



COMMISSION STATEMENT

March 05, 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>								
02/21/2018	***-**-6762 - MISHLANIE, ACCOUNT #: 00551362260	37252M108 BUY 5 Units @21.2800	115.00	5.75	0.00	5.75	88.0	5.06
02/21/2018	***-**-6762 - MISHLANIE, ACCOUNT #: 00551362260	37252M108 BUY 5 Units @21.2800	115.00	5.75	0.00	5.75	88.0	5.06
02/28/2018	***-**-86IO - STRUMPFLER, MARK ACCOUNT #: LSR012376	AMERICAN FUNDS MORTGAGE FD CL C BUY 153 Units @9.8100	1,500.00	33.00	18.00	15.00	88.0	13.20
02/21/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	AMERICAN GLOBAL BALANCED CL C BUY 3 Units @32.6500	110.00	1.10	0.00	1.10	88.0	0.97
02/28/2018	***-**-698I - FEISTHAMEL, ACCOUNT #: LSR011996	AMERICAN GLOBAL BALANCED CL C BUY 491 Units @32.5900	16,000.00	178.00	18.00	160.00	88.0	140.80
02/28/2018	***-**-86IO - STRUMPFLER, MARK ACCOUNT #: LSR012376	AMERICAN GLOBAL BALANCED CL C BUY 690 Units @32.5900	22,500.01	243.00	18.00	225.00	88.0	198.00
02/26/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03222207458	CAPITAL APPRECIATION C BUY 0 Units @0.0000	6.67	0.07	0.00	0.07	88.0	0.06
02/21/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 08370389048	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
02/22/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 08370720038	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
02/22/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 08370450769	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	5.44	0.05	0.00	0.05	88.0	0.04
02/26/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 08370450780	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	10.02	0.10	0.00	0.10	88.0	0.09
02/27/2018	***-**-80IN - GRIFFITH, DAVID ACCOUNT #: LSF000286	EUROPACIFIC GROWTH FUND-A SELL 52 Units @57.8500	2,999.99	18.00	18.00	0.00	88.0	0.00
02/21/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @62.9100	100.00	1.00	0.00	1.00	88.0	0.88
02/21/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02171604031	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	16.00	0.16	0.00	0.16	88.0	0.14
02/22/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02171646348	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
02/26/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02171646359	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	6.67	0.07	0.00	0.07	88.0	0.06



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
02/28/2018	***-**-86IO - STRUMPFLER, MARK	LORD ABBETT SHORT DURATION INCOME C	1,250.00	30.50	18.00	12.50	88.0	11.00
	ACCOUNT #: LSR012376	BUY 295 Units @4.2400						
02/20/2018	***-**-686I - STRUMPFLER, MARK	MFS GLOBAL TOTAL RETURN FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00060352385	BUY 4 Units @18.5700						
02/21/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER CUSIP 68385X208	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100011925	BUY 0 Units @0.0000						
02/21/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER DEV MARKETS FD CLASS C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 07872241470	BUY 0 Units @0.0000						
02/22/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER DEV MARKETS FD CLASS C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 07871984301	BUY 0 Units @0.0000						
02/21/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER EMERG MKTS LOCAL DEBT F	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100064439	BUY 0 Units @0.0000						
02/21/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER GLBL HIGH YIELD FUND C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100025895	BUY 0 Units @0.0000						
02/22/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER GLBL REAL ESTATE FUND C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00100018140	BUY 0 Units @0.0000						
02/22/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER GLOBAL CLASS C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 03322653871	BUY 0 Units @0.0000						
02/26/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	3.34	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
02/21/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER GLOBAL VALUE FUND CL C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 06890080641	BUY 0 Units @0.0000						
02/21/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER INTERNATIONAL DIVERSIFI	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 01970799227	BUY 0 Units @0.0000						
02/22/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER INTERNATIONAL DIVERSIFI	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 01971001154	BUY 0 Units @0.0000						
02/22/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER INTERNATIONAL DIVERSIFI	8.14	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 01970849112	BUY 0 Units @0.0000						
02/26/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	13.35	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						
02/21/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER RISING DIVIDENDS FUND C	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 02270806520	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
02/22/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER RISING DIVIDENDS FUND C	8.14	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 02270899492	BUY 0 Units @0.0000						
02/26/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	13.35	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
02/23/2018	***-**-369J - DAVIS, BRUCE	PUTNAM UTILITIES GROWTH AND INCOME	12,795.39	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSR011027	SELL 976 Units @13.1100						
02/12/2018	***-**-522I - RIEBEN, HENRY	PUTNAM CAPITAL SPECTRUM FUND CL C	18.81	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 00551360517	BUY 1 Units @31.9200						
02/12/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL C	18.80	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 00551360517	BUY 1 Units @34.4000						
02/12/2018	***-**-522I - RIEBEN, HENRY	PUTNAM GLOBAL UTILITIES CL C	18.81	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 00551360517	BUY 1 Units @12.5900						
02/21/2018	***-**-58IN - CADY, GAIL	QUEST BALANCED FUND C	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 02592245914	BUY 0 Units @0.0000						
02/21/2018	***-**-58IN - CADY, GAIL	QUEST INTERNATIONAL VALUE FUND, INC	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02560282953	BUY 0 Units @0.0000						
02/26/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	6.67	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
02/21/2018	***-**-58IN - CADY, GAIL	REAL ESTATE FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 05920265584	BUY 0 Units @0.0000						
02/22/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 05920286880	BUY 0 Units @0.0000						
02/26/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	6.67	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
02/22/2018	***-**-0457 - STAGLIANO, GINA	SENIOR FLOATING RATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02931758372	BUY 0 Units @0.0000						
02/21/2018	***-**-58IN - CADY, GAIL	SMALL- & MID- CAP VALUE FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02531131966	BUY 0 Units @0.0000						
02/22/2018	***-**-0457 - STAGLIANO, GINA	SMALL- & MID- CAP VALUE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02531164735	BUY 0 Units @0.0000						
02/27/2018	***-**-80IN - GRIFFITH, DAVID	SMALLCAP WORLD FUND-A	2,499.98	18.00	18.00	0.00	88.0	0.00
	ACCOUNT #: LSF000286	SELL 44 Units @57.0200						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
02/22/2018	***-**-7473 - SCOTELLARO,	STRATEGIC INCOME FUND C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 02322945965	BUY 0 Units @0.0000						
02/27/2018	***-**-80IN - GRIFFITH, DAVID	THE GROWTH FUND OF AMERICA-A	2,499.98	1.00	18.00	-17.00	100.0	-17.00
	ACCOUNT #: LSF000286	SELL 48 Units @52.6300						
* MUTUAL FUNDS SUBTOTAL *			\$63,172.75	\$564.19	\$144.00	\$420.19		\$367.70
PRODUCT CATEGORY: STOCKS								
02/28/2018	***-**-88IN - PICKARD, ELAINE	BP PLC SPONS ADR	4,439.21	77.49	17.26	60.23	88.0	53.00
	ACCOUNT #: LSR010957	SELL 113 Units @39.2850						
02/22/2018	***-**-361J - ALOISIO,	DENBURY RES INC DEL COM USD0.001	4,740.00	87.49	55.00	32.49	88.0	28.59
	ACCOUNT #: LSR010864	SELL 2000 Units @2.3700						
02/22/2018	***-**-76IN - BOSHART-LOWE,	NATIONAL GRID SPON ADR EACH REP 5 O	5,298.90	77.49	17.00	60.49	88.0	53.23
	ACCOUNT #: LSR011840	BUY 100 Units @52.9890						
02/28/2018	***-**-86IO - STRUMPFLER, MARK	NATIONAL GRID SPON ADR EACH REP 5 O	5,176.00	77.49	17.00	60.49	88.0	53.23
	ACCOUNT #: LSR012376	BUY 100 Units @51.7600						
02/22/2018	***-**-361J - ALOISIO,	PETROLEO BRASILEIRO SA PETROBRAS SP	5,100.00	99.99	23.00	76.99	88.0	67.75
	ACCOUNT #: LSR010864	SELL 400 Units @12.7500						
02/23/2018	***-**-361J - ALOISIO,	PETROLEO BRASILEIRO SA PETROBRAS SP	3,232.50	59.99	20.00	39.99	88.0	35.19
	ACCOUNT #: LSR010886	SELL 250 Units @12.9300						
* STOCKS SUBTOTAL *			\$27,986.61	\$479.94	\$149.26	\$330.68		\$290.99
PRODUCT CATEGORY: VARIABLE ANNUITIES								
02/28/2018	***-**-077O - GAUTHIER, LOUIS	MASS MUTUAL VA	0.00	4.33	0.00	4.33	88.0	3.81
	ACCOUNT #: 828693	BUY 1 Units @0.0000						
02/28/2018	***-**-80IN - GRIFFITH, DAVID	MASS MUTUAL VA	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: 834388	BUY 1 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$4.88	\$0.00	\$4.88		\$4.29
PRODUCT CATEGORY: 529 PLAN								
03/05/2018	***-**-0862 - REDMOND, EILEEN	NYA JPM 529 MOD AGE-BASED A	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 77172702501	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$75.00	\$0.75	\$0.00	\$0.75		\$0.66



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/12/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	18.81	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 00551360517	BUY 1 Units @19.6600						
03/05/2018	***-**-804I - RIEBEN, ANNE	RESOURCE REAL ESTATE-NFS	0.00	7.02	0.00	7.02	88.0	6.18
	ACCOUNT #: LSR010877	BUY 1 Units @0.0000						
03/05/2018	***-**-423I - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	6.82	0.00	6.82	88.0	6.00
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
03/05/2018	***-**-423J - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	7.46	0.00	7.46	88.0	6.56
	ACCOUNT #: LSR010893	BUY 1 Units @0.0000						
03/05/2018	***-**-077O - GAUTHIER, LOUIS	RESOURCE REAL ESTATE-NFS	0.00	6.35	0.00	6.35	88.0	5.59
	ACCOUNT #: LSR010905	BUY 1 Units @0.0000						
03/05/2018	***-**-924J - FISH, ROY	RESOURCE REAL ESTATE-NFS	0.00	8.86	0.00	8.86	88.0	7.80
	ACCOUNT #: LSR010906	BUY 1 Units @0.0000						
03/05/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	9.57	0.00	9.57	88.0	8.42
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
03/05/2018	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	9.57	0.00	9.57	88.0	8.42
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
03/05/2018	***-**-425I - PERRITANO,	RESOURCE REAL ESTATE-NFS	0.00	3.21	0.00	3.21	88.0	2.82
	ACCOUNT #: LSR010922	BUY 1 Units @0.0000						
03/05/2018	***-**-231J - MISHLANIE JR,	RESOURCE REAL ESTATE-NFS	0.00	4.51	0.00	4.51	88.0	3.97
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
03/05/2018	***-**-522J - RIEBEN, HENRY	RESOURCE REAL ESTATE-NFS	0.00	16.83	0.00	16.83	88.0	14.81
	ACCOUNT #: LSR010938	BUY 1 Units @0.0000						
03/05/2018	***-**-467I - PICKARD, BRIAN	RESOURCE REAL ESTATE-NFS	0.00	6.35	0.00	6.35	88.0	5.59
	ACCOUNT #: LSR010944	BUY 1 Units @0.0000						
03/05/2018	***-**-24TR - SCOTELLARO, L	RESOURCE REAL ESTATE-NFS	0.00	11.11	0.00	11.11	88.0	9.78
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
03/05/2018	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	6.38	0.00	6.38	88.0	5.61
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
03/05/2018	***-**-474J - HAGAN JR,	RESOURCE REAL ESTATE-NFS	0.00	9.53	0.00	9.53	88.0	8.39
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
03/05/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	7.02	0.00	7.02	88.0	6.18
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/05/2018	***-**-555I - SPAETH, CARLA ACCOUNT #: LSR011016	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
03/05/2018	***-**-609J - CADY, PATRICK ACCOUNT #: LSR011123	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.04	0.00	2.04	88.0	1.80
03/05/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	8.24	0.00	8.24	88.0	7.25
03/05/2018	***-**-05IN - HULL, JEFFERY ACCOUNT #: LSR011187	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	7.98	0.00	7.98	88.0	7.02
03/05/2018	***-**-41TR - DAMSKY, BARRY ACCOUNT #: LSR011340	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.47	0.00	4.47	88.0	3.93
03/05/2018	***-**-05IR - HULL, JEFF ACCOUNT #: LSR011534	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	5.14	0.00	5.14	88.0	4.52
03/05/2018	***-**-901O - DRUMM, LOIS ACCOUNT #: LSR011609	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.99	0.00	6.99	88.0	6.15
03/05/2018	***-**-49IN - SCOTELLARO III, ACCOUNT #: LSR011680	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.83	0.00	3.83	88.0	3.37
03/05/2018	***-**-90IN - PICKARD, KAREN ACCOUNT #: LSR011687	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
03/05/2018	***-**-61IN - FILEY, JOHN ACCOUNT #: LSR011723	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	7.27	0.00	7.27	88.0	6.40
03/05/2018	***-**-03IN - BOSHART, PEGGY ACCOUNT #: LSR011744	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.23	0.00	4.23	88.0	3.72
03/05/2018	***-**-03IR - BOSHART, PEGGY ACCOUNT #: LSR011749	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.63	0.00	2.63	88.0	2.31
03/05/2018	***-**-718J - LOWE, GREGORY ACCOUNT #: LSR011914	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.84	0.00	4.84	88.0	4.26
03/05/2018	***-**-14TR - THE KALAMAS, ACCOUNT #: LSR012226	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.83	0.00	3.83	88.0	3.37
03/05/2018	***-**-804I - RIEBEN, ANNE ACCOUNT #: LSR010877	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.34	0.00	2.34	88.0	2.06
03/05/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.27	0.00	2.27	88.0	2.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/05/2018	***-**-423J - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	2.49	0.00	2.49	88.0	2.19
	ACCOUNT #: LSR010893	BUY 1 Units @0.0000						
03/05/2018	***-**-0770 - GAUTHIER, LOUIS	RESOURCE REAL ESTATE-NFS	0.00	2.12	0.00	2.12	88.0	1.87
	ACCOUNT #: LSR010905	BUY 1 Units @0.0000						
03/05/2018	***-**-924J - FISH, ROY	RESOURCE REAL ESTATE-NFS	0.00	2.95	0.00	2.95	88.0	2.60
	ACCOUNT #: LSR010906	BUY 1 Units @0.0000						
03/05/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	3.19	0.00	3.19	88.0	2.81
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
03/05/2018	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	3.19	0.00	3.19	88.0	2.81
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
03/05/2018	***-**-425I - PERRITANO,	RESOURCE REAL ESTATE-NFS	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: LSR010922	BUY 1 Units @0.0000						
03/05/2018	***-**-231J - MISHLANIE JR,	RESOURCE REAL ESTATE-NFS	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
03/05/2018	***-**-522J - RIEBEN, HENRY	RESOURCE REAL ESTATE-NFS	0.00	5.61	0.00	5.61	88.0	4.94
	ACCOUNT #: LSR010938	BUY 1 Units @0.0000						
03/05/2018	***-**-467I - PICKARD, BRIAN	RESOURCE REAL ESTATE-NFS	0.00	2.12	0.00	2.12	88.0	1.87
	ACCOUNT #: LSR010944	BUY 1 Units @0.0000						
03/05/2018	***-**-24TR - SCOTELLARO, L	RESOURCE REAL ESTATE-NFS	0.00	3.70	0.00	3.70	88.0	3.26
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
03/05/2018	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
03/05/2018	***-**-474J - HAGAN JR,	RESOURCE REAL ESTATE-NFS	0.00	3.18	0.00	3.18	88.0	2.80
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
03/05/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	2.34	0.00	2.34	88.0	2.06
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
03/05/2018	***-**-555I - SPAETH, CARLA	RESOURCE REAL ESTATE-NFS	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: LSR011016	BUY 1 Units @0.0000						
03/05/2018	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
03/05/2018	***-**-698J - FEISTHAMEL, MR	RESOURCE REAL ESTATE-NFS	0.00	2.75	0.00	2.75	88.0	2.42
	ACCOUNT #: LSR011137	BUY 1 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)								
03/05/2018	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	2.66	0.00	2.66	88.0	2.34
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
03/05/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
03/05/2018	***-**-05IR - HULL, JEFF	RESOURCE REAL ESTATE-NFS	0.00	1.71	0.00	1.71	88.0	1.50
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
03/05/2018	***-**-901O - DRUMM, LOIS	RESOURCE REAL ESTATE-NFS	0.00	2.33	0.00	2.33	88.0	2.05
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
03/05/2018	***-**-49IN - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR011680	BUY 1 Units @0.0000						
03/05/2018	***-**-90IN - PICKARD, KAREN	RESOURCE REAL ESTATE-NFS	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: LSR011687	BUY 1 Units @0.0000						
03/05/2018	***-**-61IN - FILEY, JOHN	RESOURCE REAL ESTATE-NFS	0.00	2.42	0.00	2.42	88.0	2.13
	ACCOUNT #: LSR011723	BUY 1 Units @0.0000						
03/05/2018	***-**-03IN - BOSHART, PEGGY	RESOURCE REAL ESTATE-NFS	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: LSR011744	BUY 1 Units @0.0000						
03/05/2018	***-**-03IR - BOSHART, PEGGY	RESOURCE REAL ESTATE-NFS	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: LSR011749	BUY 1 Units @0.0000						
03/05/2018	***-**-718J - LOWE, GREGORY	RESOURCE REAL ESTATE-NFS	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: LSR011914	BUY 1 Units @0.0000						
03/05/2018	***-**-14TR - THE KALAMAS,	RESOURCE REAL ESTATE-NFS	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR012226	BUY 1 Units @0.0000						
03/05/2018	***-**-22IN - GRACIE, JULIA	RESOURCE REAL ESTATES-NFS	0.00	2.75	0.00	2.75	88.0	2.42
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$18.81	\$247.19	\$0.00	\$247.19		\$217.55
*** BROKER TRANSACTIONS TOTAL ***			\$91,253.17	\$1,296.95	\$293.26	\$1,003.69		\$881.19



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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>								
02/28/2018	***-**-851I - BLAKE, JAMES ACCOUNT #: LSR012390	AMERICAN GLOBAL BALANCED CL C BUY 614 Units @32.5900	19,999.99	200.00	0.00	200.00	88.0	176.00
03/05/2018	***-**-6604 - REYNOLDS, DIANE ACCOUNT #: 5290810273	BLACKROCK TRAILS BUY 0 Units @0.0000	0.00	4.68	0.00	4.68	88.0	4.12
02/21/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
03/05/2018	***-**-711O - FAMOLARO, JAMES ACCOUNT #: LSR011279	CLEARBRIDGE AGGRESSIVE GROWTH A BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
02/21/2018	***-**-633J - ACCOUNT #: 08353229688	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
02/26/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/21/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 02171825219	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/28/2018	***-**-89IN - LEE, ROGER ACCOUNT #: 1200175188	JACKSON 468511480 BUY 0 Units @0.0000	0.00	24.22	0.00	24.22	88.0	21.31
02/23/2018	***-**-213J - GRUENEWALD, ACCOUNT #: LSR011616	LOXO ONCOLOGY INC BUY 50 Units @113.3620	5,668.10	58.50	0.00	58.50	88.0	51.48
02/22/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191336006	MFS 08191336006 BUY 3 Units @31.8800	100.00	1.00	0.00	1.00	88.0	0.88
02/20/2018	***-**-617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.5700	50.00	2.00	0.00	2.00	88.0	1.76
02/20/2018	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 08191172002	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.5700	50.00	2.00	0.00	2.00	88.0	1.76
02/26/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.7700	50.00	2.00	0.00	2.00	88.0	1.76
02/20/2018	***-**-617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @34.2400	50.00	2.00	0.00	2.00	88.0	1.76
02/15/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS NEW DISCOVERY FUND-B BUY 4 Units @22.6000	100.00	4.00	0.00	4.00	88.0	3.52
02/28/2018	***-**-51IN - BLAKE, JAMES ACCOUNT #: LSR012389	MFS TECHNOLOGY CLASS C BUY 187 Units @34.7700	6,500.01	65.00	0.00	65.00	88.0	57.20



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
02/20/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS TECHNOLOGY FUND-B BUY 1 Units @34.5000	50.00	2.00	0.00	2.00	88.0	1.76
03/01/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS TECHNOLOGY FUND-B BUY 1 Units @34.4200	50.01	2.00	0.00	2.00	88.0	1.76
02/15/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08190127967	MFS UTILITIES FUND-B BUY 2 Units @19.5400	35.00	1.40	0.00	1.40	88.0	1.23
02/15/2018	***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352846	MFS UTILITIES FUND-B BUY 3 Units @19.5400	50.00	2.00	0.00	2.00	88.0	1.76
02/20/2018	***-**-617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS UTILITIES FUND-B BUY 3 Units @19.4600	50.00	2.00	0.00	2.00	88.0	1.76
03/01/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS UTILITIES FUND-B BUY 5 Units @19.0900	99.99	4.00	0.00	4.00	88.0	3.52
02/28/2018	***-**-51IN - BLAKE, JAMES ACCOUNT #: LSR012389	MFS UTILITIES FUND-C BUY 341 Units @19.0700	6,500.01	65.00	0.00	65.00	88.0	57.20
02/21/2018	***-**-633J - ACCOUNT #: 05502871176	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
02/21/2018	***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	90.98	0.91	0.00	0.91	88.0	0.80
02/22/2018	***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	90.98	0.91	0.00	0.91	88.0	0.80
02/26/2018	***-**-13IN - BLISS, PATRICK ACCOUNT #: 05521022681	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	75.00	0.75	0.00	0.75	88.0	0.66
02/26/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 05521043603	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/26/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/21/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
02/26/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/21/2018	***-**-633J - ACCOUNT #: 02514987422	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
02/27/2018	***-**-960J - MASTRANGELO, ACCOUNT #: VP71071040	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	0.00	1.09	0.00	1.09	88.0	0.96
02/27/2018	***-**-960J - MASTRANGELO, ACCOUNT #: VP71071040	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	274.21	8.23	0.00	8.23	88.0	7.24
02/27/2018	***-**-960J - MASTRANGELO, ACCOUNT #: VP71071040	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	146.79	4.40	0.00	4.40	88.0	3.87
03/01/2018	***-**-8126 - MCCARTHY, BRIANN ACCOUNT #: VP71028570	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	35.92	1.08	0.00	1.08	88.0	0.95
02/15/2018	***-**-63IN - LASCALA, DEBORAH ACCOUNT #: 00426855622	PUTNAM GLOBAL UTILITIES CL C BUY 8 Units @12.8100	100.00	1.00	0.00	1.00	88.0	0.88
03/05/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	5.76	0.00	5.76	88.0	5.07
03/05/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.83	0.00	3.83	88.0	3.37
03/05/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	12.73	0.00	12.73	88.0	11.20
03/05/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	5.43	0.00	5.43	88.0	4.78
03/05/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.35	0.00	6.35	88.0	5.59
03/05/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.67	0.00	6.67	88.0	5.87
03/05/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	11.45	0.00	11.45	88.0	10.08
03/05/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	7.63	0.00	7.63	88.0	6.71
03/05/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	14.29	0.00	14.29	88.0	12.58
03/05/2018	***-**-29IO - MASSOUD, ACCOUNT #: LSR011217	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.34	0.00	6.34	88.0	5.58
03/05/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.36	0.00	6.36	88.0	5.60



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/05/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	6.34	0.00	6.34	88.0	5.58
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/05/2018	***-**-37IO - MCCLUSKY, MARK	RESOURCE REAL ESTATE-NFS	0.00	3.20	0.00	3.20	88.0	2.82
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
03/05/2018	***-**-86IN - LEE, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	6.31	0.00	6.31	88.0	5.55
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
03/05/2018	***-**-531J - WILLIAMSON,	RESOURCE REAL ESTATE-NFS	0.00	12.70	0.00	12.70	88.0	11.18
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
03/05/2018	***-**-633J -	RESOURCE REAL ESTATE-NFS	0.00	1.70	0.00	1.70	88.0	1.50
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
03/05/2018	***-**-714O - LINES, JUDITH	RESOURCE REAL ESTATE-NFS	0.00	1.94	0.00	1.94	88.0	1.71
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
03/05/2018	***-**-31IO - HARTZ, CLAUDIA	RESOURCE REAL ESTATE-NFS	0.00	1.92	0.00	1.92	88.0	1.69
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
03/05/2018	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/05/2018	***-**-930I - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	4.24	0.00	4.24	88.0	3.73
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/05/2018	***-**-628I - SANGER, SANDRA	RESOURCE REAL ESTATE-NFS	0.00	1.81	0.00	1.81	88.0	1.59
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
03/05/2018	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	2.12	0.00	2.12	88.0	1.87
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/05/2018	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	2.22	0.00	2.22	88.0	1.95
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/05/2018	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	3.82	0.00	3.82	88.0	3.36
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/05/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	2.54	0.00	2.54	88.0	2.24
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/05/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	4.76	0.00	4.76	88.0	4.19
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/05/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						



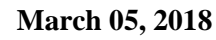
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BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
03/05/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.12	0.00	2.12	88.0	1.87
03/05/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.11	0.00	2.11	88.0	1.86
03/05/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	88.0	0.94
03/05/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.10	0.00	2.10	88.0	1.85
03/05/2018	***-**-531J - WILLIAMSON, ACCOUNT #: LSR011716	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.23	0.00	4.23	88.0	3.72
03/05/2018	***-**-633J - ACCOUNT #: LSR011732	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.57	0.00	0.57	88.0	0.50
03/05/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
02/20/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	THE GROWTH FUND OF AMERICA-529C BUY 1 Units @48.4100	50.00	0.50	0.00	0.50	88.0	0.44
* KURT GRUENEWALD SUBTOTAL *			\$41,266.99	\$658.06	\$0.00	\$658.06		\$579.11
*** OVERRIDE TRANSACTIONS TOTAL ***			\$41,266.99	\$658.06	\$0.00	\$658.06		\$579.11



BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

				INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
BROKER COMMISSION TOTALS									
							Broker Transactions		\$881.19
							Split Transactions		\$0.00
							Override Transactions		\$579.11
							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		\$1,460.30
							Year-to-date Earnings		\$47,970.73