5700	6.25	0.06	0.00	0.06	75.0	0.05
08/31/2018	3 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @60.5700	1.36	0.01	0.00	0.01	75.0	0.01
08/31/2018	3 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @60.5700	3.70	0.04	0.00	0.04	75.0	0.03
08/31/2018	3 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @60.5700	12.50	0.13	0.00	0.13	75.0	0.10
08/31/2018	3 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @60.5700	3.24	0.03	0.00	0.03	75.0	0.02
08/31/2018	3 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @60.5700	35.77	0.36	0.00	0.36	75.0	0.27



September 10, 2018

JEFFREY HANRETTY

8365 Seneca Turnpike New Hartford, NY 13413 BROKER #: B08

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TRANSACTI	ONS (continu	ıed)				
PRODUCT	CATEGORY: MUTUAL FUNDS (cont	tinued)						
09/07/20	18 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @60.0600	1.38	0.01	0.00	0.01	75.0	0.01
09/07/20	18 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @60.0600	6.25	0.06	0.00	0.06	75.0	0.05
09/07/20	18 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @60.0600	3.70	0.04	0.00	0.04	75.0	0.03
09/07/20	18 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @60.0600	12.50	0.13	0.00	0.13	75.0	0.10
09/07/20	18 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @60.0600	3.24	0.03	0.00	0.03	75.0	0.02
09/07/20	18 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @60.0600	35.77	0.36	0.00	0.36	75.0	0.27
08/31/20	18 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	CAPITAL WORLD BOND FUND-C BUY 0 Units @19.0200	1.62	0.02	0.00	0.02	75.0	0.02
08/31/20	18 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	CAPITAL WORLD BOND FUND-C BUY 1 Units @19.0200	17.88	0.18	0.00	0.18	75.0	0.14
09/07/20	18 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	CAPITAL WORLD BOND FUND-C BUY 0 Units @18.9400	1.62	0.02	0.00	0.02	75.0	0.02
09/07/20	18 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	CAPITAL WORLD BOND FUND-C BUY 1 Units @18.9400	17.88	0.18	0.00	0.18	75.0	0.14
08/29/20	18 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @54.2400	20.40	0.77	0.00	0.77	75.0	0.58
08/29/20	18 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @54.2400	53.00	1.99	0.00	1.99	75.0	1.49
08/31/20	18 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.5300	7.40	0.15	0.00	0.15	75.0	0.11
08/31/20	18 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.5300	31.25	0.63	0.00	0.63	75.0	0.47
08/31/20	18 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @52.5300	6.49	0.13	0.00	0.13	75.0	0.10
08/31/20	18 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.5300	62.50	1.25	0.00	1.25	75.0	0.94



September 10, 2018

JEFFREY HANRETTY

8365 Seneca Turnpike New Hartford, NY 13413 BROKER #: B08

TEGORY: MUTUAL FUNDS (cont. **-**-2354 - PENDOLF, NANCY CCOUNT #: 00083468545 **-**-2354 - PENDOLF, NANCY CCOUNT #: 00083468545		TRANSACTION	S (continue	<u>ed)</u>				
--2354 - PENDOLF, NANCY CCOUNT #: 00083468545 **-**-2354 - PENDOLF, NANCY	CAPITAL WORLD GROWTH AND BUY 0 Units @50.6100	INCOME FUN						
CCOUNT #: 00083468545 **-**-2354 - PENDOLF, NANCY	BUY 0 Units @50.6100	INCOME FUN						
•	CADITAL WORLD CROWTH AND		6.25	0.06	0.00	0.06	75.0	0.05
	BUY 0 Units @50.6100	INCOME FUN	1.36	0.01	0.00	0.01	75.0	0.01
--2542 - OGIYEVICH, CCOUNT #: 00083468551	CAPITAL WORLD GROWTH AND BUY 0 Units @50.6100	INCOME FUN	3.70	0.04	0.00	0.04	75.0	0.03
--2542 - OGIYEVICH, CCOUNT #: 00083468551	CAPITAL WORLD GROWTH AND BUY 0 Units @50.6100	INCOME FUN	12.50	0.13	0.00	0.13	75.0	0.10
--3569 - YOZZO, ROSA CCOUNT #: 00083468583	CAPITAL WORLD GROWTH AND BUY 0 Units @50.6100	INCOME FUN	3.24	0.03	0.00	0.03	75.0	0.02
--3569 - YOZZO, ROSA CCOUNT #: 00083468583	CAPITAL WORLD GROWTH AND BUY 1 Units @50.6100	INCOME FUN	35.75	0.36	0.00	0.36	75.0	0.27
--381I - ZARNOCK, MARTIN CCOUNT #: 00073744335	CAPITAL WORLD GROWTH AND BUY 0 Units @51.3600	INCOME FUN	7.40	0.15	0.00	0.15	75.0	0.11
--381I - ZARNOCK, MARTIN CCOUNT #: 00073744335	CAPITAL WORLD GROWTH AND BUY 1 Units @51.3600	INCOME FUN	31.25	0.63	0.00	0.63	75.0	0.47
--9027 - NELSON, CCOUNT #: 00073744742	CAPITAL WORLD GROWTH AND BUY 0 Units @51.3600	INCOME FUN	6.49	0.13	0.00	0.13	75.0	0.10
--9027 - NELSON, CCOUNT #: 00073744742	CAPITAL WORLD GROWTH AND BUY 1 Units @51.3600	INCOME FUN	62.50	1.25	0.00	1.25	75.0	0.94
--2354 - PENDOLF, NANCY CCOUNT #: 00083468545	CAPITAL WORLD GROWTH AND BUY 0 Units @49.4700	INCOME FUN	1.38	0.01	0.00	0.01	75.0	0.01
--2354 - PENDOLF, NANCY CCOUNT #: 00083468545	CAPITAL WORLD GROWTH AND BUY 0 Units @49.4700	INCOME FUN	6.25	0.06	0.00	0.06	75.0	0.05
--2542 - OGIYEVICH, CCOUNT #: 00083468551	CAPITAL WORLD GROWTH AND BUY 0 Units @49.4700	INCOME FUN	3.70	0.04	0.00	0.04	75.0	0.03
--2542 - OGIYEVICH, CCOUNT #: 00083468551	CAPITAL WORLD GROWTH AND BUY 0 Units @49.4700	INCOME FUN	12.50	0.13	0.00	0.13	75.0	0.10
--3569 - YOZZO, ROSA CCOUNT #: 00083468583	CAPITAL WORLD GROWTH AND BUY 0 Units @49.4700	INCOME FUN	3.24	0.03	0.00	0.03	75.0	0.02
--3569 - YOZZO, ROSA CCOUNT #: 00083468583	CAPITAL WORLD GROWTH AND BUY 1 Units @49.4700	INCOME FUN	35.75	0.36	0.00	0.36	75.0	0.27
7) + 7) + 7) + 7) + 7) + 7) + 7) + 7) +	*-**-2542 - OGIYEVICH, COUNT #: 00083468551 *-**-2542 - OGIYEVICH, COUNT #: 00083468551 *-**-3569 - YOZZO, ROSA COUNT #: 00083468583 *-**-3569 - YOZZO, ROSA COUNT #: 00083468583 *-**-381I - ZARNOCK, MARTIN COUNT #: 00073744335 *-**-381I - ZARNOCK, MARTIN COUNT #: 00073744335 *-**-9027 - NELSON, COUNT #: 00073744742 *-**-9027 - NELSON, COUNT #: 00073744742 *-**-2354 - PENDOLF, NANCY COUNT #: 00083468545 *-**-2354 - PENDOLF, NANCY COUNT #: 00083468545 *-**-2354 - OGIYEVICH, COUNT #: 00083468551 *-**-2542 - OGIYEVICH, COUNT #: 00083468551 *-**-3569 - YOZZO, ROSA COUNT #: 00083468583 *-**-3569 - YOZZO, ROSA	*-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND COUNT #: 00083468551 BUY 0 Units @50.6100 *-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND COUNT #: 00083468551 BUY 0 Units @50.6100 *-**-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND COUNT #: 00083468583 BUY 0 Units @50.6100 *-**-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND COUNT #: 00083468583 BUY 1 Units @50.6100 *-**-3811 - ZARNOCK, MARTIN CAPITAL WORLD GROWTH AND BUY 0 Units @51.3600 *-**-3811 - ZARNOCK, MARTIN CAPITAL WORLD GROWTH AND COUNT #: 00073744335 BUY 1 Units @51.3600 *-**-9027 - NELSON, CAPITAL WORLD GROWTH AND BUY 1 Units @51.3600 *-**-9027 - NELSON, CAPITAL WORLD GROWTH AND COUNT #: 00073744742 BUY 0 Units @51.3600 *-**-9027 - NELSON, CAPITAL WORLD GROWTH AND COUNT #: 00073744742 BUY 1 Units @51.3600 *-**-2354 - PENDOLF, NANCY CAPITAL WORLD GROWTH AND COUNT #: 00083468545 BUY 0 Units @49.4700 *-**-2354 - PENDOLF, NANCY CAPITAL WORLD GROWTH AND COUNT #: 00083468545 BUY 0 Units @49.4700 *-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND COUNT #: 00083468551 BUY 0 Units @49.4700 *-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND COUNT #: 00083468551 BUY 0 Units @49.4700 *-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND COUNT #: 00083468551 BUY 0 Units @49.4700 *-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND COUNT #: 00083468551 BUY 0 Units @49.4700 *-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND COUNT #: 00083468551 BUY 0 Units @49.4700 *-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND COUNT #: 00083468551 BUY 0 Units @49.4700 *-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND COUNT #: 00083468583 BUY 0 Units @49.4700 *-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND COUNT #: 00083468551 BUY 0 Units @49.4700 *-**-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND COUNT #: 00083468583 BUY 0 Units @49.4700 *-**-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND COUNT #: 00083468583 BUY 0 Units @49.4700	*-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @50.6100 *-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @50.6100 *-**-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @50.6100 *-**-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @50.6100 *-**-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @50.6100 *-**-3811 - ZARNOCK, MARTIN CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @51.3600 *-**-3811 - ZARNOCK, MARTIN CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.3600 *-**-9027 - NELSON, CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.3600 *-**-9027 - NELSON, CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @51.3600 *-**-9027 - NELSON, CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @51.3600 *-**-9027 - NELSON, CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.3600 *-**-9027 - NELSON, CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @49.4700 *-**-2354 - PENDOLF, NANCY CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @49.4700 *-**-2354 - PENDOLF, NANCY CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @49.4700 *-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @49.4700 *-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @49.4700 *-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @49.4700 *-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @49.4700 *-**-25569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @49.4700 *-**-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @49.4700 *-**-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @49.4700 *-**-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @49.4700 *-**-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @49.4700	*-*-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN 3.70 ****-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN 12.50 ****-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN 12.50 ****-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN 3.24 ****-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN 35.75 ****-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN 35.75 ****-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN 35.75 ****-3811 - ZARNOCK, MARTIN CAPITAL WORLD GROWTH AND INCOME FUN 7.40 ****-3811 - ZARNOCK, MARTIN CAPITAL WORLD GROWTH AND INCOME FUN 31.25 ****-3811 - ZARNOCK, MARTIN CAPITAL WORLD GROWTH AND INCOME FUN 31.25 ****-3811 - ZARNOCK, MARTIN CAPITAL WORLD GROWTH AND INCOME FUN 31.25 ****-9027 - NELSON, CAPITAL WORLD GROWTH AND INCOME FUN 6.49 ****-9027 - NELSON, CAPITAL WORLD GROWTH AND INCOME FUN 6.49 ****-9027 - NELSON, CAPITAL WORLD GROWTH AND INCOME FUN 62.50 ****-2007 + PENDOLF, NANCY CAPITAL WORLD GROWTH AND INCOME FUN 1.38 ****-2354 - PENDOLF, NANCY CAPITAL WORLD GROWTH AND INCOME FUN 1.38 ****-2354 - PENDOLF, NANCY CAPITAL WORLD GROWTH AND INCOME FUN 1.38 ****-2354 - PENDOLF, NANCY CAPITAL WORLD GROWTH AND INCOME FUN 3.70 ****-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN 3.70 ****-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN 3.70 ****-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN 3.70 ****-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN 3.70 ****-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN 3.70 ****-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN 3.70 ****-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN 3.20 ****-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN 3.24 ****-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN 3.24 ****-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN 3.24 ****-3569 - YOZZO, ROSA CAPITAL WORLD GROWTH AND INCOME FUN 3.24	*-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN 3.70 0.04 COUNT #: 00083468551 BUY 0 Units @50.6100 12.50 0.13 COUNT #: 00083468551 BUY 0 Units @50.6100 12.50 0.13 COUNT #: 00083468583 BUY 0 Units @50.6100 13.24 0.03 COUNT #: 00083468583 BUY 0 Units @50.6100 13.24 0.03 COUNT #: 00083468583 BUY 0 Units @50.6100 13.25 0.36 COUNT #: 00083468583 BUY 0 Units @50.6100 13.25 0.36 COUNT #: 00083468583 BUY 1 Units @50.6100 13.25 0.36 COUNT #: 00083468583 BUY 1 Units @50.6100 13.25 0.36 COUNT #: 00073744335 BUY 1 Units @51.3600 13.25 0.63 COUNT #: 00073744335 BUY 1 Units @51.3600 13.25 0.63 COUNT #: 00073744742 BUY 1 Units @51.3600 13.25 0.63 COUNT #: 00073744742 BUY 0 Units @51.3600 13.25 0.63 COUNT #: 00073744742 BUY 0 Units @51.3600 13.25 0.63 COUNT #: 00073744742 BUY 0 Units @51.3600 13.25 0.63 COUNT #: 00073744742 BUY 0 Units @51.3600 13.25 0.63 COUNT #: 00073744742 BUY 0 Units @51.3600 13.25 0.63 COUNT #: 00083468545 BUY 1 Units @51.3600 13.25 0.06 COUNT #: 00083468545 BUY 0 Units @49.4700 13.30 0.04 COUNT #: 00083468545 BUY 0 Units @49.4700 13.30 0.04 COUNT #: 00083468551 BUY 0 Units @49.4700 13.70 0.04 COUNT #: 00083468551 BUY 0 Units @49.4700 13.25 0.06 COUNT #: 00083468551 BUY 0 Units @49.4700 13.25 0.06 COUNT #: 00083468551 BUY 0 Units @49.4700 13.25 0.06 COUNT #: 00083468551 BUY 0 Units @49.4700 13.24 0.03 COUNT #: 00083468583 BUY 0 Units @49.4700 13.24 0.03 COUNT #: 00083468583 BUY 0 Units @49.4700 13.24 0.03 COUNT #: 00083468583 BUY 0 Units @49.4700 13.24 0.03 COUNT #: 00083468583 BUY 0 Units @49.4700 13.24 0.03 COUNT #: 00083468583 BUY 0 Units @49.4700 13.24 0.03 COUNT #: 00083468583 BUY 0 Units @49.4700 13.24 0.03 COUNT #: 00083468583 BUY 0 Units @49.4700 13.24 0.03 COUNT #: 00083468583 BUY 0 Units @49.4700 13.24 0.03 COUNT #: 00083468583 BUY 0 Units @49.4700 13.24 0.03 COUNT #: 00083468583 BUY 0 Units @49.4700 13.24 0.03 COUNT #: 00083468583 BUY 0 Units @49.4700 13.24 0.03 COUNT #: 00083468583 BUY 0 Units @49.4700 13.24 0.03 COUNT #: 00083468583 BUY 0 Units @49.4700 13.24 0.03 COUNT #: 0008346	*-**-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN 3.70 0.04 0.00 COUNT #: 00083468551 BUY 0 Units @50.6100 12.50 0.13 0.00 COUNT #: 00083468551 BUY 0 Units @50.6100 12.50 0.13 0.00 COUNT #: 00083468551 BUY 0 Units @50.6100 13.24 0.03 0.00 COUNT #: 00083468583 BUY 0 Units @50.6100 13.24 0.03 0.00 COUNT #: 00083468583 BUY 0 Units @50.6100 13.575 0.36 0.00 COUNT #: 00083468583 BUY 1 Units @50.6100 13.575 0.36 0.00 COUNT #: 00083468583 BUY 1 Units @50.6100 14.550 0.00 COUNT #: 00073744335 BUY 1 Units @50.6100 15.610	****-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN 3.70 0.04 0.00 0.04 0.00 0.04 0.01 0.04 0.01 0.04 0.01 0.04 0.01 0.04 0.01 0.04 0.01 0.04 0.01 0.04 0.01 0.04 0.01 0.04 0.00 0.01 0.01	****-2542 - OGIYEVICH, CAPITAL WORLD GROWTH AND INCOME FUN 3.70 0.04 0.00 0.04 75.0 COUNT #: 00083468551 BUY 0 Units #50.6100 12.50 0.13 0.00 0.13 75.0 COUNT #: 00083468551 BUY 0 Units #50.6100 12.50 0.13 0.00 0.03 75.0 COUNT #: 00083468551 BUY 0 Units #50.6100 0.00 0.03 75.0 COUNT #: 00083468583 BUY 0 Units #50.6100 0.00 0.03 75.0 COUNT #: 00083468583 BUY 0 Units #50.6100 0.00 0.03 75.0 COUNT #: 00083468583 BUY 1 Units #50.6100 0.00 0.00 0.03 75.0 COUNT #: 00083468583 BUY 1 Units #50.6100 0.00 0.00 0.00 0.00 0.00 0.00 0.0



September 10, 2018

JEFFREY HANRETTY

8365 Seneca Turnpike New Hartford, NY 13413 BROKER #: B08

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
DDODUGE	G10000 10000 10000 (CTIONS (continu	ıed)				
	CATEGORY: MUTUAL FUNDS (con .8 ***-**-9137 - YOZZO, JOSEPH ACCOUNT #: 00082276628	FUNDAMENTAL INVESTORS-A BUY 1 Units @68.0600	75.00	2.81	0.00	2.81	75.0	2.11
08/31/201	.8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	FUNDAMENTAL INVESTORS-A BUY 0 Units @66.6500	6.23	0.12	0.00	0.12	75.0	0.09
08/31/201	.8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	FUNDAMENTAL INVESTORS-A BUY 0 Units @66.6500	18.75	0.38	0.00	0.38	75.0	0.29
09/07/201	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	FUNDAMENTAL INVESTORS-A BUY 0 Units @65.7400	6.23	0.12	0.00	0.12	75.0	0.09
09/07/201	.8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	FUNDAMENTAL INVESTORS-A BUY 0 Units @65.7400	18.75	0.38	0.00	0.38	75.0	0.29
08/31/201	.8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	FUNDAMENTAL INVESTORS-C BUY 0 Units @64.5500	2.97	0.03	0.00	0.03	75.0	0.02
08/31/201	.8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	FUNDAMENTAL INVESTORS-C BUY 1 Units @64.5500	32.79	0.33	0.00	0.33	75.0	0.25
09/07/201	.8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.6600	2.97	0.03	0.00	0.03	75.0	0.02
09/07/201	.8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	FUNDAMENTAL INVESTORS-C BUY 1 Units @63.6600	32.79	0.33	0.00	0.33	75.0	0.25
08/31/201	.8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	INCOME FUND OF AMERICA CLASS C BUY 0 Units @22.9900	2.97	0.03	0.00	0.03	75.0	0.02
08/31/201	.8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	INCOME FUND OF AMERICA CLASS C BUY 1 Units @22.9900	32.79	0.33	0.00	0.33	75.0	0.25
09/07/201	.8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	INCOME FUND OF AMERICA CLASS C BUY 0 Units @22.8200	2.97	0.03	0.00	0.03	75.0	0.02
09/07/201	.8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	INCOME FUND OF AMERICA CLASS C BUY 1 Units @22.8200	32.79	0.33	0.00	0.33	75.0	0.25
08/28/201	8 ***-**-9137 - YOZZO, JOSEPH ACCOUNT #: 00082276628	NEW PERSPECTIVE FUND-A BUY 2 Units @49.2300	75.00	2.81	0.00	2.81	75.0	2.11
08/31/201	.8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	NEW PERSPECTIVE FUND-A BUY 0 Units @48.0900	6.24	0.12	0.00	0.12	75.0	0.09
08/31/201	.8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	NEW PERSPECTIVE FUND-A BUY 0 Units @48.0900	18.75	0.38	0.00	0.38	75.0	0.29



September 10, 2018

JEFFREY HANRETTY

8365 Seneca Turnpike New Hartford, NY 13413 BROKER #: B08

DATE	CLIENT	INVESTMENT		ESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
DDODIIC'''	CATEGORY: MUTUAL FUNDS (cont		TRANSACTIONS	(continu	.ed)				
	8 ***-*-4540 - NELSON, RORY ACCOUNT #: 00073748857	NEW PERSPECTIVE FUND-A BUY 0 Units @46.9500		6.24	0.12	0.00	0.12	75.0	0.09
09/07/201	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	NEW PERSPECTIVE FUND-A BUY 0 Units @46.9500		18.75	0.38	0.00	0.38	75.0	0.29
08/29/201	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	NEW WORLD FUND-A BUY 0 Units @68.4300		20.40	0.77	0.00	0.77	75.0	0.58
08/29/201	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	NEW WORLD FUND-A BUY 1 Units @68.4300		53.00	1.99	0.00	1.99	75.0	1.49
08/31/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	NEW WORLD FUND-A BUY 0 Units @66.1300		6.41	0.13	0.00	0.13	75.0	0.10
08/31/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	NEW WORLD FUND-A BUY 1 Units @66.1300		62.50	1.25	0.00	1.25	75.0	0.94
09/07/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	NEW WORLD FUND-A BUY 0 Units @64.3700		6.41	0.13	0.00	0.13	75.0	0.10
09/07/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	NEW WORLD FUND-A BUY 1 Units @64.3700		62.50	1.25	0.00	1.25	75.0	0.94
08/31/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	NEW WORLD FUND-C BUY 0 Units @62.0100		2.97	0.03	0.00	0.03	75.0	0.02
08/31/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	NEW WORLD FUND-C BUY 1 Units @62.0100		32.79	0.33	0.00	0.33	75.0	0.25
09/07/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	NEW WORLD FUND-C BUY 0 Units @60.3400		2.97	0.03	0.00	0.03	75.0	0.02
09/07/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	NEW WORLD FUND-C BUY 1 Units @60.3400		32.79	0.33	0.00	0.33	75.0	0.25
08/28/201	8 ***-**-9137 - YOZZO, JOSEPH ACCOUNT #: 00082276628	SMALLCAP WORLD FUND-A BUY 2 Units @63.7000		100.00	3.75	0.00	3.75	75.0	2.81
08/29/201	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	SMALLCAP WORLD FUND-A BUY 0 Units @64.0200		20.40	0.77	0.00	0.77	75.0	0.58
)8/29/201	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	SMALLCAP WORLD FUND-A BUY 1 Units @64.0200		53.00	1.99	0.00	1.99	75.0	1.49
08/31/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	SMALLCAP WORLD FUND-A BUY 0 Units @62.5800		6.41	0.13	0.00	0.13	75.0	0.10



September 10, 2018

JEFFREY HANRETTY

8365 Seneca Turnpike New Hartford, NY 13413 BROKER #: B08

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
PRODUCT	CATEGORY: MUTUAL FUNDS (cont		CTIONS (continu	ued)				
08/31/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	SMALLCAP WORLD FUND-A BUY 1 Units @62.5800	62.50	1.25	0.00	1.25	75.0	0.94
08/31/201	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	SMALLCAP WORLD FUND-A BUY 0 Units @62.5800	6.24	0.12	0.00	0.12	75.0	0.09
08/31/201	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	SMALLCAP WORLD FUND-A BUY 0 Units @62.5800	18.75	0.38	0.00	0.38	75.0	0.29
09/07/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	SMALLCAP WORLD FUND-A BUY 0 Units @61.2600	6.41	0.13	0.00	0.13	75.0	0.10
09/07/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	SMALLCAP WORLD FUND-A BUY 1 Units @61.2600	62.50	1.25	0.00	1.25	75.0	0.94
09/07/201	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	SMALLCAP WORLD FUND-A BUY 0 Units @61.2600	6.24	0.12	0.00	0.12	75.0	0.09
09/07/201	8 ***-**-4540 - NELSON, RORY ACCOUNT #: 00073748857	SMALLCAP WORLD FUND-A BUY 0 Units @61.2600	18.75	0.38	0.00	0.38	75.0	0.29
08/31/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	SMALLCAP WORLD FUND-C BUY 0 Units @53.3900	2.97	0.03	0.00	0.03	75.0	0.02
08/31/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	SMALLCAP WORLD FUND-C BUY 1 Units @53.3900	32.79	0.33	0.00	0.33	75.0	0.25
09/07/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	SMALLCAP WORLD FUND-C BUY 0 Units @52.2500	2.97	0.03	0.00	0.03	75.0	0.02
09/07/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	SMALLCAP WORLD FUND-C BUY 1 Units @52.2500	32.79	0.33	0.00	0.33	75.0	0.25
08/29/201	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	THE BOND FUND OF AMERICA-A BUY 2 Units @13.0500	20.40	0.61	0.00	0.61	75.0	0.46
08/29/201	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	THE BOND FUND OF AMERICA-A BUY 4 Units @13.0500	53.00	1.59	0.00	1.59	75.0	1.19
08/31/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE BOND FUND OF AMERICA-A BUY 1 Units @12.8900	7.40	0.15	0.00	0.15	75.0	0.11
08/31/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE BOND FUND OF AMERICA-A BUY 2 Units @12.8900	31.25	0.63	0.00	0.63	75.0	0.47
09/07/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE BOND FUND OF AMERICA-A BUY 1 Units @12.8500	7.40	0.15	0.00	0.15	75.0	0.11



September 10, 2018

JEFFREY HANRETTY

8365 Seneca Turnpike New Hartford, NY 13413 BROKER #: B08

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
PRODUCT	CATEGORY: MUTUAL FUNDS (cont		ACTIONS (continu	ıed)				
09/07/2018	8 ***-**-3811 - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE BOND FUND OF AMERICA-A BUY 2 Units @12.8500	31.25	0.63	0.00	0.63	75.0	0.47
08/31/2018	8 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	THE BOND FUND OF AMERICA-C BUY 0 Units @12.5700	6.25	0.06	0.00	0.06	75.0	0.05
08/31/2018	8 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	THE BOND FUND OF AMERICA-C BUY 0 Units @12.5700	1.37	0.01	0.00	0.01	75.0	0.01
08/31/2018	8 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	THE BOND FUND OF AMERICA-C BUY 0 Units @12.5700	3.71	0.04	0.00	0.04	75.0	0.03
08/31/2018	8 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	THE BOND FUND OF AMERICA-C BUY 1 Units @12.5700	12.50	0.13	0.00	0.13	75.0	0.10
08/31/2018	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	THE BOND FUND OF AMERICA-C BUY 0 Units @12.5700	2.43	0.02	0.00	0.02	75.0	0.02
08/31/2018	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	THE BOND FUND OF AMERICA-C BUY 2 Units @12.5700	26.83	0.27	0.00	0.27	75.0	0.20
09/07/2018	8 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	THE BOND FUND OF AMERICA-C BUY 0 Units @12.5300	1.36	0.01	0.00	0.01	75.0	0.01
09/07/2018	8 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	THE BOND FUND OF AMERICA-C BUY 0 Units @12.5300	6.25	0.06	0.00	0.06	75.0	0.05
09/07/2018	8 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	THE BOND FUND OF AMERICA-C BUY 0 Units @12.5300	3.71	0.04	0.00	0.04	75.0	0.03
09/07/2018	8 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	THE BOND FUND OF AMERICA-C BUY 1 Units @12.5300	12.50	0.13	0.00	0.13	75.0	0.10
09/07/2018	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	THE BOND FUND OF AMERICA-C BUY 0 Units @12.5300	2.43	0.02	0.00	0.02	75.0	0.02
09/07/2018	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	THE BOND FUND OF AMERICA-C BUY 2 Units @12.5300	26.83	0.27	0.00	0.27	75.0	0.20
08/28/2018	8 ***-**-9137 - YOZZO, JOSEPH ACCOUNT #: 00082276628	THE GROWTH FUND OF AMERICA-A BUY 2 Units @58.8500	100.00	3.75	0.00	3.75	75.0	2.81
08/29/2018	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	THE GROWTH FUND OF AMERICA-A BUY 0 Units @59.2800	20.40	0.77	0.00	0.77	75.0	0.58
08/29/2018	8 ***-**-7287 - VINCI, DAVID ACCOUNT #: 00085629076	THE GROWTH FUND OF AMERICA-A BUY 1 Units @59.2800	53.00	1.99	0.00	1.99	75.0	1.49



September 10, 2018

JEFFREY HANRETTY

8365 Seneca Turnpike New Hartford, NY 13413 BROKER #: B08

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TRANSACT	IONS (continu	ıed)				
PRODUCT	CATEGORY: MUTUAL FUNDS (cont	tinued)						
08/31/20	18 ***-**-3811 - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE GROWTH FUND OF AMERICA-A BUY 0 Units @57.7500	7.40	0.15	0.00	0.15	75.0	0.11
08/31/203	18 ***-**-3811 - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE GROWTH FUND OF AMERICA-A BUY 1 Units @57.7500	31.25	0.63	0.00	0.63	75.0	0.47
08/31/20	18 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	THE GROWTH FUND OF AMERICA-A BUY 0 Units @57.7500	6.49	0.13	0.00	0.13	75.0	0.10
08/31/20	18 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	THE GROWTH FUND OF AMERICA-A BUY 1 Units @57.7500	62.50	1.25	0.00	1.25	75.0	0.94
09/07/20	18 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE GROWTH FUND OF AMERICA-A BUY 0 Units @56.5500	7.40	0.15	0.00	0.15	75.0	0.11
09/07/20	18 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.5500	31.25	0.63	0.00	0.63	75.0	0.47
09/07/20	18 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	THE GROWTH FUND OF AMERICA-A BUY 0 Units @56.5500	6.49	0.13	0.00	0.13	75.0	0.10
09/07/20	18 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	THE GROWTH FUND OF AMERICA-A BUY 1 Units @56.5500	62.50	1.25	0.00	1.25	75.0	0.94
08/31/20	18 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	THE GROWTH FUND OF AMERICA-C BUY 0 Units @51.9600	6.25	0.06	0.00	0.06	75.0	0.05
08/31/20	18 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	THE GROWTH FUND OF AMERICA-C BUY 0 Units @51.9600	1.36	0.01	0.00	0.01	75.0	0.01
08/31/20	18 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	THE GROWTH FUND OF AMERICA-C BUY 0 Units @51.9600	3.70	0.04	0.00	0.04	75.0	0.03
08/31/20	18 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	THE GROWTH FUND OF AMERICA-C BUY 0 Units @51.9600	12.50	0.13	0.00	0.13	75.0	0.10
08/31/20	18 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	THE GROWTH FUND OF AMERICA-C BUY 0 Units @51.9600	2.43	0.02	0.00	0.02	75.0	0.02
08/31/20	18 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	THE GROWTH FUND OF AMERICA-C BUY 1 Units @51.9600	26.83	0.27	0.00	0.27	75.0	0.20
09/07/20	18 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.8700	1.38	0.01	0.00	0.01	75.0	0.01
09/07/20	18 ***-**-2354 - PENDOLF, NANCY ACCOUNT #: 00083468545	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.8700	6.25	0.06	0.00	0.06	75.0	0.05



September 10, 2018

JEFFREY HANRETTY

8365 Seneca Turnpike New Hartford, NY 13413 BROKER #: B08

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TRANSACT	IONS (continu	ıed)				
	CATEGORY: MUTUAL FUNDS (cont 8 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	:inued) THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.8700	3.70	0.04	0.00	0.04	75.0	0.03
09/07/201	8 ***-**-2542 - OGIYEVICH, ACCOUNT #: 00083468551	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.8700	12.50	0.13	0.00	0.13	75.0	0.10
09/07/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	THE GROWTH FUND OF AMERICA-C BUY 0 Units @50.8700	2.43	0.02	0.00	0.02	75.0	0.02
09/07/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	THE GROWTH FUND OF AMERICA-C BUY 1 Units @50.8700	26.83	0.27	0.00	0.27	75.0	0.20
08/31/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE INCOME FUND OF AMERICA-A BUY 0 Units @23.9100	7.38	0.15	0.00	0.15	75.0	0.11
08/31/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.9100	31.25	0.63	0.00	0.63	75.0	0.47
08/31/201	8 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	THE INCOME FUND OF AMERICA-A BUY 0 Units @23.9100	6.49	0.13	0.00	0.13	75.0	0.10
08/31/201	8 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	THE INCOME FUND OF AMERICA-A BUY 3 Units @23.9100	62.50	1.25	0.00	1.25	75.0	0.94
09/07/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE INCOME FUND OF AMERICA-A BUY 0 Units @23.7300	7.38	0.15	0.00	0.15	75.0	0.11
09/07/201	8 ***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744335	THE INCOME FUND OF AMERICA-A BUY 1 Units @23.7300	31.25	0.63	0.00	0.63	75.0	0.47
09/07/201	8 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	THE INCOME FUND OF AMERICA-A BUY 0 Units @23.7300	6.49	0.13	0.00	0.13	75.0	0.10
09/07/201	8 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	THE INCOME FUND OF AMERICA-A BUY 3 Units @23.7300	62.50	1.25	0.00	1.25	75.0	0.94
08/28/201	8 ***-**-9137 - YOZZO, JOSEPH ACCOUNT #: 00082276628	THE NEW ECONOMY FUND-A BUY 2 Units @51.9200	100.00	3.75	0.00	3.75	75.0	2.81
08/31/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	U.S. GOVERNMENT SECURITIES FUND-C BUY 0 Units @13.3500	2.16	0.02	0.00	0.02	75.0	0.02
08/31/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	U.S. GOVERNMENT SECURITIES FUND-C BUY 2 Units @13.3500	23.85	0.24	0.00	0.24	75.0	0.18
09/07/201	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	U.S. GOVERNMENT SECURITIES FUND-C BUY 0 Units @13.2900	2.16	0.02	0.00	0.02	75.0	0.02



September 10, 2018

JEFFREY HANRETTY

8365 Seneca Turnpike New Hartford, NY 13413 BROKER #: B08

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TRANSACTI	ONS (contin	ued)				
PRODUCT	CATEGORY: MUTUAL FUNDS (co	ontinued)						
09/07/2018	8 ***-**-3569 - YOZZO, ROSA ACCOUNT #: 00083468583	U.S. GOVERNMENT SECURITIES FUND-C BUY 2 Units @13.2900	23.85	0.24	0.00	0.24	75.0	0.18
08/31/2018	3 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.7900	6.48	0.13	0.00	0.13	75.0	0.10
08/31/2018	3 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @47.7900	62.50	1.25	0.00	1.25	75.0	0.94
09/07/2018	3 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @47.5900	6.48	0.13	0.00	0.13	75.0	0.10
09/07/2018	3 ***-**-9027 - NELSON, ACCOUNT #: 00073744742	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @47.5900	62.50	1.25	0.00	1.25	75.0	0.94
		* MUTUAL FUNDS SUBTOTAL *	\$4,513.35	\$105.11	\$0.00	\$105.11		\$79.03
		*** BROKER TRANSACTIONS TOTAL ***	\$4,513.35	\$105.11	\$0.00	\$105.11		\$79.03
					<u> </u>	ROKER COMMI	SSION	TOTALS
					Broke	r Transactions		\$79.03
					Split	t Transactions		\$0.00
					Override	e Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
					Prior D	Period Balance		\$0.00
					FI	NRA Assessment		\$0.00
					S	IPC Assessment		\$0.00
			e Retain for You L BE NO PAYMENT		Ва	alance Forward		\$79.03
					Year-to	-date Earnings		\$57,746.68