



COMMISSION STATEMENT

April 16, 2018

HOME OFFICE PASCALE

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

, NY

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JOHN AMBRUSCO</u>								
04/05/2018	***-**-1704 - CAPPETTA	AMERICAN FUNDS 401K TRAILS	0.00	47.59	0.00	47.59	0.5	0.24
	ACCOUNT #: IRK121845	BUY 0 Units @0.0000						
04/11/2018	***-**-88IN - CARSON, RICHARD	DREYFUS MF TRAILS	0.00	2.83	0.00	2.83	0.5	0.01
	ACCOUNT #: 0616685542	BUY 0 Units @0.0000						
04/11/2018	***-**-8866 - PJURA, ANNE T	DREYFUS MF TRAILS	0.00	27.08	0.00	27.08	0.5	0.14
	ACCOUNT #: 3357369994	BUY 0 Units @0.0000						
04/16/2018	***-**-56IN - GUERRERA-SAPONE,	DREYFUS MF TRAILS	0.00	17.06	0.00	17.06	0.5	0.09
	ACCOUNT #: 0013963731	BUY 0 Units @0.0000						
04/02/2018	***-**-185P - SOKOLOWSKA,	FIDELITY ADV MF 040813	175.00	8.75	0.00	8.75	0.5	0.04
	ACCOUNT #: 01487146209	BUY 8 Units @20.8200						
04/02/2018	***-**-185P - SOKOLOWSKA,	FIDELITY ADV MF 040813	175.00	8.75	0.00	8.75	0.5	0.04
	ACCOUNT #: 01468375868	BUY 8 Units @20.8200						
04/02/2018	***-**-185P - SOKOLOWSKA,	FIDELITY ADV MF 040813	175.00	8.75	0.00	8.75	0.5	0.04
	ACCOUNT #: 01469206344	BUY 8 Units @20.8200						
03/31/2018	***-**-33IN - PIROLI, DONNA	GLOBAL FUND A	0.00	9.22	0.00	9.22	0.5	0.05
	ACCOUNT #: 03308118319	BUY 0 Units @0.0000						
04/11/2018	***-**-160K - DIGITAL INC, GM	MASS MUTUAL VA TRAILS	0.00	21.60	0.00	21.60	0.5	0.11
	ACCOUNT #: MM837763	BUY 1 Units @0.0000						
03/31/2018	***-**-33IN - PIROLI, DONNA	OPPENHEIMER DISCOVERY CLASS A	0.00	6.89	0.00	6.89	0.5	0.03
	ACCOUNT #: 05003614820	BUY 0 Units @0.0000						
04/16/2018	***-**-615P - AMBRUSCO, JOHN	PRUDENTIAL MF TRAILS	0.00	3.56	0.00	3.56	0.5	0.02
		BUY 0 Units @0.0000						
04/16/2018	***-**-977I - RUSSELL, TIMOTHY	PRUDENTIAL MF TRAILS	0.00	4.01	0.00	4.01	0.5	0.02
		BUY 0 Units @0.0000						
04/16/2018	***-**-952I - SMART, BARBARA	PRUDENTIAL MF TRAILS	0.00	3.24	0.00	3.24	0.5	0.02
		BUY 0 Units @0.0000						
04/16/2018	***-**-866I - PJURA, ANNE	PRUDENTIAL MF TRAILS	0.00	22.67	0.00	22.67	0.5	0.11
		BUY 0 Units @0.0000						
04/16/2018	***-**-5545 - AMBRUSCO, DENISE	PRUDENTIAL MF TRAILS	0.00	195.45	0.00	195.45	0.5	0.98
	ACCOUNT #: 32279280	BUY 0 Units @0.0000						
04/16/2018	***-**-388H - CARSON, RICHARD	PRUDENTIAL MF TRAILS	0.00	40.42	0.00	40.42	0.5	0.20
		BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: JOHN AMBRUSCO (continued)</u>								
04/16/2018	***-**-388H - CARSON, RICHARD	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	18.11	0.00	18.11	0.5	0.09
04/16/2018	***-**-977I - RUSSELL, TIMOTHY	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	23.88	0.00	23.88	0.5	0.12
04/16/2018	***-**-952I - SMART, BARBARA	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	23.98	0.00	23.98	0.5	0.12
04/16/2018	***-**-615P - AMBRUSCO, JOHN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	10.40	0.00	10.40	0.5	0.05
04/16/2018	***-**-866I - PJURA, ANNE	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	9.19	0.00	9.19	0.5	0.05
04/16/2018	***-**-1058 - LIPTON, DAVID	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	275.44	0.00	275.44	0.5	1.38
04/16/2018	***-**-1058 - LIPTON, DAVID	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	86.47	0.00	86.47	0.5	0.43
04/16/2018	***-**-977I - RUSSELL, TIMOTHY	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	15.18	0.00	15.18	0.5	0.08
04/16/2018	***-**-952I - SMART, BARBARA	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	15.24	0.00	15.24	0.5	0.08
04/16/2018	***-**-2319 - MARTIN, DIANE	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	11.22	0.00	11.22	0.5	0.06
04/16/2018	***-**-615P - AMBRUSCO, JOHN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	10.17	0.00	10.17	0.5	0.05
04/16/2018	***-**-977I - RUSSELL, TIMOTHY	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	15.09	0.00	15.09	0.5	0.08
04/16/2018	***-**-952I - SMART, BARBARA	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	15.18	0.00	15.18	0.5	0.08
04/16/2018	***-**-615P - AMBRUSCO, JOHN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	8.10	0.00	8.10	0.5	0.04
04/16/2018	***-**-615P - AMBRUSCO, JOHN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	8.20	0.00	8.20	0.5	0.04
04/16/2018	***-**-866I - PJURA, ANNE	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	5.09	0.00	5.09	0.5	0.03



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JOHN AMBRUSCO (continued) </u>								
04/16/2018	***-**-977I - RUSSELL, TIMOTHY	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	12.90	0.00	12.90	0.5	0.06
04/16/2018	***-**-952I - SMART, BARBARA	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	12.99	0.00	12.99	0.5	0.06
04/16/2018	***-**-866I - PJURA, ANNE	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	5.95	0.00	5.95	0.5	0.03
04/16/2018	***-**-615P - AMBRUSCO, JOHN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	10.31	0.00	10.31	0.5	0.05
04/16/2018	***-**-507R - COMPANY,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	46.00	0.00	46.00	0.5	0.23
04/16/2018	***-**-001I -	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	15.52	0.00	15.52	0.5	0.08
04/16/2018	***-**-837I - RUSSELL, GEORGE	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	38.02	0.00	38.02	0.5	0.19
04/16/2018	***-**-837I - RUSSELL, GEORGE	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	10.70	0.00	10.70	0.5	0.05
04/16/2018	***-**-615P - AMBRUSCO, JOHN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	12.44	0.00	12.44	0.5	0.06
04/16/2018	***-**-866I - PJURA, ANNE	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	26.71	0.00	26.71	0.5	0.13
04/16/2018	***-**-61CL - AMBRUSCO,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	14.68	0.00	14.68	0.5	0.07
03/31/2018	***-**-88IN - CARSON, RICHARD ACCOUNT #: 02322977898	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	24.85	0.00	24.85	0.5	0.12
03/31/2018	***-**-88IN - CARSON, RICHARD ACCOUNT #: 02220639980	U.S. GOVERNMENT TRUST C BUY 0 Units @0.0000	0.00	10.89	0.00	10.89	0.5	0.05
* JOHN AMBRUSCO SUBTOTAL *			\$525.00	\$1,220.77	\$0.00	\$1,220.77		\$6.10



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: EDWARD FATLA</u>								
04/06/2018	***-**-590I - SLUSI, PAUL ACCOUNT #: 00087654256	AMCAP FUND-A BUY 39 Units @32.7400	1,282.40	25.65	0.00	25.65	0.5	0.13
04/06/2018	***-**-590I - SLUSI, PAUL ACCOUNT #: 00087654256	AMCAP FUND-A BUY 95 Units @32.7400	3,100.00	62.00	0.00	62.00	0.5	0.31
04/06/2018	***-**-590I - SLUSI, PAUL ACCOUNT #: 00087654256	AMERICAN BALANCED FUND-A BUY 47 Units @27.2800	1,282.40	25.65	0.00	25.65	0.5	0.13
04/06/2018	***-**-590I - SLUSI, PAUL ACCOUNT #: 00087654256	AMERICAN BALANCED FUND-A BUY 114 Units @27.2800	3,100.00	62.00	0.00	62.00	0.5	0.31
04/06/2018	***-**-590I - SLUSI, PAUL ACCOUNT #: 00087654256	AMERICAN FUNDS 2020 TARGET DATE-A BUY 101 Units @12.7400	1,282.40	25.65	0.00	25.65	0.5	0.13
04/06/2018	***-**-590I - SLUSI, PAUL ACCOUNT #: 00087654256	AMERICAN FUNDS 2020 TARGET DATE-A BUY 243 Units @12.7400	3,100.00	62.00	0.00	62.00	0.5	0.31
04/06/2018	***-**-8658 - WADE, CHAD ACCOUNT #: 00089799621	AMERICAN FUNDS 2035 TARGET DATE-A BUY 3 Units @15.1200	51.87	1.04	0.00	1.04	0.5	0.01
04/06/2018	***-**-8658 - WADE, CHAD ACCOUNT #: 00089799621	AMERICAN FUNDS 2035 TARGET DATE-A BUY 3 Units @15.1200	51.87	1.04	0.00	1.04	0.5	0.01
04/16/2018	***-**-7353 - PASSERO, MICHAEL	BRIGHT DIRECTION TRAILS BUY 0 Units @0.0000	0.00	6.00	0.00	6.00	0.5	0.03
04/16/2018	***-**-27IN - SLUSI, VICTORIA	BRIGHT DIRECTION TRAILS BUY 0 Units @0.0000	0.00	22.94	0.00	22.94	0.5	0.11
04/16/2018	***-**-005P - FASANO, GREGORY	BRIGHT DIRECTION TRAILS BUY 0 Units @0.0000	0.00	6.16	0.00	6.16	0.5	0.03
04/16/2018	***-**-485P - WEGNER, JASON	BRIGHT DIRECTION TRAILS BUY 0 Units @0.0000	0.00	3.65	0.00	3.65	0.5	0.02
04/16/2018	***-**-7353 - PASSERO, MICHAEL	BRIGHT DIRECTION TRAILS BUY 0 Units @0.0000	0.00	5.86	0.00	5.86	0.5	0.03
04/16/2018	***-**-7353 - PASSERO, MICHAEL	BRIGHT DIRECTION TRAILS BUY 0 Units @0.0000	0.00	16.29	0.00	16.29	0.5	0.08
03/31/2018	***-**-27IN - SLUSI, VICTORIA ACCOUNT #: 03209725012	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	1.78	0.00	1.78	0.5	0.01
03/31/2018	***-**-27IN - SLUSI, VICTORIA ACCOUNT #: 03207772743	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	2.35	0.00	2.35	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: EDWARD FATLA (continued) </u>								
03/31/2018	***-**-90IR - SLUSI, PAUL ACCOUNT #: 05501069882	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	0.00	2.39	0.00	2.39	0.5	0.01
03/31/2018	***-**-27RI - SLUSI, VICTORIA ACCOUNT #: 05501069904	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	0.00	7.14	0.00	7.14	0.5	0.04
04/16/2018	***-**-56TR - LICARI, JANIS	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	91.35	0.00	91.35	0.5	0.46
04/06/2018	***-**-590I - SLUSI, PAUL ACCOUNT #: 00087654256	THE INCOME FUND OF AMERICA-A BUY 55 Units @23.2500	1,282.40	25.65	0.00	25.65	0.5	0.13
04/06/2018	***-**-590I - SLUSI, PAUL ACCOUNT #: 00087654256	THE INCOME FUND OF AMERICA-A BUY 133 Units @23.2500	3,100.00	62.00	0.00	62.00	0.5	0.31
04/06/2018	***-**-590I - SLUSI, PAUL ACCOUNT #: 00087654256	THE INVESTMENT COMPANY OF AMERICA-A BUY 32 Units @40.2300	1,282.40	25.65	0.00	25.65	0.5	0.13
04/06/2018	***-**-590I - SLUSI, PAUL ACCOUNT #: 00087654256	THE INVESTMENT COMPANY OF AMERICA-A BUY 77 Units @40.2300	3,100.00	62.00	0.00	62.00	0.5	0.31
04/16/2018	***-**-56IR - LICARI, JANIS	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	2.97	0.00	2.97	0.5	0.01
04/16/2018	***-**-875I - DISANTO, ROSINA	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	4.64	0.00	4.64	0.5	0.02
 * EDWARD FATLA SUBTOTAL * 			\$22,015.74	\$613.85	\$0.00	\$613.85		\$3.08

BROKER: STEVEN JOEL

04/02/2018	***-**-0821 - PIZANO, ACCOUNT #: 04000084453	AMERICAN FUNDS 2040 TARGET DATE-A BUY 4 Units @15.7900	58.68	2.49	0.00	2.49	0.5	0.01
04/02/2018	***-**-0821 - PIZANO, ACCOUNT #: 04000084453	AMERICAN FUNDS 2040 TARGET DATE-A BUY 10 Units @15.7900	156.48	6.65	0.00	6.65	0.5	0.03
04/02/2018	***-**-03IN - SINGER, CRAIG ACCOUNT #: 04000083887	AMERICAN FUNDS 2050 TARGET DATE-A BUY 15 Units @15.6900	240.00	10.20	0.00	10.20	0.5	0.05
04/02/2018	***-**-03IN - SINGER, CRAIG ACCOUNT #: 04000083887	AMERICAN FUNDS 2050 TARGET DATE-A BUY 51 Units @15.6900	800.00	34.00	0.00	34.00	0.5	0.17
04/02/2018	***-**-2300 - GOMEZ, LAURA ACCOUNT #: 04000084436	AMERICAN FUNDS 2050 TARGET DATE-A BUY 2 Units @15.6900	37.50	1.59	0.00	1.59	0.5	0.01
04/02/2018	***-**-2300 - GOMEZ, LAURA ACCOUNT #: 04000084436	AMERICAN FUNDS 2050 TARGET DATE-A BUY 2 Units @15.6900	37.50	1.59	0.00	1.59	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: STEVEN JOEL (continued) </u>								
04/02/2018	***-**-0477 - ELIAS, ADI	AMERICAN FUNDS 2050 TARGET DATE-A	75.00	3.19	0.00	3.19	0.5	0.02
	ACCOUNT #: 04000084445	BUY 5 Units @15.6900						
04/02/2018	***-**-0477 - ELIAS, ADI	AMERICAN FUNDS 2050 TARGET DATE-A	180.00	7.65	0.00	7.65	0.5	0.04
	ACCOUNT #: 04000084445	BUY 11 Units @15.6900						
04/05/2018	***-**-1540 - HIGHWAY SAFETY	AMERICAN FUNDS 401K TRAILS	0.00	3.47	0.00	3.47	0.5	0.02
	ACCOUNT #: IRK102331	BUY 0 Units @0.0000						
04/05/2018	***-**-1855 - LEWIS PLASTICS	AMERICAN FUNDS 401K TRAILS	0.00	1,903.53	0.00	1,903.53	0.5	9.52
	ACCOUNT #: IRK103778	BUY 0 Units @0.0000						
04/05/2018	***-**-1540 - HIGHWAY SAFETY	AMERICAN FUNDS 401K TRAILS	0.00	1,273.87	0.00	1,273.87	0.5	6.37
	ACCOUNT #: IRK139692	BUY 0 Units @0.0000						
04/16/2018	***-**-1388 - JOEL, JOSEPH	VIRTUS MF TRAILS	0.00	16.70	0.00	16.70	0.5	0.08
		BUY 0 Units @0.0000						
* STEVEN JOEL SUBTOTAL *			\$1,585.16	\$3,264.93	\$0.00	\$3,264.93		\$16.33
<u> BROKER: JOHN KELLY </u>								
04/16/2018	***-**-85TR - KELLY TRUST,	AIM DEVELOPING MARKETS FUND CLASS A	0.00	8.59	0.00	8.59	0.5	0.04
	ACCOUNT #: LSR005290	BUY 1 Units @0.0000						
04/16/2018	***-**-85TR - KELLY TRUST,	AIM GLOBAL AGGRESSIVE GROWTH FUND C	0.00	7.56	0.00	7.56	0.5	0.04
	ACCOUNT #: LSR005290	BUY 1 Units @0.0000						
04/04/2018	***-**-928I - HARRISON, LESLEY	AMCAP FUND-A	1,200.00	33.00	0.00	33.00	0.5	0.17
	ACCOUNT #: 00085790202	BUY 36 Units @33.5800						
04/04/2018	***-**-503I - HARRISON, BLAKE	AMCAP FUND-A	500.00	13.75	0.00	13.75	0.5	0.07
	ACCOUNT #: 00085790218	BUY 15 Units @33.5800						
04/05/2018	***-**-459K - QUAIL	AMERICAN FUNDS 401K TRAILS	0.00	218.79	0.00	218.79	0.5	1.09
	ACCOUNT #: BRK124361	BUY 0 Units @0.0000						
04/05/2018	***-**-7530 - AJITH PURUSH MD	AMERICAN FUNDS 401K TRAILS	0.00	368.31	0.00	368.31	0.5	1.84
	ACCOUNT #: BRK126971	BUY 0 Units @0.0000						
04/05/2018	***-**-478K - F.I.R.M., INC	AMERICAN FUNDS 401K TRAILS	0.00	401.58	0.00	401.58	0.5	2.01
	ACCOUNT #: BRK131928	BUY 0 Units @0.0000						
04/05/2018	***-**-6688 - KEYCOLOUR, INC	AMERICAN FUNDS 401K TRAILS	0.00	766.30	0.00	766.30	0.5	3.83
	ACCOUNT #: BRK135767	BUY 0 Units @0.0000						
04/05/2018	***-**-1409 - NEVADA PAIN	AMERICAN FUNDS 401K TRAILS	0.00	657.84	0.00	657.84	0.5	3.29
	ACCOUNT #: BRK102728	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JOHN KELLY (continued) </u>								
04/05/2018	***-**-2181 - SEETHARAMAN	AMERICAN FUNDS 401K TRAILS	0.00	1,079.82	0.00	1,079.82	0.5	5.40
	ACCOUNT #: BRK105795	BUY 0 Units @0.0000						
04/05/2018	***-**-4372 - DESERT SPINE,	AMERICAN FUNDS 401K TRAILS	0.00	641.86	0.00	641.86	0.5	3.21
	ACCOUNT #: BRK109823	BUY 0 Units @0.0000						
04/05/2018	***-**-111K - ADVANCE	AMERICAN FUNDS 401K TRAILS	0.00	572.40	0.00	572.40	0.5	2.86
	ACCOUNT #: BRK111102	BUY 0 Units @0.0000						
04/05/2018	***-**-0180 - CORINNE BROWN	AMERICAN FUNDS 401K TRAILS	0.00	440.35	0.00	440.35	0.5	2.20
	ACCOUNT #: BRK116700	BUY 0 Units @0.0000						
04/05/2018	***-**-462K - TRIPLE B FUELS	AMERICAN FUNDS 401K TRAILS	0.00	228.60	0.00	228.60	0.5	1.14
	ACCOUNT #: BRK125576	BUY 0 Units @0.0000						
04/05/2018	***-**-3561 - POLAR COOLING	AMERICAN FUNDS 401K TRAILS	0.00	691.61	0.00	691.61	0.5	3.46
	ACCOUNT #: BRK127542	BUY 0 Units @0.0000						
04/05/2018	***-**-888K - ARIZONA MEDICAL,	AMERICAN FUNDS 401K TRAILS	0.00	59.07	0.00	59.07	0.5	0.30
	ACCOUNT #: BRK78436	BUY 0 Units @0.0000						
04/05/2018	***-**-153I - PLAZA AUTO,	AMERICAN FUNDS 401K TRAILS	0.00	707.16	0.00	707.16	0.5	3.54
	ACCOUNT #: BRK83709	BUY 0 Units @0.0000						
04/05/2018	***-**-8849 - SUGATA DAS MD	AMERICAN FUNDS 401K TRAILS	0.00	1,523.29	0.00	1,523.29	0.5	7.62
	ACCOUNT #: BRK92502	BUY 0 Units @0.0000						
04/05/2018	***-**-514K - UP 2 PAR, PLLC	AMERICAN FUNDS 401K TRAILS	0.00	1,424.29	0.00	1,424.29	0.5	7.12
	ACCOUNT #: BRK93099	BUY 0 Units @0.0000						
04/05/2018	***-**-7620 - WORLD STONE	AMERICAN FUNDS 401K TRAILS	0.00	1,311.49	0.00	1,311.49	0.5	6.56
	ACCOUNT #: BRK97978	BUY 0 Units @0.0000						
04/05/2018	***-**-5770 - CENTRAL VALLEY,	AMERICAN FUNDS 401K TRAILS	0.00	1,475.09	0.00	1,475.09	0.5	7.38
	ACCOUNT #: BRK98088	BUY 0 Units @0.0000						
04/05/2018	***-**-1723 - CENTRAL CA,	AMERICAN FUNDS 401K TRAILS	0.00	1,216.04	0.00	1,216.04	0.5	6.08
	ACCOUNT #: IRK109865	BUY 0 Units @0.0000						
04/05/2018	***-**-3054 - SAPPHIRE SVS	AMERICAN FUNDS 401K TRAILS	0.00	369.31	0.00	369.31	0.5	1.85
	ACCOUNT #: IRK110271	BUY 0 Units @0.0000						
04/05/2018	***-**-704K - MEDIT MARKETING,	AMERICAN FUNDS 401K TRAILS	0.00	3,687.03	0.00	3,687.03	0.5	18.44
	ACCOUNT #: BRK119254	BUY 0 Units @0.0000						
04/05/2018	***-**-8018 - A.T. PANCRAZI,	AMERICAN FUNDS 401K TRAILS	0.00	692.49	0.00	692.49	0.5	3.46
	ACCOUNT #: BRK121891	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JOHN KELLY (continued) </u>								
04/05/2018	***-**-7900 - TEM CORPORATION,	AMERICAN FUNDS 401K TRAILS	0.00	1,397.10	0.00	1,397.10	0.5	6.99
	ACCOUNT #: BRK92025	BUY 0 Units @0.0000						
04/05/2018	***-**-914I - MIKEL W. LO M.D.	AMERICAN FUNDS 401K TRAILS	0.00	2,164.26	0.00	2,164.26	0.5	10.82
	ACCOUNT #: BRK94257	BUY 0 Units @0.0000						
04/05/2018	***-**-416K - CENTRAL VALLEY,	AMERICAN FUNDS 401K TRAILS	0.00	266.12	0.00	266.12	0.5	1.33
	ACCOUNT #: IRK117237	BUY 0 Units @0.0000						
04/05/2018	***-**-6778 - MCENTEE &	AMERICAN FUNDS 401K TRAILS	0.00	345.70	0.00	345.70	0.5	1.73
	ACCOUNT #: BRK78577	BUY 0 Units @0.0000						
04/05/2018	***-**-969K - MATSOCK &	AMERICAN FUNDS 401K TRAILS	0.00	1,044.89	0.00	1,044.89	0.5	5.22
	ACCOUNT #: IRK116663	BUY 0 Units @0.0000						
04/16/2018	***-**-970I - KLEVER, JAMES	DELAWARE MF TRAILS	0.00	8.11	0.00	8.11	0.5	0.04
		BUY 0 Units @0.0000						
04/16/2018	***-**-98JK - VESTAR	DELAWARE MF TRAILS	0.00	51.73	0.00	51.73	0.5	0.26
	ACCOUNT #: 07019024122	BUY 0 Units @0.0000						
04/16/2018	***-**-0726 - DAHL, KEVIN	DREYFUS RESEARCH GROWTH FD CL A	0.00	1.92	0.00	1.92	0.5	0.01
	ACCOUNT #: LSR107425	BUY 1 Units @0.0000						
04/16/2018	***-**-7034 - DAHL, ROXANNE	DREYFUS RESEARCH GROWTH FD CL A	0.00	3.87	0.00	3.87	0.5	0.02
	ACCOUNT #: LSR108782	BUY 1 Units @0.0000						
04/04/2018	***-**-928I - HARRISON, LESLEY	EUROPACIFIC GROWTH FUND-A	1,700.00	46.75	0.00	46.75	0.5	0.23
	ACCOUNT #: 00085790202	BUY 29 Units @58.5200						
04/04/2018	***-**-503I - HARRISON, BLAKE	EUROPACIFIC GROWTH FUND-A	1,000.00	27.50	0.00	27.50	0.5	0.14
	ACCOUNT #: 00085790218	BUY 17 Units @58.5200						
04/16/2018	***-**-0726 - DAHL, KEVIN	FRANKLIN INCOME FUND CLASS C	0.00	111.17	0.00	111.17	0.5	0.56
	ACCOUNT #: LSR107409	BUY 1 Units @0.0000						
04/16/2018	***-**-83IN - BARNETT, ROBERT	GATEWAY FUND CLASS A	0.00	4.19	0.00	4.19	0.5	0.02
	ACCOUNT #: LSR010053	BUY 1 Units @0.0000						
04/16/2018	***-**-85TR - KELLY TRUST,	INVESCO VAN KAMPEN COMSTOCK CLASS A	0.00	14.73	0.00	14.73	0.5	0.07
	ACCOUNT #: LSR005290	BUY 1 Units @0.0000						
04/16/2018	***-**-7053 - VISHWANATH MD	JOHN HANCOCK VA TRAILS	0.00	439.85	0.00	439.85	0.5	2.20
	ACCOUNT #: 87501	BUY 1 Units @0.0000						
04/16/2018	***-**-7528 - ELLIOTT	JOHN HANCOCK VA TRAILS	0.00	95.07	0.00	95.07	0.5	0.48
	ACCOUNT #: 23170	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JOHN KELLY (continued) </u>								
04/16/2018	***-**-5031 - VICI PROPERTIES	JOHN HANCOCK VA TRAILS	0.00	1,446.65	0.00	1,446.65	0.5	7.23
	ACCOUNT #: 131264	BUY 1 Units @0.0000						
04/16/2018	***-**-8042 - JCM AMERICAN	JOHN HANCOCK VA TRAILS	0.00	1,408.39	0.00	1,408.39	0.5	7.04
	ACCOUNT #: 130807	BUY 1 Units @0.0000						
04/16/2018	***-**-74JK - RSI ENTERPRISES,	JOHN HANCOCK VA TRAILS	0.00	520.49	0.00	520.49	0.5	2.60
	ACCOUNT #: 129968	BUY 1 Units @0.0000						
04/16/2018	***-**-2744 - SHREE GANESH LLC	JOHN HANCOCK VA TRAILS	0.00	38.21	0.00	38.21	0.5	0.19
	ACCOUNT #: 127802	BUY 1 Units @0.0000						
04/16/2018	***-**-2070 - TCH LAW PLC 401K	JOHN HANCOCK VA TRAILS	0.00	415.30	0.00	415.30	0.5	2.08
	ACCOUNT #: 123577	BUY 1 Units @0.0000						
04/16/2018	***-**-54QP - STAR NURSERY INC	JOHN HANCOCK VA TRAILS	0.00	1,281.19	0.00	1,281.19	0.5	6.41
	ACCOUNT #: 118948	BUY 1 Units @0.0000						
04/16/2018	***-**-7584 - MED-SMART,	JOHN HANCOCK VA TRAILS	0.00	1,488.50	0.00	1,488.50	0.5	7.44
	ACCOUNT #: 116011	BUY 1 Units @0.0000						
04/16/2018	***-**-4580 - ROSS AERIAL,	JOHN HANCOCK VA TRAILS	0.00	1,175.09	0.00	1,175.09	0.5	5.88
	ACCOUNT #: 114840	BUY 1 Units @0.0000						
04/16/2018	***-**-888K - MKS GRAPHICS,	JOHN HANCOCK VA TRAILS	0.00	1,005.72	0.00	1,005.72	0.5	5.03
	ACCOUNT #: 114333	BUY 1 Units @0.0000						
04/16/2018	***-**-0664 - FOCUS	JOHN HANCOCK VA TRAILS	0.00	826.51	0.00	826.51	0.5	4.13
	ACCOUNT #: 114317	BUY 1 Units @0.0000						
04/16/2018	***-**-728Q - HORSEMEN INC	JOHN HANCOCK VA TRAILS	0.00	713.20	0.00	713.20	0.5	3.57
	ACCOUNT #: 109030	BUY 1 Units @0.0000						
04/16/2018	***-**-66QP - MVT SERVICES LLC	JOHN HANCOCK VA TRAILS	0.00	1,798.89	0.00	1,798.89	0.5	8.99
	ACCOUNT #: 107713	BUY 1 Units @0.0000						
04/16/2018	***-**-0215 - PRO-STEEL	JOHN HANCOCK VA TRAILS	0.00	524.53	0.00	524.53	0.5	2.62
	ACCOUNT #: 107166	BUY 1 Units @0.0000						
04/16/2018	***-**-0215 - PRO-STEEL	JOHN HANCOCK VA TRAILS	0.00	251.92	0.00	251.92	0.5	1.26
	ACCOUNT #: 107166	BUY 1 Units @0.0000						
04/01/2018	***-**-5687 - WILBUR DRYWALL	MASS INVESTORS GROWTH STOCK FUND-A	0.00	2.83	0.00	2.83	0.5	0.01
	ACCOUNT #: 00060501051	BUY 0 Units @0.0000						
04/01/2018	***-**-7454 - NOON, ROBERT	MASS INVESTORS GROWTH STOCK FUND-A	0.00	6.30	0.00	6.30	0.5	0.03
	ACCOUNT #: 00060501054	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: JOHN KELLY (continued)</u>								
04/01/2018	***-**-875P - WILBUR, JOHN	MFS AGGRESSIVE GROWTH ALLOCATION FD	0.00	5.04	0.00	5.04	0.5	0.03
	ACCOUNT #: 00060612510	BUY 0 Units @0.0000						
04/01/2018	***-**-5725 - WILBUR DRYWALL	MFS GOVERNMENT SECURITIES FUND-A	0.00	11.45	0.00	11.45	0.5	0.06
	ACCOUNT #: 00060590320	BUY 0 Units @0.0000						
04/01/2018	***-**-5687 - WILBUR DRYWALL	MFS TOTAL RETURN FUND-A	0.00	47.70	0.00	47.70	0.5	0.24
	ACCOUNT #: 00060501689	BUY 0 Units @0.0000						
04/01/2018	***-**-7454 - NOON, ROBERT	MFS TOTAL RETURN FUND-A	0.00	5.36	0.00	5.36	0.5	0.03
	ACCOUNT #: 00060501691	BUY 0 Units @0.0000						
04/04/2018	***-**-928I - HARRISON, LESLEY	NEW WORLD FUND-A	400.00	11.00	0.00	11.00	0.5	0.06
	ACCOUNT #: 00085790202	BUY 6 Units @70.0200						
04/04/2018	***-**-503I - HARRISON, BLAKE	NEW WORLD FUND-A	500.00	13.75	0.00	13.75	0.5	0.07
	ACCOUNT #: 00085790218	BUY 7 Units @70.0200						
03/31/2018	***-**-585I - KELLY, PAMELA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	7.80	0.00	7.80	0.5	0.04
	ACCOUNT #: 02510432014	BUY 0 Units @0.0000						
04/12/2018	***-**-8258 - IFG, KELLY,J	PACIFIC LIFE CHOICE DTCC	495.00	9.90	0.00	9.90	0.5	0.05
	ACCOUNT #: VP60358060	BUY 0 Units @0.0000						
04/09/2018	***-**-8270 - KELLY, PAMELA	PACIFIC LIFE DTCC RENEWAL	416.67	8.33	0.00	8.33	0.5	0.04
	ACCOUNT #: VP60088270	BUY 0 Units @0.0000						
04/02/2018	***-**-720I - COLLIGNON, WAYNE	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	24.21	0.00	24.21	0.5	0.12
	ACCOUNT #: 00337255503	BUY 0 Units @0.0000						
04/02/2018	***-**-720I - COLLIGNON, WAYNE	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	48.42	0.00	48.42	0.5	0.24
	ACCOUNT #: 00337255503	BUY 0 Units @0.0000						
04/02/2018	***-**-720I - COLLIGNON, WAYNE	PUTNAM SMALL CAP VALUE FUND-A	0.00	60.13	0.00	60.13	0.5	0.30
	ACCOUNT #: 00337255503	BUY 0 Units @0.0000						
03/31/2018	***-**-585I - KELLY, PAMELA	QUEST INTERNATIONAL VALUE FUND, INC	0.00	4.20	0.00	4.20	0.5	0.02
	ACCOUNT #: 02540274527	BUY 0 Units @0.0000						
03/31/2018	***-**-2585 - KELLY, PAMELA	QUEST OPPORTUNITY VALUE A	0.00	3.40	0.00	3.40	0.5	0.02
	ACCOUNT #: 02362217600	BUY 0 Units @0.0000						
04/04/2018	***-**-928I - HARRISON, LESLEY	SMALLCAP WORLD FUND-A	500.00	13.75	0.00	13.75	0.5	0.07
	ACCOUNT #: 00085790202	BUY 9 Units @58.5200						
04/04/2018	***-**-503I - HARRISON, BLAKE	SMALLCAP WORLD FUND-A	1,500.00	41.25	0.00	41.25	0.5	0.21
	ACCOUNT #: 00085790218	BUY 26 Units @58.5200						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JOHN KELLY (continued) </u>								
04/04/2018	***-**-928I - HARRISON, LESLEY	THE BOND FUND OF AMERICA-A	1,700.00	46.75	0.00	46.75	0.5	0.23
	ACCOUNT #: 00085790202	BUY 130 Units @13.0700						
04/04/2018	***-**-503I - HARRISON, BLAKE	THE BOND FUND OF AMERICA-A	2,000.00	55.00	0.00	55.00	0.5	0.28
	ACCOUNT #: 00085790218	BUY 153 Units @13.0700						
04/04/2018	***-**-928I - HARRISON, LESLEY	THE GROWTH FUND OF AMERICA-A	2,000.00	55.00	0.00	55.00	0.5	0.28
	ACCOUNT #: 00085790202	BUY 38 Units @52.6700						
04/04/2018	***-**-503I - HARRISON, BLAKE	THE GROWTH FUND OF AMERICA-A	1,000.00	27.50	0.00	27.50	0.5	0.14
	ACCOUNT #: 00085790218	BUY 19 Units @52.6700						
04/04/2018	***-**-928I - HARRISON, LESLEY	THE INVESTMENT COMPANY OF AMERICA-A	2,000.00	55.00	0.00	55.00	0.5	0.28
	ACCOUNT #: 00085790202	BUY 49 Units @41.1300						
04/04/2018	***-**-503I - HARRISON, BLAKE	THE INVESTMENT COMPANY OF AMERICA-A	2,000.00	55.00	0.00	55.00	0.5	0.28
	ACCOUNT #: 00085790218	BUY 49 Units @41.1300						
 * JOHN KELLY SUBTOTAL * 			\$18,911.67	\$38,132.24	\$0.00	\$38,132.24		\$190.72
<u> BROKER: JESS LITTLE </u>								
04/16/2018	***-**-955I - JONES, DAVID	AIM INTERNATIONAL GROWTH FUND - CL	0.00	4.50	0.00	4.50	0.5	0.02
	ACCOUNT #: LSR012455	BUY 1 Units @0.0000						
04/16/2018	***-**-9550 - JONES, DAVID	INVESCO VAN KAMPEN COMSTOCK CLASS A	0.00	4.83	0.00	4.83	0.5	0.02
	ACCOUNT #: LSR012453	BUY 1 Units @0.0000						
04/16/2018	***-**-299I - JONES, SHARON	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	1.83	0.00	1.83	0.5	0.01
	ACCOUNT #: LSR012454	BUY 1 Units @0.0000						
04/16/2018	***-**-955I - JONES, DAVID	IVK AMERICAN VALUE FUND - CLASS A	0.00	1.36	0.00	1.36	0.5	0.01
	ACCOUNT #: LSR012455	BUY 1 Units @0.0000						
04/16/2018	***-**-955I - JONES, DAVID	IVK GROWTH AND INCOME FUND - CLASS	0.00	1.53	0.00	1.53	0.5	0.01
	ACCOUNT #: LSR012455	BUY 1 Units @0.0000						
04/13/2018	***-**-4719 - INCOBRASA, IND	PRINCIPAL VA TRAILS	0.00	1,574.13	0.00	1,574.13	0.5	7.87
	ACCOUNT #: 447191	BUY 1 Units @0.0000						
04/13/2018	***-**-6005 - ILLINOIS	PRINCIPAL VA TRAILS	0.00	4,089.64	0.00	4,089.64	0.5	20.45
	ACCOUNT #: 516169	BUY 1 Units @0.0000						
04/16/2018	***-**-689J - JONES, RICHARD	VAN KAMPEN1	0.00	36.00	0.00	36.00	0.5	0.18
	ACCOUNT #: LSR008389	BUY 1 Units @0.0000						
04/16/2018	***-**-955I - JONES, DAVID	VAN KAMPEN3	0.00	2.90	0.00	2.90	0.5	0.01
	ACCOUNT #: LSR012455	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: TAMMY MASON (continued) </u>								
		* JESS LITTLE SUBTOTAL *	\$0.00	\$5,716.72	\$0.00	\$5,716.72		\$28.58
<u> BROKER: TAMMY MASON </u>								
04/01/2018	***-**-6683 - CLINE, RICHARD	MFS GROWTH ALLOCATION FUND-A	0.00	58.73	0.00	58.73	0.5	0.29
	ACCOUNT #: 08190093652	BUY 0 Units @0.0000						
04/01/2018	***-**-6683 - CLINE, RICHARD	MFS UTILITIES FUND-A	0.00	8.12	0.00	8.12	0.5	0.04
	ACCOUNT #: 08191020697	BUY 0 Units @0.0000						
		* TAMMY MASON SUBTOTAL *	\$0.00	\$66.85	\$0.00	\$66.85		\$0.33
<u> BROKER: VINCENT MICCICHE </u>								
04/01/2018	***-**-877P - ROBINSON, ELLEN	AIM CHARTER FUND - CLASS A	0.00	12.02	0.00	12.02	0.5	0.06
	ACCOUNT #: 05002512977	BUY 0 Units @0.0000						
04/01/2018	***-**-786P - PRASIL, MARILYN	AIM CHARTER FUND - CLASS A	0.00	11.86	0.00	11.86	0.5	0.06
	ACCOUNT #: 00002187615	BUY 0 Units @0.0000						
04/01/2018	***-**-553I - PARRISH, ROBERT	AIM CHARTER FUND - CLASS A	0.00	19.15	0.00	19.15	0.5	0.10
	ACCOUNT #: 05000169515	BUY 0 Units @0.0000						
04/01/2018	***-**-604I - KUBIAK, ANN	AIM CHARTER FUND - CLASS A	0.00	16.22	0.00	16.22	0.5	0.08
	ACCOUNT #: 04038586493	BUY 0 Units @0.0000						
04/01/2018	***-**-166I - KUBIAK, DANIEL	AIM CHARTER FUND - CLASS A	0.00	16.23	0.00	16.23	0.5	0.08
	ACCOUNT #: 04038586527	BUY 0 Units @0.0000						
04/01/2018	***-**-553I - PARRISH, ROBERT	AIM INTERNATIONAL GROWTH FUND - CL	0.00	9.39	0.00	9.39	0.5	0.05
	ACCOUNT #: 05000169515	BUY 0 Units @0.0000						
03/31/2018	***-**-60IN - KALINOWSKI,	GLOBAL FUND A	0.00	4.08	0.00	4.08	0.5	0.02
	ACCOUNT #: 03303657161	BUY 0 Units @0.0000						
04/01/2018	***-**-786P - PRASIL, MARILYN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	18.83	0.00	18.83	0.5	0.09
	ACCOUNT #: 00002187615	BUY 0 Units @0.0000						
04/01/2018	***-**-553I - PARRISH, ROBERT	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	6.34	0.00	6.34	0.5	0.03
	ACCOUNT #: 05000169515	BUY 0 Units @0.0000						
04/01/2018	***-**-6087 - BRUGGER, DAVID	INVESCO VAN KAMPEN COMSTOCK CLASS A	0.00	4.08	0.00	4.08	0.5	0.02
	ACCOUNT #: 00670590915	BUY 0 Units @0.0000						
04/01/2018	***-**-6087 - BRUGGER, DAVID	INVESCO VAN KAMPEN COMSTOCK CLASS A	0.00	1.56	0.00	1.56	0.5	0.01
	ACCOUNT #: 06700372790	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: VINCENT MICCICHE (continued)</u> 								
03/31/2018	***-**-60IN - KALINOWSKI,	MAIN STREET FUND A	0.00	3.81	0.00	3.81	0.5	0.02
	ACCOUNT #: 07002059335	BUY 0 Units @0.0000						
03/31/2018	***-**-60IN - KALINOWSKI,	OPPENHEIMER DISCOVERY CLASS A	0.00	3.82	0.00	3.82	0.5	0.02
	ACCOUNT #: 07453399715	BUY 0 Units @0.0000						
04/02/2018	***-**-785I - LESTER, HOWARD E	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	39.33	0.00	39.33	0.5	0.20
	ACCOUNT #: 00021139794	BUY 0 Units @0.0000						
04/02/2018	***-**-604I - KUBIAK, ANN	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	34.19	0.00	34.19	0.5	0.17
	ACCOUNT #: 00021150698	BUY 0 Units @0.0000						
04/02/2018	***-**-166I - KUBIAK, DANIEL	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	34.19	0.00	34.19	0.5	0.17
	ACCOUNT #: 00021154830	BUY 0 Units @0.0000						
03/31/2018	***-**-60IN - KALINOWSKI,	QUEST BALANCED A	0.00	2.62	0.00	2.62	0.5	0.01
	ACCOUNT #: 02575364986	BUY 0 Units @0.0000						
03/31/2018	***-**-01IN - PRASIL, ANTHONY	ROCHESTER FUND MUNICIPALS A	0.00	27.01	0.00	27.01	0.5	0.14
	ACCOUNT #: 00028168000	BUY 0 Units @0.0000						
03/31/2018	***-**-604V - KUBIAK, ANN	ROCHESTER FUND MUNICIPALS A	0.00	18.98	0.00	18.98	0.5	0.09
	ACCOUNT #: 03000141340	BUY 0 Units @0.0000						
04/01/2018	***-**-553I - PARRISH, ROBERT	VAN KAMPEN3	0.00	3.68	0.00	3.68	0.5	0.02
	ACCOUNT #: 05000169515	BUY 0 Units @0.0000						
		* VINCENT MICCICHE SUBTOTAL *	\$0.00	\$287.39	\$0.00	\$287.39		\$1.44
 <u>BROKER: ANNE PLATSKY</u> 								
04/01/2018	***-**-127I - COHEN, MYRA	AIM TECHNOLOGY FUND - CLASS A	0.00	3.10	0.00	3.10	0.5	0.02
	ACCOUNT #: 00670316920	BUY 0 Units @0.0000						
04/01/2018	***-**-817I - COHEN, EDMUND	AIM TECHNOLOGY FUND - CLASS A	0.00	3.10	0.00	3.10	0.5	0.02
	ACCOUNT #: 00670316921	BUY 0 Units @0.0000						
04/02/2018	***-**-50IS - JACKSON, DAVID	AMERICAN BALANCED FUND-A	10,000.00	200.00	0.00	200.00	0.5	1.00
	ACCOUNT #: 00074764055	BUY 369 Units @27.0700						
04/16/2018	***-**-8459 - SCLAFANI,	DELAWARE GROWTH OPPORTUNITIES FD CL	0.00	21.18	0.00	21.18	0.5	0.11
	ACCOUNT #: LSR102040	BUY 1 Units @0.0000						
04/16/2018	***-**-7254 - GREEN, MICHAEL	DELAWARE MF TRAILS	0.00	92.32	0.00	92.32	0.5	0.46
	ACCOUNT #: 05163225106	BUY 0 Units @0.0000						
04/16/2018	***-**-119I - LEVIN MD, HENRY	DELAWARE MF TRAILS	0.00	5.32	0.00	5.32	0.5	0.03
	ACCOUNT #: 5014241449	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: ANNE PLATSKY (continued) </u>								
04/16/2018	***-**-9931 - STARKER, DEBORAH	DELAWARE MF TRAILS	0.00	13.69	0.00	13.69	0.5	0.07
	ACCOUNT #: 06000506880	BUY 0 Units @0.0000						
04/16/2018	***-**-5380 - LEE, WAI	FRANKLIN DYNATECH FUND CLASS A	0.00	30.53	0.00	30.53	0.5	0.15
	ACCOUNT #: LSR101311	BUY 1 Units @0.0000						
04/16/2018	***-**-003J - LEE, MICHELE	FRANKLIN FEDERAL TAX FREE INCOME FU	0.00	2.92	0.00	2.92	0.5	0.01
	ACCOUNT #: LSR101290	BUY 1 Units @0.0000						
04/16/2018	***-**-5380 - LEE, WAI	FRANKLIN GROWTH FUND CLASS A	0.00	28.07	0.00	28.07	0.5	0.14
	ACCOUNT #: LSR101311	BUY 1 Units @0.0000						
04/16/2018	***-**-003J - LEE, MICHELE	FRANKLIN HIGH-YIELD TAX-FREE INCOME	0.00	2.53	0.00	2.53	0.5	0.01
	ACCOUNT #: LSR101290	BUY 1 Units @0.0000						
04/16/2018	***-**-5380 - LEE, WAI	FRANKLIN INCOME FUND CLASS A	0.00	27.55	0.00	27.55	0.5	0.14
	ACCOUNT #: LSR101311	BUY 1 Units @0.0000						
04/16/2018	***-**-8459 - SCLAFANI,	FRANKLIN INCOME FUND CLASS A	0.00	3.85	0.00	3.85	0.5	0.02
	ACCOUNT #: LSR102040	BUY 1 Units @0.0000						
04/04/2018	***-**-321I - MARSHALL,	FUNDAMENTAL INVESTORS-A	350.00	17.50	0.00	17.50	0.5	0.09
	ACCOUNT #: 00075914418	BUY 5 Units @65.4900						
04/01/2018	***-**-200I - ZUPRUK, NANCY	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	14.78	0.00	14.78	0.5	0.07
	ACCOUNT #: 00670321861	BUY 0 Units @0.0000						
	* ANNE PLATSKY SUBTOTAL *		\$10,350.00	\$466.44	\$0.00	\$466.44		\$2.34
<u> BROKER: JEFFRY PROUL </u>								
04/01/2018	***-**-390I - REPELLA, CRAIG	AIM ASIA PACIFIC GROWTH FUND - CL A	0.00	57.30	0.00	57.30	0.5	0.29
	ACCOUNT #: 07000318605	BUY 0 Units @0.0000						
04/01/2018	***-**-90IN - REPELLA, CRAIG	AIM EUROPEAN GROWTH FUND - CLASS A	0.00	3.97	0.00	3.97	0.5	0.02
	ACCOUNT #: 07000279823	BUY 0 Units @0.0000						
04/01/2018	***-**-390I - REPELLA, CRAIG	AIM EUROPEAN GROWTH FUND - CLASS A	0.00	70.02	0.00	70.02	0.5	0.35
	ACCOUNT #: 07000318605	BUY 0 Units @0.0000						
04/01/2018	***-**-90IN - REPELLA, CRAIG	AIM GLOBAL HEALTH CARE FUND CLASS A	0.00	62.04	0.00	62.04	0.5	0.31
	ACCOUNT #: 07000279823	BUY 0 Units @0.0000						
04/16/2018	***-**-1522 - PROUL, JEFFRY	AIM GLOBAL HEALTH CARE FUND CLASS A	0.00	4.54	0.00	4.54	0.5	0.02
	ACCOUNT #: LSR101168	BUY 1 Units @0.0000						
04/04/2018	***-**-22CL - PROUL, CLIENTS	AMERICAN FUNDS 2030 TARGET DATE-A	125.00	4.69	0.00	4.69	0.5	0.02
	ACCOUNT #: 00088976486	BUY 8 Units @15.0700						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: JEFFRY PROUL (continued)</u>								
04/04/2018	***-**-22CL - PROUL, CLIENTS ACCOUNT #: 00088976486	AMERICAN FUNDS 2030 TARGET DATE-A BUY 8 Units @15.0700	125.00	4.69	0.00	4.69	0.5	0.02
04/04/2018	***-**-22CL - PROUL, CLIENTS ACCOUNT #: 00088976498	AMERICAN FUNDS 2030 TARGET DATE-A BUY 8 Units @15.0700	125.00	4.69	0.00	4.69	0.5	0.02
04/04/2018	***-**-22CL - PROUL, CLIENTS ACCOUNT #: 00088976498	AMERICAN FUNDS 2030 TARGET DATE-A BUY 8 Units @15.0700	125.00	4.69	0.00	4.69	0.5	0.02
04/03/2018	***-**-22CL - PROUL, CLIENTS ACCOUNT #: 00089402273	AMERICAN FUNDS 2055 TARGET DATE-A BUY 3 Units @19.4200	52.80	1.45	0.00	1.45	0.5	0.01
04/03/2018	***-**-22CL - PROUL, CLIENTS ACCOUNT #: 00089402273	AMERICAN FUNDS 2055 TARGET DATE-A BUY 10 Units @19.4200	200.00	5.50	0.00	5.50	0.5	0.03
04/05/2018	***-**-8157 - SPIRE ACCOUNT #: BRK110137	AMERICAN FUNDS 401K TRAILS BUY 0 Units @0.0000	0.00	1,651.60	0.00	1,651.60	0.5	8.26
04/05/2018	***-**-118I - PARACORP INC, ACCOUNT #: BRK87957	AMERICAN FUNDS 401K TRAILS BUY 0 Units @0.0000	0.00	3,668.10	0.00	3,668.10	0.5	18.34
03/31/2018	***-**-90IN - REPELLA, CRAIG ACCOUNT #: 03002590907	CAPITAL INCOME A BUY 0 Units @0.0000	0.00	15.80	0.00	15.80	0.5	0.08
04/03/2018	***-**-4496 - HARRY, KIRK ACCOUNT #: 00058823513	EUROPACIFIC GROWTH FUND-A BUY 8 Units @56.6300	479.17	4.79	0.00	4.79	0.5	0.02
04/03/2018	***-**-3875 - HARRY, JOHN ACCOUNT #: 00058823514	EUROPACIFIC GROWTH FUND-A BUY 10 Units @56.6300	563.35	5.63	0.00	5.63	0.5	0.03
04/03/2018	***-**-9346 - KEY-BELL INC ACCOUNT #: 00058823515	EUROPACIFIC GROWTH FUND-A BUY 3 Units @56.6300	150.00	1.50	0.00	1.50	0.5	0.01
04/03/2018	***-**-2069 - CORPORATION, ACCOUNT #: 00058823519	EUROPACIFIC GROWTH FUND-A BUY 9 Units @56.6300	521.26	5.21	0.00	5.21	0.5	0.03
04/03/2018	***-**-2069 - CORPORATION, ACCOUNT #: 00058836715	EUROPACIFIC GROWTH FUND-A BUY 21 Units @56.6300	1,197.28	11.97	0.00	11.97	0.5	0.06
04/05/2018	***-**-5939 - WHITE, TAMARA ACCOUNT #: 03900219123	FIDELITY ADV FREEDOM 2030-CL A BUY 2 Units @15.9300	26.40	1.32	0.00	1.32	0.5	0.01
04/05/2018	***-**-5939 - WHITE, TAMARA ACCOUNT #: 03900219123	FIDELITY ADV FREEDOM 2030-CL A BUY 2 Units @15.9300	26.40	1.32	0.00	1.32	0.5	0.01
03/31/2018	***-**-091I - ALBERS, KEN ACCOUNT #: 03302610379	GLOBAL FUND A BUY 0 Units @0.0000	0.00	13.53	0.00	13.53	0.5	0.07



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JEFFRY PROUL (continued) </u>								
04/01/2018	***-**-905P - REPELLA, CRAIG ACCOUNT #: 00005461876	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	117.13	0.00	117.13	0.5	0.59
04/01/2018	***-**-742I - CLASEN, SHIRLEY ACCOUNT #: 05002335932	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	3.42	0.00	3.42	0.5	0.02
04/16/2018	***-**-1522 - PROUL, JEFFRY ACCOUNT #: LSR101168	INVESCO AMERICAN FRANCHISE FUND -CL BUY 1 Units @0.0000	0.00	2.55	0.00	2.55	0.5	0.01
04/03/2018	***-**-4496 - HARRY, KIRK ACCOUNT #: 00058823513	THE GROWTH FUND OF AMERICA-A BUY 10 Units @50.3800	479.17	4.79	0.00	4.79	0.5	0.02
04/03/2018	***-**-3875 - HARRY, JOHN ACCOUNT #: 00058823514	THE GROWTH FUND OF AMERICA-A BUY 11 Units @50.3800	563.35	5.63	0.00	5.63	0.5	0.03
04/03/2018	***-**-9346 - KEY-BELL INC ACCOUNT #: 00058823515	THE GROWTH FUND OF AMERICA-A BUY 3 Units @50.3800	150.00	1.50	0.00	1.50	0.5	0.01
04/03/2018	***-**-2069 - CORPORATION, ACCOUNT #: 00058823519	THE GROWTH FUND OF AMERICA-A BUY 10 Units @50.3800	521.26	5.21	0.00	5.21	0.5	0.03
04/03/2018	***-**-2069 - CORPORATION, ACCOUNT #: 00058836715	THE GROWTH FUND OF AMERICA-A BUY 24 Units @50.3800	1,197.29	11.97	0.00	11.97	0.5	0.06
04/03/2018	***-**-645P - CALLES, LORIAN ACCOUNT #: 00081807366	THE GROWTH FUND OF AMERICA-A BUY 2 Units @52.2100	90.00	2.48	0.00	2.48	0.5	0.01
04/03/2018	***-**-645P - CALLES, LORIAN ACCOUNT #: 00081807366	THE GROWTH FUND OF AMERICA-A BUY 3 Units @52.2100	150.00	4.13	0.00	4.13	0.5	0.02
* JEFFRY PROUL SUBTOTAL *			\$6,867.73	\$5,763.16	\$0.00	\$5,763.16		\$28.83
<u> BROKER: STEVEN SCHOENBRUN </u>								
04/09/2018	***-**-264I - WOLK, BARRY ACCOUNT #: 04719417797	AB UNCONSTRAINED BOND A BUY 0 Units @0.0000	0.00	22.86	0.00	22.86	0.5	0.11
04/09/2018	***-**-264I - WOLK, BARRY ACCOUNT #: 04719417797	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG BUY 0 Units @0.0000	0.00	14.45	0.00	14.45	0.5	0.07
04/09/2018	***-**-264I - WOLK, BARRY ACCOUNT #: 04719417797	ALLIANCEBERNSTEIN BALANCED SHARES A BUY 0 Units @0.0000	0.00	9.35	0.00	9.35	0.5	0.05
04/09/2018	***-**-264I - WOLK, BARRY ACCOUNT #: 04719417797	ALLIANCEBERNSTEIN GLOBAL TECHNOLOGY BUY 0 Units @0.0000	0.00	3.94	0.00	3.94	0.5	0.02
04/09/2018	***-**-264I - WOLK, BARRY ACCOUNT #: 04719417797	ALLIANCEBERNSTEIN GROWTH A BUY 0 Units @0.0000	0.00	29.63	0.00	29.63	0.5	0.15



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: STEVEN SCHOENBRUN (continued) </u>								
04/09/2018	***-**-264I - WOLK, BARRY	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	107.95	0.00	107.95	0.5	0.54
	ACCOUNT #: 04719417797	BUY 0 Units @0.0000						
04/09/2018	***-**-264I - WOLK, BARRY	ALLIANCEBERNSTEIN GROWTH AND INC C	0.00	2.36	0.00	2.36	0.5	0.01
	ACCOUNT #: 04719417797	BUY 0 Units @0.0000						
04/09/2018	***-**-264I - WOLK, BARRY	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	29.89	0.00	29.89	0.5	0.15
	ACCOUNT #: 04719417797	BUY 0 Units @0.0000						
04/09/2018	***-**-264I - WOLK, BARRY	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	1.84	0.00	1.84	0.5	0.01
	ACCOUNT #: 04719417797	BUY 0 Units @0.0000						
04/09/2018	***-**-264I - WOLK, BARRY	ALLIANCEBERNSTEIN UTILITY INCOME A	0.00	79.21	0.00	79.21	0.5	0.40
	ACCOUNT #: 04719417797	BUY 0 Units @0.0000						
04/05/2018	***-**-4705 - K & L LOOSELEAF,	AMERICAN FUNDS 401K TRAILS	0.00	787.77	0.00	787.77	0.5	3.94
	ACCOUNT #: IRK69990	BUY 0 Units @0.0000						
04/05/2018	***-**-3702 - UTILITY MAPPING,	AMERICAN FUNDS 401K TRAILS	0.00	1,957.87	0.00	1,957.87	0.5	9.79
	ACCOUNT #: IRK72033	BUY 0 Units @0.0000						
04/05/2018	***-**-7235 - SONO	AMERICAN FUNDS 401K TRAILS	0.00	8.23	0.00	8.23	0.5	0.04
	ACCOUNT #: IRK126833	BUY 0 Units @0.0000						
04/05/2018	***-**-8229 - SOHO, CONSULTING	AMERICAN FUNDS 401K TRAILS	0.00	52.10	0.00	52.10	0.5	0.26
	ACCOUNT #: IRK134736	BUY 0 Units @0.0000						
04/05/2018	***-**-8163 - NORTH SHORE,	AMERICAN FUNDS 401K TRAILS	0.00	678.92	0.00	678.92	0.5	3.39
	ACCOUNT #: IRK68891	BUY 0 Units @0.0000						
04/05/2018	***-**-351I - THE CHASE GROUP	AMERICAN FUNDS 401K TRAILS	0.00	2,035.79	0.00	2,035.79	0.5	10.18
	ACCOUNT #: IRK20719	BUY 0 Units @0.0000						
04/05/2018	***-**-1413 - HARADA	AMERICAN FUNDS 401K TRAILS	0.00	210.90	0.00	210.90	0.5	1.05
	ACCOUNT #: IRK131365	BUY 0 Units @0.0000						
04/06/2018	***-**-865P - BRESER, JAMES	CAPITAL INCOME BUILDER-A	136.80	1.37	0.00	1.37	0.5	0.01
	ACCOUNT #: 00062435960	BUY 2 Units @60.3800						
04/06/2018	***-**-725P - HOSTETLER,	CAPITAL INCOME BUILDER-A	117.60	1.18	0.00	1.18	0.5	0.01
	ACCOUNT #: 00062435962	BUY 2 Units @60.3800						
04/06/2018	***-**-855P - BECKER, JANEL	CAPITAL WORLD GROWTH AND INCOME FUN	150.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: 00062435958	BUY 3 Units @50.6400						
04/06/2018	***-**-725P - HOSTETLER,	CAPITAL WORLD GROWTH AND INCOME FUN	117.60	1.18	0.00	1.18	0.5	0.01
	ACCOUNT #: 00062435962	BUY 2 Units @50.6400						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: STEVEN SCHOENBRUN (continued) </u>								
04/06/2018	***-**-855P - CRANER, THOMAS	FUNDAMENTAL INVESTORS-A	117.00	1.17	0.00	1.17	0.5	0.01
	ACCOUNT #: 00062435963	BUY 2 Units @61.0100						
04/16/2018	***-**-550K - THE HEARN CO.,	JOHN HANCOCK VA TRAILS	0.00	781.02	0.00	781.02	0.5	3.91
	ACCOUNT #: 98364	BUY 1 Units @0.0000						
04/16/2018	***-**-55PS - RICK LEVIN &	JOHN HANCOCK VA TRAILS	0.00	1,020.00	0.00	1,020.00	0.5	5.10
	ACCOUNT #: 94182	BUY 1 Units @0.0000						
04/16/2018	***-**-500K - NATIONAL	JOHN HANCOCK VA TRAILS	0.00	308.97	0.00	308.97	0.5	1.54
	ACCOUNT #: 93306	BUY 1 Units @0.0000						
04/16/2018	***-**-7777 - MATTALIANO,	JOHN HANCOCK VA TRAILS	0.00	483.17	0.00	483.17	0.5	2.42
	ACCOUNT #: 66147	BUY 1 Units @0.0000						
04/16/2018	***-**-6033 - GOLAN'S, MOVING	JOHN HANCOCK VA TRAILS	0.00	1,296.95	0.00	1,296.95	0.5	6.48
	ACCOUNT #: 49603	BUY 1 Units @0.0000						
04/16/2018	***-**-336K - CHICAGO	JOHN HANCOCK VA TRAILS	0.00	1,278.66	0.00	1,278.66	0.5	6.39
	ACCOUNT #: 109523	BUY 1 Units @0.0000						
04/16/2018	***-**-2989 - NATIONAL GIFT	JOHN HANCOCK VA TRAILS	0.00	658.02	0.00	658.02	0.5	3.29
	ACCOUNT #: 106085	BUY 1 Units @0.0000						
04/16/2018	***-**-8474 - U.R.I.S.A.	JOHN HANCOCK VA TRAILS	0.00	151.25	0.00	151.25	0.5	0.76
	ACCOUNT #: 102892	BUY 1 Units @0.0000						
04/16/2018	***-**-8474 - U.R.I.S.A.	JOHN HANCOCK VA TRAILS-ST.CYR	0.00	287.45	0.00	287.45	0.5	1.44
	ACCOUNT #: 102892	BUY 1 Units @0.0000						
04/06/2018	***-**-855P - BECKER, JANEL	THE GROWTH FUND OF AMERICA-A	150.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: 00062435958	BUY 3 Units @50.1600						
04/06/2018	***-**-855P - CRANER, THOMAS	THE INCOME FUND OF AMERICA-A	117.00	1.17	0.00	1.17	0.5	0.01
	ACCOUNT #: 00062435963	BUY 5 Units @22.6700						
04/06/2018	***-**-865P - BRESER, JAMES	WASHINGTON MUTUAL INVESTORS FUND-A	319.20	3.19	0.00	3.19	0.5	0.02
	ACCOUNT #: 00062435960	BUY 7 Units @44.3900						
* STEVEN SCHOENBRUN SUBTOTAL *			\$1,225.20	\$12,310.81	\$0.00	\$12,310.81		\$61.58



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: RICHARD SOWERS</u>								
04/09/2018	***-**-3221 - PITTM, BARB	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	4.43	0.00	4.43	0.5	0.02
	ACCOUNT #: 00940010050	BUY 0 Units @0.0000						
04/02/2018	***-**-87IN - HALL, J	AMCAP FUND-A	119.00	3.27	0.00	3.27	0.5	0.02
	ACCOUNT #: 00084955124	BUY 4 Units @32.9300						
03/31/2018	***-**-0132 - FUERST, PATRICIA	CAPITAL APPRECIATION A	0.00	2.74	0.00	2.74	0.5	0.01
	ACCOUNT #: 03201481271	BUY 0 Units @0.0000						
04/02/2018	***-**-87IN - HALL, J	CAPITAL WORLD GROWTH AND INCOME FUN	119.00	3.27	0.00	3.27	0.5	0.02
	ACCOUNT #: 00084955124	BUY 2 Units @52.0600						
04/16/2018	***-**-237I - PIERSON, JEFFREY	COLUMBIA FUNDS MF TRAILS	0.00	3.42	0.00	3.42	0.5	0.02
	ACCOUNT #: 08696900918	BUY 0 Units @0.0000						
04/16/2018	***-**-237I - PIERSON, JEFFREY	COLUMBIA FUNDS MF TRAILS	0.00	3.42	0.00	3.42	0.5	0.02
	ACCOUNT #: 08696900918	BUY 0 Units @0.0000						
04/16/2018	***-**-237I - PIERSON, JEFFREY	COLUMBIA FUNDS MF TRAILS	0.00	2.04	0.00	2.04	0.5	0.01
	ACCOUNT #: 08696900918	BUY 0 Units @0.0000						
04/16/2018	***-**-237I - PIERSON, JEFFREY	COLUMBIA FUNDS MF TRAILS	0.00	6.56	0.00	6.56	0.5	0.03
	ACCOUNT #: 08696900918	BUY 0 Units @0.0000						
04/16/2018	***-**-237I - PIERSON, JEFFREY	COLUMBIA FUNDS MF TRAILS	0.00	-3.42	0.00	-3.42	0.5	-0.02
	ACCOUNT #: 08696900918	BUY 0 Units @0.0000						
04/02/2018	***-**-87IN - HALL, J	FUNDAMENTAL INVESTORS-A	119.00	3.27	0.00	3.27	0.5	0.02
	ACCOUNT #: 00084955124	BUY 2 Units @62.5800						
03/31/2018	***-**-3152 - LORD, GEORGE D	MAIN STREET FUND A	0.00	8.05	0.00	8.05	0.5	0.04
	ACCOUNT #: 04206461158	BUY 0 Units @0.0000						
04/16/2018	***-**-12FB - BALBIN, CATHY	MORNINGSTAR ADVISOR FEE	345.09	345.09	0.00	345.09	0.5	1.73
	ACCOUNT #: 101154413	BUY 0 Units @0.0000						
04/16/2018	***-**-43FB - CRAFT, ARTHUR	MORNINGSTAR ADVISOR FEE	281.90	281.90	0.00	281.90	0.5	1.41
	ACCOUNT #: 101164453	BUY 0 Units @0.0000						
04/16/2018	***-**-559I - HUBBARD, JAMES	MORNINGSTAR ADVISOR FEE	308.04	308.04	0.00	308.04	0.5	1.54
	ACCOUNT #: 101124675	BUY 0 Units @0.0000						
04/09/2018	***-**-547J - BEST III, JOHN	NEW PERSPECTIVE FUND-A	996.98	34.38	0.00	34.38	0.5	0.17
	ACCOUNT #: LSR010824	BUY 22 Units @45.8700						
04/10/2018	***-**-60IO - BLACK, JENNIFER	NFS MANAGED FEES	0.00	405.50	0.00	405.50	0.5	2.03
		BUY 1 Units @92939.6700						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: RICHARD SOWERS (continued)</u>								
04/10/2018	***-**-60I2 - BLACK, JENNIFER	NFS MANAGED FEES BUY 1 Units @100695.100	0.00	439.33	0.00	439.33	0.5	2.20
03/31/2018	***-**-897I - SPENCER, JEANNIE ACCOUNT #: 05500608806	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	0.00	10.99	0.00	10.99	0.5	0.05
03/31/2018	***-**-17IN - VITALE, ESTHER ACCOUNT #: 02302781727	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	3.77	0.00	3.77	0.5	0.02
04/16/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS BUY 0 Units @0.0000	0.00	5.75	0.00	5.75	0.5	0.03
04/16/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS BUY 0 Units @0.0000	0.00	5.00	0.00	5.00	0.5	0.03
04/16/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS BUY 0 Units @0.0000	0.00	20.17	0.00	20.17	0.5	0.10
04/16/2018	***-**-012S - BALBIN, CATHY	PRINCIPAL FUNDS TRAILS BUY 0 Units @0.0000	0.00	6.00	0.00	6.00	0.5	0.03
04/16/2018	***-**-458I - GROSS, JAN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	12.61	0.00	12.61	0.5	0.06
04/16/2018	***-**-558H - PEAVEY, DARREN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	3.67	0.00	3.67	0.5	0.02
04/16/2018	***-**-436S - DUNLAP, RICHARD	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	2.08	0.00	2.08	0.5	0.01
04/16/2018	***-**-600I - FLANICK, JOSEPH	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	1.45	0.00	1.45	0.5	0.01
04/02/2018	***-**-78UG - REBMAN, AMANDA M ACCOUNT #: 00435289055	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	10.78	0.00	10.78	0.5	0.05
04/02/2018	***-**-833J - KAHERMANES, NORA ACCOUNT #: 00494851506	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	6.38	0.00	6.38	0.5	0.03
04/02/2018	***-**-58UG - HAUSMAN, LAURA E ACCOUNT #: 00550830449	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	3.33	0.00	3.33	0.5	0.02
04/02/2018	***-**-67UG - HAUSMAN, SYDNEY ACCOUNT #: 00550842095	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	5.85	0.00	5.85	0.5	0.03
04/02/2018	***-**-52IN - LORD, GEORGE ACCOUNT #: 00550886148	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	10.55	0.00	10.55	0.5	0.05



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: RICHARD SOWERS (continued)</u>								
04/02/2018	***-**-58UG - HAUSMAN, LAURA E	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	5.23	0.00	5.23	0.5	0.03
	ACCOUNT #: 00550830449	BUY 0 Units @0.0000						
04/02/2018	***-**-67UG - HAUSMAN, SYDNEY	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	6.49	0.00	6.49	0.5	0.03
	ACCOUNT #: 00550842095	BUY 0 Units @0.0000						
04/02/2018	***-**-717I - FUERST, DOUGLAS	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	1.08	0.00	1.08	0.5	0.01
	ACCOUNT #: 00232502075	BUY 0 Units @0.0000						
04/02/2018	***-**-8831 - KILMER,	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	7.02	0.00	7.02	0.5	0.04
	ACCOUNT #: 00401506977	BUY 0 Units @0.0000						
04/02/2018	***-**-833J - KAHERMANES, NORA	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	4.02	0.00	4.02	0.5	0.02
	ACCOUNT #: 00494851506	BUY 0 Units @0.0000						
04/02/2018	***-**-70UG - KAHERMANES,	PUTNAM INVESTORS FUND-A	0.00	10.13	0.00	10.13	0.5	0.05
	ACCOUNT #: 00507255867	BUY 0 Units @0.0000						
04/02/2018	***-**-70UG - KAHERMANES,	PUTNAM INVESTORS FUND-B	0.00	3.10	0.00	3.10	0.5	0.02
	ACCOUNT #: 00507255867	BUY 0 Units @0.0000						
04/02/2018	***-**-52IN - LORD, GEORGE	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	6.36	0.00	6.36	0.5	0.03
	ACCOUNT #: 00550886148	BUY 0 Units @0.0000						
04/02/2018	***-**-9717 - FUERST AND,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	65.26	0.00	65.26	0.5	0.33
	ACCOUNT #: 00551486754	BUY 0 Units @0.0000						
04/02/2018	***-**-58UG - HAUSMAN, LAURA E	PUTNAM SMALL CAP VALUE FUND-A	0.00	6.88	0.00	6.88	0.5	0.03
	ACCOUNT #: 00550830449	BUY 0 Units @0.0000						
04/02/2018	***-**-67UG - HAUSMAN, SYDNEY	PUTNAM SMALL CAP VALUE FUND-A	0.00	4.20	0.00	4.20	0.5	0.02
	ACCOUNT #: 00550842095	BUY 0 Units @0.0000						
03/31/2018	***-**-897I - SPENCER, JEANNIE	RISING DIVIDENDS FUND A	0.00	5.50	0.00	5.50	0.5	0.03
	ACCOUNT #: 02252886983	BUY 0 Units @0.0000						
04/16/2018	***-**-217I - VITALE, ESTHER	SAMMONS MF TRAILS	0.00	7.10	0.00	7.10	0.5	0.04
	ACCOUNT #: 7200011021	BUY 0 Units @0.0000						
04/16/2018	***-**-36IN - CLAWSON,	SAMMONS MF TRAILS	0.00	5.36	0.00	5.36	0.5	0.03
	ACCOUNT #: 7200017170	BUY 0 Units @0.0000						
04/16/2018	***-**-339I - COBIAN, NANCY	SAMMONS MF TRAILS	0.00	16.48	0.00	16.48	0.5	0.08
	ACCOUNT #: 7200019226	BUY 0 Units @0.0000						
04/09/2018	***-**-547J - BEST III, JOHN	THE INVESTMENT COMPANY OF AMERICA-A	997.00	34.38	0.00	34.38	0.5	0.17
	ACCOUNT #: LSR010824	BUY 24 Units @41.2000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: RICHARD SOWERS (continued)</u>								
04/02/2018	***-**-87IN - HALL, J	WASHINGTON MUTUAL INVESTORS FUND-A	119.00	3.27	0.00	3.27	0.5	0.02
	ACCOUNT #: 00084955124	BUY 3 Units @45.5300						
		* RICHARD SOWERS SUBTOTAL *	\$3,405.01	\$2,151.53	\$0.00	\$2,151.53		\$10.79
<u>BROKER: CRAIG ST. CYR</u>								
04/01/2018	***-**-240I - WOOD, REBECCA	AIM CHARTER FUND - CLASS A	0.00	3.52	0.00	3.52	0.5	0.02
	ACCOUNT #: 00003538402	BUY 0 Units @0.0000						
04/01/2018	***-**-64IR - ST CYR, CRAIG	AIM INTERNATIONAL GROWTH FUND - CL	0.00	3.02	0.00	3.02	0.5	0.02
	ACCOUNT #: 05016574062	BUY 0 Units @0.0000						
03/31/2018	***-**-911I - O'KEEFE,	CAPITAL APPRECIATION A	0.00	11.00	0.00	11.00	0.5	0.06
	ACCOUNT #: 03200888602	BUY 0 Units @0.0000						
03/31/2018	***-**-587I - BOYD, RODNEY	EQUITY INCOME FUND, INC. A	0.00	4.88	0.00	4.88	0.5	0.02
	ACCOUNT #: 02050088649	BUY 0 Units @0.0000						
04/05/2018	***-**-5404 - MOOERS, KYLE	FIDELITY ADV 01480463049	201.40	2.01	0.00	2.01	0.5	0.01
	ACCOUNT #: 01484248685	BUY 17 Units @12.0400						
04/05/2018	***-**-5404 - MOOERS, KYLE	FIDELITY ADV 01480463049	201.40	2.01	0.00	2.01	0.5	0.01
	ACCOUNT #: 01484248685	BUY 17 Units @12.0400						
04/05/2018	***-**-7701 - RYGIEL, JENNIFER	FIDELITY ADV 01480463049	186.94	1.87	0.00	1.87	0.5	0.01
	ACCOUNT #: 01488858562	BUY 16 Units @12.0400						
04/05/2018	***-**-7701 - RYGIEL, JENNIFER	FIDELITY ADV 01480463049	311.56	3.12	0.00	3.12	0.5	0.02
	ACCOUNT #: 01488858562	BUY 26 Units @12.0400						
04/05/2018	***-**-2825 - SALCHUNAS,	FIDELITY ADV 01480463049	117.70	1.18	0.00	1.18	0.5	0.01
	ACCOUNT #: 01489870954	BUY 10 Units @12.0400						
04/05/2018	***-**-2825 - SALCHUNAS,	FIDELITY ADV 01480463049	196.16	1.96	0.00	1.96	0.5	0.01
	ACCOUNT #: 01489870954	BUY 16 Units @12.0400						
04/05/2018	***-**-1140 - MILLER, MARK	FIDELITY ADV 01480463049	138.42	1.38	0.00	1.38	0.5	0.01
	ACCOUNT #: 03900217688	BUY 11 Units @12.0400						
04/05/2018	***-**-1140 - MILLER, MARK	FIDELITY ADV 01480463049	184.56	1.85	0.00	1.85	0.5	0.01
	ACCOUNT #: 03900217688	BUY 15 Units @12.0400						
04/05/2018	***-**-0148 - MINISHINO,	FIDELITY ADV 01480463049	186.30	1.86	0.00	1.86	0.5	0.01
	ACCOUNT #: 03900217762	BUY 15 Units @12.0400						
04/05/2018	***-**-0148 - MINISHINO,	FIDELITY ADV 01480463049	186.30	1.86	0.00	1.86	0.5	0.01
	ACCOUNT #: 03900217762	BUY 15 Units @12.0400						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: CRAIG ST. CYR (continued)</u>								
04/05/2018	***-**-1320 - BARNEA, ANTHONY	FIDELITY ADV 01480463072	246.34	2.46	0.00	2.46	0.5	0.01
	ACCOUNT #: 01484492994	BUY 16 Units @15.4000						
04/05/2018	***-**-1320 - BARNEA, ANTHONY	FIDELITY ADV 01480463072	656.92	6.57	0.00	6.57	0.5	0.03
	ACCOUNT #: 01484492994	BUY 43 Units @15.4000						
04/05/2018	***-**-1536 - PETERS, KRISTEN	FIDELITY ADV 01480463072	151.06	1.51	0.00	1.51	0.5	0.01
	ACCOUNT #: 03900217763	BUY 10 Units @15.4000						
04/05/2018	***-**-1536 - PETERS, KRISTEN	FIDELITY ADV 01480463072	151.06	1.51	0.00	1.51	0.5	0.01
	ACCOUNT #: 03900217763	BUY 10 Units @15.4000						
04/05/2018	***-**-1574 - KIM, BUNTHOL	FIDELITY ADV 01480463155	188.82	1.89	0.00	1.89	0.5	0.01
	ACCOUNT #: 01480847183	BUY 13 Units @14.7600						
04/05/2018	***-**-1574 - KIM, BUNTHOL	FIDELITY ADV 01480463155	188.82	1.89	0.00	1.89	0.5	0.01
	ACCOUNT #: 01480847183	BUY 13 Units @14.7600						
04/05/2018	***-**-0951 - DAVIS, ALEXANDER	FIDELITY ADV 01480847183	201.40	2.01	0.00	2.01	0.5	0.01
	ACCOUNT #: 01486701756	BUY 15 Units @13.3300						
04/05/2018	***-**-0951 - DAVIS, ALEXANDER	FIDELITY ADV 01480847183	671.36	6.71	0.00	6.71	0.5	0.03
	ACCOUNT #: 01486701756	BUY 50 Units @13.3300						
04/05/2018	***-**-3799 - RUDDY, LAUREN	FIDELITY ADV 01480847183	180.89	1.81	0.00	1.81	0.5	0.01
	ACCOUNT #: 01486935859	BUY 14 Units @13.3300						
04/05/2018	***-**-8064 - STRAND, HOLLY	FIDELITY ADV 01480847183	118.92	1.19	0.00	1.19	0.5	0.01
	ACCOUNT #: 01488858539	BUY 9 Units @13.3300						
04/05/2018	***-**-8064 - STRAND, HOLLY	FIDELITY ADV 01480847183	118.92	1.19	0.00	1.19	0.5	0.01
	ACCOUNT #: 01488858539	BUY 9 Units @13.3300						
04/05/2018	***-**-97IN - SWAIN, JACOB	FIDELITY ADV 01480847183	237.50	2.38	0.00	2.38	0.5	0.01
	ACCOUNT #: 03900217421	BUY 18 Units @13.3300						
04/05/2018	***-**-97IN - SWAIN, JACOB	FIDELITY ADV 01480847183	237.50	2.38	0.00	2.38	0.5	0.01
	ACCOUNT #: 03900217421	BUY 18 Units @13.3300						
04/05/2018	***-**-5927 - BLAKSLEE,	FIDELITY ADV 01480847183	168.58	1.69	0.00	1.69	0.5	0.01
	ACCOUNT #: 03900217676	BUY 13 Units @13.3300						
04/05/2018	***-**-5927 - BLAKSLEE,	FIDELITY ADV 01480847183	168.58	1.69	0.00	1.69	0.5	0.01
	ACCOUNT #: 03900217676	BUY 13 Units @13.3300						
04/05/2018	***-**-9763 - VARGA, KAYLA	FIDELITY ADV 01480847183	151.06	1.51	0.00	1.51	0.5	0.01
	ACCOUNT #: 03900217768	BUY 11 Units @13.3300						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CRAIG ST. CYR (continued)</u>								
04/05/2018	***-**-9763 - VARGA, KAYLA	FIDELITY ADV 01480847183	151.06	1.51	0.00	1.51	0.5	0.01
	ACCOUNT #: 03900217768	BUY 11 Units @13.3300						
04/05/2018	***-**-0976 - CALLAHAN, JOHN	FIDELITY ADV 01480847183	161.06	1.61	0.00	1.61	0.5	0.01
	ACCOUNT #: 03900218747	BUY 12 Units @13.3300						
04/05/2018	***-**-0976 - CALLAHAN, JOHN	FIDELITY ADV 01480847183	161.06	1.61	0.00	1.61	0.5	0.01
	ACCOUNT #: 03900218747	BUY 12 Units @13.3300						
04/05/2018	***-**-0790 - BURKE, KRISTEN	FIDELITY ADV 01480863024	125.88	1.26	0.00	1.26	0.5	0.01
	ACCOUNT #: 01480463049	BUY 6 Units @22.3100						
04/05/2018	***-**-0790 - BURKE, KRISTEN	FIDELITY ADV 01480863024	125.88	1.26	0.00	1.26	0.5	0.01
	ACCOUNT #: 01480463049	BUY 6 Units @22.3100						
04/05/2018	***-**-3541 - LAPORTE, DIANE	FIDELITY ADV BALANCED CL C	684.00	6.84	0.00	6.84	0.5	0.03
	ACCOUNT #: 01485938474	BUY 33 Units @20.7800						
04/05/2018	***-**-5392 - FLAVIN, BRENDAN	FIDELITY ADV DIVERSIFIED INTL FD CL	118.29	1.18	0.00	1.18	0.5	0.01
	ACCOUNT #: 03900217682	BUY 5 Units @22.2700						
04/05/2018	***-**-5392 - FLAVIN, BRENDAN	FIDELITY ADV DIVIDEND GROWTH FD CL	118.29	1.18	0.00	1.18	0.5	0.01
	ACCOUNT #: 03900217682	BUY 7 Units @16.3500						
04/05/2018	***-**-7765 -	FIDELITY ADV DIVIDEND GROWTH FD CL	267.48	2.67	0.00	2.67	0.5	0.01
	ACCOUNT #: 03900217765	BUY 16 Units @16.3500						
04/05/2018	***-**-7765 -	FIDELITY ADV EMERGING MKTS-CL C	106.99	1.07	0.00	1.07	0.5	0.01
	ACCOUNT #: 03900217765	BUY 4 Units @28.8600						
04/05/2018	***-**-7163 - ADAMS, BENJAMIN	FIDELITY ADV FREEDOM 2035	234.46	2.34	0.00	2.34	0.5	0.01
	ACCOUNT #: 03900217670	BUY 16 Units @14.3600						
04/05/2018	***-**-7163 - ADAMS, BENJAMIN	FIDELITY ADV FREEDOM 2035	234.46	2.34	0.00	2.34	0.5	0.01
	ACCOUNT #: 03900217670	BUY 16 Units @14.3600						
04/05/2018	***-**-0270 - CARELLA, MICHAEL	FIDELITY ADV FREEDOM 2045	500.00	5.00	0.00	5.00	0.5	0.03
	ACCOUNT #: 01486701004	BUY 42 Units @12.0400						
04/05/2018	***-**-0270 - CARELLA, MICHAEL	FIDELITY ADV FREEDOM 2045	377.60	3.78	0.00	3.78	0.5	0.02
	ACCOUNT #: 01486701004	BUY 31 Units @12.0400						
04/05/2018	***-**-7977 - THERRIEN, RAVEN	FIDELITY ADV FREEDOM 2055	77.50	1.55	0.00	1.55	0.5	0.01
	ACCOUNT #: 03900222790	BUY 6 Units @13.7900						
04/05/2018	***-**-7977 - THERRIEN, RAVEN	FIDELITY ADV FREEDOM 2055	258.33	5.17	0.00	5.17	0.5	0.03
	ACCOUNT #: 03900222790	BUY 19 Units @13.7900						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CRAIG ST. CYR (continued)</u>								
04/05/2018	***-**-5782 - SCHMID, ANDERW ACCOUNT #: 01486935966	FIDELITY ADV FREEDOM 2060 C BUY 10 Units @11.9400	121.78	1.22	0.00	1.22	0.5	0.01
04/05/2018	***-**-5782 - SCHMID, ANDERW ACCOUNT #: 01486935966	FIDELITY ADV FREEDOM 2060 C BUY 51 Units @11.9400	608.94	6.09	0.00	6.09	0.5	0.03
04/05/2018	***-**-9077 - ST JEAN, ERIC ACCOUNT #: 01489870921	FIDELITY ADV FREEDOM 2060 C BUY 11 Units @11.9400	130.70	1.31	0.00	1.31	0.5	0.01
04/05/2018	***-**-9077 - ST JEAN, ERIC ACCOUNT #: 01489870921	FIDELITY ADV FREEDOM 2060 C BUY 22 Units @11.9400	261.40	2.61	0.00	2.61	0.5	0.01
04/05/2018	***-**-7815 - MACDONALD, ELIZA ACCOUNT #: 03900217687	FIDELITY ADV FREEDOM 2060 C BUY 8 Units @11.9400	100.70	1.01	0.00	1.01	0.5	0.01
04/05/2018	***-**-7815 - MACDONALD, ELIZA ACCOUNT #: 03900217687	FIDELITY ADV FREEDOM 2060 C BUY 8 Units @11.9400	100.70	1.01	0.00	1.01	0.5	0.01
04/05/2018	***-**-5392 - FLAVIN, BRENDAN ACCOUNT #: 03900217682	FIDELITY ADV LEVERAGED CO STOCK CL BUY 3 Units @38.1500	118.29	1.18	0.00	1.18	0.5	0.01
04/05/2018	***-**-7765 - ACCOUNT #: 03900217765	FIDELITY ADV LEVERAGED CO STOCK CL BUY 4 Units @38.1500	160.48	1.60	0.00	1.60	0.5	0.01
04/05/2018	***-**-3541 - LAPORTE, DIANE ACCOUNT #: 01485938474	FIDELITY ADV OVERSEAS-CL C BUY 19 Units @23.7700	456.00	4.56	0.00	4.56	0.5	0.02
04/05/2018	***-**-7765 - ACCOUNT #: 03900217765	FIDELITY ADV REAL ESTATE-CL C BUY 5 Units @19.7900	106.99	1.07	0.00	1.07	0.5	0.01
04/05/2018	***-**-7765 - ACCOUNT #: 03900217765	FIDELITY ADV SMALL CAP CL C BUY 5 Units @19.5000	106.99	1.07	0.00	1.07	0.5	0.01
04/05/2018	***-**-3036 - GRIFFIN, ACCOUNT #: 01481500708	FIDELITY ADVISOR FREEDOM 2040 BUY 23 Units @16.1700	377.60	7.55	0.00	7.55	0.5	0.04
04/05/2018	***-**-3036 - GRIFFIN, ACCOUNT #: 01481500708	FIDELITY ADVISOR FREEDOM 2040 BUY 64 Units @16.1700	1,041.68	20.83	0.00	20.83	0.5	0.10
04/05/2018	***-**-7765 - ACCOUNT #: 03900217765	FIDELITY ADVISOR WORLDWIDE BUY 6 Units @26.1700	160.48	1.60	0.00	1.60	0.5	0.01
04/10/2018	***-**-87IN - BOYD, RODNEY ACCOUNT #: C023886-AV	ING VA 008148884 BUY 0 Units @0.0000	0.00	10.08	0.00	10.08	0.5	0.05
03/31/2018	***-**-587I - BOYD, RODNEY ACCOUNT #: 08250717926	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	4.80	0.00	4.80	0.5	0.02



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CRAIG ST. CYR (continued)</u>								
03/31/2018	***-**-911I - O'KEEFE, ACCOUNT #: 08250170005	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	4.02	0.00	4.02	0.5	0.02
04/01/2018	***-**-9365 - CREPEAU, GARY ACCOUNT #: 04026190985	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	19.49	0.00	19.49	0.5	0.10
04/01/2018	***-**-188I - GALLAGHER, JOAN ACCOUNT #: 05002696929	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	13.87	0.00	13.87	0.5	0.07
04/16/2018	***-**-3717 - DOVETAILED ACCOUNT #: 23717	JOHN HANCOCK VA TRAILS-ST.CYR BUY 1 Units @0.0000	0.00	111.31	0.00	111.31	0.5	0.56
03/31/2018	***-**-587I - BOYD, RODNEY ACCOUNT #: 07009528750	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	10.00	0.00	10.00	0.5	0.05
04/01/2018	***-**-188I - GALLAGHER, JOAN ACCOUNT #: 00060371587	MASS INVESTORS GROWTH STOCK FUND-A BUY 0 Units @0.0000	0.00	3.19	0.00	3.19	0.5	0.02
04/01/2018	***-**-64IR - ST CYR, CRAIG ACCOUNT #: 08187564856	MASS INVESTORS GROWTH STOCK FUND-A BUY 0 Units @0.0000	0.00	1.66	0.00	1.66	0.5	0.01
04/01/2018	***-**-188I - GALLAGHER, JOAN ACCOUNT #: 00060371009	MASSACHUSETTS INVESTORS TRUST-A BUY 0 Units @0.0000	0.00	7.46	0.00	7.46	0.5	0.04
04/01/2018	***-**-73IR - HAYWARD, DENNIS ACCOUNT #: 00060407646	MFS BOND FUND-A BUY 0 Units @0.0000	0.00	3.95	0.00	3.95	0.5	0.02
04/01/2018	***-**-64IR - ST CYR, CRAIG ACCOUNT #: 08187564865	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	20.43	0.00	20.43	0.5	0.10
04/01/2018	***-**-64IR - ST CYR, CRAIG ACCOUNT #: 08188093677	MFS NEW DISCOVERY FUND-A BUY 0 Units @0.0000	0.00	18.33	0.00	18.33	0.5	0.09
04/01/2018	***-**-64IR - ST CYR, CRAIG ACCOUNT #: 08187564861	MFS RESEARCH FUND-A BUY 0 Units @0.0000	0.00	6.89	0.00	6.89	0.5	0.03
03/31/2018	***-**-587I - BOYD, RODNEY ACCOUNT #: 02850328075	OPPENHEIMER CORE BOND FUND A BUY 0 Units @0.0000	0.00	5.29	0.00	5.29	0.5	0.03
03/31/2018	***-**-587I - BOYD, RODNEY ACCOUNT #: 02910019019	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	17.82	0.00	17.82	0.5	0.09
03/31/2018	***-**-587I - BOYD, RODNEY ACCOUNT #: 02306502958	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	11.33	0.00	11.33	0.5	0.06
03/31/2018	***-**-911I - O'KEEFE, ACCOUNT #: 02361238182	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	5.79	0.00	5.79	0.5	0.03



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VERRIDE TRANSACTIONS (continued)

BROKER: SHERIL DAMELIO (continued)

* CRAIG ST. CYR SUBTOTAL *			\$13,303.54	\$448.70	\$0.00	\$448.70		\$2.34
<u>BROKER: SHERIL DAMELIO</u>								
04/04/2018	***--2521 - BREUER, LUCI	AMERICAN DEVELOPING WRLD GRWTH & IN	500.00	25.00	0.00	25.00	0.5	0.13
	ACCOUNT #: 04000316870	BUY 42 Units @12.0100						
04/04/2018	***--9149 - SMITH, JEFF	AMERICAN DEVELOPING WRLD GRWTH & IN	1,000.00	50.00	0.00	50.00	0.5	0.25
	ACCOUNT #: 04000316886	BUY 83 Units @12.0100						
04/05/2018	***--1125 - INLAND,	AMERICAN FUNDS 401K TRAILS	0.00	554.22	0.00	554.22	0.5	2.77
	ACCOUNT #: BRK111059	BUY 0 Units @0.0000						
04/05/2018	***--3656 - MADONNA, OB/GYN	AMERICAN FUNDS 401K TRAILS	0.00	373.94	0.00	373.94	0.5	1.87
	ACCOUNT #: IRK122879	BUY 0 Units @0.0000						
04/05/2018	***--1237 - BVNS, MANAGEMENT	AMERICAN FUNDS 401K TRAILS	0.00	1,837.87	0.00	1,837.87	0.5	9.19
	ACCOUNT #: BRK104861	BUY 0 Units @0.0000						
04/04/2018	***--92CL - DAMELIO, CLIENTS	AMERICAN FUNDS BLNCD PORTFOLIO CL A	146.54	4.03	0.00	4.03	0.5	0.02
	ACCOUNT #: 00087160948	BUY 10 Units @15.2500						
04/04/2018	***--92CL - DAMELIO, CLIENTS	AMERICAN FUNDS BLNCD PORTFOLIO CL A	288.47	7.93	0.00	7.93	0.5	0.04
	ACCOUNT #: 00087160948	BUY 19 Units @15.2500						
04/04/2018	***--92CL - DAMELIO, CLIENTS	AMERICAN FUNDS GROWTH PORTFOLIO A	36.40	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: 00087160953	BUY 2 Units @18.9100						
* SHERIL DAMELIO SUBTOTAL *			\$1,971.41	\$2,853.99	\$0.00	\$2,853.99		\$14.28

BROKER: TODD JESSOP

04/01/2018	***--07IR - JOHNSON, BARBARA	AIM CHARTER FUND - CLASS A	0.00	3.69	0.00	3.69	0.5	0.02
	ACCOUNT #: 03909300844	BUY 0 Units @0.0000						
04/01/2018	***--526I - ROBERTS,	AIM CHARTER FUND - CLASS A	0.00	2.90	0.00	2.90	0.5	0.01
	ACCOUNT #: 03909300851	BUY 0 Units @0.0000						
04/01/2018	***--545P - TILLOTSON,	AIM CHARTER FUND - CLASS A	0.00	3.64	0.00	3.64	0.5	0.02
	ACCOUNT #: 03910746852	BUY 0 Units @0.0000						
04/01/2018	***--91IN - CARL	AIM CHARTER FUND - CLASS A	0.00	4.35	0.00	4.35	0.5	0.02
	ACCOUNT #: 03911354086	BUY 0 Units @0.0000						
04/01/2018	***--8503 - BACHORSKI,	AIM CHARTER FUND - CLASS A	0.00	46.54	0.00	46.54	0.5	0.23
	ACCOUNT #: 05023114902	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: TODD JESSOP (continued)</u> 								
04/01/2018	***-**-896I - MOONEY, JOAN	AIM CHARTER FUND - CLASS A	0.00	4.67	0.00	4.67	0.5	0.02
	ACCOUNT #: 05027972388	BUY 0 Units @0.0000						
04/01/2018	***-**-11IR - JESSOP, CYNTHIA	AIM CHARTER FUND - CLASS A	0.00	8.84	0.00	8.84	0.5	0.04
	ACCOUNT #: 05053660113	BUY 0 Units @0.0000						
04/16/2018	***-**-59IR - HALLAHAN, ELLEN	AIM CHARTER FUND - CLASS A	0.00	3.38	0.00	3.38	0.5	0.02
	ACCOUNT #: LSR010357	BUY 1 Units @0.0000						
04/16/2018	***-**-593I - NOKER, DAVID	AIM DIVERSIFIED DIVIDEND FUND - CL	0.00	6.32	0.00	6.32	0.5	0.03
	ACCOUNT #: LSR011260	BUY 1 Units @0.0000						
04/01/2018	***-**-96IN - BRENNAN, SANDRA	AIM ENERGY FUND INVESTOR CLASS	0.00	2.54	0.00	2.54	0.5	0.01
	ACCOUNT #: 00100656260	BUY 0 Units @0.0000						
04/01/2018	***-**-526I - ROBERTS,	AIM HIGH YIELD FUND - CLASS A	0.00	1.28	0.00	1.28	0.5	0.01
	ACCOUNT #: 03909300851	BUY 0 Units @0.0000						
04/01/2018	***-**-896I - MOONEY, JOAN	AIM HIGH YIELD FUND - CLASS A	0.00	4.79	0.00	4.79	0.5	0.02
	ACCOUNT #: 05027972388	BUY 0 Units @0.0000						
04/16/2018	***-**-673I - RICHARDSON, FBO	AIM REAL ESTATE FUND - CLASS A	0.00	1.75	0.00	1.75	0.5	0.01
	ACCOUNT #: LSR000639	BUY 1 Units @0.0000						
04/16/2018	***-**-662J - SOLAZZO, GREGORY	AIM REAL ESTATE FUND - CLASS A	0.00	1.11	0.00	1.11	0.5	0.01
	ACCOUNT #: LSR001139	BUY 1 Units @0.0000						
04/16/2018	***-**-82UT - SELLER CUST,	AIM REAL ESTATE FUND - CLASS A	0.00	1.49	0.00	1.49	0.5	0.01
	ACCOUNT #: LSR001732	BUY 1 Units @0.0000						
04/16/2018	***-**-047I - WILDE, FBO NANCY	AIM REAL ESTATE FUND - CLASS A	0.00	2.41	0.00	2.41	0.5	0.01
	ACCOUNT #: LSR003492	BUY 1 Units @0.0000						
04/16/2018	***-**-068X - NOLL, CHERYL	AIM REAL ESTATE FUND - CLASS A	0.00	5.90	0.00	5.90	0.5	0.03
	ACCOUNT #: LSR010083	BUY 1 Units @0.0000						
04/09/2018	***-**-6026 - GAGNIER, TRACY	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	5.97	0.00	5.97	0.5	0.03
	ACCOUNT #: 04715343255	BUY 0 Units @0.0000						
04/09/2018	***-**-9739 - MERLAU, DOUGLAS	ALLIANCEBERNSTEIN EMERG MKT DEBT A	0.00	1.82	0.00	1.82	0.5	0.01
	ACCOUNT #: 04700340863	BUY 0 Units @0.0000						
04/09/2018	***-**-091I - MCBRIDE,	ALLIANCEBERNSTEIN EMERG MKT DEBT A	0.00	5.67	0.00	5.67	0.5	0.03
	ACCOUNT #: 04700352608	BUY 0 Units @0.0000						
04/09/2018	***-**-461I - MCBRIDE, PHIL	ALLIANCEBERNSTEIN EMERG MKT DEBT A	0.00	5.67	0.00	5.67	0.5	0.03
	ACCOUNT #: 04700352610	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: TODD JESSOP (continued) </u>								
04/09/2018	***-**-6825 - PRICE, TERRELL	ALLIANCEBERNSTEIN EMERG MKT DEBT A	0.00	3.18	0.00	3.18	0.5	0.02
	ACCOUNT #: 04705720284	BUY 0 Units @0.0000						
04/09/2018	***-**-24IN - MCBURNEY, PHILIP	ALLIANCEBERNSTEIN EMERG MKT DEBT A	0.00	4.10	0.00	4.10	0.5	0.02
	ACCOUNT #: 04787748945	BUY 0 Units @0.0000						
04/09/2018	***-**-6026 - GAGNIER, TRACY	ALLIANCEBERNSTEIN GLOBAL TECHNOLOGY	0.00	3.73	0.00	3.73	0.5	0.02
	ACCOUNT #: 04715343255	BUY 0 Units @0.0000						
04/09/2018	***-**-091I - MCBRIDE,	ALLIANCEBERNSTEIN GROWTH A	0.00	3.58	0.00	3.58	0.5	0.02
	ACCOUNT #: 04700352608	BUY 0 Units @0.0000						
04/09/2018	***-**-461I - MCBRIDE, PHIL	ALLIANCEBERNSTEIN GROWTH A	0.00	3.58	0.00	3.58	0.5	0.02
	ACCOUNT #: 04700352610	BUY 0 Units @0.0000						
04/09/2018	***-**-1633 - PRICE, DIANNE	ALLIANCEBERNSTEIN GROWTH A	0.00	1.66	0.00	1.66	0.5	0.01
	ACCOUNT #: 04705720288	BUY 0 Units @0.0000						
04/09/2018	***-**-6026 - GAGNIER, TRACY	ALLIANCEBERNSTEIN GROWTH A	0.00	8.21	0.00	8.21	0.5	0.04
	ACCOUNT #: 04715343255	BUY 0 Units @0.0000						
04/09/2018	***-**-6026 - GAGNIER, TRACY	ALLIANCEBERNSTEIN GROWTH B	0.00	4.55	0.00	4.55	0.5	0.02
	ACCOUNT #: 04715343255	BUY 0 Units @0.0000						
04/09/2018	***-**-461J - MCBRIDE,	ALLIANCEBERNSTEIN MUNI INCOME-NY A	0.00	10.28	0.00	10.28	0.5	0.05
	ACCOUNT #: 04700352609	BUY 0 Units @0.0000						
04/09/2018	***-**-20IN - LANGEN, JOSEPH	ALLIANCEBERNSTEIN MUNI INCOME-NY A	0.00	2.70	0.00	2.70	0.5	0.01
	ACCOUNT #: 04752069693	BUY 0 Units @0.0000						
04/09/2018	***-**-526P - ROBERTS,	ALLIANCEBERNSTEIN MUNI INCOME-NY A	0.00	2.20	0.00	2.20	0.5	0.01
	ACCOUNT #: 04752075843	BUY 0 Units @0.0000						
04/09/2018	***-**-75IN - PRENDERGAST,	ALLIANCEBERNSTEIN MUNI INCOME-NY A	0.00	4.91	0.00	4.91	0.5	0.02
	ACCOUNT #: 04761577226	BUY 0 Units @0.0000						
04/09/2018	***-**-47IN - REDDING, PHYLLIS	ALLIANCEBERNSTEIN MUNI INCOME-NY A	0.00	3.14	0.00	3.14	0.5	0.02
	ACCOUNT #: 04761579289	BUY 0 Units @0.0000						
04/09/2018	***-**-44IN - HALLAHAN,	ALLIANCEBERNSTEIN MUNI INCOME-NY A	0.00	9.41	0.00	9.41	0.5	0.05
	ACCOUNT #: 04765898771	BUY 0 Units @0.0000						
03/31/2018	***-**-606I - SPEZZANO, MARK	CAPITAL APPRECIATION A	0.00	16.35	0.00	16.35	0.5	0.08
	ACCOUNT #: 03209812528	BUY 0 Units @0.0000						
04/16/2018	***-**-090I - CLARK, FBO	DAVIS NEW YORK VENTURE CLASS A	0.00	7.90	0.00	7.90	0.5	0.04
	ACCOUNT #: LSR000310	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: TODD JESSOP (continued) </u>								
04/16/2018	***-**-53IR - RICHARDSON, LISA DAVIS	NEW YORK VENTURE CLASS A	0.00	3.13	0.00	3.13	0.5	0.02
	ACCOUNT #: LSR003395	BUY 1 Units @0.0000						
04/11/2018	***-**-9520 - LANGEN, JOSEPH G	DREYFUS MF TRAILS	0.00	2.76	0.00	2.76	0.5	0.01
	ACCOUNT #: 0981620875	BUY 0 Units @0.0000						
04/11/2018	***-**-9520 - LANGEN, JOSEPH G	DREYFUS MF TRAILS	0.00	2.36	0.00	2.36	0.5	0.01
	ACCOUNT #: 0981620875	BUY 0 Units @0.0000						
04/16/2018	***-**-090I - CLARK, FBO	FRANKLIN INCOME FUND CLASS A	0.00	2.11	0.00	2.11	0.5	0.01
	ACCOUNT #: LSR000310	BUY 1 Units @0.0000						
04/16/2018	***-**-678I - STAFFORD, SHARON	FRANKLIN INCOME FUND CLASS A	0.00	1.39	0.00	1.39	0.5	0.01
	ACCOUNT #: LSR000574	BUY 1 Units @0.0000						
04/16/2018	***-**-22IO - RICHARDSON, FBO	FRANKLIN INCOME FUND CLASS A	0.00	2.43	0.00	2.43	0.5	0.01
	ACCOUNT #: LSR003409	BUY 1 Units @0.0000						
04/16/2018	***-**-98IN - MODICA, MARLA	FRANKLIN INCOME FUND CLASS C	0.00	4.29	0.00	4.29	0.5	0.02
	ACCOUNT #: LSR000752	BUY 1 Units @0.0000						
04/16/2018	***-**-71IN - COONER, VERA	FRANKLIN INCOME FUND CLASS C	0.00	8.14	0.00	8.14	0.5	0.04
	ACCOUNT #: LSR003441	BUY 1 Units @0.0000						
04/16/2018	***-**-640I - GRAY, CAROLYN	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	4.13	0.00	4.13	0.5	0.02
	ACCOUNT #: LSR003654	BUY 1 Units @0.0000						
04/16/2018	***-**-89BI - SENICK, ROBIN	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	3.58	0.00	3.58	0.5	0.02
	ACCOUNT #: LSR006793	BUY 1 Units @0.0000						
03/31/2018	***-**-05IR - HAYES, LAWRENCE	GLOBAL OPPORTUNITIES A	0.00	5.86	0.00	5.86	0.5	0.03
	ACCOUNT #: 02155167448	BUY 0 Units @0.0000						
03/31/2018	***-**-461I - BAILEY, CASEY	GLOBAL OPPORTUNITIES A	0.00	8.13	0.00	8.13	0.5	0.04
	ACCOUNT #: 02156203351	BUY 0 Units @0.0000						
03/31/2018	***-**-062I - PEPPER, DAVID	GLOBAL OPPORTUNITIES FUND C	0.00	153.11	0.00	153.11	0.5	0.77
	ACCOUNT #: 02170036036	BUY 0 Units @0.0000						
04/01/2018	***-**-245P - WELCH, ROBERT	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	6.07	0.00	6.07	0.5	0.03
	ACCOUNT #: 03810344857	BUY 0 Units @0.0000						
04/01/2018	***-**-96IR - PTAK, ROSETTE	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	2.26	0.00	2.26	0.5	0.01
	ACCOUNT #: 03810428627	BUY 0 Units @0.0000						
04/01/2018	***-**-45IR - KENNISON, WESTON	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	5.66	0.00	5.66	0.5	0.03
	ACCOUNT #: 03811179898	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: TODD JESSOP (continued)</u>								
04/01/2018	***-**-395P - LEMEN, TIMOTHY	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	3.25	0.00	3.25	0.5	0.02
	ACCOUNT #: 03811312689	BUY 0 Units @0.0000						
04/01/2018	***-**-545P - TILLOTSON,	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	6.25	0.00	6.25	0.5	0.03
	ACCOUNT #: 03910746852	BUY 0 Units @0.0000						
04/01/2018	***-**-635P - MOUNTS, MICHAEL	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	1.93	0.00	1.93	0.5	0.01
	ACCOUNT #: 05053584511	BUY 0 Units @0.0000						
04/01/2018	***-**-11IR - JESSOP, CYNTHIA	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	12.61	0.00	12.61	0.5	0.06
	ACCOUNT #: 05053660113	BUY 0 Units @0.0000						
04/16/2018	***-**-06IR - EVANS, FBO	INVESCO INCOME ALLOCATION FUND - CL	0.00	3.32	0.00	3.32	0.5	0.02
	ACCOUNT #: LSR010411	BUY 1 Units @0.0000						
04/16/2018	***-**-593I - NOKER, DAVID	INVESCO INCOME ALLOCATION FUND - CL	0.00	6.37	0.00	6.37	0.5	0.03
	ACCOUNT #: LSR011260	BUY 1 Units @0.0000						
04/01/2018	***-**-305P - ENGLERT, ANDREW	INVESCO VAN KAMPEN VALUE OPP CLASS	0.00	6.67	0.00	6.67	0.5	0.03
	ACCOUNT #: 03811019102	BUY 0 Units @0.0000						
04/01/2018	***-**-45IR - KENNISON, WESTON	INVESCO VAN KAMPEN VALUE OPP CLASS	0.00	5.05	0.00	5.05	0.5	0.03
	ACCOUNT #: 03811179898	BUY 0 Units @0.0000						
04/16/2018	***-**-06IO - EVANS, FBO	IVY SCIENCE AND TECHNOLOGY FUND CLA	0.00	4.37	0.00	4.37	0.5	0.02
	ACCOUNT #: LSR010410	BUY 1 Units @0.0000						
04/16/2018	***-**-47IR - REDDING, PHYLLIS	JOHN HANCOCK BOND FUND CLASS B	0.00	1.39	0.00	1.39	0.5	0.01
	ACCOUNT #: LSR006068	BUY 1 Units @0.0000						
04/16/2018	***-**-839X - DERMADY, LYNDIA	JOHN HANCOCK DISCIPLINED VALUE A	0.00	4.13	0.00	4.13	0.5	0.02
	ACCOUNT #: LSR011413	BUY 1 Units @0.0000						
04/16/2018	***-**-68FB - HIGLEY, ROGER	JOHN HANCOCK DISCIPLINED VALUE A	0.00	4.59	0.00	4.59	0.5	0.02
	ACCOUNT #: LSR105597	BUY 1 Units @0.0000						
04/16/2018	***-**-54IN - WRISLEY, PAUL	JOHN HANCOCK DISCIPLINED VALUE A	0.00	3.76	0.00	3.76	0.5	0.02
	ACCOUNT #: LSR107255	BUY 1 Units @0.0000						
04/16/2018	***-**-4200 - DAVIDSON, BETTY	JPMORGAN MID CAP VALUE FUND CLASS A	0.00	6.41	0.00	6.41	0.5	0.03
	ACCOUNT #: LSR000728	BUY 1 Units @0.0000						
03/31/2018	***-**-175P - BISHOP, MASON	MAIN STREET FUND A	0.00	11.74	0.00	11.74	0.5	0.06
	ACCOUNT #: 07007921710	BUY 0 Units @0.0000						
04/01/2018	***-**-595P - SMITH, MARY	MFS EMERGING GROWTH FUND CLASS A	0.00	2.46	0.00	2.46	0.5	0.01
	ACCOUNT #: 08189593952	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: TODD JESSOP (continued)</u>								
04/01/2018	***-**-595P - SMITH, MARY ACCOUNT #: 08189593956	MFS GLOBAL EQUITY FUND-A BUY 0 Units @0.0000	0.00	2.17	0.00	2.17	0.5	0.01
04/01/2018	***-**-595P - SMITH, MARY ACCOUNT #: 08189593948	MFS TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	4.68	0.00	4.68	0.5	0.02
04/16/2018	***-**-59FB - MEYER, DOUGLAS ACCOUNT #: 100924695	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	313.09	250.47	0.00	250.47	0.5	1.25
04/16/2018	***-**-35IN - WICK, MARTHA ACCOUNT #: 100993500	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	571.82	571.82	0.00	571.82	0.5	2.86
04/16/2018	***-**-549I - REIMANN, FBO ACCOUNT #: LSR001570	MUTUAL BEACON FUND - CLASS C BUY 1 Units @0.0000	0.00	5.15	0.00	5.15	0.5	0.03
04/16/2018	***-**-7485 - PFENDLER, ACCOUNT #: LSR102555	MUTUAL SERIES SHARES CLASS A BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	0.5	0.01
04/16/2018	***-**-44IR - HALLAHAN, ACCOUNT #: LSR010360	MUTUAL SHRS FND - CL C BUY 1 Units @0.0000	0.00	7.94	0.00	7.94	0.5	0.04
04/16/2018	***-**-3491 - STEVENS, BRIAN ACCOUNT #: N101690600	NATIONWIDE MARKET FLEX NY BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	0.5	0.01
03/31/2018	***-**-062I - PEPPER, DAVID ACCOUNT #: 07862886599	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	3.07	0.00	3.07	0.5	0.02
03/31/2018	***-**-606I - SPEZZANO, MARK ACCOUNT #: 05004952420	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	35.47	0.00	35.47	0.5	0.18
03/31/2018	***-**-461I - BAILEY, CASEY ACCOUNT #: 05005288129	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	4.70	0.00	4.70	0.5	0.02
03/31/2018	***-**-461I - BAILEY, CASEY ACCOUNT #: 07314668884	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	7.76	0.00	7.76	0.5	0.04
03/31/2018	***-**-64IR - MORROW, AUTUMN ACCOUNT #: 08476161727	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	5.41	0.00	5.41	0.5	0.03
03/31/2018	***-**-606I - SPEZZANO, MARK ACCOUNT #: 08476189854	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	34.84	0.00	34.84	0.5	0.17
03/31/2018	***-**-02IR - NEUBECK, THOMAS ACCOUNT #: 08476193088	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	7.00	0.00	7.00	0.5	0.04
03/31/2018	***-**-415P - HIGGINS, DOUGLAS ACCOUNT #: 07970208626	OPPENHEIMER ROCHEST NATIONAL MUNI C BUY 0 Units @0.0000	0.00	5.73	0.00	5.73	0.5	0.03



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: TODD JESSOP (continued) </u>								
03/31/2018	***-**-461I - BAILEY, CASEY ACCOUNT #: 02513472634	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	8.54	0.00	8.54	0.5	0.04
03/31/2018	***-**-917I - BISHOP, JULIA ACCOUNT #: 02309378545	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	7.91	0.00	7.91	0.5	0.04
04/16/2018	***-**-96I2 - PTAK, ROSETTE ACCOUNT #: LSR006050	PRUDENTIAL CONSERV ALLOCATION CL A BUY 1 Units @0.0000	0.00	24.82	0.00	24.82	0.5	0.12
04/16/2018	***-**-35IN - WICK, MARTHA ACCOUNT #: LSR009091	PRUDENTIAL JENNISON EQUITY INCOME C BUY 1 Units @0.0000	0.00	6.69	0.00	6.69	0.5	0.03
04/02/2018	***-**-996I - PTAK, ROSETTE V ACCOUNT #: 00289503544	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	1.38	0.00	1.38	0.5	0.01
03/31/2018	***-**-431I - STOLTMAN, ACCOUNT #: 02576463391	QUEST BALANCED A BUY 0 Units @0.0000	0.00	1.26	0.00	1.26	0.5	0.01
03/31/2018	***-**-44IN - HALLAHAN, ACCOUNT #: 03550970420	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	4.68	0.00	4.68	0.5	0.02
03/31/2018	***-**-415P - HIGGINS, DOUGLAS ACCOUNT #: 03570317130	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	8.97	0.00	8.97	0.5	0.04
03/31/2018	***-**-827J - MEYER, JEFFREY ACCOUNT #: 03652572603	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	4.50	0.00	4.50	0.5	0.02
03/31/2018	***-**-96IN - BRENNAN, SANDRA ACCOUNT #: 03652885971	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	1.84	0.00	1.84	0.5	0.01
03/31/2018	***-**-415P - HIGGINS, DOUGLAS ACCOUNT #: 03670268587	ROCHESTER FUND MUNICIPALS C BUY 0 Units @0.0000	0.00	7.07	0.00	7.07	0.5	0.04
03/31/2018	***-**-98IN - SWEENEY, BERNARD ACCOUNT #: 07951031140	ROCHESTER NATIONAL MUNICIPALS A BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	0.5	0.01
03/31/2018	***-**-868J - WEIDMAN, HOWARD ACCOUNT #: 07951168673	ROCHESTER NATIONAL MUNICIPALS A BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	0.5	0.01
04/16/2018	***-**-59IR - HALLAHAN, ELLEN ACCOUNT #: LSR010357	TEMP FRGN FND - CL A BUY 1 Units @0.0000	0.00	2.72	0.00	2.72	0.5	0.01
04/16/2018	***-**-7485 - PFENDLER, ACCOUNT #: LSR102555	TEMPLETON GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	1.26	0.00	1.26	0.5	0.01
04/05/2018	***-**-175P - BISHOP, MASON ACCOUNT #: 00082841529	THE GROWTH FUND OF AMERICA-529A BUY 6 Units @53.3500	300.00	10.20	0.00	10.20	0.5	0.05



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: TODD JESSOP (continued) </u>								
04/05/2018	***-**-175P - BISHOP, MASON	THE INVESTMENT COMPANY OF AMERICA-5	300.00	10.20	0.00	10.20	0.5	0.05
	ACCOUNT #: 00082886995	BUY 7 Units @41.9500						
04/01/2018	***-**-970P - NABER, JOAN	VAN KAMPEN3	0.00	14.22	0.00	14.22	0.5	0.07
	ACCOUNT #: 05033450999	BUY 0 Units @0.0000						
04/05/2018	***-**-175P - BISHOP, MASON	WASHINGTON MUTUAL INVESTORS FUND-52	300.00	10.20	0.00	10.20	0.5	0.05
	ACCOUNT #: 00074056953	BUY 6 Units @47.5700						
04/16/2018	***-**-7485 - PFENDLER,	WELLS FARGO ADJUSTABLE RATE CL A	0.00	1.46	0.00	1.46	0.5	0.01
	ACCOUNT #: LSR102555	BUY 1 Units @0.0000						
* TODD JESSOP SUBTOTAL *			\$1,784.91	\$1,593.17	\$0.00	\$1,593.17		\$7.98
<u> BROKER: BERT GOLDBERG </u>								
04/16/2018	***-**-568I - MARSHALL, BRUCE	BOND A	0.00	10.47	0.00	10.47	0.5	0.05
	ACCOUNT #: LSR105627	BUY 1 Units @0.0000						
04/16/2018	***-**-0724 - STROMMESEN,	FRANKLIN INCOME FUND CLASS A	0.00	4.46	0.00	4.46	0.5	0.02
	ACCOUNT #: LSR105090	BUY 1 Units @0.0000						
04/16/2018	***-**-1788 - STROMMESEN,	FRANKLIN INCOME FUND CLASS A	0.00	2.88	0.00	2.88	0.5	0.01
	ACCOUNT #: LSR105104	BUY 1 Units @0.0000						
04/16/2018	***-**-9761 - MCCARTHY, NANCY	FRANKLIN INCOME FUND CLASS A	0.00	2.56	0.00	2.56	0.5	0.01
	ACCOUNT #: LSR105490	BUY 1 Units @0.0000						
04/16/2018	***-**-568J - MARSHALL, BRUCE	FRANKLIN INCOME FUND CLASS A	0.00	7.13	0.00	7.13	0.5	0.04
	ACCOUNT #: LSR105600	BUY 1 Units @0.0000						
04/16/2018	***-**-5712 - RAMSEY, GUSSIE	FRANKLIN INCOME FUND CLASS A	0.00	13.32	0.00	13.32	0.5	0.07
	ACCOUNT #: LSR105929	BUY 1 Units @0.0000						
04/16/2018	***-**-10TR - SAUDER TRUST	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	84.14	0.00	84.14	0.5	0.42
	ACCOUNT #: LSR010138	BUY 1 Units @0.0000						
04/16/2018	***-**-92IO - SAUDER	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	44.62	0.00	44.62	0.5	0.22
	ACCOUNT #: LSR105538	BUY 1 Units @0.0000						
04/16/2018	***-**-514I - BERGIN, JOSEPH	IVY ASSET STRATEGY FUND CLASS A	0.00	2.18	0.00	2.18	0.5	0.01
	ACCOUNT #: LSR004910	BUY 1 Units @0.0000						
04/16/2018	***-**-568J - MARSHALL, BRUCE	IVY ASSET STRATEGY FUND CLASS A	0.00	22.19	0.00	22.19	0.5	0.11
	ACCOUNT #: LSR105600	BUY 1 Units @0.0000						
04/16/2018	***-**-0383 - MARSHALL,	IVY ASSET STRATEGY FUND CLASS A	0.00	2.12	0.00	2.12	0.5	0.01
	ACCOUNT #: LSR105619	BUY 1 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: BERT GOLDBERG (continued)</u>								
04/16/2018	***-**-568I - MARSHALL, BRUCE	IVY ASSET STRATEGY FUND CLASS A	0.00	3.71	0.00	3.71	0.5	0.02
	ACCOUNT #: LSR105627	BUY 1 Units @0.0000						
04/16/2018	***-**-5712 - RAMSEY, GUSSIE	IVY ASSET STRATEGY FUND CLASS A	0.00	14.56	0.00	14.56	0.5	0.07
	ACCOUNT #: LSR105929	BUY 1 Units @0.0000						
04/16/2018	***-**-2425 - BRIAN N CALNAN,	IVY ASSET STRATEGY FUND CLASS A	0.00	8.27	0.00	8.27	0.5	0.04
	ACCOUNT #: LSR105945	BUY 1 Units @0.0000						
04/16/2018	***-**-2410 - DEWITT, TRACY	JOHN HANCOCK ALTER ASSET ALLOC FUND	0.00	5.94	0.00	5.94	0.5	0.03
	ACCOUNT #: LSR008966	BUY 1 Units @0.0000						
04/16/2018	***-**-0383 - MARSHALL,	JOHN HANCOCK ALTER ASSET ALLOC FUND	0.00	7.74	0.00	7.74	0.5	0.04
	ACCOUNT #: LSR105619	BUY 1 Units @0.0000						
04/16/2018	***-**-2425 - BRIAN N CALNAN,	JOHN HANCOCK ALTER ASSET ALLOC FUND	0.00	3.93	0.00	3.93	0.5	0.02
	ACCOUNT #: LSR105945	BUY 1 Units @0.0000						
04/16/2018	***-**-568J - MARSHALL, BRUCE	JOHN HANCOCK GLOBAL EQUITY FUND CLA	0.00	2.83	0.00	2.83	0.5	0.01
	ACCOUNT #: LSR105600	BUY 1 Units @0.0000						
04/16/2018	***-**-5712 - RAMSEY, GUSSIE	JOHN HANCOCK TECHNICAL OPPS CL A	0.00	2.01	0.00	2.01	0.5	0.01
	ACCOUNT #: LSR105929	BUY 1 Units @0.0000						
04/16/2018	***-**-0235 - RKS, PLUMBING &	JOHN HANCOCK VA TRAILS	0.00	883.20	0.00	883.20	0.5	4.42
	ACCOUNT #: 26983	BUY 1 Units @0.0000						
04/16/2018	***-**-2410 - DEWITT, TRACY	LIFESTYLE BALANCED PORTFOLIO A	0.00	23.93	0.00	23.93	0.5	0.12
	ACCOUNT #: LSR008966	BUY 1 Units @0.0000						
04/16/2018	***-**-0724 - STROMMESEN,	LIFESTYLE BALANCED PORTFOLIO A	0.00	6.24	0.00	6.24	0.5	0.03
	ACCOUNT #: LSR105090	BUY 1 Units @0.0000						
04/16/2018	***-**-1788 - STROMMESEN,	LIFESTYLE BALANCED PORTFOLIO A	0.00	4.01	0.00	4.01	0.5	0.02
	ACCOUNT #: LSR105104	BUY 1 Units @0.0000						
04/16/2018	***-**-9761 - MCCARTHY, NANCY	LIFESTYLE BALANCED PORTFOLIO A	0.00	3.27	0.00	3.27	0.5	0.02
	ACCOUNT #: LSR105490	BUY 1 Units @0.0000						
04/16/2018	***-**-568J - MARSHALL, BRUCE	LIFESTYLE BALANCED PORTFOLIO A	0.00	27.77	0.00	27.77	0.5	0.14
	ACCOUNT #: LSR105600	BUY 1 Units @0.0000						
04/16/2018	***-**-0383 - MARSHALL,	LIFESTYLE BALANCED PORTFOLIO A	0.00	28.71	0.00	28.71	0.5	0.14
	ACCOUNT #: LSR105619	BUY 1 Units @0.0000						
04/16/2018	***-**-9483 - WYCKOFF,	LIFESTYLE BALANCED PORTFOLIO A	0.00	2.61	0.00	2.61	0.5	0.01
	ACCOUNT #: LSR106887	BUY 1 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: BERT GOLDBERG (continued)</u>								
04/16/2018	***-**-29IO - NORFLEET, ACCOUNT #: LSR010116	LIFESTYLE CONSERVATIVE PORTFOLIO A BUY 1 Units @0.0000	0.00	10.80	0.00	10.80	0.5	0.05
04/16/2018	***-**-76IO - SMOAKE, DAVID ACCOUNT #: LSR011651	LIFESTYLE GROWTH PORTFOLIO A BUY 1 Units @0.0000	0.00	12.12	0.00	12.12	0.5	0.06
04/16/2018	***-**-5594 - BISHOP, SHANNON ACCOUNT #: LSR105392	LIFESTYLE GROWTH PORTFOLIO A BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	0.5	0.01
04/16/2018	***-**-2425 - BRIAN N CALNAN, ACCOUNT #: LSR105945	LIFESTYLE GROWTH PORTFOLIO A BUY 1 Units @0.0000	0.00	7.57	0.00	7.57	0.5	0.04
04/16/2018	***-**-37TR - SCHROEDER TRUST, ACCOUNT #: LSR004375	LIFESTYLE MODERATE PORTFOLIO A BUY 1 Units @0.0000	0.00	9.94	0.00	9.94	0.5	0.05
04/16/2018	***-**-514I - BERGIN, JOSEPH ACCOUNT #: LSR004910	LIFESTYLE MODERATE PORTFOLIO A BUY 1 Units @0.0000	0.00	6.72	0.00	6.72	0.5	0.03
04/16/2018	***-**-0737 - SCHROEDER, JACK ACCOUNT #: LSR105112	LIFESTYLE MODERATE PORTFOLIO A BUY 1 Units @0.0000	0.00	5.39	0.00	5.39	0.5	0.03
04/16/2018	***-**-568I - MARSHALL, BRUCE ACCOUNT #: LSR105627	LIFESTYLE MODERATE PORTFOLIO A BUY 1 Units @0.0000	0.00	45.89	0.00	45.89	0.5	0.23
04/16/2018	***-**-5712 - RAMSEY, GUSSIE ACCOUNT #: LSR105929	LIFESTYLE MODERATE PORTFOLIO A BUY 1 Units @0.0000	0.00	24.95	0.00	24.95	0.5	0.12
04/16/2018	***-**-0237 - RAMSEY, WILLIAM ACCOUNT #: LSR105937	LIFESTYLE MODERATE PORTFOLIO A BUY 1 Units @0.0000	0.00	4.13	0.00	4.13	0.5	0.02
04/01/2018	***-**-440I - CLERKIN, PAUL ACCOUNT #: 05311969078	MASS INVESTORS GROWTH STOCK FUND-A BUY 0 Units @0.0000	0.00	16.91	0.00	16.91	0.5	0.08
04/01/2018	***-**-294I - CLERKIN, NANCY ACCOUNT #: 08191268727	MASS INVESTORS GROWTH STOCK FUND-A BUY 0 Units @0.0000	0.00	8.43	0.00	8.43	0.5	0.04
04/01/2018	***-**-440I - CLERKIN, PAUL ACCOUNT #: 06000600286	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	20.01	0.00	20.01	0.5	0.10
04/01/2018	***-**-294I - CLERKIN, NANCY ACCOUNT #: 08191268727	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	7.23	0.00	7.23	0.5	0.04
04/01/2018	***-**-440I - CLERKIN, PAUL ACCOUNT #: 03551291542	MFS HIGH INCOME FUND-A BUY 0 Units @0.0000	0.00	6.05	0.00	6.05	0.5	0.03
04/01/2018	***-**-837I - CURTIN, PAUL ACCOUNT #: 08191264373	MFS MUNICIPAL INCOME FUND-A BUY 0 Units @0.0000	0.00	3.26	0.00	3.26	0.5	0.02



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: BERT GOLDBERG (continued)</u> 								
04/16/2018	***-**-0737 - SCHROEDER, JACK	MORNINGSTAR ADVISOR FEE	342.63	342.63	0.00	342.63	0.5	1.71
	ACCOUNT #: 100793254	BUY 0 Units @0.0000						
04/16/2018	***-**-84FB - SPORRER, SHIRLEY	MORNINGSTAR ADVISOR FEE	45.97	45.97	0.00	45.97	0.5	0.23
	ACCOUNT #: 100806898	BUY 0 Units @0.0000						
04/16/2018	***-**-84FB - SPORRER, SHIRLEY	MORNINGSTAR ADVISOR FEE	176.28	176.28	0.00	176.28	0.5	0.88
	ACCOUNT #: 100806900	BUY 0 Units @0.0000						
04/16/2018	***-**-58FB - SMITH, RUTH	MORNINGSTAR ADVISOR FEE	162.62	162.62	0.00	162.62	0.5	0.81
	ACCOUNT #: 100936653	BUY 0 Units @0.0000						
04/16/2018	***-**-37FB - SCHROEDER, JACK	MORNINGSTAR ADVISOR FEE	676.46	676.46	0.00	676.46	0.5	3.38
	ACCOUNT #: 100793241	BUY 0 Units @0.0000						
04/16/2018	***-**-00FB - SPORRER, JERALD	MORNINGSTAR ADVISOR FEE	208.22	208.22	0.00	208.22	0.5	1.04
	ACCOUNT #: 100806886	BUY 0 Units @0.0000						
04/16/2018	***-**-92FB - SAUDER FAMILY,	MORNINGSTAR ADVISOR FEE	219.73	219.73	0.00	219.73	0.5	1.10
	ACCOUNT #: 101006690	BUY 0 Units @0.0000						
04/16/2018	***-**-60IN - HUNGERFORD,	NATIONWIDE YOURLIFE PROTECTION VUL	150.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: N550070100	BUY 1 Units @150.0000						
04/16/2018	***-**-60IN - HUNGERFORD,	NATIONWIDE YOURLIFE PROTECTION VUL	150.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: N550070100	BUY 1 Units @150.0000						
04/02/2018	***-**-383I - PLAN	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	13.55	0.00	13.55	0.5	0.07
	ACCOUNT #: 00550577593	BUY 0 Units @0.0000						
03/31/2018	***-**-819I - COVEY, C	VALUE FUND A	0.00	38.19	0.00	38.19	0.5	0.19
	ACCOUNT #: 00500445410	BUY 0 Units @0.0000						
 * BERT GOLDBERG SUBTOTAL * 			 \$2,131.91 	 \$3,302.17 	 \$0.00 	 \$3,302.17 		 \$16.49
 <u>BROKER: BRUCE MOAR</u> 								
03/31/2018	***-**-60IN - KALINOWSKI,	GLOBAL FUND A	0.00	12.24	0.00	12.24	0.5	0.06
	ACCOUNT #: 03303657161	BUY 0 Units @0.0000						
03/31/2018	***-**-60IN - KALINOWSKI,	MAIN STREET FUND A	0.00	11.43	0.00	11.43	0.5	0.06
	ACCOUNT #: 07002059335	BUY 0 Units @0.0000						
03/31/2018	***-**-60IN - KALINOWSKI,	OPPENHEIMER DISCOVERY CLASS A	0.00	11.46	0.00	11.46	0.5	0.06
	ACCOUNT #: 07453399715	BUY 0 Units @0.0000						
03/31/2018	***-**-60IN - KALINOWSKI,	QUEST BALANCED A	0.00	7.86	0.00	7.86	0.5	0.04
	ACCOUNT #: 02575364986	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: ALEXANDRE GUEORGUIEV (continued)</u> 								
		* BRUCE MOAR SUBTOTAL *	\$0.00	\$42.99	\$0.00	\$42.99		\$0.22
 <u>BROKER: ALEXANDRE GUEORGUIEV</u> 								
04/05/2018	***-**-2116 - ROCHESTER	AMERICAN FUNDS 401K TRAILS	0.00	600.23	0.00	600.23	0.5	3.00
	ACCOUNT #: IRK128740	BUY 0 Units @0.0000						
		* ALEXANDRE GUEORGUIEV SUBTOTAL *	\$0.00	\$600.23	\$0.00	\$600.23		\$3.00
 <u>BROKER: LINDA BLACK</u> 								
04/16/2018	***-**-231S - CANTATORE,	1919 FINANCIAL NFS	0.00	1.22	0.00	1.22	0.5	0.01
	ACCOUNT #: LSR006823	BUY 1 Units @0.0000						
04/17/2018	***-**-8362 - SIKORA, AMY	ADDITIONAL DEPOSIT	18,871.00	188.71	0.00	188.71	0.5	0.94
		BUY 0 Units @0.0000						
04/02/2018	***-**-305P - STEWART, DAVID	AMERICAN BALANCED FUND-529A	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 00085597268	BUY 2 Units @27.9600						
04/05/2018	***-**-295P - PHILLIPS,	AMERICAN FUNDS 02630R732	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 00088393885	BUY 3 Units @19.4800						
04/02/2018	***-**-305P - STEWART, DAVID	AMERICAN MUTUAL FUND-529A	25.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 00085597268	BUY 1 Units @41.2600						
04/16/2018	***-**-231S - CANTATORE,	CALVERT GLOBAL WATER FUND CLASS A	0.00	1.99	0.00	1.99	0.5	0.01
	ACCOUNT #: LSR006823	BUY 1 Units @0.0000						
04/16/2018	***-**-37RI - BERRY, BRENDA	CALVERT MODERATE ALLOCATION FUND-A	0.00	2.90	0.00	2.90	0.5	0.01
	ACCOUNT #: LSR003379	BUY 1 Units @0.0000						
04/16/2018	***-**-231S - CANTATORE,	CALVERT SOCIAL INDEX A	0.00	1.71	0.00	1.71	0.5	0.01
	ACCOUNT #: LSR006823	BUY 1 Units @0.0000						
04/16/2018	***-**-371I - DEAHL, JOHN	CALVERT SOCIAL INVESTMENT FD EQUITY	0.00	2.19	0.00	2.19	0.5	0.01
	ACCOUNT #: LSR010086	BUY 1 Units @0.0000						
04/16/2018	***-**-116I - GAVELEK, CYNTHIA	CALVERT SOCIAL INVESTMENT FD EQUITY	0.00	1.15	0.00	1.15	0.5	0.01
	ACCOUNT #: LSR010199	BUY 1 Units @0.0000						
04/16/2018	***-**-465I - STEWART, ANNE	CALVERT SOCIAL INVESTMENT FD EQUITY	0.00	7.34	0.00	7.34	0.5	0.04
	ACCOUNT #: LSR011992	BUY 1 Units @0.0000						
04/16/2018	***-**-430I - STEWART, DAVID	CALVERT SOCIAL INVESTMENT FD EQUITY	0.00	8.34	0.00	8.34	0.5	0.04
	ACCOUNT #: LSR012056	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: LINDA BLACK (continued)</u>								
04/16/2018	***-**-99IR - TARKINGTON, ACCOUNT #: LSR108162	CALVERT SOCIAL INVESTMENT FD EQUITY BUY 1 Units @0.0000	0.00	1.99	0.00	1.99	0.5	0.01
03/31/2018	***-**-888I - MCAULIFFE, ACCOUNT #: 03211627451	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	4.59	0.00	4.59	0.5	0.02
04/02/2018	***-**-305P - STEWART, DAVID ACCOUNT #: 00085597268	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @53.1100	25.00	1.25	0.00	1.25	0.5	0.01
04/16/2018	***-**-20IN - GAVIN, ANNE ACCOUNT #: LSR011851	DELAWARE VALUE FD CL C BUY 1 Units @0.0000	0.00	9.02	0.00	9.02	0.5	0.05
04/16/2018	***-**-6345 - SIKORA, MICHAEL ACCOUNT #: LSR011336	EATON VANCE BALANCED CLASS A BUY 1 Units @0.0000	0.00	1.09	0.00	1.09	0.5	0.01
04/16/2018	***-**-6345 - SIKORA, MICHAEL ACCOUNT #: LSR011336	EATON VANCE WORLDWIDE HEALTH SCIENC BUY 1 Units @0.0000	0.00	1.39	0.00	1.39	0.5	0.01
03/31/2018	***-**-888I - MCAULIFFE, ACCOUNT #: 08353017278	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	4.31	0.00	4.31	0.5	0.02
04/16/2018	***-**-20IN - GAVIN, ANNE ACCOUNT #: LSR011851	EV TABS INTERMEDIATE TERM MUNI BOND BUY 1 Units @0.0000	0.00	2.46	0.00	2.46	0.5	0.01
04/16/2018	***-**-717X - VIRTS, PATRICIA ACCOUNT #: LSR010310	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	1.26	0.00	1.26	0.5	0.01
04/16/2018	***-**-829X - PRESTIGE, BRENDA ACCOUNT #: LSR010314	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	0.5	0.01
04/16/2018	***-**-650J - LONGERBEAM, ACCOUNT #: LSR011736	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	5.26	0.00	5.26	0.5	0.03
04/16/2018	***-**-829I - PRESTIDGE, ACCOUNT #: LSR005118	FRANKLIN U.S. GOVERNMENT SECURITIES BUY 1 Units @0.0000	0.00	2.58	0.00	2.58	0.5	0.01
04/16/2018	***-**-31IN - CANTATORE, ACCOUNT #: LSR006831	FRANKLIN VIRGINIA TAX FREE A BUY 1 Units @0.0000	0.00	3.26	0.00	3.26	0.5	0.02
03/31/2018	***-**-888I - MCAULIFFE, ACCOUNT #: 03307543285	GLOBAL FUND A BUY 0 Units @0.0000	0.00	3.67	0.00	3.67	0.5	0.02
03/31/2018	***-**-888I - MCAULIFFE, ACCOUNT #: 08152132614	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	0.00	2.56	0.00	2.56	0.5	0.01
04/16/2018	***-**-20IN - GAVIN, ANNE ACCOUNT #: LSR011851	INVESCO EQUALLY WEIGHTED S&P 500 C BUY 1 Units @0.0000	0.00	10.60	0.00	10.60	0.5	0.05



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: LINDA BLACK (continued)</u>								
04/01/2018	***-**-354I - CALLAGY, LINDA	INVESCO SUMMIT FUND - CLASS A	0.00	3.68	0.00	3.68	0.5	0.02
	ACCOUNT #: 01001263728	BUY 0 Units @0.0000						
04/02/2018	***-**-354I - CALLAGY, LINDA	INVESCO SUMMIT FUND - CLASS A	100.00	5.00	0.00	5.00	0.5	0.03
	ACCOUNT #: 01001263728	BUY 5 Units @20.9400						
04/01/2018	***-**-354I - CALLAGY, LINDA	INVESCO SUMMIT FUND - CLASS P	0.00	3.26	0.00	3.26	0.5	0.02
	ACCOUNT #: 01001263728	BUY 0 Units @0.0000						
04/16/2018	***-**-426I - CROWE, MICHAEL	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	5.29	0.00	5.29	0.5	0.03
	ACCOUNT #: LSR007820	BUY 1 Units @0.0000						
04/16/2018	***-**-31IN - CANTATORE,	JOHN HANCOCK CLASSIC VALUE FUND CLA	0.00	2.41	0.00	2.41	0.5	0.01
	ACCOUNT #: LSR006831	BUY 1 Units @0.0000						
04/16/2018	***-**-31IN - CANTATORE,	JOHN HANCOCK DISCIPL INED VALUE MID	0.00	4.68	0.00	4.68	0.5	0.02
	ACCOUNT #: LSR006831	BUY 1 Units @0.0000						
04/16/2018	***-**-31IN - CANTATORE,	JOHN HANCOCK ENDURING EQUITIES A	0.00	1.82	0.00	1.82	0.5	0.01
	ACCOUNT #: LSR006831	BUY 1 Units @0.0000						
04/16/2018	***-**-99IR - TARKINGTON,	JOHN HANCOCK FLOATING RATE INC C	0.00	7.55	0.00	7.55	0.5	0.04
	ACCOUNT #: LSR108162	BUY 1 Units @0.0000						
04/16/2018	***-**-31IN - CANTATORE,	JOHN HANCOCK US EQUITY CL A	0.00	4.05	0.00	4.05	0.5	0.02
	ACCOUNT #: LSR006831	BUY 1 Units @0.0000						
04/16/2018	***-**-31IN - CANTATORE,	LARGE CAP EQUITY A	0.00	2.29	0.00	2.29	0.5	0.01
	ACCOUNT #: LSR006831	BUY 1 Units @0.0000						
04/16/2018	***-**-62IN - DEHAVEN, JUSTIN	LEGG MASON VALUE TRUST CL C	0.00	3.24	0.00	3.24	0.5	0.02
	ACCOUNT #: LSR010416	BUY 1 Units @0.0000						
04/16/2018	***-**-385I - DEHAVEN, JOSEPH	LIFESTYLE BALANCED PORTFOLIO A	0.00	2.68	0.00	2.68	0.5	0.01
	ACCOUNT #: LSR008524	BUY 1 Units @0.0000						
04/16/2018	***-**-541I - ROTH, LENORA	LIFESTYLE BALANCED PORTFOLIO A	0.00	5.65	0.00	5.65	0.5	0.03
	ACCOUNT #: LSR010077	BUY 1 Units @0.0000						
04/16/2018	***-**-19IR - SCHUSTER,	LIFESTYLE GROWTH PORTFOLIO A	0.00	1.28	0.00	1.28	0.5	0.01
	ACCOUNT #: LSR008362	BUY 1 Units @0.0000						
04/11/2018	***-**-805K - EROC BUILDERS	MASS MUTUAL VA TRAILS	0.00	17.03	0.00	17.03	0.5	0.09
		BUY 1 Units @0.0000						
04/11/2018	***-**-94SP - LOUDOUN	MASS MUTUAL VA TRAILS	0.00	215.91	0.00	215.91	0.5	1.08
	ACCOUNT #: 825176	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: LINDA BLACK (continued)</u>								
04/11/2018	***-**-94SP - LOUDOUN ACCOUNT #: 825176	MASS MUTUAL VA TRAILS BUY 1 Units @0.0000	0.00	4.28	0.00	4.28	0.5	0.02
04/11/2018	***-**-1204 - DEHAVEN ACCOUNT #: 831107	MASS MUTUAL VA TRAILS BUY 1 Units @0.0000	0.00	40.13	0.00	40.13	0.5	0.20
04/11/2018	***-**-2779 - WALKING WET ACCOUNT #: MM833141	MASS MUTUAL VA TRAILS BUY 1 Units @0.0000	0.00	76.34	0.00	76.34	0.5	0.38
04/13/2018	***-**-33FB - BONNER, RACHEL	MORNINGSTAR ADVISOR FEE BUY 1 Units @0.0000	0.00	320.34	0.00	320.34	0.5	1.60
04/16/2018	***-**-99FB - TARKINGTON,	MORNINGSTAR ADVISOR FEE BUY 1 Units @0.0000	0.00	359.52	0.00	359.52	0.5	1.80
04/16/2018	***-**-25IN - MONTGOMERY,	MORNINGSTAR ADVISOR FEE BUY 1 Units @0.0000	0.00	250.64	0.00	250.64	0.5	1.25
04/16/2018	***-**-31FB - CANTATORE,	MORNINGSTAR ADVISOR FEE BUY 1 Units @0.0000	0.00	219.89	0.00	219.89	0.5	1.10
04/16/2018	***-**-03FB - THOMAS, DYAN	MORNINGSTAR ADVISOR FEE BUY 1 Units @0.0000	0.00	293.14	0.00	293.14	0.5	1.47
04/16/2018	***-**-71IN - DEAHL, JOHN	MORNINGSTAR ADVISOR FEE BUY 1 Units @0.0000	0.00	232.68	0.00	232.68	0.5	1.16
04/16/2018	***-**-35FB - LONGERBEAM,	MORNINGSTAR ADVISOR FEE BUY 1 Units @0.0000	0.00	405.09	0.00	405.09	0.5	2.03
04/16/2018	***-**-31FB - CANTATORE,	MORNINGSTAR ADVISOR FEE BUY 1 Units @0.0000	0.00	359.34	0.00	359.34	0.5	1.80
04/16/2018	***-**-337J - SHELL, DAVID	MORNINGSTAR ADVISOR FEE BUY 1 Units @0.0000	0.00	229.32	0.00	229.32	0.5	1.15
04/16/2018	***-**-80FB - SHELL, RANDALL ACCOUNT #: 101217281	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	183.77	183.77	0.00	183.77	0.5	0.92
04/16/2018	***-**-20IN - GAVIN, ANNE ACCOUNT #: LSR011851	NATIXIS OAKMARK INTERNATIONAL CL C BUY 1 Units @0.0000	0.00	18.14	0.00	18.14	0.5	0.09
04/16/2018	***-**-99IR - TARKINGTON, ACCOUNT #: LSR108162	NUVEEN GLOBAL INFRASTRUCTURE CL A BUY 1 Units @0.0000	0.00	3.86	0.00	3.86	0.5	0.02
04/16/2018	***-**-291I - ARTHUR, KENNETH ACCOUNT #: LSR011407	NUVEEN LARGE - CAP VALUE FUND CLASS BUY 1 Units @0.0000	0.00	5.69	0.00	5.69	0.5	0.03



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: LINDA BLACK (continued)</u>								
04/16/2018	***-**-332I - GALLUCCI, NANCY ACCOUNT #: LSR011409	NUVEEN LARGE - CAP VALUE FUND CLASS BUY 1 Units @0.0000	0.00	13.29	0.00	13.29	0.5	0.07
04/16/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	NUVEEN LARGE - CAP VALUE FUND CLASS BUY 1 Units @0.0000	0.00	27.68	0.00	27.68	0.5	0.14
04/16/2018	***-**-291I - ARTHUR, KENNETH ACCOUNT #: LSR011407	NUVEEN LARGE CAP CORE FUND CL C BUY 1 Units @0.0000	0.00	5.85	0.00	5.85	0.5	0.03
04/16/2018	***-**-332I - GALLUCCI, NANCY ACCOUNT #: LSR011409	NUVEEN LARGE CAP CORE FUND CL C BUY 1 Units @0.0000	0.00	5.63	0.00	5.63	0.5	0.03
04/16/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	NUVEEN LARGE CAP CORE FUND CL C BUY 1 Units @0.0000	0.00	11.26	0.00	11.26	0.5	0.06
04/16/2018	***-**-291I - ARTHUR, KENNETH ACCOUNT #: LSR011407	NUVEEN LARGE CAP GROWTH FD CL C BUY 1 Units @0.0000	0.00	8.32	0.00	8.32	0.5	0.04
04/16/2018	***-**-332I - GALLUCCI, NANCY ACCOUNT #: LSR011409	NUVEEN LARGE CAP GROWTH FD CL C BUY 1 Units @0.0000	0.00	5.78	0.00	5.78	0.5	0.03
04/16/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	NUVEEN LARGE CAP GROWTH FD CL C BUY 1 Units @0.0000	0.00	11.56	0.00	11.56	0.5	0.06
03/31/2018	***-**-888I - MCAULIFFE, ACCOUNT #: 08477448342	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	2.19	0.00	2.19	0.5	0.01
03/31/2018	***-**-888I - MCAULIFFE, ACCOUNT #: 02203498242	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	1.94	0.00	1.94	0.5	0.01
04/16/2018	***-**-4967 - SWEARINGEN, ACCOUNT #: LSR011637	PIONEER CULLEN VALUE FUND CLASS A BUY 1 Units @0.0000	0.00	2.38	0.00	2.38	0.5	0.01
04/16/2018	***-**-4967 - SWEARINGEN, ACCOUNT #: LSR011637	PIONEER FUNDAMENTAL GROWTH FD CL A BUY 1 Units @0.0000	0.00	2.70	0.00	2.70	0.5	0.01
04/16/2018	***-**-4967 - SWEARINGEN, ACCOUNT #: LSR011637	PIONEER GLOBAL EQUITY FUND A BUY 1 Units @0.0000	0.00	3.45	0.00	3.45	0.5	0.02
03/31/2018	***-**-888I - MCAULIFFE, ACCOUNT #: 05901163514	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	2.91	0.00	2.91	0.5	0.01
04/16/2018	***-**-334I - ESKEW, CAROLYN ACCOUNT #: 7200023141	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	26.97	0.00	26.97	0.5	0.13
04/16/2018	***-**-9333 - BONNER, RACHEL ACCOUNT #: 7200027587	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	51.68	0.00	51.68	0.5	0.26



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: LINDA BLACK (continued)</u> 								
04/02/2018	***-**-305P - STEWART, DAVID	SMALLCAP WORLD FUND-529A	25.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 00085597268	BUY 0 Units @58.3700						
04/16/2018	***-**-426I - CROWE, MICHAEL	TEMPLETON GROWTH FUND CLASS A	0.00	2.26	0.00	2.26	0.5	0.01
	ACCOUNT #: LSR007820	BUY 1 Units @0.0000						
04/16/2018	***-**-20IN - GAVIN, ANNE	THORNBURG INTL GROWTH CL C	0.00	6.39	0.00	6.39	0.5	0.03
	ACCOUNT #: LSR011851	BUY 1 Units @0.0000						
04/16/2018	***-**-31IN - CANTATORE,	US GLOBAL LEADERS GROWTH A	0.00	4.56	0.00	4.56	0.5	0.02
	ACCOUNT #: LSR006831	BUY 1 Units @0.0000						
04/16/2018	***-**-362K - SIKORA, AMY	US GLOBAL LEADERS GROWTH A	0.00	1.54	0.00	1.54	0.5	0.01
	ACCOUNT #: LSR011287	BUY 1 Units @0.0000						
04/16/2018	***-**-99IR - TARKINGTON,	VIRTUS GLOBAL INFRASTRUCTURE CL A	0.00	3.60	0.00	3.60	0.5	0.02
	ACCOUNT #: LSR108162	BUY 1 Units @0.0000						
04/16/2018	***-**-275I - TARKINGTON,	WELLS FARGO COMMON STOCK FD CLASS A	0.00	3.55	0.00	3.55	0.5	0.02
	ACCOUNT #: LSR004359	BUY 1 Units @0.0000						
* LINDA BLACK SUBTOTAL *			\$19,329.77	\$3,773.23	\$0.00	\$3,773.23		\$18.92
 <u>BROKER: SARA BERKOWICZ</u> 								
04/06/2018	***-**-278I - BOIN, ROBERT	AMERICAN BALANCED FND F2-NFS	346.50	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012114	SELL 13 Units @26.5800						
04/06/2018	***-**-278I - BOIN, ROBERT	AMERICAN CAPITAL INCOME BUILDER CL	346.48	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012114	SELL 6 Units @60.3300						
04/06/2018	***-**-78IN - BOIN, ROBERT	AMERICAN FUNDAMENTAL INV. CL F2-NFS	525.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012120	SELL 9 Units @60.9900						
04/06/2018	***-**-278I - BOIN, ROBERT	AMERICAN INCOME FND OF AMERICA CL F	357.01	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012114	SELL 16 Units @22.6500						
04/06/2018	***-**-78IN - BOIN, ROBERT	AMERICAN INCOME FND OF AMERICA CL F	384.62	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012120	SELL 17 Units @22.6500						
04/16/2018	***-**-1202 - MCCORMACK, JAMI	DAVIS FINANCIAL CLASS A	0.00	26.61	0.00	26.61	0.5	0.13
	ACCOUNT #: LSR105988	BUY 1 Units @0.0000						
04/16/2018	***-**-1202 - MCCORMACK, JAMI	INVESCO VAN KAMPEN MID CAP GROWTH A	0.00	1.32	0.00	1.32	0.5	0.01
	ACCOUNT #: LSR105988	BUY 1 Units @0.0000						
04/16/2018	***-**-00I2 - BEUTLICH, FBO	JPMORGAN HIGH YIELD BOND FUND CLASS	0.00	2.47	0.00	2.47	0.5	0.01
	ACCOUNT #: LSR003700	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: MICHAEL MINTER (continued) </u>								
		* SARA BERKOWICZ SUBTOTAL *	\$1,959.61	\$45.40	\$0.00	\$45.40		\$0.25
<u> BROKER: MICHAEL MINTER </u>								
04/11/2018	***-**-1968 - HIGGINS, MICHAEL	JOHN HANCOCK 529 TRAILS	0.00	13.00	0.00	13.00	0.5	0.07
	ACCOUNT #: 00207170298	BUY 0 Units @0.0000						
04/11/2018	***-**-11IN - GRECO, TONY	JOHN HANCOCK 529 TRAILS	0.00	10.44	0.00	10.44	0.5	0.05
	ACCOUNT #: 00207189841	BUY 0 Units @0.0000						
04/16/2018	***-**-39IN - ZEITLER JR, JOHN	LIFESTYLE AGGRESSIVE PORTFOLIO A	0.00	1.36	0.00	1.36	0.5	0.01
	ACCOUNT #: LSR004367	BUY 1 Units @0.0000						
04/16/2018	***-**-26IN - DIBENEDETTO,	LIFESTYLE BALANCED PORTFOLIO C	0.00	25.25	0.00	25.25	0.5	0.13
	ACCOUNT #: LSR004448	BUY 1 Units @0.0000						
04/16/2018	***-**-15TI - HELBER, DEBORAH	SAMMONS MF TRAILS	0.00	52.17	0.00	52.17	0.5	0.26
	ACCOUNT #: 7200020728	BUY 0 Units @0.0000						
		* MICHAEL MINTER SUBTOTAL *	\$0.00	\$102.22	\$0.00	\$102.22		\$0.52
<u> BROKER: JOSEPH FERRY </u>								
04/16/2018	***-**-90IN - GAW, PATRICIA	AIM CHARTER FUND - CLASS A	0.00	3.20	0.00	3.20	0.5	0.02
	ACCOUNT #: LSR011025	BUY 1 Units @0.0000						
04/02/2018	***-**-228I - FAULKNER,	AMERICAN BALANCED FUND-A	298.08	4.77	0.00	4.77	0.5	0.02
	ACCOUNT #: 00081805988	BUY 11 Units @26.9300						
04/02/2018	***-**-228I - FAULKNER,	AMERICAN BALANCED FUND-A	298.08	4.77	0.00	4.77	0.5	0.02
	ACCOUNT #: 00081805988	BUY 11 Units @26.9300						
04/02/2018	***-**-689I - FAULKNER, SANDRA	AMERICAN BALANCED FUND-A	298.08	4.77	0.00	4.77	0.5	0.02
	ACCOUNT #: 00081806027	BUY 11 Units @26.9300						
04/02/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	47.78	1.31	0.00	1.31	0.5	0.01
	ACCOUNT #: 04000563712	BUY 2 Units @27.3500						
04/02/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	159.28	4.38	0.00	4.38	0.5	0.02
	ACCOUNT #: 04000563712	BUY 6 Units @27.3500						
04/02/2018	***-**-065P - LEE, DANA	AMERICAN BALANCED FUND-A	150.00	6.38	0.00	6.38	0.5	0.03
	ACCOUNT #: 00064518010	BUY 5 Units @27.7800						
04/04/2018	***-**-1870 - WITHER, EDWARD	AMERICAN BALANCED FUND-A	23.94	1.20	0.00	1.20	0.5	0.01
	ACCOUNT #: 04000812765	BUY 1 Units @28.3900						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: JOSEPH FERRY (continued)</u>								
04/06/2018	***-**-228I - FAULKNER, ACCOUNT #: 00081805988	AMERICAN BALANCED FUND-A BUY 11 Units @27.1400	298.08	4.77	0.00	4.77	0.5	0.02
04/06/2018	***-**-228I - FAULKNER, ACCOUNT #: 00081805988	AMERICAN BALANCED FUND-A BUY 11 Units @27.1400	298.08	4.77	0.00	4.77	0.5	0.02
04/06/2018	***-**-689I - FAULKNER, SANDRA ACCOUNT #: 00081806027	AMERICAN BALANCED FUND-A BUY 11 Units @27.1400	298.08	4.77	0.00	4.77	0.5	0.02
04/04/2018	***-**-6730 - GAUDIOSI, JAMES ACCOUNT #: 04000812746	AMERICAN FUNDS 2030 TARGET DATE-A BUY 24 Units @15.2700	365.00	18.25	0.00	18.25	0.5	0.09
04/02/2018	***-**-5975 - PAQUETTE, NICOLE ACCOUNT #: 04000563724	AMERICAN FUNDS 2035 TARGET DATE-A BUY 3 Units @15.1600	44.57	1.23	0.00	1.23	0.5	0.01
04/02/2018	***-**-5975 - PAQUETTE, NICOLE ACCOUNT #: 04000563724	AMERICAN FUNDS 2035 TARGET DATE-A BUY 8 Units @15.1600	118.85	3.27	0.00	3.27	0.5	0.02
04/04/2018	***-**-632I - GAUDIOSI, JANE ACCOUNT #: 04000813270	AMERICAN FUNDS 2035 TARGET DATE-A BUY 23 Units @15.7600	365.00	18.25	0.00	18.25	0.5	0.09
04/04/2018	***-**-6609 - GAUDIOSI, ACCOUNT #: 04000812733	AMERICAN FUNDS 2040 TARGET DATE-A BUY 19 Units @16.1600	300.00	15.00	0.00	15.00	0.5	0.08
04/02/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 12 Units @15.4500	187.00	5.14	0.00	5.14	0.5	0.03
04/02/2018	***-**-945P - MORIARTY, ACCOUNT #: 00081526588	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @15.4500	45.41	1.25	0.00	1.25	0.5	0.01
04/02/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 3 Units @15.4500	50.30	1.38	0.00	1.38	0.5	0.01
04/02/2018	***-**-6923 - MELIN-MILES, ACCOUNT #: 04000563702	AMERICAN FUNDS 2050 TARGET DATE-A BUY 6 Units @15.4500	100.00	2.75	0.00	2.75	0.5	0.01
04/02/2018	***-**-0611 - FAULKNER, ACCOUNT #: 04000827629	AMERICAN FUNDS 2060 TARGET DATE-A BUY 6 Units @12.4600	75.00	1.20	0.00	1.20	0.5	0.01
04/02/2018	***-**-0611 - FAULKNER, ACCOUNT #: 04000827629	AMERICAN FUNDS 2060 TARGET DATE-A BUY 6 Units @12.4600	75.00	1.20	0.00	1.20	0.5	0.01
04/06/2018	***-**-0611 - FAULKNER, ACCOUNT #: 04000827629	AMERICAN FUNDS 2060 TARGET DATE-A BUY 6 Units @12.5400	75.00	1.20	0.00	1.20	0.5	0.01
04/06/2018	***-**-0611 - FAULKNER, ACCOUNT #: 04000827629	AMERICAN FUNDS 2060 TARGET DATE-A BUY 6 Units @12.5400	75.00	1.20	0.00	1.20	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JOSEPH FERRY (continued) </u>								
04/02/2018	***-**-3307 - COUGHLAN, HARRY	AMERICAN FUNDS GRWTH & INCOME PORT	240.50	2.41	0.00	2.41	0.5	0.01
	ACCOUNT #: 00084434107	BUY 16 Units @14.6900						
04/02/2018	***-**-3307 - COUGHLAN, HARRY	AMERICAN FUNDS GRWTH & INCOME PORT	240.50	2.41	0.00	2.41	0.5	0.01
	ACCOUNT #: 00084434107	BUY 16 Units @14.6900						
03/31/2018	***-**-367I - RAMADANOVIC,	CAPITAL APPRECIATION A	0.00	2.54	0.00	2.54	0.5	0.01
	ACCOUNT #: 03208406090	BUY 0 Units @0.0000						
03/31/2018	***-**-139I - STRATTON, RANIE	CAPITAL APPRECIATION A	0.00	117.45	0.00	117.45	0.5	0.59
	ACCOUNT #: 03209301380	BUY 0 Units @0.0000						
03/31/2018	***-**-833I - REYNOLDS, THOMAS	CAPITAL APPRECIATION A	0.00	23.27	0.00	23.27	0.5	0.12
	ACCOUNT #: 03210241880	BUY 0 Units @0.0000						
03/31/2018	***-**-966I - MASCARO, HOLLY	CAPITAL APPRECIATION A	0.00	5.78	0.00	5.78	0.5	0.03
	ACCOUNT #: 03210276288	BUY 0 Units @0.0000						
03/31/2018	***-**-2332 - DROZDENKO, ROBIN	CAPITAL APPRECIATION A	0.00	4.09	0.00	4.09	0.5	0.02
	ACCOUNT #: 03210716981	BUY 0 Units @0.0000						
03/31/2018	***-**-395P - STRATTON, RANIE	CAPITAL APPRECIATION B	0.00	5.31	0.00	5.31	0.5	0.03
	ACCOUNT #: 03214082309	BUY 0 Units @0.0000						
03/31/2018	***-**-6833 - REYNOLDS, THOMAS	CAPITAL APPRECIATION B	0.00	1.02	0.00	1.02	0.5	0.01
	ACCOUNT #: 03214901567	BUY 0 Units @0.0000						
03/31/2018	***-**-32SI - GAUDIOSI, JANE	CAPITAL APPRECIATION C	0.00	65.96	0.00	65.96	0.5	0.33
	ACCOUNT #: 03222239534	BUY 0 Units @0.0000						
03/31/2018	***-**-211I - POLLOCK, LINDA	CAPITAL INCOME A	0.00	5.43	0.00	5.43	0.5	0.03
	ACCOUNT #: 03008419994	BUY 0 Units @0.0000						
03/31/2018	***-**-632I - GAUDIOSI, JANE	CORE BOND FND C	0.00	74.50	0.00	74.50	0.5	0.37
	ACCOUNT #: 02870589061	BUY 0 Units @0.0000						
03/31/2018	***-**-4523 - SCHIBI, FRANK	DISCOVERY FUND B	0.00	1.35	0.00	1.35	0.5	0.01
	ACCOUNT #: 07460253627	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FAC02	0.00	11.35	0.00	11.35	0.5	0.06
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FIDELITY FMR1310	0.00	14.48	0.00	14.48	0.5	0.07
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR1197	0.00	13.59	0.00	13.59	0.5	0.07
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: JOSEPH FERRY (continued)</u>								
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR1305	0.00	6.38	0.00	6.38	0.5	0.03
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR1608	0.00	3.99	0.00	3.99	0.5	0.02
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR168	0.00	40.84	0.00	40.84	0.5	0.20
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR170	0.00	35.33	0.00	35.33	0.5	0.18
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR174	0.00	3.71	0.00	3.71	0.5	0.02
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR175	0.00	10.38	0.00	10.38	0.5	0.05
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR2337	0.00	4.95	0.00	4.95	0.5	0.02
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR2444	0.00	5.57	0.00	5.57	0.5	0.03
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR274	0.00	21.37	0.00	21.37	0.5	0.11
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR280	0.00	19.45	0.00	19.45	0.5	0.10
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR286	0.00	62.60	0.00	62.60	0.5	0.31
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR287	0.00	8.57	0.00	8.57	0.5	0.04
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR292	0.00	1.44	0.00	1.44	0.5	0.01
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR299	0.00	36.88	0.00	36.88	0.5	0.18
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR531	0.00	57.95	0.00	57.95	0.5	0.29
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/06/2018	***-**-657Q - EDWARD SEGAL	FMR720	0.00	11.20	0.00	11.20	0.5	0.06
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: JOSEPH FERRY (continued)</u>								
04/06/2018	***-**-657Q - EDWARD SEGAL	FMRR1192	0.00	4.66	0.00	4.66	0.5	0.02
	ACCOUNT #: 00670223965	BUY 0 Units @0.0000						
04/02/2018	***-**-01IN - PELLETIER, KELLY	FRANKLIN GROWTH FUND CLASS A	75.00	2.10	0.00	2.10	0.5	0.01
	ACCOUNT #: 000060177222593	BUY 1 Units @97.5300						
04/02/2018	***-**-01IN - PELLETIER, KELLY	FRANKLIN INCOME FUND CLASS A	75.00	2.10	0.00	2.10	0.5	0.01
	ACCOUNT #: 000090236508494	BUY 32 Units @2.3300						
03/31/2018	***-**-833I - REYNOLDS, THOMAS	GLOBAL FUND A	0.00	24.06	0.00	24.06	0.5	0.12
	ACCOUNT #: 03306082694	BUY 0 Units @0.0000						
03/31/2018	***-**-211I - POLLOCK, LINDA	GLOBAL FUND A	0.00	15.94	0.00	15.94	0.5	0.08
	ACCOUNT #: 03306082705	BUY 0 Units @0.0000						
03/31/2018	***-**-966I - MASCARO, HOLLY	GLOBAL FUND A	0.00	5.99	0.00	5.99	0.5	0.03
	ACCOUNT #: 03306082716	BUY 0 Units @0.0000						
03/31/2018	***-**-2332 - DROZDENKO, ROBIN	GLOBAL FUND A	0.00	2.74	0.00	2.74	0.5	0.01
	ACCOUNT #: 03306541526	BUY 0 Units @0.0000						
03/31/2018	***-**-674I - TRAN, JOSEPH	GLOBAL FUND A	0.00	1.47	0.00	1.47	0.5	0.01
	ACCOUNT #: 03306572557	BUY 0 Units @0.0000						
03/31/2018	***-**-6833 - REYNOLDS, THOMAS	GLOBAL FUND B	0.00	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: 03315466362	BUY 0 Units @0.0000						
03/31/2018	***-**-523I - SCHIBI, FRANK	GLOBAL OPPORTUNITIES A	0.00	50.87	0.00	50.87	0.5	0.25
	ACCOUNT #: 02156130773	BUY 0 Units @0.0000						
03/31/2018	***-**-2332 - DROZDENKO, ROBIN	GLOBAL OPPORTUNITIES A	0.00	4.04	0.00	4.04	0.5	0.02
	ACCOUNT #: 02156318323	BUY 0 Units @0.0000						
03/31/2018	***-**-4523 - SCHIBI, FRANK	GLOBAL OPPORTUNITIES B	0.00	1.77	0.00	1.77	0.5	0.01
	ACCOUNT #: 02160420772	BUY 0 Units @0.0000						
03/31/2018	***-**-2332 - DROZDENKO, ROBIN	INTERNATIONAL SMALL COMPANY A	0.00	1.83	0.00	1.83	0.5	0.01
	ACCOUNT #: 08151787555	BUY 0 Units @0.0000						
04/16/2018	***-**-90IN - GAW, PATRICIA	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	8.79	0.00	8.79	0.5	0.04
	ACCOUNT #: LSR011025	BUY 1 Units @0.0000						
04/16/2018	***-**-90IN - GAW, PATRICIA	INVESCO VAN KAMPEN VALUE OPP CLASS	0.00	3.33	0.00	3.33	0.5	0.02
	ACCOUNT #: LSR011025	BUY 1 Units @0.0000						
04/16/2018	***-**-552I - FAMIGLIETTI,	IVY BOND FUND CLASS A	0.00	4.74	0.00	4.74	0.5	0.02
	ACCOUNT #: LSR011127	BUY 1 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: JOSEPH FERRY (continued)</u>								
03/31/2018	***-**-32SI - GAUDIOSI, JANE	LIMITED-TERM GOVERNMENT FUND C	0.00	73.44	0.00	73.44	0.5	0.37
	ACCOUNT #: 08571249215	BUY 0 Units @0.0000						
03/31/2018	***-**-367I - RAMADANOVIC,	MAIN STREET FUND A	0.00	1.37	0.00	1.37	0.5	0.01
	ACCOUNT #: 04205702378	BUY 0 Units @0.0000						
03/31/2018	***-**-019I - CALVANEZI,	MAIN STREET FUND A	0.00	55.76	0.00	55.76	0.5	0.28
	ACCOUNT #: 07002459680	BUY 0 Units @0.0000						
03/31/2018	***-**-245P - DUMAINE, ROBERT	MAIN STREET FUND A	0.00	3.47	0.00	3.47	0.5	0.02
	ACCOUNT #: 07003593678	BUY 0 Units @0.0000						
03/31/2018	***-**-674I - TRAN, JOSEPH	MAIN STREET FUND A	0.00	1.62	0.00	1.62	0.5	0.01
	ACCOUNT #: 07004976909	BUY 0 Units @0.0000						
03/31/2018	***-**-9019 - CALVANEZI,	MAIN STREET FUND B	0.00	1.34	0.00	1.34	0.5	0.01
	ACCOUNT #: 07012659486	BUY 0 Units @0.0000						
03/31/2018	***-**-632I - GAUDIOSI, JANE	MAIN STREET FUND C	0.00	156.31	0.00	156.31	0.5	0.78
	ACCOUNT #: 07024390705	BUY 0 Units @0.0000						
04/02/2018	***-**-01IN - PELLETIER, KELLY	MUTUAL GLOBAL DISCOVERY FUND - CLAS	75.00	2.10	0.00	2.10	0.5	0.01
	ACCOUNT #: 000000007745197	BUY 2 Units @31.5300						
03/31/2018	***-**-615I - WANIK, MICHAEL	OPP PORT SERIES: ACTIVE ALLOC A	0.00	15.92	0.00	15.92	0.5	0.08
	ACCOUNT #: 05502613501	BUY 0 Units @0.0000						
03/31/2018	***-**-309I - GROODY, ASHLEY	OPP PORT SERIES: ACTIVE ALLOC A	0.00	4.83	0.00	4.83	0.5	0.02
	ACCOUNT #: 05502887731	BUY 0 Units @0.0000						
03/31/2018	***-**-378I - SZYMANSKI,	OPP PORT SERIES: MOD INV FD A	0.00	7.02	0.00	7.02	0.5	0.04
	ACCOUNT #: 05451083929	BUY 0 Units @0.0000						
03/31/2018	***-**-469I - DAPONTE, ELVC	OPP PORT SERIES: MOD INV FD A	0.00	1.94	0.00	1.94	0.5	0.01
	ACCOUNT #: 05451083940	BUY 0 Units @0.0000						
03/31/2018	***-**-378I - SZYMANSKI,	OPP PORT SERIES: MOD INV FD C	0.00	3.20	0.00	3.20	0.5	0.02
	ACCOUNT #: 04730033374	BUY 0 Units @0.0000						
03/31/2018	***-**-139I - STRATTON, RANIE	OPPENHEIMER CORE BOND FUND A	0.00	20.34	0.00	20.34	0.5	0.10
	ACCOUNT #: 02851711479	BUY 0 Units @0.0000						
03/31/2018	***-**-523I - SCHIBI, FRANK	OPPENHEIMER DISCOVERY CLASS A	0.00	40.49	0.00	40.49	0.5	0.20
	ACCOUNT #: 05005268758	BUY 0 Units @0.0000						
03/31/2018	***-**-367I - RAMADANOVIC,	OPPENHEIMER DISCOVERY CLASS A	0.00	1.44	0.00	1.44	0.5	0.01
	ACCOUNT #: 07453505403	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: JOSEPH FERRY (continued)</u>								
03/31/2018	***-**-32SI - GAUDIOSI, JANE ACCOUNT #: 03322789446	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	71.35	0.00	71.35	0.5	0.36
03/31/2018	***-**-4155 - KOSTRAB, JUSTIN ACCOUNT #: 07315560632	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	1.03	0.00	1.03	0.5	0.01
03/31/2018	***-**-211I - POLLOCK, LINDA ACCOUNT #: 08476614080	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	6.36	0.00	6.36	0.5	0.03
03/31/2018	***-**-2332 - DROZDENKO, ROBIN ACCOUNT #: 08476873108	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	2.83	0.00	2.83	0.5	0.01
03/31/2018	***-**-4155 - KOSTRAB, JUSTIN ACCOUNT #: 08477445449	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	1.10	0.00	1.10	0.5	0.01
03/31/2018	***-**-32SI - GAUDIOSI, JANE ACCOUNT #: 02270965107	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	90.48	0.00	90.48	0.5	0.45
03/31/2018	***-**-211I - POLLOCK, LINDA ACCOUNT #: 01903469444	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	5.68	0.00	5.68	0.5	0.03
03/31/2018	***-**-741I - TRAN, JOSEPH ACCOUNT #: 02305255671	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	1.74	0.00	1.74	0.5	0.01
03/31/2018	***-**-2332 - DROZDENKO, ROBIN ACCOUNT #: 02305493172	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	1.36	0.00	1.36	0.5	0.01
03/31/2018	***-**-615I - WANIK, MICHAEL ACCOUNT #: 07170001177	PORTFOLIO SERIES: ACTIVE ALLOCATION BUY 0 Units @0.0000	0.00	1.54	0.00	1.54	0.5	0.01
03/31/2018	***-**-309I - GROODY, ASHLEY ACCOUNT #: 08690004807	PORTFOLIO SERIES: ACTIVE ALLOCATION BUY 0 Units @0.0000	0.00	1.68	0.00	1.68	0.5	0.01
04/13/2018	***-**-7174 - COCCHIOLA, INC ACCOUNT #: 461859	PRINCIPAL VA TRAILS BUY 1 Units @0.0000	0.00	1,045.69	0.00	1,045.69	0.5	5.23
04/13/2018	***-**-94CL - FERRY, CLIENTS ACCOUNT #: 715169	PRINCIPAL VA TRAILS BUY 1 Units @0.0000	0.00	1,073.89	0.00	1,073.89	0.5	5.37
04/13/2018	***-**-94CL - FERRY, CLIENTS ACCOUNT #: 89314	PRINCIPAL VA TRAILS BUY 1 Units @0.0000	0.00	2,005.13	0.00	2,005.13	0.5	10.03
04/02/2018	***-**-24IN - INS, CHITTENDEN ACCOUNT #: 00312906459	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	17.41	0.00	17.41	0.5	0.09
03/31/2018	***-**-833I - REYNOLDS, THOMAS ACCOUNT #: 02577013424	QUEST BALANCED A BUY 0 Units @0.0000	0.00	21.68	0.00	21.68	0.5	0.11



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JOSEPH FERRY (continued) </u>								
03/31/2018	***-**-966I - MASCARO, HOLLY	QUEST BALANCED A	0.00	5.40	0.00	5.40	0.5	0.03
	ACCOUNT #: 02577013435	BUY 0 Units @0.0000						
03/31/2018	***-**-6833 - REYNOLDS, THOMAS	QUEST BALANCED B	0.00	1.04	0.00	1.04	0.5	0.01
	ACCOUNT #: 02584956182	BUY 0 Units @0.0000						
03/31/2018	***-**-2332 - DROZDENKO, ROBIN	QUEST INTERNATIONAL VALUE FUND, INC	0.00	1.91	0.00	1.91	0.5	0.01
	ACCOUNT #: 02541058596	BUY 0 Units @0.0000						
03/31/2018	***-**-2332 - DROZDENKO, ROBIN	RISING DIVIDENDS FUND A	0.00	2.52	0.00	2.52	0.5	0.01
	ACCOUNT #: 02253493028	BUY 0 Units @0.0000						
04/16/2018	***-**-963I - MORRO, JAMES	SAMMONS MF TRAILS	0.00	61.69	0.00	61.69	0.5	0.31
	ACCOUNT #: 7200018502	BUY 0 Units @0.0000						
04/16/2018	***-**-176I - RIOS, CARLOS	SAMMONS MF TRAILS	0.00	13.62	0.00	13.62	0.5	0.07
	ACCOUNT #: 7200020442	BUY 0 Units @0.0000						
04/16/2018	***-**-358I - KALLIPOLITES,	SAMMONS MF TRAILS	0.00	45.01	0.00	45.01	0.5	0.23
	ACCOUNT #: 7200022756	BUY 0 Units @0.0000						
03/31/2018	***-**-32SI - GAUDIOSI, JANE	STRATEGIC INCOME FUND C	0.00	53.50	0.00	53.50	0.5	0.27
	ACCOUNT #: 02322798092	BUY 0 Units @0.0000						
04/02/2018	***-**-01IN - PELLETIER, KELLY	TEMP GLOBAL BOND FND - CL A	75.00	2.10	0.00	2.10	0.5	0.01
	ACCOUNT #: 000006984020841	BUY 6 Units @12.3700						
03/31/2018	***-**-2332 - DROZDENKO, ROBIN	VALUE FUND A	0.00	1.21	0.00	1.21	0.5	0.01
	ACCOUNT #: 03752279541	BUY 0 Units @0.0000						
* JOSEPH FERRY SUBTOTAL *			\$4,826.61	\$5,860.94	\$0.00	\$5,860.94		\$29.39

BROKER: SANDINO VERRELLI

04/16/2018	***-**-358O - BALAGTAS,	FRANKLIN CONNECTICUT TAX FREE INCOM	0.00	1.11	0.00	1.11	0.5	0.01
	ACCOUNT #: LSR007714	BUY 1 Units @0.0000						
04/01/2018	***-**-53CL - VERRELLI,	INVESCO EQUALLY WEIGHTED S&P 500 A	0.00	2.70	0.00	2.70	0.5	0.01
	ACCOUNT #: 07122869085	BUY 0 Units @0.0000						
04/01/2018	***-**-53CL - VERRELLI,	MFS MF TRAILS 552746802	0.00	100.14	0.00	100.14	0.5	0.50
	ACCOUNT #: 00090001228	BUY 0 Units @0.0000						
04/02/2018	***-**-632O - BELL, ASHLEY	PUTNAM ASSET ALLOC CONSERV-A	0.00	8.98	0.00	8.98	0.5	0.04
	ACCOUNT #: 00551118025	BUY 0 Units @0.0000						
04/16/2018	***-**-49I2 - MATTHEWS, BRIAN	SAMMONS MF TRAILS	0.00	5.65	0.00	5.65	0.5	0.03
	ACCOUNT #: 7200000831	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ROGER LUNDY (continued)</u>								
		* SANDINO VERRELLI SUBTOTAL *	\$0.00	\$118.58	\$0.00	\$118.58		\$0.59
<u>BROKER: ROGER LUNDY</u>								
04/09/2018	***-**-37IN - BROOKSHIRE, ACCOUNT #: 04765880016	ALLIANCEBERNSTEIN BALANCED SHARES A BUY 0 Units @0.0000	0.00	74.14	0.00	74.14	0.5	0.37
04/12/2018	***-**-526I - MASON, YVETTE ACCOUNT #: 016069455	NATIONWIDE CUSIP 638942714-NSCC BUY 0 Units @0.0000	5,000.00	312.50	0.00	312.50	0.5	1.56
04/16/2018	***-**-402J - REIDER, EMANUEL	NUVEEN MF TRAILS BUY 0 Units @0.0000	0.00	63.46	0.00	63.46	0.5	0.32
04/16/2018	***-**-488J - PATTON, FRED ACCOUNT #: 4327974	NUVEEN MF TRAILS BUY 0 Units @0.0000	0.00	235.72	0.00	235.72	0.5	1.18
04/16/2018	***-**-526O - MASON, YVETTE ACCOUNT #: LSR010962	NUVEEN PENNSYLVANIA MUNI BD A BUY 1 Units @0.0000	0.00	7.63	0.00	7.63	0.5	0.04
04/16/2018	***-**-639J - DAVIS, JAMES ACCOUNT #: LSR011706	NUVEEN PENNSYLVANIA MUNI BD A BUY 1 Units @0.0000	0.00	8.38	0.00	8.38	0.5	0.04
		* ROGER LUNDY SUBTOTAL *	\$5,000.00	\$701.83	\$0.00	\$701.83		\$3.51
<u>BROKER: LAMONT PARKER</u>								
04/16/2018	***-**-381I - DUNN, ELSIE ACCOUNT #: LSR010517	DAVIS NEW YORK VENTURE CLASS A BUY 1 Units @0.0000	0.00	1.29	0.00	1.29	0.5	0.01
		* LAMONT PARKER SUBTOTAL *	\$0.00	\$1.29	\$0.00	\$1.29		\$0.01
<u>BROKER: ALEX GEORGIEV</u>								
04/02/2018	***-**-98IR - PERRY, ABBY ACCOUNT #: 00248942140	37252M108 BUY 0 Units @0.0000	0.00	2.35	0.00	2.35	0.5	0.01
04/02/2018	***-**-785I - ENIS, JOHN B ACCOUNT #: 00385420398	37252M108 BUY 0 Units @0.0000	0.00	4.28	0.00	4.28	0.5	0.02
04/02/2018	***-**-71IN - PIERPOINT, NANCY ACCOUNT #: 00482509641	37252M108 BUY 0 Units @0.0000	0.00	21.60	0.00	21.60	0.5	0.11
04/02/2018	***-**-680I - ENIS, LINDA ACCOUNT #: 00550915196	37252M108 BUY 0 Units @0.0000	0.00	18.55	0.00	18.55	0.5	0.09
04/02/2018	***-**-785I - ENIS, JOHN B ACCOUNT #: 00550947194	37252M108 BUY 0 Units @0.0000	0.00	8.10	0.00	8.10	0.5	0.04



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/09/2018	***-**-59CL - ROSENBERG, ACCOUNT #: 04793987086	AB GLOABAL RISK ALLOCATION R BUY 0 Units @0.0000	0.00	92.54	0.00	92.54	0.5	0.46
03/31/2018	***-**-4139 - DEGRANDIS, JOHN ACCOUNT #: 05530111826	ACTIVE ALLOCATION FUND N BUY 0 Units @0.0000	0.00	5.59	0.00	5.59	0.5	0.03
04/01/2018	***-**-3904 - DENNIS, CONNOR ACCOUNT #: 01001280243	AIM ASIA PACIFIC GROWTH FUND - CL A BUY 0 Units @0.0000	0.00	1.12	0.00	1.12	0.5	0.01
04/01/2018	***-**-45IR - HAHN, SHAUN ACCOUNT #: 03909298923	AIM CASH RESERVE SHARES BUY 0 Units @0.0000	0.00	1.78	0.00	1.78	0.5	0.01
04/01/2018	***-**-269I - EMOND, BRUCE ACCOUNT #: 03913073221	AIM CASH RESERVE SHARES BUY 0 Units @0.0000	0.00	23.70	0.00	23.70	0.5	0.12
04/01/2018	***-**-657P - NEWELL, JODI ACCOUNT #: 03910228489	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	11.07	0.00	11.07	0.5	0.06
04/01/2018	***-**-37UG - KALU, MICHAEL ACCOUNT #: 00115767116	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	3.61	0.00	3.61	0.5	0.02
04/01/2018	***-**-515P - DODD UGMA/IL, ACCOUNT #: 01001225717	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	4.65	0.00	4.65	0.5	0.02
04/01/2018	***-**-22IR - KRAMER, TED ACCOUNT #: 03909720611	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	8.33	0.00	8.33	0.5	0.04
04/01/2018	***-**-22UG - STRIEBE UTMT, ACCOUNT #: 03909931689	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	2.04	0.00	2.04	0.5	0.01
04/01/2018	***-**-335I - BRUGGER, JUDITH ACCOUNT #: 03910018369	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	2.07	0.00	2.07	0.5	0.01
04/01/2018	***-**-68UG - KALU, VICTORIA ACCOUNT #: 03910075484	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	4.76	0.00	4.76	0.5	0.02
04/01/2018	***-**-355I - WILLIAMS, ACCOUNT #: 03912814344	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	2.16	0.00	2.16	0.5	0.01
04/01/2018	***-**-269I - EMOND, BRUCE ACCOUNT #: 03913073221	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	1.22	0.00	1.22	0.5	0.01
04/01/2018	***-**-71IN - GLEASON, JAMES ACCOUNT #: 04028287524	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	3.25	0.00	3.25	0.5	0.02
04/01/2018	***-**-28IN - PALMER, GUNDA ACCOUNT #: 04029020890	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	6.24	0.00	6.24	0.5	0.03



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-43IN - MILLING, SANDRA	AIM CHARTER FUND - CLASS A	0.00	7.44	0.00	7.44	0.5	0.04
	ACCOUNT #: 04029112309	BUY 0 Units @0.0000						
04/01/2018	***-**-455P - KALU, JACOB	AIM CHARTER FUND - CLASS A	0.00	2.57	0.00	2.57	0.5	0.01
	ACCOUNT #: 05000738996	BUY 0 Units @0.0000						
04/01/2018	***-**-540I - LOHR, JEANINE	AIM CHARTER FUND - CLASS A	0.00	34.56	0.00	34.56	0.5	0.17
	ACCOUNT #: 05018549716	BUY 0 Units @0.0000						
04/01/2018	***-**-404I - ROEHRICH, DULCE	AIM CHARTER FUND - CLASS A	0.00	3.65	0.00	3.65	0.5	0.02
	ACCOUNT #: 05024554932	BUY 0 Units @0.0000						
04/01/2018	***-**-460I - COHEN, NORMAN	AIM CHARTER FUND - CLASS A	0.00	43.73	0.00	43.73	0.5	0.22
	ACCOUNT #: 05025653493	BUY 0 Units @0.0000						
04/01/2018	***-**-435P - CARLESSO,	AIM CHARTER FUND - CLASS A	0.00	1.20	0.00	1.20	0.5	0.01
	ACCOUNT #: 05026544014	BUY 0 Units @0.0000						
04/01/2018	***-**-2230 - BABYLON, JOHN	AIM CHARTER FUND - CLASS A	0.00	1.78	0.00	1.78	0.5	0.01
	ACCOUNT #: 05032117722	BUY 0 Units @0.0000						
04/01/2018	***-**-0804 - GALE, MARY	AIM CHARTER FUND - CLASS A	0.00	4.22	0.00	4.22	0.5	0.02
	ACCOUNT #: 05013755110	BUY 0 Units @0.0000						
04/01/2018	***-**-94IN - BOWERS, DEBORAH	AIM CHARTER FUND - CLASS A	0.00	8.90	0.00	8.90	0.5	0.04
	ACCOUNT #: 03809277852	BUY 0 Units @0.0000						
04/01/2018	***-**-10UG - APOSTOLOS,	AIM CHARTER FUND - CLASS A	0.00	13.00	0.00	13.00	0.5	0.07
	ACCOUNT #: 03909785796	BUY 0 Units @0.0000						
04/01/2018	***-**-21UG - APOSTOLOS,	AIM CHARTER FUND - CLASS A	0.00	16.25	0.00	16.25	0.5	0.08
	ACCOUNT #: 04028912279	BUY 0 Units @0.0000						
04/01/2018	***-**-68UG - APOSTOLOS,	AIM CHARTER FUND - CLASS A	0.00	16.23	0.00	16.23	0.5	0.08
	ACCOUNT #: 04028912287	BUY 0 Units @0.0000						
04/01/2018	***-**-71IN - WOODS, ROBERT	AIM CHARTER FUND - CLASS A	0.00	10.11	0.00	10.11	0.5	0.05
	ACCOUNT #: 05002565298	BUY 0 Units @0.0000						
04/01/2018	***-**-156P - RUDOLPH, RACHAEL	AIM CHARTER FUND - CLASS C	0.00	2.70	0.00	2.70	0.5	0.01
	ACCOUNT #: 03910026990	BUY 0 Units @0.0000						
04/01/2018	***-**-7092 -	AIM DEVELOPING MARKETS FUND CLASS A	0.00	1.28	0.00	1.28	0.5	0.01
	ACCOUNT #: 00671948367	BUY 0 Units @0.0000						
04/01/2018	***-**-0804 - GALE, MARY	AIM DEVELOPING MARKETS FUND CLASS A	0.00	4.42	0.00	4.42	0.5	0.02
	ACCOUNT #: 05013755110	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-7193 - GALE, WALTER	AIM DEVELOPING MARKETS FUND CLASS A	0.00	2.24	0.00	2.24	0.5	0.01
	ACCOUNT #: 05013755144	BUY 0 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	AIM DEVELOPING MARKETS FUND CLASS A	0.00	8.69	0.00	8.69	0.5	0.04
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
04/01/2018	***-**-265I - SHEKMAN, MICHAEL	AIM DIVERSIFIED DIVIDEND FUND - CL	0.00	1.30	0.00	1.30	0.5	0.01
	ACCOUNT #: 03910734502	BUY 0 Units @0.0000						
04/01/2018	***-**-264I - SHEKMAN, TANYA	AIM DIVERSIFIED DIVIDEND FUND - CL	0.00	1.30	0.00	1.30	0.5	0.01
	ACCOUNT #: 04040466536	BUY 0 Units @0.0000						
04/01/2018	***-**-28RI - FULHORST, MARY	AIM EUROPEAN GROWTH FUND - CLASS A	0.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 03809041431	BUY 0 Units @0.0000						
04/01/2018	***-**-3754 - MAHER, EDWARD	AIM EUROPEAN SMALL COMPANY FUND - C	0.00	9.11	0.00	9.11	0.5	0.05
	ACCOUNT #: 01000148935	BUY 0 Units @0.0000						
04/01/2018	***-**-3904 - DENNIS, CONNOR	AIM EUROPEAN SMALL COMPANY FUND - C	0.00	1.62	0.00	1.62	0.5	0.01
	ACCOUNT #: 01001280243	BUY 0 Units @0.0000						
04/01/2018	***-**-6155 - LIPKOWITZ, VICKI	AIM EUROPEAN SMALL COMPANY FUND - C	0.00	7.49	0.00	7.49	0.5	0.04
	ACCOUNT #: 05013754394	BUY 0 Units @0.0000						
04/01/2018	***-**-2773 - DASARO, ANN	AIM EUROPEAN SMALL COMPANY FUND - C	0.00	3.21	0.00	3.21	0.5	0.02
	ACCOUNT #: 05019765972	BUY 0 Units @0.0000						
04/01/2018	***-**-872I - NEWGAARD, DAVID	AIM GLOBAL GROWTH FUND - CLASS A	0.00	3.39	0.00	3.39	0.5	0.02
	ACCOUNT #: 03870048117	BUY 0 Units @0.0000						
04/01/2018	***-**-72IR - NEWGAARD, DAVID	AIM GLOBAL GROWTH FUND - CLASS A	0.00	5.65	0.00	5.65	0.5	0.03
	ACCOUNT #: 03870048125	BUY 0 Units @0.0000						
04/01/2018	***-**-37IR - NEWGAARD, JERI	AIM GLOBAL GROWTH FUND - CLASS A	0.00	6.60	0.00	6.60	0.5	0.03
	ACCOUNT #: 03870048133	BUY 0 Units @0.0000						
04/01/2018	***-**-43IN - MILLING, SANDRA	AIM GLOBAL GROWTH FUND - CLASS A	0.00	3.20	0.00	3.20	0.5	0.02
	ACCOUNT #: 05002810298	BUY 0 Units @0.0000						
04/01/2018	***-**-404I - ROEHRICH, DULCE	AIM GLOBAL GROWTH FUND - CLASS A	0.00	1.22	0.00	1.22	0.5	0.01
	ACCOUNT #: 05024554932	BUY 0 Units @0.0000						
04/01/2018	***-**-626I - ESKIN, RICHARD	AIM GLOBAL GROWTH FUND - CLASS A	0.00	2.51	0.00	2.51	0.5	0.01
	ACCOUNT #: 04040005714	BUY 0 Units @0.0000						
04/01/2018	***-**-71IN - WOODS, ROBERT	AIM GLOBAL GROWTH FUND - CLASS A	0.00	9.45	0.00	9.45	0.5	0.05
	ACCOUNT #: 05002565298	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-423I - RHODIN, VICTORIA	AIM GLOBAL HEALTH CARE FUND CLASS A	0.00	1.84	0.00	1.84	0.5	0.01
	ACCOUNT #: 07003538308	BUY 0 Units @0.0000						
04/01/2018	***-**-155I - KALU, UKEGBU	AIM GLOBAL HEALTH CARE FUND CLASS A	0.00	5.07	0.00	5.07	0.5	0.03
	ACCOUNT #: 07003619389	BUY 0 Units @0.0000						
04/16/2018	***-**-22SI - PROUL, JEFFRY	AIM GLOBAL HEALTH CARE FUND CLASS A	0.00	1.84	0.00	1.84	0.5	0.01
	ACCOUNT #: LSR000175	BUY 1 Units @0.0000						
04/01/2018	***-**-6502 - MANCHESTER,	AIM GLOBAL VALUE FUND - CLASS A	0.00	4.03	0.00	4.03	0.5	0.02
	ACCOUNT #: 00672132485	BUY 0 Units @0.0000						
04/16/2018	***-**-60TR - BLANCHARD TRUST,	AIM GLOBAL VALUE FUND - CLASS A	0.00	5.34	0.00	5.34	0.5	0.03
	ACCOUNT #: LSR010327	BUY 1 Units @0.0000						
04/01/2018	***-**-864O - PASATIEMPO, ANA	AIM GROWTH ALLOCATION FUND - CLASS	0.00	4.36	0.00	4.36	0.5	0.02
	ACCOUNT #: 00777106643	BUY 0 Units @0.0000						
04/01/2018	***-**-28IN - PALMER, GUNDA	AIM HIGH YIELD FUND - CLASS A	0.00	2.26	0.00	2.26	0.5	0.01
	ACCOUNT #: 04029020890	BUY 0 Units @0.0000						
04/01/2018	***-**-71IN - KAPLANE, STELLA	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	23.42	0.00	23.42	0.5	0.12
	ACCOUNT #: 00670420691	BUY 0 Units @0.0000						
04/01/2018	***-**-392J - DUNCAN, JEFFREY	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	1.70	0.00	1.70	0.5	0.01
	ACCOUNT #: 00670500928	BUY 0 Units @0.0000						
04/01/2018	***-**-240J - SGRIITA, ALFONSO	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	4.88	0.00	4.88	0.5	0.02
	ACCOUNT #: 00670509825	BUY 0 Units @0.0000						
04/01/2018	***-**-953J -	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	15.47	0.00	15.47	0.5	0.08
	ACCOUNT #: 00670610500	BUY 0 Units @0.0000						
04/01/2018	***-**-953J -	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	10.20	0.00	10.20	0.5	0.05
	ACCOUNT #: 00670610501	BUY 0 Units @0.0000						
04/01/2018	***-**-47IN - LITTLEJOHN,	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	17.08	0.00	17.08	0.5	0.09
	ACCOUNT #: 00670647814	BUY 0 Units @0.0000						
04/01/2018	***-**-600I - STENSON, WILLIAM	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	4.68	0.00	4.68	0.5	0.02
	ACCOUNT #: 04400086248	BUY 0 Units @0.0000						
04/01/2018	***-**-269I - EMOND, BRUCE	AIM INTERNATIONAL GROWTH FUND - CL	0.00	15.02	0.00	15.02	0.5	0.08
	ACCOUNT #: 03913073221	BUY 0 Units @0.0000						
04/01/2018	***-**-28IN - PALMER, GUNDA	AIM INTERNATIONAL GROWTH FUND - CL	0.00	2.25	0.00	2.25	0.5	0.01
	ACCOUNT #: 04029020890	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/16/2018	***-**-60TR - BLANCHARD TRUST, ACCOUNT #: LSR010327	AIM INTERNATIONAL GROWTH FUND - CL BUY 1 Units @0.0000	0.00	4.98	0.00	4.98	0.5	0.02
04/01/2018	***-**-3754 - MAHER, EDWARD ACCOUNT #: 01000148935	AIM INTERNATIONAL SMALL CO FUND- CL BUY 0 Units @0.0000	0.00	6.19	0.00	6.19	0.5	0.03
04/01/2018	***-**-0804 - GALE, MARY ACCOUNT #: 05013755110	AIM INTERNATIONAL SMALL CO FUND- CL BUY 0 Units @0.0000	0.00	7.80	0.00	7.80	0.5	0.04
04/01/2018	***-**-7193 - GALE, WALTER ACCOUNT #: 05013755144	AIM INTERNATIONAL SMALL CO FUND- CL BUY 0 Units @0.0000	0.00	3.92	0.00	3.92	0.5	0.02
04/01/2018	***-**-2773 - DASARO, ANN ACCOUNT #: 05019765972	AIM INTERNATIONAL SMALL CO FUND- CL BUY 0 Units @0.0000	0.00	3.95	0.00	3.95	0.5	0.02
04/01/2018	***-**-269I - EMOND, BRUCE ACCOUNT #: 03913073221	AIM INTL CORE EQUITY FUND - CL A BUY 0 Units @0.0000	0.00	15.70	0.00	15.70	0.5	0.08
04/01/2018	***-**-6155 - LIPKOWITZ, VICKI ACCOUNT #: 01001275656	AIM INV 001419514 BUY 0 Units @0.0000	0.00	116.40	0.00	116.40	0.5	0.58
04/01/2018	***-**-995P - VALLIE, PAULA ACCOUNT #: 03808986321	AIM MID-CAP EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	6.96	0.00	6.96	0.5	0.03
04/01/2018	***-**-525P - PEARSON, M ACCOUNT #: 05072148074	AIM MID-CAP EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	26.23	0.00	26.23	0.5	0.13
04/01/2018	***-**-155I - KALU, UKEGBU ACCOUNT #: 07003158586	AIM MID-CAP EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	3.09	0.00	3.09	0.5	0.02
04/01/2018	***-**-582I - LA VAN, PATRICK ACCOUNT #: 07003199770	AIM MID-CAP EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	26.60	0.00	26.60	0.5	0.13
04/01/2018	***-**-305P - GADWAY, MARCIA ACCOUNT #: 07003546863	AIM MID-CAP EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	5.45	0.00	5.45	0.5	0.03
04/01/2018	***-**-451I - ROY, DEBORAH ACCOUNT #: 07003604126	AIM MODERATE ALLOCATION - CLASS A BUY 0 Units @0.0000	0.00	5.95	0.00	5.95	0.5	0.03
04/01/2018	***-**-28RI - FULHORST, MARY ACCOUNT #: 03809041431	AIM REAL ESTATE FUND - CLASS A BUY 0 Units @0.0000	0.00	4.54	0.00	4.54	0.5	0.02
04/01/2018	***-**-6502 - MANCHESTER, ACCOUNT #: 00672132485	AIM REAL ESTATE FUND - CLASS A BUY 0 Units @0.0000	0.00	1.51	0.00	1.51	0.5	0.01
04/01/2018	***-**-0804 - GALE, MARY ACCOUNT #: 05013755110	AIM REAL ESTATE FUND - CLASS A BUY 0 Units @0.0000	0.00	5.60	0.00	5.60	0.5	0.03



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-7193 - GALE, WALTER	AIM REAL ESTATE FUND - CLASS A	0.00	8.28	0.00	8.28	0.5	0.04
	ACCOUNT #: 05013755144	BUY 0 Units @0.0000						
04/16/2018	***-**-371I - MASELLI, PIER	AIM REAL ESTATE FUND - CLASS A	0.00	2.39	0.00	2.39	0.5	0.01
	ACCOUNT #: LSR009172	BUY 1 Units @0.0000						
04/16/2018	***-**-468I - FERA, ANGELO	AIM REAL ESTATE FUND - CLASS A	0.00	1.13	0.00	1.13	0.5	0.01
	ACCOUNT #: LSR009598	BUY 1 Units @0.0000						
04/16/2018	***-**-141I - FELICETTI, MARY	AIM REAL ESTATE FUND - CLASS A	0.00	2.32	0.00	2.32	0.5	0.01
	ACCOUNT #: LSR009695	BUY 1 Units @0.0000						
04/16/2018	***-**-521O - MCCUNE, ELAINE	AIM REAL ESTATE FUND - CLASS A	0.00	1.12	0.00	1.12	0.5	0.01
	ACCOUNT #: LSR009962	BUY 1 Units @0.0000						
04/16/2018	***-**-989I - MCCUNE, FRANK	AIM REAL ESTATE FUND - CLASS A	0.00	1.57	0.00	1.57	0.5	0.01
	ACCOUNT #: LSR010237	BUY 1 Units @0.0000						
04/16/2018	***-**-960I - METCHIS, STACY	AIM REAL ESTATE FUND - CLASS A	0.00	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: LSR012191	BUY 1 Units @0.0000						
04/01/2018	***-**-590I - LOEWE, VICTORIA	AIM SMALL CAP GROWTH FUND - CLASS A	0.00	1.66	0.00	1.66	0.5	0.01
	ACCOUNT #: 05057016999	BUY 0 Units @0.0000						
04/01/2018	***-**-269I - EMOND, BRUCE	AIM TECHNOLOGY FUND - CLASS A	0.00	3.48	0.00	3.48	0.5	0.02
	ACCOUNT #: 03913073221	BUY 0 Units @0.0000						
04/09/2018	***-**-413J - OBERT, DAVID	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	1.44	0.00	1.44	0.5	0.01
	ACCOUNT #: 04700110048	BUY 0 Units @0.0000						
04/09/2018	***-**-755P - OBERT SEP, DAVID	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	14.93	0.00	14.93	0.5	0.07
	ACCOUNT #: 04700126480	BUY 0 Units @0.0000						
04/09/2018	***-**-70UG - NAPOLITANO,	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	3.35	0.00	3.35	0.5	0.02
	ACCOUNT #: 04700173033	BUY 0 Units @0.0000						
04/09/2018	***-**-75UG - NAPOLITANO, RYAN	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	2.06	0.00	2.06	0.5	0.01
	ACCOUNT #: 04700173034	BUY 0 Units @0.0000						
04/09/2018	***-**-898I - VALDES, ANGELINA	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	1.14	0.00	1.14	0.5	0.01
	ACCOUNT #: 04700469419	BUY 0 Units @0.0000						
04/09/2018	***-**-99RI - BOUDREAU, DEIDRE	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	1.58	0.00	1.58	0.5	0.01
	ACCOUNT #: 04700472041	BUY 0 Units @0.0000						
04/09/2018	***-**-19RI - BOLAKOWSKI,	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	1.40	0.00	1.40	0.5	0.01
	ACCOUNT #: 04718380545	BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/09/2018	***-**-755P - OBERT SEP, DAVID	ALLIANCE BERNSTEIN LARGE-CAP GROWTH	0.00	22.20	0.00	22.20	0.5	0.11
	ACCOUNT #: 04700126480	BUY 0 Units @0.0000						
04/09/2018	***-**-954I - BRIONES, LIONEL	ALLIANCEBERNSTEIN EMERG MKT DEBT A	0.00	2.84	0.00	2.84	0.5	0.01
	ACCOUNT #: 04700358880	BUY 0 Units @0.0000						
04/09/2018	***-**-3283 - WEELE, PAUL A	ALLIANCEBERNSTEIN FOCUSED GRTH & IN	0.00	9.16	0.00	9.16	0.5	0.05
	ACCOUNT #: 04752064711	BUY 0 Units @0.0000						
04/09/2018	***-**-3283 - WEELE, PAUL A	ALLIANCEBERNSTEIN FOCUSED GRTH & IN	0.00	2.10	0.00	2.10	0.5	0.01
	ACCOUNT #: 04752064711	BUY 0 Units @0.0000						
04/09/2018	***-**-755P - OBERT SEP, DAVID	ALLIANCEBERNSTEIN GLOBAL TECHNOLOGY	0.00	14.91	0.00	14.91	0.5	0.07
	ACCOUNT #: 04700126480	BUY 0 Units @0.0000						
04/09/2018	***-**-69IN - FOULK, FLOYD	ALLIANCEBERNSTEIN GROWTH A	0.00	5.70	0.00	5.70	0.5	0.03
	ACCOUNT #: 03310275876	BUY 0 Units @0.0000						
04/09/2018	***-**-70UG - NAPOLITANO,	ALLIANCEBERNSTEIN GROWTH A	0.00	6.23	0.00	6.23	0.5	0.03
	ACCOUNT #: 04700173033	BUY 0 Units @0.0000						
04/09/2018	***-**-3016 - SAFRANEK,	ALLIANCEBERNSTEIN GROWTH A	0.00	2.70	0.00	2.70	0.5	0.01
	ACCOUNT #: 04700248904	BUY 0 Units @0.0000						
04/09/2018	***-**-99RI - BOUDREAU, DEIDRE	ALLIANCEBERNSTEIN GROWTH A	0.00	1.99	0.00	1.99	0.5	0.01
	ACCOUNT #: 04700472041	BUY 0 Units @0.0000						
04/09/2018	***-**-30UG - BONSIGNORE,	ALLIANCEBERNSTEIN GROWTH A	0.00	1.94	0.00	1.94	0.5	0.01
	ACCOUNT #: 04703706130	BUY 0 Units @0.0000						
04/09/2018	***-**-8318 - GOLDBOR, DALIA	ALLIANCEBERNSTEIN GROWTH A	0.00	2.20	0.00	2.20	0.5	0.01
	ACCOUNT #: 04700432883	BUY 0 Units @0.0000						
04/16/2018	***-**-69IN - FOULK, FLOYD	ALLIANCEBERNSTEIN GROWTH A	50.00	2.00	0.00	2.00	0.5	0.01
	ACCOUNT #: 03310275876	BUY 0 Units @0.0000						
04/09/2018	***-**-954I - BRIONES, LIONEL	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	7.60	0.00	7.60	0.5	0.04
	ACCOUNT #: 04700358880	BUY 0 Units @0.0000						
04/09/2018	***-**-996I - ABOBON,	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	2.67	0.00	2.67	0.5	0.01
	ACCOUNT #: 04700430369	BUY 0 Units @0.0000						
04/09/2018	***-**-6108 - FERNANDEZ, SUSAN	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	5.64	0.00	5.64	0.5	0.03
	ACCOUNT #: 04752064689	BUY 0 Units @0.0000						
04/09/2018	***-**-3283 - WEELE, PAUL A	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	7.02	0.00	7.02	0.5	0.04
	ACCOUNT #: 04752064711	BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/09/2018	***-**-3283 - WEELE, PAUL A	ALLIANCEBERNSTEIN GROWTH AND INC B	0.00	2.66	0.00	2.66	0.5	0.01
	ACCOUNT #: 04752064711	BUY 0 Units @0.0000						
04/09/2018	***-**-396J - CARSON, DIANE &	ALLIANCEBERNSTEIN INTL VALUE A	0.00	1.42	0.00	1.42	0.5	0.01
	ACCOUNT #: 04700138282	BUY 0 Units @0.0000						
04/09/2018	***-**-755P - OBERT SEP, DAVID	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	21.16	0.00	21.16	0.5	0.11
	ACCOUNT #: 04700126480	BUY 0 Units @0.0000						
04/09/2018	***-**-70UG - NAPOLITANO,	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	7.75	0.00	7.75	0.5	0.04
	ACCOUNT #: 04700173033	BUY 0 Units @0.0000						
04/09/2018	***-**-75UG - NAPOLITANO, RYAN	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	1.22	0.00	1.22	0.5	0.01
	ACCOUNT #: 04700173034	BUY 0 Units @0.0000						
04/09/2018	***-**-68UG - BOSKO, CARSON	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	1.15	0.00	1.15	0.5	0.01
	ACCOUNT #: 04700258892	BUY 0 Units @0.0000						
04/09/2018	***-**-73IN - DIMASCIO, RONALD	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	1.90	0.00	1.90	0.5	0.01
	ACCOUNT #: 04700265662	BUY 0 Units @0.0000						
04/09/2018	***-**-5323 - PIERCE, SHARON	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	2.96	0.00	2.96	0.5	0.01
	ACCOUNT #: 04700306063	BUY 0 Units @0.0000						
04/09/2018	***-**-1106 - SCHERER, KRISTI	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	3.36	0.00	3.36	0.5	0.02
	ACCOUNT #: 04700310859	BUY 0 Units @0.0000						
04/09/2018	***-**-7532 - MELTZER,	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	4.40	0.00	4.40	0.5	0.02
	ACCOUNT #: 04700439673	BUY 0 Units @0.0000						
04/09/2018	***-**-99RI - BOUDREAU, DEIDRE	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	2.76	0.00	2.76	0.5	0.01
	ACCOUNT #: 04700472041	BUY 0 Units @0.0000						
04/09/2018	***-**-19RI - BOLAKOWSKI,	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	2.33	0.00	2.33	0.5	0.01
	ACCOUNT #: 04718380545	BUY 0 Units @0.0000						
04/09/2018	***-**-8318 - GOLDBERG, DALIA	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	3.08	0.00	3.08	0.5	0.02
	ACCOUNT #: 04700432883	BUY 0 Units @0.0000						
04/09/2018	***-**-80UG - FOULK, ANDREW A	ALLIANCEBERNSTEIN SMALL CAP GROWTH	0.00	2.67	0.00	2.67	0.5	0.01
	ACCOUNT #: 04700127240	BUY 0 Units @0.0000						
04/09/2018	***-**-69UG - FOULK, NICHOLAS	ALLIANCEBERNSTEIN SMALL CAP GROWTH	0.00	2.34	0.00	2.34	0.5	0.01
	ACCOUNT #: 04700127241	BUY 0 Units @0.0000						
04/09/2018	***-**-09UG - FOULK, EDWARD W	ALLIANCEBERNSTEIN SMALL CAP GROWTH	0.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 04700127242	BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/09/2018	***-**-68UG - BOSKO, CARSON	ALLIANCEBERNSTEIN SMALL CAP GROWTH	0.00	1.28	0.00	1.28	0.5	0.01
	ACCOUNT #: 04700258892	BUY 0 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	ALLIANZ NFJ LARGE CAP VALUE FUND CL	0.00	3.89	0.00	3.89	0.5	0.02
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
04/16/2018	***-**-033I - KATZENBERGER,	ALLIANZ NFJ LARGE CAP VALUE FUND CL	0.00	1.36	0.00	1.36	0.5	0.01
	ACCOUNT #: LSR011507	BUY 1 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	ALLIANZ OCC RENAISSANCE FUND CLASS	0.00	5.70	0.00	5.70	0.5	0.03
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
04/16/2018	***-**-033I - KATZENBERGER,	ALLIANZ OCC RENAISSANCE FUND CLASS	0.00	2.07	0.00	2.07	0.5	0.01
	ACCOUNT #: LSR011507	BUY 1 Units @0.0000						
04/16/2018	***-**-70IN - CUTILLO, JAMES	ALLIANZ OCC RENAISSANCE FUND CLASS	0.00	1.89	0.00	1.89	0.5	0.01
	ACCOUNT #: LSR011647	BUY 1 Units @0.0000						
04/16/2018	***-**-671O - EVA JAYNE	ALLIANZGI ULTRA MICRO CAP CL A	0.00	1.33	0.00	1.33	0.5	0.01
	ACCOUNT #: LSR011403	BUY 1 Units @0.0000						
04/06/2018	***-**-025P - PROKUDA, BRIAN	AMCAP FUND-A	1,500.00	24.00	0.00	24.00	0.5	0.12
	ACCOUNT #: 00068542684	BUY 46 Units @32.5700						
04/06/2018	***-**-025P - PROKUDA, BRIAN	AMCAP FUND-A	210.00	3.36	0.00	3.36	0.5	0.02
	ACCOUNT #: 00068542684	BUY 6 Units @32.5700						
04/02/2018	***-**-265P - KELLY, BENJAMIN	AMERICAN BALANCED FUND-529A	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 00082209027	BUY 2 Units @27.9600						
04/02/2018	***-**-212I - SNEED, DAVID	AMERICAN BALANCED FUND-A	152.90	1.53	0.00	1.53	0.5	0.01
	ACCOUNT #: 00088678532	BUY 6 Units @26.3900						
04/02/2018	***-**-212I - SNEED, DAVID	AMERICAN BALANCED FUND-A	750.00	7.50	0.00	7.50	0.5	0.04
	ACCOUNT #: 00088678532	BUY 28 Units @26.3900						
04/02/2018	***-**-064J - HALL, AMY	AMERICAN DEVELOPING WRLD GRWTH & IN	250.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: 00083146232	BUY 22 Units @11.3700						
04/12/2018	***-**-335J - HARWOOD, ARLENE	AMERICAN FUNDAMENTAL INV. CL F2-NFS	30.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012061	SELL 0 Units @62.5000						
04/02/2018	***-**-205P - BISCOTTI,	AMERICAN FUNDS 2030 TARGET DATE-A	30.00	1.13	0.00	1.13	0.5	0.01
	ACCOUNT #: 00064937834	BUY 2 Units @14.8800						
04/02/2018	***-**-08IR - ROSS, GERALD J	AMERICAN FUNDS 2030 TARGET DATE-A	100.00	5.00	0.00	5.00	0.5	0.03
	ACCOUNT #: 00081116941	BUY 7 Units @15.0800						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/02/2018	***-**-13IR - LABUE, CHRISTINE	AMERICAN FUNDS 2045 TARGET DATE-A	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 00085542538	BUY 3 Units @16.1600						
04/04/2018	***-**-94SI - BOGGS, BRENT	AMERICAN FUNDS 2050 TARGET DATE-A	100.00	4.25	0.00	4.25	0.5	0.02
	ACCOUNT #: 00087537777	BUY 6 Units @15.9500						
04/04/2018	***-**-9004 - KRASNER, DAVID	AMERICAN FUNDS 2055 TARGET DATE-A	70.00	2.98	0.00	2.98	0.5	0.01
	ACCOUNT #: 04000492680	BUY 4 Units @19.8500						
04/05/2018	***-**-65CL - LIFEMARK,	AMERICAN FUNDS 401K TRAILS	0.00	220.86	0.00	220.86	0.5	1.10
	ACCOUNT #: IRK66666	BUY 0 Units @0.0000						
04/06/2018	***-**-824I - CHRISOS, LORRIE	AMERICAN FUNDS BALANCED PORT CL F2-	100.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012122	BUY 7 Units @14.6600						
04/12/2018	***-**-335I - HARWOOD, RICHARD	AMERICAN FUNDS GROWTH PORT CL F2-NF	612.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012060	SELL 33 Units @18.5500						
04/12/2018	***-**-335J - HARWOOD, ARLENE	AMERICAN FUNDS GROWTH PORT CL F2-NF	30.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012061	SELL 2 Units @18.5500						
04/06/2018	***-**-824I - CHRISOS, LORRIE	AMERICAN FUNDS GRWTH & INC. PORT F	99.99	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012122	BUY 7 Units @14.9000						
04/12/2018	***-**-335J - HARWOOD, ARLENE	AMERICAN FUNDS GRWTH & INC. PORT F	30.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012061	SELL 2 Units @15.1600						
04/02/2018	***-**-659I - ADAMS, JOSHUA	AMERICAN FUNDS GRWTH & INCOME PORT	163.22	1.63	0.00	1.63	0.5	0.01
	ACCOUNT #: 00089094219	BUY 11 Units @14.7800						
04/02/2018	***-**-659I - ADAMS, JOSHUA	AMERICAN FUNDS GRWTH & INCOME PORT	200.00	2.00	0.00	2.00	0.5	0.01
	ACCOUNT #: 00089094219	BUY 14 Units @14.7800						
04/07/2018	***-**-75IN - AMASON, DEE	AMERICAN GENERAL VA COMM 033064643	0.00	47.34	0.00	47.34	0.5	0.24
	ACCOUNT #: P13A2025509	BUY 0 Units @0.0000						
04/02/2018	***-**-415P - BARNABY, GORDON	AMERICAN MUTUAL FUND-A	42.70	1.60	0.00	1.60	0.5	0.01
	ACCOUNT #: 00081781947	BUY 1 Units @40.8200						
03/31/2018	***-**-41IN - FELICETTI, MARY	AMT-FREE NEW YORK MUNICIPALS A	0.00	4.56	0.00	4.56	0.5	0.02
	ACCOUNT #: 03600666215	BUY 0 Units @0.0000						
03/31/2018	***-**-533J - CHAPADOS, JOSEPH	AMT-FREE NEW YORK MUNICIPALS A	0.00	22.84	0.00	22.84	0.5	0.11
	ACCOUNT #: 03600666226	BUY 0 Units @0.0000						
03/31/2018	***-**-8645 - MOAN, THERESA	AMT-FREE NEW YORK MUNICIPALS A	0.00	54.23	0.00	54.23	0.5	0.27
	ACCOUNT #: 03600041272	BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/16/2018	***-**-101I - LEMOINE, STEVEN	CAPITAL APPRECIATION - CLASS A	0.00	13.61	0.00	13.61	0.5	0.07
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
03/31/2018	***-**-982I - ALBERICI, ANGELO	CAPITAL APPRECIATION A	0.00	78.97	0.00	78.97	0.5	0.39
	ACCOUNT #: 02703625809	BUY 0 Units @0.0000						
03/31/2018	***-**-818I - WESTERFELD,	CAPITAL APPRECIATION A	0.00	1.76	0.00	1.76	0.5	0.01
	ACCOUNT #: 02703640714	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	CAPITAL APPRECIATION A	0.00	15.72	0.00	15.72	0.5	0.08
	ACCOUNT #: 02703652781	BUY 0 Units @0.0000						
03/31/2018	***-**-9415 - CUNLIFFE,	CAPITAL APPRECIATION A	0.00	7.60	0.00	7.60	0.5	0.04
	ACCOUNT #: 02703753860	BUY 0 Units @0.0000						
03/31/2018	***-**-9103 - MASON, EDWARD	CAPITAL APPRECIATION A	0.00	3.85	0.00	3.85	0.5	0.02
	ACCOUNT #: 02703753926	BUY 0 Units @0.0000						
03/31/2018	***-**-6478 - RUFF, KENNETH	CAPITAL APPRECIATION A	0.00	6.98	0.00	6.98	0.5	0.03
	ACCOUNT #: 02703753937	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	CAPITAL APPRECIATION A	0.00	5.92	0.00	5.92	0.5	0.03
	ACCOUNT #: 02704884363	BUY 0 Units @0.0000						
03/31/2018	***-**-9336 - GULICK, JAY	CAPITAL APPRECIATION A	0.00	7.53	0.00	7.53	0.5	0.04
	ACCOUNT #: 02705743485	BUY 0 Units @0.0000						
03/31/2018	***-**-7045 - KATUSKA, EDWARD	CAPITAL APPRECIATION A	0.00	1.62	0.00	1.62	0.5	0.01
	ACCOUNT #: 02705945962	BUY 0 Units @0.0000						
03/31/2018	***-**-56IN - SHIELDS-FUSILLI,	CAPITAL APPRECIATION A	0.00	21.51	0.00	21.51	0.5	0.11
	ACCOUNT #: 02706103493	BUY 0 Units @0.0000						
03/31/2018	***-**-2918 - GALANEK, CHARLES	CAPITAL APPRECIATION A	0.00	9.86	0.00	9.86	0.5	0.05
	ACCOUNT #: 02706184541	BUY 0 Units @0.0000						
03/31/2018	***-**-285P - MARX, ANGELA A	CAPITAL APPRECIATION A	0.00	1.59	0.00	1.59	0.5	0.01
	ACCOUNT #: 03200681241	BUY 0 Units @0.0000						
03/31/2018	***-**-3085 - CUTIA, DEEPEN	CAPITAL APPRECIATION A	0.00	2.81	0.00	2.81	0.5	0.01
	ACCOUNT #: 03201498013	BUY 0 Units @0.0000						
03/31/2018	***-**-691I - DRUMM, MARK	CAPITAL APPRECIATION A	0.00	3.81	0.00	3.81	0.5	0.02
	ACCOUNT #: 03203856160	BUY 0 Units @0.0000						
03/31/2018	***-**-612I - MIKOS, GREGORY	CAPITAL APPRECIATION A	0.00	4.52	0.00	4.52	0.5	0.02
	ACCOUNT #: 03204876135	BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u>								
03/31/2018	***-**-5301 - LIAFSHA, HEATHER	CAPITAL APPRECIATION A	0.00	5.12	0.00	5.12	0.5	0.03
	ACCOUNT #: 03205695228	BUY 0 Units @0.0000						
03/31/2018	***-**-16IN - MCCUNE, MICHAEL	CAPITAL APPRECIATION A	0.00	7.80	0.00	7.80	0.5	0.04
	ACCOUNT #: 03205835841	BUY 0 Units @0.0000						
03/31/2018	***-**-950I - BEVACQUA,	CAPITAL APPRECIATION A	0.00	9.29	0.00	9.29	0.5	0.05
	ACCOUNT #: 03205971020	BUY 0 Units @0.0000						
03/31/2018	***-**-65CL - LIFEMARK,	CAPITAL APPRECIATION A	0.00	4.30	0.00	4.30	0.5	0.02
	ACCOUNT #: 03206200370	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	CAPITAL APPRECIATION A	0.00	8.15	0.00	8.15	0.5	0.04
	ACCOUNT #: 03206311800	BUY 0 Units @0.0000						
03/31/2018	***-**-198I - CHAPADOS, JANIS	CAPITAL APPRECIATION A	0.00	9.53	0.00	9.53	0.5	0.05
	ACCOUNT #: 03206639479	BUY 0 Units @0.0000						
03/31/2018	***-**-533I - CHAPADOS, JOSEPH	CAPITAL APPRECIATION A	0.00	29.50	0.00	29.50	0.5	0.15
	ACCOUNT #: 03206639501	BUY 0 Units @0.0000						
03/31/2018	***-**-845J - MANJULA, FNU	CAPITAL APPRECIATION A	0.00	6.24	0.00	6.24	0.5	0.03
	ACCOUNT #: 03206748181	BUY 0 Units @0.0000						
03/31/2018	***-**-294I - FETTERMAN,	CAPITAL APPRECIATION A	0.00	2.51	0.00	2.51	0.5	0.01
	ACCOUNT #: 03207706391	BUY 0 Units @0.0000						
03/31/2018	***-**-05IN - FRIDLEY,	CAPITAL APPRECIATION A	0.00	2.10	0.00	2.10	0.5	0.01
	ACCOUNT #: 03211817190	BUY 0 Units @0.0000						
03/31/2018	***-**-65IR - CARROLL, DONNA	CAPITAL APPRECIATION A	0.00	2.39	0.00	2.39	0.5	0.01
	ACCOUNT #: 07650635305	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	CAPITAL APPRECIATION A	0.00	12.03	0.00	12.03	0.5	0.06
	ACCOUNT #: 07650698654	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	CAPITAL APPRECIATION A	0.00	16.51	0.00	16.51	0.5	0.08
	ACCOUNT #: 08850037829	BUY 0 Units @0.0000						
03/31/2018	***-**-642T - JURAK, DANIEL	CAPITAL APPRECIATION A	0.00	15.52	0.00	15.52	0.5	0.08
	ACCOUNT #: 08850436700	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	CAPITAL APPRECIATION A	0.00	11.62	0.00	11.62	0.5	0.06
	ACCOUNT #: 08850873147	BUY 0 Units @0.0000						
03/31/2018	***-**-6593 - GREGORICH, JOHN	CAPITAL APPRECIATION A	0.00	1.68	0.00	1.68	0.5	0.01
	ACCOUNT #: 08850889900	BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u>								
03/31/2018	***-**-89IN - MCCUNE, FRANK	CAPITAL APPRECIATION A	0.00	11.87	0.00	11.87	0.5	0.06
	ACCOUNT #: 08850993564	BUY 0 Units @0.0000						
03/31/2018	***-**-8645 - MOAN, THERESA	CAPITAL APPRECIATION A	0.00	17.01	0.00	17.01	0.5	0.09
	ACCOUNT #: 03200722106	BUY 0 Units @0.0000						
03/31/2018	***-**-7998 - ROSENTHAL, BARRY	CAPITAL APPRECIATION A	0.00	52.42	0.00	52.42	0.5	0.26
	ACCOUNT #: 03201254231	BUY 0 Units @0.0000						
03/31/2018	***-**-03IN - IADIANO, EDNA	CAPITAL APPRECIATION A	0.00	15.79	0.00	15.79	0.5	0.08
	ACCOUNT #: 03211107536	BUY 0 Units @0.0000						
03/31/2018	***-**-0535 - NAVARRO, THOMAS	CAPITAL APPRECIATION A	0.00	30.43	0.00	30.43	0.5	0.15
	ACCOUNT #: 03200658185	BUY 0 Units @0.0000						
03/31/2018	***-**-9336 - GULICK, JAY	CAPITAL APPRECIATION B	0.00	1.09	0.00	1.09	0.5	0.01
	ACCOUNT #: 02711050324	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	CAPITAL APPRECIATION C	0.00	11.62	0.00	11.62	0.5	0.06
	ACCOUNT #: 03221105962	BUY 0 Units @0.0000						
03/31/2018	***-**-745I - RIENZO, BETTY	CAPITAL APPRECIATION FUND N	0.00	6.33	0.00	6.33	0.5	0.03
	ACCOUNT #: 03230266761	BUY 0 Units @0.0000						
03/31/2018	***-**-745I - RIENZO, BETTY	CAPITAL APPRECIATION FUND N	0.00	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: 03230266761	BUY 0 Units @0.0000						
03/31/2018	***-**-741I - WESTERFELD,	CAPITAL INCOME A	0.00	5.65	0.00	5.65	0.5	0.03
	ACCOUNT #: 03004194960	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	CAPITAL INCOME A	0.00	6.70	0.00	6.70	0.5	0.03
	ACCOUNT #: 03006615565	BUY 0 Units @0.0000						
03/31/2018	***-**-0535 - NAVARRO, THOMAS	CAPITAL INCOME A	0.00	7.79	0.00	7.79	0.5	0.04
	ACCOUNT #: 03004747325	BUY 0 Units @0.0000						
04/02/2018	***-**-064J - HALL, AMY	CAPITAL INCOME BUILDER-A	250.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: 00083146232	BUY 4 Units @60.7100						
04/03/2018	***-**-452I - KELLNER, MICHAEL	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	2.13	0.00	2.13	0.5	0.01
	ACCOUNT #: 00062550448	BUY 1 Units @53.4400						
04/02/2018	***-**-241O - PUTHIYA-VEETIL,	COLLEGE 2018 FUND-529A	50.00	1.75	0.00	1.75	0.5	0.01
	ACCOUNT #: 00073508689	BUY 5 Units @10.9600						
04/02/2018	***-**-5966 - BOCCIA, BROCK	COLLEGE 2024 FUND-529A	250.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: 00083146222	BUY 21 Units @11.8600						



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 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/02/2018	***-**-41IN - PUTHIYA-VEETIL,	COLLEGE 2024 FUND-529A	50.00	1.75	0.00	1.75	0.5	0.01
	ACCOUNT #: 00083895119	BUY 4 Units @12.2000						
04/02/2018	***-**-665P - WOLLNER, DAVIDA	COLLEGE 2030 FUND-529A	50.00	1.75	0.00	1.75	0.5	0.01
	ACCOUNT #: 00087215180	BUY 4 Units @14.0400						
04/02/2018	***-**-86CL - ASHER, CLIENTS	COLLEGE 2030 FUND-529A	50.00	1.75	0.00	1.75	0.5	0.01
	ACCOUNT #: 00087512963	BUY 4 Units @14.0400						
04/16/2018	***-**-6935 - FINK, GEORGE	COLUMBIA FUNDS MF TRAILS	0.00	17.27	0.00	17.27	0.5	0.09
	ACCOUNT #: 8698526543	BUY 0 Units @0.0000						
04/16/2018	***-**-5566 - & TRUST, PLAN &	COLUMBIA FUNDS MF TRAILS	0.00	38.48	0.00	38.48	0.5	0.19
		BUY 0 Units @0.0000						
04/16/2018	***-**-25IN - BRUSEWITZ, BRUCE	COLUMBIA FUNDS MF TRAILS	0.00	4.18	0.00	4.18	0.5	0.02
	ACCOUNT #: 08695709799	BUY 0 Units @0.0000						
04/16/2018	***-**-70IN - DORIS PO-YEE LAM	COLUMBIA FUNDS MF TRAILS	0.00	30.18	0.00	30.18	0.5	0.15
	ACCOUNT #: 08695525452	BUY 0 Units @0.0000						
04/16/2018	***-**-877I - ROBINSON, ELLEN	COLUMBIA FUNDS MF TRAILS	0.00	10.89	0.00	10.89	0.5	0.05
	ACCOUNT #: 08695748774	BUY 0 Units @0.0000						
04/16/2018	***-**-323I - TAYLOR, PEGGY	COLUMBIA FUNDS MF TRAILS	0.00	3.16	0.00	3.16	0.5	0.02
	ACCOUNT #: 08697170937	BUY 0 Units @0.0000						
04/16/2018	***-**-3754 - MAHER, EDWARD	COLUMBIA FUNDS MF TRAILS	0.00	2.41	0.00	2.41	0.5	0.01
		BUY 0 Units @0.0000						
04/16/2018	***-**-3590 - HEALY, THOMAS	COLUMBIA FUNDS MF TRAILS	0.00	14.36	0.00	14.36	0.5	0.07
	ACCOUNT #: 8696551395	BUY 0 Units @0.0000						
04/16/2018	***-**-3754 - MAHER, EDWARD	COLUMBIA FUNDS MF TRAILS	0.00	1.23	0.00	1.23	0.5	0.01
		BUY 0 Units @0.0000						
04/16/2018	***-**-3590 - HEALY, THOMAS	COLUMBIA FUNDS MF TRAILS	0.00	37.28	0.00	37.28	0.5	0.19
	ACCOUNT #: 8696551395	BUY 0 Units @0.0000						
04/16/2018	***-**-9131 - BIRNS, RICHARD A	COLUMBIA FUNDS MF TRAILS	0.00	2.39	0.00	2.39	0.5	0.01
		BUY 0 Units @0.0000						
03/31/2018	***-**-745I - RIENZO, BETTY	CORE BOND FUND N	0.00	8.25	0.00	8.25	0.5	0.04
	ACCOUNT #: 02880112541	BUY 0 Units @0.0000						
04/16/2018	***-**-6710 - EVA JAYNE	DELAWARE EXTENDED DURATION BOND FUN	0.00	1.99	0.00	1.99	0.5	0.01
	ACCOUNT #: LSR011403	BUY 1 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/16/2018	***-**-572I - MELIN, LUCILLE	DELAWARE EXTENDED DURATION BOND FUN	0.00	2.38	0.00	2.38	0.5	0.01
	ACCOUNT #: LSR011508	BUY 1 Units @0.0000						
04/16/2018	***-**-671O - EVA JAYNE	DELAWARE HEALTHCARE FUND CLASS A	0.00	9.57	0.00	9.57	0.5	0.05
	ACCOUNT #: LSR011403	BUY 1 Units @0.0000						
04/16/2018	***-**-725I - LYTTLE, DIANE	DELAWARE MF TRAILS	0.00	8.65	0.00	8.65	0.5	0.04
	ACCOUNT #: 5014377043	BUY 0 Units @0.0000						
04/16/2018	***-**-04CL - CONNOR, CLIENTS	DELAWARE MF TRAILS	0.00	1.58	0.00	1.58	0.5	0.01
		BUY 0 Units @0.0000						
04/11/2018	***-**-4202 - CORAPI, MARIA C	DREYFUS MF TRAILS	0.00	6.91	0.00	6.91	0.5	0.03
	ACCOUNT #: 0129106191	BUY 0 Units @0.0000						
04/16/2018	***-**-8153 - NATIVIDAD,	EATON VANCE GREATER INDIA FUND CLAS	0.00	1.57	0.00	1.57	0.5	0.01
	ACCOUNT #: LSR106771	BUY 1 Units @0.0000						
04/16/2018	***-**-572I - MELIN, LUCILLE	EATON VANCE HIGH INCOME FUND CLASS	0.00	2.58	0.00	2.58	0.5	0.01
	ACCOUNT #: LSR011508	BUY 1 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	EATON VANCE WORLDWIDE HEALTH SCIENC	0.00	2.96	0.00	2.96	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
03/31/2018	***-**-6593 - GREGORICH, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.20	0.00	1.20	0.5	0.01
	ACCOUNT #: 02050148599	BUY 0 Units @0.0000						
03/31/2018	***-**-686I - FARRINGTON,	EQUITY INCOME FUND, INC. A	0.00	21.73	0.00	21.73	0.5	0.11
	ACCOUNT #: 02401489246	BUY 0 Units @0.0000						
03/31/2018	***-**-05IN - FRIDLEY,	EQUITY INCOME FUND, INC. A	0.00	6.54	0.00	6.54	0.5	0.03
	ACCOUNT #: 08353154723	BUY 0 Units @0.0000						
03/31/2018	***-**-411O - KAVANAGH,	EQUITY INCOME FUND, INC. A	0.00	3.21	0.00	3.21	0.5	0.02
	ACCOUNT #: 08352452703	BUY 0 Units @0.0000						
03/31/2018	***-**-02IN - MANCHESTER,	EQUITY INCOME FUND, INC. A	0.00	6.47	0.00	6.47	0.5	0.03
	ACCOUNT #: 08352452714	BUY 0 Units @0.0000						
04/02/2018	***-**-064J - HALL, AMY	EUROPACIFIC GROWTH FUND-A	250.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: 00083146232	BUY 4 Units @56.9200						
04/04/2018	***-**-43SI - KASA, MATTHEW	EUROPACIFIC GROWTH FUND-A	100.00	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: 00064989865	BUY 2 Units @56.4700						
04/04/2018	***-**-43SI - KASA, MATTHEW	EUROPACIFIC GROWTH FUND-A	260.00	2.60	0.00	2.60	0.5	0.01
	ACCOUNT #: 00064989865	BUY 5 Units @56.4700						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/16/2018	***-**-8658 - SOLOFF, MIRIAM	FRK AGGRESSIVE GRWTH - CL A	0.00	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: LSR105201	BUY 1 Units @0.0000						
04/16/2018	***-**-24SI - GARRETT,	FT MODERATE TARGET FUND - CLASS A	0.00	8.28	0.00	8.28	0.5	0.04
	ACCOUNT #: LSR004987	BUY 1 Units @0.0000						
04/10/2018	***-**-4701 - HAUSMAN, GE	FUTURE SCHOLAR 529 TRAILS	0.00	3.55	0.00	3.55	0.5	0.02
	ACCOUNT #: 5290189470	BUY 0 Units @0.0000						
04/10/2018	***-**-805P - CIEZA, ELZABETH	FUTURE SCHOLAR 529 TRAILS	0.00	7.03	0.00	7.03	0.5	0.04
	ACCOUNT #: 05290090629	BUY 0 Units @0.0000						
04/09/2018	***-**-7433 - MISTRY,	GENWORTH 37250G301	304.00	3.04	0.00	3.04	0.5	0.02
	ACCOUNT #: T02751687	BUY 0 Units @0.0000						
04/09/2018	***-**-7434 - MISTRY, SUZY	GENWORTH 37250G301	260.00	2.60	0.00	2.60	0.5	0.01
	ACCOUNT #: T02751688	BUY 0 Units @0.0000						
04/12/2018	***-**-03CL - GEORGIEV,	GENWORTH 37250G301	105.00	1.05	0.00	1.05	0.5	0.01
	ACCOUNT #: T02748105	BUY 0 Units @0.0000						
04/12/2018	***-**-03CL - GEORGIEV,	GENWORTH 37250G301	145.00	1.45	0.00	1.45	0.5	0.01
	ACCOUNT #: T02748106	BUY 0 Units @0.0000						
04/12/2018	***-**-6891 - JANDALI, AMER	GENWORTH 37250G301	1,951.00	19.51	0.00	19.51	0.5	0.10
	ACCOUNT #: T02770188	BUY 0 Units @0.0000						
03/31/2018	***-**-2580 - SIERRA, JANE	GLOBAL FUND A	0.00	71.50	0.00	71.50	0.5	0.36
	ACCOUNT #: 03300119726	BUY 0 Units @0.0000						
03/31/2018	***-**-526J - MCCUNE,	GLOBAL FUND A	0.00	9.68	0.00	9.68	0.5	0.05
	ACCOUNT #: 03302856601	BUY 0 Units @0.0000						
03/31/2018	***-**-850I - WEBB, SERENE	GLOBAL FUND A	0.00	8.83	0.00	8.83	0.5	0.04
	ACCOUNT #: 03303747029	BUY 0 Units @0.0000						
03/31/2018	***-**-349I - HADSOCK, DEBORAH	GLOBAL FUND A	0.00	18.50	0.00	18.50	0.5	0.09
	ACCOUNT #: 03305030929	BUY 0 Units @0.0000						
03/31/2018	***-**-159I - KRALE, SUZANNE	GLOBAL FUND A	0.00	36.02	0.00	36.02	0.5	0.18
	ACCOUNT #: 03305494709	BUY 0 Units @0.0000						
03/31/2018	***-**-375I - HILL, BRIAN	GLOBAL FUND A	0.00	8.02	0.00	8.02	0.5	0.04
	ACCOUNT #: 03306254050	BUY 0 Units @0.0000						
03/31/2018	***-**-54IR - WEBB, MAX	GLOBAL FUND A	0.00	5.31	0.00	5.31	0.5	0.03
	ACCOUNT #: 03307685348	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
03/31/2018	***-**-3932 - GREGORICH, ACCOUNT #: 03307803710	GLOBAL FUND A BUY 0 Units @0.0000	0.00	11.02	0.00	11.02	0.5	0.06
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 07500778635	GLOBAL FUND A BUY 0 Units @0.0000	0.00	1.29	0.00	1.29	0.5	0.01
03/31/2018	***-**-0535 - NAVARRO, THOMAS ACCOUNT #: 03309454874	GLOBAL FUND A BUY 0 Units @0.0000	0.00	59.56	0.00	59.56	0.5	0.30
03/31/2018	***-**-2580 - SIERRA, JANE ACCOUNT #: 03311527757	GLOBAL FUND B BUY 0 Units @0.0000	0.00	1.19	0.00	1.19	0.5	0.01
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02150200189	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	124.49	0.00	124.49	0.5	0.62
03/31/2018	***-**-521I - MCCUNE, ELAINE ACCOUNT #: 02150223234	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	40.19	0.00	40.19	0.5	0.20
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02150248105	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	65.15	0.00	65.15	0.5	0.33
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02150311135	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	13.36	0.00	13.36	0.5	0.07
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02150311146	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	7.63	0.00	7.63	0.5	0.04
03/31/2018	***-**-21IN - MCCUNE, ELAINE ACCOUNT #: 02150352187	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	15.86	0.00	15.86	0.5	0.08
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02150376783	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	78.93	0.00	78.93	0.5	0.39
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02150479798	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	7.63	0.00	7.63	0.5	0.04
03/31/2018	***-**-41IN - FELICETTI, MARY ACCOUNT #: 02150590777	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	5.85	0.00	5.85	0.5	0.03
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02150881958	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	22.87	0.00	22.87	0.5	0.11
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02150988460	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	11.30	0.00	11.30	0.5	0.06
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02152165867	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	7.41	0.00	7.41	0.5	0.04



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
03/31/2018	***-**-950I - BEVACQUA, ACCOUNT #: 02153178769	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	15.60	0.00	15.60	0.5	0.08
03/31/2018	***-**-198I - CHAPADOS, JANIS ACCOUNT #: 02153515402	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	8.47	0.00	8.47	0.5	0.04
03/31/2018	***-**-533I - CHAPADOS, JOSEPH ACCOUNT #: 02153515424	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	51.41	0.00	51.41	0.5	0.26
03/31/2018	***-**-294I - FETTERMAN, ACCOUNT #: 02153746776	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	4.74	0.00	4.74	0.5	0.02
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02155316388	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	5.57	0.00	5.57	0.5	0.03
03/31/2018	***-**-343I - MCCUNE, FRANCES ACCOUNT #: 02155444835	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.24	0.00	1.24	0.5	0.01
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02155472225	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	2.53	0.00	2.53	0.5	0.01
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02155472236	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	6.72	0.00	6.72	0.5	0.03
03/31/2018	***-**-103I - WEEKS, JENNIFER ACCOUNT #: 02155542900	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	58.39	0.00	58.39	0.5	0.29
03/31/2018	***-**-52IN - METZLER, JANET ACCOUNT #: 02154900346	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	7.40	0.00	7.40	0.5	0.04
03/31/2018	***-**-7193 - GALE, WALTER ACCOUNT #: 02155864958	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	5.74	0.00	5.74	0.5	0.03
03/31/2018	***-**-0804 - GALE, MARY ACCOUNT #: 02155864980	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	13.70	0.00	13.70	0.5	0.07
03/31/2018	***-**-0075 - MEHIT, LAURA ACCOUNT #: 02156080382	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	4.85	0.00	4.85	0.5	0.02
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02170799051	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	13.81	0.00	13.81	0.5	0.07
03/31/2018	***-**-745I - RIENZO, BETTY ACCOUNT #: 02180155760	GLOBAL OPPORTUNITIES FUND N BUY 0 Units @0.0000	0.00	5.91	0.00	5.91	0.5	0.03
03/31/2018	***-**-103I - WEEKS, JENNIFER ACCOUNT #: 04102968746	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	2.88	0.00	2.88	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
03/31/2018	***-**-950I - BEVACQUA, ACCOUNT #: 04104032270	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	2.11	0.00	2.11	0.5	0.01
03/31/2018	***-**-533I - CHAPADOS, JOSEPH ACCOUNT #: 04104032303	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	9.01	0.00	9.01	0.5	0.05
03/31/2018	***-**-6502 - MANCHESTER, ACCOUNT #: 04103782086	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	1.19	0.00	1.19	0.5	0.01
03/31/2018	***-**-62IN - FARMER, BRUCE ACCOUNT #: 04104165623	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	24.18	0.00	24.18	0.5	0.12
04/16/2018	***-**-8658 - SOLOFF, MIRIAM ACCOUNT #: LSR105201	GUGGENHEIM STYLPLUS MIDCAP GRWTH ST BUY 1 Units @0.0000	0.00	2.80	0.00	2.80	0.5	0.01
04/16/2018	***-**-55IO - APPLEBY, SHARON ACCOUNT #: LSR012278	HIGH YIELD A BUY 1 Units @0.0000	0.00	11.26	0.00	11.26	0.5	0.06
04/07/2018	***-**-285P - NOSCHESSE, LOUIS ACCOUNT #: C035430-MN	ING VA 008148108 BUY 0 Units @0.0000	0.00	33.53	0.00	33.53	0.5	0.17
03/31/2018	***-**-65CL - LIFEMARK, ACCOUNT #: 08801429406	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	3.52	0.00	3.52	0.5	0.02
03/31/2018	***-**-21IN - MCCUNE, ELAINE ACCOUNT #: 08806072539	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	9.86	0.00	9.86	0.5	0.05
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 08808064496	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	19.30	0.00	19.30	0.5	0.10
03/31/2018	***-**-198I - CHAPADOS, JANIS ACCOUNT #: 08808064551	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	8.83	0.00	8.83	0.5	0.04
03/31/2018	***-**-5033 - KATZENBERGER, ACCOUNT #: 08800893992	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	1.27	0.00	1.27	0.5	0.01
03/31/2018	***-**-7193 - GALE, WALTER ACCOUNT #: 08808004425	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	1.32	0.00	1.32	0.5	0.01
03/31/2018	***-**-0804 - GALE, MARY ACCOUNT #: 08808004436	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	2.08	0.00	2.08	0.5	0.01
03/31/2018	***-**-64IR - DRESPEL, PAUL ACCOUNT #: 08801070685	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	2.42	0.00	2.42	0.5	0.01
04/02/2018	***-**-064J - HALL, AMY ACCOUNT #: 00083146232	INTERNATIONAL GROWTH AND INCOME-A BUY 7 Units @35.2900	250.00	3.00	0.00	3.00	0.5	0.02



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 <u>BROKER: ALEX GEORGIEV (continued)</u>								
03/31/2018	***-**-741I - WESTERFELD, ACCOUNT #: 08250068937	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	6.93	0.00	6.93	0.5	0.03
03/31/2018	***-**-9415 - CUNLIFFE, ACCOUNT #: 08250240614	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	8.76	0.00	8.76	0.5	0.04
03/31/2018	***-**-9103 - MASON, EDWARD ACCOUNT #: 08250240636	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	3.48	0.00	3.48	0.5	0.02
03/31/2018	***-**-6478 - RUFF, KENNETH ACCOUNT #: 08250240647	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	8.03	0.00	8.03	0.5	0.04
03/31/2018	***-**-7275 - LENGYE, JOE ACCOUNT #: 08251043416	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	1.21	0.00	1.21	0.5	0.01
03/31/2018	***-**-612I - MIKOS, GREGORY ACCOUNT #: 08251137785	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	3.19	0.00	3.19	0.5	0.02
03/31/2018	***-**-7045 - KATUSKA, EDWARD ACCOUNT #: 08251409815	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	2.47	0.00	2.47	0.5	0.01
03/31/2018	***-**-294I - FETTERMAN, ACCOUNT #: 08251611731	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	2.69	0.00	2.69	0.5	0.01
03/31/2018	***-**-3932 - GREGORICH, ACCOUNT #: 08259844879	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	8.37	0.00	8.37	0.5	0.04
03/31/2018	***-**-52IN - METZLER, JANET ACCOUNT #: 08251985687	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	4.37	0.00	4.37	0.5	0.02
03/31/2018	***-**-745I - RIENZO, BETTY ACCOUNT #: 08280194931	INTERNATIONAL GROWTH FUND N BUY 0 Units @0.0000	0.00	4.92	0.00	4.92	0.5	0.02
03/31/2018	***-**-8259 - TRIPP, STANLEY R ACCOUNT #: 08150457380	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	0.00	15.59	0.00	15.59	0.5	0.08
03/31/2018	***-**-16IN - MCCUNE, MICHAEL ACCOUNT #: 08150483747	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	0.00	11.40	0.00	11.40	0.5	0.06
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 08150509894	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	0.00	12.62	0.00	12.62	0.5	0.06
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 08150554158	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	0.00	8.65	0.00	8.65	0.5	0.04
03/31/2018	***-**-1550 - LIPKOWITZ, TOD ACCOUNT #: 08150348557	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	0.00	12.31	0.00	12.31	0.5	0.06



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 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
03/31/2018	***-**-7560 - ELLEN, BEVERLY	INTERNATIONAL SMALL COMPANY A	0.00	9.53	0.00	9.53	0.5	0.05
	ACCOUNT #: 08150349052	BUY 0 Units @0.0000						
03/31/2018	***-**-7193 - GALE, WALTER	INTERNATIONAL SMALL COMPANY A	0.00	2.20	0.00	2.20	0.5	0.01
	ACCOUNT #: 08150363814	BUY 0 Units @0.0000						
03/31/2018	***-**-9257 - JENNERICH, KAREN	INTERNATIONAL SMALL COMPANY A	0.00	4.43	0.00	4.43	0.5	0.02
	ACCOUNT #: 08150632357	BUY 0 Units @0.0000						
03/31/2018	***-**-9257 - JENNERICH, KAREN	INTERNATIONAL SMALL COMPANY A	0.00	2.62	0.00	2.62	0.5	0.01
	ACCOUNT #: 08150699963	BUY 0 Units @0.0000						
03/31/2018	***-**-5276 - JENNERICH,	INTERNATIONAL SMALL COMPANY A	0.00	4.32	0.00	4.32	0.5	0.02
	ACCOUNT #: 08150699974	BUY 0 Units @0.0000						
03/31/2018	***-**-0804 - GALE, MARY	INTERNATIONAL SMALL COMPANY A	0.00	7.90	0.00	7.90	0.5	0.04
	ACCOUNT #: 08151112595	BUY 0 Units @0.0000						
03/31/2018	***-**-02IN - MANCHESTER,	INTERNATIONAL SMALL COMPANY A	0.00	11.15	0.00	11.15	0.5	0.06
	ACCOUNT #: 08152119953	BUY 0 Units @0.0000						
03/31/2018	***-**-4110 - KAVANAGH,	INTERNATIONAL SMALL COMPANY A	0.00	7.23	0.00	7.23	0.5	0.04
	ACCOUNT #: 08152121988	BUY 0 Units @0.0000						
03/31/2018	***-**-0075 - MEHIT, LAURA	INTERNATIONAL SMALL COMPANY A	0.00	2.13	0.00	2.13	0.5	0.01
	ACCOUNT #: 08152121999	BUY 0 Units @0.0000						
03/31/2018	***-**-03IN - IADIANO, EDNA	INTERNATIONAL SMALL COMPANY A	0.00	8.70	0.00	8.70	0.5	0.04
	ACCOUNT #: 08152294380	BUY 0 Units @0.0000						
04/01/2018	***-**-590I - LOEWE, VICTORIA	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	1.47	0.00	1.47	0.5	0.01
	ACCOUNT #: 05057016999	BUY 0 Units @0.0000						
04/01/2018	***-**-09IE - OSBOURNE, ISAAK	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	3.69	0.00	3.69	0.5	0.02
	ACCOUNT #: 02500053663	BUY 0 Units @0.0000						
04/01/2018	***-**-28IE -	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	5.53	0.00	5.53	0.5	0.03
	ACCOUNT #: 03811036064	BUY 0 Units @0.0000						
04/01/2018	***-**-872I - NEWGAARD, DAVID	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	5.73	0.00	5.73	0.5	0.03
	ACCOUNT #: 03870048117	BUY 0 Units @0.0000						
04/01/2018	***-**-72IR - NEWGAARD, DAVID	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	9.73	0.00	9.73	0.5	0.05
	ACCOUNT #: 03870048125	BUY 0 Units @0.0000						
04/01/2018	***-**-37IR - NEWGAARD, JERI	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	11.40	0.00	11.40	0.5	0.06
	ACCOUNT #: 03870048133	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-898I - PERRY, ABBY ACCOUNT #: 05040255670	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	1.56	0.00	1.56	0.5	0.01
04/01/2018	***-**-22IN - RODNEY, ACCOUNT #: 00670547075	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	32.79	0.00	32.79	0.5	0.16
04/01/2018	***-**-905J - MAZZA/VIGLIONE, ACCOUNT #: 00670605502	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	13.68	0.00	13.68	0.5	0.07
04/01/2018	***-**-48IN - VALOVGIN, ACCOUNT #: 00670606882	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	21.83	0.00	21.83	0.5	0.11
04/01/2018	***-**-010I - JANE MC ACCOUNT #: 00670746245	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	11.76	0.00	11.76	0.5	0.06
04/01/2018	***-**-668E - MONTION, ALMA ACCOUNT #: 01001287986	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	9.42	0.00	9.42	0.5	0.05
04/01/2018	***-**-473I - ENRIQUEZ, MARY ACCOUNT #: 03808512580	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	2.02	0.00	2.02	0.5	0.01
04/01/2018	***-**-28RI - FULHORST, MARY ACCOUNT #: 03809041431	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	6.89	0.00	6.89	0.5	0.03
04/01/2018	***-**-79IN - WAHAB, MAGGY ACCOUNT #: 03809157799	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	3.07	0.00	3.07	0.5	0.02
04/01/2018	***-**-70IR - GOGOLEWSKI, ACCOUNT #: 03810608020	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	2.37	0.00	2.37	0.5	0.01
04/01/2018	***-**-285I - PLATT, CHARLES ACCOUNT #: 03909198396	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	18.50	0.00	18.50	0.5	0.09
04/01/2018	***-**-22UG - STRIEBE UTMT, ACCOUNT #: 03909931689	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	2.23	0.00	2.23	0.5	0.01
04/01/2018	***-**-741I - GILMUND, MARIE ACCOUNT #: 03911939423	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	1.80	0.00	1.80	0.5	0.01
04/01/2018	***-**-269I - EMOND, BRUCE ACCOUNT #: 03913073221	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	5.08	0.00	5.08	0.5	0.03
04/01/2018	***-**-074I - AKOUR, HASSAN ACCOUNT #: 04029075001	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	2.25	0.00	2.25	0.5	0.01
04/01/2018	***-**-82IR - GOGOLEWSKI, ACCOUNT #: 04039727849	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	5.46	0.00	5.46	0.5	0.03



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-43IR - RAMACHANDRAN, ACCOUNT #: 04040140412	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	5.13	0.00	5.13	0.5	0.03
04/01/2018	***-**-196I - NOVAK, DIANE ACCOUNT #: 04400052756	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	4.00	0.00	4.00	0.5	0.02
04/01/2018	***-**-162I - CALLAHAN, ACCOUNT #: 04400055758	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	11.67	0.00	11.67	0.5	0.06
04/01/2018	***-**-603P - HILLIKER, JOANNE ACCOUNT #: 05002543766	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	9.79	0.00	9.79	0.5	0.05
04/01/2018	***-**-191I - LA VAN, HELEN ACCOUNT #: 05004067210	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	13.49	0.00	13.49	0.5	0.07
04/01/2018	***-**-35IN - FETTERS, ACCOUNT #: 05013661987	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	1.80	0.00	1.80	0.5	0.01
04/01/2018	***-**-575P - PACKAGE SEP ACCOUNT #: 05014479132	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	13.88	0.00	13.88	0.5	0.07
04/01/2018	***-**-526I - PARKER, WILLIAM ACCOUNT #: 05017880377	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	1.98	0.00	1.98	0.5	0.01
04/01/2018	***-**-499I - PARKER, MARY ACCOUNT #: 05017880393	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	2.17	0.00	2.17	0.5	0.01
04/01/2018	***-**-540I - LOHR, JEANINE ACCOUNT #: 05018549716	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	44.42	0.00	44.42	0.5	0.22
04/01/2018	***-**-740I - PETRICK, MARILYN ACCOUNT #: 05018880350	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	1.95	0.00	1.95	0.5	0.01
04/01/2018	***-**-24IR - RAMACHANDRAN, ACCOUNT #: 05024528225	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	2.70	0.00	2.70	0.5	0.01
04/01/2018	***-**-2230 - BABYLON, JOHN ACCOUNT #: 05032117722	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	3.08	0.00	3.08	0.5	0.02
04/01/2018	***-**-89SI - LOZOWICKI, ACCOUNT #: 05034180595	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	1.25	0.00	1.25	0.5	0.01
04/01/2018	***-**-62IN - TANSKI, RONALD & ACCOUNT #: 07002170749	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	4.68	0.00	4.68	0.5	0.02
04/01/2018	***-**-7092 - ACCOUNT #: 00671948367	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	6.99	0.00	6.99	0.5	0.03



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/01/2018	***-**-7768 - ROY S TERESKY, ACCOUNT #: 00672036291	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	14.46	0.00	14.46	0.5	0.07
04/01/2018	***-**-3740 - KAVANAGH, KELLY ACCOUNT #: 00672150848	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	6.78	0.00	6.78	0.5	0.03
04/01/2018	***-**-738I - KAY, LAWRENCE ACCOUNT #: 00670276513	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	41.90	0.00	41.90	0.5	0.21
04/01/2018	***-**-400P - GROSS, LISA ACCOUNT #: 03808964385	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	5.12	0.00	5.12	0.5	0.03
04/01/2018	***-**-94IN - BOWERS, DEBORAH ACCOUNT #: 03809277852	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	4.48	0.00	4.48	0.5	0.02
04/01/2018	***-**-006P - MEADOWS, APRIL ACCOUNT #: 04038554103	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	9.01	0.00	9.01	0.5	0.05
04/16/2018	***-**-458I - KLAG, SCOTT ACCOUNT #: LSR010282	INVESCO AMERICAN FRANCHISE FUND -CL BUY 1 Units @0.0000	0.00	1.50	0.00	1.50	0.5	0.01
04/16/2018	***-**-22SI - PROUL, JEFFRY ACCOUNT #: LSR000175	INVESCO AMERICAN FRANCHISE FUND -CL BUY 1 Units @0.0000	0.00	1.87	0.00	1.87	0.5	0.01
04/01/2018	***-**-032I - GOVERNS, ACCOUNT #: 00092145620	INVESCO BALANCED-RISK RTRMNT 2040 - BUY 0 Units @0.0000	0.00	3.55	0.00	3.55	0.5	0.02
04/01/2018	***-**-99SK - FARRELL, ACCOUNT #: 00777135820	INVESCO BALANCED-RISK RTRMNT 2040 - BUY 0 Units @0.0000	0.00	21.75	0.00	21.75	0.5	0.11
04/01/2018	***-**-0402 - HOUGH, AMY ACCOUNT #: 00777140359	INVESCO BALANCED-RISK RTRMNT 2040 - BUY 0 Units @0.0000	0.00	5.60	0.00	5.60	0.5	0.03
04/02/2018	***-**-99SK - FARRELL, ACCOUNT #: 00777135820	INVESCO BALANCED-RISK RTRMNT 2040 - BUY 366 Units @8.2000	3,000.00	150.00	0.00	150.00	0.5	0.75
04/12/2018	***-**-335I - HARWOOD, RICHARD ACCOUNT #: LSR012060	INVESCO COMSTOCK FUND CL Y-NFS SELL 22 Units @26.7100	594.00	3.00	0.00	3.00	0.5	0.02
04/12/2018	***-**-915I - HARWOOD, ARLENE ACCOUNT #: LSR012080	INVESCO COMSTOCK FUND CL Y-NFS SELL 10 Units @26.7100	255.00	3.00	0.00	3.00	0.5	0.02
04/01/2018	***-**-86IN - KIZER, THOMAS ACCOUNT #: 01001326016	INVESCO CONVERTIBLE SECURITIES FUND BUY 0 Units @0.0000	0.00	14.90	0.00	14.90	0.5	0.07
04/12/2018	***-**-335I - HARWOOD, RICHARD ACCOUNT #: LSR012060	INVESCO EQUITY AND INCOME FND CL Y- SELL 55 Units @10.8500	594.00	3.00	0.00	3.00	0.5	0.02



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/12/2018	***-**-915I - HARWOOD, ARLENE ACCOUNT #: LSR012080	INVESCO EQUITY AND INCOME FND CL Y- SELL 23 Units @10.8500	247.50	3.00	0.00	3.00	0.5	0.02
04/12/2018	***-**-915I - HARWOOD, ARLENE ACCOUNT #: LSR012080	INVESCO GROWTH AND INCOME FUND-NFS SELL 9 Units @26.7300	247.49	3.00	0.00	3.00	0.5	0.02
04/01/2018	***-**-813I - GILMUND, MATTHEW ACCOUNT #: 04040537880	INVESCO STRUCTURED CORE FUND -CLASS BUY 0 Units @0.0000	0.00	1.53	0.00	1.53	0.5	0.01
04/01/2018	***-**-575P - PACKAGE SEP ACCOUNT #: 05014479132	INVESCO STRUCTURED CORE FUND -CLASS BUY 0 Units @0.0000	0.00	2.21	0.00	2.21	0.5	0.01
04/01/2018	***-**-62IN - TANSKI, RONALD & ACCOUNT #: 07002170749	INVESCO STRUCTURED CORE FUND -CLASS BUY 0 Units @0.0000	0.00	3.40	0.00	3.40	0.5	0.02
04/01/2018	***-**-400P - GROSS, LISA ACCOUNT #: 03808964385	INVESCO STRUCTURED CORE FUND -CLASS BUY 0 Units @0.0000	0.00	4.08	0.00	4.08	0.5	0.02
04/01/2018	***-**-3740 - KAVANAGH, KELLY ACCOUNT #: 00672150848	INVESCO VAN KAMPEN COMSTOCK CLASS A BUY 0 Units @0.0000	0.00	6.51	0.00	6.51	0.5	0.03
04/16/2018	***-**-101I - LEMOINE, STEVEN ACCOUNT #: LSR011390	INVESCO VAN KAMPEN COMSTOCK CLASS A BUY 1 Units @0.0000	0.00	6.86	0.00	6.86	0.5	0.03
04/01/2018	***-**-649I - HALL, DENICE ACCOUNT #: 04400015966	INVESCO VAN KAMPEN EQUITY AND INCOM BUY 0 Units @0.0000	0.00	127.84	0.00	127.84	0.5	0.64
04/01/2018	***-**-9772 - BUSKARD, MAUREEN ACCOUNT #: 05010322112	INVESCO VAN KAMPEN EQUITY AND INCOM BUY 0 Units @0.0000	0.00	19.20	0.00	19.20	0.5	0.10
04/16/2018	***-**-60TR - BLANCHARD TRUST, ACCOUNT #: LSR010327	INVESCO VAN KAMPEN EQUITY AND INCOM BUY 1 Units @0.0000	0.00	4.24	0.00	4.24	0.5	0.02
04/01/2018	***-**-190I - MYHRE, BRETT ACCOUNT #: 00777090554	INVESCO VAN KAMPEN MID CAP GROWTH A BUY 0 Units @0.0000	0.00	6.39	0.00	6.39	0.5	0.03
04/01/2018	***-**-04IN - LAMP, JOHN ACCOUNT #: 03908955333	INVESCO VAN KAMPEN MID CAP GROWTH A BUY 0 Units @0.0000	0.00	1.08	0.00	1.08	0.5	0.01
04/01/2018	***-**-24IR - RAMACHANDRAN, ACCOUNT #: 05024528100	INVESCO VAN KAMPEN MID CAP GROWTH A BUY 0 Units @0.0000	0.00	8.54	0.00	8.54	0.5	0.04
04/01/2018	***-**-24IR - RAMACHANDRAN, ACCOUNT #: 05024528225	INVESCO VAN KAMPEN MID CAP GROWTH A BUY 0 Units @0.0000	0.00	6.17	0.00	6.17	0.5	0.03
04/01/2018	***-**-404I - ROEHRICH, DULCE ACCOUNT #: 05024554932	INVESCO VAN KAMPEN MID CAP GROWTH A BUY 0 Units @0.0000	0.00	3.13	0.00	3.13	0.5	0.02



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-4943 - RAMACHANDRAN, ACCOUNT #: 05055123672	INVESCO VAN KAMPEN MID CAP GROWTH A BUY 0 Units @0.0000	0.00	4.93	0.00	4.93	0.5	0.02
04/01/2018	***-**-7092 - ACCOUNT #: 00671948367	INVESCO VAN KAMPEN MID CAP GROWTH A BUY 0 Units @0.0000	0.00	2.40	0.00	2.40	0.5	0.01
04/01/2018	***-**-3740 - KAVANAGH, KELLY ACCOUNT #: 00672150848	INVESCO VAN KAMPEN MID CAP GROWTH A BUY 0 Units @0.0000	0.00	8.37	0.00	8.37	0.5	0.04
04/01/2018	***-**-256P - LAI, ANITA ACCOUNT #: 03910074685	INVESCO VAN KAMPEN MID CAP GROWTH A BUY 0 Units @0.0000	0.00	17.24	0.00	17.24	0.5	0.09
04/01/2018	***-**-7092 - ACCOUNT #: 00671948367	INVESCO VAN KAMPEN SMALL CAP GROWTH BUY 0 Units @0.0000	0.00	2.59	0.00	2.59	0.5	0.01
04/01/2018	***-**-7092 - ACCOUNT #: 00671948367	INVESCO VAN KAMPEN SMALL CAP VALUE BUY 0 Units @0.0000	0.00	4.00	0.00	4.00	0.5	0.02
04/01/2018	***-**-3740 - KAVANAGH, KELLY ACCOUNT #: 00672150848	INVESCO VAN KAMPEN SMALL CAP VALUE BUY 0 Units @0.0000	0.00	10.00	0.00	10.00	0.5	0.05
04/16/2018	***-**-101I - LEMOINE, STEVEN ACCOUNT #: LSR011390	INVESCO VAN KAMPEN SMALL CAP VALUE BUY 1 Units @0.0000	0.00	10.90	0.00	10.90	0.5	0.05
04/01/2018	***-**-590I - LOEWE, VICTORIA ACCOUNT #: 05057016999	INVESCO VAN KAMPEN VALUE OPP CLASS BUY 0 Units @0.0000	0.00	2.05	0.00	2.05	0.5	0.01
04/01/2018	***-**-03CL - GEORGIEV, ACCOUNT #: 01001386661	INVESCO VAN KAMPEN VALUE OPP CLASS BUY 0 Units @0.0000	0.00	7.78	0.00	7.78	0.5	0.04
04/01/2018	***-**-265I - SHEKMAN, MICHAEL ACCOUNT #: 03910734502	INVESCO VAN KAMPEN VALUE OPP CLASS BUY 0 Units @0.0000	0.00	3.99	0.00	3.99	0.5	0.02
04/01/2018	***-**-264I - SHEKMAN, TANYA ACCOUNT #: 04040466536	INVESCO VAN KAMPEN VALUE OPP CLASS BUY 0 Units @0.0000	0.00	3.99	0.00	3.99	0.5	0.02
04/01/2018	***-**-06UG - APOSTOLOS, ACCOUNT #: 03810838635	INVESCO VAN KAMPEN VALUE OPP CLASS BUY 0 Units @0.0000	0.00	5.07	0.00	5.07	0.5	0.03
04/01/2018	***-**-45IR - HAHN, SHAUN ACCOUNT #: 03909298923	IVK AMERICAN VALUE FUND - CLASS A BUY 0 Units @0.0000	0.00	5.94	0.00	5.94	0.5	0.03
04/01/2018	***-**-625P - FOURACRE, RHONDA ACCOUNT #: 05067327493	IVK AMERICAN VALUE FUND - CLASS A BUY 0 Units @0.0000	0.00	8.13	0.00	8.13	0.5	0.04
04/01/2018	***-**-6155 - LIPKOWITZ, VICKI ACCOUNT #: 05013754394	IVK AMERICAN VALUE FUND - CLASS A BUY 0 Units @0.0000	0.00	5.99	0.00	5.99	0.5	0.03



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-7193 - GALE, WALTER	IVK AMERICAN VALUE FUND - CLASS A	0.00	1.85	0.00	1.85	0.5	0.01
	ACCOUNT #: 05013755144	BUY 0 Units @0.0000						
04/01/2018	***-**-2773 - DASARO, ANN	IVK AMERICAN VALUE FUND - CLASS A	0.00	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: 05019765972	BUY 0 Units @0.0000						
04/01/2018	***-**-905J - MAZZA/VIGLIONE,	IVK GROWTH AND INCOME FUND - CLASS	0.00	34.90	0.00	34.90	0.5	0.17
	ACCOUNT #: 00670605502	BUY 0 Units @0.0000						
04/16/2018	***-**-07SI - BODDIE, FBO	IVK GROWTH AND INCOME FUND - CLASS	0.00	3.74	0.00	3.74	0.5	0.02
	ACCOUNT #: LSR007161	BUY 1 Units @0.0000						
04/16/2018	***-**-60TR - BLANCHARD TRUST,	IVK GROWTH AND INCOME FUND - CLASS	0.00	6.77	0.00	6.77	0.5	0.03
	ACCOUNT #: LSR010327	BUY 1 Units @0.0000						
04/16/2018	***-**-034I - YEARY, LYNETTE	IVK GROWTH AND INCOME FUND - CLASS	0.00	1.05	0.00	1.05	0.5	0.01
	ACCOUNT #: LSR012190	BUY 1 Units @0.0000						
04/01/2018	***-**-87TR - MARTIN, HELEN	IVK SENIOR LOAN FUND - CLASS IB	0.00	16.92	0.00	16.92	0.5	0.08
	ACCOUNT #: 00671249463	BUY 0 Units @0.0000						
04/01/2018	***-**-879P - KING H LU, CHEN	IVK VALUE OPPORTUNITIES FUND -CLASS	0.00	9.02	0.00	9.02	0.5	0.05
	ACCOUNT #: 03810505994	BUY 0 Units @0.0000						
04/16/2018	***-**-871X - FORD, KYLE	IVY ASSET STRATEGY FUND CLASS A	0.00	5.16	0.00	5.16	0.5	0.03
	ACCOUNT #: LSR010041	BUY 1 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	IVY BALANCED CLASS A	0.00	4.40	0.00	4.40	0.5	0.02
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	IVY HIGH INCOME CL A	0.00	3.87	0.00	3.87	0.5	0.02
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	IVY MID CAP GROWTH CL A	0.00	5.46	0.00	5.46	0.5	0.03
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
04/16/2018	***-**-255I - GRAHAM, DEBORAH	IVY MID CAP GROWTH CL A	0.00	9.06	0.00	9.06	0.5	0.05
	ACCOUNT #: LSR011397	BUY 1 Units @0.0000						
04/16/2018	***-**-255I - GRAHAM, DEBORAH	IVY SCIENCE & TECHNOLOGY CL B	0.00	12.19	0.00	12.19	0.5	0.06
	ACCOUNT #: LSR011397	BUY 1 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	IVY SCIENCE AND TECHNOLOGY FUND CLA	0.00	6.06	0.00	6.06	0.5	0.03
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
04/16/2018	***-**-671O - EVA JAYNE	IVY SCIENCE AND TECHNOLOGY FUND CLA	0.00	25.21	0.00	25.21	0.5	0.13
	ACCOUNT #: LSR011403	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/11/2018	***-**-1356 - RASOE, PETER	JOHN HANCOCK 529 TRAILS	0.00	14.12	0.00	14.12	0.5	0.07
	ACCOUNT #: 06000001800	BUY 0 Units @0.0000						
04/11/2018	***-**-675P - DOTSON, LORRAINE	JOHN HANCOCK 529 TRAILS	0.00	5.01	0.00	5.01	0.5	0.03
	ACCOUNT #: 6010002014	BUY 0 Units @0.0000						
04/11/2018	***-**-675P - DOTSON, LORRAINE	JOHN HANCOCK 529 TRAILS	0.00	-5.01	0.00	-5.01	0.5	-0.03
	ACCOUNT #: 6010002014	BUY 0 Units @0.0000						
04/11/2018	***-**-605P - FREIBERG, ALAN	JOHN HANCOCK 529 TRAILS	0.00	5.01	0.00	5.01	0.5	0.03
	ACCOUNT #: 00522558746	BUY 0 Units @0.0000						
04/11/2018	***-**-105P - BROCKWELL, P.	JOHN HANCOCK 529 TRAILS	0.00	2.02	0.00	2.02	0.5	0.01
	ACCOUNT #: 00052666393	BUY 0 Units @0.0000						
04/11/2018	***-**-675P - DOTSON, LORRAINE	JOHN HANCOCK 529 TRAILS	0.00	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: 6010002014	BUY 0 Units @0.0000						
04/16/2018	***-**-9944 - KOKIS, SAMUEL	JOHN HANCOCK CLASSIC VALUE FUND CLA	0.00	1.47	0.00	1.47	0.5	0.01
	ACCOUNT #: LSR104922	BUY 1 Units @0.0000						
04/16/2018	***-**-8658 - SOLOFF, MIRIAM	JOHN HANCOCK NEW OPPORTUNITIES CL A	0.00	2.13	0.00	2.13	0.5	0.01
	ACCOUNT #: LSR105201	BUY 1 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	JPMORGAN MID CAP VALUE FUND CLASS A	0.00	13.04	0.00	13.04	0.5	0.07
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
04/16/2018	***-**-033I - KATZENBERGER,	JPMORGAN MID CAP VALUE FUND CLASS A	0.00	5.40	0.00	5.40	0.5	0.03
	ACCOUNT #: LSR011507	BUY 1 Units @0.0000						
04/04/2018	***-**-21IR - RAMOS, VALENTE	LARGE CAP GROWTH FUND - A	0.00	2.27	0.00	2.27	0.5	0.01
	ACCOUNT #: 00000500391	BUY 0 Units @0.0000						
04/04/2018	***-**-21IN - RAMOS, VALENTE	LARGE CAP GROWTH FUND - A	0.00	11.77	0.00	11.77	0.5	0.06
	ACCOUNT #: 00000500395	BUY 0 Units @0.0000						
04/16/2018	***-**-7888 - LEOVITZ, SARAH	LARGCAP GROWTH - CLASS A	0.00	1.95	0.00	1.95	0.5	0.01
	ACCOUNT #: LSR106011	BUY 1 Units @0.0000						
04/16/2018	***-**-209I - FRIED	LIFESTYLE GROWTH PORTFOLIO A	0.00	1.29	0.00	1.29	0.5	0.01
	ACCOUNT #: LSR105805	BUY 1 Units @0.0000						
04/16/2018	***-**-9072 - FRIED, FRAIDEL	LIFESTYLE GROWTH PORTFOLIO A	0.00	1.32	0.00	1.32	0.5	0.01
	ACCOUNT #: LSR105813	BUY 1 Units @0.0000						
03/31/2018	***-**-283I - ESPINOZA, EDWARD	LIMITED TERM GOVERNMENT A	0.00	1.26	0.00	1.26	0.5	0.01
	ACCOUNT #: 08550881749	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	LIMITED TERM GOVERNMENT A	0.00	5.27	0.00	5.27	0.5	0.03
	ACCOUNT #: 08552305017	BUY 0 Units @0.0000						
03/31/2018	***-**-533I - CHAPADOS, JOSEPH	LIMITED TERM GOVERNMENT A	0.00	37.16	0.00	37.16	0.5	0.19
	ACCOUNT #: 08552392731	BUY 0 Units @0.0000						
03/31/2018	***-**-336I - GULICK, JAY	LIMITED TERM GOVERNMENT A	0.00	14.39	0.00	14.39	0.5	0.07
	ACCOUNT #: 08553056284	BUY 0 Units @0.0000						
03/31/2018	***-**-521I - MCCUNE, ELAINE	LIMITED TERM GOVERNMENT A	0.00	22.30	0.00	22.30	0.5	0.11
	ACCOUNT #: 08553114694	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	LIMITED TERM MUNICIPAL FUND A	0.00	5.27	0.00	5.27	0.5	0.03
	ACCOUNT #: 08600298540	BUY 0 Units @0.0000						
03/31/2018	***-**-950I - BEVACQUA,	LIMITED TERM MUNICIPAL FUND A	0.00	4.58	0.00	4.58	0.5	0.02
	ACCOUNT #: 08601215291	BUY 0 Units @0.0000						
04/09/2018	***-**-65CL - LIFEMARK,	LINCOLN 008148728	82.50	1.65	0.00	1.65	0.5	0.01
	ACCOUNT #: F1519921	BUY 0 Units @0.0000						
04/09/2018	***-**-9743 - ZECHAR, LANNY	LINCOLN 008148728	221.46	4.43	0.00	4.43	0.5	0.02
	ACCOUNT #: F1522111	BUY 0 Units @0.0000						
04/09/2018	***-**-65CL - LIFEMARK,	LINCOLN 008148728	65.00	1.30	0.00	1.30	0.5	0.01
	ACCOUNT #: F1526738	BUY 0 Units @0.0000						
04/10/2018	***-**-7810 - PEYMAN, KAMRAN	LINCOLN 008148728	67.00	1.34	0.00	1.34	0.5	0.01
	ACCOUNT #: F1517691	BUY 0 Units @0.0000						
04/12/2018	***-**-2838 - HUYNH, NGOC	LINCOLN 008148728	90.00	1.80	0.00	1.80	0.5	0.01
	ACCOUNT #: F1520508	BUY 0 Units @0.0000						
04/12/2018	***-**-65CL - LIFEMARK,	LINCOLN 008148728	200.00	4.00	0.00	4.00	0.5	0.02
	ACCOUNT #: F1521605	BUY 0 Units @0.0000						
04/09/2018	***-**-1148 - NORTON, DAVID	LINCOLN 53301E104	0.00	1.02	0.00	1.02	0.5	0.01
	ACCOUNT #: LBLA117189	BUY 0 Units @0.0000						
04/09/2018	***-**-1148 - NORTON, DAVID	LINCOLN 53301E104	0.00	1.02	0.00	1.02	0.5	0.01
	ACCOUNT #: LBLA117189	BUY 0 Units @0.0000						
04/09/2018	***-**-1148 - NORTON, DAVID	LINCOLN 53301E104	0.00	1.02	0.00	1.02	0.5	0.01
	ACCOUNT #: LBLA117189	BUY 0 Units @0.0000						
04/09/2018	***-**-1148 - NORTON, DAVID	LINCOLN 53301E104	0.00	1.43	0.00	1.43	0.5	0.01
	ACCOUNT #: LBLA117189	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/09/2018	***-**-1148 - NORTON, DAVID	LINCOLN 53301E104	0.00	1.43	0.00	1.43	0.5	0.01
	ACCOUNT #: LBLA117189	BUY 0 Units @0.0000						
03/31/2018	***-**-895I - WEINERMAN, JASON	MAIN STREET FUND A	0.00	32.67	0.00	32.67	0.5	0.16
	ACCOUNT #: 04202021448	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	MAIN STREET FUND A	0.00	3.27	0.00	3.27	0.5	0.02
	ACCOUNT #: 04202585627	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	MAIN STREET FUND A	0.00	2.25	0.00	2.25	0.5	0.01
	ACCOUNT #: 04203216004	BUY 0 Units @0.0000						
03/31/2018	***-**-283I - ESPINOZA, EDWARD	MAIN STREET FUND A	0.00	7.93	0.00	7.93	0.5	0.04
	ACCOUNT #: 04203593953	BUY 0 Units @0.0000						
03/31/2018	***-**-56IN - SHIELDS-FUSILLI,	MAIN STREET FUND A	0.00	25.74	0.00	25.74	0.5	0.13
	ACCOUNT #: 07000388435	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	MAIN STREET FUND A	0.00	22.89	0.00	22.89	0.5	0.11
	ACCOUNT #: 07000427729	BUY 0 Units @0.0000						
03/31/2018	***-**-850I - WEBB, SERENE	MAIN STREET FUND A	0.00	7.22	0.00	7.22	0.5	0.04
	ACCOUNT #: 07000606705	BUY 0 Units @0.0000						
03/31/2018	***-**-375I - HILL, BRIAN	MAIN STREET FUND A	0.00	23.86	0.00	23.86	0.5	0.12
	ACCOUNT #: 07000735086	BUY 0 Units @0.0000						
03/31/2018	***-**-2918 - GALANEK, CHARLES	MAIN STREET FUND A	0.00	6.75	0.00	6.75	0.5	0.03
	ACCOUNT #: 07000751149	BUY 0 Units @0.0000						
03/31/2018	***-**-901I - JEZAK, CYNTHIA	MAIN STREET FUND A	0.00	40.49	0.00	40.49	0.5	0.20
	ACCOUNT #: 07000934323	BUY 0 Units @0.0000						
03/31/2018	***-**-27IR - LY, VAN	MAIN STREET FUND A	0.00	18.44	0.00	18.44	0.5	0.09
	ACCOUNT #: 07001648111	BUY 0 Units @0.0000						
03/31/2018	***-**-54IR - WEBB, MAX	MAIN STREET FUND A	0.00	7.53	0.00	7.53	0.5	0.04
	ACCOUNT #: 07002743196	BUY 0 Units @0.0000						
03/31/2018	***-**-349I - HADSOCK, DEBORAH	MAIN STREET FUND A	0.00	13.69	0.00	13.69	0.5	0.07
	ACCOUNT #: 07003458249	BUY 0 Units @0.0000						
03/31/2018	***-**-415I - HUANG, XIANG	MAIN STREET FUND A	0.00	2.71	0.00	2.71	0.5	0.01
	ACCOUNT #: 07003720123	BUY 0 Units @0.0000						
03/31/2018	***-**-400I - KINCAID, TAMARA	MAIN STREET FUND A	0.00	5.03	0.00	5.03	0.5	0.03
	ACCOUNT #: 07004060149	BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
03/31/2018	***-**-254I - MASON, LOUIS	MAIN STREET FUND A	0.00	8.54	0.00	8.54	0.5	0.04
	ACCOUNT #: 07004725691	BUY 0 Units @0.0000						
03/31/2018	***-**-730I - KERILLA, STEPHEN	MAIN STREET FUND A	0.00	11.47	0.00	11.47	0.5	0.06
	ACCOUNT #: 07004725702	BUY 0 Units @0.0000						
03/31/2018	***-**-099I - MASON, CHARLES	MAIN STREET FUND A	0.00	8.54	0.00	8.54	0.5	0.04
	ACCOUNT #: 07004725713	BUY 0 Units @0.0000						
03/31/2018	***-**-521I - MCCUNE, ELAINE	MAIN STREET FUND A	0.00	19.55	0.00	19.55	0.5	0.10
	ACCOUNT #: 07005031095	BUY 0 Units @0.0000						
03/31/2018	***-**-211N - MCCUNE, ELAINE	MAIN STREET FUND A	0.00	12.84	0.00	12.84	0.5	0.06
	ACCOUNT #: 07005031106	BUY 0 Units @0.0000						
03/31/2018	***-**-950I - BEVACQUA,	MAIN STREET FUND A	0.00	8.57	0.00	8.57	0.5	0.04
	ACCOUNT #: 07005394249	BUY 0 Units @0.0000						
03/31/2018	***-**-8999 - HANIFF, SHAWN	MAIN STREET FUND A	0.00	5.66	0.00	5.66	0.5	0.03
	ACCOUNT #: 07005566363	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	MAIN STREET FUND A	0.00	6.98	0.00	6.98	0.5	0.03
	ACCOUNT #: 07006110423	BUY 0 Units @0.0000						
03/31/2018	***-**-971N - CHAPADOS, KEVIN	MAIN STREET FUND A	0.00	5.86	0.00	5.86	0.5	0.03
	ACCOUNT #: 07006110434	BUY 0 Units @0.0000						
03/31/2018	***-**-294I - FETTERMAN,	MAIN STREET FUND A	0.00	3.87	0.00	3.87	0.5	0.02
	ACCOUNT #: 07006482866	BUY 0 Units @0.0000						
03/31/2018	***-**-283I - WEELE, PAUL A	MAIN STREET FUND A	0.00	5.28	0.00	5.28	0.5	0.03
	ACCOUNT #: 07006489851	BUY 0 Units @0.0000						
03/31/2018	***-**-9415 - CUNLIFFE,	MAIN STREET FUND A	0.00	8.79	0.00	8.79	0.5	0.04
	ACCOUNT #: 07006570597	BUY 0 Units @0.0000						
03/31/2018	***-**-9103 - MASON, EDWARD	MAIN STREET FUND A	0.00	3.55	0.00	3.55	0.5	0.02
	ACCOUNT #: 07006570784	BUY 0 Units @0.0000						
03/31/2018	***-**-6478 - RUFF, KENNETH	MAIN STREET FUND A	0.00	8.06	0.00	8.06	0.5	0.04
	ACCOUNT #: 07006570938	BUY 0 Units @0.0000						
03/31/2018	***-**-411R - FELICETTI, MARY	MAIN STREET FUND A	0.00	24.89	0.00	24.89	0.5	0.12
	ACCOUNT #: 07007759851	BUY 0 Units @0.0000						
03/31/2018	***-**-159I - KRALE, SUZANNE	MAIN STREET FUND A	0.00	30.04	0.00	30.04	0.5	0.15
	ACCOUNT #: 07007909418	BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u>								
03/31/2018	***-**-9336 - GULICK, JAY	MAIN STREET FUND A	0.00	9.36	0.00	9.36	0.5	0.05
	ACCOUNT #: 07008285425	BUY 0 Units @0.0000						
03/31/2018	***-**-42IN - JURAK, DANIEL	MAIN STREET FUND A	0.00	7.68	0.00	7.68	0.5	0.04
	ACCOUNT #: 07008394683	BUY 0 Units @0.0000						
03/31/2018	***-**-7045 - KATUSKA, EDWARD	MAIN STREET FUND A	0.00	2.18	0.00	2.18	0.5	0.01
	ACCOUNT #: 07009076567	BUY 0 Units @0.0000						
03/31/2018	***-**-71IE - LU, SHERRY	MAIN STREET FUND A	0.00	1.58	0.00	1.58	0.5	0.01
	ACCOUNT #: 07009236040	BUY 0 Units @0.0000						
03/31/2018	***-**-26IE - LU, JACQUELINE	MAIN STREET FUND A	0.00	1.58	0.00	1.58	0.5	0.01
	ACCOUNT #: 07009236062	BUY 0 Units @0.0000						
03/31/2018	***-**-06IE - LU, TENNYSON	MAIN STREET FUND A	0.00	1.59	0.00	1.59	0.5	0.01
	ACCOUNT #: 07009236073	BUY 0 Units @0.0000						
03/31/2018	***-**-5033 - KATZENBERGER,	MAIN STREET FUND A	0.00	1.47	0.00	1.47	0.5	0.01
	ACCOUNT #: 07003577024	BUY 0 Units @0.0000						
03/31/2018	***-**-4572 - MELIN, LUCILLE	MAIN STREET FUND A	0.00	45.53	0.00	45.53	0.5	0.23
	ACCOUNT #: 07003577145	BUY 0 Units @0.0000						
03/31/2018	***-**-9220 -	MAIN STREET FUND A	0.00	5.56	0.00	5.56	0.5	0.03
	ACCOUNT #: 07004400088	BUY 0 Units @0.0000						
03/31/2018	***-**-1550 - LIPKOWITZ, TOD	MAIN STREET FUND A	0.00	5.07	0.00	5.07	0.5	0.03
	ACCOUNT #: 07004528480	BUY 0 Units @0.0000						
03/31/2018	***-**-0075 - MEHIT, LAURA	MAIN STREET FUND A	0.00	5.43	0.00	5.43	0.5	0.03
	ACCOUNT #: 07005702293	BUY 0 Units @0.0000						
03/31/2018	***-**-03IN - IADIANO, EDNA	MAIN STREET FUND A	0.00	79.09	0.00	79.09	0.5	0.40
	ACCOUNT #: 07005288902	BUY 0 Units @0.0000						
03/31/2018	***-**-86IN - HAWXHURST, DAVID	MAIN STREET FUND A	0.00	2.43	0.00	2.43	0.5	0.01
	ACCOUNT #: 04203891591	BUY 0 Units @0.0000						
03/31/2018	***-**-0535 - NAVARRO, THOMAS	MAIN STREET FUND A	0.00	44.30	0.00	44.30	0.5	0.22
	ACCOUNT #: 07001461856	BUY 0 Units @0.0000						
03/31/2018	***-**-9336 - GULICK, JAY	MAIN STREET FUND B	0.00	1.37	0.00	1.37	0.5	0.01
	ACCOUNT #: 07019360010	BUY 0 Units @0.0000						
03/31/2018	***-**-69IN - ROSENGRANT, MARY	MAIN STREET FUND C	0.00	37.87	0.00	37.87	0.5	0.19
	ACCOUNT #: 07020223267	BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u>								
03/31/2018	***-**-191I - HALLIN, MARY	MAIN STREET FUND C	0.00	96.58	0.00	96.58	0.5	0.48
	ACCOUNT #: 07020708488	BUY 0 Units @0.0000						
03/31/2018	***-**-783I - REARDON, PATRICK	MAIN STREET FUND C	0.00	1.26	0.00	1.26	0.5	0.01
	ACCOUNT #: 07020714296	BUY 0 Units @0.0000						
03/31/2018	***-**-821I - MUENZER, JAMES	MAIN STREET FUND C	0.00	16.05	0.00	16.05	0.5	0.08
	ACCOUNT #: 07020988669	BUY 0 Units @0.0000						
03/31/2018	***-**-04UG - PANTAPALANKOOR,	MAIN STREET FUND C	0.00	15.61	0.00	15.61	0.5	0.08
	ACCOUNT #: 07021004289	BUY 0 Units @0.0000						
03/31/2018	***-**-53IN - WANG, MICHEL	MAIN STREET FUND C	0.00	39.30	0.00	39.30	0.5	0.20
	ACCOUNT #: 07021739122	BUY 0 Units @0.0000						
03/31/2018	***-**-6593 - GREGORICH, JOHN	MAIN STREET OPPORTUNITY FUND B	0.00	1.13	0.00	1.13	0.5	0.01
	ACCOUNT #: 07321094280	BUY 0 Units @0.0000						
04/05/2018	***-**-935I - MUNSON, WENDY	MAINSTAY CORNERSTONE GROWTH FD INV	0.00	1.30	0.00	1.30	0.5	0.01
	ACCOUNT #: 00010057226	BUY 0 Units @0.0000						
04/05/2018	***-**-935I - MUNSON, WENDY	MAINSTAY EPOCH US EQUITY YIELD INV	0.00	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: 00010057226	BUY 0 Units @0.0000						
04/05/2018	***-**-90IN - ROMAN-NELSON,	MAINSTAY S&P 500 INDEX CL A	0.00	13.68	0.00	13.68	0.5	0.07
	ACCOUNT #: 00054910400	BUY 0 Units @0.0000						
04/05/2018	***-**-1039 - MCGRATH, JUDITH	MAINSTAY U.S. SMALL CAP FUND INV CL	0.00	3.40	0.00	3.40	0.5	0.02
	ACCOUNT #: 00011040602	BUY 0 Units @0.0000						
04/01/2018	***-**-8958 - TARAN, JOSEPH	MASS INVESTORS GROWTH STOCK FUND-A	0.00	72.05	0.00	72.05	0.5	0.36
	ACCOUNT #: 00060366039	BUY 0 Units @0.0000						
04/01/2018	***-**-2444 - TARAN, STEPHEN	MASS INVESTORS GROWTH STOCK FUND-A	0.00	72.71	0.00	72.71	0.5	0.36
	ACCOUNT #: 00060366041	BUY 0 Units @0.0000						
04/01/2018	***-**-2780 - WHITMORE,	MASS INVESTORS GROWTH STOCK FUND-A	0.00	23.37	0.00	23.37	0.5	0.12
	ACCOUNT #: 00060366106	BUY 0 Units @0.0000						
04/01/2018	***-**-703J - MCBRIDE, PATRICK	MASS INVESTORS GROWTH STOCK FUND-A	0.00	7.50	0.00	7.50	0.5	0.04
	ACCOUNT #: 00060366260	BUY 0 Units @0.0000						
04/01/2018	***-**-005P - RUTLAND	MASS INVESTORS GROWTH STOCK FUND-A	0.00	5.76	0.00	5.76	0.5	0.03
	ACCOUNT #: 00060388037	BUY 0 Units @0.0000						
04/01/2018	***-**-715P - RUTLAND	MASS INVESTORS GROWTH STOCK FUND-A	0.00	11.42	0.00	11.42	0.5	0.06
	ACCOUNT #: 00060390553	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/01/2018	***-**-7219 - YENDELL, MICHAEL	MASS INVESTORS GROWTH STOCK FUND-A	0.00	5.15	0.00	5.15	0.5	0.03
	ACCOUNT #: 00060410897	BUY 0 Units @0.0000						
04/01/2018	***-**-385P - MOUNTAIN DRYWALL	MASS INVESTORS GROWTH STOCK FUND-A	0.00	16.46	0.00	16.46	0.5	0.08
	ACCOUNT #: 00060410898	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - SMITH, LORI	MASS INVESTORS GROWTH STOCK FUND-A	0.00	36.01	0.00	36.01	0.5	0.18
	ACCOUNT #: 00060411511	BUY 0 Units @0.0000						
04/01/2018	***-**-761I - HEWES, GEORGE	MASS INVESTORS GROWTH STOCK FUND-A	0.00	2.06	0.00	2.06	0.5	0.01
	ACCOUNT #: 00060412326	BUY 0 Units @0.0000						
04/01/2018	***-**-910I - JANAKIRAMAN,	MASS INVESTORS GROWTH STOCK FUND-A	0.00	4.72	0.00	4.72	0.5	0.02
	ACCOUNT #: 00060412332	BUY 0 Units @0.0000						
04/01/2018	***-**-95UG - KHOURY, DAVID	MASS INVESTORS GROWTH STOCK FUND-A	0.00	3.96	0.00	3.96	0.5	0.02
	ACCOUNT #: 00060436777	BUY 0 Units @0.0000						
04/01/2018	***-**-5566 - & TRUST, PLAN &	MASS INVESTORS GROWTH STOCK FUND-A	0.00	25.22	0.00	25.22	0.5	0.13
	ACCOUNT #: 00060445803	BUY 0 Units @0.0000						
04/01/2018	***-**-4566 - JURAK, DANIEL	MASS INVESTORS GROWTH STOCK FUND-A	0.00	25.01	0.00	25.01	0.5	0.13
	ACCOUNT #: 00060450082	BUY 0 Units @0.0000						
04/01/2018	***-**-796I - PORTER, GROVER	MASS INVESTORS GROWTH STOCK FUND-A	0.00	23.66	0.00	23.66	0.5	0.12
	ACCOUNT #: 00060464764	BUY 0 Units @0.0000						
04/01/2018	***-**-31UG - KHOURY, BASIM &	MASS INVESTORS GROWTH STOCK FUND-A	0.00	1.16	0.00	1.16	0.5	0.01
	ACCOUNT #: 00060465067	BUY 0 Units @0.0000						
04/01/2018	***-**-29UG - KHOURY, BASIM &	MASS INVESTORS GROWTH STOCK FUND-A	0.00	1.16	0.00	1.16	0.5	0.01
	ACCOUNT #: 00060465068	BUY 0 Units @0.0000						
04/01/2018	***-**-98UG - KHOURY, BASIM &	MASS INVESTORS GROWTH STOCK FUND-A	0.00	1.16	0.00	1.16	0.5	0.01
	ACCOUNT #: 00060465069	BUY 0 Units @0.0000						
04/01/2018	***-**-25UG - KHOURY, BASIM &	MASS INVESTORS GROWTH STOCK FUND-A	0.00	1.16	0.00	1.16	0.5	0.01
	ACCOUNT #: 00060465070	BUY 0 Units @0.0000						
04/01/2018	***-**-669I - LOSO, KEVIN	MASS INVESTORS GROWTH STOCK FUND-A	0.00	2.65	0.00	2.65	0.5	0.01
	ACCOUNT #: 00060480114	BUY 0 Units @0.0000						
04/01/2018	***-**-6669 - HOUSING	MASS INVESTORS GROWTH STOCK FUND-A	0.00	17.76	0.00	17.76	0.5	0.09
	ACCOUNT #: 00060487980	BUY 0 Units @0.0000						
04/01/2018	***-**-1879 - WAHAB, G	MASS INVESTORS GROWTH STOCK FUND-A	0.00	19.29	0.00	19.29	0.5	0.10
	ACCOUNT #: 08186776765	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-879J - WAHAB, MAGGY ACCOUNT #: 08187411709	MASS INVESTORS GROWTH STOCK FUND-A BUY 0 Units @0.0000	0.00	8.91	0.00	8.91	0.5	0.04
04/01/2018	***-**-879I - WAHAB, G ACCOUNT #: 08187411713	MASS INVESTORS GROWTH STOCK FUND-A BUY 0 Units @0.0000	0.00	14.78	0.00	14.78	0.5	0.07
04/01/2018	***-**-575P - PACKAGE SEP ACCOUNT #: 08187411729	MASS INVESTORS GROWTH STOCK FUND-A BUY 0 Units @0.0000	0.00	21.34	0.00	21.34	0.5	0.11
04/01/2018	***-**-795P - WAHAB, G ACCOUNT #: 08187775132	MASS INVESTORS GROWTH STOCK FUND-A BUY 0 Units @0.0000	0.00	8.34	0.00	8.34	0.5	0.04
04/01/2018	***-**-79IN - WAHAB, MAGGY ACCOUNT #: 08187957615	MASS INVESTORS GROWTH STOCK FUND-A BUY 0 Units @0.0000	0.00	7.28	0.00	7.28	0.5	0.04
04/01/2018	***-**-3833 - ERDNER, MATHEW ACCOUNT #: 08187980406	MASS INVESTORS GROWTH STOCK FUND-A BUY 0 Units @0.0000	0.00	19.61	0.00	19.61	0.5	0.10
04/01/2018	***-**-345P - PORTER MUSIC BOX ACCOUNT #: 08188649931	MASS INVESTORS GROWTH STOCK FUND-A BUY 0 Units @0.0000	0.00	1.29	0.00	1.29	0.5	0.01
04/01/2018	***-**-14SI - KENNY, KANDACE ACCOUNT #: 08191126449	MASS INVESTORS GROWTH STOCK FUND-A BUY 0 Units @0.0000	0.00	1.06	0.00	1.06	0.5	0.01
04/01/2018	***-**-1857 - PACKAGE SEP ACCOUNT #: 08191318833	MASS INVESTORS GROWTH STOCK FUND-A BUY 0 Units @0.0000	0.00	2.79	0.00	2.79	0.5	0.01
04/09/2018	***-**-3833 - ERDNER, MATHEW ACCOUNT #: 08187980406	MASS INVESTORS GROWTH STOCK FUND-A BUY 2 Units @29.5100	65.00	2.60	0.00	2.60	0.5	0.01
04/01/2018	***-**-8958 - TARAN, JOSEPH ACCOUNT #: 08187067437	MASS INVESTORS GROWTH STOCK FUND-B BUY 0 Units @0.0000	0.00	9.71	0.00	9.71	0.5	0.05
04/01/2018	***-**-2444 - TARAN, STEPHEN ACCOUNT #: 08187067461	MASS INVESTORS GROWTH STOCK FUND-B BUY 0 Units @0.0000	0.00	27.09	0.00	27.09	0.5	0.14
04/01/2018	***-**-0771 - YENDELL, HEATHER ACCOUNT #: 08187246906	MASS INVESTORS GROWTH STOCK FUND-B BUY 0 Units @0.0000	0.00	10.49	0.00	10.49	0.5	0.05
04/01/2018	***-**-695P - HOUSING ACCOUNT #: 08188012588	MASS INVESTORS GROWTH STOCK FUND-B BUY 0 Units @0.0000	0.00	2.60	0.00	2.60	0.5	0.01
04/09/2018	***-**-2444 - TARAN, STEPHEN ACCOUNT #: 08187067461	MASS INVESTORS GROWTH STOCK FUND-B BUY 4 Units @24.4300	99.38	3.98	0.00	3.98	0.5	0.02
04/09/2018	***-**-2444 - TARAN, STEPHEN ACCOUNT #: 08187067461	MASS INVESTORS GROWTH STOCK FUND-B BUY 12 Units @24.4300	287.50	11.50	0.00	11.50	0.5	0.06



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/01/2018	***-**-879I - WAHAB, G	MASSACHUSETTS INVESTORS TRUST-A	0.00	18.80	0.00	18.80	0.5	0.09
	ACCOUNT #: 00000903690	BUY 0 Units @0.0000						
04/01/2018	***-**-425P - RUTLAND	MASSACHUSETTS INVESTORS TRUST-A	0.00	67.01	0.00	67.01	0.5	0.34
	ACCOUNT #: 00060389296	BUY 0 Units @0.0000						
04/01/2018	***-**-1789 - TUNZI, UMBERTO	MASSACHUSETTS INVESTORS TRUST-A	0.00	5.27	0.00	5.27	0.5	0.03
	ACCOUNT #: 08184428526	BUY 0 Units @0.0000						
04/01/2018	***-**-011I - BERNHARD, DALE	MASSACHUSETTS INVESTORS TRUST-A	0.00	53.25	0.00	53.25	0.5	0.27
	ACCOUNT #: 08184762104	BUY 0 Units @0.0000						
04/01/2018	***-**-575P - PACKAGE SEP	MASSACHUSETTS INVESTORS TRUST-A	0.00	4.24	0.00	4.24	0.5	0.02
	ACCOUNT #: 08186072001	BUY 0 Units @0.0000						
04/01/2018	***-**-8442 - CARINI, JANET	MASSACHUSETTS INVESTORS TRUST-B	0.00	30.84	0.00	30.84	0.5	0.15
	ACCOUNT #: 08187246938	BUY 0 Units @0.0000						
04/01/2018	***-**-0624 - STOCKTON, JOANNE	MFS CONSERVATIVE ALLOCATION FUND-A	0.00	2.53	0.00	2.53	0.5	0.01
	ACCOUNT #: 08189500362	BUY 0 Units @0.0000						
04/01/2018	***-**-1748 - LEMIEUX, RICHARD	MFS CONSERVATIVE ALLOCATION FUND-A	0.00	1.59	0.00	1.59	0.5	0.01
	ACCOUNT #: 08191017606	BUY 0 Units @0.0000						
04/01/2018	***-**-8958 - TARAN, JOSEPH	MFS CORE EQUITY FUND-A	0.00	71.44	0.00	71.44	0.5	0.36
	ACCOUNT #: 00060367606	BUY 0 Units @0.0000						
04/01/2018	***-**-2444 - TARAN, STEPHEN	MFS CORE EQUITY FUND-A	0.00	71.56	0.00	71.56	0.5	0.36
	ACCOUNT #: 00060367608	BUY 0 Units @0.0000						
04/01/2018	***-**-195P - MOUNTAIN DRYWALL	MFS CORE EQUITY FUND-A	0.00	5.22	0.00	5.22	0.5	0.03
	ACCOUNT #: 00060414941	BUY 0 Units @0.0000						
04/01/2018	***-**-385P - MOUNTAIN DRYWALL	MFS CORE EQUITY FUND-A	0.00	16.48	0.00	16.48	0.5	0.08
	ACCOUNT #: 00060414942	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - SMITH, LORI	MFS CORE EQUITY FUND-A	0.00	38.52	0.00	38.52	0.5	0.19
	ACCOUNT #: 00060414988	BUY 0 Units @0.0000						
04/01/2018	***-**-761I - HEWES, GEORGE	MFS CORE EQUITY FUND-A	0.00	2.08	0.00	2.08	0.5	0.01
	ACCOUNT #: 00060415067	BUY 0 Units @0.0000						
04/01/2018	***-**-0820 - BRADLEY, ERIC	MFS CORE EQUITY FUND-A	0.00	1.98	0.00	1.98	0.5	0.01
	ACCOUNT #: 00060552610	BUY 0 Units @0.0000						
04/01/2018	***-**-879J - WAHAB, MAGGY	MFS CORE EQUITY FUND-A	0.00	12.31	0.00	12.31	0.5	0.06
	ACCOUNT #: 08186183691	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/01/2018	***-**-575P - PACKAGE SEP	MFS CORE EQUITY FUND-A	0.00	24.67	0.00	24.67	0.5	0.12
	ACCOUNT #: 08188579990	BUY 0 Units @0.0000						
04/01/2018	***-**-879I - WAHAB, G	MFS CORE EQUITY FUND-A	0.00	24.19	0.00	24.19	0.5	0.12
	ACCOUNT #: 09898425005	BUY 0 Units @0.0000						
04/01/2018	***-**-8958 - TARAN, JOSEPH	MFS CORE EQUITY FUND-B	0.00	10.64	0.00	10.64	0.5	0.05
	ACCOUNT #: 08187067433	BUY 0 Units @0.0000						
04/01/2018	***-**-2444 - TARAN, STEPHEN	MFS CORE EQUITY FUND-B	0.00	28.30	0.00	28.30	0.5	0.14
	ACCOUNT #: 08187067457	BUY 0 Units @0.0000						
04/01/2018	***-**-0138 - KILLARY, ROBERT	MFS CORE EQUITY FUND-B	0.00	1.07	0.00	1.07	0.5	0.01
	ACCOUNT #: 08187260813	BUY 0 Units @0.0000						
04/09/2018	***-**-8490 - BEAYON, RANDALL	MFS CORE EQUITY FUND-B	83.14	3.33	0.00	3.33	0.5	0.02
	ACCOUNT #: 08187065472	BUY 3 Units @27.1300						
04/09/2018	***-**-8490 - BEAYON, RANDALL	MFS CORE EQUITY FUND-B	83.14	3.33	0.00	3.33	0.5	0.02
	ACCOUNT #: 08187065472	BUY 3 Units @27.1300						
04/09/2018	***-**-2444 - TARAN, STEPHEN	MFS CORE EQUITY FUND-B	99.37	3.97	0.00	3.97	0.5	0.02
	ACCOUNT #: 08187067457	BUY 4 Units @27.1300						
04/09/2018	***-**-2444 - TARAN, STEPHEN	MFS CORE EQUITY FUND-B	287.50	11.50	0.00	11.50	0.5	0.06
	ACCOUNT #: 08187067457	BUY 11 Units @27.1300						
04/01/2018	***-**-795P - WAHAB, G	MFS EMERGING GROWTH FUND CLASS A	0.00	9.09	0.00	9.09	0.5	0.05
	ACCOUNT #: 00000900575	BUY 0 Units @0.0000						
04/01/2018	***-**-5252 - WHITMORE, SHARI	MFS EMERGING GROWTH FUND CLASS A	0.00	1.65	0.00	1.65	0.5	0.01
	ACCOUNT #: 00060364394	BUY 0 Units @0.0000						
04/01/2018	***-**-703J - MCBRIDE, PATRICK	MFS EMERGING GROWTH FUND CLASS A	0.00	6.89	0.00	6.89	0.5	0.03
	ACCOUNT #: 00060368636	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - SMITH, LORI	MFS EMERGING GROWTH FUND CLASS A	0.00	29.53	0.00	29.53	0.5	0.15
	ACCOUNT #: 00060406985	BUY 0 Units @0.0000						
04/01/2018	***-**-95UG - KHOURY, DAVID	MFS EMERGING GROWTH FUND CLASS A	0.00	3.72	0.00	3.72	0.5	0.02
	ACCOUNT #: 00060438825	BUY 0 Units @0.0000						
04/01/2018	***-**-598O - BAIS, RAM	MFS EMERGING GROWTH FUND CLASS A	0.00	12.03	0.00	12.03	0.5	0.06
	ACCOUNT #: 00060443091	BUY 0 Units @0.0000						
04/01/2018	***-**-845J - MANJULA, FNU	MFS EMERGING GROWTH FUND CLASS A	0.00	4.51	0.00	4.51	0.5	0.02
	ACCOUNT #: 00060461691	BUY 0 Units @0.0000						



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<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-796I - PORTER, GROVER ACCOUNT #: 00060463108	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	22.52	0.00	22.52	0.5	0.11
04/01/2018	***-**-834I - COMBS, RICHARD ACCOUNT #: 00060463434	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	32.59	0.00	32.59	0.5	0.16
04/01/2018	***-**-31UG - KHOURY, BASIM & ACCOUNT #: 00060467818	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	1.10	0.00	1.10	0.5	0.01
04/01/2018	***-**-29UG - KHOURY, BASIM & ACCOUNT #: 00060467819	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	1.10	0.00	1.10	0.5	0.01
04/01/2018	***-**-98UG - KHOURY, BASIM & ACCOUNT #: 00060467820	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	1.10	0.00	1.10	0.5	0.01
04/01/2018	***-**-25UG - KHOURY, BASIM & ACCOUNT #: 00060467821	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	1.10	0.00	1.10	0.5	0.01
04/01/2018	***-**-669I - LOSO, KEVIN ACCOUNT #: 00060477603	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	3.56	0.00	3.56	0.5	0.02
04/01/2018	***-**-6669 - HOUSING ACCOUNT #: 00060486741	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	20.78	0.00	20.78	0.5	0.10
04/01/2018	***-**-6299 - HAHN, SARAH ACCOUNT #: 00060530188	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	14.57	0.00	14.57	0.5	0.07
04/01/2018	***-**-0820 - BRADLEY, ERIC ACCOUNT #: 00060560856	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	3.22	0.00	3.22	0.5	0.02
04/01/2018	***-**-7989 - PERRY, DEBORAH ACCOUNT #: 00060568704	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	51.92	0.00	51.92	0.5	0.26
04/01/2018	***-**-405P - PORTER MUSIC BOX ACCOUNT #: 00060604333	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	4.88	0.00	4.88	0.5	0.02
04/01/2018	***-**-96IN - HEARN, DARRYL ACCOUNT #: 06000294517	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	35.45	0.00	35.45	0.5	0.18
04/01/2018	***-**-313J - SIMMS, STEVAN & ACCOUNT #: 06000680671	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	0.5	0.01
04/01/2018	***-**-575P - PACKAGE SEP ACCOUNT #: 08186072001	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	24.67	0.00	24.67	0.5	0.12
04/01/2018	***-**-879J - WAHAB, MAGGY ACCOUNT #: 08186183683	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	46.07	0.00	46.07	0.5	0.23



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 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/01/2018	***-**-879I - WAHAB, G	MFS EMERGING GROWTH FUND CLASS A	0.00	1.31	0.00	1.31	0.5	0.01
	ACCOUNT #: 08186776769	BUY 0 Units @0.0000						
04/01/2018	***-**-79IN - WAHAB, MAGGY	MFS EMERGING GROWTH FUND CLASS A	0.00	8.21	0.00	8.21	0.5	0.04
	ACCOUNT #: 08187957618	BUY 0 Units @0.0000						
04/01/2018	***-**-3833 - ERDNER, MATHEW	MFS EMERGING GROWTH FUND CLASS A	0.00	19.06	0.00	19.06	0.5	0.10
	ACCOUNT #: 08187980410	BUY 0 Units @0.0000						
04/01/2018	***-**-147I - CADIGAN, NEIL	MFS EMERGING GROWTH FUND CLASS A	0.00	10.34	0.00	10.34	0.5	0.05
	ACCOUNT #: 08188222165	BUY 0 Units @0.0000						
04/01/2018	***-**-147I - CADIGAN, NEIL	MFS EMERGING GROWTH FUND CLASS A	0.00	13.22	0.00	13.22	0.5	0.07
	ACCOUNT #: 08188222169	BUY 0 Units @0.0000						
04/01/2018	***-**-3374 - PERRY, DEBORAH	MFS EMERGING GROWTH FUND CLASS A	0.00	3.26	0.00	3.26	0.5	0.02
	ACCOUNT #: 08189581457	BUY 0 Units @0.0000						
04/01/2018	***-**-1857 - PACKAGE SEP	MFS EMERGING GROWTH FUND CLASS A	0.00	19.03	0.00	19.03	0.5	0.10
	ACCOUNT #: 08189887338	BUY 0 Units @0.0000						
04/01/2018	***-**-879I - WAHAB, G	MFS EMERGING GROWTH FUND CLASS A	0.00	45.48	0.00	45.48	0.5	0.23
	ACCOUNT #: 08189887350	BUY 0 Units @0.0000						
04/01/2018	***-**-879I - WAHAB, G	MFS EMERGING GROWTH FUND CLASS A	0.00	9.96	0.00	9.96	0.5	0.05
	ACCOUNT #: 08189887354	BUY 0 Units @0.0000						
04/01/2018	***-**-1857 - PACKAGE SEP	MFS EMERGING GROWTH FUND CLASS A	0.00	14.97	0.00	14.97	0.5	0.07
	ACCOUNT #: 08189887429	BUY 0 Units @0.0000						
04/01/2018	***-**-1857 - PACKAGE SEP	MFS EMERGING GROWTH FUND CLASS A	0.00	2.99	0.00	2.99	0.5	0.01
	ACCOUNT #: 08191318833	BUY 0 Units @0.0000						
04/01/2018	***-**-4535 - RATHGABER,	MFS EMERGING GROWTH FUND CLASS A	0.00	7.40	0.00	7.40	0.5	0.04
	ACCOUNT #: 00060233161	BUY 0 Units @0.0000						
04/01/2018	***-**-105I - GOROU, CLINT	MFS EMERGING GROWTH FUND CLASS A	0.00	1.81	0.00	1.81	0.5	0.01
	ACCOUNT #: 08190126337	BUY 0 Units @0.0000						
04/01/2018	***-**-794I - GOROU,	MFS EMERGING GROWTH FUND CLASS A	0.00	1.81	0.00	1.81	0.5	0.01
	ACCOUNT #: 08190126338	BUY 0 Units @0.0000						
04/01/2018	***-**-978I - GOROU, EMMA	MFS EMERGING GROWTH FUND CLASS A	0.00	1.81	0.00	1.81	0.5	0.01
	ACCOUNT #: 08190126339	BUY 0 Units @0.0000						
04/01/2018	***-**-263I - GOROU, MAISAM	MFS EMERGING GROWTH FUND CLASS A	0.00	1.81	0.00	1.81	0.5	0.01
	ACCOUNT #: 08190126340	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: ALEX GEORGIEV (continued) </u>								
04/01/2018	***-**-766I - GOROU, GILBERT ACCOUNT #: 08191156247	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	1.81	0.00	1.81	0.5	0.01
04/01/2018	***-**-587I - SCHWEHM, JOANNE ACCOUNT #: 00060298748	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	3.86	0.00	3.86	0.5	0.02
04/09/2018	***-**-3833 - ERDNER, MATHEW ACCOUNT #: 08187980410	MFS EMERGING GROWTH FUND CLASS A BUY 1 Units @97.8300	65.00	2.60	0.00	2.60	0.5	0.01
04/01/2018	***-**-8341 - COMBS, RICHARD ACCOUNT #: 08187987364	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	14.79	0.00	14.79	0.5	0.07
04/01/2018	***-**-695P - HOUSING ACCOUNT #: 08188012592	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	2.46	0.00	2.46	0.5	0.01
04/01/2018	***-**-6299 - HAHN, SARAH ACCOUNT #: 08188517400	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	11.79	0.00	11.79	0.5	0.06
04/01/2018	***-**-794I - GOROU, ACCOUNT #: 08191157762	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	5.10	0.00	5.10	0.5	0.03
04/01/2018	***-**-105I - GOROU, CLINT ACCOUNT #: 08191157763	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	3.43	0.00	3.43	0.5	0.02
04/01/2018	***-**-978I - GOROU, EMMA ACCOUNT #: 08191157764	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	1.96	0.00	1.96	0.5	0.01
04/01/2018	***-**-766I - GOROU, GILBERT ACCOUNT #: 08191157765	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	6.57	0.00	6.57	0.5	0.03
04/01/2018	***-**-263I - GOROU, MAISAM ACCOUNT #: 08191157766	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	3.63	0.00	3.63	0.5	0.02
04/01/2018	***-**-1879 - WAHAB, G ACCOUNT #: 08191041888	MFS EMERGING MARKETS EQUITY FUND-A BUY 0 Units @0.0000	0.00	1.34	0.00	1.34	0.5	0.01
04/01/2018	***-**-575P - PACKAGE SEP ACCOUNT #: 08189916497	MFS GLOBAL EQUITY FUND-A BUY 0 Units @0.0000	0.00	5.33	0.00	5.33	0.5	0.03
04/01/2018	***-**-8442 - GAUDREAU, THOMAS ACCOUNT #: 08189993722	MFS GLOBAL EQUITY FUND-A BUY 0 Units @0.0000	0.00	5.64	0.00	5.64	0.5	0.03
04/01/2018	***-**-49IN - SMITH, LORI ACCOUNT #: 00060407583	MFS GLOBAL GROWTH FUND-A BUY 0 Units @0.0000	0.00	18.57	0.00	18.57	0.5	0.09
04/01/2018	***-**-669I - LOSO, KEVIN ACCOUNT #: 00060478265	MFS GLOBAL GROWTH FUND-A BUY 0 Units @0.0000	0.00	4.37	0.00	4.37	0.5	0.02



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/01/2018	***-**-6669 - HOUSING	MFS GLOBAL GROWTH FUND-A	0.00	21.92	0.00	21.92	0.5	0.11
	ACCOUNT #: 00060487300	BUY 0 Units @0.0000						
04/01/2018	***-**-3374 - PERRY, DEBORAH	MFS GLOBAL GROWTH FUND-A	0.00	4.11	0.00	4.11	0.5	0.02
	ACCOUNT #: 08189581456	BUY 0 Units @0.0000						
04/01/2018	***-**-695P - HOUSING	MFS GLOBAL GROWTH FUND-B	0.00	3.02	0.00	3.02	0.5	0.02
	ACCOUNT #: 08188012584	BUY 0 Units @0.0000						
04/01/2018	***-**-795P - WAHAB, G	MFS GOVERNMENT SECURITIES FUND-A	0.00	15.24	0.00	15.24	0.5	0.08
	ACCOUNT #: 00000900575	BUY 0 Units @0.0000						
04/01/2018	***-**-575P - PACKAGE SEP	MFS GOVERNMENT SECURITIES FUND-A	0.00	9.68	0.00	9.68	0.5	0.05
	ACCOUNT #: 08186072001	BUY 0 Units @0.0000						
04/01/2018	***-**-074I - SAWDEY, CHARLES	MFS GOVERNMENT SECURITIES FUND-A	0.00	1.84	0.00	1.84	0.5	0.01
	ACCOUNT #: 09896338266	BUY 0 Units @0.0000						
04/01/2018	***-**-074I - SAWDEY, CHARLES	MFS GOVERNMENT SECURITIES FUND-A	0.00	1.96	0.00	1.96	0.5	0.01
	ACCOUNT #: 09896338307	BUY 0 Units @0.0000						
04/01/2018	***-**-0624 - STOCKTON, JOANNE	MFS GROWTH ALLOCATION FUND-A	0.00	12.89	0.00	12.89	0.5	0.06
	ACCOUNT #: 08189500364	BUY 0 Units @0.0000						
04/01/2018	***-**-794I - GOROU,	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	2.93	0.00	2.93	0.5	0.01
	ACCOUNT #: 08191157762	BUY 0 Units @0.0000						
04/01/2018	***-**-105I - GOROU, CLINT	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	2.73	0.00	2.73	0.5	0.01
	ACCOUNT #: 08191157763	BUY 0 Units @0.0000						
04/01/2018	***-**-978I - GOROU, EMMA	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	1.10	0.00	1.10	0.5	0.01
	ACCOUNT #: 08191157764	BUY 0 Units @0.0000						
04/01/2018	***-**-766I - GOROU, GILBERT	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	3.78	0.00	3.78	0.5	0.02
	ACCOUNT #: 08191157765	BUY 0 Units @0.0000						
04/01/2018	***-**-263I - GOROU, MAISAM	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	2.07	0.00	2.07	0.5	0.01
	ACCOUNT #: 08191157766	BUY 0 Units @0.0000						
04/01/2018	***-**-739I - GOROU, SAMIR	MFS HIGH-YIELD OPPORTUNITIES FUND C	0.00	7.88	0.00	7.88	0.5	0.04
	ACCOUNT #: 00060574118	BUY 0 Units @0.0000						
04/01/2018	***-**-1857 - PACKAGE SEP	MFS HIGH-YIELD OPPORTUNITIES FUND C	0.00	8.97	0.00	8.97	0.5	0.04
	ACCOUNT #: 08191154861	BUY 0 Units @0.0000						
04/01/2018	***-**-105I - GOROU, CLINT	MFS HIGH-YIELD OPPORTUNITIES FUND C	0.00	1.02	0.00	1.02	0.5	0.01
	ACCOUNT #: 08190126337	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-794I - GOROU, ACCOUNT #: 08190126338	MFS HIGH-YIELD OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	0.5	0.01
04/01/2018	***-**-978I - GOROU, EMMA ACCOUNT #: 08190126339	MFS HIGH-YIELD OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	0.5	0.01
04/01/2018	***-**-263I - GOROU, MAISAM ACCOUNT #: 08190126340	MFS HIGH-YIELD OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	0.5	0.01
04/01/2018	***-**-766I - GOROU, GILBERT ACCOUNT #: 08191156247	MFS HIGH-YIELD OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	0.5	0.01
04/01/2018	***-**-005P - RUTLAND ACCOUNT #: 00060388037	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	4.83	0.00	4.83	0.5	0.02
04/01/2018	***-**-0412 - HEPPELL, ACCOUNT #: 08189590088	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	11.49	0.00	11.49	0.5	0.06
04/01/2018	***-**-795P - WAHAB, G ACCOUNT #: 08189727464	MFS INTERNATIONAL VALUE FUND-A BUY 0 Units @0.0000	0.00	3.48	0.00	3.48	0.5	0.02
04/01/2018	***-**-575P - PACKAGE SEP ACCOUNT #: 08189916489	MFS INTERNATIONAL VALUE FUND-A BUY 0 Units @0.0000	0.00	7.51	0.00	7.51	0.5	0.04
04/01/2018	***-**-185P - BAKER, RICHARD ACCOUNT #: 08190098339	MFS INTERNATIONAL VALUE FUND-A BUY 0 Units @0.0000	0.00	1.14	0.00	1.14	0.5	0.01
04/01/2018	***-**-4566 - JURAK, DANIEL ACCOUNT #: 00060502400	MFS MID CAP GROWTH FUND-A BUY 0 Units @0.0000	0.00	16.29	0.00	16.29	0.5	0.08
04/01/2018	***-**-837I - ISHAK, MIRANDA ACCOUNT #: 00060607848	MFS MID CAP GROWTH FUND-A BUY 0 Units @0.0000	0.00	8.18	0.00	8.18	0.5	0.04
04/01/2018	***-**-575P - PACKAGE SEP ACCOUNT #: 08188615660	MFS MID CAP GROWTH FUND-A BUY 0 Units @0.0000	0.00	27.47	0.00	27.47	0.5	0.14
04/01/2018	***-**-879I - WAHAB, G ACCOUNT #: 08189286580	MFS MID CAP GROWTH FUND-A BUY 0 Units @0.0000	0.00	5.05	0.00	5.05	0.5	0.03
04/01/2018	***-**-879J - WAHAB, MAGGY ACCOUNT #: 08189388892	MFS MID CAP GROWTH FUND-A BUY 0 Units @0.0000	0.00	24.98	0.00	24.98	0.5	0.12
04/01/2018	***-**-84SI - SHAW, LINDSI ACCOUNT #: 08191266165	MFS MID CAP GROWTH FUND-A BUY 0 Units @0.0000	0.00	4.94	0.00	4.94	0.5	0.02
04/01/2018	***-**-67SI - ANGSTADT, LISA ACCOUNT #: 08191266166	MFS MID CAP GROWTH FUND-A BUY 0 Units @0.0000	0.00	5.16	0.00	5.16	0.5	0.03



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 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-97SI - WESTEBBE, ACCOUNT #: 08191267353	MFS MID CAP GROWTH FUND-A BUY 0 Units @0.0000	0.00	5.86	0.00	5.86	0.5	0.03
04/01/2018	***-**-1857 - PACKAGE SEP ACCOUNT #: 08191318833	MFS MID CAP GROWTH FUND-A BUY 0 Units @0.0000	0.00	6.67	0.00	6.67	0.5	0.03
04/01/2018	***-**-105I - GOROU, CLINT ACCOUNT #: 08190126337	MFS MID CAP GROWTH FUND-A BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	0.5	0.01
04/01/2018	***-**-794I - GOROU, ACCOUNT #: 08190126338	MFS MID CAP GROWTH FUND-A BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	0.5	0.01
04/01/2018	***-**-978I - GOROU, EMMA ACCOUNT #: 08190126339	MFS MID CAP GROWTH FUND-A BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	0.5	0.01
04/01/2018	***-**-263I - GOROU, MAISAM ACCOUNT #: 08190126340	MFS MID CAP GROWTH FUND-A BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	0.5	0.01
04/01/2018	***-**-766I - GOROU, GILBERT ACCOUNT #: 08191156247	MFS MID CAP GROWTH FUND-A BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	0.5	0.01
04/01/2018	***-**-695P - HOUSING ACCOUNT #: 08189539118	MFS MID CAP GROWTH FUND-B BUY 0 Units @0.0000	0.00	1.96	0.00	1.96	0.5	0.01
04/01/2018	***-**-794I - GOROU, ACCOUNT #: 08191157762	MFS MID CAP GROWTH FUND-B BUY 0 Units @0.0000	0.00	4.48	0.00	4.48	0.5	0.02
04/01/2018	***-**-105I - GOROU, CLINT ACCOUNT #: 08191157763	MFS MID CAP GROWTH FUND-B BUY 0 Units @0.0000	0.00	4.19	0.00	4.19	0.5	0.02
04/01/2018	***-**-978I - GOROU, EMMA ACCOUNT #: 08191157764	MFS MID CAP GROWTH FUND-B BUY 0 Units @0.0000	0.00	1.72	0.00	1.72	0.5	0.01
04/01/2018	***-**-766I - GOROU, GILBERT ACCOUNT #: 08191157765	MFS MID CAP GROWTH FUND-B BUY 0 Units @0.0000	0.00	5.79	0.00	5.79	0.5	0.03
04/01/2018	***-**-263I - GOROU, MAISAM ACCOUNT #: 08191157766	MFS MID CAP GROWTH FUND-B BUY 0 Units @0.0000	0.00	3.19	0.00	3.19	0.5	0.02
04/01/2018	***-**-879J - WAHAB, MAGGY ACCOUNT #: 08189707042	MFS MID CAP VALUE FUND-A BUY 0 Units @0.0000	0.00	22.02	0.00	22.02	0.5	0.11
04/01/2018	***-**-3467 - CHRISTIAN, ACCOUNT #: 08191183208	MFS MID CAP VALUE FUND-A BUY 0 Units @0.0000	0.00	15.89	0.00	15.89	0.5	0.08
04/01/2018	***-**-1857 - PACKAGE SEP ACCOUNT #: 08191318833	MFS MID CAP VALUE FUND-A BUY 0 Units @0.0000	0.00	3.25	0.00	3.25	0.5	0.02



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-0624 - STOCKTON, JOANNE	MFS MODERATE ALLOCATION FUND-A	0.00	23.93	0.00	23.93	0.5	0.12
	ACCOUNT #: 08189500365	BUY 0 Units @0.0000						
04/01/2018	***-**-575P - PACKAGE SEP	MFS MUNICIPAL INCOME FUND-A	0.00	3.04	0.00	3.04	0.5	0.02
	ACCOUNT #: 08189047725	BUY 0 Units @0.0000						
04/01/2018	***-**-879J - WAHAB, MAGGY	MFS NEW DISCOVERY FUND-A	0.00	23.30	0.00	23.30	0.5	0.12
	ACCOUNT #: 08187951650	BUY 0 Units @0.0000						
04/01/2018	***-**-575P - PACKAGE SEP	MFS NEW DISCOVERY FUND-A	0.00	13.91	0.00	13.91	0.5	0.07
	ACCOUNT #: 08189823149	BUY 0 Units @0.0000						
04/01/2018	***-**-795P - WAHAB, G	MFS NEW DISCOVERY FUND-A	0.00	12.75	0.00	12.75	0.5	0.06
	ACCOUNT #: 08189823153	BUY 0 Units @0.0000						
04/01/2018	***-**-185P - BAKER, RICHARD	MFS NEW DISCOVERY FUND-A	0.00	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: 08190098339	BUY 0 Units @0.0000						
04/01/2018	***-**-13SI - CARR, ASHLEIGH	MFS NEW DISCOVERY FUND-A	0.00	1.94	0.00	1.94	0.5	0.01
	ACCOUNT #: 08191270611	BUY 0 Units @0.0000						
04/01/2018	***-**-1857 - PACKAGE SEP	MFS NEW DISCOVERY FUND-A	0.00	3.34	0.00	3.34	0.5	0.02
	ACCOUNT #: 08191318833	BUY 0 Units @0.0000						
04/01/2018	***-**-1857 - PACKAGE SEP	MFS RESEARCH BOND FUND CLASS A	0.00	3.47	0.00	3.47	0.5	0.02
	ACCOUNT #: 08191117404	BUY 0 Units @0.0000						
04/01/2018	***-**-0198 - MEHURON, BRUCE	MFS RESEARCH FUND-A	0.00	1.34	0.00	1.34	0.5	0.01
	ACCOUNT #: 00060354846	BUY 0 Units @0.0000						
04/01/2018	***-**-425P - RUTLAND	MFS RESEARCH FUND-A	0.00	68.54	0.00	68.54	0.5	0.34
	ACCOUNT #: 00060391870	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - SMITH, LORI	MFS RESEARCH FUND-A	0.00	15.66	0.00	15.66	0.5	0.08
	ACCOUNT #: 00060413380	BUY 0 Units @0.0000						
04/01/2018	***-**-8442 - CARINI, JANET	MFS RESEARCH FUND-B	0.00	29.09	0.00	29.09	0.5	0.15
	ACCOUNT #: 08187246942	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - SMITH, LORI	MFS RESEARCH INTERNATIONAL FUND-A	0.00	15.96	0.00	15.96	0.5	0.08
	ACCOUNT #: 00060418123	BUY 0 Units @0.0000						
04/01/2018	***-**-795P - WAHAB, G	MFS RESEARCH INTERNATIONAL FUND-A	0.00	2.42	0.00	2.42	0.5	0.01
	ACCOUNT #: 08189727468	BUY 0 Units @0.0000						
04/01/2018	***-**-1857 - PACKAGE SEP	MFS TECHNOLOGY FUND CLASS A	0.00	9.71	0.00	9.71	0.5	0.05
	ACCOUNT #: 08191154860	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-1879 - WAHAB, G	MFS TECHNOLOGY FUND CLASS A	0.00	7.72	0.00	7.72	0.5	0.04
	ACCOUNT #: 08191154867	BUY 0 Units @0.0000						
04/01/2018	***-**-105I - GOROU, CLINT	MFS TECHNOLOGY FUND CLASS A	0.00	2.13	0.00	2.13	0.5	0.01
	ACCOUNT #: 08190126337	BUY 0 Units @0.0000						
04/01/2018	***-**-794I - GOROU,	MFS TECHNOLOGY FUND CLASS A	0.00	2.13	0.00	2.13	0.5	0.01
	ACCOUNT #: 08190126338	BUY 0 Units @0.0000						
04/01/2018	***-**-978I - GOROU, EMMA	MFS TECHNOLOGY FUND CLASS A	0.00	2.13	0.00	2.13	0.5	0.01
	ACCOUNT #: 08190126339	BUY 0 Units @0.0000						
04/01/2018	***-**-263I - GOROU, MAISAM	MFS TECHNOLOGY FUND CLASS A	0.00	2.13	0.00	2.13	0.5	0.01
	ACCOUNT #: 08190126340	BUY 0 Units @0.0000						
04/01/2018	***-**-766I - GOROU, GILBERT	MFS TECHNOLOGY FUND CLASS A	0.00	2.13	0.00	2.13	0.5	0.01
	ACCOUNT #: 08191156247	BUY 0 Units @0.0000						
04/01/2018	***-**-794I - GOROU,	MFS TECHNOLOGY FUND-B	0.00	6.05	0.00	6.05	0.5	0.03
	ACCOUNT #: 08191157762	BUY 0 Units @0.0000						
04/01/2018	***-**-105I - GOROU, CLINT	MFS TECHNOLOGY FUND-B	0.00	7.18	0.00	7.18	0.5	0.04
	ACCOUNT #: 08191157763	BUY 0 Units @0.0000						
04/01/2018	***-**-978I - GOROU, EMMA	MFS TECHNOLOGY FUND-B	0.00	2.36	0.00	2.36	0.5	0.01
	ACCOUNT #: 08191157764	BUY 0 Units @0.0000						
04/01/2018	***-**-766I - GOROU, GILBERT	MFS TECHNOLOGY FUND-B	0.00	7.88	0.00	7.88	0.5	0.04
	ACCOUNT #: 08191157765	BUY 0 Units @0.0000						
04/01/2018	***-**-263I - GOROU, MAISAM	MFS TECHNOLOGY FUND-B	0.00	4.25	0.00	4.25	0.5	0.02
	ACCOUNT #: 08191157766	BUY 0 Units @0.0000						
04/01/2018	***-**-61IN - LAGODNEY, PEGGY	MFS TOTAL RETURN FUND-A	0.00	25.23	0.00	25.23	0.5	0.13
	ACCOUNT #: 00060342397	BUY 0 Units @0.0000						
04/01/2018	***-**-92IR - HAWKINS, CAROLYN	MFS TOTAL RETURN FUND-A	0.00	2.61	0.00	2.61	0.5	0.01
	ACCOUNT #: 00060554288	BUY 0 Units @0.0000						
04/01/2018	***-**-202I - CORAPI, MARIA	MFS TOTAL RETURN FUND-A	0.00	8.01	0.00	8.01	0.5	0.04
	ACCOUNT #: 08184614552	BUY 0 Units @0.0000						
04/01/2018	***-**-011I - BERNHARD, DALE	MFS TOTAL RETURN FUND-A	0.00	42.03	0.00	42.03	0.5	0.21
	ACCOUNT #: 08184762107	BUY 0 Units @0.0000						
04/01/2018	***-**-575P - PACKAGE SEP	MFS TOTAL RETURN FUND-A	0.00	23.02	0.00	23.02	0.5	0.12
	ACCOUNT #: 08188679386	BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-795P - WAHAB, G	MFS TOTAL RETURN FUND-A	0.00	4.64	0.00	4.64	0.5	0.02
	ACCOUNT #: 08189509775	BUY 0 Units @0.0000						
04/01/2018	***-**-795P - WAHAB, G	MFS UTILITIES FUND-A	0.00	2.29	0.00	2.29	0.5	0.01
	ACCOUNT #: 00000900575	BUY 0 Units @0.0000						
04/01/2018	***-**-357I - DARBIE, RICHARD	MFS UTILITIES FUND-A	0.00	133.25	0.00	133.25	0.5	0.67
	ACCOUNT #: 00060473179	BUY 0 Units @0.0000						
04/01/2018	***-**-739I - GOROU, SAMIR	MFS UTILITIES FUND-A	0.00	14.42	0.00	14.42	0.5	0.07
	ACCOUNT #: 00060573978	BUY 0 Units @0.0000						
04/01/2018	***-**-8442 - CARINI, JANET	MFS UTILITIES FUND-A	0.00	15.70	0.00	15.70	0.5	0.08
	ACCOUNT #: 00060621180	BUY 0 Units @0.0000						
04/01/2018	***-**-575P - PACKAGE SEP	MFS UTILITIES FUND-A	0.00	17.66	0.00	17.66	0.5	0.09
	ACCOUNT #: 08189707034	BUY 0 Units @0.0000						
04/01/2018	***-**-879J - WAHAB, MAGGY	MFS UTILITIES FUND-A	0.00	10.36	0.00	10.36	0.5	0.05
	ACCOUNT #: 08189707038	BUY 0 Units @0.0000						
04/01/2018	***-**-1748 - LEMIEUX, RICHARD	MFS UTILITIES FUND-A	0.00	29.97	0.00	29.97	0.5	0.15
	ACCOUNT #: 08191017606	BUY 0 Units @0.0000						
04/01/2018	***-**-6296 - BRILEYA, JUDITH	MFS UTILITIES FUND-A	0.00	1.05	0.00	1.05	0.5	0.01
	ACCOUNT #: 08191038031	BUY 0 Units @0.0000						
04/01/2018	***-**-3971 - MEHURONS MARKET	MFS UTILITIES FUND-A	0.00	7.42	0.00	7.42	0.5	0.04
	ACCOUNT #: 08191050745	BUY 0 Units @0.0000						
04/01/2018	***-**-97SI - JEFFERYS, THOMAS	MFS UTILITIES FUND-A	0.00	4.92	0.00	4.92	0.5	0.02
	ACCOUNT #: 08191096576	BUY 0 Units @0.0000						
04/01/2018	***-**-3467 - CHRISTIAN,	MFS UTILITIES FUND-A	0.00	13.24	0.00	13.24	0.5	0.07
	ACCOUNT #: 08191183208	BUY 0 Units @0.0000						
04/01/2018	***-**-879I - WAHAB, G	MFS UTILITIES FUND-A	0.00	2.01	0.00	2.01	0.5	0.01
	ACCOUNT #: 08191186159	BUY 0 Units @0.0000						
04/01/2018	***-**-1857 - PACKAGE SEP	MFS UTILITIES FUND-A	0.00	2.63	0.00	2.63	0.5	0.01
	ACCOUNT #: 08191318833	BUY 0 Units @0.0000						
04/01/2018	***-**-8442 - CARINI, JANET	MFS UTILITIES FUND-B	0.00	25.29	0.00	25.29	0.5	0.13
	ACCOUNT #: 08189733101	BUY 0 Units @0.0000						
04/01/2018	***-**-08IN - MAGGIACOMO,	MFS UTILITIES FUND-C	0.00	189.52	0.00	189.52	0.5	0.95
	ACCOUNT #: 08188290554	BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/01/2018	***-**-599I - VALLIE, PAULA	MFS VALUE FUND-A	0.00	8.04	0.00	8.04	0.5	0.04
	ACCOUNT #: 00060520822	BUY 0 Units @0.0000						
04/16/2018	***-**-1832 - WEISMAN, DORIS	MUTUAL EURO FND - CL A	0.00	1.95	0.00	1.95	0.5	0.01
	ACCOUNT #: LSR011330	BUY 1 Units @0.0000						
04/16/2018	***-**-1832 - WEISMAN, DORIS	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	3.49	0.00	3.49	0.5	0.02
	ACCOUNT #: LSR011330	BUY 1 Units @0.0000						
04/16/2018	***-**-017J - TAZUMA, MIYOKO	MUTUAL SERIES SHARES CLASS A	0.00	2.58	0.00	2.58	0.5	0.01
	ACCOUNT #: LSR009466	BUY 1 Units @0.0000						
04/16/2018	***-**-2470 - WANG, SAVANNAH	NATIONWIDE BOA LIFE PLAN SERIES	400.00	4.00	0.00	4.00	0.5	0.02
	ACCOUNT #: N100472470	BUY 1 Units @400.0000						
03/31/2018	***-**-894I - QUIRRION, LINTON	NATIONWIDE CUSIP 638661249-NSCC	0.00	80.45	0.00	80.45	0.5	0.40
	ACCOUNT #: R015789628	BUY 0 Units @0.0000						
04/16/2018	***-**-7002 - WINGRAT, RACHEL	NATIONWIDE NEXT GENERATION II	0.00	1.60	0.00	1.60	0.5	0.01
	ACCOUNT #: N100467270	BUY 1 Units @0.0000						
04/16/2018	***-**-65CL - LIFEMARK,	NATIONWIDE NEXT GENERATION II	0.00	12.69	0.00	12.69	0.5	0.06
	ACCOUNT #: N100973690	BUY 1 Units @0.0000						
04/16/2018	***-**-6451 - COWEN, HAL	NATIONWIDE NEXT GENERATION II	0.00	8.09	0.00	8.09	0.5	0.04
	ACCOUNT #: N101140020	BUY 1 Units @0.0000						
04/16/2018	***-**-3865 - WEBER, DARRIN	NATIONWIDE NEXT GENERATION II	0.00	2.68	0.00	2.68	0.5	0.01
	ACCOUNT #: N600004020	BUY 1 Units @0.0000						
04/16/2018	***-**-9120 - GRANT, GLENDON	NATIONWIDE NEXT GENERATION II	0.00	9.09	0.00	9.09	0.5	0.05
	ACCOUNT #: N100959120	BUY 1 Units @0.0000						
04/16/2018	***-**-98IN - WONG, FEI	NATIONWIDE NEXT GENERATION II	0.00	10.18	0.00	10.18	0.5	0.05
	ACCOUNT #: N101864490	BUY 1 Units @0.0000						
04/16/2018	***-**-5858 - ROME, MICHAEL	NATIONWIDE NEXT GENERATION II	50.00	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: N100689740	BUY 1 Units @50.0000						
04/16/2018	***-**-1751 - HEATH, KAREN	NATIXIS FUNDS TRAILS	0.00	13.93	0.00	13.93	0.5	0.07
		BUY 0 Units @0.0000						
04/16/2018	***-**-1751 - HEATH, KAREN	NATIXIS FUNDS TRAILS	0.00	72.34	0.00	72.34	0.5	0.36
		BUY 0 Units @0.0000						
04/16/2018	***-**-62IN - EVANS, SUSAN	NATIXIS FUNDS TRAILS	0.00	2.00	0.00	2.00	0.5	0.01
		BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/16/2018	***-**-045P - STILLMAN, DONALD	NATIXIS FUNDS TRAILS BUY 0 Units @0.0000	0.00	4.30	0.00	4.30	0.5	0.02
04/16/2018	***-**-7281 - THOMPSON,	NATIXIS FUNDS TRAILS BUY 0 Units @0.0000	0.00	6.72	0.00	6.72	0.5	0.03
04/02/2018	***-**-064J - HALL, AMY ACCOUNT #: 00083146232	NEW WORLD FUND-A BUY 4 Units @67.9100	250.00	3.00	0.00	3.00	0.5	0.02
04/16/2018	***-**-101I - LEMOINE, STEVEN ACCOUNT #: LSR011390	NUVEEN LARGE CAP GROWTH FD CL A BUY 1 Units @0.0000	0.00	4.54	0.00	4.54	0.5	0.02
04/16/2018	***-**-462T - KELLEY TRUST,	NUVEEN MF TRAILS BUY 0 Units @0.0000	0.00	139.78	0.00	139.78	0.5	0.70
04/16/2018	***-**-101I - LEMOINE, STEVEN ACCOUNT #: LSR011390	NUVEEN MID CAP GROWTH OPPORT CL A BUY 1 Units @0.0000	0.00	3.48	0.00	3.48	0.5	0.02
04/16/2018	***-**-101I - LEMOINE, STEVEN ACCOUNT #: LSR011390	NUVEEN MID CAP VALUE CLASS A BUY 1 Units @0.0000	0.00	4.23	0.00	4.23	0.5	0.02
04/16/2018	***-**-70IN - CUTILLO, JAMES ACCOUNT #: LSR011647	NUVEEN MID CAP VALUE CLASS A BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	0.5	0.01
03/31/2018	***-**-745I - RIENZO, BETTY ACCOUNT #: 08580116721	OPP LIMITED-TERM GOVERNMENT FUND N BUY 0 Units @0.0000	0.00	8.14	0.00	8.14	0.5	0.04
03/31/2018	***-**-530I - LIAFSHA, HEATHER ACCOUNT #: 05501391104	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	0.00	4.97	0.00	4.97	0.5	0.02
03/31/2018	***-**-55IR - KAHM, ERIC ACCOUNT #: 05502761583	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	0.00	3.00	0.00	3.00	0.5	0.02
03/31/2018	***-**-277I - GIVEN, GANEL ACCOUNT #: 05502896520	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	0.00	1.08	0.00	1.08	0.5	0.01
03/31/2018	***-**-185I - LEWIS, TED ACCOUNT #: 05502896751	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	0.00	5.81	0.00	5.81	0.5	0.03
03/31/2018	***-**-24IR - THOMAS, AMANDA ACCOUNT #: 06820014443	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	0.00	2.36	0.00	2.36	0.5	0.01
03/31/2018	***-**-4139 - DEGRANDIS, JOHN ACCOUNT #: 05500328977	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	0.00	26.25	0.00	26.25	0.5	0.13
03/31/2018	***-**-836I - WEAVER, ARLENE ACCOUNT #: 04710018150	OPP PORT SERIES: MOD INV FD A BUY 0 Units @0.0000	0.00	3.07	0.00	3.07	0.5	0.02



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<u>BROKER: ALEX GEORGIEV (continued)</u>								
03/31/2018	***-**-23IR - THOMAS, ARLISS	OPP PORT SERIES: MOD INV FD A	0.00	2.81	0.00	2.81	0.5	0.01
	ACCOUNT #: 06650027764	BUY 0 Units @0.0000						
03/31/2018	***-**-267J - BARKER, JAMES	OPP PORT SERIES: MOD INV FD C	0.00	20.06	0.00	20.06	0.5	0.10
	ACCOUNT #: 05470331243	BUY 0 Units @0.0000						
03/31/2018	***-**-944I - KINCAID, EILEEN	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	8.50	0.00	8.50	0.5	0.04
	ACCOUNT #: 05520066715	BUY 0 Units @0.0000						
03/31/2018	***-**-691I - DRUMM, MARK	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	27.54	0.00	27.54	0.5	0.14
	ACCOUNT #: 05520370282	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	OPPENHEIMER AMT FREE MUNICIPALS FUN	0.00	14.90	0.00	14.90	0.5	0.07
	ACCOUNT #: 03100072710	BUY 0 Units @0.0000						
03/31/2018	***-**-745I - RIENZO, BETTY	OPPENHEIMER CAPITAL INCOME FUND N	0.00	5.97	0.00	5.97	0.5	0.03
	ACCOUNT #: 03030089386	BUY 0 Units @0.0000						
03/31/2018	***-**-9415 - CUNLIFFE,	OPPENHEIMER CORE BOND FUND A	0.00	4.78	0.00	4.78	0.5	0.02
	ACCOUNT #: 02850235917	BUY 0 Units @0.0000						
03/31/2018	***-**-9103 - MASON, EDWARD	OPPENHEIMER CORE BOND FUND A	0.00	1.92	0.00	1.92	0.5	0.01
	ACCOUNT #: 02850235939	BUY 0 Units @0.0000						
03/31/2018	***-**-6478 - RUFF, KENNETH	OPPENHEIMER CORE BOND FUND A	0.00	4.38	0.00	4.38	0.5	0.02
	ACCOUNT #: 02850235950	BUY 0 Units @0.0000						
03/31/2018	***-**-9336 - GULICK, JAY	OPPENHEIMER CORE BOND FUND A	0.00	6.81	0.00	6.81	0.5	0.03
	ACCOUNT #: 02850940049	BUY 0 Units @0.0000						
03/31/2018	***-**-7045 - KATUSKA, EDWARD	OPPENHEIMER CORE BOND FUND A	0.00	1.02	0.00	1.02	0.5	0.01
	ACCOUNT #: 02850983961	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	OPPENHEIMER CORE BOND FUND A	0.00	5.74	0.00	5.74	0.5	0.03
	ACCOUNT #: 02851002496	BUY 0 Units @0.0000						
03/31/2018	***-**-2918 - GALANEK, CHARLES	OPPENHEIMER CORE BOND FUND A	0.00	3.19	0.00	3.19	0.5	0.02
	ACCOUNT #: 02851137268	BUY 0 Units @0.0000						
03/31/2018	***-**-254I - MASON, LOUIS	OPPENHEIMER CORE BOND FUND A	0.00	2.49	0.00	2.49	0.5	0.01
	ACCOUNT #: 02852027839	BUY 0 Units @0.0000						
03/31/2018	***-**-730I - KERILLA, STEPHEN	OPPENHEIMER CORE BOND FUND A	0.00	3.45	0.00	3.45	0.5	0.02
	ACCOUNT #: 02852027850	BUY 0 Units @0.0000						
03/31/2018	***-**-099I - MASON, CHARLES	OPPENHEIMER CORE BOND FUND A	0.00	2.49	0.00	2.49	0.5	0.01
	ACCOUNT #: 02852027861	BUY 0 Units @0.0000						



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03/31/2018	***-**-23IN - SHULL, HAZEL	OPPENHEIMER CORE BOND FUND A	0.00	8.34	0.00	8.34	0.5	0.04
	ACCOUNT #: 02852342351	BUY 0 Units @0.0000						
03/31/2018	***-**-05IN - FRIDLEY,	OPPENHEIMER CORE BOND FUND A	0.00	5.08	0.00	5.08	0.5	0.03
	ACCOUNT #: 02852435719	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	12.79	0.00	12.79	0.5	0.06
	ACCOUNT #: 07850905212	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	7.87	0.00	7.87	0.5	0.04
	ACCOUNT #: 07850905223	BUY 0 Units @0.0000						
03/31/2018	***-**-16IN - MCCUNE, MICHAEL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	6.02	0.00	6.02	0.5	0.03
	ACCOUNT #: 07851929675	BUY 0 Units @0.0000						
03/31/2018	***-**-97IN - CHAPADOS, KEVIN	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.15	0.00	1.15	0.5	0.01
	ACCOUNT #: 07860852666	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.21	0.00	1.21	0.5	0.01
	ACCOUNT #: 07860852688	BUY 0 Units @0.0000						
03/31/2018	***-**-05IN - FRIDLEY,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.63	0.00	1.63	0.5	0.01
	ACCOUNT #: 07862784805	BUY 0 Units @0.0000						
03/31/2018	***-**-7193 - GALE, WALTER	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.21	0.00	1.21	0.5	0.01
	ACCOUNT #: 07857610757	BUY 0 Units @0.0000						
03/31/2018	***-**-0804 - GALE, MARY	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.25	0.00	2.25	0.5	0.01
	ACCOUNT #: 07857610768	BUY 0 Units @0.0000						
03/31/2018	***-**-7560 - ELLEN, BEVERLY	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	6.69	0.00	6.69	0.5	0.03
	ACCOUNT #: 07857616037	BUY 0 Units @0.0000						
03/31/2018	***-**-0075 - MEHIT, LAURA	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.09	0.00	1.09	0.5	0.01
	ACCOUNT #: 07859297629	BUY 0 Units @0.0000						
03/31/2018	***-**-818I - WESTERFELD,	OPPENHEIMER DISCOVERY CLASS A	0.00	2.40	0.00	2.40	0.5	0.01
	ACCOUNT #: 05001877491	BUY 0 Units @0.0000						
03/31/2018	***-**-612I - MIKOS, GREGORY	OPPENHEIMER DISCOVERY CLASS A	0.00	6.36	0.00	6.36	0.5	0.03
	ACCOUNT #: 05004019158	BUY 0 Units @0.0000						
03/31/2018	***-**-8259 - TRIPP, STANLEY R	OPPENHEIMER DISCOVERY CLASS A	0.00	13.36	0.00	13.36	0.5	0.07
	ACCOUNT #: 05004231524	BUY 0 Units @0.0000						
03/31/2018	***-**-3932 - GREGORICH,	OPPENHEIMER DISCOVERY CLASS A	0.00	18.99	0.00	18.99	0.5	0.09
	ACCOUNT #: 05004341667	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
03/31/2018	***-**-45IR - RIENZO, BETTY	OPPENHEIMER DISCOVERY CLASS A	0.00	7.48	0.00	7.48	0.5	0.04
	ACCOUNT #: 07450251394	BUY 0 Units @0.0000						
03/31/2018	***-**-526J - MCCUNE,	OPPENHEIMER DISCOVERY CLASS A	0.00	5.76	0.00	5.76	0.5	0.03
	ACCOUNT #: 07451555477	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	OPPENHEIMER DISCOVERY CLASS A	0.00	16.95	0.00	16.95	0.5	0.08
	ACCOUNT #: 07451790261	BUY 0 Units @0.0000						
03/31/2018	***-**-9336 - GULICK, JAY	OPPENHEIMER DISCOVERY CLASS A	0.00	3.54	0.00	3.54	0.5	0.02
	ACCOUNT #: 07452206644	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	OPPENHEIMER DISCOVERY CLASS A	0.00	7.36	0.00	7.36	0.5	0.04
	ACCOUNT #: 07452502885	BUY 0 Units @0.0000						
03/31/2018	***-**-2918 - GALANEK, CHARLES	OPPENHEIMER DISCOVERY CLASS A	0.00	4.46	0.00	4.46	0.5	0.02
	ACCOUNT #: 07452909907	BUY 0 Units @0.0000						
03/31/2018	***-**-03IN - IADIANO, EDNA	OPPENHEIMER GLBL REAL ESTATE FND A	0.00	6.72	0.00	6.72	0.5	0.03
	ACCOUNT #: 00100037995	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	OPPENHEIMER GLOBAL CLASS C	0.00	7.78	0.00	7.78	0.5	0.04
	ACCOUNT #: 03321046430	BUY 0 Units @0.0000						
03/31/2018	***-**-176I - FLOCK, MARTA	OPPENHEIMER INT'L BOND CLASS C	0.00	6.80	0.00	6.80	0.5	0.03
	ACCOUNT #: 08820013387	BUY 0 Units @0.0000						
03/31/2018	***-**-03IN - IADIANO, EDNA	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	8.37	0.00	8.37	0.5	0.04
	ACCOUNT #: 01953231833	BUY 0 Units @0.0000						
03/31/2018	***-**-03IN - IADIANO, EDNA	OPPENHEIMER MAIN ST SMALL CAP FND A	0.00	15.80	0.00	15.80	0.5	0.08
	ACCOUNT #: 00100087231	BUY 0 Units @0.0000						
03/31/2018	***-**-691I - DRUMM, MARK	OPPENHEIMER MAIN STREET OPPORTUNITY	0.00	4.36	0.00	4.36	0.5	0.02
	ACCOUNT #: 07310334851	BUY 0 Units @0.0000						
03/31/2018	***-**-521I - MCCUNE, ELAINE	OPPENHEIMER MAIN STREET OPPORTUNITY	0.00	10.45	0.00	10.45	0.5	0.05
	ACCOUNT #: 07310406571	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	OPPENHEIMER MAIN STREET OPPORTUNITY	0.00	17.02	0.00	17.02	0.5	0.09
	ACCOUNT #: 07310965690	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	OPPENHEIMER MAIN STREET OPPORTUNITY	0.00	5.59	0.00	5.59	0.5	0.03
	ACCOUNT #: 07311430132	BUY 0 Units @0.0000						
03/31/2018	***-**-89IN - MCCUNE, FRANK	OPPENHEIMER MAIN STREET OPPORTUNITY	0.00	10.81	0.00	10.81	0.5	0.05
	ACCOUNT #: 07311705726	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
03/31/2018	***-**-65CL - LIFEMARK, ACCOUNT #: 07312981121	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	4.26	0.00	4.26	0.5	0.02
03/31/2018	***-**-794I - ANTAL, CONSTANCE ACCOUNT #: 07314052532	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	1.33	0.00	1.33	0.5	0.01
03/31/2018	***-**-349I - HADSOCK, DEBORAH ACCOUNT #: 07314668246	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	14.19	0.00	14.19	0.5	0.07
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 07314950220	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	5.59	0.00	5.59	0.5	0.03
03/31/2018	***-**-6593 - GREGORICH, JOHN ACCOUNT #: 07315651162	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	6.02	0.00	6.02	0.5	0.03
03/31/2018	***-**-1550 - LIPKOWITZ, TOD ACCOUNT #: 07315064598	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	2.57	0.00	2.57	0.5	0.01
03/31/2018	***-**-5301 - LIAFSHA, HEATHER ACCOUNT #: 08471869109	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	2.82	0.00	2.82	0.5	0.01
03/31/2018	***-**-9336 - GULICK, JAY ACCOUNT #: 08471918422	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	3.01	0.00	3.01	0.5	0.02
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 08476966421	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	11.64	0.00	11.64	0.5	0.06
03/31/2018	***-**-05IN - FRIDLEY, ACCOUNT #: 08477517378	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	1.50	0.00	1.50	0.5	0.01
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 08490356488	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	12.65	0.00	12.65	0.5	0.06
03/31/2018	***-**-7193 - GALE, WALTER ACCOUNT #: 08476397380	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	1.22	0.00	1.22	0.5	0.01
03/31/2018	***-**-0804 - GALE, MARY ACCOUNT #: 08476397391	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	4.01	0.00	4.01	0.5	0.02
03/31/2018	***-**-02IN - MANCHESTER, ACCOUNT #: 08477443689	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	9.41	0.00	9.41	0.5	0.05
03/31/2018	***-**-4110 - KAVANAGH, ACCOUNT #: 08477444261	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	1.41	0.00	1.41	0.5	0.01
03/31/2018	***-**-03IN - IADIANO, EDNA ACCOUNT #: 08477490593	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	16.02	0.00	16.02	0.5	0.08



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: ALEX GEORGIEV (continued) </u>								
03/31/2018	***-**-950I - BEVACQUA, ACCOUNT #: 02511270918	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	5.92	0.00	5.92	0.5	0.03
03/31/2018	***-**-65CL - LIFEMARK, ACCOUNT #: 02511399442	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	4.49	0.00	4.49	0.5	0.02
03/31/2018	***-**-2918 - GALANEK, CHARLES ACCOUNT #: 02512085919	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	4.76	0.00	4.76	0.5	0.02
03/31/2018	***-**-285P - MARX, ANGELA A ACCOUNT #: 02512580270	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.07	0.00	1.07	0.5	0.01
03/31/2018	***-**-533I - CHAPADOS, JOSEPH ACCOUNT #: 02513976753	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	29.14	0.00	29.14	0.5	0.15
03/31/2018	***-**-198I - CHAPADOS, JANIS ACCOUNT #: 02513977006	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	9.04	0.00	9.04	0.5	0.05
03/31/2018	***-**-3932 - GREGORICH, ACCOUNT #: 02514975982	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	10.37	0.00	10.37	0.5	0.05
03/31/2018	***-**-6593 - GREGORICH, JOHN ACCOUNT #: 02515025075	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.70	0.00	1.70	0.5	0.01
03/31/2018	***-**-9220 - ACCOUNT #: 02510540958	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.36	0.00	1.36	0.5	0.01
03/31/2018	***-**-1550 - LIPKOWITZ, TOD ACCOUNT #: 02511054064	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	3.55	0.00	3.55	0.5	0.02
03/31/2018	***-**-7560 - ELLEN, BEVERLY ACCOUNT #: 02511054977	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	3.58	0.00	3.58	0.5	0.02
03/31/2018	***-**-4572 - MELIN, LUCILLE ACCOUNT #: 02511098152	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	11.36	0.00	11.36	0.5	0.06
03/31/2018	***-**-5033 - KATZENBERGER, ACCOUNT #: 02511098163	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.00	0.00	1.00	0.5	0.01
03/31/2018	***-**-9257 - JENNERICH, KAREN ACCOUNT #: 02511573297	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.53	0.00	1.53	0.5	0.01
03/31/2018	***-**-5276 - JENNERICH, ACCOUNT #: 02511674145	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.57	0.00	1.57	0.5	0.01
03/31/2018	***-**-6502 - MANCHESTER, ACCOUNT #: 02514873451	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	2.90	0.00	2.90	0.5	0.01



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
03/31/2018	***-**-4110 - KAVANAGH, ACCOUNT #: 02514874144	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	3.42	0.00	3.42	0.5	0.02
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 01900983554	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	4.45	0.00	4.45	0.5	0.02
03/31/2018	***-**-74IN - KELLEY, ACCOUNT #: 01902260775	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	1.59	0.00	1.59	0.5	0.01
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02300116039	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	54.94	0.00	54.94	0.5	0.27
03/31/2018	***-**-198I - CHAPADOS, JANIS ACCOUNT #: 02300336042	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	8.50	0.00	8.50	0.5	0.04
03/31/2018	***-**-533I - CHAPADOS, JOSEPH ACCOUNT #: 02300336064	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	18.81	0.00	18.81	0.5	0.09
03/31/2018	***-**-9267 - MATHIS, DOLORES ACCOUNT #: 02300863808	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	2.97	0.00	2.97	0.5	0.01
03/31/2018	***-**-521I - MCCUNE, ELAINE ACCOUNT #: 02303248028	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	17.09	0.00	17.09	0.5	0.09
03/31/2018	***-**-349I - HADSOCK, DEBORAH ACCOUNT #: 02303332904	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	8.63	0.00	8.63	0.5	0.04
03/31/2018	***-**-05IN - FRIDLEY, ACCOUNT #: 02307128883	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	6.23	0.00	6.23	0.5	0.03
03/31/2018	***-**-533J - CHAPADOS, JOSEPH ACCOUNT #: 02308154531	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	13.24	0.00	13.24	0.5	0.07
03/31/2018	***-**-21IN - MCCUNE, ELAINE ACCOUNT #: 02308553237	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	19.68	0.00	19.68	0.5	0.10
03/31/2018	***-**-950I - BEVACQUA, ACCOUNT #: 02309630126	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	10.70	0.00	10.70	0.5	0.05
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02309875470	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	11.62	0.00	11.62	0.5	0.06
03/31/2018	***-**-533I - CHAPADOS, JOSEPH ACCOUNT #: 02800662156	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	5.01	0.00	5.01	0.5	0.03
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02800690943	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	1.95	0.00	1.95	0.5	0.01



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02801416646	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	5.92	0.00	5.92	0.5	0.03
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02801449481	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	1.35	0.00	1.35	0.5	0.01
03/31/2018	***-**-3991 - COHEN, RACHEL & ACCOUNT #: 02801858010	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	1.48	0.00	1.48	0.5	0.01
03/31/2018	***-**-0804 - GALE, MARY ACCOUNT #: 02304402203	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	1.04	0.00	1.04	0.5	0.01
03/31/2018	***-**-745I - RIENZO, BETTY ACCOUNT #: 02307314860	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	23.96	0.00	23.96	0.5	0.12
03/31/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 02202195875	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	5.46	0.00	5.46	0.5	0.03
03/31/2018	***-**-05IN - FRIDLEY, ACCOUNT #: 02203573031	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	4.45	0.00	4.45	0.5	0.02
03/31/2018	***-**-7193 - GALE, WALTER ACCOUNT #: 02201824790	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	4.53	0.00	4.53	0.5	0.02
03/31/2018	***-**-0804 - GALE, MARY ACCOUNT #: 02201824801	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	6.01	0.00	6.01	0.5	0.03
03/31/2018	***-**-03IN - IADIANO, EDNA ACCOUNT #: 00100886392	OPPENHEIMERSTEELPATH MLP ALPHA A BUY 0 Units @0.0000	0.00	6.67	0.00	6.67	0.5	0.03
04/12/2018	***-**-67IN - METZ, MICHAEL ACCOUNT #: VP60804590	PACIFIC LIFE DTCC RENEWAL BUY 0 Units @0.0000	138.00	2.76	0.00	2.76	0.5	0.01
04/12/2018	***-**-5160 - THOMAS, RAMONA ACCOUNT #: VP60865160	PACIFIC LIFE DTCC RENEWAL BUY 0 Units @0.0000	220.00	2.20	0.00	2.20	0.5	0.01
04/10/2018	***-**-52IN - ANGELL, ACCOUNT #: VR01016989	PACIFIC LIFE INNOV-SELE BUY 0 Units @0.0000	0.00	772.43	0.00	772.43	0.5	3.86
04/09/2018	***-**-200I - TAPIA, EPITACIO ACCOUNT #: VR08039605	PACIFIC LIFE INNOV-SELECT BUY 0 Units @0.0000	0.00	33.01	0.00	33.01	0.5	0.17
04/12/2018	***-**-04IN - GREENE, RICHARD ACCOUNT #: VR01053139	PACIFIC LIFE VA CUSIP 694474800 BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-78IN - GOSSELIN, ROLAND ACCOUNT #: VR01053140	PACIFIC LIFE VA CUSIP 694474800 BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02



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 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/12/2018	***-**-28IN - TORRES, RICHARD	PACIFIC LIFE VA CUSIP 694474800	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053214	BUY 0 Units @0.0000						
04/12/2018	***-**-23IN - ROBINSON, SCOTT	PACIFIC LIFE VA CUSIP 694474800	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053218	BUY 0 Units @0.0000						
04/12/2018	***-**-16IN - ROBBINS, CHARLES	PACIFIC LIFE VA CUSIP 694474800	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053219	BUY 0 Units @0.0000						
04/12/2018	***-**-53IN - NOTTELL, JOHN	PACIFIC LIFE VA CUSIP 694474800	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053235	BUY 0 Units @0.0000						
04/12/2018	***-**-06IN - NERI, DAVID	PACIFIC LIFE VA CUSIP 694474800	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053237	BUY 0 Units @0.0000						
04/12/2018	***-**-84IN - MAYNARD,	PACIFIC LIFE VA CUSIP 694474800	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053244	BUY 0 Units @0.0000						
04/12/2018	***-**-78IN - O'NEILL, JOHN	PACIFIC LIFE VA CUSIP 694474883	75.37	4.15	0.00	4.15	0.5	0.02
	ACCOUNT #: VR01053248	BUY 0 Units @0.0000						
04/12/2018	***-**-66IN - MANZO, ANTHONY	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052726	BUY 0 Units @0.0000						
04/12/2018	***-**-47IN - LUSSIER, BRIAN	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052727	BUY 0 Units @0.0000						
04/12/2018	***-**-14IN - LUPINO, JOSEPH	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052728	BUY 0 Units @0.0000						
04/12/2018	***-**-32IN - LAPRADE, MARK	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052729	BUY 0 Units @0.0000						
04/12/2018	***-**-08IN - LANGLAIS, TODD	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052730	BUY 0 Units @0.0000						
04/12/2018	***-**-32IN - CARDON, SCOTT	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052795	BUY 0 Units @0.0000						
04/12/2018	***-**-81IN - CAMARA, CHARLES	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052796	BUY 0 Units @0.0000						
04/12/2018	***-**-82IN - BURGESS, STEVEN	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052797	BUY 0 Units @0.0000						
04/12/2018	***-**-49IN - BROUILLARD,	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052798	BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/12/2018	***-**-48IN - BROCKWAY, DEAN	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052799	BUY 0 Units @0.0000						
04/12/2018	***-**-90IN - BOYER, JOHN	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052800	BUY 0 Units @0.0000						
04/12/2018	***-**-73IN - BOUCHARD, MARK	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052801	BUY 0 Units @0.0000						
04/12/2018	***-**-84IN - BERGANTINO,	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052802	BUY 0 Units @0.0000						
04/12/2018	***-**-63IN - BOOTH, WILLIAM	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052804	BUY 0 Units @0.0000						
04/12/2018	***-**-31IN - ANSLEY, KEVIN	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052806	BUY 0 Units @0.0000						
04/12/2018	***-**-25IN - ADAMO, MICHAEL	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01052807	BUY 0 Units @0.0000						
04/12/2018	***-**-11IN - KARBOWSKI,	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053135	BUY 0 Units @0.0000						
04/12/2018	***-**-86IN - JUTRAS,	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053136	BUY 0 Units @0.0000						
04/12/2018	***-**-17IN - IRELAND, JOHN	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053137	BUY 0 Units @0.0000						
04/12/2018	***-**-10IN - GIGUERE, RAYMOND	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053142	BUY 0 Units @0.0000						
04/12/2018	***-**-00IN - GAVLIK, JOSEPH	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053143	BUY 0 Units @0.0000						
04/12/2018	***-**-16IN - FONTAINE, ROLAND	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053145	BUY 0 Units @0.0000						
04/12/2018	***-**-58IN - FLANDERS, HARVEY	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053146	BUY 0 Units @0.0000						
04/12/2018	***-**-82IN - DIDINO, DAVID	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053150	BUY 0 Units @0.0000						
04/12/2018	***-**-14IN - DIBIASIO, ROBERT	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053151	BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/12/2018	***-**-71IN - DESORCY, PAUL	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053152	BUY 0 Units @0.0000						
04/12/2018	***-**-22IN - DELISLE, MICHAEL	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053153	BUY 0 Units @0.0000						
04/12/2018	***-**-27IN - DELBONIS,	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053154	BUY 0 Units @0.0000						
04/12/2018	***-**-76IN - D'AGUANNO, JASON	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053155	BUY 0 Units @0.0000						
04/12/2018	***-**-11IN - D CROFT, STEPHEN	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053157	BUY 0 Units @0.0000						
04/12/2018	***-**-40IN - COUTU, CHRIS	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053159	BUY 0 Units @0.0000						
04/12/2018	***-**-69IN - COLEMAN, GREGORY	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053160	BUY 0 Units @0.0000						
04/12/2018	***-**-50IN - COLANTONIO,	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053161	BUY 0 Units @0.0000						
04/12/2018	***-**-34IN - CHAMBERLAND,	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053162	BUY 0 Units @0.0000						
04/12/2018	***-**-05IN - CASEY, PAUL	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053164	BUY 0 Units @0.0000						
04/12/2018	***-**-89IN - YATES,	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053211	BUY 0 Units @0.0000						
04/12/2018	***-**-76IN - WELLER, SCOTT	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053212	BUY 0 Units @0.0000						
04/12/2018	***-**-45IN - SAFFORD, LINWOOD	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053217	BUY 0 Units @0.0000						
04/12/2018	***-**-79IN - RINFRETTE,	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053221	BUY 0 Units @0.0000						
04/12/2018	***-**-79IN - RECORDS, DAVID	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053222	BUY 0 Units @0.0000						
04/12/2018	***-**-08IN - RAGOSTA, JAMES	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR01053223	BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/12/2018	***-**-29IN - RIMOSHYTUS, ACCOUNT #: VR01053225	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-30IN - ROGERS, SCOTT ACCOUNT #: VR01053226	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-74IN - STERNBERG, ACCOUNT #: VR01053227	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-04IN - O'DONNELL, ACCOUNT #: VR01053233	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-05IN - NYZIO, ROBERT ACCOUNT #: VR01053234	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-64IN - NIQUETTE, ARMAND ACCOUNT #: VR01053236	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-89IN - MIZZONI, THOMAS ACCOUNT #: VR01053241	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-92IN - MEINERTZ, GARY ACCOUNT #: VR01053243	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-65IN - MORROCCO, ACCOUNT #: VR01053245	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-85IN - NIMIROSKI, BRIAN ACCOUNT #: VR01053246	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-60IN - O'ROURKE, ACCOUNT #: VR01053247	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-25IN - WOYCIECHOWSKI, ACCOUNT #: VR01054448	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-01IN - PEDRO, NELSON ACCOUNT #: VR01054449	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-44IN - CLEARY, BRANDON ACCOUNT #: VR02047687	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-70IN - BRAZENOR, SCOTT ACCOUNT #: VR02047688	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02
04/12/2018	***-**-68IN - CASEY, JOHN ACCOUNT #: VR02047689	PACIFIC LIFE VALUE BUY 0 Units @0.0000	75.37	3.01	0.00	3.01	0.5	0.02



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 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/12/2018	***-**-93IN - LUSIGNAN, VICTOR	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR02047691	BUY 0 Units @0.0000						
04/12/2018	***-**-66IN - PACHECO, DAVID	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR02047692	BUY 0 Units @0.0000						
04/12/2018	***-**-79IN - DAVY, DAVID	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR02047693	BUY 0 Units @0.0000						
04/12/2018	***-**-92IN - WALSH, MARK	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR02047694	BUY 0 Units @0.0000						
04/12/2018	***-**-59IN - CARPENTER,	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR02047700	BUY 0 Units @0.0000						
04/12/2018	***-**-60IN - RONCI, WILLIAM	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR02047701	BUY 0 Units @0.0000						
04/12/2018	***-**-42IN - LUX, ROBERT	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR02047702	BUY 0 Units @0.0000						
04/12/2018	***-**-57IN - LOWERY, MICHAEL	PACIFIC LIFE VALUE	75.37	3.01	0.00	3.01	0.5	0.02
	ACCOUNT #: VR02047703	BUY 0 Units @0.0000						
04/16/2018	***-**-371I - MASELLI, PIER	PIONEER HIGH YIELD FUND A	0.00	3.34	0.00	3.34	0.5	0.02
	ACCOUNT #: LSR009172	BUY 1 Units @0.0000						
04/16/2018	***-**-468I - FERA, ANGELO	PIONEER HIGH YIELD FUND A	0.00	1.97	0.00	1.97	0.5	0.01
	ACCOUNT #: LSR009598	BUY 1 Units @0.0000						
04/16/2018	***-**-989I - MCCUNE, FRANK	PIONEER HIGH YIELD FUND A	0.00	1.57	0.00	1.57	0.5	0.01
	ACCOUNT #: LSR010237	BUY 1 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	PIONEER HIGH YIELD FUND A	0.00	11.37	0.00	11.37	0.5	0.06
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
03/31/2018	***-**-32IR - SCHALLENBERGER,	PORT SERIES: EQUITY INV FD A	0.00	8.92	0.00	8.92	0.5	0.04
	ACCOUNT #: 05550735108	BUY 0 Units @0.0000						
03/31/2018	***-**-42IR - GLESSNER, KIRSTI	PORT SERIES: EQUITY INV FD A	0.00	20.73	0.00	20.73	0.5	0.10
	ACCOUNT #: 05550956560	BUY 0 Units @0.0000						
03/31/2018	***-**-671O - EVA JAYNE	PORTFOLIO SERIES: EQUITY INVESTOR F	0.00	61.27	0.00	61.27	0.5	0.31
	ACCOUNT #: 05570161667	BUY 0 Units @0.0000						
04/16/2018	***-**-678O - PANGASINAN ASSN	PRINCIPAL FUNDS TRAILS	0.00	9.50	0.00	9.50	0.5	0.05
	ACCOUNT #: 01002018651	BUY 0 Units @0.0000						



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04/16/2018	***-**-00IR - BARTON, MARVELLA	PRINCIPAL FUNDS TRAILS	0.00	1.74	0.00	1.74	0.5	0.01
	ACCOUNT #: 00014203079	BUY 0 Units @0.0000						
04/16/2018	***-**-2517 - PARKER, DAVID M	PRINCIPAL FUNDS TRAILS	0.00	1.17	0.00	1.17	0.5	0.01
	ACCOUNT #: 31028076	BUY 0 Units @0.0000						
04/16/2018	***-**-987I - PARKHOUSE,	PRINCIPAL FUNDS TRAILS	0.00	3.78	0.00	3.78	0.5	0.02
	ACCOUNT #: 31020172	BUY 0 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	PRUDENTIAL FINANCIAL SERVICES CLASS	0.00	1.14	0.00	1.14	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
04/16/2018	***-**-255I - GRAHAM, DEBORAH	PRUDENTIAL HIGH YIELD CLASS B	0.00	1.16	0.00	1.16	0.5	0.01
	ACCOUNT #: LSR011397	BUY 1 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	PRUDENTIAL JENNISON CONSERV GROWTH	0.00	1.69	0.00	1.69	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	PRUDENTIAL JENNISON EQUITY INCOME C	0.00	1.29	0.00	1.29	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	PRUDENTIAL JENNISON EQUITY OPP CL A	0.00	6.34	0.00	6.34	0.5	0.03
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
04/16/2018	***-**-1832 - WEISMAN, DORIS	PRUDENTIAL JENNISON HEALTH SCIENCES	0.00	3.68	0.00	3.68	0.5	0.02
	ACCOUNT #: LSR011330	BUY 1 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	2.05	0.00	2.05	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
04/16/2018	***-**-255I - GRAHAM, DEBORAH	PRUDENTIAL JENNISON SELECT GROWTH C	0.00	2.12	0.00	2.12	0.5	0.01
	ACCOUNT #: LSR011397	BUY 1 Units @0.0000						
04/16/2018	***-**-1810 - STEVEN A	PRUDENTIAL JENNISON UTILITY CLASS A	0.00	2.36	0.00	2.36	0.5	0.01
	ACCOUNT #: LSR011388	BUY 1 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	PRUDENTIAL JENNISON UTILITY CLASS A	0.00	1.22	0.00	1.22	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
04/16/2018	***-**-3590 - HEALY, THOMAS	PRUDENTIAL MF TRAILS	0.00	15.13	0.00	15.13	0.5	0.08
	ACCOUNT #: 2808351534	BUY 0 Units @0.0000						
04/16/2018	***-**-70IR - NAPOLITANO,	PRUDENTIAL MF TRAILS	0.00	1.21	0.00	1.21	0.5	0.01
		BUY 0 Units @0.0000						
04/16/2018	***-**-755P - UNIF TRANS TO	PRUDENTIAL MF TRAILS	0.00	3.59	0.00	3.59	0.5	0.02
		BUY 0 Units @0.0000						



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04/16/2018	***-**-325P - WAIDO, KEITH	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	2.18	0.00	2.18	0.5	0.01
04/16/2018	***-**-70IR - NAPOLITANO,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	8.43	0.00	8.43	0.5	0.04
04/16/2018	***-**-755P - UNIF TRANS TO	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	8.10	0.00	8.10	0.5	0.04
04/16/2018	***-**-980I - NASCIMBENI,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	17.71	0.00	17.71	0.5	0.09
04/16/2018	***-**-980I - NASCIMBENI,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	53.34	0.00	53.34	0.5	0.27
04/16/2018	***-**-980I - NASCIMBENI,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	49.96	0.00	49.96	0.5	0.25
04/16/2018	***-**-485P - GOSSARD, RAMONA	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	3.43	0.00	3.43	0.5	0.02
04/16/2018	***-**-1722 - PECKHAM, ACCOUNT #: 0007413985	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	70.77	0.00	70.77	0.5	0.35
04/16/2018	***-**-828I - SOTIRI, XHULIETA	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	1.46	0.00	1.46	0.5	0.01
04/16/2018	***-**-819I - SOTIRI, MINELLA	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	1.46	0.00	1.46	0.5	0.01
04/16/2018	***-**-36I0 - FULTON, KATHLEEN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	6.54	0.00	6.54	0.5	0.03
04/16/2018	***-**-70IR - NAPOLITANO,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	10.69	0.00	10.69	0.5	0.05
04/16/2018	***-**-755P - UNIF TRANS TO	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	9.29	0.00	9.29	0.5	0.05
04/16/2018	***-**-315P - RENFER, KAREN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	1.17	0.00	1.17	0.5	0.01
04/16/2018	***-**-115P - BRASHEAR,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	7.87	0.00	7.87	0.5	0.04
04/16/2018	***-**-445P - SANTUCCI, JOSEPH	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	43.87	0.00	43.87	0.5	0.22



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<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/16/2018	***-**-36I0 - FULTON, KATHLEEN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	3.40	0.00	3.40	0.5	0.02
04/16/2018	***-**-115P - BRASHEAR,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	2.40	0.00	2.40	0.5	0.01
04/16/2018	***-**-325P - WAIDO, KEITH	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	1.87	0.00	1.87	0.5	0.01
04/16/2018	***-**-36I0 - FULTON, KATHLEEN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	5.81	0.00	5.81	0.5	0.03
04/16/2018	***-**-175P - RIVERA, THOMAS	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	2.82	0.00	2.82	0.5	0.01
04/16/2018	***-**-323R - TAYLOR, PEGGY	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	4.30	0.00	4.30	0.5	0.02
04/16/2018	***-**-123H - QUIMBY, CHERI	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	9.02	0.00	9.02	0.5	0.05
04/16/2018	***-**-70IR - NAPOLITANO,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	3.09	0.00	3.09	0.5	0.02
04/16/2018	***-**-70IR - NAPOLITANO,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	5.40	0.00	5.40	0.5	0.03
04/16/2018	***-**-92UT - SLEDZIK, RICHARD	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	8.66	0.00	8.66	0.5	0.04
04/16/2018	***-**-485P - GOSSARD, RAMONA	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	1.81	0.00	1.81	0.5	0.01
04/16/2018	***-**-115P - BRASHEAR,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	4.53	0.00	4.53	0.5	0.02
04/16/2018	***-**-325P - WAIDO, KEITH	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	3.45	0.00	3.45	0.5	0.02
04/16/2018	***-**-123H - QUIMBY, CHERI	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	24.71	0.00	24.71	0.5	0.12
04/16/2018	***-**-70IR - NAPOLITANO,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	4.68	0.00	4.68	0.5	0.02
04/16/2018	***-**-755P - UNIF TRANS TO	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	1.43	0.00	1.43	0.5	0.01



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/16/2018	***-**-755P - UNIF TRANS TO	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	1.43	0.00	1.43	0.5	0.01
04/16/2018	***-**-445P - SANTUCCI, JOSEPH	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	95.26	0.00	95.26	0.5	0.48
04/16/2018	***-**-36I0 - FULTON, KATHLEEN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	6.21	0.00	6.21	0.5	0.03
04/16/2018	***-**-315P - RENFER, KAREN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	2.00	0.00	2.00	0.5	0.01
04/16/2018	***-**-115P - BRASHEAR,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	7.83	0.00	7.83	0.5	0.04
04/16/2018	***-**-705P - FLOWERS, DENNIS	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	1.95	0.00	1.95	0.5	0.01
04/16/2018	***-**-1888 - HERNANDEZ, JUAN	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	1.49	0.00	1.49	0.5	0.01
04/16/2018	***-**-325P - WAIDO, KEITH	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	5.89	0.00	5.89	0.5	0.03
04/16/2018	***-**-03CL - GEORGIEV,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	47.84	0.00	47.84	0.5	0.24
04/16/2018	***-**-8176 - BLACKFORD,	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	38.57	0.00	38.57	0.5	0.19
04/16/2018	***-**-03I0 - SANTORO, NANCY	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	10.65	0.00	10.65	0.5	0.05
04/16/2018	***-**-47I0 - MEYERS, GREGORY	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	4.55	0.00	4.55	0.5	0.02
04/16/2018	***-**-74I0 - BOULET, RAYMOND	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	176.63	0.00	176.63	0.5	0.88
04/16/2018	***-**-543P - AGLE, PATRICIA	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	13.20	0.00	13.20	0.5	0.07
04/16/2018	***-**-225P - MARTIN, JOYCE	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	148.02	0.00	148.02	0.5	0.74
04/16/2018	***-**-879I - MARTIN, DANIEL	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	18.31	0.00	18.31	0.5	0.09



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 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/16/2018	***-**-715P - LOPEZ, URIEL	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	5.54	0.00	5.54	0.5	0.03
04/16/2018	***-**-4282 - SOTIRI, MINELLA	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	1.24	0.00	1.24	0.5	0.01
04/16/2018	***-**-711O - HULSLANDER, ACCOUNT #: LSR011715	PRUDENTIAL QMA LARGE CAP CORE EQUIT BUY 1 Units @0.0000	0.00	7.81	0.00	7.81	0.5	0.04
04/02/2018	***-**-937I - WOZNY, LAUREN ACCOUNT #: 00456166610	PUTNAM 746792100 BUY 0 Units @0.0000	0.00	2.33	0.00	2.33	0.5	0.01
04/02/2018	***-**-541R - EIKOS, DIANE ACCOUNT #: 00443867062	PUTNAM ASSET ALLOC CONSERV-A BUY 0 Units @0.0000	0.00	18.92	0.00	18.92	0.5	0.09
04/02/2018	***-**-812I - VALLIE, CHRIS ACCOUNT #: 00341342232	PUTNAM ASSET ALLOC GROWTH-A BUY 0 Units @0.0000	0.00	2.50	0.00	2.50	0.5	0.01
04/02/2018	***-**-599I - VALLIE, PAULA ACCOUNT #: 00353186842	PUTNAM ASSET ALLOC GROWTH-A BUY 0 Units @0.0000	0.00	6.37	0.00	6.37	0.5	0.03
04/02/2018	***-**-446I - KARZAS, GEORGE ACCOUNT #: 00514449900	PUTNAM ASSET ALLOC GROWTH-A BUY 0 Units @0.0000	0.00	51.48	0.00	51.48	0.5	0.26
04/02/2018	***-**-470I - EIKOS, JAMES ACCOUNT #: 00441913257	PUTNAM ASSET ALLOCATION BALANCED PO BUY 0 Units @0.0000	0.00	3.48	0.00	3.48	0.5	0.02
04/02/2018	***-**-514I - MIKUS, BETTY ACCOUNT #: 00499116880	PUTNAM DIVERSIFIED INCOME FUND CLAS BUY 0 Units @0.0000	0.00	9.84	0.00	9.84	0.5	0.05
04/02/2018	***-**-0552 - SAMSON, ACCOUNT #: 00551471419	PUTNAM DIVERSIFIED INCOME FUND CLAS BUY 0 Units @0.0000	0.00	1.96	0.00	1.96	0.5	0.01
04/02/2018	***-**-9706 - SAMSON, TAYLOR ACCOUNT #: 00551471420	PUTNAM DIVERSIFIED INCOME FUND CLAS BUY 0 Units @0.0000	0.00	2.06	0.00	2.06	0.5	0.01
04/02/2018	***-**-163I - KRASNER, SHERRIE ACCOUNT #: 00018011739	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	31.45	0.00	31.45	0.5	0.16
04/02/2018	***-**-504I - DITZ, DAVID M ACCOUNT #: 00021147340	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	5.17	0.00	5.17	0.5	0.03
04/02/2018	***-**-559J - CIPCIC, ALBERTA ACCOUNT #: 00134636341	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	3.13	0.00	3.13	0.5	0.02
04/02/2018	***-**-38IN - FLEISCHER, ACCOUNT #: 00190128037	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	18.43	0.00	18.43	0.5	0.09



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/02/2018	***-**-973I - MCMAHON, LISA	PUTNAM EQUITY INCOME FUND-A	0.00	13.75	0.00	13.75	0.5	0.07
	ACCOUNT #: 00225575400	BUY 0 Units @0.0000						
04/02/2018	***-**-252O - ANGELL,	PUTNAM EQUITY INCOME FUND-A	0.00	45.39	0.00	45.39	0.5	0.23
	ACCOUNT #: 00335245345	BUY 0 Units @0.0000						
04/02/2018	***-**-785I - ENIS, JOHN B	PUTNAM EQUITY INCOME FUND-A	0.00	2.17	0.00	2.17	0.5	0.01
	ACCOUNT #: 00385420398	BUY 0 Units @0.0000						
04/02/2018	***-**-25IN - SLICK, DIANE	PUTNAM EQUITY INCOME FUND-A	0.00	1.55	0.00	1.55	0.5	0.01
	ACCOUNT #: 00442051612	BUY 0 Units @0.0000						
04/02/2018	***-**-937I - WOZNY, LAUREN	PUTNAM EQUITY INCOME FUND-A	0.00	2.61	0.00	2.61	0.5	0.01
	ACCOUNT #: 00456166610	BUY 0 Units @0.0000						
04/02/2018	***-**-139I - MAY, EILEEN	PUTNAM EQUITY INCOME FUND-A	0.00	6.98	0.00	6.98	0.5	0.03
	ACCOUNT #: 00500306501	BUY 0 Units @0.0000						
04/02/2018	***-**-74IR - KELLEY,	PUTNAM EQUITY INCOME FUND-A	0.00	9.54	0.00	9.54	0.5	0.05
	ACCOUNT #: 00500937537	BUY 0 Units @0.0000						
04/02/2018	***-**-139I - MAY, EILEEN	PUTNAM EQUITY INCOME FUND-A	0.00	6.75	0.00	6.75	0.5	0.03
	ACCOUNT #: 00505761719	BUY 0 Units @0.0000						
04/02/2018	***-**-37IR - SAVASTANO, GAIL	PUTNAM EQUITY INCOME FUND-A	0.00	1.61	0.00	1.61	0.5	0.01
	ACCOUNT #: 00508610460	BUY 0 Units @0.0000						
04/02/2018	***-**-19IR - SAVASTANO,	PUTNAM EQUITY INCOME FUND-A	0.00	1.61	0.00	1.61	0.5	0.01
	ACCOUNT #: 00508992031	BUY 0 Units @0.0000						
04/02/2018	***-**-33IR - MURRAY, NANCY	PUTNAM EQUITY INCOME FUND-A	0.00	3.12	0.00	3.12	0.5	0.02
	ACCOUNT #: 00509627450	BUY 0 Units @0.0000						
04/02/2018	***-**-680I - ENIS, LINDA	PUTNAM EQUITY INCOME FUND-A	0.00	44.10	0.00	44.10	0.5	0.22
	ACCOUNT #: 00550915196	BUY 0 Units @0.0000						
04/02/2018	***-**-785I - ENIS, JOHN B	PUTNAM EQUITY INCOME FUND-A	0.00	12.31	0.00	12.31	0.5	0.06
	ACCOUNT #: 00550947194	BUY 0 Units @0.0000						
04/02/2018	***-**-90IN - ONSTOT, STEPHEN	PUTNAM EQUITY INCOME FUND-A	0.00	8.93	0.00	8.93	0.5	0.04
	ACCOUNT #: 00550969213	BUY 0 Units @0.0000						
04/02/2018	***-**-759I - WYCKOFF, CHERYL	PUTNAM EQUITY INCOME FUND-A	0.00	4.44	0.00	4.44	0.5	0.02
	ACCOUNT #: 00550976392	BUY 0 Units @0.0000						
04/02/2018	***-**-4572 - MELIN, LUCILLE	PUTNAM EQUITY INCOME FUND-A	0.00	3.18	0.00	3.18	0.5	0.02
	ACCOUNT #: 00550824937	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/02/2018	***-**-0552 - SAMSON, ACCOUNT #: 00551471419	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	2.76	0.00	2.76	0.5	0.01
04/02/2018	***-**-9706 - SAMSON, TAYLOR ACCOUNT #: 00551471420	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	2.89	0.00	2.89	0.5	0.01
04/02/2018	***-**-25IN - SLICK, DIANE ACCOUNT #: 00442051612	PUTNAM EQUITY INCOME FUND-B BUY 0 Units @0.0000	0.00	5.03	0.00	5.03	0.5	0.03
04/02/2018	***-**-74IR - KELLEY, ACCOUNT #: 00500937537	PUTNAM EQUITY INCOME FUND-B BUY 0 Units @0.0000	0.00	4.99	0.00	4.99	0.5	0.02
04/02/2018	***-**-922I - STANKIEWICZ, ACCOUNT #: 00429465637	PUTNAM EUROPE EQUITY FUND-A BUY 0 Units @0.0000	0.00	7.10	0.00	7.10	0.5	0.04
04/02/2018	***-**-504I - DITZ, DAVID M ACCOUNT #: 00021147340	PUTNAM GLOBAL EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	2.51	0.00	2.51	0.5	0.01
04/02/2018	***-**-140J - HARDER, RONALD ACCOUNT #: 00063167398	PUTNAM GLOBAL EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	5.52	0.00	5.52	0.5	0.03
04/02/2018	***-**-49IR - SMITH, KARL ACCOUNT #: 00318273300	PUTNAM GLOBAL EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	6.59	0.00	6.59	0.5	0.03
04/02/2018	***-**-61IR - SMITH, LORI ACCOUNT #: 00318273652	PUTNAM GLOBAL EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	4.62	0.00	4.62	0.5	0.02
04/02/2018	***-**-922I - STANKIEWICZ, ACCOUNT #: 00429465637	PUTNAM GLOBAL EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	9.69	0.00	9.69	0.5	0.05
04/02/2018	***-**-465P - LAUGHLIN, TRACI ACCOUNT #: 00431687673	PUTNAM GLOBAL EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	6.63	0.00	6.63	0.5	0.03
04/02/2018	***-**-0632 - ST CLAIR, ACCOUNT #: 00431747675	PUTNAM GLOBAL EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	24.09	0.00	24.09	0.5	0.12
04/02/2018	***-**-7613 - ORTIZ, GERMAINE ACCOUNT #: 00020068138	PUTNAM GLOBAL EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	8.02	0.00	8.02	0.5	0.04
04/02/2018	***-**-163I - KRASNER, SHERRIE ACCOUNT #: 00018011739	PUTNAM GLOBAL HEALTH CARE FD-A BUY 0 Units @0.0000	0.00	22.77	0.00	22.77	0.5	0.11
04/02/2018	***-**-038I - FLEISCHER, ACCOUNT #: 00032806001	PUTNAM GLOBAL HEALTH CARE FD-A BUY 0 Units @0.0000	0.00	85.07	0.00	85.07	0.5	0.43
04/02/2018	***-**-38IN - FLEISCHER, ACCOUNT #: 00190128037	PUTNAM GLOBAL HEALTH CARE FD-A BUY 0 Units @0.0000	0.00	196.85	0.00	196.85	0.5	0.98



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/02/2018	***-**-973I - MCMAHON, LISA	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	13.85	0.00	13.85	0.5	0.07
	ACCOUNT #: 00225575400	BUY 0 Units @0.0000						
04/02/2018	***-**-252O - ANGELL,	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	29.97	0.00	29.97	0.5	0.15
	ACCOUNT #: 00335245345	BUY 0 Units @0.0000						
04/02/2018	***-**-73IE - PURDY, CAROL	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.32	0.00	1.32	0.5	0.01
	ACCOUNT #: 00340658835	BUY 0 Units @0.0000						
04/02/2018	***-**-139I - MAY, EILEEN	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	9.44	0.00	9.44	0.5	0.05
	ACCOUNT #: 00500306501	BUY 0 Units @0.0000						
04/02/2018	***-**-527I - OBERT, DAVID	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	4.06	0.00	4.06	0.5	0.02
	ACCOUNT #: 00502877254	BUY 0 Units @0.0000						
04/02/2018	***-**-139I - MAY, EILEEN	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	8.45	0.00	8.45	0.5	0.04
	ACCOUNT #: 00505761719	BUY 0 Units @0.0000						
04/02/2018	***-**-37IR - SAVASTANO, GAIL	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	2.28	0.00	2.28	0.5	0.01
	ACCOUNT #: 00508610460	BUY 0 Units @0.0000						
04/02/2018	***-**-98IE - SAVASTANO,	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.66	0.00	1.66	0.5	0.01
	ACCOUNT #: 00508651643	BUY 0 Units @0.0000						
04/02/2018	***-**-02IE - SAVASTANO,	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.66	0.00	1.66	0.5	0.01
	ACCOUNT #: 00508651847	BUY 0 Units @0.0000						
04/02/2018	***-**-19IR - SAVASTANO,	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	2.28	0.00	2.28	0.5	0.01
	ACCOUNT #: 00508992031	BUY 0 Units @0.0000						
04/02/2018	***-**-7613 - ORTIZ, GERMAINE	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	24.50	0.00	24.50	0.5	0.12
	ACCOUNT #: 00020068138	BUY 0 Units @0.0000						
04/02/2018	***-**-90IN - ONSTOT, STEPHEN	PUTNAM GLOBAL INCOME TRUST-A	0.00	2.80	0.00	2.80	0.5	0.01
	ACCOUNT #: 00550969213	BUY 0 Units @0.0000						
04/02/2018	***-**-2138 - LAUGHLIN, MARTIN	PUTNAM GLOBAL INDUSTRIALS-A	0.00	25.28	0.00	25.28	0.5	0.13
	ACCOUNT #: 00550914024	BUY 0 Units @0.0000						
04/02/2018	***-**-9241 - PITTS, MICHAEL	PUTNAM GLOBAL NAT RESOURCES-A	0.00	1.34	0.00	1.34	0.5	0.01
	ACCOUNT #: 00409890652	BUY 0 Units @0.0000						
04/02/2018	***-**-504I - DITZ, DAVID M	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	7.80	0.00	7.80	0.5	0.04
	ACCOUNT #: 00021147340	BUY 0 Units @0.0000						
04/02/2018	***-**-970I - LAM, DORIS P	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	2.02	0.00	2.02	0.5	0.01
	ACCOUNT #: 00129129984	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/02/2018	***-**-47IN - FERRIS, MICHELLE	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	3.35	0.00	3.35	0.5	0.02
	ACCOUNT #: 00134321330	BUY 0 Units @0.0000						
04/02/2018	***-**-575P - PACKAGE SEP	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	2.79	0.00	2.79	0.5	0.01
	ACCOUNT #: 00255280704	BUY 0 Units @0.0000						
04/02/2018	***-**-879I - WAHAB, G	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	1.27	0.00	1.27	0.5	0.01
	ACCOUNT #: 00255319195	BUY 0 Units @0.0000						
04/02/2018	***-**-79IN - WAHAB, MAGGY	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	7.33	0.00	7.33	0.5	0.04
	ACCOUNT #: 00255372818	BUY 0 Units @0.0000						
04/02/2018	***-**-086J - CHEN, JING	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	5.95	0.00	5.95	0.5	0.03
	ACCOUNT #: 00272371106	BUY 0 Units @0.0000						
04/02/2018	***-**-98IN - BAIS, RAM	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	5.93	0.00	5.93	0.5	0.03
	ACCOUNT #: 00283433410	BUY 0 Units @0.0000						
04/02/2018	***-**-171I - WISZ JR, JOHN J	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	1.39	0.00	1.39	0.5	0.01
	ACCOUNT #: 00302228366	BUY 0 Units @0.0000						
04/02/2018	***-**-468J - FELIX, INAS	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	9.55	0.00	9.55	0.5	0.05
	ACCOUNT #: 00307357741	BUY 0 Units @0.0000						
04/02/2018	***-**-970I - LAM, DORIS P	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	5.95	0.00	5.95	0.5	0.03
	ACCOUNT #: 00315986011	BUY 0 Units @0.0000						
04/02/2018	***-**-874I - LIU, YU L	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	3.66	0.00	3.66	0.5	0.02
	ACCOUNT #: 00320161434	BUY 0 Units @0.0000						
04/02/2018	***-**-72IN - JIAO, BEI	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	9.55	0.00	9.55	0.5	0.05
	ACCOUNT #: 00320268706	BUY 0 Units @0.0000						
04/02/2018	***-**-258J - OUELLETTE,	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	7.05	0.00	7.05	0.5	0.04
	ACCOUNT #: 00320586211	BUY 0 Units @0.0000						
04/02/2018	***-**-50IN - RENDELL, IAN	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	2.61	0.00	2.61	0.5	0.01
	ACCOUNT #: 00323890524	BUY 0 Units @0.0000						
04/02/2018	***-**-252O - ANGELL,	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	5.46	0.00	5.46	0.5	0.03
	ACCOUNT #: 00335245345	BUY 0 Units @0.0000						
04/02/2018	***-**-73IR - CONNORS, GEORGE	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	1.31	0.00	1.31	0.5	0.01
	ACCOUNT #: 00369309866	BUY 0 Units @0.0000						
04/02/2018	***-**-66IR - CONNORS, STELLA	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	1.31	0.00	1.31	0.5	0.01
	ACCOUNT #: 00369800054	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/02/2018	***-**-785I - ENIS, JOHN B	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	1.35	0.00	1.35	0.5	0.01
	ACCOUNT #: 00385420398	BUY 0 Units @0.0000						
04/02/2018	***-**-34IN - MITRA, CHINMOY	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	1.59	0.00	1.59	0.5	0.01
	ACCOUNT #: 00389361772	BUY 0 Units @0.0000						
04/02/2018	***-**-25IN - SLICK, DIANE	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	2.03	0.00	2.03	0.5	0.01
	ACCOUNT #: 00442051612	BUY 0 Units @0.0000						
04/02/2018	***-**-937I - WOZNY, LAUREN	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	3.08	0.00	3.08	0.5	0.02
	ACCOUNT #: 00456166610	BUY 0 Units @0.0000						
04/02/2018	***-**-375P - WOZNY, LAUREN	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: 00458711965	BUY 0 Units @0.0000						
04/02/2018	***-**-468I - FELIX, SHERIF A	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	16.81	0.00	16.81	0.5	0.08
	ACCOUNT #: 00474852491	BUY 0 Units @0.0000						
04/02/2018	***-**-132I - STODDART, WENDY	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	1.19	0.00	1.19	0.5	0.01
	ACCOUNT #: 00494094521	BUY 0 Units @0.0000						
04/02/2018	***-**-75IR - MCCLURE, MICHAEL	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	5.49	0.00	5.49	0.5	0.03
	ACCOUNT #: 00494928028	BUY 0 Units @0.0000						
04/02/2018	***-**-212I - SMYTH, FREDERICK	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	29.40	0.00	29.40	0.5	0.15
	ACCOUNT #: 00495126657	BUY 0 Units @0.0000						
04/02/2018	***-**-827I - MOORE, JON	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	11.89	0.00	11.89	0.5	0.06
	ACCOUNT #: 00500569872	BUY 0 Units @0.0000						
04/02/2018	***-**-9772 - BUSKARD, MAUREEN	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	3.37	0.00	3.37	0.5	0.02
	ACCOUNT #: 00513212527	BUY 0 Units @0.0000						
04/02/2018	***-**-99IN - CHADHA, JASBIR	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	2.45	0.00	2.45	0.5	0.01
	ACCOUNT #: 00516004430	BUY 0 Units @0.0000						
04/02/2018	***-**-56IR - RYAN, MICHAEL	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	2.72	0.00	2.72	0.5	0.01
	ACCOUNT #: 00516562118	BUY 0 Units @0.0000						
04/02/2018	***-**-28IN - FULHORST, MARY	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	2.05	0.00	2.05	0.5	0.01
	ACCOUNT #: 00516696277	BUY 0 Units @0.0000						
04/02/2018	***-**-012I - MASSORES, HOLLY	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	4.57	0.00	4.57	0.5	0.02
	ACCOUNT #: 00518686440	BUY 0 Units @0.0000						
04/02/2018	***-**-835J - LOUIE, SUSAN	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	1.87	0.00	1.87	0.5	0.01
	ACCOUNT #: 00550823834	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/02/2018	***-**-680I - ENIS, LINDA ACCOUNT #: 00550915196	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	16.06	0.00	16.06	0.5	0.08
04/02/2018	***-**-785I - ENIS, JOHN B ACCOUNT #: 00550947194	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	8.78	0.00	8.78	0.5	0.04
04/02/2018	***-**-32IR - HEMAUER, DANIEL ACCOUNT #: 00550957762	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	4.00	0.00	4.00	0.5	0.02
04/02/2018	***-**-34IR - HEMAUER, SHERRY ACCOUNT #: 00550959231	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	4.00	0.00	4.00	0.5	0.02
04/02/2018	***-**-90IN - ONSTOT, STEPHEN ACCOUNT #: 00550969213	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	7.99	0.00	7.99	0.5	0.04
04/02/2018	***-**-0860 - LIPSON, WILMA ACCOUNT #: 00550213527	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	14.23	0.00	14.23	0.5	0.07
04/02/2018	***-**-2819 - CASE, BERNARD ACCOUNT #: 00550827495	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	11.84	0.00	11.84	0.5	0.06
04/02/2018	***-**-3919 - CASTELLANO, ACCOUNT #: 00550840982	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	3.59	0.00	3.59	0.5	0.02
04/02/2018	***-**-486I - WEBB, JEROLYN K ACCOUNT #: 00550252448	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	9.45	0.00	9.45	0.5	0.05
04/02/2018	***-**-25IN - SLICK, DIANE ACCOUNT #: 00442051612	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 0 Units @0.0000	0.00	4.67	0.00	4.67	0.5	0.02
04/02/2018	***-**-75IR - MCCLURE, MICHAEL ACCOUNT #: 00494928028	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 0 Units @0.0000	0.00	2.13	0.00	2.13	0.5	0.01
04/02/2018	***-**-970I - LAM, DORIS P ACCOUNT #: 00315986011	PUTNAM GROWTH OPPORTUNITIES-M BUY 0 Units @0.0000	0.00	2.21	0.00	2.21	0.5	0.01
04/02/2018	***-**-2520 - ANGELL, ACCOUNT #: 00335245345	PUTNAM HIGH YIELD ADVANTAGE-A BUY 0 Units @0.0000	0.00	13.04	0.00	13.04	0.5	0.07
04/02/2018	***-**-627J - BENDIG, KRISTA ACCOUNT #: 00282480109	PUTNAM INTERNATIONAL EQUITY-A BUY 0 Units @0.0000	0.00	3.39	0.00	3.39	0.5	0.02
04/02/2018	***-**-2520 - ANGELL, ACCOUNT #: 00335245345	PUTNAM INTERNATIONAL EQUITY-A BUY 0 Units @0.0000	0.00	3.69	0.00	3.69	0.5	0.02
04/02/2018	***-**-0632 - ST CLAIR, ACCOUNT #: 00431747675	PUTNAM INTERNATIONAL EQUITY-A BUY 0 Units @0.0000	0.00	16.08	0.00	16.08	0.5	0.08



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: ALEX GEORGIEV (continued) </u>								
04/02/2018	***-**-437I - STRAUB, ACCOUNT #: 00492101343	PUTNAM INTERNATIONAL EQUITY-A BUY 0 Units @0.0000	0.00	6.50	0.00	6.50	0.5	0.03
04/02/2018	***-**-644I - YENDELL, MARYANN ACCOUNT #: 00550800567	PUTNAM INTERNATIONAL EQUITY-A BUY 0 Units @0.0000	0.00	8.47	0.00	8.47	0.5	0.04
04/02/2018	***-**-171I - WISZ JR, JOHN J ACCOUNT #: 00302228366	PUTNAM INTL CAPITAL OPPS-A BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	0.5	0.01
04/02/2018	***-**-49IR - SMITH, KARL ACCOUNT #: 00318273300	PUTNAM INTL CAPITAL OPPS-A BUY 0 Units @0.0000	0.00	8.39	0.00	8.39	0.5	0.04
04/02/2018	***-**-61IR - SMITH, LORI ACCOUNT #: 00318273652	PUTNAM INTL CAPITAL OPPS-A BUY 0 Units @0.0000	0.00	4.60	0.00	4.60	0.5	0.02
04/02/2018	***-**-874I - LIU, YU L ACCOUNT #: 00320161434	PUTNAM INTL CAPITAL OPPS-A BUY 0 Units @0.0000	0.00	4.39	0.00	4.39	0.5	0.02
04/02/2018	***-**-72IN - JIAO, BEI ACCOUNT #: 00320268706	PUTNAM INTL CAPITAL OPPS-A BUY 0 Units @0.0000	0.00	3.44	0.00	3.44	0.5	0.02
04/02/2018	***-**-258J - OUELLETTE, ACCOUNT #: 00320586211	PUTNAM INTL CAPITAL OPPS-A BUY 0 Units @0.0000	0.00	13.52	0.00	13.52	0.5	0.07
04/02/2018	***-**-813I - GILMUND, MATTHEW ACCOUNT #: 00344257587	PUTNAM INTL CAPITAL OPPS-A BUY 0 Units @0.0000	0.00	7.04	0.00	7.04	0.5	0.04
04/02/2018	***-**-741I - GILMUND, MARIE ACCOUNT #: 00344257985	PUTNAM INTL CAPITAL OPPS-A BUY 0 Units @0.0000	0.00	4.78	0.00	4.78	0.5	0.02
04/02/2018	***-**-0632 - ST CLAIR, ACCOUNT #: 00431747675	PUTNAM INTL CAPITAL OPPS-A BUY 0 Units @0.0000	0.00	13.71	0.00	13.71	0.5	0.07
04/02/2018	***-**-212I - SMYTH, FREDERICK ACCOUNT #: 00495126657	PUTNAM INTL CAPITAL OPPS-A BUY 0 Units @0.0000	0.00	20.59	0.00	20.59	0.5	0.10
04/02/2018	***-**-644I - YENDELL, MARYANN ACCOUNT #: 00550800567	PUTNAM INTL CAPITAL OPPS-A BUY 0 Units @0.0000	0.00	5.09	0.00	5.09	0.5	0.03
04/02/2018	***-**-835J - LOUIE, SUSAN ACCOUNT #: 00550823834	PUTNAM INTL CAPITAL OPPS-C BUY 0 Units @0.0000	0.00	19.76	0.00	19.76	0.5	0.10
04/02/2018	***-**-98IR - PERRY, ABBY ACCOUNT #: 00248942140	PUTNAM INTL GROWTH & INC-A BUY 0 Units @0.0000	0.00	2.36	0.00	2.36	0.5	0.01
04/02/2018	***-**-514I - MIKUS, BETTY ACCOUNT #: 00499116880	PUTNAM INTL GROWTH & INC-A BUY 0 Units @0.0000	0.00	8.24	0.00	8.24	0.5	0.04



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/02/2018	***-**-738I - ROSS, BARRY M ACCOUNT #: 00118302573	PUTNAM INTL NEW OPPORT-A BUY 0 Units @0.0000	0.00	10.63	0.00	10.63	0.5	0.05
04/02/2018	***-**-937I - WOZNY, LAUREN ACCOUNT #: 00456166610	PUTNAM INTL NEW OPPORT-A BUY 0 Units @0.0000	0.00	4.83	0.00	4.83	0.5	0.02
04/02/2018	***-**-375P - WOZNY, LAUREN ACCOUNT #: 00458711965	PUTNAM INTL NEW OPPORT-A BUY 0 Units @0.0000	0.00	1.54	0.00	1.54	0.5	0.01
04/02/2018	***-**-437I - STRAUB, ACCOUNT #: 00492101343	PUTNAM INTL NEW OPPORT-A BUY 0 Units @0.0000	0.00	5.87	0.00	5.87	0.5	0.03
04/02/2018	***-**-928I - FULHORST, MARY C ACCOUNT #: 00550971758	PUTNAM INTL NEW OPPORT-A BUY 0 Units @0.0000	0.00	2.19	0.00	2.19	0.5	0.01
04/02/2018	***-**-835J - LOUIE, SUSAN ACCOUNT #: 00550823834	PUTNAM INTL NEW OPPORT-C BUY 0 Units @0.0000	0.00	12.77	0.00	12.77	0.5	0.06
04/02/2018	***-**-140J - HARDER, RONALD ACCOUNT #: 00063167398	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	8.45	0.00	8.45	0.5	0.04
04/02/2018	***-**-575P - PACKAGE SEP ACCOUNT #: 00255280704	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	2.21	0.00	2.21	0.5	0.01
04/02/2018	***-**-79IN - WAHAB, MAGGY ACCOUNT #: 00255372818	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	9.69	0.00	9.69	0.5	0.05
04/02/2018	***-**-086J - CHEN, JING ACCOUNT #: 00272371106	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	5.47	0.00	5.47	0.5	0.03
04/02/2018	***-**-235I - HU, XIAOQING ACCOUNT #: 00275054085	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	1.03	0.00	1.03	0.5	0.01
04/02/2018	***-**-72IN - JIAO, BEI ACCOUNT #: 00320268706	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	4.29	0.00	4.29	0.5	0.02
04/02/2018	***-**-21UG - MCCLURE, RYLEY ACCOUNT #: 00385239240	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	3.02	0.00	3.02	0.5	0.02
04/02/2018	***-**-139I - MAY, EILEEN ACCOUNT #: 00500306501	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	13.19	0.00	13.19	0.5	0.07
04/02/2018	***-**-827I - MOORE, JON ACCOUNT #: 00500569872	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	16.62	0.00	16.62	0.5	0.08
04/02/2018	***-**-527I - OBERT, DAVID ACCOUNT #: 00502877254	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	5.52	0.00	5.52	0.5	0.03



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/02/2018	***-**-139I - MAY, EILEEN	PUTNAM INVESTORS FUND-A	0.00	14.53	0.00	14.53	0.5	0.07
	ACCOUNT #: 00505761719	BUY 0 Units @0.0000						
04/02/2018	***-**-442J - FITZGERALD,	PUTNAM INVESTORS FUND-A	0.00	6.45	0.00	6.45	0.5	0.03
	ACCOUNT #: 00513044124	BUY 0 Units @0.0000						
04/02/2018	***-**-49IN - SMITH, LORI	PUTNAM INVESTORS FUND-A	0.00	2.97	0.00	2.97	0.5	0.01
	ACCOUNT #: 00516712541	BUY 0 Units @0.0000						
04/02/2018	***-**-61IN - SMITH, LORI	PUTNAM INVESTORS FUND-A	0.00	2.97	0.00	2.97	0.5	0.01
	ACCOUNT #: 00516768719	BUY 0 Units @0.0000						
04/02/2018	***-**-10UG - GODZIK, MATTHEW	PUTNAM INVESTORS FUND-A	0.00	1.67	0.00	1.67	0.5	0.01
	ACCOUNT #: 00517064059	BUY 0 Units @0.0000						
04/02/2018	***-**-012I - MASSORES, HOLLY	PUTNAM INVESTORS FUND-A	0.00	3.41	0.00	3.41	0.5	0.02
	ACCOUNT #: 00517137443	BUY 0 Units @0.0000						
04/02/2018	***-**-644I - YENDELL, MARYANN	PUTNAM INVESTORS FUND-A	0.00	11.97	0.00	11.97	0.5	0.06
	ACCOUNT #: 00550800567	BUY 0 Units @0.0000						
04/02/2018	***-**-2138 - LAUGHLIN, MARTIN	PUTNAM INVESTORS FUND-A	0.00	25.29	0.00	25.29	0.5	0.13
	ACCOUNT #: 00550914024	BUY 0 Units @0.0000						
04/02/2018	***-**-365I - CUNEO, LORIE ANN	PUTNAM INVESTORS FUND-A	0.00	6.56	0.00	6.56	0.5	0.03
	ACCOUNT #: 00550926628	BUY 0 Units @0.0000						
04/02/2018	***-**-32IR - HEMAUER, DANIEL	PUTNAM INVESTORS FUND-A	0.00	3.88	0.00	3.88	0.5	0.02
	ACCOUNT #: 00550957762	BUY 0 Units @0.0000						
04/02/2018	***-**-34IR - HEMAUER, SHERRY	PUTNAM INVESTORS FUND-A	0.00	3.88	0.00	3.88	0.5	0.02
	ACCOUNT #: 00550959231	BUY 0 Units @0.0000						
04/02/2018	***-**-90IN - ONSTOT, STEPHEN	PUTNAM INVESTORS FUND-A	0.00	5.98	0.00	5.98	0.5	0.03
	ACCOUNT #: 00550969213	BUY 0 Units @0.0000						
04/02/2018	***-**-5033 - KATZENBERGER,	PUTNAM INVESTORS FUND-A	0.00	1.38	0.00	1.38	0.5	0.01
	ACCOUNT #: 00488527828	BUY 0 Units @0.0000						
04/02/2018	***-**-2819 - CASE, BERNARD	PUTNAM INVESTORS FUND-A	0.00	4.96	0.00	4.96	0.5	0.02
	ACCOUNT #: 00550827495	BUY 0 Units @0.0000						
04/02/2018	***-**-41UG - REBMAN, JACK	PUTNAM INVESTORS FUND-A	0.00	6.16	0.00	6.16	0.5	0.03
	ACCOUNT #: 00519112632	BUY 0 Units @0.0000						
04/02/2018	***-**-49IR - SMITH, KARL	PUTNAM MID-CAP VALUE FUND-A	0.00	16.99	0.00	16.99	0.5	0.08
	ACCOUNT #: 00318273300	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/02/2018	***-**-611R - SMITH, LORI	PUTNAM MID-CAP VALUE FUND-A	0.00	9.33	0.00	9.33	0.5	0.05
	ACCOUNT #: 00318273652	BUY 0 Units @0.0000						
04/02/2018	***-**-2520 - ANGELL,	PUTNAM MID-CAP VALUE FUND-A	0.00	16.45	0.00	16.45	0.5	0.08
	ACCOUNT #: 00335245345	BUY 0 Units @0.0000						
04/02/2018	***-**-813I - GILMUND, MATTHEW	PUTNAM MID-CAP VALUE FUND-A	0.00	7.27	0.00	7.27	0.5	0.04
	ACCOUNT #: 00344257587	BUY 0 Units @0.0000						
04/02/2018	***-**-741I - GILMUND, MARIE	PUTNAM MID-CAP VALUE FUND-A	0.00	4.96	0.00	4.96	0.5	0.02
	ACCOUNT #: 00344257985	BUY 0 Units @0.0000						
04/02/2018	***-**-701R - EIKOS, JAMES	PUTNAM MID-CAP VALUE FUND-A	0.00	32.97	0.00	32.97	0.5	0.16
	ACCOUNT #: 00444408854	BUY 0 Units @0.0000						
04/02/2018	***-**-600I - MCCLURE, JILL	PUTNAM MID-CAP VALUE FUND-A	0.00	3.84	0.00	3.84	0.5	0.02
	ACCOUNT #: 00512551775	BUY 0 Units @0.0000						
04/02/2018	***-**-9772 - BUSKARD, MAUREEN	PUTNAM MID-CAP VALUE FUND-A	0.00	2.00	0.00	2.00	0.5	0.01
	ACCOUNT #: 00513212527	BUY 0 Units @0.0000						
04/02/2018	***-**-9349 - SMITH, KARL	PUTNAM MID-CAP VALUE FUND-A	0.00	6.92	0.00	6.92	0.5	0.03
	ACCOUNT #: 00550813086	BUY 0 Units @0.0000						
04/02/2018	***-**-9241 - PITTS, MICHAEL	PUTNAM MID-CAP VALUE FUND-A	0.00	2.64	0.00	2.64	0.5	0.01
	ACCOUNT #: 00409890652	BUY 0 Units @0.0000						
04/02/2018	***-**-0860 - LIPSON, WILMA	PUTNAM MID-CAP VALUE FUND-A	0.00	10.48	0.00	10.48	0.5	0.05
	ACCOUNT #: 00550213527	BUY 0 Units @0.0000						
04/02/2018	***-**-4572 - MELIN, LUCILLE	PUTNAM MID-CAP VALUE FUND-A	0.00	10.62	0.00	10.62	0.5	0.05
	ACCOUNT #: 00550824937	BUY 0 Units @0.0000						
04/02/2018	***-**-2819 - CASE, BERNARD	PUTNAM MID-CAP VALUE FUND-A	0.00	5.19	0.00	5.19	0.5	0.03
	ACCOUNT #: 00550827495	BUY 0 Units @0.0000						
04/02/2018	***-**-0552 - SAMSON,	PUTNAM MID-CAP VALUE FUND-A	0.00	3.49	0.00	3.49	0.5	0.02
	ACCOUNT #: 00551471419	BUY 0 Units @0.0000						
04/02/2018	***-**-9706 - SAMSON, TAYLOR	PUTNAM MID-CAP VALUE FUND-A	0.00	3.65	0.00	3.65	0.5	0.02
	ACCOUNT #: 00551471420	BUY 0 Units @0.0000						
04/02/2018	***-**-2819 - CASE, BERNARD	PUTNAM MID-CAP VALUE FUND-M	0.00	18.87	0.00	18.87	0.5	0.09
	ACCOUNT #: 00550827495	BUY 0 Units @0.0000						
04/02/2018	***-**-970I - LAM, DORIS P	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	1.91	0.00	1.91	0.5	0.01
	ACCOUNT #: 00129129984	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/02/2018	***-**-47IN - FERRIS, MICHELLE	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.20	0.00	3.20	0.5	0.02
	ACCOUNT #: 00134321330	BUY 0 Units @0.0000						
04/02/2018	***-**-559J - CIPCIC, ALBERTA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.15	0.00	4.15	0.5	0.02
	ACCOUNT #: 00134636341	BUY 0 Units @0.0000						
04/02/2018	***-**-85UG - KLINGENBERG,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	1.52	0.00	1.52	0.5	0.01
	ACCOUNT #: 00249670816	BUY 0 Units @0.0000						
04/02/2018	***-**-685P - FELIX, SHERIF	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	11.43	0.00	11.43	0.5	0.06
	ACCOUNT #: 00267721347	BUY 0 Units @0.0000						
04/02/2018	***-**-086J - CHEN, JING	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	15.13	0.00	15.13	0.5	0.08
	ACCOUNT #: 00272371106	BUY 0 Units @0.0000						
04/02/2018	***-**-235I - HU, XIAOQING	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.90	0.00	4.90	0.5	0.02
	ACCOUNT #: 00275054085	BUY 0 Units @0.0000						
04/02/2018	***-**-265P - SAFRANEK, ERIC	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	2.63	0.00	2.63	0.5	0.01
	ACCOUNT #: 00304809795	BUY 0 Units @0.0000						
04/02/2018	***-**-468J - FELIX, INAS	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	33.38	0.00	33.38	0.5	0.17
	ACCOUNT #: 00307357741	BUY 0 Units @0.0000						
04/02/2018	***-**-970I - LAM, DORIS P	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	5.11	0.00	5.11	0.5	0.03
	ACCOUNT #: 00315986011	BUY 0 Units @0.0000						
04/02/2018	***-**-72IN - JIAO, BEI	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	19.04	0.00	19.04	0.5	0.10
	ACCOUNT #: 00320268706	BUY 0 Units @0.0000						
04/02/2018	***-**-50IN - RENDELL, IAN	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	18.33	0.00	18.33	0.5	0.09
	ACCOUNT #: 00323890524	BUY 0 Units @0.0000						
04/02/2018	***-**-252O - ANGELL,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	16.05	0.00	16.05	0.5	0.08
	ACCOUNT #: 00335245345	BUY 0 Units @0.0000						
04/02/2018	***-**-812I - VALLIE, CHRIS	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	2.78	0.00	2.78	0.5	0.01
	ACCOUNT #: 00341342232	BUY 0 Units @0.0000						
04/02/2018	***-**-813I - GILMUND, MATTHEW	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	11.19	0.00	11.19	0.5	0.06
	ACCOUNT #: 00344257587	BUY 0 Units @0.0000						
04/02/2018	***-**-741I - GILMUND, MARIE	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	7.59	0.00	7.59	0.5	0.04
	ACCOUNT #: 00344257985	BUY 0 Units @0.0000						
04/02/2018	***-**-69UG - KINYON, VICTORIA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	5.38	0.00	5.38	0.5	0.03
	ACCOUNT #: 00349373874	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/02/2018	***-**-85IR - KLINGENBERG, ACCOUNT #: 00350237541	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	1.65	0.00	1.65	0.5	0.01
04/02/2018	***-**-599I - VALLIE, PAULA ACCOUNT #: 00353186842	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	7.22	0.00	7.22	0.5	0.04
04/02/2018	***-**-73IR - CONNORS, GEORGE ACCOUNT #: 00369309866	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	0.5	0.01
04/02/2018	***-**-66IR - CONNORS, STELLA ACCOUNT #: 00369800054	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	0.5	0.01
04/02/2018	***-**-0632 - ST CLAIR, ACCOUNT #: 00431747675	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	21.99	0.00	21.99	0.5	0.11
04/02/2018	***-**-358I - WALKER-KIEFABER, ACCOUNT #: 00444518072	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	7.68	0.00	7.68	0.5	0.04
04/02/2018	***-**-468I - FELIX, SHERIF A ACCOUNT #: 00474852491	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	50.65	0.00	50.65	0.5	0.25
04/02/2018	***-**-413J - OBERT, DAVID ACCOUNT #: 00486411415	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	1.83	0.00	1.83	0.5	0.01
04/02/2018	***-**-57UG - OSTERGAARD, ACCOUNT #: 00490769200	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	2.38	0.00	2.38	0.5	0.01
04/02/2018	***-**-1321 - STODDART, WENDY ACCOUNT #: 00494094521	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	1.31	0.00	1.31	0.5	0.01
04/02/2018	***-**-514I - MIKUS, BETTY ACCOUNT #: 00499116880	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	37.04	0.00	37.04	0.5	0.19
04/02/2018	***-**-5718 - TANEL, JESSICA ACCOUNT #: 00506069723	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	3.00	0.00	3.00	0.5	0.02
04/02/2018	***-**-9772 - BUSKARD, MAUREEN ACCOUNT #: 00513212527	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	6.84	0.00	6.84	0.5	0.03
04/02/2018	***-**-644I - YENDELL, MARYANN ACCOUNT #: 00550800567	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	14.78	0.00	14.78	0.5	0.07
04/02/2018	***-**-9349 - SMITH, KARL ACCOUNT #: 00550813086	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	43.21	0.00	43.21	0.5	0.22
04/02/2018	***-**-835J - LOUIE, SUSAN ACCOUNT #: 00550823834	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	13.37	0.00	13.37	0.5	0.07



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/02/2018	***-**-32IR - HEMAUER, DANIEL	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	6.45	0.00	6.45	0.5	0.03
	ACCOUNT #: 00550957762	BUY 0 Units @0.0000						
04/02/2018	***-**-34IR - HEMAUER, SHERRY	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	6.45	0.00	6.45	0.5	0.03
	ACCOUNT #: 00550959231	BUY 0 Units @0.0000						
04/02/2018	***-**-0785 - PAULSON, GREGG	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	6.59	0.00	6.59	0.5	0.03
	ACCOUNT #: 00550961817	BUY 0 Units @0.0000						
04/02/2018	***-**-90IN - ONSTOT, STEPHEN	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.10	0.00	3.10	0.5	0.02
	ACCOUNT #: 00550969213	BUY 0 Units @0.0000						
04/02/2018	***-**-928I - FULHORST, MARY C	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	2.24	0.00	2.24	0.5	0.01
	ACCOUNT #: 00550971758	BUY 0 Units @0.0000						
04/02/2018	***-**-12IR - SMYTH, FREDERICK	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	5.98	0.00	5.98	0.5	0.03
	ACCOUNT #: 00550972320	BUY 0 Units @0.0000						
04/02/2018	***-**-651I - STRIFLER II,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	1.19	0.00	1.19	0.5	0.01
	ACCOUNT #: 00550972479	BUY 0 Units @0.0000						
04/02/2018	***-**-759I - WYCKOFF, CHERYL	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.47	0.00	3.47	0.5	0.02
	ACCOUNT #: 00550976392	BUY 0 Units @0.0000						
04/02/2018	***-**-4630 - ZIVITZ, EVA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	1.31	0.00	1.31	0.5	0.01
	ACCOUNT #: 00550998310	BUY 0 Units @0.0000						
04/02/2018	***-**-5033 - KATZENBERGER,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	5.89	0.00	5.89	0.5	0.03
	ACCOUNT #: 00488527828	BUY 0 Units @0.0000						
04/02/2018	***-**-4572 - MELIN, LUCILLE	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.65	0.00	3.65	0.5	0.02
	ACCOUNT #: 00550824937	BUY 0 Units @0.0000						
04/02/2018	***-**-2819 - CASE, BERNARD	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	18.90	0.00	18.90	0.5	0.09
	ACCOUNT #: 00550827495	BUY 0 Units @0.0000						
04/02/2018	***-**-0552 - SAMSON,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.15	0.00	3.15	0.5	0.02
	ACCOUNT #: 00551471419	BUY 0 Units @0.0000						
04/02/2018	***-**-9706 - SAMSON, TAYLOR	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.31	0.00	3.31	0.5	0.02
	ACCOUNT #: 00551471420	BUY 0 Units @0.0000						
04/02/2018	***-**-74IN - MAROLT, PATRICK	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	2.84	0.00	2.84	0.5	0.01
	ACCOUNT #: 00088342598	BUY 0 Units @0.0000						
04/02/2018	***-**-31IN - RENFER, KAREN	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	20.86	0.00	20.86	0.5	0.10
	ACCOUNT #: 00098804155	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: ALEX GEORGIEV (continued) </u>								
04/02/2018	***-**-02UG - KINLAW, ADAIR ACCOUNT #: 00323127790	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 1 Units @95.8000	50.00	2.50	0.00	2.50	0.5	0.01
04/02/2018	***-**-835J - LOUIE, SUSAN ACCOUNT #: 00550823834	PUTNAM NEW OPPORTUNITIES-C BUY 0 Units @0.0000	0.00	13.35	0.00	13.35	0.5	0.07
04/02/2018	***-**-970I - LAM, DORIS P ACCOUNT #: 00315986011	PUTNAM NEW OPPORTUNITIES-M BUY 0 Units @0.0000	0.00	1.86	0.00	1.86	0.5	0.01
04/02/2018	***-**-51IN - JOHNSON, JEAN ACCOUNT #: 00015374480	PUTNAM NEW YORK TAX- EXEMPT INCOME BUY 0 Units @0.0000	0.00	2.92	0.00	2.92	0.5	0.01
04/02/2018	***-**-51IN - JOHNSON, JEAN ACCOUNT #: 00015374480	PUTNAM NEW YORK TAX- EXEMPT INCOME BUY 0 Units @0.0000	0.00	1.17	0.00	1.17	0.5	0.01
04/02/2018	***-**-98IR - PERRY, ABBY ACCOUNT #: 00248942140	PUTNAM RESEARCH FUND-A BUY 0 Units @0.0000	0.00	3.54	0.00	3.54	0.5	0.02
04/02/2018	***-**-79IN - WAHAB, MAGGY ACCOUNT #: 00255372818	PUTNAM RESEARCH FUND-A BUY 0 Units @0.0000	0.00	9.55	0.00	9.55	0.5	0.05
04/02/2018	***-**-258J - OUELLETTE, ACCOUNT #: 00320586211	PUTNAM RESEARCH FUND-A BUY 0 Units @0.0000	0.00	22.10	0.00	22.10	0.5	0.11
04/02/2018	***-**-600I - MCCLURE, JILL ACCOUNT #: 00512551775	PUTNAM RESEARCH FUND-A BUY 0 Units @0.0000	0.00	4.44	0.00	4.44	0.5	0.02
04/02/2018	***-**-644I - YENDELL, MARYANN ACCOUNT #: 00550800567	PUTNAM RESEARCH FUND-A BUY 0 Units @0.0000	0.00	12.32	0.00	12.32	0.5	0.06
04/02/2018	***-**-0785 - PAULSON, GREGG ACCOUNT #: 00550961817	PUTNAM RESEARCH FUND-A BUY 0 Units @0.0000	0.00	3.16	0.00	3.16	0.5	0.02
04/02/2018	***-**-75IR - MCCLURE, MICHAEL ACCOUNT #: 00494928028	PUTNAM SMALL CAP GROWTH FUND CLASS BUY 0 Units @0.0000	0.00	7.26	0.00	7.26	0.5	0.04
04/02/2018	***-**-4303 - OSBORNE, ACCOUNT #: 00509707071	PUTNAM SMALL CAP GROWTH FUND CLASS BUY 0 Units @0.0000	0.00	1.92	0.00	1.92	0.5	0.01
04/02/2018	***-**-0552 - SAMSON, ACCOUNT #: 00551471419	PUTNAM SMALL CAP GROWTH FUND CLASS BUY 0 Units @0.0000	0.00	2.90	0.00	2.90	0.5	0.01
04/02/2018	***-**-9706 - SAMSON, TAYLOR ACCOUNT #: 00551471420	PUTNAM SMALL CAP GROWTH FUND CLASS BUY 0 Units @0.0000	0.00	3.04	0.00	3.04	0.5	0.02
04/02/2018	***-**-9772 - BUSKARD, MAUREEN ACCOUNT #: 00513212527	PUTNAM SMALL CAP VALUE FUND-A BUY 0 Units @0.0000	0.00	1.92	0.00	1.92	0.5	0.01



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
04/02/2018	***-**-0785 - PAULSON, GREGG	PUTNAM SMALL CAP VALUE FUND-A	0.00	7.81	0.00	7.81	0.5	0.04
	ACCOUNT #: 00550961817	BUY 0 Units @0.0000						
04/02/2018	***-**-5033 - KATZENBERGER,	PUTNAM SMALL CAP VALUE FUND-A	0.00	6.47	0.00	6.47	0.5	0.03
	ACCOUNT #: 00488527828	BUY 0 Units @0.0000						
04/02/2018	***-**-4303 - OSBORNE,	PUTNAM SMALL CAP VALUE FUND-A	0.00	8.48	0.00	8.48	0.5	0.04
	ACCOUNT #: 00509707071	BUY 0 Units @0.0000						
04/02/2018	***-**-4572 - MELIN, LUCILLE	PUTNAM SMALL CAP VALUE FUND-A	0.00	8.64	0.00	8.64	0.5	0.04
	ACCOUNT #: 00550824937	BUY 0 Units @0.0000						
04/02/2018	***-**-2819 - CASE, BERNARD	PUTNAM SMALL CAP VALUE FUND-A	0.00	15.85	0.00	15.85	0.5	0.08
	ACCOUNT #: 00550827495	BUY 0 Units @0.0000						
04/02/2018	***-**-679J - GOWE, NICHOLAS	PUTNAM TAX-FREE HIGH YIELD FUND CLA	0.00	62.06	0.00	62.06	0.5	0.31
	ACCOUNT #: 00289282569	BUY 0 Units @0.0000						
04/02/2018	***-**-10UG - GODZIK, MATTHEW	PUTNAM U.S. GOVT INCOME TR-A	0.00	3.71	0.00	3.71	0.5	0.02
	ACCOUNT #: 00517064059	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	QUEST BALANCED A	0.00	12.55	0.00	12.55	0.5	0.06
	ACCOUNT #: 02570270193	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	QUEST BALANCED A	0.00	2.13	0.00	2.13	0.5	0.01
	ACCOUNT #: 02572027025	BUY 0 Units @0.0000						
03/31/2018	***-**-691I - DRUMM, MARK	QUEST BALANCED A	0.00	2.79	0.00	2.79	0.5	0.01
	ACCOUNT #: 02572107556	BUY 0 Units @0.0000						
03/31/2018	***-**-533I - CHAPADOS, JOSEPH	QUEST BALANCED A	0.00	9.01	0.00	9.01	0.5	0.05
	ACCOUNT #: 02573420989	BUY 0 Units @0.0000						
03/31/2018	***-**-2918 - GALANEK, CHARLES	QUEST BALANCED A	0.00	4.41	0.00	4.41	0.5	0.02
	ACCOUNT #: 02574731474	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	QUEST BALANCED FUND C	0.00	8.04	0.00	8.04	0.5	0.04
	ACCOUNT #: 02591166847	BUY 0 Units @0.0000						
03/31/2018	***-**-745I - RIENZO, BETTY	QUEST BALANCED FUND N	0.00	5.41	0.00	5.41	0.5	0.03
	ACCOUNT #: 02990168058	BUY 0 Units @0.0000						
03/31/2018	***-**-2580 - SIERRA, JANE	QUEST OPPORTUNITY VALUE A	0.00	33.43	0.00	33.43	0.5	0.17
	ACCOUNT #: 02363554474	BUY 0 Units @0.0000						
03/31/2018	***-**-103I - WEEKS, JENNIFER	QUEST OPPORTUNITY VALUE A	0.00	19.84	0.00	19.84	0.5	0.10
	ACCOUNT #: 02364753507	BUY 0 Units @0.0000						



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 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
03/31/2018	***-**-4191 - HALLIN, MARY	QUEST OPPORTUNITY VALUE FUND C	0.00	53.20	0.00	53.20	0.5	0.27
	ACCOUNT #: 02380056540	BUY 0 Units @0.0000						
03/31/2018	***-**-8176 - FLOCK, MARTA	QUEST OPPORTUNITY VALUE FUND C	0.00	2.48	0.00	2.48	0.5	0.01
	ACCOUNT #: 02380211827	BUY 0 Units @0.0000						
03/31/2018	***-**-0075 - MEHIT, LAURA	REAL ESTATE FUND A	0.00	2.61	0.00	2.61	0.5	0.01
	ACCOUNT #: 05900733095	BUY 0 Units @0.0000						
03/31/2018	***-**-294I - FETTERMAN,	RISING DIVIDENDS FUND A	0.00	4.08	0.00	4.08	0.5	0.02
	ACCOUNT #: 02251597178	BUY 0 Units @0.0000						
03/31/2018	***-**-103I - WEEKS, JENNIFER	RISING DIVIDENDS FUND A	0.00	9.13	0.00	9.13	0.5	0.05
	ACCOUNT #: 02252621047	BUY 0 Units @0.0000						
03/31/2018	***-**-05IN - FRIDLEY,	RISING DIVIDENDS FUND A	0.00	5.54	0.00	5.54	0.5	0.03
	ACCOUNT #: 02254603379	BUY 0 Units @0.0000						
04/16/2018	***-**-1832 - WEISMAN, DORIS	RMB MENDON FNANCIAL CUSIP 74968B407	0.00	6.59	0.00	6.59	0.5	0.03
	ACCOUNT #: LSR011331	BUY 1 Units @0.0000						
04/16/2018	***-**-6935 - FINK, GEORGE	RMB MF TRAILS	0.00	21.53	0.00	21.53	0.5	0.11
	ACCOUNT #: 0000263228	BUY 0 Units @0.0000						
04/16/2018	***-**-267I - LAPHAM, JOHN	RMB MF TRAILS	0.00	8.96	0.00	8.96	0.5	0.04
	ACCOUNT #: 6000081569	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	5.62	0.00	5.62	0.5	0.03
	ACCOUNT #: 03551307856	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	ROCHESTER FUND MUNICIPALS A	0.00	6.51	0.00	6.51	0.5	0.03
	ACCOUNT #: 03651745777	BUY 0 Units @0.0000						
03/31/2018	***-**-2773 - DASARO, ANN	ROCHESTER FUND MUNICIPALS C	0.00	59.98	0.00	59.98	0.5	0.30
	ACCOUNT #: 03670255244	BUY 0 Units @0.0000						
04/13/2018	***-**-64IN - ELKEN, HEATHER	SECURITY BENEFIT VUL TRAILS	0.00	12.95	0.00	12.95	0.5	0.06
	ACCOUNT #: 4749064	BUY 1 Units @0.0000						
04/13/2018	***-**-6989 - IDTINGS, NANCY	SECURITY BENEFIT VUL TRAILS	0.00	76.18	0.00	76.18	0.5	0.38
		BUY 1 Units @0.0000						
03/31/2018	***-**-52IN - METZLER, JANET	SELECT VALUE FUND A	0.00	4.61	0.00	4.61	0.5	0.02
	ACCOUNT #: 06000341495	BUY 0 Units @0.0000						
03/31/2018	***-**-80CL - MCCUNE, CLIENTS	SMALL- & MID-CAP GROWTH FUND A	0.00	17.56	0.00	17.56	0.5	0.09
	ACCOUNT #: 07210079508	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALEX GEORGIEV (continued)</u>								
03/31/2018	***-**-52IN - METZLER, JANET ACCOUNT #: 07210302126	SMALL- & MID-CAP GROWTH FUND A BUY 0 Units @0.0000	0.00	5.52	0.00	5.52	0.5	0.03
03/31/2018	***-**-5033 - KATZENBERGER, ACCOUNT #: 07210486640	SMALL- & MID-CAP GROWTH FUND A BUY 0 Units @0.0000	0.00	2.17	0.00	2.17	0.5	0.01
03/31/2018	***-**-4572 - MELIN, LUCILLE ACCOUNT #: 07210486651	SMALL- & MID-CAP GROWTH FUND A BUY 0 Units @0.0000	0.00	2.08	0.00	2.08	0.5	0.01
03/31/2018	***-**-4110 - KAVANAGH, ACCOUNT #: 07210729069	SMALL- & MID-CAP GROWTH FUND A BUY 0 Units @0.0000	0.00	3.68	0.00	3.68	0.5	0.02
03/31/2018	***-**-02IN - MANCHESTER, ACCOUNT #: 07210729080	SMALL- & MID-CAP GROWTH FUND A BUY 0 Units @0.0000	0.00	7.38	0.00	7.38	0.5	0.04
03/31/2018	***-**-0075 - MEHIT, LAURA ACCOUNT #: 07210834460	SMALL- & MID-CAP GROWTH FUND A BUY 0 Units @0.0000	0.00	3.26	0.00	3.26	0.5	0.02
04/02/2018	***-**-064J - HALL, AMY ACCOUNT #: 00083146232	SMALLCAP WORLD FUND-A BUY 4 Units @56.5000	250.00	3.00	0.00	3.00	0.5	0.02
03/31/2018	***-**-04UG - PANTAPALANKOOR, ACCOUNT #: 02320409024	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	19.10	0.00	19.10	0.5	0.10
03/31/2018	***-**-745I - RIENZO, BETTY ACCOUNT #: 02330255882	STRATEGIC INCOME FUND N BUY 0 Units @0.0000	0.00	40.18	0.00	40.18	0.5	0.20
04/16/2018	***-**-1832 - WEISMAN, DORIS ACCOUNT #: LSR011330	TEMP GLOBAL BOND FND - CL A BUY 1 Units @0.0000	0.00	2.70	0.00	2.70	0.5	0.01
04/16/2018	***-**-371I - MASELLI, PIER ACCOUNT #: LSR009172	TEMPLETON CHINA WORLD FUND - CLASS BUY 1 Units @0.0000	0.00	3.24	0.00	3.24	0.5	0.02
04/16/2018	***-**-521O - MCCUNE, ELAINE ACCOUNT #: LSR009962	TEMPLETON CHINA WORLD FUND - CLASS BUY 1 Units @0.0000	0.00	2.87	0.00	2.87	0.5	0.01
04/16/2018	***-**-316I - MCCUNE, MICHAEL ACCOUNT #: LSR009995	TEMPLETON CHINA WORLD FUND - CLASS BUY 1 Units @0.0000	0.00	2.59	0.00	2.59	0.5	0.01
04/02/2018	***-**-064J - HALL, AMY ACCOUNT #: 00083146232	THE BOND FUND OF AMERICA-A BUY 19 Units @12.8300	250.00	3.00	0.00	3.00	0.5	0.02
04/02/2018	***-**-5473 - GRIMES, AMBER ACCOUNT #: 00081224073	THE GROWTH FUND OF AMERICA-529A BUY 1 Units @52.3100	75.00	3.75	0.00	3.75	0.5	0.02
04/02/2018	***-**-816I - DESANTIS, MARK ACCOUNT #: 00089986044	THE GROWTH FUND OF AMERICA-A BUY 3 Units @49.8300	168.10	1.68	0.00	1.68	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: ALEX GEORGIEV (continued) </u>								
04/02/2018	***-**-816I - DESANTIS, MARK ACCOUNT #: 00089986044	THE GROWTH FUND OF AMERICA-A BUY 6 Units @49.8300	300.00	3.00	0.00	3.00	0.5	0.02
04/02/2018	***-**-064J - HALL, AMY ACCOUNT #: 00083146232	THE GROWTH FUND OF AMERICA-A BUY 5 Units @50.5900	250.00	3.00	0.00	3.00	0.5	0.02
04/02/2018	***-**-295P - AMSEL, PATTI ACCOUNT #: 00073772424	THE GROWTH FUND OF AMERICA-A BUY 4 Units @51.6400	200.00	5.50	0.00	5.50	0.5	0.03
04/02/2018	***-**-765P - PIERRE, YOLETTE ACCOUNT #: 00067468481	THE GROWTH FUND OF AMERICA-A BUY 2 Units @52.1800	100.00	3.75	0.00	3.75	0.5	0.02
04/04/2018	***-**-515P - MEYER, MICHAEL ACCOUNT #: 00066722060	THE GROWTH FUND OF AMERICA-A BUY 2 Units @50.8300	125.00	1.25	0.00	1.25	0.5	0.01
04/04/2018	***-**-515P - MEYER, MICHAEL ACCOUNT #: 00066722060	THE GROWTH FUND OF AMERICA-A BUY 6 Units @50.8300	325.00	3.25	0.00	3.25	0.5	0.02
04/03/2018	***-**-155J - DAVIS, RANDY ACCOUNT #: 00000363022	THE HARTFORD GROWTH OPPORTUNITIES F BUY 0 Units @0.0000	0.00	2.49	0.00	2.49	0.5	0.01
04/03/2018	***-**-324I - WEBSTER, RONALD ACCOUNT #: 00000407990	THE HARTFORD GROWTH OPPORTUNITIES F BUY 0 Units @0.0000	0.00	8.48	0.00	8.48	0.5	0.04
04/03/2018	***-**-58IR - CLARK, ABBY ACCOUNT #: 00000423966	THE HARTFORD GROWTH OPPORTUNITIES F BUY 0 Units @0.0000	0.00	2.01	0.00	2.01	0.5	0.01
04/03/2018	***-**-16IN - LYONS, TIMOTHY ACCOUNT #: 00000458605	THE HARTFORD GROWTH OPPORTUNITIES F BUY 0 Units @0.0000	0.00	8.57	0.00	8.57	0.5	0.04
04/03/2018	***-**-3316 - LYONS BENE, ACCOUNT #: 00000932164	THE HARTFORD GROWTH OPPORTUNITIES F BUY 0 Units @0.0000	0.00	5.93	0.00	5.93	0.5	0.03
04/03/2018	***-**-898I - SMITH, CARYLON ACCOUNT #: 00000199303	THE HARTFORD SHORT DURATION FUND - BUY 0 Units @0.0000	0.00	2.64	0.00	2.64	0.5	0.01
04/03/2018	***-**-12IN - VERMILION, ACCOUNT #: 00000070668	THE HARTFORD SMALL CAP GROWTH FD-A BUY 0 Units @0.0000	0.00	1.87	0.00	1.87	0.5	0.01
04/03/2018	***-**-80IN - WATKINS, DOE ACCOUNT #: 00000091673	THE HARTFORD SMALL CAP GROWTH FD-A BUY 0 Units @0.0000	0.00	2.09	0.00	2.09	0.5	0.01
04/03/2018	***-**-155J - DAVIS, RANDY ACCOUNT #: 00000363022	THE HARTFORD SMALL CAP GROWTH FD-A BUY 0 Units @0.0000	0.00	4.41	0.00	4.41	0.5	0.02
04/03/2018	***-**-324I - WEBSTER, RONALD ACCOUNT #: 00000407990	THE HARTFORD TOTAL RETURN BOND FD-A BUY 0 Units @0.0000	0.00	2.30	0.00	2.30	0.5	0.01



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/02/2018	***-**-064J - HALL, AMY ACCOUNT #: 00083146232	THE INCOME FUND OF AMERICA-A BUY 11 Units @22.8100	250.00	3.00	0.00	3.00	0.5	0.02
04/02/2018	***-**-02IN - PINARD, RAYMOND ACCOUNT #: 00062368172	THE INCOME FUND OF AMERICA-A BUY 4 Units @23.8400	100.00	5.00	0.00	5.00	0.5	0.03
04/04/2018	***-**-515P - MEYER, MICHAEL ACCOUNT #: 00066722060	THE INVESTMENT COMPANY OF AMERICA-A BUY 3 Units @39.6900	125.00	1.25	0.00	1.25	0.5	0.01
04/04/2018	***-**-515P - MEYER, MICHAEL ACCOUNT #: 00066722060	THE INVESTMENT COMPANY OF AMERICA-A BUY 8 Units @39.6900	325.00	3.25	0.00	3.25	0.5	0.02
04/03/2018	***-**-66UG - VU, JUSTINE N ACCOUNT #: 00099779193	TRANSAMERICA DIVERSIFIED EQUITY - A BUY 0 Units @0.0000	0.00	2.07	0.00	2.07	0.5	0.01
04/03/2018	***-**-25UG - VU, ALEXANDER N ACCOUNT #: 00099779194	TRANSAMERICA DIVERSIFIED EQUITY - A BUY 0 Units @0.0000	0.00	8.31	0.00	8.31	0.5	0.04
04/03/2018	***-**-399I - WATES, TAMARA ACCOUNT #: 06500157294	TRANSAMERICA DIVERSIFIED EQUITY - A BUY 0 Units @0.0000	0.00	3.58	0.00	3.58	0.5	0.02
03/31/2018	***-**-05IN - BERTOLINO, ACCOUNT #: 03250113652	VALUE FUND A BUY 0 Units @0.0000	0.00	12.59	0.00	12.59	0.5	0.06
03/31/2018	***-**-032I - BAUER, SUSAN ACCOUNT #: 03750570999	VALUE FUND A BUY 0 Units @0.0000	0.00	1.53	0.00	1.53	0.5	0.01
04/01/2018	***-**-801I - CARAMADRE, ACCOUNT #: 05011048062	VAN KAMPEN1 BUY 0 Units @0.0000	0.00	21.04	0.00	21.04	0.5	0.11
04/01/2018	***-**-37IN - BART, STEPHEN ACCOUNT #: 08000601029	VAN KAMPEN1 BUY 0 Units @0.0000	0.00	2.49	0.00	2.49	0.5	0.01
04/01/2018	***-**-36IN - BART, MARK ACCOUNT #: 08000601033	VAN KAMPEN1 BUY 0 Units @0.0000	0.00	2.49	0.00	2.49	0.5	0.01
04/16/2018	***-**-316I - MCCUNE, MICHAEL ACCOUNT #: LSR009995	VAN KAMPEN1 BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	0.5	0.01
04/01/2018	***-**-872I - NEWGAARD, DAVID ACCOUNT #: 03870048117	VAN KAMPEN3 BUY 0 Units @0.0000	0.00	2.45	0.00	2.45	0.5	0.01
04/01/2018	***-**-72IR - NEWGAARD, DAVID ACCOUNT #: 03870048125	VAN KAMPEN3 BUY 0 Units @0.0000	0.00	4.06	0.00	4.06	0.5	0.02
04/01/2018	***-**-37IR - NEWGAARD, JERI ACCOUNT #: 03870048133	VAN KAMPEN3 BUY 0 Units @0.0000	0.00	4.75	0.00	4.75	0.5	0.02



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/01/2018	***-**-44IN - STAFF, JANE	VAN KAMPEN3	0.00	14.69	0.00	14.69	0.5	0.07
	ACCOUNT #: 00670725714	BUY 0 Units @0.0000						
04/16/2018	***-**-101I - LEMOINE, STEVEN	VIRTUS EMERGING MRKT OPPORTUNITIES	0.00	2.84	0.00	2.84	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
04/16/2018	***-**-377I - BAMESBERGER,	VIRTUS MF TRAILS	0.00	1.67	0.00	1.67	0.5	0.01
		BUY 0 Units @0.0000						
04/16/2018	***-**-179I - DEGIROLAMO, JOHN	VIRTUS MF TRAILS	0.00	4.97	0.00	4.97	0.5	0.02
		BUY 0 Units @0.0000						
04/16/2018	***-**-89TR - FAM TR DTD	VIRTUS MF TRAILS	0.00	19.87	0.00	19.87	0.5	0.10
		BUY 0 Units @0.0000						
04/16/2018	***-**-776J - HALE, MICHAEL	VIRTUS MF TRAILS	0.00	5.43	0.00	5.43	0.5	0.03
		BUY 0 Units @0.0000						
04/16/2018	***-**-238R - CO, PFPC TRUST	VIRTUS MF TRAILS	0.00	2.76	0.00	2.76	0.5	0.01
		BUY 0 Units @0.0000						
04/16/2018	***-**-948I - FREY, CATHLEEN	VIRTUS MF TRAILS	0.00	2.13	0.00	2.13	0.5	0.01
		BUY 0 Units @0.0000						
04/16/2018	***-**-948I - FREY, CATHLEEN	VIRTUS MF TRAILS	0.00	2.13	0.00	2.13	0.5	0.01
		BUY 0 Units @0.0000						
04/16/2018	***-**-238I - FREY, STEVE	VIRTUS MF TRAILS	0.00	2.20	0.00	2.20	0.5	0.01
		BUY 0 Units @0.0000						
04/16/2018	***-**-015I - O'HORA, DESMOND	VIRTUS MF TRAILS	0.00	2.52	0.00	2.52	0.5	0.01
		BUY 0 Units @0.0000						
04/16/2018	***-**-83UT - DEMBELE, AMINATA	VIRTUS MF TRAILS	0.00	2.08	0.00	2.08	0.5	0.01
		BUY 0 Units @0.0000						
04/16/2018	***-**-7169 - O'TOOLE, MARTIN	VIRTUS MF TRAILS	0.00	6.54	0.00	6.54	0.5	0.03
		BUY 0 Units @0.0000						
04/16/2018	***-**-0711 - MICHAEL, GEORGE	VIRTUS MF TRAILS	0.00	44.37	0.00	44.37	0.5	0.22
		BUY 0 Units @0.0000						
04/16/2018	***-**-629I - O'TOOLE, JOHN	VIRTUS MF TRAILS	0.00	35.21	0.00	35.21	0.5	0.18
		BUY 0 Units @0.0000						
04/16/2018	***-**-4223 - SOBIERAJ, AGNES	VIRTUS MF TRAILS	0.00	20.36	0.00	20.36	0.5	0.10
		BUY 0 Units @0.0000						



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<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/16/2018	***-**-645I - GUERRERA,	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	1.89	0.00	1.89	0.5	0.01
04/16/2018	***-**-5751 - TAUB-FERN, FERN	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	34.79	0.00	34.79	0.5	0.17
04/16/2018	***-**-083I - GUERRERA,	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	1.95	0.00	1.95	0.5	0.01
04/16/2018	***-**-69IN - O'TOOLE, MARTIN	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	1.50	0.00	1.50	0.5	0.01
04/16/2018	***-**-2332 - SOBIERAJ, EDWARD	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	10.68	0.00	10.68	0.5	0.05
04/16/2018	***-**-2332 - SOBIERAJ, EDWARD	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	8.12	0.00	8.12	0.5	0.04
04/16/2018	***-**-4991 - RUNO, EDWARD	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	20.13	0.00	20.13	0.5	0.10
04/16/2018	***-**-42IN - KRENITSKY,	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	10.32	0.00	10.32	0.5	0.05
04/16/2018	***-**-61IN - PITTS-SMITH,	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	4.80	0.00	4.80	0.5	0.02
04/16/2018	***-**-69IN - O'TOOLE, MARTIN	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	1.63	0.00	1.63	0.5	0.01
04/16/2018	***-**-015I - DEBONA, PETER	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	4.36	0.00	4.36	0.5	0.02
04/16/2018	***-**-4166 - QUEENAN, THOMAS	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	8.76	0.00	8.76	0.5	0.04
04/16/2018	***-**-377I - DONNELLY, MARY	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	12.70	0.00	12.70	0.5	0.06
04/16/2018	***-**-614I - HUGHES, TERRY	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	2.72	0.00	2.72	0.5	0.01
04/16/2018	***-**-59IN - NEVILLE, MICHAEL	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	1.10	0.00	1.10	0.5	0.01
04/16/2018	***-**-269I - ROSENGRANT, MARY	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	8.19	0.00	8.19	0.5	0.04



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<u>BROKER: ALEX GEORGIEV (continued)</u>								
04/16/2018	***-**-6094 - VITALE IV,	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	6.40	0.00	6.40	0.5	0.03
04/16/2018	***-**-8146 - VITALE, HANNAH	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	4.59	0.00	4.59	0.5	0.02
04/16/2018	***-**-4166 - QUEENAN, THOMAS	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	21.43	0.00	21.43	0.5	0.11
04/16/2018	***-**-8896 - VIKHNEVICH,	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	1.28	0.00	1.28	0.5	0.01
04/16/2018	***-**-61IN - PITTS-SMITH,	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	2.15	0.00	2.15	0.5	0.01
04/16/2018	***-**-166I - QUEENAN, THOMAS	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	1.25	0.00	1.25	0.5	0.01
04/16/2018	***-**-166I - QUEENAN, THOMAS	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	19.85	0.00	19.85	0.5	0.10
04/16/2018	***-**-69IN - O'TOOLE, MARTIN	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	4.20	0.00	4.20	0.5	0.02
04/16/2018	***-**-166J - QUEENAN, CARMEL	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	1.99	0.00	1.99	0.5	0.01
04/16/2018	***-**-865I - QUEENAN, CARMEL	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	1.80	0.00	1.80	0.5	0.01
04/16/2018	***-**-4166 - QUEENAN, THOMAS	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	14.13	0.00	14.13	0.5	0.07
04/16/2018	***-**-61IN - PITTS-SMITH,	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	10.71	0.00	10.71	0.5	0.05
04/16/2018	***-**-3835 - MICHAELINI,	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	4.69	0.00	4.69	0.5	0.02
04/16/2018	***-**-03CL - GEORGIEV,	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	-3.04	0.00	-3.04	0.5	-0.02
04/16/2018	***-**-82UG - HOLLABAUGH,	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	1.11	0.00	1.11	0.5	0.01
04/16/2018	***-**-560I - ROCHE, JOANNA	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	1.95	0.00	1.95	0.5	0.01



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: ALEX GEORGIEV (continued)</u> 								
04/16/2018	***-**-972J - DEGIROLAMO,	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	10.29	0.00	10.29	0.5	0.05
04/16/2018	***-**-5610 - DEGIROLAMO,	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	2.55	0.00	2.55	0.5	0.01
04/16/2018	***-**-5610 - DEGIROLAMO,	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	4.36	0.00	4.36	0.5	0.02
04/16/2018	***-**-600I - TROIA, NINO	VIRTUS MF TRAILS BUY 0 Units @0.0000	0.00	1.64	0.00	1.64	0.5	0.01
04/16/2018	***-**-316I - MCCUNE, MICHAEL ACCOUNT #: LSR009995	VIRTUS SMALL CAP CORE CL A BUY 1 Units @0.0000	0.00	1.45	0.00	1.45	0.5	0.01
04/02/2018	***-**-465P - MCGOVERN, ACCOUNT #: 00073205016	WASHINGTON MUTUAL INVESTORS FUND-A BUY 4 Units @43.9400	173.10	1.73	0.00	1.73	0.5	0.01
04/02/2018	***-**-465P - MCGOVERN, ACCOUNT #: 00073205016	WASHINGTON MUTUAL INVESTORS FUND-A BUY 7 Units @43.9400	288.45	2.88	0.00	2.88	0.5	0.01
04/02/2018	***-**-064J - HALL, AMY ACCOUNT #: 00083146232	WASHINGTON MUTUAL INVESTORS FUND-A BUY 6 Units @44.6100	250.00	3.00	0.00	3.00	0.5	0.02
04/02/2018	***-**-691I - GORDON, JONATHAN ACCOUNT #: 00063812327	WASHINGTON MUTUAL INVESTORS FUND-A BUY 2 Units @46.0100	100.00	3.75	0.00	3.75	0.5	0.02
04/16/2018	***-**-671O - EVA JAYNE ACCOUNT #: LSR011403	WELLS FARGO MUNI BOND FUND CL A BUY 1 Units @0.0000	0.00	35.05	0.00	35.05	0.5	0.18
 * ALEX GEORGIEV SUBTOTAL * 			 \$26,069.82 	 \$15,183.69 	 \$0.00 	 \$15,183.69 		 \$76.96
 <u>BROKER: MICHAEL GAROFALO</u> 								
04/16/2018	***-**-34IR - MCKENNA, EDWARD ACCOUNT #: LSR011376	AIM DIVERSIFIED DIVIDEND FUND - CL BUY 1 Units @0.0000	0.00	6.03	0.00	6.03	0.5	0.03
04/16/2018	***-**-373X - MANGANELLO, TIRA ACCOUNT #: LSR011551	AIM DIVERSIFIED DIVIDEND FUND - CL BUY 1 Units @0.0000	0.00	17.10	0.00	17.10	0.5	0.09
04/16/2018	***-**-373X - MANGANELLO, TIRA ACCOUNT #: LSR011552	AIM DIVERSIFIED DIVIDEND FUND - CL BUY 1 Units @0.0000	0.00	22.39	0.00	22.39	0.5	0.11
04/16/2018	***-**-260X - ILGENFRITZ, CORY ACCOUNT #: LSR011553	AIM DIVERSIFIED DIVIDEND FUND - CL BUY 1 Units @0.0000	0.00	17.96	0.00	17.96	0.5	0.09
04/16/2018	***-**-181X - ILGENFRITZ, ACCOUNT #: LSR011555	AIM DIVERSIFIED DIVIDEND FUND - CL BUY 1 Units @0.0000	0.00	18.78	0.00	18.78	0.5	0.09



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: MICHAEL GAROFALO (continued)</u>								
04/16/2018	***-**-055X - ILGENFRITZ, ACCOUNT #: LSR011558	AIM DIVERSIFIED DIVIDEND FUND - CL BUY 1 Units @0.0000	0.00	22.64	0.00	22.64	0.5	0.11
04/16/2018	***-**-352I - KUNKEL, RAY ACCOUNT #: LSR011585	AIM DIVERSIFIED DIVIDEND FUND - CL BUY 1 Units @0.0000	0.00	13.18	0.00	13.18	0.5	0.07
04/16/2018	***-**-244X - REED, GENEVIEVE ACCOUNT #: LSR012032	AIM HIGH YIELD FUND - CLASS A BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	0.5	0.01
04/16/2018	***-**-228I - BUCHANAN, ACCOUNT #: LSR010538	AIM UTILITIES FUND - CLASS C BUY 1 Units @0.0000	0.00	17.70	0.00	17.70	0.5	0.09
04/16/2018	***-**-630X - WEAVER, NICOLE ACCOUNT #: LSR011529	AIM UTILITIES FUND - CLASS C BUY 1 Units @0.0000	0.00	66.86	0.00	66.86	0.5	0.33
04/16/2018	***-**-400O - ROMIG, MARK ACCOUNT #: LSR011567	AIM UTILITIES FUND - CLASS C BUY 1 Units @0.0000	0.00	12.95	0.00	12.95	0.5	0.06
04/02/2018	***-**-18IN - KUNKEL, RYAN ACCOUNT #: 00087404382	AMERICAN BALANCED FUND-A BUY 2 Units @27.6300	50.00	1.88	0.00	1.88	0.5	0.01
04/16/2018	***-**-055X - ILGENFRITZ, ACCOUNT #: LSR011559	CAPITAL APPRECIATION - CLASS C BUY 1 Units @0.0000	0.00	8.48	0.00	8.48	0.5	0.04
04/16/2018	***-**-055X - ILGENFRITZ, ACCOUNT #: LSR011559	CAPITAL APPRECIATION - CLASS C BUY 1 Units @0.0000	0.00	23.46	0.00	23.46	0.5	0.12
03/31/2018	***-**-37IN - GAROFALO, JAMIE ACCOUNT #: 03202230162	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	2.17	0.00	2.17	0.5	0.01
03/31/2018	***-**-28IR - BUCHANAN, ACCOUNT #: 03203316742	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	12.69	0.00	12.69	0.5	0.06
03/31/2018	***-**-291I - SHULTZ, SUZETTE ACCOUNT #: 03207390020	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	4.07	0.00	4.07	0.5	0.02
03/31/2018	***-**-52IN - STEPP, JENNIFER ACCOUNT #: 03208148063	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	2.30	0.00	2.30	0.5	0.01
03/31/2018	***-**-36IR - HERDSON, JOHN ACCOUNT #: 03208148074	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	2.37	0.00	2.37	0.5	0.01
03/31/2018	***-**-36IR - HERDSON, JOHN ACCOUNT #: 03222003518	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	35.13	0.00	35.13	0.5	0.18
04/02/2018	***-**-18IN - KUNKEL, RYAN ACCOUNT #: 00087404382	CAPITAL INCOME BUILDER-A BUY 1 Units @62.6200	50.00	1.88	0.00	1.88	0.5	0.01



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: MICHAEL GAROFALO (continued)</u>								
04/16/2018	***-**-992I - SMITH, FBO MR	EATON VANCE SHT DUR STRATEGIC INCOM	0.00	4.17	0.00	4.17	0.5	0.02
	ACCOUNT #: LSR010578	BUY 1 Units @0.0000						
03/31/2018	***-**-36IR - HERDSON, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.51	0.00	1.51	0.5	0.01
	ACCOUNT #: 08350946209	BUY 0 Units @0.0000						
03/31/2018	***-**-36IR - HERDSON, JOHN	EQUITY INCOME FUND, INC. C	0.00	31.51	0.00	31.51	0.5	0.16
	ACCOUNT #: 08370183502	BUY 0 Units @0.0000						
04/16/2018	***-**-4000 - ROMIG, MARK	EV ATLANTA SELECT EQUITY FUND CL C	0.00	14.67	0.00	14.67	0.5	0.07
	ACCOUNT #: LSR011567	BUY 1 Units @0.0000						
04/16/2018	***-**-276I - GASSWINT, SUSAN	FRANKLIN INCOME FUND CLASS C	0.00	30.24	0.00	30.24	0.5	0.15
	ACCOUNT #: LSR010633	BUY 1 Units @0.0000						
03/31/2018	***-**-28IR - BUCHANAN,	GLOBAL FUND A	0.00	14.54	0.00	14.54	0.5	0.07
	ACCOUNT #: 03307694434	BUY 0 Units @0.0000						
03/31/2018	***-**-37IN - GAROFALO, JAMIE	GLOBAL OPPORTUNITIES A	0.00	2.80	0.00	2.80	0.5	0.01
	ACCOUNT #: 02151266045	BUY 0 Units @0.0000						
03/31/2018	***-**-291I - SHULTZ, SUZETTE	GLOBAL OPPORTUNITIES A	0.00	4.17	0.00	4.17	0.5	0.02
	ACCOUNT #: 02154348564	BUY 0 Units @0.0000						
04/13/2018	***-**-597I - LEAR, DIANE	ING ADVANTAGE SELECT	0.00	14.56	0.00	14.56	0.5	0.07
	ACCOUNT #: R080334-ZS	BUY 0 Units @0.0000						
04/16/2018	***-**-228I - BUCHANAN,	INVESCO BALANCED - RISK ALLOCATION	0.00	8.86	0.00	8.86	0.5	0.04
	ACCOUNT #: LSR010538	BUY 1 Units @0.0000						
04/16/2018	***-**-276I - GASSWINT, SUSAN	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	20.36	0.00	20.36	0.5	0.10
	ACCOUNT #: LSR010633	BUY 1 Units @0.0000						
04/16/2018	***-**-214I - SCHMIDT, DAVID	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	7.32	0.00	7.32	0.5	0.04
	ACCOUNT #: LSR011691	BUY 1 Units @0.0000						
04/16/2018	***-**-859X - FREY, RYAN	IVY MANAGED INTERNAT IONAL OPPS CL	0.00	231.75	0.00	231.75	0.5	1.16
	ACCOUNT #: LSR011527	BUY 1 Units @0.0000						
04/16/2018	***-**-334I - MCKENNA, EDWARD	LEGG MASON VALUE TRUST CL C	0.00	6.64	0.00	6.64	0.5	0.03
	ACCOUNT #: LSR011377	BUY 1 Units @0.0000						
03/31/2018	***-**-291I - SHULTZ, SUZETTE	MAIN STREET FUND A	0.00	3.37	0.00	3.37	0.5	0.02
	ACCOUNT #: 07001198684	BUY 0 Units @0.0000						
03/31/2018	***-**-99IR - BUCHANAN, STEVEN	MAIN STREET FUND A	0.00	13.70	0.00	13.70	0.5	0.07
	ACCOUNT #: 07002755857	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: MICHAEL GAROFALO (continued)								
04/01/2018	***-**-58IN - GAROFALO, ACCOUNT #: 08188565430	MASS INVESTORS GROWTH STOCK FUND-A BUY 0 Units @0.0000	0.00	2.85	0.00	2.85	0.5	0.01
04/01/2018	***-**-58IN - GAROFALO, ACCOUNT #: 09896329355	MFS GOVERNMENT SECURITIES FUND-A BUY 0 Units @0.0000	0.00	16.14	0.00	16.14	0.5	0.08
04/01/2018	***-**-58IN - GAROFALO, ACCOUNT #: 00060126092	MFS TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	9.28	0.00	9.28	0.5	0.05
04/01/2018	***-**-58IN - GAROFALO, ACCOUNT #: 08188565426	MFS UTILITIES FUND-A BUY 0 Units @0.0000	0.00	4.54	0.00	4.54	0.5	0.02
04/01/2018	***-**-58IN - GAROFALO, ACCOUNT #: 08188565434	MFS VALUE FUND-A BUY 0 Units @0.0000	0.00	4.24	0.00	4.24	0.5	0.02
04/16/2018	***-**-0550 - ILGENFRITZ, TIM ACCOUNT #: LSR011557	NUVEEN REAL ASSET INCOME FUND C SHR BUY 1 Units @0.0000	0.00	19.77	0.00	19.77	0.5	0.10
03/31/2018	***-**-291I - SHULTZ, SUZETTE ACCOUNT #: 02300927864	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	3.08	0.00	3.08	0.5	0.02
03/31/2018	***-**-94IN - VITALE, LAURIE ACCOUNT #: 07420005434	PENNSYLVANIA MUNICIPAL FUND C BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	0.5	0.01
03/31/2018	***-**-99IR - BUCHANAN, STEVEN ACCOUNT #: 02571411509	QUEST BALANCED A BUY 0 Units @0.0000	0.00	9.30	0.00	9.30	0.5	0.05
03/31/2018	***-**-52IN - STEPP, JENNIFER ACCOUNT #: 02575466043	QUEST BALANCED A BUY 0 Units @0.0000	0.00	1.73	0.00	1.73	0.5	0.01
03/31/2018	***-**-36IR - HERDSON, JOHN ACCOUNT #: 02575466054	QUEST BALANCED A BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	0.5	0.01
03/31/2018	***-**-36IR - HERDSON, JOHN ACCOUNT #: 02592150962	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	27.07	0.00	27.07	0.5	0.14
04/16/2018	***-**-334I - MCKENNA, EDWARD ACCOUNT #: LSR011377	ROYCE PENNSYLVANIA MUTUAL CONSULT BUY 1 Units @0.0000	0.00	7.97	0.00	7.97	0.5	0.04
04/02/2018	***-**-79IR - WILSON, DELEIGH ACCOUNT #: 00073333458	THE GROWTH FUND OF AMERICA-A BUY 4 Units @51.6400	200.00	5.50	0.00	5.50	0.5	0.03
04/02/2018	***-**-79IR - WILSON, DELEIGH ACCOUNT #: 00073333458	THE INCOME FUND OF AMERICA-A BUY 9 Units @23.2800	200.00	5.50	0.00	5.50	0.5	0.03
04/02/2018	***-**-18IN - KUNKEL, RYAN ACCOUNT #: 00087404382	WASHINGTON MUTUAL INVESTORS FUND-A BUY 2 Units @46.0100	100.00	3.75	0.00	3.75	0.5	0.02



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: MICHAEL GAROFALO (continued)</u> 								
04/16/2018	***-**-29IR - MANGANELLO, ACCOUNT #: LSR011770	WELLS FARGO DIVERSIF INC BUILDER CL BUY 1 Units @0.0000	0.00	9.31	0.00	9.31	0.5	0.05
04/16/2018	***-**-0550 - ILGENFRITZ, TIM ACCOUNT #: LSR011557	WELLS FARGO INDEX ASSET ALLOC C BUY 1 Units @0.0000	0.00	21.23	0.00	21.23	0.5	0.11
04/16/2018	***-**-352I - KUNKEL, RAY ACCOUNT #: LSR011585	WELLS FARGO SPECIAL MID CAP CL C BUY 1 Units @0.0000	0.00	15.72	0.00	15.72	0.5	0.08
04/16/2018	***-**-831I - KAKAREKA, ACCOUNT #: LSR011084	WELLS FARGO SPECIAL SMALL CAP VALUE BUY 1 Units @0.0000	0.00	1.11	0.00	1.11	0.5	0.01
 * MICHAEL GAROFALO SUBTOTAL * 			 \$600.00 	 \$893.29 	 \$0.00 	 \$893.29 		 \$4.48
 <u>BROKER: ARCHIBALD MCMICHAEL</u> 								
04/16/2018	***-**-070I - BROWN, SUSAN ACCOUNT #: LSR011389	ARROW DWA TACTICAL FUND CLASS A BUY 1 Units @0.0000	0.00	5.01	0.00	5.01	0.5	0.03
04/16/2018	***-**-62IN - ZIMMERMAN, ACCOUNT #: LSR010153	EATON VANCE FLOATING RATE HI INC FD BUY 1 Units @0.0000	0.00	1.66	0.00	1.66	0.5	0.01
04/16/2018	***-**-326I - SPASIC, KELLY ACCOUNT #: LSR008940	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	9.07	0.00	9.07	0.5	0.05
04/16/2018	***-**-59IN - FACHET, ACCOUNT #: LSR009202	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	7.00	0.00	7.00	0.5	0.04
04/16/2018	***-**-74IN - MINA, JUDY ACCOUNT #: LSR010088	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	3.33	0.00	3.33	0.5	0.02
04/16/2018	***-**-62IN - ZIMMERMAN, ACCOUNT #: LSR010153	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	8.93	0.00	8.93	0.5	0.04
04/16/2018	***-**-26IN - SPASIC, KELLY ACCOUNT #: LSR010097	FRK AGGRESSIVE GRWTH - CL A BUY 1 Units @0.0000	0.00	6.60	0.00	6.60	0.5	0.03
12/07/2017	***-**-1230 - ROBERTSON, MARY	GWG PREFERRED STOCK BUY 50 Units @1000.0000	41,620.00	2,746.92	0.00	2,746.92	0.5	13.73
04/05/2018	***-**-978J - OVRUTSKY, VICTOR	JACKSON NAT PERS II OPT A 0-80 BUY 1 Units @24000.0000	24,211.56	1,694.81	0.00	1,694.81	0.5	8.47
04/16/2018	***-**-978J - OVRUTSKY, VICTOR ACCOUNT #: LSR008869	PRUDENTIAL JENNISON MLP FUND CLASS BUY 1 Units @0.0000	0.00	2.83	0.00	2.83	0.5	0.01
04/16/2018	***-**-674J - IVINS, WILLIAM ACCOUNT #: LSR009563	PRUDENTIAL JENNISON MLP FUND CLASS BUY 1 Units @0.0000	0.00	2.96	0.00	2.96	0.5	0.01



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 <u>BROKER: ARCHIBALD MCMICHAEL (continued)</u> 								
04/16/2018	***-**-74IN - MINA, JUDY	PRUDENTIAL JENNISON MLP FUND CLASS	0.00	2.01	0.00	2.01	0.5	0.01
	ACCOUNT #: LSR010088	BUY 1 Units @0.0000						
04/16/2018	***-**-62IN - ZIMMERMAN,	PRUDENTIAL JENNISON MLP FUND CLASS	0.00	7.90	0.00	7.90	0.5	0.04
	ACCOUNT #: LSR010153	BUY 1 Units @0.0000						
04/16/2018	***-**-74IN - MINA, CHARLES	PRUDENTIAL JENNISON MLP FUND CLASS	0.00	1.95	0.00	1.95	0.5	0.01
	ACCOUNT #: LSR010167	BUY 1 Units @0.0000						
04/16/2018	***-**-76IN - HOFFMAN, DAVID	PRUDENTIAL JENNISON MLP FUND CLASS	0.00	4.49	0.00	4.49	0.5	0.02
	ACCOUNT #: LSR010664	BUY 1 Units @0.0000						
04/09/2018	***-**-326I - SPASIC, KELLY	RESOURCE CREDIT INCOME FUND A	13,300.01	713.50	0.00	713.50	0.5	3.57
	ACCOUNT #: LSR008940	BUY 1138 Units @11.6900						
04/10/2018	***-**-994J - STYNER, ANNA &	RESOURCE CREDIT INCOME FUND A	77,500.00	4,244.50	0.00	4,244.50	0.5	21.22
	ACCOUNT #: LSR010132	BUY 6624 Units @11.7000						
		* ARCHIBALD MCMICHAEL SUBTOTAL *	\$156,631.57	\$9,463.47	\$0.00	\$9,463.47		\$47.31
 <u>BROKER: EDDIE WILLIAMS</u> 								
04/01/2018	***-**-672I - VARNER, LINDA	MFS CORE EQUITY FUND-A	0.00	2.39	0.00	2.39	0.5	0.01
	ACCOUNT #: 00060555311	BUY 0 Units @0.0000						
04/12/2018	***-**-691I - ASKEW, JAMIE	NEW PERSPECTIVE FUND-A	4,250.00	194.50	0.00	194.50	0.5	0.97
	ACCOUNT #: LSR012394	BUY 90 Units @47.3200						
04/12/2018	***-**-691I - ASKEW, JAMIE	TARGET CORP	7,265.10	37.00	0.00	37.00	0.5	0.19
	ACCOUNT #: LSR012394	SELL 100 Units @72.6510						
04/12/2018	***-**-691I - ASKEW, JAMIE	TARGET CORP	1,307.72	9.54	0.00	9.54	0.5	0.05
	ACCOUNT #: LSR012394	SELL 18 Units @72.6510						
04/02/2018	***-**-2011 - WILLIAMS, LARRY	THE GROWTH FUND OF AMERICA-A	150.00	7.50	0.00	7.50	0.5	0.04
	ACCOUNT #: 04000491691	BUY 3 Units @52.8700						
04/12/2018	***-**-691I - ASKEW, JAMIE	THE GROWTH FUND OF AMERICA-A	4,249.99	194.50	0.00	194.50	0.5	0.97
	ACCOUNT #: LSR012394	BUY 78 Units @54.6700						
		* EDDIE WILLIAMS SUBTOTAL *	\$17,222.81	\$445.43	\$0.00	\$445.43		\$2.23



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: DRAKE AGUILLARD (continued)</u>								
04/16/2018	***-**-868I - CRAWFORD, KEVIN ACCOUNT #: LSR012289	FRANKLIN REAL RETURN FUND - CL A BUY 1 Units @0.0000	0.00	5.79	0.00	5.79	0.5	0.03
04/16/2018	***-**-68IR - CRAWFORD, KEVIN ACCOUNT #: LSR012287	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	0.5	0.01
04/16/2018	***-**-68IR - CRAWFORD, KEVIN ACCOUNT #: LSR012287	FRANKLIN SMALL-MID CAP GROWTH FUND BUY 1 Units @0.0000	0.00	2.05	0.00	2.05	0.5	0.01
04/16/2018	***-**-800I - ORTEGO, RONALD ACCOUNT #: LSR010431	FRANKLIN SMALL-MID CAP GROWTH FUND BUY 1 Units @0.0000	0.00	39.30	0.00	39.30	0.5	0.20
04/16/2018	***-**-800I - ORTEGO, RONALD ACCOUNT #: LSR010431	FRANKLIN STRATEGIC INCOME C BUY 1 Units @0.0000	0.00	21.81	0.00	21.81	0.5	0.11
04/16/2018	***-**-68IR - CRAWFORD, KEVIN ACCOUNT #: LSR012287	FRANKLIN TEMP 88019R484 BUY 1 Units @0.0000	0.00	1.43	0.00	1.43	0.5	0.01
04/16/2018	***-**-516I - BERTHELOT, ACCOUNT #: LSR011181	FRANKLIN TOTAL RETURN FUND - CLASS BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	0.5	0.01
04/16/2018	***-**-800I - ORTEGO, RONALD ACCOUNT #: LSR010431	FRANKLIN U.S.GOV'T FD CLASS C BUY 1 Units @0.0000	0.00	15.39	0.00	15.39	0.5	0.08
04/16/2018	***-**-31IN - BERTHELOT, STARR ACCOUNT #: LSR011183	FRANKLIN U.S.GOV'T FD CLASS C BUY 1 Units @0.0000	0.00	1.99	0.00	1.99	0.5	0.01
04/16/2018	***-**-800I - ORTEGO, RONALD ACCOUNT #: LSR010431	FRANKLIN UTILITIES FUND - CLASS C BUY 1 Units @0.0000	0.00	21.80	0.00	21.80	0.5	0.11
04/16/2018	***-**-516I - BERTHELOT, ACCOUNT #: LSR011181	FRK ADJ US GOVT SEC FUND - CLS C BUY 1 Units @0.0000	0.00	1.91	0.00	1.91	0.5	0.01
04/16/2018	***-**-800I - ORTEGO, RONALD ACCOUNT #: LSR010431	FRK AGE HIGH INC FND - CL C BUY 1 Units @0.0000	0.00	25.18	0.00	25.18	0.5	0.13
04/16/2018	***-**-868I - CRAWFORD, KEVIN ACCOUNT #: LSR012289	FRK EQUITY INC FND - CL A BUY 1 Units @0.0000	0.00	8.98	0.00	8.98	0.5	0.04
04/16/2018	***-**-868I - CRAWFORD, KEVIN ACCOUNT #: LSR012289	FRK GOLD FUND - CLASS A BUY 1 Units @0.0000	0.00	3.27	0.00	3.27	0.5	0.02
04/16/2018	***-**-800I - ORTEGO, RONALD ACCOUNT #: LSR010431	FRK GRWTH FND - CL C BUY 1 Units @0.0000	0.00	10.86	0.00	10.86	0.5	0.05
04/16/2018	***-**-68IR - CRAWFORD, KEVIN ACCOUNT #: LSR012287	FRK NATURAL RES FND - CL A BUY 1 Units @0.0000	0.00	1.06	0.00	1.06	0.5	0.01



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: DRAKE AGUILLARD (continued)								
04/16/2018	***-**-68IR - CRAWFORD, KEVIN	FRK REAL EST SEC FND - CL A	0.00	1.32	0.00	1.32	0.5	0.01
	ACCOUNT #: LSR012287	BUY 1 Units @0.0000						
04/16/2018	***-**-800I - ORTEGO, RONALD	FRK REAL ESTATE SEC CL C	0.00	28.11	0.00	28.11	0.5	0.14
	ACCOUNT #: LSR010431	BUY 1 Units @0.0000						
04/16/2018	***-**-800I - ORTEGO, RONALD	FRK RISING DIV FND - CL C	0.00	40.54	0.00	40.54	0.5	0.20
	ACCOUNT #: LSR010431	BUY 1 Units @0.0000						
04/16/2018	***-**-516I - BERTHELOT,	FRK RISING DIV FND - CL C	0.00	2.89	0.00	2.89	0.5	0.01
	ACCOUNT #: LSR011181	BUY 1 Units @0.0000						
04/16/2018	***-**-31IN - BERTHELOT, STARR	FRK RISING DIV FND - CL C	0.00	3.26	0.00	3.26	0.5	0.02
	ACCOUNT #: LSR011183	BUY 1 Units @0.0000						
04/16/2018	***-**-868I - CRAWFORD, KEVIN	FRK STRAT INC FND - CL A	0.00	10.32	0.00	10.32	0.5	0.05
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
04/16/2018	***-**-868I - CRAWFORD, KEVIN	FRK TOTAL RETURN FND - CL A	0.00	5.47	0.00	5.47	0.5	0.03
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
04/16/2018	***-**-68IN - CRAWFORD, KEVIN	FRK UTIL FND - CL A	0.00	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: LSR012288	BUY 1 Units @0.0000						
04/16/2018	***-**-868I - CRAWFORD, KEVIN	FRK VAL FND - CL A	0.00	7.09	0.00	7.09	0.5	0.04
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
04/16/2018	***-**-868I - CRAWFORD, KEVIN	FT HARD CURRENCY CL A	0.00	3.10	0.00	3.10	0.5	0.02
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
04/16/2018	***-**-800I - ORTEGO, RONALD	MUTUAL DISC FND - CL C	0.00	30.70	0.00	30.70	0.5	0.15
	ACCOUNT #: LSR010431	BUY 1 Units @0.0000						
04/16/2018	***-**-31IN - BERTHELOT, STARR	MUTUAL DISC FND - CL C	0.00	2.83	0.00	2.83	0.5	0.01
	ACCOUNT #: LSR011183	BUY 1 Units @0.0000						
04/16/2018	***-**-868I - CRAWFORD, KEVIN	MUTUAL EURO FND - CL A	0.00	8.33	0.00	8.33	0.5	0.04
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
04/16/2018	***-**-868I - CRAWFORD, KEVIN	MUTUAL FINL SRVCS FND - CL A	0.00	6.79	0.00	6.79	0.5	0.03
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
04/16/2018	***-**-868I - CRAWFORD, KEVIN	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	9.05	0.00	9.05	0.5	0.05
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
04/16/2018	***-**-68IR - CRAWFORD, KEVIN	MUTUAL SERIES QUALIFIED CLASS A	0.00	1.65	0.00	1.65	0.5	0.01
	ACCOUNT #: LSR012287	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: DRAKE AGUILLARD (continued) </u>								
04/16/2018	***-**-68IN - CRAWFORD, KEVIN	MUTUAL SERIES SHARES CLASS A	0.00	1.74	0.00	1.74	0.5	0.01
	ACCOUNT #: LSR012288	BUY 1 Units @0.0000						
04/16/2018	***-**-868I - CRAWFORD, KEVIN	MUTUAL SERIES SHARES CLASS A	0.00	6.01	0.00	6.01	0.5	0.03
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
04/16/2018	***-**-68IN - CRAWFORD, KEVIN	TEMP FRGN FND - CL A	0.00	1.59	0.00	1.59	0.5	0.01
	ACCOUNT #: LSR012288	BUY 1 Units @0.0000						
04/16/2018	***-**-868I - CRAWFORD, KEVIN	TEMP FRGN FND - CL A	0.00	7.11	0.00	7.11	0.5	0.04
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
04/16/2018	***-**-68IR - CRAWFORD, KEVIN	TEMP GLOBAL BOND FND - CL A	0.00	1.30	0.00	1.30	0.5	0.01
	ACCOUNT #: LSR012287	BUY 1 Units @0.0000						
04/16/2018	***-**-68IN - CRAWFORD, KEVIN	TEMP GLOBAL BOND FND - CL A	0.00	1.73	0.00	1.73	0.5	0.01
	ACCOUNT #: LSR012288	BUY 1 Units @0.0000						
04/16/2018	***-**-868I - CRAWFORD, KEVIN	TEMP GLOBAL BOND FND - CL A	0.00	9.46	0.00	9.46	0.5	0.05
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
04/16/2018	***-**-68IN - CRAWFORD, KEVIN	TEMPLETON CHINA WORLD FUND - CLASS	0.00	1.44	0.00	1.44	0.5	0.01
	ACCOUNT #: LSR012288	BUY 1 Units @0.0000						
04/16/2018	***-**-868I - CRAWFORD, KEVIN	TEMPLETON CHINA WORLD FUND - CLASS	0.00	8.26	0.00	8.26	0.5	0.04
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
04/16/2018	***-**-800I - ORTEGO, RONALD	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	21.90	0.00	21.90	0.5	0.11
	ACCOUNT #: LSR010431	BUY 1 Units @0.0000						
04/16/2018	***-**-516I - BERTHELOT,	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	1.46	0.00	1.46	0.5	0.01
	ACCOUNT #: LSR011181	BUY 1 Units @0.0000						
04/16/2018	***-**-31IN - BERTHELOT, STARR	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	1.66	0.00	1.66	0.5	0.01
	ACCOUNT #: LSR011183	BUY 1 Units @0.0000						
04/16/2018	***-**-68IR - CRAWFORD, KEVIN	TEMPLETON GROWTH FUND CLASS A	0.00	1.46	0.00	1.46	0.5	0.01
	ACCOUNT #: LSR012287	BUY 1 Units @0.0000						
 * DRAKE AGUILLARD SUBTOTAL * 			\$0.00	\$504.35	\$0.00	\$504.35		\$2.58



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: SAMUEL GALATIOTO</u>								
04/16/2018	***-**-49TR - CUZICK TRUST, ACCOUNT #: LSR010064	AIM DEVELOPING MARKETS FUND CLASS A BUY 1 Units @0.0000	0.00	3.39	0.00	3.39	0.5	0.02
04/16/2018	***-**-91IO - BROWN, FBO ACCOUNT #: LSR010370	IVY SCIENCE AND TECHNOLOGY FUND CLA BUY 1 Units @0.0000	0.00	3.22	0.00	3.22	0.5	0.02
* SAMUEL GALATIOTO SUBTOTAL *			\$0.00	\$6.61	\$0.00	\$6.61		\$0.04
<u>BROKER: LARRY SKARSET</u>								
04/16/2018	***-**-50TR - HULEGAARD TTEE, ACCOUNT #: LSR010112	AIM GLOBAL AGGRESSIVE GROWTH FUND C BUY 1 Units @0.0000	0.00	2.81	0.00	2.81	0.5	0.01
04/16/2018	***-**-17TR - KAY TTEE, ACCOUNT #: LSR010113	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	5.66	0.00	5.66	0.5	0.03
04/16/2018	***-**-50TR - HULEGAARD TTEE, ACCOUNT #: LSR010112	INVESCO STRUCTURED CORE FUND -CLASS BUY 1 Units @0.0000	0.00	2.05	0.00	2.05	0.5	0.01
04/16/2018	***-**-498I - SKARSET, LARRY ACCOUNT #: LSF000259	TEMPLETON GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	1.81	0.00	1.81	0.5	0.01
* LARRY SKARSET SUBTOTAL *			\$0.00	\$12.33	\$0.00	\$12.33		\$0.06
<u>BROKER: ROBERT ADAMS</u>								
04/11/2018	***-**-60IN - CONLEY, JAMES ACCOUNT #: P95D1510893	AMERICAN GENERAL VA TRAILS 00139987 BUY 0 Units @0.0000	0.00	36.76	0.00	36.76	0.5	0.18
04/02/2018	***-**-05CL - ADAMS, CLIENTS ACCOUNT #: 01460802653	FA 529 PORT 2019-CL A BUY 9 Units @21.2100	200.00	7.50	0.00	7.50	0.5	0.04
* ROBERT ADAMS SUBTOTAL *			\$200.00	\$44.26	\$0.00	\$44.26		\$0.22
<u>BROKER: ALPHONSO HOUSTON</u>								
04/16/2018	***-**-53IN - HOUSTON, AL ACCOUNT #: LSF000264	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	11.45	0.00	11.45	0.5	0.06
04/16/2018	***-**-876O - LULAC NATL ACCOUNT #: LSR010379	STRATEGIC INCOME C BUY 1 Units @0.0000	0.00	506.50	0.00	506.50	0.5	2.53
* ALPHONSO HOUSTON SUBTOTAL *			\$0.00	\$517.95	\$0.00	\$517.95		\$2.59



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: JOSEPH STURGES</u> 								
04/05/2018	***-**-53IN - INMON, STEPHANIE	FIDELITY ADV ASSET MANAGER 20% CL A	14,657.60	549.66	0.00	549.66	0.5	2.75
	ACCOUNT #: 01453267187	BUY 1052 Units @13.9300						
04/05/2018	***-**-53IN - INMON, STEPHANIE	FIDELITY ADV BIOTECHNOLOGY-CL A	9,369.52	351.36	0.00	351.36	0.5	1.76
	ACCOUNT #: 01453267187	BUY 357 Units @26.2700						
04/05/2018	***-**-53IN - INMON, STEPHANIE	FIDELITY ADV LEVERAGED CO STOCK CL	9,618.76	360.70	0.00	360.70	0.5	1.80
	ACCOUNT #: 01453267187	BUY 215 Units @44.7000						
04/07/2018	***-**-56IN - STIEHL, GARY	ING VA 380789701	0.00	42.76	0.00	42.76	0.5	0.21
	ACCOUNT #: C257229-OW	BUY 0 Units @0.0000						
		 * JOSEPH STURGES SUBTOTAL * 	 \$33,645.88 	 \$1,304.48 	 \$0.00 	 \$1,304.48 		 \$6.52
 <u>BROKER: JON HEDDLESON</u> 								
04/05/2018	***-**-25IN - SCHLOSSER, SCOTT	AMERICAN BALANCED FUND-529A	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 04000615940	BUY 2 Units @28.4700						
04/02/2018	***-**-81IN - JACKSON,	AMERICAN BALANCED FUND-A	53.75	2.02	0.00	2.02	0.5	0.01
	ACCOUNT #: 00081681468	BUY 2 Units @27.6300						
04/02/2018	***-**-05IN - LEIKALA, JOSH	AMERICAN GLOBAL BALANCED CLASS A	25.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 00085956564	BUY 1 Units @34.0300						
04/11/2018	***-**-88IN - HAYES, JOSHUA	BLACKROCK FUNDS	100.00	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: 50722446	BUY 0 Units @0.0000						
04/11/2018	***-**-795P - HARTLEY,	BLACKROCK FUNDS	20.00	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: 5290022275	BUY 0 Units @0.0000						
03/31/2018	***-**-07IN - WATSON, SANDRA	CAPITAL INCOME A	0.00	2.22	0.00	2.22	0.5	0.01
	ACCOUNT #: 03006252092	BUY 0 Units @0.0000						
04/02/2018	***-**-81IN - JACKSON,	CAPITAL WORLD GROWTH AND INCOME FUN	53.75	2.02	0.00	2.02	0.5	0.01
	ACCOUNT #: 00081681468	BUY 1 Units @52.6100						
04/02/2018	***-**-71IN - HLAS, LEE	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	2.13	0.00	2.13	0.5	0.01
	ACCOUNT #: 00074169955	BUY 1 Units @52.8800						
04/04/2018	***-**-45IN - INGERSOLL, LORNA	CAPITAL WORLD GROWTH AND INCOME FUN	57.69	2.45	0.00	2.45	0.5	0.01
	ACCOUNT #: 00075090099	BUY 1 Units @53.6800						
04/04/2018	***-**-45IN - INGERSOLL, LORNA	CAPITAL WORLD GROWTH AND INCOME FUN	34.62	1.47	0.00	1.47	0.5	0.01
	ACCOUNT #: 00075090099	BUY 1 Units @53.6800						
04/05/2018	***-**-25IN - SCHLOSSER, SCOTT	CAPITAL WORLD GROWTH AND INCOME-529	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 04000615940	BUY 1 Units @54.2600						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: JON HEDDLESON (continued)</u> 								
04/02/2018	***-**-17IN - METZGER-GASIOR, ACCOUNT #: 00084959995	EUROPACIFIC GROWTH FUND-A BUY 1 Units @59.4900	75.00	3.75	0.00	3.75	0.5	0.02
04/04/2018	***-**-07IN - WARD, DANIEL ACCOUNT #: 00075090142	EUROPACIFIC GROWTH FUND-A BUY 0 Units @59.4400	27.00	1.15	0.00	1.15	0.5	0.01
04/04/2018	***-**-07IN - WARD, DANIEL ACCOUNT #: 00075090142	EUROPACIFIC GROWTH FUND-A BUY 0 Units @59.4400	27.00	1.15	0.00	1.15	0.5	0.01
04/02/2018	***-**-50IN - PIEHL, DAVID ACCOUNT #: 000000000871792	FRANKLIN SMALL CAP VALUE C BUY 3 Units @47.5900	129.50	1.30	0.00	1.30	0.5	0.01
03/31/2018	***-**-83IN - GRIMM, LISA ACCOUNT #: 02155916636	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	12.97	0.00	12.97	0.5	0.06
04/02/2018	***-**-17IN - METZGER-GASIOR, ACCOUNT #: 00084959995	INTERNATIONAL GROWTH AND INCOME-A BUY 2 Units @36.8800	75.00	3.75	0.00	3.75	0.5	0.02
04/16/2018	***-**-14CL - HEDDELSON,	JANUS MF TRAILS BUY 0 Units @0.0000	0.00	9.95	0.00	9.95	0.5	0.05
04/11/2018	***-**-30IN - HOLLINGSWORTH, ACCOUNT #: 230003394	METLIFE PREFERENCE PLUS BUY 1 Units @400.0000	400.00	1.52	0.00	1.52	0.5	0.01
04/11/2018	***-**-56IN - SCHOOLCRAFT, ACCOUNT #: 220003555	METLIFE PREFERENCE PLUS BUY 1 Units @300.0000	300.00	1.14	0.00	1.14	0.5	0.01
04/09/2018	***-**-80IN - MELVIN, JOEL ACCOUNT #: VM16004537	PACIFIC LIFE CUSIP 69448B175-NFS BUY 0 Units @0.0000	100.00	1.20	0.00	1.20	0.5	0.01
04/16/2018	***-**-79IN - HARTLEY, ACCOUNT #: 04019028167	PIMCO ALL ASSET ALL AUTHORITY A BUY 0 Units @0.0000	22.00	1.05	0.00	1.05	0.5	0.01
04/16/2018	***-**-31IN - ARMENTROUT,	RELIASTAR RENEWALS BUY 1 Units @1800.0000	1,800.00	121.52	0.00	121.52	0.5	0.61
04/13/2018	***-**-153I - MCCLINTOCK, ACCOUNT #: 271646153	SECURITY BENEFIT LIFE VUL BUY 1 Units @75.0000	75.00	3.75	0.00	3.75	0.5	0.02
04/13/2018	***-**-153I - MCCLINTOCK, ACCOUNT #: 271646153	SECURITY BENEFIT LIFE VUL BUY 1 Units @75.0000	75.00	3.75	0.00	3.75	0.5	0.02
04/13/2018	***-**-153I - MCCLINTOCK, ACCOUNT #: 271646153	SECURITY BENEFIT VUL TRAILS BUY 1 Units @0.0000	0.00	5.09	0.00	5.09	0.5	0.03
04/13/2018	***-**-31IN - EIDAM, ROBYN ACCOUNT #: 277723831	SECURITY BENEFIT VUL TRAILS BUY 1 Units @0.0000	0.00	87.52	0.00	87.52	0.5	0.44



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: JON HEDDLESON (continued)</u> 								
04/13/2018	***-**-55IN - CZECH, MANDY	SECURITY BENEFIT VUL TRAILS	0.00	31.06	0.00	31.06	0.5	0.16
	ACCOUNT #: 269902555	BUY 1 Units @0.0000						
04/04/2018	***-**-45IN - INGERSOLL, LORNA	THE GROWTH FUND OF AMERICA-A	57.69	2.45	0.00	2.45	0.5	0.01
	ACCOUNT #: 00075090099	BUY 1 Units @53.5100						
04/04/2018	***-**-45IN - INGERSOLL, LORNA	THE GROWTH FUND OF AMERICA-A	34.61	1.47	0.00	1.47	0.5	0.01
	ACCOUNT #: 00075090099	BUY 1 Units @53.5100						
 * JON HEDDLESON SUBTOTAL * 			 \$3,692.61 	 \$316.10 	 \$0.00 	 \$316.10 		 \$1.63
 <u>BROKER: TIMOTHY STATES</u> 								
04/01/2018	***-**-819I - BOYKIN,	AIM CASH RESERVE SHARES	0.00	5.41	0.00	5.41	0.5	0.03
	ACCOUNT #: 00777138169	BUY 0 Units @0.0000						
04/01/2018	***-**-819I - BOYKIN,	AIM CHARTER FUND - CLASS A	0.00	18.24	0.00	18.24	0.5	0.09
	ACCOUNT #: 00777138169	BUY 0 Units @0.0000						
04/01/2018	***-**-574I - DAVIS, MISCHA	AIM DIVERSIFIED DIVIDEND FUND - CL	0.00	7.88	0.00	7.88	0.5	0.04
	ACCOUNT #: 00777135769	BUY 0 Units @0.0000						
04/01/2018	***-**-819I - BOYKIN,	AIM DIVERSIFIED DIVIDEND FUND - CL	0.00	22.25	0.00	22.25	0.5	0.11
	ACCOUNT #: 00777138169	BUY 0 Units @0.0000						
04/01/2018	***-**-35IN - KERR, GAIL	AIM DIVERSIFIED DIVIDEND FUND - CL	0.00	18.18	0.00	18.18	0.5	0.09
	ACCOUNT #: 00777141178	BUY 0 Units @0.0000						
04/16/2018	***-**-44TR - LYNCH TTEE,	AIM DIVERSIFIED DIVIDEND FUND - CL	0.00	5.94	0.00	5.94	0.5	0.03
	ACCOUNT #: LSR010606	BUY 1 Units @0.0000						
04/01/2018	***-**-574I - DAVIS, MISCHA	AIM GLOBAL GROWTH FUND - CLASS A	0.00	7.19	0.00	7.19	0.5	0.04
	ACCOUNT #: 00777135769	BUY 0 Units @0.0000						
04/01/2018	***-**-819I - BOYKIN,	AIM GLOBAL GROWTH FUND - CLASS A	0.00	9.60	0.00	9.60	0.5	0.05
	ACCOUNT #: 00777138169	BUY 0 Units @0.0000						
04/01/2018	***-**-35IN - KERR, GAIL	AIM GLOBAL GROWTH FUND - CLASS A	0.00	15.86	0.00	15.86	0.5	0.08
	ACCOUNT #: 00777141178	BUY 0 Units @0.0000						
04/01/2018	***-**-35IN - KERR, GAIL	AIM MID-CAP EQUITY FUND CLASS A	0.00	19.95	0.00	19.95	0.5	0.10
	ACCOUNT #: 00777141178	BUY 0 Units @0.0000						
04/10/2018	***-**-35IN - KERR, GAIL	CONOCOPHILLIPS UNSOLICITED ORDER	12,307.20	181.00	0.00	181.00	0.5	0.91
	ACCOUNT #: LSR010562	BUY 200 Units @61.5360						
04/10/2018	***-**-407I - LEWIS, FBO	CONOCOPHILLIPS UNSOLICITED ORDER	9,288.75	132.00	0.00	132.00	0.5	0.66
	ACCOUNT #: LSR010564	BUY 150 Units @61.9250						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: TIMOTHY STATES (continued)								
04/10/2018	***-**-837I - LEWIS, FBO V ACCOUNT #: LSR010565	CONOCOPHILLIPS UNSOLICITED ORDER BUY 200 Units @61.9560	12,391.20	181.00	0.00	181.00	0.5	0.91
04/10/2018	***-**-826I - CLARK, FBO MS ACCOUNT #: LSR010588	CONOCOPHILLIPS UNSOLICITED ORDER BUY 150 Units @62.8850	9,432.75	132.00	0.00	132.00	0.5	0.66
04/10/2018	***-**-587I - KEARNEY, FBO MS ACCOUNT #: LSR010590	CONOCOPHILLIPS UNSOLICITED ORDER BUY 200 Units @61.4900	12,298.00	181.00	0.00	181.00	0.5	0.91
04/10/2018	***-**-35IN - ANTOINE, MS ACCOUNT #: LSR010597	CONOCOPHILLIPS UNSOLICITED ORDER BUY 150 Units @61.5050	9,225.75	132.00	0.00	132.00	0.5	0.66
04/10/2018	***-**-91IN - RICHARDS, RMR ACCOUNT #: LSR010600	CONOCOPHILLIPS UNSOLICITED ORDER BUY 150 Units @62.0000	9,300.00	132.00	0.00	132.00	0.5	0.66
04/10/2018	***-**-574I - DAVIS, MISCHA ACCOUNT #: LSR010630	CONOCOPHILLIPS UNSOLICITED ORDER BUY 250 Units @61.8750	15,468.75	205.00	0.00	205.00	0.5	1.03
04/10/2018	***-**-549I - WHITE, WILLIAM ACCOUNT #: LSR010690	CONOCOPHILLIPS UNSOLICITED ORDER BUY 150 Units @61.4600	9,219.00	132.00	0.00	132.00	0.5	0.66
04/10/2018	***-**-736J - HIGHSMITH SR, ACCOUNT #: LSR010785	CONOCOPHILLIPS UNSOLICITED ORDER BUY 150 Units @61.6050	9,240.75	132.00	0.00	132.00	0.5	0.66
04/16/2018	***-**-437I - SIGUE, JOCELYN ACCOUNT #: LSR011597	DAVIS APPRECIATION & INCOME-CLASS A BUY 1 Units @0.0000	0.00	3.23	0.00	3.23	0.5	0.02
04/16/2018	***-**-437I - SIGUE, JOCELYN ACCOUNT #: LSR011597	DAVIS NEW YORK VENTURE CLASS A BUY 1 Units @0.0000	0.00	14.12	0.00	14.12	0.5	0.07
04/16/2018	***-**-5420 - BROWN, MARY ACCOUNT #: LSR012530	EQUITY INCOME BUY 1 Units @0.0000	0.00	1.39	0.00	1.39	0.5	0.01
04/01/2018	***-**-35IN - KERR, GAIL ACCOUNT #: 00777141178	INVESCO SMALL CAP EQUITY FUND-CLASS BUY 0 Units @0.0000	0.00	10.79	0.00	10.79	0.5	0.05
04/01/2018	***-**-35IN - KERR, GAIL ACCOUNT #: 00777141178	INVESCO VAN KAMPEN COMSTOCK CLASS A BUY 0 Units @0.0000	0.00	52.22	0.00	52.22	0.5	0.26
04/16/2018	***-**-5420 - BROWN, MARY ACCOUNT #: LSR012530	INVESCO VAN KAMPEN COMSTOCK CLASS A BUY 1 Units @0.0000	0.00	2.25	0.00	2.25	0.5	0.01
04/01/2018	***-**-574I - DAVIS, MISCHA ACCOUNT #: 00777135769	INVESCO VAN KAMPEN VALUE OPP CLASS BUY 0 Units @0.0000	0.00	15.72	0.00	15.72	0.5	0.08
04/01/2018	***-**-067X - HIGHSMITH JR, ACCOUNT #: 00777137973	INVESCO VAN KAMPEN VALUE OPP CLASS BUY 0 Units @0.0000	0.00	10.96	0.00	10.96	0.5	0.05



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: TIMOTHY STATES (continued)</u> 								
04/01/2018	***-**-819I - BOYKIN, ACCOUNT #: 00777138169	INVESCO VAN KAMPEN VALUE OPP CLASS BUY 0 Units @0.0000	0.00	20.26	0.00	20.26	0.5	0.10
04/16/2018	***-**-44TR - LYNCH TTEE, ACCOUNT #: LSR010606	IVK GROWTH AND INCOME FUND - CLASS BUY 1 Units @0.0000	0.00	6.87	0.00	6.87	0.5	0.03
04/16/2018	***-**-820I - HIGHSMITH, ACCOUNT #: LSR010653	IVK GROWTH AND INCOME FUND - CLASS BUY 1 Units @0.0000	0.00	1.85	0.00	1.85	0.5	0.01
04/06/2018	***-**-233J - SCALES, DARYL ACCOUNT #: LSR011378	NEKTAR THERAPEUTICS BUY 100 Units @92.0870	9,208.70	118.00	0.00	118.00	0.5	0.59
04/10/2018	***-**-542O - BROWN, MARY ACCOUNT #: LSR012530	THE GROWTH FUND OF AMERICA-A BUY 184 Units @54.4000	10,000.03	482.00	0.00	482.00	0.5	2.41
04/16/2018	***-**-542O - BROWN, MARY ACCOUNT #: LSR012530	THORNBURG LTD TERM US GOVERNMENT CL BUY 1 Units @0.0000	0.00	1.05	0.00	1.05	0.5	0.01
04/10/2018	***-**-826I - CLARK, FBO MS ACCOUNT #: LSR010588	U S CONCRETE INC COM NEW BUY 200 Units @59.5720	11,914.40	131.00	0.00	131.00	0.5	0.66
04/10/2018	***-**-58IN - LUTZ, SAMUEL ACCOUNT #: LSR010594	U S CONCRETE INC COM NEW BUY 200 Units @59.3750	11,875.00	131.00	0.00	131.00	0.5	0.66
04/10/2018	***-**-74IN - DAVIS, MISCHA ACCOUNT #: LSR010627	U S CONCRETE INC COM NEW BUY 200 Units @59.2470	11,849.40	131.00	0.00	131.00	0.5	0.66
 * TIMOTHY STATES SUBTOTAL * 			 \$163,019.68 	 \$2,804.21 	 \$0.00 	 \$2,804.21 		 \$14.06
 <u>BROKER: JUAN LEWIS</u> 								
04/16/2018	***-**-720I - LAZARUS, JORGE ACCOUNT #: LSR010717	AMERICAN CENTURY DISCIPLND GROWTH C BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	0.5	0.01
04/16/2018	***-**-109I - CHASE, SHAWNA ACCOUNT #: LSR010851	CLEARBRIDGE AGGRESSIVE GROWTH A BUY 1 Units @0.0000	0.00	2.15	0.00	2.15	0.5	0.01
04/16/2018	***-**-109I - CHASE, SHAWNA ACCOUNT #: LSR010851	CLEARBRIDGE ALL CAP VALUE A BUY 1 Units @0.0000	0.00	2.37	0.00	2.37	0.5	0.01
04/16/2018	***-**-109I - CHASE, SHAWNA ACCOUNT #: LSR010851	CLEARBRIDGE GLBL GRW TRUST CL A BUY 1 Units @0.0000	0.00	1.62	0.00	1.62	0.5	0.01
 * JUAN LEWIS SUBTOTAL * 			 \$0.00 	 \$7.55 	 \$0.00 	 \$7.55 		 \$0.04



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: WILMA SHERIDAN</u> 								
04/16/2018	***-**-036I - NAGEL, CLIFFORD	FRANKLIN INCOME FUND CLASS A	0.00	20.84	0.00	20.84	0.5	0.10
	ACCOUNT #: LSR010937	BUY 1 Units @0.0000						
04/16/2018	***-**-887I - LAWSON, BONNIE	FRANKLIN INCOME FUND CLASS A	0.00	2.33	0.00	2.33	0.5	0.01
	ACCOUNT #: LSR010971	BUY 1 Units @0.0000						
04/16/2018	***-**-427I - BELLO, JUANITA	FRANKLIN INCOME FUND CLASS A	0.00	21.80	0.00	21.80	0.5	0.11
	ACCOUNT #: LSR010986	BUY 1 Units @0.0000						
04/16/2018	***-**-673I - BELLO, STANLEY	FRK TOTAL RETURN FND - CL A	0.00	1.16	0.00	1.16	0.5	0.01
	ACCOUNT #: LSR010984	BUY 1 Units @0.0000						
04/16/2018	***-**-673I - BELLO, STANLEY	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.48	0.00	2.48	0.5	0.01
	ACCOUNT #: LSR010984	BUY 1 Units @0.0000						
04/16/2018	***-**-887I - LAWSON, BONNIE	MUTUAL SERIES SHARES CLASS A	0.00	4.26	0.00	4.26	0.5	0.02
	ACCOUNT #: LSR010971	BUY 1 Units @0.0000						
04/16/2018	***-**-673I - BELLO, STANLEY	MUTUAL SERIES SHARES CLASS A	0.00	3.97	0.00	3.97	0.5	0.02
	ACCOUNT #: LSR010984	BUY 1 Units @0.0000						
04/16/2018	***-**-887I - LAWSON, BONNIE	TEMP FRGN FND - CL A	0.00	1.64	0.00	1.64	0.5	0.01
	ACCOUNT #: LSR010971	BUY 1 Units @0.0000						
04/16/2018	***-**-673I - BELLO, STANLEY	TEMP FRGN FND - CL A	0.00	3.06	0.00	3.06	0.5	0.02
	ACCOUNT #: LSR010984	BUY 1 Units @0.0000						
	* WILMA SHERIDAN SUBTOTAL *		\$0.00	\$61.54	\$0.00	\$61.54		\$0.31
 <u>BROKER: DAVID GRIFFITH</u> 								
04/02/2018	***-**-6762 - MISHLANIE,	37252M108	0.00	1.26	0.00	1.26	0.5	0.01
	ACCOUNT #: 00551362260	BUY 0 Units @0.0000						
04/09/2018	***-**-817I - WADSWORTH,	ALLIANCE BERNSTEIN LARGE-CAP GROWTH	0.00	1.98	0.00	1.98	0.5	0.01
	ACCOUNT #: 04715332428	BUY 0 Units @0.0000						
04/09/2018	***-**-817I - WADSWORTH,	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	2.46	0.00	2.46	0.5	0.01
	ACCOUNT #: 04715332428	BUY 0 Units @0.0000						
04/05/2018	***-**-953I - DINITTO, NICOLE	AMERICAN GLOBAL BALANCED CL C	175.00	1.75	0.00	1.75	0.5	0.01
	ACCOUNT #: 00088593891	BUY 5 Units @32.4200						
04/10/2018	***-**-034J - NIKODEM, JOSEPH	BP PLC SPONS ADR	4,372.23	60.45	0.00	60.45	0.5	0.30
	ACCOUNT #: LSR010887	BUY 102 Units @42.8650						
04/10/2018	***-**-034J - NIKODEM, JOSEPH	BP PLC SPONS ADR	8,749.56	30.91	0.00	30.91	0.5	0.15
	ACCOUNT #: LSR010887	SELL 204 Units @42.8900						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: DAVID GRIFFITH (continued)</u>								
03/31/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 03211844382	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	3.99	0.00	3.99	0.5	0.02
03/31/2018	***-**-1588 - FOLEY, JOHN ACCOUNT #: 03211940115	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	2.17	0.00	2.17	0.5	0.01
03/31/2018	***-**-231I - MISHLANIE JR, ACCOUNT #: 03212005587	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	2.42	0.00	2.42	0.5	0.01
03/31/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 03222207403	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	5.55	0.00	5.55	0.5	0.03
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03222207458	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	2.54	0.00	2.54	0.5	0.01
03/31/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 03222260687	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	11.61	0.00	11.61	0.5	0.06
03/31/2018	***-**-480I - SCOTELLARO, ACCOUNT #: 03020531751	CAPITAL INCOME FUND C BUY 0 Units @0.0000	0.00	8.22	0.00	8.22	0.5	0.04
04/05/2018	***-**-953I - DINITTO, NICOLE ACCOUNT #: 00088593891	CAPITAL WORLD GROWTH AND INCOME FUN BUY 3 Units @50.7600	175.00	1.75	0.00	1.75	0.5	0.01
04/10/2018	***-**-86IO - STRUMPFLER, MARK ACCOUNT #: LSR012376	CAPITAL WORLD GROWTH AND INCOME FUN BUY 391 Units @51.1600	19,999.98	200.00	0.00	200.00	0.5	1.00
04/10/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	COVANTA HLDG CORP COM BUY 200 Units @14.4500	2,890.00	30.99	0.00	30.99	0.5	0.15
04/16/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	DAVIS FINANCIAL CLASS C BUY 1 Units @0.0000	0.00	32.82	0.00	32.82	0.5	0.16
04/16/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	DAVIS OPPORTUNITY CLASS C BUY 1 Units @0.0000	0.00	49.86	0.00	49.86	0.5	0.25
04/10/2018	***-**-510I - PEREZ, STACEY ACCOUNT #: LSR011827	DENBURY RES INC DEL COM USD0.001 SELL 1500 Units @3.1400	4,710.00	42.49	0.00	42.49	0.5	0.21
04/16/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	EATON VANCE LARGE-CAP VALUE CL C BUY 1 Units @0.0000	0.00	21.21	0.00	21.21	0.5	0.11
03/31/2018	***-**-178I - DAVIS, MARILYN ACCOUNT #: 08352306436	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	1.62	0.00	1.62	0.5	0.01
03/31/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 08352350304	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	3.38	0.00	3.38	0.5	0.02



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: DAVID GRIFFITH (continued)</u>								
03/31/2018	***-**-400K - TEESDALE, ACCOUNT #: 08352478410	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	3.02	0.00	3.02	0.5	0.02
03/31/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 08353141534	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	3.11	0.00	3.11	0.5	0.02
03/31/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 08353154470	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	1.34	0.00	1.34	0.5	0.01
03/31/2018	***-**-1588 - FOLEY, JOHN ACCOUNT #: 08353253679	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	1.85	0.00	1.85	0.5	0.01
03/31/2018	***-**-718I - LOWE, GREGORY ACCOUNT #: 08353299516	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	1.07	0.00	1.07	0.5	0.01
03/31/2018	***-**-231I - MISHLANIE JR, ACCOUNT #: 08353299615	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	4.61	0.00	4.61	0.5	0.02
03/31/2018	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 08360515845	EQUITY INCOME FUND, INC. B BUY 0 Units @0.0000	0.00	1.62	0.00	1.62	0.5	0.01
03/31/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 08370389048	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	4.16	0.00	4.16	0.5	0.02
03/31/2018	***-**-480I - SCOTELLARO, ACCOUNT #: 08370428549	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	17.02	0.00	17.02	0.5	0.09
03/31/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 08370450769	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	1.53	0.00	1.53	0.5	0.01
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 08370450780	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	3.41	0.00	3.41	0.5	0.02
03/31/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 08370585871	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	18.54	0.00	18.54	0.5	0.09
03/31/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 08370720038	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	1.92	0.00	1.92	0.5	0.01
04/02/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @60.0700	100.00	1.00	0.00	1.00	0.5	0.01
04/10/2018	***-**-510I - PEREZ, STACEY ACCOUNT #: LSR011827	FUNDAMENTAL INVESTORS-C BUY 242 Units @61.9800	15,000.03	150.00	0.00	150.00	0.5	0.75
04/10/2018	***-**-86IO - STRUMPFLE, MARK ACCOUNT #: LSR012376	FUNDAMENTAL INVESTORS-C BUY 242 Units @61.9800	15,000.03	150.00	0.00	150.00	0.5	0.75



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: DAVID GRIFFITH (continued)</u> 								
03/31/2018	***-**-59IN - MORGAN, WILLIAM	GLOBAL FUND A	0.00	2.77	0.00	2.77	0.5	0.01
	ACCOUNT #: 03307729361	BUY 0 Units @0.0000						
03/31/2018	***-**-69IR - PERRITANO, SUSAN	GLOBAL FUND B	0.00	2.53	0.00	2.53	0.5	0.01
	ACCOUNT #: 03316686207	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	GLOBAL OPPORTUNITIES A	0.00	1.72	0.00	1.72	0.5	0.01
	ACCOUNT #: 02156650930	BUY 0 Units @0.0000						
03/31/2018	***-**-400K - TEESDALE,	GLOBAL OPPORTUNITIES A	0.00	1.35	0.00	1.35	0.5	0.01
	ACCOUNT #: 02156694050	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	GLOBAL OPPORTUNITIES A	0.00	1.78	0.00	1.78	0.5	0.01
	ACCOUNT #: 02157784128	BUY 0 Units @0.0000						
03/31/2018	***-**-5851 - GLEESON, BARBARA	GLOBAL OPPORTUNITIES A	0.00	3.89	0.00	3.89	0.5	0.02
	ACCOUNT #: 02157915479	BUY 0 Units @0.0000						
03/31/2018	***-**-231I - MISHLANIE JR,	GLOBAL OPPORTUNITIES A	0.00	1.49	0.00	1.49	0.5	0.01
	ACCOUNT #: 02158044630	BUY 0 Units @0.0000						
03/31/2018	***-**-69IR - PERRITANO, SUSAN	GLOBAL OPPORTUNITIES B	0.00	1.77	0.00	1.77	0.5	0.01
	ACCOUNT #: 02163282708	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - CADY, GAIL	GLOBAL OPPORTUNITIES FUND C	0.00	6.12	0.00	6.12	0.5	0.03
	ACCOUNT #: 02171604031	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	GLOBAL OPPORTUNITIES FUND C	0.00	2.46	0.00	2.46	0.5	0.01
	ACCOUNT #: 02171646348	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	GLOBAL OPPORTUNITIES FUND C	0.00	3.62	0.00	3.62	0.5	0.02
	ACCOUNT #: 02171646359	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	GLOBAL OPPORTUNITIES FUND C	0.00	18.91	0.00	18.91	0.5	0.09
	ACCOUNT #: 02171696112	BUY 0 Units @0.0000						
03/23/2018	***-**-59IN - MORGAN, WILLIAM	GWG PREFERRED STOCK	5,000.00	330.00	0.00	330.00	0.5	1.65
		BUY 5 Units @1000.0000						
03/31/2018	***-**-69IR - PERRITANO, SUSAN	INTERNATIONAL DIVERSIFIED FUND B	0.00	2.28	0.00	2.28	0.5	0.01
	ACCOUNT #: 01960538340	BUY 0 Units @0.0000						
04/10/2018	***-**-510I - PEREZ, STACEY	LOOMIS SAYLES STRATEGIC INC Y	12,127.04	1.99	0.00	1.99	0.5	0.01
	ACCOUNT #: LSR011827	SELL 835 Units @14.5300						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	MAIN STREET FUND A	0.00	1.48	0.00	1.48	0.5	0.01
	ACCOUNT #: 07006083663	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: DAVID GRIFFITH (continued)</u> 								
04/16/2018	***-**-05IR - HULL, JEFF	MANNING & NAPIER PRO NFS	0.00	4.48	0.00	4.48	0.5	0.02
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
04/11/2018	***-**-2010 - GAUTHIER, SHEET	MASS MUTUAL VA TRAILS	0.00	75.36	0.00	75.36	0.5	0.38
	ACCOUNT #: MM828693	BUY 1 Units @0.0000						
04/11/2018	***-**-2010 - GAUTHIER, SHEET	MASS MUTUAL VA TRAILS	0.00	4.45	0.00	4.45	0.5	0.02
	ACCOUNT #: MM828693	BUY 1 Units @0.0000						
04/11/2018	***-**-80IN - GRIFFITH, DAVID	MASS MUTUAL VA TRAILS	0.00	4.68	0.00	4.68	0.5	0.02
	ACCOUNT #: MM834388	BUY 1 Units @0.0000						
04/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS 55273E871	0.00	13.36	0.00	13.36	0.5	0.07
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
04/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS 55273E871	0.00	16.49	0.00	16.49	0.5	0.08
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
04/01/2018	***-**-73IN - MELLACE,	MFS 55273E871	0.00	1.34	0.00	1.34	0.5	0.01
	ACCOUNT #: 08191356365	BUY 0 Units @0.0000						
04/01/2018	***-**-29RI - THIBAUT,	MFS 55273G314	0.00	4.15	0.00	4.15	0.5	0.02
	ACCOUNT #: 08191346905	BUY 0 Units @0.0000						
04/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS 552988628	0.00	10.51	0.00	10.51	0.5	0.05
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
04/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS 552988628	0.00	7.51	0.00	7.51	0.5	0.04
	ACCOUNT #: 08191188649	BUY 0 Units @0.0000						
04/01/2018	***-**-541I - ORSINO, LISA	MFS 552988628	0.00	3.86	0.00	3.86	0.5	0.02
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
04/01/2018	***-**-801T - HAGAN III,	MFS 552988628	0.00	2.27	0.00	2.27	0.5	0.01
	ACCOUNT #: 08191353848	BUY 0 Units @0.0000						
04/01/2018	***-**-57UT - MISHLANIE CUST,	MFS BLENDED RESEARCH CORE EQUITY FD	0.00	3.27	0.00	3.27	0.5	0.02
	ACCOUNT #: 08190131537	BUY 0 Units @0.0000						
04/01/2018	***-**-93JT - WADSWORTH,	MFS DIVERSIFIED INCOME FD CL C	0.00	18.18	0.00	18.18	0.5	0.09
	ACCOUNT #: 08191339712	BUY 0 Units @0.0000						
04/01/2018	***-**-686I - STRUMPFLER, MARK	MFS EMERGING GROWTH FUND-B	0.00	2.79	0.00	2.79	0.5	0.01
	ACCOUNT #: 00060352385	BUY 0 Units @0.0000						
04/01/2018	***-**-541I - ORSINO, LISA	MFS EMERGING GROWTH FUND-B	0.00	1.74	0.00	1.74	0.5	0.01
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: DAVID GRIFFITH (continued)</u>								
04/01/2018	***-**-88IN - PICKARD, ELAINE	MFS GLOBAL ALTERNATIVE STRAT C	0.00	4.51	0.00	4.51	0.5	0.02
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
04/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS GLOBAL BOND FUND CLASS C	0.00	4.78	0.00	4.78	0.5	0.02
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
04/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS GLOBAL MULTI ASSET FUND CLASS B	0.00	2.41	0.00	2.41	0.5	0.01
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
04/01/2018	***-**-57UT - MISHLANIE CUST,	MFS GLOBAL MULTI ASSET FUND CLASS B	0.00	1.76	0.00	1.76	0.5	0.01
	ACCOUNT #: 08190131537	BUY 0 Units @0.0000						
04/01/2018	***-**-29RI - THIBAUT,	MFS GLOBAL REAL ESTATE FUND CL C	0.00	3.66	0.00	3.66	0.5	0.02
	ACCOUNT #: 08191346905	BUY 0 Units @0.0000						
04/01/2018	***-**-686I - STRUMPFLER, MARK	MFS GLOBAL TOTAL RETURN FUND-A	0.00	2.19	0.00	2.19	0.5	0.01
	ACCOUNT #: 00060352385	BUY 0 Units @0.0000						
04/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.13	0.00	2.13	0.5	0.01
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
04/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	4.83	0.00	4.83	0.5	0.02
	ACCOUNT #: 08191188649	BUY 0 Units @0.0000						
04/01/2018	***-**-25IR - SCOTELLARO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.29	0.00	1.29	0.5	0.01
	ACCOUNT #: 08191235544	BUY 0 Units @0.0000						
04/01/2018	***-**-957I - VELARDI, ANTHONY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.91	0.00	3.91	0.5	0.02
	ACCOUNT #: 08191316407	BUY 0 Units @0.0000						
04/01/2018	***-**-267I - HAMMILL, ELISE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.31	0.00	1.31	0.5	0.01
	ACCOUNT #: 08191335171	BUY 0 Units @0.0000						
04/01/2018	***-**-440I - HAMMILL, MATTHEW	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.32	0.00	1.32	0.5	0.01
	ACCOUNT #: 08191335450	BUY 0 Units @0.0000						
04/01/2018	***-**-541I - ORSINO, LISA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.53	0.00	3.53	0.5	0.02
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
04/01/2018	***-**-311I - MOYLAN, COLLEEN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.24	0.00	2.24	0.5	0.01
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						
04/01/2018	***-**-801T - HAGAN III,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.03	0.00	1.03	0.5	0.01
	ACCOUNT #: 08191353848	BUY 0 Units @0.0000						
04/01/2018	***-**-88IN - PICKARD, ELAINE	MFS GLOBAL TOTAL RETURN FUND-C	0.00	13.78	0.00	13.78	0.5	0.07
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: DAVID GRIFFITH (continued)</u>								
04/01/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 08191339712	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	19.50	0.00	19.50	0.5	0.10
04/01/2018	***-**-29RI - THIBAUT, ACCOUNT #: 08191346905	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	3.86	0.00	3.86	0.5	0.02
04/01/2018	***-**-80IT - HAGAN III, ACCOUNT #: 08191353848	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	11.14	0.00	11.14	0.5	0.06
04/01/2018	***-**-73IN - MELLACE, ACCOUNT #: 08191356365	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	2.53	0.00	2.53	0.5	0.01
04/01/2018	***-**-51RI - DIPERNA, SANDRA ACCOUNT #: 08189654779	MFS INFLATION ADJUSTED BOND CL C BUY 0 Units @0.0000	0.00	4.83	0.00	4.83	0.5	0.02
04/01/2018	***-**-57RI - DIPERNA, ROBERT ACCOUNT #: 08189654783	MFS INFLATION ADJUSTED BOND CL C BUY 0 Units @0.0000	0.00	11.96	0.00	11.96	0.5	0.06
04/01/2018	***-**-51RI - DIPERNA, SANDRA ACCOUNT #: 08189654779	MFS LIMITED MATURITY FUND-C BUY 0 Units @0.0000	0.00	4.89	0.00	4.89	0.5	0.02
04/01/2018	***-**-57RI - DIPERNA, ROBERT ACCOUNT #: 08189654783	MFS LIMITED MATURITY FUND-C BUY 0 Units @0.0000	0.00	12.09	0.00	12.09	0.5	0.06
04/01/2018	***-**-54II - ORSINO, LISA ACCOUNT #: 08191343489	MFS STRATEGIC INCOME FUND-B BUY 0 Units @0.0000	0.00	2.08	0.00	2.08	0.5	0.01
04/01/2018	***-**-57UT - MISHLANIE CUST, ACCOUNT #: 08190131537	MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000	0.00	4.14	0.00	4.14	0.5	0.02
04/01/2018	***-**-51RI - DIPERNA, SANDRA ACCOUNT #: 08189654779	MFS TRAILS 55273G710 BUY 0 Units @0.0000	0.00	30.66	0.00	30.66	0.5	0.15
04/01/2018	***-**-88IN - PICKARD, ELAINE ACCOUNT #: 08191321451	MFS TRAILS 552988610 BUY 0 Units @0.0000	0.00	10.32	0.00	10.32	0.5	0.05
04/01/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 08191339712	MFS TRAILS 552988610 BUY 0 Units @0.0000	0.00	21.39	0.00	21.39	0.5	0.11
04/01/2018	***-**-57UT - MISHLANIE CUST, ACCOUNT #: 08190131537	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	2.40	0.00	2.40	0.5	0.01
04/01/2018	***-**-51RI - DIPERNA, SANDRA ACCOUNT #: 08191188649	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	2.57	0.00	2.57	0.5	0.01
04/01/2018	***-**-244J - BURTON, RICHARD ACCOUNT #: 08191250134	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	2.13	0.00	2.13	0.5	0.01



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: DAVID GRIFFITH (continued)</u> 								
04/01/2018	***-**-541I - ORSINO, LISA	MFS UTILITIES FUND-B	0.00	1.61	0.00	1.61	0.5	0.01
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
04/10/2018	***-**-686I - STRUMPFLER, MARK	MFS UTILITIES FUND-B	75.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: 00060352385	BUY 4 Units @19.5900						
04/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS UTILITIES FUND-C	0.00	12.94	0.00	12.94	0.5	0.06
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
04/01/2018	***-**-88IN - PICKARD, ELAINE	MFS UTILITIES FUND-C	0.00	12.26	0.00	12.26	0.5	0.06
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
04/01/2018	***-**-93JT - WADSWORTH,	MFS UTILITIES FUND-C	0.00	17.17	0.00	17.17	0.5	0.09
	ACCOUNT #: 08191339712	BUY 0 Units @0.0000						
04/01/2018	***-**-29RI - THIBAUT,	MFS UTILITIES FUND-C	0.00	3.46	0.00	3.46	0.5	0.02
	ACCOUNT #: 08191346905	BUY 0 Units @0.0000						
04/01/2018	***-**-73IN - MELLACE,	MFS UTILITIES FUND-C	0.00	1.10	0.00	1.10	0.5	0.01
	ACCOUNT #: 08191356365	BUY 0 Units @0.0000						
04/16/2018	***-**-656I - SMOLA, STANLEY	MUTUAL SHRS FND - CL C	0.00	2.14	0.00	2.14	0.5	0.01
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
03/31/2018	***-**-4580 - GRIFFITH,	OPP DIVERSIFIED ALT FUND A	0.00	1.61	0.00	1.61	0.5	0.01
	ACCOUNT #: 00100011364	BUY 0 Units @0.0000						
03/31/2018	***-**-178I - DAVIS, MARILYN	OPP GLBL MULTI STRAT FND A	0.00	1.54	0.00	1.54	0.5	0.01
	ACCOUNT #: 08530002134	BUY 0 Units @0.0000						
03/31/2018	***-**-480I - SCOTELLARO,	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	3.53	0.00	3.53	0.5	0.02
	ACCOUNT #: 05520857714	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	14.49	0.00	14.49	0.5	0.07
	ACCOUNT #: 05520946924	BUY 0 Units @0.0000						
03/31/2018	***-**-497I - MARTIN, KATHLEEN	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	3.96	0.00	3.96	0.5	0.02
	ACCOUNT #: 05520998470	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	1.56	0.00	1.56	0.5	0.01
	ACCOUNT #: 07871984301	BUY 0 Units @0.0000						
03/31/2018	***-**-4580 - GRIFFITH,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.77	0.00	2.77	0.5	0.01
	ACCOUNT #: 07861977724	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER EMERG MKTS LOCAL DEBT F	0.00	1.53	0.00	1.53	0.5	0.01
	ACCOUNT #: 00100064439	BUY 0 Units @0.0000						



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 <u>BROKER: DAVID GRIFFITH (continued)</u> 								
03/31/2018	***-**-090I - RASPANTE, JOHN	OPPENHEIMER GBL MULTI STRATEGIES F	0.00	11.30	0.00	11.30	0.5	0.06
	ACCOUNT #: 00100012156	BUY 0 Units @0.0000						
03/31/2018	***-**-480I - SCOTELLARO,	OPPENHEIMER GBL MULTI STRATEGIES F	0.00	5.95	0.00	5.95	0.5	0.03
	ACCOUNT #: 00100012167	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - SCHRECK, RYAN	OPPENHEIMER GBL MULTI STRATEGIES F	0.00	3.52	0.00	3.52	0.5	0.02
	ACCOUNT #: 00100014653	BUY 0 Units @0.0000						
03/31/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER GBL REAL ESTATE FUND C	0.00	1.63	0.00	1.63	0.5	0.01
	ACCOUNT #: 00100018140	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - SCHRECK, RYAN	OPPENHEIMER GBL REAL ESTATE FUND C	0.00	4.49	0.00	4.49	0.5	0.02
	ACCOUNT #: 00100018393	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER GLOBAL CLASS C	0.00	1.78	0.00	1.78	0.5	0.01
	ACCOUNT #: 03322653871	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	0.00	1.16	0.00	1.16	0.5	0.01
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	OPPENHEIMER GLOBAL CLASS C	0.00	16.33	0.00	16.33	0.5	0.08
	ACCOUNT #: 03322722456	BUY 0 Units @0.0000						
03/31/2018	***-**-480I - SCOTELLARO,	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.21	0.00	1.21	0.5	0.01
	ACCOUNT #: 04120782331	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.67	0.00	3.67	0.5	0.02
	ACCOUNT #: 04120841819	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.72	0.00	1.72	0.5	0.01
	ACCOUNT #: 04120907192	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.49	0.00	1.49	0.5	0.01
	ACCOUNT #: 04120907203	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	3.22	0.00	3.22	0.5	0.02
	ACCOUNT #: 01953266648	BUY 0 Units @0.0000						
03/31/2018	***-**-1588 - FOLEY, JOHN	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	1.53	0.00	1.53	0.5	0.01
	ACCOUNT #: 01953346959	BUY 0 Units @0.0000						
03/31/2018	***-**-231I - MISHLANIE JR,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	1.79	0.00	1.79	0.5	0.01
	ACCOUNT #: 01953382632	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	6.64	0.00	6.64	0.5	0.03
	ACCOUNT #: 01970799227	BUY 0 Units @0.0000						



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 <u>BROKER: DAVID GRIFFITH (continued)</u> 								
03/31/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 01970849112	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	2.44	0.00	2.44	0.5	0.01
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 01970849123	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	4.83	0.00	4.83	0.5	0.02
03/31/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 01970928730	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	15.17	0.00	15.17	0.5	0.08
03/31/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 01971001154	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	2.22	0.00	2.22	0.5	0.01
03/31/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: 01971002232	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	5.88	0.00	5.88	0.5	0.03
03/31/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 08170386485	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	3.78	0.00	3.78	0.5	0.02
03/31/2018	***-**-178I - DAVIS, MARILYN ACCOUNT #: 08477115867	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	1.86	0.00	1.86	0.5	0.01
03/31/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 08477517323	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	1.35	0.00	1.35	0.5	0.01
03/31/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02270806520	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	2.91	0.00	2.91	0.5	0.01
03/31/2018	***-**-480I - SCOTELLARO, ACCOUNT #: 02270869044	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	7.64	0.00	7.64	0.5	0.04
03/31/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 02270899404	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	2.81	0.00	2.81	0.5	0.01
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02270899503	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	4.70	0.00	4.70	0.5	0.02
03/31/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 02271018369	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	17.63	0.00	17.63	0.5	0.09
03/31/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: 02271130536	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	5.37	0.00	5.37	0.5	0.03
03/31/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 02913583470	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	0.5	0.01
03/31/2018	***-**-985I - MCAUSLAN, ACCOUNT #: 02913853707	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	4.08	0.00	4.08	0.5	0.02



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: DAVID GRIFFITH (continued)</u> 								
03/31/2018	***-**-69IR - PERRITANO, SUSAN	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	1.88	0.00	1.88	0.5	0.01
	ACCOUNT #: 02920643588	BUY 0 Units @0.0000						
03/31/2018	***-**-178I - DAVIS, MARILYN	OPPENHEIMER SENIOR FLOATING RATE PL	0.00	1.04	0.00	1.04	0.5	0.01
	ACCOUNT #: 00100033958	BUY 0 Units @0.0000						
03/31/2018	***-**-609J - CADY, PATRICK	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	2.01	0.00	2.01	0.5	0.01
	ACCOUNT #: 02514647841	BUY 0 Units @0.0000						
03/31/2018	***-**-5851 - GLEESON, BARBARA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	2.71	0.00	2.71	0.5	0.01
	ACCOUNT #: 02514983528	BUY 0 Units @0.0000						
03/31/2018	***-**-497I - MARTIN, KATHLEEN	PORT SERIES: CONS INV C	0.00	3.67	0.00	3.67	0.5	0.02
	ACCOUNT #: 05420240427	BUY 0 Units @0.0000						
04/02/2018	***-**-6762 - MISHLANIE,	PUTNAM 1	0.00	3.50	0.00	3.50	0.5	0.02
	ACCOUNT #: 00551362260	BUY 0 Units @0.0000						
04/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM 1	0.00	3.26	0.00	3.26	0.5	0.02
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM 1	0.00	1.96	0.00	1.96	0.5	0.01
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
04/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM 1	0.00	1.20	0.00	1.20	0.5	0.01
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
04/02/2018	***-**-924J - FISH, ROY	PUTNAM 1	0.00	1.35	0.00	1.35	0.5	0.01
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
04/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM ASSET ALLOC BALANCED-C	0.00	12.97	0.00	12.97	0.5	0.06
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
04/02/2018	***-**-924J - FISH, ROY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.11	0.00	1.11	0.5	0.01
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
04/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM CONV INCOME-GROWTH-B	0.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
04/02/2018	***-**-372I - BURTON, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	2.85	0.00	2.85	0.5	0.01
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
04/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	4.28	0.00	4.28	0.5	0.02
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM EQUITY INCOME FUND-B	0.00	2.34	0.00	2.34	0.5	0.01
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: DAVID GRIFFITH (continued)</u>								
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM EQUITY SPECTRUM FD CL B	0.00	1.22	0.00	1.22	0.5	0.01
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
04/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM EUROPE EQUITY CLASS C	0.00	4.05	0.00	4.05	0.5	0.02
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM EUROPE EQUITY FUND-B	0.00	1.26	0.00	1.26	0.5	0.01
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
04/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM EUROPE EQUITY FUND-B	0.00	1.49	0.00	1.49	0.5	0.01
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
04/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM GLOBAL NATURAL RESOURCE C	0.00	3.05	0.00	3.05	0.5	0.02
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM INTL CAPITAL OPPS-B	0.00	1.82	0.00	1.82	0.5	0.01
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
04/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM MF TRAILS 74677R206	0.00	1.90	0.00	1.90	0.5	0.01
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
04/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM MF TRAILS 74677R206	0.00	1.52	0.00	1.52	0.5	0.01
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM MID-CAP VALUE FUND-A	0.00	2.27	0.00	2.27	0.5	0.01
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM SMALL CAP GROWTH-B	0.00	1.28	0.00	1.28	0.5	0.01
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
04/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM UTILITIES GR & INC-B	0.00	1.17	0.00	1.17	0.5	0.01
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM UTILITIES GR & INC-B	0.00	1.35	0.00	1.35	0.5	0.01
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM UTILITIES GR & INC-B	0.00	4.80	0.00	4.80	0.5	0.02
	ACCOUNT #: 00551338349	BUY 0 Units @0.0000						
04/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM UTILITIES GR & INC-B	0.00	1.33	0.00	1.33	0.5	0.01
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
04/02/2018	***-**-924J - FISH, ROY	PUTNAM UTILITIES GR & INC-B	0.00	1.23	0.00	1.23	0.5	0.01
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
03/31/2018	***-**-178I - DAVIS, MARILYN	QUEST BALANCED A	0.00	2.37	0.00	2.37	0.5	0.01
	ACCOUNT #: 02577442831	BUY 0 Units @0.0000						



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 <u>BROKER: DAVID GRIFFITH (continued)</u>								
03/31/2018	***-**-231I - MISHLANIE JR, ACCOUNT #: 02577784744	QUEST BALANCED A BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	0.5	0.01
03/31/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02592245914	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	5.87	0.00	5.87	0.5	0.03
03/31/2018	***-**-480I - SCOTELLARO, ACCOUNT #: 02592262469	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	24.24	0.00	24.24	0.5	0.12
03/31/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 02592315709	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	3.70	0.00	3.70	0.5	0.02
03/31/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 02592394447	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	3.78	0.00	3.78	0.5	0.02
03/31/2018	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 02550537977	QUEST INTERNATIONAL VALUE B BUY 0 Units @0.0000	0.00	1.62	0.00	1.62	0.5	0.01
03/31/2018	***-**-400K - TEESDALE, ACCOUNT #: 02541113409	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	0.5	0.01
03/31/2018	***-**-231I - MISHLANIE JR, ACCOUNT #: 02541186680	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	1.62	0.00	1.62	0.5	0.01
03/31/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02560282953	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	4.09	0.00	4.09	0.5	0.02
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02560289795	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	2.33	0.00	2.33	0.5	0.01
03/31/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 02381154945	QUEST OPPORTUNITY VALUE FUND C BUY 0 Units @0.0000	0.00	6.06	0.00	6.06	0.5	0.03
03/31/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 05900979550	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	2.71	0.00	2.71	0.5	0.01
03/31/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 05901205897	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	1.97	0.00	1.97	0.5	0.01
03/31/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 05901212926	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	1.68	0.00	1.68	0.5	0.01
03/31/2018	***-**-231I - MISHLANIE JR, ACCOUNT #: 05901291268	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	1.83	0.00	1.83	0.5	0.01
03/31/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 05920265584	REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	3.45	0.00	3.45	0.5	0.02



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 <u>BROKER: DAVID GRIFFITH (continued)</u> 								
03/31/2018	***-**-480I - SCOTELLARO,	REAL ESTATE FUND C	0.00	6.20	0.00	6.20	0.5	0.03
	ACCOUNT #: 05920279081	BUY 0 Units @0.0000						
03/31/2018	***-**-29IN - THIBAUT,	REAL ESTATE FUND C	0.00	15.71	0.00	15.71	0.5	0.08
	ACCOUNT #: 05920285846	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND C	0.00	1.24	0.00	1.24	0.5	0.01
	ACCOUNT #: 05920286880	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	0.00	1.97	0.00	1.97	0.5	0.01
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	REAL ESTATE FUND C	0.00	8.36	0.00	8.36	0.5	0.04
	ACCOUNT #: 05920332673	BUY 0 Units @0.0000						
03/31/2018	***-**-4580 - GRIFFITH,	RISING DIVIDENDS FUND A	0.00	5.26	0.00	5.26	0.5	0.03
	ACCOUNT #: 02252428624	BUY 0 Units @0.0000						
03/31/2018	***-**-25IN - PERRITANO,	RISING DIVIDENDS FUND A	0.00	2.01	0.00	2.01	0.5	0.01
	ACCOUNT #: 02252885421	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	RISING DIVIDENDS FUND A	0.00	3.99	0.00	3.99	0.5	0.02
	ACCOUNT #: 02253970175	BUY 0 Units @0.0000						
03/31/2018	***-**-400K - TEESDALE,	RISING DIVIDENDS FUND A	0.00	1.13	0.00	1.13	0.5	0.01
	ACCOUNT #: 02254058263	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	RISING DIVIDENDS FUND A	0.00	2.25	0.00	2.25	0.5	0.01
	ACCOUNT #: 02254589255	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	RISING DIVIDENDS FUND A	0.00	3.51	0.00	3.51	0.5	0.02
	ACCOUNT #: 02254603511	BUY 0 Units @0.0000						
03/31/2018	***-**-5851 - GLEESON, BARBARA	RISING DIVIDENDS FUND A	0.00	3.18	0.00	3.18	0.5	0.02
	ACCOUNT #: 02254680148	BUY 0 Units @0.0000						
03/31/2018	***-**-1588 - FOLEY, JOHN	RISING DIVIDENDS FUND A	0.00	1.96	0.00	1.96	0.5	0.01
	ACCOUNT #: 02254704744	BUY 0 Units @0.0000						
03/31/2018	***-**-794I - INGERSOLL, JOAN	RISING DIVIDENDS FUND A	0.00	1.33	0.00	1.33	0.5	0.01
	ACCOUNT #: 02254716448	BUY 0 Units @0.0000						
03/31/2018	***-**-718I - LOWE, GREGORY	RISING DIVIDENDS FUND A	0.00	1.39	0.00	1.39	0.5	0.01
	ACCOUNT #: 02254747468	BUY 0 Units @0.0000						
03/31/2018	***-**-231I - MISHLANIE JR,	RISING DIVIDENDS FUND A	0.00	13.79	0.00	13.79	0.5	0.07
	ACCOUNT #: 02254747534	BUY 0 Units @0.0000						



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 <u>BROKER: DAVID GRIFFITH (continued)</u>								
03/31/2018	***-**-609J - CADY, PATRICK	RISING DIVIDENDS FUND A	0.00	3.04	0.00	3.04	0.5	0.02
	ACCOUNT #: 02254799212	BUY 0 Units @0.0000						
03/31/2018	***-**-69IR - PERRITANO, SUSAN	RISING DIVIDENDS FUND, INC. B	0.00	2.17	0.00	2.17	0.5	0.01
	ACCOUNT #: 02261787654	BUY 0 Units @0.0000						
04/10/2018	***-**-034J - NIKODEM, JOSEPH	ROYAL DUTCH SHELL ADR EA REP 2 CL A	6,822.00	110.41	0.00	110.41	0.5	0.55
	ACCOUNT #: LSR010887	SELL 100 Units @68.2200						
04/10/2018	***-**-034J - NIKODEM, JOSEPH	ROYAL DUTCH SHELL ADR EA REP 2 CL A	3,752.10	68.98	0.00	68.98	0.5	0.34
	ACCOUNT #: LSR010887	SELL 55 Units @68.2200						
03/31/2018	***-**-91IN - RICHARDSON,	SELECT VALUE C	0.00	5.05	0.00	5.05	0.5	0.03
	ACCOUNT #: 06020193534	BUY 0 Units @0.0000						
03/31/2018	***-**-480I - SCOTELLARO,	SENIOR FLOATING RATE FUND C	0.00	1.28	0.00	1.28	0.5	0.01
	ACCOUNT #: 02931730520	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	SENIOR FLOATING RATE FUND C	0.00	1.34	0.00	1.34	0.5	0.01
	ACCOUNT #: 02931758372	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	SENIOR FLOATING RATE FUND C	0.00	2.38	0.00	2.38	0.5	0.01
	ACCOUNT #: 02932007225	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - CADY, GAIL	SENIOR FLOATING RATE FUND-CL C	0.00	3.56	0.00	3.56	0.5	0.02
	ACCOUNT #: 00100027853	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - CADY, GAIL	SMALL- & MID- CAP VALUE FUND C	0.00	4.38	0.00	4.38	0.5	0.02
	ACCOUNT #: 02531131966	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	SMALL- & MID- CAP VALUE FUND C	0.00	6.94	0.00	6.94	0.5	0.03
	ACCOUNT #: 02531164691	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	SMALL- & MID- CAP VALUE FUND C	0.00	1.65	0.00	1.65	0.5	0.01
	ACCOUNT #: 02531164735	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	SMALL- & MID- CAP VALUE FUND C	0.00	3.13	0.00	3.13	0.5	0.02
	ACCOUNT #: 02531206898	BUY 0 Units @0.0000						
04/12/2018	***-**-580I - GRIFFITH, DAVID	STEIN MART INC COM	3,700.00	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: LSF000295	BUY 2000 Units @1.8500						
03/31/2018	***-**-480I - SCOTELLARO,	STRATEGIC INCOME FUND C	0.00	7.44	0.00	7.44	0.5	0.04
	ACCOUNT #: 02322654102	BUY 0 Units @0.0000						
03/31/2018	***-**-7473 - SCOTELLARO,	STRATEGIC INCOME FUND C	0.00	1.78	0.00	1.78	0.5	0.01
	ACCOUNT #: 02322945965	BUY 0 Units @0.0000						



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 <u>BROKER: DAVID GRIFFITH (continued)</u> 								
04/16/2018	***-**-423I - SAVICKI, RICHARD	TEMPLETON EMERGING MARKETS BALANCED	0.00	8.58	0.00	8.58	0.5	0.04
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
04/16/2018	***-**-425I - PERRITANO,	TEMPLETON EMERGING MARKETS BALANCED	0.00	13.24	0.00	13.24	0.5	0.07
	ACCOUNT #: LSR010922	BUY 1 Units @0.0000						
04/16/2018	***-**-319I - HILLEBRAND, JOAN	TEMPLETON EMERGING MARKETS BALANCED	0.00	9.46	0.00	9.46	0.5	0.05
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
04/16/2018	***-**-973I - CHAMBERS, ROGER	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	5.99	0.00	5.99	0.5	0.03
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
04/16/2018	***-**-05IN - HULL, JEFFERY	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	4.39	0.00	4.39	0.5	0.02
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
04/04/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	300.00	6.00	0.00	6.00	0.5	0.03
	ACCOUNT #: 00087147439	BUY 13 Units @23.3300						
04/04/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	98.08	1.96	0.00	1.96	0.5	0.01
	ACCOUNT #: 00087147439	BUY 4 Units @23.3300						
03/31/2018	***-**-58IN - CADY, GAIL	U.S. GOVERNMENT TRUST C	0.00	1.89	0.00	1.89	0.5	0.01
	ACCOUNT #: 02220682638	BUY 0 Units @0.0000						
04/10/2018	***-**-753I - SABANOSH, ALAN	VALE S.A. SPONS ADR REPR 1 COM NPV	2,610.00	30.99	0.00	30.99	0.5	0.15
	ACCOUNT #: LSR010909	SELL 200 Units @13.0500						
04/12/2018	***-**-24TR - SCOTELLARO, L	VERIZON COMMUNICATIONS UNSOLICITED	5,422.98	80.21	0.00	80.21	0.5	0.40
	ACCOUNT #: LSR010973	SELL 114 Units @47.5700						
 * DAVID GRIFFITH SUBTOTAL * 			\$111,079.03	\$2,488.21	\$0.00	\$2,488.21		\$12.58
 <u>BROKER: KENT MCNARY</u> 								
04/16/2018	***-**-644I - BERKOWITZ, LINDA	JPMORGAN DIVERSIFIED CLASS C	0.00	12.23	0.00	12.23	0.5	0.06
	ACCOUNT #: LSR011327	BUY 1 Units @0.0000						
04/16/2018	***-**-644I - BERKOWITZ, LINDA	JPMORGAN DIVERSIFIED CLASS C	0.00	4.08	0.00	4.08	0.5	0.02
	ACCOUNT #: LSR011327	BUY 1 Units @0.0000						
04/13/2018	***-**-78CL - MCNARY, CLIENTS	PRINCIPAL VA TRAILS	0.00	206.15	0.00	206.15	0.5	1.03
	ACCOUNT #: 713687	BUY 1 Units @0.0000						
 * KENT MCNARY SUBTOTAL * 			\$0.00	\$222.46	\$0.00	\$222.46		\$1.11



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: PAUL AGLIATA</u>								
04/16/2018	***-**-64IO - RUIZ, HENRY	FRANKLIN INCOME FUND CLASS A	0.00	3.13	0.00	3.13	0.5	0.02
	ACCOUNT #: LSR011230	BUY 1 Units @0.0000						
04/16/2018	***-**-232X - STEVENS, NSPS	FRANKLIN INCOME FUND CLASS A	0.00	6.21	0.00	6.21	0.5	0.03
	ACCOUNT #: LSR011243	BUY 1 Units @0.0000						
04/16/2018	***-**-802X - SWAIN, TRACEY	FRANKLIN INCOME FUND CLASS A	0.00	6.24	0.00	6.24	0.5	0.03
	ACCOUNT #: LSR011245	BUY 1 Units @0.0000						
04/16/2018	***-**-02IN - SWAIN, TRACEY	FRANKLIN INCOME FUND CLASS A	0.00	2.30	0.00	2.30	0.5	0.01
	ACCOUNT #: LSR011246	BUY 1 Units @0.0000						
04/16/2018	***-**-397I - KRAMER, MARK	FRANKLIN INCOME FUND CLASS A	0.00	5.56	0.00	5.56	0.5	0.03
	ACCOUNT #: LSR011273	BUY 1 Units @0.0000						
04/16/2018	***-**-632J - STEVENS, KEVIN	FRANKLIN INCOME FUND CLASS A	0.00	2.30	0.00	2.30	0.5	0.01
	ACCOUNT #: LSR011316	BUY 1 Units @0.0000						
04/16/2018	***-**-835I - BONNET, JUDITH	FRANKLIN INCOME FUND CLASS C	0.00	9.01	0.00	9.01	0.5	0.05
	ACCOUNT #: LSR011251	BUY 1 Units @0.0000						
04/16/2018	***-**-64IO - RUIZ, HENRY	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	5.76	0.00	5.76	0.5	0.03
	ACCOUNT #: LSR011230	BUY 1 Units @0.0000						
04/16/2018	***-**-232X - STEVENS, NSPS	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	10.09	0.00	10.09	0.5	0.05
	ACCOUNT #: LSR011243	BUY 1 Units @0.0000						
04/16/2018	***-**-802X - SWAIN, TRACEY	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	10.11	0.00	10.11	0.5	0.05
	ACCOUNT #: LSR011245	BUY 1 Units @0.0000						
04/16/2018	***-**-02IN - SWAIN, TRACEY	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	4.51	0.00	4.51	0.5	0.02
	ACCOUNT #: LSR011246	BUY 1 Units @0.0000						
04/16/2018	***-**-835I - BONNET, JUDITH	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	2.23	0.00	2.23	0.5	0.01
	ACCOUNT #: LSR011251	BUY 1 Units @0.0000						
04/16/2018	***-**-97IN - KRAMER, MARK	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	24.36	0.00	24.36	0.5	0.12
	ACCOUNT #: LSR011272	BUY 1 Units @0.0000						
04/16/2018	***-**-397I - KRAMER, MARK	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	10.85	0.00	10.85	0.5	0.05
	ACCOUNT #: LSR011273	BUY 1 Units @0.0000						
04/16/2018	***-**-238X - WRIGHT, DEBORAH	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	8.93	0.00	8.93	0.5	0.04
	ACCOUNT #: LSR011278	BUY 1 Units @0.0000						
04/16/2018	***-**-32IR - STEVENS, KEVIN	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	1.95	0.00	1.95	0.5	0.01
	ACCOUNT #: LSR011312	BUY 1 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: PAUL AGLIATA (continued)</u>								
04/16/2018	***-**-632J - STEVENS, KEVIN ACCOUNT #: LSR011316	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	4.51	0.00	4.51	0.5	0.02
04/16/2018	***-**-234X - SCHOMP, NSPS ACCOUNT #: LSR011341	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	7.41	0.00	7.41	0.5	0.04
04/16/2018	***-**-32IR - STEVENS, ACCOUNT #: LSR011487	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	1.85	0.00	1.85	0.5	0.01
04/16/2018	***-**-853I - MCGILL, YVONNE ACCOUNT #: LSR011719	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	1.16	0.00	1.16	0.5	0.01
04/16/2018	***-**-853O - MCGILL, TOD ACCOUNT #: LSR011720	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	8.74	0.00	8.74	0.5	0.04
04/16/2018	***-**-835I - BONNET, JUDITH ACCOUNT #: LSR011251	FRK RISING DIV FND - CL C BUY 1 Units @0.0000	0.00	3.78	0.00	3.78	0.5	0.02
04/16/2018	***-**-853O - MCGILL, TOD ACCOUNT #: LSR011720	IVY SCIENCE AND TECHNOLOGY FUND CLA BUY 1 Units @0.0000	0.00	19.56	0.00	19.56	0.5	0.10
04/16/2018	***-**-238X - WRIGHT, DEBORAH ACCOUNT #: LSR011278	IVY SMALL CAP VALUE CLASS A BUY 1 Units @0.0000	0.00	26.16	0.00	26.16	0.5	0.13
04/16/2018	***-**-632J - STEVENS, KEVIN ACCOUNT #: LSR011316	IVY SMALL CAP VALUE CLASS A BUY 1 Units @0.0000	0.00	29.55	0.00	29.55	0.5	0.15
04/16/2018	***-**-234X - SCHOMP, NSPS ACCOUNT #: LSR011341	IVY SMALL CAP VALUE CLASS A BUY 1 Units @0.0000	0.00	39.43	0.00	39.43	0.5	0.20
04/16/2018	***-**-54IN - LEON, LUZ ACCOUNT #: LSR011710	IVY SMALL CAP VALUE CLASS A BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	0.5	0.01
04/16/2018	***-**-168O - LEON TOD, LUZ ACCOUNT #: LSR011711	IVY SMALL CAP VALUE CLASS A BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	0.5	0.01
04/16/2018	***-**-853I - MCGILL, YVONNE ACCOUNT #: LSR011719	IVY SMALL CAP VALUE CLASS A BUY 1 Units @0.0000	0.00	3.28	0.00	3.28	0.5	0.02
04/16/2018	***-**-853O - MCGILL, TOD ACCOUNT #: LSR011720	IVY SMALL CAP VALUE CLASS A BUY 1 Units @0.0000	0.00	25.66	0.00	25.66	0.5	0.13
04/16/2018	***-**-164I - RUIZ, HENRY ACCOUNT #: LSR011867	IVY SMALL CAP VALUE CLASS A BUY 1 Units @0.0000	0.00	4.81	0.00	4.81	0.5	0.02
04/16/2018	***-**-64IO - RUIZ, HENRY ACCOUNT #: LSR011230	MUTUAL GLOBAL DISCOVERY FUND - CLAS BUY 1 Units @0.0000	0.00	5.14	0.00	5.14	0.5	0.03



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: PAUL AGLIATA (continued)</u>								
04/16/2018	***-**-232X - STEVENS, NSPS ACCOUNT #: LSR011243	MUTUAL GLOBAL DISCOVERY FUND - CLAS BUY 1 Units @0.0000	0.00	9.74	0.00	9.74	0.5	0.05
04/16/2018	***-**-397I - KRAMER, MARK ACCOUNT #: LSR011273	MUTUAL GLOBAL DISCOVERY FUND - CLAS BUY 1 Units @0.0000	0.00	9.47	0.00	9.47	0.5	0.05
04/16/2018	***-**-64IO - RUIZ, HENRY ACCOUNT #: LSR011230	MUTUAL SERIES SHARES CLASS A BUY 1 Units @0.0000	0.00	5.21	0.00	5.21	0.5	0.03
04/16/2018	***-**-232X - STEVENS, NSPS ACCOUNT #: LSR011243	MUTUAL SERIES SHARES CLASS A BUY 1 Units @0.0000	0.00	9.91	0.00	9.91	0.5	0.05
04/16/2018	***-**-802X - SWAIN, TRACEY ACCOUNT #: LSR011245	MUTUAL SERIES SHARES CLASS A BUY 1 Units @0.0000	0.00	9.96	0.00	9.96	0.5	0.05
04/16/2018	***-**-02IN - SWAIN, TRACEY ACCOUNT #: LSR011246	MUTUAL SERIES SHARES CLASS A BUY 1 Units @0.0000	0.00	3.93	0.00	3.93	0.5	0.02
04/16/2018	***-**-802X - SWAIN, TRACEY ACCOUNT #: LSR011245	NUVEEN SMALL CAP GROWTH OPPORT CL A BUY 1 Units @0.0000	0.00	7.94	0.00	7.94	0.5	0.04
04/16/2018	***-**-853O - MCGILL, TOD ACCOUNT #: LSR011720	NUVEEN SMALL CAP GROWTH OPPORT CL A BUY 1 Units @0.0000	0.00	9.08	0.00	9.08	0.5	0.05
04/16/2018	***-**-397I - KRAMER, MARK ACCOUNT #: LSR011273	TEMP GLOBAL BOND FND - CL A BUY 1 Units @0.0000	0.00	8.71	0.00	8.71	0.5	0.04
04/16/2018	***-**-97IN - KRAMER, MARK ACCOUNT #: LSR011272	TEMPLETON GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	9.96	0.00	9.96	0.5	0.05
04/16/2018	***-**-400I - SASKOWITZ, ACCOUNT #: LSR011353	TEMPLETON GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	3.46	0.00	3.46	0.5	0.02
04/16/2018	***-**-489I - SASKOWITZ, MARY ACCOUNT #: LSR011357	TEMPLETON GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	0.5	0.01
04/16/2018	***-**-853O - MCGILL, TOD ACCOUNT #: LSR011720	VIRTUS VONTOBEL GLOBAL OPPS CL A BUY 1 Units @0.0000	0.00	7.72	0.00	7.72	0.5	0.04
* PAUL AGLIATA SUBTOTAL *			\$0.00	\$394.64	\$0.00	\$394.64		\$2.00



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: WILLIAM FRANCIS</u>								
04/09/2018	***-**-0485 - WHALEN, STEPHEN	ALLIANCE BERNSTEIN LARGE-CAP GROWTH	0.00	4.72	0.00	4.72	0.5	0.02
	ACCOUNT #: 04752066331	BUY 0 Units @0.0000						
04/09/2018	***-**-751R - BORYK, CHRISTINA	ALLIANCEBERNSTEIN EMERG MKT DEBT A	0.00	36.85	0.00	36.85	0.5	0.18
	ACCOUNT #: 04892912375	BUY 0 Units @0.0000						
04/09/2018	***-**-1389 - CUSSICK, STACI	ALLIANCEBERNSTEIN EMERG MKT DEBT A	0.00	37.86	0.00	37.86	0.5	0.19
	ACCOUNT #: 04892917193	BUY 0 Units @0.0000						
04/09/2018	***-**-751R - BORYK, CHRISTINA	ALLIANCEBERNSTEIN GLO GOVT INC TRST	0.00	47.86	0.00	47.86	0.5	0.24
	ACCOUNT #: 04892912375	BUY 0 Units @0.0000						
04/09/2018	***-**-0485 - WHALEN, STEPHEN	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	7.48	0.00	7.48	0.5	0.04
	ACCOUNT #: 04752066331	BUY 0 Units @0.0000						
04/09/2018	***-**-751R - BORYK, CHRISTINA	ALLIANCEBERNSTEIN UTILITY INCOME A	0.00	43.18	0.00	43.18	0.5	0.22
	ACCOUNT #: 04892912375	BUY 0 Units @0.0000						
04/09/2018	***-**-1389 - CUSSICK, STACI	ALLIANCEBERNSTEIN UTILITY INCOME A	0.00	6.29	0.00	6.29	0.5	0.03
	ACCOUNT #: 04892917193	BUY 0 Units @0.0000						
04/12/2018	***-**-2471 - COLUCCI, ATHENA	AMERICAN CORPORATE BOND FUND A	1,609.00	14.18	0.00	14.18	0.5	0.07
	ACCOUNT #: LSR012592	BUY 155 Units @10.3600						
04/03/2018	***-**-3672 - KAN, HEATHER	AMERICAN FUNDS 2040 TARGET DATE-A	75.00	3.19	0.00	3.19	0.5	0.02
	ACCOUNT #: 04000740312	BUY 5 Units @15.9400						
04/03/2018	***-**-3672 - KAN, HEATHER	AMERICAN FUNDS 2040 TARGET DATE-A	75.00	3.19	0.00	3.19	0.5	0.02
	ACCOUNT #: 04000740312	BUY 5 Units @15.9400						
04/03/2018	***-**-3672 - KAN, HEATHER	AMERICAN FUNDS 2040 TARGET DATE-A	75.00	3.19	0.00	3.19	0.5	0.02
	ACCOUNT #: 04000740312	BUY 5 Units @15.9400						
04/03/2018	***-**-3672 - KAN, HEATHER	AMERICAN FUNDS 2040 TARGET DATE-A	75.00	3.19	0.00	3.19	0.5	0.02
	ACCOUNT #: 04000740312	BUY 5 Units @15.9400						
04/16/2018	***-**-162K - LANGTON,	CALVERT 131582454	0.00	3.05	0.00	3.05	0.5	0.02
	ACCOUNT #: LSR012318	BUY 1 Units @0.0000						
04/16/2018	***-**-162K - LANGTON,	CALVERT INTRNTL RESPBL INDEX A-NFS	0.00	8.80	0.00	8.80	0.5	0.04
	ACCOUNT #: LSR012318	BUY 1 Units @0.0000						
04/16/2018	***-**-162K - LANGTON,	CALVERT LONG-TERM INCOME FUND	0.00	6.00	0.00	6.00	0.5	0.03
	ACCOUNT #: LSR012318	BUY 1 Units @0.0000						
04/16/2018	***-**-162K - LANGTON,	CALVERT MODERATE ALLOCATION FUND-A	0.00	3.20	0.00	3.20	0.5	0.02
	ACCOUNT #: LSR012318	BUY 1 Units @0.0000						



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 <u>BROKER: WILLIAM FRANCIS (continued)</u>								
04/16/2018	***-**-162K - LANGTON, ACCOUNT #: LSR012318	CALVERT SMALL CAP VALUE FUND BUY 1 Units @0.0000	0.00	6.05	0.00	6.05	0.5	0.03
04/16/2018	***-**-162K - LANGTON, ACCOUNT #: LSR012318	CALVERT SOCIAL INDEX A BUY 1 Units @0.0000	0.00	6.01	0.00	6.01	0.5	0.03
04/16/2018	***-**-162K - LANGTON, ACCOUNT #: LSR012318	CALVERT SOCIAL INVESTMENT FD EQUITY BUY 1 Units @0.0000	0.00	15.25	0.00	15.25	0.5	0.08
04/16/2018	***-**-162K - LANGTON, ACCOUNT #: LSR012318	CALVERT SOCIAL INVESTMENT FUND BOND BUY 1 Units @0.0000	0.00	15.30	0.00	15.30	0.5	0.08
03/31/2018	***-**-7131 - PHILLIPS, DAVID ACCOUNT #: 03008846068	CAPITAL INCOME A BUY 0 Units @0.0000	0.00	24.36	0.00	24.36	0.5	0.12
03/31/2018	***-**-3569 - ANDERSON, ACCOUNT #: 03008855924	CAPITAL INCOME A BUY 0 Units @0.0000	0.00	1.27	0.00	1.27	0.5	0.01
04/03/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @53.4400	24.92	1.06	0.00	1.06	0.5	0.01
04/03/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @53.4400	132.92	5.65	0.00	5.65	0.5	0.03
04/03/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @53.4400	132.92	5.65	0.00	5.65	0.5	0.03
04/03/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @53.4400	24.92	1.06	0.00	1.06	0.5	0.01
03/31/2018	***-**-3987 - LINGE, MARY ACCOUNT #: 08351856019	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	5.93	0.00	5.93	0.5	0.03
04/03/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	EUROPACIFIC GROWTH FUND-A BUY 1 Units @59.6100	44.31	1.88	0.00	1.88	0.5	0.01
04/03/2018	***-**-6878 - KACUR, JUSTIN ACCOUNT #: 00088824619	EUROPACIFIC GROWTH FUND-A BUY 1 Units @59.6100	44.31	1.88	0.00	1.88	0.5	0.01
03/20/2018	***-**-0485 - WHALEN, STEPHEN ACCOUNT #: 06090486215	FEDERATED 31421R841 BUY 2 Units @20.2200	50.00	2.50	0.00	2.50	0.5	0.01
03/31/2018	***-**-5922 - HOTAILING, ACCOUNT #: 04206469364	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	1.26	0.00	1.26	0.5	0.01
04/05/2018	***-**-5917 - MAOLINARO, E ACCOUNT #: 00055567683	MAINSTAY 56062F327 BUY 0 Units @0.0000	0.00	14.94	0.00	14.94	0.5	0.07



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: WILLIAM FRANCIS (continued)</u>								
04/05/2018	***-**-58UT - BABBONI, MAXWELL	MAINSTAY 56063U604	0.00	6.17	0.00	6.17	0.5	0.03
	ACCOUNT #: 00055883190	BUY 0 Units @0.0000						
04/05/2018	***-**-0240 - CHAUVIN, LAURA	MAINSTAY 56063U703	0.00	5.78	0.00	5.78	0.5	0.03
	ACCOUNT #: 00055749831	BUY 0 Units @0.0000						
03/26/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY CONSERVATIV ALLOCATION CL	865.58	17.31	0.00	17.31	0.5	0.09
	ACCOUNT #: 00011265210	BUY 70 Units @12.4200						
03/26/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY CONSERVATIV ALLOCATION CL	138.12	2.76	0.00	2.76	0.5	0.01
	ACCOUNT #: 00011265210	BUY 11 Units @12.4200						
04/05/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY CONSERVATIV ALLOCATION CL	0.00	99.95	0.00	99.95	0.5	0.50
	ACCOUNT #: 00011265210	BUY 0 Units @0.0000						
04/05/2018	***-**-5917 - MAOLINARO, E	MAINSTAY EPOCH US EQUITY YIELD CLAS	0.00	13.93	0.00	13.93	0.5	0.07
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
04/05/2018	***-**-0780 - CADMAN, ELONA	MAINSTAY EPOCH US EQUITY YIELD INV	0.00	3.35	0.00	3.35	0.5	0.02
	ACCOUNT #: 00011296257	BUY 0 Units @0.0000						
04/05/2018	***-**-5917 - MAOLINARO, E	MAINSTAY EPOCH US EQUITY YIELD INV	0.00	1.08	0.00	1.08	0.5	0.01
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
04/05/2018	***-**-0780 - CADMAN, ELONA	MAINSTAY HIGH-YIELD CORPORATE BOND	0.00	20.29	0.00	20.29	0.5	0.10
	ACCOUNT #: 00011296257	BUY 0 Units @0.0000						
04/05/2018	***-**-5917 - MAOLINARO, E	MAINSTAY MAP INVESTOR CLASS	0.00	4.13	0.00	4.13	0.5	0.02
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
04/05/2018	***-**-5161 - FARKAS,	MAINSTAY MOD GROWTH ALLOC INVESTOR	0.00	1.48	0.00	1.48	0.5	0.01
	ACCOUNT #: 00055513668	BUY 0 Units @0.0000						
04/05/2018	***-**-6593 - FARKAS, JOSEPH	MAINSTAY MOD GROWTH ALLOC INVESTOR	0.00	1.55	0.00	1.55	0.5	0.01
	ACCOUNT #: 00055513669	BUY 0 Units @0.0000						
04/05/2018	***-**-4618 - BROWN, ZACHARY	MAINSTAY MOD GROWTH ALLOC INVESTOR	0.00	6.20	0.00	6.20	0.5	0.03
	ACCOUNT #: 00055720031	BUY 0 Units @0.0000						
03/26/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY MODERATE ALLOCATION CL A	466.08	9.32	0.00	9.32	0.5	0.05
	ACCOUNT #: 00011265210	BUY 33 Units @13.9200						
03/26/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY MODERATE ALLOCATION CL A	74.38	1.49	0.00	1.49	0.5	0.01
	ACCOUNT #: 00011265210	BUY 5 Units @13.9200						
04/05/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY MODERATE ALLOCATION CL A	0.00	58.60	0.00	58.60	0.5	0.29
	ACCOUNT #: 00011265210	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: WILLIAM FRANCIS (continued)</u> 								
04/05/2018	***-**-1983 - FARKAS, KAYLEE	MAINSTAY MODERATE ALLOCATION FUND C	0.00	16.99	0.00	16.99	0.5	0.08
	ACCOUNT #: 00055734681	BUY 0 Units @0.0000						
04/05/2018	***-**-3569 - ANDERSON,	MAINSTAY MODERATE GROWTH ALLOC FND	0.00	48.22	0.00	48.22	0.5	0.24
	ACCOUNT #: 00011265211	BUY 0 Units @0.0000						
04/16/2018	***-**-4618 - BROWN, ZACHARY	MAINSTAY MUTUAL FUND	0.00	4.75	0.00	4.75	0.5	0.02
	ACCOUNT #: 55720031	BUY 0 Units @0.0000						
04/16/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY MUTUAL FUND	1,544.16	30.88	0.00	30.88	0.5	0.15
	ACCOUNT #: 00011265210	BUY 0 Units @0.0000						
04/05/2018	***-**-0780 - CADMAN, ELONA	MAINSTAY TOTAL RETURN FUND A	0.00	10.89	0.00	10.89	0.5	0.05
	ACCOUNT #: 00011296257	BUY 0 Units @0.0000						
04/11/2018	***-**-9587 - FILTER COMPANY,	MASS MUTUAL VA TRAILS	0.00	1,480.94	0.00	1,480.94	0.5	7.40
	ACCOUNT #: MM836356	BUY 1 Units @0.0000						
03/31/2018	***-**-3987 - LINGE, MARY	OPPENHEIMER CORP. BOND FUND A	0.00	2.37	0.00	2.37	0.5	0.01
	ACCOUNT #: 00100031714	BUY 0 Units @0.0000						
03/31/2018	***-**-7131 - PHILLIPS, DAVID	OPPENHEIMER GLOBAL HIGH YIELD CL A	0.00	10.46	0.00	10.46	0.5	0.05
	ACCOUNT #: 00100011111	BUY 0 Units @0.0000						
03/31/2018	***-**-3987 - LINGE, MARY	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	3.10	0.00	3.10	0.5	0.02
	ACCOUNT #: 01952249841	BUY 0 Units @0.0000						
03/31/2018	***-**-7748 - MCCANNA, GLORIA	OPPENHEIMER ROCHEST AMT-FREE NY MUN	0.00	7.67	0.00	7.67	0.5	0.04
	ACCOUNT #: 03620059224	BUY 0 Units @0.0000						
03/31/2018	***-**-5680 - MOLINARO,	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	2.61	0.00	2.61	0.5	0.01
	ACCOUNT #: 02911903132	BUY 0 Units @0.0000						
03/31/2018	***-**-3569 - ANDERSON,	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	10.90	0.00	10.90	0.5	0.05
	ACCOUNT #: 02913088899	BUY 0 Units @0.0000						
04/02/2018	***-**-9351 - AGUIAR, JOSEPH	PUTNAM ABSOLUTE RETURN 700-A	0.00	16.47	0.00	16.47	0.5	0.08
	ACCOUNT #: 00551352400	BUY 0 Units @0.0000						
04/02/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM AMERICAN GOVERNMENT INCOME F	0.00	1.69	0.00	1.69	0.5	0.01
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						
04/02/2018	***-**-5922 - HOTAILING,	PUTNAM CAP. OPPORTUNITIES-A	0.00	11.09	0.00	11.09	0.5	0.06
	ACCOUNT #: 00186955359	BUY 0 Units @0.0000						
04/02/2018	***-**-1507 - WHALEN, BONNIE	PUTNAM DIVERSIFIED INCOME FUND CLAS	0.00	3.46	0.00	3.46	0.5	0.02
	ACCOUNT #: 00551390576	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: WILLIAM FRANCIS (continued)</u>								
04/02/2018	***-**-5922 - HOTALING, ACCOUNT #: 00186955359	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	34.30	0.00	34.30	0.5	0.17
04/02/2018	***-**-8786 - RUBIN, SCOTT ACCOUNT #: 00551359332	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	202.33	0.00	202.33	0.5	1.01
04/02/2018	***-**-1507 - WHALEN, BONNIE ACCOUNT #: 00551390576	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	3.42	0.00	3.42	0.5	0.02
04/02/2018	***-**-5922 - HOTALING, ACCOUNT #: 00186955359	PUTNAM HIGH YIELD ADVANTAGE-A BUY 0 Units @0.0000	0.00	28.63	0.00	28.63	0.5	0.14
04/02/2018	***-**-1507 - WHALEN, BONNIE ACCOUNT #: 00551390576	PUTNAM HIGH YIELD ADVANTAGE-A BUY 0 Units @0.0000	0.00	2.19	0.00	2.19	0.5	0.01
04/02/2018	***-**-5922 - HOTALING, ACCOUNT #: 00186955359	PUTNAM INTERNATIONAL EQUITY-A BUY 0 Units @0.0000	0.00	12.81	0.00	12.81	0.5	0.06
04/02/2018	***-**-1507 - WHALEN, BONNIE ACCOUNT #: 00551390576	PUTNAM INTL GROWTH & INC-A BUY 0 Units @0.0000	0.00	2.18	0.00	2.18	0.5	0.01
04/02/2018	***-**-5922 - HOTALING, ACCOUNT #: 00186955359	PUTNAM MID-CAP VALUE FUND-A BUY 0 Units @0.0000	0.00	12.11	0.00	12.11	0.5	0.06
04/02/2018	***-**-1507 - WHALEN, BONNIE ACCOUNT #: 00551390576	PUTNAM MID-CAP VALUE FUND-A BUY 0 Units @0.0000	0.00	3.24	0.00	3.24	0.5	0.02
04/02/2018	***-**-8786 - RUBIN, SCOTT ACCOUNT #: 00551359332	PUTNAM SMALL CAP GROWTH FUND CLASS BUY 0 Units @0.0000	0.00	188.26	0.00	188.26	0.5	0.94
03/31/2018	***-**-7274 - VALENTINO, ACCOUNT #: 02253862573	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	3.50	0.00	3.50	0.5	0.02
03/31/2018	***-**-8637 - BRUSIE, DOROTHY ACCOUNT #: 03551239700	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	16.49	0.00	16.49	0.5	0.08
03/31/2018	***-**-2538 - GOLDMAN, DANIEL ACCOUNT #: 03551329053	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	3.90	0.00	3.90	0.5	0.02
03/31/2018	***-**-5680 - MOLINARO, ACCOUNT #: 03570606353	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	4.71	0.00	4.71	0.5	0.02
03/31/2018	***-**-751R - BORYK, CHRISTINA ACCOUNT #: 03570643478	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	5.76	0.00	5.76	0.5	0.03
03/31/2018	***-**-8637 - BRUSIE, DOROTHY ACCOUNT #: 03653246980	ROCHESTER FUND MUNICIPALS A BUY 0 Units @0.0000	0.00	31.83	0.00	31.83	0.5	0.16



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Override Transactions (continued)								
<u>BROKER: WILLIAM FRANCIS (continued)</u>								
03/31/2018	***-**-0780 - CADMAN, ELONA	ROCHESTER FUND MUNICIPALS A	0.00	2.15	0.00	2.15	0.5	0.01
	ACCOUNT #: 03653291596	BUY 0 Units @0.0000						
03/31/2018	***-**-2538 - GOLDMAN, DANIEL	ROCHESTER FUND MUNICIPALS A	0.00	9.83	0.00	9.83	0.5	0.05
	ACCOUNT #: 03653390475	BUY 0 Units @0.0000						
03/31/2018	***-**-5680 - MOLINARO,	ROCHESTER FUND MUNICIPALS C	0.00	7.23	0.00	7.23	0.5	0.04
	ACCOUNT #: 03670696509	BUY 0 Units @0.0000						
03/31/2018	***-**-7748 - MCCANNA, GLORIA	ROCHESTER FUND MUNICIPALS C	0.00	7.33	0.00	7.33	0.5	0.04
	ACCOUNT #: 03670698060	BUY 0 Units @0.0000						
03/31/2018	***-**-751R - BORYK, CHRISTINA	ROCHESTER FUND MUNICIPALS C	0.00	6.62	0.00	6.62	0.5	0.03
	ACCOUNT #: 03670728728	BUY 0 Units @0.0000						
03/31/2018	***-**-7131 - PHILLIPS, DAVID	SENIOR FLOATING RATE FUND C	0.00	71.36	0.00	71.36	0.5	0.36
	ACCOUNT #: 02932073918	BUY 0 Units @0.0000						
03/31/2018	***-**-7131 - PHILLIPS, DAVID	SENIOR FLOATING RATE FUND-CL C	0.00	47.67	0.00	47.67	0.5	0.24
	ACCOUNT #: 00100011210	BUY 0 Units @0.0000						
04/03/2018	***-**-6878 - KACUR, JUSTIN	THE GROWTH FUND OF AMERICA-A	59.08	2.51	0.00	2.51	0.5	0.01
	ACCOUNT #: 00088824619	BUY 1 Units @53.0300						
04/03/2018	***-**-6878 - KACUR, JUSTIN	THE GROWTH FUND OF AMERICA-A	59.08	2.51	0.00	2.51	0.5	0.01
	ACCOUNT #: 00088824619	BUY 1 Units @53.0300						
04/12/2018	***-**-2471 - COLUCCI, ATHENA	THE GROWTH FUND OF AMERICA-A	1,610.02	14.20	0.00	14.20	0.5	0.07
	ACCOUNT #: LSR012592	BUY 30 Units @52.8500						
04/03/2018	***-**-6878 - KACUR, JUSTIN	THE INCOME FUND OF AMERICA-A	29.54	1.26	0.00	1.26	0.5	0.01
	ACCOUNT #: 00088824619	BUY 1 Units @23.8200						
04/03/2018	***-**-6878 - KACUR, JUSTIN	THE INCOME FUND OF AMERICA-A	29.54	1.26	0.00	1.26	0.5	0.01
	ACCOUNT #: 00088824619	BUY 1 Units @23.8200						
04/12/2018	***-**-2471 - COLUCCI, ATHENA	THE INCOME FUND OF AMERICA-A	966.00	1.32	0.00	1.32	0.5	0.01
	ACCOUNT #: LSR012592	BUY 41 Units @23.5500						
04/12/2018	***-**-2471 - COLUCCI, ATHENA	WASHINGTON MUTUAL INVESTORS FUND-A	1,930.98	20.62	0.00	20.62	0.5	0.10
	ACCOUNT #: LSR012592	BUY 41 Units @46.5600						
* WILLIAM FRANCIS SUBTOTAL *			\$10,135.86	\$3,009.69	\$0.00	\$3,009.69		\$15.08



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: LOUIS HORWIN</u>								
04/09/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALLIANZGI CONV & INCOME FD II COM BUY 400 Units @6.0590	2,423.60	24.79	0.00	24.79	0.5	0.12
04/09/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @6.0600	606.00	6.20	0.00	6.20	0.5	0.03
04/09/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @6.0600	606.00	6.20	0.00	6.20	0.5	0.03
04/09/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @6.0600	606.00	6.20	0.00	6.20	0.5	0.03
04/09/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @6.0600	606.00	6.20	0.00	6.20	0.5	0.03
04/09/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @6.0600	606.00	6.20	0.00	6.20	0.5	0.03
04/09/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @6.0600	606.00	6.20	0.00	6.20	0.5	0.03
04/09/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALLIANZGI CONV & INCOME FD II COM BUY 100 Units @6.0600	606.00	6.20	0.00	6.20	0.5	0.03
04/09/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALLIANZGI CONV & INCOME FD II COM BUY 2200 Units @6.0600	13,332.00	136.33	0.00	136.33	0.5	0.68
04/09/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	ALLIANZGI CONV & INCOME FD II COM BUY 1480 Units @6.0600	8,968.80	91.71	0.00	91.71	0.5	0.46
04/09/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	PIMCO INCOME OPPORTUNITY FND SELL 560 Units @27.0380	15,141.28	198.80	0.00	198.80	0.5	0.99
04/09/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	WESTERN ASSET MTG DEF OPPTY FD COM SELL 200 Units @25.6250	5,125.00	56.76	0.00	56.76	0.5	0.28
04/09/2018	***-**-03IO - STANTON, KAREN ACCOUNT #: LSR011517	WESTERN ASSET MTG DEF OPPTY FD COM SELL 394 Units @25.6030	10,087.58	141.36	0.00	141.36	0.5	0.71
* LOUIS HORWIN SUBTOTAL *			\$59,320.26	\$693.15	\$0.00	\$693.15		\$3.45



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: DEVIN BORN</u>								
04/01/2018	***-**-0047 - ENTZMINGER, JO	AIM HIGH YIELD FUND - CLASS A	0.00	14.93	0.00	14.93	0.5	0.07
	ACCOUNT #: 03810913768	BUY 0 Units @0.0000						
04/16/2018	***-**-26IN - NYBERG-PENNELL,	AIM HIGH YIELD FUND - CLASS A	0.00	2.58	0.00	2.58	0.5	0.01
	ACCOUNT #: LSR011843	BUY 1 Units @0.0000						
04/16/2018	***-**-087J - BORN, LAUREN	BOND A	0.00	14.52	0.00	14.52	0.5	0.07
	ACCOUNT #: LSM000172	BUY 1 Units @0.0000						
04/16/2018	***-**-14IN - WHITE, DEBORAH	BOND A	0.00	20.58	0.00	20.58	0.5	0.10
	ACCOUNT #: LSR012479	BUY 1 Units @0.0000						
04/16/2018	***-**-05IR - BORN, SHAWN	CALVERT SOCIAL INVESTMENT FD EQUITY	0.00	2.30	0.00	2.30	0.5	0.01
	ACCOUNT #: LSM000165	BUY 1 Units @0.0000						
04/16/2018	***-**-05IR - BORN, SHAWN	DAVIS OPPORTUNITY CLASS A	0.00	4.93	0.00	4.93	0.5	0.02
	ACCOUNT #: LSM000165	BUY 1 Units @0.0000						
04/16/2018	***-**-26IN - NYBERG-PENNELL,	EATON VANCE HIGH INCOME FUND CLASS	0.00	1.62	0.00	1.62	0.5	0.01
	ACCOUNT #: LSR011843	BUY 1 Units @0.0000						
04/16/2018	***-**-87IR - BORN, LAUREN	EQUITY INCOME	0.00	1.53	0.00	1.53	0.5	0.01
	ACCOUNT #: LSM000173	BUY 1 Units @0.0000						
04/02/2018	***-**-1668 - BONNER, STEPHEN	FA 529 PORT 2019-OLD CL A	50.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 00700557085	BUY 2 Units @20.9100						
04/02/2018	***-**-68IN - ESHBACH, ERIC	FA 529 PORT 2022-CL A	100.00	5.00	0.00	5.00	0.5	0.03
	ACCOUNT #: 00701661217	BUY 4 Units @28.0500						
04/02/2018	***-**-35IR - SPERRATORE, ROSE	FA 529 PORT 2022-CL A	50.00	1.88	0.00	1.88	0.5	0.01
	ACCOUNT #: 00689597003	BUY 2 Units @27.6900						
04/02/2018	***-**-35IR - SPERRATORE, ROSE	FA 529 PORT 2028-CL A	50.00	1.88	0.00	1.88	0.5	0.01
	ACCOUNT #: 00625390331	BUY 2 Units @28.4900						
04/02/2018	***-**-482J - SCHWEMMER, JOHN	FIDELITY ADV HIGH INCOME ADVANTAGE	200.00	7.50	0.00	7.50	0.5	0.04
	ACCOUNT #: 00700258619	BUY 17 Units @11.5200						
04/02/2018	***-**-35IR - SPERRATORE, ROSE	FIDELITY ADV MF 040813	50.00	1.88	0.00	1.88	0.5	0.01
	ACCOUNT #: 01464625126	BUY 2 Units @20.5400						
04/16/2018	***-**-087J - BORN, LAUREN	FINANCIAL INDUSTRIES A	0.00	1.67	0.00	1.67	0.5	0.01
	ACCOUNT #: LSM000172	BUY 1 Units @0.0000						
04/16/2018	***-**-087J - BORN, LAUREN	GREATER CHINA OPP A	0.00	2.21	0.00	2.21	0.5	0.01
	ACCOUNT #: LSM000172	BUY 1 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: DEVIN BORN (continued)</u>								
04/03/2018	***-**-529J - KILLIAN, FRANCES	HARTFORD SM/MID CAP EQ & PORT MANAG	0.00	2.29	0.00	2.29	0.5	0.01
	ACCOUNT #: 00000772646	BUY 0 Units @0.0000						
04/16/2018	***-**-57IN - NAUGLE, DENNIS	HIGH YIELD A	0.00	11.03	0.00	11.03	0.5	0.06
	ACCOUNT #: LSM000136	BUY 1 Units @0.0000						
04/16/2018	***-**-068I - SHOLLENBERGER,	HIGH YIELD A	0.00	16.57	0.00	16.57	0.5	0.08
	ACCOUNT #: LSM000143	BUY 1 Units @0.0000						
04/16/2018	***-**-28IO - KAUFFMAN,	HIGH YIELD A	0.00	20.14	0.00	20.14	0.5	0.10
	ACCOUNT #: LSM000146	BUY 1 Units @0.0000						
04/16/2018	***-**-86IN - PATTON, JULIE	HIGH YIELD A	0.00	15.35	0.00	15.35	0.5	0.08
	ACCOUNT #: LSM000147	BUY 1 Units @0.0000						
04/16/2018	***-**-4593 - TOWER, GERTRUDE	HIGH YIELD A	0.00	7.74	0.00	7.74	0.5	0.04
	ACCOUNT #: LSM000148	BUY 1 Units @0.0000						
04/16/2018	***-**-393I - HIMMELBERGER,	HIGH YIELD A	0.00	19.28	0.00	19.28	0.5	0.10
	ACCOUNT #: LSM000154	BUY 1 Units @0.0000						
04/16/2018	***-**-715I - HIMMELBERGER,	HIGH YIELD A	0.00	12.15	0.00	12.15	0.5	0.06
	ACCOUNT #: LSM000155	BUY 1 Units @0.0000						
04/16/2018	***-**-55IO - HARTMAN, RICHARD	HIGH YIELD A	0.00	12.39	0.00	12.39	0.5	0.06
	ACCOUNT #: LSM000169	BUY 1 Units @0.0000						
04/16/2018	***-**-529J - KILLIAN, FRANCES	HIGH YIELD A	0.00	7.31	0.00	7.31	0.5	0.04
	ACCOUNT #: LSM000171	BUY 1 Units @0.0000						
04/16/2018	***-**-087J - BORN, LAUREN	HIGH YIELD A	0.00	17.68	0.00	17.68	0.5	0.09
	ACCOUNT #: LSM000172	BUY 1 Units @0.0000						
04/16/2018	***-**-25IO - SMITH, CAROL	HIGH YIELD A	0.00	8.74	0.00	8.74	0.5	0.04
	ACCOUNT #: LSM000178	BUY 1 Units @0.0000						
04/16/2018	***-**-915I - FIDLER, JOYCE	HIGH YIELD A	0.00	8.42	0.00	8.42	0.5	0.04
	ACCOUNT #: LSM000191	BUY 1 Units @0.0000						
04/16/2018	***-**-596I - EDRIS, TERRY	HIGH YIELD A	0.00	15.84	0.00	15.84	0.5	0.08
	ACCOUNT #: LSR011700	BUY 1 Units @0.0000						
04/16/2018	***-**-014I - WHITE, DEBORAH	HIGH YIELD A	0.00	20.75	0.00	20.75	0.5	0.10
	ACCOUNT #: LSR012480	BUY 1 Units @0.0000						
04/07/2018	***-**-929O - BRYNIARSKI,	ING VA 380789883	0.00	11.54	0.00	11.54	0.5	0.06
	ACCOUNT #: C161480-0X	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: DEVIN BORN (continued)</u>								
04/01/2018	***-**-0047 - ENTZMINGER, JO	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	22.91	0.00	22.91	0.5	0.11
	ACCOUNT #: 03810913768	BUY 0 Units @0.0000						
04/01/2018	***-**-0047 - ENTZMINGER, JO	INVESCO CORE PLUS BOND FUND CL A	0.00	14.01	0.00	14.01	0.5	0.07
	ACCOUNT #: 03810913768	BUY 0 Units @0.0000						
04/16/2018	***-**-36IO - CEGANICK,	INVESCO VAN KAMPEN VALUE OPP CLASS	0.00	3.86	0.00	3.86	0.5	0.02
	ACCOUNT #: LSM000176	BUY 1 Units @0.0000						
04/11/2018	***-**-14IN - WHITE, DEBORAH	ISHARES TR DOW JONES US MEDICAL DEV	18,440.90	37.00	0.00	37.00	0.5	0.19
	ACCOUNT #: LSR012479	BUY 100 Units @184.4090						
04/16/2018	***-**-05IR - BORN, SHAWN	IVY HIGH INCOME CL A	0.00	9.71	0.00	9.71	0.5	0.05
	ACCOUNT #: LSM000165	BUY 1 Units @0.0000						
04/16/2018	***-**-56IO - TOWER, PAUL	IVY HIGH INCOME CL B	0.00	8.46	0.00	8.46	0.5	0.04
	ACCOUNT #: LSM000144	BUY 1 Units @0.0000						
04/11/2018	***-**-5773 - SEGNERE, HELEN	JOHN HANCOCK 529 TRAILS	0.00	8.58	0.00	8.58	0.5	0.04
		BUY 0 Units @0.0000						
04/11/2018	***-**-2332 - BACHMAN, TORI	JOHN HANCOCK 529 TRAILS	0.00	9.54	0.00	9.54	0.5	0.05
	ACCOUNT #: 207182029	BUY 0 Units @0.0000						
04/11/2018	***-**-4180 - KOCH, TRACIE	JOHN HANCOCK 529 TRAILS	0.00	13.58	0.00	13.58	0.5	0.07
	ACCOUNT #: 52879442	BUY 0 Units @0.0000						
04/16/2018	***-**-514J - GEHRINGER,	JOHN HANCOCK ALTER ASSET ALLOC FUND	0.00	2.09	0.00	2.09	0.5	0.01
	ACCOUNT #: LSR011750	BUY 1 Units @0.0000						
04/16/2018	***-**-487I - BERSTLER, DIANA	JOHN HANCOCK BLUE CHIP GROWTH CL A	0.00	7.17	0.00	7.17	0.5	0.04
	ACCOUNT #: LSR012374	BUY 1 Units @0.0000						
04/16/2018	***-**-38IO - SCHWEMMER,	JOHN HANCOCK BOND FUND CLASS B	0.00	6.55	0.00	6.55	0.5	0.03
	ACCOUNT #: LSR011612	BUY 1 Units @0.0000						
04/16/2018	***-**-33IO - GARGIULO, PAUL	JOHN HANCOCK BOND FUND CLASS B	0.00	10.56	0.00	10.56	0.5	0.05
	ACCOUNT #: LSR011694	BUY 1 Units @0.0000						
04/16/2018	***-**-35IO - CAMERON, NANCY	JOHN HANCOCK BOND FUND CLASS B	0.00	7.00	0.00	7.00	0.5	0.04
	ACCOUNT #: LSR011782	BUY 1 Units @0.0000						
04/16/2018	***-**-710J - MOYER, EVELYN	JOHN HANCOCK BOND FUND CLASS B	0.00	10.15	0.00	10.15	0.5	0.05
	ACCOUNT #: LSR011892	BUY 1 Units @0.0000						
04/16/2018	***-**-40IO - BERSTLER, DAVID	JOHN HANCOCK CLASSIC VALUE FUND CLA	0.00	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: LSR011823	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: DEVIN BORN (continued)</u> 								
04/06/2018	***-**-0738 - WESSNER, TODD	JOHN HANCOCK DISCIPLINED VALUE A	143.35	4.09	0.00	4.09	0.5	0.02
	ACCOUNT #: 00002492630	BUY 6 Units @22.7400						
04/06/2018	***-**-0738 - WESSNER, TODD	JOHN HANCOCK DISCIPLINED VALUE A	43.01	1.23	0.00	1.23	0.5	0.01
	ACCOUNT #: 00002492630	BUY 2 Units @22.7400						
04/16/2018	***-**-0110 - RATH, ROBERT	JOHN HANCOCK LIFESTYLE AGGR PORTFOL	0.00	11.17	0.00	11.17	0.5	0.06
	ACCOUNT #: LSM000189	BUY 1 Units @0.0000						
04/16/2018	***-**-101N - YAKAITIS, JOSEPH	JOHN HANCOCK NEW OPPORTUNITIES CL A	0.00	3.39	0.00	3.39	0.5	0.02
	ACCOUNT #: LSM000175	BUY 1 Units @0.0000						
04/16/2018	***-**-331N - SCHWEMMER, JOHN	JOHN HANCOCK NEW OPPORTUNITIES CL A	0.00	2.24	0.00	2.24	0.5	0.01
	ACCOUNT #: LSR012199	BUY 1 Units @0.0000						
04/16/2018	***-**-331N - SCHWEMMER, JOHN	LARGE CAP EQUITY A	0.00	5.39	0.00	5.39	0.5	0.03
	ACCOUNT #: LSR012199	BUY 1 Units @0.0000						
04/06/2018	***-**-3295 - KUNKEL, WILLIAM	LIFESTYLE AGGRESSIVE PORTFOLIO A	57.88	1.65	0.00	1.65	0.5	0.01
	ACCOUNT #: 00002492633	BUY 3 Units @16.9400						
04/06/2018	***-**-3295 - KUNKEL, WILLIAM	LIFESTYLE AGGRESSIVE PORTFOLIO A	57.88	1.65	0.00	1.65	0.5	0.01
	ACCOUNT #: 00002492633	BUY 3 Units @16.9400						
04/16/2018	***-**-514J - GEHRINGER,	LIFESTYLE GROWTH PORTFOLIO A	0.00	9.71	0.00	9.71	0.5	0.05
	ACCOUNT #: LSR011750	BUY 1 Units @0.0000						
04/01/2018	***-**-817J - ESHBACH, DANIEL	MFS HIGH-YIELD OPPORTUNITIES FUND C	0.00	31.28	0.00	31.28	0.5	0.16
	ACCOUNT #: 00060612942	BUY 0 Units @0.0000						
03/31/2018	***-**-8738 - GOLDSBOROUGH,	PORT SERIES: EQUITY INV FD A	0.00	50.18	0.00	50.18	0.5	0.25
	ACCOUNT #: 05550681912	BUY 0 Units @0.0000						
04/16/2018	***-**-243I - KOHLER, ALAN	PRUDENTIAL HIGH YIELD CLASS A	0.00	2.91	0.00	2.91	0.5	0.01
	ACCOUNT #: LSR011747	BUY 1 Units @0.0000						
04/16/2018	***-**-243I - KOHLER, ALAN	PRUDENTIAL HIGH YIELD CLASS B	0.00	3.32	0.00	3.32	0.5	0.02
	ACCOUNT #: LSR011747	BUY 1 Units @0.0000						
04/16/2018	***-**-243I - KOHLER, ALAN	PRUDENTIAL JENNISON MID CAP GROWTH	0.00	2.82	0.00	2.82	0.5	0.01
	ACCOUNT #: LSR011747	BUY 1 Units @0.0000						
04/16/2018	***-**-243I - KOHLER, ALAN	PRUDENTIAL JENNISON MID CAP GROWTH	0.00	1.30	0.00	1.30	0.5	0.01
	ACCOUNT #: LSR011747	BUY 1 Units @0.0000						
04/16/2018	***-**-2272 - HICKMAN, JAMES	PRUDENTIAL MF TRAILS	0.00	11.90	0.00	11.90	0.5	0.06
	ACCOUNT #: 7162303	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: DEVIN BORN (continued) </u>								
04/16/2018	***-**-2272 - HICKMAN, JAMES	PRUDENTIAL MF TRAILS	0.00	15.18	0.00	15.18	0.5	0.08
	ACCOUNT #: 7162303	BUY 0 Units @0.0000						
04/16/2018	***-**-243I - KOHLER, ALAN	PRUDENTIAL TOTAL RETURN BOND CLASS	0.00	2.54	0.00	2.54	0.5	0.01
	ACCOUNT #: LSR011747	BUY 1 Units @0.0000						
04/02/2018	***-**-8879 - ILLIANO, MARIO	THE GROWTH FUND OF AMERICA-A	75.00	3.19	0.00	3.19	0.5	0.02
	ACCOUNT #: 00084446460	BUY 1 Units @52.4500						
04/03/2018	***-**-529J - KILLIAN, FRANCES	THE HARTFORD CAPITAL APPRECIATION F	0.00	2.71	0.00	2.71	0.5	0.01
	ACCOUNT #: 00000772646	BUY 0 Units @0.0000						
04/16/2018	***-**-40IO - BERSTLER, DAVID	US GLOBAL LEADERS GROWTH C	0.00	18.33	0.00	18.33	0.5	0.09
	ACCOUNT #: LSR011823	BUY 1 Units @0.0000						
		* DEVIN BORN SUBTOTAL *	\$19,318.02	\$651.84	\$0.00	\$651.84		\$3.29
<u> BROKER: GRADY GORMAN </u>								
04/16/2018	***-**-4080 - CAPUNE, MEGHAN	VIRTUS NEWFLEET MLT SECTOR SH TERM	0.00	11.30	0.00	11.30	0.5	0.06
	ACCOUNT #: LSR012365	BUY 1 Units @0.0000						
		* GRADY GORMAN SUBTOTAL *	\$0.00	\$11.30	\$0.00	\$11.30		\$0.06
<u> BROKER: ROBERT PEDERSEN </u>								
04/02/2018	***-**-8197 - TERHERST,	F/T MODERATE TARGET FD - CLASS C	117.50	1.18	0.00	1.18	0.5	0.01
	ACCOUNT #: 000000000621250	BUY 8 Units @15.4900						
04/02/2018	***-**-3998 - UTLER, STEFAN	F/T MODERATE TARGET FD - CLASS C	150.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: 000000000628457	BUY 10 Units @15.4900						
04/16/2018	***-**-903I - DONNELLY, VERNON	FRANKLIN CONSERVATIV ALLOCATION CLA	0.00	11.17	0.00	11.17	0.5	0.06
	ACCOUNT #: LSR011877	BUY 1 Units @0.0000						
04/16/2018	***-**-19IO - ZUKOWSKI, SANDRA	FRANKLIN CONSERVATIV ALLOCATION CLA	0.00	4.48	0.00	4.48	0.5	0.02
	ACCOUNT #: LSR011986	BUY 1 Units @0.0000						
04/02/2018	***-**-8197 - TERHERST,	FRK CSV ALC FD CL C	117.50	1.18	0.00	1.18	0.5	0.01
	ACCOUNT #: 000000000445128	BUY 8 Units @14.4400						
04/02/2018	***-**-3998 - UTLER, STEFAN	FRK CSV ALC FD CL C	150.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: 000000000449621	BUY 10 Units @14.4400						
04/16/2018	***-**-51IO - RIEBS, TERESA	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	4.87	0.00	4.87	0.5	0.02
	ACCOUNT #: LSR012118	BUY 1 Units @0.0000						



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 <u>BROKER: ROBERT PEDERSEN (continued)</u> 								
04/16/2018	***-**-903I - DONNELLY, VERNON	FRK UTIL FND - CL A	0.00	6.27	0.00	6.27	0.5	0.03
	ACCOUNT #: LSR011877	BUY 1 Units @0.0000						
04/16/2018	***-**-19IO - ZUKOWSKI, SANDRA	FRK UTIL FND - CL A	0.00	2.45	0.00	2.45	0.5	0.01
	ACCOUNT #: LSR011986	BUY 1 Units @0.0000						
04/16/2018	***-**-51IO - RIEBS, TERESA	FRK UTIL FND - CL A	0.00	2.73	0.00	2.73	0.5	0.01
	ACCOUNT #: LSR012118	BUY 1 Units @0.0000						
 * ROBERT PEDERSEN SUBTOTAL * 			 \$535.00 	 \$37.33 	 \$0.00 	 \$37.33 		 \$0.19
 <u>BROKER: DAVID IOBST</u> 								
04/16/2018	***-**-3603 - DERR, HEIDI	ALPHA OPPORTUNITY - C TRAIL	0.00	2.37	0.00	2.37	0.5	0.01
		BUY 0 Units @0.0000						
04/13/2018	***-**-2394 - IOBST, BARBARA	SECURITY BENEFIT VUL TRAILS	0.00	797.48	0.00	797.48	0.5	3.99
		BUY 1 Units @0.0000						
04/03/2018	***-**-6420 - BROWN, JIM	SMALLCAP WORLD FUND-A	57.00	2.85	0.00	2.85	0.5	0.01
	ACCOUNT #: 04000695528	BUY 1 Units @59.6700						
04/03/2018	***-**-6420 - BROWN, JIM	SMALLCAP WORLD FUND-A	57.00	2.85	0.00	2.85	0.5	0.01
	ACCOUNT #: 04000695528	BUY 1 Units @59.6700						
04/03/2018	***-**-6420 - BROWN, JIM	THE GROWTH FUND OF AMERICA-A	57.00	2.85	0.00	2.85	0.5	0.01
	ACCOUNT #: 04000695528	BUY 1 Units @53.4500						
04/03/2018	***-**-6420 - BROWN, JIM	THE GROWTH FUND OF AMERICA-A	57.00	2.85	0.00	2.85	0.5	0.01
	ACCOUNT #: 04000695528	BUY 1 Units @53.4500						
 * DAVID IOBST SUBTOTAL * 			 \$228.00 	 \$811.25 	 \$0.00 	 \$811.25 		 \$4.04
 <u>BROKER: JOHN TRUMAN</u> 								
04/02/2018	***-**-3815 - MILLER, ASHLEY	AMERICAN FUNDS 2040 TARGET DATE-A	200.00	10.00	0.00	10.00	0.5	0.05
	ACCOUNT #: 00087325265	BUY 13 Units @15.9200						
04/16/2018	***-**-034I - FRANKLIN, JEAN	FRANKLIN INCOME FUND CLASS A	0.00	2.23	0.00	2.23	0.5	0.01
	ACCOUNT #: LSR011981	BUY 1 Units @0.0000						
04/16/2018	***-**-706I - SAVAGE, KEVIN	FRANKLIN INCOME FUND CLASS A	0.00	15.38	0.00	15.38	0.5	0.08
	ACCOUNT #: LSR012412	BUY 1 Units @0.0000						
04/16/2018	***-**-784I - PARKS, CARL	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	5.22	0.00	5.22	0.5	0.03
	ACCOUNT #: LSR012273	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JOHN TRUMAN (continued) </u>								
04/16/2018	***-**-9175 - GARDNER, JAMES	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	10.14	0.00	10.14	0.5	0.05
	ACCOUNT #: LSR012304	BUY 1 Units @0.0000						
04/16/2018	***-**-1710 - BALLARD, SCOTT	FRK CA TF INC FND - CL A	0.00	3.61	0.00	3.61	0.5	0.02
	ACCOUNT #: LSR012284	BUY 1 Units @0.0000						
04/16/2018	***-**-9175 - GARDNER, JAMES	GROWTH AND INCOME FUND - A	0.00	6.63	0.00	6.63	0.5	0.03
	ACCOUNT #: LSR012304	BUY 1 Units @0.0000						
04/16/2018	***-**-758I - EBERT, KIMBERLY	IVY ASSET STRATEGY CL C	0.00	4.57	0.00	4.57	0.5	0.02
	ACCOUNT #: LSR012072	BUY 1 Units @0.0000						
04/16/2018	***-**-758I - EBERT, KIMBERLY	IVY SCIENCE & TECHNOLOGY CL C	0.00	2.99	0.00	2.99	0.5	0.01
	ACCOUNT #: LSR012072	BUY 1 Units @0.0000						
04/16/2018	***-**-9175 - GARDNER, JAMES	JPMORGAN SMALL CAP GROWTH CLASS A	0.00	5.87	0.00	5.87	0.5	0.03
	ACCOUNT #: LSR012304	BUY 1 Units @0.0000						
04/16/2018	***-**-758I - EBERT, KIMBERLY	MUTUAL DISC FND - CL C	0.00	1.59	0.00	1.59	0.5	0.01
	ACCOUNT #: LSR012072	BUY 1 Units @0.0000						
04/16/2018	***-**-9175 - GARDNER, JAMES	TEMP FRGN FND - CL A	0.00	6.52	0.00	6.52	0.5	0.03
	ACCOUNT #: LSR012304	BUY 1 Units @0.0000						
04/16/2018	***-**-619I - GRAFFT, JODELL	VIRTUS RAMPART EQ TREND CLASS C	0.00	5.80	0.00	5.80	0.5	0.03
	ACCOUNT #: LSR012279	BUY 1 Units @0.0000						
04/16/2018	***-**-619I - GRAFFT, JODELL	WELLS FARGO ABSOLUTE RETURN FUND CL	0.00	5.32	0.00	5.32	0.5	0.03
	ACCOUNT #: LSR012279	BUY 1 Units @0.0000						
* JOHN TRUMAN SUBTOTAL *			\$200.00	\$85.87	\$0.00	\$85.87		\$0.43
<u> BROKER: ALEXANDER HACKLEY </u>								
04/16/2018	***-**-679I - VIGIL, ELLI	DELAWARE EXTENDED DURATION BOND FUN	0.00	19.41	0.00	19.41	0.5	0.10
	ACCOUNT #: LSR011852	BUY 1 Units @0.0000						
04/16/2018	***-**-4240 - WEBER, DONALD	IVY BALANCED CLASS A	0.00	5.90	0.00	5.90	0.5	0.03
	ACCOUNT #: LSR011971	BUY 1 Units @0.0000						
04/16/2018	***-**-7700 - WEBER, F DIANNE	IVY CORE EQUITY CL A	0.00	1.84	0.00	1.84	0.5	0.01
	ACCOUNT #: LSR011972	BUY 1 Units @0.0000						
04/16/2018	***-**-978I - LITTON, KENT	IVY ENERGY FUND CL A	0.00	23.73	0.00	23.73	0.5	0.12
	ACCOUNT #: LSR011882	BUY 1 Units @0.0000						
04/16/2018	***-**-82TR - DAVIES, JANET	IVY ENERGY FUND CL A	0.00	11.24	0.00	11.24	0.5	0.06
	ACCOUNT #: LSR012422	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: SAMUEL BARBER (continued)</u>								
04/16/2018	***-**-31FB - BARNARD,	MORNINGSTAR ADVISOR FEE BUY 1 Units @0.0000	0.00	507.81	0.00	507.81	0.5	2.54
04/16/2018	***-**-45FB - RODESCHINI, LISA	MORNINGSTAR ADVISOR FEE BUY 1 Units @0.0000	0.00	128.71	0.00	128.71	0.5	0.64
04/16/2018	***-**-74IO - BRENNAN, JOHN	MORNINGSTAR ADVISOR FEE BUY 1 Units @0.0000	0.00	606.46	0.00	606.46	0.5	3.03
04/16/2018	***-**-65FB - OAKLEY, EDWARD ACCOUNT #: 100990833	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	149.36	149.36	0.00	149.36	0.5	0.75
04/16/2018	***-**-68FB - NILAND, MARY ACCOUNT #: 101299826	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	8.84	8.84	0.00	8.84	0.5	0.04
04/16/2018	***-**-94FB - FINELLI, NANCY ACCOUNT #: 101065148	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	295.82	295.82	0.00	295.82	0.5	1.48
04/16/2018	***-**-05FB - SMITH, MELANIE ACCOUNT #: 101291348	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	174.85	174.85	0.00	174.85	0.5	0.87
04/16/2018	***-**-41FB - FURNARY, TIMOTHY ACCOUNT #: 101291375	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	63.63	63.63	0.00	63.63	0.5	0.32
04/16/2018	***-**-49FB - LINHART, ZACHARY ACCOUNT #: 101293381	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	50.51	50.51	0.00	50.51	0.5	0.25
04/16/2018	***-**-95FB - GUTHRIE, RYAN ACCOUNT #: 101293948	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	255.25	255.25	0.00	255.25	0.5	1.28
04/16/2018	***-**-17FB - REAGAN, MATTHEW ACCOUNT #: 101294130	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	124.65	124.65	0.00	124.65	0.5	0.62
04/16/2018	***-**-2696 - IGNACIO, CECILIA ACCOUNT #: 101299004	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	271.16	271.16	0.00	271.16	0.5	1.36
04/16/2018	***-**-12FB - NORIEGA, CARLOS ACCOUNT #: 101300883	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	299.22	299.22	0.00	299.22	0.5	1.50
04/16/2018	***-**-76FB - MANDEL, MICHAEL ACCOUNT #: 101302798	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	92.17	92.17	0.00	92.17	0.5	0.46
04/16/2018	***-**-20FB - CAREY, EDWARD ACCOUNT #: 101319871	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	9.83	9.83	0.00	9.83	0.5	0.05
04/16/2018	***-**-20FB - BARBER, SAMUEL ACCOUNT #: 101325569	MORNINGSTAR ADVISOR FEE BUY 0 Units @0.0000	15.52	15.52	0.00	15.52	0.5	0.08



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: SAMUEL BARBER (continued) </u>								
04/16/2018	***-**-29FB - MOORE, ERIN	MORNINGSTAR ADVISOR FEE	23.04	23.04	0.00	23.04	0.5	0.12
	ACCOUNT #: 101309538	BUY 0 Units @0.0000						
04/16/2018	***-**-04FB - WARD, DANIELLE	MORNINGSTAR ADVISOR FEE	13.81	13.81	0.00	13.81	0.5	0.07
	ACCOUNT #: 101318537	BUY 0 Units @0.0000						
04/16/2018	***-**-63FB - BARBER,	MORNINGSTAR ADVISOR FEE	49.21	49.21	0.00	49.21	0.5	0.25
	ACCOUNT #: 101137382	BUY 0 Units @0.0000						
04/16/2018	***-**-74IO - BRENNAN, JOHN	MORNINGSTAR ADVISOR FEE	225.99	225.99	0.00	225.99	0.5	1.13
	ACCOUNT #: 101091155	BUY 0 Units @0.0000						
04/16/2018	***-**-68FB - NILAND, MARY	MORNINGSTAR ADVISOR FEE	24.13	24.13	0.00	24.13	0.5	0.12
	ACCOUNT #: 101299838	BUY 0 Units @0.0000						
04/16/2018	***-**-3472 - ONG-VALENCIA,	MORNINGSTAR ADVISOR FEE	7.76	7.76	0.00	7.76	0.5	0.04
	ACCOUNT #: 101305718	BUY 0 Units @0.0000						
04/10/2018	***-**-90IO - ADOVASIO, LUKE	NFS MANAGED FEES	0.00	786.18	0.00	786.18	0.5	3.93
		BUY 1 Units @274204.250						
04/10/2018	***-**-76FB - MANDEL, MICHAEL	NFS MANAGED FEES	0.00	283.40	0.00	283.40	0.5	1.42
		BUY 1 Units @75780.5200						
04/10/2018	***-**-74IO - BRENNAN, JOHN	NFS MANAGED FEES	0.00	2,379.02	0.00	2,379.02	0.5	11.90
		BUY 1 Units @742476.620						
04/10/2018	***-**-76FB - MANDEL, MICHAEL	NFS MANAGED FEES-PARTIAL DEBIT	0.00	96.41	0.00	96.41	0.5	0.48
		BUY 1 Units @25778.8000						
04/16/2018	***-**-7340 - RODESCHINI,	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	4.57	0.00	4.57	0.5	0.02
	ACCOUNT #: LSR011934	BUY 1 Units @0.0000						
04/16/2018	***-**-2440 - RICHTER, DIANA	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	8.68	0.00	8.68	0.5	0.04
	ACCOUNT #: LSR011984	BUY 1 Units @0.0000						
04/16/2018	***-**-2440 - RICHTER, DIANA	WESTERN ASSET MANAGED MUNI CL C	0.00	14.60	0.00	14.60	0.5	0.07
	ACCOUNT #: LSR011984	BUY 1 Units @0.0000						
* SAMUEL BARBER SUBTOTAL *			\$2,154.75	\$9,722.70	\$0.00	\$9,722.70		\$48.63



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: GARRETT MORETZ</u> 								
04/16/2018	***-**-972I - GRIFFIN, OTIS	EATON VANCE INCOME FUND OF BOSTON C	0.00	1.36	0.00	1.36	0.5	0.01
	ACCOUNT #: LSR011960	BUY 1 Units @0.0000						
04/16/2018	***-**-10IR - CLINGON, BILLY	EATON VANCE MULTI SECTOR INCOME CL	0.00	3.93	0.00	3.93	0.5	0.02
	ACCOUNT #: LSR012010	BUY 1 Units @0.0000						
04/16/2018	***-**-726O - FARZALO, STEVE	EATON VANCE NATIONAL MUNICIPAL FUND	0.00	9.11	0.00	9.11	0.5	0.05
	ACCOUNT #: LSR011965	BUY 1 Units @0.0000						
04/16/2018	***-**-29FB - ANTHONY, APRIL	EQIS ADVISOR FEES	78.09	78.09	0.00	78.09	0.5	0.39
	ACCOUNT #: RB5070200L	BUY 0 Units @0.0000						
04/16/2018	***-**-86FB - ARRINGTON, ROGER	EQIS ADVISOR FEES	91.32	91.32	0.00	91.32	0.5	0.46
	ACCOUNT #: RH0813100D	BUY 0 Units @0.0000						
04/16/2018	***-**-86FB - ARRINGTON, ROGER	EQIS ADVISOR FEES	67.81	67.81	0.00	67.81	0.5	0.34
	ACCOUNT #: RH24513009	BUY 0 Units @0.0000						
04/16/2018	***-**-71FB - BEDDOW, DONALD	EQIS ADVISOR FEES	114.94	114.94	0.00	114.94	0.5	0.57
	ACCOUNT #: RE1889900Z	BUY 0 Units @0.0000						
04/16/2018	***-**-71FB - BEDDOW, DONALD	EQIS ADVISOR FEES	44.59	44.59	0.00	44.59	0.5	0.22
	ACCOUNT #: RE1910700J	BUY 0 Units @0.0000						
04/16/2018	***-**-40FB - BOHNAKER, ANGELA	EQIS ADVISOR FEES	42.00	42.00	0.00	42.00	0.5	0.21
	ACCOUNT #: RC6490700F	BUY 0 Units @0.0000						
04/16/2018	***-**-95FB - BROWN, SUSAN	EQIS ADVISOR FEES	80.55	80.55	0.00	80.55	0.5	0.40
	ACCOUNT #: RD9347700L	BUY 0 Units @0.0000						
04/16/2018	***-**-71FB - CARPENTIER,	EQIS ADVISOR FEES	26.47	26.47	0.00	26.47	0.5	0.13
	ACCOUNT #: RC9591500B	BUY 0 Units @0.0000						
04/16/2018	***-**-10FB - CLINGON, BILLY	EQIS ADVISOR FEES	30.04	30.04	0.00	30.04	0.5	0.15
	ACCOUNT #: RE18633003	BUY 0 Units @0.0000						
04/16/2018	***-**-10FB - CLINGON, BILLY	EQIS ADVISOR FEES	37.58	37.58	0.00	37.58	0.5	0.19
	ACCOUNT #: RE3069500F	BUY 0 Units @0.0000						
04/16/2018	***-**-10FB - CLINGON, BILLY	EQIS ADVISOR FEES	41.82	41.82	0.00	41.82	0.5	0.21
	ACCOUNT #: RH0640000T	BUY 0 Units @0.0000						
04/16/2018	***-**-34FB - CLYMER, BETTY	EQIS ADVISOR FEES	12.60	12.60	0.00	12.60	0.5	0.06
	ACCOUNT #: RB3961400D	BUY 0 Units @0.0000						
04/16/2018	***-**-58FB - CLYMER, DEFOREST	EQIS ADVISOR FEES	9.16	9.16	0.00	9.16	0.5	0.05
	ACCOUNT #: RB48104005	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: GARRETT MORETZ (continued)</u> 								
04/16/2018	***-**-41FB - COOPER, JOHN	EQIS ADVISOR FEES	31.76	31.76	0.00	31.76	0.5	0.16
	ACCOUNT #: RD5958000D	BUY 0 Units @0.0000						
04/16/2018	***-**-01FB - DAGENHART, JAMES	EQIS ADVISOR FEES	51.96	51.96	0.00	51.96	0.5	0.26
	ACCOUNT #: RD06254009	BUY 0 Units @0.0000						
04/16/2018	***-**-01FB - DAGENHART, JAMES	EQIS ADVISOR FEES	46.04	46.04	0.00	46.04	0.5	0.23
	ACCOUNT #: RD0777800L	BUY 0 Units @0.0000						
04/16/2018	***-**-21FB - DAVIS, SIMONE	EQIS ADVISOR FEES	235.08	235.08	0.00	235.08	0.5	1.18
	ACCOUNT #: RD9797800H	BUY 0 Units @0.0000						
04/16/2018	***-**-26FB - FARZALO, STEVE	EQIS ADVISOR FEES	14.64	14.64	0.00	14.64	0.5	0.07
	ACCOUNT #: RG9748700J	BUY 0 Units @0.0000						
04/16/2018	***-**-34FB - FOWLER, MILTON	EQIS ADVISOR FEES	141.91	141.91	0.00	141.91	0.5	0.71
	ACCOUNT #: RH1017400L	BUY 0 Units @0.0000						
04/16/2018	***-**-32FB - FRAZIER, WILLIAM	EQIS ADVISOR FEES	6.24	6.24	0.00	6.24	0.5	0.03
	ACCOUNT #: RB33734009	BUY 0 Units @0.0000						
04/16/2018	***-**-32FB - FRAZIER, WILLIAM	EQIS ADVISOR FEES	30.62	30.62	0.00	30.62	0.5	0.15
	ACCOUNT #: RB3372800H	BUY 0 Units @0.0000						
04/16/2018	***-**-39FB - GRINDLE, ROBERT	EQIS ADVISOR FEES	126.49	126.49	0.00	126.49	0.5	0.63
	ACCOUNT #: RE0934000F	BUY 0 Units @0.0000						
04/16/2018	***-**-77FB - HARRIS,	EQIS ADVISOR FEES	50.51	50.51	0.00	50.51	0.5	0.25
	ACCOUNT #: RE25241003	BUY 0 Units @0.0000						
04/16/2018	***-**-77FB - HARRIS,	EQIS ADVISOR FEES	128.79	128.79	0.00	128.79	0.5	0.64
	ACCOUNT #: RE3069400N	BUY 0 Units @0.0000						
04/16/2018	***-**-48FB - HEFNER, EULA	EQIS ADVISOR FEES	23.59	23.59	0.00	23.59	0.5	0.12
	ACCOUNT #: RH0641100H	BUY 0 Units @0.0000						
04/16/2018	***-**-03FB - HINES, WALTER	EQIS ADVISOR FEES	21.10	21.10	0.00	21.10	0.5	0.11
	ACCOUNT #: RD57517005	BUY 0 Units @0.0000						
04/16/2018	***-**-84FB - HOLDER, DERRICK	EQIS ADVISOR FEES	111.58	111.58	0.00	111.58	0.5	0.56
	ACCOUNT #: RA4189700Z	BUY 0 Units @0.0000						
04/16/2018	***-**-84FB - HOLDER, DERRICK	EQIS ADVISOR FEES	54.16	54.16	0.00	54.16	0.5	0.27
	ACCOUNT #: RA41927007	BUY 0 Units @0.0000						
04/16/2018	***-**-98FB - HUNTER, JEFFREY	EQIS ADVISOR FEES	17.69	17.69	0.00	17.69	0.5	0.09
	ACCOUNT #: RH0076800D	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: GARRETT MORETZ (continued)</u> 								
04/16/2018	***-**-27FB - KULIKOWSKI, SARA	EQIS ADVISOR FEES	11.27	11.27	0.00	11.27	0.5	0.06
	ACCOUNT #: RC4594100B	BUY 0 Units @0.0000						
04/16/2018	***-**-94FB - MARQUIS, ALAN	EQIS ADVISOR FEES	41.04	41.04	0.00	41.04	0.5	0.21
	ACCOUNT #: RE3062300N	BUY 0 Units @0.0000						
04/16/2018	***-**-65FB - MCINTYRE, SHARON	EQIS ADVISOR FEES	45.35	45.35	0.00	45.35	0.5	0.23
	ACCOUNT #: RD90434001	BUY 0 Units @0.0000						
04/16/2018	***-**-65FB - MCINTYRE, SHARON	EQIS ADVISOR FEES	87.82	87.82	0.00	87.82	0.5	0.44
	ACCOUNT #: RD9897700X	BUY 0 Units @0.0000						
04/16/2018	***-**-64FB - MERLO, RALPH	EQIS ADVISOR FEES	36.47	36.47	0.00	36.47	0.5	0.18
	ACCOUNT #: RB5869400H	BUY 0 Units @0.0000						
04/16/2018	***-**-64FB - MERLO, RALPH	EQIS ADVISOR FEES	10.45	10.45	0.00	10.45	0.5	0.05
	ACCOUNT #: RB5866400T	BUY 0 Units @0.0000						
04/16/2018	***-**-70FB - FERRELL,	EQIS ADVISOR FEES	51.15	51.15	0.00	51.15	0.5	0.26
	ACCOUNT #: RB50708009	BUY 0 Units @0.0000						
04/16/2018	***-**-759I - MERRILL, SARA	EQIS ADVISOR FEES	24.30	24.30	0.00	24.30	0.5	0.12
	ACCOUNT #: RB5875400D	BUY 0 Units @0.0000						
04/16/2018	***-**-58FB - NELSON-GAINES,	EQIS ADVISOR FEES	13.21	13.21	0.00	13.21	0.5	0.07
	ACCOUNT #: RH0166600L	BUY 0 Units @0.0000						
04/16/2018	***-**-06FB - PARSONS, CLARE	EQIS ADVISOR FEES	73.59	73.59	0.00	73.59	0.5	0.37
	ACCOUNT #: RG9534800V	BUY 0 Units @0.0000						
04/16/2018	***-**-06FB - PARSONS, CLARE	EQIS ADVISOR FEES	23.21	23.21	0.00	23.21	0.5	0.12
	ACCOUNT #: RG9885700V	BUY 0 Units @0.0000						
04/16/2018	***-**-77FB - PECK, GORDON	EQIS ADVISOR FEES	33.74	33.74	0.00	33.74	0.5	0.17
	ACCOUNT #: RE14731003	BUY 0 Units @0.0000						
04/16/2018	***-**-98FB - PFYFFER, ALBERT	EQIS ADVISOR FEES	41.12	41.12	0.00	41.12	0.5	0.21
	ACCOUNT #: RE1500600F	BUY 0 Units @0.0000						
04/16/2018	***-**-60FB - PLANK, MICHAEL	EQIS ADVISOR FEES	71.59	71.59	0.00	71.59	0.5	0.36
	ACCOUNT #: RG9882800Z	BUY 0 Units @0.0000						
04/16/2018	***-**-60FB - PLANK, MICHAEL	EQIS ADVISOR FEES	48.56	48.56	0.00	48.56	0.5	0.24
	ACCOUNT #: RG9885300R	BUY 0 Units @0.0000						
04/16/2018	***-**-43FB - RODES, KENNETH	EQIS ADVISOR FEES	87.80	87.80	0.00	87.80	0.5	0.44
	ACCOUNT #: RE1686200F	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: GARRETT MORETZ (continued)</u> 								
04/16/2018	***-**-13FB - RUSSELL, MARK	EQIS ADVISOR FEES	32.52	32.52	0.00	32.52	0.5	0.16
	ACCOUNT #: RG9722700B	BUY 0 Units @0.0000						
04/16/2018	***-**-52FB - SCHNABEL,	EQIS ADVISOR FEES	70.29	70.29	0.00	70.29	0.5	0.35
	ACCOUNT #: RH00769005	BUY 0 Units @0.0000						
04/16/2018	***-**-94FB - SWAN, ANDREW	EQIS ADVISOR FEES	34.44	34.44	0.00	34.44	0.5	0.17
	ACCOUNT #: RE0718400R	BUY 0 Units @0.0000						
04/16/2018	***-**-97FB - SWAN, MELANIE	EQIS ADVISOR FEES	23.53	23.53	0.00	23.53	0.5	0.12
	ACCOUNT #: RE0718300Z	BUY 0 Units @0.0000						
04/16/2018	***-**-66FB - WHITE, BARBARA	EQIS ADVISOR FEES	5.65	5.65	0.00	5.65	0.5	0.03
	ACCOUNT #: RE0718500J	BUY 0 Units @0.0000						
04/16/2018	***-**-72FB - YOUNG, TAMMY	EQIS ADVISOR FEES	170.37	170.37	0.00	170.37	0.5	0.85
	ACCOUNT #: RH03043009	BUY 0 Units @0.0000						
04/16/2018	***-**-36CL - MORETZ, CLIENTS	EQIS ADVISOR FEES	0.00	2,086.35	0.00	2,086.35	0.5	10.43
		BUY 1 Units @0.0000						
04/16/2018	***-**-10IR - CLINGON, BILLY	IVY ASSET STRATEGY CL C	0.00	10.58	0.00	10.58	0.5	0.05
	ACCOUNT #: LSR012010	BUY 1 Units @0.0000						
04/16/2018	***-**-501I - DAGENHART, JAMES	IVY HIGH INCOME CL A	0.00	3.46	0.00	3.46	0.5	0.02
	ACCOUNT #: LSR012101	BUY 1 Units @0.0000						
04/16/2018	***-**-677I - LAIL, DWIGHT	IVY HIGH INCOME CL A	0.00	8.43	0.00	8.43	0.5	0.04
	ACCOUNT #: LSR012166	BUY 1 Units @0.0000						
04/16/2018	***-**-440I - BOHNAKER, ANGELA	IVY HIGH INCOME CL A	0.00	2.41	0.00	2.41	0.5	0.01
	ACCOUNT #: LSR012403	BUY 1 Units @0.0000						
04/16/2018	***-**-440I - BOHNAKER, ANGELA	JPMORGAN GROWTH ADVANTAGE FUND CL A	0.00	1.73	0.00	1.73	0.5	0.01
	ACCOUNT #: LSR012403	BUY 1 Units @0.0000						
04/16/2018	***-**-4400 - BOHNAKER, ANGELA	JPMORGAN GROWTH ADVANTAGE FUND CL A	0.00	3.48	0.00	3.48	0.5	0.02
	ACCOUNT #: LSR012409	BUY 1 Units @0.0000						
04/01/2018	***-**-8941 - COOPER, JOHN	MFS VIRGINIA MUNI BOND FUND-A	0.00	5.58	0.00	5.58	0.5	0.03
	ACCOUNT #: 08189772708	BUY 0 Units @0.0000						
04/16/2018	***-**-113I - RUSSELL, MARK	NUVEEN STRATEGY BAL ALLOC A	0.00	2.56	0.00	2.56	0.5	0.01
	ACCOUNT #: LSR011979	BUY 1 Units @0.0000						
 * GARRETT MORETZ SUBTOTAL * 			 \$2,806.60 	 \$4,945.58 	 \$0.00 	 \$4,945.58 		 \$24.75



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: JEFFREY HANRETTY</u>								
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV INTERNATIONAL VALUE C BUY 584 Units @9.1800	5,357.00	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADVISOR SEMICONDUCTORS CL BUY 218 Units @24.6100	5,357.00	107.14	0.00	107.14	0.5	0.54
04/16/2018	***-**-491I - JONES, CECILE ACCOUNT #: LSR012023	AIM GLOBAL AGGRESSIVE GROWTH FUND C BUY 1 Units @0.0000	0.00	1.98	0.00	1.98	0.5	0.01
04/09/2018	***-**-1475 - PIERCE, RICHARD ACCOUNT #: 04700260399	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG BUY 0 Units @0.0000	0.00	4.63	0.00	4.63	0.5	0.02
04/09/2018	***-**-7515 - EARL, CAROL ACCOUNT #: 04703677649	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG BUY 0 Units @0.0000	0.00	2.67	0.00	2.67	0.5	0.01
04/09/2018	***-**-0461 - MCGUINNES, ACCOUNT #: 04725946836	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG BUY 0 Units @0.0000	0.00	2.05	0.00	2.05	0.5	0.01
04/09/2018	***-**-0461 - MCGUINNES, ACCOUNT #: 04725946836	ALLIANCEBERNSTEIN GROWTH A BUY 0 Units @0.0000	0.00	1.87	0.00	1.87	0.5	0.01
04/09/2018	***-**-7515 - EARL, CAROL ACCOUNT #: 04703677649	ALLIANCEBERNSTEIN GROWTH AND INC A BUY 0 Units @0.0000	0.00	10.01	0.00	10.01	0.5	0.05
04/09/2018	***-**-491I - JONES, CECILE ACCOUNT #: 04711057964	ALLIANCEBERNSTEIN GROWTH AND INC A BUY 0 Units @0.0000	0.00	1.47	0.00	1.47	0.5	0.01
04/09/2018	***-**-1475 - PIERCE, RICHARD ACCOUNT #: 04700260399	ALLIANCEBERNSTEIN LARGE-CAP GROWTH BUY 0 Units @0.0000	0.00	1.73	0.00	1.73	0.5	0.01
04/09/2018	***-**-1475 - PIERCE, RICHARD ACCOUNT #: 04700356695	ALLIANCEBERNSTEIN LARGE-CAP GROWTH BUY 0 Units @0.0000	0.00	3.93	0.00	3.93	0.5	0.02
04/09/2018	***-**-7515 - EARL, CAROL ACCOUNT #: 04703677649	ALLIANCEBERNSTEIN LARGE-CAP GROWTH BUY 0 Units @0.0000	0.00	7.66	0.00	7.66	0.5	0.04
04/09/2018	***-**-0461 - MCGUINNES, ACCOUNT #: 04725946836	ALLIANCEBERNSTEIN LARGE-CAP GROWTH BUY 0 Units @0.0000	0.00	2.15	0.00	2.15	0.5	0.01
04/09/2018	***-**-0461 - MCGUINNES, ACCOUNT #: 04725946836	ALLIANCEBERNSTEIN SMALL CAP GROWTH BUY 0 Units @0.0000	0.00	1.75	0.00	1.75	0.5	0.01
04/16/2018	***-**-949I - ZAGER, YVONNE ACCOUNT #: LSR012050	ALLIANZ OCC RENAISSANCE FUND CLASS BUY 1 Units @0.0000	0.00	4.38	0.00	4.38	0.5	0.02
04/05/2018	***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	AMCAP FUND-A BUY 2 Units @33.4400	62.50	1.25	0.00	1.25	0.5	0.01



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: JEFFREY HANRETTY (continued)</u> 								
04/06/2018	***-**-6130 - SCHOEN, THOMAS	AMERICAN 2020 TARGET DATE RETIREMNT	2,500.00	25.00	0.00	25.00	0.5	0.13
	ACCOUNT #: 00086062285	BUY 204 Units @12.2300						
04/05/2018	***-**-381I - ZARNOCK, MARTIN	AMERICAN BALANCED FUND-A	62.50	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 00073744276	BUY 2 Units @27.5600						
04/05/2018	***-**-4547 - NORWOOD, CLINTON	AMERICAN FUNDS 2025 TARGET DATE-A	300.00	15.00	0.00	15.00	0.5	0.08
	ACCOUNT #: 00083594601	BUY 21 Units @14.2500						
04/02/2018	***-**-6382 - ZOGBY, KAREN	AMERICAN FUNDS 2030 TARGET DATE-A	-100.00	-5.00	0.00	-5.00	0.5	-0.03
	ACCOUNT #: 00089152479	BUY 7 Units @15.0800						
04/02/2018	***-**-6382 - ZOGBY, KAREN	AMERICAN FUNDS 2030 TARGET DATE-A	100.00	5.00	0.00	5.00	0.5	0.03
	ACCOUNT #: 00089152479	BUY 7 Units @15.0800						
04/02/2018	***-**-5650 - WITTE, MICHAEL	AMERICAN FUNDS 2035 TARGET DATE-A	6,500.00	325.00	0.00	325.00	0.5	1.63
	ACCOUNT #: 04000889043	BUY 419 Units @15.5200						
04/05/2018	***-**-627J - KALWARA, TREVOR	AMERICAN FUNDS 2045 TARGET DATE-A	100.00	5.00	0.00	5.00	0.5	0.03
	ACCOUNT #: 04000868759	BUY 6 Units @16.5100						
03/31/2018	***-**-0357 - ALLEN, PAMELA	CAPITAL APPRECIATION A	0.00	12.32	0.00	12.32	0.5	0.06
	ACCOUNT #: 02706293518	BUY 0 Units @0.0000						
03/31/2018	***-**-8084 - YANGINSKI,	CAPITAL APPRECIATION A	0.00	3.39	0.00	3.39	0.5	0.02
	ACCOUNT #: 03208816148	BUY 0 Units @0.0000						
03/31/2018	***-**-7437 - FERRONE, KAREN	CAPITAL APPRECIATION A	0.00	2.78	0.00	2.78	0.5	0.01
	ACCOUNT #: 08850976327	BUY 0 Units @0.0000						
03/31/2018	***-**-3503 - SPINELLA,	CAPITAL APPRECIATION C	0.00	59.64	0.00	59.64	0.5	0.30
	ACCOUNT #: 03220595958	BUY 0 Units @0.0000						
03/31/2018	***-**-3335 - SPENCER, DAVID	CAPITAL APPRECIATION C	0.00	22.44	0.00	22.44	0.5	0.11
	ACCOUNT #: 03220677006	BUY 0 Units @0.0000						
03/31/2018	***-**-6924 - LITTLER, BRUCE	CAPITAL APPRECIATION C	0.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 03220835263	BUY 0 Units @0.0000						
03/31/2018	***-**-3569 - YOZZO, ROSA	CAPITAL APPRECIATION C	0.00	22.89	0.00	22.89	0.5	0.11
	ACCOUNT #: 03221003563	BUY 0 Units @0.0000						
03/31/2018	***-**-9311 - YOZZO, JOSEPH	CAPITAL APPRECIATION C	0.00	5.15	0.00	5.15	0.5	0.03
	ACCOUNT #: 08870120626	BUY 0 Units @0.0000						
03/31/2018	***-**-9443 - SPINELLA, JOHN	CAPITAL APPRECIATION C	0.00	43.29	0.00	43.29	0.5	0.22
	ACCOUNT #: 03430002783	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: JEFFREY HANRETTY (continued)</u>								
03/31/2018	***-**-0357 - ALLEN, PAMELA	CAPITAL INCOME A	0.00	10.50	0.00	10.50	0.5	0.05
	ACCOUNT #: 03450598378	BUY 0 Units @0.0000						
04/06/2018	***-**-6130 - SCHOEN, THOMAS	CAPITAL INCOME BUILDER CLASS C	1,135.22	11.35	0.00	11.35	0.5	0.06
	ACCOUNT #: 00086062285	BUY 19 Units @60.4600						
04/05/2018	***-**-9027 - NELSON,	CAPITAL WORLD GROWTH AND INCOME FUN	62.50	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 00073744742	BUY 1 Units @52.6300						
04/06/2018	***-**-6130 - SCHOEN, THOMAS	CAPITAL WORLD GROWTH AND INCOME FUN	1,250.00	12.50	0.00	12.50	0.5	0.06
	ACCOUNT #: 00086062285	BUY 25 Units @50.0900						
03/31/2018	***-**-3569 - YOZZO, ROSA	CORE BOND FND C	0.00	7.19	0.00	7.19	0.5	0.04
	ACCOUNT #: 02870149193	BUY 0 Units @0.0000						
03/31/2018	***-**-1837 - WAMPFLER-SUYDAM,	CORE BOND FND C	0.00	3.57	0.00	3.57	0.5	0.02
	ACCOUNT #: 02870496166	BUY 0 Units @0.0000						
03/31/2018	***-**-3503 - SPINELLA,	CORE BOND FND C	0.00	23.07	0.00	23.07	0.5	0.12
	ACCOUNT #: 05370001133	BUY 0 Units @0.0000						
03/31/2018	***-**-6663 - ZOGBY, KAMIL	CORE BOND FND C	0.00	2.09	0.00	2.09	0.5	0.01
	ACCOUNT #: 02870271007	BUY 0 Units @0.0000						
03/31/2018	***-**-6663 - ZOGBY, KAMIL	CORE BOND FND C	0.00	2.97	0.00	2.97	0.5	0.01
	ACCOUNT #: 02870602360	BUY 0 Units @0.0000						
03/31/2018	***-**-9443 - SPINELLA, JOHN	CORE BOND FND C	0.00	17.23	0.00	17.23	0.5	0.09
	ACCOUNT #: 05370001144	BUY 0 Units @0.0000						
03/31/2018	***-**-3569 - YOZZO, ROSA	DISCOVERY FUND C	0.00	12.00	0.00	12.00	0.5	0.06
	ACCOUNT #: 07470379137	BUY 0 Units @0.0000						
03/31/2018	***-**-3503 - SPINELLA,	DISCOVERY FUND C	0.00	53.27	0.00	53.27	0.5	0.27
	ACCOUNT #: 07470380193	BUY 0 Units @0.0000						
03/31/2018	***-**-0357 - ALLEN, PAMELA	EQUITY INCOME FUND, INC. A	0.00	8.85	0.00	8.85	0.5	0.04
	ACCOUNT #: 02401590974	BUY 0 Units @0.0000						
03/31/2018	***-**-8166 - SUYDAM, JERRY	EQUITY INCOME FUND, INC. C	0.00	4.33	0.00	4.33	0.5	0.02
	ACCOUNT #: 08370430485	BUY 0 Units @0.0000						
04/05/2018	***-**-0906 - WELLENSTEIN,	FA SHORT TERM BOND A	5,357.00	26.79	0.00	26.79	0.5	0.13
	ACCOUNT #: 03900222073	BUY 629 Units @8.5200						
04/05/2018	***-**-0906 - WELLENSTEIN,	FIDELITY ADV BIOTECHNOLOGY-CL A	5,357.00	107.14	0.00	107.14	0.5	0.54
	ACCOUNT #: 03900222073	BUY 208 Units @25.7300						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: JEFFREY HANRETTY (continued)</u>								
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV CHINA REGION CL A BUY 143 Units @37.4400	5,357.00	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV DIVIDEND GROWTH FD CL BUY 302 Units @17.7100	5,357.00	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV EMERGING MKTS CL A BUY 172 Units @31.1200	5,357.00	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV EQUITY GROWTH CL A BUY 46 Units @116.4700	5,357.00	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV EQUITY VALUE CL A BUY 281 Units @19.0600	5,357.00	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV EUROPE FUND CLASS A BUY 126 Units @42.5800	5,357.00	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV FLOATING RATE HIGH INC BUY 833 Units @9.6500	8,035.50	40.18	0.00	40.18	0.5	0.20
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV FREEDOM 2015-CL A BUY 2072 Units @12.9300	26,785.00	535.70	0.00	535.70	0.5	2.68
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV GLOBAL EQUITY INCOME C BUY 362 Units @14.8000	5,357.00	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV GROWTH & INCOME CL A BUY 470 Units @28.4700	13,392.50	267.85	0.00	267.85	0.5	1.34
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV GROWTH OPPORT CL A BUY 78 Units @68.8200	5,357.00	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV HEALTH CARE-CL A BUY 116 Units @46.1500	5,357.00	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV INDUSTRIALS CL A BUY 126 Units @42.5900	5,357.00	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV INT'L CAPITAL APP CL A BUY 264 Units @20.2800	5,357.00	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV INTL SMALL CAP-CL A BUY 177 Units @30.2800	5,357.00	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV INVESTMENT GRADE BOND- BUY 3386 Units @7.9100	26,785.00	535.70	0.00	535.70	0.5	2.68



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: JEFFREY HANRETTY (continued)</u>								
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV LEVERAGED CO STOCK CL BUY 122 Units @43.7800	5,357.02	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV MID CAP VALUE-CL A BUY 215 Units @24.9400	5,357.00	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV NEW INSIGHTS-CL A BUY 330 Units @32.4300	10,714.00	214.28	0.00	214.28	0.5	1.07
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV STCK SEL LRG CP VAL CL BUY 261 Units @20.5200	5,357.00	107.14	0.00	107.14	0.5	0.54
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV STRATEGIC INCOME CL A BUY 645 Units @12.4600	8,035.50	160.71	0.00	160.71	0.5	0.80
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV TECHNOLOGY CL A BUY 138 Units @58.3100	8,035.50	160.71	0.00	160.71	0.5	0.80
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADV TOTAL BOND-CL A BUY 1256 Units @10.6600	13,392.50	267.85	0.00	267.85	0.5	1.34
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADVISOR CORP BOND CLASS A BUY 695 Units @11.5600	8,035.50	160.71	0.00	160.71	0.5	0.80
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADVISOR FREEDOM 2020 CL A BUY 950 Units @14.0900	13,392.50	267.85	0.00	267.85	0.5	1.34
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADVISOR GOVERNMENT INCOME BUY 785 Units @10.2400	8,035.50	160.71	0.00	160.71	0.5	0.80
04/06/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADVISOR GOVERNMENT INCOME BUY 782 Units @10.2700	8,035.50	160.71	0.00	160.71	0.5	0.80
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADVISOR MORTGAGE SECS CL A BUY 719 Units @11.1700	8,035.50	160.71	0.00	160.71	0.5	0.80
04/05/2018	***-**-0906 - WELLENSTEIN, ACCOUNT #: 03900222073	FIDELITY ADVISOR REAL ESTATE FUND C BUY 258 Units @20.7900	5,357.00	107.14	0.00	107.14	0.5	0.54
04/02/2018	***-**-1001 - FLAHERTY, KELLY ACCOUNT #: 00081241053	FUNDAMENTAL INVESTORS-A BUY 0 Units @64.0700	25.00	1.25	0.00	1.25	0.5	0.01
03/31/2018	***-**-7437 - FERRONE, KAREN ACCOUNT #: 03300536461	GLOBAL FUND A BUY 0 Units @0.0000	0.00	2.84	0.00	2.84	0.5	0.01
03/31/2018	***-**-1837 - WAMPFLER-SUYDAM, ACCOUNT #: 03304237664	GLOBAL FUND A BUY 0 Units @0.0000	0.00	8.11	0.00	8.11	0.5	0.04



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: JEFFREY HANRETTY (continued)</u>								
03/31/2018	***-**-8084 - YANGINSKI, ACCOUNT #: 03306186435	GLOBAL FUND A BUY 0 Units @0.0000	0.00	3.01	0.00	3.01	0.5	0.02
03/31/2018	***-**-6663 - ZOGBY, KAMIL ACCOUNT #: 03309630555	GLOBAL FUND A BUY 0 Units @0.0000	0.00	3.60	0.00	3.60	0.5	0.02
03/31/2018	***-**-0357 - ALLEN, PAMELA ACCOUNT #: 02154347618	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	11.15	0.00	11.15	0.5	0.06
04/01/2018	***-**-3720 - MARCOCCIA, ACCOUNT #: 05023660284	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	8.35	0.00	8.35	0.5	0.04
04/16/2018	***-**-491I - JONES, CECILE ACCOUNT #: LSR012023	INVESCO STRUCTURED CORE FUND -CLASS BUY 1 Units @0.0000	0.00	1.80	0.00	1.80	0.5	0.01
04/01/2018	***-**-3720 - MARCOCCIA, ACCOUNT #: 05023660284	INVESCO VAN KAMPEN EQUITY AND INCOM BUY 0 Units @0.0000	0.00	1.64	0.00	1.64	0.5	0.01
04/01/2018	***-**-3720 - MARCOCCIA, ACCOUNT #: 05023660284	INVESCO VAN KAMPEN VALUE OPP CLASS BUY 0 Units @0.0000	0.00	1.23	0.00	1.23	0.5	0.01
04/10/2018	***-**-75FB - BRIGGS, LYNDIA	JEFFERSON NATIONAL RIA FEE BUY 1 Units @0.0000	0.00	197.65	0.00	197.65	0.5	0.99
04/11/2018	***-**-6072 - LASKOWSKY, ANITA ACCOUNT #: 52730385	JOHN HANCOCK 529 TRAILS BUY 0 Units @0.0000	0.00	9.27	0.00	9.27	0.5	0.05
03/31/2018	***-**-8084 - YANGINSKI, ACCOUNT #: 08552948099	LIMITED TERM GOVERNMENT A BUY 0 Units @0.0000	0.00	1.16	0.00	1.16	0.5	0.01
03/31/2018	***-**-0357 - ALLEN, PAMELA ACCOUNT #: 07001196605	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	10.71	0.00	10.71	0.5	0.05
03/31/2018	***-**-1837 - WAMPFLER-SUYDAM, ACCOUNT #: 07002590602	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	5.93	0.00	5.93	0.5	0.03
03/31/2018	***-**-8084 - YANGINSKI, ACCOUNT #: 07002853271	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	3.74	0.00	3.74	0.5	0.02
03/31/2018	***-**-6663 - ZOGBY, KAMIL ACCOUNT #: 07006458160	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	7.90	0.00	7.90	0.5	0.04
03/31/2018	***-**-9311 - YOZZO, JOSEPH ACCOUNT #: 07022553287	MAIN STREET FUND C BUY 0 Units @0.0000	0.00	3.30	0.00	3.30	0.5	0.02
03/31/2018	***-**-3569 - YOZZO, ROSA ACCOUNT #: 07022553320	MAIN STREET FUND C BUY 0 Units @0.0000	0.00	13.97	0.00	13.97	0.5	0.07



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: JEFFREY HANRETTY (continued)</u>								
03/31/2018	***-**-3503 - SPINELLA,	MAIN STREET FUND C	0.00	83.24	0.00	83.24	0.5	0.42
	ACCOUNT #: 0702255509	BUY 0 Units @0.0000						
03/31/2018	***-**-3335 - SPENCER, DAVID	MAIN STREET FUND C	0.00	25.27	0.00	25.27	0.5	0.13
	ACCOUNT #: 07022642860	BUY 0 Units @0.0000						
03/31/2018	***-**-1837 - WAMPFLER-SUYDAM,	MAIN STREET FUND C	0.00	15.51	0.00	15.51	0.5	0.08
	ACCOUNT #: 07024172894	BUY 0 Units @0.0000						
03/31/2018	***-**-8166 - SUYDAM, JERRY	MAIN STREET FUND C	0.00	3.82	0.00	3.82	0.5	0.02
	ACCOUNT #: 07024172916	BUY 0 Units @0.0000						
03/31/2018	***-**-9443 - SPINELLA, JOHN	MAIN STREET FUND C	0.00	74.05	0.00	74.05	0.5	0.37
	ACCOUNT #: 07022555531	BUY 0 Units @0.0000						
04/01/2018	***-**-6347 - CRUMB, MICHAEL	MASS INVESTORS GROWTH STOCK FUND-A	0.00	17.04	0.00	17.04	0.5	0.09
	ACCOUNT #: 00060411762	BUY 0 Units @0.0000						
04/01/2018	***-**-0337 - CAMPION, CAROLYN	MFS BOND FUND-A	0.00	13.32	0.00	13.32	0.5	0.07
	ACCOUNT #: 08191177696	BUY 0 Units @0.0000						
04/01/2018	***-**-6347 - CRUMB, MICHAEL	MFS CORE EQUITY FUND-A	0.00	6.71	0.00	6.71	0.5	0.03
	ACCOUNT #: 00060418250	BUY 0 Units @0.0000						
04/01/2018	***-**-0337 - CAMPION, CAROLYN	MFS DIVERSIFIED INCOME FD CL A	0.00	15.83	0.00	15.83	0.5	0.08
	ACCOUNT #: 08191177696	BUY 0 Units @0.0000						
04/01/2018	***-**-6347 - CRUMB, MICHAEL	MFS HIGH-YIELD OPPORTUNITIES FUND C	0.00	13.32	0.00	13.32	0.5	0.07
	ACCOUNT #: 00060415894	BUY 0 Units @0.0000						
04/01/2018	***-**-0337 - CAMPION, CAROLYN	MFS LIFETIME INCOME CLASS A	0.00	81.16	0.00	81.16	0.5	0.41
	ACCOUNT #: 08191177696	BUY 0 Units @0.0000						
04/01/2018	***-**-0337 - CAMPION, CAROLYN	MFS LIMITED MATURITY FUND-A	0.00	6.23	0.00	6.23	0.5	0.03
	ACCOUNT #: 08191177696	BUY 0 Units @0.0000						
04/01/2018	***-**-6347 - CRUMB, MICHAEL	MFS MID CAP VALUE FUND-A	0.00	6.81	0.00	6.81	0.5	0.03
	ACCOUNT #: 00060418319	BUY 0 Units @0.0000						
04/01/2018	***-**-6347 - CRUMB, MICHAEL	MFS RESEARCH BOND FUND CLASS A	0.00	6.93	0.00	6.93	0.5	0.03
	ACCOUNT #: 00060416046	BUY 0 Units @0.0000						
04/01/2018	***-**-6347 - CRUMB, MICHAEL	MFS RESEARCH INTERNATIONAL FUND-A	0.00	11.18	0.00	11.18	0.5	0.06
	ACCOUNT #: 00060418160	BUY 0 Units @0.0000						
04/01/2018	***-**-6347 - CRUMB, MICHAEL	MFS TOTAL RETURN FUND-A	0.00	35.63	0.00	35.63	0.5	0.18
	ACCOUNT #: 00060414487	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: JEFFREY HANRETTY (continued)</u>								
04/01/2018	***-**-0337 - CAMPION, CAROLYN	MFS UTILITIES FUND-A	0.00	17.74	0.00	17.74	0.5	0.09
	ACCOUNT #: 08191177696	BUY 0 Units @0.0000						
04/01/2018	***-**-6347 - CRUMB, MICHAEL	MFS VALUE FUND-A	0.00	14.67	0.00	14.67	0.5	0.07
	ACCOUNT #: 00060417743	BUY 0 Units @0.0000						
04/03/2018	***-**-1701 - NOFFER, THOMAS	NEW WORLD FUND-A	1,000.00	42.50	0.00	42.50	0.5	0.21
	ACCOUNT #: 00083444381	BUY 14 Units @71.1300						
04/05/2018	***-**-381I - ZARNOCK, MARTIN	NEW WORLD FUND-A	62.50	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 00073744276	BUY 1 Units @69.6600						
04/10/2018	***-**-58IO - SPINELLA, CAROL	NFS MANAGED FEES	0.00	722.57	0.00	722.57	0.5	3.61
		BUY 1 Units @414030.500						
04/10/2018	***-**-10IO - PARKOLA, KATHRYN	NFS MANAGED FEES	0.00	324.86	0.00	324.86	0.5	1.62
		BUY 1 Units @130299.080						
04/10/2018	***-**-75IO - BRIGGS, LYNDIA	NFS MANAGED FEES	0.00	265.23	0.00	265.23	0.5	1.33
		BUY 1 Units @141846.080						
04/10/2018	***-**-190X - WALTER S	NFS MANAGED FEES	0.00	365.04	0.00	365.04	0.5	1.83
		BUY 1 Units @195222.430						
04/10/2018	***-**-90IO - BABROWICZ,	NFS MANAGED FEES	0.00	151.45	0.00	151.45	0.5	0.76
		BUY 1 Units @80994.0000						
04/10/2018	***-**-90IO - BABROWICZ,	NFS MANAGED FEES	0.00	48.28	0.00	48.28	0.5	0.24
		BUY 1 Units @25822.9600						
04/10/2018	***-**-90IO - BABROWICZ,	NFS MANAGED FEES	0.00	39.80	0.00	39.80	0.5	0.20
		BUY 1 Units @21285.1700						
04/10/2018	***-**-87IO - WIGGINS, DONNA	NFS MANAGED FEES	0.00	1,767.81	0.00	1,767.81	0.5	8.84
		BUY 1 Units @1012952.86						
04/10/2018	***-**-36TR - HANRETTY,	NFS MANAGED FEES	0.00	367.84	0.00	367.84	0.5	1.84
		BUY 1 Units @184427.060						
04/10/2018	***-**-56IO - SZYMANSKI,	NFS MANAGED FEES	0.00	363.86	0.00	363.86	0.5	1.82
		BUY 1 Units @182431.050						
04/10/2018	***-**-85FB - SCHUMACI, FRANK	NFS MANAGED FEES	0.00	260.15	0.00	260.15	0.5	1.30
		BUY 1 Units @200665.770						
04/10/2018	***-**-98IO - BRENNAN, ROBIN	NFS MANAGED FEES	0.00	862.76	0.00	862.76	0.5	4.31
		BUY 1 Units @576756.280						



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 <u>BROKER: JEFFREY HANRETTY (continued)</u> 								
04/10/2018	***-**-80IO - MAMMONE, JOANN	NFS MANAGED FEES BUY 1 Units @543067.600	0.00	812.37	0.00	812.37	0.5	4.06
04/10/2018	***-**-80IO - MAMMONE, JOANN	NFS MANAGED FEES BUY 1 Units @45206.1100	0.00	67.62	0.00	67.62	0.5	0.34
03/31/2018	***-**-0357 - ALLEN, PAMELA ACCOUNT #: 06210038368	OPP ROCHSTR SH TRM MUNI FND A BUY 0 Units @0.0000	0.00	38.25	0.00	38.25	0.5	0.19
03/31/2018	***-**-7437 - FERRONE, KAREN ACCOUNT #: 02850911702	OPPENHEIMER CORE BOND FUND A BUY 0 Units @0.0000	0.00	1.36	0.00	1.36	0.5	0.01
03/31/2018	***-**-1837 - WAMPFLER-SUYDAM, ACCOUNT #: 02851530067	OPPENHEIMER CORE BOND FUND A BUY 0 Units @0.0000	0.00	2.10	0.00	2.10	0.5	0.01
03/31/2018	***-**-0357 - ALLEN, PAMELA ACCOUNT #: 02852069034	OPPENHEIMER CORE BOND FUND A BUY 0 Units @0.0000	0.00	2.62	0.00	2.62	0.5	0.01
03/31/2018	***-**-0357 - ALLEN, PAMELA ACCOUNT #: 07860681693	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	17.22	0.00	17.22	0.5	0.09
03/31/2018	***-**-0357 - ALLEN, PAMELA ACCOUNT #: 05004466528	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	15.61	0.00	15.61	0.5	0.08
03/31/2018	***-**-3569 - YOZZO, ROSA ACCOUNT #: 03320553916	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	15.57	0.00	15.57	0.5	0.08
03/31/2018	***-**-3503 - SPINELLA, ACCOUNT #: 03320555797	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	64.52	0.00	64.52	0.5	0.32
03/31/2018	***-**-6924 - LITTLER, BRUCE ACCOUNT #: 03320759759	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	1.87	0.00	1.87	0.5	0.01
03/31/2018	***-**-9311 - YOZZO, JOSEPH ACCOUNT #: 03321360260	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	9.53	0.00	9.53	0.5	0.05
03/31/2018	***-**-1837 - WAMPFLER-SUYDAM, ACCOUNT #: 03322626976	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	16.18	0.00	16.18	0.5	0.08
03/31/2018	***-**-9443 - SPINELLA, JOHN ACCOUNT #: 03320555830	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	105.60	0.00	105.60	0.5	0.53
03/31/2018	***-**-3503 - SPINELLA, ACCOUNT #: 08820644567	OPPENHEIMER INT'L BOND CLASS C BUY 0 Units @0.0000	0.00	19.44	0.00	19.44	0.5	0.10
03/31/2018	***-**-8084 - YANGINSKI, ACCOUNT #: 01952306227	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	3.74	0.00	3.74	0.5	0.02



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: JEFFREY HANRETTY (continued)</u>								
03/31/2018	***-**-0357 - ALLEN, PAMELA ACCOUNT #: 01952779766	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	4.61	0.00	4.61	0.5	0.02
03/31/2018	***-**-3569 - YOZZO, ROSA ACCOUNT #: 01970270413	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	3.05	0.00	3.05	0.5	0.02
03/31/2018	***-**-3503 - SPINELLA, ACCOUNT #: 01970376552	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	17.34	0.00	17.34	0.5	0.09
03/31/2018	***-**-6663 - ZOGBY, KAMIL ACCOUNT #: 01970011044	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	14.33	0.00	14.33	0.5	0.07
03/31/2018	***-**-9443 - SPINELLA, JOHN ACCOUNT #: 01970376563	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	3.97	0.00	3.97	0.5	0.02
03/31/2018	***-**-6663 - ZOGBY, KAMIL ACCOUNT #: 01971060983	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	16.41	0.00	16.41	0.5	0.08
03/31/2018	***-**-1837 - WAMPFLER-SUYDAM, ACCOUNT #: 07314176381	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	5.65	0.00	5.65	0.5	0.03
03/31/2018	***-**-3503 - SPINELLA, ACCOUNT #: 07330263890	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	57.28	0.00	57.28	0.5	0.29
03/31/2018	***-**-1837 - WAMPFLER-SUYDAM, ACCOUNT #: 07331164691	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	19.42	0.00	19.42	0.5	0.10
03/31/2018	***-**-8166 - SUYDAM, JERRY ACCOUNT #: 07331164724	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	3.69	0.00	3.69	0.5	0.02
03/31/2018	***-**-9443 - SPINELLA, JOHN ACCOUNT #: 07330263912	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 0 Units @0.0000	0.00	49.80	0.00	49.80	0.5	0.25
03/31/2018	***-**-3569 - YOZZO, ROSA ACCOUNT #: 08490783794	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	5.89	0.00	5.89	0.5	0.03
03/31/2018	***-**-9443 - SPINELLA, JOHN ACCOUNT #: 08490783816	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	8.62	0.00	8.62	0.5	0.04
03/31/2018	***-**-3503 - SPINELLA, ACCOUNT #: 02270728079	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	13.38	0.00	13.38	0.5	0.07
03/31/2018	***-**-6663 - ZOGBY, KAMIL ACCOUNT #: 02271217425	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	24.69	0.00	24.69	0.5	0.12
03/31/2018	***-**-6663 - ZOGBY, KAMIL ACCOUNT #: 05620002497	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	24.88	0.00	24.88	0.5	0.12



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: JEFFREY HANRETTY (continued)</u>								
03/31/2018	***-**-0357 - ALLEN, PAMELA	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	25.02	0.00	25.02	0.5	0.13
	ACCOUNT #: 02913858756	BUY 0 Units @0.0000						
03/31/2018	***-**-7437 - FERRONE, KAREN	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	2.64	0.00	2.64	0.5	0.01
	ACCOUNT #: 02512098437	BUY 0 Units @0.0000						
03/31/2018	***-**-8084 - YANGINSKI,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	2.28	0.00	2.28	0.5	0.01
	ACCOUNT #: 02514169231	BUY 0 Units @0.0000						
03/31/2018	***-**-0357 - ALLEN, PAMELA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	5.68	0.00	5.68	0.5	0.03
	ACCOUNT #: 02514813402	BUY 0 Units @0.0000						
03/31/2018	***-**-6663 - ZOGBY, KAMIL	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	8.19	0.00	8.19	0.5	0.04
	ACCOUNT #: 02510909909	BUY 0 Units @0.0000						
03/31/2018	***-**-2562 - SPENCER, IRENE	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	42.92	0.00	42.92	0.5	0.21
	ACCOUNT #: 02303109887	BUY 0 Units @0.0000						
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM 746792100	0.00	14.75	0.00	14.75	0.5	0.07
	ACCOUNT #: 00495063903	BUY 0 Units @0.0000						
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM CAP. OPPORTUNITIES-A	0.00	3.36	0.00	3.36	0.5	0.02
	ACCOUNT #: 00550842150	BUY 0 Units @0.0000						
04/02/2018	***-**-7778 - SKARADEK, ERIN	PUTNAM CAP. OPPORTUNITIES-A	0.00	6.90	0.00	6.90	0.5	0.03
	ACCOUNT #: 00551308411	BUY 0 Units @0.0000						
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM DIVERSIFIED INCOME FUND CLAS	0.00	7.86	0.00	7.86	0.5	0.04
	ACCOUNT #: 00496339326	BUY 0 Units @0.0000						
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM DIVERSIFIED INCOME FUND CLAS	0.00	3.52	0.00	3.52	0.5	0.02
	ACCOUNT #: 00550842150	BUY 0 Units @0.0000						
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM EQUITY INCOME FUND-A	0.00	13.21	0.00	13.21	0.5	0.07
	ACCOUNT #: 00496339326	BUY 0 Units @0.0000						
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM EQUITY INCOME FUND-A	0.00	5.00	0.00	5.00	0.5	0.03
	ACCOUNT #: 00550842150	BUY 0 Units @0.0000						
04/02/2018	***-**-627J - KALWARA, TREVOR	PUTNAM EQUITY INCOME FUND-A	0.00	4.43	0.00	4.43	0.5	0.02
	ACCOUNT #: 00551376520	BUY 0 Units @0.0000						
04/02/2018	***-**-1162 - KALWARA, JOHN	PUTNAM EQUITY INCOME FUND-A	0.00	2.53	0.00	2.53	0.5	0.01
	ACCOUNT #: 00551376528	BUY 0 Units @0.0000						
04/02/2018	***-**-7778 - SKARADEK, ERIN	PUTNAM EQUITY INCOME FUND-A	0.00	6.91	0.00	6.91	0.5	0.03
	ACCOUNT #: 00551308411	BUY 0 Units @0.0000						



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 BROKER: JEFFREY HANRETTY (continued)								
04/02/2018	***-**-1162 - KALWARA, JOHN	PUTNAM GLOBAL EQUITY FUND CLASS A	0.00	1.44	0.00	1.44	0.5	0.01
	ACCOUNT #: 00551376528	BUY 0 Units @0.0000						
04/02/2018	***-**-1162 - KALWARA, JOHN	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.42	0.00	1.42	0.5	0.01
	ACCOUNT #: 00551376528	BUY 0 Units @0.0000						
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	6.31	0.00	6.31	0.5	0.03
	ACCOUNT #: 00496339326	BUY 0 Units @0.0000						
04/02/2018	***-**-7778 - SKARADEK, ERIN	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	3.48	0.00	3.48	0.5	0.02
	ACCOUNT #: 00551308407	BUY 0 Units @0.0000						
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM INTL CAPITAL OPPS-A	0.00	1.84	0.00	1.84	0.5	0.01
	ACCOUNT #: 00550842150	BUY 0 Units @0.0000						
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM INTL GROWTH & INC-A	0.00	3.02	0.00	3.02	0.5	0.02
	ACCOUNT #: 00550842150	BUY 0 Units @0.0000						
04/02/2018	***-**-7778 - SKARADEK, ERIN	PUTNAM INTL GROWTH & INC-A	0.00	3.32	0.00	3.32	0.5	0.02
	ACCOUNT #: 00551308411	BUY 0 Units @0.0000						
04/02/2018	***-**-1162 - KALWARA, JOHN	PUTNAM INTL NEW OPPORT-A	0.00	1.20	0.00	1.20	0.5	0.01
	ACCOUNT #: 00551376528	BUY 0 Units @0.0000						
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM INVESTORS FUND-A	0.00	19.92	0.00	19.92	0.5	0.10
	ACCOUNT #: 00495063903	BUY 0 Units @0.0000						
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM INVESTORS FUND-A	0.00	5.35	0.00	5.35	0.5	0.03
	ACCOUNT #: 00550842150	BUY 0 Units @0.0000						
04/02/2018	***-**-1162 - KALWARA, JOHN	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	1.92	0.00	1.92	0.5	0.01
	ACCOUNT #: 00551376528	BUY 0 Units @0.0000						
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM NEW YORK TAX- EXEMPT INCOME	0.00	12.11	0.00	12.11	0.5	0.06
	ACCOUNT #: 00461230208	BUY 0 Units @0.0000						
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM NEW YORK TAX- EXEMPT INCOME	0.00	11.03	0.00	11.03	0.5	0.06
	ACCOUNT #: 00495063903	BUY 0 Units @0.0000						
04/02/2018	***-**-627J - KALWARA, TREVOR	PUTNAM NEW YORK TAX- EXEMPT INCOME	0.00	3.99	0.00	3.99	0.5	0.02
	ACCOUNT #: 00551376520	BUY 0 Units @0.0000						
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM RESEARCH FUND-A	0.00	31.16	0.00	31.16	0.5	0.16
	ACCOUNT #: 00550842150	BUY 0 Units @0.0000						
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM SMALL CAP VALUE FUND-A	0.00	7.85	0.00	7.85	0.5	0.04
	ACCOUNT #: 00496339326	BUY 0 Units @0.0000						



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 <u>BROKER: JEFFREY HANRETTY (continued)</u>								
04/02/2018	***-**-7122 - KALWARA, JOHN	PUTNAM U.S. GOVT INCOME TR-A	0.00	9.14	0.00	9.14	0.5	0.05
	ACCOUNT #: 00551047935	BUY 0 Units @0.0000						
03/31/2018	***-**-1837 - WAMPFLER-SUYDAM,	QUEST BALANCED A	0.00	5.61	0.00	5.61	0.5	0.03
	ACCOUNT #: 02575870139	BUY 0 Units @0.0000						
03/31/2018	***-**-8084 - YANGINSKI,	QUEST BALANCED A	0.00	1.69	0.00	1.69	0.5	0.01
	ACCOUNT #: 02576135404	BUY 0 Units @0.0000						
03/31/2018	***-**-3569 - YOZZO, ROSA	QUEST BALANCED FUND C	0.00	8.25	0.00	8.25	0.5	0.04
	ACCOUNT #: 02590391138	BUY 0 Units @0.0000						
03/31/2018	***-**-1837 - WAMPFLER-SUYDAM,	QUEST BALANCED FUND C	0.00	12.99	0.00	12.99	0.5	0.06
	ACCOUNT #: 02592264273	BUY 0 Units @0.0000						
03/31/2018	***-**-8166 - SUYDAM, JERRY	QUEST BALANCED FUND C	0.00	3.56	0.00	3.56	0.5	0.02
	ACCOUNT #: 02592264306	BUY 0 Units @0.0000						
03/31/2018	***-**-9311 - YOZZO, JOSEPH	QUEST OPPORTUNITY VALUE FUND C	0.00	5.88	0.00	5.88	0.5	0.03
	ACCOUNT #: 02380607024	BUY 0 Units @0.0000						
03/31/2018	***-**-9443 - SPINELLA, JOHN	QUEST OPPORTUNITY VALUE FUND C	0.00	9.05	0.00	9.05	0.5	0.05
	ACCOUNT #: 02380837243	BUY 0 Units @0.0000						
03/31/2018	***-**-0357 - ALLEN, PAMELA	REAL ESTATE FUND A	0.00	1.46	0.00	1.46	0.5	0.01
	ACCOUNT #: 05900887128	BUY 0 Units @0.0000						
03/31/2018	***-**-3569 - YOZZO, ROSA	REAL ESTATE FUND C	0.00	1.12	0.00	1.12	0.5	0.01
	ACCOUNT #: 05920131582	BUY 0 Units @0.0000						
03/31/2018	***-**-0357 - ALLEN, PAMELA	RISING DIVIDENDS FUND A	0.00	10.21	0.00	10.21	0.5	0.05
	ACCOUNT #: 02254343295	BUY 0 Units @0.0000						
03/31/2018	***-**-3503 - SPINELLA,	SELECT VALUE C	0.00	23.65	0.00	23.65	0.5	0.12
	ACCOUNT #: 06020038852	BUY 0 Units @0.0000						
03/31/2018	***-**-3569 - YOZZO, ROSA	SELECT VALUE C	0.00	2.73	0.00	2.73	0.5	0.01
	ACCOUNT #: 06020063217	BUY 0 Units @0.0000						
03/31/2018	***-**-9443 - SPINELLA, JOHN	SELECT VALUE C	0.00	21.81	0.00	21.81	0.5	0.11
	ACCOUNT #: 06020038863	BUY 0 Units @0.0000						
03/31/2018	***-**-9443 - SPINELLA, JOHN	SMALL & MID-CAP GRWTH FND C	0.00	62.64	0.00	62.64	0.5	0.31
	ACCOUNT #: 07230002222	BUY 0 Units @0.0000						
03/31/2018	***-**-6924 - LITTLER, BRUCE	SMALL- & MID- CAP VALUE FUND C	0.00	2.25	0.00	2.25	0.5	0.01
	ACCOUNT #: 02530122727	BUY 0 Units @0.0000						



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 <u>BROKER: JEFFREY HANRETTY (continued)</u>								
03/31/2018	***-**-3503 - SPINELLA, ACCOUNT #: 02531090265	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	0.00	12.82	0.00	12.82	0.5	0.06
04/05/2018	***-**-381I - ZARNOCK, MARTIN ACCOUNT #: 00073744276	SMALLCAP WORLD FUND-A BUY 1 Units @58.2500	62.50	1.25	0.00	1.25	0.5	0.01
03/31/2018	***-**-9443 - SPINELLA, JOHN ACCOUNT #: 02321477630	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	18.87	0.00	18.87	0.5	0.09
04/03/2018	***-**-1701 - NOFFER, THOMAS ACCOUNT #: 00083444381	THE BOND FUND OF AMERICA-A BUY 76 Units @13.1000	1,000.00	30.00	0.00	30.00	0.5	0.15
04/05/2018	***-**-9027 - NELSON, ACCOUNT #: 00073744742	THE GROWTH FUND OF AMERICA-A BUY 1 Units @52.5300	62.50	1.25	0.00	1.25	0.5	0.01
04/05/2018	***-**-9027 - NELSON, ACCOUNT #: 00073744742	THE INCOME FUND OF AMERICA-A BUY 3 Units @23.4800	62.50	1.25	0.00	1.25	0.5	0.01
04/05/2018	***-**-9027 - NELSON, ACCOUNT #: 00073744742	WASHINGTON MUTUAL INVESTORS FUND-A BUY 1 Units @46.4500	62.50	1.25	0.00	1.25	0.5	0.01
 * JEFFREY HANRETTY SUBTOTAL *			\$282,160.24	\$14,233.84	\$0.00	\$14,233.84		\$71.37
 <u>BROKER: ALFREDO BALLESTEROS</u>								
04/05/2018	***-**-9952 - NGUYEN, VICKIE ACCOUNT #: 04000496355	AMERICAN BALANCED FUND-529A BUY 3 Units @28.4700	75.00	3.75	0.00	3.75	0.5	0.02
04/05/2018	***-**-9952 - NGUYEN, VICKIE ACCOUNT #: 04000496381	AMERICAN BALANCED FUND-529A BUY 2 Units @28.4700	50.00	2.50	0.00	2.50	0.5	0.01
04/02/2018	***-**-9808 - SJOERDSMA, GREGG ACCOUNT #: 00087919902	AMERICAN BALANCED FUND-A BUY 2 Units @28.0000	50.00	2.50	0.00	2.50	0.5	0.01
04/02/2018	***-**-0385 - SJOERDSMA, ANN ACCOUNT #: 00087919970	AMERICAN BALANCED FUND-A BUY 2 Units @28.0000	50.00	2.50	0.00	2.50	0.5	0.01
03/31/2018	***-**-6399 - STANDRIDGE, ACCOUNT #: 00100308661	C-STEELPATH MLP ALPHA FUND BUY 0 Units @0.0000	0.00	2.31	0.00	2.31	0.5	0.01
03/31/2018	***-**-0405 - STANDRIDGE, ACCOUNT #: 00100308683	C-STEELPATH MLP ALPHA FUND BUY 0 Units @0.0000	0.00	2.31	0.00	2.31	0.5	0.01
03/31/2018	***-**-6399 - STANDRIDGE, ACCOUNT #: 03222367024	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	6.30	0.00	6.30	0.5	0.03
03/31/2018	***-**-0405 - STANDRIDGE, ACCOUNT #: 03222367046	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	6.30	0.00	6.30	0.5	0.03



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 BROKER: ALFREDO BALLESTEROS (continued)								
03/31/2018	***-**-6399 - STANDRIDGE, ACCOUNT #: 03020607750	CAPITAL INCOME FUND C BUY 0 Units @0.0000	0.00	2.73	0.00	2.73	0.5	0.01
03/31/2018	***-**-0405 - STANDRIDGE, ACCOUNT #: 03020607772	CAPITAL INCOME FUND C BUY 0 Units @0.0000	0.00	2.73	0.00	2.73	0.5	0.01
03/31/2018	***-**-6399 - STANDRIDGE, ACCOUNT #: 08370762773	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	6.02	0.00	6.02	0.5	0.03
03/31/2018	***-**-0405 - STANDRIDGE, ACCOUNT #: 08370762795	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	6.02	0.00	6.02	0.5	0.03
04/05/2018	***-**-8240 - BREWER, LUCINDA ACCOUNT #: 00087834785	EUROPACIFIC GROWTH FUND-A BUY 1 Units @59.8300	62.50	2.66	0.00	2.66	0.5	0.01
04/05/2018	***-**-5049 - CRUZ, JOSE ACCOUNT #: 00087905159	EUROPACIFIC GROWTH FUND-A BUY 0 Units @60.3100	25.00	1.25	0.00	1.25	0.5	0.01
04/05/2018	***-**-5049 - CRUZ, JOSE ACCOUNT #: 00087905262	EUROPACIFIC GROWTH FUND-A BUY 1 Units @60.3100	37.50	1.88	0.00	1.88	0.5	0.01
03/31/2018	***-**-6399 - STANDRIDGE, ACCOUNT #: 08571297527	LIMITED-TERM GOVERNMENT FUND C BUY 0 Units @0.0000	0.00	2.37	0.00	2.37	0.5	0.01
03/31/2018	***-**-0405 - STANDRIDGE, ACCOUNT #: 08571297549	LIMITED-TERM GOVERNMENT FUND C BUY 0 Units @0.0000	0.00	2.37	0.00	2.37	0.5	0.01
04/05/2018	***-**-9952 - NGUYEN, VICKIE ACCOUNT #: 04000496355	NEW PERSPECTIVE FUND-529A BUY 2 Units @46.4400	75.00	3.75	0.00	3.75	0.5	0.02
04/05/2018	***-**-9952 - NGUYEN, VICKIE ACCOUNT #: 04000496381	NEW PERSPECTIVE FUND-529A BUY 1 Units @46.4400	50.00	2.50	0.00	2.50	0.5	0.01
03/31/2018	***-**-6399 - STANDRIDGE, ACCOUNT #: 08822120019	OPPENHEIMER INT'L BOND CLASS C BUY 0 Units @0.0000	0.00	2.87	0.00	2.87	0.5	0.01
03/31/2018	***-**-0405 - STANDRIDGE, ACCOUNT #: 08822120041	OPPENHEIMER INT'L BOND CLASS C BUY 0 Units @0.0000	0.00	2.87	0.00	2.87	0.5	0.01
03/31/2018	***-**-6399 - STANDRIDGE, ACCOUNT #: 08170466884	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	6.94	0.00	6.94	0.5	0.03
03/31/2018	***-**-0405 - STANDRIDGE, ACCOUNT #: 08170466906	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	6.94	0.00	6.94	0.5	0.03
04/05/2018	***-**-8240 - BREWER, LUCINDA ACCOUNT #: 00087834785	SMALLCAP WORLD FUND-A BUY 1 Units @59.7800	62.50	2.66	0.00	2.66	0.5	0.01



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: ALFREDO BALLESTEROS (continued)</u>								
04/05/2018	***-**-5049 - CRUZ, JOSE	SMALLCAP WORLD FUND-A	25.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 00087905159	BUY 0 Units @60.2500						
04/05/2018	***-**-5049 - CRUZ, JOSE	SMALLCAP WORLD FUND-A	37.50	1.88	0.00	1.88	0.5	0.01
	ACCOUNT #: 00087905262	BUY 1 Units @60.2500						
04/02/2018	***-**-9808 - SJOERDSMA, GREGG	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: 00087919902	BUY 4 Units @13.1300						
04/02/2018	***-**-0385 - SJOERDSMA, ANN	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: 00087919970	BUY 4 Units @13.1300						
04/05/2018	***-**-9952 - NGUYEN, VICKIE	THE GROWTH FUND OF AMERICA-529A	75.00	3.75	0.00	3.75	0.5	0.02
	ACCOUNT #: 04000496355	BUY 1 Units @53.7700						
04/05/2018	***-**-9952 - NGUYEN, VICKIE	THE GROWTH FUND OF AMERICA-529A	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 04000496381	BUY 1 Units @53.7700						
04/02/2018	***-**-9808 - SJOERDSMA, GREGG	THE GROWTH FUND OF AMERICA-A	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 00087919902	BUY 1 Units @52.8700						
04/02/2018	***-**-0385 - SJOERDSMA, ANN	THE GROWTH FUND OF AMERICA-A	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 00087919970	BUY 1 Units @52.8700						
04/05/2018	***-**-8240 - BREWER, LUCINDA	THE GROWTH FUND OF AMERICA-A	62.50	2.66	0.00	2.66	0.5	0.01
	ACCOUNT #: 00087834785	BUY 1 Units @53.9200						
04/05/2018	***-**-5049 - CRUZ, JOSE	THE GROWTH FUND OF AMERICA-A	25.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 00087905159	BUY 0 Units @54.3400						
04/05/2018	***-**-5049 - CRUZ, JOSE	THE GROWTH FUND OF AMERICA-A	37.50	1.88	0.00	1.88	0.5	0.01
	ACCOUNT #: 00087905262	BUY 1 Units @54.3400						
04/02/2018	***-**-9808 - SJOERDSMA, GREGG	THE INCOME FUND OF AMERICA-A	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 00087919902	BUY 2 Units @23.8400						
04/02/2018	***-**-0385 - SJOERDSMA, ANN	THE INCOME FUND OF AMERICA-A	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 00087919970	BUY 2 Units @23.8400						
04/05/2018	***-**-9952 - NGUYEN, VICKIE	THE INVESTMENT COMPANY OF AMERICA-5	75.00	3.75	0.00	3.75	0.5	0.02
	ACCOUNT #: 04000496355	BUY 2 Units @42.2800						
04/05/2018	***-**-9952 - NGUYEN, VICKIE	THE INVESTMENT COMPANY OF AMERICA-5	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 04000496381	BUY 1 Units @42.2800						
04/05/2018	***-**-8240 - BREWER, LUCINDA	THE INVESTMENT COMPANY OF AMERICA-A	62.50	2.66	0.00	2.66	0.5	0.01
	ACCOUNT #: 00087834785	BUY 1 Units @42.0500						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: ALFREDO BALLESTEROS (continued)</u> 								
04/05/2018	***-**-5049 - CRUZ, JOSE	THE INVESTMENT COMPANY OF AMERICA-A	25.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 00087905159	BUY 1 Units @42.3900						
04/05/2018	***-**-5049 - CRUZ, JOSE	THE INVESTMENT COMPANY OF AMERICA-A	37.50	1.88	0.00	1.88	0.5	0.01
	ACCOUNT #: 00087905262	BUY 1 Units @42.3900						
* ALFREDO BALLESTEROS SUBTOTAL *			\$1,400.00	\$125.24	\$0.00	\$125.24		\$0.58
 <u>BROKER: JOHN BUSEY</u> 								
04/01/2018	***-**-0357 - LE BAR, ADAM	AIM DIVERSIFIED DIVIDEND FUND - CL	0.00	6.99	0.00	6.99	0.5	0.03
	ACCOUNT #: 00777141446	BUY 0 Units @0.0000						
04/01/2018	***-**-7046 - LE BAR, CHARLES	AIM GLOBAL HEALTH CARE FUND - CLASS	0.00	1.53	0.00	1.53	0.5	0.01
	ACCOUNT #: 05064446577	BUY 0 Units @0.0000						
04/01/2018	***-**-7046 - LE BAR, CHARLES	AIM GLOBAL HEALTH CARE FUND CLASS A	0.00	30.88	0.00	30.88	0.5	0.15
	ACCOUNT #: 05064446577	BUY 0 Units @0.0000						
04/01/2018	***-**-9583 - STARCHER, MARTIN	AIM HIGH YIELD FUND - CLASS A	0.00	7.84	0.00	7.84	0.5	0.04
	ACCOUNT #: 00777018377	BUY 0 Units @0.0000						
04/01/2018	***-**-7046 - LE BAR, CHARLES	AIM MID CAP CORE EQUITY FUND - CL B	0.00	1.38	0.00	1.38	0.5	0.01
	ACCOUNT #: 05064446577	BUY 0 Units @0.0000						
04/01/2018	***-**-9583 - STARCHER, MARTIN	AIM MID-CAP EQUITY FUND CLASS A	0.00	17.24	0.00	17.24	0.5	0.09
	ACCOUNT #: 00777018377	BUY 0 Units @0.0000						
04/01/2018	***-**-3831 - WOODALL, LISE	AIM MID-CAP EQUITY FUND CLASS A	0.00	1.69	0.00	1.69	0.5	0.01
	ACCOUNT #: 05064446619	BUY 0 Units @0.0000						
04/01/2018	***-**-7046 - LE BAR, CHARLES	AIM MID-CAP EQUITY FUND CLASS A	0.00	27.95	0.00	27.95	0.5	0.14
	ACCOUNT #: 05064446577	BUY 0 Units @0.0000						
04/16/2018	***-**-005I - KUCK, LAURA	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	20.18	0.00	20.18	0.5	0.10
	ACCOUNT #: LSR012243	BUY 1 Units @0.0000						
04/01/2018	***-**-0357 - LE BAR, ADAM	INVESCO BALANCED - RISK ALLOCATION	0.00	5.82	0.00	5.82	0.5	0.03
	ACCOUNT #: 00777141446	BUY 0 Units @0.0000						
04/01/2018	***-**-9092 - REYNOLDS,	INVESCO BALANCED-RISK RTRMNT 2050 -	0.00	2.73	0.00	2.73	0.5	0.01
	ACCOUNT #: 00777168436	BUY 0 Units @0.0000						
04/01/2018	***-**-11TR - THE VALLEY TRUST	INVESCO VAN KAMPEN COMSTOCK CLASS A	0.00	16.21	0.00	16.21	0.5	0.08
	ACCOUNT #: 01001305237	BUY 0 Units @0.0000						
04/01/2018	***-**-11TR - THE VALLEY TRUST	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	23.60	0.00	23.60	0.5	0.12
	ACCOUNT #: 01001305237	BUY 0 Units @0.0000						



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 <u>BROKER: JOHN BUSEY (continued)</u> 								
04/01/2018	***-**-9583 - STARCHER, MARTIN	INVESCO VAN KAMPEN VALUE OPP CLASS	0.00	17.74	0.00	17.74	0.5	0.09
	ACCOUNT #: 00777018377	BUY 0 Units @0.0000						
04/01/2018	***-**-3831 - WOODALL, LISE	INVESCO VAN KAMPEN VALUE OPP CLASS	0.00	1.13	0.00	1.13	0.5	0.01
	ACCOUNT #: 05064446619	BUY 0 Units @0.0000						
04/01/2018	***-**-7046 - LE BAR, CHARLES	INVESCO VAN KAMPEN VALUE OPP CLASS	0.00	29.55	0.00	29.55	0.5	0.15
	ACCOUNT #: 05064446577	BUY 0 Units @0.0000						
04/01/2018	***-**-7046 - LE BAR, CHARLES	IVK VALUE OPPORTUNITIES FUND -CLASS	0.00	1.54	0.00	1.54	0.5	0.01
	ACCOUNT #: 05064446577	BUY 0 Units @0.0000						
		 * JOHN BUSEY SUBTOTAL * 	 \$0.00 	 \$214.00 	 \$0.00 	 \$214.00 		 \$1.08
 <u>BROKER: MICHAEL PINEDA</u> 								
04/16/2018	***-**-4660 - DEFFENBACHER,	SCHOLARS CHOICE TRAILS	0.00	49.79	0.00	49.79	0.5	0.25
	ACCOUNT #: 0045785219	BUY 0 Units @0.0000						
		 * MICHAEL PINEDA SUBTOTAL * 	 \$0.00 	 \$49.79 	 \$0.00 	 \$49.79 		 \$0.25
 <u>BROKER: JOSHUA WEAVER</u> 								
02/21/2018	***-**-7661 - LUNDY, AARON	LIVEWELL MUTUAL FUND	12,674.57	126.75	0.00	126.75	0.5	0.63
		BUY 0 Units @0.0000						
04/16/2018	***-**-8241 - LUNDY, CHRYSTAL	SAMMONS LIVEWELL MUTUAL FUND	458.33	4.58	0.00	4.58	0.5	0.02
		BUY 0 Units @0.0000						
		 * JOSHUA WEAVER SUBTOTAL * 	 \$13,132.90 	 \$131.33 	 \$0.00 	 \$131.33 		 \$0.65
 <u>BROKER: STEPHEN CARVER</u> 								
04/11/2018	***-**-012I - ALTENBERGER,	ABBOTT LABORATORIES UNSOLICITED ORD	5,865.50	58.00	0.00	58.00	0.5	0.29
	ACCOUNT #: LSR012599	BUY 100 Units @58.6550						
04/11/2018	***-**-012I - ALTENBERGER,	ABBOTT LABORATORIES UNSOLICITED ORD	5,866.00	73.00	0.00	73.00	0.5	0.37
	ACCOUNT #: LSR012599	BUY 100 Units @58.6600						
04/11/2018	***-**-012I - ALTENBERGER,	ABBVIE INC COM USD0.01	18,660.00	181.00	0.00	181.00	0.5	0.91
	ACCOUNT #: LSR012599	BUY 200 Units @93.3000						
04/16/2018	***-**-55IR - WISE, MARY	AIM DIVERSIFIED DIVIDEND FUND - CL	0.00	2.69	0.00	2.69	0.5	0.01
	ACCOUNT #: LSR012558	BUY 1 Units @0.0000						
04/11/2018	***-**-012I - ALTENBERGER,	ALPHABET INC CAP STK CL A	41,096.80	407.00	0.00	407.00	0.5	2.04
	ACCOUNT #: LSR012599	BUY 40 Units @1027.4200						



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 <u>BROKER: STEPHEN CARVER (continued)</u>								
04/16/2018	***-**-03IR - RHODE, SUSAN ACCOUNT #: LSR012464	CALVERT GLOBAL WATER FUND CLASS A BUY 1 Units @0.0000	0.00	1.72	0.00	1.72	0.5	0.01
04/16/2018	***-**-447I - HEINZ-OTTE, ACCOUNT #: LSR012465	CALVERT GLOBAL WATER FUND CLASS A BUY 1 Units @0.0000	0.00	6.61	0.00	6.61	0.5	0.03
04/16/2018	***-**-496I - MCCOY, SHERIANNE ACCOUNT #: LSR012469	CALVERT GLOBAL WATER FUND CLASS A BUY 1 Units @0.0000	0.00	4.60	0.00	4.60	0.5	0.02
04/16/2018	***-**-617I - DVIZAC, LORI ACCOUNT #: LSR012473	CALVERT GLOBAL WATER FUND CLASS A BUY 1 Units @0.0000	0.00	2.10	0.00	2.10	0.5	0.01
04/16/2018	***-**-54IO - FRIES, SHARON ACCOUNT #: LSR012478	CALVERT GLOBAL WATER FUND CLASS A BUY 1 Units @0.0000	0.00	5.35	0.00	5.35	0.5	0.03
04/16/2018	***-**-03TR - NEAL TRUST, ACCOUNT #: LSR012505	CALVERT GLOBAL WATER FUND CLASS A BUY 1 Units @0.0000	0.00	3.27	0.00	3.27	0.5	0.02
04/16/2018	***-**-691I - HEINZ, MARK ACCOUNT #: LSR012513	CALVERT GLOBAL WATER FUND CLASS A BUY 1 Units @0.0000	0.00	7.04	0.00	7.04	0.5	0.04
04/16/2018	***-**-042I - HEINZ, CHERI ACCOUNT #: LSR012514	CALVERT GLOBAL WATER FUND CLASS A BUY 1 Units @0.0000	0.00	2.32	0.00	2.32	0.5	0.01
04/16/2018	***-**-411I - WURMNEST, ACCOUNT #: LSR012516	CALVERT GLOBAL WATER FUND CLASS A BUY 1 Units @0.0000	0.00	4.69	0.00	4.69	0.5	0.02
04/16/2018	***-**-902I - WURMNEST, DIANE ACCOUNT #: LSR012517	CALVERT GLOBAL WATER FUND CLASS A BUY 1 Units @0.0000	0.00	1.88	0.00	1.88	0.5	0.01
04/16/2018	***-**-361J - COOK, ALAN ACCOUNT #: LSR012544	CALVERT GLOBAL WATER FUND CLASS A BUY 1 Units @0.0000	0.00	2.82	0.00	2.82	0.5	0.01
04/16/2018	***-**-720X - COOK, TAMI ACCOUNT #: LSR012548	CALVERT GLOBAL WATER FUND CLASS A BUY 1 Units @0.0000	0.00	1.12	0.00	1.12	0.5	0.01
04/16/2018	***-**-3709 - TILLER, EDWIN ACCOUNT #: LSR012570	CALVERT GLOBAL WATER FUND CLASS A BUY 1 Units @0.0000	0.00	1.78	0.00	1.78	0.5	0.01
04/16/2018	***-**-141I - ROHMAN, ARTHUR ACCOUNT #: LSR012574	CALVERT GLOBAL WATER FUND CLASS A BUY 1 Units @0.0000	0.00	2.37	0.00	2.37	0.5	0.01
04/16/2018	***-**-41IR - ROHMAN, ARTHUR ACCOUNT #: LSR012575	CALVERT GLOBAL WATER FUND CLASS A BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	0.5	0.01
04/09/2018	***-**-323I - ALTENBERGER, ACCOUNT #: LSR012593	CATERPILLAR INC SELL 185 Units @145.7480	26,963.38	476.30	0.00	476.30	0.5	2.38



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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: STEPHEN CARVER (continued)</u>								
04/11/2018	***-**-012I - ALTENBERGER, ACCOUNT #: LSR012599	CATERPILLAR INC SELL 1054 Units @147.5850	155,554.59	1,838.92	0.00	1,838.92	0.5	9.19
04/09/2018	***-**-23TR - ALTENBERGER ACCOUNT #: LSR012598	CENTURYLINK INC UNSOLICITED ORDER SELL 16 Units @17.3650	277.84	22.68	0.00	22.68	0.5	0.11
04/16/2018	***-**-447I - HEINZ-OTTE, ACCOUNT #: LSR012465	DELAWARE EMERGING MARKETS FUND A CL BUY 1 Units @0.0000	0.00	6.76	0.00	6.76	0.5	0.03
04/09/2018	***-**-23TR - ALTENBERGER ACCOUNT #: LSR012598	EXELON CORP COM SELL 8 Units @38.5400	308.32	22.84	0.00	22.84	0.5	0.11
04/11/2018	***-**-012I - ALTENBERGER, ACCOUNT #: LSR012599	FIRSTENERGY CORP COM SELL 179 Units @34.3900	6,155.81	56.42	0.00	56.42	0.5	0.28
04/16/2018	***-**-54IO - FRIES, SHARON ACCOUNT #: LSR012478	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	3.11	0.00	3.11	0.5	0.02
04/16/2018	***-**-84IO - COILE, ROBERT ACCOUNT #: LSR012460	FRK HIGH INC FND - CL A BUY 1 Units @0.0000	0.00	1.01	0.00	1.01	0.5	0.01
04/16/2018	***-**-703I - RHODE, SUSAN ACCOUNT #: LSR012463	FRK HIGH INC FND - CL A BUY 1 Units @0.0000	0.00	2.25	0.00	2.25	0.5	0.01
04/16/2018	***-**-558I - CRANFORD, ACCOUNT #: LSR012466	FRK HIGH INC FND - CL A BUY 1 Units @0.0000	0.00	3.18	0.00	3.18	0.5	0.02
04/16/2018	***-**-496I - MCCOY, SHERIANNE ACCOUNT #: LSR012469	FRK HIGH INC FND - CL A BUY 1 Units @0.0000	0.00	2.81	0.00	2.81	0.5	0.01
04/16/2018	***-**-03TR - NEAL TRUST, ACCOUNT #: LSR012505	FRK HIGH INC FND - CL A BUY 1 Units @0.0000	0.00	3.74	0.00	3.74	0.5	0.02
04/16/2018	***-**-691I - HEINZ, MARK ACCOUNT #: LSR012513	FRK HIGH INC FND - CL A BUY 1 Units @0.0000	0.00	3.24	0.00	3.24	0.5	0.02
04/09/2018	***-**-23TR - ALTENBERGER ACCOUNT #: LSR012598	FRONTIER COMMUNICATIONS CORP COM NE SELL 3 Units @7.8910	23.67	3.60	0.00	3.60	0.5	0.02
04/10/2018	***-**-84IO - COILE, ROBERT ACCOUNT #: LSR012460	GENERAL MOTORS CO COM USD0.01 ISIN BUY 500 Units @38.6100	19,305.00	325.00	0.00	325.00	0.5	1.63
04/10/2018	***-**-361J - COOK, ALAN ACCOUNT #: LSR012544	GENERAL MOTORS CO COM USD0.01 ISIN BUY 500 Units @38.5950	19,297.50	325.00	0.00	325.00	0.5	1.63
04/11/2018	***-**-012I - ALTENBERGER, ACCOUNT #: LSR012599	HANCOCK JOHN PFD INC ME FD III BUY 800 Units @17.6600	14,128.00	119.00	0.00	119.00	0.5	0.60



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: STEPHEN CARVER (continued) </u>								
04/11/2018	***-**-012I - ALTENBERGER, ACCOUNT #: LSR012599	HANCOCK JOHN PFD INCOME FD II COM BUY 100 Units @19.8700	1,987.00	37.00	0.00	37.00	0.5	0.19
04/11/2018	***-**-012I - ALTENBERGER, ACCOUNT #: LSR012599	HANCOCK JOHN PFD INCOME FD II COM BUY 400 Units @19.8790	7,951.60	47.29	0.00	47.29	0.5	0.24
04/11/2018	***-**-012I - ALTENBERGER, ACCOUNT #: LSR012599	HANCOCK JOHN PFD INCOME FD II COM BUY 100 Units @19.8790	1,987.90	4.76	0.00	4.76	0.5	0.02
04/11/2018	***-**-012I - ALTENBERGER, ACCOUNT #: LSR012599	HANCOCK JOHN PFD INCOME FD SH BEN I BUY 600 Units @20.4830	12,289.80	123.00	0.00	123.00	0.5	0.62
04/16/2018	***-**-902I - WURMNEST, DIANE ACCOUNT #: LSR012517	IVY ASSET STRATEGY FUND CLASS A BUY 1 Units @0.0000	0.00	3.44	0.00	3.44	0.5	0.02
04/11/2018	***-**-23TR - ALTENBERGER ACCOUNT #: LSR012598	NETFLIX COM INC COM UNSOLICITED ORD BUY 25 Units @305.3100	7,632.75	67.00	0.00	67.00	0.5	0.34
04/11/2018	***-**-23TR - ALTENBERGER ACCOUNT #: LSR012598	NETFLIX COM INC COM UNSOLICITED ORD BUY 100 Units @305.2800	30,528.00	340.00	0.00	340.00	0.5	1.70
04/16/2018	***-**-15TR - REV, ALBERT ACCOUNT #: LSR012573	NUVEEN HIGH YIELD MUNI CLASS A BUY 1 Units @0.0000	0.00	3.35	0.00	3.35	0.5	0.02
04/16/2018	***-**-447I - HEINZ-OTTE, ACCOUNT #: LSR012465	RYDEX DOW 2X STRATEGY CL A BUY 1 Units @0.0000	0.00	7.40	0.00	7.40	0.5	0.04
04/09/2018	***-**-447I - HEINZ-OTTE, ACCOUNT #: LSR012465	SECTOR SPDR TR SHS BEN INT FINANCIA BUY 1000 Units @27.4990	27,499.00	460.00	0.00	460.00	0.5	2.30
04/09/2018	***-**-691I - HEINZ, MARK ACCOUNT #: LSR012513	SECTOR SPDR TR SHS BEN INT FINANCIA BUY 1000 Units @27.4450	27,445.00	460.00	0.00	460.00	0.5	2.30
04/09/2018	***-**-042I - HEINZ, CHERI ACCOUNT #: LSR012514	SECTOR SPDR TR SHS BEN INT FINANCIA BUY 750 Units @27.5300	20,647.50	370.00	0.00	370.00	0.5	1.85
04/11/2018	***-**-12IN - ALTENBERGER, ACCOUNT #: LSR012600	SECTOR SPDR TR SHS BEN INT FINANCIA BUY 550 Units @27.4950	15,122.25	174.00	0.00	174.00	0.5	0.87
04/11/2018	***-**-12IN - ALTENBERGER, ACCOUNT #: LSR012600	SECTOR SPDR TR SHS BEN INT INDUSTRI BUY 200 Units @73.4550	14,691.00	181.00	0.00	181.00	0.5	0.91
04/11/2018	***-**-323I - ALTENBERGER, ACCOUNT #: LSR012593	SECTOR SPDR TR SHS BEN INT TECHNOLO BUY 300 Units @65.7350	19,720.50	179.00	0.00	179.00	0.5	0.90
04/11/2018	***-**-12IN - ALTENBERGER, ACCOUNT #: LSR012600	SECTOR SPDR TR SHS BEN INT TECHNOLO BUY 225 Units @65.7470	14,793.08	180.50	0.00	180.50	0.5	0.90



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: STEPHEN CARVER (continued)</u> 								
04/11/2018	***-**-12IN - ALTENBERGER, ACCOUNT #: LSR012600	SELECT SECTOR SPDR TR CONSUMER DISC BUY 150 Units @101.8800	15,282.00	182.00	0.00	182.00	0.5	0.91
04/09/2018	***-**-23TR - ALTENBERGER ACCOUNT #: LSR012598	VODAFONE GROUP SPON ADR REP 10 ORD SELL 45 Units @29.0110	1,305.50	35.79	0.00	35.79	0.5	0.18
* STEPHEN CARVER SUBTOTAL *			<u>\$532,385.29</u>	<u>\$6,842.30</u>	<u>\$0.00</u>	<u>\$6,842.30</u>		<u>\$34.27</u>
 <u>BROKER: DAVID BLOCK</u> 								
04/01/2018	***-**-81IN - BLOCK, DAVID ACCOUNT #: 03910195175	AIM CHARTER FUND - CLASS A BUY 0 Units @0.0000	0.00	2.42	0.00	2.42	0.5	0.01
04/01/2018	***-**-81IN - BLOCK, DAVID ACCOUNT #: 05061216973	AIM MID-CAP EQUITY FUND CLASS A BUY 0 Units @0.0000	0.00	22.07	0.00	22.07	0.5	0.11
04/01/2018	***-**-81IN - BLOCK, DAVID ACCOUNT #: 05061216973	AIM SMALL CAP GROWTH FUND - CLASS A BUY 0 Units @0.0000	0.00	30.45	0.00	30.45	0.5	0.15
04/01/2018	***-**-81IN - BLOCK, DAVID ACCOUNT #: 03910195175	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	1.43	0.00	1.43	0.5	0.01
04/01/2018	***-**-81IN - BLOCK, DAVID ACCOUNT #: 05061216973	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	61.41	0.00	61.41	0.5	0.31
04/01/2018	***-**-6850 - BORIO, RENEE ACCOUNT #: 03810391528	INVESCO VAN KAMPEN VALUE OPP CLASS BUY 0 Units @0.0000	0.00	1.23	0.00	1.23	0.5	0.01
04/01/2018	***-**-81IN - BLOCK, DAVID ACCOUNT #: 05061216973	INVESCO VAN KAMPEN VALUE OPP CLASS BUY 0 Units @0.0000	0.00	31.11	0.00	31.11	0.5	0.16
* DAVID BLOCK SUBTOTAL *			<u>\$0.00</u>	<u>\$150.12</u>	<u>\$0.00</u>	<u>\$150.12</u>		<u>\$0.76</u>
 <u>BROKER: LARRY KOVAL</u> 								
04/16/2018	***-**-38IR - BEHUM, CAROL ACCOUNT #: LSR012447	LEGG MASON VALUE TRUST CL C BUY 1 Units @0.0000	0.00	1.83	0.00	1.83	0.5	0.01
04/10/2018	***-**-034I - MCDONNELL, ACCOUNT #: LSR012429	MICRON TECHNOLOGY SOLICITED ORDER BUY 200 Units @49.6110	9,922.20	90.00	0.00	90.00	0.5	0.45
04/10/2018	***-**-034I - MCDONNELL, ACCOUNT #: LSR012429	VERIFONE SYS INC COM SELL 50 Units @22.8150	1,140.75	47.89	0.00	47.89	0.5	0.24
04/10/2018	***-**-034I - MCDONNELL, ACCOUNT #: LSR012429	VERIFONE SYS INC COM SELL 118 Units @22.8150	2,692.17	29.26	0.00	29.26	0.5	0.15
* LARRY KOVAL SUBTOTAL *			<u>\$13,755.12</u>	<u>\$168.98</u>	<u>\$0.00</u>	<u>\$168.98</u>		<u>\$0.85</u>



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: JAMES (DABNEY) MCMURRAY</u> 								
04/16/2018	***-**-73IN - LEE, HELEN	FRANKLIN INCOME FUND CLASS A	0.00	10.40	0.00	10.40	0.5	0.05
	ACCOUNT #: LSR012444	BUY 1 Units @0.0000						
04/16/2018	***-**-735J - CAREY, FRANCES	FRANKLIN INCOME FUND CLASS A	0.00	1.31	0.00	1.31	0.5	0.01
	ACCOUNT #: LSR012486	BUY 1 Units @0.0000						
04/16/2018	***-**-119I - CURRY, CARREME	FRANKLIN INCOME FUND CLASS A	0.00	1.36	0.00	1.36	0.5	0.01
	ACCOUNT #: LSR012506	BUY 1 Units @0.0000						
04/16/2018	***-**-807I - CAREY, SUSAN	FRANKLIN INCOME FUND CLASS C	0.00	1.23	0.00	1.23	0.5	0.01
	ACCOUNT #: LSR012495	BUY 1 Units @0.0000						
 * JAMES (DABNEY) MCMURRAY SUBTOTAL * 			 \$0.00 	 \$14.30 	 \$0.00 	 \$14.30 		 \$0.08
 *** OVERRIDE TRANSACTIONS TOTAL *** 			 \$1,589,571.29 	 \$166,284.26 	 \$0.00 	 \$166,284.26 		 \$833.53

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$0.00
Override Transactions	\$833.53
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	\$833.53
Year-to-date Earnings	\$7,492.65