



# COMMISSION STATEMENT

June 25, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
06/05/2018	***-**-953I - DINITTO, NICOLE	AMERICAN GLOBAL BALANCED CL C	175.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: 00088593891	BUY 5 Units @32.4500						
06/18/2018	***-**-801I - HAGAN III,	AMERICAN GLOBAL BALANCED CL C	160.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: 00088485981	BUY 5 Units @32.1700						
06/04/2018	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION C	6.73	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 03222207458	BUY 0 Units @0.0000						
06/05/2018	***-**-953I - DINITTO, NICOLE	CAPITAL WORLD GROWTH AND INCOME FUN	175.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: 00088593891	BUY 3 Units @51.7500						
06/01/2018	***-**-8027 - MAXWELL, COLLEEN	CASH RESERVES C	330.25	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: 07621429626	BUY 0 Units @0.0000						
06/20/2018	***-**-361J - ALOISIO,	EATON VANCE FLOATING RATE ADVANTAGE	2,000.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSR010886	SELL 183 Units @10.9100						
06/20/2018	***-**-361J - ALOISIO,	EATON VANCE FLOATING RATE ADVANTAGE	4,400.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSR010886	SELL 403 Units @10.9100						
06/04/2018	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. C	10.10	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 08370450780	BUY 0 Units @0.0000						
06/11/2018	***-**-58IN - CADY, GAIL	EQUITY INCOME FUND, INC. C	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 08370389048	BUY 0 Units @0.0000						
06/13/2018	***-**-0457 - STAGLIANO, GINA	EQUITY INCOME FUND, INC. C	5.44	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 08370450769	BUY 0 Units @0.0000						
06/13/2018	***-**-7473 - SCOTELLARO,	EQUITY INCOME FUND, INC. C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 08370720038	BUY 0 Units @0.0000						
06/15/2018	***-**-5485 - GAETANO,	EUROPACIFIC GROWTH FUND-A	33.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 00082975488	BUY 1 Units @57.7700						
06/11/2018	***-**-788I - ALBARRAN, CARLOS	FUNDAMENTAL INVESTORS-C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00085186008	BUY 2 Units @64.1400						
06/04/2018	***-**-11IN - MOYLAN, TIMOTHY	GLOBAL OPPORTUNITIES FUND C	6.73	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02171646359	BUY 0 Units @0.0000						
06/11/2018	***-**-58IN - CADY, GAIL	GLOBAL OPPORTUNITIES FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02171604031	BUY 0 Units @0.0000						
06/13/2018	***-**-0457 - STAGLIANO, GINA	GLOBAL OPPORTUNITIES FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02171646348	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
06/19/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT INTL DIVIDEND INC CL C BUY 958 Units @7.3100	7,000.00	19.99	6.00	13.99	88.0	12.31
06/19/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT SHORT DURATION INCOME C SELL 1663 Units @4.2100	7,000.00	0.00	6.00	-6.00	100.0	-6.00
06/15/2018	***-**-497I - MARTIN, KATHLEEN ACCOUNT #: 05520998470	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
06/11/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100011925	OPPENHEIMER CUSIP 68385X208 BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
06/11/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 07872241470	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
06/13/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 07871984301	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
06/11/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100064439	OPPENHEIMER EMERG MKTS LOCAL DEBT F BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
06/11/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100025895	OPPENHEIMER GLBL HIGH YIELD FUND C BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
06/13/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 00100018140	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
06/04/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03322653882	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	3.37	0.03	0.00	0.03	88.0	0.03
06/13/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 03322653871	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
06/11/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 06890080641	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
06/04/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 01970849123	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	13.46	0.13	0.00	0.13	88.0	0.11
06/11/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 01970799227	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
06/13/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 01970849112	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	8.14	0.08	0.00	0.08	88.0	0.07
06/13/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 01971001154	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
06/04/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	13.46	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
06/11/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER RISING DIVIDENDS FUND C	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 02270806520	BUY 0 Units @0.0000						
06/13/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER RISING DIVIDENDS FUND C	8.14	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 02270899492	BUY 0 Units @0.0000						
06/15/2018	***-**-497I - MARTIN, KATHLEEN	PORT SERIES: CONS INV C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 05420240427	BUY 0 Units @0.0000						
06/04/2018	***-**-522I - RIEBEN, HENRY	PUTNAM CAPITAL SPECTRUM FUND CL C	18.73	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 00551360517	BUY 1 Units @30.7200						
06/04/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL C	18.74	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 00551360517	BUY 1 Units @35.8800						
06/04/2018	***-**-522I - RIEBEN, HENRY	PUTNAM GLOBAL UTILITIES CL C	18.73	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 00551360517	BUY 1 Units @13.0900						
06/11/2018	***-**-58IN - CADY, GAIL	QUEST BALANCED FUND C	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 02592245914	BUY 0 Units @0.0000						
06/04/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	6.73	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
06/11/2018	***-**-58IN - CADY, GAIL	QUEST INTERNATIONAL VALUE FUND, INC	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02560282953	BUY 0 Units @0.0000						
06/04/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	6.73	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
06/11/2018	***-**-58IN - CADY, GAIL	REAL ESTATE FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 05920265584	BUY 0 Units @0.0000						
06/11/2018	***-**-29IN - THIBAUT, THIBAUT	REAL ESTATE FUND C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 05920285846	BUY 0 Units @0.0000						
06/13/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 05920286880	BUY 0 Units @0.0000						
06/20/2018	***-**-22IN - GRACIE, JULIA	RESOURCE CREDIT INCOME FUND C	22,500.00	243.00	18.00	225.00	88.0	198.00
	ACCOUNT #: LSR011019	BUY 1975 Units @11.3900						
06/20/2018	***-**-510I - PEREZ, STACEY	RESOURCE REAL ESTATE-NFS	15,000.00	168.00	18.00	150.00	88.0	132.00
	ACCOUNT #: LSR011827	BUY 1434 Units @10.4600						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
06/13/2018	***-**-0457 - STAGLIANO, GINA	SENIOR FLOATING RATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02931758372	BUY 0 Units @0.0000						
06/11/2018	***-**-58IN - CADY, GAIL	SMALL- & MID- CAP VALUE FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02531131966	BUY 0 Units @0.0000						
06/13/2018	***-**-0457 - STAGLIANO, GINA	SMALL- & MID- CAP VALUE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02531164735	BUY 0 Units @0.0000						
06/15/2018	***-**-5485 - GAETANO,	SMALLCAP WORLD FUND-A	33.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 00082975488	BUY 1 Units @63.1500						
06/13/2018	***-**-7473 - SCOTELLARO,	STRATEGIC INCOME FUND C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 02322945965	BUY 0 Units @0.0000						
06/15/2018	***-**-5485 - GAETANO,	THE GROWTH FUND OF AMERICA-A	34.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 00082975488	BUY 1 Units @57.8900						
06/08/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	350.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: 00087147439	BUY 15 Units @23.8200						
06/08/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	350.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: 00087147439	BUY 15 Units @23.8200						
06/08/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	98.08	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: 00087147439	BUY 4 Units @23.8200						
06/08/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	98.08	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: 00087147439	BUY 4 Units @23.8200						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$60,649.16</b>	<b>\$468.19</b>	<b>\$48.00</b>	<b>\$420.19</b>		<b>\$369.01</b>
<b>PRODUCT CATEGORY: STOCKS</b>								
06/18/2018	***-**-94IN - PERRITANO, MR	ALPHABET INC CAP STK CL C	2,338.48	44.99	18.00	26.99	88.0	23.75
	ACCOUNT #: LSR011111	SELL 2 Units @1169.2400						
06/18/2018	***-**-94IN - PERRITANO, MR	ALPHABET INC CAP STK CL C	1,169.24	22.50	0.00	22.50	88.0	19.80
	ACCOUNT #: LSR011111	SELL 1 Units @1169.2400						
06/18/2018	***-**-94IN - PERRITANO, MR	APPLE INC UNSOLICITED ORDER	2,835.51	57.49	18.00	39.49	88.0	34.75
	ACCOUNT #: LSR011111	SELL 15 Units @189.0340						
06/21/2018	***-**-679I - MURSCH JR,	CARMAX INC SOLICITED ORDER	1,778.00	49.99	15.50	34.49	88.0	30.35
	ACCOUNT #: LSR010888	SELL 25 Units @71.1200						
06/19/2018	***-**-762I - STORSBERG,	COVANTA HLDG CORP COM	4,175.00	79.99	20.00	59.99	88.0	52.79
	ACCOUNT #: LSR011688	SELL 250 Units @16.7000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: STOCKS (continued)</b>								
06/21/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010864	COVANTA HLDG CORP COM SELL 300 Units @17.1500	5,145.00	97.49	21.00	76.49	88.0	67.31
06/19/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	CREE INC UNSOLICITED ORDER SELL 100 Units @47.8800	4,788.00	94.99	18.00	76.99	88.0	67.75
06/19/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	DENBURY RES INC DEL COM USD0.001 SELL 800 Units @4.0700	3,256.00	67.49	31.00	36.49	88.0	32.11
06/19/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	DENBURY RES INC DEL COM USD0.001 SELL 800 Units @4.0600	3,248.00	59.99	31.00	28.99	88.0	25.51
06/20/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	DENBURY RES INC DEL COM USD0.001 SELL 500 Units @4.3900	2,195.00	49.99	25.00	24.99	88.0	21.99
06/20/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	DENBURY RES INC DEL COM USD0.001 SELL 500 Units @4.2900	2,145.00	49.99	25.00	24.99	88.0	21.99
06/20/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	DENBURY RES INC DEL COM USD0.001 SELL 500 Units @4.3900	2,195.00	49.99	25.00	24.99	88.0	21.99
06/20/2018	***-**-510I - PEREZ, STACEY ACCOUNT #: LSR011827	DENBURY RES INC DEL COM USD0.001 SELL 1000 Units @4.3700	4,370.00	87.49	35.00	52.49	88.0	46.19
06/21/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	NATIONAL GRID SPON ADR EACH REP 5 O BUY 100 Units @54.9190	5,491.90	87.49	17.00	70.49	88.0	62.03
06/20/2018	***-**-86IO - STRUMPFLE, MARK ACCOUNT #: LSR012376	NORDIC AMERICAN TANKERS LIMITE COM SELL 1000 Units @2.6400	2,640.00	57.49	35.00	22.49	88.0	19.79
06/19/2018	***-**-034J - NIKODEM, JOSEPH ACCOUNT #: LSR010887	STEIN MART INC COM SELL 1500 Units @2.9000	4,350.00	97.49	18.00	79.49	88.0	69.95
<b>* STOCKS SUBTOTAL *</b>			<b>\$52,120.13</b>	<b>\$1,054.85</b>	<b>\$352.50</b>	<b>\$702.35</b>		<b>\$618.05</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>								
06/25/2018	***-**-2010 - GAUTHIER, SHEET ACCOUNT #: MM828693	MASS MUTUAL VA BUY 1 Units @0.0000	0.00	4.47	0.00	4.47	88.0	3.93
06/25/2018	***-**-80IN - GRIFFITH, DAVID ACCOUNT #: MM834388	MASS MUTUAL VA BUY 1 Units @0.0000	0.00	0.55	0.00	0.55	88.0	0.48
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$5.02</b>	<b>\$0.00</b>	<b>\$5.02</b>		<b>\$4.41</b>



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</b>								
06/19/2018	***-**-22IN - GRACIE, JULIA	CAPITAL PRODUCT PARTNERS L P COM SO	1,848.00	49.99	24.00	25.99	88.0	22.87
	ACCOUNT #: LSR011019	SELL 600 Units @3.0800						
		<b>* UNIT INVESTMENT TRUSTS SUBTOTAL *</b>	<b>\$1,848.00</b>	<b>\$49.99</b>	<b>\$24.00</b>	<b>\$25.99</b>		<b>\$22.87</b>
<b>PRODUCT CATEGORY: 529 PLAN</b>								
06/15/2018	***-**-804I - RIEBEN, ANNE	NYA JPM 529 AGGR AGE-BASE C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 77923466801	BUY 0 Units @0.0000						
06/15/2018	***-**-804I - RIEBEN, ANNE	NYA JPM 529 AGGR AGE-BASE C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 77923466802	BUY 0 Units @0.0000						
06/15/2018	***-**-93JT - WADSWORTH,	NYA JPM 529 ALL FIXED INCOME PO A	100.00	4.05	0.00	4.05	88.0	3.56
	ACCOUNT #: 77296639001	BUY 0 Units @0.0000						
06/15/2018	***-**-29IO - LORUSSO, VINCENT	NYA JPM 529 EQUITY INCOME PORTF C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77089153301	BUY 0 Units @0.0000						
06/15/2018	***-**-0862 - REDMOND, EILEEN	NYA JPM 529 EQUITY INCOME PORTF C	12.50	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 77172702502	BUY 0 Units @0.0000						
06/15/2018	***-**-225P - DAMSKY, CYNTHIA	NYA JPM 529 EQUITY INCOME PORTF C	50.00	0.50	0.00	0.50	88.0	0.44
		BUY 0 Units @0.0000						
06/15/2018	***-**-0862 - REDMOND, EILEEN	NYA JPM 529 MOD GROWTH POR C	12.50	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 77172702504	BUY 0 Units @0.0000						
06/15/2018	***-**-0862 - REDMOND, EILEEN	NYA JPM 529 MOD PORT C	12.50	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 77172702502	BUY 0 Units @0.0000						
06/15/2018	***-**-0862 - REDMOND, EILEEN	NYA JPM 529 MOD PORT C	12.50	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 77172702504	BUY 0 Units @0.0000						
		<b>* 529 PLAN SUBTOTAL *</b>	<b>\$300.00</b>	<b>\$6.07</b>	<b>\$0.00</b>	<b>\$6.07</b>		<b>\$5.32</b>
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
06/25/2018	***-**-656I - SMOLA, STANLEY	CAPITAL APPRECIATION C	0.00	10.29	0.00	10.29	88.0	9.06
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
06/25/2018	***-**-679I - MURSCH JR,	EQUITY INCOME FUND, INC. A	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
06/25/2018	***-**-077I - GAUTHIER, LOUIS	EQUITY INCOME FUND, INC. A	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

June 25, 2018

DAVID GRIFFITH  
2108 Genesee St.  
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BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
06/25/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.88	0.00	0.88	88.0	0.77
06/25/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.99	0.00	1.99	88.0	1.75
06/25/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
06/25/2018	***-**-718J - LOWE, GREGORY ACCOUNT #: LSR011914	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	88.0	1.06
06/25/2018	***-**-841O - HULL, ELMINA ACCOUNT #: LSR012377	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	3.78	0.00	3.78	88.0	3.33
06/25/2018	***-**-611N - GORCZYNSKI, ACCOUNT #: LSR010844	GLOBAL OPPORTUNITIES FUND C BUY 1 Units @0.0000	0.00	54.82	0.00	54.82	88.0	48.24
06/25/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.05	0.00	0.05	88.0	0.04
06/25/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	88.0	0.81
06/25/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
06/25/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.16	0.00	1.16	88.0	1.02
06/25/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	2.17	0.00	2.17	88.0	1.91
06/25/2018	***-**-319I - HILLEBRAND, JOAN ACCOUNT #: LSR011002	INTERNATIONAL DIVERSIFIED FUND B BUY 1 Units @0.0000	0.00	4.24	0.00	4.24	88.0	3.73
06/25/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	INTERNATIONAL GROWTH FUND A BUY 1 Units @0.0000	0.00	2.14	0.00	2.14	88.0	1.88
06/25/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	INTERNATIONAL GROWTH FUND C BUY 1 Units @0.0000	0.00	10.06	0.00	10.06	88.0	8.85
06/25/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT ALPHA STRATEGY CL C BUY 1 Units @0.0000	0.00	5.04	0.00	5.04	88.0	4.44
06/25/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT FNDAMNTL EQUITY FD CL C BUY 1 Units @0.0000	0.00	4.18	0.00	4.18	88.0	3.68



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
06/25/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT GROWTH LEADERS FUND CL BUY 1 Units @0.0000	0.00	3.33	0.00	3.33	88.0	2.93
06/25/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT GROWTH OPPORTUNITIES CL BUY 1 Units @0.0000	0.00	4.56	0.00	4.56	88.0	4.01
06/25/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT INTL DIVIDEND INC CL C BUY 1 Units @0.0000	0.00	5.37	0.00	5.37	88.0	4.73
06/25/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT MULTI ASSET BALANCED OP BUY 1 Units @0.0000	0.00	4.28	0.00	4.28	88.0	3.77
06/25/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT MULTI ASSET GLOBAL OPP BUY 1 Units @0.0000	0.00	5.97	0.00	5.97	88.0	5.25
06/25/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	4.44	0.00	4.44	88.0	3.91
06/25/2018	***-**-61IN - FILEY, JOHN ACCOUNT #: LSR011723	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	3.73	0.00	3.73	88.0	3.28
06/25/2018	***-**-03TR - BOSHART, PEGGY ACCOUNT #: LSR011743	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	9.30	0.00	9.30	88.0	8.18
06/25/2018	***-**-03IN - BOSHART, PEGGY ACCOUNT #: LSR011744	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	4.65	0.00	4.65	88.0	4.09
06/25/2018	***-**-03IR - BOSHART, PEGGY ACCOUNT #: LSR011749	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	3.10	0.00	3.10	88.0	2.73
06/25/2018	***-**-599I - MCCARTHY, DONNA ACCOUNT #: LSR011894	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	6.00	0.00	6.00	88.0	5.28
06/25/2018	***-**-99IN - MCCARTHY, DONNA ACCOUNT #: LSR011895	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	7.00	0.00	7.00	88.0	6.16
06/25/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT VALUE OPPORTUNITY FD CL BUY 1 Units @0.0000	0.00	6.93	0.00	6.93	88.0	6.10
06/25/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	MUTUAL SHRS FND - CL C BUY 1 Units @0.0000	0.00	2.15	0.00	2.15	88.0	1.89
06/25/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	OPP PORT SERIES: ACTIVE ALLOC A BUY 1 Units @0.0000	0.00	2.50	0.00	2.50	88.0	2.20
06/25/2018	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	13.89	0.00	13.89	88.0	12.22





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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
06/25/2018	***-**-656I - SMOLA, STANLEY	OPPENHEIMER GBL REAL ESTATE FUND C	0.00	3.48	0.00	3.48	88.0	3.06
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
06/25/2018	***-**-679I - MURSCH JR,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
06/25/2018	***-**-61IN - GORCZYNSKI,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	42.73	0.00	42.73	88.0	37.60
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
06/25/2018	***-**-679I - MURSCH JR,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
06/25/2018	***-**-621I - DANIELS SR, JOHN	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	4.19	0.00	4.19	88.0	3.69
	ACCOUNT #: LSR010950	BUY 1 Units @0.0000						
06/25/2018	***-**-05IN - HULL, JEFFERY	PRINCIPAL INVESTORS HIGH YIELD CL	0.00	6.17	0.00	6.17	88.0	5.43
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
06/25/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM 1	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
06/25/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM 1	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
06/25/2018	***-**-231J - MISHLANIE JR,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	2.36	0.00	2.36	88.0	2.08
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
06/25/2018	***-**-91IR - DAMSKY, MELISSA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: LSR010928	BUY 1 Units @0.0000						
06/25/2018	***-**-869I - CASEY, JOHN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.16	0.00	1.16	88.0	1.02
	ACCOUNT #: LSR011323	BUY 1 Units @0.0000						
06/25/2018	***-**-973I - CHAMBERS, ROGER	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	11.72	0.00	11.72	88.0	10.31
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
06/25/2018	***-**-621O - DANIELS, JOHN	PUTNAM DIVERSIFIED INCOME-B	0.00	2.65	0.00	2.65	88.0	2.33
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
06/25/2018	***-**-841O - HULL, ELMINA	PUTNAM DIVERSIFIED INCOME-B	0.00	5.67	0.00	5.67	88.0	4.99
	ACCOUNT #: LSR012377	BUY 1 Units @0.0000						
06/25/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
06/25/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM EQUITY INCOME FUND-B	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
06/25/2018	***-**-6210 - DANIELS, JOHN	PUTNAM EQUITY INCOME FUND-B	0.00	4.73	0.00	4.73	88.0	4.16
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
06/25/2018	***-**-753I - SABANOSH, ALAN	PUTNAM EUROPE EQUITY CLASS C	0.00	17.03	0.00	17.03	88.0	14.99
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
06/25/2018	***-**-53TR - SABANOSH, ALAN R	PUTNAM EUROPE EQUITY CLASS C	0.00	11.84	0.00	11.84	88.0	10.42
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
06/25/2018	***-**-467J - PICKARD, BRIAN	PUTNAM EUROPE EQUITY CLASS C	0.00	9.13	0.00	9.13	88.0	8.03
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
06/25/2018	***-**-231J - MISHLANIE JR,	PUTNAM EUROPE EQUITY FUND-B	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
06/25/2018	***-**-29IO - LORUSSO, VINCENT	PUTNAM EUROPE EQUITY FUND-B	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
06/25/2018	***-**-6210 - DANIELS, JOHN	PUTNAM EUROPE EQUITY FUND-B	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
06/25/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM FLOATING RATE INCOME CL B	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
06/25/2018	***-**-34IN - SHEFFER, EUGENE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.69	0.00	1.69	88.0	1.49
	ACCOUNT #: LSR011000	BUY 1 Units @0.0000						
06/25/2018	***-**-73IN - SCOTELLARO IV,	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR011086	BUY 1 Units @0.0000						
06/25/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
06/25/2018	***-**-41TR - DAMSKY, BARRY	PUTNAM GLOBAL NAT RESOURCES-B	0.00	2.44	0.00	2.44	88.0	2.15
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
06/25/2018	***-**-6210 - DANIELS, JOHN	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
06/25/2018	***-**-753I - SABANOSH, ALAN	PUTNAM GLOBAL UTILITIES CL C	0.00	5.43	0.00	5.43	88.0	4.78
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
06/25/2018	***-**-369I - DAVIS, BRUCE	PUTNAM INTERNATIONAL EQUITY-A	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
06/04/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	18.73	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 00551360517	BUY 1 Units @20.0800						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
06/25/2018	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	PUTNAM MID-CAP VALUE FUND-C BUY 1 Units @0.0000	0.00	51.27	0.00	51.27	88.0	45.12
06/25/2018	***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	2.82	0.00	2.82	88.0	2.48
06/25/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.56	0.00	1.56	88.0	1.37
06/25/2018	***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.87	0.00	0.87	88.0	0.77
06/25/2018	***-**-13IR - MURRAY, JOHN ACCOUNT #: LSR011459	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	88.0	0.81
06/25/2018	***-**-29IO - LORUSSO, VINCENT ACCOUNT #: LSR011681	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.88	0.00	1.88	88.0	1.65
06/25/2018	***-**-92IR - THIBAUT, MARY ACCOUNT #: LSR011833	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
06/25/2018	***-**-76IR - BOSHART-LOWE, ACCOUNT #: LSR011841	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.21	0.00	1.21	88.0	1.06
06/25/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	QUEST BALANCED A BUY 1 Units @0.0000	0.00	0.14	0.00	0.14	88.0	0.12
06/25/2018	***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927	QUEST BALANCED B BUY 1 Units @0.0000	0.00	3.29	0.00	3.29	88.0	2.90
06/25/2018	***-**-29IN - THIBAUT, ACCOUNT #: LSR011094	QUEST BALANCED FUND C BUY 1 Units @0.0000	0.00	10.22	0.00	10.22	88.0	8.99
06/25/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	QUEST INTERNATIONAL VALUE FUND, INC BUY 1 Units @0.0000	0.00	3.13	0.00	3.13	88.0	2.75
06/25/2018	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	QUEST INTERNATIONAL VALUE FUND, INC BUY 1 Units @0.0000	0.00	42.02	0.00	42.02	88.0	36.98
06/25/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: 20022581	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	18.29	0.00	18.29	88.0	16.10
06/25/2018	***-**-61IN - FILEY, JOHN	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	19.49	0.00	19.49	88.0	17.15
06/25/2018	***-**-42IN - JENKINS, DAVID ACCOUNT #: 20032579	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	8.84	0.00	8.84	88.0	7.78



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
06/25/2018	***-**-762I - STORSBERG, ACCOUNT #: 20032868	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	19.75	0.00	19.75	88.0	17.38
06/25/2018	***-**-76IN - BOSHART-LOWE, ACCOUNT #: 20033053	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	19.05	0.00	19.05	88.0	16.76
06/25/2018	***-**-60IN - SCHRADER, KEVIN ACCOUNT #: 20021808	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	13.96	0.00	13.96	88.0	12.28
06/25/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 20022106	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	10.48	0.00	10.48	88.0	9.22
06/25/2018	***-**-621I - DANIELS SR, JOHN ACCOUNT #: 20022107	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	18.07	0.00	18.07	88.0	15.90
06/25/2018	***-**-01IN - HAGAN III, ACCOUNT #: 20022138	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	18.07	0.00	18.07	88.0	15.90
06/25/2018	***-**-034J - NIKODEM, JOSEPH	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	22.84	0.00	22.84	88.0	20.10
06/25/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.22	0.00	0.22	88.0	0.19
06/25/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.16	0.00	2.16	88.0	1.90
06/25/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.52	0.00	1.52	88.0	1.34
06/25/2018	***-**-01IN - HAGAN III, ACCOUNT #: LSR011014	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.60	0.00	1.60	88.0	1.41
06/25/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.48	0.00	2.48	88.0	2.18
06/25/2018	***-**-05IN - HULL, JEFFERY ACCOUNT #: LSR011187	SENIOR FLOATING RATE FUND C BUY 1 Units @0.0000	0.00	8.66	0.00	8.66	88.0	7.62
06/25/2018	***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373	SMALL- & MID-CAP GROWTH FUND A BUY 1 Units @0.0000	0.00	2.58	0.00	2.58	88.0	2.27
06/25/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	TEMPLETON EMERGING MARKETS BALANCED BUY 1 Units @0.0000	0.00	8.16	0.00	8.16	88.0	7.18
06/25/2018	***-**-425I - PERRITANO, ACCOUNT #: LSR010922	TEMPLETON EMERGING MARKETS BALANCED BUY 1 Units @0.0000	0.00	12.59	0.00	12.59	88.0	11.08



# COMMISSION STATEMENT

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
06/25/2018	***-**-319I - HILLEBRAND, JOAN	TEMPLETON EMERGING MARKETS BALANCED	0.00	8.95	0.00	8.95	88.0	7.88
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
06/25/2018	***-**-973I - CHAMBERS, ROGER	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	6.01	0.00	6.01	88.0	5.29
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
06/25/2018	***-**-05IN - HULL, JEFFERY	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	4.40	0.00	4.40	88.0	3.87
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
06/25/2018	***-**-656I - SMOLA, STANLEY	VOYA GLOBAL REAL ESTATE CLASS C	0.00	5.35	0.00	5.35	88.0	4.71
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
	<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>		<b>\$18.73</b>	<b>\$696.98</b>	<b>\$0.00</b>	<b>\$696.98</b>		<b>\$613.33</b>
	<b>*** BROKER TRANSACTIONS TOTAL ***</b>		<b>\$114,936.02</b>	<b>\$2,281.10</b>	<b>\$424.50</b>	<b>\$1,856.60</b>		<b>\$1,632.99</b>

## OVERRIDE TRANSACTIONS

### BROKER: KURT GRUENEWALD

06/25/2018	***-**-702I - KOCHER, MICHAEL	37252M108	0.00	1.01	0.00	1.01	88.0	0.89
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
06/25/2018	***-**-680I - HARRELL, DARYL	37252M108	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
06/25/2018	***-**-22IO - CLINTON, STEPHEN	37252M108	0.00	1.73	0.00	1.73	88.0	1.52
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
06/25/2018	***-**-71IO - FAMOLARO, JAMES	AIM GLOBAL VALUE FUND - CLASS A	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
06/25/2018	***-**-306X - COBB, CHERYL	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
06/25/2018	***-**-580X - COBB, JAMES	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
06/25/2018	***-**-837O - BASEMENT	AIM GOLD & PRECIOUS METALS FD - A	0.00	1.98	0.00	1.98	88.0	1.74
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
06/15/2018	***-**-5375 - CARTER, LISA	AMERICAN BALANCED FUND-529C	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00083996363	BUY 11 Units @27.3200						
06/07/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	125.00	4.69	0.00	4.69	88.0	4.13
	ACCOUNT #: 00073288662	BUY 4 Units @28.7400						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/18/2018	***-**-555J - WHITTON, CHERYL ACCOUNT #: LSR012715	AMERICAN GLOBAL BALANCED CL C BUY 373 Units @32.1700	11,999.99	120.00	0.00	120.00	88.0	105.60
06/21/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	BERKSHIRE HATHAWAY INC DEL CL B NEW SELL 50 Units @188.2900	9,414.50	149.49	0.00	149.49	88.0	131.55
06/11/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
06/15/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 00083510637	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.2400	75.00	0.75	0.00	0.75	88.0	0.66
06/15/2018	***-**-2855 - KRECIDLO, MARTA ACCOUNT #: 00083510745	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.2400	75.00	0.75	0.00	0.75	88.0	0.66
06/15/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.2400	50.00	0.50	0.00	0.50	88.0	0.44
06/25/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	CLEARBRIDGE AGGRESSIVE GROWTH A BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
06/25/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	DEVELOPING MARKETS FUND B BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	88.0	1.36
06/25/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	DEVELOPING MARKETS FUND B BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	88.0	1.06
06/19/2018	***-**-555J - WHITTON, CHERYL ACCOUNT #: LSR012715	EATON VANCE FLOATING RATE ADVANTAGE BUY 687 Units @10.9100	7,500.00	75.00	0.00	75.00	88.0	66.00
06/11/2018	***-**-633J - ACCOUNT #: 08353229688	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
06/25/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
06/25/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.35	0.00	2.35	88.0	2.07
06/25/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.26	0.00	2.26	88.0	1.99
06/25/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.55	0.00	2.55	88.0	2.24
06/25/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.91	0.00	1.91	88.0	1.68



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-702I - KOCHER, MICHAEL	EQUITY INCOME FUND, INC. A	0.00	2.07	0.00	2.07	88.0	1.82
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
06/25/2018	***-**-959I - FRANZ, PAUL	EQUITY INCOME FUND, INC. A	0.00	2.29	0.00	2.29	88.0	2.02
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
06/25/2018	***-**-567I - FRANZ, ALICE	EQUITY INCOME FUND, INC. A	0.00	6.05	0.00	6.05	88.0	5.32
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
06/25/2018	***-**-960J - MASTRANGELO,	EQUITY INCOME FUND, INC. A	0.00	2.43	0.00	2.43	88.0	2.14
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
06/25/2018	***-**-366I - GRUENEWALD,	EQUITY INCOME FUND, INC. A	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - CAIN, TIMOTHY	EQUITY INCOME FUND, INC. A	0.00	2.59	0.00	2.59	88.0	2.28
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
06/25/2018	***-**-761I - EVANS, DOLORES	EQUITY INCOME FUND, INC. A	0.00	4.63	0.00	4.63	88.0	4.07
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
06/25/2018	***-**-944O - MAYO, DEBORAH	EQUITY INCOME FUND, INC. A	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
06/25/2018	***-**-306X - COBB, CHERRYL	EQUITY INCOME FUND, INC. A	0.00	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	EQUITY INCOME FUND, INC. A	0.00	1.73	0.00	1.73	88.0	1.52
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-861I - SANGER, LAWRENCE	EQUITY INCOME FUND, INC. A	0.00	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
06/25/2018	***-**-506J - CURRIERE JR, MR	EQUITY INCOME FUND, INC. A	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
06/25/2018	***-**-48IO - ANACKER, FBO MRS	EQUITY INCOME FUND, INC. A	0.00	1.70	0.00	1.70	88.0	1.50
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
06/25/2018	***-**-653I - KOCHER, CLINTON	EQUITY INCOME FUND, INC. A	0.00	3.16	0.00	3.16	88.0	2.78
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
06/25/2018	***-**-680I - HARRELL, DARYL	EQUITY INCOME FUND, INC. A	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
06/25/2018	***-**-64IO - PFAFF, GEORGE	EQUITY INCOME FUND, INC. B	0.00	2.14	0.00	2.14	88.0	1.88
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	1.53	0.00	1.53	88.0	1.35
06/04/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
06/25/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	EQUITY INCOME FUND, INC. C BUY 1 Units @0.0000	0.00	14.01	0.00	14.01	88.0	12.33
06/25/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	EQUITY INCOME FUND, INC. C BUY 1 Units @0.0000	0.00	6.32	0.00	6.32	88.0	5.56
06/25/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	EQUITY INCOME FUND, INC. C BUY 1 Units @0.0000	0.00	13.94	0.00	13.94	88.0	12.27
06/25/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	EQUITY INCOME FUND, INC. C BUY 1 Units @0.0000	0.00	3.83	0.00	3.83	88.0	3.37
06/25/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	EQUITY INCOME FUND, INC. C BUY 1 Units @0.0000	0.00	1.64	0.00	1.64	88.0	1.44
06/25/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000	0.00	0.77	0.00	0.77	88.0	0.68
06/25/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000	0.00	1.18	0.00	1.18	88.0	1.04
06/25/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	FIDELITY ADV EQUITY INCOME CL A BUY 1 Units @0.0000	0.00	2.14	0.00	2.14	88.0	1.88
06/25/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV INDUSTRIALS-CL C BUY 1 Units @0.0000	0.00	14.57	0.00	14.57	88.0	12.82
06/25/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV SMALL CAP CL C BUY 1 Units @0.0000	0.00	5.15	0.00	5.15	88.0	4.53
06/25/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV STOCK SELECTOR ALL CAP BUY 1 Units @0.0000	0.00	5.01	0.00	5.01	88.0	4.41
06/25/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR EQUITY INCOME CL C BUY 1 Units @0.0000	0.00	20.26	0.00	20.26	88.0	17.83
06/25/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR INT'L DISCOVERY CL BUY 1 Units @0.0000	0.00	16.34	0.00	16.34	88.0	14.38
06/25/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR INTERMEDIATE BOND BUY 1 Units @0.0000	0.00	8.28	0.00	8.28	88.0	7.29





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
06/25/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	FIDELITY ADVISOR MORTGAGE SECS CL A BUY 1 Units @0.0000	0.00	2.10	0.00	2.10	88.0	1.85
06/25/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	FIDELITY ADVISOR MORTGAGE SECS CL A BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
06/25/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR MORTGAGE SECS CL C BUY 1 Units @0.0000	0.00	5.71	0.00	5.71	88.0	5.02
06/25/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	FRANKLIN BIOTECH DISCOVERY FUND CL BUY 1 Units @0.0000	0.00	7.63	0.00	7.63	88.0	6.71
06/25/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	FRANKLIN CONVERTIBLE SECURITIES CLA BUY 1 Units @0.0000	0.00	9.65	0.00	9.65	88.0	8.49
06/25/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	FRANKLIN GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	2.18	0.00	2.18	88.0	1.92
06/25/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
06/25/2018	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
06/25/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	5.73	0.00	5.73	88.0	5.04
06/25/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	7.34	0.00	7.34	88.0	6.46
06/25/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	9.78	0.00	9.78	88.0	8.61
06/25/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	8.97	0.00	8.97	88.0	7.89
06/25/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	7.01	0.00	7.01	88.0	6.17
06/25/2018	***-**-531J - WILLIAMSON, ACCOUNT #: LSR011716	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	2.72	0.00	2.72	88.0	2.39
06/25/2018	***-**-00IN - FRANZ, JEAN ACCOUNT #: LSR011796	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	39.43	0.00	39.43	88.0	34.70
06/25/2018	***-**-366O - GRUENEWALD, ACCOUNT #: LSR010987	FRANKLIN NEW YORK TAX-FREE INCOME F BUY 1 Units @0.0000	0.00	0.08	0.00	0.08	88.0	0.07



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-065I - LAZIO, THOMAS	FRK GROWTH OPPORTUNITIES CL C	0.00	2.25	0.00	2.25	88.0	1.98
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
06/25/2018	***-**-45IO - JOHNSON, GREGORY	FRK GROWTH OPPORTUNITIES CL C	0.00	3.44	0.00	3.44	88.0	3.03
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
06/25/2018	***-**-065I - LAZIO, THOMAS	FRNKLN BALANCE SHEET INVTMNT FND -	0.00	8.28	0.00	8.28	88.0	7.29
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
06/15/2018	***-**-680I - HARRELL, DARYL	FUNDAMENTAL INVESTORS-C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00083996385	BUY 1 Units @63.3600						
06/18/2018	***-**-555J - WHITTON, CHERYL	FUNDAMENTAL INVESTORS-C	7,999.98	80.00	0.00	80.00	88.0	70.40
	ACCOUNT #: LSR012715	BUY 127 Units @63.1900						
06/25/2018	***-**-128I - BASHANT, THOMAS	GLOBAL FUND A	0.00	2.25	0.00	2.25	88.0	1.98
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
06/11/2018	***-**-65CL - GRUENEWALD, K,	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 02171825219	BUY 0 Units @0.0000						
06/18/2018	***-**-555J - WHITTON, CHERYL	GLOBAL OPPORTUNITIES FUND C	10,000.02	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012715	BUY 154 Units @65.0700						
06/25/2018	***-**-094I - KATRENA L	GLOBAL OPPORTUNITIES FUND C	0.00	16.75	0.00	16.75	88.0	14.74
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
06/25/2018	***-**-254I - AUGUSTINE, LINDA	GOLD & SPECIAL MINERALS A	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
06/25/2018	***-**-881I - EBERLEY, SUSAN	GOLD & SPECIAL MINERALS A	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
06/25/2018	***-**-949I - ACEE, JOSPEH	GOLD & SPECIAL MINERALS A	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
06/25/2018	***-**-930I - SANGER, KEVIN	GOLD & SPECIAL MINERALS A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
06/25/2018	***-**-15IN - PENDRAK, JOHN	GOLD & SPECIAL MINERALS A	0.00	2.19	0.00	2.19	88.0	1.93
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-702J - KOCHEM, MICHAEL	GOLD & SPECIAL MINERALS A	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: LSR010955	BUY 1 Units @0.0000						
06/25/2018	***-**-959I - FRANZ, PAUL	GOLD & SPECIAL MINERALS A	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	88.0	0.16
06/25/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
06/25/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
06/25/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.55	0.00	0.55	88.0	0.48
06/25/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
06/25/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
06/25/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
06/25/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	88.0	1.23
06/25/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
06/25/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	88.0	0.35
06/25/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
06/25/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
06/26/2018	***-**-13IN - RHYMESTINE,	GWG L BOND - 7 YR BUY 15 Units @1000.0000	15,000.00	900.00	0.00	900.00	88.0	792.00
05/22/2018	***-**-0851 - LALLIER, JAMES	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	88.0	440.00
05/22/2018	***-**-0851 - LALLIER, JAMES	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	88.0	519.20
06/26/2018	***-**-13IN - RHYMESTINE,	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	88.0	519.20



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
06/25/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41
06/25/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
06/25/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	2.56	0.00	2.56	88.0	2.25
06/25/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
06/25/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	1.76	0.00	1.76	88.0	1.55
06/20/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	INTEL CORP SOLICITED ORDER SELL 200 Units @53.2500	10,650.00	106.50	0.00	106.50	88.0	93.72
06/25/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	INTERNATIONAL BOND A BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
06/25/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	INTERNATIONAL BOND A BUY 1 Units @0.0000	0.00	2.52	0.00	2.52	88.0	2.22
06/25/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	INTERNATIONAL BOND A BUY 1 Units @0.0000	0.00	3.42	0.00	3.42	88.0	3.01
06/25/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	INTERNATIONAL SMALL COMPANY A BUY 1 Units @0.0000	0.00	1.56	0.00	1.56	88.0	1.37
06/25/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	INTERNATIONAL SMALL COMPANY A BUY 1 Units @0.0000	0.00	1.49	0.00	1.49	88.0	1.31
06/25/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	INTERNATIONAL SMALL COMPANY A BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
06/25/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	INTERNATIONAL SMALL COMPANY FUND B BUY 1 Units @0.0000	0.00	1.00	0.00	1.00	88.0	0.88
06/25/2018	***-**-711O - FAMOLARO, JAMES ACCOUNT #: LSR011279	INVESCO VAN KAMPEN COMSTOCK CLASS A BUY 1 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
06/25/2018	***-**-711O - FAMOLARO, JAMES ACCOUNT #: LSR011279	INVESCO VAN KAMPEN EQUITY AND INCOM BUY 1 Units @0.0000	0.00	0.42	0.00	0.42	88.0	0.37



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
06/19/2018	***-**-555J - WHITTON, CHERYL ACCOUNT #: LSR012715	LORD ABBETT SHORT DURATION INCOME C BUY 2375 Units @4.2100	10,000.00	100.00	0.00	100.00	88.0	88.00
06/25/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	19.04	0.00	19.04	88.0	16.76
06/25/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	9.69	0.00	9.69	88.0	8.53
06/25/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	12.83	0.00	12.83	88.0	11.29
06/25/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	24.30	0.00	24.30	88.0	21.38
06/25/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	1.90	0.00	1.90	88.0	1.67
06/25/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	12.78	0.00	12.78	88.0	11.25
06/25/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	9.51	0.00	9.51	88.0	8.37
06/25/2018	***-**-531J - WILLIAMSON, ACCOUNT #: LSR011716	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	7.44	0.00	7.44	88.0	6.55
06/19/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	LOXO ONCOLOGY INC SELL 50 Units @179.9500	8,997.50	91.97	0.00	91.97	88.0	80.93
06/25/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MAIN STREET FUND C BUY 1 Units @0.0000	0.00	7.58	0.00	7.58	88.0	6.67
06/25/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	MAIN STREET FUND C BUY 1 Units @0.0000	0.00	5.00	0.00	5.00	88.0	4.40
06/15/2018	***-**-188I - BRADLEY, WAYNE ACCOUNT #: LSR012484	MFS DIVERSIFIED INCOME FD CL C BUY 822 Units @12.1700	10,000.00	100.00	0.00	100.00	88.0	88.00
06/18/2018	***-**-555J - WHITTON, CHERYL ACCOUNT #: LSR012715	MFS TECHNOLOGY CLASS C BUY 193 Units @38.7800	7,500.01	75.00	0.00	75.00	88.0	66.00
06/19/2018	***-**-555J - WHITTON, CHERYL ACCOUNT #: LSR012715	MFS UTILITIES FUND-C BUY 351 Units @19.9700	7,000.00	70.00	0.00	70.00	88.0	61.60
06/25/2018	***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995	MUTUAL GLOBAL DISCOVERY FUND - CLAS BUY 1 Units @0.0000	0.00	1.57	0.00	1.57	88.0	1.38



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/20/2018	***-**-930J - SANGER, KEVIN ACCOUNT #: LSR010940	NATIONAL GRID SPON ADR EACH REP 5 O BUY 200 Units @55.3100	11,062.00	65.99	0.00	65.99	88.0	58.07
06/15/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	NEW WORLD FUND-C BUY 1 Units @64.4700	50.00	0.50	0.00	0.50	88.0	0.44
06/15/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NYA JPM 529 AGGR PORTI C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
06/15/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NYA JPM 529 MOD GROWTH POR C BUY 0 Units @0.0000	200.00	2.00	0.00	2.00	88.0	1.76
06/15/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732402	NYA JPM 529 MOD GROWTH POR C BUY 0 Units @0.0000	200.00	2.00	0.00	2.00	88.0	1.76
06/11/2018	***-**-633J - ACCOUNT #: 05502871176	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
06/25/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	OPP PORT SERIES: ACTIVE ALLOC A BUY 1 Units @0.0000	0.00	1.62	0.00	1.62	88.0	1.43
06/04/2018	***-**-13IN - BLISS, PATRICK ACCOUNT #: 05521022681	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	75.00	0.75	0.00	0.75	88.0	0.66
06/04/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 05521043603	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
06/11/2018	***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	90.98	0.91	0.00	0.91	88.0	0.80
06/25/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	7.68	0.00	7.68	88.0	6.76
06/25/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	15.12	0.00	15.12	88.0	13.31
06/25/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	16.92	0.00	16.92	88.0	14.89
06/25/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	14.68	0.00	14.68	88.0	12.92
06/25/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	10.39	0.00	10.39	88.0	9.14
06/25/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER DEV MARKETS FD CLASS C BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	1.63	0.00	1.63	88.0	1.43
06/25/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	1.31	0.00	1.31	88.0	1.15
06/25/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
06/25/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	2.41	0.00	2.41	88.0	2.12
06/25/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
06/25/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.88	0.00	0.88	88.0	0.77
06/25/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
06/25/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	2.17	0.00	2.17	88.0	1.91
06/25/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.87	0.00	0.87	88.0	0.77
06/04/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715	OPPENHEIMER GBL REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
06/25/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	OPPENHEIMER GBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	5.37	0.00	5.37	88.0	4.73
06/25/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	5.25	0.00	5.25	88.0	4.62
06/25/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	3.83	0.00	3.83	88.0	3.37
06/25/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	3.97	0.00	3.97	88.0	3.49
06/25/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.20	0.00	5.20	88.0	4.58
06/25/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
06/25/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.29	0.00	2.29	88.0	2.02
06/25/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.54	0.00	5.54	88.0	4.88
06/25/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.38	0.00	2.38	88.0	2.09
06/25/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	7.33	0.00	7.33	88.0	6.45
06/25/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.40	0.00	2.40	88.0	2.11
06/25/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	6.88	0.00	6.88	88.0	6.05
06/25/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.61	0.00	5.61	88.0	4.94
06/25/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	1.52	0.00	1.52	88.0	1.34
06/04/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
06/11/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
06/25/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000	0.00	3.26	0.00	3.26	88.0	2.87
06/25/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER INTERNATIONAL SMALL COM BUY 1 Units @0.0000	0.00	2.54	0.00	2.54	88.0	2.24
06/25/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
06/25/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	3.18	0.00	3.18	88.0	2.80
06/25/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000	0.00	1.92	0.00	1.92	88.0	1.69
06/25/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	27.65	0.00	27.65	88.0	24.33





# COMMISSION STATEMENT

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DAVID GRIFFITH  
2108 Genesee St.  
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BROKER #: A76  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
06/25/2018	***-**-0310 - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.79	0.00	5.79	88.0	5.10
06/25/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	8.95	0.00	8.95	88.0	7.88
06/25/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.80	0.00	7.80	88.0	6.86
06/25/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.13	0.00	5.13	88.0	4.51
06/25/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.68	0.00	7.68	88.0	6.76
06/25/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	88.0	1.45
06/25/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	OPPENHEIMER ROCHEST AMT-FREE NY MUN BUY 1 Units @0.0000	0.00	7.34	0.00	7.34	88.0	6.46
06/11/2018	***-**-633J - ACCOUNT #: 02514987422	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
06/25/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.52	0.00	1.52	88.0	1.34
06/25/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.42	0.00	0.42	88.0	0.37
06/25/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
06/25/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.75	0.00	1.75	88.0	1.54
06/25/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	2.38	0.00	2.38	88.0	2.09
06/25/2018	***-**-9440 - MAYO, DEBORAH ACCOUNT #: LSR011035	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
06/25/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.05	0.00	1.05	88.0	0.92
06/25/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	88.0	0.91



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	2.25	0.00	2.25	88.0	1.98
06/25/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
06/25/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
06/25/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMER STEELPATH MLP ALPHA PLU BUY 1 Units @0.0000	0.00	1.02	0.00	1.02	88.0	0.90
06/25/2018	***-**-837O - BASEMENT ACCOUNT #: LSR011046	OPPENHEIMERSTEELPATH MLP INCOME CL BUY 1 Units @0.0000	0.00	2.78	0.00	2.78	88.0	2.45
06/25/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMERSTEELPATH MLP SELECT 40 BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54
06/25/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	17.51	0.00	17.51	88.0	15.41
06/25/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	22.78	0.00	22.78	88.0	20.05
06/25/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	6.03	0.00	6.03	88.0	5.31
06/25/2018	***-**-73UT - COBB, CHRSTIAN ACCOUNT #: LSR011104	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.62	0.00	4.62	88.0	4.07
06/25/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.62	0.00	4.62	88.0	4.07
06/25/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	9.97	0.00	9.97	88.0	8.77
06/25/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	12.47	0.00	12.47	88.0	10.97
06/25/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: LSR011244	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.16	0.00	4.16	88.0	3.66
06/25/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	13.32	0.00	13.32	88.0	11.72
06/25/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PORT SERIES: EQUITY INV FD B BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
06/25/2018	***-**-254I - AUGUSTINE, LINDA	PORTFOLIO SERIES: CONS INV A	0.00	1.52	0.00	1.52	88.0	1.34
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
06/25/2018	***-**-15IN - PENDRAK, JOHN	PORTFOLIO SERIES: CONS INV A	0.00	2.46	0.00	2.46	88.0	2.16
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-959I - FRANZ, PAUL	PORTFOLIO SERIES: CONS INV A	0.00	2.10	0.00	2.10	88.0	1.85
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
06/25/2018	***-**-567I - FRANZ, ALICE	PORTFOLIO SERIES: CONS INV A	0.00	3.22	0.00	3.22	88.0	2.83
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - CAIN, TIMOTHY	PORTFOLIO SERIES: CONS INV A	0.00	2.08	0.00	2.08	88.0	1.83
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
06/25/2018	***-**-761I - EVANS, DOLORES	PORTFOLIO SERIES: CONS INV A	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
06/25/2018	***-**-944O - MAYO, DEBORAH	PORTFOLIO SERIES: CONS INV A	0.00	1.74	0.00	1.74	88.0	1.53
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
06/25/2018	***-**-861I - SANGER, LAWRENCE	PORTFOLIO SERIES: CONS INV A	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
06/25/2018	***-**-13IN - RHYMESTINE,	PORTFOLIO SERIES: CONS INV A	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
06/25/2018	***-**-02IN - BUSHEY, MELISSA	PORTFOLIO SERIES: CONS INV A	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
06/25/2018	***-**-62IN - EATON, DAVID	PORTFOLIO SERIES: CONS INV A	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
06/25/2018	***-**-664J - PFAFF, GEORGE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	4.39	0.00	4.39	88.0	3.86
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
06/25/2018	***-**-96IN - NESSIA, BONNIE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.44	0.00	1.44	88.0	1.27
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
06/25/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM UTILITIES GROWTH AND INCOME	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM 746792100	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
06/25/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	2.39	0.00	2.39	88.0	2.10
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-169I - EVANS, PAUL	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
06/25/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
06/25/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
06/25/2018	***-**-51IN - GERACE, JOANNE	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
06/25/2018	***-**-235I - AUGUSTINE III,	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	4.40	0.00	4.40	88.0	3.87
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
06/25/2018	***-**-382I - SATTERLY, NEIL	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	14.81	0.00	14.81	88.0	13.03
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
06/25/2018	***-**-48IO - CLARK, PATRICK	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.47	0.00	9.47	88.0	8.33
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
06/25/2018	***-**-72IN - GAVALO, JULIE	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.40	0.00	9.40	88.0	8.27
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
06/25/2018	***-**-065I - LAZIO, THOMAS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	7.34	0.00	7.34	88.0	6.46
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
06/25/2018	***-**-09IO - BATES, FBO MRS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.21	0.00	9.21	88.0	8.10
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
06/25/2018	***-**-11IO - LYNN G.	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	13.94	0.00	13.94	88.0	12.27
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
06/25/2018	***-**-80IO - EVANS, RICHARD	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	7.81	0.00	7.81	88.0	6.87
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
06/25/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.33	0.00	9.33	88.0	8.21
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
06/25/2018	***-**-628I - SANGER, SANDRA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-9440 - MAYO, DEBORAH	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.81	0.00	1.81	88.0	1.59
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
06/25/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM ABSOLUTE RETURN 700-A	0.00	2.35	0.00	2.35	88.0	2.07
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
06/25/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
06/25/2018	***-**-653J - KOCHEM, CLINTON	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
06/25/2018	***-**-62IN - EATON, DAVID	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
06/25/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM ASSET ALLOC BALANCED-C	0.00	4.81	0.00	4.81	88.0	4.23
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
06/25/2018	***-**-930I - SANGER, KEVIN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
06/25/2018	***-**-366S - GRUENEWALD,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-73UT - COBB, CHRSTIAN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
06/25/2018	***-**-67UT - COBB,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-992J - CORNACCHIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
06/25/2018	***-**-66IO - RUDD, MICHAEL	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: LSR011268	BUY 1 Units @0.0000						
06/25/2018	***-**-21IO - RADELL, SANDRA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
06/25/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
06/25/2018	***-**-382I - SATTERLY, NEIL	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.29	0.00	7.29	88.0	6.42
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
06/25/2018	***-**-980I - ACEE, ELIZABETH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	11.59	0.00	11.59	88.0	10.20
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
06/25/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.77	0.00	7.77	88.0	6.84
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
06/25/2018	***-**-09IO - BATES, FBO MRS	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	16.60	0.00	16.60	88.0	14.61
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
06/25/2018	***-**-094I - KATRENA L	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	6.51	0.00	6.51	88.0	5.73
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
06/25/2018	***-**-11IO - LYNN G.	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	15.79	0.00	15.79	88.0	13.90
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
06/25/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	11.99	0.00	11.99	88.0	10.55
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
06/25/2018	***-**-235I - AUGUSTINE III,	PUTNAM COMP	0.00	5.75	0.00	5.75	88.0	5.06
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
06/25/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM COMP	0.00	4.92	0.00	4.92	88.0	4.33
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
06/25/2018	***-**-48IO - CLARK, PATRICK	PUTNAM COMP	0.00	7.89	0.00	7.89	88.0	6.94
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
06/25/2018	***-**-72IN - GAVALO, JULIE	PUTNAM COMP	0.00	6.80	0.00	6.80	88.0	5.98
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
06/25/2018	***-**-959J - FRANZ, PAUL	PUTNAM COMP	0.00	10.25	0.00	10.25	88.0	9.02
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-065I - LAZIO, THOMAS	PUTNAM COMP	0.00	5.84	0.00	5.84	88.0	5.14
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
06/25/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM COMP	0.00	5.21	0.00	5.21	88.0	4.58
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
06/25/2018	***-**-169I - EVANS, PAUL	PUTNAM COMP	0.00	4.18	0.00	4.18	88.0	3.68
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
06/25/2018	***-**-80IN - COBB, JAMES	PUTNAM COMP	0.00	7.55	0.00	7.55	88.0	6.64
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
06/25/2018	***-**-00IO - LEE, GARY	PUTNAM COMP	0.00	9.27	0.00	9.27	88.0	8.16
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
06/25/2018	***-**-09IO - BATES, FBO MRS	PUTNAM COMP	0.00	9.27	0.00	9.27	88.0	8.16
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
06/25/2018	***-**-89IN - LEE, ROGER	PUTNAM COMP	0.00	5.19	0.00	5.19	88.0	4.57
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
06/25/2018	***-**-094I - KATRENA L	PUTNAM COMP	0.00	7.26	0.00	7.26	88.0	6.39
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
06/25/2018	***-**-11IO - LYNN G.	PUTNAM COMP	0.00	9.59	0.00	9.59	88.0	8.44
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
06/25/2018	***-**-80IO - EVANS, RICHARD	PUTNAM COMP	0.00	4.74	0.00	4.74	88.0	4.17
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
06/25/2018	***-**-376I - BERBEN, GAIL	PUTNAM COMP	0.00	9.36	0.00	9.36	88.0	8.24
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
06/25/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM COMP	0.00	14.59	0.00	14.59	88.0	12.84
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
06/25/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM COMP	0.00	9.45	0.00	9.45	88.0	8.32
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
06/25/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM COMP	0.00	6.96	0.00	6.96	88.0	6.12
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
06/25/2018	***-**-86IN - LEE, KEVIN	PUTNAM COMP	0.00	7.88	0.00	7.88	88.0	6.93
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - SCALISE, MARY	PUTNAM COMP	0.00	3.96	0.00	3.96	88.0	3.48
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
06/25/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	2.31	0.00	2.31	88.0	2.03
06/25/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
06/25/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	3.00	0.00	3.00	88.0	2.64
06/25/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
06/25/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.64	0.00	1.64	88.0	1.44
06/25/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	88.0	0.99
06/25/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	88.0	0.94
06/25/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	88.0	1.06
06/25/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.42	0.00	1.42	88.0	1.25
06/25/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	88.0	0.63
06/25/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	2.22	0.00	2.22	88.0	1.95
06/25/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	PUTNAM CONVERTIBLE SECURITIES CL C BUY 1 Units @0.0000	0.00	14.20	0.00	14.20	88.0	12.50
06/25/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM CONVERTIBLE SECURITIES CL C BUY 1 Units @0.0000	0.00	17.84	0.00	17.84	88.0	15.70
06/25/2018	***-**-132O - EVANS, THOMAS ACCOUNT #: LSR011074	PUTNAM DIVERSIFIED INCOME CLASS C BUY 1 Units @0.0000	0.00	7.50	0.00	7.50	88.0	6.60
06/25/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM DIVERSIFIED INCOME CLASS C BUY 1 Units @0.0000	0.00	14.82	0.00	14.82	88.0	13.04
06/25/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.29	0.00	2.29	88.0	2.02





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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
06/25/2018	***-**-949I - ACEE, JOSPEH	PUTNAM DIVERSIFIED INCOME-B	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM DIVERSIFIED INCOME-B	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
06/25/2018	***-**-702I - KOCHER, MICHAEL	PUTNAM DIVERSIFIED INCOME-B	0.00	1.92	0.00	1.92	88.0	1.69
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
06/25/2018	***-**-960J - MASTRANGELO,	PUTNAM DIVERSIFIED INCOME-B	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM DIVERSIFIED INCOME-B	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
06/25/2018	***-**-761I - EVANS, DOLORES	PUTNAM DIVERSIFIED INCOME-B	0.00	11.19	0.00	11.19	88.0	9.85
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
06/25/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM DIVERSIFIED INCOME-B	0.00	2.59	0.00	2.59	88.0	2.28
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	PUTNAM DIVERSIFIED INCOME-B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM DIVERSIFIED INCOME-B	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - WILLIAMSON, FBO	PUTNAM DIVERSIFIED INCOME-B	0.00	6.50	0.00	6.50	88.0	5.72
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
06/25/2018	***-**-680I - HARRELL, DARYL	PUTNAM DIVERSIFIED INCOME-B	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
06/25/2018	***-**-960J - MASTRANGELO,	PUTNAM EQUITY INCOME FUND-B	0.00	2.36	0.00	2.36	88.0	2.08
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
06/25/2018	***-**-664J - PFAFF, GEORGE	PUTNAM EQUITY INCOME FUND-B	0.00	2.56	0.00	2.56	88.0	2.25
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
06/25/2018	***-**-169I - EVANS, PAUL	PUTNAM EQUITY SPECTRUM FD CL B	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
06/25/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM EQUITY SPECTRUM FD CL C	0.00	11.54	0.00	11.54	88.0	10.16
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
06/25/2018	***-**-48IO - CLARK, PATRICK	PUTNAM EQUITY SPECTRUM FD CL C	0.00	24.62	0.00	24.62	88.0	21.67
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
06/25/2018	***-**-0310 - MCVOY, ROBERT	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.62	0.00	8.62	88.0	7.59
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
06/25/2018	***-**-72IN - GAVALO, JULIE	PUTNAM EQUITY SPECTRUM FD CL C	0.00	16.25	0.00	16.25	88.0	14.30
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
06/25/2018	***-**-959I - FRANZ, PAUL	PUTNAM EQUITY SPECTRUM FD CL C	0.00	10.02	0.00	10.02	88.0	8.82
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
06/25/2018	***-**-065I - LAZIO, THOMAS	PUTNAM EQUITY SPECTRUM FD CL C	0.00	6.61	0.00	6.61	88.0	5.82
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
06/25/2018	***-**-73TR - WESTCOTT IRRVOC	PUTNAM EQUITY SPECTRUM FD CL C	0.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
06/25/2018	***-**-80IN - COBB, JAMES	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.12	0.00	8.12	88.0	7.15
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
06/25/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.28	0.00	8.28	88.0	7.29
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
06/25/2018	***-**-09IO - BATES, FBO MRS	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.63	0.00	8.63	88.0	7.59
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
06/25/2018	***-**-89IN - LEE, ROGER	PUTNAM EQUITY SPECTRUM FD CL C	0.00	12.24	0.00	12.24	88.0	10.77
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
06/25/2018	***-**-473J - HUSTON,	PUTNAM EQUITY SPECTRUM FD CL C	0.00	9.31	0.00	9.31	88.0	8.19
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
06/25/2018	***-**-11IO - LYNN G.	PUTNAM EQUITY SPECTRUM FD CL C	0.00	10.54	0.00	10.54	88.0	9.28
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
06/25/2018	***-**-80IO - EVANS, RICHARD	PUTNAM EQUITY SPECTRUM FD CL C	0.00	9.04	0.00	9.04	88.0	7.96
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
06/25/2018	***-**-07IO - FAMOLARO, JAMES	PUTNAM EQUITY SPECTRUM FD CL C	0.00	5.60	0.00	5.60	88.0	4.93
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
06/25/2018	***-**-094I - KATRENA L	PUTNAM EUROPE EQUITY CLASS C	0.00	3.77	0.00	3.77	88.0	3.32
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
06/25/2018	***-**-094I - KATRENA L	PUTNAM EUROPE EQUITY FUND-A	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
06/25/2018	***-**-808J - GORMAN, RANDY	PUTNAM GLOBAL CONSUMER FD A	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	2.04	0.00	2.04	88.0	1.80
06/25/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
06/25/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	3.39	0.00	3.39	88.0	2.98
06/25/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.09	0.00	1.09	88.0	0.96
06/25/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
06/25/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	2.01	0.00	2.01	88.0	1.77
06/25/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	88.0	0.95
06/25/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.56	0.00	1.56	88.0	1.37
06/25/2018	***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.26	0.00	1.26	88.0	1.11
06/25/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
06/25/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.34	0.00	1.34	88.0	1.18
06/25/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.51	0.00	1.51	88.0	1.33
06/25/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	2.21	0.00	2.21	88.0	1.94
06/25/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.93	0.00	1.93	88.0	1.70
06/25/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	88.0	1.09
06/25/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-66IO - RUDD, MICHAEL ACCOUNT #: LSR011268	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	88.0	0.05
06/25/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	2.71	0.00	2.71	88.0	2.38
06/25/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.64	0.00	1.64	88.0	1.44
06/25/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
06/25/2018	***-**-12IR - GRUENEWALD, ACCOUNT #: LSR011614	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
06/25/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
06/25/2018	***-**-45IN - WILLIAMSON, ACCOUNT #: LSR011751	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
06/25/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	5.19	0.00	5.19	88.0	4.57
06/25/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	12.46	0.00	12.46	88.0	10.96
06/25/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	7.67	0.00	7.67	88.0	6.75
06/25/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	10.45	0.00	10.45	88.0	9.20
06/25/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	7.41	0.00	7.41	88.0	6.52
06/25/2018	***-**-51IO - SCALISE, MARY ACCOUNT #: LSR011837	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	4.07	0.00	4.07	88.0	3.58
06/25/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	PUTNAM GLOBAL HEALTH CARE FD-A BUY 1 Units @0.0000	0.00	1.43	0.00	1.43	88.0	1.26
06/25/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM GLOBAL HEALTH CARE FD-A BUY 1 Units @0.0000	0.00	1.00	0.00	1.00	88.0	0.88
06/25/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM GLOBAL NAT RESOURCES-A BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	88.0	1.09



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM GLOBAL NAT RESOURCES-A BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
06/25/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	88.0	0.84
06/25/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
06/25/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
06/25/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL SECTOR FUND CL A BUY 1 Units @0.0000	0.00	2.74	0.00	2.74	88.0	2.41
06/25/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL TECHNOLOGY CL B BUY 1 Units @0.0000	0.00	2.33	0.00	2.33	88.0	2.05
06/25/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM GLOBAL TECHNOLOGY CL B BUY 1 Units @0.0000	0.00	1.02	0.00	1.02	88.0	0.90
06/25/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL TELECOMMUNICATIONS B BUY 1 Units @0.0000	0.00	2.41	0.00	2.41	88.0	2.12
06/25/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM GLOBAL TELECOMMUNICATIONS B BUY 1 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
06/25/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM GLOBAL UTILITIES CL C BUY 1 Units @0.0000	0.00	5.49	0.00	5.49	88.0	4.83
06/25/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 1 Units @0.0000	0.00	0.08	0.00	0.08	88.0	0.07
06/25/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	9.62	0.00	9.62	88.0	8.47
06/25/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	9.85	0.00	9.85	88.0	8.67
06/25/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	10.00	0.00	10.00	88.0	8.80
06/25/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	6.81	0.00	6.81	88.0	5.99
06/25/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	8.70	0.00	8.70	88.0	7.66



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.41	0.00	9.41	88.0	8.28
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	2.55	0.00	2.55	88.0	2.24
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
06/25/2018	***-**-653I - KOCHER, CLINTON	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	3.05	0.00	3.05	88.0	2.68
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
06/25/2018	***-**-13IO - ROTH, KAREN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM HEALTH SCIENCES TR-B	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
06/25/2018	***-**-930I - SANGER, KEVIN	PUTNAM HEALTH SCIENCES TR-B	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
06/25/2018	***-**-567I - FRANZ, ALICE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.52	0.00	2.52	88.0	2.22
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
06/25/2018	***-**-960J - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
06/25/2018	***-**-761I - EVANS, DOLORES	PUTNAM HEALTH SCIENCES TR-B	0.00	2.08	0.00	2.08	88.0	1.83
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
06/25/2018	***-**-944O - MAYO, DEBORAH	PUTNAM HEALTH SCIENCES TR-B	0.00	1.73	0.00	1.73	88.0	1.52
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	PUTNAM HEALTH SCIENCES TR-B	0.00	2.27	0.00	2.27	88.0	2.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-326I - GRANDE, FBO MR	PUTNAM HEALTH SCIENCES TR-B	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
06/25/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM HEALTH SCIENCES TR-B	0.00	2.15	0.00	2.15	88.0	1.89
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
06/25/2018	***-**-664J - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.12	0.00	2.12	88.0	1.87
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
06/25/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
06/25/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM HEALTH SCIENCES TR-B	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.11	0.00	1.11	88.0	0.98
06/25/2018	***-**-480J - EVANS, RICHARD ACCOUNT #: LSR011274	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.06	0.00	1.06	88.0	0.93
06/25/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	3.10	0.00	3.10	88.0	2.73
06/25/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.80	0.00	1.80	88.0	1.58
06/25/2018	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.20	0.00	0.20	88.0	0.18
06/25/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.52	0.00	0.52	88.0	0.46
06/25/2018	***-**-13IO - ROTH, KAREN ACCOUNT #: LSR011484	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.46	0.00	1.46	88.0	1.28
06/25/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
06/25/2018	***-**-12IR - GRUENEWALD, ACCOUNT #: LSR011614	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
06/25/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	88.0	1.09
06/25/2018	***-**-45IN - WILLIAMSON, ACCOUNT #: LSR011751	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
06/25/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM INTL GROWTH & INC-A BUY 1 Units @0.0000	0.00	1.14	0.00	1.14	88.0	1.00
06/25/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	PUTNAM INVESTORS CLASS C BUY 1 Units @0.0000	0.00	4.54	0.00	4.54	88.0	4.00
06/25/2018	***-**-653J - KOCHER, CLINTON ACCOUNT #: LSR011298	PUTNAM INVESTORS CLASS C BUY 1 Units @0.0000	0.00	4.54	0.00	4.54	88.0	4.00
06/25/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM SMALL CAP VALUE FUND-A BUY 1 Units @0.0000	0.00	1.42	0.00	1.42	88.0	1.25
06/25/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM U.S. GOVT INCOME TR-A BUY 1 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM U.S. GOVT INCOME TR-B	0.00	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
06/25/2018	***-**-254I - AUGUSTINE, LINDA	PUTNAM UTILITIES GR & INC-B	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
06/25/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM UTILITIES GR & INC-B	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
06/25/2018	***-**-949I - ACEE, JOSPEH	PUTNAM UTILITIES GR & INC-B	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM UTILITIES GR & INC-B	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
06/25/2018	***-**-930I - SANGER, KEVIN	PUTNAM UTILITIES GR & INC-B	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
06/25/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM UTILITIES GR & INC-B	0.00	2.18	0.00	2.18	88.0	1.92
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-959I - FRANZ, PAUL	PUTNAM UTILITIES GR & INC-B	0.00	1.74	0.00	1.74	88.0	1.53
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
06/25/2018	***-**-960J - MASTRANGELO,	PUTNAM UTILITIES GR & INC-B	0.00	2.12	0.00	2.12	88.0	1.87
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM UTILITIES GR & INC-B	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
06/25/2018	***-**-761I - EVANS, DOLORES	PUTNAM UTILITIES GR & INC-B	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - WILLIAMSON, FBO	PUTNAM UTILITIES GR & INC-B	0.00	1.83	0.00	1.83	88.0	1.61
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
06/25/2018	***-**-714O - LINES, JUDITH	QUEST BALANCED FUND C	0.00	1.72	0.00	1.72	88.0	1.51
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
06/25/2018	***-**-680I - HARRELL, DARYL	QUEST INTERNATIONAL VALUE FUND, INC	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
06/25/2018	***-**-15IN - PENDRAK, JOHN	QUEST OPPORTUNITY VALUE A	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-254I - AUGUSTINE, LINDA	REAL ESTATE FUND A	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						





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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-881J - EBERLEY, SUSAN	REAL ESTATE FUND A	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
06/25/2018	***-**-949I - ACEE, JOSPEH	REAL ESTATE FUND A	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
06/25/2018	***-**-15IN - PENDRAK, JOHN	REAL ESTATE FUND A	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-702I - KOCHER, MICHAEL	REAL ESTATE FUND A	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
06/25/2018	***-**-567I - FRANZ, ALICE	REAL ESTATE FUND A	0.00	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - CAIN, TIMOTHY	REAL ESTATE FUND A	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
06/25/2018	***-**-761I - EVANS, DOLORES	REAL ESTATE FUND A	0.00	2.80	0.00	2.80	88.0	2.46
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
06/25/2018	***-**-944O - MAYO, DEBORAH	REAL ESTATE FUND A	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
06/25/2018	***-**-111J - NESSIA, JAMES	REAL ESTATE FUND A	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
06/25/2018	***-**-326I - GRANDE, FBO MR	REAL ESTATE FUND A	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
06/25/2018	***-**-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
06/25/2018	***-**-506J - CURRIERE JR, MR	REAL ESTATE FUND A	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
06/25/2018	***-**-367J - WAGNER, MRS LANT	REAL ESTATE FUND A	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
06/25/2018	***-**-48IO - ANACKER, FBO MRS	REAL ESTATE FUND A	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	0.00	1.57	0.00	1.57	88.0	1.38
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
06/25/2018	***-**-653I - KOCHER, CLINTON	REAL ESTATE FUND A	0.00	1.42	0.00	1.42	88.0	1.25
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

June 25, 2018

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Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-62IN - EATON, DAVID	REAL ESTATE FUND A	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
06/25/2018	***-**-664J - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
06/25/2018	***-**-64IO - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
06/25/2018	***-**-62IR - ROBBIANO, FBO	REAL ESTATE FUND B	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
06/25/2018	***-**-382I - SATTERLY, NEIL	REAL ESTATE FUND C	0.00	9.87	0.00	9.87	88.0	8.69
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
06/25/2018	***-**-48IO - CLARK, PATRICK	REAL ESTATE FUND C	0.00	7.34	0.00	7.34	88.0	6.46
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
06/25/2018	***-**-72IN - GAVALO, JULIE	REAL ESTATE FUND C	0.00	7.95	0.00	7.95	88.0	7.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
06/25/2018	***-**-065I - LAZIO, THOMAS	REAL ESTATE FUND C	0.00	5.88	0.00	5.88	88.0	5.17
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
06/25/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	7.77	0.00	7.77	88.0	6.84
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
06/25/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
06/25/2018	***-**-00IO - LEE, GARY	REAL ESTATE FUND C	0.00	9.48	0.00	9.48	88.0	8.34
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
06/25/2018	***-**-52IO - EUSEPI, SUSAN	REAL ESTATE FUND C	0.00	4.51	0.00	4.51	88.0	3.97
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
06/25/2018	***-**-11IO - LYNN G.	REAL ESTATE FUND C	0.00	12.34	0.00	12.34	88.0	10.86
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
06/25/2018	***-**-80IO - EVANS, RICHARD	REAL ESTATE FUND C	0.00	3.90	0.00	3.90	88.0	3.43
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
06/25/2018	***-**-45IO - JOHNSON, GREGORY	REAL ESTATE FUND C	0.00	6.68	0.00	6.68	88.0	5.88
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
06/25/2018	***-**-714O - LINES, JUDITH	REAL ESTATE FUND C	0.00	2.28	0.00	2.28	88.0	2.01
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/18/2018	***-**-555J - WHITTON, CHERYL	RESOURCE CREDIT INCOME FUND C	7,500.00	75.00	0.00	75.00	88.0	66.00
	ACCOUNT #: LSR012715	BUY 658 Units @11.4000						
06/25/2018	***-**-671I - EBERLEY, REID	RESOURCE REAL ESTATE TRAILS	0.00	13.71	0.00	13.71	88.0	12.06
	ACCOUNT #: 20021572	BUY 0 Units @0.0000						
06/25/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	9.33	0.00	9.33	88.0	8.21
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
06/25/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	0.53	0.00	0.53	88.0	0.47
		BUY 0 Units @0.0000						
06/25/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	1.69	0.00	1.69	88.0	1.49
		BUY 0 Units @0.0000						
06/25/2018	***-**-960J - MASTRANGELO,	RESOURCE REAL ESTATE TRAILS	0.00	16.93	0.00	16.93	88.0	14.90
	ACCOUNT #: 20002467	BUY 0 Units @0.0000						
06/25/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	25.31	0.00	25.31	88.0	22.27
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
06/25/2018	***-**-31IN - WARMUTH,	RESOURCE REAL ESTATE TRAILS	0.00	4.31	0.00	4.31	88.0	3.79
	ACCOUNT #: 20032739	BUY 0 Units @0.0000						
06/25/2018	***-**-531J - WILLIAMSON,	RESOURCE REAL ESTATE TRAILS	0.00	12.71	0.00	12.71	88.0	11.18
	ACCOUNT #: 20033096	BUY 0 Units @0.0000						
06/25/2018	***-**-65IN - LAZIO, THOMAS	RESOURCE REAL ESTATE TRAILS	0.00	18.07	0.00	18.07	88.0	15.90
	ACCOUNT #: 20010459	BUY 0 Units @0.0000						
06/20/2018	***-**-930J - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	15,000.00	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR010940	BUY 1434 Units @10.4600						
06/25/2018	***-**-287J - HINCKLEY,	RISING DIVIDENDS FUND A	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
06/25/2018	***-**-254I - AUGUSTINE, LINDA	RISING DIVIDENDS FUND A	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
06/25/2018	***-**-881I - EBERLEY, SUSAN	RISING DIVIDENDS FUND A	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
06/25/2018	***-**-702I - KOCHER, MICHAEL	RISING DIVIDENDS FUND A	0.00	2.37	0.00	2.37	88.0	2.09
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
06/25/2018	***-**-959I - FRANZ, PAUL	RISING DIVIDENDS FUND A	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19
06/25/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	8.92	0.00	8.92	88.0	7.85
06/25/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.15	0.00	1.15	88.0	1.01
06/25/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.13	0.00	2.13	88.0	1.87
06/25/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.39	0.00	2.39	88.0	2.10
06/25/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.68	0.00	2.68	88.0	2.36
06/25/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.00	0.00	2.00	88.0	1.76
06/25/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.77	0.00	1.77	88.0	1.56
06/25/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.16	0.00	1.16	88.0	1.02
06/25/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
06/25/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
06/25/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.26	0.00	1.26	88.0	1.11
06/25/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.09	0.00	1.09	88.0	0.96
06/25/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	1.28	0.00	1.28	88.0	1.13
06/25/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
06/25/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.38	0.00	0.38	88.0	0.33



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	ROCH. LIMITED TERM NEW YORK MUNICIP BUY 1 Units @0.0000	0.00	2.07	0.00	2.07	88.0	1.82
06/25/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	ROCHESTER NATIONAL MUNICIPALS A BUY 1 Units @0.0000	0.00	2.70	0.00	2.70	88.0	2.38
06/25/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	SENIOR FLOATING RATE FUND C BUY 1 Units @0.0000	0.00	3.46	0.00	3.46	88.0	3.04
06/25/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
06/25/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	4.77	0.00	4.77	88.0	4.20
06/25/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	1.84	0.00	1.84	88.0	1.62
06/25/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	STRATEGIC INCOME FUND C BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
06/25/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000	0.00	3.93	0.00	3.93	88.0	3.46
06/20/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	THE GROWTH FUND OF AMERICA-529C BUY 1 Units @51.1500	50.00	0.50	0.00	0.50	88.0	0.44
06/07/2018	***-**-480J - EVANS, RICHARD ACCOUNT #: 00073288662	THE GROWTH FUND OF AMERICA-A BUY 2 Units @56.8900	125.00	4.69	0.00	4.69	88.0	4.13
06/15/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	THE GROWTH FUND OF AMERICA-C BUY 1 Units @50.8300	50.00	0.50	0.00	0.50	88.0	0.44
06/25/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	VAN KAMPEN9 BUY 1 Units @0.0000	0.00	0.26	0.00	0.26	88.0	0.23
06/25/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	VOYA GLOBAL EQUITY DIVIDEND CLASS A BUY 1 Units @0.0000	0.00	1.86	0.00	1.86	88.0	1.64
06/25/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
06/25/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.09	0.00	0.09	88.0	0.08
06/25/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: KURT GRUENEWALD (continued)</u></b>								
06/25/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	VOYA REAL ESTATE CLASS C BUY 1 Units @0.0000	0.00	4.61	0.00	4.61	88.0	4.06
06/19/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	WALMART STORES INC UNSOLICITED ORDE SELL 54 Units @83.1850	4,491.99	71.41	0.00	71.41	88.0	62.84
* KURT GRUENEWALD SUBTOTAL *			<u>\$186,656.97</u>	<u>\$6,011.23</u>	<u>\$0.00</u>	<u>\$6,011.23</u>		<u>\$5,289.91</u>
*** OVERRIDE TRANSACTIONS TOTAL ***			<u>\$186,656.97</u>	<u>\$6,011.23</u>	<u>\$0.00</u>	<u>\$6,011.23</u>		<u>\$5,289.91</u>

## **BROKER COMMISSION TOTALS**

Broker Transactions	\$1,632.99
Split Transactions	\$0.00
Override Transactions	\$5,289.91
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$6,922.90
Year-to-date Earnings	\$132,045.69