



COMMISSION STATEMENT

January 29, 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: ALTERNATIVE INVESTMENTS</u>								
01/29/2018	***-**-473J - HUSTON, ACCOUNT #: 20001517	TERRA INCOME FUND # 6 BUY 0 Units @0.0000	0.00	57.72	0.00	57.72	0.0	0.00
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: 20001536	TERRA INCOME FUND # 6 BUY 0 Units @0.0000	0.00	57.72	0.00	57.72	0.0	0.00
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$0.00	\$115.44	\$0.00	\$115.44		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/25/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	AMERICAN FUNDS BLNCD PORTFOLIO CL A SELL 97 Units @15.4100	1,499.99	18.00	18.00	0.00	0.0	0.00
01/04/2018	***-**-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
01/25/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	CAPITAL INCOME BUILDER CLASS C SELL 23 Units @64.6600	1,499.98	18.00	18.00	0.00	0.0	0.00
01/24/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	CAPITAL INCOME BUILDER-A SELL 46 Units @64.7300	2,999.98	18.00	18.00	0.00	0.0	0.00
01/19/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	EATON VANCE FLOATING RATE ADVANTAGE BUY 458 Units @10.9100	5,000.00	68.00	18.00	50.00	0.0	0.00
01/04/2018	***-**-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
01/02/2018	***-**-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
01/25/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	FUNDAMENTAL INVESTORS-C SELL 30 Units @65.7200	1,999.99	18.00	18.00	0.00	0.0	0.00
01/04/2018	***-**-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
01/19/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	LORD ABBETT SHORT DURATION INCOME C BUY 2347 Units @4.2600	10,000.00	118.00	18.00	100.00	0.0	0.00
01/25/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	MFS GLOBAL TOTAL RETURN FUND-B SELL 78 Units @19.2000	1,500.00	18.00	18.00	0.00	0.0	0.00
01/25/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS INTERNATIONAL NEW DISCOVERY FUN SELL 85 Units @35.4200	3,000.00	18.00	18.00	0.00	0.0	0.00
01/25/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	MFS INTERNATIONAL NEW DISCOVERY FUN SELL 56 Units @35.4200	1,999.99	18.00	18.00	0.00	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/16/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS NEW DISCOVERY FUND-B BUY 4 Units @22.6500	100.00	4.00	0.00	4.00	0.0	0.00
01/19/2018	***-**-36IR - SANGER, BETH ACCOUNT #: LSR011757	MFS NEW DISCOVERY VALUE FUND CL B BUY 55 Units @15.5100	849.99	52.00	18.00	34.00	0.0	0.00
01/16/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08190127967	MFS UTILITIES FUND-B BUY 2 Units @20.1700	35.00	1.40	0.00	1.40	0.0	0.00
01/16/2018	***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352846	MFS UTILITIES FUND-B BUY 2 Units @20.1700	50.00	2.00	0.00	2.00	0.0	0.00
01/19/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	MFS UTILITIES FUND-C BUY 248 Units @20.1900	4,999.99	68.00	18.00	50.00	0.0	0.00
01/04/2018	***-**-633J - ACCOUNT #: 05502871176	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	0.0	0.00
01/02/2018	***-**-13IN - BLISS, PATRICK ACCOUNT #: 05521022681	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	75.00	0.75	0.00	0.75	0.0	0.00
01/02/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 05521043603	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
01/08/2018	***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	90.98	0.91	0.00	0.91	0.0	0.00
01/02/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
01/02/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
01/04/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	0.0	0.00
01/04/2018	***-**-633J - ACCOUNT #: 02514987422	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	0.0	0.00
01/25/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	OPPENHEIMER SMALL & MID CAP VALUE F SELL 33 Units @60.2400	2,000.03	18.00	18.00	0.00	0.0	0.00
01/23/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	PUTNAM GLOBAL CONSUMER FUND CL B SELL 90 Units @22.2700	2,000.00	18.00	18.00	0.00	0.0	0.00
01/16/2018	***-**-63IN - LASCALA, DEBORAH ACCOUNT #: 00426855622	PUTNAM GLOBAL UTILITIES CL C BUY 8 Units @13.2500	100.00	1.00	0.00	1.00	0.0	0.00



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/25/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	RISING DIVIDENDS FUND A SELL 49 Units @20.2600	999.99	18.00	18.00	0.00	0.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$41,800.91	\$532.30	\$252.00	\$280.30		\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>								
01/23/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	BANK OF NOVA SCOTIA COM NPV ISIN #C SELL 30 Units @65.9700	1,979.10	37.79	15.60	22.19	0.0	0.00
01/24/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	BERKSHIRE HATHAWAY INC DEL CL B NEW BUY 50 Units @215.5000	10,775.00	125.75	18.00	107.75	0.0	0.00
01/23/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	GENERAL ELECTRIC CO UNSOLICITED ORD SELL 100 Units @16.9000	1,690.00	34.87	17.00	17.87	0.0	0.00
01/24/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	ISHARES INC MSCI SNG ETF NEW SELL 100 Units @28.2750	2,827.50	45.85	17.00	28.85	0.0	0.00
* STOCKS SUBTOTAL *			\$17,271.60	\$244.26	\$67.60	\$176.66		\$0.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
01/26/2018	***-**-889I - FRANZ, JONATHAN ACCOUNT #: VP71081770	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	300.00	51.00	0.00	51.00	0.0	0.00
* VARIABLE ANNUITIES SUBTOTAL *			\$300.00	\$51.00	\$0.00	\$51.00		\$0.00
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
01/24/2018	***-**-874J - DISCHIAVI, GARY ACCOUNT #: LSR011058	TERRA INCOME FUND 6 INC CLASS I SELL 3600 Units @10.0000	36,000.00	0.00	24.00	-24.00	100.0	-24.00
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$36,000.00	\$0.00	\$24.00	\$-24.00		\$-24.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/29/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	37252M108 BUY 1 Units @0.0000	0.00	1.00	0.00	1.00	0.0	0.00
01/29/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	37252M108 BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	0.0	0.00
01/29/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	37252M108 BUY 1 Units @0.0000	0.00	1.72	0.00	1.72	0.0	0.00
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	BLACKROCK US OPPORT CL A BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-949I - ACEE, JOSPEH	DEVELOPING MARKETS FUND B	0.00	1.26	0.00	1.26	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/29/2018	***-**-506J - CURRIERE JR, MR	DEVELOPING MARKETS FUND B	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - ANACKER, FBO MRS	DEVELOPING MARKETS FUND B	0.00	1.07	0.00	1.07	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
01/29/2018	***-**-64IO - PFAFF, GEORGE	DEVELOPING MARKETS FUND B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/29/2018	***-**-62IR - ROBBIANO, FBO	DEVELOPING MARKETS FUND B	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/29/2018	***-**-653I - KOCHER, CLINTON	DEVELOPING MARKETS FUND B	0.00	2.39	0.00	2.39	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/29/2018	***-**-254I - AUGUSTINE, LINDA	EQUITY INCOME FUND, INC. A	0.00	2.37	0.00	2.37	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/29/2018	***-**-881J - EBERLEY, SUSAN	EQUITY INCOME FUND, INC. A	0.00	2.28	0.00	2.28	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
01/29/2018	***-**-15IN - PENDRAK, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.93	0.00	1.93	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/29/2018	***-**-702I - KOCHER, MICHAEL	EQUITY INCOME FUND, INC. A	0.00	2.09	0.00	2.09	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
01/29/2018	***-**-959I - FRANZ, PAUL	EQUITY INCOME FUND, INC. A	0.00	2.32	0.00	2.32	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
01/29/2018	***-**-960J - MASTRANGELO,	EQUITY INCOME FUND, INC. A	0.00	2.46	0.00	2.46	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/29/2018	***-**-51IO - CAIN, TIMOTHY	EQUITY INCOME FUND, INC. A	0.00	2.61	0.00	2.61	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/29/2018	***-**-761I - EVANS, DOLORES	EQUITY INCOME FUND, INC. A	0.00	4.69	0.00	4.69	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/29/2018	***-**-944O - MAYO, DEBORAH	EQUITY INCOME FUND, INC. A	0.00	1.14	0.00	1.14	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/29/2018	***-**-579I - RHYMESTINE,	EQUITY INCOME FUND, INC. A	0.00	1.75	0.00	1.75	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-861I - SANGER, LAWRENCE	EQUITY INCOME FUND, INC. A	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/29/2018	***-**-680I - HARRELL, DARYL	EQUITY INCOME FUND, INC. A	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/29/2018	***-**-287J - HINCKLEY,	EQUITY INCOME FUND, INC. B	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
01/29/2018	***-**-949I - ACEE, JOSPEH	EQUITY INCOME FUND, INC. B	0.00	2.59	0.00	2.59	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/29/2018	***-**-567I - FRANZ, ALICE	EQUITY INCOME FUND, INC. B	0.00	6.14	0.00	6.14	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/29/2018	***-**-366I - GRUENEWALD,	EQUITY INCOME FUND, INC. B	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
01/29/2018	***-**-306X - COBB, CHERRYL	EQUITY INCOME FUND, INC. B	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
01/29/2018	***-**-506J - CURRIERE JR, MR	EQUITY INCOME FUND, INC. B	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - ANACKER, FBO MRS	EQUITY INCOME FUND, INC. B	0.00	1.73	0.00	1.73	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
01/29/2018	***-**-64IO - PFAFF, GEORGE	EQUITY INCOME FUND, INC. B	0.00	2.17	0.00	2.17	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/29/2018	***-**-62IR - ROBBIANO, FBO	EQUITY INCOME FUND, INC. B	0.00	1.55	0.00	1.55	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/29/2018	***-**-653I - KOCHER, CLINTON	EQUITY INCOME FUND, INC. B	0.00	3.21	0.00	3.21	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/29/2018	***-**-980I - ACEE, ELIZABETH	EQUITY INCOME FUND, INC. C	0.00	14.21	0.00	14.21	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
01/29/2018	***-**-031O - MCVOY, ROBERT	EQUITY INCOME FUND, INC. C	0.00	6.41	0.00	6.41	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
01/29/2018	***-**-00IO - LEE, GARY	EQUITY INCOME FUND, INC. C	0.00	14.14	0.00	14.14	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
01/29/2018	***-**-28IN - BYWATER, KIM	EQUITY INCOME FUND, INC. C	0.00	1.66	0.00	1.66	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
01/29/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
01/29/2018	***-**-132O - EVANS, THOMAS ACCOUNT #: LSR011074	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
01/29/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
01/29/2018	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
01/29/2018	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
01/29/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
01/29/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
01/29/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
01/29/2018	***-**-633J - ACCOUNT #: LSR011732	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
01/29/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	FRANKLIN BIOTECH DISCOVERY FUND CL BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	0.0	0.00
01/29/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	FRANKLIN CONVERTIBLE SECURITIES CLA BUY 1 Units @0.0000	0.00	8.95	0.00	8.95	0.0	0.00
01/29/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	FRANKLIN GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	2.08	0.00	2.08	0.0	0.00
01/29/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	0.0	0.00
01/29/2018	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	0.0	0.00
01/29/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	0.21	0.00	0.21	0.0	0.00



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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)								
01/29/2018	***-**-09IO - BATES, FBO MRS	FRANKLIN INCOME FUND CLASS C	0.00	7.40	0.00	7.40	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/29/2018	***-**-11IO - LYNN G.	FRANKLIN INCOME FUND CLASS C	0.00	9.86	0.00	9.86	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/29/2018	***-**-376I - BERBEN, GAIL	FRANKLIN INCOME FUND CLASS C	0.00	9.04	0.00	9.04	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
01/29/2018	***-**-45IO - JOHNSON, GREGORY	FRANKLIN INCOME FUND CLASS C	0.00	9.02	0.00	9.02	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/29/2018	***-**-00IN - FRANZ, JEAN	FRANKLIN INCOME FUND CLASS C	0.00	40.52	0.00	40.52	0.0	0.00
	ACCOUNT #: LSR011796	BUY 1 Units @0.0000						
01/29/2018	***-**-366O - GRUENEWALD,	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	0.17	0.00	0.17	0.0	0.00
	ACCOUNT #: LSR010987	BUY 1 Units @0.0000						
01/29/2018	***-**-065I - LAZIO, THOMAS	FRK GROWTH OPPORTUNITIES CL C	0.00	2.13	0.00	2.13	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
01/29/2018	***-**-45IO - JOHNSON, GREGORY	FRK GROWTH OPPORTUNITIES CL C	0.00	10.04	0.00	10.04	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/29/2018	***-**-065I - LAZIO, THOMAS	FRANKLN BALANCE SHEET INVTMNT FND -	0.00	9.48	0.00	9.48	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
01/29/2018	***-**-128I - BASHANT, THOMAS	GLOBAL FUND A	0.00	2.18	0.00	2.18	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
01/29/2018	***-**-094I - KATRENA L	GLOBAL OPPORTUNITIES FUND C	0.00	15.47	0.00	15.47	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
01/29/2018	***-**-254I - AUGUSTINE, LINDA	GOLD & SPECIAL MINERALS A	0.00	0.31	0.00	0.31	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/29/2018	***-**-881I - EBERLEY, SUSAN	GOLD & SPECIAL MINERALS A	0.00	0.16	0.00	0.16	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
01/29/2018	***-**-930I - SANGER, KEVIN	GOLD & SPECIAL MINERALS A	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
01/29/2018	***-**-15IN - PENDRAK, JOHN	GOLD & SPECIAL MINERALS A	0.00	2.20	0.00	2.20	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/29/2018	***-**-702J - KOCHEM, MICHAEL	GOLD & SPECIAL MINERALS A	0.00	0.24	0.00	0.24	0.0	0.00
	ACCOUNT #: LSR010955	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)								
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.58	0.00	0.58	0.0	0.00
01/29/2018	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	0.0	0.00
01/29/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.55	0.00	0.55	0.0	0.00
01/29/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	0.0	0.00
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	0.0	0.00
01/29/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	0.0	0.00
01/29/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	0.0	0.00
01/29/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	0.0	0.00
01/29/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.41	0.00	0.41	0.0	0.00
01/29/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.62	0.00	0.62	0.0	0.00
01/29/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.56	0.00	0.56	0.0	0.00
01/29/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	0.0	0.00
01/29/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	0.0	0.00
01/29/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	0.0	0.00
01/29/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: 00091130813	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	12.60	0.00	12.60	0.0	0.00
01/29/2018	***-**-11IN - MCCARTHY, LYNN ACCOUNT #: 091131292	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	37.81	0.00	37.81	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: 00091131725	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	12.60	0.00	12.60	0.0	0.00
01/29/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: 091131984	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	25.21	0.00	25.21	0.0	0.00
01/29/2018	***-**-49IN - DEPEYSTER, ACCOUNT #: 091132017	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	12.60	0.00	12.60	0.0	0.00
01/29/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: 00091132551	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	12.60	0.00	12.60	0.0	0.00
01/29/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 00091133853	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	25.21	0.00	25.21	0.0	0.00
01/29/2018	***-**-29IN - MASSOUD, ACCOUNT #: 91134730	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	12.60	0.00	12.60	0.0	0.00
01/29/2018	***-**-579I - RHYMESTINE, ACCOUNT #: 91134731	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	15.12	0.00	15.12	0.0	0.00
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: 91134733	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	15.12	0.00	15.12	0.0	0.00
01/29/2018	***-**-7231 - WARMUTH, ACCOUNT #: 91134733	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	12.60	0.00	12.60	0.0	0.00
01/29/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: 091136021	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	12.60	0.00	12.60	0.0	0.00
01/29/2018	***-**-366I - GRUENEWALD, ACCOUNT #: 91136364	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	12.60	0.00	12.60	0.0	0.00
01/29/2018	***-**-365I - GRUENEWALD, KURT ACCOUNT #: 091137478	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	12.60	0.00	12.60	0.0	0.00
01/29/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: 091138283	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	12.60	0.00	12.60	0.0	0.00
01/29/2018	***-**-960J - MASTRANGELO, ACCOUNT #: 091139160	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	25.21	0.00	25.21	0.0	0.00
01/29/2018	***-**-531J - WILLIAMSON, ACCOUNT #: 091140076	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	75.62	0.00	75.62	0.0	0.00
01/29/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	INTERNATIONAL BOND A BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-761I - EVANS, DOLORES	INTERNATIONAL BOND A	0.00	3.47	0.00	3.47	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/29/2018	***-**-15IN - PENDRAK, JOHN	INTERNATIONAL SMALL COMPANY A	0.00	1.44	0.00	1.44	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/29/2018	***-**-959I - FRANZ, PAUL	INTERNATIONAL SMALL COMPANY A	0.00	1.38	0.00	1.38	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
01/29/2018	***-**-367J - WAGNER, MRS LANT	INTERNATIONAL SMALL COMPANY FUND B	0.00	1.87	0.00	1.87	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
01/29/2018	***-**-664J - PFAFF, GEORGE	INTERNATIONAL SMALL COMPANY FUND B	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
01/29/2018	***-**-44IO - MAYO, DEBORAH	LORD ABBETT SHORT DURATION INCOME C	0.00	12.84	0.00	12.84	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/29/2018	***-**-579J - RHYMESTINE,	LORD ABBETT SHORT DURATION INCOME C	0.00	9.71	0.00	9.71	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
01/29/2018	***-**-09IO - BATES, FBO MRS	LORD ABBETT SHORT DURATION INCOME C	0.00	12.86	0.00	12.86	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/29/2018	***-**-89IN - LEE, ROGER	LORD ABBETT SHORT DURATION INCOME C	0.00	24.67	0.00	24.67	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
01/29/2018	***-**-439J - MCCARTHY, JAMES	LORD ABBETT SHORT DURATION INCOME C	0.00	1.89	0.00	1.89	0.0	0.00
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						
01/29/2018	***-**-45IO - JOHNSON, GREGORY	LORD ABBETT SHORT DURATION INCOME C	0.00	12.81	0.00	12.81	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/29/2018	***-**-14IO - BUSHEY, MATTHEW	LORD ABBETT SHORT DURATION INCOME C	0.00	9.53	0.00	9.53	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
01/29/2018	***-**-45IO - JOHNSON, GREGORY	MAIN STREET FUND C	0.00	7.70	0.00	7.70	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - CLARK, PATRICK	MAINSTAY TRAILS	0.00	3.51	0.00	3.51	0.0	0.00
	ACCOUNT #: 00079924809	BUY 0 Units @0.0000						
01/29/2018	***-**-48IO - CLARK, PATRICK	MAINSTAY TRAILS	0.00	1.29	0.00	1.29	0.0	0.00
	ACCOUNT #: 79955487	BUY 0 Units @0.0000						
01/29/2018	***-**-48IO - CLARK, PATRICK	MAINSTAY TRAILS	0.00	0.52	0.00	0.52	0.0	0.00
	ACCOUNT #: 79955487	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-48IO - CLARK, PATRICK	MAINSTAY TRAILS	0.00	2.97	0.00	2.97	0.0	0.00
	ACCOUNT #: 79955487	BUY 0 Units @0.0000						
01/29/2018	***-**-20IO - DEMETRI, AMELIA	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	1.55	0.00	1.55	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
01/29/2018	***-**-15IN - PENDRAK, JOHN	OPP PORT SERIES: ACTIVE ALLOC A	0.00	1.59	0.00	1.59	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/29/2018	***-**-80IN - COBB, JAMES	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	7.56	0.00	7.56	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
01/29/2018	***-**-44IO - MAYO, DEBORAH	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	14.90	0.00	14.90	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/29/2018	***-**-09IO - BATES, FBO MRS	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	16.67	0.00	16.67	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/29/2018	***-**-11IO - LYNN G.	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	15.70	0.00	15.70	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/29/2018	***-**-45IO - JOHNSON, GREGORY	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	19.73	0.00	19.73	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/29/2018	***-**-28IN - BYWATER, KIM	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
01/29/2018	***-**-88IJ - EBERLEY, SUSAN	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.57	0.00	1.57	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
01/29/2018	***-**-959I - FRANZ, PAUL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
01/29/2018	***-**-51IO - CAIN, TIMOTHY	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.32	0.00	2.32	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/29/2018	***-**-96IN - NESSIA, BONNIE	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
01/29/2018	***-**-31IO - WILLIAMSON, FBO	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/29/2018	***-**-680I - HARRELL, DARYL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.83	0.00	0.83	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/29/2018	***-**-094I - KATRENA L	OPPENHEIMER GLBL REAL ESTATE FUND C	0.00	5.37	0.00	5.37	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-0310 - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	4.95	0.00	4.95	0.0	0.00
01/29/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	4.00	0.00	4.00	0.0	0.00
01/29/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.23	0.00	5.23	0.0	0.00
01/29/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	0.0	0.00
01/29/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.30	0.00	2.30	0.0	0.00
01/29/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.58	0.00	5.58	0.0	0.00
01/29/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.40	0.00	2.40	0.0	0.00
01/29/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	7.38	0.00	7.38	0.0	0.00
01/29/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.42	0.00	2.42	0.0	0.00
01/29/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	6.92	0.00	6.92	0.0	0.00
01/29/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.65	0.00	5.65	0.0	0.00
01/29/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	1.53	0.00	1.53	0.0	0.00
01/29/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER INTERNATIONAL SMALL COM BUY 1 Units @0.0000	0.00	2.36	0.00	2.36	0.0	0.00
01/29/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	2.57	0.00	2.57	0.0	0.00
01/29/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	3.24	0.00	3.24	0.0	0.00
01/29/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000	0.00	1.85	0.00	1.85	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)								
01/29/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	27.28	0.00	27.28	0.0	0.00
01/29/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.72	0.00	5.72	0.0	0.00
01/29/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	13.83	0.00	13.83	0.0	0.00
01/29/2018	***-**-511N - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.70	0.00	7.70	0.0	0.00
01/29/2018	***-**-371O - MCCLUSKY, MARK ACCOUNT #: LSR011579	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.07	0.00	5.07	0.0	0.00
01/29/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.58	0.00	7.58	0.0	0.00
01/29/2018	***-**-281N - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	1.62	0.00	1.62	0.0	0.00
01/29/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	OPPENHEIMER ROCHEST AMT-FREE NY MUN BUY 1 Units @0.0000	0.00	7.08	0.00	7.08	0.0	0.00
01/29/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.52	0.00	1.52	0.0	0.00
01/29/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.42	0.00	0.42	0.0	0.00
01/29/2018	***-**-151N - PENDRAK, JOHN ACCOUNT #: LSR010948	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	0.0	0.00
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.76	0.00	1.76	0.0	0.00
01/29/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	0.0	0.00
01/29/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.04	0.00	1.04	0.0	0.00
01/29/2018	***-**-131N - RHYMESTINE, ACCOUNT #: LSR011106	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	0.0	0.00
01/29/2018	***-**-621N - EATON, DAVID ACCOUNT #: LSR011315	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	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)								
01/29/2018	***-**-80IN - COBB, JAMES	OPPENHEIMER STEELPATH MLP ALPHA PLU	0.00	1.07	0.00	1.07	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
01/29/2018	***-**-837O - BASEMENT	OPPENHEIMERSTEELPATH MLP INCOME CL	0.00	2.88	0.00	2.88	0.0	0.00
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
01/29/2018	***-**-80IN - COBB, JAMES	OPPENHEIMERSTEELPATH MLP SELECT 40	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - CLARK, PATRICK	PORT SERIES: CONS INV C	0.00	17.60	0.00	17.60	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
01/29/2018	***-**-72IN - GAVALO, JULIE	PORT SERIES: CONS INV C	0.00	23.83	0.00	23.83	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
01/29/2018	***-**-420T - DEMETRI, AMELIA	PORT SERIES: CONS INV C	0.00	6.07	0.00	6.07	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
01/29/2018	***-**-73UT - COBB, CHRSTIAN	PORT SERIES: CONS INV C	0.00	4.64	0.00	4.64	0.0	0.00
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
01/29/2018	***-**-67UT - COBB,	PORT SERIES: CONS INV C	0.00	4.64	0.00	4.64	0.0	0.00
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
01/29/2018	***-**-89IN - LEE, ROGER	PORT SERIES: CONS INV C	0.00	10.10	0.00	10.10	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
01/29/2018	***-**-52IO - EUSEPI, SUSAN	PORT SERIES: CONS INV C	0.00	12.53	0.00	12.53	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
01/29/2018	***-**-439I - MCCARTHY, JAMES	PORT SERIES: CONS INV C	0.00	4.18	0.00	4.18	0.0	0.00
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						
01/29/2018	***-**-80IO - EVANS, RICHARD	PORT SERIES: CONS INV C	0.00	13.39	0.00	13.39	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
01/29/2018	***-**-664J - PFAFF, GEORGE	PORT SERIES: EQUITY INV FD B	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
01/29/2018	***-**-254I - AUGUSTINE, LINDA	PORTFOLIO SERIES: CONS INV A	0.00	1.53	0.00	1.53	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/29/2018	***-**-15IN - PENDRAK, JOHN	PORTFOLIO SERIES: CONS INV A	0.00	4.70	0.00	4.70	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/29/2018	***-**-959I - FRANZ, PAUL	PORTFOLIO SERIES: CONS INV A	0.00	2.11	0.00	2.11	0.0	0.00
	ACCOUNT #: LSR010959	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)								
01/29/2018	***-**-51IO - CAIN, TIMOTHY	PORTFOLIO SERIES: CONS INV A	0.00	2.08	0.00	2.08	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/29/2018	***-**-761I - EVANS, DOLORES	PORTFOLIO SERIES: CONS INV A	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/29/2018	***-**-944O - MAYO, DEBORAH	PORTFOLIO SERIES: CONS INV A	0.00	1.74	0.00	1.74	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/29/2018	***-**-861I - SANGER, LAWRENCE	PORTFOLIO SERIES: CONS INV A	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/29/2018	***-**-13IN - RHYMESTINE,	PORTFOLIO SERIES: CONS INV A	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
01/29/2018	***-**-02IN - BUSHEY, MELISSA	PORTFOLIO SERIES: CONS INV A	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
01/29/2018	***-**-62IN - EATON, DAVID	PORTFOLIO SERIES: CONS INV A	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
01/29/2018	***-**-567I - FRANZ, ALICE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	3.24	0.00	3.24	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/29/2018	***-**-664J - PFAFF, GEORGE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	4.42	0.00	4.42	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
01/29/2018	***-**-579I - RHYMESTINE,	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.47	0.00	1.47	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/29/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM 746792100	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
01/29/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	2.45	0.00	2.45	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/29/2018	***-**-169I - EVANS, PAUL	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.26	0.00	1.26	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
01/29/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/29/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/29/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.17	0.00	1.17	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	0.0	0.00
01/29/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	1.02	0.00	1.02	0.0	0.00
01/29/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	1.15	0.00	1.15	0.0	0.00
01/29/2018	***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	4.52	0.00	4.52	0.0	0.00
01/29/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	15.21	0.00	15.21	0.0	0.00
01/29/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	9.73	0.00	9.73	0.0	0.00
01/29/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	9.65	0.00	9.65	0.0	0.00
01/29/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	7.54	0.00	7.54	0.0	0.00
01/29/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	9.46	0.00	9.46	0.0	0.00
01/29/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	14.32	0.00	14.32	0.0	0.00
01/29/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	8.02	0.00	8.02	0.0	0.00
01/29/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	9.58	0.00	9.58	0.0	0.00
01/29/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	0.79	0.00	0.79	0.0	0.00
01/29/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	1.86	0.00	1.86	0.0	0.00
01/29/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	2.41	0.00	2.41	0.0	0.00
01/29/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	0.87	0.00	0.87	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-653J - KOCHER, CLINTON	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
01/29/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
01/29/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM AMERICAN GOVERNMENT INCOME F	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
01/29/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM ASSET ALLOC BALANCED-C	0.00	4.96	0.00	4.96	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/29/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/29/2018	***-**-930I - SANGER, KEVIN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.98	0.00	0.98	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
01/29/2018	***-**-366S - GRUENEWALD,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
01/29/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.62	0.00	1.62	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/29/2018	***-**-579I - RHYMESTINE,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.47	0.00	1.47	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/29/2018	***-**-73UT - COBB, CHRISTIAN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.61	0.00	1.61	0.0	0.00
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
01/29/2018	***-**-67UT - COBB,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.61	0.00	1.61	0.0	0.00
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
01/29/2018	***-**-992J - CORNACCHIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
01/29/2018	***-**-66IO - RUDD, MICHAEL	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.17	0.00	0.17	0.0	0.00
	ACCOUNT #: LSR011268	BUY 1 Units @0.0000						
01/29/2018	***-**-21IO - RADELL, SANDRA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.61	0.00	1.61	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
01/29/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
01/29/2018	***-**-382I - SATTERLY, NEIL	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.79	0.00	7.79	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)								
01/29/2018	***-**-980I - ACEE, ELIZABETH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	12.40	0.00	12.40	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
01/29/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/29/2018	***-**-09IO - BATES, FBO MRS	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	17.75	0.00	17.75	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/29/2018	***-**-094I - KATRENA L	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	6.96	0.00	6.96	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
01/29/2018	***-**-11IO - LYNN G.	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	16.88	0.00	16.88	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/29/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	12.83	0.00	12.83	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/29/2018	***-**-235I - AUGUSTINE III,	PUTNAM COMP	0.00	5.68	0.00	5.68	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
01/29/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM COMP	0.00	4.86	0.00	4.86	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - CLARK, PATRICK	PUTNAM COMP	0.00	7.79	0.00	7.79	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
01/29/2018	***-**-72IN - GAVALO, JULIE	PUTNAM COMP	0.00	6.72	0.00	6.72	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
01/29/2018	***-**-959J - FRANZ, PAUL	PUTNAM COMP	0.00	10.12	0.00	10.12	0.0	0.00
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
01/29/2018	***-**-065I - LAZIO, THOMAS	PUTNAM COMP	0.00	5.77	0.00	5.77	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
01/29/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM COMP	0.00	5.15	0.00	5.15	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
01/29/2018	***-**-169I - EVANS, PAUL	PUTNAM COMP	0.00	4.13	0.00	4.13	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
01/29/2018	***-**-80IN - COBB, JAMES	PUTNAM COMP	0.00	7.45	0.00	7.45	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
01/29/2018	***-**-00IO - LEE, GARY	PUTNAM COMP	0.00	9.15	0.00	9.15	0.0	0.00
	ACCOUNT #: LSR011059	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)								
01/29/2018	***-**-09IO - BATES, FBO MRS	PUTNAM COMP	0.00	9.15	0.00	9.15	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/29/2018	***-**-89IN - LEE, ROGER	PUTNAM COMP	0.00	5.86	0.00	5.86	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
01/29/2018	***-**-094I - KATRENA L	PUTNAM COMP	0.00	7.17	0.00	7.17	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
01/29/2018	***-**-11IO - LYNN G.	PUTNAM COMP	0.00	9.47	0.00	9.47	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/29/2018	***-**-80IO - EVANS, RICHARD	PUTNAM COMP	0.00	4.68	0.00	4.68	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
01/29/2018	***-**-376I - BERBEN, GAIL	PUTNAM COMP	0.00	9.24	0.00	9.24	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
01/29/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM COMP	0.00	14.41	0.00	14.41	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/29/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM COMP	0.00	9.33	0.00	9.33	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
01/29/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM COMP	0.00	6.87	0.00	6.87	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
01/29/2018	***-**-86IN - LEE, KEVIN	PUTNAM COMP	0.00	7.78	0.00	7.78	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
01/29/2018	***-**-633J -	PUTNAM COMP	0.00	0.20	0.00	0.20	0.0	0.00
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
01/29/2018	***-**-51IO - SCALISE, MARY	PUTNAM COMP	0.00	0.28	0.00	0.28	0.0	0.00
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
01/29/2018	***-**-949I - ACEE, JOSPEH	PUTNAM CONV INCOME-GROWTH-B	0.00	2.23	0.00	2.23	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/29/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CONV INCOME-GROWTH-B	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/29/2018	***-**-567I - FRANZ, ALICE	PUTNAM CONV INCOME-GROWTH-B	0.00	2.89	0.00	2.89	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/29/2018	***-**-366S - GRUENEWALD,	PUTNAM CONV INCOME-GROWTH-B	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-580X - COBB, JAMES	PUTNAM CONV INCOME-GROWTH-B	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
01/29/2018	***-**-579I - RHYMESTINE,	PUTNAM CONV INCOME-GROWTH-B	0.00	1.10	0.00	1.10	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/29/2018	***-**-506J - CURRIERE JR, MR	PUTNAM CONV INCOME-GROWTH-B	0.00	1.04	0.00	1.04	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM CONV INCOME-GROWTH-B	0.00	1.36	0.00	1.36	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
01/29/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM CONV INCOME-GROWTH-B	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/29/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM CONV INCOME-GROWTH-B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/29/2018	***-**-653I - KOCHER, CLINTON	PUTNAM CONV INCOME-GROWTH-B	0.00	2.46	0.00	2.46	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/29/2018	***-**-00IO - LEE, GARY	PUTNAM CONVERTIBLE SECURITIES CL C	0.00	13.72	0.00	13.72	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
01/29/2018	***-**-11IO - LYNN G.	PUTNAM CONVERTIBLE SECURITIES CL C	0.00	18.92	0.00	18.92	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/29/2018	***-**-132O - EVANS, THOMAS	PUTNAM DIVERSIFIED INCOME CLASS C	0.00	7.49	0.00	7.49	0.0	0.00
	ACCOUNT #: LSR011074	BUY 1 Units @0.0000						
01/29/2018	***-**-11IO - LYNN G.	PUTNAM DIVERSIFIED INCOME CLASS C	0.00	14.50	0.00	14.50	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/29/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM DIVERSIFIED INCOME-B	0.00	2.24	0.00	2.24	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
01/29/2018	***-**-949I - ACEE, JOSPEH	PUTNAM DIVERSIFIED INCOME-B	0.00	0.87	0.00	0.87	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/29/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM DIVERSIFIED INCOME-B	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/29/2018	***-**-702I - KOCHER, MICHAEL	PUTNAM DIVERSIFIED INCOME-B	0.00	1.88	0.00	1.88	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
01/29/2018	***-**-960J - MASTRANGELO,	PUTNAM DIVERSIFIED INCOME-B	0.00	2.05	0.00	2.05	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM DIVERSIFIED INCOME-B	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/29/2018	***-**-761I - EVANS, DOLORES	PUTNAM DIVERSIFIED INCOME-B	0.00	10.95	0.00	10.95	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/29/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM DIVERSIFIED INCOME-B	0.00	2.53	0.00	2.53	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
01/29/2018	***-**-579I - RHYMESTINE,	PUTNAM DIVERSIFIED INCOME-B	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/29/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM DIVERSIFIED INCOME-B	0.00	1.51	0.00	1.51	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/29/2018	***-**-31IO - WILLIAMSON, FBO	PUTNAM DIVERSIFIED INCOME-B	0.00	6.48	0.00	6.48	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/29/2018	***-**-680I - HARRELL, DARYL	PUTNAM DIVERSIFIED INCOME-B	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/29/2018	***-**-960J - MASTRANGELO,	PUTNAM EQUITY INCOME FUND-B	0.00	2.54	0.00	2.54	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/29/2018	***-**-664J - PFAFF, GEORGE	PUTNAM EQUITY INCOME FUND-B	0.00	2.53	0.00	2.53	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
01/29/2018	***-**-169I - EVANS, PAUL	PUTNAM EQUITY SPECTRUM FD CL B	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
01/29/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM EQUITY SPECTRUM FD CL C	0.00	11.86	0.00	11.86	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - CLARK, PATRICK	PUTNAM EQUITY SPECTRUM FD CL C	0.00	25.29	0.00	25.29	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
01/29/2018	***-**-031O - MCVOY, ROBERT	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.86	0.00	8.86	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
01/29/2018	***-**-72IN - GAVALO, JULIE	PUTNAM EQUITY SPECTRUM FD CL C	0.00	16.69	0.00	16.69	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
01/29/2018	***-**-959I - FRANZ, PAUL	PUTNAM EQUITY SPECTRUM FD CL C	0.00	10.30	0.00	10.30	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
01/29/2018	***-**-065I - LAZIO, THOMAS	PUTNAM EQUITY SPECTRUM FD CL C	0.00	6.79	0.00	6.79	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-73TR - WESTCOTT IRRVOC	PUTNAM EQUITY SPECTRUM FD CL C	0.00	7.19	0.00	7.19	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
01/29/2018	***-**-80IN - COBB, JAMES	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.35	0.00	8.35	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
01/29/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.51	0.00	8.51	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/29/2018	***-**-09IO - BATES, FBO MRS	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.87	0.00	8.87	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/29/2018	***-**-89IN - LEE, ROGER	PUTNAM EQUITY SPECTRUM FD CL C	0.00	12.57	0.00	12.57	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
01/29/2018	***-**-473J - HUSTON,	PUTNAM EQUITY SPECTRUM FD CL C	0.00	9.56	0.00	9.56	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
01/29/2018	***-**-11IO - LYNN G.	PUTNAM EQUITY SPECTRUM FD CL C	0.00	10.82	0.00	10.82	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/29/2018	***-**-80IO - EVANS, RICHARD	PUTNAM EQUITY SPECTRUM FD CL C	0.00	9.28	0.00	9.28	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
01/29/2018	***-**-07IO - FAMOLARO, JAMES	PUTNAM EQUITY SPECTRUM FD CL C	0.00	5.75	0.00	5.75	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
01/29/2018	***-**-094I - KATRENA L	PUTNAM EUROPE EQUITY CLASS C	0.00	4.47	0.00	4.47	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
01/29/2018	***-**-808J - GORMAN, RANDY	PUTNAM GLOBAL CONSUMER FD A	0.00	0.29	0.00	0.29	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
01/29/2018	***-**-949I - ACEE, JOSPEH	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.99	0.00	1.99	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/29/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/29/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	3.31	0.00	3.31	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/29/2018	***-**-366I - GRUENEWALD,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.46	0.00	1.46	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
01/29/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-761I - EVANS, DOLORES	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.97	0.00	1.97	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/29/2018	***-**-944O - MAYO, DEBORAH	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.05	0.00	1.05	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/29/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.53	0.00	1.53	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
01/29/2018	***-**-306X - COBB, CHERRYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
01/29/2018	***-**-579J - RHYMESTINE,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.20	0.00	1.20	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
01/29/2018	***-**-326I - GRANDE, FBO MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.31	0.00	1.31	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
01/29/2018	***-**-506J - CURRIERE JR, MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.48	0.00	1.48	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/29/2018	***-**-367J - WAGNER, MRS LANT	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.16	0.00	2.16	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.29	0.00	2.29	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
01/29/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/29/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.20	0.00	1.20	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/29/2018	***-**-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						
01/29/2018	***-**-653I - KOCHER, CLINTON	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	3.38	0.00	3.38	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/29/2018	***-**-680I - HARRELL, DARYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.60	0.00	1.60	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/29/2018	***-**-21IO - RADELL, SANDRA	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.55	0.00	1.55	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
01/29/2018	***-**-12IR - GRUENEWALD,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR011614	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	0.0	0.00
01/29/2018	***-**-45IN - WILLIAMSON, ACCOUNT #: LSR011751	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	0.0	0.00
01/29/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	5.14	0.00	5.14	0.0	0.00
01/29/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	12.16	0.00	12.16	0.0	0.00
01/29/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	7.60	0.00	7.60	0.0	0.00
01/29/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	11.00	0.00	11.00	0.0	0.00
01/29/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	7.23	0.00	7.23	0.0	0.00
01/29/2018	***-**-51IO - SCALISE, MARY ACCOUNT #: LSR011837	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	0.04	0.00	0.04	0.0	0.00
01/29/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	PUTNAM GLOBAL HEALTH CARE FD-A BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	0.0	0.00
01/29/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM GLOBAL HEALTH CARE FD-A BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	0.0	0.00
01/29/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM GLOBAL NAT RESOURCES-A BUY 1 Units @0.0000	0.00	1.19	0.00	1.19	0.0	0.00
01/29/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM GLOBAL NAT RESOURCES-A BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	0.0	0.00
01/29/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.91	0.00	0.91	0.0	0.00
01/29/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	0.0	0.00
01/29/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	0.0	0.00
01/29/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL SECTOR FUND CL A BUY 1 Units @0.0000	0.00	2.62	0.00	2.62	0.0	0.00



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2108 Genesee St.
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BROKER #: A77
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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)								
01/29/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	2.07	0.00	2.07	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/29/2018	***-**-9440 - MAYO, DEBORAH	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	0.90	0.00	0.90	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/29/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	2.48	0.00	2.48	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
01/29/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/29/2018	***-**-382I - SATTERLY, NEIL	PUTNAM GLOBAL UTILITIES CL C	0.00	5.65	0.00	5.65	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
01/29/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.00	0.00	9.00	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
01/29/2018	***-**-382I - SATTERLY, NEIL	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.52	0.00	9.52	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
01/29/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.37	0.00	9.37	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
01/29/2018	***-**-169I - EVANS, PAUL	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	8.32	0.00	8.32	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
01/29/2018	***-**-80IN - COBB, JAMES	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	8.14	0.00	8.14	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
01/29/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	11.96	0.00	11.96	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
01/29/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	2.39	0.00	2.39	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/29/2018	***-**-653I - KOCHEM, CLINTON	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	2.85	0.00	2.85	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/29/2018	***-**-13IO - ROTH, KAREN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
01/29/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM HEALTH SCIENCES TR-B	0.00	0.89	0.00	0.89	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/29/2018	***-**-930I - SANGER, KEVIN	PUTNAM HEALTH SCIENCES TR-B	0.00	0.69	0.00	0.69	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)								
01/29/2018	***-**-567I - FRANZ, ALICE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.49	0.00	2.49	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/29/2018	***-**-960J - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/29/2018	***-**-761I - EVANS, DOLORES	PUTNAM HEALTH SCIENCES TR-B	0.00	2.06	0.00	2.06	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/29/2018	***-**-944O - MAYO, DEBORAH	PUTNAM HEALTH SCIENCES TR-B	0.00	1.71	0.00	1.71	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/29/2018	***-**-579I - RHYMESTINE,	PUTNAM HEALTH SCIENCES TR-B	0.00	2.24	0.00	2.24	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/29/2018	***-**-326I - GRANDE, FBO MR	PUTNAM HEALTH SCIENCES TR-B	0.00	1.36	0.00	1.36	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM HEALTH SCIENCES TR-B	0.00	2.13	0.00	2.13	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
01/29/2018	***-**-664J - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.09	0.00	2.09	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
01/29/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	0.83	0.00	0.83	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/29/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM HEALTH SCIENCES TR-B	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/29/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM HEALTH SCIENCES TR-B	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
01/29/2018	***-**-480J - EVANS, RICHARD	PUTNAM HEALTH SCIENCES TR-B	0.00	1.05	0.00	1.05	0.0	0.00
	ACCOUNT #: LSR011274	BUY 1 Units @0.0000						
01/29/2018	***-**-653I - KOCHEM, CLINTON	PUTNAM HEALTH SCIENCES TR-B	0.00	3.06	0.00	3.06	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/29/2018	***-**-21IO - RADELL, SANDRA	PUTNAM HEALTH SCIENCES TR-B	0.00	1.78	0.00	1.78	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
01/29/2018	***-**-197I - GAMBINO, ANDREW	PUTNAM HEALTH SCIENCES TR-B	0.00	0.20	0.00	0.20	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
01/29/2018	***-**-53IN - EVANS, ANDREW	PUTNAM HEALTH SCIENCES TR-B	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR011483	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)								
01/29/2018	***-**-13IO - ROTH, KAREN	PUTNAM HEALTH SCIENCES TR-B	0.00	1.44	0.00	1.44	0.0	0.00
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
01/29/2018	***-**-38IO - BROWN, TYLER	PUTNAM HEALTH SCIENCES TR-B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
01/29/2018	***-**-12IR - GRUENEWALD,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR011614	BUY 1 Units @0.0000						
01/29/2018	***-**-03IO - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
01/29/2018	***-**-45IN - WILLIAMSON,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
01/29/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM INTL GROWTH & INC-A	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
01/29/2018	***-**-382K - SATTERLY, NEIL	PUTNAM INVESTORS CLASS C	0.00	4.44	0.00	4.44	0.0	0.00
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
01/29/2018	***-**-653J - KOCHEM, CLINTON	PUTNAM INVESTORS CLASS C	0.00	4.43	0.00	4.43	0.0	0.00
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
01/29/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM SMALL CAP VALUE FUND-A	0.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
01/29/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM U.S. GOVT INCOME TR-B	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
01/29/2018	***-**-254I - AUGUSTINE, LINDA	PUTNAM UTILITIES GR & INC-B	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/29/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM UTILITIES GR & INC-B	0.00	1.63	0.00	1.63	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
01/29/2018	***-**-949I - ACEE, JOSPEH	PUTNAM UTILITIES GR & INC-B	0.00	0.73	0.00	0.73	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/29/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM UTILITIES GR & INC-B	0.00	0.54	0.00	0.54	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/29/2018	***-**-930I - SANGER, KEVIN	PUTNAM UTILITIES GR & INC-B	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
01/29/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM UTILITIES GR & INC-B	0.00	2.24	0.00	2.24	0.0	0.00
	ACCOUNT #: LSR010948	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)								
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.79	0.00	1.79	0.0	0.00
01/29/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	2.19	0.00	2.19	0.0	0.00
01/29/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	0.0	0.00
01/29/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	0.0	0.00
01/29/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	0.0	0.00
01/29/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.48	0.00	1.48	0.0	0.00
01/29/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	2.08	0.00	2.08	0.0	0.00
01/29/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.51	0.00	0.51	0.0	0.00
01/29/2018	***-**-6404 - ASHRAF, MIRZA ACCOUNT #: IRK129327	QUALIFIED PLAN SUMMARY BUY 0 Units @0.0000	0.00	223.32	0.00	223.32	0.0	0.00
01/29/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	QUEST INTERNATIONAL VALUE FUND, INC BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	0.0	0.00
01/29/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	QUEST OPPORTUNITY VALUE A BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	0.0	0.00
01/29/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	REAL ESTATE FUND A BUY 1 Units @0.0000	0.00	1.14	0.00	1.14	0.0	0.00
01/29/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	REAL ESTATE FUND A BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	0.0	0.00
01/29/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	REAL ESTATE FUND A BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	0.0	0.00
01/29/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	REAL ESTATE FUND A BUY 1 Units @0.0000	0.00	1.00	0.00	1.00	0.0	0.00
01/29/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	REAL ESTATE FUND A BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-761I - EVANS, DOLORES	REAL ESTATE FUND A	0.00	2.94	0.00	2.94	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/29/2018	***-**-944O - MAYO, DEBORAH	REAL ESTATE FUND A	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/29/2018	***-**-111J - NESSIA, JAMES	REAL ESTATE FUND A	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
01/29/2018	***-**-326I - GRANDE, FBO MR	REAL ESTATE FUND A	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
01/29/2018	***-**-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	0.00	1.43	0.00	1.43	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/29/2018	***-**-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	0.00	1.67	0.00	1.67	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/29/2018	***-**-62IN - EATON, DAVID	REAL ESTATE FUND A	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
01/29/2018	***-**-949I - ACEE, JOSPEH	REAL ESTATE FUND B	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/29/2018	***-**-567I - FRANZ, ALICE	REAL ESTATE FUND B	0.00	2.10	0.00	2.10	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/29/2018	***-**-506J - CURRIERE JR, MR	REAL ESTATE FUND B	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/29/2018	***-**-367J - WAGNER, MRS LANT	REAL ESTATE FUND B	0.00	1.29	0.00	1.29	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - ANACKER, FBO MRS	REAL ESTATE FUND B	0.00	1.54	0.00	1.54	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
01/29/2018	***-**-664J - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.47	0.00	1.47	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
01/29/2018	***-**-64IO - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.57	0.00	1.57	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/29/2018	***-**-62IR - ROBBIANO, FBO	REAL ESTATE FUND B	0.00	0.45	0.00	0.45	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/29/2018	***-**-653I - KOCHER, CLINTON	REAL ESTATE FUND B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/29/2018	***-**-382I - SATTERLY, NEIL	REAL ESTATE FUND C	0.00	10.40	0.00	10.40	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - CLARK, PATRICK	REAL ESTATE FUND C	0.00	7.74	0.00	7.74	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
01/29/2018	***-**-72IN - GAVALO, JULIE	REAL ESTATE FUND C	0.00	8.37	0.00	8.37	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
01/29/2018	***-**-065I - LAZIO, THOMAS	REAL ESTATE FUND C	0.00	6.19	0.00	6.19	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
01/29/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	8.19	0.00	8.19	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
01/29/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	2.21	0.00	2.21	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
01/29/2018	***-**-00IO - LEE, GARY	REAL ESTATE FUND C	0.00	9.99	0.00	9.99	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
01/29/2018	***-**-52IO - EUSEPI, SUSAN	REAL ESTATE FUND C	0.00	4.75	0.00	4.75	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
01/29/2018	***-**-11IO - LYNN G.	REAL ESTATE FUND C	0.00	13.00	0.00	13.00	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/29/2018	***-**-80IO - EVANS, RICHARD	REAL ESTATE FUND C	0.00	4.11	0.00	4.11	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
01/29/2018	***-**-45IO - JOHNSON, GREGORY	REAL ESTATE FUND C	0.00	7.04	0.00	7.04	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/29/2018	***-**-633J -	REAL ESTATE FUND C	0.00	0.28	0.00	0.28	0.0	0.00
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
01/29/2018	***-**-254I - AUGUSTINE, LINDA	RISING DIVIDENDS FUND A	0.00	1.55	0.00	1.55	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/29/2018	***-**-881I - EBERLEY, SUSAN	RISING DIVIDENDS FUND A	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
01/29/2018	***-**-702I - KOCHER, MICHAEL	RISING DIVIDENDS FUND A	0.00	2.33	0.00	2.33	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
01/29/2018	***-**-959I - FRANZ, PAUL	RISING DIVIDENDS FUND A	0.00	1.10	0.00	1.10	0.0	0.00
	ACCOUNT #: LSR010959	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)								
01/29/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	8.77	0.00	8.77	0.0	0.00
01/29/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	0.0	0.00
01/29/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.35	0.00	2.35	0.0	0.00
01/29/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.96	0.00	1.96	0.0	0.00
01/29/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.17	0.00	2.17	0.0	0.00
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.34	0.00	1.34	0.0	0.00
01/29/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	0.0	0.00
01/29/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.91	0.00	0.91	0.0	0.00
01/29/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	0.0	0.00
01/29/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	0.0	0.00
01/29/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	0.56	0.00	0.56	0.0	0.00
01/29/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	1.33	0.00	1.33	0.0	0.00
01/29/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	2.10	0.00	2.10	0.0	0.00
01/29/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	2.64	0.00	2.64	0.0	0.00
01/29/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	0.0	0.00
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	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)								
01/29/2018	***-**-02IN - BUSHEY, MELISSA	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	0.37	0.00	0.37	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
01/29/2018	***-**-80IN - COBB, JAMES	ROCHESTER NATIONAL MUNICIPALS A	0.00	2.54	0.00	2.54	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
01/29/2018	***-**-567I - FRANZ, ALICE	SMALL- & MID- CAP VALUE B	0.00	2.39	0.00	2.39	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/29/2018	***-**-580X - COBB, JAMES	SMALL- & MID- CAP VALUE B	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
01/29/2018	***-**-579I - RHYMESTINE,	SMALL- & MID- CAP VALUE B	0.00	2.26	0.00	2.26	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/29/2018	***-**-664J - PFAFF, GEORGE	SMALL- & MID- CAP VALUE B	0.00	0.73	0.00	0.73	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
01/29/2018	***-**-065I - LAZIO, THOMAS	SMALL- & MID- CAP VALUE FUND C	0.00	4.85	0.00	4.85	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
01/29/2018	***-**-28IN - BYWATER, KIM	SMALL- & MID- CAP VALUE FUND C	0.00	1.85	0.00	1.85	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
01/29/2018	***-**-86IN - LEE, KEVIN	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	3.95	0.00	3.95	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
01/29/2018	***-**-235I - AUGUSTINE III,	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	6.30	0.00	6.30	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
01/29/2018	***-**-881J - EBERLEY, SUSAN	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	7.45	0.00	7.45	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
01/29/2018	***-**-980I - ACEE, ELIZABETH	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	5.42	0.00	5.42	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
01/29/2018	***-**-031O - MCVOY, ROBERT	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	6.99	0.00	6.99	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
01/29/2018	***-**-959I - FRANZ, PAUL	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	12.51	0.00	12.51	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
01/29/2018	***-**-73TR - WESTCOTT IRRVOC	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	6.07	0.00	6.07	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
01/29/2018	***-**-73TR - WESTCOTT IRRVOC	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	5.85	0.00	5.85	0.0	0.00
	ACCOUNT #: LSR011008	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)								
01/29/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.20	0.00	7.20	0.0	0.00
01/29/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	11.58	0.00	11.58	0.0	0.00
01/29/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	13.14	0.00	13.14	0.0	0.00
01/29/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	11.15	0.00	11.15	0.0	0.00
01/29/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.44	0.00	7.44	0.0	0.00
01/29/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	9.43	0.00	9.43	0.0	0.00
01/29/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	10.69	0.00	10.69	0.0	0.00
01/29/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	13.29	0.00	13.29	0.0	0.00
01/29/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	10.35	0.00	10.35	0.0	0.00
01/29/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	15.42	0.00	15.42	0.0	0.00
01/29/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	VOYA GLOBAL EQUITY DIVIDEND CLASS A BUY 1 Units @0.0000	0.00	1.88	0.00	1.88	0.0	0.00
01/29/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	0.0	0.00
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	0.0	0.00
01/29/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.88	0.00	0.88	0.0	0.00
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	VOYA REAL ESTATE CLASS C BUY 1 Units @0.0000	0.00	5.19	0.00	5.19	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,469.36	\$0.00	\$2,469.36		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$95,372.51	\$3,412.36	\$343.60	\$3,068.76		\$-24.00



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<u>BROKER COMMISSION TOTALS</u>								
						Broker Transactions		\$-24.00
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$-122.88
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD								
Balance Forward								\$-146.88
Year-to-date Earnings								\$-146.88