



# COMMISSION STATEMENT

## July 16, 2018

ANDREW KALINOWSKI  
400 West Metro Park  
Rochester, NY 14623

BROKER #: 20  
BRANCH #01016 - 16 - CASPER

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>								
07/02/2018	***-**-435P - ANTINORE, EMILY	CAPITAL INCOME BUILDER-A	74.25	1.19	0.00	1.19	95.0	1.13
	ACCOUNT #: 00067185955	BUY 1 Units @60.8700						
07/16/2018	***-**-00IN - NIELSEN, JEFFREY	DELAWARE SMGA	150.00	6.00	0.00	6.00	95.0	5.70
	ACCOUNT #: 06000305476	BUY 0 Units @0.0000						
07/02/2018	***-**-6413 - KOZAK, LAUREN	THE GROWTH FUND OF AMERICA-A	50.00	2.13	0.00	2.13	95.0	2.02
	ACCOUNT #: 00086445258	BUY 1 Units @56.9300						
* MUTUAL FUNDS SUBTOTAL *			\$274.25	\$9.32	\$0.00	\$9.32		\$8.85
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
07/09/2018	***-**-60CL - KALINOWSKI,	LINCOLN 008148728	54.29	1.09	0.00	1.09	95.0	1.04
	ACCOUNT #: F1525479	BUY 0 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$54.29	\$1.09	\$0.00	\$1.09		\$1.04
<b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b>								
07/16/2018	***-**-1164 - ROMANO, MARY	BRIGHTHOUSE LIFE RENEWALS	16,438.40	6.16	0.00	6.16	95.0	5.85
		BUY 1 Units @16438.4000						
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$16,438.40	\$6.16	\$0.00	\$6.16		\$5.85
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
06/27/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 01429492687	BUY 2 Units @27.1200						
07/02/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 01438811646	BUY 2 Units @27.4300						
07/02/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 01429492661	BUY 2 Units @27.4300						
07/02/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	50.00	0.50	0.00	0.50	95.0	0.48
	ACCOUNT #: 00625264015	BUY 2 Units @27.4300						
07/16/2018	***-**-1377 - MARCHESE, PAUL	NEW YORK 529 TRAILS	0.00	10.76	0.00	10.76	95.0	10.22
	ACCOUNT #: 77056237301	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$200.00	\$12.76	\$0.00	\$12.76		\$12.14



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/01/2018	***-**-942I - LECHOWSKI, PIOTR	AIM CHARTER FUND - CLASS A	0.00	9.66	0.00	9.66	95.0	9.18
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
07/01/2018	***-**-022I - PERRY, JESSICA	AIM CHARTER FUND - CLASS C	0.00	0.33	0.00	0.33	95.0	0.31
	ACCOUNT #: 00777099026	BUY 0 Units @0.0000						
07/01/2018	***-**-498K - INDELICATO,	AIM CHARTER FUND - CLASS C	0.00	6.81	0.00	6.81	95.0	6.47
	ACCOUNT #: 00777153759	BUY 0 Units @0.0000						
07/01/2018	***-**-51SI - KEATING, DANIEL	AIM CHARTER FUND - CLASS C	0.00	0.44	0.00	0.44	95.0	0.42
	ACCOUNT #: 00777158146	BUY 0 Units @0.0000						
07/01/2018	***-**-67IR - GAISSER, DARCY	AIM CHARTER FUND - CLASS C	0.00	1.87	0.00	1.87	95.0	1.78
	ACCOUNT #: 01000021673	BUY 0 Units @0.0000						
07/01/2018	***-**-267I - GAISSER, DARCY	AIM CHARTER FUND - CLASS C	0.00	4.66	0.00	4.66	95.0	4.43
	ACCOUNT #: 01000021706	BUY 0 Units @0.0000						
07/01/2018	***-**-537J - GOLDBLATT,	AIM CHARTER FUND - CLASS C	0.00	3.34	0.00	3.34	95.0	3.17
	ACCOUNT #: 01000217759	BUY 0 Units @0.0000						
07/01/2018	***-**-959P - HENNEKEY,	AIM CHARTER FUND - CLASS C	0.00	11.07	0.00	11.07	95.0	10.52
	ACCOUNT #: 02500011737	BUY 0 Units @0.0000						
07/01/2018	***-**-52IR - WASSEM, HEATH	AIM CHARTER FUND - CLASS C	0.00	1.63	0.00	1.63	95.0	1.55
	ACCOUNT #: 03810631782	BUY 0 Units @0.0000						
07/01/2018	***-**-501I - MCMANUS, MAUREEN	AIM CHARTER FUND - CLASS C	0.00	0.28	0.00	0.28	95.0	0.27
	ACCOUNT #: 03870029810	BUY 0 Units @0.0000						
07/01/2018	***-**-537J - GOLDBLATT,	AIM DEVELOPING MARKETS FUND - CLASS	0.00	0.30	0.00	0.30	95.0	0.29
	ACCOUNT #: 01000217759	BUY 0 Units @0.0000						
07/01/2018	***-**-229I - WALKER, ADAM	AIM DEVELOPING MARKETS FUND - CLASS	0.00	2.59	0.00	2.59	95.0	2.46
	ACCOUNT #: 02500049319	BUY 0 Units @0.0000						
07/01/2018	***-**-1352 - BAKER, DIANE	AIM DEVELOPING MARKETS FUND - CLASS	0.00	29.13	0.00	29.13	95.0	27.67
	ACCOUNT #: 02500079035	BUY 0 Units @0.0000						
07/01/2018	***-**-942I - LECHOWSKI, PIOTR	AIM DIVERSIFIED DIVIDEND FUND - CL	0.00	0.46	0.00	0.46	95.0	0.44
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
07/01/2018	***-**-51SI - KEATING, DANIEL	AIM ENERGY FUND - CLASS C	0.00	0.29	0.00	0.29	95.0	0.28
	ACCOUNT #: 00777158146	BUY 0 Units @0.0000						
07/01/2018	***-**-51SI - KEATING, DANIEL	AIM EUROPEAN GROWTH FUND - CLASS C	0.00	12.19	0.00	12.19	95.0	11.58
	ACCOUNT #: 00777158146	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/01/2018	***-**-67IR - GAISSER, DARCY	AIM EUROPEAN SMALL COMPANY FUND - C	0.00	27.78	0.00	27.78	95.0	26.39
	ACCOUNT #: 01000021673	BUY 0 Units @0.0000						
07/01/2018	***-**-229I - WALKER, ADAM	AIM EUROPEAN SMALL COMPANY FUND - C	0.00	2.52	0.00	2.52	95.0	2.39
	ACCOUNT #: 02500049319	BUY 0 Units @0.0000						
07/01/2018	***-**-25IE - PRZEPIORA,	AIM GLOBAL AGGRESSIVE GROWTH FD -CL	0.00	0.64	0.00	0.64	95.0	0.61
	ACCOUNT #: 03911599169	BUY 0 Units @0.0000						
07/01/2018	***-**-60CL - KALINOWSKI,	AIM GLOBAL EQUITY FUND - CLASS A	0.00	8.49	0.00	8.49	95.0	8.07
	ACCOUNT #: 05053804836	BUY 0 Units @0.0000						
07/01/2018	***-**-51SI - KEATING, DANIEL	AIM GLOBAL HEALTH CARE FUND - CLASS	0.00	11.42	0.00	11.42	95.0	10.85
	ACCOUNT #: 00777158146	BUY 0 Units @0.0000						
07/01/2018	***-**-5498 - INDELICATO,	AIM GLOBAL HEALTH CARE FUND - CLASS	0.00	9.02	0.00	9.02	95.0	8.57
	ACCOUNT #: 00777159873	BUY 0 Units @0.0000						
07/01/2018	***-**-942I - LECHOWSKI, PIOTR	AIM GLOBAL HEALTH CARE FUND CLASS A	0.00	1.63	0.00	1.63	95.0	1.55
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
07/01/2018	***-**-8704 - LYNCH, TIMOHTY	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	2.03	0.00	2.03	95.0	1.93
	ACCOUNT #: 06700232960	BUY 0 Units @0.0000						
07/01/2018	***-**-695P - COLONEY, DANIEL	AIM INTERNATIONAL ALLOCATION FD-CL	0.00	4.97	0.00	4.97	95.0	4.72
	ACCOUNT #: 01000152049	BUY 0 Units @0.0000						
07/01/2018	***-**-165P - PRINCE, WILBUR	AIM INTERNATIONAL ALLOCATION FD-CL	0.00	0.72	0.00	0.72	95.0	0.68
	ACCOUNT #: 01000157109	BUY 0 Units @0.0000						
07/01/2018	***-**-022I - PERRY, JESSICA	AIM INTERNATIONAL ALLOCATION FD-CL	0.00	0.76	0.00	0.76	95.0	0.72
	ACCOUNT #: 00777099026	BUY 0 Units @0.0000						
07/01/2018	***-**-5498 - INDELICATO,	AIM INTERNATIONAL GROWTH FUND - CL	0.00	2.91	0.00	2.91	95.0	2.76
	ACCOUNT #: 00777159873	BUY 0 Units @0.0000						
07/01/2018	***-**-942I - LECHOWSKI, PIOTR	AIM MID-CAP EQUITY FUND CLASS A	0.00	8.80	0.00	8.80	95.0	8.36
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
07/01/2018	***-**-498K - INDELICATO,	AIM SELECT REAL ESTATE INCOME FD-CL	0.00	5.94	0.00	5.94	95.0	5.64
	ACCOUNT #: 00777153759	BUY 0 Units @0.0000						
07/01/2018	***-**-59IR - HENNEKEY,	AIM SMALL CAP EQUITY FUND - CLASS C	0.00	7.55	0.00	7.55	95.0	7.17
	ACCOUNT #: 02500013377	BUY 0 Units @0.0000						
07/01/2018	***-**-74IN - KETCHUM, STEVEN	AIM SMALL CAP EQUITY FUND - CLASS C	0.00	12.87	0.00	12.87	95.0	12.23
	ACCOUNT #: 03811119944	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/01/2018	***-**-942I - LECHOWSKI, PIOTR	AIM TECHNOLOGY FUND - CLASS A	0.00	1.05	0.00	1.05	95.0	1.00
	ACCOUNT #: 05056164907	BUY 0 Units @0.0000						
07/01/2018	***-**-161I - FANNING, MICHAEL	AIM TECHNOLOGY FUND - CLASS A	0.00	0.62	0.00	0.62	95.0	0.59
	ACCOUNT #: 07002253735	BUY 0 Units @0.0000						
07/01/2018	***-**-51SI - KEATING, DANIEL	AIM TECHNOLOGY FUND - CLASS C	0.00	16.49	0.00	16.49	95.0	15.67
	ACCOUNT #: 00777158146	BUY 0 Units @0.0000						
07/01/2018	***-**-959P - HENNEKEY,	AIM TECHNOLOGY FUND - CLASS C	0.00	22.70	0.00	22.70	95.0	21.57
	ACCOUNT #: 02500011737	BUY 0 Units @0.0000						
07/01/2018	***-**-400P - PIGNONE, LIDIA	AIM TECHNOLOGY FUND - CLASS C	0.00	5.39	0.00	5.39	95.0	5.12
	ACCOUNT #: 02500021797	BUY 0 Units @0.0000						
07/01/2018	***-**-52IR - WASSEM, HEATH	AIM TECHNOLOGY FUND - CLASS C	0.00	21.23	0.00	21.23	95.0	20.17
	ACCOUNT #: 03810631782	BUY 0 Units @0.0000						
07/01/2018	***-**-996I - MARTIN, MICHAEL	AIM TECHNOLOGY FUND - CLASS C	0.00	1.50	0.00	1.50	95.0	1.43
	ACCOUNT #: 03911370421	BUY 0 Units @0.0000						
07/01/2018	***-**-498K - INDELICATO,	AIM TRIMARK ENDEAVOR - CLASS C	0.00	6.91	0.00	6.91	95.0	6.56
	ACCOUNT #: 00777153759	BUY 0 Units @0.0000						
06/30/2018	***-**-8934 - BUCKWELL, JAMES	C-GLOBAL MULTI-ASSET GROWTH FUND	0.00	1.25	0.00	1.25	95.0	1.19
	ACCOUNT #: 00100013025	BUY 0 Units @0.0000						
06/30/2018	***-**-8934 - BUCKWELL, JAMES	C-INTERNATIONAL GROWTH AND INCOME F	0.00	1.21	0.00	1.21	95.0	1.15
	ACCOUNT #: 00100011034	BUY 0 Units @0.0000						
06/30/2018	***-**-5920 - SCHNECKENBURGER,	CAPITAL INCOME A	0.00	5.86	0.00	5.86	95.0	5.57
	ACCOUNT #: 03006210600	BUY 0 Units @0.0000						
06/30/2018	***-**-0588 - RUSSELL, JUDY	CAPITAL INCOME FUND C	0.00	9.33	0.00	9.33	95.0	8.86
	ACCOUNT #: 03020532070	BUY 0 Units @0.0000						
06/30/2018	***-**-8932 - KYTE, AGNES	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604582006	BUY 0 Units @0.0000						
06/30/2018	***-**-86CL - BOUQUIN, CLIENTS	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604582017	BUY 0 Units @0.0000						
06/30/2018	***-**-6682 - ROYSTON, EMMA	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604257616	BUY 0 Units @0.0000						
06/30/2018	***-**-6223 - PRESLEY, MICHAEL	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604259640	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
06/30/2018	***-**-0577 - CUOZZO, FRANK	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604352029	BUY 0 Units @0.0000						
06/30/2018	***-**-3942 - HIBBERT, LEONA	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604391013	BUY 0 Units @0.0000						
06/30/2018	***-**-5209 - STARKWEATHER,	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604399791	BUY 0 Units @0.0000						
06/30/2018	***-**-1722 - LANDIN, ROBERT	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604443582	BUY 0 Units @0.0000						
06/30/2018	***-**-2636 - COLES, DEBORAH	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604452701	BUY 0 Units @0.0000						
06/30/2018	***-**-1659 - BOUQUIN,	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604535124	BUY 0 Units @0.0000						
06/30/2018	***-**-6657 - THOMAS, ALEXIS	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604406820	BUY 0 Units @0.0000						
06/30/2018	***-**-6657 - THOMAS, ALEXIS	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604531142	BUY 0 Units @0.0000						
06/30/2018	***-**-9281 - RUSSELL, AMY	CASH RESERVES A	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07604486999	BUY 0 Units @0.0000						
06/30/2018	***-**-221N - SAUTTER, TERRIE	CASH RESERVES C	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07621412807	BUY 0 Units @0.0000						
06/30/2018	***-**-8156 - SALAMONE, FLOY	CASH RESERVES C	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07621314335	BUY 0 Units @0.0000						
06/30/2018	***-**-0588 - RUSSELL, JUDY	CASH RESERVES C	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07621330285	BUY 0 Units @0.0000						
06/30/2018	***-**-0577 - CUOZZO, FRANK	CASH RESERVES C	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07621412048	BUY 0 Units @0.0000						
06/30/2018	***-**-0656 - SALAMONE, MARY	CASH RESERVES C	0.00	0.00	0.00	0.00	95.0	0.00
	ACCOUNT #: 07621314346	BUY 0 Units @0.0000						
06/30/2018	***-**-6223 - PRESLEY, MICHAEL	CORE BOND FND C	0.00	0.30	0.00	0.30	95.0	0.29
	ACCOUNT #: 02870560978	BUY 0 Units @0.0000						
07/05/2018	***-**-837J - HARRIS, THOMAS	DYNAMIC SMALL CAP FUND - A	0.00	3.06	0.00	3.06	95.0	2.91
	ACCOUNT #: 00000442576	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/05/2018	***-**-14UG - MANNO, PAUL A	DYNAMIC SMALL CAP FUND - A	0.00	7.85	0.00	7.85	95.0	7.46
	ACCOUNT #: 00000456570	BUY 0 Units @0.0000						
07/05/2018	***-**-73IN - PHILIPPY, MARK	DYNAMIC SMALL CAP FUND - A	0.00	3.06	0.00	3.06	95.0	2.91
	ACCOUNT #: 00000457290	BUY 0 Units @0.0000						
07/05/2018	***-**-380I - COOK, JANINE	DYNAMIC SMALL CAP FUND - A	0.00	8.64	0.00	8.64	95.0	8.21
	ACCOUNT #: 00000458187	BUY 0 Units @0.0000						
07/05/2018	***-**-14UG - MANNO, PAUL A	DYNAMIC SMALL CAP FUND - A	0.00	7.85	0.00	7.85	95.0	7.46
	ACCOUNT #: 00000476122	BUY 0 Units @0.0000						
07/05/2018	***-**-16IN - CURRAN, THOMAS	DYNAMIC SMALL CAP FUND - A	0.00	6.28	0.00	6.28	95.0	5.97
	ACCOUNT #: 00000478324	BUY 0 Units @0.0000						
07/05/2018	***-**-305P - MILGATE, PATRICK	DYNAMIC SMALL CAP FUND - A	0.00	4.58	0.00	4.58	95.0	4.35
	ACCOUNT #: 00000485407	BUY 0 Units @0.0000						
06/30/2018	***-**-5142 - WASHINGTON	EQUITY INCOME FUND, INC. A	0.00	1.87	0.00	1.87	95.0	1.78
	ACCOUNT #: 08353172444	BUY 0 Units @0.0000						
06/30/2018	***-**-575I - PALELLA, CHARLES	EQUITY INCOME FUND, INC. A	0.00	46.83	0.00	46.83	95.0	44.49
	ACCOUNT #: 08350895037	BUY 0 Units @0.0000						
06/30/2018	***-**-9281 - RUSSELL, AMY	EQUITY INCOME FUND, INC. C	0.00	13.19	0.00	13.19	95.0	12.53
	ACCOUNT #: 08370662827	BUY 0 Units @0.0000						
07/09/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 COLLEGE PORT-CL C	0.00	5.59	0.00	5.59	95.0	5.31
	ACCOUNT #: 00625374335	BUY 0 Units @0.0000						
07/09/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	2.82	0.00	2.82	95.0	2.68
	ACCOUNT #: 00625264015	BUY 0 Units @0.0000						
07/09/2018	***-**-2326 - SILLS, MICHAEL	FA 529 NEW INSIGHTS PORT-CL A	0.00	0.69	0.00	0.69	95.0	0.66
	ACCOUNT #: 00625388988	BUY 0 Units @0.0000						
07/09/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	5.04	0.00	5.04	95.0	4.79
	ACCOUNT #: 01429492661	BUY 0 Units @0.0000						
07/09/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	3.62	0.00	3.62	95.0	3.44
	ACCOUNT #: 01429492687	BUY 0 Units @0.0000						
07/09/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	2.15	0.00	2.15	95.0	2.04
	ACCOUNT #: 01438811646	BUY 0 Units @0.0000						
07/09/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL A	0.00	1.14	0.00	1.14	95.0	1.08
	ACCOUNT #: 01439435668	BUY 0 Units @0.0000						



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ANDREW KALINOWSKI  
400 West Metro Park  
Rochester, NY 14623

BROKER #: 20  
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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>								
07/09/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	1.72	0.00	1.72	95.0	1.63
	ACCOUNT #: 00625264015	BUY 0 Units @0.0000						
07/09/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	1.74	0.00	1.74	95.0	1.65
	ACCOUNT #: 01429492661	BUY 0 Units @0.0000						
07/09/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	1.83	0.00	1.83	95.0	1.74
	ACCOUNT #: 01429492687	BUY 0 Units @0.0000						
07/09/2018	***-**-975P - SCHEUING, WAYNE	FA 529 NEW INSIGHTS PORT-CL C	0.00	1.72	0.00	1.72	95.0	1.63
	ACCOUNT #: 01438811646	BUY 0 Units @0.0000						
07/09/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 PORT 2019-CL A	0.00	0.58	0.00	0.58	95.0	0.55
	ACCOUNT #: 00625374327	BUY 0 Units @0.0000						
07/09/2018	***-**-0054 - OSCHMANN, PAMELA	FA 529 PORT 2019-CL A	0.00	1.06	0.00	1.06	95.0	1.01
	ACCOUNT #: 00704575869	BUY 0 Units @0.0000						
07/09/2018	***-**-40CL - LUPIANI, CLIENTS	FA 529 PORT 2019-CL C	0.00	1.26	0.00	1.26	95.0	1.20
	ACCOUNT #: 00625374327	BUY 0 Units @0.0000						
07/09/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV DIVIDEND GROWTH FD CL	0.00	2.00	0.00	2.00	95.0	1.90
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
07/09/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV EMERGING ASIA FUND CL	0.00	3.73	0.00	3.73	95.0	3.54
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
07/09/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADV EMERGING MKTS CL A	0.00	1.37	0.00	1.37	95.0	1.30
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						
07/09/2018	***-**-26IR - SILLS, MICHAEL	FIDELITY ADV EMERGING MKTS CL A	0.00	0.25	0.00	0.25	95.0	0.24
	ACCOUNT #: 01440241196	BUY 0 Units @0.0000						
07/09/2018	***-**-305P - DI MARCO,	FIDELITY ADV EMERGING MKTS-CL C	0.00	2.79	0.00	2.79	95.0	2.65
	ACCOUNT #: 00701854093	BUY 0 Units @0.0000						
07/09/2018	***-**-4567 - HOWIE, GORDON	FIDELITY ADV EMERGING MKTS-CL C	0.00	2.24	0.00	2.24	95.0	2.13
	ACCOUNT #: 00704021278	BUY 0 Units @0.0000						
07/09/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV EMERGING MKTS-CL C	0.00	0.60	0.00	0.60	95.0	0.57
	ACCOUNT #: 00704021286	BUY 0 Units @0.0000						
07/09/2018	***-**-806I - MARYJANOWSKI,	FIDELITY ADV EMERGING MKTS-CL C	0.00	0.11	0.00	0.11	95.0	0.10
	ACCOUNT #: 00704164920	BUY 0 Units @0.0000						
07/09/2018	***-**-248I - STAAB, DONNA	FIDELITY ADV EMERGING MKTS-CL C	0.00	2.38	0.00	2.38	95.0	2.26
	ACCOUNT #: 00704192111	BUY 0 Units @0.0000						



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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>								
07/09/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV EMERGING MKTS-CL C	0.00	0.35	0.00	0.35	95.0	0.33
	ACCOUNT #: 00704224948	BUY 0 Units @0.0000						
07/09/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV EQUITY GROWTH CL A	0.00	2.03	0.00	2.03	95.0	1.93
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
07/09/2018	***-**-7153 - MENARD, MICHAEL	FIDELITY ADV EQUITY GROWTH CL T	0.00	97.87	0.00	97.87	95.0	92.98
	ACCOUNT #: 00009008138	BUY 0 Units @0.0000						
07/09/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV GLOBAL CAP APP-CL C	0.00	4.45	0.00	4.45	95.0	4.23
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
07/09/2018	***-**-0730 - TANCK, LISA	FIDELITY ADV GROWTH & INCOME CL C	0.00	9.72	0.00	9.72	95.0	9.23
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
07/09/2018	***-**-215I - HILL, ROBERT	FIDELITY ADV HEALTH CARE CL C	0.00	10.63	0.00	10.63	95.0	10.10
	ACCOUNT #: 00655371573	BUY 0 Units @0.0000						
07/09/2018	***-**-540I - DEGNAN, SUSAN	FIDELITY ADV HEALTH CARE CL C	0.00	3.31	0.00	3.31	95.0	3.14
	ACCOUNT #: 01483840300	BUY 0 Units @0.0000						
07/09/2018	***-**-8490 - ALLYN, ANN	FIDELITY ADV HIGH INCOME ADVANTAGE	0.00	0.03	0.00	0.03	95.0	0.03
	ACCOUNT #: 00009045530	BUY 0 Units @0.0000						
07/09/2018	***-**-6747 - LAKE, DAVID	FIDELITY ADV INTL CAPITAL APP CL C	0.00	1.53	0.00	1.53	95.0	1.45
	ACCOUNT #: 00655990968	BUY 0 Units @0.0000						
07/09/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	2.11	0.00	2.11	95.0	2.00
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						
07/09/2018	***-**-806I - MARYJANOWSKI,	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	0.55	0.00	0.55	95.0	0.52
	ACCOUNT #: 00704164920	BUY 0 Units @0.0000						
07/09/2018	***-**-248I - STAAB, DONNA	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	3.65	0.00	3.65	95.0	3.47
	ACCOUNT #: 00704192111	BUY 0 Units @0.0000						
07/09/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV INTL SMALL CAP OPPS-CL	0.00	0.83	0.00	0.83	95.0	0.79
	ACCOUNT #: 00704224948	BUY 0 Units @0.0000						
07/09/2018	***-**-423I -	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	1.86	0.00	1.86	95.0	1.77
	ACCOUNT #: 00625454525	BUY 0 Units @0.0000						
07/09/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	2.39	0.00	2.39	95.0	2.27
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						
07/09/2018	***-**-586I - BACH, LINDA	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	2.58	0.00	2.58	95.0	2.45
	ACCOUNT #: 01447589845	BUY 0 Units @0.0000						





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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/09/2018	***-**-3750 - RAY, CHRISTIAN	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	1.19	0.00	1.19	95.0	1.13
	ACCOUNT #: 01459576656	BUY 0 Units @0.0000						
07/09/2018	***-**-0887 - RAY, JONATHAN	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	1.19	0.00	1.19	95.0	1.13
	ACCOUNT #: 01459576698	BUY 0 Units @0.0000						
07/09/2018	***-**-92CL - HAWRYLIAK,	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	10.78	0.00	10.78	95.0	10.24
	ACCOUNT #: 01477333049	BUY 0 Units @0.0000						
07/09/2018	***-**-677I - SADLER, MICHAEL	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	8.07	0.00	8.07	95.0	7.67
	ACCOUNT #: 01432592572	BUY 0 Units @0.0000						
07/09/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	17.11	0.00	17.11	95.0	16.25
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
07/09/2018	***-**-0730 - TANCK, LISA	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	13.08	0.00	13.08	95.0	12.43
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
07/09/2018	***-**-72IN - HERTZEL, GERALD	FIDELITY ADV LEVERAGED CO STOCK CL	0.00	15.85	0.00	15.85	95.0	15.06
	ACCOUNT #: 00704765932	BUY 0 Units @0.0000						
07/09/2018	***-**-215I - HILL, ROBERT	FIDELITY ADV MID CAP CL C	0.00	0.05	0.00	0.05	95.0	0.05
	ACCOUNT #: 00655371573	BUY 0 Units @0.0000						
07/09/2018	***-**-9156 - KOLUPSKI, KIM	FIDELITY ADV MID CAP CL C	0.00	66.77	0.00	66.77	95.0	63.43
	ACCOUNT #: 00701046575	BUY 0 Units @0.0000						
07/09/2018	***-**-4567 - HOWIE, GORDON	FIDELITY ADV MID CAP II - CL C	0.00	10.42	0.00	10.42	95.0	9.90
	ACCOUNT #: 00704021278	BUY 0 Units @0.0000						
07/09/2018	***-**-806I - MARYJANOWSKI,	FIDELITY ADV MID CAP II - CL C	0.00	0.92	0.00	0.92	95.0	0.87
	ACCOUNT #: 00704164920	BUY 0 Units @0.0000						
07/09/2018	***-**-248I - STAAB, DONNA	FIDELITY ADV MID CAP II - CL C	0.00	15.79	0.00	15.79	95.0	15.00
	ACCOUNT #: 00704192111	BUY 0 Units @0.0000						
07/09/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV MID CAP II - CL C	0.00	0.54	0.00	0.54	95.0	0.51
	ACCOUNT #: 00704224948	BUY 0 Units @0.0000						
07/09/2018	***-**-403I - MILLER, DANIEL	FIDELITY ADV MID CAP II - CL C	0.00	4.39	0.00	4.39	95.0	4.17
	ACCOUNT #: 00704257047	BUY 0 Units @0.0000						
07/09/2018	***-**-9357 - MACKENZIE,	FIDELITY ADV MID CAP II - CL C	0.00	5.04	0.00	5.04	95.0	4.79
	ACCOUNT #: 00704417856	BUY 0 Units @0.0000						
07/09/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV MID CAP II - CL C	0.00	12.29	0.00	12.29	95.0	11.68
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/09/2018	***-**-72IN - HERTZEL, GERALD	FIDELITY ADV MID CAP II - CL C	0.00	22.49	0.00	22.49	95.0	21.37
	ACCOUNT #: 00704765932	BUY 0 Units @0.0000						
07/09/2018	***-**-31IN - O'DONNELL,	FIDELITY ADV MID CAP II - CL C	0.00	8.67	0.00	8.67	95.0	8.24
	ACCOUNT #: 00704828987	BUY 0 Units @0.0000						
07/09/2018	***-**-015I - COLONEY, SHIRLEY	FIDELITY ADV MID CAP II-CL A	0.00	1.64	0.00	1.64	95.0	1.56
	ACCOUNT #: 01438826586	BUY 0 Units @0.0000						
07/09/2018	***-**-586I - BACH, LINDA	FIDELITY ADV MID CAP II-CL A	0.00	8.03	0.00	8.03	95.0	7.63
	ACCOUNT #: 01447589845	BUY 0 Units @0.0000						
07/09/2018	***-**-3750 - RAY, CHRISTIAN	FIDELITY ADV MID CAP II-CL A	0.00	1.19	0.00	1.19	95.0	1.13
	ACCOUNT #: 01459576656	BUY 0 Units @0.0000						
07/09/2018	***-**-0887 - RAY, JONATHAN	FIDELITY ADV MID CAP II-CL A	0.00	1.19	0.00	1.19	95.0	1.13
	ACCOUNT #: 01459576698	BUY 0 Units @0.0000						
07/09/2018	***-**-92CL - HAWRYLIAK,	FIDELITY ADV MID CAP II-CL A	0.00	10.61	0.00	10.61	95.0	10.08
	ACCOUNT #: 01477333049	BUY 0 Units @0.0000						
07/09/2018	***-**-9357 - MACKENZIE,	FIDELITY ADV MID CAP II-CL A	0.00	2.87	0.00	2.87	95.0	2.73
	ACCOUNT #: 07044928914	BUY 0 Units @0.0000						
07/09/2018	***-**-423I -	FIDELITY ADV NEW INSIGHTS-CL A	0.00	7.15	0.00	7.15	95.0	6.79
	ACCOUNT #: 00625454525	BUY 0 Units @0.0000						
07/09/2018	***-**-661I - LACY, KIMBERLY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.29	0.00	0.29	95.0	0.28
	ACCOUNT #: 00704518646	BUY 0 Units @0.0000						
07/09/2018	***-**-586I - BACH, LINDA	FIDELITY ADV NEW INSIGHTS-CL A	0.00	19.92	0.00	19.92	95.0	18.92
	ACCOUNT #: 01447589845	BUY 0 Units @0.0000						
07/09/2018	***-**-3750 - RAY, CHRISTIAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.31	0.00	1.31	95.0	1.24
	ACCOUNT #: 01459576656	BUY 0 Units @0.0000						
07/09/2018	***-**-0887 - RAY, JONATHAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.74	0.00	1.74	95.0	1.65
	ACCOUNT #: 01459576698	BUY 0 Units @0.0000						
07/09/2018	***-**-92CL - HAWRYLIAK,	FIDELITY ADV NEW INSIGHTS-CL A	0.00	12.24	0.00	12.24	95.0	11.63
	ACCOUNT #: 01477333049	BUY 0 Units @0.0000						
07/09/2018	***-**-9357 - MACKENZIE,	FIDELITY ADV NEW INSIGHTS-CL A	0.00	5.81	0.00	5.81	95.0	5.52
	ACCOUNT #: 07044928914	BUY 0 Units @0.0000						
07/09/2018	***-**-0054 - OSCHMANN, PAMELA	FIDELITY ADV NEW INSIGHTS-CL A	0.00	12.83	0.00	12.83	95.0	12.19
	ACCOUNT #: 00700197569	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/09/2018	***-**-0178 - MILICH, SHELLEY	FIDELITY ADV NEW INSIGHTS-CL C	0.00	15.07	0.00	15.07	95.0	14.32
	ACCOUNT #: 00516849395	BUY 0 Units @0.0000						
07/09/2018	***-**-9156 - KOLUPSKI, KIM	FIDELITY ADV NEW INSIGHTS-CL C	0.00	83.41	0.00	83.41	95.0	79.24
	ACCOUNT #: 00701046575	BUY 0 Units @0.0000						
07/09/2018	***-**-996I - MARTIN, MICHAEL	FIDELITY ADV NEW INSIGHTS-CL C	0.00	2.78	0.00	2.78	95.0	2.64
	ACCOUNT #: 00701808818	BUY 0 Units @0.0000						
07/09/2018	***-**-305P - DI MARCO,	FIDELITY ADV NEW INSIGHTS-CL C	0.00	30.43	0.00	30.43	95.0	28.91
	ACCOUNT #: 00701854093	BUY 0 Units @0.0000						
07/09/2018	***-**-4567 - HOWIE, GORDON	FIDELITY ADV NEW INSIGHTS-CL C	0.00	23.22	0.00	23.22	95.0	22.06
	ACCOUNT #: 00704021278	BUY 0 Units @0.0000						
07/09/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV NEW INSIGHTS-CL C	0.00	0.62	0.00	0.62	95.0	0.59
	ACCOUNT #: 00704021286	BUY 0 Units @0.0000						
07/09/2018	***-**-0300 - LOGORY, DOUGLAS	FIDELITY ADV NEW INSIGHTS-CL C	0.00	4.47	0.00	4.47	95.0	4.25
	ACCOUNT #: 00704131911	BUY 0 Units @0.0000						
07/09/2018	***-**-806I - MARYJANOWSKI,	FIDELITY ADV NEW INSIGHTS-CL C	0.00	0.49	0.00	0.49	95.0	0.47
	ACCOUNT #: 00704164920	BUY 0 Units @0.0000						
07/09/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV NEW INSIGHTS-CL C	0.00	0.21	0.00	0.21	95.0	0.20
	ACCOUNT #: 00704224948	BUY 0 Units @0.0000						
07/09/2018	***-**-403I - MILLER, DANIEL	FIDELITY ADV NEW INSIGHTS-CL C	0.00	15.74	0.00	15.74	95.0	14.95
	ACCOUNT #: 00704257047	BUY 0 Units @0.0000						
07/09/2018	***-**-9357 - MACKENZIE,	FIDELITY ADV NEW INSIGHTS-CL C	0.00	6.68	0.00	6.68	95.0	6.35
	ACCOUNT #: 00704417856	BUY 0 Units @0.0000						
07/09/2018	***-**-792I - PUTNAM, CARL	FIDELITY ADV NEW INSIGHTS-CL C	0.00	0.18	0.00	0.18	95.0	0.17
	ACCOUNT #: 00704929348	BUY 0 Units @0.0000						
07/09/2018	***-**-677I - SADLER, MICHAEL	FIDELITY ADV NEW INSIGHTS-CL C	0.00	20.86	0.00	20.86	95.0	19.82
	ACCOUNT #: 01432592572	BUY 0 Units @0.0000						
07/09/2018	***-**-986I - MERLAU, SANDRA	FIDELITY ADV NEW INSIGHTS-CL C	0.00	23.80	0.00	23.80	95.0	22.61
	ACCOUNT #: 01448393544	BUY 0 Units @0.0000						
07/09/2018	***-**-1159 - WHITE, MICHELE	FIDELITY ADV NEW INSIGHTS-CL C	0.00	14.21	0.00	14.21	95.0	13.50
	ACCOUNT #: 01454801075	BUY 0 Units @0.0000						
07/09/2018	***-**-2338 - DEAN, WILLIAM	FIDELITY ADV NEW INSIGHTS-CL C	0.00	0.03	0.00	0.03	95.0	0.03
	ACCOUNT #: 01466906946	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/09/2018	***-**-0730 - TANCK, LISA	FIDELITY ADV NEW INSIGHTS-CL C	0.00	16.01	0.00	16.01	95.0	15.21
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
07/09/2018	***-**-72IN - HERTZEL, GERALD	FIDELITY ADV NEW INSIGHTS-CL C	0.00	20.82	0.00	20.82	95.0	19.78
	ACCOUNT #: 00704765932	BUY 0 Units @0.0000						
07/09/2018	***-**-31IN - O'DONNELL,	FIDELITY ADV NEW INSIGHTS-CL C	0.00	9.21	0.00	9.21	95.0	8.75
	ACCOUNT #: 00704828987	BUY 0 Units @0.0000						
07/09/2018	***-**-7153 - MENARD, MICHAEL	FIDELITY ADV NEW INSIGHTS-CL T	0.00	62.47	0.00	62.47	95.0	59.35
	ACCOUNT #: 00009008138	BUY 0 Units @0.0000						
07/09/2018	***-**-6747 - LAKE, DAVID	FIDELITY ADV SMALL CAP CL C	0.00	0.07	0.00	0.07	95.0	0.07
	ACCOUNT #: 00655990968	BUY 0 Units @0.0000						
07/09/2018	***-**-305P - DI MARCO,	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	7.07	0.00	7.07	95.0	6.72
	ACCOUNT #: 00701854093	BUY 0 Units @0.0000						
07/09/2018	***-**-0817 - PFENNINGER,	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	0.02	0.00	0.02	95.0	0.02
	ACCOUNT #: 00702891466	BUY 0 Units @0.0000						
07/09/2018	***-**-772J - HERTZEL, ROBERTA	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	0.49	0.00	0.49	95.0	0.47
	ACCOUNT #: 00704694777	BUY 0 Units @0.0000						
07/09/2018	***-**-31IN - O'DONNELL,	FIDELITY ADV STRATEGIC DIV & INCOME	0.00	0.96	0.00	0.96	95.0	0.91
	ACCOUNT #: 00704828987	BUY 0 Units @0.0000						
07/09/2018	***-**-3750 - RAY, CHRISTIAN	FIDELITY ADV STRATEGIC INCOME CL A	0.00	0.84	0.00	0.84	95.0	0.80
	ACCOUNT #: 01459576656	BUY 0 Units @0.0000						
07/09/2018	***-**-0887 - RAY, JONATHAN	FIDELITY ADV STRATEGIC INCOME CL A	0.00	0.74	0.00	0.74	95.0	0.70
	ACCOUNT #: 01459576698	BUY 0 Units @0.0000						
07/09/2018	***-**-0054 - OSCHMANN, PAMELA	FIDELITY ADV STRATEGIC INCOME CL A	0.00	7.44	0.00	7.44	95.0	7.07
	ACCOUNT #: 00700197569	BUY 0 Units @0.0000						
07/09/2018	***-**-9194 - MARTIN, BRIAN	FIDELITY ADV STRATEGIC INCOME CL C	0.00	0.11	0.00	0.11	95.0	0.10
	ACCOUNT #: 00704021286	BUY 0 Units @0.0000						
07/09/2018	***-**-1128 - COOK PC, E	FIDELITY ADV STRATEGIC INCOME CL C	0.00	0.02	0.00	0.02	95.0	0.02
	ACCOUNT #: 00704075456	BUY 0 Units @0.0000						
07/09/2018	***-**-0730 - TANCK, LISA	FIDELITY ADV STRATEGIC INCOME CL C	0.00	7.37	0.00	7.37	95.0	7.00
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
07/09/2018	***-**-72IN - HERTZEL, GERALD	FIDELITY ADV STRATEGIC INCOME CL C	0.00	18.88	0.00	18.88	95.0	17.94
	ACCOUNT #: 00704765932	BUY 0 Units @0.0000						



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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>								
07/09/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV TECHNOLOGY CL A	0.00	2.02	0.00	2.02	95.0	1.92
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
07/09/2018	***-**-215I - HILL, ROBERT	FIDELITY ADV TECHNOLOGY CLASS C	0.00	0.06	0.00	0.06	95.0	0.06
	ACCOUNT #: 00655371573	BUY 0 Units @0.0000						
07/09/2018	***-**-46IN - PICKETT, ANITA	FIDELITY ADV TECHNOLOGY CLASS C	0.00	0.06	0.00	0.06	95.0	0.06
	ACCOUNT #: 00655906360	BUY 0 Units @0.0000						
07/09/2018	***-**-8879 - FEIL, WILLIAM	FIDELITY ADV TECHNOLOGY CLASS C	0.00	0.91	0.00	0.91	95.0	0.86
	ACCOUNT #: 00656087202	BUY 0 Units @0.0000						
07/09/2018	***-**-9137 - RAUTENSTAUCH,	FIDELITY ADV TECHNOLOGY CLASS C	0.00	1.95	0.00	1.95	95.0	1.85
	ACCOUNT #: 00669891301	BUY 0 Units @0.0000						
07/09/2018	***-**-9156 - KOLUPSKI, KIM	FIDELITY ADV VALUE STRATEGIES CL C	0.00	36.51	0.00	36.51	95.0	34.68
	ACCOUNT #: 00701046575	BUY 0 Units @0.0000						
07/09/2018	***-**-082I - MEYER, DENNIS	FIDELITY ADV VALUE STRATEGIES-CL A	0.00	1.42	0.00	1.42	95.0	1.35
	ACCOUNT #: 00689728715	BUY 0 Units @0.0000						
07/09/2018	***-**-0054 - OSCHMANN, PAMELA	FIDELITY ADVISOR DIVERSIFIED INTL F	0.00	6.88	0.00	6.88	95.0	6.54
	ACCOUNT #: 00700197569	BUY 0 Units @0.0000						
07/09/2018	***-**-8879 - FEIL, WILLIAM	FIDELITY ADVISOR EQUITY GROWTH CL C	0.00	0.21	0.00	0.21	95.0	0.20
	ACCOUNT #: 00656087202	BUY 0 Units @0.0000						
07/09/2018	***-**-540I - DEGNAN, SUSAN	FIDELITY ADVISOR JAPAN CLASS C	0.00	3.65	0.00	3.65	95.0	3.47
	ACCOUNT #: 01483840300	BUY 0 Units @0.0000						
07/09/2018	***-**-7832 - GEISELHART,	FIDELITY ADVISOR MID CAP STOCK CL T	0.00	20.05	0.00	20.05	95.0	19.05
	ACCOUNT #: 00062724182	BUY 0 Units @0.0000						
07/09/2018	***-**-0730 - TANCK, LISA	FIDELITY ADVISORS	0.00	10.31	0.00	10.31	95.0	9.79
	ACCOUNT #: 01468853039	BUY 0 Units @0.0000						
07/09/2018	***-**-92CL - HAWRYLIAK,	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	6.12	0.00	6.12	95.0	5.81
	ACCOUNT #: 01477333049	BUY 0 Units @0.0000						
06/30/2018	***-**-059I - D'AMBROSIA,	GLOBAL FUND A	0.00	31.92	0.00	31.92	95.0	30.32
	ACCOUNT #: 03308827797	BUY 0 Units @0.0000						
06/30/2018	***-**-345P - MOON, LINDA	GLOBAL FUND A	0.00	2.72	0.00	2.72	95.0	2.58
	ACCOUNT #: 03301651672	BUY 0 Units @0.0000						
06/30/2018	***-**-9061 - BROWN, WINSTON	GOLD & SPECIAL MINERALS A	0.00	1.01	0.00	1.01	95.0	0.96
	ACCOUNT #: 04104629482	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
06/30/2018	***-**-9061 - BROWN, WINSTON	GOLD & SPECIAL MINERALS FUND B	0.00	0.03	0.00	0.03	95.0	0.03
	ACCOUNT #: 04110633116	BUY 0 Units @0.0000						
06/30/2018	***-**-5142 - WASHINGTON	INTERNATIONAL BOND A	0.00	1.91	0.00	1.91	95.0	1.81
	ACCOUNT #: 08810288553	BUY 0 Units @0.0000						
06/30/2018	***-**-6657 - THOMAS, ALEXIS	INTERNATIONAL SMALL COMPANY A	0.00	2.36	0.00	2.36	95.0	2.24
	ACCOUNT #: 08151884674	BUY 0 Units @0.0000						
07/01/2018	***-**-38IR - LEHR, ANDREA	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	3.02	0.00	3.02	95.0	2.87
	ACCOUNT #: 04039316379	BUY 0 Units @0.0000						
07/01/2018	***-**-87UG - FARRELL, TYLER	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	1.56	0.00	1.56	95.0	1.48
	ACCOUNT #: 04038987410	BUY 0 Units @0.0000						
07/01/2018	***-**-51SI - KEATING, DANIEL	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	15.40	0.00	15.40	95.0	14.63
	ACCOUNT #: 00777158146	BUY 0 Units @0.0000						
07/01/2018	***-**-5498 - INDELICATO,	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	3.87	0.00	3.87	95.0	3.68
	ACCOUNT #: 00777159873	BUY 0 Units @0.0000						
07/01/2018	***-**-59IR - HENNEKEY,	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	12.15	0.00	12.15	95.0	11.54
	ACCOUNT #: 02500013377	BUY 0 Units @0.0000						
07/01/2018	***-**-400P - PIGNONE, LIDIA	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	5.15	0.00	5.15	95.0	4.89
	ACCOUNT #: 02500021797	BUY 0 Units @0.0000						
07/01/2018	***-**-46IR - PICKETT, JEFFREY	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	3.62	0.00	3.62	95.0	3.44
	ACCOUNT #: 02500043932	BUY 0 Units @0.0000						
07/01/2018	***-**-44IE - WASSEM, CAROLYN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	0.79	0.00	0.79	95.0	0.75
	ACCOUNT #: 03809012069	BUY 0 Units @0.0000						
07/01/2018	***-**-56IR - KOLUPSKI, GEORGE	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	8.41	0.00	8.41	95.0	7.99
	ACCOUNT #: 03810310445	BUY 0 Units @0.0000						
07/01/2018	***-**-74IR - KETCHUM, STEVEN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	8.46	0.00	8.46	95.0	8.04
	ACCOUNT #: 03810411342	BUY 0 Units @0.0000						
07/01/2018	***-**-00IR - HOBSON, SCOTT	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	4.88	0.00	4.88	95.0	4.64
	ACCOUNT #: 03810416598	BUY 0 Units @0.0000						
07/01/2018	***-**-74IN - KETCHUM, STEVEN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	20.23	0.00	20.23	95.0	19.22
	ACCOUNT #: 03811119944	BUY 0 Units @0.0000						
07/01/2018	***-**-501I - MCMANUS, MAUREEN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	0.02	0.00	0.02	95.0	0.02
	ACCOUNT #: 03870029810	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/01/2018	***-**-059I - D'AMBROSIA, ACCOUNT #: 04040447544	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	9.15	0.00	9.15	95.0	8.69
07/01/2018	***-**-60CL - KALINOWSKI, ACCOUNT #: 05053804836	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	9.34	0.00	9.34	95.0	8.87
07/01/2018	***-**-60CL - KALINOWSKI, ACCOUNT #: 05053805049	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	3.45	0.00	3.45	95.0	3.28
07/01/2018	***-**-942I - LECHOWSKI, PIOTR ACCOUNT #: 05056164907	INVESCO AMERICAN FRANCHISE FUND -CL BUY 0 Units @0.0000	0.00	1.45	0.00	1.45	95.0	1.38
07/01/2018	***-**-74IN - KETCHUM, STEVEN ACCOUNT #: 03811119944	INVESCO AMERICAN VALUE FUND CL C BUY 0 Units @0.0000	0.00	8.91	0.00	8.91	95.0	8.46
07/01/2018	***-**-959P - HENNEKEY, ACCOUNT #: 02500011737	INVESCO EMERGING MARKETS EQTY FD-CL BUY 0 Units @0.0000	0.00	21.31	0.00	21.31	95.0	20.24
07/01/2018	***-**-59IR - HENNEKEY, ACCOUNT #: 02500013377	INVESCO EMERGING MARKETS EQTY FD-CL BUY 0 Units @0.0000	0.00	8.15	0.00	8.15	95.0	7.74
07/01/2018	***-**-35UG - COND, THOMAS ACCOUNT #: 03809012051	INVESCO SMALL CAP EQUITY FUND-CLASS BUY 0 Units @0.0000	0.00	1.80	0.00	1.80	95.0	1.71
07/01/2018	***-**-942I - LECHOWSKI, PIOTR ACCOUNT #: 05056164907	INVESCO SMALL CAP EQUITY FUND-CLASS BUY 0 Units @0.0000	0.00	10.14	0.00	10.14	95.0	9.63
07/01/2018	***-**-400P - PIGNONE, LIDIA ACCOUNT #: 02500021797	INVESCO SUMMIT FUND - CLASS C BUY 0 Units @0.0000	0.00	5.25	0.00	5.25	95.0	4.99
07/01/2018	***-**-942I - LECHOWSKI, PIOTR ACCOUNT #: 05056164907	INVESCO VAN KAMPEN VALUE OPP CLASS BUY 0 Units @0.0000	0.00	7.35	0.00	7.35	95.0	6.98
07/01/2018	***-**-44IE - WASSEM, CAROLYN ACCOUNT #: 03809012069	IVK COMSTOCK FUND - CLASS C BUY 0 Units @0.0000	0.00	3.43	0.00	3.43	95.0	3.26
07/01/2018	***-**-52IR - WASSEM, HEATH ACCOUNT #: 03810631782	IVK COMSTOCK FUND - CLASS C BUY 0 Units @0.0000	0.00	20.58	0.00	20.58	95.0	19.55
07/01/2018	***-**-9648 - WALSH, LORI ACCOUNT #: 03810570998	IVK SMALL CAP GROWTH FUND - CLASS C BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	95.0	1.59
07/01/2018	***-**-498K - INDELICATO, ACCOUNT #: 00777153759	IVK VALUE OPPORTUNITIES FUND -CLASS BUY 0 Units @0.0000	0.00	7.06	0.00	7.06	95.0	6.71
07/01/2018	***-**-959P - HENNEKEY, ACCOUNT #: 02500011737	IVK VALUE OPPORTUNITIES FUND -CLASS BUY 0 Units @0.0000	0.00	5.23	0.00	5.23	95.0	4.97



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/01/2018	***-**-74IN - KETCHUM, STEVEN	IVK VALUE OPPORTUNITIES FUND -CLASS	0.00	5.25	0.00	5.25	95.0	4.99
	ACCOUNT #: 03811119944	BUY 0 Units @0.0000						
07/16/2018	***-**-60CL - KALINOWSKI,	JANUS MF TRAILS	0.00	4.68	0.00	4.68	95.0	4.45
		BUY 0 Units @0.0000						
06/30/2018	***-**-1651 - ELLICOTT, AGNES	LIMITED-TERM GOVERNMENT FUND C	0.00	2.87	0.00	2.87	95.0	2.73
	ACCOUNT #: 08570735944	BUY 0 Units @0.0000						
06/30/2018	***-**-6223 - PRESLEY, MICHAEL	LIMITED-TERM GOVERNMENT FUND C	0.00	8.75	0.00	8.75	95.0	8.31
	ACCOUNT #: 08571238160	BUY 0 Units @0.0000						
06/30/2018	***-**-059I - D'AMBROSIA,	MAIN STREET FUND A	0.00	16.61	0.00	16.61	95.0	15.78
	ACCOUNT #: 07009471484	BUY 0 Units @0.0000						
07/01/2018	***-**-6543 - PLAN, SEP	MASSACHUSETTS INVESTORS TRUST-A	0.00	5.41	0.00	5.41	95.0	5.14
	ACCOUNT #: 00060500705	BUY 0 Units @0.0000						
07/01/2018	***-**-853I - COOPER, LENORE	MASSACHUSETTS INVESTORS TRUST-A	0.00	27.05	0.00	27.05	95.0	25.70
	ACCOUNT #: 00060156775	BUY 0 Units @0.0000						
07/01/2018	***-**-41IR - SCHNEIDER,	MFS CORE EQUITY FUND-A	0.00	3.63	0.00	3.63	95.0	3.45
	ACCOUNT #: 00090011368	BUY 0 Units @0.0000						
07/01/2018	***-**-792I - SCHRANK, MARION	MFS EMERGING GROWTH FUND CLASS A	0.00	14.20	0.00	14.20	95.0	13.49
	ACCOUNT #: 00060212339	BUY 0 Units @0.0000						
07/01/2018	***-**-937I - SCHRANK,	MFS EMERGING GROWTH FUND CLASS A	0.00	10.02	0.00	10.02	95.0	9.52
	ACCOUNT #: 00060212340	BUY 0 Units @0.0000						
07/01/2018	***-**-876I - STAUB, DAVID	MFS EMERGING GROWTH FUND CLASS A	0.00	17.97	0.00	17.97	95.0	17.07
	ACCOUNT #: 00060236483	BUY 0 Units @0.0000						
07/01/2018	***-**-828I - VISCO ., GEORGE	MFS EMERGING GROWTH FUND CLASS A	0.00	0.40	0.00	0.40	95.0	0.38
	ACCOUNT #: 00060237092	BUY 0 Units @0.0000						
07/01/2018	***-**-7876 - STAUB, DAVID	MFS EMERGING GROWTH FUND CLASS A	0.00	23.13	0.00	23.13	95.0	21.97
	ACCOUNT #: 00060239694	BUY 0 Units @0.0000						
07/01/2018	***-**-828I - VISCO ., GEORGE	MFS EMERGING GROWTH FUND CLASS A	0.00	0.30	0.00	0.30	95.0	0.29
	ACCOUNT #: 00060240181	BUY 0 Units @0.0000						
07/01/2018	***-**-702I - VISCO, ROSEMARIE	MFS EMERGING GROWTH FUND CLASS A	0.00	7.64	0.00	7.64	95.0	7.26
	ACCOUNT #: 00060240182	BUY 0 Units @0.0000						
07/01/2018	***-**-285P - VISCO, GEORGE	MFS EMERGING GROWTH FUND CLASS A	0.00	3.60	0.00	3.60	95.0	3.42
	ACCOUNT #: 00060254972	BUY 0 Units @0.0000						





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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/01/2018	***-**-4904 - ASITO, VINCENT	MFS EMERGING GROWTH FUND CLASS A	0.00	37.04	0.00	37.04	95.0	35.19
	ACCOUNT #: 00060296008	BUY 0 Units @0.0000						
07/01/2018	***-**-9702 - VISCO, ROSE	MFS EMERGING GROWTH FUND CLASS A	0.00	0.99	0.00	0.99	95.0	0.94
	ACCOUNT #: 00060362861	BUY 0 Units @0.0000						
07/01/2018	***-**-43IR - KEYMEL, JOHN	MFS GLOBAL TOTAL RETURN FUND-A	0.00	2.43	0.00	2.43	95.0	2.31
	ACCOUNT #: 00060565654	BUY 0 Units @0.0000						
07/01/2018	***-**-2828 - DECSOURCE INC	MFS NEW DISCOVERY FUND-A	0.00	3.44	0.00	3.44	95.0	3.27
	ACCOUNT #: 00060485178	BUY 0 Units @0.0000						
07/01/2018	***-**-2669 - CORNELL, JAMES	MFS RESEARCH FUND-A	0.00	8.29	0.00	8.29	95.0	7.88
	ACCOUNT #: 00060259738	BUY 0 Units @0.0000						
07/01/2018	***-**-876I - STAUB, DAVID	MFS RESEARCH FUND-A	0.00	19.93	0.00	19.93	95.0	18.93
	ACCOUNT #: 00060237685	BUY 0 Units @0.0000						
07/01/2018	***-**-7876 - STAUB, DAVID	MFS RESEARCH FUND-A	0.00	24.09	0.00	24.09	95.0	22.89
	ACCOUNT #: 00060240868	BUY 0 Units @0.0000						
07/01/2018	***-**-7876 - STAUB, DAVID	MFS RESEARCH FUND-A	0.00	11.15	0.00	11.15	95.0	10.59
	ACCOUNT #: 00060361120	BUY 0 Units @0.0000						
07/01/2018	***-**-52UG - STAUB, KEITH	MFS RESEARCH FUND-A	0.00	2.23	0.00	2.23	95.0	2.12
	ACCOUNT #: 00060565257	BUY 0 Units @0.0000						
07/01/2018	***-**-6856 - STAUB SURVEYORS	MFS RESEARCH FUND-A	0.00	0.47	0.00	0.47	95.0	0.45
	ACCOUNT #: 00060585786	BUY 0 Units @0.0000						
07/01/2018	***-**-22IR - KEYMEL, KAREN	MFS TECHNOLOGY FUND CLASS A	0.00	4.15	0.00	4.15	95.0	3.94
	ACCOUNT #: 00060566745	BUY 0 Units @0.0000						
07/01/2018	***-**-43IR - KEYMEL, JOHN	MFS TECHNOLOGY FUND CLASS A	0.00	4.44	0.00	4.44	95.0	4.22
	ACCOUNT #: 00060566746	BUY 0 Units @0.0000						
07/01/2018	***-**-6543 - PLAN, SEP	MFS TOTAL RETURN FUND-A	0.00	4.55	0.00	4.55	95.0	4.32
	ACCOUNT #: 00060565488	BUY 0 Units @0.0000						
07/16/2018	***-**-588I - KELLOGG, THERESA	NATIXIS FUNDS TRAILS	0.00	1.15	0.00	1.15	95.0	1.09
		BUY 0 Units @0.0000						
07/16/2018	***-**-795P - SHARPSTENE,	NEST TRAILS	0.00	0.05	0.00	0.05	95.0	0.05
	ACCOUNT #: 74222267401	BUY 0 Units @0.0000						
07/16/2018	***-**-795P - SHARPSTENE,	NEST TRAILS	0.00	0.10	0.00	0.10	95.0	0.10
	ACCOUNT #: 74222267401	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/16/2018	***-**-9194 - MARTIN, BRIAN	NEST TRAILS	0.00	0.15	0.00	0.15	95.0	0.14
	ACCOUNT #: 74414496301	BUY 0 Units @0.0000						
07/16/2018	***-**-885P - SPENCER, KRISTIN	NEST TRAILS	0.00	4.79	0.00	4.79	95.0	4.55
	ACCOUNT #: 74626689001	BUY 0 Units @0.0000						
06/30/2018	***-**-9137 - RAUTENSTAUCH,	OPPENHEIMER CORE BOND FUND A	0.00	0.61	0.00	0.61	95.0	0.58
	ACCOUNT #: 02850485199	BUY 0 Units @0.0000						
06/30/2018	***-**-5142 - WASHINGTON	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.28	0.00	0.28	95.0	0.27
	ACCOUNT #: 07862966624	BUY 0 Units @0.0000						
06/30/2018	***-**-9137 - RAUTENSTAUCH,	OPPENHEIMER DISCOVERY CLASS A	0.00	1.21	0.00	1.21	95.0	1.15
	ACCOUNT #: 07451494086	BUY 0 Units @0.0000						
06/30/2018	***-**-0588 - RUSSELL, JUDY	OPPENHEIMER GLOBAL CLASS C	0.00	2.82	0.00	2.82	95.0	2.68
	ACCOUNT #: 03322824404	BUY 0 Units @0.0000						
06/30/2018	***-**-0577 - CUOZZO, FRANK	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	5.86	0.00	5.86	95.0	5.57
	ACCOUNT #: 04120811305	BUY 0 Units @0.0000						
06/30/2018	***-**-0588 - RUSSELL, JUDY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	2.51	0.00	2.51	95.0	2.38
	ACCOUNT #: 04120852148	BUY 0 Units @0.0000						
06/30/2018	***-**-5209 - STARKWEATHER,	OPPENHEIMER INT'L BOND CLASS C	0.00	1.28	0.00	1.28	95.0	1.22
	ACCOUNT #: 08822057473	BUY 0 Units @0.0000						
06/30/2018	***-**-1210 - JOHNSON,	OPPENHEIMER INT'L BOND CLASS C	0.00	0.66	0.00	0.66	95.0	0.63
	ACCOUNT #: 08821835504	BUY 0 Units @0.0000						
06/30/2018	***-**-5920 - SCHNECKENBURGER,	OPPENHEIMER MAIN STREET OPPORTUNITY	0.00	7.87	0.00	7.87	95.0	7.48
	ACCOUNT #: 07310151305	BUY 0 Units @0.0000						
06/30/2018	***-**-5920 - SCHNECKENBURGER,	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	6.37	0.00	6.37	95.0	6.05
	ACCOUNT #: 08470452232	BUY 0 Units @0.0000						
06/30/2018	***-**-0724 - DEMPSEY,	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	23.36	0.00	23.36	95.0	22.19
	ACCOUNT #: 08477254973	BUY 0 Units @0.0000						
06/30/2018	***-**-8934 - BUCKWELL, JAMES	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	2.00	0.00	2.00	95.0	1.90
	ACCOUNT #: 02271216622	BUY 0 Units @0.0000						
06/30/2018	***-**-8156 - SALAMONE, FLOY	OPPENHEIMER ROCHEST NATIONAL MUNI C	0.00	11.86	0.00	11.86	95.0	11.27
	ACCOUNT #: 07970777744	BUY 0 Units @0.0000						
06/30/2018	***-**-8934 - BUCKWELL, JAMES	OPPENHEIMER ROCHEST NATIONAL MUNI C	0.00	2.06	0.00	2.06	95.0	1.96
	ACCOUNT #: 07970445643	BUY 0 Units @0.0000						



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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>								
06/30/2018	***-**-9137 - RAUTENSTAUCH, ACCOUNT #: 02510515240	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.97	0.00	1.97	95.0	1.87
06/30/2018	***-**-5142 - WASHINGTON ACCOUNT #: 02203684054	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	0.87	0.00	0.87	95.0	0.83
07/16/2018	***-**-9798 - MARCHESE, SANDRA	PRUDENTIAL MF TRAILS BUY 0 Units @0.0000	0.00	4.50	0.00	4.50	95.0	4.28
07/02/2018	***-**-06IN - HENNESSY, ACCOUNT #: 00119582596	PUTNAM ASSET ALLOC GROWTH-A BUY 0 Units @0.0000	0.00	0.33	0.00	0.33	95.0	0.31
07/02/2018	***-**-06IN - HENNESSY, ACCOUNT #: 00119582596	PUTNAM ASSET ALLOC GROWTH-C BUY 0 Units @0.0000	0.00	0.20	0.00	0.20	95.0	0.19
07/02/2018	***-**-8207 - LUTE, DEBORAH ACCOUNT #: 00551417046	PUTNAM CAP. OPPORTUNITIES-C BUY 0 Units @0.0000	0.00	20.51	0.00	20.51	95.0	19.48
07/02/2018	***-**-28TR - DECHAMPLAIN, ACCOUNT #: 00182412002	PUTNAM DIVERSIFIED INCOME FUND CLAS BUY 0 Units @0.0000	0.00	52.87	0.00	52.87	95.0	50.23
07/02/2018	***-**-1651 - ELLICOTT, AGNES ACCOUNT #: 00502287250	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	0.78	0.00	0.78	95.0	0.74
07/02/2018	***-**-996I - MARTIN, MICHAEL ACCOUNT #: 00408076051	PUTNAM EQUITY INCOME FUND-A BUY 0 Units @0.0000	0.00	0.59	0.00	0.59	95.0	0.56
07/02/2018	***-**-8207 - LUTE, DEBORAH ACCOUNT #: 00551417046	PUTNAM EQUITY INCOME FUND-C BUY 0 Units @0.0000	0.00	21.33	0.00	21.33	95.0	20.26
07/02/2018	***-**-31IN - IASELLA, GINO ACCOUNT #: 00331489911	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	3.19	0.00	3.19	95.0	3.03
07/02/2018	***-**-8207 - LUTE, DEBORAH ACCOUNT #: 00551417052	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 0 Units @0.0000	0.00	10.51	0.00	10.51	95.0	9.98
07/02/2018	***-**-8207 - LUTE, DEBORAH ACCOUNT #: 00551417046	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 0 Units @0.0000	0.00	23.16	0.00	23.16	95.0	22.00
07/02/2018	***-**-9859 - ERB, KENNETH ACCOUNT #: 00375212512	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	7.99	0.00	7.99	95.0	7.59
07/02/2018	***-**-8207 - LUTE, DEBORAH ACCOUNT #: 00551417046	PUTNAM MF TRAILS 37252M306 BUY 0 Units @0.0000	0.00	20.08	0.00	20.08	95.0	19.08
07/02/2018	***-**-9859 - ERB, KENNETH ACCOUNT #: 00375212512	PUTNAM MULTI-CAP CORE FUND CL A BUY 0 Units @0.0000	0.00	0.88	0.00	0.88	95.0	0.84



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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>								
07/02/2018	***-**-095J - MORAN, MARY	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	10.09	0.00	10.09	95.0	9.59
	ACCOUNT #: 00476905514	BUY 0 Units @0.0000						
07/02/2018	***-**-31IN - IASELLA, GINO	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.76	0.00	4.76	95.0	4.52
	ACCOUNT #: 00331489911	BUY 0 Units @0.0000						
07/02/2018	***-**-157I - FORNEFELD,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.76	0.00	3.76	95.0	3.57
	ACCOUNT #: 00550828345	BUY 0 Units @0.0000						
07/02/2018	***-**-56IN - WOJTAN, GARY	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.45	0.00	4.45	95.0	4.23
	ACCOUNT #: 00550847104	BUY 0 Units @0.0000						
07/02/2018	***-**-095J - MORAN, MARY	PUTNAM NEW OPPORTUNITIES-B	0.00	4.95	0.00	4.95	95.0	4.70
	ACCOUNT #: 00476905514	BUY 0 Units @0.0000						
07/02/2018	***-**-095J - MORAN, MARY	PUTNAM NEW OPPORTUNITIES-C	0.00	0.26	0.00	0.26	95.0	0.25
	ACCOUNT #: 00476905514	BUY 0 Units @0.0000						
07/02/2018	***-**-82IN - HEIL, EVELYN	PUTNAM OH TAX EXEMPT INCOME-A	0.00	22.15	0.00	22.15	95.0	21.04
	ACCOUNT #: 00349901533	BUY 0 Units @0.0000						
06/30/2018	***-**-9137 - RAUTENSTAUCH,	QUEST BALANCED A	0.00	0.99	0.00	0.99	95.0	0.94
	ACCOUNT #: 02571681856	BUY 0 Units @0.0000						
06/30/2018	***-**-9061 - BROWN, WINSTON	QUEST OPPORTUNITY VALUE A	0.00	1.10	0.00	1.10	95.0	1.05
	ACCOUNT #: 02365535387	BUY 0 Units @0.0000						
06/30/2018	***-**-9061 - BROWN, WINSTON	QUEST OPPORTUNITY VALUE FUND B	0.00	0.03	0.00	0.03	95.0	0.03
	ACCOUNT #: 02373986873	BUY 0 Units @0.0000						
06/30/2018	***-**-6657 - THOMAS, ALEXIS	RISING DIVIDENDS FUND A	0.00	2.62	0.00	2.62	95.0	2.49
	ACCOUNT #: 02254036945	BUY 0 Units @0.0000						
06/30/2018	***-**-1538 - TUCCI,	ROCHESTER FUND MUNICIPALS A	0.00	45.58	0.00	45.58	95.0	43.30
	ACCOUNT #: 03000071330	BUY 0 Units @0.0000						
06/30/2018	***-**-1659 - BOUQUIN,	ROCHESTER FUND MUNICIPALS A	0.00	15.41	0.00	15.41	95.0	14.64
	ACCOUNT #: 03651103025	BUY 0 Units @0.0000						
06/30/2018	***-**-27IN - PANTALEO, MARIE	ROCHESTER FUND MUNICIPALS A	0.00	9.69	0.00	9.69	95.0	9.21
	ACCOUNT #: 03000137080	BUY 0 Units @0.0000						
06/30/2018	***-**-925P - CAMPO, KATHLEEN	ROCHESTER FUND MUNICIPALS A	0.00	0.66	0.00	0.66	95.0	0.63
	ACCOUNT #: 03652205775	BUY 0 Units @0.0000						
06/30/2018	***-**-41IN - LOVELL, FLORENCE	ROCHESTER FUND MUNICIPALS A	0.00	9.47	0.00	9.47	95.0	9.00
	ACCOUNT #: 00028593000	BUY 0 Units @0.0000						



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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>								
06/30/2018	***-**-976J - YOUNG, RICHARD &	ROCHESTER FUND MUNICIPALS A	0.00	10.11	0.00	10.11	95.0	9.60
	ACCOUNT #: 03651892671	BUY 0 Units @0.0000						
06/30/2018	***-**-1538 - TUCCI,	ROCHESTER FUND MUNICIPALS C	0.00	238.46	0.00	238.46	95.0	226.54
	ACCOUNT #: 03670274648	BUY 0 Units @0.0000						
06/30/2018	***-**-8156 - SALAMONE, FLOY	ROCHESTER FUND MUNICIPALS C	0.00	7.54	0.00	7.54	95.0	7.16
	ACCOUNT #: 03670454993	BUY 0 Units @0.0000						
06/30/2018	***-**-3942 - HIBBERT, LEONA	ROCHESTER FUND MUNICIPALS C	0.00	6.79	0.00	6.79	95.0	6.45
	ACCOUNT #: 03670462660	BUY 0 Units @0.0000						
06/30/2018	***-**-9061 - BROWN, WINSTON	ROCHESTER FUND MUNICIPALS C	0.00	2.13	0.00	2.13	95.0	2.02
	ACCOUNT #: 03670698467	BUY 0 Units @0.0000						
06/30/2018	***-**-5393 - CAVALLARO, CAROL	ROCHESTER FUND MUNICIPALS C	0.00	23.41	0.00	23.41	95.0	22.24
	ACCOUNT #: 03670718289	BUY 0 Units @0.0000						
06/30/2018	***-**-0588 - RUSSELL, JUDY	ROCHESTER FUND MUNICIPALS C	0.00	24.33	0.00	24.33	95.0	23.11
	ACCOUNT #: 03670732919	BUY 0 Units @0.0000						
06/30/2018	***-**-7682 - SMITH, BRIAN	ROCHESTER FUND MUNICIPALS C	0.00	16.81	0.00	16.81	95.0	15.97
	ACCOUNT #: 03670736384	BUY 0 Units @0.0000						
06/30/2018	***-**-5015 - BECKER, KAREN	ROCHESTER FUND MUNICIPALS C	0.00	26.34	0.00	26.34	95.0	25.02
	ACCOUNT #: 03670736406	BUY 0 Units @0.0000						
06/30/2018	***-**-0656 - SALAMONE, MARY	ROCHESTER FUND MUNICIPALS C	0.00	22.20	0.00	22.20	95.0	21.09
	ACCOUNT #: 03670246686	BUY 0 Units @0.0000						
06/30/2018	***-**-5093 - LAVRINCIK, ANN	ROCHESTER FUND MUNICIPALS C	0.00	14.42	0.00	14.42	95.0	13.70
	ACCOUNT #: 03670483120	BUY 0 Units @0.0000						
06/30/2018	***-**-6657 - THOMAS, ALEXIS	ROCHESTER FUND MUNICIPALS C	0.00	0.12	0.00	0.12	95.0	0.11
	ACCOUNT #: 03670742027	BUY 0 Units @0.0000						
06/30/2018	***-**-0588 - RUSSELL, JUDY	SENIOR FLOATING RATE FUND C	0.00	23.43	0.00	23.43	95.0	22.26
	ACCOUNT #: 02931999074	BUY 0 Units @0.0000						
06/30/2018	***-**-0577 - CUOZZO, FRANK	SENIOR FLOATING RATE FUND C	0.00	15.84	0.00	15.84	95.0	15.05
	ACCOUNT #: 02932011790	BUY 0 Units @0.0000						
06/30/2018	***-**-2636 - COLES, DEBORAH	SENIOR FLOATING RATE FUND C	0.00	59.76	0.00	59.76	95.0	56.77
	ACCOUNT #: 02932103013	BUY 0 Units @0.0000						
06/30/2018	***-**-3942 - HIBBERT, LEONA	SENIOR FLOATING RATE FUND C	0.00	14.00	0.00	14.00	95.0	13.30
	ACCOUNT #: 02932103222	BUY 0 Units @0.0000						



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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>								
06/30/2018	***-**-9281 - RUSSELL, AMY	SENIOR FLOATING RATE FUND C	0.00	8.39	0.00	8.39	95.0	7.97
	ACCOUNT #: 02932131646	BUY 0 Units @0.0000						
06/30/2018	***-**-659I - KYTE, ALBERT	SENIOR FLOATING RATE FUND-CL C	0.00	11.96	0.00	11.96	95.0	11.36
	ACCOUNT #: 00100020604	BUY 0 Units @0.0000						
06/30/2018	***-**-86CL - BOUQUIN, CLIENTS	SENIOR FLOATING RATE FUND-CL C	0.00	10.03	0.00	10.03	95.0	9.53
	ACCOUNT #: 00100020615	BUY 0 Units @0.0000						
06/30/2018	***-**-8934 - BUCKWELL, JAMES	SMALL & MID-CAP GRWTH FND C	0.00	0.51	0.00	0.51	95.0	0.48
	ACCOUNT #: 07230332508	BUY 0 Units @0.0000						
06/30/2018	***-**-5142 - WASHINGTON	SMALL- & MID-CAP GROWTH FUND A	0.00	0.82	0.00	0.82	95.0	0.78
	ACCOUNT #: 07211008854	BUY 0 Units @0.0000						
06/30/2018	***-**-6223 - PRESLEY, MICHAEL	U.S. GOVERNMENT TRUST C	0.00	5.58	0.00	5.58	95.0	5.30
	ACCOUNT #: 02220583869	BUY 0 Units @0.0000						
06/30/2018	***-**-6536 - FOLEY, NELSON	U.S. GOVERNMENT TRUST C	0.00	7.71	0.00	7.71	95.0	7.32
	ACCOUNT #: 02220604846	BUY 0 Units @0.0000						
06/30/2018	***-**-0588 - RUSSELL, JUDY	U.S. GOVERNMENT TRUST C	0.00	1.12	0.00	1.12	95.0	1.06
	ACCOUNT #: 02220639023	BUY 0 Units @0.0000						
06/30/2018	***-**-5142 - WASHINGTON	VALUE FUND A	0.00	0.33	0.00	0.33	95.0	0.31
	ACCOUNT #: 03752577212	BUY 0 Units @0.0000						
06/30/2018	***-**-9281 - RUSSELL, AMY	VALUE FUND C	0.00	11.57	0.00	11.57	95.0	10.99
	ACCOUNT #: 03770519816	BUY 0 Units @0.0000						
07/01/2018	***-**-5498 - INDELICATO,	VAN KAMPEN7	0.00	3.55	0.00	3.55	95.0	3.37
	ACCOUNT #: 00777159873	BUY 0 Units @0.0000						
07/01/2018	***-**-400P - PIGNONE, LIDIA	VAN KAMPEN7	0.00	5.09	0.00	5.09	95.0	4.84
	ACCOUNT #: 02500021797	BUY 0 Units @0.0000						
07/01/2018	***-**-74IR - KETCHUM, STEVEN	VAN KAMPEN7	0.00	22.21	0.00	22.21	95.0	21.10
	ACCOUNT #: 03810411342	BUY 0 Units @0.0000						
07/01/2018	***-**-97IE - GENNARINO,	VAN KAMPEN7	0.00	1.26	0.00	1.26	95.0	1.20
	ACCOUNT #: 03910509201	BUY 0 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$2,869.83</b>	<b>\$0.00</b>	<b>\$2,869.83</b>		<b>\$2,726.45</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$16,966.94</b>	<b>\$2,899.16</b>	<b>\$0.00</b>	<b>\$2,899.16</b>		<b>\$2,754.33</b>



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<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: RICHARD BIRNS</u></b>								
07/01/2018	***-**-098P - TOKAR, STEPHANIE	AIM CHARTER FUND - CLASS A	0.00	4.33	0.00	4.33	20.0	0.87
	ACCOUNT #: 04027919598	BUY 0 Units @0.0000						
07/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHARTER FUND - CLASS A	0.00	15.98	0.00	15.98	20.0	3.20
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
07/01/2018	***-**-712I - BIRNS, BONNIE	AIM CHINA FUND - CLASS A	0.00	13.80	0.00	13.80	20.0	2.76
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
07/01/2018	***-**-712I - BIRNS, BONNIE	AIM GLOBAL AGGRESSIVE GROWTH FUND C	0.00	13.70	0.00	13.70	20.0	2.74
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
07/01/2018	***-**-712I - BIRNS, BONNIE	AIM UTILITIES FUND - CLASS A	0.00	16.75	0.00	16.75	20.0	3.35
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
07/09/2018	***-**-37UG - REID, JORDAN M	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	0.74	0.00	0.74	20.0	0.15
	ACCOUNT #: 04718913697	BUY 0 Units @0.0000						
07/09/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCE BERNSTEIN GLOBAL TECHNOLOG	0.00	17.60	0.00	17.60	20.0	3.52
	ACCOUNT #: 05000189227	BUY 0 Units @0.0000						
07/09/2018	***-**-098I - TOKAR, STEPHANIE	ALLIANCEBERNSTEIN GROWTH A	0.00	23.35	0.00	23.35	20.0	4.67
	ACCOUNT #: 03310152452	BUY 0 Units @0.0000						
06/30/2018	***-**-68IN - BIRNS, RICHARD	AMT-FREE NEW YORK MUNICIPALS A	0.00	9.13	0.00	9.13	20.0	1.83
	ACCOUNT #: 03600811899	BUY 0 Units @0.0000						
07/01/2018	***-**-712I - BIRNS, BONNIE	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	17.32	0.00	17.32	20.0	3.46
	ACCOUNT #: 05004001441	BUY 0 Units @0.0000						
07/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM GLOBAL EQUITY FUND CLASS A	0.00	1.71	0.00	1.71	20.0	0.34
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
07/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	6.74	0.00	6.74	20.0	1.35
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
07/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM INTERNATIONAL EQUITY-A	0.00	0.74	0.00	0.74	20.0	0.15
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
07/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM INTL NEW OPPORT-A	0.00	4.14	0.00	4.14	20.0	0.83
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
07/02/2018	***-**-068I - BIRNS, RICHARD	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	6.75	0.00	6.75	20.0	1.35
	ACCOUNT #: 00430357320	BUY 0 Units @0.0000						
06/30/2018	***-**-7325 - BIRNS, EDWIN	ROCHESTER FUND MUNICIPALS A	0.00	35.13	0.00	35.13	20.0	7.03
	ACCOUNT #: 03653529251	BUY 0 Units @0.0000						



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ANDREW KALINOWSKI  
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BROKER #: 20  
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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: BARRY BRESIN (continued) </u></b>								
		* RICHARD BIRNS SUBTOTAL *	\$0.00	\$187.91	\$0.00	\$187.91		\$37.60
<b><u> BROKER: BARRY BRESIN </u></b>								
07/01/2018	***-**-805P - HALM, MATILDA	AIM CHARTER FUND - CLASS A	0.00	87.34	0.00	87.34	15.0	13.10
	ACCOUNT #: 01001312723	BUY 0 Units @0.0000						
07/01/2018	***-**-805P - HALM, MATILDA	AIM MID-CAP EQUITY FUND CLASS A	0.00	13.78	0.00	13.78	15.0	2.07
	ACCOUNT #: 01001312723	BUY 0 Units @0.0000						
07/09/2018	***-**-716J - STERN, ROBERT	ALLIANCEBERNSTEIN MUNI INCOME-NY A	0.00	10.03	0.00	10.03	15.0	1.50
	ACCOUNT #: 04892903435	BUY 0 Units @0.0000						
07/09/2018	***-**-892K - STERN MD PC	AMERICAN FUNDS 401K TRAILS	0.00	837.41	0.00	837.41	15.0	125.61
	ACCOUNT #: BRK115201	BUY 0 Units @0.0000						
06/30/2018	***-**-459I - MONSON, DAVID	CAPITAL APPRECIATION A	0.00	2.24	0.00	2.24	15.0	0.34
	ACCOUNT #: 03209641225	BUY 0 Units @0.0000						
06/30/2018	***-**-595P - MONSON, DAVID	CAPITAL APPRECIATION B	0.00	0.19	0.00	0.19	15.0	0.03
	ACCOUNT #: 03214417611	BUY 0 Units @0.0000						
06/30/2018	***-**-459I - MONSON, DAVID	DISCOVERY FUND N	0.00	9.13	0.00	9.13	15.0	1.37
	ACCOUNT #: 05030064900	BUY 0 Units @0.0000						
06/30/2018	***-**-595P - MONSON, DAVID	EQUITY INCOME FUND, INC. A	0.00	7.93	0.00	7.93	15.0	1.19
	ACCOUNT #: 08353042325	BUY 0 Units @0.0000						
06/30/2018	***-**-459I - MONSON, DAVID	GLOBAL OPPORTUNITIES A	0.00	9.58	0.00	9.58	15.0	1.44
	ACCOUNT #: 02157358560	BUY 0 Units @0.0000						
06/30/2018	***-**-595P - MONSON, DAVID	GLOBAL OPPORTUNITIES B	0.00	0.08	0.00	0.08	15.0	0.01
	ACCOUNT #: 02163269486	BUY 0 Units @0.0000						
06/30/2018	***-**-459I - MONSON, DAVID	INTERNATIONAL BOND A	0.00	2.00	0.00	2.00	15.0	0.30
	ACCOUNT #: 08810284076	BUY 0 Units @0.0000						
06/30/2018	***-**-459I - MONSON, DAVID	INTERNATIONAL BOND FUND N	0.00	1.44	0.00	1.44	15.0	0.22
	ACCOUNT #: 08790188760	BUY 0 Units @0.0000						
06/30/2018	***-**-459I - MONSON, DAVID	INTERNATIONAL GROWTH FUND A	0.00	1.62	0.00	1.62	15.0	0.24
	ACCOUNT #: 08259643414	BUY 0 Units @0.0000						
06/30/2018	***-**-459I - MONSON, DAVID	INTERNATIONAL SMALL COMPANY FUND N	0.00	21.66	0.00	21.66	15.0	3.25
	ACCOUNT #: 08180086526	BUY 0 Units @0.0000						
06/30/2018	***-**-459I - MONSON, DAVID	MAIN STREET FUND N	0.00	4.61	0.00	4.61	15.0	0.69
	ACCOUNT #: 07030194524	BUY 0 Units @0.0000						





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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: BARRY BRESIN (continued) </u></b>								
06/30/2018	***-**-459I - MONSON, DAVID	MAIN STREET SMALL CAP FUND N	0.00	9.88	0.00	9.88	15.0	1.48
	ACCOUNT #: 08510229768	BUY 0 Units @0.0000						
06/30/2018	***-**-915P - BECKER, HILDA	OPP ROCHSTR SH TRM MUNI FND A	0.00	62.16	0.00	62.16	15.0	9.32
	ACCOUNT #: 06210059488	BUY 0 Units @0.0000						
06/30/2018	***-**-595P - MONSON, DAVID	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.62	0.00	2.62	15.0	0.39
	ACCOUNT #: 07860596762	BUY 0 Units @0.0000						
06/30/2018	***-**-595P - MONSON, DAVID	OPPENHEIMER DISCOVERY CLASS A	0.00	4.54	0.00	4.54	15.0	0.68
	ACCOUNT #: 05005888982	BUY 0 Units @0.0000						
06/30/2018	***-**-459I - MONSON, DAVID	OPPENHEIMER GOLD & SPC MINERALS FUN	0.00	3.73	0.00	3.73	15.0	0.56
	ACCOUNT #: 04130157542	BUY 0 Units @0.0000						
06/30/2018	***-**-595P - MONSON, DAVID	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	1.97	0.00	1.97	15.0	0.30
	ACCOUNT #: 02306892999	BUY 0 Units @0.0000						
06/30/2018	***-**-595P - MONSON, DAVID	OPPENHEIMER STRATEGIC INCOME FUND C	0.00	0.07	0.00	0.07	15.0	0.01
	ACCOUNT #: 01911535798	BUY 0 Units @0.0000						
06/30/2018	***-**-459I - MONSON, DAVID	OPPENHEIMER U.S. GOVT TR CLASS A	0.00	1.86	0.00	1.86	15.0	0.28
	ACCOUNT #: 02203614732	BUY 0 Units @0.0000						
06/30/2018	***-**-196I - BRESIN, JANET	PORT SERIES: EQUITY INV FD A	0.00	33.58	0.00	33.58	15.0	5.04
	ACCOUNT #: 05550336127	BUY 0 Units @0.0000						
07/16/2018	***-**-4892 - STERN, ROBERT	PRINCIPAL FUNDS TRAILS	0.00	30.17	0.00	30.17	15.0	4.53
		BUY 0 Units @0.0000						
07/16/2018	***-**-5777 - BECKER, HILDA	PRUDENTIAL VUL TRAILS	0.00	107.38	0.00	107.38	15.0	16.11
	ACCOUNT #: V1028276	BUY 1 Units @0.0000						
07/02/2018	***-**-13IN - CLEMENT, SANDRA	PUTNAM HIGH YIELD ADVANTAGE-A	0.00	16.27	0.00	16.27	15.0	2.44
	ACCOUNT #: 00510129039	BUY 0 Units @0.0000						
06/30/2018	***-**-459I - MONSON, DAVID	QUEST BALANCED A	0.00	0.05	0.00	0.05	15.0	0.01
	ACCOUNT #: 02576958699	BUY 0 Units @0.0000						
06/30/2018	***-**-595P - MONSON, DAVID	REAL ESTATE FUND A	0.00	0.61	0.00	0.61	15.0	0.09
	ACCOUNT #: 05901279091	BUY 0 Units @0.0000						
06/30/2018	***-**-459I - MONSON, DAVID	REAL ESTATE FUND N	0.00	2.47	0.00	2.47	15.0	0.37
	ACCOUNT #: 05930110968	BUY 0 Units @0.0000						
06/30/2018	***-**-13IN - CLEMENT, SANDRA	ROCHESTER FUND MUNICIPALS A	0.00	4.03	0.00	4.03	15.0	0.60
	ACCOUNT #: 03652981220	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: BARRY BRESIN (continued) </u></b>								
06/30/2018	***-**-196J - TEN WROS NOT TC,	ROCHESTER FUND MUNICIPALS A	0.00	1.10	0.00	1.10	15.0	0.17
	ACCOUNT #: 03653211373	BUY 0 Units @0.0000						
06/30/2018	***-**-7195 - SHARON M	ROCHESTER FUND MUNICIPALS A	0.00	9.15	0.00	9.15	15.0	1.37
	ACCOUNT #: 03653214959	BUY 0 Units @0.0000						
06/30/2018	***-**-7197 - LYNN M ABRAHAM,	ROCHESTER FUND MUNICIPALS A	0.00	9.15	0.00	9.15	15.0	1.37
	ACCOUNT #: 03653225497	BUY 0 Units @0.0000						
07/02/2018	***-**-21IN - BRESIN, EMMA	SAMMONS MF TRAILS	0.00	185.89	0.00	185.89	15.0	27.88
	ACCOUNT #: 7200036096	BUY 0 Units @0.0000						
07/03/2018	***-**-939I - BRESIN, HOWARD	SAMMONS MF TRAILS	0.00	320.28	0.00	320.28	15.0	48.04
	ACCOUNT #: 7200036177	BUY 0 Units @0.0000						
06/30/2018	***-**-459I - MONSON, DAVID	U.S. GOVERNMENT TRUST B	0.00	0.13	0.00	0.13	15.0	0.02
	ACCOUNT #: 02211138830	BUY 0 Units @0.0000						
* BARRY BRESIN SUBTOTAL *			\$0.00	\$1,816.13	\$0.00	\$1,816.13		\$272.42
<b><u> BROKER: WILLIAM ROBERTS </u></b>								
06/30/2018	***-**-11IN - ROBERTS NEEDS	EQUITY INCOME FUND, INC. A	0.00	107.05	0.00	107.05	10.0	10.71
	ACCOUNT #: 02401512863	BUY 0 Units @0.0000						
07/02/2018	***-**-1606 - REUS, MARTHA	PUTNAM EQUITY INCOME FUND-A	0.00	42.04	0.00	42.04	10.0	4.20
	ACCOUNT #: 00266280057	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - ROBERTS NEEDS	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	227.02	0.00	227.02	10.0	22.70
	ACCOUNT #: 03551129898	BUY 0 Units @0.0000						
06/30/2018	***-**-9904 - PRZYLUCHE,	ROCHESTER FUND MUNICIPALS A	0.00	209.27	0.00	209.27	10.0	20.93
	ACCOUNT #: 00011753000	BUY 0 Units @0.0000						
06/30/2018	***-**-07IN - MULLER,	ROCHESTER FUND MUNICIPALS A	0.00	150.64	0.00	150.64	10.0	15.06
	ACCOUNT #: 03650014091	BUY 0 Units @0.0000						
06/30/2018	***-**-74IN - KUBIAK, HENRY J	ROCHESTER FUND MUNICIPALS A	0.00	2.96	0.00	2.96	10.0	0.30
	ACCOUNT #: 03650163174	BUY 0 Units @0.0000						
06/30/2018	***-**-42IN - RUES, JAMES	ROCHESTER FUND MUNICIPALS A	0.00	95.58	0.00	95.58	10.0	9.56
	ACCOUNT #: 03651611720	BUY 0 Units @0.0000						
* WILLIAM ROBERTS SUBTOTAL *			\$0.00	\$834.56	\$0.00	\$834.56		\$83.46



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA</u> </b>								
07/02/2018	***-**-3106 - LAMB, BERNICE	37252M108	0.00	0.95	0.00	0.95	10.0	0.10
	ACCOUNT #: 00551402351	BUY 0 Units @0.0000						
07/01/2018	***-**-397P - COTTONE, MARIA	AIM CHARTER FUND - CLASS A	0.00	5.37	0.00	5.37	10.0	0.54
	ACCOUNT #: 01000005000	BUY 0 Units @0.0000						
07/01/2018	***-**-88IR - KUBIAK, COLLEEN	AIM CHARTER FUND - CLASS A	0.00	1.36	0.00	1.36	10.0	0.14
	ACCOUNT #: 01000005154	BUY 0 Units @0.0000						
07/05/2018	***-**-425P - DELGAIZO, LOUISA	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063412117	BUY 3 Units @33.9700						
07/05/2018	***-**-535P - DELGAIZO,	AMCAP FUND-A	89.00	1.07	0.00	1.07	10.0	0.11
	ACCOUNT #: 00063451518	BUY 3 Units @33.9700						
07/02/2018	***-**-539I - JALLOH, ABDULAI	AMCAP FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00084394270	BUY 2 Units @29.2600						
07/03/2018	***-**-0006 - FORSYTH, KATHRYN	AMCAP FUND-C	57.69	0.58	0.00	0.58	10.0	0.06
	ACCOUNT #: 04000650661	BUY 2 Units @29.1400						
07/02/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198121	BUY 2 Units @27.0900						
07/02/2018	***-**-7255 - LIPPA, HARITINI	AMERICAN BALANCED FUND-529C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00087198137	BUY 2 Units @27.0900						
07/02/2018	***-**-975P - COTTONE, MARIA	AMERICAN BALANCED FUND-A	250.00	9.38	0.00	9.38	10.0	0.94
	ACCOUNT #: 00086785798	BUY 9 Units @28.4200						
07/03/2018	***-**-395P - DIVASTA, ANTHONY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	10.0	0.19
	ACCOUNT #: 00059597416	BUY 2 Units @28.4000						
07/06/2018	***-**-965P - MCGUIRE, SCOTT	AMERICAN BALANCED FUND-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 1 Units @27.3800						
07/06/2018	***-**-4263 - HARTER, IAN	AMERICAN BALANCED FUND-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @27.3800						
07/02/2018	***-**-984I - DELUCA, SHARI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00064868315	BUY 2 Units @26.9700						
07/02/2018	***-**-2163 - TRAPANI, JAMES	AMERICAN BALANCED FUND-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @26.9700						
07/02/2018	***-**-3955 - EAST, MICHAEL	AMERICAN BALANCED FUND-C	6.00	0.06	0.00	0.06	10.0	0.01
	ACCOUNT #: 00085904181	BUY 0 Units @26.9700						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
07/02/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	4.57	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00085904210	BUY 0 Units @26.9700						
07/02/2018	***-**-2081 - SHELHAMER, DIANE	AMERICAN BALANCED FUND-C	16.00	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00085904210	BUY 1 Units @26.9700						
07/02/2018	***-**-2825 - SPERANZA, JOHN	AMERICAN BALANCED FUND-C	120.00	1.20	0.00	1.20	10.0	0.12
	ACCOUNT #: 00089910177	BUY 4 Units @26.9700						
07/02/2018	***-**-255U - LIPPA, HARITINI	AMERICAN BALANCED FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 04000385806	BUY 2 Units @26.9700						
07/03/2018	***-**-435P - BOSCO, SOFIA	AMERICAN BALANCED FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 7 Units @26.9400						
07/03/2018	***-**-1134 - BARTON, WILLIAM	AMERICAN BALANCED FUND-C	87.96	0.88	0.00	0.88	10.0	0.09
	ACCOUNT #: 00089244081	BUY 3 Units @26.9400						
07/03/2018	***-**-035S - CAPIZZI, TRACIE	AMERICAN BALANCED FUND-C	37.75	0.38	0.00	0.38	10.0	0.04
	ACCOUNT #: 00089679504	BUY 1 Units @26.9400						
07/05/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	66.77	0.67	0.00	0.67	10.0	0.07
	ACCOUNT #: 00089722785	BUY 2 Units @27.0800						
07/06/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089045192	BUY 1 Units @27.2000						
07/06/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	40.80	0.41	0.00	0.41	10.0	0.04
	ACCOUNT #: 00089051066	BUY 2 Units @27.2000						
07/06/2018	***-**-96CL - SCARPULLA,	AMERICAN BALANCED FUND-C	16.32	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00089051066	BUY 1 Units @27.2000						
07/06/2018	***-**-312S - DISCH, JASMINE	AMERICAN BALANCED FUND-C	16.64	0.17	0.00	0.17	10.0	0.02
	ACCOUNT #: 00089583477	BUY 1 Units @27.2000						
07/02/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	7.58	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 04000820464	BUY 0 Units @18.8500						
07/02/2018	***-**-4478 - YACONO, JOSEPH	AMERICAN FUNDS 2055 TARGET DATE-C	45.47	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 04000820464	BUY 2 Units @18.8500						
07/09/2018	***-**-3043 - SCARPULLA,	AMERICAN FUNDS 401K TRAILS	0.00	383.89	0.00	383.89	10.0	38.39
	ACCOUNT #: IRK131856	BUY 0 Units @0.0000						
07/09/2018	***-**-278K - GUERRIERI DDS,	AMERICAN FUNDS 401K TRAILS	0.00	1,244.20	0.00	1,244.20	10.0	124.42
	ACCOUNT #: IRK101640	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
07/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 0 Units @10.1100	4.55	0.05	0.00	0.05	10.0	0.01
07/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087236607	AMERICAN HIGH-INCOME TRUST-C BUY 10 Units @10.1100	105.00	1.05	0.00	1.05	10.0	0.11
07/06/2018	***-**-275P - LAMANNA, DANIEL ACCOUNT #: 00066758347	AMERICAN MUTUAL FUND-A BUY 1 Units @41.1900	30.00	0.30	0.00	0.30	10.0	0.03
07/06/2018	***-**-255P - EVANS, JAMES ACCOUNT #: 00066759711	AMERICAN MUTUAL FUND-A BUY 15 Units @41.1900	600.00	6.00	0.00	6.00	10.0	0.60
07/02/2018	***-**-3955 - EAST, MICHAEL ACCOUNT #: 00085904181	AMERICAN MUTUAL FUND-C BUY 0 Units @40.0900	5.00	0.05	0.00	0.05	10.0	0.01
07/02/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	AMERICAN MUTUAL FUND-C BUY 0 Units @40.0900	5.00	0.05	0.00	0.05	10.0	0.01
06/30/2018	***-**-765P - CRISPINO/, DAVID ACCOUNT #: 03601040820	AMT-FREE NEW YORK MUNICIPALS A BUY 0 Units @0.0000	0.00	25.59	0.00	25.59	10.0	2.56
06/30/2018	***-**-765P - CRISPINO/, DAVID ACCOUNT #: 03601040820	AMT-FREE NEW YORK MUNICIPALS A BUY 0 Units @0.0000	0.00	386.96	0.00	386.96	10.0	38.70
06/30/2018	***-**-225P - LILL, DONNA ACCOUNT #: 02704578761	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	0.55	0.00	0.55	10.0	0.06
06/30/2018	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 02705352545	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	22.41	0.00	22.41	10.0	2.24
06/30/2018	***-**-1834 - BUTLER, KIM ACCOUNT #: 02705352556	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	14.88	0.00	14.88	10.0	1.49
06/30/2018	***-**-3502 - CHUDYK, LUCIANA ACCOUNT #: 02705763802	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	12.03	0.00	12.03	10.0	1.20
06/30/2018	***-**-1346 - WEEKS S R ACCOUNT #: 02705801521	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	6.33	0.00	6.33	10.0	0.63
06/30/2018	***-**-225P - LILL, DONNA ACCOUNT #: 03201808213	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	46.36	0.00	46.36	10.0	4.64
06/30/2018	***-**-502I - CHUDYK, LUCIANA ACCOUNT #: 03205462138	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	0.61	0.00	0.61	10.0	0.06
06/30/2018	***-**-8379 - ZLOTNICK, MAR ACCOUNT #: 03207391131	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	18.04	0.00	18.04	10.0	1.80



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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: FREDERIC SCARPULLA (continued)</u></b>								
06/30/2018	***-**-206I - SANDERS, DAVID	CAPITAL APPRECIATION A	0.00	0.07	0.00	0.07	10.0	0.01
	ACCOUNT #: 03208239693	BUY 0 Units @0.0000						
06/30/2018	***-**-772I - KERHAERT,	CAPITAL APPRECIATION A	0.00	11.02	0.00	11.02	10.0	1.10
	ACCOUNT #: 03208526705	BUY 0 Units @0.0000						
06/30/2018	***-**-206I - SANDERS, DAVID	CAPITAL APPRECIATION A	0.00	7.21	0.00	7.21	10.0	0.72
	ACCOUNT #: 03208526826	BUY 0 Units @0.0000						
06/30/2018	***-**-919I - WEST, HOLLY	CAPITAL APPRECIATION A	0.00	8.43	0.00	8.43	10.0	0.84
	ACCOUNT #: 03210593572	BUY 0 Units @0.0000						
06/30/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION A	0.00	7.73	0.00	7.73	10.0	0.77
	ACCOUNT #: 03210769528	BUY 0 Units @0.0000						
06/30/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION A	0.00	8.36	0.00	8.36	10.0	0.84
	ACCOUNT #: 03211530607	BUY 0 Units @0.0000						
06/30/2018	***-**-225P - LILL, DONNA	CAPITAL APPRECIATION B	0.00	0.37	0.00	0.37	10.0	0.04
	ACCOUNT #: 03212039323	BUY 0 Units @0.0000						
06/30/2018	***-**-293I - LIPPA, PAUL	CAPITAL APPRECIATION C	0.00	51.89	0.00	51.89	10.0	5.19
	ACCOUNT #: 03220151525	BUY 0 Units @0.0000						
06/30/2018	***-**-69UG - ATWOOD, CULLEN K	CAPITAL APPRECIATION C	0.00	7.96	0.00	7.96	10.0	0.80
	ACCOUNT #: 03220369127	BUY 0 Units @0.0000						
06/30/2018	***-**-97UG - ATWOOD, AUSTIN M	CAPITAL APPRECIATION C	0.00	7.96	0.00	7.96	10.0	0.80
	ACCOUNT #: 03220369138	BUY 0 Units @0.0000						
06/30/2018	***-**-7330 - JOHNSON, DONALD	CAPITAL APPRECIATION C	0.00	27.14	0.00	27.14	10.0	2.71
	ACCOUNT #: 03220387068	BUY 0 Units @0.0000						
06/30/2018	***-**-37IR - COTTONE, CHARLES	CAPITAL APPRECIATION C	0.00	41.74	0.00	41.74	10.0	4.17
	ACCOUNT #: 03220434863	BUY 0 Units @0.0000						
06/30/2018	***-**-157I - TROINA, ANTHONY	CAPITAL APPRECIATION C	0.00	156.77	0.00	156.77	10.0	15.68
	ACCOUNT #: 03221853368	BUY 0 Units @0.0000						
06/30/2018	***-**-772I - KERHAERT,	CAPITAL APPRECIATION C	0.00	11.98	0.00	11.98	10.0	1.20
	ACCOUNT #: 03222178044	BUY 0 Units @0.0000						
06/30/2018	***-**-9206 - SANDER, DAVID	CAPITAL APPRECIATION C	0.00	12.78	0.00	12.78	10.0	1.28
	ACCOUNT #: 03222178055	BUY 0 Units @0.0000						
06/30/2018	***-**-6603 - JOHNSON, TERRY	CAPITAL APPRECIATION C	0.00	25.52	0.00	25.52	10.0	2.55
	ACCOUNT #: 03222192157	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/30/2018	***-**-1834 - BUTLER, KIM	CAPITAL APPRECIATION C	0.00	14.96	0.00	14.96	10.0	1.50
	ACCOUNT #: 03222200176	BUY 0 Units @0.0000						
06/30/2018	***-**-729I - GIAMBRONE, KELLY	CAPITAL APPRECIATION C	0.00	13.06	0.00	13.06	10.0	1.31
	ACCOUNT #: 03222325444	BUY 0 Units @0.0000						
06/30/2018	***-**-1346 - WEEKS S R	CAPITAL APPRECIATION C	0.00	28.99	0.00	28.99	10.0	2.90
	ACCOUNT #: 03222329184	BUY 0 Units @0.0000						
06/30/2018	***-**-6056 - PRICE, DEBORAH	CAPITAL INCOME A	0.00	5.22	0.00	5.22	10.0	0.52
	ACCOUNT #: 03007578725	BUY 0 Units @0.0000						
07/05/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL INCOME BUILDER CLASS C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @60.3900						
07/02/2018	***-**-975P - COTTONE, MARIA	CAPITAL INCOME BUILDER-A	250.00	9.38	0.00	9.38	10.0	0.94
	ACCOUNT #: 00086785798	BUY 4 Units @62.4600						
07/05/2018	***-**-425P - DELGAIZO, LOUISA	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063412117	BUY 1 Units @19.8100						
07/05/2018	***-**-535P - DELGAIZO,	CAPITAL WORLD BOND FUND-A	22.25	0.27	0.00	0.27	10.0	0.03
	ACCOUNT #: 00063451518	BUY 1 Units @19.8100						
07/02/2018	***-**-048I - DEAN, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 00065085393	BUY 10 Units @49.8900						
07/02/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	96.40	0.96	0.00	0.96	10.0	0.10
	ACCOUNT #: 00087038420	BUY 2 Units @49.8900						
07/02/2018	***-**-2825 - SPERANZA, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @49.8900						
07/05/2018	***-**-425P - MEEKS, PERDITA	CAPITAL WORLD GROWTH AND INCOME FUN	12.50	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00074210167	BUY 0 Units @53.9200						
07/05/2018	***-**-1209 - NATALE, KIMBERLY	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085764285	BUY 1 Units @50.2700						
07/05/2018	***-**-4392 - GARCIA, MICHELLE	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @50.2700						
07/06/2018	***-**-405P - FRISA, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00066758344	BUY 0 Units @51.2500						
07/06/2018	***-**-96CL - SCARPULLA,	CAPITAL WORLD GROWTH AND INCOME FUN	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00089045192	BUY 1 Units @50.7000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
07/05/2018	***-**-732J - ARBORE, MARIA	CORE BOND FUND - A	0.00	4.10	0.00	4.10	10.0	0.41
	ACCOUNT #: 00000108231	BUY 0 Units @0.0000						
06/30/2018	***-**-432I - BORDEN, ROBERT	DISCOVERY FUND C	0.00	2.34	0.00	2.34	10.0	0.23
	ACCOUNT #: 05020305173	BUY 0 Units @0.0000						
06/30/2018	***-**-110I - SAENZ, KATIA	DISCOVERY FUND C	0.00	21.86	0.00	21.86	10.0	2.19
	ACCOUNT #: 07470796554	BUY 0 Units @0.0000						
06/30/2018	***-**-01UG - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	6.83	0.00	6.83	10.0	0.68
	ACCOUNT #: 00401973590	BUY 0 Units @0.0000						
06/30/2018	***-**-88UG - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	6.83	0.00	6.83	10.0	0.68
	ACCOUNT #: 00401973660	BUY 0 Units @0.0000						
06/30/2018	***-**-450J - DIGIOVANNI,	EQUITY INCOME FUND, INC. A	0.00	8.13	0.00	8.13	10.0	0.81
	ACCOUNT #: 00402352440	BUY 0 Units @0.0000						
06/30/2018	***-**-264I - SIDOTI, LAURA	EQUITY INCOME FUND, INC. A	0.00	4.53	0.00	4.53	10.0	0.45
	ACCOUNT #: 02400798182	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - ROBERTS NEEDS	EQUITY INCOME FUND, INC. A	0.00	26.76	0.00	26.76	10.0	2.68
	ACCOUNT #: 02401512863	BUY 0 Units @0.0000						
06/30/2018	***-**-509I - ARBORE,	EQUITY INCOME FUND, INC. A	0.00	26.37	0.00	26.37	10.0	2.64
	ACCOUNT #: 02401570261	BUY 0 Units @0.0000						
06/30/2018	***-**-919I - WEST, HOLLY	EQUITY INCOME FUND, INC. A	0.00	7.06	0.00	7.06	10.0	0.71
	ACCOUNT #: 02401588994	BUY 0 Units @0.0000						
06/30/2018	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. A	0.00	10.87	0.00	10.87	10.0	1.09
	ACCOUNT #: 08352628747	BUY 0 Units @0.0000						
06/30/2018	***-**-805P - CONNORS, DOROTHY	EQUITY INCOME FUND, INC. A	0.00	1.78	0.00	1.78	10.0	0.18
	ACCOUNT #: 08353199856	BUY 0 Units @0.0000						
06/30/2018	***-**-85TR - CONNORS,	EQUITY INCOME FUND, INC. A	0.00	2.20	0.00	2.20	10.0	0.22
	ACCOUNT #: 08353199878	BUY 0 Units @0.0000						
06/30/2018	***-**-6188 - ROBERTS,	EQUITY INCOME FUND, INC. A	0.00	1.02	0.00	1.02	10.0	0.10
	ACCOUNT #: 08353215333	BUY 0 Units @0.0000						
06/30/2018	***-**-3432 - BORDEN, ROBERT	EQUITY INCOME FUND, INC. C	0.00	1.56	0.00	1.56	10.0	0.16
	ACCOUNT #: 08370550550	BUY 0 Units @0.0000						
06/30/2018	***-**-729I - GIAMBRONE, KELLY	EQUITY INCOME FUND, INC. C	0.00	14.32	0.00	14.32	10.0	1.43
	ACCOUNT #: 08370596090	BUY 0 Units @0.0000						





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/30/2018	***-**-6188 - ROBERTS, ACCOUNT #: 08370627385	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	12.84	0.00	12.84	10.0	1.28
07/05/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	EUROPACIFIC GROWTH FUND-A BUY 1 Units @53.7500	66.75	0.80	0.00	0.80	10.0	0.08
07/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	EUROPACIFIC GROWTH FUND-A BUY 1 Units @53.7500	66.75	0.80	0.00	0.80	10.0	0.08
07/06/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	EUROPACIFIC GROWTH FUND-A BUY 1 Units @53.4200	28.80	0.29	0.00	0.29	10.0	0.03
07/09/2018	***-**-4550 - JONES, JEFFREY ACCOUNT #: 00529631491	FA 529 PORT 2019-CL P BUY 0 Units @0.0000	0.00	7.60	0.00	7.60	10.0	0.76
07/09/2018	***-**-7278 - GUERRIERI DDS, ACCOUNT #: 00655383206	FIDELITY ADV ASSET MANAGER 50 PERCE BUY 0 Units @0.0000	0.00	0.70	0.00	0.70	10.0	0.07
07/09/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475410302	FIDELITY ADV FREEDOM 2020-CL C BUY 0 Units @0.0000	0.00	1.73	0.00	1.73	10.0	0.17
07/09/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV INTL DISCOVERY-CL A BUY 0 Units @0.0000	0.00	1.64	0.00	1.64	10.0	0.16
07/09/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV LEVERAGED CO STOCK CL BUY 0 Units @0.0000	0.00	3.74	0.00	3.74	10.0	0.37
07/09/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV MID CAP II-CL A BUY 0 Units @0.0000	0.00	4.95	0.00	4.95	10.0	0.50
07/09/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV NEW INSIGHTS-CL A BUY 0 Units @0.0000	0.00	4.86	0.00	4.86	10.0	0.49
07/09/2018	***-**-7352 - GEISELHART, ACCOUNT #: 00618796254	FIDELITY ADV STOCK SELECTOR ALL CAP BUY 0 Units @0.0000	0.00	31.33	0.00	31.33	10.0	3.13
07/09/2018	***-**-5703 - DIODATO, ACCOUNT #: 03900218260	FIDELITY ADV STRATEGIC INCOME CL C BUY 0 Units @0.0000	0.00	0.22	0.00	0.22	10.0	0.02
07/09/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475423313	FIDELITY ADV TECHNOLOGY CL A BUY 0 Units @0.0000	0.00	4.95	0.00	4.95	10.0	0.50
07/09/2018	***-**-0471 - BONACCI, LAURIE ACCOUNT #: 01475410302	FIDELITY ADVISOR FREEDOM 2020 CL A BUY 0 Units @0.0000	0.00	0.91	0.00	0.91	10.0	0.09
07/05/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	FUNDAMENTAL INVESTORS-A BUY 2 Units @63.8300	133.50	1.60	0.00	1.60	10.0	0.16



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
07/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	FUNDAMENTAL INVESTORS-A BUY 2 Units @63.8300	133.50	1.60	0.00	1.60	10.0	0.16
07/06/2018	***-**-495P - HARTER, EDWARD ACCOUNT #: 00066759710	FUNDAMENTAL INVESTORS-A BUY 0 Units @63.3800	25.00	0.25	0.00	0.25	10.0	0.03
07/02/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.2500	9.00	0.09	0.00	0.09	10.0	0.01
07/02/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.2500	18.00	0.18	0.00	0.18	10.0	0.02
07/02/2018	***-**-482I - MARCONI, TODD ACCOUNT #: 00089570936	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.2500	5.00	0.05	0.00	0.05	10.0	0.01
07/05/2018	***-**-7625 - PRINCE, ADAM ACCOUNT #: 00085764342	FUNDAMENTAL INVESTORS-C BUY 1 Units @62.5300	50.00	0.50	0.00	0.50	10.0	0.05
07/05/2018	***-**-4392 - GARCIA, MICHELLE ACCOUNT #: 00085764363	FUNDAMENTAL INVESTORS-C BUY 0 Units @62.5300	25.00	0.25	0.00	0.25	10.0	0.03
07/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.0400	20.40	0.20	0.00	0.20	10.0	0.02
07/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	FUNDAMENTAL INVESTORS-C BUY 0 Units @63.0400	8.16	0.08	0.00	0.08	10.0	0.01
06/30/2018	***-**-502I - CHUDYK, LUCIANA ACCOUNT #: 03300288917	GLOBAL FUND A BUY 0 Units @0.0000	0.00	8.66	0.00	8.66	10.0	0.87
06/30/2018	***-**-8379 - ZLOTNICK, MAR ACCOUNT #: 03302795025	GLOBAL FUND A BUY 0 Units @0.0000	0.00	22.81	0.00	22.81	10.0	2.28
06/30/2018	***-**-8776 - LEVINE, TODD ACCOUNT #: 03302846910	GLOBAL FUND A BUY 0 Units @0.0000	0.00	51.95	0.00	51.95	10.0	5.20
06/30/2018	***-**-225P - LILL, DONNA ACCOUNT #: 03305836226	GLOBAL FUND A BUY 0 Units @0.0000	0.00	18.52	0.00	18.52	10.0	1.85
06/30/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 03309004237	GLOBAL FUND A BUY 0 Units @0.0000	0.00	4.19	0.00	4.19	10.0	0.42
06/30/2018	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03309133960	GLOBAL FUND A BUY 0 Units @0.0000	0.00	37.98	0.00	37.98	10.0	3.80
06/30/2018	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 03311085766	GLOBAL FUND B BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	10.0	0.01



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
06/30/2018	***-**-225P - LILL, DONNA	GLOBAL FUND B	0.00	0.13	0.00	0.13	10.0	0.01
	ACCOUNT #: 03313024164	BUY 0 Units @0.0000						
06/30/2018	***-**-5378 - AGUILA, NANCY	GLOBAL OPPORTUNITIES A	0.00	108.98	0.00	108.98	10.0	10.90
	ACCOUNT #: 02152697871	BUY 0 Units @0.0000						
06/30/2018	***-**-206I - SANDERS, DAVID	GLOBAL OPPORTUNITIES A	0.00	7.47	0.00	7.47	10.0	0.75
	ACCOUNT #: 02155093319	BUY 0 Units @0.0000						
06/30/2018	***-**-110I - SAENZ, KATIA	GLOBAL OPPORTUNITIES FUND C	0.00	29.49	0.00	29.49	10.0	2.95
	ACCOUNT #: 02171397616	BUY 0 Units @0.0000						
06/30/2018	***-**-9206 - SANDER, DAVID	GLOBAL OPPORTUNITIES FUND C	0.00	17.71	0.00	17.71	10.0	1.77
	ACCOUNT #: 02171629936	BUY 0 Units @0.0000						
06/30/2018	***-**-90FB - DIODATO, CAROL	GLOBAL OPPORTUNITIES FUND C	0.00	7.65	0.00	7.65	10.0	0.77
	ACCOUNT #: 02171777391	BUY 0 Units @0.0000						
06/30/2018	***-**-7330 - JOHNSON, DONALD	GLOBAL OPPORTUNITIES FUND C	0.00	57.08	0.00	57.08	10.0	5.71
	ACCOUNT #: 02171798599	BUY 0 Units @0.0000						
06/30/2018	***-**-2620 - CUSIMANO, MEGAN	GLOBAL OPPORTUNITIES FUND C	0.00	1.65	0.00	1.65	10.0	0.17
	ACCOUNT #: 02171800557	BUY 0 Units @0.0000						
06/30/2018	***-**-509I - ARBORE,	GOLD & SPECIAL MINERALS A	0.00	3.53	0.00	3.53	10.0	0.35
	ACCOUNT #: 04103927770	BUY 0 Units @0.0000						
07/05/2018	***-**-39IN - ARBORE, MARIA	GROWTH AND INCOME FUND - A	0.00	2.89	0.00	2.89	10.0	0.29
	ACCOUNT #: 00000176375	BUY 0 Units @0.0000						
07/02/2018	***-**-96CL - SCARPULLA,	INCOME FUND OF AMERICA CLASS C	45.00	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00087236607	BUY 2 Units @22.3600						
07/01/2018	***-**-290I - SAWDEY, MARILYN	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	6.87	0.00	6.87	10.0	0.69
	ACCOUNT #: 04400053047	BUY 0 Units @0.0000						
07/01/2018	***-**-0008 - COZZO, LUIGI	INVESCO DIVERSIFIED DIVIDEND INVEST	0.00	22.23	0.00	22.23	10.0	2.22
	ACCOUNT #: 00009759201	BUY 0 Units @0.0000						
07/02/2018	***-**-2163 - TRAPANI, JAMES	INVESTMENT COMPANY OF AMERICA CLASS	28.90	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00085902249	BUY 1 Units @39.8900						
07/02/2018	***-**-564I - CARNEY, BARBARA	INVESTMENT COMPANY OF AMERICA CLASS	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089563161	BUY 0 Units @39.8900						
07/05/2018	***-**-1209 - NATALE, KIMBERLY	INVESTMENT COMPANY OF AMERICA CLASS	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085764285	BUY 1 Units @40.1800						



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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: FREDERIC SCARPULLA (continued)</u></b>								
07/05/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089722785	INVESTMENT COMPANY OF AMERICA CLASS BUY 1 Units @40.1800	50.09	0.50	0.00	0.50	10.0	0.05
07/06/2018	***-**-312S - DISCH, JASMINE ACCOUNT #: 00089583477	INVESTMENT COMPANY OF AMERICA CLASS BUY 0 Units @40.5500	16.16	0.16	0.00	0.16	10.0	0.02
07/01/2018	***-**-39IN - ARBORE, MARIA ACCOUNT #: 01001181454	IVK GROWTH AND INCOME FUND - CLASS BUY 0 Units @0.0000	0.00	36.17	0.00	36.17	10.0	3.62
06/30/2018	***-**-37IN - COTTONE, CHARLES ACCOUNT #: 08551660824	LIMITED TERM GOVERNMENT A BUY 0 Units @0.0000	0.00	1.98	0.00	1.98	10.0	0.20
06/30/2018	***-**-502I - CHUDYK, LUCIANA ACCOUNT #: 08552066097	LIMITED TERM GOVERNMENT A BUY 0 Units @0.0000	0.00	0.54	0.00	0.54	10.0	0.05
06/30/2018	***-**-736I - TORNATORE, ACCOUNT #: 04204204530	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	80.23	0.00	80.23	10.0	8.02
06/30/2018	***-**-206I - SANDERS, DAVID ACCOUNT #: 07002254530	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	0.08	0.00	0.08	10.0	0.01
06/30/2018	***-**-206I - SANDERS, DAVID ACCOUNT #: 07002573849	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	6.60	0.00	6.60	10.0	0.66
06/30/2018	***-**-072I - SMITH, DEBORAH ACCOUNT #: 07002573882	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	57.46	0.00	57.46	10.0	5.75
06/30/2018	***-**-446I - TROBIA, FRANK ACCOUNT #: 07005158191	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	31.24	0.00	31.24	10.0	3.12
06/30/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 07005274219	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	11.46	0.00	11.46	10.0	1.15
06/30/2018	***-**-3526 - STONE, LINDA ACCOUNT #: 07005481380	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	1.12	0.00	1.12	10.0	0.11
06/30/2018	***-**-6603 - JOHNSON, TERRY ACCOUNT #: 07005548460	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	28.34	0.00	28.34	10.0	2.83
06/30/2018	***-**-7072 - SMITH, DEBBIE ACCOUNT #: 07005555335	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	0.24	0.00	0.24	10.0	0.02
06/30/2018	***-**-729I - GIAMBRONE, KELLY ACCOUNT #: 07005773144	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	13.03	0.00	13.03	10.0	1.30
06/30/2018	***-**-781I - NAVAS, MICHAEL ACCOUNT #: 07006127212	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	0.54	0.00	0.54	10.0	0.05



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/30/2018	***-**-1346 - WEEKS S R	MAIN STREET FUND A	0.00	8.17	0.00	8.17	10.0	0.82
	ACCOUNT #: 07007936483	BUY 0 Units @0.0000						
06/30/2018	***-**-175I - BLEIER, WESLEY	MAIN STREET FUND A	0.00	13.51	0.00	13.51	10.0	1.35
	ACCOUNT #: 07009521154	BUY 0 Units @0.0000						
06/30/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND B	0.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 07012971958	BUY 0 Units @0.0000						
06/30/2018	***-**-4980 - MOYER, COLLEEN	MAIN STREET FUND C	0.00	4.50	0.00	4.50	10.0	0.45
	ACCOUNT #: 07024431823	BUY 0 Units @0.0000						
06/30/2018	***-**-435P - BOSCO, SOFIA	MAIN STREET FUND C	0.00	56.94	0.00	56.94	10.0	5.69
	ACCOUNT #: 07021348457	BUY 0 Units @0.0000						
06/30/2018	***-**-084I - ESPOSITO,	MAIN STREET FUND C	0.00	18.17	0.00	18.17	10.0	1.82
	ACCOUNT #: 07023120326	BUY 0 Units @0.0000						
06/30/2018	***-**-110I - SAENZ, KATIA	MAIN STREET FUND C	0.00	17.75	0.00	17.75	10.0	1.78
	ACCOUNT #: 07023933798	BUY 0 Units @0.0000						
06/30/2018	***-**-9206 - SANDER, DAVID	MAIN STREET FUND C	0.00	12.48	0.00	12.48	10.0	1.25
	ACCOUNT #: 07024170947	BUY 0 Units @0.0000						
06/30/2018	***-**-6603 - JOHNSON, TERRY	MAIN STREET FUND C	0.00	23.95	0.00	23.95	10.0	2.40
	ACCOUNT #: 07024184114	BUY 0 Units @0.0000						
06/30/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET FUND C	0.00	12.56	0.00	12.56	10.0	1.26
	ACCOUNT #: 07024326366	BUY 0 Units @0.0000						
06/30/2018	***-**-1346 - WEEKS S R	MAIN STREET FUND C	0.00	28.59	0.00	28.59	10.0	2.86
	ACCOUNT #: 07024329974	BUY 0 Units @0.0000						
06/30/2018	***-**-90FB - DIODATO, CAROL	MAIN STREET FUND C	0.00	5.33	0.00	5.33	10.0	0.53
	ACCOUNT #: 07024358024	BUY 0 Units @0.0000						
06/30/2018	***-**-7330 - JOHNSON, DONALD	MAIN STREET FUND C	0.00	39.30	0.00	39.30	10.0	3.93
	ACCOUNT #: 07024393312	BUY 0 Units @0.0000						
06/30/2018	***-**-2620 - CUSIMANO, MEGAN	MAIN STREET FUND C	0.00	2.61	0.00	2.61	10.0	0.26
	ACCOUNT #: 07024397338	BUY 0 Units @0.0000						
06/30/2018	***-**-446I - TROBIA, FRANK	MAIN STREET FUND C	0.00	35.69	0.00	35.69	10.0	3.57
	ACCOUNT #: 07024429095	BUY 0 Units @0.0000						
07/01/2018	***-**-290I - SAWDEY, MARILYN	MFS GOVERNMENT SECURITIES FUND-A	0.00	4.65	0.00	4.65	10.0	0.47
	ACCOUNT #: 09896338263	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
07/01/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 08191357165	MFS TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	11.51	0.00	11.51	10.0	1.15
07/05/2018	***-**-425P - DELGAIZO, LOUISA ACCOUNT #: 00063412117	NEW PERSPECTIVE FUND-A BUY 0 Units @45.7300	22.25	0.27	0.00	0.27	10.0	0.03
07/05/2018	***-**-535P - DELGAIZO, ACCOUNT #: 00063451518	NEW PERSPECTIVE FUND-A BUY 0 Units @45.7300	22.25	0.27	0.00	0.27	10.0	0.03
07/06/2018	***-**-445P - BURNS, DANIEL ACCOUNT #: 00066758346	NEW PERSPECTIVE FUND-A BUY 1 Units @45.4900	28.80	0.29	0.00	0.29	10.0	0.03
07/02/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW PERSPECTIVE FUND-C BUY 0 Units @43.0100	10.50	0.11	0.00	0.11	10.0	0.01
07/02/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW PERSPECTIVE FUND-C BUY 0 Units @43.0100	21.00	0.21	0.00	0.21	10.0	0.02
07/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @43.5400	8.15	0.08	0.00	0.08	10.0	0.01
07/06/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00089051066	NEW PERSPECTIVE FUND-C BUY 0 Units @43.5400	20.40	0.20	0.00	0.20	10.0	0.02
07/02/2018	***-**-1721 - TABER, LISA ACCOUNT #: 00085902226	NEW WORLD FUND-C BUY 0 Units @62.0600	10.50	0.11	0.00	0.11	10.0	0.01
07/02/2018	***-**-8667 - BRONGO, ROBERT ACCOUNT #: 00085904203	NEW WORLD FUND-C BUY 0 Units @62.0600	21.00	0.21	0.00	0.21	10.0	0.02
07/02/2018	***-**-96CL - SCARPULLA, ACCOUNT #: 00087038420	NEW WORLD FUND-C BUY 1 Units @62.0600	48.20	0.48	0.00	0.48	10.0	0.05
07/16/2018	***-**-503J - OBI, JEAN	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.30	0.00	2.30	10.0	0.23
07/16/2018	***-**-3758 - CONNORS, DAVID ACCOUNT #: 77162702001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.34	0.00	0.34	10.0	0.03
07/16/2018	***-**-015P - FANTAUZZO, ACCOUNT #: 77529133201	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.16	0.00	2.16	10.0	0.22
07/16/2018	***-**-335P - JULIAN, GIOVANA ACCOUNT #: 77613466001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	7.14	0.00	7.14	10.0	0.71
07/16/2018	***-**-80IN - MOYER, COLLEEN ACCOUNT #: 77705588101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	13.28	0.00	13.28	10.0	1.33



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
07/16/2018	***-**-2942 - WARNEY, KENNETH	NEW YORK 529 TRAILS	0.00	0.42	0.00	0.42	10.0	0.04
	ACCOUNT #: 77932712101	BUY 0 Units @0.0000						
06/29/2018	***-**-6793 - ESTEP, ARDEN	NYA JPM 529 AGGR AGE-BASE C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 77375699601	BUY 0 Units @0.0000						
06/29/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 COLLEGE PORT - C	45.71	0.46	0.00	0.46	10.0	0.05
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
06/29/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 CONSV GROWTH C	47.10	0.47	0.00	0.47	10.0	0.05
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
06/29/2018	***-**-335P - JULIAN, GIOVANA	NYA JPM 529 EQUITY INCOME PORTF C	45.71	0.46	0.00	0.46	10.0	0.05
	ACCOUNT #: 77613466001	BUY 0 Units @0.0000						
06/26/2018	***-**-80IN - MOYER, COLLEEN	NYA JPM 529 MOD AGE-BASED A	25.00	0.76	0.00	0.76	10.0	0.08
	ACCOUNT #: 77705588101	BUY 0 Units @0.0000						
06/26/2018	***-**-4980 - MOYER, COLLEEN	NYA JPM 529 MOD GROWTH AGE A	25.00	0.76	0.00	0.76	10.0	0.08
	ACCOUNT #: 77705588102	BUY 0 Units @0.0000						
06/30/2018	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD A	0.00	13.27	0.00	13.27	10.0	1.33
	ACCOUNT #: 05451118920	BUY 0 Units @0.0000						
06/30/2018	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD A	0.00	0.95	0.00	0.95	10.0	0.10
	ACCOUNT #: 05451503469	BUY 0 Units @0.0000						
06/30/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD A	0.00	0.86	0.00	0.86	10.0	0.09
	ACCOUNT #: 05451509926	BUY 0 Units @0.0000						
06/30/2018	***-**-3407 - SUTTELL, PAULA	OPP PORT SERIES: MOD INV FD C	0.00	31.34	0.00	31.34	10.0	3.13
	ACCOUNT #: 05470454740	BUY 0 Units @0.0000						
06/30/2018	***-**-56SI - ODELL, JULIE	OPP PORT SERIES: MOD INV FD C	0.00	37.70	0.00	37.70	10.0	3.77
	ACCOUNT #: 05470419034	BUY 0 Units @0.0000						
06/30/2018	***-**-7072 - SMITH, DEBBIE	OPP PORT SERIES: MOD INV FD C	0.00	67.84	0.00	67.84	10.0	6.78
	ACCOUNT #: 06670037664	BUY 0 Units @0.0000						
06/30/2018	***-**-4143 - STONE, GEORGE	OPP PORT SERIES: MOD INV FD C	0.00	30.59	0.00	30.59	10.0	3.06
	ACCOUNT #: 06670037675	BUY 0 Units @0.0000						
06/30/2018	***-**-3526 - STONE, LINDA	OPP PORT SERIES: MOD INV FD C	0.00	30.72	0.00	30.72	10.0	3.07
	ACCOUNT #: 06670037686	BUY 0 Units @0.0000						
06/30/2018	***-**-1346 - WEEKS S R	OPPENHEIMER DISCOVERY CLASS A	0.00	10.32	0.00	10.32	10.0	1.03
	ACCOUNT #: 05004178284	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/30/2018	***-**-781J - NAVAS, MICHAEL & OPPENHEIMER	DISCOVERY CLASS A	0.00	32.57	0.00	32.57	10.0	3.26
	ACCOUNT #: 07450878086	BUY 0 Units @0.0000						
06/30/2018	***-**-240J - MACCABEE, ALFRED	DISCOVERY CLASS A	0.00	4.01	0.00	4.01	10.0	0.40
	ACCOUNT #: 07451411520	BUY 0 Units @0.0000						
06/30/2018	***-**-6603 - JOHNSON, TERRY	GLOBAL CLASS C	0.00	25.43	0.00	25.43	10.0	2.54
	ACCOUNT #: 03322638581	BUY 0 Units @0.0000						
06/30/2018	***-**-6056 - PRICE, DEBORAH	MAIN STREET OPPORTUNITY	0.00	9.21	0.00	9.21	10.0	0.92
	ACCOUNT #: 07311461350	BUY 0 Units @0.0000						
06/30/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET SMALL CAP F	0.00	9.71	0.00	9.71	10.0	0.97
	ACCOUNT #: 08477407983	BUY 0 Units @0.0000						
06/30/2018	***-**-729I - GIAMBRONE, KELLY	MAIN STREET SMALL CAP F	0.00	12.33	0.00	12.33	10.0	1.23
	ACCOUNT #: 08491596925	BUY 0 Units @0.0000						
06/30/2018	***-**-541P - SCHILLACI, AMY	RISING DIVIDENDS FUND C	0.00	3.13	0.00	3.13	10.0	0.31
	ACCOUNT #: 02271188506	BUY 0 Units @0.0000						
06/30/2018	***-**-4980 - MOYER, COLLEEN	RISING DIVIDENDS FUND C	0.00	9.26	0.00	9.26	10.0	0.93
	ACCOUNT #: 02271217095	BUY 0 Units @0.0000						
06/30/2018	***-**-696J - ARBORE, JENNIFER	RISING DIVIDENDS FUND C	0.00	25.04	0.00	25.04	10.0	2.50
	ACCOUNT #: 02270749892	BUY 0 Units @0.0000						
06/30/2018	***-**-1314 - BENEDETTO,	RISING DIVIDENDS FUND C	0.00	40.39	0.00	40.39	10.0	4.04
	ACCOUNT #: 02270934318	BUY 0 Units @0.0000						
06/30/2018	***-**-1834 - BUTLER, KIM	SMALL & MID CAP VALUE F	0.00	21.61	0.00	21.61	10.0	2.16
	ACCOUNT #: 02510771804	BUY 0 Units @0.0000						
06/30/2018	***-**-5378 - AGUILA, NANCY	SMALL & MID CAP VALUE F	0.00	66.83	0.00	66.83	10.0	6.68
	ACCOUNT #: 02510954349	BUY 0 Units @0.0000						
06/30/2018	***-**-502I - CHUDYK, LUCIANA	SMALL & MID CAP VALUE F	0.00	0.36	0.00	0.36	10.0	0.04
	ACCOUNT #: 02511356146	BUY 0 Units @0.0000						
06/30/2018	***-**-8379 - ZLOTNICK, MAR	STRATEGIC INCOME FD CL	0.00	1.60	0.00	1.60	10.0	0.16
	ACCOUNT #: 01902486671	BUY 0 Units @0.0000						
06/30/2018	***-**-509I - ARBORE,	STRATEGIC INCOME FD CL	0.00	8.04	0.00	8.04	10.0	0.80
	ACCOUNT #: 01903509704	BUY 0 Units @0.0000						
06/30/2018	***-**-206I - SANDERS, DAVID	STRATEGIC INCOME FD CL	0.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 02301774457	BUY 0 Units @0.0000						





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/30/2018	***-**-206I - SANDERS, DAVID	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	1.73	0.00	1.73	10.0	0.17
	ACCOUNT #: 02302155970	BUY 0 Units @0.0000						
06/30/2018	***-**-1834 - BUTLER, KIM	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	2.22	0.00	2.22	10.0	0.22
	ACCOUNT #: 02803612158	BUY 0 Units @0.0000						
07/16/2018	***-**-5046 - GUERRIER, JOHN	PRINCIPAL VA TRAILS	0.00	775.50	0.00	775.50	10.0	77.55
	ACCOUNT #: 456938	BUY 1 Units @0.0000						
07/16/2018	***-**-4432 - WHITE HAVEN	PRINCIPAL VA TRAILS	0.00	1,380.62	0.00	1,380.62	10.0	138.06
	ACCOUNT #: 612565	BUY 1 Units @0.0000						
07/16/2018	***-**-96CL - SCARPULLA,	PRINCIPAL VA TRAILS	0.00	201.84	0.00	201.84	10.0	20.18
	ACCOUNT #: 618072	BUY 1 Units @0.0000						
07/02/2018	***-**-642I - DELGAIZO, LISA	PUTNAM AMERICAN GOVERNMENT INCOME F	0.00	0.33	0.00	0.33	10.0	0.03
	ACCOUNT #: 00488983741	BUY 0 Units @0.0000						
07/02/2018	***-**-33IN - TESTA, BARBARA	PUTNAM EQUITY INCOME FUND-A	0.00	21.74	0.00	21.74	10.0	2.17
	ACCOUNT #: 00214281708	BUY 0 Units @0.0000						
07/02/2018	***-**-642J - DELGALZO,	PUTNAM EQUITY INCOME FUND-A	0.00	2.14	0.00	2.14	10.0	0.21
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
07/02/2018	***-**-130I - CIRA, JOHN	PUTNAM EQUITY INCOME FUND-A	0.00	4.51	0.00	4.51	10.0	0.45
	ACCOUNT #: 00415148688	BUY 0 Units @0.0000						
07/02/2018	***-**-33UG - DELGAIZO, ALESHA	PUTNAM EQUITY INCOME FUND-A	0.00	6.50	0.00	6.50	10.0	0.65
	ACCOUNT #: 00437911872	BUY 0 Units @0.0000						
07/02/2018	***-**-73UG - DELGAIZO,	PUTNAM EQUITY INCOME FUND-A	0.00	4.04	0.00	4.04	10.0	0.40
	ACCOUNT #: 00481564658	BUY 0 Units @0.0000						
07/02/2018	***-**-642I - DELGAIZO, LISA	PUTNAM EQUITY INCOME FUND-A	0.00	3.73	0.00	3.73	10.0	0.37
	ACCOUNT #: 00488983741	BUY 0 Units @0.0000						
07/02/2018	***-**-939I - ARBORE, MARIA	PUTNAM EQUITY INCOME FUND-A	0.00	29.07	0.00	29.07	10.0	2.91
	ACCOUNT #: 00506910960	BUY 0 Units @0.0000						
07/02/2018	***-**-707I - BARON, ROBIN	PUTNAM EQUITY INCOME FUND-A	0.00	7.92	0.00	7.92	10.0	0.79
	ACCOUNT #: 00551086624	BUY 0 Units @0.0000						
07/02/2018	***-**-3939 - ARBORE, MARIA	PUTNAM EQUITY INCOME FUND-C	0.00	133.42	0.00	133.42	10.0	13.34
	ACCOUNT #: 00551310434	BUY 0 Units @0.0000						
07/02/2018	***-**-642J - DELGALZO,	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.51	0.00	1.51	10.0	0.15
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						



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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: FREDERIC SCARPULLA (continued)</u></b>								
07/02/2018	***-**-678I - BAKERINK, DIANE	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	6.54	0.00	6.54	10.0	0.65
	ACCOUNT #: 00273141121	BUY 0 Units @0.0000						
07/02/2018	***-**-178I - STAUB, KIRK	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00455134356	BUY 0 Units @0.0000						
07/02/2018	***-**-43IR - BOSCO, GIULIO	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	10.44	0.00	10.44	10.0	1.04
	ACCOUNT #: 00494908627	BUY 0 Units @0.0000						
07/02/2018	***-**-293I - LIPPA, PAUL	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	30.98	0.00	30.98	10.0	3.10
	ACCOUNT #: 00511940615	BUY 0 Units @0.0000						
07/02/2018	***-**-643I - BOSCO, GIULIO	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	2.24	0.00	2.24	10.0	0.22
	ACCOUNT #: 00514117077	BUY 0 Units @0.0000						
07/02/2018	***-**-73UG - DELGAIZO,	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	32.02	0.00	32.02	10.0	3.20
	ACCOUNT #: 00481564658	BUY 0 Units @0.0000						
07/02/2018	***-**-059I - JOHNSON, WILLIAM	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	34.08	0.00	34.08	10.0	3.41
	ACCOUNT #: 00020573802	BUY 0 Units @0.0000						
07/02/2018	***-**-59IN - SCARPULLA,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.74	0.00	4.74	10.0	0.47
	ACCOUNT #: 00066046582	BUY 0 Units @0.0000						
07/02/2018	***-**-642J - DELGALZO,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	1.72	0.00	1.72	10.0	0.17
	ACCOUNT #: 00364555089	BUY 0 Units @0.0000						
07/02/2018	***-**-33UG - DELGAIZO, ALESHA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	22.39	0.00	22.39	10.0	2.24
	ACCOUNT #: 00437911872	BUY 0 Units @0.0000						
07/02/2018	***-**-178I - STAUB, KIRK	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.70	0.00	0.70	10.0	0.07
	ACCOUNT #: 00455134356	BUY 0 Units @0.0000						
07/02/2018	***-**-170J - CAMPOMIZZI, JOHN	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	0.14	0.00	0.14	10.0	0.01
	ACCOUNT #: 00475151691	BUY 0 Units @0.0000						
07/02/2018	***-**-73UG - DELGAIZO,	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.21	0.00	3.21	10.0	0.32
	ACCOUNT #: 00481564658	BUY 0 Units @0.0000						
07/02/2018	***-**-642I - DELGAIZO, LISA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	4.79	0.00	4.79	10.0	0.48
	ACCOUNT #: 00488983741	BUY 0 Units @0.0000						
07/02/2018	***-**-643I - BOSCO, GIULIO	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	8.00	0.00	8.00	10.0	0.80
	ACCOUNT #: 00514117077	BUY 0 Units @0.0000						
07/02/2018	***-**-33UG - DELGAIZO, ALESHA	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.18	0.00	3.18	10.0	0.32
	ACCOUNT #: 00519031484	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: FREDERIC SCARPULLA (continued) </u></b>								
07/02/2018	***-**-170I - CAMPOMIZZI, ACCOUNT #: 00550825937	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	2.15	0.00	2.15	10.0	0.22
07/02/2018	***-**-06IN - BERNARD, CREGG ACCOUNT #: 00550826447	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 0 Units @0.0000	0.00	0.06	0.00	0.06	10.0	0.01
07/02/2018	***-**-18IN - RIEDEL, JAMES ACCOUNT #: 00048939595	PUTNAM NEW YORK TAX- EXEMPT INCOME BUY 0 Units @0.0000	0.00	1.48	0.00	1.48	10.0	0.15
07/02/2018	***-**-642J - DELGALZO, ACCOUNT #: 00364555089	PUTNAM NEW YORK TAX- EXEMPT INCOME BUY 0 Units @0.0000	0.00	0.88	0.00	0.88	10.0	0.09
07/02/2018	***-**-33IN - TESTA, BARBARA ACCOUNT #: 00214281708	PUTNAM U.S. GOVT INCOME TR-A BUY 0 Units @0.0000	0.00	18.34	0.00	18.34	10.0	1.83
07/02/2018	***-**-642I - DELGAIZO, LISA ACCOUNT #: 00488983741	PUTNAM U.S. GOVT INCOME TR-A BUY 0 Units @0.0000	0.00	1.24	0.00	1.24	10.0	0.12
06/30/2018	***-**-240J - MACCABEE, ALFRED ACCOUNT #: 02571141525	QUEST BALANCED A BUY 0 Units @0.0000	0.00	0.91	0.00	0.91	10.0	0.09
06/30/2018	***-**-502I - CHUDYK, LUCIANA ACCOUNT #: 02573443913	QUEST BALANCED A BUY 0 Units @0.0000	0.00	1.74	0.00	1.74	10.0	0.17
06/30/2018	***-**-772I - KERHAERT, ACCOUNT #: 02575859953	QUEST BALANCED A BUY 0 Units @0.0000	0.00	7.74	0.00	7.74	10.0	0.77
06/30/2018	***-**-8706 - BOSCO, REN ACCOUNT #: 02590094105	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	165.93	0.00	165.93	10.0	16.59
06/30/2018	***-**-110I - SAENZ, KATIA ACCOUNT #: 02592093355	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	10.70	0.00	10.70	10.0	1.07
06/30/2018	***-**-772I - KERHAERT, ACCOUNT #: 02592262304	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	9.86	0.00	9.86	10.0	0.99
06/30/2018	***-**-1314 - BENEDETTO, ACCOUNT #: 02592292741	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	75.21	0.00	75.21	10.0	7.52
06/30/2018	***-**-264I - SIDOTI, LAURA ACCOUNT #: 02362932061	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	4.76	0.00	4.76	10.0	0.48
06/30/2018	***-**-502I - CHUDYK, LUCIANA ACCOUNT #: 02363615612	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	2.72	0.00	2.72	10.0	0.27
06/30/2018	***-**-1346 - WEEKS S R ACCOUNT #: 02363693492	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	4.31	0.00	4.31	10.0	0.43



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/30/2018	***-**-4143 - STONE, GEORGE	QUEST OPPORTUNITY VALUE A	0.00	0.52	0.00	0.52	10.0	0.05
	ACCOUNT #: 02365376635	BUY 0 Units @0.0000						
06/30/2018	***-**-432I - BORDEN, ROBERT	QUEST OPPORTUNITY VALUE FUND C	0.00	5.08	0.00	5.08	10.0	0.51
	ACCOUNT #: 02380867812	BUY 0 Units @0.0000						
06/30/2018	***-**-1346 - WEEKS S R	QUEST OPPORTUNITY VALUE FUND C	0.00	21.58	0.00	21.58	10.0	2.16
	ACCOUNT #: 02381169938	BUY 0 Units @0.0000						
06/30/2018	***-**-7330 - JOHNSON, DONALD	REAL ESTATE FUND C	0.00	30.95	0.00	30.95	10.0	3.10
	ACCOUNT #: 05920398266	BUY 0 Units @0.0000						
06/30/2018	***-**-2620 - CUSIMANO, MEGAN	REAL ESTATE FUND C	0.00	1.04	0.00	1.04	10.0	0.10
	ACCOUNT #: 05920400103	BUY 0 Units @0.0000						
06/30/2018	***-**-509I - ARBORE,	RISING DIVIDENDS FUND A	0.00	9.62	0.00	9.62	10.0	0.96
	ACCOUNT #: 02253202056	BUY 0 Units @0.0000						
06/30/2018	***-**-76IN - CRISPINO, JULIE	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	356.62	0.00	356.62	10.0	35.66
	ACCOUNT #: 03550283547	BUY 0 Units @0.0000						
06/30/2018	***-**-76IN - CRISPINO, JULIE	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	396.24	0.00	396.24	10.0	39.62
	ACCOUNT #: 03550283547	BUY 0 Units @0.0000						
06/30/2018	***-**-11IN - ROBERTS NEEDS	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	56.75	0.00	56.75	10.0	5.68
	ACCOUNT #: 03551129898	BUY 0 Units @0.0000						
06/30/2018	***-**-96CL - SCARPULLA,	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	335.31	0.00	335.31	10.0	33.53
	ACCOUNT #: 03551296515	BUY 0 Units @0.0000						
06/30/2018	***-**-696J - ARBORE, JENNIFER	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	21.50	0.00	21.50	10.0	2.15
	ACCOUNT #: 03570590128	BUY 0 Units @0.0000						
06/30/2018	***-**-6188 - ROBERTS,	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	20.14	0.00	20.14	10.0	2.01
	ACCOUNT #: 03570646371	BUY 0 Units @0.0000						
07/09/2018	***-**-20IN - GIANGRECO, TERRY	ROCH. LIMITED TERM NEW YORK MUNICI	10,003.00	47.01	0.00	47.01	10.0	4.70
	ACCOUNT #: LSR010603	BUY 3461 Units @2.8900						
07/05/2018	***-**-33UG - DELGAIZO, ALESHA	SMALL CAP EQUITY FUND - A	0.00	1.71	0.00	1.71	10.0	0.17
	ACCOUNT #: 00000413901	BUY 0 Units @0.0000						
06/30/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE B	0.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 02520033660	BUY 0 Units @0.0000						
06/30/2018	***-**-4980 - MOYER, COLLEEN	SMALL- & MID- CAP VALUE FUND C	0.00	4.29	0.00	4.29	10.0	0.43
	ACCOUNT #: 02531288969	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
06/30/2018	***-**-1834 - BUTLER, KIM	SMALL- & MID- CAP VALUE FUND C	0.00	14.18	0.00	14.18	10.0	1.42
	ACCOUNT #: 02531162106	BUY 0 Units @0.0000						
07/06/2018	***-**-445P - BURNS, DANIEL	SMALLCAP WORLD FUND-A	41.60	0.42	0.00	0.42	10.0	0.04
	ACCOUNT #: 00066758346	BUY 1 Units @58.9400						
07/02/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @50.9100						
07/06/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	20.40	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00089051066	BUY 0 Units @51.6400						
07/06/2018	***-**-96CL - SCARPULLA,	SMALLCAP WORLD FUND-C	8.16	0.08	0.00	0.08	10.0	0.01
	ACCOUNT #: 00089051066	BUY 0 Units @51.6400						
06/30/2018	***-**-1834 - BUTLER, KIM	STRATEGIC INCOME FUND C	0.00	5.34	0.00	5.34	10.0	0.53
	ACCOUNT #: 01920863291	BUY 0 Units @0.0000						
06/30/2018	***-**-9206 - SANDER, DAVID	STRATEGIC INCOME FUND C	0.00	9.20	0.00	9.20	10.0	0.92
	ACCOUNT #: 02322653794	BUY 0 Units @0.0000						
06/30/2018	***-**-1314 - BENEDETTO,	STRATEGIC INCOME FUND C	0.00	33.52	0.00	33.52	10.0	3.35
	ACCOUNT #: 02322751089	BUY 0 Units @0.0000						
07/05/2018	***-**-425P - DELGAIZO, LOUISA	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063412117	BUY 3 Units @12.7500						
07/05/2018	***-**-535P - DELGAIZO,	THE BOND FUND OF AMERICA-A	44.50	0.53	0.00	0.53	10.0	0.05
	ACCOUNT #: 00063451518	BUY 3 Units @12.7500						
07/06/2018	***-**-445P - BURNS, DANIEL	THE BOND FUND OF AMERICA-A	28.80	0.29	0.00	0.29	10.0	0.03
	ACCOUNT #: 00066758346	BUY 2 Units @12.5800						
07/02/2018	***-**-2163 - TRAPANI, JAMES	THE BOND FUND OF AMERICA-C	28.05	0.28	0.00	0.28	10.0	0.03
	ACCOUNT #: 00085902249	BUY 2 Units @12.5400						
07/02/2018	***-**-3955 - EAST, MICHAEL	THE BOND FUND OF AMERICA-C	9.00	0.09	0.00	0.09	10.0	0.01
	ACCOUNT #: 00085904181	BUY 1 Units @12.5400						
07/02/2018	***-**-42IR - ADAMS, GRACE	THE GROWTH FUND OF AMERICA-A	50.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00073505114	BUY 1 Units @57.3800						
07/05/2018	***-**-425P - DELGAIZO, LOUISA	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063412117	BUY 1 Units @55.0800						
07/05/2018	***-**-535P - DELGAIZO,	THE GROWTH FUND OF AMERICA-A	66.75	0.80	0.00	0.80	10.0	0.08
	ACCOUNT #: 00063451518	BUY 1 Units @55.0800						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: FREDERIC SCARPULLA (continued)</u></b>								
07/05/2018	***-**-425P - MEEKS, PERDITA	THE GROWTH FUND OF AMERICA-A	12.50	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00074210167	BUY 0 Units @57.5600						
07/06/2018	***-**-195P - OZMINKOWSKI,	THE GROWTH FUND OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00066758342	BUY 5 Units @54.8200						
07/06/2018	***-**-405P - FRISA, ALAN	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758344	BUY 1 Units @54.8200						
07/06/2018	***-**-445P - BURNS, DANIEL	THE GROWTH FUND OF AMERICA-A	105.60	1.06	0.00	1.06	10.0	0.11
	ACCOUNT #: 00066758346	BUY 2 Units @54.8200						
07/06/2018	***-**-275P - LAMANNA, DANIEL	THE GROWTH FUND OF AMERICA-A	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00066758347	BUY 1 Units @54.8200						
07/06/2018	***-**-945P - VEGA, EDWARD	THE GROWTH FUND OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @54.8200						
07/06/2018	***-**-095P - RIVERA, MIGUEL	THE GROWTH FUND OF AMERICA-A	130.00	1.30	0.00	1.30	10.0	0.13
	ACCOUNT #: 00074922243	BUY 2 Units @54.8200						
07/06/2018	***-**-4750 - OSCHMANN, MARK	THE GROWTH FUND OF AMERICA-A	62.72	0.63	0.00	0.63	10.0	0.06
	ACCOUNT #: 00083414110	BUY 1 Units @54.8200						
07/06/2018	***-**-9447 - ZAJONCZKOSKI,	THE GROWTH FUND OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00087318332	BUY 0 Units @54.8200						
07/06/2018	***-**-4263 - HARTER, IAN	THE GROWTH FUND OF AMERICA-A	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089461113	BUY 0 Units @54.8200						
07/02/2018	***-**-984I - DELUCA, SHARI	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00064868315	BUY 1 Units @49.9600						
07/02/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	48.20	0.48	0.00	0.48	10.0	0.05
	ACCOUNT #: 00087038420	BUY 1 Units @49.9600						
07/02/2018	***-**-482I - MARCONI, TODD	THE GROWTH FUND OF AMERICA-C	10.00	0.10	0.00	0.10	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @49.9600						
07/03/2018	***-**-435P - BOSCO, SOFIA	THE GROWTH FUND OF AMERICA-C	176.00	1.76	0.00	1.76	10.0	0.18
	ACCOUNT #: 00073003754	BUY 4 Units @49.6800						
07/03/2018	***-**-1134 - BARTON, WILLIAM	THE GROWTH FUND OF AMERICA-C	58.77	0.59	0.00	0.59	10.0	0.06
	ACCOUNT #: 00089319958	BUY 1 Units @49.6800						
07/03/2018	***-**-0006 - FORSYTH, KATHRYN	THE GROWTH FUND OF AMERICA-C	86.54	0.87	0.00	0.87	10.0	0.09
	ACCOUNT #: 04000650661	BUY 2 Units @49.6800						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: FREDERIC SCARPULLA (continued)</u> </b>								
07/05/2018	***-**-4392 - GARCIA, MICHELLE	THE GROWTH FUND OF AMERICA-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00085764363	BUY 0 Units @50.1100						
07/05/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	50.09	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00089722785	BUY 1 Units @50.1100						
07/06/2018	***-**-96CL - SCARPULLA,	THE GROWTH FUND OF AMERICA-C	30.00	0.30	0.00	0.30	10.0	0.03
	ACCOUNT #: 00089045192	BUY 1 Units @50.6400						
07/06/2018	***-**-312S - DISCH, JASMINE	THE GROWTH FUND OF AMERICA-C	16.15	0.16	0.00	0.16	10.0	0.02
	ACCOUNT #: 00089583477	BUY 0 Units @50.6400						
07/02/2018	***-**-545P - VISCA, ANGELO	THE INVESTMENT COMPANY OF AMERICA-A	100.00	2.75	0.00	2.75	10.0	0.28
	ACCOUNT #: 00063056262	BUY 2 Units @41.7800						
07/03/2018	***-**-395P - DIVASTA, ANTHONY	THE INVESTMENT COMPANY OF AMERICA-A	50.00	1.88	0.00	1.88	10.0	0.19
	ACCOUNT #: 00059597416	BUY 1 Units @42.1500						
07/06/2018	***-**-195P - OZMINKOWSKI,	THE INVESTMENT COMPANY OF AMERICA-A	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00066758342	BUY 6 Units @40.9800						
07/06/2018	***-**-445P - BURNS, DANIEL	THE INVESTMENT COMPANY OF AMERICA-A	41.60	0.42	0.00	0.42	10.0	0.04
	ACCOUNT #: 00066758346	BUY 1 Units @40.9800						
07/06/2018	***-**-945P - VEGA, EDWARD	THE INVESTMENT COMPANY OF AMERICA-A	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00066758348	BUY 1 Units @40.9800						
07/06/2018	***-**-965P - MCGUIRE, SCOTT	THE INVESTMENT COMPANY OF AMERICA-A	20.00	0.20	0.00	0.20	10.0	0.02
	ACCOUNT #: 00073798048	BUY 0 Units @40.9800						
07/02/2018	***-**-9024 - HACKETT, ETHAN	THE NEW ECONOMY FUND-C	25.00	0.25	0.00	0.25	10.0	0.03
	ACCOUNT #: 00088123299	BUY 1 Units @43.4500						
07/02/2018	***-**-935J - RUSH, DONNA	THE TAX-EXEMPT BOND FUND OF AMERICA	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00085296459	BUY 4 Units @12.8200						
07/02/2018	***-**-44UG - GUERRIERI,	THE TAX-EXEMPT BOND FUND OF AMERICA	250.00	2.50	0.00	2.50	10.0	0.25
	ACCOUNT #: 00085399145	BUY 20 Units @12.8200						
07/09/2018	***-**-20IN - GIANGRECO, TERRY	THE TAX-EXEMPT BOND FUND OF AMERICA	10,003.00	97.03	0.00	97.03	10.0	9.70
	ACCOUNT #: LSR010603	BUY 779 Units @12.8400						
06/30/2018	***-**-206I - SANDERS, DAVID	VALUE FUND A	0.00	7.25	0.00	7.25	10.0	0.73
	ACCOUNT #: 03751730652	BUY 0 Units @0.0000						
06/30/2018	***-**-9206 - SANDER, DAVID	VALUE FUND C	0.00	12.03	0.00	12.03	10.0	1.20
	ACCOUNT #: 03770488829	BUY 0 Units @0.0000						



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400 West Metro Park  
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BROKER #: 20  
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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: FREDERIC SCARPULLA (continued)</u></b>								
07/02/2018	***-**-545P - VISCA, ANGELO	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	1.38	0.00	1.38	10.0	0.14
	ACCOUNT #: 00063056262	BUY 1 Units @46.0100						
07/06/2018	***-**-415P - MALOVICS, LASZLO	WASHINGTON MUTUAL INVESTORS FUND-A	500.00	5.00	0.00	5.00	10.0	0.50
	ACCOUNT #: 00066758345	BUY 11 Units @44.9100						
07/06/2018	***-**-445P - BURNS, DANIEL	WASHINGTON MUTUAL INVESTORS FUND-A	44.80	0.45	0.00	0.45	10.0	0.05
	ACCOUNT #: 00066758346	BUY 1 Units @44.9100						
07/02/2018	***-**-984I - DELUCA, SHARI	WASHINGTON MUTUAL INVESTORS FUND-C	50.00	0.50	0.00	0.50	10.0	0.05
	ACCOUNT #: 00064868315	BUY 1 Units @43.8200						
07/02/2018	***-**-482I - MARCONI, TODD	WASHINGTON MUTUAL INVESTORS FUND-C	5.00	0.05	0.00	0.05	10.0	0.01
	ACCOUNT #: 00089570936	BUY 0 Units @43.8200						
07/02/2018	***-**-2825 - SPERANZA, JOHN	WASHINGTON MUTUAL INVESTORS FUND-C	40.00	0.40	0.00	0.40	10.0	0.04
	ACCOUNT #: 00089910177	BUY 1 Units @43.8200						
07/03/2018	***-**-435P - BOSCO, SOFIA	WASHINGTON MUTUAL INVESTORS FUND-C	187.00	1.87	0.00	1.87	10.0	0.19
	ACCOUNT #: 00073003754	BUY 4 Units @43.6900						
	<b>* FREDERIC SCARPULLA SUBTOTAL *</b>		<b>\$28,048.81</b>	<b>\$8,977.05</b>	<b>\$0.00</b>	<b>\$8,977.05</b>		<b>\$897.89</b>
<b><u>BROKER: WILLIAM AGNELLO</u></b>								
06/30/2018	***-**-911N - IRWIN, STEVEN	CAPITAL APPRECIATION A	0.00	1.04	0.00	1.04	25.0	0.26
	ACCOUNT #: 03211657888	BUY 0 Units @0.0000						
07/16/2018	***-**-43FB - CUP, NICHOLAS	JOHN HANCOCK 529 TRAILS	0.00	8.76	0.00	8.76	25.0	2.19
	ACCOUNT #: 00052280820	BUY 0 Units @0.0000						
07/16/2018	***-**-281N - CUP, ANDREW	NEW YORK 529 TRAILS	0.00	9.87	0.00	9.87	25.0	2.47
	ACCOUNT #: 77133335101	BUY 0 Units @0.0000						
06/30/2018	***-**-281N - CUP, ANDREW	OPPENHEIMER DISCOVERY CLASS A	0.00	21.28	0.00	21.28	25.0	5.32
	ACCOUNT #: 05005497591	BUY 0 Units @0.0000						
	<b>* WILLIAM AGNELLO SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$40.95</b>	<b>\$0.00</b>	<b>\$40.95</b>		<b>\$10.24</b>
<b><u>BROKER: JAMES LOMBARDO</u></b>								
07/02/2018	***-**-228I - EMMA, JACQUELINE	37252M108	0.00	1.23	0.00	1.23	15.0	0.18
	ACCOUNT #: 00551461545	BUY 0 Units @0.0000						
07/02/2018	***-**-5506 - LOMBARDO, LEIGH	37252M108	0.00	3.01	0.00	3.01	15.0	0.45
	ACCOUNT #: 00370935092	BUY 0 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: JAMES LOMBARDO (continued)</u></b>								
07/02/2018	***-**-1748 - LOMBARDO, JAMES	37252M108	0.00	6.72	0.00	6.72	15.0	1.01
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
07/01/2018	***-**-511R - HOKE, THOMAS	AIM INTERMEDIATE GOVERNMENT FD - CL	0.00	2.44	0.00	2.44	15.0	0.37
	ACCOUNT #: 03809514965	BUY 0 Units @0.0000						
07/02/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 04000460394	BUY 2 Units @28.8000						
07/02/2018	***-**-9634 - STREIT, TERRY	AMERICAN BALANCED FUND-A	50.00	2.50	0.00	2.50	15.0	0.38
	ACCOUNT #: 04000460402	BUY 2 Units @28.8000						
07/02/2018	***-**-1748 - LOMBARDO, JAMES	AMERICAN BALANCED FUND-A	100.00	5.00	0.00	5.00	15.0	0.75
	ACCOUNT #: 00087068370	BUY 3 Units @28.8000						
07/03/2018	***-**-98CL - ACOSTA, CLIENTS	AMERICAN BALANCED FUND-A	110.00	5.50	0.00	5.50	15.0	0.83
	ACCOUNT #: 00088153955	BUY 4 Units @28.7700						
07/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN BALANCED FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 2 Units @28.6700						
07/06/2018	***-**-2608 - GIAMAS, GREGORY	AMERICAN MUTUAL FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @43.1300						
07/06/2018	***-**-2608 - GIAMAS, GREGORY	FUNDAMENTAL INVESTORS-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @66.3700						
07/01/2018	***-**-5506 - LOMBARDO, LEIGH	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	24.93	0.00	24.93	15.0	3.74
	ACCOUNT #: 03809219276	BUY 0 Units @0.0000						
07/01/2018	***-**-6195 - BACKUS, THOMAS	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	9.67	0.00	9.67	15.0	1.45
	ACCOUNT #: 03908954377	BUY 0 Units @0.0000						
07/06/2018	***-**-2608 - GIAMAS, GREGORY	NEW PERSPECTIVE FUND-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @47.6300						
07/16/2018	***-**-13CL - BERG, C, CLIENTS	NEW YORK 529 TRAILS	0.00	0.27	0.00	0.27	15.0	0.04
	ACCOUNT #: 77450911001	BUY 0 Units @0.0000						
07/02/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM ASSET ALLOC CONSERV-A	0.00	16.67	0.00	16.67	15.0	2.50
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
07/02/2018	***-**-7177 - RUNICE, MARGARET	PUTNAM EQUITY INCOME FUND-A	0.00	16.11	0.00	16.11	15.0	2.42
	ACCOUNT #: 00266380833	BUY 0 Units @0.0000						
07/02/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM EQUITY INCOME FUND-A	0.00	7.95	0.00	7.95	15.0	1.19
	ACCOUNT #: 00461190200	BUY 0 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: JAMES LOMBARDO (continued)</u></b>								
07/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM EQUITY INCOME FUND-A	0.00	26.60	0.00	26.60	15.0	3.99
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						
07/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.54	0.00	0.54	15.0	0.08
	ACCOUNT #: 00483546659	BUY 0 Units @0.0000						
07/02/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM INVESTORS FUND-A	0.00	3.71	0.00	3.71	15.0	0.56
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
07/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM INVESTORS FUND-A	0.00	4.12	0.00	4.12	15.0	0.62
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						
07/02/2018	***-**-8491 - INCORVAIA,	PUTNAM INVESTORS FUND-A	0.00	2.73	0.00	2.73	15.0	0.41
	ACCOUNT #: 00517271868	BUY 0 Units @0.0000						
07/02/2018	***-**-8201 - MAUTNER, LILLIAN	PUTNAM INVESTORS FUND-A	0.00	1.04	0.00	1.04	15.0	0.16
	ACCOUNT #: 00551326614	BUY 0 Units @0.0000						
07/02/2018	***-**-6565 - MAUTNER, ARIANNY	PUTNAM INVESTORS FUND-A	0.00	1.04	0.00	1.04	15.0	0.16
	ACCOUNT #: 00551326624	BUY 0 Units @0.0000						
07/02/2018	***-**-1748 - LOMBARDO, JAMES	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.41	0.00	0.41	15.0	0.06
	ACCOUNT #: 00394748552	BUY 0 Units @0.0000						
07/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.46	0.00	0.46	15.0	0.07
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						
07/02/2018	***-**-8491 - INCORVAIA,	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.30	0.00	0.30	15.0	0.05
	ACCOUNT #: 00517271868	BUY 0 Units @0.0000						
07/02/2018	***-**-8201 - MAUTNER, LILLIAN	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.12	0.00	0.12	15.0	0.02
	ACCOUNT #: 00551326614	BUY 0 Units @0.0000						
07/02/2018	***-**-6565 - MAUTNER, ARIANNY	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.12	0.00	0.12	15.0	0.02
	ACCOUNT #: 00551326624	BUY 0 Units @0.0000						
07/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	34.28	0.00	34.28	15.0	5.14
	ACCOUNT #: 00343384180	BUY 0 Units @0.0000						
07/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	33.91	0.00	33.91	15.0	5.09
	ACCOUNT #: 00452858253	BUY 0 Units @0.0000						
07/02/2018	***-**-4379 - MATICIC, JOSEPH	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	3.90	0.00	3.90	15.0	0.59
	ACCOUNT #: 00461190200	BUY 0 Units @0.0000						
07/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	20.87	0.00	20.87	15.0	3.13
	ACCOUNT #: 00512402638	BUY 0 Units @0.0000						



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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: JAMES LOMBARDO (continued)</u></b>								
07/02/2018	***-**-0935 - MINEO, JAMES	PUTNAM NEW OPPORTUNITIES-B	0.00	0.42	0.00	0.42	15.0	0.06
	ACCOUNT #: 00452858253	BUY 0 Units @0.0000						
07/02/2018	***-**-4160 - RUNICE, ARVID	PUTNAM SHORT DURATION INCOME CL A	0.00	5.15	0.00	5.15	15.0	0.77
	ACCOUNT #: 00550388392	BUY 0 Units @0.0000						
06/30/2018	***-**-2582 - FERRAR, PATRICIA	ROCHESTER FUND MUNICIPALS A	0.00	80.87	0.00	80.87	15.0	12.13
	ACCOUNT #: 03651105500	BUY 0 Units @0.0000						
06/30/2018	***-**-9195 - FERRAR, ROLFE	ROCHESTER FUND MUNICIPALS A	0.00	38.15	0.00	38.15	15.0	5.72
	ACCOUNT #: 03651253373	BUY 0 Units @0.0000						
07/02/2018	***-**-3040 - KOTARY, BRANDY	THE BOND FUND OF AMERICA-A	50.00	1.50	0.00	1.50	15.0	0.23
	ACCOUNT #: 00087642268	BUY 4 Units @13.0300						
07/06/2018	***-**-2608 - GIAMAS, GREGORY	THE GROWTH FUND OF AMERICA-A	50.00	1.88	0.00	1.88	15.0	0.28
	ACCOUNT #: 00081315892	BUY 1 Units @57.4000						
07/02/2018	***-**-6802 - NAKANO, AMELIA	THE NEW ECONOMY FUND-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00082853395	BUY 1 Units @50.9900						
07/05/2018	***-**-3828 - DUSABLON, DANIEL	U.S. GOVERNMENT SECURITIES FUND CLA	150.00	4.50	0.00	4.50	15.0	0.68
	ACCOUNT #: 00084530390	BUY 11 Units @13.8900						
07/01/2018	***-**-5506 - LOMBARDO, LEIGH	VAN KAMPEN3	0.00	8.06	0.00	8.06	15.0	1.21
	ACCOUNT #: 03809219276	BUY 0 Units @0.0000						
07/02/2018	***-**-6802 - NAKANO, AMELIA	WASHINGTON MUTUAL INVESTORS FUND-A	50.00	2.13	0.00	2.13	15.0	0.32
	ACCOUNT #: 00082853395	BUY 1 Units @46.7400						
* JAMES LOMBARDO SUBTOTAL *			<b>\$860.00</b>	<b>\$390.96</b>	<b>\$0.00</b>	<b>\$390.96</b>		<b>\$58.68</b>
*** OVERRIDE TRANSACTIONS TOTAL ***			<b>\$28,908.81</b>	<b>\$12,247.56</b>	<b>\$0.00</b>	<b>\$12,247.56</b>		<b>\$1,360.29</b>



BROKER #: 20  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER COMMISSION TOTALS								
						Broker Transactions		\$2,754.33
						Split Transactions		\$0.00
						Override Transactions		\$1,360.29
						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		\$4,114.62
						Year-to-date Earnings		\$72,497.36