



COMMISSION STATEMENT

January 22, 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>								
01/22/2018	***-**-22IO - CLINTON, STEPHEN	TERRA INCOME FUND 6, INC.	10,000.00	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR011684	BUY 1000 Units @10.0000						
01/08/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	100.00	4.25	0.00	4.25	0.0	0.00
	ACCOUNT #: 00073288662	BUY 3 Units @28.9900						
01/16/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 00083510637	BUY 1 Units @52.5100						
01/16/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 00083510745	BUY 1 Units @52.5100						
01/16/2018	***-**-680I - HARRELL, DARYL	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00083996385	BUY 1 Units @52.5100						
01/18/2018	***-**-48IO - ANACKER, FBO MRS	DEVELOPING MARKETS FUND B	1,500.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011164	SELL 34 Units @44.1700						
01/11/2018	***-**-37IO - DAVIDSON,	EATON VANCE FLOATING RATE ADVANTAGE	5,000.00	68.00	18.00	50.00	0.0	0.00
	ACCOUNT #: LSR012268	BUY 459 Units @10.8900						
01/18/2018	***-**-7140 - LINES, JUDITH	EATON VANCE FLOATING RATE ADVANTAGE	5,000.00	68.00	18.00	50.00	0.0	0.00
	ACCOUNT #: LSR011763	BUY 459 Units @10.9000						
01/17/2018	***-**-366I - GRUENEWALD,	FUNDAMENTAL INVESTORS-A	3,000.03	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010989	SELL 46 Units @65.4300						
01/16/2018	***-**-680I - HARRELL, DARYL	FUNDAMENTAL INVESTORS-C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00083996385	BUY 1 Units @64.4600						
01/18/2018	***-**-48IO - ANACKER, FBO MRS	FUNDAMENTAL INVESTORS-C	2,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011164	SELL 31 Units @65.0300						
01/11/2018	***-**-37IO - DAVIDSON,	LORD ABBETT SHORT DURATION INCOME C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012268	BUY 2342 Units @4.2700						
01/16/2018	***-**-53IN - EVANS, ANDREW	LORD ABBETT SHORT DURATION INCOME C	4,000.00	58.00	18.00	40.00	0.0	0.00
	ACCOUNT #: LSR011483	BUY 937 Units @4.2700						
01/18/2018	***-**-7140 - LINES, JUDITH	LORD ABBETT SHORT DURATION INCOME C	9,500.00	113.00	18.00	95.00	0.0	0.00
	ACCOUNT #: LSR011763	BUY 2230 Units @4.2600						
01/11/2018	***-**-37IO - DAVIDSON,	MFS CONSERVATIVE ALLOCATION CL C	5,000.00	68.00	18.00	50.00	0.0	0.00
	ACCOUNT #: LSR012268	BUY 324 Units @15.4400						
01/11/2018	***-**-37IO - DAVIDSON,	MFS TECHNOLOGY CLASS C	5,000.01	68.00	18.00	50.00	0.0	0.00
	ACCOUNT #: LSR012268	BUY 149 Units @33.6400						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/18/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	MFS TECHNOLOGY CLASS C BUY 294 Units @33.9900	9,999.99	118.00	18.00	100.00	0.0	0.00
01/16/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS TECHNOLOGY FUND-B BUY 1 Units @33.6800	50.01	2.00	0.00	2.00	0.0	0.00
01/18/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	MFS TECHNOLOGY FUND-B SELL 117 Units @34.0600	4,000.01	18.00	18.00	0.00	0.0	0.00
01/16/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS UTILITIES FUND-B BUY 5 Units @20.1700	100.00	4.00	0.00	4.00	0.0	0.00
01/18/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	MFS UTILITIES FUND-C BUY 248 Units @20.1600	5,000.00	68.00	18.00	50.00	0.0	0.00
01/16/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	NEW WORLD FUND-C BUY 1 Units @67.1200	50.00	0.50	0.00	0.50	0.0	0.00
01/18/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	PUTNAM CONV INCOME-GROWTH-B SELL 39 Units @25.6200	1,000.00	18.00	18.00	0.00	0.0	0.00
01/18/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	PUTNAM GLOBAL CONSUMER FUND CL B SELL 92 Units @21.7500	2,000.00	18.00	18.00	0.00	0.0	0.00
01/08/2018	***-**-480J - EVANS, RICHARD ACCOUNT #: 00073288662	THE GROWTH FUND OF AMERICA-A BUY 2 Units @53.9300	100.00	4.25	0.00	4.25	0.0	0.00
01/17/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	THE GROWTH FUND OF AMERICA-A SELL 57 Units @52.3800	3,000.01	18.00	18.00	0.00	0.0	0.00
01/16/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.1600	50.00	0.50	0.00	0.50	0.0	0.00
01/17/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	THE INCOME FUND OF AMERICA-A SELL 125 Units @23.9600	3,000.01	18.00	18.00	0.00	0.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$88,700.08	\$909.00	\$324.00	\$585.00		\$-18.00
PRODUCT CATEGORY: STOCKS								
01/11/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	WEIGHT WATCHERS INTL INC NEW BUY 50 Units @56.3500	2,817.50	53.22	16.00	37.22	0.0	0.00
* STOCKS SUBTOTAL *			\$2,817.50	\$53.22	\$16.00	\$37.22		\$0.00



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
01/08/2018	***-**-48IO - CLARK, PATRICK	PACIFIC LIFE SE5-NYB DTCC	214.18	4.28	0.00	4.28	0.0	0.00
	ACCOUNT #: VP71028500	BUY 0 Units @0.0000						
		* VARIABLE ANNUITIES SUBTOTAL *	\$214.18	\$4.28	\$0.00	\$4.28		\$0.00
<u>PRODUCT CATEGORY: 529 PLAN</u>								
01/16/2018	***-**-5375 - CARTER, LISA	AMERICAN BALANCED FUND-529C	300.00	3.00	0.00	3.00	0.0	0.00
	ACCOUNT #: 00083996363	BUY 11 Units @27.6600						
01/19/2018	***-**-614J - BUSHEY, MATTHEW	NYA JPM 529 MOD AGE-BASED A	100.00	4.75	0.00	4.75	0.0	0.00
		BUY 0 Units @0.0000						
		* 529 PLAN SUBTOTAL *	\$400.00	\$7.75	\$0.00	\$7.75		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/02/2018	***-**-91UT - BYWATER, CAROLYN	37252M108	0.00	0.73	0.00	0.73	0.0	0.00
	ACCOUNT #: 00234174436	BUY 0 Units @0.0000						
01/02/2018	***-**-79UT - BYWATER,	37252M108	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 00234227769	BUY 0 Units @0.0000						
01/16/2018	***-**-71IO - FAMOLARO, JAMES	AIM GLOBAL VALUE FUND - CLASS A	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
01/16/2018	***-**-306X - COBB, CHERRYL	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
01/16/2018	***-**-580X - COBB, JAMES	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
01/16/2018	***-**-837O - BASEMENT	AIM GOLD & PRECIOUS METALS FD - A	0.00	2.06	0.00	2.06	0.0	0.00
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
01/22/2018	***-**-680I - HARRELL, DARYL	AMERICAN BALANCED FUND-A	0.00	0.89	0.00	0.89	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/22/2018	***-**-30TR - AND SANDRA	AMERICAN BALANCED FUND-A	0.00	2.88	0.00	2.88	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
01/22/2018	***-**-761I - EVANS, DOLORES	AMERICAN BALANCED FUND-C	0.00	15.26	0.00	15.26	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/22/2018	***-**-094I - KATRENA L	AMERICAN BALANCED FUND-C	0.00	3.85	0.00	3.85	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)								
01/22/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	5.19	0.00	5.19	0.0	0.00
01/22/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	15.49	0.00	15.49	0.0	0.00
01/22/2018	***-**-88II - EBERLEY, SUSAN ACCOUNT #: LSR010858	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	8.74	0.00	8.74	0.0	0.00
01/22/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.44	0.00	4.44	0.0	0.00
01/22/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.64	0.00	3.64	0.0	0.00
01/22/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	22.46	0.00	22.46	0.0	0.00
01/22/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	6.27	0.00	6.27	0.0	0.00
01/22/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.67	0.00	4.67	0.0	0.00
01/22/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.92	0.00	11.92	0.0	0.00
01/22/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	10.48	0.00	10.48	0.0	0.00
01/22/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	7.04	0.00	7.04	0.0	0.00
01/22/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.82	0.00	11.82	0.0	0.00
01/22/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	10.00	0.00	10.00	0.0	0.00
01/22/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.77	0.00	11.77	0.0	0.00
01/22/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	6.26	0.00	6.26	0.0	0.00
01/22/2018	***-**-73UT - COBB, CHRSTIAN ACCOUNT #: LSR011104	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.41	0.00	5.41	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.41	0.00	5.41	0.0	0.00
01/22/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	2.58	0.00	2.58	0.0	0.00
01/22/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	7.60	0.00	7.60	0.0	0.00
01/22/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	16.27	0.00	16.27	0.0	0.00
01/22/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.99	0.00	4.99	0.0	0.00
01/22/2018	***-**-900J - LEE, MR. ACCOUNT #: LSR011186	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.15	0.00	5.15	0.0	0.00
01/22/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.64	0.00	3.64	0.0	0.00
01/22/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.66	0.00	3.66	0.0	0.00
01/22/2018	***-**-653I - KOICHEM, CLINTON ACCOUNT #: LSR011300	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.70	0.00	3.70	0.0	0.00
01/22/2018	***-**-702I - KOICHEM, MICHAEL ACCOUNT #: LSR010954	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	4.13	0.00	4.13	0.0	0.00
01/22/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	1.98	0.00	1.98	0.0	0.00
01/22/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	0.0	0.00
01/22/2018	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	0.0	0.00
01/22/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	2.24	0.00	2.24	0.0	0.00
01/22/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	AMERICAN FUNDS GLBL GROWTH PORT CL BUY 1 Units @0.0000	0.00	3.32	0.00	3.32	0.0	0.00
01/22/2018	***-**-87IN - HINCKLEY, ACCOUNT #: LSR010834	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.65	0.00	6.65	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.33	0.00	8.33	0.0	0.00
01/22/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	7.45	0.00	7.45	0.0	0.00
01/22/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.67	0.00	8.67	0.0	0.00
01/22/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	13.13	0.00	13.13	0.0	0.00
01/22/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	13.03	0.00	13.03	0.0	0.00
01/22/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	5.02	0.00	5.02	0.0	0.00
01/22/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	13.09	0.00	13.09	0.0	0.00
01/22/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	10.47	0.00	10.47	0.0	0.00
01/22/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.69	0.00	8.69	0.0	0.00
01/22/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.65	0.00	8.65	0.0	0.00
01/22/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.77	0.00	8.77	0.0	0.00
01/22/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	13.02	0.00	13.02	0.0	0.00
01/22/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.61	0.00	8.61	0.0	0.00
01/22/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	22.43	0.00	22.43	0.0	0.00
01/22/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.53	0.00	6.53	0.0	0.00
01/22/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	14.10	0.00	14.10	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	3.04	0.00	3.04	0.0	0.00
01/22/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	2.54	0.00	2.54	0.0	0.00
01/22/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	3.01	0.00	3.01	0.0	0.00
01/22/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.73	0.00	8.73	0.0	0.00
01/22/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.91	0.00	6.91	0.0	0.00
01/22/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.48	0.00	8.48	0.0	0.00
01/22/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.46	0.00	8.46	0.0	0.00
01/22/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	16.93	0.00	16.93	0.0	0.00
01/22/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	AMERICAN FUNDS PRESERVATION PORT C BUY 1 Units @0.0000	0.00	4.26	0.00	4.26	0.0	0.00
01/22/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	9.44	0.00	9.44	0.0	0.00
01/22/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	11.43	0.00	11.43	0.0	0.00
01/22/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	4.23	0.00	4.23	0.0	0.00
01/22/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	14.29	0.00	14.29	0.0	0.00
01/22/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	11.24	0.00	11.24	0.0	0.00
01/22/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	10.91	0.00	10.91	0.0	0.00
01/22/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	12.74	0.00	12.74	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)								
01/22/2018	***-**-420T - DEMETRI, AMELIA	AMERICAN GLOBAL BALANCED CL C	0.00	7.04	0.00	7.04	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
01/22/2018	***-**-73TR - WESTCOTT IRRVOC	AMERICAN GLOBAL BALANCED CL C	0.00	14.55	0.00	14.55	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
01/22/2018	***-**-73TR - WESTCOTT IRRVOC	AMERICAN GLOBAL BALANCED CL C	0.00	28.58	0.00	28.58	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
01/22/2018	***-**-80IN - COBB, JAMES	AMERICAN GLOBAL BALANCED CL C	0.00	7.99	0.00	7.99	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
01/22/2018	***-**-00IO - LEE, GARY	AMERICAN GLOBAL BALANCED CL C	0.00	13.32	0.00	13.32	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
01/22/2018	***-**-44IO - MAYO, DEBORAH	AMERICAN GLOBAL BALANCED CL C	0.00	24.00	0.00	24.00	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/22/2018	***-**-09IO - BATES, FBO MRS	AMERICAN GLOBAL BALANCED CL C	0.00	16.84	0.00	16.84	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/22/2018	***-**-094I - KATRENA L	AMERICAN GLOBAL BALANCED CL C	0.00	7.55	0.00	7.55	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
01/22/2018	***-**-11IO - LYNN G.	AMERICAN GLOBAL BALANCED CL C	0.00	19.34	0.00	19.34	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/22/2018	***-**-07IO - FAMOLARO, JAMES	AMERICAN GLOBAL BALANCED CL C	0.00	5.72	0.00	5.72	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
01/22/2018	***-**-376I - BERBEN, GAIL	AMERICAN GLOBAL BALANCED CL C	0.00	17.98	0.00	17.98	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
01/22/2018	***-**-21IO - RADELL, SANDRA	AMERICAN GLOBAL BALANCED CL C	0.00	5.76	0.00	5.76	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
01/22/2018	***-**-45IO - JOHNSON, GREGORY	AMERICAN GLOBAL BALANCED CL C	0.00	21.44	0.00	21.44	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/22/2018	***-**-14IO - BUSHEY, MATTHEW	AMERICAN GLOBAL BALANCED CL C	0.00	19.29	0.00	19.29	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
01/22/2018	***-**-37IO - MCCLUSKY, MARK	AMERICAN GLOBAL BALANCED CL C	0.00	9.41	0.00	9.41	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
01/22/2018	***-**-86IN - LEE, KEVIN	AMERICAN GLOBAL BALANCED CL C	0.00	8.40	0.00	8.40	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	9.51	0.00	9.51	0.0	0.00
01/22/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	2.60	0.00	2.60	0.0	0.00
01/22/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	5.99	0.00	5.99	0.0	0.00
01/22/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	1.54	0.00	1.54	0.0	0.00
01/22/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	AMERICAN MUTUAL FUND-A BUY 1 Units @0.0000	0.00	5.60	0.00	5.60	0.0	0.00
01/22/2018	***-**-13IN - GRUENEWALD, ACCOUNT #: LSR011210	AMERICAN WASHINGTON MUTUAL INVESTOR BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	0.0	0.00
01/22/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	7.35	0.00	7.35	0.0	0.00
01/22/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	4.97	0.00	4.97	0.0	0.00
01/22/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	14.89	0.00	14.89	0.0	0.00
01/22/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	4.87	0.00	4.87	0.0	0.00
01/22/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.47	0.00	5.47	0.0	0.00
01/22/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	8.99	0.00	8.99	0.0	0.00
01/22/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	12.04	0.00	12.04	0.0	0.00
01/22/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	9.66	0.00	9.66	0.0	0.00
01/22/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	7.01	0.00	7.01	0.0	0.00
01/22/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	7.48	0.00	7.48	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-63TR - EVANS, AUDREY J	CAPITAL INCOME BUILDER CLASS C	0.00	5.32	0.00	5.32	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
01/22/2018	***-**-861I - SANGER, LAWRENCE	CAPITAL INCOME BUILDER CLASS C	0.00	1.85	0.00	1.85	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/22/2018	***-**-13IN - RHYMESTINE,	CAPITAL INCOME BUILDER CLASS C	0.00	5.84	0.00	5.84	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
01/22/2018	***-**-506J - CURRIERE JR, MR	CAPITAL INCOME BUILDER CLASS C	0.00	3.93	0.00	3.93	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - WILLIAMSON, FBO	CAPITAL INCOME BUILDER CLASS C	0.00	17.34	0.00	17.34	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/22/2018	***-**-62IR - ROBBIANO, FBO	CAPITAL INCOME BUILDER CLASS C	0.00	7.13	0.00	7.13	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/22/2018	***-**-02IN - BUSHEY, MELISSA	CAPITAL INCOME BUILDER CLASS C	0.00	2.92	0.00	2.92	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
01/22/2018	***-**-287I - HINCKLEY,	CAPITAL INCOME BUILDER-A	0.00	4.28	0.00	4.28	0.0	0.00
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
01/22/2018	***-**-702I - KOCHER, MICHAEL	CAPITAL INCOME BUILDER-A	0.00	3.75	0.00	3.75	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
01/22/2018	***-**-366I - GRUENEWALD,	CAPITAL INCOME BUILDER-A	0.00	2.77	0.00	2.77	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
01/22/2018	***-**-20IO - DEMETRI, AMELIA	CAPITAL INCOME BUILDER-A	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
01/22/2018	***-**-579J - RHYMESTINE,	CAPITAL INCOME BUILDER-A	0.00	2.24	0.00	2.24	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
01/22/2018	***-**-680I - HARRELL, DARYL	CAPITAL INCOME BUILDER-A	0.00	0.31	0.00	0.31	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/22/2018	***-**-30TR - AND SANDRA	CAPITAL INCOME BUILDER-A	0.00	2.20	0.00	2.20	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
01/22/2018	***-**-702I - KOCHER, MICHAEL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.70	0.00	3.70	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
01/22/2018	***-**-20IO - DEMETRI, AMELIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.54	0.00	1.54	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.79	0.00	1.79	0.0	0.00
01/22/2018	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.42	0.00	1.42	0.0	0.00
01/22/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.54	0.00	1.54	0.0	0.00
01/22/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	0.0	0.00
01/22/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.39	0.00	1.39	0.0	0.00
01/22/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.50	0.00	1.50	0.0	0.00
01/22/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	2.46	0.00	2.46	0.0	0.00
01/22/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	10.56	0.00	10.56	0.0	0.00
01/22/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	13.91	0.00	13.91	0.0	0.00
01/22/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	7.91	0.00	7.91	0.0	0.00
01/22/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	CLEARBRIDGE AGGRESSIVE GROWTH A BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	0.0	0.00
01/16/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	COLUMBIA MARSICO FOCUSED EQ CL A BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	0.0	0.00
01/22/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: 5034930049	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	0.0	0.00
01/22/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: 5034930049	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	0.24	0.00	0.24	0.0	0.00
01/22/2018	***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	0.0	0.00
01/22/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	0.0	0.00
01/22/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	0.0	0.00
01/22/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	0.0	0.00
01/22/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	FIDELITY ADV EQUITY INCOME CL A BUY 1 Units @0.0000	0.00	2.18	0.00	2.18	0.0	0.00
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV INDUSTRIALS-CL C BUY 1 Units @0.0000	0.00	14.68	0.00	14.68	0.0	0.00
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV SMALL CAP CL C BUY 1 Units @0.0000	0.00	5.85	0.00	5.85	0.0	0.00
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV STOCK SELECTOR ALL CAP BUY 1 Units @0.0000	0.00	4.91	0.00	4.91	0.0	0.00
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR EQUITY INCOME CL C BUY 1 Units @0.0000	0.00	22.42	0.00	22.42	0.0	0.00
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR INT'L DISCOVERY CL BUY 1 Units @0.0000	0.00	16.32	0.00	16.32	0.0	0.00
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR INTERMEDIATE BOND BUY 1 Units @0.0000	0.00	8.42	0.00	8.42	0.0	0.00
01/22/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	FIDELITY ADVISOR MORTGAGE SECS CL A BUY 1 Units @0.0000	0.00	2.14	0.00	2.14	0.0	0.00
01/22/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	FIDELITY ADVISOR MORTGAGE SECS CL A BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	0.0	0.00
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR MORTGAGE SECS CL C BUY 1 Units @0.0000	0.00	5.89	0.00	5.89	0.0	0.00
01/22/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	2.18	0.00	2.18	0.0	0.00
01/22/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.78	0.00	1.78	0.0	0.00
01/22/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	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)								
01/22/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	0.0	0.00
01/22/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.95	0.00	1.95	0.0	0.00
01/22/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	0.0	0.00
01/22/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	0.0	0.00
01/22/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.87	0.00	1.87	0.0	0.00
01/22/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.34	0.00	4.34	0.0	0.00
01/22/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.85	0.00	4.85	0.0	0.00
01/22/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	3.05	0.00	3.05	0.0	0.00
01/22/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	3.01	0.00	3.01	0.0	0.00
01/22/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.28	0.00	5.28	0.0	0.00
01/22/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.84	0.00	4.84	0.0	0.00
01/22/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	11.48	0.00	11.48	0.0	0.00
01/22/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	8.92	0.00	8.92	0.0	0.00
01/22/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.93	0.00	5.93	0.0	0.00
01/22/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.26	0.00	5.26	0.0	0.00
01/22/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	15.72	0.00	15.72	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)								
01/22/2018	***-**-306X - COBB, CHERYL	FUNDAMENTAL INVESTORS-C	0.00	5.70	0.00	5.70	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
01/22/2018	***-**-861I - SANGER, LAWRENCE	FUNDAMENTAL INVESTORS-C	0.00	1.48	0.00	1.48	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/22/2018	***-**-13IN - RHYMESTINE,	FUNDAMENTAL INVESTORS-C	0.00	5.10	0.00	5.10	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
01/22/2018	***-**-09IO - BATES, FBO MRS	FUNDAMENTAL INVESTORS-C	0.00	11.14	0.00	11.14	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/22/2018	***-**-506J - CURRIERE JR, MR	FUNDAMENTAL INVESTORS-C	0.00	4.68	0.00	4.68	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/22/2018	***-**-48IO - ANACKER, FBO MRS	FUNDAMENTAL INVESTORS-C	0.00	6.60	0.00	6.60	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
01/22/2018	***-**-89IN - LEE, ROGER	FUNDAMENTAL INVESTORS-C	0.00	5.80	0.00	5.80	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - WILLIAMSON, FBO	FUNDAMENTAL INVESTORS-C	0.00	7.74	0.00	7.74	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/22/2018	***-**-64IO - PFAFF, GEORGE	FUNDAMENTAL INVESTORS-C	0.00	3.64	0.00	3.64	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/22/2018	***-**-62IR - ROBBIANO, FBO	FUNDAMENTAL INVESTORS-C	0.00	3.23	0.00	3.23	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/22/2018	***-**-11IO - LYNN G.	FUNDAMENTAL INVESTORS-C	0.00	14.43	0.00	14.43	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/22/2018	***-**-653I - KOCHER, CLINTON	FUNDAMENTAL INVESTORS-C	0.00	11.34	0.00	11.34	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/22/2018	***-**-376I - BERBEN, GAIL	FUNDAMENTAL INVESTORS-C	0.00	15.09	0.00	15.09	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
01/22/2018	***-**-21IO - RADELL, SANDRA	FUNDAMENTAL INVESTORS-C	0.00	4.64	0.00	4.64	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
01/22/2018	***-**-45IO - JOHNSON, GREGORY	FUNDAMENTAL INVESTORS-C	0.00	12.23	0.00	12.23	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/22/2018	***-**-14IO - BUSHEY, MATTHEW	FUNDAMENTAL INVESTORS-C	0.00	14.49	0.00	14.49	0.0	0.00
	ACCOUNT #: LSR011498	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)								
01/22/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	GLOBAL GROWTH PORTFOLIO-A BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	0.0	0.00
01/22/2018	***-**-89IN - LEE, ROGER ACCOUNT #: 091123534	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	47.92	0.00	47.92	0.0	0.00
01/22/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: 091125944	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	59.90	0.00	59.90	0.0	0.00
01/22/2018	***-**-44IO - DISCHIAVI, FBO ACCOUNT #: 091126800	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	47.92	0.00	47.92	0.0	0.00
01/22/2018	***-**-287X - HINCKLEY, ACCOUNT #: 091129238	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	23.96	0.00	23.96	0.0	0.00
01/22/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: 091129288	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	47.92	0.00	47.92	0.0	0.00
01/22/2018	***-**-11IN - MCCARTHY, LYNN ACCOUNT #: 091131292	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	21.57	0.00	21.57	0.0	0.00
01/22/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: 00091131762	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	11.98	0.00	11.98	0.0	0.00
01/22/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: 00091132518	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	11.98	0.00	11.98	0.0	0.00
01/22/2018	***-**-531J - WILLIAMSON, ACCOUNT #: 091140076	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	71.88	0.00	71.88	0.0	0.00
01/22/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	GROWTH FUND OF AMERICA CLASS F BUY 1 Units @0.0000	0.00	3.16	0.00	3.16	0.0	0.00
01/22/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.35	0.00	1.35	0.0	0.00
01/22/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	0.46	0.00	0.46	0.0	0.00
01/22/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	0.0	0.00
01/22/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	2.54	0.00	2.54	0.0	0.00
01/22/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-680I - HARRELL, DARYL	HARTFORD INFLATION PLUS FUND CLASS	0.00	1.77	0.00	1.77	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/22/2018	***-**-287I - HINCKLEY,	INCOME FUND OF AMERICA CLASS C	0.00	3.73	0.00	3.73	0.0	0.00
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
01/22/2018	***-**-980I - ACEE, ELIZABETH	INCOME FUND OF AMERICA CLASS C	0.00	12.22	0.00	12.22	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
01/22/2018	***-**-72IN - GAVALO, JULIE	INCOME FUND OF AMERICA CLASS C	0.00	11.68	0.00	11.68	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
01/22/2018	***-**-73TR - WESTCOTT IRRVOC	INCOME FUND OF AMERICA CLASS C	0.00	1.83	0.00	1.83	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
01/22/2018	***-**-63TR - EVANS, AUDREY J	INCOME FUND OF AMERICA CLASS C	0.00	5.49	0.00	5.49	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
01/22/2018	***-**-44IO - MAYO, DEBORAH	INCOME FUND OF AMERICA CLASS C	0.00	10.24	0.00	10.24	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/22/2018	***-**-09IO - BATES, FBO MRS	INCOME FUND OF AMERICA CLASS C	0.00	32.43	0.00	32.43	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/22/2018	***-**-11IO - LYNN G.	INCOME FUND OF AMERICA CLASS C	0.00	15.13	0.00	15.13	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/22/2018	***-**-376I - BERBEN, GAIL	INCOME FUND OF AMERICA CLASS C	0.00	13.62	0.00	13.62	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
01/22/2018	***-**-21IO - RADELL, SANDRA	INCOME FUND OF AMERICA CLASS C	0.00	4.96	0.00	4.96	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
01/22/2018	***-**-45IO - JOHNSON, GREGORY	INCOME FUND OF AMERICA CLASS C	0.00	26.75	0.00	26.75	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/22/2018	***-**-14IO - BUSHEY, MATTHEW	INCOME FUND OF AMERICA CLASS C	0.00	12.98	0.00	12.98	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
01/22/2018	***-**-702I - KOCHEM, MICHAEL	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.14	0.00	0.14	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
01/22/2018	***-**-761I - EVANS, DOLORES	INTERMEDIATE BOND FUND OF AMERICA-C	0.00	5.54	0.00	5.54	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/22/2018	***-**-366S - GRUENEWALD,	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.81	0.00	0.81	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)								
01/22/2018	***-**-567I - FRANZ, ALICE	INTERNATIONAL GROWTH AND INCOME-C	0.00	13.33	0.00	13.33	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/16/2018	***-**-71IO - FAMOLARO, JAMES	INVESCO VAN KAMPEN COMSTOCK CLASS A	0.00	0.45	0.00	0.45	0.0	0.00
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
01/16/2018	***-**-71IO - FAMOLARO, JAMES	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
01/16/2018	***-**-80IN - COBB, JAMES	LOCORR SPECTRUM-NFS	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
01/01/2018	***-**-1855 - WILLIAMSON,	MASSACHUSETTS INVESTORS TRUST CLASS	0.00	3.49	0.00	3.49	0.0	0.00
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
01/01/2018	***-**-439J - MCCARTHY, JAMES	MASSACHUSETTS INVESTORS TRUST-A	0.00	0.37	0.00	0.37	0.0	0.00
	ACCOUNT #: 00060638887	BUY 0 Units @0.0000						
01/01/2018	***-**-439J - MCCARTHY, JAMES	MASSACHUSETTS INVESTORS TRUST-A	0.00	1.78	0.00	1.78	0.0	0.00
	ACCOUNT #: 00060638888	BUY 0 Units @0.0000						
01/01/2018	***-**-439I - MCCARTHY, JAMES	MASSACHUSETTS INVESTORS TRUST-B	0.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
01/01/2018	***-**-0767 - DOVI,	MASSACHUSETTS INVESTORS TRUST-B	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
01/01/2018	***-**-861I - SANGER, LAWRENCE	MASSACHUSETTS INVESTORS TRUST-B	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
01/01/2018	***-**-8440 - PREVOST, PIERRE	MASSACHUSETTS INVESTORS TRUST-B	0.00	1.81	0.00	1.81	0.0	0.00
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
01/01/2018	***-**-237I - MCCLUSKY, MARK	MASSACHUSETTS INVESTORS TRUST-B	0.00	1.93	0.00	1.93	0.0	0.00
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
01/01/2018	***-**-094I - CIRILLO, CARL	MASSACHUSETTS INVESTORS TRUST-B	0.00	2.98	0.00	2.98	0.0	0.00
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
01/01/2018	***-**-671I - EBERLEY, REID	MASSACHUSETTS INVESTORS TRUST-B	0.00	2.04	0.00	2.04	0.0	0.00
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
01/01/2018	***-**-13IN - RHYMESTINE,	MASSACHUSETTS INVESTORS TRUST-B	0.00	0.96	0.00	0.96	0.0	0.00
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
01/01/2018	***-**-3420 - KOCHEM, DENISE	MASSACHUSETTS INVESTORS TRUST-B	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/01/2018	***-**-9839 - YADDAW, DAVID	MASSACHUSETTS INVESTORS TRUST-B	0.00	2.47	0.00	2.47	0.0	0.00
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
01/01/2018	***-**-1855 - WILLIAMSON,	MFS GROWTH PORT CLASS C	0.00	3.68	0.00	3.68	0.0	0.00
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
01/01/2018	***-**-06IN - SATTERLY,	MFS 08191336006	0.00	2.37	0.00	2.37	0.0	0.00
	ACCOUNT #: 08191336006	BUY 0 Units @0.0000						
01/01/2018	***-**-1855 - WILLIAMSON,	MFS 55273E871	0.00	1.68	0.00	1.68	0.0	0.00
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
01/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS 552987646	0.00	1.66	0.00	1.66	0.0	0.00
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
01/22/2018	***-**-065I - LAZIO, THOMAS	MFS ABSOLUTE RETURN FUND CLASS C	0.00	3.33	0.00	3.33	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
01/01/2018	***-**-058I - ROBBIANO, SARAH	MFS AGGRESS GROWTH ALLOCATION FD-B	0.00	0.19	0.00	0.19	0.0	0.00
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
01/22/2018	***-**-944O - MAYO, DEBORAH	MFS AGGRESSIVE GROWTH ALLOCATION FD	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/01/2018	***-**-2603 - MASTRANGELO,	MFS BLENDED RESEARCH CORE EQUITY FD	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
01/22/2018	***-**-13IN - ROTH, KAREN	MFS BLENDED RESEARCH CORE EQUITY FD	0.00	1.31	0.00	1.31	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
01/01/2018	***-**-3749 - DEPEYSTER,	MFS BOND FUND CLASS B	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
01/01/2018	***-**-2603 - MASTRANGELO,	MFS BOND FUND CLASS B	0.00	0.17	0.00	0.17	0.0	0.00
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
01/01/2018	***-**-606I - LEWIS, TAMARA	MFS BOND FUND-C	0.00	1.41	0.00	1.41	0.0	0.00
	ACCOUNT #: 08191352847	BUY 0 Units @0.0000						
01/22/2018	***-**-881I - EBERLEY, SUSAN	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.70	0.00	9.70	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
01/22/2018	***-**-901I - SATTERLY, ANN	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.63	0.00	9.63	0.0	0.00
	ACCOUNT #: LSR010874	BUY 1 Units @0.0000						
01/22/2018	***-**-382K - SATTERLY, NEIL	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.36	0.00	4.36	0.0	0.00
	ACCOUNT #: LSR010875	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)								
01/22/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	18.43	0.00	18.43	0.0	0.00
01/22/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	4.52	0.00	4.52	0.0	0.00
01/22/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	18.21	0.00	18.21	0.0	0.00
01/22/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	17.22	0.00	17.22	0.0	0.00
01/22/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	11.31	0.00	11.31	0.0	0.00
01/22/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	6.27	0.00	6.27	0.0	0.00
01/22/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	9.72	0.00	9.72	0.0	0.00
01/22/2018	***-**-837O - BASEMENT ACCOUNT #: LSR011046	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	4.94	0.00	4.94	0.0	0.00
01/22/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	14.95	0.00	14.95	0.0	0.00
01/22/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	18.49	0.00	18.49	0.0	0.00
01/22/2018	***-**-900J - LEE, MR. ACCOUNT #: LSR011186	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	4.35	0.00	4.35	0.0	0.00
01/22/2018	***-**-06IR - CAMPBELL, PAMELA ACCOUNT #: LSR011222	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	6.50	0.00	6.50	0.0	0.00
01/22/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	14.20	0.00	14.20	0.0	0.00
01/22/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	9.71	0.00	9.71	0.0	0.00
01/22/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	14.18	0.00	14.18	0.0	0.00
01/22/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	30.13	0.00	30.13	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-14IO - BUSHEY, MATTHEW	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.42	0.00	9.42	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
01/22/2018	***-**-37IO - MCCLUSKY, MARK	MFS CONSERVATIVE ALLOCATION CL C	0.00	7.81	0.00	7.81	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
01/22/2018	***-**-99IN - EDELMAN, TINA	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.02	0.00	0.02	0.0	0.00
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
01/22/2018	***-**-28IN - BYWATER, KIM	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.02	0.00	0.02	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
01/22/2018	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-A	0.00	1.16	0.00	1.16	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/22/2018	***-**-254I - AUGUSTINE, LINDA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/22/2018	***-**-15IN - PENDRAK, JOHN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.21	0.00	2.21	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/22/2018	***-**-960J - MASTRANGELO,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	5.67	0.00	5.67	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/22/2018	***-**-51IO - CAIN, TIMOTHY	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.68	0.00	2.68	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/22/2018	***-**-761I - EVANS, DOLORES	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.14	0.00	2.14	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/22/2018	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/22/2018	***-**-326J - GRANDE, MR	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
01/22/2018	***-**-13IN - RHYMESTINE,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.05	0.00	1.05	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
01/22/2018	***-**-367J - WAGNER, MRS LANT	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.17	0.00	1.17	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
01/22/2018	***-**-992J - CORNACCHIA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.40	0.00	0.40	0.0	0.00
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - WILLIAMSON, FBO	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	4.08	0.00	4.08	0.0	0.00
	ACCOUNT #: LSR011172	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)								
01/22/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	0.0	0.00
01/22/2018	***-**-448X - ANACKER, SUSAN ACCOUNT #: LSR011578	MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	0.0	0.00
01/01/2018	***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352846	MFS CORE EQUITY FUND-B BUY 0 Units @0.0000	0.00	0.74	0.00	0.74	0.0	0.00
01/22/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	4.70	0.00	4.70	0.0	0.00
01/22/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	9.46	0.00	9.46	0.0	0.00
01/22/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	17.17	0.00	17.17	0.0	0.00
01/22/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	13.36	0.00	13.36	0.0	0.00
01/22/2018	***-**-1320 - EVANS, THOMAS ACCOUNT #: LSR011074	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	8.56	0.00	8.56	0.0	0.00
01/22/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	13.39	0.00	13.39	0.0	0.00
01/22/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	24.44	0.00	24.44	0.0	0.00
01/22/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	14.64	0.00	14.64	0.0	0.00
01/22/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	6.13	0.00	6.13	0.0	0.00
01/22/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	6.06	0.00	6.06	0.0	0.00
01/22/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	3.22	0.00	3.22	0.0	0.00
01/22/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	6.38	0.00	6.38	0.0	0.00
01/22/2018	***-**-81IR - CAMPBELL, ACCOUNT #: LSR011223	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	6.15	0.00	6.15	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-439I - MCCARTHY, JAMES	MFS DIVERSIFIED INCOME FD CL C	0.00	2.30	0.00	2.30	0.0	0.00
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						
01/22/2018	***-**-376I - BERBEN, GAIL	MFS DIVERSIFIED INCOME FD CL C	0.00	9.43	0.00	9.43	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
01/22/2018	***-**-45IO - JOHNSON, GREGORY	MFS DIVERSIFIED INCOME FD CL C	0.00	14.28	0.00	14.28	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/22/2018	***-**-14IO - BUSHEY, MATTHEW	MFS DIVERSIFIED INCOME FD CL C	0.00	14.06	0.00	14.06	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
01/22/2018	***-**-37IO - MCCLUSKY, MARK	MFS DIVERSIFIED INCOME FD CL C	0.00	5.18	0.00	5.18	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
01/01/2018	***-**-3749 - DEPEYSTER,	MFS EMERGING GROWTH FUND-B	0.00	2.05	0.00	2.05	0.0	0.00
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
01/01/2018	***-**-5384 - GURDO, JESSICA	MFS EMERGING GROWTH FUND-B	0.00	0.18	0.00	0.18	0.0	0.00
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
01/22/2018	***-**-24IN - BLISS, RYAN	MFS EMERGING GROWTH FUND-B	0.00	0.27	0.00	0.27	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
01/01/2018	***-**-439J - MCCARTHY, JAMES	MFS EMERGING MARKETS DEBT FUND-A	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00060638917	BUY 0 Units @0.0000						
01/01/2018	***-**-111J - NESSIA, JAMES	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
01/01/2018	***-**-094I - CIRILLO, CARL	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: 08190127967	BUY 0 Units @0.0000						
01/01/2018	***-**-889I - FRANZ, JONATHAN	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
01/01/2018	***-**-213I - GRUENEWALD,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	2.67	0.00	2.67	0.0	0.00
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
01/01/2018	***-**-861I - SANGER, LAWRENCE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.43	0.00	0.43	0.0	0.00
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
01/01/2018	***-**-2483 - TURNBULL,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						
01/01/2018	***-**-617I - ESCHE, BEVERLY	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.14	0.00	0.14	0.0	0.00
	ACCOUNT #: 08191154979	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/01/2018	***-**-8440 - PREVOST, PIERRE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
01/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
01/01/2018	***-**-13IN - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	3.37	0.00	3.37	0.0	0.00
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
01/01/2018	***-**-3420 - KOCHER, DENISE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
01/01/2018	***-**-09IN - BATES, CHRISTINE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	2.22	0.00	2.22	0.0	0.00
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
01/01/2018	***-**-213I - GRUENEWALD,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: 08191229521	BUY 0 Units @0.0000						
01/01/2018	***-**-5384 - GURDO, JESSICA	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.16	0.00	0.16	0.0	0.00
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
01/22/2018	***-**-881I - EBERLEY, SUSAN	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
01/22/2018	***-**-960J - MASTRANGELO,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/22/2018	***-**-761I - EVANS, DOLORES	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.41	0.00	1.41	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/22/2018	***-**-579J - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.76	0.00	0.76	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
01/22/2018	***-**-326I - GRANDE, FBO MR	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.38	0.00	1.38	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
01/22/2018	***-**-197I - GAMBINO, ANDREW	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.22	0.00	0.22	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
01/01/2018	***-**-111J - NESSIA, JAMES	MFS EMERGING MKT DEBT CL B	0.00	0.83	0.00	0.83	0.0	0.00
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
01/01/2018	***-**-2603 - MASTRANGELO,	MFS EMERGING MKT DEBT CL B	0.00	0.18	0.00	0.18	0.0	0.00
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
01/01/2018	***-**-0767 - DOVI,	MFS EMERGING MKT DEBT CL B	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/01/2018	***-**-861I - SANGER, LAWRENCE	MFS EMERGING MKT DEBT CL B	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
01/01/2018	***-**-237I - MCCLUSKY, MARK	MFS EMERGING MKT DEBT CL B	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
01/01/2018	***-**-3932 - CARSON, DAVID	MFS EMERGING MKT DEBT CL B	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
01/01/2018	***-**-06IN - SATTERLY,	MFS EMERGING MKT DEBT CL B	0.00	0.22	0.00	0.22	0.0	0.00
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						
01/01/2018	***-**-094I - CIRILLO, CARL	MFS EMERGING MKT DEBT CL B	0.00	3.11	0.00	3.11	0.0	0.00
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
01/01/2018	***-**-671I - EBERLEY, REID	MFS EMERGING MKT DEBT CL B	0.00	2.57	0.00	2.57	0.0	0.00
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
01/01/2018	***-**-13IN - RHYMESTINE,	MFS EMERGING MKT DEBT CL B	0.00	3.43	0.00	3.43	0.0	0.00
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
01/01/2018	***-**-3420 - KOCHER, DENISE	MFS EMERGING MKT DEBT CL B	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
01/01/2018	***-**-9839 - YADDAW, DAVID	MFS EMERGING MKT DEBT CL B	0.00	2.53	0.00	2.53	0.0	0.00
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
01/01/2018	***-**-1491 - GUNN, EDWARD	MFS EMERGING MKT DEBT CL B	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: 08191184927	BUY 0 Units @0.0000						
01/01/2018	***-**-7116 - PREVOST, SANDRA	MFS EMERGING MKT DEBT CL B	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
01/01/2018	***-**-844I - ROSS, VALERIE	MFS EMERGING MKT DEBT CL B	0.00	4.79	0.00	4.79	0.0	0.00
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
01/01/2018	***-**-524I - SCALISE, JOSEPH	MFS EMERGING MKT DEBT CL B	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
01/01/2018	***-**-80IN - CURRIERE, LAURA	MFS EMERGING MKT DEBT CL B	0.00	0.36	0.00	0.36	0.0	0.00
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
01/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS EMERGING MKT DEBT CL B	0.00	0.36	0.00	0.36	0.0	0.00
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
01/01/2018	***-**-5384 - GURDO, JESSICA	MFS EMERGING MKT DEBT CL B	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: 08191233759	BUY 0 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)								
01/01/2018	***-**-49IN - GUARDI, LINDA	MFS EMERGING MKT DEBT CL B	0.00	2.27	0.00	2.27	0.0	0.00
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
01/22/2018	***-**-254I - AUGUSTINE, LINDA	MFS EMERGING MKT DEBT CL B	0.00	1.10	0.00	1.10	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/22/2018	***-**-881J - EBERLEY, SUSAN	MFS EMERGING MKT DEBT CL B	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
01/22/2018	***-**-949I - ACEE, JOSPEH	MFS EMERGING MKT DEBT CL B	0.00	1.04	0.00	1.04	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - HARTZ, CLAUDIA	MFS EMERGING MKT DEBT CL B	0.00	1.26	0.00	1.26	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/22/2018	***-**-960J - MASTRANGELO,	MFS EMERGING MKT DEBT CL B	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/22/2018	***-**-944O - MAYO, DEBORAH	MFS EMERGING MKT DEBT CL B	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/22/2018	***-**-580X - COBB, JAMES	MFS EMERGING MKT DEBT CL B	0.00	1.20	0.00	1.20	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
01/22/2018	***-**-506J - CURRIERE JR, MR	MFS EMERGING MKT DEBT CL B	0.00	0.38	0.00	0.38	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/22/2018	***-**-367J - WAGNER, MRS LANT	MFS EMERGING MKT DEBT CL B	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - WILLIAMSON, FBO	MFS EMERGING MKT DEBT CL B	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/22/2018	***-**-64IO - PFAFF, GEORGE	MFS EMERGING MKT DEBT CL B	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/22/2018	***-**-62IR - ROBBIANO, FBO	MFS EMERGING MKT DEBT CL B	0.00	0.53	0.00	0.53	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/22/2018	***-**-44IO - MAYO, DEBORAH	MFS EMERGING MKTS DEBT CLASS C	0.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/22/2018	***-**-960J - MASTRANGELO,	MFS EQUITY OPPORTUNITIES CL B	0.00	1.76	0.00	1.76	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/22/2018	***-**-944O - MAYO, DEBORAH	MFS GLOBAL ALTERNATIVE STRAT A	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR011035	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)								
01/22/2018	***-**-978I - GUNN, KATHLEEN	MFS GLOBAL ALTERNATIVE STRAT B	0.00	0.44	0.00	0.44	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
01/22/2018	***-**-382I - SATTERLY, NEIL	MFS GLOBAL ALTERNATIVE STRAT C	0.00	6.53	0.00	6.53	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
01/22/2018	***-**-48IO - CLARK, PATRICK	MFS GLOBAL ALTERNATIVE STRAT C	0.00	14.70	0.00	14.70	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
01/22/2018	***-**-72IN - GAVALO, JULIE	MFS GLOBAL ALTERNATIVE STRAT C	0.00	14.16	0.00	14.16	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
01/22/2018	***-**-80IN - COBB, JAMES	MFS GLOBAL ALTERNATIVE STRAT C	0.00	7.57	0.00	7.57	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
01/22/2018	***-**-09IO - BATES, FBO MRS	MFS GLOBAL ALTERNATIVE STRAT C	0.00	12.89	0.00	12.89	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/22/2018	***-**-11IO - LYNN G.	MFS GLOBAL ALTERNATIVE STRAT C	0.00	17.53	0.00	17.53	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/22/2018	***-**-80IO - EVANS, RICHARD	MFS GLOBAL ALTERNATIVE STRAT C	0.00	10.78	0.00	10.78	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
01/22/2018	***-**-45IO - JOHNSON, GREGORY	MFS GLOBAL ALTERNATIVE STRAT C	0.00	13.16	0.00	13.16	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/22/2018	***-**-094I - KATRENA L	MFS GLOBAL BOND FUND CLASS C	0.00	3.51	0.00	3.51	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
01/22/2018	***-**-978I - GUNN, KATHLEEN	MFS GLOBAL EQUITY FUND-B	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
01/22/2018	***-**-53IN - EVANS, ANDREW	MFS GLOBAL EQUITY FUND-B	0.00	0.26	0.00	0.26	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
01/22/2018	***-**-24IN - BLISS, RYAN	MFS GLOBAL EQUITY FUND-B	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
01/01/2018	***-**-889I - FRANZ, JONATHAN	MFS GLOBAL MULTI ASSET FUND CLASS B	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
01/01/2018	***-**-473I - HUSTON,	MFS GLOBAL MULTI ASSET FUND CLASS B	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: 08191353972	BUY 0 Units @0.0000						
01/01/2018	***-**-213I - GRUENEWALD,	MFS GLOBAL NEW DISCOVERY FUND CL B	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: 08190131132	BUY 0 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)								
01/01/2018	***-**-49IN - GUARDI, LINDA ACCOUNT #: 05566055029	MFS GLOBAL REAL ESTATE FUND CL B BUY 0 Units @0.0000	0.00	1.97	0.00	1.97	0.0	0.00
01/01/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS GLOBAL REAL ESTATE FUND CL B BUY 0 Units @0.0000	0.00	1.19	0.00	1.19	0.0	0.00
01/22/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	1.56	0.00	1.56	0.0	0.00
01/22/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.28	0.00	0.28	0.0	0.00
01/22/2018	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.17	0.00	0.17	0.0	0.00
01/22/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.77	0.00	0.77	0.0	0.00
01/01/2018	***-**-26IN - GRANDE, MR ACCOUNT #: 08191260232	MFS GLOBAL REAL ESTATE FUND CL C BUY 0 Units @0.0000	0.00	3.03	0.00	3.03	0.0	0.00
01/01/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638910	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	0.81	0.00	0.81	0.0	0.00
01/01/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638911	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	1.30	0.00	1.30	0.0	0.00
01/01/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 00060639655	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	0.08	0.00	0.08	0.0	0.00
01/22/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	0.0	0.00
01/22/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.89	0.00	0.89	0.0	0.00
01/22/2018	***-**-653J - KOCHER, CLINTON ACCOUNT #: LSR011298	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	0.0	0.00
01/01/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: 08190124895	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.66	0.00	1.66	0.0	0.00
01/01/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: 08190126843	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.24	0.00	1.24	0.0	0.00
01/01/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 08190127726	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.90	0.00	0.90	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/01/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08190129168	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.21	0.00	0.21	0.0	0.00
01/01/2018	***-**-889I - FRANZ, JONATHAN ACCOUNT #: 08190130131	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.66	0.00	0.66	0.0	0.00
01/01/2018	***-**-8126 - MCCARTHY, BRIANN ACCOUNT #: 08191126031	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.15	0.00	3.15	0.0	0.00
01/01/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.42	0.00	3.42	0.0	0.00
01/01/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: 08191150076	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.87	0.00	0.87	0.0	0.00
01/01/2018	***-**-6538 - BROWN, TYLER ACCOUNT #: 08191150212	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.84	0.00	1.84	0.0	0.00
01/01/2018	***-**-0767 - DOVI, ACCOUNT #: 08191152598	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.94	0.00	1.94	0.0	0.00
01/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 08191153495	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.88	0.00	0.88	0.0	0.00
01/01/2018	***-**-2483 - TURNBULL, ACCOUNT #: 08191153585	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	2.34	0.00	2.34	0.0	0.00
01/01/2018	***-**-617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.45	0.00	3.45	0.0	0.00
01/01/2018	***-**-8440 - PREVOST, PIERRE ACCOUNT #: 08191160862	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.37	0.00	1.37	0.0	0.00
01/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 08191161591	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.63	0.00	1.63	0.0	0.00
01/01/2018	***-**-3932 - CARSON, DAVID ACCOUNT #: 08191168388	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	2.36	0.00	2.36	0.0	0.00
01/01/2018	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 08191172002	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	2.97	0.00	2.97	0.0	0.00
01/01/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.92	0.00	0.92	0.0	0.00
01/01/2018	***-**-21IR - SATTERLY, ANDREW ACCOUNT #: 08191173305	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.50	0.00	0.50	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/01/2018	***-**-094I - CIRILLO, CARL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	5.66	0.00	5.66	0.0	0.00
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
01/01/2018	***-**-671I - EBERLEY, REID	MFS GLOBAL TOTAL RETURN FUND-B	0.00	4.31	0.00	4.31	0.0	0.00
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
01/01/2018	***-**-9839 - YADDAW, DAVID	MFS GLOBAL TOTAL RETURN FUND-B	0.00	4.70	0.00	4.70	0.0	0.00
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
01/01/2018	***-**-844I - ROSS, VALERIE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	7.17	0.00	7.17	0.0	0.00
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
01/01/2018	***-**-524I - SCALISE, JOSEPH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
01/01/2018	***-**-80IN - CURRIERE, LAURA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
01/01/2018	***-**-6988 - TOOKE, LISA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.07	0.00	2.07	0.0	0.00
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
01/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.33	0.00	1.33	0.0	0.00
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
01/01/2018	***-**-728I - BYWATER, KIM	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.27	0.00	0.27	0.0	0.00
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
01/01/2018	***-**-49IN - GUARDI, LINDA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.20	0.00	3.20	0.0	0.00
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
01/01/2018	***-**-83UT - FALCHI, ISABELLE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: 08191247393	BUY 0 Units @0.0000						
01/01/2018	***-**-473I - HUSTON,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.76	0.00	0.76	0.0	0.00
	ACCOUNT #: 08191353972	BUY 0 Units @0.0000						
01/22/2018	***-**-254I - AUGUSTINE, LINDA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/22/2018	***-**-881J - EBERLEY, SUSAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.57	0.00	1.57	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
01/22/2018	***-**-949I - ACEE, JOSPEH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.53	0.00	1.53	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - HARTZ, CLAUDIA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.92	0.00	2.92	0.0	0.00
01/22/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.18	0.00	2.18	0.0	0.00
01/22/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	0.0	0.00
01/22/2018	***-**-60UT - FALCHI, ADALYNN ACCOUNT #: LSR011010	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	0.0	0.00
01/22/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	5.90	0.00	5.90	0.0	0.00
01/22/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	3.11	0.00	3.11	0.0	0.00
01/22/2018	***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.59	0.00	1.59	0.0	0.00
01/22/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	0.0	0.00
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	3.02	0.00	3.02	0.0	0.00
01/22/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.08	0.00	2.08	0.0	0.00
01/22/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.06	0.00	1.06	0.0	0.00
01/22/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	0.0	0.00
01/22/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	0.0	0.00
01/22/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.71	0.00	1.71	0.0	0.00
01/22/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	3.60	0.00	3.60	0.0	0.00
01/22/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.28	0.00	1.28	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)								
01/22/2018	***-**-62IR - ROBBIANO, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.94	0.00	0.94	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/22/2018	***-**-52IO - EUSEPI, SUSAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.92	0.00	2.92	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
01/22/2018	***-**-02IN - BUSHEY, MELISSA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
01/22/2018	***-**-653I - KOCHER, CLINTON	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.72	0.00	2.72	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/22/2018	***-**-62IN - EATON, DAVID	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
01/22/2018	***-**-21IO - RADELL, SANDRA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.78	0.00	1.78	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
01/22/2018	***-**-241I - DINITTO, ALLISYN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.30	0.00	1.30	0.0	0.00
	ACCOUNT #: LSR011444	BUY 1 Units @0.0000						
01/22/2018	***-**-51IN - GERACE, JOANNE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.65	0.00	1.65	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
01/01/2018	***-**-881I - EBERLEY, SUSAN	MFS GLOBAL TOTAL RETURN FUND-C	0.00	3.83	0.00	3.83	0.0	0.00
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
01/22/2018	***-**-09IO - BATES, FBO MRS	MFS GLOBAL TOTAL RETURN FUND-C	0.00	18.87	0.00	18.87	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/22/2018	***-**-11IO - LYNN G.	MFS GLOBAL TOTAL RETURN FUND-C	0.00	14.54	0.00	14.54	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/22/2018	***-**-376I - BERBEN, GAIL	MFS GLOBAL TOTAL RETURN FUND-C	0.00	13.15	0.00	13.15	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
01/22/2018	***-**-45IO - JOHNSON, GREGORY	MFS GLOBAL TOTAL RETURN FUND-C	0.00	21.33	0.00	21.33	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/01/2018	***-**-7116 - PREVOST, SANDRA	MFS GOVERNMENT SECS CLASS C	0.00	3.52	0.00	3.52	0.0	0.00
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
01/01/2018	***-**-3749 - DEPEYSTER,	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.31	0.00	0.31	0.0	0.00
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
01/01/2018	***-**-75IN - MANNING, JEFFREY	MFS GOVERNMENT SECURITIES FUND-B	0.00	4.75	0.00	4.75	0.0	0.00
	ACCOUNT #: 08190129582	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-254I - AUGUSTINE, LINDA	MFS GOVERNMENT SECURITIES FUND-B	0.00	1.70	0.00	1.70	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/22/2018	***-**-111J - NESSIA, JAMES	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.55	0.00	0.55	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
01/22/2018	***-**-13IN - ROTH, KAREN	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
01/22/2018	***-**-44IO - MAYO, DEBORAH	MFS HIGH INCOME CLASS C	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/22/2018	***-**-61IN - EVANS, DOLORES	MFS HIGH INCOME FUND-B	0.00	0.27	0.00	0.27	0.0	0.00
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
01/22/2018	***-**-13IN - ROTH, KAREN	MFS HIGH INCOME FUND-B	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
01/01/2018	***-**-3749 - DEPEYSTER,	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
01/01/2018	***-**-39IO - GUARNIERO, FBO	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.15	0.00	0.15	0.0	0.00
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
01/22/2018	***-**-881I - EBERLEY, SUSAN	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
01/22/2018	***-**-13IN - ROTH, KAREN	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
01/01/2018	***-**-1855 - WILLIAMSON,	MFS HIGH YIELD OPPORTUNITIES FUND-C	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
01/22/2018	***-**-73TR - WESTCOTT IRRVOC	MFS HIGH YIELD OPPORTUNITIES FUND-C	0.00	9.40	0.00	9.40	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
01/22/2018	***-**-73TR - WESTCOTT IRRVOC	MFS HIGH YIELD OPPORTUNITIES FUND-C	0.00	9.38	0.00	9.38	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
01/01/2018	***-**-75IN - MANNING, JEFFREY	MFS INFLATION ADJUSTED BOND CL B	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: 08190129582	BUY 0 Units @0.0000						
01/01/2018	***-**-213I - GRUENEWALD,	MFS INFLATION ADJUSTED BOND CL B	0.00	0.83	0.00	0.83	0.0	0.00
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
01/01/2018	***-**-7116 - PREVOST, SANDRA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.98	0.00	0.98	0.0	0.00
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/01/2018	***-**-844I - ROSS, VALERIE	MFS INFLATION ADJUSTED BOND CL B	0.00	1.69	0.00	1.69	0.0	0.00
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
01/01/2018	***-**-524I - SCALISE, JOSEPH	MFS INFLATION ADJUSTED BOND CL B	0.00	0.45	0.00	0.45	0.0	0.00
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
01/01/2018	***-**-80IN - CURRIERE, LAURA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.08	0.00	0.08	0.0	0.00
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
01/01/2018	***-**-6988 - TOOKE, LISA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.46	0.00	0.46	0.0	0.00
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
01/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS INFLATION ADJUSTED BOND CL B	0.00	0.17	0.00	0.17	0.0	0.00
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
01/01/2018	***-**-728I - BYWATER, KIM	MFS INFLATION ADJUSTED BOND CL B	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
01/01/2018	***-**-473I - HUSTON,	MFS INFLATION ADJUSTED BOND CL B	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: 08191353972	BUY 0 Units @0.0000						
01/22/2018	***-**-881J - EBERLEY, SUSAN	MFS INFLATION ADJUSTED BOND CL B	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
01/22/2018	***-**-949I - ACEE, JOSPEH	MFS INFLATION ADJUSTED BOND CL B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - HARTZ, CLAUDIA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/22/2018	***-**-15IN - PENDRAK, JOHN	MFS INFLATION ADJUSTED BOND CL B	0.00	0.86	0.00	0.86	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/22/2018	***-**-960J - MASTRANGELO,	MFS INFLATION ADJUSTED BOND CL B	0.00	0.29	0.00	0.29	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/22/2018	***-**-366I - GRUENEWALD,	MFS INFLATION ADJUSTED BOND CL B	0.00	0.36	0.00	0.36	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
01/22/2018	***-**-761I - EVANS, DOLORES	MFS INFLATION ADJUSTED BOND CL B	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/22/2018	***-**-63TR - EVANS, AUDREY J	MFS INFLATION ADJUSTED BOND CL B	0.00	0.32	0.00	0.32	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
01/22/2018	***-**-580X - COBB, JAMES	MFS INFLATION ADJUSTED BOND CL B	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-111J - NESSIA, JAMES	MFS INFLATION ADJUSTED BOND CL B	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
01/22/2018	***-**-326J - GRANDE, MR	MFS INFLATION ADJUSTED BOND CL B	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
01/22/2018	***-**-861I - SANGER, LAWRENCE	MFS INFLATION ADJUSTED BOND CL B	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/22/2018	***-**-761O - MCALLISTER, FBO	MFS INFLATION ADJUSTED BOND CL B	0.00	0.35	0.00	0.35	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
01/22/2018	***-**-506J - CURRIERE JR, MR	MFS INFLATION ADJUSTED BOND CL B	0.00	0.18	0.00	0.18	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/22/2018	***-**-481O - ANACKER, FBO MRS	MFS INFLATION ADJUSTED BOND CL B	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
01/22/2018	***-**-311O - WILLIAMSON, FBO	MFS INFLATION ADJUSTED BOND CL B	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/22/2018	***-**-641O - PFAFF, GEORGE	MFS INFLATION ADJUSTED BOND CL B	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/22/2018	***-**-621R - ROBBIANO, FBO	MFS INFLATION ADJUSTED BOND CL B	0.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/01/2018	***-**-439I - MCCARTHY, JAMES	MFS INFLATION ADJUSTED BOND CL C	0.00	3.12	0.00	3.12	0.0	0.00
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
01/22/2018	***-**-382I - SATTERLY, NEIL	MFS INFLATION ADJUSTED BOND CL C	0.00	9.89	0.00	9.89	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
01/22/2018	***-**-031O - MCVOY, ROBERT	MFS INFLATION ADJUSTED BOND CL C	0.00	2.80	0.00	2.80	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
01/22/2018	***-**-441O - MAYO, DEBORAH	MFS INFLATION ADJUSTED BOND CL C	0.00	0.11	0.00	0.11	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/01/2018	***-**-841N - WARMUTH, ERIC	MFS INFLATION ADJUSTED BOND FUND-A	0.00	1.11	0.00	1.11	0.0	0.00
	ACCOUNT #: 00060639189	BUY 0 Units @0.0000						
01/01/2018	***-**-261N - GRANDE, MR	MFS INTERNATIONAL NEW DISCOVERY CL	0.00	3.35	0.00	3.35	0.0	0.00
	ACCOUNT #: 08191260232	BUY 0 Units @0.0000						
01/22/2018	***-**-065I - LAZIO, THOMAS	MFS INTERNATIONAL NEW DISCOVERY CL	0.00	5.74	0.00	5.74	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)								
01/01/2018	***-**-111J - NESSIA, JAMES	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	3.16	0.00	3.16	0.0	0.00
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
01/01/2018	***-**-0767 - DOVI,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.87	0.00	0.87	0.0	0.00
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
01/01/2018	***-**-2483 - TURNBULL,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.14	0.00	2.14	0.0	0.00
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						
01/01/2018	***-**-617I - ESCHE, BEVERLY	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: 08191154979	BUY 0 Units @0.0000						
01/01/2018	***-**-06IN - SATTERLY,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.28	0.00	0.28	0.0	0.00
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						
01/01/2018	***-**-21IR - SATTERLY, ANDREW	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: 08191173305	BUY 0 Units @0.0000						
01/01/2018	***-**-094I - CIRILLO, CARL	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.37	0.00	2.37	0.0	0.00
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
01/01/2018	***-**-671I - EBERLEY, REID	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.04	0.00	2.04	0.0	0.00
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
01/01/2018	***-**-9839 - YADDAW, DAVID	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.98	0.00	1.98	0.0	0.00
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
01/01/2018	***-**-844I - ROSS, VALERIE	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	4.71	0.00	4.71	0.0	0.00
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
01/01/2018	***-**-728I - BYWATER, KIM	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.31	0.00	0.31	0.0	0.00
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
01/01/2018	***-**-49IN - GUARDI, LINDA	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	3.06	0.00	3.06	0.0	0.00
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
01/01/2018	***-**-058I - ROBBIANO, SARAH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.18	0.00	0.18	0.0	0.00
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
01/01/2018	***-**-14IN - LINES, JUDITH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: 08191291668	BUY 0 Units @0.0000						
01/01/2018	***-**-39IO - GUARNIERO, FBO	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.35	0.00	0.35	0.0	0.00
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
01/22/2018	***-**-254I - AUGUSTINE, LINDA	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						



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KURT GRUENEWALD
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)								
01/22/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.85	0.00	0.85	0.0	0.00
01/22/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	1.90	0.00	1.90	0.0	0.00
01/22/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	1.34	0.00	1.34	0.0	0.00
01/22/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	5.36	0.00	5.36	0.0	0.00
01/22/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	0.0	0.00
01/22/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	0.0	0.00
01/22/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	1.15	0.00	1.15	0.0	0.00
01/22/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	2.73	0.00	2.73	0.0	0.00
01/22/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	2.23	0.00	2.23	0.0	0.00
01/01/2018	***-**-4193 - VAN BAALEN, GUY ACCOUNT #: 08191310030	MFS INTERNATIONAL VALUE FUND-A BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	0.0	0.00
01/01/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: 08190124895	MFS INTERNATIONAL VALUE FUND-B BUY 0 Units @0.0000	0.00	0.82	0.00	0.82	0.0	0.00
01/01/2018	***-**-466I - MCCLUSKY, YVONNE ACCOUNT #: 08191161825	MFS INTERNATIONAL VALUE FUND-B BUY 0 Units @0.0000	0.00	1.36	0.00	1.36	0.0	0.00
01/01/2018	***-**-3932 - CARSON, DAVID ACCOUNT #: 08191168388	MFS INTERNATIONAL VALUE FUND-B BUY 0 Units @0.0000	0.00	2.74	0.00	2.74	0.0	0.00
01/01/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS INTERNATIONAL VALUE FUND-B BUY 0 Units @0.0000	0.00	8.18	0.00	8.18	0.0	0.00
01/01/2018	***-**-3420 - KOICHEM, DENISE ACCOUNT #: 08191179076	MFS INTERNATIONAL VALUE FUND-B BUY 0 Units @0.0000	0.00	1.16	0.00	1.16	0.0	0.00
01/01/2018	***-**-7116 - PREVOST, SANDRA ACCOUNT #: 08191191385	MFS INTERNATIONAL VALUE FUND-B BUY 0 Units @0.0000	0.00	2.62	0.00	2.62	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/01/2018	***-**-09IN - BATES, CHRISTINE	MFS INTERNATIONAL VALUE FUND-B	0.00	4.64	0.00	4.64	0.0	0.00
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
01/01/2018	***-**-37IN - PFAFF, JOAN	MFS INTERNATIONAL VALUE FUND-B	0.00	6.98	0.00	6.98	0.0	0.00
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
01/22/2018	***-**-51IO - CAIN, TIMOTHY	MFS INTERNATIONAL VALUE FUND-B	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/22/2018	***-**-861I - SANGER, LAWRENCE	MFS LIFETIME INCOME CLASS B	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS LIMITED MATURITY FUND-C	0.00	3.25	0.00	3.25	0.0	0.00
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
01/01/2018	***-**-1855 - WILLIAMSON,	MFS MID CAP VALUE CLASS C	0.00	1.59	0.00	1.59	0.0	0.00
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
01/01/2018	***-**-49IN - GUARDI, LINDA	MFS MID CAP VALUE FUND-B	0.00	3.80	0.00	3.80	0.0	0.00
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
01/22/2018	***-**-959J - FRANZ, PAUL	MFS MODERATE ALLOCATION CL C	0.00	14.28	0.00	14.28	0.0	0.00
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
01/22/2018	***-**-86IN - LEE, KEVIN	MFS MODERATE ALLOCATION CL C	0.00	24.56	0.00	24.56	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
01/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS NEW DISCOVERY FUND-A	0.00	1.28	0.00	1.28	0.0	0.00
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
01/01/2018	***-**-2603 - MASTRANGELO,	MFS NEW DISCOVERY FUND-B	0.00	0.31	0.00	0.31	0.0	0.00
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
01/01/2018	***-**-889I - FRANZ, JONATHAN	MFS NEW DISCOVERY FUND-B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
01/01/2018	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
01/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS NEW DISCOVERY FUND-B	0.00	1.16	0.00	1.16	0.0	0.00
	ACCOUNT #: 08191150076	BUY 0 Units @0.0000						
01/01/2018	***-**-8440 - PREVOST, PIERRE	MFS NEW DISCOVERY FUND-B	0.00	1.14	0.00	1.14	0.0	0.00
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
01/01/2018	***-**-237I - MCCLUSKY, MARK	MFS NEW DISCOVERY FUND-B	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/01/2018	***-**-7116 - PREVOST, SANDRA	MFS NEW DISCOVERY FUND-B	0.00	1.33	0.00	1.33	0.0	0.00
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
01/01/2018	***-**-09IN - BATES, CHRISTINE	MFS NEW DISCOVERY FUND-B	0.00	4.43	0.00	4.43	0.0	0.00
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
01/01/2018	***-**-524I - SCALISE, JOSEPH	MFS NEW DISCOVERY FUND-B	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
01/01/2018	***-**-37IN - PFAFF, JOAN	MFS NEW DISCOVERY FUND-B	0.00	6.56	0.00	6.56	0.0	0.00
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
01/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS NEW DISCOVERY FUND-B	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
01/01/2018	***-**-058I - ROBBIANO, SARAH	MFS NEW DISCOVERY FUND-B	0.00	0.17	0.00	0.17	0.0	0.00
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
01/22/2018	***-**-960J - MASTRANGELO,	MFS NEW DISCOVERY FUND-B	0.00	2.36	0.00	2.36	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - WILLIAMSON, FBO	MFS NEW DISCOVERY FUND-B	0.00	1.42	0.00	1.42	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/22/2018	***-**-978I - GUNN, KATHLEEN	MFS NEW DISCOVERY FUND-B	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
01/22/2018	***-**-197I - GAMBINO, ANDREW	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.27	0.00	0.27	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
01/22/2018	***-**-53IN - EVANS, ANDREW	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.26	0.00	0.26	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
01/22/2018	***-**-24IN - BLISS, RYAN	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
01/22/2018	***-**-38IO - BROWN, TYLER	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
01/22/2018	***-**-382I - SATTERLY, NEIL	MFS NEW DISCOVERY VALUE FUND CL C	0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
01/22/2018	***-**-44IO - MAYO, DEBORAH	MFS NEW DISCOVERY VALUE FUND CL C	0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/01/2018	***-**-84IN - WARMUTH, ERIC	MFS NEW YORK MUNICIPAL BOND FUND CL	0.00	2.09	0.00	2.09	0.0	0.00
	ACCOUNT #: 00060639106	BUY 0 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)								
01/22/2018	***-**-63TR - EVANS, AUDREY J	MFS NEW YORK MUNICIPAL BOND FUND-B	0.00	1.65	0.00	1.65	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
01/22/2018	***-**-111J - NESSIA, JAMES	MFS NEW YORK MUNICIPAL BOND FUND-B	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
01/01/2018	***-**-111J - NESSIA, JAMES	MFS RESEARCH BOND FUND-B	0.00	0.46	0.00	0.46	0.0	0.00
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
01/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS RESEARCH BOND FUND-B	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: 08191150076	BUY 0 Units @0.0000						
01/01/2018	***-**-0767 - DOVI,	MFS RESEARCH BOND FUND-B	0.00	0.36	0.00	0.36	0.0	0.00
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
01/01/2018	***-**-8440 - PREVOST, PIERRE	MFS RESEARCH BOND FUND-B	0.00	0.16	0.00	0.16	0.0	0.00
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
01/01/2018	***-**-237I - MCCLUSKY, MARK	MFS RESEARCH BOND FUND-B	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
01/01/2018	***-**-3932 - CARSON, DAVID	MFS RESEARCH BOND FUND-B	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
01/01/2018	***-**-094I - CIRILLO, CARL	MFS RESEARCH BOND FUND-B	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
01/01/2018	***-**-671I - EBERLEY, REID	MFS RESEARCH BOND FUND-B	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
01/01/2018	***-**-13IN - RHYMESTINE,	MFS RESEARCH BOND FUND-B	0.00	0.35	0.00	0.35	0.0	0.00
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
01/01/2018	***-**-3420 - KOCHER, DENISE	MFS RESEARCH BOND FUND-B	0.00	0.22	0.00	0.22	0.0	0.00
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
01/01/2018	***-**-9839 - YADDAW, DAVID	MFS RESEARCH BOND FUND-B	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
01/01/2018	***-**-844I - ROSS, VALERIE	MFS RESEARCH BOND FUND-B	0.00	1.97	0.00	1.97	0.0	0.00
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
01/22/2018	***-**-254I - AUGUSTINE, LINDA	MFS RESEARCH BOND FUND-B	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/22/2018	***-**-959I - FRANZ, PAUL	MFS RESEARCH BOND FUND-B	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-51IO - CAIN, TIMOTHY	MFS RESEARCH BOND FUND-B	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/22/2018	***-**-761I - EVANS, DOLORES	MFS RESEARCH BOND FUND-B	0.00	1.36	0.00	1.36	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/22/2018	***-**-111J - NESSIA, JAMES	MFS RESEARCH BOND FUND-B	0.00	0.38	0.00	0.38	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
01/22/2018	***-**-861I - SANGER, LAWRENCE	MFS RESEARCH BOND FUND-B	0.00	0.40	0.00	0.40	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/22/2018	***-**-76IO - MCALLISTER, FBO	MFS RESEARCH BOND FUND-B	0.00	0.54	0.00	0.54	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
01/22/2018	***-**-367J - WAGNER, MRS LANT	MFS RESEARCH BOND FUND-B	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - WILLIAMSON, FBO	MFS RESEARCH BOND FUND-B	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/22/2018	***-**-02IN - BUSHEY, MELISSA	MFS RESEARCH BOND FUND-B	0.00	0.22	0.00	0.22	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
01/22/2018	***-**-62IN - EATON, DAVID	MFS RESEARCH BOND FUND-B	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
01/01/2018	***-**-094I - CIRILLO, CARL	MFS RESEARCH FUND-B	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: 08190127967	BUY 0 Units @0.0000						
01/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS RESEARCH FUND-B	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
01/01/2018	***-**-3932 - CARSON, DAVID	MFS RESEARCH FUND-B	0.00	1.48	0.00	1.48	0.0	0.00
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
01/01/2018	***-**-13IN - RHYMESTINE,	MFS RESEARCH FUND-B	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
01/01/2018	***-**-3420 - KOCHER, DENISE	MFS RESEARCH FUND-B	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
01/01/2018	***-**-7116 - PREVOST, SANDRA	MFS RESEARCH FUND-B	0.00	1.24	0.00	1.24	0.0	0.00
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
01/22/2018	***-**-326J - GRANDE, MR	MFS STRATEGIC INCOME FUND-B	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/01/2018	***-**-26IN - GRANDE, MR	MFS TECHNOLOGY CLASS C	0.00	4.04	0.00	4.04	0.0	0.00
	ACCOUNT #: 08191260232	BUY 0 Units @0.0000						
01/22/2018	***-**-48IO - CLARK, PATRICK	MFS TECHNOLOGY CLASS C	0.00	7.11	0.00	7.11	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
01/22/2018	***-**-03IO - MCVOY, ROBERT	MFS TECHNOLOGY CLASS C	0.00	4.62	0.00	4.62	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
01/22/2018	***-**-930I - SANGER, KEVIN	MFS TECHNOLOGY CLASS C	0.00	8.74	0.00	8.74	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
01/22/2018	***-**-065I - LAZIO, THOMAS	MFS TECHNOLOGY CLASS C	0.00	5.67	0.00	5.67	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
01/22/2018	***-**-00IO - LEE, GARY	MFS TECHNOLOGY CLASS C	0.00	11.29	0.00	11.29	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
01/22/2018	***-**-44IO - MAYO, DEBORAH	MFS TECHNOLOGY CLASS C	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/22/2018	***-**-09IO - BATES, FBO MRS	MFS TECHNOLOGY CLASS C	0.00	11.14	0.00	11.14	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/22/2018	***-**-89IN - LEE, ROGER	MFS TECHNOLOGY CLASS C	0.00	6.12	0.00	6.12	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
01/22/2018	***-**-094I - KATRENA L	MFS TECHNOLOGY CLASS C	0.00	6.26	0.00	6.26	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
01/22/2018	***-**-06IR - CAMPBELL, PAMELA	MFS TECHNOLOGY CLASS C	0.00	7.82	0.00	7.82	0.0	0.00
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
01/22/2018	***-**-11IO - LYNN G.	MFS TECHNOLOGY CLASS C	0.00	6.46	0.00	6.46	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/22/2018	***-**-45IO - JOHNSON, GREGORY	MFS TECHNOLOGY CLASS C	0.00	7.78	0.00	7.78	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/22/2018	***-**-37IO - MCCLUSKY, MARK	MFS TECHNOLOGY CLASS C	0.00	2.46	0.00	2.46	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
01/22/2018	***-**-86IN - LEE, KEVIN	MFS TECHNOLOGY CLASS C	0.00	9.79	0.00	9.79	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
01/22/2018	***-**-633J -	MFS TECHNOLOGY CLASS C	0.00	0.28	0.00	0.28	0.0	0.00
	ACCOUNT #: LSR011732	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)								
01/22/2018	***-**-99IN - EDELMAN, TINA	MFS TECHNOLOGY CLASS C	0.00	0.06	0.00	0.06	0.0	0.00
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
01/22/2018	***-**-28IN - BYWATER, KIM	MFS TECHNOLOGY CLASS C	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
01/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS TECHNOLOGY FUND CLASS A	0.00	1.82	0.00	1.82	0.0	0.00
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
01/22/2018	***-**-9440 - MAYO, DEBORAH	MFS TECHNOLOGY FUND CLASS A	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/22/2018	***-**-808J - GORMAN, RANDY	MFS TECHNOLOGY FUND CLASS A	0.00	0.22	0.00	0.22	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
01/01/2018	***-**-49IN - GUARDI, LINDA	MFS TECHNOLOGY FUND-B	0.00	2.65	0.00	2.65	0.0	0.00
	ACCOUNT #: 05566055028	BUY 0 Units @0.0000						
01/01/2018	***-**-439I - MCCARTHY, JAMES	MFS TECHNOLOGY FUND-B	0.00	1.38	0.00	1.38	0.0	0.00
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
01/01/2018	***-**-111J - NESSIA, JAMES	MFS TECHNOLOGY FUND-B	0.00	2.10	0.00	2.10	0.0	0.00
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
01/01/2018	***-**-2603 - MASTRANGELO,	MFS TECHNOLOGY FUND-B	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
01/01/2018	***-**-889I - FRANZ, JONATHAN	MFS TECHNOLOGY FUND-B	0.00	1.48	0.00	1.48	0.0	0.00
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
01/01/2018	***-**-213I - GRUENEWALD,	MFS TECHNOLOGY FUND-B	0.00	2.66	0.00	2.66	0.0	0.00
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
01/01/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						
01/01/2018	***-**-094I - CIRILLO, CARL	MFS TECHNOLOGY FUND-B	0.00	3.07	0.00	3.07	0.0	0.00
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
01/01/2018	***-**-80IN - CURRIERE, LAURA	MFS TECHNOLOGY FUND-B	0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
01/01/2018	***-**-6988 - TOOKE, LISA	MFS TECHNOLOGY FUND-B	0.00	2.40	0.00	2.40	0.0	0.00
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
01/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS TECHNOLOGY FUND-B	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: 08191221209	BUY 0 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)								
01/01/2018	***-**-5384 - GURDO, JESSICA	MFS TECHNOLOGY FUND-B	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
01/01/2018	***-**-058I - ROBBIANO, SARAH	MFS TECHNOLOGY FUND-B	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
01/01/2018	***-**-14IN - LINES, JUDITH	MFS TECHNOLOGY FUND-B	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: 08191291668	BUY 0 Units @0.0000						
01/01/2018	***-**-39IO - GUARNIERO, FBO	MFS TECHNOLOGY FUND-B	0.00	0.73	0.00	0.73	0.0	0.00
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
01/01/2018	***-**-724I - BLISS, RYAN	MFS TECHNOLOGY FUND-B	0.00	4.50	0.00	4.50	0.0	0.00
	ACCOUNT #: 08191352733	BUY 0 Units @0.0000						
01/01/2018	***-**-606I - LEWIS, TAMARA	MFS TECHNOLOGY FUND-B	0.00	0.46	0.00	0.46	0.0	0.00
	ACCOUNT #: 08191352846	BUY 0 Units @0.0000						
01/22/2018	***-**-31IO - HARTZ, CLAUDIA	MFS TECHNOLOGY FUND-B	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/22/2018	***-**-15IN - PENDRAK, JOHN	MFS TECHNOLOGY FUND-B	0.00	2.22	0.00	2.22	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/22/2018	***-**-959I - FRANZ, PAUL	MFS TECHNOLOGY FUND-B	0.00	1.85	0.00	1.85	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
01/22/2018	***-**-169I - EVANS, PAUL	MFS TECHNOLOGY FUND-B	0.00	1.45	0.00	1.45	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
01/22/2018	***-**-580X - COBB, JAMES	MFS TECHNOLOGY FUND-B	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
01/22/2018	***-**-579J - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
01/22/2018	***-**-579I - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	1.29	0.00	1.29	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/22/2018	***-**-326I - GRANDE, FBO MR	MFS TECHNOLOGY FUND-B	0.00	1.62	0.00	1.62	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
01/22/2018	***-**-992J - CORNACCHIA	MFS TECHNOLOGY FUND-B	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
01/22/2018	***-**-48IO - ANACKER, FBO MRS	MFS TECHNOLOGY FUND-B	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-31IO - WILLIAMSON, FBO	MFS TECHNOLOGY FUND-B	0.00	1.67	0.00	1.67	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/22/2018	***-**-664J - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	1.79	0.00	1.79	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
01/22/2018	***-**-64IO - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/22/2018	***-**-52IO - EUSEPI, SUSAN	MFS TECHNOLOGY FUND-B	0.00	1.29	0.00	1.29	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
01/22/2018	***-**-02IN - BUSHEY, MELISSA	MFS TECHNOLOGY FUND-B	0.00	0.96	0.00	0.96	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
01/22/2018	***-**-75IR - EVANS, DIANE	MFS TECHNOLOGY FUND-B	0.00	1.38	0.00	1.38	0.0	0.00
	ACCOUNT #: LSR011275	BUY 1 Units @0.0000						
01/22/2018	***-**-653I - KOCHER, CLINTON	MFS TECHNOLOGY FUND-B	0.00	3.13	0.00	3.13	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/22/2018	***-**-680I - HARRELL, DARYL	MFS TECHNOLOGY FUND-B	0.00	1.45	0.00	1.45	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/22/2018	***-**-978I - GUNN, KATHLEEN	MFS TECHNOLOGY FUND-B	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
01/22/2018	***-**-197I - GAMBINO, ANDREW	MFS TECHNOLOGY FUND-B	0.00	0.45	0.00	0.45	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
01/22/2018	***-**-53IN - EVANS, ANDREW	MFS TECHNOLOGY FUND-B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
01/22/2018	***-**-38IO - BROWN, TYLER	MFS TECHNOLOGY FUND-B	0.00	0.96	0.00	0.96	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
01/22/2018	***-**-03IO - MASTRANGELO,	MFS TECHNOLOGY FUND-B	0.00	1.78	0.00	1.78	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
01/01/2018	***-**-439J - MCCARTHY, JAMES	MFS TOTAL RETURN FUND-A	0.00	0.26	0.00	0.26	0.0	0.00
	ACCOUNT #: 00060638905	BUY 0 Units @0.0000						
01/01/2018	***-**-439I - MCCARTHY, JAMES	MFS TOTAL RETURN FUND-B	0.00	1.59	0.00	1.59	0.0	0.00
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
01/01/2018	***-**-111J - NESSIA, JAMES	MFS TOTAL RETURN FUND-B	0.00	3.75	0.00	3.75	0.0	0.00
	ACCOUNT #: 08190126843	BUY 0 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)								
01/01/2018	***-**-0767 - DOVI, ACCOUNT #: 08191152598	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.65	0.00	1.65	0.0	0.00
01/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 08191153495	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.43	0.00	0.43	0.0	0.00
01/01/2018	***-**-2483 - TURNBULL, ACCOUNT #: 08191153585	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.98	0.00	0.98	0.0	0.00
01/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 08191161591	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	2.09	0.00	2.09	0.0	0.00
01/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	4.89	0.00	4.89	0.0	0.00
01/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.56	0.00	3.56	0.0	0.00
01/01/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	4.37	0.00	4.37	0.0	0.00
01/01/2018	***-**-3420 - KOCHEM, DENISE ACCOUNT #: 08191179076	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.98	0.00	0.98	0.0	0.00
01/01/2018	***-**-9839 - YADDAW, DAVID ACCOUNT #: 08191183793	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	4.02	0.00	4.02	0.0	0.00
01/01/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 08191184927	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.98	0.00	0.98	0.0	0.00
01/01/2018	***-**-7116 - PREVOST, SANDRA ACCOUNT #: 08191191385	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	0.0	0.00
01/01/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08191196034	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.96	0.00	3.96	0.0	0.00
01/01/2018	***-**-844I - ROSS, VALERIE ACCOUNT #: 08191197798	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	6.26	0.00	6.26	0.0	0.00
01/01/2018	***-**-37IN - PFAFF, JOAN ACCOUNT #: 08191218057	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	6.28	0.00	6.28	0.0	0.00
01/01/2018	***-**-5384 - GURDO, JESSICA ACCOUNT #: 08191233759	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	0.0	0.00
01/01/2018	***-**-14IN - LINES, JUDITH ACCOUNT #: 08191291668	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.79	0.00	0.79	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-881J - EBERLEY, SUSAN	MFS TOTAL RETURN FUND-B	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
01/22/2018	***-**-949I - ACEE, JOSPEH	MFS TOTAL RETURN FUND-B	0.00	1.91	0.00	1.91	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/22/2018	***-**-960J - MASTRANGELO,	MFS TOTAL RETURN FUND-B	0.00	1.93	0.00	1.93	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/22/2018	***-**-506J - CURRIERE JR, MR	MFS TOTAL RETURN FUND-B	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - WILLIAMSON, FBO	MFS TOTAL RETURN FUND-B	0.00	2.89	0.00	2.89	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/22/2018	***-**-62IR - ROBBIANO, FBO	MFS TOTAL RETURN FUND-B	0.00	0.90	0.00	0.90	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/01/2018	***-**-1855 - WILLIAMSON,	MFS TRAILS 55273G710	0.00	4.68	0.00	4.68	0.0	0.00
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
01/01/2018	***-**-881I - EBERLEY, SUSAN	MFS TRAILS 552988610	0.00	2.72	0.00	2.72	0.0	0.00
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
01/01/2018	***-**-881I - EBERLEY, SUSAN	MFS TRAILS 552989600	0.00	2.38	0.00	2.38	0.0	0.00
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
01/01/2018	***-**-439J - MCCARTHY, JAMES	MFS UTILITIES FUND-A	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: 00060638930	BUY 0 Units @0.0000						
01/01/2018	***-**-84IN - WARMUTH, ERIC	MFS UTILITIES FUND-A	0.00	2.73	0.00	2.73	0.0	0.00
	ACCOUNT #: 00060639103	BUY 0 Units @0.0000						
01/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS UTILITIES FUND-A	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
01/22/2018	***-**-944O - MAYO, DEBORAH	MFS UTILITIES FUND-A	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/22/2018	***-**-808J - GORMAN, RANDY	MFS UTILITIES FUND-A	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
01/01/2018	***-**-439I - MCCARTHY, JAMES	MFS UTILITIES FUND-B	0.00	1.32	0.00	1.32	0.0	0.00
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
01/01/2018	***-**-111J - NESSIA, JAMES	MFS UTILITIES FUND-B	0.00	1.88	0.00	1.88	0.0	0.00
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/01/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	0.00	2.45	0.00	2.45	0.0	0.00
	ACCOUNT #: 08190127967	BUY 0 Units @0.0000						
01/01/2018	***-**-2603 - MASTRANGELO,	MFS UTILITIES FUND-B	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
01/01/2018	***-**-889I - FRANZ, JONATHAN	MFS UTILITIES FUND-B	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
01/01/2018	***-**-31IN - WARMUTH,	MFS UTILITIES FUND-B	0.00	2.18	0.00	2.18	0.0	0.00
	ACCOUNT #: 08191131006	BUY 0 Units @0.0000						
01/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS UTILITIES FUND-B	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: 08191150076	BUY 0 Units @0.0000						
01/01/2018	***-**-0767 - DOVI,	MFS UTILITIES FUND-B	0.00	0.90	0.00	0.90	0.0	0.00
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
01/01/2018	***-**-861I - SANGER, LAWRENCE	MFS UTILITIES FUND-B	0.00	0.76	0.00	0.76	0.0	0.00
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
01/01/2018	***-**-2483 - TURNBULL,	MFS UTILITIES FUND-B	0.00	1.63	0.00	1.63	0.0	0.00
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						
01/01/2018	***-**-617I - ESCHE, BEVERLY	MFS UTILITIES FUND-B	0.00	3.56	0.00	3.56	0.0	0.00
	ACCOUNT #: 08191154979	BUY 0 Units @0.0000						
01/01/2018	***-**-8440 - PREVOST, PIERRE	MFS UTILITIES FUND-B	0.00	2.58	0.00	2.58	0.0	0.00
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
01/01/2018	***-**-237I - MCCLUSKY, MARK	MFS UTILITIES FUND-B	0.00	1.60	0.00	1.60	0.0	0.00
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
01/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS UTILITIES FUND-B	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
01/01/2018	***-**-3932 - CARSON, DAVID	MFS UTILITIES FUND-B	0.00	3.24	0.00	3.24	0.0	0.00
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
01/01/2018	***-**-06IN - SATTERLY,	MFS UTILITIES FUND-B	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						
01/01/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
01/01/2018	***-**-671I - EBERLEY, REID	MFS UTILITIES FUND-B	0.00	3.31	0.00	3.31	0.0	0.00
	ACCOUNT #: 08191175793	BUY 0 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)								
01/01/2018	***-**-9839 - YADDAW, DAVID	MFS UTILITIES FUND-B	0.00	1.99	0.00	1.99	0.0	0.00
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
01/01/2018	***-**-7116 - PREVOST, SANDRA	MFS UTILITIES FUND-B	0.00	1.76	0.00	1.76	0.0	0.00
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
01/01/2018	***-**-09IN - BATES, CHRISTINE	MFS UTILITIES FUND-B	0.00	4.05	0.00	4.05	0.0	0.00
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
01/01/2018	***-**-844I - ROSS, VALERIE	MFS UTILITIES FUND-B	0.00	7.66	0.00	7.66	0.0	0.00
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
01/01/2018	***-**-524I - SCALISE, JOSEPH	MFS UTILITIES FUND-B	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
01/01/2018	***-**-80IN - CURRIERE, LAURA	MFS UTILITIES FUND-B	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
01/01/2018	***-**-37IN - PFAFF, JOAN	MFS UTILITIES FUND-B	0.00	6.33	0.00	6.33	0.0	0.00
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
01/01/2018	***-**-6988 - TOOKE, LISA	MFS UTILITIES FUND-B	0.00	1.29	0.00	1.29	0.0	0.00
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
01/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS UTILITIES FUND-B	0.00	0.94	0.00	0.94	0.0	0.00
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
01/01/2018	***-**-728I - BYWATER, KIM	MFS UTILITIES FUND-B	0.00	0.29	0.00	0.29	0.0	0.00
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
01/01/2018	***-**-213I - GRUENEWALD,	MFS UTILITIES FUND-B	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: 08191229521	BUY 0 Units @0.0000						
01/01/2018	***-**-5384 - GURDO, JESSICA	MFS UTILITIES FUND-B	0.00	0.13	0.00	0.13	0.0	0.00
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
01/01/2018	***-**-49IN - GUARDI, LINDA	MFS UTILITIES FUND-B	0.00	3.13	0.00	3.13	0.0	0.00
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
01/01/2018	***-**-058I - ROBBIANO, SARAH	MFS UTILITIES FUND-B	0.00	0.17	0.00	0.17	0.0	0.00
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
01/01/2018	***-**-39IO - GUARNIERO, FBO	MFS UTILITIES FUND-B	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
01/01/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: 08191352846	BUY 0 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)								
01/01/2018	***-**-473I - HUSTON, ACCOUNT #: 08191353972	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	1.04	0.00	1.04	0.0	0.00
01/22/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.35	0.00	1.35	0.0	0.00
01/22/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.86	0.00	1.86	0.0	0.00
01/22/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	0.0	0.00
01/22/2018	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.28	0.00	0.28	0.0	0.00
01/22/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.68	0.00	1.68	0.0	0.00
01/22/2018	***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.98	0.00	1.98	0.0	0.00
01/22/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.55	0.00	0.55	0.0	0.00
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	2.05	0.00	2.05	0.0	0.00
01/22/2018	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	0.0	0.00
01/22/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	0.0	0.00
01/22/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.87	0.00	0.87	0.0	0.00
01/22/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.79	0.00	0.79	0.0	0.00
01/22/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	0.0	0.00
01/22/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.33	0.00	1.33	0.0	0.00
01/22/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.68	0.00	1.68	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-653I - KOCHER, CLINTON	MFS UTILITIES FUND-B	0.00	1.42	0.00	1.42	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/22/2018	***-**-62IN - EATON, DAVID	MFS UTILITIES FUND-B	0.00	1.33	0.00	1.33	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
01/22/2018	***-**-978I - GUNN, KATHLEEN	MFS UTILITIES FUND-B	0.00	0.40	0.00	0.40	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
01/22/2018	***-**-21IO - RADELL, SANDRA	MFS UTILITIES FUND-B	0.00	1.63	0.00	1.63	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
01/22/2018	***-**-41IR - DINITTO, ALLISYN	MFS UTILITIES FUND-B	0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: LSR011443	BUY 1 Units @0.0000						
01/22/2018	***-**-197I - GAMBINO, ANDREW	MFS UTILITIES FUND-B	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
01/22/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	0.00	0.20	0.00	0.20	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
01/22/2018	***-**-24IN - BLISS, RYAN	MFS UTILITIES FUND-B	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
01/22/2018	***-**-51IN - GERACE, JOANNE	MFS UTILITIES FUND-B	0.00	1.52	0.00	1.52	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
01/22/2018	***-**-38IO - BROWN, TYLER	MFS UTILITIES FUND-B	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
01/01/2018	***-**-26IN - GRANDE, MR	MFS UTILITIES FUND-C	0.00	3.94	0.00	3.94	0.0	0.00
	ACCOUNT #: 08191260232	BUY 0 Units @0.0000						
01/01/2018	***-**-881I - EBERLEY, SUSAN	MFS UTILITIES FUND-C	0.00	3.47	0.00	3.47	0.0	0.00
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
01/22/2018	***-**-235I - AUGUSTINE III,	MFS UTILITIES FUND-C	0.00	9.08	0.00	9.08	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
01/22/2018	***-**-980I - ACEE, ELIZABETH	MFS UTILITIES FUND-C	0.00	10.83	0.00	10.83	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
01/22/2018	***-**-48IO - CLARK, PATRICK	MFS UTILITIES FUND-C	0.00	9.16	0.00	9.16	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
01/22/2018	***-**-031O - MCVOY, ROBERT	MFS UTILITIES FUND-C	0.00	4.62	0.00	4.62	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-065I - LAZIO, THOMAS	MFS UTILITIES FUND-C	0.00	17.73	0.00	17.73	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
01/22/2018	***-**-00IO - LEE, GARY	MFS UTILITIES FUND-C	0.00	10.75	0.00	10.75	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
01/22/2018	***-**-09IO - BATES, FBO MRS	MFS UTILITIES FUND-C	0.00	11.29	0.00	11.29	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/22/2018	***-**-89IN - LEE, ROGER	MFS UTILITIES FUND-C	0.00	6.82	0.00	6.82	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
01/22/2018	***-**-81IR - CAMPBELL,	MFS UTILITIES FUND-C	0.00	7.02	0.00	7.02	0.0	0.00
	ACCOUNT #: LSR011223	BUY 1 Units @0.0000						
01/22/2018	***-**-11IO - LYNN G.	MFS UTILITIES FUND-C	0.00	9.75	0.00	9.75	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/22/2018	***-**-37IR - HARTZ, RENEE	MFS UTILITIES FUND-C	0.00	0.02	0.00	0.02	0.0	0.00
	ACCOUNT #: LSR011259	BUY 1 Units @0.0000						
01/22/2018	***-**-80IO - EVANS, RICHARD	MFS UTILITIES FUND-C	0.00	7.49	0.00	7.49	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
01/22/2018	***-**-376I - BERBEN, GAIL	MFS UTILITIES FUND-C	0.00	9.75	0.00	9.75	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
01/22/2018	***-**-45IO - JOHNSON, GREGORY	MFS UTILITIES FUND-C	0.00	8.70	0.00	8.70	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/22/2018	***-**-14IO - BUSHEY, MATTHEW	MFS UTILITIES FUND-C	0.00	9.56	0.00	9.56	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
01/22/2018	***-**-13IN - ROTH, KAREN	MFS VALUE FUND-B	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
01/22/2018	***-**-20IO - DEMETRI, AMELIA	NEW PERSPECTIVE FUND-A	0.00	1.79	0.00	1.79	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
01/22/2018	***-**-702I - KOCHEM, MICHAEL	NEW WORLD FUND-A	0.00	2.74	0.00	2.74	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
01/22/2018	***-**-326I - GRANDE, FBO MR	NEW WORLD FUND-A	0.00	2.49	0.00	2.49	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
01/22/2018	***-**-680I - HARRELL, DARYL	NEW WORLD FUND-A	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/22/2018	***-**-128I - BASHANT, THOMAS	NEW WORLD FUND-A	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
01/22/2018	***-**-30TR - AND SANDRA	NEW WORLD FUND-A	0.00	2.05	0.00	2.05	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
01/16/2018	***-**-07IO - FAMOLARO, JAMES	PRUDENTIAL JENNISON 20/20 FOCUS CLA	0.00	3.12	0.00	3.12	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
01/16/2018	***-**-15IN - PENDRAK, JOHN	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	2.41	0.00	2.41	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/16/2018	***-**-366S - GRUENEWALD,	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.32	0.00	0.32	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
01/16/2018	***-**-861I - SANGER, LAWRENCE	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.53	0.00	0.53	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/16/2018	***-**-128I - BASHANT, THOMAS	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
01/16/2018	***-**-30TR - AND SANDRA	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.52	0.00	0.52	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
01/16/2018	***-**-254I - AUGUSTINE, LINDA	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/16/2018	***-**-15IN - PENDRAK, JOHN	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.06	0.00	0.06	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/16/2018	***-**-944O - MAYO, DEBORAH	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM 1	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
01/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
01/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.55	0.00	1.55	0.0	0.00
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
01/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
01/02/2018	***-**-756I - HUSTON, JOUANA	PUTNAM ASSET ALLOC GROWTH-A	0.00	10.96	0.00	10.96	0.0	0.00
	ACCOUNT #: 00550220530	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
01/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.20	0.00	1.20	0.0	0.00
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
01/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
01/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
01/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM DIVERSIFIED INCOME FUND CLAS	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
01/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM EQUITY INCOME FUND-A	0.00	2.46	0.00	2.46	0.0	0.00
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
01/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
01/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM GLOBAL EQUITY FUND CLASS A	0.00	2.24	0.00	2.24	0.0	0.00
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
01/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
01/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
01/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM GLOBAL TECHNOLOGY FUND CL A	0.00	1.26	0.00	1.26	0.0	0.00
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
01/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM GLOBAL UTILITIES CL C	0.00	7.27	0.00	7.27	0.0	0.00
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
01/02/2018	***-**-28IN - BYWATER, KIM	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	6.05	0.00	6.05	0.0	0.00
	ACCOUNT #: 00392501050	BUY 0 Units @0.0000						
01/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM HEALTH SCIENCES TR-B	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
01/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM HEALTH SCIENCES TR-B	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
01/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM INTL GROWTH & INC-A	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
01/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM INTL GROWTH & INC-B	0.00	1.20	0.00	1.20	0.0	0.00
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						



COMMISSION STATEMENT

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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)								
01/02/2018	***-**-91UT - BYWATER, CAROLYN PUTNAM INVESTORS FUND-A		0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: 00234174436	BUY 0 Units @0.0000						
01/02/2018	***-**-79UT - BYWATER, PUTNAM INVESTORS FUND-A		0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: 00234227769	BUY 0 Units @0.0000						
01/02/2018	***-**-28IN - BYWATER, KIM PUTNAM INVESTORS FUND-A		0.00	5.99	0.00	5.99	0.0	0.00
	ACCOUNT #: 00392501050	BUY 0 Units @0.0000						
01/02/2018	***-**-63IN - LASCALA, DEBORAH PUTNAM MID-CAP VALUE FUND-A		0.00	2.52	0.00	2.52	0.0	0.00
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
01/02/2018	***-**-49IN - GUARDI, LINDA PUTNAM SMALL CAP VALUE FUND-A		0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
01/02/2018	***-**-12IN - GORMAN, MELINDA PUTNAM SMALL CAP VALUE FUND-B		0.00	1.10	0.00	1.10	0.0	0.00
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
01/02/2018	***-**-49IN - GUARDI, LINDA PUTNAM U.S. GOVT INCOME TR-A		0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
01/02/2018	***-**-12IN - GORMAN, MELINDA PUTNAM U.S. GOVT INCOME TR-B		0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
01/22/2018	***-**-671I - EBERLEY, REID RESOURCE REAL ESTATE TRAILS		0.00	13.23	0.00	13.23	0.0	0.00
	ACCOUNT #: 20021572	BUY 0 Units @0.0000						
01/22/2018	***-**-44IO - MAYO, DEBORAH RESOURCE REAL ESTATE TRAILS		0.00	9.00	0.00	9.00	0.0	0.00
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
01/22/2018	***-**-524I - SCALISE, JOSEPH RESOURCE REAL ESTATE TRAILS		0.00	0.52	0.00	0.52	0.0	0.00
		BUY 0 Units @0.0000						
01/22/2018	***-**-15IN - PENDRAK, JOHN RESOURCE REAL ESTATE TRAILS		0.00	1.69	0.00	1.69	0.0	0.00
		BUY 0 Units @0.0000						
01/22/2018	***-**-65IN - LAZIO, THOMAS RESOURCE REAL ESTATE TRAILS		0.00	17.43	0.00	17.43	0.0	0.00
	ACCOUNT #: 20010459	BUY 0 Units @0.0000						
01/22/2018	***-**-31IO - HARTZ, CLAUDIA RESOURCE REAL ESTATE-NFS		0.00	4.24	0.00	4.24	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/22/2018	***-**-72IN - GAVALO, JULIE RESOURCE REAL ESTATE-NFS		0.00	3.80	0.00	3.80	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
01/22/2018	***-**-930I - SANGER, KEVIN RESOURCE REAL ESTATE-NFS		0.00	12.63	0.00	12.63	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)								
01/22/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	5.40	0.00	5.40	0.0	0.00
01/22/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.30	0.00	6.30	0.0	0.00
01/22/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.62	0.00	6.62	0.0	0.00
01/22/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	11.37	0.00	11.37	0.0	0.00
01/22/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	7.57	0.00	7.57	0.0	0.00
01/22/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	14.18	0.00	14.18	0.0	0.00
01/22/2018	***-**-29IO - MASSOUD, ACCOUNT #: LSR011217	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.29	0.00	6.29	0.0	0.00
01/22/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.31	0.00	6.31	0.0	0.00
01/22/2018	***-**-653I - KOHEM, CLINTON ACCOUNT #: LSR011300	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.29	0.00	6.29	0.0	0.00
01/22/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.17	0.00	3.17	0.0	0.00
01/22/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.26	0.00	6.26	0.0	0.00
01/22/2018	***-**-531J - WILLIAMSON, ACCOUNT #: LSR011716	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	12.38	0.00	12.38	0.0	0.00
01/22/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	0.0	0.00
01/22/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	0.0	0.00
01/22/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.21	0.00	4.21	0.0	0.00
01/22/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.80	0.00	1.80	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)								
01/22/2018	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	2.10	0.00	2.10	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/22/2018	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	2.21	0.00	2.21	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/22/2018	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	3.79	0.00	3.79	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
01/22/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	2.52	0.00	2.52	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/22/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	4.73	0.00	4.73	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
01/22/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	2.10	0.00	2.10	0.0	0.00
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
01/22/2018	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	2.10	0.00	2.10	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
01/22/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	2.10	0.00	2.10	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/22/2018	***-**-37IO - MCCLUSKY, MARK	RESOURCE REAL ESTATE-NFS	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
01/22/2018	***-**-86IN - LEE, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	2.09	0.00	2.09	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
01/22/2018	***-**-531J - WILLIAMSON,	RESOURCE REAL ESTATE-NFS	0.00	4.13	0.00	4.13	0.0	0.00
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
01/22/2018	***-**-680I - HARRELL, DARYL	SMALLCAP WORLD FUND-A	0.00	0.86	0.00	0.86	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/22/2018	***-**-382I - SATTERLY, NEIL	SMALLCAP WORLD FUND-C	0.00	8.53	0.00	8.53	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
01/22/2018	***-**-567I - FRANZ, ALICE	SMALLCAP WORLD FUND-C	0.00	7.01	0.00	7.01	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/22/2018	***-**-09IO - BATES, FBO MRS	SMALLCAP WORLD FUND-C	0.00	11.48	0.00	11.48	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/22/2018	***-**-11IO - LYNN G.	SMALLCAP WORLD FUND-C	0.00	13.16	0.00	13.16	0.0	0.00
	ACCOUNT #: LSR011239	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)								
01/22/2018	***-**-45IO - JOHNSON, GREGORY	SMALLCAP WORLD FUND-C	0.00	7.81	0.00	7.81	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/22/2018	***-**-366I - GRUENEWALD,	THE GROWTH FUND OF AMERICA-A	0.00	1.97	0.00	1.97	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
01/22/2018	***-**-326I - GRANDE, FBO MR	THE GROWTH FUND OF AMERICA-A	0.00	2.08	0.00	2.08	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
01/22/2018	***-**-567I - FRANZ, ALICE	THE GROWTH FUND OF AMERICA-C	0.00	10.03	0.00	10.03	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/22/2018	***-**-287I - HINCKLEY,	THE INCOME FUND OF AMERICA-A	0.00	4.67	0.00	4.67	0.0	0.00
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
01/22/2018	***-**-702I - KOCHEM, MICHAEL	THE INCOME FUND OF AMERICA-A	0.00	3.58	0.00	3.58	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
01/22/2018	***-**-959J - FRANZ, PAUL	THE INCOME FUND OF AMERICA-A	0.00	2.90	0.00	2.90	0.0	0.00
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
01/22/2018	***-**-366I - GRUENEWALD,	THE INCOME FUND OF AMERICA-A	0.00	2.40	0.00	2.40	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
01/22/2018	***-**-579J - RHYMESTINE,	THE INCOME FUND OF AMERICA-A	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
01/22/2018	***-**-326I - GRANDE, FBO MR	THE INCOME FUND OF AMERICA-A	0.00	2.70	0.00	2.70	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
01/22/2018	***-**-680I - HARRELL, DARYL	THE INCOME FUND OF AMERICA-A	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/22/2018	***-**-128I - BASHANT, THOMAS	THE INCOME FUND OF AMERICA-A	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
01/22/2018	***-**-30TR - AND SANDRA	THE INCOME FUND OF AMERICA-A	0.00	2.67	0.00	2.67	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
01/22/2018	***-**-80IO - EVANS, RICHARD	THE NEW ECONOMY FUND-C	0.00	11.08	0.00	11.08	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
01/22/2018	***-**-959J - FRANZ, PAUL	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	3.69	0.00	3.69	0.0	0.00
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
01/16/2018	***-**-71IO - FAMOLARO, JAMES	VAN KAMPEN9	0.00	0.26	0.00	0.26	0.0	0.00
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u>								
01/16/2018	***-**-07IO - FAMOLARO, JAMES	WELLS FARGO ASSET ALLOCATION CL A	0.00	3.08	0.00	3.08	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
01/16/2018	***-**-07IO - FAMOLARO, JAMES	WELLS FARGO GLOBAL OPPT FD CL A	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
01/16/2018	***-**-680I - HARRELL, DARYL	WELLS FARGO SPECIALIZED TECH A	0.00	1.71	0.00	1.71	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/16/2018	***-**-680I - HARRELL, DARYL	WELLS FARGO UTILITY TELECOM CL A	0.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$3,787.90	\$0.00	\$3,787.90		\$0.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
01/18/2018	***-**-889I - FRANZ, JONATHAN	PACIFIC LIFE SE5-NYB DTCC	0.00	0.52	0.00	0.52	0.0	0.00
	ACCOUNT #: VP71081770	BUY 0 Units @0.0000						
		* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$0.52	\$0.00	\$0.52		\$0.00
		*** BROKER TRANSACTIONS TOTAL ***	\$92,131.76	\$4,762.67	\$340.00	\$4,422.67		\$-18.00

BROKER COMMISSION TOTALS

Broker Transactions	\$-18.00
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-104.88
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	\$-122.88
Year-to-date Earnings	\$-122.88