



COMMISSION STATEMENT

April 23, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</u>								
03/23/2018	***-**-188I - BRADLEY, WAYNE	GWG L BOND - 7 YR BUY 10 Units @1000.0000	10,000.00	600.00	0.00	600.00	0.0	0.00
03/23/2018	***-**-188I - BRADLEY, WAYNE	GWG L BOND - 2YR BUY 10 Units @1000.0000	10,000.00	400.00	0.00	400.00	0.0	0.00
03/23/2018	***-**-188I - BRADLEY, WAYNE	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	0.0	0.00
03/16/2018	***-**-14IO - BUSHEY, MATTHEW	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	0.0	0.00
03/23/2018	***-**-188I - BRADLEY, WAYNE	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	0.0	0.00
04/05/2018	***-**-31IO - JOSEPH, ANN	TERRA INCOME FUND 6, INC. BUY 1376 Units @10.9000	15,000.00	600.00	0.00	600.00	0.0	0.00
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$65,000.00	\$3,280.00	\$0.00	\$3,280.00		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/05/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	TERRA INCOME FUND 6, INC. BUY 1376 Units @10.9000	15,000.00	0.00	18.00	-18.00	100.0	-18.00
04/05/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	TERRA INCOME FUND 6, INC. CANCEL 1521 Units @9.8600	-15,000.00	0.00	-18.00	18.00	0.0	0.00
04/20/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	TERRA INCOME FUND 6, INC. BUY 2535 Units @9.8600	25,000.00	0.00	18.00	-18.00	100.0	-18.00
04/09/2018	***-**-480J - EVANS, RICHARD ACCOUNT #: 00073288662	AMERICAN BALANCED FUND-A BUY 4 Units @28.0600	125.00	5.31	0.00	5.31	0.0	0.00
04/09/2018	***-**-0851 - LALLIER, JAMES ACCOUNT #: 00068584532	AMERICAN GLOBAL BALANCED CL C BUY 247 Units @32.3700	8,000.00	80.00	0.00	80.00	0.0	0.00
04/02/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
04/02/2018	***-**-633J - ACCOUNT #: 08353229688	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	0.0	0.00
04/19/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	EQUITY INCOME FUND, INC. A SELL 63 Units @31.8200	2,000.01	18.00	18.00	0.00	0.0	0.00
04/09/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/13/2018	***-**-188I - BRADLEY, WAYNE	FUNDAMENTAL INVESTORS-C	7,499.98	93.00	18.00	75.00	0.0	0.00
	ACCOUNT #: LSR012484	BUY 121 Units @62.0700						
04/02/2018	***-**-65CL - GRUENEWALD, K,	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 02171825219	BUY 0 Units @0.0000						
04/13/2018	***-**-31IO - JOSEPH, ANN	MFS DIVERSIFIED INCOME FD CL C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012337	BUY 824 Units @12.1400						
04/19/2018	***-**-579J - RHYMESTINE,	MFS DIVERSIFIED INCOME FD CL C	15,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011081	SELL 1239 Units @12.1100						
04/19/2018	***-**-861I - SANGER, LAWRENCE	MFS GLOBAL TOTAL RETURN FUND-A	1,999.99	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011095	SELL 111 Units @18.0800						
04/19/2018	***-**-617I - ESCHE, BEVERLY	MFS MODERATE ALLOCATION CL B	3,149.99	144.00	18.00	126.00	0.0	0.00
	ACCOUNT #: LSR012614	BUY 178 Units @17.6800						
04/19/2018	***-**-212I - GRUENEWALD,	MFS MODERATE ALLOCATION CL B	5,250.01	228.00	18.00	210.00	0.0	0.00
	ACCOUNT #: LSR012629	BUY 297 Units @17.6800						
04/19/2018	***-**-617I - ESCHE, BEVERLY	MFS TECHNOLOGY FUND-B	3,249.99	148.00	18.00	130.00	0.0	0.00
	ACCOUNT #: LSR012614	BUY 92 Units @35.4500						
04/19/2018	***-**-13IN - GRUENEWALD,	MFS TECHNOLOGY FUND-B	5,250.00	228.00	18.00	210.00	0.0	0.00
	ACCOUNT #: LSR012632	BUY 148 Units @35.4500						
04/18/2018	***-**-614J - BUSHEY, MATTHEW	NYA JPM 529 MOD AGE-BASED A	100.00	4.75	0.00	4.75	0.0	0.00
		BUY 0 Units @0.0000						
04/02/2018	***-**-633J -	OPP PORT SERIES: ACTIVE ALLOC A	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 05502871176	BUY 0 Units @0.0000						
04/09/2018	***-**-13IN - BLISS, PATRICK	OPPENHEIMER ACTIVE ALLOCATION FUND	75.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 05521022681	BUY 0 Units @0.0000						
04/09/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						
04/09/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER GLBL REAL ESTATE FUND C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00100021715	BUY 0 Units @0.0000						
04/02/2018	***-**-633J -	OPPENHEIMER INTERNATIONAL DIVERSIFI	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 01953330426	BUY 0 Units @0.0000						
04/09/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER INTERNATIONAL DIVERSIFI	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 01971019612	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/02/2018	***-**-633J -	OPPENHEIMER SMALL & MID CAP VALUE F	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 02514987422	BUY 0 Units @0.0000						
04/13/2018	***-**-188I - BRADLEY, WAYNE	PUTNAM GLOBAL CONSUMER FUND CL C	7,500.00	93.00	18.00	75.00	0.0	0.00
	ACCOUNT #: LSR012484	BUY 363 Units @20.6400						
04/18/2018	***-**-633J -	RESOURCE REAL ESTATE-NFS	3,122.37	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011732	SELL 314 Units @9.9300						
04/19/2018	***-**-861I - SANGER, LAWRENCE	RISING DIVIDENDS FUND A	1,999.99	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011095	SELL 103 Units @19.3700						
04/09/2018	***-**-480J - EVANS, RICHARD	THE GROWTH FUND OF AMERICA-A	125.00	5.31	0.00	5.31	0.0	0.00
	ACCOUNT #: 00073288662	BUY 2 Units @53.0500						
* MUTUAL FUNDS SUBTOTAL *			\$100,447.33	\$1,274.36	\$234.00	\$1,040.36		\$-36.00
PRODUCT CATEGORY: STOCKS								
04/13/2018	***-**-51IR - BLAKE, JAMES	BERKSHIRE HATHAWAY INC DEL CL B NEW	4,728.00	56.04	18.00	38.04	0.0	0.00
	ACCOUNT #: LSR012391	BUY 24 Units @197.0000						
04/13/2018	***-**-51IR - BLAKE, JAMES	BERKSHIRE HATHAWAY INC DEL CL B NEW	5,122.00	60.72	0.00	60.72	0.0	0.00
	ACCOUNT #: LSR012391	BUY 26 Units @197.0000						
04/19/2018	***-**-188I - BRADLEY, WAYNE	BERKSHIRE HATHAWAY INC DEL CL B NEW	9,975.00	117.75	18.00	99.75	0.0	0.00
	ACCOUNT #: LSR012484	BUY 50 Units @199.5000						
* STOCKS SUBTOTAL *			\$19,825.00	\$234.51	\$36.00	\$198.51		\$0.00
PRODUCT CATEGORY: VARIABLE ANNUITIES								
04/19/2018	***-**-889I - FRANZ, JONATHAN	PACIFIC LIFE SE5-NYB DTCC	38.13	6.48	0.00	6.48	0.0	0.00
	ACCOUNT #: VP71081770	BUY 0 Units @0.0000						
04/19/2018	***-**-889I - FRANZ, JONATHAN	PACIFIC LIFE SE5-NYB DTCC	261.87	7.86	0.00	7.86	0.0	0.00
	ACCOUNT #: VP71081770	BUY 0 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$300.00	\$14.34	\$0.00	\$14.34		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
04/23/2018	***-**-702I - KOHEM, MICHAEL	37252M108	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
04/23/2018	***-**-680I - HARRELL, DARYL	37252M108	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-22IO - CLINTON, STEPHEN	37252M108	0.00	1.73	0.00	1.73	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
04/23/2018	***-**-680I - HARRELL, DARYL	AMERICAN BALANCED FUND-A	0.00	0.89	0.00	0.89	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
04/23/2018	***-**-30TR - AND SANDRA	AMERICAN BALANCED FUND-A	0.00	2.89	0.00	2.89	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	AMERICAN BALANCED FUND-C	0.00	15.25	0.00	15.25	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-094I - KATRENA L	AMERICAN BALANCED FUND-C	0.00	3.85	0.00	3.85	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
04/23/2018	***-**-52IO - EUSEPI, SUSAN	AMERICAN BALANCED FUND-C	0.00	5.18	0.00	5.18	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
04/23/2018	***-**-80IO - EVANS, RICHARD	AMERICAN BALANCED FUND-C	0.00	15.48	0.00	15.48	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
04/23/2018	***-**-881I - EBERLEY, SUSAN	AMERICAN FUNDS BALANCED PORT CL C	0.00	8.82	0.00	8.82	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
04/23/2018	***-**-382K - SATTERLY, NEIL	AMERICAN FUNDS BALANCED PORT CL C	0.00	4.48	0.00	4.48	0.0	0.00
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
04/23/2018	***-**-949I - ACEE, JOSPEH	AMERICAN FUNDS BALANCED PORT CL C	0.00	3.67	0.00	3.67	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - CLARK, PATRICK	AMERICAN FUNDS BALANCED PORT CL C	0.00	22.67	0.00	22.67	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - HARTZ, CLAUDIA	AMERICAN FUNDS BALANCED PORT CL C	0.00	6.20	0.00	6.20	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
04/23/2018	***-**-031O - MCVOY, ROBERT	AMERICAN FUNDS BALANCED PORT CL C	0.00	4.72	0.00	4.72	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	AMERICAN FUNDS BALANCED PORT CL C	0.00	12.03	0.00	12.03	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	AMERICAN FUNDS BALANCED PORT CL C	0.00	10.58	0.00	10.58	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-567I - FRANZ, ALICE	AMERICAN FUNDS BALANCED PORT CL C	0.00	7.10	0.00	7.10	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.93	0.00	11.93	0.0	0.00
04/23/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	10.10	0.00	10.10	0.0	0.00
04/23/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.88	0.00	11.88	0.0	0.00
04/23/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.49	0.00	5.49	0.0	0.00
04/23/2018	***-**-73UT - COBB, CHRSTIAN ACCOUNT #: LSR011104	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.46	0.00	5.46	0.0	0.00
04/23/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.46	0.00	5.46	0.0	0.00
04/23/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	2.61	0.00	2.61	0.0	0.00
04/23/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	7.52	0.00	7.52	0.0	0.00
04/23/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	16.10	0.00	16.10	0.0	0.00
04/23/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.04	0.00	5.04	0.0	0.00
04/23/2018	***-**-900J - LEE, MR. ACCOUNT #: LSR011186	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.20	0.00	5.20	0.0	0.00
04/23/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.67	0.00	3.67	0.0	0.00
04/23/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.69	0.00	3.69	0.0	0.00
04/23/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.74	0.00	3.74	0.0	0.00
04/23/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	4.18	0.00	4.18	0.0	0.00
04/23/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	1.70	0.00	1.70	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	0.0	0.00
04/23/2018	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	0.0	0.00
04/23/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	2.08	0.00	2.08	0.0	0.00
04/23/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	AMERICAN FUNDS GBLB GROWTH PORT CL BUY 1 Units @0.0000	0.00	3.44	0.00	3.44	0.0	0.00
04/23/2018	***-**-87IN - HINCKLEY, ACCOUNT #: LSR010834	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.51	0.00	6.51	0.0	0.00
04/23/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.19	0.00	8.19	0.0	0.00
04/23/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	7.33	0.00	7.33	0.0	0.00
04/23/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.52	0.00	8.52	0.0	0.00
04/23/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	12.91	0.00	12.91	0.0	0.00
04/23/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	12.81	0.00	12.81	0.0	0.00
04/23/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	4.94	0.00	4.94	0.0	0.00
04/23/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	12.87	0.00	12.87	0.0	0.00
04/23/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	10.30	0.00	10.30	0.0	0.00
04/23/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	7.70	0.00	7.70	0.0	0.00
04/23/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.51	0.00	8.51	0.0	0.00
04/23/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.62	0.00	8.62	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-44IO - MAYO, DEBORAH	AMERICAN FUNDS MORTGAGE FD CL C	0.00	21.48	0.00	21.48	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/23/2018	***-**-579J - RHYMESTINE,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.47	0.00	8.47	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
04/23/2018	***-**-09IO - BATES, FBO MRS	AMERICAN FUNDS MORTGAGE FD CL C	0.00	22.06	0.00	22.06	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - ANACKER, FBO MRS	AMERICAN FUNDS MORTGAGE FD CL C	0.00	6.42	0.00	6.42	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
04/23/2018	***-**-89IN - LEE, ROGER	AMERICAN FUNDS MORTGAGE FD CL C	0.00	13.82	0.00	13.82	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
04/23/2018	***-**-094I - KATRENA L	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.99	0.00	2.99	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
04/23/2018	***-**-439J - MCCARTHY, JAMES	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.50	0.00	2.50	0.0	0.00
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						
04/23/2018	***-**-52IO - EUSEPI, SUSAN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.96	0.00	2.96	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
04/23/2018	***-**-473J - HUSTON,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.58	0.00	8.58	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
04/23/2018	***-**-80IO - EVANS, RICHARD	AMERICAN FUNDS MORTGAGE FD CL C	0.00	6.80	0.00	6.80	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
04/23/2018	***-**-376I - BERBEN, GAIL	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.34	0.00	8.34	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
04/23/2018	***-**-21IO - RADELL, SANDRA	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.32	0.00	8.32	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
04/23/2018	***-**-45IO - JOHNSON, GREGORY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	16.65	0.00	16.65	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-420T - DEMETRI, AMELIA	AMERICAN FUNDS PRESERVATION PORT C	0.00	4.22	0.00	4.22	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
04/23/2018	***-**-881J - EBERLEY, SUSAN	AMERICAN GLOBAL BALANCED CL C	0.00	9.55	0.00	9.55	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
04/23/2018	***-**-382I - SATTERLY, NEIL	AMERICAN GLOBAL BALANCED CL C	0.00	11.56	0.00	11.56	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-382K - SATTERLY, NEIL	AMERICAN GLOBAL BALANCED CL C	0.00	4.28	0.00	4.28	0.0	0.00
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
04/23/2018	***-**-980I - ACEE, ELIZABETH	AMERICAN GLOBAL BALANCED CL C	0.00	14.46	0.00	14.46	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - CLARK, PATRICK	AMERICAN GLOBAL BALANCED CL C	0.00	11.37	0.00	11.37	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
04/23/2018	***-**-72IN - GAVALO, JULIE	AMERICAN GLOBAL BALANCED CL C	0.00	11.04	0.00	11.04	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
04/23/2018	***-**-065I - LAZIO, THOMAS	AMERICAN GLOBAL BALANCED CL C	0.00	9.40	0.00	9.40	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
04/23/2018	***-**-420T - DEMETRI, AMELIA	AMERICAN GLOBAL BALANCED CL C	0.00	7.13	0.00	7.13	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
04/23/2018	***-**-73TR - WESTCOTT IRRVOC	AMERICAN GLOBAL BALANCED CL C	0.00	14.72	0.00	14.72	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
04/23/2018	***-**-73TR - WESTCOTT IRRVOC	AMERICAN GLOBAL BALANCED CL C	0.00	25.10	0.00	25.10	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
04/23/2018	***-**-80IN - COBB, JAMES	AMERICAN GLOBAL BALANCED CL C	0.00	8.09	0.00	8.09	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
04/23/2018	***-**-00IO - LEE, GARY	AMERICAN GLOBAL BALANCED CL C	0.00	13.47	0.00	13.47	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
04/23/2018	***-**-44IO - MAYO, DEBORAH	AMERICAN GLOBAL BALANCED CL C	0.00	33.73	0.00	33.73	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/23/2018	***-**-09IO - BATES, FBO MRS	AMERICAN GLOBAL BALANCED CL C	0.00	17.04	0.00	17.04	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/23/2018	***-**-094I - KATRENA L	AMERICAN GLOBAL BALANCED CL C	0.00	7.64	0.00	7.64	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
04/23/2018	***-**-11IO - LYNN G.	AMERICAN GLOBAL BALANCED CL C	0.00	19.57	0.00	19.57	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
04/23/2018	***-**-07IO - FAMOLARO, JAMES	AMERICAN GLOBAL BALANCED CL C	0.00	5.79	0.00	5.79	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
04/23/2018	***-**-376I - BERBEN, GAIL	AMERICAN GLOBAL BALANCED CL C	0.00	18.19	0.00	18.19	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-21IO - RADELL, SANDRA	AMERICAN GLOBAL BALANCED CL C	0.00	5.83	0.00	5.83	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
04/23/2018	***-**-45IO - JOHNSON, GREGORY	AMERICAN GLOBAL BALANCED CL C	0.00	14.92	0.00	14.92	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-14IO - BUSHEY, MATTHEW	AMERICAN GLOBAL BALANCED CL C	0.00	17.43	0.00	17.43	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
04/23/2018	***-**-37IO - MCCLUSKY, MARK	AMERICAN GLOBAL BALANCED CL C	0.00	9.52	0.00	9.52	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
04/23/2018	***-**-86IN - LEE, KEVIN	AMERICAN GLOBAL BALANCED CL C	0.00	8.50	0.00	8.50	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
04/23/2018	***-**-03IO - MASTRANGELO,	AMERICAN GLOBAL BALANCED CL C	0.00	9.62	0.00	9.62	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
04/23/2018	***-**-702I - KOCHER, MICHAEL	AMERICAN GLOBAL BALANCED CLASS A	0.00	2.64	0.00	2.64	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
04/23/2018	***-**-63TR - EVANS, AUDREY J	AMERICAN GLOBAL BALANCED CLASS A	0.00	6.08	0.00	6.08	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
04/23/2018	***-**-30TR - AND SANDRA	AMERICAN GLOBAL BALANCED CLASS A	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
04/23/2018	***-**-287I - HINCKLEY,	AMERICAN MUTUAL FUND-A	0.00	5.44	0.00	5.44	0.0	0.00
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
04/23/2018	***-**-13IN - GRUENEWALD,	AMERICAN WASHINGTON MUTUAL INVESTOR	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR011210	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	BLACKROCK US OPPORT CL A	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-254I - AUGUSTINE, LINDA	CAPITAL INCOME BUILDER CLASS C	0.00	7.22	0.00	7.22	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
04/23/2018	***-**-881J - EBERLEY, SUSAN	CAPITAL INCOME BUILDER CLASS C	0.00	4.89	0.00	4.89	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
04/23/2018	***-**-382I - SATTERLY, NEIL	CAPITAL INCOME BUILDER CLASS C	0.00	14.64	0.00	14.64	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
04/23/2018	***-**-949I - ACEE, JOSPEH	CAPITAL INCOME BUILDER CLASS C	0.00	4.79	0.00	4.79	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-31IO - HARTZ, CLAUDIA	CAPITAL INCOME BUILDER CLASS C	0.00	5.37	0.00	5.37	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	CAPITAL INCOME BUILDER CLASS C	0.00	8.84	0.00	8.84	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	CAPITAL INCOME BUILDER CLASS C	0.00	11.84	0.00	11.84	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-960J - MASTRANGELO,	CAPITAL INCOME BUILDER CLASS C	0.00	9.49	0.00	9.49	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
04/23/2018	***-**-065I - LAZIO, THOMAS	CAPITAL INCOME BUILDER CLASS C	0.00	6.77	0.00	6.77	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
04/23/2018	***-**-51IO - CAIN, TIMOTHY	CAPITAL INCOME BUILDER CLASS C	0.00	7.35	0.00	7.35	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
04/23/2018	***-**-63TR - EVANS, AUDREY J	CAPITAL INCOME BUILDER CLASS C	0.00	5.24	0.00	5.24	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
04/23/2018	***-**-861I - SANGER, LAWRENCE	CAPITAL INCOME BUILDER CLASS C	0.00	1.82	0.00	1.82	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
04/23/2018	***-**-13IN - RHYMESTINE,	CAPITAL INCOME BUILDER CLASS C	0.00	4.54	0.00	4.54	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
04/23/2018	***-**-506J - CURRIERE JR, MR	CAPITAL INCOME BUILDER CLASS C	0.00	3.87	0.00	3.87	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - WILLIAMSON, FBO	CAPITAL INCOME BUILDER CLASS C	0.00	14.62	0.00	14.62	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
04/23/2018	***-**-62IR - ROBBIANO, FBO	CAPITAL INCOME BUILDER CLASS C	0.00	7.01	0.00	7.01	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
04/23/2018	***-**-02IN - BUSHEY, MELISSA	CAPITAL INCOME BUILDER CLASS C	0.00	2.87	0.00	2.87	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
04/23/2018	***-**-287I - HINCKLEY,	CAPITAL INCOME BUILDER-A	0.00	4.13	0.00	4.13	0.0	0.00
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
04/23/2018	***-**-702I - KOCHEM, MICHAEL	CAPITAL INCOME BUILDER-A	0.00	3.69	0.00	3.69	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
04/23/2018	***-**-366I - GRUENEWALD,	CAPITAL INCOME BUILDER-A	0.00	2.13	0.00	2.13	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-20IO - DEMETRI, AMELIA	CAPITAL INCOME BUILDER-A	0.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
04/23/2018	***-**-579J - RHYMESTINE,	CAPITAL INCOME BUILDER-A	0.00	2.21	0.00	2.21	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
04/23/2018	***-**-680I - HARRELL, DARYL	CAPITAL INCOME BUILDER-A	0.00	0.31	0.00	0.31	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
04/23/2018	***-**-30TR - AND SANDRA	CAPITAL INCOME BUILDER-A	0.00	2.17	0.00	2.17	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
04/23/2018	***-**-702I - KOCHER, MICHAEL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.81	0.00	3.81	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
04/23/2018	***-**-20IO - DEMETRI, AMELIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.59	0.00	1.59	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
04/23/2018	***-**-579J - RHYMESTINE,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.85	0.00	1.85	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
04/23/2018	***-**-326J - GRANDE, MR	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.46	0.00	1.46	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
04/23/2018	***-**-326I - GRANDE, FBO MR	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.59	0.00	1.59	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - ANACKER, FBO MRS	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
04/23/2018	***-**-680I - HARRELL, DARYL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.43	0.00	1.43	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
04/23/2018	***-**-128I - BASHANT, THOMAS	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.55	0.00	1.55	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
04/23/2018	***-**-30TR - AND SANDRA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.53	0.00	2.53	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
04/23/2018	***-**-44IO - MAYO, DEBORAH	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	13.23	0.00	13.23	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/23/2018	***-**-09IO - BATES, FBO MRS	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	10.86	0.00	10.86	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/23/2018	***-**-11IO - LYNN G.	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	11.80	0.00	11.80	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-45IO - JOHNSON, GREGORY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	8.13	0.00	8.13	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	COLUMBIA MARSICO FOCUSED EQ CL A	0.00	0.24	0.00	0.24	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-949I - ACEE, JOSPEH	DEVELOPING MARKETS FUND B	0.00	1.34	0.00	1.34	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
04/23/2018	***-**-506J - CURRIERE JR, MR	DEVELOPING MARKETS FUND B	0.00	0.90	0.00	0.90	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - ANACKER, FBO MRS	DEVELOPING MARKETS FUND B	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
04/23/2018	***-**-64IO - PFAFF, GEORGE	DEVELOPING MARKETS FUND B	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
04/23/2018	***-**-62IR - ROBBIANO, FBO	DEVELOPING MARKETS FUND B	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
04/23/2018	***-**-653I - KOCHER, CLINTON	DEVELOPING MARKETS FUND B	0.00	2.53	0.00	2.53	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
04/23/2018	***-**-287J - HINCKLEY,	EQUITY INCOME FUND, INC. A	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
04/23/2018	***-**-254I - AUGUSTINE, LINDA	EQUITY INCOME FUND, INC. A	0.00	2.35	0.00	2.35	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
04/23/2018	***-**-881J - EBERLEY, SUSAN	EQUITY INCOME FUND, INC. A	0.00	2.26	0.00	2.26	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.90	0.00	1.90	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/23/2018	***-**-702I - KOCHER, MICHAEL	EQUITY INCOME FUND, INC. A	0.00	2.07	0.00	2.07	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	EQUITY INCOME FUND, INC. A	0.00	2.29	0.00	2.29	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-960J - MASTRANGELO,	EQUITY INCOME FUND, INC. A	0.00	2.43	0.00	2.43	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
04/23/2018	***-**-366I - GRUENEWALD,	EQUITY INCOME FUND, INC. A	0.00	1.34	0.00	1.34	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						



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KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-51IO - CAIN, TIMOTHY	EQUITY INCOME FUND, INC. A	0.00	2.58	0.00	2.58	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	EQUITY INCOME FUND, INC. A	0.00	4.63	0.00	4.63	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-944O - MAYO, DEBORAH	EQUITY INCOME FUND, INC. A	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/23/2018	***-**-306X - COBB, CHERRYL	EQUITY INCOME FUND, INC. A	0.00	1.99	0.00	1.99	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	EQUITY INCOME FUND, INC. A	0.00	1.73	0.00	1.73	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-861I - SANGER, LAWRENCE	EQUITY INCOME FUND, INC. A	0.00	1.33	0.00	1.33	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
04/23/2018	***-**-680I - HARRELL, DARYL	EQUITY INCOME FUND, INC. A	0.00	0.87	0.00	0.87	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
04/23/2018	***-**-949I - ACEE, JOSPEH	EQUITY INCOME FUND, INC. B	0.00	2.55	0.00	2.55	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
04/23/2018	***-**-567I - FRANZ, ALICE	EQUITY INCOME FUND, INC. B	0.00	6.05	0.00	6.05	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
04/23/2018	***-**-506J - CURRIERE JR, MR	EQUITY INCOME FUND, INC. B	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - ANACKER, FBO MRS	EQUITY INCOME FUND, INC. B	0.00	1.70	0.00	1.70	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
04/23/2018	***-**-64IO - PFAFF, GEORGE	EQUITY INCOME FUND, INC. B	0.00	2.14	0.00	2.14	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
04/23/2018	***-**-62IR - ROBBIANO, FBO	EQUITY INCOME FUND, INC. B	0.00	1.53	0.00	1.53	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
04/23/2018	***-**-653I - KOCHER, CLINTON	EQUITY INCOME FUND, INC. B	0.00	3.16	0.00	3.16	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
04/23/2018	***-**-980I - ACEE, ELIZABETH	EQUITY INCOME FUND, INC. C	0.00	14.01	0.00	14.01	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
04/23/2018	***-**-031O - MCVOY, ROBERT	EQUITY INCOME FUND, INC. C	0.00	6.32	0.00	6.32	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						



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KURT GRUENEWALD
2108 Genesee St.
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-00IO - LEE, GARY	EQUITY INCOME FUND, INC. C	0.00	13.95	0.00	13.95	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
04/23/2018	***-**-714O - LINES, JUDITH	EQUITY INCOME FUND, INC. C	0.00	1.33	0.00	1.33	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
04/23/2018	***-**-28IN - BYWATER, KIM	EQUITY INCOME FUND, INC. C	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
04/23/2018	***-**-20IO - DEMETRI, AMELIA	EUROPACIFIC GROWTH FUND-A	0.00	1.62	0.00	1.62	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
04/23/2018	***-**-326I - GRANDE, FBO MR	EUROPACIFIC GROWTH FUND-A	0.00	1.36	0.00	1.36	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
04/23/2018	***-**-680I - HARRELL, DARYL	EUROPACIFIC GROWTH FUND-A	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
04/23/2018	***-**-111J - NESSIA, JAMES	FIDELITY ADV EMERGING MRKTS INC CL	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
04/23/2018	***-**-62IN - EATON, DAVID	FIDELITY ADV EMERGING MRKTS INC CL	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
04/23/2018	***-**-930I - SANGER, KEVIN	FIDELITY ADV EQUITY INCOME CL A	0.00	2.15	0.00	2.15	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	FIDELITY ADV INDUSTRIALS-CL C	0.00	14.72	0.00	14.72	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	FIDELITY ADV SMALL CAP CL C	0.00	5.19	0.00	5.19	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	4.96	0.00	4.96	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	FIDELITY ADVISOR EQUITY INCOME CL C	0.00	20.50	0.00	20.50	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	FIDELITY ADVISOR INT'L DISCOVERY CL	0.00	16.28	0.00	16.28	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	FIDELITY ADVISOR INTERMEDIATE BOND	0.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	FIDELITY ADVISOR MORTGAGE SECS CL A	0.00	2.10	0.00	2.10	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-02IN - BUSHEY, MELISSA	FIDELITY ADVISOR MORTGAGE SECS CL A	0.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	FIDELITY ADVISOR MORTGAGE SECS CL C	0.00	5.74	0.00	5.74	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-702I - KOCHER, MICHAEL	FUNDAMENTAL INVESTORS-A	0.00	2.23	0.00	2.23	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
04/23/2018	***-**-366I - GRUENEWALD,	FUNDAMENTAL INVESTORS-A	0.00	1.20	0.00	1.20	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
04/23/2018	***-**-366S - GRUENEWALD,	FUNDAMENTAL INVESTORS-A	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
04/23/2018	***-**-579J - RHYMESTINE,	FUNDAMENTAL INVESTORS-A	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
04/23/2018	***-**-326I - GRANDE, FBO MR	FUNDAMENTAL INVESTORS-A	0.00	1.99	0.00	1.99	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
04/23/2018	***-**-680I - HARRELL, DARYL	FUNDAMENTAL INVESTORS-A	0.00	1.43	0.00	1.43	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
04/23/2018	***-**-128I - BASHANT, THOMAS	FUNDAMENTAL INVESTORS-A	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
04/23/2018	***-**-30TR - AND SANDRA	FUNDAMENTAL INVESTORS-A	0.00	1.91	0.00	1.91	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
04/23/2018	***-**-881J - EBERLEY, SUSAN	FUNDAMENTAL INVESTORS-C	0.00	4.43	0.00	4.43	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
04/23/2018	***-**-382I - SATTERLY, NEIL	FUNDAMENTAL INVESTORS-C	0.00	11.32	0.00	11.32	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
04/23/2018	***-**-949I - ACEE, JOSPEH	FUNDAMENTAL INVESTORS-C	0.00	3.11	0.00	3.11	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - HARTZ, CLAUDIA	FUNDAMENTAL INVESTORS-C	0.00	2.97	0.00	2.97	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
04/23/2018	***-**-031O - MCVOY, ROBERT	FUNDAMENTAL INVESTORS-C	0.00	5.38	0.00	5.38	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	FUNDAMENTAL INVESTORS-C	0.00	4.94	0.00	4.94	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						



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BROKER #: A77
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-959I - FRANZ, PAUL	FUNDAMENTAL INVESTORS-C	0.00	11.71	0.00	11.71	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-960J - MASTRANGELO,	FUNDAMENTAL INVESTORS-C	0.00	9.10	0.00	9.10	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
04/23/2018	***-**-065I - LAZIO, THOMAS	FUNDAMENTAL INVESTORS-C	0.00	5.84	0.00	5.84	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
04/23/2018	***-**-51IO - CAIN, TIMOTHY	FUNDAMENTAL INVESTORS-C	0.00	5.36	0.00	5.36	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	FUNDAMENTAL INVESTORS-C	0.00	16.03	0.00	16.03	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-306X - COBB, CHERYL	FUNDAMENTAL INVESTORS-C	0.00	5.82	0.00	5.82	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
04/23/2018	***-**-861I - SANGER, LAWRENCE	FUNDAMENTAL INVESTORS-C	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
04/23/2018	***-**-13IN - RHYMESTINE,	FUNDAMENTAL INVESTORS-C	0.00	3.58	0.00	3.58	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
04/23/2018	***-**-09IO - BATES, FBO MRS	FUNDAMENTAL INVESTORS-C	0.00	11.36	0.00	11.36	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/23/2018	***-**-506J - CURRIERE JR, MR	FUNDAMENTAL INVESTORS-C	0.00	4.78	0.00	4.78	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - ANACKER, FBO MRS	FUNDAMENTAL INVESTORS-C	0.00	5.10	0.00	5.10	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
04/23/2018	***-**-89IN - LEE, ROGER	FUNDAMENTAL INVESTORS-C	0.00	5.72	0.00	5.72	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - WILLIAMSON, FBO	FUNDAMENTAL INVESTORS-C	0.00	7.63	0.00	7.63	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
04/23/2018	***-**-64IO - PFAFF, GEORGE	FUNDAMENTAL INVESTORS-C	0.00	3.71	0.00	3.71	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
04/23/2018	***-**-62IR - ROBBIANO, FBO	FUNDAMENTAL INVESTORS-C	0.00	3.29	0.00	3.29	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
04/23/2018	***-**-11IO - LYNN G.	FUNDAMENTAL INVESTORS-C	0.00	12.24	0.00	12.24	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-653I - KOCHER, CLINTON	FUNDAMENTAL INVESTORS-C	0.00	11.57	0.00	11.57	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
04/23/2018	***-**-376I - BERBEN, GAIL	FUNDAMENTAL INVESTORS-C	0.00	15.39	0.00	15.39	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
04/23/2018	***-**-211O - RADELL, SANDRA	FUNDAMENTAL INVESTORS-C	0.00	4.10	0.00	4.10	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
04/23/2018	***-**-451O - JOHNSON, GREGORY	FUNDAMENTAL INVESTORS-C	0.00	11.24	0.00	11.24	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-141O - BUSHEY, MATTHEW	FUNDAMENTAL INVESTORS-C	0.00	12.72	0.00	12.72	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
04/23/2018	***-**-128I - BASHANT, THOMAS	GLOBAL FUND A	0.00	2.24	0.00	2.24	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
04/23/2018	***-**-579J - RHYMESTINE,	GLOBAL GROWTH PORTFOLIO-A	0.00	0.89	0.00	0.89	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
04/23/2018	***-**-094I - KATRENA L	GLOBAL OPPORTUNITIES FUND C	0.00	17.40	0.00	17.40	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
04/23/2018	***-**-254I - AUGUSTINE, LINDA	GOLD & SPECIAL MINERALS A	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
04/23/2018	***-**-881I - EBERLEY, SUSAN	GOLD & SPECIAL MINERALS A	0.00	0.16	0.00	0.16	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
04/23/2018	***-**-930I - SANGER, KEVIN	GOLD & SPECIAL MINERALS A	0.00	0.32	0.00	0.32	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
04/23/2018	***-**-151N - PENDRAK, JOHN	GOLD & SPECIAL MINERALS A	0.00	2.14	0.00	2.14	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/23/2018	***-**-702J - KOCHER, MICHAEL	GOLD & SPECIAL MINERALS A	0.00	0.23	0.00	0.23	0.0	0.00
	ACCOUNT #: LSR010955	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	GOLD & SPECIAL MINERALS A	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-611N - EVANS, DOLORES	GOLD & SPECIAL MINERALS A	0.00	0.18	0.00	0.18	0.0	0.00
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
04/23/2018	***-**-944O - MAYO, DEBORAH	GOLD & SPECIAL MINERALS A	0.00	0.53	0.00	0.53	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-96IN - NESSIA, BONNIE	GOLD & SPECIAL MINERALS A	0.00	0.29	0.00	0.29	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
04/23/2018	***-**-13IN - RHYMESTINE,	GOLD & SPECIAL MINERALS A	0.00	0.35	0.00	0.35	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
04/23/2018	***-**-76IO - MCALLISTER, FBO	GOLD & SPECIAL MINERALS A	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
04/23/2018	***-**-367J - WAGNER, MRS LANT	GOLD & SPECIAL MINERALS A	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - WILLIAMSON, FBO	GOLD & SPECIAL MINERALS A	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
04/23/2018	***-**-02IN - BUSHEY, MELISSA	GOLD & SPECIAL MINERALS A	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
04/23/2018	***-**-62IN - EATON, DAVID	GOLD & SPECIAL MINERALS A	0.00	0.40	0.00	0.40	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
04/23/2018	***-**-949I - ACEE, JOSPEH	GOLD & SPECIAL MINERALS FUND B	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	GOLD & SPECIAL MINERALS FUND B	0.00	0.54	0.00	0.54	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - ANACKER, FBO MRS	GOLD & SPECIAL MINERALS FUND B	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
04/23/2018	***-**-664J - PFAFF, GEORGE	GOLD & SPECIAL MINERALS FUND B	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
04/23/2018	***-**-930I - SANGER, KEVIN	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	12.33	0.00	12.33	0.0	0.00
	ACCOUNT #: 00091130813	BUY 0 Units @0.0000						
04/23/2018	***-**-11IN - MCCARTHY, LYNN	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	36.99	0.00	36.99	0.0	0.00
	ACCOUNT #: 091131292	BUY 0 Units @0.0000						
04/23/2018	***-**-376I - BERBEN, GAIL	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	12.33	0.00	12.33	0.0	0.00
	ACCOUNT #: 00091131725	BUY 0 Units @0.0000						
04/23/2018	***-**-376I - BERBEN, GAIL	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	24.66	0.00	24.66	0.0	0.00
	ACCOUNT #: 00091131725	BUY 0 Units @0.0000						
04/23/2018	***-**-21IO - RADELL, SANDRA	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	12.33	0.00	12.33	0.0	0.00
	ACCOUNT #: 091131984	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-49IN - DEPEYSTER, ACCOUNT #: 091132017	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.33	0.00	12.33	0.0	0.00
04/23/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 00091133853	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	24.66	0.00	24.66	0.0	0.00
04/23/2018	***-**-29IN - MASSOUD, ACCOUNT #: 91134730	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.33	0.00	12.33	0.0	0.00
04/23/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 00091133853	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	24.66	0.00	24.66	0.0	0.00
04/23/2018	***-**-29IN - MASSOUD, ACCOUNT #: 91134730	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.33	0.00	12.33	0.0	0.00
04/23/2018	***-**-579I - RHYMESTINE, ACCOUNT #: 91134731	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	14.79	0.00	14.79	0.0	0.00
04/23/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: 91134733	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	14.79	0.00	14.79	0.0	0.00
04/23/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: 091136021	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.33	0.00	12.33	0.0	0.00
04/23/2018	***-**-366I - GRUENEWALD, ACCOUNT #: 91136364	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.33	0.00	12.33	0.0	0.00
04/23/2018	***-**-365I - GRUENEWALD, KURT ACCOUNT #: 091137478	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.33	0.00	12.33	0.0	0.00
04/23/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: 091138283	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.33	0.00	12.33	0.0	0.00
04/23/2018	***-**-960J - MASTRANGELO, ACCOUNT #: 091139160	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	24.66	0.00	24.66	0.0	0.00
04/23/2018	***-**-531J - WILLIAMSON, ACCOUNT #: 091140076	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	73.97	0.00	73.97	0.0	0.00
04/23/2018	***-**-89IN - LEE, ROGER ACCOUNT #: 091123534	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	47.10	0.00	47.10	0.0	0.00
04/23/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: 091125944	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	58.88	0.00	58.88	0.0	0.00
04/23/2018	***-**-44IO - DISCHIAVI, FBO ACCOUNT #: 091126800	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	47.10	0.00	47.10	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-287X - HINCKLEY, ACCOUNT #: 091129238	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	21.20	0.00	21.20	0.0	0.00
04/23/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: 091129288	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	47.10	0.00	47.10	0.0	0.00
04/23/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: 091129288	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	23.55	0.00	23.55	0.0	0.00
04/23/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: 091129288	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	-23.55	0.00	-23.55	0.0	0.00
04/23/2018	***-**-11IN - MCCARTHY, LYNN ACCOUNT #: 091131292	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	23.55	0.00	23.55	0.0	0.00
04/23/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: 00091131762	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	11.78	0.00	11.78	0.0	0.00
04/23/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: 00091132518	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	11.78	0.00	11.78	0.0	0.00
04/23/2018	***-**-531J - WILLIAMSON, ACCOUNT #: 091140076	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	70.65	0.00	70.65	0.0	0.00
04/23/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	GRIFFIN INST ACCESS REAL ESTATE FD BUY 1 Units @0.0000	0.00	9.46	0.00	9.46	0.0	0.00
04/23/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	GRIFFIN INST ACCESS REAL ESTATE FD BUY 1 Units @0.0000	0.00	3.15	0.00	3.15	0.0	0.00
04/23/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	GROWTH FUND OF AMERICA CLASS F BUY 1 Units @0.0000	0.00	3.36	0.00	3.36	0.0	0.00
04/23/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	0.0	0.00
04/23/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	0.0	0.00
04/23/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	0.0	0.00
04/23/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	2.56	0.00	2.56	0.0	0.00
04/23/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-680I - HARRELL, DARYL	HARTFORD INFLATION PLUS FUND CLASS	0.00	1.75	0.00	1.75	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
04/23/2018	***-**-287I - HINCKLEY,	INCOME FUND OF AMERICA CLASS C	0.00	3.63	0.00	3.63	0.0	0.00
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
04/23/2018	***-**-980I - ACEE, ELIZABETH	INCOME FUND OF AMERICA CLASS C	0.00	12.11	0.00	12.11	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
04/23/2018	***-**-72IN - GAVALO, JULIE	INCOME FUND OF AMERICA CLASS C	0.00	10.89	0.00	10.89	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
04/23/2018	***-**-73TR - WESTCOTT IRRVOC	INCOME FUND OF AMERICA CLASS C	0.00	1.78	0.00	1.78	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
04/23/2018	***-**-63TR - EVANS, AUDREY J	INCOME FUND OF AMERICA CLASS C	0.00	5.44	0.00	5.44	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
04/23/2018	***-**-44IO - MAYO, DEBORAH	INCOME FUND OF AMERICA CLASS C	0.00	19.30	0.00	19.30	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/23/2018	***-**-09IO - BATES, FBO MRS	INCOME FUND OF AMERICA CLASS C	0.00	32.14	0.00	32.14	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/23/2018	***-**-11IO - LYNN G.	INCOME FUND OF AMERICA CLASS C	0.00	14.99	0.00	14.99	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
04/23/2018	***-**-376I - BERBEN, GAIL	INCOME FUND OF AMERICA CLASS C	0.00	13.50	0.00	13.50	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
04/23/2018	***-**-21IO - RADELL, SANDRA	INCOME FUND OF AMERICA CLASS C	0.00	4.92	0.00	4.92	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
04/23/2018	***-**-45IO - JOHNSON, GREGORY	INCOME FUND OF AMERICA CLASS C	0.00	16.23	0.00	16.23	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-14IO - BUSHEY, MATTHEW	INCOME FUND OF AMERICA CLASS C	0.00	11.62	0.00	11.62	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
04/23/2018	***-**-702I - KOCHEM, MICHAEL	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.14	0.00	0.14	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	INTERMEDIATE BOND FUND OF AMERICA-C	0.00	5.48	0.00	5.48	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-881I - EBERLEY, SUSAN	INTERNATIONAL BOND A	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-761I - EVANS, DOLORES	INTERNATIONAL BOND A	0.00	3.57	0.00	3.57	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-366S - GRUENEWALD,	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.83	0.00	0.83	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
04/23/2018	***-**-567I - FRANZ, ALICE	INTERNATIONAL GROWTH AND INCOME-C	0.00	13.65	0.00	13.65	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	INTERNATIONAL SMALL COMPANY A	0.00	1.51	0.00	1.51	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	INTERNATIONAL SMALL COMPANY A	0.00	1.44	0.00	1.44	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-367J - WAGNER, MRS LANT	INTERNATIONAL SMALL COMPANY A	0.00	1.96	0.00	1.96	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
04/23/2018	***-**-664J - PFAFF, GEORGE	INTERNATIONAL SMALL COMPANY FUND B	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
04/23/2018	***-**-45IO - JOHNSON, GREGORY	MAIN STREET FUND C	0.00	7.61	0.00	7.61	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-714O - LINES, JUDITH	MAIN STREET FUND C	0.00	1.87	0.00	1.87	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
04/23/2018	***-**-065I - LAZIO, THOMAS	MFS ABSOLUTE RETURN FUND CLASS C	0.00	3.33	0.00	3.33	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
04/23/2018	***-**-944O - MAYO, DEBORAH	MFS AGGRESSIVE GROWTH ALLOCATION FD	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/23/2018	***-**-13IN - ROTH, KAREN	MFS BLENDED RESEARCH CORE EQUITY FD	0.00	1.31	0.00	1.31	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
04/23/2018	***-**-881I - EBERLEY, SUSAN	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.72	0.00	9.72	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
04/23/2018	***-**-901I - SATTERLY, ANN	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.65	0.00	9.65	0.0	0.00
	ACCOUNT #: LSR010874	BUY 1 Units @0.0000						
04/23/2018	***-**-382K - SATTERLY, NEIL	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.37	0.00	4.37	0.0	0.00
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - CLARK, PATRICK	MFS CONSERVATIVE ALLOCATION CL C	0.00	18.47	0.00	18.47	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-0310 - MCVOY, ROBERT	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.53	0.00	4.53	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
04/23/2018	***-**-72IN - GAVALO, JULIE	MFS CONSERVATIVE ALLOCATION CL C	0.00	17.55	0.00	17.55	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	MFS CONSERVATIVE ALLOCATION CL C	0.00	17.25	0.00	17.25	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-065I - LAZIO, THOMAS	MFS CONSERVATIVE ALLOCATION CL C	0.00	7.95	0.00	7.95	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
04/23/2018	***-**-420T - DEMETRI, AMELIA	MFS CONSERVATIVE ALLOCATION CL C	0.00	6.29	0.00	6.29	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
04/23/2018	***-**-73TR - WESTCOTT IRRVOC	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.74	0.00	9.74	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
04/23/2018	***-**-837O - BASEMENT	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.95	0.00	4.95	0.0	0.00
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
04/23/2018	***-**-09IO - BATES, FBO MRS	MFS CONSERVATIVE ALLOCATION CL C	0.00	14.98	0.00	14.98	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/23/2018	***-**-89IN - LEE, ROGER	MFS CONSERVATIVE ALLOCATION CL C	0.00	18.01	0.00	18.01	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
04/23/2018	***-**-900J - LEE, MR.	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.35	0.00	4.35	0.0	0.00
	ACCOUNT #: LSR011186	BUY 1 Units @0.0000						
04/23/2018	***-**-06IR - CAMPBELL, PAMELA	MFS CONSERVATIVE ALLOCATION CL C	0.00	6.52	0.00	6.52	0.0	0.00
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
04/23/2018	***-**-11IO - LYNN G.	MFS CONSERVATIVE ALLOCATION CL C	0.00	14.23	0.00	14.23	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
04/23/2018	***-**-80IO - EVANS, RICHARD	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.73	0.00	9.73	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
04/23/2018	***-**-376I - BERBEN, GAIL	MFS CONSERVATIVE ALLOCATION CL C	0.00	14.21	0.00	14.21	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
04/23/2018	***-**-45IO - JOHNSON, GREGORY	MFS CONSERVATIVE ALLOCATION CL C	0.00	19.89	0.00	19.89	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-14IO - BUSHEY, MATTHEW	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.44	0.00	9.44	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-37IO - MCCLUSKY, MARK	MFS CONSERVATIVE ALLOCATION CL C	0.00	7.83	0.00	7.83	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
04/23/2018	***-**-99IN - EDELMAN, TINA	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.08	0.00	0.08	0.0	0.00
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
04/23/2018	***-**-28IN - BYWATER, KIM	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.13	0.00	0.13	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
04/23/2018	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-A	0.00	1.16	0.00	1.16	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/23/2018	***-**-254I - AUGUSTINE, LINDA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.19	0.00	2.19	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/23/2018	***-**-960J - MASTRANGELO,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	5.61	0.00	5.61	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
04/23/2018	***-**-51IO - CAIN, TIMOTHY	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.65	0.00	2.65	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.11	0.00	2.11	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/23/2018	***-**-326J - GRANDE, MR	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
04/23/2018	***-**-13IN - RHYMESTINE,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.04	0.00	1.04	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
04/23/2018	***-**-367J - WAGNER, MRS LANT	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
04/23/2018	***-**-992J - CORNACCHIA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.40	0.00	0.40	0.0	0.00
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - WILLIAMSON, FBO	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	3.97	0.00	3.97	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
04/23/2018	***-**-64IO - PFAFF, GEORGE	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.16	0.00	1.16	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-448X - ANACKER, SUSAN ACCOUNT #: LSR011578	MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	0.0	0.00
04/23/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	4.58	0.00	4.58	0.0	0.00
04/23/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	9.20	0.00	9.20	0.0	0.00
04/23/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	16.70	0.00	16.70	0.0	0.00
04/23/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	12.99	0.00	12.99	0.0	0.00
04/23/2018	***-**-132O - EVANS, THOMAS ACCOUNT #: LSR011074	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	8.24	0.00	8.24	0.0	0.00
04/23/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	21.35	0.00	21.35	0.0	0.00
04/23/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	23.78	0.00	23.78	0.0	0.00
04/23/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	14.24	0.00	14.24	0.0	0.00
04/23/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	5.90	0.00	5.90	0.0	0.00
04/23/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	5.90	0.00	5.90	0.0	0.00
04/23/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	3.13	0.00	3.13	0.0	0.00
04/23/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	6.20	0.00	6.20	0.0	0.00
04/23/2018	***-**-81IR - CAMPBELL, ACCOUNT #: LSR011223	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	5.98	0.00	5.98	0.0	0.00
04/23/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: LSR011244	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	2.24	0.00	2.24	0.0	0.00
04/23/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	9.17	0.00	9.17	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-45IO - JOHNSON, GREGORY	MFS DIVERSIFIED INCOME FD CL C	0.00	13.89	0.00	13.89	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-14IO - BUSHEY, MATTHEW	MFS DIVERSIFIED INCOME FD CL C	0.00	13.68	0.00	13.68	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
04/23/2018	***-**-37IO - MCCLUSKY, MARK	MFS DIVERSIFIED INCOME FD CL C	0.00	5.03	0.00	5.03	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
04/23/2018	***-**-35IN - RUGGIERO, LAURIE	MFS DIVERSIFIED INCOME FD CL C	0.00	0.02	0.00	0.02	0.0	0.00
	ACCOUNT #: LSR012314	BUY 1 Units @0.0000						
04/23/2018	***-**-24IN - BLISS, RYAN	MFS EMERGING GROWTH FUND-B	0.00	0.29	0.00	0.29	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
04/23/2018	***-**-881I - EBERLEY, SUSAN	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
04/23/2018	***-**-960J - MASTRANGELO,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.45	0.00	1.45	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-579J - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
04/23/2018	***-**-326I - GRANDE, FBO MR	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.46	0.00	1.46	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
04/23/2018	***-**-197I - GAMBINO, ANDREW	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.23	0.00	0.23	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
04/23/2018	***-**-45IR - WILLIAMSON,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.90	0.00	0.90	0.0	0.00
	ACCOUNT #: LSR011764	BUY 1 Units @0.0000						
04/23/2018	***-**-254I - AUGUSTINE, LINDA	MFS EMERGING MKT DEBT CL B	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
04/23/2018	***-**-881J - EBERLEY, SUSAN	MFS EMERGING MKT DEBT CL B	0.00	0.83	0.00	0.83	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
04/23/2018	***-**-949I - ACEE, JOSPEH	MFS EMERGING MKT DEBT CL B	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - HARTZ, CLAUDIA	MFS EMERGING MKT DEBT CL B	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	0.0	0.00
04/23/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.33	0.00	1.33	0.0	0.00
04/23/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.18	0.00	1.18	0.0	0.00
04/23/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.37	0.00	0.37	0.0	0.00
04/23/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.91	0.00	0.91	0.0	0.00
04/23/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	0.0	0.00
04/23/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.21	0.00	1.21	0.0	0.00
04/23/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.52	0.00	0.52	0.0	0.00
04/23/2018	***-**-29IO - MASSOUD, ACCOUNT #: LSR011217	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	0.0	0.00
04/23/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS EMERGING MKTS DEBT CLASS C BUY 1 Units @0.0000	0.00	3.28	0.00	3.28	0.0	0.00
04/23/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS EQUITY OPPORTUNITIES CL B BUY 1 Units @0.0000	0.00	1.68	0.00	1.68	0.0	0.00
04/23/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS GLOBAL ALTERNATIVE STRAT A BUY 1 Units @0.0000	0.00	0.64	0.00	0.64	0.0	0.00
04/23/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS GLOBAL ALTERNATIVE STRAT B BUY 1 Units @0.0000	0.00	0.44	0.00	0.44	0.0	0.00
04/23/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	6.52	0.00	6.52	0.0	0.00
04/23/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	14.67	0.00	14.67	0.0	0.00
04/23/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	14.13	0.00	14.13	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-80IN - COBB, JAMES	MFS GLOBAL ALTERNATIVE STRAT C	0.00	7.56	0.00	7.56	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
04/23/2018	***-**-09IO - BATES, FBO MRS	MFS GLOBAL ALTERNATIVE STRAT C	0.00	12.86	0.00	12.86	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/23/2018	***-**-11IO - LYNN G.	MFS GLOBAL ALTERNATIVE STRAT C	0.00	17.50	0.00	17.50	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
04/23/2018	***-**-80IO - EVANS, RICHARD	MFS GLOBAL ALTERNATIVE STRAT C	0.00	10.76	0.00	10.76	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
04/23/2018	***-**-45IO - JOHNSON, GREGORY	MFS GLOBAL ALTERNATIVE STRAT C	0.00	13.14	0.00	13.14	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-094I - KATRENA L	MFS GLOBAL BOND FUND CLASS C	0.00	3.55	0.00	3.55	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
04/23/2018	***-**-978I - GUNN, KATHLEEN	MFS GLOBAL EQUITY FUND-B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
04/23/2018	***-**-53IN - EVANS, ANDREW	MFS GLOBAL EQUITY FUND-B	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
04/23/2018	***-**-24IN - BLISS, RYAN	MFS GLOBAL EQUITY FUND-B	0.00	0.32	0.00	0.32	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
04/23/2018	***-**-45IR - WILLIAMSON,	MFS GLOBAL EQUITY FUND-B	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: LSR011764	BUY 1 Units @0.0000						
04/23/2018	***-**-21IO - RADELL, SANDRA	MFS GLOBAL REAL ESTATE FUND CL B	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
04/23/2018	***-**-53IN - EVANS, ANDREW	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.28	0.00	0.28	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
04/23/2018	***-**-24IN - BLISS, RYAN	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.18	0.00	0.18	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
04/23/2018	***-**-38IO - BROWN, TYLER	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
04/23/2018	***-**-45IN - WILLIAMSON,	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
04/23/2018	***-**-628I - SANGER, SANDRA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-9440 - MAYO, DEBORAH	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.90	0.00	0.90	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/23/2018	***-**-961N - NESSIA, BONNIE	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
04/23/2018	***-**-861I - SANGER, LAWRENCE	MFS GLOBAL TOTAL RETURN FUND-A	0.00	2.08	0.00	2.08	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
04/23/2018	***-**-021N - BUSHEY, MELISSA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
04/23/2018	***-**-653J - KOCHER, CLINTON	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
04/23/2018	***-**-254I - AUGUSTINE, LINDA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
04/23/2018	***-**-881J - EBERLEY, SUSAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
04/23/2018	***-**-949I - ACEE, JOSPEH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.53	0.00	1.53	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
04/23/2018	***-**-311O - HARTZ, CLAUDIA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.91	0.00	2.91	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-960J - MASTRANGELO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.17	0.00	2.17	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
04/23/2018	***-**-511O - CAIN, TIMOTHY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.66	0.00	1.66	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
04/23/2018	***-**-60UT - FALCHI, ADALYNN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.23	0.00	0.23	0.0	0.00
	ACCOUNT #: LSR011010	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	MFS GLOBAL TOTAL RETURN FUND-B	0.00	5.86	0.00	5.86	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-63TR - EVANS, AUDREY J	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.09	0.00	3.09	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
04/23/2018	***-**-306X - COBB, CHERRYL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-96IN - NESSIA, BONNIE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.00	0.00	3.00	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-13IN - RHYMESTINE,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
04/23/2018	***-**-76IO - MCALLISTER, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
04/23/2018	***-**-506J - CURRIERE JR, MR	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.94	0.00	0.94	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
04/23/2018	***-**-367J - WAGNER, MRS LANT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.70	0.00	1.70	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - WILLIAMSON, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.76	0.00	2.76	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
04/23/2018	***-**-64IO - PFAFF, GEORGE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
04/23/2018	***-**-62IR - ROBBIANO, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
04/23/2018	***-**-52IO - EUSEPI, SUSAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.91	0.00	2.91	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
04/23/2018	***-**-653I - KOCHER, CLINTON	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.71	0.00	2.71	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
04/23/2018	***-**-62IN - EATON, DAVID	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
04/23/2018	***-**-21IO - RADELL, SANDRA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
04/23/2018	***-**-241I - DINITTO, ALLISYN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.29	0.00	1.29	0.0	0.00
	ACCOUNT #: LSR011444	BUY 1 Units @0.0000						
04/23/2018	***-**-51IN - GERACE, JOANNE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
04/23/2018	***-**-09IO - BATES, FBO MRS	MFS GLOBAL TOTAL RETURN FUND-C	0.00	18.89	0.00	18.89	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	MFS GLOBAL TOTAL RETURN FUND-C BUY 1 Units @0.0000	0.00	14.55	0.00	14.55	0.0	0.00
04/23/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	MFS GLOBAL TOTAL RETURN FUND-C BUY 1 Units @0.0000	0.00	13.17	0.00	13.17	0.0	0.00
04/23/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MFS GLOBAL TOTAL RETURN FUND-C BUY 1 Units @0.0000	0.00	15.09	0.00	15.09	0.0	0.00
04/23/2018	***-**-13IN - ROTH, KAREN ACCOUNT #: LSR011954	MFS GOVERNMENT SECURITIES FUND-A BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	0.0	0.00
04/23/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	MFS GOVERNMENT SECURITIES FUND-B BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	0.0	0.00
04/23/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	MFS GOVERNMENT SECURITIES FUND-B BUY 1 Units @0.0000	0.00	0.55	0.00	0.55	0.0	0.00
04/23/2018	***-**-13IN - ROTH, KAREN ACCOUNT #: LSR011954	MFS GOVERNMENT SECURITIES FUND-B BUY 1 Units @0.0000	0.00	0.56	0.00	0.56	0.0	0.00
04/23/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS HIGH INCOME CLASS C BUY 1 Units @0.0000	0.00	10.93	0.00	10.93	0.0	0.00
04/23/2018	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	MFS HIGH INCOME FUND-B BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	0.0	0.00
04/23/2018	***-**-13IN - ROTH, KAREN ACCOUNT #: LSR011954	MFS HIGH INCOME FUND-B BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	0.0	0.00
04/23/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	MFS HIGH YIELD OPPORTUNITIES FUND-B BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	0.0	0.00
04/23/2018	***-**-13IN - ROTH, KAREN ACCOUNT #: LSR011954	MFS HIGH YIELD OPPORTUNITIES FUND-B BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	0.0	0.00
04/23/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	MFS HIGH YIELD OPPORTUNITIES FUND-C BUY 1 Units @0.0000	0.00	9.28	0.00	9.28	0.0	0.00
04/23/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	MFS HIGH YIELD OPPORTUNITIES FUND-C BUY 1 Units @0.0000	0.00	9.26	0.00	9.26	0.0	0.00
04/23/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	0.0	0.00
04/23/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.49	0.00	0.49	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-31IO - HARTZ, CLAUDIA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	MFS INFLATION ADJUSTED BOND CL B	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/23/2018	***-**-960J - MASTRANGELO,	MFS INFLATION ADJUSTED BOND CL B	0.00	0.29	0.00	0.29	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
04/23/2018	***-**-366I - GRUENEWALD,	MFS INFLATION ADJUSTED BOND CL B	0.00	0.36	0.00	0.36	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	MFS INFLATION ADJUSTED BOND CL B	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-63TR - EVANS, AUDREY J	MFS INFLATION ADJUSTED BOND CL B	0.00	0.32	0.00	0.32	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
04/23/2018	***-**-580X - COBB, JAMES	MFS INFLATION ADJUSTED BOND CL B	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
04/23/2018	***-**-111J - NESSIA, JAMES	MFS INFLATION ADJUSTED BOND CL B	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
04/23/2018	***-**-326J - GRANDE, MR	MFS INFLATION ADJUSTED BOND CL B	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
04/23/2018	***-**-76IO - MCALLISTER, FBO	MFS INFLATION ADJUSTED BOND CL B	0.00	0.35	0.00	0.35	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
04/23/2018	***-**-506J - CURRIERE JR, MR	MFS INFLATION ADJUSTED BOND CL B	0.00	0.18	0.00	0.18	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - ANACKER, FBO MRS	MFS INFLATION ADJUSTED BOND CL B	0.00	0.83	0.00	0.83	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - WILLIAMSON, FBO	MFS INFLATION ADJUSTED BOND CL B	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
04/23/2018	***-**-64IO - PFAFF, GEORGE	MFS INFLATION ADJUSTED BOND CL B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
04/23/2018	***-**-62IR - ROBBIANO, FBO	MFS INFLATION ADJUSTED BOND CL B	0.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
04/23/2018	***-**-382I - SATTERLY, NEIL	MFS INFLATION ADJUSTED BOND CL C	0.00	9.78	0.00	9.78	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-0310 - MCVOY, ROBERT	MFS INFLATION ADJUSTED BOND CL C	0.00	2.76	0.00	2.76	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
04/23/2018	***-**-4410 - MAYO, DEBORAH	MFS INFLATION ADJUSTED BOND CL C	0.00	13.16	0.00	13.16	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/23/2018	***-**-861I - SANGER, LAWRENCE	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
04/23/2018	***-**-065I - LAZIO, THOMAS	MFS INTERNATIONAL NEW DISCOVERY CL	0.00	5.94	0.00	5.94	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
04/23/2018	***-**-254I - AUGUSTINE, LINDA	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.44	0.00	1.44	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
04/23/2018	***-**-930I - SANGER, KEVIN	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.87	0.00	0.87	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.96	0.00	1.96	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-960J - MASTRANGELO,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	4.94	0.00	4.94	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-944O - MAYO, DEBORAH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/23/2018	***-**-13IN - RHYMESTINE,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
04/23/2018	***-**-311O - WILLIAMSON, FBO	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.21	0.00	2.21	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
04/23/2018	***-**-031O - MASTRANGELO,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.30	0.00	2.30	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
04/23/2018	***-**-861I - SANGER, LAWRENCE	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
04/23/2018	***-**-511O - CAIN, TIMOTHY	MFS INTERNATIONAL VALUE FUND-B	0.00	0.94	0.00	0.94	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
04/23/2018	***-**-861I - SANGER, LAWRENCE	MFS LIFETIME INCOME CLASS A	0.00	1.36	0.00	1.36	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-959J - FRANZ, PAUL	MFS MODERATE ALLOCATION CL C	0.00	14.41	0.00	14.41	0.0	0.00
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
04/23/2018	***-**-86IN - LEE, KEVIN	MFS MODERATE ALLOCATION CL C	0.00	24.78	0.00	24.78	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
04/23/2018	***-**-960J - MASTRANGELO,	MFS NEW DISCOVERY FUND-B	0.00	2.42	0.00	2.42	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - WILLIAMSON, FBO	MFS NEW DISCOVERY FUND-B	0.00	1.46	0.00	1.46	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
04/23/2018	***-**-978I - GUNN, KATHLEEN	MFS NEW DISCOVERY FUND-B	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
04/23/2018	***-**-45IO - WILLIAMSON,	MFS NEW DISCOVERY FUND-B	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR011756	BUY 1 Units @0.0000						
04/23/2018	***-**-197I - GAMBINO, ANDREW	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.27	0.00	0.27	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
04/23/2018	***-**-53IN - EVANS, ANDREW	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
04/23/2018	***-**-24IN - BLISS, RYAN	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
04/23/2018	***-**-38IO - BROWN, TYLER	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.73	0.00	0.73	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
04/23/2018	***-**-36IR - SANGER, BETH	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.24	0.00	0.24	0.0	0.00
	ACCOUNT #: LSR011757	BUY 1 Units @0.0000						
04/23/2018	***-**-382I - SATTERLY, NEIL	MFS NEW DISCOVERY VALUE FUND CL C	0.00	11.00	0.00	11.00	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
04/23/2018	***-**-44IO - MAYO, DEBORAH	MFS NEW DISCOVERY VALUE FUND CL C	0.00	13.51	0.00	13.51	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/23/2018	***-**-63TR - EVANS, AUDREY J	MFS NEW YORK MUNICIPAL BOND FUND-B	0.00	1.63	0.00	1.63	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
04/23/2018	***-**-111J - NESSIA, JAMES	MFS NEW YORK MUNICIPAL BOND FUND-B	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
04/23/2018	***-**-861I - SANGER, LAWRENCE	MFS RESEARCH BOND FUND CLASS A	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-02IN - BUSHEY, MELISSA	MFS RESEARCH BOND FUND CLASS A	0.00	0.22	0.00	0.22	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
04/23/2018	***-**-254I - AUGUSTINE, LINDA	MFS RESEARCH BOND FUND-B	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	MFS RESEARCH BOND FUND-B	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-51IO - CAIN, TIMOTHY	MFS RESEARCH BOND FUND-B	0.00	1.34	0.00	1.34	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	MFS RESEARCH BOND FUND-B	0.00	1.34	0.00	1.34	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-111J - NESSIA, JAMES	MFS RESEARCH BOND FUND-B	0.00	0.38	0.00	0.38	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
04/23/2018	***-**-76IO - MCALLISTER, FBO	MFS RESEARCH BOND FUND-B	0.00	0.53	0.00	0.53	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
04/23/2018	***-**-367J - WAGNER, MRS LANT	MFS RESEARCH BOND FUND-B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - WILLIAMSON, FBO	MFS RESEARCH BOND FUND-B	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
04/23/2018	***-**-62IN - EATON, DAVID	MFS RESEARCH BOND FUND-B	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
04/23/2018	***-**-326J - GRANDE, MR	MFS STRATEGIC INCOME FUND-B	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
04/23/2018	***-**-382I - SATTERLY, NEIL	MFS TECHNOLOGY CLASS C	0.00	10.87	0.00	10.87	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - CLARK, PATRICK	MFS TECHNOLOGY CLASS C	0.00	7.86	0.00	7.86	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
04/23/2018	***-**-031O - MCVOY, ROBERT	MFS TECHNOLOGY CLASS C	0.00	5.11	0.00	5.11	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
04/23/2018	***-**-930I - SANGER, KEVIN	MFS TECHNOLOGY CLASS C	0.00	9.66	0.00	9.66	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
04/23/2018	***-**-065I - LAZIO, THOMAS	MFS TECHNOLOGY CLASS C	0.00	6.27	0.00	6.27	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						



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KURT GRUENEWALD
2108 Genesee St.
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BROKER #: A77
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-00IO - LEE, GARY	MFS TECHNOLOGY CLASS C	0.00	12.48	0.00	12.48	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
04/23/2018	***-**-44IO - MAYO, DEBORAH	MFS TECHNOLOGY CLASS C	0.00	5.22	0.00	5.22	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/23/2018	***-**-09IO - BATES, FBO MRS	MFS TECHNOLOGY CLASS C	0.00	12.32	0.00	12.32	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/23/2018	***-**-89IN - LEE, ROGER	MFS TECHNOLOGY CLASS C	0.00	6.66	0.00	6.66	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
04/23/2018	***-**-094I - KATRENA L	MFS TECHNOLOGY CLASS C	0.00	6.93	0.00	6.93	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
04/23/2018	***-**-06IR - CAMPBELL, PAMELA	MFS TECHNOLOGY CLASS C	0.00	8.65	0.00	8.65	0.0	0.00
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
04/23/2018	***-**-11IO - LYNN G.	MFS TECHNOLOGY CLASS C	0.00	7.15	0.00	7.15	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
04/23/2018	***-**-45IO - JOHNSON, GREGORY	MFS TECHNOLOGY CLASS C	0.00	8.61	0.00	8.61	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-37IO - MCCLUSKY, MARK	MFS TECHNOLOGY CLASS C	0.00	2.72	0.00	2.72	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
04/23/2018	***-**-86IN - LEE, KEVIN	MFS TECHNOLOGY CLASS C	0.00	10.83	0.00	10.83	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
04/23/2018	***-**-99IN - EDELMAN, TINA	MFS TECHNOLOGY CLASS C	0.00	0.11	0.00	0.11	0.0	0.00
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
04/23/2018	***-**-28IN - BYWATER, KIM	MFS TECHNOLOGY CLASS C	0.00	0.20	0.00	0.20	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
04/23/2018	***-**-944O - MAYO, DEBORAH	MFS TECHNOLOGY FUND CLASS A	0.00	1.32	0.00	1.32	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/23/2018	***-**-808J - GORMAN, RANDY	MFS TECHNOLOGY FUND CLASS A	0.00	0.24	0.00	0.24	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
04/23/2018	***-**-02IN - BUSHEY, MELISSA	MFS TECHNOLOGY FUND CLASS A	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - HARTZ, CLAUDIA	MFS TECHNOLOGY FUND-B	0.00	0.94	0.00	0.94	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-15IN - PENDRAK, JOHN	MFS TECHNOLOGY FUND-B	0.00	2.45	0.00	2.45	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	MFS TECHNOLOGY FUND-B	0.00	2.04	0.00	2.04	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-169I - EVANS, PAUL	MFS TECHNOLOGY FUND-B	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
04/23/2018	***-**-580X - COBB, JAMES	MFS TECHNOLOGY FUND-B	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
04/23/2018	***-**-579J - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	1.05	0.00	1.05	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	1.43	0.00	1.43	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-326I - GRANDE, FBO MR	MFS TECHNOLOGY FUND-B	0.00	1.78	0.00	1.78	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
04/23/2018	***-**-992J - CORNACCHIA	MFS TECHNOLOGY FUND-B	0.00	0.45	0.00	0.45	0.0	0.00
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - ANACKER, FBO MRS	MFS TECHNOLOGY FUND-B	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - WILLIAMSON, FBO	MFS TECHNOLOGY FUND-B	0.00	1.63	0.00	1.63	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
04/23/2018	***-**-664J - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	1.97	0.00	1.97	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
04/23/2018	***-**-64IO - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	1.07	0.00	1.07	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
04/23/2018	***-**-52IO - EUSEPI, SUSAN	MFS TECHNOLOGY FUND-B	0.00	1.42	0.00	1.42	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
04/23/2018	***-**-37IR - HARTZ, RENEE	MFS TECHNOLOGY FUND-B	0.00	1.59	0.00	1.59	0.0	0.00
	ACCOUNT #: LSR011259	BUY 1 Units @0.0000						
04/23/2018	***-**-75IR - EVANS, DIANE	MFS TECHNOLOGY FUND-B	0.00	1.51	0.00	1.51	0.0	0.00
	ACCOUNT #: LSR011275	BUY 1 Units @0.0000						
04/23/2018	***-**-653I - KOCHER, CLINTON	MFS TECHNOLOGY FUND-B	0.00	3.44	0.00	3.44	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-680I - HARRELL, DARYL	MFS TECHNOLOGY FUND-B	0.00	1.60	0.00	1.60	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
04/23/2018	***-**-978I - GUNN, KATHLEEN	MFS TECHNOLOGY FUND-B	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
04/23/2018	***-**-197I - GAMBINO, ANDREW	MFS TECHNOLOGY FUND-B	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
04/23/2018	***-**-53IN - EVANS, ANDREW	MFS TECHNOLOGY FUND-B	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
04/23/2018	***-**-38IO - BROWN, TYLER	MFS TECHNOLOGY FUND-B	0.00	1.05	0.00	1.05	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
04/23/2018	***-**-03IO - MASTRANGELO,	MFS TECHNOLOGY FUND-B	0.00	1.95	0.00	1.95	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
04/23/2018	***-**-45IR - WILLIAMSON,	MFS TECHNOLOGY FUND-B	0.00	1.75	0.00	1.75	0.0	0.00
	ACCOUNT #: LSR011764	BUY 1 Units @0.0000						
04/23/2018	***-**-881J - EBERLEY, SUSAN	MFS TOTAL RETURN FUND-B	0.00	1.61	0.00	1.61	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
04/23/2018	***-**-949I - ACEE, JOSPEH	MFS TOTAL RETURN FUND-B	0.00	1.87	0.00	1.87	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
04/23/2018	***-**-960J - MASTRANGELO,	MFS TOTAL RETURN FUND-B	0.00	1.90	0.00	1.90	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
04/23/2018	***-**-506J - CURRIERE JR, MR	MFS TOTAL RETURN FUND-B	0.00	0.98	0.00	0.98	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - WILLIAMSON, FBO	MFS TOTAL RETURN FUND-B	0.00	2.21	0.00	2.21	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
04/23/2018	***-**-62IR - ROBBIANO, FBO	MFS TOTAL RETURN FUND-B	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
04/23/2018	***-**-944O - MAYO, DEBORAH	MFS UTILITIES FUND-A	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/23/2018	***-**-96IN - NESSIA, BONNIE	MFS UTILITIES FUND-A	0.00	0.23	0.00	0.23	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
04/23/2018	***-**-808J - GORMAN, RANDY	MFS UTILITIES FUND-A	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-31IO - HARTZ, CLAUDIA	MFS UTILITIES FUND-B	0.00	1.31	0.00	1.31	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	MFS UTILITIES FUND-B	0.00	1.82	0.00	1.82	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/23/2018	***-**-366S - GRUENEWALD,	MFS UTILITIES FUND-B	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
04/23/2018	***-**-61IN - EVANS, DOLORES	MFS UTILITIES FUND-B	0.00	0.28	0.00	0.28	0.0	0.00
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
04/23/2018	***-**-63TR - EVANS, AUDREY J	MFS UTILITIES FUND-B	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
04/23/2018	***-**-306X - COBB, CHERRYL	MFS UTILITIES FUND-B	0.00	1.93	0.00	1.93	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
04/23/2018	***-**-96IN - NESSIA, BONNIE	MFS UTILITIES FUND-B	0.00	0.31	0.00	0.31	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-326J - GRANDE, MR	MFS UTILITIES FUND-B	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
04/23/2018	***-**-326I - GRANDE, FBO MR	MFS UTILITIES FUND-B	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
04/23/2018	***-**-13IN - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
04/23/2018	***-**-76IO - MCALLISTER, FBO	MFS UTILITIES FUND-B	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
04/23/2018	***-**-367J - WAGNER, MRS LANT	MFS UTILITIES FUND-B	0.00	1.61	0.00	1.61	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - WILLIAMSON, FBO	MFS UTILITIES FUND-B	0.00	1.30	0.00	1.30	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
04/23/2018	***-**-64IO - PFAFF, GEORGE	MFS UTILITIES FUND-B	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
04/23/2018	***-**-653I - KOCHER, CLINTON	MFS UTILITIES FUND-B	0.00	1.38	0.00	1.38	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-62IN - EATON, DAVID	MFS UTILITIES FUND-B	0.00	1.30	0.00	1.30	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
04/23/2018	***-**-978I - GUNN, KATHLEEN	MFS UTILITIES FUND-B	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
04/23/2018	***-**-21IO - RADELL, SANDRA	MFS UTILITIES FUND-B	0.00	1.59	0.00	1.59	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
04/23/2018	***-**-41IR - DINITTO, ALLISYN	MFS UTILITIES FUND-B	0.00	0.45	0.00	0.45	0.0	0.00
	ACCOUNT #: LSR011443	BUY 1 Units @0.0000						
04/23/2018	***-**-197I - GAMBINO, ANDREW	MFS UTILITIES FUND-B	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
04/23/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
04/23/2018	***-**-24IN - BLISS, RYAN	MFS UTILITIES FUND-B	0.00	0.11	0.00	0.11	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
04/23/2018	***-**-51IN - GERACE, JOANNE	MFS UTILITIES FUND-B	0.00	1.48	0.00	1.48	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
04/23/2018	***-**-38IO - BROWN, TYLER	MFS UTILITIES FUND-B	0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
04/23/2018	***-**-45IO - WILLIAMSON,	MFS UTILITIES FUND-B	0.00	0.55	0.00	0.55	0.0	0.00
	ACCOUNT #: LSR011756	BUY 1 Units @0.0000						
04/23/2018	***-**-235I - AUGUSTINE III,	MFS UTILITIES FUND-C	0.00	8.77	0.00	8.77	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
04/23/2018	***-**-980I - ACEE, ELIZABETH	MFS UTILITIES FUND-C	0.00	10.46	0.00	10.46	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - CLARK, PATRICK	MFS UTILITIES FUND-C	0.00	8.84	0.00	8.84	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
04/23/2018	***-**-031O - MCVOY, ROBERT	MFS UTILITIES FUND-C	0.00	4.46	0.00	4.46	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
04/23/2018	***-**-065I - LAZIO, THOMAS	MFS UTILITIES FUND-C	0.00	10.40	0.00	10.40	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
04/23/2018	***-**-00IO - LEE, GARY	MFS UTILITIES FUND-C	0.00	10.38	0.00	10.38	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-09IO - BATES, FBO MRS	MFS UTILITIES FUND-C	0.00	10.90	0.00	10.90	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/23/2018	***-**-89IN - LEE, ROGER	MFS UTILITIES FUND-C	0.00	6.54	0.00	6.54	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
04/23/2018	***-**-81IR - CAMPBELL,	MFS UTILITIES FUND-C	0.00	6.78	0.00	6.78	0.0	0.00
	ACCOUNT #: LSR011223	BUY 1 Units @0.0000						
04/23/2018	***-**-11IO - LYNN G.	MFS UTILITIES FUND-C	0.00	9.42	0.00	9.42	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
04/23/2018	***-**-37IR - HARTZ, RENEE	MFS UTILITIES FUND-C	0.00	0.05	0.00	0.05	0.0	0.00
	ACCOUNT #: LSR011259	BUY 1 Units @0.0000						
04/23/2018	***-**-80IO - EVANS, RICHARD	MFS UTILITIES FUND-C	0.00	7.24	0.00	7.24	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
04/23/2018	***-**-376I - BERBEN, GAIL	MFS UTILITIES FUND-C	0.00	9.42	0.00	9.42	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
04/23/2018	***-**-45IO - JOHNSON, GREGORY	MFS UTILITIES FUND-C	0.00	8.40	0.00	8.40	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-14IO - BUSHEY, MATTHEW	MFS UTILITIES FUND-C	0.00	9.23	0.00	9.23	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
04/23/2018	***-**-22IO - CLINTON, STEPHEN	MFS UTILITIES FUND-C	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
04/23/2018	***-**-7140 - LINES, JUDITH	MFS UTILITIES FUND-C	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
04/23/2018	***-**-35IN - RUGGIERO, LAURIE	MFS UTILITIES FUND-C	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: LSR012314	BUY 1 Units @0.0000						
04/23/2018	***-**-13IN - ROTH, KAREN	MFS VALUE FUND-B	0.00	1.04	0.00	1.04	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
04/23/2018	***-**-20IO - DEMETRI, AMELIA	NEW PERSPECTIVE FUND-A	0.00	1.88	0.00	1.88	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
04/23/2018	***-**-702I - KOCHER, MICHAEL	NEW WORLD FUND-A	0.00	2.85	0.00	2.85	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
04/23/2018	***-**-326I - GRANDE, FBO MR	NEW WORLD FUND-A	0.00	2.59	0.00	2.59	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-680I - HARRELL, DARYL	NEW WORLD FUND-A	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
04/23/2018	***-**-128I - BASHANT, THOMAS	NEW WORLD FUND-A	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
04/23/2018	***-**-30TR - AND SANDRA	NEW WORLD FUND-A	0.00	2.13	0.00	2.13	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	OPP PORT SERIES: ACTIVE ALLOC A	0.00	1.62	0.00	1.62	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/23/2018	***-**-80IN - COBB, JAMES	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	7.66	0.00	7.66	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
04/23/2018	***-**-44IO - MAYO, DEBORAH	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	15.09	0.00	15.09	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/23/2018	***-**-09IO - BATES, FBO MRS	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	16.88	0.00	16.88	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/23/2018	***-**-11IO - LYNN G.	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	14.65	0.00	14.65	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
04/23/2018	***-**-45IO - JOHNSON, GREGORY	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	12.94	0.00	12.94	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-28IN - BYWATER, KIM	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
04/23/2018	***-**-881J - EBERLEY, SUSAN	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.67	0.00	1.67	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.35	0.00	0.35	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-51IO - CAIN, TIMOTHY	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.46	0.00	2.46	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
04/23/2018	***-**-96IN - NESSIA, BONNIE	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.83	0.00	0.83	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - WILLIAMSON, FBO	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
04/23/2018	***-**-680I - HARRELL, DARYL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	OPPENHEIMER GBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	5.25	0.00	5.25	0.0	0.00
04/23/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	5.27	0.00	5.27	0.0	0.00
04/23/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	1.57	0.00	1.57	0.0	0.00
04/23/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	3.89	0.00	3.89	0.0	0.00
04/23/2018	***-**-481O - CLARK, PATRICK ACCOUNT #: LSR010911	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.09	0.00	5.09	0.0	0.00
04/23/2018	***-**-311O - HARTZ, CLAUDIA ACCOUNT #: LSR010915	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	0.0	0.00
04/23/2018	***-**-721N - GAVALO, JULIE ACCOUNT #: LSR010921	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.24	0.00	2.24	0.0	0.00
04/23/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.42	0.00	5.42	0.0	0.00
04/23/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.33	0.00	2.33	0.0	0.00
04/23/2018	***-**-001O - LEE, GARY ACCOUNT #: LSR011059	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	7.18	0.00	7.18	0.0	0.00
04/23/2018	***-**-091O - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.35	0.00	2.35	0.0	0.00
04/23/2018	***-**-111O - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	6.73	0.00	6.73	0.0	0.00
04/23/2018	***-**-451O - JOHNSON, GREGORY ACCOUNT #: LSR011421	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.49	0.00	5.49	0.0	0.00
04/23/2018	***-**-511N - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	1.49	0.00	1.49	0.0	0.00
04/23/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	0.0	0.00
04/23/2018	***-**-281N - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER INTERNATIONAL SMALL COM BUY 1 Units @0.0000	0.00	2.47	0.00	2.47	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	2.64	0.00	2.64	0.0	0.00
04/23/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	3.33	0.00	3.33	0.0	0.00
04/23/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000	0.00	1.90	0.00	1.90	0.0	0.00
04/23/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	27.36	0.00	27.36	0.0	0.00
04/23/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.73	0.00	5.73	0.0	0.00
04/23/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	8.86	0.00	8.86	0.0	0.00
04/23/2018	***-**-511N - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.72	0.00	7.72	0.0	0.00
04/23/2018	***-**-371O - MCCLUSKY, MARK ACCOUNT #: LSR011579	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.08	0.00	5.08	0.0	0.00
04/23/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.60	0.00	7.60	0.0	0.00
04/23/2018	***-**-281N - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	1.63	0.00	1.63	0.0	0.00
04/23/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	OPPENHEIMER ROCHEST AMT-FREE NY MUN BUY 1 Units @0.0000	0.00	7.18	0.00	7.18	0.0	0.00
04/23/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.50	0.00	1.50	0.0	0.00
04/23/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.42	0.00	0.42	0.0	0.00
04/23/2018	***-**-151N - PENDRAK, JOHN ACCOUNT #: LSR010948	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	0.0	0.00
04/23/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.73	0.00	1.73	0.0	0.00
04/23/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-580X - COBB, JAMES	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.04	0.00	1.04	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
04/23/2018	***-**-111J - NESSIA, JAMES	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
04/23/2018	***-**-13IN - RHYMESTINE,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
04/23/2018	***-**-62IN - EATON, DAVID	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
04/23/2018	***-**-80IN - COBB, JAMES	OPPENHEIMER STEELPATH MLP ALPHA PLU	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
04/23/2018	***-**-837O - BASEMENT	OPPENHEIMERSTEELPATH MLP INCOME CL	0.00	2.67	0.00	2.67	0.0	0.00
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
04/23/2018	***-**-80IN - COBB, JAMES	OPPENHEIMERSTEELPATH MLP SELECT 40	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - CLARK, PATRICK	PORT SERIES: CONS INV C	0.00	17.57	0.00	17.57	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
04/23/2018	***-**-72IN - GAVALO, JULIE	PORT SERIES: CONS INV C	0.00	22.87	0.00	22.87	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
04/23/2018	***-**-420T - DEMETRI, AMELIA	PORT SERIES: CONS INV C	0.00	6.06	0.00	6.06	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
04/23/2018	***-**-73UT - COBB, CHRSTIAN	PORT SERIES: CONS INV C	0.00	4.63	0.00	4.63	0.0	0.00
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
04/23/2018	***-**-67UT - COBB,	PORT SERIES: CONS INV C	0.00	4.63	0.00	4.63	0.0	0.00
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
04/23/2018	***-**-89IN - LEE, ROGER	PORT SERIES: CONS INV C	0.00	10.00	0.00	10.00	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
04/23/2018	***-**-52IO - EUSEPI, SUSAN	PORT SERIES: CONS INV C	0.00	12.51	0.00	12.51	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
04/23/2018	***-**-439I - MCCARTHY, JAMES	PORT SERIES: CONS INV C	0.00	4.17	0.00	4.17	0.0	0.00
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						
04/23/2018	***-**-80IO - EVANS, RICHARD	PORT SERIES: CONS INV C	0.00	13.37	0.00	13.37	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-664J - PFAFF, GEORGE	PORT SERIES: EQUITY INV FD B	0.00	1.10	0.00	1.10	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
04/23/2018	***-**-254I - AUGUSTINE, LINDA	PORTFOLIO SERIES: CONS INV A	0.00	1.53	0.00	1.53	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	PORTFOLIO SERIES: CONS INV A	0.00	2.46	0.00	2.46	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	PORTFOLIO SERIES: CONS INV A	0.00	2.11	0.00	2.11	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-51IO - CAIN, TIMOTHY	PORTFOLIO SERIES: CONS INV A	0.00	2.08	0.00	2.08	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	PORTFOLIO SERIES: CONS INV A	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-944O - MAYO, DEBORAH	PORTFOLIO SERIES: CONS INV A	0.00	1.75	0.00	1.75	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/23/2018	***-**-861I - SANGER, LAWRENCE	PORTFOLIO SERIES: CONS INV A	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
04/23/2018	***-**-13IN - RHYMESTINE,	PORTFOLIO SERIES: CONS INV A	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
04/23/2018	***-**-02IN - BUSHEY, MELISSA	PORTFOLIO SERIES: CONS INV A	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
04/23/2018	***-**-62IN - EATON, DAVID	PORTFOLIO SERIES: CONS INV A	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
04/23/2018	***-**-567I - FRANZ, ALICE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	3.23	0.00	3.23	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
04/23/2018	***-**-664J - PFAFF, GEORGE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	4.41	0.00	4.41	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
04/23/2018	***-**-96IN - NESSIA, BONNIE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.38	0.00	1.38	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM UTILITIES GROWTH AND INCOME	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
04/23/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM 746792100	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	2.35	0.00	2.35	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/23/2018	***-**-169I - EVANS, PAUL	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
04/23/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
04/23/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
04/23/2018	***-**-62IN - EATON, DAVID	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.98	0.00	0.98	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
04/23/2018	***-**-51IN - GERACE, JOANNE	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.10	0.00	1.10	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
04/23/2018	***-**-235I - AUGUSTINE III,	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	4.33	0.00	4.33	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
04/23/2018	***-**-382I - SATTERLY, NEIL	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	14.58	0.00	14.58	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - CLARK, PATRICK	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.33	0.00	9.33	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
04/23/2018	***-**-72IN - GAVALO, JULIE	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.26	0.00	9.26	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
04/23/2018	***-**-065I - LAZIO, THOMAS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	7.23	0.00	7.23	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
04/23/2018	***-**-09IO - BATES, FBO MRS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.07	0.00	9.07	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/23/2018	***-**-11IO - LYNN G.	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	13.73	0.00	13.73	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
04/23/2018	***-**-80IO - EVANS, RICHARD	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	7.69	0.00	7.69	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.19	0.00	9.19	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-628I - SANGER, SANDRA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.76	0.00	0.76	0.0	0.00
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
04/23/2018	***-**-944O - MAYO, DEBORAH	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.78	0.00	1.78	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/23/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM ABSOLUTE RETURN 700-A	0.00	2.31	0.00	2.31	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.34	0.00	1.34	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
04/23/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.38	0.00	0.38	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
04/23/2018	***-**-653J - KOCHER, CLINTON	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
04/23/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
04/23/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM AMERICAN GOVERNMENT INCOME F	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM ASSET ALLOC BALANCED-C	0.00	4.77	0.00	4.77	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
04/23/2018	***-**-930I - SANGER, KEVIN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
04/23/2018	***-**-366S - GRUENEWALD,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
04/23/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.57	0.00	1.57	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.43	0.00	1.43	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-73UT - COBB, CHRISTIAN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
04/23/2018	***-**-67UT - COBB,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
04/23/2018	***-**-992J - CORNACCHIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
04/23/2018	***-**-66IO - RUDD, MICHAEL	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.16	0.00	0.16	0.0	0.00
	ACCOUNT #: LSR011268	BUY 1 Units @0.0000						
04/23/2018	***-**-21IO - RADELL, SANDRA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.57	0.00	1.57	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
04/23/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
04/23/2018	***-**-382I - SATTERLY, NEIL	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.57	0.00	7.57	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
04/23/2018	***-**-980I - ACEE, ELIZABETH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	12.05	0.00	12.05	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
04/23/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	8.08	0.00	8.08	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/23/2018	***-**-09IO - BATES, FBO MRS	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	17.25	0.00	17.25	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/23/2018	***-**-094I - KATRENA L	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	6.77	0.00	6.77	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
04/23/2018	***-**-11IO - LYNN G.	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	16.41	0.00	16.41	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
04/23/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	12.47	0.00	12.47	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-235I - AUGUSTINE III,	PUTNAM COMP	0.00	5.78	0.00	5.78	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
04/23/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM COMP	0.00	4.94	0.00	4.94	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - CLARK, PATRICK	PUTNAM COMP	0.00	7.93	0.00	7.93	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-72IN - GAVALO, JULIE	PUTNAM COMP	0.00	6.83	0.00	6.83	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
04/23/2018	***-**-959J - FRANZ, PAUL	PUTNAM COMP	0.00	10.30	0.00	10.30	0.0	0.00
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
04/23/2018	***-**-065I - LAZIO, THOMAS	PUTNAM COMP	0.00	5.87	0.00	5.87	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
04/23/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM COMP	0.00	5.24	0.00	5.24	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
04/23/2018	***-**-169I - EVANS, PAUL	PUTNAM COMP	0.00	4.20	0.00	4.20	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
04/23/2018	***-**-80IN - COBB, JAMES	PUTNAM COMP	0.00	7.58	0.00	7.58	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
04/23/2018	***-**-00IO - LEE, GARY	PUTNAM COMP	0.00	9.31	0.00	9.31	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
04/23/2018	***-**-09IO - BATES, FBO MRS	PUTNAM COMP	0.00	9.31	0.00	9.31	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/23/2018	***-**-89IN - LEE, ROGER	PUTNAM COMP	0.00	5.22	0.00	5.22	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
04/23/2018	***-**-094I - KATRENA L	PUTNAM COMP	0.00	7.30	0.00	7.30	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
04/23/2018	***-**-11IO - LYNN G.	PUTNAM COMP	0.00	9.64	0.00	9.64	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
04/23/2018	***-**-80IO - EVANS, RICHARD	PUTNAM COMP	0.00	4.76	0.00	4.76	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
04/23/2018	***-**-376I - BERBEN, GAIL	PUTNAM COMP	0.00	9.40	0.00	9.40	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
04/23/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM COMP	0.00	14.65	0.00	14.65	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM COMP	0.00	9.49	0.00	9.49	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
04/23/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM COMP	0.00	6.99	0.00	6.99	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-86IN - LEE, KEVIN	PUTNAM COMP	0.00	7.91	0.00	7.91	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
04/23/2018	***-**-51IO - SCALISE, MARY	PUTNAM COMP	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
04/23/2018	***-**-949I - ACEE, JOSPEH	PUTNAM CONV INCOME-GROWTH-B	0.00	2.30	0.00	2.30	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CONV INCOME-GROWTH-B	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
04/23/2018	***-**-567I - FRANZ, ALICE	PUTNAM CONV INCOME-GROWTH-B	0.00	2.98	0.00	2.98	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
04/23/2018	***-**-366S - GRUENEWALD,	PUTNAM CONV INCOME-GROWTH-B	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
04/23/2018	***-**-580X - COBB, JAMES	PUTNAM CONV INCOME-GROWTH-B	0.00	1.63	0.00	1.63	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	PUTNAM CONV INCOME-GROWTH-B	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-506J - CURRIERE JR, MR	PUTNAM CONV INCOME-GROWTH-B	0.00	1.07	0.00	1.07	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM CONV INCOME-GROWTH-B	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
04/23/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM CONV INCOME-GROWTH-B	0.00	1.41	0.00	1.41	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
04/23/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM CONV INCOME-GROWTH-B	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
04/23/2018	***-**-653I - KOCHEM, CLINTON	PUTNAM CONV INCOME-GROWTH-B	0.00	2.54	0.00	2.54	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
04/23/2018	***-**-00IO - LEE, GARY	PUTNAM CONVERTIBLE SECURITIES CL C	0.00	14.15	0.00	14.15	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
04/23/2018	***-**-11IO - LYNN G.	PUTNAM CONVERTIBLE SECURITIES CL C	0.00	17.77	0.00	17.77	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
04/23/2018	***-**-132O - EVANS, THOMAS	PUTNAM DIVERSIFIED INCOME CLASS C	0.00	7.53	0.00	7.53	0.0	0.00
	ACCOUNT #: LSR011074	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM DIVERSIFIED INCOME CLASS C BUY 1 Units @0.0000	0.00	14.75	0.00	14.75	0.0	0.00
04/23/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.28	0.00	2.28	0.0	0.00
04/23/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.88	0.00	0.88	0.0	0.00
04/23/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	0.0	0.00
04/23/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.91	0.00	1.91	0.0	0.00
04/23/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.08	0.00	2.08	0.0	0.00
04/23/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.29	0.00	1.29	0.0	0.00
04/23/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	11.13	0.00	11.13	0.0	0.00
04/23/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.58	0.00	2.58	0.0	0.00
04/23/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	0.0	0.00
04/23/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.53	0.00	1.53	0.0	0.00
04/23/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	6.51	0.00	6.51	0.0	0.00
04/23/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	0.0	0.00
04/23/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.55	0.00	2.55	0.0	0.00
04/23/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.53	0.00	2.53	0.0	0.00
04/23/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM EQUITY SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.97	0.00	0.97	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	11.27	0.00	11.27	0.0	0.00
04/23/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	24.03	0.00	24.03	0.0	0.00
04/23/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.42	0.00	8.42	0.0	0.00
04/23/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	15.86	0.00	15.86	0.0	0.00
04/23/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	9.78	0.00	9.78	0.0	0.00
04/23/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	6.45	0.00	6.45	0.0	0.00
04/23/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	6.83	0.00	6.83	0.0	0.00
04/23/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	7.93	0.00	7.93	0.0	0.00
04/23/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.08	0.00	8.08	0.0	0.00
04/23/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.43	0.00	8.43	0.0	0.00
04/23/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	11.94	0.00	11.94	0.0	0.00
04/23/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	9.08	0.00	9.08	0.0	0.00
04/23/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	10.29	0.00	10.29	0.0	0.00
04/23/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.82	0.00	8.82	0.0	0.00
04/23/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	5.46	0.00	5.46	0.0	0.00
04/23/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	PUTNAM EUROPE EQUITY CLASS C BUY 1 Units @0.0000	0.00	4.51	0.00	4.51	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-808J - GORMAN, RANDY	PUTNAM GLOBAL CONSUMER FD A	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
04/23/2018	***-**-949I - ACEE, JOSPEH	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.05	0.00	2.05	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
04/23/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	3.41	0.00	3.41	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
04/23/2018	***-**-366I - GRUENEWALD,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.10	0.00	1.10	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
04/23/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.03	0.00	2.03	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-944O - MAYO, DEBORAH	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/23/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
04/23/2018	***-**-306X - COBB, CHERRYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
04/23/2018	***-**-579J - RHYMESTINE,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.24	0.00	1.24	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
04/23/2018	***-**-326I - GRANDE, FBO MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
04/23/2018	***-**-506J - CURRIERE JR, MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.52	0.00	1.52	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
04/23/2018	***-**-367J - WAGNER, MRS LANT	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.23	0.00	2.23	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.95	0.00	1.95	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
04/23/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.25	0.00	1.25	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.24	0.00	1.24	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
04/23/2018	***-**-66IO - RUDD, MICHAEL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.06	0.00	0.06	0.0	0.00
	ACCOUNT #: LSR011268	BUY 1 Units @0.0000						
04/23/2018	***-**-653I - KOCHER, CLINTON	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	3.49	0.00	3.49	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
04/23/2018	***-**-680I - HARRELL, DARYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.65	0.00	1.65	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
04/23/2018	***-**-21IO - RADELL, SANDRA	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.28	0.00	1.28	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
04/23/2018	***-**-12IR - GRUENEWALD,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: LSR011614	BUY 1 Units @0.0000						
04/23/2018	***-**-03IO - MASTRANGELO,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.03	0.00	2.03	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
04/23/2018	***-**-45IN - WILLIAMSON,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.83	0.00	0.83	0.0	0.00
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
04/23/2018	***-**-065I - LAZIO, THOMAS	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	5.23	0.00	5.23	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
04/23/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	12.55	0.00	12.55	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/23/2018	***-**-89IN - LEE, ROGER	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	7.72	0.00	7.72	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
04/23/2018	***-**-11IO - LYNN G.	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	10.53	0.00	10.53	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
04/23/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	7.46	0.00	7.46	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
04/23/2018	***-**-51IO - SCALISE, MARY	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	0.11	0.00	0.11	0.0	0.00
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
04/23/2018	***-**-702I - KOCHER, MICHAEL	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.43	0.00	1.43	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
04/23/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM GLOBAL NAT RESOURCES-A BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	0.0	0.00
04/23/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM GLOBAL NAT RESOURCES-A BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	0.0	0.00
04/23/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.89	0.00	0.89	0.0	0.00
04/23/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	0.0	0.00
04/23/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.62	0.00	0.62	0.0	0.00
04/23/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL SECTOR FUND CL A BUY 1 Units @0.0000	0.00	2.71	0.00	2.71	0.0	0.00
04/23/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL TECHNOLOGY CL B BUY 1 Units @0.0000	0.00	2.23	0.00	2.23	0.0	0.00
04/23/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM GLOBAL TECHNOLOGY CL B BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	0.0	0.00
04/23/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL TELECOMMUNICATIONS B BUY 1 Units @0.0000	0.00	2.51	0.00	2.51	0.0	0.00
04/23/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM GLOBAL TELECOMMUNICATIONS B BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	0.0	0.00
04/23/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM GLOBAL UTILITIES CL C BUY 1 Units @0.0000	0.00	5.31	0.00	5.31	0.0	0.00
04/23/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	9.52	0.00	9.52	0.0	0.00
04/23/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	10.07	0.00	10.07	0.0	0.00
04/23/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	9.91	0.00	9.91	0.0	0.00
04/23/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	6.75	0.00	6.75	0.0	0.00
04/23/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	8.61	0.00	8.61	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.32	0.00	9.32	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
04/23/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	2.53	0.00	2.53	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
04/23/2018	***-**-653I - KOCHER, CLINTON	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	3.02	0.00	3.02	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
04/23/2018	***-**-13IO - ROTH, KAREN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	1.57	0.00	1.57	0.0	0.00
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM HEALTH SCIENCES TR-B	0.00	0.90	0.00	0.90	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
04/23/2018	***-**-930I - SANGER, KEVIN	PUTNAM HEALTH SCIENCES TR-B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
04/23/2018	***-**-567I - FRANZ, ALICE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.53	0.00	2.53	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
04/23/2018	***-**-960J - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.29	0.00	1.29	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	PUTNAM HEALTH SCIENCES TR-B	0.00	2.09	0.00	2.09	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-944O - MAYO, DEBORAH	PUTNAM HEALTH SCIENCES TR-B	0.00	1.74	0.00	1.74	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	PUTNAM HEALTH SCIENCES TR-B	0.00	2.28	0.00	2.28	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-326I - GRANDE, FBO MR	PUTNAM HEALTH SCIENCES TR-B	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM HEALTH SCIENCES TR-B	0.00	2.16	0.00	2.16	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
04/23/2018	***-**-664J - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.13	0.00	2.13	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
04/23/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
04/23/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM HEALTH SCIENCES TR-B	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM HEALTH SCIENCES TR-B	0.00	1.11	0.00	1.11	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
04/23/2018	***-**-480J - EVANS, RICHARD	PUTNAM HEALTH SCIENCES TR-B	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: LSR011274	BUY 1 Units @0.0000						
04/23/2018	***-**-653I - KOCHER, CLINTON	PUTNAM HEALTH SCIENCES TR-B	0.00	3.11	0.00	3.11	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
04/23/2018	***-**-21IO - RADELL, SANDRA	PUTNAM HEALTH SCIENCES TR-B	0.00	1.81	0.00	1.81	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
04/23/2018	***-**-197I - GAMBINO, ANDREW	PUTNAM HEALTH SCIENCES TR-B	0.00	0.20	0.00	0.20	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
04/23/2018	***-**-53IN - EVANS, ANDREW	PUTNAM HEALTH SCIENCES TR-B	0.00	0.52	0.00	0.52	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
04/23/2018	***-**-13IO - ROTH, KAREN	PUTNAM HEALTH SCIENCES TR-B	0.00	1.46	0.00	1.46	0.0	0.00
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
04/23/2018	***-**-38IO - BROWN, TYLER	PUTNAM HEALTH SCIENCES TR-B	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
04/23/2018	***-**-12IR - GRUENEWALD,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011614	BUY 1 Units @0.0000						
04/23/2018	***-**-03IO - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.25	0.00	1.25	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
04/23/2018	***-**-45IN - WILLIAMSON,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
04/23/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM INTL GROWTH & INC-A	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
04/23/2018	***-**-382K - SATTERLY, NEIL	PUTNAM INVESTORS CLASS C	0.00	4.53	0.00	4.53	0.0	0.00
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
04/23/2018	***-**-653J - KOCHER, CLINTON	PUTNAM INVESTORS CLASS C	0.00	4.53	0.00	4.53	0.0	0.00
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
04/23/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM SMALL CAP VALUE FUND-A	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
04/23/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM U.S. GOVT INCOME TR-B	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						



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BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-254I - AUGUSTINE, LINDA	PUTNAM UTILITIES GR & INC-B	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
04/23/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM UTILITIES GR & INC-B	0.00	1.53	0.00	1.53	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
04/23/2018	***-**-949I - ACEE, JOSPEH	PUTNAM UTILITIES GR & INC-B	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM UTILITIES GR & INC-B	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
04/23/2018	***-**-930I - SANGER, KEVIN	PUTNAM UTILITIES GR & INC-B	0.00	0.96	0.00	0.96	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM UTILITIES GR & INC-B	0.00	2.11	0.00	2.11	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	PUTNAM UTILITIES GR & INC-B	0.00	1.68	0.00	1.68	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-960J - MASTRANGELO,	PUTNAM UTILITIES GR & INC-B	0.00	2.06	0.00	2.06	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
04/23/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM UTILITIES GR & INC-B	0.00	1.14	0.00	1.14	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	PUTNAM UTILITIES GR & INC-B	0.00	1.31	0.00	1.31	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-96IN - NESSIA, BONNIE	PUTNAM UTILITIES GR & INC-B	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - WILLIAMSON, FBO	PUTNAM UTILITIES GR & INC-B	0.00	1.89	0.00	1.89	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
04/23/2018	***-**-714O - LINES, JUDITH	QUEST BALANCED FUND C	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
04/23/2018	***-**-680I - HARRELL, DARYL	QUEST INTERNATIONAL VALUE FUND, INC	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	QUEST OPPORTUNITY VALUE A	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/23/2018	***-**-254I - AUGUSTINE, LINDA	REAL ESTATE FUND A	0.00	1.05	0.00	1.05	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						



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KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-881J - EBERLEY, SUSAN	REAL ESTATE FUND A	0.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	REAL ESTATE FUND A	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/23/2018	***-**-702I - KOCHER, MICHAEL	REAL ESTATE FUND A	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
04/23/2018	***-**-51IO - CAIN, TIMOTHY	REAL ESTATE FUND A	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	REAL ESTATE FUND A	0.00	2.71	0.00	2.71	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-944O - MAYO, DEBORAH	REAL ESTATE FUND A	0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/23/2018	***-**-111J - NESSIA, JAMES	REAL ESTATE FUND A	0.00	0.94	0.00	0.94	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
04/23/2018	***-**-326I - GRANDE, FBO MR	REAL ESTATE FUND A	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
04/23/2018	***-**-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	0.00	1.32	0.00	1.32	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
04/23/2018	***-**-367J - WAGNER, MRS LANT	REAL ESTATE FUND A	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
04/23/2018	***-**-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	0.00	1.52	0.00	1.52	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
04/23/2018	***-**-62IN - EATON, DAVID	REAL ESTATE FUND A	0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
04/23/2018	***-**-949I - ACEE, JOSPEH	REAL ESTATE FUND B	0.00	1.24	0.00	1.24	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
04/23/2018	***-**-567I - FRANZ, ALICE	REAL ESTATE FUND B	0.00	1.93	0.00	1.93	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
04/23/2018	***-**-506J - CURRIERE JR, MR	REAL ESTATE FUND B	0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - ANACKER, FBO MRS	REAL ESTATE FUND B	0.00	1.42	0.00	1.42	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-664J - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
04/23/2018	***-**-64IO - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.44	0.00	1.44	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
04/23/2018	***-**-62IR - ROBBIANO, FBO	REAL ESTATE FUND B	0.00	0.42	0.00	0.42	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
04/23/2018	***-**-653I - KOCHER, CLINTON	REAL ESTATE FUND B	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
04/23/2018	***-**-382I - SATTERLY, NEIL	REAL ESTATE FUND C	0.00	9.58	0.00	9.58	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
04/23/2018	***-**-48IO - CLARK, PATRICK	REAL ESTATE FUND C	0.00	7.12	0.00	7.12	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
04/23/2018	***-**-72IN - GAVALO, JULIE	REAL ESTATE FUND C	0.00	7.71	0.00	7.71	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
04/23/2018	***-**-065I - LAZIO, THOMAS	REAL ESTATE FUND C	0.00	5.70	0.00	5.70	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
04/23/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	7.54	0.00	7.54	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
04/23/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	2.03	0.00	2.03	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
04/23/2018	***-**-00IO - LEE, GARY	REAL ESTATE FUND C	0.00	9.20	0.00	9.20	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
04/23/2018	***-**-52IO - EUSEPI, SUSAN	REAL ESTATE FUND C	0.00	4.38	0.00	4.38	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
04/23/2018	***-**-11IO - LYNN G.	REAL ESTATE FUND C	0.00	11.97	0.00	11.97	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
04/23/2018	***-**-80IO - EVANS, RICHARD	REAL ESTATE FUND C	0.00	3.78	0.00	3.78	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
04/23/2018	***-**-45IO - JOHNSON, GREGORY	REAL ESTATE FUND C	0.00	6.48	0.00	6.48	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/23/2018	***-**-714O - LINES, JUDITH	REAL ESTATE FUND C	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						



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BROKER #: A77
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-671I - EBERLEY, REID	RESOURCE REAL ESTATE TRAILS	0.00	13.08	0.00	13.08	0.0	0.00
	ACCOUNT #: 20021572	BUY 0 Units @0.0000						
04/23/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	8.89	0.00	8.89	0.0	0.00
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
04/23/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	0.53	0.00	0.53	0.0	0.00
		BUY 0 Units @0.0000						
04/23/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	1.68	0.00	1.68	0.0	0.00
		BUY 0 Units @0.0000						
04/23/2018	***-**-31IN - WARMUTH,	RESOURCE REAL ESTATE TRAILS	0.00	4.25	0.00	4.25	0.0	0.00
		BUY 0 Units @0.0000						
04/23/2018	***-**-65IN - LAZIO, THOMAS	RESOURCE REAL ESTATE TRAILS	0.00	17.23	0.00	17.23	0.0	0.00
	ACCOUNT #: 20010459	BUY 0 Units @0.0000						
04/23/2018	***-**-31IO - HARTZ, CLAUDIA	RESOURCE REAL ESTATE-NFS	0.00	5.66	0.00	5.66	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
04/23/2018	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	3.76	0.00	3.76	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
04/23/2018	***-**-930I - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	12.50	0.00	12.50	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
04/23/2018	***-**-628I - SANGER, SANDRA	RESOURCE REAL ESTATE-NFS	0.00	5.34	0.00	5.34	0.0	0.00
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
04/23/2018	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	6.24	0.00	6.24	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
04/23/2018	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	6.55	0.00	6.55	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	11.25	0.00	11.25	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
04/23/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE-NFS	0.00	24.43	0.00	24.43	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/23/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	7.49	0.00	7.49	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
04/23/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	14.03	0.00	14.03	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-29IO - MASSOUD, ACCOUNT #: LSR011217	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.22	0.00	6.22	0.0	0.00
04/23/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.24	0.00	6.24	0.0	0.00
04/23/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.22	0.00	6.22	0.0	0.00
04/23/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.14	0.00	3.14	0.0	0.00
04/23/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.19	0.00	6.19	0.0	0.00
04/23/2018	***-**-531J - WILLIAMSON, ACCOUNT #: LSR011716	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	12.43	0.00	12.43	0.0	0.00
04/23/2018	***-**-633J - ACCOUNT #: LSR011732	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.85	0.00	1.85	0.0	0.00
04/23/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.93	0.00	4.93	0.0	0.00
04/23/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.89	0.00	1.89	0.0	0.00
04/23/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.25	0.00	1.25	0.0	0.00
04/23/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.17	0.00	4.17	0.0	0.00
04/23/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.78	0.00	1.78	0.0	0.00
04/23/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.08	0.00	2.08	0.0	0.00
04/23/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.18	0.00	2.18	0.0	0.00
04/23/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.75	0.00	3.75	0.0	0.00
04/23/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	8.14	0.00	8.14	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	2.50	0.00	2.50	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
04/23/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	4.68	0.00	4.68	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
04/23/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	2.07	0.00	2.07	0.0	0.00
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
04/23/2018	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	2.08	0.00	2.08	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
04/23/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	2.07	0.00	2.07	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
04/23/2018	***-**-37IO - MCCLUSKY, MARK	RESOURCE REAL ESTATE-NFS	0.00	1.05	0.00	1.05	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
04/23/2018	***-**-86IN - LEE, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	2.06	0.00	2.06	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
04/23/2018	***-**-531J - WILLIAMSON,	RESOURCE REAL ESTATE-NFS	0.00	4.14	0.00	4.14	0.0	0.00
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
04/23/2018	***-**-633J -	RESOURCE REAL ESTATE-NFS	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
04/23/2018	***-**-714O - LINES, JUDITH	RESOURCE REAL ESTATE-NFS	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
04/23/2018	***-**-287J - HINCKLEY,	RISING DIVIDENDS FUND A	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
04/23/2018	***-**-254I - AUGUSTINE, LINDA	RISING DIVIDENDS FUND A	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
04/23/2018	***-**-881I - EBERLEY, SUSAN	RISING DIVIDENDS FUND A	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
04/23/2018	***-**-702I - KOCHER, MICHAEL	RISING DIVIDENDS FUND A	0.00	2.35	0.00	2.35	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
04/23/2018	***-**-959I - FRANZ, PAUL	RISING DIVIDENDS FUND A	0.00	1.11	0.00	1.11	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
04/23/2018	***-**-366I - GRUENEWALD,	RISING DIVIDENDS FUND A	0.00	1.34	0.00	1.34	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-761I - EVANS, DOLORES	RISING DIVIDENDS FUND A	0.00	8.81	0.00	8.81	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
04/23/2018	***-**-944O - MAYO, DEBORAH	RISING DIVIDENDS FUND A	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/23/2018	***-**-580X - COBB, JAMES	RISING DIVIDENDS FUND A	0.00	2.11	0.00	2.11	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
04/23/2018	***-**-96IN - NESSIA, BONNIE	RISING DIVIDENDS FUND A	0.00	2.36	0.00	2.36	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
04/23/2018	***-**-326I - GRANDE, FBO MR	RISING DIVIDENDS FUND A	0.00	1.97	0.00	1.97	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
04/23/2018	***-**-861I - SANGER, LAWRENCE	RISING DIVIDENDS FUND A	0.00	2.18	0.00	2.18	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
04/23/2018	***-**-13IN - RHYMESTINE,	RISING DIVIDENDS FUND A	0.00	1.14	0.00	1.14	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
04/23/2018	***-**-664J - PFAFF, GEORGE	RISING DIVIDENDS FUND A	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
04/23/2018	***-**-02IN - BUSHEY, MELISSA	RISING DIVIDENDS FUND A	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
04/23/2018	***-**-62IN - EATON, DAVID	RISING DIVIDENDS FUND A	0.00	1.25	0.00	1.25	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
04/23/2018	***-**-680I - HARRELL, DARYL	RISING DIVIDENDS FUND A	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
04/23/2018	***-**-579I - RHYMESTINE,	RISING DIVIDENDS FUND, INC. B	0.00	2.65	0.00	2.65	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
04/23/2018	***-**-96IN - NESSIA, BONNIE	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	1.25	0.00	1.25	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
04/23/2018	***-**-13IN - RHYMESTINE,	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	0.94	0.00	0.94	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
04/23/2018	***-**-02IN - BUSHEY, MELISSA	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	0.37	0.00	0.37	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
04/23/2018	***-**-714O - LINES, JUDITH	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						



COMMISSION STATEMENT

April 23, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	ROCHESTER NATIONAL MUNICIPALS A BUY 1 Units @0.0000	0.00	2.59	0.00	2.59	0.0	0.00
04/23/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	SENIOR FLOATING RATE FUND C BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	0.0	0.00
04/23/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	2.35	0.00	2.35	0.0	0.00
04/23/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	2.23	0.00	2.23	0.0	0.00
04/23/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	0.0	0.00
04/23/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	4.72	0.00	4.72	0.0	0.00
04/23/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	1.83	0.00	1.83	0.0	0.00
04/23/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.89	0.00	0.89	0.0	0.00
04/23/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	8.84	0.00	8.84	0.0	0.00
04/23/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	7.27	0.00	7.27	0.0	0.00
04/23/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	12.24	0.00	12.24	0.0	0.00
04/23/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	11.90	0.00	11.90	0.0	0.00
04/23/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	12.37	0.00	12.37	0.0	0.00
04/23/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	8.10	0.00	8.10	0.0	0.00
04/23/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	STRATEGIC INCOME FUND C BUY 1 Units @0.0000	0.00	0.49	0.00	0.49	0.0	0.00
04/23/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.46	0.00	1.46	0.0	0.00



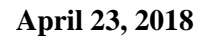
COMMISSION STATEMENT

April 23, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/23/2018	***-**-326I - GRANDE, FBO MR	THE GROWTH FUND OF AMERICA-A	0.00	2.21	0.00	2.21	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
04/23/2018	***-**-567I - FRANZ, ALICE	THE GROWTH FUND OF AMERICA-C	0.00	10.64	0.00	10.64	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
04/23/2018	***-**-287I - HINCKLEY,	THE INCOME FUND OF AMERICA-A	0.00	4.54	0.00	4.54	0.0	0.00
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
04/23/2018	***-**-702I - KOCHER, MICHAEL	THE INCOME FUND OF AMERICA-A	0.00	3.56	0.00	3.56	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
04/23/2018	***-**-959J - FRANZ, PAUL	THE INCOME FUND OF AMERICA-A	0.00	2.88	0.00	2.88	0.0	0.00
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
04/23/2018	***-**-366I - GRUENEWALD,	THE INCOME FUND OF AMERICA-A	0.00	1.77	0.00	1.77	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
04/23/2018	***-**-579J - RHYMESTINE,	THE INCOME FUND OF AMERICA-A	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
04/23/2018	***-**-326I - GRANDE, FBO MR	THE INCOME FUND OF AMERICA-A	0.00	2.33	0.00	2.33	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
04/23/2018	***-**-680I - HARRELL, DARYL	THE INCOME FUND OF AMERICA-A	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
04/23/2018	***-**-128I - BASHANT, THOMAS	THE INCOME FUND OF AMERICA-A	0.00	0.96	0.00	0.96	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
04/23/2018	***-**-30TR - AND SANDRA	THE INCOME FUND OF AMERICA-A	0.00	2.65	0.00	2.65	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
04/23/2018	***-**-80IO - EVANS, RICHARD	THE NEW ECONOMY FUND-C	0.00	11.97	0.00	11.97	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
04/23/2018	***-**-959J - FRANZ, PAUL	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	3.63	0.00	3.63	0.0	0.00
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$5,227.56	\$0.00	\$5,227.56		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$185,572.33	\$10,030.77	\$270.00	\$9,760.77		\$-36.00



BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$-36.00
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$-127.17
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD						Balance Forward		\$-163.17
						Year-to-date Earnings		\$0.00