

**COMMISSION STATEMENT****February 28, 2018**

JON PAUL, C141 CIRELLI
14255 US Hwy One
Suite 283
Juno Beach, FL 33408

BROKER #: C141
BRANCH: FORTITUDE-JUNO BEACH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/16/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	0.75	0.00	0.75	95.0	0.71
03/15/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.18	0.00	2.18	95.0	2.07
04/20/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.43	0.00	2.43	95.0	2.31
05/16/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.39	0.00	2.39	95.0	2.27
06/15/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.47	0.00	2.47	95.0	2.35
07/18/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.40	0.00	2.40	95.0	2.28
08/15/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.54	0.00	2.54	95.0	2.41
09/16/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.55	0.00	2.55	95.0	2.42
10/17/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.45	0.00	2.45	95.0	2.33
11/18/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.48	0.00	2.48	95.0	2.36
12/15/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	0.47	0.00	0.47	95.0	0.45
04/14/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	28.75	0.00	28.75	95.0	27.31
05/19/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	39.39	0.00	39.39	95.0	37.42
06/23/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	43.75	0.00	43.75	95.0	41.56
07/11/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	41.20	0.00	41.20	95.0	39.14
08/15/2016	KISSIL, GEORGE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.58	0.00	2.58	95.0	2.45
09/01/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	42.37	0.00	42.37	95.0	40.25
09/12/2016	KISSIL, GEORGE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.00	0.00	5.00	95.0	4.75
09/12/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	42.44	0.00	42.44	95.0	40.32
10/14/2016	KISSIL, GEORGE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.84	0.00	4.84	95.0	4.60
10/14/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	41.09	0.00	41.09	95.0	39.04
11/17/2016	KISSIL, GEORGE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.96	0.00	4.96	95.0	4.71
11/17/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	42.08	0.00	42.08	95.0	39.98
12/12/2016	KISSIL, GEORGE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.84	0.00	4.84	95.0	4.60
12/12/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	40.99	0.00	40.99	95.0	38.94
04/22/2016	JARDIN, DEAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.12	0.00	7.12	95.0	6.76

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^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/22/2016	WAGNER, DENNIS	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	14.81	0.00	14.81	95.0	14.07
04/22/2016	KISSIL, GEORGE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.61	0.00	4.61	95.0	4.38
08/01/2016	WAGNER, DENNIS	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	15.18	0.00	15.18	95.0	14.42
08/01/2016	KISSIL, GEORGE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.66	0.00	4.66	95.0	4.43
08/01/2016	JARDIN, DEAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	29.87	0.00	29.87	95.0	28.38
10/17/2016	WAGNER, DENNIS	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	15.67	0.00	15.67	95.0	14.89
10/17/2016	KISSIL, GEORGE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.75	0.00	4.75	95.0	4.51
10/17/2016	JARDIN, DEAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	30.83	0.00	30.83	95.0	29.29
04/22/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.18	0.00	1.18	95.0	1.12
05/17/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	4.84	0.00	4.84	95.0	4.60
06/15/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.52	0.00	5.52	95.0	5.24
07/14/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.62	0.00	5.62	95.0	5.34
08/18/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.94	0.00	5.94	95.0	5.64
09/15/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.98	0.00	5.98	95.0	5.68
10/21/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.78	0.00	5.78	95.0	5.49
11/09/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	6.01	0.00	6.01	95.0	5.71
12/16/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.68	0.00	5.68	95.0	5.40
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$581.44	\$0.00	\$581.44		\$552.38
*** DIRECT TRANSACTIONS TOTAL ***			\$0.00	\$581.44	\$0.00	\$581.44		\$552.38

SPLIT TRANSACTIONS**BROKER: 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE #251**

07/11/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.77	0.00	6.77	95.0	6.43
07/11/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.77	0.00	6.77	95.0	6.43
09/01/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.91	0.00	13.91	95.0	13.21
09/01/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.91	0.00	13.91	95.0	13.21
09/12/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.94	0.00	13.94	95.0	13.24
09/12/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.94	0.00	13.94	95.0	13.24
10/14/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.49	0.00	13.49	95.0	12.82
10/14/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.49	0.00	13.49	95.0	12.82
11/17/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.81	0.00	13.81	95.0	13.12
11/17/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.81	0.00	13.81	95.0	13.12

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE #251</u>								
12/12/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.45	0.00	13.45	95.0	12.78
12/12/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.45	0.00	13.45	95.0	12.78
04/22/2016	LAROCHE, LAURIE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.71	0.00	1.71	95.0	1.62
04/22/2016	LAROCHE, LAURIE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.71	0.00	1.71	95.0	1.62
08/01/2016	LAROCHE, LAURIE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.95	0.00	4.95	95.0	4.70
08/01/2016	LAROCHE, LAURIE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.95	0.00	4.95	95.0	4.70
10/17/2016	LAROCHE, LAURIE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.11	0.00	5.11	95.0	4.85
* 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$0.00	\$169.17	\$0.00	\$169.17		\$160.69
<u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u>								
02/20/2018	BRIDGEHAMPTON CHILD	CANTEL MED CORP COM	-28,431.88	0.00	3.38	-3.38	95.0	-3.21
03/17/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.02	0.00	0.02	95.0	0.02
04/19/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.03	0.00	0.03	95.0	0.03
05/24/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.03	0.00	0.03	95.0	0.03
06/15/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.03	0.00	0.03	95.0	0.03
07/19/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.03	0.00	0.03	95.0	0.03
08/16/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.03	0.00	0.03	95.0	0.03
09/19/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.03	0.00	0.03	95.0	0.03
10/19/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.03	0.00	0.03	95.0	0.03
11/18/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.03	0.00	0.03	95.0	0.03
12/16/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.03	0.00	0.03	95.0	0.03
04/22/2016	MCCLARNON, BRENDAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.27	0.00	0.27	95.0	0.26
04/22/2016	DAVID, RUDOLPH	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.45	0.00	0.45	95.0	0.43
08/01/2016	MCCLARNON, BRENDAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.27	0.00	0.27	95.0	0.26
08/01/2016	DAVID, RUDOLPH	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.45	0.00	0.45	95.0	0.43
10/17/2016	MCCLARNON, BRENDAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.28	0.00	0.28	95.0	0.27
10/17/2016	DAVID, RUDOLPH	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.46	0.00	0.46	95.0	0.44
07/19/2016	NICASTRO, JOSEPH	INVESCO AMERICAN FRANCHISE A	0.00	0.01	0.00	0.01	95.0	0.01
10/17/2016	NICASTRO, JOSEPH	INVESCO AMERICAN FRANCHISE A	0.00	0.01	0.00	0.01	95.0	0.01
07/25/2016	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.00	0.00	0.00	95.0	0.00
08/15/2016	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.10	0.00	0.10	95.0	0.10
09/15/2016	NICASTRO, JOSEPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.01	0.00	0.01	95.0	0.01
09/15/2016	LALAMA, MARY	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.06	0.00	0.06	95.0	0.06
09/15/2016	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.10	0.00	0.10	95.0	0.10

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u>								
10/14/2016	NICASTRO, JOSEPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.23	0.00	0.23	95.0	0.22
10/14/2016	LALAMA, MARY	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.21	0.00	0.21	95.0	0.20
10/14/2016	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.09	0.00	0.09	95.0	0.09
11/21/2016	NICASTRO, JOSEPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.24	0.00	0.24	95.0	0.23
11/21/2016	LALAMA, MARY	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.21	0.00	0.21	95.0	0.20
11/21/2016	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.09	0.00	0.09	95.0	0.09
12/16/2016	NICASTRO, JOSEPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.23	0.00	0.23	95.0	0.22
12/16/2016	LALAMA, MARY	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.21	0.00	0.21	95.0	0.20
12/16/2016	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.09	0.00	0.09	95.0	0.09
02/19/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.11	0.00	0.11	95.0	0.10
02/19/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.15	0.00	0.15	95.0	0.14
03/17/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.09	0.00	0.09	95.0	0.09
03/17/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.13	0.00	0.13	95.0	0.12
04/25/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.11	0.00	0.11	95.0	0.10
04/25/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.15	0.00	0.15	95.0	0.14
05/16/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.11	0.00	0.11	95.0	0.10
05/16/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.15	0.00	0.15	95.0	0.14
06/20/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.11	0.00	0.11	95.0	0.10
06/20/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.16	0.00	0.16	95.0	0.15
07/25/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.11	0.00	0.11	95.0	0.10
07/25/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.15	0.00	0.15	95.0	0.14
08/15/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.08	0.00	0.08	95.0	0.08
08/15/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.16	0.00	0.16	95.0	0.15
09/15/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.08	0.00	0.08	95.0	0.08
09/15/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.17	0.00	0.17	95.0	0.16
10/14/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.08	0.00	0.08	95.0	0.08
10/14/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.16	0.00	0.16	95.0	0.15
11/21/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.08	0.00	0.08	95.0	0.08
11/21/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.17	0.00	0.17	95.0	0.16
12/16/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.08	0.00	0.08	95.0	0.08
12/16/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.16	0.00	0.16	95.0	0.15
12/16/2016	KEYSER, LISA	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	0.06	0.00	0.06	95.0	0.06
02/19/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.14	0.00	0.14	95.0	0.13

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u>								
03/17/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.12	0.00	0.12	95.0	0.11
04/25/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.14	0.00	0.14	95.0	0.13
05/16/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.14	0.00	0.14	95.0	0.13
06/20/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.15	0.00	0.15	95.0	0.14
07/25/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.14	0.00	0.14	95.0	0.13
08/15/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.10	0.00	0.10	95.0	0.10
09/15/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.10	0.00	0.10	95.0	0.10
10/14/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.10	0.00	0.10	95.0	0.10
11/21/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.10	0.00	0.10	95.0	0.10
12/16/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.10	0.00	0.10	95.0	0.10
02/19/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.10	0.00	0.10	95.0	0.10
02/19/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.07	0.00	0.07	95.0	0.07
03/17/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.09	0.00	0.09	95.0	0.09
03/17/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.06	0.00	0.06	95.0	0.06
04/25/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.10	0.00	0.10	95.0	0.10
04/25/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.07	0.00	0.07	95.0	0.07
05/16/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.10	0.00	0.10	95.0	0.10
05/16/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.07	0.00	0.07	95.0	0.07
06/20/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.11	0.00	0.11	95.0	0.10
06/20/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.08	0.00	0.08	95.0	0.08
07/25/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.10	0.00	0.10	95.0	0.10
07/25/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.07	0.00	0.07	95.0	0.07
08/15/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.11	0.00	0.11	95.0	0.10
08/15/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.08	0.00	0.08	95.0	0.08
09/15/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.11	0.00	0.11	95.0	0.10
09/15/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.08	0.00	0.08	95.0	0.08
10/14/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.11	0.00	0.11	95.0	0.10
10/14/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.08	0.00	0.08	95.0	0.08
11/21/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.11	0.00	0.11	95.0	0.10
11/21/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.08	0.00	0.08	95.0	0.08
12/16/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.11	0.00	0.11	95.0	0.10
12/16/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.08	0.00	0.08	95.0	0.08
02/25/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.06	0.00	0.06	95.0	0.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u>								
03/08/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.05	0.00	0.05	95.0	0.05
04/22/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.06	0.00	0.06	95.0	0.06
05/17/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.06	0.00	0.06	95.0	0.06
06/15/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.07	0.00	0.07	95.0	0.07
07/14/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.07	0.00	0.07	95.0	0.07
08/18/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.08	0.00	0.08	95.0	0.08
09/15/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.08	0.00	0.08	95.0	0.08
10/21/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.07	0.00	0.07	95.0	0.07
11/09/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.08	0.00	0.08	95.0	0.08
12/16/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.07	0.00	0.07	95.0	0.07
02/08/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.50	0.00	0.50	95.0	0.48
03/07/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.60	0.00	0.60	95.0	0.57
04/11/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.62	0.00	0.62	95.0	0.59
05/12/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.60	0.00	0.60	95.0	0.57
06/09/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.67	0.00	0.67	95.0	0.64
07/13/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.63	0.00	0.63	95.0	0.60
08/11/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.66	0.00	0.66	95.0	0.63
09/12/2016	LALAMA, MARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.04	0.00	0.04	95.0	0.04
09/12/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.68	0.00	0.68	95.0	0.65
10/11/2016	LALAMA, MARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.14	0.00	0.14	95.0	0.13
10/11/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.66	0.00	0.66	95.0	0.63
11/10/2016	LALAMA, MARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.14	0.00	0.14	95.0	0.13
11/10/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.68	0.00	0.68	95.0	0.65
12/12/2016	LALAMA, MARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.14	0.00	0.14	95.0	0.13
12/12/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.66	0.00	0.66	95.0	0.63
02/23/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.29	0.00	0.29	95.0	0.28
03/21/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.28	0.00	0.28	95.0	0.27
04/28/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.32	0.00	0.32	95.0	0.30
05/24/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.31	0.00	0.31	95.0	0.29
06/22/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.32	0.00	0.32	95.0	0.30
07/22/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.32	0.00	0.32	95.0	0.30
08/19/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.34	0.00	0.34	95.0	0.32
09/21/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.33	0.00	0.33	95.0	0.31

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u>								
10/20/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.31	0.00	0.31	95.0	0.29
11/22/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.31	0.00	0.31	95.0	0.29
12/27/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.30	0.00	0.30	95.0	0.29
* G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF SUBTOTAL *			\$-28,431.88	\$22.07	\$3.38	\$18.69		\$17.89
<u>BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255</u>								
05/31/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	3.56	0.00	3.56	95.0	3.38
05/31/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	1.56	0.00	1.56	95.0	1.48
05/31/2016	BENAVENTE, CAROLYN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	1.57	0.00	1.57	95.0	1.49
06/27/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.83	0.00	2.83	95.0	2.69
06/27/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.02	0.00	2.02	95.0	1.92
06/27/2016	BENAVENTE, CAROLYN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	1.57	0.00	1.57	95.0	1.49
07/29/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	1.97	0.00	1.97	95.0	1.87
08/30/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.07	0.00	2.07	95.0	1.97
09/29/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.09	0.00	2.09	95.0	1.99
10/27/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.02	0.00	2.02	95.0	1.92
11/28/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.09	0.00	2.09	95.0	1.99
12/21/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.01	0.00	2.01	95.0	1.91
04/14/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.55	0.00	1.55	95.0	1.47
05/19/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.63	0.00	5.63	95.0	5.35
05/19/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.74	0.00	2.74	95.0	2.60
06/23/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.25	0.00	6.25	95.0	5.94
06/23/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	21.91	0.00	21.91	95.0	20.81
07/11/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.90	0.00	5.90	95.0	5.61
07/11/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	20.64	0.00	20.64	95.0	19.61
08/15/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.15	0.00	6.15	95.0	5.84
09/01/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	21.22	0.00	21.22	95.0	20.16
09/12/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.16	0.00	6.16	95.0	5.85
09/12/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	21.26	0.00	21.26	95.0	20.20
10/14/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.97	0.00	5.97	95.0	5.67
10/14/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	20.58	0.00	20.58	95.0	19.55
11/17/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.20	0.00	6.20	95.0	5.89
11/17/2016	ASHLAR MECHANICAL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.05	0.00	2.05	95.0	1.95
11/17/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	21.07	0.00	21.07	95.0	20.02

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255</u>								
12/12/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.04	0.00	6.04	95.0	5.74
12/12/2016	ASHLAR MECHANICAL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	20.54	0.00	20.54	95.0	19.51
12/12/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	20.52	0.00	20.52	95.0	19.49
04/22/2016	KLANSKY, ARTHUR	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.58	0.00	0.58	95.0	0.55
08/01/2016	KLANSKY, ARTHUR	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.94	0.00	5.94	95.0	5.64
10/17/2016	KLANSKY, ARTHUR	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.13	0.00	6.13	95.0	5.82
02/19/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.35	0.00	1.35	95.0	1.28
02/19/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	7.71	0.00	7.71	95.0	7.32
03/17/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.19	0.00	1.19	95.0	1.13
03/17/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	6.81	0.00	6.81	95.0	6.47
04/25/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.38	0.00	1.38	95.0	1.31
04/25/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	7.88	0.00	7.88	95.0	7.49
05/16/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.38	0.00	1.38	95.0	1.31
05/16/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	7.91	0.00	7.91	95.0	7.51
06/20/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.42	0.00	1.42	95.0	1.35
06/20/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	8.10	0.00	8.10	95.0	7.70
07/25/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.38	0.00	1.38	95.0	1.31
07/25/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	7.91	0.00	7.91	95.0	7.51
08/15/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.46	0.00	1.46	95.0	1.39
08/15/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	8.32	0.00	8.32	95.0	7.90
09/15/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.49	0.00	1.49	95.0	1.42
09/15/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	8.54	0.00	8.54	95.0	8.11
10/14/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.43	0.00	1.43	95.0	1.36
10/14/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	8.20	0.00	8.20	95.0	7.79
11/21/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.48	0.00	1.48	95.0	1.41
11/21/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	4.38	0.00	4.38	95.0	4.16
12/16/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.43	0.00	1.43	95.0	1.36
02/19/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.72	0.00	1.72	95.0	1.63
02/19/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	7.81	0.00	7.81	95.0	7.42
03/17/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.57	0.00	1.57	95.0	1.49
03/17/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	7.12	0.00	7.12	95.0	6.76
04/25/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.80	0.00	1.80	95.0	1.71
04/25/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	8.14	0.00	8.14	95.0	7.73

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<u>SPLIT TRANSACTIONS</u>								
BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255								
05/16/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.79	0.00	1.79	95.0	1.70
05/16/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	8.11	0.00	8.11	95.0	7.70
06/20/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.85	0.00	1.85	95.0	1.76
06/20/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	8.38	0.00	8.38	95.0	7.96
07/25/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.80	0.00	1.80	95.0	1.71
07/25/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	8.15	0.00	8.15	95.0	7.74
08/15/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.90	0.00	1.90	95.0	1.81
08/15/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	8.61	0.00	8.61	95.0	8.18
09/15/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.94	0.00	1.94	95.0	1.84
09/15/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	8.80	0.00	8.80	95.0	8.36
10/14/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.87	0.00	1.87	95.0	1.78
10/14/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	8.46	0.00	8.46	95.0	8.04
11/21/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.93	0.00	1.93	95.0	1.83
11/21/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	4.53	0.00	4.53	95.0	4.30
12/16/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.91	0.00	1.91	95.0	1.81
02/19/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.24	0.00	1.24	95.0	1.18
02/19/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	7.39	0.00	7.39	95.0	7.02
03/17/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.14	0.00	1.14	95.0	1.08
03/17/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	6.81	0.00	6.81	95.0	6.47
04/25/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.31	0.00	1.31	95.0	1.24
04/25/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	7.83	0.00	7.83	95.0	7.44
05/16/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.30	0.00	1.30	95.0	1.24
05/16/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	7.73	0.00	7.73	95.0	7.34
06/20/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.34	0.00	1.34	95.0	1.27
06/20/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	8.00	0.00	8.00	95.0	7.60
07/25/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.31	0.00	1.31	95.0	1.24
07/25/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	7.79	0.00	7.79	95.0	7.40
08/15/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.39	0.00	1.39	95.0	1.32
08/15/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	8.26	0.00	8.26	95.0	7.85
09/15/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.41	0.00	1.41	95.0	1.34
09/15/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	8.40	0.00	8.40	95.0	7.98
10/14/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.36	0.00	1.36	95.0	1.29
10/14/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	8.12	0.00	8.12	95.0	7.71

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255								
11/21/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.41	0.00	1.41	95.0	1.34
11/21/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	4.33	0.00	4.33	95.0	4.11
12/16/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.41	0.00	1.41	95.0	1.34
02/25/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.06	0.00	0.06	95.0	0.06
03/08/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.28	0.00	0.28	95.0	0.27
04/22/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.33	0.00	0.33	95.0	0.31
05/17/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.35	0.00	0.35	95.0	0.33
06/15/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.40	0.00	0.40	95.0	0.38
07/14/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.41	0.00	0.41	95.0	0.39
08/18/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.43	0.00	0.43	95.0	0.41
09/15/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.43	0.00	0.43	95.0	0.41
09/15/2016	MALONEY, JOHN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.88	0.00	1.88	95.0	1.79
10/21/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.42	0.00	0.42	95.0	0.40
10/21/2016	MALONEY, JOHN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.74	0.00	3.74	95.0	3.55
11/09/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.44	0.00	0.44	95.0	0.42
11/09/2016	MALONEY, JOHN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.89	0.00	3.89	95.0	3.70
12/16/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.41	0.00	0.41	95.0	0.39
12/16/2016	MALONEY, JOHN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.68	0.00	3.68	95.0	3.50
02/25/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	3.69	0.00	3.69	95.0	3.51
03/08/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	3.39	0.00	3.39	95.0	3.22
04/22/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	4.10	0.00	4.10	95.0	3.90
05/17/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	4.21	0.00	4.21	95.0	4.00
06/15/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	4.38	0.00	4.38	95.0	4.16
07/14/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	4.29	0.00	4.29	95.0	4.08
08/18/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	4.44	0.00	4.44	95.0	4.22
09/15/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	4.64	0.00	4.64	95.0	4.41
10/21/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	4.53	0.00	4.53	95.0	4.30
11/09/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	2.47	0.00	2.47	95.0	2.35
02/25/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.07	0.00	0.07	95.0	0.07
03/08/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.21	0.00	0.21	95.0	0.20
04/22/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.25	0.00	0.25	95.0	0.24
05/17/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.26	0.00	0.26	95.0	0.25
06/15/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.29	0.00	0.29	95.0	0.28

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255</u>								
07/14/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.29	0.00	0.29	95.0	0.28
08/18/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.31	0.00	0.31	95.0	0.29
09/15/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.31	0.00	0.31	95.0	0.29
10/21/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.30	0.00	0.30	95.0	0.29
11/09/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.33	0.00	0.33	95.0	0.31
12/16/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.32	0.00	0.32	95.0	0.30
08/11/2016	MALONEY, JOHN	MILLER CONVERTIBLE BOND FUND CLASS	0.00	41.38	0.00	41.38	95.0	39.31
09/12/2016	MALONEY, JOHN	MILLER CONVERTIBLE BOND FUND CLASS	0.00	64.87	0.00	64.87	95.0	61.63
10/11/2016	MALONEY, JOHN	MILLER CONVERTIBLE BOND FUND CLASS	0.00	63.32	0.00	63.32	95.0	60.15
11/10/2016	MALONEY, JOHN	MILLER CONVERTIBLE BOND FUND CLASS	0.00	65.22	0.00	65.22	95.0	61.96
12/12/2016	MALONEY, JOHN	MILLER CONVERTIBLE BOND FUND CLASS	0.00	63.50	0.00	63.50	95.0	60.33
* J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL SUBTOTAL *			\$0.00	\$897.53	\$0.00	\$897.53		\$852.66
<u>BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256</u>								
02/16/2016	BENEFORTI, JULIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	95.0	0.06
03/15/2016	BENEFORTI, JULIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	95.0	0.06
04/20/2016	BENEFORTI, JULIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.07	0.00	0.07	95.0	0.07
05/16/2016	BENEFORTI, JULIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.04	0.00	0.04	95.0	0.04
02/16/2016	BENEFORTI, JULIAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.13	0.00	0.13	95.0	0.12
03/15/2016	BENEFORTI, JULIAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.12	0.00	0.12	95.0	0.11
04/20/2016	BENEFORTI, JULIAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.13	0.00	0.13	95.0	0.12
05/16/2016	BENEFORTI, JULIAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.08	0.00	0.08	95.0	0.08
02/16/2016	BENEFORTI, JULIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.04	0.00	0.04	95.0	0.04
03/15/2016	BENEFORTI, JULIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.04	0.00	0.04	95.0	0.04
04/20/2016	BENEFORTI, JULIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.04	0.00	0.04	95.0	0.04
05/16/2016	BENEFORTI, JULIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.03	0.00	0.03	95.0	0.03
02/16/2016	BENEFORTI, JULIAN	AM FUNDS ICA A	0.00	0.04	0.00	0.04	95.0	0.04
03/15/2016	BENEFORTI, JULIAN	AM FUNDS ICA A	0.00	0.04	0.00	0.04	95.0	0.04
04/20/2016	BENEFORTI, JULIAN	AM FUNDS ICA A	0.00	0.04	0.00	0.04	95.0	0.04
05/16/2016	BENEFORTI, JULIAN	AM FUNDS ICA A	0.00	0.03	0.00	0.03	95.0	0.03
04/20/2016	PAVIS, NANCY	FIRST EAGLE GLOBAL C	0.00	11.87	0.00	11.87	95.0	11.28
07/22/2016	PAVIS, NANCY	FIRST EAGLE GLOBAL C	0.00	5.85	0.00	5.85	95.0	5.56
07/29/2016	PAVIS, NANCY	FIRST EAGLE GLOBAL C	0.00	6.86	0.00	6.86	95.0	6.52
08/10/2016	PAVIS, NANCY	FIRST EAGLE GLOBAL C	0.00	4.45	0.00	4.45	95.0	4.23

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256</u>								
09/16/2016	PAVIS, NANCY	FIRST EAGLE GLOBAL C	0.00	4.56	0.00	4.56	95.0	4.33
10/21/2016	PAVIS, NANCY	FIRST EAGLE GLOBAL C	0.00	2.63	0.00	2.63	95.0	2.50
02/16/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	3.18	0.00	3.18	95.0	3.02
03/16/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	2.94	0.00	2.94	95.0	2.79
04/15/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	3.23	0.00	3.23	95.0	3.07
05/13/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	3.17	0.00	3.17	95.0	3.01
06/14/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	3.30	0.00	3.30	95.0	3.14
07/14/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	3.22	0.00	3.22	95.0	3.06
08/15/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	3.39	0.00	3.39	95.0	3.22
09/14/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	3.42	0.00	3.42	95.0	3.25
10/18/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	3.32	0.00	3.32	95.0	3.15
11/15/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	3.46	0.00	3.46	95.0	3.29
12/16/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	3.31	0.00	3.31	95.0	3.14
10/17/2016	LAROCHE, LAURIE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.87	0.00	3.87	95.0	3.68
02/25/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	2.49	0.00	2.49	95.0	2.37
03/08/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	2.10	0.00	2.10	95.0	2.00
04/22/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	2.52	0.00	2.52	95.0	2.39
05/17/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	2.65	0.00	2.65	95.0	2.52
06/15/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.03	0.00	3.03	95.0	2.88
07/14/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.08	0.00	3.08	95.0	2.93
08/18/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.26	0.00	3.26	95.0	3.10
09/15/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.28	0.00	3.28	95.0	3.12
09/15/2016	SKOLNICK, SHEILA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.85	0.00	0.85	95.0	0.81
10/21/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.17	0.00	3.17	95.0	3.01
10/21/2016	SKOLNICK, SHEILA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.95	0.00	1.95	95.0	1.85
11/09/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.29	0.00	3.29	95.0	3.13
11/09/2016	MARSH, LAURIE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.11	0.00	0.11	95.0	0.10
11/09/2016	JOHNSON, LYNN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.11	0.00	0.11	95.0	0.10
11/09/2016	BENJAMIN, WAYNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.07	0.00	0.07	95.0	0.07
11/09/2016	SKOLNICK, SHEILA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	2.02	0.00	2.02	95.0	1.92
12/16/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.12	0.00	3.12	95.0	2.96
12/16/2016	MARSH, LAURIE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.67	0.00	0.67	95.0	0.64
12/16/2016	LOYE, DEDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.56	0.00	1.56	95.0	1.48

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256</u>								
12/16/2016	JOHNSON, LYNN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.84	0.00	0.84	95.0	0.80
12/16/2016	BENJAMIN, WAYNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.49	0.00	0.49	95.0	0.47
12/16/2016	SKOLNICK, SHEILA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.92	0.00	1.92	95.0	1.82
02/25/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.48	0.00	1.48	95.0	1.41
03/08/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.32	0.00	1.32	95.0	1.25
04/22/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.57	0.00	1.57	95.0	1.49
05/17/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.65	0.00	1.65	95.0	1.57
06/15/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.83	0.00	1.83	95.0	1.74
07/14/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.84	0.00	1.84	95.0	1.75
08/18/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.96	0.00	1.96	95.0	1.86
09/15/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.99	0.00	1.99	95.0	1.89
10/21/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.94	0.00	1.94	95.0	1.84
11/09/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.08	0.00	2.08	95.0	1.98
12/16/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.02	0.00	2.02	95.0	1.92
02/25/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.31	0.00	0.31	95.0	0.29
03/08/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.29	0.00	0.29	95.0	0.28
04/22/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.33	0.00	0.33	95.0	0.31
05/17/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.32	0.00	0.32	95.0	0.30
06/15/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.33	0.00	0.33	95.0	0.31
07/14/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.32	0.00	0.32	95.0	0.30
08/18/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.34	0.00	0.34	95.0	0.32
09/15/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.35	0.00	0.35	95.0	0.33
10/21/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.34	0.00	0.34	95.0	0.32
11/09/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.35	0.00	0.35	95.0	0.33
12/16/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.34	0.00	0.34	95.0	0.32
02/11/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.40	0.00	0.40	95.0	0.38
03/10/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.36	0.00	0.36	95.0	0.34
04/15/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.41	0.00	0.41	95.0	0.39
05/11/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.41	0.00	0.41	95.0	0.39
06/10/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.42	0.00	0.42	95.0	0.40
07/12/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.41	0.00	0.41	95.0	0.39
08/10/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.43	0.00	0.43	95.0	0.41
09/12/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.44	0.00	0.44	95.0	0.42

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<u>SPLIT TRANSACTIONS</u>								
BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256								
10/11/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.21	0.00	0.21	95.0	0.20
02/11/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.11	0.00	0.11	95.0	0.10
03/10/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.10	0.00	0.10	95.0	0.10
04/15/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.12	0.00	0.12	95.0	0.11
05/11/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.12	0.00	0.12	95.0	0.11
06/10/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.12	0.00	0.12	95.0	0.11
07/12/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.12	0.00	0.12	95.0	0.11
08/10/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.13	0.00	0.13	95.0	0.12
09/12/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.13	0.00	0.13	95.0	0.12
10/11/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.06	0.00	0.06	95.0	0.06
02/11/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.36	0.00	0.36	95.0	0.34
03/10/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.34	0.00	0.34	95.0	0.32
04/15/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.40	0.00	0.40	95.0	0.38
05/11/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.40	0.00	0.40	95.0	0.38
06/10/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.41	0.00	0.41	95.0	0.39
07/12/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.41	0.00	0.41	95.0	0.39
08/10/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.43	0.00	0.43	95.0	0.41
09/12/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.44	0.00	0.44	95.0	0.42
10/11/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.22	0.00	0.22	95.0	0.21
02/16/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	2.45	0.00	2.45	95.0	2.33
03/16/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	2.25	0.00	2.25	95.0	2.14
04/15/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	2.49	0.00	2.49	95.0	2.37
05/13/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	2.42	0.00	2.42	95.0	2.30
06/14/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	2.48	0.00	2.48	95.0	2.36
07/14/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	2.37	0.00	2.37	95.0	2.25
08/15/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	2.50	0.00	2.50	95.0	2.38
09/14/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	2.49	0.00	2.49	95.0	2.37
10/18/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	2.39	0.00	2.39	95.0	2.27
11/15/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	2.54	0.00	2.54	95.0	2.41
12/16/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	2.45	0.00	2.45	95.0	2.33
* G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$0.00	\$177.64	\$0.00	\$177.64		\$168.79

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^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u>								
03/15/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.04	0.00	0.04	95.0	0.04
04/20/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	95.0	0.06
05/16/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	95.0	0.06
06/15/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	95.0	0.06
07/18/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	95.0	0.06
08/15/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	95.0	0.06
09/16/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	95.0	0.06
10/17/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	95.0	0.06
11/18/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	95.0	0.06
12/15/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	95.0	0.06
02/16/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC B	0.00	0.06	0.00	0.06	95.0	0.06
03/15/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC B	0.00	0.02	0.00	0.02	95.0	0.02
12/28/2016	GALGANO, ROBERT	ARIEL APPRECIATION FUND	0.00	0.00	0.00	0.00	95.0	0.00
12/07/2016	BRANDT, ROSEMARY	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	0.10	0.00	0.10	95.0	0.10
04/20/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	1.96	0.00	1.96	95.0	1.86
07/22/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	1.13	0.00	1.13	95.0	1.07
07/29/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	1.41	0.00	1.41	95.0	1.34
08/10/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	1.04	0.00	1.04	95.0	0.99
09/16/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	1.03	0.00	1.03	95.0	0.98
10/21/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	0.93	0.00	0.93	95.0	0.88
11/30/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	0.88	0.00	0.88	95.0	0.84
12/21/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	0.80	0.00	0.80	95.0	0.76
02/19/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.50	0.00	1.50	95.0	1.43
03/17/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.32	0.00	1.32	95.0	1.25
04/25/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.53	0.00	1.53	95.0	1.45
05/16/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.53	0.00	1.53	95.0	1.45
06/20/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.57	0.00	1.57	95.0	1.49
07/25/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.53	0.00	1.53	95.0	1.45
08/15/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.62	0.00	1.62	95.0	1.54
09/15/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.66	0.00	1.66	95.0	1.58
10/14/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.59	0.00	1.59	95.0	1.51
11/21/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.64	0.00	1.64	95.0	1.56
12/16/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.59	0.00	1.59	95.0	1.51

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u>								
02/19/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.40	0.00	2.40	95.0	2.28
03/17/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.21	0.00	2.21	95.0	2.10
04/25/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.46	0.00	2.46	95.0	2.34
05/16/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.43	0.00	2.43	95.0	2.31
06/20/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.52	0.00	2.52	95.0	2.39
07/25/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.45	0.00	2.45	95.0	2.33
08/15/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.60	0.00	2.60	95.0	2.47
09/15/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.63	0.00	2.63	95.0	2.50
10/14/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.55	0.00	2.55	95.0	2.42
11/21/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.63	0.00	2.63	95.0	2.50
12/16/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.51	0.00	2.51	95.0	2.38
02/19/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.42	0.00	1.42	95.0	1.35
03/17/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.29	0.00	1.29	95.0	1.23
04/25/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.48	0.00	1.48	95.0	1.41
05/16/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.47	0.00	1.47	95.0	1.40
06/20/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.52	0.00	1.52	95.0	1.44
07/25/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.48	0.00	1.48	95.0	1.41
08/15/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.56	0.00	1.56	95.0	1.48
09/15/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.60	0.00	1.60	95.0	1.52
10/14/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.53	0.00	1.53	95.0	1.45
11/21/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.59	0.00	1.59	95.0	1.51
12/16/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.57	0.00	1.57	95.0	1.49
02/19/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.36	0.00	1.36	95.0	1.29
03/17/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.25	0.00	1.25	95.0	1.19
04/25/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.44	0.00	1.44	95.0	1.37
05/16/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.42	0.00	1.42	95.0	1.35
06/20/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.47	0.00	1.47	95.0	1.40
07/25/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.43	0.00	1.43	95.0	1.36
08/15/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.51	0.00	1.51	95.0	1.43
09/15/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.54	0.00	1.54	95.0	1.46
10/14/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.49	0.00	1.49	95.0	1.42
11/21/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.54	0.00	1.54	95.0	1.46
12/16/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.54	0.00	1.54	95.0	1.46

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<u>SPLIT TRANSACTIONS</u>								
BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257								
02/11/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.22	0.00	1.22	95.0	1.16
03/07/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.28	0.00	1.28	95.0	1.22
04/11/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.32	0.00	1.32	95.0	1.25
05/12/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.24	0.00	1.24	95.0	1.18
06/09/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.36	0.00	1.36	95.0	1.29
07/13/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.28	0.00	1.28	95.0	1.22
08/11/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.35	0.00	1.35	95.0	1.28
09/12/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.35	0.00	1.35	95.0	1.28
10/11/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	0.35	0.00	0.35	95.0	0.33
02/25/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.72	0.00	0.72	95.0	0.68
03/08/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.61	0.00	0.61	95.0	0.58
04/22/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.73	0.00	0.73	95.0	0.69
05/17/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.77	0.00	0.77	95.0	0.73
06/15/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.88	0.00	0.88	95.0	0.84
07/14/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.90	0.00	0.90	95.0	0.86
08/18/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.95	0.00	0.95	95.0	0.90
09/15/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.96	0.00	0.96	95.0	0.91
10/21/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.92	0.00	0.92	95.0	0.87
11/09/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.96	0.00	0.96	95.0	0.91
12/16/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.85	0.00	1.85	95.0	1.76
02/25/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.59	0.00	0.59	95.0	0.56
02/25/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.66	0.00	0.66	95.0	0.63
02/25/2016	BERARDI, JAMES	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.51	0.00	0.51	95.0	0.48
03/08/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.84	0.00	0.84	95.0	0.80
03/08/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.58	0.00	0.58	95.0	0.55
03/08/2016	BERARDI, JAMES	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.45	0.00	0.45	95.0	0.43
04/22/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.15	0.00	1.15	95.0	1.09
04/22/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.69	0.00	0.69	95.0	0.66
04/22/2016	BERARDI, JAMES	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.54	0.00	0.54	95.0	0.51
05/17/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.20	0.00	1.20	95.0	1.14
05/17/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.72	0.00	0.72	95.0	0.68
05/17/2016	BERARDI, JAMES	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.57	0.00	0.57	95.0	0.54
06/15/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.32	0.00	1.32	95.0	1.25

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u>								
06/15/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.79	0.00	0.79	95.0	0.75
06/15/2016	BERARDI, JAMES	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.63	0.00	0.63	95.0	0.60
07/14/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.33	0.00	1.33	95.0	1.26
07/14/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.79	0.00	0.79	95.0	0.75
08/18/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.40	0.00	1.40	95.0	1.33
08/18/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.85	0.00	0.85	95.0	0.81
09/15/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.39	0.00	1.39	95.0	1.32
09/15/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.86	0.00	0.86	95.0	0.82
10/21/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.35	0.00	1.35	95.0	1.28
10/21/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.83	0.00	0.83	95.0	0.79
11/09/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.43	0.00	1.43	95.0	1.36
11/09/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.89	0.00	0.89	95.0	0.85
12/16/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.36	0.00	1.36	95.0	1.29
12/16/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.87	0.00	0.87	95.0	0.83
09/12/2016	BRANDT, ROSEMARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.51	0.00	0.51	95.0	0.48
10/11/2016	BRANDT, ROSEMARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	2.21	0.00	2.21	95.0	2.10
11/10/2016	BRANDT, ROSEMARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	2.27	0.00	2.27	95.0	2.16
12/12/2016	BRANDT, ROSEMARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	2.21	0.00	2.21	95.0	2.10
02/12/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.74	0.00	0.74	95.0	0.70
03/16/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.70	0.00	0.70	95.0	0.67
04/15/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.74	0.00	0.74	95.0	0.70
05/16/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.72	0.00	0.72	95.0	0.68
06/14/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.75	0.00	0.75	95.0	0.71
07/18/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.73	0.00	0.73	95.0	0.69
08/15/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.76	0.00	0.76	95.0	0.72
09/15/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.76	0.00	0.76	95.0	0.72
10/12/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.74	0.00	0.74	95.0	0.70
11/16/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.76	0.00	0.76	95.0	0.72
12/14/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.72	0.00	0.72	95.0	0.68
02/12/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.48	0.00	0.48	95.0	0.46
03/16/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.45	0.00	0.45	95.0	0.43
04/15/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.53	0.00	0.53	95.0	0.50
05/16/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.53	0.00	0.53	95.0	0.50

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u>								
06/14/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.54	0.00	0.54	95.0	0.51
07/18/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.53	0.00	0.53	95.0	0.50
08/15/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.58	0.00	0.58	95.0	0.55
09/15/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.61	0.00	0.61	95.0	0.58
10/12/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.60	0.00	0.60	95.0	0.57
11/16/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.62	0.00	0.62	95.0	0.59
12/14/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.57	0.00	0.57	95.0	0.54
* G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R SUBTOTAL *			\$0.00	\$153.86	\$0.00	\$153.86		\$146.16
<u>BROKER: G0E-DAN/JON P/JEFF FT-NY RAUPP/CIRE #259</u>								
03/08/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.28	0.00	0.28	95.0	0.27
04/22/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.48	0.00	0.48	95.0	0.46
05/17/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.51	0.00	0.51	95.0	0.48
06/15/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.56	0.00	0.56	95.0	0.53
07/14/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.57	0.00	0.57	95.0	0.54
08/18/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.60	0.00	0.60	95.0	0.57
09/15/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.61	0.00	0.61	95.0	0.58
10/21/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.60	0.00	0.60	95.0	0.57
11/09/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.64	0.00	0.64	95.0	0.61
12/16/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.62	0.00	0.62	95.0	0.59
* G0E-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$0.00	\$5.47	\$0.00	\$5.47		\$5.20
<u>BROKER: R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI #272</u>								
08/15/2016	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.19	0.00	0.19	95.0	0.18
09/15/2016	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.19	0.00	0.19	95.0	0.18
10/14/2016	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.19	0.00	0.19	95.0	0.18
11/21/2016	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.19	0.00	0.19	95.0	0.18
12/16/2016	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.19	0.00	0.19	95.0	0.18
* R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI SUBTOTAL *			\$0.00	\$0.95	\$0.00	\$0.95		\$0.90
<u>BROKER: P124-JONP/DAN/J FT-FL JUNO CIRE #273</u>								
02/16/2016	MORONEY JR, JOHN	AM FUNDS NEW ECONOMY C	0.00	5.05	0.00	5.05	95.0	4.80
03/15/2016	MORONEY JR, JOHN	AM FUNDS NEW ECONOMY C	0.00	2.61	0.00	2.61	95.0	2.48
02/16/2016	MORONEY JR, JOHN	AM FUNDS NEW WORLD C	0.00	4.89	0.00	4.89	95.0	4.65
03/15/2016	MORONEY JR, JOHN	AM FUNDS NEW WORLD C	0.00	2.60	0.00	2.60	95.0	2.47

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<u>SPLIT TRANSACTIONS</u>								
BROKER: P124-JONP/DAN/J FT-FL JUNO CIRE #273								
02/22/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	5.19	0.00	5.19	95.0	4.93
02/22/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.41	0.00	3.41	95.0	3.24
02/22/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.47	0.00	2.47	95.0	2.35
03/16/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	4.76	0.00	4.76	95.0	4.52
03/16/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.14	0.00	3.14	95.0	2.98
03/16/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.27	0.00	2.27	95.0	2.16
04/21/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	5.37	0.00	5.37	95.0	5.10
04/21/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.55	0.00	3.55	95.0	3.37
04/21/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.57	0.00	2.57	95.0	2.44
05/24/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	5.35	0.00	5.35	95.0	5.08
05/24/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.52	0.00	3.52	95.0	3.34
05/24/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.55	0.00	2.55	95.0	2.42
06/10/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	5.51	0.00	5.51	95.0	5.23
06/10/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.64	0.00	3.64	95.0	3.46
06/10/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.63	0.00	2.63	95.0	2.50
07/14/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	5.36	0.00	5.36	95.0	5.09
07/14/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.53	0.00	3.53	95.0	3.35
07/14/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.56	0.00	2.56	95.0	2.43
08/19/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	5.68	0.00	5.68	95.0	5.40
08/19/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.74	0.00	3.74	95.0	3.55
08/19/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.72	0.00	2.72	95.0	2.58
09/19/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	5.80	0.00	5.80	95.0	5.51
09/19/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.83	0.00	3.83	95.0	3.64
09/19/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.77	0.00	2.77	95.0	2.63
10/20/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	0.57	0.00	0.57	95.0	0.54
10/20/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	5.59	0.00	5.59	95.0	5.31
10/20/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.68	0.00	3.68	95.0	3.50
10/20/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.67	0.00	2.67	95.0	2.54
11/18/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	0.93	0.00	0.93	95.0	0.88
11/18/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	5.76	0.00	5.76	95.0	5.47
11/18/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.80	0.00	3.80	95.0	3.61
11/18/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.75	0.00	2.75	95.0	2.61
12/19/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.00	0.00	1.00	95.0	0.95

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<u>SPLIT TRANSACTIONS</u>								
BROKER: P124-JONP/DAN/J FT-FL JUNO CIRE #273								
12/19/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	5.52	0.00	5.52	95.0	5.24
12/19/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.65	0.00	3.65	95.0	3.47
12/19/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.65	0.00	2.65	95.0	2.52
02/15/2018	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	2,004.62	29.97	10.12	19.85	95.0	18.86
05/19/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.24	0.00	0.24	95.0	0.23
06/23/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.14	0.00	1.14	95.0	1.08
07/11/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.08	0.00	1.08	95.0	1.03
08/15/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.12	0.00	1.12	95.0	1.06
09/12/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.12	0.00	1.12	95.0	1.06
10/14/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.09	0.00	1.09	95.0	1.04
10/14/2016	JA, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.40	0.00	2.40	95.0	2.28
11/17/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.14	0.00	1.14	95.0	1.08
12/12/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.09	0.00	1.09	95.0	1.04
02/12/2016	MORONEY JR, JOHN	COLUMBIA DIVIDEND OPP B	0.00	4.61	0.00	4.61	95.0	4.38
03/14/2016	MORONEY JR, JOHN	COLUMBIA DIVIDEND OPP B	0.00	2.71	0.00	2.71	95.0	2.57
02/07/2018	MORONEY, PHYLLIS	COTTONWOOD RESIDENTIAL 2016 PREFR'D	100,000.00	3,220.00	0.00	3,220.00	95.0	3,059.00
02/09/2018	WASSERMAN TRUST, NINA	DODGE & COX STOCK FUND	-26,378.91	0.00	10.12	-10.12	95.0	-9.61
02/10/2016	MORONEY JR, JOHN	DREYFUS OPPORTUNISTIC MIDCAP VALUE	0.00	5.15	0.00	5.15	95.0	4.89
03/10/2016	MORONEY JR, JOHN	DREYFUS OPPORTUNISTIC MIDCAP VALUE	0.00	2.89	0.00	2.89	95.0	2.75
02/23/2016	MORONEY JR, JOHN	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	3.60	0.00	3.60	95.0	3.42
03/21/2016	MORONEY JR, JOHN	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	1.93	0.00	1.93	95.0	1.83
02/16/2016	MORONEY, PHYLLIS	GOLDMAN SACHS MLP ENERGY INFRASTRUC	0.00	6.44	0.00	6.44	95.0	6.12
03/16/2016	MORONEY, PHYLLIS	GOLDMAN SACHS MLP ENERGY INFRASTRUC	0.00	3.21	0.00	3.21	95.0	3.05
04/22/2016	WILKINSKY, KARA-JANE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.47	0.00	5.47	95.0	5.20
04/22/2016	WILKINSKY, MATTHEW	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.38	0.00	4.38	95.0	4.16
08/01/2016	ABRAMS, RAFAEL	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	2.52	0.00	2.52	95.0	2.39
08/01/2016	WILKINSKY, KARA-JANE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.62	0.00	5.62	95.0	5.34
08/01/2016	WILKINSKY, MATTHEW	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.49	0.00	4.49	95.0	4.27
10/17/2016	ABRAMS, RAFAEL	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.37	0.00	3.37	95.0	3.20
10/17/2016	WILKINSKY, KARA-JANE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.80	0.00	5.80	95.0	5.51
10/17/2016	WILKINSKY, MATTHEW	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.65	0.00	4.65	95.0	4.42
10/17/2016	JA, WILLIAM	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	2.52	0.00	2.52	95.0	2.39
02/12/2016	MORONEY JR, JOHN	HENDERSON EUROPEAN FOCUS FUND CLASS	0.00	5.12	0.00	5.12	95.0	4.86

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: P124-JONP/DAN/J FT-FL JUNO CIRE #273</u>								
03/18/2016	MORONEY JR, JOHN	HENDERSON EUROPEAN FOCUS FUND CLASS	0.00	2.63	0.00	2.63	95.0	2.50
02/12/2016	MORONEY, PHYLLIS	HENDERSON INTL OPPORTUNITIES FUND C	0.00	2.74	0.00	2.74	95.0	2.60
03/18/2016	MORONEY, PHYLLIS	HENDERSON INTL OPPORTUNITIES FUND C	0.00	1.42	0.00	1.42	95.0	1.35
02/14/2018	FLAHERTY, STEPHEN	ING PREMIUM PLUS	60,431.27	17.37	0.00	17.37	95.0	16.50
02/14/2018	FLAHERTY, PATRICIA	ING PREMIUM PLUS	30,852.66	8.86	0.00	8.86	95.0	8.42
12/16/2016	BARAG, STANLEY	MAINSTAY EPOCH GLOBAL EQUITY YIELD	0.00	0.19	0.00	0.19	95.0	0.18
12/19/2016	BARAG, STANLEY	MFS UTILITIES A	0.00	0.11	0.00	0.11	95.0	0.10
02/22/2016	MORONEY JR, JOHN	OPPENHEIMER STEELPATH MLP INCOME FU	0.00	3.57	0.00	3.57	95.0	3.39
03/17/2016	MORONEY JR, JOHN	OPPENHEIMER STEELPATH MLP INCOME FU	0.00	1.78	0.00	1.78	95.0	1.69
02/22/2016	MORONEY JR, JOHN	PIMCO INCOME FUND CLASS A	0.00	4.59	0.00	4.59	95.0	4.36
03/11/2016	MORONEY JR, JOHN	PIMCO INCOME FUND CLASS A	0.00	2.40	0.00	2.40	95.0	2.28
02/25/2016	MORONEY JR, JOHN	VOYA CORPORATE LEADERS 100 FUND CLA	0.00	8.78	0.00	8.78	95.0	8.34
03/21/2016	MORONEY JR, JOHN	VOYA CORPORATE LEADERS 100 FUND CLA	0.00	4.99	0.00	4.99	95.0	4.74
* P124-JONP/DAN/J FT-FL JUNO CIRE SUBTOTAL *			\$166,909.64	\$3,539.94	\$20.24	\$3,519.70		\$3,343.69
<u>BROKER: R138 DAN/JON PAUL FT-RAUPP/CIRELLI #350</u>								
02/16/2018	OSTRANDER, JOANNA	INLAND CHICAGOLAND SUPERMARKET DST	1,500,000.00	18,750.00	0.00	18,750.00	95.0	17,812.50
* R138 DAN/JON PAUL FT-RAUPP/CIRELLI SUBTOTAL *			\$1,500,000.00	\$18,750.00	\$0.00	\$18,750.00		\$17,812.50
<u>BROKER: R141-DAN/ROY/JEFF/JP FT-RAU/PFLEG/K #381</u>								
02/12/2018	POWERS LIVING TRUST, JONATHAN	INLAND CHICAGOLAND SUPERMARKET DST	511,401.05	3,196.26	0.00	3,196.26	95.0	3,036.45
02/21/2018	HASON REV TRUST, KENNETH	INLAND CHICAGOLAND SUPERMARKET DST	1,354,104.17	8,463.15	0.00	8,463.15	95.0	8,039.99
02/22/2018	BLUE SEAL REALTY	INLAND CHICAGOLAND SUPERMARKET DST	4,284,011.94	26,775.08	0.00	26,775.08	95.0	25,436.33
02/22/2018	BLACK SEAL REALTY	INLAND CHICAGOLAND SUPERMARKET DST	800,791.07	5,004.94	0.00	5,004.94	95.0	4,754.69
02/12/2018	POWERS LIVING TRUST, JONATHAN	INLAND ZERO COUPON PHARM'Y VIII DST	128,000.00	800.00	0.00	800.00	95.0	760.00
10/21/2016	RASMUSSEN, MELANIE	MAINSTAY MODERATE GROWTH ALLOCATION	0.00	0.11	0.00	0.11	95.0	0.10
11/09/2016	RASMUSSEN, MELANIE	MAINSTAY MODERATE GROWTH ALLOCATION	0.00	0.21	0.00	0.21	95.0	0.20
12/16/2016	RASMUSSEN, MELANIE	MAINSTAY MODERATE GROWTH ALLOCATION	0.00	0.20	0.00	0.20	95.0	0.19
12/12/2016	RASMUSSEN, MELANIE	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.99	0.00	0.99	95.0	0.94
10/17/2016	RASMUSSEN, MELANIE	PIONEER FUND A	0.00	0.02	0.00	0.02	95.0	0.02
11/18/2016	RASMUSSEN, MELANIE	PIONEER FUND A	0.00	0.04	0.00	0.04	95.0	0.04
12/16/2016	RASMUSSEN, MELANIE	PIONEER FUND A	0.00	0.04	0.00	0.04	95.0	0.04
10/17/2016	RASMUSSEN, MELANIE	PIONEER FUNDAMENTAL GROWTH A	0.00	0.05	0.00	0.05	95.0	0.05
11/18/2016	RASMUSSEN, MELANIE	PIONEER FUNDAMENTAL GROWTH A	0.00	0.09	0.00	0.09	95.0	0.09

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: R141-DAN/ROY/JEFF/JP FT-RAU/PFLEG/K #381								
12/16/2016	RASMUSSEN, MELANIE	PIONEER FUNDAMENTAL GROWTH A	0.00	0.09	0.00	0.09	95.0	0.09
10/20/2016	RASMUSSEN, MELANIE	THE GABELLI UTILITIES FUND CLASS A	0.00	0.06	0.00	0.06	95.0	0.06
11/22/2016	RASMUSSEN, MELANIE	THE GABELLI UTILITIES FUND CLASS A	0.00	0.10	0.00	0.10	95.0	0.10
12/27/2016	RASMUSSEN, MELANIE	THE GABELLI UTILITIES FUND CLASS A	0.00	0.10	0.00	0.10	95.0	0.10
* R141-DAN/ROY/JEFF/JP FT-RAU/PFLEG/K SUBTOTAL *			\$7,078,308.23	\$44,241.53	\$0.00	\$44,241.53		\$42,029.48
*** SPLIT TRANSACTIONS TOTAL ***			\$8,716,785.99	\$67,958.16	\$23.62	\$67,934.54		\$64,537.96

OVERRIDE TRANSACTIONS**BROKER: MARC, L134 LINSKY #263**

02/08/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.62	0.00	0.62	90.0	0.01
03/09/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.57	0.00	0.57	90.0	0.01
04/18/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.68	0.00	0.68	90.0	0.01
05/11/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.67	0.00	0.67	90.0	0.01
06/10/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.69	0.00	0.69	90.0	0.01
07/18/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.69	0.00	0.69	90.0	0.01
08/08/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.72	0.00	0.72	90.0	0.01
09/12/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.74	0.00	0.74	90.0	0.01
10/20/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.72	0.00	0.72	90.0	0.01
11/11/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.75	0.00	0.75	90.0	0.01
12/12/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.76	0.00	0.76	90.0	0.01
02/08/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	8.86	0.00	8.86	90.0	0.14
03/09/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	7.78	0.00	7.78	90.0	0.12
04/18/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.02	0.00	9.02	90.0	0.14
05/11/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.02	0.00	9.02	90.0	0.14
06/10/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.31	0.00	9.31	90.0	0.15
07/18/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.19	0.00	9.19	90.0	0.15
08/08/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.74	0.00	9.74	90.0	0.16
09/12/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	10.01	0.00	10.01	90.0	0.16
10/20/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.65	0.00	9.65	90.0	0.15
11/11/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.78	0.00	9.78	90.0	0.16
12/12/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.77	0.00	9.77	90.0	0.16
09/19/2016	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	0.54	0.00	0.54	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/20/2016	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	2.68	0.00	2.68	90.0	0.04
11/18/2016	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	2.79	0.00	2.79	90.0	0.04
12/19/2016	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	2.85	0.00	2.85	90.0	0.05
02/15/2018	CHIECO, DANIEL	AM CENT EQUITY INCOME	1,204.86	60.24	22.00	38.24	90.0	0.61
02/16/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	2.86	0.00	2.86	90.0	0.05
03/15/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	2.63	0.00	2.63	90.0	0.04
04/20/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.01	0.00	3.01	90.0	0.05
05/16/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.00	0.00	3.00	90.0	0.05
06/15/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.09	0.00	3.09	90.0	0.05
07/18/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.03	0.00	3.03	90.0	0.05
08/15/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.18	0.00	3.18	90.0	0.05
09/16/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.25	0.00	3.25	90.0	0.05
10/17/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.13	0.00	3.13	90.0	0.05
11/18/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.24	0.00	3.24	90.0	0.05
12/15/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.14	0.00	3.14	90.0	0.05
02/16/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.10	0.00	6.10	90.0	0.10
03/15/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	5.61	0.00	5.61	90.0	0.09
04/20/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.40	0.00	6.40	90.0	0.10
05/16/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.39	0.00	6.39	90.0	0.10
06/15/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.56	0.00	6.56	90.0	0.10
07/18/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.43	0.00	6.43	90.0	0.10
08/15/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.75	0.00	6.75	90.0	0.11
09/16/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.90	0.00	6.90	90.0	0.11
10/17/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.63	0.00	6.63	90.0	0.11
11/18/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.86	0.00	6.86	90.0	0.11
12/15/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.64	0.00	6.64	90.0	0.11
02/16/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.86	0.00	1.86	90.0	0.03
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.54	0.00	0.54	90.0	0.01
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.47	0.00	0.47	90.0	0.01
03/15/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.73	0.00	1.73	90.0	0.03
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.50	0.00	0.50	90.0	0.01
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.26	0.00	2.26	90.0	0.04
04/20/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.93	0.00	1.93	90.0	0.03

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.56	0.00	0.56	90.0	0.01
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.51	0.00	2.51	90.0	0.04
05/16/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.91	0.00	1.91	90.0	0.03
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.55	0.00	0.55	90.0	0.01
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.48	0.00	2.48	90.0	0.04
06/15/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.97	0.00	1.97	90.0	0.03
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.57	0.00	0.57	90.0	0.01
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.57	0.00	2.57	90.0	0.04
07/18/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.77	0.00	1.77	90.0	0.03
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.56	0.00	0.56	90.0	0.01
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.51	0.00	2.51	90.0	0.04
07/18/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.40	0.00	0.40	90.0	0.01
07/18/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.40	0.00	0.40	90.0	0.01
08/15/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.80	0.00	1.80	90.0	0.03
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.59	0.00	0.59	90.0	0.01
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.65	0.00	2.65	90.0	0.04
08/15/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.01
08/15/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.01
09/16/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.81	0.00	1.81	90.0	0.03
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.59	0.00	0.59	90.0	0.01
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.67	0.00	2.67	90.0	0.04
09/16/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.01
09/16/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.01
10/17/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.74	0.00	1.74	90.0	0.03
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.57	0.00	0.57	90.0	0.01
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.57	0.00	2.57	90.0	0.04
10/17/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.41	0.00	0.41	90.0	0.01
10/17/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.41	0.00	0.41	90.0	0.01
11/18/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.80	0.00	1.80	90.0	0.03
11/18/2016	BOSCO, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	0.51	0.00	0.51	90.0	0.01
11/18/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	1.71	0.00	1.71	90.0	0.03
11/18/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.01
11/18/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
11/18/2016	APPLEGATE, PAMAEALA	AM FUNDS AMERICAN BALANCED A	0.00	0.37	0.00	0.37	90.0	0.01
12/15/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.68	0.00	1.68	90.0	0.03
12/15/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.41	0.00	0.41	90.0	0.01
12/15/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.41	0.00	0.41	90.0	0.01
12/15/2016	APPLEGATE, PAMAEALA	AM FUNDS AMERICAN BALANCED A	0.00	0.85	0.00	0.85	90.0	0.01
02/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.00	0.00	1.00	90.0	0.02
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.43	0.00	0.43	90.0	0.01
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	0.00	0.39	90.0	0.01
03/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.94	0.00	0.94	90.0	0.02
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	0.00	0.41	90.0	0.01
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.89	0.00	1.89	90.0	0.03
04/20/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.06	0.00	1.06	90.0	0.02
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	90.0	0.01
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.11	0.00	2.11	90.0	0.03
05/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.04	0.00	1.04	90.0	0.02
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.45	0.00	0.45	90.0	0.01
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.09	0.00	2.09	90.0	0.03
06/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	90.0	0.01
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	90.0	0.01
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.16	0.00	2.16	90.0	0.03
07/18/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.88	0.00	0.88	90.0	0.01
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	90.0	0.01
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.11	0.00	2.11	90.0	0.03
08/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	90.0	0.01
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	90.0	0.01
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.24	0.00	2.24	90.0	0.04
09/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	90.0	0.01
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	90.0	0.01
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.25	0.00	2.25	90.0	0.04
10/17/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.90	0.00	0.90	90.0	0.01
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	90.0	0.01
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.16	0.00	2.16	90.0	0.03
11/18/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.88	0.00	0.88	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
11/18/2016	BOSCO, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	0.00	0.41	90.0	0.01
11/18/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.42	0.00	1.42	90.0	0.02
12/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.84	0.00	0.84	90.0	0.01
12/15/2016	APPLEGATE, PAMAEALA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.69	0.00	0.69	90.0	0.01
02/16/2016	POLLAN, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.24	0.00	1.24	90.0	0.02
02/16/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.66	0.00	2.66	90.0	0.04
02/16/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.28	0.00	2.28	90.0	0.04
02/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.08	0.00	1.08	90.0	0.02
02/16/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.54	0.00	0.54	90.0	0.01
03/15/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.44	0.00	2.44	90.0	0.04
03/15/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.09	0.00	2.09	90.0	0.03
03/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.99	0.00	0.99	90.0	0.02
03/15/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.50	0.00	0.50	90.0	0.01
04/20/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.78	0.00	2.78	90.0	0.04
04/20/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.38	0.00	2.38	90.0	0.04
04/20/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.13	0.00	1.13	90.0	0.02
04/20/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	90.0	0.01
05/16/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.76	0.00	2.76	90.0	0.04
05/16/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.36	0.00	2.36	90.0	0.04
05/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.12	0.00	1.12	90.0	0.02
05/16/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	90.0	0.01
06/15/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.83	0.00	2.83	90.0	0.05
06/15/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.42	0.00	2.42	90.0	0.04
06/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.15	0.00	1.15	90.0	0.02
06/15/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.57	0.00	0.57	90.0	0.01
07/18/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.76	0.00	2.76	90.0	0.04
07/18/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.36	0.00	2.36	90.0	0.04
07/18/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.12	0.00	1.12	90.0	0.02
07/18/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	90.0	0.01
08/15/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.93	0.00	2.93	90.0	0.05
08/15/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.50	0.00	2.50	90.0	0.04
08/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.19	0.00	1.19	90.0	0.02
08/15/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.59	0.00	0.59	90.0	0.01

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
09/16/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.00	0.00	3.00	90.0	0.05
09/16/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.57	0.00	2.57	90.0	0.04
09/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.22	0.00	1.22	90.0	0.02
09/16/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.61	0.00	0.61	90.0	0.01
10/17/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.90	0.00	2.90	90.0	0.05
10/17/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.48	0.00	2.48	90.0	0.04
10/17/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.18	0.00	1.18	90.0	0.02
10/17/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.59	0.00	0.59	90.0	0.01
11/18/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.97	0.00	2.97	90.0	0.05
11/18/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.54	0.00	2.54	90.0	0.04
11/18/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.20	0.00	1.20	90.0	0.02
11/18/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.60	0.00	0.60	90.0	0.01
12/15/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.83	0.00	2.83	90.0	0.05
12/15/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.43	0.00	2.43	90.0	0.04
12/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.15	0.00	1.15	90.0	0.02
12/15/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.57	0.00	0.57	90.0	0.01
02/16/2016	POLLAN, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.99	0.00	0.99	90.0	0.02
02/16/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.08	0.00	2.08	90.0	0.03
03/15/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.91	0.00	1.91	90.0	0.03
04/20/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.17	0.00	2.17	90.0	0.03
05/16/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.16	0.00	2.16	90.0	0.03
06/15/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.22	0.00	2.22	90.0	0.04
07/18/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.16	0.00	2.16	90.0	0.03
08/15/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.29	0.00	2.29	90.0	0.04
09/16/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.35	0.00	2.35	90.0	0.04
10/17/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.27	0.00	2.27	90.0	0.04
11/18/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.33	0.00	2.33	90.0	0.04
12/15/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.22	0.00	2.22	90.0	0.04
02/16/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.23	0.00	11.23	90.0	0.18
03/15/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	10.13	0.00	10.13	90.0	0.16
04/20/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.53	0.00	11.53	90.0	0.18
05/16/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.43	0.00	11.43	90.0	0.18
06/15/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.68	0.00	11.68	90.0	0.19

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/18/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.32	0.00	11.32	90.0	0.18
08/15/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.96	0.00	11.96	90.0	0.19
09/16/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	12.12	0.00	12.12	90.0	0.19
10/17/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.78	0.00	11.78	90.0	0.19
11/18/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	12.03	0.00	12.03	90.0	0.19
12/15/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.24	0.00	11.24	90.0	0.18
02/16/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.54	0.00	1.54	90.0	0.02
03/15/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.42	0.00	1.42	90.0	0.02
04/20/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.62	0.00	1.62	90.0	0.03
05/16/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.61	0.00	1.61	90.0	0.03
06/15/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.67	0.00	1.67	90.0	0.03
07/18/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.64	0.00	1.64	90.0	0.03
08/15/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.73	0.00	1.73	90.0	0.03
09/16/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.77	0.00	1.77	90.0	0.03
10/17/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.70	0.00	1.70	90.0	0.03
11/18/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.76	0.00	1.76	90.0	0.03
12/15/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.67	0.00	1.67	90.0	0.03
02/15/2018	BENFER, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	225.00	11.25	0.00	11.25	90.0	0.18
02/16/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.64	0.00	0.64	90.0	0.01
02/16/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.28	0.00	3.28	90.0	0.05
02/16/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.18	0.00	1.18	90.0	0.02
02/16/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.49	0.00	4.49	90.0	0.07
02/16/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.40	0.00	3.40	90.0	0.05
02/16/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.29	0.00	1.29	90.0	0.02
02/16/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.35	0.00	0.35	90.0	0.01
02/16/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	90.0	0.01
02/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.47	0.00	0.47	90.0	0.01
02/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.76	0.00	0.76	90.0	0.01
02/16/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.46	0.00	0.46	90.0	0.01
03/15/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.58	0.00	0.58	90.0	0.01
03/15/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.96	0.00	2.96	90.0	0.05
03/15/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.07	0.00	1.07	90.0	0.02
03/15/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.06	0.00	4.06	90.0	0.06

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
03/15/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.07	0.00	3.07	90.0	0.05
03/15/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.16	0.00	1.16	90.0	0.02
03/15/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.32	0.00	0.32	90.0	0.01
03/15/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.62	0.00	0.62	90.0	0.01
03/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	90.0	0.01
03/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.69	0.00	0.69	90.0	0.01
03/15/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	90.0	0.01
04/20/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.66	0.00	0.66	90.0	0.01
04/20/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.38	0.00	3.38	90.0	0.05
04/20/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.21	0.00	1.21	90.0	0.02
04/20/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.62	0.00	4.62	90.0	0.07
04/20/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.50	0.00	3.50	90.0	0.06
04/20/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.32	0.00	1.32	90.0	0.02
04/20/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.36	0.00	0.36	90.0	0.01
04/20/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.01
04/20/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.01
04/20/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.01
04/20/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.01
05/16/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.66	0.00	0.66	90.0	0.01
05/16/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.38	0.00	3.38	90.0	0.05
05/16/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.21	0.00	1.21	90.0	0.02
05/16/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.62	0.00	4.62	90.0	0.07
05/16/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.52	0.00	3.52	90.0	0.06
05/16/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.32	0.00	1.32	90.0	0.02
05/16/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.36	0.00	0.36	90.0	0.01
05/16/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.01
05/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.01
05/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.01
05/16/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.01
06/15/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	90.0	0.01
06/15/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.49	0.00	3.49	90.0	0.06
06/15/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.26	0.00	1.26	90.0	0.02
06/15/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.78	0.00	4.78	90.0	0.08

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
06/15/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.66	0.00	3.66	90.0	0.06
06/15/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.37	0.00	1.37	90.0	0.02
06/15/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.38	0.00	0.38	90.0	0.01
06/15/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.01
06/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.50	0.00	0.50	90.0	0.01
06/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.81	0.00	0.81	90.0	0.01
06/15/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	90.0	0.01
07/18/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.67	0.00	0.67	90.0	0.01
07/18/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.43	0.00	3.43	90.0	0.05
07/18/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.23	0.00	1.23	90.0	0.02
07/18/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.69	0.00	4.69	90.0	0.08
07/18/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.61	0.00	3.61	90.0	0.06
07/18/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.34	0.00	1.34	90.0	0.02
07/18/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.37	0.00	0.37	90.0	0.01
07/18/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	90.0	0.01
07/18/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	90.0	0.01
07/18/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	90.0	0.01
07/18/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.01
08/15/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	90.0	0.01
08/15/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.63	0.00	3.63	90.0	0.06
08/15/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.31	0.00	1.31	90.0	0.02
08/15/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.97	0.00	4.97	90.0	0.08
08/15/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.85	0.00	3.85	90.0	0.06
08/15/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.42	0.00	1.42	90.0	0.02
08/15/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.39	0.00	0.39	90.0	0.01
08/15/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.76	0.00	0.76	90.0	0.01
08/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.52	0.00	0.52	90.0	0.01
08/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	90.0	0.01
08/15/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.01
09/16/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.01
09/16/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.73	0.00	3.73	90.0	0.06
09/16/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.34	0.00	1.34	90.0	0.02
09/16/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.11	0.00	5.11	90.0	0.08

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
09/16/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.74	0.00	3.74	90.0	0.06
09/16/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.46	0.00	1.46	90.0	0.02
09/16/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	90.0	0.01
09/16/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.01
09/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	90.0	0.01
09/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.87	0.00	0.87	90.0	0.01
09/16/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	90.0	0.01
10/17/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.01
10/17/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.60	0.00	3.60	90.0	0.06
10/17/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.29	0.00	1.29	90.0	0.02
10/17/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.92	0.00	4.92	90.0	0.08
10/17/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.53	0.00	3.53	90.0	0.06
10/17/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.41	0.00	1.41	90.0	0.02
10/17/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.39	0.00	0.39	90.0	0.01
10/17/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.75	0.00	0.75	90.0	0.01
10/17/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.01
10/17/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.83	0.00	0.83	90.0	0.01
10/17/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.01
11/18/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.01
11/18/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.74	0.00	3.74	90.0	0.06
11/18/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.34	0.00	1.34	90.0	0.02
11/18/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.12	0.00	5.12	90.0	0.08
11/18/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.67	0.00	3.67	90.0	0.06
11/18/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.46	0.00	1.46	90.0	0.02
11/18/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	90.0	0.01
11/18/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.01
11/18/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	90.0	0.01
11/18/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.87	0.00	0.87	90.0	0.01
11/18/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	90.0	0.01
12/15/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	90.0	0.01
12/15/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.62	0.00	3.62	90.0	0.06
12/15/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.30	0.00	1.30	90.0	0.02
12/15/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.96	0.00	4.96	90.0	0.08

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
12/15/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.55	0.00	3.55	90.0	0.06
12/15/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.42	0.00	1.42	90.0	0.02
12/15/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.39	0.00	0.39	90.0	0.01
12/15/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.75	0.00	0.75	90.0	0.01
12/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.01
12/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	90.0	0.01
12/15/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.01
02/15/2018	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	220.04	9.35	22.00	-12.65	90.0	-0.20
02/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.97	0.00	1.97	90.0	0.03
03/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.78	0.00	1.78	90.0	0.03
04/20/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.02	0.00	2.02	90.0	0.03
05/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.02	0.00	2.02	90.0	0.03
06/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.09	0.00	2.09	90.0	0.03
07/18/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.05	0.00	2.05	90.0	0.03
08/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.17	0.00	2.17	90.0	0.03
09/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.23	0.00	2.23	90.0	0.04
10/17/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.14	0.00	2.14	90.0	0.03
11/18/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.23	0.00	2.23	90.0	0.04
12/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.16	0.00	2.16	90.0	0.03
02/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.46	0.00	10.46	90.0	0.17
02/16/2016	POLLAN, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.11	0.00	2.11	90.0	0.03
02/16/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.90	0.00	1.90	90.0	0.03
02/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.90	0.00	3.90	90.0	0.06
02/16/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.96	0.00	3.96	90.0	0.06
03/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	9.44	0.00	9.44	90.0	0.15
03/15/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.72	0.00	1.72	90.0	0.03
03/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.52	0.00	3.52	90.0	0.06
03/15/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.58	0.00	3.58	90.0	0.06
04/20/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.75	0.00	10.75	90.0	0.17
04/20/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.96	0.00	1.96	90.0	0.03
04/20/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.01	0.00	4.01	90.0	0.06
04/20/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.08	0.00	4.08	90.0	0.07
05/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.76	0.00	10.76	90.0	0.17

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
05/16/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.96	0.00	1.96	90.0	0.03
05/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.01	0.00	4.01	90.0	0.06
05/16/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.08	0.00	4.08	90.0	0.07
06/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	11.12	0.00	11.12	90.0	0.18
06/15/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.02	0.00	2.02	90.0	0.03
06/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.15	0.00	4.15	90.0	0.07
06/15/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.21	0.00	4.21	90.0	0.07
07/18/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.92	0.00	10.92	90.0	0.17
07/18/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.99	0.00	1.99	90.0	0.03
07/18/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.07	0.00	4.07	90.0	0.07
07/18/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.14	0.00	4.14	90.0	0.07
08/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	11.57	0.00	11.57	90.0	0.19
08/15/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.11	0.00	2.11	90.0	0.03
08/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.32	0.00	4.32	90.0	0.07
08/15/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.38	0.00	4.38	90.0	0.07
09/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	8.04	0.00	8.04	90.0	0.13
09/16/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.16	0.00	2.16	90.0	0.03
09/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.43	0.00	4.43	90.0	0.07
09/16/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.50	0.00	4.50	90.0	0.07
10/17/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.09	0.00	2.09	90.0	0.03
10/17/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.28	0.00	4.28	90.0	0.07
10/17/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.34	0.00	4.34	90.0	0.07
11/18/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.17	0.00	2.17	90.0	0.03
11/18/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.44	0.00	4.44	90.0	0.07
11/18/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.51	0.00	4.51	90.0	0.07
12/15/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.10	0.00	2.10	90.0	0.03
12/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.30	0.00	4.30	90.0	0.07
12/15/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.37	0.00	4.37	90.0	0.07
02/16/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.10	0.00	1.10	90.0	0.02
02/16/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.11	0.00	7.11	90.0	0.11
02/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.42	0.00	0.42	90.0	0.01
02/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.68	0.00	0.68	90.0	0.01
02/16/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.41	0.00	0.41	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	0.43	0.00	0.43	90.0	0.01
03/15/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.03	0.00	1.03	90.0	0.02
03/15/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	6.66	0.00	6.66	90.0	0.11
03/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.39	0.00	0.39	90.0	0.01
03/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.64	0.00	0.64	90.0	0.01
03/15/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.39	0.00	0.39	90.0	0.01
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.09	0.00	2.09	90.0	0.03
04/20/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.17	0.00	1.17	90.0	0.02
04/20/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.60	0.00	7.60	90.0	0.12
04/20/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.44	0.00	0.44	90.0	0.01
04/20/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.73	0.00	0.73	90.0	0.01
04/20/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.44	0.00	0.44	90.0	0.01
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.38	0.00	2.38	90.0	0.04
05/16/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.17	0.00	1.17	90.0	0.02
05/16/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.59	0.00	7.59	90.0	0.12
05/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.44	0.00	0.44	90.0	0.01
05/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.72	0.00	0.72	90.0	0.01
05/16/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.44	0.00	0.44	90.0	0.01
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.38	0.00	2.38	90.0	0.04
06/15/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.21	0.00	1.21	90.0	0.02
06/15/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.83	0.00	7.83	90.0	0.13
06/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.46	0.00	0.46	90.0	0.01
06/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.75	0.00	0.75	90.0	0.01
06/15/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.46	0.00	0.46	90.0	0.01
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.46	0.00	2.46	90.0	0.04
07/18/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.19	0.00	1.19	90.0	0.02
07/18/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.68	0.00	7.68	90.0	0.12
07/18/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.45	0.00	0.45	90.0	0.01
07/18/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.73	0.00	0.73	90.0	0.01
07/18/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.45	0.00	0.45	90.0	0.01
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.41	0.00	2.41	90.0	0.04
07/18/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.46	0.00	0.46	90.0	0.01
07/18/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.46	0.00	0.46	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
08/15/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.27	0.00	1.27	90.0	0.02
08/15/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	8.19	0.00	8.19	90.0	0.13
08/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.01
08/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.78	0.00	0.78	90.0	0.01
08/15/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.01
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.57	0.00	2.57	90.0	0.04
08/15/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.01
08/15/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.01
09/16/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.29	0.00	1.29	90.0	0.02
09/16/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.90	0.00	7.90	90.0	0.13
09/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.01
09/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.79	0.00	0.79	90.0	0.01
09/16/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.01
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.61	0.00	2.61	90.0	0.04
09/16/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.01
09/16/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.01
10/17/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.23	0.00	1.23	90.0	0.02
10/17/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.38	0.00	7.38	90.0	0.12
10/17/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.47	0.00	0.47	90.0	0.01
10/17/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.76	0.00	0.76	90.0	0.01
10/17/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.46	0.00	0.46	90.0	0.01
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.50	0.00	2.50	90.0	0.04
10/17/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.47	0.00	0.47	90.0	0.01
10/17/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.47	0.00	0.47	90.0	0.01
11/18/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.28	0.00	1.28	90.0	0.02
11/18/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.62	0.00	7.62	90.0	0.12
11/18/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.01
11/18/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.79	0.00	0.79	90.0	0.01
11/18/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.01
11/18/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	1.67	0.00	1.67	90.0	0.03
11/18/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.01
11/18/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.01
11/18/2016	APPLEGATE, PAMAELE	AM FUNDS ICA A	0.00	0.36	0.00	0.36	90.0	0.01

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
12/15/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.24	0.00	1.24	90.0	0.02
12/15/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.43	0.00	7.43	90.0	0.12
12/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.47	0.00	0.47	90.0	0.01
12/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.77	0.00	0.77	90.0	0.01
12/15/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.47	0.00	0.47	90.0	0.01
12/15/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.01
12/15/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.01
12/15/2016	APPLEGATE, PAMAELA	AM FUNDS ICA A	0.00	0.83	0.00	0.83	90.0	0.01
02/15/2018	BOND-HILTNER, LINDA	AM FUNDS ICA A	836.76	41.84	22.00	19.84	90.0	0.32
02/16/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.01	0.00	4.01	90.0	0.06
03/15/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	3.75	0.00	3.75	90.0	0.06
04/20/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.27	0.00	4.27	90.0	0.07
05/16/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.27	0.00	4.27	90.0	0.07
06/15/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.40	0.00	4.40	90.0	0.07
07/18/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.31	0.00	4.31	90.0	0.07
08/15/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.60	0.00	4.60	90.0	0.07
09/16/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.67	0.00	4.67	90.0	0.07
10/17/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.47	0.00	4.47	90.0	0.07
11/18/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.62	0.00	4.62	90.0	0.07
12/15/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.50	0.00	4.50	90.0	0.07
02/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	9.24	0.00	9.24	90.0	0.15
02/16/2016	POLLAN, PATRICIA	AM FUNDS ICA F1	0.00	2.16	0.00	2.16	90.0	0.03
02/16/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.58	0.00	3.58	90.0	0.06
02/16/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.43	0.00	3.43	90.0	0.05
03/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	8.66	0.00	8.66	90.0	0.14
03/15/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.36	0.00	3.36	90.0	0.05
03/15/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.22	0.00	3.22	90.0	0.05
04/20/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	9.87	0.00	9.87	90.0	0.16
04/20/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.83	0.00	3.83	90.0	0.06
04/20/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.67	0.00	3.67	90.0	0.06
05/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	9.86	0.00	9.86	90.0	0.16
05/16/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.82	0.00	3.82	90.0	0.06
05/16/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.66	0.00	3.66	90.0	0.06

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
06/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.17	0.00	10.17	90.0	0.16
06/15/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.95	0.00	3.95	90.0	0.06
06/15/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.78	0.00	3.78	90.0	0.06
07/18/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	9.98	0.00	9.98	90.0	0.16
07/18/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.87	0.00	3.87	90.0	0.06
07/18/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.71	0.00	3.71	90.0	0.06
08/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.64	0.00	10.64	90.0	0.17
08/15/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.13	0.00	4.13	90.0	0.07
08/15/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.96	0.00	3.96	90.0	0.06
09/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.81	0.00	10.81	90.0	0.17
09/16/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.20	0.00	4.20	90.0	0.07
09/16/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	4.02	0.00	4.02	90.0	0.06
10/17/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.37	0.00	10.37	90.0	0.17
10/17/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.02	0.00	4.02	90.0	0.06
10/17/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.85	0.00	3.85	90.0	0.06
11/18/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.70	0.00	10.70	90.0	0.17
11/18/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.15	0.00	4.15	90.0	0.07
11/18/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.98	0.00	3.98	90.0	0.06
12/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.44	0.00	10.44	90.0	0.17
12/15/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.05	0.00	4.05	90.0	0.06
12/15/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.88	0.00	3.88	90.0	0.06
02/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.38	0.00	4.38	90.0	0.07
02/16/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.61	0.00	3.61	90.0	0.06
02/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.58	0.00	17.58	90.0	0.28
02/16/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.48	0.00	2.48	90.0	0.04
02/16/2016	GOLDBERGER, ANNA	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.34	0.00	4.34	90.0	0.07
03/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.10	0.00	4.10	90.0	0.07
03/15/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.38	0.00	3.38	90.0	0.05
03/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.48	0.00	16.48	90.0	0.26
03/15/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.33	0.00	2.33	90.0	0.04
04/20/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.60	0.00	4.60	90.0	0.07
04/20/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.80	0.00	3.80	90.0	0.06
04/20/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.40	0.00	18.40	90.0	0.29

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
04/20/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.61	0.00	2.61	90.0	0.04
05/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.55	0.00	4.55	90.0	0.07
05/16/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.75	0.00	3.75	90.0	0.06
05/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.14	0.00	18.14	90.0	0.29
05/16/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.58	0.00	2.58	90.0	0.04
06/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.71	0.00	4.71	90.0	0.08
06/15/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.89	0.00	3.89	90.0	0.06
06/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.76	0.00	18.76	90.0	0.30
06/15/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.67	0.00	2.67	90.0	0.04
07/18/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.60	0.00	4.60	90.0	0.07
07/18/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.81	0.00	3.81	90.0	0.06
07/18/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.28	0.00	18.28	90.0	0.29
07/18/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.61	0.00	2.61	90.0	0.04
08/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.91	0.00	4.91	90.0	0.08
08/15/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.06	0.00	4.06	90.0	0.06
08/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.43	0.00	19.43	90.0	0.31
08/15/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.79	0.00	2.79	90.0	0.04
09/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.94	0.00	4.94	90.0	0.08
09/16/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.08	0.00	4.08	90.0	0.07
09/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.55	0.00	19.55	90.0	0.31
09/16/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.80	0.00	2.80	90.0	0.04
10/17/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.72	0.00	4.72	90.0	0.08
10/17/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.90	0.00	3.90	90.0	0.06
10/17/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.73	0.00	18.73	90.0	0.30
10/17/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.70	0.00	2.70	90.0	0.04
11/18/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.65	0.00	4.65	90.0	0.07
11/18/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.87	0.00	3.87	90.0	0.06
11/18/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.18	0.00	19.18	90.0	0.31
11/18/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.77	0.00	2.77	90.0	0.04
12/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.49	0.00	4.49	90.0	0.07
12/15/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.74	0.00	3.74	90.0	0.06
12/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.53	0.00	18.53	90.0	0.30
12/15/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.68	0.00	2.68	90.0	0.04

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.52	0.00	0.52	90.0	0.01
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.47	0.00	0.47	90.0	0.01
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.47	0.00	0.47	90.0	0.01
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.20	0.00	2.20	90.0	0.04
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.53	0.00	0.53	90.0	0.01
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.50	0.00	2.50	90.0	0.04
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.53	0.00	0.53	90.0	0.01
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.49	0.00	2.49	90.0	0.04
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.54	0.00	0.54	90.0	0.01
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.55	0.00	2.55	90.0	0.04
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.52	0.00	0.52	90.0	0.01
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.48	0.00	2.48	90.0	0.04
07/18/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.57	0.00	0.57	90.0	0.01
07/18/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.44	0.00	0.44	90.0	0.01
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.56	0.00	0.56	90.0	0.01
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.63	0.00	2.63	90.0	0.04
08/15/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.61	0.00	0.61	90.0	0.01
08/15/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.61	0.00	0.61	90.0	0.01
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.57	0.00	0.57	90.0	0.01
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.69	0.00	2.69	90.0	0.04
09/16/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.62	0.00	0.62	90.0	0.01
09/16/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.62	0.00	0.62	90.0	0.01
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.55	0.00	0.55	90.0	0.01
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.61	0.00	2.61	90.0	0.04
10/17/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.60	0.00	0.60	90.0	0.01
10/17/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.60	0.00	0.60	90.0	0.01
11/18/2016	BOSCO, EDWARD	AM FUNDS NEW PERSPECTIVE A	0.00	0.49	0.00	0.49	90.0	0.01
11/18/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	1.73	0.00	1.73	90.0	0.03
11/18/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.62	0.00	0.62	90.0	0.01
11/18/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.62	0.00	0.62	90.0	0.01
11/18/2016	APPLEGATE, PAMAELA	AM FUNDS NEW PERSPECTIVE A	0.00	0.37	0.00	0.37	90.0	0.01
12/15/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.59	0.00	0.59	90.0	0.01
12/15/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.59	0.00	0.59	90.0	0.01

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
12/15/2016	APPLEGATE, PAMAEALA	AM FUNDS NEW PERSPECTIVE A	0.00	0.84	0.00	0.84	90.0	0.01
02/16/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.34	0.00	1.34	90.0	0.02
03/15/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.20	0.00	1.20	90.0	0.02
04/20/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.37	0.00	1.37	90.0	0.02
05/16/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.38	0.00	1.38	90.0	0.02
06/15/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.42	0.00	1.42	90.0	0.02
07/18/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.41	0.00	1.41	90.0	0.02
08/15/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.48	0.00	1.48	90.0	0.02
09/16/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.54	0.00	1.54	90.0	0.02
10/17/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.50	0.00	1.50	90.0	0.02
11/18/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.55	0.00	1.55	90.0	0.02
12/15/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.47	0.00	1.47	90.0	0.02
02/16/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.24	0.00	4.24	90.0	0.07
02/16/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.07	0.00	1.07	90.0	0.02
02/16/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.42	0.00	2.42	90.0	0.04
02/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.42	0.00	0.42	90.0	0.01
02/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.68	0.00	0.68	90.0	0.01
02/16/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.42	0.00	0.42	90.0	0.01
02/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.37	0.00	9.37	90.0	0.15
03/15/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.96	0.00	3.96	90.0	0.06
03/15/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.00	0.00	1.00	90.0	0.02
03/15/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.26	0.00	2.26	90.0	0.04
03/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.39	0.00	0.39	90.0	0.01
03/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.64	0.00	0.64	90.0	0.01
03/15/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.39	0.00	0.39	90.0	0.01
03/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.75	0.00	8.75	90.0	0.14
04/20/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.49	0.00	4.49	90.0	0.07
04/20/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.13	0.00	1.13	90.0	0.02
04/20/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.56	0.00	2.56	90.0	0.04
04/20/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.01
04/20/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.72	0.00	0.72	90.0	0.01
04/20/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.01
04/20/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.92	0.00	9.92	90.0	0.16

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
05/16/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.46	0.00	4.46	90.0	0.07
05/16/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.12	0.00	1.12	90.0	0.02
05/16/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.54	0.00	2.54	90.0	0.04
05/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.01
05/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.72	0.00	0.72	90.0	0.01
05/16/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.01
05/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.85	0.00	9.85	90.0	0.16
06/15/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.61	0.00	4.61	90.0	0.07
06/15/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.16	0.00	1.16	90.0	0.02
06/15/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.63	0.00	2.63	90.0	0.04
06/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	90.0	0.01
06/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.74	0.00	0.74	90.0	0.01
06/15/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	90.0	0.01
06/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.18	0.00	10.18	90.0	0.16
07/18/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.52	0.00	4.52	90.0	0.07
07/18/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.14	0.00	1.14	90.0	0.02
07/18/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.58	0.00	2.58	90.0	0.04
07/18/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	90.0	0.01
07/18/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.73	0.00	0.73	90.0	0.01
07/18/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.01
07/18/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.98	0.00	9.98	90.0	0.16
08/15/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.80	0.00	4.80	90.0	0.08
08/15/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.21	0.00	1.21	90.0	0.02
08/15/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.74	0.00	2.74	90.0	0.04
08/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	90.0	0.01
08/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.77	0.00	0.77	90.0	0.01
08/15/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	90.0	0.01
08/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.60	0.00	10.60	90.0	0.17
09/16/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.85	0.00	4.85	90.0	0.08
09/16/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.22	0.00	1.22	90.0	0.02
09/16/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.77	0.00	2.77	90.0	0.04
09/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.48	0.00	0.48	90.0	0.01
09/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.78	0.00	0.78	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
09/16/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.48	0.00	0.48	90.0	0.01
09/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.27	0.00	7.27	90.0	0.12
10/17/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.64	0.00	4.64	90.0	0.07
10/17/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.17	0.00	1.17	90.0	0.02
10/17/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.65	0.00	2.65	90.0	0.04
10/17/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.46	0.00	0.46	90.0	0.01
10/17/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.75	0.00	0.75	90.0	0.01
10/17/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	90.0	0.01
11/18/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.78	0.00	4.78	90.0	0.08
11/18/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.20	0.00	1.20	90.0	0.02
11/18/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.72	0.00	2.72	90.0	0.04
11/18/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	90.0	0.01
11/18/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.77	0.00	0.77	90.0	0.01
11/18/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	90.0	0.01
12/15/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.72	0.00	4.72	90.0	0.08
12/15/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.19	0.00	1.19	90.0	0.02
12/15/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.69	0.00	2.69	90.0	0.04
12/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	90.0	0.01
12/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.76	0.00	0.76	90.0	0.01
12/15/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.46	0.00	0.46	90.0	0.01
02/15/2018	BOND-HILTNER, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	839.29	41.96	22.00	19.96	90.0	0.32
02/22/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.61	0.00	3.61	90.0	0.06
03/16/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.33	0.00	3.33	90.0	0.05
04/21/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.74	0.00	3.74	90.0	0.06
05/24/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.70	0.00	3.70	90.0	0.06
06/10/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.82	0.00	3.82	90.0	0.06
07/14/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.72	0.00	3.72	90.0	0.06
08/19/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.93	0.00	3.93	90.0	0.06
09/19/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.99	0.00	3.99	90.0	0.06
10/20/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.85	0.00	3.85	90.0	0.06
11/18/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.97	0.00	3.97	90.0	0.06
12/19/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.81	0.00	3.81	90.0	0.06
09/16/2016	GARLICK, MILDRED	AMERICAN FUNDS INFLATION LINKED BON	0.00	59.06	0.00	59.06	90.0	0.94

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/17/2016	GARLICK, MILDRED	AMERICAN FUNDS INFLATION LINKED BON	0.00	82.45	0.00	82.45	90.0	1.32
11/18/2016	GARLICK, MILDRED	AMERICAN FUNDS INFLATION LINKED BON	0.00	85.55	0.00	85.55	90.0	1.37
12/15/2016	GARLICK, MILDRED	AMERICAN FUNDS INFLATION LINKED BON	0.00	81.60	0.00	81.60	90.0	1.31
02/16/2018	MORETTI, MARGARET	APPLE INC COM	2,422.69	30.00	22.50	7.50	90.0	0.12
02/26/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	23.98	0.00	23.98	90.0	0.38
03/23/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	22.23	0.00	22.23	90.0	0.36
04/27/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	25.18	0.00	25.18	90.0	0.40
05/31/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	24.96	0.00	24.96	90.0	0.40
06/27/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	25.90	0.00	25.90	90.0	0.41
07/29/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	25.26	0.00	25.26	90.0	0.40
08/30/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	26.90	0.00	26.90	90.0	0.43
09/29/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	27.21	0.00	27.21	90.0	0.44
10/27/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	26.06	0.00	26.06	90.0	0.42
11/28/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	26.83	0.00	26.83	90.0	0.43
12/21/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	26.79	0.00	26.79	90.0	0.43
02/14/2018	SIEMANOWSKI, JOHN	BLACKSTONE GROUP L P COM UNIT REPST	16,805.00	30.00	22.75	7.25	90.0	0.12
02/19/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.16	0.00	1.16	90.0	0.02
02/19/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.64	0.00	3.64	90.0	0.06
03/17/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.04	0.00	1.04	90.0	0.02
03/17/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.26	0.00	3.26	90.0	0.05
04/20/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.17	0.00	1.17	90.0	0.02
04/20/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.67	0.00	3.67	90.0	0.06
05/19/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.16	0.00	1.16	90.0	0.02
05/19/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.65	0.00	3.65	90.0	0.06
06/16/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.19	0.00	1.19	90.0	0.02
06/16/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.73	0.00	3.73	90.0	0.06
07/21/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.16	0.00	1.16	90.0	0.02
07/21/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.63	0.00	3.63	90.0	0.06
08/19/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.21	0.00	1.21	90.0	0.02
08/19/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.81	0.00	3.81	90.0	0.06
09/21/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.24	0.00	1.24	90.0	0.02
09/21/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.89	0.00	3.89	90.0	0.06
10/21/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.18	0.00	1.18	90.0	0.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/21/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.71	0.00	3.71	90.0	0.06
11/18/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.22	0.00	1.22	90.0	0.02
11/18/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.83	0.00	3.83	90.0	0.06
12/20/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.17	0.00	1.17	90.0	0.02
12/20/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.67	0.00	3.67	90.0	0.06
02/12/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.76	0.00	0.76	90.0	0.01
02/12/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	11.79	0.00	11.79	90.0	0.19
03/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.68	0.00	0.68	90.0	0.01
03/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	10.56	0.00	10.56	90.0	0.17
04/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.78	0.00	0.78	90.0	0.01
04/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.14	0.00	12.14	90.0	0.19
05/24/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.78	0.00	0.78	90.0	0.01
05/24/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.22	0.00	12.22	90.0	0.20
06/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.81	0.00	0.81	90.0	0.01
06/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.62	0.00	12.62	90.0	0.20
07/20/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.80	0.00	0.80	90.0	0.01
07/20/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.43	0.00	12.43	90.0	0.20
08/17/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.84	0.00	0.84	90.0	0.01
08/17/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	13.16	0.00	13.16	90.0	0.21
09/16/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.87	0.00	0.87	90.0	0.01
09/16/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.88	0.00	12.88	90.0	0.21
10/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.84	0.00	0.84	90.0	0.01
10/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.09	0.00	12.09	90.0	0.19
11/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.86	0.00	0.86	90.0	0.01
11/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.35	0.00	12.35	90.0	0.20
12/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.85	0.00	0.85	90.0	0.01
12/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.26	0.00	12.26	90.0	0.20
02/12/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.15	0.00	6.15	90.0	0.10
03/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	5.61	0.00	5.61	90.0	0.09
04/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.45	0.00	6.45	90.0	0.10
05/24/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.40	0.00	6.40	90.0	0.10
06/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.59	0.00	6.59	90.0	0.11
07/20/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.44	0.00	6.44	90.0	0.10

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
08/17/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.77	0.00	6.77	90.0	0.11
09/16/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.59	0.00	6.59	90.0	0.11
10/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.22	0.00	6.22	90.0	0.10
11/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.36	0.00	6.36	90.0	0.10
12/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.34	0.00	6.34	90.0	0.10
02/12/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	1.96	0.00	1.96	90.0	0.03
03/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	1.71	0.00	1.71	90.0	0.03
04/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	1.96	0.00	1.96	90.0	0.03
05/24/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	1.98	0.00	1.98	90.0	0.03
06/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.08	0.00	2.08	90.0	0.03
07/20/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.08	0.00	2.08	90.0	0.03
08/17/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.22	0.00	2.22	90.0	0.04
09/16/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.27	0.00	2.27	90.0	0.04
10/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.19	0.00	2.19	90.0	0.04
11/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.22	0.00	2.22	90.0	0.04
12/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.22	0.00	2.22	90.0	0.04
02/12/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.89	0.00	0.89	90.0	0.01
03/14/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.82	0.00	0.82	90.0	0.01
04/15/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.94	0.00	0.94	90.0	0.02
05/24/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.93	0.00	0.93	90.0	0.01
06/14/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.97	0.00	0.97	90.0	0.02
07/20/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.94	0.00	0.94	90.0	0.02
08/17/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.00	0.00	1.00	90.0	0.02
09/16/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.01	0.00	1.01	90.0	0.02
10/14/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.98	0.00	0.98	90.0	0.02
11/15/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.01	0.00	1.01	90.0	0.02
12/15/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.00	0.00	1.00	90.0	0.02
04/15/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.61	0.00	1.61	90.0	0.03
05/24/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.60	0.00	1.60	90.0	0.03
06/14/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.65	0.00	1.65	90.0	0.03
07/20/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.59	0.00	1.59	90.0	0.03
08/17/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.66	0.00	1.66	90.0	0.03
09/16/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.69	0.00	1.69	90.0	0.03

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/14/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.63	0.00	1.63	90.0	0.03
11/15/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.69	0.00	1.69	90.0	0.03
12/15/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.65	0.00	1.65	90.0	0.03
02/12/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.74	0.00	0.74	90.0	0.01
03/14/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.69	0.00	0.69	90.0	0.01
04/15/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.74	0.00	0.74	90.0	0.01
05/24/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.73	0.00	0.73	90.0	0.01
06/14/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.76	0.00	0.76	90.0	0.01
07/20/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.74	0.00	0.74	90.0	0.01
08/17/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.77	0.00	0.77	90.0	0.01
09/16/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.77	0.00	0.77	90.0	0.01
10/14/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.75	0.00	0.75	90.0	0.01
11/15/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.77	0.00	0.77	90.0	0.01
12/15/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.73	0.00	0.73	90.0	0.01
02/12/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.72	0.00	0.72	90.0	0.01
03/14/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.63	0.00	0.63	90.0	0.01
04/15/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.71	0.00	0.71	90.0	0.01
05/24/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.71	0.00	0.71	90.0	0.01
06/14/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.73	0.00	0.73	90.0	0.01
07/20/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.71	0.00	0.71	90.0	0.01
08/17/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.75	0.00	0.75	90.0	0.01
09/16/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.77	0.00	0.77	90.0	0.01
10/14/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.74	0.00	0.74	90.0	0.01
11/15/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.67	0.00	0.67	90.0	0.01
12/15/2016	MELVIN, GREG	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.73	0.00	0.73	90.0	0.01
02/12/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	1.84	0.00	1.84	90.0	0.03
03/14/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	1.67	0.00	1.67	90.0	0.03
04/15/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	1.95	0.00	1.95	90.0	0.03
05/24/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	1.95	0.00	1.95	90.0	0.03
06/14/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.03	0.00	2.03	90.0	0.03
07/20/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	1.99	0.00	1.99	90.0	0.03
08/17/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.10	0.00	2.10	90.0	0.03
09/16/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.12	0.00	2.12	90.0	0.03

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/14/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.04	0.00	2.04	90.0	0.03
11/15/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.09	0.00	2.09	90.0	0.03
12/15/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.07	0.00	2.07	90.0	0.03
02/12/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.00	0.00	1.00	90.0	0.02
03/14/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	0.84	0.00	0.84	90.0	0.01
04/15/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	0.96	0.00	0.96	90.0	0.02
05/24/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	0.98	0.00	0.98	90.0	0.02
06/14/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.02	0.00	1.02	90.0	0.02
07/20/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.00	0.00	1.00	90.0	0.02
08/17/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.06	0.00	1.06	90.0	0.02
09/16/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.10	0.00	1.10	90.0	0.02
10/14/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.06	0.00	1.06	90.0	0.02
11/15/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.07	0.00	1.07	90.0	0.02
12/15/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.00	0.00	1.00	90.0	0.02
02/12/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	8.38	0.00	8.38	90.0	0.13
03/14/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	7.72	0.00	7.72	90.0	0.12
04/15/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	8.97	0.00	8.97	90.0	0.14
05/24/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	8.98	0.00	8.98	90.0	0.14
06/14/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.26	0.00	9.26	90.0	0.15
07/20/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.20	0.00	9.20	90.0	0.15
08/17/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.86	0.00	9.86	90.0	0.16
09/16/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.74	0.00	9.74	90.0	0.16
10/14/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.30	0.00	9.30	90.0	0.15
11/15/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.46	0.00	9.46	90.0	0.15
12/15/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.64	0.00	9.64	90.0	0.15
02/12/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.12	0.00	2.12	90.0	0.03
03/14/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	1.96	0.00	1.96	90.0	0.03
04/15/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.18	0.00	2.18	90.0	0.03
05/24/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.14	0.00	2.14	90.0	0.03
06/14/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.23	0.00	2.23	90.0	0.04
07/20/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.17	0.00	2.17	90.0	0.03
08/17/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.28	0.00	2.28	90.0	0.04
09/16/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.30	0.00	2.30	90.0	0.04

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/14/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.24	0.00	2.24	90.0	0.04
11/15/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.32	0.00	2.32	90.0	0.04
12/15/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.23	0.00	2.23	90.0	0.04
02/16/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.54	0.00	0.54	90.0	0.01
03/14/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.49	0.00	0.49	90.0	0.01
04/20/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.56	0.00	0.56	90.0	0.01
05/16/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.56	0.00	0.56	90.0	0.01
06/16/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.32	0.00	0.32	90.0	0.01
06/16/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.59	0.00	0.59	90.0	0.01
07/15/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.57	0.00	0.57	90.0	0.01
08/15/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.33	0.00	0.33	90.0	0.01
08/15/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.60	0.00	0.60	90.0	0.01
09/16/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.34	0.00	0.34	90.0	0.01
09/16/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.62	0.00	0.62	90.0	0.01
10/17/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.33	0.00	0.33	90.0	0.01
10/17/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.61	0.00	0.61	90.0	0.01
11/11/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.34	0.00	0.34	90.0	0.01
11/11/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.63	0.00	0.63	90.0	0.01
12/16/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.34	0.00	0.34	90.0	0.01
12/16/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.62	0.00	0.62	90.0	0.01
04/26/2016	BOWERS, DORA	DEUTSCHE GLOBAL RE	0.00	0.82	0.00	0.82	90.0	0.01
07/25/2016	BOWERS, DORA	DEUTSCHE GLOBAL RE	0.00	0.88	0.00	0.88	90.0	0.01
10/27/2016	BOWERS, DORA	DEUTSCHE GLOBAL RE	0.00	0.94	0.00	0.94	90.0	0.02
02/10/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.49	0.00	2.49	90.0	0.04
03/10/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.32	0.00	2.32	90.0	0.04
04/15/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.62	0.00	2.62	90.0	0.04
05/11/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.61	0.00	2.61	90.0	0.04
06/10/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.68	0.00	2.68	90.0	0.04
07/13/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.60	0.00	2.60	90.0	0.04
08/09/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.76	0.00	2.76	90.0	0.04
09/12/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.79	0.00	2.79	90.0	0.04
10/11/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.67	0.00	2.67	90.0	0.04
11/15/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.74	0.00	2.74	90.0	0.04

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
12/13/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.63	0.00	2.63	90.0	0.04
02/10/2016	GUERRIERI, BERNICE	DREYFUS INTERMEDIATE TERM INCOME FU	0.00	1.67	0.00	1.67	90.0	0.03
03/10/2016	GUERRIERI, BERNICE	DREYFUS INTERMEDIATE TERM INCOME FU	0.00	1.56	0.00	1.56	90.0	0.02
04/15/2016	GUERRIERI, BERNICE	DREYFUS INTERMEDIATE TERM INCOME FU	0.00	0.76	0.00	0.76	90.0	0.01
02/10/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	62.01	0.00	62.01	90.0	0.99
03/10/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	58.35	0.00	58.35	90.0	0.93
04/15/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	62.22	0.00	62.22	90.0	1.00
05/11/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	60.99	0.00	60.99	90.0	0.98
06/10/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	63.47	0.00	63.47	90.0	1.02
07/13/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	61.93	0.00	61.93	90.0	0.99
08/09/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	64.32	0.00	64.32	90.0	1.03
09/12/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	64.37	0.00	64.37	90.0	1.03
10/11/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	62.01	0.00	62.01	90.0	0.99
11/15/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	63.45	0.00	63.45	90.0	1.02
12/13/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	59.95	0.00	59.95	90.0	0.96
04/26/2016	TRICHON, DOROTHY	DWS STRATEGIC GOVERNMENT SECURITIES	0.00	4.94	0.00	4.94	90.0	0.08
07/25/2016	TRICHON, DOROTHY	DWS STRATEGIC GOVERNMENT SECURITIES	0.00	4.94	0.00	4.94	90.0	0.08
10/27/2016	TRICHON, DOROTHY	DWS STRATEGIC GOVERNMENT SECURITIES	0.00	4.40	0.00	4.40	90.0	0.07
02/10/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.66	0.00	1.66	90.0	0.03
03/16/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.56	0.00	1.56	90.0	0.02
04/25/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.66	0.00	1.66	90.0	0.03
05/13/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.60	0.00	1.60	90.0	0.03
06/15/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.65	0.00	1.65	90.0	0.03
07/20/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.60	0.00	1.60	90.0	0.03
08/12/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.64	0.00	1.64	90.0	0.03
09/13/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.64	0.00	1.64	90.0	0.03
10/12/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.51	0.00	1.51	90.0	0.02
11/15/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.42	0.00	1.42	90.0	0.02
12/21/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.37	0.00	1.37	90.0	0.02
02/10/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.63	0.00	0.63	90.0	0.01
03/16/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.58	0.00	0.58	90.0	0.01
04/25/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.66	0.00	0.66	90.0	0.01
05/13/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.65	0.00	0.65	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
06/15/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.67	0.00	0.67	90.0	0.01
07/20/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.65	0.00	0.65	90.0	0.01
08/12/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.69	0.00	0.69	90.0	0.01
09/13/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.69	0.00	0.69	90.0	0.01
10/12/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.66	0.00	0.66	90.0	0.01
11/15/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.68	0.00	0.68	90.0	0.01
12/21/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.66	0.00	0.66	90.0	0.01
02/10/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.34	0.00	2.34	90.0	0.04
03/16/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.19	0.00	2.19	90.0	0.04
04/25/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.32	0.00	2.32	90.0	0.04
05/13/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.28	0.00	2.28	90.0	0.04
06/15/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.37	0.00	2.37	90.0	0.04
07/20/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.31	0.00	2.31	90.0	0.04
08/12/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.40	0.00	2.40	90.0	0.04
09/13/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.39	0.00	2.39	90.0	0.04
10/12/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.31	0.00	2.31	90.0	0.04
11/15/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.36	0.00	2.36	90.0	0.04
12/21/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.24	0.00	2.24	90.0	0.04
02/10/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.82	0.00	1.82	90.0	0.03
03/16/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.71	0.00	1.71	90.0	0.03
04/25/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.81	0.00	1.81	90.0	0.03
04/25/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.03	0.00	3.03	90.0	0.05
05/13/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.77	0.00	1.77	90.0	0.03
05/13/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	2.96	0.00	2.96	90.0	0.05
06/15/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.83	0.00	1.83	90.0	0.03
06/15/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.07	0.00	3.07	90.0	0.05
07/20/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.78	0.00	1.78	90.0	0.03
07/20/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.00	0.00	3.00	90.0	0.05
08/12/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.84	0.00	1.84	90.0	0.03
08/12/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.12	0.00	3.12	90.0	0.05
09/13/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.84	0.00	1.84	90.0	0.03
09/13/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.12	0.00	3.12	90.0	0.05
10/12/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.77	0.00	1.77	90.0	0.03

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/12/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.01	0.00	3.01	90.0	0.05
11/15/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.81	0.00	1.81	90.0	0.03
11/15/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.09	0.00	3.09	90.0	0.05
12/21/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.72	0.00	1.72	90.0	0.03
12/21/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	2.94	0.00	2.94	90.0	0.05
12/16/2016	HANKINS, ROBERT	FEDERATED HIGH INCOME BOND FUND INC	0.00	0.95	0.00	0.95	90.0	0.02
02/10/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.67	0.00	0.67	90.0	0.01
03/15/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.62	0.00	0.62	90.0	0.01
04/20/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.67	0.00	0.67	90.0	0.01
05/16/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.66	0.00	0.66	90.0	0.01
06/15/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.68	0.00	0.68	90.0	0.01
07/19/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.67	0.00	0.67	90.0	0.01
08/12/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.70	0.00	0.70	90.0	0.01
09/16/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.70	0.00	0.70	90.0	0.01
10/21/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.67	0.00	0.67	90.0	0.01
11/21/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.69	0.00	0.69	90.0	0.01
12/16/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.66	0.00	0.66	90.0	0.01
02/12/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.13	0.00	7.13	90.0	0.11
03/17/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	6.61	0.00	6.61	90.0	0.11
04/19/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.21	0.00	7.21	90.0	0.12
05/24/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.12	0.00	7.12	90.0	0.11
06/15/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.46	0.00	7.46	90.0	0.12
07/19/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.25	0.00	7.25	90.0	0.12
08/16/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.55	0.00	7.55	90.0	0.12
09/19/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.48	0.00	7.48	90.0	0.12
10/19/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.24	0.00	7.24	90.0	0.12
11/18/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.54	0.00	7.54	90.0	0.12
12/16/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.30	0.00	7.30	90.0	0.12
02/12/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	7.84	0.00	7.84	90.0	0.13
03/17/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	7.32	0.00	7.32	90.0	0.12
04/19/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.06	0.00	8.06	90.0	0.13
05/24/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	7.95	0.00	7.95	90.0	0.13
06/15/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.27	0.00	8.27	90.0	0.13

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/19/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.09	0.00	8.09	90.0	0.13
08/16/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.51	0.00	8.51	90.0	0.14
09/19/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.48	0.00	8.48	90.0	0.14
10/19/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.17	0.00	8.17	90.0	0.13
11/18/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.46	0.00	8.46	90.0	0.14
12/16/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.05	0.00	8.05	90.0	0.13
02/12/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.39	0.00	1.39	90.0	0.02
02/12/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.29	0.00	5.29	90.0	0.08
03/17/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.30	0.00	1.30	90.0	0.02
03/17/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	4.94	0.00	4.94	90.0	0.08
04/19/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.43	0.00	1.43	90.0	0.02
04/19/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.44	0.00	5.44	90.0	0.09
05/24/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.40	0.00	1.40	90.0	0.02
05/24/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.35	0.00	5.35	90.0	0.09
06/15/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.46	0.00	1.46	90.0	0.02
06/15/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.57	0.00	5.57	90.0	0.09
07/19/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.42	0.00	1.42	90.0	0.02
07/19/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.44	0.00	5.44	90.0	0.09
08/16/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.49	0.00	1.49	90.0	0.02
08/16/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.72	0.00	5.72	90.0	0.09
09/19/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.51	0.00	1.51	90.0	0.02
09/19/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.80	0.00	5.80	90.0	0.09
10/19/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.46	0.00	1.46	90.0	0.02
10/19/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.63	0.00	5.63	90.0	0.09
11/18/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.51	0.00	1.51	90.0	0.02
11/18/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.82	0.00	5.82	90.0	0.09
12/16/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.43	0.00	1.43	90.0	0.02
12/16/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.54	0.00	5.54	90.0	0.09
02/12/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.49	0.00	0.49	90.0	0.01
03/17/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.46	0.00	0.46	90.0	0.01
04/19/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.50	0.00	0.50	90.0	0.01
05/24/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.49	0.00	0.49	90.0	0.01
06/15/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.51	0.00	0.51	90.0	0.01

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/19/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.49	0.00	0.49	90.0	0.01
08/16/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.52	0.00	0.52	90.0	0.01
09/19/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.52	0.00	0.52	90.0	0.01
10/19/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.50	0.00	0.50	90.0	0.01
11/18/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.52	0.00	0.52	90.0	0.01
12/16/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.49	0.00	0.49	90.0	0.01
02/12/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.82	0.00	2.82	90.0	0.05
03/17/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.57	0.00	2.57	90.0	0.04
04/19/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.97	0.00	2.97	90.0	0.05
05/24/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.97	0.00	2.97	90.0	0.05
06/15/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	3.07	0.00	3.07	90.0	0.05
07/19/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	3.00	0.00	3.00	90.0	0.05
08/16/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	3.17	0.00	3.17	90.0	0.05
09/19/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	3.23	0.00	3.23	90.0	0.05
10/19/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	3.11	0.00	3.11	90.0	0.05
11/18/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.83	0.00	2.83	90.0	0.05
12/16/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.36	0.00	2.36	90.0	0.04
02/16/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.75	0.00	10.75	90.0	0.17
03/16/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	9.39	0.00	9.39	90.0	0.15
04/15/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.65	0.00	10.65	90.0	0.17
05/13/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.70	0.00	10.70	90.0	0.17
06/14/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	11.02	0.00	11.02	90.0	0.18
07/14/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.84	0.00	10.84	90.0	0.17
08/15/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	11.60	0.00	11.60	90.0	0.19
09/14/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	11.51	0.00	11.51	90.0	0.18
10/18/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.95	0.00	10.95	90.0	0.18
11/15/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	11.32	0.00	11.32	90.0	0.18
12/16/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.70	0.00	10.70	90.0	0.17
02/16/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	2.02	0.00	2.02	90.0	0.03
03/16/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	2.32	0.00	2.32	90.0	0.04
04/15/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	2.93	0.00	2.93	90.0	0.05
05/13/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.17	0.00	3.17	90.0	0.05
06/14/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.53	0.00	3.53	90.0	0.06

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/14/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.65	0.00	3.65	90.0	0.06
08/15/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	4.34	0.00	4.34	90.0	0.07
09/14/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	4.40	0.00	4.40	90.0	0.07
10/18/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.97	0.00	3.97	90.0	0.06
11/15/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.74	0.00	3.74	90.0	0.06
12/16/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.32	0.00	3.32	90.0	0.05
02/16/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	0.99	0.00	0.99	90.0	0.02
02/16/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.62	0.00	4.62	90.0	0.07
02/16/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.68	0.00	0.68	90.0	0.01
03/16/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	0.91	0.00	0.91	90.0	0.01
03/16/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.26	0.00	4.26	90.0	0.07
03/16/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.63	0.00	0.63	90.0	0.01
04/15/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.03	0.00	1.03	90.0	0.02
04/15/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.82	0.00	4.82	90.0	0.08
04/15/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.71	0.00	0.71	90.0	0.01
05/13/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.02	0.00	1.02	90.0	0.02
05/13/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.76	0.00	4.76	90.0	0.08
05/13/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.70	0.00	0.70	90.0	0.01
06/14/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.06	0.00	1.06	90.0	0.02
06/14/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.93	0.00	4.93	90.0	0.08
06/14/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.73	0.00	0.73	90.0	0.01
07/14/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.03	0.00	1.03	90.0	0.02
07/14/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.81	0.00	4.81	90.0	0.08
07/14/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.71	0.00	0.71	90.0	0.01
08/15/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.09	0.00	1.09	90.0	0.02
08/15/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	5.11	0.00	5.11	90.0	0.08
08/15/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.75	0.00	0.75	90.0	0.01
09/14/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.10	0.00	1.10	90.0	0.02
09/14/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	5.15	0.00	5.15	90.0	0.08
09/14/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.76	0.00	0.76	90.0	0.01
10/18/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.06	0.00	1.06	90.0	0.02
10/18/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.97	0.00	4.97	90.0	0.08
10/18/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.73	0.00	0.73	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
11/15/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.10	0.00	1.10	90.0	0.02
11/15/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	5.16	0.00	5.16	90.0	0.08
11/15/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.76	0.00	0.76	90.0	0.01
12/16/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.06	0.00	1.06	90.0	0.02
12/16/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.95	0.00	4.95	90.0	0.08
12/16/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.73	0.00	0.73	90.0	0.01
02/16/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.45	0.00	0.45	90.0	0.01
03/16/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.41	0.00	0.41	90.0	0.01
04/15/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.46	0.00	0.46	90.0	0.01
05/13/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.46	0.00	0.46	90.0	0.01
06/14/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.47	0.00	0.47	90.0	0.01
07/14/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.46	0.00	0.46	90.0	0.01
08/15/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.49	0.00	0.49	90.0	0.01
09/14/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.50	0.00	0.50	90.0	0.01
10/18/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.49	0.00	0.49	90.0	0.01
11/15/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.51	0.00	0.51	90.0	0.01
12/16/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.50	0.00	0.50	90.0	0.01
02/16/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.50	0.00	2.50	90.0	0.04
03/16/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.31	0.00	2.31	90.0	0.04
04/15/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.51	0.00	2.51	90.0	0.04
05/13/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.49	0.00	2.49	90.0	0.04
06/14/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.61	0.00	2.61	90.0	0.04
07/14/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.54	0.00	2.54	90.0	0.04
08/15/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.65	0.00	2.65	90.0	0.04
09/14/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.69	0.00	2.69	90.0	0.04
10/18/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.63	0.00	2.63	90.0	0.04
11/15/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.75	0.00	2.75	90.0	0.04
12/16/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.67	0.00	2.67	90.0	0.04
02/16/2018	MORETTI, MARGARET	GENERAL ELECTRIC CO COM	-2,482.46	30.00	22.50	7.50	90.0	0.12
02/16/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	18.93	0.00	18.93	90.0	0.30
03/16/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	17.05	0.00	17.05	90.0	0.27
04/18/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.18	0.00	12.18	90.0	0.19
05/12/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.15	0.00	12.15	90.0	0.19

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
06/20/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.41	0.00	12.41	90.0	0.20
07/15/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.08	0.00	12.08	90.0	0.19
08/17/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.83	0.00	12.83	90.0	0.21
09/21/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	13.08	0.00	13.08	90.0	0.21
10/17/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.52	0.00	12.52	90.0	0.20
11/21/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.88	0.00	12.88	90.0	0.21
12/15/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.33	0.00	12.33	90.0	0.20
02/16/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.53	0.00	4.53	90.0	0.07
02/16/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.32	0.00	2.32	90.0	0.04
03/16/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.06	0.00	4.06	90.0	0.06
03/16/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.08	0.00	2.08	90.0	0.03
04/18/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.70	0.00	4.70	90.0	0.08
04/18/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.41	0.00	2.41	90.0	0.04
05/12/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.72	0.00	4.72	90.0	0.08
05/12/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.42	0.00	2.42	90.0	0.04
06/20/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.90	0.00	4.90	90.0	0.08
06/20/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.51	0.00	2.51	90.0	0.04
07/15/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.79	0.00	4.79	90.0	0.08
07/15/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.46	0.00	2.46	90.0	0.04
08/17/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	5.11	0.00	5.11	90.0	0.08
08/17/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.62	0.00	2.62	90.0	0.04
09/21/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	5.17	0.00	5.17	90.0	0.08
09/21/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.65	0.00	2.65	90.0	0.04
10/17/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.92	0.00	4.92	90.0	0.08
10/17/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.52	0.00	2.52	90.0	0.04
11/21/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.99	0.00	4.99	90.0	0.08
11/21/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.56	0.00	2.56	90.0	0.04
12/15/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.77	0.00	4.77	90.0	0.08
12/15/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.44	0.00	2.44	90.0	0.04
02/16/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.46	0.00	0.46	90.0	0.01
03/16/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.42	0.00	0.42	90.0	0.01
04/18/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.48	0.00	0.48	90.0	0.01
05/12/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.48	0.00	0.48	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
06/20/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.49	0.00	0.49	90.0	0.01
07/15/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.48	0.00	0.48	90.0	0.01
08/17/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.51	0.00	0.51	90.0	0.01
09/21/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.52	0.00	0.52	90.0	0.01
10/17/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.50	0.00	0.50	90.0	0.01
11/21/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.52	0.00	0.52	90.0	0.01
12/15/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.51	0.00	0.51	90.0	0.01
02/11/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	13.62	0.00	13.62	90.0	0.22
02/11/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.92	0.00	6.92	90.0	0.11
02/11/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.63	0.00	4.63	90.0	0.07
03/11/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.04	0.00	12.04	90.0	0.19
03/11/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.12	0.00	6.12	90.0	0.10
03/11/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.09	0.00	4.09	90.0	0.07
04/29/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.99	0.00	12.99	90.0	0.21
04/29/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.60	0.00	6.60	90.0	0.11
04/29/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.41	0.00	4.41	90.0	0.07
05/10/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.35	0.00	12.35	90.0	0.20
05/10/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.28	0.00	6.28	90.0	0.10
05/10/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.20	0.00	4.20	90.0	0.07
06/15/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.73	0.00	12.73	90.0	0.20
06/15/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.47	0.00	6.47	90.0	0.10
06/15/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.32	0.00	4.32	90.0	0.07
07/15/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	11.83	0.00	11.83	90.0	0.19
07/15/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.01	0.00	6.01	90.0	0.10
07/15/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.02	0.00	4.02	90.0	0.06
08/10/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	11.59	0.00	11.59	90.0	0.19
08/10/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	5.89	0.00	5.89	90.0	0.09
08/10/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	3.94	0.00	3.94	90.0	0.06
09/19/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	11.65	0.00	11.65	90.0	0.19
09/19/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	5.92	0.00	5.92	90.0	0.09
09/19/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	3.96	0.00	3.96	90.0	0.06
10/18/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	11.45	0.00	11.45	90.0	0.18
10/18/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	5.82	0.00	5.82	90.0	0.09

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/18/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	3.89	0.00	3.89	90.0	0.06
11/15/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.17	0.00	12.17	90.0	0.19
11/15/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.18	0.00	6.18	90.0	0.10
11/15/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.14	0.00	4.14	90.0	0.07
12/14/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.72	0.00	12.72	90.0	0.20
12/14/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.47	0.00	6.47	90.0	0.10
12/14/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.32	0.00	4.32	90.0	0.07
02/19/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	1.96	0.00	1.96	90.0	0.03
02/19/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	2.94	0.00	2.94	90.0	0.05
03/22/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	1.84	0.00	1.84	90.0	0.03
03/22/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	2.75	0.00	2.75	90.0	0.04
04/18/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.04	0.00	2.04	90.0	0.03
04/18/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.06	0.00	3.06	90.0	0.05
05/24/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.01	0.00	2.01	90.0	0.03
05/24/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.02	0.00	3.02	90.0	0.05
06/21/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.09	0.00	2.09	90.0	0.03
06/21/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.13	0.00	3.13	90.0	0.05
07/18/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.05	0.00	2.05	90.0	0.03
07/18/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.07	0.00	3.07	90.0	0.05
08/16/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.16	0.00	2.16	90.0	0.03
08/16/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.24	0.00	3.24	90.0	0.05
09/19/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.18	0.00	2.18	90.0	0.03
09/19/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.27	0.00	3.27	90.0	0.05
10/17/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.10	0.00	2.10	90.0	0.03
10/17/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.15	0.00	3.15	90.0	0.05
11/16/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.15	0.00	2.15	90.0	0.03
11/16/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.23	0.00	3.23	90.0	0.05
12/19/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.07	0.00	2.07	90.0	0.03
12/19/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.11	0.00	3.11	90.0	0.05
02/19/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	2.88	0.00	2.88	90.0	0.05
02/19/2016	NIEMINEN, EUGENE	HARTFORD CAPITAL APPRECIATION A	0.00	0.94	0.00	0.94	90.0	0.02
03/22/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	2.60	0.00	2.60	90.0	0.04
03/22/2016	NIEMINEN, EUGENE	HARTFORD CAPITAL APPRECIATION A	0.00	0.56	0.00	0.56	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
04/18/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	2.98	0.00	2.98	90.0	0.05
05/24/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	2.97	0.00	2.97	90.0	0.05
06/21/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.05	0.00	3.05	90.0	0.05
07/18/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	2.96	0.00	2.96	90.0	0.05
08/16/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.14	0.00	3.14	90.0	0.05
09/19/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.19	0.00	3.19	90.0	0.05
10/17/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.07	0.00	3.07	90.0	0.05
11/16/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.18	0.00	3.18	90.0	0.05
12/19/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.08	0.00	3.08	90.0	0.05
02/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	66.62	0.00	66.62	90.0	1.07
02/19/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	32.05	0.00	32.05	90.0	0.51
02/19/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	24.76	0.00	24.76	90.0	0.40
02/19/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	350.16	0.00	350.16	90.0	5.60
02/19/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	8.81	0.00	8.81	90.0	0.14
02/19/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	5.74	0.00	5.74	90.0	0.09
02/19/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.12	0.00	6.12	90.0	0.10
02/19/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	8.81	0.00	8.81	90.0	0.14
02/19/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	25.91	0.00	25.91	90.0	0.41
02/19/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	24.18	0.00	24.18	90.0	0.39
03/22/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	60.04	0.00	60.04	90.0	0.96
03/22/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	28.88	0.00	28.88	90.0	0.46
03/22/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	22.39	0.00	22.39	90.0	0.36
03/22/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	315.57	0.00	315.57	90.0	5.05
03/22/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	7.94	0.00	7.94	90.0	0.13
03/22/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	5.17	0.00	5.17	90.0	0.08
03/22/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	5.52	0.00	5.52	90.0	0.09
03/22/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	7.94	0.00	7.94	90.0	0.13
03/22/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	23.35	0.00	23.35	90.0	0.37
03/22/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	21.80	0.00	21.80	90.0	0.35
04/18/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	68.77	0.00	68.77	90.0	1.10
04/18/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	33.08	0.00	33.08	90.0	0.53
04/18/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	25.80	0.00	25.80	90.0	0.41
04/18/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	361.43	0.00	361.43	90.0	5.78

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
04/18/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.09	0.00	9.09	90.0	0.15
04/18/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	5.92	0.00	5.92	90.0	0.09
04/18/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.32	0.00	6.32	90.0	0.10
04/18/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.10	0.00	9.10	90.0	0.15
04/18/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	26.75	0.00	26.75	90.0	0.43
04/18/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	24.96	0.00	24.96	90.0	0.40
05/24/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	68.53	0.00	68.53	90.0	1.10
05/24/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	32.96	0.00	32.96	90.0	0.53
05/24/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	25.84	0.00	25.84	90.0	0.41
05/24/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	360.20	0.00	360.20	90.0	5.76
05/24/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.06	0.00	9.06	90.0	0.14
05/24/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	5.90	0.00	5.90	90.0	0.09
05/24/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.30	0.00	6.30	90.0	0.10
05/24/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.06	0.00	9.06	90.0	0.14
05/24/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	26.65	0.00	26.65	90.0	0.43
05/24/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	24.88	0.00	24.88	90.0	0.40
06/21/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	70.25	0.00	70.25	90.0	1.12
06/21/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	33.79	0.00	33.79	90.0	0.54
06/21/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	26.63	0.00	26.63	90.0	0.43
06/21/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	369.24	0.00	369.24	90.0	5.91
06/21/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.29	0.00	9.29	90.0	0.15
06/21/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.05	0.00	6.05	90.0	0.10
06/21/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.45	0.00	6.45	90.0	0.10
06/21/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.29	0.00	9.29	90.0	0.15
06/21/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	27.32	0.00	27.32	90.0	0.44
06/21/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	25.50	0.00	25.50	90.0	0.41
07/18/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	68.27	0.00	68.27	90.0	1.09
07/18/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	32.84	0.00	32.84	90.0	0.53
07/18/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	26.00	0.00	26.00	90.0	0.42
07/18/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	358.82	0.00	358.82	90.0	5.74
07/18/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.03	0.00	9.03	90.0	0.14
07/18/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	5.88	0.00	5.88	90.0	0.09
07/18/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.27	0.00	6.27	90.0	0.10

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/18/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.03	0.00	9.03	90.0	0.14
07/18/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	26.55	0.00	26.55	90.0	0.42
07/18/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	24.78	0.00	24.78	90.0	0.40
08/16/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	72.37	0.00	72.37	90.0	1.16
08/16/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	34.81	0.00	34.81	90.0	0.56
08/16/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	27.72	0.00	27.72	90.0	0.44
08/16/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	380.33	0.00	380.33	90.0	6.09
08/16/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.57	0.00	9.57	90.0	0.15
08/16/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.23	0.00	6.23	90.0	0.10
08/16/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.65	0.00	6.65	90.0	0.11
08/16/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.57	0.00	9.57	90.0	0.15
08/16/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	28.14	0.00	28.14	90.0	0.45
08/16/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	26.27	0.00	26.27	90.0	0.42
09/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	73.34	0.00	73.34	90.0	1.17
09/19/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	35.28	0.00	35.28	90.0	0.56
09/19/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	28.25	0.00	28.25	90.0	0.45
09/19/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	385.47	0.00	385.47	90.0	6.17
09/19/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.70	0.00	9.70	90.0	0.16
09/19/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.32	0.00	6.32	90.0	0.10
09/19/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.74	0.00	6.74	90.0	0.11
09/19/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	0.93	0.00	0.93	90.0	0.01
09/19/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	28.52	0.00	28.52	90.0	0.46
09/19/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	26.62	0.00	26.62	90.0	0.43
09/19/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	8.77	0.00	8.77	90.0	0.14
10/17/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	70.70	0.00	70.70	90.0	1.13
10/17/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	34.01	0.00	34.01	90.0	0.54
10/17/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	27.28	0.00	27.28	90.0	0.44
10/17/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	371.59	0.00	371.59	90.0	5.95
10/17/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.35	0.00	9.35	90.0	0.15
10/17/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.09	0.00	6.09	90.0	0.10
10/17/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.49	0.00	6.49	90.0	0.10
10/17/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	27.50	0.00	27.50	90.0	0.44
10/17/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	25.66	0.00	25.66	90.0	0.41

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/17/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.35	0.00	9.35	90.0	0.15
11/16/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	73.00	0.00	73.00	90.0	1.17
11/16/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	35.11	0.00	35.11	90.0	0.56
11/16/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	28.17	0.00	28.17	90.0	0.45
11/16/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	383.69	0.00	383.69	90.0	6.14
11/16/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.65	0.00	9.65	90.0	0.15
11/16/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.29	0.00	6.29	90.0	0.10
11/16/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.71	0.00	6.71	90.0	0.11
11/16/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	28.39	0.00	28.39	90.0	0.45
11/16/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	26.50	0.00	26.50	90.0	0.42
11/16/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.66	0.00	9.66	90.0	0.15
12/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	70.71	0.00	70.71	90.0	1.13
12/19/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	34.01	0.00	34.01	90.0	0.54
12/19/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	27.52	0.00	27.52	90.0	0.44
12/19/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	371.62	0.00	371.62	90.0	5.95
12/19/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.35	0.00	9.35	90.0	0.15
12/19/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.09	0.00	6.09	90.0	0.10
12/19/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.49	0.00	6.49	90.0	0.10
12/19/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	27.50	0.00	27.50	90.0	0.44
12/19/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	25.67	0.00	25.67	90.0	0.41
12/19/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.35	0.00	9.35	90.0	0.15
02/15/2018	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	423.22	4.23	22.00	-17.77	90.0	-0.28
02/19/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.25	0.00	2.25	90.0	0.04
02/19/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.25	0.00	2.25	90.0	0.04
02/19/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.39	0.00	3.39	90.0	0.05
03/22/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.08	0.00	2.08	90.0	0.03
03/22/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.08	0.00	2.08	90.0	0.03
03/22/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.12	0.00	3.12	90.0	0.05
04/18/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.33	0.00	2.33	90.0	0.04
04/18/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.33	0.00	2.33	90.0	0.04
04/18/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.50	0.00	3.50	90.0	0.06
05/24/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.31	0.00	2.31	90.0	0.04
05/24/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.31	0.00	2.31	90.0	0.04

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
05/24/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.47	0.00	3.47	90.0	0.06
06/21/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.38	0.00	2.38	90.0	0.04
06/21/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.38	0.00	2.38	90.0	0.04
06/21/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.58	0.00	3.58	90.0	0.06
07/18/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.32	0.00	2.32	90.0	0.04
07/18/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.32	0.00	2.32	90.0	0.04
07/18/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.49	0.00	3.49	90.0	0.06
08/16/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.45	0.00	2.45	90.0	0.04
08/16/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.45	0.00	2.45	90.0	0.04
08/16/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.68	0.00	3.68	90.0	0.06
09/19/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.48	0.00	2.48	90.0	0.04
09/19/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.48	0.00	2.48	90.0	0.04
09/19/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.72	0.00	3.72	90.0	0.06
10/17/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.39	0.00	2.39	90.0	0.04
10/17/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.39	0.00	2.39	90.0	0.04
10/17/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.59	0.00	3.59	90.0	0.06
11/16/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.47	0.00	2.47	90.0	0.04
11/16/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.47	0.00	2.47	90.0	0.04
11/16/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.71	0.00	3.71	90.0	0.06
12/19/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.40	0.00	2.40	90.0	0.04
12/19/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.40	0.00	2.40	90.0	0.04
12/19/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.60	0.00	3.60	90.0	0.06
02/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	56.15	0.00	56.15	90.0	0.90
02/19/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	35.02	0.00	35.02	90.0	0.56
02/19/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	16.11	0.00	16.11	90.0	0.26
02/19/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	11.07	0.00	11.07	90.0	0.18
02/19/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	16.12	0.00	16.12	90.0	0.26
03/22/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	52.20	0.00	52.20	90.0	0.84
03/22/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	32.56	0.00	32.56	90.0	0.52
03/22/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	14.98	0.00	14.98	90.0	0.24
03/22/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	10.29	0.00	10.29	90.0	0.16
03/22/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	14.98	0.00	14.98	90.0	0.24
04/18/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	59.29	0.00	59.29	90.0	0.95

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
04/18/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	36.98	0.00	36.98	90.0	0.59
04/18/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	17.01	0.00	17.01	90.0	0.27
04/18/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	11.69	0.00	11.69	90.0	0.19
04/18/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	17.02	0.00	17.02	90.0	0.27
05/24/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	58.87	0.00	58.87	90.0	0.94
05/24/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	36.71	0.00	36.71	90.0	0.59
05/24/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	16.89	0.00	16.89	90.0	0.27
05/24/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	11.61	0.00	11.61	90.0	0.19
05/24/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	16.90	0.00	16.90	90.0	0.27
06/21/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	60.77	0.00	60.77	90.0	0.97
06/21/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	37.90	0.00	37.90	90.0	0.61
06/21/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	17.44	0.00	17.44	90.0	0.28
06/21/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	11.98	0.00	11.98	90.0	0.19
06/21/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	17.44	0.00	17.44	90.0	0.28
07/18/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	59.13	0.00	59.13	90.0	0.95
07/18/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	36.88	0.00	36.88	90.0	0.59
07/18/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	16.97	0.00	16.97	90.0	0.27
07/18/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	11.66	0.00	11.66	90.0	0.19
07/18/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	16.97	0.00	16.97	90.0	0.27
08/16/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	62.76	0.00	62.76	90.0	1.00
08/16/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	39.14	0.00	39.14	90.0	0.63
08/16/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	18.01	0.00	18.01	90.0	0.29
08/16/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	12.37	0.00	12.37	90.0	0.20
08/16/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	18.01	0.00	18.01	90.0	0.29
09/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	63.49	0.00	63.49	90.0	1.02
09/19/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	39.60	0.00	39.60	90.0	0.63
09/19/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	18.22	0.00	18.22	90.0	0.29
09/19/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	12.52	0.00	12.52	90.0	0.20
09/19/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	1.75	0.00	1.75	90.0	0.03
09/19/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	16.48	0.00	16.48	90.0	0.26
10/17/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	61.07	0.00	61.07	90.0	0.98
10/17/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	38.09	0.00	38.09	90.0	0.61
10/17/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	17.52	0.00	17.52	90.0	0.28

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/17/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	12.04	0.00	12.04	90.0	0.19
10/17/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	17.53	0.00	17.53	90.0	0.28
11/16/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	63.05	0.00	63.05	90.0	1.01
11/16/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	39.32	0.00	39.32	90.0	0.63
11/16/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	18.09	0.00	18.09	90.0	0.29
11/16/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	12.43	0.00	12.43	90.0	0.20
11/16/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	18.10	0.00	18.10	90.0	0.29
12/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	62.35	0.00	62.35	90.0	1.00
12/19/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	38.89	0.00	38.89	90.0	0.62
12/19/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	17.89	0.00	17.89	90.0	0.29
12/19/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	12.29	0.00	12.29	90.0	0.20
12/19/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	17.90	0.00	17.90	90.0	0.29
02/19/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.21	0.00	10.21	90.0	0.16
03/22/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	9.39	0.00	9.39	90.0	0.15
04/18/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.24	0.00	10.24	90.0	0.16
05/24/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.09	0.00	10.09	90.0	0.16
06/21/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.55	0.00	10.55	90.0	0.17
07/18/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.22	0.00	10.22	90.0	0.16
08/16/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.60	0.00	10.60	90.0	0.17
09/19/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.67	0.00	10.67	90.0	0.17
10/17/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.40	0.00	10.40	90.0	0.17
11/16/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.85	0.00	10.85	90.0	0.17
12/19/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.48	0.00	10.48	90.0	0.17
02/19/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.06	0.00	4.06	90.0	0.06
03/22/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	3.79	0.00	3.79	90.0	0.06
04/18/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.09	0.00	4.09	90.0	0.07
05/24/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.02	0.00	4.02	90.0	0.06
06/21/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.17	0.00	4.17	90.0	0.07
07/18/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.07	0.00	4.07	90.0	0.07
08/16/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.26	0.00	4.26	90.0	0.07
09/19/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.27	0.00	4.27	90.0	0.07
10/17/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.13	0.00	4.13	90.0	0.07
11/16/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.26	0.00	4.26	90.0	0.07

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
12/19/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.05	0.00	4.05	90.0	0.06
04/22/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	58.59	0.00	58.59	90.0	0.94
05/23/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	57.38	0.00	57.38	90.0	0.92
06/13/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	59.15	0.00	59.15	90.0	0.95
07/15/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	56.24	0.00	56.24	90.0	0.90
08/12/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	57.51	0.00	57.51	90.0	0.92
09/16/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	59.02	0.00	59.02	90.0	0.94
10/17/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	56.97	0.00	56.97	90.0	0.91
11/18/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	56.86	0.00	56.86	90.0	0.91
12/21/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	53.91	0.00	53.91	90.0	0.86
03/31/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.66	0.00	0.66	90.0	0.01
04/20/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.71	0.00	0.71	90.0	0.01
05/26/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.71	0.00	0.71	90.0	0.01
06/22/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.76	0.00	0.76	90.0	0.01
07/20/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.75	0.00	0.75	90.0	0.01
08/17/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.78	0.00	0.78	90.0	0.01
09/14/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.79	0.00	0.79	90.0	0.01
10/19/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.77	0.00	0.77	90.0	0.01
11/16/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.52	0.00	0.52	90.0	0.01
02/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.93	0.00	2.93	90.0	0.05
02/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.93	0.00	2.93	90.0	0.05
03/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.63	0.00	2.63	90.0	0.04
03/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.63	0.00	2.63	90.0	0.04
04/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.02	0.00	3.02	90.0	0.05
04/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.02	0.00	3.02	90.0	0.05
05/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.01	0.00	3.01	90.0	0.05
05/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.01	0.00	3.01	90.0	0.05
06/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.06	0.00	3.06	90.0	0.05
06/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.06	0.00	3.06	90.0	0.05
07/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.99	0.00	2.99	90.0	0.05
07/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.99	0.00	2.99	90.0	0.05
08/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.17	0.00	3.17	90.0	0.05
08/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.17	0.00	3.17	90.0	0.05

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
09/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.27	0.00	3.27	90.0	0.05
09/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.27	0.00	3.27	90.0	0.05
10/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.15	0.00	3.15	90.0	0.05
10/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.15	0.00	3.15	90.0	0.05
11/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.25	0.00	3.25	90.0	0.05
11/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.25	0.00	3.25	90.0	0.05
12/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.37	0.00	3.37	90.0	0.05
12/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.37	0.00	3.37	90.0	0.05
04/14/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	91.16	0.00	91.16	90.0	1.46
04/14/2016	CHERRY, THEO	INVESCO AMERICAN FRANCHISE A	0.00	2.92	0.00	2.92	90.0	0.05
04/14/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	191.96	0.00	191.96	90.0	3.07
04/14/2016	FARBMAN, ERIC	INVESCO AMERICAN FRANCHISE A	0.00	6.95	0.00	6.95	90.0	0.11
04/14/2016	WALENCZYK, CHIRSTOPHER	INVESCO AMERICAN FRANCHISE A	0.00	0.36	0.00	0.36	90.0	0.01
04/14/2016	JACKSON, SHIRLEY	INVESCO AMERICAN FRANCHISE A	0.00	42.71	0.00	42.71	90.0	0.68
07/19/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	96.14	0.00	96.14	90.0	1.54
07/19/2016	CHERRY, THEO	INVESCO AMERICAN FRANCHISE A	0.00	3.08	0.00	3.08	90.0	0.05
07/19/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	202.45	0.00	202.45	90.0	3.24
07/19/2016	FARBMAN, ERIC	INVESCO AMERICAN FRANCHISE A	0.00	7.33	0.00	7.33	90.0	0.12
07/19/2016	WALENCZYK, CHIRSTOPHER	INVESCO AMERICAN FRANCHISE A	0.00	0.38	0.00	0.38	90.0	0.01
07/19/2016	JACKSON, SHIRLEY	INVESCO AMERICAN FRANCHISE A	0.00	129.62	0.00	129.62	90.0	2.07
10/17/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	102.81	0.00	102.81	90.0	1.64
10/17/2016	CHERRY, THEO	INVESCO AMERICAN FRANCHISE A	0.00	3.29	0.00	3.29	90.0	0.05
10/17/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	216.49	0.00	216.49	90.0	3.46
10/17/2016	FARBMAN, ERIC	INVESCO AMERICAN FRANCHISE A	0.00	7.83	0.00	7.83	90.0	0.13
10/17/2016	WALENCZYK, CHIRSTOPHER	INVESCO AMERICAN FRANCHISE A	0.00	0.41	0.00	0.41	90.0	0.01
10/17/2016	JACKSON, SHIRLEY	INVESCO AMERICAN FRANCHISE A	0.00	138.61	0.00	138.61	90.0	2.22
04/14/2016	SIEMANOWSKI, JOHN	INVESCO CHARTER FUND A	0.00	46.20	0.00	46.20	90.0	0.74
07/19/2016	SIEMANOWSKI, JOHN	INVESCO CHARTER FUND A	0.00	49.48	0.00	49.48	90.0	0.79
10/17/2016	SIEMANOWSKI, JOHN	INVESCO CHARTER FUND A	0.00	52.36	0.00	52.36	90.0	0.84
07/19/2016	GUERRIERI, ANTHONY	INVESCO COMSTOCK A	0.00	0.38	0.00	0.38	90.0	0.01
10/17/2016	GUERRIERI, ANTHONY	INVESCO COMSTOCK A	0.00	1.25	0.00	1.25	90.0	0.02
04/14/2016	FARBMAN, ERIC	INVESCO HIGH YIELD FUND A	0.00	11.08	0.00	11.08	90.0	0.18
07/19/2016	FARBMAN, ERIC	INVESCO HIGH YIELD FUND A	0.00	11.72	0.00	11.72	90.0	0.19

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/17/2016	FARBMAN, ERIC	INVESCO HIGH YIELD FUND A	0.00	12.33	0.00	12.33	90.0	0.20
04/14/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	10.46	0.00	10.46	90.0	0.17
04/14/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	32.85	0.00	32.85	90.0	0.53
04/14/2016	JACKSON, SHIRLEY	INVESCO INTERNATIONAL GROWTH A	0.00	2.19	0.00	2.19	90.0	0.04
07/19/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	11.01	0.00	11.01	90.0	0.18
07/19/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	34.56	0.00	34.56	90.0	0.55
07/19/2016	JACKSON, SHIRLEY	INVESCO INTERNATIONAL GROWTH A	0.00	6.50	0.00	6.50	90.0	0.10
10/17/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	11.29	0.00	11.29	90.0	0.18
10/17/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	35.45	0.00	35.45	90.0	0.57
10/17/2016	JACKSON, SHIRLEY	INVESCO INTERNATIONAL GROWTH A	0.00	6.67	0.00	6.67	90.0	0.11
04/14/2016	WALENCZYK, BRENDA	INVESCO MIDCAP CORE EQUITY A	0.00	0.40	0.00	0.40	90.0	0.01
04/14/2016	WALENCZYK, CHIRSTOPHER	INVESCO MIDCAP CORE EQUITY A	0.00	0.81	0.00	0.81	90.0	0.01
07/19/2016	WALENCZYK, BRENDA	INVESCO MIDCAP CORE EQUITY A	0.00	0.43	0.00	0.43	90.0	0.01
07/19/2016	WALENCZYK, CHIRSTOPHER	INVESCO MIDCAP CORE EQUITY A	0.00	0.87	0.00	0.87	90.0	0.01
10/17/2016	WALENCZYK, BRENDA	INVESCO MIDCAP CORE EQUITY A	0.00	0.46	0.00	0.46	90.0	0.01
10/17/2016	WALENCZYK, CHIRSTOPHER	INVESCO MIDCAP CORE EQUITY A	0.00	0.92	0.00	0.92	90.0	0.01
04/14/2016	GOLDBERGER, ANNA	INVESCO SENIOR LOAN FUND IB	0.00	8.24	0.00	8.24	90.0	0.13
07/19/2016	GOLDBERGER, ANNA	INVESCO SENIOR LOAN FUND IB	0.00	8.60	0.00	8.60	90.0	0.14
07/19/2016	PERETTI, FRANCES	INVESCO SENIOR LOAN FUND IB	0.00	13.06	0.00	13.06	90.0	0.21
10/17/2016	GOLDBERGER, ANNA	INVESCO SENIOR LOAN FUND IB	0.00	8.96	0.00	8.96	90.0	0.14
10/17/2016	PERETTI, FRANCES	INVESCO SENIOR LOAN FUND IB	0.00	2.95	0.00	2.95	90.0	0.05
04/14/2016	BOWERS, DORA	INVESCO SMALL CAP DISCOVERY A	0.00	0.32	0.00	0.32	90.0	0.01
07/19/2016	BOWERS, DORA	INVESCO SMALL CAP DISCOVERY A	0.00	0.35	0.00	0.35	90.0	0.01
10/17/2016	BOWERS, DORA	INVESCO SMALL CAP DISCOVERY A	0.00	0.37	0.00	0.37	90.0	0.01
04/14/2016	FARBMAN, ERIC	INVESCO STRUCTURED CORE A	0.00	13.05	0.00	13.05	90.0	0.21
07/19/2016	FARBMAN, ERIC	INVESCO STRUCTURED CORE A	0.00	13.96	0.00	13.96	90.0	0.22
10/17/2016	FARBMAN, ERIC	INVESCO STRUCTURED CORE A	0.00	14.67	0.00	14.67	90.0	0.23
04/14/2016	WALENCZYK, CHIRSTOPHER	INVESCO VALUE OPP A	0.00	0.58	0.00	0.58	90.0	0.01
07/19/2016	WALENCZYK, BRENDA	INVESCO VALUE OPP A	0.00	0.32	0.00	0.32	90.0	0.01
07/19/2016	WALENCZYK, CHIRSTOPHER	INVESCO VALUE OPP A	0.00	0.63	0.00	0.63	90.0	0.01
10/17/2016	WALENCZYK, BRENDA	INVESCO VALUE OPP A	0.00	0.33	0.00	0.33	90.0	0.01
10/17/2016	WALENCZYK, CHIRSTOPHER	INVESCO VALUE OPP A	0.00	0.64	0.00	0.64	90.0	0.01
02/08/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.92	0.00	0.92	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
03/09/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.83	0.00	0.83	90.0	0.01
04/12/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.94	0.00	0.94	90.0	0.02
05/11/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.93	0.00	0.93	90.0	0.01
06/14/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.96	0.00	0.96	90.0	0.02
07/12/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.93	0.00	0.93	90.0	0.01
08/08/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.99	0.00	0.99	90.0	0.02
09/12/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	1.01	0.00	1.01	90.0	0.02
10/12/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.97	0.00	0.97	90.0	0.02
11/10/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.99	0.00	0.99	90.0	0.02
12/15/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.95	0.00	0.95	90.0	0.02
02/19/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.48	0.00	0.48	90.0	0.01
03/17/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.45	0.00	0.45	90.0	0.01
04/25/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.52	0.00	0.52	90.0	0.01
05/16/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.52	0.00	0.52	90.0	0.01
06/20/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.53	0.00	0.53	90.0	0.01
07/25/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.52	0.00	0.52	90.0	0.01
08/15/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.55	0.00	0.55	90.0	0.01
09/15/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.56	0.00	0.56	90.0	0.01
10/14/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.54	0.00	0.54	90.0	0.01
11/21/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.55	0.00	0.55	90.0	0.01
12/16/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.55	0.00	0.55	90.0	0.01
02/01/2018	PISANI, CARLA	LINCOLN BENEFIT LIFE	541.00	25.70	0.00	25.70	90.0	0.41
02/01/2018	PISANI, NICHOLAS	LINCOLN BENEFIT LIFE	250.00	10.00	0.00	10.00	90.0	0.16
04/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.73	0.00	1.73	90.0	0.03
05/23/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.71	0.00	1.71	90.0	0.03
06/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.77	0.00	1.77	90.0	0.03
07/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.73	0.00	1.73	90.0	0.03
08/22/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.85	0.00	1.85	90.0	0.03
09/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.87	0.00	1.87	90.0	0.03
10/20/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.80	0.00	1.80	90.0	0.03
11/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.85	0.00	1.85	90.0	0.03
12/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.85	0.00	1.85	90.0	0.03
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.48	0.00	2.48	90.0	0.04

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.74	0.00	1.74	90.0	0.03
02/22/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.62	0.00	1.62	90.0	0.03
02/22/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.31	0.00	2.31	90.0	0.04
02/22/2016	GUERRIERI, BERNICE	LORD ABBETT BOND DEBENTURE A	0.00	0.67	0.00	0.67	90.0	0.01
02/22/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.13	0.00	7.13	90.0	0.11
02/22/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.26	0.00	2.26	90.0	0.04
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.28	0.00	2.28	90.0	0.04
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.59	0.00	1.59	90.0	0.03
03/22/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.40	0.00	1.40	90.0	0.02
03/22/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.12	0.00	2.12	90.0	0.03
03/22/2016	GUERRIERI, BERNICE	LORD ABBETT BOND DEBENTURE A	0.00	0.61	0.00	0.61	90.0	0.01
03/22/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	6.52	0.00	6.52	90.0	0.10
03/22/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.08	0.00	2.08	90.0	0.03
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.54	0.00	2.54	90.0	0.04
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.78	0.00	1.78	90.0	0.03
04/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.48	0.00	1.48	90.0	0.02
04/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.36	0.00	2.36	90.0	0.04
04/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.24	0.00	7.24	90.0	0.12
04/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.32	0.00	2.32	90.0	0.04
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.52	0.00	2.52	90.0	0.04
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.76	0.00	1.76	90.0	0.03
05/23/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.38	0.00	1.38	90.0	0.02
05/23/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.34	0.00	2.34	90.0	0.04
05/23/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.15	0.00	7.15	90.0	0.11
05/23/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.29	0.00	2.29	90.0	0.04
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.63	0.00	2.63	90.0	0.04
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.84	0.00	1.84	90.0	0.03
06/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.36	0.00	1.36	90.0	0.02
06/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.45	0.00	2.45	90.0	0.04
06/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.44	0.00	7.44	90.0	0.12
06/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.40	0.00	2.40	90.0	0.04
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.58	0.00	2.58	90.0	0.04
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.80	0.00	1.80	90.0	0.03

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.25	0.00	1.25	90.0	0.02
07/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.40	0.00	2.40	90.0	0.04
07/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.26	0.00	7.26	90.0	0.12
07/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.35	0.00	2.35	90.0	0.04
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.74	0.00	2.74	90.0	0.04
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.91	0.00	1.91	90.0	0.03
08/22/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.24	0.00	1.24	90.0	0.02
08/22/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.54	0.00	2.54	90.0	0.04
08/22/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.67	0.00	7.67	90.0	0.12
08/22/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.49	0.00	2.49	90.0	0.04
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.78	0.00	2.78	90.0	0.04
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.94	0.00	1.94	90.0	0.03
09/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.17	0.00	1.17	90.0	0.02
09/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.58	0.00	2.58	90.0	0.04
09/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.77	0.00	7.77	90.0	0.12
09/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.53	0.00	2.53	90.0	0.04
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.70	0.00	2.70	90.0	0.04
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.89	0.00	1.89	90.0	0.03
10/20/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.06	0.00	1.06	90.0	0.02
10/20/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.51	0.00	2.51	90.0	0.04
10/20/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.52	0.00	7.52	90.0	0.12
10/20/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.46	0.00	2.46	90.0	0.04
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.81	0.00	2.81	90.0	0.04
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.97	0.00	1.97	90.0	0.03
11/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.03	0.00	1.03	90.0	0.02
11/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.61	0.00	2.61	90.0	0.04
11/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.80	0.00	7.80	90.0	0.12
11/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.48	0.00	2.48	90.0	0.04
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.70	0.00	2.70	90.0	0.04
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.89	0.00	1.89	90.0	0.03
12/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	0.89	0.00	0.89	90.0	0.01
12/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.51	0.00	2.51	90.0	0.04
12/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.45	0.00	7.45	90.0	0.12

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
12/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.38	0.00	2.38	90.0	0.04
02/22/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	96.93	0.00	96.93	90.0	1.55
02/22/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	99.30	0.00	99.30	90.0	1.59
02/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	23.86	0.00	23.86	90.0	0.38
02/22/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	17.92	0.00	17.92	90.0	0.29
03/22/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	88.95	0.00	88.95	90.0	1.42
03/22/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	91.12	0.00	91.12	90.0	1.46
03/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	21.90	0.00	21.90	90.0	0.35
03/22/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	16.39	0.00	16.39	90.0	0.26
04/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	99.07	0.00	99.07	90.0	1.59
04/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	101.50	0.00	101.50	90.0	1.62
04/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	24.39	0.00	24.39	90.0	0.39
04/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.21	0.00	18.21	90.0	0.29
05/23/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	98.10	0.00	98.10	90.0	1.57
05/23/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	100.50	0.00	100.50	90.0	1.61
05/23/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	24.15	0.00	24.15	90.0	0.39
05/23/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	17.97	0.00	17.97	90.0	0.29
06/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	102.45	0.00	102.45	90.0	1.64
06/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	104.95	0.00	104.95	90.0	1.68
06/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	25.22	0.00	25.22	90.0	0.40
06/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.71	0.00	18.71	90.0	0.30
07/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	100.26	0.00	100.26	90.0	1.60
07/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	102.71	0.00	102.71	90.0	1.64
07/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	24.68	0.00	24.68	90.0	0.39
07/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.26	0.00	18.26	90.0	0.29
08/22/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	106.35	0.00	106.35	90.0	1.70
08/22/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	108.95	0.00	108.95	90.0	1.74
08/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	26.18	0.00	26.18	90.0	0.42
08/22/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	19.29	0.00	19.29	90.0	0.31
09/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	108.77	0.00	108.77	90.0	1.74
09/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	111.43	0.00	111.43	90.0	1.78
09/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	26.78	0.00	26.78	90.0	0.43
09/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	19.54	0.00	19.54	90.0	0.31

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/20/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	105.58	0.00	105.58	90.0	1.69
10/20/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	108.16	0.00	108.16	90.0	1.73
10/20/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	25.99	0.00	25.99	90.0	0.42
10/20/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.91	0.00	18.91	90.0	0.30
11/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	109.81	0.00	109.81	90.0	1.76
11/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	112.50	0.00	112.50	90.0	1.80
11/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	27.03	0.00	27.03	90.0	0.43
11/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	19.60	0.00	19.60	90.0	0.31
12/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	105.30	0.00	105.30	90.0	1.68
12/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	107.88	0.00	107.88	90.0	1.73
12/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	25.92	0.00	25.92	90.0	0.41
12/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.74	0.00	18.74	90.0	0.30
02/22/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.68	0.00	0.68	90.0	0.01
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.06	0.00	4.06	90.0	0.06
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.15	0.00	3.15	90.0	0.05
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.29	0.00	3.29	90.0	0.05
03/22/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.63	0.00	0.63	90.0	0.01
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.74	0.00	3.74	90.0	0.06
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	2.91	0.00	2.91	90.0	0.05
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.03	0.00	3.03	90.0	0.05
04/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.72	0.00	0.72	90.0	0.01
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.26	0.00	4.26	90.0	0.07
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.30	0.00	3.30	90.0	0.05
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.44	0.00	3.44	90.0	0.06
05/23/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.71	0.00	0.71	90.0	0.01
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.24	0.00	4.24	90.0	0.07
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.29	0.00	3.29	90.0	0.05
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.43	0.00	3.43	90.0	0.05
06/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.74	0.00	0.74	90.0	0.01
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.43	0.00	4.43	90.0	0.07
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.44	0.00	3.44	90.0	0.06
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.58	0.00	3.58	90.0	0.06
07/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.73	0.00	0.73	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.34	0.00	4.34	90.0	0.07
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.36	0.00	3.36	90.0	0.05
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.51	0.00	3.51	90.0	0.06
08/22/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.77	0.00	0.77	90.0	0.01
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.59	0.00	4.59	90.0	0.07
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.56	0.00	3.56	90.0	0.06
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.23	0.00	3.23	90.0	0.05
09/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.78	0.00	0.78	90.0	0.01
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.66	0.00	4.66	90.0	0.07
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.61	0.00	3.61	90.0	0.06
10/20/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.75	0.00	0.75	90.0	0.01
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.48	0.00	4.48	90.0	0.07
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.48	0.00	3.48	90.0	0.06
11/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.78	0.00	0.78	90.0	0.01
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.64	0.00	4.64	90.0	0.07
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.60	0.00	3.60	90.0	0.06
12/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.77	0.00	0.77	90.0	0.01
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.60	0.00	4.60	90.0	0.07
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.57	0.00	3.57	90.0	0.06
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	1,562.85	50.79	22.00	28.79	90.0	0.46
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	1,318.23	42.84	22.00	20.84	90.0	0.33
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	462.06	15.02	22.00	-6.98	90.0	-0.11
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	502.83	16.34	22.00	-5.66	90.0	-0.09
02/22/2018	ROMERO, MARIA	LORD ABBETT FUNDAMENTAL EQUITY A	995.72	49.79	22.00	27.79	90.0	0.44
02/22/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.33	0.00	7.33	90.0	0.12
02/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.23	0.00	8.23	90.0	0.13
02/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.47	0.00	4.47	90.0	0.07
02/22/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.67	0.00	4.67	90.0	0.07
02/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	12.25	0.00	12.25	90.0	0.20
03/22/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	6.75	0.00	6.75	90.0	0.11
03/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.58	0.00	7.58	90.0	0.12
03/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.12	0.00	4.12	90.0	0.07
03/22/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.30	0.00	4.30	90.0	0.07

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
03/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	11.29	0.00	11.29	90.0	0.18
04/21/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.67	0.00	7.67	90.0	0.12
04/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.61	0.00	8.61	90.0	0.14
04/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.68	0.00	4.68	90.0	0.07
04/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.89	0.00	4.89	90.0	0.08
04/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	12.82	0.00	12.82	90.0	0.21
05/23/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.64	0.00	7.64	90.0	0.12
05/23/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.58	0.00	8.58	90.0	0.14
05/23/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.66	0.00	4.66	90.0	0.07
05/23/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.87	0.00	4.87	90.0	0.08
05/23/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	12.78	0.00	12.78	90.0	0.20
06/21/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.97	0.00	7.97	90.0	0.13
06/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.95	0.00	8.95	90.0	0.14
06/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.87	0.00	4.87	90.0	0.08
06/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.08	0.00	5.08	90.0	0.08
06/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.33	0.00	13.33	90.0	0.21
07/21/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.80	0.00	7.80	90.0	0.12
07/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.76	0.00	8.76	90.0	0.14
07/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.76	0.00	4.76	90.0	0.08
07/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.97	0.00	4.97	90.0	0.08
07/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.04	0.00	13.04	90.0	0.21
08/22/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.26	0.00	8.26	90.0	0.13
08/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.27	0.00	9.27	90.0	0.15
08/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.04	0.00	5.04	90.0	0.08
08/22/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.26	0.00	5.26	90.0	0.08
08/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.81	0.00	13.81	90.0	0.22
09/21/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.28	0.00	7.28	90.0	0.12
09/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.39	0.00	9.39	90.0	0.15
09/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.11	0.00	5.11	90.0	0.08
09/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.33	0.00	5.33	90.0	0.09
09/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.98	0.00	13.98	90.0	0.22
09/21/2016	MILGRAM, MARC	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	0.36	0.00	0.36	90.0	0.01
10/20/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.04	0.00	9.04	90.0	0.14

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/20/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.91	0.00	4.91	90.0	0.08
10/20/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.13	0.00	5.13	90.0	0.08
10/20/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.46	0.00	13.46	90.0	0.22
10/20/2016	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	2.68	0.00	2.68	90.0	0.04
11/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.35	0.00	9.35	90.0	0.15
11/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.08	0.00	5.08	90.0	0.08
11/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.30	0.00	5.30	90.0	0.08
11/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.92	0.00	13.92	90.0	0.22
11/21/2016	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	2.77	0.00	2.77	90.0	0.04
12/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.39	0.00	9.39	90.0	0.15
12/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.10	0.00	5.10	90.0	0.08
12/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.33	0.00	5.33	90.0	0.09
12/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.23	0.00	13.23	90.0	0.21
12/21/2016	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	2.78	0.00	2.78	90.0	0.04
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.58	0.00	2.58	90.0	0.04
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.78	0.00	1.78	90.0	0.03
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.41	0.00	2.41	90.0	0.04
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.66	0.00	1.66	90.0	0.03
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.60	0.00	2.60	90.0	0.04
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.79	0.00	1.79	90.0	0.03
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.54	0.00	2.54	90.0	0.04
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.75	0.00	1.75	90.0	0.03
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.64	0.00	2.64	90.0	0.04
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.82	0.00	1.82	90.0	0.03
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.57	0.00	2.57	90.0	0.04
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.77	0.00	1.77	90.0	0.03
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.67	0.00	2.67	90.0	0.04
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.84	0.00	1.84	90.0	0.03
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.68	0.00	2.68	90.0	0.04
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.84	0.00	1.84	90.0	0.03
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.60	0.00	2.60	90.0	0.04
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.79	0.00	1.79	90.0	0.03
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.69	0.00	2.69	90.0	0.04

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.85	0.00	1.85	90.0	0.03
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.60	0.00	2.60	90.0	0.04
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.79	0.00	1.79	90.0	0.03
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	1,552.30	23.28	22.00	1.28	90.0	0.02
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	1,307.20	19.61	22.00	-2.39	90.0	-0.04
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	460.10	6.90	22.00	-15.10	90.0	-0.24
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	503.10	7.55	22.00	-14.45	90.0	-0.23
02/22/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.19	0.00	6.19	90.0	0.10
02/22/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	94.23	0.00	94.23	90.0	1.51
02/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.44	0.00	1.44	90.0	0.02
02/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.42	0.00	19.42	90.0	0.31
02/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.62	0.00	1.62	90.0	0.03
02/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	10.79	0.00	10.79	90.0	0.17
02/22/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.52	0.00	11.52	90.0	0.18
02/22/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	7.25	0.00	7.25	90.0	0.12
02/22/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	9.20	0.00	9.20	90.0	0.15
02/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.62	0.00	2.62	90.0	0.04
02/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.01	0.00	2.01	90.0	0.03
02/22/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.10	0.00	6.10	90.0	0.10
02/22/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.38	0.00	12.38	90.0	0.20
02/22/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.57	0.00	4.57	90.0	0.07
02/22/2016	TARANTINO, ANN	LORD ABBETT SHORT DURATION INCOME F	0.00	3.41	0.00	3.41	90.0	0.05
03/22/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	5.77	0.00	5.77	90.0	0.09
03/22/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	87.92	0.00	87.92	90.0	1.41
03/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.34	0.00	1.34	90.0	0.02
03/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	18.12	0.00	18.12	90.0	0.29
03/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.52	0.00	1.52	90.0	0.02
03/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	10.07	0.00	10.07	90.0	0.16
03/22/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	10.75	0.00	10.75	90.0	0.17
03/22/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.25	0.00	6.25	90.0	0.10
03/22/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.53	0.00	8.53	90.0	0.14
03/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.45	0.00	2.45	90.0	0.04
03/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	1.87	0.00	1.87	90.0	0.03

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
03/22/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	5.70	0.00	5.70	90.0	0.09
03/22/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	11.55	0.00	11.55	90.0	0.18
03/22/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.27	0.00	4.27	90.0	0.07
03/22/2016	TARANTINO, ANN	LORD ABBETT SHORT DURATION INCOME F	0.00	3.18	0.00	3.18	90.0	0.05
04/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.22	0.00	6.22	90.0	0.10
04/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	94.75	0.00	94.75	90.0	1.52
04/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.44	0.00	1.44	90.0	0.02
04/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.53	0.00	19.53	90.0	0.31
04/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.63	0.00	1.63	90.0	0.03
04/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.59	0.00	11.59	90.0	0.19
04/21/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.39	0.00	6.39	90.0	0.10
04/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.75	0.00	8.75	90.0	0.14
04/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.64	0.00	2.64	90.0	0.04
04/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.02	0.00	2.02	90.0	0.03
04/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.14	0.00	6.14	90.0	0.10
04/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.45	0.00	12.45	90.0	0.20
04/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.60	0.00	4.60	90.0	0.07
04/21/2016	TARANTINO, ANN	LORD ABBETT SHORT DURATION INCOME F	0.00	3.43	0.00	3.43	90.0	0.05
05/23/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.08	0.00	6.08	90.0	0.10
05/23/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	92.53	0.00	92.53	90.0	1.48
05/23/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.41	0.00	1.41	90.0	0.02
05/23/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.07	0.00	19.07	90.0	0.31
05/23/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.60	0.00	1.60	90.0	0.03
05/23/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.32	0.00	11.32	90.0	0.18
05/23/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.25	0.00	6.25	90.0	0.10
05/23/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.23	0.00	8.23	90.0	0.13
05/23/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.58	0.00	2.58	90.0	0.04
05/23/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	1.97	0.00	1.97	90.0	0.03
05/23/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	5.99	0.00	5.99	90.0	0.10
05/23/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.16	0.00	12.16	90.0	0.19
05/23/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.49	0.00	4.49	90.0	0.07
05/23/2016	TARANTINO, ANN	LORD ABBETT SHORT DURATION INCOME F	0.00	1.64	0.00	1.64	90.0	0.03
06/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.31	0.00	6.31	90.0	0.10

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
06/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	96.03	0.00	96.03	90.0	1.54
06/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.46	0.00	1.46	90.0	0.02
06/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.79	0.00	19.79	90.0	0.32
06/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.66	0.00	1.66	90.0	0.03
06/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.75	0.00	11.75	90.0	0.19
06/21/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.18	0.00	6.18	90.0	0.10
06/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.55	0.00	8.55	90.0	0.14
06/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.67	0.00	2.67	90.0	0.04
06/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.04	0.00	2.04	90.0	0.03
06/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.22	0.00	6.22	90.0	0.10
06/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.62	0.00	12.62	90.0	0.20
06/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.66	0.00	4.66	90.0	0.07
07/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.13	0.00	6.13	90.0	0.10
07/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	93.31	0.00	93.31	90.0	1.49
07/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.42	0.00	1.42	90.0	0.02
07/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.23	0.00	19.23	90.0	0.31
07/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.61	0.00	1.61	90.0	0.03
07/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.42	0.00	11.42	90.0	0.18
07/21/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	5.32	0.00	5.32	90.0	0.09
07/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.31	0.00	8.31	90.0	0.13
07/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.60	0.00	2.60	90.0	0.04
07/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	1.99	0.00	1.99	90.0	0.03
07/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.04	0.00	6.04	90.0	0.10
07/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.26	0.00	12.26	90.0	0.20
07/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.53	0.00	4.53	90.0	0.07
08/22/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.36	0.00	6.36	90.0	0.10
08/22/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	96.92	0.00	96.92	90.0	1.55
08/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.48	0.00	1.48	90.0	0.02
08/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.97	0.00	19.97	90.0	0.32
08/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.67	0.00	1.67	90.0	0.03
08/22/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.86	0.00	11.86	90.0	0.19
08/22/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	5.12	0.00	5.12	90.0	0.08
08/22/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.42	0.00	8.42	90.0	0.13

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
08/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.70	0.00	2.70	90.0	0.04
08/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.06	0.00	2.06	90.0	0.03
08/22/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.28	0.00	6.28	90.0	0.10
08/22/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.73	0.00	12.73	90.0	0.20
08/22/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.70	0.00	4.70	90.0	0.08
09/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.48	0.00	1.48	90.0	0.02
09/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	20.02	0.00	20.02	90.0	0.32
09/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.68	0.00	1.68	90.0	0.03
09/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.71	0.00	2.71	90.0	0.04
09/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.38	0.00	6.38	90.0	0.10
09/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	97.15	0.00	97.15	90.0	1.55
09/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.89	0.00	11.89	90.0	0.19
09/21/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	4.84	0.00	4.84	90.0	0.08
09/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.27	0.00	8.27	90.0	0.13
09/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.07	0.00	2.07	90.0	0.03
09/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.29	0.00	6.29	90.0	0.10
09/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.76	0.00	12.76	90.0	0.20
09/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.72	0.00	4.72	90.0	0.08
10/20/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.43	0.00	1.43	90.0	0.02
10/20/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.41	0.00	19.41	90.0	0.31
10/20/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.62	0.00	1.62	90.0	0.03
10/20/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.62	0.00	2.62	90.0	0.04
10/20/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.00	0.00	2.00	90.0	0.03
10/20/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.18	0.00	6.18	90.0	0.10
10/20/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	94.18	0.00	94.18	90.0	1.51
10/20/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.49	0.00	11.49	90.0	0.18
10/20/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	4.46	0.00	4.46	90.0	0.07
10/20/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	7.92	0.00	7.92	90.0	0.13
10/20/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.10	0.00	6.10	90.0	0.10
10/20/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.37	0.00	12.37	90.0	0.20
10/20/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.57	0.00	4.57	90.0	0.07
11/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.49	0.00	1.49	90.0	0.02
11/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	20.09	0.00	20.09	90.0	0.32

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
11/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.68	0.00	1.68	90.0	0.03
11/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.72	0.00	2.72	90.0	0.04
11/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.08	0.00	2.08	90.0	0.03
11/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.40	0.00	6.40	90.0	0.10
11/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	97.50	0.00	97.50	90.0	1.56
11/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.78	0.00	11.78	90.0	0.19
11/21/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	2.39	0.00	2.39	90.0	0.04
11/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	7.91	0.00	7.91	90.0	0.13
11/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.32	0.00	6.32	90.0	0.10
11/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.81	0.00	12.81	90.0	0.20
11/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.73	0.00	4.73	90.0	0.08
12/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.43	0.00	1.43	90.0	0.02
12/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.40	0.00	19.40	90.0	0.31
12/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.62	0.00	1.62	90.0	0.03
12/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.62	0.00	2.62	90.0	0.04
12/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.00	0.00	2.00	90.0	0.03
12/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.18	0.00	6.18	90.0	0.10
12/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	94.12	0.00	94.12	90.0	1.51
12/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.37	0.00	11.37	90.0	0.18
12/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	7.44	0.00	7.44	90.0	0.12
12/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.10	0.00	6.10	90.0	0.10
12/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.37	0.00	12.37	90.0	0.20
12/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.57	0.00	4.57	90.0	0.07
02/25/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	8.29	0.00	8.29	90.0	0.13
03/08/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	7.00	0.00	7.00	90.0	0.11
04/22/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	8.40	0.00	8.40	90.0	0.13
05/17/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	8.84	0.00	8.84	90.0	0.14
06/15/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.09	0.00	10.09	90.0	0.16
07/14/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.26	0.00	10.26	90.0	0.16
08/18/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.86	0.00	10.86	90.0	0.17
09/15/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.93	0.00	10.93	90.0	0.17
10/21/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.57	0.00	10.57	90.0	0.17
11/09/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.98	0.00	10.98	90.0	0.18

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
12/16/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.39	0.00	10.39	90.0	0.17
02/25/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.29	0.00	1.29	90.0	0.02
02/25/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.30	0.00	2.30	90.0	0.04
03/08/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.14	0.00	1.14	90.0	0.02
03/08/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.01	0.00	2.01	90.0	0.03
04/22/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.36	0.00	1.36	90.0	0.02
04/22/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.39	0.00	2.39	90.0	0.04
05/17/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.43	0.00	1.43	90.0	0.02
05/17/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.50	0.00	2.50	90.0	0.04
06/15/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.59	0.00	1.59	90.0	0.03
06/15/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.74	0.00	2.74	90.0	0.04
07/14/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.60	0.00	1.60	90.0	0.03
07/14/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.76	0.00	2.76	90.0	0.04
08/18/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.70	0.00	1.70	90.0	0.03
08/18/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.91	0.00	2.91	90.0	0.05
09/15/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.73	0.00	1.73	90.0	0.03
09/15/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.90	0.00	2.90	90.0	0.05
10/21/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.68	0.00	1.68	90.0	0.03
10/21/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.81	0.00	2.81	90.0	0.04
11/09/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.80	0.00	1.80	90.0	0.03
11/09/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.98	0.00	2.98	90.0	0.05
12/16/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.75	0.00	1.75	90.0	0.03
12/16/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.84	0.00	2.84	90.0	0.05
02/25/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.44	0.00	0.44	90.0	0.01
03/08/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.41	0.00	0.41	90.0	0.01
04/22/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.45	0.00	0.45	90.0	0.01
05/17/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.44	0.00	0.44	90.0	0.01
06/15/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.46	0.00	0.46	90.0	0.01
07/14/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.45	0.00	0.45	90.0	0.01
08/18/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.46	0.00	0.46	90.0	0.01
09/15/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.47	0.00	0.47	90.0	0.01
10/21/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.46	0.00	0.46	90.0	0.01
11/09/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.47	0.00	0.47	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
12/16/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.46	0.00	0.46	90.0	0.01
02/25/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.99	0.00	0.99	90.0	0.02
03/08/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.92	0.00	0.92	90.0	0.01
04/22/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.03	0.00	1.03	90.0	0.02
05/17/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.01	0.00	1.01	90.0	0.02
06/15/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.07	0.00	1.07	90.0	0.02
07/14/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.05	0.00	1.05	90.0	0.02
08/18/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.11	0.00	1.11	90.0	0.02
09/15/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.13	0.00	1.13	90.0	0.02
10/21/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.10	0.00	1.10	90.0	0.02
11/09/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.15	0.00	1.15	90.0	0.02
12/16/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.11	0.00	1.11	90.0	0.02
02/25/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.55	0.00	0.55	90.0	0.01
03/08/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.48	0.00	0.48	90.0	0.01
04/22/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.55	0.00	0.55	90.0	0.01
05/17/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.55	0.00	0.55	90.0	0.01
06/15/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.56	0.00	0.56	90.0	0.01
07/14/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.55	0.00	0.55	90.0	0.01
08/18/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.58	0.00	0.58	90.0	0.01
09/15/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.60	0.00	0.60	90.0	0.01
10/21/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.57	0.00	0.57	90.0	0.01
11/09/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.59	0.00	0.59	90.0	0.01
12/16/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.56	0.00	0.56	90.0	0.01
02/08/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	4.79	0.00	4.79	90.0	0.08
03/14/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	4.39	0.00	4.39	90.0	0.07
04/15/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.00	0.00	5.00	90.0	0.08
05/17/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	4.97	0.00	4.97	90.0	0.08
06/16/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.12	0.00	5.12	90.0	0.08
07/20/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.03	0.00	5.03	90.0	0.08
08/16/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.36	0.00	5.36	90.0	0.09
09/15/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.46	0.00	5.46	90.0	0.09
10/20/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.24	0.00	5.24	90.0	0.08
11/14/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.38	0.00	5.38	90.0	0.09

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
12/19/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.26	0.00	5.26	90.0	0.08
02/08/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	10.67	0.00	10.67	90.0	0.17
03/14/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	9.85	0.00	9.85	90.0	0.16
04/15/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	11.42	0.00	11.42	90.0	0.18
05/17/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	11.43	0.00	11.43	90.0	0.18
06/16/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	11.58	0.00	11.58	90.0	0.19
07/20/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	11.44	0.00	11.44	90.0	0.18
08/16/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	12.30	0.00	12.30	90.0	0.20
09/15/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	12.78	0.00	12.78	90.0	0.20
10/20/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	12.52	0.00	12.52	90.0	0.20
11/14/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	12.96	0.00	12.96	90.0	0.21
12/19/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	12.06	0.00	12.06	90.0	0.19
02/08/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.39	0.00	7.39	90.0	0.12
03/14/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	6.92	0.00	6.92	90.0	0.11
04/15/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.62	0.00	7.62	90.0	0.12
05/17/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.51	0.00	7.51	90.0	0.12
06/16/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.80	0.00	7.80	90.0	0.12
07/20/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.62	0.00	7.62	90.0	0.12
08/16/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	8.09	0.00	8.09	90.0	0.13
09/15/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	8.18	0.00	8.18	90.0	0.13
10/20/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.91	0.00	7.91	90.0	0.13
11/14/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	8.14	0.00	8.14	90.0	0.13
12/19/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.60	0.00	7.60	90.0	0.12
02/08/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	11.78	0.00	11.78	90.0	0.19
03/14/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	10.67	0.00	10.67	90.0	0.17
04/15/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.00	0.00	12.00	90.0	0.19
05/17/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	11.93	0.00	11.93	90.0	0.19
06/16/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.33	0.00	12.33	90.0	0.20
07/20/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.01	0.00	12.01	90.0	0.19
08/16/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.79	0.00	12.79	90.0	0.20
09/15/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	13.03	0.00	13.03	90.0	0.21
10/20/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.42	0.00	12.42	90.0	0.20
11/14/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.80	0.00	12.80	90.0	0.20

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
12/19/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.22	0.00	12.22	90.0	0.20
02/08/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	12.03	0.00	12.03	90.0	0.19
03/14/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	11.29	0.00	11.29	90.0	0.18
04/15/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	12.71	0.00	12.71	90.0	0.20
05/17/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	12.61	0.00	12.61	90.0	0.20
06/16/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	13.00	0.00	13.00	90.0	0.21
07/20/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	12.62	0.00	12.62	90.0	0.20
08/16/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	13.38	0.00	13.38	90.0	0.21
09/15/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	13.77	0.00	13.77	90.0	0.22
10/20/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	13.32	0.00	13.32	90.0	0.21
11/14/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	13.53	0.00	13.53	90.0	0.22
12/19/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	12.51	0.00	12.51	90.0	0.20
02/08/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.54	0.00	0.54	90.0	0.01
03/14/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.50	0.00	0.50	90.0	0.01
04/15/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.57	0.00	0.57	90.0	0.01
05/17/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.56	0.00	0.56	90.0	0.01
06/16/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.58	0.00	0.58	90.0	0.01
07/20/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.57	0.00	0.57	90.0	0.01
08/16/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.60	0.00	0.60	90.0	0.01
09/15/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.62	0.00	0.62	90.0	0.01
10/20/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.60	0.00	0.60	90.0	0.01
11/14/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.61	0.00	0.61	90.0	0.01
12/19/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.56	0.00	0.56	90.0	0.01
02/08/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	7.20	0.00	7.20	90.0	0.12
02/08/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	17.23	0.00	17.23	90.0	0.28
03/14/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	6.66	0.00	6.66	90.0	0.11
03/14/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	15.95	0.00	15.95	90.0	0.26
04/15/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	7.75	0.00	7.75	90.0	0.12
04/15/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	18.54	0.00	18.54	90.0	0.30
05/17/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	7.75	0.00	7.75	90.0	0.12
05/17/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	18.55	0.00	18.55	90.0	0.30
06/16/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.05	0.00	8.05	90.0	0.13
06/16/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	19.26	0.00	19.26	90.0	0.31

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/20/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	7.84	0.00	7.84	90.0	0.13
07/20/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	18.77	0.00	18.77	90.0	0.30
08/16/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.27	0.00	8.27	90.0	0.13
08/16/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	19.80	0.00	19.80	90.0	0.32
09/15/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.41	0.00	8.41	90.0	0.13
09/15/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	20.14	0.00	20.14	90.0	0.32
10/20/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.10	0.00	8.10	90.0	0.13
10/20/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	19.39	0.00	19.39	90.0	0.31
11/14/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.31	0.00	8.31	90.0	0.13
11/14/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	19.90	0.00	19.90	90.0	0.32
12/19/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.17	0.00	8.17	90.0	0.13
12/19/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	19.55	0.00	19.55	90.0	0.31
02/08/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.23	0.00	6.23	90.0	0.10
02/08/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	14.69	0.00	14.69	90.0	0.24
02/08/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.26	0.00	4.26	90.0	0.07
03/14/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	5.63	0.00	5.63	90.0	0.09
03/14/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	13.27	0.00	13.27	90.0	0.21
03/14/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	3.85	0.00	3.85	90.0	0.06
04/15/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.40	0.00	6.40	90.0	0.10
04/15/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.10	0.00	15.10	90.0	0.24
04/15/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.38	0.00	4.38	90.0	0.07
05/17/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.40	0.00	6.40	90.0	0.10
05/17/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.09	0.00	15.09	90.0	0.24
05/17/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.38	0.00	4.38	90.0	0.07
06/16/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.63	0.00	6.63	90.0	0.11
06/16/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.63	0.00	15.63	90.0	0.25
06/16/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.53	0.00	4.53	90.0	0.07
07/20/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.47	0.00	6.47	90.0	0.10
07/20/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.27	0.00	15.27	90.0	0.24
07/20/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.43	0.00	4.43	90.0	0.07
08/16/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.90	0.00	6.90	90.0	0.11
08/16/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	16.27	0.00	16.27	90.0	0.26
08/16/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.72	0.00	4.72	90.0	0.08

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
09/15/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	7.02	0.00	7.02	90.0	0.11
09/15/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	16.55	0.00	16.55	90.0	0.26
09/15/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.80	0.00	4.80	90.0	0.08
10/20/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.72	0.00	6.72	90.0	0.11
10/20/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.86	0.00	15.86	90.0	0.25
10/20/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.60	0.00	4.60	90.0	0.07
11/14/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.84	0.00	6.84	90.0	0.11
11/14/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	16.14	0.00	16.14	90.0	0.26
11/14/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.68	0.00	4.68	90.0	0.07
12/19/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.59	0.00	6.59	90.0	0.11
12/19/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.55	0.00	15.55	90.0	0.25
12/19/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.51	0.00	4.51	90.0	0.07
02/08/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.47	0.00	4.47	90.0	0.07
03/14/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.11	0.00	4.11	90.0	0.07
04/15/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.65	0.00	4.65	90.0	0.07
05/17/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.62	0.00	4.62	90.0	0.07
06/16/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.79	0.00	4.79	90.0	0.08
07/20/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.70	0.00	4.70	90.0	0.08
08/16/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	5.00	0.00	5.00	90.0	0.08
09/15/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	5.09	0.00	5.09	90.0	0.08
10/20/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.89	0.00	4.89	90.0	0.08
11/14/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	5.01	0.00	5.01	90.0	0.08
12/19/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.84	0.00	4.84	90.0	0.08
02/08/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	21.49	0.00	21.49	90.0	0.34
03/14/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	19.44	0.00	19.44	90.0	0.31
04/15/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	21.95	0.00	21.95	90.0	0.35
05/17/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	21.68	0.00	21.68	90.0	0.35
06/16/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	22.39	0.00	22.39	90.0	0.36
07/20/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	21.59	0.00	21.59	90.0	0.35
08/16/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	22.53	0.00	22.53	90.0	0.36
09/15/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	23.28	0.00	23.28	90.0	0.37
10/20/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	22.58	0.00	22.58	90.0	0.36
11/14/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	23.04	0.00	23.04	90.0	0.37

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
12/19/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	21.65	0.00	21.65	90.0	0.35
02/08/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	7.67	0.00	7.67	90.0	0.12
03/14/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	6.83	0.00	6.83	90.0	0.11
04/15/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	7.85	0.00	7.85	90.0	0.13
05/17/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	7.86	0.00	7.86	90.0	0.13
06/16/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.15	0.00	8.15	90.0	0.13
07/20/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.03	0.00	8.03	90.0	0.13
08/16/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.51	0.00	8.51	90.0	0.14
09/15/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.87	0.00	8.87	90.0	0.14
10/20/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.66	0.00	8.66	90.0	0.14
11/14/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	9.05	0.00	9.05	90.0	0.14
12/19/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.60	0.00	8.60	90.0	0.14
02/08/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.12	0.00	7.12	90.0	0.11
02/08/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	11.07	0.00	11.07	90.0	0.18
03/14/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	6.67	0.00	6.67	90.0	0.11
03/14/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	10.37	0.00	10.37	90.0	0.17
04/15/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.55	0.00	7.55	90.0	0.12
04/15/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	11.75	0.00	11.75	90.0	0.19
05/17/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.52	0.00	7.52	90.0	0.12
05/17/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	11.70	0.00	11.70	90.0	0.19
06/16/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.86	0.00	7.86	90.0	0.13
06/16/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.23	0.00	12.23	90.0	0.20
07/20/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.66	0.00	7.66	90.0	0.12
07/20/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	11.92	0.00	11.92	90.0	0.19
08/16/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	8.14	0.00	8.14	90.0	0.13
08/16/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.67	0.00	12.67	90.0	0.20
09/15/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	8.25	0.00	8.25	90.0	0.13
09/15/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.83	0.00	12.83	90.0	0.21
10/20/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.88	0.00	7.88	90.0	0.13
10/20/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.26	0.00	12.26	90.0	0.20
11/14/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	8.05	0.00	8.05	90.0	0.13
11/14/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.52	0.00	12.52	90.0	0.20
12/19/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.96	0.00	7.96	90.0	0.13

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
12/19/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.39	0.00	12.39	90.0	0.20
02/22/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.08	0.00	1.08	90.0	0.02
03/17/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.01	0.00	1.01	90.0	0.02
04/21/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.14	0.00	1.14	90.0	0.02
05/19/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.13	0.00	1.13	90.0	0.02
06/30/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.21	0.00	1.21	90.0	0.02
07/18/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.22	0.00	1.22	90.0	0.02
08/24/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	0.56	0.00	0.56	90.0	0.01
02/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.89	0.00	0.89	90.0	0.01
03/17/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.77	0.00	0.77	90.0	0.01
04/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.88	0.00	0.88	90.0	0.01
05/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.89	0.00	0.89	90.0	0.01
06/30/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.92	0.00	0.92	90.0	0.01
07/18/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.92	0.00	0.92	90.0	0.01
08/24/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.99	0.00	0.99	90.0	0.02
09/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	1.01	0.00	1.01	90.0	0.02
10/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.98	0.00	0.98	90.0	0.02
11/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.99	0.00	0.99	90.0	0.02
12/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.96	0.00	0.96	90.0	0.02
02/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.64	0.00	0.64	90.0	0.01
03/17/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.56	0.00	0.56	90.0	0.01
04/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.65	0.00	0.65	90.0	0.01
05/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.68	0.00	0.68	90.0	0.01
06/30/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.71	0.00	0.71	90.0	0.01
07/18/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.69	0.00	0.69	90.0	0.01
08/24/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.73	0.00	0.73	90.0	0.01
09/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.78	0.00	0.78	90.0	0.01
10/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.78	0.00	0.78	90.0	0.01
11/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.78	0.00	0.78	90.0	0.01
12/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.74	0.00	0.74	90.0	0.01
02/22/2016	CARSON, LINDA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.18	0.00	3.18	90.0	0.05
03/17/2016	CARSON, LINDA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.66	0.00	3.66	90.0	0.06
04/21/2016	CARSON, LINDA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	4.40	0.00	4.40	90.0	0.07

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
04/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.34	0.00	0.34	90.0	0.01
05/19/2016	CARSON, LINDA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.43	0.00	0.43	90.0	0.01
05/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.36	0.00	0.36	90.0	0.01
06/30/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.41	0.00	0.41	90.0	0.01
07/18/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.43	0.00	0.43	90.0	0.01
08/24/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.51	0.00	0.51	90.0	0.01
09/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.52	0.00	0.52	90.0	0.01
10/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.47	0.00	0.47	90.0	0.01
11/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.44	0.00	0.44	90.0	0.01
12/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.39	0.00	0.39	90.0	0.01
02/22/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.50	0.00	0.50	90.0	0.01
03/17/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.46	0.00	0.46	90.0	0.01
04/21/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.52	0.00	0.52	90.0	0.01
05/19/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.51	0.00	0.51	90.0	0.01
06/30/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.53	0.00	0.53	90.0	0.01
07/18/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.50	0.00	0.50	90.0	0.01
08/24/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.52	0.00	0.52	90.0	0.01
09/22/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.54	0.00	0.54	90.0	0.01
10/21/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.53	0.00	0.53	90.0	0.01
11/21/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.53	0.00	0.53	90.0	0.01
12/19/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.49	0.00	0.49	90.0	0.01
02/22/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.82	0.00	1.82	90.0	0.03
02/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.35	0.00	2.35	90.0	0.04
03/17/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.69	0.00	1.69	90.0	0.03
03/17/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.18	0.00	2.18	90.0	0.03
04/21/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.92	0.00	1.92	90.0	0.03
04/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.48	0.00	2.48	90.0	0.04
05/19/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.91	0.00	1.91	90.0	0.03
05/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.46	0.00	2.46	90.0	0.04
06/30/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.98	0.00	1.98	90.0	0.03
06/30/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.55	0.00	2.55	90.0	0.04
07/18/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.93	0.00	1.93	90.0	0.03
07/18/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.49	0.00	2.49	90.0	0.04

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
08/24/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.06	0.00	2.06	90.0	0.03
08/24/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.66	0.00	2.66	90.0	0.04
09/22/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.08	0.00	2.08	90.0	0.03
09/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.68	0.00	2.68	90.0	0.04
10/21/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.00	0.00	2.00	90.0	0.03
10/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.57	0.00	2.57	90.0	0.04
11/21/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.05	0.00	2.05	90.0	0.03
11/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.64	0.00	2.64	90.0	0.04
12/19/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.01	0.00	2.01	90.0	0.03
12/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.59	0.00	2.59	90.0	0.04
10/21/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	0.78	0.00	0.78	90.0	0.01
11/21/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	0.80	0.00	0.80	90.0	0.01
12/19/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	0.76	0.00	0.76	90.0	0.01
10/21/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	30.58	0.00	30.58	90.0	0.49
11/21/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	34.63	0.00	34.63	90.0	0.55
12/19/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	33.14	0.00	33.14	90.0	0.53
02/22/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.58	0.00	2.58	90.0	0.04
02/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.75	0.00	1.75	90.0	0.03
03/17/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.41	0.00	2.41	90.0	0.04
03/17/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.63	0.00	1.63	90.0	0.03
04/21/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.56	0.00	2.56	90.0	0.04
04/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.73	0.00	1.73	90.0	0.03
05/19/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.49	0.00	2.49	90.0	0.04
05/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.68	0.00	1.68	90.0	0.03
06/30/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.59	0.00	2.59	90.0	0.04
06/30/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.75	0.00	1.75	90.0	0.03
07/18/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.53	0.00	2.53	90.0	0.04
07/18/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.71	0.00	1.71	90.0	0.03
08/24/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.62	0.00	2.62	90.0	0.04
08/24/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.77	0.00	1.77	90.0	0.03
09/22/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.61	0.00	2.61	90.0	0.04
09/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.77	0.00	1.77	90.0	0.03
10/21/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.52	0.00	2.52	90.0	0.04

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.70	0.00	1.70	90.0	0.03
11/21/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.60	0.00	2.60	90.0	0.04
11/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.76	0.00	1.76	90.0	0.03
12/19/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.52	0.00	2.52	90.0	0.04
12/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.71	0.00	1.71	90.0	0.03
02/14/2018	SIEMANOWSKI, JOHN	ORBOTECH LTD ORD SHS ISIN#IL0010823	-25,063.25	30.00	22.75	7.25	90.0	0.12
02/22/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	203.80	0.00	203.80	90.0	3.26
03/18/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	187.19	0.00	187.19	90.0	3.00
04/20/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	210.46	0.00	210.46	90.0	3.37
05/24/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	208.12	0.00	208.12	90.0	3.33
06/16/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	214.96	0.00	214.96	90.0	3.44
07/19/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	209.20	0.00	209.20	90.0	3.35
08/18/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	220.59	0.00	220.59	90.0	3.53
09/22/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	224.13	0.00	224.13	90.0	3.59
10/20/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	216.56	0.00	216.56	90.0	3.46
11/25/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	223.23	0.00	223.23	90.0	3.57
12/21/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	215.37	0.00	215.37	90.0	3.45
01/29/2018	MEDIA ENTERPRISES	PAC LIFE INNOVATIVE SELECT	0.00	158.43	0.00	158.43	90.0	2.53
02/05/2018	HAMMOND, HAROLD	PAC LIFE INNOVATIVE SELECT	0.00	82.79	0.00	82.79	90.0	1.32
04/21/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	1.89	0.00	1.89	90.0	0.03
05/26/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	1.89	0.00	1.89	90.0	0.03
06/23/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	1.95	0.00	1.95	90.0	0.03
07/26/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	1.91	0.00	1.91	90.0	0.03
08/19/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	2.03	0.00	2.03	90.0	0.03
09/20/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	2.06	0.00	2.06	90.0	0.03
10/25/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	1.99	0.00	1.99	90.0	0.03
11/23/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	2.06	0.00	2.06	90.0	0.03
12/23/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	2.04	0.00	2.04	90.0	0.03
11/23/2016	TRICHON, DONNA-LYNN	PUTNAM GROWTH OPP A	0.00	3.78	0.00	3.78	90.0	0.06
12/23/2016	TRICHON, DONNA-LYNN	PUTNAM GROWTH OPP A	0.00	10.33	0.00	10.33	90.0	0.17
02/22/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.13	0.00	2.13	90.0	0.03
03/22/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	1.93	0.00	1.93	90.0	0.03
04/21/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.20	0.00	2.20	90.0	0.04

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
05/26/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.19	0.00	2.19	90.0	0.04
06/23/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.26	0.00	2.26	90.0	0.04
07/26/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.21	0.00	2.21	90.0	0.04
08/19/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.35	0.00	2.35	90.0	0.04
09/20/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.42	0.00	2.42	90.0	0.04
10/25/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.34	0.00	2.34	90.0	0.04
11/23/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.41	0.00	2.41	90.0	0.04
12/23/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.35	0.00	2.35	90.0	0.04
02/22/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	9.61	0.00	9.61	90.0	0.15
03/22/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	8.62	0.00	8.62	90.0	0.14
04/21/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	9.90	0.00	9.90	90.0	0.16
05/26/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	9.89	0.00	9.89	90.0	0.16
06/23/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	10.07	0.00	10.07	90.0	0.16
07/26/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	9.77	0.00	9.77	90.0	0.16
08/19/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	10.36	0.00	10.36	90.0	0.17
09/20/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	10.70	0.00	10.70	90.0	0.17
10/25/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	10.35	0.00	10.35	90.0	0.17
11/23/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	6.93	0.00	6.93	90.0	0.11
02/12/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.04	0.00	11.04	90.0	0.18
02/12/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	15.08	0.00	15.08	90.0	0.24
02/12/2016	POLLAN, PATRICIA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	4.33	0.00	4.33	90.0	0.07
02/12/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	4.96	0.00	4.96	90.0	0.08
03/14/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	10.04	0.00	10.04	90.0	0.16
03/14/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	13.72	0.00	13.72	90.0	0.22
03/14/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	4.51	0.00	4.51	90.0	0.07
04/18/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.20	0.00	11.20	90.0	0.18
04/18/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	15.30	0.00	15.30	90.0	0.24
04/18/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.03	0.00	5.03	90.0	0.08
05/16/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.12	0.00	11.12	90.0	0.18
05/16/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	15.19	0.00	15.19	90.0	0.24
05/16/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.00	0.00	5.00	90.0	0.08
06/16/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.64	0.00	11.64	90.0	0.19
06/16/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	15.89	0.00	15.89	90.0	0.25

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
06/16/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.23	0.00	5.23	90.0	0.08
07/18/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.40	0.00	11.40	90.0	0.18
07/18/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	15.57	0.00	15.57	90.0	0.25
07/18/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.12	0.00	5.12	90.0	0.08
08/15/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	12.27	0.00	12.27	90.0	0.20
08/15/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	16.75	0.00	16.75	90.0	0.27
08/15/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.51	0.00	5.51	90.0	0.09
09/15/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	12.54	0.00	12.54	90.0	0.20
09/15/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	17.12	0.00	17.12	90.0	0.27
09/15/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.63	0.00	5.63	90.0	0.09
10/17/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	12.17	0.00	12.17	90.0	0.19
10/17/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	16.62	0.00	16.62	90.0	0.27
10/17/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.47	0.00	5.47	90.0	0.09
11/17/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	12.51	0.00	12.51	90.0	0.20
11/17/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	17.09	0.00	17.09	90.0	0.27
11/17/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.62	0.00	5.62	90.0	0.09
12/14/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.96	0.00	11.96	90.0	0.19
12/14/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	16.33	0.00	16.33	90.0	0.26
12/14/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.37	0.00	5.37	90.0	0.09
02/14/2018	SIEMANOWSKI, JOHN	ROBERT HALF INTL INC	-22,424.24	30.00	22.60	7.40	90.0	0.12
02/16/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.13	0.00	11.13	90.0	0.18
03/16/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	10.20	0.00	10.20	90.0	0.16
04/15/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.31	0.00	11.31	90.0	0.18
05/13/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.01	0.00	11.01	90.0	0.18
06/14/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.27	0.00	11.27	90.0	0.18
07/14/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	10.78	0.00	10.78	90.0	0.17
08/15/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.38	0.00	11.38	90.0	0.18
09/14/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.05	0.00	11.05	90.0	0.18
10/18/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	10.49	0.00	10.49	90.0	0.17
11/15/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.13	0.00	11.13	90.0	0.18
12/16/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	10.73	0.00	10.73	90.0	0.17
04/15/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	37.57	0.00	37.57	90.0	0.60
05/13/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	36.47	0.00	36.47	90.0	0.58

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
06/14/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	37.28	0.00	37.28	90.0	0.60
07/14/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	35.57	0.00	35.57	90.0	0.57
08/15/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	37.49	0.00	37.49	90.0	0.60
09/14/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	37.28	0.00	37.28	90.0	0.60
10/18/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	35.77	0.00	35.77	90.0	0.57
11/15/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	37.88	0.00	37.88	90.0	0.61
12/16/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	36.44	0.00	36.44	90.0	0.58
02/16/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.22	0.00	1.22	90.0	0.02
03/16/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.10	0.00	1.10	90.0	0.02
04/15/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.28	0.00	1.28	90.0	0.02
05/13/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.27	0.00	1.27	90.0	0.02
06/14/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.29	0.00	1.29	90.0	0.02
07/14/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.25	0.00	1.25	90.0	0.02
08/15/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.30	0.00	1.30	90.0	0.02
09/14/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.35	0.00	1.35	90.0	0.02
10/18/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.33	0.00	1.33	90.0	0.02
11/15/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.37	0.00	1.37	90.0	0.02
12/16/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.33	0.00	1.33	90.0	0.02
02/16/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.18	0.00	9.18	90.0	0.15
03/16/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	8.26	0.00	8.26	90.0	0.13
04/15/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.53	0.00	9.53	90.0	0.15
05/13/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.49	0.00	9.49	90.0	0.15
06/14/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.70	0.00	9.70	90.0	0.16
07/14/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.39	0.00	9.39	90.0	0.15
08/15/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.83	0.00	9.83	90.0	0.16
09/14/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.86	0.00	9.86	90.0	0.16
10/18/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.53	0.00	9.53	90.0	0.15
11/15/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	10.01	0.00	10.01	90.0	0.16
12/16/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.79	0.00	9.79	90.0	0.16
09/21/2016	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	0.55	0.00	0.55	90.0	0.01
10/28/2016	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	1.21	0.00	1.21	90.0	0.02
11/21/2016	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	1.21	0.00	1.21	90.0	0.02
12/30/2016	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	1.22	0.00	1.22	90.0	0.02

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
01/24/2018	GALERMAN, ALAN	TRANSAMERICA LIBERTY	128,577.64	107.15	0.00	107.15	90.0	1.71
03/01/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.35	0.00	0.35	90.0	0.01
04/01/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.32	0.00	0.32	90.0	0.01
04/25/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.36	0.00	0.36	90.0	0.01
06/29/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.37	0.00	0.37	90.0	0.01
06/30/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.36	0.00	0.36	90.0	0.01
08/01/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.36	0.00	0.36	90.0	0.01
08/30/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.38	0.00	0.38	90.0	0.01
09/30/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.39	0.00	0.39	90.0	0.01
10/25/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.37	0.00	0.37	90.0	0.01
11/30/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.38	0.00	0.38	90.0	0.01
12/29/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.37	0.00	0.37	90.0	0.01
02/18/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.47	0.00	3.47	90.0	0.06
03/16/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.23	0.00	3.23	90.0	0.05
04/22/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.79	0.00	3.79	90.0	0.06
05/13/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.85	0.00	3.85	90.0	0.06
06/13/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.92	0.00	3.92	90.0	0.06
07/14/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.85	0.00	3.85	90.0	0.06
08/19/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	4.13	0.00	4.13	90.0	0.07
09/16/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	4.27	0.00	4.27	90.0	0.07
10/17/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	4.19	0.00	4.19	90.0	0.07
11/29/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	4.37	0.00	4.37	90.0	0.07
12/15/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	4.25	0.00	4.25	90.0	0.07
02/12/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	6.47	0.00	6.47	90.0	0.10
02/12/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	0.42	0.00	0.42	90.0	0.01
03/16/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	5.77	0.00	5.77	90.0	0.09
04/15/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	6.59	0.00	6.59	90.0	0.11
05/16/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	6.69	0.00	6.69	90.0	0.11
06/14/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.02	0.00	7.02	90.0	0.11
07/18/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	6.91	0.00	6.91	90.0	0.11
08/15/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.44	0.00	7.44	90.0	0.12
09/15/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.52	0.00	7.52	90.0	0.12
10/12/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.23	0.00	7.23	90.0	0.12

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
11/16/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.43	0.00	7.43	90.0	0.12
12/14/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.15	0.00	7.15	90.0	0.11
02/12/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	18.01	0.00	18.01	90.0	0.29
02/12/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	9.52	0.00	9.52	90.0	0.15
03/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	16.86	0.00	16.86	90.0	0.27
03/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	8.89	0.00	8.89	90.0	0.14
04/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	18.86	0.00	18.86	90.0	0.30
04/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	9.92	0.00	9.92	90.0	0.16
05/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	18.51	0.00	18.51	90.0	0.30
05/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	9.72	0.00	9.72	90.0	0.16
06/14/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	19.23	0.00	19.23	90.0	0.31
06/14/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.08	0.00	10.08	90.0	0.16
07/18/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	18.81	0.00	18.81	90.0	0.30
07/18/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	9.84	0.00	9.84	90.0	0.16
08/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	19.99	0.00	19.99	90.0	0.32
08/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.43	0.00	10.43	90.0	0.17
09/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	20.35	0.00	20.35	90.0	0.33
09/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.60	0.00	10.60	90.0	0.17
10/12/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	19.71	0.00	19.71	90.0	0.32
10/12/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.25	0.00	10.25	90.0	0.16
11/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	20.55	0.00	20.55	90.0	0.33
11/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.65	0.00	10.65	90.0	0.17
12/14/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	19.71	0.00	19.71	90.0	0.32
12/14/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.20	0.00	10.20	90.0	0.16
02/12/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	12.76	0.00	12.76	90.0	0.20
03/16/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	12.02	0.00	12.02	90.0	0.19
04/15/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	13.78	0.00	13.78	90.0	0.22
05/16/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	13.68	0.00	13.68	90.0	0.22
06/14/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	14.20	0.00	14.20	90.0	0.23
07/18/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	14.11	0.00	14.11	90.0	0.23
08/15/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	15.12	0.00	15.12	90.0	0.24
09/15/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	15.48	0.00	15.48	90.0	0.25
10/12/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	14.99	0.00	14.99	90.0	0.24

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
11/16/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	15.57	0.00	15.57	90.0	0.25
12/14/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	15.17	0.00	15.17	90.0	0.24
* MARC, L134 LINSKY SUBTOTAL *			\$111,039.94	\$28,091.87	\$421.10	\$27,670.77		\$443.29
*** OVERRIDE TRANSACTIONS TOTAL ***			\$111,039.94	\$28,091.87	\$421.10	\$27,670.77		\$443.29
<u> ADJUSTMENTS </u>								
02/28/2018		*FEDEX: 6765-1252-7 2/14/18	0.00					-17.97
02/28/2018		*MISC: C FULMER, A LEEDS	0.00					-540.00
02/28/2018		*MISC: OVERNIGHT FEE 02/15/18	0.00					-40.00
02/28/2018		*MISC: ROY AFLAC 1031DST	0.00					-1,126.00
02/28/2018		*PERSHING: PERSHING MARKUP	0.00					4.50
02/28/2018		*PERSHING: PERSHING MARKUP	0.00					27.60
02/28/2018		*SPLIT PAYOUT/OVERRIDE: BRANCH OVER	0.00					-688.14
02/28/2018		*SPLIT PAYOUT/OVERRIDE: OVERRIDES A	0.00					449.72
02/28/2018		*SPLIT PAYOUT/OVERRIDE: OVERRIDES A	0.00					29.58
02/28/2018		*SPLIT PAYOUT/OVERRIDE: OVERRIDES A	0.00					6.29
02/28/2018		*TECHNOLOGY: SEPUP FEE - WEATHERBIE	0.00					-125.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-2,019.42

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BROKER COMMISSION TOTALS

Broker Transactions	\$552.38
Split Transactions	\$64,537.96
Override Transactions	\$443.29
Adjustments	\$-2,019.42
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$63,514.21
Year-to-date Gross	\$114,349.52
Year-to-date Earnings	\$110,406.41