



# COMMISSION STATEMENT

## February 26, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</u></b>								
01/17/2018	***-**-319I - HILLEBRAND, JOAN	GWG L BOND - 5 YR BUY 20 Units @1000.0000	20,000.00	1,180.00	0.00	1,180.00	88.0	1,038.40
01/23/2018	***-**-225P - DAMSKY, CYNTHIA	GWG L BOND - 5 YR BUY 20 Units @1000.0000	20,000.00	1,180.00	0.00	1,180.00	88.0	1,038.40
01/25/2018	***-**-69IR - PERRITANO, SUSAN	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	88.0	519.20
01/17/2018	***-**-319I - HILLEBRAND, JOAN	GWG PREFERRED STOCK BUY 12 Units @1000.0000	12,000.00	792.00	0.00	792.00	88.0	696.96
01/23/2018	***-**-225P - DAMSKY, CYNTHIA	GWG PREFERRED STOCK BUY 15 Units @1000.0000	15,000.00	990.00	0.00	990.00	88.0	871.20
01/25/2018	***-**-425I - PERRITANO,	GWG PREFERRED STOCK BUY 16 Units @1000.0000	16,000.00	1,056.00	0.00	1,056.00	88.0	929.28
01/25/2018	***-**-69IR - PERRITANO, SUSAN	GWG PREFERRED STOCK BUY 10 Units @1000.0000	10,000.00	660.00	0.00	660.00	88.0	580.80
01/26/2018	***-**-919I - DAVIS, MARISSA	GWG PREFERRED STOCK BUY 5 Units @1000.0000	5,000.00	330.00	0.00	330.00	88.0	290.40
<b>* ALTERNATIVE INVESTMENTS SUBTOTAL *</b>			<b>\$108,000.00</b>	<b>\$6,778.00</b>	<b>\$0.00</b>	<b>\$6,778.00</b>		<b>\$5,964.64</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
02/16/2018	***-**-801I - HAGAN III, ACCOUNT #: 00088485981	AMERICAN GLOBAL BALANCED CL C BUY 5 Units @32.9200	160.00	1.60	0.00	1.60	88.0	1.41
02/12/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03222207458	CAPITAL APPRECIATION C BUY 0 Units @0.0000	6.15	0.06	0.00	0.06	88.0	0.05
02/01/2018	***-**-8027 - MAXWELL, COLLEEN ACCOUNT #: 07621429626	CASH RESERVES C BUY 0 Units @0.0000	330.25	0.83	0.00	0.83	88.0	0.73
02/06/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 08370389048	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
02/07/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 08370450769	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	5.44	0.05	0.00	0.05	88.0	0.04
02/07/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 08370720038	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
02/12/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 08370450780	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	9.24	0.09	0.00	0.09	88.0	0.08



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
02/15/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	EUROPACIFIC GROWTH FUND-A BUY 1 Units @61.1700	33.00	1.40	0.00	1.40	88.0	1.23
02/06/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02171604031	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	16.00	0.16	0.00	0.16	88.0	0.14
02/07/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02171646348	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
02/12/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02171646359	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	6.15	0.06	0.00	0.06	88.0	0.05
02/21/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010886	LORD ABBETT SHORT DURATION INCOME C SELL 52 Units @4.2400	220.52	0.00	0.00	0.00	88.0	0.00
02/12/2018	***-**-686I - STRUMPFLER, MARK ACCOUNT #: 00060352385	MFS UTILITIES FUND-B BUY 4 Units @19.1900	75.00	3.00	0.00	3.00	88.0	2.64
02/26/2018	***-**-29IO - LORUSSO, VINCENT ACCOUNT #: 77089153301	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/26/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77172702502	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	12.50	0.13	0.00	0.13	88.0	0.11
02/26/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77172702502	NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000	0.00	-0.63	0.00	-0.63	88.0	-0.55
02/26/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77172702502	NYA JPM 529 MOD PORT C BUY 0 Units @0.0000	37.50	1.02	0.00	1.02	88.0	0.90
02/26/2018	***-**-225P - DAMSKY, CYNTHIA	NYA JPM 529 REALTY INCOME PORTF C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/26/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 77296639001	NYA JPM 529 REALTY INCOME PORTF C BUY 0 Units @0.0000	100.00	4.05	0.00	4.05	88.0	3.56
02/15/2018	***-**-497I - MARTIN, KATHLEEN ACCOUNT #: 05520998470	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/06/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100011925	OPPENHEIMER CUSIP 68385X208 BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
02/06/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 07872241470	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
02/07/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 07871984301	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
02/06/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100064439	OPPENHEIMER EMERG MKTS LOCAL DEBT F BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
02/06/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100025895	OPPENHEIMER GLBL HIGH YIELD FUND C BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
02/07/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 00100018140	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
02/07/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 03322653871	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
02/12/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03322653882	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	3.08	0.03	0.00	0.03	88.0	0.03
02/06/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 06890080641	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
02/06/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 01970799227	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
02/07/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 01970849112	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	8.14	0.08	0.00	0.08	88.0	0.07
02/07/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 01971001154	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
02/12/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 01970849123	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	12.31	0.12	0.00	0.12	88.0	0.11
02/06/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02270806520	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
02/07/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02270899492	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	8.14	0.08	0.00	0.08	88.0	0.07
02/12/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02270899503	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	12.31	0.12	0.00	0.12	88.0	0.11
02/15/2018	***-**-497I - MARTIN, KATHLEEN ACCOUNT #: 05420240427	PORT SERIES: CONS INV C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/06/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02592245914	QUEST BALANCED FUND C BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
02/06/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02560282953	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	16.00	0.16	0.00	0.16	88.0	0.14



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
02/12/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	6.15	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
02/06/2018	***-**-58IN - CADY, GAIL	REAL ESTATE FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 05920265584	BUY 0 Units @0.0000						
02/07/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 05920286880	BUY 0 Units @0.0000						
02/12/2018	***-**-29IN - THIBAUT, THIBAUT	REAL ESTATE FUND C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 05920285846	BUY 0 Units @0.0000						
02/12/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	6.15	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
02/07/2018	***-**-0457 - STAGLIANO, GINA	SENIOR FLOATING RATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02931758372	BUY 0 Units @0.0000						
02/06/2018	***-**-58IN - CADY, GAIL	SMALL- & MID- CAP VALUE FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02531131966	BUY 0 Units @0.0000						
02/07/2018	***-**-0457 - STAGLIANO, GINA	SMALL- & MID- CAP VALUE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02531164735	BUY 0 Units @0.0000						
02/15/2018	***-**-5485 - GAETANO, GAETANO	SMALLCAP WORLD FUND-A	33.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 00082975488	BUY 1 Units @60.0500						
02/07/2018	***-**-7473 - SCOTELLARO, SCOTELLARO	STRATEGIC INCOME FUND C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 02322945965	BUY 0 Units @0.0000						
02/15/2018	***-**-5485 - GAETANO, GAETANO	THE GROWTH FUND OF AMERICA-A	34.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 00082975488	BUY 1 Units @55.0100						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$1,886.55</b>	<b>\$22.71</b>	<b>\$0.00</b>	<b>\$22.71</b>		<b>\$19.96</b>
<b>PRODUCT CATEGORY: STOCKS</b>								
02/15/2018	***-**-361J - ALOISIO, ALOISIO	PETROLEO BRASILEIRO SA PETROBRAS SP	2,394.00	70.20	19.00	51.20	88.0	45.06
	ACCOUNT #: LSR010864	BUY 200 Units @11.9700						
02/15/2018	***-**-361J - ALOISIO, ALOISIO	WALMART STORES INC UNSOLICITED ORDE	5,142.00	97.49	16.00	81.49	88.0	71.71
	ACCOUNT #: LSR010864	SELL 50 Units @102.8400						
<b>* STOCKS SUBTOTAL *</b>			<b>\$7,536.00</b>	<b>\$167.69</b>	<b>\$35.00</b>	<b>\$132.69</b>		<b>\$116.77</b>



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
02/20/2018	***-**-91IN - RICHARDSON, ACCOUNT #: LSR010900	AMCAP FUND-C BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62
02/20/2018	***-**-91IN - RICHARDSON, ACCOUNT #: LSR010900	AMCAP FUND-F1 BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
02/20/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.78	0.00	0.78	88.0	0.69
02/20/2018	***-**-803J - TEESDALE, ACCOUNT #: LSR011017	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
02/20/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	AMERICAN FUNDS MORTGAGE CL F1 BUY 1 Units @0.0000	0.00	1.73	0.00	1.73	88.0	1.52
02/20/2018	***-**-91IN - RICHARDSON, ACCOUNT #: LSR010900	AMERICAN FUNDS MORTGAGE CL F1 BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	88.0	0.84
02/20/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: LSR010873	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	5.38	0.00	5.38	88.0	4.73
02/20/2018	***-**-60IN - SCHRADER, KEVIN ACCOUNT #: LSR010897	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	10.03	0.00	10.03	88.0	8.83
02/20/2018	***-**-91IN - RICHARDSON, ACCOUNT #: LSR010900	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	1.56	0.00	1.56	88.0	1.37
02/20/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	21.68	0.00	21.68	88.0	19.08
02/20/2018	***-**-53TR - SABANOSH, ALAN R ACCOUNT #: LSR010917	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	10.41	0.00	10.41	88.0	9.16
02/20/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	11.34	0.00	11.34	88.0	9.98
02/20/2018	***-**-88IN - PICKARD, ELAINE ACCOUNT #: LSR010957	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	9.43	0.00	9.43	88.0	8.30
02/20/2018	***-**-80TR - SCOTELLARO TTEE, ACCOUNT #: LSR010974	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	25.25	0.00	25.25	88.0	22.22
02/20/2018	***-**-69IN - HAUCK, JUDITH ACCOUNT #: LSR010980	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	9.54	0.00	9.54	88.0	8.40
02/20/2018	***-**-973I - CHAMBERS, ROGER ACCOUNT #: LSR011018	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	9.48	0.00	9.48	88.0	8.34



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/20/2018	***-**-22IN - GRACIE, JULIA	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.31	0.00	8.31	88.0	7.31
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
02/20/2018	***-**-29IO - LORUSSO, VINCENT	AMERICAN FUNDS MORTGAGE FD CL C	0.00	5.44	0.00	5.44	88.0	4.79
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
02/20/2018	***-**-03IN - BOSHART, PEGGY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.81	0.00	2.81	88.0	2.47
	ACCOUNT #: LSR011744	BUY 1 Units @0.0000						
02/20/2018	***-**-753I - SABANOSH, ALAN	AMERICAN GLOBAL BALANCED CL C	0.00	50.94	0.00	50.94	88.0	44.83
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
02/20/2018	***-**-88IN - PICKARD, ELAINE	AMERICAN GLOBAL BALANCED CL C	0.00	19.73	0.00	19.73	88.0	17.36
	ACCOUNT #: LSR010957	BUY 1 Units @0.0000						
02/20/2018	***-**-973I - CHAMBERS, ROGER	AMERICAN GLOBAL BALANCED CL C	0.00	14.90	0.00	14.90	88.0	13.11
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
02/20/2018	***-**-73IN - SCOTELLARO IV,	AMERICAN GLOBAL BALANCED CL C	0.00	6.96	0.00	6.96	88.0	6.12
	ACCOUNT #: LSR011086	BUY 1 Units @0.0000						
02/20/2018	***-**-05IN - HULL, JEFFERY	AMERICAN GLOBAL BALANCED CL C	0.00	15.64	0.00	15.64	88.0	13.76
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
02/20/2018	***-**-90IN - PICKARD, KAREN	AMERICAN GLOBAL BALANCED CL C	0.00	6.53	0.00	6.53	88.0	5.75
	ACCOUNT #: LSR011687	BUY 1 Units @0.0000						
02/20/2018	***-**-03IN - BOSHART, PEGGY	AMERICAN GLOBAL BALANCED CL C	0.00	6.70	0.00	6.70	88.0	5.90
	ACCOUNT #: LSR011744	BUY 1 Units @0.0000						
02/20/2018	***-**-03IR - BOSHART, PEGGY	AMERICAN GLOBAL BALANCED CL C	0.00	6.02	0.00	6.02	88.0	5.30
	ACCOUNT #: LSR011749	BUY 1 Units @0.0000						
02/20/2018	***-**-21IN - DANIELS, JOHN	AMERICAN GLOBAL BALANCED CLASS A	0.00	5.61	0.00	5.61	88.0	4.94
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
02/20/2018	***-**-355I - CRIMMINS, KAREN	AMERICAN GLOBAL BALANCED CLASS A	0.00	3.41	0.00	3.41	88.0	3.00
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
02/20/2018	***-**-08TR - SCOTELLARO III,	AMERICAN HIGH-INCOME TRUST-C	0.00	27.56	0.00	27.56	88.0	24.25
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
02/20/2018	***-**-21IN - DANIELS, JOHN	AMERICAN MORTGAGE FUND CL A	0.00	4.22	0.00	4.22	88.0	3.71
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
02/20/2018	***-**-698J - FEISTHAMEL, MR	AMERICAN MORTGAGE FUND CL A	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

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BROKER #: A76  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/26/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	CAPITAL APPRECIATION C BUY 1 Units @0.0000	0.00	10.54	0.00	10.54	88.0	9.28
02/20/2018	***-**-25IR - PERRITANO, ACCOUNT #: LSR010923	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15
02/20/2018	***-**-25IN - PERRITANO, ACCOUNT #: LSR010924	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	88.0	0.29
02/20/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	CAPITAL INCOME BUILDER-F1 BUY 1 Units @0.0000	0.00	2.68	0.00	2.68	88.0	2.36
02/20/2018	***-**-80IN - GRIFFITH, DAVID ACCOUNT #: LSF000286	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
02/20/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.39	0.00	1.39	88.0	1.22
02/20/2018	***-**-25IR - PERRITANO, ACCOUNT #: LSR010923	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
02/20/2018	***-**-25IN - PERRITANO, ACCOUNT #: LSR010924	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	0.37	0.00	0.37	88.0	0.33
02/20/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: LSR010964	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
02/20/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	4.19	0.00	4.19	88.0	3.69
02/20/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.51	0.00	1.51	88.0	1.33
02/20/2018	***-**-803J - TEESDALE, ACCOUNT #: LSR011017	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42
02/20/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	5.92	0.00	5.92	88.0	5.21
02/20/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	2.63	0.00	2.63	88.0	2.31
02/20/2018	***-**-469I - HAUCK, JUDITH ACCOUNT #: LSR011739	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	0.99	0.00	0.99	88.0	0.87
02/20/2018	***-**-80TR - SCOTELLARO TTEE, ACCOUNT #: LSR010974	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	12.19	0.00	12.19	88.0	10.73



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/20/2018	***-**-973I - CHAMBERS, ROGER ACCOUNT #: LSR011018	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	11.24	0.00	11.24	88.0	9.89
02/20/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 1 Units @0.0000	0.00	3.12	0.00	3.12	88.0	2.75
02/20/2018	***-**-72IN - THIBAUT, JOHN ACCOUNT #: LSR012086	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62
02/26/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	88.0	1.45
02/26/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
02/26/2018	***-**-41IN - HULL, ELMINA ACCOUNT #: LSR010999	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	3.99	0.00	3.99	88.0	3.51
02/26/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.10	0.00	2.10	88.0	1.85
02/26/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.43	0.00	0.43	88.0	0.38
02/26/2018	***-**-718J - LOWE, GREGORY ACCOUNT #: LSR011914	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
02/26/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
02/20/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	EUROPACIFIC GROWTH FUND CLASS F BUY 1 Units @0.0000	0.00	1.62	0.00	1.62	88.0	1.43
02/20/2018	***-**-80IN - GRIFFITH, DAVID ACCOUNT #: LSF000286	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	6.04	0.00	6.04	88.0	5.32
02/20/2018	***-**-25IR - PERRITANO, ACCOUNT #: LSR010923	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	1.45	0.00	1.45	88.0	1.28
02/20/2018	***-**-25IN - PERRITANO, ACCOUNT #: LSR010924	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
02/20/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	1.15	0.00	1.15	88.0	1.01
02/20/2018	***-**-661I - GORCZYNSKI, ACCOUNT #: LSR011221	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	3.33	0.00	3.33	88.0	2.93





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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/26/2018	***-**-580I - GRIFFITH, DAVID ACCOUNT #: LSF000292	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
02/26/2018	***-**-0040 - GRIFFITH, ACCOUNT #: LSF000293	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
02/26/2018	***-**-580I - GRIFFITH, DAVID ACCOUNT #: LSF000295	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
02/26/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
02/26/2018	***-**-54IN - THIBAUT, MS ACCOUNT #: LSR011080	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
02/26/2018	***-**-29IN - THIBAUT, ACCOUNT #: LSR011094	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
02/26/2018	***-**-698J - BAILEY, MR ACCOUNT #: LSR011097	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
02/26/2018	***-**-77IR - MARRONE, FBO MR ACCOUNT #: LSR011158	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
02/20/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	FUNDAMENTAL INVESTORS FUND CLASS F BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	88.0	1.06
02/20/2018	***-**-54IN - THIBAUT, MS ACCOUNT #: LSR011080	FUNDAMENTAL INVESTORS FUND CLASS F BUY 1 Units @0.0000	0.00	1.86	0.00	1.86	88.0	1.64
02/20/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	2.07	0.00	2.07	88.0	1.82
02/20/2018	***-**-803J - TEESDALE, ACCOUNT #: LSR011017	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	88.0	0.26
02/20/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	88.0	1.47
02/20/2018	***-**-369J - DAVIS, BRUCE ACCOUNT #: LSR011027	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.09	0.00	1.09	88.0	0.96
02/20/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.89	0.00	1.89	88.0	1.66
02/20/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.51	0.00	1.51	88.0	1.33



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/20/2018	***-**-467J - PICKARD, BRIAN	FUNDAMENTAL INVESTORS-C	0.00	5.14	0.00	5.14	88.0	4.52
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
02/20/2018	***-**-621I - DANIELS SR, JOHN	FUNDAMENTAL INVESTORS-C	0.00	18.69	0.00	18.69	88.0	16.45
	ACCOUNT #: LSR010950	BUY 1 Units @0.0000						
02/20/2018	***-**-73IR - CHAMBERS, ROGER	FUNDAMENTAL INVESTORS-C	0.00	2.39	0.00	2.39	88.0	2.10
	ACCOUNT #: LSR011020	BUY 1 Units @0.0000						
02/26/2018	***-**-61IN - GORCZYNSKI,	GLOBAL OPPORTUNITIES FUND C	0.00	55.15	0.00	55.15	88.0	48.53
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
02/26/2018	***-**-077I - GAUTHIER, LOUIS	GOLD & SPECIAL MINERALS A	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
02/26/2018	***-**-369I - DAVIS, BRUCE	GOLD & SPECIAL MINERALS A	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
02/26/2018	***-**-679I - MURSCH JR,	GOLD & SPECIAL MINERALS FUND B	0.00	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
02/26/2018	***-**-24TR - SCOTELLARO, L	HARTFORD CHECKS AND BALANCED FUND C	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
02/26/2018	***-**-369I - DAVIS, BRUCE	HARTFORD CHECKS AND BALANCED FUND C	0.00	2.22	0.00	2.22	88.0	1.95
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
02/20/2018	***-**-58IN - SCHRECK, RYAN	INCOME FUND OF AMERICA CLASS C	0.00	10.92	0.00	10.92	88.0	9.61
	ACCOUNT #: LSR010873	BUY 1 Units @0.0000						
02/20/2018	***-**-467J - PICKARD, BRIAN	INCOME FUND OF AMERICA CLASS C	0.00	11.84	0.00	11.84	88.0	10.42
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
02/20/2018	***-**-80TR - SCOTELLARO TTEE,	INCOME FUND OF AMERICA CLASS C	0.00	14.29	0.00	14.29	88.0	12.58
	ACCOUNT #: LSR010974	BUY 1 Units @0.0000						
02/20/2018	***-**-08TR - SCOTELLARO III,	INCOME FUND OF AMERICA CLASS C	0.00	37.75	0.00	37.75	88.0	33.22
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
02/20/2018	***-**-973I - CHAMBERS, ROGER	INCOME FUND OF AMERICA CLASS C	0.00	13.83	0.00	13.83	88.0	12.17
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
02/20/2018	***-**-901O - DRUMM, LOIS	INCOME FUND OF AMERICA CLASS C	0.00	8.53	0.00	8.53	88.0	7.51
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
02/26/2018	***-**-679I - MURSCH JR,	INTERNATIONAL DIVERSIFIED FUND B	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/26/2018	***-**-319I - HILLEBRAND, JOAN	INTERNATIONAL DIVERSIFIED FUND B	0.00	4.35	0.00	4.35	88.0	3.83
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
02/26/2018	***-**-077I - GAUTHIER, LOUIS	INTERNATIONAL GROWTH FUND A	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
02/26/2018	***-**-656I - SMOLA, STANLEY	INTERNATIONAL GROWTH FUND C	0.00	10.36	0.00	10.36	88.0	9.12
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
02/20/2018	***-**-05IR - HULL, JEFF	MANNING & NAPIER PRO NFS	0.00	4.57	0.00	4.57	88.0	4.02
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
02/20/2018	***-**-656I - SMOLA, STANLEY	MUTUAL SHRS FND - CL C	0.00	2.25	0.00	2.25	88.0	1.98
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
02/20/2018	***-**-661I - GORCZYNSKI,	NEW WORLD FUND-A	0.00	3.84	0.00	3.84	88.0	3.38
	ACCOUNT #: LSR011221	BUY 1 Units @0.0000						
02/26/2018	***-**-077I - GAUTHIER, LOUIS	OPP PORT SERIES: ACTIVE ALLOC A	0.00	2.56	0.00	2.56	88.0	2.25
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
02/26/2018	***-**-61IN - GORCZYNSKI,	OPPENHEIMER GLBL REAL ESTATE FUND C	0.00	14.21	0.00	14.21	88.0	12.50
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
02/26/2018	***-**-656I - SMOLA, STANLEY	OPPENHEIMER GLBL REAL ESTATE FUND C	0.00	3.56	0.00	3.56	88.0	3.13
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
02/26/2018	***-**-61IN - GORCZYNSKI,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	43.93	0.00	43.93	88.0	38.66
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
02/26/2018	***-**-621I - DANIELS SR, JOHN	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	4.38	0.00	4.38	88.0	3.85
	ACCOUNT #: LSR010950	BUY 1 Units @0.0000						
02/26/2018	***-**-244I - BURTON, RICHARD	PL PORTFOLIO OPTIMIZATION MODERATE	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR011997	BUY 1 Units @0.0000						
02/20/2018	***-**-05IN - HULL, JEFFERY	PRINCIPAL INVESTORS HIGH YIELD CL	0.00	6.29	0.00	6.29	88.0	5.54
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
02/26/2018	***-**-369J - DAVIS, BRUCE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	2.78	0.00	2.78	88.0	2.45
	ACCOUNT #: LSR011027	BUY 1 Units @0.0000						
02/26/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM 1	0.00	1.81	0.00	1.81	88.0	1.59
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
02/26/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM 1	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/26/2018	***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	2.60	0.00	2.60	88.0	2.29
02/26/2018	***-**-91IR - DAMSKY, MELISSA ACCOUNT #: LSR010928	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	88.0	0.94
02/26/2018	***-**-869I - CASEY, JOHN ACCOUNT #: LSR011323	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
02/26/2018	***-**-973I - CHAMBERS, ROGER ACCOUNT #: LSR011018	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	12.87	0.00	12.87	88.0	11.33
02/26/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.66	0.00	2.66	88.0	2.34
02/26/2018	***-**-41IN - HULL, ELMINA ACCOUNT #: LSR010999	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	6.10	0.00	6.10	88.0	5.37
02/26/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	4.89	0.00	4.89	88.0	4.30
02/26/2018	***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	88.0	1.03
02/26/2018	***-**-187I - WASZKIEWICZ, FBO ACCOUNT #: LSR011144	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.28	0.00	2.28	88.0	2.01
02/26/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	PUTNAM EUROPE EQUITY CLASS C BUY 1 Units @0.0000	0.00	17.67	0.00	17.67	88.0	15.55
02/26/2018	***-**-53TR - SABANOSH, ALAN R ACCOUNT #: LSR010917	PUTNAM EUROPE EQUITY CLASS C BUY 1 Units @0.0000	0.00	12.28	0.00	12.28	88.0	10.81
02/26/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	PUTNAM EUROPE EQUITY CLASS C BUY 1 Units @0.0000	0.00	9.48	0.00	9.48	88.0	8.34
02/26/2018	***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927	PUTNAM EUROPE EQUITY FUND-B BUY 1 Units @0.0000	0.00	1.42	0.00	1.42	88.0	1.25
02/26/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	PUTNAM EUROPE EQUITY FUND-B BUY 1 Units @0.0000	0.00	1.44	0.00	1.44	88.0	1.27
02/26/2018	***-**-29IO - LORUSSO, VINCENT ACCOUNT #: LSR011681	PUTNAM EUROPE EQUITY FUND-B BUY 1 Units @0.0000	0.00	1.39	0.00	1.39	88.0	1.22
02/26/2018	***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077	PUTNAM FLOATING RATE INCOME CL B BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	88.0	0.95



# COMMISSION STATEMENT

## February 26, 2018

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BROKER #: A76  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/26/2018	***-**-21IN - DANIELS, JOHN	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
02/26/2018	***-**-34IN - SHEFFER, EUGENE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: LSR011000	BUY 1 Units @0.0000						
02/26/2018	***-**-73IN - SCOTELLARO IV,	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: LSR011086	BUY 1 Units @0.0000						
02/26/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
02/26/2018	***-**-41TR - DAMSKY, BARRY	PUTNAM GLOBAL NAT RESOURCES-B	0.00	2.55	0.00	2.55	88.0	2.24
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
02/26/2018	***-**-753I - SABANOSH, ALAN	PUTNAM GLOBAL UTILITIES CL C	0.00	5.42	0.00	5.42	88.0	4.77
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
02/26/2018	***-**-369I - DAVIS, BRUCE	PUTNAM INTERNATIONAL EQUITY-A	0.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
02/26/2018	***-**-61IN - GORCZYNSKI,	PUTNAM MID-CAP VALUE FUND-C	0.00	52.64	0.00	52.64	88.0	46.32
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
02/26/2018	***-**-231J - MISHLANIE JR,	PUTNAM UTILITIES GR & INC-B	0.00	2.86	0.00	2.86	88.0	2.52
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
02/26/2018	***-**-369I - DAVIS, BRUCE	PUTNAM UTILITIES GR & INC-B	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
02/26/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM UTILITIES GR & INC-B	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
02/26/2018	***-**-13IR - MURRAY, JOHN	PUTNAM UTILITIES GR & INC-B	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: LSR011459	BUY 1 Units @0.0000						
02/26/2018	***-**-29IO - LORUSSO, VINCENT	PUTNAM UTILITIES GR & INC-B	0.00	1.88	0.00	1.88	88.0	1.65
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
02/26/2018	***-**-92IR - THIBAUT, MARY	PUTNAM UTILITIES GR & INC-B	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR011833	BUY 1 Units @0.0000						
02/26/2018	***-**-76IR - BOSHART-LOWE,	PUTNAM UTILITIES GR & INC-B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR011841	BUY 1 Units @0.0000						
02/26/2018	***-**-679I - MURSCH JR,	QUEST BALANCED B	0.00	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/26/2018	***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927	QUEST BALANCED B BUY 1 Units @0.0000	0.00	3.42	0.00	3.42	88.0	3.01
02/26/2018	***-**-29IN - THIBAUT, ACCOUNT #: LSR011094	QUEST BALANCED FUND C BUY 1 Units @0.0000	0.00	10.59	0.00	10.59	88.0	9.32
02/26/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	QUEST INTERNATIONAL VALUE FUND, INC BUY 1 Units @0.0000	0.00	3.28	0.00	3.28	88.0	2.89
02/26/2018	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	QUEST INTERNATIONAL VALUE FUND, INC BUY 1 Units @0.0000	0.00	44.12	0.00	44.12	88.0	38.83
02/26/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.20	0.00	2.20	88.0	1.94
02/26/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	88.0	1.36
02/26/2018	***-**-01IN - HAGAN III, ACCOUNT #: LSR011014	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.12	0.00	2.12	88.0	1.87
02/26/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.52	0.00	2.52	88.0	2.22
02/26/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	0.22	0.00	0.22	88.0	0.19
02/26/2018	***-**-05IN - HULL, JEFFERY ACCOUNT #: LSR011187	SENIOR FLOATING RATE FUND C BUY 1 Units @0.0000	0.00	8.59	0.00	8.59	88.0	7.56
02/26/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	0.20	0.00	0.20	88.0	0.18
02/26/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	SMALL- & MID-CAP GROWTH FUND A BUY 1 Units @0.0000	0.00	2.56	0.00	2.56	88.0	2.25
02/20/2018	***-**-80IN - GRIFFITH, DAVID ACCOUNT #: LSF000286	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	6.45	0.00	6.45	88.0	5.68
02/20/2018	***-**-580I - GRIFFITH, DAVID ACCOUNT #: LSF000295	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
02/20/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: LSR010964	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	88.0	0.63
02/20/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	88.0	1.09



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/20/2018	***-**-24TR - SCOTELLARO, L	SMALLCAP WORLD FUND-A	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
02/20/2018	***-**-803J - TEESDALE,	SMALLCAP WORLD FUND-A	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: LSR011017	BUY 1 Units @0.0000						
02/20/2018	***-**-22IN - GRACIE, JULIA	SMALLCAP WORLD FUND-A	0.00	2.07	0.00	2.07	88.0	1.82
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
02/20/2018	***-**-661I - GORCZYNSKI,	SMALLCAP WORLD FUND-A	0.00	4.25	0.00	4.25	88.0	3.74
	ACCOUNT #: LSR011221	BUY 1 Units @0.0000						
02/20/2018	***-**-469I - HAUCK, JUDITH	SMALLCAP WORLD FUND-A	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: LSR011739	BUY 1 Units @0.0000						
02/20/2018	***-**-656I - SMOLA, STANLEY	SMALLCAP WORLD FUND-F1	0.00	2.07	0.00	2.07	88.0	1.82
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
02/20/2018	***-**-25IN - PERRITANO,	TA ASSET ALLOC MODERATE PORT CL A	0.00	1.93	0.00	1.93	88.0	1.70
	ACCOUNT #: LSR010924	BUY 1 Units @0.0000						
02/20/2018	***-**-423I - SAVICKI, RICHARD	TEMPLETON EMERGING MARKETS BALANCED	0.00	8.72	0.00	8.72	88.0	7.67
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
02/20/2018	***-**-425I - PERRITANO,	TEMPLETON EMERGING MARKETS BALANCED	0.00	13.45	0.00	13.45	88.0	11.84
	ACCOUNT #: LSR010922	BUY 1 Units @0.0000						
02/20/2018	***-**-319I - HILLEBRAND, JOAN	TEMPLETON EMERGING MARKETS BALANCED	0.00	9.66	0.00	9.66	88.0	8.50
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
02/20/2018	***-**-973I - CHAMBERS, ROGER	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	6.06	0.00	6.06	88.0	5.33
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
02/20/2018	***-**-05IN - HULL, JEFFERY	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	4.44	0.00	4.44	88.0	3.91
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
02/20/2018	***-**-80IN - GRIFFITH, DAVID	THE GROWTH FUND OF AMERICA-A	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: LSF000286	BUY 1 Units @0.0000						
02/20/2018	***-**-29IO - LORUSSO, VINCENT	THE GROWTH FUND OF AMERICA-C	0.00	7.51	0.00	7.51	88.0	6.61
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
02/20/2018	***-**-90IN - PICKARD, KAREN	THE GROWTH FUND OF AMERICA-C	0.00	2.52	0.00	2.52	88.0	2.22
	ACCOUNT #: LSR011687	BUY 1 Units @0.0000						
02/20/2018	***-**-21IN - DANIELS, JOHN	THE INCOME FUND OF AMERICA-A	0.00	3.90	0.00	3.90	88.0	3.43
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/20/2018	***-**-24TR - SCOTELLARO, L	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	4.84	0.00	4.84	88.0	4.26
	ACCOUNT #: LSR010973							
02/20/2018	***-**-474J - HAGAN JR,	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	3.39	0.00	3.39	88.0	2.98
	ACCOUNT #: LSR010993							
02/20/2018	***-**-803J - TEESDALE,	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: LSR011017							
02/20/2018	***-**-698J - FEISTHAMEL, MR	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: LSR011137							
02/20/2018	***-**-661I - GORCZYNSKI,	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.33	0.00	2.33	88.0	2.05
	ACCOUNT #: LSR011221							
02/20/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.85	0.00	1.85	88.0	1.63
	ACCOUNT #: LSR011739							
02/20/2018	***-**-656I - SMOLA, STANLEY	THE INCOME FUND OF AMERICA-F1 BUY 1 Units @0.0000	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR010868							
02/20/2018	***-**-661I - GORCZYNSKI,	THE NEW ECONOMY FUND-A BUY 1 Units @0.0000	0.00	3.77	0.00	3.77	88.0	3.32
	ACCOUNT #: LSR011221							
02/20/2018	***-**-94UT - MISHLANIE,	TRANSAMERICA BALANCED - A BUY 1 Units @0.0000	0.00	4.68	0.00	4.68	88.0	4.12
	ACCOUNT #: LSR010931							
02/20/2018	***-**-41IN - HULL, ELMINA	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	4.55	0.00	4.55	88.0	4.00
	ACCOUNT #: LSR010999							
02/20/2018	***-**-41IN - HULL, ELMINA	TRANSAMERICA MULT MAN ALT BUY 1 Units @0.0000	0.00	3.57	0.00	3.57	88.0	3.14
	ACCOUNT #: LSR010999							
02/20/2018	***-**-08TR - SCOTELLARO III,	TRANSAMERICA SHORT-TERM BOND CL A BUY 1 Units @0.0000	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: LSR010975							
02/26/2018	***-**-656I - SMOLA, STANLEY	VOYA GLOBAL REAL ESTATE CLASS C BUY 1 Units @0.0000	0.00	5.64	0.00	5.64	88.0	4.96
	ACCOUNT #: LSR010868							
02/20/2018	***-**-474J - HAGAN JR,	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @0.0000	0.00	26.21	0.00	26.21	88.0	23.06
	ACCOUNT #: LSR010993							
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$1,083.37</b>	<b>\$0.00</b>	<b>\$1,083.37</b>		<b>\$953.39</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$117,422.55</b>	<b>\$8,051.77</b>	<b>\$35.00</b>	<b>\$8,016.77</b>		<b>\$7,054.76</b>





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<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: KURT GRUENEWALD</u></b>								
02/26/2018	***-**-702I - KOCHER, MICHAEL	37252M108	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
02/26/2018	***-**-680I - HARRELL, DARYL	37252M108	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
02/26/2018	***-**-22IO - CLINTON, STEPHEN	37252M108	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
02/20/2018	***-**-71IO - FAMOLARO, JAMES	AIM GLOBAL VALUE FUND - CLASS A	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
02/20/2018	***-**-306X - COBB, CHERYL	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
02/20/2018	***-**-580X - COBB, JAMES	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
02/20/2018	***-**-837O - BASEMENT	AIM GOLD & PRECIOUS METALS FD - A	0.00	2.21	0.00	2.21	88.0	1.94
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
02/15/2018	***-**-5375 - CARTER, LISA	AMERICAN BALANCED FUND-529C	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00083996363	BUY 11 Units @27.1800						
02/20/2018	***-**-680I - HARRELL, DARYL	AMERICAN BALANCED FUND-A	0.00	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
02/20/2018	***-**-30TR - AND SANDRA	AMERICAN BALANCED FUND-A	0.00	2.97	0.00	2.97	88.0	2.61
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
02/20/2018	***-**-761I - EVANS, DOLORES	AMERICAN BALANCED FUND-C	0.00	15.70	0.00	15.70	88.0	13.82
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
02/20/2018	***-**-094I - KATRENA L	AMERICAN BALANCED FUND-C	0.00	3.96	0.00	3.96	88.0	3.48
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
02/20/2018	***-**-52IO - EUSEPI, SUSAN	AMERICAN BALANCED FUND-C	0.00	5.34	0.00	5.34	88.0	4.70
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
02/20/2018	***-**-80IO - EVANS, RICHARD	AMERICAN BALANCED FUND-C	0.00	15.93	0.00	15.93	88.0	14.02
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
02/20/2018	***-**-881I - EBERLEY, SUSAN	AMERICAN FUNDS BALANCED PORT CL C	0.00	9.03	0.00	9.03	88.0	7.95
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
02/20/2018	***-**-382K - SATTERLY, NEIL	AMERICAN FUNDS BALANCED PORT CL C	0.00	4.59	0.00	4.59	88.0	4.04
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/20/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.76	0.00	3.76	88.0	3.31
02/20/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	23.21	0.00	23.21	88.0	20.42
02/20/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	6.35	0.00	6.35	88.0	5.59
02/20/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.83	0.00	4.83	88.0	4.25
02/20/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	12.32	0.00	12.32	88.0	10.84
02/20/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	10.83	0.00	10.83	88.0	9.53
02/20/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	7.27	0.00	7.27	88.0	6.40
02/20/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	12.21	0.00	12.21	88.0	10.74
02/20/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	10.34	0.00	10.34	88.0	9.10
02/20/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	12.16	0.00	12.16	88.0	10.70
02/20/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	6.47	0.00	6.47	88.0	5.69
02/20/2018	***-**-73UT - COBB, CHRSTIAN ACCOUNT #: LSR011104	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.59	0.00	5.59	88.0	4.92
02/20/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.59	0.00	5.59	88.0	4.92
02/20/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	2.67	0.00	2.67	88.0	2.35
02/20/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	7.70	0.00	7.70	88.0	6.78
02/20/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	16.48	0.00	16.48	88.0	14.50



# COMMISSION STATEMENT

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
02/20/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.16	0.00	5.16	88.0	4.54
02/20/2018	***-**-900J - LEE, MR. ACCOUNT #: LSR011186	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.32	0.00	5.32	88.0	4.68
02/20/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.76	0.00	3.76	88.0	3.31
02/20/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.78	0.00	3.78	88.0	3.33
02/20/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.82	0.00	3.82	88.0	3.36
02/20/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	4.27	0.00	4.27	88.0	3.76
02/20/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	1.98	0.00	1.98	88.0	1.74
02/20/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
02/20/2018	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	0.26	0.00	0.26	88.0	0.23
02/20/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	2.13	0.00	2.13	88.0	1.87
02/20/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	AMERICAN FUNDS GLBL GROWTH PORT CL BUY 1 Units @0.0000	0.00	3.51	0.00	3.51	88.0	3.09
02/20/2018	***-**-87IN - HINCKLEY, ACCOUNT #: LSR010834	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.59	0.00	6.59	88.0	5.80
02/20/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.28	0.00	8.28	88.0	7.29
02/20/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	7.41	0.00	7.41	88.0	6.52
02/20/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.62	0.00	8.62	88.0	7.59
02/20/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	13.06	0.00	13.06	88.0	11.49



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/20/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	12.96	0.00	12.96	88.0	11.40
02/20/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	5.00	0.00	5.00	88.0	4.40
02/20/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	13.02	0.00	13.02	88.0	11.46
02/20/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	10.41	0.00	10.41	88.0	9.16
02/20/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.64	0.00	8.64	88.0	7.60
02/20/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.60	0.00	8.60	88.0	7.57
02/20/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.72	0.00	8.72	88.0	7.67
02/20/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	12.95	0.00	12.95	88.0	11.40
02/20/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.56	0.00	8.56	88.0	7.53
02/20/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	22.31	0.00	22.31	88.0	19.63
02/20/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.49	0.00	6.49	88.0	5.71
02/20/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	13.99	0.00	13.99	88.0	12.31
02/20/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	3.02	0.00	3.02	88.0	2.66
02/20/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	2.52	0.00	2.52	88.0	2.22
02/20/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	3.00	0.00	3.00	88.0	2.64
02/20/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.68	0.00	8.68	88.0	7.64



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/20/2018	***-**-80IO - EVANS, RICHARD	AMERICAN FUNDS MORTGAGE FD CL C	0.00	6.87	0.00	6.87	88.0	6.05
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
02/20/2018	***-**-376I - BERBEN, GAIL	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.43	0.00	8.43	88.0	7.42
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
02/20/2018	***-**-21IO - RADELL, SANDRA	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.42	0.00	8.42	88.0	7.41
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
02/20/2018	***-**-45IO - JOHNSON, GREGORY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	16.84	0.00	16.84	88.0	14.82
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
02/20/2018	***-**-420T - DEMETRI, AMELIA	AMERICAN FUNDS PRESERVATION PORT C	0.00	4.25	0.00	4.25	88.0	3.74
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
02/20/2018	***-**-881J - EBERLEY, SUSAN	AMERICAN GLOBAL BALANCED CL C	0.00	9.77	0.00	9.77	88.0	8.60
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
02/20/2018	***-**-382I - SATTERLY, NEIL	AMERICAN GLOBAL BALANCED CL C	0.00	11.82	0.00	11.82	88.0	10.40
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
02/20/2018	***-**-382K - SATTERLY, NEIL	AMERICAN GLOBAL BALANCED CL C	0.00	4.37	0.00	4.37	88.0	3.85
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
02/20/2018	***-**-980I - ACEE, ELIZABETH	AMERICAN GLOBAL BALANCED CL C	0.00	14.78	0.00	14.78	88.0	13.01
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
02/20/2018	***-**-48IO - CLARK, PATRICK	AMERICAN GLOBAL BALANCED CL C	0.00	11.62	0.00	11.62	88.0	10.23
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
02/20/2018	***-**-72IN - GAVALO, JULIE	AMERICAN GLOBAL BALANCED CL C	0.00	11.29	0.00	11.29	88.0	9.94
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
02/20/2018	***-**-065I - LAZIO, THOMAS	AMERICAN GLOBAL BALANCED CL C	0.00	13.04	0.00	13.04	88.0	11.48
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
02/20/2018	***-**-420T - DEMETRI, AMELIA	AMERICAN GLOBAL BALANCED CL C	0.00	7.29	0.00	7.29	88.0	6.42
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
02/20/2018	***-**-73TR - WESTCOTT IRRVOC	AMERICAN GLOBAL BALANCED CL C	0.00	15.05	0.00	15.05	88.0	13.24
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
02/20/2018	***-**-73TR - WESTCOTT IRRVOC	AMERICAN GLOBAL BALANCED CL C	0.00	29.57	0.00	29.57	88.0	26.02
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
02/20/2018	***-**-80IN - COBB, JAMES	AMERICAN GLOBAL BALANCED CL C	0.00	8.27	0.00	8.27	88.0	7.28
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/20/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	13.77	0.00	13.77	88.0	12.12
02/20/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	24.83	0.00	24.83	88.0	21.85
02/20/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	17.42	0.00	17.42	88.0	15.33
02/20/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	7.81	0.00	7.81	88.0	6.87
02/20/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	20.01	0.00	20.01	88.0	17.61
02/20/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	5.92	0.00	5.92	88.0	5.21
02/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	18.60	0.00	18.60	88.0	16.37
02/20/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	5.96	0.00	5.96	88.0	5.24
02/20/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	17.55	0.00	17.55	88.0	15.44
02/20/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	19.95	0.00	19.95	88.0	17.56
02/20/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	9.74	0.00	9.74	88.0	8.57
02/20/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	8.69	0.00	8.69	88.0	7.65
02/20/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	9.83	0.00	9.83	88.0	8.65
02/20/2018	***-**-633J - ACCOUNT #: LSR011732	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	3.34	0.00	3.34	88.0	2.94
02/20/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	2.70	0.00	2.70	88.0	2.38
02/20/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	6.21	0.00	6.21	88.0	5.46



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/20/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	1.60	0.00	1.60	88.0	1.41
02/20/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	AMERICAN MUTUAL FUND-A BUY 1 Units @0.0000	0.00	5.67	0.00	5.67	88.0	4.99
02/20/2018	***-**-13IN - GRUENEWALD, ACCOUNT #: LSR011210	AMERICAN WASHINGTON MUTUAL INVESTOR BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	88.0	0.31
02/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	BLACKROCK US OPPORT CL A BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	88.0	0.35
02/06/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/20/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	7.53	0.00	7.53	88.0	6.63
02/20/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.10	0.00	5.10	88.0	4.49
02/20/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	15.26	0.00	15.26	88.0	13.43
02/20/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	4.99	0.00	4.99	88.0	4.39
02/20/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.60	0.00	5.60	88.0	4.93
02/20/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	9.21	0.00	9.21	88.0	8.10
02/20/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	12.35	0.00	12.35	88.0	10.87
02/20/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	9.90	0.00	9.90	88.0	8.71
02/20/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	7.09	0.00	7.09	88.0	6.24
02/20/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	7.66	0.00	7.66	88.0	6.74
02/20/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.46	0.00	5.46	88.0	4.80



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
02/20/2018	***-**-861I - SANGER, LAWRENCE	CAPITAL INCOME BUILDER CLASS C	0.00	1.90	0.00	1.90	88.0	1.67
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
02/20/2018	***-**-13IN - RHYMESTINE,	CAPITAL INCOME BUILDER CLASS C	0.00	5.70	0.00	5.70	88.0	5.02
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
02/20/2018	***-**-506J - CURRIERE JR, MR	CAPITAL INCOME BUILDER CLASS C	0.00	4.03	0.00	4.03	88.0	3.55
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
02/20/2018	***-**-31IO - WILLIAMSON, FBO	CAPITAL INCOME BUILDER CLASS C	0.00	17.78	0.00	17.78	88.0	15.65
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
02/20/2018	***-**-62IR - ROBBIANO, FBO	CAPITAL INCOME BUILDER CLASS C	0.00	7.31	0.00	7.31	88.0	6.43
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
02/20/2018	***-**-02IN - BUSHEY, MELISSA	CAPITAL INCOME BUILDER CLASS C	0.00	2.99	0.00	2.99	88.0	2.63
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
02/20/2018	***-**-287I - HINCKLEY,	CAPITAL INCOME BUILDER-A	0.00	4.32	0.00	4.32	88.0	3.80
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
02/20/2018	***-**-702I - KOHEM, MICHAEL	CAPITAL INCOME BUILDER-A	0.00	3.84	0.00	3.84	88.0	3.38
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
02/20/2018	***-**-366I - GRUENEWALD,	CAPITAL INCOME BUILDER-A	0.00	2.68	0.00	2.68	88.0	2.36
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
02/20/2018	***-**-20IO - DEMETRI, AMELIA	CAPITAL INCOME BUILDER-A	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
02/20/2018	***-**-579J - RHYMESTINE,	CAPITAL INCOME BUILDER-A	0.00	2.30	0.00	2.30	88.0	2.02
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
02/20/2018	***-**-680I - HARRELL, DARYL	CAPITAL INCOME BUILDER-A	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
02/20/2018	***-**-30TR - AND SANDRA	CAPITAL INCOME BUILDER-A	0.00	2.26	0.00	2.26	88.0	1.99
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
02/15/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00083510637	BUY 1 Units @52.1300						
02/15/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00083510745	BUY 1 Units @52.1300						
02/15/2018	***-**-680I - HARRELL, DARYL	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00083996385	BUY 1 Units @52.1300						





# COMMISSION STATEMENT

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BROKER #: A76  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
02/20/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	3.90	0.00	3.90	88.0	3.43
02/20/2018	***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.62	0.00	1.62	88.0	1.43
02/20/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.89	0.00	1.89	88.0	1.66
02/20/2018	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.50	0.00	1.50	88.0	1.32
02/20/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.63	0.00	1.63	88.0	1.43
02/20/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.16	0.00	1.16	88.0	1.02
02/20/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.47	0.00	1.47	88.0	1.29
02/20/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
02/20/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	2.59	0.00	2.59	88.0	2.28
02/20/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	11.13	0.00	11.13	88.0	9.79
02/20/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	14.66	0.00	14.66	88.0	12.90
02/20/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	8.33	0.00	8.33	88.0	7.33
02/20/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	CLEARBRIDGE AGGRESSIVE GROWTH A BUY 1 Units @0.0000	0.00	0.52	0.00	0.52	88.0	0.46
02/20/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	COLUMBIA MARSICO FOCUSED EQ CL A BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
02/26/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	DEVELOPING MARKETS FUND B BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
02/26/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	DEVELOPING MARKETS FUND B BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	88.0	0.81



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
02/26/2018	***-**-48IO - ANACKER, FBO MRS	DEVELOPING MARKETS FUND B	0.00	1.01	0.00	1.01	88.0	0.89
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
02/26/2018	***-**-64IO - PFAFF, GEORGE	DEVELOPING MARKETS FUND B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
02/26/2018	***-**-62IR - ROBBIANO, FBO	DEVELOPING MARKETS FUND B	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
02/26/2018	***-**-653I - KOCHER, CLINTON	DEVELOPING MARKETS FUND B	0.00	2.59	0.00	2.59	88.0	2.28
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
02/21/2018	***-**-944O - MAYO, DEBORAH	EATON VANCE MF TRAILS	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 5034930049	BUY 0 Units @0.0000						
02/21/2018	***-**-944O - MAYO, DEBORAH	EATON VANCE MF TRAILS	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 5034930049	BUY 0 Units @0.0000						
02/06/2018	***-**-633J -	EQUITY INCOME FUND, INC. A	175.00	8.31	0.00	8.31	88.0	7.31
	ACCOUNT #: 08353229688	BUY 0 Units @0.0000						
02/26/2018	***-**-254I - AUGUSTINE, LINDA	EQUITY INCOME FUND, INC. A	0.00	2.47	0.00	2.47	88.0	2.17
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
02/26/2018	***-**-881J - EBERLEY, SUSAN	EQUITY INCOME FUND, INC. A	0.00	2.38	0.00	2.38	88.0	2.09
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
02/26/2018	***-**-15IN - PENDRAK, JOHN	EQUITY INCOME FUND, INC. A	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
02/26/2018	***-**-702I - KOCHER, MICHAEL	EQUITY INCOME FUND, INC. A	0.00	2.18	0.00	2.18	88.0	1.92
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
02/26/2018	***-**-959I - FRANZ, PAUL	EQUITY INCOME FUND, INC. A	0.00	2.41	0.00	2.41	88.0	2.12
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
02/26/2018	***-**-960J - MASTRANGELO,	EQUITY INCOME FUND, INC. A	0.00	2.56	0.00	2.56	88.0	2.25
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
02/26/2018	***-**-51IO - CAIN, TIMOTHY	EQUITY INCOME FUND, INC. A	0.00	2.72	0.00	2.72	88.0	2.39
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
02/26/2018	***-**-761I - EVANS, DOLORES	EQUITY INCOME FUND, INC. A	0.00	4.88	0.00	4.88	88.0	4.29
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
02/26/2018	***-**-944O - MAYO, DEBORAH	EQUITY INCOME FUND, INC. A	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.82	0.00	1.82	88.0	1.60
02/26/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	88.0	1.24
02/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.91	0.00	0.91	88.0	0.80
02/26/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
02/26/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	2.69	0.00	2.69	88.0	2.37
02/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	6.39	0.00	6.39	88.0	5.62
02/26/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	88.0	1.24
02/26/2018	***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	2.10	0.00	2.10	88.0	1.85
02/26/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05
02/26/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	1.80	0.00	1.80	88.0	1.58
02/26/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	2.25	0.00	2.25	88.0	1.98
02/26/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	1.61	0.00	1.61	88.0	1.42
02/26/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	3.34	0.00	3.34	88.0	2.94
02/12/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/26/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	EQUITY INCOME FUND, INC. C BUY 1 Units @0.0000	0.00	14.78	0.00	14.78	88.0	13.01
02/26/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	EQUITY INCOME FUND, INC. C BUY 1 Units @0.0000	0.00	6.67	0.00	6.67	88.0	5.87



# COMMISSION STATEMENT

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
02/26/2018	***-**-00IO - LEE, GARY	EQUITY INCOME FUND, INC. C	0.00	14.71	0.00	14.71	88.0	12.94
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
02/26/2018	***-**-28IN - BYWATER, KIM	EQUITY INCOME FUND, INC. C	0.00	1.73	0.00	1.73	88.0	1.52
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
02/20/2018	***-**-20IO - DEMETRI, AMELIA	EUROPACIFIC GROWTH FUND-A	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
02/20/2018	***-**-326I - GRANDE, FBO MR	EUROPACIFIC GROWTH FUND-A	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
02/20/2018	***-**-680I - HARRELL, DARYL	EUROPACIFIC GROWTH FUND-A	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
02/26/2018	***-**-111J - NESSIA, JAMES	FIDELITY ADV EMERGING MRKTS INC CL	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
02/26/2018	***-**-62IN - EATON, DAVID	FIDELITY ADV EMERGING MRKTS INC CL	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
02/26/2018	***-**-930I - SANGER, KEVIN	FIDELITY ADV EQUITY INCOME CL A	0.00	2.28	0.00	2.28	88.0	2.01
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
02/26/2018	***-**-579I - RHYMESTINE,	FIDELITY ADV INDUSTRIALS-CL C	0.00	15.37	0.00	15.37	88.0	13.53
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
02/26/2018	***-**-579I - RHYMESTINE,	FIDELITY ADV SMALL CAP CL C	0.00	5.28	0.00	5.28	88.0	4.65
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
02/26/2018	***-**-579I - RHYMESTINE,	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	5.05	0.00	5.05	88.0	4.44
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
02/26/2018	***-**-579I - RHYMESTINE,	FIDELITY ADVISOR EQUITY INCOME CL C	0.00	21.70	0.00	21.70	88.0	19.10
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
02/26/2018	***-**-579I - RHYMESTINE,	FIDELITY ADVISOR INT'L DISCOVERY CL	0.00	17.09	0.00	17.09	88.0	15.04
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
02/26/2018	***-**-579I - RHYMESTINE,	FIDELITY ADVISOR INTERMEDIATE BOND	0.00	8.39	0.00	8.39	88.0	7.38
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
02/26/2018	***-**-15IN - PENDRAK, JOHN	FIDELITY ADVISOR MORTGAGE SECS CL A	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
02/26/2018	***-**-02IN - BUSHEY, MELISSA	FIDELITY ADVISOR MORTGAGE SECS CL A	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						



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<b><u>VERRIDE TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR MORTGAGE SECS CL C BUY 1 Units @0.0000	0.00	5.83	0.00	5.83	88.0	5.13
02/20/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	FRANKLIN BIOTECH DISCOVERY FUND CL BUY 1 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
02/20/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	FRANKLIN CONVERTIBLE SECURITIES CLA BUY 1 Units @0.0000	0.00	9.29	0.00	9.29	88.0	8.18
02/20/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	FRANKLIN GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	2.19	0.00	2.19	88.0	1.93
02/20/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	1.26	0.00	1.26	88.0	1.11
02/20/2018	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	88.0	0.63
02/20/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
02/20/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	7.58	0.00	7.58	88.0	6.67
02/20/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	10.10	0.00	10.10	88.0	8.89
02/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	9.26	0.00	9.26	88.0	8.15
02/20/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	9.24	0.00	9.24	88.0	8.13
02/20/2018	***-**-00IN - FRANZ, JEAN ACCOUNT #: LSR011796	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	41.35	0.00	41.35	88.0	36.39
02/20/2018	***-**-366O - GRUENEWALD, ACCOUNT #: LSR010987	FRANKLIN NEW YORK TAX-FREE INCOME F BUY 1 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15
02/20/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	FRK GROWTH OPPORTUNITIES CL C BUY 1 Units @0.0000	0.00	2.15	0.00	2.15	88.0	1.89
02/20/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	FRK GROWTH OPPORTUNITIES CL C BUY 1 Units @0.0000	0.00	4.89	0.00	4.89	88.0	4.30
02/20/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	FRNKLN BALANCE SHEET INVTMNT FND - BUY 1 Units @0.0000	0.00	9.51	0.00	9.51	88.0	8.37



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/20/2018	***-**-702I - KOCHER, MICHAEL	FUNDAMENTAL INVESTORS-A	0.00	2.30	0.00	2.30	88.0	2.02
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
02/20/2018	***-**-366I - GRUENEWALD,	FUNDAMENTAL INVESTORS-A	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
02/20/2018	***-**-366S - GRUENEWALD,	FUNDAMENTAL INVESTORS-A	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
02/20/2018	***-**-579J - RHYMESTINE,	FUNDAMENTAL INVESTORS-A	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
02/20/2018	***-**-326I - GRANDE, FBO MR	FUNDAMENTAL INVESTORS-A	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
02/20/2018	***-**-680I - HARRELL, DARYL	FUNDAMENTAL INVESTORS-A	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
02/20/2018	***-**-128I - BASHANT, THOMAS	FUNDAMENTAL INVESTORS-A	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
02/20/2018	***-**-30TR - AND SANDRA	FUNDAMENTAL INVESTORS-A	0.00	1.97	0.00	1.97	88.0	1.73
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
02/15/2018	***-**-680I - HARRELL, DARYL	FUNDAMENTAL INVESTORS-C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00083996385	BUY 1 Units @63.5500						
02/20/2018	***-**-881J - EBERLEY, SUSAN	FUNDAMENTAL INVESTORS-C	0.00	4.58	0.00	4.58	88.0	4.03
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
02/20/2018	***-**-382I - SATTERLY, NEIL	FUNDAMENTAL INVESTORS-C	0.00	10.88	0.00	10.88	88.0	9.57
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
02/20/2018	***-**-949I - ACEE, JOSPEH	FUNDAMENTAL INVESTORS-C	0.00	3.21	0.00	3.21	88.0	2.82
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
02/20/2018	***-**-31IO - HARTZ, CLAUDIA	FUNDAMENTAL INVESTORS-C	0.00	3.07	0.00	3.07	88.0	2.70
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
02/20/2018	***-**-031O - MCVOY, ROBERT	FUNDAMENTAL INVESTORS-C	0.00	5.56	0.00	5.56	88.0	4.89
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
02/20/2018	***-**-15IN - PENDRAK, JOHN	FUNDAMENTAL INVESTORS-C	0.00	5.11	0.00	5.11	88.0	4.50
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
02/20/2018	***-**-959I - FRANZ, PAUL	FUNDAMENTAL INVESTORS-C	0.00	12.11	0.00	12.11	88.0	10.66
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/20/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	9.41	0.00	9.41	88.0	8.28
02/20/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	6.04	0.00	6.04	88.0	5.32
02/20/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.54	0.00	5.54	88.0	4.88
02/20/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	16.57	0.00	16.57	88.0	14.58
02/20/2018	***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	6.01	0.00	6.01	88.0	5.29
02/20/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
02/20/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.99	0.00	4.99	88.0	4.39
02/20/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	11.75	0.00	11.75	88.0	10.34
02/20/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.94	0.00	4.94	88.0	4.35
02/20/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	6.18	0.00	6.18	88.0	5.44
02/20/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.91	0.00	5.91	88.0	5.20
02/20/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	7.88	0.00	7.88	88.0	6.93
02/20/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	3.84	0.00	3.84	88.0	3.38
02/20/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	3.40	0.00	3.40	88.0	2.99
02/20/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	15.22	0.00	15.22	88.0	13.39
02/20/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	11.96	0.00	11.96	88.0	10.52



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
02/20/2018	***-**-376I - BERBEN, GAIL	FUNDAMENTAL INVESTORS-C	0.00	15.91	0.00	15.91	88.0	14.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
02/20/2018	***-**-21IO - RADELL, SANDRA	FUNDAMENTAL INVESTORS-C	0.00	4.89	0.00	4.89	88.0	4.30
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
02/20/2018	***-**-45IO - JOHNSON, GREGORY	FUNDAMENTAL INVESTORS-C	0.00	12.90	0.00	12.90	88.0	11.35
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
02/20/2018	***-**-14IO - BUSHEY, MATTHEW	FUNDAMENTAL INVESTORS-C	0.00	15.28	0.00	15.28	88.0	13.45
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
02/26/2018	***-**-128I - BASHANT, THOMAS	GLOBAL FUND A	0.00	2.31	0.00	2.31	88.0	2.03
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
02/20/2018	***-**-579J - RHYMESTINE,	GLOBAL GROWTH PORTFOLIO-A	0.00	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
02/06/2018	***-**-65CL - GRUENEWALD, K,	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 02171825219	BUY 0 Units @0.0000						
02/26/2018	***-**-094I - KATRENA L	GLOBAL OPPORTUNITIES FUND C	0.00	16.85	0.00	16.85	88.0	14.83
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
02/26/2018	***-**-254I - AUGUSTINE, LINDA	GOLD & SPECIAL MINERALS A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
02/26/2018	***-**-881I - EBERLEY, SUSAN	GOLD & SPECIAL MINERALS A	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
02/26/2018	***-**-930I - SANGER, KEVIN	GOLD & SPECIAL MINERALS A	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
02/26/2018	***-**-15IN - PENDRAK, JOHN	GOLD & SPECIAL MINERALS A	0.00	2.35	0.00	2.35	88.0	2.07
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
02/26/2018	***-**-702J - KOCHEM, MICHAEL	GOLD & SPECIAL MINERALS A	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: LSR010955	BUY 1 Units @0.0000						
02/26/2018	***-**-959I - FRANZ, PAUL	GOLD & SPECIAL MINERALS A	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
02/26/2018	***-**-61IN - EVANS, DOLORES	GOLD & SPECIAL MINERALS A	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
02/26/2018	***-**-944O - MAYO, DEBORAH	GOLD & SPECIAL MINERALS A	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						





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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/26/2018	***-**-96IN - NESSIA, BONNIE	GOLD & SPECIAL MINERALS A	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
02/26/2018	***-**-13IN - RHYMESTINE,	GOLD & SPECIAL MINERALS A	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
02/26/2018	***-**-76IO - MCALLISTER, FBO	GOLD & SPECIAL MINERALS A	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
02/26/2018	***-**-367J - WAGNER, MRS LANT	GOLD & SPECIAL MINERALS A	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
02/26/2018	***-**-31IO - WILLIAMSON, FBO	GOLD & SPECIAL MINERALS A	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
02/26/2018	***-**-02IN - BUSHEY, MELISSA	GOLD & SPECIAL MINERALS A	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
02/26/2018	***-**-62IN - EATON, DAVID	GOLD & SPECIAL MINERALS A	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
02/26/2018	***-**-949I - ACEE, JOSPEH	GOLD & SPECIAL MINERALS FUND B	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
02/26/2018	***-**-579I - RHYMESTINE,	GOLD & SPECIAL MINERALS FUND B	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
02/26/2018	***-**-367J - WAGNER, MRS LANT	GOLD & SPECIAL MINERALS FUND B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
02/26/2018	***-**-48IO - ANACKER, FBO MRS	GOLD & SPECIAL MINERALS FUND B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
02/26/2018	***-**-664J - PFAFF, GEORGE	GOLD & SPECIAL MINERALS FUND B	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
02/20/2018	***-**-367J - WAGNER, MRS LANT	GROWTH FUND OF AMERICA CLASS F	0.00	3.36	0.00	3.36	88.0	2.96
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
01/16/2018	***-**-722I - CLINTON, STEPHEN	GWG L BOND - 5 YR	15,000.00	885.00	0.00	885.00	88.0	778.80
		BUY 15 Units @1000.0000						
01/25/2018	***-**-448X - ANACKER, SUSAN	GWG L BOND - 5 YR	10,000.00	590.00	0.00	590.00	88.0	519.20
		BUY 10 Units @1000.0000						
01/16/2018	***-**-722I - CLINTON, STEPHEN	GWG PREFERRED STOCK	10,000.00	660.00	0.00	660.00	88.0	580.80
		BUY 10 Units @1000.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
01/25/2018	***-**-448X - ANACKER, SUSAN	GWG PREFERRED STOCK BUY 10 Units @1000.0000	10,000.00	660.00	0.00	660.00	88.0	580.80
02/09/2018	***-**-13IN - RHYMESTINE,	GWG PREFERRED STOCK BUY 10000 Units @1.0000	10,000.00	660.00	0.00	660.00	88.0	580.80
02/26/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.39	0.00	1.39	88.0	1.22
02/26/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42
02/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.33	0.00	1.33	88.0	1.17
02/26/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	2.62	0.00	2.62	88.0	2.31
02/26/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
02/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	1.76	0.00	1.76	88.0	1.55
02/20/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	3.78	0.00	3.78	88.0	3.33
02/20/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	12.58	0.00	12.58	88.0	11.07
02/20/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	11.31	0.00	11.31	88.0	9.95
02/20/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	1.85	0.00	1.85	88.0	1.63
02/20/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	5.65	0.00	5.65	88.0	4.97
02/20/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	10.54	0.00	10.54	88.0	9.28
02/20/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	33.40	0.00	33.40	88.0	29.39
02/20/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	15.58	0.00	15.58	88.0	13.71



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
02/20/2018	***-**-376I - BERBEN, GAIL	INCOME FUND OF AMERICA CLASS C	0.00	14.03	0.00	14.03	88.0	12.35
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
02/20/2018	***-**-21IO - RADELL, SANDRA	INCOME FUND OF AMERICA CLASS C	0.00	5.11	0.00	5.11	88.0	4.50
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
02/20/2018	***-**-45IO - JOHNSON, GREGORY	INCOME FUND OF AMERICA CLASS C	0.00	20.59	0.00	20.59	88.0	18.12
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
02/20/2018	***-**-14IO - BUSHEY, MATTHEW	INCOME FUND OF AMERICA CLASS C	0.00	13.36	0.00	13.36	88.0	11.76
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
02/20/2018	***-**-702I - KOCHER, MICHAEL	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
02/20/2018	***-**-761I - EVANS, DOLORES	INTERMEDIATE BOND FUND OF AMERICA-C	0.00	5.52	0.00	5.52	88.0	4.86
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
02/26/2018	***-**-881I - EBERLEY, SUSAN	INTERNATIONAL BOND A	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
02/26/2018	***-**-761I - EVANS, DOLORES	INTERNATIONAL BOND A	0.00	3.54	0.00	3.54	88.0	3.12
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
02/20/2018	***-**-366S - GRUENEWALD,	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
02/20/2018	***-**-567I - FRANZ, ALICE	INTERNATIONAL GROWTH AND INCOME-C	0.00	14.08	0.00	14.08	88.0	12.39
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
02/26/2018	***-**-15IN - PENDRAK, JOHN	INTERNATIONAL SMALL COMPANY A	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
02/26/2018	***-**-959I - FRANZ, PAUL	INTERNATIONAL SMALL COMPANY A	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
02/26/2018	***-**-367J - WAGNER, MRS LANT	INTERNATIONAL SMALL COMPANY A	0.00	1.93	0.00	1.93	88.0	1.70
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
02/26/2018	***-**-367J - WAGNER, MRS LANT	INTERNATIONAL SMALL COMPANY FUND B	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
02/26/2018	***-**-664J - PFAFF, GEORGE	INTERNATIONAL SMALL COMPANY FUND B	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
02/20/2018	***-**-71IO - FAMOLARO, JAMES	INVESCO VAN KAMPEN COMSTOCK CLASS A	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
02/20/2018	***-**-71IO - FAMOLARO, JAMES	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
02/26/2018	***-**-44IO - MAYO, DEBORAH	LORD ABBETT SHORT DURATION INCOME C	0.00	12.83	0.00	12.83	88.0	11.29
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
02/26/2018	***-**-579J - RHYMESTINE,	LORD ABBETT SHORT DURATION INCOME C	0.00	9.70	0.00	9.70	88.0	8.54
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
02/26/2018	***-**-09IO - BATES, FBO MRS	LORD ABBETT SHORT DURATION INCOME C	0.00	12.85	0.00	12.85	88.0	11.31
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
02/26/2018	***-**-89IN - LEE, ROGER	LORD ABBETT SHORT DURATION INCOME C	0.00	24.59	0.00	24.59	88.0	21.64
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
02/26/2018	***-**-439J - MCCARTHY, JAMES	LORD ABBETT SHORT DURATION INCOME C	0.00	1.89	0.00	1.89	88.0	1.66
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						
02/26/2018	***-**-45IO - JOHNSON, GREGORY	LORD ABBETT SHORT DURATION INCOME C	0.00	12.80	0.00	12.80	88.0	11.26
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
02/26/2018	***-**-14IO - BUSHEY, MATTHEW	LORD ABBETT SHORT DURATION INCOME C	0.00	9.53	0.00	9.53	88.0	8.39
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
02/26/2018	***-**-45IO - JOHNSON, GREGORY	MAIN STREET FUND C	0.00	8.00	0.00	8.00	88.0	7.04
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
02/20/2018	***-**-52IN - ROBERTS, LILLIAN	MFS CONSERVATIVE ALLOCATION CL C	4,500.00	45.00	0.00	45.00	88.0	39.60
	ACCOUNT #: LSR012352	BUY 295 Units @15.2500						
02/20/2018	***-**-52IN - ROBERTS, LILLIAN	MFS DIVERSIFIED INCOME FD CL C	2,500.01	25.00	0.00	25.00	88.0	22.00
	ACCOUNT #: LSR012352	BUY 206 Units @12.1300						
02/21/2018	***-**-35IR - RUGGIERO, LAURIE	MFS GLOBAL EQUITY FUND-B	6,500.00	260.00	0.00	260.00	88.0	228.80
	ACCOUNT #: LSR012276	BUY 161 Units @40.4800						
02/20/2018	***-**-52IN - ROBERTS, LILLIAN	MFS TECHNOLOGY CLASS C	2,499.99	25.00	0.00	25.00	88.0	22.00
	ACCOUNT #: LSR012352	BUY 73 Units @34.4200						
02/20/2018	***-**-20IO - DEMETRI, AMELIA	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
02/20/2018	***-**-20IO - DEMETRI, AMELIA	NEW PERSPECTIVE FUND-A	0.00	1.90	0.00	1.90	88.0	1.67
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
02/20/2018	***-**-702I - KOCHEM, MICHAEL	NEW WORLD FUND-A	0.00	2.90	0.00	2.90	88.0	2.55
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
02/20/2018	***-**-326I - GRANDE, FBO MR	NEW WORLD FUND-A	0.00	2.64	0.00	2.64	88.0	2.32
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
02/20/2018	***-**-680I - HARRELL, DARYL	NEW WORLD FUND-A	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
02/20/2018	***-**-128I - BASHANT, THOMAS	NEW WORLD FUND-A	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
02/20/2018	***-**-30TR - AND SANDRA	NEW WORLD FUND-A	0.00	2.17	0.00	2.17	88.0	1.91
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
02/15/2018	***-**-680I - HARRELL, DARYL	NEW WORLD FUND-C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00083996385	BUY 1 Units @66.6500						
02/26/2018	***-**-0767 - DOVI,	NYA JPM 529 AGGR PORTI C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 77579193101	BUY 0 Units @0.0000						
02/26/2018	***-**-635P - LASCALA, DEBORAH	NYA JPM 529 AGGR PORTI C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77699193301	BUY 0 Units @0.0000						
02/26/2018	***-**-20IR - DEMETRI, AMELIA	NYA JPM 529 MOD AGE-BASED A	50.00	2.38	0.00	2.38	88.0	2.09
	ACCOUNT #: 77854436501	BUY 0 Units @0.0000						
02/26/2018	***-**-473J - HUSTON,	NYA JPM 529 MOD AGE-BASED A	0.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 77852732402	BUY 0 Units @0.0000						
02/26/2018	***-**-473J - HUSTON,	NYA JPM 529 MOD GROWTH POR C	400.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 77852732401	BUY 0 Units @0.0000						
02/06/2018	***-**-633J -	OPP PORT SERIES: ACTIVE ALLOC A	175.00	8.31	0.00	8.31	88.0	7.31
	ACCOUNT #: 05502871176	BUY 0 Units @0.0000						
02/26/2018	***-**-15IN - PENDRAK, JOHN	OPP PORT SERIES: ACTIVE ALLOC A	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
02/12/2018	***-**-13IN - BLISS, PATRICK	OPPENHEIMER ACTIVE ALLOCATION FUND	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 05521022681	BUY 0 Units @0.0000						
02/12/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						
02/26/2018	***-**-80IN - COBB, JAMES	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	7.89	0.00	7.89	88.0	6.94
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
02/26/2018	***-**-44IO - MAYO, DEBORAH	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	15.54	0.00	15.54	88.0	13.68
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
02/26/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	17.38	0.00	17.38	88.0	15.29
02/26/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	16.37	0.00	16.37	88.0	14.41
02/26/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	16.00	0.00	16.00	88.0	14.08
02/26/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER DEV MARKETS FD CLASS C BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
02/26/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	1.70	0.00	1.70	88.0	1.50
02/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
02/26/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	2.51	0.00	2.51	88.0	2.21
02/26/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.85	0.00	0.85	88.0	0.75
02/26/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54
02/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	88.0	0.79
02/12/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/26/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	5.50	0.00	5.50	88.0	4.84
02/26/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	5.23	0.00	5.23	88.0	4.60
02/26/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	4.27	0.00	4.27	88.0	3.76
02/26/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.59	0.00	5.59	88.0	4.92
02/26/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	0.11	0.00	0.11	88.0	0.10



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
02/26/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.46	0.00	2.46	88.0	2.16
02/26/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.96	0.00	5.96	88.0	5.24
02/26/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.56	0.00	2.56	88.0	2.25
02/26/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	7.89	0.00	7.89	88.0	6.94
02/26/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.58	0.00	2.58	88.0	2.27
02/26/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	7.40	0.00	7.40	88.0	6.51
02/26/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	6.03	0.00	6.03	88.0	5.31
02/26/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	1.63	0.00	1.63	88.0	1.43
02/06/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
02/12/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/26/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER INTERNATIONAL SMALL COM BUY 1 Units @0.0000	0.00	2.52	0.00	2.52	88.0	2.22
02/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	2.62	0.00	2.62	88.0	2.31
02/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	3.31	0.00	3.31	88.0	2.91
02/26/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000	0.00	1.93	0.00	1.93	88.0	1.70
02/26/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	28.21	0.00	28.21	88.0	24.82
02/26/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.91	0.00	5.91	88.0	5.20



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<b><u>VERRIDE TRANSACTIONS (continued)</u></b>								
<b><u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/26/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	14.31	0.00	14.31	88.0	12.59
02/26/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.96	0.00	7.96	88.0	7.00
02/26/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.24	0.00	5.24	88.0	4.61
02/26/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.84	0.00	7.84	88.0	6.90
02/26/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	1.68	0.00	1.68	88.0	1.48
02/26/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	OPPENHEIMER ROCHEST AMT-FREE NY MUN BUY 1 Units @0.0000	0.00	7.11	0.00	7.11	88.0	6.26
02/06/2018	***-**-633J - ACCOUNT #: 02514987422	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
02/26/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
02/26/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.44	0.00	0.44	88.0	0.39
02/26/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.00	0.00	1.00	88.0	0.88
02/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.83	0.00	1.83	88.0	1.61
02/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.77	0.00	0.77	88.0	0.68
02/26/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	88.0	0.95
02/26/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.85	0.00	0.85	88.0	0.75
02/26/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
02/26/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMER STEELPATH MLP ALPHA PLU BUY 1 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05





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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> BROKER: KURT GRUENEWALD (continued) </b>								
02/26/2018	***-**-8370 - BASEMENT	OPPENHEIMERSTEELPATH MLP INCOME CL	0.00	3.04	0.00	3.04	88.0	2.68
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
02/26/2018	***-**-80IN - COBB, JAMES	OPPENHEIMERSTEELPATH MLP SELECT 40	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
02/12/2018	***-**-48IO - CLARK, PATRICK	PACIFIC LIFE SE5-NYB DTCC	527.00	10.54	0.00	10.54	88.0	9.28
	ACCOUNT #: VP71028500	BUY 0 Units @0.0000						
02/17/2018	***-**-48IO - CLARK, PATRICK	PACIFIC LIFE SE5-NYB DTCC	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: VP71028500	BUY 0 Units @0.0000						
02/26/2018	***-**-48IO - CLARK, PATRICK	PORT SERIES: CONS INV C	0.00	17.91	0.00	17.91	88.0	15.76
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
02/26/2018	***-**-72IN - GAVALO, JULIE	PORT SERIES: CONS INV C	0.00	23.30	0.00	23.30	88.0	20.50
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
02/26/2018	***-**-420T - DEMETRI, AMELIA	PORT SERIES: CONS INV C	0.00	6.17	0.00	6.17	88.0	5.43
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
02/26/2018	***-**-73UT - COBB, CHRSTIAN	PORT SERIES: CONS INV C	0.00	4.72	0.00	4.72	88.0	4.15
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
02/26/2018	***-**-67UT - COBB,	PORT SERIES: CONS INV C	0.00	4.72	0.00	4.72	88.0	4.15
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
02/26/2018	***-**-89IN - LEE, ROGER	PORT SERIES: CONS INV C	0.00	10.19	0.00	10.19	88.0	8.97
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
02/26/2018	***-**-52IO - EUSEPI, SUSAN	PORT SERIES: CONS INV C	0.00	12.75	0.00	12.75	88.0	11.22
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
02/26/2018	***-**-439I - MCCARTHY, JAMES	PORT SERIES: CONS INV C	0.00	4.25	0.00	4.25	88.0	3.74
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						
02/26/2018	***-**-80IO - EVANS, RICHARD	PORT SERIES: CONS INV C	0.00	13.63	0.00	13.63	88.0	11.99
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
02/26/2018	***-**-664J - PFAFF, GEORGE	PORT SERIES: EQUITY INV FD B	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
02/26/2018	***-**-254I - AUGUSTINE, LINDA	PORTFOLIO SERIES: CONS INV A	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
02/26/2018	***-**-15IN - PENDRAK, JOHN	PORTFOLIO SERIES: CONS INV A	0.00	4.78	0.00	4.78	88.0	4.21
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	2.15	0.00	2.15	88.0	1.89
02/26/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	2.12	0.00	2.12	88.0	1.87
02/26/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	1.21	0.00	1.21	88.0	1.06
02/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	1.78	0.00	1.78	88.0	1.57
02/26/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
02/26/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
02/26/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
02/26/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	1.25	0.00	1.25	88.0	1.10
02/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PORTFOLIO SERIES: CONSERVATIVE INVE BUY 1 Units @0.0000	0.00	3.30	0.00	3.30	88.0	2.90
02/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PORTFOLIO SERIES: CONSERVATIVE INVE BUY 1 Units @0.0000	0.00	4.49	0.00	4.49	88.0	3.95
02/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM UTILITIES GROWTH AND INCOME BUY 1 Units @0.0000	0.00	1.43	0.00	1.43	88.0	1.26
02/26/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PUTNAM UTILITIES GROWTH AND INCOME BUY 1 Units @0.0000	0.00	1.25	0.00	1.25	88.0	1.10
02/26/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM 746792100 BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
02/26/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	2.45	0.00	2.45	88.0	2.16
02/26/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	1.26	0.00	1.26	88.0	1.11
02/26/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	88.0	0.16



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
02/26/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
02/26/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	1.16	0.00	1.16	88.0	1.02
02/26/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	88.0	0.34
02/26/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	1.02	0.00	1.02	88.0	0.90
02/26/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	1.14	0.00	1.14	88.0	1.00
02/26/2018	***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	4.51	0.00	4.51	88.0	3.97
02/26/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	15.19	0.00	15.19	88.0	13.37
02/26/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	9.71	0.00	9.71	88.0	8.54
02/26/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	9.64	0.00	9.64	88.0	8.48
02/26/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	7.53	0.00	7.53	88.0	6.63
02/26/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	9.45	0.00	9.45	88.0	8.32
02/26/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	14.30	0.00	14.30	88.0	12.58
02/26/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	8.01	0.00	8.01	88.0	7.05
02/26/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	9.57	0.00	9.57	88.0	8.42
02/26/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	0.79	0.00	0.79	88.0	0.70
02/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	1.85	0.00	1.85	88.0	1.63



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
02/26/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM ABSOLUTE RETURN 700-A	0.00	2.40	0.00	2.40	88.0	2.11
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
02/26/2018	***-**-579I - RHYMESTINE,	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
02/26/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
02/26/2018	***-**-653J - KOCHER, CLINTON	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
02/26/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
02/26/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM AMERICAN GOVERNMENT INCOME F	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
02/26/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM ASSET ALLOC BALANCED-C	0.00	4.95	0.00	4.95	88.0	4.36
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
02/26/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
02/26/2018	***-**-930I - SANGER, KEVIN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
02/26/2018	***-**-366S - GRUENEWALD,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
02/26/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
02/26/2018	***-**-579I - RHYMESTINE,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
02/26/2018	***-**-73UT - COBB, CHRISTIAN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
02/26/2018	***-**-67UT - COBB,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
02/26/2018	***-**-992J - CORNACCHIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
02/26/2018	***-**-66IO - RUDD, MICHAEL	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: LSR011268	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
02/26/2018	***-**-21IO - RADELL, SANDRA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
02/26/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
02/26/2018	***-**-382I - SATTERLY, NEIL	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	8.00	0.00	8.00	88.0	7.04
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
02/26/2018	***-**-980I - ACEE, ELIZABETH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	12.73	0.00	12.73	88.0	11.20
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
02/26/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	8.54	0.00	8.54	88.0	7.52
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
02/26/2018	***-**-09IO - BATES, FBO MRS	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	18.22	0.00	18.22	88.0	16.03
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
02/26/2018	***-**-094I - KATRENA L	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.15	0.00	7.15	88.0	6.29
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
02/26/2018	***-**-11IO - LYNN G.	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	17.33	0.00	17.33	88.0	15.25
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
02/26/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	13.17	0.00	13.17	88.0	11.59
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
02/26/2018	***-**-235I - AUGUSTINE III,	PUTNAM COMP	0.00	5.97	0.00	5.97	88.0	5.25
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
02/26/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM COMP	0.00	5.11	0.00	5.11	88.0	4.50
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
02/26/2018	***-**-48IO - CLARK, PATRICK	PUTNAM COMP	0.00	8.20	0.00	8.20	88.0	7.22
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
02/26/2018	***-**-72IN - GAVALO, JULIE	PUTNAM COMP	0.00	7.07	0.00	7.07	88.0	6.22
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
02/26/2018	***-**-959J - FRANZ, PAUL	PUTNAM COMP	0.00	10.65	0.00	10.65	88.0	9.37
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
02/26/2018	***-**-065I - LAZIO, THOMAS	PUTNAM COMP	0.00	6.07	0.00	6.07	88.0	5.34
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
02/26/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM COMP	0.00	5.42	0.00	5.42	88.0	4.77
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/26/2018	***-**-169I - EVANS, PAUL	PUTNAM COMP	0.00	4.34	0.00	4.34	88.0	3.82
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
02/26/2018	***-**-80IN - COBB, JAMES	PUTNAM COMP	0.00	7.84	0.00	7.84	88.0	6.90
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
02/26/2018	***-**-00IO - LEE, GARY	PUTNAM COMP	0.00	9.63	0.00	9.63	88.0	8.47
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
02/26/2018	***-**-09IO - BATES, FBO MRS	PUTNAM COMP	0.00	9.63	0.00	9.63	88.0	8.47
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
02/26/2018	***-**-89IN - LEE, ROGER	PUTNAM COMP	0.00	5.39	0.00	5.39	88.0	4.74
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
02/26/2018	***-**-094I - KATRENA L	PUTNAM COMP	0.00	7.55	0.00	7.55	88.0	6.64
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
02/26/2018	***-**-11IO - LYNN G.	PUTNAM COMP	0.00	9.97	0.00	9.97	88.0	8.77
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
02/26/2018	***-**-80IO - EVANS, RICHARD	PUTNAM COMP	0.00	4.92	0.00	4.92	88.0	4.33
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
02/26/2018	***-**-376I - BERBEN, GAIL	PUTNAM COMP	0.00	9.72	0.00	9.72	88.0	8.55
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
02/26/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM COMP	0.00	15.15	0.00	15.15	88.0	13.33
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
02/26/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM COMP	0.00	9.81	0.00	9.81	88.0	8.63
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
02/26/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM COMP	0.00	7.23	0.00	7.23	88.0	6.36
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
02/26/2018	***-**-86IN - LEE, KEVIN	PUTNAM COMP	0.00	8.19	0.00	8.19	88.0	7.21
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
02/26/2018	***-**-633J -	PUTNAM COMP	0.00	2.21	0.00	2.21	88.0	1.94
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
02/26/2018	***-**-51IO - SCALISE, MARY	PUTNAM COMP	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
02/26/2018	***-**-949I - ACEE, JOSPEH	PUTNAM CONV INCOME-GROWTH-B	0.00	2.28	0.00	2.28	88.0	2.01
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> BROKER: KURT GRUENEWALD (continued) </b>								
02/26/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
02/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	2.96	0.00	2.96	88.0	2.60
02/26/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
02/26/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.62	0.00	1.62	88.0	1.43
02/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.12	0.00	1.12	88.0	0.99
02/26/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.06	0.00	1.06	88.0	0.93
02/26/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
02/26/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	88.0	1.23
02/26/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62
02/26/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	2.52	0.00	2.52	88.0	2.22
02/26/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	PUTNAM CONVERTIBLE SECURITIES CL C BUY 1 Units @0.0000	0.00	14.05	0.00	14.05	88.0	12.36
02/26/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM CONVERTIBLE SECURITIES CL C BUY 1 Units @0.0000	0.00	19.38	0.00	19.38	88.0	17.05
02/26/2018	***-**-132O - EVANS, THOMAS ACCOUNT #: LSR011074	PUTNAM DIVERSIFIED INCOME CLASS C BUY 1 Units @0.0000	0.00	7.56	0.00	7.56	88.0	6.65
02/26/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM DIVERSIFIED INCOME CLASS C BUY 1 Units @0.0000	0.00	14.68	0.00	14.68	88.0	12.92
02/26/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.27	0.00	2.27	88.0	2.00
02/26/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.88	0.00	0.88	88.0	0.77



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DAVID GRIFFITH  
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BROKER #: A76  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
02/26/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
02/26/2018	***-**-702I - KOHEM, MICHAEL ACCOUNT #: LSR010954	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.90	0.00	1.90	88.0	1.67
02/26/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.07	0.00	2.07	88.0	1.82
02/26/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.29	0.00	1.29	88.0	1.14
02/26/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	11.09	0.00	11.09	88.0	9.76
02/26/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.57	0.00	2.57	88.0	2.26
02/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	88.0	1.06
02/26/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.53	0.00	1.53	88.0	1.35
02/26/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	6.54	0.00	6.54	88.0	5.76
02/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61
02/26/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.66	0.00	2.66	88.0	2.34
02/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.65	0.00	2.65	88.0	2.33
02/26/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM EQUITY SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.04	0.00	1.04	88.0	0.92
02/26/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	12.05	0.00	12.05	88.0	10.60
02/26/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	25.69	0.00	25.69	88.0	22.61
02/26/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	9.00	0.00	9.00	88.0	7.92





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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
02/26/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	16.96	0.00	16.96	88.0	14.92
02/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	10.46	0.00	10.46	88.0	9.20
02/26/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	6.90	0.00	6.90	88.0	6.07
02/26/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	7.31	0.00	7.31	88.0	6.43
02/26/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.48	0.00	8.48	88.0	7.46
02/26/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.64	0.00	8.64	88.0	7.60
02/26/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	9.01	0.00	9.01	88.0	7.93
02/26/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	12.77	0.00	12.77	88.0	11.24
02/26/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	9.71	0.00	9.71	88.0	8.54
02/26/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	11.00	0.00	11.00	88.0	9.68
02/26/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	9.43	0.00	9.43	88.0	8.30
02/26/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	5.84	0.00	5.84	88.0	5.14
02/26/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	PUTNAM EUROPE EQUITY CLASS C BUY 1 Units @0.0000	0.00	4.74	0.00	4.74	88.0	4.17
02/26/2018	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	PUTNAM GLOBAL CONSUMER FD A BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
02/26/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	2.09	0.00	2.09	88.0	1.84
02/26/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.51	0.00	0.51	88.0	0.45



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
02/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	3.48	0.00	3.48	88.0	3.06
02/26/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	88.0	1.24
02/26/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.42	0.00	1.42	88.0	1.25
02/26/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	2.07	0.00	2.07	88.0	1.82
02/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.11	0.00	1.11	88.0	0.98
02/26/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.61	0.00	1.61	88.0	1.42
02/26/2018	***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
02/26/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
02/26/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
02/26/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	88.0	1.36
02/26/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	2.27	0.00	2.27	88.0	2.00
02/26/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	2.21	0.00	2.21	88.0	1.94
02/26/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
02/26/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
02/26/2018	***-**-66IO - RUDD, MICHAEL ACCOUNT #: LSR011268	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	88.0	0.05
02/26/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	3.55	0.00	3.55	88.0	3.12



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
02/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.68	0.00	1.68	88.0	1.48
02/26/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.63	0.00	1.63	88.0	1.43
02/26/2018	***-**-12IR - GRUENEWALD, ACCOUNT #: LSR011614	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
02/26/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	2.07	0.00	2.07	88.0	1.82
02/26/2018	***-**-45IN - WILLIAMSON, ACCOUNT #: LSR011751	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	88.0	0.74
02/26/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	5.33	0.00	5.33	88.0	4.69
02/26/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	12.80	0.00	12.80	88.0	11.26
02/26/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	7.87	0.00	7.87	88.0	6.93
02/26/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	11.58	0.00	11.58	88.0	10.19
02/26/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	7.61	0.00	7.61	88.0	6.70
02/26/2018	***-**-51IO - SCALISE, MARY ACCOUNT #: LSR011837	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	0.11	0.00	0.11	88.0	0.10
02/26/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	PUTNAM GLOBAL HEALTH CARE FD-A BUY 1 Units @0.0000	0.00	1.48	0.00	1.48	88.0	1.30
02/26/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM GLOBAL HEALTH CARE FD-A BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	88.0	0.91
02/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM GLOBAL NAT RESOURCES-A BUY 1 Units @0.0000	0.00	1.29	0.00	1.29	88.0	1.14
02/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM GLOBAL NAT RESOURCES-A BUY 1 Units @0.0000	0.00	0.13	0.00	0.13	88.0	0.11
02/26/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.99	0.00	0.99	88.0	0.87



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.77	0.00	0.77	88.0	0.68
02/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61
02/26/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL SECTOR FUND CL A BUY 1 Units @0.0000	0.00	2.79	0.00	2.79	88.0	2.46
02/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL TECHNOLOGY CL B BUY 1 Units @0.0000	0.00	2.18	0.00	2.18	88.0	1.92
02/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM GLOBAL TECHNOLOGY CL B BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	88.0	0.84
02/26/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL TELECOMMUNICATIONS B BUY 1 Units @0.0000	0.00	2.59	0.00	2.59	88.0	2.28
02/26/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM GLOBAL TELECOMMUNICATIONS B BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
02/26/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM GLOBAL UTILITIES CL C BUY 1 Units @0.0000	0.00	5.48	0.00	5.48	88.0	4.82
02/26/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	9.57	0.00	9.57	88.0	8.42
02/26/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	10.12	0.00	10.12	88.0	8.91
02/26/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	9.95	0.00	9.95	88.0	8.76
02/26/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	8.84	0.00	8.84	88.0	7.78
02/26/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	8.65	0.00	8.65	88.0	7.61
02/26/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	12.71	0.00	12.71	88.0	11.18
02/26/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	2.54	0.00	2.54	88.0	2.24
02/26/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	3.03	0.00	3.03	88.0	2.67



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
02/26/2018	***-**-13IO - ROTH, KAREN ACCOUNT #: LSR011484	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
02/26/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
02/26/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	88.0	0.63
02/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.62	0.00	2.62	88.0	2.31
02/26/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.33	0.00	1.33	88.0	1.17
02/26/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.16	0.00	2.16	88.0	1.90
02/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.80	0.00	1.80	88.0	1.58
02/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.36	0.00	2.36	88.0	2.08
02/26/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.43	0.00	1.43	88.0	1.26
02/26/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.24	0.00	2.24	88.0	1.97
02/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.20	0.00	2.20	88.0	1.94
02/26/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.87	0.00	0.87	88.0	0.77
02/26/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
02/26/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.15	0.00	1.15	88.0	1.01
02/26/2018	***-**-480J - EVANS, RICHARD ACCOUNT #: LSR011274	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
02/26/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	3.22	0.00	3.22	88.0	2.83



# COMMISSION STATEMENT

## February 26, 2018

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BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> BROKER: KURT GRUENEWALD (continued) </b>								
02/26/2018	***-**-21IO - RADELL, SANDRA	PUTNAM HEALTH SCIENCES TR-B	0.00	1.87	0.00	1.87	88.0	1.65
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
02/26/2018	***-**-197I - GAMBINO, ANDREW	PUTNAM HEALTH SCIENCES TR-B	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
02/26/2018	***-**-53IN - EVANS, ANDREW	PUTNAM HEALTH SCIENCES TR-B	0.00	0.54	0.00	0.54	88.0	0.48
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
02/26/2018	***-**-13IO - ROTH, KAREN	PUTNAM HEALTH SCIENCES TR-B	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
02/26/2018	***-**-38IO - BROWN, TYLER	PUTNAM HEALTH SCIENCES TR-B	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
02/26/2018	***-**-12IR - GRUENEWALD,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: LSR011614	BUY 1 Units @0.0000						
02/26/2018	***-**-03IO - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
02/26/2018	***-**-45IN - WILLIAMSON,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
02/26/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM INTL GROWTH & INC-A	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
02/26/2018	***-**-382K - SATTERLY, NEIL	PUTNAM INVESTORS CLASS C	0.00	4.68	0.00	4.68	88.0	4.12
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
02/26/2018	***-**-653J - KOCHEM, CLINTON	PUTNAM INVESTORS CLASS C	0.00	4.68	0.00	4.68	88.0	4.12
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
02/26/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM SMALL CAP VALUE FUND-A	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
02/26/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM U.S. GOVT INCOME TR-B	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
02/26/2018	***-**-254I - AUGUSTINE, LINDA	PUTNAM UTILITIES GR & INC-B	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
02/26/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM UTILITIES GR & INC-B	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
02/26/2018	***-**-949I - ACEE, JOSPEH	PUTNAM UTILITIES GR & INC-B	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/26/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.52	0.00	0.52	88.0	0.46
02/26/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.99	0.00	0.99	88.0	0.87
02/26/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	2.17	0.00	2.17	88.0	1.91
02/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.74	0.00	1.74	88.0	1.53
02/26/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	2.12	0.00	2.12	88.0	1.87
02/26/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.18	0.00	1.18	88.0	1.04
02/26/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
02/26/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.60	0.00	1.60	88.0	1.41
02/26/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
02/26/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	2.01	0.00	2.01	88.0	1.77
02/26/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.49	0.00	0.49	88.0	0.43
02/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	QUEST INTERNATIONAL VALUE FUND, INC BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
02/26/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	QUEST OPPORTUNITY VALUE A BUY 1 Units @0.0000	0.00	1.14	0.00	1.14	88.0	1.00
02/26/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	REAL ESTATE FUND A BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
02/26/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	REAL ESTATE FUND A BUY 1 Units @0.0000	0.00	1.05	0.00	1.05	88.0	0.92
02/26/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	REAL ESTATE FUND A BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/26/2018	***-**-702I - KOCHER, MICHAEL	REAL ESTATE FUND A	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
02/26/2018	***-**-51IO - CAIN, TIMOTHY	REAL ESTATE FUND A	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
02/26/2018	***-**-761I - EVANS, DOLORES	REAL ESTATE FUND A	0.00	2.85	0.00	2.85	88.0	2.51
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
02/26/2018	***-**-944O - MAYO, DEBORAH	REAL ESTATE FUND A	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
02/26/2018	***-**-111J - NESSIA, JAMES	REAL ESTATE FUND A	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
02/26/2018	***-**-326I - GRANDE, FBO MR	REAL ESTATE FUND A	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
02/26/2018	***-**-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
02/26/2018	***-**-367J - WAGNER, MRS LANT	REAL ESTATE FUND A	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
02/26/2018	***-**-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
02/26/2018	***-**-62IN - EATON, DAVID	REAL ESTATE FUND A	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
02/26/2018	***-**-949I - ACEE, JOSPEH	REAL ESTATE FUND B	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
02/26/2018	***-**-567I - FRANZ, ALICE	REAL ESTATE FUND B	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
02/26/2018	***-**-506J - CURRIERE JR, MR	REAL ESTATE FUND B	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
02/26/2018	***-**-367J - WAGNER, MRS LANT	REAL ESTATE FUND B	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
02/26/2018	***-**-48IO - ANACKER, FBO MRS	REAL ESTATE FUND B	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
02/26/2018	***-**-664J - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.42	0.00	1.42	88.0	1.25
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						





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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/26/2018	***-**-64IO - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.52	0.00	1.52	88.0	1.34
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
02/26/2018	***-**-62IR - ROBBIANO, FBO	REAL ESTATE FUND B	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
02/26/2018	***-**-653I - KOCHER, CLINTON	REAL ESTATE FUND B	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
02/26/2018	***-**-382I - SATTERLY, NEIL	REAL ESTATE FUND C	0.00	10.08	0.00	10.08	88.0	8.87
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
02/26/2018	***-**-48IO - CLARK, PATRICK	REAL ESTATE FUND C	0.00	7.50	0.00	7.50	88.0	6.60
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
02/26/2018	***-**-72IN - GAVALO, JULIE	REAL ESTATE FUND C	0.00	8.11	0.00	8.11	88.0	7.14
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
02/26/2018	***-**-065I - LAZIO, THOMAS	REAL ESTATE FUND C	0.00	6.00	0.00	6.00	88.0	5.28
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
02/26/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	7.94	0.00	7.94	88.0	6.99
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
02/26/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	2.14	0.00	2.14	88.0	1.88
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
02/26/2018	***-**-00IO - LEE, GARY	REAL ESTATE FUND C	0.00	9.68	0.00	9.68	88.0	8.52
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
02/26/2018	***-**-52IO - EUSEPI, SUSAN	REAL ESTATE FUND C	0.00	4.60	0.00	4.60	88.0	4.05
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
02/26/2018	***-**-11IO - LYNN G.	REAL ESTATE FUND C	0.00	12.59	0.00	12.59	88.0	11.08
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
02/26/2018	***-**-80IO - EVANS, RICHARD	REAL ESTATE FUND C	0.00	3.98	0.00	3.98	88.0	3.50
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
02/26/2018	***-**-45IO - JOHNSON, GREGORY	REAL ESTATE FUND C	0.00	6.82	0.00	6.82	88.0	6.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
02/26/2018	***-**-633J -	REAL ESTATE FUND C	0.00	2.15	0.00	2.15	88.0	1.89
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
02/26/2018	***-**-254I - AUGUSTINE, LINDA	REAL ESTATE FUND A	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
02/26/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.94	0.00	0.94	88.0	0.83
02/26/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.41	0.00	2.41	88.0	2.12
02/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.14	0.00	1.14	88.0	1.00
02/26/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	9.07	0.00	9.07	88.0	7.98
02/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	88.0	1.03
02/26/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.43	0.00	2.43	88.0	2.14
02/26/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.03	0.00	2.03	88.0	1.79
02/26/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.24	0.00	2.24	88.0	1.97
02/26/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.34	0.00	1.34	88.0	1.18
02/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	88.0	0.74
02/26/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	88.0	0.84
02/26/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.28	0.00	1.28	88.0	1.13
02/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.11	0.00	1.11	88.0	0.98
02/26/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	0.57	0.00	0.57	88.0	0.50
02/26/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
02/26/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	2.17	0.00	2.17	88.0	1.91



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
02/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	2.73	0.00	2.73	88.0	2.40
02/26/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
02/26/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	88.0	0.81
02/26/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.37	0.00	0.37	88.0	0.33
02/26/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	ROCHESTER NATIONAL MUNICIPALS A BUY 1 Units @0.0000	0.00	2.57	0.00	2.57	88.0	2.26
02/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	2.49	0.00	2.49	88.0	2.19
02/26/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
02/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	2.36	0.00	2.36	88.0	2.08
02/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	0.76	0.00	0.76	88.0	0.67
02/26/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	4.99	0.00	4.99	88.0	4.39
02/26/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	1.93	0.00	1.93	88.0	1.70
02/20/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	88.0	0.79
02/20/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	8.97	0.00	8.97	88.0	7.89
02/20/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	7.37	0.00	7.37	88.0	6.49
02/20/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	12.07	0.00	12.07	88.0	10.62
02/20/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	13.84	0.00	13.84	88.0	12.18



# COMMISSION STATEMENT

## February 26, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
02/20/2018	***-**-45IO - JOHNSON, GREGORY	SMALLCAP WORLD FUND-C	0.00	8.22	0.00	8.22	88.0	7.23
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
02/20/2018	***-**-86IN - LEE, KEVIN	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	3.96	0.00	3.96	88.0	3.48
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
02/20/2018	***-**-366I - GRUENEWALD,	THE GROWTH FUND OF AMERICA-A	0.00	1.78	0.00	1.78	88.0	1.57
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
02/20/2018	***-**-326I - GRANDE, FBO MR	THE GROWTH FUND OF AMERICA-A	0.00	2.21	0.00	2.21	88.0	1.94
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
02/15/2018	***-**-680I - HARRELL, DARYL	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00083996385	BUY 1 Units @48.4200						
02/20/2018	***-**-567I - FRANZ, ALICE	THE GROWTH FUND OF AMERICA-C	0.00	10.65	0.00	10.65	88.0	9.37
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
02/20/2018	***-**-287I - HINCKLEY,	THE INCOME FUND OF AMERICA-A	0.00	4.73	0.00	4.73	88.0	4.16
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
02/20/2018	***-**-702I - KOHEM, MICHAEL	THE INCOME FUND OF AMERICA-A	0.00	3.69	0.00	3.69	88.0	3.25
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
02/20/2018	***-**-959J - FRANZ, PAUL	THE INCOME FUND OF AMERICA-A	0.00	2.99	0.00	2.99	88.0	2.63
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
02/20/2018	***-**-366I - GRUENEWALD,	THE INCOME FUND OF AMERICA-A	0.00	2.17	0.00	2.17	88.0	1.91
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
02/20/2018	***-**-579J - RHYMESTINE,	THE INCOME FUND OF AMERICA-A	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
02/20/2018	***-**-326I - GRANDE, FBO MR	THE INCOME FUND OF AMERICA-A	0.00	2.41	0.00	2.41	88.0	2.12
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
02/20/2018	***-**-680I - HARRELL, DARYL	THE INCOME FUND OF AMERICA-A	0.00	1.16	0.00	1.16	88.0	1.02
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
02/20/2018	***-**-128I - BASHANT, THOMAS	THE INCOME FUND OF AMERICA-A	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
02/20/2018	***-**-30TR - AND SANDRA	THE INCOME FUND OF AMERICA-A	0.00	2.75	0.00	2.75	88.0	2.42
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
02/20/2018	***-**-80IO - EVANS, RICHARD	THE NEW ECONOMY FUND-C	0.00	11.72	0.00	11.72	88.0	10.31
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						



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## February 26, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
02/20/2018	***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.68	0.00	6.68	88.0	5.88
02/20/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.89	0.00	7.89	88.0	6.94
02/20/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.75	0.00	5.75	88.0	5.06
02/20/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.41	0.00	7.41	88.0	6.52
02/20/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	13.26	0.00	13.26	88.0	11.67
02/20/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.43	0.00	6.43	88.0	5.66
02/20/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.19	0.00	6.19	88.0	5.45
02/20/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.63	0.00	7.63	88.0	6.71
02/20/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	12.27	0.00	12.27	88.0	10.80
02/20/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	13.91	0.00	13.91	88.0	12.24
02/20/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	11.81	0.00	11.81	88.0	10.39
02/20/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.90	0.00	7.90	88.0	6.95
02/20/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	9.98	0.00	9.98	88.0	8.78
02/20/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	11.32	0.00	11.32	88.0	9.96
02/20/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	13.28	0.00	13.28	88.0	11.69
02/20/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	10.34	0.00	10.34	88.0	9.10



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
02/20/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	15.41	0.00	15.41	88.0	13.56
02/20/2018	***-**-633J - ACCOUNT #: LSR011732	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	0.99	0.00	0.99	88.0	0.87
02/20/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	U.S. GOVERNMENT SECURITIES FUND CLA BUY 1 Units @0.0000	0.00	3.67	0.00	3.67	88.0	3.23
02/20/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	VAN KAMPEN9 BUY 1 Units @0.0000	0.00	0.26	0.00	0.26	88.0	0.23
02/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	VOYA GLOBAL EQUITY DIVIDEND CLASS A BUY 1 Units @0.0000	0.00	1.96	0.00	1.96	88.0	1.72
02/26/2018	***-**-702I - KOHEM, MICHAEL ACCOUNT #: LSR010954	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86
02/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.09	0.00	0.09	88.0	0.08
02/26/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
02/26/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	VOYA REAL ESTATE CLASS C BUY 1 Units @0.0000	0.00	4.77	0.00	4.77	88.0	4.20
02/20/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	WELLS FARGO ASSET ALLOCATION CL A BUY 1 Units @0.0000	0.00	3.20	0.00	3.20	88.0	2.82
02/20/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	WELLS FARGO GLOBAL OPPT FD CL A BUY 1 Units @0.0000	0.00	1.45	0.00	1.45	88.0	1.28
02/20/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	WELLS FARGO SPECIALIZED TECH A BUY 1 Units @0.0000	0.00	1.84	0.00	1.84	88.0	1.62
02/20/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	WELLS FARGO UTILITY TELECOM CL A BUY 1 Units @0.0000	0.00	1.34	0.00	1.34	88.0	1.18
* KURT GRUENEWALD SUBTOTAL *			\$73,777.00	\$7,450.25	\$0.00	\$7,450.25		\$6,556.17
*** OVERRIDE TRANSACTIONS TOTAL ***			\$73,777.00	\$7,450.25	\$0.00	\$7,450.25		\$6,556.17



**BROKER #: A76**  
BRANCH #01047 - 47 - GRIFFITH

			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$7,054.76
						Split Transactions		\$0.00
						Override Transactions		\$6,556.17
						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		\$13,610.93
						Year-to-date Earnings		\$0.00