



COMMISSION STATEMENT

October 08, 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>								
10/01/2018	***-**-6802 - NAKANO, AMELIA	AMERICAN BALANCED FUND-A	50.00	2.13	0.00	2.13	80.0	1.70
	ACCOUNT #: 00082853395	BUY 2 Units @29.4700						
10/01/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 04000460394	BUY 2 Units @29.7100						
10/01/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	80.0	2.00
	ACCOUNT #: 04000460402	BUY 2 Units @29.7100						
10/01/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	100.00	5.00	0.00	5.00	80.0	4.00
	ACCOUNT #: 00087068370	BUY 3 Units @29.7100						
10/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	110.00	5.50	0.00	5.50	80.0	4.40
	ACCOUNT #: 00088153955	BUY 4 Units @29.6700						
10/01/2018	***-**-6802 - NAKANO, AMELIA	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00082853395	BUY 4 Units @12.9500						
10/01/2018	***-**-3040 - KOTARY, BRANDY	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	80.0	1.20
	ACCOUNT #: 00087642268	BUY 4 Units @12.9500						
10/05/2018	***-**-3828 - DUSABLON, DANIEL	U.S. GOVERNMENT SECURITIES FUND CLA	150.00	4.50	0.00	4.50	80.0	3.60
	ACCOUNT #: 00084530390	BUY 11 Units @13.6600						
* MUTUAL FUNDS SUBTOTAL *			\$610.00	\$25.13	\$0.00	\$25.13		\$20.10
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/30/2018	***-**-2582 - FERRAR, PATRICIA	ROCHESTER FUND MUNICIPALS A	0.00	83.93	0.00	83.93	80.0	67.14
	ACCOUNT #: 03651105500	BUY 0 Units @0.0000						
09/30/2018	***-**-9195 - FERRAR, ROLFE	ROCHESTER FUND MUNICIPALS A	0.00	39.59	0.00	39.59	80.0	31.67
	ACCOUNT #: 03651253373	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$123.52	\$0.00	\$123.52		\$98.81
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
09/28/2018	***-**-2389 - SHAW, KIMBERLY	HARTFORD LIFE TRAILS	0.00	79.94	0.00	79.94	80.0	63.95
	ACCOUNT #: 711271021	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$79.94	\$0.00	\$79.94		\$63.95
*** BROKER TRANSACTIONS TOTAL ***			\$610.00	\$228.59	\$0.00	\$228.59		\$182.86



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<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$182.86
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$41.36
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$224.22
						Year-to-date Earnings		\$5,811.61