



COMMISSION STATEMENT

April 16, 2018

DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</u>								
03/23/2018	***-**-59IN - MORGAN, WILLIAM	GWG PREFERRED STOCK BUY 5 Units @1000.0000	5,000.00	330.00	0.00	330.00	88.0	290.40
		* ALTERNATIVE INVESTMENTS SUBTOTAL *	\$5,000.00	\$330.00	\$0.00	\$330.00		\$290.40
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/05/2018	***-**-953I - DINITTO, NICOLE	AMERICAN GLOBAL BALANCED CL C BUY 5 Units @32.4200	175.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: 00088593891							
04/05/2018	***-**-953I - DINITTO, NICOLE	CAPITAL WORLD GROWTH AND INCOME FUN BUY 3 Units @50.7600	175.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: 00088593891							
04/10/2018	***-**-86IO - STRUMPFLER, MARK	CAPITAL WORLD GROWTH AND INCOME FUN BUY 391 Units @51.1600	19,999.98	218.00	18.00	200.00	88.0	176.00
	ACCOUNT #: LSR012376							
04/02/2018	***-**-788I - ALBARRAN, CARLOS	FUNDAMENTAL INVESTORS-C BUY 2 Units @60.0700	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00085186008							
04/10/2018	***-**-510I - PEREZ, STACEY	FUNDAMENTAL INVESTORS-C BUY 242 Units @61.9800	15,000.03	168.00	18.00	150.00	88.0	132.00
	ACCOUNT #: LSR011827							
04/10/2018	***-**-86IO - STRUMPFLER, MARK	FUNDAMENTAL INVESTORS-C BUY 242 Units @61.9800	15,000.03	168.00	18.00	150.00	88.0	132.00
	ACCOUNT #: LSR012376							
04/10/2018	***-**-510I - PEREZ, STACEY	LOOMIS SAYLES STRATEGIC INC Y SELL 835 Units @14.5300	12,127.04	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSR011827							
04/10/2018	***-**-686I - STRUMPFLER, MARK	MFS UTILITIES FUND-B BUY 4 Units @19.5900	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00060352385							
04/04/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A BUY 13 Units @23.3300	300.00	6.00	0.00	6.00	88.0	5.28
	ACCOUNT #: 00087147439							
04/04/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A BUY 4 Units @23.3300	98.08	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: 00087147439							
		* MUTUAL FUNDS SUBTOTAL *	\$63,050.16	\$589.45	\$72.00	\$517.45		\$455.35
<u>PRODUCT CATEGORY: STOCKS</u>								
04/10/2018	***-**-034J - NIKODEM, JOSEPH	BP PLC SPONS ADR BUY 102 Units @42.8650	4,372.23	77.49	17.04	60.45	88.0	53.20
	ACCOUNT #: LSR010887							
04/10/2018	***-**-034J - NIKODEM, JOSEPH	BP PLC SPONS ADR SELL 204 Units @42.8900	8,749.56	49.99	19.08	30.91	88.0	27.20
	ACCOUNT #: LSR010887							



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
04/10/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	COVANTA HLDG CORP COM BUY 200 Units @14.4500	2,890.00	49.99	19.00	30.99	88.0	27.27
04/10/2018	***-**-510I - PEREZ, STACEY ACCOUNT #: LSR011827	DENBURY RES INC DEL COM USD0.001 SELL 1500 Units @3.1400	4,710.00	87.49	45.00	42.49	88.0	37.39
04/10/2018	***-**-034J - NIKODEM, JOSEPH ACCOUNT #: LSR010887	ROYAL DUTCH SHELL ADR EA REP 2 CL A SELL 100 Units @68.2200	6,822.00	127.41	17.00	110.41	88.0	97.16
04/10/2018	***-**-034J - NIKODEM, JOSEPH ACCOUNT #: LSR010887	ROYAL DUTCH SHELL ADR EA REP 2 CL A SELL 55 Units @68.2200	3,752.10	70.08	1.10	68.98	88.0	60.70
04/12/2018	***-**-580I - GRIFFITH, DAVID ACCOUNT #: LSF000295	STEIN MART INC COM BUY 2000 Units @1.8500	3,700.00	9.99	8.99	1.00	88.0	0.88
04/10/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	VALE S.A. SPONS ADR REPR 1 COM NPV SELL 200 Units @13.0500	2,610.00	49.99	19.00	30.99	88.0	27.27
04/12/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	VERIZON COMMUNICATIONS UNSOLICITED SELL 114 Units @47.5700	5,422.98	97.49	17.28	80.21	88.0	70.58
* STOCKS SUBTOTAL *			\$43,028.87	\$619.92	\$163.49	\$456.43		\$401.65
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
04/02/2018	***-**-6762 - MISHLANIE, ACCOUNT #: 00551362260	37252M108 BUY 0 Units @0.0000	0.00	1.26	0.00	1.26	88.0	1.11
04/09/2018	***-**-817I - WADSWORTH, ACCOUNT #: 04715332428	ALLIANCE BERNSTEIN LARGE-CAP GROWTH BUY 0 Units @0.0000	0.00	1.98	0.00	1.98	88.0	1.74
04/09/2018	***-**-817I - WADSWORTH, ACCOUNT #: 04715332428	ALLIANCEBERNSTEIN LARGE-CAP GROWTH BUY 0 Units @0.0000	0.00	2.46	0.00	2.46	88.0	2.16
03/31/2018	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 03610122837	AMT-FREE NEW YORK MUNICIPALS B BUY 0 Units @0.0000	0.00	0.15	0.00	0.15	88.0	0.13
03/31/2018	***-**-400K - TEESDALE, ACCOUNT #: 03211187880	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	0.85	0.00	0.85	88.0	0.75
03/31/2018	***-**-28IN - ALOISIO, IRENE ACCOUNT #: 03211621390	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
03/31/2018	***-**-61IN - ALOISIO, ACCOUNT #: 03211621401	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	0.38	0.00	0.38	88.0	0.33
03/31/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 03211693572	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-59IN - MORGAN, WILLIAM	CAPITAL APPRECIATION A	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 03211817322	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	CAPITAL APPRECIATION A	0.00	3.99	0.00	3.99	88.0	3.51
	ACCOUNT #: 03211844382	BUY 0 Units @0.0000						
03/31/2018	***-**-1588 - FOLEY, JOHN	CAPITAL APPRECIATION A	0.00	2.17	0.00	2.17	88.0	1.91
	ACCOUNT #: 03211940115	BUY 0 Units @0.0000						
03/31/2018	***-**-872I - GORCZYNSKI,	CAPITAL APPRECIATION A	0.00	0.40	0.00	0.40	88.0	0.35
	ACCOUNT #: 03211940203	BUY 0 Units @0.0000						
03/31/2018	***-**-231I - MISHLANIE JR,	CAPITAL APPRECIATION A	0.00	2.42	0.00	2.42	88.0	2.13
	ACCOUNT #: 03212005587	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION A	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 03212072973	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	CAPITAL APPRECIATION B	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 03215734575	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION B	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 03215884461	BUY 0 Units @0.0000						
03/31/2018	***-**-69IR - PERRITANO, SUSAN	CAPITAL APPRECIATION B	0.00	0.54	0.00	0.54	88.0	0.48
	ACCOUNT #: 03215905889	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	CAPITAL APPRECIATION C	0.00	5.55	0.00	5.55	88.0	4.88
	ACCOUNT #: 03222207403	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION C	0.00	2.54	0.00	2.54	88.0	2.24
	ACCOUNT #: 03222207458	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	CAPITAL APPRECIATION C	0.00	11.61	0.00	11.61	88.0	10.22
	ACCOUNT #: 03222260687	BUY 0 Units @0.0000						
03/31/2018	***-**-400K - TEESDALE,	CAPITAL INCOME A	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: 03008767088	BUY 0 Units @0.0000						
03/31/2018	***-**-480I - SCOTELLARO,	CAPITAL INCOME FUND C	0.00	8.22	0.00	8.22	88.0	7.23
	ACCOUNT #: 03020531751	BUY 0 Units @0.0000						
03/31/2018	***-**-8027 - MAXWELL, COLLEEN	CASH RESERVES C	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 07621429626	BUY 0 Units @0.0000						
04/16/2018	***-**-423I - SAVICKI, RICHARD	DAVIS FINANCIAL CLASS C	0.00	32.82	0.00	32.82	88.0	28.88
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/16/2018	***-**-423I - SAVICKI, RICHARD	DAVIS OPPORTUNITY CLASS C	0.00	49.86	0.00	49.86	88.0	43.88
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
03/31/2018	***-**-69IR - PERRITANO, SUSAN	DEVELOPING MARKETS FUND B	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: 07861008106	BUY 0 Units @0.0000						
04/16/2018	***-**-423I - SAVICKI, RICHARD	EATON VANCE LARGE-CAP VALUE CL C	0.00	21.21	0.00	21.21	88.0	18.66
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
03/31/2018	***-**-69IR - PERRITANO, SUSAN	EMERGING GROWTH FUND B	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: 07220200959	BUY 0 Units @0.0000						
03/31/2018	***-**-178I - DAVIS, MARILYN	EQUITY INCOME FUND, INC. A	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: 08352306436	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	EQUITY INCOME FUND, INC. A	0.00	3.38	0.00	3.38	88.0	2.97
	ACCOUNT #: 08352350304	BUY 0 Units @0.0000						
03/31/2018	***-**-400K - TEESDALE,	EQUITY INCOME FUND, INC. A	0.00	3.02	0.00	3.02	88.0	2.66
	ACCOUNT #: 08352478410	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	EQUITY INCOME FUND, INC. A	0.00	3.11	0.00	3.11	88.0	2.74
	ACCOUNT #: 08353141534	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	EQUITY INCOME FUND, INC. A	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: 08353154470	BUY 0 Units @0.0000						
03/31/2018	***-**-1588 - FOLEY, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.85	0.00	1.85	88.0	1.63
	ACCOUNT #: 08353253679	BUY 0 Units @0.0000						
03/31/2018	***-**-5851 - GLEESON, BARBARA	EQUITY INCOME FUND, INC. A	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 08353265449	BUY 0 Units @0.0000						
03/31/2018	***-**-053I - INGERSOLL, ROY	EQUITY INCOME FUND, INC. A	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: 08353266252	BUY 0 Units @0.0000						
03/31/2018	***-**-718I - LOWE, GREGORY	EQUITY INCOME FUND, INC. A	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: 08353299516	BUY 0 Units @0.0000						
03/31/2018	***-**-231I - MISHLANIE JR,	EQUITY INCOME FUND, INC. A	0.00	4.61	0.00	4.61	88.0	4.06
	ACCOUNT #: 08353299615	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. A	0.00	0.09	0.00	0.09	88.0	0.08
	ACCOUNT #: 08353338456	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	EQUITY INCOME FUND, INC. A	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 08353346332	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-5851 - GLEESON, BARBARA	EQUITY INCOME FUND, INC. B	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: 08360414997	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	EQUITY INCOME FUND, INC. B	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 08360486981	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. B	0.00	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 08360490842	BUY 0 Units @0.0000						
03/31/2018	***-**-69IR - PERRITANO, SUSAN	EQUITY INCOME FUND, INC. B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: 08360515845	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - CADY, GAIL	EQUITY INCOME FUND, INC. C	0.00	4.16	0.00	4.16	88.0	3.66
	ACCOUNT #: 08370389048	BUY 0 Units @0.0000						
03/31/2018	***-**-480I - SCOTELLARO,	EQUITY INCOME FUND, INC. C	0.00	17.02	0.00	17.02	88.0	14.98
	ACCOUNT #: 08370428549	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	EQUITY INCOME FUND, INC. C	0.00	1.53	0.00	1.53	88.0	1.35
	ACCOUNT #: 08370450769	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. C	0.00	3.41	0.00	3.41	88.0	3.00
	ACCOUNT #: 08370450780	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	EQUITY INCOME FUND, INC. C	0.00	18.54	0.00	18.54	88.0	16.32
	ACCOUNT #: 08370585871	BUY 0 Units @0.0000						
03/31/2018	***-**-7473 - SCOTELLARO,	EQUITY INCOME FUND, INC. C	0.00	1.92	0.00	1.92	88.0	1.69
	ACCOUNT #: 08370720038	BUY 0 Units @0.0000						
03/31/2018	***-**-400K - TEESDALE,	GLOBAL FUND A	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 03307121688	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	GLOBAL FUND A	0.00	2.77	0.00	2.77	88.0	2.44
	ACCOUNT #: 03307729361	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	GLOBAL FUND A	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 03307968457	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	GLOBAL FUND B	0.00	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 03316661182	BUY 0 Units @0.0000						
03/31/2018	***-**-69IR - PERRITANO, SUSAN	GLOBAL FUND B	0.00	2.53	0.00	2.53	88.0	2.23
	ACCOUNT #: 03316686207	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	GLOBAL OPPORTUNITIES A	0.00	1.72	0.00	1.72	88.0	1.51
	ACCOUNT #: 02156650930	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-400K - TEESDALE, ACCOUNT #: 02156694050	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19
03/31/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 02157784128	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.78	0.00	1.78	88.0	1.57
03/31/2018	***-**-5851 - GLEESON, BARBARA ACCOUNT #: 02157915479	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	3.89	0.00	3.89	88.0	3.42
03/31/2018	***-**-718I - LOWE, GREGORY ACCOUNT #: 02158044575	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	0.77	0.00	0.77	88.0	0.68
03/31/2018	***-**-231I - MISHLANIE JR, ACCOUNT #: 02158044630	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.49	0.00	1.49	88.0	1.31
03/31/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02158142464	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	0.03	0.00	0.03	88.0	0.03
03/31/2018	***-**-5851 - GLEESON, BARBARA ACCOUNT #: 02163234902	GLOBAL OPPORTUNITIES B BUY 0 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54
03/31/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02163264965	GLOBAL OPPORTUNITIES B BUY 0 Units @0.0000	0.00	0.07	0.00	0.07	88.0	0.06
03/31/2018	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 02163282708	GLOBAL OPPORTUNITIES B BUY 0 Units @0.0000	0.00	1.77	0.00	1.77	88.0	1.56
03/31/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02171604031	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	6.12	0.00	6.12	88.0	5.39
03/31/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02171646348	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	2.46	0.00	2.46	88.0	2.16
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02171646359	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	3.62	0.00	3.62	88.0	3.19
03/31/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 02171696112	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	18.91	0.00	18.91	88.0	16.64
03/31/2018	***-**-400K - TEESDALE, ACCOUNT #: 04104445650	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.32	0.00	0.32	88.0	0.28
03/31/2018	***-**-5851 - GLEESON, BARBARA ACCOUNT #: 04104657961	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.40	0.00	0.40	88.0	0.35
03/31/2018	***-**-053I - INGERSOLL, ROY ACCOUNT #: 04104670886	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09



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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)								
03/31/2018	***-**-59IN - MORGAN, WILLIAM	GOLD & SPECIAL MINERALS A	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 04104693766	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	GOLD & SPECIAL MINERALS A	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 04104693777	BUY 0 Units @0.0000						
03/31/2018	***-**-5851 - GLEESON, BARBARA	GOLD & SPECIAL MINERALS FUND B	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: 04110549912	BUY 0 Units @0.0000						
03/31/2018	***-**-69IR - PERRITANO, SUSAN	GOLD & SPECIAL MINERALS FUND B	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 04110615494	BUY 0 Units @0.0000						
04/03/2018	***-**-794I - INGERSOLL, JOAN	HARTFORD BALANCED INCOME FD CL A	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
04/03/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
04/03/2018	***-**-794I - INGERSOLL, JOAN	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
03/31/2018	***-**-400K - TEESDALE,	INTERNATIONAL BOND A	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: 08810000177	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	INTERNATIONAL DIVERSIFIED FUND B	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 01960518078	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	INTERNATIONAL DIVERSIFIED FUND B	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 01960521081	BUY 0 Units @0.0000						
03/31/2018	***-**-69IR - PERRITANO, SUSAN	INTERNATIONAL DIVERSIFIED FUND B	0.00	2.28	0.00	2.28	88.0	2.01
	ACCOUNT #: 01960538340	BUY 0 Units @0.0000						
03/31/2018	***-**-69IR - PERRITANO, SUSAN	INTERNATIONAL GROWTH FUND B	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 08261315831	BUY 0 Units @0.0000						
03/31/2018	***-**-400K - TEESDALE,	LIMITED TERM GOVERNMENT A	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: 08553754388	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	MAIN STREET FUND A	0.00	1.48	0.00	1.48	88.0	1.30
	ACCOUNT #: 07006083663	BUY 0 Units @0.0000						
04/16/2018	***-**-05IR - HULL, JEFF	MANNING & NAPIER PRO NFS	0.00	4.48	0.00	4.48	88.0	3.94
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
04/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS 55273E871	0.00	13.36	0.00	13.36	88.0	11.76
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						



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DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS 55273E871	0.00	16.49	0.00	16.49	88.0	14.51
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
04/01/2018	***-**-73IN - MELLACE,	MFS 55273E871	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: 08191356365	BUY 0 Units @0.0000						
04/01/2018	***-**-29RI - THIBAUT,	MFS 55273G314	0.00	4.15	0.00	4.15	88.0	3.65
	ACCOUNT #: 08191346905	BUY 0 Units @0.0000						
04/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS 552988628	0.00	10.51	0.00	10.51	88.0	9.25
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
04/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS 552988628	0.00	7.51	0.00	7.51	88.0	6.61
	ACCOUNT #: 08191188649	BUY 0 Units @0.0000						
04/01/2018	***-**-541I - ORSINO, LISA	MFS 552988628	0.00	3.86	0.00	3.86	88.0	3.40
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
04/01/2018	***-**-311I - MOYLAN, COLLEEN	MFS 552988628	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						
04/01/2018	***-**-801T - HAGAN III,	MFS 552988628	0.00	2.27	0.00	2.27	88.0	2.00
	ACCOUNT #: 08191353848	BUY 0 Units @0.0000						
04/01/2018	***-**-57UT - MISHLANIE CUST,	MFS BLENDED RESEARCH CORE EQUITY FD	0.00	3.27	0.00	3.27	88.0	2.88
	ACCOUNT #: 08190131537	BUY 0 Units @0.0000						
04/01/2018	***-**-93JT - WADSWORTH,	MFS DIVERSIFIED INCOME FD CL C	0.00	18.18	0.00	18.18	88.0	16.00
	ACCOUNT #: 08191339712	BUY 0 Units @0.0000						
04/01/2018	***-**-112I - JONES, REBECCA	MFS EMERGING GROWTH FUND CLASS A	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: 00060637004	BUY 0 Units @0.0000						
04/01/2018	***-**-686I - STRUMPFLE, MARK	MFS EMERGING GROWTH FUND-B	0.00	2.79	0.00	2.79	88.0	2.46
	ACCOUNT #: 00060352385	BUY 0 Units @0.0000						
04/01/2018	***-**-541I - ORSINO, LISA	MFS EMERGING GROWTH FUND-B	0.00	1.74	0.00	1.74	88.0	1.53
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
04/01/2018	***-**-88IN - PICKARD, ELAINE	MFS GLOBAL ALTERNATIVE STRAT C	0.00	4.51	0.00	4.51	88.0	3.97
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
04/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS GLOBAL BOND FUND CLASS C	0.00	4.78	0.00	4.78	88.0	4.21
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
04/01/2018	***-**-88IN - PICKARD, ELAINE	MFS GLOBAL BOND FUND CLASS C	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						



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BROKER #: A76
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS GLOBAL MULTI ASSET FUND CLASS B	0.00	2.41	0.00	2.41	88.0	2.12
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
04/01/2018	***-**-57UT - MISHLANIE CUST,	MFS GLOBAL MULTI ASSET FUND CLASS B	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: 08190131537	BUY 0 Units @0.0000						
04/01/2018	***-**-29RI - THIBAUT,	MFS GLOBAL REAL ESTATE FUND CL C	0.00	3.66	0.00	3.66	88.0	3.22
	ACCOUNT #: 08191346905	BUY 0 Units @0.0000						
04/01/2018	***-**-686I - STRUMPFLER, MARK	MFS GLOBAL TOTAL RETURN FUND-A	0.00	2.19	0.00	2.19	88.0	1.93
	ACCOUNT #: 00060352385	BUY 0 Units @0.0000						
04/01/2018	***-**-914J - KALAMAS, SHIRLEY	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.96	0.00	0.96	88.0	0.84
	ACCOUNT #: 08191281493	BUY 0 Units @0.0000						
04/01/2018	***-**-686I - STRUMPFLER, MARK	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: 00060352385	BUY 0 Units @0.0000						
04/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
04/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	4.83	0.00	4.83	88.0	4.25
	ACCOUNT #: 08191188649	BUY 0 Units @0.0000						
04/01/2018	***-**-25IR - SCOTELLARO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: 08191235544	BUY 0 Units @0.0000						
04/01/2018	***-**-244J - BURTON, RICHARD	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 08191250134	BUY 0 Units @0.0000						
04/01/2018	***-**-957I - VELARDI, ANTHONY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.91	0.00	3.91	88.0	3.44
	ACCOUNT #: 08191316407	BUY 0 Units @0.0000						
04/01/2018	***-**-267I - HAMMILL, ELISE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: 08191335171	BUY 0 Units @0.0000						
04/01/2018	***-**-440I - HAMMILL, MATTHEW	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: 08191335450	BUY 0 Units @0.0000						
04/01/2018	***-**-541I - ORSINO, LISA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.53	0.00	3.53	88.0	3.11
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
04/01/2018	***-**-311I - MOYLAN, COLLEEN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.24	0.00	2.24	88.0	1.97
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						
04/01/2018	***-**-801T - HAGAN III,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: 08191353848	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/01/2018	***-**-88IN - PICKARD, ELAINE	MFS GLOBAL TOTAL RETURN FUND-C	0.00	13.78	0.00	13.78	88.0	12.13
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
04/01/2018	***-**-93JT - WADSWORTH,	MFS GLOBAL TOTAL RETURN FUND-C	0.00	19.50	0.00	19.50	88.0	17.16
	ACCOUNT #: 08191339712	BUY 0 Units @0.0000						
04/01/2018	***-**-29RI - THIBAUT,	MFS GLOBAL TOTAL RETURN FUND-C	0.00	3.86	0.00	3.86	88.0	3.40
	ACCOUNT #: 08191346905	BUY 0 Units @0.0000						
04/01/2018	***-**-801T - HAGAN III,	MFS GLOBAL TOTAL RETURN FUND-C	0.00	11.14	0.00	11.14	88.0	9.80
	ACCOUNT #: 08191353848	BUY 0 Units @0.0000						
04/01/2018	***-**-73IN - MELLACE,	MFS GLOBAL TOTAL RETURN FUND-C	0.00	2.53	0.00	2.53	88.0	2.23
	ACCOUNT #: 08191356365	BUY 0 Units @0.0000						
04/01/2018	***-**-957I - VELARDI, ANTHONY	MFS INFLATION ADJUSTED BOND CL B	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: 08191316407	BUY 0 Units @0.0000						
04/01/2018	***-**-541I - ORSINO, LISA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
04/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS INFLATION ADJUSTED BOND CL C	0.00	4.83	0.00	4.83	88.0	4.25
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
04/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS INFLATION ADJUSTED BOND CL C	0.00	11.96	0.00	11.96	88.0	10.52
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
04/01/2018	***-**-914J - KALAMAS, SHIRLEY	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.54	0.00	0.54	88.0	0.48
	ACCOUNT #: 08191281493	BUY 0 Units @0.0000						
04/01/2018	***-**-25IR - SCOTELLARO,	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 08191235544	BUY 0 Units @0.0000						
04/01/2018	***-**-957I - VELARDI, ANTHONY	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 08191316407	BUY 0 Units @0.0000						
04/01/2018	***-**-311I - MOYLAN, COLLEEN	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						
04/01/2018	***-**-1121 - JONES, REBECCA	MFS INTERNTL DIVERSIFICATION FUND-A	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 00060637175	BUY 0 Units @0.0000						
04/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS LIMITED MATURITY FUND-C	0.00	4.89	0.00	4.89	88.0	4.30
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
04/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS LIMITED MATURITY FUND-C	0.00	12.09	0.00	12.09	88.0	10.64
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/01/2018	***-**-88IN - PICKARD, ELAINE	MFS LIMITED MATURITY FUND-C	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
04/01/2018	***-**-541I - ORSINO, LISA	MFS STRATEGIC INCOME FUND-B	0.00	2.08	0.00	2.08	88.0	1.83
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
04/01/2018	***-**-57UT - MISHLANIE CUST,	MFS TECHNOLOGY FUND-B	0.00	4.14	0.00	4.14	88.0	3.64
	ACCOUNT #: 08190131537	BUY 0 Units @0.0000						
04/01/2018	***-**-25IR - SCOTELLARO,	MFS TOTAL RETURN FUND-B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: 08191235544	BUY 0 Units @0.0000						
04/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 55273G710	0.00	30.66	0.00	30.66	88.0	26.98
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
04/01/2018	***-**-914J - KALAMAS, SHIRLEY	MFS TRAILS 55278K104	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: 08191281493	BUY 0 Units @0.0000						
04/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS TRAILS 552988610	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
04/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 552988610	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 08191188649	BUY 0 Units @0.0000						
04/01/2018	***-**-88IN - PICKARD, ELAINE	MFS TRAILS 552988610	0.00	10.32	0.00	10.32	88.0	9.08
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
04/01/2018	***-**-93JT - WADSWORTH,	MFS TRAILS 552988610	0.00	21.39	0.00	21.39	88.0	18.82
	ACCOUNT #: 08191339712	BUY 0 Units @0.0000						
04/01/2018	***-**-112I - JONES, REBECCA	MFS UTILITIES FUND-A	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: 00060637062	BUY 0 Units @0.0000						
04/01/2018	***-**-686I - STRUMPFLER, MARK	MFS UTILITIES FUND-B	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: 00060352385	BUY 0 Units @0.0000						
04/01/2018	***-**-57UT - MISHLANIE CUST,	MFS UTILITIES FUND-B	0.00	2.40	0.00	2.40	88.0	2.11
	ACCOUNT #: 08190131537	BUY 0 Units @0.0000						
04/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS UTILITIES FUND-B	0.00	2.57	0.00	2.57	88.0	2.26
	ACCOUNT #: 08191188649	BUY 0 Units @0.0000						
04/01/2018	***-**-25IR - SCOTELLARO,	MFS UTILITIES FUND-B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: 08191235544	BUY 0 Units @0.0000						
04/01/2018	***-**-244J - BURTON, RICHARD	MFS UTILITIES FUND-B	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: 08191250134	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/01/2018	***-**-541I - ORSINO, LISA	MFS UTILITIES FUND-B	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
04/01/2018	***-**-311I - MOYLAN, COLLEEN	MFS UTILITIES FUND-B	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						
04/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS UTILITIES FUND-C	0.00	12.94	0.00	12.94	88.0	11.39
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
04/01/2018	***-**-88IN - PICKARD, ELAINE	MFS UTILITIES FUND-C	0.00	12.26	0.00	12.26	88.0	10.79
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
04/01/2018	***-**-93JT - WADSWORTH,	MFS UTILITIES FUND-C	0.00	17.17	0.00	17.17	88.0	15.11
	ACCOUNT #: 08191339712	BUY 0 Units @0.0000						
04/01/2018	***-**-29RI - THIBAUT,	MFS UTILITIES FUND-C	0.00	3.46	0.00	3.46	88.0	3.04
	ACCOUNT #: 08191346905	BUY 0 Units @0.0000						
04/01/2018	***-**-73IN - MELLACE,	MFS UTILITIES FUND-C	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: 08191356365	BUY 0 Units @0.0000						
04/16/2018	***-**-656I - SMOLA, STANLEY	MUTUAL SHRS FND - CL C	0.00	2.14	0.00	2.14	88.0	1.88
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
03/31/2018	***-**-4580 - GRIFFITH,	OPP DIVERSIFIED ALT FUND A	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: 00100011364	BUY 0 Units @0.0000						
03/31/2018	***-**-178I - DAVIS, MARILYN	OPP GLBL MULTI STRAT FND A	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: 08530002134	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	OPP GLBL MULTI STRAT FND A	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 08530015917	BUY 0 Units @0.0000						
03/31/2018	***-**-480I - SCOTELLARO,	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	3.53	0.00	3.53	88.0	3.11
	ACCOUNT #: 05520857714	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	14.49	0.00	14.49	88.0	12.75
	ACCOUNT #: 05520946924	BUY 0 Units @0.0000						
03/31/2018	***-**-497I - MARTIN, KATHLEEN	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	3.96	0.00	3.96	88.0	3.48
	ACCOUNT #: 05520998470	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER CUSIP 68385X208	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 00100011925	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: 07871984301	BUY 0 Units @0.0000						



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DAVID GRIFFITH
2108 Genesee St.
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 07872241470	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
03/31/2018	***-**-4580 - GRIFFITH, ACCOUNT #: 07861977724	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	2.77	0.00	2.77	88.0	2.44
03/31/2018	***-**-872I - GORCZYNSKI, ACCOUNT #: 07862887006	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
03/31/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100064439	OPPENHEIMER EMERG MKTS LOCAL DEBT F BUY 0 Units @0.0000	0.00	1.53	0.00	1.53	88.0	1.35
03/31/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100025895	OPPENHEIMER GLBL HIGH YIELD FUND C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
03/31/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 00100012156	OPPENHEIMER GLBL MULTI STRATEGIES F BUY 0 Units @0.0000	0.00	11.30	0.00	11.30	88.0	9.94
03/31/2018	***-**-480I - SCOTELLARO, ACCOUNT #: 00100012167	OPPENHEIMER GLBL MULTI STRATEGIES F BUY 0 Units @0.0000	0.00	5.95	0.00	5.95	88.0	5.24
03/31/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: 00100014653	OPPENHEIMER GLBL MULTI STRATEGIES F BUY 0 Units @0.0000	0.00	3.52	0.00	3.52	88.0	3.10
03/31/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 00100018140	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	1.63	0.00	1.63	88.0	1.43
03/31/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: 00100018393	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	4.49	0.00	4.49	88.0	3.95
03/31/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 03322653871	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	1.78	0.00	1.78	88.0	1.57
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03322653882	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	1.16	0.00	1.16	88.0	1.02
03/31/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 03322722456	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	16.33	0.00	16.33	88.0	14.37
03/31/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 06890080641	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
03/31/2018	***-**-480I - SCOTELLARO, ACCOUNT #: 04120782331	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	1.21	0.00	1.21	88.0	1.06
03/31/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 04120841819	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	3.67	0.00	3.67	88.0	3.23



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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)								
03/31/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.72	0.00	1.72	88.0	1.51
	ACCOUNT #: 04120907192	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: 04120907203	BUY 0 Units @0.0000						
03/31/2018	***-**-400K - TEESDALE,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: 01952759669	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	3.22	0.00	3.22	88.0	2.83
	ACCOUNT #: 01953266648	BUY 0 Units @0.0000						
03/31/2018	***-**-1588 - FOLEY, JOHN	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	1.53	0.00	1.53	88.0	1.35
	ACCOUNT #: 01953346959	BUY 0 Units @0.0000						
03/31/2018	***-**-053I - INGERSOLL, ROY	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: 01953356210	BUY 0 Units @0.0000						
03/31/2018	***-**-718I - LOWE, GREGORY	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 01953382599	BUY 0 Units @0.0000						
03/31/2018	***-**-231I - MISHLANIE JR,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	1.79	0.00	1.79	88.0	1.58
	ACCOUNT #: 01953382632	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 01953416908	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 01953424179	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	6.64	0.00	6.64	88.0	5.84
	ACCOUNT #: 01970799227	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	2.44	0.00	2.44	88.0	2.15
	ACCOUNT #: 01970849112	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	4.83	0.00	4.83	88.0	4.25
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	15.17	0.00	15.17	88.0	13.35
	ACCOUNT #: 01970928730	BUY 0 Units @0.0000						
03/31/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	2.22	0.00	2.22	88.0	1.95
	ACCOUNT #: 01971001154	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - SCHRECK, RYAN	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	5.88	0.00	5.88	88.0	5.17
	ACCOUNT #: 01971002232	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-090I - RASPANTE, JOHN	OPPENHEIMER INTERNATIONAL SMALL COM	0.00	3.78	0.00	3.78	88.0	3.33
	ACCOUNT #: 08170386485	BUY 0 Units @0.0000						
03/31/2018	***-**-178I - DAVIS, MARILYN	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	1.86	0.00	1.86	88.0	1.64
	ACCOUNT #: 08477115867	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: 08477517323	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	2.91	0.00	2.91	88.0	2.56
	ACCOUNT #: 02270806520	BUY 0 Units @0.0000						
03/31/2018	***-**-480I - SCOTELLARO,	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	7.64	0.00	7.64	88.0	6.72
	ACCOUNT #: 02270869044	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	2.81	0.00	2.81	88.0	2.47
	ACCOUNT #: 02270899404	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 02270899492	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	4.70	0.00	4.70	88.0	4.14
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	17.63	0.00	17.63	88.0	15.51
	ACCOUNT #: 02271018369	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - SCHRECK, RYAN	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	5.37	0.00	5.37	88.0	4.73
	ACCOUNT #: 02271130536	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: 02913583470	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 02913593766	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: 02913604436	BUY 0 Units @0.0000						
03/31/2018	***-**-231I - MISHLANIE JR,	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 02913818639	BUY 0 Units @0.0000						
03/31/2018	***-**-985I - MCAUSLAN,	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	4.08	0.00	4.08	88.0	3.59
	ACCOUNT #: 02913853707	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 02920589314	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-69IR - PERRITANO, SUSAN	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	1.88	0.00	1.88	88.0	1.65
	ACCOUNT #: 02920643588	BUY 0 Units @0.0000						
03/31/2018	***-**-178I - DAVIS, MARILYN	OPPENHEIMER SENIOR FLOATING RATE PL	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: 00100033958	BUY 0 Units @0.0000						
03/31/2018	***-**-609J - CADY, PATRICK	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: 02514647841	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.40	0.00	0.40	88.0	0.35
	ACCOUNT #: 02514902667	BUY 0 Units @0.0000						
03/31/2018	***-**-5851 - GLEESON, BARBARA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	2.71	0.00	2.71	88.0	2.38
	ACCOUNT #: 02514983528	BUY 0 Units @0.0000						
03/31/2018	***-**-718I - LOWE, GREGORY	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 02515029761	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: 02515060099	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: 02307128993	BUY 0 Units @0.0000						
03/31/2018	***-**-053I - INGERSOLL, ROY	OPPENHEIMER STRATEGIC INCOME FUND C	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 02317220730	BUY 0 Units @0.0000						
03/31/2018	***-**-400K - TEESDALE,	OPPENHEIMER U.S. GOVT TR CLASS A	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: 02203670117	BUY 0 Units @0.0000						
03/31/2018	***-**-497I - MARTIN, KATHLEEN	PORT SERIES: CONS INV C	0.00	3.67	0.00	3.67	88.0	3.23
	ACCOUNT #: 05420240427	BUY 0 Units @0.0000						
03/31/2018	***-**-178I - DAVIS, MARILYN	PORTFOLIO SERIES: CONS INV A	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: 05400618409	BUY 0 Units @0.0000						
04/02/2018	***-**-6762 - MISHLANIE,	PUTNAM 1	0.00	3.50	0.00	3.50	88.0	3.08
	ACCOUNT #: 00551362260	BUY 0 Units @0.0000						
04/02/2018	***-**-372I - BURTON, KAREN	PUTNAM 1	0.00	0.94	0.00	0.94	88.0	0.83
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
04/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM 1	0.00	3.26	0.00	3.26	88.0	2.87
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM 1	0.00	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM 1	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
04/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM 1	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
04/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM 1	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
04/02/2018	***-**-924J - FISH, ROY	PUTNAM 1	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
04/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM ASSET ALLOC BALANCED-C	0.00	12.97	0.00	12.97	88.0	11.41
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
04/02/2018	***-**-372I - BURTON, KAREN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
04/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
04/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
04/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
04/02/2018	***-**-924J - FISH, ROY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
04/02/2018	***-**-372I - BURTON, KAREN	PUTNAM CONV INCOME-GROWTH-B	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
04/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM CONV INCOME-GROWTH-B	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
04/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM CONV INCOME-GROWTH-B	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
04/02/2018	***-**-372I - BURTON, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	2.85	0.00	2.85	88.0	2.51
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
04/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	4.28	0.00	4.28	88.0	3.77
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM EQUITY INCOME FUND-B	0.00	2.34	0.00	2.34	88.0	2.06
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM EQUITY SPECTRUM FD CL B	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
04/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL B	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
04/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM EUROPE EQUITY CLASS C	0.00	4.05	0.00	4.05	88.0	3.56
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
04/02/2018	***-**-372I - BURTON, KAREN	PUTNAM EUROPE EQUITY FUND-B	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM EUROPE EQUITY FUND-B	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
04/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM EUROPE EQUITY FUND-B	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
04/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM GLOBAL EQUITY FUND CLASS B	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
04/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM GLOBAL INCOME TRUST-B	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
04/02/2018	***-**-372I - BURTON, KAREN	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
04/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
04/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
04/02/2018	***-**-924J - FISH, ROY	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
04/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM GLOBAL NATURAL RESOURCE C	0.00	3.05	0.00	3.05	88.0	2.68
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
04/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM GLOBAL UTILITIES CL C	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
04/02/2018	***-**-372I - BURTON, KAREN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
04/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM INTERNATIONAL GROWTH-B	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						



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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM INTL CAPITAL OPPS-B	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
04/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM INTL GROWTH & INC-B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
04/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM MF TRAILS 74676P870	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
04/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM MF TRAILS 74677R206	0.00	1.90	0.00	1.90	88.0	1.67
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
04/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 74677R206	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
04/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM MF TRAILS 74677R206	0.00	1.52	0.00	1.52	88.0	1.34
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM MID-CAP VALUE FUND-A	0.00	2.27	0.00	2.27	88.0	2.00
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
04/02/2018	***-**-372I - BURTON, KAREN	PUTNAM RESEARCH FUND CLASS B	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
04/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM RESEARCH FUND CLASS B	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
04/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM RESEARCH FUND CLASS B	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
04/02/2018	***-**-372I - BURTON, KAREN	PUTNAM SMALL CAP GROWTH-B	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
04/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM SMALL CAP GROWTH-B	0.00	0.40	0.00	0.40	88.0	0.35
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM SMALL CAP GROWTH-B	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
04/02/2018	***-**-372I - BURTON, KAREN	PUTNAM UTILITIES GR & INC-B	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
04/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM UTILITIES GR & INC-B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM UTILITIES GR & INC-B	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM UTILITIES GR & INC-B	0.00	4.80	0.00	4.80	88.0	4.22
	ACCOUNT #: 00551338349	BUY 0 Units @0.0000						
04/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM UTILITIES GR & INC-B	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
04/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM UTILITIES GR & INC-B	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
04/02/2018	***-**-924J - FISH, ROY	PUTNAM UTILITIES GR & INC-B	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
03/31/2018	***-**-178I - DAVIS, MARILYN	QUEST BALANCED A	0.00	2.37	0.00	2.37	88.0	2.09
	ACCOUNT #: 02577442831	BUY 0 Units @0.0000						
03/31/2018	***-**-400K - TEESDALE,	QUEST BALANCED A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 02577487458	BUY 0 Units @0.0000						
03/31/2018	***-**-718I - LOWE, GREGORY	QUEST BALANCED A	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: 02577784733	BUY 0 Units @0.0000						
03/31/2018	***-**-231I - MISHLANIE JR,	QUEST BALANCED A	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: 02577784744	BUY 0 Units @0.0000						
03/31/2018	***-**-69IR - PERRITANO, SUSAN	QUEST BALANCED B	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: 02586023545	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - CADY, GAIL	QUEST BALANCED FUND C	0.00	5.87	0.00	5.87	88.0	5.17
	ACCOUNT #: 02592245914	BUY 0 Units @0.0000						
03/31/2018	***-**-480I - SCOTELLARO,	QUEST BALANCED FUND C	0.00	24.24	0.00	24.24	88.0	21.33
	ACCOUNT #: 02592262469	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	QUEST BALANCED FUND C	0.00	3.70	0.00	3.70	88.0	3.26
	ACCOUNT #: 02592315709	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	QUEST BALANCED FUND C	0.00	3.78	0.00	3.78	88.0	3.33
	ACCOUNT #: 02592394447	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE B	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 02550536217	BUY 0 Units @0.0000						
03/31/2018	***-**-69IR - PERRITANO, SUSAN	QUEST INTERNATIONAL VALUE B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: 02550537977	BUY 0 Units @0.0000						
03/31/2018	***-**-400K - TEESDALE,	QUEST INTERNATIONAL VALUE FUND, INC	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: 02541113409	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-718I - LOWE, GREGORY	QUEST INTERNATIONAL VALUE FUND, INC	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 02541186669	BUY 0 Units @0.0000						
03/31/2018	***-**-231I - MISHLANIE JR,	QUEST INTERNATIONAL VALUE FUND, INC	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: 02541186680	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 02541195997	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - CADY, GAIL	QUEST INTERNATIONAL VALUE FUND, INC	0.00	4.09	0.00	4.09	88.0	3.60
	ACCOUNT #: 02560282953	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	0.00	2.33	0.00	2.33	88.0	2.05
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	QUEST OPPORTUNITY VALUE FUND C	0.00	6.06	0.00	6.06	88.0	5.33
	ACCOUNT #: 02381154945	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	REAL ESTATE FUND A	0.00	2.71	0.00	2.71	88.0	2.38
	ACCOUNT #: 05900979550	BUY 0 Units @0.0000						
03/31/2018	***-**-400K - TEESDALE,	REAL ESTATE FUND A	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 05901017676	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	REAL ESTATE FUND A	0.00	1.97	0.00	1.97	88.0	1.73
	ACCOUNT #: 05901205897	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	REAL ESTATE FUND A	0.00	1.68	0.00	1.68	88.0	1.48
	ACCOUNT #: 05901212926	BUY 0 Units @0.0000						
03/31/2018	***-**-053I - INGERSOLL, ROY	REAL ESTATE FUND A	0.00	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 05901278970	BUY 0 Units @0.0000						
03/31/2018	***-**-718I - LOWE, GREGORY	REAL ESTATE FUND A	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: 05901291235	BUY 0 Units @0.0000						
03/31/2018	***-**-231I - MISHLANIE JR,	REAL ESTATE FUND A	0.00	1.83	0.00	1.83	88.0	1.61
	ACCOUNT #: 05901291268	BUY 0 Units @0.0000						
03/31/2018	***-**-968I - THIBAUT JR,	REAL ESTATE FUND A	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 05901293765	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND A	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 05901303610	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND A	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 05901305623	BUY 0 Units @0.0000						



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BROKER #: A76
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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)								
03/31/2018	***-**-968I - THIBAUT JR,	REAL ESTATE FUND B	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 05910199859	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND B	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 05910203500	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND B	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 05910204545	BUY 0 Units @0.0000						
03/31/2018	***-**-69IR - PERRITANO, SUSAN	REAL ESTATE FUND B	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: 05910211596	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - CADY, GAIL	REAL ESTATE FUND C	0.00	3.45	0.00	3.45	88.0	3.04
	ACCOUNT #: 05920265584	BUY 0 Units @0.0000						
03/31/2018	***-**-480I - SCOTELLARO,	REAL ESTATE FUND C	0.00	6.20	0.00	6.20	88.0	5.46
	ACCOUNT #: 05920279081	BUY 0 Units @0.0000						
03/31/2018	***-**-29IN - THIBAUT,	REAL ESTATE FUND C	0.00	15.71	0.00	15.71	88.0	13.82
	ACCOUNT #: 05920285846	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND C	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: 05920286880	BUY 0 Units @0.0000						
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	0.00	1.97	0.00	1.97	88.0	1.73
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	REAL ESTATE FUND C	0.00	8.36	0.00	8.36	88.0	7.36
	ACCOUNT #: 05920332673	BUY 0 Units @0.0000						
03/31/2018	***-**-4580 - GRIFFITH,	RISING DIVIDENDS FUND A	0.00	5.26	0.00	5.26	88.0	4.63
	ACCOUNT #: 02252428624	BUY 0 Units @0.0000						
03/31/2018	***-**-25IN - PERRITANO,	RISING DIVIDENDS FUND A	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: 02252885421	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	RISING DIVIDENDS FUND A	0.00	3.99	0.00	3.99	88.0	3.51
	ACCOUNT #: 02253970175	BUY 0 Units @0.0000						
03/31/2018	***-**-400K - TEESDALE,	RISING DIVIDENDS FUND A	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: 02254058263	BUY 0 Units @0.0000						
03/31/2018	***-**-28IN - ALOISIO, IRENE	RISING DIVIDENDS FUND A	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: 02254466484	BUY 0 Units @0.0000						
03/31/2018	***-**-61IN - ALOISIO,	RISING DIVIDENDS FUND A	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 02254466495	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 02254515654	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.42	0.00	0.42	88.0	0.37
03/31/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 02254589255	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	2.25	0.00	2.25	88.0	1.98
03/31/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 02254603511	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	3.51	0.00	3.51	88.0	3.09
03/31/2018	***-**-5851 - GLEESON, BARBARA ACCOUNT #: 02254680148	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	3.18	0.00	3.18	88.0	2.80
03/31/2018	***-**-1588 - FOLEY, JOHN ACCOUNT #: 02254704744	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.96	0.00	1.96	88.0	1.72
03/31/2018	***-**-794I - INGERSOLL, JOAN ACCOUNT #: 02254716448	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.33	0.00	1.33	88.0	1.17
03/31/2018	***-**-718I - LOWE, GREGORY ACCOUNT #: 02254747468	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	88.0	1.22
03/31/2018	***-**-231I - MISHLANIE JR, ACCOUNT #: 02254747534	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	13.79	0.00	13.79	88.0	12.14
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02254790082	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
03/31/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02254799135	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.08	0.00	0.08	88.0	0.07
03/31/2018	***-**-609J - CADY, PATRICK ACCOUNT #: 02254799212	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	3.04	0.00	3.04	88.0	2.68
03/31/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 02261614668	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	0.04	0.00	0.04	88.0	0.04
03/31/2018	***-**-5851 - GLEESON, BARBARA ACCOUNT #: 02261677687	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
03/31/2018	***-**-053I - INGERSOLL, ROY ACCOUNT #: 02261701051	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	0.13	0.00	0.13	88.0	0.11
03/31/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02261746822	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	88.0	0.04
03/31/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02261751068	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	88.0	0.04



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-69IR - PERRITANO, SUSAN	RISE DIVIDENDS FUND, INC. B	0.00	2.17	0.00	2.17	88.0	1.91
	ACCOUNT #: 02261787654	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: 03551379004	BUY 0 Units @0.0000						
03/31/2018	***-**-59IN - MORGAN, WILLIAM	ROCHESTER FUND MUNICIPALS A	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 03653494722	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	SELECT VALUE C	0.00	5.05	0.00	5.05	88.0	4.44
	ACCOUNT #: 06020193534	BUY 0 Units @0.0000						
03/31/2018	***-**-28IN - ALOISIO, IRENE	SELECT VALUE FUND A	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 06000750266	BUY 0 Units @0.0000						
03/31/2018	***-**-61IN - ALOISIO,	SELECT VALUE FUND A	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 06000750277	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	SELECT VALUE FUND A	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 06000790262	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	SELECT VALUE FUND B	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 06010108471	BUY 0 Units @0.0000						
03/31/2018	***-**-480I - SCOTELLARO,	SENIOR FLOATING RATE FUND C	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: 02931730520	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	SENIOR FLOATING RATE FUND C	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: 02931758372	BUY 0 Units @0.0000						
03/31/2018	***-**-090I - RASPANTE, JOHN	SENIOR FLOATING RATE FUND C	0.00	2.38	0.00	2.38	88.0	2.09
	ACCOUNT #: 02932007225	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - CADY, GAIL	SENIOR FLOATING RATE FUND-CL C	0.00	3.56	0.00	3.56	88.0	3.13
	ACCOUNT #: 00100027853	BUY 0 Units @0.0000						
03/31/2018	***-**-91IN - RICHARDSON,	SMALL- & MID- CAP VALUE B	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 02521421750	BUY 0 Units @0.0000						
03/31/2018	***-**-5851 - GLEESON, BARBARA	SMALL- & MID- CAP VALUE B	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 02521469193	BUY 0 Units @0.0000						
03/31/2018	***-**-0457 - STAGLIANO, GINA	SMALL- & MID- CAP VALUE B	0.00	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02521506659	BUY 0 Units @0.0000						
03/31/2018	***-**-58IN - CADY, GAIL	SMALL- & MID- CAP VALUE FUND C	0.00	4.38	0.00	4.38	88.0	3.85
	ACCOUNT #: 02531131966	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 02531164691	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	0.00	6.94	0.00	6.94	88.0	6.11
03/31/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02531164735	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	0.00	1.65	0.00	1.65	88.0	1.45
03/31/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 02531206898	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	0.00	3.13	0.00	3.13	88.0	2.75
03/31/2018	***-**-480I - SCOTELLARO, ACCOUNT #: 02322654102	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	7.44	0.00	7.44	88.0	6.55
03/31/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 02322945965	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	1.78	0.00	1.78	88.0	1.57
04/16/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	TEMPLETON EMERGING MARKETS BALANCED BUY 1 Units @0.0000	0.00	8.58	0.00	8.58	88.0	7.55
04/16/2018	***-**-425I - PERRITANO, ACCOUNT #: LSR010922	TEMPLETON EMERGING MARKETS BALANCED BUY 1 Units @0.0000	0.00	13.24	0.00	13.24	88.0	11.65
04/16/2018	***-**-319I - HILLEBRAND, JOAN ACCOUNT #: LSR011002	TEMPLETON EMERGING MARKETS BALANCED BUY 1 Units @0.0000	0.00	9.46	0.00	9.46	88.0	8.32
04/16/2018	***-**-973I - CHAMBERS, ROGER ACCOUNT #: LSR011018	TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000	0.00	5.99	0.00	5.99	88.0	5.27
04/16/2018	***-**-05IN - HULL, JEFFERY ACCOUNT #: LSR011187	TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000	0.00	4.39	0.00	4.39	88.0	3.86
04/03/2018	***-**-794I - INGERSOLL, JOAN ACCOUNT #: 00000871758	THE HARTFORD EQUITY INCOME FUND - A BUY 0 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
04/03/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 00000856950	THE HARTFORD FLOATING RATE FUND - A BUY 0 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
04/03/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 00000856950	THE HARTFORD GLOBAL HEALTH FUND-A BUY 0 Units @0.0000	0.00	0.92	0.00	0.92	88.0	0.81
04/03/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 00000856950	THE HARTFORD VALUE OPPORTUNITIES FD BUY 0 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
03/31/2018	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 02211141074	U.S. GOVERNMENT TRUST B BUY 0 Units @0.0000	0.00	0.26	0.00	0.26	88.0	0.23
03/31/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02220682638	U.S. GOVERNMENT TRUST C BUY 0 Units @0.0000	0.00	1.89	0.00	1.89	88.0	1.66



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)								
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$1,162.86	\$0.00	\$1,162.86		\$1,023.43
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
04/11/2018	***-**-2010 - GAUTHIER, SHEET	MASS MUTUAL VA TRAILS	0.00	75.36	0.00	75.36	88.0	66.32
	ACCOUNT #: MM828693	BUY 1 Units @0.0000						
04/11/2018	***-**-2010 - GAUTHIER, SHEET	MASS MUTUAL VA TRAILS	0.00	4.45	0.00	4.45	88.0	3.92
	ACCOUNT #: MM828693	BUY 1 Units @0.0000						
04/11/2018	***-**-80IN - GRIFFITH, DAVID	MASS MUTUAL VA TRAILS	0.00	4.68	0.00	4.68	88.0	4.12
	ACCOUNT #: MM834388	BUY 1 Units @0.0000						
		* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$84.49	\$0.00	\$84.49		\$74.36
		*** BROKER TRANSACTIONS TOTAL ***	\$111,079.03	\$2,786.72	\$235.49	\$2,551.23		\$2,245.19

VERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

04/02/2018	***-**-91UT - BYWATER, CAROLYN	37252M108	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: 00234174436	BUY 0 Units @0.0000						
04/02/2018	***-**-79UT - BYWATER,	37252M108	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00234227769	BUY 0 Units @0.0000						
04/16/2018	***-**-71IO - FAMOLARO, JAMES	AIM GLOBAL VALUE FUND - CLASS A	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
04/16/2018	***-**-306X - COBB, CHERRYL	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
04/16/2018	***-**-580X - COBB, JAMES	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
04/16/2018	***-**-8370 - BASEMENT	AIM GOLD & PRECIOUS METALS FD - A	0.00	1.95	0.00	1.95	88.0	1.72
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
04/05/2018	***-**-6404 - ASHRAF, MIRZA	AMERICAN FUNDS 401K TRAILS	0.00	193.30	0.00	193.30	88.0	170.10
	ACCOUNT #: IRK129327	BUY 0 Units @0.0000						
04/02/2018	***-**-6981 - KARAM, MARY ANN	AMERICAN FUNDS MORTGAGE FD CL C	2,600.00	26.00	0.00	26.00	88.0	22.88
	ACCOUNT #: 00084545771	BUY 264 Units @9.8400						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
04/04/2018	***-**-5414 - KARAM, SEGEAN	AMERICAN FUNDS MORTGAGE FD CL C BUY 0 Units @0.0000	1,300.00	13.00	0.00	13.00	88.0	11.44
04/02/2018	***-**-6981 - KARAM, MARY ANN ACCOUNT #: 00084545771	AMERICAN GLOBAL BALANCED CL C BUY 71 Units @32.0000	2,275.00	22.75	0.00	22.75	88.0	20.02
04/06/2018	***-**-5414 - KARAM, SEGEAN ACCOUNT #: 04000903853	AMERICAN GLOBAL BALANCED CL C BUY 71 Units @32.2200	2,275.00	22.75	0.00	22.75	88.0	20.02
04/02/2018	***-**-6981 - KARAM, MARY ANN ACCOUNT #: 00084545771	AMERICAN HIGH-INCOME TRUST-C BUY 160 Units @10.1700	1,625.00	16.25	0.00	16.25	88.0	14.30
03/31/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 02703492687	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	5.28	0.00	5.28	88.0	4.65
03/31/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09
03/31/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 03450098560	CAPITAL INCOME A BUY 0 Units @0.0000	0.00	4.28	0.00	4.28	88.0	3.77
04/04/2018	***-**-5414 - KARAM, SEGEAN	CAPITAL WORLD BOND FUND-C BUY 0 Units @0.0000	1,300.00	13.00	0.00	13.00	88.0	11.44
04/04/2018	***-**-5414 - KARAM, SEGEAN	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	1,625.00	16.25	0.00	16.25	88.0	14.30
03/23/2018	***-**-188I - BRADLEY, WAYNE	CION ARES DIVERSIFIED CREDIT FND -C BUY 8 Units @1000.0000	7,500.00	75.00	0.00	75.00	88.0	66.00
04/16/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	CLEARBRIDGE AGGRESSIVE GROWTH A BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 07860944713	DEVELOPING MARKETS FUND B BUY 0 Units @0.0000	0.00	0.06	0.00	0.06	88.0	0.05
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 07860983444	DEVELOPING MARKETS FUND B BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
03/31/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 07860984830	DEVELOPING MARKETS FUND B BUY 0 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 07860991188	DEVELOPING MARKETS FUND B BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 05011832864	DISCOVERY FUND B BUY 0 Units @0.0000	0.00	0.06	0.00	0.06	88.0	0.05



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/31/2018	***-**-96IN - NESSIA, BONNIE	DISCOVERY FUND C	0.00	10.68	0.00	10.68	88.0	9.40
	ACCOUNT #: 05020467148	BUY 0 Units @0.0000						
03/31/2018	***-**-973I - LABAYEWSKI,	EQUITY INCOME FUND, INC. A	0.00	1.88	0.00	1.88	88.0	1.65
	ACCOUNT #: 08352638471	BUY 0 Units @0.0000						
03/31/2018	***-**-633J -	EQUITY INCOME FUND, INC. A	0.00	2.22	0.00	2.22	88.0	1.95
	ACCOUNT #: 08353229688	BUY 0 Units @0.0000						
03/31/2018	***-**-0767 - DOVI,	EQUITY INCOME FUND, INC. A	0.00	3.73	0.00	3.73	88.0	3.28
	ACCOUNT #: 08353253965	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLO,	EQUITY INCOME FUND, INC. A	0.00	1.97	0.00	1.97	88.0	1.73
	ACCOUNT #: 08353280112	BUY 0 Units @0.0000						
03/31/2018	***-**-391I - MASTRANGELO,	EQUITY INCOME FUND, INC. A	0.00	12.39	0.00	12.39	88.0	10.90
	ACCOUNT #: 08353280530	BUY 0 Units @0.0000						
03/31/2018	***-**-09IN - BATES, CHRISTINE	EQUITY INCOME FUND, INC. A	0.00	11.95	0.00	11.95	88.0	10.52
	ACCOUNT #: 08353313343	BUY 0 Units @0.0000						
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	EQUITY INCOME FUND, INC. A	0.00	2.32	0.00	2.32	88.0	2.04
	ACCOUNT #: 08353346563	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	EQUITY INCOME FUND, INC. A	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: 08353359136	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLO,	EQUITY INCOME FUND, INC. B	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: 08360444037	BUY 0 Units @0.0000						
03/31/2018	***-**-391I - MASTRANGELO,	EQUITY INCOME FUND, INC. B	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 08360447128	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	EQUITY INCOME FUND, INC. B	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: 08360489654	BUY 0 Units @0.0000						
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	EQUITY INCOME FUND, INC. B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 08360498366	BUY 0 Units @0.0000						
03/31/2018	***-**-78IN - FALES, JOAN	EQUITY INCOME FUND, INC. C	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: 08370484165	BUY 0 Units @0.0000						
03/31/2018	***-**-96IN - NESSIA, BONNIE	EQUITY INCOME FUND, INC. C	0.00	20.52	0.00	20.52	88.0	18.06
	ACCOUNT #: 08370494010	BUY 0 Units @0.0000						
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	EQUITY INCOME FUND, INC. C	0.00	8.41	0.00	8.41	88.0	7.40
	ACCOUNT #: 08370502436	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/31/2018	***-**-14IN - LINES, JUDITH	EQUITY INCOME FUND, INC. C	0.00	10.05	0.00	10.05	88.0	8.84
	ACCOUNT #: 08370570075	BUY 0 Units @0.0000						
03/31/2018	***-**-48JT - LEE, DARLENE	EQUITY INCOME FUND, INC. C	0.00	4.27	0.00	4.27	88.0	3.76
	ACCOUNT #: 08370750926	BUY 0 Units @0.0000						
04/16/2018	***-**-44IO - MAYO, DEBORAH	FRANKLIN BIOTECH DISCOVERY FUND CL	0.00	7.95	0.00	7.95	88.0	7.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/16/2018	***-**-382I - SATTERLY, NEIL	FRANKLIN CONVERTIBLE SECURITIES CLA	0.00	9.56	0.00	9.56	88.0	8.41
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
04/16/2018	***-**-86IN - LEE, KEVIN	FRANKLIN GROWTH FUND CLASS A	0.00	2.17	0.00	2.17	88.0	1.91
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
04/16/2018	***-**-86IN - LEE, KEVIN	FRANKLIN INCOME FUND CLASS A	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
04/16/2018	***-**-61IN - EVANS, DOLORES	FRANKLIN INCOME FUND CLASS C	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
04/16/2018	***-**-44IO - MAYO, DEBORAH	FRANKLIN INCOME FUND CLASS C	0.00	5.68	0.00	5.68	88.0	5.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/16/2018	***-**-09IO - BATES, FBO MRS	FRANKLIN INCOME FUND CLASS C	0.00	7.27	0.00	7.27	88.0	6.40
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/16/2018	***-**-11IO - LYNN G.	FRANKLIN INCOME FUND CLASS C	0.00	9.68	0.00	9.68	88.0	8.52
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
04/16/2018	***-**-376I - BERBEN, GAIL	FRANKLIN INCOME FUND CLASS C	0.00	8.88	0.00	8.88	88.0	7.81
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
04/16/2018	***-**-45IO - JOHNSON, GREGORY	FRANKLIN INCOME FUND CLASS C	0.00	8.04	0.00	8.04	88.0	7.08
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/16/2018	***-**-00IN - FRANZ, JEAN	FRANKLIN INCOME FUND CLASS C	0.00	39.34	0.00	39.34	88.0	34.62
	ACCOUNT #: LSR011796	BUY 1 Units @0.0000						
04/16/2018	***-**-366O - GRUENEWALD,	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: LSR010987	BUY 1 Units @0.0000						
04/16/2018	***-**-065I - LAZIO, THOMAS	FRK GROWTH OPPORTUNITIES CL C	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
04/16/2018	***-**-45IO - JOHNSON, GREGORY	FRK GROWTH OPPORTUNITIES CL C	0.00	3.36	0.00	3.36	88.0	2.96
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/16/2018	***-**-065I - LAZIO, THOMAS	FRNKLN BALANCE SHEET INVTMNT FND -	0.00	8.17	0.00	8.17	88.0	7.19
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLLO,	GLOBAL FUND A	0.00	2.61	0.00	2.61	88.0	2.30
	ACCOUNT #: 03307873373	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLLO,	GLOBAL FUND B	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: 03316631251	BUY 0 Units @0.0000						
03/31/2018	***-**-960I - MASTRANGELO,	GLOBAL OPPORTUNITIES A	0.00	1.92	0.00	1.92	88.0	1.69
	ACCOUNT #: 02158012400	BUY 0 Units @0.0000						
03/31/2018	***-**-1491 - GUNN, EDWARD	GLOBAL OPPORTUNITIES A	0.00	5.52	0.00	5.52	88.0	4.86
	ACCOUNT #: 02158058303	BUY 0 Units @0.0000						
03/31/2018	***-**-09IN - BATES, CHRISTINE	GLOBAL OPPORTUNITIES A	0.00	17.05	0.00	17.05	88.0	15.00
	ACCOUNT #: 02158069743	BUY 0 Units @0.0000						
03/31/2018	***-**-65CL - GRUENEWALD, K,	GLOBAL OPPORTUNITIES FUND C	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: 02171825219	BUY 0 Units @0.0000						
03/31/2018	***-**-84IN - WARMUTH, ERIC	GOLD & SPECIAL MINERALS A	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 04103537149	BUY 0 Units @0.0000						
03/31/2018	***-**-237I - MCCLUSKY, MARK	GOLD & SPECIAL MINERALS A	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 04104653792	BUY 0 Units @0.0000						
03/31/2018	***-**-3749 - DEPEYSTER,	GOLD & SPECIAL MINERALS A	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: 04104658049	BUY 0 Units @0.0000						
03/31/2018	***-**-0767 - DOVI,	GOLD & SPECIAL MINERALS A	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 04104666585	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLLO,	GOLD & SPECIAL MINERALS A	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: 04104675077	BUY 0 Units @0.0000						
03/31/2018	***-**-391I - MASTRANGELO,	GOLD & SPECIAL MINERALS A	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: 04104675297	BUY 0 Units @0.0000						
03/31/2018	***-**-1491 - GUNN, EDWARD	GOLD & SPECIAL MINERALS A	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 04104683217	BUY 0 Units @0.0000						
03/31/2018	***-**-09IN - BATES, CHRISTINE	GOLD & SPECIAL MINERALS A	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: 04104685582	BUY 0 Units @0.0000						
03/31/2018	***-**-2603 - MASTRANGELO,	GOLD & SPECIAL MINERALS A	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: 04104688728	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	GOLD & SPECIAL MINERALS A	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 04104696516	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	GOLD & SPECIAL MINERALS A	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 04104700355	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLO,	GOLD & SPECIAL MINERALS FUND B	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: 04110576708	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	GOLD & SPECIAL MINERALS FUND B	0.00	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: 04110599907	BUY 0 Units @0.0000						
03/14/2018	***-**-31IO - JOSEPH, ANN	GWG PREFERRED STOCK	15,000.00	990.00	0.00	990.00	88.0	871.20
		BUY 15 Units @1000.0000						
03/31/2018	***-**-0767 - DOVI,	INTERNATIONAL BOND A	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: 08810326811	BUY 0 Units @0.0000						
03/31/2018	***-**-960I - MASTRANGELO,	INTERNATIONAL BOND A	0.00	0.40	0.00	0.40	88.0	0.35
	ACCOUNT #: 08810337228	BUY 0 Units @0.0000						
03/31/2018	***-**-149I - GUNN, EDWARD	INTERNATIONAL BOND A	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: 08810347513	BUY 0 Units @0.0000						
03/31/2018	***-**-09IN - BATES, CHRISTINE	INTERNATIONAL BOND A	0.00	4.39	0.00	4.39	88.0	3.86
	ACCOUNT #: 08810351011	BUY 0 Units @0.0000						
03/31/2018	***-**-2603 - MASTRANGELO,	INTERNATIONAL BOND A	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: 08810354960	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	INTERNATIONAL BOND A	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: 08810370888	BUY 0 Units @0.0000						
03/31/2018	***-**-391I - MASTRANGELO,	INTERNATIONAL BOND A	0.00	4.28	0.00	4.28	88.0	3.77
	ACCOUNT #: 08810370954	BUY 0 Units @0.0000						
03/31/2018	***-**-84IN - WARMUTH, ERIC	INTERNATIONAL GROWTH FUND A	0.00	6.19	0.00	6.19	88.0	5.45
	ACCOUNT #: 08250106216	BUY 0 Units @0.0000						
03/31/2018	***-**-69IN - EVANS, PAUL	INTERNATIONAL SMALL COMPANY A	0.00	1.70	0.00	1.70	88.0	1.50
	ACCOUNT #: 08152454089	BUY 0 Units @0.0000						
03/31/2018	***-**-31IO - HARTZ, CLAUDIA	INTERNATIONAL SMALL COMPANY A	0.00	1.64	0.00	1.64	88.0	1.44
	ACCOUNT #: 08152458467	BUY 0 Units @0.0000						
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	INTERNATIONAL SMALL COMPANY FUND B	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: 08160415613	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/16/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	INVESCO VAN KAMPEN COMSTOCK CLASS A BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
04/16/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	INVESCO VAN KAMPEN EQUITY AND INCOM BUY 1 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
04/01/2018	***-**-4632 - LOWE, PAMELA ACCOUNT #: 08000545418	IVK SENIOR LOAN FUND - CLASS IB BUY 0 Units @0.0000	0.00	2.18	0.00	2.18	88.0	1.92
04/16/2018	***-**-632I - LOWE, PAMELA ACCOUNT #: LSR012397	IVK SENIOR LOAN FUND - CLASS IB BUY 1 Units @0.0000	0.00	0.77	0.00	0.77	88.0	0.68
03/31/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 08571144451	LIMITED-TERM GOVERNMENT FUND C BUY 0 Units @0.0000	0.00	2.73	0.00	2.73	88.0	2.40
04/16/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	LOCORR SPECTRUM-NFS BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
03/31/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 07005442085	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	8.68	0.00	8.68	88.0	7.64
03/31/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 07006358641	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	1.69	0.00	1.69	88.0	1.49
03/31/2018	***-**-149I - GUNN, EDWARD ACCOUNT #: 07006432891	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	6.41	0.00	6.41	88.0	5.64
03/31/2018	***-**-14IN - LINES, JUDITH ACCOUNT #: 07024373501	MAIN STREET FUND C BUY 0 Units @0.0000	0.00	15.42	0.00	15.42	88.0	13.57
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 08481869307	MAIN STREET SMALL CAP FUND B BUY 0 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 08481882045	MAIN STREET SMALL CAP FUND B BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	88.0	0.02
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08481885785	MAIN STREET SMALL CAP FUND B BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
04/05/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: 00079955487	MAINSTAY CORNERSTONE GROWTH FD INV BUY 0 Units @0.0000	0.00	3.31	0.00	3.31	88.0	2.91
04/05/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: 00079924809	MAINSTAY HGH YLD CRP BD INVESTOR CL BUY 0 Units @0.0000	0.00	3.45	0.00	3.45	88.0	3.04
04/05/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: 00079955487	MAINSTAY MF TRAILS 56064B811 BUY 0 Units @0.0000	0.00	1.88	0.00	1.88	88.0	1.65



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-1855 - WILLIAMSON, ACCOUNT #: 08191308008	MASSACHUSETTS INVESTORS TRUST CLASS BUY 0 Units @0.0000	0.00	3.59	0.00	3.59	88.0	3.16
04/01/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638887	MASSACHUSETTS INVESTORS TRUST-A BUY 0 Units @0.0000	0.00	0.38	0.00	0.38	88.0	0.33
04/01/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638888	MASSACHUSETTS INVESTORS TRUST-A BUY 0 Units @0.0000	0.00	1.83	0.00	1.83	88.0	1.61
04/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 00060640524	MASSACHUSETTS INVESTORS TRUST-A BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
04/01/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: 08190124895	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	1.45	0.00	1.45	88.0	1.28
04/01/2018	***-**-0767 - DOVI, ACCOUNT #: 08191152598	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	1.04	0.00	1.04	88.0	0.92
04/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 08191153495	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	0.56	0.00	0.56	88.0	0.49
04/01/2018	***-**-8440 - PREVOST, PIERRE ACCOUNT #: 08191160862	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	1.52	0.00	1.52	88.0	1.34
04/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 08191161591	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	1.97	0.00	1.97	88.0	1.73
04/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	3.05	0.00	3.05	88.0	2.68
04/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	2.09	0.00	2.09	88.0	1.84
04/01/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	0.99	0.00	0.99	88.0	0.87
04/01/2018	***-**-3420 - KOCHER, DENISE ACCOUNT #: 08191179076	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
04/01/2018	***-**-9839 - YADDAW, DAVID ACCOUNT #: 08191183793	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	2.53	0.00	2.53	88.0	2.23
04/01/2018	***-**-1855 - WILLIAMSON, ACCOUNT #: 08191308008	MFS GROWTH PORT CLASS C BUY 0 Units @0.0000	0.00	3.88	0.00	3.88	88.0	3.41
04/01/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191336006	MFS 08191336006 BUY 0 Units @0.0000	0.00	3.40	0.00	3.40	88.0	2.99



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-1855 - WILLIAMSON, ACCOUNT #: 08191308008	MFS 55273E871 BUY 0 Units @0.0000	0.00	1.68	0.00	1.68	88.0	1.48
04/01/2018	***-**-4193 - VAN BAALEN, GUY ACCOUNT #: 08191310030	MFS 552987646 BUY 0 Units @0.0000	0.00	1.72	0.00	1.72	88.0	1.51
04/01/2018	***-**-058I - ROBBIANO, SARAH ACCOUNT #: 08191291666	MFS AGGRESS GROWTH ALLOCATION FD-B BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
04/01/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08190129168	MFS BLENDED RESEARCH CORE EQUITY FD BUY 0 Units @0.0000	0.00	0.79	0.00	0.79	88.0	0.70
04/01/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 08190127726	MFS BOND FUND CLASS B BUY 0 Units @0.0000	0.00	0.55	0.00	0.55	88.0	0.48
04/01/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08190129168	MFS BOND FUND CLASS B BUY 0 Units @0.0000	0.00	0.16	0.00	0.16	88.0	0.14
04/01/2018	***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352847	MFS BOND FUND-C BUY 0 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19
04/05/2018	***-**-83UT - FALCHI, ISABELLE	MFS CHECK DEPOSIT BUY 0 Units @0.0000	600.00	24.00	0.00	24.00	88.0	21.12
04/06/2018	***-**-851I - BLAKE, JAMES ACCOUNT #: LSR012390	MFS CONSERVATIVE ALLOCATION CL C BUY 661 Units @15.1300	10,000.01	100.00	0.00	100.00	88.0	88.00
04/01/2018	***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352846	MFS CORE EQUITY FUND-B BUY 0 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
04/01/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 08190127726	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	2.14	0.00	2.14	88.0	1.88
04/01/2018	***-**-5384 - GURDO, JESSICA ACCOUNT #: 08191233759	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
04/01/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638917	MFS EMERGING MARKETS DEBT FUND-A BUY 0 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42
04/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 00060640608	MFS EMERGING MARKETS DEBT FUND-A BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
04/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 00060640668	MFS EMERGING MARKETS EQUITY FUND-A BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
04/01/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: 08190126843	MFS EMERGING MARKETS EQUITY FUND-B BUY 0 Units @0.0000	0.00	1.41	0.00	1.41	88.0	1.24



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 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: KURT GRUENEWALD (continued) 								
04/01/2018	***-**-094I - CIRILLO, CARL	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: 08190127967	BUY 0 Units @0.0000						
04/01/2018	***-**-889I - FRANZ, JONATHAN	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
04/01/2018	***-**-213I - GRUENEWALD,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	3.81	0.00	3.81	88.0	3.35
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
04/01/2018	***-**-861I - SANGER, LAWRENCE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
04/01/2018	***-**-2483 - TURNBULL,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						
04/01/2018	***-**-7617 - ESCHE, BEVERLY	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: 08191154979	BUY 0 Units @0.0000						
04/01/2018	***-**-8440 - PREVOST, PIERRE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
04/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
04/01/2018	***-**-13IN - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	3.64	0.00	3.64	88.0	3.20
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
04/01/2018	***-**-3420 - KOCHER, DENISE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
04/01/2018	***-**-09IN - BATES, CHRISTINE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	2.53	0.00	2.53	88.0	2.23
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
04/01/2018	***-**-213I - GRUENEWALD,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: 08191229521	BUY 0 Units @0.0000						
04/01/2018	***-**-5384 - GURDO, JESSICA	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
04/01/2018	***-**-111J - NESSIA, JAMES	MFS EMERGING MKT DEBT CL B	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
04/01/2018	***-**-2603 - MASTRANGELO,	MFS EMERGING MKT DEBT CL B	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
04/01/2018	***-**-0767 - DOVI,	MFS EMERGING MKT DEBT CL B	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-861I - SANGER, LAWRENCE	MFS EMERGING MKT DEBT CL B	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
04/01/2018	***-**-237I - MCCLUSKY, MARK	MFS EMERGING MKT DEBT CL B	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
04/01/2018	***-**-3932 - CARSON, DAVID	MFS EMERGING MKT DEBT CL B	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
04/01/2018	***-**-06IN - SATTERLY,	MFS EMERGING MKT DEBT CL B	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MFS EMERGING MKT DEBT CL B	0.00	3.03	0.00	3.03	88.0	2.67
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
04/01/2018	***-**-671I - EBERLEY, REID	MFS EMERGING MKT DEBT CL B	0.00	2.49	0.00	2.49	88.0	2.19
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
04/01/2018	***-**-13IN - RHYMESTINE,	MFS EMERGING MKT DEBT CL B	0.00	3.43	0.00	3.43	88.0	3.02
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
04/01/2018	***-**-3420 - KOCHEM, DENISE	MFS EMERGING MKT DEBT CL B	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
04/01/2018	***-**-9839 - YADDAW, DAVID	MFS EMERGING MKT DEBT CL B	0.00	2.46	0.00	2.46	88.0	2.16
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
04/01/2018	***-**-1491 - GUNN, EDWARD	MFS EMERGING MKT DEBT CL B	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: 08191184927	BUY 0 Units @0.0000						
04/01/2018	***-**-7116 - PREVOST, SANDRA	MFS EMERGING MKT DEBT CL B	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
04/01/2018	***-**-844I - ROSS, VALERIE	MFS EMERGING MKT DEBT CL B	0.00	4.67	0.00	4.67	88.0	4.11
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
04/01/2018	***-**-524I - SCALISE, JOSEPH	MFS EMERGING MKT DEBT CL B	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
04/01/2018	***-**-80IN - CURRIERE, LAURA	MFS EMERGING MKT DEBT CL B	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
04/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS EMERGING MKT DEBT CL B	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
04/01/2018	***-**-5384 - GURDO, JESSICA	MFS EMERGING MKT DEBT CL B	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
04/01/2018	***-**-49IN - GUARDI, LINDA ACCOUNT #: 08191237797	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	2.21	0.00	2.21	88.0	1.94
04/01/2018	***-**-889I - FRANZ, JONATHAN ACCOUNT #: 08190130131	MFS GLOBAL MULTI ASSET FUND CLASS B BUY 0 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
04/01/2018	***-**-473I - HUSTON, ACCOUNT #: 08191353972	MFS GLOBAL MULTI ASSET FUND CLASS B BUY 0 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56
04/01/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS GLOBAL NEW DISCOVERY FUND CL B BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
04/01/2018	***-**-49IN - GUARDI, LINDA ACCOUNT #: 05566055029	MFS GLOBAL REAL ESTATE FUND CL B BUY 0 Units @0.0000	0.00	1.79	0.00	1.79	88.0	1.58
04/01/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS GLOBAL REAL ESTATE FUND CL B BUY 0 Units @0.0000	0.00	1.15	0.00	1.15	88.0	1.01
04/01/2018	***-**-26IN - GRANDE, MR ACCOUNT #: 08191260232	MFS GLOBAL REAL ESTATE FUND CL C BUY 0 Units @0.0000	0.00	2.91	0.00	2.91	88.0	2.56
04/01/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638910	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	1.12	0.00	1.12	88.0	0.99
04/01/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638911	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	1.45	0.00	1.45	88.0	1.28
04/01/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 00060639655	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
04/01/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: 00060640588	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
04/01/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: 00060640589	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	0.03	0.00	0.03	88.0	0.03
04/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 00060640593	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	88.0	0.02
04/01/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: 08190124895	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19
04/01/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: 08190126843	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
04/01/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 08190127726	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.89	0.00	0.89	88.0	0.78



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08190129168	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.21	0.00	0.21	88.0	0.18
04/01/2018	***-**-889I - FRANZ, JONATHAN ACCOUNT #: 08190130131	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
04/01/2018	***-**-8126 - MCCARTHY, BRIANN ACCOUNT #: 08191126031	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	2.98	0.00	2.98	88.0	2.62
04/01/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.32	0.00	3.32	88.0	2.92
04/01/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: 08191150076	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
04/01/2018	***-**-6538 - BROWN, TYLER ACCOUNT #: 08191150212	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.78	0.00	1.78	88.0	1.57
04/01/2018	***-**-0767 - DOVI, ACCOUNT #: 08191152598	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.92	0.00	1.92	88.0	1.69
04/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 08191153495	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.85	0.00	0.85	88.0	0.75
04/01/2018	***-**-2483 - TURNBULL, ACCOUNT #: 08191153585	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	2.32	0.00	2.32	88.0	2.04
04/01/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.52	0.00	3.52	88.0	3.10
04/01/2018	***-**-8440 - PREVOST, PIERRE ACCOUNT #: 08191160862	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.06	0.00	1.06	88.0	0.93
04/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 08191161591	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.62	0.00	1.62	88.0	1.43
04/01/2018	***-**-3932 - CARSON, DAVID ACCOUNT #: 08191168388	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	2.34	0.00	2.34	88.0	2.06
04/01/2018	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 08191172002	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.03	0.00	3.03	88.0	2.67
04/01/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.91	0.00	0.91	88.0	0.80
04/01/2018	***-**-21IR - SATTERLY, ANDREW ACCOUNT #: 08191173305	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.49	0.00	0.49	88.0	0.43



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-094I - CIRILLO, CARL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	5.61	0.00	5.61	88.0	4.94
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
04/01/2018	***-**-671I - EBERLEY, REID	MFS GLOBAL TOTAL RETURN FUND-B	0.00	4.25	0.00	4.25	88.0	3.74
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
04/01/2018	***-**-9839 - YADDAW, DAVID	MFS GLOBAL TOTAL RETURN FUND-B	0.00	4.66	0.00	4.66	88.0	4.10
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
04/01/2018	***-**-844I - ROSS, VALERIE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	7.11	0.00	7.11	88.0	6.26
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
04/01/2018	***-**-524I - SCALISE, JOSEPH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
04/01/2018	***-**-80IN - CURRIERE, LAURA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
04/01/2018	***-**-6988 - TOOKE, LISA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
04/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
04/01/2018	***-**-728I - BYWATER, KIM	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - GUARDI, LINDA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.18	0.00	3.18	88.0	2.80
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
04/01/2018	***-**-83UT - FALCHI, ISABELLE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: 08191247393	BUY 0 Units @0.0000						
04/01/2018	***-**-473I - HUSTON,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 08191353972	BUY 0 Units @0.0000						
04/01/2018	***-**-881I - EBERLEY, SUSAN	MFS GLOBAL TOTAL RETURN FUND-C	0.00	3.81	0.00	3.81	88.0	3.35
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
04/01/2018	***-**-7116 - PREVOST, SANDRA	MFS GOVERNMENT SECS CLASS C	0.00	3.40	0.00	3.40	88.0	2.99
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
04/01/2018	***-**-3749 - DEPEYSTER,	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
04/01/2018	***-**-75IN - MANNING, JEFFREY	MFS GOVERNMENT SECURITIES FUND-B	0.00	4.58	0.00	4.58	88.0	4.03
	ACCOUNT #: 08190129582	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 08190127726	MFS HIGH YIELD OPPORTUNITIES FUND-B BUY 0 Units @0.0000	0.00	0.78	0.00	0.78	88.0	0.69
04/01/2018	***-**-3910 - GUARNIERO, FBO ACCOUNT #: 08191309494	MFS HIGH YIELD OPPORTUNITIES FUND-B BUY 0 Units @0.0000	0.00	0.15	0.00	0.15	88.0	0.13
04/01/2018	***-**-1855 - WILLIAMSON, ACCOUNT #: 08191308008	MFS HIGH YIELD OPPORTUNITIES FUND-C BUY 0 Units @0.0000	0.00	1.33	0.00	1.33	88.0	1.17
04/01/2018	***-**-751N - MANNING, JEFFREY ACCOUNT #: 08190129582	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.88	0.00	0.88	88.0	0.77
04/01/2018	***-**-2131 - GRUENEWALD, ACCOUNT #: 08190131132	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
04/01/2018	***-**-7116 - PREVOST, SANDRA ACCOUNT #: 08191191385	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.95	0.00	0.95	88.0	0.84
04/01/2018	***-**-844I - ROSS, VALERIE ACCOUNT #: 08191197798	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	1.64	0.00	1.64	88.0	1.44
04/01/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 08191202574	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.43	0.00	0.43	88.0	0.38
04/01/2018	***-**-801N - CURRIERE, LAURA ACCOUNT #: 08191216642	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.08	0.00	0.08	88.0	0.07
04/01/2018	***-**-6988 - TOOKE, LISA ACCOUNT #: 08191218269	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
04/01/2018	***-**-4810 - ANACKER, FBO MRS ACCOUNT #: 08191221209	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.16	0.00	0.16	88.0	0.14
04/01/2018	***-**-728I - BYWATER, KIM ACCOUNT #: 08191226548	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09
04/01/2018	***-**-4731 - HUSTON, ACCOUNT #: 08191353972	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.58	0.00	0.58	88.0	0.51
04/01/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: 08190124895	MFS INFLATION ADJUSTED BOND CL C BUY 0 Units @0.0000	0.00	3.03	0.00	3.03	88.0	2.67
04/01/2018	***-**-841N - WARMUTH, ERIC ACCOUNT #: 00060639189	MFS INFLATION ADJUSTED BOND FUND-A BUY 0 Units @0.0000	0.00	1.08	0.00	1.08	88.0	0.95
04/01/2018	***-**-261N - GRANDE, MR ACCOUNT #: 08191260232	MFS INTERNATIONAL NEW DISCOVERY CL BUY 0 Units @0.0000	0.00	3.46	0.00	3.46	88.0	3.04



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-111J - NESSIA, JAMES	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	3.26	0.00	3.26	88.0	2.87
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
04/01/2018	***-**-0767 - DOVI,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
04/01/2018	***-**-2483 - TURNBULL,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						
04/01/2018	***-**-7617 - ESCHE, BEVERLY	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: 08191154979	BUY 0 Units @0.0000						
04/01/2018	***-**-06IN - SATTERLY,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.29	0.00	0.29	88.0	0.26
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						
04/01/2018	***-**-21IR - SATTERLY, ANDREW	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: 08191173305	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.44	0.00	2.44	88.0	2.15
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
04/01/2018	***-**-671I - EBERLEY, REID	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.10	0.00	2.10	88.0	1.85
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
04/01/2018	***-**-9839 - YADDAW, DAVID	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
04/01/2018	***-**-844I - ROSS, VALERIE	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	4.86	0.00	4.86	88.0	4.28
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
04/01/2018	***-**-728I - BYWATER, KIM	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - GUARDI, LINDA	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	3.16	0.00	3.16	88.0	2.78
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
04/01/2018	***-**-058I - ROBBIANO, SARAH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
04/01/2018	***-**-14IN - LINES, JUDITH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: 08191291668	BUY 0 Units @0.0000						
04/01/2018	***-**-39IO - GUARNIERO, FBO	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
04/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS INTERNATIONAL VALUE FUND-A	0.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-439I - MCCARTHY, JAMES	MFS INTERNATIONAL VALUE FUND-B	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
04/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS INTERNATIONAL VALUE FUND-B	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
04/01/2018	***-**-3932 - CARSON, DAVID	MFS INTERNATIONAL VALUE FUND-B	0.00	2.73	0.00	2.73	88.0	2.40
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
04/01/2018	***-**-13IN - RHYMESTINE,	MFS INTERNATIONAL VALUE FUND-B	0.00	8.38	0.00	8.38	88.0	7.37
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
04/01/2018	***-**-3420 - KOCHER, DENISE	MFS INTERNATIONAL VALUE FUND-B	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
04/01/2018	***-**-7116 - PREVOST, SANDRA	MFS INTERNATIONAL VALUE FUND-B	0.00	2.62	0.00	2.62	88.0	2.31
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
04/01/2018	***-**-09IN - BATES, CHRISTINE	MFS INTERNATIONAL VALUE FUND-B	0.00	4.81	0.00	4.81	88.0	4.23
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
04/01/2018	***-**-37IN - PFAFF, JOAN	MFS INTERNATIONAL VALUE FUND-B	0.00	6.97	0.00	6.97	88.0	6.13
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
04/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS LIMITED MATURITY FUND-C	0.00	3.15	0.00	3.15	88.0	2.77
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
04/01/2018	***-**-1855 - WILLIAMSON,	MFS MID CAP VALUE CLASS C	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - GUARDI, LINDA	MFS MID CAP VALUE FUND-B	0.00	3.74	0.00	3.74	88.0	3.29
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
04/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS NEW DISCOVERY FUND-A	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
04/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS NEW DISCOVERY FUND-A	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00060640713	BUY 0 Units @0.0000						
04/01/2018	***-**-2603 - MASTRANGELO,	MFS NEW DISCOVERY FUND-B	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
04/01/2018	***-**-889I - FRANZ, JONATHAN	MFS NEW DISCOVERY FUND-B	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
04/01/2018	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						



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DAVID GRIFFITH
2108 Genesee St.
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BROKER #: A76
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS NEW DISCOVERY FUND-B	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: 08191150076	BUY 0 Units @0.0000						
04/01/2018	***-**-8440 - PREVOST, PIERRE	MFS NEW DISCOVERY FUND-B	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
04/01/2018	***-**-237I - MCCLUSKY, MARK	MFS NEW DISCOVERY FUND-B	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
04/01/2018	***-**-7116 - PREVOST, SANDRA	MFS NEW DISCOVERY FUND-B	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
04/01/2018	***-**-09IN - BATES, CHRISTINE	MFS NEW DISCOVERY FUND-B	0.00	4.64	0.00	4.64	88.0	4.08
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
04/01/2018	***-**-524I - SCALISE, JOSEPH	MFS NEW DISCOVERY FUND-B	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
04/01/2018	***-**-37IN - PFAFF, JOAN	MFS NEW DISCOVERY FUND-B	0.00	6.35	0.00	6.35	88.0	5.59
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
04/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS NEW DISCOVERY FUND-B	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
04/01/2018	***-**-058I - ROBBIANO, SARAH	MFS NEW DISCOVERY FUND-B	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
04/01/2018	***-**-84IN - WARMUTH, ERIC	MFS NEW YORK MUNICIPAL BOND FUND CL	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: 00060639106	BUY 0 Units @0.0000						
04/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS RESEARCH BOND FUND CLASS A	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 00060640647	BUY 0 Units @0.0000						
04/01/2018	***-**-111J - NESSIA, JAMES	MFS RESEARCH BOND FUND-B	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
04/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS RESEARCH BOND FUND-B	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 08191150076	BUY 0 Units @0.0000						
04/01/2018	***-**-0767 - DOVI,	MFS RESEARCH BOND FUND-B	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
04/01/2018	***-**-8440 - PREVOST, PIERRE	MFS RESEARCH BOND FUND-B	0.00	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
04/01/2018	***-**-237I - MCCLUSKY, MARK	MFS RESEARCH BOND FUND-B	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-3932 - CARSON, DAVID	MFS RESEARCH BOND FUND-B	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MFS RESEARCH BOND FUND-B	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
04/01/2018	***-**-671I - EBERLEY, REID	MFS RESEARCH BOND FUND-B	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
04/01/2018	***-**-13IN - RHYMESTINE,	MFS RESEARCH BOND FUND-B	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
04/01/2018	***-**-3420 - KOCHEM, DENISE	MFS RESEARCH BOND FUND-B	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
04/01/2018	***-**-9839 - YADDAW, DAVID	MFS RESEARCH BOND FUND-B	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
04/01/2018	***-**-844I - ROSS, VALERIE	MFS RESEARCH BOND FUND-B	0.00	1.91	0.00	1.91	88.0	1.68
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MFS RESEARCH FUND-B	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: 08190127967	BUY 0 Units @0.0000						
04/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS RESEARCH FUND-B	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
04/01/2018	***-**-3932 - CARSON, DAVID	MFS RESEARCH FUND-B	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
04/01/2018	***-**-13IN - RHYMESTINE,	MFS RESEARCH FUND-B	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
04/01/2018	***-**-3420 - KOCHEM, DENISE	MFS RESEARCH FUND-B	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
04/01/2018	***-**-7116 - PREVOST, SANDRA	MFS RESEARCH FUND-B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
04/01/2018	***-**-26IN - GRANDE, MR	MFS STRATEGIC INCOME FUND-B	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 08191260232	BUY 0 Units @0.0000						
04/01/2018	***-**-26IN - GRANDE, MR	MFS TECHNOLOGY CLASS C	0.00	4.30	0.00	4.30	88.0	3.78
	ACCOUNT #: 08191260232	BUY 0 Units @0.0000						
04/06/2018	***-**-22IO - CLINTON, STEPHEN	MFS TECHNOLOGY CLASS C	7,499.99	75.00	0.00	75.00	88.0	66.00
	ACCOUNT #: LSR011684	BUY 224 Units @33.4700						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS TECHNOLOGY FUND CLASS A	0.00	1.94	0.00	1.94	88.0	1.71
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - GUARDI, LINDA	MFS TECHNOLOGY FUND-B	0.00	2.73	0.00	2.73	88.0	2.40
	ACCOUNT #: 05566055028	BUY 0 Units @0.0000						
04/01/2018	***-**-439I - MCCARTHY, JAMES	MFS TECHNOLOGY FUND-B	0.00	1.44	0.00	1.44	88.0	1.27
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
04/01/2018	***-**-111J - NESSIA, JAMES	MFS TECHNOLOGY FUND-B	0.00	2.21	0.00	2.21	88.0	1.94
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
04/01/2018	***-**-2603 - MASTRANGELO,	MFS TECHNOLOGY FUND-B	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
04/01/2018	***-**-889I - FRANZ, JONATHAN	MFS TECHNOLOGY FUND-B	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
04/01/2018	***-**-213I - GRUENEWALD,	MFS TECHNOLOGY FUND-B	0.00	2.79	0.00	2.79	88.0	2.46
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
04/01/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MFS TECHNOLOGY FUND-B	0.00	3.22	0.00	3.22	88.0	2.83
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
04/01/2018	***-**-80IN - CURRIERE, LAURA	MFS TECHNOLOGY FUND-B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
04/01/2018	***-**-6988 - TOOKE, LISA	MFS TECHNOLOGY FUND-B	0.00	2.52	0.00	2.52	88.0	2.22
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
04/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS TECHNOLOGY FUND-B	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
04/01/2018	***-**-5384 - GURDO, JESSICA	MFS TECHNOLOGY FUND-B	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
04/01/2018	***-**-058I - ROBBIANO, SARAH	MFS TECHNOLOGY FUND-B	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
04/01/2018	***-**-14IN - LINES, JUDITH	MFS TECHNOLOGY FUND-B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: 08191291668	BUY 0 Units @0.0000						
04/01/2018	***-**-39IO - GUARNIERO, FBO	MFS TECHNOLOGY FUND-B	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-724I - BLISS, RYAN	MFS TECHNOLOGY FUND-B	0.00	4.72	0.00	4.72	88.0	4.15
	ACCOUNT #: 08191352733	BUY 0 Units @0.0000						
04/01/2018	***-**-606I - LEWIS, TAMARA	MFS TECHNOLOGY FUND-B	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: 08191352846	BUY 0 Units @0.0000						
04/01/2018	***-**-439J - MCCARTHY, JAMES	MFS TOTAL RETURN FUND-A	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: 00060638905	BUY 0 Units @0.0000						
04/01/2018	***-**-861I - SANGER, LAWRENCE	MFS TOTAL RETURN FUND-A	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 00060640581	BUY 0 Units @0.0000						
04/01/2018	***-**-439I - MCCARTHY, JAMES	MFS TOTAL RETURN FUND-B	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
04/01/2018	***-**-111J - NESSIA, JAMES	MFS TOTAL RETURN FUND-B	0.00	3.66	0.00	3.66	88.0	3.22
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
04/01/2018	***-**-0767 - DOVI,	MFS TOTAL RETURN FUND-B	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
04/01/2018	***-**-861I - SANGER, LAWRENCE	MFS TOTAL RETURN FUND-B	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
04/01/2018	***-**-2483 - TURNBULL,	MFS TOTAL RETURN FUND-B	0.00	0.96	0.00	0.96	88.0	0.84
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						
04/01/2018	***-**-237I - MCCLUSKY, MARK	MFS TOTAL RETURN FUND-B	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MFS TOTAL RETURN FUND-B	0.00	4.78	0.00	4.78	88.0	4.21
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
04/01/2018	***-**-671I - EBERLEY, REID	MFS TOTAL RETURN FUND-B	0.00	3.46	0.00	3.46	88.0	3.04
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
04/01/2018	***-**-13IN - RHYMESTINE,	MFS TOTAL RETURN FUND-B	0.00	4.36	0.00	4.36	88.0	3.84
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
04/01/2018	***-**-3420 - KOCHER, DENISE	MFS TOTAL RETURN FUND-B	0.00	0.96	0.00	0.96	88.0	0.84
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
04/01/2018	***-**-9839 - YADDAW, DAVID	MFS TOTAL RETURN FUND-B	0.00	3.93	0.00	3.93	88.0	3.46
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
04/01/2018	***-**-1491 - GUNN, EDWARD	MFS TOTAL RETURN FUND-B	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: 08191184927	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-7116 - PREVOST, SANDRA	MFS TOTAL RETURN FUND-B	0.00	1.64	0.00	1.64	88.0	1.44
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
04/01/2018	***-**-09IN - BATES, CHRISTINE	MFS TOTAL RETURN FUND-B	0.00	4.41	0.00	4.41	88.0	3.88
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
04/01/2018	***-**-844I - ROSS, VALERIE	MFS TOTAL RETURN FUND-B	0.00	6.12	0.00	6.12	88.0	5.39
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
04/01/2018	***-**-37IN - PFAFF, JOAN	MFS TOTAL RETURN FUND-B	0.00	6.13	0.00	6.13	88.0	5.39
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
04/01/2018	***-**-5384 - GURDO, JESSICA	MFS TOTAL RETURN FUND-B	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
04/01/2018	***-**-14IN - LINES, JUDITH	MFS TOTAL RETURN FUND-B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 08191291668	BUY 0 Units @0.0000						
04/01/2018	***-**-1855 - WILLIAMSON,	MFS TRAILS 55273G710	0.00	4.73	0.00	4.73	88.0	4.16
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
04/01/2018	***-**-881I - EBERLEY, SUSAN	MFS TRAILS 552988610	0.00	2.75	0.00	2.75	88.0	2.42
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
04/01/2018	***-**-881I - EBERLEY, SUSAN	MFS TRAILS 552989600	0.00	2.29	0.00	2.29	88.0	2.02
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
04/01/2018	***-**-439J - MCCARTHY, JAMES	MFS UTILITIES FUND-A	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: 00060638930	BUY 0 Units @0.0000						
04/01/2018	***-**-84IN - WARMUTH, ERIC	MFS UTILITIES FUND-A	0.00	2.79	0.00	2.79	88.0	2.46
	ACCOUNT #: 00060639103	BUY 0 Units @0.0000						
04/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS UTILITIES FUND-A	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
04/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS UTILITIES FUND-A	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 00060640627	BUY 0 Units @0.0000						
04/01/2018	***-**-861I - SANGER, LAWRENCE	MFS UTILITIES FUND-A	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: 00060640636	BUY 0 Units @0.0000						
04/01/2018	***-**-439I - MCCARTHY, JAMES	MFS UTILITIES FUND-B	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
04/01/2018	***-**-111J - NESSIA, JAMES	MFS UTILITIES FUND-B	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	0.00	2.44	0.00	2.44	88.0	2.15
	ACCOUNT #: 08190127967	BUY 0 Units @0.0000						
04/01/2018	***-**-2603 - MASTRANGELO,	MFS UTILITIES FUND-B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
04/01/2018	***-**-889I - FRANZ, JONATHAN	MFS UTILITIES FUND-B	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
04/01/2018	***-**-31IN - WARMUTH,	MFS UTILITIES FUND-B	0.00	1.98	0.00	1.98	88.0	1.74
	ACCOUNT #: 08191131006	BUY 0 Units @0.0000						
04/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS UTILITIES FUND-B	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: 08191150076	BUY 0 Units @0.0000						
04/01/2018	***-**-0767 - DOVI,	MFS UTILITIES FUND-B	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
04/01/2018	***-**-861I - SANGER, LAWRENCE	MFS UTILITIES FUND-B	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
04/01/2018	***-**-2483 - TURNBULL,	MFS UTILITIES FUND-B	0.00	1.57	0.00	1.57	88.0	1.38
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						
04/01/2018	***-**-7617 - ESCHE, BEVERLY	MFS UTILITIES FUND-B	0.00	3.54	0.00	3.54	88.0	3.12
	ACCOUNT #: 08191154979	BUY 0 Units @0.0000						
04/01/2018	***-**-8440 - PREVOST, PIERRE	MFS UTILITIES FUND-B	0.00	2.16	0.00	2.16	88.0	1.90
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
04/01/2018	***-**-237I - MCCLUSKY, MARK	MFS UTILITIES FUND-B	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
04/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS UTILITIES FUND-B	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
04/01/2018	***-**-3932 - CARSON, DAVID	MFS UTILITIES FUND-B	0.00	3.13	0.00	3.13	88.0	2.75
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
04/01/2018	***-**-06IN - SATTERLY,	MFS UTILITIES FUND-B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
04/01/2018	***-**-671I - EBERLEY, REID	MFS UTILITIES FUND-B	0.00	3.18	0.00	3.18	88.0	2.80
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-9839 - YADDAW, DAVID	MFS UTILITIES FUND-B	0.00	1.92	0.00	1.92	88.0	1.69
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
04/01/2018	***-**-7116 - PREVOST, SANDRA	MFS UTILITIES FUND-B	0.00	1.70	0.00	1.70	88.0	1.50
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
04/01/2018	***-**-09IN - BATES, CHRISTINE	MFS UTILITIES FUND-B	0.00	4.13	0.00	4.13	88.0	3.63
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
04/01/2018	***-**-844I - ROSS, VALERIE	MFS UTILITIES FUND-B	0.00	7.40	0.00	7.40	88.0	6.51
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
04/01/2018	***-**-524I - SCALISE, JOSEPH	MFS UTILITIES FUND-B	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
04/01/2018	***-**-80IN - CURRIERE, LAURA	MFS UTILITIES FUND-B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
04/01/2018	***-**-37IN - PFAFF, JOAN	MFS UTILITIES FUND-B	0.00	6.11	0.00	6.11	88.0	5.38
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
04/01/2018	***-**-6988 - TOOKE, LISA	MFS UTILITIES FUND-B	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
04/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS UTILITIES FUND-B	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
04/01/2018	***-**-728I - BYWATER, KIM	MFS UTILITIES FUND-B	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
04/01/2018	***-**-213I - GRUENEWALD,	MFS UTILITIES FUND-B	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 08191229521	BUY 0 Units @0.0000						
04/01/2018	***-**-5384 - GURDO, JESSICA	MFS UTILITIES FUND-B	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - GUARDI, LINDA	MFS UTILITIES FUND-B	0.00	3.06	0.00	3.06	88.0	2.69
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
04/01/2018	***-**-058I - ROBBIANO, SARAH	MFS UTILITIES FUND-B	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
04/01/2018	***-**-39IO - GUARNIERO, FBO	MFS UTILITIES FUND-B	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
04/01/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: 08191352846	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/01/2018	***-**-473I - HUSTON, ACCOUNT #: 08191353972	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	1.00	0.00	1.00	88.0	0.88
04/01/2018	***-**-26IN - GRANDE, MR ACCOUNT #: 08191260232	MFS UTILITIES FUND-C BUY 0 Units @0.0000	0.00	3.77	0.00	3.77	88.0	3.32
04/01/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: 08191326411	MFS UTILITIES FUND-C BUY 0 Units @0.0000	0.00	3.31	0.00	3.31	88.0	2.91
04/16/2018	***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995	MUTUAL GLOBAL DISCOVERY FUND - CLAS BUY 1 Units @0.0000	0.00	1.54	0.00	1.54	88.0	1.36
03/31/2018	***-**-633J - ACCOUNT #: 05502871176	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	0.00	2.28	0.00	2.28	88.0	2.01
03/31/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 00100019119	OPP STEELPATH MLP ALPHA+ FND C BUY 0 Units @0.0000	0.00	0.03	0.00	0.03	88.0	0.03
03/31/2018	***-**-13IN - BLISS, PATRICK ACCOUNT #: 05521022681	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	0.00	9.53	0.00	9.53	88.0	8.39
03/31/2018	***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	0.00	11.53	0.00	11.53	88.0	10.15
03/31/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 05521043603	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	0.00	4.36	0.00	4.36	88.0	3.84
03/31/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 07871306525	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	0.00	5.65	0.00	5.65	88.0	4.97
03/31/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 07872061521	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	0.00	5.55	0.00	5.55	88.0	4.88
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 07872093014	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	0.00	3.08	0.00	3.08	88.0	2.71
03/31/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 07862860001	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
03/31/2018	***-**-0767 - DOVI, ACCOUNT #: 07862886753	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	2.90	0.00	2.90	88.0	2.55
03/31/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 07862938926	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	2.73	0.00	2.73	88.0	2.40
03/31/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 07862942457	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	11.47	0.00	11.47	88.0	10.09



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/31/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 07862947055	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	0.91	0.00	0.91	88.0	0.80
03/31/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 07862950586	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
03/31/2018	***-**-69IN - EVANS, PAUL ACCOUNT #: 07862954403	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	88.0	1.22
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 07862957439	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	1.85	0.00	1.85	88.0	1.63
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 07862962213	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
03/31/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 05005738601	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	1.77	0.00	1.77	88.0	1.56
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 05005977620	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	7.10	0.00	7.10	88.0	6.25
03/31/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 05005989148	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	2.75	0.00	2.75	88.0	2.42
03/31/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	3.61	0.00	3.61	88.0	3.18
03/31/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 06870116919	OPPENHEIMER GLOBAL VALUE FUND CL A BUY 0 Units @0.0000	0.00	1.73	0.00	1.73	88.0	1.52
03/31/2018	***-**-14IN - LINES, JUDITH ACCOUNT #: 06890025267	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 0 Units @0.0000	0.00	13.55	0.00	13.55	88.0	11.92
03/31/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 04120615032	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	1.56	0.00	1.56	88.0	1.37
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 04120821381	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
03/31/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08822034824	OPPENHEIMER INT'L BOND CLASS C BUY 0 Units @0.0000	0.00	5.28	0.00	5.28	88.0	4.65
03/31/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 01952877039	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	2.20	0.00	2.20	88.0	1.94
03/31/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	2.38	0.00	2.38	88.0	2.09



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/31/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	4.73	0.00	4.73	88.0	4.16
03/31/2018	***-**-14IN - LINES, JUDITH ACCOUNT #: 01971035265	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	12.82	0.00	12.82	88.0	11.28
03/31/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08170371459	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	19.00	0.00	19.00	88.0	16.72
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08170372680	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	11.13	0.00	11.13	88.0	9.79
03/31/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 08170406615	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	3.67	0.00	3.67	88.0	3.23
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 08811178738	OPPENHEIMER INTL BOND CLASS B BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 08811186460	OPPENHEIMER INTL BOND CLASS B BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	88.0	0.04
03/31/2018	***-**-0767 - DOVI, ACCOUNT #: 08477584335	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
03/31/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 08477272342	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	88.0	1.22
03/31/2018	***-**-0767 - DOVI, ACCOUNT #: 08477584467	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	3.72	0.00	3.72	88.0	3.27
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 08477604212	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	11.17	0.00	11.17	88.0	9.83
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08477648025	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	2.47	0.00	2.47	88.0	2.17
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08491519782	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	9.10	0.00	9.10	88.0	8.01
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 08477656715	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	2.24	0.00	2.24	88.0	1.97
03/31/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 02270678062	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	16.16	0.00	16.16	88.0	14.22
03/31/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 02270934868	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	2.41	0.00	2.41	88.0	2.12



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/31/2018	***-**-524I - SCALISE, JOSEPH	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	7.18	0.00	7.18	88.0	6.32
	ACCOUNT #: 02270938278	BUY 0 Units @0.0000						
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	12.48	0.00	12.48	88.0	10.98
	ACCOUNT #: 02270952072	BUY 0 Units @0.0000						
03/31/2018	***-**-96IN - NESSIA, BONNIE	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	2.72	0.00	2.72	88.0	2.39
	ACCOUNT #: 02271140183	BUY 0 Units @0.0000						
03/31/2018	***-**-69IN - EVANS, PAUL	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: 02913850561	BUY 0 Units @0.0000						
03/31/2018	***-**-84IN - WARMUTH, ERIC	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	10.68	0.00	10.68	88.0	9.40
	ACCOUNT #: 02510094556	BUY 0 Units @0.0000						
03/31/2018	***-**-237I - MCCLUSKY, MARK	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	2.80	0.00	2.80	88.0	2.46
	ACCOUNT #: 02514976004	BUY 0 Units @0.0000						
03/31/2018	***-**-3749 - DEPEYSTER,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: 02514983539	BUY 0 Units @0.0000						
03/31/2018	***-**-633J -	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	2.23	0.00	2.23	88.0	1.96
	ACCOUNT #: 02514987422	BUY 0 Units @0.0000						
03/31/2018	***-**-0767 - DOVI,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: 02515003240	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLO,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	2.33	0.00	2.33	88.0	2.05
	ACCOUNT #: 02515019080	BUY 0 Units @0.0000						
03/31/2018	***-**-960I - MASTRANGELO,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: 02515019168	BUY 0 Units @0.0000						
03/31/2018	***-**-1491 - GUNN, EDWARD	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	3.70	0.00	3.70	88.0	3.26
	ACCOUNT #: 02515033226	BUY 0 Units @0.0000						
03/31/2018	***-**-09IN - BATES, CHRISTINE	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	8.21	0.00	8.21	88.0	7.22
	ACCOUNT #: 02515036889	BUY 0 Units @0.0000						
03/31/2018	***-**-2603 - MASTRANGELO,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: 02515041168	BUY 0 Units @0.0000						
03/31/2018	***-**-69IN - EVANS, PAUL	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: 02515049715	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: 02515060110	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/31/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 00100661541	OPPENHEIMER STEELPATH MLP INC.FND C BUY 0 Units @0.0000	0.00	0.87	0.00	0.87	88.0	0.77
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 02307298712	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	5.98	0.00	5.98	88.0	5.26
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 02317093174	OPPENHEIMER STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	88.0	0.04
03/31/2018	***-**-0767 - DOVI, ACCOUNT #: 02203626810	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	1.08	0.00	1.08	88.0	0.95
03/31/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02203662824	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 02203678653	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
03/31/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 00100355609	OPPENHEIMERSTEELPATH MLP INCOME CL BUY 0 Units @0.0000	0.00	2.88	0.00	2.88	88.0	2.53
04/09/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: VP71062990	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	507.00	15.21	0.00	15.21	88.0	13.38
04/09/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: VP71063000	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	64.75	1.94	0.00	1.94	88.0	1.71
04/09/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: VP71063000	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	366.25	10.99	0.00	10.99	88.0	9.67
03/31/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 05420233365	PORT SERIES: CONS INV C BUY 0 Units @0.0000	0.00	4.17	0.00	4.17	88.0	3.67
04/16/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	PRUDENTIAL JENNISON 20/20 FOCUS CLA BUY 1 Units @0.0000	0.00	3.28	0.00	3.28	88.0	2.89
04/16/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	88.0	0.31
04/16/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	2.42	0.00	2.42	88.0	2.13
04/16/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	88.0	0.28
04/16/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/16/2018	***-**-861I - SANGER, LAWRENCE	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
04/16/2018	***-**-128I - BASHANT, THOMAS	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
04/16/2018	***-**-30TR - AND SANDRA	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
04/16/2018	***-**-254I - AUGUSTINE, LINDA	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
04/16/2018	***-**-15IN - PENDRAK, JOHN	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/16/2018	***-**-944O - MAYO, DEBORAH	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM 1	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
04/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
04/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
04/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
04/02/2018	***-**-756I - HUSTON, JOUANA	PUTNAM ASSET ALLOC GROWTH-A	0.00	11.10	0.00	11.10	88.0	9.77
	ACCOUNT #: 00550220530	BUY 0 Units @0.0000						
04/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
04/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
04/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
04/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM DIVERSIFIED INCOME FUND CLAS	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
04/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM EQUITY INCOME FUND-A	0.00	2.51	0.00	2.51	88.0	2.21
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
04/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM GLOBAL EQUITY FUND CLASS A	0.00	2.29	0.00	2.29	88.0	2.02
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
04/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
04/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
04/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM GLOBAL TECHNOLOGY FUND CL A	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
04/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM GLOBAL UTILITIES CL C	0.00	7.59	0.00	7.59	88.0	6.68
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
04/02/2018	***-**-28IN - BYWATER, KIM	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	6.37	0.00	6.37	88.0	5.61
	ACCOUNT #: 00392501050	BUY 0 Units @0.0000						
04/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM HEALTH SCIENCES TR-B	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
04/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM HEALTH SCIENCES TR-B	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
04/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM INTL GROWTH & INC-A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
04/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM INTL GROWTH & INC-B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
04/02/2018	***-**-91UT - BYWATER, CAROLYN	PUTNAM INVESTORS FUND-A	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: 00234174436	BUY 0 Units @0.0000						
04/02/2018	***-**-79UT - BYWATER,	PUTNAM INVESTORS FUND-A	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: 00234227769	BUY 0 Units @0.0000						
04/02/2018	***-**-28IN - BYWATER, KIM	PUTNAM INVESTORS FUND-A	0.00	6.22	0.00	6.22	88.0	5.47
	ACCOUNT #: 00392501050	BUY 0 Units @0.0000						
04/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM MID-CAP VALUE FUND-A	0.00	2.55	0.00	2.55	88.0	2.24
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
04/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM SMALL CAP VALUE FUND-A	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
04/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM SMALL CAP VALUE FUND-B	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
04/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM U.S. GOVT INCOME TR-A	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
04/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM U.S. GOVT INCOME TR-B	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDL0,	QUEST BALANCED A	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 02577505531	BUY 0 Units @0.0000						
03/31/2018	***-**-69IN - EVANS, PAUL	QUEST BALANCED A	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: 02577810451	BUY 0 Units @0.0000						
03/31/2018	***-**-78IN - FALES, JOAN	QUEST BALANCED FUND C	0.00	2.07	0.00	2.07	88.0	1.82
	ACCOUNT #: 02592293104	BUY 0 Units @0.0000						
03/31/2018	***-**-14IN - LINES, JUDITH	QUEST BALANCED FUND C	0.00	4.46	0.00	4.46	88.0	3.92
	ACCOUNT #: 02592297625	BUY 0 Units @0.0000						
03/31/2018	***-**-84IN - WARMUTH, ERIC	QUEST INTERNATIONAL VALUE FUND, INC	0.00	6.49	0.00	6.49	88.0	5.71
	ACCOUNT #: 02540085811	BUY 0 Units @0.0000						
03/31/2018	***-**-84IN - WARMUTH, ERIC	QUEST OPPORTUNITY VALUE A	0.00	8.21	0.00	8.21	88.0	7.22
	ACCOUNT #: 02361010152	BUY 0 Units @0.0000						
03/31/2018	***-**-973I - LABAYEWSKI,	REAL ESTATE FUND A	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: 05901046408	BUY 0 Units @0.0000						
03/31/2018	***-**-237I - MCCLUSKY, MARK	REAL ESTATE FUND A	0.00	2.49	0.00	2.49	88.0	2.19
	ACCOUNT #: 05901256948	BUY 0 Units @0.0000						
03/31/2018	***-**-3749 - DEPEYSTER,	REAL ESTATE FUND A	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: 05901261997	BUY 0 Units @0.0000						
03/31/2018	***-**-0767 - DOVI,	REAL ESTATE FUND A	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: 05901273712	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDL0,	REAL ESTATE FUND A	0.00	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: 05901284228	BUY 0 Units @0.0000						
03/31/2018	***-**-960I - MASTRANGELO,	REAL ESTATE FUND A	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: 05901284382	BUY 0 Units @0.0000						
03/31/2018	***-**-1491 - GUNN, EDWARD	REAL ESTATE FUND A	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: 05901293732	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/31/2018	***-**-09IN - BATES, CHRISTINE	REAL ESTATE FUND A	0.00	4.64	0.00	4.64	88.0	4.08
	ACCOUNT #: 05901296141	BUY 0 Units @0.0000						
03/31/2018	***-**-2603 - MASTRANGELO,	REAL ESTATE FUND A	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: 05901298583	BUY 0 Units @0.0000						
03/31/2018	***-**-69IN - EVANS, PAUL	REAL ESTATE FUND A	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: 05901303665	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	REAL ESTATE FUND A	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 05901309693	BUY 0 Units @0.0000						
03/31/2018	***-**-391I - MASTRANGELO,	REAL ESTATE FUND A	0.00	3.81	0.00	3.81	88.0	3.35
	ACCOUNT #: 05901309748	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLO,	REAL ESTATE FUND B	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 05910195855	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	REAL ESTATE FUND B	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: 05910204314	BUY 0 Units @0.0000						
03/31/2018	***-**-391I - MASTRANGELO,	REAL ESTATE FUND B	0.00	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 05910207031	BUY 0 Units @0.0000						
03/31/2018	***-**-1944 - BEHA, JAMES	REAL ESTATE FUND C	0.00	5.06	0.00	5.06	88.0	4.45
	ACCOUNT #: 05920222255	BUY 0 Units @0.0000						
03/31/2018	***-**-78IN - FALES, JOAN	REAL ESTATE FUND C	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: 05920299178	BUY 0 Units @0.0000						
03/31/2018	***-**-14IN - LINES, JUDITH	REAL ESTATE FUND C	0.00	5.75	0.00	5.75	88.0	5.06
	ACCOUNT #: 05920329857	BUY 0 Units @0.0000						
03/31/2018	***-**-84IN - WARMUTH, ERIC	RISING DIVIDENDS FUND A	0.00	3.49	0.00	3.49	88.0	3.07
	ACCOUNT #: 02252765829	BUY 0 Units @0.0000						
03/31/2018	***-**-973I - LABAYEWSKI,	RISING DIVIDENDS FUND A	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: 02254172036	BUY 0 Units @0.0000						
03/31/2018	***-**-237I - MCCLUSKY, MARK	RISING DIVIDENDS FUND A	0.00	3.36	0.00	3.36	88.0	2.96
	ACCOUNT #: 02254670435	BUY 0 Units @0.0000						
03/31/2018	***-**-3749 - DEPEYSTER,	RISING DIVIDENDS FUND A	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: 02254680236	BUY 0 Units @0.0000						
03/31/2018	***-**-0767 - DOVI,	RISING DIVIDENDS FUND A	0.00	1.53	0.00	1.53	88.0	1.35
	ACCOUNT #: 02254705239	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/31/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 02254728647	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86
03/31/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 02254729032	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.34	0.00	1.34	88.0	1.18
03/31/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 02254763429	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	11.79	0.00	11.79	88.0	10.38
03/31/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 02254772636	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.20	0.00	1.20	88.0	1.06
03/31/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02254781183	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 02254799399	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	12.51	0.00	12.51	88.0	11.01
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 02254799421	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	3.97	0.00	3.97	88.0	3.49
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 02254813776	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.07	0.00	1.07	88.0	0.94
03/31/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 02261702844	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 02261749935	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	1.57	0.00	1.57	88.0	1.38
03/31/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02261752014	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	1.99	0.00	1.99	88.0	1.75
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 02261762079	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 02261762112	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	88.0	0.02
03/31/2018	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 03551357917	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
03/31/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 03551386715	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
03/31/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 03570632181	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	1.42	0.00	1.42	88.0	1.25



COMMISSION STATEMENT

April 16, 2018

DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/31/2018	***-**-14IN - LINES, JUDITH	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	5.09	0.00	5.09	88.0	4.48
	ACCOUNT #: 03570635811	BUY 0 Units @0.0000						
03/31/2018	***-**-78IN - FALES, JOAN	SENIOR FLOATING RATE FUND C	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: 02931809830	BUY 0 Units @0.0000						
03/31/2018	***-**-96IN - NESSIA, BONNIE	SENIOR FLOATING RATE FUND C	0.00	6.44	0.00	6.44	88.0	5.67
	ACCOUNT #: 02931827254	BUY 0 Units @0.0000						
03/31/2018	***-**-14IN - LINES, JUDITH	SENIOR FLOATING RATE FUND C	0.00	8.78	0.00	8.78	88.0	7.73
	ACCOUNT #: 02931832127	BUY 0 Units @0.0000						
03/31/2018	***-**-31IO - WILLIAMSON, FBO	SMALL & MID-CAP GRWTH FND C	0.00	3.66	0.00	3.66	88.0	3.22
	ACCOUNT #: 07230230516	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDL0,	SMALL- & MID- CAP VALUE B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: 02521484681	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	SMALL- & MID- CAP VALUE B	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 02521508133	BUY 0 Units @0.0000						
03/31/2018	***-**-1944 - BEHA, JAMES	SMALL- & MID- CAP VALUE FUND C	0.00	14.70	0.00	14.70	88.0	12.94
	ACCOUNT #: 02531057771	BUY 0 Units @0.0000						
03/31/2018	***-**-78IN - FALES, JOAN	STRATEGIC INCOME FUND C	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: 02322752145	BUY 0 Units @0.0000						
03/31/2018	***-**-14IN - LINES, JUDITH	STRATEGIC INCOME FUND C	0.00	3.53	0.00	3.53	88.0	3.11
	ACCOUNT #: 02322774145	BUY 0 Units @0.0000						
04/16/2018	***-**-86IN - LEE, KEVIN	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	3.92	0.00	3.92	88.0	3.45
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	U.S. GOVERNMENT TRUST B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 02211109251	BUY 0 Units @0.0000						
03/31/2018	***-**-524I - SCALISE, JOSEPH	U.S. GOVERNMENT TRUST B	0.00	0.29	0.00	0.29	88.0	0.26
	ACCOUNT #: 02211110318	BUY 0 Units @0.0000						
03/31/2018	***-**-524I - SCALISE, JOSEPH	U.S. GOVERNMENT TRUST C	0.00	4.20	0.00	4.20	88.0	3.70
	ACCOUNT #: 02220585310	BUY 0 Units @0.0000						
04/16/2018	***-**-71IO - FAMOLARO, JAMES	VAN KAMPEN9	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
04/16/2018	***-**-07IO - FAMOLARO, JAMES	WELLS FARGO ASSET ALLOCATION CL A	0.00	3.11	0.00	3.11	88.0	2.74
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
04/16/2018	***-**-07IO - FAMOLARO, JAMES	WELLS FARGO GLOBAL OPPT FD CL A	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
04/16/2018	***-**-680I - HARRELL, DARYL	WELLS FARGO SPECIALIZED TECH A	0.00	1.95	0.00	1.95	88.0	1.72
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
04/16/2018	***-**-680I - HARRELL, DARYL	WELLS FARGO UTILITY TELECOM CL A	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
* KURT GRUENEWALD SUBTOTAL *			<u>\$54,538.00</u>	<u>\$2,920.53</u>	<u>\$0.00</u>	<u>\$2,920.53</u>		<u>\$2,569.99</u>
*** OVERRIDE TRANSACTIONS TOTAL ***			<u>\$54,538.00</u>	<u>\$2,920.53</u>	<u>\$0.00</u>	<u>\$2,920.53</u>		<u>\$2,569.99</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$2,245.19
Split Transactions	\$0.00
Override Transactions	\$2,569.99
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	\$4,815.18
Year-to-date Earnings	\$78,090.85