



COMMISSION STATEMENT

June 25, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</u>								
06/26/2018	***-**-13IN - RHYMESTINE,	GWG L BOND - 7 YR BUY 15 Units @1000.0000	15,000.00	900.00	0.00	900.00	0.0	0.00
05/22/2018	***-**-0851 - LALLIER, JAMES	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	0.0	0.00
05/22/2018	***-**-0851 - LALLIER, JAMES	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	0.0	0.00
06/26/2018	***-**-13IN - RHYMESTINE,	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	0.0	0.00
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$45,000.00	\$2,580.00	\$0.00	\$2,580.00		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/07/2018	***-**-480J - EVANS, RICHARD ACCOUNT #: 00073288662	AMERICAN BALANCED FUND-A BUY 4 Units @28.7400	125.00	4.69	0.00	4.69	0.0	0.00
06/15/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	AMERICAN GLOBAL BALANCED CL C SELL 31 Units @32.2500	1,000.01	18.00	18.00	0.00	0.0	0.00
06/18/2018	***-**-555J - WHITTON, CHERYL ACCOUNT #: LSR012715	AMERICAN GLOBAL BALANCED CL C BUY 373 Units @32.1700	11,999.99	138.00	18.00	120.00	0.0	0.00
06/11/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
06/15/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 00083510637	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.2400	75.00	0.75	0.00	0.75	0.0	0.00
06/15/2018	***-**-2855 - KRECIDLO, MARTA ACCOUNT #: 00083510745	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.2400	75.00	0.75	0.00	0.75	0.0	0.00
06/15/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.2400	50.00	0.50	0.00	0.50	0.0	0.00
06/19/2018	***-**-555J - WHITTON, CHERYL ACCOUNT #: LSR012715	EATON VANCE FLOATING RATE ADVANTAGE BUY 687 Units @10.9100	7,500.00	93.00	18.00	75.00	0.0	0.00
06/11/2018	***-**-633J - ACCOUNT #: 08353229688	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	0.0	0.00
06/04/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
06/15/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	FUNDAMENTAL INVESTORS-C BUY 1 Units @63.3600	50.00	0.50	0.00	0.50	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
06/18/2018	***-**-555J - WHITTON, CHERYL	FUNDAMENTAL INVESTORS-C	7,999.98	98.00	18.00	80.00	0.0	0.00
	ACCOUNT #: LSR012715	BUY 127 Units @63.1900						
06/11/2018	***-**-65CL - GRUENEWALD, K,	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 02171825219	BUY 0 Units @0.0000						
06/18/2018	***-**-555J - WHITTON, CHERYL	GLOBAL OPPORTUNITIES FUND C	10,000.02	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012715	BUY 154 Units @65.0700						
06/19/2018	***-**-555J - WHITTON, CHERYL	LORD ABBETT SHORT DURATION INCOME C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012715	BUY 2375 Units @4.2100						
06/15/2018	***-**-188I - BRADLEY, WAYNE	MFS DIVERSIFIED INCOME FD CL C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012484	BUY 822 Units @12.1700						
06/18/2018	***-**-555J - WHITTON, CHERYL	MFS TECHNOLOGY CLASS C	7,500.01	93.00	18.00	75.00	0.0	0.00
	ACCOUNT #: LSR012715	BUY 193 Units @38.7800						
06/19/2018	***-**-555J - WHITTON, CHERYL	MFS UTILITIES FUND-C	7,000.00	88.00	18.00	70.00	0.0	0.00
	ACCOUNT #: LSR012715	BUY 351 Units @19.9700						
06/15/2018	***-**-680I - HARRELL, DARYL	NEW WORLD FUND-C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00083996385	BUY 1 Units @64.4700						
06/11/2018	***-**-633J -	OPP PORT SERIES: ACTIVE ALLOC A	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 05502871176	BUY 0 Units @0.0000						
06/04/2018	***-**-13IN - BLISS, PATRICK	OPPENHEIMER ACTIVE ALLOCATION FUND	75.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 05521022681	BUY 0 Units @0.0000						
06/04/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						
06/11/2018	***-**-775I - BLISS, APRIL	OPPENHEIMER ACTIVE ALLOCATION FUND	90.98	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: 05521022692	BUY 0 Units @0.0000						
06/04/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER GLBL REAL ESTATE FUND C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00100021715	BUY 0 Units @0.0000						
06/04/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER INTERNATIONAL DIVERSIFI	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 01971019612	BUY 0 Units @0.0000						
06/11/2018	***-**-633J -	OPPENHEIMER INTERNATIONAL DIVERSIFI	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 01953330426	BUY 0 Units @0.0000						
06/11/2018	***-**-633J -	OPPENHEIMER SMALL & MID CAP VALUE F	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 02514987422	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
06/18/2018	***-**-555J - WHITTON, CHERYL	RESOURCE CREDIT INCOME FUND C	7,500.00	93.00	18.00	75.00	0.0	0.00
	ACCOUNT #: LSR012715	BUY 658 Units @11.4000						
06/20/2018	***-**-930J - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	15,000.00	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR010940	BUY 1434 Units @10.4600						
06/07/2018	***-**-480J - EVANS, RICHARD	THE GROWTH FUND OF AMERICA-A	125.00	4.69	0.00	4.69	0.0	0.00
	ACCOUNT #: 00073288662	BUY 2 Units @56.8900						
06/15/2018	***-**-680I - HARRELL, DARYL	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00083996385	BUY 1 Units @50.8300						
* MUTUAL FUNDS SUBTOTAL *			\$97,265.99	\$1,193.78	\$198.00	\$995.78		\$0.00
PRODUCT CATEGORY: STOCKS								
06/21/2018	***-**-48IO - CLARK, PATRICK	BERKSHIRE HATHAWAY INC DEL CL B NEW	9,414.50	167.49	18.00	149.49	0.0	0.00
	ACCOUNT #: LSR010911	SELL 50 Units @188.2900						
06/20/2018	***-**-366S - GRUENEWALD,	INTEL CORP SOLICITED ORDER	10,650.00	124.50	18.00	106.50	0.0	0.00
	ACCOUNT #: LSR010990	SELL 200 Units @53.2500						
06/19/2018	***-**-366I - GRUENEWALD,	LOXO ONCOLOGY INC	8,997.50	107.97	16.00	91.97	0.0	0.00
	ACCOUNT #: LSR010989	SELL 50 Units @179.9500						
06/20/2018	***-**-930J - SANGER, KEVIN	NATIONAL GRID SPON ADR EACH REP 5 O	11,062.00	84.99	19.00	65.99	0.0	0.00
	ACCOUNT #: LSR010940	BUY 200 Units @55.3100						
06/19/2018	***-**-960J - MASTRANGELO,	WALMART STORES INC UNSOLICITED ORDE	4,491.99	87.49	16.08	71.41	0.0	0.00
	ACCOUNT #: LSR010966	SELL 54 Units @83.1850						
* STOCKS SUBTOTAL *			\$44,615.99	\$572.44	\$87.08	\$485.36		\$0.00
PRODUCT CATEGORY: 529 PLAN								
06/15/2018	***-**-5375 - CARTER, LISA	AMERICAN BALANCED FUND-529C	300.00	3.00	0.00	3.00	0.0	0.00
	ACCOUNT #: 00083996363	BUY 11 Units @27.3200						
06/15/2018	***-**-0767 - DOVI,	NYA JPM 529 AGGR PORTI C	25.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: 77579193101	BUY 0 Units @0.0000						
06/15/2018	***-**-473J - HUSTON,	NYA JPM 529 MOD GROWTH POR C	200.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 77852732401	BUY 0 Units @0.0000						
06/15/2018	***-**-473J - HUSTON,	NYA JPM 529 MOD GROWTH POR C	200.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 77852732402	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: 529 PLAN (continued)								
06/20/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	THE GROWTH FUND OF AMERICA-529C BUY 1 Units @51.1500	50.00	0.50	0.00	0.50	0.0	0.00
* 529 PLAN SUBTOTAL *			\$775.00	\$7.75	\$0.00	\$7.75		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
06/25/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	37252M108 BUY 1 Units @0.0000	0.00	1.01	0.00	1.01	0.0	0.00
06/25/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	37252M108 BUY 1 Units @0.0000	0.00	0.85	0.00	0.85	0.0	0.00
06/25/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	37252M108 BUY 1 Units @0.0000	0.00	1.73	0.00	1.73	0.0	0.00
06/25/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	AIM GLOBAL VALUE FUND - CLASS A BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	0.0	0.00
06/25/2018	***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037	AIM GOLD & PRECIOUS METALS FD - A BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	0.0	0.00
06/25/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	AIM GOLD & PRECIOUS METALS FD - A BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	0.0	0.00
06/25/2018	***-**-837O - BASEMENT ACCOUNT #: LSR011046	AIM GOLD & PRECIOUS METALS FD - A BUY 1 Units @0.0000	0.00	1.98	0.00	1.98	0.0	0.00
06/25/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	CLEARBRIDGE AGGRESSIVE GROWTH A BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	0.0	0.00
06/25/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	DEVELOPING MARKETS FUND B BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	0.0	0.00
06/25/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	DEVELOPING MARKETS FUND B BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	0.0	0.00
06/25/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	0.0	0.00
06/25/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.35	0.00	2.35	0.0	0.00
06/25/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.26	0.00	2.26	0.0	0.00
06/25/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.55	0.00	2.55	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-15IN - PENDRAK, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.91	0.00	1.91	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-702I - KOCHEM, MICHAEL	EQUITY INCOME FUND, INC. A	0.00	2.07	0.00	2.07	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
06/25/2018	***-**-959I - FRANZ, PAUL	EQUITY INCOME FUND, INC. A	0.00	2.29	0.00	2.29	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
06/25/2018	***-**-567I - FRANZ, ALICE	EQUITY INCOME FUND, INC. A	0.00	6.05	0.00	6.05	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
06/25/2018	***-**-960J - MASTRANGELO,	EQUITY INCOME FUND, INC. A	0.00	2.43	0.00	2.43	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
06/25/2018	***-**-366I - GRUENEWALD,	EQUITY INCOME FUND, INC. A	0.00	1.34	0.00	1.34	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - CAIN, TIMOTHY	EQUITY INCOME FUND, INC. A	0.00	2.59	0.00	2.59	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
06/25/2018	***-**-761I - EVANS, DOLORES	EQUITY INCOME FUND, INC. A	0.00	4.63	0.00	4.63	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
06/25/2018	***-**-944O - MAYO, DEBORAH	EQUITY INCOME FUND, INC. A	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
06/25/2018	***-**-306X - COBB, CHERRYL	EQUITY INCOME FUND, INC. A	0.00	1.99	0.00	1.99	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	EQUITY INCOME FUND, INC. A	0.00	1.73	0.00	1.73	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-861I - SANGER, LAWRENCE	EQUITY INCOME FUND, INC. A	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
06/25/2018	***-**-506J - CURRIERE JR, MR	EQUITY INCOME FUND, INC. A	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
06/25/2018	***-**-48IO - ANACKER, FBO MRS	EQUITY INCOME FUND, INC. A	0.00	1.70	0.00	1.70	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
06/25/2018	***-**-653I - KOCHEM, CLINTON	EQUITY INCOME FUND, INC. A	0.00	3.16	0.00	3.16	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
06/25/2018	***-**-680I - HARRELL, DARYL	EQUITY INCOME FUND, INC. A	0.00	0.87	0.00	0.87	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-64IO - PFAFF, GEORGE	EQUITY INCOME FUND, INC. B	0.00	2.14	0.00	2.14	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
06/25/2018	***-**-62IR - ROBBIANO, FBO	EQUITY INCOME FUND, INC. B	0.00	1.53	0.00	1.53	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
06/25/2018	***-**-980I - ACEE, ELIZABETH	EQUITY INCOME FUND, INC. C	0.00	14.01	0.00	14.01	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
06/25/2018	***-**-031O - MCVOY, ROBERT	EQUITY INCOME FUND, INC. C	0.00	6.32	0.00	6.32	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
06/25/2018	***-**-00IO - LEE, GARY	EQUITY INCOME FUND, INC. C	0.00	13.94	0.00	13.94	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
06/25/2018	***-**-714O - LINES, JUDITH	EQUITY INCOME FUND, INC. C	0.00	3.83	0.00	3.83	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
06/25/2018	***-**-28IN - BYWATER, KIM	EQUITY INCOME FUND, INC. C	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
06/25/2018	***-**-111J - NESSIA, JAMES	FIDELITY ADV EMERGING MRKTS INC CL	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
06/25/2018	***-**-62IN - EATON, DAVID	FIDELITY ADV EMERGING MRKTS INC CL	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
06/25/2018	***-**-930I - SANGER, KEVIN	FIDELITY ADV EQUITY INCOME CL A	0.00	2.14	0.00	2.14	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	FIDELITY ADV INDUSTRIALS-CL C	0.00	14.57	0.00	14.57	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	FIDELITY ADV SMALL CAP CL C	0.00	5.15	0.00	5.15	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	5.01	0.00	5.01	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	FIDELITY ADVISOR EQUITY INCOME CL C	0.00	20.26	0.00	20.26	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	FIDELITY ADVISOR INT'L DISCOVERY CL	0.00	16.34	0.00	16.34	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	FIDELITY ADVISOR INTERMEDIATE BOND	0.00	8.28	0.00	8.28	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						



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KURT GRUENEWALD
2108 Genesee St.
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BROKER #: A77
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-15IN - PENDRAK, JOHN	FIDELITY ADVISOR MORTGAGE SECS CL A	0.00	2.10	0.00	2.10	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-02IN - BUSHEY, MELISSA	FIDELITY ADVISOR MORTGAGE SECS CL A	0.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	FIDELITY ADVISOR MORTGAGE SECS CL C	0.00	5.71	0.00	5.71	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-44IO - MAYO, DEBORAH	FRANKLIN BIOTECH DISCOVERY FUND CL	0.00	7.63	0.00	7.63	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
06/25/2018	***-**-382I - SATTERLY, NEIL	FRANKLIN CONVERTIBLE SECURITIES CLA	0.00	9.65	0.00	9.65	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
06/25/2018	***-**-86IN - LEE, KEVIN	FRANKLIN GROWTH FUND CLASS A	0.00	2.18	0.00	2.18	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
06/25/2018	***-**-86IN - LEE, KEVIN	FRANKLIN INCOME FUND CLASS A	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
06/25/2018	***-**-61IN - EVANS, DOLORES	FRANKLIN INCOME FUND CLASS C	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
06/25/2018	***-**-44IO - MAYO, DEBORAH	FRANKLIN INCOME FUND CLASS C	0.00	5.73	0.00	5.73	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
06/25/2018	***-**-09IO - BATES, FBO MRS	FRANKLIN INCOME FUND CLASS C	0.00	7.34	0.00	7.34	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
06/25/2018	***-**-11IO - LYNN G.	FRANKLIN INCOME FUND CLASS C	0.00	9.78	0.00	9.78	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
06/25/2018	***-**-376I - BERBEN, GAIL	FRANKLIN INCOME FUND CLASS C	0.00	8.97	0.00	8.97	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
06/25/2018	***-**-45IO - JOHNSON, GREGORY	FRANKLIN INCOME FUND CLASS C	0.00	7.01	0.00	7.01	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
06/25/2018	***-**-531J - WILLIAMSON,	FRANKLIN INCOME FUND CLASS C	0.00	2.72	0.00	2.72	0.0	0.00
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
06/25/2018	***-**-00IN - FRANZ, JEAN	FRANKLIN INCOME FUND CLASS C	0.00	39.43	0.00	39.43	0.0	0.00
	ACCOUNT #: LSR011796	BUY 1 Units @0.0000						
06/25/2018	***-**-366O - GRUENEWALD,	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	0.08	0.00	0.08	0.0	0.00
	ACCOUNT #: LSR010987	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-065I - LAZIO, THOMAS	FRK GROWTH OPPORTUNITIES CL C	0.00	2.25	0.00	2.25	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
06/25/2018	***-**-45IO - JOHNSON, GREGORY	FRK GROWTH OPPORTUNITIES CL C	0.00	3.44	0.00	3.44	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
06/25/2018	***-**-065I - LAZIO, THOMAS	FRNKLN BALANCE SHEET INVTMNT FND -	0.00	8.28	0.00	8.28	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
06/25/2018	***-**-128I - BASHANT, THOMAS	GLOBAL FUND A	0.00	2.25	0.00	2.25	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
06/25/2018	***-**-094I - KATRENA L	GLOBAL OPPORTUNITIES FUND C	0.00	16.75	0.00	16.75	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
06/25/2018	***-**-254I - AUGUSTINE, LINDA	GOLD & SPECIAL MINERALS A	0.00	0.31	0.00	0.31	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
06/25/2018	***-**-881I - EBERLEY, SUSAN	GOLD & SPECIAL MINERALS A	0.00	0.16	0.00	0.16	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
06/25/2018	***-**-949I - ACEE, JOSPEH	GOLD & SPECIAL MINERALS A	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
06/25/2018	***-**-930I - SANGER, KEVIN	GOLD & SPECIAL MINERALS A	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
06/25/2018	***-**-15IN - PENDRAK, JOHN	GOLD & SPECIAL MINERALS A	0.00	2.19	0.00	2.19	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-702J - KOCHEM, MICHAEL	GOLD & SPECIAL MINERALS A	0.00	0.23	0.00	0.23	0.0	0.00
	ACCOUNT #: LSR010955	BUY 1 Units @0.0000						
06/25/2018	***-**-959I - FRANZ, PAUL	GOLD & SPECIAL MINERALS A	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
06/25/2018	***-**-61IN - EVANS, DOLORES	GOLD & SPECIAL MINERALS A	0.00	0.18	0.00	0.18	0.0	0.00
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
06/25/2018	***-**-944O - MAYO, DEBORAH	GOLD & SPECIAL MINERALS A	0.00	0.54	0.00	0.54	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
06/25/2018	***-**-96IN - NESSIA, BONNIE	GOLD & SPECIAL MINERALS A	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	GOLD & SPECIAL MINERALS A	0.00	0.55	0.00	0.55	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						



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BROKER #: A77
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	0.0	0.00
06/25/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	0.0	0.00
06/25/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	0.0	0.00
06/25/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	0.0	0.00
06/25/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	0.0	0.00
06/25/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	0.0	0.00
06/25/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	0.0	0.00
06/25/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	0.0	0.00
06/25/2018	***-**-702I - KOHEM, MICHAEL ACCOUNT #: LSR010954	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	0.0	0.00
06/25/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	0.0	0.00
06/25/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	0.0	0.00
06/25/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	2.56	0.00	2.56	0.0	0.00
06/25/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	0.0	0.00
06/25/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	1.76	0.00	1.76	0.0	0.00
06/25/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	INTERNATIONAL BOND A BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	0.0	0.00
06/25/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	INTERNATIONAL BOND A BUY 1 Units @0.0000	0.00	2.52	0.00	2.52	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-761I - EVANS, DOLORES	INTERNATIONAL BOND A	0.00	3.42	0.00	3.42	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
06/25/2018	***-**-15IN - PENDRAK, JOHN	INTERNATIONAL SMALL COMPANY A	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-959I - FRANZ, PAUL	INTERNATIONAL SMALL COMPANY A	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
06/25/2018	***-**-367J - WAGNER, MRS LANT	INTERNATIONAL SMALL COMPANY A	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
06/25/2018	***-**-664J - PFAFF, GEORGE	INTERNATIONAL SMALL COMPANY FUND B	0.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
06/25/2018	***-**-71IO - FAMOLARO, JAMES	INVESCO VAN KAMPEN COMSTOCK CLASS A	0.00	0.46	0.00	0.46	0.0	0.00
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
06/25/2018	***-**-71IO - FAMOLARO, JAMES	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	0.42	0.00	0.42	0.0	0.00
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
06/25/2018	***-**-44IO - MAYO, DEBORAH	LORD ABBETT SHORT DURATION INCOME C	0.00	19.04	0.00	19.04	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
06/25/2018	***-**-579J - RHYMESTINE,	LORD ABBETT SHORT DURATION INCOME C	0.00	9.69	0.00	9.69	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
06/25/2018	***-**-09IO - BATES, FBO MRS	LORD ABBETT SHORT DURATION INCOME C	0.00	12.83	0.00	12.83	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
06/25/2018	***-**-89IN - LEE, ROGER	LORD ABBETT SHORT DURATION INCOME C	0.00	24.30	0.00	24.30	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
06/25/2018	***-**-439J - MCCARTHY, JAMES	LORD ABBETT SHORT DURATION INCOME C	0.00	1.90	0.00	1.90	0.0	0.00
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						
06/25/2018	***-**-45IO - JOHNSON, GREGORY	LORD ABBETT SHORT DURATION INCOME C	0.00	12.78	0.00	12.78	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
06/25/2018	***-**-14IO - BUSHEY, MATTHEW	LORD ABBETT SHORT DURATION INCOME C	0.00	9.51	0.00	9.51	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
06/25/2018	***-**-531J - WILLIAMSON,	LORD ABBETT SHORT DURATION INCOME C	0.00	7.44	0.00	7.44	0.0	0.00
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
06/25/2018	***-**-45IO - JOHNSON, GREGORY	MAIN STREET FUND C	0.00	7.58	0.00	7.58	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-7140 - LINES, JUDITH	MAIN STREET FUND C	0.00	5.00	0.00	5.00	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
06/25/2018	***-**-2010 - DEMETRI, AMELIA	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	1.57	0.00	1.57	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
06/25/2018	***-**-151N - PENDRAK, JOHN	OPP PORT SERIES: ACTIVE ALLOC A	0.00	1.62	0.00	1.62	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-801N - COBB, JAMES	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	7.68	0.00	7.68	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
06/25/2018	***-**-441O - MAYO, DEBORAH	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	15.12	0.00	15.12	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
06/25/2018	***-**-091O - BATES, FBO MRS	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	16.92	0.00	16.92	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
06/25/2018	***-**-111O - LYNN G.	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	14.68	0.00	14.68	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
06/25/2018	***-**-451O - JOHNSON, GREGORY	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	10.39	0.00	10.39	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
06/25/2018	***-**-281N - BYWATER, KIM	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	1.32	0.00	1.32	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
06/25/2018	***-**-881J - EBERLEY, SUSAN	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.63	0.00	1.63	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
06/25/2018	***-**-949I - ACEE, JOSPEH	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.31	0.00	1.31	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
06/25/2018	***-**-959I - FRANZ, PAUL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
06/25/2018	***-**-511O - CAIN, TIMOTHY	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.41	0.00	2.41	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
06/25/2018	***-**-961N - NESSIA, BONNIE	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
06/25/2018	***-**-506J - CURRIERE JR, MR	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
06/25/2018	***-**-481O - ANACKER, FBO MRS	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-653I - KOCHER, CLINTON	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.17	0.00	2.17	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
06/25/2018	***-**-680I - HARRELL, DARYL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.87	0.00	0.87	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
06/25/2018	***-**-094I - KATRENA L	OPPENHEIMER GLBL REAL ESTATE FUND C	0.00	5.37	0.00	5.37	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
06/25/2018	***-**-031O - MCVOY, ROBERT	OPPENHEIMER GLOBAL VALUE FUND CL C	0.00	5.25	0.00	5.25	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
06/25/2018	***-**-714O - LINES, JUDITH	OPPENHEIMER GLOBAL VALUE FUND CL C	0.00	3.83	0.00	3.83	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
06/25/2018	***-**-382I - SATTERLY, NEIL	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.97	0.00	3.97	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
06/25/2018	***-**-48IO - CLARK, PATRICK	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	5.20	0.00	5.20	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - HARTZ, CLAUDIA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
06/25/2018	***-**-72IN - GAVALO, JULIE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	2.29	0.00	2.29	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
06/25/2018	***-**-065I - LAZIO, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	5.54	0.00	5.54	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
06/25/2018	***-**-420T - DEMETRI, AMELIA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	2.38	0.00	2.38	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
06/25/2018	***-**-00IO - LEE, GARY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	7.33	0.00	7.33	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
06/25/2018	***-**-09IO - BATES, FBO MRS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	2.40	0.00	2.40	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
06/25/2018	***-**-11IO - LYNN G.	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	6.88	0.00	6.88	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
06/25/2018	***-**-45IO - JOHNSON, GREGORY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	5.61	0.00	5.61	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
06/25/2018	***-**-51IN - GERACE, JOANNE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.52	0.00	1.52	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						



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KURT GRUENEWALD
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000	0.00	3.26	0.00	3.26	0.0	0.00
06/25/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER INTERNATIONAL SMALL COM BUY 1 Units @0.0000	0.00	2.54	0.00	2.54	0.0	0.00
06/25/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	0.0	0.00
06/25/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	3.18	0.00	3.18	0.0	0.00
06/25/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000	0.00	1.92	0.00	1.92	0.0	0.00
06/25/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	27.65	0.00	27.65	0.0	0.00
06/25/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.79	0.00	5.79	0.0	0.00
06/25/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	8.95	0.00	8.95	0.0	0.00
06/25/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.80	0.00	7.80	0.0	0.00
06/25/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.13	0.00	5.13	0.0	0.00
06/25/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.68	0.00	7.68	0.0	0.00
06/25/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	0.0	0.00
06/25/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	OPPENHEIMER ROCHEST AMT-FREE NY MUN BUY 1 Units @0.0000	0.00	7.34	0.00	7.34	0.0	0.00
06/25/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.52	0.00	1.52	0.0	0.00
06/25/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.42	0.00	0.42	0.0	0.00
06/25/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.75	0.00	1.75	0.0	0.00
06/25/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	2.38	0.00	2.38	0.0	0.00
06/25/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	0.0	0.00
06/25/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.05	0.00	1.05	0.0	0.00
06/25/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	0.0	0.00
06/25/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	2.25	0.00	2.25	0.0	0.00
06/25/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	0.0	0.00
06/25/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	0.0	0.00
06/25/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMER STEELPATH MLP ALPHA PLU BUY 1 Units @0.0000	0.00	1.02	0.00	1.02	0.0	0.00
06/25/2018	***-**-837O - BASEMENT ACCOUNT #: LSR011046	OPPENHEIMERSTEELPATH MLP INCOME CL BUY 1 Units @0.0000	0.00	2.78	0.00	2.78	0.0	0.00
06/25/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMERSTEELPATH MLP SELECT 40 BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	0.0	0.00
06/25/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	17.51	0.00	17.51	0.0	0.00
06/25/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	22.78	0.00	22.78	0.0	0.00
06/25/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	6.03	0.00	6.03	0.0	0.00
06/25/2018	***-**-73UT - COBB, CHRSTIAN ACCOUNT #: LSR011104	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.62	0.00	4.62	0.0	0.00
06/25/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.62	0.00	4.62	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-89IN - LEE, ROGER	PORT SERIES: CONS INV C	0.00	9.97	0.00	9.97	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
06/25/2018	***-**-52IO - EUSEPI, SUSAN	PORT SERIES: CONS INV C	0.00	12.47	0.00	12.47	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
06/25/2018	***-**-439I - MCCARTHY, JAMES	PORT SERIES: CONS INV C	0.00	4.16	0.00	4.16	0.0	0.00
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						
06/25/2018	***-**-80IO - EVANS, RICHARD	PORT SERIES: CONS INV C	0.00	13.32	0.00	13.32	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
06/25/2018	***-**-664J - PFAFF, GEORGE	PORT SERIES: EQUITY INV FD B	0.00	1.10	0.00	1.10	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
06/25/2018	***-**-254I - AUGUSTINE, LINDA	PORTFOLIO SERIES: CONS INV A	0.00	1.52	0.00	1.52	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
06/25/2018	***-**-15IN - PENDRAK, JOHN	PORTFOLIO SERIES: CONS INV A	0.00	2.46	0.00	2.46	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-959I - FRANZ, PAUL	PORTFOLIO SERIES: CONS INV A	0.00	2.10	0.00	2.10	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
06/25/2018	***-**-567I - FRANZ, ALICE	PORTFOLIO SERIES: CONS INV A	0.00	3.22	0.00	3.22	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - CAIN, TIMOTHY	PORTFOLIO SERIES: CONS INV A	0.00	2.08	0.00	2.08	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
06/25/2018	***-**-761I - EVANS, DOLORES	PORTFOLIO SERIES: CONS INV A	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
06/25/2018	***-**-944O - MAYO, DEBORAH	PORTFOLIO SERIES: CONS INV A	0.00	1.74	0.00	1.74	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
06/25/2018	***-**-861I - SANGER, LAWRENCE	PORTFOLIO SERIES: CONS INV A	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
06/25/2018	***-**-13IN - RHYMESTINE,	PORTFOLIO SERIES: CONS INV A	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
06/25/2018	***-**-02IN - BUSHEY, MELISSA	PORTFOLIO SERIES: CONS INV A	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
06/25/2018	***-**-62IN - EATON, DAVID	PORTFOLIO SERIES: CONS INV A	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-664J - PFAFF, GEORGE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	4.39	0.00	4.39	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
06/25/2018	***-**-96IN - NESSIA, BONNIE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.60	0.00	1.60	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.43	0.00	1.43	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.44	0.00	1.44	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
06/25/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM UTILITIES GROWTH AND INCOME	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
06/25/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM 746792100	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
06/25/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	2.39	0.00	2.39	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-169I - EVANS, PAUL	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
06/25/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
06/25/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.14	0.00	1.14	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
06/25/2018	***-**-51IN - GERACE, JOANNE	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
06/25/2018	***-**-235I - AUGUSTINE III,	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	4.40	0.00	4.40	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
06/25/2018	***-**-382I - SATTERLY, NEIL	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	14.81	0.00	14.81	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
06/25/2018	***-**-48IO - CLARK, PATRICK	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.47	0.00	9.47	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
06/25/2018	***-**-72IN - GAVALO, JULIE	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.40	0.00	9.40	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
06/25/2018	***-**-065I - LAZIO, THOMAS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	7.34	0.00	7.34	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-09IO - BATES, FBO MRS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.21	0.00	9.21	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
06/25/2018	***-**-11IO - LYNN G.	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	13.94	0.00	13.94	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
06/25/2018	***-**-80IO - EVANS, RICHARD	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	7.81	0.00	7.81	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
06/25/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.33	0.00	9.33	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
06/25/2018	***-**-628I - SANGER, SANDRA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
06/25/2018	***-**-944O - MAYO, DEBORAH	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.81	0.00	1.81	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
06/25/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM ABSOLUTE RETURN 700-A	0.00	2.35	0.00	2.35	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
06/25/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.38	0.00	0.38	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
06/25/2018	***-**-653J - KOCHEM, CLINTON	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
06/25/2018	***-**-62IN - EATON, DAVID	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
06/25/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM ASSET ALLOC BALANCED-C	0.00	4.81	0.00	4.81	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
06/25/2018	***-**-930I - SANGER, KEVIN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.79	0.00	0.79	0.0	0.00
06/25/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.51	0.00	1.51	0.0	0.00
06/25/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	0.0	0.00
06/25/2018	***-**-73UT - COBB, CHRSTIAN ACCOUNT #: LSR011104	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.50	0.00	1.50	0.0	0.00
06/25/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.50	0.00	1.50	0.0	0.00
06/25/2018	***-**-992J - CORNACCHIA ACCOUNT #: LSR011157	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.46	0.00	0.46	0.0	0.00
06/25/2018	***-**-66IO - RUDD, MICHAEL ACCOUNT #: LSR011268	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.15	0.00	0.15	0.0	0.00
06/25/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.51	0.00	1.51	0.0	0.00
06/25/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM CAPITAL SPECTRUM FUND CL A BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	0.0	0.00
06/25/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	7.29	0.00	7.29	0.0	0.00
06/25/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	11.59	0.00	11.59	0.0	0.00
06/25/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	7.77	0.00	7.77	0.0	0.00
06/25/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	16.60	0.00	16.60	0.0	0.00
06/25/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	6.51	0.00	6.51	0.0	0.00
06/25/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	15.79	0.00	15.79	0.0	0.00
06/25/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	11.99	0.00	11.99	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845	PUTNAM COMP BUY 1 Units @0.0000	0.00	5.75	0.00	5.75	0.0	0.00
06/25/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	PUTNAM COMP BUY 1 Units @0.0000	0.00	4.92	0.00	4.92	0.0	0.00
06/25/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PUTNAM COMP BUY 1 Units @0.0000	0.00	7.89	0.00	7.89	0.0	0.00
06/25/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PUTNAM COMP BUY 1 Units @0.0000	0.00	6.80	0.00	6.80	0.0	0.00
06/25/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	PUTNAM COMP BUY 1 Units @0.0000	0.00	10.25	0.00	10.25	0.0	0.00
06/25/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM COMP BUY 1 Units @0.0000	0.00	5.84	0.00	5.84	0.0	0.00
06/25/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	PUTNAM COMP BUY 1 Units @0.0000	0.00	5.21	0.00	5.21	0.0	0.00
06/25/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM COMP BUY 1 Units @0.0000	0.00	4.18	0.00	4.18	0.0	0.00
06/25/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM COMP BUY 1 Units @0.0000	0.00	7.55	0.00	7.55	0.0	0.00
06/25/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	PUTNAM COMP BUY 1 Units @0.0000	0.00	9.27	0.00	9.27	0.0	0.00
06/25/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM COMP BUY 1 Units @0.0000	0.00	9.27	0.00	9.27	0.0	0.00
06/25/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM COMP BUY 1 Units @0.0000	0.00	5.19	0.00	5.19	0.0	0.00
06/25/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	PUTNAM COMP BUY 1 Units @0.0000	0.00	7.26	0.00	7.26	0.0	0.00
06/25/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM COMP BUY 1 Units @0.0000	0.00	9.59	0.00	9.59	0.0	0.00
06/25/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PUTNAM COMP BUY 1 Units @0.0000	0.00	4.74	0.00	4.74	0.0	0.00
06/25/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	PUTNAM COMP BUY 1 Units @0.0000	0.00	9.36	0.00	9.36	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM COMP	0.00	14.59	0.00	14.59	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
06/25/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM COMP	0.00	9.45	0.00	9.45	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
06/25/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM COMP	0.00	6.96	0.00	6.96	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
06/25/2018	***-**-86IN - LEE, KEVIN	PUTNAM COMP	0.00	7.88	0.00	7.88	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - SCALISE, MARY	PUTNAM COMP	0.00	3.96	0.00	3.96	0.0	0.00
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
06/25/2018	***-**-949I - ACEE, JOSPEH	PUTNAM CONV INCOME-GROWTH-B	0.00	2.31	0.00	2.31	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CONV INCOME-GROWTH-B	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
06/25/2018	***-**-567I - FRANZ, ALICE	PUTNAM CONV INCOME-GROWTH-B	0.00	3.00	0.00	3.00	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
06/25/2018	***-**-366S - GRUENEWALD,	PUTNAM CONV INCOME-GROWTH-B	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
06/25/2018	***-**-580X - COBB, JAMES	PUTNAM CONV INCOME-GROWTH-B	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	PUTNAM CONV INCOME-GROWTH-B	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-506J - CURRIERE JR, MR	PUTNAM CONV INCOME-GROWTH-B	0.00	1.07	0.00	1.07	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
06/25/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM CONV INCOME-GROWTH-B	0.00	1.20	0.00	1.20	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
06/25/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM CONV INCOME-GROWTH-B	0.00	1.42	0.00	1.42	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
06/25/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM CONV INCOME-GROWTH-B	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
06/25/2018	***-**-653I - KOCHEM, CLINTON	PUTNAM CONV INCOME-GROWTH-B	0.00	2.22	0.00	2.22	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-00IO - LEE, GARY	PUTNAM CONVERTIBLE SECURITIES CL C	0.00	14.20	0.00	14.20	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
06/25/2018	***-**-11IO - LYNN G.	PUTNAM CONVERTIBLE SECURITIES CL C	0.00	17.84	0.00	17.84	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
06/25/2018	***-**-132O - EVANS, THOMAS	PUTNAM DIVERSIFIED INCOME CLASS C	0.00	7.50	0.00	7.50	0.0	0.00
	ACCOUNT #: LSR011074	BUY 1 Units @0.0000						
06/25/2018	***-**-11IO - LYNN G.	PUTNAM DIVERSIFIED INCOME CLASS C	0.00	14.82	0.00	14.82	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
06/25/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM DIVERSIFIED INCOME-B	0.00	2.29	0.00	2.29	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
06/25/2018	***-**-949I - ACEE, JOSPEH	PUTNAM DIVERSIFIED INCOME-B	0.00	0.89	0.00	0.89	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM DIVERSIFIED INCOME-B	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
06/25/2018	***-**-702I - KOCHER, MICHAEL	PUTNAM DIVERSIFIED INCOME-B	0.00	1.92	0.00	1.92	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
06/25/2018	***-**-960J - MASTRANGELO,	PUTNAM DIVERSIFIED INCOME-B	0.00	2.09	0.00	2.09	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM DIVERSIFIED INCOME-B	0.00	1.30	0.00	1.30	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
06/25/2018	***-**-761I - EVANS, DOLORES	PUTNAM DIVERSIFIED INCOME-B	0.00	11.19	0.00	11.19	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
06/25/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM DIVERSIFIED INCOME-B	0.00	2.59	0.00	2.59	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	PUTNAM DIVERSIFIED INCOME-B	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM DIVERSIFIED INCOME-B	0.00	1.54	0.00	1.54	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - WILLIAMSON, FBO	PUTNAM DIVERSIFIED INCOME-B	0.00	6.50	0.00	6.50	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
06/25/2018	***-**-680I - HARRELL, DARYL	PUTNAM DIVERSIFIED INCOME-B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.36	0.00	2.36	0.0	0.00
06/25/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.56	0.00	2.56	0.0	0.00
06/25/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM EQUITY SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.99	0.00	0.99	0.0	0.00
06/25/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	11.54	0.00	11.54	0.0	0.00
06/25/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	24.62	0.00	24.62	0.0	0.00
06/25/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.62	0.00	8.62	0.0	0.00
06/25/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	16.25	0.00	16.25	0.0	0.00
06/25/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	10.02	0.00	10.02	0.0	0.00
06/25/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	6.61	0.00	6.61	0.0	0.00
06/25/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	7.00	0.00	7.00	0.0	0.00
06/25/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.12	0.00	8.12	0.0	0.00
06/25/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.28	0.00	8.28	0.0	0.00
06/25/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.63	0.00	8.63	0.0	0.00
06/25/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	12.24	0.00	12.24	0.0	0.00
06/25/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	9.31	0.00	9.31	0.0	0.00
06/25/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	10.54	0.00	10.54	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-80IO - EVANS, RICHARD	PUTNAM EQUITY SPECTRUM FD CL C	0.00	9.04	0.00	9.04	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
06/25/2018	***-**-07IO - FAMOLARO, JAMES	PUTNAM EQUITY SPECTRUM FD CL C	0.00	5.60	0.00	5.60	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
06/25/2018	***-**-094I - KATRENA L	PUTNAM EUROPE EQUITY CLASS C	0.00	3.77	0.00	3.77	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
06/25/2018	***-**-094I - KATRENA L	PUTNAM EUROPE EQUITY FUND-A	0.00	0.20	0.00	0.20	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
06/25/2018	***-**-808J - GORMAN, RANDY	PUTNAM GLOBAL CONSUMER FD A	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
06/25/2018	***-**-949I - ACEE, JOSPEH	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.04	0.00	2.04	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
06/25/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	3.39	0.00	3.39	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
06/25/2018	***-**-366I - GRUENEWALD,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.38	0.00	1.38	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
06/25/2018	***-**-761I - EVANS, DOLORES	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.01	0.00	2.01	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
06/25/2018	***-**-944O - MAYO, DEBORAH	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
06/25/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
06/25/2018	***-**-306X - COBB, CHERRYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.26	0.00	1.26	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
06/25/2018	***-**-579J - RHYMESTINE,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
06/25/2018	***-**-326I - GRANDE, FBO MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.34	0.00	1.34	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-506J - CURRIERE JR, MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.51	0.00	1.51	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
06/25/2018	***-**-367J - WAGNER, MRS LANT	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.21	0.00	2.21	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
06/25/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.93	0.00	1.93	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
06/25/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.24	0.00	1.24	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
06/25/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
06/25/2018	***-**-66IO - RUDD, MICHAEL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.06	0.00	0.06	0.0	0.00
	ACCOUNT #: LSR011268	BUY 1 Units @0.0000						
06/25/2018	***-**-653I - KOCHER, CLINTON	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.71	0.00	2.71	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
06/25/2018	***-**-680I - HARRELL, DARYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
06/25/2018	***-**-21IO - RADELL, SANDRA	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
06/25/2018	***-**-12IR - GRUENEWALD,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: LSR011614	BUY 1 Units @0.0000						
06/25/2018	***-**-03IO - MASTRANGELO,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
06/25/2018	***-**-45IN - WILLIAMSON,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
06/25/2018	***-**-065I - LAZIO, THOMAS	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	5.19	0.00	5.19	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
06/25/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	12.46	0.00	12.46	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
06/25/2018	***-**-89IN - LEE, ROGER	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	7.67	0.00	7.67	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
06/25/2018	***-**-11IO - LYNN G.	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	10.45	0.00	10.45	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	7.41	0.00	7.41	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - SCALISE, MARY	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	4.07	0.00	4.07	0.0	0.00
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
06/25/2018	***-**-702I - KOCHER, MICHAEL	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.43	0.00	1.43	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
06/25/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	PUTNAM GLOBAL NAT RESOURCES-A	0.00	1.24	0.00	1.24	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-680I - HARRELL, DARYL	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
06/25/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
06/25/2018	***-**-664J - PFAFF, GEORGE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
06/25/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL SECTOR FUND CL A	0.00	2.74	0.00	2.74	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
06/25/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	2.33	0.00	2.33	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
06/25/2018	***-**-944O - MAYO, DEBORAH	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
06/25/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	2.41	0.00	2.41	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
06/25/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
06/25/2018	***-**-382I - SATTERLY, NEIL	PUTNAM GLOBAL UTILITIES CL C	0.00	5.49	0.00	5.49	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
06/25/2018	***-**-382I - SATTERLY, NEIL	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.08	0.00	0.08	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	9.62	0.00	9.62	0.0	0.00
06/25/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	9.85	0.00	9.85	0.0	0.00
06/25/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	10.00	0.00	10.00	0.0	0.00
06/25/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	6.81	0.00	6.81	0.0	0.00
06/25/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	8.70	0.00	8.70	0.0	0.00
06/25/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	9.41	0.00	9.41	0.0	0.00
06/25/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	2.55	0.00	2.55	0.0	0.00
06/25/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	3.05	0.00	3.05	0.0	0.00
06/25/2018	***-**-13IO - ROTH, KAREN ACCOUNT #: LSR011484	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	1.59	0.00	1.59	0.0	0.00
06/25/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	0.0	0.00
06/25/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	0.0	0.00
06/25/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.52	0.00	2.52	0.0	0.00
06/25/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.28	0.00	1.28	0.0	0.00
06/25/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.08	0.00	2.08	0.0	0.00
06/25/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.73	0.00	1.73	0.0	0.00
06/25/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.27	0.00	2.27	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-326I - GRANDE, FBO MR	PUTNAM HEALTH SCIENCES TR-B	0.00	1.38	0.00	1.38	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
06/25/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM HEALTH SCIENCES TR-B	0.00	2.15	0.00	2.15	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
06/25/2018	***-**-664J - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.12	0.00	2.12	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
06/25/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
06/25/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM HEALTH SCIENCES TR-B	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
06/25/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM HEALTH SCIENCES TR-B	0.00	1.11	0.00	1.11	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
06/25/2018	***-**-480J - EVANS, RICHARD	PUTNAM HEALTH SCIENCES TR-B	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: LSR011274	BUY 1 Units @0.0000						
06/25/2018	***-**-653I - KOHEM, CLINTON	PUTNAM HEALTH SCIENCES TR-B	0.00	3.10	0.00	3.10	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
06/25/2018	***-**-21IO - RADELL, SANDRA	PUTNAM HEALTH SCIENCES TR-B	0.00	1.80	0.00	1.80	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
06/25/2018	***-**-197I - GAMBINO, ANDREW	PUTNAM HEALTH SCIENCES TR-B	0.00	0.20	0.00	0.20	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
06/25/2018	***-**-53IN - EVANS, ANDREW	PUTNAM HEALTH SCIENCES TR-B	0.00	0.52	0.00	0.52	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
06/25/2018	***-**-13IO - ROTH, KAREN	PUTNAM HEALTH SCIENCES TR-B	0.00	1.46	0.00	1.46	0.0	0.00
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
06/25/2018	***-**-38IO - BROWN, TYLER	PUTNAM HEALTH SCIENCES TR-B	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
06/25/2018	***-**-12IR - GRUENEWALD,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011614	BUY 1 Units @0.0000						
06/25/2018	***-**-03IO - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.24	0.00	1.24	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
06/25/2018	***-**-45IN - WILLIAMSON,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM INTL GROWTH & INC-A	0.00	1.14	0.00	1.14	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
06/25/2018	***-**-382K - SATTERLY, NEIL	PUTNAM INVESTORS CLASS C	0.00	4.54	0.00	4.54	0.0	0.00
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
06/25/2018	***-**-653J - KOCHER, CLINTON	PUTNAM INVESTORS CLASS C	0.00	4.54	0.00	4.54	0.0	0.00
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
06/25/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM SMALL CAP VALUE FUND-A	0.00	1.42	0.00	1.42	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
06/25/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM U.S. GOVT INCOME TR-A	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
06/25/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM U.S. GOVT INCOME TR-B	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
06/25/2018	***-**-254I - AUGUSTINE, LINDA	PUTNAM UTILITIES GR & INC-B	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
06/25/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM UTILITIES GR & INC-B	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
06/25/2018	***-**-949I - ACEE, JOSPEH	PUTNAM UTILITIES GR & INC-B	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM UTILITIES GR & INC-B	0.00	0.52	0.00	0.52	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
06/25/2018	***-**-930I - SANGER, KEVIN	PUTNAM UTILITIES GR & INC-B	0.00	0.99	0.00	0.99	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
06/25/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM UTILITIES GR & INC-B	0.00	2.18	0.00	2.18	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-959I - FRANZ, PAUL	PUTNAM UTILITIES GR & INC-B	0.00	1.74	0.00	1.74	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
06/25/2018	***-**-960J - MASTRANGELO,	PUTNAM UTILITIES GR & INC-B	0.00	2.12	0.00	2.12	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM UTILITIES GR & INC-B	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
06/25/2018	***-**-761I - EVANS, DOLORES	PUTNAM UTILITIES GR & INC-B	0.00	1.36	0.00	1.36	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-31IO - WILLIAMSON, FBO	PUTNAM UTILITIES GR & INC-B	0.00	1.83	0.00	1.83	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
06/25/2018	***-**-714O - LINES, JUDITH	QUEST BALANCED FUND C	0.00	1.72	0.00	1.72	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
06/25/2018	***-**-680I - HARRELL, DARYL	QUEST INTERNATIONAL VALUE FUND, INC	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
06/25/2018	***-**-15IN - PENDRAK, JOHN	QUEST OPPORTUNITY VALUE A	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-254I - AUGUSTINE, LINDA	REAL ESTATE FUND A	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
06/25/2018	***-**-881J - EBERLEY, SUSAN	REAL ESTATE FUND A	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
06/25/2018	***-**-949I - ACEE, JOSPEH	REAL ESTATE FUND A	0.00	1.28	0.00	1.28	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
06/25/2018	***-**-15IN - PENDRAK, JOHN	REAL ESTATE FUND A	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
06/25/2018	***-**-702I - KOHEM, MICHAEL	REAL ESTATE FUND A	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
06/25/2018	***-**-567I - FRANZ, ALICE	REAL ESTATE FUND A	0.00	1.99	0.00	1.99	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
06/25/2018	***-**-51IO - CAIN, TIMOTHY	REAL ESTATE FUND A	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
06/25/2018	***-**-761I - EVANS, DOLORES	REAL ESTATE FUND A	0.00	2.80	0.00	2.80	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
06/25/2018	***-**-944O - MAYO, DEBORAH	REAL ESTATE FUND A	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
06/25/2018	***-**-111J - NESSIA, JAMES	REAL ESTATE FUND A	0.00	0.98	0.00	0.98	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
06/25/2018	***-**-326I - GRANDE, FBO MR	REAL ESTATE FUND A	0.00	1.07	0.00	1.07	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
06/25/2018	***-**-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	0.00	1.36	0.00	1.36	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-506J - CURRIERE JR, MR	REAL ESTATE FUND A	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
06/25/2018	***-**-367J - WAGNER, MRS LANT	REAL ESTATE FUND A	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
06/25/2018	***-**-48IO - ANACKER, FBO MRS	REAL ESTATE FUND A	0.00	1.46	0.00	1.46	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
06/25/2018	***-**-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	0.00	1.57	0.00	1.57	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
06/25/2018	***-**-653I - KOCHER, CLINTON	REAL ESTATE FUND A	0.00	1.42	0.00	1.42	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
06/25/2018	***-**-62IN - EATON, DAVID	REAL ESTATE FUND A	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
06/25/2018	***-**-664J - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
06/25/2018	***-**-64IO - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
06/25/2018	***-**-62IR - ROBBIANO, FBO	REAL ESTATE FUND B	0.00	0.43	0.00	0.43	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
06/25/2018	***-**-382I - SATTERLY, NEIL	REAL ESTATE FUND C	0.00	9.87	0.00	9.87	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
06/25/2018	***-**-48IO - CLARK, PATRICK	REAL ESTATE FUND C	0.00	7.34	0.00	7.34	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
06/25/2018	***-**-72IN - GAVALO, JULIE	REAL ESTATE FUND C	0.00	7.95	0.00	7.95	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
06/25/2018	***-**-065I - LAZIO, THOMAS	REAL ESTATE FUND C	0.00	5.88	0.00	5.88	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
06/25/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	7.77	0.00	7.77	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
06/25/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	2.09	0.00	2.09	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
06/25/2018	***-**-00IO - LEE, GARY	REAL ESTATE FUND C	0.00	9.48	0.00	9.48	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						



COMMISSION STATEMENT

June 25, 2018

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2108 Genesee St.
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BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-52IO - EUSEPI, SUSAN	REAL ESTATE FUND C	0.00	4.51	0.00	4.51	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
06/25/2018	***-**-11IO - LYNN G.	REAL ESTATE FUND C	0.00	12.34	0.00	12.34	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
06/25/2018	***-**-80IO - EVANS, RICHARD	REAL ESTATE FUND C	0.00	3.90	0.00	3.90	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
06/25/2018	***-**-45IO - JOHNSON, GREGORY	REAL ESTATE FUND C	0.00	6.68	0.00	6.68	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
06/25/2018	***-**-714O - LINES, JUDITH	REAL ESTATE FUND C	0.00	2.28	0.00	2.28	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
06/25/2018	***-**-671I - EBERLEY, REID	RESOURCE REAL ESTATE TRAILS	0.00	13.71	0.00	13.71	0.0	0.00
	ACCOUNT #: 20021572	BUY 0 Units @0.0000						
06/25/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	9.33	0.00	9.33	0.0	0.00
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
06/25/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	0.53	0.00	0.53	0.0	0.00
		BUY 0 Units @0.0000						
06/25/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	1.69	0.00	1.69	0.0	0.00
		BUY 0 Units @0.0000						
06/25/2018	***-**-960J - MASTRANGELO,	RESOURCE REAL ESTATE TRAILS	0.00	16.93	0.00	16.93	0.0	0.00
	ACCOUNT #: 20002467	BUY 0 Units @0.0000						
06/25/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	25.31	0.00	25.31	0.0	0.00
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
06/25/2018	***-**-31IN - WARMUTH,	RESOURCE REAL ESTATE TRAILS	0.00	4.31	0.00	4.31	0.0	0.00
	ACCOUNT #: 20032739	BUY 0 Units @0.0000						
06/25/2018	***-**-531J - WILLIAMSON,	RESOURCE REAL ESTATE TRAILS	0.00	12.71	0.00	12.71	0.0	0.00
	ACCOUNT #: 20033096	BUY 0 Units @0.0000						
06/25/2018	***-**-65IN - LAZIO, THOMAS	RESOURCE REAL ESTATE TRAILS	0.00	18.07	0.00	18.07	0.0	0.00
	ACCOUNT #: 20010459	BUY 0 Units @0.0000						
06/25/2018	***-**-287J - HINCKLEY,	RISING DIVIDENDS FUND A	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
06/25/2018	***-**-254I - AUGUSTINE, LINDA	RISING DIVIDENDS FUND A	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-881I - EBERLEY, SUSAN	RISING DIVIDENDS FUND A	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
06/25/2018	***-**-702I - KOCHER, MICHAEL	RISING DIVIDENDS FUND A	0.00	2.37	0.00	2.37	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
06/25/2018	***-**-959I - FRANZ, PAUL	RISING DIVIDENDS FUND A	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
06/25/2018	***-**-366I - GRUENEWALD,	RISING DIVIDENDS FUND A	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
06/25/2018	***-**-761I - EVANS, DOLORES	RISING DIVIDENDS FUND A	0.00	8.92	0.00	8.92	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
06/25/2018	***-**-944O - MAYO, DEBORAH	RISING DIVIDENDS FUND A	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
06/25/2018	***-**-580X - COBB, JAMES	RISING DIVIDENDS FUND A	0.00	2.13	0.00	2.13	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
06/25/2018	***-**-96IN - NESSIA, BONNIE	RISING DIVIDENDS FUND A	0.00	2.39	0.00	2.39	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
06/25/2018	***-**-579I - RHYMESTINE,	RISING DIVIDENDS FUND A	0.00	2.68	0.00	2.68	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
06/25/2018	***-**-326I - GRANDE, FBO MR	RISING DIVIDENDS FUND A	0.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
06/25/2018	***-**-861I - SANGER, LAWRENCE	RISING DIVIDENDS FUND A	0.00	1.77	0.00	1.77	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
06/25/2018	***-**-13IN - RHYMESTINE,	RISING DIVIDENDS FUND A	0.00	1.16	0.00	1.16	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
06/25/2018	***-**-664J - PFAFF, GEORGE	RISING DIVIDENDS FUND A	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
06/25/2018	***-**-02IN - BUSHEY, MELISSA	RISING DIVIDENDS FUND A	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
06/25/2018	***-**-62IN - EATON, DAVID	RISING DIVIDENDS FUND A	0.00	1.26	0.00	1.26	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
06/25/2018	***-**-680I - HARRELL, DARYL	RISING DIVIDENDS FUND A	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	ROCH. LIMITED TERM NEW YORK MUNICIPAL BUY 1 Units @0.0000	0.00	1.28	0.00	1.28	0.0	0.00
06/25/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	ROCH. LIMITED TERM NEW YORK MUNICIPAL BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	0.0	0.00
06/25/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	ROCH. LIMITED TERM NEW YORK MUNICIPAL BUY 1 Units @0.0000	0.00	0.38	0.00	0.38	0.0	0.00
06/25/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	ROCH. LIMITED TERM NEW YORK MUNICIPAL BUY 1 Units @0.0000	0.00	2.07	0.00	2.07	0.0	0.00
06/25/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	ROCHESTER NATIONAL MUNICIPALS A BUY 1 Units @0.0000	0.00	2.70	0.00	2.70	0.0	0.00
06/25/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	SENIOR FLOATING RATE FUND C BUY 1 Units @0.0000	0.00	3.46	0.00	3.46	0.0	0.00
06/25/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	0.0	0.00
06/25/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	4.77	0.00	4.77	0.0	0.00
06/25/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	1.84	0.00	1.84	0.0	0.00
06/25/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	STRATEGIC INCOME FUND C BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	0.0	0.00
06/25/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000	0.00	3.93	0.00	3.93	0.0	0.00
06/25/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	VAN KAMPEN9 BUY 1 Units @0.0000	0.00	0.26	0.00	0.26	0.0	0.00
06/25/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	VOYA GLOBAL EQUITY DIVIDEND CLASS A BUY 1 Units @0.0000	0.00	1.86	0.00	1.86	0.0	0.00
06/25/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	0.0	0.00
06/25/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.09	0.00	0.09	0.0	0.00
06/25/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
06/25/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	VOYA REAL ESTATE CLASS C BUY 1 Units @0.0000	0.00	4.61	0.00	4.61	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,942.34	\$0.00	\$1,942.34		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$187,656.98	\$6,296.31	\$285.08	\$6,011.23		\$0.00

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-275.94
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Please Retain for Your Records
THERE WILL BE NO PAYMENT THIS PERIOD

Balance Forward	\$-275.94
Year-to-date Earnings	\$0.00