



COMMISSION STATEMENT

March 26, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/23/2018	***-**-188I - BRADLEY, WAYNE ACCOUNT #: LSR012484	TERRA INCOME FUND 6, INC. BUY 1521 Units @9.8600	15,000.00	0.00	18.00	-18.00	100.0	-18.00
03/26/2018	***-**-51IR - BLAKE, JAMES ACCOUNT #: LSR012391	TERRA INCOME FUND 6, INC. BUY 1268 Units @9.8600	12,500.00	0.00	18.00	-18.00	100.0	-18.00
03/16/2018	***-**-851I - BLAKE, JAMES ACCOUNT #: LSR012390	AMERICAN FUNDS MORTGAGE FD CL C BUY 1019 Units @9.8100	10,000.00	118.00	18.00	100.00	0.0	0.00
03/16/2018	***-**-32IO - WITT, DEBORAH ACCOUNT #: LSR012285	AMERICAN GLOBAL BALANCED CL C BUY 228 Units @32.8500	7,500.02	93.00	18.00	75.00	0.0	0.00
03/05/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
03/15/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 00083510637	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.2000	75.00	0.75	0.00	0.75	0.0	0.00
03/15/2018	***-**-2855 - KRECIDLO, MARTA ACCOUNT #: 00083510745	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.2000	75.00	0.75	0.00	0.75	0.0	0.00
03/15/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.2000	50.00	0.50	0.00	0.50	0.0	0.00
03/16/2018	***-**-32IO - WITT, DEBORAH ACCOUNT #: LSR012285	EATON VANCE FLOATING RATE ADVANTAGE BUY 457 Units @10.9500	5,000.00	68.00	18.00	50.00	0.0	0.00
03/05/2018	***-**-633J - ACCOUNT #: 08353229688	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	0.0	0.00
03/13/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
03/15/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	FUNDAMENTAL INVESTORS-C BUY 1 Units @63.6300	50.00	0.50	0.00	0.50	0.0	0.00
03/05/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 02171825219	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
03/16/2018	***-**-632I - LOWE, PAMELA ACCOUNT #: LSR012397	IVK SENIOR LOAN FUND - CLASS IB SELL 954 Units @6.7300	6,422.88	18.00	18.00	0.00	0.0	0.00
03/22/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	LORD ABBETT SHORT DURATION INCOME C SELL 1418 Units @4.2300	6,000.00	0.00	6.00	-6.00	100.0	-6.00
03/22/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	LORD ABBETT VALUE OPPORTUNITY FD CL BUY 344 Units @17.4400	6,000.01	19.99	6.00	13.99	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
03/20/2018	***-**-188I - BRADLEY, WAYNE	MFS CONSERVATIVE ALLOCATION CL C	12,000.01	138.00	18.00	120.00	0.0	0.00
	ACCOUNT #: LSR012484	BUY 786 Units @15.2700						
03/20/2018	***-**-35IR - RUGGIERO, LAURIE	MFS CONSERVATIVE ALLOCATION FUND-B	6,431.63	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR012276	SELL 417 Units @15.4100						
03/19/2018	***-**-53RI - FALCHI, VALERIE	MFS GLOBAL TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191172002	BUY 3 Units @18.5000						
03/20/2018	***-**-617I - ESCHE, BEVERLY	MFS GLOBAL TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191154979	BUY 3 Units @18.4700						
03/20/2018	***-**-617I - ESCHE, BEVERLY	MFS INTERNATIONAL NEW DISCOVERY FUN	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191154979	BUY 1 Units @34.3000						
03/15/2018	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 4 Units @23.5300						
03/16/2018	***-**-32IO - WITT, DEBORAH	MFS TECHNOLOGY CLASS C	5,000.01	68.00	18.00	50.00	0.0	0.00
	ACCOUNT #: LSR012285	BUY 138 Units @36.1900						
03/15/2018	***-**-213I - GRUENEWALD,	MFS TECHNOLOGY FUND-B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 3 Units @36.3500						
03/20/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191173302	BUY 1 Units @35.8900						
03/15/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	35.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: 08190127967	BUY 2 Units @19.4900						
03/15/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191352846	BUY 3 Units @19.4900						
03/20/2018	***-**-617I - ESCHE, BEVERLY	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191154979	BUY 3 Units @19.3400						
03/20/2018	***-**-188I - BRADLEY, WAYNE	MFS UTILITIES FUND-C	5,000.01	68.00	18.00	50.00	0.0	0.00
	ACCOUNT #: LSR012484	BUY 259 Units @19.3400						
03/15/2018	***-**-680I - HARRELL, DARYL	NEW WORLD FUND-C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00083996385	BUY 1 Units @67.1300						
03/05/2018	***-**-633J -	OPP PORT SERIES: ACTIVE ALLOC A	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 05502871176	BUY 0 Units @0.0000						
03/05/2018	***-**-775I - BLISS, APRIL	OPPENHEIMER ACTIVE ALLOCATION FUND	90.98	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: 05521022692	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
03/13/2018	***-**-13IN - BLISS, PATRICK	OPPENHEIMER ACTIVE ALLOCATION FUND	75.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 05521022681	BUY 0 Units @0.0000						
03/13/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						
03/21/2018	***-**-31IO - WILLIAMSON, FBO	OPPENHEIMER DEVELOPING MARKETS CLAS	2,844.28	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR011172	SELL 62 Units @45.5800						
03/13/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER GLBL REAL ESTATE FUND C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00100021715	BUY 0 Units @0.0000						
03/05/2018	***-**-633J -	OPPENHEIMER INTERNATIONAL DIVERSIFI	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 01953330426	BUY 0 Units @0.0000						
03/13/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER INTERNATIONAL DIVERSIFI	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 01971019612	BUY 0 Units @0.0000						
03/05/2018	***-**-633J -	OPPENHEIMER SMALL & MID CAP VALUE F	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 02514987422	BUY 0 Units @0.0000						
03/15/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM GLOBAL UTILITIES CL C	100.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: 00426855622	BUY 8 Units @12.9600						
03/21/2018	***-**-31IO - WILLIAMSON, FBO	PUTNAM UTILITIES GR & INC-B	799.99	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR011172	SELL 62 Units @12.9600						
03/15/2018	***-**-680I - HARRELL, DARYL	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00083996385	BUY 1 Units @49.4000						
* MUTUAL FUNDS SUBTOTAL *			\$102,649.82	\$712.77	\$228.00	\$484.77		\$-42.00
PRODUCT CATEGORY: STOCKS								
03/21/2018	***-**-80IN - COBB, JAMES	CREDIT SUISSE GROUP SPON ADR-REP 1	7,076.00	97.49	23.00	74.49	0.0	0.00
	ACCOUNT #: LSR011042	SELL 400 Units @17.6900						
03/21/2018	***-**-930I - SANGER, KEVIN	DENBURY RES INC DEL COM USD0.001	2,640.00	47.49	35.00	12.49	0.0	0.00
	ACCOUNT #: LSR010941	SELL 1000 Units @2.6400						
03/21/2018	***-**-15IN - PENDRAK, JOHN	DENBURY RES INC DEL COM USD0.001	3,960.00	77.49	45.00	32.49	0.0	0.00
	ACCOUNT #: LSR010948	SELL 1500 Units @2.6400						
03/21/2018	***-**-15IN - PENDRAK, JOHN	GENESIS HEALTHCARE INC CL A COM ISI	1,515.00	49.99	35.00	14.99	0.0	0.00
	ACCOUNT #: LSR010948	SELL 1000 Units @1.5150						
03/16/2018	***-**-851I - BLAKE, JAMES	NATIONAL GRID SPON ADR EACH REP 5 O	5,468.00	57.49	17.00	40.49	0.0	0.00
	ACCOUNT #: LSR012390	BUY 100 Units @54.6800						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
03/16/2018	***-**-51IR - BLAKE, JAMES	NATIONAL GRID SPON ADR EACH REP 5 O	5,473.50	57.49	17.00	40.49	0.0	0.00
	ACCOUNT #: LSR012391	BUY 100 Units @54.7350						
03/16/2018	***-**-851I - BLAKE, JAMES	NORDIC AMERICAN TANKERS LIMITE COM	3,859.00	57.49	49.00	8.49	0.0	0.00
	ACCOUNT #: LSR012390	BUY 1700 Units @2.2700						
03/16/2018	***-**-851I - BLAKE, JAMES	STEIN MART INC COM	3,174.00	59.99	18.00	41.99	0.0	0.00
	ACCOUNT #: LSR012390	BUY 2000 Units @1.5870						
03/19/2018	***-**-79IR - RICHARD R.	STEIN MART INC COM	4,649.70	67.49	18.00	49.49	0.0	0.00
	ACCOUNT #: LSR011240	BUY 3300 Units @1.4090						
03/21/2018	***-**-930I - SANGER, KEVIN	STEIN MART INC COM	5,760.00	77.49	18.00	59.49	0.0	0.00
	ACCOUNT #: LSR010941	BUY 4000 Units @1.4400						
03/21/2018	***-**-15IN - PENDRAK, JOHN	STEIN MART INC COM	5,720.00	97.49	18.00	79.49	0.0	0.00
	ACCOUNT #: LSR010948	BUY 4000 Units @1.4300						
03/21/2018	***-**-80IN - COBB, JAMES	STEIN MART INC COM	6,140.40	67.49	18.00	49.49	0.0	0.00
	ACCOUNT #: LSR011042	BUY 4300 Units @1.4280						
03/21/2018	***-**-09IO - BATES, FBO MRS	STEIN MART INC COM	2,840.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR011117	BUY 2000 Units @1.4200						
03/21/2018	***-**-31IO - WILLIAMSON, FBO	STEIN MART INC COM	3,550.00	67.49	18.00	49.49	0.0	0.00
	ACCOUNT #: LSR011172	BUY 2500 Units @1.4200						
03/21/2018	***-**-851I - BLAKE, JAMES	STEIN MART INC COM	3,525.00	57.49	18.00	39.49	0.0	0.00
	ACCOUNT #: LSR012390	BUY 2500 Units @1.4100						
03/21/2018	***-**-51IR - BLAKE, JAMES	STEIN MART INC COM	4,260.00	57.49	18.00	39.49	0.0	0.00
	ACCOUNT #: LSR012391	BUY 3000 Units @1.4200						
03/19/2018	***-**-79IR - RICHARD R.	VALE S.A. SPONS ADR REPR 1 COM NPV	3,705.00	67.49	21.00	46.49	0.0	0.00
	ACCOUNT #: LSR011240	SELL 300 Units @12.3500						
* STOCKS SUBTOTAL *			\$73,315.60	\$1,114.83	\$404.00	\$710.83		\$0.00
PRODUCT CATEGORY: VARIABLE ANNUITIES								
03/19/2018	***-**-31IN - EVANS, THOMAS	PACIFIC LIFE SE5-NYB DTCC	387.00	11.61	0.00	11.61	0.0	0.00
	ACCOUNT #: VP71063020	BUY 0 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$387.00	\$11.61	\$0.00	\$11.61		\$0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: 529 PLAN								
03/15/2018	***-**-5375 - CARTER, LISA	AMERICAN BALANCED FUND-529C	300.00	3.00	0.00	3.00	0.0	0.00
	ACCOUNT #: 00083996363	BUY 11 Units @27.1600						
		* 529 PLAN SUBTOTAL *	\$300.00	\$3.00	\$0.00	\$3.00		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/26/2018	***-**-702I - KOCHER, MICHAEL	37252M108	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
03/26/2018	***-**-680I - HARRELL, DARYL	37252M108	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
03/26/2018	***-**-22IO - CLINTON, STEPHEN	37252M108	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
03/26/2018	***-**-949I - ACEE, JOSPEH	DEVELOPING MARKETS FUND B	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/26/2018	***-**-506J - CURRIERE JR, MR	DEVELOPING MARKETS FUND B	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - ANACKER, FBO MRS	DEVELOPING MARKETS FUND B	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
03/26/2018	***-**-64IO - PFAFF, GEORGE	DEVELOPING MARKETS FUND B	0.00	1.43	0.00	1.43	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/26/2018	***-**-62IR - ROBBIANO, FBO	DEVELOPING MARKETS FUND B	0.00	1.10	0.00	1.10	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
03/26/2018	***-**-653I - KOCHER, CLINTON	DEVELOPING MARKETS FUND B	0.00	2.29	0.00	2.29	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/26/2018	***-**-287J - HINCKLEY,	EQUITY INCOME FUND, INC. A	0.00	0.55	0.00	0.55	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
03/26/2018	***-**-254I - AUGUSTINE, LINDA	EQUITY INCOME FUND, INC. A	0.00	2.14	0.00	2.14	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/26/2018	***-**-881J - EBERLEY, SUSAN	EQUITY INCOME FUND, INC. A	0.00	2.06	0.00	2.06	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
03/26/2018	***-**-15IN - PENDRAK, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.74	0.00	1.74	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/26/2018	***-**-702I - KOCHER, MICHAEL	EQUITY INCOME FUND, INC. A	0.00	1.89	0.00	1.89	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-959I - FRANZ, PAUL	EQUITY INCOME FUND, INC. A	0.00	2.09	0.00	2.09	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/26/2018	***-**-960J - MASTRANGELO,	EQUITY INCOME FUND, INC. A	0.00	2.22	0.00	2.22	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
03/26/2018	***-**-366I - GRUENEWALD,	EQUITY INCOME FUND, INC. A	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
03/26/2018	***-**-51IO - CAIN, TIMOTHY	EQUITY INCOME FUND, INC. A	0.00	2.36	0.00	2.36	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/26/2018	***-**-761I - EVANS, DOLORES	EQUITY INCOME FUND, INC. A	0.00	4.23	0.00	4.23	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/26/2018	***-**-944O - MAYO, DEBORAH	EQUITY INCOME FUND, INC. A	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/26/2018	***-**-306X - COBB, CHERRYL	EQUITY INCOME FUND, INC. A	0.00	1.82	0.00	1.82	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
03/26/2018	***-**-579I - RHYMESTINE,	EQUITY INCOME FUND, INC. A	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
03/26/2018	***-**-861I - SANGER, LAWRENCE	EQUITY INCOME FUND, INC. A	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/26/2018	***-**-680I - HARRELL, DARYL	EQUITY INCOME FUND, INC. A	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
03/26/2018	***-**-949I - ACEE, JOSPEH	EQUITY INCOME FUND, INC. B	0.00	2.34	0.00	2.34	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/26/2018	***-**-567I - FRANZ, ALICE	EQUITY INCOME FUND, INC. B	0.00	5.54	0.00	5.54	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/26/2018	***-**-506J - CURRIERE JR, MR	EQUITY INCOME FUND, INC. B	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - ANACKER, FBO MRS	EQUITY INCOME FUND, INC. B	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
03/26/2018	***-**-64IO - PFAFF, GEORGE	EQUITY INCOME FUND, INC. B	0.00	1.95	0.00	1.95	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/26/2018	***-**-62IR - ROBBIANO, FBO	EQUITY INCOME FUND, INC. B	0.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						



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2108 Genesee St.
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-653I - KOCHER, CLINTON	EQUITY INCOME FUND, INC. B	0.00	2.89	0.00	2.89	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/26/2018	***-**-980I - ACEE, ELIZABETH	EQUITY INCOME FUND, INC. C	0.00	12.82	0.00	12.82	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
03/26/2018	***-**-031O - MCVOY, ROBERT	EQUITY INCOME FUND, INC. C	0.00	5.78	0.00	5.78	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
03/26/2018	***-**-001O - LEE, GARY	EQUITY INCOME FUND, INC. C	0.00	12.76	0.00	12.76	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
03/26/2018	***-**-281N - BYWATER, KIM	EQUITY INCOME FUND, INC. C	0.00	1.50	0.00	1.50	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
03/26/2018	***-**-441O - MAYO, DEBORAH	FRANKLIN BIOTECH DISCOVERY FUND CL	0.00	3.68	0.00	3.68	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/26/2018	***-**-382I - SATTERLY, NEIL	FRANKLIN CONVERTIBLE SECURITIES CLA	0.00	8.36	0.00	8.36	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
03/26/2018	***-**-861N - LEE, KEVIN	FRANKLIN GROWTH FUND CLASS A	0.00	1.94	0.00	1.94	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
03/26/2018	***-**-861N - LEE, KEVIN	FRANKLIN INCOME FUND CLASS A	0.00	1.10	0.00	1.10	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
03/26/2018	***-**-611N - EVANS, DOLORES	FRANKLIN INCOME FUND CLASS C	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
03/26/2018	***-**-441O - MAYO, DEBORAH	FRANKLIN INCOME FUND CLASS C	0.00	2.71	0.00	2.71	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/26/2018	***-**-091O - BATES, FBO MRS	FRANKLIN INCOME FUND CLASS C	0.00	6.64	0.00	6.64	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/26/2018	***-**-111O - LYNN G.	FRANKLIN INCOME FUND CLASS C	0.00	8.84	0.00	8.84	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-376I - BERBEN, GAIL	FRANKLIN INCOME FUND CLASS C	0.00	8.11	0.00	8.11	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
03/26/2018	***-**-451O - JOHNSON, GREGORY	FRANKLIN INCOME FUND CLASS C	0.00	8.01	0.00	8.01	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/26/2018	***-**-001N - FRANZ, JEAN	FRANKLIN INCOME FUND CLASS C	0.00	36.06	0.00	36.06	0.0	0.00
	ACCOUNT #: LSR011796	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-3660 - GRUENEWALD, ACCOUNT #: LSR010987	FRANKLIN NEW YORK TAX-FREE INCOME F BUY 1 Units @0.0000	0.00	0.15	0.00	0.15	0.0	0.00
03/26/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	FRK GROWTH OPPORTUNITIES CL C BUY 1 Units @0.0000	0.00	1.94	0.00	1.94	0.0	0.00
03/26/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	FRK GROWTH OPPORTUNITIES CL C BUY 1 Units @0.0000	0.00	2.97	0.00	2.97	0.0	0.00
03/26/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	FRNKLN BALANCE SHEET INVTMNT FND - BUY 1 Units @0.0000	0.00	8.24	0.00	8.24	0.0	0.00
03/26/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	GLOBAL FUND A BUY 1 Units @0.0000	0.00	2.03	0.00	2.03	0.0	0.00
03/26/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	GLOBAL OPPORTUNITIES FUND C BUY 1 Units @0.0000	0.00	15.18	0.00	15.18	0.0	0.00
03/26/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.28	0.00	0.28	0.0	0.00
03/26/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.14	0.00	0.14	0.0	0.00
03/26/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	0.0	0.00
03/26/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	1.96	0.00	1.96	0.0	0.00
03/26/2018	***-**-702J - KOCHEM, MICHAEL ACCOUNT #: LSR010955	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.21	0.00	0.21	0.0	0.00
03/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.52	0.00	0.52	0.0	0.00
03/26/2018	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.16	0.00	0.16	0.0	0.00
03/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.49	0.00	0.49	0.0	0.00
03/26/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	0.0	0.00
03/26/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-76IO - MCALLISTER, FBO	GOLD & SPECIAL MINERALS A	0.00	0.31	0.00	0.31	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
03/26/2018	***-**-367J - WAGNER, MRS LANT	GOLD & SPECIAL MINERALS A	0.00	0.28	0.00	0.28	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
03/26/2018	***-**-31IO - WILLIAMSON, FBO	GOLD & SPECIAL MINERALS A	0.00	1.25	0.00	1.25	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/26/2018	***-**-02IN - BUSHEY, MELISSA	GOLD & SPECIAL MINERALS A	0.00	0.11	0.00	0.11	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/26/2018	***-**-62IN - EATON, DAVID	GOLD & SPECIAL MINERALS A	0.00	0.36	0.00	0.36	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
03/26/2018	***-**-949I - ACEE, JOSPEH	GOLD & SPECIAL MINERALS FUND B	0.00	0.55	0.00	0.55	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/26/2018	***-**-579I - RHYMESTINE,	GOLD & SPECIAL MINERALS FUND B	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - ANACKER, FBO MRS	GOLD & SPECIAL MINERALS FUND B	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
03/26/2018	***-**-664J - PFAFF, GEORGE	GOLD & SPECIAL MINERALS FUND B	0.00	0.53	0.00	0.53	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
03/26/2018	***-**-702I - KOHEM, MICHAEL	HARTFORD CHECKS AND BALANCED FUND C	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
03/26/2018	***-**-366S - GRUENEWALD,	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.42	0.00	0.42	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
03/26/2018	***-**-680I - HARRELL, DARYL	HARTFORD CHECKS AND BALANCED FUND C	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
03/26/2018	***-**-30TR - AND SANDRA	HARTFORD CHECKS AND BALANCED FUND C	0.00	2.31	0.00	2.31	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
03/26/2018	***-**-366S - GRUENEWALD,	HARTFORD INFLATION PLUS FUND CLASS	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
03/26/2018	***-**-680I - HARRELL, DARYL	HARTFORD INFLATION PLUS FUND CLASS	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
03/26/2018	***-**-881I - EBERLEY, SUSAN	INTERNATIONAL BOND A	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-761I - EVANS, DOLORES	INTERNATIONAL BOND A	0.00	3.21	0.00	3.21	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/26/2018	***-**-15IN - PENDRAK, JOHN	INTERNATIONAL SMALL COMPANY A	0.00	1.36	0.00	1.36	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/26/2018	***-**-959I - FRANZ, PAUL	INTERNATIONAL SMALL COMPANY A	0.00	1.30	0.00	1.30	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/26/2018	***-**-367J - WAGNER, MRS LANT	INTERNATIONAL SMALL COMPANY A	0.00	1.77	0.00	1.77	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
03/26/2018	***-**-664J - PFAFF, GEORGE	INTERNATIONAL SMALL COMPANY FUND B	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
03/26/2018	***-**-44IO - MAYO, DEBORAH	LORD ABBETT SHORT DURATION INCOME C	0.00	14.78	0.00	14.78	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/26/2018	***-**-579J - RHYMESTINE,	LORD ABBETT SHORT DURATION INCOME C	0.00	8.74	0.00	8.74	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
03/26/2018	***-**-09IO - BATES, FBO MRS	LORD ABBETT SHORT DURATION INCOME C	0.00	11.58	0.00	11.58	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/26/2018	***-**-89IN - LEE, ROGER	LORD ABBETT SHORT DURATION INCOME C	0.00	22.10	0.00	22.10	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/26/2018	***-**-439J - MCCARTHY, JAMES	LORD ABBETT SHORT DURATION INCOME C	0.00	1.71	0.00	1.71	0.0	0.00
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						
03/26/2018	***-**-45IO - JOHNSON, GREGORY	LORD ABBETT SHORT DURATION INCOME C	0.00	11.54	0.00	11.54	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/26/2018	***-**-14IO - BUSHEY, MATTHEW	LORD ABBETT SHORT DURATION INCOME C	0.00	8.59	0.00	8.59	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
03/26/2018	***-**-45IO - JOHNSON, GREGORY	MAIN STREET FUND C	0.00	6.96	0.00	6.96	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/15/2018	***-**-213I - GRUENEWALD,	MFS GLOBAL NEW DISCOVERY FUND CL B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 5 Units @19.3100						
03/26/2018	***-**-20IO - DEMETRI, AMELIA	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	1.41	0.00	1.41	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
03/26/2018	***-**-15IN - PENDRAK, JOHN	OPP PORT SERIES: ACTIVE ALLOC A	0.00	1.47	0.00	1.47	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	6.94	0.00	6.94	0.0	0.00
03/26/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	13.68	0.00	13.68	0.0	0.00
03/26/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	15.30	0.00	15.30	0.0	0.00
03/26/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	13.32	0.00	13.32	0.0	0.00
03/26/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	13.74	0.00	13.74	0.0	0.00
03/26/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER DEV MARKETS FD CLASS C BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	0.0	0.00
03/26/2018	***-**-88IJ - EBERLEY, SUSAN ACCOUNT #: LSR010856	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	1.51	0.00	1.51	0.0	0.00
03/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	0.0	0.00
03/26/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	2.22	0.00	2.22	0.0	0.00
03/26/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.75	0.00	0.75	0.0	0.00
03/26/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	0.0	0.00
03/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	0.0	0.00
03/26/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	4.72	0.00	4.72	0.0	0.00
03/26/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	4.68	0.00	4.68	0.0	0.00
03/26/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	3.56	0.00	3.56	0.0	0.00
03/26/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	4.66	0.00	4.66	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-31IO - HARTZ, CLAUDIA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.09	0.00	0.09	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
03/26/2018	***-**-72IN - GAVALO, JULIE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	2.05	0.00	2.05	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/26/2018	***-**-065I - LAZIO, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	4.96	0.00	4.96	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/26/2018	***-**-420T - DEMETRI, AMELIA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	2.13	0.00	2.13	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
03/26/2018	***-**-00IO - LEE, GARY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	6.57	0.00	6.57	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
03/26/2018	***-**-09IO - BATES, FBO MRS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	2.15	0.00	2.15	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/26/2018	***-**-11IO - LYNN G.	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	6.16	0.00	6.16	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-45IO - JOHNSON, GREGORY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	5.03	0.00	5.03	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/26/2018	***-**-51IN - GERACE, JOANNE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.36	0.00	1.36	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
03/26/2018	***-**-28IN - BYWATER, KIM	OPPENHEIMER INTERNATIONAL SMALL COM	0.00	2.23	0.00	2.23	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
03/26/2018	***-**-567I - FRANZ, ALICE	OPPENHEIMER INTL BOND CLASS B	0.00	2.38	0.00	2.38	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/26/2018	***-**-664J - PFAFF, GEORGE	OPPENHEIMER INTL BOND CLASS B	0.00	2.99	0.00	2.99	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
03/26/2018	***-**-881I - EBERLEY, SUSAN	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	1.69	0.00	1.69	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
03/26/2018	***-**-382I - SATTERLY, NEIL	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	24.85	0.00	24.85	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
03/26/2018	***-**-031O - MCVOY, ROBERT	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	5.21	0.00	5.21	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
03/26/2018	***-**-065I - LAZIO, THOMAS	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	9.69	0.00	9.69	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.01	0.00	7.01	0.0	0.00
03/26/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	4.62	0.00	4.62	0.0	0.00
03/26/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	6.91	0.00	6.91	0.0	0.00
03/26/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	1.48	0.00	1.48	0.0	0.00
03/26/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	OPPENHEIMER ROCHEST AMT-FREE NY MUN BUY 1 Units @0.0000	0.00	6.43	0.00	6.43	0.0	0.00
03/26/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	0.0	0.00
03/26/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.38	0.00	0.38	0.0	0.00
03/26/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	0.0	0.00
03/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.57	0.00	1.57	0.0	0.00
03/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	0.0	0.00
03/26/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.94	0.00	0.94	0.0	0.00
03/26/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	0.0	0.00
03/26/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	0.0	0.00
03/26/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	0.0	0.00
03/26/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMER STEELPATH MLP ALPHA PLU BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	0.0	0.00
03/26/2018	***-**-837O - BASEMENT ACCOUNT #: LSR011046	OPPENHEIMERSTEELPATH MLP INCOME CL BUY 1 Units @0.0000	0.00	2.63	0.00	2.63	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-80IN - COBB, JAMES	OPPENHEIMERSTEELPATH MLP SELECT 40	0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - CLARK, PATRICK	PORT SERIES: CONS INV C	0.00	15.89	0.00	15.89	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
03/26/2018	***-**-72IN - GAVALO, JULIE	PORT SERIES: CONS INV C	0.00	20.67	0.00	20.67	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/26/2018	***-**-420T - DEMETRI, AMELIA	PORT SERIES: CONS INV C	0.00	5.48	0.00	5.48	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
03/26/2018	***-**-73UT - COBB, CHRISTIAN	PORT SERIES: CONS INV C	0.00	4.19	0.00	4.19	0.0	0.00
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
03/26/2018	***-**-67UT - COBB,	PORT SERIES: CONS INV C	0.00	4.19	0.00	4.19	0.0	0.00
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
03/26/2018	***-**-89IN - LEE, ROGER	PORT SERIES: CONS INV C	0.00	9.04	0.00	9.04	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/26/2018	***-**-52IO - EUSEPI, SUSAN	PORT SERIES: CONS INV C	0.00	11.32	0.00	11.32	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
03/26/2018	***-**-439I - MCCARTHY, JAMES	PORT SERIES: CONS INV C	0.00	3.77	0.00	3.77	0.0	0.00
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						
03/26/2018	***-**-80IO - EVANS, RICHARD	PORT SERIES: CONS INV C	0.00	12.09	0.00	12.09	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
03/26/2018	***-**-664J - PFAFF, GEORGE	PORT SERIES: EQUITY INV FD B	0.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
03/26/2018	***-**-254I - AUGUSTINE, LINDA	PORTFOLIO SERIES: CONS INV A	0.00	1.38	0.00	1.38	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/26/2018	***-**-15IN - PENDRAK, JOHN	PORTFOLIO SERIES: CONS INV A	0.00	2.64	0.00	2.64	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/26/2018	***-**-959I - FRANZ, PAUL	PORTFOLIO SERIES: CONS INV A	0.00	1.91	0.00	1.91	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/26/2018	***-**-51IO - CAIN, TIMOTHY	PORTFOLIO SERIES: CONS INV A	0.00	1.88	0.00	1.88	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/26/2018	***-**-761I - EVANS, DOLORES	PORTFOLIO SERIES: CONS INV A	0.00	1.07	0.00	1.07	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-9440 - MAYO, DEBORAH	PORTFOLIO SERIES: CONS INV A	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/26/2018	***-**-861I - SANGER, LAWRENCE	PORTFOLIO SERIES: CONS INV A	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/26/2018	***-**-13IN - RHYMESTINE,	PORTFOLIO SERIES: CONS INV A	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
03/26/2018	***-**-02IN - BUSHEY, MELISSA	PORTFOLIO SERIES: CONS INV A	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/26/2018	***-**-62IN - EATON, DAVID	PORTFOLIO SERIES: CONS INV A	0.00	1.11	0.00	1.11	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
03/26/2018	***-**-567I - FRANZ, ALICE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	2.93	0.00	2.93	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/26/2018	***-**-664J - PFAFF, GEORGE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	3.99	0.00	3.99	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
03/26/2018	***-**-579I - RHYMESTINE,	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.24	0.00	1.24	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
03/26/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.25	0.00	1.25	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/26/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM UTILITIES GROWTH AND INCOME	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/26/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM 746792100	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
03/26/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	2.14	0.00	2.14	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/26/2018	***-**-169I - EVANS, PAUL	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.10	0.00	1.10	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
03/26/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
03/26/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
03/26/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-62IN - EATON, DAVID	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.89	0.00	0.89	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
03/26/2018	***-**-51IN - GERACE, JOANNE	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
03/26/2018	***-**-235I - AUGUSTINE III,	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	3.94	0.00	3.94	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
03/26/2018	***-**-382I - SATTERLY, NEIL	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	13.29	0.00	13.29	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - CLARK, PATRICK	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	8.50	0.00	8.50	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
03/26/2018	***-**-72IN - GAVALO, JULIE	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	8.43	0.00	8.43	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/26/2018	***-**-065I - LAZIO, THOMAS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	6.59	0.00	6.59	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/26/2018	***-**-09IO - BATES, FBO MRS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	8.26	0.00	8.26	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/26/2018	***-**-11IO - LYNN G.	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	12.51	0.00	12.51	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-80IO - EVANS, RICHARD	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	7.00	0.00	7.00	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
03/26/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	8.37	0.00	8.37	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/26/2018	***-**-628I - SANGER, SANDRA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
03/26/2018	***-**-944O - MAYO, DEBORAH	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.62	0.00	1.62	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/26/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM ABSOLUTE RETURN 700-A	0.00	2.10	0.00	2.10	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/26/2018	***-**-579I - RHYMESTINE,	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.76	0.00	0.76	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
03/26/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.24	0.00	0.24	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/26/2018	***-**-653J - KOCHEM, CLINTON	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
03/26/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
03/26/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM AMERICAN GOVERNMENT INCOME F	0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
03/26/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM ASSET ALLOC BALANCED-C	0.00	4.34	0.00	4.34	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
03/26/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
03/26/2018	***-**-930I - SANGER, KEVIN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/26/2018	***-**-366S - GRUENEWALD,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.76	0.00	0.76	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
03/26/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.45	0.00	1.45	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/26/2018	***-**-579I - RHYMESTINE,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.32	0.00	1.32	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
03/26/2018	***-**-73UT - COBB, CHRISTIAN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.44	0.00	1.44	0.0	0.00
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
03/26/2018	***-**-67UT - COBB,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.44	0.00	1.44	0.0	0.00
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
03/26/2018	***-**-992J - CORNACCHIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.44	0.00	0.44	0.0	0.00
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
03/26/2018	***-**-66IO - RUDD, MICHAEL	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.15	0.00	0.15	0.0	0.00
	ACCOUNT #: LSR011268	BUY 1 Units @0.0000						
03/26/2018	***-**-21IO - RADELL, SANDRA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.45	0.00	1.45	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
03/26/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-382I - SATTERLY, NEIL	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.00	0.00	7.00	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
03/26/2018	***-**-980I - ACEE, ELIZABETH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	11.14	0.00	11.14	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
03/26/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.47	0.00	7.47	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/26/2018	***-**-09IO - BATES, FBO MRS	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	15.95	0.00	15.95	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/26/2018	***-**-094I - KATRENA L	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	6.26	0.00	6.26	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
03/26/2018	***-**-11IO - LYNN G.	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	15.17	0.00	15.17	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	11.52	0.00	11.52	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/26/2018	***-**-235I - AUGUSTINE III,	PUTNAM COMP	0.00	5.24	0.00	5.24	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
03/26/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM COMP	0.00	4.48	0.00	4.48	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - CLARK, PATRICK	PUTNAM COMP	0.00	7.19	0.00	7.19	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
03/26/2018	***-**-72IN - GAVALO, JULIE	PUTNAM COMP	0.00	6.20	0.00	6.20	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/26/2018	***-**-959J - FRANZ, PAUL	PUTNAM COMP	0.00	9.34	0.00	9.34	0.0	0.00
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
03/26/2018	***-**-065I - LAZIO, THOMAS	PUTNAM COMP	0.00	5.32	0.00	5.32	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/26/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM COMP	0.00	4.75	0.00	4.75	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
03/26/2018	***-**-169I - EVANS, PAUL	PUTNAM COMP	0.00	3.81	0.00	3.81	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
03/26/2018	***-**-80IN - COBB, JAMES	PUTNAM COMP	0.00	6.88	0.00	6.88	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-00IO - LEE, GARY	PUTNAM COMP	0.00	8.44	0.00	8.44	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
03/26/2018	***-**-09IO - BATES, FBO MRS	PUTNAM COMP	0.00	8.44	0.00	8.44	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/26/2018	***-**-89IN - LEE, ROGER	PUTNAM COMP	0.00	4.73	0.00	4.73	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/26/2018	***-**-094I - KATRENA L	PUTNAM COMP	0.00	6.62	0.00	6.62	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
03/26/2018	***-**-11IO - LYNN G.	PUTNAM COMP	0.00	8.74	0.00	8.74	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-80IO - EVANS, RICHARD	PUTNAM COMP	0.00	4.32	0.00	4.32	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
03/26/2018	***-**-376I - BERBEN, GAIL	PUTNAM COMP	0.00	8.53	0.00	8.53	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
03/26/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM COMP	0.00	13.29	0.00	13.29	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/26/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM COMP	0.00	8.61	0.00	8.61	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
03/26/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM COMP	0.00	6.34	0.00	6.34	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
03/26/2018	***-**-86IN - LEE, KEVIN	PUTNAM COMP	0.00	7.18	0.00	7.18	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
03/26/2018	***-**-633J -	PUTNAM COMP	0.00	1.94	0.00	1.94	0.0	0.00
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
03/26/2018	***-**-51IO - SCALISE, MARY	PUTNAM COMP	0.00	0.73	0.00	0.73	0.0	0.00
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
03/26/2018	***-**-949I - ACEE, JOSPEH	PUTNAM CONV INCOME-GROWTH-B	0.00	2.01	0.00	2.01	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/26/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CONV INCOME-GROWTH-B	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
03/26/2018	***-**-567I - FRANZ, ALICE	PUTNAM CONV INCOME-GROWTH-B	0.00	2.61	0.00	2.61	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	0.0	0.00
03/26/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.43	0.00	1.43	0.0	0.00
03/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	0.99	0.00	0.99	0.0	0.00
03/26/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	0.94	0.00	0.94	0.0	0.00
03/26/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.04	0.00	1.04	0.0	0.00
03/26/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	0.0	0.00
03/26/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	0.0	0.00
03/26/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	2.22	0.00	2.22	0.0	0.00
03/26/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	PUTNAM CONVERTIBLE SECURITIES CL C BUY 1 Units @0.0000	0.00	12.38	0.00	12.38	0.0	0.00
03/26/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM CONVERTIBLE SECURITIES CL C BUY 1 Units @0.0000	0.00	15.60	0.00	15.60	0.0	0.00
03/26/2018	***-**-1320 - EVANS, THOMAS ACCOUNT #: LSR011074	PUTNAM DIVERSIFIED INCOME CLASS C BUY 1 Units @0.0000	0.00	6.79	0.00	6.79	0.0	0.00
03/26/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM DIVERSIFIED INCOME CLASS C BUY 1 Units @0.0000	0.00	13.25	0.00	13.25	0.0	0.00
03/26/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.05	0.00	2.05	0.0	0.00
03/26/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.79	0.00	0.79	0.0	0.00
03/26/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	0.0	0.00
03/26/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.72	0.00	1.72	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.87	0.00	1.87	0.0	0.00
03/26/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.16	0.00	1.16	0.0	0.00
03/26/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	10.00	0.00	10.00	0.0	0.00
03/26/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.32	0.00	2.32	0.0	0.00
03/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	0.0	0.00
03/26/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	0.0	0.00
03/26/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	5.88	0.00	5.88	0.0	0.00
03/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	0.0	0.00
03/26/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.33	0.00	2.33	0.0	0.00
03/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.32	0.00	2.32	0.0	0.00
03/26/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM EQUITY SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	0.0	0.00
03/26/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	10.41	0.00	10.41	0.0	0.00
03/26/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	22.21	0.00	22.21	0.0	0.00
03/26/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	7.78	0.00	7.78	0.0	0.00
03/26/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	14.66	0.00	14.66	0.0	0.00
03/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	9.04	0.00	9.04	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-065I - LAZIO, THOMAS	PUTNAM EQUITY SPECTRUM FD CL C	0.00	5.96	0.00	5.96	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/26/2018	***-**-73TR - WESTCOTT IRRVOC	PUTNAM EQUITY SPECTRUM FD CL C	0.00	6.31	0.00	6.31	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
03/26/2018	***-**-80IN - COBB, JAMES	PUTNAM EQUITY SPECTRUM FD CL C	0.00	7.33	0.00	7.33	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
03/26/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM EQUITY SPECTRUM FD CL C	0.00	7.47	0.00	7.47	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/26/2018	***-**-09IO - BATES, FBO MRS	PUTNAM EQUITY SPECTRUM FD CL C	0.00	7.79	0.00	7.79	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/26/2018	***-**-89IN - LEE, ROGER	PUTNAM EQUITY SPECTRUM FD CL C	0.00	11.04	0.00	11.04	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/26/2018	***-**-473J - HUSTON,	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.40	0.00	8.40	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
03/26/2018	***-**-11IO - LYNN G.	PUTNAM EQUITY SPECTRUM FD CL C	0.00	9.51	0.00	9.51	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-80IO - EVANS, RICHARD	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.15	0.00	8.15	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
03/26/2018	***-**-07IO - FAMOLARO, JAMES	PUTNAM EQUITY SPECTRUM FD CL C	0.00	5.05	0.00	5.05	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
03/26/2018	***-**-094I - KATRENA L	PUTNAM EUROPE EQUITY CLASS C	0.00	4.14	0.00	4.14	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
03/26/2018	***-**-808J - GORMAN, RANDY	PUTNAM GLOBAL CONSUMER FD A	0.00	0.27	0.00	0.27	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
03/26/2018	***-**-949I - ACEE, JOSPEH	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.86	0.00	1.86	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/26/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.45	0.00	0.45	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
03/26/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	3.09	0.00	3.09	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/26/2018	***-**-366I - GRUENEWALD,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.26	0.00	1.26	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/26/2018	***-**-761I - EVANS, DOLORES	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.84	0.00	1.84	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/26/2018	***-**-944O - MAYO, DEBORAH	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.99	0.00	0.99	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/26/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.43	0.00	1.43	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/26/2018	***-**-306X - COBB, CHERRYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
03/26/2018	***-**-579J - RHYMESTINE,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
03/26/2018	***-**-326I - GRANDE, FBO MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
03/26/2018	***-**-506J - CURRIERE JR, MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.38	0.00	1.38	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
03/26/2018	***-**-367J - WAGNER, MRS LANT	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.76	0.00	1.76	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
03/26/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/26/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
03/26/2018	***-**-66IO - RUDD, MICHAEL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.06	0.00	0.06	0.0	0.00
	ACCOUNT #: LSR011268	BUY 1 Units @0.0000						
03/26/2018	***-**-653I - KOCHEM, CLINTON	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	3.16	0.00	3.16	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/26/2018	***-**-680I - HARRELL, DARYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
03/26/2018	***-**-21IO - RADELL, SANDRA	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.38	0.00	1.38	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-12IR - GRUENEWALD, ACCOUNT #: LSR011614	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	0.0	0.00
03/26/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.84	0.00	1.84	0.0	0.00
03/26/2018	***-**-45IN - WILLIAMSON, ACCOUNT #: LSR011751	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.75	0.00	0.75	0.0	0.00
03/26/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	4.73	0.00	4.73	0.0	0.00
03/26/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	11.37	0.00	11.37	0.0	0.00
03/26/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	6.99	0.00	6.99	0.0	0.00
03/26/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	9.56	0.00	9.56	0.0	0.00
03/26/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	6.76	0.00	6.76	0.0	0.00
03/26/2018	***-**-51IO - SCALISE, MARY ACCOUNT #: LSR011837	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	0.0	0.00
03/26/2018	***-**-702I - KOHEM, MICHAEL ACCOUNT #: LSR010954	PUTNAM GLOBAL HEALTH CARE FD-A BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	0.0	0.00
03/26/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM GLOBAL HEALTH CARE FD-A BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	0.0	0.00
03/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM GLOBAL NAT RESOURCES-A BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	0.0	0.00
03/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM GLOBAL NAT RESOURCES-A BUY 1 Units @0.0000	0.00	0.11	0.00	0.11	0.0	0.00
03/26/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	0.0	0.00
03/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	0.0	0.00
03/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.58	0.00	0.58	0.0	0.00



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2108 Genesee St.
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL SECTOR FUND CL A	0.00	2.45	0.00	2.45	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/26/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	1.95	0.00	1.95	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/26/2018	***-**-944O - MAYO, DEBORAH	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/26/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	2.28	0.00	2.28	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/26/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
03/26/2018	***-**-382I - SATTERLY, NEIL	PUTNAM GLOBAL UTILITIES CL C	0.00	4.76	0.00	4.76	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
03/26/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	8.52	0.00	8.52	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
03/26/2018	***-**-382I - SATTERLY, NEIL	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.02	0.00	9.02	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
03/26/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	8.87	0.00	8.87	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
03/26/2018	***-**-169I - EVANS, PAUL	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	6.04	0.00	6.04	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
03/26/2018	***-**-80IN - COBB, JAMES	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	7.71	0.00	7.71	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
03/26/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	10.99	0.00	10.99	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
03/26/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	2.26	0.00	2.26	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/26/2018	***-**-653I - KOCHEM, CLINTON	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	2.70	0.00	2.70	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/26/2018	***-**-13IO - ROTH, KAREN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	1.41	0.00	1.41	0.0	0.00
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
03/26/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM HEALTH SCIENCES TR-B	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.64	0.00	0.64	0.0	0.00
03/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.30	0.00	2.30	0.0	0.00
03/26/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	0.0	0.00
03/26/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.90	0.00	1.90	0.0	0.00
03/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	0.0	0.00
03/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.07	0.00	2.07	0.0	0.00
03/26/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.26	0.00	1.26	0.0	0.00
03/26/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.96	0.00	1.96	0.0	0.00
03/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.93	0.00	1.93	0.0	0.00
03/26/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.76	0.00	0.76	0.0	0.00
03/26/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	0.0	0.00
03/26/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.01	0.00	1.01	0.0	0.00
03/26/2018	***-**-480J - EVANS, RICHARD ACCOUNT #: LSR011274	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	0.0	0.00
03/26/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.82	0.00	2.82	0.0	0.00
03/26/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.64	0.00	1.64	0.0	0.00
03/26/2018	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-53IN - EVANS, ANDREW	PUTNAM HEALTH SCIENCES TR-B	0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
03/26/2018	***-**-13IO - ROTH, KAREN	PUTNAM HEALTH SCIENCES TR-B	0.00	1.33	0.00	1.33	0.0	0.00
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
03/26/2018	***-**-38IO - BROWN, TYLER	PUTNAM HEALTH SCIENCES TR-B	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
03/26/2018	***-**-12IR - GRUENEWALD,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR011614	BUY 1 Units @0.0000						
03/26/2018	***-**-03IO - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
03/26/2018	***-**-45IN - WILLIAMSON,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
03/26/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM INTL GROWTH & INC-A	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
03/26/2018	***-**-382K - SATTERLY, NEIL	PUTNAM INVESTORS CLASS C	0.00	4.12	0.00	4.12	0.0	0.00
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
03/26/2018	***-**-653J - KOCHER, CLINTON	PUTNAM INVESTORS CLASS C	0.00	4.12	0.00	4.12	0.0	0.00
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
03/26/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM SMALL CAP VALUE FUND-A	0.00	1.25	0.00	1.25	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
03/26/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM U.S. GOVT INCOME TR-B	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/26/2018	***-**-254I - AUGUSTINE, LINDA	PUTNAM UTILITIES GR & INC-B	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/26/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM UTILITIES GR & INC-B	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
03/26/2018	***-**-949I - ACEE, JOSPEH	PUTNAM UTILITIES GR & INC-B	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/26/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM UTILITIES GR & INC-B	0.00	0.45	0.00	0.45	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
03/26/2018	***-**-930I - SANGER, KEVIN	PUTNAM UTILITIES GR & INC-B	0.00	0.86	0.00	0.86	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM UTILITIES GR & INC-B	0.00	1.89	0.00	1.89	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/26/2018	***-**-959I - FRANZ, PAUL	PUTNAM UTILITIES GR & INC-B	0.00	1.51	0.00	1.51	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/26/2018	***-**-960J - MASTRANGELO,	PUTNAM UTILITIES GR & INC-B	0.00	1.84	0.00	1.84	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
03/26/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM UTILITIES GR & INC-B	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/26/2018	***-**-761I - EVANS, DOLORES	PUTNAM UTILITIES GR & INC-B	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/26/2018	***-**-96IN - NESSIA, BONNIE	PUTNAM UTILITIES GR & INC-B	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
03/26/2018	***-**-31IO - WILLIAMSON, FBO	PUTNAM UTILITIES GR & INC-B	0.00	1.75	0.00	1.75	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/26/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM UTILITIES GR & INC-B	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/26/2018	***-**-680I - HARRELL, DARYL	QUEST INTERNATIONAL VALUE FUND, INC	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
03/26/2018	***-**-15IN - PENDRAK, JOHN	QUEST OPPORTUNITY VALUE A	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/26/2018	***-**-254I - AUGUSTINE, LINDA	REAL ESTATE FUND A	0.00	0.94	0.00	0.94	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/26/2018	***-**-881J - EBERLEY, SUSAN	REAL ESTATE FUND A	0.00	0.89	0.00	0.89	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
03/26/2018	***-**-15IN - PENDRAK, JOHN	REAL ESTATE FUND A	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/26/2018	***-**-702I - KOCHER, MICHAEL	REAL ESTATE FUND A	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
03/26/2018	***-**-51IO - CAIN, TIMOTHY	REAL ESTATE FUND A	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/26/2018	***-**-761I - EVANS, DOLORES	REAL ESTATE FUND A	0.00	2.43	0.00	2.43	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-9440 - MAYO, DEBORAH	REAL ESTATE FUND A	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/26/2018	***-**-111J - NESSIA, JAMES	REAL ESTATE FUND A	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
03/26/2018	***-**-326I - GRANDE, FBO MR	REAL ESTATE FUND A	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
03/26/2018	***-**-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/26/2018	***-**-367J - WAGNER, MRS LANT	REAL ESTATE FUND A	0.00	1.07	0.00	1.07	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
03/26/2018	***-**-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	0.00	1.36	0.00	1.36	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/26/2018	***-**-62IN - EATON, DAVID	REAL ESTATE FUND A	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
03/26/2018	***-**-949I - ACEE, JOSPEH	REAL ESTATE FUND B	0.00	1.11	0.00	1.11	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/26/2018	***-**-567I - FRANZ, ALICE	REAL ESTATE FUND B	0.00	1.73	0.00	1.73	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/26/2018	***-**-506J - CURRIERE JR, MR	REAL ESTATE FUND B	0.00	0.42	0.00	0.42	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - ANACKER, FBO MRS	REAL ESTATE FUND B	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
03/26/2018	***-**-664J - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
03/26/2018	***-**-64IO - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.29	0.00	1.29	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/26/2018	***-**-62IR - ROBBIANO, FBO	REAL ESTATE FUND B	0.00	0.37	0.00	0.37	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
03/26/2018	***-**-653I - KOCHER, CLINTON	REAL ESTATE FUND B	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/26/2018	***-**-382I - SATTERLY, NEIL	REAL ESTATE FUND C	0.00	8.57	0.00	8.57	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-48IO - CLARK, PATRICK	REAL ESTATE FUND C	0.00	6.37	0.00	6.37	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
03/26/2018	***-**-72IN - GAVALO, JULIE	REAL ESTATE FUND C	0.00	6.90	0.00	6.90	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/26/2018	***-**-065I - LAZIO, THOMAS	REAL ESTATE FUND C	0.00	5.10	0.00	5.10	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/26/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	6.75	0.00	6.75	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
03/26/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	1.82	0.00	1.82	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
03/26/2018	***-**-00IO - LEE, GARY	REAL ESTATE FUND C	0.00	8.23	0.00	8.23	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
03/26/2018	***-**-52IO - EUSEPI, SUSAN	REAL ESTATE FUND C	0.00	3.92	0.00	3.92	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
03/26/2018	***-**-11IO - LYNN G.	REAL ESTATE FUND C	0.00	10.71	0.00	10.71	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-80IO - EVANS, RICHARD	REAL ESTATE FUND C	0.00	3.38	0.00	3.38	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
03/26/2018	***-**-45IO - JOHNSON, GREGORY	REAL ESTATE FUND C	0.00	5.80	0.00	5.80	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/26/2018	***-**-633J -	REAL ESTATE FUND C	0.00	1.82	0.00	1.82	0.0	0.00
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
03/26/2018	***-**-287J - HINCKLEY,	RISING DIVIDENDS FUND A	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
03/26/2018	***-**-254I - AUGUSTINE, LINDA	RISING DIVIDENDS FUND A	0.00	1.41	0.00	1.41	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/26/2018	***-**-881I - EBERLEY, SUSAN	RISING DIVIDENDS FUND A	0.00	0.83	0.00	0.83	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
03/26/2018	***-**-702I - KOCHER, MICHAEL	RISING DIVIDENDS FUND A	0.00	2.13	0.00	2.13	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
03/26/2018	***-**-959I - FRANZ, PAUL	RISING DIVIDENDS FUND A	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						



COMMISSION STATEMENT

March 26, 2018

KURT GRUENEWALD
2108 Genesee St.
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BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.21	0.00	1.21	0.0	0.00
03/26/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	8.00	0.00	8.00	0.0	0.00
03/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	0.0	0.00
03/26/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.91	0.00	1.91	0.0	0.00
03/26/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.14	0.00	2.14	0.0	0.00
03/26/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.79	0.00	1.79	0.0	0.00
03/26/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.98	0.00	1.98	0.0	0.00
03/26/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.04	0.00	1.04	0.0	0.00
03/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	0.0	0.00
03/26/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	0.0	0.00
03/26/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	0.0	0.00
03/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	0.0	0.00
03/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	2.41	0.00	2.41	0.0	0.00
03/26/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	1.12	0.00	1.12	0.0	0.00
03/26/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	0.0	0.00
03/26/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	ROCHESTER NATIONAL MUNICIPALS A BUY 1 Units @0.0000	0.00	2.32	0.00	2.32	0.0	0.00
03/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	2.13	0.00	2.13	0.0	0.00
03/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	0.0	0.00
03/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	0.0	0.00
03/26/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	4.27	0.00	4.27	0.0	0.00
03/26/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	0.0	0.00
03/26/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000	0.00	3.56	0.00	3.56	0.0	0.00
03/26/2018	***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.64	0.00	5.64	0.0	0.00
03/26/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.66	0.00	6.66	0.0	0.00
03/26/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	4.85	0.00	4.85	0.0	0.00
03/26/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.26	0.00	6.26	0.0	0.00
03/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	11.20	0.00	11.20	0.0	0.00
03/26/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.43	0.00	5.43	0.0	0.00
03/26/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.23	0.00	5.23	0.0	0.00
03/26/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.44	0.00	6.44	0.0	0.00
03/26/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	10.36	0.00	10.36	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-89IN - LEE, ROGER	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	11.75	0.00	11.75	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/26/2018	***-**-11IO - LYNN G.	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	9.97	0.00	9.97	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-80IO - EVANS, RICHARD	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	6.67	0.00	6.67	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
03/26/2018	***-**-45IO - JOHNSON, GREGORY	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	8.43	0.00	8.43	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/26/2018	***-**-14IO - BUSHEY, MATTHEW	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	9.56	0.00	9.56	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
03/26/2018	***-**-287J - HINCKLEY,	TRANSAMERICA SHORT TERM BOND CL C	0.00	11.97	0.00	11.97	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - CLARK, PATRICK	TRANSAMERICA SHORT TERM BOND CL C	0.00	9.32	0.00	9.32	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
03/26/2018	***-**-11IO - LYNN G.	TRANSAMERICA SHORT TERM BOND CL C	0.00	13.89	0.00	13.89	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-633J -	TRANSAMERICA SHORT TERM BOND CL C	0.00	2.30	0.00	2.30	0.0	0.00
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
03/26/2018	***-**-680I - HARRELL, DARYL	VOYA GLOBAL EQUITY DIVIDEND CLASS A	0.00	1.70	0.00	1.70	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
03/26/2018	***-**-702I - KOCHEM, MICHAEL	VOYA GLOBAL REAL ESTATE CLASS A	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
03/26/2018	***-**-959I - FRANZ, PAUL	VOYA GLOBAL REAL ESTATE CLASS A	0.00	0.08	0.00	0.08	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/26/2018	***-**-30TR - AND SANDRA	VOYA GLOBAL REAL ESTATE CLASS A	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
03/26/2018	***-**-13IN - RHYMESTINE,	VOYA REAL ESTATE CLASS C	0.00	4.05	0.00	4.05	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$100.00	\$1,704.11	\$0.00	\$1,704.11		\$0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
03/22/2018	***-**-0653 - EVANS, ANDREW	PACIFIC LIFE SE5-NYB DTCC	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: VP71063010	BUY 0 Units @0.0000						
03/22/2018	***-**-31IN - EVANS, THOMAS	PACIFIC LIFE SE5-NYB DTCC	0.00	1.31	0.00	1.31	0.0	0.00
	ACCOUNT #: VP71063020	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$2.02	\$0.00	\$2.02		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$176,752.42	\$3,548.34	\$632.00	\$2,916.34		\$-42.00

BROKER COMMISSION TOTALS

Broker Transactions	\$-42.00
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Please Retain for Your Records
THERE WILL BE NO PAYMENT THIS PERIOD

Balance Forward	\$0.00
Year-to-date Earnings	\$57,372.28