



COMMISSION STATEMENT

July 16, 2018

DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
07/05/2018	***-**-953I - DINITTO, NICOLE	AMERICAN GLOBAL BALANCED CL C	175.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: 00088593891	BUY 5 Units @32.0000						
07/05/2018	***-**-953I - DINITTO, NICOLE	CAPITAL WORLD GROWTH AND INCOME FUN	175.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: 00088593891	BUY 3 Units @50.2700						
07/11/2018	***-**-762I - STORSBERG,	LORD ABBETT SHORT DURATION INCOME C	8,000.00	0.00	6.00	-6.00	100.0	-6.00
	ACCOUNT #: LSR011688	SELL 1900 Units @4.2100						
07/11/2018	***-**-762I - STORSBERG,	LORD ABBETT VALUE OPPORTUNITY FD CL	8,000.00	19.99	6.00	13.99	88.0	12.31
	ACCOUNT #: LSR011688	BUY 436 Units @18.3300						
07/02/2018	***-**-267I - HAMMILL, ELISE	MFS GLOBAL TOTAL RETURN FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08191335171	BUY 4 Units @17.7500						
07/10/2018	***-**-03TR - BOSHART, PEGGY	RESOURCE CREDIT INCOME FUND C	10,000.00	100.00	18.00	82.00	88.0	72.16
	ACCOUNT #: LSR011743	BUY 891 Units @11.2200						
07/10/2018	***-**-03IN - BOSHART, PEGGY	WELLS FARGO MONEY MARKET INSTL-NFS	1,647.99	18.00	18.00	0.00	88.0	0.00
	ACCOUNT #: LSR011744	SELL 1648 Units @1.0000						
* MUTUAL FUNDS SUBTOTAL *			\$28,072.99	\$144.49	\$48.00	\$96.49		\$84.19
<u>PRODUCT CATEGORY: STOCKS</u>								
07/10/2018	***-**-53TR - SABANOSH, ALAN R	COVANTA HLDG CORP COM	3,440.00	57.49	19.00	38.49	88.0	33.87
	ACCOUNT #: LSR010917	SELL 200 Units @17.2000						
07/10/2018	***-**-423I - SAVICKI, RICHARD	CREE INC UNSOLICITED ORDER	4,659.00	87.49	18.00	69.49	88.0	61.15
	ACCOUNT #: LSR010889	SELL 100 Units @46.5900						
07/09/2018	***-**-762I - STORSBERG,	DENBURY RES INC DEL COM USD0.001	5,090.00	87.49	35.00	52.49	88.0	46.19
	ACCOUNT #: LSR011688	SELL 1000 Units @5.0900						
07/10/2018	***-**-59IN - MORGAN, WILLIAM	DENBURY RES INC DEL COM USD0.001	3,108.00	57.49	27.00	30.49	88.0	26.83
	ACCOUNT #: LSR010842	SELL 600 Units @5.1800						
07/10/2018	***-**-61IN - GORCZYNSKI,	DENBURY RES INC DEL COM USD0.001	5,874.00	97.49	37.00	60.49	88.0	53.23
	ACCOUNT #: LSR010844	SELL 1100 Units @5.3400						
07/10/2018	***-**-361J - ALOISIO,	DENBURY RES INC DEL COM USD0.001	5,340.00	97.49	35.00	62.49	88.0	54.99
	ACCOUNT #: LSR010886	SELL 1000 Units @5.3400						
07/10/2018	***-**-034J - NIKODEM, JOSEPH	DENBURY RES INC DEL COM USD0.001	4,242.35	84.49	31.10	53.39	88.0	46.98
	ACCOUNT #: LSR010887	SELL 805 Units @5.2700						
07/10/2018	***-**-679I - MURSCH JR,	DENBURY RES INC DEL COM USD0.001	2,630.00	49.99	25.00	24.99	88.0	21.99
	ACCOUNT #: LSR010888	SELL 500 Units @5.2600						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
07/10/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	DENBURY RES INC DEL COM USD0.001 SELL 1000 Units @5.3000	5,300.00	87.49	35.00	52.49	88.0	46.19
07/10/2018	***-**-425I - PERRITANO, ACCOUNT #: LSR010922	DENBURY RES INC DEL COM USD0.001 SELL 1000 Units @5.3200	5,320.00	97.49	35.00	62.49	88.0	54.99
07/10/2018	***-**-22IR - RIEBEN, HENRY ACCOUNT #: LSR010939	DENBURY RES INC DEL COM USD0.001 SELL 500 Units @5.3100	2,655.00	49.99	25.00	24.99	88.0	21.99
07/10/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	DENBURY RES INC DEL COM USD0.001 SELL 900 Units @5.3400	4,806.00	87.49	33.00	54.49	88.0	47.95
07/10/2018	***-**-467I - PICKARD, BRIAN ACCOUNT #: LSR010944	DENBURY RES INC DEL COM USD0.001 SELL 600 Units @5.2400	3,144.00	57.49	27.00	30.49	88.0	26.83
07/10/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	DENBURY RES INC DEL COM USD0.001 SELL 700 Units @5.3400	3,738.00	67.49	29.00	38.49	88.0	33.87
07/10/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	DENBURY RES INC DEL COM USD0.001 SELL 500 Units @5.2600	2,630.00	57.49	25.00	32.49	88.0	28.59
07/10/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	DENBURY RES INC DEL COM USD0.001 SELL 500 Units @5.2500	2,625.00	57.49	25.00	32.49	88.0	28.59
07/10/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	DENBURY RES INC DEL COM USD0.001 SELL 900 Units @5.3400	4,806.00	77.49	33.00	44.49	88.0	39.15
07/11/2018	***-**-57IN - DIPERNA, ROBERT ACCOUNT #: LSR011053	DENBURY RES INC DEL COM USD0.001 SELL 700 Units @5.1100	3,577.00	67.49	29.00	38.49	88.0	33.87
07/11/2018	***-**-698J - BAILEY, MR ACCOUNT #: LSR011097	DENBURY RES INC DEL COM USD0.001 SELL 700 Units @5.0400	3,528.00	67.49	29.00	38.49	88.0	33.87
07/10/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	EXACT SCIENCES CORP SELL 50 Units @62.0400	3,102.00	57.49	16.00	41.49	88.0	36.51
07/10/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: LSR010842	FS INVT CORP COM SELL 512 Units @7.7600	3,973.12	57.49	25.24	32.25	88.0	28.38
07/10/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: LSR010842	GENESIS HEALTHCARE INC CL A COM ISI BUY 1000 Units @2.0950	2,095.00	49.99	35.00	14.99	88.0	13.19
07/11/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010864	GENESIS HEALTHCARE INC CL A COM ISI BUY 1500 Units @1.9000	2,850.00	54.99	45.00	9.99	88.0	8.79
07/11/2018	***-**-57IN - DIPERNA, ROBERT ACCOUNT #: LSR011053	GENESIS HEALTHCARE INC CL A COM ISI BUY 1200 Units @1.8900	2,268.00	49.99	39.00	10.99	88.0	9.67



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
07/11/2018	***-**-698J - BAILEY, MR ACCOUNT #: LSR011097	GENESIS HEALTHCARE INC CL A COM ISI BUY 1500 Units @1.9100	2,865.00	57.49	45.00	12.49	88.0	10.99
07/11/2018	***-**-76IN - BOSHART-LOWE, ACCOUNT #: LSR011840	GENESIS HEALTHCARE INC CL A COM ISI BUY 1000 Units @1.9000	1,900.00	49.99	35.00	14.99	88.0	13.19
07/12/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	GENESIS HEALTHCARE INC CL A COM ISI BUY 2000 Units @1.5100	3,020.00	49.99	55.00	-5.01	100.0	-5.01
07/12/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: LSR010964	GENESIS HEALTHCARE INC CL A COM ISI BUY 1000 Units @1.5350	1,535.00	49.99	35.00	14.99	88.0	13.19
07/09/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: LSR010873	GLAXOSMITHKLINE ADR EACH CNV INTO 2 SELL 100 Units @41.0000	4,100.00	77.49	17.00	60.49	88.0	53.23
07/11/2018	***-**-698J - BAILEY, MR ACCOUNT #: LSR011097	NATIONAL GRID SPON ADR EACH REP 5 O BUY 100 Units @56.6190	5,661.90	77.49	17.00	60.49	88.0	53.23
07/10/2018	***-**-290I - PICKARD, KAREN ACCOUNT #: LSR010946	NORDIC AMERICAN TANKERS LIMITE COM BUY 1000 Units @2.6800	2,680.00	49.99	35.00	14.99	88.0	13.19
07/11/2018	***-**-698J - BAILEY, MR ACCOUNT #: LSR011097	NORDIC AMERICAN TANKERS LIMITE COM BUY 1800 Units @2.6600	4,788.00	67.49	51.00	16.49	88.0	14.51
07/12/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	NORDIC AMERICAN TANKERS LIMITE COM BUY 1000 Units @2.5600	2,560.00	49.99	35.00	14.99	88.0	13.19
07/10/2018	***-**-80IN - GRIFFITH, DAVID ACCOUNT #: LSF000286	STEIN MART INC COM BUY 1500 Units @2.1800	3,270.00	18.00	8.99	9.01	88.0	7.93
07/10/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: LSR010842	STEIN MART INC COM BUY 2000 Units @2.1900	4,380.00	67.49	18.00	49.49	88.0	43.55
07/10/2018	***-**-53TR - SABANOSH, ALAN R ACCOUNT #: LSR010917	STEIN MART INC COM BUY 1500 Units @2.1800	3,270.00	49.99	18.00	31.99	88.0	28.15
07/10/2018	***-**-60IN - SCHRADER, KEVIN ACCOUNT #: LSR010897	VERIZON COMMUNICATIONS UNSOLICITED SELL 150 Units @51.0130	7,651.95	97.49	18.00	79.49	88.0	69.95
* STOCKS SUBTOTAL *			\$138,482.32	\$2,427.14	\$1,100.33	\$1,326.81		\$1,166.95



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
07/16/2018	***-**-0770 - GAUTHIER, LOUIS	MASS MUTUAL VA	0.00	85.38	0.00	85.38	88.0	75.13
	ACCOUNT #: 828693	BUY 1 Units @0.0000						
07/16/2018	***-**-80IN - GRIFFITH, DAVID	MASS MUTUAL VA	0.00	5.11	0.00	5.11	88.0	4.50
	ACCOUNT #: 834388	BUY 1 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$90.49	\$0.00	\$90.49		\$79.63
PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS								
07/10/2018	***-**-53TR - SABANOSH, ALAN R	CAPITAL PRODUCT PARTNERS L P COM SO	3,160.00	59.99	24.00	35.99	88.0	31.67
	ACCOUNT #: LSR010917	SELL 1000 Units @3.1600						
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$3,160.00	\$59.99	\$24.00	\$35.99		\$31.67
PRODUCT CATEGORY: 529 PLAN								
07/16/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD SMART 529	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: 66886699502	BUY 0 Units @0.0000						
07/16/2018	***-**-679I - MURSCH JR,	NEW YORK 529 TRAILS	0.00	4.28	0.00	4.28	88.0	3.77
	ACCOUNT #: 77041375401	BUY 0 Units @0.0000						
07/16/2018	***-**-541I - ORSINO, LISA	NEW YORK 529 TRAILS	0.00	2.97	0.00	2.97	88.0	2.61
	ACCOUNT #: 77049971001	BUY 0 Units @0.0000						
07/16/2018	***-**-745P - SCOTELLARO,	NEW YORK 529 TRAILS	0.00	2.70	0.00	2.70	88.0	2.38
		BUY 0 Units @0.0000						
07/16/2018	***-**-225P - DAMSKY, CYNTHIA	NEW YORK 529 TRAILS	0.00	3.80	0.00	3.80	88.0	3.34
		BUY 0 Units @0.0000						
07/16/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	2.80	0.00	2.80	88.0	2.46
	ACCOUNT #: 77172702501	BUY 0 Units @0.0000						
07/16/2018	***-**-467I - PICKARD, BRIAN	NEW YORK 529 TRAILS	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: 77247884901	BUY 0 Units @0.0000						
07/16/2018	***-**-93JT - WADSWORTH,	NEW YORK 529 TRAILS	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: 77296639001	BUY 0 Units @0.0000						
07/16/2018	***-**-21IN - DANIELS, JOHN	NEW YORK 529 TRAILS	0.00	9.06	0.00	9.06	88.0	7.97
	ACCOUNT #: 77376247101	BUY 0 Units @0.0000						
07/16/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 77519113701	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: 529 PLAN (continued)								
07/16/2018	***-**-39IN - CLEARY, KAREN	NEW YORK 529 TRAILS	0.00	4.65	0.00	4.65	88.0	4.09
	ACCOUNT #: 77678090301	BUY 0 Units @0.0000						
07/16/2018	***-**-497I - MARTIN, KATHLEEN	NEW YORK 529 TRAILS	0.00	1.56	0.00	1.56	88.0	1.37
		BUY 0 Units @0.0000						
07/16/2018	***-**-015P - SABANOSH, SHERYL	NEW YORK 529 TRAILS	0.00	7.86	0.00	7.86	88.0	6.92
	ACCOUNT #: 77775742701	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$0.00	\$43.75	\$0.00	\$43.75		\$38.49
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
07/02/2018	***-**-6762 - MISHLANIE,	37252M108	0.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 00551362260	BUY 0 Units @0.0000						
07/09/2018	***-**-817I - WADSWORTH,	ALLIANCE BERNSTEIN LARGE-CAP GROWTH	0.00	1.98	0.00	1.98	88.0	1.74
	ACCOUNT #: 04715332428	BUY 0 Units @0.0000						
07/09/2018	***-**-817I - WADSWORTH,	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	2.45	0.00	2.45	88.0	2.16
	ACCOUNT #: 04715332428	BUY 0 Units @0.0000						
06/30/2018	***-**-400K - TEESDALE,	CAPITAL APPRECIATION A	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: 03211187880	BUY 0 Units @0.0000						
06/30/2018	***-**-28IN - ALOISIO, IRENE	CAPITAL APPRECIATION A	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: 03211621390	BUY 0 Units @0.0000						
06/30/2018	***-**-61IN - ALOISIO,	CAPITAL APPRECIATION A	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: 03211621401	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	CAPITAL APPRECIATION A	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: 03211693572	BUY 0 Units @0.0000						
06/30/2018	***-**-59IN - MORGAN, WILLIAM	CAPITAL APPRECIATION A	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 03211817322	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	CAPITAL APPRECIATION A	0.00	4.02	0.00	4.02	88.0	3.54
	ACCOUNT #: 03211844382	BUY 0 Units @0.0000						
06/30/2018	***-**-1588 - FOLEY, JOHN	CAPITAL APPRECIATION A	0.00	2.19	0.00	2.19	88.0	1.93
	ACCOUNT #: 03211940115	BUY 0 Units @0.0000						
06/30/2018	***-**-872I - GORCZYNSKI,	CAPITAL APPRECIATION A	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: 03211940203	BUY 0 Units @0.0000						
06/30/2018	***-**-231I - MISHLANIE JR,	CAPITAL APPRECIATION A	0.00	2.44	0.00	2.44	88.0	2.15
	ACCOUNT #: 03212005587	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION A	0.00	0.09	0.00	0.09	88.0	0.08
	ACCOUNT #: 03212072973	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	CAPITAL APPRECIATION A	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: 03212172160	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	CAPITAL APPRECIATION B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 03215734575	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 03215884461	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	CAPITAL APPRECIATION B	0.00	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: 03215905889	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	CAPITAL APPRECIATION C	0.00	6.15	0.00	6.15	88.0	5.41
	ACCOUNT #: 03222207403	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION C	0.00	2.68	0.00	2.68	88.0	2.36
	ACCOUNT #: 03222207458	BUY 0 Units @0.0000						
06/30/2018	***-**-090I - RASPANTE, JOHN	CAPITAL APPRECIATION C	0.00	11.67	0.00	11.67	88.0	10.27
	ACCOUNT #: 03222260687	BUY 0 Units @0.0000						
06/30/2018	***-**-400K - TEESDALE,	CAPITAL INCOME A	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: 03008767088	BUY 0 Units @0.0000						
06/30/2018	***-**-480I - SCOTELLARO,	CAPITAL INCOME FUND C	0.00	8.22	0.00	8.22	88.0	7.23
	ACCOUNT #: 03020531751	BUY 0 Units @0.0000						
06/30/2018	***-**-8027 - MAXWELL, COLLEEN	CASH RESERVES C	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 07621429626	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	DEVELOPING MARKETS FUND B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: 07861008106	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	EMERGING GROWTH FUND B	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: 07220200959	BUY 0 Units @0.0000						
06/30/2018	***-**-178I - DAVIS, MARILYN	EQUITY INCOME FUND, INC. A	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: 08352306436	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	EQUITY INCOME FUND, INC. A	0.00	3.34	0.00	3.34	88.0	2.94
	ACCOUNT #: 08352350304	BUY 0 Units @0.0000						
06/30/2018	***-**-400K - TEESDALE,	EQUITY INCOME FUND, INC. A	0.00	2.98	0.00	2.98	88.0	2.62
	ACCOUNT #: 08352478410	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-59IN - MORGAN, WILLIAM	EQUITY INCOME FUND, INC. A	0.00	3.07	0.00	3.07	88.0	2.70
	ACCOUNT #: 08353141534	BUY 0 Units @0.0000						
06/30/2018	***-**-59IN - MORGAN, WILLIAM	EQUITY INCOME FUND, INC. A	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: 08353154470	BUY 0 Units @0.0000						
06/30/2018	***-**-1588 - FOLEY, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.83	0.00	1.83	88.0	1.61
	ACCOUNT #: 08353253679	BUY 0 Units @0.0000						
06/30/2018	***-**-5851 - GLEESON, BARBARA	EQUITY INCOME FUND, INC. A	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 08353265449	BUY 0 Units @0.0000						
06/30/2018	***-**-053I - INGERSOLL, ROY	EQUITY INCOME FUND, INC. A	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 08353266252	BUY 0 Units @0.0000						
06/30/2018	***-**-718I - LOWE, GREGORY	EQUITY INCOME FUND, INC. A	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: 08353299516	BUY 0 Units @0.0000						
06/30/2018	***-**-231I - MISHLANIE JR,	EQUITY INCOME FUND, INC. A	0.00	4.56	0.00	4.56	88.0	4.01
	ACCOUNT #: 08353299615	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. A	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: 08353338456	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	EQUITY INCOME FUND, INC. A	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 08353346332	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	EQUITY INCOME FUND, INC. A	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: 08353395128	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	EQUITY INCOME FUND, INC. B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 08360486981	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 08360490842	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	EQUITY INCOME FUND, INC. B	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: 08360515845	BUY 0 Units @0.0000						
06/30/2018	***-**-58IN - CADY, GAIL	EQUITY INCOME FUND, INC. C	0.00	4.53	0.00	4.53	88.0	3.99
	ACCOUNT #: 08370389048	BUY 0 Units @0.0000						
06/30/2018	***-**-480I - SCOTELLARO,	EQUITY INCOME FUND, INC. C	0.00	16.81	0.00	16.81	88.0	14.79
	ACCOUNT #: 08370428549	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	EQUITY INCOME FUND, INC. C	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: 08370450769	BUY 0 Units @0.0000						



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DAVID GRIFFITH
2108 Genesee St.
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. C	0.00	3.53	0.00	3.53	88.0	3.11
	ACCOUNT #: 08370450780	BUY 0 Units @0.0000						
06/30/2018	***-**-090I - RASPANTE, JOHN	EQUITY INCOME FUND, INC. C	0.00	18.31	0.00	18.31	88.0	16.11
	ACCOUNT #: 08370585871	BUY 0 Units @0.0000						
06/30/2018	***-**-7473 - SCOTELLARO,	EQUITY INCOME FUND, INC. C	0.00	2.33	0.00	2.33	88.0	2.05
	ACCOUNT #: 08370720038	BUY 0 Units @0.0000						
06/30/2018	***-**-400K - TEESDALE,	GLOBAL FUND A	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 03307121688	BUY 0 Units @0.0000						
06/30/2018	***-**-59IN - MORGAN, WILLIAM	GLOBAL FUND A	0.00	2.77	0.00	2.77	88.0	2.44
	ACCOUNT #: 03307729361	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	GLOBAL FUND A	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 03307968457	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	GLOBAL FUND A	0.00	1.71	0.00	1.71	88.0	1.50
	ACCOUNT #: 03308043840	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	GLOBAL FUND B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 03316661182	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	GLOBAL FUND B	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: 03316686207	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	GLOBAL OPPORTUNITIES A	0.00	1.71	0.00	1.71	88.0	1.50
	ACCOUNT #: 02156650930	BUY 0 Units @0.0000						
06/30/2018	***-**-400K - TEESDALE,	GLOBAL OPPORTUNITIES A	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: 02156694050	BUY 0 Units @0.0000						
06/30/2018	***-**-59IN - MORGAN, WILLIAM	GLOBAL OPPORTUNITIES A	0.00	1.77	0.00	1.77	88.0	1.56
	ACCOUNT #: 02157784128	BUY 0 Units @0.0000						
06/30/2018	***-**-5851 - GLEESON, BARBARA	GLOBAL OPPORTUNITIES A	0.00	4.47	0.00	4.47	88.0	3.93
	ACCOUNT #: 02157915479	BUY 0 Units @0.0000						
06/30/2018	***-**-718I - LOWE, GREGORY	GLOBAL OPPORTUNITIES A	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: 02158044575	BUY 0 Units @0.0000						
06/30/2018	***-**-231I - MISHLANIE JR,	GLOBAL OPPORTUNITIES A	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: 02158044630	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	GLOBAL OPPORTUNITIES A	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 02158142464	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-69IR - PERRITANO, SUSAN	GLOBAL OPPORTUNITIES A	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: 02158226482	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	GLOBAL OPPORTUNITIES B	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: 02163264965	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	GLOBAL OPPORTUNITIES B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: 02163282708	BUY 0 Units @0.0000						
06/30/2018	***-**-58IN - CADY, GAIL	GLOBAL OPPORTUNITIES FUND C	0.00	6.43	0.00	6.43	88.0	5.66
	ACCOUNT #: 02171604031	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	GLOBAL OPPORTUNITIES FUND C	0.00	2.56	0.00	2.56	88.0	2.25
	ACCOUNT #: 02171646348	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	GLOBAL OPPORTUNITIES FUND C	0.00	3.74	0.00	3.74	88.0	3.29
	ACCOUNT #: 02171646359	BUY 0 Units @0.0000						
06/30/2018	***-**-090I - RASPANTE, JOHN	GLOBAL OPPORTUNITIES FUND C	0.00	18.77	0.00	18.77	88.0	16.52
	ACCOUNT #: 02171696112	BUY 0 Units @0.0000						
06/30/2018	***-**-400K - TEESDALE,	GOLD & SPECIAL MINERALS A	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: 04104445650	BUY 0 Units @0.0000						
06/30/2018	***-**-5851 - GLEESON, BARBARA	GOLD & SPECIAL MINERALS A	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 04104657961	BUY 0 Units @0.0000						
06/30/2018	***-**-053I - INGERSOLL, ROY	GOLD & SPECIAL MINERALS A	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 04104670886	BUY 0 Units @0.0000						
06/30/2018	***-**-59IN - MORGAN, WILLIAM	GOLD & SPECIAL MINERALS A	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 04104693766	BUY 0 Units @0.0000						
06/30/2018	***-**-59IN - MORGAN, WILLIAM	GOLD & SPECIAL MINERALS A	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 04104693777	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	GOLD & SPECIAL MINERALS A	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: 04104712543	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	GOLD & SPECIAL MINERALS FUND B	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 04110615494	BUY 0 Units @0.0000						
06/30/2018	***-**-400K - TEESDALE,	INTERNATIONAL BOND A	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: 08810000177	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	INTERNATIONAL DIVERSIFIED FUND B	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: 01960518078	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	INTERNATIONAL DIVERSIFIED FUND B	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: 01960521081	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	INTERNATIONAL DIVERSIFIED FUND B	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 01960538340	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	INTERNATIONAL GROWTH FUND A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 08260237788	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	INTERNATIONAL GROWTH FUND B	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 08261315831	BUY 0 Units @0.0000						
06/30/2018	***-**-400K - TEESDALE,	LIMITED TERM GOVERNMENT A	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: 08553754388	BUY 0 Units @0.0000						
06/30/2018	***-**-59IN - MORGAN, WILLIAM	MAIN STREET FUND A	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: 07006083663	BUY 0 Units @0.0000						
07/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS 55273E871	0.00	8.41	0.00	8.41	88.0	7.40
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
07/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS 55273E871	0.00	10.38	0.00	10.38	88.0	9.13
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
07/01/2018	***-**-73IN - MELLACE,	MFS 55273E871	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: 08191356365	BUY 0 Units @0.0000						
07/01/2018	***-**-29RI - THIBAUT,	MFS 55273G314	0.00	4.15	0.00	4.15	88.0	3.65
	ACCOUNT #: 08191346905	BUY 0 Units @0.0000						
07/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS 552988628	0.00	11.06	0.00	11.06	88.0	9.73
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
07/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS 552988628	0.00	8.08	0.00	8.08	88.0	7.11
	ACCOUNT #: 08191188649	BUY 0 Units @0.0000						
07/01/2018	***-**-541I - ORSINO, LISA	MFS 552988628	0.00	3.84	0.00	3.84	88.0	3.38
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
07/01/2018	***-**-311I - MOYLAN, COLLEEN	MFS 552988628	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						
07/01/2018	***-**-801T - HAGAN III,	MFS 552988628	0.00	2.26	0.00	2.26	88.0	1.99
	ACCOUNT #: 08191353848	BUY 0 Units @0.0000						
07/01/2018	***-**-57UT - MISHLANIE CUST,	MFS BLENDED RESEARCH CORE EQUITY FD	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: 08190131537	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/01/2018	***-**-755J - MISHLANIE, ACCOUNT #: 08191444446	MFS BLENDED RESEARCH CORE EQUITY FD BUY 0 Units @0.0000	0.00	1.71	0.00	1.71	88.0	1.50
07/01/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 08191339712	MFS DIVERSIFIED INCOME FD CL C BUY 0 Units @0.0000	0.00	18.29	0.00	18.29	88.0	16.10
07/01/2018	***-**-1121 - JONES, REBECCA ACCOUNT #: 00060637004	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
07/01/2018	***-**-686I - STRUMPFLER, MARK ACCOUNT #: 00060352385	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	2.77	0.00	2.77	88.0	2.44
07/01/2018	***-**-541I - ORSINO, LISA ACCOUNT #: 08191343489	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	1.80	0.00	1.80	88.0	1.58
07/01/2018	***-**-88IN - PICKARD, ELAINE ACCOUNT #: 08191321451	MFS GLOBAL ALTERNATIVE STRAT C BUY 0 Units @0.0000	0.00	3.97	0.00	3.97	88.0	3.49
07/01/2018	***-**-51RI - DIPERNA, SANDRA ACCOUNT #: 08189654779	MFS GLOBAL BOND FUND CLASS C BUY 0 Units @0.0000	0.00	2.99	0.00	2.99	88.0	2.63
07/01/2018	***-**-51RI - DIPERNA, SANDRA ACCOUNT #: 00060668662	MFS GLOBAL BOND FUND-A BUY 0 Units @0.0000	0.00	0.44	0.00	0.44	88.0	0.39
07/01/2018	***-**-29RI - THIBAUT, ACCOUNT #: 08191346905	MFS GLOBAL REAL ESTATE FUND CL C BUY 0 Units @0.0000	0.00	3.77	0.00	3.77	88.0	3.32
07/01/2018	***-**-686I - STRUMPFLER, MARK ACCOUNT #: 00060352385	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	2.16	0.00	2.16	88.0	1.90
07/01/2018	***-**-914J - KALAMAS, SHIRLEY ACCOUNT #: 08191281493	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	0.95	0.00	0.95	88.0	0.84
07/01/2018	***-**-686I - STRUMPFLER, MARK ACCOUNT #: 00060352385	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
07/01/2018	***-**-57RI - DIPERNA, ROBERT ACCOUNT #: 08189654783	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	2.10	0.00	2.10	88.0	1.85
07/01/2018	***-**-51RI - DIPERNA, SANDRA ACCOUNT #: 08191188649	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	4.75	0.00	4.75	88.0	4.18
07/01/2018	***-**-25IR - SCOTELLARO, ACCOUNT #: 08191235544	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
07/01/2018	***-**-244J - BURTON, RICHARD ACCOUNT #: 08191250134	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.44	0.00	0.44	88.0	0.39



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/01/2018	***-**-957I - VELARDI, ANTHONY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.84	0.00	3.84	88.0	3.38
	ACCOUNT #: 08191316407	BUY 0 Units @0.0000						
07/01/2018	***-**-267I - HAMMILL, ELISE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.42	0.00	1.42	88.0	1.25
	ACCOUNT #: 08191335171	BUY 0 Units @0.0000						
07/01/2018	***-**-440I - HAMMILL, MATTHEW	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.44	0.00	1.44	88.0	1.27
	ACCOUNT #: 08191335450	BUY 0 Units @0.0000						
07/01/2018	***-**-541I - ORSINO, LISA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.48	0.00	3.48	88.0	3.06
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
07/01/2018	***-**-311I - MOYLAN, COLLEEN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						
07/01/2018	***-**-801T - HAGAN III,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.01	0.00	1.01	88.0	0.89
	ACCOUNT #: 08191353848	BUY 0 Units @0.0000						
07/01/2018	***-**-88IN - PICKARD, ELAINE	MFS GLOBAL TOTAL RETURN FUND-C	0.00	12.59	0.00	12.59	88.0	11.08
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
07/01/2018	***-**-93JT - WADSWORTH,	MFS GLOBAL TOTAL RETURN FUND-C	0.00	19.20	0.00	19.20	88.0	16.90
	ACCOUNT #: 08191339712	BUY 0 Units @0.0000						
07/01/2018	***-**-29RI - THIBAUT,	MFS GLOBAL TOTAL RETURN FUND-C	0.00	3.79	0.00	3.79	88.0	3.34
	ACCOUNT #: 08191346905	BUY 0 Units @0.0000						
07/01/2018	***-**-801T - HAGAN III,	MFS GLOBAL TOTAL RETURN FUND-C	0.00	10.97	0.00	10.97	88.0	9.65
	ACCOUNT #: 08191353848	BUY 0 Units @0.0000						
07/01/2018	***-**-73IN - MELLACE,	MFS GLOBAL TOTAL RETURN FUND-C	0.00	2.49	0.00	2.49	88.0	2.19
	ACCOUNT #: 08191356365	BUY 0 Units @0.0000						
07/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS GROWTH ALLOCATION FUND-A	0.00	2.90	0.00	2.90	88.0	2.55
	ACCOUNT #: 00060665554	BUY 0 Units @0.0000						
07/01/2018	***-**-957I - VELARDI, ANTHONY	MFS INFLATION ADJUSTED BOND CL B	0.00	0.54	0.00	0.54	88.0	0.48
	ACCOUNT #: 08191316407	BUY 0 Units @0.0000						
07/01/2018	***-**-541I - ORSINO, LISA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
07/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS INFLATION ADJUSTED BOND CL C	0.00	3.07	0.00	3.07	88.0	2.70
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
07/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS INFLATION ADJUSTED BOND CL C	0.00	7.59	0.00	7.59	88.0	6.68
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						



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DAVID GRIFFITH
2108 Genesee St.
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/01/2018	***-**-914J - KALAMAS, SHIRLEY	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.54	0.00	0.54	88.0	0.48
	ACCOUNT #: 08191281493	BUY 0 Units @0.0000						
07/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: 00060667595	BUY 0 Units @0.0000						
07/01/2018	***-**-57IN - DIPERNA, ROBERT	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: 00060667596	BUY 0 Units @0.0000						
07/01/2018	***-**-25IR - SCOTELLARO,	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: 08191235544	BUY 0 Units @0.0000						
07/01/2018	***-**-957I - VELARDI, ANTHONY	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 08191316407	BUY 0 Units @0.0000						
07/01/2018	***-**-311I - MOYLAN, COLLEEN	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						
07/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS INTERNATIONAL VALUE FUND-A	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: 00060657974	BUY 0 Units @0.0000						
07/01/2018	***-**-57IN - DIPERNA, ROBERT	MFS INTERNATIONAL VALUE FUND-A	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: 00060657975	BUY 0 Units @0.0000						
07/01/2018	***-**-112I - JONES, REBECCA	MFS INTERNTL DIVERSIFICATION FUND-A	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 00060637175	BUY 0 Units @0.0000						
07/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS LIMITED MATURITY FUND-A	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: 00060655912	BUY 0 Units @0.0000						
07/01/2018	***-**-57IN - DIPERNA, ROBERT	MFS LIMITED MATURITY FUND-A	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: 00060655913	BUY 0 Units @0.0000						
07/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS LIMITED MATURITY FUND-C	0.00	3.10	0.00	3.10	88.0	2.73
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
07/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS LIMITED MATURITY FUND-C	0.00	7.67	0.00	7.67	88.0	6.75
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
07/01/2018	***-**-541I - ORSINO, LISA	MFS STRATEGIC INCOME FUND-B	0.00	2.08	0.00	2.08	88.0	1.83
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
07/01/2018	***-**-57UT - MISHLANIE CUST,	MFS TECHNOLOGY FUND-B	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: 08190131537	BUY 0 Units @0.0000						
07/01/2018	***-**-755J - MISHLANIE,	MFS TECHNOLOGY FUND-B	0.00	2.34	0.00	2.34	88.0	2.06
	ACCOUNT #: 08191444446	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/01/2018	***-**-25IR - SCOTELLARO,	MFS TOTAL RETURN FUND-B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: 08191235544	BUY 0 Units @0.0000						
07/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 55273G710	0.00	19.38	0.00	19.38	88.0	17.05
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
06/28/2018	***-**-57RI - DIPERNA, ROBERT	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08189654783	BUY 19 Units @15.4700						
06/28/2018	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08191188649	BUY 19 Units @15.4700						
07/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS TRAILS 552988610	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
07/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 552988610	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 08191188649	BUY 0 Units @0.0000						
07/01/2018	***-**-88IN - PICKARD, ELAINE	MFS TRAILS 552988610	0.00	10.27	0.00	10.27	88.0	9.04
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
07/01/2018	***-**-93JT - WADSWORTH,	MFS TRAILS 552988610	0.00	21.27	0.00	21.27	88.0	18.72
	ACCOUNT #: 08191339712	BUY 0 Units @0.0000						
07/01/2018	***-**-1121 - JONES, REBECCA	MFS UTILITIES FUND-A	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: 00060637062	BUY 0 Units @0.0000						
07/01/2018	***-**-57IN - DIPERNA, ROBERT	MFS UTILITIES FUND-A	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: 00060655296	BUY 0 Units @0.0000						
07/01/2018	***-**-686I - STRUMPFLER, MARK	MFS UTILITIES FUND-B	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: 00060352385	BUY 0 Units @0.0000						
07/01/2018	***-**-57UT - MISHLANIE CUST,	MFS UTILITIES FUND-B	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: 08190131537	BUY 0 Units @0.0000						
07/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS UTILITIES FUND-B	0.00	2.63	0.00	2.63	88.0	2.31
	ACCOUNT #: 08191188649	BUY 0 Units @0.0000						
07/01/2018	***-**-25IR - SCOTELLARO,	MFS UTILITIES FUND-B	0.00	0.29	0.00	0.29	88.0	0.26
	ACCOUNT #: 08191235544	BUY 0 Units @0.0000						
07/01/2018	***-**-244J - BURTON, RICHARD	MFS UTILITIES FUND-B	0.00	2.18	0.00	2.18	88.0	1.92
	ACCOUNT #: 08191250134	BUY 0 Units @0.0000						
07/01/2018	***-**-541I - ORSINO, LISA	MFS UTILITIES FUND-B	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/01/2018	***-**-311I - MOYLAN, COLLEEN	MFS UTILITIES FUND-B	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						
07/01/2018	***-**-755J - MISHLANIE,	MFS UTILITIES FUND-B	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: 08191444446	BUY 0 Units @0.0000						
07/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS UTILITIES FUND-C	0.00	8.30	0.00	8.30	88.0	7.30
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
07/01/2018	***-**-88IN - PICKARD, ELAINE	MFS UTILITIES FUND-C	0.00	11.70	0.00	11.70	88.0	10.30
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
07/01/2018	***-**-93JT - WADSWORTH,	MFS UTILITIES FUND-C	0.00	17.60	0.00	17.60	88.0	15.49
	ACCOUNT #: 08191339712	BUY 0 Units @0.0000						
07/01/2018	***-**-29RI - THIBAUT,	MFS UTILITIES FUND-C	0.00	3.55	0.00	3.55	88.0	3.12
	ACCOUNT #: 08191346905	BUY 0 Units @0.0000						
07/01/2018	***-**-73IN - MELLACE,	MFS UTILITIES FUND-C	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: 08191356365	BUY 0 Units @0.0000						
06/30/2018	***-**-480I - SCOTELLARO,	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	3.53	0.00	3.53	88.0	3.11
	ACCOUNT #: 05520857714	BUY 0 Units @0.0000						
06/30/2018	***-**-090I - RASPANTE, JOHN	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	14.50	0.00	14.50	88.0	12.76
	ACCOUNT #: 05520946924	BUY 0 Units @0.0000						
06/30/2018	***-**-497I - MARTIN, KATHLEEN	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	4.39	0.00	4.39	88.0	3.86
	ACCOUNT #: 05520998470	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER CUSIP 68385X208	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 00100011925	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	1.64	0.00	1.64	88.0	1.44
	ACCOUNT #: 07871984301	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 07872241470	BUY 0 Units @0.0000						
06/30/2018	***-**-4580 - GRIFFITH,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.73	0.00	2.73	88.0	2.40
	ACCOUNT #: 07861977724	BUY 0 Units @0.0000						
06/30/2018	***-**-872I - GORCZYNSKI,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 07862887006	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: 07862977371	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100064439	OPPENHEIMER EMERG MKTS LOCAL DEBT F BUY 0 Units @0.0000	0.00	1.47	0.00	1.47	88.0	1.29
06/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100025895	OPPENHEIMER GLBL HIGH YIELD FUND C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
06/30/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 00100018140	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	2.10	0.00	2.10	88.0	1.85
06/30/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: 00100018393	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	4.58	0.00	4.58	88.0	4.03
06/30/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 03322653871	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	1.88	0.00	1.88	88.0	1.65
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03322653882	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
06/30/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 03322722456	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	16.29	0.00	16.29	88.0	14.34
06/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 06890080641	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
06/30/2018	***-**-480I - SCOTELLARO, ACCOUNT #: 04120782331	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	1.20	0.00	1.20	88.0	1.06
06/30/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 04120841819	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	3.63	0.00	3.63	88.0	3.19
06/30/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 04120907192	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	1.71	0.00	1.71	88.0	1.50
06/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 04120907203	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	1.48	0.00	1.48	88.0	1.30
06/30/2018	***-**-400K - TEESDALE, ACCOUNT #: 01952759669	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62
06/30/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 01953266648	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	3.23	0.00	3.23	88.0	2.84
06/30/2018	***-**-1588 - FOLEY, JOHN ACCOUNT #: 01953346959	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	1.54	0.00	1.54	88.0	1.36
06/30/2018	***-**-053I - INGERSOLL, ROY ACCOUNT #: 01953356210	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-718I - LOWE, GREGORY	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 01953382599	BUY 0 Units @0.0000						
06/30/2018	***-**-231I - MISHLANIE JR,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	1.79	0.00	1.79	88.0	1.58
	ACCOUNT #: 01953382632	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 01953416908	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: 01953424179	BUY 0 Units @0.0000						
06/30/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	7.11	0.00	7.11	88.0	6.26
	ACCOUNT #: 01970799227	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	2.60	0.00	2.60	88.0	2.29
	ACCOUNT #: 01970849112	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	5.08	0.00	5.08	88.0	4.47
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						
06/30/2018	***-**-090I - RASPANTE, JOHN	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	15.15	0.00	15.15	88.0	13.33
	ACCOUNT #: 01970928730	BUY 0 Units @0.0000						
06/30/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	2.71	0.00	2.71	88.0	2.38
	ACCOUNT #: 01971001154	BUY 0 Units @0.0000						
06/30/2018	***-**-58IN - SCHRECK, RYAN	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	5.87	0.00	5.87	88.0	5.17
	ACCOUNT #: 01971002232	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: 01953471072	BUY 0 Units @0.0000						
06/30/2018	***-**-090I - RASPANTE, JOHN	OPPENHEIMER INTERNATIONAL SMALL COM	0.00	3.91	0.00	3.91	88.0	3.44
	ACCOUNT #: 08170386485	BUY 0 Units @0.0000						
06/30/2018	***-**-178I - DAVIS, MARILYN	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: 08477115867	BUY 0 Units @0.0000						
06/30/2018	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: 08477517323	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	23.64	0.00	23.64	88.0	20.80
	ACCOUNT #: 08491046331	BUY 0 Units @0.0000						
06/30/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	2.39	0.00	2.39	88.0	2.10
	ACCOUNT #: 02270806520	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-480I - SCOTELLARO, ACCOUNT #: 02270869044	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	7.70	0.00	7.70	88.0	6.78
06/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 02270899404	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	3.37	0.00	3.37	88.0	2.97
06/30/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02270899492	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02270899503	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	4.98	0.00	4.98	88.0	4.38
06/30/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 02271018369	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	17.78	0.00	17.78	88.0	15.65
06/30/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: 02271130536	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	5.41	0.00	5.41	88.0	4.76
06/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 02913583470	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	1.70	0.00	1.70	88.0	1.50
06/30/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 02913593766	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	0.13	0.00	0.13	88.0	0.11
06/30/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 02913604436	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56
06/30/2018	***-**-231I - MISHLANIE JR, ACCOUNT #: 02913818639	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09
06/30/2018	***-**-985I - MCAUSLAN, ACCOUNT #: 02913853707	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	4.16	0.00	4.16	88.0	3.66
06/30/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02920589314	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
06/30/2018	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 02920643588	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
06/30/2018	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 02913897080	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	1.29	0.00	1.29	88.0	1.14
06/30/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02913904373	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
06/30/2018	***-**-178I - DAVIS, MARILYN ACCOUNT #: 00100033958	OPPENHEIMER SENIOR FLOATING RATE PL BUY 0 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16



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DAVID GRIFFITH
2108 Genesee St.
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BROKER #: A76
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-609J - CADY, PATRICK	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: 02514647841	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 02514902667	BUY 0 Units @0.0000						
06/30/2018	***-**-5851 - GLEESON, BARBARA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	3.17	0.00	3.17	88.0	2.79
	ACCOUNT #: 02514983528	BUY 0 Units @0.0000						
06/30/2018	***-**-718I - LOWE, GREGORY	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 02515029761	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 02515060099	BUY 0 Units @0.0000						
06/30/2018	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: 02307128993	BUY 0 Units @0.0000						
06/30/2018	***-**-053I - INGERSOLL, ROY	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 02307448587	BUY 0 Units @0.0000						
06/30/2018	***-**-053I - INGERSOLL, ROY	OPPENHEIMER STRATEGIC INCOME FUND C	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 02317220730	BUY 0 Units @0.0000						
06/30/2018	***-**-400K - TEESDALE,	OPPENHEIMER U.S. GOVT TR CLASS A	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: 02203670117	BUY 0 Units @0.0000						
06/30/2018	***-**-497I - MARTIN, KATHLEEN	PORT SERIES: CONS INV C	0.00	4.06	0.00	4.06	88.0	3.57
	ACCOUNT #: 05420240427	BUY 0 Units @0.0000						
06/30/2018	***-**-178I - DAVIS, MARILYN	PORTFOLIO SERIES: CONS INV A	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: 05400618409	BUY 0 Units @0.0000						
07/02/2018	***-**-6762 - MISHLANIE,	PUTNAM 1	0.00	3.51	0.00	3.51	88.0	3.09
	ACCOUNT #: 00551362260	BUY 0 Units @0.0000						
07/02/2018	***-**-372I - BURTON, KAREN	PUTNAM 1	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
07/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM 1	0.00	3.27	0.00	3.27	88.0	2.88
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
07/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM 1	0.00	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
07/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM 1	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						



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2108 Genesee St.
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM 1	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
07/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM 1	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
07/02/2018	***-**-924J - FISH, ROY	PUTNAM 1	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
07/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM ASSET ALLOC BALANCED-C	0.00	13.04	0.00	13.04	88.0	11.48
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
07/02/2018	***-**-372I - BURTON, KAREN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
07/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
07/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
07/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.94	0.00	0.94	88.0	0.83
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
07/02/2018	***-**-924J - FISH, ROY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
07/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
07/02/2018	***-**-372I - BURTON, KAREN	PUTNAM CONV INCOME-GROWTH-B	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
07/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM CONV INCOME-GROWTH-B	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
07/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM CONV INCOME-GROWTH-B	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
07/02/2018	***-**-372I - BURTON, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	2.84	0.00	2.84	88.0	2.50
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
07/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	4.27	0.00	4.27	88.0	3.76
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
07/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM EQUITY INCOME FUND-B	0.00	2.34	0.00	2.34	88.0	2.06
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM EQUITY SPECTRUM FD CL B	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
07/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL B	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
07/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL C	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
07/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM EUROPE EQUITY CLASS C	0.00	4.04	0.00	4.04	88.0	3.56
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
07/02/2018	***-**-372I - BURTON, KAREN	PUTNAM EUROPE EQUITY FUND-B	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
07/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM EUROPE EQUITY FUND-B	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
07/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM EUROPE EQUITY FUND-B	0.00	1.48	0.00	1.48	88.0	1.30
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
07/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM GLOBAL EQUITY FUND CLASS B	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
07/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM GLOBAL INCOME TRUST-B	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
07/02/2018	***-**-372I - BURTON, KAREN	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
07/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
07/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
07/02/2018	***-**-924J - FISH, ROY	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
07/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM GLOBAL NATURAL RESOURCE C	0.00	3.07	0.00	3.07	88.0	2.70
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
07/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM GLOBAL UTILITIES CL C	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
07/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM GLOBAL UTILITIES CL C	0.00	14.07	0.00	14.07	88.0	12.38
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/02/2018	***-**-372I - BURTON, KAREN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
07/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM INTERNATIONAL GROWTH-B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
07/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM INTL CAPITAL OPPS-B	0.00	1.81	0.00	1.81	88.0	1.59
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
07/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM INTL GROWTH & INC-A	0.00	2.86	0.00	2.86	88.0	2.52
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
07/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM INTL GROWTH & INC-B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
07/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
07/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM MF TRAILS 74676P870	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
07/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM MF TRAILS 74677R206	0.00	1.92	0.00	1.92	88.0	1.69
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
07/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 74677R206	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
07/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM MF TRAILS 74677R206	0.00	1.53	0.00	1.53	88.0	1.35
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
07/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM MID-CAP VALUE FUND-A	0.00	2.29	0.00	2.29	88.0	2.02
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
07/02/2018	***-**-372I - BURTON, KAREN	PUTNAM RESEARCH FUND CLASS B	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
07/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM RESEARCH FUND CLASS B	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
07/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM RESEARCH FUND CLASS B	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
07/02/2018	***-**-372I - BURTON, KAREN	PUTNAM SMALL CAP GROWTH-B	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
07/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM SMALL CAP GROWTH-B	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM SMALL CAP GROWTH-B	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
07/02/2018	***-**-372I - BURTON, KAREN	PUTNAM UTILITIES GR & INC-B	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
07/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM UTILITIES GR & INC-B	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
07/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM UTILITIES GR & INC-B	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
07/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM UTILITIES GR & INC-B	0.00	4.94	0.00	4.94	88.0	4.35
	ACCOUNT #: 00551338349	BUY 0 Units @0.0000						
07/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM UTILITIES GR & INC-B	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
07/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM UTILITIES GR & INC-B	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
07/02/2018	***-**-924J - FISH, ROY	PUTNAM UTILITIES GR & INC-B	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
06/30/2018	***-**-178I - DAVIS, MARILYN	QUEST BALANCED A	0.00	2.36	0.00	2.36	88.0	2.08
	ACCOUNT #: 02577442831	BUY 0 Units @0.0000						
06/30/2018	***-**-400K - TEESDALE,	QUEST BALANCED A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 02577487458	BUY 0 Units @0.0000						
06/30/2018	***-**-718I - LOWE, GREGORY	QUEST BALANCED A	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: 02577784733	BUY 0 Units @0.0000						
06/30/2018	***-**-231I - MISHLANIE JR,	QUEST BALANCED A	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: 02577784744	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	QUEST BALANCED A	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: 02577849897	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	QUEST BALANCED B	0.00	0.29	0.00	0.29	88.0	0.26
	ACCOUNT #: 02586023545	BUY 0 Units @0.0000						
06/30/2018	***-**-58IN - CADY, GAIL	QUEST BALANCED FUND C	0.00	6.25	0.00	6.25	88.0	5.50
	ACCOUNT #: 02592245914	BUY 0 Units @0.0000						
06/30/2018	***-**-480I - SCOTELLARO,	QUEST BALANCED FUND C	0.00	24.08	0.00	24.08	88.0	21.19
	ACCOUNT #: 02592262469	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-090I - RASPANTE, JOHN	QUEST BALANCED FUND C	0.00	3.67	0.00	3.67	88.0	3.23
	ACCOUNT #: 02592315709	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	QUEST BALANCED FUND C	0.00	3.75	0.00	3.75	88.0	3.30
	ACCOUNT #: 02592394447	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 02550536217	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	QUEST INTERNATIONAL VALUE B	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: 02550537977	BUY 0 Units @0.0000						
06/30/2018	***-**-400K - TEESDALE,	QUEST INTERNATIONAL VALUE FUND, INC	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: 02541113409	BUY 0 Units @0.0000						
06/30/2018	***-**-718I - LOWE, GREGORY	QUEST INTERNATIONAL VALUE FUND, INC	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 02541186669	BUY 0 Units @0.0000						
06/30/2018	***-**-231I - MISHLANIE JR,	QUEST INTERNATIONAL VALUE FUND, INC	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: 02541186680	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02541195997	BUY 0 Units @0.0000						
06/30/2018	***-**-58IN - CADY, GAIL	QUEST INTERNATIONAL VALUE FUND, INC	0.00	4.33	0.00	4.33	88.0	3.81
	ACCOUNT #: 02560282953	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	0.00	2.42	0.00	2.42	88.0	2.13
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	QUEST INTERNATIONAL VALUE FUND, INC	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: 02541205072	BUY 0 Units @0.0000						
06/30/2018	***-**-090I - RASPANTE, JOHN	QUEST OPPORTUNITY VALUE FUND C	0.00	6.04	0.00	6.04	88.0	5.32
	ACCOUNT #: 02381154945	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	REAL ESTATE FUND A	0.00	2.79	0.00	2.79	88.0	2.46
	ACCOUNT #: 05900979550	BUY 0 Units @0.0000						
06/30/2018	***-**-400K - TEESDALE,	REAL ESTATE FUND A	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: 05901017676	BUY 0 Units @0.0000						
06/30/2018	***-**-59IN - MORGAN, WILLIAM	REAL ESTATE FUND A	0.00	2.03	0.00	2.03	88.0	1.79
	ACCOUNT #: 05901205897	BUY 0 Units @0.0000						
06/30/2018	***-**-59IN - MORGAN, WILLIAM	REAL ESTATE FUND A	0.00	1.73	0.00	1.73	88.0	1.52
	ACCOUNT #: 05901212926	BUY 0 Units @0.0000						



COMMISSION STATEMENT

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DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-053I - INGERSOLL, ROY	REAL ESTATE FUND A	0.00	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 05901278970	BUY 0 Units @0.0000						
06/30/2018	***-**-718I - LOWE, GREGORY	REAL ESTATE FUND A	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: 05901291235	BUY 0 Units @0.0000						
06/30/2018	***-**-231I - MISHLANIE JR,	REAL ESTATE FUND A	0.00	1.89	0.00	1.89	88.0	1.66
	ACCOUNT #: 05901291268	BUY 0 Units @0.0000						
06/30/2018	***-**-968I - THIBAUT JR,	REAL ESTATE FUND A	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: 05901293765	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND A	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05901303610	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND A	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 05901305623	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	REAL ESTATE FUND A	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: 05901319813	BUY 0 Units @0.0000						
06/30/2018	***-**-968I - THIBAUT JR,	REAL ESTATE FUND B	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05910199859	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 05910203500	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 05910204545	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	REAL ESTATE FUND B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: 05910211596	BUY 0 Units @0.0000						
06/30/2018	***-**-58IN - CADY, GAIL	REAL ESTATE FUND C	0.00	3.81	0.00	3.81	88.0	3.35
	ACCOUNT #: 05920265584	BUY 0 Units @0.0000						
06/30/2018	***-**-480I - SCOTELLARO,	REAL ESTATE FUND C	0.00	6.39	0.00	6.39	88.0	5.62
	ACCOUNT #: 05920279081	BUY 0 Units @0.0000						
06/30/2018	***-**-29IN - THIBAUT,	REAL ESTATE FUND C	0.00	16.91	0.00	16.91	88.0	14.88
	ACCOUNT #: 05920285846	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND C	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: 05920286880	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	0.00	2.14	0.00	2.14	88.0	1.88
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-090I - RASPANTE, JOHN	REAL ESTATE FUND C	0.00	8.61	0.00	8.61	88.0	7.58
	ACCOUNT #: 05920332673	BUY 0 Units @0.0000						
06/30/2018	***-**-4580 - GRIFFITH,	RISING DIVIDENDS FUND A	0.00	5.32	0.00	5.32	88.0	4.68
	ACCOUNT #: 02252428624	BUY 0 Units @0.0000						
06/30/2018	***-**-25IN - PERRITANO,	RISING DIVIDENDS FUND A	0.00	2.03	0.00	2.03	88.0	1.79
	ACCOUNT #: 02252885421	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	RISING DIVIDENDS FUND A	0.00	4.03	0.00	4.03	88.0	3.55
	ACCOUNT #: 02253970175	BUY 0 Units @0.0000						
06/30/2018	***-**-400K - TEESDALE,	RISING DIVIDENDS FUND A	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: 02254058263	BUY 0 Units @0.0000						
06/30/2018	***-**-28IN - ALOISIO, IRENE	RISING DIVIDENDS FUND A	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: 02254466484	BUY 0 Units @0.0000						
06/30/2018	***-**-61IN - ALOISIO,	RISING DIVIDENDS FUND A	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 02254466495	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	RISING DIVIDENDS FUND A	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 02254515654	BUY 0 Units @0.0000						
06/30/2018	***-**-59IN - MORGAN, WILLIAM	RISING DIVIDENDS FUND A	0.00	2.28	0.00	2.28	88.0	2.01
	ACCOUNT #: 02254589255	BUY 0 Units @0.0000						
06/30/2018	***-**-59IN - MORGAN, WILLIAM	RISING DIVIDENDS FUND A	0.00	3.54	0.00	3.54	88.0	3.12
	ACCOUNT #: 02254603511	BUY 0 Units @0.0000						
06/30/2018	***-**-5851 - GLEESON, BARBARA	RISING DIVIDENDS FUND A	0.00	3.36	0.00	3.36	88.0	2.96
	ACCOUNT #: 02254680148	BUY 0 Units @0.0000						
06/30/2018	***-**-1588 - FOLEY, JOHN	RISING DIVIDENDS FUND A	0.00	1.98	0.00	1.98	88.0	1.74
	ACCOUNT #: 02254704744	BUY 0 Units @0.0000						
06/30/2018	***-**-794I - INGERSOLL, JOAN	RISING DIVIDENDS FUND A	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: 02254716448	BUY 0 Units @0.0000						
06/30/2018	***-**-718I - LOWE, GREGORY	RISING DIVIDENDS FUND A	0.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 02254747468	BUY 0 Units @0.0000						
06/30/2018	***-**-231I - MISHLANIE JR,	RISING DIVIDENDS FUND A	0.00	13.93	0.00	13.93	88.0	12.26
	ACCOUNT #: 02254747534	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	RISING DIVIDENDS FUND A	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 02254790082	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-0457 - STAGLIANO, GINA	RISING DIVIDENDS FUND A	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: 02254799135	BUY 0 Units @0.0000						
06/30/2018	***-**-609J - CADY, PATRICK	RISING DIVIDENDS FUND A	0.00	3.08	0.00	3.08	88.0	2.71
	ACCOUNT #: 02254799212	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	RISING DIVIDENDS FUND A	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: 02254853717	BUY 0 Units @0.0000						
06/30/2018	***-**-053I - INGERSOLL, ROY	RISING DIVIDENDS FUND A	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 02254843487	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	RISING DIVIDENDS FUND, INC. B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 02261614668	BUY 0 Units @0.0000						
06/30/2018	***-**-053I - INGERSOLL, ROY	RISING DIVIDENDS FUND, INC. B	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 02261701051	BUY 0 Units @0.0000						
06/30/2018	***-**-0457 - STAGLIANO, GINA	RISING DIVIDENDS FUND, INC. B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 02261746822	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - MOYLAN, TIMOTHY	RISING DIVIDENDS FUND, INC. B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 02261751068	BUY 0 Units @0.0000						
06/30/2018	***-**-69IR - PERRITANO, SUSAN	RISING DIVIDENDS FUND, INC. B	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: 02261787654	BUY 0 Units @0.0000						
06/30/2018	***-**-59IN - MORGAN, WILLIAM	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: 03551379004	BUY 0 Units @0.0000						
06/30/2018	***-**-59IN - MORGAN, WILLIAM	ROCHESTER FUND MUNICIPALS A	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: 03653494722	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	SELECT VALUE C	0.00	5.59	0.00	5.59	88.0	4.92
	ACCOUNT #: 06020193534	BUY 0 Units @0.0000						
06/30/2018	***-**-28IN - ALOISIO, IRENE	SELECT VALUE FUND A	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 06000750266	BUY 0 Units @0.0000						
06/30/2018	***-**-61IN - ALOISIO,	SELECT VALUE FUND A	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 06000750277	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	SELECT VALUE FUND A	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: 06000790262	BUY 0 Units @0.0000						
06/30/2018	***-**-91IN - RICHARDSON,	SELECT VALUE FUND B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 06010108471	BUY 0 Units @0.0000						



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BROKER #: A76
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/30/2018	***-**-480I - SCOTELLARO, ACCOUNT #: 02931730520	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
06/30/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02931758372	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	1.45	0.00	1.45	88.0	1.28
06/30/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 02932007225	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	2.42	0.00	2.42	88.0	2.13
06/30/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 00100027853	SENIOR FLOATING RATE FUND-CL C BUY 0 Units @0.0000	0.00	4.51	0.00	4.51	88.0	3.97
06/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 02521421750	SMALL- & MID- CAP VALUE B BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	88.0	0.02
06/30/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02521506659	SMALL- & MID- CAP VALUE B BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
06/30/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02531131966	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	0.00	4.65	0.00	4.65	88.0	4.09
06/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 02531164691	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	0.00	7.44	0.00	7.44	88.0	6.55
06/30/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02531164735	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	0.00	1.74	0.00	1.74	88.0	1.53
06/30/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 02531206898	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	0.00	3.12	0.00	3.12	88.0	2.75
06/30/2018	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 07211148323	SMALL- & MID-CAP GROWTH FUND A BUY 0 Units @0.0000	0.00	0.42	0.00	0.42	88.0	0.37
06/30/2018	***-**-480I - SCOTELLARO, ACCOUNT #: 02322654102	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	7.39	0.00	7.39	88.0	6.50
06/30/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 02322945965	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	2.18	0.00	2.18	88.0	1.92
06/30/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02220682638	U.S. GOVERNMENT TRUST C BUY 0 Units @0.0000	0.00	1.91	0.00	1.91	88.0	1.68
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$600.00	\$1,001.60	\$0.00	\$1,001.60		\$881.54
*** BROKER TRANSACTIONS TOTAL ***			\$170,315.31	\$3,767.46	\$1,172.33	\$2,595.13		\$2,282.47



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: KURT GRUENEWALD</u>								
07/02/2018	***-**-91UT - BYWATER, CAROLYN	37252M108	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: 00234174436	BUY 0 Units @0.0000						
07/02/2018	***-**-79UT - BYWATER,	37252M108	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: 00234227769	BUY 0 Units @0.0000						
07/09/2018	***-**-6404 - ASHRAF, MIRZA	AMERICAN FUNDS 401K TRAILS	0.00	191.39	0.00	191.39	88.0	168.42
	ACCOUNT #: IRK129327	BUY 0 Units @0.0000						
07/12/2018	***-**-287J - HINCKLEY,	AMERICAN GLOBAL BALANCED CL C	8,499.99	85.00	0.00	85.00	88.0	74.80
	ACCOUNT #: LSR010841	BUY 263 Units @32.2600						
07/06/2018	***-**-376I - BERBEN, GAIL	AMERICAN MUTUAL FUND-C	9,999.98	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR011380	BUY 246 Units @40.6000						
06/30/2018	***-**-84IN - WARMUTH, ERIC	CAPITAL APPRECIATION A	0.00	5.32	0.00	5.32	88.0	4.68
	ACCOUNT #: 02703492687	BUY 0 Units @0.0000						
06/30/2018	***-**-65CL - GRUENEWALD, K,	CAPITAL APPRECIATION C	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: 03222414918	BUY 0 Units @0.0000						
06/30/2018	***-**-84IN - WARMUTH, ERIC	CAPITAL INCOME A	0.00	4.29	0.00	4.29	88.0	3.78
	ACCOUNT #: 03450098560	BUY 0 Units @0.0000						
07/10/2018	***-**-15IN - PENDRAK, JOHN	DENBURY RES INC DEL COM USD0.001	2,645.00	24.99	0.00	24.99	88.0	21.99
	ACCOUNT #: LSR010948	SELL 500 Units @5.2900						
07/10/2018	***-**-579I - RHYMESTINE,	DENBURY RES INC DEL COM USD0.001	5,240.00	42.49	0.00	42.49	88.0	37.39
	ACCOUNT #: LSR011082	SELL 1000 Units @5.2400						
06/30/2018	***-**-524I - SCALISE, JOSEPH	DEVELOPING MARKETS FUND B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 07860984830	BUY 0 Units @0.0000						
06/30/2018	***-**-96IN - NESSIA, BONNIE	DISCOVERY FUND C	0.00	11.36	0.00	11.36	88.0	10.00
	ACCOUNT #: 05020467148	BUY 0 Units @0.0000						
06/30/2018	***-**-973I - LABAYEWSKI,	EQUITY INCOME FUND, INC. A	0.00	1.86	0.00	1.86	88.0	1.64
	ACCOUNT #: 08352638471	BUY 0 Units @0.0000						
06/30/2018	***-**-633J -	EQUITY INCOME FUND, INC. A	0.00	2.87	0.00	2.87	88.0	2.53
	ACCOUNT #: 08353229688	BUY 0 Units @0.0000						
06/30/2018	***-**-0767 - DOVI,	EQUITY INCOME FUND, INC. A	0.00	3.69	0.00	3.69	88.0	3.25
	ACCOUNT #: 08353253965	BUY 0 Units @0.0000						
06/30/2018	***-**-0069 - KRECIDLO,	EQUITY INCOME FUND, INC. A	0.00	2.63	0.00	2.63	88.0	2.31
	ACCOUNT #: 08353280112	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
06/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 08353280530	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	12.35	0.00	12.35	88.0	10.87
06/30/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08353313343	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	11.82	0.00	11.82	88.0	10.40
06/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08353346563	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	2.31	0.00	2.31	88.0	2.03
06/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 08353359136	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	2.11	0.00	2.11	88.0	1.86
06/30/2018	***-**-0069 - KRECIDLLO, ACCOUNT #: 08360444037	EQUITY INCOME FUND, INC. B BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
06/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 08360489654	EQUITY INCOME FUND, INC. B BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
06/30/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 08370484165	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
06/30/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08370494010	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	20.26	0.00	20.26	88.0	17.83
06/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08370502436	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	8.31	0.00	8.31	88.0	7.31
06/30/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	5.06	0.00	5.06	88.0	4.45
07/10/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	FIDELITY ADVISOR MORTGAGE SECS CL A SELL 914 Units @10.8800	9,948.23	1.99	0.00	1.99	88.0	1.75
07/10/2018	***-**-930J - SANGER, KEVIN ACCOUNT #: LSR010940	GENESIS HEALTHCARE INC CL A COM ISI BUY 2000 Units @2.0800	4,160.00	2.49	0.00	2.49	88.0	2.19
07/10/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	GENESIS HEALTHCARE INC CL A COM ISI BUY 1800 Units @2.1000	3,780.00	16.49	0.00	16.49	88.0	14.51
07/10/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	GENESIS HEALTHCARE INC CL A COM ISI BUY 1500 Units @2.1000	3,150.00	12.49	0.00	12.49	88.0	10.99
07/11/2018	***-**-930J - SANGER, KEVIN ACCOUNT #: LSR010940	GENESIS HEALTHCARE INC CL A COM ISI BUY 1500 Units @1.9000	2,850.00	4.99	0.00	4.99	88.0	4.39
07/11/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	GENESIS HEALTHCARE INC CL A COM ISI BUY 1500 Units @1.9100	2,865.00	12.49	0.00	12.49	88.0	10.99



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/11/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	GENESIS HEALTHCARE INC CL A COM ISI BUY 2000 Units @1.9000	3,800.00	12.49	0.00	12.49	88.0	10.99
07/11/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	GENESIS HEALTHCARE INC CL A COM ISI BUY 1000 Units @1.9000	1,900.00	14.99	0.00	14.99	88.0	13.19
07/12/2018	***-**-930J - SANGER, KEVIN ACCOUNT #: LSR010940	GENESIS HEALTHCARE INC CL A COM ISI BUY 1500 Units @1.5200	2,280.00	4.99	0.00	4.99	88.0	4.39
07/12/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	GENESIS HEALTHCARE INC CL A COM ISI BUY 1499 Units @1.5250	2,285.98	5.01	0.00	5.01	88.0	4.41
07/12/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	GENESIS HEALTHCARE INC CL A COM ISI BUY 1500 Units @1.5300	2,295.00	4.99	0.00	4.99	88.0	4.39
06/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 03307873373	GLOBAL FUND A BUY 0 Units @0.0000	0.00	3.73	0.00	3.73	88.0	3.28
06/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 03316631251	GLOBAL FUND B BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	88.0	0.02
06/30/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 02158012400	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.91	0.00	1.91	88.0	1.68
06/30/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 02158058303	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	5.49	0.00	5.49	88.0	4.83
06/30/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 02158069743	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	16.96	0.00	16.96	88.0	14.92
06/30/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 02171825219	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	0.72	0.00	0.72	88.0	0.63
07/06/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	GLOBAL OPPORTUNITIES FUND C BUY 137 Units @62.1600	8,500.01	85.00	0.00	85.00	88.0	74.80
06/30/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 04103537149	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	1.44	0.00	1.44	88.0	1.27
06/30/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 04104653792	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
06/30/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 04104658049	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.22	0.00	0.22	88.0	0.19
06/30/2018	***-**-0767 - DOVI, ACCOUNT #: 04104666585	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
06/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 04104675077	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.32	0.00	0.32	88.0	0.28
06/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 04104675297	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56
06/30/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 04104683217	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
06/30/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 04104685582	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	1.21	0.00	1.21	88.0	1.06
06/30/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 04104688728	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
06/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 04104696516	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
06/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 04104700355	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
06/30/2018	***-**-0767 - DOVI, ACCOUNT #: 08810326811	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
06/30/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 08810337228	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.39	0.00	0.39	88.0	0.34
06/30/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 08810347513	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	1.57	0.00	1.57	88.0	1.38
06/30/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08810351011	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	4.29	0.00	4.29	88.0	3.78
06/30/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08810354960	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61
06/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 08810370888	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.99	0.00	0.99	88.0	0.87
06/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 08810370954	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	4.24	0.00	4.24	88.0	3.73
06/30/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 08250106216	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	6.17	0.00	6.17	88.0	5.43
06/30/2018	***-**-69IN - EVANS, PAUL ACCOUNT #: 08152454089	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	0.00	1.75	0.00	1.75	88.0	1.54



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
06/30/2018	***-**-31IO - HARTZ, CLAUDIA	INTERNATIONAL SMALL COMPANY A	0.00	1.72	0.00	1.72	88.0	1.51
	ACCOUNT #: 08152458467	BUY 0 Units @0.0000						
06/30/2018	***-**-1944 - BEHA, JAMES	LIMITED-TERM GOVERNMENT FUND C	0.00	2.75	0.00	2.75	88.0	2.42
	ACCOUNT #: 08571144451	BUY 0 Units @0.0000						
07/10/2018	***-**-15IN - PENDRAK, JOHN	LORD ABBETT GROWTH OPPORTUNITIES CL	8,000.00	12.00	0.00	12.00	88.0	10.56
	ACCOUNT #: LSR010948	BUY 492 Units @16.2600						
07/11/2018	***-**-579J - RHYMESTINE,	LORD ABBETT GROWTH OPPORTUNITIES CL	6,000.01	13.99	0.00	13.99	88.0	12.31
	ACCOUNT #: LSR011081	BUY 371 Units @16.1700						
07/10/2018	***-**-15IN - PENDRAK, JOHN	LORD ABBETT VALUE OPPORTUNITY FD CL	7,999.99	12.00	0.00	12.00	88.0	10.56
	ACCOUNT #: LSR010948	BUY 434 Units @18.4500						
07/11/2018	***-**-579J - RHYMESTINE,	LORD ABBETT VALUE OPPORTUNITY FD CL	8,000.00	13.99	0.00	13.99	88.0	12.31
	ACCOUNT #: LSR011081	BUY 436 Units @18.3300						
06/30/2018	***-**-84IN - WARMUTH, ERIC	MAIN STREET FUND A	0.00	8.61	0.00	8.61	88.0	7.58
	ACCOUNT #: 07005442085	BUY 0 Units @0.0000						
06/30/2018	***-**-960I - MASTRANGELO,	MAIN STREET FUND A	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: 07006358641	BUY 0 Units @0.0000						
06/30/2018	***-**-1491 - GUNN, EDWARD	MAIN STREET FUND A	0.00	6.35	0.00	6.35	88.0	5.59
	ACCOUNT #: 07006432891	BUY 0 Units @0.0000						
07/01/2018	***-**-1855 - WILLIAMSON,	MASSACHUSETTS INVESTORS TRUST CLASS	0.00	3.58	0.00	3.58	88.0	3.15
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
07/01/2018	***-**-439J - MCCARTHY, JAMES	MASSACHUSETTS INVESTORS TRUST-A	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: 00060638887	BUY 0 Units @0.0000						
07/01/2018	***-**-439J - MCCARTHY, JAMES	MASSACHUSETTS INVESTORS TRUST-A	0.00	1.83	0.00	1.83	88.0	1.61
	ACCOUNT #: 00060638888	BUY 0 Units @0.0000						
07/01/2018	***-**-861I - SANGER, LAWRENCE	MASSACHUSETTS INVESTORS TRUST-A	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 00060640524	BUY 0 Units @0.0000						
07/01/2018	***-**-0767 - DOVI,	MASSACHUSETTS INVESTORS TRUST-A	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: 00060640882	BUY 0 Units @0.0000						
07/01/2018	***-**-8440 - PREVOST, PIERRE	MASSACHUSETTS INVESTORS TRUST-A	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 00060670633	BUY 0 Units @0.0000						
07/01/2018	***-**-237I - MCCLUSKY, MARK	MASSACHUSETTS INVESTORS TRUST-A	0.00	0.29	0.00	0.29	88.0	0.26
	ACCOUNT #: 00060670635	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/01/2018	***-**-439I - MCCARTHY, JAMES	MASSACHUSETTS INVESTORS TRUST-B	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
07/01/2018	***-**-0767 - DOVI,	MASSACHUSETTS INVESTORS TRUST-B	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
07/01/2018	***-**-861I - SANGER, LAWRENCE	MASSACHUSETTS INVESTORS TRUST-B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
07/01/2018	***-**-8440 - PREVOST, PIERRE	MASSACHUSETTS INVESTORS TRUST-B	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
07/01/2018	***-**-237I - MCCLUSKY, MARK	MASSACHUSETTS INVESTORS TRUST-B	0.00	1.69	0.00	1.69	88.0	1.49
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
07/01/2018	***-**-094I - CIRILLO, CARL	MASSACHUSETTS INVESTORS TRUST-B	0.00	3.05	0.00	3.05	88.0	2.68
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
07/01/2018	***-**-671I - EBERLEY, REID	MASSACHUSETTS INVESTORS TRUST-B	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
07/01/2018	***-**-13IN - RHYMESTINE,	MASSACHUSETTS INVESTORS TRUST-B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
07/01/2018	***-**-3420 - KOCHER, DENISE	MASSACHUSETTS INVESTORS TRUST-B	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
07/01/2018	***-**-9839 - YADDAW, DAVID	MASSACHUSETTS INVESTORS TRUST-B	0.00	2.52	0.00	2.52	88.0	2.22
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
07/01/2018	***-**-1855 - WILLIAMSON,	MFS GROWTH PORT CLASS C	0.00	4.02	0.00	4.02	88.0	3.54
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
07/01/2018	***-**-06IN - SATTERLY,	MFS 08191336006	0.00	4.08	0.00	4.08	88.0	3.59
	ACCOUNT #: 08191336006	BUY 0 Units @0.0000						
07/01/2018	***-**-1855 - WILLIAMSON,	MFS 55273E871	0.00	1.68	0.00	1.68	88.0	1.48
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
07/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS 552987646	0.00	1.78	0.00	1.78	88.0	1.57
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
07/01/2018	***-**-058I - ROBBIANO, SARAH	MFS AGGRESS GROWTH ALLOCATION FD-B	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
07/01/2018	***-**-2603 - MASTRANGELO,	MFS BLENDED RESEARCH CORE EQUITY FD	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
07/01/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 08190127726	MFS BOND FUND CLASS B BUY 0 Units @0.0000	0.00	0.55	0.00	0.55	88.0	0.48
07/01/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08190129168	MFS BOND FUND CLASS B BUY 0 Units @0.0000	0.00	0.16	0.00	0.16	88.0	0.14
07/01/2018	***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352847	MFS BOND FUND-C BUY 0 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19
07/01/2018	***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352846	MFS CORE EQUITY FUND-B BUY 0 Units @0.0000	0.00	0.75	0.00	0.75	88.0	0.66
07/01/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 08190127726	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	2.22	0.00	2.22	88.0	1.95
07/01/2018	***-**-5384 - GURDO, JESSICA ACCOUNT #: 08191233759	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	0.20	0.00	0.20	88.0	0.18
07/01/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638917	MFS EMERGING MARKETS DEBT FUND-A BUY 0 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42
07/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 00060640608	MFS EMERGING MARKETS DEBT FUND-A BUY 0 Units @0.0000	0.00	0.11	0.00	0.11	88.0	0.10
07/01/2018	***-**-0767 - DOVI, ACCOUNT #: 00060640958	MFS EMERGING MARKETS DEBT FUND-A BUY 0 Units @0.0000	0.00	0.76	0.00	0.76	88.0	0.67
07/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 00060670677	MFS EMERGING MARKETS DEBT FUND-A BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
07/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 00060640668	MFS EMERGING MARKETS EQUITY FUND-A BUY 0 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
07/01/2018	***-**-2483 - TURNBULL, ACCOUNT #: 00060641032	MFS EMERGING MARKETS EQUITY FUND-A BUY 0 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
07/01/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 00060641033	MFS EMERGING MARKETS EQUITY FUND-A BUY 0 Units @0.0000	0.00	0.11	0.00	0.11	88.0	0.10
07/01/2018	***-**-8440 - PREVOST, PIERRE ACCOUNT #: 00060670698	MFS EMERGING MARKETS EQUITY FUND-A BUY 0 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
07/01/2018	***-**-466I - MCCLUSKY, YVONNE ACCOUNT #: 00060670700	MFS EMERGING MARKETS EQUITY FUND-A BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
06/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MARKETS EQUITY FUND-B BUY 2 Units @30.8400	50.00	2.00	0.00	2.00	88.0	1.76



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
07/01/2018	***-**-111J - NESSIA, JAMES	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
07/01/2018	***-**-094I - CIRILLO, CARL	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: 08190127967	BUY 0 Units @0.0000						
07/01/2018	***-**-889I - FRANZ, JONATHAN	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
07/01/2018	***-**-213I - GRUENEWALD,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	4.63	0.00	4.63	88.0	4.07
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
07/01/2018	***-**-861I - SANGER, LAWRENCE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
07/01/2018	***-**-2483 - TURNBULL,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						
07/01/2018	***-**-7617 - ESCHE, BEVERLY	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 08191154979	BUY 0 Units @0.0000						
07/01/2018	***-**-8440 - PREVOST, PIERRE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
07/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
07/01/2018	***-**-13IN - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	3.67	0.00	3.67	88.0	3.23
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
07/01/2018	***-**-3420 - KOCHEM, DENISE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
07/01/2018	***-**-09IN - BATES, CHRISTINE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	2.47	0.00	2.47	88.0	2.17
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
07/01/2018	***-**-213I - GRUENEWALD,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 08191229521	BUY 0 Units @0.0000						
07/01/2018	***-**-5384 - GURDO, JESSICA	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
06/28/2018	***-**-13IN - RHYMESTINE,	MFS EMERGING MKT DEBT CL B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191178476	BUY 4 Units @14.0400						
07/01/2018	***-**-111J - NESSIA, JAMES	MFS EMERGING MKT DEBT CL B	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/01/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08190129168	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15
07/01/2018	***-**-0767 - DOVI, ACCOUNT #: 08191152598	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
07/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 08191153495	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.22	0.00	0.22	88.0	0.19
07/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 08191161591	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	1.12	0.00	1.12	88.0	0.99
07/01/2018	***-**-3932 - CARSON, DAVID ACCOUNT #: 08191168388	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	1.04	0.00	1.04	88.0	0.92
07/01/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.21	0.00	0.21	88.0	0.18
07/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	2.97	0.00	2.97	88.0	2.61
07/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	2.44	0.00	2.44	88.0	2.15
07/01/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	3.45	0.00	3.45	88.0	3.04
07/01/2018	***-**-3420 - KOCHEM, DENISE ACCOUNT #: 08191179076	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
07/01/2018	***-**-9839 - YADDAW, DAVID ACCOUNT #: 08191183793	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	2.41	0.00	2.41	88.0	2.12
07/01/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 08191184927	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.79	0.00	0.79	88.0	0.70
07/01/2018	***-**-7116 - PREVOST, SANDRA ACCOUNT #: 08191191385	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	1.31	0.00	1.31	88.0	1.15
07/01/2018	***-**-844I - ROSS, VALERIE ACCOUNT #: 08191197798	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	4.58	0.00	4.58	88.0	4.03
07/01/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 08191202574	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
07/01/2018	***-**-80IN - CURRIERE, LAURA ACCOUNT #: 08191216642	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
07/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS EMERGING MKT DEBT CL B	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
07/01/2018	***-**-5384 - GURDO, JESSICA	MFS EMERGING MKT DEBT CL B	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
07/01/2018	***-**-49IN - GUARDI, LINDA	MFS EMERGING MKT DEBT CL B	0.00	2.16	0.00	2.16	88.0	1.90
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
07/01/2018	***-**-213I - GRUENEWALD,	MFS GLOBAL NEW DISCOVERY FUND CL B	0.00	1.63	0.00	1.63	88.0	1.43
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
07/01/2018	***-**-49IN - GUARDI, LINDA	MFS GLOBAL REAL ESTATE FUND CL B	0.00	1.85	0.00	1.85	88.0	1.63
	ACCOUNT #: 05566055029	BUY 0 Units @0.0000						
07/01/2018	***-**-213I - GRUENEWALD,	MFS GLOBAL REAL ESTATE FUND CL B	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
07/01/2018	***-**-26IN - GRANDE, MR	MFS GLOBAL REAL ESTATE FUND CL C	0.00	2.99	0.00	2.99	88.0	2.63
	ACCOUNT #: 08191260232	BUY 0 Units @0.0000						
07/01/2018	***-**-439J - MCCARTHY, JAMES	MFS GLOBAL TOTAL RETURN FUND-A	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: 00060638910	BUY 0 Units @0.0000						
07/01/2018	***-**-439J - MCCARTHY, JAMES	MFS GLOBAL TOTAL RETURN FUND-A	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: 00060638911	BUY 0 Units @0.0000						
07/01/2018	***-**-65CL - GRUENEWALD, K,	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00060639655	BUY 0 Units @0.0000						
07/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: 00060640588	BUY 0 Units @0.0000						
07/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: 00060640589	BUY 0 Units @0.0000						
07/01/2018	***-**-861I - SANGER, LAWRENCE	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: 00060640593	BUY 0 Units @0.0000						
07/01/2018	***-**-0767 - DOVI,	MFS GLOBAL TOTAL RETURN FUND-A	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: 00060640945	BUY 0 Units @0.0000						
07/01/2018	***-**-2483 - TURNBULL,	MFS GLOBAL TOTAL RETURN FUND-A	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: 00060640946	BUY 0 Units @0.0000						
07/01/2018	***-**-7617 - ESCHE, BEVERLY	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: 00060640947	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
07/01/2018	***-**-8440 - PREVOST, PIERRE	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 00060670665	BUY 0 Units @0.0000						
07/01/2018	***-**-237I - MCCLUSKY, MARK	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: 00060670667	BUY 0 Units @0.0000						
07/01/2018	***-**-439I - MCCARTHY, JAMES	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
07/01/2018	***-**-111J - NESSIA, JAMES	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
07/01/2018	***-**-3749 - DEPEYSTER,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
07/01/2018	***-**-2603 - MASTRANGELO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
07/01/2018	***-**-889I - FRANZ, JONATHAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
07/01/2018	***-**-8126 - MCCARTHY, BRIANN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.78	0.00	2.78	88.0	2.45
	ACCOUNT #: 08191126031	BUY 0 Units @0.0000						
07/01/2018	***-**-094I - KATRENA L	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.26	0.00	3.26	88.0	2.87
	ACCOUNT #: 08191140345	BUY 0 Units @0.0000						
07/01/2018	***-**-6538 - BROWN, TYLER	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: 08191150212	BUY 0 Units @0.0000						
07/01/2018	***-**-0767 - DOVI,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
07/01/2018	***-**-861I - SANGER, LAWRENCE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
07/01/2018	***-**-2483 - TURNBULL,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						
07/01/2018	***-**-7617 - ESCHE, BEVERLY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.35	0.00	3.35	88.0	2.95
	ACCOUNT #: 08191154979	BUY 0 Units @0.0000						
07/01/2018	***-**-8440 - PREVOST, PIERRE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
07/01/2018	***-**-237I - MCCLUSKY, MARK	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
07/01/2018	***-**-3932 - CARSON, DAVID	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.30	0.00	2.30	88.0	2.02
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
07/01/2018	***-**-53RI - FALCHI, VALERIE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.08	0.00	3.08	88.0	2.71
	ACCOUNT #: 08191172002	BUY 0 Units @0.0000						
07/01/2018	***-**-06IN - SATTERLY,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						
07/01/2018	***-**-21IR - SATTERLY, ANDREW	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: 08191173305	BUY 0 Units @0.0000						
07/01/2018	***-**-094I - CIRILLO, CARL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	5.52	0.00	5.52	88.0	4.86
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
07/01/2018	***-**-671I - EBERLEY, REID	MFS GLOBAL TOTAL RETURN FUND-B	0.00	4.18	0.00	4.18	88.0	3.68
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
07/01/2018	***-**-9839 - YADDAW, DAVID	MFS GLOBAL TOTAL RETURN FUND-B	0.00	4.58	0.00	4.58	88.0	4.03
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
07/01/2018	***-**-844I - ROSS, VALERIE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
07/01/2018	***-**-524I - SCALISE, JOSEPH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
07/01/2018	***-**-80IN - CURRIERE, LAURA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
07/01/2018	***-**-6988 - TOOKE, LISA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.02	0.00	2.02	88.0	1.78
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
07/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
07/01/2018	***-**-728I - BYWATER, KIM	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
07/01/2018	***-**-49IN - GUARDI, LINDA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.13	0.00	3.13	88.0	2.75
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
07/01/2018	***-**-83UT - FALCHI, ISABELLE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.72	0.00	1.72	88.0	1.51
	ACCOUNT #: 08191247393	BUY 0 Units @0.0000						
07/01/2018	***-**-473I - HUSTON,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: 08191353972	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
07/01/2018	***-**-881I - EBERLEY, SUSAN	MFS GLOBAL TOTAL RETURN FUND-C	0.00	3.75	0.00	3.75	88.0	3.30
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
07/01/2018	***-**-7116 - PREVOST, SANDRA	MFS GOVERNMENT SECS CLASS C	0.00	3.41	0.00	3.41	88.0	3.00
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
07/01/2018	***-**-3749 - DEPEYSTER,	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
07/01/2018	***-**-75IN - MANNING, JEFFREY	MFS GOVERNMENT SECURITIES FUND-B	0.00	4.61	0.00	4.61	88.0	4.06
	ACCOUNT #: 08190129582	BUY 0 Units @0.0000						
07/01/2018	***-**-3749 - DEPEYSTER,	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
07/01/2018	***-**-39IO - GUARNIERO, FBO	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
07/01/2018	***-**-1855 - WILLIAMSON,	MFS HIGH YIELD OPPORTUNITIES FUND-C	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
07/01/2018	***-**-75IN - MANNING, JEFFREY	MFS INFLATION ADJUSTED BOND CL B	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: 08190129582	BUY 0 Units @0.0000						
07/01/2018	***-**-213I - GRUENEWALD,	MFS INFLATION ADJUSTED BOND CL B	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
07/01/2018	***-**-7116 - PREVOST, SANDRA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.96	0.00	0.96	88.0	0.84
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
07/01/2018	***-**-844I - ROSS, VALERIE	MFS INFLATION ADJUSTED BOND CL B	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
07/01/2018	***-**-524I - SCALISE, JOSEPH	MFS INFLATION ADJUSTED BOND CL B	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
07/01/2018	***-**-80IN - CURRIERE, LAURA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
07/01/2018	***-**-6988 - TOOKE, LISA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
07/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS INFLATION ADJUSTED BOND CL B	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
07/01/2018	***-**-728I - BYWATER, KIM	MFS INFLATION ADJUSTED BOND CL B	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						



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DAVID GRIFFITH
2108 Genesee St.
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
07/01/2018	***-**-473I - HUSTON, ACCOUNT #: 08191353972	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
07/01/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: 08190124895	MFS INFLATION ADJUSTED BOND CL C BUY 0 Units @0.0000	0.00	3.05	0.00	3.05	88.0	2.68
07/01/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00060639189	MFS INFLATION ADJUSTED BOND FUND-A BUY 0 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
07/01/2018	***-**-26IN - GRANDE, MR ACCOUNT #: 08191260232	MFS INTERNATIONAL NEW DISCOVERY CL BUY 0 Units @0.0000	0.00	3.50	0.00	3.50	88.0	3.08
07/01/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: 08190126843	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	3.31	0.00	3.31	88.0	2.91
07/01/2018	***-**-0767 - DOVI, ACCOUNT #: 08191152598	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	0.22	0.00	0.22	88.0	0.19
07/01/2018	***-**-2483 - TURNBULL, ACCOUNT #: 08191153585	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
07/01/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16
07/01/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	0.29	0.00	0.29	88.0	0.26
07/01/2018	***-**-21IR - SATTERLY, ANDREW ACCOUNT #: 08191173305	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
07/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	2.48	0.00	2.48	88.0	2.18
07/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	2.13	0.00	2.13	88.0	1.87
07/01/2018	***-**-9839 - YADDAW, DAVID ACCOUNT #: 08191183793	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	2.07	0.00	2.07	88.0	1.82
07/01/2018	***-**-844I - ROSS, VALERIE ACCOUNT #: 08191197798	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	4.93	0.00	4.93	88.0	4.34
07/01/2018	***-**-728I - BYWATER, KIM ACCOUNT #: 08191226548	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	0.32	0.00	0.32	88.0	0.28
07/01/2018	***-**-49IN - GUARDI, LINDA ACCOUNT #: 08191237797	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	3.20	0.00	3.20	88.0	2.82



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/01/2018	***-**-058I - ROBBIANO, SARAH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
07/01/2018	***-**-14IN - LINES, JUDITH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: 08191291668	BUY 0 Units @0.0000						
07/01/2018	***-**-39IO - GUARNIERO, FBO	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
07/01/2018	***-**-0767 - DOVI,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: 00060641009	BUY 0 Units @0.0000						
07/01/2018	***-**-2483 - TURNBULL,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.73	0.00	1.73	88.0	1.52
	ACCOUNT #: 00060641010	BUY 0 Units @0.0000						
07/01/2018	***-**-7617 - ESCHER, BEVERLY	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 00060641013	BUY 0 Units @0.0000						
07/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS INTERNATIONAL VALUE FUND-A	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
07/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS INTERNATIONAL VALUE FUND-A	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: 00060670711	BUY 0 Units @0.0000						
06/28/2018	***-**-13IN - RHYMESTINE,	MFS INTERNATIONAL VALUE FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08191178476	BUY 2 Units @40.4200						
07/01/2018	***-**-439I - MCCARTHY, JAMES	MFS INTERNATIONAL VALUE FUND-B	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
07/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS INTERNATIONAL VALUE FUND-B	0.00	1.16	0.00	1.16	88.0	1.02
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
07/01/2018	***-**-3932 - CARSON, DAVID	MFS INTERNATIONAL VALUE FUND-B	0.00	2.74	0.00	2.74	88.0	2.41
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
07/01/2018	***-**-13IN - RHYMESTINE,	MFS INTERNATIONAL VALUE FUND-B	0.00	8.62	0.00	8.62	88.0	7.59
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
07/01/2018	***-**-3420 - KOCHER, DENISE	MFS INTERNATIONAL VALUE FUND-B	0.00	1.16	0.00	1.16	88.0	1.02
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
07/01/2018	***-**-7116 - PREVOST, SANDRA	MFS INTERNATIONAL VALUE FUND-B	0.00	2.63	0.00	2.63	88.0	2.31
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
07/01/2018	***-**-09IN - BATES, CHRISTINE	MFS INTERNATIONAL VALUE FUND-B	0.00	4.82	0.00	4.82	88.0	4.24
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
07/01/2018	***-**-37IN - PFAFF, JOAN	MFS INTERNATIONAL VALUE FUND-B	0.00	6.99	0.00	6.99	88.0	6.15
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
07/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS LIMITED MATURITY FUND-C	0.00	3.18	0.00	3.18	88.0	2.80
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
07/01/2018	***-**-1855 - WILLIAMSON,	MFS MID CAP VALUE CLASS C	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
07/01/2018	***-**-49IN - GUARDI, LINDA	MFS MID CAP VALUE FUND-B	0.00	3.76	0.00	3.76	88.0	3.31
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
07/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS NEW DISCOVERY FUND-A	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: 00060640713	BUY 0 Units @0.0000						
07/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS NEW DISCOVERY FUND-A	0.00	1.44	0.00	1.44	88.0	1.27
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
07/01/2018	***-**-8440 - PREVOST, PIERRE	MFS NEW DISCOVERY FUND-A	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00060670723	BUY 0 Units @0.0000						
07/01/2018	***-**-237I - MCCLUSKY, MARK	MFS NEW DISCOVERY FUND-A	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 00060670725	BUY 0 Units @0.0000						
07/01/2018	***-**-2603 - MASTRANGELO,	MFS NEW DISCOVERY FUND-B	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
07/01/2018	***-**-889I - FRANZ, JONATHAN	MFS NEW DISCOVERY FUND-B	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
07/01/2018	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
07/01/2018	***-**-8440 - PREVOST, PIERRE	MFS NEW DISCOVERY FUND-B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
07/01/2018	***-**-237I - MCCLUSKY, MARK	MFS NEW DISCOVERY FUND-B	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
07/01/2018	***-**-7116 - PREVOST, SANDRA	MFS NEW DISCOVERY FUND-B	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
07/01/2018	***-**-09IN - BATES, CHRISTINE	MFS NEW DISCOVERY FUND-B	0.00	5.01	0.00	5.01	88.0	4.41
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
07/01/2018	***-**-524I - SCALISE, JOSEPH	MFS NEW DISCOVERY FUND-B	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
07/01/2018	***-**-37IN - PFAFF, JOAN	MFS NEW DISCOVERY FUND-B	0.00	6.86	0.00	6.86	88.0	6.04
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
07/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS NEW DISCOVERY FUND-B	0.00	1.63	0.00	1.63	88.0	1.43
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
07/01/2018	***-**-058I - ROBBIANO, SARAH	MFS NEW DISCOVERY FUND-B	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
07/01/2018	***-**-84IN - WARMUTH, ERIC	MFS NEW YORK MUNICIPAL BOND FUND CL	0.00	2.07	0.00	2.07	88.0	1.82
	ACCOUNT #: 00060639106	BUY 0 Units @0.0000						
07/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS RESEARCH BOND FUND CLASS A	0.00	0.40	0.00	0.40	88.0	0.35
	ACCOUNT #: 00060640647	BUY 0 Units @0.0000						
07/01/2018	***-**-0767 - DOVI,	MFS RESEARCH BOND FUND CLASS A	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: 00060641022	BUY 0 Units @0.0000						
07/01/2018	***-**-237I - MCCLUSKY, MARK	MFS RESEARCH BOND FUND CLASS A	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 00060670695	BUY 0 Units @0.0000						
07/01/2018	***-**-111J - NESSIA, JAMES	MFS RESEARCH BOND FUND-B	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
07/01/2018	***-**-0767 - DOVI,	MFS RESEARCH BOND FUND-B	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
07/01/2018	***-**-237I - MCCLUSKY, MARK	MFS RESEARCH BOND FUND-B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
07/01/2018	***-**-3932 - CARSON, DAVID	MFS RESEARCH BOND FUND-B	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
07/01/2018	***-**-094I - CIRILLO, CARL	MFS RESEARCH BOND FUND-B	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
07/01/2018	***-**-671I - EBERLEY, REID	MFS RESEARCH BOND FUND-B	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
07/01/2018	***-**-13IN - RHYMESTINE,	MFS RESEARCH BOND FUND-B	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
07/01/2018	***-**-3420 - KOCHER, DENISE	MFS RESEARCH BOND FUND-B	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
07/01/2018	***-**-9839 - YADDAW, DAVID	MFS RESEARCH BOND FUND-B	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/01/2018	***-**-844I - ROSS, VALERIE	MFS RESEARCH BOND FUND-B	0.00	1.91	0.00	1.91	88.0	1.68
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
07/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS RESEARCH FUND-A	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: 00060670643	BUY 0 Units @0.0000						
07/01/2018	***-**-094I - CIRILLO, CARL	MFS RESEARCH FUND-B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: 08190127967	BUY 0 Units @0.0000						
07/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS RESEARCH FUND-B	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
07/01/2018	***-**-3932 - CARSON, DAVID	MFS RESEARCH FUND-B	0.00	1.48	0.00	1.48	88.0	1.30
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
07/01/2018	***-**-13IN - RHYMESTINE,	MFS RESEARCH FUND-B	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
07/01/2018	***-**-3420 - KOCHEM, DENISE	MFS RESEARCH FUND-B	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
07/01/2018	***-**-7116 - PREVOST, SANDRA	MFS RESEARCH FUND-B	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
07/01/2018	***-**-26IN - GRANDE, MR	MFS STRATEGIC INCOME FUND-B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: 08191260232	BUY 0 Units @0.0000						
07/01/2018	***-**-26IN - GRANDE, MR	MFS TECHNOLOGY CLASS C	0.00	4.57	0.00	4.57	88.0	4.02
	ACCOUNT #: 08191260232	BUY 0 Units @0.0000						
07/12/2018	***-**-287J - HINCKLEY,	MFS TECHNOLOGY CLASS C	5,000.01	50.00	0.00	50.00	88.0	44.00
	ACCOUNT #: LSR010841	BUY 129 Units @38.8900						
07/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS TECHNOLOGY FUND CLASS A	0.00	2.06	0.00	2.06	88.0	1.81
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
07/01/2018	***-**-49IN - GUARDI, LINDA	MFS TECHNOLOGY FUND-B	0.00	2.90	0.00	2.90	88.0	2.55
	ACCOUNT #: 05566055028	BUY 0 Units @0.0000						
07/01/2018	***-**-439I - MCCARTHY, JAMES	MFS TECHNOLOGY FUND-B	0.00	1.53	0.00	1.53	88.0	1.35
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
07/01/2018	***-**-111J - NESSIA, JAMES	MFS TECHNOLOGY FUND-B	0.00	2.34	0.00	2.34	88.0	2.06
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
07/01/2018	***-**-2603 - MASTRANGELO,	MFS TECHNOLOGY FUND-B	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
07/01/2018	***-**-889I - FRANZ, JONATHAN	MFS TECHNOLOGY FUND-B	0.00	1.64	0.00	1.64	88.0	1.44
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
07/01/2018	***-**-213I - GRUENEWALD,	MFS TECHNOLOGY FUND-B	0.00	2.96	0.00	2.96	88.0	2.60
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
07/01/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						
07/01/2018	***-**-094I - CIRILLO, CARL	MFS TECHNOLOGY FUND-B	0.00	3.42	0.00	3.42	88.0	3.01
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
07/01/2018	***-**-80IN - CURRIERE, LAURA	MFS TECHNOLOGY FUND-B	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
07/01/2018	***-**-6988 - TOOKE, LISA	MFS TECHNOLOGY FUND-B	0.00	2.67	0.00	2.67	88.0	2.35
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
07/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS TECHNOLOGY FUND-B	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
07/01/2018	***-**-5384 - GURDO, JESSICA	MFS TECHNOLOGY FUND-B	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
07/01/2018	***-**-058I - ROBBIANO, SARAH	MFS TECHNOLOGY FUND-B	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
07/01/2018	***-**-14IN - LINES, JUDITH	MFS TECHNOLOGY FUND-B	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: 08191291668	BUY 0 Units @0.0000						
07/01/2018	***-**-39IO - GUARNIERO, FBO	MFS TECHNOLOGY FUND-B	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
07/01/2018	***-**-724I - BLISS, RYAN	MFS TECHNOLOGY FUND-B	0.00	5.00	0.00	5.00	88.0	4.40
	ACCOUNT #: 08191352733	BUY 0 Units @0.0000						
07/01/2018	***-**-606I - LEWIS, TAMARA	MFS TECHNOLOGY FUND-B	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 08191352846	BUY 0 Units @0.0000						
07/01/2018	***-**-439J - MCCARTHY, JAMES	MFS TOTAL RETURN FUND-A	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00060638905	BUY 0 Units @0.0000						
07/01/2018	***-**-861I - SANGER, LAWRENCE	MFS TOTAL RETURN FUND-A	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 00060640581	BUY 0 Units @0.0000						
07/01/2018	***-**-0767 - DOVI,	MFS TOTAL RETURN FUND-A	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: 00060640926	BUY 0 Units @0.0000						



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DAVID GRIFFITH
2108 Genesee St.
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/01/2018	***-**-2483 - TURNBULL, ACCOUNT #: 00060640928	MFS TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	0.76	0.00	0.76	88.0	0.67
07/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 00060670657	MFS TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
06/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 3 Units @18.5700	50.00	2.00	0.00	2.00	88.0	1.76
07/01/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: 08190124895	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.54	0.00	1.54	88.0	1.36
07/01/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: 08190126843	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.62	0.00	3.62	88.0	3.19
07/01/2018	***-**-0767 - DOVI, ACCOUNT #: 08191152598	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.39	0.00	0.39	88.0	0.34
07/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 08191153495	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.29	0.00	0.29	88.0	0.26
07/01/2018	***-**-2483 - TURNBULL, ACCOUNT #: 08191153585	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
07/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 08191161591	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.73	0.00	1.73	88.0	1.52
07/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	4.73	0.00	4.73	88.0	4.16
07/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.43	0.00	3.43	88.0	3.02
07/01/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	4.41	0.00	4.41	88.0	3.88
07/01/2018	***-**-3420 - KOCHER, DENISE ACCOUNT #: 08191179076	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.95	0.00	0.95	88.0	0.84
07/01/2018	***-**-9839 - YADDAW, DAVID ACCOUNT #: 08191183793	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.88	0.00	3.88	88.0	3.41
07/01/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 08191184927	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.94	0.00	0.94	88.0	0.83
07/01/2018	***-**-7116 - PREVOST, SANDRA ACCOUNT #: 08191191385	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.62	0.00	1.62	88.0	1.43



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/01/2018	***-**-09IN - BATES, CHRISTINE	MFS TOTAL RETURN FUND-B	0.00	4.36	0.00	4.36	88.0	3.84
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
07/01/2018	***-**-844I - ROSS, VALERIE	MFS TOTAL RETURN FUND-B	0.00	6.05	0.00	6.05	88.0	5.32
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
07/01/2018	***-**-37IN - PFAFF, JOAN	MFS TOTAL RETURN FUND-B	0.00	6.07	0.00	6.07	88.0	5.34
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
07/01/2018	***-**-5384 - GURDO, JESSICA	MFS TOTAL RETURN FUND-B	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
07/01/2018	***-**-14IN - LINES, JUDITH	MFS TOTAL RETURN FUND-B	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: 08191291668	BUY 0 Units @0.0000						
07/01/2018	***-**-1855 - WILLIAMSON,	MFS TRAILS 55273G710	0.00	4.77	0.00	4.77	88.0	4.20
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
07/01/2018	***-**-881I - EBERLEY, SUSAN	MFS TRAILS 552988610	0.00	2.73	0.00	2.73	88.0	2.40
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
07/01/2018	***-**-881I - EBERLEY, SUSAN	MFS TRAILS 552989600	0.00	2.28	0.00	2.28	88.0	2.01
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
07/01/2018	***-**-439J - MCCARTHY, JAMES	MFS UTILITIES FUND-A	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: 00060638930	BUY 0 Units @0.0000						
07/01/2018	***-**-84IN - WARMUTH, ERIC	MFS UTILITIES FUND-A	0.00	3.04	0.00	3.04	88.0	2.68
	ACCOUNT #: 00060639103	BUY 0 Units @0.0000						
07/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS UTILITIES FUND-A	0.00	1.02	0.00	1.02	88.0	0.90
	ACCOUNT #: 00060640627	BUY 0 Units @0.0000						
07/01/2018	***-**-861I - SANGER, LAWRENCE	MFS UTILITIES FUND-A	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: 00060640636	BUY 0 Units @0.0000						
07/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS UTILITIES FUND-A	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
07/01/2018	***-**-0767 - DOVI,	MFS UTILITIES FUND-A	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: 00060640984	BUY 0 Units @0.0000						
07/01/2018	***-**-2483 - TURNBULL,	MFS UTILITIES FUND-A	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: 00060640985	BUY 0 Units @0.0000						
07/01/2018	***-**-7617 - ESCHE, BEVERLY	MFS UTILITIES FUND-A	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 00060640993	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/01/2018	***-**-8440 - PREVOST, PIERRE	MFS UTILITIES FUND-A	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: 00060670685	BUY 0 Units @0.0000						
07/01/2018	***-**-237I - MCCLUSKY, MARK	MFS UTILITIES FUND-A	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: 00060670687	BUY 0 Units @0.0000						
07/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS UTILITIES FUND-A	0.00	0.09	0.00	0.09	88.0	0.08
	ACCOUNT #: 00060670688	BUY 0 Units @0.0000						
07/01/2018	***-**-439I - MCCARTHY, JAMES	MFS UTILITIES FUND-B	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
07/01/2018	***-**-111J - NESSIA, JAMES	MFS UTILITIES FUND-B	0.00	1.86	0.00	1.86	88.0	1.64
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
07/01/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	0.00	2.57	0.00	2.57	88.0	2.26
	ACCOUNT #: 08190127967	BUY 0 Units @0.0000						
07/01/2018	***-**-2603 - MASTRANGELO,	MFS UTILITIES FUND-B	0.00	0.40	0.00	0.40	88.0	0.35
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
07/01/2018	***-**-889I - FRANZ, JONATHAN	MFS UTILITIES FUND-B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
07/01/2018	***-**-31IN - WARMUTH,	MFS UTILITIES FUND-B	0.00	1.86	0.00	1.86	88.0	1.64
	ACCOUNT #: 08191131006	BUY 0 Units @0.0000						
07/01/2018	***-**-0767 - DOVI,	MFS UTILITIES FUND-B	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
07/01/2018	***-**-861I - SANGER, LAWRENCE	MFS UTILITIES FUND-B	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
07/01/2018	***-**-2483 - TURNBULL,	MFS UTILITIES FUND-B	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						
07/01/2018	***-**-7617 - ESCHE, BEVERLY	MFS UTILITIES FUND-B	0.00	3.49	0.00	3.49	88.0	3.07
	ACCOUNT #: 08191154979	BUY 0 Units @0.0000						
07/01/2018	***-**-8440 - PREVOST, PIERRE	MFS UTILITIES FUND-B	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
07/01/2018	***-**-237I - MCCLUSKY, MARK	MFS UTILITIES FUND-B	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
07/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS UTILITIES FUND-B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/01/2018	***-**-3932 - CARSON, DAVID	MFS UTILITIES FUND-B	0.00	3.21	0.00	3.21	88.0	2.82
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
07/01/2018	***-**-06IN - SATTERLY,	MFS UTILITIES FUND-B	0.00	0.29	0.00	0.29	88.0	0.26
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						
07/01/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
07/01/2018	***-**-671I - EBERLEY, REID	MFS UTILITIES FUND-B	0.00	3.26	0.00	3.26	88.0	2.87
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
07/01/2018	***-**-9839 - YADDAW, DAVID	MFS UTILITIES FUND-B	0.00	1.97	0.00	1.97	88.0	1.73
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
07/01/2018	***-**-7116 - PREVOST, SANDRA	MFS UTILITIES FUND-B	0.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
07/01/2018	***-**-09IN - BATES, CHRISTINE	MFS UTILITIES FUND-B	0.00	4.23	0.00	4.23	88.0	3.72
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
07/01/2018	***-**-844I - ROSS, VALERIE	MFS UTILITIES FUND-B	0.00	7.59	0.00	7.59	88.0	6.68
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
07/01/2018	***-**-524I - SCALISE, JOSEPH	MFS UTILITIES FUND-B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
07/01/2018	***-**-80IN - CURRIERE, LAURA	MFS UTILITIES FUND-B	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
07/01/2018	***-**-37IN - PFAFF, JOAN	MFS UTILITIES FUND-B	0.00	6.26	0.00	6.26	88.0	5.51
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
07/01/2018	***-**-6988 - TOOKE, LISA	MFS UTILITIES FUND-B	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
07/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS UTILITIES FUND-B	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
07/01/2018	***-**-728I - BYWATER, KIM	MFS UTILITIES FUND-B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
07/01/2018	***-**-213I - GRUENEWALD,	MFS UTILITIES FUND-B	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: 08191229521	BUY 0 Units @0.0000						
07/01/2018	***-**-5384 - GURDO, JESSICA	MFS UTILITIES FUND-B	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/01/2018	***-**-49IN - GUARDI, LINDA	MFS UTILITIES FUND-B	0.00	3.14	0.00	3.14	88.0	2.76
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
07/01/2018	***-**-058I - ROBBIANO, SARAH	MFS UTILITIES FUND-B	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
07/01/2018	***-**-39IO - GUARNIERO, FBO	MFS UTILITIES FUND-B	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
07/01/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 08191352846	BUY 0 Units @0.0000						
07/01/2018	***-**-473I - HUSTON,	MFS UTILITIES FUND-B	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: 08191353972	BUY 0 Units @0.0000						
07/01/2018	***-**-26IN - GRANDE, MR	MFS UTILITIES FUND-C	0.00	3.86	0.00	3.86	88.0	3.40
	ACCOUNT #: 08191260232	BUY 0 Units @0.0000						
07/01/2018	***-**-881I - EBERLEY, SUSAN	MFS UTILITIES FUND-C	0.00	3.38	0.00	3.38	88.0	2.97
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
07/16/2018	***-**-944O - MAYO, DEBORAH	NEW YORK 529 TRAILS	0.00	7.32	0.00	7.32	88.0	6.44
	ACCOUNT #: 77002217601	BUY 0 Units @0.0000						
07/16/2018	***-**-80IN - COBB, JAMES	NEW YORK 529 TRAILS	0.00	29.40	0.00	29.40	88.0	25.87
	ACCOUNT #: 77169961901	BUY 0 Units @0.0000						
07/16/2018	***-**-665P - MCCLUSKY, YVONNE	NEW YORK 529 TRAILS	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 77237884701	BUY 0 Units @0.0000						
07/16/2018	***-**-0069 - KRECIDLO,	NEW YORK 529 TRAILS	0.00	1.98	0.00	1.98	88.0	1.74
	ACCOUNT #: 77308070501	BUY 0 Units @0.0000						
07/16/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS	0.00	0.48	0.00	0.48	88.0	0.42
		BUY 0 Units @0.0000						
07/16/2018	***-**-0767 - DOVI,	NEW YORK 529 TRAILS	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: 77579193101	BUY 0 Units @0.0000						
07/16/2018	***-**-251I - SCALISE, MARY	NEW YORK 529 TRAILS	0.00	34.44	0.00	34.44	88.0	30.31
	ACCOUNT #: 77691153101	BUY 0 Units @0.0000						
07/16/2018	***-**-635P - LASCALA, DEBORAH	NEW YORK 529 TRAILS	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: 77699193301	BUY 0 Units @0.0000						
07/16/2018	***-**-065P - CAMPBELL, PAMELA	NEW YORK 529 TRAILS	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: 77830931201	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/16/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	14.53	0.00	14.53	88.0	12.79
07/16/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 77854436501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.97	0.00	0.97	88.0	0.85
07/16/2018	***-**-205P - RHYMESTINE, ERIC ACCOUNT #: 77885699801	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.49	0.00	0.49	88.0	0.43
07/16/2018	***-**-614J - BUSHEY, MATTHEW	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.08	0.00	3.08	88.0	2.71
06/30/2018	***-**-633J - ACCOUNT #: 05502871176	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	0.00	2.97	0.00	2.97	88.0	2.61
06/30/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 00100019119	OPP STEELPATH MLP ALPHA+ FND C BUY 0 Units @0.0000	0.00	0.03	0.00	0.03	88.0	0.03
06/30/2018	***-**-13IN - BLISS, PATRICK ACCOUNT #: 05521022681	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	0.00	10.89	0.00	10.89	88.0	9.58
06/30/2018	***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	0.00	13.13	0.00	13.13	88.0	11.55
06/30/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 05521043603	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	0.00	5.26	0.00	5.26	88.0	4.63
06/30/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 07871306525	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	0.00	5.56	0.00	5.56	88.0	4.89
06/30/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 07872061521	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	0.00	5.46	0.00	5.46	88.0	4.80
06/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 07872093014	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	0.00	3.03	0.00	3.03	88.0	2.67
06/30/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 07862860001	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	0.79	0.00	0.79	88.0	0.70
06/30/2018	***-**-0767 - DOVI, ACCOUNT #: 07862886753	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	2.85	0.00	2.85	88.0	2.51
06/30/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 07862938926	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	2.69	0.00	2.69	88.0	2.37
06/30/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 07862942457	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	11.31	0.00	11.31	88.0	9.95



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DAVID GRIFFITH
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BROKER #: A76
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
06/30/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 07862947055	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	0.89	0.00	0.89	88.0	0.78
06/30/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 07862950586	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
06/30/2018	***-**-69IN - EVANS, PAUL ACCOUNT #: 07862954403	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
06/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 07862957439	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	1.84	0.00	1.84	88.0	1.62
06/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 07862962213	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
06/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 05005738601	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	1.89	0.00	1.89	88.0	1.66
06/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 05005977620	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	7.63	0.00	7.63	88.0	6.71
06/30/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 05005989148	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	2.93	0.00	2.93	88.0	2.58
06/30/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	4.53	0.00	4.53	88.0	3.99
06/30/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 06870116919	OPPENHEIMER GLOBAL VALUE FUND CL A BUY 0 Units @0.0000	0.00	1.75	0.00	1.75	88.0	1.54
06/30/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 04120615032	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	1.55	0.00	1.55	88.0	1.36
06/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 04120821381	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
06/30/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08822034824	OPPENHEIMER INT'L BOND CLASS C BUY 0 Units @0.0000	0.00	5.16	0.00	5.16	88.0	4.54
06/30/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 01952877039	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	2.20	0.00	2.20	88.0	1.94
06/30/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	3.06	0.00	3.06	88.0	2.69
06/30/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	5.69	0.00	5.69	88.0	5.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
06/30/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08170371459	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	19.63	0.00	19.63	88.0	17.27
06/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08170372680	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	11.50	0.00	11.50	88.0	10.12
06/30/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 08170406615	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	3.79	0.00	3.79	88.0	3.34
06/30/2018	***-**-0767 - DOVI, ACCOUNT #: 08477584335	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61
06/30/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 08477272342	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	1.42	0.00	1.42	88.0	1.25
06/30/2018	***-**-0767 - DOVI, ACCOUNT #: 08477584467	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	3.80	0.00	3.80	88.0	3.34
06/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 08477604212	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	11.51	0.00	11.51	88.0	10.13
06/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08477648025	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	2.54	0.00	2.54	88.0	2.24
06/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 08477656715	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	2.31	0.00	2.31	88.0	2.03
06/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08491519782	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	9.28	0.00	9.28	88.0	8.17
06/30/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 02270678062	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	16.29	0.00	16.29	88.0	14.34
06/30/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 02270934868	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	2.43	0.00	2.43	88.0	2.14
06/30/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02270938278	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	7.24	0.00	7.24	88.0	6.37
06/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 02270952072	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	12.59	0.00	12.59	88.0	11.08
06/30/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 02271140183	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	2.74	0.00	2.74	88.0	2.41
06/30/2018	***-**-69IN - EVANS, PAUL ACCOUNT #: 02913850561	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
06/30/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 02510094556	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	10.68	0.00	10.68	88.0	9.40
06/30/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 02514976004	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	2.80	0.00	2.80	88.0	2.46
06/30/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 02514983539	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.18	0.00	1.18	88.0	1.04
06/30/2018	***-**-633J - ACCOUNT #: 02514987422	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	2.91	0.00	2.91	88.0	2.56
06/30/2018	***-**-0767 - DOVI, ACCOUNT #: 02515003240	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.15	0.00	1.15	88.0	1.01
06/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 02515019080	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	3.51	0.00	3.51	88.0	3.09
06/30/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 02515019168	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	0.97	0.00	0.97	88.0	0.85
06/30/2018	***-**-149I - GUNN, EDWARD ACCOUNT #: 02515033226	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	3.70	0.00	3.70	88.0	3.26
06/30/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 02515036889	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	8.21	0.00	8.21	88.0	7.22
06/30/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 02515041168	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.25	0.00	1.25	88.0	1.10
06/30/2018	***-**-69IN - EVANS, PAUL ACCOUNT #: 02515049715	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.26	0.00	1.26	88.0	1.11
06/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 02515060110	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.71	0.00	1.71	88.0	1.50
06/30/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 00100661541	OPPENHEIMER STEELPATH MLP INC.FND C BUY 0 Units @0.0000	0.00	0.85	0.00	0.85	88.0	0.75
06/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 02307298712	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	6.00	0.00	6.00	88.0	5.28
06/30/2018	***-**-0767 - DOVI, ACCOUNT #: 02203626810	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	1.09	0.00	1.09	88.0	0.96
06/30/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02203662824	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
06/30/2018	***-**-5375 - CARTER, LISA	OPPENHEIMER U.S. GOVT TR CLASS A	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: 02203678653	BUY 0 Units @0.0000						
06/30/2018	***-**-31IO - WILLIAMSON, FBO	OPPENHEIMERSTEELPATH MLP INCOME CL	0.00	2.79	0.00	2.79	88.0	2.46
	ACCOUNT #: 00100355609	BUY 0 Units @0.0000						
07/09/2018	***-**-889I - FRANZ, JONATHAN	PACIFIC LIFE SE5-NYB DTCC	300.00	9.00	0.00	9.00	88.0	7.92
	ACCOUNT #: VP71081770	BUY 0 Units @0.0000						
06/30/2018	***-**-31IO - WILLIAMSON, FBO	PORT SERIES: CONS INV C	0.00	4.18	0.00	4.18	88.0	3.68
	ACCOUNT #: 05420233365	BUY 0 Units @0.0000						
07/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM 1	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
07/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
07/06/2018	***-**-376I - BERBEN, GAIL	PUTNAM ABSOLUTE RETURN 700 CL C	8,500.00	85.00	0.00	85.00	88.0	74.80
	ACCOUNT #: LSR011380	BUY 744 Units @11.4200						
07/12/2018	***-**-188I - BRADLEY, WAYNE	PUTNAM ABSOLUTE RETURN 700 CL C	8,500.00	85.00	0.00	85.00	88.0	74.80
	ACCOUNT #: LSR012484	BUY 743 Units @11.4400						
07/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
07/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
07/02/2018	***-**-756I - HUSTON, JOUANA	PUTNAM ASSET ALLOC GROWTH-A	0.00	11.17	0.00	11.17	88.0	9.83
	ACCOUNT #: 00550220530	BUY 0 Units @0.0000						
07/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
07/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
07/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
07/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM DIVERSIFIED INCOME FUND CLAS	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
07/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM EQUITY INCOME FUND-A	0.00	2.51	0.00	2.51	88.0	2.21
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/06/2018	***-**-376I - BERBEN, GAIL	PUTNAM EQUITY INCOME FUND-C	7,499.99	75.00	0.00	75.00	88.0	66.00
	ACCOUNT #: LSR011380	BUY 307 Units @24.4500						
07/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
07/06/2018	***-**-376I - BERBEN, GAIL	PUTNAM GLOBAL CONSUMER FUND CL C	7,500.00	75.00	0.00	75.00	88.0	66.00
	ACCOUNT #: LSR011380	BUY 348 Units @21.5300						
07/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM GLOBAL EQUITY FUND CLASS A	0.00	2.33	0.00	2.33	88.0	2.05
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
07/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
07/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
07/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM GLOBAL TECHNOLOGY FUND CL A	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
07/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM GLOBAL UTILITIES CL C	0.00	8.63	0.00	8.63	88.0	7.59
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
07/02/2018	***-**-28IN - BYWATER, KIM	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	6.53	0.00	6.53	88.0	5.75
	ACCOUNT #: 00392501050	BUY 0 Units @0.0000						
07/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM HEALTH SCIENCES TR-B	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
07/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM HEALTH SCIENCES TR-B	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
07/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM INTL GROWTH & INC-A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
07/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM INTL GROWTH & INC-B	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
07/02/2018	***-**-91UT - BYWATER, CAROLYN	PUTNAM INVESTORS FUND-A	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: 00234174436	BUY 0 Units @0.0000						
07/02/2018	***-**-79UT - BYWATER,	PUTNAM INVESTORS FUND-A	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: 00234227769	BUY 0 Units @0.0000						
07/02/2018	***-**-28IN - BYWATER, KIM	PUTNAM INVESTORS FUND-A	0.00	5.60	0.00	5.60	88.0	4.93
	ACCOUNT #: 00392501050	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM MID-CAP VALUE FUND-A	0.00	2.58	0.00	2.58	88.0	2.27
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
07/02/2018	***-**-91UT - BYWATER, CAROLYN	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 00234174436	BUY 0 Units @0.0000						
07/02/2018	***-**-79UT - BYWATER,	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 00234227769	BUY 0 Units @0.0000						
07/02/2018	***-**-28IN - BYWATER, KIM	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: 00392501050	BUY 0 Units @0.0000						
07/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM SMALL CAP VALUE FUND-A	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
07/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM SMALL CAP VALUE FUND-B	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
07/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM U.S. GOVT INCOME TR-A	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
07/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM U.S. GOVT INCOME TR-B	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
06/30/2018	***-**-0069 - KRECIDLO,	QUEST BALANCED A	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: 02577505531	BUY 0 Units @0.0000						
06/30/2018	***-**-69IN - EVANS, PAUL	QUEST BALANCED A	0.00	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: 02577810451	BUY 0 Units @0.0000						
06/30/2018	***-**-78IN - FALES, JOAN	QUEST BALANCED FUND C	0.00	2.06	0.00	2.06	88.0	1.81
	ACCOUNT #: 02592293104	BUY 0 Units @0.0000						
06/30/2018	***-**-84IN - WARMUTH, ERIC	QUEST INTERNATIONAL VALUE FUND, INC	0.00	6.40	0.00	6.40	88.0	5.63
	ACCOUNT #: 02540085811	BUY 0 Units @0.0000						
06/30/2018	***-**-84IN - WARMUTH, ERIC	QUEST OPPORTUNITY VALUE A	0.00	8.19	0.00	8.19	88.0	7.21
	ACCOUNT #: 02361010152	BUY 0 Units @0.0000						
06/30/2018	***-**-973I - LABAYEWSKI,	REAL ESTATE FUND A	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: 05901046408	BUY 0 Units @0.0000						
06/30/2018	***-**-237I - MCCLUSKY, MARK	REAL ESTATE FUND A	0.00	2.57	0.00	2.57	88.0	2.26
	ACCOUNT #: 05901256948	BUY 0 Units @0.0000						
06/30/2018	***-**-3749 - DEPEYSTER,	REAL ESTATE FUND A	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: 05901261997	BUY 0 Units @0.0000						



COMMISSION STATEMENT

July 16, 2018

DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
06/30/2018	***-**-0767 - DOVI, ACCOUNT #: 05901273712	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	1.00	0.00	1.00	88.0	0.88
06/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 05901284228	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	1.25	0.00	1.25	88.0	1.10
06/30/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 05901284382	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
06/30/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 05901293732	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
06/30/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 05901296141	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	4.79	0.00	4.79	88.0	4.22
06/30/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 05901298583	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	1.06	0.00	1.06	88.0	0.93
06/30/2018	***-**-69IN - EVANS, PAUL ACCOUNT #: 05901303665	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	1.06	0.00	1.06	88.0	0.93
06/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 05901309693	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	0.94	0.00	0.94	88.0	0.83
06/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 05901309748	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	3.98	0.00	3.98	88.0	3.50
06/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 05910195855	REAL ESTATE FUND B BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
06/30/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 05920222255	REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	5.21	0.00	5.21	88.0	4.58
06/30/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 05920299178	REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
06/30/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 02252765829	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	3.52	0.00	3.52	88.0	3.10
06/30/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 02254172036	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
06/30/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 02254670435	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	3.39	0.00	3.39	88.0	2.98
06/30/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 02254680236	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
06/30/2018	***-**-0767 - DOVI, ACCOUNT #: 02254705239	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.54	0.00	1.54	88.0	1.36
06/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 02254728647	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.40	0.00	1.40	88.0	1.23
06/30/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 02254729032	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19
06/30/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 02254763429	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	11.91	0.00	11.91	88.0	10.48
06/30/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 02254772636	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.21	0.00	1.21	88.0	1.06
06/30/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02254781183	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	2.65	0.00	2.65	88.0	2.33
06/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 02254799399	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	12.76	0.00	12.76	88.0	11.23
06/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 02254799421	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	4.03	0.00	4.03	88.0	3.55
06/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 02254813776	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	2.65	0.00	2.65	88.0	2.33
06/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 02261702844	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
06/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 02261749935	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	88.0	0.02
06/30/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02261752014	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	88.0	0.02
06/30/2018	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 03551357917	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62
06/30/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 03551386715	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
06/30/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 03570632181	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	1.49	0.00	1.49	88.0	1.31
06/30/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 02931809830	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	1.31	0.00	1.31	88.0	1.15



COMMISSION STATEMENT

July 16, 2018

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BROKER #: A76
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: KURT GRUENEWALD (continued) 								
06/30/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 02931827254	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	6.55	0.00	6.55	88.0	5.76
06/30/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 07230230516	SMALL & MID-CAP GRWTH FND C BUY 0 Units @0.0000	0.00	3.76	0.00	3.76	88.0	3.31
06/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 02521484681	SMALL- & MID- CAP VALUE B BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	88.0	0.02
06/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 02521508133	SMALL- & MID- CAP VALUE B BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
06/30/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 02531057771	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	0.00	14.67	0.00	14.67	88.0	12.91
07/10/2018	***-**-930J - SANGER, KEVIN ACCOUNT #: LSR010940	STEIN MART INC COM BUY 1500 Units @2.1780	3,267.00	39.49	0.00	39.49	88.0	34.75
07/10/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	STEIN MART INC COM BUY 1500 Units @2.1900	3,285.00	39.49	0.00	39.49	88.0	34.75
07/11/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	STEIN MART INC COM BUY 2000 Units @2.1200	4,240.00	49.49	0.00	49.49	88.0	43.55
06/30/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 02322752145	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	1.60	0.00	1.60	88.0	1.41
06/30/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02220585310	U.S. GOVERNMENT TRUST C BUY 0 Units @0.0000	0.00	4.24	0.00	4.24	88.0	3.73
07/10/2018	***-**-851I - BLAKE, JAMES ACCOUNT #: LSR012390	VANGUARD TARGET RETIREMENT 2050 INV SELL 175 Units @37.1100	6,500.00	1.99	0.00	1.99	88.0	1.75
07/11/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	VERIZON COMMUNICATIONS UNSOLICITED SELL 50 Units @51.4200	2,571.00	33.99	0.00	33.99	88.0	29.91
* KURT GRUENEWALD SUBTOTAL *			\$161,612.19	\$2,416.81	\$0.00	\$2,416.81		\$2,126.77
*** OVERRIDE TRANSACTIONS TOTAL ***			\$161,612.19	\$2,416.81	\$0.00	\$2,416.81		\$2,126.77



BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

			INVESTMENT	GROSS	CLEARING	NET	BROKER
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE COMMISSION
						<u>BROKER COMMISSION TOTALS</u>	
Broker Transactions						\$2,282.47	
Split Transactions						\$0.00	
Override Transactions						\$2,126.77	
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						\$4,409.24	
Year-to-date Earnings						\$146,718.23	