



COMMISSION STATEMENT

March 12, 2018

DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/05/2018	***-**-803J - TEESDALE, ACCOUNT #: LSR011017	AMERICAN BALANCED FUND-A SELL 70 Units @27.1300	1,891.99	19.99	18.00	1.99	88.0	1.75
03/05/2018	***-**-803J - TEESDALE, ACCOUNT #: LSR011017	CAPITAL WORLD GROWTH AND INCOME FUN SELL 43 Units @52.1600	2,227.86	19.99	18.00	1.99	88.0	1.75
03/05/2018	***-**-803J - TEESDALE, ACCOUNT #: LSR011017	FUNDAMENTAL INVESTORS-A SELL 21 Units @63.3600	1,328.28	19.99	18.00	1.99	88.0	1.75
03/01/2018	***-**-267I - HAMMILL, ELISE ACCOUNT #: 08191335171	MFS GLOBAL TOTAL RETURN FUND-B BUY 4 Units @18.3500	75.00	3.00	0.00	3.00	88.0	2.64
02/26/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @33.0500	17.87	0.18	0.00	0.18	88.0	0.16
02/26/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @35.5100	17.86	0.18	0.00	0.18	88.0	0.16
02/26/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM GLOBAL UTILITIES CL C BUY 1 Units @12.9900	17.87	0.18	0.00	0.18	88.0	0.16
03/06/2018	***-**-803J - TEESDALE, ACCOUNT #: LSR011017	THE INCOME FUND OF AMERICA-A SELL 72 Units @23.1500	1,662.47	19.99	18.00	1.99	88.0	1.75
* MUTUAL FUNDS SUBTOTAL *			\$7,239.20	\$83.50	\$72.00	\$11.50		\$10.12
<u>PRODUCT CATEGORY: STOCKS</u>								
03/06/2018	***-**-01IN - HAGAN III, ACCOUNT #: LSR011014	PETROLEO BRASILEIRO SA PETROBRAS AD SELL 300 Units @14.7400	4,422.00	87.49	21.00	66.49	88.0	58.51
* STOCKS SUBTOTAL *			\$4,422.00	\$87.49	\$21.00	\$66.49		\$58.51
<u>PRODUCT CATEGORY: 529 PLAN</u>								
03/12/2018	***-**-015P - SABANOSH, SHERYL HARTFORD ACCOUNT #: 66886699502	SMART 529 BUY 0 Units @0.0000	0.00	0.75	0.00	0.75	88.0	0.66
03/12/2018	***-**-679I - MURSCH JR, ACCOUNT #: 77041375401	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	4.02	0.00	4.02	88.0	3.54
03/12/2018	***-**-541I - ORSINO, LISA ACCOUNT #: 77049971001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.13	0.00	3.13	88.0	2.75
03/12/2018	***-**-745P - SCOTELLARO,	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.63	0.00	1.63	88.0	1.43



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: 529 PLAN (continued)								
03/12/2018	***-**-225P - DAMSKY, CYNTHIA	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.20	0.00	3.20	88.0	2.82
03/12/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77172702501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.38	0.00	2.38	88.0	2.09
03/12/2018	***-**-467I - PICKARD, BRIAN ACCOUNT #: 77247884901	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	88.0	0.90
03/12/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 77296639001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
03/12/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: 77376247101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	8.43	0.00	8.43	88.0	7.42
03/12/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77519113701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.42	0.00	0.42	88.0	0.37
03/12/2018	***-**-39IN - CLEARY, KAREN ACCOUNT #: 77678090301	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	4.35	0.00	4.35	88.0	3.83
03/12/2018	***-**-497I - MARTIN, KATHLEEN	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.28	0.00	1.28	88.0	1.13
03/12/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 77775742701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	7.18	0.00	7.18	88.0	6.32
03/12/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 77243486101	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
* 529 PLAN SUBTOTAL *			\$50.00	\$39.67	\$0.00	\$39.67		\$34.91
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/01/2018	***-**-9156 - SIMPSON, PATRICK ACCOUNT #: 00074686908	AMCAP FUND-A BUY 0 Units @0.0000	0.00	15.43	0.00	15.43	88.0	13.58
03/01/2018	***-**-64IN - KIO, EVELYN ACCOUNT #: 00067349392	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	1.68	0.00	1.68	88.0	1.48
03/01/2018	***-**-968I - THIBAUT JR, ACCOUNT #: 00064875131	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	1.96	0.00	1.96	88.0	1.72
03/01/2018	***-**-225P - DAMSKY, CYNTHIA ACCOUNT #: 00068200312	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	4.28	0.00	4.28	88.0	3.77
03/01/2018	***-**-25IR - SCOTELLARO, ACCOUNT #: 00081400337	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	88.0	1.47



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-26IR - BROWN, MARISSA	AMERICAN BALANCED FUND-A	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 00081497402	BUY 0 Units @0.0000						
03/01/2018	***-**-924J - FISH, ROY	AMERICAN BALANCED FUND-A	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: 00083431914	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	AMERICAN BALANCED FUND-C	0.00	6.09	0.00	6.09	88.0	5.36
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	AMERICAN FNDS MORTGAGE FUND-529C	0.00	3.99	0.00	3.99	88.0	3.51
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	AMERICAN FNDS MORTGAGE FUND-529C	0.00	5.11	0.00	5.11	88.0	4.50
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	AMERICAN FUNDDS PRESERVATION PORTFO	0.00	7.82	0.00	7.82	88.0	6.88
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
03/01/2018	***-**-36IN - GAUTHIER,	AMERICAN FUNDS 2035 TARGET DATE-A	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: 00084124769	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	AMERICAN FUNDS INFLATION LINKED BON	0.00	18.49	0.00	18.49	88.0	16.27
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	AMERICAN FUNDS INFLT LINKED BOND CL	0.00	7.40	0.00	7.40	88.0	6.51
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	AMERICAN FUNDS MORTGAGE FD CL C	0.00	19.38	0.00	19.38	88.0	17.05
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-7473 - SCOTELLARO,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.51	0.00	2.51	88.0	2.21
	ACCOUNT #: 00073919652	BUY 0 Units @0.0000						
03/01/2018	***-**-60IN - SCHRADER, KEVIN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	4.13	0.00	4.13	88.0	3.63
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						
03/01/2018	***-**-953I - DINITTO, NICOLE	AMERICAN FUNDS MORTGAGE FD CL C	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 00088593891	BUY 0 Units @0.0000						
03/01/2018	***-**-04IN - CLEARY, STEPHEN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.80	0.00	2.80	88.0	2.46
	ACCOUNT #: 00088608566	BUY 0 Units @0.0000						
03/01/2018	***-**-39IN - CLEARY, KAREN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: 00088635688	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	AMERICAN FUNDS SHORT-TERM BOND FUND	0.00	3.68	0.00	3.68	88.0	3.24
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-90IN - SPINA, MARK ACCOUNT #: 00088527332	AMERICAN GLOBAL BALANCED CL C BUY 0 Units @0.0000	0.00	17.02	0.00	17.02	88.0	14.98
03/01/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 00065159109	AMERICAN GLOBAL BALANCED CL C BUY 0 Units @0.0000	0.00	29.79	0.00	29.79	88.0	26.22
03/01/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	AMERICAN GLOBAL BALANCED CL C BUY 0 Units @0.0000	0.00	12.13	0.00	12.13	88.0	10.67
03/01/2018	***-**-801I - HAGAN III, ACCOUNT #: 00088485981	AMERICAN GLOBAL BALANCED CL C BUY 0 Units @0.0000	0.00	11.57	0.00	11.57	88.0	10.18
03/01/2018	***-**-60IN - SCHRADER, KEVIN ACCOUNT #: 00088507883	AMERICAN GLOBAL BALANCED CL C BUY 0 Units @0.0000	0.00	12.72	0.00	12.72	88.0	11.19
03/01/2018	***-**-953I - DINITTO, NICOLE ACCOUNT #: 00088593891	AMERICAN GLOBAL BALANCED CL C BUY 0 Units @0.0000	0.00	9.20	0.00	9.20	88.0	8.10
03/01/2018	***-**-04IN - CLEARY, STEPHEN ACCOUNT #: 00088608566	AMERICAN GLOBAL BALANCED CL C BUY 0 Units @0.0000	0.00	7.88	0.00	7.88	88.0	6.93
03/01/2018	***-**-39IN - CLEARY, KAREN ACCOUNT #: 00088635688	AMERICAN GLOBAL BALANCED CL C BUY 0 Units @0.0000	0.00	3.68	0.00	3.68	88.0	3.24
03/01/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: 00088659742	AMERICAN GLOBAL BALANCED CL C BUY 0 Units @0.0000	0.00	7.70	0.00	7.70	88.0	6.78
03/01/2018	***-**-9156 - SIMPSON, PATRICK ACCOUNT #: 00074686908	AMERICAN GLOBAL BALANCED CLASS A BUY 0 Units @0.0000	0.00	9.30	0.00	9.30	88.0	8.18
03/01/2018	***-**-0040 - GRIFFITH, ACCOUNT #: 00083176630	AMERICAN GLOBAL BALANCED CLASS A BUY 0 Units @0.0000	0.00	1.43	0.00	1.43	88.0	1.26
03/01/2018	***-**-225P - DAMSKY, CYNTHIA ACCOUNT #: 00068200312	AMERICAN GLOBAL BALANCED CLASS A BUY 0 Units @0.0000	0.00	0.89	0.00	0.89	88.0	0.78
03/01/2018	***-**-924J - FISH, ROY ACCOUNT #: 00083431914	AMERICAN GLOBAL BALANCED CLASS A BUY 0 Units @0.0000	0.00	6.88	0.00	6.88	88.0	6.05
03/01/2018	***-**-716I - BUCZEK, DENISE ACCOUNT #: 00088176764	AMERICAN GLOBAL BALANCED CLASS A BUY 0 Units @0.0000	0.00	6.31	0.00	6.31	88.0	5.55
03/01/2018	***-**-88IN - PICKARD, ELAINE ACCOUNT #: 00088242778	AMERICAN GLOBAL BALANCED CLASS A BUY 0 Units @0.0000	0.00	5.42	0.00	5.42	88.0	4.77
03/01/2018	***-**-64IN - KIO, EVELYN ACCOUNT #: 00067349392	AMERICAN HIGH-INCOME TRUST-A BUY 0 Units @0.0000	0.00	1.52	0.00	1.52	88.0	1.34



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-244I - BURTON, RICHARD	AMERICAN HIGH-INCOME TRUST-C	0.00	7.49	0.00	7.49	88.0	6.59
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-225P - DAMSKY, CYNTHIA	AMERICAN MORTGAGE FUND CL A	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
03/01/2018	***-**-716I - BUCZEK, DENISE	AMERICAN MORTGAGE FUND CL A	0.00	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: 00088176764	BUY 0 Units @0.0000						
03/01/2018	***-**-225P - DAMSKY, CYNTHIA	AMERICAN MUTUAL FUND-A	0.00	3.78	0.00	3.78	88.0	3.33
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	AMERICAN MUTUAL FUND-F1	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-90IN - SPINA, MARK	CAPITAL INCOME BUILDER CLASS C	0.00	6.82	0.00	6.82	88.0	6.00
	ACCOUNT #: 00088527332	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	CAPITAL INCOME BUILDER-529C	0.00	8.27	0.00	8.27	88.0	7.28
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	CAPITAL INCOME BUILDER-529C	0.00	5.05	0.00	5.05	88.0	4.44
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
03/01/2018	***-**-817I - WADSWORTH,	CAPITAL INCOME BUILDER-A	0.00	6.89	0.00	6.89	88.0	6.06
	ACCOUNT #: 00067441742	BUY 0 Units @0.0000						
03/01/2018	***-**-716I - BUCZEK, DENISE	CAPITAL INCOME BUILDER-A	0.00	2.93	0.00	2.93	88.0	2.58
	ACCOUNT #: 00088176764	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	CAPITAL INCOME BUILDER-F1	0.00	1.93	0.00	1.93	88.0	1.70
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	CAPITAL WORLD BOND FUND-C	0.00	8.60	0.00	8.60	88.0	7.57
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-39IN - CLEARY, KAREN	CAPITAL WORLD BOND FUND-C	0.00	2.08	0.00	2.08	88.0	1.83
	ACCOUNT #: 00088635688	BUY 0 Units @0.0000						
03/01/2018	***-**-58IN - SCHRECK, RYAN	CAPITAL WORLD BOND FUND-C	0.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: 00088659742	BUY 0 Units @0.0000						
03/01/2018	***-**-64IN - KIO, EVELYN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.53	0.00	2.53	88.0	2.23
	ACCOUNT #: 00067349392	BUY 0 Units @0.0000						
03/01/2018	***-**-72IN - THIBAUT, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.52	0.00	1.52	88.0	1.34
	ACCOUNT #: 00073188948	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-7704 - AYRES, JENNIFER	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: 00073769241	BUY 0 Units @0.0000						
03/01/2018	***-**-9156 - SIMPSON, PATRICK	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	13.62	0.00	13.62	88.0	11.99
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
03/01/2018	***-**-0040 - GRIFFITH,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	4.20	0.00	4.20	88.0	3.70
	ACCOUNT #: 00083176630	BUY 0 Units @0.0000						
03/01/2018	***-**-90IN - SPINA, MARK	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	26.57	0.00	26.57	88.0	23.38
	ACCOUNT #: 00088527332	BUY 0 Units @0.0000						
03/01/2018	***-**-968I - THIBAUT JR,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	6.16	0.00	6.16	88.0	5.42
	ACCOUNT #: 00064875131	BUY 0 Units @0.0000						
03/01/2018	***-**-225P - DAMSKY, CYNTHIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	5.84	0.00	5.84	88.0	5.14
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
03/01/2018	***-**-36IN - GAUTHIER,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	7.98	0.00	7.98	88.0	7.02
	ACCOUNT #: 00068814424	BUY 0 Units @0.0000						
03/01/2018	***-**-7473 - SCOTELLARO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	5.30	0.00	5.30	88.0	4.66
	ACCOUNT #: 00073919652	BUY 0 Units @0.0000						
03/01/2018	***-**-25IR - SCOTELLARO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: 00081400337	BUY 0 Units @0.0000						
03/01/2018	***-**-26IR - BROWN, MARISSA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: 00081497402	BUY 0 Units @0.0000						
03/01/2018	***-**-924J - FISH, ROY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: 00083431914	BUY 0 Units @0.0000						
03/01/2018	***-**-25IR - REDMOND, SEAN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.98	0.00	1.98	88.0	1.74
	ACCOUNT #: 00088078685	BUY 0 Units @0.0000						
03/01/2018	***-**-716I - BUCZEK, DENISE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.87	0.00	3.87	88.0	3.41
	ACCOUNT #: 00088176764	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	8.14	0.00	8.14	88.0	7.16
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-60IN - SCHRADER, KEVIN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	14.21	0.00	14.21	88.0	12.50
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						
03/01/2018	***-**-953I - DINITTO, NICOLE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	12.39	0.00	12.39	88.0	10.90
	ACCOUNT #: 00088593891	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-04IN - CLEARY, STEPHEN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	8.77	0.00	8.77	88.0	7.72
	ACCOUNT #: 00088608566	BUY 0 Units @0.0000						
03/01/2018	***-**-39IN - CLEARY, KAREN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.42	0.00	3.42	88.0	3.01
	ACCOUNT #: 00088635688	BUY 0 Units @0.0000						
03/01/2018	***-**-58IN - SCHRECK, RYAN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	8.47	0.00	8.47	88.0	7.45
	ACCOUNT #: 00088659742	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	CAPITAL WORLD GROWTH AND INCOME-529	0.00	11.61	0.00	11.61	88.0	10.22
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	CAPITAL WORLD GROWTH AND INCOME-529	0.00	8.83	0.00	8.83	88.0	7.77
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
03/01/2018	***-**-595P - MUTH, MARIA	CAPITAL WORLD GROWTH AND INCOME-529	0.00	6.11	0.00	6.11	88.0	5.38
	ACCOUNT #: 00088943357	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	DEVELOPING WORLD GROWTH & INCOME-C	0.00	7.93	0.00	7.93	88.0	6.98
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-953I - DINITTO, NICOLE	EUROPACIFIC GROWTH FUND CLASS C	0.00	7.38	0.00	7.38	88.0	6.49
	ACCOUNT #: 00088593891	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	EUROPACIFIC GROWTH FUND-529C	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	EUROPACIFIC GROWTH FUND-529C	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
03/01/2018	***-**-595P - MUTH, MARIA	EUROPACIFIC GROWTH FUND-529C	0.00	2.98	0.00	2.98	88.0	2.62
	ACCOUNT #: 00088943357	BUY 0 Units @0.0000						
03/01/2018	***-**-5485 - GAETANO,	EUROPACIFIC GROWTH FUND-A	0.00	4.45	0.00	4.45	88.0	3.92
	ACCOUNT #: 00082975488	BUY 0 Units @0.0000						
03/01/2018	***-**-004O - GRIFFITH,	EUROPACIFIC GROWTH FUND-A	0.00	2.94	0.00	2.94	88.0	2.59
	ACCOUNT #: 00083176630	BUY 0 Units @0.0000						
03/01/2018	***-**-225P - DAMSKY, CYNTHIA	EUROPACIFIC GROWTH FUND-A	0.00	2.53	0.00	2.53	88.0	2.23
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
03/01/2018	***-**-36IN - GAUTHIER,	EUROPACIFIC GROWTH FUND-A	0.00	7.34	0.00	7.34	88.0	6.46
	ACCOUNT #: 00068814424	BUY 0 Units @0.0000						
03/01/2018	***-**-25IR - REDMOND, SEAN	EUROPACIFIC GROWTH FUND-A	0.00	1.92	0.00	1.92	88.0	1.69
	ACCOUNT #: 00088078685	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-675P - PICKARD, BRIAN	FUNDAMENTAL INVESTORS-529C	0.00	3.59	0.00	3.59	88.0	3.16
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
03/01/2018	***-**-595P - MUTH, MARIA	FUNDAMENTAL INVESTORS-529C	0.00	3.38	0.00	3.38	88.0	2.97
	ACCOUNT #: 00088943357	BUY 0 Units @0.0000						
03/01/2018	***-**-72IN - THIBAUT, JOHN	FUNDAMENTAL INVESTORS-A	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: 00073188948	BUY 0 Units @0.0000						
03/01/2018	***-**-7704 - AYRES, JENNIFER	FUNDAMENTAL INVESTORS-A	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: 00073769241	BUY 0 Units @0.0000						
03/01/2018	***-**-9156 - SIMPSON, PATRICK	FUNDAMENTAL INVESTORS-A	0.00	16.83	0.00	16.83	88.0	14.81
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
03/01/2018	***-**-968I - THIBAUT JR,	FUNDAMENTAL INVESTORS-A	0.00	5.20	0.00	5.20	88.0	4.58
	ACCOUNT #: 00064875131	BUY 0 Units @0.0000						
03/01/2018	***-**-225P - DAMSKY, CYNTHIA	FUNDAMENTAL INVESTORS-A	0.00	5.96	0.00	5.96	88.0	5.24
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
03/01/2018	***-**-36IN - GAUTHIER,	FUNDAMENTAL INVESTORS-A	0.00	9.01	0.00	9.01	88.0	7.93
	ACCOUNT #: 00068814424	BUY 0 Units @0.0000						
03/01/2018	***-**-7473 - SCOTELLARO,	FUNDAMENTAL INVESTORS-A	0.00	2.15	0.00	2.15	88.0	1.89
	ACCOUNT #: 00073919652	BUY 0 Units @0.0000						
03/01/2018	***-**-25IR - SCOTELLARO,	FUNDAMENTAL INVESTORS-A	0.00	2.56	0.00	2.56	88.0	2.25
	ACCOUNT #: 00081400337	BUY 0 Units @0.0000						
03/01/2018	***-**-26IR - BROWN, MARISSA	FUNDAMENTAL INVESTORS-A	0.00	3.55	0.00	3.55	88.0	3.12
	ACCOUNT #: 00081497402	BUY 0 Units @0.0000						
03/01/2018	***-**-924J - FISH, ROY	FUNDAMENTAL INVESTORS-A	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: 00083431914	BUY 0 Units @0.0000						
03/01/2018	***-**-25IR - REDMOND, SEAN	FUNDAMENTAL INVESTORS-A	0.00	2.28	0.00	2.28	88.0	2.01
	ACCOUNT #: 00088078685	BUY 0 Units @0.0000						
03/01/2018	***-**-004O - GRIFFITH,	FUNDAMENTAL INVESTORS-C	0.00	15.57	0.00	15.57	88.0	13.70
	ACCOUNT #: 00083322888	BUY 0 Units @0.0000						
03/01/2018	***-**-788I - ALBARRAN, CARLOS	FUNDAMENTAL INVESTORS-C	0.00	60.67	0.00	60.67	88.0	53.39
	ACCOUNT #: 00085186008	BUY 0 Units @0.0000						
03/01/2018	***-**-60IN - SCHRADER, KEVIN	FUNDAMENTAL INVESTORS-C	0.00	5.84	0.00	5.84	88.0	5.14
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-953I - DINITTO, NICOLE	FUNDAMENTAL INVESTORS-C	0.00	2.27	0.00	2.27	88.0	2.00
	ACCOUNT #: 00088593891	BUY 0 Units @0.0000						
03/01/2018	***-**-04IN - CLEARY, STEPHEN	FUNDAMENTAL INVESTORS-C	0.00	5.91	0.00	5.91	88.0	5.20
	ACCOUNT #: 00088608566	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	GLOBAL BALANCED FUND-529C	0.00	18.51	0.00	18.51	88.0	16.29
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	GLOBAL BALANCED FUND-529C	0.00	8.72	0.00	8.72	88.0	7.67
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
03/01/2018	***-**-595P - MUTH, MARIA	GLOBAL BALANCED FUND-529C	0.00	8.43	0.00	8.43	88.0	7.42
	ACCOUNT #: 00088943357	BUY 0 Units @0.0000						
03/01/2018	***-**-90IN - SPINA, MARK	INCOME FUND OF AMERICA CLASS C	0.00	14.14	0.00	14.14	88.0	12.44
	ACCOUNT #: 00088527332	BUY 0 Units @0.0000						
03/01/2018	***-**-60IN - SCHRADER, KEVIN	INCOME FUND OF AMERICA CLASS C	0.00	5.08	0.00	5.08	88.0	4.47
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						
03/01/2018	***-**-953I - DINITTO, NICOLE	INCOME FUND OF AMERICA CLASS C	0.00	5.34	0.00	5.34	88.0	4.70
	ACCOUNT #: 00088593891	BUY 0 Units @0.0000						
03/01/2018	***-**-04IN - CLEARY, STEPHEN	INCOME FUND OF AMERICA CLASS C	0.00	4.86	0.00	4.86	88.0	4.28
	ACCOUNT #: 00088608566	BUY 0 Units @0.0000						
03/01/2018	***-**-39IN - CLEARY, KAREN	INCOME FUND OF AMERICA CLASS C	0.00	2.32	0.00	2.32	88.0	2.04
	ACCOUNT #: 00088635688	BUY 0 Units @0.0000						
03/01/2018	***-**-58IN - SCHRECK, RYAN	INCOME FUND OF AMERICA CLASS C	0.00	4.71	0.00	4.71	88.0	4.14
	ACCOUNT #: 00088659742	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	INTERMEDIATE BOND FUND OF AMERICA-5	0.00	18.54	0.00	18.54	88.0	16.32
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	INTERMEDIATE BOND FUND OF AMERICA-C	0.00	9.73	0.00	9.73	88.0	8.56
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/12/2018	***-**-05IR - HULL, JEFF	MANNING & NAPIER PRO NFS	0.00	4.04	0.00	4.04	88.0	3.56
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
03/12/2018	***-**-13IR - E, KAREN	MASSACHUSETTS INVESTORS TRUST-A	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
03/12/2018	***-**-13IR - E, KAREN	MASSACHUSETTS INVESTORS TRUST-B	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-355I - CRIMMINS, KAREN	MFS AGGRESS GROWTH ALLOCATION FD-B	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
03/12/2018	***-**-355I - CRIMMINS, KAREN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
03/12/2018	***-**-13IR - E, KAREN	MFS EMERGING MARKETS DEBT FUND-A	0.00	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
03/12/2018	***-**-13IR - E, KAREN	MFS EMERGING MKT DEBT CL B	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
03/12/2018	***-**-355I - CRIMMINS, KAREN	MFS GLOBAL ALTERNATIVE STRAT B	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
03/12/2018	***-**-94IO - PERRITANO,	MFS GLOBAL MULTI ASSET FUND CLASS B	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR011099	BUY 1 Units @0.0000						
03/12/2018	***-**-13IR - E, KAREN	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
03/12/2018	***-**-355I - CRIMMINS, KAREN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.41	0.00	2.41	88.0	2.12
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
03/12/2018	***-**-73IN - SCOTELLARO IV,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.33	0.00	2.33	88.0	2.05
	ACCOUNT #: LSR011086	BUY 1 Units @0.0000						
03/12/2018	***-**-94IO - PERRITANO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.27	0.00	2.27	88.0	2.00
	ACCOUNT #: LSR011099	BUY 1 Units @0.0000						
03/12/2018	***-**-187I - WASZKIEWICZ, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
03/12/2018	***-**-40UT - BROWN CUST	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR011178	BUY 1 Units @0.0000						
03/12/2018	***-**-387I - KINNEY, DOUGLAS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011322	BUY 1 Units @0.0000						
03/12/2018	***-**-1300 - MUMIN,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: LSR011333	BUY 1 Units @0.0000						
03/12/2018	***-**-3017 - MUMIN, MESSIAH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: LSR011334	BUY 1 Units @0.0000						
03/12/2018	***-**-0642 - MUMIN, MARY JO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: LSR011335	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-41TR - DAMSKY, BARRY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.29	0.00	2.29	88.0	2.02
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
03/12/2018	***-**-499X - LARA M TUR, SPS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR011400	BUY 1 Units @0.0000						
03/12/2018	***-**-28IO - CROWE, EMILY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.37	0.00	2.37	88.0	2.09
	ACCOUNT #: LSR011427	BUY 1 Units @0.0000						
03/12/2018	***-**-13IR - MURRAY, JOHN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011459	BUY 1 Units @0.0000						
03/12/2018	***-**-90IO - DRUMM, LOIS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.75	0.00	3.75	88.0	3.30
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
03/12/2018	***-**-29IO - LORUSSO, VINCENT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.77	0.00	3.77	88.0	3.32
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
03/12/2018	***-**-13IR - E, KAREN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.79	0.00	1.79	88.0	1.58
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
03/12/2018	***-**-13IR - E, KAREN	MFS INFLATION ADJUSTED BOND CL B	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
03/12/2018	***-**-13IR - E, KAREN	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
03/12/2018	***-**-355I - CRIMMINS, KAREN	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
03/12/2018	***-**-29IO - LORUSSO, VINCENT	MFS TECHNOLOGY FUND-B	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
03/12/2018	***-**-13IR - E, KAREN	MFS TECHNOLOGY FUND-B	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
03/12/2018	***-**-13IR - E, KAREN	MFS TOTAL RETURN FUND-A	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
03/12/2018	***-**-13IR - E, KAREN	MFS TOTAL RETURN FUND-B	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
02/28/2018	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08191188649	BUY 19 Units @15.7000						
02/28/2018	***-**-57RI - DIPERNA, ROBERT	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08189654783	BUY 19 Units @15.7000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-369I - DAVIS, BRUCE	MFS UTILITIES FUND-A	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
03/12/2018	***-**-698J - FEISTHAMEL, MR	MFS UTILITIES FUND-A	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
03/12/2018	***-**-13IR - E, KAREN	MFS UTILITIES FUND-A	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
03/12/2018	***-**-621I - DANIELS SR, JOHN	MFS UTILITIES FUND-B	0.00	3.27	0.00	3.27	88.0	2.88
	ACCOUNT #: LSR010950	BUY 1 Units @0.0000						
03/12/2018	***-**-614I - MARIOTTI, CINDY	MFS UTILITIES FUND-B	0.00	2.41	0.00	2.41	88.0	2.12
	ACCOUNT #: LSR011535	BUY 1 Units @0.0000						
03/12/2018	***-**-39IR - VELARDI, CHRIS	MFS UTILITIES FUND-B	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: LSR011591	BUY 1 Units @0.0000						
03/12/2018	***-**-13IR - E, KAREN	MFS UTILITIES FUND-B	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
03/01/2018	***-**-72IN - THIBAUT, JOHN	NEW PERSPECTIVE FUND-A	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: 00073188948	BUY 0 Units @0.0000						
03/01/2018	***-**-968I - THIBAUT JR,	NEW PERSPECTIVE FUND-A	0.00	3.04	0.00	3.04	88.0	2.68
	ACCOUNT #: 00064875131	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	NEW PERSPECTIVE FUND-A	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-7473 - SCOTELLARO,	NEW PERSPECTIVE FUND-A	0.00	5.97	0.00	5.97	88.0	5.25
	ACCOUNT #: 00073919652	BUY 0 Units @0.0000						
03/01/2018	***-**-26IR - BROWN, MARISSA	NEW PERSPECTIVE FUND-A	0.00	1.63	0.00	1.63	88.0	1.43
	ACCOUNT #: 00081497402	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	NEW PERSPECTIVE FUND-C	0.00	10.34	0.00	10.34	88.0	9.10
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-9156 - SIMPSON, PATRICK	NEW WORLD FUND-A	0.00	10.83	0.00	10.83	88.0	9.53
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
03/01/2018	***-**-25IR - SCOTELLARO,	NEW WORLD FUND-A	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: 00081400337	BUY 0 Units @0.0000						
03/01/2018	***-**-924J - FISH, ROY	NEW WORLD FUND-A	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: 00083431914	BUY 0 Units @0.0000						



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DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-60IN - SCHRADER, KEVIN	NEW WORLD FUND-C	0.00	3.48	0.00	3.48	88.0	3.06
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						
02/26/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	17.87	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00551360517	BUY 1 Units @20.2000						
03/08/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE TRAILS	0.00	17.77	0.00	17.77	88.0	15.64
	ACCOUNT #: 20022581	BUY 0 Units @0.0000						
03/08/2018	***-**-61IN - FILEY, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	13.17	0.00	13.17	88.0	11.59
		BUY 0 Units @0.0000						
03/08/2018	***-**-42IN - JENKINS, DAVID	RESOURCE REAL ESTATE TRAILS	0.00	2.53	0.00	2.53	88.0	2.23
		BUY 0 Units @0.0000						
03/08/2018	***-**-60IN - SCHRADER, KEVIN	RESOURCE REAL ESTATE TRAILS	0.00	13.56	0.00	13.56	88.0	11.93
	ACCOUNT #: 20021808	BUY 0 Units @0.0000						
03/08/2018	***-**-11IN - MOYLAN, TIMOTHY	RESOURCE REAL ESTATE TRAILS	0.00	10.19	0.00	10.19	88.0	8.97
	ACCOUNT #: 20022106	BUY 0 Units @0.0000						
03/08/2018	***-**-01IN - HAGAN III,	RESOURCE REAL ESTATE TRAILS	0.00	17.55	0.00	17.55	88.0	15.44
	ACCOUNT #: 20022138	BUY 0 Units @0.0000						
03/08/2018	***-**-621I - DANIELS SR, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	17.55	0.00	17.55	88.0	15.44
	ACCOUNT #: 20022107	BUY 0 Units @0.0000						
03/08/2018	***-**-034J - NIKODEM, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	22.20	0.00	22.20	88.0	19.54
		BUY 0 Units @0.0000						
03/06/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	4.41	0.00	4.41	88.0	3.88
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
03/06/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
03/06/2018	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	2.02	0.00	2.02	88.0	1.78
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
03/06/2018	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
03/06/2018	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	7.87	0.00	7.87	88.0	6.93
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
03/06/2018	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	2.62	0.00	2.62	88.0	2.31
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						



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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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/06/2018	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	6.30	0.00	6.30	88.0	5.54
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
03/06/2018	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	2.10	0.00	2.10	88.0	1.85
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
03/06/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	6.93	0.00	6.93	88.0	6.10
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
03/06/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	2.31	0.00	2.31	88.0	2.03
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
03/06/2018	***-**-914J - KALAMAS, SHIRLEY	RESOURCE REAL ESTATE-NFS	0.00	3.78	0.00	3.78	88.0	3.33
	ACCOUNT #: LSR010904	BUY 1 Units @0.0000						
03/06/2018	***-**-914J - KALAMAS, SHIRLEY	RESOURCE REAL ESTATE-NFS	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: LSR010904	BUY 1 Units @0.0000						
03/06/2018	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	9.45	0.00	9.45	88.0	8.32
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
03/06/2018	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	3.15	0.00	3.15	88.0	2.77
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
03/06/2018	***-**-804I - RIEBEN, ANNE	RESOURCE REAL ESTATE-NFS	0.00	6.93	0.00	6.93	88.0	6.10
	ACCOUNT #: LSR010877	BUY 1 Units @0.0000						
03/06/2018	***-**-804I - RIEBEN, ANNE	RESOURCE REAL ESTATE-NFS	0.00	2.31	0.00	2.31	88.0	2.03
	ACCOUNT #: LSR010877	BUY 1 Units @0.0000						
03/06/2018	***-**-423I - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	6.93	0.00	6.93	88.0	6.10
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
03/06/2018	***-**-423I - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	2.31	0.00	2.31	88.0	2.03
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
03/06/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	9.45	0.00	9.45	88.0	8.32
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
03/06/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	3.15	0.00	3.15	88.0	2.77
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
03/06/2018	***-**-698J - FEISTHAMEL, MR	RESOURCE REAL ESTATE-NFS	0.00	6.01	0.00	6.01	88.0	5.29
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
03/06/2018	***-**-698J - FEISTHAMEL, MR	RESOURCE REAL ESTATE-NFS	0.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						



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BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/06/2018	***-**-9010 - DRUMM, LOIS	RESOURCE REAL ESTATE-NFS	0.00	2.88	0.00	2.88	88.0	2.53
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
03/06/2018	***-**-9010 - DRUMM, LOIS	RESOURCE REAL ESTATE-NFS	0.00	0.96	0.00	0.96	88.0	0.84
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
03/06/2018	***-**-231J - MISHLANIE JR,	RESOURCE REAL ESTATE-NFS	0.00	1.86	0.00	1.86	88.0	1.64
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
03/06/2018	***-**-231J - MISHLANIE JR,	RESOURCE REAL ESTATE-NFS	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
03/06/2018	***-**-24TR - SCOTELLARO, L	RESOURCE REAL ESTATE-NFS	0.00	4.58	0.00	4.58	88.0	4.03
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
03/06/2018	***-**-24TR - SCOTELLARO, L	RESOURCE REAL ESTATE-NFS	0.00	1.53	0.00	1.53	88.0	1.35
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
03/06/2018	***-**-467I - PICKARD, BRIAN	RESOURCE REAL ESTATE-NFS	0.00	2.62	0.00	2.62	88.0	2.31
	ACCOUNT #: LSR010944	BUY 1 Units @0.0000						
03/06/2018	***-**-467I - PICKARD, BRIAN	RESOURCE REAL ESTATE-NFS	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR010944	BUY 1 Units @0.0000						
03/06/2018	***-**-474J - HAGAN JR,	RESOURCE REAL ESTATE-NFS	0.00	1.81	0.00	1.81	88.0	1.59
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
03/06/2018	***-**-474J - HAGAN JR,	RESOURCE REAL ESTATE-NFS	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
03/06/2018	***-**-0770 - GAUTHIER, LOUIS	RESOURCE REAL ESTATE-NFS	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR010905	BUY 1 Units @0.0000						
03/06/2018	***-**-0770 - GAUTHIER, LOUIS	RESOURCE REAL ESTATE-NFS	0.00	0.40	0.00	0.40	88.0	0.35
	ACCOUNT #: LSR010905	BUY 1 Units @0.0000						
03/06/2018	***-**-522J - RIEBEN, HENRY	RESOURCE REAL ESTATE-NFS	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: LSR010938	BUY 1 Units @0.0000						
03/06/2018	***-**-522J - RIEBEN, HENRY	RESOURCE REAL ESTATE-NFS	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: LSR010938	BUY 1 Units @0.0000						
03/06/2018	***-**-14TR - THE KALAMAS,	RESOURCE REAL ESTATE-NFS	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: LSR012226	BUY 1 Units @0.0000						
03/06/2018	***-**-14TR - THE KALAMAS,	RESOURCE REAL ESTATE-NFS	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: LSR012226	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/06/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	4.46	0.00	4.46	88.0	3.92
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
03/06/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
03/06/2018	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
03/06/2018	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
03/06/2018	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	7.96	0.00	7.96	88.0	7.00
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
03/06/2018	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	2.65	0.00	2.65	88.0	2.33
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
03/06/2018	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	6.37	0.00	6.37	88.0	5.61
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
03/06/2018	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	2.12	0.00	2.12	88.0	1.87
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
03/06/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
03/06/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	2.33	0.00	2.33	88.0	2.05
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
03/06/2018	***-**-914J - KALAMAS, SHIRLEY	RESOURCE REAL ESTATE-NFS	0.00	2.71	0.00	2.71	88.0	2.38
	ACCOUNT #: LSR010904	BUY 1 Units @0.0000						
03/06/2018	***-**-914J - KALAMAS, SHIRLEY	RESOURCE REAL ESTATE-NFS	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: LSR010904	BUY 1 Units @0.0000						
03/06/2018	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	9.55	0.00	9.55	88.0	8.40
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
03/06/2018	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	3.18	0.00	3.18	88.0	2.80
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
03/06/2018	***-**-804I - RIEBEN, ANNE	RESOURCE REAL ESTATE-NFS	0.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: LSR010877	BUY 1 Units @0.0000						
03/06/2018	***-**-804I - RIEBEN, ANNE	RESOURCE REAL ESTATE-NFS	0.00	2.33	0.00	2.33	88.0	2.05
	ACCOUNT #: LSR010877	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/06/2018	***-**-423I - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	6.91	0.00	6.91	88.0	6.08
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
03/06/2018	***-**-423I - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	2.30	0.00	2.30	88.0	2.02
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
03/06/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	9.55	0.00	9.55	88.0	8.40
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
03/06/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	3.18	0.00	3.18	88.0	2.80
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
03/06/2018	***-**-698J - FEISTHAMEL, MR	RESOURCE REAL ESTATE-NFS	0.00	8.22	0.00	8.22	88.0	7.23
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
03/06/2018	***-**-698J - FEISTHAMEL, MR	RESOURCE REAL ESTATE-NFS	0.00	2.74	0.00	2.74	88.0	2.41
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
03/06/2018	***-**-901O - DRUMM, LOIS	RESOURCE REAL ESTATE-NFS	0.00	6.97	0.00	6.97	88.0	6.13
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
03/06/2018	***-**-901O - DRUMM, LOIS	RESOURCE REAL ESTATE-NFS	0.00	2.32	0.00	2.32	88.0	2.04
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
03/06/2018	***-**-231J - MISHLANIE JR,	RESOURCE REAL ESTATE-NFS	0.00	4.50	0.00	4.50	88.0	3.96
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
03/06/2018	***-**-231J - MISHLANIE JR,	RESOURCE REAL ESTATE-NFS	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
03/06/2018	***-**-24TR - SCOTELLARO, L	RESOURCE REAL ESTATE-NFS	0.00	11.09	0.00	11.09	88.0	9.76
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
03/06/2018	***-**-24TR - SCOTELLARO, L	RESOURCE REAL ESTATE-NFS	0.00	3.70	0.00	3.70	88.0	3.26
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
03/06/2018	***-**-467I - PICKARD, BRIAN	RESOURCE REAL ESTATE-NFS	0.00	6.33	0.00	6.33	88.0	5.57
	ACCOUNT #: LSR010944	BUY 1 Units @0.0000						
03/06/2018	***-**-467I - PICKARD, BRIAN	RESOURCE REAL ESTATE-NFS	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: LSR010944	BUY 1 Units @0.0000						
03/06/2018	***-**-474J - HAGAN JR,	RESOURCE REAL ESTATE-NFS	0.00	9.50	0.00	9.50	88.0	8.36
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
03/06/2018	***-**-474J - HAGAN JR,	RESOURCE REAL ESTATE-NFS	0.00	3.17	0.00	3.17	88.0	2.79
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/06/2018	***-**-0770 - GAUTHIER, LOUIS	RESOURCE REAL ESTATE-NFS	0.00	6.33	0.00	6.33	88.0	5.57
	ACCOUNT #: LSR010905	BUY 1 Units @0.0000						
03/06/2018	***-**-0770 - GAUTHIER, LOUIS	RESOURCE REAL ESTATE-NFS	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: LSR010905	BUY 1 Units @0.0000						
03/06/2018	***-**-522J - RIEBEN, HENRY	RESOURCE REAL ESTATE-NFS	0.00	17.05	0.00	17.05	88.0	15.00
	ACCOUNT #: LSR010938	BUY 1 Units @0.0000						
03/06/2018	***-**-522J - RIEBEN, HENRY	RESOURCE REAL ESTATE-NFS	0.00	5.68	0.00	5.68	88.0	5.00
	ACCOUNT #: LSR010938	BUY 1 Units @0.0000						
03/06/2018	***-**-05IR - HULL, JEFF	RESOURCE REAL ESTATE-NFS	0.00	5.13	0.00	5.13	88.0	4.51
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
03/06/2018	***-**-05IR - HULL, JEFF	RESOURCE REAL ESTATE-NFS	0.00	1.71	0.00	1.71	88.0	1.50
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
03/06/2018	***-**-924J - FISH, ROY	RESOURCE REAL ESTATE-NFS	0.00	3.13	0.00	3.13	88.0	2.75
	ACCOUNT #: LSR010906	BUY 1 Units @0.0000						
03/06/2018	***-**-924J - FISH, ROY	RESOURCE REAL ESTATE-NFS	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: LSR010906	BUY 1 Units @0.0000						
03/06/2018	***-**-49IN - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR011680	BUY 1 Units @0.0000						
03/06/2018	***-**-49IN - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR011680	BUY 1 Units @0.0000						
03/06/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	4.26	0.00	4.26	88.0	3.75
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
03/06/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	1.42	0.00	1.42	88.0	1.25
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
03/06/2018	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	1.95	0.00	1.95	88.0	1.72
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
03/06/2018	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
03/06/2018	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	7.61	0.00	7.61	88.0	6.70
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
03/06/2018	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	2.54	0.00	2.54	88.0	2.24
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						



COMMISSION STATEMENT

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DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/06/2018	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	6.09	0.00	6.09	88.0	5.36
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
03/06/2018	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	2.03	0.00	2.03	88.0	1.79
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
03/06/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	6.70	0.00	6.70	88.0	5.90
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
03/06/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	2.23	0.00	2.23	88.0	1.96
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
03/06/2018	***-**-914J - KALAMAS, SHIRLEY	RESOURCE REAL ESTATE-NFS	0.00	3.66	0.00	3.66	88.0	3.22
	ACCOUNT #: LSR010904	BUY 1 Units @0.0000						
03/06/2018	***-**-914J - KALAMAS, SHIRLEY	RESOURCE REAL ESTATE-NFS	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR010904	BUY 1 Units @0.0000						
03/06/2018	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	9.14	0.00	9.14	88.0	8.04
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
03/06/2018	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	3.05	0.00	3.05	88.0	2.68
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
03/06/2018	***-**-804I - RIEBEN, ANNE	RESOURCE REAL ESTATE-NFS	0.00	6.70	0.00	6.70	88.0	5.90
	ACCOUNT #: LSR010877	BUY 1 Units @0.0000						
03/06/2018	***-**-804I - RIEBEN, ANNE	RESOURCE REAL ESTATE-NFS	0.00	2.23	0.00	2.23	88.0	1.96
	ACCOUNT #: LSR010877	BUY 1 Units @0.0000						
03/06/2018	***-**-423I - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	6.70	0.00	6.70	88.0	5.90
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
03/06/2018	***-**-423I - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	2.23	0.00	2.23	88.0	1.96
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
03/06/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	9.14	0.00	9.14	88.0	8.04
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
03/06/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	3.05	0.00	3.05	88.0	2.68
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
03/06/2018	***-**-698J - FEISTHAMEL, MR	RESOURCE REAL ESTATE-NFS	0.00	7.87	0.00	7.87	88.0	6.93
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
03/06/2018	***-**-698J - FEISTHAMEL, MR	RESOURCE REAL ESTATE-NFS	0.00	2.62	0.00	2.62	88.0	2.31
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						



COMMISSION STATEMENT

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DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/06/2018	***-**-9010 - DRUMM, LOIS	RESOURCE REAL ESTATE-NFS	0.00	6.67	0.00	6.67	88.0	5.87
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
03/06/2018	***-**-9010 - DRUMM, LOIS	RESOURCE REAL ESTATE-NFS	0.00	2.22	0.00	2.22	88.0	1.95
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
03/06/2018	***-**-231J - MISHLANIE JR,	RESOURCE REAL ESTATE-NFS	0.00	4.30	0.00	4.30	88.0	3.78
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
03/06/2018	***-**-231J - MISHLANIE JR,	RESOURCE REAL ESTATE-NFS	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
03/06/2018	***-**-24TR - SCOTELLARO, L	RESOURCE REAL ESTATE-NFS	0.00	10.61	0.00	10.61	88.0	9.34
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
03/06/2018	***-**-24TR - SCOTELLARO, L	RESOURCE REAL ESTATE-NFS	0.00	3.54	0.00	3.54	88.0	3.12
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
03/06/2018	***-**-467I - PICKARD, BRIAN	RESOURCE REAL ESTATE-NFS	0.00	6.06	0.00	6.06	88.0	5.33
	ACCOUNT #: LSR010944	BUY 1 Units @0.0000						
03/06/2018	***-**-467I - PICKARD, BRIAN	RESOURCE REAL ESTATE-NFS	0.00	2.02	0.00	2.02	88.0	1.78
	ACCOUNT #: LSR010944	BUY 1 Units @0.0000						
03/06/2018	***-**-474J - HAGAN JR,	RESOURCE REAL ESTATE-NFS	0.00	9.09	0.00	9.09	88.0	8.00
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
03/06/2018	***-**-474J - HAGAN JR,	RESOURCE REAL ESTATE-NFS	0.00	3.03	0.00	3.03	88.0	2.67
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
03/06/2018	***-**-0770 - GAUTHIER, LOUIS	RESOURCE REAL ESTATE-NFS	0.00	6.06	0.00	6.06	88.0	5.33
	ACCOUNT #: LSR010905	BUY 1 Units @0.0000						
03/06/2018	***-**-0770 - GAUTHIER, LOUIS	RESOURCE REAL ESTATE-NFS	0.00	2.02	0.00	2.02	88.0	1.78
	ACCOUNT #: LSR010905	BUY 1 Units @0.0000						
03/06/2018	***-**-522J - RIEBEN, HENRY	RESOURCE REAL ESTATE-NFS	0.00	16.51	0.00	16.51	88.0	14.53
	ACCOUNT #: LSR010938	BUY 1 Units @0.0000						
03/06/2018	***-**-522J - RIEBEN, HENRY	RESOURCE REAL ESTATE-NFS	0.00	5.50	0.00	5.50	88.0	4.84
	ACCOUNT #: LSR010938	BUY 1 Units @0.0000						
03/06/2018	***-**-051R - HULL, JEFF	RESOURCE REAL ESTATE-NFS	0.00	3.93	0.00	3.93	88.0	3.46
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
03/06/2018	***-**-051R - HULL, JEFF	RESOURCE REAL ESTATE-NFS	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						



COMMISSION STATEMENT

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BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/06/2018	***-**-22IN - GRACIE, JULIA	RESOURCE REAL ESTATES-NFS	0.00	2.72	0.00	2.72	88.0	2.39
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
03/06/2018	***-**-22IN - GRACIE, JULIA	RESOURCE REAL ESTATES-NFS	0.00	2.75	0.00	2.75	88.0	2.42
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
03/06/2018	***-**-22IN - GRACIE, JULIA	RESOURCE REAL ESTATES-NFS	0.00	2.64	0.00	2.64	88.0	2.32
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	RTMT INCOME PORTFOLIO CONSERVATIVE-	0.00	8.85	0.00	8.85	88.0	7.79
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-595P - MUTH, MARIA	SMALLCAP WORLD FUND-529C	0.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00088943357	BUY 0 Units @0.0000						
03/01/2018	***-**-9156 - SIMPSON, PATRICK	SMALLCAP WORLD FUND-A	0.00	11.87	0.00	11.87	88.0	10.45
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
03/01/2018	***-**-5485 - GAETANO,	SMALLCAP WORLD FUND-A	0.00	3.19	0.00	3.19	88.0	2.81
	ACCOUNT #: 00082975488	BUY 0 Units @0.0000						
03/01/2018	***-**-0040 - GRIFFITH,	SMALLCAP WORLD FUND-A	0.00	3.87	0.00	3.87	88.0	3.41
	ACCOUNT #: 00083176630	BUY 0 Units @0.0000						
03/01/2018	***-**-968I - THIBAUT JR,	SMALLCAP WORLD FUND-A	0.00	2.51	0.00	2.51	88.0	2.21
	ACCOUNT #: 00064875131	BUY 0 Units @0.0000						
03/01/2018	***-**-36IN - GAUTHIER,	SMALLCAP WORLD FUND-A	0.00	8.96	0.00	8.96	88.0	7.88
	ACCOUNT #: 00068814424	BUY 0 Units @0.0000						
03/01/2018	***-**-26IR - BROWN, MARISSA	SMALLCAP WORLD FUND-A	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: 00081497402	BUY 0 Units @0.0000						
03/01/2018	***-**-25IR - REDMOND, SEAN	SMALLCAP WORLD FUND-A	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: 00088078685	BUY 0 Units @0.0000						
03/01/2018	***-**-90IN - SPINA, MARK	SMALLCAP WORLD FUND-C	0.00	8.09	0.00	8.09	88.0	7.12
	ACCOUNT #: 00088527332	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	SMALLCAP WORLD FUND-C	0.00	10.96	0.00	10.96	88.0	9.64
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-60IN - SCHRADER, KEVIN	SMALLCAP WORLD FUND-C	0.00	9.54	0.00	9.54	88.0	8.40
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						
03/01/2018	***-**-953I - DINITTO, NICOLE	SMALLCAP WORLD FUND-C	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: 00088593891	BUY 0 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-04IN - CLEARY, STEPHEN	SMALLCAP WORLD FUND-C	0.00	3.74	0.00	3.74	88.0	3.29
	ACCOUNT #: 00088608566	BUY 0 Units @0.0000						
03/01/2018	***-**-58IN - SCHRECK, RYAN	SMALLCAP WORLD FUND-C	0.00	3.60	0.00	3.60	88.0	3.17
	ACCOUNT #: 00088659742	BUY 0 Units @0.0000						
03/01/2018	***-**-817I - WADSWORTH,	THE BOND FUND OF AMERICA-A	0.00	4.54	0.00	4.54	88.0	4.00
	ACCOUNT #: 00067441742	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	THE BOND FUND OF AMERICA-C	0.00	7.29	0.00	7.29	88.0	6.42
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	THE GROWTH FUND OF AMERICA-529C	0.00	5.19	0.00	5.19	88.0	4.57
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	THE GROWTH FUND OF AMERICA-529C	0.00	2.34	0.00	2.34	88.0	2.06
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
03/01/2018	***-**-5485 - GAETANO,	THE GROWTH FUND OF AMERICA-A	0.00	2.62	0.00	2.62	88.0	2.31
	ACCOUNT #: 00082975488	BUY 0 Units @0.0000						
03/01/2018	***-**-004O - GRIFFITH,	THE GROWTH FUND OF AMERICA-A	0.00	2.26	0.00	2.26	88.0	1.99
	ACCOUNT #: 00083176630	BUY 0 Units @0.0000						
03/01/2018	***-**-968I - THIBAUT JR,	THE GROWTH FUND OF AMERICA-A	0.00	2.17	0.00	2.17	88.0	1.91
	ACCOUNT #: 00064875131	BUY 0 Units @0.0000						
03/01/2018	***-**-817I - WADSWORTH,	THE GROWTH FUND OF AMERICA-A	0.00	10.46	0.00	10.46	88.0	9.20
	ACCOUNT #: 00067441742	BUY 0 Units @0.0000						
03/01/2018	***-**-225P - DAMSKY, CYNTHIA	THE GROWTH FUND OF AMERICA-A	0.00	2.57	0.00	2.57	88.0	2.26
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
03/01/2018	***-**-36IN - GAUTHIER,	THE GROWTH FUND OF AMERICA-A	0.00	7.96	0.00	7.96	88.0	7.00
	ACCOUNT #: 00068814424	BUY 0 Units @0.0000						
03/01/2018	***-**-25IR - REDMOND, SEAN	THE GROWTH FUND OF AMERICA-A	0.00	2.85	0.00	2.85	88.0	2.51
	ACCOUNT #: 00088078685	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	THE INCOME FUND OF AMERICA-529C	0.00	6.81	0.00	6.81	88.0	5.99
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
03/01/2018	***-**-675P - PICKARD, BRIAN	THE INCOME FUND OF AMERICA-529C	0.00	5.71	0.00	5.71	88.0	5.02
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
03/01/2018	***-**-595P - MUTH, MARIA	THE INCOME FUND OF AMERICA-529C	0.00	5.90	0.00	5.90	88.0	5.19
	ACCOUNT #: 00088943357	BUY 0 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-64IN - KIO, EVELYN	THE INCOME FUND OF AMERICA-A	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: 00067349392	BUY 0 Units @0.0000						
03/01/2018	***-**-225P - DAMSKY, CYNTHIA	THE INCOME FUND OF AMERICA-A	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
03/01/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	0.00	20.32	0.00	20.32	88.0	17.88
	ACCOUNT #: 00087147439	BUY 0 Units @0.0000						
03/01/2018	***-**-716I - BUCZEK, DENISE	THE INCOME FUND OF AMERICA-A	0.00	3.97	0.00	3.97	88.0	3.49
	ACCOUNT #: 00088176764	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	THE INCOME FUND OF AMERICA-F1	0.00	1.97	0.00	1.97	88.0	1.73
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-58IN - CADY, GAIL	THE INVESTMENT COMPANY OF AMERICA-A	0.00	2.73	0.00	2.73	88.0	2.40
	ACCOUNT #: 00064492350	BUY 0 Units @0.0000						
03/01/2018	***-**-3429 - ALOISIO, NATHAN	THE INVESTMENT COMPANY OF AMERICA-A	0.00	2.41	0.00	2.41	88.0	2.12
	ACCOUNT #: 00084955932	BUY 0 Units @0.0000						
03/01/2018	***-**-9156 - SIMPSON, PATRICK	THE NEW ECONOMY FUND-A	0.00	9.29	0.00	9.29	88.0	8.18
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	THE NEW ECONOMY FUND-A	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-244I - BURTON, RICHARD	THE NEW ECONOMY FUND-C	0.00	13.18	0.00	13.18	88.0	11.60
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
03/01/2018	***-**-64IN - KIO, EVELYN	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: 00067349392	BUY 0 Units @0.0000						
03/01/2018	***-**-39IN - CLEARY, KAREN	U.S. GOVERNMENT SECURITIES FUND-C	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: 00088635688	BUY 0 Units @0.0000						
03/01/2018	***-**-0040 - GRIFFITH,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	5.50	0.00	5.50	88.0	4.84
	ACCOUNT #: 00083176630	BUY 0 Units @0.0000						
03/01/2018	***-**-817I - WADSWORTH,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	17.56	0.00	17.56	88.0	15.45
	ACCOUNT #: 00067441742	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$617.87	\$1,716.84	\$0.00	\$1,716.84		\$1,510.82



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
03/12/2018	***-**-0770 - GAUTHIER, LOUIS	MASS MUTUAL VA TRAILS	0.00	4.42	0.00	4.42	88.0	3.89
	ACCOUNT #: 828693	BUY 1 Units @0.0000						
	* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *		\$0.00	\$4.42	\$0.00	\$4.42		\$3.89
	*** BROKER TRANSACTIONS TOTAL ***		\$12,329.07	\$1,931.92	\$93.00	\$1,838.92		\$1,618.25

OVERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

03/01/2018	***-**-72TD - GAVALO, JULIE	AF SHORT-TERM TAX-EXEMPT BOND FUND-	0.00	6.66	0.00	6.66	88.0	5.86
	ACCOUNT #: 00087169935	BUY 0 Units @0.0000						
03/12/2018	***-**-71IO - FAMOLARO, JAMES	AIM GLOBAL VALUE FUND - CLASS A	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
03/12/2018	***-**-306X - COBB, CHERRYL	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
03/12/2018	***-**-580X - COBB, JAMES	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
03/12/2018	***-**-8370 - BASEMENT	AIM GOLD & PRECIOUS METALS FD - A	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
03/01/2018	***-**-169I - EVANS, PAUL	AMCAP FUND-C	0.00	6.43	0.00	6.43	88.0	5.66
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
03/01/2018	***-**-72IN - GAVALO, JULIE	AMERICAN BALANCED FUND-529E	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: 00068530007	BUY 0 Units @0.0000						
03/01/2018	***-**-72IN - GAVALO, JULIE	AMERICAN BALANCED FUND-529E	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: 00068530008	BUY 0 Units @0.0000						
03/01/2018	***-**-72IN - GAVALO, JULIE	AMERICAN BALANCED FUND-529E	0.00	5.22	0.00	5.22	88.0	4.59
	ACCOUNT #: 00068530009	BUY 0 Units @0.0000						
03/01/2018	***-**-755P - SHEPPARD,	AMERICAN BALANCED FUND-A	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	AMERICAN BALANCED FUND-A	0.00	5.52	0.00	5.52	88.0	4.86
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: 00073288662	BUY 0 Units @0.0000						



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DAVID GRIFFITH
2108 Genesee St.
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
03/01/2018	***-**-81IR - CAMPBELL, ACCOUNT #: 00073375822	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	6.70	0.00	6.70	88.0	5.90
03/01/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 00074234451	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	3.55	0.00	3.55	88.0	3.12
03/01/2018	***-**-643I - PELLETIER, MARY ACCOUNT #: 00083385810	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	4.93	0.00	4.93	88.0	4.34
03/01/2018	***-**-265J - MEEKINS, TIMOTHY ACCOUNT #: 00083811335	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	1.09	0.00	1.09	88.0	0.96
03/01/2018	***-**-901I - SATTERLY, ANN ACCOUNT #: 00084301189	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.53	0.00	0.53	88.0	0.47
03/01/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: 00084301242	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.85	0.00	0.85	88.0	0.75
03/01/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56
03/01/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	AMERICAN BALANCED FUND-C BUY 0 Units @0.0000	0.00	5.79	0.00	5.79	88.0	5.10
03/01/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00083849497	AMERICAN FUNDS 45956T808 BUY 0 Units @0.0000	0.00	5.45	0.00	5.45	88.0	4.80
03/01/2018	***-**-0851 - LALLIER, JAMES ACCOUNT #: 00068584532	AMERICAN FUNDS BALANCED PORT CL C BUY 0 Units @0.0000	0.00	34.18	0.00	34.18	88.0	30.08
03/01/2018	***-**-78IR - FALES, JOAN ACCOUNT #: 00088082227	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 0 Units @0.0000	0.00	4.69	0.00	4.69	88.0	4.13
03/01/2018	***-**-0851 - LALLIER, JAMES ACCOUNT #: 00068584532	AMERICAN FUNDS GLBL GROWTH PORT CL BUY 0 Units @0.0000	0.00	5.96	0.00	5.96	88.0	5.24
03/05/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	AMERICAN GLOBAL BALANCED CL C BUY 307 Units @32.6200	9,999.99	100.00	0.00	100.00	88.0	88.00
03/01/2018	***-**-72TD - GAVALO, JULIE ACCOUNT #: 00087169935	AMERICAN HIGH-INCOME MUNI BOND FUND BUY 0 Units @0.0000	0.00	13.36	0.00	13.36	88.0	11.76
03/01/2018	***-**-072I - GAVALO, JULIE ACCOUNT #: 00087112294	AMERICAN HIGH-INCOME TRUST-A BUY 0 Units @0.0000	0.00	19.31	0.00	19.31	88.0	16.99
03/01/2018	***-**-81IR - CAMPBELL, ACCOUNT #: 00073375822	AMERICAN HIGH-INCOME TRUST-A BUY 0 Units @0.0000	0.00	4.15	0.00	4.15	88.0	3.65



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/01/2018	***-**-20JT - KOICHEM, DENISE	AMERICAN HIGH-INCOME TRUST-A	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
03/01/2018	***-**-72IN - GAVALO, JULIE	AMERICAN MUTUAL FUND-529E	0.00	5.49	0.00	5.49	88.0	4.83
	ACCOUNT #: 00068530009	BUY 0 Units @0.0000						
03/01/2018	***-**-072I - GAVALO, JULIE	AMERICAN MUTUAL FUND-A	0.00	10.47	0.00	10.47	88.0	9.21
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
03/01/2018	***-**-20JT - KOICHEM, DENISE	AMERICAN MUTUAL FUND-A	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
03/05/2018	***-**-31IO - JOSEPH, ANN	BERKSHIRE HATHAWAY INC DEL CL B NEW	10,145.00	101.52	0.00	101.52	88.0	89.34
	ACCOUNT #: LSR012337	BUY 50 Units @202.9000						
03/01/2018	***-**-0851 - LALLIER, JAMES	CAPITAL INCOME BUILDER CLASS C	0.00	33.30	0.00	33.30	88.0	29.30
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						
03/01/2018	***-**-755P - SHEPPARD,	CAPITAL INCOME BUILDER-529A	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: 00084018452	BUY 0 Units @0.0000						
03/01/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL INCOME BUILDER-A	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	CAPITAL INCOME BUILDER-A	0.00	3.28	0.00	3.28	88.0	2.89
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-072I - GAVALO, JULIE	CAPITAL INCOME BUILDER-A	0.00	21.75	0.00	21.75	88.0	19.14
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
03/01/2018	***-**-72RI - GAVALO, JULIE	CAPITAL INCOME BUILDER-A	0.00	10.35	0.00	10.35	88.0	9.11
	ACCOUNT #: 00087231055	BUY 0 Units @0.0000						
03/01/2018	***-**-8158 - BEHA, DEBORAH	CAPITAL INCOME BUILDER-A	0.00	3.79	0.00	3.79	88.0	3.34
	ACCOUNT #: 00058770149	BUY 0 Units @0.0000						
03/01/2018	***-**-0851 - LALLIER, JAMES	CAPITAL INCOME BUILDER-A	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	CAPITAL INCOME BUILDER-A	0.00	4.46	0.00	4.46	88.0	3.92
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
03/01/2018	***-**-86IR - MEEKINS, LISA	CAPITAL INCOME BUILDER-A	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
03/01/2018	***-**-265I - MEEKINS, TIMOTHY	CAPITAL INCOME BUILDER-A	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/01/2018	***-**-265J - MEEKINS, TIMOTHY	CAPITAL INCOME BUILDER-A	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
03/01/2018	***-**-443I - LATUS, FREDERICK	CAPITAL INCOME BUILDER-A	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
03/01/2018	***-**-20JT - KOCHER, DENISE	CAPITAL INCOME BUILDER-A	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
03/01/2018	***-**-5375 - CARTER, LISA	CAPITAL INCOME BUILDER-A	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						
03/01/2018	***-**-901I - SATTERLY, ANN	CAPITAL INCOME BUILDER-A	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 00084301189	BUY 0 Units @0.0000						
03/01/2018	***-**-382I - SATTERLY, NEIL	CAPITAL INCOME BUILDER-A	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	CAPITAL INCOME BUILDER-A	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-094I - KATRENA L	CAPITAL INCOME BUILDER-A	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	CAPITAL WORLD BOND FUND-A	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-072I - GAVALO, JULIE	CAPITAL WORLD BOND FUND-A	0.00	3.55	0.00	3.55	88.0	3.12
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
03/01/2018	***-**-8158 - BEHA, DEBORAH	CAPITAL WORLD BOND FUND-A	0.00	1.90	0.00	1.90	88.0	1.67
	ACCOUNT #: 00058770149	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	CAPITAL WORLD BOND FUND-A	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
03/01/2018	***-**-265J - MEEKINS, TIMOTHY	CAPITAL WORLD BOND FUND-A	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
03/01/2018	***-**-094I - KATRENA L	CAPITAL WORLD BOND FUND-A	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	CAPITAL WORLD BOND FUND-C	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
03/01/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: 00083510637	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/01/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: 00083510745	BUY 0 Units @0.0000						
03/01/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
03/01/2018	***-**-755P - SHEPPARD,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.75	0.00	2.75	88.0	2.42
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						
03/01/2018	***-**-20IN - DEMETRI, AMELIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 00085948151	BUY 0 Units @0.0000						
03/01/2018	***-**-18IR - MEEKINS, KAIDEN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: 00087145992	BUY 0 Units @0.0000						
03/01/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	24.48	0.00	24.48	88.0	21.54
	ACCOUNT #: 00083510637	BUY 0 Units @0.0000						
03/01/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	24.48	0.00	24.48	88.0	21.54
	ACCOUNT #: 00083510745	BUY 0 Units @0.0000						
03/01/2018	***-**-18IR - MEEKINS, KAIDEN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.92	0.00	3.92	88.0	3.45
	ACCOUNT #: 00087145992	BUY 0 Units @0.0000						
03/01/2018	***-**-20IR - DEMETRI, AMELIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	4.06	0.00	4.06	88.0	3.57
	ACCOUNT #: 00074234451	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.64	0.00	3.64	88.0	3.20
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
03/01/2018	***-**-86IR - MEEKINS, LISA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
03/01/2018	***-**-265I - MEEKINS, TIMOTHY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
03/01/2018	***-**-443I - LATUS, FREDERICK	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
03/01/2018	***-**-20JT - KOCHER, DENISE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	4.03	0.00	4.03	88.0	3.55
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
03/01/2018	***-**-5375 - CARTER, LISA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/01/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
03/01/2018	***-**-094I - KATRENA L ACCOUNT #: 00084459807	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	0.62	0.00	0.62	88.0	0.55
03/01/2018	***-**-643I - PELLETIER, MARY ACCOUNT #: 00083385757	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05
03/01/2018	***-**-86IR - MEEKINS, LISA ACCOUNT #: 00083811211	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
03/01/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	9.42	0.00	9.42	88.0	8.29
03/01/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: 00084301242	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	29.62	0.00	29.62	88.0	26.07
03/01/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	0.86	0.00	0.86	88.0	0.76
03/01/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086418	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	6.66	0.00	6.66	88.0	5.86
03/01/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086546	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	6.66	0.00	6.66	88.0	5.86
03/01/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00083849497	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	0.85	0.00	0.85	88.0	0.75
03/01/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086418	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	3.19	0.00	3.19	88.0	2.81
03/01/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086546	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	3.19	0.00	3.19	88.0	2.81
03/01/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00083849497	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	2.42	0.00	2.42	88.0	2.13
03/01/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: 00068530007	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	8.01	0.00	8.01	88.0	7.05
03/01/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	EUROPACIFIC GROWTH FUND CLASS C BUY 0 Units @0.0000	0.00	5.37	0.00	5.37	88.0	4.73
03/01/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: 00068530008	EUROPACIFIC GROWTH FUND-529E BUY 0 Units @0.0000	0.00	7.00	0.00	7.00	88.0	6.16



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/01/2018	***-**-169I - EVANS, PAUL ACCOUNT #: 00083808354	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	3.02	0.00	3.02	88.0	2.66
03/01/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: 00083609136	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	5.40	0.00	5.40	88.0	4.75
03/01/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	0.40	0.00	0.40	88.0	0.35
03/01/2018	***-**-094I - KATRENA L ACCOUNT #: 00084459807	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
03/01/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086418	FUNDAMENTAL INVESTORS-529A BUY 0 Units @0.0000	0.00	1.46	0.00	1.46	88.0	1.28
03/01/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086546	FUNDAMENTAL INVESTORS-529A BUY 0 Units @0.0000	0.00	1.46	0.00	1.46	88.0	1.28
03/01/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086418	FUNDAMENTAL INVESTORS-529C BUY 0 Units @0.0000	0.00	10.94	0.00	10.94	88.0	9.63
03/01/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086546	FUNDAMENTAL INVESTORS-529C BUY 0 Units @0.0000	0.00	10.94	0.00	10.94	88.0	9.63
03/01/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00083849497	FUNDAMENTAL INVESTORS-529C BUY 0 Units @0.0000	0.00	3.89	0.00	3.89	88.0	3.42
03/01/2018	***-**-2855 - KRECIDLO, MARTA ACCOUNT #: 00083946447	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	1.20	0.00	1.20	88.0	1.06
03/01/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084218264	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	3.73	0.00	3.73	88.0	3.28
03/01/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	5.97	0.00	5.97	88.0	5.25
03/01/2018	***-**-20IN - DEMETRI, AMELIA ACCOUNT #: 00085948151	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
03/01/2018	***-**-072I - GAVALO, JULIE ACCOUNT #: 00087112294	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	11.37	0.00	11.37	88.0	10.01
03/01/2018	***-**-8901 - GURDO, ANTHONY ACCOUNT #: 00087491111	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
03/01/2018	***-**-8158 - BEHA, DEBORAH ACCOUNT #: 00058770149	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	7.55	0.00	7.55	88.0	6.64



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/01/2018	***-**-0851 - LALLIER, JAMES	FUNDAMENTAL INVESTORS-A	0.00	3.15	0.00	3.15	88.0	2.77
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	FUNDAMENTAL INVESTORS-A	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	FUNDAMENTAL INVESTORS-A	0.00	6.07	0.00	6.07	88.0	5.34
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
03/01/2018	***-**-86IR - MEEKINS, LISA	FUNDAMENTAL INVESTORS-A	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
03/01/2018	***-**-265I - MEEKINS, TIMOTHY	FUNDAMENTAL INVESTORS-A	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
03/01/2018	***-**-265J - MEEKINS, TIMOTHY	FUNDAMENTAL INVESTORS-A	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
03/01/2018	***-**-443I - LATUS, FREDERICK	FUNDAMENTAL INVESTORS-A	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
03/01/2018	***-**-20JT - KOCHEM, DENISE	FUNDAMENTAL INVESTORS-A	0.00	2.63	0.00	2.63	88.0	2.31
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
03/01/2018	***-**-5375 - CARTER, LISA	FUNDAMENTAL INVESTORS-A	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						
03/01/2018	***-**-382I - SATTERLY, NEIL	FUNDAMENTAL INVESTORS-A	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	FUNDAMENTAL INVESTORS-A	0.00	1.70	0.00	1.70	88.0	1.50
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-094I - KATRENA L	FUNDAMENTAL INVESTORS-A	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						
02/26/2018	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 00087491111	BUY 2 Units @64.5400						
03/01/2018	***-**-169I - EVANS, PAUL	FUNDAMENTAL INVESTORS-C	0.00	6.32	0.00	6.32	88.0	5.56
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
03/01/2018	***-**-18IR - MEEKINS, KAIDEN	FUNDAMENTAL INVESTORS-C	0.00	2.85	0.00	2.85	88.0	2.51
	ACCOUNT #: 00087145992	BUY 0 Units @0.0000						
03/01/2018	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C	0.00	22.49	0.00	22.49	88.0	19.79
	ACCOUNT #: 00087491111	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/01/2018	***-**-0851 - LALLIER, JAMES	FUNDAMENTAL INVESTORS-C	0.00	55.08	0.00	55.08	88.0	48.47
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	FUNDAMENTAL INVESTORS-C	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
03/01/2018	***-**-265J - MEEKINS, TIMOTHY	FUNDAMENTAL INVESTORS-C	0.00	14.39	0.00	14.39	88.0	12.66
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
03/01/2018	***-**-680I - HARRELL, DARYL	FUNDAMENTAL INVESTORS-C	0.00	12.12	0.00	12.12	88.0	10.67
	ACCOUNT #: 00083996385	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	FUNDAMENTAL INVESTORS-C	0.00	6.50	0.00	6.50	88.0	5.72
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-84IN - WARMUTH, ERIC	GLOBAL BALANCED FUND-529A	0.00	3.39	0.00	3.39	88.0	2.98
	ACCOUNT #: 00075086418	BUY 0 Units @0.0000						
03/01/2018	***-**-84IN - WARMUTH, ERIC	GLOBAL BALANCED FUND-529A	0.00	3.39	0.00	3.39	88.0	2.98
	ACCOUNT #: 00075086546	BUY 0 Units @0.0000						
02/06/2018	***-**-11IN - MCCARTHY, LYNN	GWG L BOND - 5 YR	15,000.00	885.00	0.00	885.00	88.0	778.80
		BUY 15 Units @1000.0000						
02/06/2018	***-**-11IN - MCCARTHY, LYNN	GWG PREFERRED STOCK	10,000.00	660.00	0.00	660.00	88.0	580.80
		BUY 10 Units @1000.0000						
03/01/2018	***-**-0851 - LALLIER, JAMES	INCOME FUND OF AMERICA CLASS C	0.00	27.47	0.00	27.47	88.0	24.17
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						
03/05/2018	***-**-31IO - JOSEPH, ANN	INCOME FUND OF AMERICA CLASS C	7,500.00	75.00	0.00	75.00	88.0	66.00
	ACCOUNT #: LSR012337	BUY 329 Units @22.7800						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-8158 - BEHA, DEBORAH	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: 00058770149	BUY 0 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	INTERNATIONAL GROWTH AND INCOME-A	0.00	3.20	0.00	3.20	88.0	2.82
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-072I - GAVALO, JULIE	INTERNATIONAL GROWTH AND INCOME-A	0.00	12.14	0.00	12.14	88.0	10.68
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
03/01/2018	***-**-8901 - GURDO, ANTHONY	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 00087491111	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/01/2018	***-**-8158 - BEHA, DEBORAH ACCOUNT #: 00058770149	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	5.07	0.00	5.07	88.0	4.46
03/01/2018	***-**-0851 - LALLIER, JAMES ACCOUNT #: 00068584532	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	1.87	0.00	1.87	88.0	1.65
03/01/2018	***-**-901I - SATTERLY, ANN ACCOUNT #: 00084301189	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	0.43	0.00	0.43	88.0	0.38
03/01/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: 00084301242	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
03/01/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62
03/01/2018	***-**-094I - KATRENA L ACCOUNT #: 00084459807	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
03/01/2018	***-**-0851 - LALLIER, JAMES ACCOUNT #: 00068584532	INTERNATIONAL GROWTH AND INCOME-C BUY 0 Units @0.0000	0.00	36.13	0.00	36.13	88.0	31.79
03/01/2018	***-**-265J - MEEKINS, TIMOTHY ACCOUNT #: 00083811335	INTERNATIONAL GROWTH AND INCOME-C BUY 0 Units @0.0000	0.00	7.30	0.00	7.30	88.0	6.42
03/01/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	INTERNATIONAL GROWTH AND INCOME-C BUY 0 Units @0.0000	0.00	4.26	0.00	4.26	88.0	3.75
03/12/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	INVESCO VAN KAMPEN COMSTOCK CLASS A BUY 1 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
03/12/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	INVESCO VAN KAMPEN EQUITY AND INCOM BUY 1 Units @0.0000	0.00	0.38	0.00	0.38	88.0	0.33
03/12/2018	***-**-632I - LOWE, PAMELA ACCOUNT #: LSR012397	IVK SENIOR LOAN FUND - CLASS IB BUY 1 Units @0.0000	0.00	0.89	0.00	0.89	88.0	0.78
03/01/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	LIMITED TERM TAX- EXEMPT BOND FUND BUY 0 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
03/01/2018	***-**-72TD - GAVALO, JULIE ACCOUNT #: 00087169935	LIMITED TERM TAX- EXEMPT BOND FUND BUY 0 Units @0.0000	0.00	11.54	0.00	11.54	88.0	10.16
03/12/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	MFS ABSOLUTE RETURN FUND CLASS C BUY 1 Units @0.0000	0.00	3.01	0.00	3.01	88.0	2.65
03/12/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS AGGRESSIVE GROWTH ALLOCATION FD BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
03/12/2018	***-**-13IN - ROTH, KAREN ACCOUNT #: LSR011954	MFS BLENDED RESEARCH CORE EQUITY FD BUY 1 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05
03/05/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	MFS CONSERVATIVE ALLOCATION CL C BUY 656 Units @15.2500	10,000.00	100.00	0.00	100.00	88.0	88.00
03/12/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	8.78	0.00	8.78	88.0	7.73
03/12/2018	***-**-901I - SATTERLY, ANN ACCOUNT #: LSR010874	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	8.71	0.00	8.71	88.0	7.66
03/12/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	3.94	0.00	3.94	88.0	3.47
03/12/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	16.67	0.00	16.67	88.0	14.67
03/12/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	4.09	0.00	4.09	88.0	3.60
03/12/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	15.84	0.00	15.84	88.0	13.94
03/12/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	15.58	0.00	15.58	88.0	13.71
03/12/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	8.03	0.00	8.03	88.0	7.07
03/12/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	5.68	0.00	5.68	88.0	5.00
03/12/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	8.80	0.00	8.80	88.0	7.74
03/12/2018	***-**-837O - BASEMENT ACCOUNT #: LSR011046	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	4.47	0.00	4.47	88.0	3.93
03/12/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	13.53	0.00	13.53	88.0	11.91
03/12/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	16.27	0.00	16.27	88.0	14.32
03/12/2018	***-**-900J - LEE, MR. ACCOUNT #: LSR011186	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	3.93	0.00	3.93	88.0	3.46



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/12/2018	***-**-06IR - CAMPBELL, PAMELA	MFS CONSERVATIVE ALLOCATION CL C	0.00	5.88	0.00	5.88	88.0	5.17
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
03/12/2018	***-**-11IO - LYNN G.	MFS CONSERVATIVE ALLOCATION CL C	0.00	12.85	0.00	12.85	88.0	11.31
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/12/2018	***-**-80IO - EVANS, RICHARD	MFS CONSERVATIVE ALLOCATION CL C	0.00	8.79	0.00	8.79	88.0	7.74
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
03/12/2018	***-**-376I - BERBEN, GAIL	MFS CONSERVATIVE ALLOCATION CL C	0.00	12.83	0.00	12.83	88.0	11.29
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
03/12/2018	***-**-45IO - JOHNSON, GREGORY	MFS CONSERVATIVE ALLOCATION CL C	0.00	20.00	0.00	20.00	88.0	17.60
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/12/2018	***-**-14IO - BUSHEY, MATTHEW	MFS CONSERVATIVE ALLOCATION CL C	0.00	8.52	0.00	8.52	88.0	7.50
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
03/12/2018	***-**-37IO - MCCLUSKY, MARK	MFS CONSERVATIVE ALLOCATION CL C	0.00	7.07	0.00	7.07	88.0	6.22
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
03/12/2018	***-**-99IN - EDELMAN, TINA	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
03/12/2018	***-**-28IN - BYWATER, KIM	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
03/12/2018	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-A	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/12/2018	***-**-254I - AUGUSTINE, LINDA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/12/2018	***-**-15IN - PENDRAK, JOHN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.97	0.00	1.97	88.0	1.73
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/12/2018	***-**-960J - MASTRANGELO,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	5.06	0.00	5.06	88.0	4.45
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
03/12/2018	***-**-51IO - CAIN, TIMOTHY	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.39	0.00	2.39	88.0	2.10
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/12/2018	***-**-761I - EVANS, DOLORES	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.91	0.00	1.91	88.0	1.68
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/12/2018	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/12/2018	***-**-326J - GRANDE, MR	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - RHYMESTINE,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.94	0.00	0.94	88.0	0.83
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
03/12/2018	***-**-367J - WAGNER, MRS LANT	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
03/12/2018	***-**-992J - CORNACCHIA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - WILLIAMSON, FBO	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	3.59	0.00	3.59	88.0	3.16
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/12/2018	***-**-64IO - PFAFF, GEORGE	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/12/2018	***-**-448X - ANACKER, SUSAN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: LSR011578	BUY 1 Units @0.0000						
03/12/2018	***-**-382K - SATTERLY, NEIL	MFS DIVERSIFIED INCOME FD CL C	0.00	4.14	0.00	4.14	88.0	3.64
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
03/12/2018	***-**-980I - ACEE, ELIZABETH	MFS DIVERSIFIED INCOME FD CL C	0.00	8.31	0.00	8.31	88.0	7.31
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
03/12/2018	***-**-72IN - GAVALO, JULIE	MFS DIVERSIFIED INCOME FD CL C	0.00	15.09	0.00	15.09	88.0	13.28
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/12/2018	***-**-73TR - WESTCOTT IRRVOC	MFS DIVERSIFIED INCOME FD CL C	0.00	11.74	0.00	11.74	88.0	10.33
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
03/12/2018	***-**-132O - EVANS, THOMAS	MFS DIVERSIFIED INCOME FD CL C	0.00	7.47	0.00	7.47	88.0	6.57
	ACCOUNT #: LSR011074	BUY 1 Units @0.0000						
03/12/2018	***-**-44IO - MAYO, DEBORAH	MFS DIVERSIFIED INCOME FD CL C	0.00	15.78	0.00	15.78	88.0	13.89
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/12/2018	***-**-579J - RHYMESTINE,	MFS DIVERSIFIED INCOME FD CL C	0.00	21.49	0.00	21.49	88.0	18.91
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
03/12/2018	***-**-09IO - BATES, FBO MRS	MFS DIVERSIFIED INCOME FD CL C	0.00	12.87	0.00	12.87	88.0	11.33
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/12/2018	***-**-89IN - LEE, ROGER	MFS DIVERSIFIED INCOME FD CL C	0.00	5.35	0.00	5.35	88.0	4.71
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/12/2018	***-**-64IO - PFAFF, GEORGE	MFS DIVERSIFIED INCOME FD CL C	0.00	5.33	0.00	5.33	88.0	4.69
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/12/2018	***-**-439J - MCCARTHY, JAMES	MFS DIVERSIFIED INCOME FD CL C	0.00	2.83	0.00	2.83	88.0	2.49
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						
03/12/2018	***-**-52IO - EUSEPI, SUSAN	MFS DIVERSIFIED INCOME FD CL C	0.00	5.61	0.00	5.61	88.0	4.94
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
03/12/2018	***-**-81IR - CAMPBELL,	MFS DIVERSIFIED INCOME FD CL C	0.00	5.41	0.00	5.41	88.0	4.76
	ACCOUNT #: LSR011223	BUY 1 Units @0.0000						
03/12/2018	***-**-439I - MCCARTHY, JAMES	MFS DIVERSIFIED INCOME FD CL C	0.00	2.02	0.00	2.02	88.0	1.78
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						
03/12/2018	***-**-376I - BERBEN, GAIL	MFS DIVERSIFIED INCOME FD CL C	0.00	8.29	0.00	8.29	88.0	7.30
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
03/12/2018	***-**-45IO - JOHNSON, GREGORY	MFS DIVERSIFIED INCOME FD CL C	0.00	12.56	0.00	12.56	88.0	11.05
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/12/2018	***-**-14IO - BUSHEY, MATTHEW	MFS DIVERSIFIED INCOME FD CL C	0.00	12.36	0.00	12.36	88.0	10.88
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
03/12/2018	***-**-37IO - MCCLUSKY, MARK	MFS DIVERSIFIED INCOME FD CL C	0.00	4.55	0.00	4.55	88.0	4.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
03/12/2018	***-**-35IN - RUGGIERO, LAURIE	MFS DIVERSIFIED INCOME FD CL C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR012314	BUY 1 Units @0.0000						
03/05/2018	***-**-75IR - EVANS, DIANE	MFS EMERGING GROWTH FUND-B	4,250.02	170.00	0.00	170.00	88.0	149.60
	ACCOUNT #: LSR011275	BUY 54 Units @78.6400						
03/12/2018	***-**-24IN - BLISS, RYAN	MFS EMERGING GROWTH FUND-B	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
02/28/2018	***-**-13IN - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191178476	BUY 2 Units @33.3200						
03/12/2018	***-**-88II - EBERLEY, SUSAN	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
03/12/2018	***-**-960J - MASTRANGELO,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
03/12/2018	***-**-761I - EVANS, DOLORES	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/12/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	88.0	0.63
03/12/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000	0.00	1.31	0.00	1.31	88.0	1.15
03/12/2018	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.21	0.00	0.21	88.0	0.18
02/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 3 Units @14.8200	50.00	2.00	0.00	2.00	88.0	1.76
03/12/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86
03/12/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.75	0.00	0.75	88.0	0.66
03/12/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
03/12/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.12	0.00	1.12	88.0	0.99
03/12/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54
03/12/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.21	0.00	1.21	88.0	1.06
03/12/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	88.0	0.94
03/12/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
03/12/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
03/12/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	88.0	1.06
03/12/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
03/12/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/12/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS EMERGING MKTS DEBT CLASS C BUY 1 Units @0.0000	0.00	0.28	0.00	0.28	88.0	0.25
03/12/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS EQUITY OPPORTUNITIES CL B BUY 1 Units @0.0000	0.00	1.54	0.00	1.54	88.0	1.36
03/12/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS GLOBAL ALTERNATIVE STRAT A BUY 1 Units @0.0000	0.00	0.58	0.00	0.58	88.0	0.51
03/12/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS GLOBAL ALTERNATIVE STRAT B BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	88.0	0.35
03/12/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	5.89	0.00	5.89	88.0	5.18
03/12/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	13.25	0.00	13.25	88.0	11.66
03/12/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	12.77	0.00	12.77	88.0	11.24
03/12/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	6.83	0.00	6.83	88.0	6.01
03/12/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	11.62	0.00	11.62	88.0	10.23
03/12/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	15.81	0.00	15.81	88.0	13.91
03/12/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	9.72	0.00	9.72	88.0	8.55
03/12/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	11.87	0.00	11.87	88.0	10.45
03/12/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	MFS GLOBAL BOND FUND CLASS C BUY 1 Units @0.0000	0.00	3.20	0.00	3.20	88.0	2.82
03/12/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
03/12/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
03/12/2018	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/12/2018	***-**-21IO - RADELL, SANDRA	MFS GLOBAL REAL ESTATE FUND CL B	0.00	1.42	0.00	1.42	88.0	1.25
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
03/12/2018	***-**-53IN - EVANS, ANDREW	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
03/12/2018	***-**-24IN - BLISS, RYAN	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
03/12/2018	***-**-38IO - BROWN, TYLER	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
03/12/2018	***-**-45IN - WILLIAMSON,	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
03/12/2018	***-**-628I - SANGER, SANDRA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
03/12/2018	***-**-944O - MAYO, DEBORAH	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/12/2018	***-**-861I - SANGER, LAWRENCE	MFS GLOBAL TOTAL RETURN FUND-A	0.00	1.89	0.00	1.89	88.0	1.66
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/12/2018	***-**-02IN - BUSHEY, MELISSA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/12/2018	***-**-653J - KOCHER, CLINTON	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
03/12/2018	***-**-254I - AUGUSTINE, LINDA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/12/2018	***-**-881J - EBERLEY, SUSAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.42	0.00	1.42	88.0	1.25
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
03/12/2018	***-**-949I - ACEE, JOSPEH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - HARTZ, CLAUDIA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
03/12/2018	***-**-959I - FRANZ, PAUL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.64	0.00	2.64	88.0	2.32
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/12/2018	***-**-960J - MASTRANGELO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.97	0.00	1.97	88.0	1.73
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: KURT GRUENEWALD (continued) 								
03/12/2018	***-**-51IO - CAIN, TIMOTHY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/12/2018	***-**-60UT - FALCHI, ADALYNN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR011010	BUY 1 Units @0.0000						
03/12/2018	***-**-761I - EVANS, DOLORES	MFS GLOBAL TOTAL RETURN FUND-B	0.00	5.33	0.00	5.33	88.0	4.69
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/12/2018	***-**-63TR - EVANS, AUDREY J	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.81	0.00	2.81	88.0	2.47
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/12/2018	***-**-306X - COBB, CHERRYL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
03/12/2018	***-**-96IN - NESSIA, BONNIE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
03/12/2018	***-**-579I - RHYMESTINE,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.73	0.00	2.73	88.0	2.40
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - RHYMESTINE,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
03/12/2018	***-**-76IO - MCALLISTER, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
03/12/2018	***-**-506J - CURRIERE JR, MR	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
03/12/2018	***-**-367J - WAGNER, MRS LANT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - WILLIAMSON, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.51	0.00	2.51	88.0	2.21
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/12/2018	***-**-64IO - PFAFF, GEORGE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.16	0.00	1.16	88.0	1.02
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/12/2018	***-**-62IR - ROBBIANO, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
03/12/2018	***-**-52IO - EUSEPI, SUSAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.64	0.00	2.64	88.0	2.32
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
03/12/2018	***-**-02IN - BUSHEY, MELISSA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/12/2018	***-**-653I - KOCHER, CLINTON	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.46	0.00	2.46	88.0	2.16
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/12/2018	***-**-62IN - EATON, DAVID	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
03/12/2018	***-**-21IO - RADELL, SANDRA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
03/12/2018	***-**-241I - DINITTO, ALLISYN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR011444	BUY 1 Units @0.0000						
03/12/2018	***-**-51IN - GERACE, JOANNE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
03/12/2018	***-**-09IO - BATES, FBO MRS	MFS GLOBAL TOTAL RETURN FUND-C	0.00	17.17	0.00	17.17	88.0	15.11
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/12/2018	***-**-11IO - LYNN G.	MFS GLOBAL TOTAL RETURN FUND-C	0.00	13.23	0.00	13.23	88.0	11.64
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/12/2018	***-**-376I - BERBEN, GAIL	MFS GLOBAL TOTAL RETURN FUND-C	0.00	11.97	0.00	11.97	88.0	10.53
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
03/12/2018	***-**-45IO - JOHNSON, GREGORY	MFS GLOBAL TOTAL RETURN FUND-C	0.00	15.42	0.00	15.42	88.0	13.57
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - ROTH, KAREN	MFS GOVERNMENT SECURITIES FUND-A	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
03/12/2018	***-**-254I - AUGUSTINE, LINDA	MFS GOVERNMENT SECURITIES FUND-B	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/12/2018	***-**-111J - NESSIA, JAMES	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - ROTH, KAREN	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
03/12/2018	***-**-44IO - MAYO, DEBORAH	MFS HIGH INCOME CLASS C	0.00	0.54	0.00	0.54	88.0	0.48
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/12/2018	***-**-61IN - EVANS, DOLORES	MFS HIGH INCOME FUND-B	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - ROTH, KAREN	MFS HIGH INCOME FUND-B	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						



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DAVID GRIFFITH
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: KURT GRUENEWALD (continued) 								
03/12/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	MFS HIGH YIELD OPPORTUNITIES FUND-B BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54
03/12/2018	***-**-13IN - ROTH, KAREN ACCOUNT #: LSR011954	MFS HIGH YIELD OPPORTUNITIES FUND-B BUY 1 Units @0.0000	0.00	0.77	0.00	0.77	88.0	0.68
03/12/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	MFS HIGH YIELD OPPORTUNITIES FUND-C BUY 1 Units @0.0000	0.00	8.42	0.00	8.42	88.0	7.41
03/12/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	MFS HIGH YIELD OPPORTUNITIES FUND-C BUY 1 Units @0.0000	0.00	8.40	0.00	8.40	88.0	7.39
03/12/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
03/12/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.44	0.00	0.44	88.0	0.39
03/12/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.43	0.00	0.43	88.0	0.38
03/12/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.76	0.00	0.76	88.0	0.67
03/12/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.26	0.00	0.26	88.0	0.23
03/12/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	88.0	0.28
03/12/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
03/12/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	88.0	0.26
03/12/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
03/12/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
03/12/2018	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.56	0.00	0.56	88.0	0.49
03/12/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/12/2018	***-***-506J - CURRIERE JR, MR	MFS INFLATION ADJUSTED BOND CL B	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
03/12/2018	***-***-48IO - ANACKER, FBO MRS	MFS INFLATION ADJUSTED BOND CL B	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
03/12/2018	***-***-31IO - WILLIAMSON, FBO	MFS INFLATION ADJUSTED BOND CL B	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/12/2018	***-***-64IO - PFAFF, GEORGE	MFS INFLATION ADJUSTED BOND CL B	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/12/2018	***-***-62IR - ROBBIANO, FBO	MFS INFLATION ADJUSTED BOND CL B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
03/12/2018	***-***-382I - SATTERLY, NEIL	MFS INFLATION ADJUSTED BOND CL C	0.00	8.81	0.00	8.81	88.0	7.75
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
03/12/2018	***-***-03IO - MCVOY, ROBERT	MFS INFLATION ADJUSTED BOND CL C	0.00	2.49	0.00	2.49	88.0	2.19
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
03/12/2018	***-***-44IO - MAYO, DEBORAH	MFS INFLATION ADJUSTED BOND CL C	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/12/2018	***-***-861I - SANGER, LAWRENCE	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/12/2018	***-***-065I - LAZIO, THOMAS	MFS INTERNATIONAL NEW DISCOVERY CL	0.00	5.34	0.00	5.34	88.0	4.70
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/12/2018	***-***-254I - AUGUSTINE, LINDA	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/12/2018	***-***-930I - SANGER, KEVIN	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/12/2018	***-***-959I - FRANZ, PAUL	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.77	0.00	1.77	88.0	1.56
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/12/2018	***-***-960J - MASTRANGELO,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
03/12/2018	***-***-761I - EVANS, DOLORES	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	4.44	0.00	4.44	88.0	3.91
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/12/2018	***-***-944O - MAYO, DEBORAH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/12/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
03/12/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	1.99	0.00	1.99	88.0	1.75
03/12/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	2.07	0.00	2.07	88.0	1.82
03/12/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.75	0.00	0.75	88.0	0.66
02/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS INTERNATIONAL VALUE FUND-B BUY 2 Units @40.5300	100.00	4.00	0.00	4.00	88.0	3.52
03/12/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	MFS INTERNATIONAL VALUE FUND-B BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	88.0	0.76
03/12/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS LIFETIME INCOME CLASS A BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
03/12/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	MFS MODERATE ALLOCATION CL C BUY 1 Units @0.0000	0.00	12.99	0.00	12.99	88.0	11.43
03/12/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	MFS MODERATE ALLOCATION CL C BUY 1 Units @0.0000	0.00	22.35	0.00	22.35	88.0	19.67
03/12/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	2.10	0.00	2.10	88.0	1.85
03/12/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	1.26	0.00	1.26	88.0	1.11
03/12/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
03/12/2018	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
03/12/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
03/12/2018	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
03/12/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
03/12/2018	***-**-36IR - SANGER, BETH ACCOUNT #: LSR011757	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.22	0.00	0.22	88.0	0.19
03/12/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	MFS NEW DISCOVERY VALUE FUND CL C BUY 1 Units @0.0000	0.00	9.88	0.00	9.88	88.0	8.69
03/12/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS NEW DISCOVERY VALUE FUND CL C BUY 1 Units @0.0000	0.00	6.41	0.00	6.41	88.0	5.64
03/12/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	MFS NEW YORK MUNICIPAL BOND FUND-B BUY 1 Units @0.0000	0.00	1.47	0.00	1.47	88.0	1.29
03/12/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	MFS NEW YORK MUNICIPAL BOND FUND-B BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
03/12/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS RESEARCH BOND FUND CLASS A BUY 1 Units @0.0000	0.00	0.11	0.00	0.11	88.0	0.10
03/12/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	MFS RESEARCH BOND FUND CLASS A BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	88.0	0.05
03/12/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.53	0.00	0.53	88.0	0.47
03/12/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.76	0.00	0.76	88.0	0.67
03/12/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
03/12/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	1.21	0.00	1.21	88.0	1.06
03/12/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
03/12/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
03/12/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42
03/12/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.44	0.00	0.44	88.0	0.39
03/12/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/12/2018	***-**-02IN - BUSHEY, MELISSA	MFS RESEARCH BOND FUND-B	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/12/2018	***-**-62IN - EATON, DAVID	MFS RESEARCH BOND FUND-B	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
03/12/2018	***-**-326J - GRANDE, MR	MFS STRATEGIC INCOME FUND-B	0.00	1.02	0.00	1.02	88.0	0.90
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
03/05/2018	***-**-31IO - JOSEPH, ANN	MFS TECHNOLOGY CLASS C	6,500.00	65.00	0.00	65.00	88.0	57.20
	ACCOUNT #: LSR012337	BUY 185 Units @35.1800						
03/12/2018	***-**-382I - SATTERLY, NEIL	MFS TECHNOLOGY CLASS C	0.00	9.47	0.00	9.47	88.0	8.33
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
03/12/2018	***-**-48IO - CLARK, PATRICK	MFS TECHNOLOGY CLASS C	0.00	6.85	0.00	6.85	88.0	6.03
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
03/12/2018	***-**-03IO - MCVOY, ROBERT	MFS TECHNOLOGY CLASS C	0.00	4.45	0.00	4.45	88.0	3.92
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
03/12/2018	***-**-930I - SANGER, KEVIN	MFS TECHNOLOGY CLASS C	0.00	8.41	0.00	8.41	88.0	7.40
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/12/2018	***-**-065I - LAZIO, THOMAS	MFS TECHNOLOGY CLASS C	0.00	5.46	0.00	5.46	88.0	4.80
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/12/2018	***-**-00IO - LEE, GARY	MFS TECHNOLOGY CLASS C	0.00	10.87	0.00	10.87	88.0	9.57
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
03/12/2018	***-**-44IO - MAYO, DEBORAH	MFS TECHNOLOGY CLASS C	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/12/2018	***-**-09IO - BATES, FBO MRS	MFS TECHNOLOGY CLASS C	0.00	10.72	0.00	10.72	88.0	9.43
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/12/2018	***-**-89IN - LEE, ROGER	MFS TECHNOLOGY CLASS C	0.00	5.80	0.00	5.80	88.0	5.10
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/12/2018	***-**-094I - KATRENA L	MFS TECHNOLOGY CLASS C	0.00	6.03	0.00	6.03	88.0	5.31
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
03/12/2018	***-**-06IR - CAMPBELL, PAMELA	MFS TECHNOLOGY CLASS C	0.00	7.53	0.00	7.53	88.0	6.63
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
03/12/2018	***-**-11IO - LYNN G.	MFS TECHNOLOGY CLASS C	0.00	6.22	0.00	6.22	88.0	5.47
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						



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BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/12/2018	***-**-45IO - JOHNSON, GREGORY	MFS TECHNOLOGY CLASS C	0.00	7.49	0.00	7.49	88.0	6.59
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/12/2018	***-**-37IO - MCCLUSKY, MARK	MFS TECHNOLOGY CLASS C	0.00	2.37	0.00	2.37	88.0	2.09
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
03/12/2018	***-**-86IN - LEE, KEVIN	MFS TECHNOLOGY CLASS C	0.00	9.43	0.00	9.43	88.0	8.30
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
03/12/2018	***-**-633J -	MFS TECHNOLOGY CLASS C	0.00	2.78	0.00	2.78	88.0	2.45
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
03/12/2018	***-**-99IN - EDELMAN, TINA	MFS TECHNOLOGY CLASS C	0.00	0.09	0.00	0.09	88.0	0.08
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
03/12/2018	***-**-28IN - BYWATER, KIM	MFS TECHNOLOGY CLASS C	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
03/12/2018	***-**-944O - MAYO, DEBORAH	MFS TECHNOLOGY FUND CLASS A	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/12/2018	***-**-808J - GORMAN, RANDY	MFS TECHNOLOGY FUND CLASS A	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
03/12/2018	***-**-02IN - BUSHEY, MELISSA	MFS TECHNOLOGY FUND CLASS A	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - HARTZ, CLAUDIA	MFS TECHNOLOGY FUND-B	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
03/12/2018	***-**-15IN - PENDRAK, JOHN	MFS TECHNOLOGY FUND-B	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/12/2018	***-**-959I - FRANZ, PAUL	MFS TECHNOLOGY FUND-B	0.00	1.77	0.00	1.77	88.0	1.56
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/12/2018	***-**-169I - EVANS, PAUL	MFS TECHNOLOGY FUND-B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
03/12/2018	***-**-580X - COBB, JAMES	MFS TECHNOLOGY FUND-B	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
03/12/2018	***-**-579J - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
03/12/2018	***-**-579I - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/12/2018	***-**-326I - GRANDE, FBO MR	MFS TECHNOLOGY FUND-B	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
03/12/2018	***-**-992J - CORNACCHIA	MFS TECHNOLOGY FUND-B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
03/12/2018	***-**-48IO - ANACKER, FBO MRS	MFS TECHNOLOGY FUND-B	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - WILLIAMSON, FBO	MFS TECHNOLOGY FUND-B	0.00	1.42	0.00	1.42	88.0	1.25
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/12/2018	***-**-664J - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	1.71	0.00	1.71	88.0	1.50
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
03/12/2018	***-**-64IO - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/12/2018	***-**-52IO - EUSEPI, SUSAN	MFS TECHNOLOGY FUND-B	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
03/12/2018	***-**-02IN - BUSHEY, MELISSA	MFS TECHNOLOGY FUND-B	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/12/2018	***-**-37IR - HARTZ, RENEE	MFS TECHNOLOGY FUND-B	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: LSR011259	BUY 1 Units @0.0000						
03/12/2018	***-**-75IR - EVANS, DIANE	MFS TECHNOLOGY FUND-B	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: LSR011275	BUY 1 Units @0.0000						
03/12/2018	***-**-653I - KOCHER, CLINTON	MFS TECHNOLOGY FUND-B	0.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/12/2018	***-**-680I - HARRELL, DARYL	MFS TECHNOLOGY FUND-B	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
03/12/2018	***-**-978I - GUNN, KATHLEEN	MFS TECHNOLOGY FUND-B	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
03/12/2018	***-**-197I - GAMBINO, ANDREW	MFS TECHNOLOGY FUND-B	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
03/12/2018	***-**-53IN - EVANS, ANDREW	MFS TECHNOLOGY FUND-B	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
03/12/2018	***-**-38IO - BROWN, TYLER	MFS TECHNOLOGY FUND-B	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/12/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.70	0.00	1.70	88.0	1.50
02/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 3 Units @18.9100	50.00	2.00	0.00	2.00	88.0	1.76
03/12/2018	***-**-88IJ - EBERLEY, SUSAN ACCOUNT #: LSR010856	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.47	0.00	1.47	88.0	1.29
03/12/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.70	0.00	1.70	88.0	1.50
03/12/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.73	0.00	1.73	88.0	1.52
03/12/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	88.0	0.79
03/12/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
03/12/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
03/12/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS UTILITIES FUND-A BUY 1 Units @0.0000	0.00	0.76	0.00	0.76	88.0	0.67
03/12/2018	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	MFS UTILITIES FUND-A BUY 1 Units @0.0000	0.00	0.51	0.00	0.51	88.0	0.45
03/12/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05
03/12/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.64	0.00	1.64	88.0	1.44
03/12/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56
03/12/2018	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
03/12/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.49	0.00	1.49	88.0	1.31
03/12/2018	***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.75	0.00	1.75	88.0	1.54



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/12/2018	***-**-96IN - NESSIA, BONNIE	MFS UTILITIES FUND-B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
03/12/2018	***-**-579I - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	1.81	0.00	1.81	88.0	1.59
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
03/12/2018	***-**-326J - GRANDE, MR	MFS UTILITIES FUND-B	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
03/12/2018	***-**-326I - GRANDE, FBO MR	MFS UTILITIES FUND-B	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
03/12/2018	***-**-76IO - MCALLISTER, FBO	MFS UTILITIES FUND-B	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
03/12/2018	***-**-367J - WAGNER, MRS LANT	MFS UTILITIES FUND-B	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - WILLIAMSON, FBO	MFS UTILITIES FUND-B	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/12/2018	***-**-64IO - PFAFF, GEORGE	MFS UTILITIES FUND-B	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/12/2018	***-**-653I - KOCHER, CLINTON	MFS UTILITIES FUND-B	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/12/2018	***-**-62IN - EATON, DAVID	MFS UTILITIES FUND-B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
03/12/2018	***-**-978I - GUNN, KATHLEEN	MFS UTILITIES FUND-B	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
03/12/2018	***-**-21IO - RADELL, SANDRA	MFS UTILITIES FUND-B	0.00	1.44	0.00	1.44	88.0	1.27
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
03/12/2018	***-**-41IR - DINITTO, ALLISYN	MFS UTILITIES FUND-B	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: LSR011443	BUY 1 Units @0.0000						
03/12/2018	***-**-197I - GAMBINO, ANDREW	MFS UTILITIES FUND-B	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
03/12/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/12/2018	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09
03/12/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.34	0.00	1.34	88.0	1.18
03/12/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.52	0.00	0.52	88.0	0.46
03/12/2018	***-**-45IO - WILLIAMSON, ACCOUNT #: LSR011756	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
03/12/2018	***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	7.94	0.00	7.94	88.0	6.99
03/12/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	9.47	0.00	9.47	88.0	8.33
03/12/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	8.01	0.00	8.01	88.0	7.05
03/12/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	4.04	0.00	4.04	88.0	3.56
03/12/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	11.90	0.00	11.90	88.0	10.47
03/12/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	9.40	0.00	9.40	88.0	8.27
03/12/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	9.87	0.00	9.87	88.0	8.69
03/12/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	5.93	0.00	5.93	88.0	5.22
03/12/2018	***-**-81IR - CAMPBELL, ACCOUNT #: LSR011223	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	6.14	0.00	6.14	88.0	5.40
03/12/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	8.53	0.00	8.53	88.0	7.51
03/12/2018	***-**-37IR - HARTZ, RENEE ACCOUNT #: LSR011259	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	0.04	0.00	0.04	88.0	0.04
03/12/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	6.55	0.00	6.55	88.0	5.76



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/12/2018	***-**-376I - BERBEN, GAIL	MFS UTILITIES FUND-C	0.00	8.53	0.00	8.53	88.0	7.51
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
03/12/2018	***-**-45IO - JOHNSON, GREGORY	MFS UTILITIES FUND-C	0.00	7.61	0.00	7.61	88.0	6.70
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/12/2018	***-**-14IO - BUSHEY, MATTHEW	MFS UTILITIES FUND-C	0.00	8.36	0.00	8.36	88.0	7.36
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
03/12/2018	***-**-35IN - RUGGIERO, LAURIE	MFS UTILITIES FUND-C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR012314	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - ROTH, KAREN	MFS VALUE FUND-B	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
03/01/2018	***-**-169I - EVANS, PAUL	NEW PERSPECTIVE FUND-A	0.00	4.15	0.00	4.15	88.0	3.65
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
03/01/2018	***-**-072I - GAVALO, JULIE	NEW PERSPECTIVE FUND-A	0.00	15.74	0.00	15.74	88.0	13.85
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
03/01/2018	***-**-72RI - GAVALO, JULIE	NEW PERSPECTIVE FUND-A	0.00	10.23	0.00	10.23	88.0	9.00
	ACCOUNT #: 00087231055	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	NEW PERSPECTIVE FUND-A	0.00	3.29	0.00	3.29	88.0	2.90
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
03/01/2018	***-**-86IR - MEEKINS, LISA	NEW PERSPECTIVE FUND-A	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
03/01/2018	***-**-20JT - KOCHER, DENISE	NEW PERSPECTIVE FUND-A	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	NEW PERSPECTIVE FUND-C	0.00	4.32	0.00	4.32	88.0	3.80
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-5375 - CARTER, LISA	NEW WORLD FUND-529C	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: 00083849497	BUY 0 Units @0.0000						
03/01/2018	***-**-2855 - KRECIDLO, MARTA	NEW WORLD FUND-A	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
03/01/2018	***-**-755P - SHEPPARD,	NEW WORLD FUND-A	0.00	1.93	0.00	1.93	88.0	1.70
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						
03/01/2018	***-**-20IR - DEMETRI, AMELIA	NEW WORLD FUND-A	0.00	4.44	0.00	4.44	88.0	3.91
	ACCOUNT #: 00074234451	BUY 0 Units @0.0000						



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2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
03/01/2018	***-**-643I - PELLETIER, MARY	NEW WORLD FUND-A	0.00	2.27	0.00	2.27	88.0	2.00
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
03/01/2018	***-**-86IR - MEEKINS, LISA	NEW WORLD FUND-A	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
03/01/2018	***-**-265I - MEEKINS, TIMOTHY	NEW WORLD FUND-A	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
03/01/2018	***-**-443I - LATUS, FREDERICK	NEW WORLD FUND-A	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
03/01/2018	***-**-20JT - KOCHER, DENISE	NEW WORLD FUND-A	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
03/01/2018	***-**-5375 - CARTER, LISA	NEW WORLD FUND-A	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	NEW WORLD FUND-A	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	NEW WORLD FUND-C	0.00	3.08	0.00	3.08	88.0	2.71
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-680I - HARRELL, DARYL	NEW WORLD FUND-C	0.00	7.42	0.00	7.42	88.0	6.53
	ACCOUNT #: 00083996385	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	NEW WORLD FUND-C	0.00	3.85	0.00	3.85	88.0	3.39
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/12/2018	***-**-9440 - MAYO, DEBORAH	NEW YORK 529 TRAILS	0.00	6.81	0.00	6.81	88.0	5.99
	ACCOUNT #: 77002217601	BUY 0 Units @0.0000						
03/12/2018	***-**-80IN - COBB, JAMES	NEW YORK 529 TRAILS	0.00	30.27	0.00	30.27	88.0	26.64
	ACCOUNT #: 77169961901	BUY 0 Units @0.0000						
03/12/2018	***-**-665P - MCCLUSKY, YVONNE	NEW YORK 529 TRAILS	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: 77237884701	BUY 0 Units @0.0000						
03/12/2018	***-**-0069 - KRECIDLO,	NEW YORK 529 TRAILS	0.00	1.84	0.00	1.84	88.0	1.62
	ACCOUNT #: 77308070501	BUY 0 Units @0.0000						
03/12/2018	***-**-614J - BUSHEY, MATTHEW	NEW YORK 529 TRAILS	0.00	2.80	0.00	2.80	88.0	2.46
		BUY 0 Units @0.0000						
03/12/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS	0.00	0.44	0.00	0.44	88.0	0.39
		BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
03/12/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
03/12/2018	***-**-251I - SCALISE, MARY ACCOUNT #: 77691153101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	32.17	0.00	32.17	88.0	28.31
03/12/2018	***-**-635P - LASCALA, DEBORAH ACCOUNT #: 77699193301	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.53	0.00	1.53	88.0	1.35
03/12/2018	***-**-065P - CAMPBELL, PAMELA ACCOUNT #: 77830931201	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
03/12/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	12.19	0.00	12.19	88.0	10.73
03/12/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 77854436501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.87	0.00	0.87	88.0	0.77
03/12/2018	***-**-205P - RHYMESTINE, ERIC ACCOUNT #: 77885699801	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
03/12/2018	***-**-614J - BUSHEY, MATTHEW	NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000	100.00	4.75	0.00	4.75	88.0	4.18
03/06/2018	***-**-213J - GRUENEWALD, ACCOUNT #: LSR011616	OMEGA HEALTHCARE INVS INC UNSOLICIT SELL 113 Units @27.0600	3,057.78	24.49	0.00	24.49	88.0	21.55
03/05/2018	***-**-7918 - BAREFOOT, JOHN ACCOUNT #: VP71073430	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	108.00	3.24	0.00	3.24	88.0	2.85
03/12/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	PRUDENTIAL JENNISON 20/20 FOCUS CLA BUY 1 Units @0.0000	0.00	2.95	0.00	2.95	88.0	2.60
03/12/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	2.21	0.00	2.21	88.0	1.94
03/12/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	88.0	0.26
03/12/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.49	0.00	0.49	88.0	0.43
03/12/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
03/12/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/12/2018	***-**-254I - AUGUSTINE, LINDA	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/12/2018	***-**-15IN - PENDRAK, JOHN	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/12/2018	***-**-944O - MAYO, DEBORAH	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/08/2018	***-**-671I - EBERLEY, REID	RESOURCE REAL ESTATE TRAILS	0.00	13.32	0.00	13.32	88.0	11.72
	ACCOUNT #: 20021572	BUY 0 Units @0.0000						
03/08/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	9.07	0.00	9.07	88.0	7.98
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
03/08/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	0.52	0.00	0.52	88.0	0.46
		BUY 0 Units @0.0000						
03/08/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	1.68	0.00	1.68	88.0	1.48
		BUY 0 Units @0.0000						
03/08/2018	***-**-65IN - LAZIO, THOMAS	RESOURCE REAL ESTATE TRAILS	0.00	17.55	0.00	17.55	88.0	15.44
	ACCOUNT #: 20010459	BUY 0 Units @0.0000						
03/06/2018	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	7.29	0.00	7.29	88.0	6.42
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/06/2018	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	2.43	0.00	2.43	88.0	2.14
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/06/2018	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	3.78	0.00	3.78	88.0	3.33
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/06/2018	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/06/2018	***-**-930I - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	10.92	0.00	10.92	88.0	9.61
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/06/2018	***-**-930I - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	3.64	0.00	3.64	88.0	3.20
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/06/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	4.63	0.00	4.63	88.0	4.07
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
03/06/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/06/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	9.52	0.00	9.52	88.0	8.38
03/06/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.17	0.00	3.17	88.0	2.79
03/06/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.75	0.00	2.75	88.0	2.42
03/06/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	88.0	0.81
03/06/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.01	0.00	2.01	88.0	1.77
03/06/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
03/06/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.81	0.00	1.81	88.0	1.59
03/06/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
03/06/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.93	0.00	1.93	88.0	1.70
03/06/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56
03/06/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.61	0.00	1.61	88.0	1.42
03/06/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
03/06/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	88.0	0.35
03/06/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.13	0.00	0.13	88.0	0.11
03/06/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	11.42	0.00	11.42	88.0	10.05
03/06/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.81	0.00	3.81	88.0	3.35



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/06/2018	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	3.82	0.00	3.82	88.0	3.36
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/06/2018	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/06/2018	***-**-930I - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	12.69	0.00	12.69	88.0	11.17
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/06/2018	***-**-930I - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	4.23	0.00	4.23	88.0	3.72
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/06/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	6.32	0.00	6.32	88.0	5.56
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
03/06/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
03/06/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	14.25	0.00	14.25	88.0	12.54
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/06/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	4.75	0.00	4.75	88.0	4.18
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/06/2018	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	6.65	0.00	6.65	88.0	5.85
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/06/2018	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	2.22	0.00	2.22	88.0	1.95
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/06/2018	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	6.33	0.00	6.33	88.0	5.57
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/06/2018	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/06/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	6.32	0.00	6.32	88.0	5.56
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/06/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/06/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	7.61	0.00	7.61	88.0	6.70
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/06/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	2.54	0.00	2.54	88.0	2.24
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/06/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.34	0.00	6.34	88.0	5.58
03/06/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.11	0.00	2.11	88.0	1.86
03/06/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.29	0.00	6.29	88.0	5.54
03/06/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.10	0.00	2.10	88.0	1.85
03/06/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	5.42	0.00	5.42	88.0	4.77
03/06/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.81	0.00	1.81	88.0	1.59
03/06/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.16	0.00	2.16	88.0	1.90
03/06/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	88.0	0.63
03/06/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	10.93	0.00	10.93	88.0	9.62
03/06/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.64	0.00	3.64	88.0	3.20
03/06/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.66	0.00	3.66	88.0	3.22
03/06/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
03/06/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	12.15	0.00	12.15	88.0	10.69
03/06/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.05	0.00	4.05	88.0	3.56
03/06/2018	***-**-29IO - MASSOUD, ACCOUNT #: LSR011217	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.05	0.00	6.05	88.0	5.32
03/06/2018	***-**-29IO - MASSOUD, ACCOUNT #: LSR011217	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/06/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	13.64	0.00	13.64	88.0	12.00
03/06/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.55	0.00	4.55	88.0	4.00
03/06/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.37	0.00	6.37	88.0	5.61
03/06/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.12	0.00	2.12	88.0	1.87
03/06/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.06	0.00	6.06	88.0	5.33
03/06/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
03/06/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.05	0.00	6.05	88.0	5.32
03/06/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
03/06/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	7.28	0.00	7.28	88.0	6.41
03/06/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.43	0.00	2.43	88.0	2.14
03/06/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.07	0.00	6.07	88.0	5.34
03/06/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
03/06/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.02	0.00	6.02	88.0	5.30
03/06/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.01	0.00	2.01	88.0	1.77
03/06/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.94	0.00	2.94	88.0	2.59
03/06/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86



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
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
03/01/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	SHORT-TERM BOND FUND OF AMERICA - A BUY 0 Units @0.0000	0.00	1.01	0.00	1.01	88.0	0.89
03/01/2018	***-**-8158 - BEHA, DEBORAH ACCOUNT #: 00058770149	SHORT-TERM BOND FUND OF AMERICA - A BUY 0 Units @0.0000	0.00	1.47	0.00	1.47	88.0	1.29
03/01/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	SHORT-TERM BOND FUND OF AMERICA - A BUY 0 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
03/01/2018	***-**-2855 - KRECIDLO, MARTA ACCOUNT #: 00083946447	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
03/01/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084218264	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	2.83	0.00	2.83	88.0	2.49
03/01/2018	***-**-8158 - BEHA, DEBORAH ACCOUNT #: 00058770149	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	1.70	0.00	1.70	88.0	1.50
03/01/2018	***-**-265I - MEEKINS, TIMOTHY ACCOUNT #: 00083811243	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
03/01/2018	***-**-443I - LATUS, FREDERICK ACCOUNT #: 00083932986	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	0.27	0.00	0.27	88.0	0.24
03/01/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00084131722	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	0.35	0.00	0.35	88.0	0.31
03/01/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	0.43	0.00	0.43	88.0	0.38
03/01/2018	***-**-169I - EVANS, PAUL ACCOUNT #: 00083808354	SMALLCAP WORLD FUND-C BUY 0 Units @0.0000	0.00	2.59	0.00	2.59	88.0	2.28
03/01/2018	***-**-0851 - LALLIER, JAMES ACCOUNT #: 00068584532	SMALLCAP WORLD FUND-C BUY 0 Units @0.0000	0.00	12.23	0.00	12.23	88.0	10.76
03/01/2018	***-**-72TD - GAVALO, JULIE ACCOUNT #: 00087169935	TAX-EXEMPT BOND FUND OF AMERICA BUY 0 Units @0.0000	0.00	14.61	0.00	14.61	88.0	12.86
03/01/2018	***-**-072I - GAVALO, JULIE ACCOUNT #: 00087112294	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	16.48	0.00	16.48	88.0	14.50
03/01/2018	***-**-81IR - CAMPBELL, ACCOUNT #: 00073375822	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.50	0.00	1.50	88.0	1.32
03/01/2018	***-**-7181 - HAMER, JAMES ACCOUNT #: 00083846796	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	5.14	0.00	5.14	88.0	4.52



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/01/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	THE GROWTH FUND OF AMERICA-529A BUY 0 Units @0.0000	0.00	0.77	0.00	0.77	88.0	0.68
03/01/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	THE GROWTH FUND OF AMERICA-529C BUY 0 Units @0.0000	0.00	21.34	0.00	21.34	88.0	18.78
03/01/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: 00068530007	THE GROWTH FUND OF AMERICA-529E BUY 0 Units @0.0000	0.00	9.46	0.00	9.46	88.0	8.32
03/01/2018	***-**-169I - EVANS, PAUL ACCOUNT #: 00083808354	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	4.66	0.00	4.66	88.0	4.10
03/01/2018	***-**-480J - EVANS, RICHARD ACCOUNT #: 00073288662	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.52	0.00	2.52	88.0	2.22
03/01/2018	***-**-81IR - CAMPBELL, ACCOUNT #: 00073375822	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.78	0.00	2.78	88.0	2.45
03/01/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: 00083609136	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	8.06	0.00	8.06	88.0	7.09
03/01/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00084131722	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	88.0	0.33
03/01/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86
03/01/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	5.22	0.00	5.22	88.0	4.59
03/01/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	12.55	0.00	12.55	88.0	11.04
03/01/2018	***-**-2855 - KRECIDLO, MARTA ACCOUNT #: 00083946447	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.51	0.00	0.51	88.0	0.45
03/01/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084218264	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.89	0.00	1.89	88.0	1.66
03/01/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.90	0.00	3.90	88.0	3.43
03/01/2018	***-**-0851 - LALLIER, JAMES ACCOUNT #: 00068584532	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.43	0.00	2.43	88.0	2.14
03/01/2018	***-**-81IR - CAMPBELL, ACCOUNT #: 00073375822	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	5.25	0.00	5.25	88.0	4.62



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
03/01/2018	***-**-643I - PELLETIER, MARY	THE INCOME FUND OF AMERICA-A	0.00	5.00	0.00	5.00	88.0	4.40
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
03/01/2018	***-**-265I - MEEKINS, TIMOTHY	THE INCOME FUND OF AMERICA-A	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
03/01/2018	***-**-265J - MEEKINS, TIMOTHY	THE INCOME FUND OF AMERICA-A	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
03/01/2018	***-**-443I - LATUS, FREDERICK	THE INCOME FUND OF AMERICA-A	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
03/01/2018	***-**-901I - SATTERLY, ANN	THE INCOME FUND OF AMERICA-A	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: 00084301189	BUY 0 Units @0.0000						
03/01/2018	***-**-382I - SATTERLY, NEIL	THE INCOME FUND OF AMERICA-A	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	THE INCOME FUND OF AMERICA-A	0.00	1.83	0.00	1.83	88.0	1.61
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-78IR - FALES, JOAN	THE INCOME FUND OF AMERICA-A	0.00	4.55	0.00	4.55	88.0	4.00
	ACCOUNT #: 00088082227	BUY 0 Units @0.0000						
03/01/2018	***-**-443I - LATUS, FREDERICK	THE INVESTMENT COMPANY OF AMERICA-A	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	THE NEW ECONOMY FUND-A	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
03/01/2018	***-**-86IR - MEEKINS, LISA	THE NEW ECONOMY FUND-A	0.00	1.16	0.00	1.16	88.0	1.02
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
03/01/2018	***-**-20JT - KOCHER, DENISE	THE NEW ECONOMY FUND-A	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
03/01/2018	***-**-169I - EVANS, PAUL	THE NEW ECONOMY FUND-C	0.00	5.63	0.00	5.63	88.0	4.95
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
03/01/2018	***-**-085I - LALLIER, JAMES	THE NEW ECONOMY FUND-C	0.00	7.17	0.00	7.17	88.0	6.31
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	THE NEW ECONOMY FUND-C	0.00	1.69	0.00	1.69	88.0	1.49
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
03/01/2018	***-**-901I - SATTERLY, ANN	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 00084301189	BUY 0 Units @0.0000						
03/01/2018	***-**-382I - SATTERLY, NEIL	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
03/12/2018	***-**-71IO - FAMOLARO, JAMES	VAN KAMPEN9	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
03/01/2018	***-**-72IN - GAVALO, JULIE	WASHINGTON MUTUAL INVESTORS FUND-52	0.00	8.68	0.00	8.68	88.0	7.64
	ACCOUNT #: 00068530008	BUY 0 Units @0.0000						
03/01/2018	***-**-169I - EVANS, PAUL	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	4.53	0.00	4.53	88.0	3.99
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
03/01/2018	***-**-443I - LATUS, FREDERICK	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
		* KURT GRUENEWALD SUBTOTAL *	\$77,060.79	\$4,697.41	\$0.00	\$4,697.41		\$4,133.73
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$77,060.79	\$4,697.41	\$0.00	\$4,697.41		\$4,133.73



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER COMMISSION TOTALS								
Broker Transactions								\$1,618.25
Split Transactions								\$0.00
Override Transactions								\$0.00
Adjustments								\$0.00
Payroll Draw								\$0.00
Base Salary								\$0.00
Prior Period Balance								\$0.00
FINRA Assessment								\$0.00
SIPC Assessment								\$0.00
<hr/>								
Please Retain for Your Records						Balance Forward	\$0.00	
THERE WILL BE NO PAYMENT THIS PERIOD						Year-to-date Earnings	\$0.00	



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</u>								
02/06/2018	***-**-11IN - MCCARTHY, LYNN	GWG L BOND - 5 YR BUY 15 Units @1000.0000	15,000.00	885.00	0.00	885.00	0.0	0.00
02/06/2018	***-**-11IN - MCCARTHY, LYNN	GWG PREFERRED STOCK BUY 10 Units @1000.0000	10,000.00	660.00	0.00	660.00	0.0	0.00
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$25,000.00	\$1,545.00	\$0.00	\$1,545.00		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/05/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	AMERICAN GLOBAL BALANCED CL C BUY 307 Units @32.6200	9,999.99	118.00	18.00	100.00	0.0	0.00
02/26/2018	***-**-8901 - GURDO, ANTHONY ACCOUNT #: 00087491111	FUNDAMENTAL INVESTORS-C BUY 2 Units @64.5400	150.00	1.50	0.00	1.50	0.0	0.00
03/05/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	INCOME FUND OF AMERICA CLASS C BUY 329 Units @22.7800	7,500.00	93.00	18.00	75.00	0.0	0.00
03/05/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	MFS CONSERVATIVE ALLOCATION CL C BUY 656 Units @15.2500	10,000.00	118.00	18.00	100.00	0.0	0.00
03/05/2018	***-**-75IR - EVANS, DIANE ACCOUNT #: LSR011275	MFS EMERGING GROWTH FUND-B BUY 54 Units @78.6400	4,250.02	188.00	18.00	170.00	0.0	0.00
02/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MARKETS EQUITY FUND-B BUY 2 Units @33.3200	50.00	2.00	0.00	2.00	0.0	0.00
02/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 3 Units @14.8200	50.00	2.00	0.00	2.00	0.0	0.00
02/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS INTERNATIONAL VALUE FUND-B BUY 2 Units @40.5300	100.00	4.00	0.00	4.00	0.0	0.00
03/05/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	MFS TECHNOLOGY CLASS C BUY 185 Units @35.1800	6,500.00	83.00	18.00	65.00	0.0	0.00
02/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 3 Units @18.9100	50.00	2.00	0.00	2.00	0.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$38,650.01	\$611.50	\$90.00	\$521.50		\$0.00



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
03/05/2018	***-**-31IO - JOSEPH, ANN	BERKSHIRE HATHAWAY INC DEL CL B NEW	10,145.00	119.52	18.00	101.52	0.0	0.00
	ACCOUNT #: LSR012337	BUY 50 Units @202.9000						
		* STOCKS SUBTOTAL *	\$10,145.00	\$119.52	\$18.00	\$101.52		\$0.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/05/2018	***-**-7918 - BAREFOOT, JOHN	PACIFIC LIFE SE5-NYB DTCC	108.00	3.24	0.00	3.24	0.0	0.00
	ACCOUNT #: VP71073430	BUY 0 Units @0.0000						
		* VARIABLE ANNUITIES SUBTOTAL *	\$108.00	\$3.24	\$0.00	\$3.24		\$0.00
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
03/06/2018	***-**-213J - GRUENEWALD,	OMEGA HEALTHCARE INVS INC UNSOLICIT	3,057.78	48.49	24.00	24.49	0.0	0.00
	ACCOUNT #: LSR011616	SELL 113 Units @27.0600						
		* UNIT INVESTMENT TRUSTS SUBTOTAL *	\$3,057.78	\$48.49	\$24.00	\$24.49		\$0.00
<u>PRODUCT CATEGORY: 529 PLAN</u>								
03/12/2018	***-**-944O - MAYO, DEBORAH	NEW YORK 529 TRAILS	0.00	6.81	0.00	6.81	0.0	0.00
	ACCOUNT #: 77002217601	BUY 0 Units @0.0000						
03/12/2018	***-**-80IN - COBB, JAMES	NEW YORK 529 TRAILS	0.00	30.27	0.00	30.27	0.0	0.00
	ACCOUNT #: 77169961901	BUY 0 Units @0.0000						
03/12/2018	***-**-665P - MCCLUSKY, YVONNE	NEW YORK 529 TRAILS	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: 77237884701	BUY 0 Units @0.0000						
03/12/2018	***-**-0069 - KRECIDLO,	NEW YORK 529 TRAILS	0.00	1.84	0.00	1.84	0.0	0.00
	ACCOUNT #: 77308070501	BUY 0 Units @0.0000						
03/12/2018	***-**-614J - BUSHEY, MATTHEW	NEW YORK 529 TRAILS	0.00	2.80	0.00	2.80	0.0	0.00
		BUY 0 Units @0.0000						
03/12/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS	0.00	0.44	0.00	0.44	0.0	0.00
		BUY 0 Units @0.0000						
03/12/2018	***-**-0767 - DOVI,	NEW YORK 529 TRAILS	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: 77579193101	BUY 0 Units @0.0000						
03/12/2018	***-**-251I - SCALISE, MARY	NEW YORK 529 TRAILS	0.00	32.17	0.00	32.17	0.0	0.00
	ACCOUNT #: 77691153101	BUY 0 Units @0.0000						
03/12/2018	***-**-635P - LASCALA, DEBORAH	NEW YORK 529 TRAILS	0.00	1.53	0.00	1.53	0.0	0.00
	ACCOUNT #: 77699193301	BUY 0 Units @0.0000						



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KURT GRUENEWALD
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: 529 PLAN (continued)								
03/12/2018	***-**-065P - CAMPBELL, PAMELA	NEW YORK 529 TRAILS	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: 77830931201	BUY 0 Units @0.0000						
03/12/2018	***-**-473J - HUSTON,	NEW YORK 529 TRAILS	0.00	12.19	0.00	12.19	0.0	0.00
	ACCOUNT #: 77852732401	BUY 0 Units @0.0000						
03/12/2018	***-**-20IR - DEMETRI, AMELIA	NEW YORK 529 TRAILS	0.00	0.87	0.00	0.87	0.0	0.00
	ACCOUNT #: 77854436501	BUY 0 Units @0.0000						
03/12/2018	***-**-205P - RHYMESTINE, ERIC	NEW YORK 529 TRAILS	0.00	0.46	0.00	0.46	0.0	0.00
	ACCOUNT #: 77885699801	BUY 0 Units @0.0000						
03/12/2018	***-**-614J - BUSHEY, MATTHEW	NYA JPM 529 MOD AGE-BASED A	100.00	4.75	0.00	4.75	0.0	0.00
		BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$100.00	\$96.29	\$0.00	\$96.29		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/01/2018	***-**-72TD - GAVALO, JULIE	AF SHORT-TERM TAX-EXEMPT BOND FUND-	0.00	6.66	0.00	6.66	0.0	0.00
	ACCOUNT #: 00087169935	BUY 0 Units @0.0000						
03/12/2018	***-**-71IO - FAMOLARO, JAMES	AIM GLOBAL VALUE FUND - CLASS A	0.00	0.32	0.00	0.32	0.0	0.00
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
03/12/2018	***-**-306X - COBB, CHERRYL	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
03/12/2018	***-**-580X - COBB, JAMES	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
03/12/2018	***-**-837O - BASEMENT	AIM GOLD & PRECIOUS METALS FD - A	0.00	1.82	0.00	1.82	0.0	0.00
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
03/01/2018	***-**-169I - EVANS, PAUL	AMCAP FUND-C	0.00	6.43	0.00	6.43	0.0	0.00
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
03/01/2018	***-**-72IN - GAVALO, JULIE	AMERICAN BALANCED FUND-529E	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: 00068530007	BUY 0 Units @0.0000						
03/01/2018	***-**-72IN - GAVALO, JULIE	AMERICAN BALANCED FUND-529E	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: 00068530008	BUY 0 Units @0.0000						
03/01/2018	***-**-72IN - GAVALO, JULIE	AMERICAN BALANCED FUND-529E	0.00	5.22	0.00	5.22	0.0	0.00
	ACCOUNT #: 00068530009	BUY 0 Units @0.0000						
03/01/2018	***-**-755P - SHEPPARD,	AMERICAN BALANCED FUND-A	0.00	2.09	0.00	2.09	0.0	0.00
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-0462 - FRIOT, MICHAEL	AMERICAN BALANCED FUND-A	0.00	5.52	0.00	5.52	0.0	0.00
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	0.00	2.20	0.00	2.20	0.0	0.00
	ACCOUNT #: 00073288662	BUY 0 Units @0.0000						
03/01/2018	***-**-81IR - CAMPBELL,	AMERICAN BALANCED FUND-A	0.00	6.70	0.00	6.70	0.0	0.00
	ACCOUNT #: 00073375822	BUY 0 Units @0.0000						
03/01/2018	***-**-20IR - DEMETRI, AMELIA	AMERICAN BALANCED FUND-A	0.00	3.55	0.00	3.55	0.0	0.00
	ACCOUNT #: 00074234451	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	AMERICAN BALANCED FUND-A	0.00	4.93	0.00	4.93	0.0	0.00
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
03/01/2018	***-**-265J - MEEKINS, TIMOTHY	AMERICAN BALANCED FUND-A	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
03/01/2018	***-**-901I - SATTERLY, ANN	AMERICAN BALANCED FUND-A	0.00	0.53	0.00	0.53	0.0	0.00
	ACCOUNT #: 00084301189	BUY 0 Units @0.0000						
03/01/2018	***-**-382I - SATTERLY, NEIL	AMERICAN BALANCED FUND-A	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	AMERICAN BALANCED FUND-A	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	AMERICAN BALANCED FUND-C	0.00	5.79	0.00	5.79	0.0	0.00
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-5375 - CARTER, LISA	AMERICAN FUNDS 45956T808	0.00	5.45	0.00	5.45	0.0	0.00
	ACCOUNT #: 00083849497	BUY 0 Units @0.0000						
03/01/2018	***-**-0851 - LALLIER, JAMES	AMERICAN FUNDS BALANCED PORT CL C	0.00	34.18	0.00	34.18	0.0	0.00
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						
03/01/2018	***-**-78IR - FALES, JOAN	AMERICAN FUNDS BLNCD PORTFOLIO CL A	0.00	4.69	0.00	4.69	0.0	0.00
	ACCOUNT #: 00088082227	BUY 0 Units @0.0000						
03/01/2018	***-**-0851 - LALLIER, JAMES	AMERICAN FUNDS GLBL GROWTH PORT CL	0.00	5.96	0.00	5.96	0.0	0.00
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						
03/01/2018	***-**-72TD - GAVALO, JULIE	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	13.36	0.00	13.36	0.0	0.00
	ACCOUNT #: 00087169935	BUY 0 Units @0.0000						
03/01/2018	***-**-072I - GAVALO, JULIE	AMERICAN HIGH-INCOME TRUST-A	0.00	19.31	0.00	19.31	0.0	0.00
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-81IR - CAMPBELL, ACCOUNT #: 00073375822	AMERICAN HIGH-INCOME TRUST-A BUY 0 Units @0.0000	0.00	4.15	0.00	4.15	0.0	0.00
03/01/2018	***-**-20JT - KOCHER, DENISE ACCOUNT #: 00083988898	AMERICAN HIGH-INCOME TRUST-A BUY 0 Units @0.0000	0.00	1.31	0.00	1.31	0.0	0.00
03/01/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: 00068530009	AMERICAN MUTUAL FUND-529E BUY 0 Units @0.0000	0.00	5.49	0.00	5.49	0.0	0.00
03/01/2018	***-**-072I - GAVALO, JULIE ACCOUNT #: 00087112294	AMERICAN MUTUAL FUND-A BUY 0 Units @0.0000	0.00	10.47	0.00	10.47	0.0	0.00
03/01/2018	***-**-20JT - KOCHER, DENISE ACCOUNT #: 00083988898	AMERICAN MUTUAL FUND-A BUY 0 Units @0.0000	0.00	0.87	0.00	0.87	0.0	0.00
03/01/2018	***-**-0851 - LALLIER, JAMES ACCOUNT #: 00068584532	CAPITAL INCOME BUILDER CLASS C BUY 0 Units @0.0000	0.00	33.30	0.00	33.30	0.0	0.00
03/01/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	CAPITAL INCOME BUILDER-529A BUY 0 Units @0.0000	0.00	0.59	0.00	0.59	0.0	0.00
03/01/2018	***-**-2855 - KRECIDLO, MARTA ACCOUNT #: 00083946447	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000	0.00	0.50	0.00	0.50	0.0	0.00
03/01/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000	0.00	3.28	0.00	3.28	0.0	0.00
03/01/2018	***-**-072I - GAVALO, JULIE ACCOUNT #: 00087112294	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000	0.00	21.75	0.00	21.75	0.0	0.00
03/01/2018	***-**-72RI - GAVALO, JULIE ACCOUNT #: 00087231055	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000	0.00	10.35	0.00	10.35	0.0	0.00
03/01/2018	***-**-8158 - BEHA, DEBORAH ACCOUNT #: 00058770149	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000	0.00	3.79	0.00	3.79	0.0	0.00
03/01/2018	***-**-0851 - LALLIER, JAMES ACCOUNT #: 00068584532	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000	0.00	2.09	0.00	2.09	0.0	0.00
03/01/2018	***-**-643I - PELLETIER, MARY ACCOUNT #: 00083385810	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000	0.00	4.46	0.00	4.46	0.0	0.00
03/01/2018	***-**-86IR - MEEKINS, LISA ACCOUNT #: 00083811211	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000	0.00	0.90	0.00	0.90	0.0	0.00
03/01/2018	***-**-265I - MEEKINS, TIMOTHY ACCOUNT #: 00083811243	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000	0.00	0.81	0.00	0.81	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-265J - MEEKINS, TIMOTHY	CAPITAL INCOME BUILDER-A	0.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
03/01/2018	***-**-443I - LATUS, FREDERICK	CAPITAL INCOME BUILDER-A	0.00	0.43	0.00	0.43	0.0	0.00
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
03/01/2018	***-**-20JT - KOCHER, DENISE	CAPITAL INCOME BUILDER-A	0.00	1.82	0.00	1.82	0.0	0.00
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
03/01/2018	***-**-5375 - CARTER, LISA	CAPITAL INCOME BUILDER-A	0.00	0.17	0.00	0.17	0.0	0.00
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						
03/01/2018	***-**-901I - SATTERLY, ANN	CAPITAL INCOME BUILDER-A	0.00	0.43	0.00	0.43	0.0	0.00
	ACCOUNT #: 00084301189	BUY 0 Units @0.0000						
03/01/2018	***-**-382I - SATTERLY, NEIL	CAPITAL INCOME BUILDER-A	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	CAPITAL INCOME BUILDER-A	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-094I - KATRENA L	CAPITAL INCOME BUILDER-A	0.00	0.38	0.00	0.38	0.0	0.00
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	CAPITAL WORLD BOND FUND-A	0.00	0.38	0.00	0.38	0.0	0.00
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-072I - GAVALO, JULIE	CAPITAL WORLD BOND FUND-A	0.00	3.55	0.00	3.55	0.0	0.00
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
03/01/2018	***-**-8158 - BEHA, DEBORAH	CAPITAL WORLD BOND FUND-A	0.00	1.90	0.00	1.90	0.0	0.00
	ACCOUNT #: 00058770149	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	CAPITAL WORLD BOND FUND-A	0.00	0.07	0.00	0.07	0.0	0.00
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
03/01/2018	***-**-265J - MEEKINS, TIMOTHY	CAPITAL WORLD BOND FUND-A	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
03/01/2018	***-**-094I - KATRENA L	CAPITAL WORLD BOND FUND-A	0.00	0.24	0.00	0.24	0.0	0.00
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	CAPITAL WORLD BOND FUND-C	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
03/01/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: 00083510637	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: 00083510745	BUY 0 Units @0.0000						
03/01/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
03/01/2018	***-**-755P - SHEPPARD,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.75	0.00	2.75	0.0	0.00
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						
03/01/2018	***-**-20IN - DEMETRI, AMELIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.31	0.00	0.31	0.0	0.00
	ACCOUNT #: 00085948151	BUY 0 Units @0.0000						
03/01/2018	***-**-18IR - MEEKINS, KAIDEN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: 00087145992	BUY 0 Units @0.0000						
03/01/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	24.48	0.00	24.48	0.0	0.00
	ACCOUNT #: 00083510637	BUY 0 Units @0.0000						
03/01/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	24.48	0.00	24.48	0.0	0.00
	ACCOUNT #: 00083510745	BUY 0 Units @0.0000						
03/01/2018	***-**-18IR - MEEKINS, KAIDEN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.92	0.00	3.92	0.0	0.00
	ACCOUNT #: 00087145992	BUY 0 Units @0.0000						
03/01/2018	***-**-20IR - DEMETRI, AMELIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	4.06	0.00	4.06	0.0	0.00
	ACCOUNT #: 00074234451	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.64	0.00	3.64	0.0	0.00
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
03/01/2018	***-**-86IR - MEEKINS, LISA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.98	0.00	0.98	0.0	0.00
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
03/01/2018	***-**-265I - MEEKINS, TIMOTHY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
03/01/2018	***-**-443I - LATUS, FREDERICK	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.55	0.00	0.55	0.0	0.00
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
03/01/2018	***-**-20JT - KOCHER, DENISE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	4.03	0.00	4.03	0.0	0.00
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
03/01/2018	***-**-5375 - CARTER, LISA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-753J - FALCHI, VALERIE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-094I - KATRENA L	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
03/01/2018	***-**-86IR - MEEKINS, LISA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.36	0.00	1.36	0.0	0.00
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
03/01/2018	***-**-680I - HARRELL, DARYL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	9.42	0.00	9.42	0.0	0.00
	ACCOUNT #: 00083996385	BUY 0 Units @0.0000						
03/01/2018	***-**-382I - SATTERLY, NEIL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	29.62	0.00	29.62	0.0	0.00
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
03/01/2018	***-**-755P - SHEPPARD,	CAPITAL WORLD GROWTH AND INCOME-529	0.00	0.86	0.00	0.86	0.0	0.00
	ACCOUNT #: 00084018452	BUY 0 Units @0.0000						
03/01/2018	***-**-84IN - WARMUTH, ERIC	CAPITAL WORLD GROWTH AND INCOME-529	0.00	6.66	0.00	6.66	0.0	0.00
	ACCOUNT #: 00075086418	BUY 0 Units @0.0000						
03/01/2018	***-**-84IN - WARMUTH, ERIC	CAPITAL WORLD GROWTH AND INCOME-529	0.00	6.66	0.00	6.66	0.0	0.00
	ACCOUNT #: 00075086546	BUY 0 Units @0.0000						
03/01/2018	***-**-5375 - CARTER, LISA	CAPITAL WORLD GROWTH AND INCOME-529	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: 00083849497	BUY 0 Units @0.0000						
03/01/2018	***-**-84IN - WARMUTH, ERIC	CAPITAL WORLD GROWTH AND INCOME-529	0.00	3.19	0.00	3.19	0.0	0.00
	ACCOUNT #: 00075086418	BUY 0 Units @0.0000						
03/01/2018	***-**-84IN - WARMUTH, ERIC	CAPITAL WORLD GROWTH AND INCOME-529	0.00	3.19	0.00	3.19	0.0	0.00
	ACCOUNT #: 00075086546	BUY 0 Units @0.0000						
03/01/2018	***-**-5375 - CARTER, LISA	CAPITAL WORLD GROWTH AND INCOME-529	0.00	2.42	0.00	2.42	0.0	0.00
	ACCOUNT #: 00083849497	BUY 0 Units @0.0000						
03/01/2018	***-**-72IN - GAVALO, JULIE	CAPITAL WORLD GROWTH AND INCOME-529	0.00	8.01	0.00	8.01	0.0	0.00
	ACCOUNT #: 00068530007	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	EUROPACIFIC GROWTH FUND CLASS C	0.00	5.37	0.00	5.37	0.0	0.00
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-72IN - GAVALO, JULIE	EUROPACIFIC GROWTH FUND-529E	0.00	7.00	0.00	7.00	0.0	0.00
	ACCOUNT #: 00068530008	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-169I - EVANS, PAUL	EUROPACIFIC GROWTH FUND-A	0.00	3.02	0.00	3.02	0.0	0.00
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
03/01/2018	***-**-506J - CURRIERE JR, MR	EUROPACIFIC GROWTH FUND-A	0.00	5.40	0.00	5.40	0.0	0.00
	ACCOUNT #: 00083609136	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	EUROPACIFIC GROWTH FUND-A	0.00	0.40	0.00	0.40	0.0	0.00
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-094I - KATRENA L	EUROPACIFIC GROWTH FUND-A	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						
03/01/2018	***-**-84IN - WARMUTH, ERIC	FUNDAMENTAL INVESTORS-529A	0.00	1.46	0.00	1.46	0.0	0.00
	ACCOUNT #: 00075086418	BUY 0 Units @0.0000						
03/01/2018	***-**-84IN - WARMUTH, ERIC	FUNDAMENTAL INVESTORS-529A	0.00	1.46	0.00	1.46	0.0	0.00
	ACCOUNT #: 00075086546	BUY 0 Units @0.0000						
03/01/2018	***-**-84IN - WARMUTH, ERIC	FUNDAMENTAL INVESTORS-529C	0.00	10.94	0.00	10.94	0.0	0.00
	ACCOUNT #: 00075086418	BUY 0 Units @0.0000						
03/01/2018	***-**-84IN - WARMUTH, ERIC	FUNDAMENTAL INVESTORS-529C	0.00	10.94	0.00	10.94	0.0	0.00
	ACCOUNT #: 00075086546	BUY 0 Units @0.0000						
03/01/2018	***-**-5375 - CARTER, LISA	FUNDAMENTAL INVESTORS-529C	0.00	3.89	0.00	3.89	0.0	0.00
	ACCOUNT #: 00083849497	BUY 0 Units @0.0000						
03/01/2018	***-**-2855 - KRECIDLO, MARTA	FUNDAMENTAL INVESTORS-A	0.00	1.20	0.00	1.20	0.0	0.00
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
03/01/2018	***-**-755P - SHEPPARD,	FUNDAMENTAL INVESTORS-A	0.00	3.73	0.00	3.73	0.0	0.00
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	FUNDAMENTAL INVESTORS-A	0.00	5.97	0.00	5.97	0.0	0.00
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-20IN - DEMETRI, AMELIA	FUNDAMENTAL INVESTORS-A	0.00	0.36	0.00	0.36	0.0	0.00
	ACCOUNT #: 00085948151	BUY 0 Units @0.0000						
03/01/2018	***-**-072I - GAVALO, JULIE	FUNDAMENTAL INVESTORS-A	0.00	11.37	0.00	11.37	0.0	0.00
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
03/01/2018	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-A	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: 00087491111	BUY 0 Units @0.0000						
03/01/2018	***-**-8158 - BEHA, DEBORAH	FUNDAMENTAL INVESTORS-A	0.00	7.55	0.00	7.55	0.0	0.00
	ACCOUNT #: 00058770149	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-0851 - LALLIER, JAMES	FUNDAMENTAL INVESTORS-A	0.00	3.15	0.00	3.15	0.0	0.00
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	FUNDAMENTAL INVESTORS-A	0.00	0.02	0.00	0.02	0.0	0.00
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	FUNDAMENTAL INVESTORS-A	0.00	6.07	0.00	6.07	0.0	0.00
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
03/01/2018	***-**-86IR - MEEKINS, LISA	FUNDAMENTAL INVESTORS-A	0.00	1.28	0.00	1.28	0.0	0.00
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
03/01/2018	***-**-265I - MEEKINS, TIMOTHY	FUNDAMENTAL INVESTORS-A	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
03/01/2018	***-**-265J - MEEKINS, TIMOTHY	FUNDAMENTAL INVESTORS-A	0.00	1.29	0.00	1.29	0.0	0.00
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
03/01/2018	***-**-443I - LATUS, FREDERICK	FUNDAMENTAL INVESTORS-A	0.00	0.24	0.00	0.24	0.0	0.00
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
03/01/2018	***-**-20JT - KOCHER, DENISE	FUNDAMENTAL INVESTORS-A	0.00	2.63	0.00	2.63	0.0	0.00
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
03/01/2018	***-**-5375 - CARTER, LISA	FUNDAMENTAL INVESTORS-A	0.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						
03/01/2018	***-**-382I - SATTERLY, NEIL	FUNDAMENTAL INVESTORS-A	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	FUNDAMENTAL INVESTORS-A	0.00	1.70	0.00	1.70	0.0	0.00
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-094I - KATRENA L	FUNDAMENTAL INVESTORS-A	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						
03/01/2018	***-**-169I - EVANS, PAUL	FUNDAMENTAL INVESTORS-C	0.00	6.32	0.00	6.32	0.0	0.00
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
03/01/2018	***-**-18IR - MEEKINS, KAIDEN	FUNDAMENTAL INVESTORS-C	0.00	2.85	0.00	2.85	0.0	0.00
	ACCOUNT #: 00087145992	BUY 0 Units @0.0000						
03/01/2018	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C	0.00	22.49	0.00	22.49	0.0	0.00
	ACCOUNT #: 00087491111	BUY 0 Units @0.0000						
03/01/2018	***-**-0851 - LALLIER, JAMES	FUNDAMENTAL INVESTORS-C	0.00	55.08	0.00	55.08	0.0	0.00
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-643I - PELLETIER, MARY	FUNDAMENTAL INVESTORS-C	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
03/01/2018	***-**-265J - MEEKINS, TIMOTHY	FUNDAMENTAL INVESTORS-C	0.00	14.39	0.00	14.39	0.0	0.00
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
03/01/2018	***-**-680I - HARRELL, DARYL	FUNDAMENTAL INVESTORS-C	0.00	12.12	0.00	12.12	0.0	0.00
	ACCOUNT #: 00083996385	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	FUNDAMENTAL INVESTORS-C	0.00	6.50	0.00	6.50	0.0	0.00
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-84IN - WARMUTH, ERIC	GLOBAL BALANCED FUND-529A	0.00	3.39	0.00	3.39	0.0	0.00
	ACCOUNT #: 00075086418	BUY 0 Units @0.0000						
03/01/2018	***-**-84IN - WARMUTH, ERIC	GLOBAL BALANCED FUND-529A	0.00	3.39	0.00	3.39	0.0	0.00
	ACCOUNT #: 00075086546	BUY 0 Units @0.0000						
03/01/2018	***-**-0851 - LALLIER, JAMES	INCOME FUND OF AMERICA CLASS C	0.00	27.47	0.00	27.47	0.0	0.00
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-8158 - BEHA, DEBORAH	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	1.54	0.00	1.54	0.0	0.00
	ACCOUNT #: 00058770149	BUY 0 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	INTERNATIONAL GROWTH AND INCOME-A	0.00	3.20	0.00	3.20	0.0	0.00
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-072I - GAVALO, JULIE	INTERNATIONAL GROWTH AND INCOME-A	0.00	12.14	0.00	12.14	0.0	0.00
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
03/01/2018	***-**-8901 - GURDO, ANTHONY	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: 00087491111	BUY 0 Units @0.0000						
03/01/2018	***-**-8158 - BEHA, DEBORAH	INTERNATIONAL GROWTH AND INCOME-A	0.00	5.07	0.00	5.07	0.0	0.00
	ACCOUNT #: 00058770149	BUY 0 Units @0.0000						
03/01/2018	***-**-0851 - LALLIER, JAMES	INTERNATIONAL GROWTH AND INCOME-A	0.00	1.87	0.00	1.87	0.0	0.00
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						
03/01/2018	***-**-901I - SATTERLY, ANN	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.43	0.00	0.43	0.0	0.00
	ACCOUNT #: 00084301189	BUY 0 Units @0.0000						
03/01/2018	***-**-382I - SATTERLY, NEIL	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-753J - FALCHI, VALERIE	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-094I - KATRENA L	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						
03/01/2018	***-**-0851 - LALLIER, JAMES	INTERNATIONAL GROWTH AND INCOME-C	0.00	36.13	0.00	36.13	0.0	0.00
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						
03/01/2018	***-**-265J - MEEKINS, TIMOTHY	INTERNATIONAL GROWTH AND INCOME-C	0.00	7.30	0.00	7.30	0.0	0.00
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	INTERNATIONAL GROWTH AND INCOME-C	0.00	4.26	0.00	4.26	0.0	0.00
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/12/2018	***-**-71IO - FAMOLARO, JAMES	INVESCO VAN KAMPEN COMSTOCK CLASS A	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
03/12/2018	***-**-71IO - FAMOLARO, JAMES	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	0.38	0.00	0.38	0.0	0.00
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
03/12/2018	***-**-632I - LOWE, PAMELA	IVK SENIOR LOAN FUND - CLASS IB	0.00	0.89	0.00	0.89	0.0	0.00
	ACCOUNT #: LSR012397	BUY 1 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	LIMITED TERM TAX- EXEMPT BOND FUND	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-72TD - GAVALO, JULIE	LIMITED TERM TAX- EXEMPT BOND FUND	0.00	11.54	0.00	11.54	0.0	0.00
	ACCOUNT #: 00087169935	BUY 0 Units @0.0000						
03/12/2018	***-**-065I - LAZIO, THOMAS	MFS ABSOLUTE RETURN FUND CLASS C	0.00	3.01	0.00	3.01	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/12/2018	***-**-944O - MAYO, DEBORAH	MFS AGGRESSIVE GROWTH ALLOCATION FD	0.00	0.96	0.00	0.96	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - ROTH, KAREN	MFS BLENDED RESEARCH CORE EQUITY FD	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
03/12/2018	***-**-881I - EBERLEY, SUSAN	MFS CONSERVATIVE ALLOCATION CL C	0.00	8.78	0.00	8.78	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
03/12/2018	***-**-901I - SATTERLY, ANN	MFS CONSERVATIVE ALLOCATION CL C	0.00	8.71	0.00	8.71	0.0	0.00
	ACCOUNT #: LSR010874	BUY 1 Units @0.0000						
03/12/2018	***-**-382K - SATTERLY, NEIL	MFS CONSERVATIVE ALLOCATION CL C	0.00	3.94	0.00	3.94	0.0	0.00
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-48IO - CLARK, PATRICK	MFS CONSERVATIVE ALLOCATION CL C	0.00	16.67	0.00	16.67	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
03/12/2018	***-**-03IO - MCVOY, ROBERT	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.09	0.00	4.09	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
03/12/2018	***-**-72IN - GAVALO, JULIE	MFS CONSERVATIVE ALLOCATION CL C	0.00	15.84	0.00	15.84	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/12/2018	***-**-959I - FRANZ, PAUL	MFS CONSERVATIVE ALLOCATION CL C	0.00	15.58	0.00	15.58	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/12/2018	***-**-065I - LAZIO, THOMAS	MFS CONSERVATIVE ALLOCATION CL C	0.00	8.03	0.00	8.03	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/12/2018	***-**-420T - DEMETRI, AMELIA	MFS CONSERVATIVE ALLOCATION CL C	0.00	5.68	0.00	5.68	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
03/12/2018	***-**-73TR - WESTCOTT IRRVOC	MFS CONSERVATIVE ALLOCATION CL C	0.00	8.80	0.00	8.80	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
03/12/2018	***-**-837O - BASEMENT	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.47	0.00	4.47	0.0	0.00
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
03/12/2018	***-**-09IO - BATES, FBO MRS	MFS CONSERVATIVE ALLOCATION CL C	0.00	13.53	0.00	13.53	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/12/2018	***-**-89IN - LEE, ROGER	MFS CONSERVATIVE ALLOCATION CL C	0.00	16.27	0.00	16.27	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/12/2018	***-**-900J - LEE, MR.	MFS CONSERVATIVE ALLOCATION CL C	0.00	3.93	0.00	3.93	0.0	0.00
	ACCOUNT #: LSR011186	BUY 1 Units @0.0000						
03/12/2018	***-**-06IR - CAMPBELL, PAMELA	MFS CONSERVATIVE ALLOCATION CL C	0.00	5.88	0.00	5.88	0.0	0.00
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
03/12/2018	***-**-11IO - LYNN G.	MFS CONSERVATIVE ALLOCATION CL C	0.00	12.85	0.00	12.85	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/12/2018	***-**-80IO - EVANS, RICHARD	MFS CONSERVATIVE ALLOCATION CL C	0.00	8.79	0.00	8.79	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
03/12/2018	***-**-376I - BERBEN, GAIL	MFS CONSERVATIVE ALLOCATION CL C	0.00	12.83	0.00	12.83	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
03/12/2018	***-**-45IO - JOHNSON, GREGORY	MFS CONSERVATIVE ALLOCATION CL C	0.00	20.00	0.00	20.00	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-14IO - BUSHEY, MATTHEW	MFS CONSERVATIVE ALLOCATION CL C	0.00	8.52	0.00	8.52	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
03/12/2018	***-**-37IO - MCCLUSKY, MARK	MFS CONSERVATIVE ALLOCATION CL C	0.00	7.07	0.00	7.07	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
03/12/2018	***-**-99IN - EDELMAN, TINA	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.07	0.00	0.07	0.0	0.00
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
03/12/2018	***-**-28IN - BYWATER, KIM	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
03/12/2018	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-A	0.00	1.05	0.00	1.05	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/12/2018	***-**-254I - AUGUSTINE, LINDA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.73	0.00	0.73	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/12/2018	***-**-15IN - PENDRAK, JOHN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.97	0.00	1.97	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/12/2018	***-**-960J - MASTRANGELO,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	5.06	0.00	5.06	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
03/12/2018	***-**-51IO - CAIN, TIMOTHY	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.39	0.00	2.39	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/12/2018	***-**-761I - EVANS, DOLORES	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.91	0.00	1.91	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/12/2018	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.45	0.00	0.45	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/12/2018	***-**-326J - GRANDE, MR	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.52	0.00	0.52	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - RHYMESTINE,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.94	0.00	0.94	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
03/12/2018	***-**-367J - WAGNER, MRS LANT	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.04	0.00	1.04	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
03/12/2018	***-**-992J - CORNACCHIA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.36	0.00	0.36	0.0	0.00
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - WILLIAMSON, FBO	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	3.59	0.00	3.59	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000	0.00	1.04	0.00	1.04	0.0	0.00
03/12/2018	***-**-448X - ANACKER, SUSAN ACCOUNT #: LSR011578	MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	0.0	0.00
03/12/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	4.14	0.00	4.14	0.0	0.00
03/12/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	8.31	0.00	8.31	0.0	0.00
03/12/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	15.09	0.00	15.09	0.0	0.00
03/12/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	11.74	0.00	11.74	0.0	0.00
03/12/2018	***-**-132O - EVANS, THOMAS ACCOUNT #: LSR011074	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	7.47	0.00	7.47	0.0	0.00
03/12/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	15.78	0.00	15.78	0.0	0.00
03/12/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	21.49	0.00	21.49	0.0	0.00
03/12/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	12.87	0.00	12.87	0.0	0.00
03/12/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	5.35	0.00	5.35	0.0	0.00
03/12/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	5.33	0.00	5.33	0.0	0.00
03/12/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	2.83	0.00	2.83	0.0	0.00
03/12/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	5.61	0.00	5.61	0.0	0.00
03/12/2018	***-**-81IR - CAMPBELL, ACCOUNT #: LSR011223	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	5.41	0.00	5.41	0.0	0.00
03/12/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: LSR011244	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-376I - BERBEN, GAIL	MFS DIVERSIFIED INCOME FD CL C	0.00	8.29	0.00	8.29	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
03/12/2018	***-**-45IO - JOHNSON, GREGORY	MFS DIVERSIFIED INCOME FD CL C	0.00	12.56	0.00	12.56	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/12/2018	***-**-14IO - BUSHEY, MATTHEW	MFS DIVERSIFIED INCOME FD CL C	0.00	12.36	0.00	12.36	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
03/12/2018	***-**-37IO - MCCLUSKY, MARK	MFS DIVERSIFIED INCOME FD CL C	0.00	4.55	0.00	4.55	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
03/12/2018	***-**-35IN - RUGGIERO, LAURIE	MFS DIVERSIFIED INCOME FD CL C	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: LSR012314	BUY 1 Units @0.0000						
03/12/2018	***-**-24IN - BLISS, RYAN	MFS EMERGING GROWTH FUND-B	0.00	0.26	0.00	0.26	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
03/12/2018	***-**-881I - EBERLEY, SUSAN	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
03/12/2018	***-**-960J - MASTRANGELO,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.30	0.00	1.30	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
03/12/2018	***-**-761I - EVANS, DOLORES	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.34	0.00	1.34	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/12/2018	***-**-579J - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
03/12/2018	***-**-326I - GRANDE, FBO MR	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.31	0.00	1.31	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
03/12/2018	***-**-197I - GAMBINO, ANDREW	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.21	0.00	0.21	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
03/12/2018	***-**-254I - AUGUSTINE, LINDA	MFS EMERGING MKT DEBT CL B	0.00	0.98	0.00	0.98	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/12/2018	***-**-881J - EBERLEY, SUSAN	MFS EMERGING MKT DEBT CL B	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
03/12/2018	***-**-949I - ACEE, JOSPEH	MFS EMERGING MKT DEBT CL B	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - HARTZ, CLAUDIA	MFS EMERGING MKT DEBT CL B	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	0.0	0.00
03/12/2018	***-**-9440 - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.21	0.00	1.21	0.0	0.00
03/12/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	0.0	0.00
03/12/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	0.0	0.00
03/12/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	0.0	0.00
03/12/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	0.0	0.00
03/12/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	0.0	0.00
03/12/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	0.0	0.00
03/12/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS EMERGING MKTS DEBT CLASS C BUY 1 Units @0.0000	0.00	0.28	0.00	0.28	0.0	0.00
03/12/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS EQUITY OPPORTUNITIES CL B BUY 1 Units @0.0000	0.00	1.54	0.00	1.54	0.0	0.00
03/12/2018	***-**-9440 - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS GLOBAL ALTERNATIVE STRAT A BUY 1 Units @0.0000	0.00	0.58	0.00	0.58	0.0	0.00
03/12/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS GLOBAL ALTERNATIVE STRAT B BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	0.0	0.00
03/12/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	5.89	0.00	5.89	0.0	0.00
03/12/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	13.25	0.00	13.25	0.0	0.00
03/12/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	12.77	0.00	12.77	0.0	0.00
03/12/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	6.83	0.00	6.83	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-09IO - BATES, FBO MRS	MFS GLOBAL ALTERNATIVE STRAT C	0.00	11.62	0.00	11.62	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/12/2018	***-**-11IO - LYNN G.	MFS GLOBAL ALTERNATIVE STRAT C	0.00	15.81	0.00	15.81	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/12/2018	***-**-80IO - EVANS, RICHARD	MFS GLOBAL ALTERNATIVE STRAT C	0.00	9.72	0.00	9.72	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
03/12/2018	***-**-45IO - JOHNSON, GREGORY	MFS GLOBAL ALTERNATIVE STRAT C	0.00	11.87	0.00	11.87	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/12/2018	***-**-094I - KATRENA L	MFS GLOBAL BOND FUND CLASS C	0.00	3.20	0.00	3.20	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
03/12/2018	***-**-978I - GUNN, KATHLEEN	MFS GLOBAL EQUITY FUND-B	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
03/12/2018	***-**-53IN - EVANS, ANDREW	MFS GLOBAL EQUITY FUND-B	0.00	0.46	0.00	0.46	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
03/12/2018	***-**-24IN - BLISS, RYAN	MFS GLOBAL EQUITY FUND-B	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
03/12/2018	***-**-21IO - RADELL, SANDRA	MFS GLOBAL REAL ESTATE FUND CL B	0.00	1.42	0.00	1.42	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
03/12/2018	***-**-53IN - EVANS, ANDREW	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
03/12/2018	***-**-24IN - BLISS, RYAN	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.16	0.00	0.16	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
03/12/2018	***-**-38IO - BROWN, TYLER	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
03/12/2018	***-**-45IN - WILLIAMSON,	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.37	0.00	0.37	0.0	0.00
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
03/12/2018	***-**-628I - SANGER, SANDRA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.87	0.00	0.87	0.0	0.00
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
03/12/2018	***-**-944O - MAYO, DEBORAH	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/12/2018	***-**-861I - SANGER, LAWRENCE	MFS GLOBAL TOTAL RETURN FUND-A	0.00	1.89	0.00	1.89	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-02IN - BUSHEY, MELISSA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.20	0.00	0.20	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/12/2018	***-**-653J - KOCHER, CLINTON	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
03/12/2018	***-**-254I - AUGUSTINE, LINDA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/12/2018	***-**-881J - EBERLEY, SUSAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.42	0.00	1.42	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
03/12/2018	***-**-949I - ACEE, JOSPEH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - HARTZ, CLAUDIA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
03/12/2018	***-**-959I - FRANZ, PAUL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.64	0.00	2.64	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/12/2018	***-**-960J - MASTRANGELO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.97	0.00	1.97	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
03/12/2018	***-**-51IO - CAIN, TIMOTHY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.51	0.00	1.51	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/12/2018	***-**-60UT - FALCHI, ADALYNN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.21	0.00	0.21	0.0	0.00
	ACCOUNT #: LSR011010	BUY 1 Units @0.0000						
03/12/2018	***-**-761I - EVANS, DOLORES	MFS GLOBAL TOTAL RETURN FUND-B	0.00	5.33	0.00	5.33	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/12/2018	***-**-63TR - EVANS, AUDREY J	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.81	0.00	2.81	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/12/2018	***-**-306X - COBB, CHERRYL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.43	0.00	1.43	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
03/12/2018	***-**-96IN - NESSIA, BONNIE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.11	0.00	1.11	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
03/12/2018	***-**-579I - RHYMESTINE,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.73	0.00	2.73	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - RHYMESTINE,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-76IO - MCALLISTER, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
03/12/2018	***-**-506J - CURRIERE JR, MR	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.86	0.00	0.86	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
03/12/2018	***-**-367J - WAGNER, MRS LANT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.54	0.00	1.54	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - WILLIAMSON, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.51	0.00	2.51	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/12/2018	***-**-64IO - PFAFF, GEORGE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.16	0.00	1.16	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/12/2018	***-**-62IR - ROBBIANO, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
03/12/2018	***-**-52IO - EUSEPI, SUSAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.64	0.00	2.64	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
03/12/2018	***-**-02IN - BUSHEY, MELISSA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.43	0.00	0.43	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/12/2018	***-**-653I - KOICHEM, CLINTON	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.46	0.00	2.46	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/12/2018	***-**-62IN - EATON, DAVID	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
03/12/2018	***-**-21IO - RADELL, SANDRA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
03/12/2018	***-**-241I - DINITTO, ALLISYN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011444	BUY 1 Units @0.0000						
03/12/2018	***-**-51IN - GERACE, JOANNE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
03/12/2018	***-**-09IO - BATES, FBO MRS	MFS GLOBAL TOTAL RETURN FUND-C	0.00	17.17	0.00	17.17	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/12/2018	***-**-11IO - LYNN G.	MFS GLOBAL TOTAL RETURN FUND-C	0.00	13.23	0.00	13.23	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/12/2018	***-**-376I - BERBEN, GAIL	MFS GLOBAL TOTAL RETURN FUND-C	0.00	11.97	0.00	11.97	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-45IO - JOHNSON, GREGORY	MFS GLOBAL TOTAL RETURN FUND-C	0.00	15.42	0.00	15.42	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - ROTH, KAREN	MFS GOVERNMENT SECURITIES FUND-A	0.00	0.21	0.00	0.21	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
03/12/2018	***-**-254I - AUGUSTINE, LINDA	MFS GOVERNMENT SECURITIES FUND-B	0.00	1.51	0.00	1.51	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/12/2018	***-**-111J - NESSIA, JAMES	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - ROTH, KAREN	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
03/12/2018	***-**-44IO - MAYO, DEBORAH	MFS HIGH INCOME CLASS C	0.00	0.54	0.00	0.54	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/12/2018	***-**-61IN - EVANS, DOLORES	MFS HIGH INCOME FUND-B	0.00	0.24	0.00	0.24	0.0	0.00
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - ROTH, KAREN	MFS HIGH INCOME FUND-B	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
03/12/2018	***-**-881I - EBERLEY, SUSAN	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - ROTH, KAREN	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
03/12/2018	***-**-73TR - WESTCOTT IRRVOC	MFS HIGH YIELD OPPORTUNITIES FUND-C	0.00	8.42	0.00	8.42	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
03/12/2018	***-**-73TR - WESTCOTT IRRVOC	MFS HIGH YIELD OPPORTUNITIES FUND-C	0.00	8.40	0.00	8.40	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
03/12/2018	***-**-881J - EBERLEY, SUSAN	MFS INFLATION ADJUSTED BOND CL B	0.00	0.36	0.00	0.36	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
03/12/2018	***-**-949I - ACEE, JOSPEH	MFS INFLATION ADJUSTED BOND CL B	0.00	0.44	0.00	0.44	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - HARTZ, CLAUDIA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.43	0.00	0.43	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
03/12/2018	***-**-15IN - PENDRAK, JOHN	MFS INFLATION ADJUSTED BOND CL B	0.00	0.76	0.00	0.76	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.26	0.00	0.26	0.0	0.00
03/12/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	0.0	0.00
03/12/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	0.0	0.00
03/12/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	0.0	0.00
03/12/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	0.0	0.00
03/12/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	0.0	0.00
03/12/2018	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.56	0.00	0.56	0.0	0.00
03/12/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	0.0	0.00
03/12/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.16	0.00	0.16	0.0	0.00
03/12/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.75	0.00	0.75	0.0	0.00
03/12/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.56	0.00	0.56	0.0	0.00
03/12/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.44	0.00	0.44	0.0	0.00
03/12/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.22	0.00	0.22	0.0	0.00
03/12/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000	0.00	8.81	0.00	8.81	0.0	0.00
03/12/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000	0.00	2.49	0.00	2.49	0.0	0.00
03/12/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000	0.00	0.22	0.00	0.22	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-861I - SANGER, LAWRENCE	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/12/2018	***-**-065I - LAZIO, THOMAS	MFS INTERNATIONAL NEW DISCOVERY CL	0.00	5.34	0.00	5.34	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/12/2018	***-**-254I - AUGUSTINE, LINDA	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.30	0.00	1.30	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/12/2018	***-**-930I - SANGER, KEVIN	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/12/2018	***-**-959I - FRANZ, PAUL	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.77	0.00	1.77	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/12/2018	***-**-960J - MASTRANGELO,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.25	0.00	1.25	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
03/12/2018	***-**-761I - EVANS, DOLORES	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	4.44	0.00	4.44	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/12/2018	***-**-944O - MAYO, DEBORAH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - RHYMESTINE,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - WILLIAMSON, FBO	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.99	0.00	1.99	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/12/2018	***-**-03IO - MASTRANGELO,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.07	0.00	2.07	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
03/12/2018	***-**-861I - SANGER, LAWRENCE	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/12/2018	***-**-51IO - CAIN, TIMOTHY	MFS INTERNATIONAL VALUE FUND-B	0.00	0.86	0.00	0.86	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/12/2018	***-**-861I - SANGER, LAWRENCE	MFS LIFETIME INCOME CLASS A	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/12/2018	***-**-959J - FRANZ, PAUL	MFS MODERATE ALLOCATION CL C	0.00	12.99	0.00	12.99	0.0	0.00
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
03/12/2018	***-**-86IN - LEE, KEVIN	MFS MODERATE ALLOCATION CL C	0.00	22.35	0.00	22.35	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	2.10	0.00	2.10	0.0	0.00
03/12/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	1.26	0.00	1.26	0.0	0.00
03/12/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	0.0	0.00
03/12/2018	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	0.0	0.00
03/12/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	0.0	0.00
03/12/2018	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	0.0	0.00
03/12/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	0.0	0.00
03/12/2018	***-**-36IR - SANGER, BETH ACCOUNT #: LSR011757	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.22	0.00	0.22	0.0	0.00
03/12/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	MFS NEW DISCOVERY VALUE FUND CL C BUY 1 Units @0.0000	0.00	9.88	0.00	9.88	0.0	0.00
03/12/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS NEW DISCOVERY VALUE FUND CL C BUY 1 Units @0.0000	0.00	6.41	0.00	6.41	0.0	0.00
03/12/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	MFS NEW YORK MUNICIPAL BOND FUND-B BUY 1 Units @0.0000	0.00	1.47	0.00	1.47	0.0	0.00
03/12/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	MFS NEW YORK MUNICIPAL BOND FUND-B BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	0.0	0.00
03/12/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS RESEARCH BOND FUND CLASS A BUY 1 Units @0.0000	0.00	0.11	0.00	0.11	0.0	0.00
03/12/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	MFS RESEARCH BOND FUND CLASS A BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	0.0	0.00
03/12/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.53	0.00	0.53	0.0	0.00
03/12/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.76	0.00	0.76	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-51IO - CAIN, TIMOTHY	MFS RESEARCH BOND FUND-B	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/12/2018	***-**-761I - EVANS, DOLORES	MFS RESEARCH BOND FUND-B	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/12/2018	***-**-111J - NESSIA, JAMES	MFS RESEARCH BOND FUND-B	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
03/12/2018	***-**-861I - SANGER, LAWRENCE	MFS RESEARCH BOND FUND-B	0.00	0.24	0.00	0.24	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/12/2018	***-**-76IO - MCALLISTER, FBO	MFS RESEARCH BOND FUND-B	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
03/12/2018	***-**-367J - WAGNER, MRS LANT	MFS RESEARCH BOND FUND-B	0.00	0.44	0.00	0.44	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - WILLIAMSON, FBO	MFS RESEARCH BOND FUND-B	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/12/2018	***-**-02IN - BUSHEY, MELISSA	MFS RESEARCH BOND FUND-B	0.00	0.13	0.00	0.13	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/12/2018	***-**-62IN - EATON, DAVID	MFS RESEARCH BOND FUND-B	0.00	0.52	0.00	0.52	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
03/12/2018	***-**-326J - GRANDE, MR	MFS STRATEGIC INCOME FUND-B	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
03/12/2018	***-**-382I - SATTERLY, NEIL	MFS TECHNOLOGY CLASS C	0.00	9.47	0.00	9.47	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
03/12/2018	***-**-48IO - CLARK, PATRICK	MFS TECHNOLOGY CLASS C	0.00	6.85	0.00	6.85	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
03/12/2018	***-**-031O - MCVOY, ROBERT	MFS TECHNOLOGY CLASS C	0.00	4.45	0.00	4.45	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
03/12/2018	***-**-930I - SANGER, KEVIN	MFS TECHNOLOGY CLASS C	0.00	8.41	0.00	8.41	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/12/2018	***-**-065I - LAZIO, THOMAS	MFS TECHNOLOGY CLASS C	0.00	5.46	0.00	5.46	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/12/2018	***-**-00IO - LEE, GARY	MFS TECHNOLOGY CLASS C	0.00	10.87	0.00	10.87	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-44IO - MAYO, DEBORAH	MFS TECHNOLOGY CLASS C	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/12/2018	***-**-09IO - BATES, FBO MRS	MFS TECHNOLOGY CLASS C	0.00	10.72	0.00	10.72	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/12/2018	***-**-89IN - LEE, ROGER	MFS TECHNOLOGY CLASS C	0.00	5.80	0.00	5.80	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/12/2018	***-**-094I - KATRENA L	MFS TECHNOLOGY CLASS C	0.00	6.03	0.00	6.03	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
03/12/2018	***-**-06IR - CAMPBELL, PAMELA	MFS TECHNOLOGY CLASS C	0.00	7.53	0.00	7.53	0.0	0.00
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
03/12/2018	***-**-11IO - LYNN G.	MFS TECHNOLOGY CLASS C	0.00	6.22	0.00	6.22	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/12/2018	***-**-45IO - JOHNSON, GREGORY	MFS TECHNOLOGY CLASS C	0.00	7.49	0.00	7.49	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/12/2018	***-**-37IO - MCCLUSKY, MARK	MFS TECHNOLOGY CLASS C	0.00	2.37	0.00	2.37	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
03/12/2018	***-**-86IN - LEE, KEVIN	MFS TECHNOLOGY CLASS C	0.00	9.43	0.00	9.43	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
03/12/2018	***-**-633J -	MFS TECHNOLOGY CLASS C	0.00	2.78	0.00	2.78	0.0	0.00
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
03/12/2018	***-**-99IN - EDELMAN, TINA	MFS TECHNOLOGY CLASS C	0.00	0.09	0.00	0.09	0.0	0.00
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
03/12/2018	***-**-28IN - BYWATER, KIM	MFS TECHNOLOGY CLASS C	0.00	0.18	0.00	0.18	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
03/12/2018	***-**-944O - MAYO, DEBORAH	MFS TECHNOLOGY FUND CLASS A	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/12/2018	***-**-808J - GORMAN, RANDY	MFS TECHNOLOGY FUND CLASS A	0.00	0.21	0.00	0.21	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
03/12/2018	***-**-02IN - BUSHEY, MELISSA	MFS TECHNOLOGY FUND CLASS A	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - HARTZ, CLAUDIA	MFS TECHNOLOGY FUND-B	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-15IN - PENDRAK, JOHN	MFS TECHNOLOGY FUND-B	0.00	2.13	0.00	2.13	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/12/2018	***-**-959I - FRANZ, PAUL	MFS TECHNOLOGY FUND-B	0.00	1.77	0.00	1.77	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/12/2018	***-**-169I - EVANS, PAUL	MFS TECHNOLOGY FUND-B	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
03/12/2018	***-**-580X - COBB, JAMES	MFS TECHNOLOGY FUND-B	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
03/12/2018	***-**-579J - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
03/12/2018	***-**-579I - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	1.24	0.00	1.24	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
03/12/2018	***-**-326I - GRANDE, FBO MR	MFS TECHNOLOGY FUND-B	0.00	1.55	0.00	1.55	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
03/12/2018	***-**-992J - CORNACCHIA	MFS TECHNOLOGY FUND-B	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
03/12/2018	***-**-48IO - ANACKER, FBO MRS	MFS TECHNOLOGY FUND-B	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - WILLIAMSON, FBO	MFS TECHNOLOGY FUND-B	0.00	1.42	0.00	1.42	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/12/2018	***-**-664J - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	1.71	0.00	1.71	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
03/12/2018	***-**-64IO - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/12/2018	***-**-52IO - EUSEPI, SUSAN	MFS TECHNOLOGY FUND-B	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
03/12/2018	***-**-02IN - BUSHEY, MELISSA	MFS TECHNOLOGY FUND-B	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/12/2018	***-**-37IR - HARTZ, RENEE	MFS TECHNOLOGY FUND-B	0.00	1.38	0.00	1.38	0.0	0.00
	ACCOUNT #: LSR011259	BUY 1 Units @0.0000						
03/12/2018	***-**-75IR - EVANS, DIANE	MFS TECHNOLOGY FUND-B	0.00	1.32	0.00	1.32	0.0	0.00
	ACCOUNT #: LSR011275	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-653I - KOCHER, CLINTON	MFS TECHNOLOGY FUND-B	0.00	3.00	0.00	3.00	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/12/2018	***-**-680I - HARRELL, DARYL	MFS TECHNOLOGY FUND-B	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
03/12/2018	***-**-978I - GUNN, KATHLEEN	MFS TECHNOLOGY FUND-B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
03/12/2018	***-**-197I - GAMBINO, ANDREW	MFS TECHNOLOGY FUND-B	0.00	0.43	0.00	0.43	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
03/12/2018	***-**-53IN - EVANS, ANDREW	MFS TECHNOLOGY FUND-B	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
03/12/2018	***-**-38IO - BROWN, TYLER	MFS TECHNOLOGY FUND-B	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
03/12/2018	***-**-03IO - MASTRANGELO,	MFS TECHNOLOGY FUND-B	0.00	1.70	0.00	1.70	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
03/12/2018	***-**-881J - EBERLEY, SUSAN	MFS TOTAL RETURN FUND-B	0.00	1.47	0.00	1.47	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
03/12/2018	***-**-949I - ACEE, JOSPEH	MFS TOTAL RETURN FUND-B	0.00	1.70	0.00	1.70	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/12/2018	***-**-960J - MASTRANGELO,	MFS TOTAL RETURN FUND-B	0.00	1.73	0.00	1.73	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
03/12/2018	***-**-506J - CURRIERE JR, MR	MFS TOTAL RETURN FUND-B	0.00	0.90	0.00	0.90	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - WILLIAMSON, FBO	MFS TOTAL RETURN FUND-B	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/12/2018	***-**-62IR - ROBBIANO, FBO	MFS TOTAL RETURN FUND-B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
03/12/2018	***-**-944O - MAYO, DEBORAH	MFS UTILITIES FUND-A	0.00	0.76	0.00	0.76	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/12/2018	***-**-808J - GORMAN, RANDY	MFS UTILITIES FUND-A	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - HARTZ, CLAUDIA	MFS UTILITIES FUND-B	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-15IN - PENDRAK, JOHN	MFS UTILITIES FUND-B	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/12/2018	***-**-366S - GRUENEWALD,	MFS UTILITIES FUND-B	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
03/12/2018	***-**-61IN - EVANS, DOLORES	MFS UTILITIES FUND-B	0.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
03/12/2018	***-**-63TR - EVANS, AUDREY J	MFS UTILITIES FUND-B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/12/2018	***-**-306X - COBB, CHERYL	MFS UTILITIES FUND-B	0.00	1.75	0.00	1.75	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
03/12/2018	***-**-96IN - NESSIA, BONNIE	MFS UTILITIES FUND-B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
03/12/2018	***-**-579I - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	1.81	0.00	1.81	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
03/12/2018	***-**-326J - GRANDE, MR	MFS UTILITIES FUND-B	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
03/12/2018	***-**-326I - GRANDE, FBO MR	MFS UTILITIES FUND-B	0.00	0.86	0.00	0.86	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	0.76	0.00	0.76	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
03/12/2018	***-**-76IO - MCALLISTER, FBO	MFS UTILITIES FUND-B	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
03/12/2018	***-**-367J - WAGNER, MRS LANT	MFS UTILITIES FUND-B	0.00	1.46	0.00	1.46	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
03/12/2018	***-**-31IO - WILLIAMSON, FBO	MFS UTILITIES FUND-B	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/12/2018	***-**-64IO - PFAFF, GEORGE	MFS UTILITIES FUND-B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/12/2018	***-**-653I - KOCHER, CLINTON	MFS UTILITIES FUND-B	0.00	1.25	0.00	1.25	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/12/2018	***-**-62IN - EATON, DAVID	MFS UTILITIES FUND-B	0.00	1.17	0.00	1.17	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-978I - GUNN, KATHLEEN	MFS UTILITIES FUND-B	0.00	0.35	0.00	0.35	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
03/12/2018	***-**-21IO - RADELL, SANDRA	MFS UTILITIES FUND-B	0.00	1.44	0.00	1.44	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
03/12/2018	***-**-41IR - DINITTO, ALLISYN	MFS UTILITIES FUND-B	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: LSR011443	BUY 1 Units @0.0000						
03/12/2018	***-**-197I - GAMBINO, ANDREW	MFS UTILITIES FUND-B	0.00	0.11	0.00	0.11	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
03/12/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	0.00	0.42	0.00	0.42	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
03/12/2018	***-**-24IN - BLISS, RYAN	MFS UTILITIES FUND-B	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
03/12/2018	***-**-51IN - GERACE, JOANNE	MFS UTILITIES FUND-B	0.00	1.34	0.00	1.34	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
03/12/2018	***-**-38IO - BROWN, TYLER	MFS UTILITIES FUND-B	0.00	0.52	0.00	0.52	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
03/12/2018	***-**-45IO - WILLIAMSON,	MFS UTILITIES FUND-B	0.00	0.46	0.00	0.46	0.0	0.00
	ACCOUNT #: LSR011756	BUY 1 Units @0.0000						
03/12/2018	***-**-235I - AUGUSTINE III,	MFS UTILITIES FUND-C	0.00	7.94	0.00	7.94	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
03/12/2018	***-**-980I - ACEE, ELIZABETH	MFS UTILITIES FUND-C	0.00	9.47	0.00	9.47	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
03/12/2018	***-**-48IO - CLARK, PATRICK	MFS UTILITIES FUND-C	0.00	8.01	0.00	8.01	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
03/12/2018	***-**-031O - MCVOY, ROBERT	MFS UTILITIES FUND-C	0.00	4.04	0.00	4.04	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
03/12/2018	***-**-065I - LAZIO, THOMAS	MFS UTILITIES FUND-C	0.00	11.90	0.00	11.90	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/12/2018	***-**-00IO - LEE, GARY	MFS UTILITIES FUND-C	0.00	9.40	0.00	9.40	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
03/12/2018	***-**-09IO - BATES, FBO MRS	MFS UTILITIES FUND-C	0.00	9.87	0.00	9.87	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-89IN - LEE, ROGER	MFS UTILITIES FUND-C	0.00	5.93	0.00	5.93	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/12/2018	***-**-81IR - CAMPBELL,	MFS UTILITIES FUND-C	0.00	6.14	0.00	6.14	0.0	0.00
	ACCOUNT #: LSR011223	BUY 1 Units @0.0000						
03/12/2018	***-**-11IO - LYNN G.	MFS UTILITIES FUND-C	0.00	8.53	0.00	8.53	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/12/2018	***-**-37IR - HARTZ, RENEE	MFS UTILITIES FUND-C	0.00	0.04	0.00	0.04	0.0	0.00
	ACCOUNT #: LSR011259	BUY 1 Units @0.0000						
03/12/2018	***-**-80IO - EVANS, RICHARD	MFS UTILITIES FUND-C	0.00	6.55	0.00	6.55	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
03/12/2018	***-**-376I - BERBEN, GAIL	MFS UTILITIES FUND-C	0.00	8.53	0.00	8.53	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
03/12/2018	***-**-45IO - JOHNSON, GREGORY	MFS UTILITIES FUND-C	0.00	7.61	0.00	7.61	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/12/2018	***-**-14IO - BUSHEY, MATTHEW	MFS UTILITIES FUND-C	0.00	8.36	0.00	8.36	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
03/12/2018	***-**-35IN - RUGGIERO, LAURIE	MFS UTILITIES FUND-C	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: LSR012314	BUY 1 Units @0.0000						
03/12/2018	***-**-13IN - ROTH, KAREN	MFS VALUE FUND-B	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
03/01/2018	***-**-169I - EVANS, PAUL	NEW PERSPECTIVE FUND-A	0.00	4.15	0.00	4.15	0.0	0.00
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
03/01/2018	***-**-072I - GAVALO, JULIE	NEW PERSPECTIVE FUND-A	0.00	15.74	0.00	15.74	0.0	0.00
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
03/01/2018	***-**-72RI - GAVALO, JULIE	NEW PERSPECTIVE FUND-A	0.00	10.23	0.00	10.23	0.0	0.00
	ACCOUNT #: 00087231055	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	NEW PERSPECTIVE FUND-A	0.00	3.29	0.00	3.29	0.0	0.00
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
03/01/2018	***-**-86IR - MEEKINS, LISA	NEW PERSPECTIVE FUND-A	0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
03/01/2018	***-**-20JT - KOCHER, DENISE	NEW PERSPECTIVE FUND-A	0.00	1.61	0.00	1.61	0.0	0.00
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-0462 - FRIOT, MICHAEL	NEW PERSPECTIVE FUND-C	0.00	4.32	0.00	4.32	0.0	0.00
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-5375 - CARTER, LISA	NEW WORLD FUND-529C	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: 00083849497	BUY 0 Units @0.0000						
03/01/2018	***-**-2855 - KRECIDLO, MARTA	NEW WORLD FUND-A	0.00	0.45	0.00	0.45	0.0	0.00
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
03/01/2018	***-**-755P - SHEPPARD,	NEW WORLD FUND-A	0.00	1.93	0.00	1.93	0.0	0.00
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						
03/01/2018	***-**-20IR - DEMETRI, AMELIA	NEW WORLD FUND-A	0.00	4.44	0.00	4.44	0.0	0.00
	ACCOUNT #: 00074234451	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	NEW WORLD FUND-A	0.00	2.27	0.00	2.27	0.0	0.00
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
03/01/2018	***-**-86IR - MEEKINS, LISA	NEW WORLD FUND-A	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
03/01/2018	***-**-265I - MEEKINS, TIMOTHY	NEW WORLD FUND-A	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
03/01/2018	***-**-443I - LATUS, FREDERICK	NEW WORLD FUND-A	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
03/01/2018	***-**-20JT - KOHEM, DENISE	NEW WORLD FUND-A	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
03/01/2018	***-**-5375 - CARTER, LISA	NEW WORLD FUND-A	0.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	NEW WORLD FUND-A	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	NEW WORLD FUND-C	0.00	3.08	0.00	3.08	0.0	0.00
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-680I - HARRELL, DARYL	NEW WORLD FUND-C	0.00	7.42	0.00	7.42	0.0	0.00
	ACCOUNT #: 00083996385	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	NEW WORLD FUND-C	0.00	3.85	0.00	3.85	0.0	0.00
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/12/2018	***-**-07IO - FAMOLARO, JAMES	PRUDENTIAL JENNISON 20/20 FOCUS CLA	0.00	2.95	0.00	2.95	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/12/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	2.21	0.00	2.21	0.0	0.00
03/12/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	0.0	0.00
03/12/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.49	0.00	0.49	0.0	0.00
03/12/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	0.0	0.00
03/12/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	0.0	0.00
03/12/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.43	0.00	0.43	0.0	0.00
03/12/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.05	0.00	0.05	0.0	0.00
03/12/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.38	0.00	0.38	0.0	0.00
03/08/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 20021572	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	13.32	0.00	13.32	0.0	0.00
03/08/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: 020026000	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	9.07	0.00	9.07	0.0	0.00
03/08/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	0.52	0.00	0.52	0.0	0.00
03/08/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	1.68	0.00	1.68	0.0	0.00
03/08/2018	***-**-65IN - LAZIO, THOMAS ACCOUNT #: 20010459	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	17.55	0.00	17.55	0.0	0.00
03/06/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	7.29	0.00	7.29	0.0	0.00
03/06/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.43	0.00	2.43	0.0	0.00
03/06/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.78	0.00	3.78	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/06/2018	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	1.26	0.00	1.26	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/06/2018	***-**-930I - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	10.92	0.00	10.92	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/06/2018	***-**-930I - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	3.64	0.00	3.64	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/06/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	4.63	0.00	4.63	0.0	0.00
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
03/06/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	1.54	0.00	1.54	0.0	0.00
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
03/06/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	9.52	0.00	9.52	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/06/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	3.17	0.00	3.17	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/06/2018	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	2.75	0.00	2.75	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/06/2018	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/06/2018	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	2.01	0.00	2.01	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/06/2018	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/06/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	1.81	0.00	1.81	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/06/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/06/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	1.93	0.00	1.93	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/06/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/06/2018	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	1.61	0.00	1.61	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/06/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	0.0	0.00
03/06/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	0.0	0.00
03/06/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.13	0.00	0.13	0.0	0.00
03/06/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	11.42	0.00	11.42	0.0	0.00
03/06/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.81	0.00	3.81	0.0	0.00
03/06/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.82	0.00	3.82	0.0	0.00
03/06/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	0.0	0.00
03/06/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	12.69	0.00	12.69	0.0	0.00
03/06/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.23	0.00	4.23	0.0	0.00
03/06/2018	***-**-29IO - MASSOUD, ACCOUNT #: LSR011217	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.32	0.00	6.32	0.0	0.00
03/06/2018	***-**-29IO - MASSOUD, ACCOUNT #: LSR011217	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.11	0.00	2.11	0.0	0.00
03/06/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	14.25	0.00	14.25	0.0	0.00
03/06/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.75	0.00	4.75	0.0	0.00
03/06/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.65	0.00	6.65	0.0	0.00
03/06/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.22	0.00	2.22	0.0	0.00
03/06/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.33	0.00	6.33	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/06/2018	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	2.11	0.00	2.11	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/06/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	6.32	0.00	6.32	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/06/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	2.11	0.00	2.11	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/06/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	7.61	0.00	7.61	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/06/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	2.54	0.00	2.54	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/06/2018	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	6.34	0.00	6.34	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
03/06/2018	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	2.11	0.00	2.11	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
03/06/2018	***-**-86IN - LEE, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	6.29	0.00	6.29	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
03/06/2018	***-**-86IN - LEE, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	2.10	0.00	2.10	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
03/06/2018	***-**-628I - SANGER, SANDRA	RESOURCE REAL ESTATE-NFS	0.00	5.42	0.00	5.42	0.0	0.00
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
03/06/2018	***-**-628I - SANGER, SANDRA	RESOURCE REAL ESTATE-NFS	0.00	1.81	0.00	1.81	0.0	0.00
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
03/06/2018	***-**-37IO - MCCLUSKY, MARK	RESOURCE REAL ESTATE-NFS	0.00	2.16	0.00	2.16	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
03/06/2018	***-**-37IO - MCCLUSKY, MARK	RESOURCE REAL ESTATE-NFS	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
03/06/2018	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	10.93	0.00	10.93	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/06/2018	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	3.64	0.00	3.64	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/06/2018	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	3.66	0.00	3.66	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/06/2018	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/06/2018	***-**-930I - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	12.15	0.00	12.15	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/06/2018	***-**-930I - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	4.05	0.00	4.05	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/06/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	6.05	0.00	6.05	0.0	0.00
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
03/06/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
03/06/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	13.64	0.00	13.64	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/06/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	4.55	0.00	4.55	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/06/2018	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	6.37	0.00	6.37	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/06/2018	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	2.12	0.00	2.12	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/06/2018	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	6.06	0.00	6.06	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/06/2018	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/06/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	6.05	0.00	6.05	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/06/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/06/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	7.28	0.00	7.28	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/06/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	2.43	0.00	2.43	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/06/2018	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	6.07	0.00	6.07	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						



COMMISSION STATEMENT

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/06/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	0.0	0.00
03/06/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.02	0.00	6.02	0.0	0.00
03/06/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.01	0.00	2.01	0.0	0.00
03/06/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.94	0.00	2.94	0.0	0.00
03/06/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	0.0	0.00
03/01/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	SHORT-TERM BOND FUND OF AMERICA - A BUY 0 Units @0.0000	0.00	1.01	0.00	1.01	0.0	0.00
03/01/2018	***-**-8158 - BEHA, DEBORAH ACCOUNT #: 00058770149	SHORT-TERM BOND FUND OF AMERICA - A BUY 0 Units @0.0000	0.00	1.47	0.00	1.47	0.0	0.00
03/01/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	SHORT-TERM BOND FUND OF AMERICA - A BUY 0 Units @0.0000	0.00	0.68	0.00	0.68	0.0	0.00
03/01/2018	***-**-2855 - KRECIDLO, MARTA ACCOUNT #: 00083946447	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	0.45	0.00	0.45	0.0	0.00
03/01/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084218264	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	2.83	0.00	2.83	0.0	0.00
03/01/2018	***-**-8158 - BEHA, DEBORAH ACCOUNT #: 00058770149	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	1.70	0.00	1.70	0.0	0.00
03/01/2018	***-**-265I - MEEKINS, TIMOTHY ACCOUNT #: 00083811243	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	1.38	0.00	1.38	0.0	0.00
03/01/2018	***-**-443I - LATUS, FREDERICK ACCOUNT #: 00083932986	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	0.27	0.00	0.27	0.0	0.00
03/01/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00084131722	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	0.35	0.00	0.35	0.0	0.00
03/01/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	0.43	0.00	0.43	0.0	0.00
03/01/2018	***-**-169I - EVANS, PAUL ACCOUNT #: 00083808354	SMALLCAP WORLD FUND-C BUY 0 Units @0.0000	0.00	2.59	0.00	2.59	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-0851 - LALLIER, JAMES	SMALLCAP WORLD FUND-C	0.00	12.23	0.00	12.23	0.0	0.00
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						
03/01/2018	***-**-72TD - GAVALO, JULIE	TAX-EXEMPT BOND FUND OF AMERICA	0.00	14.61	0.00	14.61	0.0	0.00
	ACCOUNT #: 00087169935	BUY 0 Units @0.0000						
03/01/2018	***-**-072I - GAVALO, JULIE	THE BOND FUND OF AMERICA-A	0.00	16.48	0.00	16.48	0.0	0.00
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
03/01/2018	***-**-81IR - CAMPBELL,	THE BOND FUND OF AMERICA-A	0.00	1.50	0.00	1.50	0.0	0.00
	ACCOUNT #: 00073375822	BUY 0 Units @0.0000						
03/01/2018	***-**-7181 - HAMER, JAMES	THE BOND FUND OF AMERICA-C	0.00	5.14	0.00	5.14	0.0	0.00
	ACCOUNT #: 00083846796	BUY 0 Units @0.0000						
03/01/2018	***-**-755P - SHEPPARD,	THE GROWTH FUND OF AMERICA-529A	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: 00084018452	BUY 0 Units @0.0000						
03/01/2018	***-**-755P - SHEPPARD,	THE GROWTH FUND OF AMERICA-529C	0.00	21.34	0.00	21.34	0.0	0.00
	ACCOUNT #: 00084018452	BUY 0 Units @0.0000						
03/01/2018	***-**-72IN - GAVALO, JULIE	THE GROWTH FUND OF AMERICA-529E	0.00	9.46	0.00	9.46	0.0	0.00
	ACCOUNT #: 00068530007	BUY 0 Units @0.0000						
03/01/2018	***-**-169I - EVANS, PAUL	THE GROWTH FUND OF AMERICA-A	0.00	4.66	0.00	4.66	0.0	0.00
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
03/01/2018	***-**-480J - EVANS, RICHARD	THE GROWTH FUND OF AMERICA-A	0.00	2.52	0.00	2.52	0.0	0.00
	ACCOUNT #: 00073288662	BUY 0 Units @0.0000						
03/01/2018	***-**-81IR - CAMPBELL,	THE GROWTH FUND OF AMERICA-A	0.00	2.78	0.00	2.78	0.0	0.00
	ACCOUNT #: 00073375822	BUY 0 Units @0.0000						
03/01/2018	***-**-506J - CURRIERE JR, MR	THE GROWTH FUND OF AMERICA-A	0.00	8.06	0.00	8.06	0.0	0.00
	ACCOUNT #: 00083609136	BUY 0 Units @0.0000						
03/01/2018	***-**-5375 - CARTER, LISA	THE GROWTH FUND OF AMERICA-A	0.00	0.37	0.00	0.37	0.0	0.00
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	THE GROWTH FUND OF AMERICA-A	0.00	0.98	0.00	0.98	0.0	0.00
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	THE GROWTH FUND OF AMERICA-C	0.00	5.22	0.00	5.22	0.0	0.00
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-680I - HARRELL, DARYL	THE GROWTH FUND OF AMERICA-C	0.00	12.55	0.00	12.55	0.0	0.00
	ACCOUNT #: 00083996385	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-2855 - KRECIDLO, MARTA	THE INCOME FUND OF AMERICA-A	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
03/01/2018	***-**-755P - SHEPPARD,	THE INCOME FUND OF AMERICA-A	0.00	1.89	0.00	1.89	0.0	0.00
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	THE INCOME FUND OF AMERICA-A	0.00	3.90	0.00	3.90	0.0	0.00
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-0851 - LALLIER, JAMES	THE INCOME FUND OF AMERICA-A	0.00	2.43	0.00	2.43	0.0	0.00
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						
03/01/2018	***-**-81IR - CAMPBELL,	THE INCOME FUND OF AMERICA-A	0.00	5.25	0.00	5.25	0.0	0.00
	ACCOUNT #: 00073375822	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	THE INCOME FUND OF AMERICA-A	0.00	5.00	0.00	5.00	0.0	0.00
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
03/01/2018	***-**-265I - MEEKINS, TIMOTHY	THE INCOME FUND OF AMERICA-A	0.00	0.89	0.00	0.89	0.0	0.00
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
03/01/2018	***-**-265J - MEEKINS, TIMOTHY	THE INCOME FUND OF AMERICA-A	0.00	0.99	0.00	0.99	0.0	0.00
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
03/01/2018	***-**-443I - LATUS, FREDERICK	THE INCOME FUND OF AMERICA-A	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
03/01/2018	***-**-901I - SATTERLY, ANN	THE INCOME FUND OF AMERICA-A	0.00	0.42	0.00	0.42	0.0	0.00
	ACCOUNT #: 00084301189	BUY 0 Units @0.0000						
03/01/2018	***-**-382I - SATTERLY, NEIL	THE INCOME FUND OF AMERICA-A	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	THE INCOME FUND OF AMERICA-A	0.00	1.83	0.00	1.83	0.0	0.00
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
03/01/2018	***-**-78IR - FALES, JOAN	THE INCOME FUND OF AMERICA-A	0.00	4.55	0.00	4.55	0.0	0.00
	ACCOUNT #: 00088082227	BUY 0 Units @0.0000						
03/01/2018	***-**-443I - LATUS, FREDERICK	THE INVESTMENT COMPANY OF AMERICA-A	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	THE NEW ECONOMY FUND-A	0.00	0.18	0.00	0.18	0.0	0.00
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
03/01/2018	***-**-86IR - MEEKINS, LISA	THE NEW ECONOMY FUND-A	0.00	1.16	0.00	1.16	0.0	0.00
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						



COMMISSION STATEMENT

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BROKER #: A77
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/01/2018	***-**-20JT - KOCHER, DENISE	THE NEW ECONOMY FUND-A	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
03/01/2018	***-**-169I - EVANS, PAUL	THE NEW ECONOMY FUND-C	0.00	5.63	0.00	5.63	0.0	0.00
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
03/01/2018	***-**-0851 - LALLIER, JAMES	THE NEW ECONOMY FUND-C	0.00	7.17	0.00	7.17	0.0	0.00
	ACCOUNT #: 00068584532	BUY 0 Units @0.0000						
03/01/2018	***-**-643I - PELLETIER, MARY	THE NEW ECONOMY FUND-C	0.00	1.69	0.00	1.69	0.0	0.00
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
03/01/2018	***-**-0462 - FRIOT, MICHAEL	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	0.26	0.00	0.26	0.0	0.00
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
03/01/2018	***-**-901I - SATTERLY, ANN	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	0.24	0.00	0.24	0.0	0.00
	ACCOUNT #: 00084301189	BUY 0 Units @0.0000						
03/01/2018	***-**-382I - SATTERLY, NEIL	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
03/12/2018	***-**-71IO - FAMOLARO, JAMES	VAN KAMPEN9	0.00	0.23	0.00	0.23	0.0	0.00
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
03/01/2018	***-**-72IN - GAVALO, JULIE	WASHINGTON MUTUAL INVESTORS FUND-52	0.00	8.68	0.00	8.68	0.0	0.00
	ACCOUNT #: 00068530008	BUY 0 Units @0.0000						
03/01/2018	***-**-169I - EVANS, PAUL	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	4.53	0.00	4.53	0.0	0.00
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
03/01/2018	***-**-443I - LATUS, FREDERICK	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
03/01/2018	***-**-753J - FALCHI, VALERIE	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,405.37	\$0.00	\$2,405.37		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$77,060.79	\$4,829.41	\$132.00	\$4,697.41		\$0.00



BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

			INVESTMENT	GROSS	CLEARING	NET	BROKER		
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION	
					BROKER COMMISSION TOTALS				
					Broker Transactions		\$0.00		
					Split Transactions		\$0.00		
					Override Transactions		\$0.00		
					Adjustments		\$0.00		
					Payroll Draw		\$0.00		
					Base Salary		\$0.00		
					Prior Period Balance		\$0.00		
					FINRA Assessment		\$0.00		
					SIPC Assessment		\$0.00		
Please Retain for Your Records							Balance Forward		\$0.00
THERE WILL BE NO PAYMENT THIS PERIOD							Year-to-date Earnings		\$0.00