



COMMISSION STATEMENT

February 19, 2018

HOME OFFICE PASCALE

, NY

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JOHN AMBRUSCO</u>								
02/19/2018	***-**-56IN - GUERRERA-SAPONE,	DREYFUS MF TRAILS	0.00	17.05	0.00	17.05	0.5	0.09
	ACCOUNT #: 0013963731	BUY 0 Units @0.0000						
		* JOHN AMBRUSCO SUBTOTAL *	\$0.00	\$17.05	\$0.00	\$17.05		\$0.09
<u>BROKER: EDWARD FATLA</u>								
02/09/2018	***-**-8658 - WADE, CHAD	AMERICAN FUNDS 2035 TARGET DATE-A	60.85	1.22	0.00	1.22	0.5	0.01
	ACCOUNT #: 00089799621	BUY 4 Units @15.0400						
02/09/2018	***-**-8658 - WADE, CHAD	AMERICAN FUNDS 2035 TARGET DATE-A	60.85	1.22	0.00	1.22	0.5	0.01
	ACCOUNT #: 00089799621	BUY 4 Units @15.0400						
02/13/2018	***-**-34IO - YGLESIAS, FBO MR	AT&T INC COM	3,632.00	37.00	0.00	37.00	0.5	0.19
	ACCOUNT #: LSR003360	SELL 100 Units @36.3200						
02/19/2018	***-**-7353 - PASSERO, MICHAEL	BRIGHT DIRECTIONS FEE STRUCTURE A	0.00	6.00	0.00	6.00	0.5	0.03
		BUY 0 Units @0.0000						
02/13/2018	***-**-34IO - YGLESIAS, FBO MR	PFIZER INC UNSOLICITED ORDER	3,460.00	37.00	0.00	37.00	0.5	0.19
	ACCOUNT #: LSR003360	SELL 100 Units @34.6000						
02/13/2018	***-**-34IO - YGLESIAS, FBO MR	PG & E CORP	3,922.00	37.00	0.00	37.00	0.5	0.19
	ACCOUNT #: LSR003360	SELL 100 Units @39.2200						
		* EDWARD FATLA SUBTOTAL *	\$11,135.70	\$119.44	\$0.00	\$119.44		\$0.62
<u>BROKER: ANNE PLATSKY</u>								
02/09/2018	***-**-537I - HORN, ELIZABETH	CALVERT BALANCED PORTFOLIO - A	0.00	4.26	0.00	4.26	0.5	0.02
	ACCOUNT #: 00003593290	BUY 0 Units @0.0000						
02/09/2018	***-**-546I - ZUKOR, RONALD	CALVERT BALANCED PORTFOLIO - A	0.00	6.03	0.00	6.03	0.5	0.03
	ACCOUNT #: 00003593332	BUY 0 Units @0.0000						
02/09/2018	***-**-537I - HORN, ELIZABETH	CALVERT SOCIAL INVESTMENT FD EQUITY	0.00	8.35	0.00	8.35	0.5	0.04
	ACCOUNT #: 00003593290	BUY 0 Units @0.0000						
02/09/2018	***-**-546I - ZUKOR, RONALD	CALVERT SOCIAL INVESTMENT FD EQUITY	0.00	11.79	0.00	11.79	0.5	0.06
	ACCOUNT #: 00003593332	BUY 0 Units @0.0000						
		* ANNE PLATSKY SUBTOTAL *	\$0.00	\$30.43	\$0.00	\$30.43		\$0.15



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: JEFFRY PROUL</u>								
02/05/2018	***-**-22CL - PROUL, CLIENTS	AMERICAN FUNDS 2055 TARGET DATE-A	200.00	5.50	0.00	5.50	0.5	0.03
	ACCOUNT #: 00089402273	BUY 10 Units @19.5300						
02/05/2018	***-**-22CL - PROUL, CLIENTS	AMERICAN FUNDS 2055 TARGET DATE-A	57.60	1.58	0.00	1.58	0.5	0.01
	ACCOUNT #: 00089402273	BUY 3 Units @19.5300						
02/05/2018	***-**-645P - CALLES, LORIANN	THE GROWTH FUND OF AMERICA-A	90.00	2.48	0.00	2.48	0.5	0.01
	ACCOUNT #: 00081807366	BUY 2 Units @52.4500						
02/05/2018	***-**-645P - CALLES, LORIANN	THE GROWTH FUND OF AMERICA-A	150.00	4.13	0.00	4.13	0.5	0.02
	ACCOUNT #: 00081807366	BUY 3 Units @52.4500						
		* JEFFRY PROUL SUBTOTAL *	\$497.60	\$13.69	\$0.00	\$13.69		\$0.07
<u>BROKER: RANDOLPH SANDUSKY</u>								
02/12/2018	***-**-355I - SANDUSKY, EVELYN	JACKSON NATIONAL PERSPECTIVE II	197,785.93	10,383.76	0.00	10,383.76	0.5	51.92
	ACCOUNT #: 1011315522	BUY 0 Units @0.0000						
02/15/2018	***-**-920I - POLING, RONALD	JOHN HANCOCK VENTURE 2006	100.00	5.50	0.00	5.50	0.5	0.03
	ACCOUNT #: 2765836	BUY 0 Units @0.0000						
		* RANDOLPH SANDUSKY SUBTOTAL *	\$197,885.93	\$10,389.26	\$0.00	\$10,389.26		\$51.95
<u>BROKER: CRAIG ST. CYR</u>								
02/10/2018	***-**-87IN - BOYD, RODNEY	ING LIFE INS 08148884-NFS	0.00	10.08	0.00	10.08	0.5	0.05
	ACCOUNT #: C023886-AV	BUY 0 Units @0.0000						
		* CRAIG ST. CYR SUBTOTAL *	\$0.00	\$10.08	\$0.00	\$10.08		\$0.05
<u>BROKER: SHERIL DAMELIO</u>								
02/06/2018	***-**-2002 - BOLOGNESI,	AMERICAN FUNDS 2025 TARGET DATE-A	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 04000137916	BUY 3 Units @14.3300						
02/06/2018	***-**-2002 - BOLOGNESI,	AMERICAN FUNDS 2025 TARGET DATE-A	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 04000137916	BUY 3 Units @14.3300						
02/09/2018	***-**-92CL - DAMELIO, CLIENTS	AMERICAN FUNDS BLNCD PORTFOLIO CL A	288.47	7.93	0.00	7.93	0.5	0.04
	ACCOUNT #: 00087160948	BUY 19 Units @15.1200						
02/09/2018	***-**-92CL - DAMELIO, CLIENTS	AMERICAN FUNDS BLNCD PORTFOLIO CL A	146.54	4.03	0.00	4.03	0.5	0.02
	ACCOUNT #: 00087160948	BUY 10 Units @15.1200						
02/09/2018	***-**-92CL - DAMELIO, CLIENTS	AMERICAN FUNDS GROWTH PORTFOLIO A	36.40	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: 00087160953	BUY 2 Units @18.6000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: SHERIL DAMELIO (continued) </u>								
02/06/2018	***-**-0997 - AXELROD, RONALD	CAPITAL INCOME BUILDER-A	20.00	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: 04000295579	BUY 0 Units @65.8100						
02/14/2018	***-**-68IN - GOODYEAR, ADAM	LIFESTYLE AGGRESSIVE PORTFOLIO A	0.00	1.49	0.00	1.49	0.5	0.01
	ACCOUNT #: 00001605813	BUY 0 Units @0.0000						
02/14/2018	***-**-798I - BALON, JENNIFER	LIFESTYLE AGGRESSIVE PORTFOLIO A	0.00	22.79	0.00	22.79	0.5	0.11
	ACCOUNT #: 00001673691	BUY 0 Units @0.0000						
02/14/2018	***-**-47IN - MURPHY, JAMES	LIFESTYLE BALANCED PORTFOLIO A	0.00	12.95	0.00	12.95	0.5	0.06
	ACCOUNT #: 00001488868	BUY 0 Units @0.0000						
02/14/2018	***-**-87UG - TRANS TO MIN ACT	LIFESTYLE GROWTH PORTFOLIO A	0.00	1.05	0.00	1.05	0.5	0.01
	ACCOUNT #: 00001851334	BUY 0 Units @0.0000						
02/14/2018	***-**-818I - MURPHY, JUDY	LIFESTYLE MODERATE PORTFOLIO A	0.00	3.15	0.00	3.15	0.5	0.02
	ACCOUNT #: 00001488864	BUY 0 Units @0.0000						
* SHERIL DAMELIO SUBTOTAL *			\$591.41	\$60.39	\$0.00	\$60.39		\$0.31

 BROKER: BERT GOLDBERG

02/14/2018	***-**-654I - ROSTAD, BARBARA	AMERICAN FUNDS BLNCD PORTFOLIO CL A	57,600.00	1,566.00	0.00	1,566.00	0.5	7.83
	ACCOUNT #: LSR012426	BUY 3733 Units @15.4300						
02/01/2018	***-**-61UT - FREELAND,	FEDERATED KAUFMANN FUND	0.00	3.33	0.00	3.33	0.5	0.02
	ACCOUNT #: 00009937552	BUY 0 Units @0.0000						
02/14/2018	***-**-654I - ROSTAD, BARBARA	GLOBAL GROWTH PORTFOLIO-A	20,955.01	558.26	0.00	558.26	0.5	2.79
	ACCOUNT #: LSR012426	BUY 1180 Units @17.7600						
02/14/2018	***-**-579I - FREDERICK,	LIFESTYLE BALANCED PORTFOLIO A	0.00	4.72	0.00	4.72	0.5	0.02
	ACCOUNT #: 00001676185	BUY 0 Units @0.0000						
02/14/2018	***-**-492I - SELL, MICHAEL	LIFESTYLE BALANCED PORTFOLIO A	0.00	2.08	0.00	2.08	0.5	0.01
	ACCOUNT #: 00001722478	BUY 0 Units @0.0000						
02/14/2018	***-**-63IN - SYPHERS, ZACKARY	LIFESTYLE BALANCED PORTFOLIO A	0.00	2.30	0.00	2.30	0.5	0.01
	ACCOUNT #: 00001827112	BUY 0 Units @0.0000						
02/14/2018	***-**-280I - CURD, NANCY	LIFESTYLE BALANCED PORTFOLIO A	0.00	1.20	0.00	1.20	0.5	0.01
	ACCOUNT #: 00001860711	BUY 0 Units @0.0000						
02/14/2018	***-**-837I - CURTIN, PAUL	LIFESTYLE BALANCED PORTFOLIO A	0.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 00002116172	BUY 0 Units @0.0000						
02/14/2018	***-**-180I - GOODMILLER,	LIFESTYLE BALANCED PORTFOLIO A	0.00	6.37	0.00	6.37	0.5	0.03
	ACCOUNT #: 00002330736	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: BERT GOLDBERG (continued)</u> 								
02/14/2018	***-**-36IN - PISARIK, MICHAEL	LIFESTYLE MODERATE PORTFOLIO A	0.00	5.17	0.00	5.17	0.5	0.03
	ACCOUNT #: 00001840495	BUY 0 Units @0.0000						
02/14/2018	***-**-9040 - WATSON, MARY	LIFESTYLE MODERATE PORTFOLIO A	0.00	9.81	0.00	9.81	0.5	0.05
	ACCOUNT #: 00002400791	BUY 0 Units @0.0000						
02/14/2018	***-**-4036 - PISARIK, MICHAEL	LIFESTYLE MODERATE PORTFOLIO A	0.00	2.29	0.00	2.29	0.5	0.01
	ACCOUNT #: 00002493848	BUY 0 Units @0.0000						
02/14/2018	***-**-654I - ROSTAD, BARBARA	PRESERVATION PORTFOLIO-A	16,800.00	318.00	0.00	318.00	0.5	1.59
	ACCOUNT #: LSR012426	BUY 1677 Units @10.0200						
		 * BERT GOLDBERG SUBTOTAL * 	 \$95,355.01 	 \$2,482.03 	 \$0.00 	 \$2,482.03 		 \$12.41
 <u>BROKER: LINDA BLACK</u> 								
02/05/2018	***-**-295P - PHILLIPS,	AMERICAN FUNDS 02630R732	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 00088393885	BUY 3 Units @19.3200						
02/09/2018	***-**-319I - 20176, LEESBURG	HENRY SCHEIN CORP COM USD0.01	7,060.80	21.00	0.00	21.00	0.5	0.11
	ACCOUNT #: LSR012258	BUY 100 Units @70.6080						
02/14/2018	***-**-15IR - STOWERS, SAMUEL	JOHN HANCOCK US EQUITY CL A	0.00	3.71	0.00	3.71	0.5	0.02
	ACCOUNT #: 00002101908	BUY 0 Units @0.0000						
02/14/2018	***-**-145I - GODLEWSKI,	LIFESTYLE AGGRESSIVE PORTFOLIO A	0.00	10.65	0.00	10.65	0.5	0.05
	ACCOUNT #: 00002037541	BUY 0 Units @0.0000						
02/14/2018	***-**-185P - QUINN, RENEE	NEW YORK 529 TRAILS	0.00	16.28	0.00	16.28	0.5	0.08
	ACCOUNT #: 77228874501	BUY 0 Units @0.0000						
02/19/2018	***-**-334I - ESKEW, CAROLYN	SAMMONS MF TRAILS	0.00	28.10	0.00	28.10	0.5	0.14
	ACCOUNT #: 7200023141	BUY 0 Units @0.0000						
02/19/2018	***-**-9333 - BONNER, RACHEL	SAMMONS MF TRAILS	0.00	51.60	0.00	51.60	0.5	0.26
	ACCOUNT #: 7200027587	BUY 0 Units @0.0000						
		 * LINDA BLACK SUBTOTAL * 	 \$7,110.80 	 \$133.84 	 \$0.00 	 \$133.84 		 \$0.67
 <u>BROKER: MICHAEL MINTER</u> 								
02/12/2018	***-**-6897 - BENTLEY, DONNA	PERSPECTIVE II DTCC	500,000.00	25,000.00	0.00	25,000.00	0.5	125.00
	ACCOUNT #: 1021013478	BUY 0 Units @0.0000						
02/19/2018	***-**-256I - FERENGE, RICHARD	SAMMONS MF TRAILS	0.00	16.84	0.00	16.84	0.5	0.08
	ACCOUNT #: 7200020258	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: MICHAEL MINTER (continued)</u> 								
02/19/2018	***-**-15TI - HELBER, DEBORAH	SAMMONS MF TRAILS	0.00	54.14	0.00	54.14	0.5	0.27
	ACCOUNT #: 7200020728	BUY 0 Units @0.0000						
		 * MICHAEL MINTER SUBTOTAL * 	 \$500,000.00 	 \$25,070.98 	 \$0.00 	 \$25,070.98 		 \$125.35
 <u>BROKER: JOSEPH FERRY</u> 								
02/06/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	154.64	4.25	0.00	4.25	0.5	0.02
	ACCOUNT #: 04000563712	BUY 5 Units @28.1600						
02/06/2018	***-**-7973 - ROOSA, JOHN	AMERICAN BALANCED FUND-A	46.39	1.28	0.00	1.28	0.5	0.01
	ACCOUNT #: 04000563712	BUY 2 Units @28.1600						
02/08/2018	***-**-689I - FAULKNER, SANDRA	AMERICAN BALANCED FUND-A	298.08	4.77	0.00	4.77	0.5	0.02
	ACCOUNT #: 00081806027	BUY 11 Units @27.0000						
02/08/2018	***-**-228I - FAULKNER,	AMERICAN BALANCED FUND-A	298.08	4.77	0.00	4.77	0.5	0.02
	ACCOUNT #: 00081805988	BUY 11 Units @27.0000						
02/08/2018	***-**-228I - FAULKNER,	AMERICAN BALANCED FUND-A	298.08	4.77	0.00	4.77	0.5	0.02
	ACCOUNT #: 00081805988	BUY 11 Units @27.0000						
02/08/2018	***-**-065P - LEE, DANA	AMERICAN BALANCED FUND-A	150.00	6.38	0.00	6.38	0.5	0.03
	ACCOUNT #: 00064518010	BUY 5 Units @27.8500						
02/06/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	43.27	1.19	0.00	1.19	0.5	0.01
	ACCOUNT #: 04000563724	BUY 3 Units @15.5500						
02/06/2018	***-**-5975 - PAQUETTE, NICOLE	AMERICAN FUNDS 2035 TARGET DATE-A	115.38	3.17	0.00	3.17	0.5	0.02
	ACCOUNT #: 04000563724	BUY 7 Units @15.5500						
02/06/2018	***-**-6923 - MELIN-MILES,	AMERICAN FUNDS 2050 TARGET DATE-A	48.83	1.34	0.00	1.34	0.5	0.01
	ACCOUNT #: 04000563702	BUY 3 Units @15.8900						
02/06/2018	***-**-6923 - MELIN-MILES,	AMERICAN FUNDS 2050 TARGET DATE-A	100.00	2.75	0.00	2.75	0.5	0.01
	ACCOUNT #: 04000563702	BUY 6 Units @15.8900						
02/06/2018	***-**-945P - MORIARTY,	AMERICAN FUNDS 2050 TARGET DATE-A	187.00	5.14	0.00	5.14	0.5	0.03
	ACCOUNT #: 00081526588	BUY 12 Units @15.8900						
02/06/2018	***-**-945P - MORIARTY,	AMERICAN FUNDS 2050 TARGET DATE-A	44.09	1.21	0.00	1.21	0.5	0.01
	ACCOUNT #: 00081526588	BUY 3 Units @15.8900						
02/08/2018	***-**-3307 - COUGHLAN, HARRY	AMERICAN FUNDS GRWTH & INCOME PORT	240.50	2.41	0.00	2.41	0.5	0.01
	ACCOUNT #: 00084434107	BUY 16 Units @14.7400						
02/14/2018	***-**-235I - DASILVA, BRANDON	CHET ADVISOR 529 TRAILS	0.00	98.92	0.00	98.92	0.5	0.49
	ACCOUNT #: 68701113601	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JOSEPH FERRY (continued) </u>								
02/05/2018	***-**-01IN - PELLETIER, KELLY	FRANKLIN GROWTH FUND CLASS A	75.00	2.10	0.00	2.10	0.5	0.01
	ACCOUNT #: 000060177222593	BUY 1 Units @98.3700						
02/05/2018	***-**-01IN - PELLETIER, KELLY	FRANKLIN INCOME FUND CLASS A	75.00	2.10	0.00	2.10	0.5	0.01
	ACCOUNT #: 000090236508494	BUY 31 Units @2.4000						
02/19/2018	***-**-788I - LIPEIKA, RONALD	LIVEWELL MUTUAL FUND	0.00	44.89	0.00	44.89	0.5	0.22
	ACCOUNT #: 7200016493	BUY 0 Units @0.0000						
02/19/2018	***-**-963I - MORRO, JAMES	LIVEWELL MUTUAL FUND	0.00	64.53	0.00	64.53	0.5	0.32
	ACCOUNT #: 7200018502	BUY 0 Units @0.0000						
02/05/2018	***-**-01IN - PELLETIER, KELLY	MUTUAL GLOBAL DISCOVERY FUND - CLAS	75.00	2.10	0.00	2.10	0.5	0.01
	ACCOUNT #: 000000007745197	BUY 2 Units @32.5700						
02/05/2018	***-**-01IN - PELLETIER, KELLY	TEMP GLOBAL BOND FND - CL A	75.00	2.10	0.00	2.10	0.5	0.01
	ACCOUNT #: 000006984020841	BUY 6 Units @12.3800						
		* JOSEPH FERRY SUBTOTAL *	\$2,324.34	\$260.17	\$0.00	\$260.17		\$1.29
<u> BROKER: SANDINO VERRELLI </u>								
02/14/2018	***-**-925P - LENNON, JENNY	CHET 529	50.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 68507712801	BUY 0 Units @0.0000						
02/14/2018	***-**-725P - COLON, SAMUAL	CHET ADVISOR 529 TRAILS	0.00	1.42	0.00	1.42	0.5	0.01
	ACCOUNT #: 68161143301	BUY 0 Units @0.0000						
02/14/2018	***-**-425P - ARTMAN, RONALD	CHET ADVISOR 529 TRAILS	0.00	3.99	0.00	3.99	0.5	0.02
	ACCOUNT #: 68484446101	BUY 0 Units @0.0000						
02/19/2018	***-**-49I2 - MATTHEWS, BRIAN	LIVEWELL MUTUAL FUND	0.00	5.65	0.00	5.65	0.5	0.03
	ACCOUNT #: 7200000831	BUY 0 Units @0.0000						
		* SANDINO VERRELLI SUBTOTAL *	\$50.00	\$12.31	\$0.00	\$12.31		\$0.07
<u> BROKER: ALEX GEORGIEV </u>								
02/05/2018	***-**-025P - PROKUDA, BRIAN	AMCAP FUND-A	210.00	3.36	0.00	3.36	0.5	0.02
	ACCOUNT #: 00068542684	BUY 6 Units @32.7900						
02/05/2018	***-**-025P - PROKUDA, BRIAN	AMCAP FUND-A	1,500.00	24.00	0.00	24.00	0.5	0.12
	ACCOUNT #: 00068542684	BUY 46 Units @32.7900						
02/07/2018	***-**-186I - JACOBSON, MARINA	AMERICAN BALANCED FUND-A	179.07	4.92	0.00	4.92	0.5	0.02
	ACCOUNT #: 00083731526	BUY 6 Units @28.0400						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
02/07/2018	***-**-537I - DIVALERIO, KATHY	AMERICAN BALANCED FUND-A	166.83	4.59	0.00	4.59	0.5	0.02
	ACCOUNT #: 00083765927	BUY 6 Units @28.0400						
02/14/2018	***-**-335J - HARWOOD, ARLENE	AMERICAN FUNDAMENTAL INV. CL F2-NFS	29.97	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012061	SELL 0 Units @63.2300						
02/14/2018	***-**-335I - HARWOOD, RICHARD	AMERICAN FUNDS GROWTH PORT CL F2-NF	612.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012060	SELL 33 Units @18.6200						
02/14/2018	***-**-335J - HARWOOD, ARLENE	AMERICAN FUNDS GROWTH PORT CL F2-NF	30.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012061	SELL 2 Units @18.6200						
02/14/2018	***-**-335J - HARWOOD, ARLENE	AMERICAN FUNDS GRWTH & INC. PORT F	30.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012061	SELL 2 Units @15.3300						
02/05/2018	***-**-415P - BARNABY, GORDON	AMERICAN MUTUAL FUND-A	176.82	6.63	0.00	6.63	0.5	0.03
	ACCOUNT #: 00081781947	BUY 4 Units @42.1900						
02/05/2018	***-**-415P - BARNABY, GORDON	AMERICAN MUTUAL FUND-A	128.10	4.80	0.00	4.80	0.5	0.02
	ACCOUNT #: 00081781947	BUY 3 Units @42.1900						
02/14/2018	***-**-148I - SHAFER, TERRY	BALANCED A	0.00	1.52	0.00	1.52	0.5	0.01
	ACCOUNT #: 00777263955	BUY 0 Units @0.0000						
02/15/2018	***-**-4263 - SELARU, DR	BLACKROCK S&P 500 INDEX INV A	159.94	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR011307	BUY 0 Units @325.7400						
02/07/2018	***-**-186I - JACOBSON, MARINA	CAPITAL INCOME BUILDER-A	596.90	16.41	0.00	16.41	0.5	0.08
	ACCOUNT #: 00083731526	BUY 9 Units @64.2000						
02/07/2018	***-**-537I - DIVALERIO, KATHY	CAPITAL INCOME BUILDER-A	133.46	3.67	0.00	3.67	0.5	0.02
	ACCOUNT #: 00083765927	BUY 2 Units @64.2000						
02/05/2018	***-**-705P - SPAULDING, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	86.73	3.25	0.00	3.25	0.5	0.02
	ACCOUNT #: 00081781375	BUY 2 Units @53.7500						
02/05/2018	***-**-705P - SPAULDING, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	52.70	1.98	0.00	1.98	0.5	0.01
	ACCOUNT #: 00081781375	BUY 1 Units @53.7500						
02/05/2018	***-**-452I - KELLNER, MICHAEL	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	2.13	0.00	2.13	0.5	0.01
	ACCOUNT #: 00062550448	BUY 1 Units @54.0300						
02/14/2018	***-**-59CL - ROSENBERG,	CLASSIC VALUE R1	0.00	1.39	0.00	1.39	0.5	0.01
	ACCOUNT #: 00090000291	BUY 0 Units @0.0000						
02/14/2018	***-**-7580 - MAGGIACOMO,	COLLEGE BOUND MF	600.00	2.40	0.00	2.40	0.5	0.01
	ACCOUNT #: 81400070701	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
02/01/2018	***-**-31IN - RATESIC, FRANK	FED UNLOCATED FUND	0.00	1.11	0.00	1.11	0.5	0.01
	ACCOUNT #: 07002149460	BUY 0 Units @0.0000						
02/01/2018	***-**-31IN - RATESIC, FRANK	FED UNLOCATED FUND	0.00	4.46	0.00	4.46	0.5	0.02
	ACCOUNT #: 07002149460	BUY 0 Units @0.0000						
02/01/2018	***-**-58CL - KLAG, CLIENTS OF	FEDERATED 314183302	0.00	2.23	0.00	2.23	0.5	0.01
	ACCOUNT #: 05555204172	BUY 0 Units @0.0000						
02/01/2018	***-**-58CL - KLAG, CLIENTS OF	FEDERATED 314183302	0.00	1.71	0.00	1.71	0.5	0.01
	ACCOUNT #: 05555204173	BUY 0 Units @0.0000						
02/01/2018	***-**-58CL - KLAG, CLIENTS OF	FEDERATED 314183302	0.00	5.12	0.00	5.12	0.5	0.03
	ACCOUNT #: 05555204173	BUY 0 Units @0.0000						
02/01/2018	***-**-36CL - VEAL, CLIENTS OF	FEDERATED 314183302	0.00	63.26	0.00	63.26	0.5	0.32
	ACCOUNT #: 00000197287	BUY 0 Units @0.0000						
02/01/2018	***-**-36CL - VEAL, CLIENTS OF	FEDERATED 314183302	0.00	189.77	0.00	189.77	0.5	0.95
	ACCOUNT #: 00000197287	BUY 0 Units @0.0000						
02/01/2018	***-**-31IN - RATESIC, FRANK	FEDERATED 314209404	0.00	3.64	0.00	3.64	0.5	0.02
	ACCOUNT #: 07002149460	BUY 0 Units @0.0000						
02/01/2018	***-**-31IN - RATESIC, FRANK	FEDERATED 314209404	0.00	10.93	0.00	10.93	0.5	0.05
	ACCOUNT #: 07002149460	BUY 0 Units @0.0000						
02/01/2018	***-**-31IN - RATESIC, FRANK	FEDERATED CLOVER VALUE FUND - C	0.00	2.33	0.00	2.33	0.5	0.01
	ACCOUNT #: 07002149460	BUY 0 Units @0.0000						
02/01/2018	***-**-31IN - RATESIC, FRANK	FEDERATED CLOVER VALUE FUND - C	0.00	6.98	0.00	6.98	0.5	0.03
	ACCOUNT #: 07002149460	BUY 0 Units @0.0000						
02/01/2018	***-**-31IN - RATESIC, FRANK	FEDERATED HIGH INCOME BOND FUND	0.00	6.04	0.00	6.04	0.5	0.03
	ACCOUNT #: 07002149460	BUY 0 Units @0.0000						
02/01/2018	***-**-31IN - RATESIC, FRANK	FEDERATED HIGH INCOME BOND FUND	0.00	18.13	0.00	18.13	0.5	0.09
	ACCOUNT #: 07002149460	BUY 0 Units @0.0000						
02/01/2018	***-**-88IR - BOLIND, JUDITH	FEDERATED HIGH INCOME BOND FUND	0.00	1.46	0.00	1.46	0.5	0.01
	ACCOUNT #: 07002119335	BUY 0 Units @0.0000						
02/01/2018	***-**-7503 - GRAVES, YVONNE	FEDERATED KAUFMANN FUND	0.00	1.62	0.00	1.62	0.5	0.01
	ACCOUNT #: 00589002959	BUY 0 Units @0.0000						
02/01/2018	***-**-31IN - RATESIC, FRANK	FEDERATED KAUFMANN FUND	0.00	3.57	0.00	3.57	0.5	0.02
	ACCOUNT #: 07002149460	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
02/01/2018	***-**-31IN - RATESIC, FRANK ACCOUNT #: 07002149460	FEDERATED KAUFMANN FUND BUY 0 Units @0.0000	0.00	10.72	0.00	10.72	0.5	0.05
02/01/2018	***-**-31IN - RATESIC, FRANK ACCOUNT #: 07002149460	FEDERATED MDT LARGE CAP GROWTH BUY 0 Units @0.0000	0.00	2.13	0.00	2.13	0.5	0.01
02/01/2018	***-**-31IN - RATESIC, FRANK ACCOUNT #: 07002149460	FEDERATED MDT LARGE CAP GROWTH BUY 0 Units @0.0000	0.00	6.39	0.00	6.39	0.5	0.03
02/01/2018	***-**-125P - BILLIE, RENEE ACCOUNT #: 07002128630	FEDERATED MDT SMALL CAP GROWTH BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	0.5	0.01
02/01/2018	***-**-12IR - BILLIE, RENEE ACCOUNT #: 07002134114	FEDERATED MDT SMALL CAP GROWTH BUY 0 Units @0.0000	0.00	2.11	0.00	2.11	0.5	0.01
02/01/2018	***-**-31IN - RATESIC, FRANK ACCOUNT #: 07002149460	FEDERATED MID CAP GROWTH STRATEGIES BUY 0 Units @0.0000	0.00	2.27	0.00	2.27	0.5	0.01
02/01/2018	***-**-31IN - RATESIC, FRANK ACCOUNT #: 07002149460	FEDERATED MID CAP GROWTH STRATEGIES BUY 0 Units @0.0000	0.00	6.82	0.00	6.82	0.5	0.03
02/01/2018	***-**-31IN - RATESIC, FRANK ACCOUNT #: 07002149460	FEDERATED STRATEGIC INCOME FUND BUY 0 Units @0.0000	0.00	6.36	0.00	6.36	0.5	0.03
02/01/2018	***-**-31IN - RATESIC, FRANK ACCOUNT #: 07002149460	FEDERATED STRATEGIC INCOME FUND BUY 0 Units @0.0000	0.00	19.08	0.00	19.08	0.5	0.10
02/14/2018	***-**-6167 - MEYERS, LYNN ACCOUNT #: 00777297925	FINANCIAL INDUSTRIES A BUY 0 Units @0.0000	0.00	2.43	0.00	2.43	0.5	0.01
02/07/2018	***-**-186I - JACOBSON, MARINA ACCOUNT #: 00083731526	FUNDAMENTAL INVESTORS-A BUY 4 Units @64.9700	238.76	6.57	0.00	6.57	0.5	0.03
02/07/2018	***-**-537I - DIVALERIO, KATHY ACCOUNT #: 00083765927	FUNDAMENTAL INVESTORS-A BUY 2 Units @64.9700	133.47	3.67	0.00	3.67	0.5	0.02
02/14/2018	***-**-869I - GARDENHOUR, ACCOUNT #: 00777269306	GOVERNMENT INCOME A BUY 0 Units @0.0000	0.00	2.47	0.00	2.47	0.5	0.01
02/10/2018	***-**-9113 - THOMAS, FRANK ACCOUNT #: C031986-MN	ING VA 008148108 BUY 0 Units @0.0000	0.00	33.02	0.00	33.02	0.5	0.17
02/10/2018	***-**-33IN - LONG, DIANE ACCOUNT #: C033010-MN	ING VA 008148108 BUY 0 Units @0.0000	0.00	39.39	0.00	39.39	0.5	0.20
02/14/2018	***-**-335I - HARWOOD, RICHARD ACCOUNT #: LSR012060	INVESCO COMSTOCK FUND CL Y-NFS SELL 22 Units @27.0400	593.99	3.00	0.00	3.00	0.5	0.02



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
02/14/2018	***-**-915I - HARWOOD, ARLENE	INVESCO COMSTOCK FUND CL Y-NFS	254.99	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012080	SELL 9 Units @27.0400						
02/14/2018	***-**-335I - HARWOOD, RICHARD	INVESCO EQUITY AND INCOME FND CL Y-	594.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012060	SELL 54 Units @11.0300						
02/14/2018	***-**-915I - HARWOOD, ARLENE	INVESCO EQUITY AND INCOME FND CL Y-	247.50	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012080	SELL 22 Units @11.0300						
02/14/2018	***-**-915I - HARWOOD, ARLENE	INVESCO GROWTH AND INCOME FUND-NFS	247.50	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR012080	SELL 9 Units @27.4000						
02/14/2018	***-**-89IN - CALLAMARI,	INVESTMENT GRADE BOND A	0.00	7.28	0.00	7.28	0.5	0.04
	ACCOUNT #: 00002001660	BUY 0 Units @0.0000						
02/15/2018	***-**-785I - MCGUIRE, JOSEPH	JACKSON PERSPECTIVE II	50.00	3.50	0.00	3.50	0.5	0.02
	ACCOUNT #: 009190580A	BUY 0 Units @0.0000						
02/14/2018	***-**-009I - ALBANO, ANITA	JOHN HANCOCK TECHNICAL OPPS CL A	0.00	2.60	0.00	2.60	0.5	0.01
	ACCOUNT #: 00001956236	BUY 0 Units @0.0000						
02/15/2018	***-**-1428 - PEWANICK,	JOHN HANCOCK VENTURE 2006	50.00	3.75	0.00	3.75	0.5	0.02
	ACCOUNT #: 2766748	BUY 0 Units @0.0000						
02/14/2018	***-**-612I - BRUNNER, BARBARA	LARGE CAP EQUITY A	0.00	11.96	0.00	11.96	0.5	0.06
	ACCOUNT #: 00777214280	BUY 0 Units @0.0000						
02/12/2018	***-**-578I - STAPLE, FRANCIS	MASS MUTUAL CUSIP 57629P105-NFS	50.00	2.75	0.00	2.75	0.5	0.01
	ACCOUNT #: ARN5466675EE	BUY 0 Units @0.0000						
02/07/2018	***-**-537I - DIVALERIO, KATHY	NEW WORLD FUND-A	66.73	1.84	0.00	1.84	0.5	0.01
	ACCOUNT #: 00083765927	BUY 1 Units @69.3900						
02/07/2018	***-**-186I - JACOBSON, MARINA	NEW WORLD FUND-A	179.07	4.92	0.00	4.92	0.5	0.02
	ACCOUNT #: 00083731526	BUY 3 Units @69.3900						
02/14/2018	***-**-5073 - CAUFIELD, JOHN	NEW YORK 529 TRAILS	0.00	13.24	0.00	13.24	0.5	0.07
	ACCOUNT #: 77247702601	BUY 0 Units @0.0000						
02/14/2018	***-**-115P - CANNON, BRENDA	NEW YORK 529 TRAILS	0.00	2.93	0.00	2.93	0.5	0.01
	ACCOUNT #: 77544486501	BUY 0 Units @0.0000						
02/14/2018	***-**-115P - CANNON, BRENDA	NEW YORK 529 TRAILS	0.00	7.14	0.00	7.14	0.5	0.04
	ACCOUNT #: 77544486501	BUY 0 Units @0.0000						
02/14/2018	***-**-7245 - BOWERMAN, ELICE	NEW YORK 529 TRAILS	0.00	3.49	0.00	3.49	0.5	0.02
	ACCOUNT #: 77629991501	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
02/14/2018	***-**-015P - MASTERS, JOSEPH	NEW YORK 529 TRAILS	0.00	14.90	0.00	14.90	0.5	0.07
	ACCOUNT #: 77698854201	BUY 0 Units @0.0000						
02/14/2018	***-**-7982 - ALBERICI, ANGELO	NEW YORK 529 TRAILS	0.00	31.25	0.00	31.25	0.5	0.16
	ACCOUNT #: 77938844401	BUY 0 Units @0.0000						
02/14/2018	***-**-28IN - GREGOR, MARY	NEXTGEN TRAILS	0.00	5.05	0.00	5.05	0.5	0.03
	ACCOUNT #: 5DD80000	BUY 0 Units @0.0000						
02/09/2018	***-**-302O - KELLY, TRICIA	NORTHERN TRUST CORP	18,978.20	91.00	0.00	91.00	0.5	0.46
	ACCOUNT #: LSR012210	SELL 200 Units @94.8910						
02/19/2018	***-**-8294 - CRAIG, RICHARD	PHOENIX VUL TRAILS	0.00	45.42	0.00	45.42	0.5	0.23
	ACCOUNT #: VUL2000871	BUY 1 Units @0.0000						
02/19/2018	***-**-7860 - DAYANI, HANK	PRUDENTIAL VUL TRAILS	0.00	20.77	0.00	20.77	0.5	0.10
	ACCOUNT #: V1012270	BUY 1 Units @0.0000						
02/19/2018	***-**-7860 - DAYANI, HANK	PRUDENTIAL VUL TRAILS	0.00	42.00	0.00	42.00	0.5	0.21
	ACCOUNT #: V1012270	BUY 1 Units @0.0000						
02/19/2018	***-**-7859 - DAYANI, SEAN	PRUDENTIAL VUL TRAILS	0.00	53.26	0.00	53.26	0.5	0.27
	ACCOUNT #: V1012273	BUY 1 Units @0.0000						
02/19/2018	***-**-5555 - ASCENCIO,	PRUDENTIAL VUL TRAILS	0.00	7.58	0.00	7.58	0.5	0.04
	ACCOUNT #: V1030896	BUY 1 Units @0.0000						
02/19/2018	***-**-4030 - CAMPOS, DOLORES	PRUDENTIAL VUL TRAILS	0.00	2.35	0.00	2.35	0.5	0.01
	ACCOUNT #: V1040386	BUY 1 Units @0.0000						
02/19/2018	***-**-4479 - FARAHMAND,	PRUDENTIAL VUL TRAILS	0.00	12.83	0.00	12.83	0.5	0.06
	ACCOUNT #: V1110596	BUY 1 Units @0.0000						
02/12/2018	***-**-6578 - DUKE, DAYNA	SBL 814121364	350.00	5.25	0.00	5.25	0.5	0.03
	ACCOUNT #: 8034874	BUY 0 Units @0.0000						
02/12/2018	***-**-4658 - DUKE, DAVID	SBL 814121364	250.00	3.75	0.00	3.75	0.5	0.02
	ACCOUNT #: 8034875	BUY 0 Units @0.0000						
02/15/2018	***-**-7891 - BRUMLEY, TINA	SBL 814121364	100.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: 8020879	BUY 0 Units @0.0000						
02/15/2018	***-**-9850 - RAPPOPORT,	SBL 814121364	137.19	2.06	0.00	2.06	0.5	0.01
	ACCOUNT #: 8031031	BUY 0 Units @0.0000						
02/15/2018	***-**-5338 - LIVINGSTON, JOHN	SBL 814121364	193.75	2.93	0.00	2.93	0.5	0.01
	ACCOUNT #: 8031310	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
02/15/2018	***-**-9541 - WILLIS, JOHN	SBL 814121364	140.00	2.09	0.00	2.09	0.5	0.01
	ACCOUNT #: 8033945	BUY 0 Units @0.0000						
02/09/2018	***-**-302I - KELLY, TRICIA	SMITH A O CORP	29,640.00	139.71	0.00	139.71	0.5	0.70
	ACCOUNT #: LSR012213	SELL 500 Units @59.2800						
02/14/2018	***-**-805I - ALBANO, CARL	STRATEGIC INCOME A	0.00	5.48	0.00	5.48	0.5	0.03
	ACCOUNT #: 00002034825	BUY 0 Units @0.0000						
02/14/2018	***-**-86IN - DESJARDINS,	STRATEGIC INCOME A	0.00	7.73	0.00	7.73	0.5	0.04
	ACCOUNT #: 00002098689	BUY 0 Units @0.0000						
02/09/2018	***-**-4737 - PADILLA, MARIA	SUNAMERICA FOCUSED ALPHA GROWTH CL	0.00	3.36	0.00	3.36	0.5	0.02
	ACCOUNT #: 00009171292	BUY 0 Units @0.0000						
02/09/2018	***-**-737J - PADILLA, MANUEL	SUNAMERICA FOCUSED ALPHA GROWTH CL	0.00	6.53	0.00	6.53	0.5	0.03
	ACCOUNT #: 00009171519	BUY 0 Units @0.0000						
02/09/2018	***-**-38IN - PADILLA, MANUEL	SUNAMERICA FOCUSED ALPHA GROWTH CL	0.00	3.36	0.00	3.36	0.5	0.02
	ACCOUNT #: 00009171521	BUY 0 Units @0.0000						
02/09/2018	***-**-57IR - JONES, CAROLYN	SUNAMERICA FOCUSED ALPHA GROWTH CL	0.00	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: 00009176166	BUY 0 Units @0.0000						
02/05/2018	***-**-705P - SPAULDING, JOHN	THE GROWTH FUND OF AMERICA-A	37.17	1.39	0.00	1.39	0.5	0.01
	ACCOUNT #: 00081781375	BUY 1 Units @52.9900						
02/07/2018	***-**-385P - RODRIGUEZ,	THE GROWTH FUND OF AMERICA-A	200.00	10.00	0.00	10.00	0.5	0.05
	ACCOUNT #: 00074785412	BUY 4 Units @54.3000						
02/02/2018	***-**-155J - DAVIS, RANDY	THE HARTFORD GROWTH OPPORTUNITIES F	0.00	2.44	0.00	2.44	0.5	0.01
	ACCOUNT #: 00000363022	BUY 0 Units @0.0000						
02/02/2018	***-**-324I - WEBSTER, RONALD	THE HARTFORD GROWTH OPPORTUNITIES F	0.00	8.31	0.00	8.31	0.5	0.04
	ACCOUNT #: 00000407990	BUY 0 Units @0.0000						
02/02/2018	***-**-58IR - CLARK, ABBY	THE HARTFORD GROWTH OPPORTUNITIES F	0.00	1.97	0.00	1.97	0.5	0.01
	ACCOUNT #: 00000423966	BUY 0 Units @0.0000						
02/02/2018	***-**-16IN - LYONS, TIMOTHY	THE HARTFORD GROWTH OPPORTUNITIES F	0.00	8.40	0.00	8.40	0.5	0.04
	ACCOUNT #: 00000458605	BUY 0 Units @0.0000						
02/02/2018	***-**-3316 - LYONS BENE,	THE HARTFORD GROWTH OPPORTUNITIES F	0.00	5.82	0.00	5.82	0.5	0.03
	ACCOUNT #: 00000932164	BUY 0 Units @0.0000						
02/02/2018	***-**-898I - SMITH, CARYLON	THE HARTFORD SHORT DURATION FUND -	0.00	2.65	0.00	2.65	0.5	0.01
	ACCOUNT #: 00000199303	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
02/02/2018	***-**-12IN - VERMILION, ACCOUNT #: 00000070668	THE HARTFORD SMALL CAP GROWTH FD-A BUY 0 Units @0.0000	0.00	1.87	0.00	1.87	0.5	0.01
02/02/2018	***-**-80IN - WATKINS, DOE ACCOUNT #: 00000091673	THE HARTFORD SMALL CAP GROWTH FD-A BUY 0 Units @0.0000	0.00	2.10	0.00	2.10	0.5	0.01
02/02/2018	***-**-155J - DAVIS, RANDY ACCOUNT #: 00000363022	THE HARTFORD SMALL CAP GROWTH FD-A BUY 0 Units @0.0000	0.00	4.42	0.00	4.42	0.5	0.02
02/02/2018	***-**-324I - WEBSTER, RONALD ACCOUNT #: 00000407990	THE HARTFORD TOTAL RETURN BOND FD-A BUY 0 Units @0.0000	0.00	2.33	0.00	2.33	0.5	0.01
02/19/2018	***-**-2000 - EXONHIT THERAPE ACCOUNT #: 982052000	TRANSAMERICA VA TRAILS BUY 1 Units @0.0000	0.00	337.91	0.00	337.91	0.5	1.69
02/14/2018	***-**-545P - RESH, ANN ACCOUNT #: 00777218188	US GLOBAL LEADERS GROWTH A BUY 0 Units @0.0000	0.00	1.16	0.00	1.16	0.5	0.01
* ALEX GEORGIEV SUBTOTAL *			\$57,474.84	\$1,545.20	\$0.00	\$1,545.20		\$7.80
<u>BROKER: MICHAEL GAROFALO</u>								
02/13/2018	***-**-597I - LEAR, DIANE ACCOUNT #: R080334-ZS	ING ADVANTAGE SELECT BUY 0 Units @0.0000	0.00	14.41	0.00	14.41	0.5	0.07
02/19/2018	***-**-22IR - SHOCKEY, DEBORAH ACCOUNT #: 7200019359	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	5.07	0.00	5.07	0.5	0.03
02/19/2018	***-**-53IR - SHOCKEY, JEFFREY ACCOUNT #: 7200019367	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	5.60	0.00	5.60	0.5	0.03
* MICHAEL GAROFALO SUBTOTAL *			\$0.00	\$25.08	\$0.00	\$25.08		\$0.13
<u>BROKER: ARCHIBALD MCMICHAEL</u>								
02/15/2018	***-**-88IN - STYNER, THOMAS ACCOUNT #: 1019684659	PERSPECTIVE II DTCC BUY 0 Units @0.0000	541.66	37.92	0.00	37.92	0.5	0.19
* ARCHIBALD MCMICHAEL SUBTOTAL *			\$541.66	\$37.92	\$0.00	\$37.92		\$0.19
<u>BROKER: EDDIE WILLIAMS</u>								
02/12/2018	***-**-442I - VAWTERS, JOHNNY ACCOUNT #: I140927-0X	ING VA 380789883 BUY 0 Units @0.0000	0.00	423.62	0.00	423.62	0.5	2.12
* EDDIE WILLIAMS SUBTOTAL *			\$0.00	\$423.62	\$0.00	\$423.62		\$2.12



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: SAMUEL GALATIOTO</u>								
02/12/2018	***-**-51IR - DIETLIN, FBO	FEDERATED STRATEGIC VALUE DIVIDEND	200.00	2.00	0.00	2.00	0.5	0.01
	ACCOUNT #: LSR011167	BUY 35 Units @5.7700						
02/14/2018	***-**-83IN - GALATIOTO,	NEXTGEN TRAILS	0.00	31.27	0.00	31.27	0.5	0.16
	ACCOUNT #: 5DD80016	BUY 0 Units @0.0000						
		* SAMUEL GALATIOTO SUBTOTAL *	\$200.00	\$33.27	\$0.00	\$33.27		\$0.17
<u>BROKER: LARRY SKARSET</u>								
02/08/2018	***-**-6127 - STARK, TAMMY	FRANKLIN GROWTH FUND CLASS A	34.00	1.70	0.00	1.70	0.5	0.01
	ACCOUNT #: 000060176563746	BUY 0 Units @98.1400						
02/08/2018	***-**-6127 - STARK, TAMMY	FRANKLIN RISING DIVIDENDS FD CLASS	36.00	1.80	0.00	1.80	0.5	0.01
	ACCOUNT #: 000015815360427	BUY 1 Units @62.1000						
02/08/2018	***-**-6127 - STARK, TAMMY	FRK AGGRESSIVE GRWTH - CL A	34.00	1.70	0.00	1.70	0.5	0.01
	ACCOUNT #: 000000001147089	BUY 1 Units @38.2600						
02/08/2018	***-**-6127 - STARK, TAMMY	MUTUAL GLOBAL DISCOVERY FUND - CLAS	30.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: 000000005981410	BUY 1 Units @32.7100						
02/08/2018	***-**-6127 - STARK, TAMMY	TEMP FRGN FND - CL A	34.00	1.70	0.00	1.70	0.5	0.01
	ACCOUNT #: 000004978028124	BUY 4 Units @8.2200						
		* LARRY SKARSET SUBTOTAL *	\$168.00	\$8.40	\$0.00	\$8.40		\$0.05
<u>BROKER: ROBERT ADAMS</u>								
02/14/2018	***-**-77IN - BARCELOS, JANICE	ING VA 380789883	0.00	5.87	0.00	5.87	0.5	0.03
	ACCOUNT #: I161802-0X	BUY 0 Units @0.0000						
02/09/2018	***-**-4209 - ADAMS ESTATE,	SUNAMERICA FOCUSED ALPHA GROWTH CL	0.00	1.03	0.00	1.03	0.5	0.01
	ACCOUNT #: 00009200239	BUY 0 Units @0.0000						
02/09/2018	***-**-4209 - ADAMS ESTATE,	SUNAMERICA FOCUSED ALPHA LARGE CAP	0.00	7.24	0.00	7.24	0.5	0.04
	ACCOUNT #: 00009200239	BUY 0 Units @0.0000						
02/09/2018	***-**-4209 - ADAMS ESTATE,	SUNAMERICA FOCUSED DIVIDEND STRAT C	0.00	6.24	0.00	6.24	0.5	0.03
	ACCOUNT #: 00009200239	BUY 0 Units @0.0000						
02/09/2018	***-**-4209 - ADAMS ESTATE,	SUNAMERICA FOCUSED MULTI-ASSET STRA	0.00	1.81	0.00	1.81	0.5	0.01
	ACCOUNT #: 00009200239	BUY 0 Units @0.0000						
02/09/2018	***-**-4209 - ADAMS ESTATE,	SUNAMERICA FOCUSED MULTI-CAP VALUE	0.00	1.91	0.00	1.91	0.5	0.01
	ACCOUNT #: 00009200239	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ROBERT ADAMS (continued)</u>								
02/09/2018	***-**-4209 - ADAMS ESTATE, ACCOUNT #: 00009200239	SUNAMERICA FUCUSED BALANCED CL A BUY 0 Units @0.0000	0.00	1.80	0.00	1.80	0.5	0.01
		* ROBERT ADAMS SUBTOTAL *	\$0.00	\$25.90	\$0.00	\$25.90		\$0.14
<u>BROKER: JOSEPH STURGES</u>								
02/13/2018	***-**-976X - SEVERSON, KIRK ACCOUNT #: LSR012437	BRANDES INTERNATIONAL SMALL CAP EQU SELL 467 Units @13.3100	6,209.55	17.00	0.00	17.00	0.5	0.09
02/13/2018	***-**-976X - SEVERSON, KIRK ACCOUNT #: LSR012437	DELAWARE SMALL CAP VALUE INSTL CL SELL 43 Units @66.9800	2,902.31	17.00	0.00	17.00	0.5	0.09
02/13/2018	***-**-976X - SEVERSON, KIRK ACCOUNT #: LSR012437	FRANKLIN FLOATING RATE DAILY FD ADV SELL 1328 Units @8.8400	11,736.56	17.00	0.00	17.00	0.5	0.09
02/13/2018	***-**-976X - SEVERSON, KIRK ACCOUNT #: LSR012437	HARBOR INTERNATIONAL - INST SELL 110 Units @67.1800	7,389.60	17.00	0.00	17.00	0.5	0.09
02/13/2018	***-**-976X - SEVERSON, KIRK ACCOUNT #: LSR012437	PIMCO FOREIGN BOND FUND USD-NFS SELL 542 Units @10.6400	5,763.03	17.00	0.00	17.00	0.5	0.09
02/13/2018	***-**-976X - SEVERSON, KIRK ACCOUNT #: LSR012437	VANGUARD SHORT TERM INVMT GRADE ADM SELL 1193 Units @10.5500	12,582.99	17.00	0.00	17.00	0.5	0.09
		* JOSEPH STURGES SUBTOTAL *	\$46,584.04	\$102.00	\$0.00	\$102.00		\$0.54
<u>BROKER: JON HEDDLESON</u>								
02/05/2018	***-**-25IN - SCHLOSSER, SCOTT ACCOUNT #: 04000615940	AMERICAN BALANCED FUND-529A BUY 2 Units @28.5200	50.00	2.50	0.00	2.50	0.5	0.01
02/05/2018	***-**-81IN - JACKSON, ACCOUNT #: 00081681468	AMERICAN BALANCED FUND-A BUY 2 Units @28.2000	53.75	2.02	0.00	2.02	0.5	0.01
02/05/2018	***-**-81IN - JACKSON, ACCOUNT #: 00081681468	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @53.7500	53.75	2.02	0.00	2.02	0.5	0.01
02/05/2018	***-**-25IN - SCHLOSSER, SCOTT ACCOUNT #: 04000615940	CAPITAL WORLD GROWTH AND INCOME-529 BUY 1 Units @54.2700	50.00	2.50	0.00	2.50	0.5	0.01
02/19/2018	***-**-14CL - HEDDELSON, BUY 0 Units @0.0000	JANUS MF TRAILS BUY 0 Units @0.0000	0.00	9.81	0.00	9.81	0.5	0.05
02/19/2018	***-**-26IN - BORN, JUDY LYNN ACCOUNT #: 230003526	METLIFE INVESTORS USA VA BUY 1 Units @350.0000	350.00	1.33	0.00	1.33	0.5	0.01
		* JON HEDDLESON SUBTOTAL *	\$557.50	\$20.18	\$0.00	\$20.18		\$0.10



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: TIMOTHY STATES</u>								
02/12/2018	***-**-826I - CLARK, FBO MS ACCOUNT #: LSR010588	BANK OF AMERICA CORP UNSOLICITED OR BUY 250 Units @30.6250	7,656.25	115.00	0.00	115.00	0.5	0.58
02/12/2018	***-**-58IN - LUTZ, SAMUEL ACCOUNT #: LSR010594	BANK OF AMERICA CORP UNSOLICITED OR BUY 300 Units @30.6050	9,181.50	129.00	0.00	129.00	0.5	0.65
02/12/2018	***-**-74IN - DAVIS, MISCHA ACCOUNT #: LSR010627	BANK OF AMERICA CORP UNSOLICITED OR BUY 251 Units @30.7350	7,714.49	114.98	0.00	114.98	0.5	0.57
02/12/2018	***-**-736J - HIGHSMITH SR, ACCOUNT #: LSR010785	BANK OF AMERICA CORP UNSOLICITED OR BUY 300 Units @30.6100	9,183.00	129.00	0.00	129.00	0.5	0.65
02/12/2018	***-**-423I - JONES, BRENDA ACCOUNT #: LSR010837	BANK OF AMERICA CORP UNSOLICITED OR BUY 140 Units @30.9100	4,327.40	117.20	0.00	117.20	0.5	0.59
02/12/2018	***-**-587I - KEARNEY, FBO MS ACCOUNT #: LSR010590	CISCO SYSTEMS INC BUY 100 Units @40.3600	4,036.00	60.00	0.00	60.00	0.5	0.30
02/12/2018	***-**-587I - KEARNEY, FBO MS ACCOUNT #: LSR010590	CISCO SYSTEMS INC BUY 100 Units @40.3600	4,036.00	60.00	0.00	60.00	0.5	0.30
02/12/2018	***-**-587I - KEARNEY, FBO MS ACCOUNT #: LSR010590	CISCO SYSTEMS INC BUY 11 Units @40.3600	443.96	6.60	0.00	6.60	0.5	0.03
02/12/2018	***-**-537I - EDELIN, FBO MS ACCOUNT #: LSR010592	CISCO SYSTEMS INC BUY 110 Units @40.4650	4,451.15	117.00	0.00	117.00	0.5	0.59
02/12/2018	***-**-74IN - DAVIS, MISCHA ACCOUNT #: LSR010627	CISCO SYSTEMS INC BUY 300 Units @40.7050	12,211.50	132.00	0.00	132.00	0.5	0.66
02/12/2018	***-**-423I - JONES, BRENDA ACCOUNT #: LSR010837	CISCO SYSTEMS INC BUY 150 Units @40.5150	6,077.25	117.00	0.00	117.00	0.5	0.59
02/13/2018	***-**-66IR - STATES, FBO MR ACCOUNT #: LSF000280	CISCO SYSTEMS INC BUY 6 Units @41.2060	247.24	1.01	0.00	1.01	0.5	0.01
02/13/2018	***-**-066I - STATES, FBO MR ACCOUNT #: LSF000282	CISCO SYSTEMS INC BUY 4 Units @41.2000	164.80	1.01	0.00	1.01	0.5	0.01
02/14/2018	***-**-736X - HIGHSMITH SR, ACCOUNT #: LSR010791	CISCO SYSTEMS INC BUY 200 Units @41.9550	8,391.00	132.00	0.00	132.00	0.5	0.66
02/12/2018	***-**-837I - LEWIS, FBO V ACCOUNT #: LSR010565	DOLLAR TREE INC COM BUY 150 Units @108.4200	16,263.00	182.00	0.00	182.00	0.5	0.91
02/12/2018	***-**-826I - CLARK, FBO MS ACCOUNT #: LSR010588	DOLLAR TREE INC COM BUY 200 Units @108.1930	21,638.60	206.00	0.00	206.00	0.5	1.03



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: TIMOTHY STATES (continued)</u>								
02/12/2018	***-**-587I - KEARNEY, FBO MS	DOLLAR TREE INC COM	13,395.63	157.50	0.00	157.50	0.5	0.79
	ACCOUNT #: LSR010590	BUY 125 Units @107.1650						
02/12/2018	***-**-58IN - LUTZ, SAMUEL	DOLLAR TREE INC COM	16,179.00	182.00	0.00	182.00	0.5	0.91
	ACCOUNT #: LSR010594	BUY 150 Units @107.8600						
02/12/2018	***-**-574I - DAVIS, MISCHA	DOLLAR TREE INC COM	21,616.60	206.00	0.00	206.00	0.5	1.03
	ACCOUNT #: LSR010630	BUY 200 Units @108.0830						
02/12/2018	***-**-736J - HIGHSMITH SR,	DOLLAR TREE INC COM	16,203.00	182.00	0.00	182.00	0.5	0.91
	ACCOUNT #: LSR010785	BUY 150 Units @108.0200						
02/14/2018	***-**-66IR - STATES, FBO MR	MICROSOFT CORP UNSOLICITED ORDER EX	3,915.74	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: LSF000280	SELL 44 Units @88.9940						
02/12/2018	***-**-736X - HIGHSMITH SR,	NEKTAR THERAPEUTICS	11,552.25	132.00	0.00	132.00	0.5	0.66
	ACCOUNT #: LSR010791	BUY 150 Units @77.0150						
02/14/2018	***-**-826I - CLARK, FBO MS	NEKTAR THERAPEUTICS	8,111.30	133.00	0.00	133.00	0.5	0.67
	ACCOUNT #: LSR010588	BUY 100 Units @81.1130						
02/14/2018	***-**-58IN - LUTZ, SAMUEL	NEKTAR THERAPEUTICS	8,320.00	133.00	0.00	133.00	0.5	0.67
	ACCOUNT #: LSR010594	BUY 100 Units @83.2000						
02/14/2018	***-**-35IN - ANTOINE, MS	NEKTAR THERAPEUTICS	8,371.50	133.00	0.00	133.00	0.5	0.67
	ACCOUNT #: LSR010597	BUY 100 Units @83.7150						
02/14/2018	***-**-574I - DAVIS, MISCHA	NEKTAR THERAPEUTICS	8,198.40	133.00	0.00	133.00	0.5	0.67
	ACCOUNT #: LSR010630	BUY 100 Units @81.9840						
02/14/2018	***-**-736J - HIGHSMITH SR,	NEKTAR THERAPEUTICS	8,183.50	133.00	0.00	133.00	0.5	0.67
	ACCOUNT #: LSR010785	BUY 100 Units @81.8350						
02/12/2018	***-**-826I - CLARK, FBO MS	U S CONCRETE INC COM NEW	15,328.00	156.00	0.00	156.00	0.5	0.78
	ACCOUNT #: LSR010588	BUY 200 Units @76.6400						
02/12/2018	***-**-735I - ANTOINE, FBO MS	U S CONCRETE INC COM NEW	11,460.00	132.00	0.00	132.00	0.5	0.66
	ACCOUNT #: LSR010596	BUY 150 Units @76.4000						
02/12/2018	***-**-574I - DAVIS, MISCHA	U S CONCRETE INC COM NEW	15,365.00	156.00	0.00	156.00	0.5	0.78
	ACCOUNT #: LSR010630	BUY 200 Units @76.8250						
02/12/2018	***-**-537I - EDELIN, FBO MS	USG CORP COM NEW	5,853.58	116.50	0.00	116.50	0.5	0.58
	ACCOUNT #: LSR010592	BUY 175 Units @33.4490						
02/12/2018	***-**-91IN - RICHARDS, RMR	USG CORP COM NEW	3,345.50	43.00	0.00	43.00	0.5	0.22
	ACCOUNT #: LSR010600	BUY 100 Units @33.4550						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: TIMOTHY STATES (continued)</u> 								
02/12/2018	***-**-91IN - RICHARDS, RMR	USG CORP COM NEW	5,020.50	87.00	0.00	87.00	0.5	0.44
	ACCOUNT #: LSR010600	BUY 150 Units @33.4700						
02/12/2018	***-**-820X - HIGHSMITH,	USG CORP COM NEW	6,229.88	116.30	0.00	116.30	0.5	0.58
	ACCOUNT #: LSR010767	BUY 185 Units @33.6750						
		* TIMOTHY STATES SUBTOTAL *	\$302,672.52	\$3,952.11	\$0.00	\$3,952.11		\$19.83
 <u>BROKER: JUAN LEWIS</u> 								
02/14/2018	***-**-535P - HENRY, ARLENE	NEW YORK 529 TRAILS	0.00	7.19	0.00	7.19	0.5	0.04
		BUY 0 Units @0.0000						
02/14/2018	***-**-535P - HENRY, ARLENE	NYA JPM 529 CONSV AGE-BA A	0.00	1.01	0.00	1.01	0.5	0.01
		BUY 0 Units @0.0000						
		* JUAN LEWIS SUBTOTAL *	\$0.00	\$8.20	\$0.00	\$8.20		\$0.05
 <u>BROKER: DAVID GRIFFITH</u> 								
02/05/2018	***-**-953I - DINITTO, NICOLE	AMERICAN GLOBAL BALANCED CL C	175.00	1.75	0.00	1.75	0.5	0.01
	ACCOUNT #: 00088593891	BUY 5 Units @32.4600						
02/06/2018	***-**-817I - WADSWORTH,	AMERICAN GLOBAL BALANCED CL C	110.00	1.10	0.00	1.10	0.5	0.01
	ACCOUNT #: 00067441742	BUY 3 Units @32.6000						
02/05/2018	***-**-953I - DINITTO, NICOLE	CAPITAL WORLD GROWTH AND INCOME FUN	175.00	1.75	0.00	1.75	0.5	0.01
	ACCOUNT #: 00088593891	BUY 3 Units @50.7400						
02/06/2018	***-**-788I - ALBARRAN, CARLOS	FUNDAMENTAL INVESTORS-C	100.00	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: 00085186008	BUY 2 Units @62.7300						
02/09/2018	***-**-599I - MCCARTHY, DONNA	MFS GLOBAL TOTAL RETURN FUND-B	9,999.99	400.00	0.00	400.00	0.5	2.00
	ACCOUNT #: LSR011894	BUY 549 Units @18.2200						
02/13/2018	***-**-169I - DUNN, CHRISTINE	MFS GLOBAL TOTAL RETURN FUND-B	11,500.00	460.00	0.00	460.00	0.5	2.30
	ACCOUNT #: LSR012417	BUY 625 Units @18.3900						
02/09/2018	***-**-510I - PEREZ, STACEY	NATIONAL GRID SPON ADR EACH REP 5 O	10,525.00	128.49	0.00	128.49	0.5	0.64
	ACCOUNT #: LSR011827	BUY 200 Units @52.6250						
02/14/2018	***-**-679I - MURSCH JR,	NEW YORK 529 TRAILS	0.00	4.52	0.00	4.52	0.5	0.02
	ACCOUNT #: 77041375401	BUY 0 Units @0.0000						
02/14/2018	***-**-541I - ORSINO, LISA	NEW YORK 529 TRAILS	0.00	3.54	0.00	3.54	0.5	0.02
	ACCOUNT #: 77049971001	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: DAVID GRIFFITH (continued)</u> 								
02/14/2018	***-**-745P - SCOTELLARO,	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.87	0.00	1.87	0.5	0.01
02/14/2018	***-**-225P - DAMSKY, CYNTHIA	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.62	0.00	3.62	0.5	0.02
02/14/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77172702501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.66	0.00	2.66	0.5	0.01
02/14/2018	***-**-467I - PICKARD, BRIAN ACCOUNT #: 77247884901	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.16	0.00	1.16	0.5	0.01
02/14/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 77296639001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.53	0.00	1.53	0.5	0.01
02/14/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: 77376247101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	9.65	0.00	9.65	0.5	0.05
02/14/2018	***-**-39IN - CLEARY, KAREN ACCOUNT #: 77678090301	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	4.96	0.00	4.96	0.5	0.02
02/14/2018	***-**-497I - MARTIN, KATHLEEN	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.42	0.00	1.42	0.5	0.01
02/14/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 77775742701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	8.14	0.00	8.14	0.5	0.04
02/09/2018	***-**-510I - PEREZ, STACEY ACCOUNT #: LSR011827	NORDIC AMERICAN TANKERS LIMITE COM BUY 2000 Units @1.9660	3,932.00	12.49	0.00	12.49	0.5	0.06
02/06/2018	***-**-469I - HAUCK, JUDITH ACCOUNT #: 00087147439	THE INCOME FUND OF AMERICA-A BUY 4 Units @23.8100	98.08	1.96	0.00	1.96	0.5	0.01
02/06/2018	***-**-469I - HAUCK, JUDITH ACCOUNT #: 00087147439	THE INCOME FUND OF AMERICA-A BUY 13 Units @23.8100	300.00	6.00	0.00	6.00	0.5	0.03
 * DAVID GRIFFITH SUBTOTAL * 			 \$36,915.07 	 \$1,057.61 	 \$0.00 	 \$1,057.61 		 \$5.30
 <u>BROKER: DENNIS CONNOR</u> 								
02/14/2018	***-**-4566 - HEALY, KATHLEEN ACCOUNT #: 77342237501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	19.01	0.00	19.01	0.5	0.10
02/14/2018	***-**-1832 - WEISMAN, DORIS	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	6.54	0.00	6.54	0.5	0.03
02/14/2018	***-**-7319 - ROTONDI, LAURA	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.16	0.00	1.16	0.5	0.01



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		* DENNIS CONNOR SUBTOTAL *	\$0.00	\$26.71	\$0.00	\$26.71		\$0.14
<u>BROKER: WILLIAM FRANCIS</u>								
02/09/2018	***-**-3023 - DEWEY, STEVEN ACCOUNT #: 00009247327	AIG STRATEGIC BOND FUND CLASS A BUY 0 Units @0.0000	0.00	2.72	0.00	2.72	0.5	0.01
02/05/2018	***-**-5076 - TORRES, JASON ACCOUNT #: 00088000759	AMCAP FUND-A BUY 37 Units @32.7900	1,200.00	19.20	0.00	19.20	0.5	0.10
02/05/2018	***-**-5076 - TORRES, JASON ACCOUNT #: 00088000759	AMERICAN BALANCED FUND-A BUY 44 Units @27.4800	1,200.00	19.20	0.00	19.20	0.5	0.10
02/05/2018	***-**-8325 - BUECHEL, ACCOUNT #: 00088244527	AMERICAN BALANCED FUND-A BUY 8 Units @27.4800	211.28	3.38	0.00	3.38	0.5	0.02
02/05/2018	***-**-8325 - BUECHEL, ACCOUNT #: 00088244527	AMERICAN BALANCED FUND-A BUY 8 Units @27.4800	211.28	3.38	0.00	3.38	0.5	0.02
02/06/2018	***-**-3672 - KAN, HEATHER ACCOUNT #: 04000740312	AMERICAN FUNDS 2040 TARGET DATE-A BUY 4 Units @16.2100	71.54	3.04	0.00	3.04	0.5	0.02
02/06/2018	***-**-3672 - KAN, HEATHER ACCOUNT #: 04000740312	AMERICAN FUNDS 2040 TARGET DATE-A BUY 4 Units @16.2100	71.54	3.04	0.00	3.04	0.5	0.02
02/05/2018	***-**-7033 - TURNER, BRYAN ACCOUNT #: 00089463498	AMERICAN FUNDS 2045 TARGET DATE-A BUY 56 Units @15.7900	882.17	14.11	0.00	14.11	0.5	0.07
02/05/2018	***-**-7033 - TURNER, BRYAN ACCOUNT #: 00089463498	AMERICAN FUNDS 2045 TARGET DATE-A BUY 17 Units @15.7900	264.63	4.23	0.00	4.23	0.5	0.02
02/05/2018	***-**-4858 - GODOFSKY, ACCOUNT #: 04000349982	AMERICAN FUNDS GROWTH PORTFOLIO A BUY 28 Units @18.6000	526.64	8.43	0.00	8.43	0.5	0.04
02/05/2018	***-**-4858 - GODOFSKY, ACCOUNT #: 04000349982	AMERICAN FUNDS GROWTH PORTFOLIO A BUY 12 Units @18.6000	225.72	3.61	0.00	3.61	0.5	0.02
02/05/2018	***-**-5076 - TORRES, JASON ACCOUNT #: 00088000759	AMERICAN MUTUAL FUND-A BUY 58 Units @41.1100	2,400.00	38.40	0.00	38.40	0.5	0.19
02/09/2018	***-**-7748 - MCCANNA, GLORIA ACCOUNT #: 00000613527	CALVERT 131582454 BUY 0 Units @0.0000	0.00	5.35	0.00	5.35	0.5	0.03
02/09/2018	***-**-7748 - MCCANNA, GLORIA ACCOUNT #: 00007223602	CALVERT 131618704 BUY 0 Units @0.0000	0.00	12.48	0.00	12.48	0.5	0.06
02/09/2018	***-**-7748 - MCCANNA, GLORIA ACCOUNT #: 00007223602	CALVERT 13161P805 BUY 0 Units @0.0000	0.00	5.28	0.00	5.28	0.5	0.03
02/09/2018	***-**-7748 - MCCANNA, GLORIA ACCOUNT #: 00000613527	CALVERT 13161T104 BUY 0 Units @0.0000	0.00	1.08	0.00	1.08	0.5	0.01
02/09/2018	***-**-7748 - MCCANNA, GLORIA ACCOUNT #: 00007223602	CALVERT 131649402 BUY 0 Units @0.0000	0.00	5.76	0.00	5.76	0.5	0.03



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: WILLIAM FRANCIS (continued)</u>								
02/09/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 131649865	0.00	4.04	0.00	4.04	0.5	0.02
	ACCOUNT #: 00007223602	BUY 0 Units @0.0000						
02/09/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT 131649881	0.00	4.10	0.00	4.10	0.5	0.02
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
02/09/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT CAPITAL ACCUMULATION - A	0.00	3.68	0.00	3.68	0.5	0.02
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
02/09/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT LONG-TERM INCOME FUND	0.00	6.56	0.00	6.56	0.5	0.03
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
02/09/2018	***-**-0162 - LANGTON,	CALVERT MODERATE ALLOCATION FUND-A	0.00	1.14	0.00	1.14	0.5	0.01
	ACCOUNT #: 00007226027	BUY 0 Units @0.0000						
02/09/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT SMALL CAP VALUE FUND	0.00	6.76	0.00	6.76	0.5	0.03
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
02/09/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT SOCIAL INVESTMENT FD EQUITY	0.00	4.69	0.00	4.69	0.5	0.02
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
02/09/2018	***-**-7748 - MCCANNA, GLORIA	CALVERT SOCIAL INVESTMENT FUND BOND	0.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
02/06/2018	***-**-6878 - KACUR, JUSTIN	CAPITAL WORLD GROWTH AND INCOME FUN	24.92	1.06	0.00	1.06	0.5	0.01
	ACCOUNT #: 00088824619	BUY 0 Units @54.5800						
02/06/2018	***-**-6878 - KACUR, JUSTIN	CAPITAL WORLD GROWTH AND INCOME FUN	132.92	5.65	0.00	5.65	0.5	0.03
	ACCOUNT #: 00088824619	BUY 2 Units @54.5800						
02/06/2018	***-**-6878 - KACUR, JUSTIN	EUROPACIFIC GROWTH FUND-A	44.31	1.88	0.00	1.88	0.5	0.01
	ACCOUNT #: 00088824619	BUY 1 Units @59.9300						
02/01/2018	***-**-0485 - WHALEN, STEPHEN	FEDERATED 31421R841	0.00	5.25	0.00	5.25	0.5	0.03
	ACCOUNT #: 06090486215	BUY 0 Units @0.0000						
02/01/2018	***-**-0485 - WHALEN, STEPHEN	FEDERATED MID CAP GROWTH STRATEGIES	0.00	3.54	0.00	3.54	0.5	0.02
	ACCOUNT #: 09999342087	BUY 0 Units @0.0000						
02/05/2018	***-**-5076 - TORRES, JASON	NEW PERSPECTIVE FUND-A	600.00	9.60	0.00	9.60	0.5	0.05
	ACCOUNT #: 00088000759	BUY 13 Units @44.5900						
02/05/2018	***-**-9064 - GUERRERO, NIGEL	NEW PERSPECTIVE FUND-A	63.38	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: 00088394220	BUY 1 Units @44.5900						
02/05/2018	***-**-9064 - GUERRERO, NIGEL	NEW PERSPECTIVE FUND-A	63.38	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: 00088394220	BUY 1 Units @44.5900						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: WILLIAM FRANCIS (continued) </u>								
02/14/2018	***-**-775P - RYAN, MARY	NEW YORK 529 TRAILS	0.00	2.39	0.00	2.39	0.5	0.01
	ACCOUNT #: 77321355401	BUY 0 Units @0.0000						
02/14/2018	***-**-775P - RYAN, MARY	NYA JPM 529 CONSV AGE-BA A	0.00	10.13	0.00	10.13	0.5	0.05
	ACCOUNT #: 77321355401	BUY 0 Units @0.0000						
02/05/2018	***-**-5076 - TORRES, JASON	SMALLCAP WORLD FUND-A	1,200.00	19.20	0.00	19.20	0.5	0.10
	ACCOUNT #: 00088000759	BUY 21 Units @57.0900						
02/09/2018	***-**-3023 - DEWEY, STEVEN	SUNAMERICA FOCUSED ALPHA GROWTH CL	0.00	5.57	0.00	5.57	0.5	0.03
	ACCOUNT #: 00009247327	BUY 0 Units @0.0000						
02/05/2018	***-**-5076 - TORRES, JASON	THE GROWTH FUND OF AMERICA-A	1,200.00	19.20	0.00	19.20	0.5	0.10
	ACCOUNT #: 00088000759	BUY 23 Units @51.6400						
02/05/2018	***-**-9064 - GUERRERO, NIGEL	THE GROWTH FUND OF AMERICA-A	84.51	1.35	0.00	1.35	0.5	0.01
	ACCOUNT #: 00088394220	BUY 2 Units @51.6400						
02/05/2018	***-**-9064 - GUERRERO, NIGEL	THE GROWTH FUND OF AMERICA-A	84.51	1.35	0.00	1.35	0.5	0.01
	ACCOUNT #: 00088394220	BUY 2 Units @51.6400						
02/06/2018	***-**-6878 - KACUR, JUSTIN	THE GROWTH FUND OF AMERICA-A	59.08	2.51	0.00	2.51	0.5	0.01
	ACCOUNT #: 00088824619	BUY 1 Units @54.2700						
02/05/2018	***-**-5076 - TORRES, JASON	THE INCOME FUND OF AMERICA-A	600.00	9.60	0.00	9.60	0.5	0.05
	ACCOUNT #: 00088000759	BUY 25 Units @23.5400						
02/06/2018	***-**-6878 - KACUR, JUSTIN	THE INCOME FUND OF AMERICA-A	29.54	1.26	0.00	1.26	0.5	0.01
	ACCOUNT #: 00088824619	BUY 1 Units @24.4300						
02/05/2018	***-**-5076 - TORRES, JASON	THE INVESTMENT COMPANY OF AMERICA-A	2,400.00	38.40	0.00	38.40	0.5	0.19
	ACCOUNT #: 00088000759	BUY 58 Units @41.2600						
02/05/2018	***-**-5076 - TORRES, JASON	THE NEW ECONOMY FUND-A	1,200.00	19.20	0.00	19.20	0.5	0.10
	ACCOUNT #: 00088000759	BUY 26 Units @46.7000						
02/09/2018	***-**-7748 - MCCANNA, GLORIA	WORLD VALUES INTERNATIONAL EQUITY -	0.00	12.58	0.00	12.58	0.5	0.06
	ACCOUNT #: 00000613527	BUY 0 Units @0.0000						
	* WILLIAM FRANCIS SUBTOTAL *		\$15,051.35	\$358.40	\$0.00	\$358.40		\$1.86
<u> BROKER: DEVIN BORN </u>								
02/14/2018	***-**-9897 - ZIMMERMAN, PAUL	BOND A	0.00	20.55	0.00	20.55	0.5	0.10
	ACCOUNT #: 00002034883	BUY 0 Units @0.0000						
02/01/2018	***-**-86IN - KOHL, BRIAN	FEDERATED EQUITY INCOME FUND	0.00	8.24	0.00	8.24	0.5	0.04
	ACCOUNT #: 09999344822	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: DEVIN BORN (continued) </u>								
02/01/2018	***-**-817J - ESHBACH, DANIEL	FEDERATED KAUFMAN SMALL-CAP FUND CL	0.00	8.11	0.00	8.11	0.5	0.04
	ACCOUNT #: 09999348808	BUY 0 Units @0.0000						
02/01/2018	***-**-817J - ESHBACH, DANIEL	FEDERATED KAUFMANN FUND	0.00	7.38	0.00	7.38	0.5	0.04
	ACCOUNT #: 09999348737	BUY 0 Units @0.0000						
02/02/2018	***-**-529J - KILLIAN, FRANCES	HARTFORD SM/MID CAP EQ & PORT MANAG	0.00	2.35	0.00	2.35	0.5	0.01
	ACCOUNT #: 00000772646	BUY 0 Units @0.0000						
02/14/2018	***-**-4330 - FRANTZ, LOIS	HIGH YIELD A	0.00	15.53	0.00	15.53	0.5	0.08
	ACCOUNT #: 00001455848	BUY 0 Units @0.0000						
02/14/2018	***-**-310I - NAUGLE, ANN	HIGH YIELD A	0.00	2.73	0.00	2.73	0.5	0.01
	ACCOUNT #: 00001860223	BUY 0 Units @0.0000						
02/14/2018	***-**-86IN - PATTON, JULIE	HIGH YIELD A	0.00	14.76	0.00	14.76	0.5	0.07
	ACCOUNT #: 00001999970	BUY 0 Units @0.0000						
02/14/2018	***-**-6725 - BARRETT, TRACIE	HIGH YIELD A	0.00	4.64	0.00	4.64	0.5	0.02
	ACCOUNT #: 00002174325	BUY 0 Units @0.0000						
02/14/2018	***-**-94IR - BARRETT, JAMES	HIGH YIELD A	0.00	4.10	0.00	4.10	0.5	0.02
	ACCOUNT #: 00002174327	BUY 0 Units @0.0000						
02/14/2018	***-**-9897 - ZIMMERMAN, PAUL	HIGH YIELD A	0.00	10.54	0.00	10.54	0.5	0.05
	ACCOUNT #: 00002176710	BUY 0 Units @0.0000						
02/14/2018	***-**-068I - SHOLLENBERGER,	HIGH YIELD A	0.00	2.88	0.00	2.88	0.5	0.01
	ACCOUNT #: 00002188879	BUY 0 Units @0.0000						
02/14/2018	***-**-0514 - WESSNER, ARLAN	HIGH YIELD A	0.00	7.34	0.00	7.34	0.5	0.04
	ACCOUNT #: 00002492869	BUY 0 Units @0.0000						
02/14/2018	***-**-68IN - DODDS, JOHN	HIGH YIELD A	0.00	13.72	0.00	13.72	0.5	0.07
	ACCOUNT #: 00777291985	BUY 0 Units @0.0000						
02/14/2018	***-**-03IN - COLLINS, CHRISTY	HIGH YIELD A	0.00	5.69	0.00	5.69	0.5	0.03
	ACCOUNT #: 00777296924	BUY 0 Units @0.0000						
02/14/2018	***-**-03IN - COLLINS, CHRISTY	HIGH YIELD A	0.00	5.76	0.00	5.76	0.5	0.03
	ACCOUNT #: 00777296925	BUY 0 Units @0.0000						
02/14/2018	***-**-4803 - HERTZOG, MICHAEL	HIGH YIELD A	0.00	8.05	0.00	8.05	0.5	0.04
	ACCOUNT #: 00777305368	BUY 0 Units @0.0000						
02/14/2018	***-**-86IN - PATTON, JULIE	HIGH YIELD B	0.00	5.81	0.00	5.81	0.5	0.03
	ACCOUNT #: 00001858344	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: DEVIN BORN (continued)</u>								
02/14/2018	***-**-9736 - SINDACO, LINDA	HIGH YIELD B	0.00	2.60	0.00	2.60	0.5	0.01
	ACCOUNT #: 00002001832	BUY 0 Units @0.0000						
02/14/2018	***-**-03IN - COLLINS, CHRISTY	HIGH YIELD B	0.00	2.30	0.00	2.30	0.5	0.01
	ACCOUNT #: 00005979470	BUY 0 Units @0.0000						
02/14/2018	***-**-03IN - COLLINS, CHRISTY	HIGH YIELD B	0.00	2.31	0.00	2.31	0.5	0.01
	ACCOUNT #: 00005979471	BUY 0 Units @0.0000						
02/14/2018	***-**-68IN - DODDS, JOHN	HIGH YIELD B	0.00	4.72	0.00	4.72	0.5	0.02
	ACCOUNT #: 00006280812	BUY 0 Units @0.0000						
02/14/2018	***-**-0738 - WESSNER, TODD	JOHN HANCOCK DISCIPLINED VALUE A	0.00	19.00	0.00	19.00	0.5	0.10
	ACCOUNT #: 00002492630	BUY 0 Units @0.0000						
02/14/2018	***-**-514J - GEHRINGER,	JOHN HANCOCK NEW OPPORTUNITIES CL A	0.00	3.45	0.00	3.45	0.5	0.02
	ACCOUNT #: 00777222058	BUY 0 Units @0.0000						
02/14/2018	***-**-514J - GEHRINGER,	JOHN HANCOCK NEW OPPORTUNITIES CL A	0.00	5.12	0.00	5.12	0.5	0.03
	ACCOUNT #: 00777236470	BUY 0 Units @0.0000						
02/14/2018	***-**-2833 - SCHWEMMER, JOHN	JOHN HANCOCK NEW OPPORTUNITIES CL A	0.00	23.06	0.00	23.06	0.5	0.12
	ACCOUNT #: 00777288968	BUY 0 Units @0.0000						
02/14/2018	***-**-514J - GEHRINGER,	JOHN HANCOCK NEW OPPORTUNITIES CL A	0.00	1.28	0.00	1.28	0.5	0.01
	ACCOUNT #: 00777290682	BUY 0 Units @0.0000						
02/14/2018	***-**-514J - GEHRINGER,	LARGE CAP EQUITY A	0.00	4.60	0.00	4.60	0.5	0.02
	ACCOUNT #: 00002049765	BUY 0 Units @0.0000						
02/14/2018	***-**-10IN - YAKAITIS, JOSEPH	LARGE CAP EQUITY A	0.00	1.66	0.00	1.66	0.5	0.01
	ACCOUNT #: 00777289121	BUY 0 Units @0.0000						
02/14/2018	***-**-514J - GEHRINGER,	LARGE CAP EQUITY A	0.00	1.45	0.00	1.45	0.5	0.01
	ACCOUNT #: 00777290844	BUY 0 Units @0.0000						
02/14/2018	***-**-3321 - WILLIAMS, EDWARD	LIFESTYLE MODERATE PORTFOLIO A	0.00	1.41	0.00	1.41	0.5	0.01
	ACCOUNT #: 00002410404	BUY 0 Units @0.0000						
02/12/2018	***-**-14IN - WHITE, DEBORAH	MEDTRONIC PLC USD0.0001 ISIN #IE00B	8,037.00	80.65	0.00	80.65	0.5	0.40
	ACCOUNT #: LSM000141	BUY 100 Units @80.3700						
02/12/2018	***-**-14IN - WHITE, DEBORAH	MEDTRONIC PLC USD0.0001 ISIN #IE00B	1,928.88	19.35	0.00	19.35	0.5	0.10
	ACCOUNT #: LSM000141	BUY 24 Units @80.3700						
02/14/2018	***-**-4803 - HERTZOG, MICHAEL	RETIREMENT LIVING THROUGH 2040 PORT	0.00	4.62	0.00	4.62	0.5	0.02
	ACCOUNT #: 00001712975	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: DEVIN BORN (continued)</u>								
02/14/2018	***-**-514J - GEHRINGER, ACCOUNT #: 00777224541	STRATEGIC GROWTH A BUY 0 Units @0.0000	0.00	2.62	0.00	2.62	0.5	0.01
02/02/2018	***-**-529J - KILLIAN, FRANCES ACCOUNT #: 00000772646	THE HARTFORD CAPITAL APPRECIATION F BUY 0 Units @0.0000	0.00	2.75	0.00	2.75	0.5	0.01
02/12/2018	***-**-86IN - PATTON, JULIE ACCOUNT #: LSM000147	VANGUARD INDEX FDS VANGUARD TOTAL S BUY 50 Units @135.3500	6,767.50	15.00	0.00	15.00	0.5	0.08
* DEVIN BORN SUBTOTAL *			\$16,733.38	\$346.13	\$0.00	\$346.13		\$1.73
<u>BROKER: ROBERT PEDERSEN</u>								
02/05/2018	***-**-8197 - TERHERST, ACCOUNT #: 000000000621250	F/T MODERATE TARGET FD - CLASS C BUY 8 Units @15.6400	117.50	1.18	0.00	1.18	0.5	0.01
02/05/2018	***-**-3998 - UTLER, STEFAN ACCOUNT #: 000000000628457	F/T MODERATE TARGET FD - CLASS C BUY 10 Units @15.6400	150.00	1.50	0.00	1.50	0.5	0.01
02/05/2018	***-**-8197 - TERHERST, ACCOUNT #: 000000000445128	FRK CSV ALC FD CL C BUY 8 Units @14.5600	117.50	1.18	0.00	1.18	0.5	0.01
02/05/2018	***-**-3998 - UTLER, STEFAN ACCOUNT #: 000000000449621	FRK CSV ALC FD CL C BUY 10 Units @14.5600	150.00	1.50	0.00	1.50	0.5	0.01
02/12/2018	***-**-2709 - PEDERSEN, ROBERT ACCOUNT #: 5488238	PRINCIPAL 74254L168 BUY 0 Units @0.0000	6,266.91	1.57	0.00	1.57	0.5	0.01
* ROBERT PEDERSEN SUBTOTAL *			\$6,801.91	\$6.93	\$0.00	\$6.93		\$0.05
<u>BROKER: SAMUEL BARBER</u>								
02/09/2018	***-**-20IO - BARBER, SAMUEL ACCOUNT #: LSF000307	APPLE INC UNSOLICITED ORDER BUY 8 Units @152.0000	1,216.00	41.18	0.00	41.18	0.5	0.21
02/14/2018	***-**-7606 - DUFFY, RYAN	CHET 529 BUY 0 Units @0.0000	1,250.00	12.56	0.00	12.56	0.5	0.06
02/14/2018	***-**-5290 - ADOVASIO, LUKE	CHET ADVISOR 529 TRAILS BUY 0 Units @0.0000	0.00	11.37	0.00	11.37	0.5	0.06
02/14/2018	***-**-7606 - DUFFY, RYAN	CHET ADVISOR 529 TRAILS BUY 0 Units @0.0000	0.00	20.18	0.00	20.18	0.5	0.10
02/14/2018	***-**-0853 - BOYER, THOMAS ACCOUNT #: 77467864401	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.71	0.00	1.71	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: SAMUEL BARBER (continued)</u>								
02/14/2018	***-**-20IO - BARBER, SAMUEL	WMIH CORP	2,187.50	88.51	0.00	88.51	0.5	0.44
	ACCOUNT #: LSF000307	SELL 1750 Units @1.2500						
		* SAMUEL BARBER SUBTOTAL *	\$4,653.50	\$175.51	\$0.00	\$175.51		\$0.88
<u>BROKER: GARRETT MORETZ</u>								
02/16/2018	***-**-29FB - ANTHONY, APRIL	EQIS ADVISOR FEES	0.00	79.78	0.00	79.78	0.5	0.40
		BUY 1 Units @0.0000						
02/16/2018	***-**-86FB - ARRINGTON, ROGER	EQIS ADVISOR FEES	0.00	136.30	0.00	136.30	0.5	0.68
		BUY 1 Units @0.0000						
02/16/2018	***-**-71FB - BEDDOW, DONALD	EQIS ADVISOR FEES	0.00	171.12	0.00	171.12	0.5	0.86
		BUY 1 Units @0.0000						
02/16/2018	***-**-40FB - BOHNAKER, ANGELA	EQIS ADVISOR FEES	0.00	43.54	0.00	43.54	0.5	0.22
		BUY 1 Units @0.0000						
02/16/2018	***-**-95FB - BROWN, SUSAN	EQIS ADVISOR FEES	0.00	83.65	0.00	83.65	0.5	0.42
		BUY 1 Units @0.0000						
02/16/2018	***-**-771I - CARPENTIER,	EQIS ADVISOR FEES	0.00	27.11	0.00	27.11	0.5	0.14
		BUY 1 Units @0.0000						
02/16/2018	***-**-10FB - CLINGON, BILLY	EQIS ADVISOR FEES	0.00	113.39	0.00	113.39	0.5	0.57
		BUY 1 Units @0.0000						
02/16/2018	***-**-58FB - CLYMER, DEFOREST	EQIS ADVISOR FEES	0.00	9.39	0.00	9.39	0.5	0.05
		BUY 1 Units @0.0000						
02/16/2018	***-**-41FB - COOPER, JOHN	EQIS ADVISOR FEES	0.00	32.87	0.00	32.87	0.5	0.16
		BUY 1 Units @0.0000						
02/16/2018	***-**-01FB - DAGENHART, JAMES	EQIS ADVISOR FEES	0.00	100.58	0.00	100.58	0.5	0.50
		BUY 1 Units @0.0000						
02/16/2018	***-**-21FB - DAVIS, SIMONE	EQIS ADVISOR FEES	0.00	240.99	0.00	240.99	0.5	1.20
		BUY 1 Units @0.0000						
02/16/2018	***-**-26FB - FARZALO, STEVE	EQIS ADVISOR FEES	0.00	15.02	0.00	15.02	0.5	0.08
		BUY 1 Units @0.0000						
02/16/2018	***-**-85FB - FARZALO, TAMAR	EQIS ADVISOR FEES	0.00	15.11	0.00	15.11	0.5	0.08
		BUY 1 Units @0.0000						
02/16/2018	***-**-34FB - FOWLER, MILTON	EQIS ADVISOR FEES	0.00	145.50	0.00	145.50	0.5	0.73
		BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: GARRETT MORETZ (continued)</u>								
02/16/2018	***-**-39FB - GRINDLE, ROBERT	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	130.89	0.00	130.89	0.5	0.65
02/16/2018	***-**-77FB - HARRIS,	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	185.98	0.00	185.98	0.5	0.93
02/16/2018	***-**-48FB - HEFNER, EULA	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	24.19	0.00	24.19	0.5	0.12
02/16/2018	***-**-03FB - HINES, WALTER	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	21.65	0.00	21.65	0.5	0.11
02/16/2018	***-**-84FB - HOLDER, DERRICK	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	170.59	0.00	170.59	0.5	0.85
02/16/2018	***-**-98FB - HUNTER, JEFFREY	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	18.11	0.00	18.11	0.5	0.09
02/16/2018	***-**-27FB - KULIKOWSKI, SARA	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	11.57	0.00	11.57	0.5	0.06
02/16/2018	***-**-94FB - MARQUIS, ALAN	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	42.02	0.00	42.02	0.5	0.21
02/16/2018	***-**-65FB - MCINTYRE, SHARON	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	138.75	0.00	138.75	0.5	0.69
02/16/2018	***-**-8564 - MERLO, RALPH	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	48.12	0.00	48.12	0.5	0.24
02/16/2018	***-**-96FB - MERLO, JANE	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	52.51	0.00	52.51	0.5	0.26
02/16/2018	***-**-59FB - MERRILL, SARA	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	24.84	0.00	24.84	0.5	0.12
02/16/2018	***-**-58FB - NELSON-GAINES,	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	13.49	0.00	13.49	0.5	0.07
02/16/2018	***-**-06FB - PARSONS, CLARE	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	102.20	0.00	102.20	0.5	0.51
02/16/2018	***-**-77FB - PECK, GORDON	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	34.45	0.00	34.45	0.5	0.17
02/16/2018	***-**-98FB - PFYFFER, ALBERT	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	42.71	0.00	42.71	0.5	0.21



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: GARRETT MORETZ (continued)</u>								
02/16/2018	***-**-60FB - PLANK, MICHAEL	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	123.23	0.00	123.23	0.5	0.62
02/16/2018	***-**-43FB - RODES, KENNETH	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	89.96	0.00	89.96	0.5	0.45
02/16/2018	***-**-13FB - RUSSELL, MARK	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	33.31	0.00	33.31	0.5	0.17
02/16/2018	***-**-52FB - SCHNABEL,	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	71.84	0.00	71.84	0.5	0.36
02/16/2018	***-**-66FB - WHITE, BARBARA	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	5.78	0.00	5.78	0.5	0.03
02/16/2018	***-**-72FB - YOUNG, TAMMY	EQIS ADVISOR FEES BUY 1 Units @0.0000	0.00	174.69	0.00	174.69	0.5	0.87
* GARRETT MORETZ SUBTOTAL *			\$0.00	\$2,775.23	\$0.00	\$2,775.23		\$13.88
<u>BROKER: ALFREDO BALLESTEROS</u>								
02/05/2018	***-**-9952 - NGUYEN, VICKIE ACCOUNT #: 04000496381	AMERICAN BALANCED FUND-529A BUY 2 Units @28.5200	50.00	2.50	0.00	2.50	0.5	0.01
02/05/2018	***-**-9952 - NGUYEN, VICKIE ACCOUNT #: 04000496355	AMERICAN BALANCED FUND-529A BUY 3 Units @28.5200	75.00	3.75	0.00	3.75	0.5	0.02
02/05/2018	***-**-8240 - BREWER, LUCINDA ACCOUNT #: 00087834785	EUROPACIFIC GROWTH FUND-A BUY 2 Units @59.3200	100.00	4.25	0.00	4.25	0.5	0.02
02/05/2018	***-**-5049 - CRUZ, JOSE ACCOUNT #: 00087905159	EUROPACIFIC GROWTH FUND-A BUY 0 Units @59.7900	25.00	1.25	0.00	1.25	0.5	0.01
02/05/2018	***-**-5049 - CRUZ, JOSE ACCOUNT #: 00087905262	EUROPACIFIC GROWTH FUND-A BUY 1 Units @59.7900	37.50	1.88	0.00	1.88	0.5	0.01
02/05/2018	***-**-9952 - NGUYEN, VICKIE ACCOUNT #: 04000496381	NEW PERSPECTIVE FUND-529A BUY 1 Units @45.8100	50.00	2.50	0.00	2.50	0.5	0.01
02/05/2018	***-**-9952 - NGUYEN, VICKIE ACCOUNT #: 04000496355	NEW PERSPECTIVE FUND-529A BUY 2 Units @45.8100	75.00	3.75	0.00	3.75	0.5	0.02
02/05/2018	***-**-8240 - BREWER, LUCINDA ACCOUNT #: 00087834785	SMALLCAP WORLD FUND-A BUY 2 Units @58.8900	100.00	4.25	0.00	4.25	0.5	0.02
02/05/2018	***-**-5049 - CRUZ, JOSE ACCOUNT #: 00087905262	SMALLCAP WORLD FUND-A BUY 1 Units @59.3600	37.50	1.88	0.00	1.88	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: ALFREDO BALLESTEROS (continued) </u>								
02/05/2018	***-**-5049 - CRUZ, JOSE	SMALLCAP WORLD FUND-A	25.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 00087905159	BUY 0 Units @59.3600						
02/05/2018	***-**-9952 - NGUYEN, VICKIE	THE GROWTH FUND OF AMERICA-529A	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 04000496381	BUY 1 Units @53.1400						
02/05/2018	***-**-9952 - NGUYEN, VICKIE	THE GROWTH FUND OF AMERICA-529A	75.00	3.75	0.00	3.75	0.5	0.02
	ACCOUNT #: 04000496355	BUY 1 Units @53.1400						
02/05/2018	***-**-8240 - BREWER, LUCINDA	THE GROWTH FUND OF AMERICA-A	100.00	4.25	0.00	4.25	0.5	0.02
	ACCOUNT #: 00087834785	BUY 2 Units @53.2700						
02/05/2018	***-**-5049 - CRUZ, JOSE	THE GROWTH FUND OF AMERICA-A	37.50	1.88	0.00	1.88	0.5	0.01
	ACCOUNT #: 00087905262	BUY 1 Units @53.7000						
02/05/2018	***-**-5049 - CRUZ, JOSE	THE GROWTH FUND OF AMERICA-A	25.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 00087905159	BUY 0 Units @53.7000						
02/05/2018	***-**-9952 - NGUYEN, VICKIE	THE INVESTMENT COMPANY OF AMERICA-5	50.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 04000496381	BUY 1 Units @42.7900						
02/05/2018	***-**-9952 - NGUYEN, VICKIE	THE INVESTMENT COMPANY OF AMERICA-5	75.00	3.75	0.00	3.75	0.5	0.02
	ACCOUNT #: 04000496355	BUY 2 Units @42.7900						
02/05/2018	***-**-8240 - BREWER, LUCINDA	THE INVESTMENT COMPANY OF AMERICA-A	100.00	4.25	0.00	4.25	0.5	0.02
	ACCOUNT #: 00087834785	BUY 2 Units @42.5600						
02/05/2018	***-**-5049 - CRUZ, JOSE	THE INVESTMENT COMPANY OF AMERICA-A	37.50	1.88	0.00	1.88	0.5	0.01
	ACCOUNT #: 00087905262	BUY 1 Units @42.9000						
02/05/2018	***-**-5049 - CRUZ, JOSE	THE INVESTMENT COMPANY OF AMERICA-A	25.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 00087905159	BUY 1 Units @42.9000						
* ALFREDO BALLESTEROS SUBTOTAL *			\$1,150.00	\$54.52	\$0.00	\$54.52		\$0.28
*** OVERRIDE TRANSACTIONS TOTAL ***			\$1,304,454.56	\$49,582.59	\$0.00	\$49,582.59		\$248.27



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BROKER COMMISSION TOTALS					
				Broker Transactions	\$0.00
				Split Transactions	\$0.00
				Override Transactions	\$248.27
				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	\$248.27
				Year-to-date Earnings	\$0.00