



# COMMISSION STATEMENT

## January 15, 2018

HOME OFFICE PASCALE

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

, NY

| DATE                                  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JOHN AMBRUSCO</u></b>   |                                |                                     |                      |                     |                    |                   |      |                      |
| 12/31/2017                            | ***-**-33IN - PIROLI, DONNA    | GLOBAL FUND A                       | 0.00                 | 8.83                | 0.00               | 8.83              | 0.5  | 0.04                 |
|                                       | ACCOUNT #: 03308118319         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/12/2018                            | ***-**-160K - DIGITAL INC, GM  | MASS MUTUAL VA                      | 0.00                 | 19.71               | 0.00               | 19.71             | 0.5  | 0.10                 |
|                                       | ACCOUNT #: 837763              | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017                            | ***-**-33IN - PIROLI, DONNA    | OPPENHEIMER DISCOVERY CLASS A       | 0.00                 | 6.59                | 0.00               | 6.59              | 0.5  | 0.03                 |
|                                       | ACCOUNT #: 05003614820         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017                            | ***-**-88IN - CARSON, RICHARD  | STRATEGIC INCOME FUND C             | 0.00                 | 25.35               | 0.00               | 25.35             | 0.5  | 0.13                 |
|                                       | ACCOUNT #: 02322977898         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017                            | ***-**-88IN - CARSON, RICHARD  | U.S. GOVERNMENT TRUST C             | 0.00                 | 11.23               | 0.00               | 11.23             | 0.5  | 0.06                 |
|                                       | ACCOUNT #: 02220639980         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| * JOHN AMBRUSCO SUBTOTAL *            |                                |                                     | \$0.00               | \$71.71             | \$0.00             | \$71.71           |      | \$0.36               |
| <b><u>BROKER: MARC ASHER</u></b>      |                                |                                     |                      |                     |                    |                   |      |                      |
| 01/02/2018                            | ***-**-391J - FRIEDMAN, KEITH  | AMCAP FUND-A                        | 450.00               | 4.50                | 0.00               | 4.50              | 0.5  | 0.02                 |
|                                       | ACCOUNT #: 00083404691         | BUY 14 Units @31.8900               |                      |                     |                    |                   |      |                      |
| 01/02/2018                            | ***-**-064J - HALL, AMY        | AMERICAN DEVELOPING WRLD GRWTH & IN | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|                                       | ACCOUNT #: 00083146232         | BUY 22 Units @11.5400               |                      |                     |                    |                   |      |                      |
| 01/03/2018                            | ***-**-601I - FALCK, ROBERT    | AMERICAN FUNDS 2020 TARGET DATE-A   | 6,500.00             | 104.00              | 0.00               | 104.00            | 0.5  | 0.52                 |
|                                       | ACCOUNT #: 00068513111         | BUY 503 Units @12.9100              |                      |                     |                    |                   |      |                      |
| 01/02/2018                            | ***-**-205P - BISCOTTI,        | AMERICAN FUNDS 2030 TARGET DATE-A   | 30.00                | 1.13                | 0.00               | 1.13              | 0.5  | 0.01                 |
|                                       | ACCOUNT #: 00064937834         | BUY 2 Units @15.2000                |                      |                     |                    |                   |      |                      |
| 01/02/2018                            | ***-**-08IR - ROSS, GERALD J   | AMERICAN FUNDS 2030 TARGET DATE-A   | 100.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
|                                       | ACCOUNT #: 00081116941         | BUY 6 Units @15.4100                |                      |                     |                    |                   |      |                      |
| 01/02/2018                            | ***-**-582I - ROZENCWAIG, ERIC | AMERICAN FUNDS 2035 TARGET DATE-A   | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|                                       | ACCOUNT #: 00073025002         | BUY 6 Units @15.5000                |                      |                     |                    |                   |      |                      |
| 01/05/2018                            | ***-**-22IR - RUDO, BRIAN      | AMERICAN FUNDS 2035 TARGET DATE-A   | 5,500.00             | 151.25              | 0.00               | 151.25            | 0.5  | 0.76                 |
|                                       | ACCOUNT #: 00065173876         | BUY 350 Units @15.7200              |                      |                     |                    |                   |      |                      |
| 01/02/2018                            | ***-**-296I - ROZENCWAIG,      | AMERICAN FUNDS 2045 TARGET DATE-A   | 458.00               | 12.60               | 0.00               | 12.60             | 0.5  | 0.06                 |
|                                       | ACCOUNT #: 00073024936         | BUY 28 Units @16.1300               |                      |                     |                    |                   |      |                      |
| 01/02/2018                            | ***-**-13IR - LABUE, CHRISTINE | AMERICAN FUNDS 2045 TARGET DATE-A   | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|                                       | ACCOUNT #: 00085542538         | BUY 3 Units @16.5200                |                      |                     |                    |                   |      |                      |
| 01/02/2018                            | ***-**-305P - ALOOR, RAVI      | AMERICAN MUTUAL FUND-529A           | 500.00               | 10.00               | 0.00               | 10.00             | 0.5  | 0.05                 |
|                                       | ACCOUNT #: 00081141529         | BUY 12 Units @42.0200               |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MARC ASHER (continued)</u></b>   |                                |                                     |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-415P - TARANTINO, SCOTT | CAPITAL INCOME BUILDER-A            | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087447990         | BUY 3 Units @63.0500                |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-064J - HALL, AMY        | CAPITAL INCOME BUILDER-A            | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00083146232         | BUY 4 Units @64.0100                |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-415P - TARANTINO, SCOTT | CAPITAL WORLD GROWTH AND INCOME FUN | 150.00               | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087447990         | BUY 3 Units @51.6900                |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-305P - ALOOR, RAVI      | CAPITAL WORLD GROWTH AND INCOME-529 | 500.00               | 10.00               | 0.00               | 10.00             | 0.5  | 0.05                 |
|  | ACCOUNT #: 00081141529         | BUY 9 Units @52.8300                |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-915P - FRIEDMAN, KEITH  | COLLEGE 2018 FUND-529A              | 750.00               | 7.50                | 0.00               | 7.50              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00083404020         | BUY 71 Units @10.5600               |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-415P - TARANTINO, SCOTT | COLLEGE 2018 FUND-529A              | 750.00               | 7.50                | 0.00               | 7.50              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00087442846         | BUY 71 Units @10.5600               |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-4064 - BOCCIA, EMMA     | COLLEGE 2018 FUND-529A              | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00083146208         | BUY 23 Units @10.7200               |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-241O - PUTHIYA-VEETIL,  | COLLEGE 2018 FUND-529A              | 50.00                | 1.75                | 0.00               | 1.75              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00073508689         | BUY 5 Units @11.0300                |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-965P - ROZENCWAIG,      | COLLEGE 2021 FUND-529A              | 500.00               | 13.75               | 0.00               | 13.75             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00074006097         | BUY 43 Units @11.5300               |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-915P - FRIEDMAN, KEITH  | COLLEGE 2024 FUND-529A              | 500.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00083403951         | BUY 42 Units @11.9300               |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-415P - TARANTINO, SCOTT | COLLEGE 2024 FUND-529A              | 750.00               | 7.50                | 0.00               | 7.50              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00087442831         | BUY 63 Units @11.9300               |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-5966 - BOCCIA, BROCK    | COLLEGE 2024 FUND-529A              | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00083146222         | BUY 21 Units @12.1100               |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-95IR - WEISMAN, DAVID   | COLLEGE 2024 FUND-529A              | 200.00               | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00075230643         | BUY 16 Units @12.3600               |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-95IR - WEISMAN, DAVID   | COLLEGE 2024 FUND-529A              | 200.00               | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00075230711         | BUY 16 Units @12.3600               |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-41IN - PUTHIYA-VEETIL,  | COLLEGE 2024 FUND-529A              | 50.00                | 1.75                | 0.00               | 1.75              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00083895119         | BUY 4 Units @12.4600                |                      |                     |                    |                   |      |                      |
| 01/02/2018                                     | ***-**-91IN - FRIEDMAN, KEITH  | COLLEGE 2027 FUND-529A              | 500.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00084072810         | BUY 39 Units @12.6900               |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                   |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: MARC ASHER (continued) </u></b>    |                                |                                   |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-665P - WOLLNER, DAVIDA  | COLLEGE 2030 FUND-529A            | 50.00                | 1.75                | 0.00               | 1.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087215180         | BUY 3 Units @14.3000              |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-86CL - ASHER, CLIENTS   | COLLEGE 2030 FUND-529A            | 50.00                | 1.75                | 0.00               | 1.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087512963         | BUY 3 Units @14.3000              |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-391J - FRIEDMAN, KEITH  | EUROPACIFIC GROWTH FUND-A         | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00083404691         | BUY 4 Units @56.9500              |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-415P - TARANTINO, SCOTT | EUROPACIFIC GROWTH FUND-A         | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087447990         | BUY 4 Units @56.9500              |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-064J - HALL, AMY        | EUROPACIFIC GROWTH FUND-A         | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083146232         | BUY 4 Units @57.8200              |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-415P - TARANTINO, SCOTT | FUNDAMENTAL INVESTORS-A           | 150.00               | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087447990         | BUY 2 Units @62.8200              |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-064J - HALL, AMY        | INTERNATIONAL GROWTH AND INCOME-A | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083146232         | BUY 7 Units @35.8900              |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-425P - RADINSKY,        | NEW PERSPECTIVE FUND-529A         | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00006895131         | BUY 2 Units @44.6900              |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-425P - RADINSKY,        | NEW PERSPECTIVE FUND-529A         | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068975133         | BUY 2 Units @44.6900              |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-391J - FRIEDMAN, KEITH  | NEW WORLD FUND-A                  | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00083404691         | BUY 3 Units @67.7600              |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-415P - TARANTINO, SCOTT | NEW WORLD FUND-A                  | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087447990         | BUY 3 Units @67.7600              |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-064J - HALL, AMY        | NEW WORLD FUND-A                  | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083146232         | BUY 4 Units @68.7900              |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-391J - FRIEDMAN, KEITH  | SMALLCAP WORLD FUND-A             | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00083404691         | BUY 4 Units @56.3400              |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-415P - TARANTINO, SCOTT | SMALLCAP WORLD FUND-A             | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087447990         | BUY 4 Units @56.3400              |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-064J - HALL, AMY        | SMALLCAP WORLD FUND-A             | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083146232         | BUY 4 Units @57.2000              |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-415P - TARANTINO, SCOTT | TAX-EXEMPT BOND FUND OF AMERICA   | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087447990         | BUY 15 Units @13.0400             |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: MARC ASHER (continued) </u></b>    |                                |                                     |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-064J - HALL, AMY        | THE BOND FUND OF AMERICA-A          | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083146232         | BUY 19 Units @13.0600               |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-425P - RADINSKY,        | THE GROWTH FUND OF AMERICA-529A     | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068975127         | BUY 2 Units @51.4400                |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-425P - RADINSKY,        | THE GROWTH FUND OF AMERICA-529A     | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068975129         | BUY 2 Units @51.4400                |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-064J - HALL, AMY        | THE GROWTH FUND OF AMERICA-A        | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083146232         | BUY 5 Units @50.9200                |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-391J - FRIEDMAN, KEITH  | THE INCOME FUND OF AMERICA-A        | 450.00               | 4.50                | 0.00               | 4.50              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083404691         | BUY 19 Units @23.4400               |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-415P - TARANTINO, SCOTT | THE INCOME FUND OF AMERICA-A        | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087447990         | BUY 9 Units @23.4400                |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-064J - HALL, AMY        | THE INCOME FUND OF AMERICA-A        | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083146232         | BUY 11 Units @23.8000               |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-425P - RADINSKY,        | THE INVESTMENT COMPANY OF AMERICA-5 | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068975128         | BUY 2 Units @42.1300                |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-425P - RADINSKY,        | THE INVESTMENT COMPANY OF AMERICA-5 | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068975131         | BUY 2 Units @42.1300                |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-425P - RADINSKY,        | THE INVESTMENT COMPANY OF AMERICA-5 | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068975132         | BUY 2 Units @42.1300                |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-064J - HALL, AMY        | WASHINGTON MUTUAL INVESTORS FUND-A  | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083146232         | BUY 5 Units @46.6200                |                      |                     |                    |                   |      |                      |
| <b>* MARC ASHER SUBTOTAL *</b>                    |                                |                                     | <b>\$24,788.00</b>   | <b>\$448.73</b>     | <b>\$0.00</b>      | <b>\$448.73</b>   |      | <b>\$2.31</b>        |

 **BROKER: EDWARD FATLA** 

|            |                               |                                 |      |      |      |      |     |      |
|------------|-------------------------------|---------------------------------|------|------|------|------|-----|------|
| 12/31/2017 | ***-**-27IN - SLUSI, VICTORIA | CAPITAL APPRECIATION A          | 0.00 | 1.72 | 0.00 | 1.72 | 0.5 | 0.01 |
|            | ACCOUNT #: 03209725012        | BUY 0 Units @0.0000             |      |      |      |      |     |      |
| 12/31/2017 | ***-**-27IN - SLUSI, VICTORIA | CAPITAL APPRECIATION A          | 0.00 | 2.27 | 0.00 | 2.27 | 0.5 | 0.01 |
|            | ACCOUNT #: 03207772743        | BUY 0 Units @0.0000             |      |      |      |      |     |      |
| 12/31/2017 | ***-**-90IR - SLUSI, PAUL     | OPP PORT SERIES: ACTIVE ALLOC A | 0.00 | 2.36 | 0.00 | 2.36 | 0.5 | 0.01 |
|            | ACCOUNT #: 05501069882        | BUY 0 Units @0.0000             |      |      |      |      |     |      |
| 12/31/2017 | ***-**-27RI - SLUSI, VICTORIA | OPP PORT SERIES: ACTIVE ALLOC A | 0.00 | 7.04 | 0.00 | 7.04 | 0.5 | 0.04 |
|            | ACCOUNT #: 05501069904        | BUY 0 Units @0.0000             |      |      |      |      |     |      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: EDWARD FATLA (continued)</u></b>    |   |  |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-56IR - LICARI, JANIS                           | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 2.74                | 0.00               | 2.74              | 0.5  | 0.01                 |
| 01/15/2018  | ***-**-875I - DISANTO, ROSINA                         | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 4.28                | 0.00               | 4.28              | 0.5  | 0.02                 |
| * EDWARD FATLA SUBTOTAL *                         |   |  | \$0.00               | \$20.41             | \$0.00             | \$20.41           |      | \$0.10               |
| <b><u>BROKER: STEVEN JOEL</u></b>                 |   |  |                      |                     |                    |                   |      |                      |
| 01/05/2018  | ***-**-03IN - SINGER, CRAIG<br>ACCOUNT #: 04000083887 | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 15 Units @16.2800 | 240.00               | 10.20               | 0.00               | 10.20             | 0.5  | 0.05                 |
| 01/05/2018  | ***-**-03IN - SINGER, CRAIG<br>ACCOUNT #: 04000083887 | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 49 Units @16.2800 | 800.00               | 34.00               | 0.00               | 34.00             | 0.5  | 0.17                 |
| 01/05/2018  | ***-**-2300 - GOMEZ, LAURA<br>ACCOUNT #: 04000084436  | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 2 Units @16.2800  | 37.50                | 1.59                | 0.00               | 1.59              | 0.5  | 0.01                 |
| 01/05/2018  | ***-**-2300 - GOMEZ, LAURA<br>ACCOUNT #: 04000084436  | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 2 Units @16.2800  | 37.50                | 1.59                | 0.00               | 1.59              | 0.5  | 0.01                 |
| 01/05/2018  | ***-**-0477 - ELIAS, ADI<br>ACCOUNT #: 04000084445    | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 5 Units @16.2800  | 75.00                | 3.19                | 0.00               | 3.19              | 0.5  | 0.02                 |
| 01/05/2018  | ***-**-0477 - ELIAS, ADI<br>ACCOUNT #: 04000084445    | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 11 Units @16.2800 | 180.00               | 7.65                | 0.00               | 7.65              | 0.5  | 0.04                 |
| 01/15/2018  | ***-**-1388 - JOEL, JOSEPH                            | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 2.24                | 0.00               | 2.24              | 0.5  | 0.01                 |
| 01/15/2018  | ***-**-1388 - JOEL, JOSEPH                            | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 14.41               | 0.00               | 14.41             | 0.5  | 0.07                 |
| * STEVEN JOEL SUBTOTAL *                          |   |  | \$1,370.00           | \$74.87             | \$0.00             | \$74.87           |      | \$0.38               |
| <b><u>BROKER: JESS LITTLE</u></b>                 |   |  |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-4719 - INCOBRASA, IND<br>ACCOUNT #: 447191     | PRINCIPAL VA TRAILS<br>BUY 1 Units @0.0000                 | 0.00                 | 1,562.00            | 0.00               | 1,562.00          | 0.5  | 7.81                 |
| 01/15/2018  | ***-**-6005 - ILLINOIS<br>ACCOUNT #: 516169           | PRINCIPAL VA TRAILS<br>BUY 1 Units @0.0000                 | 0.00                 | 4,772.64            | 0.00               | 4,772.64          | 0.5  | 23.86                |
| * JESS LITTLE SUBTOTAL *                          |   |  | \$0.00               | \$6,334.64          | \$0.00             | \$6,334.64        |      | \$31.67              |



# COMMISSION STATEMENT

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| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ANNE PLATSKY</u></b>                |                                |                                     |                      |                     |                    |                   |      |                      |
| 01/09/2018  | ***-**-415K - SCHORR, FBO NINA | CAPITAL GROWTH FUND A               | 10,000.01            | 12.00               | 0.00               | 12.00             | 0.5  | 0.06                 |
|   | ACCOUNT #: LSR101265           | SELL 335 Units @29.8400             |                      |                     |                    |                   |      |                      |
|   |                                | <b>* ANNE PLATSKY SUBTOTAL *</b>    | <b>\$10,000.01</b>   | <b>\$12.00</b>      | <b>\$0.00</b>      | <b>\$12.00</b>    |      | <b>\$0.06</b>        |
| <b><u>BROKER: JEFFRY PROUL</u></b>                |                                |                                     |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-22CL - PROUL, CLIENTS   | AMERICAN FUNDS 2055 TARGET DATE-A   | 43.20                | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00089402273         | BUY 2 Units @19.6600                |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-22CL - PROUL, CLIENTS   | AMERICAN FUNDS 2055 TARGET DATE-A   | 200.00               | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00089402273         | BUY 10 Units @19.6600               |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-90IN - REPELLA, CRAIG   | CAPITAL INCOME A                    | 0.00                 | 16.38               | 0.00               | 16.38             | 0.5  | 0.08                 |
|   | ACCOUNT #: 03002590907         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/03/2018  | ***-**-4496 - HARRY, KIRK      | EUROPACIFIC GROWTH FUND-A           | 479.17               | 4.79                | 0.00               | 4.79              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00058823513         | BUY 8 Units @57.2900                |                      |                     |                    |                   |      |                      |
| 01/03/2018  | ***-**-3875 - HARRY, JOHN      | EUROPACIFIC GROWTH FUND-A           | 563.35               | 5.63                | 0.00               | 5.63              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00058823514         | BUY 10 Units @57.2900               |                      |                     |                    |                   |      |                      |
| 01/03/2018  | ***-**-9346 - KEY-BELL INC     | EUROPACIFIC GROWTH FUND-A           | 150.00               | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00058823515         | BUY 3 Units @57.2900                |                      |                     |                    |                   |      |                      |
| 01/03/2018  | ***-**-2069 - CORPORATION,     | EUROPACIFIC GROWTH FUND-A           | 521.26               | 5.21                | 0.00               | 5.21              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00058823519         | BUY 9 Units @57.2900                |                      |                     |                    |                   |      |                      |
| 01/03/2018  | ***-**-2069 - CORPORATION,     | EUROPACIFIC GROWTH FUND-A           | 1,197.28             | 11.97               | 0.00               | 11.97             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00058836715         | BUY 21 Units @57.2900               |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-091I - ALBERS, KEN      | GLOBAL FUND A                       | 0.00                 | 13.03               | 0.00               | 13.03             | 0.5  | 0.07                 |
|   | ACCOUNT #: 03302610379         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-673I - GEIGER, MAJOR    | INTERMEDIATE BOND FUND OF AMERICA-A | 1,154.00             | 23.08               | 0.00               | 23.08             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00086454950         | BUY 85 Units @13.6500               |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-645P - CALLES, LORIANN  | THE GROWTH FUND OF AMERICA-A        | 150.00               | 4.13                | 0.00               | 4.13              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00081807366         | BUY 3 Units @51.9800                |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-645P - CALLES, LORIANN  | THE GROWTH FUND OF AMERICA-A        | 90.00                | 2.48                | 0.00               | 2.48              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00081807366         | BUY 2 Units @51.9800                |                      |                     |                    |                   |      |                      |
| 01/03/2018  | ***-**-4496 - HARRY, KIRK      | THE GROWTH FUND OF AMERICA-A        | 479.17               | 4.79                | 0.00               | 4.79              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00058823513         | BUY 9 Units @50.5800                |                      |                     |                    |                   |      |                      |
| 01/03/2018  | ***-**-3875 - HARRY, JOHN      | THE GROWTH FUND OF AMERICA-A        | 563.35               | 5.63                | 0.00               | 5.63              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00058823514         | BUY 11 Units @50.5800               |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: JEFFRY PROUL (continued) </u></b>  |  |  |                      |                     |                    |                   |      |                      |
| 01/03/2018  | ***-**-9346 - KEY-BELL INC<br>ACCOUNT #: 00058823515 | THE GROWTH FUND OF AMERICA-A<br>BUY 3 Units @50.5800       | 150.00               | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
| 01/03/2018  | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058823519 | THE GROWTH FUND OF AMERICA-A<br>BUY 10 Units @50.5800      | 521.26               | 5.21                | 0.00               | 5.21              | 0.5  | 0.03                 |
| 01/03/2018  | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058836715 | THE GROWTH FUND OF AMERICA-A<br>BUY 24 Units @50.5800      | 1,197.29             | 11.97               | 0.00               | 11.97             | 0.5  | 0.06                 |
| * JEFFRY PROUL SUBTOTAL *                         |  |  | <b>\$7,459.33</b>    | <b>\$123.99</b>     | <b>\$0.00</b>      | <b>\$123.99</b>   |      | <b>\$0.64</b>        |
| <b><u> BROKER: CRAIG ST. CYR </u></b>             |  |  |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-911I - O'KEEFE,<br>ACCOUNT #: 03200888602     | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000              | 0.00                 | 10.60               | 0.00               | 10.60             | 0.5  | 0.05                 |
| 12/31/2017  | ***-**-587I - BOYD, RODNEY<br>ACCOUNT #: 02050088649 | EQUITY INCOME FUND, INC. A<br>BUY 0 Units @0.0000          | 0.00                 | 5.15                | 0.00               | 5.15              | 0.5  | 0.03                 |
| 01/10/2018  | ***-**-87IN - BOYD, RODNEY<br>ACCOUNT #: C023886-AV  | ING LIFE INS 08148884-NFS<br>BUY 0 Units @0.0000           | 0.00                 | 10.22               | 0.00               | 10.22             | 0.5  | 0.05                 |
| 12/31/2017  | ***-**-587I - BOYD, RODNEY<br>ACCOUNT #: 08250717926 | INTERNATIONAL GROWTH FUND A<br>BUY 0 Units @0.0000         | 0.00                 | 4.81                | 0.00               | 4.81              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-911I - O'KEEFE,<br>ACCOUNT #: 08250170005     | INTERNATIONAL GROWTH FUND A<br>BUY 0 Units @0.0000         | 0.00                 | 3.97                | 0.00               | 3.97              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-587I - BOYD, RODNEY<br>ACCOUNT #: 07009528750 | MAIN STREET FUND A<br>BUY 0 Units @0.0000                  | 0.00                 | 10.18               | 0.00               | 10.18             | 0.5  | 0.05                 |
| 12/31/2017  | ***-**-587I - BOYD, RODNEY<br>ACCOUNT #: 02850328075 | OPPENHEIMER CORE BOND FUND A<br>BUY 0 Units @0.0000        | 0.00                 | 5.47                | 0.00               | 5.47              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-587I - BOYD, RODNEY<br>ACCOUNT #: 02910019019 | OPPENHEIMER SENIOR FLOATING RATE CL<br>BUY 0 Units @0.0000 | 0.00                 | 18.33               | 0.00               | 18.33             | 0.5  | 0.09                 |
| 12/31/2017  | ***-**-587I - BOYD, RODNEY<br>ACCOUNT #: 02306502958 | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000  | 0.00                 | 11.82               | 0.00               | 11.82             | 0.5  | 0.06                 |
| 12/31/2017  | ***-**-911I - O'KEEFE,<br>ACCOUNT #: 02361238182     | QUEST OPPORTUNITY VALUE A<br>BUY 0 Units @0.0000           | 0.00                 | 5.87                | 0.00               | 5.87              | 0.5  | 0.03                 |
| * CRAIG ST. CYR SUBTOTAL *                        |  |  | <b>\$0.00</b>        | <b>\$86.42</b>      | <b>\$0.00</b>      | <b>\$86.42</b>    |      | <b>\$0.43</b>        |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: SHERIL DAMELIO</u></b>              |                                |                                     |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-2521 - BREUER, LUCI     | AMERICAN DEVELOPING WRLD GRWTH & IN | 500.00               | 25.00               | 0.00               | 25.00             | 0.5  | 0.13                 |
|   | ACCOUNT #: 04000316870         | BUY 41 Units @12.0600               |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-9149 - SMITH, JEFF      | AMERICAN DEVELOPING WRLD GRWTH & IN | 1,000.00             | 50.00               | 0.00               | 50.00             | 0.5  | 0.25                 |
|   | ACCOUNT #: 04000316886         | BUY 83 Units @12.0600               |                      |                     |                    |                   |      |                      |
| 12/29/2017  | ***-**-47IN - MURPHY, JAMES    | LIFESTYLE BALANCED PORTFOLIO A      | 300.00               | 11.25               | 0.00               | 11.25             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00001488868         | BUY 19 Units @16.0100               |                      |                     |                    |                   |      |                      |
|   |                                | <b>* SHERIL DAMELIO SUBTOTAL *</b>  | <b>\$1,800.00</b>    | <b>\$86.25</b>      | <b>\$0.00</b>      | <b>\$86.25</b>    |      | <b>\$0.44</b>        |
| <b><u>BROKER: BERT GOLDBERG</u></b>               |                                |                                     |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-84FB - SPORRER, SHIRLEY | MORNINGSTAR ADVISOR FEE             | 0.00                 | 46.66               | 0.00               | 46.66             | 0.5  | 0.23                 |
|   |                                | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-58FB - SMITH, RUTH      | MORNINGSTAR ADVISOR FEE             | 0.00                 | 166.61              | 0.00               | 166.61            | 0.5  | 0.83                 |
|   |                                | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-84FB - SPORRER, SHIRLEY | MORNINGSTAR ADVISOR FEE             | 0.00                 | 173.75              | 0.00               | 173.75            | 0.5  | 0.87                 |
|   |                                | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-00FB - SPORRER, JERALD  | MORNINGSTAR ADVISOR FEE             | 0.00                 | 207.51              | 0.00               | 207.51            | 0.5  | 1.04                 |
|   |                                | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-92FB - SAUDER FAMILY,   | MORNINGSTAR ADVISOR FEE             | 0.00                 | 218.99              | 0.00               | 218.99            | 0.5  | 1.09                 |
|   |                                | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-0737 - SCHROEDER, JACK  | MORNINGSTAR ADVISOR FEE             | 0.00                 | 349.96              | 0.00               | 349.96            | 0.5  | 1.75                 |
|   |                                | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-37FB - SCHROEDER, JACK  | MORNINGSTAR ADVISOR FEE             | 0.00                 | 692.96              | 0.00               | 692.96            | 0.5  | 3.46                 |
|   |                                | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-60IN - HUNGERFORD,      | NATIONWIDE YOURLIFE PROTECTION VUL  | 150.00               | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: N550070100          | BUY 1 Units @150.0000               |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-60IN - HUNGERFORD,      | NATIONWIDE YOURLIFE PROTECTION VUL  | 150.00               | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: N550070100          | BUY 1 Units @150.0000               |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-819I - COVEY, C         | VALUE FUND A                        | 0.00                 | 41.92               | 0.00               | 41.92             | 0.5  | 0.21                 |
|   | ACCOUNT #: 00500445410         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
|   |                                | <b>* BERT GOLDBERG SUBTOTAL *</b>   | <b>\$300.00</b>      | <b>\$1,901.36</b>   | <b>\$0.00</b>      | <b>\$1,901.36</b> |      | <b>\$9.50</b>        |





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BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

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| DATE  | CLIENT                       | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                              |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: LINDA BLACK</u></b>                 |                              |                                     |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-305P - STEWART, DAVID | AMERICAN BALANCED FUND-529A         | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085597268       | BUY 2 Units @28.8600                |                      |                     |                    |                   |      |                      |
| 01/05/2018  | ***-**-295P - PHILLIPS,      | AMERICAN FUNDS 02630R732            | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088393885       | BUY 3 Units @19.7000                |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-305P - STEWART, DAVID | AMERICAN MUTUAL FUND-529A           | 25.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085597268       | BUY 1 Units @43.4700                |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-888I - MCAULIFFE,     | CAPITAL APPRECIATION A              | 0.00                 | 4.42                | 0.00               | 4.42              | 0.5  | 0.02                 |
|   | ACCOUNT #: 03211627451       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-305P - STEWART, DAVID | CAPITAL WORLD GROWTH AND INCOME-529 | 25.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085597268       | BUY 0 Units @54.6500                |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-888I - MCAULIFFE,     | EQUITY INCOME FUND, INC. A          | 0.00                 | 4.28                | 0.00               | 4.28              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08353017278       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-888I - MCAULIFFE,     | GLOBAL FUND A                       | 0.00                 | 3.53                | 0.00               | 3.53              | 0.5  | 0.02                 |
|   | ACCOUNT #: 03307543285       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-888I - MCAULIFFE,     | INTERNATIONAL SMALL COMPANY A       | 0.00                 | 2.44                | 0.00               | 2.44              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08152132614       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/12/2018  | ***-**-805K - EROC BUILDERS  | MASS MUTUAL VA                      | 0.00                 | 16.76               | 0.00               | 16.76             | 0.5  | 0.08                 |
|   | ACCOUNT #: 820111            | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/12/2018  | ***-**-94SP - LOUDOUN        | MASS MUTUAL VA                      | 0.00                 | 207.51              | 0.00               | 207.51            | 0.5  | 1.04                 |
|   | ACCOUNT #: 825176            | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/12/2018  | ***-**-94SP - LOUDOUN        | MASS MUTUAL VA                      | 0.00                 | 4.65                | 0.00               | 4.65              | 0.5  | 0.02                 |
|   | ACCOUNT #: 825176            | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/12/2018  | ***-**-1204 - DEHAVEN        | MASS MUTUAL VA                      | 0.00                 | 38.01               | 0.00               | 38.01             | 0.5  | 0.19                 |
|   | ACCOUNT #: 831107            | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/12/2018  | ***-**-2779 - WALKING WET    | MASS MUTUAL VA                      | 0.00                 | 74.78               | 0.00               | 74.78             | 0.5  | 0.37                 |
|   | ACCOUNT #: MM833141          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-80FB - SHELL, RANDALL | MORNINGSTAR ADVISOR FEE             | 0.00                 | 198.87              | 0.00               | 198.87            | 0.5  | 0.99                 |
|   |                              | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-185P - QUINN, RENEE   | NEW YORK 529 TRAILS                 | 0.00                 | 13.33               | 0.00               | 13.33             | 0.5  | 0.07                 |
|   | ACCOUNT #: 77228874501       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-888I - MCAULIFFE,     | OPPENHEIMER MAIN STREET SMALL CAP F | 0.00                 | 2.14                | 0.00               | 2.14              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08477448342       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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| DATE  | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: LINDA BLACK (continued)</u></b>     |  |   |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-888I - MCAULIFFE,<br>ACCOUNT #: 02203498242       | OPPENHEIMER U.S. GOVT TR CLASS A<br>BUY 0 Units @0.0000 | 0.00                 | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-888I - MCAULIFFE,<br>ACCOUNT #: 05901163514       | REAL ESTATE FUND A<br>BUY 0 Units @0.0000               | 0.00                 | 3.18                | 0.00               | 3.18              | 0.5  | 0.02                 |
| 01/02/2018  | ***-**-305P - STEWART, DAVID<br>ACCOUNT #: 00085597268   | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @59.1100        | 25.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
| * LINDA BLACK SUBTOTAL *                          |  |   | \$175.00             | \$584.65            | \$0.00             | \$584.65          |      | \$2.92               |
| <b><u>BROKER: MICHAEL MINTER</u></b>              |  |   |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-0120 - GOLEMBIEWSKI,                              | JACKSON PERSPECTIVE II<br>BUY 1 Units @421638.210       | 421,638.21           | 21,081.91           | 0.00               | 21,081.91         | 0.5  | 105.41               |
| * MICHAEL MINTER SUBTOTAL *                       |  |   | \$421,638.21         | \$21,081.91         | \$0.00             | \$21,081.91       |      | \$105.41             |
| <b><u>BROKER: JOSEPH FERRY</u></b>                |  |   |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-065P - LEE, DANA<br>ACCOUNT #: 00064518010        | AMERICAN BALANCED FUND-A<br>BUY 5 Units @28.6800        | 150.01               | 6.38                | 0.00               | 6.38              | 0.5  | 0.03                 |
| 01/04/2018  | ***-**-228I - FAULKNER,<br>ACCOUNT #: 00081805988        | AMERICAN BALANCED FUND-A<br>BUY 11 Units @27.9700       | 298.08               | 4.77                | 0.00               | 4.77              | 0.5  | 0.02                 |
| 01/04/2018  | ***-**-228I - FAULKNER,<br>ACCOUNT #: 00081805988        | AMERICAN BALANCED FUND-A<br>BUY 11 Units @27.9700       | 298.08               | 4.77                | 0.00               | 4.77              | 0.5  | 0.02                 |
| 01/04/2018  | ***-**-689I - FAULKNER, SANDRA<br>ACCOUNT #: 00081806027 | AMERICAN BALANCED FUND-A<br>BUY 11 Units @27.9700       | 298.08               | 4.77                | 0.00               | 4.77              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-367I - RAMADANOVIC,<br>ACCOUNT #: 03208406090     | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000           | 0.00                 | 2.44                | 0.00               | 2.44              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-139I - STRATTON, RANIE<br>ACCOUNT #: 03209301380  | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000           | 0.00                 | 108.75              | 0.00               | 108.75            | 0.5  | 0.54                 |
| 12/31/2017  | ***-**-833I - REYNOLDS, THOMAS<br>ACCOUNT #: 03210241880 | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000           | 0.00                 | 21.43               | 0.00               | 21.43             | 0.5  | 0.11                 |
| 12/31/2017  | ***-**-966I - MASCARO, HOLLY<br>ACCOUNT #: 03210276288   | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000           | 0.00                 | 5.33                | 0.00               | 5.33              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-2332 - DROZDENKO, ROBIN<br>ACCOUNT #: 03210716981 | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000           | 0.00                 | 3.81                | 0.00               | 3.81              | 0.5  | 0.02                 |



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|--|--------------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |                                |                               |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JOSEPH FERRY (continued)</u></b> |                                |                               |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-395P - STRATTON, RANIE  | CAPITAL APPRECIATION B        | 0.00                 | 9.55                | 0.00               | 9.55              | 0.5  | 0.05                 |
|  | ACCOUNT #: 03214082309         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-6833 - REYNOLDS, THOMAS | CAPITAL APPRECIATION B        | 0.00                 | 1.97                | 0.00               | 1.97              | 0.5  | 0.01                 |
|  | ACCOUNT #: 03214901567         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-32SI - GAUDIOSI, JANE   | CAPITAL APPRECIATION C        | 0.00                 | 63.67               | 0.00               | 63.67             | 0.5  | 0.32                 |
|  | ACCOUNT #: 03222239534         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-211I - POLLOCK, LINDA   | CAPITAL INCOME A              | 0.00                 | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
|  | ACCOUNT #: 03008419994         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-632I - GAUDIOSI, JANE   | CORE BOND FND C               | 0.00                 | 77.20               | 0.00               | 77.20             | 0.5  | 0.39                 |
|  | ACCOUNT #: 02870589061         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-4523 - SCHIBI, FRANK    | DISCOVERY FUND B              | 0.00                 | 3.34                | 0.00               | 3.34              | 0.5  | 0.02                 |
|  | ACCOUNT #: 07460253627         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-833I - REYNOLDS, THOMAS | GLOBAL FUND A                 | 0.00                 | 22.07               | 0.00               | 22.07             | 0.5  | 0.11                 |
|  | ACCOUNT #: 03306082694         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-211I - POLLOCK, LINDA   | GLOBAL FUND A                 | 0.00                 | 15.34               | 0.00               | 15.34             | 0.5  | 0.08                 |
|  | ACCOUNT #: 03306082705         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-966I - MASCARO, HOLLY   | GLOBAL FUND A                 | 0.00                 | 5.55                | 0.00               | 5.55              | 0.5  | 0.03                 |
|  | ACCOUNT #: 03306082716         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-2332 - DROZDENKO, ROBIN | GLOBAL FUND A                 | 0.00                 | 2.54                | 0.00               | 2.54              | 0.5  | 0.01                 |
|  | ACCOUNT #: 03306541526         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-6741 - TRAN, JOSEPH     | GLOBAL FUND A                 | 0.00                 | 1.43                | 0.00               | 1.43              | 0.5  | 0.01                 |
|  | ACCOUNT #: 03306572557         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-6833 - REYNOLDS, THOMAS | GLOBAL FUND B                 | 0.00                 | 2.05                | 0.00               | 2.05              | 0.5  | 0.01                 |
|  | ACCOUNT #: 03315466362         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-523I - SCHIBI, FRANK    | GLOBAL OPPORTUNITIES A        | 0.00                 | 42.65               | 0.00               | 42.65             | 0.5  | 0.21                 |
|  | ACCOUNT #: 02156130773         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-2332 - DROZDENKO, ROBIN | GLOBAL OPPORTUNITIES A        | 0.00                 | 3.47                | 0.00               | 3.47              | 0.5  | 0.02                 |
|  | ACCOUNT #: 02156318323         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-4523 - SCHIBI, FRANK    | GLOBAL OPPORTUNITIES B        | 0.00                 | 3.99                | 0.00               | 3.99              | 0.5  | 0.02                 |
|  | ACCOUNT #: 02160420772         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                     | ***-**-2332 - DROZDENKO, ROBIN | INTERNATIONAL SMALL COMPANY A | 0.00                 | 1.68                | 0.00               | 1.68              | 0.5  | 0.01                 |
|  | ACCOUNT #: 08151787555         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |



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|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JOSEPH FERRY (continued)</u></b>    |   |  |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-32SI - GAUDIOSI, JANE<br>ACCOUNT #: 08571249215  | LIMITED-TERM GOVERNMENT FUND C<br>BUY 0 Units @0.0000  | 0.00                 | 75.50               | 0.00               | 75.50             | 0.5  | 0.38                 |
| 12/31/2017  | ***-**-367I - RAMADANOVIC,<br>ACCOUNT #: 04205702378    | MAIN STREET FUND A<br>BUY 0 Units @0.0000              | 0.00                 | 1.37                | 0.00               | 1.37              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-019I - CALVANEZI,<br>ACCOUNT #: 07002459680      | MAIN STREET FUND A<br>BUY 0 Units @0.0000              | 0.00                 | 54.37               | 0.00               | 54.37             | 0.5  | 0.27                 |
| 12/31/2017  | ***-**-245P - DUMAINE, ROBERT<br>ACCOUNT #: 07003593678 | MAIN STREET FUND A<br>BUY 0 Units @0.0000              | 0.00                 | 3.46                | 0.00               | 3.46              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-674I - TRAN, JOSEPH<br>ACCOUNT #: 07004976909    | MAIN STREET FUND A<br>BUY 0 Units @0.0000              | 0.00                 | 1.61                | 0.00               | 1.61              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-9019 - CALVANEZI,<br>ACCOUNT #: 07012659486      | MAIN STREET FUND B<br>BUY 0 Units @0.0000              | 0.00                 | 2.52                | 0.00               | 2.52              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-632I - GAUDIOSI, JANE<br>ACCOUNT #: 07024390705  | MAIN STREET FUND C<br>BUY 0 Units @0.0000              | 0.00                 | 156.01              | 0.00               | 156.01            | 0.5  | 0.78                 |
| 12/31/2017  | ***-**-615I - WANIK, MICHAEL<br>ACCOUNT #: 05502613501  | OPP PORT SERIES: ACTIVE ALLOC A<br>BUY 0 Units @0.0000 | 0.00                 | 14.30               | 0.00               | 14.30             | 0.5  | 0.07                 |
| 12/31/2017  | ***-**-309I - GROODY, ASHLEY<br>ACCOUNT #: 05502887731  | OPP PORT SERIES: ACTIVE ALLOC A<br>BUY 0 Units @0.0000 | 0.00                 | 3.51                | 0.00               | 3.51              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-378I - SZYMANSKI,<br>ACCOUNT #: 05451083929      | OPP PORT SERIES: MOD INV FD A<br>BUY 0 Units @0.0000   | 0.00                 | 6.77                | 0.00               | 6.77              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-469I - DAPONTE, ELVC<br>ACCOUNT #: 05451083940   | OPP PORT SERIES: MOD INV FD A<br>BUY 0 Units @0.0000   | 0.00                 | 1.73                | 0.00               | 1.73              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-378I - SZYMANSKI,<br>ACCOUNT #: 04730033374      | OPP PORT SERIES: MOD INV FD C<br>BUY 0 Units @0.0000   | 0.00                 | 3.25                | 0.00               | 3.25              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-139I - STRATTON, RANIE<br>ACCOUNT #: 02851711479 | OPPENHEIMER CORE BOND FUND A<br>BUY 0 Units @0.0000    | 0.00                 | 20.17               | 0.00               | 20.17             | 0.5  | 0.10                 |
| 12/31/2017  | ***-**-395P - STRATTON, RANIE<br>ACCOUNT #: 02860398002 | OPPENHEIMER CORE BOND FUND B<br>BUY 0 Units @0.0000    | 0.00                 | 1.80                | 0.00               | 1.80              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-523I - SCHIBI, FRANK<br>ACCOUNT #: 05005268758   | OPPENHEIMER DISCOVERY CLASS A<br>BUY 0 Units @0.0000   | 0.00                 | 36.72               | 0.00               | 36.72             | 0.5  | 0.18                 |
| 12/31/2017  | ***-**-367I - RAMADANOVIC,<br>ACCOUNT #: 07453505403    | OPPENHEIMER DISCOVERY CLASS A<br>BUY 0 Units @0.0000   | 0.00                 | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: JOSEPH FERRY (continued) </u></b>  |  |  |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-32SI - GAUDIOSI, JANE<br>ACCOUNT #: 03322789446   | OPPENHEIMER GLOBAL CLASS C<br>BUY 0 Units @0.0000          | 0.00                 | 68.80               | 0.00               | 68.80             | 0.5  | 0.34                 |
| 12/31/2017  | ***-**-211I - POLLOCK, LINDA<br>ACCOUNT #: 08476614080   | OPPENHEIMER MAIN STREET SMALL CAP F<br>BUY 0 Units @0.0000 | 0.00                 | 6.21                | 0.00               | 6.21              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-2332 - DROZDENKO, ROBIN<br>ACCOUNT #: 08476873108 | OPPENHEIMER MAIN STREET SMALL CAP F<br>BUY 0 Units @0.0000 | 0.00                 | 2.65                | 0.00               | 2.65              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-32SI - GAUDIOSI, JANE<br>ACCOUNT #: 02270965107   | OPPENHEIMER RISING DIVIDENDS FUND C<br>BUY 0 Units @0.0000 | 0.00                 | 89.55               | 0.00               | 89.55             | 0.5  | 0.45                 |
| 12/31/2017  | ***-**-211I - POLLOCK, LINDA<br>ACCOUNT #: 01903469444   | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000  | 0.00                 | 5.79                | 0.00               | 5.79              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-741I - TRAN, JOSEPH<br>ACCOUNT #: 02305255671     | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000  | 0.00                 | 1.77                | 0.00               | 1.77              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-2332 - DROZDENKO, ROBIN<br>ACCOUNT #: 02305493172 | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000  | 0.00                 | 1.34                | 0.00               | 1.34              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-615I - WANIK, MICHAEL<br>ACCOUNT #: 07170001177   | PORTFOLIO SERIES: ACTIVE ALLOCATION<br>BUY 0 Units @0.0000 | 0.00                 | 2.88                | 0.00               | 2.88              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-309I - GROODY, ASHLEY<br>ACCOUNT #: 08690004807   | PORTFOLIO SERIES: ACTIVE ALLOCATION<br>BUY 0 Units @0.0000 | 0.00                 | 2.90                | 0.00               | 2.90              | 0.5  | 0.01                 |
| 01/15/2018  | ***-**-7174 - COCCHIOLA, INC<br>ACCOUNT #: 461859        | PRINCIPAL VA TRAILS<br>BUY 1 Units @0.0000                 | 0.00                 | 1,055.27            | 0.00               | 1,055.27          | 0.5  | 5.28                 |
| 01/15/2018  | ***-**-94CL - FERRY, CLIENTS<br>ACCOUNT #: 715169        | PRINCIPAL VA TRAILS<br>BUY 1 Units @0.0000                 | 0.00                 | 1,005.92            | 0.00               | 1,005.92          | 0.5  | 5.03                 |
| 01/15/2018  | ***-**-94CL - FERRY, CLIENTS<br>ACCOUNT #: 715169        | PRINCIPAL VA TRAILS<br>BUY 1 Units @0.0000                 | 0.00                 | 2,011.72            | 0.00               | 2,011.72          | 0.5  | 10.06                |
| 12/31/2017  | ***-**-833I - REYNOLDS, THOMAS<br>ACCOUNT #: 02577013424 | QUEST BALANCED A<br>BUY 0 Units @0.0000                    | 0.00                 | 20.74               | 0.00               | 20.74             | 0.5  | 0.10                 |
| 12/31/2017  | ***-**-966I - MASCARO, HOLLY<br>ACCOUNT #: 02577013435   | QUEST BALANCED A<br>BUY 0 Units @0.0000                    | 0.00                 | 5.19                | 0.00               | 5.19              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-6833 - REYNOLDS, THOMAS<br>ACCOUNT #: 02584956182 | QUEST BALANCED B<br>BUY 0 Units @0.0000                    | 0.00                 | 1.98                | 0.00               | 1.98              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-2332 - DROZDENKO, ROBIN<br>ACCOUNT #: 02541058596 | QUEST INTERNATIONAL VALUE FUND, INC<br>BUY 0 Units @0.0000 | 0.00                 | 1.81                | 0.00               | 1.81              | 0.5  | 0.01                 |



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# COMMISSION STATEMENT

## January 15, 2018

HOME OFFICE PASCALE

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

, NY

| DATE  | CLIENT   | INVESTMENT                                    | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ALEX GEORGIEV (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-818I - WESTERFELD,<br>ACCOUNT #: 02703640714      | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 1.70                | 0.00               | 1.70              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02703652781  | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 15.15               | 0.00               | 15.15             | 0.5  | 0.08                 |
| 12/31/2017  | ***-**-9415 - CUNLIFFE,<br>ACCOUNT #: 02703753860        | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 7.27                | 0.00               | 7.27              | 0.5  | 0.04                 |
| 12/31/2017  | ***-**-9103 - MASON, EDWARD<br>ACCOUNT #: 02703753926    | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 3.67                | 0.00               | 3.67              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-6478 - RUFF, KENNETH<br>ACCOUNT #: 02703753937    | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 6.68                | 0.00               | 6.68              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02704884363  | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 5.70                | 0.00               | 5.70              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-9336 - GULICK, JAY<br>ACCOUNT #: 02705743485      | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 6.29                | 0.00               | 6.29              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-7045 - KATUSKA, EDWARD<br>ACCOUNT #: 02705945962  | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 1.56                | 0.00               | 1.56              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-56IN - SHIELDS-FUSILLI,<br>ACCOUNT #: 02706103493 | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 19.24               | 0.00               | 19.24             | 0.5  | 0.10                 |
| 12/31/2017  | ***-**-2918 - GALANEK, CHARLES<br>ACCOUNT #: 02706184541 | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 9.27                | 0.00               | 9.27              | 0.5  | 0.05                 |
| 12/31/2017  | ***-**-285P - MARX, ANGELA A<br>ACCOUNT #: 03200681241   | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 1.54                | 0.00               | 1.54              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-3085 - CUTIA, DEEPEN<br>ACCOUNT #: 03201498013    | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 2.72                | 0.00               | 2.72              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-691I - DRUMM, MARK<br>ACCOUNT #: 03203856160      | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 3.67                | 0.00               | 3.67              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-612I - MIKOS, GREGORY<br>ACCOUNT #: 03204876135   | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 4.36                | 0.00               | 4.36              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-5301 - LIAFSHA, HEATHER<br>ACCOUNT #: 03205695228 | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 4.94                | 0.00               | 4.94              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-16IN - MCCUNE, MICHAEL<br>ACCOUNT #: 03205835841  | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 7.52                | 0.00               | 7.52              | 0.5  | 0.04                 |



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| DATE  | CLIENT   | INVESTMENT                                    | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |   |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-950I - BEVACQUA,<br>ACCOUNT #: 03205971020        | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 8.95                | 0.00               | 8.95              | 0.5  | 0.04                 |
| 12/31/2017  | ***-**-65CL - LIFEMARK,<br>ACCOUNT #: 03206200370        | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 4.15                | 0.00               | 4.15              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 03206311800  | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 7.85                | 0.00               | 7.85              | 0.5  | 0.04                 |
| 12/31/2017  | ***-**-198I - CHAPADOS, JANIS<br>ACCOUNT #: 03206639479  | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 9.18                | 0.00               | 9.18              | 0.5  | 0.05                 |
| 12/31/2017  | ***-**-533I - CHAPADOS, JOSEPH<br>ACCOUNT #: 03206639501 | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 28.42               | 0.00               | 28.42             | 0.5  | 0.14                 |
| 12/31/2017  | ***-**-845J - MANJULA, FNU<br>ACCOUNT #: 03206748181     | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 6.01                | 0.00               | 6.01              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-294I - FETTERMAN,<br>ACCOUNT #: 03207706391       | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 2.43                | 0.00               | 2.43              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-05IN - FRIDLEY,<br>ACCOUNT #: 03211817190         | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 2.02                | 0.00               | 2.02              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-65IR - CARROLL, DONNA<br>ACCOUNT #: 07650635305   | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 2.31                | 0.00               | 2.31              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 07650698654  | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 12.45               | 0.00               | 12.45             | 0.5  | 0.06                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 08850037829  | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 15.91               | 0.00               | 15.91             | 0.5  | 0.08                 |
| 12/31/2017  | ***-**-642T - JURAK, DANIEL<br>ACCOUNT #: 08850436700    | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 14.95               | 0.00               | 14.95             | 0.5  | 0.07                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 08850873147  | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 12.02               | 0.00               | 12.02             | 0.5  | 0.06                 |
| 12/31/2017  | ***-**-6593 - GREGORICH, JOHN<br>ACCOUNT #: 08850889900  | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 4.07                | 0.00               | 4.07              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-89IN - MCCUNE, FRANK<br>ACCOUNT #: 08850993564    | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 11.43               | 0.00               | 11.43             | 0.5  | 0.06                 |
| 12/31/2017  | ***-**-03IN - IADIANO, EDNA<br>ACCOUNT #: 03211107536    | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000 | 0.00                 | 14.43               | 0.00               | 14.43             | 0.5  | 0.07                 |





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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ALEX GEORGIEV (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0535 - NAVARRO, THOMAS  | CAPITAL APPRECIATION A              | 0.00                 | 29.32               | 0.00               | 29.32             | 0.5  | 0.15                 |
|   | ACCOUNT #: 03200658185         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-9336 - GULICK, JAY      | CAPITAL APPRECIATION B              | 0.00                 | 2.02                | 0.00               | 2.02              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02711050324         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-6593 - GREGORICH, JOHN  | CAPITAL APPRECIATION B              | 0.00                 | 1.11                | 0.00               | 1.11              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08860048048         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS  | CAPITAL APPRECIATION C              | 0.00                 | 12.05               | 0.00               | 12.05             | 0.5  | 0.06                 |
|   | ACCOUNT #: 03221105962         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-745I - RIENZO, BETTY    | CAPITAL APPRECIATION FUND N         | 0.00                 | 6.59                | 0.00               | 6.59              | 0.5  | 0.03                 |
|   | ACCOUNT #: 03230266761         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-741I - WESTERFELD,      | CAPITAL INCOME A                    | 0.00                 | 5.74                | 0.00               | 5.74              | 0.5  | 0.03                 |
|   | ACCOUNT #: 03004194960         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS  | CAPITAL INCOME A                    | 0.00                 | 7.35                | 0.00               | 7.35              | 0.5  | 0.04                 |
|   | ACCOUNT #: 03006615565         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0535 - NAVARRO, THOMAS  | CAPITAL INCOME A                    | 0.00                 | 8.19                | 0.00               | 8.19              | 0.5  | 0.04                 |
|   | ACCOUNT #: 03004747325         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-705P - SPAULDING, JOHN  | CAPITAL WORLD GROWTH AND INCOME FUN | 86.00                | 3.23                | 0.00               | 3.23              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00081781375         | BUY 2 Units @54.1300                |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-705P - SPAULDING, JOHN  | CAPITAL WORLD GROWTH AND INCOME FUN | 144.55               | 5.42                | 0.00               | 5.42              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00081781375         | BUY 3 Units @54.1300                |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-618I - HULLS, JENNIFER  | CAPITAL WORLD GROWTH AND INCOME FUN | 239.75               | 8.99                | 0.00               | 8.99              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00083732568         | BUY 4 Units @54.1300                |                      |                     |                    |                   |      |                      |
| 01/03/2018  | ***-**-452I - KELLNER, MICHAEL | CAPITAL WORLD GROWTH AND INCOME FUN | 50.00                | 2.13                | 0.00               | 2.13              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00062550448         | BUY 1 Units @54.6700                |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-745I - RIENZO, BETTY    | CORE BOND FUND N                    | 0.00                 | 8.66                | 0.00               | 8.66              | 0.5  | 0.04                 |
|   | ACCOUNT #: 02880112541         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-3932 - GREGORICH,       | DISCOVERY FUND B                    | 0.00                 | 3.03                | 0.00               | 3.03              | 0.5  | 0.02                 |
|   | ACCOUNT #: 05011035155         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-6593 - GREGORICH, JOHN  | EQUITY INCOME FUND, INC. A          | 0.00                 | 3.48                | 0.00               | 3.48              | 0.5  | 0.02                 |
|   | ACCOUNT #: 02050148599         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-686I - FARRINGTON,      | EQUITY INCOME FUND, INC. A          | 0.00                 | 20.84               | 0.00               | 20.84             | 0.5  | 0.10                 |
|   | ACCOUNT #: 02401489246         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-05IN - FRIDLEY,<br>ACCOUNT #: 08353154723         | EQUITY INCOME FUND, INC. A<br>BUY 0 Units @0.0000 | 0.00                 | 6.50                | 0.00               | 6.50              | 0.5  | 0.03                 |
| 12/31/2017                                      | ***-**-86IN - FARRINGTON,<br>ACCOUNT #: 02410233420      | EQUITY INCOME FUND, INC. B<br>BUY 0 Units @0.0000 | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
| 01/02/2018                                      | ***-**-618I - HULLS, JENNIFER<br>ACCOUNT #: 00083732568  | EUROPACIFIC GROWTH FUND-A<br>BUY 4 Units @59.6300 | 239.75               | 8.99                | 0.00               | 8.99              | 0.5  | 0.04                 |
| 01/02/2018                                      | ***-**-618I - HULLS, JENNIFER<br>ACCOUNT #: 00083732568  | FUNDAMENTAL INVESTORS-A<br>BUY 4 Units @65.7800   | 239.75               | 8.99                | 0.00               | 8.99              | 0.5  | 0.04                 |
| 12/31/2017                                      | ***-**-2580 - SIERRA, JANE<br>ACCOUNT #: 03300119726     | GLOBAL FUND A<br>BUY 0 Units @0.0000              | 0.00                 | 67.81               | 0.00               | 67.81             | 0.5  | 0.34                 |
| 12/31/2017                                      | ***-**-526J - MCCUNE,<br>ACCOUNT #: 03302856601          | GLOBAL FUND A<br>BUY 0 Units @0.0000              | 0.00                 | 9.31                | 0.00               | 9.31              | 0.5  | 0.05                 |
| 12/31/2017                                      | ***-**-850I - WEBB, SERENE<br>ACCOUNT #: 03303747029     | GLOBAL FUND A<br>BUY 0 Units @0.0000              | 0.00                 | 8.50                | 0.00               | 8.50              | 0.5  | 0.04                 |
| 12/31/2017                                      | ***-**-815I - BAILEY, PENN<br>ACCOUNT #: 03304311980     | GLOBAL FUND A<br>BUY 0 Units @0.0000              | 0.00                 | 2.98                | 0.00               | 2.98              | 0.5  | 0.01                 |
| 12/31/2017                                      | ***-**-349I - HADSOCK, DEBORAH<br>ACCOUNT #: 03305030929 | GLOBAL FUND A<br>BUY 0 Units @0.0000              | 0.00                 | 17.80               | 0.00               | 17.80             | 0.5  | 0.09                 |
| 12/31/2017                                      | ***-**-159I - KRALE, SUZANNE<br>ACCOUNT #: 03305494709   | GLOBAL FUND A<br>BUY 0 Units @0.0000              | 0.00                 | 34.67               | 0.00               | 34.67             | 0.5  | 0.17                 |
| 12/31/2017                                      | ***-**-375I - HILL, BRIAN<br>ACCOUNT #: 03306254050      | GLOBAL FUND A<br>BUY 0 Units @0.0000              | 0.00                 | 7.72                | 0.00               | 7.72              | 0.5  | 0.04                 |
| 12/31/2017                                      | ***-**-54IR - WEBB, MAX<br>ACCOUNT #: 03307685348        | GLOBAL FUND A<br>BUY 0 Units @0.0000              | 0.00                 | 5.11                | 0.00               | 5.11              | 0.5  | 0.03                 |
| 12/31/2017                                      | ***-**-3932 - GREGORICH,<br>ACCOUNT #: 03307803710       | GLOBAL FUND A<br>BUY 0 Units @0.0000              | 0.00                 | 8.32                | 0.00               | 8.32              | 0.5  | 0.04                 |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 07500778635  | GLOBAL FUND A<br>BUY 0 Units @0.0000              | 0.00                 | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
| 12/31/2017                                      | ***-**-0535 - NAVARRO, THOMAS<br>ACCOUNT #: 03309454874  | GLOBAL FUND A<br>BUY 0 Units @0.0000              | 0.00                 | 57.32               | 0.00               | 57.32             | 0.5  | 0.29                 |
| 12/31/2017                                      | ***-**-2580 - SIERRA, JANE<br>ACCOUNT #: 03311527757     | GLOBAL FUND B<br>BUY 0 Units @0.0000              | 0.00                 | 2.15                | 0.00               | 2.15              | 0.5  | 0.01                 |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-3932 - GREGORICH,<br>ACCOUNT #: 03315868511       | GLOBAL FUND B<br>BUY 0 Units @0.0000          | 0.00                 | 2.95                | 0.00               | 2.95              | 0.5  | 0.01                 |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02150200189  | GLOBAL OPPORTUNITIES A<br>BUY 0 Units @0.0000 | 0.00                 | 110.30              | 0.00               | 110.30            | 0.5  | 0.55                 |
| 12/31/2017                                      | ***-**-521I - MCCUNE, ELAINE<br>ACCOUNT #: 02150223234   | GLOBAL OPPORTUNITIES A<br>BUY 0 Units @0.0000 | 0.00                 | 35.97               | 0.00               | 35.97             | 0.5  | 0.18                 |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02150248105  | GLOBAL OPPORTUNITIES A<br>BUY 0 Units @0.0000 | 0.00                 | 57.73               | 0.00               | 57.73             | 0.5  | 0.29                 |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02150311135  | GLOBAL OPPORTUNITIES A<br>BUY 0 Units @0.0000 | 0.00                 | 11.84               | 0.00               | 11.84             | 0.5  | 0.06                 |
| 12/31/2017                                      | ***-**-21IN - MCCUNE, ELAINE<br>ACCOUNT #: 02150352187   | GLOBAL OPPORTUNITIES A<br>BUY 0 Units @0.0000 | 0.00                 | 14.05               | 0.00               | 14.05             | 0.5  | 0.07                 |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02150376783  | GLOBAL OPPORTUNITIES A<br>BUY 0 Units @0.0000 | 0.00                 | 69.94               | 0.00               | 69.94             | 0.5  | 0.35                 |
| 12/31/2017                                      | ***-**-41IN - FELICETTI, MARY<br>ACCOUNT #: 02150590777  | GLOBAL OPPORTUNITIES A<br>BUY 0 Units @0.0000 | 0.00                 | 5.18                | 0.00               | 5.18              | 0.5  | 0.03                 |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02150881958  | GLOBAL OPPORTUNITIES A<br>BUY 0 Units @0.0000 | 0.00                 | 20.18               | 0.00               | 20.18             | 0.5  | 0.10                 |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02150988460  | GLOBAL OPPORTUNITIES A<br>BUY 0 Units @0.0000 | 0.00                 | 10.01               | 0.00               | 10.01             | 0.5  | 0.05                 |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02152165867  | GLOBAL OPPORTUNITIES A<br>BUY 0 Units @0.0000 | 0.00                 | 6.56                | 0.00               | 6.56              | 0.5  | 0.03                 |
| 12/31/2017                                      | ***-**-950I - BEVACQUA,<br>ACCOUNT #: 02153178769        | GLOBAL OPPORTUNITIES A<br>BUY 0 Units @0.0000 | 0.00                 | 14.84               | 0.00               | 14.84             | 0.5  | 0.07                 |
| 12/31/2017                                      | ***-**-198I - CHAPADOS, JANIS<br>ACCOUNT #: 02153515402  | GLOBAL OPPORTUNITIES A<br>BUY 0 Units @0.0000 | 0.00                 | 7.51                | 0.00               | 7.51              | 0.5  | 0.04                 |
| 12/31/2017                                      | ***-**-533I - CHAPADOS, JOSEPH<br>ACCOUNT #: 02153515424 | GLOBAL OPPORTUNITIES A<br>BUY 0 Units @0.0000 | 0.00                 | 51.23               | 0.00               | 51.23             | 0.5  | 0.26                 |
| 12/31/2017                                      | ***-**-294I - FETTERMAN,<br>ACCOUNT #: 02153746776       | GLOBAL OPPORTUNITIES A<br>BUY 0 Units @0.0000 | 0.00                 | 4.20                | 0.00               | 4.20              | 0.5  | 0.02                 |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02155316388  | GLOBAL OPPORTUNITIES A<br>BUY 0 Units @0.0000 | 0.00                 | 4.94                | 0.00               | 4.94              | 0.5  | 0.02                 |



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|---|--------------------------------|-----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                             |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ALEX GEORGIEV (continued) </u></b> |                                |                             |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-343I - MCCUNE, FRANCES  | GLOBAL OPPORTUNITIES A      | 0.00                 | 3.60                | 0.00               | 3.60              | 0.5  | 0.02                 |
|   | ACCOUNT #: 02155444835         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS  | GLOBAL OPPORTUNITIES A      | 0.00                 | 2.25                | 0.00               | 2.25              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02155472225         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS  | GLOBAL OPPORTUNITIES A      | 0.00                 | 5.95                | 0.00               | 5.95              | 0.5  | 0.03                 |
|   | ACCOUNT #: 02155472236         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-103I - WEEKS, JENNIFER  | GLOBAL OPPORTUNITIES A      | 0.00                 | 51.73               | 0.00               | 51.73             | 0.5  | 0.26                 |
|   | ACCOUNT #: 02155542900         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS  | GLOBAL OPPORTUNITIES FUND C | 0.00                 | 13.09               | 0.00               | 13.09             | 0.5  | 0.07                 |
|   | ACCOUNT #: 02170799051         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-745I - RIENZO, BETTY    | GLOBAL OPPORTUNITIES FUND N | 0.00                 | 5.35                | 0.00               | 5.35              | 0.5  | 0.03                 |
|   | ACCOUNT #: 02180155760         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-103I - WEEKS, JENNIFER  | GOLD & SPECIAL MINERALS A   | 0.00                 | 2.96                | 0.00               | 2.96              | 0.5  | 0.01                 |
|   | ACCOUNT #: 04102968746         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-950I - BEVACQUA,        | GOLD & SPECIAL MINERALS A   | 0.00                 | 2.17                | 0.00               | 2.17              | 0.5  | 0.01                 |
|   | ACCOUNT #: 04104032270         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-533I - CHAPADOS, JOSEPH | GOLD & SPECIAL MINERALS A   | 0.00                 | 9.28                | 0.00               | 9.28              | 0.5  | 0.05                 |
|   | ACCOUNT #: 04104032303         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-62IN - FARMER, BRUCE    | GOLD & SPECIAL MINERALS A   | 0.00                 | 24.69               | 0.00               | 24.69             | 0.5  | 0.12                 |
|   | ACCOUNT #: 04104165623         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 01/07/2018  | ***-**-285P - NOSCHESE, LOUIS  | ING VA 008148108            | 0.00                 | 34.06               | 0.00               | 34.06             | 0.5  | 0.17                 |
|   | ACCOUNT #: C035430-MN          | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 01/10/2018  | ***-**-9113 - THOMAS, FRANK    | ING VA 008148108            | 0.00                 | 34.25               | 0.00               | 34.25             | 0.5  | 0.17                 |
|   | ACCOUNT #: C031986-MN          | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 01/10/2018  | ***-**-33IN - LONG, DIANE      | ING VA 008148108            | 0.00                 | 40.85               | 0.00               | 40.85             | 0.5  | 0.20                 |
|   | ACCOUNT #: C033010-MN          | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-65CL - LIFEMARK,        | INTERNATIONAL BOND A        | 0.00                 | 3.49                | 0.00               | 3.49              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08801429406         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-21IN - MCCUNE, ELAINE   | INTERNATIONAL BOND A        | 0.00                 | 9.77                | 0.00               | 9.77              | 0.5  | 0.05                 |
|   | ACCOUNT #: 08806072539         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS  | INTERNATIONAL BOND A        | 0.00                 | 18.67               | 0.00               | 18.67             | 0.5  | 0.09                 |
|   | ACCOUNT #: 08808064496         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                               |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                               |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-198I - CHAPADOS, JANIS  | INTERNATIONAL BOND A          | 0.00                 | 8.75                | 0.00               | 8.75              | 0.5  | 0.04                 |
|   | ACCOUNT #: 08808064551         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-64IR - DRESPEL, PAUL    | INTERNATIONAL BOND A          | 0.00                 | 2.41                | 0.00               | 2.41              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08801070685         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-741I - WESTERFELD,      | INTERNATIONAL GROWTH FUND A   | 0.00                 | 6.82                | 0.00               | 6.82              | 0.5  | 0.03                 |
|   | ACCOUNT #: 08250068937         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-9415 - CUNLIFFE,        | INTERNATIONAL GROWTH FUND A   | 0.00                 | 8.56                | 0.00               | 8.56              | 0.5  | 0.04                 |
|   | ACCOUNT #: 08250240614         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-9103 - MASON, EDWARD    | INTERNATIONAL GROWTH FUND A   | 0.00                 | 3.38                | 0.00               | 3.38              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08250240636         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-6478 - RUFF, KENNETH    | INTERNATIONAL GROWTH FUND A   | 0.00                 | 7.84                | 0.00               | 7.84              | 0.5  | 0.04                 |
|   | ACCOUNT #: 08250240647         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-7275 - LENGYE, JOE      | INTERNATIONAL GROWTH FUND A   | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08251043416         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-612I - MIKOS, GREGORY   | INTERNATIONAL GROWTH FUND A   | 0.00                 | 3.15                | 0.00               | 3.15              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08251137785         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-7045 - KATUSKA, EDWARD  | INTERNATIONAL GROWTH FUND A   | 0.00                 | 2.43                | 0.00               | 2.43              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08251409815         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-294I - FETTERMAN,       | INTERNATIONAL GROWTH FUND A   | 0.00                 | 2.65                | 0.00               | 2.65              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08251611731         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-2940 - INGRAM           | INTERNATIONAL GROWTH FUND A   | 0.00                 | 2.39                | 0.00               | 2.39              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08258228363         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-3932 - GREGORICH,       | INTERNATIONAL GROWTH FUND A   | 0.00                 | 6.66                | 0.00               | 6.66              | 0.5  | 0.03                 |
|   | ACCOUNT #: 08259844879         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-3932 - GREGORICH,       | INTERNATIONAL GROWTH FUND B   | 0.00                 | 2.15                | 0.00               | 2.15              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08261322376         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-745I - RIENZO, BETTY    | INTERNATIONAL GROWTH FUND N   | 0.00                 | 4.96                | 0.00               | 4.96              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08280194931         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-8259 - TRIPP, STANLEY R | INTERNATIONAL SMALL COMPANY A | 0.00                 | 14.82               | 0.00               | 14.82             | 0.5  | 0.07                 |
|   | ACCOUNT #: 08150457380         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-16IN - MCCUNE, MICHAEL  | INTERNATIONAL SMALL COMPANY A | 0.00                 | 11.89               | 0.00               | 11.89             | 0.5  | 0.06                 |
|   | ACCOUNT #: 08150483747         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                               |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                               |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS  | INTERNATIONAL SMALL COMPANY A | 0.00                 | 12.00               | 0.00               | 12.00             | 0.5  | 0.06                 |
|   | ACCOUNT #: 08150509894         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS  | INTERNATIONAL SMALL COMPANY A | 0.00                 | 8.23                | 0.00               | 8.23              | 0.5  | 0.04                 |
|   | ACCOUNT #: 08150554158         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-03IN - IADIANO, EDNA    | INTERNATIONAL SMALL COMPANY A | 0.00                 | 7.89                | 0.00               | 7.89              | 0.5  | 0.04                 |
|   | ACCOUNT #: 08152294380         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-283I - ESPINOZA, EDWARD | LIMITED TERM GOVERNMENT A     | 0.00                 | 1.30                | 0.00               | 1.30              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08550881749         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS  | LIMITED TERM GOVERNMENT A     | 0.00                 | 5.40                | 0.00               | 5.40              | 0.5  | 0.03                 |
|   | ACCOUNT #: 08552305017         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-533I - CHAPADOS, JOSEPH | LIMITED TERM GOVERNMENT A     | 0.00                 | 34.56               | 0.00               | 34.56             | 0.5  | 0.17                 |
|   | ACCOUNT #: 08552392731         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-336I - GULICK, JAY      | LIMITED TERM GOVERNMENT A     | 0.00                 | 14.76               | 0.00               | 14.76             | 0.5  | 0.07                 |
|   | ACCOUNT #: 08553056284         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-521I - MCCUNE, ELAINE   | LIMITED TERM GOVERNMENT A     | 0.00                 | 23.29               | 0.00               | 23.29             | 0.5  | 0.12                 |
|   | ACCOUNT #: 08553114694         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS  | LIMITED TERM MUNICIPAL FUND A | 0.00                 | 5.33                | 0.00               | 5.33              | 0.5  | 0.03                 |
|   | ACCOUNT #: 08600298540         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-950I - BEVACQUA,        | LIMITED TERM MUNICIPAL FUND A | 0.00                 | 4.62                | 0.00               | 4.62              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08601215291         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-895I - WEINERMAN, JASON | MAIN STREET FUND A            | 0.00                 | 32.54               | 0.00               | 32.54             | 0.5  | 0.16                 |
|   | ACCOUNT #: 04202021448         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS  | MAIN STREET FUND A            | 0.00                 | 3.27                | 0.00               | 3.27              | 0.5  | 0.02                 |
|   | ACCOUNT #: 04202585627         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS  | MAIN STREET FUND A            | 0.00                 | 2.24                | 0.00               | 2.24              | 0.5  | 0.01                 |
|   | ACCOUNT #: 04203216004         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-283I - ESPINOZA, EDWARD | MAIN STREET FUND A            | 0.00                 | 7.90                | 0.00               | 7.90              | 0.5  | 0.04                 |
|   | ACCOUNT #: 04203593953         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-56IN - SHIELDS-FUSILLI, | MAIN STREET FUND A            | 0.00                 | 24.13               | 0.00               | 24.13             | 0.5  | 0.12                 |
|   | ACCOUNT #: 07000388435         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS  | MAIN STREET FUND A            | 0.00                 | 22.81               | 0.00               | 22.81             | 0.5  | 0.11                 |
|   | ACCOUNT #: 07000427729         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                     |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-850I - WEBB, SERENE     | MAIN STREET FUND A  | 0.00                 | 7.20                | 0.00               | 7.20              | 0.5  | 0.04                 |
|   | ACCOUNT #: 07000606705         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-375I - HILL, BRIAN      | MAIN STREET FUND A  | 0.00                 | 23.77               | 0.00               | 23.77             | 0.5  | 0.12                 |
|   | ACCOUNT #: 07000735086         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-2918 - GALANEK, CHARLES | MAIN STREET FUND A  | 0.00                 | 6.62                | 0.00               | 6.62              | 0.5  | 0.03                 |
|   | ACCOUNT #: 07000751149         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-901I - JEZAK, CYNTHIA   | MAIN STREET FUND A  | 0.00                 | 40.34               | 0.00               | 40.34             | 0.5  | 0.20                 |
|   | ACCOUNT #: 07000934323         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-27IR - LY, VAN          | MAIN STREET FUND A  | 0.00                 | 18.38               | 0.00               | 18.38             | 0.5  | 0.09                 |
|   | ACCOUNT #: 07001648111         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-815I - BAILEY, PENN     | MAIN STREET FUND A  | 0.00                 | 2.43                | 0.00               | 2.43              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07002661959         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-54IR - WEBB, MAX        | MAIN STREET FUND A  | 0.00                 | 7.51                | 0.00               | 7.51              | 0.5  | 0.04                 |
|   | ACCOUNT #: 07002743196         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-349I - HADSOCK, DEBORAH | MAIN STREET FUND A  | 0.00                 | 13.64               | 0.00               | 13.64             | 0.5  | 0.07                 |
|   | ACCOUNT #: 07003458249         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-415I - HUANG, XIANG     | MAIN STREET FUND A  | 0.00                 | 2.71                | 0.00               | 2.71              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07003720123         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-400I - KINCAID, TAMARA  | MAIN STREET FUND A  | 0.00                 | 5.02                | 0.00               | 5.02              | 0.5  | 0.03                 |
|   | ACCOUNT #: 07004060149         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-254I - MASON, LOUIS     | MAIN STREET FUND A  | 0.00                 | 8.50                | 0.00               | 8.50              | 0.5  | 0.04                 |
|   | ACCOUNT #: 07004725691         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-730I - KERILLA, STEPHEN | MAIN STREET FUND A  | 0.00                 | 11.43               | 0.00               | 11.43             | 0.5  | 0.06                 |
|   | ACCOUNT #: 07004725702         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-099I - MASON, CHARLES   | MAIN STREET FUND A  | 0.00                 | 8.50                | 0.00               | 8.50              | 0.5  | 0.04                 |
|   | ACCOUNT #: 07004725713         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-521I - MCCUNE, ELAINE   | MAIN STREET FUND A  | 0.00                 | 19.47               | 0.00               | 19.47             | 0.5  | 0.10                 |
|   | ACCOUNT #: 07005031095         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-21IN - MCCUNE, ELAINE   | MAIN STREET FUND A  | 0.00                 | 13.19               | 0.00               | 13.19             | 0.5  | 0.07                 |
|   | ACCOUNT #: 07005031106         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-950I - BEVACQUA,        | MAIN STREET FUND A  | 0.00                 | 8.54                | 0.00               | 8.54              | 0.5  | 0.04                 |
|   | ACCOUNT #: 07005394249         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                               |                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                               |                     |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-8999 - HANIFF, SHAWN   | MAIN STREET FUND A  | 0.00                 | 5.64                | 0.00               | 5.64              | 0.5  | 0.03                 |
|   | ACCOUNT #: 07005566363        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS | MAIN STREET FUND A  | 0.00                 | 6.95                | 0.00               | 6.95              | 0.5  | 0.03                 |
|   | ACCOUNT #: 07006110423        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-97IN - CHAPADOS, KEVIN | MAIN STREET FUND A  | 0.00                 | 5.85                | 0.00               | 5.85              | 0.5  | 0.03                 |
|   | ACCOUNT #: 07006110434        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-03CL - GEORGIEV,       | MAIN STREET FUND A  | 0.00                 | 11.58               | 0.00               | 11.58             | 0.5  | 0.06                 |
|   | ACCOUNT #: 07006256748        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-294I - FETTERMAN,      | MAIN STREET FUND A  | 0.00                 | 3.86                | 0.00               | 3.86              | 0.5  | 0.02                 |
|   | ACCOUNT #: 07006482866        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-283I - WEELE, PAUL A   | MAIN STREET FUND A  | 0.00                 | 5.33                | 0.00               | 5.33              | 0.5  | 0.03                 |
|   | ACCOUNT #: 07006489851        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-9415 - CUNLIFFE,       | MAIN STREET FUND A  | 0.00                 | 8.71                | 0.00               | 8.71              | 0.5  | 0.04                 |
|   | ACCOUNT #: 07006570597        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-9103 - MASON, EDWARD   | MAIN STREET FUND A  | 0.00                 | 3.50                | 0.00               | 3.50              | 0.5  | 0.02                 |
|   | ACCOUNT #: 07006570784        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-6478 - RUFF, KENNETH   | MAIN STREET FUND A  | 0.00                 | 7.98                | 0.00               | 7.98              | 0.5  | 0.04                 |
|   | ACCOUNT #: 07006570938        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-41IR - FELICETTI, MARY | MAIN STREET FUND A  | 0.00                 | 24.79               | 0.00               | 24.79             | 0.5  | 0.12                 |
|   | ACCOUNT #: 07007759851        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-159I - KRALE, SUZANNE  | MAIN STREET FUND A  | 0.00                 | 29.92               | 0.00               | 29.92             | 0.5  | 0.15                 |
|   | ACCOUNT #: 07007909418        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-9336 - GULICK, JAY     | MAIN STREET FUND A  | 0.00                 | 8.11                | 0.00               | 8.11              | 0.5  | 0.04                 |
|   | ACCOUNT #: 07008285425        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-42IN - JURAK, DANIEL   | MAIN STREET FUND A  | 0.00                 | 7.65                | 0.00               | 7.65              | 0.5  | 0.04                 |
|   | ACCOUNT #: 07008394683        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-7045 - KATUSKA, EDWARD | MAIN STREET FUND A  | 0.00                 | 2.17                | 0.00               | 2.17              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07009076567        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-71IE - LU, SHERRY      | MAIN STREET FUND A  | 0.00                 | 1.59                | 0.00               | 1.59              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07009236040        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-26IE - LU, JACQUELINE  | MAIN STREET FUND A  | 0.00                 | 1.59                | 0.00               | 1.59              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07009236062        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |





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|---|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ALEX GEORGIEV (continued) </u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-061E - LU, TENNYSON     | MAIN STREET FUND A                 | 0.00                 | 1.59                | 0.00               | 1.59              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07009236073         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-031N - IADIANO, EDNA    | MAIN STREET FUND A                 | 0.00                 | 74.86               | 0.00               | 74.86             | 0.5  | 0.37                 |
|   | ACCOUNT #: 07005288902         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-861N - HAWXHURST, DAVID | MAIN STREET FUND A                 | 0.00                 | 2.42                | 0.00               | 2.42              | 0.5  | 0.01                 |
|   | ACCOUNT #: 04203891591         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0535 - NAVARRO, THOMAS  | MAIN STREET FUND A                 | 0.00                 | 44.13               | 0.00               | 44.13             | 0.5  | 0.22                 |
|   | ACCOUNT #: 07001461856         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-9336 - GULICK, JAY      | MAIN STREET FUND B                 | 0.00                 | 2.58                | 0.00               | 2.58              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07019360010         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-691N - ROSENGRANT, MARY | MAIN STREET FUND C                 | 0.00                 | 37.80               | 0.00               | 37.80             | 0.5  | 0.19                 |
|   | ACCOUNT #: 07020223267         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-191I - HALLIN, MARY     | MAIN STREET FUND C                 | 0.00                 | 96.40               | 0.00               | 96.40             | 0.5  | 0.48                 |
|   | ACCOUNT #: 07020708488         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-783I - REARDON, PATRICK | MAIN STREET FUND C                 | 0.00                 | 1.30                | 0.00               | 1.30              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07020714296         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-821I - MUENZER, JAMES   | MAIN STREET FUND C                 | 0.00                 | 16.07               | 0.00               | 16.07             | 0.5  | 0.08                 |
|   | ACCOUNT #: 07020988669         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-04UG - PANTAPALANKOOR,  | MAIN STREET FUND C                 | 0.00                 | 15.58               | 0.00               | 15.58             | 0.5  | 0.08                 |
|   | ACCOUNT #: 07021004289         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-531N - WANG, MICHEL     | MAIN STREET FUND C                 | 0.00                 | 39.23               | 0.00               | 39.23             | 0.5  | 0.20                 |
|   | ACCOUNT #: 07021739122         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-6593 - GREGORICH, JOHN  | MAIN STREET OPPORTUNITY FUND B     | 0.00                 | 7.66                | 0.00               | 7.66              | 0.5  | 0.04                 |
|   | ACCOUNT #: 07321094280         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-0771 - YENDELL, HEATHER | MASS INVESTORS GROWTH STOCK FUND-B | 61.51                | 2.46                | 0.00               | 2.46              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08187246906         | BUY 3 Units @24.3900               |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-0771 - YENDELL, HEATHER | MASS INVESTORS GROWTH STOCK FUND-B | 60.99                | 2.44                | 0.00               | 2.44              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08187246906         | BUY 3 Units @24.3900               |                      |                     |                    |                   |      |                      |
| 01/08/2018  | ***-**-650I - CHMIELEWSKI,     | MASS MUTUAL CUSIP 57629P105-NFS    | 150.00               | 8.25                | 0.00               | 8.25              | 0.5  | 0.04                 |
|   | ACCOUNT #: ARN5466944EE        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 01/08/2018  | ***-**-451I - MCLAUGHLIN,      | MASS MUTUAL CUSIP 57629P105-NFS    | 500.00               | 27.50               | 0.00               | 27.50             | 0.5  | 0.14                 |
|   | ACCOUNT #: ARN5466953EE        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |   |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-8442 - CARINI, JANET<br>ACCOUNT #: 08187246938  | MASSACHUSETTS INVESTORS TRUST-B<br>BUY 9 Units @31.5100 | 280.50               | 11.22               | 0.00               | 11.22             | 0.5  | 0.06                 |
| 01/02/2018  | ***-**-8442 - CARINI, JANET<br>ACCOUNT #: 08187246938  | MASSACHUSETTS INVESTORS TRUST-B<br>BUY 2 Units @31.5100 | 64.73                | 2.59                | 0.00               | 2.59              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-6299 - HAHN, SARAH<br>ACCOUNT #: 08188517400    | MFS EMERGING GROWTH FUND-B<br>BUY 1 Units @73.9600      | 70.29                | 2.81                | 0.00               | 2.81              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-6299 - HAHN, SARAH<br>ACCOUNT #: 08188517400    | MFS EMERGING GROWTH FUND-B<br>BUY 1 Units @73.9600      | 75.83                | 3.03                | 0.00               | 3.03              | 0.5  | 0.02                 |
| 01/02/2018  | ***-**-3467 - CHRISTIAN,<br>ACCOUNT #: 08191183208     | MFS MID CAP VALUE FUND-A<br>BUY 5 Units @23.8100        | 107.31               | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-3467 - CHRISTIAN,<br>ACCOUNT #: 08191183208     | MFS MID CAP VALUE FUND-A<br>BUY 5 Units @23.8100        | 107.31               | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-8442 - CARINI, JANET<br>ACCOUNT #: 08187246942  | MFS RESEARCH FUND-B<br>BUY 7 Units @38.7000             | 280.50               | 11.22               | 0.00               | 11.22             | 0.5  | 0.06                 |
| 01/02/2018  | ***-**-8442 - CARINI, JANET<br>ACCOUNT #: 08187246942  | MFS RESEARCH FUND-B<br>BUY 2 Units @38.7000             | 64.73                | 2.59                | 0.00               | 2.59              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-3467 - CHRISTIAN,<br>ACCOUNT #: 08191183208     | MFS UTILITIES FUND-A<br>BUY 5 Units @20.6600            | 107.31               | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-3467 - CHRISTIAN,<br>ACCOUNT #: 08191183208     | MFS UTILITIES FUND-A<br>BUY 5 Units @20.6600            | 107.31               | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-8442 - CARINI, JANET<br>ACCOUNT #: 08189733101  | MFS UTILITIES FUND-B<br>BUY 3 Units @20.1500            | 66.70                | 2.67                | 0.00               | 2.67              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-8442 - CARINI, JANET<br>ACCOUNT #: 08189733101  | MFS UTILITIES FUND-B<br>BUY 14 Units @20.1500           | 289.00               | 11.56               | 0.00               | 11.56             | 0.5  | 0.06                 |
| 01/15/2018  | ***-**-2967 - SPEARS, GREGORY<br>ACCOUNT #: N100169170 | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000  | 0.00                 | 28.23               | 0.00               | 28.23             | 0.5  | 0.14                 |
| 01/15/2018  | ***-**-9219 - SPEARS, DENISE<br>ACCOUNT #: N100169180  | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000  | 0.00                 | 30.20               | 0.00               | 30.20             | 0.5  | 0.15                 |
| 01/15/2018  | ***-**-1381 - KAIDY, MARK<br>ACCOUNT #: N100194420     | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000  | 0.00                 | 7.18                | 0.00               | 7.18              | 0.5  | 0.04                 |
| 01/15/2018  | ***-**-2383 - GEE, KADEE<br>ACCOUNT #: N100226340      | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000  | 0.00                 | 5.75                | 0.00               | 5.75              | 0.5  | 0.03                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ALEX GEORGIEV (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-0352 - GEE, ERIC<br>ACCOUNT #: N100226350      | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 4.08                | 0.00               | 4.08              | 0.5  | 0.02                 |
| 01/15/2018  | ***-**-3841 - NAPOLITANO,<br>ACCOUNT #: N100290540    | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 199.54              | 0.00               | 199.54            | 0.5  | 1.00                 |
| 01/15/2018  | ***-**-4413 - GOLDBERG,<br>ACCOUNT #: N100339560      | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 202.65              | 0.00               | 202.65            | 0.5  | 1.01                 |
| 01/15/2018  | ***-**-6830 - VALE, BRENDA<br>ACCOUNT #: N100260460   | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 47.29               | 0.00               | 47.29             | 0.5  | 0.24                 |
| 01/15/2018  | ***-**-0040 - CHEN, GARY<br>ACCOUNT #: N100140040     | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 6.00                | 0.00               | 6.00              | 0.5  | 0.03                 |
| 01/15/2018  | ***-**-0050 - CHEN, WINNIE<br>ACCOUNT #: N100140050   | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 7.35                | 0.00               | 7.35              | 0.5  | 0.04                 |
| 01/15/2018  | ***-**-711E - LU, SHERRY<br>ACCOUNT #: N100109070     | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 15.48               | 0.00               | 15.48             | 0.5  | 0.08                 |
| 01/15/2018  | ***-**-0030 - CHEN, TONY<br>ACCOUNT #: N100140030     | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 6.36                | 0.00               | 6.36              | 0.5  | 0.03                 |
| 01/15/2018  | ***-**-6210 - CHEN, JEFFREY<br>ACCOUNT #: N100266210  | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 13.56               | 0.00               | 13.56             | 0.5  | 0.07                 |
| 01/15/2018  | ***-**-353J - LAU, WUN WAN &<br>ACCOUNT #: N100266220 | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 11.94               | 0.00               | 11.94             | 0.5  | 0.06                 |
| 01/15/2018  | ***-**-4485 - CUI, WENDY<br>ACCOUNT #: N100344850     | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 4.79                | 0.00               | 4.79              | 0.5  | 0.02                 |
| 01/15/2018  | ***-**-6750 - KONG, WYSON<br>ACCOUNT #: N100366750    | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 8.56                | 0.00               | 8.56              | 0.5  | 0.04                 |
| 01/15/2018  | ***-**-5220 - ZHOU, THOMAS<br>ACCOUNT #: N100405220   | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 9.79                | 0.00               | 9.79              | 0.5  | 0.05                 |
| 01/15/2018  | ***-**-2470 - WANG, SAVANNAH<br>ACCOUNT #: N100472470 | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 9.90                | 0.00               | 9.90              | 0.5  | 0.05                 |
| 01/15/2018  | ***-**-4310 - YU, SU FAN<br>ACCOUNT #: N100504310     | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 50.66               | 0.00               | 50.66             | 0.5  | 0.25                 |
| 01/15/2018  | ***-**-4320 - YU, BO WEN<br>ACCOUNT #: N100504320     | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @0.0000 | 0.00                 | 70.84               | 0.00               | 70.84             | 0.5  | 0.35                 |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 01/15/2018                                      | ***-**-7002 - WINGRAT, RACHEL<br>ACCOUNT #: N100467270   | NATIONWIDE NEXT GENERATION II<br>BUY 1 Units @0.0000    | 0.00                 | 1.68                | 0.00               | 1.68              | 0.5  | 0.01                 |
| 01/15/2018                                      | ***-**-2781 - FIVERSON, JAY<br>ACCOUNT #: N100560570     | NATIONWIDE NEXT GENERATION II<br>BUY 1 Units @1500.0000 | 1,500.00             | 30.75               | 0.00               | 30.75             | 0.5  | 0.15                 |
| 01/15/2018                                      | ***-**-65CL - LIFEMARK,<br>ACCOUNT #: N100973690         | NATIONWIDE NEXT GENERATION II<br>BUY 1 Units @0.0000    | 0.00                 | 13.13               | 0.00               | 13.13             | 0.5  | 0.07                 |
| 01/15/2018                                      | ***-**-6451 - COWEN, HAL<br>ACCOUNT #: N101140020        | NATIONWIDE NEXT GENERATION II<br>BUY 1 Units @0.0000    | 0.00                 | 8.84                | 0.00               | 8.84              | 0.5  | 0.04                 |
| 01/15/2018                                      | ***-**-3865 - WEBER, DARRIN<br>ACCOUNT #: N600004020     | NATIONWIDE NEXT GENERATION II<br>BUY 1 Units @0.0000    | 0.00                 | 3.06                | 0.00               | 3.06              | 0.5  | 0.02                 |
| 01/15/2018                                      | ***-**-9120 - GRANT, GLENDON<br>ACCOUNT #: N100959120    | NATIONWIDE NEXT GENERATION II<br>BUY 1 Units @0.0000    | 0.00                 | 9.26                | 0.00               | 9.26              | 0.5  | 0.05                 |
| 01/15/2018                                      | ***-**-98IN - WONG, FEI<br>ACCOUNT #: N101864490         | NATIONWIDE NEXT GENERATION II<br>BUY 1 Units @0.0000    | 0.00                 | 10.58               | 0.00               | 10.58             | 0.5  | 0.05                 |
| 01/15/2018                                      | ***-**-5858 - ROME, MICHAEL<br>ACCOUNT #: N100689740     | NATIONWIDE NEXT GENERATION II<br>BUY 1 Units @0.0000    | 0.00                 | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
| 01/12/2018                                      | ***-**-918I - HERMAN, DIANA<br>ACCOUNT #: 74046679501    | NEST TRAILS<br>BUY 0 Units @0.0000                      | 0.00                 | 14.28               | 0.00               | 14.28             | 0.5  | 0.07                 |
| 01/12/2018                                      | ***-**-37IN - BAILEY, DONNA<br>ACCOUNT #: 74155568801    | NEST TRAILS<br>BUY 0 Units @0.0000                      | 0.00                 | 4.75                | 0.00               | 4.75              | 0.5  | 0.02                 |
| 01/12/2018                                      | ***-**-872I - NEWGAARD, DAVID<br>ACCOUNT #: 74870050402  | NEST TRAILS<br>BUY 0 Units @0.0000                      | 0.00                 | 19.63               | 0.00               | 19.63             | 0.5  | 0.10                 |
| 01/02/2018                                      | ***-**-618I - HULLS, JENNIFER<br>ACCOUNT #: 00083732568  | NEW WORLD FUND-A<br>BUY 3 Units @70.9500                | 239.75               | 8.99                | 0.00               | 8.99              | 0.5  | 0.04                 |
| 01/15/2018                                      | ***-**-5073 - CAUFIELD, JOHN<br>ACCOUNT #: 77247702601   | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000              | 0.00                 | 12.78               | 0.00               | 12.78             | 0.5  | 0.06                 |
| 01/15/2018                                      | ***-**-115P - CANNON, BRENDA<br>ACCOUNT #: 77544486501   | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000              | 0.00                 | 2.86                | 0.00               | 2.86              | 0.5  | 0.01                 |
| 01/15/2018                                      | ***-**-164I - MARSHALL, GEORGE<br>ACCOUNT #: 77581123801 | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000              | 0.00                 | 6.90                | 0.00               | 6.90              | 0.5  | 0.03                 |
| 01/15/2018                                      | ***-**-7245 - BOWERMAN, ELICE<br>ACCOUNT #: 77629991501  | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000              | 0.00                 | 3.34                | 0.00               | 3.34              | 0.5  | 0.02                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ALEX GEORGIEV (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-015P - MASTERS, JOSEPH  | NEW YORK 529 TRAILS                 | 0.00                 | 14.15               | 0.00               | 14.15             | 0.5  | 0.07                 |
|   | ACCOUNT #: 77698854201         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-7982 - ALBERICI, ANGELO | NEW YORK 529 TRAILS                 | 0.00                 | 30.13               | 0.00               | 30.13             | 0.5  | 0.15                 |
|   | ACCOUNT #: 77938844401         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-745I - RIENZO, BETTY    | OPP LIMITED-TERM GOVERNMENT FUND N  | 0.00                 | 8.52                | 0.00               | 8.52              | 0.5  | 0.04                 |
|   | ACCOUNT #: 08580116721         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-530I - LIAFSHA, HEATHER | OPP PORT SERIES: ACTIVE ALLOC A     | 0.00                 | 4.90                | 0.00               | 4.90              | 0.5  | 0.02                 |
|   | ACCOUNT #: 05501391104         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-55IR - KAHM, ERIC       | OPP PORT SERIES: ACTIVE ALLOC A     | 0.00                 | 2.96                | 0.00               | 2.96              | 0.5  | 0.01                 |
|   | ACCOUNT #: 05502761583         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-277I - GIVEN, GANEL     | OPP PORT SERIES: ACTIVE ALLOC A     | 0.00                 | 1.07                | 0.00               | 1.07              | 0.5  | 0.01                 |
|   | ACCOUNT #: 05502896520         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-185I - LEWIS, TED       | OPP PORT SERIES: ACTIVE ALLOC A     | 0.00                 | 5.72                | 0.00               | 5.72              | 0.5  | 0.03                 |
|   | ACCOUNT #: 05502896751         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-24IR - THOMAS, AMANDA   | OPP PORT SERIES: ACTIVE ALLOC A     | 0.00                 | 2.30                | 0.00               | 2.30              | 0.5  | 0.01                 |
|   | ACCOUNT #: 06820014443         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-836I - WEAVER, ARLENE   | OPP PORT SERIES: MOD INV FD A       | 0.00                 | 3.06                | 0.00               | 3.06              | 0.5  | 0.02                 |
|   | ACCOUNT #: 04710018150         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-23IR - THOMAS, ARLISS   | OPP PORT SERIES: MOD INV FD A       | 0.00                 | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 06650027764         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-267J - BARKER, JAMES    | OPP PORT SERIES: MOD INV FD C       | 0.00                 | 19.13               | 0.00               | 19.13             | 0.5  | 0.10                 |
|   | ACCOUNT #: 05470331243         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-944I - KINCAID, EILEEN  | OPPENHEIMER ACTIVE ALLOCATION FUND  | 0.00                 | 8.42                | 0.00               | 8.42              | 0.5  | 0.04                 |
|   | ACCOUNT #: 05520066715         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-691I - DRUMM, MARK      | OPPENHEIMER ACTIVE ALLOCATION FUND  | 0.00                 | 27.15               | 0.00               | 27.15             | 0.5  | 0.14                 |
|   | ACCOUNT #: 05520370282         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS  | OPPENHEIMER AMT FREE MUNICIPALS FUN | 0.00                 | 15.10               | 0.00               | 15.10             | 0.5  | 0.08                 |
|   | ACCOUNT #: 03100072710         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS  | OPPENHEIMER AMT FREE MUNICIPALS FUN | 0.00                 | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
|   | ACCOUNT #: 03100199441         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-745I - RIENZO, BETTY    | OPPENHEIMER CAPITAL INCOME FUND N   | 0.00                 | 6.11                | 0.00               | 6.11              | 0.5  | 0.03                 |
|   | ACCOUNT #: 03030089386         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-9415 - CUNLIFFE,<br>ACCOUNT #: 02850235917        | OPPENHEIMER CORE BOND FUND A<br>BUY 0 Units @0.0000        | 0.00                 | 4.89                | 0.00               | 4.89              | 0.5  | 0.02                 |
| 12/31/2017                                      | ***-**-9103 - MASON, EDWARD<br>ACCOUNT #: 02850235939    | OPPENHEIMER CORE BOND FUND A<br>BUY 0 Units @0.0000        | 0.00                 | 1.94                | 0.00               | 1.94              | 0.5  | 0.01                 |
| 12/31/2017                                      | ***-**-6478 - RUFF, KENNETH<br>ACCOUNT #: 02850235950    | OPPENHEIMER CORE BOND FUND A<br>BUY 0 Units @0.0000        | 0.00                 | 4.48                | 0.00               | 4.48              | 0.5  | 0.02                 |
| 12/31/2017                                      | ***-**-9336 - GULICK, JAY<br>ACCOUNT #: 02850940049      | OPPENHEIMER CORE BOND FUND A<br>BUY 0 Units @0.0000        | 0.00                 | 6.74                | 0.00               | 6.74              | 0.5  | 0.03                 |
| 12/31/2017                                      | ***-**-7045 - KATUSKA, EDWARD<br>ACCOUNT #: 02850983961  | OPPENHEIMER CORE BOND FUND A<br>BUY 0 Units @0.0000        | 0.00                 | 1.06                | 0.00               | 1.06              | 0.5  | 0.01                 |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02851002496  | OPPENHEIMER CORE BOND FUND A<br>BUY 0 Units @0.0000        | 0.00                 | 5.94                | 0.00               | 5.94              | 0.5  | 0.03                 |
| 12/31/2017                                      | ***-**-2918 - GALANEK, CHARLES<br>ACCOUNT #: 02851137268 | OPPENHEIMER CORE BOND FUND A<br>BUY 0 Units @0.0000        | 0.00                 | 3.23                | 0.00               | 3.23              | 0.5  | 0.02                 |
| 12/31/2017                                      | ***-**-254I - MASON, LOUIS<br>ACCOUNT #: 02852027839     | OPPENHEIMER CORE BOND FUND A<br>BUY 0 Units @0.0000        | 0.00                 | 2.57                | 0.00               | 2.57              | 0.5  | 0.01                 |
| 12/31/2017                                      | ***-**-730I - KERILLA, STEPHEN<br>ACCOUNT #: 02852027850 | OPPENHEIMER CORE BOND FUND A<br>BUY 0 Units @0.0000        | 0.00                 | 3.57                | 0.00               | 3.57              | 0.5  | 0.02                 |
| 12/31/2017                                      | ***-**-099I - MASON, CHARLES<br>ACCOUNT #: 02852027861   | OPPENHEIMER CORE BOND FUND A<br>BUY 0 Units @0.0000        | 0.00                 | 2.57                | 0.00               | 2.57              | 0.5  | 0.01                 |
| 12/31/2017                                      | ***-**-23IN - SHULL, HAZEL<br>ACCOUNT #: 02852342351     | OPPENHEIMER CORE BOND FUND A<br>BUY 0 Units @0.0000        | 0.00                 | 8.63                | 0.00               | 8.63              | 0.5  | 0.04                 |
| 12/31/2017                                      | ***-**-05IN - FRIDLEY,<br>ACCOUNT #: 02852435719         | OPPENHEIMER CORE BOND FUND A<br>BUY 0 Units @0.0000        | 0.00                 | 5.26                | 0.00               | 5.26              | 0.5  | 0.03                 |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 07850905212  | OPPENHEIMER DEVELOPING MARKETS CLAS<br>BUY 0 Units @0.0000 | 0.00                 | 12.27               | 0.00               | 12.27             | 0.5  | 0.06                 |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 07850905223  | OPPENHEIMER DEVELOPING MARKETS CLAS<br>BUY 0 Units @0.0000 | 0.00                 | 7.54                | 0.00               | 7.54              | 0.5  | 0.04                 |
| 12/31/2017                                      | ***-**-16IN - MCCUNE, MICHAEL<br>ACCOUNT #: 07851929675  | OPPENHEIMER DEVELOPING MARKETS CLAS<br>BUY 0 Units @0.0000 | 0.00                 | 5.77                | 0.00               | 5.77              | 0.5  | 0.03                 |
| 12/31/2017                                      | ***-**-97IN - CHAPADOS, KEVIN<br>ACCOUNT #: 07860852666  | OPPENHEIMER DEVELOPING MARKETS CLAS<br>BUY 0 Units @0.0000 | 0.00                 | 1.11                | 0.00               | 1.11              | 0.5  | 0.01                 |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                                     |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS  | OPPENHEIMER DEVELOPING MARKETS CLAS | 0.00                 | 1.16                | 0.00               | 1.16              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07860852688         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-05IN - FRIDLEY,         | OPPENHEIMER DEVELOPING MARKETS CLAS | 0.00                 | 1.56                | 0.00               | 1.56              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07862784805         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-818I - WESTERFELD,      | OPPENHEIMER DISCOVERY CLASS A       | 0.00                 | 2.30                | 0.00               | 2.30              | 0.5  | 0.01                 |
|   | ACCOUNT #: 05001877491         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-612I - MIKOS, GREGORY   | OPPENHEIMER DISCOVERY CLASS A       | 0.00                 | 6.09                | 0.00               | 6.09              | 0.5  | 0.03                 |
|   | ACCOUNT #: 05004019158         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-8259 - TRIPP, STANLEY R | OPPENHEIMER DISCOVERY CLASS A       | 0.00                 | 12.80               | 0.00               | 12.80             | 0.5  | 0.06                 |
|   | ACCOUNT #: 05004231524         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-3932 - GREGORICH,       | OPPENHEIMER DISCOVERY CLASS A       | 0.00                 | 15.83               | 0.00               | 15.83             | 0.5  | 0.08                 |
|   | ACCOUNT #: 05004341667         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-45IR - RIENZO, BETTY    | OPPENHEIMER DISCOVERY CLASS A       | 0.00                 | 7.16                | 0.00               | 7.16              | 0.5  | 0.04                 |
|   | ACCOUNT #: 07450251394         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-526J - MCCUNE,          | OPPENHEIMER DISCOVERY CLASS A       | 0.00                 | 5.52                | 0.00               | 5.52              | 0.5  | 0.03                 |
|   | ACCOUNT #: 07451555477         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS  | OPPENHEIMER DISCOVERY CLASS A       | 0.00                 | 17.44               | 0.00               | 17.44             | 0.5  | 0.09                 |
|   | ACCOUNT #: 07451790261         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-9336 - GULICK, JAY      | OPPENHEIMER DISCOVERY CLASS A       | 0.00                 | 2.86                | 0.00               | 2.86              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07452206644         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS  | OPPENHEIMER DISCOVERY CLASS A       | 0.00                 | 7.05                | 0.00               | 7.05              | 0.5  | 0.04                 |
|   | ACCOUNT #: 07452502885         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-2918 - GALANEK, CHARLES | OPPENHEIMER DISCOVERY CLASS A       | 0.00                 | 4.20                | 0.00               | 4.20              | 0.5  | 0.02                 |
|   | ACCOUNT #: 07452909907         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-815I - BAILEY, PENN     | OPPENHEIMER DISCOVERY CLASS A       | 0.00                 | 2.06                | 0.00               | 2.06              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07453552120         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-03IN - IADIANO, EDNA    | OPPENHEIMER GLBL REAL ESTATE FND A  | 0.00                 | 6.46                | 0.00               | 6.46              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00100037995         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS  | OPPENHEIMER GLOBAL CLASS C          | 0.00                 | 8.04                | 0.00               | 8.04              | 0.5  | 0.04                 |
|   | ACCOUNT #: 03321046430         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-176I - FLOCK, MARTA     | OPPENHEIMER INT'L BOND CLASS C      | 0.00                 | 6.86                | 0.00               | 6.86              | 0.5  | 0.03                 |
|   | ACCOUNT #: 08820013387         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-03IN - IADIANO, EDNA<br>ACCOUNT #: 01953231833    | OPPENHEIMER INTERNATIONAL DIVERSIFI<br>BUY 0 Units @0.0000 | 0.00                 | 7.74                | 0.00               | 7.74              | 0.5  | 0.04                 |
| 12/31/2017  | ***-**-03IN - IADIANO, EDNA<br>ACCOUNT #: 00100087231    | OPPENHEIMER MAIN ST SMALL CAP FND A<br>BUY 0 Units @0.0000 | 0.00                 | 15.11               | 0.00               | 15.11             | 0.5  | 0.08                 |
| 12/31/2017  | ***-**-691I - DRUMM, MARK<br>ACCOUNT #: 07310334851      | OPPENHEIMER MAIN STREET OPPORTUNITY<br>BUY 0 Units @0.0000 | 0.00                 | 4.30                | 0.00               | 4.30              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-521I - MCCUNE, ELAINE<br>ACCOUNT #: 07310406571   | OPPENHEIMER MAIN STREET OPPORTUNITY<br>BUY 0 Units @0.0000 | 0.00                 | 10.30               | 0.00               | 10.30             | 0.5  | 0.05                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 07310965690  | OPPENHEIMER MAIN STREET OPPORTUNITY<br>BUY 0 Units @0.0000 | 0.00                 | 16.75               | 0.00               | 16.75             | 0.5  | 0.08                 |
| 12/31/2017  | ***-**-89IN - MCCUNE, FRANK<br>ACCOUNT #: 07311705726    | OPPENHEIMER MAIN STREET OPPORTUNITY<br>BUY 0 Units @0.0000 | 0.00                 | 10.65               | 0.00               | 10.65             | 0.5  | 0.05                 |
| 12/31/2017  | ***-**-65CL - LIFEMARK,<br>ACCOUNT #: 07312981121        | OPPENHEIMER MAIN STREET OPPORTUNITY<br>BUY 0 Units @0.0000 | 0.00                 | 4.20                | 0.00               | 4.20              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-794I - ANTAL, CONSTANCE<br>ACCOUNT #: 07314052532 | OPPENHEIMER MAIN STREET OPPORTUNITY<br>BUY 0 Units @0.0000 | 0.00                 | 1.33                | 0.00               | 1.33              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-349I - HADSOCK, DEBORAH<br>ACCOUNT #: 07314668246 | OPPENHEIMER MAIN STREET OPPORTUNITY<br>BUY 0 Units @0.0000 | 0.00                 | 13.99               | 0.00               | 13.99             | 0.5  | 0.07                 |
| 12/31/2017  | ***-**-6593 - GREGORICH, JOHN<br>ACCOUNT #: 07315651162  | OPPENHEIMER MAIN STREET OPPORTUNITY<br>BUY 0 Units @0.0000 | 0.00                 | 13.07               | 0.00               | 13.07             | 0.5  | 0.07                 |
| 12/31/2017  | ***-**-5301 - LIAFSHA, HEATHER<br>ACCOUNT #: 08471869109 | OPPENHEIMER MAIN STREET SMALL CAP F<br>BUY 0 Units @0.0000 | 0.00                 | 2.76                | 0.00               | 2.76              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-9336 - GULICK, JAY<br>ACCOUNT #: 08471918422      | OPPENHEIMER MAIN STREET SMALL CAP F<br>BUY 0 Units @0.0000 | 0.00                 | 2.59                | 0.00               | 2.59              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 08476966421  | OPPENHEIMER MAIN STREET SMALL CAP F<br>BUY 0 Units @0.0000 | 0.00                 | 11.37               | 0.00               | 11.37             | 0.5  | 0.06                 |
| 12/31/2017  | ***-**-05IN - FRIDLEY,<br>ACCOUNT #: 08477517378         | OPPENHEIMER MAIN STREET SMALL CAP F<br>BUY 0 Units @0.0000 | 0.00                 | 1.47                | 0.00               | 1.47              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 08490356488  | OPPENHEIMER MAIN STREET SMALL CAP F<br>BUY 0 Units @0.0000 | 0.00                 | 13.37               | 0.00               | 13.37             | 0.5  | 0.07                 |
| 12/31/2017  | ***-**-03IN - IADIANO, EDNA<br>ACCOUNT #: 08477490593    | OPPENHEIMER MAIN STREET SMALL CAP F<br>BUY 0 Units @0.0000 | 0.00                 | 14.88               | 0.00               | 14.88             | 0.5  | 0.07                 |





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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-950I - BEVACQUA,<br>ACCOUNT #: 02511270918        | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 5.90                | 0.00               | 5.90              | 0.5  | 0.03                 |
| 12/31/2017                                      | ***-**-65CL - LIFEMARK,<br>ACCOUNT #: 02511399442        | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 4.48                | 0.00               | 4.48              | 0.5  | 0.02                 |
| 12/31/2017                                      | ***-**-2918 - GALANEK, CHARLES<br>ACCOUNT #: 02512085919 | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 4.66                | 0.00               | 4.66              | 0.5  | 0.02                 |
| 12/31/2017                                      | ***-**-285P - MARX, ANGELA A<br>ACCOUNT #: 02512580270   | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 1.07                | 0.00               | 1.07              | 0.5  | 0.01                 |
| 12/31/2017                                      | ***-**-533I - CHAPADOS, JOSEPH<br>ACCOUNT #: 02513976753 | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 29.49               | 0.00               | 29.49             | 0.5  | 0.15                 |
| 12/31/2017                                      | ***-**-198I - CHAPADOS, JANIS<br>ACCOUNT #: 02513977006  | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 9.01                | 0.00               | 9.01              | 0.5  | 0.05                 |
| 12/31/2017                                      | ***-**-3932 - GREGORICH,<br>ACCOUNT #: 02514975982       | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 8.20                | 0.00               | 8.20              | 0.5  | 0.04                 |
| 12/31/2017                                      | ***-**-6593 - GREGORICH, JOHN<br>ACCOUNT #: 02515025075  | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 3.63                | 0.00               | 3.63              | 0.5  | 0.02                 |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 01900983554  | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000  | 0.00                 | 4.53                | 0.00               | 4.53              | 0.5  | 0.02                 |
| 12/31/2017                                      | ***-**-74IN - KELLEY,<br>ACCOUNT #: 01902260775          | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000  | 0.00                 | 1.62                | 0.00               | 1.62              | 0.5  | 0.01                 |
| 12/31/2017                                      | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02300116039  | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000  | 0.00                 | 55.95               | 0.00               | 55.95             | 0.5  | 0.28                 |
| 12/31/2017                                      | ***-**-198I - CHAPADOS, JANIS<br>ACCOUNT #: 02300336042  | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000  | 0.00                 | 8.65                | 0.00               | 8.65              | 0.5  | 0.04                 |
| 12/31/2017                                      | ***-**-533I - CHAPADOS, JOSEPH<br>ACCOUNT #: 02300336064 | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000  | 0.00                 | 18.35               | 0.00               | 18.35             | 0.5  | 0.09                 |
| 12/31/2017                                      | ***-**-9267 - MATHIS, DOLORES<br>ACCOUNT #: 02300863808  | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000  | 0.00                 | 3.46                | 0.00               | 3.46              | 0.5  | 0.02                 |
| 12/31/2017                                      | ***-**-521I - MCCUNE, ELAINE<br>ACCOUNT #: 02303248028   | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000  | 0.00                 | 17.81               | 0.00               | 17.81             | 0.5  | 0.09                 |
| 12/31/2017                                      | ***-**-349I - HADSOCK, DEBORAH<br>ACCOUNT #: 02303332904 | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000  | 0.00                 | 8.78                | 0.00               | 8.78              | 0.5  | 0.04                 |



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|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |   |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-05IN - FRIDLEY,<br>ACCOUNT #: 02307128883         | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000 | 0.00                 | 6.34                | 0.00               | 6.34              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-533J - CHAPADOS, JOSEPH<br>ACCOUNT #: 02308154531 | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000 | 0.00                 | 13.64               | 0.00               | 13.64             | 0.5  | 0.07                 |
| 12/31/2017  | ***-**-21IN - MCCUNE, ELAINE<br>ACCOUNT #: 02308553237   | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000 | 0.00                 | 20.04               | 0.00               | 20.04             | 0.5  | 0.10                 |
| 12/31/2017  | ***-**-950I - BEVACQUA,<br>ACCOUNT #: 02309630126        | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000 | 0.00                 | 10.90               | 0.00               | 10.90             | 0.5  | 0.05                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02309875470  | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000 | 0.00                 | 11.84               | 0.00               | 11.84             | 0.5  | 0.06                 |
| 12/31/2017  | ***-**-533I - CHAPADOS, JOSEPH<br>ACCOUNT #: 02800662156 | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000 | 0.00                 | 5.15                | 0.00               | 5.15              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02800690943  | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000 | 0.00                 | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02801416646  | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000 | 0.00                 | 6.03                | 0.00               | 6.03              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02801449481  | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000 | 0.00                 | 1.37                | 0.00               | 1.37              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-399I - COHEN, RACHEL &<br>ACCOUNT #: 02801858010  | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000 | 0.00                 | 1.51                | 0.00               | 1.51              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-745I - RIENZO, BETTY<br>ACCOUNT #: 02307314860    | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000 | 0.00                 | 24.39               | 0.00               | 24.39             | 0.5  | 0.12                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 02202195875  | OPPENHEIMER U.S. GOVT TR CLASS A<br>BUY 0 Units @0.0000   | 0.00                 | 5.59                | 0.00               | 5.59              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-05IN - FRIDLEY,<br>ACCOUNT #: 02203573031         | OPPENHEIMER U.S. GOVT TR CLASS A<br>BUY 0 Units @0.0000   | 0.00                 | 4.56                | 0.00               | 4.56              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-03IN - IADIANO, EDNA<br>ACCOUNT #: 00100886392    | OPPENHEIMERSTEELPATH MLP ALPHA A<br>BUY 0 Units @0.0000   | 0.00                 | 6.45                | 0.00               | 6.45              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-75RI - MORGAN, JUSTIN<br>ACCOUNT #: 05550519112   | PORT SERIES: EQUITY INV FD A<br>BUY 0 Units @0.0000       | 0.00                 | 3.55                | 0.00               | 3.55              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-32IR - SCHALLENBERGER,<br>ACCOUNT #: 05550735108  | PORT SERIES: EQUITY INV FD A<br>BUY 0 Units @0.0000       | 0.00                 | 7.75                | 0.00               | 7.75              | 0.5  | 0.04                 |



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|---|--------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                                |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-42IR - GLESSNER, KIRSTI | PORT SERIES: EQUITY INV FD A   | 0.00                 | 20.27               | 0.00               | 20.27             | 0.5  | 0.10                 |
|   | ACCOUNT #: 05550956560         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS  | QUEST BALANCED A               | 0.00                 | 12.55               | 0.00               | 12.55             | 0.5  | 0.06                 |
|   | ACCOUNT #: 02570270193         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS  | QUEST BALANCED A               | 0.00                 | 2.13                | 0.00               | 2.13              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02572027025         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-691I - DRUMM, MARK      | QUEST BALANCED A               | 0.00                 | 2.80                | 0.00               | 2.80              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02572107556         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-533I - CHAPADOS, JOSEPH | QUEST BALANCED A               | 0.00                 | 9.09                | 0.00               | 9.09              | 0.5  | 0.05                 |
|   | ACCOUNT #: 02573420989         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-2918 - GALANEK, CHARLES | QUEST BALANCED A               | 0.00                 | 4.33                | 0.00               | 4.33              | 0.5  | 0.02                 |
|   | ACCOUNT #: 02574731474         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-815I - BAILEY, PENN     | QUEST BALANCED A               | 0.00                 | 1.62                | 0.00               | 1.62              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02575971163         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS  | QUEST BALANCED FUND C          | 0.00                 | 8.69                | 0.00               | 8.69              | 0.5  | 0.04                 |
|   | ACCOUNT #: 02591166847         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-745I - RIENZO, BETTY    | QUEST BALANCED FUND N          | 0.00                 | 5.53                | 0.00               | 5.53              | 0.5  | 0.03                 |
|   | ACCOUNT #: 02990168058         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-2580 - SIERRA, JANE     | QUEST OPPORTUNITY VALUE A      | 0.00                 | 33.34               | 0.00               | 33.34             | 0.5  | 0.17                 |
|   | ACCOUNT #: 02363554474         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-103I - WEEKS, JENNIFER  | QUEST OPPORTUNITY VALUE A      | 0.00                 | 20.11               | 0.00               | 20.11             | 0.5  | 0.10                 |
|   | ACCOUNT #: 02364753507         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-2580 - SIERRA, JANE     | QUEST OPPORTUNITY VALUE FUND B | 0.00                 | 1.27                | 0.00               | 1.27              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02371944767         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-4191 - HALLIN, MARY     | QUEST OPPORTUNITY VALUE FUND C | 0.00                 | 54.03               | 0.00               | 54.03             | 0.5  | 0.27                 |
|   | ACCOUNT #: 02380056540         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-8176 - FLOCK, MARTA     | QUEST OPPORTUNITY VALUE FUND C | 0.00                 | 2.60                | 0.00               | 2.60              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02380211827         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-294I - FETTERMAN,       | RISING DIVIDENDS FUND A        | 0.00                 | 4.03                | 0.00               | 4.03              | 0.5  | 0.02                 |
|   | ACCOUNT #: 02251597178         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-103I - WEEKS, JENNIFER  | RISING DIVIDENDS FUND A        | 0.00                 | 9.02                | 0.00               | 9.02              | 0.5  | 0.05                 |
|   | ACCOUNT #: 02252621047         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |   |  |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-05IN - FRIDLEY,<br>ACCOUNT #: 02254603379        | RISING DIVIDENDS FUND A<br>BUY 0 Units @0.0000             | 0.00                 | 5.48                | 0.00               | 5.48              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 03551307856 | ROCH. LIMITED TERM NEW YORK MUNICIP<br>BUY 0 Units @0.0000 | 0.00                 | 5.74                | 0.00               | 5.74              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 03651745777 | ROCHESTER FUND MUNICIPALS A<br>BUY 0 Units @0.0000         | 0.00                 | 6.61                | 0.00               | 6.61              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-3932 - GREGORICH,<br>ACCOUNT #: 02521063634      | SMALL- & MID- CAP VALUE B<br>BUY 0 Units @0.0000           | 0.00                 | 2.87                | 0.00               | 2.87              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-6593 - GREGORICH, JOHN<br>ACCOUNT #: 02521065207 | SMALL- & MID- CAP VALUE B<br>BUY 0 Units @0.0000           | 0.00                 | 2.29                | 0.00               | 2.29              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-80CL - MCCUNE, CLIENTS<br>ACCOUNT #: 07210079508 | SMALL- & MID-CAP GROWTH FUND A<br>BUY 0 Units @0.0000      | 0.00                 | 18.24               | 0.00               | 18.24             | 0.5  | 0.09                 |
| 12/31/2017  | ***-**-04UG - PANTAPALANKOOR,<br>ACCOUNT #: 02320409024 | STRATEGIC INCOME FUND C<br>BUY 0 Units @0.0000             | 0.00                 | 19.49               | 0.00               | 19.49             | 0.5  | 0.10                 |
| 12/31/2017  | ***-**-745I - RIENZO, BETTY<br>ACCOUNT #: 02330255882   | STRATEGIC INCOME FUND N<br>BUY 0 Units @0.0000             | 0.00                 | 42.79               | 0.00               | 42.79             | 0.5  | 0.21                 |
| 12/31/2017  | ***-**-745I - RIENZO, BETTY<br>ACCOUNT #: 02330255882   | STRATEGIC INCOME FUND N<br>BUY 0 Units @0.0000             | 0.00                 | 1.39                | 0.00               | 1.39              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-5473 - GRIMES, AMBER<br>ACCOUNT #: 00081224073   | THE GROWTH FUND OF AMERICA-529A<br>BUY 1 Units @52.6700    | 75.00                | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
| 01/02/2018  | ***-**-765P - PIERRE, YOLETTE<br>ACCOUNT #: 00067468481 | THE GROWTH FUND OF AMERICA-A<br>BUY 2 Units @52.5200       | 100.00               | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
| 01/02/2018  | ***-**-705P - SPAULDING, JOHN<br>ACCOUNT #: 00081781375 | THE GROWTH FUND OF AMERICA-A<br>BUY 1 Units @52.5200       | 36.86                | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-705P - SPAULDING, JOHN<br>ACCOUNT #: 00081781375 | THE GROWTH FUND OF AMERICA-A<br>BUY 1 Units @52.5200       | 61.95                | 2.32                | 0.00               | 2.32              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-618I - HULLS, JENNIFER<br>ACCOUNT #: 00083732568 | THE GROWTH FUND OF AMERICA-A<br>BUY 5 Units @52.5200       | 239.75               | 8.99                | 0.00               | 8.99              | 0.5  | 0.04                 |
| 01/02/2018  | ***-**-707I - FRANKS, MARIA<br>ACCOUNT #: 00083776078   | THE INCOME FUND OF AMERICA-A<br>BUY 42 Units @24.5400      | 1,020.53             | 38.27               | 0.00               | 38.27             | 0.5  | 0.19                 |
| 01/02/2018  | ***-**-707I - FRANKS, MARIA<br>ACCOUNT #: 00083776078   | THE INCOME FUND OF AMERICA-A<br>BUY 16 Units @24.5400      | 381.49               | 14.31               | 0.00               | 14.31             | 0.5  | 0.07                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ALEX GEORGIEV (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-05IN - BERTOLINO,<br>ACCOUNT #: 03250113652       | VALUE FUND A<br>BUY 0 Units @0.0000                        | 0.00                 | 12.32               | 0.00               | 12.32             | 0.5  | 0.06                 |
| 12/31/2017  | ***-**-032I - BAUER, SUSAN<br>ACCOUNT #: 03750570999     | VALUE FUND A<br>BUY 0 Units @0.0000                        | 0.00                 | 1.51                | 0.00               | 1.51              | 0.5  | 0.01                 |
| 01/15/2018  | ***-**-03CL - GEORGIEV,                                  | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 376.57              | 0.00               | 376.57            | 0.5  | 1.88                 |
| 01/15/2018  | ***-**-43CL - SCHOD, CLIENTS                             | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 24.13               | 0.00               | 24.13             | 0.5  | 0.12                 |
| 01/15/2018  | ***-**-600I - TROIA, NINO                                | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 1.51                | 0.00               | 1.51              | 0.5  | 0.01                 |
| 01/15/2018  | ***-**-82UG - HOLLABAUGH,                                | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 1.03                | 0.00               | 1.03              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-691I - GORDON, JONATHAN<br>ACCOUNT #: 00063812327 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 2 Units @48.0800 | 100.00               | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
| <b> * ALEX GEORGIEV SUBTOTAL * </b>               |  |  | <b>\$9,644.65</b>    | <b>\$5,054.17</b>   | <b>\$0.00</b>      | <b>\$5,054.17</b> |      | <b>\$25.28</b>       |
| <b><u> BROKER: MICHAEL GAROFALO </u></b>          |  |  |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-18IN - KUNKEL, RYAN<br>ACCOUNT #: 00087404382     | AMERICAN BALANCED FUND-A<br>BUY 2 Units @28.5300           | 50.00                | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-37IN - GAROFALO, JAMIE<br>ACCOUNT #: 03202230162  | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000              | 0.00                 | 2.09                | 0.00               | 2.09              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-28IR - BUCHANAN,<br>ACCOUNT #: 03203316742        | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000              | 0.00                 | 12.23               | 0.00               | 12.23             | 0.5  | 0.06                 |
| 12/31/2017  | ***-**-291I - SHULTZ, SUZETTE<br>ACCOUNT #: 03207390020  | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000              | 0.00                 | 3.92                | 0.00               | 3.92              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-52IN - STEPP, JENNIFER<br>ACCOUNT #: 03208148063  | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000              | 0.00                 | 2.22                | 0.00               | 2.22              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-36IR - HERDSON, JOHN<br>ACCOUNT #: 03208148074    | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000              | 0.00                 | 2.28                | 0.00               | 2.28              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-36IR - HERDSON, JOHN<br>ACCOUNT #: 03222003518    | CAPITAL APPRECIATION C<br>BUY 0 Units @0.0000              | 0.00                 | 32.67               | 0.00               | 32.67             | 0.5  | 0.16                 |
| 01/02/2018  | ***-**-18IN - KUNKEL, RYAN<br>ACCOUNT #: 00087404382     | CAPITAL INCOME BUILDER-A<br>BUY 1 Units @66.0200           | 50.00                | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |



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|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>     |                                |                                    |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL GAROFALO (continued)</u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-36IR - HERDSON, JOHN    | EQUITY INCOME FUND, INC. A         | 0.00                 | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
|  | ACCOUNT #: 08350946209         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-36IR - HERDSON, JOHN    | EQUITY INCOME FUND, INC. C         | 0.00                 | 30.22               | 0.00               | 30.22             | 0.5  | 0.15                 |
|  | ACCOUNT #: 08370183502         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-28IR - BUCHANAN,        | GLOBAL FUND A                      | 0.00                 | 14.00               | 0.00               | 14.00             | 0.5  | 0.07                 |
|  | ACCOUNT #: 03307694434         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-37IN - GAROFALO, JAMIE  | GLOBAL OPPORTUNITIES A             | 0.00                 | 2.48                | 0.00               | 2.48              | 0.5  | 0.01                 |
|  | ACCOUNT #: 02151266045         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-291I - SHULTZ, SUZETTE  | GLOBAL OPPORTUNITIES A             | 0.00                 | 3.69                | 0.00               | 3.69              | 0.5  | 0.02                 |
|  | ACCOUNT #: 02154348564         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-291I - SHULTZ, SUZETTE  | MAIN STREET FUND A                 | 0.00                 | 3.36                | 0.00               | 3.36              | 0.5  | 0.02                 |
|  | ACCOUNT #: 07001198684         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-99IR - BUCHANAN, STEVEN | MAIN STREET FUND A                 | 0.00                 | 13.65               | 0.00               | 13.65             | 0.5  | 0.07                 |
|  | ACCOUNT #: 07002755857         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-291I - SHULTZ, SUZETTE  | OPPENHEIMER STRATEGIC INCOME FD CL | 0.00                 | 3.15                | 0.00               | 3.15              | 0.5  | 0.02                 |
|  | ACCOUNT #: 02300927864         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-94IN - VITALE, LAURIE   | PENNSYLVANIA MUNICIPAL FUND C      | 0.00                 | 1.72                | 0.00               | 1.72              | 0.5  | 0.01                 |
|  | ACCOUNT #: 07420005434         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-99IR - BUCHANAN, STEVEN | QUEST BALANCED A                   | 0.00                 | 9.30                | 0.00               | 9.30              | 0.5  | 0.05                 |
|  | ACCOUNT #: 02571411509         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-52IN - STEPP, JENNIFER  | QUEST BALANCED A                   | 0.00                 | 1.74                | 0.00               | 1.74              | 0.5  | 0.01                 |
|  | ACCOUNT #: 02575466043         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-36IR - HERDSON, JOHN    | QUEST BALANCED A                   | 0.00                 | 1.67                | 0.00               | 1.67              | 0.5  | 0.01                 |
|  | ACCOUNT #: 02575466054         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-36IR - HERDSON, JOHN    | QUEST BALANCED FUND C              | 0.00                 | 25.94               | 0.00               | 25.94             | 0.5  | 0.13                 |
|  | ACCOUNT #: 02592150962         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 01/02/2018   | ***-**-79IR - WILSON, DELEIGH  | THE GROWTH FUND OF AMERICA-A       | 200.00               | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00073333458         | BUY 4 Units @51.9800               |                      |                     |                    |                   |      |                      |
| 01/02/2018   | ***-**-79IR - WILSON, DELEIGH  | THE INCOME FUND OF AMERICA-A       | 200.00               | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00073333458         | BUY 8 Units @24.2900               |                      |                     |                    |                   |      |                      |
| 01/02/2018   | ***-**-18IN - KUNKEL, RYAN     | WASHINGTON MUTUAL INVESTORS FUND-A | 100.00               | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00087404382         | BUY 2 Units @48.0800               |                      |                     |                    |                   |      |                      |
| <b>* MICHAEL GAROFALO SUBTOTAL *</b>               |                                |                                    | <b>\$600.00</b>      | <b>\$186.34</b>     | <b>\$0.00</b>      | <b>\$186.34</b>   |      | <b>\$0.95</b>        |



# COMMISSION STATEMENT

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| DATE  | CLIENT                        | INVESTMENT                           | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|--------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                               |                                      |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: EDDIE WILLIAMS</u></b>              |                               |                                      |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-2011 - WILLIAMS, LARRY | THE GROWTH FUND OF AMERICA-A         | 100.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
|   | ACCOUNT #: 04000491691        | BUY 2 Units @53.2200                 |                      |                     |                    |                   |      |                      |
|   |                               | <b>* EDDIE WILLIAMS SUBTOTAL *</b>   | <b>\$100.00</b>      | <b>\$5.00</b>       | <b>\$0.00</b>      | <b>\$5.00</b>     |      | <b>\$0.03</b>        |
| <b><u>BROKER: SAMUEL GALATIOTO</u></b>            |                               |                                      |                      |                     |                    |                   |      |                      |
| 01/10/2018  | ***-**-51IR - DIETLIN, FBO    | FEDERATED STRATEGIC VALUE DIVIDEND   | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011167          | BUY 33 Units @6.0600                 |                      |                     |                    |                   |      |                      |
|   |                               | <b>* SAMUEL GALATIOTO SUBTOTAL *</b> | <b>\$200.00</b>      | <b>\$2.00</b>       | <b>\$0.00</b>      | <b>\$2.00</b>     |      | <b>\$0.01</b>        |
| <b><u>BROKER: ROBERT ADAMS</u></b>                |                               |                                      |                      |                     |                    |                   |      |                      |
| 01/11/2018  | ***-**-60IN - CONLEY, JAMES   | AMERICAN GENERAL VA TRAILS 00139987  | 0.00                 | 37.95               | 0.00               | 37.95             | 0.5  | 0.19                 |
|   | ACCOUNT #: P95D1510893        | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
|   |                               | <b>* ROBERT ADAMS SUBTOTAL *</b>     | <b>\$0.00</b>        | <b>\$37.95</b>      | <b>\$0.00</b>      | <b>\$37.95</b>    |      | <b>\$0.19</b>        |
| <b><u>BROKER: ALPHONSO HOUSTON</u></b>            |                               |                                      |                      |                     |                    |                   |      |                      |
| 01/10/2018  | ***-**-64IN - GRANT, KEVIN    | BARCLAYS ADR-EACH CV INTO 4 ORD STK  | 1,092.00             | 13.00               | 0.00               | 13.00             | 0.5  | 0.07                 |
|   | ACCOUNT #: LSR010253          | BUY 100 Units @10.9200               |                      |                     |                    |                   |      |                      |
| 01/10/2018  | ***-**-64IN - GRANT, KEVIN    | CREDIT SUISSE GROUP SPON ADR-REP 1   | 1,832.90             | 13.00               | 0.00               | 13.00             | 0.5  | 0.07                 |
|   | ACCOUNT #: LSR010253          | BUY 100 Units @18.3290               |                      |                     |                    |                   |      |                      |
| 01/10/2018  | ***-**-64IN - GRANT, KEVIN    | DEUTSCHE BANK AG ORD NPV(REGD)       | 1,855.90             | 13.00               | 0.00               | 13.00             | 0.5  | 0.07                 |
|   | ACCOUNT #: LSR010253          | BUY 100 Units @18.5590               |                      |                     |                    |                   |      |                      |
| 01/10/2018  | ***-**-4640 - GRANT P/ADM,    | DISCOVER FINL SVCS UNSOLICITED ORDE  | 7,983.90             | 13.00               | 0.00               | 13.00             | 0.5  | 0.07                 |
|   | ACCOUNT #: LSR010256          | BUY 100 Units @79.8390               |                      |                     |                    |                   |      |                      |
| 01/10/2018  | ***-**-4640 - GRANT P/ADM,    | GLOBAL X FDS GLOBAL X MSCI ARGENTIN  | 2,994.23             | 13.36               | 0.00               | 13.36             | 0.5  | 0.07                 |
|   | ACCOUNT #: LSR010256          | BUY 82 Units @36.5150                |                      |                     |                    |                   |      |                      |
| 01/10/2018  | ***-**-196I - GRANT, NURIA    | ICICI BK LTD ADR                     | 1,949.00             | 8.00                | 0.00               | 8.00              | 0.5  | 0.04                 |
|   | ACCOUNT #: LSR010257          | BUY 200 Units @9.7450                |                      |                     |                    |                   |      |                      |
| 01/10/2018  | ***-**-196I - GRANT, NURIA    | ICICI BK LTD ADR                     | 964.76               | 3.96                | 0.00               | 3.96              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR010257          | BUY 99 Units @9.7450                 |                      |                     |                    |                   |      |                      |
| 01/10/2018  | ***-**-4640 - GRANT P/ADM,    | INTEL CORP SOLICITED ORDER           | 4,296.50             | 15.00               | 0.00               | 15.00             | 0.5  | 0.08                 |
|   | ACCOUNT #: LSR010256          | BUY 100 Units @42.9650               |                      |                     |                    |                   |      |                      |
| 01/10/2018  | ***-**-64IN - GRANT, KEVIN    | ISHARES MSCI SOUTH KOREA ETF         | 3,974.62             | 13.96               | 0.00               | 13.96             | 0.5  | 0.07                 |
|   | ACCOUNT #: LSR010253          | BUY 52 Units @76.4350                |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|--------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>  |                                |                                      |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALPHONSO HOUSTON (continued)</u></b> |                                |                                      |                      |                     |                    |                   |      |                      |
| 01/10/2018   | ***-**-64IN - GRANT, KEVIN     | UBS GROUP CHF0.10 REGD               | 1,904.50             | 13.00               | 0.00               | 13.00             | 0.5  | 0.07                 |
|  | ACCOUNT #: LSR010253           | BUY 100 Units @19.0450               |                      |                     |                    |                   |      |                      |
| 01/10/2018   | ***-**-64IN - GRANT, KEVIN     | VANECK VECTORS ETF TR POLAND ETF     | 1,997.00             | 13.00               | 0.00               | 13.00             | 0.5  | 0.07                 |
|  | ACCOUNT #: LSR010253           | BUY 100 Units @19.9700               |                      |                     |                    |                   |      |                      |
|  |                                | <b>* ALPHONSO HOUSTON SUBTOTAL *</b> | <b>\$30,845.31</b>   | <b>\$132.28</b>     | <b>\$0.00</b>      | <b>\$132.28</b>   |      | <b>\$0.70</b>        |
| <b><u>BROKER: JOSEPH STURGES</u></b>               |                                |                                      |                      |                     |                    |                   |      |                      |
| 01/07/2018   | ***-**-56IN - STIEHL, GARY     | ING VA 380789701                     | 0.00                 | 46.03               | 0.00               | 46.03             | 0.5  | 0.23                 |
|  | ACCOUNT #: C257229-0W          | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
|  |                                | <b>* JOSEPH STURGES SUBTOTAL *</b>   | <b>\$0.00</b>        | <b>\$46.03</b>      | <b>\$0.00</b>      | <b>\$46.03</b>    |      | <b>\$0.23</b>        |
| <b><u>BROKER: JON HEDDLESON</u></b>                |                                |                                      |                      |                     |                    |                   |      |                      |
| 01/05/2018   | ***-**-25IN - SCHLOSSER, SCOTT | AMERICAN BALANCED FUND-529A          | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|  | ACCOUNT #: 04000615940         | BUY 2 Units @29.1700                 |                      |                     |                    |                   |      |                      |
| 01/02/2018   | ***-**-81IN - JACKSON,         | AMERICAN BALANCED FUND-A             | 53.75                | 2.02                | 0.00               | 2.02              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00081681468         | BUY 2 Units @28.5300                 |                      |                     |                    |                   |      |                      |
| 01/02/2018   | ***-**-05IN - LEIKALA, JOSH    | AMERICAN GLOBAL BALANCED CLASS A     | 25.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00085956564         | BUY 1 Units @34.7400                 |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-07IN - WATSON, SANDRA   | CAPITAL INCOME A                     | 0.00                 | 2.25                | 0.00               | 2.25              | 0.5  | 0.01                 |
|  | ACCOUNT #: 03006252092         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 01/02/2018   | ***-**-71IN - HLAS, LEE        | CAPITAL INCOME BUILDER-A             | 50.00                | 2.13                | 0.00               | 2.13              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00075194043         | BUY 1 Units @66.3700                 |                      |                     |                    |                   |      |                      |
| 01/02/2018   | ***-**-81IN - JACKSON,         | CAPITAL WORLD GROWTH AND INCOME FUN  | 53.75                | 2.02                | 0.00               | 2.02              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00081681468         | BUY 1 Units @54.1300                 |                      |                     |                    |                   |      |                      |
| 01/05/2018   | ***-**-25IN - SCHLOSSER, SCOTT | CAPITAL WORLD GROWTH AND INCOME-529  | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|  | ACCOUNT #: 04000615940         | BUY 1 Units @55.4900                 |                      |                     |                    |                   |      |                      |
| 01/02/2018   | ***-**-17IN - METZGER-GASIOR,  | EUROPACIFIC GROWTH FUND-A            | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00084959995         | BUY 1 Units @60.4200                 |                      |                     |                    |                   |      |                      |
| 01/05/2018   | ***-**-50IN - PIEHL, DAVID     | FRANKLIN SMALL CAP VALUE C           | 129.50               | 1.30                | 0.00               | 1.30              | 0.5  | 0.01                 |
|  | ACCOUNT #: 000000000871792     | BUY 3 Units @50.2200                 |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-83IN - GRIMM, LISA      | GLOBAL OPPORTUNITIES A               | 0.00                 | 11.42               | 0.00               | 11.42             | 0.5  | 0.06                 |
|  | ACCOUNT #: 02155916636         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |





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|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JON HEDDLESON (continued)</u></b>   |   |   |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-17IN - METZGER-GASIOR,<br>ACCOUNT #: 00084959995 | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 1 Units @37.5100     | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-71IN - HLAS, LEE<br>ACCOUNT #: 00074169955       | THE GROWTH FUND OF AMERICA-A<br>BUY 1 Units @52.8000          | 50.00                | 2.13                | 0.00               | 2.13              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-71IN - HLAS, LEE<br>ACCOUNT #: 00075194043       | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 1 Units @48.3400    | 50.00                | 2.13                | 0.00               | 2.13              | 0.5  | 0.01                 |
| <b>* JON HEDDLESON SUBTOTAL *</b>                 |   |   | <b>\$612.00</b>      | <b>\$36.65</b>      | <b>\$0.00</b>      | <b>\$36.65</b>    |      | <b>\$0.18</b>        |
| <b><u>BROKER: TIMOTHY STATES</u></b>              |   |   |                      |                     |                    |                   |      |                      |
| 01/09/2018  | ***-**-233J - SCALES, DARYL<br>ACCOUNT #: LSR011378     | BANK OF AMERICA CORP UNSOLICITED OR<br>BUY 200 Units @30.2750 | 6,055.00             | 116.00              | 0.00               | 116.00            | 0.5  | 0.58                 |
| 01/08/2018  | ***-**-66IN - STATES, MR<br>ACCOUNT #: LSF000281        | CISCO SYSTEMS INC<br>BUY 25 Units @39.4860                    | 987.15               | 1.01                | 0.00               | 1.01              | 0.5  | 0.01                 |
| 01/08/2018  | ***-**-066I - STATES, FBO MR<br>ACCOUNT #: LSF000282    | CISCO SYSTEMS INC<br>SELL 45 Units @39.4640                   | 1,775.88             | 1.01                | 0.00               | 1.01              | 0.5  | 0.01                 |
| 01/09/2018  | ***-**-09IO - BRITT, EDWINA<br>ACCOUNT #: LSR011800     | CISCO SYSTEMS INC<br>BUY 200 Units @39.7050                   | 7,941.00             | 132.00              | 0.00               | 132.00            | 0.5  | 0.66                 |
| 01/09/2018  | ***-**-100I - BRITT, FBO RUTH<br>ACCOUNT #: LSR010568   | CONOCOPHILLIPS UNSOLICITED ORDER<br>BUY 200 Units @57.6050    | 11,521.00            | 131.00              | 0.00               | 131.00            | 0.5  | 0.66                 |
| 01/09/2018  | ***-**-826I - CLARK, FBO MS<br>ACCOUNT #: LSR010588     | CONOCOPHILLIPS UNSOLICITED ORDER<br>BUY 200 Units @57.6700    | 11,534.00            | 131.00              | 0.00               | 131.00            | 0.5  | 0.66                 |
| 01/09/2018  | ***-**-58IN - LUTZ, SAMUEL<br>ACCOUNT #: LSR010594      | CONOCOPHILLIPS UNSOLICITED ORDER<br>BUY 200 Units @57.9550    | 11,591.00            | 131.00              | 0.00               | 131.00            | 0.5  | 0.66                 |
| 01/09/2018  | ***-**-74IN - DAVIS, MISCHA<br>ACCOUNT #: LSR010627     | CONOCOPHILLIPS UNSOLICITED ORDER<br>BUY 200 Units @58.0860    | 11,617.20            | 131.00              | 0.00               | 131.00            | 0.5  | 0.66                 |
| 01/09/2018  | ***-**-233J - SCALES, DARYL<br>ACCOUNT #: LSR011378     | CONOCOPHILLIPS UNSOLICITED ORDER<br>BUY 100 Units @57.4700    | 5,747.00             | 83.00               | 0.00               | 83.00             | 0.5  | 0.42                 |
| 01/05/2018  | ***-**-735I - ANTOINE, FBO MS<br>ACCOUNT #: LSR010596   | GLOBAL OPPORTUNITIES A<br>BUY 175 Units @75.2900              | 13,199.99            | 609.00              | 0.00               | 609.00            | 0.5  | 3.05                 |
| 01/10/2018  | ***-**-384I - WALKER, EUGENE<br>ACCOUNT #: LSR010626    | GLOBAL OPPORTUNITIES A<br>BUY 16 Units @76.6000               | 1,250.04             | 41.37               | 0.00               | 41.37             | 0.5  | 0.21                 |
| 01/10/2018  | ***-**-58TR - HOUSING<br>ACCOUNT #: LSR010838           | GLOBAL OPPORTUNITIES A<br>BUY 39 Units @76.6000               | 2,999.96             | 124.50              | 0.00               | 124.50            | 0.5  | 0.62                 |



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|--|---|---|-----------------------|---------------------|--------------------|---------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>         |   |   |                       |                     |                    |                     |      |                      |
| <b> <u>BROKER: TIMOTHY STATES (continued)</u> </b> |   |   |                       |                     |                    |                     |      |                      |
| 01/09/2018   | ***-**-58IN - LUTZ, SAMUEL<br>ACCOUNT #: LSR010594      | HOME DEPOT INC COM<br>SELL 50 Units @192.4920                 | 9,624.60              | 134.00              | 0.00               | 134.00              | 0.5  | 0.67                 |
| 01/09/2018   | ***-**-826I - CLARK, FBO MS<br>ACCOUNT #: LSR010588     | MCKESSON CORP COM<br>SELL 75 Units @158.3820                  | 11,878.65             | 133.50              | 0.00               | 133.50              | 0.5  | 0.67                 |
| 01/09/2018   | ***-**-233J - SCALES, DARYL<br>ACCOUNT #: LSR011378     | MICRON TECHNOLOGY SOLICITED ORDER<br>BUY 200 Units @45.0220   | 9,004.40              | 16.00               | 0.00               | 16.00               | 0.5  | 0.08                 |
| 01/09/2018   | ***-**-09IO - BRITT, EDWINA<br>ACCOUNT #: LSR011800     | NVIDIA CORP SOLICITED ORDER<br>BUY 37 Units @219.7690         | 8,131.45              | 134.26              | 0.00               | 134.26              | 0.5  | 0.67                 |
| 01/09/2018   | ***-**-233J - SCALES, DARYL<br>ACCOUNT #: LSR011378     | SCHWAB CHARLES CORP NEW SOLICITED O<br>BUY 200 Units @52.6850 | 10,537.00             | 17.00               | 0.00               | 17.00               | 0.5  | 0.09                 |
| 01/09/2018   | ***-**-233J - SCALES, DARYL<br>ACCOUNT #: LSR011378     | SPLUNK INC COM USD0.001<br>BUY 200 Units @90.2450             | 18,049.00             | 81.00               | 0.00               | 81.00               | 0.5  | 0.41                 |
| 01/09/2018   | ***-**-74IN - DAVIS, MISCHA<br>ACCOUNT #: LSR010627     | SPROUTS FMRS MKT INC COM<br>SELL 400 Units @25.1200           | 10,048.00             | 127.00              | 0.00               | 127.00              | 0.5  | 0.64                 |
| 01/05/2018   | ***-**-735I - ANTOINE, FBO MS<br>ACCOUNT #: LSR010596   | XPO LOGISTICS INC COM USD0.001<br>SELL 50 Units @90.1620      | 4,508.10              | 50.67               | 0.00               | 50.67               | 0.5  | 0.25                 |
| 01/05/2018   | ***-**-735I - ANTOINE, FBO MS<br>ACCOUNT #: LSR010596   | XPO LOGISTICS INC COM USD0.001<br>SELL 100 Units @90.1810     | 9,018.10              | 131.33              | 0.00               | 131.33              | 0.5  | 0.66                 |
| 01/09/2018   | ***-**-100I - BRITT, FBO RUTH<br>ACCOUNT #: LSR010568   | XPO LOGISTICS INC COM USD0.001<br>SELL 115 Units @92.0700     | 10,588.05             | 132.70              | 0.00               | 132.70              | 0.5  | 0.66                 |
| <b> * TIMOTHY STATES SUBTOTAL * </b>               |   |   | <b> \$187,606.57 </b> | <b> \$2,589.35 </b> | <b> \$0.00 </b>    | <b> \$2,589.35 </b> |      | <b> \$13.00 </b>     |
| <b> <u>BROKER: JUAN LEWIS</u> </b>                 |   |   |                       |                     |                    |                     |      |                      |
| 01/15/2018   | ***-**-535P - HENRY, ARLENE                             | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                    | 0.00                  | 7.05                | 0.00               | 7.05                | 0.5  | 0.04                 |
| <b> * JUAN LEWIS SUBTOTAL * </b>                   |   |   | <b> \$0.00 </b>       | <b> \$7.05 </b>     | <b> \$0.00 </b>    | <b> \$7.05 </b>     |      | <b> \$0.04 </b>      |
| <b> <u>BROKER: DAVID GRIFFITH</u> </b>             |   |   |                       |                     |                    |                     |      |                      |
| 01/05/2018   | ***-**-953I - DINITTO, NICOLE<br>ACCOUNT #: 00088593891 | AMERICAN GLOBAL BALANCED CL C<br>BUY 5 Units @32.9500         | 175.00                | 1.75                | 0.00               | 1.75                | 0.5  | 0.01                 |
| 01/08/2018   | ***-**-90IN - PICKARD, KAREN<br>ACCOUNT #: LSR011687    | AMERICAN GLOBAL BALANCED CL C<br>SELL 334 Units @32.9300      | 11,000.00             | 1.99                | 0.00               | 1.99                | 0.5  | 0.01                 |



# COMMISSION STATEMENT

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| DATE  | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>         |  |   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-91IN - RICHARDSON,<br>ACCOUNT #: 03211844382      | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000                 | 0.00                 | 3.85                | 0.00               | 3.85              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-1588 - FOLEY, JOHN<br>ACCOUNT #: 03211940115      | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000                 | 0.00                 | 2.09                | 0.00               | 2.09              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-231I - MISHLANIE JR,<br>ACCOUNT #: 03212005587    | CAPITAL APPRECIATION A<br>BUY 0 Units @0.0000                 | 0.00                 | 2.33                | 0.00               | 2.33              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-91IN - RICHARDSON,<br>ACCOUNT #: 03222207403      | CAPITAL APPRECIATION C<br>BUY 0 Units @0.0000                 | 0.00                 | 5.12                | 0.00               | 5.12              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-11IN - MOYLAN, TIMOTHY<br>ACCOUNT #: 03222207458  | CAPITAL APPRECIATION C<br>BUY 0 Units @0.0000                 | 0.00                 | 2.33                | 0.00               | 2.33              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-090I - RASPANTE, JOHN<br>ACCOUNT #: 03222260687   | CAPITAL APPRECIATION C<br>BUY 0 Units @0.0000                 | 0.00                 | 10.52               | 0.00               | 10.52             | 0.5  | 0.05                 |
| 12/31/2017  | ***-**-480I - SCOTELLARO,<br>ACCOUNT #: 03020531751      | CAPITAL INCOME FUND C<br>BUY 0 Units @0.0000                  | 0.00                 | 8.35                | 0.00               | 8.35              | 0.5  | 0.04                 |
| 01/05/2018  | ***-**-953I - DINIITTO, NICOLE<br>ACCOUNT #: 00088593891 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 3 Units @51.9100   | 175.00               | 1.75                | 0.00               | 1.75              | 0.5  | 0.01                 |
| 01/08/2018  | ***-**-467J - PICKARD, BRIAN<br>ACCOUNT #: LSR010943     | CENTRAIS ELETR BRAS SA - ELETROBRAS<br>SELL 500 Units @5.7100 | 2,855.00             | 32.49               | 0.00               | 32.49             | 0.5  | 0.16                 |
| 01/15/2018  | ***-**-510I - PEREZ, STACEY                              | CREDIT INCOME FUND<br>BUY 0 Units @0.0000                     | 36,000.00            | 360.00              | 0.00               | 360.00            | 0.5  | 1.80                 |
| 01/08/2018  | ***-**-467J - PICKARD, BRIAN<br>ACCOUNT #: LSR010943     | DENBURY RES INC DEL COM USD0.001<br>SELL 1500 Units @2.2800   | 3,420.00             | 22.49               | 0.00               | 22.49             | 0.5  | 0.11                 |
| 12/31/2017  | ***-**-69IR - PERRITANO, SUSAN<br>ACCOUNT #: 07220200959 | EMERGING GROWTH FUND B<br>BUY 0 Units @0.0000                 | 0.00                 | 1.48                | 0.00               | 1.48              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-178I - DAVIS, MARILYN<br>ACCOUNT #: 08352306436   | EQUITY INCOME FUND, INC. A<br>BUY 0 Units @0.0000             | 0.00                 | 2.59                | 0.00               | 2.59              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-91IN - RICHARDSON,<br>ACCOUNT #: 08352350304      | EQUITY INCOME FUND, INC. A<br>BUY 0 Units @0.0000             | 0.00                 | 3.36                | 0.00               | 3.36              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-400K - TEESDALE,<br>ACCOUNT #: 08352478410        | EQUITY INCOME FUND, INC. A<br>BUY 0 Units @0.0000             | 0.00                 | 2.99                | 0.00               | 2.99              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-59IN - MORGAN, WILLIAM<br>ACCOUNT #: 08353141534  | EQUITY INCOME FUND, INC. A<br>BUY 0 Units @0.0000             | 0.00                 | 3.09                | 0.00               | 3.09              | 0.5  | 0.02                 |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>         |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-59IN - MORGAN, WILLIAM  | EQUITY INCOME FUND, INC. A          | 0.00                 | 1.90                | 0.00               | 1.90              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08353154470         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-1588 - FOLEY, JOHN      | EQUITY INCOME FUND, INC. A          | 0.00                 | 1.83                | 0.00               | 1.83              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08353253679         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-718I - LOWE, GREGORY    | EQUITY INCOME FUND, INC. A          | 0.00                 | 1.07                | 0.00               | 1.07              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08353299516         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-231I - MISHLANIE JR,    | EQUITY INCOME FUND, INC. A          | 0.00                 | 4.57                | 0.00               | 4.57              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08353299615         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-69IR - PERRITANO, SUSAN | EQUITY INCOME FUND, INC. B          | 0.00                 | 1.62                | 0.00               | 1.62              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08360515845         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-58IN - CADY, GAIL       | EQUITY INCOME FUND, INC. C          | 0.00                 | 4.63                | 0.00               | 4.63              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08370389048         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-480I - SCOTELLARO,      | EQUITY INCOME FUND, INC. C          | 0.00                 | 16.93               | 0.00               | 16.93             | 0.5  | 0.08                 |
|   | ACCOUNT #: 08370428549         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0457 - STAGLIANO, GINA  | EQUITY INCOME FUND, INC. C          | 0.00                 | 1.43                | 0.00               | 1.43              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08370450769         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-11IN - MOYLAN, TIMOTHY  | EQUITY INCOME FUND, INC. C          | 0.00                 | 3.22                | 0.00               | 3.22              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08370450780         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-090I - RASPANTE, JOHN   | EQUITY INCOME FUND, INC. C          | 0.00                 | 17.44               | 0.00               | 17.44             | 0.5  | 0.09                 |
|   | ACCOUNT #: 08370585871         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-7473 - SCOTELLARO,      | EQUITY INCOME FUND, INC. C          | 0.00                 | 1.48                | 0.00               | 1.48              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08370720038         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/09/2018  | ***-**-77IR - MARRONE, FBO MR  | FORD MTR CO DEL COM UNSOLICITED ORD | 3,939.00             | 18.99               | 0.00               | 18.99             | 0.5  | 0.09                 |
|   | ACCOUNT #: LSR011158           | SELL 300 Units @13.1300             |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-59IN - MORGAN, WILLIAM  | GLOBAL FUND A                       | 0.00                 | 2.67                | 0.00               | 2.67              | 0.5  | 0.01                 |
|   | ACCOUNT #: 03307729361         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-69IR - PERRITANO, SUSAN | GLOBAL FUND B                       | 0.00                 | 2.44                | 0.00               | 2.44              | 0.5  | 0.01                 |
|   | ACCOUNT #: 03316686207         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-91IN - RICHARDSON,      | GLOBAL OPPORTUNITIES A              | 0.00                 | 1.54                | 0.00               | 1.54              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02156650930         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-400K - TEESDALE,        | GLOBAL OPPORTUNITIES A              | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02156694050         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>  |                                |                                  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: DAVID GRIFFITH (continued) </u></b> |                                |                                  |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-59IN - MORGAN, WILLIAM  | GLOBAL OPPORTUNITIES A           | 0.00                 | 1.58                | 0.00               | 1.58              | 0.5  | 0.01                 |
|  | ACCOUNT #: 02157784128         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-5851 - GLEESON, BARBARA | GLOBAL OPPORTUNITIES A           | 0.00                 | 2.40                | 0.00               | 2.40              | 0.5  | 0.01                 |
|  | ACCOUNT #: 02157915479         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-231I - MISHLANIE JR,    | GLOBAL OPPORTUNITIES A           | 0.00                 | 1.32                | 0.00               | 1.32              | 0.5  | 0.01                 |
|  | ACCOUNT #: 02158044630         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-5851 - GLEESON, BARBARA | GLOBAL OPPORTUNITIES B           | 0.00                 | 1.59                | 0.00               | 1.59              | 0.5  | 0.01                 |
|  | ACCOUNT #: 02163234902         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-69IR - PERRITANO, SUSAN | GLOBAL OPPORTUNITIES B           | 0.00                 | 3.44                | 0.00               | 3.44              | 0.5  | 0.02                 |
|  | ACCOUNT #: 02163282708         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-58IN - CADY, GAIL       | GLOBAL OPPORTUNITIES FUND C      | 0.00                 | 5.02                | 0.00               | 5.02              | 0.5  | 0.03                 |
|  | ACCOUNT #: 02171604031         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-0457 - STAGLIANO, GINA  | GLOBAL OPPORTUNITIES FUND C      | 0.00                 | 2.06                | 0.00               | 2.06              | 0.5  | 0.01                 |
|  | ACCOUNT #: 02171646348         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-11IN - MOYLAN, TIMOTHY  | GLOBAL OPPORTUNITIES FUND C      | 0.00                 | 3.07                | 0.00               | 3.07              | 0.5  | 0.02                 |
|  | ACCOUNT #: 02171646359         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-090I - RASPANTE, JOHN   | GLOBAL OPPORTUNITIES FUND C      | 0.00                 | 16.01               | 0.00               | 16.01             | 0.5  | 0.08                 |
|  | ACCOUNT #: 02171696112         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-69IR - PERRITANO, SUSAN | INTERNATIONAL DIVERSIFIED FUND B | 0.00                 | 4.19                | 0.00               | 4.19              | 0.5  | 0.02                 |
|  | ACCOUNT #: 01960538340         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 01/08/2018   | ***-**-467J - PICKARD, BRIAN   | ISHARES MSCI BRAZIL ETF          | 4,814.93             | 80.23               | 0.00               | 80.23             | 0.5  | 0.40                 |
|  | ACCOUNT #: LSR010943           | SELL 113 Units @42.6100          |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-59IN - MORGAN, WILLIAM  | MAIN STREET FUND A               | 0.00                 | 1.48                | 0.00               | 1.48              | 0.5  | 0.01                 |
|  | ACCOUNT #: 07006083663         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 01/12/2018   | ***-**-077O - GAUTHIER, LOUIS  | MASS MUTUAL VA                   | 0.00                 | 75.43               | 0.00               | 75.43             | 0.5  | 0.38                 |
|  | ACCOUNT #: 828693              | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 01/12/2018   | ***-**-80IN - GRIFFITH, DAVID  | MASS MUTUAL VA                   | 0.00                 | 4.20                | 0.00               | 4.20              | 0.5  | 0.02                 |
|  | ACCOUNT #: 834388              | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 01/02/2018   | ***-**-267I - HAMMILL, ELISE   | MFS GLOBAL TOTAL RETURN FUND-B   | 75.00                | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|  | ACCOUNT #: 08191335171         | BUY 4 Units @18.5700             |                      |                     |                    |                   |      |                      |
| 01/09/2018   | ***-**-549I - WASZKIEWICZ,     | MFS GLOBAL TOTAL RETURN FUND-B   | 4,599.99             | 184.00              | 0.00               | 184.00            | 0.5  | 0.92                 |
|  | ACCOUNT #: LSR012353           | BUY 245 Units @18.7500           |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>  |                                |                            |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: DAVID GRIFFITH (continued) </u></b> |                                |                            |                      |                     |                    |                   |      |                      |
| 12/28/2017   | ***-**-57RI - DIPERNA, ROBERT  | MFS TRAILS 552988610       | 300.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|  | ACCOUNT #: 08189654783         | BUY 19 Units @15.8100      |                      |                     |                    |                   |      |                      |
| 12/28/2017   | ***-**-51RI - DIPERNA, SANDRA  | MFS TRAILS 552988610       | 300.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|  | ACCOUNT #: 08191188649         | BUY 19 Units @15.8100      |                      |                     |                    |                   |      |                      |
| 01/15/2018   | ***-**-679I - MURSCH JR,       | NEW YORK 529 TRAILS        | 0.00                 | 4.48                | 0.00               | 4.48              | 0.5  | 0.02                 |
|  | ACCOUNT #: 77041375401         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 01/15/2018   | ***-**-541I - ORSINO, LISA     | NEW YORK 529 TRAILS        | 0.00                 | 3.42                | 0.00               | 3.42              | 0.5  | 0.02                 |
|  | ACCOUNT #: 77049971001         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 01/15/2018   | ***-**-745P - SCOTELLARO,      | NEW YORK 529 TRAILS        | 0.00                 | 1.85                | 0.00               | 1.85              | 0.5  | 0.01                 |
|  | ACCOUNT #: 77107834701         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 01/15/2018   | ***-**-225P - DAMSKY, CYNTHIA  | NEW YORK 529 TRAILS        | 0.00                 | 3.39                | 0.00               | 3.39              | 0.5  | 0.02                 |
|  |                                | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 01/15/2018   | ***-**-0862 - REDMOND, EILEEN  | NEW YORK 529 TRAILS        | 0.00                 | 2.47                | 0.00               | 2.47              | 0.5  | 0.01                 |
|  | ACCOUNT #: 77172702501         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 01/15/2018   | ***-**-467I - PICKARD, BRIAN   | NEW YORK 529 TRAILS        | 0.00                 | 1.12                | 0.00               | 1.12              | 0.5  | 0.01                 |
|  | ACCOUNT #: 77247884901         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 01/15/2018   | ***-**-93JT - WADSWORTH,       | NEW YORK 529 TRAILS        | 0.00                 | 1.51                | 0.00               | 1.51              | 0.5  | 0.01                 |
|  | ACCOUNT #: 77296639001         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 01/15/2018   | ***-**-21IN - DANIELS, JOHN    | NEW YORK 529 TRAILS        | 0.00                 | 1.51                | 0.00               | 1.51              | 0.5  | 0.01                 |
|  | ACCOUNT #: 77376247101         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 01/15/2018   | ***-**-21IN - DANIELS, JOHN    | NEW YORK 529 TRAILS        | 0.00                 | 9.45                | 0.00               | 9.45              | 0.5  | 0.05                 |
|  | ACCOUNT #: 77376247101         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 01/15/2018   | ***-**-39IN - CLEARY, KAREN    | NEW YORK 529 TRAILS        | 0.00                 | 4.86                | 0.00               | 4.86              | 0.5  | 0.02                 |
|  | ACCOUNT #: 77678090301         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 01/15/2018   | ***-**-497I - MARTIN, KATHLEEN | NEW YORK 529 TRAILS        | 0.00                 | 1.33                | 0.00               | 1.33              | 0.5  | 0.01                 |
|  |                                | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 01/15/2018   | ***-**-015P - SABANOSH, SHERYL | NEW YORK 529 TRAILS        | 0.00                 | 7.80                | 0.00               | 7.80              | 0.5  | 0.04                 |
|  | ACCOUNT #: 77775742701         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-4580 - GRIFFITH,        | OPP DIVERSIFIED ALT FUND A | 0.00                 | 2.19                | 0.00               | 2.19              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00100011364         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-178I - DAVIS, MARILYN   | OPP GLBL MULTI STRAT FND A | 0.00                 | 1.91                | 0.00               | 1.91              | 0.5  | 0.01                 |
|  | ACCOUNT #: 08530002134         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>         |  |  |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-480I - SCOTELLARO,<br>ACCOUNT #: 05520857714      | OPPENHEIMER ACTIVE ALLOCATION FUND<br>BUY 0 Units @0.0000  | 0.00                 | 3.48                | 0.00               | 3.48              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-090I - RASPANTE, JOHN<br>ACCOUNT #: 05520946924   | OPPENHEIMER ACTIVE ALLOCATION FUND<br>BUY 0 Units @0.0000  | 0.00                 | 13.62               | 0.00               | 13.62             | 0.5  | 0.07                 |
| 12/31/2017  | ***-**-497I - MARTIN, KATHLEEN<br>ACCOUNT #: 05520998470 | OPPENHEIMER ACTIVE ALLOCATION FUND<br>BUY 0 Units @0.0000  | 0.00                 | 3.48                | 0.00               | 3.48              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-0457 - STAGLIANO, GINA<br>ACCOUNT #: 07871984301  | OPPENHEIMER DEV MARKETS FD CLASS C<br>BUY 0 Units @0.0000  | 0.00                 | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-4580 - GRIFFITH,<br>ACCOUNT #: 07861977724        | OPPENHEIMER DEVELOPING MARKETS CLAS<br>BUY 0 Units @0.0000 | 0.00                 | 2.66                | 0.00               | 2.66              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-91IN - RICHARDSON,<br>ACCOUNT #: 00100064439      | OPPENHEIMER EMERG MKTS LOCAL DEBT F<br>BUY 0 Units @0.0000 | 0.00                 | 1.11                | 0.00               | 1.11              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-090I - RASPANTE, JOHN<br>ACCOUNT #: 00100012156   | OPPENHEIMER GLBL MULTI STRATEGIES F<br>BUY 0 Units @0.0000 | 0.00                 | 13.42               | 0.00               | 13.42             | 0.5  | 0.07                 |
| 12/31/2017  | ***-**-480I - SCOTELLARO,<br>ACCOUNT #: 00100012167      | OPPENHEIMER GLBL MULTI STRATEGIES F<br>BUY 0 Units @0.0000 | 0.00                 | 7.38                | 0.00               | 7.38              | 0.5  | 0.04                 |
| 12/31/2017  | ***-**-58IN - SCHRECK, RYAN<br>ACCOUNT #: 00100014653    | OPPENHEIMER GLBL MULTI STRATEGIES F<br>BUY 0 Units @0.0000 | 0.00                 | 4.41                | 0.00               | 4.41              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-7473 - SCOTELLARO,<br>ACCOUNT #: 00100018140      | OPPENHEIMER GLBL REAL ESTATE FUND C<br>BUY 0 Units @0.0000 | 0.00                 | 1.28                | 0.00               | 1.28              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-58IN - SCHRECK, RYAN<br>ACCOUNT #: 00100018393    | OPPENHEIMER GLBL REAL ESTATE FUND C<br>BUY 0 Units @0.0000 | 0.00                 | 4.58                | 0.00               | 4.58              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-0457 - STAGLIANO, GINA<br>ACCOUNT #: 03322653871  | OPPENHEIMER GLOBAL CLASS C<br>BUY 0 Units @0.0000          | 0.00                 | 1.60                | 0.00               | 1.60              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-11IN - MOYLAN, TIMOTHY<br>ACCOUNT #: 03322653882  | OPPENHEIMER GLOBAL CLASS C<br>BUY 0 Units @0.0000          | 0.00                 | 1.05                | 0.00               | 1.05              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-090I - RASPANTE, JOHN<br>ACCOUNT #: 03322722456   | OPPENHEIMER GLOBAL CLASS C<br>BUY 0 Units @0.0000          | 0.00                 | 15.01               | 0.00               | 15.01             | 0.5  | 0.08                 |
| 12/31/2017  | ***-**-480I - SCOTELLARO,<br>ACCOUNT #: 04120782331      | OPPENHEIMER GOLD & SPECIAL MINERALS<br>BUY 0 Units @0.0000 | 0.00                 | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-090I - RASPANTE, JOHN<br>ACCOUNT #: 04120841819   | OPPENHEIMER GOLD & SPECIAL MINERALS<br>BUY 0 Units @0.0000 | 0.00                 | 3.79                | 0.00               | 3.79              | 0.5  | 0.02                 |



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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>  |   |  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: DAVID GRIFFITH (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-0457 - STAGLIANO, GINA<br>ACCOUNT #: 04120907192 | OPPENHEIMER GOLD & SPECIAL MINERALS<br>BUY 0 Units @0.0000 | 0.00                 | 1.55                | 0.00               | 1.55              | 0.5  | 0.01                 |
| 12/31/2017   | ***-**-91IN - RICHARDSON,<br>ACCOUNT #: 04120907203     | OPPENHEIMER GOLD & SPECIAL MINERALS<br>BUY 0 Units @0.0000 | 0.00                 | 1.35                | 0.00               | 1.35              | 0.5  | 0.01                 |
| 12/31/2017   | ***-**-59IN - MORGAN, WILLIAM<br>ACCOUNT #: 01953266648 | OPPENHEIMER INTERNATIONAL DIVERSIFI<br>BUY 0 Units @0.0000 | 0.00                 | 2.56                | 0.00               | 2.56              | 0.5  | 0.01                 |
| 12/31/2017   | ***-**-1588 - FOLEY, JOHN<br>ACCOUNT #: 01953346959     | OPPENHEIMER INTERNATIONAL DIVERSIFI<br>BUY 0 Units @0.0000 | 0.00                 | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
| 12/31/2017   | ***-**-053I - INGERSOLL, ROY<br>ACCOUNT #: 01953356210  | OPPENHEIMER INTERNATIONAL DIVERSIFI<br>BUY 0 Units @0.0000 | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
| 12/31/2017   | ***-**-231I - MISHLANIE JR,<br>ACCOUNT #: 01953382632   | OPPENHEIMER INTERNATIONAL DIVERSIFI<br>BUY 0 Units @0.0000 | 0.00                 | 1.74                | 0.00               | 1.74              | 0.5  | 0.01                 |
| 12/31/2017   | ***-**-58IN - CADY, GAIL<br>ACCOUNT #: 01970799227      | OPPENHEIMER INTERNATIONAL DIVERSIFI<br>BUY 0 Units @0.0000 | 0.00                 | 5.91                | 0.00               | 5.91              | 0.5  | 0.03                 |
| 12/31/2017   | ***-**-0457 - STAGLIANO, GINA<br>ACCOUNT #: 01970849112 | OPPENHEIMER INTERNATIONAL DIVERSIFI<br>BUY 0 Units @0.0000 | 0.00                 | 2.22                | 0.00               | 2.22              | 0.5  | 0.01                 |
| 12/31/2017   | ***-**-11IN - MOYLAN, TIMOTHY<br>ACCOUNT #: 01970849123 | OPPENHEIMER INTERNATIONAL DIVERSIFI<br>BUY 0 Units @0.0000 | 0.00                 | 4.44                | 0.00               | 4.44              | 0.5  | 0.02                 |
| 12/31/2017   | ***-**-090I - RASPANTE, JOHN<br>ACCOUNT #: 01970928730  | OPPENHEIMER INTERNATIONAL DIVERSIFI<br>BUY 0 Units @0.0000 | 0.00                 | 14.07               | 0.00               | 14.07             | 0.5  | 0.07                 |
| 12/31/2017   | ***-**-7473 - SCOTELLARO,<br>ACCOUNT #: 01971001154     | OPPENHEIMER INTERNATIONAL DIVERSIFI<br>BUY 0 Units @0.0000 | 0.00                 | 1.66                | 0.00               | 1.66              | 0.5  | 0.01                 |
| 12/31/2017   | ***-**-58IN - SCHRECK, RYAN<br>ACCOUNT #: 01971002232   | OPPENHEIMER INTERNATIONAL DIVERSIFI<br>BUY 0 Units @0.0000 | 0.00                 | 5.72                | 0.00               | 5.72              | 0.5  | 0.03                 |
| 12/31/2017   | ***-**-090I - RASPANTE, JOHN<br>ACCOUNT #: 08170386485  | OPPENHEIMER INTERNATIONAL SMALL COM<br>BUY 0 Units @0.0000 | 0.00                 | 3.60                | 0.00               | 3.60              | 0.5  | 0.02                 |
| 12/31/2017   | ***-**-178I - DAVIS, MARILYN<br>ACCOUNT #: 08477115867  | OPPENHEIMER MAIN STREET SMALL CAP F<br>BUY 0 Units @0.0000 | 0.00                 | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
| 12/31/2017   | ***-**-59IN - MORGAN, WILLIAM<br>ACCOUNT #: 08477517323 | OPPENHEIMER MAIN STREET SMALL CAP F<br>BUY 0 Units @0.0000 | 0.00                 | 1.32                | 0.00               | 1.32              | 0.5  | 0.01                 |
| 12/31/2017   | ***-**-58IN - CADY, GAIL<br>ACCOUNT #: 02270806520      | OPPENHEIMER RISING DIVIDENDS FUND C<br>BUY 0 Units @0.0000 | 0.00                 | 5.80                | 0.00               | 5.80              | 0.5  | 0.03                 |





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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: DAVID GRIFFITH (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 12/31/2017                                       | ***-**-480I - SCOTELLARO,<br>ACCOUNT #: 02270869044      | OPPENHEIMER RISING DIVIDENDS FUND C<br>BUY 0 Units @0.0000 | 0.00                 | 7.56                | 0.00               | 7.56              | 0.5  | 0.04                 |
| 12/31/2017                                       | ***-**-91IN - RICHARDSON,<br>ACCOUNT #: 02270899404      | OPPENHEIMER RISING DIVIDENDS FUND C<br>BUY 0 Units @0.0000 | 0.00                 | 2.65                | 0.00               | 2.65              | 0.5  | 0.01                 |
| 12/31/2017                                       | ***-**-11IN - MOYLAN, TIMOTHY<br>ACCOUNT #: 02270899503  | OPPENHEIMER RISING DIVIDENDS FUND C<br>BUY 0 Units @0.0000 | 0.00                 | 4.42                | 0.00               | 4.42              | 0.5  | 0.02                 |
| 12/31/2017                                       | ***-**-090I - RASPANTE, JOHN<br>ACCOUNT #: 02271018369   | OPPENHEIMER RISING DIVIDENDS FUND C<br>BUY 0 Units @0.0000 | 0.00                 | 16.78               | 0.00               | 16.78             | 0.5  | 0.08                 |
| 12/31/2017                                       | ***-**-58IN - SCHRECK, RYAN<br>ACCOUNT #: 02271130536    | OPPENHEIMER RISING DIVIDENDS FUND C<br>BUY 0 Units @0.0000 | 0.00                 | 5.31                | 0.00               | 5.31              | 0.5  | 0.03                 |
| 12/31/2017                                       | ***-**-91IN - RICHARDSON,<br>ACCOUNT #: 02913583470      | OPPENHEIMER SENIOR FLOATING RATE CL<br>BUY 0 Units @0.0000 | 0.00                 | 1.68                | 0.00               | 1.68              | 0.5  | 0.01                 |
| 12/31/2017                                       | ***-**-985I - MCAUSLAN,<br>ACCOUNT #: 02913853707        | OPPENHEIMER SENIOR FLOATING RATE CL<br>BUY 0 Units @0.0000 | 0.00                 | 2.14                | 0.00               | 2.14              | 0.5  | 0.01                 |
| 12/31/2017                                       | ***-**-609J - CADY, PATRICK<br>ACCOUNT #: 02514647841    | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 2.02                | 0.00               | 2.02              | 0.5  | 0.01                 |
| 12/31/2017                                       | ***-**-585I - GLEESON, BARBARA<br>ACCOUNT #: 02514983528 | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
| 12/31/2017                                       | ***-**-497I - MARTIN, KATHLEEN<br>ACCOUNT #: 05420240427 | PORT SERIES: CONS INV C<br>BUY 0 Units @0.0000             | 0.00                 | 3.35                | 0.00               | 3.35              | 0.5  | 0.02                 |
| 12/31/2017                                       | ***-**-178I - DAVIS, MARILYN<br>ACCOUNT #: 02577442831   | QUEST BALANCED A<br>BUY 0 Units @0.0000                    | 0.00                 | 2.37                | 0.00               | 2.37              | 0.5  | 0.01                 |
| 12/31/2017                                       | ***-**-231I - MISHLANIE JR,<br>ACCOUNT #: 02577784744    | QUEST BALANCED A<br>BUY 0 Units @0.0000                    | 0.00                 | 1.58                | 0.00               | 1.58              | 0.5  | 0.01                 |
| 12/31/2017                                       | ***-**-58IN - CADY, GAIL<br>ACCOUNT #: 02592245914       | QUEST BALANCED FUND C<br>BUY 0 Units @0.0000               | 0.00                 | 5.38                | 0.00               | 5.38              | 0.5  | 0.03                 |
| 12/31/2017                                       | ***-**-480I - SCOTELLARO,<br>ACCOUNT #: 02592262469      | QUEST BALANCED FUND C<br>BUY 0 Units @0.0000               | 0.00                 | 24.29               | 0.00               | 24.29             | 0.5  | 0.12                 |
| 12/31/2017                                       | ***-**-090I - RASPANTE, JOHN<br>ACCOUNT #: 02592315709   | QUEST BALANCED FUND C<br>BUY 0 Units @0.0000               | 0.00                 | 3.70                | 0.00               | 3.70              | 0.5  | 0.02                 |
| 12/31/2017                                       | ***-**-91IN - RICHARDSON,<br>ACCOUNT #: 02592394447      | QUEST BALANCED FUND C<br>BUY 0 Units @0.0000               | 0.00                 | 3.34                | 0.00               | 3.34              | 0.5  | 0.02                 |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>         |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-69IR - PERRITANO, SUSAN | QUEST INTERNATIONAL VALUE B         | 0.00                 | 1.61                | 0.00               | 1.61              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02550537977         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-400K - TEESDALE,        | QUEST INTERNATIONAL VALUE FUND, INC | 0.00                 | 1.58                | 0.00               | 1.58              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02541113409         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-231I - MISHLANIE JR,    | QUEST INTERNATIONAL VALUE FUND, INC | 0.00                 | 1.61                | 0.00               | 1.61              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02541186680         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-58IN - CADY, GAIL       | QUEST INTERNATIONAL VALUE FUND, INC | 0.00                 | 3.71                | 0.00               | 3.71              | 0.5  | 0.02                 |
|   | ACCOUNT #: 02560282953         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-11IN - MOYLAN, TIMOTHY  | QUEST INTERNATIONAL VALUE FUND, INC | 0.00                 | 2.19                | 0.00               | 2.19              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02560289795         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-090I - RASPANTE, JOHN   | QUEST OPPORTUNITY VALUE FUND C      | 0.00                 | 5.86                | 0.00               | 5.86              | 0.5  | 0.03                 |
|   | ACCOUNT #: 02381154945         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-91IN - RICHARDSON,      | REAL ESTATE FUND A                  | 0.00                 | 2.95                | 0.00               | 2.95              | 0.5  | 0.01                 |
|   | ACCOUNT #: 05900979550         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-59IN - MORGAN, WILLIAM  | REAL ESTATE FUND A                  | 0.00                 | 2.15                | 0.00               | 2.15              | 0.5  | 0.01                 |
|   | ACCOUNT #: 05901205897         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-59IN - MORGAN, WILLIAM  | REAL ESTATE FUND A                  | 0.00                 | 1.97                | 0.00               | 1.97              | 0.5  | 0.01                 |
|   | ACCOUNT #: 05901212926         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-231I - MISHLANIE JR,    | REAL ESTATE FUND A                  | 0.00                 | 1.99                | 0.00               | 1.99              | 0.5  | 0.01                 |
|   | ACCOUNT #: 05901291268         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-58IN - CADY, GAIL       | REAL ESTATE FUND C                  | 0.00                 | 3.47                | 0.00               | 3.47              | 0.5  | 0.02                 |
|   | ACCOUNT #: 05920265584         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-480I - SCOTELLARO,      | REAL ESTATE FUND C                  | 0.00                 | 6.78                | 0.00               | 6.78              | 0.5  | 0.03                 |
|   | ACCOUNT #: 05920279081         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-29IN - THIBAUT,         | REAL ESTATE FUND C                  | 0.00                 | 16.38               | 0.00               | 16.38             | 0.5  | 0.08                 |
|   | ACCOUNT #: 05920285846         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0457 - STAGLIANO, GINA  | REAL ESTATE FUND C                  | 0.00                 | 1.26                | 0.00               | 1.26              | 0.5  | 0.01                 |
|   | ACCOUNT #: 05920286880         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-11IN - MOYLAN, TIMOTHY  | REAL ESTATE FUND C                  | 0.00                 | 2.05                | 0.00               | 2.05              | 0.5  | 0.01                 |
|   | ACCOUNT #: 05920286891         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-090I - RASPANTE, JOHN   | REAL ESTATE FUND C                  | 0.00                 | 9.14                | 0.00               | 9.14              | 0.5  | 0.05                 |
|   | ACCOUNT #: 05920332673         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: DAVID GRIFFITH (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-4580 - GRIFFITH,<br>ACCOUNT #: 02252428624        | RISING DIVIDENDS FUND A<br>BUY 0 Units @0.0000       | 0.00                 | 7.16                | 0.00               | 7.16              | 0.5  | 0.04                 |
| 12/31/2017  | ***-**-25IN - PERRITANO,<br>ACCOUNT #: 02252885421       | RISING DIVIDENDS FUND A<br>BUY 0 Units @0.0000       | 0.00                 | 1.98                | 0.00               | 1.98              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-91IN - RICHARDSON,<br>ACCOUNT #: 02253970175      | RISING DIVIDENDS FUND A<br>BUY 0 Units @0.0000       | 0.00                 | 3.94                | 0.00               | 3.94              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-400K - TEESDALE,<br>ACCOUNT #: 02254058263        | RISING DIVIDENDS FUND A<br>BUY 0 Units @0.0000       | 0.00                 | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-59IN - MORGAN, WILLIAM<br>ACCOUNT #: 02254589255  | RISING DIVIDENDS FUND A<br>BUY 0 Units @0.0000       | 0.00                 | 2.31                | 0.00               | 2.31              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-59IN - MORGAN, WILLIAM<br>ACCOUNT #: 02254603511  | RISING DIVIDENDS FUND A<br>BUY 0 Units @0.0000       | 0.00                 | 3.55                | 0.00               | 3.55              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-5851 - GLEESON, BARBARA<br>ACCOUNT #: 02254680148 | RISING DIVIDENDS FUND A<br>BUY 0 Units @0.0000       | 0.00                 | 2.73                | 0.00               | 2.73              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-1588 - FOLEY, JOHN<br>ACCOUNT #: 02254704744      | RISING DIVIDENDS FUND A<br>BUY 0 Units @0.0000       | 0.00                 | 1.94                | 0.00               | 1.94              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-794I - INGERSOLL, JOAN<br>ACCOUNT #: 02254716448  | RISING DIVIDENDS FUND A<br>BUY 0 Units @0.0000       | 0.00                 | 1.32                | 0.00               | 1.32              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-718I - LOWE, GREGORY<br>ACCOUNT #: 02254747468    | RISING DIVIDENDS FUND A<br>BUY 0 Units @0.0000       | 0.00                 | 1.37                | 0.00               | 1.37              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-231I - MISHLANIE JR,<br>ACCOUNT #: 02254747534    | RISING DIVIDENDS FUND A<br>BUY 0 Units @0.0000       | 0.00                 | 13.49               | 0.00               | 13.49             | 0.5  | 0.07                 |
| 12/31/2017  | ***-**-609J - CADY, PATRICK<br>ACCOUNT #: 02254799212    | RISING DIVIDENDS FUND A<br>BUY 0 Units @0.0000       | 0.00                 | 1.03                | 0.00               | 1.03              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-609J - CADY, PATRICK<br>ACCOUNT #: 02261757184    | RISING DIVIDENDS FUND, INC. B<br>BUY 0 Units @0.0000 | 0.00                 | 1.98                | 0.00               | 1.98              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-69IR - PERRITANO, SUSAN<br>ACCOUNT #: 02261787654 | RISING DIVIDENDS FUND, INC. B<br>BUY 0 Units @0.0000 | 0.00                 | 4.45                | 0.00               | 4.45              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-91IN - RICHARDSON,<br>ACCOUNT #: 06020193534      | SELECT VALUE C<br>BUY 0 Units @0.0000                | 0.00                 | 4.63                | 0.00               | 4.63              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-480I - SCOTELLARO,<br>ACCOUNT #: 02931730520      | SENIOR FLOATING RATE FUND C<br>BUY 0 Units @0.0000   | 0.00                 | 1.28                | 0.00               | 1.28              | 0.5  | 0.01                 |



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|--|--------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>         |                                |                                |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u> </b> |                                |                                |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-0457 - STAGLIANO, GINA  | SENIOR FLOATING RATE FUND C    | 0.00                 | 1.26                | 0.00               | 1.26              | 0.5  | 0.01                 |
|  | ACCOUNT #: 02931758372         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-090I - RASPANTE, JOHN   | SENIOR FLOATING RATE FUND C    | 0.00                 | 2.40                | 0.00               | 2.40              | 0.5  | 0.01                 |
|  | ACCOUNT #: 02932007225         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-5851 - GLEESON, BARBARA | SMALL- & MID- CAP VALUE B      | 0.00                 | 1.29                | 0.00               | 1.29              | 0.5  | 0.01                 |
|  | ACCOUNT #: 02521469193         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-58IN - CADY, GAIL       | SMALL- & MID- CAP VALUE FUND C | 0.00                 | 4.05                | 0.00               | 4.05              | 0.5  | 0.02                 |
|  | ACCOUNT #: 02531131966         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-91IN - RICHARDSON,      | SMALL- & MID- CAP VALUE FUND C | 0.00                 | 6.38                | 0.00               | 6.38              | 0.5  | 0.03                 |
|  | ACCOUNT #: 02531164691         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-0457 - STAGLIANO, GINA  | SMALL- & MID- CAP VALUE FUND C | 0.00                 | 1.55                | 0.00               | 1.55              | 0.5  | 0.01                 |
|  | ACCOUNT #: 02531164735         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-090I - RASPANTE, JOHN   | SMALL- & MID- CAP VALUE FUND C | 0.00                 | 3.13                | 0.00               | 3.13              | 0.5  | 0.02                 |
|  | ACCOUNT #: 02531206898         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-480I - SCOTELLARO,      | STRATEGIC INCOME FUND C        | 0.00                 | 7.59                | 0.00               | 7.59              | 0.5  | 0.04                 |
|  | ACCOUNT #: 02322654102         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-7473 - SCOTELLARO,      | STRATEGIC INCOME FUND C        | 0.00                 | 1.41                | 0.00               | 1.41              | 0.5  | 0.01                 |
|  | ACCOUNT #: 02322945965         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 01/08/2018   | ***-**-90IN - PICKARD, KAREN   | THE GROWTH FUND OF AMERICA-C   | 13,278.57            | 1.99                | 0.00               | 1.99              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011687           | SELL 279 Units @47.5100        |                      |                     |                    |                   |      |                      |
| 01/05/2018   | ***-**-469I - HAUCK, JUDITH    | THE INCOME FUND OF AMERICA-A   | 250.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00087147439         | BUY 10 Units @24.2700          |                      |                     |                    |                   |      |                      |
| 01/05/2018   | ***-**-469I - HAUCK, JUDITH    | THE INCOME FUND OF AMERICA-A   | 98.08                | 1.96                | 0.00               | 1.96              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087147439         | BUY 4 Units @24.2700           |                      |                     |                    |                   |      |                      |
| 12/31/2017   | ***-**-58IN - CADY, GAIL       | U.S. GOVERNMENT TRUST C        | 0.00                 | 1.03                | 0.00               | 1.03              | 0.5  | 0.01                 |
|  | ACCOUNT #: 02220682638         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| * DAVID GRIFFITH SUBTOTAL *                        |                                |                                | <b>\$81,280.57</b>   | <b>\$1,377.44</b>   | <b>\$0.00</b>      | <b>\$1,377.44</b> |      | <b>\$7.04</b>        |
| <b> <u>BROKER: KENT MCNARY</u> </b>                |                                |                                |                      |                     |                    |                   |      |                      |
| 01/15/2018   | ***-**-78CL - MCNARY, CLIENTS  | PRINCIPAL VA TRAILS            | 0.00                 | 223.56              | 0.00               | 223.56            | 0.5  | 1.12                 |
|  | ACCOUNT #: 713687              | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| * KENT MCNARY SUBTOTAL *                           |                                |                                | <b>\$0.00</b>        | <b>\$223.56</b>     | <b>\$0.00</b>      | <b>\$223.56</b>   |      | <b>\$1.12</b>        |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: SETH ROSENBERG</u></b>              |                                |                                     |                      |                     |                    |                   |      |                      |
| 01/08/2018  | ***-**-4263 - SELARU, DR       | BLACKROCK MID CAP VALUE OPPORTIES C | 380.50               | 10.45               | 0.00               | 10.45             | 0.5  | 0.05                 |
|   | ACCOUNT #: LSR011307           | BUY 21 Units @18.4100               |                      |                     |                    |                   |      |                      |
| 01/08/2018  | ***-**-4263 - SELARU, DR       | BLACKROCK S&P 500 INDEX INV A       | 760.86               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR011307           | BUY 2 Units @327.1100               |                      |                     |                    |                   |      |                      |
| 01/08/2018  | ***-**-4263 - SELARU, DR       | BLACKROCK VALUE OPPORT FD CL A      | 380.48               | 10.45               | 0.00               | 10.45             | 0.5  | 0.05                 |
|   | ACCOUNT #: LSR011307           | BUY 11 Units @33.1000               |                      |                     |                    |                   |      |                      |
|   |                                | <b>* SETH ROSENBERG SUBTOTAL *</b>  | <b>\$1,521.84</b>    | <b>\$23.90</b>      | <b>\$0.00</b>      | <b>\$23.90</b>    |      | <b>\$0.12</b>        |
| <b><u>BROKER: DENNIS CONNOR</u></b>               |                                |                                     |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-8645 - MOAN, THERESA    | AMT-FREE NEW YORK MUNICIPALS A      | 0.00                 | 55.08               | 0.00               | 55.08             | 0.5  | 0.28                 |
|   | ACCOUNT #: 03600041272         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-8645 - MOAN, THERESA    | CAPITAL APPRECIATION A              | 0.00                 | 16.39               | 0.00               | 16.39             | 0.5  | 0.08                 |
|   | ACCOUNT #: 03200722106         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-7998 - ROSENTHAL, BARRY | CAPITAL APPRECIATION A              | 0.00                 | 50.50               | 0.00               | 50.50             | 0.5  | 0.25                 |
|   | ACCOUNT #: 03201254231         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-4110 - KAVANAGH,        | EQUITY INCOME FUND, INC. A          | 0.00                 | 3.03                | 0.00               | 3.03              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08352452703         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-02IN - MANCHESTER,      | EQUITY INCOME FUND, INC. A          | 0.00                 | 6.11                | 0.00               | 6.11              | 0.5  | 0.03                 |
|   | ACCOUNT #: 08352452714         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-52IN - METZLER, JANET   | GLOBAL OPPORTUNITIES A              | 0.00                 | 6.42                | 0.00               | 6.42              | 0.5  | 0.03                 |
|   | ACCOUNT #: 02154900346         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-7193 - GALE, WALTER     | GLOBAL OPPORTUNITIES A              | 0.00                 | 5.08                | 0.00               | 5.08              | 0.5  | 0.03                 |
|   | ACCOUNT #: 02155864958         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0804 - GALE, MARY       | GLOBAL OPPORTUNITIES A              | 0.00                 | 12.14               | 0.00               | 12.14             | 0.5  | 0.06                 |
|   | ACCOUNT #: 02155864980         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0075 - MEHIT, LAURA     | GLOBAL OPPORTUNITIES A              | 0.00                 | 4.22                | 0.00               | 4.22              | 0.5  | 0.02                 |
|   | ACCOUNT #: 02156080382         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-6502 - MANCHESTER,      | GOLD & SPECIAL MINERALS A           | 0.00                 | 1.23                | 0.00               | 1.23              | 0.5  | 0.01                 |
|   | ACCOUNT #: 04103782086         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-5033 - KATZENBERGER,    | INTERNATIONAL BOND A                | 0.00                 | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08800893992         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-7193 - GALE, WALTER     | INTERNATIONAL BOND A                | 0.00                 | 1.31                | 0.00               | 1.31              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08808004425         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                               |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: DENNIS CONNOR (continued)</u></b>   |                                |                               |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0804 - GALE, MARY       | INTERNATIONAL BOND A          | 0.00                 | 2.07                | 0.00               | 2.07              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08808004436         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-52IN - METZLER, JANET   | INTERNATIONAL GROWTH FUND A   | 0.00                 | 4.17                | 0.00               | 4.17              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08251985687         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-1550 - LIPKOWITZ, TOD   | INTERNATIONAL SMALL COMPANY A | 0.00                 | 11.70               | 0.00               | 11.70             | 0.5  | 0.06                 |
|   | ACCOUNT #: 08150348557         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-7560 - ELLEN, BEVERLY   | INTERNATIONAL SMALL COMPANY A | 0.00                 | 9.06                | 0.00               | 9.06              | 0.5  | 0.05                 |
|   | ACCOUNT #: 08150349052         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-7193 - GALE, WALTER     | INTERNATIONAL SMALL COMPANY A | 0.00                 | 2.09                | 0.00               | 2.09              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08150363814         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-9257 - JENNERICH, KAREN | INTERNATIONAL SMALL COMPANY A | 0.00                 | 4.21                | 0.00               | 4.21              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08150632357         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-9257 - JENNERICH, KAREN | INTERNATIONAL SMALL COMPANY A | 0.00                 | 2.49                | 0.00               | 2.49              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08150699963         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-5276 - JENNERICH,       | INTERNATIONAL SMALL COMPANY A | 0.00                 | 4.11                | 0.00               | 4.11              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08150699974         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0804 - GALE, MARY       | INTERNATIONAL SMALL COMPANY A | 0.00                 | 7.51                | 0.00               | 7.51              | 0.5  | 0.04                 |
|   | ACCOUNT #: 08151112595         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-02IN - MANCHESTER,      | INTERNATIONAL SMALL COMPANY A | 0.00                 | 10.29               | 0.00               | 10.29             | 0.5  | 0.05                 |
|   | ACCOUNT #: 08152119953         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-4110 - KAVANAGH,        | INTERNATIONAL SMALL COMPANY A | 0.00                 | 6.72                | 0.00               | 6.72              | 0.5  | 0.03                 |
|   | ACCOUNT #: 08152121988         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0075 - MEHIT, LAURA     | INTERNATIONAL SMALL COMPANY A | 0.00                 | 2.02                | 0.00               | 2.02              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08152121999         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-3590 - HEALY, THOMAS    | MAIN STREET FUND A            | 0.00                 | 39.33               | 0.00               | 39.33             | 0.5  | 0.20                 |
|   | ACCOUNT #: 07004927719         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-5033 - KATZENBERGER,    | MAIN STREET FUND A            | 0.00                 | 1.47                | 0.00               | 1.47              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07003577024         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-4572 - MELIN, LUCILLE   | MAIN STREET FUND A            | 0.00                 | 48.44               | 0.00               | 48.44             | 0.5  | 0.24                 |
|   | ACCOUNT #: 07003577145         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-9220 -                  | MAIN STREET FUND A            | 0.00                 | 6.19                | 0.00               | 6.19              | 0.5  | 0.03                 |
|   | ACCOUNT #: 07004400088         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |



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|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                               |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: DENNIS CONNOR (continued)</u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-1550 - LIPKOWITZ, TOD  | MAIN STREET FUND A                  | 0.00                 | 5.05                | 0.00               | 5.05              | 0.5  | 0.03                 |
|   | ACCOUNT #: 07004528480        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-0075 - MEHIT, LAURA    | MAIN STREET FUND A                  | 0.00                 | 5.25                | 0.00               | 5.25              | 0.5  | 0.03                 |
|   | ACCOUNT #: 07005702293        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/15/2018                                      | ***-**-4566 - HEALY, KATHLEEN | NEW YORK 529 TRAILS                 | 0.00                 | 18.26               | 0.00               | 18.26             | 0.5  | 0.09                 |
|   | ACCOUNT #: 77342237501        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/15/2018                                      | ***-**-1832 - WEISMAN, DORIS  | NEW YORK 529 TRAILS                 | 0.00                 | 6.25                | 0.00               | 6.25              | 0.5  | 0.03                 |
|   |                               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 01/15/2018                                      | ***-**-7319 - ROTONDI, LAURA  | NEW YORK 529 TRAILS                 | 0.00                 | 1.07                | 0.00               | 1.07              | 0.5  | 0.01                 |
|   |                               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-7193 - GALE, WALTER    | OPPENHEIMER DEVELOPING MARKETS CLAS | 0.00                 | 1.16                | 0.00               | 1.16              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07857610757        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-0804 - GALE, MARY      | OPPENHEIMER DEVELOPING MARKETS CLAS | 0.00                 | 2.16                | 0.00               | 2.16              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07857610768        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-7560 - ELLEN, BEVERLY  | OPPENHEIMER DEVELOPING MARKETS CLAS | 0.00                 | 6.41                | 0.00               | 6.41              | 0.5  | 0.03                 |
|   | ACCOUNT #: 07857616037        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-1550 - LIPKOWITZ, TOD  | OPPENHEIMER MAIN STREET OPPORTUNITY | 0.00                 | 2.54                | 0.00               | 2.54              | 0.5  | 0.01                 |
|   | ACCOUNT #: 07315064598        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-7193 - GALE, WALTER    | OPPENHEIMER MAIN STREET SMALL CAP F | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08476397380        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-0804 - GALE, MARY      | OPPENHEIMER MAIN STREET SMALL CAP F | 0.00                 | 3.92                | 0.00               | 3.92              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08476397391        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-02IN - MANCHESTER,     | OPPENHEIMER MAIN STREET SMALL CAP F | 0.00                 | 8.88                | 0.00               | 8.88              | 0.5  | 0.04                 |
|   | ACCOUNT #: 08477443689        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-4110 - KAVANAGH,       | OPPENHEIMER MAIN STREET SMALL CAP F | 0.00                 | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08477444261        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-9220 -                 | OPPENHEIMER SMALL & MID CAP VALUE F | 0.00                 | 1.52                | 0.00               | 1.52              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02510540958        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-1550 - LIPKOWITZ, TOD  | OPPENHEIMER SMALL & MID CAP VALUE F | 0.00                 | 3.54                | 0.00               | 3.54              | 0.5  | 0.02                 |
|   | ACCOUNT #: 02511054064        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/31/2017                                      | ***-**-7560 - ELLEN, BEVERLY  | OPPENHEIMER SMALL & MID CAP VALUE F | 0.00                 | 3.58                | 0.00               | 3.58              | 0.5  | 0.02                 |
|   | ACCOUNT #: 02511054977        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: DENNIS CONNOR (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-4572 - MELIN, LUCILLE<br>ACCOUNT #: 02511098152   | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 11.33               | 0.00               | 11.33             | 0.5  | 0.06                 |
| 12/31/2017  | ***-**-5033 - KATZENBERGER,<br>ACCOUNT #: 02511098163    | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 3.37                | 0.00               | 3.37              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-9257 - JENNERICH, KAREN<br>ACCOUNT #: 02511573297 | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 1.53                | 0.00               | 1.53              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-9257 - JENNERICH, KAREN<br>ACCOUNT #: 02511674101 | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 1.01                | 0.00               | 1.01              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-5276 - JENNERICH,<br>ACCOUNT #: 02511674145       | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 1.58                | 0.00               | 1.58              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-6502 - MANCHESTER,<br>ACCOUNT #: 02514873451      | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 2.89                | 0.00               | 2.89              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-4110 - KAVANAGH,<br>ACCOUNT #: 02514874144        | OPPENHEIMER SMALL & MID CAP VALUE F<br>BUY 0 Units @0.0000 | 0.00                 | 3.25                | 0.00               | 3.25              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-0804 - GALE, MARY<br>ACCOUNT #: 02304402203       | OPPENHEIMER STRATEGIC INCOME FD CL<br>BUY 0 Units @0.0000  | 0.00                 | 1.06                | 0.00               | 1.06              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-7193 - GALE, WALTER<br>ACCOUNT #: 02201824790     | OPPENHEIMER U.S. GOVT TR CLASS A<br>BUY 0 Units @0.0000    | 0.00                 | 4.64                | 0.00               | 4.64              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-0804 - GALE, MARY<br>ACCOUNT #: 02201824801       | OPPENHEIMER U.S. GOVT TR CLASS A<br>BUY 0 Units @0.0000    | 0.00                 | 6.16                | 0.00               | 6.16              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-6710 - EVA JAYNE<br>ACCOUNT #: 05570161667        | PORTFOLIO SERIES: EQUITY INVESTOR F<br>BUY 0 Units @0.0000 | 0.00                 | 59.96               | 0.00               | 59.96             | 0.5  | 0.30                 |
| 12/31/2017  | ***-**-3590 - HEALY, THOMAS<br>ACCOUNT #: 02572447632    | QUEST BALANCED A<br>BUY 0 Units @0.0000                    | 0.00                 | 16.72               | 0.00               | 16.72             | 0.5  | 0.08                 |
| 12/31/2017  | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 05900733095     | REAL ESTATE FUND A<br>BUY 0 Units @0.0000                  | 0.00                 | 2.76                | 0.00               | 2.76              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-2773 - DASARO, ANN<br>ACCOUNT #: 03670255244      | ROCHESTER FUND MUNICIPALS C<br>BUY 0 Units @0.0000         | 0.00                 | 61.02               | 0.00               | 61.02             | 0.5  | 0.31                 |
| 12/31/2017  | ***-**-52IN - METZLER, JANET<br>ACCOUNT #: 06000341495   | SELECT VALUE FUND A<br>BUY 0 Units @0.0000                 | 0.00                 | 4.41                | 0.00               | 4.41              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-52IN - METZLER, JANET<br>ACCOUNT #: 07210302126   | SMALL- & MID-CAP GROWTH FUND A<br>BUY 0 Units @0.0000      | 0.00                 | 5.20                | 0.00               | 5.20              | 0.5  | 0.03                 |





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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: DENNIS CONNOR (continued)</u></b>   |   |  |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-5033 - KATZENBERGER,<br>ACCOUNT #: 07210486640   | SMALL- & MID-CAP GROWTH FUND A<br>BUY 0 Units @0.0000      | 0.00                 | 2.10                | 0.00               | 2.10              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-4572 - MELIN, LUCILLE<br>ACCOUNT #: 07210486651  | SMALL- & MID-CAP GROWTH FUND A<br>BUY 0 Units @0.0000      | 0.00                 | 2.01                | 0.00               | 2.01              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-4110 - KAVANAGH,<br>ACCOUNT #: 07210729069       | SMALL- & MID-CAP GROWTH FUND A<br>BUY 0 Units @0.0000      | 0.00                 | 3.40                | 0.00               | 3.40              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-02IN - MANCHESTER,<br>ACCOUNT #: 07210729080     | SMALL- & MID-CAP GROWTH FUND A<br>BUY 0 Units @0.0000      | 0.00                 | 6.82                | 0.00               | 6.82              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 07210834460    | SMALL- & MID-CAP GROWTH FUND A<br>BUY 0 Units @0.0000      | 0.00                 | 3.07                | 0.00               | 3.07              | 0.5  | 0.02                 |
| <b>* DENNIS CONNOR SUBTOTAL *</b>                 |   |  | <b>\$0.00</b>        | <b>\$601.08</b>     | <b>\$0.00</b>      | <b>\$601.08</b>   |      | <b>\$3.06</b>        |
| <b><u>BROKER: WILLIAM FRANCIS</u></b>             |   |  |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-8325 - BUECHEL,<br>ACCOUNT #: 00088244527        | AMERICAN BALANCED FUND-A<br>BUY 5 Units @27.8100           | 126.92               | 2.03                | 0.00               | 2.03              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-8325 - BUECHEL,<br>ACCOUNT #: 00088244527        | AMERICAN BALANCED FUND-A<br>BUY 5 Units @27.8100           | 126.92               | 2.03                | 0.00               | 2.03              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-7033 - TURNER, BRYAN<br>ACCOUNT #: 00089463498   | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 36 Units @15.8900 | 565.40               | 9.05                | 0.00               | 9.05              | 0.5  | 0.05                 |
| 01/02/2018  | ***-**-7033 - TURNER, BRYAN<br>ACCOUNT #: 00089463498   | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 11 Units @15.8900 | 169.60               | 2.71                | 0.00               | 2.71              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-4858 - GODOFSKY,<br>ACCOUNT #: 04000349982       | AMERICAN FUNDS GROWTH PORTFOLIO A<br>BUY 17 Units @18.6500 | 323.08               | 5.17                | 0.00               | 5.17              | 0.5  | 0.03                 |
| 01/02/2018  | ***-**-4858 - GODOFSKY,<br>ACCOUNT #: 04000349982       | AMERICAN FUNDS GROWTH PORTFOLIO A<br>BUY 7 Units @18.6500  | 138.48               | 2.22                | 0.00               | 2.22              | 0.5  | 0.01                 |
| 01/08/2018  | ***-**-55IO - KOMAR, EDWARD<br>ACCOUNT #: LSR011569     | AMERICAN HIGH-INCOME TRUST-A<br>BUY 594 Units @10.4400     | 6,200.00             | 44.00               | 0.00               | 44.00             | 0.5  | 0.22                 |
| 01/08/2018  | ***-**-55IO - KOMAR, EDWARD<br>ACCOUNT #: LSR011569     | AMERICAN MUTUAL FUND-A<br>BUY 136 Units @41.6000           | 5,640.00             | 38.40               | 0.00               | 38.40             | 0.5  | 0.19                 |
| 12/31/2017  | ***-**-7131 - PHILLIPS, DAVID<br>ACCOUNT #: 03008846068 | CAPITAL INCOME A<br>BUY 0 Units @0.0000                    | 0.00                 | 24.86               | 0.00               | 24.86             | 0.5  | 0.12                 |
| 12/31/2017  | ***-**-3569 - ANDERSON,<br>ACCOUNT #: 03008855924       | CAPITAL INCOME A<br>BUY 0 Units @0.0000                    | 0.00                 | 1.29                | 0.00               | 1.29              | 0.5  | 0.01                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>   |   |   |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: WILLIAM FRANCIS (continued) </u></b> |   |   |                      |                     |                    |                   |      |                      |
| 01/08/2018  | ***-**-5510 - KOMAR, EDWARD<br>ACCOUNT #: LSR011569     | CAPITAL INCOME BUILDER-A<br>BUY 84 Units @63.4500             | 5,349.98             | 35.50               | 0.00               | 35.50             | 0.5  | 0.18                 |
| 01/08/2018  | ***-**-5510 - KOMAR, EDWARD<br>ACCOUNT #: LSR011569     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 102 Units @52.4600 | 5,349.98             | 35.50               | 0.00               | 35.50             | 0.5  | 0.18                 |
| 12/31/2017  | ***-**-3987 - LINGE, MARY<br>ACCOUNT #: 08351856019     | EQUITY INCOME FUND, INC. A<br>BUY 0 Units @0.0000             | 0.00                 | 5.72                | 0.00               | 5.72              | 0.5  | 0.03                 |
| 12/20/2017  | ***-**-0485 - WHALEN, STEPHEN<br>ACCOUNT #: 06090486215 | FEDERATED 31421R841<br>BUY 2 Units @20.0100                   | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-5922 - HOTAILING,<br>ACCOUNT #: 04206469364      | MAIN STREET FUND A<br>BUY 0 Units @0.0000                     | 0.00                 | 1.26                | 0.00               | 1.26              | 0.5  | 0.01                 |
| 01/12/2018  | ***-**-9587 - FILTER COMPANY,<br>ACCOUNT #: 836356      | MASS MUTUAL VA<br>BUY 1 Units @0.0000                         | 0.00                 | 1,408.21            | 0.00               | 1,408.21          | 0.5  | 7.04                 |
| 01/15/2018  | ***-**-775P - RYAN, MARY<br>ACCOUNT #: 77321355401      | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 1.55                | 0.00               | 1.55              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-3987 - LINGE, MARY<br>ACCOUNT #: 00100031714     | OPPENHEIMER CORP. BOND FUND A<br>BUY 0 Units @0.0000          | 0.00                 | 2.37                | 0.00               | 2.37              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-7131 - PHILLIPS, DAVID<br>ACCOUNT #: 00100011111 | OPPENHEIMER GLOBAL HIGH YIELD CL A<br>BUY 0 Units @0.0000     | 0.00                 | 10.80               | 0.00               | 10.80             | 0.5  | 0.05                 |
| 12/31/2017  | ***-**-3987 - LINGE, MARY<br>ACCOUNT #: 01952249841     | OPPENHEIMER INTERNATIONAL DIVERSIFI<br>BUY 0 Units @0.0000    | 0.00                 | 2.92                | 0.00               | 2.92              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-7748 - MCCANNA, GLORIA<br>ACCOUNT #: 03620059224 | OPPENHEIMER ROCHEST AMT-FREE NY MUN<br>BUY 0 Units @0.0000    | 0.00                 | 7.80                | 0.00               | 7.80              | 0.5  | 0.04                 |
| 12/31/2017  | ***-**-5680 - MOLINARO,<br>ACCOUNT #: 02911903132       | OPPENHEIMER SENIOR FLOATING RATE CL<br>BUY 0 Units @0.0000    | 0.00                 | 2.68                | 0.00               | 2.68              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-3569 - ANDERSON,<br>ACCOUNT #: 02913088899       | OPPENHEIMER SENIOR FLOATING RATE CL<br>BUY 0 Units @0.0000    | 0.00                 | 10.95               | 0.00               | 10.95             | 0.5  | 0.05                 |
| 12/31/2017  | ***-**-7274 - VALENTINO,<br>ACCOUNT #: 02253862573      | RISING DIVIDENDS FUND A<br>BUY 0 Units @0.0000                | 0.00                 | 3.47                | 0.00               | 3.47              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-8637 - BRUSIE, DOROTHY<br>ACCOUNT #: 03551239700 | ROCH. LIMITED TERM NEW YORK MUNICIP<br>BUY 0 Units @0.0000    | 0.00                 | 16.95               | 0.00               | 16.95             | 0.5  | 0.08                 |
| 12/31/2017  | ***-**-2538 - GOLDMAN, DANIEL<br>ACCOUNT #: 03551329053 | ROCH. LIMITED TERM NEW YORK MUNICIP<br>BUY 0 Units @0.0000    | 0.00                 | 4.01                | 0.00               | 4.01              | 0.5  | 0.02                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>   |  |   |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: WILLIAM FRANCIS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-5680 - MOLINARO,<br>ACCOUNT #: 03570606353        | ROCH. LIMITED TERM NEW YORK MUNICI<br>BUY 0 Units @0.0000     | 0.00                 | 4.81                | 0.00               | 4.81              | 0.5  | 0.02                 |
| 12/31/2017  | ***-**-751R - BORYK, CHRISTINA<br>ACCOUNT #: 03570643478 | ROCH. LIMITED TERM NEW YORK MUNICI<br>BUY 0 Units @0.0000     | 0.00                 | 5.88                | 0.00               | 5.88              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-8637 - BRUSIE, DOROTHY<br>ACCOUNT #: 03653246980  | ROCHESTER FUND MUNICIPALS A<br>BUY 0 Units @0.0000            | 0.00                 | 32.64               | 0.00               | 32.64             | 0.5  | 0.16                 |
| 12/31/2017  | ***-**-0780 - CADMAN, ELONA<br>ACCOUNT #: 03653291596    | ROCHESTER FUND MUNICIPALS A<br>BUY 0 Units @0.0000            | 0.00                 | 2.83                | 0.00               | 2.83              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-2538 - GOLDMAN, DANIEL<br>ACCOUNT #: 03653390475  | ROCHESTER FUND MUNICIPALS A<br>BUY 0 Units @0.0000            | 0.00                 | 10.08               | 0.00               | 10.08             | 0.5  | 0.05                 |
| 12/31/2017  | ***-**-5680 - MOLINARO,<br>ACCOUNT #: 03670696509        | ROCHESTER FUND MUNICIPALS C<br>BUY 0 Units @0.0000            | 0.00                 | 7.36                | 0.00               | 7.36              | 0.5  | 0.04                 |
| 12/31/2017  | ***-**-7748 - MCCANNA, GLORIA<br>ACCOUNT #: 03670698060  | ROCHESTER FUND MUNICIPALS C<br>BUY 0 Units @0.0000            | 0.00                 | 7.46                | 0.00               | 7.46              | 0.5  | 0.04                 |
| 12/31/2017  | ***-**-751R - BORYK, CHRISTINA<br>ACCOUNT #: 03670728728 | ROCHESTER FUND MUNICIPALS C<br>BUY 0 Units @0.0000            | 0.00                 | 6.74                | 0.00               | 6.74              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-7131 - PHILLIPS, DAVID<br>ACCOUNT #: 02932073918  | SENIOR FLOATING RATE FUND C<br>BUY 0 Units @0.0000            | 0.00                 | 72.44               | 0.00               | 72.44             | 0.5  | 0.36                 |
| 12/31/2017  | ***-**-7131 - PHILLIPS, DAVID<br>ACCOUNT #: 00100011210  | SENIOR FLOATING RATE FUND-CL C<br>BUY 0 Units @0.0000         | 0.00                 | 48.41               | 0.00               | 48.41             | 0.5  | 0.24                 |
| 01/08/2018  | ***-**-551O - KOMAR, EDWARD<br>ACCOUNT #: LSR011569      | THE BOND FUND OF AMERICA-A<br>BUY 197 Units @12.8500          | 2,537.00             | 7.37                | 0.00               | 7.37              | 0.5  | 0.04                 |
| 01/08/2018  | ***-**-551O - KOMAR, EDWARD<br>ACCOUNT #: LSR011569      | THE INCOME FUND OF AMERICA-A<br>BUY 131 Units @23.6700        | 3,099.99             | 13.00               | 0.00               | 13.00             | 0.5  | 0.07                 |
| <b>* WILLIAM FRANCIS SUBTOTAL *</b>                 |  |   | <b>\$29,677.35</b>   | <b>\$1,902.97</b>   | <b>\$0.00</b>      | <b>\$1,902.97</b> |      | <b>\$9.50</b>        |
| <b><u> BROKER: LOUIS HORWIN </u></b>                |  |   |                      |                     |                    |                   |      |                      |
| 01/05/2018  | ***-**-031O - STANTON, KAREN<br>ACCOUNT #: LSR011517     | CROSS TIMBERS ROYALTY TRUST SOLICIT<br>SELL 40 Units @15.0200 | 600.80               | 15.71               | 0.00               | 15.71             | 0.5  | 0.08                 |
| 01/08/2018  | ***-**-48TR - LIVING TR, U/A<br>ACCOUNT #: LSR011463     | FIRST TR STRATEGIC HIGH INC FD COM<br>SELL 455 Units @12.8400 | 5,842.20             | 69.96               | 0.00               | 69.96             | 0.5  | 0.35                 |
| 01/05/2018  | ***-**-031O - STANTON, KAREN<br>ACCOUNT #: LSR011517     | GLOBAL X FDS INTERNET OF THNG<br>SELL 690 Units @20.2900      | 14,000.10            | 181.20              | 0.00               | 181.20            | 0.5  | 0.91                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: LOUIS HORWIN (continued)</u></b>    |  |  |                      |                     |                    |                   |      |                      |
| 01/08/2018  | ***-**-48TR - LIVING TR, U/A<br>ACCOUNT #: LSR011463   | MATTEL INC SOLICITED ORDER<br>SELL 150 Units @15.8540        | 2,378.10             | 51.93               | 0.00               | 51.93             | 0.5  | 0.26                 |
| 01/05/2018  | ***-**-03IO - STANTON, KAREN<br>ACCOUNT #: LSR011517   | STELLUS CAP INVT CORP COM USD0.01<br>BUY 1120 Units @12.4400 | 13,932.80            | 177.60              | 0.00               | 177.60            | 0.5  | 0.89                 |
| * LOUIS HORWIN SUBTOTAL *                         |  |  | <b>\$36,754.00</b>   | <b>\$496.40</b>     | <b>\$0.00</b>      | <b>\$496.40</b>   |      | <b>\$2.49</b>        |
| <b><u>BROKER: DEVIN BORN</u></b>                  |  |  |                      |                     |                    |                   |      |                      |
| 12/26/2017  | ***-**-68IN - DODDS, JOHN<br>ACCOUNT #: 00777291985    | HIGH YIELD A<br>BUY 148 Units @3.6500                        | 541.66               | 18.96               | 0.00               | 18.96             | 0.5  | 0.09                 |
| 01/07/2018  | ***-**-929O - BRYNIARSKI,<br>ACCOUNT #: C161480-0X     | ING VA 380789883<br>BUY 0 Units @0.0000                      | 0.00                 | 11.91               | 0.00               | 11.91             | 0.5  | 0.06                 |
| 12/27/2017  | ***-**-0738 - WESSNER, TODD<br>ACCOUNT #: 00002492630  | JOHN HANCOCK DISCIPLINED VALUE A<br>BUY 5 Units @23.4100     | 118.68               | 3.38                | 0.00               | 3.38              | 0.5  | 0.02                 |
| 12/27/2017  | ***-**-0738 - WESSNER, TODD<br>ACCOUNT #: 00002492630  | JOHN HANCOCK DISCIPLINED VALUE A<br>BUY 2 Units @23.4100     | 35.60                | 1.01                | 0.00               | 1.01              | 0.5  | 0.01                 |
| 01/15/2018  | ***-**-4062 - BILL GILLESPIE,                          | MID ATLANTIC MF TRAILS<br>BUY 0 Units @0.0000                | 0.00                 | 1,555.16            | 0.00               | 1,555.16          | 0.5  | 7.78                 |
| 01/15/2018  | ***-**-0637 - SPRING RIDGE                             | MID ATLANTIC MF TRAILS<br>BUY 0 Units @0.0000                | 0.00                 | 999.44              | 0.00               | 999.44            | 0.5  | 5.00                 |
| 12/31/2017  | ***-**-8738 - GOLDSBOROUGH,<br>ACCOUNT #: 05550681912  | PORT SERIES: EQUITY INV FD A<br>BUY 0 Units @0.0000          | 0.00                 | 49.02               | 0.00               | 49.02             | 0.5  | 0.25                 |
| * DEVIN BORN SUBTOTAL *                           |  |  | <b>\$695.94</b>      | <b>\$2,638.88</b>   | <b>\$0.00</b>      | <b>\$2,638.88</b> |      | <b>\$13.21</b>       |
| <b><u>BROKER: JOHN TRUMAN</u></b>                 |  |  |                      |                     |                    |                   |      |                      |
| 01/05/2018  | ***-**-212X - MOCTEZUMA, ANA<br>ACCOUNT #: LSR012361   | ABBVIE INC COM USD0.01<br>SELL 53 Units @100.2320            | 5,312.30             | 37.94               | 0.00               | 37.94             | 0.5  | 0.19                 |
| 01/09/2018  | ***-**-29IO - MORELAND, BRIAN<br>ACCOUNT #: LSR012281  | AMERICAN BALANCED FUND-A<br>BUY 163 Units @29.2000           | 4,749.99             | 237.50              | 0.00               | 237.50            | 0.5  | 1.19                 |
| 01/02/2018  | ***-**-3815 - MILLER, ASHLEY<br>ACCOUNT #: 00087325265 | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 12 Units @16.2700   | 200.00               | 10.00               | 0.00               | 10.00             | 0.5  | 0.05                 |
| 01/05/2018  | ***-**-212X - MOCTEZUMA, ANA<br>ACCOUNT #: LSR012361   | GENERAL DYNAMICS CORP COM<br>SELL 18 Units @204.9340         | 3,688.81             | 38.64               | 0.00               | 38.64             | 0.5  | 0.19                 |



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|---|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                 |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JOHN TRUMAN (continued)</u></b>     |                                |                                 |                      |                     |                    |                   |      |                      |
| 01/05/2018  | ***-**-212X - MOCTEZUMA, ANA   | LOWES COMPANIES SOLICITED ORDER | 4,241.25             | 38.10               | 0.00               | 38.10             | 0.5  | 0.19                 |
|   | ACCOUNT #: LSR012361           | SELL 45 Units @94.2500          |                      |                     |                    |                   |      |                      |
| 01/05/2018  | ***-**-212X - MOCTEZUMA, ANA   | PFIZER INC UNSOLICITED ORDER    | 3,674.00             | 37.00               | 0.00               | 37.00             | 0.5  | 0.19                 |
|   | ACCOUNT #: LSR012361           | SELL 100 Units @36.7400         |                      |                     |                    |                   |      |                      |
| 01/05/2018  | ***-**-212X - MOCTEZUMA, ANA   | V F CORP SOLICITED ORDER        | 4,178.57             | 37.90               | 0.00               | 37.90             | 0.5  | 0.19                 |
|   | ACCOUNT #: LSR012361           | SELL 55 Units @75.9740          |                      |                     |                    |                   |      |                      |
| <b>* JOHN TRUMAN SUBTOTAL *</b>                   |                                |                                 | <b>\$26,044.92</b>   | <b>\$437.08</b>     | <b>\$0.00</b>      | <b>\$437.08</b>   |      | <b>\$2.19</b>        |
| <b><u>BROKER: SAMUEL BARBER</u></b>               |                                |                                 |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-04FB - WARD, DANIELLE   | MORNINGSTAR ADVISOR FEE         | 0.00                 | 2.99                | 0.00               | 2.99              | 0.5  | 0.01                 |
|   |                                | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-68FB - NILAND, MARY     | MORNINGSTAR ADVISOR FEE         | 0.00                 | 8.70                | 0.00               | 8.70              | 0.5  | 0.04                 |
|   |                                | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-29FB - MOORE, ERIN      | MORNINGSTAR ADVISOR FEE         | 0.00                 | 22.62               | 0.00               | 22.62             | 0.5  | 0.11                 |
|   |                                | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-68FB - NILAND, MARY     | MORNINGSTAR ADVISOR FEE         | 0.00                 | 23.42               | 0.00               | 23.42             | 0.5  | 0.12                 |
|   |                                | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-49FB - LINHART, ZACHARY | MORNINGSTAR ADVISOR FEE         | 0.00                 | 56.46               | 0.00               | 56.46             | 0.5  | 0.28                 |
|   |                                | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-63FB - BARBER,          | MORNINGSTAR ADVISOR FEE         | 0.00                 | 49.52               | 0.00               | 49.52             | 0.5  | 0.25                 |
|   |                                | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-41FB - FURNARY, TIMOTHY | MORNINGSTAR ADVISOR FEE         | 0.00                 | 44.62               | 0.00               | 44.62             | 0.5  | 0.22                 |
|   |                                | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-76FB - MANDEL, MICHAEL  | MORNINGSTAR ADVISOR FEE         | 0.00                 | 90.53               | 0.00               | 90.53             | 0.5  | 0.45                 |
|   |                                | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-17FB - REAGAN, MATTHEW  | MORNINGSTAR ADVISOR FEE         | 0.00                 | 125.29              | 0.00               | 125.29            | 0.5  | 0.63                 |
|   |                                | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-05FB - SMITH, MELANIE   | MORNINGSTAR ADVISOR FEE         | 0.00                 | 171.71              | 0.00               | 171.71            | 0.5  | 0.86                 |
|   |                                | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-65FB - OAKLEY, EDWARD   | MORNINGSTAR ADVISOR FEE         | 0.00                 | 151.35              | 0.00               | 151.35            | 0.5  | 0.76                 |
|   |                                | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-74IO - BRENNAN, JOHN    | MORNINGSTAR ADVISOR FEE         | 0.00                 | 225.19              | 0.00               | 225.19            | 0.5  | 1.13                 |
|   |                                | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |



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|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: SAMUEL BARBER (continued)</u></b>   |  |   |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-94FB - FINELLI, NANCY                             | MORNINGSTAR ADVISOR FEE<br>BUY 1 Units @0.0000            | 0.00                 | 298.45              | 0.00               | 298.45            | 0.5  | 1.49                 |
| 01/15/2018  | ***-**-95FB - GUTHRIE, RYAN                              | MORNINGSTAR ADVISOR FEE<br>BUY 1 Units @0.0000            | 0.00                 | 248.23              | 0.00               | 248.23            | 0.5  | 1.24                 |
| 01/15/2018  | ***-**-2696 - IGNACIO, CECILIA                           | MORNINGSTAR ADVISOR FEE<br>BUY 1 Units @0.0000            | 0.00                 | 269.82              | 0.00               | 269.82            | 0.5  | 1.35                 |
| 01/15/2018  | ***-**-12FB - NORIEGA, CARLOS                            | MORNINGSTAR ADVISOR FEE<br>BUY 1 Units @0.0000            | 0.00                 | 290.85              | 0.00               | 290.85            | 0.5  | 1.45                 |
| 01/15/2018  | ***-**-0853 - BOYER, THOMAS<br>ACCOUNT #: 77467864401    | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                | 0.00                 | 2.24                | 0.00               | 2.24              | 0.5  | 0.01                 |
| 01/10/2018  | ***-**-90IO - ADOVASIO, LUKE                             | NFS MANAGED FEES<br>BUY 1 Units @277202.670               | 0.00                 | 786.04              | 0.00               | 786.04            | 0.5  | 3.93                 |
| 01/10/2018  | ***-**-76FB - MANDEL, MICHAEL                            | NFS MANAGED FEES<br>BUY 1 Units @26630.0400               | 0.00                 | 98.49               | 0.00               | 98.49             | 0.5  | 0.49                 |
| 01/10/2018  | ***-**-74IO - BRENNAN, JOHN                              | NFS MANAGED FEES<br>BUY 1 Units @750491.050               | 0.00                 | 2,374.62            | 0.00               | 2,374.62          | 0.5  | 11.87                |
| 01/10/2018  | ***-**-76FB - MANDEL, MICHAEL                            | NFS MANAGED FEES-PARTIAL DEBIT<br>BUY 1 Units @78244.8600 | 0.00                 | 289.40              | 0.00               | 289.40            | 0.5  | 1.45                 |
| <b>* SAMUEL BARBER SUBTOTAL *</b>                 |  |   | <b>\$0.00</b>        | <b>\$5,630.54</b>   | <b>\$0.00</b>      | <b>\$5,630.54</b> |      | <b>\$28.14</b>       |
| <b><u>BROKER: GARRETT MORETZ</u></b>              |  |   |                      |                     |                    |                   |      |                      |
| 01/15/2018  | ***-**-36CL - MORETZ, CLIENTS                            | EQIS ADVISOR FEES<br>BUY 1 Units @0.0000                  | 0.00                 | 4,977.58            | 0.00               | 4,977.58          | 0.5  | 24.89                |
| <b>* GARRETT MORETZ SUBTOTAL *</b>                |  |   | <b>\$0.00</b>        | <b>\$4,977.58</b>   | <b>\$0.00</b>      | <b>\$4,977.58</b> |      | <b>\$24.89</b>       |
| <b><u>BROKER: ALFREDO BALLESTEROS</u></b>         |  |   |                      |                     |                    |                   |      |                      |
| 01/05/2018  | ***-**-9952 - NGUYEN, VICKIE<br>ACCOUNT #: 04000496355   | AMERICAN BALANCED FUND-529A<br>BUY 3 Units @29.1700       | 75.00                | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
| 01/05/2018  | ***-**-9952 - NGUYEN, VICKIE<br>ACCOUNT #: 04000496381   | AMERICAN BALANCED FUND-529A<br>BUY 2 Units @29.1700       | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-9808 - SJOERDSMA, GREGG<br>ACCOUNT #: 00087919902 | AMERICAN BALANCED FUND-A<br>BUY 2 Units @28.9100          | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |



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|---|-------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>       |                               |                                |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ALFREDO BALLESTEROS (continued) </u></b> |                               |                                |                      |                     |                    |                   |      |                      |
| 01/02/2018  | ***-**-0385 - SJOERDSMA, ANN  | AMERICAN BALANCED FUND-A       | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087919970        | BUY 2 Units @28.9100           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-6399 - STANDRIDGE,     | C-STEELPATH MLP ALPHA FUND     | 0.00                 | 1.99                | 0.00               | 1.99              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00100308661        | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0405 - STANDRIDGE,     | C-STEELPATH MLP ALPHA FUND     | 0.00                 | 1.99                | 0.00               | 1.99              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00100308683        | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-6399 - STANDRIDGE,     | CAPITAL APPRECIATION C         | 0.00                 | 4.91                | 0.00               | 4.91              | 0.5  | 0.02                 |
|   | ACCOUNT #: 03222367024        | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0405 - STANDRIDGE,     | CAPITAL APPRECIATION C         | 0.00                 | 4.91                | 0.00               | 4.91              | 0.5  | 0.02                 |
|   | ACCOUNT #: 03222367046        | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-6399 - STANDRIDGE,     | CAPITAL INCOME FUND C          | 0.00                 | 2.27                | 0.00               | 2.27              | 0.5  | 0.01                 |
|   | ACCOUNT #: 03020607750        | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0405 - STANDRIDGE,     | CAPITAL INCOME FUND C          | 0.00                 | 2.27                | 0.00               | 2.27              | 0.5  | 0.01                 |
|   | ACCOUNT #: 03020607772        | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-6399 - STANDRIDGE,     | EQUITY INCOME FUND, INC. C     | 0.00                 | 4.95                | 0.00               | 4.95              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08370762773        | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0405 - STANDRIDGE,     | EQUITY INCOME FUND, INC. C     | 0.00                 | 4.95                | 0.00               | 4.95              | 0.5  | 0.02                 |
|   | ACCOUNT #: 08370762795        | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 01/05/2018  | ***-**-8240 - BREWER, LUCINDA | EUROPACIFIC GROWTH FUND-A      | 100.00               | 4.25                | 0.00               | 4.25              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00087834785        | BUY 2 Units @60.9200           |                      |                     |                    |                   |      |                      |
| 01/05/2018  | ***-**-5049 - CRUZ, JOSE      | EUROPACIFIC GROWTH FUND-A      | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087905262        | BUY 1 Units @61.4000           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-6399 - STANDRIDGE,     | LIMITED-TERM GOVERNMENT FUND C | 0.00                 | 1.96                | 0.00               | 1.96              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08571297527        | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0405 - STANDRIDGE,     | LIMITED-TERM GOVERNMENT FUND C | 0.00                 | 1.96                | 0.00               | 1.96              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08571297549        | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 01/05/2018  | ***-**-9952 - NGUYEN, VICKIE  | NEW PERSPECTIVE FUND-529A      | 75.00                | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
|   | ACCOUNT #: 04000496355        | BUY 2 Units @46.7100           |                      |                     |                    |                   |      |                      |
| 01/05/2018  | ***-**-9952 - NGUYEN, VICKIE  | NEW PERSPECTIVE FUND-529A      | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 04000496381        | BUY 1 Units @46.7100           |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-6399 - STANDRIDGE,     | OPPENHEIMER INT'L BOND CLASS C | 0.00                 | 2.32                | 0.00               | 2.32              | 0.5  | 0.01                 |
|   | ACCOUNT #: 08822120019        | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |



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|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>        |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALFREDO BALLESTEROS (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 12/31/2017  | ***-**-0405 - STANDRIDGE,<br>ACCOUNT #: 08822120041      | OPPENHEIMER INT'L BOND CLASS C<br>BUY 0 Units @0.0000       | 0.00                 | 2.32                | 0.00               | 2.32              | 0.5  | 0.01                 |
| 12/31/2017  | ***-**-6399 - STANDRIDGE,<br>ACCOUNT #: 08170466884      | OPPENHEIMER INTERNATIONAL SMALL COM<br>BUY 0 Units @0.0000  | 0.00                 | 5.33                | 0.00               | 5.33              | 0.5  | 0.03                 |
| 12/31/2017  | ***-**-0405 - STANDRIDGE,<br>ACCOUNT #: 08170466906      | OPPENHEIMER INTERNATIONAL SMALL COM<br>BUY 0 Units @0.0000  | 0.00                 | 5.33                | 0.00               | 5.33              | 0.5  | 0.03                 |
| 01/05/2018  | ***-**-8240 - BREWER, LUCINDA<br>ACCOUNT #: 00087834785  | SMALLCAP WORLD FUND-A<br>BUY 2 Units @60.0800               | 100.00               | 4.25                | 0.00               | 4.25              | 0.5  | 0.02                 |
| 01/02/2018  | ***-**-9808 - SJOERDSMA, GREGG<br>ACCOUNT #: 00087919902 | THE BOND FUND OF AMERICA-A<br>BUY 4 Units @13.3600          | 50.00                | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-0385 - SJOERDSMA, ANN<br>ACCOUNT #: 00087919970   | THE BOND FUND OF AMERICA-A<br>BUY 4 Units @13.3600          | 50.00                | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
| 01/05/2018  | ***-**-9952 - NGUYEN, VICKIE<br>ACCOUNT #: 04000496355   | THE GROWTH FUND OF AMERICA-529A<br>BUY 1 Units @53.7100     | 75.00                | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
| 01/05/2018  | ***-**-9952 - NGUYEN, VICKIE<br>ACCOUNT #: 04000496381   | THE GROWTH FUND OF AMERICA-529A<br>BUY 1 Units @53.7100     | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-9808 - SJOERDSMA, GREGG<br>ACCOUNT #: 00087919902 | THE GROWTH FUND OF AMERICA-A<br>BUY 1 Units @53.2200        | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-0385 - SJOERDSMA, ANN<br>ACCOUNT #: 00087919970   | THE GROWTH FUND OF AMERICA-A<br>BUY 1 Units @53.2200        | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
| 01/05/2018  | ***-**-8240 - BREWER, LUCINDA<br>ACCOUNT #: 00087834785  | THE GROWTH FUND OF AMERICA-A<br>BUY 2 Units @53.8400        | 100.00               | 4.25                | 0.00               | 4.25              | 0.5  | 0.02                 |
| 01/05/2018  | ***-**-5049 - CRUZ, JOSE<br>ACCOUNT #: 00087905159       | THE GROWTH FUND OF AMERICA-A<br>BUY 1 Units @54.2700        | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
| 01/05/2018  | ***-**-5049 - CRUZ, JOSE<br>ACCOUNT #: 00087905262       | THE GROWTH FUND OF AMERICA-A<br>BUY 1 Units @54.2700        | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-9808 - SJOERDSMA, GREGG<br>ACCOUNT #: 00087919902 | THE INCOME FUND OF AMERICA-A<br>BUY 2 Units @24.8700        | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
| 01/02/2018  | ***-**-0385 - SJOERDSMA, ANN<br>ACCOUNT #: 00087919970   | THE INCOME FUND OF AMERICA-A<br>BUY 2 Units @24.8700        | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
| 01/05/2018  | ***-**-9952 - NGUYEN, VICKIE<br>ACCOUNT #: 04000496355   | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 2 Units @43.7300 | 75.00                | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |





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|---|-------------------------------|--|----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>     |                               |  |                      |                     |                    |                    |      |                      |
| <b><u>BROKER: ALFREDO BALLESTEROS (continued)</u></b> |                               |  |                      |                     |                    |                    |      |                      |
| 01/05/2018  | ***-**-9952 - NGUYEN, VICKIE  | THE INVESTMENT COMPANY OF AMERICA-5        | 50.00                | 2.50                | 0.00               | 2.50               | 0.5  | 0.01                 |
|   | ACCOUNT #: 04000496381        | BUY 1 Units @43.7300                       |                      |                     |                    |                    |      |                      |
| 01/05/2018  | ***-**-8240 - BREWER, LUCINDA | THE INVESTMENT COMPANY OF AMERICA-A        | 100.00               | 4.25                | 0.00               | 4.25               | 0.5  | 0.02                 |
|   | ACCOUNT #: 00087834785        | BUY 2 Units @43.4900                       |                      |                     |                    |                    |      |                      |
| 01/05/2018  | ***-**-5049 - CRUZ, JOSE      | THE INVESTMENT COMPANY OF AMERICA-A        | 50.00                | 2.50                | 0.00               | 2.50               | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087905262        | BUY 1 Units @43.8400                       |                      |                     |                    |                    |      |                      |
|   |                               | <b>* ALFREDO BALLESTEROS SUBTOTAL *</b>    | <b>\$1,500.00</b>    | <b>\$117.46</b>     | <b>\$0.00</b>      | <b>\$117.46</b>    |      | <b>\$0.54</b>        |
| <b><u>BROKER: MICHAEL PINEDA</u></b>                  |                               |  |                      |                     |                    |                    |      |                      |
| 01/05/2018  | ***-**-4660 - DEFFENBACHER,   | FIDELITY MSCI MATLS INDEX ETF              | 4,533.75             | 50.25               | 0.00               | 50.25              | 0.5  | 0.25                 |
|   | ACCOUNT #: LSR012234          | BUY 125 Units @36.2700                     |                      |                     |                    |                    |      |                      |
| 01/09/2018  | ***-**-4660 - DEFFENBACHER,   | ISHARES TR FTSE XINHUA HK CHINA 25         | 4,859.50             | 37.00               | 0.00               | 37.00              | 0.5  | 0.19                 |
|   | ACCOUNT #: LSR012234          | BUY 100 Units @48.5950                     |                      |                     |                    |                    |      |                      |
| 01/05/2018  | ***-**-4660 - DEFFENBACHER,   | POWERSHARES EXCHANGE TRADED FDS TST        | 4,092.00             | 37.50               | 0.00               | 37.50              | 0.5  | 0.19                 |
|   | ACCOUNT #: LSR012234          | BUY 75 Units @54.5600                      |                      |                     |                    |                    |      |                      |
|   |                               | <b>* MICHAEL PINEDA SUBTOTAL *</b>         | <b>\$13,485.25</b>   | <b>\$124.75</b>     | <b>\$0.00</b>      | <b>\$124.75</b>    |      | <b>\$0.63</b>        |
|   |                               | <b>*** OVERRIDE TRANSACTIONS TOTAL ***</b> | <b>\$889,143.20</b>  | <b>\$62,626.97</b>  | <b>\$0.00</b>      | <b>\$62,626.97</b> |      | <b>\$313.53</b>      |



BRANCH #01001 - LifeMark Home Office

|      |        |            |  | INVESTMENT | GROSS      | CLEARING                        | NET        | BROKER |            |
|------|--------|------------|--|------------|------------|---------------------------------|------------|--------|------------|
| DATE | CLIENT | INVESTMENT |  | AMOUNT     | COMMISSION | CHARGE                          | COMMISSION | RATE   | COMMISSION |
|      |        |            |  |            |            |                                 |            |        |            |
|      |        |            |  |            |            | <u>BROKER COMMISSION TOTALS</u> |            |        |            |
|      |        |            |  |            |            | Broker Transactions             |            |        | \$0.00     |
|      |        |            |  |            |            | Split Transactions              |            |        | \$0.00     |
|      |        |            |  |            |            | Override Transactions           |            |        | \$313.53   |
|      |        |            |  |            |            | Adjustments                     |            |        | \$0.00     |
|      |        |            |  |            |            | Payroll Draw                    |            |        | \$0.00     |
|      |        |            |  |            |            | Base Salary                     |            |        | \$0.00     |
|      |        |            |  |            |            | Prior Period Balance            |            |        | \$0.00     |
|      |        |            |  |            |            | FINRA Assessment                |            |        | \$0.00     |
|      |        |            |  |            |            | SIPC Assessment                 |            |        | \$0.00     |
|      |        |            |  |            |            |                                 |            |        |            |
|      |        |            |  |            |            | Net Commission Earned           |            |        | \$313.53   |
|      |        |            |  |            |            | Year-to-date Earnings           |            |        | \$888.67   |